

Sorting suffixes of a text via its Lyndon Factorization

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PSC 2013

The sorting of the suffixes

Our goal

The goal is to introduce a new strategy for sorting the suffixes of a word w .

- The process of sorting the suffixes of a word plays a fundamental role in *Text Algorithms* with several applications in many areas of Computer Science and Bioinformatics.
- For instance, it is a fundamental step, in implicit or explicit way, for the construction of
 - the Suffix Array (*SA*): the array containing the starting positions of the suffixes of a word, sorted in lexicographic order;
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Sorting suffixes by Lyndon factorization

Our idea

Our strategy uses the *Lyndon factorization* and is based on a combinatorial property that allows to sort the suffixes of w (“**global suffixes**”) by using the sorting of the suffixes inside blocks of consecutive Lyndon factors of the decomposition (“**local suffixes**”).

Lyndon Words

- Two words $u, v \in \Sigma^*$ are **conjugate**, if $u = xy$ and $v = yx$ for some $x, y \in \Sigma^*$. Thus conjugate words are just cyclic shifts of one another.
- A word $w \in \Sigma^+$ is **primitive** if $w = u^h$ implies $w = u$ and $h = 1$.

Definition

A **Lyndon word** is a (primitive) word that is smaller in lexicographic order than all of its conjugates.

Example

- $w = \textit{mathematics}$ is not a Lyndon word;
- $w = \textit{athematicism}$ is a Lyndon word.

There exist linear algorithms for the computation of the Lyndon word of a given word [Duval, 1983].

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Lyndon Factorization

Theorem (*Chen, Fox and Lyndon: 1958*)

Every word $w \in \Sigma^+$ has a **unique factorization** $w = L_1 \cdots L_k$ such that

$$L_1 \geq \cdots \geq L_k$$

is a non-increasing sequence of Lyndon words.

Let $w = abaaaabaaaaabaaaaab$. The Lyndon factorization of w is

$$ab|aaaab|aaaaabaaaab|aaaaab$$

Note that each L_i is **strictly less** than any of its proper conjugates/suffixes.

The Lyndon factorization of a given word can be computed

- in linear time [*Duval, 1983*];
- in parallel way [*Apostolico and Crochemore, 1989*] and [*Daykin, Iliopoulos and Smyth, 1994*];
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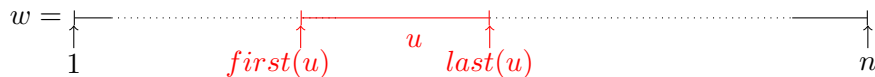
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Local and Global suffixes

For each factor u of w , we denote by $first(u)$ and $last(u)$ the position of the first and the last symbol, respectively, of the factor u in w .

We denote by

- $suf_u(i) = w[i, last(u)]$ and we call it *local suffix* at the position i with respect to u .
- $suf(i) = w[i, n]$ and we call it *global suffix* of w at the position i .

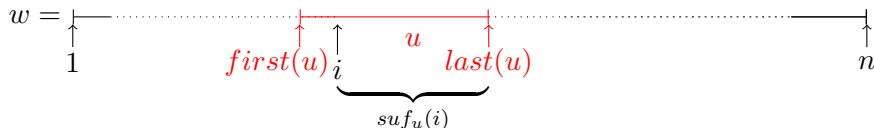


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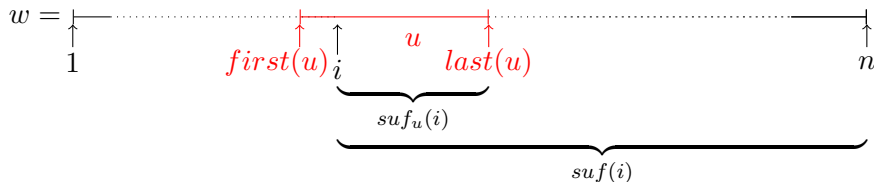


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Compatible sorting

Definition

Let w be a word and let u be a factor of w . We say that the sorting of the *local* suffixes with respect to u is *compatible* with the sorting of the *global* suffixes of w if for all i, j with $first(u) \leq i < j \leq last(u)$,

$$suf_u(i) < suf_u(j) \iff suf(i) < suf(j).$$

In general, taken an arbitrary factor of a word w , the sorting of its suffixes is *not compatible* with the sorting of the suffixes of w , as the following example shows.

Example

Consider the word $w = abababb$ and its factor $u = ababa$.

Then $suf_u(1) = ababa > a = suf_u(5)$

whereas $suf(1) = abababb < abb = suf(5)$.

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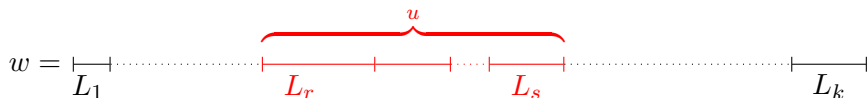
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Our result

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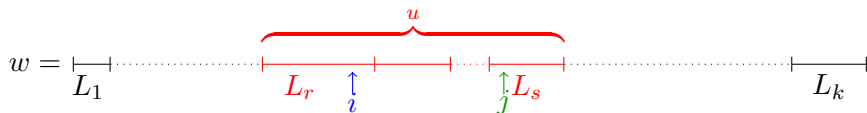
Let $w \in \Sigma^*$ and let $w = L_1 L_2 \cdots L_k$ be its Lyndon factorization. For each factor $u = L_r L_{r+1} \cdots L_s$, the sorting of the *local* suffixes with respect to u is *compatible* with the sorting of the *global* suffixes of w .



