

Generating trees and pattern-avoiding inversion sequences

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based on joint work with Toufik Mansour

Overview of the talk

- ▶ Generating trees and kernel method
- ▶ Pattern-avoiding inversion sequences
- ▶ Some new enumerative results for inversion sequences avoiding 021 and a five-letter pattern.

Generating trees for combinatorial classes

Any set \mathcal{C} of discrete objects with a notion of a size such that for each n there are finitely many objects of size n is called a **combinatorial class**.

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A **generating tree** for \mathcal{C} is a rooted, labeled, ordered tree whose vertices are the objects of \mathcal{C} with the following properties:

- (i) each object of \mathcal{C} appears exactly once in the tree;
- (ii) objects of size n appears at the level n in the tree;
- (iii) each object's children are obtained by a set of succession rules which determines the number of children and their labels.

Examples

► Fibonacci Tree:

Root: (1),

Rules: (1) \rightsquigarrow (2)

(2) \rightsquigarrow (1)(2)

► Catalan Tree:

Root: (1),

Rules: (m) \rightsquigarrow (2)(3) \cdots (m + 1)

From generating trees to generating functions

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Let $A_i(x)$ denote the generating function corresponding to the (sub)-tree with root label (i). Then, we get

$$A_1(x) = x + xA_2(x)$$

$$A_2(x) = x + xA_1(x) + xA_2(x)$$

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Solving these equations yields $A_1(x) = \frac{x}{1-x-x^2}$.

The number of vertices at each level are 1, 1, 2, 3, 5, 8, ...

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$$A_m(x) = x + x[A_2(x) + A_3(x) + \cdots + A_{m+1}(x)] \quad \text{for any } m \geq 1.$$

Hence

$$A_{m+1}(x) - A_m(x) = xA_{m+2}(x).$$

$$\text{Let } A(x, u) = \sum_{m=1}^{\infty} A_m(x)u^{m-1}.$$

We want to determine

$$A(x, 0) = A_1(x).$$

Kernel Method

Multiplying $A_{m+1}(x) - A_m(x) = xA_{m+2}(x)$ by u^{m-1} and summing over $m \geq 1$, we get

$$\frac{1}{u}(A(x, u) - A_1(x)) - A(x, u) = \frac{x}{u^2}(A(x, u) - A_1(x) - uA_2(x))$$

$$\left(\frac{1}{u} - 1 - \frac{x}{u^2}\right)A(x, u) = -\frac{x}{u^2}A_1(x) + \frac{1}{u}$$

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If we choose $u = \frac{1 - \sqrt{1 - 4x}}{2}$, then we get $A_1(x) = \frac{1 - \sqrt{1 - 4x}}{2x}$, the generating function of the Catalan numbers.

The number of vertices at each level are 1, 1, 2, 5, 14, 42, ...

Inversion Sequences

An **inversion sequence** of length n is an integer sequence $e = e_1 \cdots e_n$ such that $0 \leq e_j < i$ for each $0 \leq i \leq n$.

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An **inversion sequence** of length n is an integer sequence $e = e_1 \cdots e_n$ such that $0 \leq e_i < i$ for each $0 \leq i \leq n$.

We use I_n to denote the set of inversion sequences of length n .

$$I_2 = \{00, 01\}$$

$$I_3 = \{000, 001, 010, 011, 002, 012\}$$

There is a bijection between I_n and S_n , the set of permutations of length n .

Patterns: words over the alphabet $[k] := \{0, 1, \dots, k-1\}$.

A pattern τ is a word of length k over the alphabet $[k]$.

There are basically thirteen patterns of length three up to order isomorphism.

$$\mathcal{P}_3 = \{000, 001, 010, 100, 011, 101, 110, 021, 012, 102, 120, 201, 210\}$$

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An inversion sequence $e \in I_n$ **contains the pattern** τ if there is a subsequence of length k in e that is order isomorphic to τ ; otherwise, e avoids the pattern τ .

