

New Entropy Measures for Tries with Applications to the XBWT

11th Workshop on Data Structures in Bioinformatics

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What's the Worst-Case Entropy?

Definition: Worst-Case Entropy

Let \mathcal{U} be a set, the **worst-case entropy** $\mathcal{H}^{\text{wc}}(\mathcal{U})$ of \mathcal{U} is defined as

$$\mathcal{H}^{\text{wc}}(\mathcal{U}) = \log_2 |\mathcal{U}|$$

Example, if $\mathcal{U} = \{\text{dog, cat, bird, mouse}\}$, then $\mathcal{H}^{\text{wc}}(\mathcal{U}) = \log_2 |\mathcal{U}| = \log_2 4 = 2$.

What's the Worst-Case Entropy?

If **we assign a unique codeword to every element** of \mathcal{U} , then there exists an element of \mathcal{U} having **codeword length** at least $\mathcal{H}^{wc}(\mathcal{U})$.

- dog \rightarrow 0
- cat \rightarrow 1
- bird \rightarrow 01
- mouse \rightarrow 11

*Both 'bird' and
'mouse' have a
codeword of length
 $2 = \mathcal{H}^{wc}(\mathcal{U})$*

Let us see how this applies to the case of strings!

What's the Worst-Case Entropy?

Consider the string **S** = **aaaaabaaaaaaaaabaaa**.

- If \mathcal{U} is **the set of strings** of **length** $n = 20$ and **alphabet** $\sigma = 2$:

$$\mathcal{H}^{wc}(\mathcal{U}) = n \log \sigma = 20 \text{ bits}$$

- If \mathcal{U} is the set of strings where **a** and **b** appear **18** and **2** times:

$$\mathcal{H}^{wc}(\mathcal{U}) = \log \binom{20}{2} \approx 7.57 \text{ bits}$$

Worst-case entropy with fixed frequencies can be much smaller!

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Worst-Case Entropy vs Empirical Entropy

For a string S :

- $n_w = \#$ of characters having context $w \in \Sigma^*$.
- $n_c = \#$ of characters equal to $c \in \Sigma$.

$$(k\text{-th}) \text{ Empirical entropy: } \mathcal{H}_k(S) = \sum_{w \in \Sigma^k} \sum_{c \in \Sigma} n_{w,c} \log \frac{n_w}{n_{w,c}}$$

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Our contributions

① Extend \mathcal{H}_k and \mathcal{H}^{wc} **from strings to tries!**

Well-known **worst-case trie entropy** $\log \frac{1}{n} \binom{n\sigma}{n-1}$ [1] without fixed frequencies.

② Reachability of our empirical entropy with **arithmetic coding**.

③ Comparison between these entropies and other trie measures.

④ BWT of a trie can be **compressed** and **indexed** in $\mathcal{H}_k(\mathcal{T}) + o(n)$.

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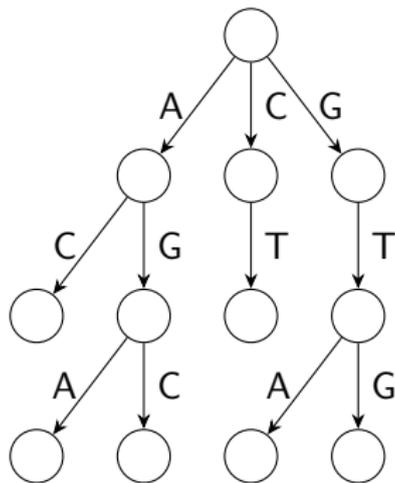
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Applications

Tries are used in many applications, including: **databases**, **search engines**, **semantic web**, and **NLP**.

In **bioinformatics** they can be used to represent/index genomes or k -mers [2,3].

