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Chapter 2

Sets, Fcns, Seqs, Sums

2.1 Sets

2.2 Set Operations

2.3 Functions

2.4 Sequences and Sums

2.1 SETS

DEF: A *set* is a collection of objects. The objects are called *elements* or *members* of the set.

NOTATION: $x \in S$

Example 2.1.1:

- $2 \in \{5, -7, \pi, \text{“algebra”}, 2, 2.718\}$
- $8 \notin \{p : p \text{ is a prime number}\}$

SOME STANDARD SETS of NUMBERS

\mathbb{N} = the set of all non-negative integers
(the “natural numbers”)

\mathbb{Z} = the set of all integers

\mathbb{Z}^+ = the set of all positive integers

\mathbb{Q} = the rationals = $\left\{ \frac{p}{q} : p, q \in \mathbb{Z} \text{ and } q \neq 0 \right\}$

\mathbb{R} = the real numbers

\mathbb{C} = the complex numbers

ROSTERS for SETS

DEF: A *roster* specifies a finite set by enclosing in braces a list of representations of its elements. Repetitions and orderings are irrelevant to content.

Example 2.1.2: a roster

$$\{5, -7, \pi, \text{"algebra"}, 2, 2.718\}$$

Example 2.1.3: identical sets

$$\{1, 2, 3, 1, 1, 3\} = \{1, 2, 3\} = \{3, 1, 2\}$$

DEF: The *empty set* is the set $\{ \}$ that has no elements. NOTATION: \emptyset .

Remark: In mathematics, there is only one empty set. However, a computer programming language may have a different empty set for every datatype.

Example 2.1.4: The empty set of character strings is equal to the empty set of lions.

DEF: A *singleton set* is a set with one element.

Example 2.1.5: $\{x\}$ is a singleton set.

SPECIFICATION by PREDICATES

A predicate over a well-defined set can specify any subcollection within that set. (Warning: This “set-builder” method can lead to non-sets.)

Example 2.1.6: $\{x \in \mathcal{Z} : P(x)\}$ where $P(x)$ is TRUE if x is prime.

Example 2.1.7: $\{(x, y) : x, y \in \mathcal{R} \wedge x^2 + y^2 = 1\}$

OTHER WAYS to SPECIFY SETS

(1) By prose. (can also lead to non-sets).

Example 2.1.8: The set of all palindromes.

(2) By operations on other sets.

Examples soon.

(3) By recursive construction.

Examples in §4.3.

SETS as ELEMENTS of SETS

Object x is not the same as the singleton set $\{x\}$.
Moreover, $\{x\} \neq \{\{x\}\}$.

Analogy: Iterative pointers to a computer object creates new objects.

$$x \neq \&x \neq \&\&x$$

Analogy: Iterative enquotation of a character string creates new objects.

$$\text{“lion”} \neq \text{“lion”} \neq \text{lion}$$

RELATIONS on SETS

DEF: Set X is a **subset** of set Y if every element of X is also an element of Y . NOTATION: $X \subseteq Y$.

DEF: A subset X of a set Y is **proper** if Y has at least one element that is not in X .

DEF: Sets X and Y are **equal** if each set is a subset of the other. NOTATION: $X = Y$.

Example 2.1.9:

- (1) \emptyset is a proper subset of every set except itself.
- (2) The integers are a subset of the real numbers.

DISAMBIGUATION: In computer languages, the integers and the reals are usually distinct *datatypes*. Integer-type values are represented differently from real-type whole numbers.

Remark: Whereas mathematics deals with objects, computation science deals with their representations.

POWER SET

DEF: The *power set* of a set S is the set of all subsets of S . NOTATION: 2^S or $P(S)$.

Example 2.1.10:

- $P(\{a, b\}) = \{\emptyset, \{a\}, \{b\}, \{a, b\}\}$.
- $P(\emptyset) = \{\emptyset\}$.
- $P(P(\emptyset)) = \{\emptyset, \{\emptyset\}\}$.