$I_n(\tau)$ denotes the set of all τ -avoiding inversion sequences of length n .

For a given set of patterns B , we set $I_n(B) = \bigcap_{\tau \in B} I_n(\tau)$.

Examples for $I_n(\tau)$

$e = 01102321 \in I_8$ avoids the pattern 0000 because there is no subsequence $e_i e_j e_k e_l$ of length four in e with $i < j < k < l$ and $e_i = e_j = e_k = e_l$.

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On the other hand, $e = 01102321$ contains the patterns

- ▶ 010 because it has subsequences $-1 - - - 3 - 1$ or $- - - - 232-$ order isomorphic to 010,
- ▶ 000 because it has subsequence $-11 - - - -1$ order isomorphic to 000.

Pattern-avoiding inversion sequences

They provide a unifying interpretation that relates a vast array of combinatorial structures.

- Fibonacci numbers
- Catalan numbers
- Schröder numbers
- Euler up/down numbers
- Bell numbers
-

appear as enumerating sequences for pattern-restricted inversion sequences.

Avoiding a single pattern of length three

Mansour-Shattuck(2015) and Corteel et.al. (2015)

There are basically thirteen patterns of length three up to order isomorphism

$$\mathcal{P}_3 = \{000, 001, 010, 100, 011, 101, 110, 021, 012, 102, 120, 201, 210\}$$

- ▶ $|I_n(012)| = F_{2n-1}$, odd Fibonacci numbers.
 $F_0 = 0, F_1 = 1, F_n = F_{n-1} + F_{n-2}$ for $n \geq 2$.
- ▶ $|I_n(021)| = r_{n-1}$, r_n is the n^{th} large Schröder numbers.
 r_n is the number of paths in the first quadrant from $(0, 0)$ to $(2n, 0)$ with steps $(1, 1), (1, -1)$ and $(2, 0)$.
- ▶ $|I_n(000)| = E_{n+1}$ is the Euler up/down numbers.
 E_n is the number of permutations of length n such that $\sigma_1 < \sigma_2 > \sigma_3 < \dots$.
 $\tan x + \sec x = \sum_{n=0}^{\infty} E_n \frac{x^n}{n!}$

Avoiding a single pattern of length three

- ▶ $|I_n(001)| = 2^{n-1}$
- ▶ $|I_n(011)| = B_n$, the n^{th} Bell number.
 B_n is the number of ways to partition an n -element set into non-empty subsets called blocks.
- ▶ $|I_n(101)| = |I_n(110)| =$ powered Catalan numbers.
- ▶ $|I_n(201)| = |I_n(210)|$ corresponds to A263777 in OEIS.
- ▶ $|I_n(102)|, |I_n(010)|, |I_n(100)|, |I_n(120)|$ corresponds to A200753, A263779, A263780, A263778, respectively.

The case 010 is solved by B. Testart(2022).

Avoiding pair of patterns of length three

Yan-Lin (2020)

Consider inversion sequences avoiding two element subsets of

$$\mathcal{P}_3 = \{000, 001, 010, 100, 011, 101, 110, 021, 012, 102, 120, 201, 210\}$$

There are 78 pairs but Yan and Lin (2021) showed that there are 48 Wilf classes and enumerated 17 of them.

- $|I_n(001, 210)| = \binom{n}{3} + n$
- For $p \in \{(012, 201), (012, 210)\}$, $|I_n(p)| = 2^{n+1} - \binom{n+1}{3} - 2n - 1$
- For $p \in \{(012, 021), (110, 012)\}$, $|I_n(p)| = 2^n - n$

Enumeration of $I_n(B)$

algorithm+generating tree+kernel method \rightarrow enumeration

Generating function $R(x) = \sum_{n \geq 1} |I_n(B)|x^n$.

