# Invariant Galton-Watson measures

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collaboration with

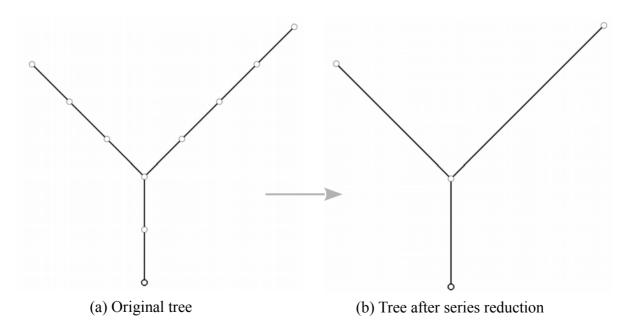
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#### Combinatorial trees.

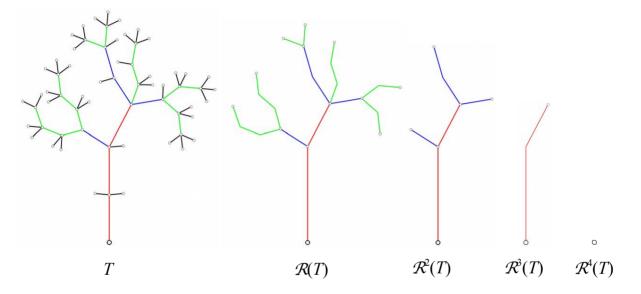
 ${\mathcal T}$  - space of finite unlabeled rooted reduced trees.

Empty tree  $\phi = \{\rho\}$  comprised of a root vertex  $\rho$  and no edges.

 $\mathcal{T}^{|}$  - subspace of  $\mathcal{T}$  containing  $\phi$  and all the trees in  $\mathcal{T}$  with a stem ( $\rho$  has exactly one offspring).



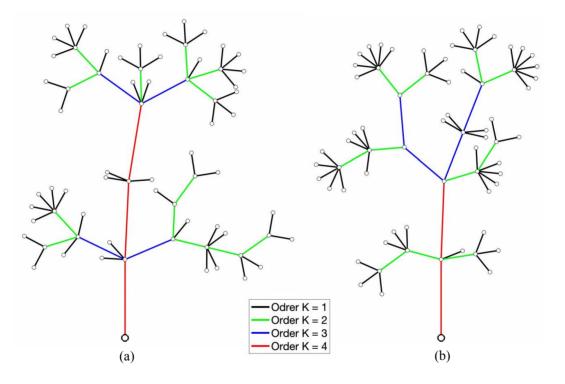
#### Horton pruning and Horton-Strahler order



Horton pruning  $\mathcal{R} : \mathcal{T}^{|} \to \mathcal{T}^{|}$  is an onto function whose value  $\mathcal{R}(T)$  for a tree  $T \neq \phi$  is obtained by removing the leaves and their parental edges from T, followed by series reduction. We also set  $\mathcal{R}(\phi) = \phi$ .

Horton-Strahler order:  $\operatorname{ord}(T) = \min \{k \ge 0 : \mathcal{R}^k(T) = \phi\}.$ 

#### Horton-Strahler order



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#### Horton prune-invariance

Consider a measure  $\mu$  on  $\mathcal{T}$  (or  $\mathcal{T}^{|}$ ) such that  $\mu(\phi) = 0$ . Let  $\nu$  be the pushforward measure,  $\nu = \mathcal{R}_*(\mu)$ , i.e.,

$$\nu(T) = \mu \circ \mathcal{R}^{-1}(T) = \mu \left( \mathcal{R}^{-1}(T) \right).$$

Measure  $\mu$  is said to be Horton prune-invariant if for any tree  $T \in \mathcal{T}$  (or  $\mathcal{T}^{|}$ ) we have

$$\nu(T | T \neq \phi) = \mu(T).$$

**Objective:** finding and classifying Horton prune-invariant tree measures.

#### **Attractors**

For a tree measure  $\rho_0$  let  $\nu_k = \mathcal{R}^k_*(\rho_0)$  denote the pushforward probability measure induced by operator  $\mathcal{R}^k$ , i.e.,

 $\nu_k(T) = \rho_0 \circ \mathcal{R}^{-k}(T) = \rho_0 \left( \mathcal{R}^{-k}(T) \right), \text{ and set } \rho_k(T) = \nu_k \left( T \mid T \neq \phi \right).$ If  $\lim_{k \to \infty} \rho_k(T) = \rho^*(T) \quad \forall T \in \mathcal{T}$ , then measure  $\rho^*$  is an attractor.

