

# Generating and counting Hamilton cycles in random regular graphs

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## 1 Introduction

This paper deals with computational problems involving Hamilton cycles in random regular graphs. Thus let  $\mathcal{G} = \mathcal{G}(r, n)$  denote the set of  $r$ -regular (simple) graphs with vertex set  $[n] = \{1, 2, \dots, n\}$ . While it is NP-Complete to tell whether or not a cubic ( $r = 3$ ) graph has a Hamilton cycle, it has been known for some time that for  $r$  fixed but sufficiently large,  $G$  chosen at random from  $\mathcal{G}(r, n)$  is Hamiltonian **whp**<sup>1</sup>, see Bollobás [2], Fenner and

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<sup>1</sup>An event  $\mathcal{E}_n$  is said to occur **whp** (with high probability) if  $\Pr(\mathcal{E}_n) = 1 - o(1)$  as  $n \rightarrow \infty$ .

Frieze [5]. These results were non-constructive and Frieze [6] described an  $O(n^3 \log n)$  time algorithm that found a Hamilton cycle **whp**, provided  $r \geq 85$ . Thus until quite recently it was not known whether or not a random cubic graph was Hamiltonian **whp**. (Experiments with the algorithm of [6] strongly suggested that it was.)

In two recent papers Robinson and Wormald [12], [13] used a second moment approach and showed that random  $r$ -regular graphs are Hamiltonian **whp** for  $r \geq 3$ . Their proof is non-constructive and the purpose of this paper is to provide corresponding algorithmic results. We abandon the rotation-extension approach of [6] in favour of an approach based on rapidly mixing Markov chains. We prove

**Theorem 1** *Let  $r \geq 3$  be fixed and let  $G$  be chosen uniformly at random from  $\mathcal{G}(r, n)$ . There is a polynomial time algorithm *FIND* which constructs a Hamilton cycle in  $G$  **whp**.*

For a graph  $G$  let  $\text{HAM}(G)$  denote the set of Hamilton cycles of  $G$ . Assuming  $\text{HAM}(G) \neq \emptyset$ , a *near uniform generator* for  $\text{HAM}(G)$  is a randomised algorithm which on input  $\epsilon > 0$  outputs a cycle  $H \in \text{HAM}(G)$  such that for any fixed  $H_1 \in \text{HAM}(G)$

$$\left| \Pr(H = H_1) - \frac{1}{|\text{HAM}(G)|} \right| \leq \frac{\epsilon}{|\text{HAM}(G)|}. \quad (1)$$

The probabilities here are with respect to the algorithm's random choices, as  $G$  is considered fixed in (1). The algorithm is polynomial if it runs in time polynomial in  $n$  and  $1/\epsilon$ .

**Theorem 2** *Let  $r \geq 3$  be fixed. There is a procedure *GENERATE* such that if  $G$  is chosen uniformly at random from  $\mathcal{G}(r, n)$  then **whp** *GENERATE* is a polynomial time generator for  $\text{HAM}(G)$ .*

Given a polynomial time generator for a set  $X$  one can usually estimate its size. This notion is made precise in Jerrum, Valiant and Vazirani [10]. The results there are based on the notion of self-reducibility (Schnorr [14]), which we do not have here. On the other hand, our method of proof does lead to an FPRAS (Fully Polynomial Randomised Approximation Scheme) for almost every  $G \in \mathcal{G}(r, n)$ .

An *FPRAS* for  $\text{HAM}(G)$  is a randomised algorithm which on input  $\epsilon, \delta > 0$  produces an estimate  $Z$  such that

$$\Pr \left( \left| \frac{Z}{|\text{HAM}(G)|} - 1 \right| \geq \epsilon \right) \leq \delta. \quad (2)$$

Again, the probabilities in (2) are with respect to the algorithm's choices. The running time of the algorithm is polynomial in  $n, 1/\epsilon$  and  $\log(1/\delta)$ .

**Theorem 3** *Let  $r \geq 3$  be fixed. There is a procedure *COUNT* such that if  $G$  is chosen uniformly at random from  $\mathcal{G}(r, n)$  then **whp** *COUNT* is an *FPRAS* for  $\text{HAM}(G)$ .*

These results can be extended to random regular digraphs, see Frieze, Molloy and Cooper [7], Janson [8] for the non-constructive counterparts.

Our final result concerns a problem left open by Broder, Frieze and Shamir [4]. A graph  $G$  with vertex set  $[n]$  is obtained by adding a random perfect matching  $M$  to a random Hamilton cycle  $H$ . The problem is to find a Hamilton

cycle in  $G$  without knowing  $H$ . One motivation for this problem is in the design of authentication protocols. Our positive result on finding a Hamilton cycle can be viewed as a negative result for such a protocol.

**Theorem 4** *Let  $n$  be even and let  $G$  be obtained as the union of a random perfect matching  $M$  and a random (disjoint) Hamilton cycle  $H$ . Applying  $FIND$  to  $G$  will lead to the construction of a Hamilton cycle **whp**.*

The next section outlines the proof of these results and the remaining sections fill in the missing details.

## 2 Outline proofs of Theorems

### 2.1 Configurations

Initially we will not work directly with  $\mathcal{G}(r, n)$ . Instead we will use the configuration model as developed by Bender and Canfield [1] and Bollobás [3]. Thus let  $W = [n] \times [r]$  ( $W_v = v \times [r]$  represents  $r$  half edges incident with vertex  $v \in [n]$ .) The elements of  $W$  are called *points* and a 2-element subset of  $W$  is called a *pairing*. A *configuration*  $F$  is a partition of  $W$  into  $rn/2$  pairings. We associate with  $F$  a multigraph  $\mu(F) = ([n], E(F))$  where, as a multi-set,

$$E(F) = \{(v, w) : \{(v, i), (w, j)\} \in F \text{ for some } 1 \leq i, j \leq r\}.$$

(Note that  $v = w$  is possible here.)

Let  $\Omega$  denote the set of possible configurations. Thus

$$|\Omega| = P(rn)$$

where

$$P(2m) = \frac{(2m)!}{m!2^m}.$$

We say that  $F$  is *simple* if the multigraph  $\mu(F)$  has no loops or multiple edges. Let  $\Omega_0$  denote the set of simple configurations.

We turn  $\Omega$  into a probability space by giving each element the same probability. The main properties that we need of this model are

**P1** Each  $G \in \mathcal{G}(n, r)$  is the image (under  $\mu$ ) of exactly  $(r!)^n$  simple configurations.

**P2**  $\Pr(F \in \Omega_0) \approx e^{-(r^2-1)/4}$ .

(Here  $\alpha \approx \beta$  means that  $\alpha/\beta \rightarrow 1$  as  $n \rightarrow \infty$ .)