Proposition 2.1.1. *If set S has n elements, then the power set $P(S)$ has 2^n elements.* \diamond

CARTESIAN PRODUCT

DEF: The *cartesian product* of sets A and B is the set

$$\{(a, b) \mid a \in A \wedge b \in B\}$$

NOTATION: $A \times B$.

Example 2.1.11: $A = \{1, 2\}$ $B = \{a, b, c\}$

Then

$$A \times B = \{(1, a), (1, b), (1, c), (2, a), (2, b), (2, c)\}$$

Proposition 2.1.2. *The cartesian product $A \times B$ is empty iff either A or B is empty.* \diamond

2.2 SET OPERATIONS

Geometric figures were used by John Venn (1834-1923) to illustrate the effect of various operations on sets called the *universal set* or the *domain of discourse*.

Remark: Not all set operations can be represented by Venn diagrams.

VENN DIAGRAMS

DEF: In a generic *Venn diagram* for a subset S of a fixed universal set U , the universal set is represented by a rectangular region in the plane and the set S is represented by a subregion.

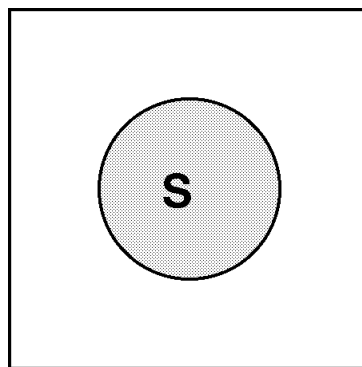


Fig 2.2.1 Set S is shaded.

DYADIC SET OPERATIONS

DEF: The **union** of sets S and T is the set containing every object that is either in S or in T . NOTATION: $S \cup T$.

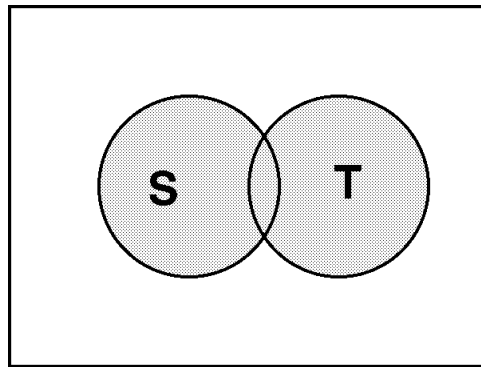


Fig 2.2.2 Union $S \cup T$ is shaded.

DEF: The **intersection** of sets S and T is the set containing every object that is in both S and T . NOTATION: $S \cap T$.

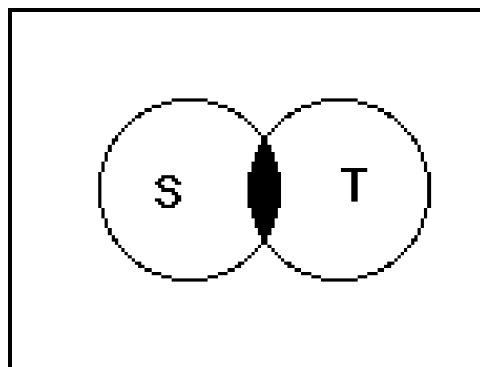


Fig 2.2.3 Intersection $S \cap T$ is shaded.

DEF: The **difference** of sets S and T is the set containing every object that is in S but not in T .

NOTATION: $S - T$.

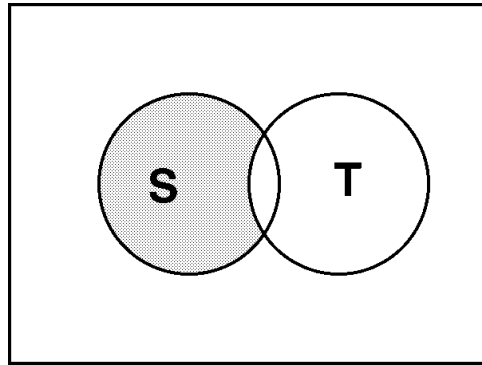


Fig 2.2.4 Difference $S - T$ is shaded.