Compression achieved only if they share long prefixes.



$$D = \{AC, AGA, AGC, CT, GTA, GTC\}$$

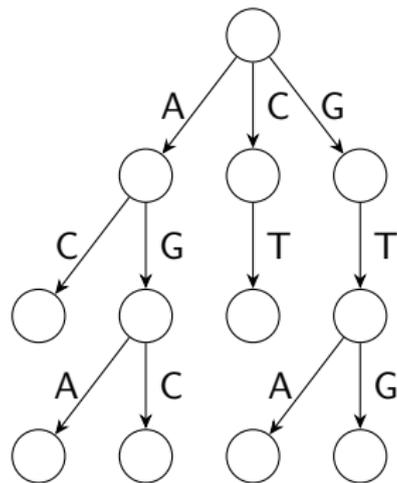
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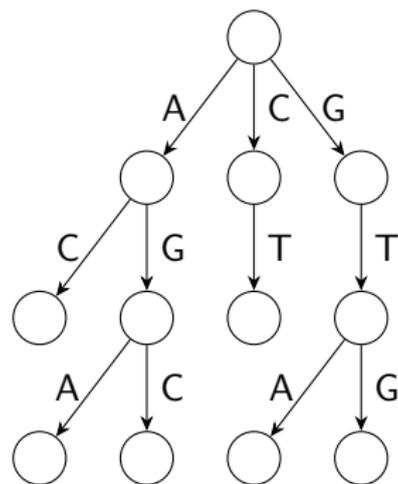
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BWT-based indexes found many applications in bioinformatics. Ex. are the **FM-index** [4] and the **r-index** [5].

Our index is a **generalisation of the FM-index to tries**, since it compresses to the empirical entropy.



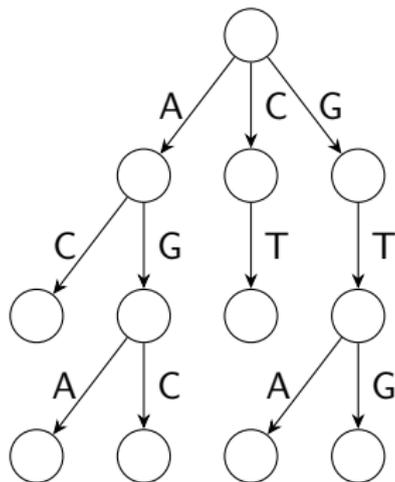
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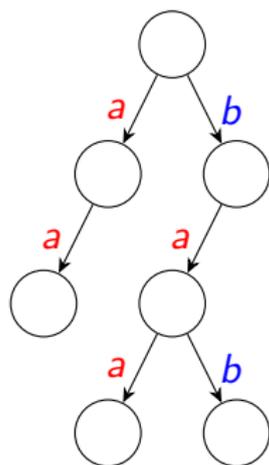
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Worst-Case Entropy with Fixed Frequencies

We consider a **fixed distribution of edge-labels**.

Example: trie has 4 edges labeled by *a* and 2 edges labeled by *b*



Number of tries $|\mathcal{U}|$ with a given symbol distribution is:

$$|\mathcal{U}| = \frac{1}{n} \prod_{c \in \Sigma} \binom{n}{n_c}$$

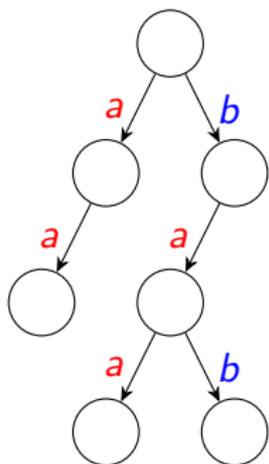
$n \leftarrow \#$ of nodes, $n_c \leftarrow \#$ of edges labeled by c

Example: the tries with 7 nodes, 4 edges labeled by *a* and 2 edges labeled by *b* are $\frac{1}{7} \binom{7}{4} \binom{7}{2} = 105$.

