

Johann Radon Institute for Computational and Applied Mathematics  
Austrian Academy of Sciences

# Proving and Conjecturing Bounds for Some Floor Function Sums

Elaine Wong

(joint work with Thotsaporn Thanatipanonda)

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History of the Problem

The Story of the Bounds

Conjecturing Bounds using Computer Algebra

References

# The Sum in Question



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DET KONGELIGE NORSKE VIDENSKABERS SELSKABS  
FORHANDLINGER Bind 30 1957 Nr 6

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## Über eine zahlentheoretische Summe

VON

ERNST JACOBSTHAL

(Innsendt til Generalsekretæren 6te juli 1957)

Ist  $[x]$  die grösste ganze Zahl  $\leq x$ , und sind  $a, b, m$  gegebene ganze Zahlen,  $m \geq 1$ , und setzt man für jedes  $h$  den Ausdruck

$$(1) \quad \left[ \frac{a+b+h}{m} \right] + \left[ \frac{h}{m} \right] - \left[ \frac{a+h}{m} \right] - \left[ \frac{b+h}{m} \right] = D(a, b, m; h) = D(h),$$

so folgt leicht aus den für  $[x]$  geltenden Ungleichheiten, dass

$$(1_1) \quad -2 < D(h) < +2$$

ist.  $D(h)$  nimmt also nur die Werte  $0, +1, -1$  an. Bildet man für irgend ein natürliches  $r$  die Summe

$$(2) \quad \sum_{h=0}^{r-1} D(h) = S(a, b, m; r),$$

so gilt die Ungleichheit

$$(2_1) \quad S(a, b, m; r) \geq 0.$$



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ERNST JACOBSTHAL: *Über eine zahlentheoretische Summe*

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$N_1 - N_2 \geq 0$  richtig. Ist aber  $a + r > m$  und  $N_1$  gleich einer der Zahlen  $r, a, s$ , so ist

$$w = a + r - m, s = a + b + r - m = w + b.$$

Ferner wird  $r = w + m - a > w$ ,  $a = w + m - r > w$ ,  $s = w + b > w$ , also  $N_1 > w \geq N_2$ , und damit ist (6<sub>1</sub>) gezeigt. Es sei noch bemerkt, dass (14) auch richtig ist unter der Voraussetzung

$$(4_3) \quad 0 \leq a \leq b \leq m; 1 \leq r \leq m.$$

# The Sum in Question



- ▶ The terms of Jacobsthal's sum consist of 'alternating' sign floor functions of certain fractions,

$$\left\lfloor \frac{a_1 + a_2 + k}{m} \right\rfloor - \left\lfloor \frac{a_1 + k}{m} \right\rfloor - \left\lfloor \frac{a_2 + k}{m} \right\rfloor + \left\lfloor \frac{k}{m} \right\rfloor,$$

for fixed  $m \in \mathbb{Z}^+$  with  $a_1, a_2, k \in \mathbb{Z}^+ \cup \{0\}$ .



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- ▶ We denote this expression to be

$$f_m(\{a_1, a_2\}, k).$$

- ▶ And, we consider its sum over  $k$ :

$$\sum_k f_m(\{a_1, a_2\}, k).$$

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1. The numerators all contain a fixed  $k$  but are added to sums of subsets of the multiset  $\{a_1, a_2\}$ .
2. The signs alternate according to the size of these subsets.
3. The sums are periodic in nature according to  $m$ , and so we can restrict the values of  $a_1, a_2, k$  to the interval  $[0, m - 1]$ .



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- ▶ Jacobsthal ‘hand-proved’ a lower bound for the sum

$$\sum_{k=0}^K f_m(\{a_1, a_2\}, k) \geq 0$$

over all choices of  $0 \leq a_1, a_2, K \leq m - 1$  for  $m \in \mathbb{Z}^+$ .



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over all choices of  $0 \leq a_1, a_2, K \leq m - 1$  for  $m \in \mathbb{Z}^+$ .

- ▶ Carlitz (1959) and Grimson (1974) gave different proofs of the same result.



# Generalizing the Sum



Tverberg (2012) noticed that this sum can be generalized in a very natural way.

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## Formula

For  $m, n > 0$  and a multiset  $\{a_1, \dots, a_n\}$  such that  $0 \leq a_i \leq m - 1$ , we define the sum

$$f_m(\{a_1, \dots, a_n\}, k) := \sum_{T \subseteq \{1, \dots, n\}} (-1)^{n-|T|} \left\lfloor \frac{k + \sum_{i \in T} a_i}{m} \right\rfloor.$$

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The sign change will play a role when we consider bounds on the sum.