Example 2.2.1:

$S = \{1, 3, 5, 7, 9\}$ $T = \{2, 3, 5, 7\}$. Then

$S \cup T = \{1, 2, 3, 5, 7, 9\}$.

$S \cap T = \{3, 5, 7\}$.

$S - T = \{1, 9\}$.

Example 2.2.2: Cartesian product (which is dyadic) is not representable by a Venn diagram.

MONADIC SET OPERATIONS

DEF: The *complement* of a set S is the set $U - S$, where U is the universal set. NOTATION: \overline{S} .

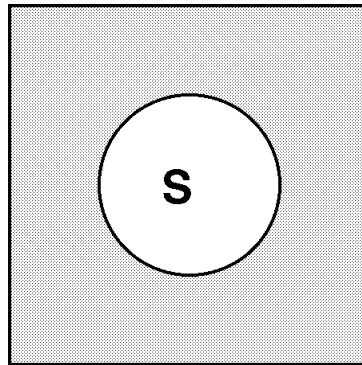


Fig 2.2.5 Complement \overline{S} is shaded.

Example 2.2.3: These monadic operations are not readily representable by Venn diagrams.

$$S \rightarrow \{S\} \text{ (*embracement*)}$$

$$S \rightarrow P(S) \text{ (*empowerment*)}$$

TERMINOLOGY NOTE: These two (original) names have excellent mnemonicity. The mildly frivolous character may deter their widespread adoption.

SET IDENTITIES

Various set equivalences have earned the honorific appellation *identity*. Many of them are analogous to the logical equivalences of §1.2.

Example 2.2.4: The *Double Negation Law*

$$\neg\neg p \Leftrightarrow p$$

has the following set-theoretic analogy:

DEF: *Double Complementation Law:*

$$\overline{\overline{S}} = S$$

Example 2.2.5: The tautology $p \vee \neg p$ is called the *Law of the Excluded Middle*. It converts to the equivalence

$$p \vee \neg p \Leftrightarrow T$$

which has the following set-theoretic analogy:

$$S \cup \overline{S} = U$$

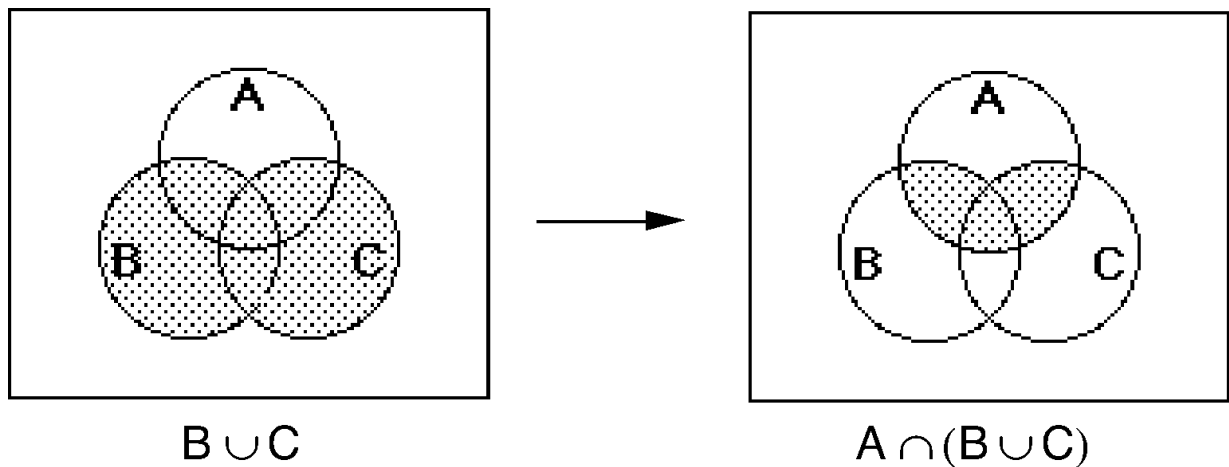
AVOIDING BOREDOM

Example 2.2.6: Table 1 of §2.2 (de Morgan, associativity, etc.) is good for self-study, but not for exhaustive classroom presentation.