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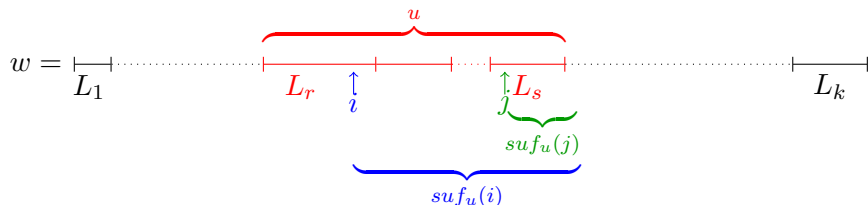
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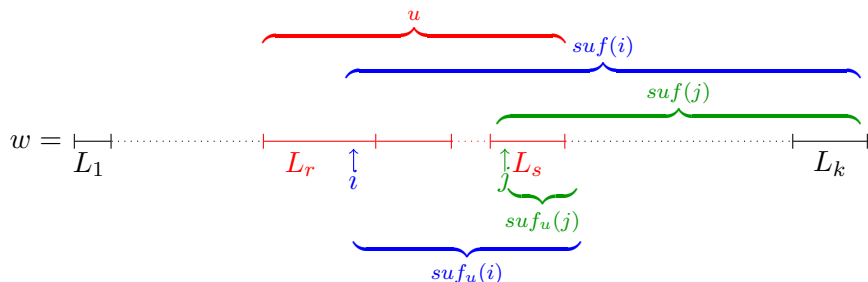
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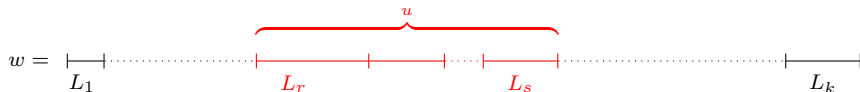


Easy case

The theorem is trivially true when the two suffixes start with two different Lyndon factors.

Suppose that

- i is the position of the first symbol of L_r
- j is the position of the first symbol of L_s
- u is the smallest factor containing both L_r and L_s : $L_r L_{r+1} \cdots L_s$.



Since $r < s$ and $L_1 \geq \dots \geq L_r \geq \dots \geq L_s \geq \dots \geq L_k$. It is easy to verify that

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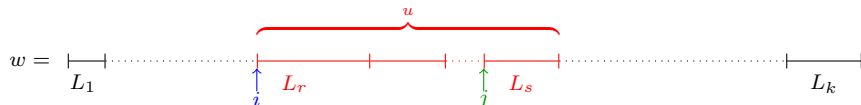
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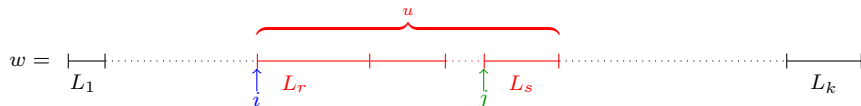
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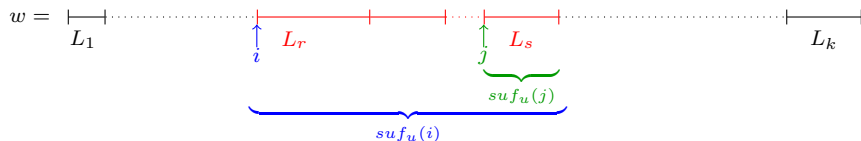
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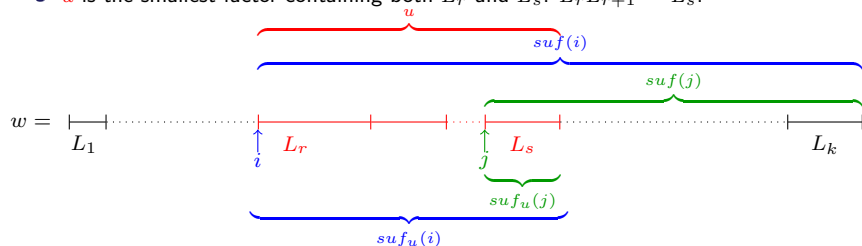
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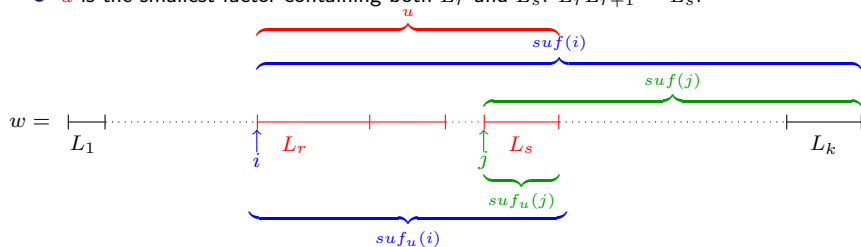
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Other cases

The theorem is true when the two suffixes of w start inside the same factor u of consecutive Lyndon words.

Suppose that

- i is a position inside L_r ;
- j is a position inside L_s ;
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$$suf(i) = \underbrace{L_r[i, \text{last}(L_r)] \mid L_{r+1} \mid \cdots \mid L_s}_{suf_u(i)} \mid \cdots \mid L_k$$

$$suf(j) = \underbrace{L_s[j, \text{last}(L_s)] \mid L_{s+1} \mid \cdots \mid L_k}_{suf_u(j)}$$

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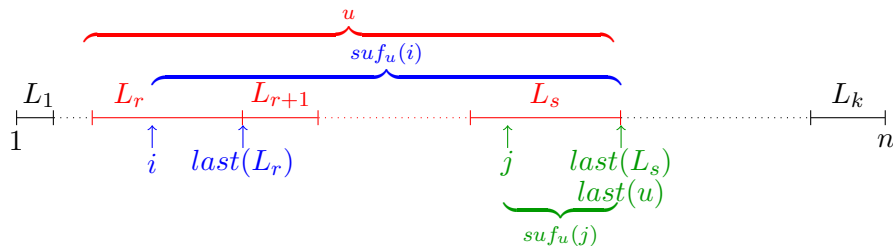
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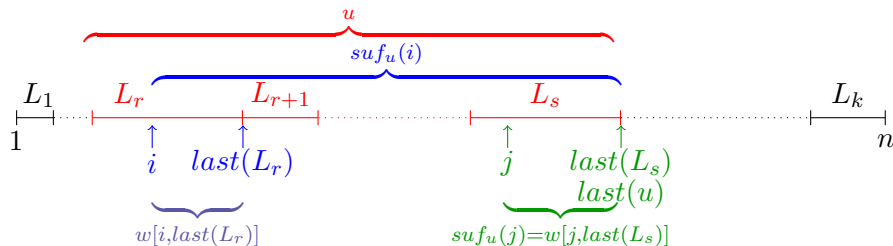
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Possible cases:

- There is a different symbol inside $w[i, last(L_r)]$ and $w[j, last(L_s)]$.
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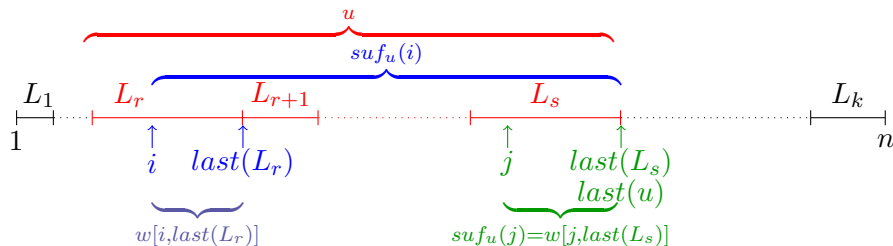
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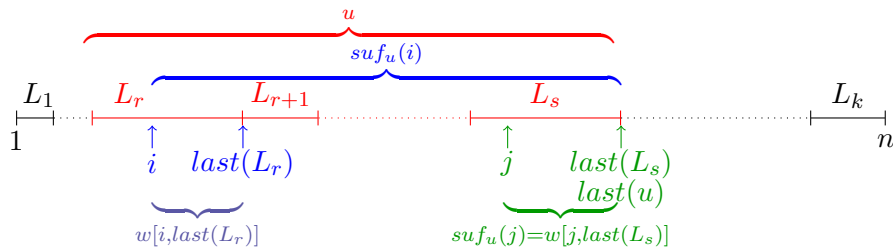
How many symbol comparisons?



Possible cases:

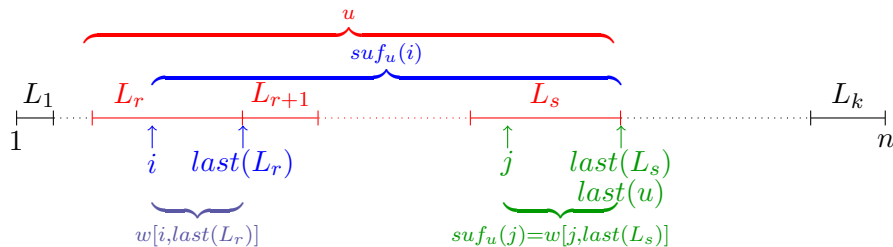
- There is a different symbol inside $w[i, \text{last}(L_r)]$ and $w[j, \text{last}(L_s)]$.
- There is not a different symbol inside $w[i, \text{last}(L_r)]$ and $w[j, \text{last}(L_s)]$:
 - $w[i, \text{last}(L_r)] = w[j, \text{last}(L_s)]$;
 - $w[j, \text{last}(L_s)]$ is a prefix of $w[i, \text{last}(L_r)]$;
 - $w[i, \text{last}(L_r)]$ is a prefix of $w[j, \text{last}(L_s)]$.

First case



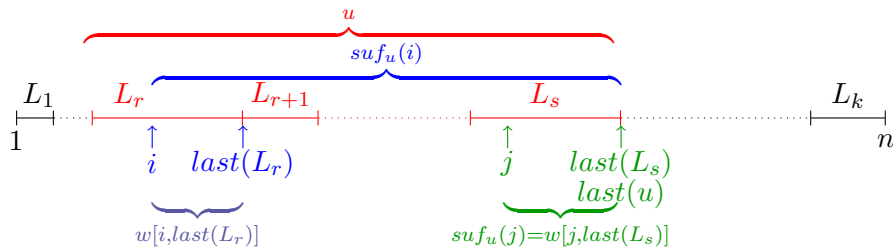
- There is a different symbol inside $w[i, \text{last}(L_r)]$ and $w[j, \text{last}(L_s)]$.
- It is easy to verify that the order relation between the local and the global suffixes is the same!
- We need $\text{lcp}(i, j) + 1 \leq \min(|w[i, \text{last}(L_r)]|, |w[j, \text{last}(L_s)]|)$ symbol comparisons, where $\text{lcp}(i, j)$ denotes the length of the longest common prefix between the suffixes $w[i, n]$ and $w[j, n]$.

First case



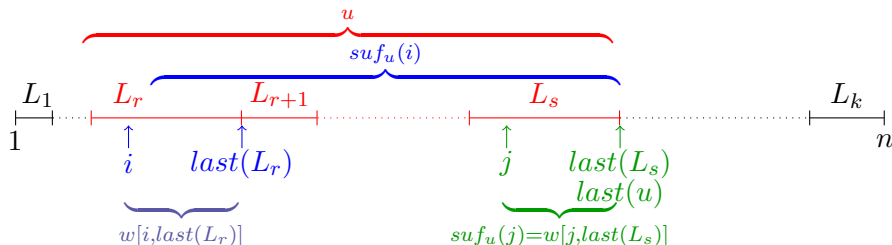
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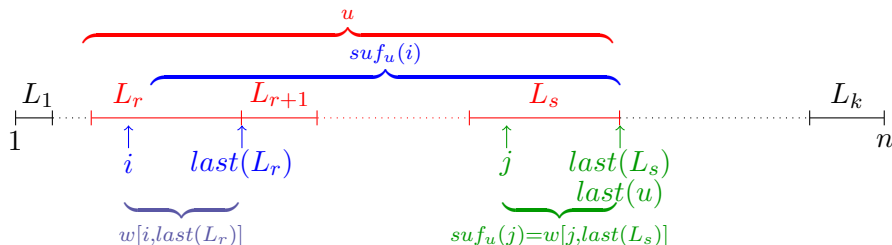
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Second case: $w[i, \text{last}(L_r)] = w[j, \text{last}(L_s)]$



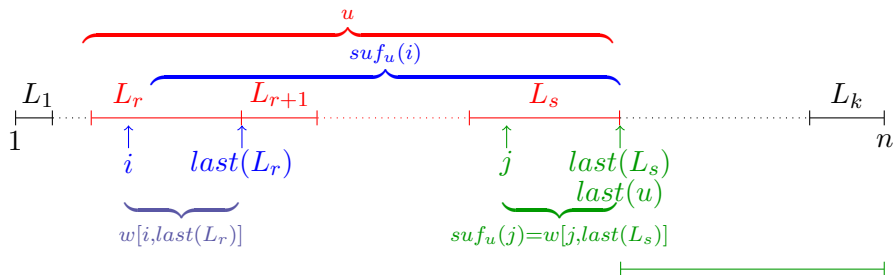
- Since $r < s$ and $L_1 \geq \dots \geq L_r \geq \dots \geq L_s \geq \dots \geq L_k$. It is **easy** to verify that the order relation between the local and the global suffixes is the same! So we don't need to compare further symbols.
- We need $l(j) = |w[j, \text{last}(L_s)]| = |w[i, \text{last}(L_r)]|$ symbol comparisons.