We have three main steps:

- ▶ determine the succession rules for the corresponding generating tree.
- ▶ determine the equations satisfied by the generating functions from the tree rules.
- ▶ solve the equations and determine the enumerating sequence for $I_n(B)$.

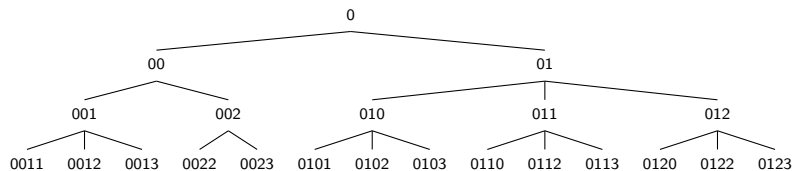
Tree representation of $\mathcal{I}(B) = \cup_{n=1}^{\infty} I_n(B)$

We will construct a pattern-avoidance tree $\mathcal{T}(B)$ corresponding to the class $\mathcal{I}(B)$ as follows:

- ▶ the root is 0 and stays at level 1.
- ▶ the n^{th} level of the tree consist exactly the elements of $I_n(B)$.
- ▶ the children of $e_1 e_2 \cdots e_{n-1} \in I_{n-1}(B)$ are obtained from the set $\{e_1 e_2 \cdots e_{n-1} e_n \mid e_n = 0, 1, \dots, n-1\}$ by obeying the pattern avoidance restrictions of B .
- ▶ we arrange the nodes from the left to the right so that $e_1 e_2 \cdots e_{n-1} i$ appears on the left of $e_1 e_2 \cdots e_{n-1} j$ if $i < j$.

Tree representation of $I_n(000, 021)$

First four levels of $\mathcal{T}(000, 021)$



An equivalence relation on $\mathcal{T}(B)$

Let $\mathcal{T}(B; e)$ denote the subtree in $\mathcal{T}(B)$ which has the root e .

We define an equivalence relation on $\mathcal{T}(B)$ as follows: let $e, e' \in \mathcal{T}(B)$

$$e \sim e' \text{ if and only if } \mathcal{T}(B; e) \cong \mathcal{T}(B; e')$$

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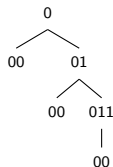
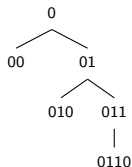
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Lemma

Let t be the length of the longest pattern in B .

$$\mathcal{T}(B; e) \cong \mathcal{T}(B; e') \text{ if and only if } \mathcal{T}^{2t}(B; e) \cong \mathcal{T}^{2t}(B; e')$$

a simple example: enumeration of $I_n(000, 001, 012)$



The generating tree succession rules are given by

Root: 0,

Rules: $0 \rightsquigarrow 00, 01$

$01 \rightsquigarrow 00, 011$

$011 \rightsquigarrow 00.$

a simple example: enumeration of $I_n(000, 001, 012)$

Let $R(x) = \sum_{n \geq 1} |I_n(000, 001, 012)| x^n$.

$$R(x) = x + xA_{00}(x) + xA_{01}(x),$$

$$A_{01}(x) = x + xA_{00}(x) + xA_{011}(x),$$

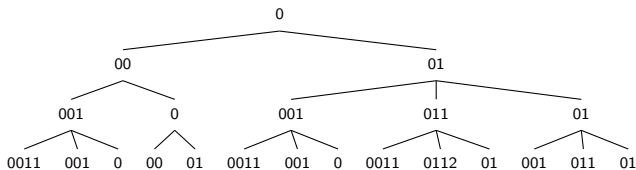
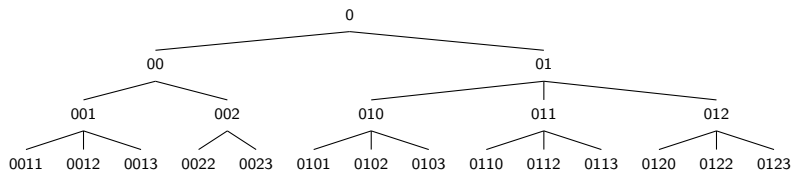
$$A_{011}(x) = x + xA_{00}(x),$$

$$A_{00}(x) = x.$$

Then $R(x) = x^4 + 2x^3 + 2x^2 + x$.

the case $B = \{000, 021\}$

Based on the second tree, we try to figure out the succession rules of the generating tree for the class $\mathcal{I}(B)$.