CONFIRMING IDENTITIES with VENN DIAGRAMMS

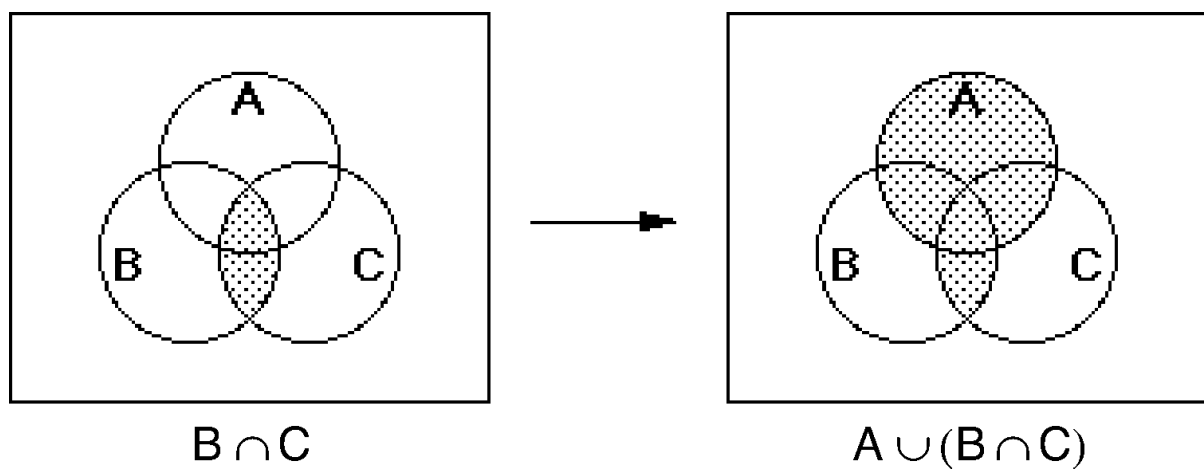
Example 2.2.7: \cap distributes over \cup .

$$A \cap (B \cup C) = (A \cap B) \cup (A \cap C)$$



Example 2.2.8: \cup distributes over \cap .

$$A \cup (B \cap C) = (A \cup B) \cap (A \cup C)$$



2.3 FUNCTIONS

DEF: Let A and B be sets. A **function** $f : A \rightarrow B$ (often abbreviated as f) is a rule that assigns to each element $a \in A$ exactly one element $f(a) \in B$, called the **value of the function** f at a .

- We also say that $f : A \rightarrow B$ is a **mapping** from **domain** A to **codomain** B .
- $f(a)$ is called the **image set of the element** a , and the element a is called a **preimage** of $f(a)$.
- The set $\{a \mid f(a) = b\}$ is called the **preimage set** of b . NOTATION: $f^{-1}(b)$.

DEF: The set $\{b \in B \mid (\exists a \in A)[f(a) = b]\}$ is called the **image of the function** $f : A \rightarrow B$.

DEF: The word **range** is commonly used to mean the image set.

DEF: A function is called **discrete** if its domain and codomain are both finite or countable (indexed by \mathbb{Z}).

Example 2.3.1: Some functions from \mathbb{R} to \mathbb{Z} .

(1) **floor** $\lfloor x \rfloor = \max\{k \in \mathbb{Z} \mid k \leq x\}$ image = \mathbb{Z}

(2) **ceiling** $\lceil x \rceil = \min\{k \in \mathbb{Z} \mid k \geq x\}$ im = \mathbb{Z}

(3) **sign** $\sigma(x) = \begin{cases} -1 & \text{if } x < 0 \\ 0 & \text{if } x = 0 \\ +1 & \text{if } x > 0 \end{cases}$

image(σ) = $\{-1, 0, +1\}$

Example 2.3.2: Seq of functions from \mathbb{R} to \mathbb{R} .

falling powers $x^n = x(x-1) \cdots (x-n+1)$.

$$7^{\underline{3}} = 7 \cdot 6 \cdot 5 = 210 \quad \left(\frac{3}{2}\right)^{\underline{3}} = \frac{3}{2} \cdot \frac{1}{2} \cdot \left(\frac{-1}{2}\right) = \frac{-3}{8}$$

Example 2.3.3: Functions in computation.