Objective: finding and classifying attractors.

#### **Pruning Galton-Watson trees**

Consider a Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ . Assume criticality or subcriticality, i.e.,  $\sum_{k=0}^{\infty} kq_k \leq 1$ .

Theorem. [G. A. Burd, E. C. Waymire, R. D. Winn, Bernoulli (2000)]

• Assume finite second moment, i.e.,  $\sum_{k=0}^{\infty} k^2 q_k < \infty$ .

Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  is Horton prune-invariant if and only if it is critical binary Galton-Watson  $\mathcal{GW}(q_0 = q_2 = 1/2)$ .

• Assume criticality and finite branching, i.e.,  $|\{k : q_k > 0\}| < \infty$ . Let  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$ ,  $\nu_k = \mathcal{R}^k_*(\rho_0)$ , and set  $\rho_k(T) = \nu_k(T | T \neq \phi)$ . Then,

$$\lim_{k \to \infty} \rho_k(T) = \rho^*(T) \qquad \forall T \in \mathcal{T},$$

where  $\rho^* = \mathcal{GW}(q_0 = q_2 = 1/2)$  is critical binary Galton-Watson measure.

• If  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$  is subcritical, then  $\rho_k(T)$  converges to a point mass measure,  $\rho^* = \mathcal{GW}(q_0=1)$ .

#### **Pruning Galton-Watson trees**

Consider a Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ . Assume criticality or subcriticality, i.e.,  $\sum_{k=0}^{\infty} kq_k \leq 1$ .

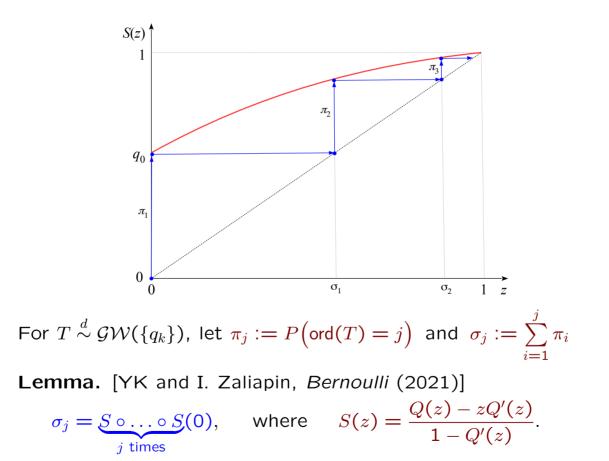
Let  $Q(z) = \sum_{m=0}^{\infty} z^m q_m$  denote the generating function.

For  $T \stackrel{d}{\sim} \mathcal{GW}(\{q_k\})$  let  $\pi_j := P(\operatorname{ord}(T) = j)$ ,  $\sigma_0 = 0 \text{ and } \sigma_j := \sum_{i=1}^j \pi_i \quad \forall j \ge 1$ 

Lemma. [YK and I. Zaliapin, Bernoulli (2021)]

$$\sigma_j = \underbrace{S \circ \ldots \circ S}_{j \text{ times}}(0), \quad \text{where} \quad S(z) = \frac{Q(z) - zQ'(z)}{1 - Q'(z)}.$$

#### **Pruning Galton-Watson trees**



#### **Regularity condition**

Many of the results are proven under the following assumption.