Suppose now that  $\mathcal{A}^*$  is a property of configurations and  $\mathcal{A}$  is a property of graphs such that when  $F \in \Omega_0$ ,  $\mu(F) \in \mathcal{A}$  implies  $F \in \mathcal{A}^*$ . Then P1 and P2 imply

$$\Pr(G \in \mathcal{A}) \leq (1 + o(1))e^{(r^2-1)/4}\Pr(F \in \mathcal{A}^*)$$

where  $G$  is chosen randomly from  $\mathcal{G}$  and  $F$  is chosen randomly from  $\Omega$ . We will *generally* use this to prove

$$\Pr(F \in \mathcal{A}^*) = o(1) \text{ implies } \Pr(G \in \mathcal{A}) = o(1). \quad (3)$$

## 2.2 Generating and counting

We now begin the proof proper. For  $F \in \Omega$  let

$$Z_H = Z_H(F) = |\text{HAM}(\mu(F))|.$$

Then

$$\mathbf{E}(Z_H) = \frac{H(n, r)P((r-2)n)}{P(rn)}, \quad (4)$$

where

$$H(n, r) = \frac{(n-1)!}{2} (r(r-1))^n.$$

**Explanation:**  $H(n, r)$  is the number of sets of  $n$  pairings which would be projected by  $\mu$  to a Hamilton cycle (an  $H$ -configuration).  $P((r-2)n)/P(rn)$  is the probability that a given  $H$ -configuration appears in  $F$ .

Note that Stirling's approximation gives

$$\mathbf{E}(Z_H) \approx \sqrt{\frac{\pi}{2n}} \left( (r-1) \left( \frac{r-2}{r} \right)^{(r-2)/2} \right)^n.$$

which grows exponentially with  $n$  for  $r \geq 3$ .

Using the method of Robinson and Wormald we prove (Section 5) that

$$Z_H \geq n^{-1} \mathbf{E}(Z_H) \quad \mathbf{whp}, \quad (5)$$

which by (3) implies

$$|\text{HAM}(G)| \geq \frac{1}{n} \mathbf{E}(Z_H) \quad \mathbf{whp}.^2 \quad (6)$$

A 2-factor of a graph  $G$  is a set of vertex disjoint cycles which contain all vertices. Let  $\text{2FACTOR}(G)$  denote the set of 2-factors of  $G$ . Then

$$\text{HAM}(G) \subseteq \text{2FACTOR}(G).$$

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<sup>2</sup>Robinson and Wormald prove this for  $r = 3$  but decline to do it for  $r \geq 4$ . They proceed indirectly. This has advantages and disadvantages. The advantage is that they show that a random  $r+1$ -regular graph is *close* to a random  $r$ -regular graph plus a random matching ( $r \geq 2$ ). But for our purposes, (6) is what is needed.

For  $F \in \Omega$  let

$$Z_f = Z_f(F) = |\text{2FACTOR}(\mu(F))|.$$

Now

$$\mathbf{E}(Z_f) \leq \frac{\binom{r}{2}^n P(2n) P((r-2)n)}{P(rn)}. \quad (7)$$

**Explanation:** there are  $\binom{r}{2}^n$  ways of choosing two points from each  $W_v$ . There are then  $P(2n)$  ways of pairing these points. If the set  $X$  of  $n$  pairings contains no loops or multiple edges then  $\mu$  projects  $X$  to a 2-factor. The remaining terms give the probability that  $X$  exists in  $F$ . We have inequality in (7) as some sets  $X$  do not yield 2-factors and some yield the same. On the other hand all 2-factors of  $G$  arise in this way. By the Markov inequality

$$Z_f \leq n\mathbf{E}(Z_f) \quad \mathbf{whp},$$

which by (3) implies

$$|\text{2FACTOR}(G)| \leq n\mathbf{E}(Z_f) \quad \mathbf{whp}. \quad (8)$$

Now by (4) and (7)

$$\begin{aligned} \frac{\mathbf{E}(Z_f)}{\mathbf{E}(Z_H)} &= \frac{(2n)!}{2^{2n-1}n!(n-1)!} \\ &\leq 2n^{1/2}. \end{aligned} \quad (9)$$

Combining (6) and (8) we obtain

$$\frac{|\text{HAM}(G)|}{|\text{2FACTOR}(G)|} \geq \frac{1}{2n^{5/2}} \quad \mathbf{whp}. \quad (10)$$

We will show in Section 3 that **whp** there is a polynomial time generator and an FPRAS for  $\text{2FACTOR}(G)$ . This and (10) easily verifies Theorems 1,2 and 3. Indeed we estimate  $|\text{2FACTOR}(G)|$  and the ratio  $|\text{HAM}(G)|/|\text{2FACTOR}(G)|$ .

The former is estimated by the assumed FPRAS and the latter by generating  $O(n^{5/2}/\epsilon^2)$  2-factors and computing the proportion that are Hamilton cycles ( $\epsilon$  is the required relative accuracy).

### 2.3 Hidden Hamilton cycles

Let  $X = \{(H, M) : H \text{ is a Hamilton cycle, } M \text{ is a perfect matching of } K_n \text{ and } H \cap M = \emptyset\}$ . Consider  $X$  to be a probability space in which each element is equally likely. Let  $\mathbf{Pr}_1$  refer to probabilities in this space and  $\mathbf{Pr}_0, \mathbf{E}_0$  refer to probability and expectation with respect to  $F$  chosen randomly from  $\Omega_0$ .

Let  $A = \{F \in \Omega_0 : \text{GENERATE is not a polynomial time generator for } \text{HAM}(\mu(F))\}$  and  $\hat{A} = \{(H, M) \in X : \text{GENERATE is not a polynomial time generator for } \text{HAM}(H \cup M)\}$  be the corresponding subset of  $X$ . Now for each  $(H, M) \in X$  there are  $6^n$  configurations  $F$  for which  $\mu(F) = H \cup M$  and for each  $F \in \Omega_0$  there are  $Z_H(F)$  corresponding pairs  $(H, M)$  in  $X$ . Thus, where  $1_A$  is the indicator function of the set  $A$ ,<sup>3</sup>

$$\begin{aligned}
\mathbf{Pr}_1(\hat{A}) &= \sum_{(H,M) \in \hat{A}} \frac{1}{|X|} \\
&= \sum_{F \in A} \frac{Z_H(F)}{6^n |X|} \\
&= \frac{1}{\mathbf{E}_0(Z_H)} \mathbf{E}_0(1_A Z_H) && \text{since } 6^n |X| = |\Omega_0| \mathbf{E}_0(Z_H) \\
&\leq \frac{1}{\mathbf{E}_0(Z_H)} \sqrt{\mathbf{E}_0(1_A^2) \mathbf{E}_0(Z_H^2)}.
\end{aligned}$$

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<sup>3</sup>This elegant use of the Cauchy-Schwarz inequality was pointed out to us by Svante Janson.



