On the combinatorics of one variable catalytic equations

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join work with ENRICA DUCHI

L'esprit des cartes, une conférence en l'honneur d'Emmanuel Guitter

Mai 15, 2025, Saclay

Recall from Mireille's talk that a 1-catalytic equation is an equation of the form

 $P(F(u), f_1, f_2, \dots, f_k, u, t) = 0$

where P is a polynomial with coefficients in some field \mathbb{F} and we seek the unknown formal power series $F(u) \equiv F(t, u) \in \mathbb{F}[[t, u]]$ and $f_i \equiv f_i(t) \in \mathbb{F}[[t]]$.

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A nice example is the (Bender-Canfield generalized) Tutte equation

$$F(u) = 1 + tu^2 F(u)^2 + t \sum_{i \ge 2} z_i \frac{F(u) - \sum_{j=0}^{i-2} u^j F_j}{u^{i-2}}$$

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More generally 1-catalytic equations are ubiquitous in map enumeration, and closely related to the *loop equations* of the early matrix integral literature. They are also sometimes known as *discrete differential equations*.

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The celebrated **Bousquet-Mélou** – **Jehanne theorem** states that 1-catalytic equations of the form

$$F(u) = F_0(u) + tQ(F(u), \Delta F(u), \dots, \Delta^k F(u), u, t)$$

where $F_0(u)$ and $Q(v, w_1, \ldots, w_k, u)$ are polynomials with coefficients in \mathbb{F} , and

$$\Delta^{k} F(u) = \frac{F(u) - f_1 - uf_2 - \dots - u^{k-1} f_k}{u^k},$$

have unique solutions, and it provides a non degenerated system of algebraic equations that they satisfy.

For the earlier Tutte equation

$$F(u) = 1 + tu^2 F(u)^2 + tuz_1 F(u) + \sum_{i \ge 2} z_i \Delta^{i-2} F(u)$$

BMJ theorem yields a parametrization that can be then rewritten as

$$F_2(t) = S_1^2 + S_2 - 2S_1[v^{-2}]W - [v^{-3}]W$$

•

with

$$W = \sum_{i \ge 1} z_i (v + S_1 + S_2 / v)^{i-1}, \quad S_1 = t[u^0]W, \text{ and } S_2 = t + t[v^{-1}]W.$$

—With $z_i = 0$ for all i > m.

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For instance for triangulations, $z_i = 0$ for all $i \neq 3$, and we get:

$$F_2(t) = S_1^2 + S_2 - 2S_1 S_2^2$$

with

$$S_1 = t(S_1^2 + 2S_2),$$
 and $S_2 = t + 2t(S_1S_2).$

Algebraic equations are closely related to well funded **context-free specifications**:

 $\begin{cases} \mathcal{F}^{(1)} \equiv \mathcal{P}^{(1)}(\mathbf{z}; \mathcal{F}^{(1)}, \dots, \mathcal{F}^{(k)}) \\ \vdots \\ \mathcal{F}^{(k)} \equiv \mathcal{P}^{(k)}(\mathbf{z}; \mathcal{F}^{(1)}, \dots, \mathcal{F}^{(k)}) \end{cases}$

with each $\mathcal{P}^{(i)}$ a finite combination of + and \times operators

e.g.
$$\mathcal{A} \equiv \mathbf{z} + \mathcal{A} \times \mathcal{A}$$

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The gf translation is an \mathbb{N} -algebraic system:

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with each $P^{(i)}$ a polynomial with non negative coefficients, and with a unique power series solution $F^{(1)} \equiv F^{(1)}(t) = \sum_{n \ge 0} F_n^{(1)} t^n$ in $\mathbb{C}[[t]]$. e.g. $A(t) = t + A(t)^2$

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Conversely when the gf of a combinatorial family \mathcal{A} is known to be \mathbb{N} -algebraic, one would like to explain it via a **context-free specification** of \mathcal{A} .

(Schützenberger's methodology for algebraic gf)

Context-free specifications and multitype simply generated trees

Context-free decompositions are naturally associated with multitype simply generated trees:



The *derivation trees of a context-free specification* are multitype simply generated trees, *i.e.* trees specified by the allowed node progeny for each color, with independent subtrees.

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Context-free specification for maps

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This algebraic parametrization was given **two** beautiful combinatorial interpretations by **Emmanuel Guitter** with Jérémie Bouttier and Philippe Di Francesco

• first in terms of *blossoming trees*,

[Census of Planar Maps: From the One-Matrix Model Solution to a Combinatorial Proof, Nuclear physics, 2002]

• and then in terms of their celebrated *BDFG mobiles*.

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Later Emmanuel and Jérémie also gave a direct context-free specification of maps

Planar maps as pizza slices, aka [Planar Maps and continous fractions, Comm. Math. Phys., 2012]

In summary:

- Maps admit "easy" catalytic specifications
- Catalytic equations have *nice* algebraic solutions
- \Rightarrow combinatorial interpretation problem !

