

ON THE SPECTRA AND ENERGIES OF DOUBLE-BROOM-LIKE TREES

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ABSTRACT. Let P_n be the n -vertex path, whose vertices are labelled consecutively by v_1, v_2, \dots, v_n . For $a \geq 1$ and $1 \leq i \leq n$, the *generalized broom* $P_n(i, a)$ is the $(n + a)$ -vertex tree, obtained by attaching a pendent vertices to the vertex v_i of P_n . For $a, b \geq 1$ and $1 \leq i < j \leq n$, the *generalized double broom* $P_n(i, a|j, b)$ is the $(n + a + b)$ -vertex tree, obtained by attaching a pendent vertices to the vertex v_i of P_n , and b pendent vertices to the vertex v_j of P_n . In this paper we study the spectra and energies of P_n , $P_n(i, a)$, and $P_n(i, a|j, b)$, but some more general results are also pointed out.

INTRODUCTION

The study of eigenvalues and characteristic polynomials of trees is a well-developed part of spectral graph theory [1]. Also since the publication of the seminal monograph [1], numerous results along these lines have been obtained, e. g. [2–9].

If G is a graph on n vertices and $\lambda_1, \lambda_2, \dots, \lambda_n$ are its eigenvalues, then the energy of G is defined as

$$E(G) = \sum_{i=1}^n |\lambda_i| .$$

The first results on the energy of trees were obtained as early as in 1977 [10]. In the meantime scores of results on this topic have accumulated; for some most recent of them see [11–24]. For more detail on graph energy see the recent review [25].

Let P_n be the n -vertex path, whose vertices are labelled by v_1, v_2, \dots, v_n , so that v_i and v_{i+1} are adjacent, $i = 1, 2, \dots, n - 1$. For $a \geq 1$ and $1 \leq i \leq n$, the *generalized broom* $P_n(i, a)$ is the $(n + a)$ -vertex tree, obtained by attaching a pendent vertices to the vertex v_i of P_n . We call $P_n(i, a)$ the “generalized broom”, because in previous papers [26, 27] the tree $P_n(1, a)$ was named “broom”. In [26] it was shown that among all trees with a fixed number of vertices and fixed diameter, $P_n(1, a)$ has minimal energy. In [27] it was shown that $P_n(1, a)$ has minimal energy also among all trees with a fixed number of vertices and fixed number of pendent vertices.

For $a, b \geq 1$ and $1 \leq i < j \leq n$, the *generalized double broom* $P_n(i, a|j, b)$ is the $(n + a + b)$ -vertex tree, obtained by attaching a pendent vertices to the vertex v_i of P_n , and b pendent vertices to the vertex v_j of P_n . In view of the above, $P_n(1, a|n, b)$ should be referred to as a “double broom”.

ON THE COMPUTATION OF THE CHARACTERISTIC POLYNOMIAL OF A TREE

In this paper we are mainly concerned with *trees* (i. e., connected acyclic graphs) and *forests* (i. e., acyclic, but not necessarily connected graphs). Recall that the *characteristic polynomial* of a graph G is the monic degree- n polynomial [1]

$$\phi(G) = \phi(G, \lambda) = \det(\lambda I_n - A)$$

where A is the adjacency matrix of G .

The roots $\lambda_1, \lambda_2, \dots, \lambda_n$ of $\phi(G, \lambda)$ are the *eigenvalues* of G , while the set of the eigenvalues is the *spectrum* of G [1].

Denote by $m(G, k)$ the number of k -matchings of the graph G (that is, the number of selection of k independent edges in G). By definition, $m(G, 0) = 1$ and $m(G, 1) =$ number of edges of G .

If T is an n -vertex tree, then [1]

$$\phi(T, \lambda) = \sum_{k \geq 0} (-1)^k m(T, k) \lambda^{n-2k} . \quad (1)$$

We are interested in explicitly constructing the characteristic polynomial of a tree T . One reduction method, first reported by Heilbronner [28, 29], works as follows. Let e be an edge connecting the vertices x_1 and x_2 . Then¹

$$\phi(T) = \phi(T - e) - \phi(T - x_1 - x_2) . \quad (2)$$

If x_1 is a pendent vertex of T , and x_2 is its neighbor, then, as a special case of Eq. (2) we have

$$\phi(T) = \lambda \phi(T - x_1) - \phi(T - x_1 - x_2) . \quad (3)$$

Two other relations for the characteristic polynomial, that are frequently used in the below considerations, are

$$\phi(G_1 \cup G_2) = \phi(G_1) \phi(G_2) \quad \text{and} \quad \phi(E_n) = \lambda^n$$

where by $G_1 \cup G_2$ is denoted the graph composed of disjoint components G_1 and G_2 , and where E_n is the n -vertex graph without edges.