Robinson and Wormald proved [11] that

$$\mathbf{E}_0(Z_H^2) \approx \frac{3}{e} \mathbf{E}_0(Z_H)^2.$$

Hence

$$\begin{aligned} \mathbf{Pr}_1(\hat{A}) &\leq (1 + o(1))\sqrt{3/e} \mathbf{Pr}_0(A) \\ &= o(1), \end{aligned} \tag{11}$$

by Theorem 1.

### 3 Generating and counting 2-factors

For any graph  $G = (V, E)$ , a construction of Tutte [15] gives a graph  $G' = (V', E')$  such that the perfect matchings in  $G'$  correspond in a natural fashion to the 2-factors of  $G$ . Specifically, (assuming  $G$  is  $r$ -regular) for each vertex  $v \in V$  we have a complete bipartite graph  $H_v \cong K_{r,r-2}$  with bipartition

$$U_v = \{u_{v,w} : \{v, w\} \in E\}, \quad W_v = \{w_{v,i} : 1 \leq i \leq r-2\}.$$

Now  $V' = \bigcup_{v \in V} (U_v \cup W_v)$  and  $E'$  contains the edge set of  $H_v$  for each  $v \in V$ . Additionally, for each edge  $\{v, w\} \in E$  we have a unique edge  $\{u_{v,w}, u_{w,v}\} \in E'$ . We will call these the  $G$ -edges of  $G'$  and the remainder the  $H$ -edges.

In any perfect matching in  $G'$  exactly two vertices in  $U_v$  will not be matched by  $H$ -edges. They must therefore be matched by two  $G$ -edges incident with  $H_v$ . Thus the  $n$   $G$ -edges in the matching correspond to a 2-factor  $K$  in  $G$ . For each such choice of edges, the remaining  $(r-2)n$   $H$ -edges can be chosen in  $(r-2)!^n$  ways. Therefore each 2-factor in  $G$  corresponds to  $(r-2)!^n$  perfect matchings in  $G'$ . In particular, by generating a near uniform perfect

matching  $G'$  we can generate a near uniform 2-factor of  $G$ . Similarly, by approximately counting perfect matchings in  $G'$ , we can approximately count 2-factors in  $G$ .

The problem of generating near uniform perfect matchings in a graph  $\Gamma$  was studied by Jerrum and Sinclair [9]. They describe an algorithm which runs in time polynomial in  $|V(\Gamma)|$ ,  $1/\epsilon$  and  $\rho = \rho(\Gamma)$ , where  $\rho$  is the ratio of the number of near perfect to perfect matchings of  $\Gamma$  (a near perfect matching covers all but two vertices). In light of this we have only to show that **whp**  $\rho(G')$  is bounded by a polynomial in  $n$ .

Let  $\nu_p$  and  $\nu_{np}$  denote the number of perfect and near perfect matchings in  $G'$ , assuming  $G$  is chosen at random from  $\mathcal{G}(r, n)$ . Then, from (6), we have

$$\nu_p \geq \frac{(r-2)!^n}{n} \mathbf{E}(Z_H) \quad \text{whp.}$$

To estimate  $\nu_{np}$  we consider the  $G$ -edges of some near perfect matching  $M'$  of  $G$ . Let  $M$  denote the corresponding set of edges in  $G$  itself. It is straightforward to verify that the subgraph  $G(M)$  induced by  $M$  has

- (i)  $n - 2$  vertices of degree 2, and
- (ii) 2 vertices with degrees  $d_1, d_2 \in \{0, 1, 2, 3, 4\}$  where  $d_1 + d_2 = 2, 4$  or 6.

Let  $Z_{nf}$  denote the number of subgraphs of  $G$  satisfying (i) and (ii). Clearly

$$\nu_{np} \leq (r-2)!^{n-2} (r!)^2 Z_{nf} \tag{12}$$

and a (crude) argument similar to that for (7) yields

$$\mathbf{E}(Z_{nf}) \leq \frac{\binom{n}{2} (r^4)^2 \binom{r}{2}^{n-2} \sum_{k=-1}^1 P(2(n+k)) P((r-2)n-2k)}{P(rn)}.$$

Applying (12) and the Markov inequality we see that

$$\nu_{np} \leq n(r-2)!^{n-2}(r!)^2 \mathbf{E}(Z_{nf}) \quad \mathbf{whp}$$

and so **whp**

$$\begin{aligned} \rho(G') &\leq \frac{n^2 \binom{n}{2} (r-2)!^{n-2} r!^2 r^8 \binom{r}{2}^{n-2} \sum_{k=-1}^1 P(2(n+k)) P((r-2)n-2k)}{(r-2)!^n \mathbf{E}(Z_H) P(rn)} \\ &= O(n^{9/2}), \end{aligned}$$

as required.

## 4 The Variance of $Z_H$

The method of Robinson and Wormald is an analysis of variance. We will partition the probability space  $\Omega$  into *groups* according to the number of cycles of each size. We will then show that  $\mathbf{Var}(Z_H)$  can be “explained” almost entirely by the variance between groups. Thus, within most groups  $Z_H$  is concentrated around its mean, which in most groups is “close” to  $\mathbf{E}(Z_H)$ . In this section we compute the variance of  $Z_H$ .

We will from now on assume that  $r \geq 4$ . The case  $r = 3$  has been dealt with in [12]. The calculations there are done directly on  $\mathcal{G}(3, n)$ .

We will count the number of potential pairs of Hamilton cycles by counting the number of pairs  $(H, H')$  of  $H$ -configurations whose intersection is a set of  $a$  paths containing a total of  $k$  edges, and summing over all feasible  $a, k$ . If  $H, H'$  coincide, then we have  $k = n$  and we take  $a = 0$ . Thus:

$$\mathbf{E}(Z_H^2) = \mathbf{E}(Z_H) \sum_{k,a} N(k, a) P((r-4)n+2k) / P((r-2)n), \quad (13)$$

where  $N(k, a)$  is the number of ways of selecting  $H'$  given  $H$ ,  $k$  and  $a$ . Note that this quantity is independent of  $H$ .

**Explanation:** for each fixed  $H, k, a$  the number of possible  $H'$  is independent of  $H$ . Taking out the factor  $\mathbf{E}(Z_H)N(k, a)$  leaves us with  $\mathbf{Pr}(H' | H)$  which comprises the last two factors.

**Claim 1:** The number of ways of selecting  $k$  edges from  $H$  consisting of  $a$  paths is

$$\frac{an}{k(n-k)} \binom{k}{a} \binom{n-k}{a}.$$

provided we interpret  $an/k(n-k)$  as 1 when  $a = 0$  (equivalently  $k = 0$  or  $k = n$ ).

