

Bubble Sort and Permutation Classes

Mathilde Bouvel

LaBRI, CNRS

Joint work with

M.H. Albert, M.D. Atkinson, A. Claesson and M. Dukes

The Bubble Sort Operator B

B = one pass of **bubble sort**.

On sequences that are **permutations**.

Definition(s):

- Algorithmically:

↔ B processes a permutation σ from left to right, and modifies σ dynamically exchanging $\sigma(i)$ and $\sigma(i+1)$ when $\sigma(i) > \sigma(i+1)$.

- Recursively:

↔
$$\begin{cases} B(\sigma_1 n \sigma_2) = B(\sigma_1) \sigma_2 n & \text{if } \sigma = \sigma_1 n \sigma_2 \in S_n \\ B(\varepsilon) = \varepsilon \end{cases}$$

- Explicitly:

↔ If $\sigma = n_1 \lambda_1 n_2 \lambda_2 \cdots n_k \lambda_k$ where n_1, \dots, n_k are the left to right maxima of σ then $B(\sigma) = \lambda_1 n_1 \lambda_2 n_2 \cdots \lambda_k n_k$.

NB Stack-sorting operator S
 $S(\sigma_1 n \sigma_2) = S(\sigma_1) S(\sigma_2) n$

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Permutation Classes

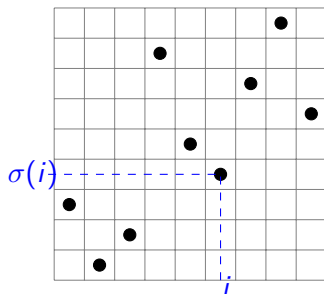
Permutations

- $S_n =$ permutations σ of $\{1, 2, \dots, n\}$
- Representation by a word: $\sigma(1)\sigma(2) \cdots \sigma(n)$, by its diagram, ...

Patterns

- Subpermutation of σ
- Subword or subset of points of the diagram that is normalized

Example: $2134 \preceq 312854796$ since $3279 \equiv 2134$



$$\sigma = 312854796$$

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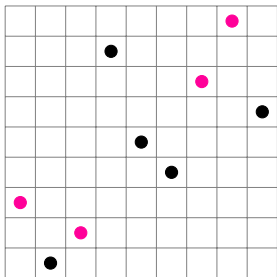
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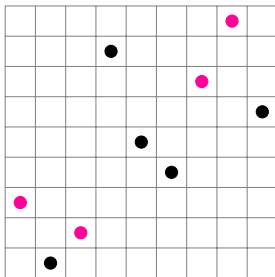
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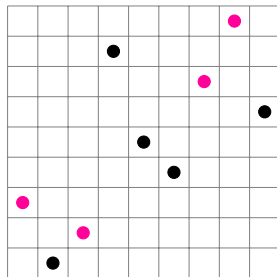
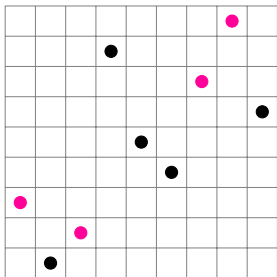
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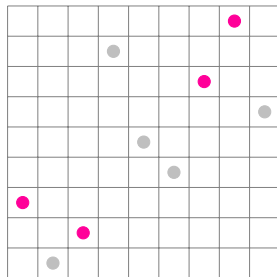
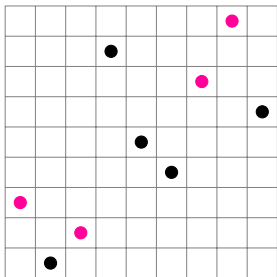
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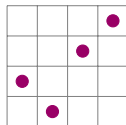
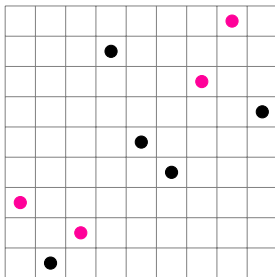
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Example: $2134 \preceq 312854796$ since $3279 \equiv 2134$