Second case: $w[i, \text{last}(L_r)] = w[j, \text{last}(L_s)]$



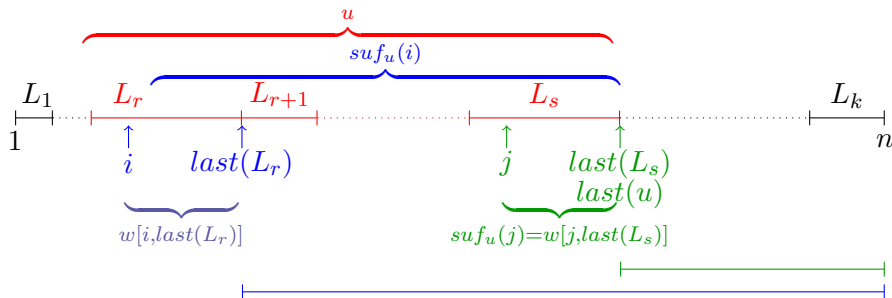
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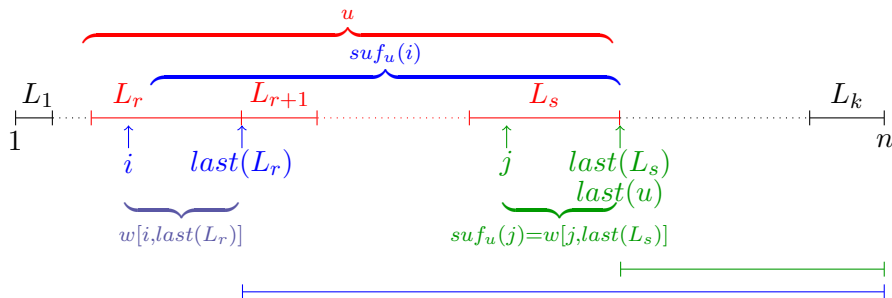
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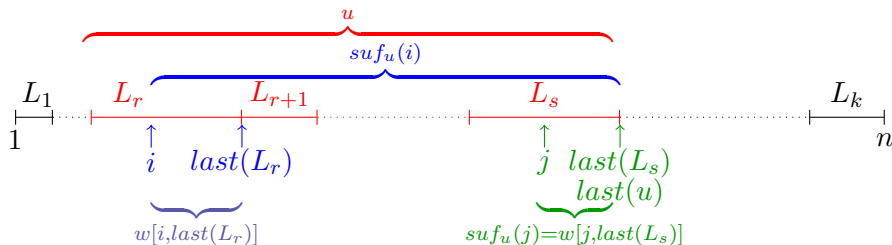
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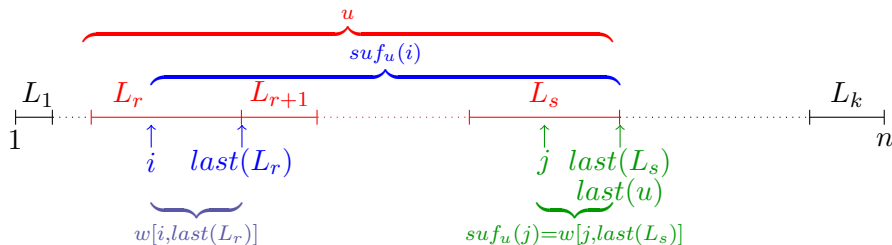
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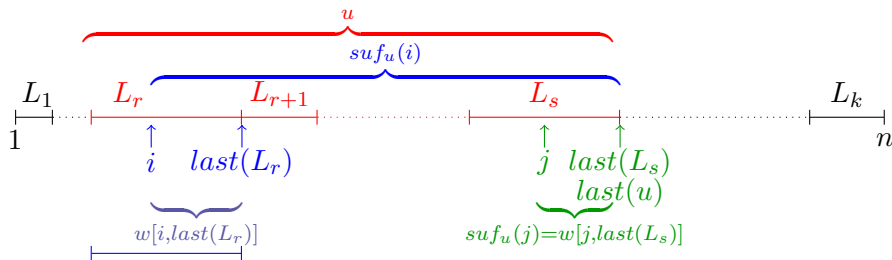
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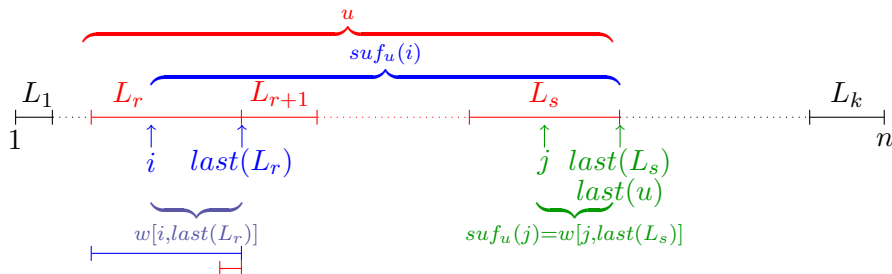
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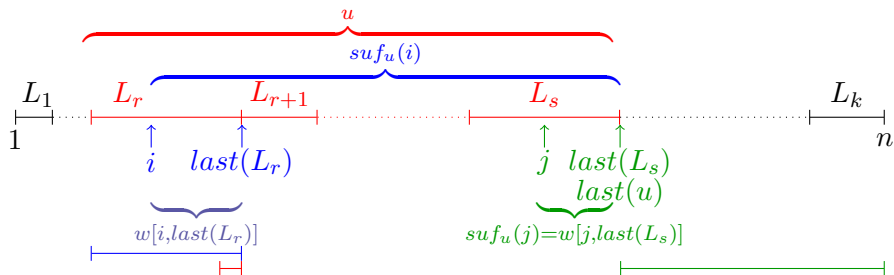
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- We need $I(j) = |w[j, \text{last}(L_s)]|$ symbol comparisons.

