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Given integers k, w, and n. How many n-letter cyclic strings with marked first letter are there, over an alphabet of k letters, which contain no constant substring of length > w? Let $L_w^k(n)$ denote the number of such strings. We remark that by itself the phrase "cyclic string with marked first letter" is the same as "linear string." The difference between our problem and a similar one for linear strings lies in the phrase "no constant substring." In our problem this constant substring can lie on the circular, rather than only on the linear string.

This problem was solved for k = 2 in [3]. Here we present the solution for arbitrary k, in the form of a surprisingly explicit formula.

Theorem 1: There is an integer $n_0 = n_0(k, w)$ and an algebraic number $\beta = \beta(k, w)$ such that for all $n \ge n_0$ the number of such strings is given by the (exact, not asymptotic) formula

$$L_{w}^{k}(n) = \langle \beta^{n} \rangle + \begin{cases} w(k-1), & \text{if } (w+1)/n, \\ -(k-1), & \text{otherwise,} \end{cases}$$

where " $\langle \cdot \rangle$ " is the "nearest integer" function, β is the positive real root of the equation $x^w = (k-1)(1+x+x^2+\cdots+x^{w-1})$, and n_0 can be taken as

$$n_0 = n_0(w, k) = \max\left(w + 1, \left\lceil \frac{k^w \log 2w}{(k-1)} \right\rceil\right).$$

This will follow from an analysis of the generating function, which is contained in the following theorem.

Theorem 2: Let $F_w^k(x) = \sum_{n=0}^{\infty} L_w^k(n) x^n$ be the generating function for $\{L_w^k(n)\}$. Then

$$F_{w}^{k}(x) = \frac{1-x^{w}}{1-x} \left(kx + (k-1)x \left(\frac{w+1-wkx}{1-kx+(k-1)x^{w+1}} - \frac{w+1}{1-x^{w+1}} \right) \right).$$

We use the following notation. Our alphabet $\mathcal{A} = \mathcal{A}_k$ will be the set of residues $\{0, 1, ..., k-1\}$ modulo k. If $\mathbf{y} = y_1 \dots y_n$ is a string, then its sum is $\sum_j y_j$ modulo k. The set of n-letter cyclic strings with marked first letter, over this k-letter alphabet, will be denoted by CS(n, k), and those which also have no constant substrings of length >w will be denoted by CS(n, k, w). The subset of CS(n, k) that consists of just those strings whose sum is 0 modulo k will be denoted by $CS_0(n, k, w)$. The $CS_0(n, k, w)$. Finally, $LS_0(n, k, w)$ will be the set of linear n-strings over \mathcal{A} that contain no zero substring of length >w.

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1. PROOF OF THEOREM 2

We will reduce our problem to counting $LS_0(n, k, w)$, which is much easier, as we will see later.

Step 1. First, we will show that our problem can be reduced to a simpler problem of counting certain strings in CS(n, k) without zero substrings of length > (w - 1).

We consider a map $T: CS(n, k) \rightarrow CS(n, k)$ defined as follows:

$$T\mathbf{x} = \{x_{i+1} - x_i \pmod{k}\}_{i=1}^n \pmod{x_{n+1}} := x_1$$
.

This is a generalization of the map defined in [1] for k = 2.

Clearly, $T(CS(n, k)) \subseteq CS_0(n, k)$. Note also that all maximal *j*-letter constant substrings of nonconstant strings are mapped onto zero substrings of length j-1, and constant strings in CS(n, k) are mapped onto $0 \in CS(n, k)$ if n = w.

Given a string $\mathbf{y} = y_1 \dots y_n \in CS_0(n, k)$ and any letter $a \in \mathcal{A}$, we can uniquely determine a string $\mathbf{x} = x_1 \dots x_n$ such that $T(\mathbf{x}) = \mathbf{y}$ and $x_1 = a$ since

$$(\forall i \in \{1, ..., n\}) : x_{i+1} \equiv x_i + y_i \pmod{k} (\text{again, } x_{n+1} := x_1).$$

Therefore, T is a k:1 map onto $\text{Im } T = \text{CS}_0(n, k)$. Furthermore, $T(\text{CS}_0(n, k, w)) = \text{CS}_0(n, k, w-1)$, together with $0 \in \text{CS}(n, k)$ if n = w.

