Total positivity of Riordan arrays

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Abstract

We present sufficient conditions for total positivity of Riordan arrays. As applications we show that many well-known combinatorial triangles are totally positive and many famous combinatorial numbers are log-convex in a unified approach. *MSC*: 05A20; 15B36; 15A45

Keywords: Riordan array; Totally positive matrix; Log-convex sequence; Log-concave sequence

1 Introduction

Riordan arrays play an important unifying role in enumerative combinatorics [18]. A (proper) Riordan array, denoted by (g(x), f(x)), is an infinite lower triangular matrix whose generating function of the kth column is $x^k f^k(x)g(x)$ for k = 0, 1, 2, ..., where g(0) = 1 and $f(0) \neq 0$. A Riordan array $R = [r_{n,k}]_{n,k\geq 0}$ can also be characterized by two sequences $(a_n)_{n>0}$ and $(z_n)_{n>0}$ such that

$$r_{0,0} = 1, \quad r_{n+1,0} = \sum_{j \ge 0} z_j r_{n,j}, \quad r_{n+1,k+1} = \sum_{j \ge 0} a_j r_{n,k+j}$$
 (1.1)

for $n, k \ge 0$ (see [6, 10, 14, 20] for instance). Call $(a_n)_{n\ge 0}$ and $(z_n)_{n\ge 0}$ the A- and Z-sequences of R respectively.

Many triangles in combinatorics are Riordan arrays with simple A- and Z-sequences. For example, the Pascal triangle with Z = (1, 0, ...) and A = (1, 1, 0, ...), the Catalan triangle with Z = (2, 1, 0...) and A = (1, 2, 1, 0, ...) [17], the Motzkin triangle with Z = (1, 1, 0, ...) and A = (1, 1, 1, 0, ...) [1], the ballot table with Z = A = (1, 1, 1, ...)[2], the large Schröder triangle with Z = (2, 2, 2, ...) and A = (1, 2, 2, ...) [6], and the little Schröder triangle with Z = A = (1, 2, 2, ...) [6]. Such triangles arise often in the enumeration of lattice paths, e.g., the Dyck paths, the Motzkin paths, and the Schröder paths and so on [6, 14, 18]. The 0th column of such an array counts the corresponding lattice paths, including the Catalan numbers, the Motzkin numbers, the large and little Schröder numbers. There have been quite a few papers concerned with combinatorics of Riordan arrays (see [6, 10, 14, 16, 18, 20] for instance). Our concern in the present paper is total positivity of Riordan arrays.

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Following Karlin [11], an infinite matrix is called *totally positive of order* r (or shortly, TP_r), if its minors of all orders $\leq r$ are nonnegative. The matrix is called TP if its minors of all orders are nonnegative. Let $(a_n)_{n\geq 0}$ be an infinite sequence of nonnegative numbers. It is called a *Pólya frequency sequence of order* r (or shortly, a PF_r sequence), if its Toeplitz matrix

$$[a_{i-j}]_{i,j\geq 0} = \begin{vmatrix} a_0 & & & \\ a_1 & a_0 & & \\ a_2 & a_1 & a_0 & & \\ a_3 & a_2 & a_1 & a_0 & \\ \vdots & & \cdots & \ddots & \ddots$$

is TP_r. It is called *PF* if its Toeplitz matrix is TP. We say that a finite sequence a_0, a_1, \ldots, a_n is PF_r (PF, resp.) if the corresponding infinite sequence $a_0, a_1, \ldots, a_n, 0, \ldots$ is PF_r (PF, resp.). A fundamental result of Aissen, Schoenberg and Whitney states that a finite sequence of nonnegative numbers is PF if and only if its generating function has only real zeros (see [11, p. 399] for instance). For example, the sequence (r, s, t) of nonnegative numbers is PF if and only if $s^2 \ge 4rt$. We say that a nonnegative sequence (a_n) is *log-convex* (*log-concave*, resp.) if $a_i a_{j+1} \ge a_{i+1} a_j$ ($a_i a_{j+1} \le a_{i+1} a_j$, resp.) for $0 \le i < j$. Clearly, the sequence (a_n) is log-concave if and only if it is PF₂, i.e., its Toeplitz matrix $[a_{i-j}]_{i,j\geq 0}$ is TP₂, and the sequence is log-convex if and only if its Hankel matrix $[a_{i+j}]_{i,j\geq 0}$ is TP₂ [4].