Second case: $w[j, \text{last}(L_s)]$ is a prefix of $w[i, \text{last}(L_r)]$



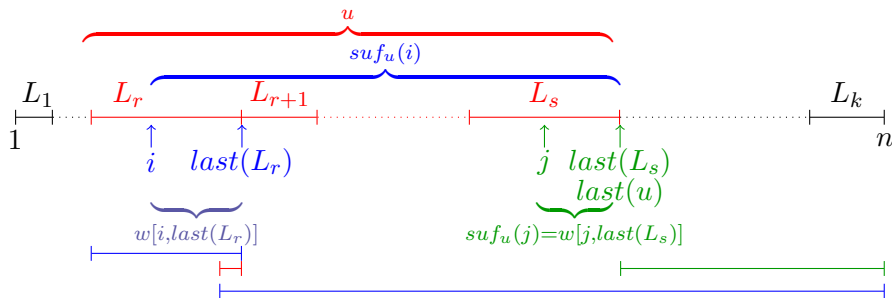
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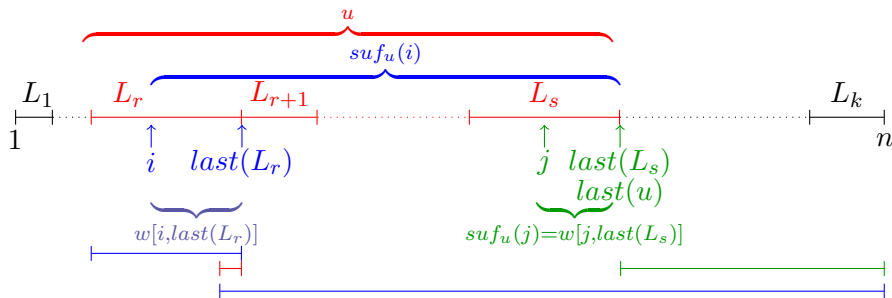
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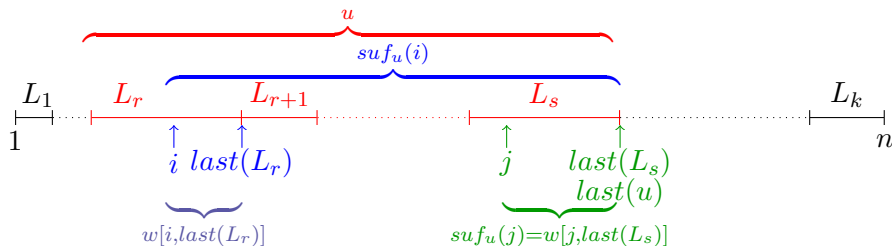
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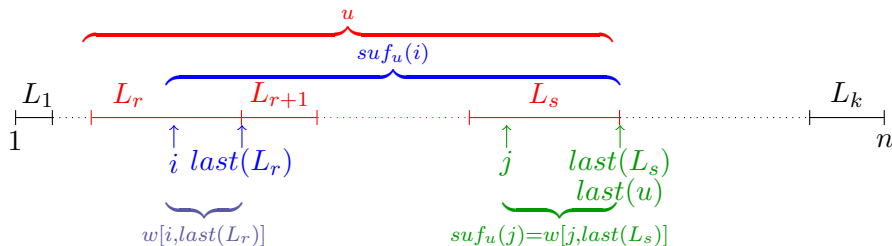
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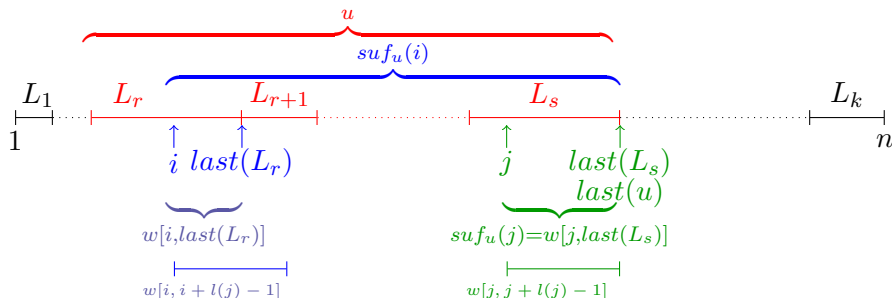
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 - There is a mismatch, then we need $lcp(i, j) + 1 \leq l(j)$ symbol comparisons.
 - There is not a mismatch, then we use the same argument as in the first case.