Let $\dot{L}_{w}^{k}(n) = |CS_{0}(n, k, w)|$ Then we have that

$$L_{w}^{k}(n) = \begin{cases} k \dot{L}_{w-1}^{k}(n), & \text{for } n \neq w, \\ k (\dot{L}_{w-1}^{k}(n) + 1), & \text{for } n = w, \end{cases}$$

where 1 accounts for the string $0 \in CS(n, k)$ in the case n = w.

Step 2. Consider a $CS_0(n, k, w-1)$ string that ends on a nonzero letter. [We will denote the number of such strings by $\Lambda_{w-1}^k(n)$ and, of those, the strings whose first letter is nonzero will be denoted by $\tilde{\Lambda}_{w-1}^k(n)$.] This string has $\leq w-1$ zeros at the beginning, so if we remove the zeros we will get a unique $CS_0(n-i, k, w-1)$ string, where $0 \leq i \leq w-1$, whose first and last letters are nonzero. Clearly, we can also perform the inverse operation, i.e., obtain a unique $CS_0(n, k, w-1)$ string whose last letter is nonzero, given $i \in \{1, ..., n\}$ and a $CS_0(n-i, k, w-1)$ string whose first are nonzero, by adding *i* zeros at the beginning. Hence, we see that

$$\Lambda_{w-1}^{k}(n) = \sum_{i=0}^{w-1} \tilde{\Lambda}_{w-1}^{k}(n-i).$$

Step 3. Let us now look at the linear strings of the type $LS_0(n, k, w-1)$. We define a map from $LS_0(n-1, k, w-1)$ to the set of those strings in $\bigcup_{i=0}^{w} CS_0(n-i, k, w-1)$ strings (where $0 \le i \le w$) whose last letter is nonzero, plus the empty string if $n \le w$.

Let such a string $\mathbf{y} = y_1 \dots y_{n-1} \in LS_0(n-1, k, w-1)$ be given, and put $s = s(\mathbf{y}) = -\sum_j y_j \pmod{k}$. Then our map will take y to the string

$$\begin{cases} y_1 y_2 \dots y_{n-1} s, & \text{if } s \neq 0; \\ y_1 y_2 \dots y_{n-1-i}, & \text{if } s = 0, y_{n-1-i} \neq 0, \text{ and } y_{n-i} = \dots = y_{n-1} = 0, 0 \le i \le w - 1; \\ \emptyset, & \text{if } y \text{ is a zero string of length } n - 1 \le w - 1. \end{cases}$$

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Clearly, this map is a bijection onto its image. Let $\ell_w^k(n) = |LS_0(n, k, w)|$. Then we can conclude from the above that

$$\ell_{w-1}^{k}(n-1) = \sum_{i=0}^{w} \Lambda_{w-1}^{k}(n-i) + \begin{cases} 1, & \text{if } 1 \le n \le w, \\ 0, & \text{if } n \ge w+1. \end{cases}$$

Step 4. Now consider some string $y \in CS_0(n, k, w-1)$. Either y is a zero string of length $\leq w-1$ or it has $\leq w-1$ zeros as the (possibly empty) union of its initial and terminal blocks of zeros. If we remove these zeros, we will get either an empty string (if $n \leq w-1$) or a $CS_0(n-i, k, w-1)$ string (where $0 \leq i \leq w-1$) whose first and last letters are nonzero.

Conversely, given a string $\mathbf{y} \in CS_0(n-i, k, w-1)$ (where $0 \le i \le w-1$) with nonzero first and last letters, add *i* zeros between the last and first letter and, in the resulting string, mark one of the added zeros or the first nonzero letter of \mathbf{y} as the first letter of the resulting $CS_0(n, k, w-1)$ string. There are i+1 choices for the new first letter. Let us show that this map is 1: (i+1) from $CS_0(n-i, k, w-1) \setminus \{0\}$ onto its image.

Suppose not. This means that, for some $i \in \{0, 1, ..., w-1\}$, we can obtain two identical non-zero $CS_0(n, k, w-1)$ strings by adding *i* zeros

- (a) to two different nonzero $CS_0(n-i, k, w-1)$ strings with first and last nonzero letters, or
- (b) to the same string in the above set and then marking different letters as the new first letter.

