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# On the maximum number of cliques in a graph embedded in a surface

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## ABSTRACT

This paper studies the following question: given a surface  $\Sigma$  and an integer  $n$ , what is the maximum number of cliques in an  $n$ -vertex graph embeddable in  $\Sigma$ ? We characterise the extremal graphs for this question, and prove that the answer is between  $8(n - \omega) + 2^\omega$  and  $8n + \frac{5}{2}2^\omega + o(2^\omega)$ , where  $\omega$  is the maximum integer such that the complete graph  $K_\omega$  embeds in  $\Sigma$ . For the surfaces  $\mathbb{S}_0, \mathbb{S}_1, \mathbb{S}_2, \mathbb{N}_1, \mathbb{N}_2, \mathbb{N}_3$  and  $\mathbb{N}_4$  we establish an exact answer.

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## 1. Introduction

A *clique* in a graph<sup>5</sup> is a set of pairwise adjacent vertices. Let  $c(G)$  be the number of cliques in a graph  $G$ . For example, every set of vertices in the complete graph  $K_n$  is a clique, and  $c(K_n) = 2^n$ . This paper studies the following question at the intersection of topological and extremal graph theory:

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<sup>5</sup> We consider simple, finite, undirected graphs  $G$  with vertex set  $V(G)$  and edge set  $E(G)$ . A  $K_3$  subgraph of  $G$  is called a *triangle* of  $G$ . For background graph theory, see [4].

given a surface  $\Sigma$  and an integer  $n$ , what is the maximum number of cliques in an  $n$ -vertex graph embeddable in  $\Sigma$ ?

For previous bounds on the maximum number of cliques in certain graph families, see [5,6,13,14,22,23] for example. For background on graphs embedded in surfaces, see [11,21]. Every surface is homeomorphic to  $\mathbb{S}_g$ , the orientable surface with  $g$  handles, or to  $\mathbb{N}_h$ , the non-orientable surface with  $h$  crosscaps. The Euler characteristic of  $\mathbb{S}_g$  is  $2 - 2g$ . The Euler characteristic of  $\mathbb{N}_h$  is  $2 - h$ . The orientable genus of a graph  $G$  is the minimum integer  $g$  such that  $G$  embeds in  $\mathbb{S}_g$ . The non-orientable genus of a graph  $G$  is the minimum integer  $h$  such that  $G$  embeds in  $\mathbb{N}_h$ . The orientable genus of  $K_n$  ( $n \geq 3$ ) is  $\lceil \frac{1}{12}(n-3)(n-4) \rceil$ , and its non-orientable genus is  $\lceil \frac{1}{6}(n-3)(n-4) \rceil$ , except that the non-orientable genus of  $K_7$  is 3.

Throughout the paper, fix a surface  $\Sigma$  with Euler characteristic  $\chi$ . If  $\Sigma = \mathbb{S}_0$  then let  $\omega = 3$ , otherwise let  $\omega$  be the maximum integer such that  $K_\omega$  embeds in  $\Sigma$ . Thus  $\omega = \lfloor \frac{1}{2}(7 + \sqrt{49 - 24\chi}) \rfloor$  except for  $\Sigma = \mathbb{S}_0$  and  $\Sigma = \mathbb{N}_2$ , in which case  $\omega = 3$  and  $\omega = 6$ , respectively.

To avoid trivial exceptions, we implicitly assume that  $|V(G)| \geq 3$  whenever  $\Sigma = \mathbb{S}_0$ .

Our first main result is to characterise the  $n$ -vertex graphs embeddable in  $\Sigma$  with the maximum number of cliques; see Theorem 1 in Section 2. Using this result we determine an exact formula for the maximum number of cliques in an  $n$ -vertex graph embeddable in each of the sphere  $\mathbb{S}_0$ , the torus  $\mathbb{S}_1$ , the double torus  $\mathbb{S}_2$ , the projective plane  $\mathbb{N}_1$ , the Klein bottle  $\mathbb{N}_2$ , as well as  $\mathbb{N}_3$  and  $\mathbb{N}_4$ ; see Section 3. Our third main result estimates the maximum number of cliques in terms of  $\omega$ . We prove that the maximum number of cliques in an  $n$ -vertex graph embeddable in  $\Sigma$  is between  $8(n - \omega) + 2^\omega$  and  $8n + \frac{5}{2} 2^\omega + o(2^\omega)$ ; see Theorem 2 in Section 4.