- (1) **C compiler** maps the set of ASCII strings to the boolean set.
- (2) The **halting function** maps the set of C programs to the boolean set, assigns TRUE iff this program will always halt eventually, no matter what input is supplied at run time.

Theorem 2.3.1. *The halting function cannot be represented by a C program.* \diamond (CS W3261)

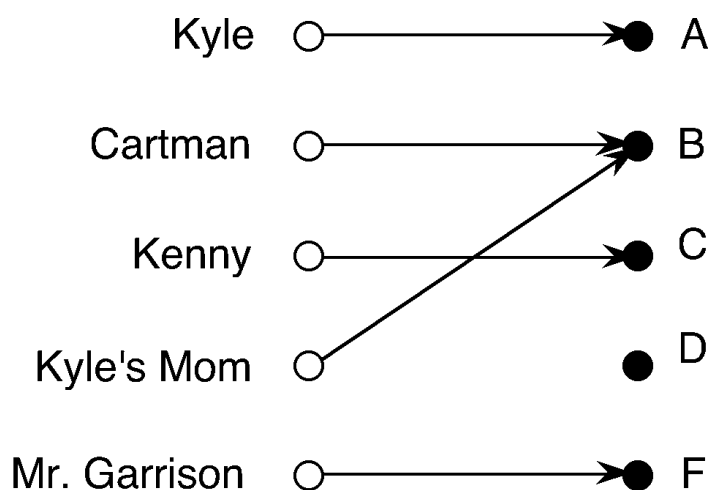
REPRESENTATION of DISCRETE FUNCTIONS

DEF: The $n \times 2$ *array representation* of a discrete function is a table with two columns. The left column contains every element of the domain. The second entry in each row is the image of the first entry.

DEF: The *(full) digraphic representation* of a discrete function is a diagram with two columns of dots. The left column contains a dot for every element of the domain, and the right entry contains a dot for every element of the codomain. From each domain dot an arrow is drawn to the codomain dot representing its image.

Example 2.3.4: Representing a function.

student	grade
Kyle	A
Cartman	B
Kenny	C
Kyle's Mom	B
Mr. Garrison	F



ONE-TO-ONE and ONTO FUNCTIONS

DEF: A function $f : A \rightarrow B$ is **one-to-one** if for every $b \in B$, there is at most one $a \in A$ such that $f(a) = b$.

Prop 2.3.2. *A discrete function is one-to-one iff in its digraphic representation, no codomain dot is at the head of more than one arrow.* \diamond

DEF: A function $f : A \rightarrow B$ is **onto** if
for every $b \in B$, there is at least one $a \in A$
such that $f(a) = b$.

Prop 2.3.3. *A discrete function is onto iff in its digraphic representation, every codomain dot is at the head of at least one arrow.* \diamond

Example 2.3.5: The grading function of Example 2.3.4 is neither one-to-one or onto.

BIJECTIONS

DEF: A **bijection** is a function that is one-to-one and onto.

DEF: Let $f : A \rightarrow B$ be a bijection. The **inverse function**

$$f^{-1} : B \rightarrow A$$

is the rule that assigns to each $b \in B$ the unique element $a \in A$ such that $f(a) = b$.

Example 2.3.6: The function

$$\{1 \mapsto b, 2 \mapsto c, 3 \mapsto a\}$$

is a bijection. Its inverse is the function

$$\{a \mapsto 3, b \mapsto 1, c \mapsto 2\}$$

DEF: A **permutation** is a bijection whose domain and codomain are the same set.