There are often various total positivity properties in a Riordan array. For example, the Pascal matrix is TP [11, p. 137] and each row of it is log-concave (see [22] for more information), the Catalan numbers, the Motzkin numbers, the large and little Schröder numbers form a log-convex sequence respectively [13]. However, there is no systematic study of total positivity of Riordan arrays. The object of this paper is to study various positivity properties of Riordan arrays, including the total positivity of such a matrix, the log-convexity of the 0th column and the log-concavity of each row. The paper is organized as follows. In the next section, we present sufficient conditions for total positivity of Riordan arrays, we show that many well-known combinatorial triangles are totally positive and many famous combinatorial numbers are log-convex in a unified approach. In Section 3, we propose some problems for further work.

2 Main results and applications

We first present a basic result about total positivity of Riordan arrays. Let $R = [r_{n,k}]_{n,k\geq 0}$ be a Riordan array defined by the recursive system (1.1). Call

$$J(R) = \begin{bmatrix} z_0 & a_0 & & & \\ z_1 & a_1 & a_0 & & & \\ z_2 & a_2 & a_1 & a_0 & & \\ z_3 & a_3 & a_2 & a_1 & a_0 & \\ \vdots & \vdots & & \cdots & \ddots \end{bmatrix}$$

the *coefficient matrix* of the Riordan array R.

Theorem 2.1. Let R be a Riordan array defined by (1.1).

- (i) If the coefficient matrix J(R) is TP_r (TP, resp.), then so is R.
- (ii) If R is TP_2 and all $z_n \ge 0$, then the 0th column $(r_{n,0})_{n>0}$ of R is log-convex.

To prove Theorem 2.1, we need two lemmas. The first is direct by definition and the second follows from the classic Cauchy-Binet formula.

Lemma 2.2. A matrix is TP_r (*TP*, resp.) if and only if its leading principal submatrices are all TP_r (*TP*, resp.).

Lemma 2.3. If two matrices are TP_r (TP, resp.), then so is their product.

Proof of Theorem 2.1. (i) It suffices to show that J(R) is TP_r implies R is TP_r . Let

$$R_{n} = \begin{bmatrix} r_{0,0} & & \\ r_{1,0} & r_{1,1} & & \\ r_{2,0} & r_{2,1} & r_{2,2} & & \\ \vdots & & \ddots & \\ r_{n,0} & r_{n,1} & r_{n,2} & \cdots & r_{n,n} \end{bmatrix}$$

be the *n*th leading principal submatrix of R. Then by Lemma 2.2, it suffices to show that R_n is TP_r for $n \ge 1$. We proceed by induction on n. Assume that R_n is TP_r . By (1.1), we have

$$\begin{bmatrix} r_{0,0} & & \\ r_{1,0} & r_{1,1} & \\ \vdots & \ddots & \\ r_{n+1,0} & r_{n+1,1} & \cdots & r_{n+1,n+1} \end{bmatrix} = \begin{bmatrix} 1 & & \\ 0 & r_{0,0} & & \\ \vdots & \vdots & \ddots & \\ 0 & r_{n,0} & \cdots & r_{n,n} \end{bmatrix} \begin{bmatrix} 1 & & \\ z_0 & a_0 & & \\ \vdots & \vdots & \ddots & \\ z_n & a_n & \cdots & a_0 \end{bmatrix},$$

or briefly,

$$R_{n+1} = \begin{bmatrix} 1 & O \\ O & R_n \end{bmatrix} \begin{bmatrix} 1 & O \\ \zeta_n & \mathcal{A}_n \end{bmatrix}, \qquad (2.1)$$

where $\zeta_n = [z_0, z_1, \ldots, z_n]'$ and $\mathcal{A}_n = [a_{i-j}]_{0 \le i,j \le n}$. By the induction hypothesis, R_n is TP_r , so is the first matrix on the right hand side of (2.1). On the other hand, $[\zeta_n, \mathcal{A}_n]$ is TP_r since it is a submatrix of the TP_r matrix J(R), so is the second matrix on the right hand side of (2.1). It follows from Lemma 2.3 that the product R_{n+1} is TP_r . Thus the matrix R is TP_r .

