Simplicial and Cellular Trees

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Great Plains Combinatorics Conference North Dakota State University May 1, 2022 Let G = (V, E) be a graph (connected, finite, not necessarily simple), with vertices V = [n] and edges oriented arbitrarily.

Definition The signed incidence matrix $\partial = \partial(G)$ has rows and columns corresponding to vertices and edges of *G*, with entries

$$\partial_{v,e} = \begin{cases} +1 & \text{if } v = \text{head}(e) \\ -1 & \text{if } v = \text{tail}(e) \\ 0 & \text{if } v \notin e \text{ or } e \text{ is a loop} \end{cases}$$

Definition A spanning tree of G is a set of edges (or a subgraph) corresponding to a column basis of ∂ .

 $\mathscr{T}(G) = \text{set of spanning trees of } G; \quad \tau(G) = |\mathscr{T}(G)|$

Definition Let *G* be a connected graph with vertices $[n] = \{1, ..., n\}$ and no loops. The Laplacian of *G* is the $n \times n$ matrix $L = \partial \partial^T = [\ell_{ij}]$:

$$\ell_{ij} = \begin{cases} \deg_G(i) & \text{if } i = j, \\ -(\text{number of edges between } i \text{ and } j) & \text{if } i \neq j. \end{cases}$$

Matrix-Tree Theorem [Kirchhoff 1847]

(1) Let $0, \lambda_1, \lambda_2, \ldots, \lambda_{n-1}$ be the eigenvalues of L. Then the number of spanning trees of G is

$$\tau(G) = \frac{\lambda_1 \lambda_2 \cdots \lambda_{n-1}}{n}$$

(2) Let $1 \le i \le n$. Form the **reduced Laplacian** L_i by deleting the i^{th} row and i^{th} column of L. Then

$$au(G) = \det L_i$$
 .

Proof Sketch:

- Note that $L = \partial \partial^T$ and $L_i = \partial_i \partial_i^T$.
- Column bases of ∂ = spanning trees of G.
- Binet-Cauchy:

$$\det(\partial_i \partial_i^T) = \sum_{\substack{A \subseteq E(T) \\ |A| = n-1}} (\det \partial_A)^2 = \sum_{T \in \mathscr{T}(G)} (\pm 1)^2 = \tau(G).$$

The **complete graph** K_n has *n* vertices, with every pair connected by one edge.

- ▶ Nonzero Laplacian spectrum: n^{n-1}
- $\tau(K_n) = n^{n-2}$ (Cayley's formula)

The **complete bipartite graph** $K_{p,q}$ has p red vertices and q blue vertices, with every red/blue pair connected by one edge.

▶ Nonzero Laplacian spectrum: $(p+q)^1 p^{q-1} q^{p-1}$

$$\blacktriangleright \tau(K_{p,q}) = p^{q-1}q^{p-1}$$

Both these formulas can also be obtained bijectively [classical]

Hypercubes

The hypercube graph Q_n has 2^n vertices, labeled by strings of n bits (0's and 1's), with two vertices adjacent if they agree in all but one bit.



Theorem The eigenvalues of the Laplacian of Q_n are 0, 2, 4, ..., 2n, with 2k having multiplicity $\binom{n}{k}$. Therefore,

$$\tau(Q_n)=2^{2^n-n-1}\prod_{k=2}^n k^{\binom{n}{k}}.$$

Combinatorial proof: [Bernardi '12]

A graph G with vertex set $\{1, 2, ..., n\}$ is a **threshold graph** if, whenever ab is an edge, so is a'b' for all $a' \le a$ and $b' \le b$.

Equivalently, the edges of G form an order ideal under componentwise order.



Theorem [Merris '94] The eigenvalues of the Laplacian of a threshold graph G on vertices [n] are the columns λ'_j of the partition $\lambda = \lambda(G)$ whose rows are the vertex degrees.