These ideas have been generalized for a huge variety of map families...

and have led to many developments in Combinatorics, Probability or Algorithmics

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- But Catalytic equations also surface in various other enumeration problems, for instance for
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So could we (should we?) carry on this combinatorial interpretation program for all these objects... What about a systematic approach?

BMJ theorem, for order one 1-catalytic equations

Let Q(v,w,u) be a polynomial with $Q(0,0,u) \neq 0$

and $F(u) \equiv F(t, u)$ the unique fps solution of the catalytic equation

$$F(u) = t Q\left(F(u), \frac{1}{u}(F(u) - f), u\right), \qquad \text{ where } f \equiv f(t) = F(t, 0).$$

Let U, V, W and R be the unique fps satisfying the system

$$\begin{cases} V = t \cdot Q(V, W, U) \\ R = t \cdot (1+R) \cdot Q'_v(V, W, U) \\ U = t \cdot (1+R) \cdot Q'_w(V, W, U) \\ W = t \cdot (1+R) \cdot Q'_u(V, W, U) \end{cases}$$

Then f is given by f = V - UW or $tf_t' = (1+R) \cdot V$

 \Rightarrow The particularly simple form of this parametrization calls for a combinatorial lifting.

Planar λ -terms can be presented as trees with

- applications: binary nodes
- λ -abstractions: unary nodes **O**
- variables: leaves, represented as arrows \blacksquare , each matching an ancestor λ ,

with condition that each λ is binded to exactly one variable in a planar way...

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Equivalently, in each subterm there are more variables than abstractions,

or the *catalytic parameter*, $excess(\tau) = #{variables} - #{abstractions}$, is non negative everywhere.



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Then a catalytic decomposition is $\mathcal{P} = - \underbrace{}_{k} \bigcirc = - \underbrace{}_{1} + \underbrace{}_{\ell+m} \underbrace{}_{m} \bigcirc \mathcal{P} + \underbrace{}_{\ell} \underbrace{}_{\lambda} \underbrace{}_{\ell+1} \bigcirc \mathcal{P} \setminus \mathcal{P}_{0}$

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and the catalytic equation for the gf $P(u) = \sum_{\tau \in \mathcal{P}} t^{|\tau|} u^{excess(\tau)}$ is

$$P(u) = tu + tP(u)^2 + \frac{t}{u}(P(u) - P(0))$$

Decorated trees and non negative trees

non-negative Q-tree = necklace tree s.t. the excess at each pearl is non negative.

Observe:

slightly stronger condition than just asking non negative excess on vertices

$$\mathsf{excess} = \#\{\bullet\} - \#\{\bullet\}$$



Non negative Q-trees and catalytic equations

Let
$$\mathcal{F} = \{$$
 non-negative \mathcal{Q} -**trees** $\}$, $\mathcal{Q} = \{ \bigoplus, \ldots \} \bigoplus \bigoplus \{ w, e^{-1} \in \mathbb{R}^{d} \} \geq \# \{ e^{-1} \}$
in planted subtrees
 $Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$ the vertex type gf, where q_s are weights
and $F(u) \equiv F(t, u) = \sum_{\tau \in \mathcal{F}} q_\tau t^{|\tau|} u^{\operatorname{excess}(\tau)}$, where $q_\tau = \prod_{s \in \tau} q_s$
Proposition. The gf $F(u)$ of non negative \mathcal{Q} -trees satisfies a catalytic equation of order one:

$$F(u) = tQ\Big(F(u), \frac{1}{u}(F(u) - F(0)), u\Big)$$

Non negative Q-trees and catalytic equations

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Proposition. The gf F(u) of non negative Q-trees satisfies a catalytic equation of order one: $F(u) = tQ\Big(F(u), \frac{1}{u}(F(u) - F(0)), u\Big)$

Indeed the equation $F(u) = t \sum_{s \in Q} q_s F(u)^{\bullet(s)} \left(\frac{1}{u} (F(u) - F(0))\right)^{\bullet(s)} u^{\bullet(s)}$ follows from a decomposition at the root: $\mathcal{F} \equiv \sum_{s \in Q} q_s \cdot \boxed{s} = 0$ where $\mathcal{F}^+ = \mathcal{F} \setminus f$

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le: $F(u) = tQ\left(F(u), \frac{1}{u}(F(u) - F(0)), u\right)$

 \Rightarrow non-negative Q-trees give a generic combinatorial interpretation for catalytic equations of order one with non negative coefficients.