**Assumption 1.** The following limit exists:

$$S'(1) = \lim_{x \to 1^{-}} \frac{1 - S(x)}{1 - x} \quad \Leftrightarrow \quad \lim_{x \to 1^{-}} \frac{Q(x) - x}{(1 - x)(1 - Q'(x))} = 1 - S'(1)$$

**Proposition.** [YK and I. Zaliapin, *Bernoulli* (2021)] If  $\mathcal{GW}(\{q_k\})$  is a subcritical Galton-Watson measure with  $q_1 = 0$ , then Assumption 1 holds with S'(1) = 0.

**Lemma.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ . If

 $\mathsf{E}[X^2] = \sum_{k=0}^{\infty} k^2 q_k < \infty \qquad \text{where} \quad X \stackrel{d}{\sim} \{q_k\},$ 

then Assumption 1 holds with  $S'(1) = \frac{1}{2}$ .

#### **Regularity condition**

**Lemma.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ and infinite second moment, i.e.,  $\sum_{k=0}^{\infty} k^2 q_k = \infty$ . Let  $X \stackrel{d}{\sim} \{q_k\}$ . If the limit

$$\Lambda = \lim_{k \to \infty} \frac{k}{E[X \mid X \ge k]} = \lim_{k \to \infty} \frac{k \sum_{m=k}^{\infty} q_m}{\sum_{m=k}^{\infty} m q_m}$$

exists, then Assumption 1 holds with  $S'(1) = \Lambda$ .

**Corollary.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson process  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ and offspring distribution  $\{q_k\}$  of Zipf type:

 $q_k \sim Ck^{-(\alpha+1)}$  with  $\alpha \in (1,2]$  and C > 0.

Then Assumption 1 holds with  $S'(1) = \Lambda = \frac{\alpha - 1}{\alpha}$ .

#### **Invariant Galton-Watson measures**

For a given  $q \in [1/2, 1)$ , a critical Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  is said to be the invariant Galton-Watson (IGW) measure with parameter q and denoted by  $\mathcal{IGW}(q)$  if its generating function is given by

$$Q(z) = z + q(1-z)^{1/q}.$$

Branching probabilities:  $q_0 = q$ ,  $q_1 = 0$ ,  $q_2 = (1 - q)/2q$ , and

$$q_k = rac{1-q}{k! \, q} \prod_{i=2}^{k-1} (i-1/q) \quad (k \geq 3).$$

Here, if q = 1/2, then the distribution is critical binary, i.e.,  $\mathcal{GW}(q_0 = q_2 = 1/2)$ .

If  $q \in (1/2, 1)$ , the distribution is of Zipf type with

$$q_k = \frac{(1-q)\Gamma(k-1/q)}{q\Gamma(2-1/q)\,k!} \sim Ck^{-(1+q)/q}, \text{ where } C = \frac{1-q}{q\,\Gamma(2-1/q)}.$$

#### **Invariant Galton-Watson measures**

Recall

$$S(z) = \frac{Q(z) - zQ'(z)}{1 - Q'(z)}.$$

**Assumption 1.** The following limit exists:

$$S'(1) = \lim_{x \to 1^{-}} \frac{1 - S(x)}{1 - x} \quad \Leftrightarrow \quad \lim_{x \to 1^{-}} \frac{Q(x) - x}{(1 - x)(1 - Q'(x))} = 1 - S'(1)$$

Horton prune-invariance: for  $\nu(T) = \mu(\mathcal{R}^{-1}(T))$ ,

 $\nu(T | T \neq \phi) = \mu(T).$ 

**Theorem.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical or subcritical Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  with  $q_1 = 0$  that satisfies Assumption 1. Then, measure  $\mathcal{GW}(\{q_k\})$  is Horton prune-invariant if and only if it is  $\mathcal{IGW}(q_0)$ .