**Proof** We will assume  $a > 0$  and  $k < n$ . Fix an orientation of  $H$ . Remove any edge of  $H$  and insist that it is not one of the  $k$  edges. We now have a path of length  $n - 1$  from which we must choose  $k$  edges forming  $a$  paths. There are  $\binom{k-1}{a-1}$  ways to choose the lengths of the paths, and  $\binom{n-k}{a}$  ways to pick their initial vertices. There were  $n$  ways to choose the edge that was removed, and each choice of paths had  $n - k$  eligible choices for this edge. Therefore, the number of ways of selecting the paths is  $\frac{n}{n-k} \binom{k-1}{a-1} \binom{n-k}{a} = \frac{an}{k(n-k)} \binom{k}{a} \binom{n-k}{a}$ .  $\square$

**Claim 2:** Given our choice of the  $k$  edges of  $H$ , the number of ways to complete  $H'$  is:

$$\left( \frac{2(r-2)}{r-3} \right)^a H(n-k, r-2).$$

**Proof** Imagine that each of these  $a$  paths is contracted to a single vertex. The selection of a Hamilton cycle  $H'$  extending the chosen fragments of  $H$  can be divided into two steps: (i) select a Hamilton cycle on  $n - k$  vertices

which joins up all the (contracted) fragments, and then (ii) select a way of splicing in the (expanded) fragments to obtain a full  $n$ -edge  $H$ -configuration  $H'$ . The number of choices in (i) is simply  $H(n-k, r-2)$ , where we must interpret  $H(0, r-2)$  as 1, while for (ii) it is  $(2(r-2)/(r-3))^a$ . (For each fragment we may choose a direction of traversal; then, on expanding each fragment from a point to a path, the number of ways of connecting  $H'$  to the endpoints of a fragment is increased from  $(r-2)(r-3)$  — as counted by the formula for  $H(n-k, r-2)$  — to  $(r-2)^2$ .)  $\square$

Substituting for  $N(k, a)$  in (13), and applying (4) and Stirling's formula, we have

$$\begin{aligned}
\mathbf{E}(Z_H^2) &= \mathbf{E}(Z_H) \sum_Q \frac{an}{k(n-k)} \binom{k}{a} \binom{n-k}{a} \left( \frac{2(r-2)}{r-3} \right)^a \\
&\quad \times \frac{H(n-k, r-2)P((r-4)n+2k)}{P((r-2)n)}, \\
&\approx \frac{\sqrt{\pi n}}{4} \left( \frac{n}{e} \right)^{-(r-2)n/2} \left( \frac{(r-1)(r-2)(r-3)}{2^{\frac{r-4}{2}} r^{\frac{r-2}{2}}} \right)^n \\
&\quad \times \sum_Q \frac{a}{k(n-k)^2} T_{a,k}, \tag{14}
\end{aligned}$$

where

$$T_{a,k} = \frac{k!(n-k)!^2((r-4)n+2k)!(r-2)^{a-k}2^{a-k}}{a!^2(k-a)!(n-k-a)! \left( (r-4)\frac{n}{2} + k \right)! (r-3)^{a+k}},$$

and

$$Q = \{(k, a) \mid a, k-a, n-k-a \geq 0\}.$$

It is straightforward to check that we can ignore all terms on the border of  $Q$ , as they each contribute  $o(n^{-2}\mathbf{E}(Z_H)^2)$ , and so we define

$$Q' = \{(k, a) \mid a, k-a, n-k-a > 0\}.$$

Now set  $\kappa = \frac{k}{n}, \alpha = \frac{a}{n}$ . Using Stirling's approximation, we have:

$$\mathbf{E}(Z_H^2) \approx \frac{1}{4n^2} \left( \frac{2^{\frac{r-4}{2}}(r-1)(r-2)(r-3)}{r^{\frac{r-2}{2}}} \right)^n \times \sum_{Q'} F^n \lambda(1 + \epsilon), \quad (15)$$

where  $F = F_r(\kappa, \alpha)$  is defined by

$$F = \frac{2^{\kappa+\alpha}(r-2)^{\alpha-\kappa}g(\kappa)g(1-\kappa)^2g(\frac{r}{2}-2+\kappa)}{(r-3)^{\kappa+\alpha}g(\alpha)^2g(\kappa-\alpha)g(1-\kappa-\alpha)},$$

with  $g(x) = x^x$ ,

$$\lambda = (\kappa(\kappa-\alpha)(1-\kappa-\alpha)(1-\kappa)^2)^{-\frac{1}{2}},$$

and

$$\epsilon = \mathcal{O}\left(\frac{1}{a} + \frac{1}{k-a} + \frac{1}{n-k-a}\right).$$

We extend the domain of  $F_r$  to

$$R = \{(\alpha, \kappa) \mid \alpha, \kappa - \alpha, 1 - \kappa - \alpha \geq 0\},$$

by defining  $g(0) = 1$ . It is straightforward to verify that  $F_r$  is continuous over  $R$ . We now wish to find its maximum, so we will look for the critical points of  $F_r$  in the interior of  $R$ . We set the partial derivatives of  $\ln F_r$  with respect to  $\kappa$  and  $\alpha$  equal to 0, yielding the two equations:

$$\kappa(1-\kappa-\alpha)(r-4+2\kappa) - (r-2)(r-3)(1-\kappa)^2(\kappa-\alpha) = 0, \quad (16)$$

and

$$(r-3)\alpha^2 - 2(r-2)(\kappa-\alpha)(1-\kappa-\alpha) = 0. \quad (17)$$

It is easily verified that  $\kappa = \kappa_0 = 2/r$ ,  $\alpha = \alpha_0 = 2(r-2)/r(r-1)$  is a solution of the simultaneous equations (16) and (17). As we now show, this solution is the only one in the interior of  $R$ .

Solving equation (16) for  $\alpha$ , noting that the equation is linear in  $\alpha$ , we obtain

$$\alpha = \frac{\kappa(\kappa - 1)[(r^2 - 5r + 8)\kappa - (r^2 - 6r + 10)]}{Q_r(\kappa)}, \quad (18)$$

where

$$Q_r(\kappa) = (r^2 - 5r + 4)\kappa^2 - (2r^2 - 9r + 8)\kappa + (r^2 - 5r + 6).$$

Substituting this expression for  $\alpha$  in equation (17) yields an equation of the form  $P_r(\kappa)/Q_r(\kappa)^2 = 0$ , where

$$P_r(\kappa) = (r - 3)\kappa(\kappa - 1)^2(r\kappa - 2)P'_r(\kappa),$$

and

$$\begin{aligned} P'_r(\kappa) = & (r^3 - 10r^2 + 25r - 16)\kappa^2 + (-2r^3 + 16r^2 - 36r + 22)\kappa \\ & + (r^3 - 8r^2 + 20r - 16). \end{aligned} \quad (19)$$

Clearly, any solution to (16) and (17) will also be a solution to  $P_r(\kappa) = 0$ .