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Vertex degrees: 4, 4, 3, 3, 2

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Laplacian eigenvalues: 5, 5, 4, 2, 0

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 $\tau = 5 \times 4 \times 2 = 40$

Laplacian eigenvalues: 5, 5, 4, 2, 0

Weighted Counting

G = (V, E) graph; $\{x_e : e \in E\}$ commuting indeterminates Weighted Laplacian $\hat{L} = [\hat{\ell}_{ij}]_{i,j \in V}$:

$$\hat{\ell}_{ij} = \begin{cases} \sum_{e \ni i} x_e & \text{if } i = j, \\ -\sum_{e=ij} x_e & \text{if } i \neq j. \end{cases}$$

Reduced Laplacian \hat{L}_i : pick a vertex *i*; delete *i*th row and *i*th column of \hat{L}

Weighted Matrix-Tree Theorem

$$\det L_i = \sum_{T \in \mathscr{T}(G)} \prod_{e \in T} x_e.$$

Weighted Counting

Combinatorial information about $\mathscr{T}(G)$ can be obtained by specializing edge weights x_e . Often, tree enumerators factor nicely.

• Complete graphs: $x_{ij} = x_i x_j$ gives Cayley-Prüfer formula

$$\sum_{T \in \mathscr{T}(K_n)} x_1^{\deg_T(1)} \cdots x_n^{\deg_T(n)} = x_1 \cdots x_n (x_1 + \cdots + x_n)^{n-2}$$

- Generalization to extended [Prüfer] graphs [Kelmans '92]
- Threshold graphs [Remmel–Williamson '02, JLM–Reiner '03]: factorization for bidegree generating function:

$$\sum_{T \in \mathscr{T}(G)} \prod_{e=i < j \in T} x_i y_j = x_1 y_n \prod_{r=2}^{n-1} \left(\sum_{i=1}^{\lambda'_r} x_{\min(i,r)} y_{\max(i,r)} \right)$$

Hypercubes: different weighting factors [JLM–Reiner '03]

A *d*-simplex is the convex hull of d + 1 general points in \mathbb{R}^{d+1} .



A simplicial complex is a space built (properly) from simplices.



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Simplicial Complexes

Combinatorially, a simplicial complex is a set family $\Delta \subseteq 2^{\{1,2,\dots,n\}}$ such that if $\sigma \in \Delta$ and $\sigma' \subseteq \sigma$, then $\sigma' \in \Delta$.





 $\Delta_1=\langle 12,14,24,24,25,35\rangle$



- faces or simplices: elements of Δ
- dimension: dim $\sigma = |\sigma| 1$
- facet: a maximal face
- pure complex: all facets have equal dimension
- **k**-skeleton $\Delta_{(k)} = \{\sigma \in \Delta : \dim \sigma \le k\}$

Simplicial Boundary Maps and Homology

Let Δ be a simplicial complex on vertices [n]. Write Δ_k for the set of k-dimensional faces.

The k^{th} simplicial boundary matrix of Δ is

$$\partial_k = \partial_k(\Delta) = [d_{
ho,\sigma}]_{
ho \in \Delta_{k-1}, \sigma \in \Delta_k}$$

where

$$d_{\rho,\sigma} = \begin{cases} (-1)^j & \text{if } \sigma = \{v_0 < v_1 < \dots < v_k\} \text{ and } \rho = \sigma \setminus v_j \\ 0 & \text{if } \rho \not\subseteq \sigma \end{cases}$$

Note: ∂_1 is the signed incidence matrix of the 1-skeleton of Δ . **Fact:** ker $\partial_k \supseteq$ im ∂_{k+1} for all k.

Simplicial Boundary Maps and Homology

Fact: ker $\partial_k \supseteq \operatorname{im} \partial_{k+1}$ for all k.

Definition For a ring *R*, the **homology groups of** Δ with **coefficients in** *R* are defined by

$$ilde{H}_k(\Delta; R) = \ker(\partial_k; R) / \operatorname{im}(\partial_{k+1}; R).$$

(Default: $R = \mathbb{Z}$.)

Homology groups are topological invariants.