But (a) is clearly impossible, since it implies that by removing the *i* zeros (i.e., all the zeros) between the last and first nonzero letters, we can get two different $CS_0(n-i, k, w-1)$ strings that begin and end on a nonzero letter.

Hence, (b) must be true, i.e., there must exist a nonzero $\mathbf{x} \in CS_0(n, k, w-1)$ such that

- 1) $(\exists s \neq 0)(\forall r)(x_r = x_{r+s})$, and
- **2)** $x_1 = \cdots = x_s = 0$.

But it is easy to see that 1) and 2) imply that $\mathbf{x} = \mathbf{0}$. This is a contradiction, so our map must be 1: (i+1) from $CS_0(n-i, k, w-1) \setminus \{\mathbf{0}\}$ onto its image.

Therefore, it follows that $\dot{L}_{w-1}^{k}(0) = 0$ [since $L_{w-1}^{k}(0) = 0$], and

$$\dot{L}_{w-1}^{k}(n) = \sum_{i=0}^{w-1} (i+1) \tilde{\Lambda}_{w-1}^{k}(n-i) + \begin{cases} 1, & \text{if } 1 \le n \le w, \\ 0, & \text{if } n \ge w. \end{cases}$$

We can summarize the developments so far by giving the following set of equations that have been proved:

$$L_{w}^{k}(n) = \begin{cases} k \tilde{L}_{w-1}^{k}(n), & \text{for } n \neq w, \\ k (\dot{L}_{w-1}^{k}(n)+1), & \text{for } n = w. \end{cases}$$
$$\Lambda_{w-1}^{k}(n) = \sum_{i=0}^{w-1} \tilde{\Lambda}_{w-1}^{k}(n-i), \\ \ell_{w-1}^{k}(n-1) = \begin{cases} 1 + \sum_{i=0}^{w} \Lambda_{w-1}^{k}(n-i), & \text{for } 1 \le n \le w, \\ \sum_{i=0}^{w} \Lambda_{w-1}^{k}(n-i), & \text{for } n \ge w+1. \end{cases}$$

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$$\dot{L}_{w-1}^{k}(n) = \begin{cases} 1 + \sum_{i=0}^{w-1} (i+1) \widetilde{\Lambda}_{w-1}^{k}(n-i), & \text{for } 1 \le n \le w-1, \\ \sum_{i=0}^{w-1} (i+1) \widetilde{\Lambda}_{w-1}^{k}(n-i), & \text{for } n \ge w. \end{cases}$$

In [3] is it shown that

$$\ell_{w-1}^{2}(n) = \begin{cases} 2^{n}, & \text{for } 0 \le n \le w-1, \\ \sum_{i=1}^{w} \ell_{w-1}^{2}(n-i), & \text{for } n \ge w. \end{cases}$$

Generalizing the proof of this fact for a k-letter alphabet, it is easy to show that

$$\ell_{w-1}^{2}(n) = \begin{cases} k^{n}, & \text{for } 0 \le n \le w-1, \\ (k-1) \left(\sum_{i=1}^{w} \ell_{w-1}^{k}(n-i) \right), & \text{for } n \ge w. \end{cases}$$
(1)

It is also a special case of Example 6.4 on pages 1102-1103 of [4] (for k-letter, instead of binary, strings). [Of course, it is assumed that if n < 0 or w < 0 in any of the above formulas, then $L_w^k(n) = \dot{L}_w^k(n) = \Lambda_w^k(n) = \tilde{\Lambda}_w^k(n) = \ell_w^k(n) = 0.$]

Define the generating functions

$$\dot{F}_w^k(x) = \sum_{n=0}^{\infty} \dot{L}_w^k(n) x^n, \qquad \Phi_w^k(x) = \sum_{n=0}^{\infty} \Lambda_w^k(n) x^n,$$
$$\tilde{\Phi}_w^k(x) = \sum_{n=0}^{\infty} \tilde{\Lambda}_w^k(n) x^n, \qquad f_w^k(x) = \sum_{n=0}^{\infty} \ell_w^k(n) x^n.$$