(ii) Note that

$$\begin{bmatrix} r_{0,0} & r_{1,0} \\ r_{1,0} & r_{2,0} \\ r_{2,0} & r_{3,0} \\ \vdots & \vdots \end{bmatrix} = \begin{bmatrix} r_{0,0} & & & \\ r_{1,0} & r_{1,1} & & \\ r_{2,0} & r_{2,1} & r_{2,2} & & \\ \vdots & & \ddots \end{bmatrix} \begin{bmatrix} 1 & z_0 \\ 0 & z_1 \\ 0 & z_2 \\ \vdots & \vdots \end{bmatrix}.$$
(2.2)

Clearly, the second matrix on the right hand side of (2.2) is TP₂ since all z_n are nonnegative. Now R is TP₂ by the assumption. Hence the matrix on the left hand side of (2.2) is TP₂ by Lemma 2.3. In other words, the sequence $(r_{n,0})_{n\geq 0}$ is log-convex.

In the sequel we consider applications of Theorem 2.1 to two classes of special interesting Riordan arrays. The first are recursive matrices introduced by Aigner [1, 2]. Let a, b, s, t be four nonnegative numbers. Define a Riordan array $R(a, b; s, t) = [r_{n,k}]_{n,k\geq 0}$ by

$$r_{0,0} = 1$$
, $r_{n+1,0} = ar_{n,0} + br_{n,1}$, $r_{n+1,k} = r_{n,k-1} + sr_{n,k} + tr_{n,k+1}$.

Following Aigner [1, 2], the numbers $C_n(a, b; s, t) = r_{n,0}$ are called the *Catalan-like num*bers. Many well-known triangles are recursive matrices. For example, the Pascal triangle, the Catalan triangle and the Motzkin triangle are R(1, 0; 1, 0), R(2, 1; 2, 1) and R(1, 1; 1, 1)respectively. Also, the Catalan-like numbers unify many famous counting coefficients, such as the Catalan numbers $C_n(2, 1; 2, 1)$, the Motzkin numbers $C_n(1, 1; 1, 1)$, the central binomial coefficients $C_n(2, 2; 2, 1)$, and the large Schröder numbers $C_n(2, 2; 3, 2)$. See [2] for details.

Theorem 2.4. Let a, b, s, t be four nonnegative numbers.

- (i) If $as \ge b$ and $s^2 \ge t$, then the sequence $(r_{n,0})_{n\ge 0}$ is log-convex.
- (ii) If $s^2 \ge 4t$ and $a \frac{s + \sqrt{s^2 4t}}{2} \ge b$, then the matrix R(a, b; s, t) is totally positive.

Remark 2.5. From Theorem 2.4 it follows immediately that the Pascal triangle and the Catalan triangle are totally positive, and that the Catalan numbers, the Motzkin numbers, the central binomial coefficients, and the large Schröder numbers are log-convex respectively.

Remark 2.6. Let

$$H(a,b;s,t) = [r_{n+m,0}]_{n,m\geq 0} = \begin{bmatrix} r_{0,0} & r_{1,0} & r_{2,0} & \cdots \\ r_{1,0} & r_{2,0} & r_{3,0} & \cdots \\ r_{2,0} & r_{3,0} & r_{4,0} & \cdots \\ \vdots & \vdots & \vdots & \ddots \end{bmatrix}$$

be the Hankel matrix of the Catalan-like numbers $r_{n,0}$. Aigner [1, 2] computed the determinants of the leading principal submatrices of H. Aigner's Fundamental Theorem in [2] gives H = RTR', where $T = \text{diag}(1, t, t^2, t^3, ...)$. So the total positivity of R implies that of the Hankel matrix H. In particular, if $s^2 \ge 4t$ and $a\frac{s+\sqrt{s^2-4t}}{2} \ge b$, then the Hankel matrix H(a, b; s, t) is totally positive.