Example 2.3.7: The function

$$\{1 \mapsto 2, 2 \mapsto 3, 3 \mapsto 1\}$$

is a permutation. Its inverse is the permutation

$$\{1 \mapsto 3, 2 \mapsto 1, 3 \mapsto 2\}$$

2.4 SEQUENCES AND SUMS

DEF: A *sequence in a set* A is a function f from a subset of the integers (usually $\{0, 1, 2, \dots\}$ or $\{1, 2, 3, \dots\}$) to A . The values of a sequence are also called *terms* or *entries*.

NOTATION: The value $f(n)$ is usually denoted a_n . A sequence is often written

$$a_0, a_1, a_2, \dots$$

Example 2.4.1: Two sequences.

$$a_n = \frac{1}{n} \quad 1, \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \dots$$

$$b_n = (-1)^n \quad 1, -1, 1, -1, \dots$$

Example 2.4.2: Five ubiquitous sequences.

$$n^2 \quad 0, 1, 4, 9, 16, 25, 36, 49, \dots$$

$$n^3 \quad 0, 1, 8, 27, 64, 125, 216, 343, \dots$$

$$2^n \quad 1, 2, 4, 8, 16, 32, 64, 128, \dots$$

$$3^n \quad 1, 3, 9, 27, 81, 243, 729, 2187, \dots$$

$$n! \quad 1, 1, 2, 6, 24, 120, 720, 5040, \dots$$

STRINGS

DEF: A set of characters is called an **alphabet**.

Example 2.4.3: Some common alphabets:

- $\{0, 1\}$ the binary alphabet
- $\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$ the decimal digits
- $\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9, A, B, C, D, E, F\}$
the hexadecimal digits
- $\{A, B, C, D, \dots, X, Y, Z\}$ English uppercase
- ASCII

DEF: A **string** is a sequence in an alphabet.

NOTATION: Usually a string is written without commas, so that consecutive characters are juxtaposed.

Example 2.4.4: If

$$f(0) = M, f(1) = A, f(2) = T, \text{ and } f(3) = H$$

then write

"MATH"

SPECIFYING a RULE

Problem: Given some initial terms

$$a_0, a_1, \dots, a_k$$

of a sequence, try to construct a rule that is consistent with those initial terms.

Approaches: There are two standard kinds of rule for calculating a generic term a_n .

DEF: A **recursion** for a_n is a function whose arguments are earlier terms in the sequence.

DEF: A **closed form** for a_n is a formula whose argument is the subscript n .

Example 2.4.5: 1, 3, 5, 7, 9, 11, ...

$$\text{recursion: } a_0 = 1; \quad a_n = a_{n-1} + 2 \text{ for } n \geq 1$$

$$\text{closed form: } a_n = 2n + 1$$

The differences between consecutive terms often suggest a recursion. Finding a recursion is usually easier than finding a closed formula.

Example 2.4.6: 1, 3, 7, 13, 21, 31, 43, ...

$$\text{recursion: } b_0 = 1; \quad b_n = b_{n-1} + 2n \text{ for } n \geq 1$$

$$\text{closed form: } b_n = n^2 + n + 1$$

Sometimes, constructing a closed formula is much harder than constructing a recursion.

Example 2.4.7: 1, 1, 2, 3, 5, 8, 13, 21, 34, ...

recursion: $c_0 = 1, c_1 = 1;$

$$c_n = c_{n-1} + c_{n-2} \text{ for } n \geq 1$$

closed form: $c_n = \frac{1}{\sqrt{5}} [G^{n+1} - g^{n+1}]$

$$\text{where } G = \frac{1 + \sqrt{5}}{2} \text{ and } g = \frac{1 - \sqrt{5}}{2}$$

INFERRING a RULE

The ESSENCE of science is inferring rules from partial data.

Example 2.4.8: Sit under apple tree.

Infer gravity.

Example 2.4.9: Watch starlight move 0.15 arc-seconds in total eclipse. Infer relativity.

Example 2.4.10: Observe biological species.

Infer DNA.

Important life skill: Given a difficult general problem, start with special cases you can solve.