Then we have

$$F_{w}^{k}(x) = k\dot{F}_{w-1}^{k}(x) + kx^{w},$$

$$\Phi_{w-1}^{k}(x) = (1 + x + \dots + x^{w-1})\tilde{\Phi}_{w-1}^{k}(x) = \frac{1 - x^{w}}{1 - x}\tilde{\Phi}_{w-1}^{k}(x),$$

$$xf_{w-1}^{k}(x) = x + x^{2} + \dots + x^{w} + (1 + x + \dots + x^{w})\Phi_{w-1}^{k}(x)$$

$$= \frac{x(1 - x^{w})}{1 - x} + \frac{1 - x^{w+1}}{1 - x}\Phi_{w-1}^{k}(x),$$

$$\dot{F}_{w-1}^{k}(x) = x + x^{2} + \dots + x^{w-1} + (1 + 2x + \dots + wx^{w-1})\tilde{\Phi}_{w-1}^{k}(x)$$

$$= \frac{x - x^{w}}{1 - x} + \frac{1 - (w + 1)x^{w} + wx^{w+1}}{(1 - x)^{2}}\tilde{\Phi}_{w-1}^{k}(x),$$

and, finally, from (1) above,

$$f_{w-1}^{k}(x) = \frac{1+x+\dots+x^{w-1}}{1-(k-1)x-\dots-(k-1)x^{w}} = \frac{1-x^{w}}{1-kx+(k-1)x^{w+1}}$$

Hence,

$$x\left(\frac{1-x^{w}}{1-kx+(k-1)x^{w+1}}\right) = \frac{x(1-x^{w})}{1-x} + \frac{1-x^{w+1}}{1-x}\frac{1-x^{w}}{1-x}\tilde{\Phi}_{w-1}^{k}(x),$$

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or, equivalently,

$$\tilde{\Phi}_{w-1}^{k}(x) = \frac{(k-1)x^{2}(1-x^{w})}{1-kx+(k-1)x^{w+1}} \frac{1-x}{1-x^{w+1}},$$

so

$$\dot{F}_{w-1}^{k}(x) = \frac{x-x^{w}}{1-x} + \frac{1-(w+1)x^{w}+wx^{w+1}}{(1-x)^{2}} \frac{(k-1)x^{2}(1-x^{w})}{1-kx+(k-1)x^{w+1}} \frac{1-x}{1-x^{w+1}}$$
$$= \frac{x-x^{w}}{1-x} + \frac{1-x^{w}}{1-x}(k-1)x^{2} \frac{1-(w+1)x^{w}+wx^{w+1}}{(1-kx+(k-1)x^{w+1})(1-x^{w+1})},$$

and thus,

$$F_{w}^{k}(x) = k \left(x^{w} + \frac{x - x^{w}}{1 - x} \right) + k \frac{1 - x^{w}}{1 - x} (k - 1) x^{2} \frac{1 - (w + 1)x^{w} + wx^{w+1}}{(1 - kx + (k - 1)x^{w+1})(1 - x^{w+1})}$$
$$= \frac{1 - x^{w}}{1 - x} \left(kx + (k - 1)x \left(\frac{w + 1 - wkx}{1 - kx + (k - 1)x^{w+1}} - \frac{w + 1}{1 - x^{w+1}} \right) \right),$$

as asserted in the statement of the theorem.

Let us now find the coefficients of $F_w^k(n)$. We have that, for n > 1,

$$L_w^k(n) = (k-1)\sum_{i=1}^w A_w^k(n-i),$$

where

$$A_{w}^{k}(n) = [x^{n}] \left(\frac{w+1-wkx}{1-kx+(k-1)x^{w+1}} - \frac{w+1}{1-x^{w+1}} \right),$$

where " $[x^n](\cdot)$ " means "the coefficient of x^n in (\cdot) ". Let

$$B_{w}^{k}(n) = [x^{n}] \left(\frac{1}{1 - kx + (k - 1)x^{w+1}} \right),$$

then

$$A_{w}^{k}(n) = (w+1)B_{w}^{k}(n) - wkB_{w}^{k}(n-1) - \delta_{n},$$

where

$$\delta_n = \begin{cases} w+1, & \text{if } (w+1)/n, \\ 0, & \text{otherwise.} \end{cases}$$

Let us find an exact formula for $B_w^k(n)$ that involves binomial coefficients. Then in the next section we will find the formula that is claimed in Theorem 1 above. We have that

$$\frac{1}{1-kx+(k-1)x^{w+1}} = \frac{1}{1-kx} \frac{1}{1+\frac{(k-1)x^{w+1}}{1-kx}} =$$

