Combinatorics Basics Explained by Examples : Subsets, strings, trees

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September 2023

These notes are only the sketch of the lecture : the aim is to apply the basic counting techniques to the binomial coefficients and establish combinatorial equalities. **References :** Concrete Mathematics : A Foundation for Computer Science *Ronald L. Graham, Donald E. Knuth and Oren Patashnik* Addison-Wesley 1989 (chapter 5)





COMPUTER SCIENCE



The four faces of a computer science object

Information representation

Algorithmics Design, proof, complexity....

Encoding, data, numerical information...

Programming Language

Languages, software engineering...

Architecture

Processor, networks, operating systems...

Reference : Les quatre concepts de l'informatique, Didapro, 2011 by Gilles Dowek, INRIA/ENS-Saclay



RIII ES

ABSTRACT OBJECTS IN COMPUTER SCIENCE

Symbols, Words, and Texts

- 011011100101110111...
- 270c4fe6205c0f43d3163f566534f308
- grammars, rewriting,...

Sets

- sets encoding,
- subsets, partitions

Trees

- binary trees, binary search trees
- covering trees
- tree structures

Ordering

- permutations
- sequences
- partial orders

Why counting?

- Characteristics of objects
- Better understanding of the structures

Counting = Description Method = Enumeration = Generation



WELL BALANCED EXPRESSIONS

The problem

 $((a + (3 \times (c+1)) - (9 + x) \times ((5 + e) - (4 \times 3))))$ is a well-balanced expression?

and this one

$$(5+a) imes (2 imes 3 imes (5/e))) + (4 - 3 imes (e+7))$$

RULES

Exercise : Design the algorithm for expressions composed with (), {,} and [,] symbols.

ANALYSIS OF THE PROBLEM

Is the algorithm correct?

- Formal proof (modify the algorithm to prove it)
- Check on examples (which ones?) Is it a proof?

RULES

- Enumerate all the possible expressions with '(' and ')' and check the correctness. Is it a proof?
- Generate a random set arbitrary large of expressions and check. Is it a proof?

Aim of the activity :

- Describe the structure, check details, fix notations
- Explore the small cases exhaustively
- Establish algebraic structure, make links with other problems



SUBSET ENUMERATION

 $\binom{n}{k}$ is the number of ways to choose k elements among n elements



http://www-history.mcs.st-and.ac.uk/Biographies/Pascal.html

For all integers $0 \leq k \leq n$

$$\binom{n}{k} = \frac{n(n-1)\cdots(n-k+1)}{k!}$$

(1)

Prove the equality by a combinatorial argument Hint : the number of sequences of k different elements among n is $n(n-1)\cdots(n-k+1)$ and the number of orderings of a set of size k is k!.



BASIC PROPERTIES

$$\binom{n}{k} = \frac{n!}{k!(n-k)!}$$

Prove it directly from Equation 1

For all integers $0 \leq k \leq n$

 $\binom{n}{k} = \binom{n}{n-k}$

Prove it directly from 2 Prove it by a combinatorial argument Hint : bijection between the set of subsets of size k and ???.

Exercise

Give a combinatorial argument to prove that for all integers $0 \le k \le n$:

$$\binom{n}{k} = n\binom{n-1}{k-1} \tag{4}$$

(2)

(3)

PASCAL'S TRIANGLE

Recurrence Equation

The binomial coefficients satisfy

$$\binom{n}{k} = \binom{n-1}{k-1} + \binom{n-1}{k}$$

Prove it directly from Equation 1 Prove it by a combinatorial argument

Hint : partition in two parts the set of subsets of size k ; those containing a given element and those not.

(5)



Thanks to Tikz/Gaborit

SUBSETS

THE BINOMIAL THEOREM

For all integer n and a formal parameter X

$$(1 + X)^n = \sum_{k=0}^n {n \choose k} X^k$$
 (Newton 1666)

RULES

(6)

Prove it by a combinatorial argument *Hint : write* $(1 + X)^n = \underbrace{(1 + X)(1 + X) \cdots (1 + X)}_{n \text{ terms}}$ in each term choose 1 or X, what is the coefficient of X^k in the result (think "vector of n bits").

