

# Overpartitions and Kaur, Rana, and Eyyunni's Mex Sequences

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- ▶ Hopkins, B. and Sellers, J. A., Overpartitions and Kaur, Rana, and Eyyunni's Mex Sequences, to appear in *Annals of Combinatorics*

# Goals For This Talk

For my talk today, I will share ...

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- ▶ Several comments related to the work of Kaur, Rana, and Eyyunni
- ▶ Our combinatorial proofs of the K-R-E results (which satisfy a request of K, R, and E)

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For example,

$$P(4) = \{(4), (3, 1), (2, 2), (2, 1, 1), (1, 1, 1, 1)\}$$

and  $p(4) = 5$ .

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However, the concept was considered earlier by Grabner and Knopfmacher in a 2006 *Ramanujan Journal* paper.

Several authors have studied the mex statistic from a wide variety of perspectives, including Hopkins and Sellers (in 2020 and 2024), Hopkins-Sellers-Stanton, Hopkins-Sellers-Yee, Konan, and Yao.

# Introduction

Among the many generalizations of  $\text{mex}(\lambda)$  that have been considered, our focus in this project was on the *mex sequence* of a partition defined by Kaur, Rana, and Eyyunni (*Rocky Mountain Journal of Mathematics*, 2024).

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We note in passing that the above is a different set-valued generalization of the mex than those considered by Knopfmacher and Warlimont (*Util. Math.*, 2006) and Bhorla, Eyyunni, and Li (*Discrete Math.*, 2024).

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Let's look at several examples of mex and mex sequences.

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Example:

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- (c) The partition  $(4, 3, 3, 3, 2, 1, 1)$  has mex 5 and mex sequence  $(5, 6, 7, \dots)$ .

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- (c) The partition  $(4, 3, 3, 3, 2, 1, 1)$  has mex 5 and mex sequence  $(5, 6, 7, \dots)$ .

With the above definition of mex sequence in mind, Kaur, Rana, and Eyyunni defined the following family of partitions.

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For any integer  $r \geq 1$ , let  $P_r^{\text{mex}}(n)$  be the set of partitions of  $n$  whose mex sequences have length **at least**  $r$  with  $p_r^{\text{mex}}(n) := |P_r^{\text{mex}}(n)|$ .

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For all  $r \geq 1$  and any  $n \geq 0$ , it is clear that  $P_{r+1}^{\text{mex}}(n) \subseteq P_r^{\text{mex}}(n)$ .

Moreover,  $P_1^{\text{mex}}(n) = P(n)$  for all  $n$  since the mex sequence of any partition of  $n$  has length at least 1 (the mex itself).

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# The Work of Kaur, Rana, and Eyyunni

In their *Rocky Mountain J. Math.* paper, Kaur, Rana, and Eyyunni use elementary generating function manipulations, as well as a version of Heine's transformation of a  ${}_2\phi_1$  summation formula, to obtain a generating function identity for  $p_r^{\text{mex}}(n)$ .

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It incorporates the standard Pochhammer notation: Assuming  $|q| < 1$ ,

$$(a; q)_0 := 1,$$

$$(a; q)_n := (1 - a)(1 - aq) \cdots (1 - aq^{n-1}),$$

$$(a; q)_\infty = \lim_{n \rightarrow \infty} (a; q)_n.$$

# The Work of Kaur, Rana, and Eyyunni

Theorem: (K-R-E, Theorem 10) For  $r$  a positive integer,

$$\sum_{n \geq 0} p_r^{\text{mex}}(n) q^n = \frac{1}{(q; q^2)_\infty (q^{r+1}; q^2)_\infty}.$$

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Let  $P_{o,2}^{>r}(n)$  be the set of partitions of  $n$  into odd parts where parts greater than  $r$  come in two colors with  $p_{o,2}^{>r}(n) := |P_{o,2}^{>r}(n)|$ .

# The Work of Kaur, Rana, and Eyyunni

For example, using subscripts for colors,  $p_{o,2}^{>2}(6) = 8$  from

$\{(5_1, 1), (5_2, 1), (3_1, 3_1), (3_1, 3_2), (3_2, 3_2), (3_1, 1, 1, 1), (3_2, 1, 1, 1), (1, 1, 1, 1, 1, 1)\}$ .