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$$S_m(\{a_1, \dots, a_n\}, K) = \sum_{k=0}^K f_m(\{a_1, \dots, a_n\}, k)$$

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$$S_m(\{a_1, \dots, a_n\}, K) = \sum_{k=0}^{K} f_m(\{a_1, \dots, a_n\}, k)$$

with  $0 \leq K \leq m - 1$ . Like the others before him, he also proved that

$$S_m(\{a_1, a_2\}, K) \geq 0,$$

over all choices of  $m, a_i, K$ .



Furthermore, he claimed (without proof) the other bounds:

#### 4. Theorems

THEOREM 4.1. *If  $l = 3$ , then  $F > -2\lfloor m/2 \rfloor$ .*

THEOREM 4.2. *If  $l = 2$ , then  $F \leq \lfloor m/2 \rfloor$ .*

THEOREM 4.3. *If  $l = 3$ , then  $F \leq \lfloor m/3 \rfloor$ .*

As the proofs are elementary and relatively simple we omit them. It would be interesting to see corresponding results for higher values of  $l$ , and whether the work by Grimson and Carlitz can be generalized to our general sums.

# Simplifying the Sum



Even in the simplest case, the sum can be a bit bulky.

$$S_m(\{a_1\}, K) := \sum_{k=0}^K \left( \left\lfloor \frac{a_1 + k}{m} \right\rfloor - \left\lfloor \frac{k}{m} \right\rfloor \right).$$



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By observing that the fractional parts can be separated out,

$$\left\lfloor \frac{a_1 + k}{m} \right\rfloor = \left\lfloor \frac{a_1}{m} \right\rfloor + \left\lfloor \frac{k}{m} \right\rfloor + \left[ \left\{ \frac{a_1}{m} \right\} + \left\{ \frac{k}{m} \right\} \right],$$

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a 'simplification' can therefore be made, i.e.,

$$S_m(\{a_1\}, K) = \left\lfloor \frac{a_1}{m} \right\rfloor (K + 1) + \max\left(0, (a_1 \bmod m) + K - m + 1\right).$$



$$\begin{aligned} S_m(\{a_1, a_2\}, K) &= \left( \left\lfloor \frac{a_1 + a_2}{m} \right\rfloor - \left\lfloor \frac{a_1}{m} \right\rfloor - \left\lfloor \frac{a_2}{m} \right\rfloor \right) (K + 1) \\ &\quad + \max(0, ((a_1 + a_2) \bmod m) + K - m + 1) \\ &\quad - \max(0, (a_1 \bmod m) + K - m + 1) \\ &\quad - \max(0, (a_2 \bmod m) + K - m + 1) \end{aligned}$$



$$\begin{aligned} S_m(\{a_1, a_2, a_3\}, K) = & \left( \left\lfloor \frac{a_1 + a_2 + a_3}{m} \right\rfloor - \left\lfloor \frac{a_1 + a_2}{m} \right\rfloor - \left\lfloor \frac{a_2 + a_3}{m} \right\rfloor \right. \\ & \left. - \left\lfloor \frac{a_1 + a_3}{m} \right\rfloor + \left\lfloor \frac{a_1}{m} \right\rfloor + \left\lfloor \frac{a_2}{m} \right\rfloor + \left\lfloor \frac{a_3}{m} \right\rfloor \right) (K + 1) \\ & + \max(0, ((a_1 + a_2 + a_3) \bmod m) + K - m + 1) \\ & - \max(0, ((a_1 + a_2) \bmod m) + K - m + 1) \\ & - \max(0, ((a_2 + a_3) \bmod m) + K - m + 1) \\ & - \max(0, ((a_1 + a_3) \bmod m) + K - m + 1) \\ & + \max(0, (a_1 \bmod m) + K - m + 1) \\ & + \max(0, (a_2 \bmod m) + K - m + 1) \\ & + \max(0, (a_3 \bmod m) + K - m + 1) \end{aligned}$$

# The Story of the Bounds



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$n$	Lower Bound	Lower Bound Credit	Upper Bound	Upper Bound Credit
1	0	Trivial	$m - 1$	Trivial
2	0	Jacobsthal; Carlitz; Grimson; Tverberg; <b>TT, EW</b>	$\lfloor \frac{m}{2} \rfloor$	Tverberg*; <b>TT, EW</b>
3	$-2 \lfloor \frac{m}{2} \rfloor$	Tverberg*; Onphaeng, Pongsriiam	$\lfloor \frac{m}{3} \rfloor$	Tverberg*; <b>TT, EW</b>

**Table:** Bounds for  $S_m(A, K)$  where  $n = |A|$ ; \*Conjectured

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In particular, we prove the upper bounds that Tverberg conjectured but did not prove.