Succession rules for the generating tree of $I_n(000, 021)$

We define $r_0 = 0$, $b_0 = 0$, and for $m \geq 1$,

$$a_m = 0011 \cdots mm$$

$$b_m = 0011 \cdots (m-1)(m-1)m$$

$$c_m = 01122 \cdots mm$$

$$d_m = 01122 \cdots (m-1)(m-1)m.$$

The generating tree $\mathcal{T}(000, 021)$ is given by

Root: r_0 ,

Rules: $r_0 \rightsquigarrow a_0 d_1$,

$$a_m \rightsquigarrow b_{m+1} b_m \cdots b_0,$$

$$b_m \rightsquigarrow a_m b_m b_{m-1} \cdots b_0,$$

$$c_m \rightsquigarrow a_m d_{m+1} d_m \cdots d_1,$$

$$d_m \rightsquigarrow b_m c_m d_m d_{m-1} \cdots d_1.$$

Equations for the generating functions

Let $R(x) = \sum_{n \geq 1} |I_n(000, 021)|x^n$.

$$R(x) = x + xA_0(x) + xD_1(x),$$

$$A_m(x) = x + x \sum_{j=0}^{m+1} B_j(x),$$

$$B_m(x) = x + xA_m(x) + x \sum_{j=0}^m B_j(x),$$

$$C_m(x) = x + xA_m(x) + x \sum_{j=1}^{m+1} D_j(x),$$

$$D_m(x) = x + xB_m(x) + xC_m(x) + x \sum_{j=1}^m D_j(x).$$

Bivariate generating functions

We define

$$A(x, u) = \sum_{m \geq 0} A_m(x) u^m, B(x, u) = \sum_{m \geq 0} B_m(x) u^m$$

$$C(x, u) = \sum_{m \geq 1} C_m(x) u^{m-1}, D(x, u) = \sum_{m \geq 1} D_m(x) u^{m-1}.$$

Hence

$$R(x) = x + xA(x, 0) + xD(x, 0),$$

$$A(x, u) = \frac{x}{1-u} + \frac{x}{u}(B(x, u) - B(x, 0)) + \frac{x}{1-u}B(x, u),$$

$$B(x, u) = \frac{x}{1-u} + xA(x, u) + \frac{x}{1-u}B(x, u),$$

$$C(x, u) = \frac{x}{1-u} + \frac{x}{u}(A(x, u) + D(x, u) - A(x, 0) - D(x, 0)) + \frac{x}{1-u}D(x, u)$$

$$D(x, u) = \frac{x}{1-u} + \frac{x}{u}(B(x, u) - B(x, 0)) + xC(x, u) + \frac{x}{1-u}D(x, u).$$

Kernel Method

From the second and third equations, we get

$$\frac{(1-x)u - x^2 - u^2}{u(1-u-x)} A(x, u) = -\frac{x^2}{u(1-x)} A(x, 0) + \frac{x}{(1-u-x)(1-x)}.$$

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By choosing $u = x^2 M(x)$, where $M(x) = \frac{1-x-\sqrt{1-2x-3x^2}}{2x^2}$ is the generating function for the Motzkin numbers, we obtain

$$A(x, 0) = \frac{xM(x)}{1-x-x^2M(x)} = xM^2(x),$$

and then

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and then

$$A(x, u) = \frac{xM(x)(x^2M(x) - u)}{u^2 + (x-1)u + x^2}$$

and

$$B(x, u) = \frac{xM(x)((u+x)x^2M(x) - u + x^2)}{u^2 + u(x-1) + x^2}.$$

Enumeration of $I_n(000, 021)$

The generating function $R(x) = \sum_{n \geq 1} |I_n(000, 021)|x^n$ is given by

$$R(x) = \frac{3x^3 + x^2 - 3x + 1}{2x^2 \sqrt{(1+x)(1-3x)}} - \frac{(1-x)^2}{2x^2}.$$