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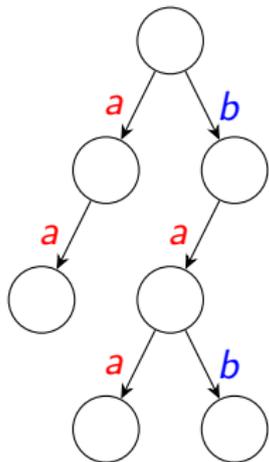
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Worst-Case Entropy with Fixed Frequencies



Therefore, the **worst-case number of bits** to encode a trie with a fixed symbol distribution is:

$$\mathcal{H}^{wc}(\mathcal{U}) = \log|\mathcal{U}| = \sum_{c \in \Sigma} \log \binom{n}{n_c} - \log n$$

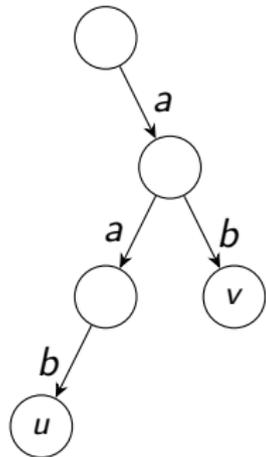
Example: To encode a tries with 7 nodes, 4 edges labeled by a and 2 edges labeled by b we need $\log \binom{7}{4} + \log \binom{7}{2} - \log 7 \approx 7$ bits in the worst-case!

Empirical Entropy for Tries

We also extended the **empirical entropy to tries**, our measure:

- 1 Encodes the **labels and the topology simultaneously**.
- 2 Use information on the **edge-labels distribution**.
- 3 Exploits the **k-length context** of the nodes to achieve compression.

Example: In figure, **nodes u** and **v** have **2-length context** equal to **ab**.

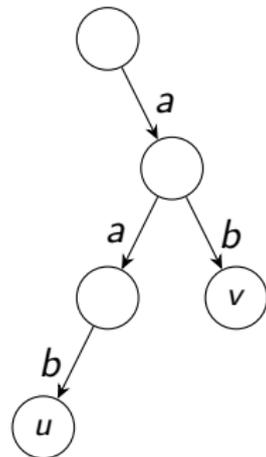


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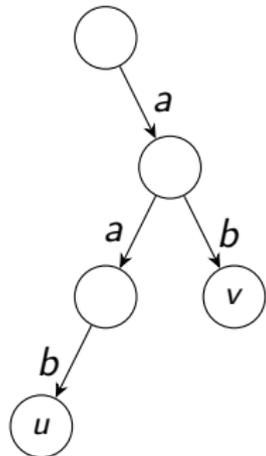


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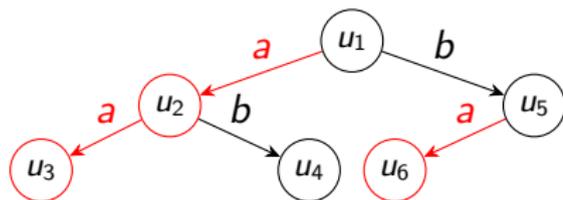
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Formula Empirical Entropy for Tries

For $w \in \Sigma^k$ and $c \in \Sigma$, consider the integers n_w and $n_{w,c}$:

- $n_w = |\{u \in V \mid u \text{ has context } w\}|$
- $n_{w,c} = |\{u \in V \mid u \text{ has context } w \text{ and there exists } u \xrightarrow{c} v\}|$



Example: In figure, $n_a = 3$.

Indeed, u_2 , u_3 , and u_6 are reached by the **string a**.

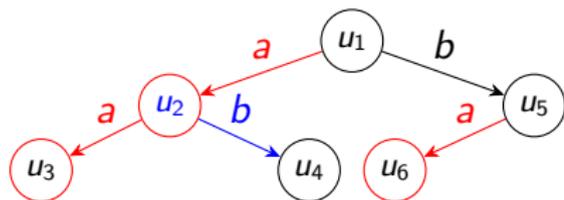
Definition: k -th order empirical entropy $\mathcal{H}_k(\mathcal{T})$

$$\mathcal{H}_k(\mathcal{T}) = \sum_{c \in \Sigma} \sum_{w \in \Sigma^k} n_{w,c} \log \left(\frac{n_w}{n_{w,c}} \right) + (n_w - n_{w,c}) \log \left(\frac{n_w}{n_w - n_{w,c}} \right)$$

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Example: In figure, $n_{a,b} = 1$.