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$$=\sum_{m=0}^{\infty} (-1)^m \frac{((k-1)x^{w+1})^m}{(1-kx)^{m+1}} = \sum_{m=0}^{\infty} \frac{(1-k)^m x^{m(w+1)}}{(1-kx)^{m+1}}$$
$$=\sum_{m=0}^{\infty} (1-k)^m x^{m(w+1)} \left(\sum_{j=0}^{\infty} \binom{m+j}{m} (kx)^j\right)$$
$$=\sum_{m=0}^{\infty} \sum_{j=0}^{\infty} \binom{m+j}{m} (1-k)^m k^j x^{m(w+1)+j},$$

so

$$B_{w}^{k}(n) = k^{n} \sum_{0 \le m \le n/(w+1)} {\binom{n-wm}{m}} \left(\frac{1-k}{k^{w+1}}\right)^{m} = k^{n} \sum_{m} {\binom{n-wm}{m}} \left(\frac{1-k}{k^{w+1}}\right)^{m},$$

and hence,

$$\begin{aligned} A_w^k(n) &= k^n \sum_m \left[(w+1) \binom{n-wm}{m} - w \binom{n-1-wm}{m} \right] \left(\frac{1-k}{k^{w+1}} \right)^m - \delta_n \\ &= k^n \sum_{m \neq n/w} \frac{n}{n-wm} \binom{n-wm}{m} \left(\frac{1-k}{k^{w+1}} \right)^m - \delta_n, \end{aligned}$$

since

$$m = \frac{n}{w} \Longrightarrow n - wm = 0 \Longrightarrow (w + 1) \binom{n - wm}{m} - w \binom{n - 1 - wm}{m} = 0.$$

2. PROOF OF THEOREM 1

If we expand in partial fractions,

$$\frac{(1-x^{w})(k-1)x(w+1-wkx)}{(1-x)(1-kx+(k-1)x^{w+1})} = \sum_{\alpha\neq 1} \frac{C_{\alpha}}{1-x/\alpha} + D + \frac{C_{1}}{1-x},$$

where α runs over the zeros of the second factor in the denominator, then it is a simple exercise to verify that all $C_{\alpha} = 1$ ($\alpha \neq 1$), $C_1 = w(k-1)$, and D = -kw. Hence, if we read off the coefficient of x^n in the last form of the generating function given in Theorem 2, we find that

$$L_{w}^{k}(n) = \sum_{\alpha \neq 1} \frac{1}{\alpha^{n}} + w(k-1) + \begin{cases} -kw, & \text{if } n = 0, \\ k, & \text{if } 1 \le n \le w, \\ -(k-1)(w+1), & \text{if } w+1 \text{ does not divide } n, \\ 0, & \text{otherwise.} \end{cases}$$
(2)

Proposition 1: The roots of the equation $1 - kx + (k - 1)x^{w+1} = 0$ consist of a root x = 1, one positive real root <1, and w - 1 other roots all of which have absolute values >1.

Proof: Indeed, the roots other than x = 1 are the reciprocals of the roots of

$$\psi_{w,k}(x) = x^w - (k-1)(x^{w-1} + \dots + 1) = 0.$$
(3)

Let β be the positive real zero of $\psi_{w,k}$. Then its remaining zeros are those of

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$$\frac{\psi_{w,k}(x)}{x-\beta} = x^{w-1} + (\beta - (k-1))x^{w-2} + (\beta^2 - (k-1)\beta - (k-1))x^{w-1} + \cdots$$

$$= \sum_{j=1}^{w-1} \psi_{w-j-1,k}(\beta)x^j.$$
(4)

We claim that the coefficients of this last polynomial increase steadily, i.e., that $\{\psi_{j,k}(\beta)\}\downarrow_j$. Indeed, note first that, since $\psi_{w,k}(0) < 0$ and $\psi_{w,k}(k) > 0$, we have $\beta < k$. But then the claim is true, because $\psi_{j+1,k}(\beta) - \psi_{j,k}(\beta) = \beta^j(\beta-k) < 0$. A theorem of Enestrom-Kakeya [2] holds that if the coefficients of a polynomial are positive real numbers and are increasing then all of the zeros of the polynomial lie inside the unit disk. This completes the proof of the proposition. \Box

We now investigate the quantity n_0 in the statement of Theorem 1, which requires sharper bounds on the roots of equation (3) above. First, we require a bound on β itself.