Exercises

Use a combinatorial argument to prove :

$$\sum_{k=0}^{n} \binom{n}{k} = 2^{r}$$

Use the binomial theorem to prove (give also a combinatorial argument)

$$\sum_{k=0 \text{ k odd}}^{n} \binom{n}{k} = \sum_{k=0 \text{ k even}}^{n} \binom{n}{k} = 2^{n-1}$$



RULES

SUMMATIONS AND DECOMPOSITIONS

The Vandermonde Convolution

For all integers m, n, k

SUBSETS

$$\sum_{j=0}^{k} \binom{m}{j} \binom{n}{k-j} = \binom{m+n}{k}$$

Prove it by a combinatorial argument Hint : choose k elements in two sets one of size m and the other n.

Exercise

Prove that

$$\sum_{k=0}^{n} \binom{n}{k}^2 = \binom{2n}{n}$$

Hint : Specify Equation 7



(7)



SUMMATIONS AND DECOMPOSITIONS (2)

Upper summation

SUBSETS

For all integers $p \leq n$

$$\sum_{k=p}^{n} \binom{k}{p} = \binom{n+1}{p+1}$$

(9)

Exercises

Establish the so classical result



Compute





THE MAIN RULES IN COMBINATORICS (I)

Bijection Rule

Let A and B be two finite sets if there exists a bijection between A and B then

|A|=|B|.

Summation Rule

Let A and B be two **disjoint** finite sets then

 $|A\cup B|=|A|+|B|.$

Moreover if $\{A_1, \dots, A_n\}$ is a partition of A (for all $i \neq j$, $A_i \cap A_j = \emptyset$ and $\bigcup_{i=0}^n A_i = A$)

$$|\mathbf{A}| = \sum_{i=0}^{n} |\mathbf{A}_i| \, .$$



THE MAIN RULES IN COMBINATORICS (II)

Product rule

Let A and B be two finite sets then

 $|A \times B| = |A| \cdot |B| \cdot$

Inclusion/Exclusion principle

Let $A_1, A_2, \cdots A_n$ be sets

$$|A_1 \cup \cdots \cup A_n| = \sum_{k=1}^n (-1)^k \sum_{S \subset \{1, \cdots, n\}, |S|=k} \left| \bigcap_{i \in S} A_i \right|.$$

Exercises

Illustrate these rules by the previous examples, giving the sets on which the rule apply.



THE CENTRAL ROLE OF BIJECTION

Mapping

A mapping (function) between X and Y associate to each element x of X a unique element Y

f is an injection iff

$$\forall (x_1, x_2) \in X^2 \quad f(x_1) = f(x_2) \Rightarrow x_1 = x_2$$

f is a surjection iff

 $\forall y \in Y \quad \exists x \in X \text{ such that } y = f(x)$

f is a bijection iff f is injective and surjective

 $\forall y \in Y \quad \exists ! x \in X \text{ such that } y = f(x) \text{ (}x \text{ is unique)}$



MAPPINGS AND CARDINALITIES X and Y FINITE sets

Typical mapping



no relation between |X| and |Y|

Surjective mapping



What happens when the sets are infinite?

Injective mapping



Bijective mapping





RECIPROCAL MAPPING

A typical mapping f



Inverse Image

subsets of elements of X (equivalence relation on X)

 $f^{-1}(y_1) = \emptyset$ $f^{-1}(y_2) = \{x_1, x_3\}$ $f^{-1}(y_3) = \{x_4\}$ $f^{-1}(y_4) = \{x_2, x_5\}$ $f^{-1}(y_5) = \emptyset$

$$f^{-1}(y) = \{x \in X, \text{ such that } f(x) = y\}$$

Combinatorial property :

$$\sum_{y\in Y} \left| f^{-1}(y) \right| = |X|$$

Exercise :

For all the previous combinatorial proofs construct the corresponding functions.