When  $\kappa = \kappa_0 = 2/r$ , the solution  $\alpha = \alpha_0$  is unique, except in the case  $r = 4$ , when equation (16) holds for all  $\alpha$  and equation (17) allows the additional solution  $\alpha = 1$  which is not in the interior of  $R$ . Clearly the roots  $\kappa = 0$  and  $\kappa = 1$  do not lead to solutions in the interior of  $R$ .

We have considered all roots of  $P_r(\kappa)$ , except those given by the quadratic (19). Our aim is to show that all such roots  $\kappa$  lead to solution pairs  $(\alpha, \kappa)$  that do not lie in the interior of  $R$ . In analysing the quadratic  $P'_r(\kappa)$ , it is convenient

to assume  $r \geq 7$ , and leave  $r = 4, 5, 6$  as special cases to be treated later. We first establish a lower bound on roots  $\kappa$  of equation (19), by recasting (19) in the form

$$P'_r(\kappa) = (r^3 - 10r^2 + 25r - 16)(\kappa - 1)^2 - (4r^2 - 14r + 10)\kappa + (2r^2 - 5r).$$

Under the assumption  $r \geq 7$ , the factor  $r^3 - 10r^2 + 25r - 16$  is strictly positive, and hence any root  $\kappa$  of  $P'_r(\kappa) = 0$  must satisfy

$$\kappa \geq \frac{2r^2 - 5r}{4r^2 - 14r + 10} > \frac{1}{2}.$$

Now, from equation (18),

$$1 - \kappa - \alpha = \frac{-(r-2)(r-3)(2\kappa-1)(\kappa-1)^2}{Q_r(\kappa)}. \quad (20)$$

In the light of our lower bound on  $\kappa$ , we see immediately that the numerator of (20) is negative. We show that, for  $r \geq 7$ , the denominator of (20) is positive, from which it follows that  $1 - \kappa - \alpha$  is negative, and the point  $(\alpha, \kappa)$  cannot lie in the interior of  $R$ .

By direct calculation,

$$\begin{aligned} & (2r-5)Q_r(\kappa) - 2P'_r(\kappa) \\ &= (5r^2 - 17r + 12)\kappa^2 - (4r^2 - 11r + 4)\kappa + (r^2 - 3r + 2). \end{aligned} \quad (21)$$

The discriminant of quadratic (21) is  $-(2r-5)(r-4)(2r^2-7r+4)$ , which is negative for all  $r > 4$ ; furthermore, the leading coefficient of (21) is positive under the same condition on  $r$ . It follows that  $(2r-5)Q_r(\kappa) - 2P'_r(\kappa)$  is positive for all  $r > 4$  and all  $\kappa$ , and hence that  $Q_r(\kappa)$  is positive for all  $r > 4$



and all  $\kappa$  satisfying  $P'_r(\kappa) = 0$ . This verifies the claim that the denominator of (20) is positive, and completes the analysis of the case  $r \geq 7$ .

The case  $r = 5$  may be eliminated by noting that, of the two roots  $\kappa = (-1 \pm \sqrt{10})/4$  of (19), one is negative, and the other yields a corresponding value for  $\alpha$  that is greater than 1. A similar argument eliminates the case  $r = 6$ . When  $r = 4$ , the two roots of (19) are  $\kappa = 0$  and  $\kappa = 1/2$ ; the former leads to a solution not in the interior  $R$ , while the latter is just a repeat of the root  $\kappa = \kappa_0 = 2/r$  that we have already considered.

Now that we have established  $(\kappa_0, \alpha_0)$  as the only critical point of  $F_r$  in  $R$ , other than  $(0, 0)$ , we will see that it is a local maximum, and it will follow that we can ignore all  $(\kappa, \alpha)$  not nearby  $(\kappa_0, \alpha_0)$ . Set

$$\delta_k = \frac{k - \kappa_0 n}{\sqrt{n}}, \delta_a = \frac{a - \alpha_0 n}{\sqrt{n}},$$

and perform a Taylor expansion of  $\ln(F_r(\kappa, \alpha))$  around  $(\kappa_0, \alpha_0)$ , yielding:

$$F^n = F_r(\kappa_0, \alpha_0)^n \exp(-(A\delta_k^2 + B\delta_k\delta_a + C\delta_a^2) + \text{cubic terms and greater}),$$

where

$$\begin{aligned} A &= \frac{1}{2(\kappa_0 - \alpha_0)} + \frac{1}{2(1 - \kappa_0 - \alpha_0)} - \frac{1}{2\kappa_0} - \frac{1}{1 - \kappa_0} - \frac{1}{r - 4 + 2\kappa_0}, \\ B &= \frac{1}{1 - \kappa_0 - \alpha_0} - \frac{1}{\kappa_0 - \alpha_0}, \\ C &= \frac{1}{\alpha_0} + \frac{1}{2(\kappa_0 - \alpha_0)} + \frac{1}{2(1 - \kappa_0 - \alpha_0)}. \end{aligned}$$

Substituting  $\kappa_0 = 2/r, \alpha_0 = 2(r - 2)/r(r - 1)$  we get:

$$A = \frac{r(r^4 - 9r^3 + 28r^2 - 34r + 16)}{4(r - 2)^2(r - 3)},$$

$$\begin{aligned}
B &= -\frac{r(r-1)^2(r-4)}{2(r-2)(r-3)}, \\
C &= \frac{r(r-1)^2}{4(r-3)}.
\end{aligned}$$

The determinant  $D = 4AC - B^2$  of the Hessian of  $A\delta_k^2 + B\delta_k\delta_a + C\delta_a^2$  is

$$D = \frac{r^3(r-1)^2}{4(r-2)(r-3)}.$$

Now it is easily checked that  $A > 0$  for  $r \geq 4$  and since  $D > 0$  we have that  $F$  is strictly concave, and  $(\kappa_0, \alpha_0)$  is a local maximum. It follows that we can ignore all terms of (15) outside of

$$X = \{(k, a) \mid |k - \kappa_0 n|, |a - \alpha_0 n| \leq \sqrt{n} \log n\}.$$

Now,

$$F_r(\kappa_0, \alpha_0) = \frac{(r-1)(r-2)^{r-3}}{2^{\frac{r-4}{2}}(r-3)r^{\frac{r-2}{2}}},$$

and so by (15),

$$\begin{aligned}
\mathbf{E}(Z_H^2) &\approx \frac{1}{4n^2} \left( \frac{2^{\frac{r-4}{2}}(r-1)(r-2)(r-3)}{r^{\frac{r-2}{2}}} \right)^n \sum_X F(\kappa, \alpha)^n \lambda \\
&\approx \frac{1}{4n^2} \left( \frac{2^{\frac{r-4}{2}}(r-1)(r-2)(r-3)}{r^{\frac{r-2}{2}}} \right)^n \\
&\quad \times \left( \frac{r^{5/2}(r-1)}{2(r-2)^{3/2}(r-3)^{1/2}} \right) F(\kappa_0, \alpha_0)^n \\
&\quad \times n \int_X \exp\{-(A\delta_k^2 + B\delta_k\delta_a + C\delta_a^2)\} d\delta_k d\delta_a
\end{aligned}$$

$$\begin{aligned}
&\approx \frac{1}{4n} \left( \frac{r^{5/2}(r-1)}{2(r-2)^{3/2}(r-3)^{1/2}} \right) \\
&\quad \times \left( \left( \frac{r-2}{r} \right)^{r-2} (r-1)^2 \right)^n \frac{2\pi}{\sqrt{D}} \\
&= \frac{\pi r}{2(r-2)n} \left( \left( \frac{r-2}{r} \right)^{r-2} (r-1)^2 \right)^n,
\end{aligned}$$

and comparing with (4), we have

$$\frac{\mathbf{E}(Z_H^2)}{\mathbf{E}(Z_H)^2} \approx \frac{r}{r-2}. \quad (22)$$