CHARACTERISTIC POLYNOMIALS OF BROOMS AND DOUBLE BROOMS

Applying Eq. (3) successively to the a pendent vertices of the generalized broom $P_n(i, a)$, we obtain

$$\phi(P_n(i, a)) = \lambda^a \phi(P_n) - a \lambda^{a-1} \phi(P_{i-1}) \phi(P_{n-i}) \quad (4)$$

¹Eq. (2) holds for all graphs, if e is a bridge. Thus, in particular, Eq. (2) holds for any edge of any forest.

which for the simple broom ($i = 1$) reduces to

$$\phi(P_n(1, a)) = \lambda^a \phi(P_n) - a \lambda^{a-1} \phi(P_{n-1}) . \quad (5)$$

In a similar manner, by applying Eq. (3) successively to the b pendent vertices of the generalized double broom $P_n(i, a|j, b)$, we get

$$\phi(P_n(i, a|j, b)) = \lambda^b \phi(P_n(i, a)) - b \lambda^{b-1} \phi(P_{j-1}(i, a)) \phi(P_{n-j})$$

which combined with (4) yields

$$\begin{aligned} \phi(P_n(i, a|j, b)) &= \lambda^{a+b} \phi(P_n) - a \lambda^{a+b-1} \phi(P_{i-1}) \phi(P_{n-i}) \\ &\quad - b \lambda^{a+b-1} \phi(P_{j-1}) \phi(P_{n-j}) + ab \lambda^{a+b-2} \phi(P_{i-1}) \phi(P_{j-i-1}) \phi(P_{n-j}) . \end{aligned}$$

For the simple double broom ($i = 1, j = n$) the above expression is simplified as:

$$\phi(P_n(1, a|n, b)) = \lambda^{a+b} \phi(P_n) - (a+b) \lambda^{a+b-1} \phi(P_{n-1}) + ab \lambda^{a+b-2} \phi(P_{n-2}) . \quad (6)$$

In order to proceed, recall that the Chebyshev polynomial of the first kind, $T_n(x)$, may be defined by the following recurrence relation. Set $T_0(x) = 1$ and $T_1(x) = x$. Then

$$T_n(x) = 2x T_{n-1}(x) - T_{n-2}(x) \quad , \quad n = 2, 3, \dots .$$

The Chebyshev polynomial of the second kind, $U_n(x)$, may be defined by an analogous recurrence relation,

$$U_n(x) = 2x U_{n-1}(x) - U_{n-2}(x) \quad , \quad n = 2, 3, \dots$$

with $U_0(x) = 1$ and $U_1(x) = 2x$.

Consider now the broom $P_n(1, 2)$, a tree with $n + 2$ vertices.

Proposition 1. The characteristic polynomial of $P_n(1, 2)$ satisfies the identity

$$\phi(P_n(1, 2)) = 2\lambda T_{n+1}(\lambda/2) . \quad (7)$$

Proof. Induction on n . Notice that if $n = 0$, then $P_n(1, 2)$ is composed by two isolated vertices whose characteristic polynomial is $\lambda^2 = 2\lambda T_1(\lambda/2)$. If $n = 1$,

then $P_n(1, 2)$ is a star with 3 vertices whose characteristic polynomial is $\lambda(\lambda^2 - 2) = 2\lambda T_2(\lambda/2)$. Assuming that the result is true for all $n = 0, 1, \dots, n' - 1$, consider the broom $P_{n'}(1, 2)$. Applying the reduction method given by Eq. (3) to the end-vertex $v_{n'}$ of $P_{n'}(1, 2)$, and using the induction hypothesis, we obtain

$$\begin{aligned} \phi(P_{n'}(1, 2)) &= \lambda \phi(P_{n'-1}(1, 2)) - \phi(P_{n'-2}(1, 2)) \\ &= \lambda [2\lambda T_{n'}(\lambda/2)] - [2\lambda T_{n'-1}(\lambda/2)] \\ &= 2\lambda \left(2 \cdot \frac{\lambda}{2} T_{n'}(\lambda/2) - T_{n'-1}(\lambda/2) \right) \\ &= 2\lambda T_{n'+1}(\lambda/2) . \end{aligned}$$

Thus, Eq. (7) holds also for $n = n'$, which proves the result. \square

Proposition 2. The characteristic polynomial of the path P_n with n is

$$\phi(P_n) = U_n(\lambda/2) .$$

Proof. See [1, p. 73]. \square

Theorem 1. The characteristic polynomial of the broom $P_n(1, a)$ is

$$\phi(P_n(1, a)) = \lambda^{a-1} [U_{n+1}(\lambda/2) - (a-1)U_{n-1}(\lambda/2)] .$$

