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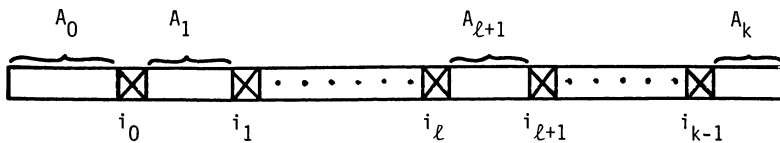
A COMMON GENERALIZATION OF BINOMIAL COEFFICIENTS,
STIRLING NUMBERS AND GAUSSIAN COEFFICIENTS

B. Voigt

In this paper we present a common generalization of some basic enumeration problems. We show how well known recursion and inversion formulae fit into our model.

Let A_0, A_1, A_2, \dots be finite sets. For nonnegative integers n and k denote by $S_k^n(a_0, a_1, a_2, \dots)$, where $a_i = |A_i|$, the number of words $w = (w_0, \dots, w_{n-1})$ such that

- (1) w contains k labels, say at positions i_0, \dots, i_{k-1} ,
- (2) all entries in w before position i_0 belong to A_0 , all entries in w between positions i_ℓ and $i_{\ell+1}$, where $\ell = 0, \dots, k-2$, belong to $A_{\ell+1}$, all entries after position i_{k-1} belong to A_k .



$$\text{As } S_k^n(\vec{a}) = \sum_{0 \leq i_0 < i_1 < \dots < i_{k-1} < n} a_0^{i_0} \cdot a_1^{i_1 - i_0 - 1} \cdot \dots \cdot a_k^{n - i_{k-1} - 1},$$

the numbers S_k^n can obviously be defined for sequences of complex numbers.

Examples:

(1) $S_k^n(1, 1, \dots) = \binom{n}{k}$ (Binomial coefficients)

(2) $S_k^n(0, 1, 2, \dots) = S_k^n$ (Stirling numbers of the second kind)

- (3) $S_k^n(1, q, q^2, \dots) = \binom{n}{k}_q$ (Gaussian Binomial coefficients)
- (4) $S_k^n(q, q^2, q^3, \dots) =$ number of affine k -dimensional subspaces in the n -dimensional affine space over $GF(q)$.
- (5) $S_k^n(2, 3, 4, \dots) =$ number of Boolean sublattices $P(k)$ in $P(n)$
 ($P(n) \equiv$ lattice of subsets of an n -element set).

Theorem 1

Let n be a nonnegative integer and let a_0, \dots, a_k be mutually distinct complex numbers. Then

$$S_k^n(a_0, \dots, a_k) = \frac{\det \begin{bmatrix} 1 & 1 & \dots & 1 & 1 \\ a_0 & a_1 & \dots & a_{k-1} & a_k \\ a_0^2 & a_1^2 & \dots & a_{k-1}^2 & a_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ a_0^{k-1} & a_1^{k-1} & \dots & a_{k-1}^{k-1} & a_k^{k-1} \\ a_0^n & a_1^n & \dots & a_{k-1}^n & a_k^n \end{bmatrix}}{\det \begin{bmatrix} i & 1 & \dots & 1 & 1 \\ a_0 & a_1 & \dots & a_{k-1} & a_k \\ a_0^2 & a_1^2 & \dots & a_{k-1}^2 & a_k^2 \\ \vdots & \vdots & & \vdots & \vdots \\ a_0^{k-1} & a_1^{k-1} & \dots & a_{k-1}^{k-1} & a_k^{k-1} \\ a_0^k & a_1^k & \dots & a_{k-1}^k & a_k^k \end{bmatrix}}$$

$$= \sum_{i=0}^k a_i^n \cdot \prod_{\substack{j=0 \\ j \neq i}}^k (a_i - a_j)^{-1}$$

Proof:

As the determinant occurring in the denominator is van der Monde's determinant and the determinant occurring in the numerator differs from van der Monde's determi-

nant only in the last row, the second equality follows immediately by expanding the numerator with respect to the last row. Thus it suffices to show that

$$S_k^n(a_0, \dots, a_k) = \sum_{i=0}^k a_i^n \cdot \prod_{\substack{j=0 \\ j \neq i}}^k (a_i - a_j)^{-1}$$

We proceed by induction on k , the case $k = 0$ being obviously valid. Let us consider the case $k + 1$:

$$\begin{aligned} S_{k+1}^n(a_0, \dots, a_{k+1}) &= \sum_{-1=\mu_{-1} < \mu_0 < \dots < \mu_k < \mu_{k+1}=n} \prod_{j=0}^{k+1} a_j^{\mu_j - \mu_{j-1} - 1} \\ \text{(distributivity)} &= \sum_{i=0}^{n-k-1} a_0^i \cdot S_k^{n-i-1} \\ \text{(by induction)} &= \sum_{i=0}^{n-k-1} a_0^i \cdot \sum_{\ell=1}^{k+1} a_\ell^{n-i-1} \cdot \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \\ \text{(changing summation)} &= \sum_{\ell=1}^{k+1} \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \cdot \sum_{i=0}^{n-k-1} a_0^i \cdot a_\ell^{n-i-1} \\ \text{(distributivity)} &= \sum_{\ell=1}^{k+1} a_\ell^k \cdot \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \cdot \sum_{i=0}^{n-k-1} a_0^i \cdot a_\ell^{n-k-i-1} \\ \text{(Cauchy-convolution)} &= \sum_{\ell=1}^{k+1} a_\ell^k \cdot (a_0^{n-k} - a_\ell^{n-k}) \cdot (a_0 - a_\ell)^{-1} \cdot \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \\ &= \sum_{\ell=1}^{k+1} a_\ell^k \cdot a_0^{n-k} \cdot (a_0 - a_\ell)^{-1} \cdot \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \\ &\quad - \sum_{\ell=1}^{k+1} a_\ell^n \cdot (a_0 - a_\ell)^{-1} \cdot \prod_{\substack{j=1 \\ j \neq \ell}}^{k+1} (a_\ell - a_j)^{-1} \\ &= \sum_{i=1}^{k+1} a_i^n \cdot \prod_{\substack{j=0 \\ j \neq i}}^{k+1} (a_i - a_j)^{-1} \\ &\quad - a_0^{n-k} \cdot \sum_{i=1}^{k+1} a_i^k \cdot \prod_{\substack{j=0 \\ j \neq i}}^{k+1} (a_i - a_j)^{-1} \end{aligned}$$