Hence

$$|I_n(000, 021)| = \frac{1}{2}(3a_{n-1} + a_n - 3a_{n+1} + a_{n+2})$$

for all $n \geq 1$ where $a_n = \sum_{k=0}^n (-1)^{n-k} \binom{n}{k} \binom{2k}{k}$.

Enumeration of $I_n(021, 00011)$

the vertex labeling symbols:

$a_m = 0^m$, $b_m = 01^m$, $c_m = 001^m$, $d_m = 0^2 1^2 \dots m^2$, $e_m = 0^2 1^2 \dots (m-1)^2 m$, $f_m = 01^2 2^2 \dots m^2$, and $g_m = 01^2 2^2 \dots (m-1)^2 m$, for all $m \geq 1$; and $a_e = e$ for an inversion sequence e .

the generating tree succession rules:

$$a_0 \rightsquigarrow a_{00} g_1,$$

$$a_{002} \rightsquigarrow a_3 a_{0022} a_{002},$$

$$a_{00222} \rightsquigarrow a_5 c_3 a_3 a_{0002} a_{0003},$$

$$b_m \rightsquigarrow b_{m+1} c_m a_m \dots a_3 a_{0002} a_{0003}, \quad m \geq 3$$

$$c_m \rightsquigarrow a_{m+3} c_{m+1} a_{m+1} \dots a_3 a_{0002} a_{0003},$$

$$e_m \rightsquigarrow a_{m+3} d_m e_m \dots e_1 a_{002},$$

$$a_{00} \rightsquigarrow a_3 e_1 a_{002},$$

$$a_{0022} \rightsquigarrow a_4 a_{00222} e_1 a_{002},$$

$$a_m \rightsquigarrow a_{m+1} \dots a_3 a_{0002} a_{0003},$$

$$d_m \rightsquigarrow a_{m+4} c_{m+2} e_{m+1} \dots e_1 a_{002}, \quad m \geq 1$$

$$f_m \rightsquigarrow d_m b_{m+2} g_{m+1} \dots g_1, \quad m \geq 1$$

$$g_m \rightsquigarrow e_m f_m g_m \dots g_1, \quad m \geq 1$$

Then we have

$$F_{(021,00011)}(x) = \frac{(1-x-3x^2)\sqrt{1-4x-9x^3-3x^2+4x-1}}{2x^3\sqrt{(1+x)(1-3x)}} - \frac{(2-2x+3x^2)\sqrt{1-4x+2x^3-8x^2+7x-2}}{2x^3}.$$

Enumeration of $I_n(021, 00012)$

the vertex labeling symbols:

$a_m = 0^m$, $b_m = 01^m$, $c_m = 001^m$, $d_m = 0^2 1^2 \dots m^2$, $e_m = 0^2 1^2 \dots (m-1)^2 m$, $f_m = 01^2 2^2 \dots m^2$, and $g_m = 01^2 2^2 \dots (m-1)^2 m$, for all $m \geq 1$; and $a_e = e$ for an inversion sequence e .