#### Attraction property of critical Galton-Watson trees

**Theorem.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson measure  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ . Let  $\nu_k = \mathcal{R}^k_*(\rho_0)$  denote the pushforward probability measure induced by operator  $\mathcal{R}^k$ , i.e.,

 $\nu_k(T) = \rho_0 \circ \mathcal{R}^{-k}(T) = \rho_0 \left( \mathcal{R}^{-k}(T) \right), \text{ and set } \rho_k(T) = \nu_k \left( T \mid T \neq \phi \right).$ 

Suppose Assumption 1 is satisfied. Then,

 $\lim_{k\to\infty}\rho_k(T)=\rho^*(T),$ 

where  $\rho^*$  denotes  $\mathcal{IGW}(q)$  with q = 1 - S'(1).

Finally, if  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$  is subcritical, then  $\rho_k(T)$  converges to a point mass measure,  $\mathcal{GW}(q_0=1)$ .

#### Attraction property of critical Galton-Watson trees

**Corollary.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson measure  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$  with  $q_1 = 0$ , with offspring distribution  $q_k$  of Zipf type:

 $q_k \sim Ck^{-(\alpha+1)}$  with  $\alpha \in (1,2]$  and C > 0.

Let  $\nu_k = \mathcal{R}^k_*(\rho_0)$  and  $\rho_k(T) = \nu_k(T \mid T \neq \phi)$ .

Then,  $\lim_{k\to\infty} \rho_k(T) = \rho^*(T)$ , where  $\rho^*$  is  $\mathcal{IGW}(q)$  with  $q = \frac{1}{\alpha}$ .

**Corollary.** [YK and I. Zaliapin, *Bernoulli* (2021)] Consider a critical Galton-Watson measure  $\rho_0 \equiv \mathcal{GW}(\{q_k\})$  with  $q_1 = 0$  such that  $\sum_{k=2}^{\infty} k^2 q_k < \infty$ .

Let  $\nu_k = \mathcal{R}^k_*(\rho_0)$  and  $\rho_k(T) = \nu_k(T \mid T \neq \phi)$ .

Then,  $\lim_{k\to\infty} \rho_k(T) = \rho^*(T)$ , where  $\rho^*$  is  $\mathcal{IGW}(1/2)$  (critical binary).

### A gift from anonymous referee

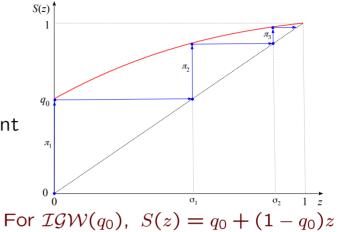
This is an example of Horton prune-invariant critical Galton-Watson measure  $\mathcal{GW}(\{q_k\})$  for which Assumption 1 does not hold.

Let 
$$q_0 \in (1/2, 1)$$
,  $q_1 = 0$ , and

$$q_m = \frac{1}{m!A} \sum_{n \in \mathbb{Z}} B^n \rho^{nm} e^{-\rho^n} \qquad m = 2, 3, \dots,$$

where  $\rho = 1 - q_0$ , parameter  $B \in ((1 - q_0)^{-1}, (1 - q_0)^{-2})$  is found by solving

$$\sum_{n \in \mathbb{Z}} B^n \left( 1 - \rho^{n+1} - (1 + \rho^n - \rho^{n+1}) e^{-\rho^n} \right) = 0, \quad \text{and} \quad A = \sum_{n \in \mathbb{Z}} B^n \rho^n \left( 1 - e^{-\rho^n} \right).$$



#### Metric trees.

 $\ensuremath{\mathcal{L}}$  - space of finite unlabeled rooted reduced trees with edge lengths.

Empty tree  $\phi = \{\rho\}$  comprised of a root vertex  $\rho$  and no edges.

d(x, y): the length of the minimal path within T between x and y.

The length of a tree T is the sum of the lengths of its edges:

$$\operatorname{length}(T) = \sum_{i=1}^{\#T} l_i.$$

The height of a tree T is the maximal distance between the root and a vertex:

height(T) = 
$$\max_{1 \le i \le \#T} d(v_i, \rho)$$
.

#### Metric invariant Galton-Watson measures

Denote

shape(T) = combinatorial shape of T.

