

MERGE SORT, Divide & Conquer, dealing with recurrence relations

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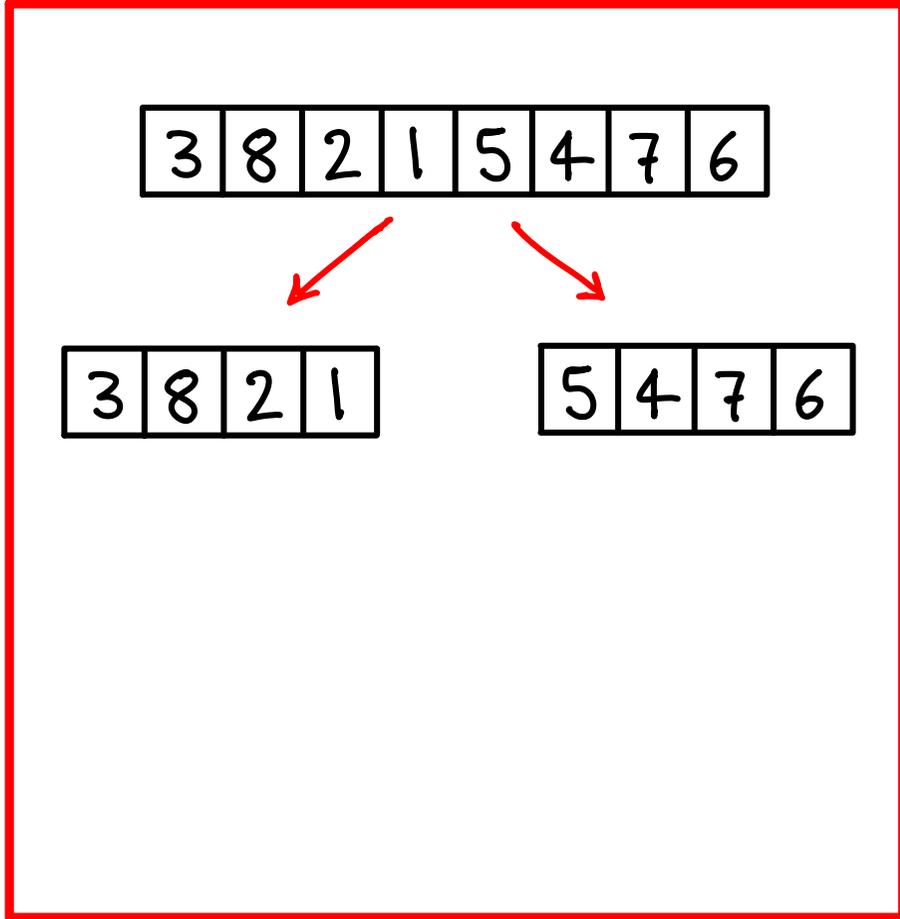
3	8	2	1	5	4	7	6
---	---	---	---	---	---	---	---



1	2	3	4	5	6	7	8
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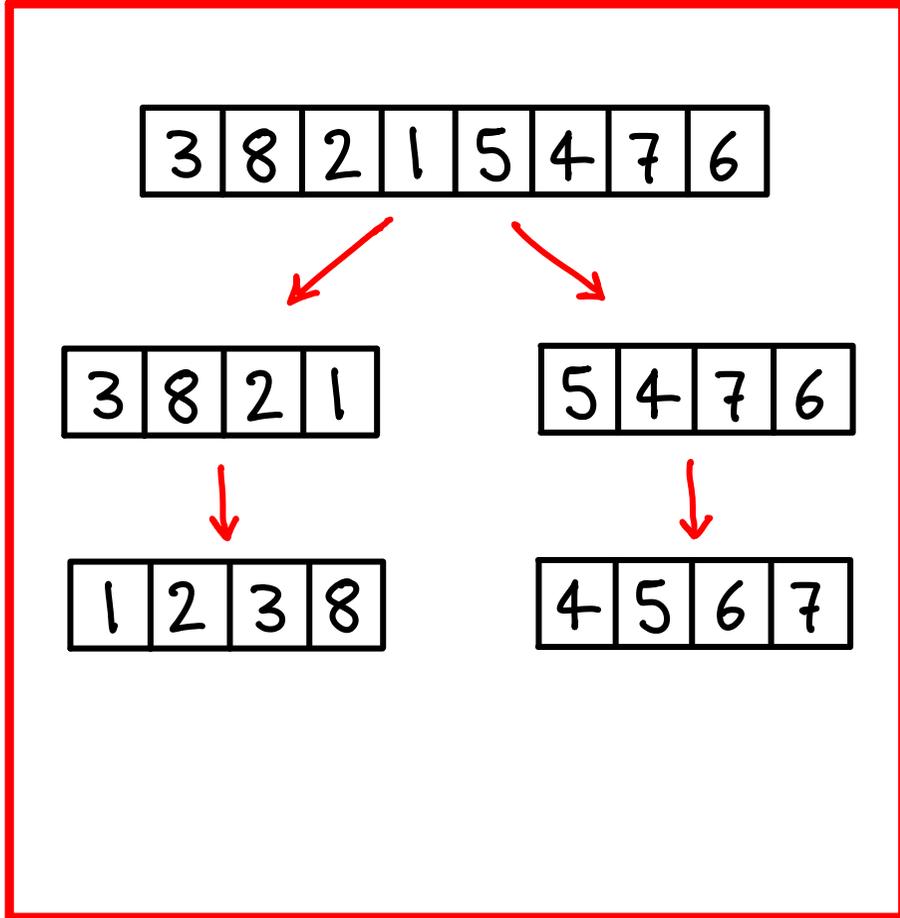
Divide problem into 2 smaller instances



# MERGE SORT, Divide & Conquer, dealing with recurrence relations

Divide problem into 2 smaller instances

Conquer (= solve) the smaller problems

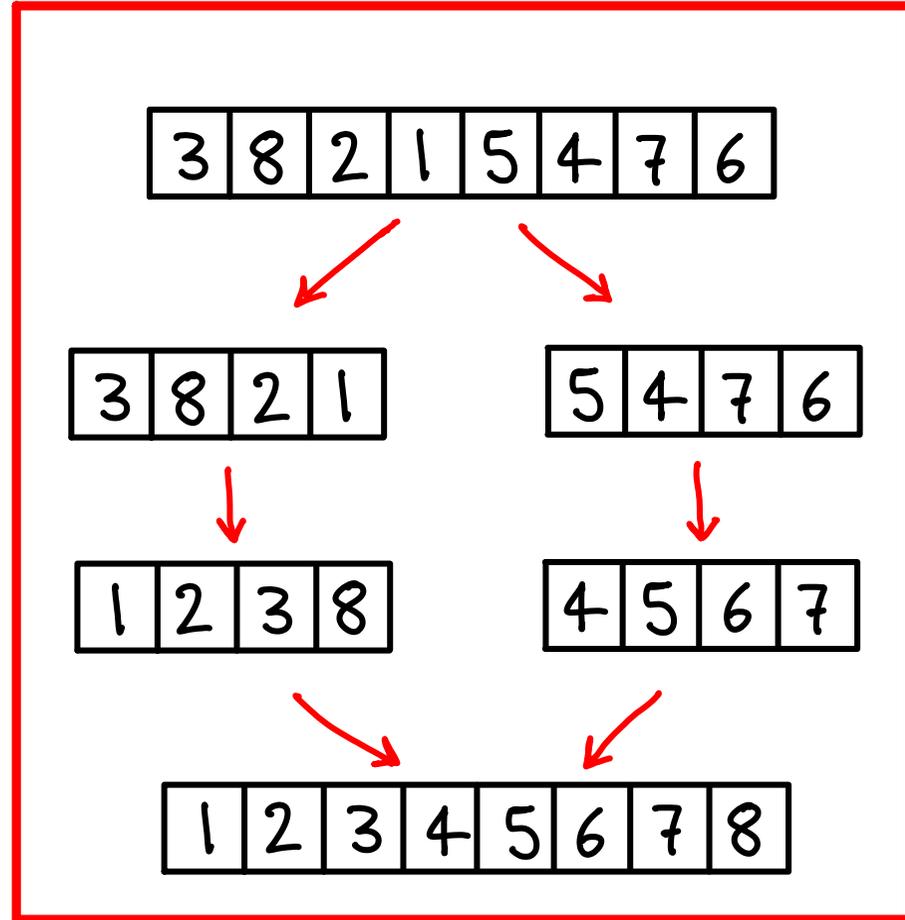


# MERGE SORT, Divide & Conquer, dealing with recurrence relations

Divide problem into 2 smaller instances

Conquer (= solve) the smaller problems

Combine (= merge) the solutions

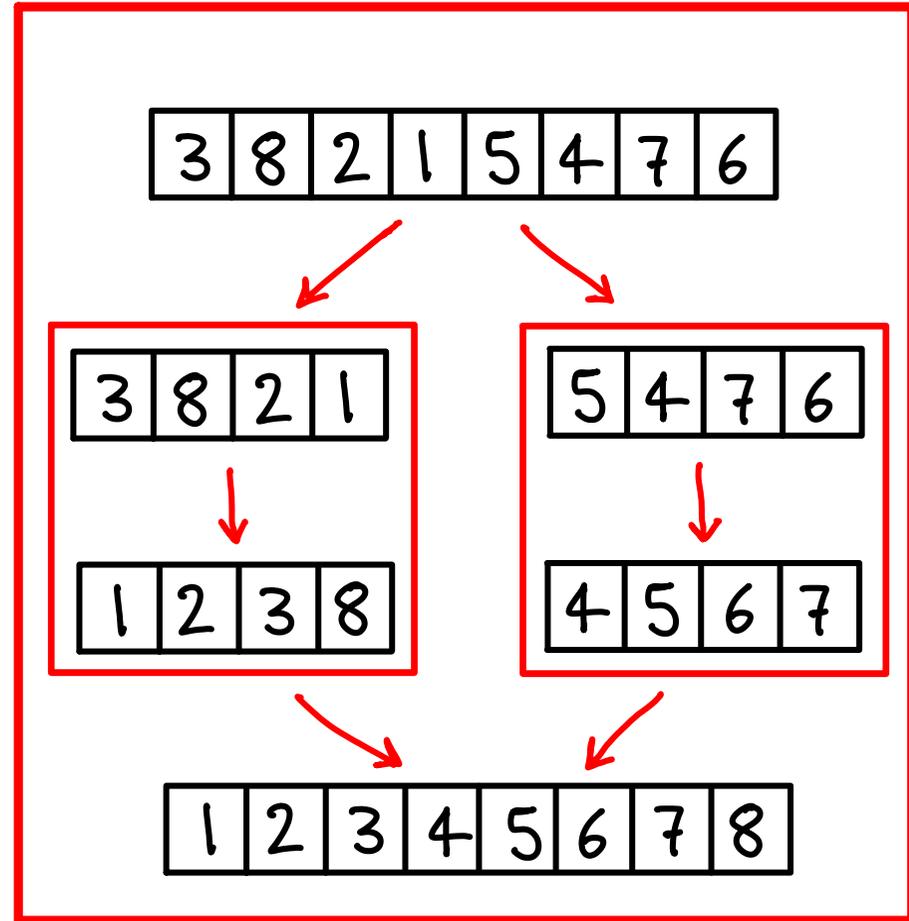


# MERGE SORT, Divide & Conquer, dealing with recurrence relations

Divide problem into 2 smaller instances

Conquer (= solve) the smaller problems  
(Mergesort)

Combine (= merge) the solutions



Merging 2 sorted arrays:

A: 

1	2	3	5	9	14	16	20
---	---	---	---	---	----	----	----

B: 

4	6	10	11	15	19	25	31
---	---	----	----	----	----	----	----

Merging 2 sorted arrays:

Smallest element is at  
leftmost position of A or B.

A: 

1	2	3	5	9	14	16	20
---	---	---	---	---	----	----	----



B: 

4	6	10	11	15	19	25	31
---	---	----	----	----	----	----	----

















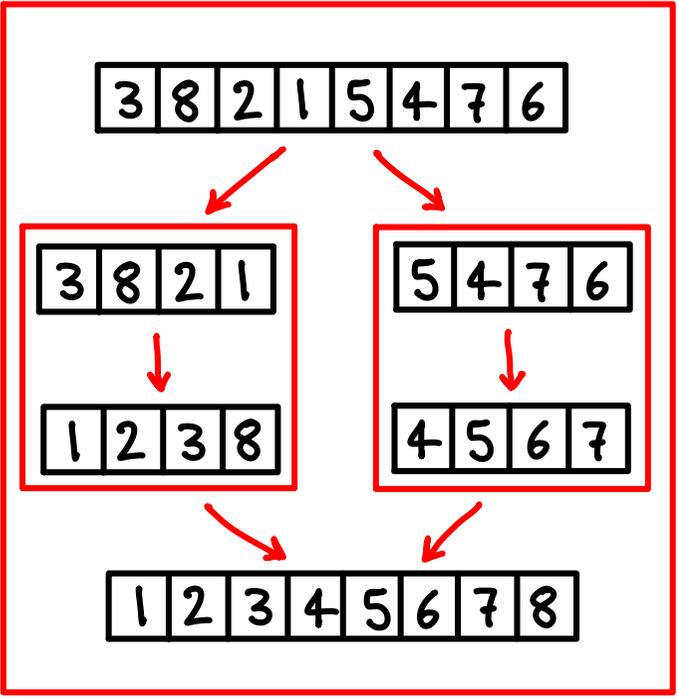






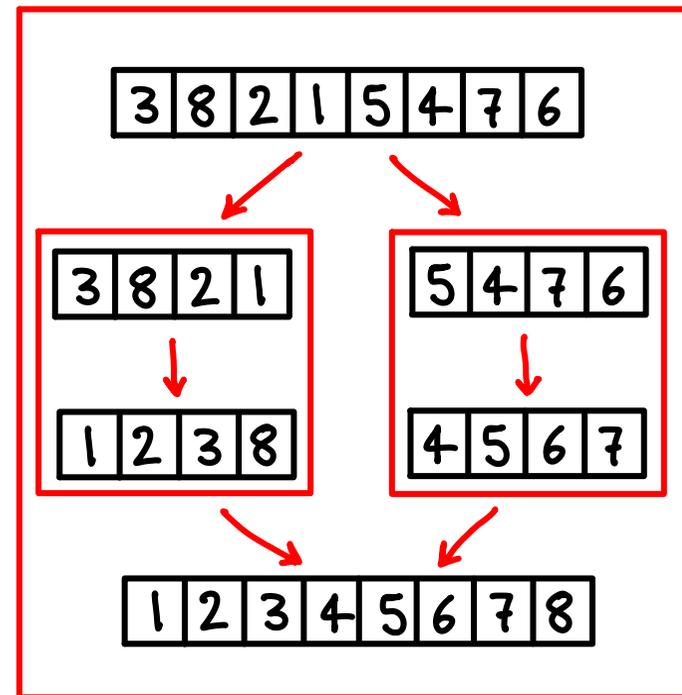


Mergesort time for  $n$  elements:  $T(n)$



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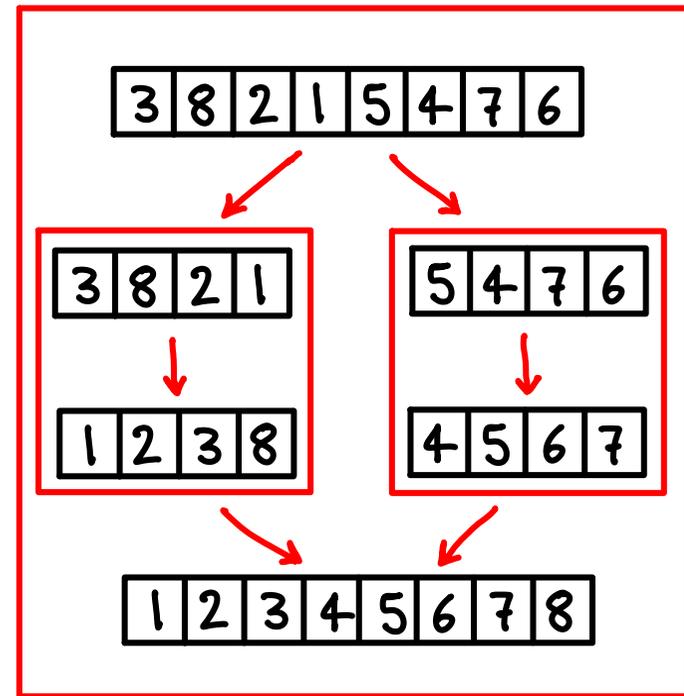
1) Divide  $\Theta(1)$