Among the nodes reached by a , only u_2 has an outgoing edge labeled by b .

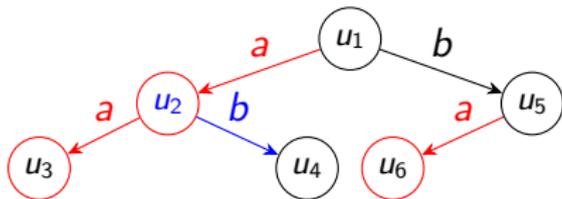
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Properties and Reachability

Properties analogous to the string entropies:

- ① $\mathcal{H}_0(\mathcal{T}) = \mathcal{H}^{wc}(\mathcal{T}) + O(\sigma \log n)$
- ② $\mathcal{H}_{k+1}(\mathcal{T}) \leq \mathcal{H}_k(\mathcal{T})$, for every $k \geq 0$

Theorem

Every trie \mathcal{T} can be stored in $\mathcal{H}_k(\mathcal{T}) + (\sigma + 1)\sigma^k \log n$ bits

Idea: extend **arithmetic coding** to tries! Let's see an example.

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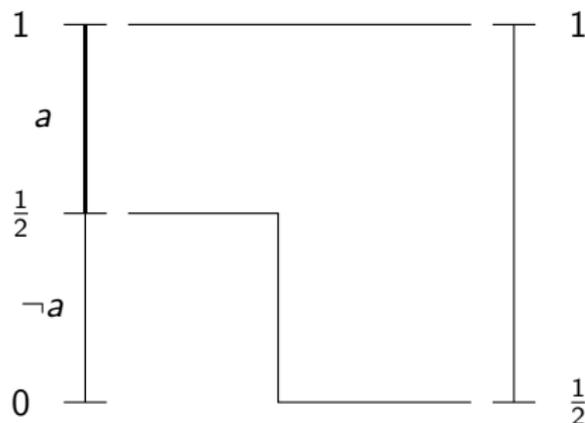
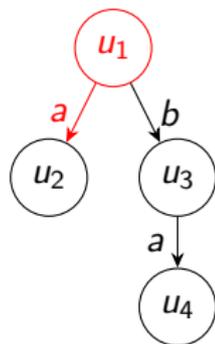
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Reachability

We iterate over the nodes based on a **preorder visit**: u_1, u_2, u_3, u_4

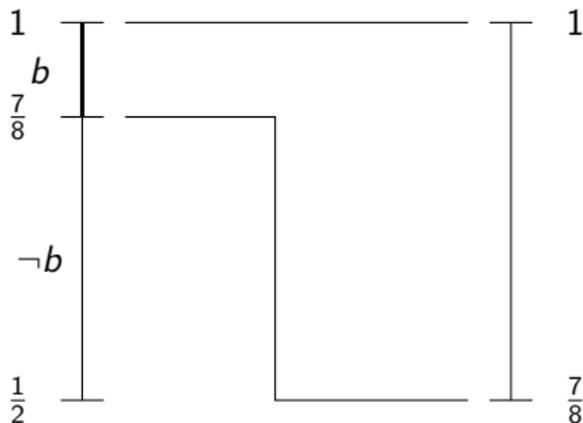
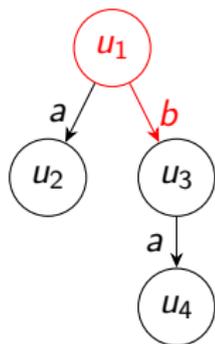


Initial interval $[0, 1)$, **probability of outgoing edge labeled by a**: $\frac{n_a}{n} = \frac{1}{2}$.

the new interval becomes $[\frac{1}{2}, 1)$.