•
$$\tilde{H}_0(\Delta; R) = 0 \iff \Delta$$
 is connected
• $\tilde{H}_1(\Delta; R) = 0 \iff \Delta$ is simply connected

•
$$\Delta$$
 is contractible $\implies \tilde{H}_k(\Delta; R) = 0$ for all k, R

Definition Let Δ^d be a pure simplicial complex of dimension d. A **spanning tree** (ST) is a complex Υ such that $\Delta_{(d-1)} \subseteq \Upsilon \subseteq \Delta$ and either of the following equivalent conditions hold:

1. The columns of $\partial_d(\Delta)$ corresponding to faces of Υ form a basis for its column space over \mathbb{Q}

(i.e., Υ is a basis of the **simplicial matroid** of ∂_d).

2.
$$\tilde{H}_d(\Upsilon; \mathbb{Q}) = 0$$
 and $\tilde{H}_{d-1}(\Upsilon; \mathbb{Q}) = 0$.

3.
$$ilde{H}_d(\Upsilon;\mathbb{Z})=0$$
 and $ilde{H}_{d-1}(\Upsilon;\mathbb{Z})$ is finite.

As before, let $\mathscr{T}(\Delta)$ denote the set of spanning trees of Δ .

Note that we are **not** defining $\tau(\Delta)$ to be the cardinality of $\mathscr{T}(\Delta)$!

• dim
$$\Delta = 1$$
: $\mathscr{T}(\Delta) =$ usual graph-theoretic spanning trees

• dim
$$\Delta = 0$$
: $\mathscr{T}(\Delta) =$ vertices of Δ

• If Δ is contractible: it has only one ST, namely itself.

- Contractible complexes \approx acyclic graphs
- ▶ Some noncontractible complexes also qualify, notably ℝP²
- If Δ is a simplicial sphere: STs are Δ \ {σ}, where σ ∈ Δ is any facet (maximal face)

Simplicial spheres are analogous to cycle graphs

Pop quiz: How many spanning trees does the equatorial bipyramid $\Delta=\langle 123,124,134,234,125,135,235\rangle$ have?



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- Either remove triangle 123 and any other triangle (6 STs)...
- ... or one each "northern" and "southern" triangle (9 STs).

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If Δ is a graph, then every spanning tree $\Upsilon \in \mathscr{T}(\Delta)$ is contractible, hence $\widetilde{H}_0(\Upsilon; \mathbb{Z}) = 0$.

On the other hand, if dim $\Delta = d \ge 2$ then $\tilde{H}_{d-1}(\Upsilon; \mathbb{Z})$ can be nontrivial.

 $\begin{array}{ll} \mbox{\bf Example} & \Delta = \mbox{complete 2-dimensional complex on 6 vertices; } \Upsilon \\ = \mbox{triangulation of } \mathbb{RP}^2. \ \mbox{Then} \end{array}$

 $\widetilde{H}_1(\Upsilon;\mathbb{Z})\cong\mathbb{Z}/2\mathbb{Z}.$

Geometrically: torsion suggests non-orientability.

Combinatorially: torsion affects the count of spanning trees.

Simplicial Laplacians

Definition Updown Laplacian matrix of Δ in dimension k - 1:

$$L_{k-1}^{\mathsf{ud}}(\Delta) = \partial_k \partial_k^{\mathcal{T}}.$$

- L₀^{ud}(Δ) is the usual graph Laplacian (rows/columns indexed by vertices).
- L^{ud}_{k-1}(Δ) is a symmetric square matrix with rows/columns indexed by ρ, π ∈ Δ_{k-1}:

$$\ell_{\rho,\pi} = \begin{cases} \#\{\sigma \in \Delta_k \ | \ \sigma \supseteq \rho\} & \text{ if } \rho = \pi, \\ \pm 1 & \text{ if } \rho, \pi \text{ lie in a common } k\text{-face,} \\ 0 & \text{ otherwise} \end{cases}$$

Reduced Laplacian $L_T(\Delta)$: pick a (k - 1)-tree T and delete rows/columns corresponding to its facets

Simplicial Matrix-Tree Theorem (Bolker, Kalai, Adin, Duval–Klivans–JLM, ...)