Occurrence of a pattern

- Occurrence = subpermutation without normalization

Example : $3279 \subseteq 312854796$

Classes

- Subset of $S = \cup_n S_n$ downward closed for \preceq
- Characterization by a basis of excluded patterns: $\mathcal{C} = Av(\mathcal{B})$
- Principal classes: $\mathcal{C} = Av(\pi)$

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Example: 2134 \preceq 312854796 since 3279 \equiv 2134

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Proposition

*The permutations that are sorted by B are a class.
Namely: $B(\sigma) = Id$ iff $\sigma \in Av(231, 321)$.*

Proof: by induction.

Decompose $\sigma = \sigma_1 n \sigma_2$ around its maximum n .

Recall that $B(\sigma) = B(\sigma_1) \sigma_2 n$.

σ is sorted by B

$\Leftrightarrow \sigma_1$ is sorted by B , σ_2 is increasing, and $\sigma_1 < \sigma_2$

$\Leftrightarrow \sigma_1 \in Av(231, 321)$, σ_2 is increasing, and $\sigma_1 < \sigma_2$

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Motivation and main result

- B -sortable permutations

$$\hookrightarrow B^{-1}(Av(21)) = Av(231, 321)$$

- SB -sortable permutations?

$$\hookrightarrow (SB)^{-1}(Av(21)) = B^{-1}(Av(231))$$

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$$\hookrightarrow (BB)^{-1}(Av(21)) = B^{-1}(Av(231, 321))$$

- In general, what can we say about $B^{-1}(\mathcal{C})$?

For $\mathcal{C} = Av(\pi)$ a principal permutation class, we can determine

- when $B^{-1}(Av(\pi))$ is a class,
- and in this case give its basis.

This result is proved by considering the LtoR-maxima of π .

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Summary of results

π	$B^{-1}(Av(\pi))$	Basis
1	is a class	1
12	is a class	12, 21
21	is a class	231, 321
$n\alpha, \alpha \neq \varepsilon$	is a class	$n(n+1)\alpha, (n+1)n\alpha$
$(n-1)\alpha n, \alpha \neq \varepsilon$	is a class	$(n-1)n\alpha, n(n-1)\alpha$
$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$
$a\alpha b\beta n, \beta \neq \varepsilon$	is a class	$R(a\alpha b\beta)$
$(n-2)\alpha(n-1)n$	is a class	$(n-2)(n-1)\alpha n, (n-1)(n-2)\alpha n,$ $(n-2)n\alpha(n-1), n(n-2)\alpha(n-1)$
$a\alpha b\beta c\gamma, \gamma \neq \varepsilon$	is not a class	

Remarks: $n, (n-1), (n-2), a, b$ and c are LtoR-maxima.

If $\pi = \begin{array}{cc} & \bullet b \\ a \bullet & \boxed{\beta} \\ \boxed{\alpha} & \end{array}$, then $R(\pi)$ is the set of permutations $\begin{array}{cc} & \bullet b \\ \bullet a & \boxed{\beta} \\ \boxed{\alpha} & \end{array}$.

Proposition

There are no permutations σ of length $n \geq 1$ such that $B(\sigma)$ avoids 1. Hence $B^{-1}(Av(1)) = \{\varepsilon\} = Av(1)$.

Proposition

The only permutations σ such that $B(\sigma)$ avoids 12 are ε and 1. Hence $B^{-1}(Av(12)) = \{\varepsilon, 1\} = Av(12, 21)$.

Proof: $B(\sigma)$ always ends with its maximum.

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The permutations σ such that $B(\sigma)$ avoids 21 are the B -sortable permutations. Hence $B^{-1}(Av(21)) = Av(231, 321)$.