Hence it remains to show that

$$0 = a_0^n \cdot \prod_{\substack{j=0 \\ j \neq 0}}^{k+1} (a_0 - a_j)^{-1} + a_0^{n-k} \cdot \sum_{i=1}^{k+1} a_i^k \cdot \prod_{\substack{j=0 \\ j \neq i}}^{k+1} (a_i - a_j)^{-1}$$

Multiplying with $a_0^{k-n} \cdot \prod_{0 \leq s < t \leq k+1} (a_s - a_t)$ yields the equivalent formulation

$$0 = \sum_{i=0}^{k+1} (-1)^i \cdot a_i^k \cdot \prod_{\substack{0 \leq s < t \leq k+1 \\ s \neq i \\ t \neq i}} (a_s - a_t)$$

However, the expression on the right hand side is the determinant of the following matrix (expanded with respect to the first row):

$$\begin{bmatrix} a_0^k & a_1^k & \dots & a_k^k & a_{k+1}^k \\ 1 & 1 & \dots & 1 & 1 \\ a_0 & a_1 & \dots & a_k & a_{k+1} \\ a_0^2 & a_1^2 & \dots & a_k^2 & a_{k+1}^2 \\ \vdots & \vdots & & \vdots & \vdots \\ a_0^k & a_1^k & \dots & a_k^k & a_{k+1}^k \end{bmatrix}$$

As the first and last row of this matrix are identical, the determinant is zero, thus completing the proof of the theorem. \square

It is wellknown that e.g.

$$\lim_{q \rightarrow 1} S_k^n(1, q, \dots, q^k) = \lim_{q \rightarrow 1} \binom{n}{k}_q = \binom{n}{k},$$

thus it is desirable to have an explicit expression for the numbers $S_k^n(a_0, \dots, a_k)$ also if some of the a_i 's are equal.

Notation:

Let a be a complex number and let k be a positive integer. The k -tuple (a, \dots, a) consisting of precisely k a 's is abbreviated by " $\langle a \rangle^k$ ".

Theorem 2

Let n be a nonnegative integer and let a_0, \dots, a_ℓ be mutually distinct complex numbers. Let k_0, \dots, k_ℓ be positive integers. Then

$$S_{(\sum k_i)-1}^n(\langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) = \sum_{i=0}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[\prod_{\substack{j=0 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right]$$

Remark:

By definition, the numbers $S_k^n(a_0, \dots, a_k)$ are invariant under permutations of the arguments, i.e. for every permutation $\tau : \{0, \dots, k\} \rightarrow \{0, \dots, k\}$ it follows that

$$S_k^n(a_0, \dots, a_k) = S_k^n(a_{\tau(0)}, \dots, a_{\tau(k)}) .$$

Thus the theorem gives an explicit characterization of the numbers $S_k^n(a_0, \dots, a_k)$ in general.

Proof:

We proceed by induction on the sequence (k_0, \dots, k_ℓ) .

The beginning of the induction, viz. $k_0 = \dots = k_\ell = 1$, has been established in theorem 1.

For the inductive step it suffices to show that the validity of the assertion for the sequence $(1, k_0, \dots, k_\ell)$ implies the validity of the assertion for $(k_0+1, k_1, \dots, k_\ell)$.

Assume that for all x which are different from a_0, \dots, a_ℓ it follows that

$$\begin{aligned} S_{\sum k_i}^n(x, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) &= x^n \cdot \prod_{j=0}^{\ell} (x - a_j)^{-k_j} \\ &+ \sum_{i=0}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \\ &\cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[(a_i - x)^{-1} \cdot \prod_{\substack{j=0 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] \end{aligned}$$

The mapping $S_{\Sigma k_i}^n(\cdot, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) : \mathbb{C} \rightarrow \mathbb{C}$ is continuous, hence

$$\lim_{x \rightarrow a_0} S_{\Sigma k_i}^n(x, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) = S_{\Sigma k_i}^n(\langle a_0 \rangle^{k_0+1}, \langle a_1 \rangle^{k_1}, \dots, \langle a_\ell \rangle^{k_\ell}) .$$

We show that

$$\begin{aligned} \lim_{x \rightarrow a_0} S_{\Sigma k_i}^n(x, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) &= \sum_{\mu=0}^{k_0} \binom{n}{k_0-\mu} \cdot a_0^{n-k_0+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_0} \left[\prod_{j=1}^{\ell} (a_0 - a_j)^{-k_j} \right] \\ &+ \sum_{i=1}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[(a_i - a_0)^{-k_0-1} \cdot \prod_{\substack{j=1 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] . \end{aligned}$$

From elementary calculations it follows that

$$\begin{aligned} \lim_{x \rightarrow a_0} S_{\Sigma k_i}^n(x, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) &= \lim_{x \rightarrow a_0} (x - a_0)^{-k_0} \left(x^n \cdot \prod_{j=1}^{\ell} (x - a_j)^{-k_j} \right. \\ &+ (x - a_0)^{k_0} \cdot \sum_{\mu=0}^{k_0-1} \binom{n}{k_0-1-\mu} \cdot a_0^{n-k_0+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_0} \left[(a_0 - x)^{-1} \cdot \prod_{j=1}^{\ell} (a_0 - a_j)^{-k_j} \right] \\ &+ \sum_{i=1}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[(a_i - a_0)^{-k_0-1} \cdot \prod_{\substack{j=1 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] . \end{aligned}$$