Example 2.4.11: Find a recursion and a closed form for the arithmetic progression:

$$c, c + d, c + 2d, c + 3d, \dots$$

recursion: $a_0 = c; \quad a_n = a_{n-1} + d$

closed form: $a_n = c + nd$.

Q: How would you decide that a given sequence is an arithmetic progression?

A: Calculate differences betw consec terms.

DEF: The ***difference sequence*** for a sequence a_n is the sequence $a'_n = a_n - a_{n-1}$ for $n \geq 1$.

Example 3.2.5 redux:

$a_n :$	1	3	5	7	9	11
$a'_n :$	2	2	2	2	2	

Analysis: Since a'_n is constant, the sequence is specified by this recursion:

$$a_0 = 1; a_n = a_{n-1} + 2 \text{ for } n \geq 1.$$

Moreover, it has this closed form:

$$\begin{aligned} a_n &= a_0 + a'_1 + a'_2 + \cdots + a'_n \\ &= a_0 + 2 + 2 + \cdots + 2 = 1 + 2n \end{aligned}$$

If you don't get a constant sequence on the first difference, then try reiterating.

Revisit Example 3.2.6: 1, 3, 7, 13, 21, 31, 43, ...

$$\begin{array}{rcccccc} b_n : & 1 & 3 & 7 & 13 & 21 & 31 & 43 \\ b'_n : & 2 & 4 & 6 & 8 & 10 & 12 & \\ b''_n : & 2 & 2 & 2 & 2 & 2 & & \end{array}$$

Analysis: Since b''_n is constant, we have

$$b'_n = 2 + 2n$$

Therefore,

$$\begin{aligned} b_n &= b_0 + b'_1 + b'_2 + \cdots + b'_n \\ &= b_0 + 2 \sum_{j=1}^n j = 1 + (n^2 + n) = n^2 + n + 1 \end{aligned}$$

Consolation Prize: Without knowing about finite sums, you can still extend the sequence:

$$\begin{array}{rcccccccc} b_n : & 1 & 3 & 7 & 13 & 21 & 31 & 43 & \underline{57} \\ b'_n : & 2 & 4 & 6 & 8 & 10 & 12 & \underline{14} & \\ b''_n : & 2 & 2 & 2 & 2 & 2 & \underline{2} & & \end{array}$$

SUMMATIONS

DEF: Let a_n be a sequence. Then the **big-sigma** notation

$$\sum_{j=m}^n a_j$$

means the sum

$$a_m + a_{m+1} + a_{m+2} + \cdots + a_{n-1} + a_n$$

TERMINOLOGY: j is the **index of summation**

TERMINOLOGY: m is the **lower limit**

TERMINOLOGY: n is the **upper limit**

TERMINOLOGY: a_j is the **summand**

Theorem 2.4.1. *These formulas for summing falling powers are provable by induction (see §4.1):*

$$\sum_{j=1}^n j^1 = \frac{1}{2}(n+1)^2 \quad \sum_{j=1}^n j^2 = \frac{1}{3}(n+1)^3$$

$$\sum_{j=1}^n j^3 = \frac{1}{4}(n+1)^4 \quad \sum_{j=1}^n j^k = \frac{1}{k+1}(n+1)^{k+1}$$

Example 2.4.12: True Love and Thm 2.4.1

On the j^{th} day ... True Love gave me

$$j + (j - 1) + \cdots + 1 = \frac{(j + 1)^2}{2} \text{ gifts.}$$

$$= \frac{1}{2} \sum_{j=2}^{13} j^2 = \frac{1}{2} [2^2 + \cdots + 13^2]$$

$$= \frac{1}{2} [2 + 6 + \cdots + 78] = 364 \text{ slow}$$

$$= \frac{1}{2} \cdot \frac{14^3}{3} = 364 \text{ fast}$$

Cor 2.4.2. *High-powered look-ahead to formulas for summing $j^k : j = 0, 1, \dots, n$.*

$$\sum_{j=1}^n j^2 = \sum_{j=1}^n (j^2 + j^1) = \frac{1}{3}(n + 1)^3 + \frac{1}{2}(n + 1)^2$$

$$\sum_{j=1}^n j^3 = \sum_{j=1}^n (j^3 + 3j^2 + j^1) = \cdots$$

POTLATCH RULES for CARDINALITY

DEF: **nondominating cardinality:**

Let A and B be sets. Then $|A| \leq |B|$ means that \exists one-to-one function $f : A \rightarrow B$.