Reachability

Before moving to u_2 , we redo this operation for the **character b**

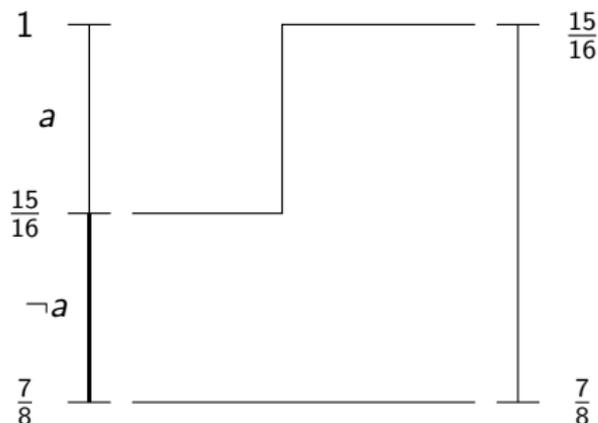
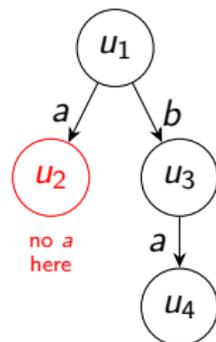


Probability of outgoing edge labeled by b: $\frac{n_b}{n} = \frac{1}{4}$.

Size of the interval shrinks to $\frac{1}{4}$, the new interval becomes $[\frac{7}{8}, 1)$.

Reachability

We move to the **next node in preorder**, i.e., u_2

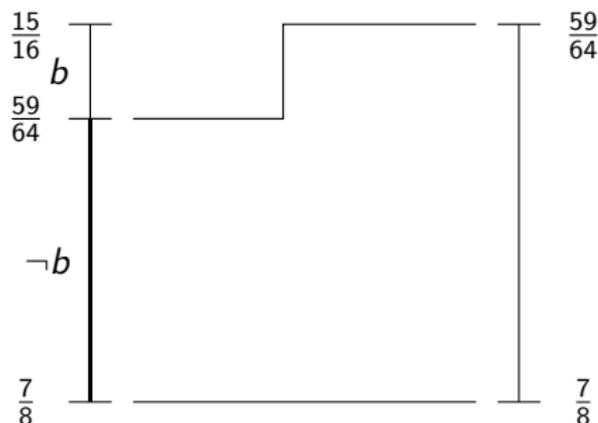
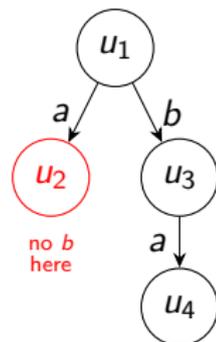


Probability of NO outgoing edge labeled by a: $1 - \frac{n_a}{n} = \frac{1}{2}$.

Halve the interval size, the new interval becomes $[\frac{7}{8}, \frac{15}{16})$.

Reachability

And again we redo the same operation for the **character b**

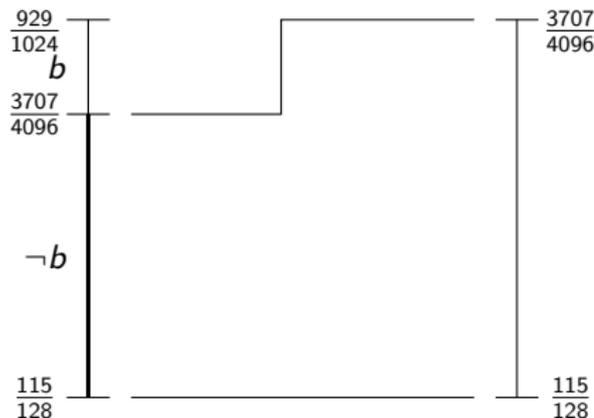
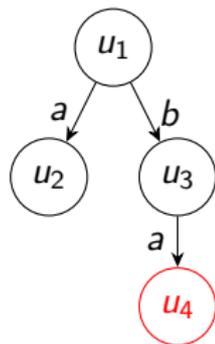


Probability of NO outgoing edge labeled by b: $1 - \frac{n_b}{n} = \frac{3}{4}$.