We apply the rule of de l'Hospital to the first summand, observing that

$$\frac{\delta^{k_0}}{\delta^{k_0} x} \left[(x - a_0)^{k_0} \cdot \sum_{\mu=0}^{k_0-1} \binom{n}{k_0-1-\mu} \cdot a_0^{n-k_0+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_0} \left[(a_0 - x)^{-1} \cdot \prod_{j=1}^{\ell} (a_0 - a_j)^{-k_j} \right] \right] = 0$$

Hence

$$\begin{aligned} \lim_{x \rightarrow a_0} S_{\Sigma k_i}^n(x, \langle a_0 \rangle^{k_0}, \dots, \langle a_\ell \rangle^{k_\ell}) &= \frac{1}{k_0!} \cdot \lim_{x \rightarrow a_0} \cdot \frac{\delta^{k_0}}{\delta^{k_0} x} \left[x^n \cdot \prod_{j=1}^{\ell} (x - a_j)^{-k_j} \right] \\ &+ \sum_{i=1}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[(a_i - a_0)^{-k_0-1} \cdot \prod_{\substack{j=1 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] \\ &= \sum_{\mu=0}^{k_0} \binom{k_0}{k_0-\mu} \cdot \frac{n!}{k_0! \cdot (n-k_0+\mu)!} \cdot a_0^{n-k_0+\mu} \cdot \frac{\delta^\mu}{\delta^\mu a_0} \left[\prod_{j=1}^{\ell} (a_0 - a_j)^{-k_j} \right] \end{aligned}$$

$$\begin{aligned}
 & + \sum_{i=1}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[\prod_{\substack{j=1 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] \\
 & = \sum_{\mu=0}^{k_0} \binom{n}{k_0-\mu} \cdot a_0^{n-k_0+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_0} \left[\prod_{j=1}^{\ell} (a_0 - a_j)^{-k_j} \right] \\
 & + \sum_{i=0}^{\ell} \sum_{\mu=0}^{k_i-1} \binom{n}{k_i-1-\mu} \cdot a_i^{n-k_i+1+\mu} \cdot \frac{1}{\mu!} \cdot \frac{\delta^\mu}{\delta^\mu a_i} \left[\prod_{\substack{j=1 \\ j \neq i}}^{\ell} (a_i - a_j)^{-k_j} \right] .
 \end{aligned}$$

This completes the proof of the theorem. □

Remark:

Theorems 1 and 2 show that the numbers $S_k^n(a_0, \dots, a_k)$ are divided differences, see e.g. [6]. For a treatment based on the calculus of finite differences see the forthcoming paper [2]. In order to keep this paper self contained we continue to give elementary proofs.

For the remainder of this section let $\vec{a} = (a_0, a_1, a_2, \dots)$ denote an infinite sequence of (complex) numbers.

For convenience put $S_{-1}^n(\vec{a}) = 0$ for every nonnegative integer n .

Theorem 3 (Pascal identity for the S -numbers of the second kind)

$$S_k^{n+1}(\vec{a}) = S_{k-1}^n(\vec{a}) + a_k \cdot S_k^n(\vec{a}) .$$

Proof: obvious. □

Definition:

For nonnegative integers let the polynomial $p_k^{\vec{a}}(x) \in \mathbb{C}[x]$ be defined as follows:

$p_0^{\vec{a}}(x) = 1$, viz. the polynomial which is constantly 1 ,

$$p_{k+1}^{\vec{a}}(x) = (x - a_k) \cdot p_k^{\vec{a}}(x) , \text{ i.e. } p_k^{\vec{a}}(x) = (x - a_0) \cdot (x - a_1) \cdot \dots \cdot (x - a_k) .$$

Examples:

- (1) For $\vec{a} = (1, 1, 1, \dots)$ it is $p_k^{\vec{a}}(x) = (x-1)^k$,
- (2) for $\vec{a} = (0, 1, 2, \dots)$ it is $p_k^{\vec{a}}(x) = [x]_k$, the falling factorial,
- (3) for $\vec{a} = (0, -1, -2, \dots)$ it is $p_k^{\vec{a}}(x) = [x]^k$, the rising factorial,
- (4) for $\vec{a} = (1, q, q^2, \dots)$ the polynomial $p_k^{\vec{a}}(x) = (x-1) \cdot (x-q) \cdot \dots \cdot (x-q^{k-1})$ is the k .th Gaussian polynomial.

Theorem 4 (Inversion from $(x^n)_{n \in \mathbb{N}}$ to $(p_n^{\vec{a}})_{n \in \mathbb{N}}$)

$$x^n = \sum_{k=0}^n S_k^n(\vec{a}) \cdot p_k^{\vec{a}}(x) \quad .$$

Lemma:

Let k be a positive integer and let b_0, \dots, b_k be mutually distinct (complex) numbers. Then

$$\sum_{i=0}^k (-1)^i \cdot \prod_{j=0}^{i-1} \frac{b_j - b_k}{b_0 - b_{j+1}} = 0 \quad .$$

Proof:

We use induction on k , the case $k = 1$ is obviously valid. Let us consider the case $k+1$:

$$\begin{aligned} \sum_{i=0}^{k+1} (-1)^i \cdot \prod_{j=0}^{i-1} \frac{b_j - b_k}{b_0 - b_{j+1}} &= 1 - \frac{b_0 - b_k}{b_0 - b_1} + \sum_{i=2}^{k+1} (-1)^i \cdot \prod_{j=0}^{i-1} \frac{b_j - b_k}{b_0 - b_{j+1}} \\ &= \frac{b_k - b_1}{b_0 - b_1} + \frac{b_k - b_1}{b_0 - b_1} \cdot \sum_{i=2}^{k+1} (-1)^{i-1} \cdot \frac{b_0 - b_k}{b_0 - b_2} \cdot \prod_{j=2}^{i-1} \frac{b_j - b_k}{b_0 - b_{j+1}} = 0 \end{aligned}$$

using the inductive hypothesis on b_0, b_2, \dots, b_k .