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$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	
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$(n-2)\alpha(n-1)n$	is a class	$(n-2)(n-1)\alpha n,$ $(n-1)(n-2)\alpha n,$ $(n-2)n\alpha(n-1),$ $n(n-2)\alpha(n-1)$	
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Patterns $\pi \in S_n$ ending with n but not with $(n-1)n$

Lemma

If $\pi \in S_n$ with $n \geq 3$ is such that $\pi(n) = n$ but $\pi(n-1) \neq n-1$, then setting $\pi' = \pi(1)\pi(2)\dots\pi(n-1)$ we have $B^{-1}(Av(\pi)) = B^{-1}(Av(\pi'))$.

Proof:

- $\sigma \in B^{-1}(Av(\pi')) \Rightarrow B(\sigma)$ avoids π'
 $\Rightarrow B(\sigma)$ avoids $\pi \Rightarrow \sigma \in B^{-1}(Av(\pi))$
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But $B(\sigma) = B(\sigma_1)\sigma_2m$ ends with its maximum m .
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But π' does not end with its maximum.
Hence $B(\sigma) = B(\sigma_1)\sigma_2m$ avoids π' and $\sigma \in B^{-1}(Av(\pi'))$.

This lemma applies in particular for $\pi = (n-1)\alpha n$ with $\alpha \neq \varepsilon$ and $\pi = a\alpha b\beta n$ with $\beta \neq \varepsilon$.

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$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	
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Patterns $\pi \in S_n$ with at least three LtoR-maxima $\neq \pi(n)$

Proposition

If $\pi = a\alpha b\beta c\gamma$, with a , b and c the first three LtoR-maxima of π and $\gamma \neq \varepsilon$, then $B^{-1}(Av(\pi))$ is not a class.

Proof:

By the previous lemma, we may assume that $\pi = a\alpha b\beta c\gamma n$.

Set $\theta_1 = ba\alpha n\beta c\gamma$ and $\theta_2 = (n+1)\theta_1$. Notice that $\theta_1 \preceq \theta_2$.

- Clearly, $B(\theta_1) = \pi$ and $\theta_1 \notin B^{-1}(Av(\pi))$.
- $B(\theta_2) = ba\alpha n\beta c\gamma(n+1)$
Since $B(\theta_2)$ is only one term longer than π , we easily check that $B(\theta_2)$ avoids π . Hence $\theta_2 \in B^{-1}(Av(\pi))$.

We have $B^{-1}(Av(\pi)) \not\cong \theta_1 \preceq \theta_2 \in B^{-1}(Av(\pi))$. Consequently, $B^{-1}(Av(\pi))$ is not a class.

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We have $B^{-1}(Av(\pi)) \not\cong \theta_1 \preceq \theta_2 \in B^{-1}(Av(\pi))$. Consequently, $B^{-1}(Av(\pi))$ is not a class.

Proposition

If $\pi = a\alpha b\beta c\gamma$, with a , b and c the first three LtoR-maxima of π and $\gamma \neq \varepsilon$, then $B^{-1}(Av(\pi))$ is not a class.

Proof:

By the previous lemma, we may assume that $\pi = a\alpha b\beta c\gamma n$.

Set $\theta_1 = ba\alpha n\beta c\gamma$ and $\theta_2 = (n+1)\theta_1$. Notice that $\theta_1 \preceq \theta_2$.

- Clearly, $B(\theta_1) = \pi$ and $\theta_1 \notin B^{-1}(Av(\pi))$.
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Summary of results

π	$B^{-1}(Av(\pi))$	Basis	Proof
1	is a class	1	✓
12	is a class	12, 21	✓
21	is a class	231, 321	✓
$n\alpha, \alpha \neq \varepsilon$	is a class	$n(n+1)\alpha, (n+1)n\alpha$	
$(n-1)\alpha n, \alpha \neq \varepsilon$	is a class	$(n-1)n\alpha, n(n-1)\alpha$	✓
$a\alpha b\beta, \beta \neq \varepsilon$	is a class	$R(\pi)$	
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$a\alpha b\beta c\gamma, \gamma \neq \varepsilon$	is not a class		✓

Common framework for the remaining cases

Lemma

For any pattern π , if there exists a set \mathcal{R} of permutations such that $\forall \sigma, \pi \preceq B(\sigma) \Leftrightarrow \rho \preceq \sigma$ for some $\rho \in \mathcal{R}$, then $B^{-1}(Av(\pi))$ is a class. Furthermore, if \mathcal{R} is minimal, it is the basis of $B^{-1}(Av(\pi))$.