The interval size decreases by $\frac{3}{4}$, so it becomes $[\frac{7}{8}, \frac{15}{16})$.

Reachability

We continue in this way **until the last node**



The final interval is $[\frac{115}{2^7}, \frac{3707}{2^{12}})$

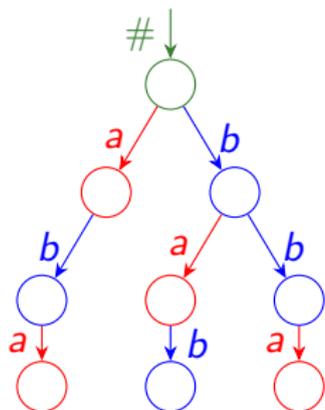
We can **store a point in this interval** in at most $\mathcal{H}_0(\mathcal{T}) + 2$ bits.

Comparison with the label entropy

Definition: Label entropy \mathcal{H}_k^{label} [6]

$cover(w) =$ labels outgoing from nodes having context w

$$\mathcal{H}_k^{label}(\mathcal{T}) = \sum_{w \in \Sigma^k} |cover(w)| \mathcal{H}_0(cover(w))$$



Example:

$$cover(\#) \leftarrow ab \quad \mathcal{H}_0(ab) = 1$$

$$cover(a) \leftarrow bb \quad \mathcal{H}_0(bb) = 0$$

$$cover(b) \leftarrow abaa \quad \mathcal{H}_0(abaa) \approx 0.811$$

$$\mathcal{H}_1^{label}(\mathcal{T}) = 1 * 2 + 0 * 2 + 4 * 0.811 \approx 5.245$$

Comparison with the label entropy

Theorem

For every $k \geq 0$ and trie \mathcal{T} :

$$\mathcal{H}_k(\mathcal{T}) \leq \mathcal{H}_k^{\text{label}}(\mathcal{T}) + 1.443n$$

- $\mathcal{H}_k^{\text{label}}(\mathcal{T})$ accounts only for the labels, **not the tree topology!**
- To encode the tree topology we need **$2n - \Theta(\log n)$ bits** [7]

$\mathcal{H}_k(\mathcal{T})$ **always smaller** than $\mathcal{H}_k^{\text{label}}(\mathcal{T}) + 2n - \Theta(\log n)$

For some family of tries $\mathcal{H}_k(\mathcal{T}) = 0$ and $\mathcal{H}_k^{\text{label}}(\mathcal{T}) = \Omega(n)$!

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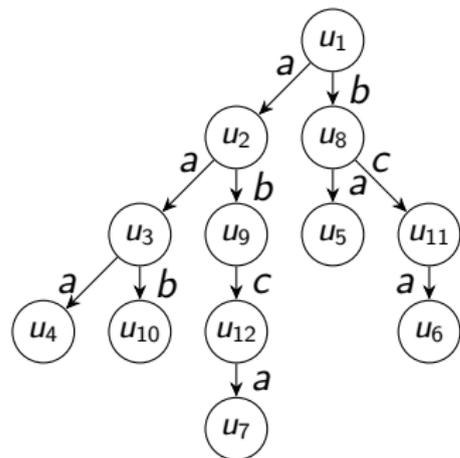
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XBWT of a trie



$out(u) \leftarrow$ set of outgoing labels of u

$u_1, u_2, \dots, u_n \leftarrow$ nodes sorted **co-lexicographically**

Definition: XBWT [4]