□

Proof of theorem 4

We prove the particular case, where the numbers a_0, a_1, \dots are mutually distinct.

The remaining cases follow from continuity reasons.

According to theorem 1 we show that

$$x^n = \sum_{k=0}^n \left(\sum_{i=0}^k a_i^n \cdot \prod_{\substack{j=0 \\ j \neq i}}^k (a_i - a_j)^{-1} \right) \cdot \prod_{j=0}^{k-1} (x - a_j)$$

As both sides of this equation are polynomials of degree n it suffices to show that

$$a_\ell^n = \sum_{k=0}^n \left(\sum_{i=0}^k a_i^n \cdot \prod_{\substack{j=0 \\ j \neq i}}^k (a_i - a_j)^{-1} \right) \cdot \prod_{j=0}^{k-1} (a_\ell - a_j)$$

for every $0 \leq \ell \leq n$. Fix any such ℓ . Consider, changing the summation:

$$(*) \quad \sum_{i=0}^n a_i^n \cdot \left(\sum_{k=i}^n \prod_{\substack{j=0 \\ j \neq i}}^k (a_i - a_j)^{-1} \right) \cdot \prod_{j=0}^{k-1} (a_\ell - a_j) \quad .$$

For $i = 0, \dots, n$ then consider each summand separately in order to find out what it contributes to the sum. We distinguish three cases:

Case 1:

$i > \ell$, then the contribution is zero, due to the factor $\prod_{j=0}^{k-1} (a_\ell - a_j)$ which vanishes as $k \geq i > \ell$.

Case 2:

$i = \ell$, then we have the contribution a_ℓ^n , viz.

$$\begin{aligned} a_\ell^n \cdot \left(\sum_{k=\ell}^n \prod_{\substack{j=0 \\ j \neq \ell}}^k (a_\ell - a_j)^{-1} \right) \cdot \prod_{j=0}^{k-1} (a_\ell - a_j) &= a_\ell^n \cdot \left(\prod_{j=0}^{\ell-1} (a_\ell - a_j)^{-1} \right) \cdot \prod_{j=0}^{\ell-1} (a_\ell - a_j) \\ &= a_\ell^n \quad . \end{aligned}$$

Case 3:

$i < \ell$, then the contribution is zero again, viz.

$$\begin{aligned} a_i^n \cdot \left(\sum_{k=i}^n \left(\prod_{j=0}^{i-1} (a_i - a_j)^{-1} \right) \cdot \left(\prod_{j=i+1}^k (a_i - a_j)^{-1} \right) \right) \cdot \prod_{j=0}^{k-1} (a_\ell - a_j) &= \\ = a_i^n \cdot \prod_{j=0}^{i-1} (a_i - a_j)^{-1} \cdot \prod_{j=0}^{i-1} (a_\ell - a_j) \cdot \left[\sum_{k=i}^{\ell} (-1)^k \cdot \prod_{j=i}^{k-1} \frac{a_j - a_\ell}{a_i - a_{j+1}} \right] &= 0 \end{aligned}$$

as according to the lemma the sum in the square brackets vanishes.

Hence the sum (*) takes the value a_ℓ^n , thus completing the proof of the theorem. \square

Definition:

The numbers $\delta_k^n(\vec{a})$ are defined by the following identities:

$$\sum_{j \geq 0} \delta_j^n(\vec{a}) \cdot s_k^j(\vec{a}) = \delta_k^n \quad (\text{Kronecker-Symbol}) ,$$

resp. $\sum_{j \geq 0} s_j^n(\vec{a}) \cdot \delta_k^j(\vec{a}) = \delta_k^n , \quad \text{resp. } p_n^{\vec{a}}(x) = \sum \delta_k^n \cdot x^k .$

Remark: From the classical theory we know:

$$\delta_k^n(1, \dots, 1) = (-1)^{n+k} \binom{n}{k} \quad (\text{Binomial inversion}) ,$$

$$\delta_k^n(0, 1, 2, \dots, k) = s_k^n \quad (\text{Stirling numbers of the first kind}),$$

$$\delta_k^n(1, q, q^2, \dots, q^k) = (-1)^{n+k} \cdot q^{\binom{n-k}{2}} \cdot \binom{n}{k}_q \quad (\text{Gaussian inversion})$$

Theorem 5 (Pascal identity for the δ -numbers of the first kind)

$$\delta_k^{n+1}(\vec{a}) = \delta_{k-1}^n(\vec{a}) - a_n \cdot \delta_k^n(\vec{a}) ,$$

where again for convenience $\delta_{-1}^n(\vec{a}) = 0$ for every nonnegative integer n .

Proof:

Consider the polynomial $p_{n+1}^{\vec{a}}(x) = x \cdot p_n^{\vec{a}}(x) - a_n \cdot p_n^{\vec{a}}(x)$ and compare the coefficients of x^k in the expansion $\sum_{j \geq 0} \delta_j^{n+1} \cdot x^j =$

$$= \sum_{j \geq 0} \delta_{j-1}^n \cdot x^j - \sum_{j \geq 0} a_n \cdot \delta_j^n \cdot x^j .$$

□

Theorem 6

$$\delta_k^n = (-1)^{n+k} \cdot \sum_{0 \leq \mu_0 < \mu_1 < \dots < \mu_{n-k-1} < n} \prod_{i=0}^{n-k-1} a_{\mu_i} \quad \text{for every } k < n .$$

Proof:

We use induction on n . For $n = 0$ there is nothing to show. Thus consider the case $n + 1$. The particular case $k = n$ is treated separately, viz.

$$\delta_n^{n+1} = \delta_{n-1}^n - a_n \cdot \delta_n^n = - \sum_{i=0}^{n-1} a_i - a_n \cdot \delta_n^n = - \sum_{i=0}^n a_i$$

in accordance with the assertion.