Continuous Galton-Watson measure: for a given p.m.f.  $\{q_k\}$  and a parameter  $\lambda > 0$ , a metric T is distributed as

 $T \stackrel{d}{=} \mathcal{GW}(\{q_k\}, \lambda)$  if shape $(T) \stackrel{d}{=} \mathcal{GW}(\{q_k\})$ 

and, conditioned on shape(T), the edges of T are i.i.d. exponentially distributed with parameter  $\lambda$ .

Exponential critical binary Galton-Watson tree measure:

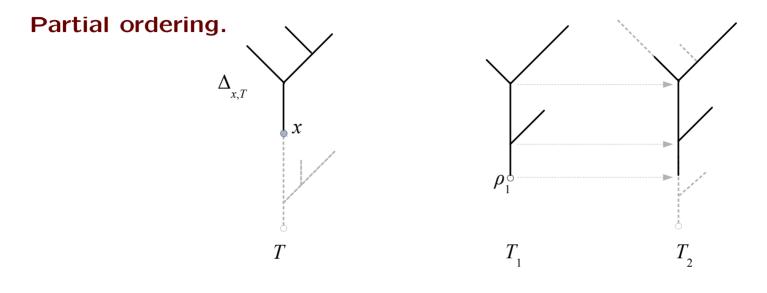
$$\mathsf{GW}(\lambda) = \mathcal{GW}(q_0 = q_2 = 1/2, \lambda)$$

Exponential invariant Galton-Watson (IGW) tree measure: for a given  $q \in [1/2, 1)$  and  $\lambda > 0$ , let p.m.f.  $\{q_k\}$  be such that  $\mathcal{GW}(\{q_k\}) = \mathcal{IGW}(q)$ , then,

$$\mathcal{IGW}(q,\lambda) = \mathcal{GW}(\{q_k\},\lambda)$$

is the IGW measure with parameters q and  $\lambda$ .

Notice that  $\mathcal{IGW}(1/2,\lambda) = GW(\lambda)$ .



(a) Descendant tree

(b) Isometry

Consider  $T \in \mathcal{L}$  and a point  $x \in T$ . Let  $\Delta_{x,T}$  denote all points of T descendant to x, including x. Then  $\Delta_{x,T}$  is itself a tree in  $\mathcal{L}$  with root at x.

Let  $(T_1, d)$  and  $(T_2, d)$  be two metric rooted trees, and let  $\rho_1$  denote the root of  $T_1$ .  $f : (T_1, d) \to (T_2, d)$  is an isometry if  $\operatorname{Image}[f] \subseteq \Delta_{f(\rho_1), T_2}$  and  $\forall x, y \in T_1$ , d(f(x), f(y)) = d(x, y).

#### Generalized dynamical pruning.

Partial order:  $T_1 \leq T_2$  if and only if  $\exists$  an isometry  $f : (T_1, d) \rightarrow (T_2, d)$ .

Consider a monotone non-decreasing

 $\varphi: \mathcal{L} \to \mathbb{R}^+,$ 

i.e.,  $\varphi(T_1) \leq \varphi(T_2)$  whenever  $T_1 \leq T_2$ .

Generalized dynamical pruning: for any  $t \ge 0$ , let

$$\mathcal{S}_t(arphi,T) = 
ho \cup \left\{ x \in T \setminus 
ho \; : \; arphi \left( \Delta_{x,T} 
ight) \geq t 
ight\}$$

Note that  $\mathcal{S}_t(\varphi, T) : \mathcal{L} \to \mathcal{L}$  is an operator induced by  $\varphi$ .

It cuts all subtrees  $\Delta_{x,T}$  for which the value of  $\varphi$  is below threshold t. Here,

 $S_s(T) \preceq S_t(T)$  whenever  $s \ge t$ .