the generating tree succession rules:

$$a_0 \rightsquigarrow a_{00} g_1,$$

$$a_{002} \rightsquigarrow a_3 a_{0022} a_{002},$$

$$a_{00222} \rightsquigarrow a_5 c_3 a_{0001}^3,$$

$$a_m \rightsquigarrow a_{m+1} a_{0001}^m,$$

$$c_m \rightsquigarrow a_{m+3} c_{m+1} a_{0001}^{m+1},$$

$$e_m \rightsquigarrow a_{m+3} d_m e_m \dots e_1 a_{002},$$

$$g_m \rightsquigarrow e_m f_m g_m \dots g_1.$$

$$a_{00} \rightsquigarrow a_3 e_1 a_{002},$$

$$a_{0022} \rightsquigarrow a_4 e_1 a_{002} a_{00222},$$

$$a_{0001} \rightsquigarrow a_{0001}^2,$$

$$b_m \rightsquigarrow b_{m+1} c_m a_{0001}^m,$$

$$d_m \rightsquigarrow a_{m+4} c_{m+2} e_{m+1} \dots e_1 a_{002},$$

$$f_m \rightsquigarrow d_m b_{m+2} g_{m+1} \dots g_1,$$

Then we have

$$F_{(021,00012)}(x) = \frac{4x^9 - 8x^8 - 8x^7 + 10x^6 - 18x^5 + 6x^4 + 8x^3 - 9x^2 + 4x - 1}{2x^2(1+x)^2(1-x)^4(1-2x)} + \frac{18x^7 - 24x^6 + 24x^5 + 8x^4 - 26x^3 + 17x^2 - 6x + 1}{2x^2(1+x)(1-x)^4(1-2x)\sqrt{(1+x)(1-3x)}}.$$

Enumeration of $I_n(021, \tau)$

Mansour-Y. (2022)

We determined the generating trees and generating functions for the inversion sequences avoiding 021 and another pattern of length 4 or 5.

$$|I_n(\{021, 0001\})| = \frac{(4n-25)(-1)^n}{32} - \frac{n(n+1)-1}{4} + \frac{1}{32}3^{n+4} \\ + \sum_{j=0}^{n+1} \left(\frac{(4j-39)(-1)^j}{32} + \frac{1}{4}j^2 - j + \frac{1}{2} - \frac{1}{32}3^{j+2} \right) M_{n+1-j},$$

$$|I_n(\{021, 0010\})| = \binom{2n}{n},$$

$$|I_n(\{021, 0011\})| = C_{n+2} + 1 - \sum_{j=0}^{n+1} C_j,$$

$$|I_n(\{021, 0012\})| = 2^{n+3} - \frac{(n+1)(2n^2+7n+24)}{6} - 3,$$

$$|I_n(\{021, 0100\})| = |I_n(\{021, 0110\})| = \frac{n^2+n+6}{8(2n+3)(2n+5)} \binom{2n+6}{n+3},$$

$$|I_n(\{021, 0101\})| = |I_n(\{021, 0111\})| = \sum_{i=1}^{n+1} \frac{1}{i} \binom{n}{i-1} \binom{2n+2-i}{i-1}$$

$$|I_n(\{021, 0102\})| = 2^{n+1} - \frac{(n+1)(n^2 + 2n + 12)}{6} - 1 + \sum_{j=0}^{n+1} C_j$$

$$|I_n(\{021, 0112\})| = C_{n+1} - 2^{n+1} + 1 + \sum_{j=0}^n 2^{n-j} C_j,$$

$$|I_n(\{021, 0120\})| = |I_n(\{021, 0122\})| = \frac{1}{2} \binom{2n+2}{n+1} - \frac{1}{2} \sum_{j=1}^n \binom{2j}{j},$$

$$|I_n(\{021, 0123\})| = 2^{n-1}(n^2 - 3n + 4) + \frac{n(n+1)}{2} - 1,$$

$$|I_n(\{021, 1000\})| = |I_n(\{021, 1100\})| = \frac{n^5 + 2n^4 + 23n^3 + 46n^2 + 120n + 48}{2(n+1)(n+2)(n+3)(n+4)} \binom{2n}{n},$$