Non negative Q-trees and companion Q-trees



Balanced companion Q-trees VS rooted companion Q-trees



Balanced companion Q-trees VS rooted companion Q-trees





 $C_{\Box} = \mathcal{Z} \times Q(C_{\Box}, C_{\bullet}, C_{\bullet})$ $\square \equiv Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$

$$\mathcal{Q} = \{ \bullet, \dots \}$$



 $\mathcal{Q} = \{ \bullet, \dots \}$ $C_{\Box} = \mathcal{Z} \times Q(C_{\Box}, C_{\bullet}, C_{\bullet})$ $Q(v, w, u) = \sum q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$ $s \in \mathcal{Q}$ $C_{\bullet} = \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\Box}, C_{\bullet}, C_{\bullet}) \quad \downarrow \equiv \underbrace{\downarrow}_{\bullet} = \underbrace{\downarrow}_{\bullet} + \underbrace{\downarrow}_{\bullet} \underbrace{\downarrow}_{\bullet} Q'_{\bullet} = \{\underbrace{\downarrow}_{\bullet}, \underbrace{\downarrow}_{\bullet}, \underbrace{\downarrow}_{\bullet}, \ldots\}$



The combinatorial lifting of BMJ theorem

THEOREM (Duchi-S. 23) Let $\mathcal{F} \equiv \mathcal{Z} \times Q\left(\mathcal{F}, \frac{1}{u}(\mathcal{F} \setminus f), u\right)$ be a catalytic decomposition of order one where $Q(v, w, u) = \sum_{s \in \mathcal{Q}} q_s v^{\bullet(s)} w^{\bullet(s)} u^{\bullet(s)}$ is the node gf of the associated non negative derivation \mathcal{Q} -trees

then
$$f \stackrel{\text{rewiring}}{\equiv} C = C_{\Box} - C_{\bullet} \times C_{\bullet}$$

 $f'_t \stackrel{\text{rewiring}}{\equiv} C^{\circ} = (1 + C_{\bullet}) \times Q(C_{\Box}, C_{\bullet}, C_{\bullet})$

where the companion trees satisfy:

$$\begin{cases} C_{\Box} = \mathcal{Z} \times Q(C_{\Box}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} = \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\Box}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} = \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\Box}, C_{\bullet}, C_{\bullet}) \\ C_{\bullet} = \mathcal{Z} \times (1 + C_{\bullet}) \times Q'_{\bullet}(C_{\Box}, C_{\bullet}, C_{\bullet}) \end{cases}$$

Planar λ -terms and \mathcal{Q}_{λ} -trees

Open planar $\lambda\text{-term}$ are to plane trees with

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- abstractions: unary nodes
- variables: leaves, represented as arrow.

with condition that in each subterm there are more variables than abstractions.

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Mark variables with \bullet and abstractions λ with $\bullet,$ then the set of vertex types is

$$\mathcal{Q}_{\lambda} = \{ \mathbf{\Phi} , \mathbf{\Phi} , \mathbf{\Phi} \}$$

Then non negative Q_{λ} -trees = open planar λ -terms

non negative Q_{λ} -trees with excess **0** = closed planar λ -terms



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 $\mathcal{Q}_{\lambda} = \{ \mathbf{p}, \mathbf{p}, \mathbf{p} \}$

Then non negative Q_{λ} -trees = open planar λ -terms

non negative Q_{λ} -trees with excess **0** = closed planar λ -terms

The closure corresponds to the planar abstraction-variable binding.



Planar λ -terms, closure and rewiring



Corollary.

Rewiring yields a size-preserving bijection between marked planar λ -terms and companion trees with context-free specification:



What's next?

Catalytic equations also surface in various other enumeration problems, for instance for

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Rewiring gives bijections with trees for these models...

 \Rightarrow but what are the *pizza slices* for these structures ?

Bijections allow to tackle new parameters...

 \Rightarrow so what is the equivalent of *distances in maps* for these structures ?

For order 1 we started from

 $F(u) = t Q \left(F(u), \frac{1}{u}(F(u) - f), u\right), \quad \text{where } f \equiv f(t) = F(t, 0).$ and the N-algebraic system $\begin{cases} V = t \cdot Q(V, W, U) \\ R = t \cdot (1 + R) \cdot Q'_v(V, W, U) \\ U = t \cdot (1 + R) \cdot Q'_w(V, W, U) \\ W = t \cdot (1 + R) \cdot Q'_u(V, W, U) \end{cases}$

For order k we need to deal with

$$P(F(u), f_1, f_2, ..., f_k, u, t) = 0$$
 or $P(u) = Q(F(u), \Delta F(u), ..., \Delta^k F(u), u, t)$

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This is making things harder: I think Emmanuel will indeed agree that

bijections are easier to find if one has a nice and complicated formula to interpret!

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So here is the plan...

The linear case: essentially the kernel method for 1d walks with arbitray up and down steps

- \rightarrow the kernel method works systematically for finite sets of steps (Bousquet-Mélou, around 2000)
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The non linear case: the resulting heuristic is to rewrite the BMJ systems in terms of the elementary functions in the u_i instead, and to avoid the $F(u_i)$, use the discriminant form of the system.

in progress: apply the combinatorial specification of the linear case along a branch and sort out the ugly details to see what comes out ! Thank you,

happy anniversary,

and long life to combinatorial physics !