Now let be $k < n$. Then

$$\begin{aligned} \delta_k^{n+1} &= \delta_{k-1}^n - a_n \cdot \delta_k^n \\ &= (-1)^{n+k-1} \cdot \sum_{0 \leq \mu_0 < \dots < \mu_{n-k} < n} \prod_{i=0}^{n-k} a_{\mu_i} \\ &\quad - (-1)^{n+k} \cdot a_n \cdot \sum_{0 \leq \mu_0 < \dots < \mu_{n-k-1} < n} \prod_{i=0}^{n-k-1} a_{\mu_i} \\ &= (-1)^{n+k+1} \cdot \sum_{0 \leq \mu_0 < \dots < \mu_{n-k} < n+1} \prod_{i=0}^{n-k} a_{\mu_i} \end{aligned}$$

in accordance with the assertion. □

The connection between the matrices $[S_k^n(\vec{a})]$, $[\delta_k^n(\vec{a})]$ and the sequence $[p_n^{\vec{a}}]^T$ written as a column vector is given by the following two inversion formulae:

$$(*) \quad \begin{cases} [p_n^{\vec{0}}]^T = [S_k^n(\vec{a})] \cdot [p_n^{\vec{a}}]^T \\ [p_n^{\vec{a}}]^T = [\delta_k^n(\vec{a})] \cdot [p_n^{\vec{0}}]^T \end{cases}$$

Of course, we also could have started from a given ascending sequence of normalized polynomials $(p_n)_{n \in \mathbb{N}}$, where ascending means that p_n divides (w.r.t. the ring $\mathbb{C}[x]$) p_{n+1} . As \mathbb{C} is algebraically closed then $p_{n+1}(x) = p_n(x) \cdot (x - a_n)$ for some complex number a_n . As $p_n^{\vec{a}} = p_n$ for the sequence \vec{a} of roots we again obtain the inversion formulae (*).

Particularly the sequence $\vec{0} = (0, 0, \dots)$ yields that $p_n^{\vec{0}}(x) = x^n$ for every non-negative integer n .

Now let \vec{a} and \vec{b} be two infinite sequences. From the inversion formulae (*) we immediately obtain inversion formulae for transforming the polynomials $(p_n^{\vec{a}})_{n \in \mathbb{N}}$

into $(p_n^{\vec{b}})_{n \in \mathbb{N}}$ and vice versa:

$$(**) \quad \begin{cases} [p_n^{\vec{a}}]^T = [\delta_k^n(\vec{a})] \cdot [S_k^n(\vec{b})] \cdot [p_n^{\vec{b}}]^T \\ [p_n^{\vec{b}}]^T = [\delta_k^n(\vec{b})] \cdot [S_k^n(\vec{a})] \cdot [p_n^{\vec{a}}]^T \end{cases} .$$

Let us denote the numbers occuring in the matrices $[\delta_k^n(\vec{a})] \cdot [S_k^n(\vec{b})]$ by $S_k^n(\vec{a}, \vec{b})$. Analogous let us denote the entries of $[\delta_k^n(\vec{b})] \cdot [S_k^n(\vec{a})]$ by $\delta_k^n(\vec{a}, \vec{b})$, more precisely:

Definition:

$$S_k^n(\vec{a}, \vec{b}) = \sum_{j \geq 0} \delta_j^n(\vec{a}) \cdot S_k^j(\vec{b}) \quad \text{and} \quad \delta_k^n(\vec{a}, \vec{b}) = \sum_{j \geq 0} \delta_j^n(\vec{b}) \cdot S_k^j(\vec{a}) .$$

An well known example are the Lah numbers [4] , let us consider here the unsigned Lah numbers:

One immediately verifies that $\delta_k^n(0, -1, -2, -3, \dots) = |s_k^n|$, the absolute Stirling numbers of the first kind. Hence

$$L_k^n = \sum_{j \geq 0} |s_j^n| \cdot S_k^j = S_k^n((0, -1, -2, \dots), (0, 1, 2, \dots)) ,$$

the signless Lah numbers, satisfy the identity

$$[x]^n = \sum_{k \geq 0} L_k^n \cdot [x]_k .$$

The following recursion for the unsigned Lah numbers is well known:

$$L_k^{n+1} = L_{k-1}^n + (k+n) \cdot L_k^n .$$

This recursion can be generalized as follows:

Theorem 7 (Pascal identity for $S_k^n(\vec{a}, \vec{b})$ and $\delta_k^n(\vec{a}, \vec{b})$)

$$\begin{aligned} S_k^{n+1}(\vec{a}, \vec{b}) &= S_{k-1}^n(\vec{a}, \vec{b}) + (b_k - a_n) \cdot S_k^n(\vec{a}, \vec{b}) \\ \delta_k^{n+1}(\vec{a}, \vec{b}) &= \delta_k^n(\vec{a}, \vec{b}) + (a_k - b_n) \cdot \delta_k^n(\vec{a}, \vec{b}) . \end{aligned}$$

Proof:

We proceed by induction on n :

$$\begin{aligned}
 S_k^{n+1}(\vec{a}, \vec{b}) &= \sum_{j \geq 0} s_j^{n+1}(\vec{a}) \cdot S_k^j(\vec{b}) \\
 &= \sum_{j \geq 0} \left(s_{j-1}^n(\vec{a}) \cdot S_k^j(\vec{b}) \right) - a_n \cdot \sum_{j \geq 0} s_j^n(\vec{a}) \cdot S_k^j(\vec{b}) \\
 &= \sum_{j \geq 0} \left(s_j^n(\vec{a}) \cdot S_k^{j+1}(\vec{b}) \right) - a_n \cdot S_k^n(\vec{a}, \vec{b}) \\
 &= \sum_{j \geq 0} \left(s_j^n(\vec{a}) \cdot S_{k-1}^j(\vec{b}) \right) + b_k \cdot \sum_{j \geq 0} \left(s_j^n(\vec{a}) \cdot S_k^j(\vec{b}) \right) - a_n \cdot S_k^n(\vec{a}, \vec{b}) \\
 &= S_{k-1}^n(\vec{a}, \vec{b}) + (b_k - a_n) \cdot S_k^n(\vec{a}, \vec{b})
 \end{aligned}$$

The second recursion follows from the first one, as $S_k^n(\vec{a}, \vec{b}) = S_k^n(\vec{b}, \vec{a})$.