#### Prune-invariance.

$$\mathcal{S}_t(\varphi,T) = 
ho \cup \left\{ x \in T \setminus 
ho \ : \ \varphi\left(\Delta_{x,T}\right) \ge t 
ight\}$$

**Definition.** Consider a probability measure  $\mu$  on  $\mathcal{L}$  such that  $\mu(\phi) = 0$ . Let  $\nu$  be the pushforward measure induced by operator  $S_t$ , i.e.,

$$\nu(T) = \mu \circ \mathcal{S}_t^{-1}(T) = \mu \left( \mathcal{S}_t^{-1}(T) \right).$$

A tree measure  $\mu$  is called prune-invariant with respect to  $S_t$  if for any tree  $T \in \mathcal{L}$  there  $\exists \gamma_t > 0$  such that

$$\mu\left(\operatorname{shape}(T)\in A, \ \vec{\ell}(T)\in B\right) = \nu\left(\operatorname{shape}(T)\in A, \ \gamma_t\vec{\ell}(T)\in B \ \middle| \ T\neq \phi\right),$$

where

$$\vec{\ell}(T) =$$
 vector of edge-lengths.

Objective: find and classify prune-invariant measures on  $\mathcal{L}$ .

See [YK and I. Zaliapin, *Probability Surveys* (2020)] for more on the topic.

#### Generalized dynamical pruning.

**Example** (Tree height). Let  $\varphi(T) = \text{height}(T)$ .

Continuous semigroup property:  $S_t \circ S_s = S_{t+s}$  for any  $t, s \ge 0$ .

It coincides with tree erasure in [J. Neveu, Adv. Appl. Prob. (1986)].

[J. Neveu, Adv. Appl. Prob. (1986)]:  $GW(\lambda)$  is prune-invariant with respect to  $\varphi(T) = height(T)$ .

**Example** (Tree length). Let  $\varphi(T) = \text{length}(T)$ . No semigroup property.

It coincides with potential dynamics of 1D ballistic annihilation in [YK and I. Zaliapin, *JSP* (2020)].

**Example** (Horton pruning). Let  $\varphi(T) = \operatorname{ord}(T) - 1$ , where  $\operatorname{ord}(T)$  denotes the Horton-Strahler order of T. Here,  $S_t = \mathcal{R}^{\lfloor t \rfloor}$ .

Discrete semigroup property:  $S_t \circ S_s = S_{t+s}$  for any  $t, s \in \mathbb{N}$ .

[G. A. Burd, E. C. Waymire, and R. D. Winn, *Bernoulli* (2000)]: GW( $\lambda$ ) is prune-invariant with respect to  $\varphi(T) = \operatorname{ord}(T) - 1$ .

#### Prune-invariance.

**Theorem.** [YK and I. Zaliapin, *JSP* (2020)] Let  $T \stackrel{d}{=} GW(\lambda)$ . Then, for any monotone non-decreasing function  $\varphi : \mathcal{L} \to \mathbb{R}^+$ ,

$$T^{t} := \left\{ \mathcal{S}_{t}(\varphi, T) | \mathcal{S}_{t}(\varphi, T) \neq \phi \right\} \stackrel{d}{=} \mathsf{GW}(\lambda p_{t}),$$

where  $p_t = \mathsf{P}(\mathcal{S}_t(\varphi, T) \neq \phi)$ .

That is, if  $\mu \equiv GW(\lambda)$ , then, the pushforward measure  $\nu$  induced by operator  $S_t$  satisfies

$$\nu(\cdot \mid \neq \phi) \equiv \mathsf{GW}(\mathcal{E}_t(\lambda, \varphi)) \quad \text{with} \quad \mathcal{E}_t(\lambda, \varphi) = \lambda p_t.$$

Theorem. [YK and I. Zaliapin, JSP (2020)]

(a) If 
$$\varphi(T) = \text{length}(T)$$
, then  $\mathcal{E}_t(\lambda, \varphi) = \lambda e^{-\lambda t} \Big[ I_0(\lambda t) + I_1(\lambda t) \Big]$ .

**(b)** If  $\varphi(T) = \text{height}(T)$ , then  $\mathcal{E}_t(\lambda, \varphi) = \frac{2\lambda}{\lambda t+2}$ .

(c) If  $\varphi(T) = \operatorname{ord}(T) - 1$ , then  $\mathcal{E}_t(\lambda, \varphi) = \lambda 2^{-\lfloor t \rfloor}$ .