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We were, however, able to prove a "weakened version" of the lower bound for  $n = 4$  using similar techniques of Onphaeng and Pongsriiam, namely:

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We were, however, able to prove a "weakened version" of the lower bound for  $n = 4$  using similar techniques of Onphaeng and Pongsriiam, namely:

$n$	Lower Bound	Lower Bound Credit	Upper Bound	Upper Bound Credit
4	$-2 \lfloor \frac{m}{2} \rfloor - \lfloor \frac{m}{3} \rfloor$ (Not So Sharp)	<b>TT, EW</b>	$4 \lfloor \frac{m}{2} \rfloor$	Onphaeng, Pongsriiam

**Table:** Bounds for  $S_m(A, K)$  where  $n = |A|$

## Proof.

We can combine the following bounds from  $n = 2, 3$ ,

$$\begin{aligned}0 &\leq S_m(\{a_1 + a_2 + a_3, a_4\}, K), \\ - \left\lfloor \frac{m}{2} \right\rfloor &\leq -S_m(\{a_1 + a_2, a_4\}, K), \\ - \left\lfloor \frac{m}{2} \right\rfloor &\leq -S_m(\{a_1 + a_3, a_4\}, K), \\ - \left\lfloor \frac{m}{3} \right\rfloor &\leq -S_m(\{a_2, a_3, a_4\}, K), \\ 0 &\leq S_m(\{a_1, a_4\}, K),\end{aligned}$$

along with the identity,

$$\begin{aligned}S_m(\{a_1, a_2, a_3, a_4\}, K) &= S_m(\{a_1 + a_2 + a_3, a_4\}, K) \\ &\quad - S_m(\{a_1 + a_2, a_4\}, K) - S_m(\{a_1 + a_3, a_4\}, K) \\ &\quad - S_m(\{a_2, a_3, a_4\}, K) + S_m(\{a_1, a_4\}, K),\end{aligned}$$

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## Theorem

For  $0 \leq a_1, a_2, a_3, a_4, K \leq m - 1$ ,

$$-2 \left\lfloor \frac{m}{2} \right\rfloor - \left\lfloor \frac{m}{3} \right\rfloor \leq S_m(\{a_1, a_2, a_3, a_4\}, K).$$

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odd ( $\geq 5$ )	$-2^{n-2} \lfloor \frac{m}{2} \rfloor$	Onphaeng, Pongsriiam		
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- ▶ We can enumerate patterns of the bounds for  $S_m(A, K)$  for a range of  $m$ , multisets  $A = \{a_1, \dots, a_n\}$ , and  $K$  with  $0 \leq a_i, K \leq m - 1$ . In doing so, we can identify exactly which  $A$  and  $K$  gives the maximum and minimum values of the sums and furthermore conjecture the pattern for these 'locations.'





- ▶ We can enumerate patterns of the bounds for  $S_m(A, K)$  for a range of  $m$ , multisets  $A = \{a_1, \dots, a_n\}$ , and  $K$  with  $0 \leq a_i, K \leq m - 1$ . In doing so, we can identify exactly which  $A$  and  $K$  gives the maximum and minimum values of the sums and furthermore conjecture the pattern for these 'locations.'
- ▶ We use this information to generate enough data to guess a recurrence for the extreme values of  $S_m$  when  $n \geq 4$  (by plugging in those specific values to our new formulas).



Define

$$M(m, n) := \begin{cases} \max_{A, K} S_m(A, K), & n \text{ odd;} \\ \min_{A, K} S_m(A, K), & n \text{ even.} \end{cases}$$



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Using this, we conjecture

$$M(m, n) = m \cdot f(n),$$

where  $f(n)$  satisfies a ninth order recurrence with polynomial coefficients of degree at most 2.