$$|I_n(\{021, 1001\})| = |I_n(\{021, 1011\})| = |I_n(\{021, 1101\})| = \frac{1}{n+1} \sum_{j=0}^{\lfloor \frac{n}{2} \rfloor} \binom{n+1}{j} \binom{2n+2}{n-2j},$$

$$|I_n(\{021, 1002\})| = \frac{1}{2} \binom{2n+6}{n+3} - \frac{5}{2} \binom{2n+4}{n+2} + \frac{5}{2} \binom{2n+2}{n+1} + \frac{1}{2} \sum_{j=0}^n \binom{2j}{j} \\ + 2^{n+1} - \frac{1}{24}(n^4 + 2n^3 + 11n^2 + 34n + 36),$$

$$|I_n(\{021, 1020\})| = |I_n(\{021, 1022\})| \\ = \binom{2n+8}{n+4} - \frac{13}{2} \binom{2n+6}{n+3} + \frac{21}{2} \binom{2n+3}{n+2} - \frac{1}{2} \sum_{j=0}^{n+1} \binom{2j}{j} - \frac{1}{2},$$

$$|I_n(\{021, 1023\})| = \sum_{j=0}^{n+1} (2^{j+1} - j - 1) C_{n+1-j} + \frac{n(3n^3 + 22n^2 + 129n + 398)}{24} + 2^{n-1}(n^2 - 3n - 52) + 24,$$

$$|I_n(\{021, 1102\})| = \frac{1}{2} \binom{2n+6}{n+3} - \frac{21}{4} \binom{2n+4}{n+2} + \binom{2n+2}{n+1} + \frac{(n+1)^2}{2} - 2^n + \frac{1}{2} \sum_{j=1}^{n+3} (2^{j-2} - 3j + 8) \binom{2n+6-2j}{n+3-j}$$

$$|I_n(\{021, 1120\})| = 4^n - \frac{n}{2(2n+3)} \binom{2n+4}{n+2},$$

$$|I_n(\{021, 1200\})| = |I_n(\{021, 1220\})| = \frac{n+4}{2(n+2)} \binom{2n+2}{n+1} + \sum_{j=0}^{n-1} (2j+1) \binom{2j}{j} - 4^n,$$







$$|I_n(\{021, 1203\})| = \frac{n+1}{24} (n^3 + n^2 - 2 * n - 108) + 2^{n-1} (n^2 - 11n + 28) - \frac{19}{2} \\ + \frac{1}{2} \binom{2n+2}{n+1} - \frac{1}{2} \sum_{j=2}^{n+1} (j-1) \binom{2n+2-2j}{n+1-j},$$

$$|I_n(\{021, 1220\})| = \frac{n+4}{n+2} \binom{2n+1}{n} - 4^n + \sum_{j=0}^n (2j+1) \binom{2j}{j},$$

$$|I_n(\{021, 1230\})| = \frac{1}{3} (2 \cdot 4^n + 1) + \sum_{j=1}^n \left(\frac{j}{2} - 2^{j-1} \right) \binom{2n+2-2j}{n+1-j}.$$

Thank you!

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succession rules

Consider the children of a node labeled by $a_m = 0011 \cdots mm$:

$$a_m j = 0011 \cdots mmj \text{ where } j = m + 1, m + 2, \dots, 2m + 2$$

otherwise, $a_m j$ does not avoid B .

- ▶ $a_m(m + 1) = 0011 \cdots mm(m + 1) = b_{m+1}$;
- ▶ for other j values, $a_m(m + j) = 0011 \cdots mm(m + j)$;
note that $\mathcal{T}(B; a_m(m + j)) \cong \mathcal{T}(B; b_{m+2-j})$ by removing the letters $m + 2 - j, m + 3 - j, \dots, m$ and decreasing each letter greater than m by $2j - 1$.
- ▶ therefore the children of the node with label a_m are exactly the nodes labelled by b_{m+1}, b_m, \dots, b_0 , that is,
 $a_m \rightsquigarrow b_{m+1} b_m \cdots b_0$.