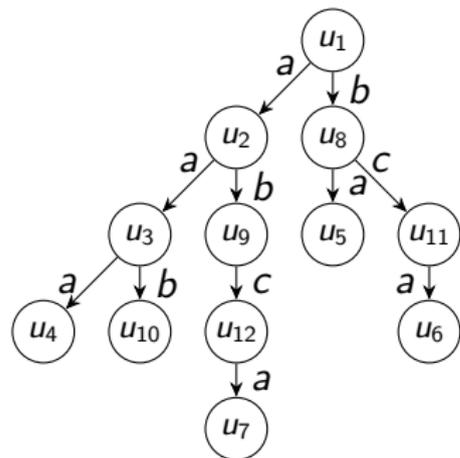
$$XBWT(\mathcal{T}) = out(u_1), out(u_2), \dots, out(u_n)$$

We can **compress** and **index** a trie in:

$$\mathcal{H}_k(\mathcal{T}) + o(n), \forall k = \max\{0, \alpha \log_{\sigma} n - 2\} \text{ s.t. } \alpha < 1$$

co-lex	u_1	u_2	u_3	u_4	u_5	u_6	u_7	u_8	u_9	u_{10}	u_{11}	u_{12}
XBWT	a b	a b	a b					a c	 c		a	a

XBWT of a trie



$out(u) \leftarrow$ set of outgoing labels of u

$u_1, u_2, \dots, u_n \leftarrow$ nodes sorted **co-lexicographically**

Definition: XBWT [4]

$$XBWT(\mathcal{T}) = out(u_1), out(u_2), \dots, out(u_n)$$

We can **compress** and **index** a trie in:

$$\mathcal{H}_k(\mathcal{T}) + o(n), \forall k = \max\{0, \alpha \log_{\sigma} n - 2\} \text{ s.t. } \alpha < 1$$

co-lex	u_1	u_2	u_3	u_4	u_5	u_6	u_7	u_8	u_9	u_{10}	u_{11}	u_{12}
XBWT	a b	a b	a b					a c	 c		a	a

Space usage

Original article about the XBWT $\rightarrow \mathcal{H}_k^{label}(\mathcal{T}) + 2n + o(n)$ [8] bits,
 $\mathcal{H}_k(\mathcal{T}) + o(n)$ always smaller!

Theorem Succinctness

If no character appears in more than $n/2$ edges, then this index is **succinct**, i.e, its space usage is at most:

$$\mathcal{H}^{wc}(\mathcal{T}) + o(\mathcal{H}^{wc}(\mathcal{T}))$$

$\mathcal{H}^{wc}(\mathcal{T})$ is our new worst-case entropy.

8. P. Ferragina et al. Compressing and Indexing Labeled Trees, with Applications. J. ACM (2009)

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Supported operations

These operations are supported **directly on the compressed format**.

	polylog alphabets	arbitrary alphabets
<code>subpath_query(p)</code> nodes reached by string p	$O(p)$	$O(p (\log \sigma + \log \log n))$
<code>parent(u)</code> parent node of u	$O(1)$	$O(1)$
<code>c-child(u, c)</code> child of u labeled by c	$O(1)$	$O(1)$
<code>j-child(u, j)</code> j -th child of u	$O(\sigma)$	$O(\sigma)$

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<code>j-child(u, j)</code> j -th child of u	$O(\sigma) !!!$	$O(\sigma) !!!$

This operation is still slow, must be sped up!!!

Thank you for your attention 😊

- 1 Extend \mathcal{H}_k and \mathcal{H}^{wc} **from strings to tries!**
- 2 Reachability of our empirical entropy with **arithmetic coding**.
- 3 Comparison between these entropies and other trie measures.
- 4 BWT of a trie can be **compressed** and **indexed** in $\mathcal{H}_k(\mathcal{T}) + o(n)$.

Preprint at: <https://arxiv.org/abs/2512.11618>