By Theorem 2.1, to prove Theorem 2.4, it suffices to prove that the coefficient matrix of R(a, b; s, t)

is TP_2 and TP under the conditions respectively. We do this by establishing the following stronger result.

Proposition 2.7. Let a, b, r, s, t be five nonnegative numbers and the Jacobi matrix

$$J = \begin{bmatrix} a & r & & & \\ b & s & r & & & \\ & t & s & r & & \\ & & t & s & r & \\ & & & \ddots & \ddots & \ddots & \end{bmatrix}.$$

Then

- (i) J is TP_2 if and only if $as \ge br$ and $s^2 \ge rt$.
- (ii) J is TP if and only if $s^2 \ge 4rt$ and $a\left(s + \sqrt{s^2 4rt}\right)/2 \ge br$.

Proof. (i) is obvious, and it remains to prove (ii).

Clearly, the tridiagonal matrix J is TP if and only if all its principal minors containing consecutive rows and columns are nonnegative (see, e.g., [15, Theorem 4.3]), i.e., all determinants of forms

$$d_n = \det \begin{bmatrix} s & r & & \\ t & s & r & \\ & t & s & \ddots & \\ & & \ddots & \ddots & r \\ & & & t & s \end{bmatrix}_{n \times n}$$

and

$$D_n = \det \begin{bmatrix} a & r & & & \\ b & s & r & & \\ & t & s & \ddots & \\ & & \ddots & \ddots & r \\ & & & t & s \end{bmatrix}_{(n+1) \times (n+1)}$$

are nonnegative. Note that all d_n are nonnegative if and only if the Toeplitz matrix

 $\begin{bmatrix} r & & & \\ s & r & & \\ t & s & r & \\ & t & s & r & \\ & & \ddots & \ddots & \ddots \end{bmatrix}$

is TP, i.e., the sequence (r, s, t) is PF. Hence all $d_n \ge 0$ if and only if $s^2 \ge 4rt$. We complete the proof of (ii) by showing that all $D_n \ge 0$ if and only if $(s + \sqrt{s^2 - 4rt})/2 \ge br/a$.

Note that $D_0 = a$ and $D_n = ad_n - brd_{n-1}$ by expanding the determinant along the first column, where $d_0 = 1$ and $d_1 = s$. Hence all $D_n \ge 0$ if and only if all $d_n/d_{n-1} \ge br/a$. We next show that the sequence d_n/d_{n-1} is nonincreasing and convergent to $(s+\sqrt{s^2-4rt})/2$, which means that all $d_n/d_{n-1} \ge br/a$ is equivalent to $(s+\sqrt{s^2-4rt})/2 \ge br/a$, and so all $D_n \ge 0$ if and only if $(s+\sqrt{s^2-4rt})/2 \ge br/a$.

Actually, we have by expanding the determinant along the first column

$$d_n = sd_{n-1} - rtd_{n-2}, \quad d_0 = 1, d_1 = s.$$
 (2.3)

Solving this linear recurrence relation we obtain

$$d_n = \sum_{k=0}^n \lambda^k \mu^{n-k}$$

where

$$\lambda = \frac{s + \sqrt{s^2 - 4rt}}{2}, \quad \mu = \frac{s - \sqrt{s^2 - 4rt}}{2}$$

are two roots of the characteristic equation $x^2 - sx + rt = 0$ of (2.3).