Proof: Show that $B^{-1}(Av(\pi))$ is downward closed for \preceq .

$$\begin{aligned} \sigma &\notin B^{-1}(Av(\pi)) \\ \Leftrightarrow B(\sigma) &\notin Av(\pi) \\ \Leftrightarrow \pi &\preceq B(\sigma) \\ \Leftrightarrow \exists \rho \in \mathcal{R}, &\rho \preceq \sigma \end{aligned}$$

so that $\sigma \in B^{-1}(Av(\pi)) \Leftrightarrow \forall \rho \in \mathcal{R}, \rho \not\preceq \sigma$.

This shows that $B^{-1}(Av(\pi))$ is a downset, hence a class.

This also shows that the minimal \mathcal{R} is its basis.

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$$\Leftrightarrow B(\sigma) \notin Av(\pi)$$

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$$\Leftrightarrow \exists \rho \in \mathcal{R}, \rho \preceq \sigma$$

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Patterns $\pi \in S_n$ starting with n

Proposition

If $\pi \in S_n$ is such that $\pi = n\alpha$ for $\alpha \neq \varepsilon$, then $B^{-1}(Av(\pi))$ is a class whose basis is $\{n(n+1)\alpha, (n+1)n\alpha\}$.

Lemma

If $\pi \preccurlyeq B(\sigma)$, consider an occurrence $p\lambda \subseteq B(\sigma)$.

Then there exists $q > p > \lambda$ such that $pq\lambda \subseteq \sigma$ or $qp\lambda \subseteq \sigma$.

Hence $n(n+1)\alpha$ or $(n+1)n\alpha \preccurlyeq \sigma$.

Lemma

If $n(n+1)\alpha$ or $(n+1)n\alpha \preccurlyeq \sigma$, consider an occurrence $pq\lambda$ or $qp\lambda \subseteq \sigma$.

Then $p\lambda \subseteq B(\sigma)$.

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Hence $\pi \preceq B(\sigma)$.

Proof of the first lemma for $\pi = n\alpha$ with $\alpha \neq \varepsilon$

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Proof: by induction on $|\sigma|$.

- If $|\sigma| \leq 2$, result vacuously true (since $B(\sigma)$ ends with its maximum).
- If $\sigma = \sigma_1 m \sigma_2$ with $m = |\sigma| > 2$, then $p\lambda \subseteq B(\sigma_1)\sigma_2 m$.
Because $p\lambda$ does not end with its maximum, $p\lambda \subseteq B(\sigma_1)\sigma_2$.
- ★ If $\lambda = \lambda_1 \lambda_2$ with $\lambda_1 \neq \varepsilon$, $p\lambda_1 \subseteq B(\sigma_1)$ and $\lambda_2 \subseteq \sigma_2$, then by induction $p\lambda_1 \subseteq B(\sigma_1)$ implies that $\exists q > p$ such that $pq\lambda_1 \subseteq \sigma_1$ or $qp\lambda_1 \subseteq \sigma_1$.
Hence $\sigma = \sigma_1 m \sigma_2$ contains an occurrence of $pq\lambda_1 \lambda_2$ or of $qp\lambda_1 \lambda_2$.
- ★ If $p \subseteq B(\sigma_1)$ and $\lambda \subseteq \sigma_2$, then $p \subseteq \sigma_1$ and $pm\lambda \subseteq \sigma_1 m \sigma_2 = \sigma$.
- ★ If $p\lambda \subseteq \sigma_2$, then $mp\lambda \subseteq m\sigma_2 \subseteq \sigma$.