Second case: $w[i, \text{last}(L_r)]$ is a prefix of $w[j, \text{last}(L_s)]$



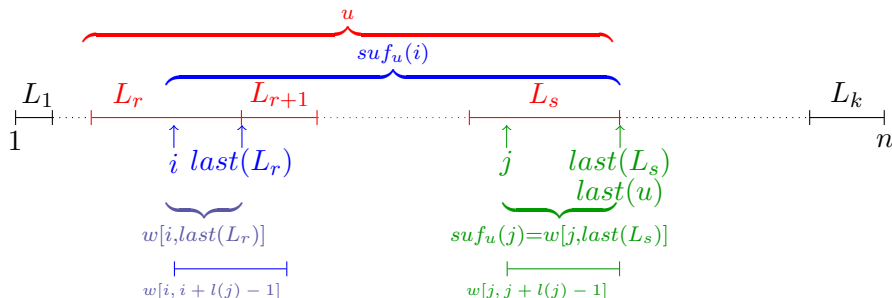
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- Consider $w[i, i + l(j) - 1]$ and $w[j, j + l(j) - 1] = \text{suf}_u(j)$.
 - There is a mismatch, then we need $\text{lep}(i, j) + 1 \leq l(j)$ symbol comparisons.
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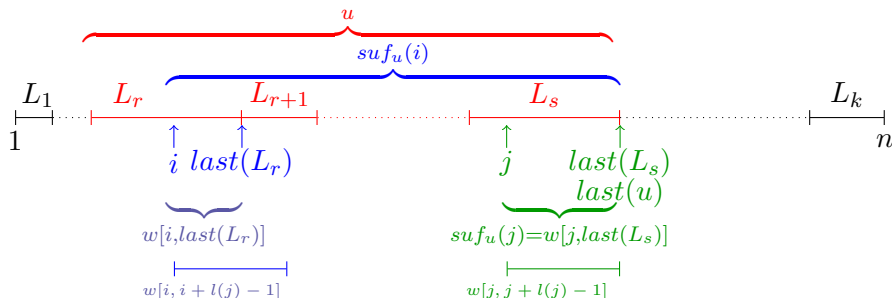
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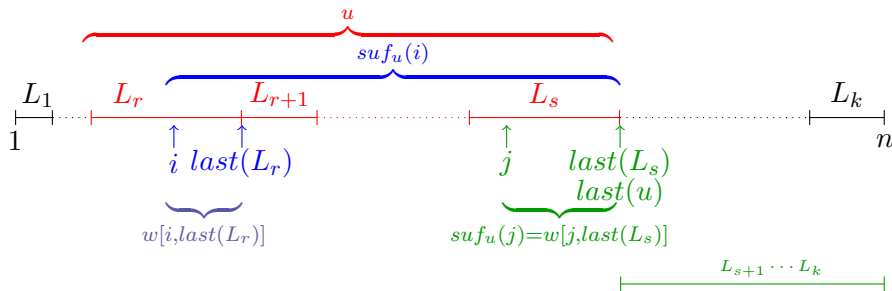
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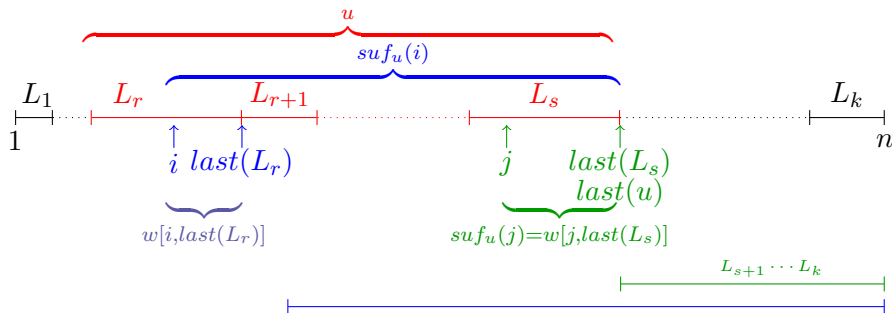
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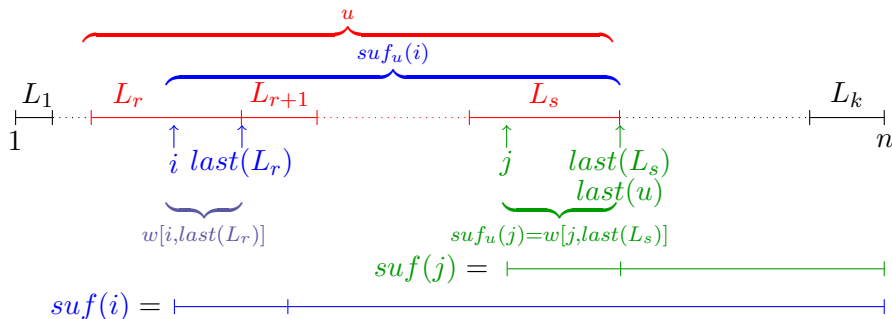
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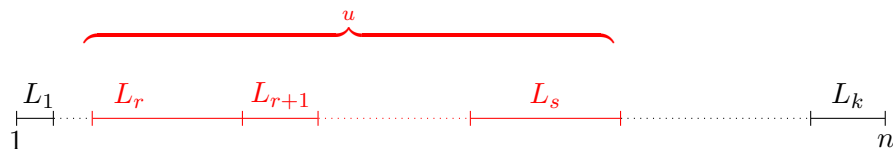
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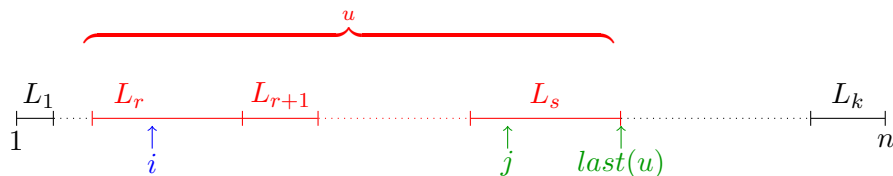
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How many symbol comparisons?



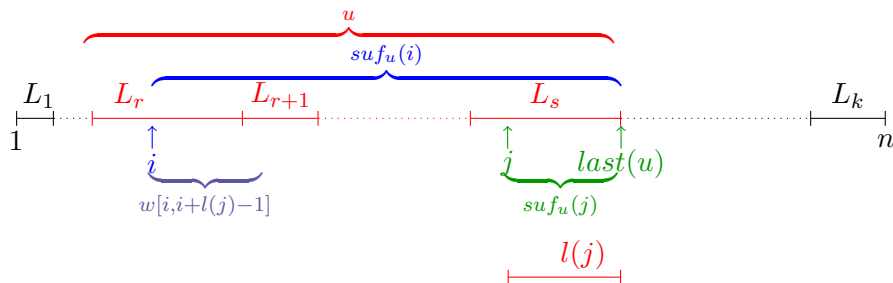
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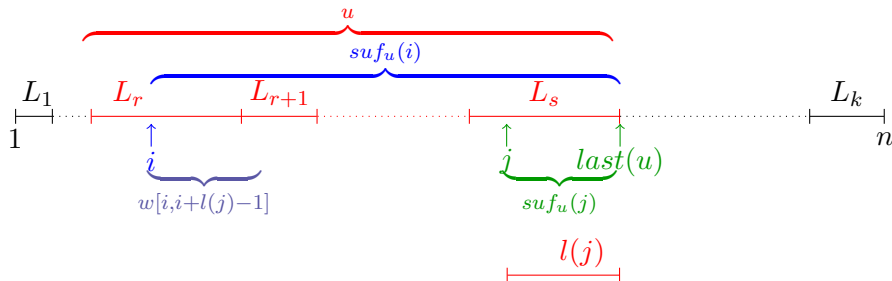
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Example

Let $w = abaaaabaaaaabaaaabaaaaab$. Its Lyndon factorization is $ab|aaaab|aaaaabaaaab|aaaaab$. Let $u = ab|aaaab|aaaaabaaaab|$.

$i = 2$		$j = 13$	
↓		↓	
1 2	3 4 5 6 7	8 9 10 11 12 13	14 15 16 17 18
19 20 21 22 23 24 25			
$w = a \mathbf{b} a a a a b a a a a a \mathbf{b} a a a a b a a a a a a a b $			

Consider the following suffixes:

2					
↓					
$suf(2) =$	$b a a a a b$	a	$a a a a b$	a	$a a a b a a a a a b$
$suf(13) =$	$b a a a a b$	a	$a a a a a$	b	
	↑				
	13				

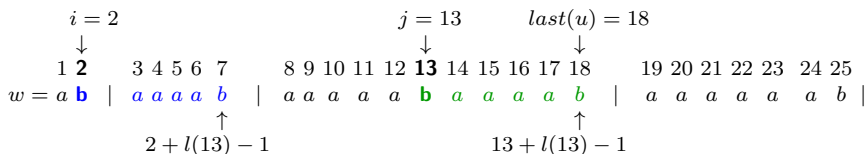
We have $lcp(2, 13) = 11$ and $l(13) = 6$.