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The following result then follows from elementary interpretations of the generating function identity in the above theorem.

# The Work of Kaur, Rana, and Eyyunni

Corollary: (K-R-E, Corollary 11) For each integer  $r \geq 1$ ,

$$p_r^{\text{mex}}(n) = \begin{cases} p_e^{>r}(n) & \text{if } r \text{ is odd,} \\ p_{o,2}^{>r}(n) & \text{if } r \text{ is even.} \end{cases}$$

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In their concluding remarks, K-R-E write, “It would be highly desirable to get a bijective proof of the identities for  $p_r^{\text{mex}}(n)$  in Corollary 11.”

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In their concluding remarks, K-R-E write, “It would be highly desirable to get a bijective proof of the identities for  $p_r^{\text{mex}}(n)$  in Corollary 11.”

The goal of the rest of this talk is to provide such proofs after establishing a connection between the mex sequence and overpartitions.

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We write  $\overline{P}(n)$  for the set of overpartitions of  $n$  and  $\overline{p}(n) := |\overline{P}(n)|$  with the convention that  $\overline{p}(0) := 1$ .

# Our Fulfillment of the K-R-E Request

For example,

$$\bar{P}(4) = \{(4), (\bar{4}), (3, 1), (3, \bar{1}), (\bar{3}, 1), (\bar{3}, \bar{1}), (2, 2), (\bar{2}, 2), \\ (2, 1, 1), (2, \bar{1}, 1), (\bar{2}, 1, 1), (\bar{2}, \bar{1}, 1), (1, 1, 1, 1), (\bar{1}, 1, 1, 1)\}$$

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We will sometimes write an overpartition as  $(\lambda, \mu)$  where  $\lambda$  is a partition with distinct parts (corresponding to the overlined parts) and  $|\lambda| + |\mu| = n$  so that, for example,  $(\overline{2}, \overline{1}, 1)$  corresponds to  $((2, 1), (1))$ .

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Overpartitions were named by Corteel and Lovejoy (*Trans. Amer. Math. Soc.*, 2004) although, as they discuss, equivalent sets of partitions had previously been considered in various contexts.

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Reminder – the generating functions for the number of partitions and overpartitions of  $n$  are the following:

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$$\sum_{n \geq 0} p(n)q^n = \frac{1}{(q; q)_{\infty}}, \quad \sum_{n \geq 0} \bar{p}(n)q^n = \frac{(-q; q)_{\infty}}{(q; q)_{\infty}}.$$

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In order to complete our combinatorial proof of the K-R-E result, we will rely on two classical bijective maps which I will describe here for completeness' sake.

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Both of these are discussed in the book of Andrews and Eriksson entitled *Integer Partitions*.

# Our Fulfillment of the K-R-E Request

Using the Ferrers graph of a partition, where each part corresponds to a row of dots, an obvious operation is conjugation which swaps rows and columns.

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One consequence is the equal count of two types of restricted partitions.

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One consequence is the equal count of two types of restricted partitions.

Proposition: The number of partitions of  $n$  into distinct parts equals the number of partitions of  $n$  where each part size from 1 to  $\lambda_1$  appears at least once.

# Our Fulfillment of the K-R-E Request

Although not stated directly, this follows from a discussion in Sylvester and Franklin's major work (*Amer. J. Math.*, 1882).

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$P(6)$ distinct parts	6	51	42	321
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Note that partitions where each part size from 1 to  $\lambda_1$  appears at least once, also called partitions with no gaps, have mex  $\lambda_1 + 1$  and an infinite mex sequence.

# Our Fulfillment of the K-R-E Request

In one of the first published results on partitions, Euler used generating functions to show that the number of partitions of  $n$  into distinct parts equals the number of partitions of  $n$  into parts all odd.

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Using Pochhammer notation, this is simply encoded by the generating function identity

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It is easily described as follows:

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In a partition which contains distinct parts, the even parts are split into halves until all parts in the newly-obtained partition are odd.