The "number" of spanning trees of Δ^d is

$$\tau_d(\Delta) \stackrel{\text{def}}{=} \sum_{\Upsilon \in \mathscr{T}(\Delta)} |\tilde{H}_{d-1}(\Upsilon)|^2 = c \det \hat{L}_{\mathcal{T}} = \frac{c' \operatorname{pdet} L}{\tau_{d-1}(\Delta)}.$$

- If d = 1 (graphs) then all summands are 1
- pdet M = product of nonzero eigenvalues (pseudodeterminant)
- Correction factors c, c' involve torsion homology; often trivial
- ▶ When do *L* and/or *L*_T have integer eigenvalues?

Kalai's Theorem

Complete *d*-dimensional complex on *n* vertices:

$$\mathcal{K}_{n,d} = \{ F \subseteq \{1, \ldots, n\} \mid \dim F \leq d \}$$

(In particular $K_{n,1} = K_{n.}$) **Theorem** [Kalai '83]

$$\tau(K_{n,d}) = n^{\binom{n-2}{d}}.$$

Better yet,

$$\sum_{\Upsilon \in \mathscr{T}(K)} |\widetilde{H}_{d-1}(\Upsilon)|^2 \prod_{i=1}^n x_i^{\deg_{\Upsilon}(i)} = (x_1 \cdots x_n)^{\binom{n-2}{d-1}} (x_1 + \cdots + x_n)^{\binom{n-2}{d}}.$$

Kalai's Theorem

- ► Kalai's theorem reduces to \(\tau(K_n) = n^{n-2}\) when \(d = 1\), and the weighted version reduces to Cayley-Pr\"ufer.
- Bolker (1976): Observed that $n^{\binom{n-2}{d}}$ is an exact count of trees for small n, d, but fails for n = 6, d = 2.
 - ► The problem is torsion ℝℙ² requires six vertices to triangulate
- ► Adin (1992): Analogous formula for complete colorful complexes, generalizing \(\tau(K_{n,m}) = n^{m-1}m^{n-1}\)
- Duval–Klivans–JLM (2009): Enumeration for shifted complexes (I might get to this later)

A [resistor] network $N = (V, E, \mathbf{r})$ is a connected graph (V, E) together with positive resistances $\mathbf{r} = (r_e)_{e \in E}$.



currents $\mathbf{i} = (i_{\vec{e}})_{e \in E}$ voltages $\mathbf{v} = (v_{\vec{e}})_{e \in E}$

Ohm's law $i_e n$ Kirchhoff's current lawNeKirchhoff's voltage lawNe

$$i_e r_e = v_e \quad (\forall e \in E)$$

Net current out of every vertex is 0 Net voltage gain around every cycle is 0

Every voltage comes from a **potential** $(p_x)_{x \in V}$ via $v_{\vec{xy}} = p_y - p_x$

Kirchhoff's Laws and the Incidence Matrix



KCL: $\mathbf{i} \in \ker \partial = \operatorname{nullspace}(\partial)$

• Currents are **flows** KVL: $\mathbf{v} \in (\ker \partial)^{\perp} = \operatorname{rowspace}(\partial)$

Voltages are cuts

Idea: Attach a **current generator**: edge $\mathbf{e} = \overrightarrow{xy}$ with current i_{e} , then look for currents and voltages satisfying OL, KCL, KPL.

Dirichlet principle The state of the system is the unique minimizer of "total energy" $\sum_{e} v_e i_e$ subject to OL, KCL, KPL.

Rayleigh principle As far as the external world is concerned, the system is equivalent to a single edge **e** with resistance

$$R_{\mathbf{e}}^{\mathrm{eff}} = R_{xy}^{\mathrm{eff}} = rac{p_y - p_x}{c_{\mathbf{e}}}$$

(the **effective resistance** of **e**).

Fact: If (v, i) obeys OL+KCL+KPL and minimize energy, then

$$R_{\rm e}^{\rm eff} = v_{\rm e}/i_{\rm e}.$$

Theorem [Thomassen 1990] Let $N = (V, E, \mathbf{r})$ be a network and $e = xy \in E$. • If $\mathbf{r} \equiv 1$, then

$$R_{xy}^{\text{eff}} = \frac{\tau(G/xy)}{\tau(G)} = \Pr[\text{random spanning tree contains } xy]$$

• Generalization for arbitrary resistances:

$$R_{xy}^{\text{eff}} = \frac{\hat{\tau}(G/xy)}{\hat{\tau}(G)} = \frac{\sum_{T \in \mathscr{T}(G/xy)} \prod_{e \in T} r_e^{-1}}{\sum_{T \in \mathscr{T}(G)} \prod_{e \in T} r_e^{-1}}.$$

Combinatorial application: weighted tree enumeration!