We need only 6 symbol comparisons, indeed for Lyndon properties

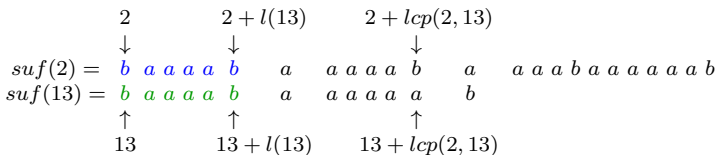
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Our strategy for sorting all suffixes

Let $w = L_1L_2 \cdots L_lL_{l+1} \cdots L_k$. We propose an algorithm that is based on the following

Proposition

Let $\text{sort}(L_1L_2 \cdots L_l)$ and $\text{sort}(L_{l+1}L_{l+2} \cdots L_k)$ denote the sorted lists of the suffixes of $L_1L_2 \cdots L_l$ and the suffixes $L_{l+1}L_{l+2} \cdots L_k$, respectively.

Then

$$\text{sort}(L_1L_2 \cdots L_k) = \text{merge}(\text{sort}(L_1L_2 \cdots L_l), \text{sort}(L_{l+1}L_{l+2} \cdots L_k)).$$

- The sorted list of the global suffixes of w can be obtained by merging the sorted lists of the local suffixes inside $L_1L_2 \cdots L_l$ and $L_{l+1}L_{l+2} \cdots L_k$.
- Note that the mutual order of the local suffixes is preserved after the merge operation.

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Our algorithm

This proposition suggests a possible strategy for sorting the list of the suffixes of some word w :

- find the Lyndon decomposition of w : $L_1L_2 \cdots L_k$;
- find the sorted list of the suffixes of L_1 and, separately, the sorted list of the suffixes of L_2 ;
- merge the sorted lists in order to obtain the sorted list of the suffixes of L_1L_2 ;
- find the sorted list of the suffixes of L_3 and merge it to the previous sorted list;
- repeat until all the Lyndon factors are processed;

One can use this strategy for computing the suffix array and for constructing the Burrows-Wheeler Transform.

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Compute the BWT and the SA

- the **Suffix Array** (*SA*): the array containing the starting positions of the suffixes of a word, sorted in lexicographic order;
- the **Burrows-Wheeler Transform** (*BWT*): the array containing a permutation of the symbols of a word according to the sorting of its suffixes.

Let $w = aabcabbaabaabdabbaaabbdc$. Its Lyndon factorization is $aabcabb|aabaabdabb|aaabbdc$.

$$w\$ = \overbrace{\quad}^{L_1 = aabcabb} \overbrace{\quad}^{L_2 = aabaabdabb} \overbrace{\quad}^{L_3 = aaabbdc} \overbrace{\quad}^{L_4 = \$}$$

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Let $w = abcabbaabaabdabbaaabbdc$. Its Lyndon factorization is $abcabb|aabaabdabb|aaabbdc$.

$$w\$ = \underbrace{\quad L_1 = abcabb \quad}_{\text{blue}} \underbrace{\quad L_2 = aabaabdabb \quad}_{\text{red}} \underbrace{\quad L_3 = aaabbdc \quad}_{\text{blue}} \underbrace{\quad L_4 = \$ \quad}_{\text{black}}$$

Consider: $L_1\$ = abcabb\$$

$$\underbrace{\quad abcabb \quad}_{\text{blue}} \underbrace{\quad \$ \quad}_{\text{black}}$$

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Let $w = abcabbaabaabdabbaaabbdc$. Its Lyndon factorization is $abcabb|aabaabdabb|aaabbdc$.

$$w\$ = \underbrace{\quad L_1 = abcabb \quad}_{} \underbrace{\quad L_2 = aabaabdabb \quad}_{} \underbrace{\quad L_3 = aaabbdc \quad}_{} \underbrace{\quad L_4 = \$ \quad}_{} |$$

Consider: $L_1\$ = abcabb\$$

Compute the $BWT(L_1\$)$ and $SA(L_1\$)$:

	$L_1\$$		
	SA	BWT	Sorted Suffixes
	8	\underline{b}	$\$$
	1	$\$$	$abcabb\$$
	5	c	$abb\$$
	2	a	$abcabb\$$
	7	b	$b\$$
	6	a	$bb\$$
	3	a	$bcabb\$$
	4	b	$cabb\$$

Compute the BWT and the SA

$w = \underbrace{L_1 = aabcabb}_{\text{black}} \mid \underbrace{L_2 = aabaabdabb}_{\text{red}} \mid \underbrace{L_3 = aaabbdc}_{\text{black}}$
 $\underbrace{L_1\$ = aabcabb\$}_{\text{black}}$

			$L_1\$$
SA	BWT	Sorted Suffixes	
8	\underline{b}	\$	
1	\$	aabcabb\$	
5	c	abb\$	
2	a	abcabb\$	
7	b	b\$	
6	a	bb\$	
3	a	bcabb\$	
4	b	cabb\$	

Compute the BWT and the SA

$$w = \underbrace{L_1 = abcabb}_{\text{black}} \mid \underbrace{L_2 = aabaabdabb}_{\text{red}} \mid \underbrace{L_3 = aaabbbdc}_{\text{black}}$$

$$\underbrace{L_1\$ = abcabb\$}_{\text{black}}$$

Consider: $\underbrace{L_2\$ = aabaabdabb\$}_{\text{red}}$

Note that $|L_1| = j_1 = 7$. Compute the $BWT(L_2\$)$ and $SA(L_2\$)$.