## 5 Bounding $Z_H$ whp

In the following,  $b, x$  are considered to be arbitrary large *fixed* positive integers. Let  $C_\ell$  denote the number of  $\ell$ -cycles of  $\mu(F)$  for  $\ell \geq 1$ . We will be concerned mainly with  $C_\ell$  where  $\ell$  is odd. For  $\mathbf{c} = (c_1, c_2, \dots, c_b) \in N^b$ , where  $N = \{0, 1, 2, \dots\}$ , let group  $\Omega_{\mathbf{c}} = \{F \in \Omega : C_{2k-1} = c_k, 1 \leq k \leq b\}$ . Let

$$\lambda_k = \frac{(r-1)^{2k-1}}{2(2k-1)}.$$

It is straightforward to show that the  $C_\ell, \ell \geq 1$ , are asymptotically independent Poisson variables with mean  $(r-1)^\ell/2\ell$ ; thus if  $\mathbf{c}$  is fixed, then

$$\pi_{\mathbf{c}} = \mathbf{Pr}(F \in \Omega_{\mathbf{c}}) \approx \prod_{k=1}^b \frac{\lambda_k^{c_k} e^{-\lambda_k}}{c_k!}.$$

Now let

$$S(x) = \{\mathbf{c} \in N^b : c_k \leq \lambda_k + x\lambda_k^{2/3}, 1 \leq k \leq b\},$$

and

$$\bar{\Omega} = \bigcup_{\mathbf{c} \notin S(x)} \Omega_{\mathbf{c}}.$$

Let

$$\bar{\pi} = \Pr(F \in \bar{\Omega}).$$

For  $\mathbf{c} \in N^b$  let

$$E_{\mathbf{c}} = \mathbf{E}(Z_H \mid F \in \Omega_{\mathbf{c}})$$

and

$$V_{\mathbf{c}} = \mathbf{Var}(Z_H \mid F \in \Omega_{\mathbf{c}}).$$

Then we have

$$\mathbf{E}(Z_H^2) = \sum_{\mathbf{c} \in N^b} \pi_{\mathbf{c}} V_{\mathbf{c}} + \sum_{\mathbf{c} \in N^b} \pi_{\mathbf{c}} E_{\mathbf{c}}^2. \quad (23)$$

The following two lemmas contain the most important observations. Lemma 1 shows that for most groups, the group mean is large and Lemma 2 shows that most of the variance can be explained by the *variance between groups*.

**Lemma 1** *For all sufficiently large  $x$*

(a)  $\bar{\pi} \leq e^{-\alpha x}$  for some absolute constant  $\alpha > 0$ .

(b)  $\mathbf{c} \in S(x)$  implies  $E_{\mathbf{c}} \geq e^{-(\beta+\gamma x)} \mathbf{E}(Z_H)$ , for some absolute constants  $\beta, \gamma > 0$ .

**Lemma 2** *If  $x$  is sufficiently large then*

$$\sum_{\mathbf{c} \in S(x)} \pi_{\mathbf{c}} E_{\mathbf{c}}^2 \geq (1 - be^{-3\gamma x}) \left(1 - \left(\frac{2}{r-1}\right)^{2b}\right) \left(\frac{r}{r-2}\right) \mathbf{E}(Z_H)^2.$$

where  $\gamma$  is as in Lemma 1

Hence we have from (22) and (23) and Lemma 2,

$$\sum_{\mathbf{c} \in N^b} \pi_{\mathbf{c}} V_{\mathbf{c}} \leq \delta \mathbf{E}(Z_H)^2, \quad (24)$$

where  $\delta = \left( b e^{-3\gamma x} + \left( \frac{2}{r-1} \right)^{2b} \right) \frac{r}{r-2}$ . The rest is an application of the Chebycheff inequality. Define the random variable  $\hat{Z}_H$  by

$$\hat{Z}_H = E_{\mathbf{c}}, \text{ if } F \in \Omega_{\mathbf{c}}.$$

Then for any  $t > 0$

$$\begin{aligned} \Pr(|Z_H - \hat{Z}_H| \geq t) &\leq \mathbf{E}((Z_H - \hat{Z}_H)^2/t^2) \\ &= \sum_{\mathbf{c} \in N^b} \pi_{\mathbf{c}} V_{\mathbf{c}}/t^2 \\ &\leq \delta \mathbf{E}(Z_H)^2/t^2 \end{aligned}$$

where the last inequality follows from (24).

Put  $t = e^{-(\beta+\gamma x)} \mathbf{E}(Z_H)/2$  where  $\beta, \gamma$  are from Lemma 1. Applying Lemma 1 we obtain that for  $n$  large,

$$\begin{aligned} \Pr\left(Z_H \geq \frac{\mathbf{E}(Z_H)}{n}\right) &\geq \Pr(Z_H \geq e^{-(\beta+\gamma x)} \mathbf{E}(Z_H)/2) \\ &\geq \Pr(|Z_H - \hat{Z}_H| \leq t \wedge (F \notin \bar{\Omega})) \\ &\geq 1 - 4\delta e^{2(\beta+\gamma x)} - \bar{\pi} \\ &\geq 1 - 4\delta e^{2(\beta+\gamma x)} - e^{-\alpha x}. \end{aligned}$$

Hence,

$$\lim_{n \rightarrow \infty} \Pr\left(Z_H \geq \frac{\mathbf{E}(Z_H)}{n}\right) \geq 1 - \left( 4b e^{2\beta - \gamma x} + 4 \left( \frac{2}{r-1} \right)^{2b} e^{2(\beta+\gamma x)} \right) \frac{r}{r-2} e^{-\alpha x}. \quad (25)$$

This is true for all  $b, x$  and so the left hand side limit of (25) must in fact be one, proving (5), (putting  $b = x^2$  and  $x$  arbitrarily large makes the right-hand side of (25) arbitrarily close to 1).