Proof. Combine Proposition 2 with Eq. (5). \square

Corollary 1.1. For any integer $n \geq 1$,

$$U_{n+1}(x) - U_{n-1}(x) = 2T_{n+1}(x) .$$

Proof. This follows by applying the theorem to $P_n(1, 2)$ and taking into account Proposition 1. \square

Theorem 2. The characteristic polynomial of the double broom $P_n(1, a|n, b)$ is

$$\phi(P_n(1, a|n, b)) = \lambda^{a+b} U_n(\lambda/2) - (a+b) \lambda^{a+b-1} U_{n-1}(\lambda/2) + ab \lambda^{a+b-2} U_{n-2}(\lambda/2) .$$

Proof. Combine Proposition 2 with Eq. (6). \square

Corollary 2.1. The characteristic polynomial of the double broom $P_n(1, 2|n, 2)$ satisfies the identity

$$\phi(P_n(1, 2|n, 2)) = (\lambda^4 - 4\lambda^2) U_n(\lambda/2) .$$

Proof. In view of Proposition 2, it suffices to show that

$$\phi(P_n(1, 2|n, 2)) = (\lambda^4 - 4\lambda^2) \phi(P_n) . \quad (8)$$

From (6) we get

$$\begin{aligned} \phi(P_n(1, 2|n, 2)) &= \lambda^4 \phi(P_n) - 4\lambda^3 \phi(P_{n-1}) + 4\lambda^2 \phi(P_{n-2}) \\ &= \lambda^4 \phi(P_n) - 4\lambda^2 [\lambda \phi(P_{n-1}) - \phi(P_{n-2})] \\ &= \lambda^4 \phi(P_n) - 4\lambda^2 \phi(P_n) \end{aligned}$$

from which Eq. (8) follows. □

ENERGY OF BROOMS AND DOUBLE BROOMS

Proposition 3.

$$E(P_n) = 2 \sum_{k=1}^n \left| \cos \frac{k\pi}{n+1} \right| .$$

Proof. This, otherwise well known result [1, 29], follows from Proposition 2 and the (also well known) fact that the roots of U_n are $\cos[(k\pi)/(n+1)]$, $k = 1, \dots, n$. □

Proposition 4.

$$E(P_n(1, 2)) = 2 \sum_{k=0}^{n+1} \left| \cos \frac{(2k+1)\pi}{2n+2} \right| .$$

Proof. This earlier reported result [30] follows from Proposition 1 and the fact that the roots of T_n are $\cos[(2k+1)\pi/(2n)]$, $k = 0, \dots, n-1$. □

Proposition 5. $E(P_n(1, 2|n, 2)) = E(P_n) + 4$.

Proof. See the proof of Corollary 2.1. □

In a number of papers, published in the 1970s and 1980s [10, 31–38], one of the present authors and Fuji Zhang considered the relation $T_1 \succ T_2$ between two trees T_1 and T_2 (as well as an analogous relation between bipartite graphs).

Definition. Let the quantities $m(T, k)$ be same as in Eq. (1). If T_1 and T_2 are two trees, and if $m(T_1, k) \geq m(T_2, k)$ holds for all $k \geq 0$, then we write $T_1 \succeq T_2$. If $m(T_1, k) > m(T_2, k)$ for at least one k , then we write $T_1 \succ T_2$.

The importance of the relation \succ lies in the fact [10] that the energy of a tree T is a monotonically increasing function of the coefficients $m(T, k)$. Therefore, we have [10]:

Proposition 6. $T_1 \succeq T_2$ implies $E(T_1) \geq E(T_2)$. $T_1 \succ T_2$ implies $E(T_1) > E(T_2)$.

In the papers [10, 31–38] the relation \succ was established for a variety of pairs of trees and other types of graphs. Here we point out only one of these results.

Proposition 7. [37] Let, as before, P_n be the n -vertex path, whose vertices are consecutively labelled by v_1, v_2, \dots, v_n . Let T be an arbitrary tree and v its arbitrary (but fixed) vertex. Let $P_n(i, T)$ be the graph obtained by identifying the vertex v_i of P_n with the vertex v of T . Then for $n = 4k + h$, $h \in \{-1, 0, 1, 2\}$, $k \geq 1$,

$$\begin{aligned} P_n(1, T) &\succ P_n(3, T) \succ \dots \succ P_n(2k+1, T) \succ P_n(2k, T) \\ &\succ P_n(2k-2, T) \succ \dots \succ P_n(2, T) . \end{aligned}$$

It should be noted that the Proposition 7 remains valid if the tree T is replaced by an arbitrary graph G [37].