COUNTING FUNCTIONS (EXERCISES)

Let X and Y finite sets

- Compute the total number of such functions f
- Compute the number of *injective* functions
- Compute the number of *surjective* functions
- Compute the number of *bijective* functions

Counting relations

Let X be set, a **relation** \mathcal{R} is a part of $X \times X$. When X is finite, compute the number of relations on X that are

- reflexive (\mathcal{R} is reflexive iff $\forall x \in X$ we have $x\mathcal{R}x$)
- **symetric** (\mathcal{R} is symetric iff $\forall (x, y) \in X^2$ we have $x\mathcal{R}y \Longrightarrow y\mathcal{R}x$)
- antisymetric (\mathcal{R} is antisymetric iff $\forall (x, y) \in X^2$ we have $(x\mathcal{R}y \text{ and } y\mathcal{R}x) \Longrightarrow x = y$)

 \mathcal{R} is **transitive** iff $\forall (x, y, z) \in X^3$ we have $(x\mathcal{R}y \text{ and } y\mathcal{R}z) \Longrightarrow x\mathcal{R}z$ Try to understand why computing the number of transitive relations is hard. OEIS



RULES

DISTRIBUTION PROBLEMS

Context

Place a set of *N* objects, called *balls*, into a set of *M* containers, called *urns*. Basic situations :

- Labelled balls
- Labelled urns

More constraints :

- at least k balls per urn
- at last k balls per urn
- number of empty urns
- ► ...



RULES

Example with N = 3 and M = 2

	Labelled	urns	Unlabelled	urns
	urn 1 123	urn 2 മ		
	12	3	one urn	the other
	13	2	123	Ø
labelled balls	23	1	12	3
	1	23	13	2
	2	13	23	1
	3	12		
	Ø	123		
	urn 1	urn 2		
	***	Ø	one urn	the other
unlabelled balls	**	*	***	Ø
	*	**	**	*
	Ø	***		

Compute the number of configurations in each cell and generalize (if possible).



DERANGEMENT

Definition

A derangement of a set *S* is a bijection on *S* without fixed point. Number of derangements of *n* elements d_n (notation !*n*).

Inclusion/Exclusion principle

$$n = n! - \binom{n}{1}(n-1)! + \binom{n}{2}(n-2)! - \dots + (-1)^n \binom{n}{n}(n-n)!,$$

= $n! \sum_{i=0}^n \frac{(-1)^i}{i!} \xrightarrow{n \to \infty} n! \frac{1}{e}.$

Recurrence relation

Show by a combinatorial argument that

$$d_n = (n-1)(d_{n-1} + d_{n-2}) = nd_{n-1} + (-1)^n.$$



PROOF OF THE SECOND EQUATION

First we have the first element Thanks OEIS

n	0	1	2	3	4	5	6	7	8	9	10	
dn	1	0	1	2	9	44	265	1854	14833	133496	14684570	

Suppose that d_n satisfies the recurrence equation $d_n = (n-1)(d_{n-1} + d_{n-2})$ for $n \ge 2$ with $d_0 = 1$ and $d_1 = 0$. We will prove by recurrence that $d_n = nd_{n-1} + (-1)^n$ with $d_0 = 1$ (E).

• base case : this is true for n = 0 and n = 1

Suppose that (E) is satisfied for n - 1Then $d_{n-1} = (n-1)d_{n-2} + (-1)^{n-1}$, we deduce that $(n-1)d_{n-2} = d_{n-1} - (-1)^{n-1}$. Injecting that equality in the recurrence equation of d_n

$$d_n = (n-1)(d_{n-1} + d_{n-2})$$

= (n-1)d_{n-1} + (n-1)d_{n-2}
= (n-1)d_{n-1} + d_{n-1} - (-1)^{n-1}
= nd_{n-1} + (-1)^n

The base case and the induction is proven, so is the result



FIBONACCI NUMBERS

Recurrence Equation

$$\begin{cases} F_0 = F_1 = 1\\ F_n = F_{n-1} + F_{n-2} & \text{for all } n \ge 2 \end{cases}$$

Interpretation

What kind of situation could be represented by Fibonacci's Numbers? *Hint* : Consider words in $\{0, 1\}^n$

Use a combinatorial argument to prove

$$F_n = F_{n-2} + F_{n-3} + \cdots + F_1 + F_0$$

Hint : Consider the last "1"

Imagine other combinatorial equalities

(UNDIRECTED) TREES

A tree $\mathcal{T} = (\mathcal{X}, \mathcal{E})$ is an acyclic connected graph

• **connected** : for all $x, y \in \mathcal{X}^2$ there is a path from x to $y (x \rightsquigarrow y)$

CLASSICAL

• **acyclic** : there are no paths from x to $x \times x \not\rightarrow x$

Notations

 \mathcal{X} set of n nodes

 ${\mathcal E}$ set of edges

A **leaf** is a node with exactly one edge and an **internal node** has at least two neighbors.