All that remains are the proofs of Lemmas 1 and 2

**Proof of Lemma 2:**

Let  $H_0$  be some fixed Hamilton cycle.

$$\begin{aligned}
E_{\mathbf{c}} &= \sum_{F \in \Omega_{\mathbf{c}}} \frac{1}{|\Omega_{\mathbf{c}}|} \sum_{H \subseteq F} 1 \\
&= \sum_H \sum_{\substack{F \supseteq H \\ F \in \Omega_{\mathbf{c}}}} \frac{1}{|\Omega_{\mathbf{c}}|} \frac{|\Omega|}{|\Omega|} \\
&= \frac{|\Omega|}{|\Omega_{\mathbf{c}}|} \sum_H \Pr(F \supseteq H \text{ and } F \in \Omega_{\mathbf{c}}) \\
&= \frac{\Pr(F \supseteq H_0)}{\Pr(\Omega_{\mathbf{c}})} \sum_H \Pr(F \in \Omega_{\mathbf{c}} \mid F \supseteq H) \\
&= \frac{\mathbf{E}(Z_H) \Pr(F \in \Omega_{\mathbf{c}} \mid F \supseteq H_0)}{\Pr(\Omega_{\mathbf{c}})}. \tag{26}
\end{aligned}$$

So we will now compute  $\Pr(F \in \Omega_{\mathbf{c}} \mid F \supseteq H_0)$ , by first computing the expected number of cycles of length  $l$ , conditional on  $F$  containing  $H_0$ . Here  $l$  can be considered fixed as  $n \rightarrow \infty$ .

To choose a cycle  $C$  of length  $l$ , we will first fix  $s$ , the number of edges in  $C \cap H_0$  (hereafter called  $H$ -edges), and  $t$ , the number of  $H$ -paths, i.e. the paths formed by the  $H$ -edges.

First we will count the number of ways to choose the edges of  $C$  which will form the  $H$ -paths. Fix a starting vertex of  $C$ , and an orientation. We will

insist that the last edge of this orientation does *not* lie in an  $H$ -path. This will have the effect of multiplying the number of choices by  $2(l-s)$ . Now we will consider the generating function in which  $x, y, z$  mark the number of edges,  $H$ -edges, and  $H$ -paths respectively.

We go around the cycle and at each point we decide whether the next edge lies outside of  $H_0$ , an option we represent by  $x$ , or if it is the first edge of an  $H$ -path, an option which we represent by  $x^{i+1}y^i z$  where  $i$  is the length of the  $H$ -path. Note that the first edge following the  $H$ -path must of course lie outside of  $H_0$ , explaining the exponent of  $x$ . Thus we find that the number of choices of  $H$ -edges in  $C$  is (where as usual  $[x^l y^s z^t]$  stands for “coefficient of  $x^l y^s z^t$ ”):

$$\begin{aligned} & [x^l y^s z^t] \frac{1}{2(l-s)} \left( x + \sum_{i \geq 1} x^{i+1} y^i z \right)^{l-s} \\ = & [x^l y^s z^t] \frac{1}{2(l-s)} \left( x + \frac{x^2 y z}{1 - xy} \right)^{l-s}. \end{aligned}$$

Given such a choice, we now compute the number of ways to finish the cycle. The number of ways to choose the sequence of vertices in the cycle is  $\approx n^{l-s} 2^t$ . The number of choices for copies of those vertices is  $(r-2)^{l-s+t} (r-3)^{l-s-t}$ . Also, the number of configurations containing  $H_0 \cup C$  is  $P((r-2)n - 2(l-s))$ , so we multiply by:

$$\begin{aligned} & \approx n^{l-s} 2^t (r-2)^{l-s+t} (r-3)^{l-s-t} \\ & \quad \times P((r-2)n - 2(l-s)) / P((r-2)n) \end{aligned}$$

$$\approx \left( \frac{2(r-2)}{r-3} \right)^t (r-3)^{-s} (r-3)^l,$$

to get

$$\begin{aligned} & [x^l y^s z^t] \frac{1}{2(l-s)} \left( (r-3)x + \frac{2(r-2)x^2 yz}{1-xy} \right)^{l-s} \\ &= -\frac{1}{2} [x^l y^s z^t] \ln \left( 1 - (r-3)x - \frac{2(r-2)x^2 yz}{1-xy} \right). \end{aligned}$$

(Observe that  $((r-3)x + 2(r-2)x^2 yz/(1-xy))^k$  only contributes to terms of the form  $x^i (x^2 yz)^{k-i} (xy)^j$  for some  $i, j$ . So only  $i, j, k$  such that  $l = 2k - i + j$ ,  $s = k - i + j$  and  $t = k - i$  affect our expression. But this implies that  $k = l - s$ .)

Summing over all  $s, t$  (or equivalently putting  $y = z = 1$ ), we get:

$$\begin{aligned} & -\frac{1}{2} [x^l] \ln \left( 1 - (r-3)x - \frac{2(r-2)x^2}{1-x} \right) \\ &= -\frac{1}{2} [x^l] \ln \left( \frac{1 - (r-2)x - (r-1)x^2}{1-x} \right) \\ &= -\frac{1}{2} [x^l] (\ln(1+x) + \ln(1 - (r-1)x) - \ln(1-x)) \\ &= \frac{(r-1)^l + (-1)^l - 1}{2l}. \end{aligned}$$

Note that for  $l$  even, this is equal to the unconditional expected number of  $l$ -cycles in  $F$ , explaining why we are concentrating on  $l$  odd. Let

$$\mu_k = \frac{(r-1)^{2k-1} + (-1)^{2k-1} - 1}{2(2k-1)} = \lambda_k - \frac{1}{2k-1},$$

the expected number of cycles of length  $2k-1$  in  $F$  conditional on  $F \supseteq H_0$ .



The next step is to compute

$$\mathbf{E} \left( [C_3]_{i_3} [C_5]_{i_5} \dots [C_{2k-1}]_{i_{2k-1}} \mid F \supseteq H_0 \right)$$

for any fixed  $i_3, i_5, \dots, i_{2k-1}$ . This is done by counting the expected number of sets of  $i_3$  distinct 3-cycles,  $i_5$  distinct 5-cycles, ..., and  $i_{2k-1}$  distinct  $(2k-1)$ -cycles in  $F$ , conditional on  $F \supseteq H_0$ . It follows from a straightforward first moment argument that  $F$  a.s. has no two intersecting cycles of length at most  $k$ . It follows that the cycles appear almost independently, and we get:

$$\mathbf{E} \left( [C_3]_{i_3} [C_5]_{i_5} \dots [C_{2k-1}]_{i_{2k-1}} \mid F \supseteq H_0 \right) \approx \prod_{j=1}^k \mu_j^{i_j}. \quad (27)$$

Therefore, conditional on  $F \supseteq H_0$ , the  $C_k$  are asymptotically independent Poisson variables with means  $\mu_k$ . Hence, from (26),

$$E_{\mathbf{c}} \approx \mathbf{E}(Z_H) \prod_{k=1}^b \left( \frac{\mu_k}{\lambda_k} \right)^{c_k} e^{\lambda_k - \mu_k}. \quad (28)$$