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$P(6)$ odd parts	33	51	$1^6$	$31^3$

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Here's a quick reminder of that result.

Corollary: (K-R-E, Corollary 11) For each integer  $r \geq 1$ ,

$$p_r^{\text{mex}}(n) = \begin{cases} p_e^{>r}(n) & \text{if } r \text{ is odd,} \\ p_{o,2}^{>r}(n) & \text{if } r \text{ is even.} \end{cases}$$

# Our Fulfillment of the K-R-E Request

We begin with an unexpected connection between certain restricted overpartitions and ordinary partitions.

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Proposition: There are  $p(n)$  overpartitions of  $n$  where every non-overlined part is even, i.e., overpartitions  $(\lambda, \mu)$  where  $\mu$  consists of only even parts.

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Proposition: There are  $p(n)$  overpartitions of  $n$  where every non-overlined part is even, i.e., overpartitions  $(\lambda, \mu)$  where  $\mu$  consists of only even parts.

To prove this proposition, we establish a bijection between  $P(n)$  and the described subset of  $\overline{P}(n)$ .

# Our Fulfillment of the K-R-E Request

Proof:

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Because Glaisher's map establishes a bijection, the maps described here are inverses. □

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Here's an example (for  $n = 6$ ) of the maps in the proof of the above proposition.

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$P(6)$	6	51	42	411	33	321	$31^3$	$2^3$	2211	$21^4$	$1^6$
overpartitions	6	$\overline{51}$	42	$\overline{42}$	$\overline{6}$	$\overline{321}$	$\overline{321}$	$2^3$	$\overline{222}$	$\overline{42}$	$\overline{42}$

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Recall the observation that  $P_1^{\text{mex}}(n) = P(n)$ .

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Recall the observation that  $P_1^{\text{mex}}(n) = P(n)$ .

The proposition above then suggests a connection between partitions with longer mex sequences and more restricted overpartitions.

# Our Fulfillment of the K-R-E Request

Definition: For any integer  $r \geq 1$ , let  $\overline{P}_r(n)$  be the set of overpartitions of  $n$  where non-overlined parts must be greater than  $r$  and have the same parity as  $r + 1$ , and let  $\overline{p}_r(n) := |\overline{P}_r(n)|$ .

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With this notation, the above proposition establishes the fact that  $\overline{p}_1(n) = p_1^{\text{mex}}(n)$  for all  $n$ .

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With this notation, the above proposition establishes the fact that  $\overline{p}_1(n) = p_1^{\text{mex}}(n)$  for all  $n$ .

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Theorem: For any integer  $r \geq 1$ ,  $\overline{p}_r(n) = p_r^{\text{mex}}(n)$  for all  $n$ .

# Our Fulfillment of the K-R-E Request

We provide both a generating function proof and, in the spirit of the remaining results, a combinatorial proof of this connection.

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The latter will use a part-wise combination of partitions explained by the example  $(4, 2) \oplus (5, 1, 1) = (9, 3, 1)$ .

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Let's look first at our generating function proof (which is rather brief).

# Our Fulfillment of the K-R-E Request

Proof: (via generating functions) Combining the K-R-E Theorem from above with Euler's identity gives

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Proof: (via generating functions) Combining the K-R-E Theorem from above with Euler's identity gives

$$\sum_{n \geq 0} p_r^{\text{mex}}(n) q^n = \frac{1}{(q; q^2)_\infty (q^{r+1}; q^2)_\infty} = \frac{(-q; q)_\infty}{(q^{r+1}; q^2)_\infty}.$$

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This is the generating function for the overpartitions  $\overline{P}_r(n)$  (with the restriction on non-overlined parts apparent in the denominator). □

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Now let's turn to our combinatorial proof of this result (where we establish a bijection between  $\overline{P}_r(n)$  and  $P_r^{\text{mex}}(n)$ ).

# Our Fulfillment of the K-R-E Request

Proof: (via combinatorial techniques)

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Proof: (via combinatorial techniques)

(a) Given  $\kappa \in P_r^{\text{mex}}(n)$ , if the mex sequence is infinite, then  $\kappa$  has no gaps and  $\kappa'$  (the conjugate of  $\kappa$ ) is a distinct part partition by the proposition mentioned above.