**Prune-invariance.** Recall that  $\mathcal{IGW}(1/2, \lambda) = GW(\lambda)$ .

Theorem. [YK, G. Xu, I. Zaliapin, preprint (2021)]

Let  $T \stackrel{d}{=} \mathcal{IGW}(q, \lambda)$ . Then, for any monotone non-decreasing function  $\varphi : \mathcal{L} \to \mathbb{R}^+$ ,

$$T^{t} := \left\{ \mathcal{S}_{t}(\varphi, T) | \mathcal{S}_{t}(\varphi, T) \neq \phi \right\} \stackrel{d}{=} \mathcal{I}\mathcal{G}\mathcal{W}\left(q, \lambda p_{t}^{(1-q)/q}\right),$$

where  $p_t = \mathsf{P}(\mathcal{S}_t(\varphi, T) \neq \phi)$ .

That is, if  $\mu \equiv IGW(q, \lambda)$ , then, the pushforward measure  $\nu$  induced by operator  $S_t$  satisfies

$$\nu(\cdot \mid \neq \phi) \equiv \mathcal{IGW}(q, \mathcal{E}_t(\lambda, \varphi)) \quad \text{with} \quad \mathcal{E}_t(\lambda, \varphi) = \lambda p_t^{(1-q)/q}$$

Theorem. [YK, G. Xu, I. Zaliapin, preprint (2021)]

(a) If  $\varphi(T) = \text{length}(T)$ , then

$$p_t = 1 - \sum_{n=1}^{\infty} \frac{(-1)^{n-1} \Gamma(n/q+1)}{n! n! \Gamma(n/q-n+2)} (\lambda q)^n t^n.$$

(b) If  $\varphi(T) = \text{height}(T)$ , then

$$p_t = \left(\lambda(1-q)t+1
ight)^{-q/(1-q)}$$
 and  $\mathcal{E}_t(\lambda,\varphi) = \lambda p_t^{(1-q)/q} = \frac{\lambda}{\lambda(1-q)t+1}$ 

#### A related concept.

[T. Duquesne and M. Winkel, *SPA* (2019)] introduced concept of hereditary reduction.

The notion of hereditary reduction is a generalization of tree erasure in [J. Neveu, *Adv. Appl. Prob.* (1986)], similar to generalized dynamical pruning.

[T. Duquesne and M. Winkel, *SPA* (2019)]:  $GW(\lambda)$  is invariant with respect to hereditary reduction.

[YK, G. Xu, I. Zaliapin, preprint (2021)]:  $\mathcal{IGW}(q,\lambda)$  is invariant with respect to hereditary reduction.

#### Tokunaga coefficients and Horton law.

**Lemma.** [YK and I. Zaliapin, *Bernoulli* (2021)] For a given  $q \in [1/2, 1)$ , consider an invariant Galton-Watson measure  $\mathcal{IGW}(q)$ . Then, its Tokunaga coefficients are

 $T_{i,j}^{o} = rac{\mathcal{N}_{i,j}^{o}[K]}{\mathcal{N}_{j}[K]} = T_{j-i}^{o}, \quad ext{ where } T_{k}^{o} = c^{k-1} \ (k \ge 1) \quad ext{ with } c = rac{1}{1-q}.$ 

Additionally,  $\pi_i = P(\operatorname{ord}(T) = j) = q c^{1-i}$ , and the strong Horton law  $\lim_{K \to \infty} \frac{\mathcal{N}_k[K]}{\mathcal{N}_1[K]} = R^{1-k}$  holds with Horton exponent

$$R = c^{c/(c-1)} = (1-q)^{-1/q}.$$

Critical binary: since  $\mathcal{IGW}(1/2) = \mathcal{GW}(q_0 = q_2 = 1/2)$ , for q = 1/2, we have

$$c = 2, \quad \pi_i = 2^{-i}, \quad T_k = 2^{k-1}, \quad \text{and} \quad R = 4.$$