So,

$$\begin{aligned} \sum_{\mathbf{c} \in S(x)} \pi_{\mathbf{c}} E_{\mathbf{c}}^2 &\approx \mathbf{E}(Z_H)^2 \sum_{\mathbf{c} \in S(x)} \prod_{k=1}^b \left( \frac{\mu_k^2}{\lambda_k} \right)^{c_k} \frac{e^{-(2\mu_k - \lambda_k)}}{c_k!} \\ &= \mathbf{E}(Z_H)^2 \prod_{k=1}^b \sum_{c_k=0}^{\lambda_k + x\lambda_k^{2/3}} \left( \frac{\mu_k^2}{\lambda_k} \right)^{c_k} \frac{e^{-(2\mu_k - \lambda_k)}}{c_k!} \\ &= \mathbf{E}(Z_H)^2 \prod_{k=1}^b (1 - Z_k) e^{\frac{(\mu_k - \lambda_k)^2}{\lambda_k}} \end{aligned}$$

where

$$Z_k = \sum_{c_k = \lambda_k + x\lambda_k^{2/3}}^{\infty} \left( \frac{\mu_k^2}{\lambda_k} \right)^{c_k} \frac{e^{-(\mu_k^2/\lambda_k)}}{c_k!} \quad (29)$$

The following lemma appears in [13]

**Lemma 3** *Let  $\eta_1, \eta_2, \dots$  be given. Suppose that  $\eta_1 > 0$  and that for some  $c > 1, \eta_{i+1}/\eta_i > c$  for all  $i > 1$ . Then uniformly over  $x \geq 1$ ,*

$$R(x) = \sum_{i=1}^{\infty} \sum_{t=\eta_i(1+y_i)}^{\infty} \frac{\eta_i^t}{t! e^{\eta_i}} = O(e^{-c_0 x})$$

where  $y_i = x\eta_i^{-1/3}$  and  $c_0 = \min\{\eta_1^{1/3}, \eta_1^{2/3}\}/4$ .

Applying this lemma with  $\eta_i = \mu_i^2/\lambda_i$  and observing that  $\eta_1 = (r-3)^2/(2(r-1)) \geq 6$  we see that

$$\sum_{k \geq 3} Z_k \leq O(e^{-x/20})$$

Hence, for  $x$  sufficiently large,

$$\sum_{\mathbf{c} \in \mathcal{S}(x)} \pi_{\mathbf{c}} E_{\mathbf{c}}^2 \geq \mathbf{E}(Z_H)^2 (1 - be^{-x/20}) \prod_{k=1}^b \exp\left\{\frac{(\mu_k - \lambda_k)^2}{\lambda_k}\right\}. \quad (30)$$

Now,

$$\begin{aligned} \prod_{k=b+1}^{\infty} \exp\left\{\frac{(\mu_k - \lambda_k)^2}{\lambda_k}\right\} &= \exp\left\{\sum_{k=b+1}^{\infty} \frac{2}{(2k-1)(r-1)^{2k-1}}\right\} \\ &\leq \exp\left\{\frac{2}{(r-1)^{2b}}\right\} \\ &\leq \left(1 - \frac{2}{(r-1)^{2b}}\right)^{-1}. \end{aligned}$$

Thus, from (30), with

$$1 - \theta = (1 - be^{-x/20}) \left(1 - \frac{2}{(r-1)^{2b}}\right),$$

$$\begin{aligned}
\sum_{\mathbf{c} \in S(x)} \pi_{\mathbf{c}} E_{\mathbf{c}}^2 &\geq (1 - \theta) \mathbf{E}(Z_H)^2 \prod_{k=1}^{\infty} \exp \left\{ \frac{(\mu_k - \lambda_k)^2}{\lambda_k} \right\} \\
&= (1 - \theta) \mathbf{E}(Z_H)^2 \exp \left\{ \sum_{k=1}^{\infty} \frac{2}{(2k-1)(r-1)^{2k-1}} \right\} \\
&= (1 - \theta) \mathbf{E}(Z_H)^2 \left( \frac{r}{r-2} \right).
\end{aligned}$$

□

### Proof of Lemma 1

(a) Putting  $\eta_i = \lambda_i$  satisfies the conditions of Lemma 3 with  $c = 4/3$ . Now

$$\begin{aligned}
\bar{\pi} &\leq \sum_{k=3}^b \sum_{c \geq \lambda_k(1+y_k)} \mathbf{Pr}(C_k = c) \\
&\approx \sum_{k=1}^b \sum_{c \geq \lambda_k(1+y_k)} \frac{\lambda_k^c e^{-\lambda_k}}{c!} \\
&= O(e^{-\alpha x}),
\end{aligned}$$

for some constant  $\alpha$ , independent of  $x$ .

(b) Applying (28) we obtain

$$\begin{aligned}
E_{\mathbf{c}} &\approx \mathbf{E}(Z_H) \prod_{k=1}^b \left( 1 - \frac{2}{(r-1)^{2k-1}} \right)^{c_k} \exp \left\{ \frac{1}{2k-1} \right\} \\
&\geq AB^x,
\end{aligned}$$

where

$$A = \prod_{k=1}^b \left( 1 - \frac{2}{(r-1)^{2k-1}} \right)^{\lambda_k} \exp \left\{ \frac{1}{2k-1} \right\}$$

and

$$B = \prod_{k=1}^b \left( 1 - \frac{2}{(r-1)^{2k-1}} \right)^{\lambda_k^{2/3}}.$$

Now

$$\begin{aligned}
A &= \prod_{k=1}^b \exp \left\{ \frac{1}{2k-1} - \left( \frac{2\lambda_k}{(r-1)^{2k-1}} + \frac{4\lambda_k}{2(r-1)^{2(2k-1)}} + \dots \right) \right\} \\
&\geq \prod_{k=1}^{\infty} \exp \left\{ -\frac{2\lambda_k}{(r-1)^{2(2k-1)}} \right\} \\
&= \exp \left\{ -\sum_{k=1}^{\infty} \frac{1}{(2k-1)(r-1)^{2k-1}} \right\}.
\end{aligned}$$

The sum in the exponential term is convergent and so  $A$  is bounded below by a positive absolute constant.

Also

$$\begin{aligned}
B &\geq \prod_{k=1}^{\infty} \left( 1 - \frac{2}{(r-1)^{2k-1}} \right)^{\lambda_k^{2/3}} \\
&\geq \exp \left\{ -\sum_{k=1}^{\infty} \frac{2}{(2k-1)^{\frac{2}{3}}(r-1)^{\frac{2k-1}{3}}} \right\}.
\end{aligned}$$

Again, the sum in the exponential term is convergent and so  $B$  is bounded below by a positive absolute constant, completing the proof.  $\square$

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