## Recurrence 1

$$\begin{aligned} & -5(n+3)(n-2)f(n) \\ & = 10(n^2 + n - 8)f(n-1) - 4(2n^2 - 10n + 3)f(n-2) \\ & \quad - 24(2n - 11)f(n-3) - 32(2n^2 - 10n - 1)f(n-4) \\ & \quad - 192(n-1)(n-5)f(n-5) + 64(2n^2 - 22n + 51)f(n-6) \\ & \quad + 384(2n-13)f(n-7) - 256(n-3)(n-8)f(n-8) \\ & \quad + 512(n-9)(n-8)f(n-9) \end{aligned}$$



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for  $n \geq 11$ , with the initial conditions

$$\begin{aligned} f(2) &= 0, f(3) = 1/3, f(4) = -1, f(5) = 2, f(6) = -3, \\ f(7) &= 8, f(8) = -18, f(9) = 36, f(10) = -65. \end{aligned}$$



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## Recurrence 2

$$\begin{aligned} & n(n+5)(-13 + 28n + 28n^2 - 36n^3 + 8n^4)f(n) \\ &= -2(-2 + n)(-25 + 25n + 28n^2 - 116n^3 + 20n^4 + 8n^5)f(n-1) \\ &\quad + 4(5 - 14n + 4n^2)(-3 - 8n + 6n^2)f(n-2) \\ &\quad - 8(-115 + 92n + 134n^2 - 112n^3 + 16n^4)f(n-3) \\ &\quad + 16(n-2)(-85 + 13n + 168n^2 - 56n^3 - 28n^4 + 8n^5)f(n-4) \\ &\quad + 32(-3 + n)(-2 + n)(15 + 8n - 32n^2 - 4n^3 + 8n^4)f(n-5) \end{aligned}$$



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for  $n \geq 7$ , with the initial conditions

$$f(2) = 0, f(3) = 1/3, f(4) = -1, f(5) = 2, \text{ and } f(6) = -3.$$



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odd ( $\geq 5$ )	$-2^{n-2} \lfloor \frac{m}{2} \rfloor$	Onphaeng, Pongsriiam	<b>(Conjectures)</b>	<b>TT, EW*</b>
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# Examples



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Case	Bound (L/U)	'Location' of Bound (i.e. $M(m, n)$ occurs at...)
$n = 4$	$-m$ (L)	$\{\frac{m}{3}, \frac{m}{3}, \dots, \frac{m}{3}\}, K = \frac{m}{3} - 1$ or
$n = 5$	$2m$ (U)	
$n = 6$	$-3m$ (L)	$\{\frac{2m}{3}, \frac{2m}{3}, \dots, \frac{2m}{3}\}, K = \frac{2m}{3} - 1$

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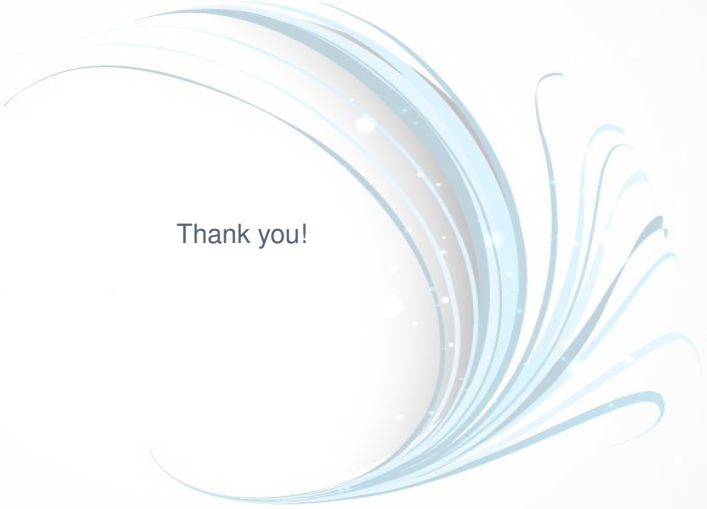
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$n = 6$	$-3m$ (L)	

For  $m$  being a multiple of 5, we have the following conjectures:

Case	Bound (L/U)	'Location' of Bound (i.e. $M(m, n)$ occurs at...)
$n = 6$	$-3m$ (L)	$\{\frac{2m}{5}, \frac{2m}{5}, \dots, \frac{2m}{5}\}, K = \frac{2m}{5} - 1$ or $\{\frac{3m}{5}, \frac{3m}{5}, \dots, \frac{3m}{5}\}, K = \frac{3m}{5} - 1$
$n = 7$	$8m$ (U)	
$n = 8$	$-18m$ (L)	
$n = 9$	$36m$ (U)	



Thank you!



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