Mergesort time for  $n$  elements:  $T(n)$

1) Divide  $\Theta(1)$

3) Merge  $\Theta(n)$

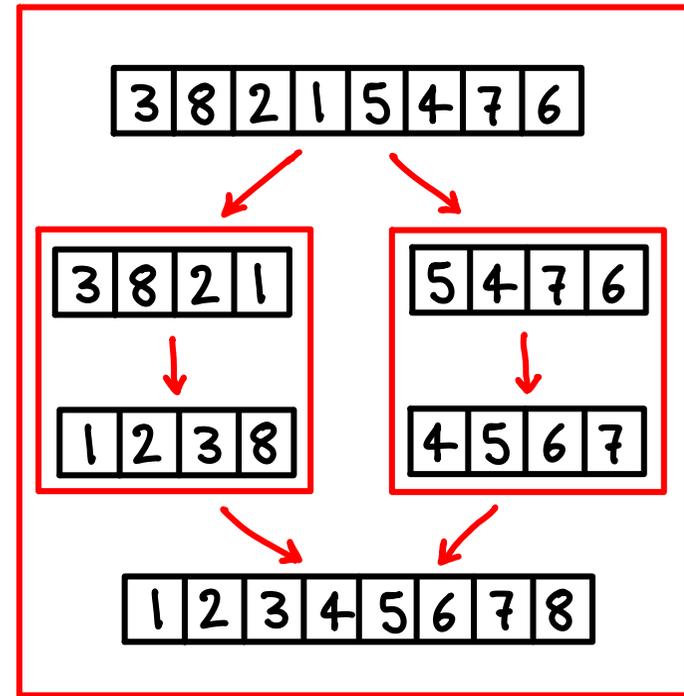


Mergesort time for  $n$  elements:  $T(n)$

1) Divide  $\Theta(1)$

2) Conquer  $\Theta(1) + 2 \cdot \underline{T\left(\frac{n}{2}\right)}$

3) Merge  $\Theta(n)$



Mergesort time for  $n$  elements:  $T(n)$

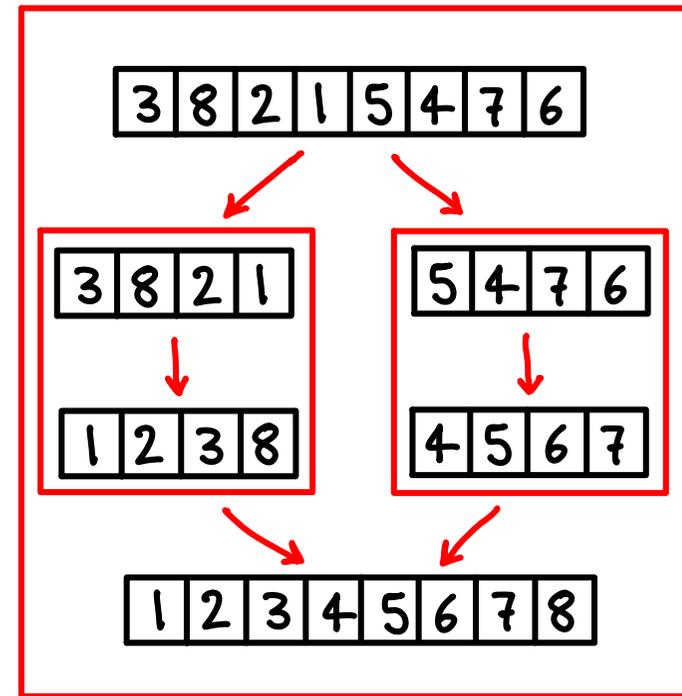
1) Divide  $\Theta(1)$

2) Conquer  $\Theta(1) + 2 \cdot \underline{T(\frac{n}{2})}$

3) Merge  $\Theta(n)$

$$T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$$

$$T(1) = \Theta(1)$$



Mergesort time for  $n$  elements:  $T(n)$

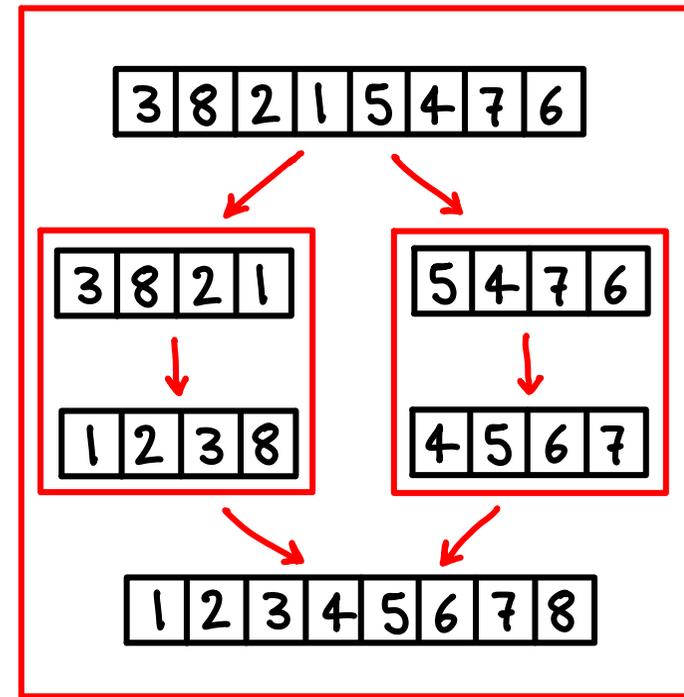
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3) Merge  $\Theta(n)$

$$T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$$

$$T(1) = \Theta(1)$$



---

Actually  $T(n) = T(\lceil n/2 \rceil) + T(\lfloor n/2 \rfloor) + \Theta(n) \rightarrow$  easy to deal with

How to solve  $T(n) = 2 \cdot T\left(\frac{n}{2}\right) + \Theta(n)$

$$T(1) = \Theta(1)$$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

↳  $T(n) = 2 \cdot T(\frac{n}{2}) + \underline{c \cdot n}$

← must do this →

$$T(1) = \Theta(1)$$

$$= \underline{c_2}$$

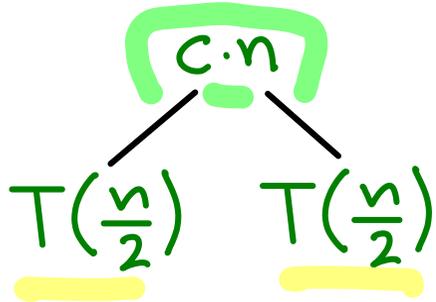
How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$

$T(1) = \Theta(1)$

← must do this →  $= c_2$

Recursion tree:



How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

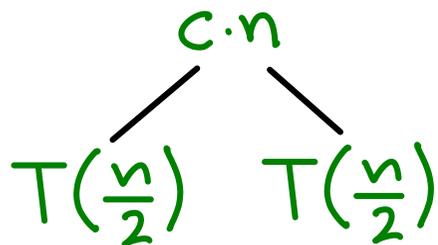
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$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$

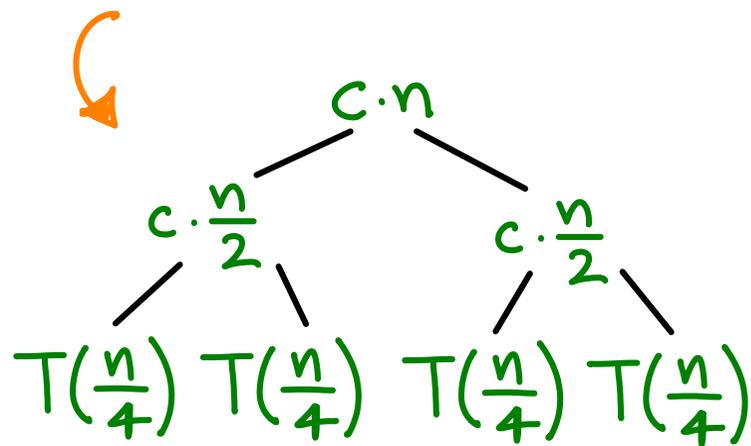
← must do this →

$$= c_2$$

Recursion tree:



$$T(\frac{n}{2}) = 2 \cdot T(\frac{n}{4}) + c \cdot \frac{n}{2}$$

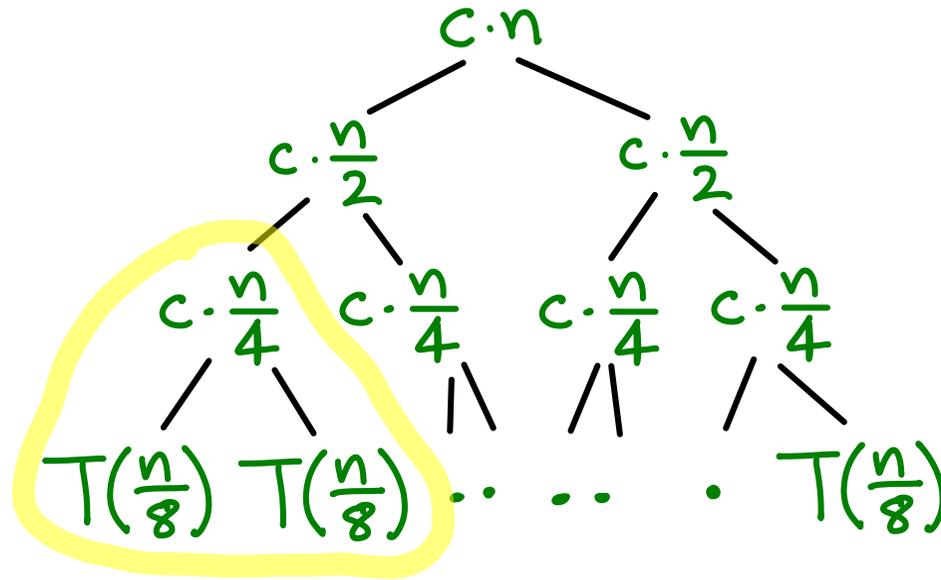
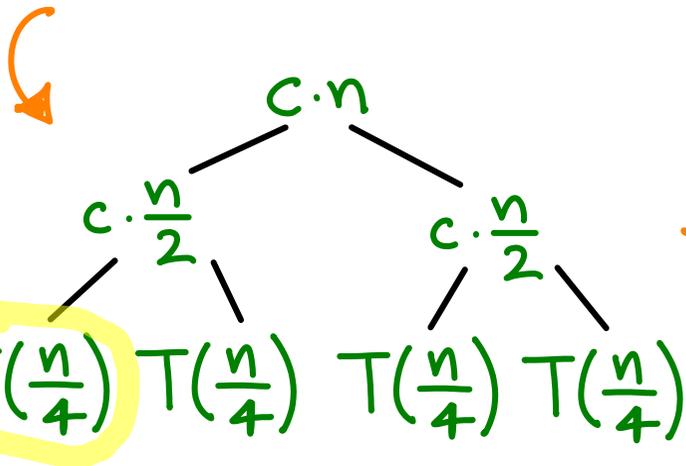
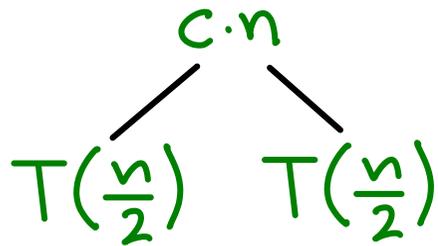


How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

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$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this →  $= c_2$

Recursion tree:



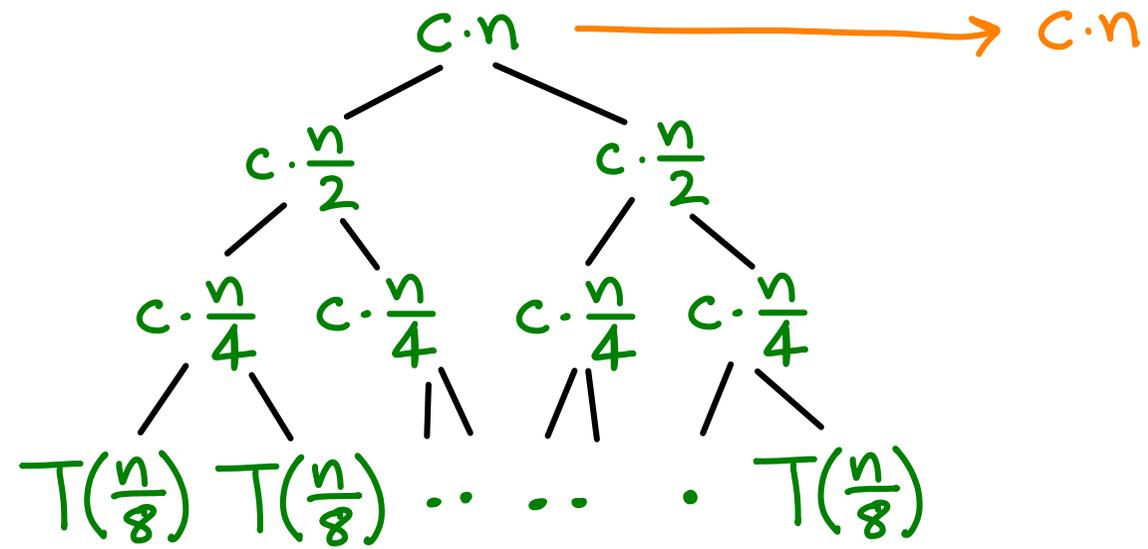
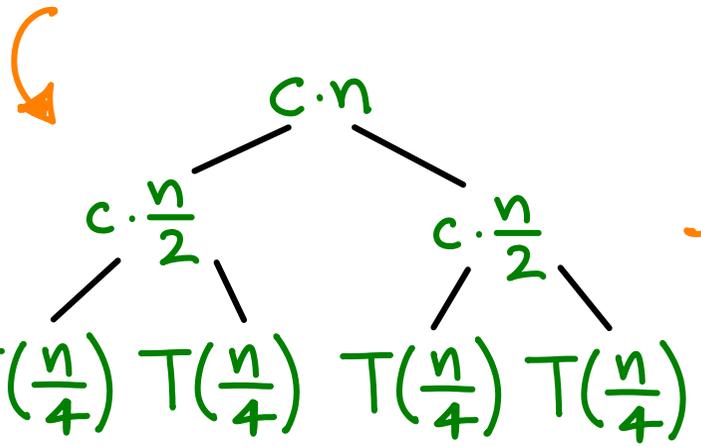
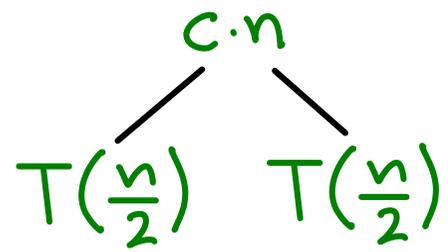
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← must do this → =  $c_2$

Recursion tree:

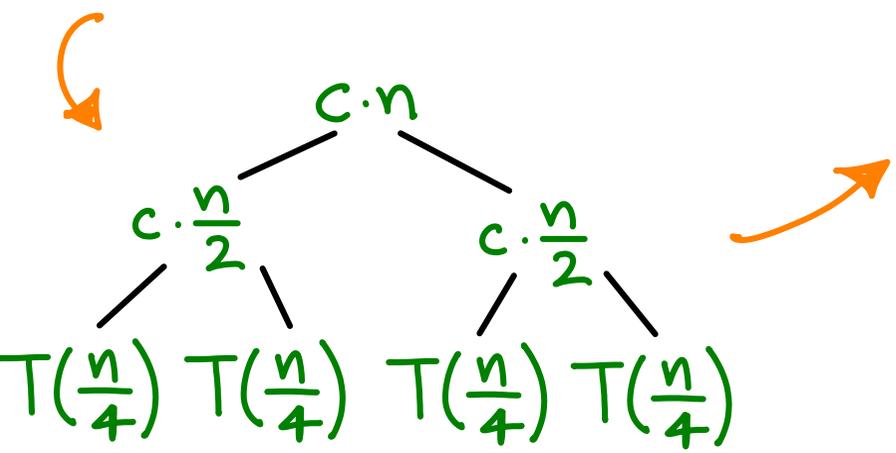
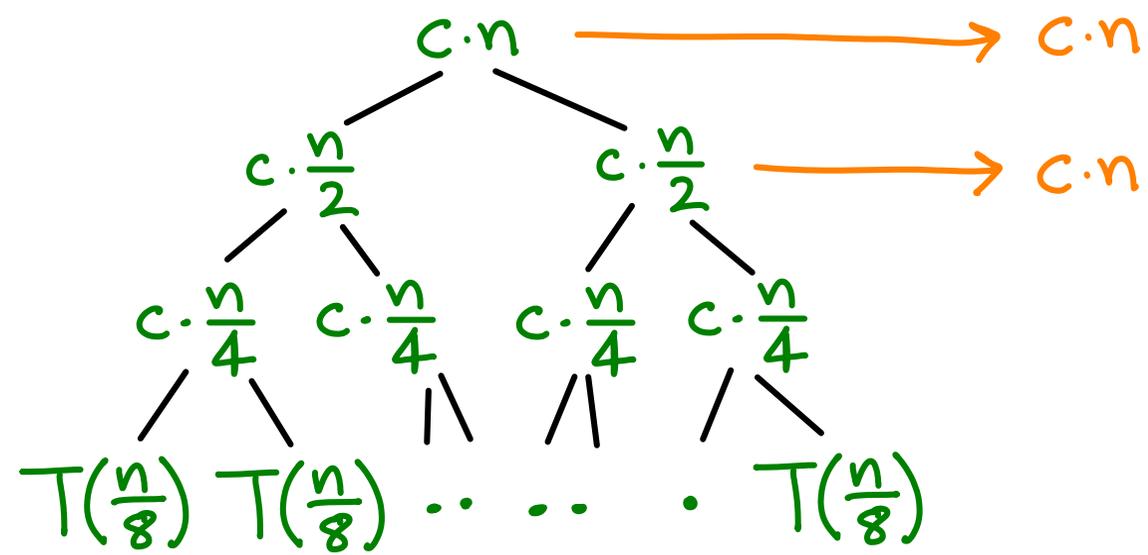
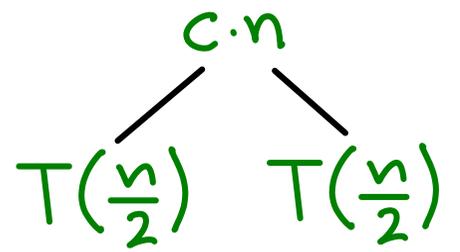


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Recursion tree:

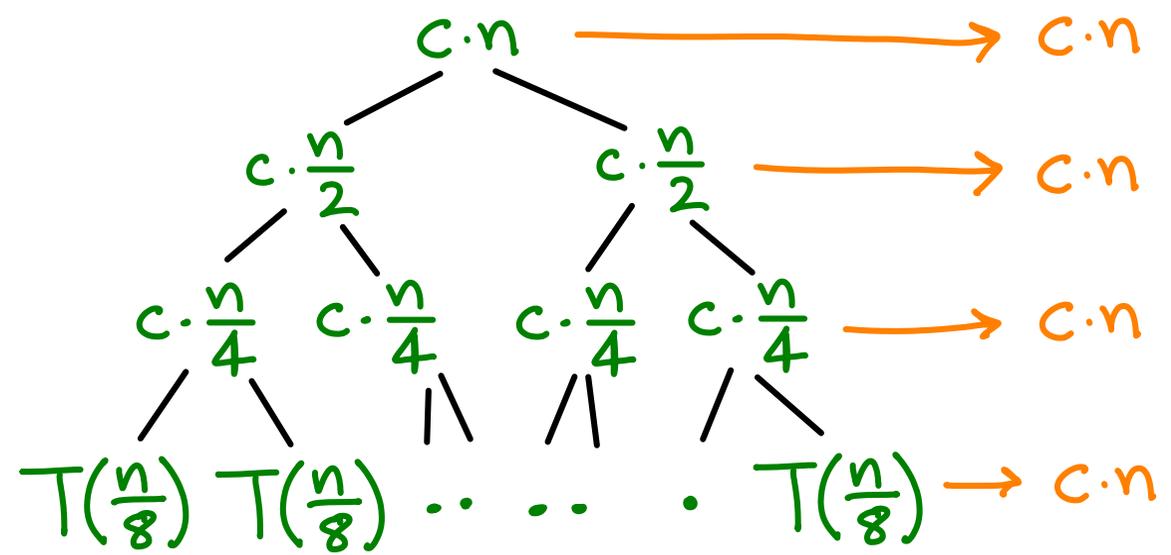
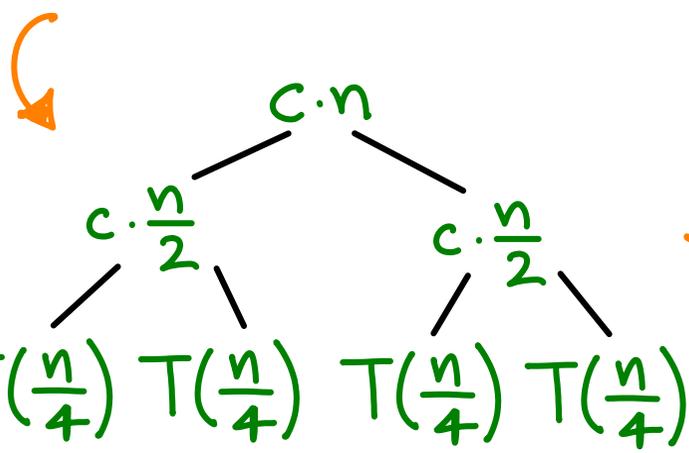
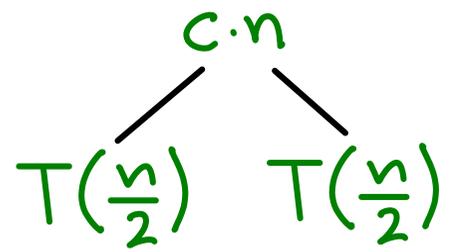


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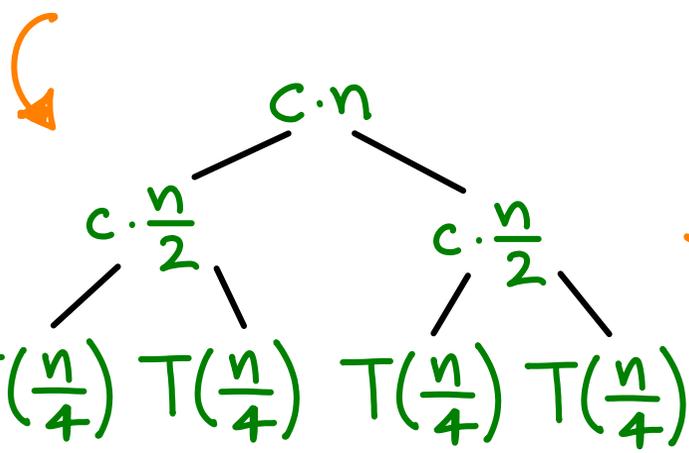
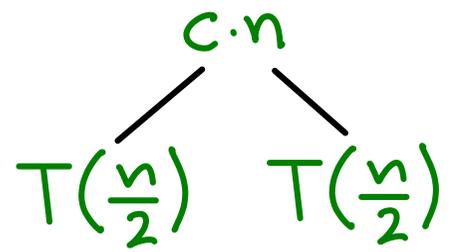


How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

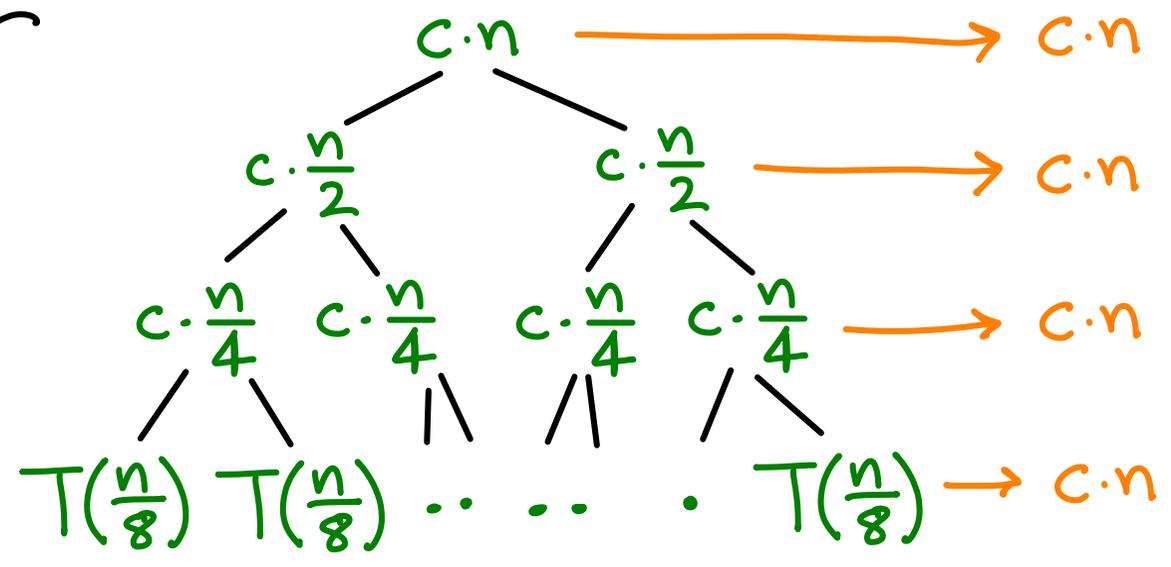
$$T(1) = \Theta(1)$$

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this →  $= c_2$

Recursion tree:



?  
levels

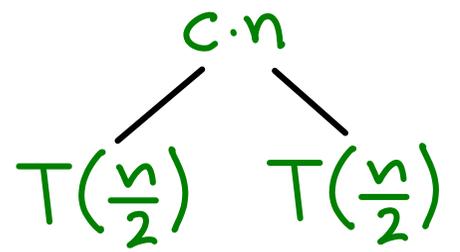


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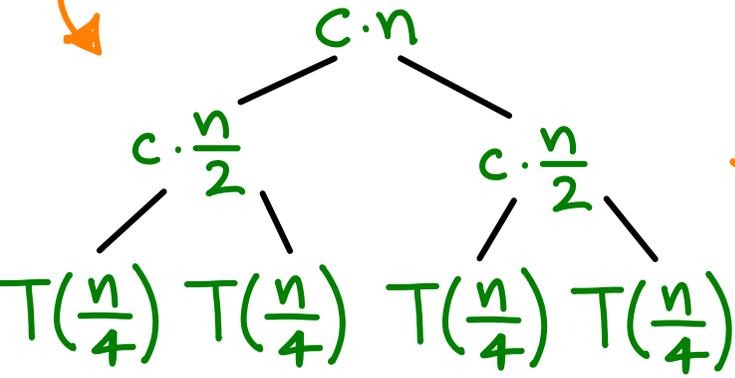
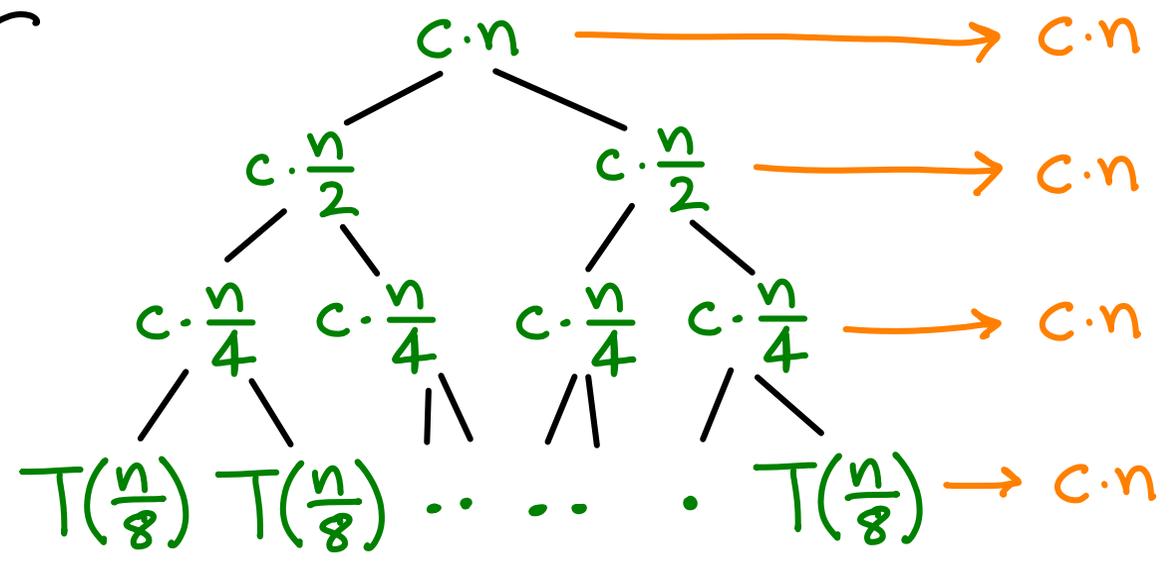
$$T(1) = \Theta(1)$$

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this →  $= c_2$

Recursion tree:



$\log_2 n$  levels

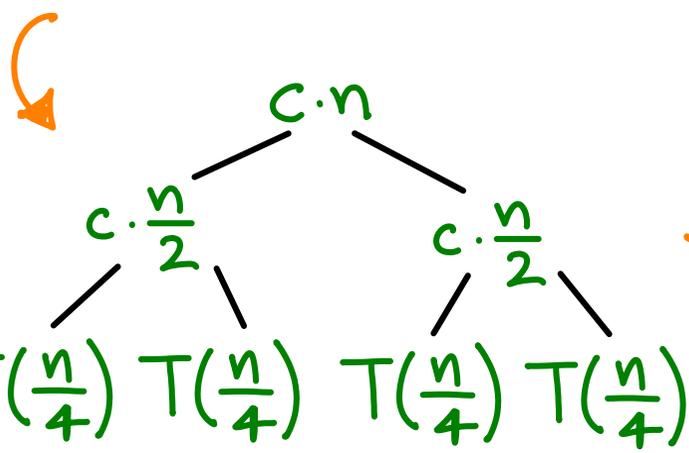
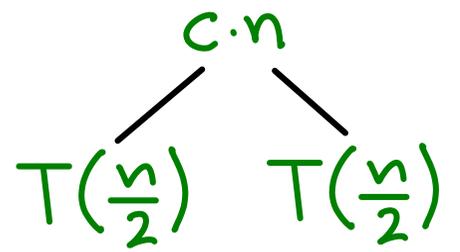


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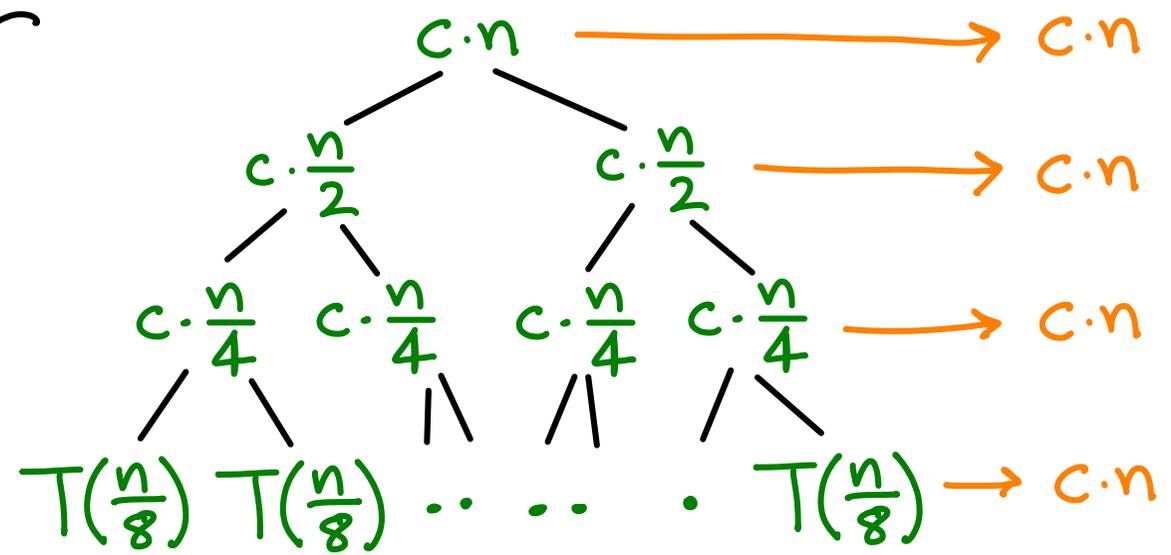
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Recursion tree:



$\log_2 n$  levels



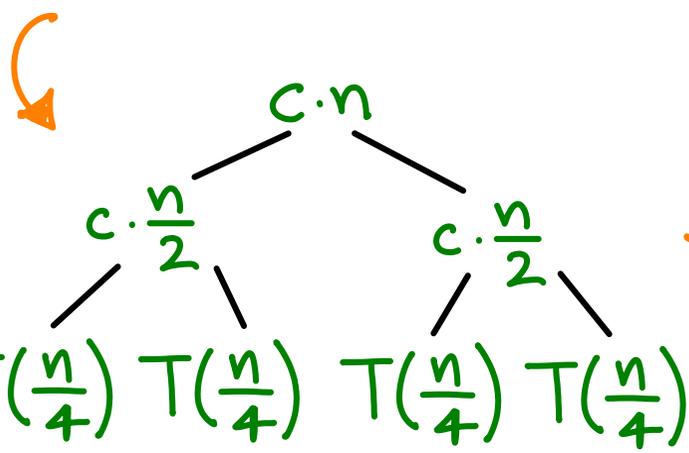
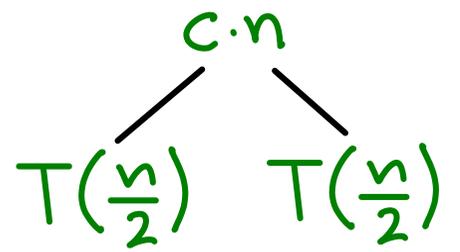
$n$  leaves:  $c_2 \ c_2 \ c_2 \ \dots$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

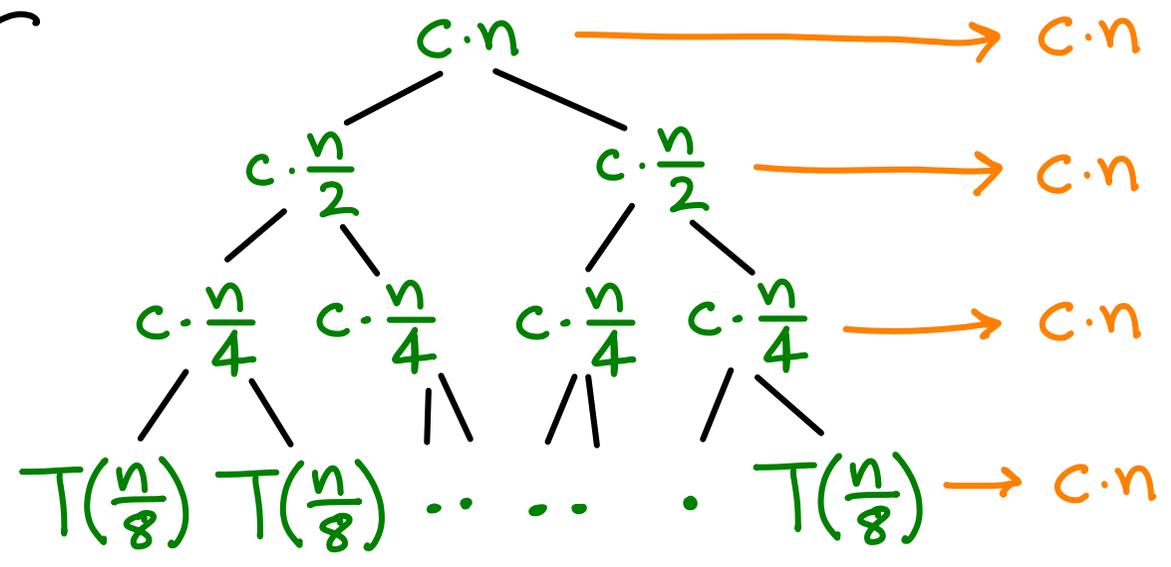
$$T(1) = \Theta(1)$$

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this →  $= c_2$

Recursion tree:



$\log_2 n$  levels



$n$  leaves:  $c_2 \quad c_2 \quad c_2 \quad \dots$

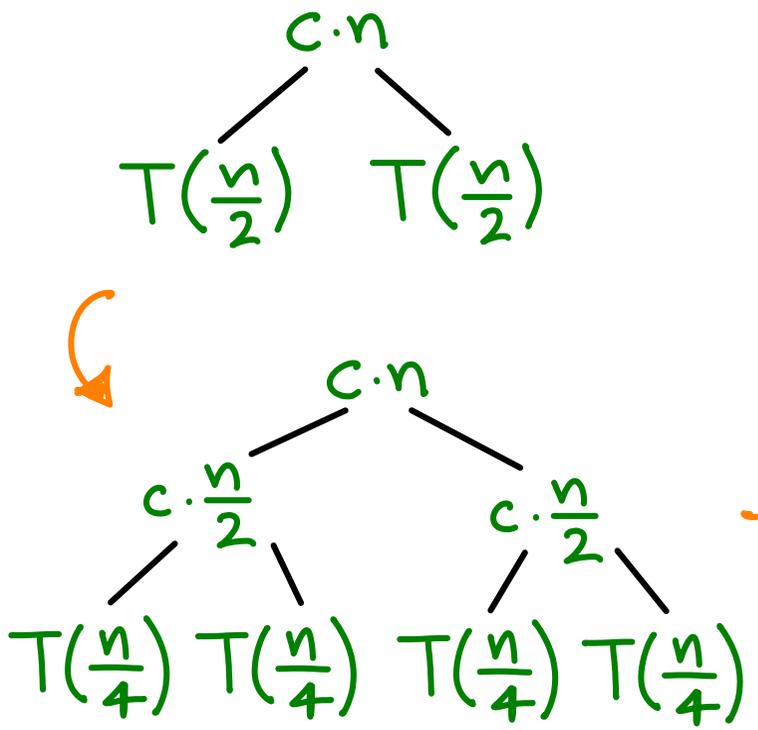
TOTAL:  
 $c_2 n + c n \log_2 n$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$

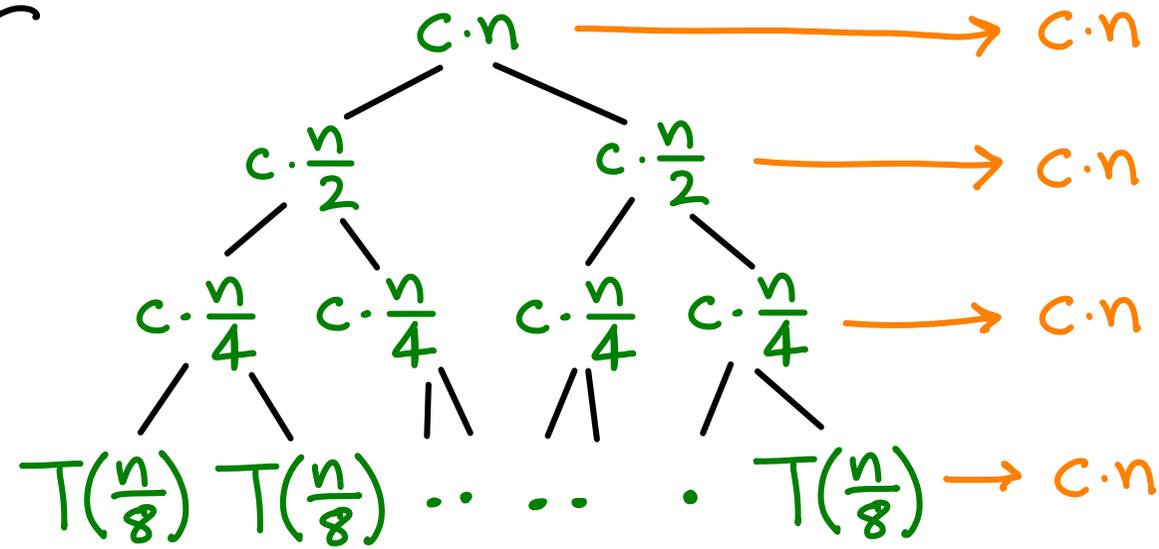
$T(1) = \Theta(1)$

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this →  $= c_2$

Recursion tree:



$\log_2 n$  levels



$n$  leaves:  $c_2 \quad c_2 \quad c_2 \quad \dots$

TOTAL:  
 $c_2 n + cn \log_2 n$   
 $= \Theta(n \log n)$

The recursion tree method relies on noticing a pattern and for it to be formal one must prove that the pattern holds not just for a few levels.

If that's not easy to do, use substitution and induction...

How to solve  $T(n) = 2 \cdot T\left(\frac{n}{2}\right) + \Theta(n)$  by substitution (induction)

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$\hookrightarrow T(n) = 2 \cdot T(\frac{n}{2}) + \underbrace{c \cdot n}_{\leftarrow \text{must do this}}$

o) You need to have a guess for the answer.