By (2.3), we have

$$\begin{bmatrix} d_n & d_{n+1} \\ d_{n-1} & d_n \end{bmatrix} = \begin{bmatrix} s & -rt \\ 1 & 0 \end{bmatrix} \begin{bmatrix} d_{n-1} & d_n \\ d_{n-2} & d_{n-1} \end{bmatrix}$$

It follows that $d_n^2 - d_{n-1}d_{n+1} = rt(d_{n-1}^2 - d_{n-2}d_n) = \cdots = (rt)^{n-1}(d_1^2 - d_0d_2) = (rt)^n \ge 0$. Thus the sequence d_n/d_{n-1} is nonincreasing, and is therefore convergent. Let α be the limit. Rewrite (2.3) as

$$\frac{d_n}{d_{n-1}} = s - \frac{rt}{d_{n-1}/d_{n-2}}.$$

Take the limit to obtain $\alpha = s - rt/\alpha$, i.e., $\alpha^2 - s\alpha + rt = 0$, so $\alpha = \lambda$ or μ . Now $d_1/d_0 = s \ge \lambda$. Assume that $d_{n-1}/d_{n-2} \ge \lambda$. Then

$$\frac{d_n}{d_{n-1}} = s - \frac{rt}{d_{n-1}/d_{n-2}} \ge s - \frac{rt}{\lambda} = \lambda.$$

Thus all $d_n/d_{n-1} \ge \lambda$. It follows that the limit $\alpha = \lambda$ since $\lambda \ge \mu$, as desired.

The second we concern about are Riordan arrays whose A- and Z-sequences are identical or nearly so. Following [6], we say that a Riordan array $R = [r_{n,k}]_{n,k\geq 0}$ is consistent if A = Z. We say that R is a quasi-consistent Riordan array if $A = (a_0, a_1, a_2, ...)$ and $Z = (a_1, a_2, ...)$. In this case, we have

$$r_{n+1,k} = a_0 r_{n,k-1} + a_1 r_{n,k} + a_2 r_{n,k+1} + \cdots$$

for all $n, k \ge 0$, where $r_{n,j} = 0$ unless $0 \le j \le n$. For example, the little Schröder triangle is consistent, the Pascal triangle, the Catalan triangle, the Motzkin triangle and the large Schröder triangle are quasi-consistent, and the ballot table is both consistent and quasi-consistent. The following theorem gives a unified settle for the total positivity of these well-known triangles.

Theorem 2.8. Let R be a consistent or quasi-consistent Riordan array. Suppose that the A-sequence of R is PF_r (PF, resp.). Then R is TP_r (TP, resp.). In particular, if the A-sequence of R is log-concave, then the 0th column $(r_{n,0})_{n\geq 0}$ of R is log-convex, and each row $(r_{n,k})_{0\leq k\leq n}$ of R is log-concave.

Proof. For a consistent or quasi-consistent Riordan array R, its coefficient matrix is

$$J(R) = \begin{bmatrix} a_0 & a_0 & & & \\ a_1 & a_1 & a_0 & & \\ a_2 & a_2 & a_1 & a_0 & \\ \vdots & \vdots & & \ddots \end{bmatrix} \text{ or } \begin{bmatrix} a_1 & a_0 & & & \\ a_2 & a_1 & a_0 & & \\ a_3 & a_2 & a_1 & a_0 & \\ \vdots & \vdots & & \ddots \end{bmatrix}$$

respectively. Clearly, J(R) is TP_r if and only if the Toeplitz matrix $[a_{i-j}]_{i,j\geq 0}$ of the sequence $(a_n)_{n\geq 0}$ is TP_r , or equivalently, the sequence $(a_n)_{n\geq 0}$ is PF_r . Thus it follows from Theorem 2.1 (i) that the Riordan array R is TP_r (resp., TP) if its A-sequence is PF_r (resp. PF).

In particular, if $(a_n)_{n\geq 0}$ is PF₂, then R is TP₂. It follows from Theorem 2.1 (ii) that the sequence $(r_{n,0})_{n\geq 0}$ is log-convex. In what follows we show that each row of R is logconcave by induction. Denote $s_i = r_{n,i}$ for $0 \leq i \leq n$ and $t_j = r_{n+1,j}$ for $0 \leq j \leq n+1$. We distinguish two cases.