□

The next recursions generalizes an identity for Gaussian binomial coefficients which has been discovered by Carlitz [1] .

Notation:

Let ℓ be a complex number. By $\vec{a} - \ell$ we denote the sequence $(a_0 - \ell, a_1 - \ell, \dots)$, i.e. ℓ is subtracted from each component of \vec{a} .

Theorem 8

- (i) $S_k^n(\vec{a}) = \sum_j \binom{n}{j} \cdot \ell^{n-j} \cdot S_k^j(\vec{a} - \ell)$
- (ii) $S_k^n(\vec{a}) = \sum_j \binom{j}{k} \cdot \ell^{j-k} \cdot S_j^n(\vec{a} - \ell)$
- (iii) $s_k^n(\vec{a}) = \sum_j \binom{n}{j} \cdot \ell^{n-j} \cdot s_k^j(\vec{a} + \ell)$
- (iv) $s_k^n(\vec{a}) = \sum_j \binom{j}{k} \cdot \ell^{j-k} \cdot s_j^n(\vec{a} + \ell)$.

Proof:

We prove (i) , the remaining cases can be handled analogously. Proceed by induction on n . The case $n = 0$ is obviously valid, thus let us consider the case $n + 1$:

$$\begin{aligned}
S_k^{n+1}(\vec{a}) &= S_{k-1}^n(\vec{a}) + a_k \cdot S_k^n(\vec{a}) \\
&= \sum_{j \geq 0} \binom{n}{j} \cdot \ell^{n-j} \cdot S_{k-1}^j(\vec{a}-\ell) + a_k \cdot \sum_{j \geq 0} \binom{n}{j} \cdot \ell^{n-j} \cdot S_k^j(\vec{a}-\ell) \\
&= \sum_{j \geq 0} \left(\binom{n}{j} \cdot \ell^{n-j} \cdot (S_{k-1}^j(\vec{a}-\ell) + (a_k - \ell) \cdot S_k^j(\vec{a}-\ell)) \right) \\
&\quad + \ell \cdot \sum_{j \geq 0} \binom{n}{j} \cdot \ell^{n-j} \cdot S_k^j(\vec{a}-\ell) \\
&= \ell \cdot \binom{n}{0} \cdot \ell^n \cdot S_k^0(\vec{a}-\ell) + \sum_{j \geq 1} \left(\binom{n}{j} \cdot \ell^{n-j+1} + \binom{n-1}{j-1} \cdot \ell^{n-j+1} \right) \cdot S_k^j(\vec{a}-\ell) \\
&= \binom{n+1}{0} \cdot \ell^{n+1} \cdot S_k^0(\vec{a}-\ell) + \sum_{j \geq 1} \binom{n+1}{j} \cdot \ell^{n+1-j} \cdot S_k^j(\vec{a}-\ell) \\
&= \sum_{j \geq 0} \binom{n+1}{j} \cdot \ell^{n+1-j} \cdot S_k^j(\vec{a}-\ell) \quad ,
\end{aligned}$$

completing the proof. □

Remark:

The identity of Carlitz [1] appears considering (i) with $\vec{a} = (1, q^2, q^3, \dots)$ and $\ell = 1$, viz. $\binom{n}{k}_q = \sum_{j \geq 0} \binom{n}{j} \cdot A_j^{(k)}$, where $A_j^{(k)} = S_k^j(0, q-1, q^2-1, \dots)$ counts the number of k -dimensional linear subspaces W of the n -dimensional vector space $(GF(q))^n = \{(x_1, \dots, x_n) \mid x_i \in GF(q)\}$, such that every projection $\pi_i : V \rightarrow GF(q)$ is surjective, where the projection π_i is defined by $\pi_i(x_1, \dots, x_n) = x_i$ [5].

We should mention that theorem 8 (i) applied to Stirling numbers of the second kind does not yield the familiar recursion $S_k^{n+1} = \sum_{j \geq 0} \binom{n+1}{j} S_{k-1}^j$, simply because generally the numbers S_{k-1}^j and $S_k^j(-1, 0, \dots, k-1)$ are not the same. However, the recursion $S_k^{n+1} = \sum_{j \geq 0} \binom{n+1}{j} \cdot S_{k-1}^j$ is a unique feature of the Stirling numbers of the second kind, more precisely:

Observation:

Let $a = (a_0, a_1, \dots)$ be an infinite sequence of complex numbers such that

$$S_k^{n+1}(\vec{a}) = \sum_{j \geq 0} \binom{n+1}{j} \cdot S_{k-1}^j(\vec{a})$$

holds for every pair of nonnegative integers k and n . Then it follows that $a_i = i$, i.e. $s_k^n(\vec{a}) = s_k^n$.