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$$T(n) \leq d \cdot n \log n ? \rightarrow O(n \log n)$$

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$T(n) \leq d \cdot n \log n ? \rightarrow \mathcal{O}(n \log n)$

i) Inductive hypothesis: for all  $k < n$ ,  $T(k) \leq d \cdot k \log k$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$  by substitution (induction)

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1) Inductive hypothesis: for all  $k < n$ ,  $T(k) \leq d \cdot k \log k$

2) Substitute:  $T(n) \dots ?$



How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$  by substitution (induction)

$\hookrightarrow T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this

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1) Inductive hypothesis: for all  $k < n$ ,  $T(k) \leq d \cdot k \log k$

2) Substitute:  $T(n) \leq 2 \cdot d \frac{n}{2} \log \frac{n}{2} + cn$  (using  $k = \frac{n}{2}$ )

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3) Algebra:

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$$= dn \log n - dn \log 2 + cn$$

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$= dn \log n - dn \log 2 + cn$

3) Algebra:

$= dn \log n - (dn - cn)$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$  by substitution (induction)

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$= dn \log n - dn \log 2 + cn$

3) Algebra:

$= \underline{dn \log n} - \underline{(dn - cn)}$  : desired form - leftovers

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$  by substitution (induction)

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3) Algebra:  $\left\{ \begin{array}{l} = dn \log n - dn \log 2 + cn \\ = dn \log n - (dn - cn) \quad : \text{desired form - leftovers} \\ \leq dn \log n \dots \text{if } d \geq c \quad \square \quad (\text{base case omitted}) \end{array} \right.$

How to solve  $T(n) = 2 \cdot T(\frac{n}{2}) + \Theta(n)$  by substitution (induction)

$T(n) = 2 \cdot T(\frac{n}{2}) + c \cdot n$  ← must do this  
part of input → no control

o) You need to have a guess for the answer. we control this  
↳ focus on upper bound:  $T(n) \leq d \cdot n \log n ? \rightarrow O(n \log n)$

1) Inductive hypothesis: for all  $k < n$ ,  $T(k) \leq d \cdot k \log k$

2) Substitute:  $T(n) \leq 2 \cdot d \frac{n}{2} \log \frac{n}{2} + cn$  (using  $k = \frac{n}{2}$ )

3) Algebra:  $\left\{ \begin{aligned} &= dn \log n - dn \log 2 + cn \\ &= dn \log n - (dn - cn) \quad : \text{desired form - leftovers} \\ &\leq dn \log n \dots \text{if } d \geq c \quad \square \quad (\text{base case omitted}) \end{aligned} \right.$

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- Like any inductive proof,  
if it doesn't work, that doesn't imply it's not true.
- For mergesort specifically, the constant c comes from the merge step  
...and this ends up as the leading constant.  $T(n) \leq c n \log n$   
(Speedup of mergesort is directly proportional to speedup of merge)

$$T(n) = 4T\left(\frac{n}{2}\right) + n$$

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What should we guess?

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2nd term less and less significant

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$$T(32) = 4T(16) + 32 = 4 \cdot 496 + 32 = 2016 \quad : \text{ starts looking like } 2n^2$$

2nd term less and less significant

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It looked quadratic. Not really convincing though.

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$$\text{Try } O(n^3) : T(n) \stackrel{?}{\leq} cn^3$$

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$$\text{Try } O(n^3) : T(n) \stackrel{?}{\leq} cn^3$$

Hypothesis: ?

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$$\text{Substitute: } T(n) \dots ?$$

$$T(n) = 4T\left(\frac{n}{2}\right) + n \quad T(1) = 1$$

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$$T(n) = 4T\left(\frac{n}{2}\right) + n \quad T(1) = 1$$

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Try  $O(n^3)$ :  $T(n) \stackrel{?}{\leq} cn^3$

Hypothesis:  $T(k) \leq ck^3$  for  $k < n$

Substitute:  $T(n) \leq 4 \cdot c \cdot \left(\frac{n}{2}\right)^3 + n$

Algebra:  $= \frac{1}{2}cn^3 + n$

$$= \underbrace{cn^3}_{\text{desired form}} - \frac{1}{2}cn^3 + n$$

desired form

$$T(n) = 4T\left(\frac{n}{2}\right) + n \quad T(1) = 1$$

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desired form

$\geq 0$  if  
 $c \geq 1$  &  $n \geq 2$

but now you must handle  
a larger base case

$\geq 0$  if  $c \geq 2$

for all  $n \geq 0$

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Hypothesis:  $T(k) \leq ck^3$  for  $k < n$

Substitute:  $T(n) \leq 4 \cdot c \cdot \left(\frac{n}{2}\right)^3 + n$

Algebra:

$$= \frac{1}{2}cn^3 + n$$

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Substitute:  $T(n) \leq 4 \cdot c \cdot \left(\frac{n}{2}\right)^3 + n$

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$\geq 0$  if  $c \geq 1$  &  $n \geq 2$

desired form

Base case:  $T(1) = 1 \leq c \cdot 1^3 \checkmark$

□

We wanted to show  $T(n) = 4T(\frac{n}{2}) + n = O(n^3)$ .

Why use hypothesis  $T(k) \leq ck^3$  instead of  $T(k) = O(k^3)$  ?

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$$\begin{aligned} \text{e.g., } T(n) &= 4T\left(\frac{n}{2}\right) + n \\ &= 4 \cdot O\left(\left(\frac{n}{2}\right)^3\right) + n \end{aligned}$$

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$$T(n) = n = \underline{n-1} + 1 = \underline{O(1)} + 1$$

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DON'T USE BIG-O  
DURING INDUCTION

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . Let's try  $O(n^2)$

$T(n) \stackrel{?}{\leq} cn^2$

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$$T(n) \stackrel{?}{\leq} cn^2$$

Hypothesis:  $T(k) \leq ck^2$  for  $k < n$

Substitute:  $T(n) \leq 4 \cdot c \cdot \left(\frac{n}{2}\right)^2 + n$

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Algebra:  $= cn^2 + n$

...?

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Algebra:  $= cn^2 + n \rightarrow$  failed to get  $\leq$  desired form

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Substitute:  $T(n) \leq 4 \cdot c \cdot (\frac{n}{2})^2 + n$

Algebra:  $= cn^2 + n \rightarrow$  failed to get  $\leq$  desired form

$$= cn^2 + \frac{1}{n}n^2 = (c + \frac{1}{n}) \cdot n^2 \begin{cases} \text{so close to } cn^2 \\ \text{but not good enough} \end{cases}$$

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . We want  $O(n^2)$

Hypothesis:  $T(k) \leq ck^2$  failed.

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . We want  $O(n^2)$

Hypothesis:  $T(k) \leq ck^2$  failed. New hypothesis:  $T(k) \leq ck^2 - dk$

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Substitute:  $T(n) \leq 4 \cdot (c(\frac{n}{2})^2 - d\frac{n}{2}) + n$

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Algebra:  $= cn^2 - 2dn + n$

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$$\text{Substitute: } T(n) \leq 4 \cdot \left( c\left(\frac{n}{2}\right)^2 - d\frac{n}{2} \right) + n$$

$$\text{Algebra: } = cn^2 - 2dn + n$$

$$= \underbrace{cn^2 - dn - dn + n}_{\text{desired form}}$$

desired form

$$T(n) = 4T\left(\frac{n}{2}\right) + n \quad / \quad T(1) = 1 \quad / \quad \text{We proved } O(n^3). \quad \text{We want } O(n^2)$$

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$$= \underbrace{cn^2 - dn}_{\text{desired form}} - dn + n = cn^2 - dn - (dn - n)$$

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Substitute:  $T(n) \leq 4 \cdot \left( c\left(\frac{n}{2}\right)^2 - d\frac{n}{2} \right) + n$

Algebra:  $= cn^2 - 2dn + n$

$$= \underbrace{cn^2 - dn - dn + n}_{\text{desired form}} = cn^2 - dn - \underbrace{(dn - n)}_{\geq 0 \text{ if } d \geq 1}$$

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . We want  $O(n^2)$

Hypothesis:  $T(k) \leq ck^2$  failed. New hypothesis:  $T(k) \leq ck^2 - dk$

Substitute:  $T(n) \leq 4 \cdot (c(\frac{n}{2})^2 - d\frac{n}{2}) + n$

Algebra:  $= cn^2 - 2dn + n$

$= \underbrace{cn^2 - dn}_{\text{desired form}} - dn + n = cn^2 - dn - \underbrace{(dn - n)}_{\geq 0 \text{ if } d \geq 1}$

So can  $c$  be anything?

(are we done?)

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . We want  $O(n^2)$

Hypothesis:  $T(k) \leq ck^2$  failed. New hypothesis:  $T(k) \leq ck^2 - dk$

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So can  $c$  be anything? No.

Base case:  $T(1) = 1$

$T(n) = 4T(\frac{n}{2}) + n$  /  $T(1) = 1$  / We proved  $O(n^3)$ . We want  $O(n^2)$

Hypothesis:  $T(k) \leq ck^2$  failed. New hypothesis:  $T(k) \leq ck^2 - dk$

Substitute:  $T(n) \leq 4 \cdot (c(\frac{n}{2})^2 - d\frac{n}{2}) + n$

Algebra:  $= cn^2 - 2dn + n$

$= \underbrace{cn^2 - dn}_{\text{desired form}} - dn + n = cn^2 - dn - \underbrace{(dn - n)}_{\geq 0 \text{ if } d \geq 1}$

So can  $c$  be anything? No.

Base case:  $T(1) = 1 \leq c \cdot 1^2 - d \cdot 1$  if  $c > d$

$$T(n) = 4T\left(\frac{n}{2}\right) + n \quad / \quad T(1) = 1 \quad / \quad \text{We proved } O(n^3). \quad \text{We want } O(n^2)$$

Hypothesis:  $T(k) \leq ck^2$  failed. New hypothesis:  $T(k) \leq ck^2 - dk$

Substitute:  $T(n) \leq 4 \cdot \left( c\left(\frac{n}{2}\right)^2 - d\frac{n}{2} \right) + n$

Algebra:  $= cn^2 - 2dn + n$

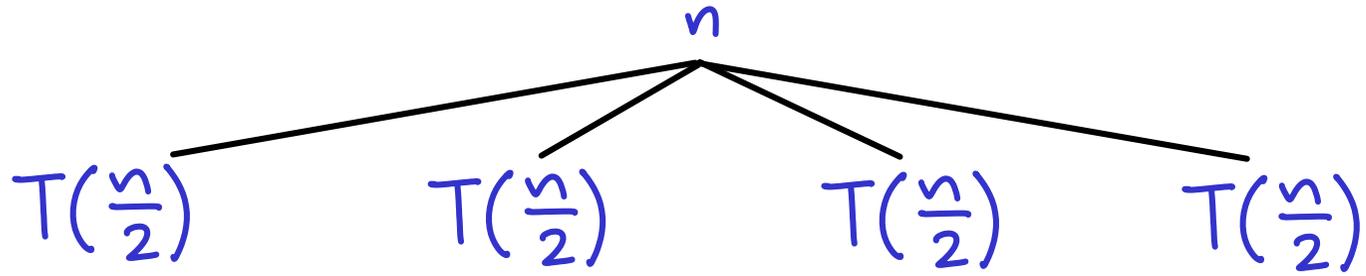
$$= \underbrace{cn^2 - dn}_{\text{desired form}} - dn + n = cn^2 - dn - \underbrace{(dn - n)}_{\geq 0 \text{ if } d \geq 1}$$

Making the hypothesis stronger often works.  
See my notes on induction.

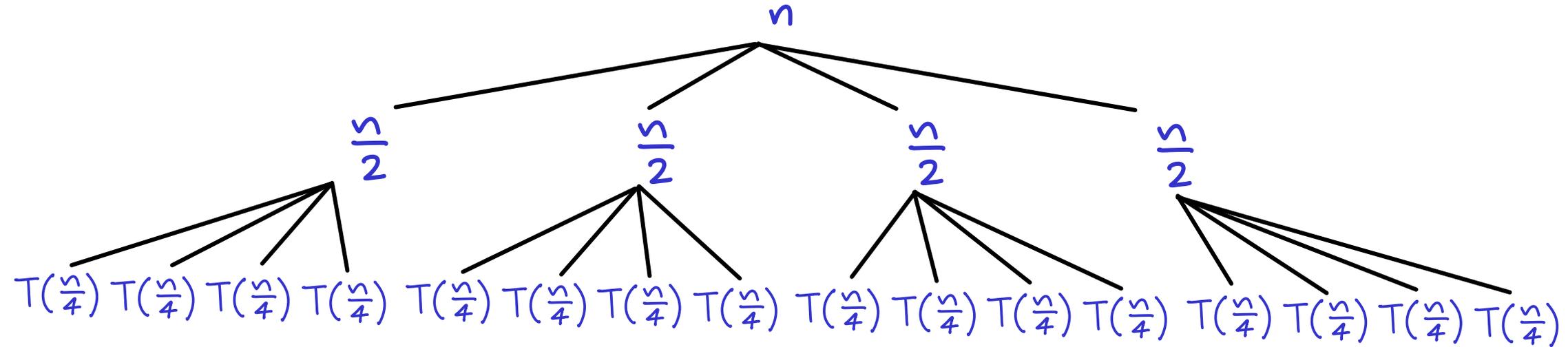
So can  $c$  be anything? No.