$L_1\$$			$L_2\$$		
SA	BWT	Sorted Suffixes	SA	BWT	Sorted Suffixes
8	b	$\$$	$11 + 7 = 18$	b	$\$$
1	$\$$	$abcabb\$$	$1 + 7 = 8$	$\$$	<u>$aabaabdabb\\$</u>
5	c	$abb\$$	$4 + 7 = 11$	b	$aabdabb\$$
2	a	$abcabb\$$	$2 + 7 = 9$	a	$abaabdabb\$$
7	b	$b\$$	$8 + 7 = 15$	d	$abb\$$
6	a	$bb\$$	$5 + 7 = 12$	a	$abdabb\$$
3	a	$bcabb\$$	$10 + 7 = 17$	b	$b\$$
4	b	$cabb\$$	$3 + 7 = 10$	a	$baabdabb\$$
			$9 + 7 = 16$	a	$bb\$$
			$6 + 7 = 13$	a	$bdabb\$$
			$7 + 7 = 14$	b	$dabb\$$

Compute the BWT and the SA

	$L_1\$$	
SA	BWT	Sorted Suffixes
8	\underline{b}	$\$$
1	$\$$	$aabcabb\$$
5	c	$abb\$$
2	a	$abcabb\$$
7	b	$b\$$
6	a	$bb\$$
3	a	$bcabb\$$
4	b	$cabb\$$

	$L_2\$$	
G SA	BWT	Sorted Suffixes
0 11 + 7 = 18	b	$\$$
0 1 + 7 = 8	$\$$	$\underline{aabaabdabb\$}$
2 4 + 7 = 11	b	$aabdabb\$$
2 2 + 7 = 9	a	$abaabdabb\$$
2 8 + 7 = 15	d	$abb\$$
4 5 + 7 = 12	a	$abdabb\$$
4 10 + 7 = 17	b	$b\$$
5 3 + 7 = 10	a	$baabdabb\$$
5 9 + 7 = 16	a	$bb\$$
7 6 + 7 = 13	a	$bdabb\$$
8 7 + 7 = 14	b	$dabb\$$

merge
⇒

	$L_1L_2\$$	
SA	BWT	Sorted Suffixes
18	b	$\$$
<u>8</u>	\underline{b}	$\underline{aabaabdabb\$}$
1	$\$$	$aabcabbaabaabdabb\$$
11	b	$aabdabb\$$
9	a	$abaabdabb\$$
15	d	$abb\$$
5	c	$abbaabaabdabb\$$
2	a	$abcabbaabaabdabb\$$
12	a	$abdabb\$$
17	b	$b\$$
7	b	$baabaabdabb\$$
10	a	$baabdabb\$$
16	a	$bb\$$
6	a	$bbaabaabdabb\$$
3	a	$bcabbaabaabdabb\$$
13	a	$bdabb\$$
4	b	$cabbaabaabdabb\$$
14	b	$dabb\$$

Compute the BWT and the SA

$$w = \underbrace{L_1 = abcabb}_{\text{black}} \underbrace{L_2 = aabaabdabb}_{\text{red}} \underbrace{L_3 = aaabbdcb}_{\text{blue}}$$

$$\underbrace{L_1 L_2 \$ = abcabbaabaabdabb\$}_{\text{black}}$$

By merging the sorted list of the suffixes of $L_1 L_2 \$$ and of $L_3 \$$, we obtain the SA/BWT of $w \$ = L_1 L_2 L_3 \$$.

Compute the BWT and the SA

$$w = \underbrace{L_1 = abcabb}_{\text{black}} \underbrace{L_2 = aabaabdabb}_{\text{red}} \underbrace{L_3 = aaabbdcc}_{\text{blue}}$$

$$\underbrace{L_1 L_2 \$ = abcabbaabaabdabb\$}_{\text{black}}$$

Consider: $\underbrace{L_3 \$ = aaabbdcc\$}_{\text{blue}}$

Compute the $BWT(L_3 \$)$ and $SA(L_3 \$)$.

	$L_3 \$$	
SA	BWT	Sorted Suffixes
$17 + 8 = 25$	c	$\$$
$17 + 1 = 18$	$\$$	$aaabbdcc\$$
$17 + 2 = 19$	a	$aabbdcc\$$
$17 + 3 = 20$	a	$abbdcc\$$
$17 + 4 = 21$	a	$bbdcc\$$
$17 + 5 = 22$	b	$bdcc\$$
$17 + 7 = 24$	d	$cc\$$
$17 + 6 = 23$	b	$dcc\$$

By merging the sorted list of the suffixes of $L_1 L_2 \$$ and of $L_3 \$$, we obtain the SA/BWT of $w \$ = L_1 L_2 L_3 \$$.

Compute the BWT and the SA

$$w = \underbrace{L_1 = abcabb}_{\text{black}} \underbrace{L_2 = aabaabdabb}_{\text{red}} \underbrace{L_3 = aaabbdcc}_{\text{blue}}$$

$$\underbrace{L_1 L_2 \$ = abcabbaabaabdabb\$}_{\text{black}}$$

Consider: $\underbrace{L_3 \$ = aaabbdcc\$}_{\text{blue}}$

Compute the $BWT(L_3 \$)$ and $SA(L_3 \$)$.

	$L_3 \$$	
SA	BWT	Sorted Suffixes
$17 + 8 = 25$	c	$\$$
$17 + 1 = 18$	$\$$	$aaabbdcc\$$
$17 + 2 = 19$	a	$aabbdcc\$$
$17 + 3 = 20$	a	$abbdcc\$$
$17 + 4 = 21$	a	$bbdcc\$$
$17 + 5 = 22$	b	$bdcc\$$
$17 + 7 = 24$	d	$cc\$$
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By merging the sorted list of the suffixes of $L_1 L_2 \$$ and of $L_3 \$$, we obtain the SA/BWT of $w \$ = L_1 L_2 L_3 \$$.

Further work: Parallel sorting

- The word could be partitioned into several sequences of consecutive blocks of Lyndon words, and the sorting algorithm can be applied *in parallel* to each of those sequences. Then one should merge the sorted lists.
- Furthermore, also the Lyndon factorization can be performed in parallel, as shown in [*Apostolico and Crochemore, 1989*] and [*Daykin, Iliopoulos and Smyth, 1994*].

Further work

One can **compute the BWT without the SA** by using our strategy and the strategies already used in the following papers:

- *Hon, Lam, Sadakane, Sung and Yiu*, 2007;
- *Ferragina, Gagie and Manzini*, 2010 and 2012;
- *Bauer, Cox and R.*, 2011 and 2013;
- *Crochemore, Grossi, Kärkkäinen and Landau*, 2013.

In this way, one could obtain algorithms that work:

- in external memory;
- in place.

One could use efficient dynamic data structures for the rank and insert operations, for instance by using Navarro and Nekrich's recent results on optimal representations of dynamic sequences.

Further work: linear algorithm

Does there exist a linear algorithm that uses the Lyndon Factorization in order to sort (implicitly or explicitly) the suffixes?

Open problem!

Thank you for your attention!