DEF: Set A and B have **equal cardinality**, and we write $|A| = |B|$, if \exists bijection $f : A \rightarrow B$, which obviously implies that $|A| \leq |B|$ and $|B| \leq |A|$.

DEF: **strictly dominating cardinality:**

Let A and B be sets. Then $|A| < |B|$ means that $|A| \leq |B|$ and $|A| \neq |B|$.

DEF: The **cardinality** of a set A is

$$|A| = \begin{cases} n & \text{if } |A| = |\{1, 2, \dots, n\}| \\ 0 & \text{if } A = \emptyset \end{cases}$$

Such cardinalities are called **finite**.

DEF: The **cardinality** of \mathbb{N} is ω (“omega”), or alternatively, \aleph_0 (“aleph null”).

DEF: A set is **countable** if it is finite or ω .

Remark: \aleph_0 is the smallest infinite cardinality.

The set \mathbb{R} has cardinality \aleph_1 (“aleph one”), which is larger than \aleph_0 , for reasons to be given.

INFINITE CARDINALITIES

Proposition 2.4.3. *There are as many even non-negative numbers as non-negative numbers.*

Pf: $f(2n) = n$ is a bijection. ◇

Theorem 2.4.4. *There are as many positive integers as rational fractions.*

$\frac{1}{1}$	$\frac{1}{2}$	$\frac{1}{3}$	$\frac{1}{4}$	$\frac{1}{5}$	$\frac{1}{6}$...
$\frac{2}{1}$	$\frac{2}{2}$	$\frac{2}{3}$	$\frac{2}{4}$	$\frac{2}{5}$	$\frac{2}{6}$...
$\frac{3}{1}$	$\frac{3}{2}$	$\frac{3}{3}$	$\frac{3}{4}$	$\frac{3}{5}$	$\frac{3}{6}$...
$\frac{4}{1}$	$\frac{4}{2}$	$\frac{4}{3}$	$\frac{4}{4}$	$\frac{4}{5}$	$\frac{4}{6}$...
$\frac{5}{1}$	$\frac{5}{2}$	$\frac{5}{3}$	$\frac{5}{4}$	$\frac{5}{5}$	$\frac{5}{6}$...
\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	...

Pf: $f\left(\frac{p}{q}\right) = \frac{(p+q-1)(p+q-2)}{2} + p$ ◇

Example 2.4.13: $f\left(\frac{2}{3}\right) = \frac{4 \cdot 3}{2} + 2 = 8$

Thm 2.4.5. (*G. Cantor*) *There are more positive real numbers than positive integers.*

Semi-proof: A putative bijection $[0, 1] \rightarrow \mathbb{Z}^+$ would induce a sequence x_j such that $\{x_j\} = [0, 1]$. Suppose we write each real number as an infinite decimal fraction.

$$x_1 = .\underline{8}841752032669031\dots \mapsto 1$$

$$x_2 = .1\underline{4}15926531424450\dots \mapsto 2$$

$$x_3 = .32\underline{0}2313932614203\dots \mapsto 3$$

$$x_4 = .167\underline{9}888138381728\dots \mapsto 4$$

$$x_5 = .0452\underline{9}98136712310\dots \mapsto 5$$

$$\vdots$$

The j^{th} digit of x_j is underscored. Consider the number

$$.73988\dots$$

whose j^{th} decimal digit differs (by 1 mod 10) from the j^{th} digit of x_j , which implies that

$$.73988\dots \not\mapsto j \quad (\forall j \in \mathbb{Z}^+)$$

Accordingly, this putative bijection is not even a function, since it fails to assign an element of the codomain \mathbb{Z}^+ to some number of its domain. \diamond