Base case:  $T(1) = 1 \leq c \cdot 1^2 - d \cdot 1$  if  $c > d$

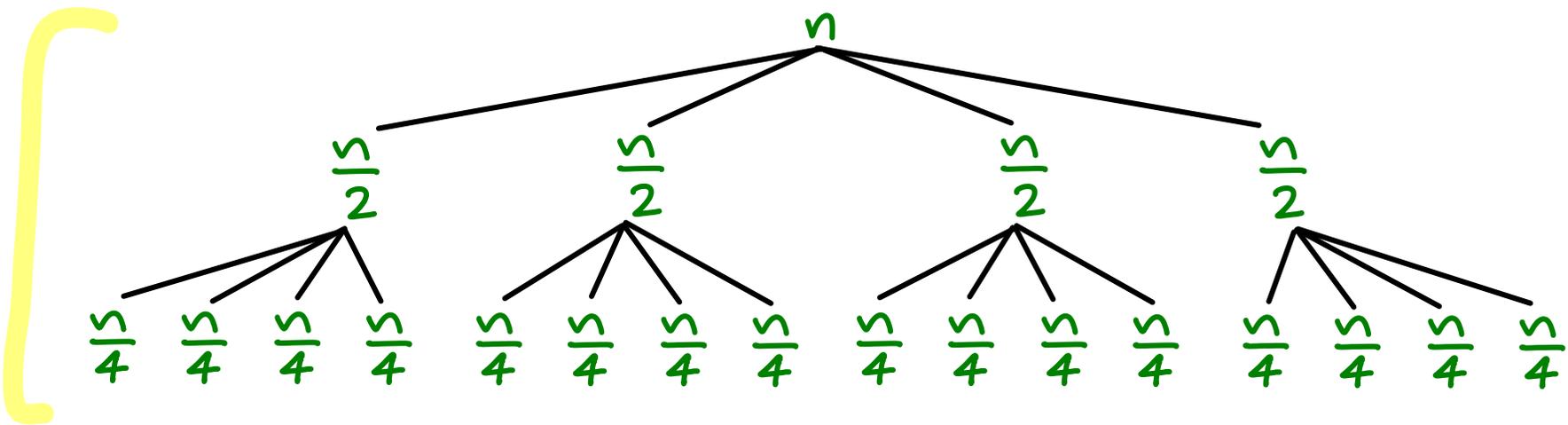
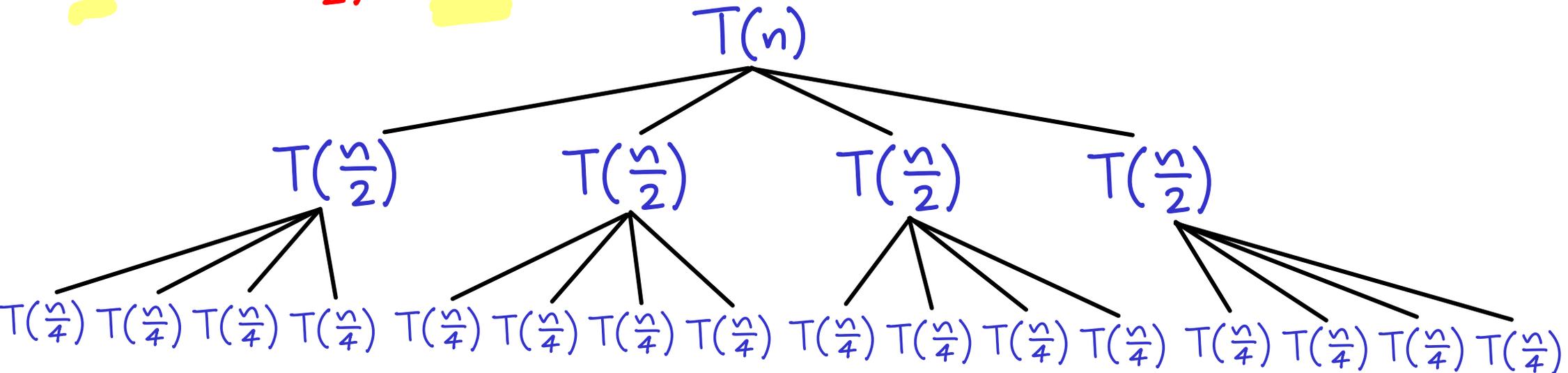
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



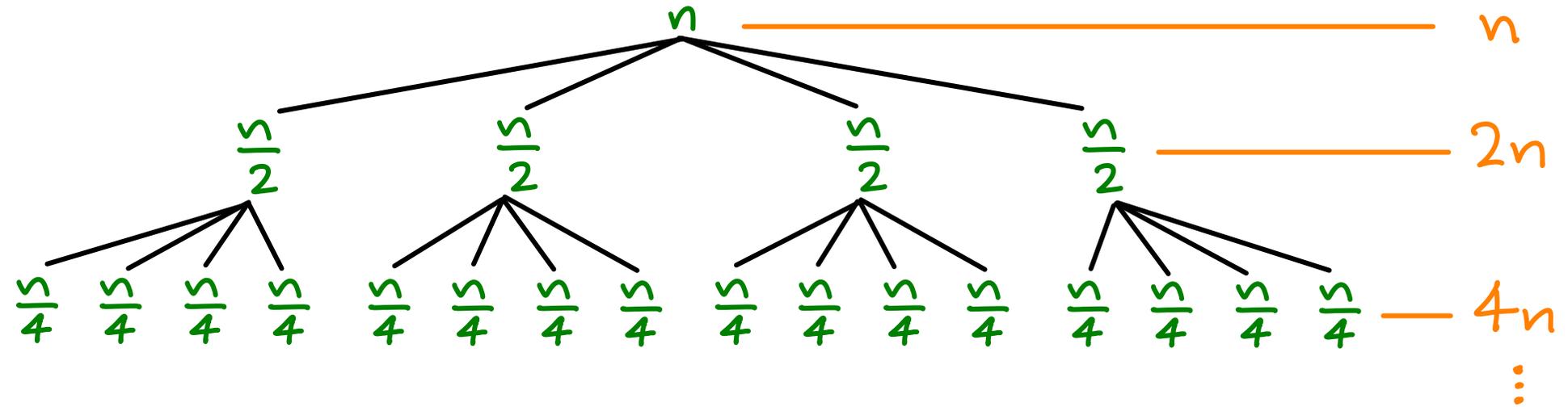
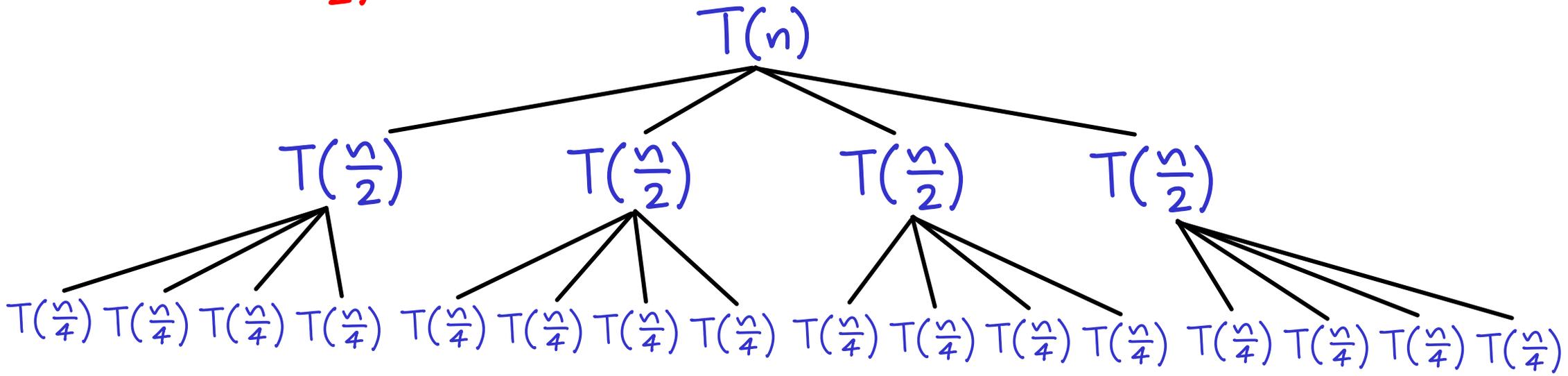
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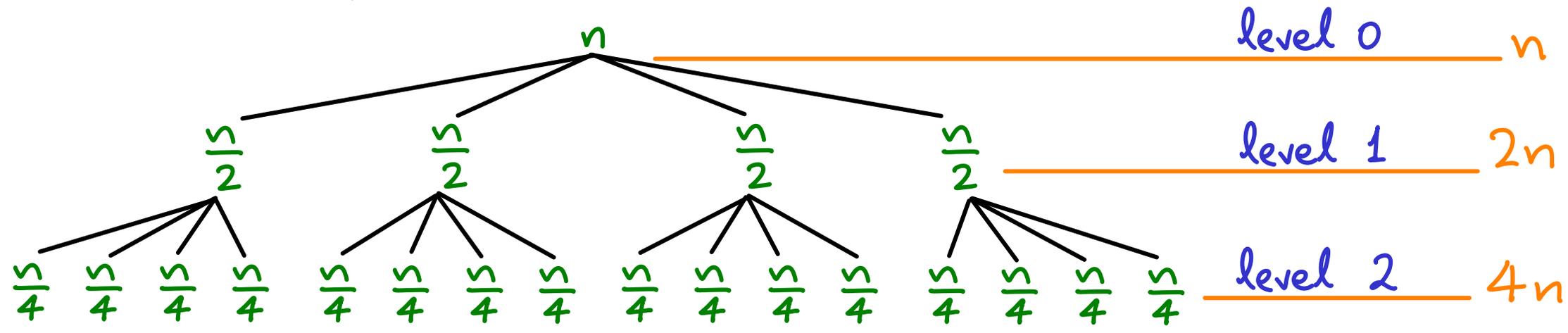
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



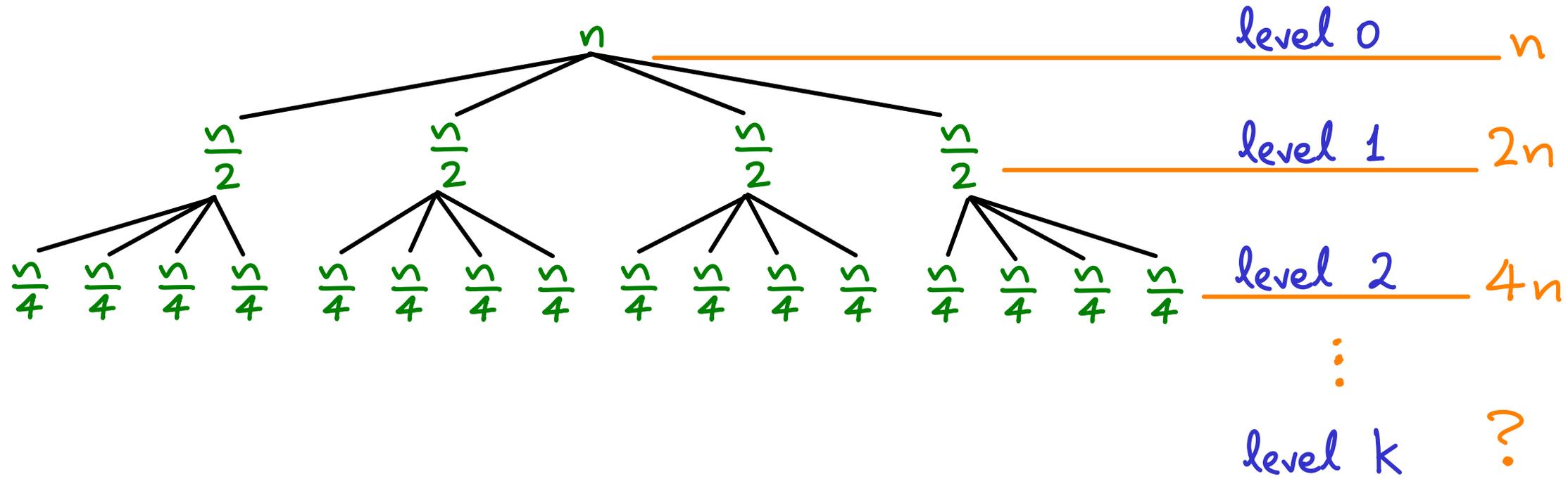
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



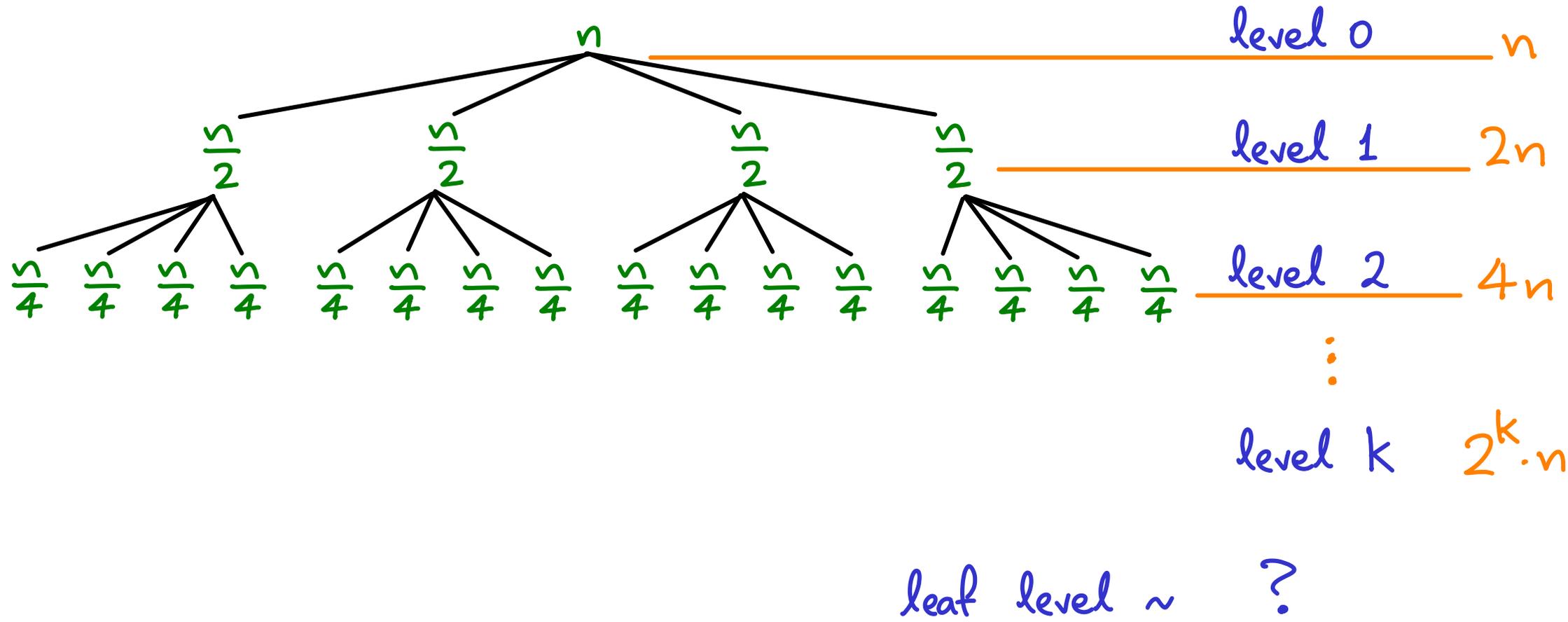
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