Proposition 2: We have $k - k / k^w \le \beta \le k - (k - 1) / k^w$.

Proof: We note that $\psi_{w,k}(x)$ is negative in $0 < x < \beta$ and positive in $\beta < x < k$. Hence, it suffices to show that $\psi_{w,k}(k - (k-1)/k^w) > 0$ and $\psi_{w,k}(k - k/k^w) < 0$. But

$$\psi_{w,k}\left(k - \frac{k-1}{k^{w}}\right) = k^{w+1} \left\{ \left(1 - \frac{k-1}{k^{w+1}}\right)^{w+1} - \left(1 - \frac{k-1}{k^{w+1}}\right)^{w} \right\} + (k-1)$$
$$= (k-1)\left(1 - \left(1 - \frac{k-1}{k^{w+1}}\right)^{w}\right) > 0$$

and, similarly,

$$\psi_{w,k}\left(k - \frac{k}{k^{w}}\right) = k^{w+1}\left\{\left(1 - \frac{k}{k^{w+1}}\right)^{w+1} - \left(1 - \frac{k}{k^{w+1}}\right)^{w}\right\} + (k-1)$$
$$= k\left(1 - \left(1 - \frac{1}{k^{w}}\right)^{w}\right) - 1 \le k\left(1 - \left(1 - \frac{w}{k^{w}}\right)\right) - 1 = \frac{w}{k^{w-1}} - 1 \le 0$$

and the equality holds iff w = 1. \Box

Next, we require a better bound for the roots of $\psi_{w,k}$ other than the root β . We know that these other roots have moduli <1, but the following proposition gives a sharper result.

Proposition 3: The zeros of $\psi_{w,k}(x)$, other than β , all lie in the disk $|x| \le 1 - (k-1)/k^w$.

Proof: Observe that the zeros, other than 1 and β , are the set of all zeros of the polynomial displayed in the last member of (4) above. If we denote that polynomial by g(x), then we claim that not only do the coefficients of g increase steadily, as shown above, but that if we choose $R = \beta - k + 1$, then 0 < R < 1 and the coefficients of g(Rx) still increase steadily. If we can show this, then we will know that all zeros of g lie in the disk $|x| \le R < 1$.

But is R is chosen so that the coefficient sequence of g(Rx), viz. the sequence

$$\{\psi_{w-j-1,k}(\beta)R^j\}_{j=0}^{w-1}$$

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increases with j, then the result will follow. Now R is surely large enough to achieve this if

$$\min_{1 \le j \le w-1} \frac{\psi_{w-j-1,k}(\beta)R^j}{\psi_{w-j,k}(\beta)R^{j-1}} \ge 1,$$

i.e., if

$$R \ge R^* = \max_{1 \le j \le w-1} \frac{\psi_{j,k}(\beta)}{\psi_{j-1,k}(\beta)}.$$

But, since $\psi_{j,k}(\beta) = \beta \psi_{j-1,k}(\beta) - (k-1)$, we have

$$R^* = \beta - \frac{(k-1)}{\max_{1 \le j \le w-1} \psi_{j-1,k}(\beta)} = \beta - \frac{k-1}{\psi_{0,k}(\beta)} = \beta - k + 1.$$

Thus, all zeros of g lie in the disk $|x| \le \beta - k + 1$, and the result follows by Proposition 2 above. \Box

Now consider the exact formula (2) for the number $L_w^k(n)$ of strings. The first term will be the nearest integer to β^n as soon as the contribution of all of the other roots $\alpha \neq 1/\beta$ is <1/2. In view of Proposition 3, this contribution will be less than 1/2 if $n \ge k^w \log(2w)/(k-1)$, and the proof of Theorem 1 is complete. \Box

Notice, however, that, in order to obtain the estimate for n_0 , we bounded the absolute value of the sum of powers of the small roots by the sum of their absolute values. Since this does not take into account many cancellations in $\sum_{\alpha \neq 1, \beta} \alpha^{-n}$, our estimate (which grows like k^{w-1}) is much greater than the actual n_0 's. In fact, based on empirical data for small k and w, we conjecture that $n_0(k, w)$ grows polynomially in both k and w (specifically, slower than k^2w^3 , but faster than kw^2).

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