Prove that the maximum number of leaves is n - 1 and the minimum 2 (for $(n \ge 3)$).

An undirected graph ${\mathcal T}$ with n nodes is a tree iff

- $\blacksquare \ \mathcal{T}$ is acyclic and connected
- 2 T is acyclic with a maximal number of edges
- ${ig 0} \ {\cal T}$ is connected with a minimal number of edges
- **4** T is connected with n-1 edges
- **(a)** T is acyclic with n 1 edges
- **(**) for all couple (x, y) of nodes there is a unique path $x \rightsquigarrow y$ joining the two nodes.

Prove the equivalences (with a minimal number of implications).



CAYLEY'S FORMULA

 \mathcal{T}_n the set of all trees with *n* nodes labelled by the first integers $\{1, 2, \dots, n\}$ T_n the number of such trees.

Phase 1 :	small n cases	Phase 2 : Intuition of the Formulae
<u></u> 1	<u>T_n</u> 1	$T_n=n^{n-2}.$
2	1	Many proofs (see "Proofs from the Book").
3	3	Approach based on an explicit bijection between the set of
4	16	trees and the a set of words.
5 	125 	Algorithmic as it associates to each tree a unique word with a coding algorithm.
		The uniqueness is obtained with a decoding algorithm (H. Prüfer in 1918).







PRÜFER'S CODING ALGORITHM

Phase 3 : double counting

Find a one to one mapping with another set which cardinality is known.

 $\mathcal{T}_n \longleftrightarrow \mathcal{W}_{n-2}$

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\mathcal{W}_{n-2} is the set of words of length n-2 over the alphabet \{1, \dots, n\}
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```
CODING (T)
   Data: A tree T with labelled nodes (all labels are comparable)
   Result: A word of n - 2 labels
   W \leftarrow \{\}
  for i = 1 to n - 2 do
      x \leftarrow \text{Select min}(T)
      // X is the leaf with the smallest label
      W \leftarrow W+Father (x)
      // Father (x) is the unique node connected to the
      leaf X
      T \leftarrow T \setminus \{x\} / / remove the leaf x from tree T
```



RULES

LABELLED TREES





RULES

PRÜFER'S DECODING ALGORITHM

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DECODING (W)
   Data: A word W = w_1 w_2 \cdots w_{n-2} of n-2 labels in \{1, \cdots, n\}
   Besult: A tree with n nodes labelled from 1 to n
  Create n nodes labelled from 1 to n and mark each node by "non
    selected"
  for i = 1 to n - 2 do
      x \leftarrow \text{Select min}(W_i)
      // X is the node with the smallest label not in
          the set W_i \cdots W_{n-2}
      Mark x by "selected"
      Link x and w<sub>i</sub>
   I ink the last two nodes marked "non selected"
  return T
```



PRÜFER'S DECODING ALGORITHM

Examples (10 letters words)

0	d	i	g	h	а	С	g	С	f	f
1	е	h	i	е	i	С	а	е	d	d
2	е	f	g	d	g	g	i	b	С	d
3	h	h	g	h	С	f	С	С	d	f
4	i	f	е	С	d	f	а	h	g	f
5	С	b	е	а	g	i	d	i	а	g
6	b	g	g	i	b	b	f	i	b	d
7	е	i	С	С	а	С	f	i	b	d
8	b	i	d	i	е	е	а	g	d	а
9	g	С	b	f	С	f	е	f	b	f
10	b	h	i	а	b	е	b	е	С	h
11	d	е	h	g	f	f	f	b	е	g
12	b	h	i	е	а	d	d	g	h	f
13	g	а	b	h	а	а	g	h	i	i
14	d	h	d	е	i	i	b	f	b	а
15	h	е	С	а	b	а	b	С	h	d
16	i	е	g	i	d	i	е	е	b	g
17	d	g	i	b	е	h	С	е	i	f
18	С	h	а	b	е	f	g	b	h	i
19	h	а	f	b	d	h	С	d	h	g

Questions

- Prove the bijection
- Compute the complexity of coding and decoding
- What kind of data structure could be useful ?
- How degrees are expressed in the coding word?