Proof of the second lemma for $\pi = n\alpha$ with $\alpha \neq \varepsilon$

Lemma

If $n(n+1)\alpha$ or $(n+1)n\alpha \preceq \sigma$, consider an occurrence $pq\lambda$ or $qp\lambda \subseteq \sigma$.

Then $p\lambda \subseteq B(\sigma)$.

Hence $\pi \preceq B(\sigma)$.

Proof:

Recall that if $\sigma = n_1\lambda_1n_2\lambda_2\cdots n_k\lambda_k$ where n_1, \dots, n_k are the left to right maxima of σ then $B(\sigma) = \lambda_1n_1\lambda_2n_2\cdots \lambda_kn_k$.

Hence, the order of the elements not LtoR-maxima is preserved by B .

- If $qp\lambda \subseteq \sigma$, $p\lambda$ are not LtoR-maxima. Hence $p\lambda \subseteq B(\sigma)$.
- This also holds when $pq\lambda \subseteq \sigma$ and p is not a LtoR-maximum.
- If $pq\lambda \subseteq \sigma$ and p is a LtoR-maximum, then there exists some r between p and q (possibly $r = q$) in σ that is a LtoR-maximum. This implies that p still precedes λ in $B(\sigma)$, hence $p\lambda \subseteq B(\sigma)$.

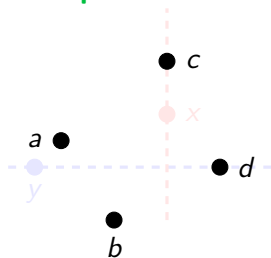
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Introducing ambiguity in diagram representations

- A set of points in the plane that are pairwise neither horizontally nor vertically aligned represents a permutation.
- When some points are horizontally or vertically aligned, **sets of permutations** are represented (considering all possible disambiguations).

Example:

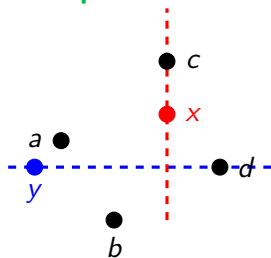


- $\{a, b, c, d\}$ represents 3142.
- $\{a, b, c, d, x, y\}$ represents the set $\{241563, 241653, 341562, 341652\}$.

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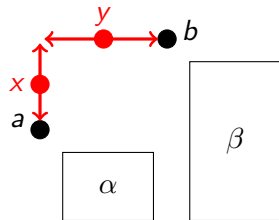
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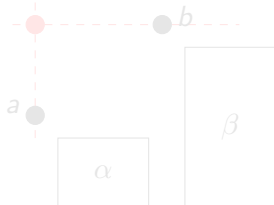
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Definition of $R(\pi)$ for $\pi = a\alpha b\beta$ with $\beta \neq \varepsilon$

$R(\pi)$ is the set of **minimal** permutations in the set



When x is above β and y is to the left of α , x and y coalesce into a unique point.



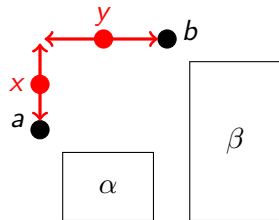
Remark

$R(\pi)$ contains exactly

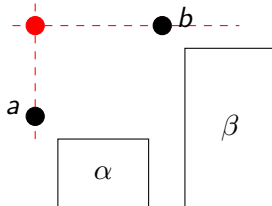
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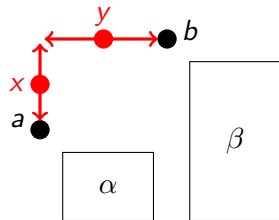
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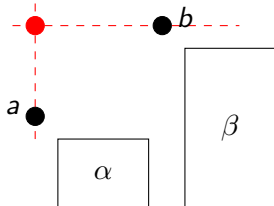
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Patterns $\pi \in S_n$ with two LtoR-maxima $\neq \pi(n)$

Proposition

If $\pi \in S_n$ is such that $\pi = a\alpha b\beta$ for $\beta \neq \varepsilon$, then $B^{-1}(Av(\pi))$ is a class whose basis is $R(\pi)$.