Applying Propositions 6 and 7 to the generalized brooms we obtain:

Theorem 3. Let $P_n(i|a)$ be the generalized broom and let $n = 4k + h$, $h \in \{-1, 0, 1, 2\}$, $k \geq 1$. Then

$$\begin{aligned} E(P_n(1, a)) &> E(P_n(3, a)) > \dots > E(P_n(2k+1, a)) > E(P_n(2k, a)) \\ &> E(P_n(2k-2, a)) > \dots > E(P_n(2, a)) . \end{aligned}$$

A less straightforward result of the same kind is:

Theorem 4. Using an analogous notation as in Proposition 7, let T' and T'' be arbitrary trees, v' an arbitrary (but fixed) vertex of T' , and v'' an arbitrary (but fixed) vertex of T'' . Let $P_n(i, T'|j, T'')$ be the graph obtained by identifying the vertex v_i of P_n with the vertex v' of T' and by identifying the vertex v_j of P_n with the vertex v'' of T'' . Then for $3 \leq i < j \leq n - 2$,

$$P_n(1, T'|n, T'') \succ P_n(i, T'|j, T'') \succ P_n(2, T'|n - 1, T'') .$$

Proof.

In view of Eq. (1), the Heilbronner formula (2) is tantamount to

$$m(T, k) = m(T - e, k) + m(T - x_1 - x_2, k - 1) \quad \text{for all } k \geq 1 . \quad (9)$$

Applying the Eq. (9) to the edge connecting the vertices v_{j-1} and v_j of the tree $P_n(i, T'|j, T'')$, we get

$$m(P_n(i, T'|j, T''), k) = m(P_{j-1}(i, T') \cup X, k) + m(P_{j-2}(i, T') \cup Y, k - 1) \quad (10)$$

where $X = P_{n-j+1}(1, T'')$ and $Y = P_{n-j+1}(1, T'') - v_1$.

Assume now that the parameter j in $(P_n(i, T'|j, T''))$ is fixed. If so, then the structure of the subgraphs X and Y is also fixed. Then from Proposition 7 we conclude that both terms $m(P_{j-1}(i, T') \cup X, k)$ and $m(P_{j-2}(i, T') \cup Y, k - 1)$ will be maximal (resp. minimal) if $i = 1$ (resp. $i = 2$). Then by Eq. (10), for fixed value of j , the term $m(P_n(i, T'|j, T''), k)$ will be maximal and minimal for $i = 1$ and $i = 2$, respectively, i. e.,

$$m(P_n(1, T'|j, T''), k) \geq m(P_n(i, T'|j, T''), k) > m(P_n(2, T'|j, T''), k)$$

holds for all values of $k \geq 0$ and for $3 \leq i < j$.

By symmetry, for fixed value of the parameter i ,

$$m(P_n(i, T'|n, T''), k) \geq m(P_n(i, T'|j, T''), k) > m(P_n(i, T'|n - 1, T''), k)$$

holds for all values of $k \geq 0$ and for $i < j \leq n - 2$.

Theorem 4 follows by combining the above two results. □

Corollary 4.1. For the trees $P_n(i, T'|j, T'')$ specified in Theorem 4, and for $3 \leq i < j \leq n - 2$,

$$E(P_n(1, T'|n, T'')) > E(P_n(i, T'|j, T'')) > E(P_n(2, T'|n - 1, T'')) .$$

Corollary 4.2. Let $P_n(i, a|j, b)$ be the generalized double broom. Then for $3 \leq i < j \leq n - 2$,

$$P_n(1, a|n, b) \succ P_n(i, a|j, b) \succ P_n(2, a|n - 1, b)$$

and

$$E(P_n(1, a|n, b)) > E(P_n(i, a|j, b)) > E(P_n(2, a|n - 1, b)) .$$

Extending Theorem 4 to specifying the trees $P_n(i, T'|j, T'')$ with second-maximal and second-minimal energy seems to be a less easy task. It is not difficult to envisage that the species with second-maximal energy could be either $P_n(3, T'|n, T'')$ or $P_n(1, T'|n - 2, T'')$, but the complete answer may depend on the actual structure of T' and T'' .

As for the energy of the double broom $P_n(1, a|n, b)$ we can say something more.