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In this case, send  $\kappa$  to the overpartition  $(\kappa', \emptyset)$  which, with only overlined parts, is trivially in  $\overline{P}_r(n)$ .

# Our Fulfillment of the K-R-E Request

If the mex sequence of  $\kappa$  is finite, write

$$\kappa = (\kappa_1, \dots, \kappa_i, \sigma_{i+1}, \dots, \sigma_j)$$

where  $\kappa_i > \text{mex}(\kappa)$  and  $\sigma_{i+1} = \text{mex}(\kappa) - 1$  (possibly 0).

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where  $\kappa_i > \text{mex}(\kappa)$  and  $\sigma_{i+1} = \text{mex}(\kappa) - 1$  (possibly 0).

We describe how to write  $\kappa$  as

$$\kappa = (\kappa_1 - \sigma_1, \dots, \kappa_i - \sigma_i) \oplus (\sigma_1, \dots, \sigma_j)$$

where  $(\kappa_1 - \sigma_1, \dots, \kappa_i - \sigma_i)$  is a partition with each part at least  $r$  and the same parity as  $r + 1$ , and  $(\sigma_1, \dots, \sigma_j)$  is a partition with no gaps.

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Since  $\kappa \in P_r^{\text{mex}}(n)$ , in fact  $\kappa_i \geq \sigma_{i+1} + r + 1$ .

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Exactly one of the two possibilities for  $\sigma_i$  will make  $\kappa_i - \sigma_i$  have the same parity as  $r + 1$ .

With  $\sigma_i$  set, we proceed to  $\sigma_{i-1}$ , etc.

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More precisely, working from  $\ell = i$  down to  $\ell = 1$ , let

$$\begin{aligned}\sigma_\ell &= \begin{cases} \sigma_{\ell+1} & \text{if } \kappa_\ell - \sigma_{\ell+1} \equiv r + 1 \pmod{2}, \\ \sigma_{\ell+1} + 1 & \text{if } \kappa_\ell - (\sigma_{\ell+1} + 1) \equiv r + 1 \pmod{2}; \end{cases} \\ &= \begin{cases} \sigma_{\ell+1} & \text{if } \kappa_\ell - \sigma_{\ell+1} \not\equiv r \pmod{2}, \\ \sigma_{\ell+1} + 1 & \text{if } \kappa_\ell - \sigma_{\ell+1} \equiv r \pmod{2}. \end{cases}\end{aligned}$$

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Clearly the resulting  $(\sigma_1, \dots, \sigma_j)$  is a partition with no gaps and each  $\kappa_\ell - \sigma_\ell \equiv r + 1 \pmod{2}$ .

It remains to show that each  $\kappa_\ell - \sigma_\ell \geq r$ .

# Our Fulfillment of the K-R-E Request

Note that  $\kappa_i - \sigma_i \geq \sigma_{i+1} + r + 1 - (\sigma_{i+1} + 1) = r$ , as desired.

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Next, if  $\kappa_{i-1} = \kappa_i$ , then  $\sigma_{i-1} = \sigma_i$  and  $\kappa_{i-1} - \sigma_{i-1} = \kappa_i - \sigma_i \geq r$ .

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Continuing in this way, we see that each  $\kappa_\ell - \sigma_\ell$  is at least  $r$ .

# Our Fulfillment of the K-R-E Request

With the above in hand, assign  $\kappa$  to the overpartition

$$((\sigma_1, \dots, \sigma_j)', (\kappa_1 - \sigma_1, \dots, \kappa_i - \sigma_i)).$$

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Since  $(\sigma_1, \dots, \sigma_j)$  is a partition with no gaps, by the “no gaps” proposition above, its conjugate has distinct parts.

# Our Fulfillment of the K-R-E Request

With the above in hand, assign  $\kappa$  to the overpartition

$$((\sigma_1, \dots, \sigma_j)', (\kappa_1 - \sigma_1, \dots, \kappa_i - \sigma_i)).$$

Since  $(\sigma_1, \dots, \sigma_j)$  is a partition with no gaps, by the “no gaps” proposition above, its conjugate has distinct parts.