Lemma

If $\pi \preccurlyeq B(\sigma)$, consider an occurrence $p\lambda q\mu \subseteq B(\sigma)$.

Then there exists a subsequence of σ which is an occurrence of some pattern in $R(\pi)$.

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Proof of the first lemma

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If $\pi \preceq B(\sigma)$, consider an occurrence $p\lambda q\mu \subseteq B(\sigma)$.

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$$\begin{cases} \lambda = \lambda_1 \lambda_2, & p < x \\ y \text{ and } z \text{ are the two largest terms of this sequence} \\ \text{if } \lambda_1 = \varepsilon \text{ and } x > \mu, \text{ then } x \text{ and } y \text{ coalesce} \end{cases}$$

Such a sequence is a permutation in $R(\pi)$.

The proof follows by induction on $|\sigma|$.

- If $|\sigma| \leq 3$, result vacuously true (since $B(\sigma)$ ends with its maximum).
- If $\sigma = \sigma_1 m \sigma_2$ with $m = |\sigma| > 3$, then $p\lambda q\mu \subseteq B(\sigma_1)\sigma_2 m$.
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Proof: We prove that $px\lambda_1y\lambda_2z\mu$ or $xp\lambda_1y\lambda_2z\mu \subseteq \sigma$ with

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Because $p\lambda q\mu$ does not end with its maximum, $p\lambda q\mu \subseteq B(\sigma_1)\sigma_2$.

Proof of the first lemma, continued

As before, distinguish how $p\lambda q\mu$ can lie across $B(\sigma_1)\sigma_2$.

- ★ If $\mu = \mu_1\mu_2$ with $\mu_1 \neq \varepsilon$, $p\lambda q\mu_1 \subseteq B(\sigma_1)$ and $\mu_2 \subseteq \sigma_2$ then by induction σ_1 contains a subsequence of the form $p x \lambda_1 y \lambda_2 z \mu_1$ or $x p \lambda_1 y \lambda_2 z \mu_1$ to which μ_2 can be appended.
- ★ If $p\lambda q \subseteq B(\sigma_1)$ and $\mu \subseteq \sigma_2$, then by a previous lemma $\exists t > p$ such that $tp\lambda$ or $pt\lambda \subseteq \sigma_1$. If q is to the left of λ in σ , then $p q \lambda t \mu$ or $q p \lambda t \mu \subseteq \sigma$ is of the required form. Otherwise, q and t can play the rôle of y and x , and appending $m\mu$ gives the desired subsequence.
- ★ If $\lambda = \lambda_1\lambda_2$ with $\lambda_1 \neq \varepsilon$, $p\lambda_1 \subseteq B(\sigma_1)$ and $\lambda_2 q \mu \subseteq \sigma_2$, then as before $\exists x > p$ such that $x p \lambda_1$ or $p x \lambda_1 \subseteq \sigma_1$. Appending $m\lambda_2 q \mu$ gives the desired subsequence.
- ★ If $p \subseteq B(\sigma_1)$ and $\lambda q \mu \subseteq \sigma_2$, then $p m \lambda q \mu \subseteq \sigma_1 m \sigma_2 = \sigma$ is of the desired form, with x and y coalescing in m .
- ★ If $p\lambda q \mu \subseteq \sigma_2$, then $m p \lambda q \mu \subseteq \sigma$. Again, x and y coalesce in m .