The **Ferrers graph** G_{λ} of a partition λ has vertices corresponding to the rows and columns of λ , and edges corresponding to squares.



Here $\lambda = (4, 4, 2)$, $\lambda' = (3, 3, 2, 2)$, $n = 3 = \ell(\lambda)$, $m = 4 = \ell(\lambda')$. Define a degree-weighted tree enumerator

$$\hat{\tau}(G) = \sum_{T \in \mathscr{T}(G_{\lambda})} \prod_{i=1}^{m} x_i^{\deg_{T}(u_i)} \prod_{j=1}^{n} y_j^{\deg_{T}(v_j)}$$

Application: Ferrers Graphs



Theorem (Ehrenborg and van Willigenburg, 2004):

$$\hat{\tau}(G_{\lambda}) = x_1 \cdots x_m y_1 \cdots y_n \prod_{i=2}^n (y_1 + \cdots + y_{\lambda_i}) \prod_{j=2}^n (x_1 + \cdots + x_{\lambda'_j})$$

(Proof sketch: Find effective resistance of a corner of λ ; induct.) In the example above,

 $\hat{\tau}(G_{\lambda}) = x_1 x_2 x_3 x_4 y_1 y_2 y_3$ $\times (y_1 + y_2 + y_3)(y_1 + y_2)^2 (x_1 + x_2 + x_3 + x_4)(x_1 + x_2)$ and in particular $\tau(G_{\lambda}) = 3 \cdot 2^2 \cdot 4 \cdot 2$.

Simplicial Networks

Simplicial network: pure complex Δ^d with resistances $(\mathbf{r}_{\varphi})_{\varphi \in \Phi}$ $(\Phi = \text{facets of } \Delta)$





Currents $\mathbf{i} = (i_{\varphi})_{\varphi \in \Phi}$ Voltages $\mathbf{v} = (v_{\varphi})_{\varphi \in \Phi}$

Ohm's law $i_{\varphi}r_{\varphi} = v_{\varphi}$ for all $\varphi \in \Phi$ Kirchhoff's current law $\mathbf{i} \in \ker(\partial_d)$ Kirchhoff's voltage law $\mathbf{v} \in \ker(\partial_d)^{\perp}$

▶ Dirichlet, Rayleigh, *R*^{eff} have natural simplicial analogues.

Theorem [Kook–Lee 2018] Let (Δ, \mathbf{r}) be a simplicial network and σ a current generator. Then:

$$R_{\sigma}^{\mathsf{eff}} = \frac{\hat{\tau}(\Delta/\sigma)}{\hat{\tau}(\Delta)} = \frac{\sum_{T \in \mathscr{T}(\Delta/\sigma)} |\tilde{H}_{d-1}(T,\mathbb{Z})|^2 \prod_{\varphi \in T} r_{\varphi}^{-1}}{\sum_{T \in \mathscr{T}(\Delta)} |\tilde{H}_{d-1}(T,\mathbb{Z})|^2 \prod_{\varphi \in T} r_{\varphi}^{-1}}.$$

- Generalizes Thomassen's theorem for R^{eff} in graphs
- Δ/σ = quotient complex (not simplicial, but close enough)
- Application: count trees by induction on facets (a la Ehrenborg-van Willigenburg)

Shifted Complexes

A (pure) simplicial complex Δ on vertices $\{1, \ldots, n\}$ is **shifted** if any vertex of a face may be replaced with a smaller vertex. Equivalently, the facets of Δ form an order ideal in *Gale order* or *componentwise order* (best explained by a picture)





Shifted complexes are **nice**: shellable, good h-vectors, arise in algebra (Borel-fixed ideals), generalize threshold graphs

Duval–Reiner '02: Let λ_i = number of max-dim faces containing vertex *i*. Then eigenvalues of $L(\Delta)$ = column lengths of λ .