With  $(\kappa_1 - \sigma_1, \dots, \kappa_i - \sigma_i)$  established as a partition with each part at least  $r$  and congruent to  $r + 1$  modulo 2, the overpartition image of  $\kappa$  is in  $\overline{P}_r(n)$ .

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(b) Given  $(\lambda, \mu) \in \overline{P}_r(n)$ , send the overpartition to  $\kappa = \lambda' \oplus \mu \in P(n)$ .

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If  $1 \leq m < \lambda_1$ , then  $\kappa_m > \lambda'_m + r$  and  $\kappa_{m+1} = \lambda'_{m+1}$  which is either  $\lambda'_m$  or  $\lambda'_m - 1$  and every smaller part size appears at least once since  $\lambda'$  has no gaps.

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Finally, if  $m \geq \lambda_1$ , then  $\kappa = \lambda' \oplus \mu$  has each part greater than  $r$  and finite mex sequence of length at least  $r$  (with  $\text{mex}(\kappa) = 1$ ).

# Our Fulfillment of the K-R-E Request

In each case,  $\kappa \in P_r^{\text{mex}}(n)$ .

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Let's look at a few examples of the maps in the combinatorial proof above.

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- ▶ Therefore the corresponding overpartition in  $\overline{P}_3(21)$  is

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## Our Fulfillment of the K-R-E Request

(d) For  $r = 2$ , the overpartition  $(\bar{5}, 5, \bar{3}, 3, 3, \bar{2}) \in \overline{P}_3(21)$  has  $\lambda = (5, 3, 2)$  with conjugate  $\lambda' = (3, 3, 2, 1, 1)$  and  $\mu = (5, 3, 3)$ .

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Along with Example (a) above, this is an example of the maps being inverses.

# Our Fulfillment of the K-R-E Request

One additional remark is in order.

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For example,  $(\bar{5}, 4, \bar{3}, 3, 3, \bar{2}, \bar{1})$ , which is not in  $\bar{P}_2(21)$  since  $4 \not\equiv 3 \pmod{2}$ , would be associated with

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the same image in  $P_2^{\text{mex}}(21)$  associated with  $(\bar{5}, 5, \bar{3}, 3, 3, \bar{2})$  in example (d) above.

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However, we know from example (a) that  $(8, 6, 5, 1, 1)$  is uniquely associated with  $(\bar{5}, 5, \bar{3}, 3, 3, \bar{2}) \in \bar{P}_2(21)$ .

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$\bar{P}_2(7)$	7	$5\bar{2}$	$\bar{3}\bar{3}\bar{1}$	$3\bar{3}\bar{1}$	$\bar{4}\bar{3}$	$\bar{4}\bar{2}\bar{1}$	$\bar{4}\bar{3}$	$\bar{5}\bar{2}$	$\bar{6}\bar{1}$	$\bar{7}$
$\bar{P}_3(7)$	$\bar{7}$	$6\bar{1}$	$\bar{6}\bar{1}$	$\bar{5}\bar{2}$	$\bar{4}\bar{3}$	$\bar{4}\bar{3}$	$\bar{4}\bar{2}\bar{1}$	$\bar{4}\bar{2}\bar{1}$		
$P_3^{\text{mex}}(7)$	$1^7$	7	$21^5$	$221^3$	511	$2^31$	61	3211		

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With this unified interpretation of  $p_r^{\text{mex}}(n)$  in terms of overpartitions, we can provide combinatorial proofs of our corollary requested by Kaur, Rana, and Eyyunni.

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In fact, as detailed next, the result for any odd  $r$  follows from the same map applied to the appropriate subsets.

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This produces an overpartition of  $n$  where any non-overlined parts are even and greater than  $r$ , i.e., an element of  $\overline{P}_r(n)$ .

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Given an overpartition  $(\lambda, \mu) \in \overline{P}_r(n)$ , note that  $\mu$  consists entirely of even parts greater than  $r$ .