Proof:

As $s_0^{n+1}(\vec{a}) = a_0^{n+1} = \binom{n+1}{0} \cdot s_{-1}^{n+1}(\vec{a}) = 0$ it follows that $a_0 = 0$. Assume by induction that $a_{k-1} = k-1$ and consider $s_k^{n+1}(\vec{a})$, viz.

$$\begin{aligned} s_k^{n+1}(\vec{a}) &= s_{k-1}^n(\vec{a}) + a_k \cdot s_k^n(\vec{a}) \\ &= \sum_{j \geq 0} \binom{n}{j} \cdot s_{k-2}^j(\vec{a}) + \sum_{j \geq 0} \binom{n}{j} \cdot a_k \cdot s_{k-1}^j(\vec{a}) \\ &= \sum_{j \geq 0} \left(\binom{n}{j} \cdot (s_{k-2}^j(\vec{a}) + (k-1) \cdot s_{k-1}^j(\vec{a})) \right) + (a_k - k + 1) \cdot \sum_{j \geq 0} \binom{n}{j} \cdot s_{k-1}^j(\vec{a}) \\ &= \left(\sum_{j \geq 1} \binom{n}{j-1} \cdot s_{k-1}^j(\vec{a}) \right) + \binom{n}{0} \cdot s_{k-1}^0(\vec{a}) + \left(\sum_{j \geq 1} \binom{n}{j} \cdot s_{k-1}^j(\vec{a}) \right) \\ &\quad + (a_k - k) \cdot \sum_{j \geq 0} \binom{n}{j} \cdot s_{k-1}^j(\vec{a}) \\ &= \sum_{j \geq 0} \binom{n+1}{j} \cdot s_{k-1}^j(\vec{a}) + (a_k - k) \cdot \sum_{j \geq 0} \binom{n}{j} \cdot s_{k-1}^j(\vec{a}), \end{aligned}$$

hence $(a_k - k) \cdot s_k^n(\vec{a}) = 0$, which shows that $a_k = k$. This completes the proof of the observation. □

Let us apply theorem 8 (i) to Stirling numbers of the second kind and see what happens:

Consider the sequence $(-1, 0, 1, 2, 3, \dots)$. Call the numbers

$$s_k^n(-1, 0, 1, 2, \dots) = \hat{s}_k^n$$

the reduced Stirling numbers. By 8 (i) then

$$s_k^n = \sum_{j \geq 0} \binom{n}{j} \cdot \hat{s}_k^n.$$

The following table contains some values of the reduced Stirling numbers:

$n \backslash k$	0	1	2	3	4	5	6	7	8
0	1	0							
1	-1	1	0						
2	+1	-1	1	0					
3	-1	+1	0	1	0				
4	+1	-1	1	2	1	0			
5	-1	+1	0	5	5	1	0		
6	+1	-1	1	10	20	9	1	0	
7	-1	+1	0	21	70	56	14	1	0
8	+1	-1	1	42	231	294	126	21	1

For $k \geq 3$ the reduced Stirling numbers admit the following combinatorial interpretation:

Theorem 9

For $k \geq 3$ it follows that

$$\hat{S}_k^n = \text{number of surjections } f : \{0, \dots, n-1\} \rightarrow \{\lambda_0, \lambda_1, \dots, \lambda_{k-1}\} \text{ such that}$$

there exists an even nonnegative integer $\ell < n$ satisfying

$$f^{-1}(\lambda_0) = \{0, \dots, \ell\} \quad ,$$

$$(*) \quad \left\{ \begin{array}{l} f(\ell+1) = \lambda_1 \quad \text{and} \quad f(\ell+2) = \lambda_2 \quad \text{and} \\ \min f^{-1}(\lambda_i) < \min f^{-1}(\lambda_{i+1}) \quad \text{for every } i = 0, \dots, k-2 \quad . \end{array} \right.$$

Proof: One immediately verifies (using Pascal identity) that

$$\begin{aligned} \hat{S}_2^n &= 1 && \text{iff } n \geq 2 \quad \text{and} \quad n \equiv 0 \pmod{2} \\ &= 0 && \text{iff } n < 2 \quad \text{or} \quad n \not\equiv 1 \pmod{2} \quad . \end{aligned}$$

Now we use induction on n . The case $n = 3$ is obviously valid, hence consider

$$n+1, \text{ viz. } \hat{S}_k^{n+1} = \hat{S}_{k-1}^n + (k-1) \cdot \hat{S}_k^n \quad .$$

Let $f : \{0, \dots, n\} \rightarrow \{\lambda_0, \dots, \lambda_{k-1}\}$ be any surjection satisfying $(*)$.

If still $f\{0, \dots, n-1\}$ acts surjectively onto $\{\lambda_0, \dots, \lambda_{k-1}\}$ there exist precisely $k-1$ possibilities for $f(n)$, viz. $\lambda_1, \dots, \lambda_k$. This explains the right summand. If $f\{0, \dots, n-1\}$ does not act surjectively, then $f(n) = \lambda_{k-1}$. But in this case $f\{0, \dots, n-1\}$ acts surjectively onto $\{\lambda_0, \dots, \lambda_{k-2}\}$. If still $k-1 \geq 3$, $f\{0, \dots, n-1\}$ also satisfies (*). This explains the first summand. If $k-1 = 2$ and f satisfies (*), then it follows that $f^{-1}(\lambda_1) = \{n-1\}$, i.e. $n-2$ is even and hence $\hat{S}_2^n = 1$. In both cases \hat{S}_k^{n+1} turns out to be the right number. □

We give two more examples applying theorem 8.

Example 1 (homogenous Boolean sublattices)

Let $P(n)$ denote the Boolean lattices of subsets of an n -element set. A $P(k)$ -sublattice L of $P(n)$ is a homogenous sublattice provided that $\min L = \min P(n)$.

By hB_k^n we denote the number of homogenous $P(k)$ -sublattices of $P(n)$.

A homogenous $P(k)$ -sublattice L of $P(n)$ is determined by its atoms, viz.

by k mutually disjoint and nonempty subsets A_0, \dots, A_{k-1} . Without restriction

say that $\min A_1 < \min A_2 < \dots < \min A_k$. L can be represented by a mapping

$f : \{0, \dots, n-1\} \rightarrow \{\lambda_0, \dots, \lambda_{k-1}\} \cup \{0\}$, where $f(i) = \lambda_j$ iff $i \in A_j$ and

$f(i) = 0$ in all other cases. Then

$$(*) \quad \min f^{-1}(\lambda_0) < \min f^{-1}(\lambda_1) < \dots < \min f^{-1}(\lambda_{k-1}) .$$

On the other hand, every function $f : \{0, \dots, n-1\} \rightarrow \{\lambda_0, \dots, \lambda_{k-1}\} \cup \{0\}$

satisfying (*) determines uniquely a homogenous $P(k)$ -sublattice of $P(n)$.