Theorem 5. Among the double brooms $P_n(1, a|n, b)$ with fixed number p of pendent vertices ($p = a + b$), the double broom $P_n(1, p - 2|n, 2)$ has minimal whereas $P_n(1, \lceil p/2 \rceil|n, \lfloor p/2 \rfloor)$ has maximal energy.

Proof. Assume that $a \geq b$. Applying Eq. (9) to one of the pendent edges incident to the vertex v_n of $P_n(1, a|n, b)$ results in:

$$m(P_n(1, a|n, b), k) = m(P_n(1, a|n, b - 1), k) + m(P_{n-1}(1, a), k - 1) .$$

Applying Eq. (9) to one of the pendent edges incident to the vertex v_1 of the double broom $P_n(1, a + 1|n, b - 1)$ results in:

$$m(P_n(1, a + 1|n, b - 1), k) = m(P_n(1, a|n, b - 1), k) + m(P_{n-1}(1, b), k - 1) .$$

Then

$$\begin{aligned} & m(P_n(1, a|n, b), k) - m(P_n(1, a + 1|n, b - 1), k) \\ &= m(P_{n-1}(1, a), k - 1) - m(P_{n-1}(1, b), k - 1) . \end{aligned} \tag{11}$$

If $a = b$ then the right-hand side Eq. (11) is equal to zero for all values of k . If $a > b$ then the broom $P_{n-1}(1, b)$ is a proper subgraph of the broom $P_{n-1}(1, a)$ and therefore the right-hand side of (11) is non-negative for all k and positive at least for $k = 2$. Consequently,

$$m(P_n(1, a|n, b), k) \geq m(P_n(1, a+1|n, b-1), k) \quad \text{for all } k \geq 0$$

i. e.,

$$P_n(1, a|n, b) \succ P_n(1, a+1|n, b-1) .$$

Theorem 5 follows. □

Theorem 6. Among the double brooms $P_n(1, a|n, b)$ with fixed number N vertices ($N = n + a + b$), $P_{N-4}(1, 2|N-4, 2)$ has maximal whereas $P_2(1, N-4|2, 2)$ has minimal energy.

Proof. Denote by S_n the n -vertex star, and by E_n the n -vertex graph without edges. Apply Eq. (9) to the edge between the vertices v_{n-1} and v_n of $P_n(1, a|n, b)$. This yields:

$$m(P_n(1, a|n, b), k) = m(P_{n-1}(1, a) \cup S_{b+1}, k) + m(P_{n-2}(1, a) \cup E_b, k-1) .$$

Apply now Eq. (9) to the edge between the vertices v_{n-1} and v_n of $P_{n+1}(1, a|n+1, b-1)$. This yields:

$$m(P_{n+1}(1, a|n+1, b-1), k) = m(P_{n-1}(1, a) \cup S_{b+1}, k) + m(P_{n-2}(1, a) \cup S_b, k-1) .$$

Therefore

$$\begin{aligned} & m(P_{n+1}(1, a|n+1, b-1), k) - m(P_n(1, a|n, b), k) \\ &= m(P_{n-2}(1, a) \cup S_b, k-1) - m(P_{n-2}(1, a) \cup E_b, k-1) . \end{aligned}$$

The right-hand side of the latter equality is evidently positive for some and zero for the other values of k , implying

$$P_{n+1}(1, a|n+1, b-1) \succ P_n(1, a|n, b)$$

and

$$E(P_{n+1}(1, a|n+1, b-1)) > E(P_n(1, a|n, b)) .$$

In other words, extending the diameter of the double broom on the expense of the number of pendent vertices, increase the energy. Hence the maximal-energy double broom will have a minimal number of pendent vertices ($= 2$) on each of its side.

The minimal-energy double broom will have smallest possible diameter, i. e., $n = 2$. The requirement that the difference between the parameters a and b be as large as possible follows from Theorem 5. \square

The energy of the maximal-energy N -vertex double broom $P_{N-4}(1, 2|n, 2)$ is determined by Proposition 5. By an easy calculation we find that for the minimal-energy N -vertex double broom $E(P_2(1, N-4|2, 2)) = 2\sqrt{N-1} + \sqrt{8N-32}$. Thus we arrive at:

Corollary 6.1. For $n \geq 2$, $a \geq 2$, $b \geq 2$, the energy of the double broom $P_n(1, a|n, b)$ satisfies the inequalities

$$2\sqrt{n+a+b-1} + \sqrt{8n+8a+8b-40} \leq E(P_n(1, a|n, b)) \leq 4 + E(P_{n+a+b-4})$$

with equality on the left-hand side if and only if $n = 2$ and $a = 2$ or $b = 2$, and with equality on the right-hand side if and only if $a = b = 2$.

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