(Generalizes Merris's Theorem — one-dimensional shifted complexes are just threshold graphs.)

Duval–Klivans–JLM '09: recursion for $\hat{\tau}(\Delta)$ via the shifted complexes $\langle \varphi \in \Delta \mid 1 \in \varphi \rangle$ and $\langle \varphi \in \Delta \mid 1 \notin \varphi \rangle$. Here $\hat{\tau}(\Delta)$ is the finely weighted degree enumerator

$$\hat{\tau}(\Delta) = \sum_{\Upsilon \in \mathscr{T}(\Delta)} |H_{d-1}(\Upsilon; \mathbb{Z})|^2 \prod_{\substack{\text{facets} \\ \{v_0 < \cdots < v_d\}}} x_{0,v_0} \cdots x_{d,v_d}$$

Punchline: Critical pairs *P* correspond to factors f_P of $\hat{\tau}(\Delta)$.

Shifted Complexes



$$R^{\text{eff}}(\sigma) = \frac{\hat{\tau}(\Delta/\sigma)}{\hat{\tau}(\Delta)} = \frac{\prod_{\text{yellow } P} f_P}{\prod_{\text{green } P} f_P}$$

Color-Shifted Complexes

A simplicial complex Δ^d is **color-shifted** [Babson–Novik '06] if:

$$\blacktriangleright \ V(\Delta) = V_1 \cup \cdots \cup V_{d+1}, \text{ where } V_q = \{v_{q1}, \ldots, v_{q\ell_q}\}$$

Each facet contains exactly one vertex of each color

• A vertex may be replaced with a smaller vertex of same color (Equivalently, facets are an order ideal in $V_1 \times \cdots \times V_q$.)

A 1-dimensional color-shifted complex is just a Ferrers graph.





Color-Shifted Complexes



Vertex-weighted spanning tree enumerators:

$$egin{aligned} \hat{ au}(\Delta) &= \sum_{\Upsilon \in \mathscr{T}(\Delta)} |\mathcal{H}_{d-1}(\Upsilon; \mathbb{Z})|^2 \prod_{arphi \in \Upsilon} \prod_{v_{qj} \in arphi} x_{qj} \ &= \sum_{\Upsilon \in \mathscr{T}(\Delta)} |\mathcal{H}_{d-1}(\Upsilon; \mathbb{Z})|^2 \prod_{q,j} x_{qj}^{\mathsf{deg}_{\Upsilon}(v_{qj})} \end{aligned}$$

Proposition [Duval-Kook-Lee-JLM 2021⁺] Let Δ^d be color-shifted and $\sigma = v_{1,k_1} \dots v_{d+1,k_{d+1}}$ a minimal nonfacet. Then

$$R^{\text{eff}}(\sigma) = \frac{\hat{\tau}(\Delta + \sigma)}{\tau(\Delta)} = \prod_{q=1}^{d+1} \frac{x_{q,1} + \cdots + x_{q,k_q}}{x_{q,1} + \cdots + x_{q,k_q-1}}.$$

Trees in Color-Shifted Complexes

Theorem [Duval–Kook–Lee–JLM 2022⁺]

$$\hat{\tau}(\Delta) = \prod_{q,i} x_{q,i}^{e(q,i)} \prod_{\substack{\rho \in \Delta \\ \dim \rho = d-1}} (x_{m(\rho),1} + \dots + x_{m(\rho),k(\rho)})$$

where

$$e(q, i) = \#\{\sigma \in \Delta_d \mid v_{q,i} \in \sigma \text{ and } v_{q',1} \in \sigma \text{ for some } q' \neq q\}$$
$$m(\rho) = \text{unique color missing from } \rho$$
$$k(\rho) = \max\{j \mid \rho \cup v_{m(\rho),j} \in \Delta\}$$

- Special case d = 1 is Ehrenborg–van Willigenburg
- Previously conjectured by Aalipour and Duval [unpublished]
- Result seems inaccessible without effective resistance

Thank you!

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