Extension : is it possible to build a tree from a list of degrees ?



JOYAL'S BIJECTION

What set of objects has cardinality n^n ? Number of mappings from \mathcal{X} on \mathcal{X} , (number of words of size *n* on an alphabet of size *n*)

A mapping f

x	0	1	2	3	4	5	6	7	8	9
f(x)	3	9	7	2	8	1	6	5	5	8

Graph associated to mapping f





JOYAL'S BIJECTION



Build the tree



- Each node has an outdegree = 1
- Decomposition in cycles and transient

- Extract the bijective part
- build a line with the ordered bijective part
- Fix the line between diamond (image of the smallest) and rectangle (image of the greatest)
- Connect the transients and remove arrows

Design the reciprocal algorithm



GENERATING FUNCTION

Newton's Binomial Theorem

$$(1+x)^n = \sum_{k=0}^n \binom{n}{k} x^k$$

One to one correspondance

$$(1+x)^n \longleftrightarrow {\binom{n}{0}}, {\binom{n}{1}}, \cdots, {\binom{n}{n}}$$

Generating Function (Power Series)

Sequence $a = \{a_0, a_1, \cdots, a_n, \cdots\}$

$$G_a(x) \stackrel{def}{=} \sum_{n=0}^{+\infty} a_n x^n$$

(formal series, it is not necessary to ensure convergence)

GENERATING FUNCTION (2)

A bijection

Derivation operator

$$G_{a}(x) = \sum_{n=0}^{+\infty} a_{n} x^{n}$$

$$G'_{a}(x) = \sum_{n=1}^{+\infty} n \cdot a_{n} x^{n-1}$$

$$G''_{a}(x) = \sum_{n=2}^{+\infty} n \cdot (n-1) a_{n} x^{n-2}$$
...
$$G_{a}^{(k)}(x) = \sum_{n=k}^{+\infty} n \cdot (n-1) \cdots (n-k+1) a_{n} x^{n-k}$$
...

$$G_a(0) = a_0, \ \frac{G'_a(0)}{1!} = a_1, \frac{G''_a(0)}{2!} = a_2, \cdots, \frac{G^{(k)}_a(0)}{k!} = a_k, \cdots$$



GENERATING FUNCTIONS)

BASIC GENERATING FUNCTIONS

Sequence	$\longleftrightarrow \ \ \text{Generating function}$
1, 1, 1, , 1,	$\frac{1}{1-x}$
$0, 1, 2, 3, \cdots, n, \cdots$	$\frac{x}{(1-x)^2}$
$0, 0, 1, 3, 6, 10, \cdots, \binom{n}{2}, \cdots$	$\frac{x^2}{(1-x)^3}$
$1, c, c^2, \cdots, c^n, \cdots$	$\frac{1}{1-cx}$
1, 0, 1, 0, · · ·	$\frac{1}{1-x^2}$
$\frac{1}{0!}, \frac{1}{1!}, \frac{1}{2!}, \frac{1}{3!}, \cdots, \frac{1}{n!}, \cdots$	e ^x
$0, \frac{1}{1}, \frac{1}{2}, \frac{1}{3}, \cdots, \frac{1}{n}, \cdots$	$\log \frac{1}{1-x}$