First consider the case that R is a consistent Riordan array. In this case, $t_0 = t_1$ and

$$t_k - t_{k+1} = a_0(s_{k-1} - s_k) + \dots + a_{n-k}(s_{n-1} - s_n) + a_{n-k+1}s_n$$

for $1 \le k \le n$. It follows that each row of R is nonincreasing by induction. On the other hand,

$$\begin{bmatrix} t_{n+1} & & & \\ t_n & t_{n+1} & & \\ \vdots & \vdots & \ddots & \\ t_1 & t_2 & \cdots & t_{n+1} \end{bmatrix} = \begin{bmatrix} s_n & & & \\ s_{n-1} & s_n & & \\ \vdots & \vdots & \ddots & \\ s_0 & s_1 & \cdots & s_n \end{bmatrix} \begin{bmatrix} a_0 & & & \\ a_1 & a_0 & & \\ \vdots & \vdots & \ddots & \\ a_n & a_{n-1} & \cdots & a_0 \end{bmatrix} .$$
(2.4)

Suppose that the sequence $(a_n)_{n\geq 0}$ is log-concave. Then its Toeplitz matrix $\mathcal{A} = [a_{i-j}]_{i,j\geq 0}$ is TP₂, and so are the leading principal submatrices of \mathcal{A} . Thus the second matrix on the right hand side of (2.4) is TP₂. If the *n*th row s_0, s_1, \ldots, s_n of R is log-concave, then so is the reverse sequence s_n, \ldots, s_1, s_0 , which implies that the first matrix on the right hand side of (2.4) is TP₂. Thus the matrix on the left hand side of (2.4) is TP₂ by Lemma 2.3, or equivalently, the sequence $t_{n+1}, t_n, \ldots, t_1$ is log-concave, and so is the reverse sequence $t_1, \ldots, t_n, t_{n+1}$. Note that $t_0 = t_1 \geq t_2$. Hence the sequence $t_0, t_1, t_2, \ldots, t_{n+1}$ is also log-concave. Thus each row of R is log-concave by induction.

Next let R be a quasi-consistent Riordan array. Then

$$\begin{bmatrix} t_{n+1} & & & \\ t_n & t_{n+1} & & \\ \vdots & \vdots & \ddots & \\ t_0 & t_1 & \cdots & t_{n+1} \end{bmatrix} = \begin{bmatrix} s_n & & & & \\ s_{n-1} & s_n & & & \\ \vdots & \vdots & \ddots & & \\ s_0 & s_1 & \cdots & s_n & \\ 0 & s_0 & \cdots & s_{n-1} & s_n \end{bmatrix} \begin{bmatrix} a_0 & & & \\ a_1 & a_0 & & \\ \vdots & \vdots & \ddots & \\ a_{n+1} & a_n & \cdots & a_0 \end{bmatrix}.$$

Assume that the sequence s_0, s_1, \ldots, s_n is log-concave. Then the first matrix on the right hand side is TP₂. It follows that the matrix on the left hand side is TP₂. In other words, the sequence $t_0, t_1, \ldots, t_n, t_{n+1}$ is log-concave. Thus each row of R is log-concave by induction. This completes the proof.

3 Further work

It is known that sequences of binomial coefficients located in a ray or a transversal of the Pascal triangle have various positivity properties (see [22, 25] for instance). Similar problems naturally arise in a Riordan array. For example, in which case each row of such a Riordan array is PF, the corresponding linear transformation can preserve the PF property (the log-concavity, the log-convexity, resp.), and each column of the array is first log-concave and then log-convex?

Aigner [2] gave combinatorial interpretations for recursive matrices in terms of weighted Motzkin paths. Cheon *et al.* [6] provided combinatorial interpretations for consistent Riordan arrays in terms of weighted Łukasiewicz paths. It is not difficult to give a similar combinatorial interpretation for a quasi-consistent Riordan array. Brenti [5] gave combinatorial proofs of total positivity of many well-known matrices by means of lattice path techniques. It is natural to ask for combinatorial proofs of Theorems 2.4 and 2.8.

Acknowledgement

This work was supported in part by the National Natural Science Foundation of China (Grant Nos. 11071030, 11371078) and the Specialized Research Fund for the Doctoral Program of Higher Education of China (Grant No. 20110041110039).

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