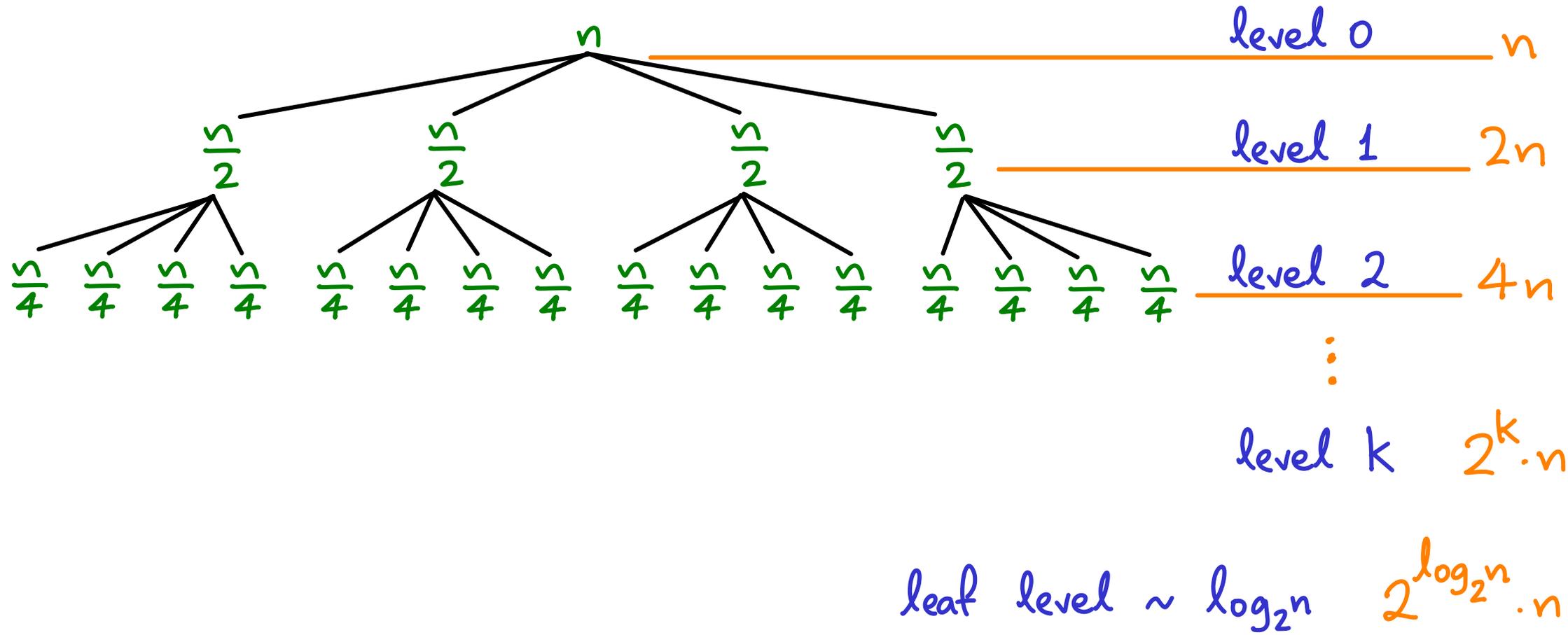
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



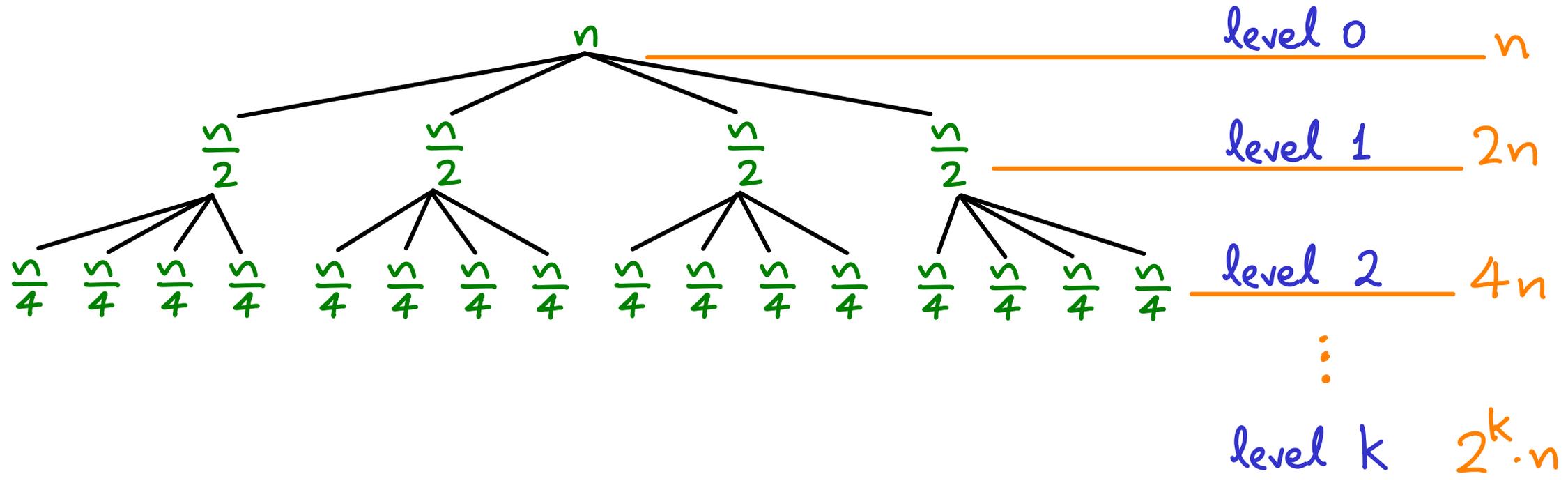
$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



$$T(n) = 4T\left(\frac{n}{2}\right) + n$$

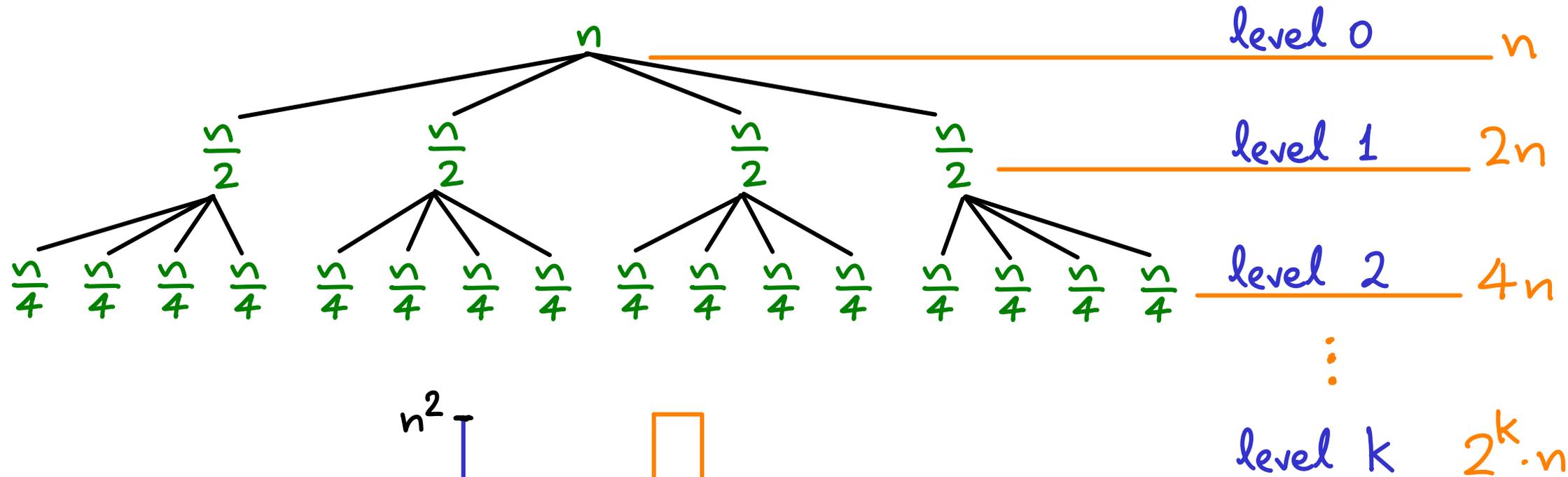


leaf level  $\sim \log_2 n$   $2^{\log_2 n} \cdot n$   
 $= n^2$   


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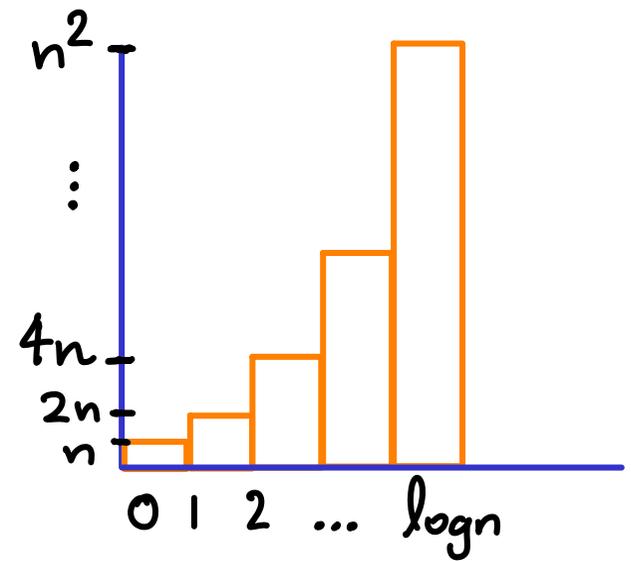
SUM = ?

$$T(n) = 4T\left(\frac{n}{2}\right) + n$$



Geometric series

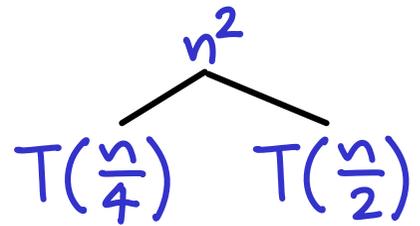
$$\text{Sum} = 2n^2$$



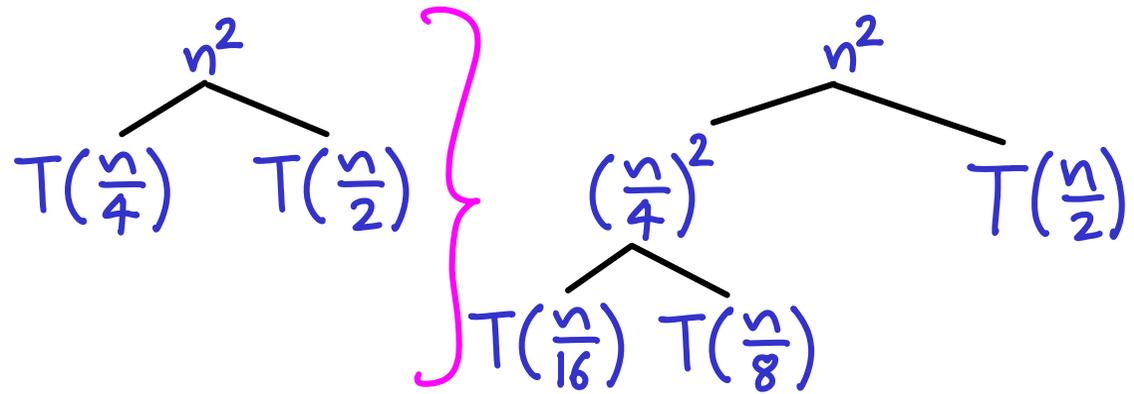
leaf level  $\sim \log_2 n$   $2^{\log_2 n} \cdot n$   
 $= n^2$   
SUM =  $O(n^2)$

$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$

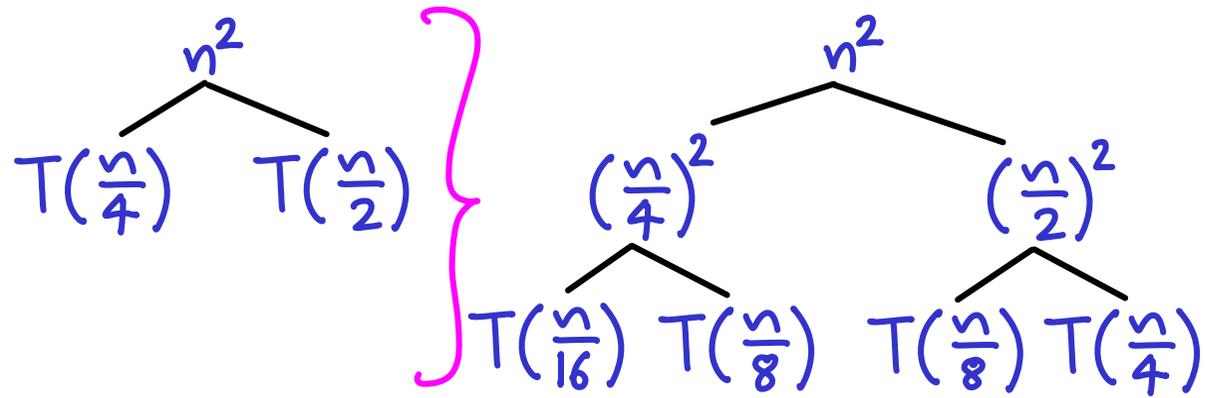
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



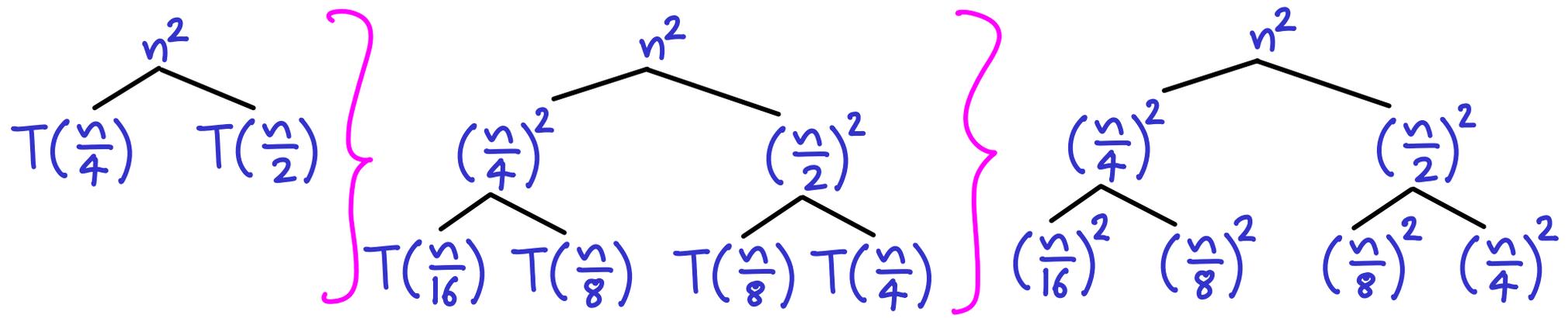
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