GENERATING FUNCTIONS

GENERATING FUNCTIONS : APPLICATIONS

Order one equation

$$a_n = 1 + na_{n-1}$$
 $n \ge 1$

$$G_a(x) - a_0 = \frac{1}{1-x} - 1 + xG'_a(x)$$

Order two equation

$$f_n = f_{n-1} + f_{n-2} \quad n \ge 2$$

Counting objects

Number of ways of choosing a dozen doughnuts when five flavors were available. {chocolate, lemon-filled, sugar, glazed, plain}

$$G(x)=\frac{1}{(1-x)^5}=\cdots$$



FIBONNACCI'S NUMBERS

Recurrence equation

 $f_n = f_{n-1} + f_{n-2}$, for $n \ge 2$, f_0 and f_1 fixed

G(x) generating function of $\{f_n\}$, $G(x) = \sum_n f_n x^n$

$$G(x) - f_0 - f_1 x = x(G(x) - f_0) + x^2 G(x)$$

Decomposition of he generating function

$$G(x) = \frac{f_0 + (f_1 - f_0)x}{1 - x - x^2} = \frac{A}{1 - \varphi x} + \frac{B}{1 - \overline{\varphi} x}$$

with $\varphi = \frac{1+\sqrt{5}}{2}$ and $\overline{\varphi} = \frac{1-\sqrt{5}}{2}$, $1 - x - x^2 = (1 - \varphi x)(1 - \overline{\varphi} x)$

- Compute A and B and deduce the power expansion of G.
- Use the power series decomposition $\frac{1}{1-cx} = \sum c^n x^n$.
- And deduce a closed formula for f_n



GENERATING FUNCTIONS : ALGEBRA

Sequence	\longleftrightarrow Generating function
$a_0, a_1, a_2, \cdots, a_n, \cdots$	$G_a(x)$
$a_0 + b_0, a_1 + b_1, a_2 + b_2, \cdots, a_n + b_n, \cdots$	$G_a(x) + G_b()x$
$0, a_0, a_1, a_2, \cdots, a_{n+1} \cdots$	$xG_a(x)$
$0.a_0, 1.a_1, 2.a_2, \cdots, na_n \cdots$	$xG'_a(x)$
$a_{0}b_{0}, a_{0}b_{1} + a_{1}b_{0}, \cdots, a_{0}b_{n} + a_{1}b_{n-1} + \dots + a_{n}b_{0} \cdots$	$G_a(x) \times G_b(x)$



PIGEONS AND HOLES

Principle

If you have more pigeons than pigeonholes Then some hole must have at least **two** pigeons

Generalization

If there are *n* pigeons and *t* holes, then there will be at least one hole with at least

 $\left\lceil \frac{n}{t} \right\rceil$ pigeons

History

Johann Peter Gustav Lejeune Dirichlet (1805-1859) Principle of socks and drawers



ttp://www-history.mcs.st-and.ac.uk/Biographies/Dirichlet.html



Some examples

On integers (from Erdös)

- Every subset A of $\{1, 2, \dots, 2n\}$ with size n + 1 contains at least 2 integers prime together
- Every subset A of {1, 2, · · · , 2n} with size n + 1 contains at least 2 integers a and b such that a divide b

On sequences

Consider a sequence of *n* integers $\{a_1, \dots, a_n\}$. There is a subsequence $\{a_k, \dots, a_l\}$ such that

n divide
$$\sum_{i=k}^{l} a_i$$



IRRATIONAL APPROXIMATION

Friends

Let α be a non-rational number and N a positive integer, then there is a rational $\frac{p}{q}$ satisfying

$$1 \leqslant q \leqslant N$$
 and $\left| \alpha - \frac{p}{q} \right| \leqslant \frac{1}{qN}$

Hint : divide [0, 1[in N intervals, and decimal part of 0, α , 2 α , \cdots , N α

Sums and others

Choose 10 numbers between 1 and 100 then there exist two disjoint subsets with the same sum.

Solution For an integer N, there is a multiple of N which is written with only figures 0 and 1

Geometry

- In a convex polyhedra there are two faces with the same number of edges
- Put 5 points inside a equilateral triangle with sides 1. At least two of them are at a distance less than 1
- For 5 point chosen on a square lattice, there are two point such that the middle is also on the lattice



GRAPHS

Friends

Six people Every two are either friends or strangers Then there must be a set of 3 mutual friends or 3 mutual strangers

Guess the number

Player 1 : pick a number 1 to 1 Million Player 2 Can ask Yes/No questions How many questions do I need to be guaranteed to correctly identify the number?

Sorting



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