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As explained above, these maps are inverses. □

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$P_e^{>3}(8)$	8	71	611	53	$51^3$	44	431	$41^4$	3311	$31^5$	$1^8$
$\overline{P}_3(8)$	8	$\overline{71}$	$\overline{62}$	$\overline{53}$	$\overline{521}$	44	$\overline{431}$	$\overline{44}$	$\overline{62}$	$\overline{431}$	$\overline{8}$

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Combined with our theorem above, this proposition gives a combinatorial proof of the K-R-E corollary for the odd  $r$  case, as desired.

# Our Fulfillment of the K-R-E Request

Next, we proceed to providing a bijection for the even  $r$  case.

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Next, we proceed to providing a bijection for the even  $r$  case.

Proposition: For each even  $r \geq 2$ ,  $\bar{p}_r(n) = p_{o,2}^{>r}(n)$  for all  $n$ .

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Proof: Given  $r \geq 2$  even, we establish a bijection between  $P_{o,2}^{>r}(n)$  and  $\bar{P}_r(n)$ .

We begin by finding a map from  $P_{o,2}^{>r}(n)$  to  $\bar{P}_r(n)$ .

## Our Fulfillment of the K-R-E Request

Given  $\nu \in P_{o,2}^{>r}(n)$ , write  $\nu = (\pi, \rho)$  where  $\pi$  consists of any odd parts of the first color (including any odd parts less than  $r$ ) and  $\rho$  consists of any odd parts of the second color (each at least  $r$ ).

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Apply Glaisher's map to  $\pi$ , overline the resulting distinct parts, and leave any parts of  $\rho$  non-overlined.

This produces an overpartition of  $n$  where any non-overlined parts are odd and greater than  $r$ , i.e., an element of  $\overline{P}_r(n)$ .

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The union of these colored odd parts is an element of  $P_{o,2}^{>r}(n)$ .

Since Glaisher's map is a bijection, it is clear that these maps are inverses. □

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$P_{o,2}^{>2}(6)$	$5_1 1_1$	$5_2 1_1$	$3_1 3_1$	$3_1 3_2$	$3_2 3_2$	$3_1 (1_1)^3$	$3_2 (1_1)^3$	$(1_1)^6$
$\overline{P}_2(6)$	$\overline{51}$	$\overline{51}$	$\overline{6}$	$\overline{33}$	$\overline{33}$	$\overline{321}$	$\overline{321}$	$\overline{42}$

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$\overline{P}_2(6)$	$\overline{51}$	$\overline{51}$	$\overline{6}$	$\overline{33}$	$\overline{33}$	$\overline{321}$	$\overline{321}$	$\overline{42}$

Combined with our theorem above, this proposition gives a combinatorial proof of the K-R-E corollary for the even  $r$  case, as desired.

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$\overline{P}_2(6)$	$\overline{51}$	$5\overline{1}$	$\overline{6}$	$\overline{33}$	$3\overline{3}$	$\overline{321}$	$3\overline{21}$	$\overline{42}$

Combined with our theorem above, this proposition gives a combinatorial proof of the K-R-E corollary for the even  $r$  case, as desired.

That means we have completely fulfilled the request of K-R-E.

# Our Fulfillment of the K-R-E Request

Please allow me to share some closing thoughts.

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Please allow me to share some closing thoughts.

Given the very different nature of  $P_e^{>r}(n)$ , a subset of ordinary partitions, and  $P_{o,2}^{>r}(n)$ , a restricted partition with parts of two colors, it is pleasantly surprising that a single type of overpartition allows bijections to both sets, enabling us to satisfy the request of Kaur, Rana, and Eyyunni for combinatorial proofs of their corollary in a fairly unified way.

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This suggests that the overpartitions  $\overline{P}_r(n)$  provide a more natural combinatorial interpretation of  $P_r^{\text{mex}}(n)$ , the partitions with mex sequence of length at least  $r$ .

## Our Fulfillment of the K-R-E Request

And with that I will close.

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And with that I will close.

Thanks very much for your attention!

# Overpartitions and Kaur, Rana, and Eyyunni's Mex Sequences

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