Proof of the second lemma

Lemma

If σ contains an occurrence $px\lambda_1y\lambda_2q\mu$ or $xp\lambda_1y\lambda_2q\mu$ of some pattern in $R(\pi)$, then there exists a subsequence of $B(\sigma)$ which is an occurrence of π .

Proof: Recall that if $\sigma = n_1\lambda_1n_2\lambda_2\cdots n_k\lambda_k$ where n_1, \dots, n_k are the left to right maxima of σ then $B(\sigma) = \lambda_1n_1\lambda_2n_2\cdots\lambda_kn_k$.

Hence $\lambda\mu \subseteq B(\sigma)$. Notice also that $p\lambda q\mu$ is an occurrence of π in σ .

1. We show that p is to the left of λ in $B(\sigma)$.

- If p is not a LtoR-maximum, this is true.
- If p is a LtoR-maximum, then $px\lambda_1y\lambda_2q\mu \subseteq \sigma$ and there exists some t between p and x (possibly $t = x$) in σ that is a LtoR-maximum. This implies that p still precedes λ in $B(\sigma)$.

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1. We show that p is to the left of λ in $B(\sigma)$. ✓
2. We show that there exists r in $B(\sigma)$ between λ and μ with $r > p\lambda\mu$.
 - If q is not a LtoR-maximum, choose $r = q$.
 - If q is a LtoR-maximum, choose $r =$ the LtoR-maximum of σ immediately to the left of q . Then $p\lambda r\mu \subseteq B(\sigma)$.

By contradiction, assume that $r < y$ then in σ we have

- ★ either $\cdots y \cdots r \cdots q \cdots$, and r is not a LtoR-maximum,
- ★ or $\cdots r \cdots y \cdots q \cdots$, and there is a LtoR-maximum between r and q .

Hence $r \geq y$, and $r > p\lambda\mu$ as desired.

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Patterns $\pi \in S_n$ with 3 LtoR-max. $\pi(1)$, $\pi(n-1)$ and $\pi(n)$

Proposition

If $\pi \in S_n$ is such that $\pi = (n-2)\alpha(n-1)n$, then $B^{-1}(Av(\pi))$ is a class whose basis is

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Some open questions

Q1. When is $B^{-1}(Av(\mathcal{B}))$ a class, for $|\mathcal{B}| \geq 2$?

Partial answer: $B^{-1}(Av(\mathcal{B}))$ is a class when $B^{-1}(Av(\pi))$ is a class for every $\pi \in \mathcal{B}$, but not only.

- $B^{-1}(Av(\mathcal{B})) = \bigcap_{\pi \in \mathcal{B}} B^{-1}(Av(\pi))$.
- An example is $\Gamma_2 =$ the set of permutations of length 4 ending with 1: $B^{-1}(Av(\Gamma_2))$ is a class, although Γ_2 contains 2341 and $B^{-1}(Av(2341))$ is not a class.

Q2. Are the growth rates of \mathcal{C} and $B^{-1}(\mathcal{C})$ related?

Growth rate of a permutation class $\mathcal{C} = \limsup_{n \rightarrow \infty} \sqrt[n]{c_n}$
where c_n is the number of permutations of length n in \mathcal{C}

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Composing sorting operators

- SB -sortable permutations:

$$\hookrightarrow (SB)^{-1}(Av(21)) = B^{-1}(Av(231)) = Av(3241, 2341, 4231, 2431)$$

- B^2 -sortable permutations:

$$\hookrightarrow (BB)^{-1}(Av(21)) = B^{-1}(Av(231, 321)) = Av(\Gamma_2)$$

- B^k -sortable permutations:

$$\hookrightarrow (B^k)^{-1}(Av(21)) = Av(\Gamma_{k+2}) \text{ with}$$

Γ_{k+2} = the set of permutations of length $k + 2$ ending with 1.

Other sorting operators:

- built from B , S , ... and symmetries of the permutations (i, r, c)
- with a queue
- definition of *abstract* sorting operator

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