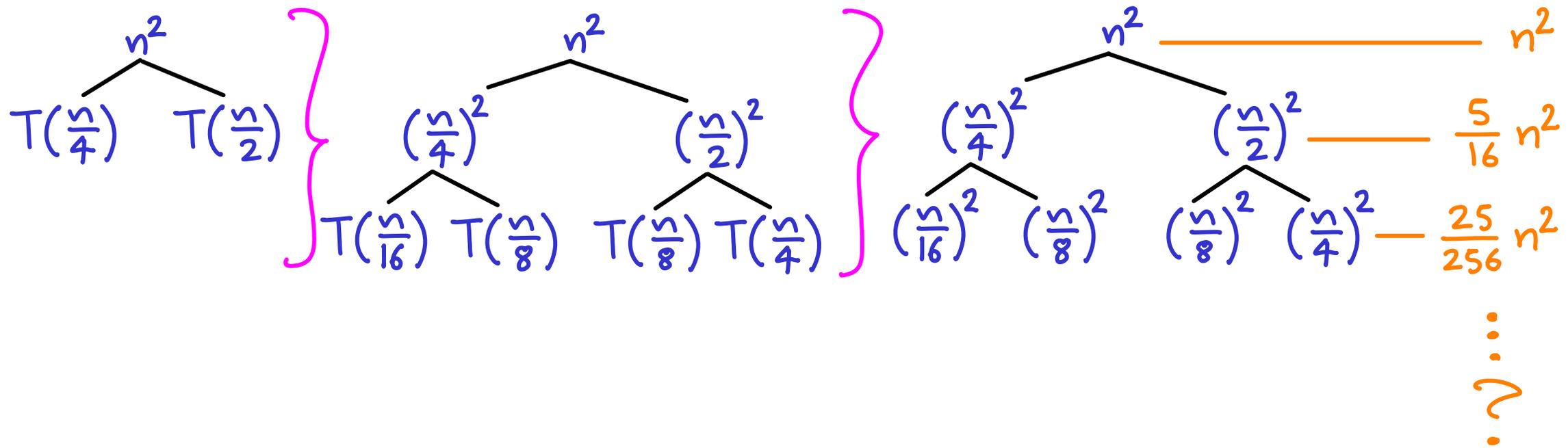
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



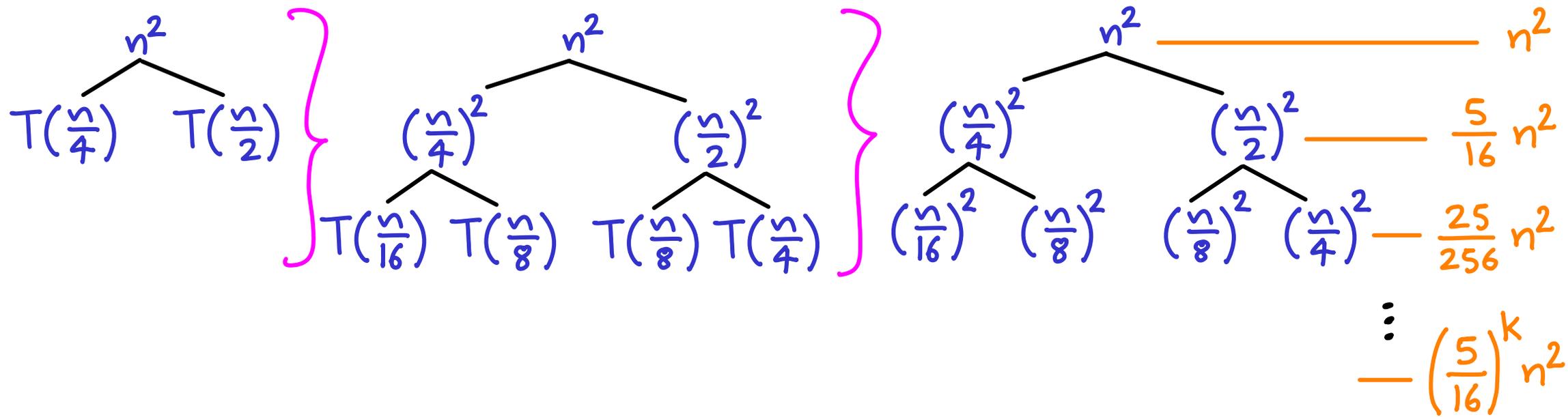
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



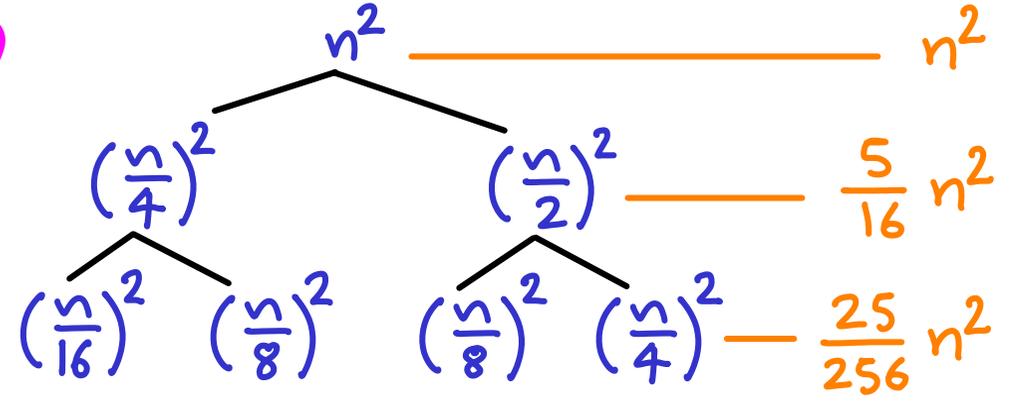
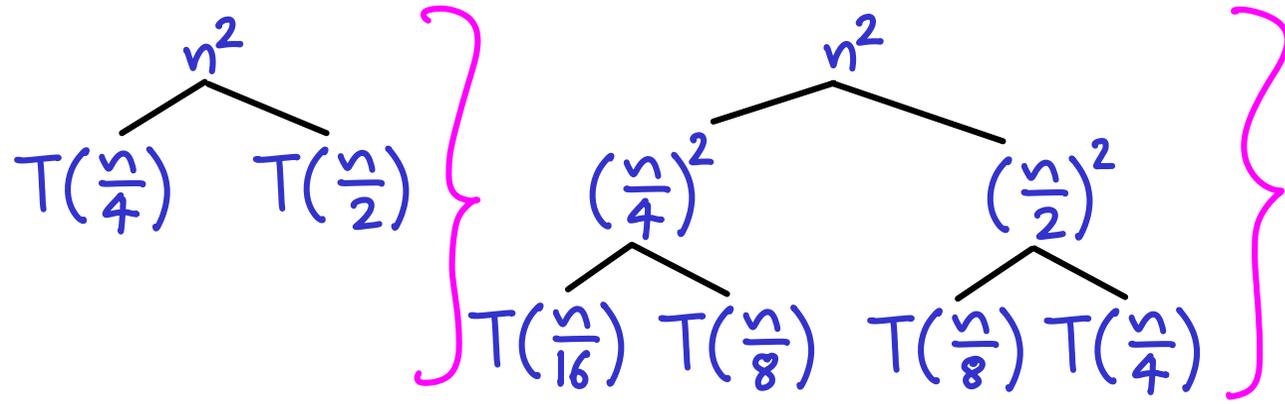
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



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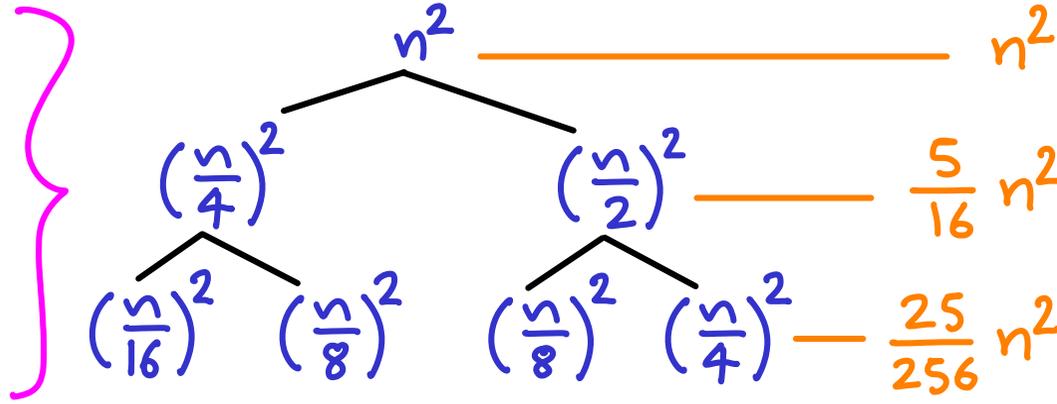
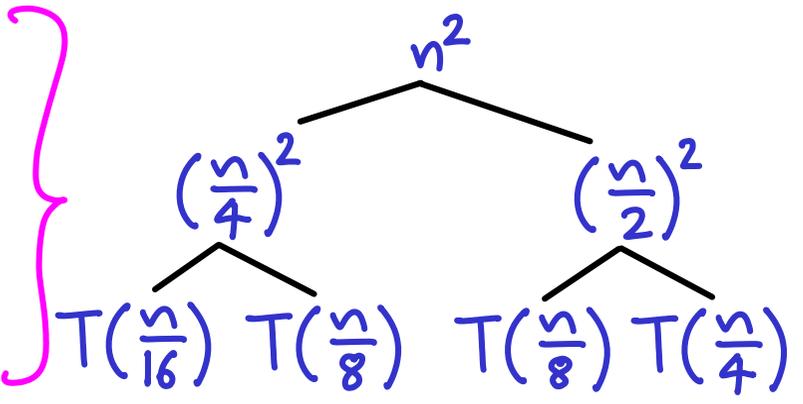
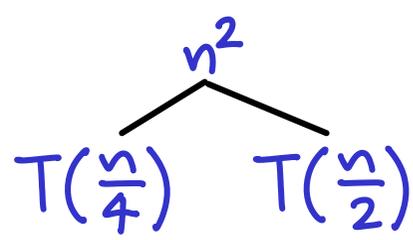
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



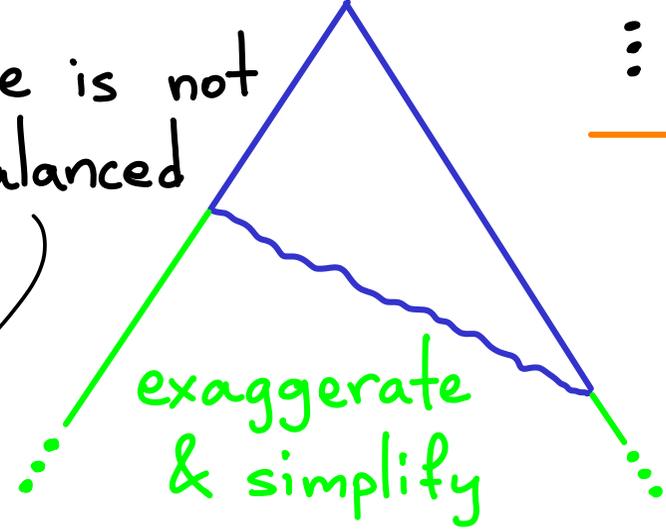
tree is not balanced

$\vdots$   
 $\frac{5}{16}^k n^2$   
 $\vdots$   
 $???$

$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



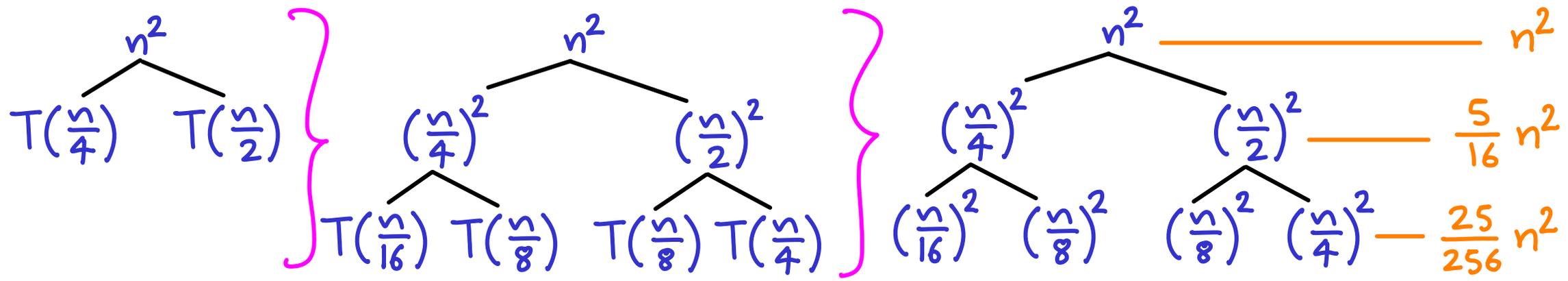
tree is not balanced



exaggerate & simplify

pretend the pattern holds forever

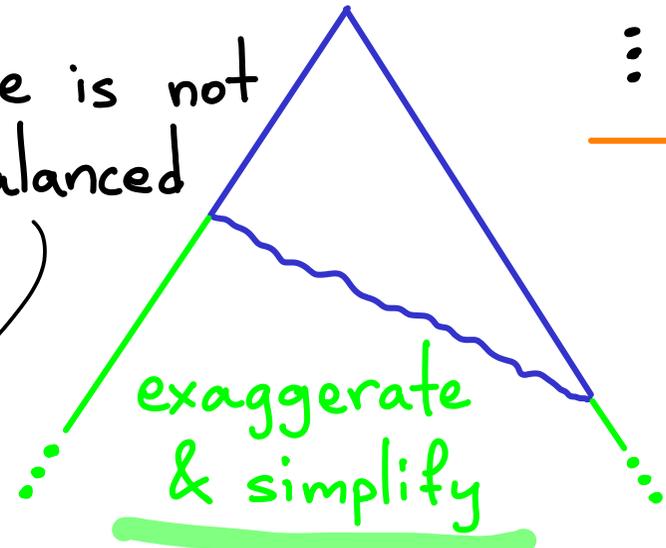
$$T(n) = T\left(\frac{n}{4}\right) + T\left(\frac{n}{2}\right) + n^2$$



$T(n) \leq$

$$n^2 \cdot \left[ 1 + \frac{5}{16} + \left(\frac{5}{16}\right)^2 + \left(\frac{5}{16}\right)^3 + \dots + \left(\frac{5}{16}\right)^\infty \right]$$

tree is not balanced



pretend the pattern holds forever