This establishes a bijection between homogenous sublattices and such functions f .

Hence $hB_k^n = S_k^n(1, 2, 3, \dots)$.

Corollary 10

$$hB_k^n = \sum_j \binom{n}{j} \cdot S_k^j$$

$$\sum_k hB_k^n = \sum_k S_k^{n+1} = B_{n+1} \quad (\text{Bell-number}) \quad .$$

Proof:

The first equality is 8 (i) . Concerning the second inequality one observes that

$$\begin{aligned} \sum_k hB_k^n &= \sum_k \sum_j \binom{n}{j} \cdot S_k^j \\ &= \sum_j \binom{n}{j} \sum_k S_k^j \\ &= \sum_j \binom{n}{j} \cdot B_k = B_{n+1} \quad , \end{aligned}$$

where the last equality is well known. □

Example 2 (Boolean sublattices)

By aB_k^n we denote the number of arbitrary (viz. affine) $P(k)$ -sublattices of $P(n)$. As a $P(k)$ -sublattice of P is determined by k nonempty subsets A_0, \dots, A_{k-1} which have pairwise the same intersection, it follows that

$$aB_k^n = S_k^n(2, 3, 4, \dots) \quad .$$

Corollary 11

$$\begin{aligned} aB_k^n &= \sum_j \binom{n}{j} \cdot 2^{n-j} \cdot S_k^j \\ \sum_k aB_k^n &= B_{n+2} \quad . \end{aligned}$$

Proof: proceed as before. □

We conclude with an application of the inversion formula for the s -numbers of the first kind, deriving a recursion formula for Mac Mahon numbers.

Example (Mac Mahon numbers)

The Mac Mahon numbers B_k^n , where $n \geq 1$ and $0 \leq k \leq \binom{n}{2}$, are defined by the following identities:

$$(*) \quad \sum_{k=0}^{\binom{n}{2}} B_k^n \cdot q^k = \prod_{i=1}^n \frac{1-q^i}{1-q}$$

Foata [3] gives a combinatorial interpretation for the numbers B_k^n .

Let $[n]_q = \frac{1-q^n}{1-q} = 1+q+q^2+\dots+q^{n-1}$ be the q -analogue of the nonnegative integer n . Then (*) can be rewritten as

$$(**) \quad \sum_{k=0}^{\binom{n}{2}} B_k^n \cdot q^k = \prod_{i=1}^n [i]_q$$

Consider any sequence $\vec{a} = (a_0, a_1, \dots)$ of complex numbers such that for every nonnegative integer n the numbers $a_{\binom{n}{2}}, a_{\binom{n}{2}+1}, \dots, a_{\binom{n}{2}+n-1}$ are the $(n+1)$ -st roots of unity different from 1. Say

$$\vec{a} = (e^{1/2 \cdot \sqrt{-1} \cdot 2 \cdot \pi}, e^{1/3 \cdot \sqrt{-1} \cdot 2 \cdot \pi}, e^{2/3 \cdot \sqrt{-1} \cdot 2 \cdot \pi}, e^{1/4 \cdot \sqrt{-1} \cdot 2 \cdot \pi}, \dots)$$

i.e.

$$a_{\binom{n}{2}+j} = e^{\frac{1+j}{n+1} \cdot \sqrt{-1} \cdot 2 \cdot \pi} \quad \text{for every } n \geq 1 \text{ and } 0 \leq j < n.$$

Then

$$(***) \quad [n+1]_x = 1+x+\dots+x^n = \prod_{i=\binom{n}{2}}^{n-1} (x-a_i)$$

and thus

$$p^{\vec{a}}_{\binom{n}{2}}(q) = \prod_{i=1}^n [i]_q$$

According to the definition of the s -numbers of the first kind it follows that

$$\sum_{k=0}^{\binom{n}{2}} s_k^{\binom{n}{2}} \cdot q^k = \prod_{i=1}^n [i]_q,$$

hence $B_k^n = \delta_k^{\binom{n}{2}}$ for every $n \geq 1$.

From theorem 6 we have the following explicit characterization for the numbers B_k^n :

$$B_k^n = (-1)^{\binom{n}{2}+k} \cdot \sum_{\substack{0 \leq \mu_0 < \dots < \mu_{\binom{n}{2}-k-1} < \binom{n}{2}}} \frac{\binom{n}{2}-k-1}{\prod_{i=0}^{\binom{n}{2}-k-1} a_i} ,$$

where the complex numbers a_i have been defined above.

However, the Pascal-identity for the δ -numbers of the first kind (theorem 5) yields a recursion for the Mac Mahon numbers:

Theorem (Recursion for Mac Mahon numbers)

$$B_k^{n+1} = B_{k-1}^{n+1} + B_k^n - B_{k-1-n}^n ,$$

where we put $B_0^0 = 1$ and $B_k^n = 0$ if k or n (or both) are negative.

Proof: using induction it follows from theorem 5 that

$$\delta_k^{n+m} = \sum_{i=0}^m (-1)^i \left(\sum_{\substack{0 \leq \mu_0 < \dots < \mu_{i-1} < n}} \frac{i-1}{\prod_{v=0}^{i-1} a_{n+\mu_v}} \right) \cdot \delta_{k-m+i}^n$$

From (***) it follows that

$$(-1)^i = \sum_{\substack{0 \leq \mu_0 < \dots < \mu_{i-1} < n}} \frac{i-1}{\prod_{v=0}^{i-1} a_{n+\mu_v}} ,$$

hence

$$\begin{aligned} B_k^{n+1} &= \delta_k^{\binom{n+1}{2}} = \delta_k^{\binom{n}{2}+n} = \sum_{i=0}^n \delta_{k-n+i}^n \\ &= \sum_{i=0}^n B_{k-i}^n , \end{aligned}$$

and the desired recursion follows immediately.

□

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