## 2. Characterisation of extremal graphs

The upper bounds proved in this paper are of the form: every graph  $G$  embeddable in  $\Sigma$  satisfies  $c(G) \leq 8|V(G)| + f(\Sigma)$  for some function  $f$ . Define the excess of  $G$  to be  $c(G) - 8|V(G)|$ . Thus the excess of  $G$  is at most  $Q$  if and only if  $c(G) \leq 8|V(G)| + Q$ . Theorem 2 proves that the maximum excess of a graph embeddable in  $\Sigma$  is finite.

In this section, we characterise the graphs embeddable in  $\Sigma$  with maximum excess. A triangulation of  $\Sigma$  is an embedding of a graph in  $\Sigma$  in which each facial walk has three vertices and three edges with no repetitions. (We assume that every face of a graph embedding is homeomorphic to a disc.)

**Lemma 1.** Every graph  $G$  embeddable in  $\Sigma$  with maximum excess is a triangulation of  $\Sigma$ .

**Proof.** Since adding edges within a face increases the number of cliques, the vertices on the boundary of each face of  $G$  form a clique.

Suppose that some face  $f$  of  $G$  has at least four distinct vertices in its boundary. Let  $G'$  be the graph obtained from  $G$  by adding one new vertex adjacent to four distinct vertices of  $f$ . Thus  $G'$  is embeddable in  $\Sigma$ , has  $|V(G)| + 1$  vertices, and has  $c(G) + 16$  cliques, which contradicts the choice of  $G$ . Now assume that every face of  $G$  has at most three distinct vertices.

Suppose that some face  $f$  of  $G$  has repeated vertices. Thus the facial walk of  $f$  contains vertices  $u, v, w, v$  in this order (where  $v$  is repeated in  $f$ ). Let  $G'$  be the graph obtained from  $G$  by adding two new vertices  $p$  and  $q$ , where  $p$  is adjacent to  $\{u, v, w, q\}$ , and  $q$  is adjacent to  $\{u, v, w, p\}$ . So  $G'$  is embeddable in  $\Sigma$  and has  $|V(G)| + 2$  vertices. If  $S \subseteq \{p, q\}$  and  $S \neq \emptyset$  and  $T \subseteq \{u, v, w\}$ , then  $S \cup T$  is a clique of  $G'$  but not of  $G$ . It follows that  $G'$  has  $c(G) + 24$  cliques, which contradicts the choice of  $G$ . Hence no face of  $G$  has repeated vertices, and  $G$  is a triangulation of  $\Sigma$ .  $\square$

Let  $G$  be a triangulation of  $\Sigma$ . An edge  $vw$  of  $G$  is reducible if  $vw$  is in exactly two triangles in  $G$ . We say  $G$  is irreducible if no edge of  $G$  is reducible [2,3,7,9,10,12,17,19,20]. Note that  $K_3$  is a triangulation of  $\mathbb{S}_0$ , and by the above definition,  $K_3$  is irreducible. In fact, it is the only irreducible triangulation of  $\mathbb{S}_0$ . We take this somewhat non-standard approach so that Theorem 1 holds for all surfaces.

Let  $vw$  be a reducible edge of a triangulation  $G$  of  $\Sigma$ . Let  $vwx$  and  $vwy$  be the two faces incident to  $vw$  in  $G$ . As illustrated in Fig. 1, let  $G/vw$  be the graph obtained from  $G$  by contracting  $vw$ ; that is, delete the edges  $vw, wy, wx$ , and identify  $v$  and  $w$  into  $v$ .  $G/vw$  is a simple graph since  $x$  and  $y$  are the

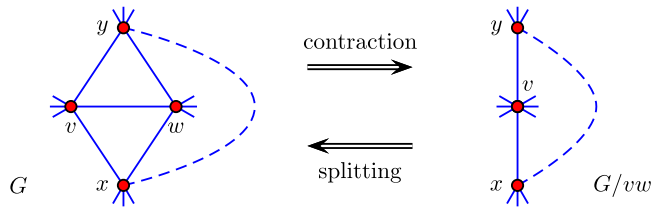


Fig. 1. Contracting a reducible edge.

only common neighbours of  $v$  and  $w$ . Indeed,  $G/vw$  is a triangulation of  $\Sigma$ . Conversely, we say that  $G$  is obtained from  $G/vw$  by *splitting* the path  $xvy$  at  $v$ . If, in addition,  $xy \in E(G)$ , then we say that  $G$  is obtained from  $G/vw$  by *splitting* the triangle  $xvy$  at  $v$ . Note that  $xvy$  need not be a face of  $G/vw$ . In the case that  $xvy$  is a face, splitting  $xvy$  is equivalent to adding a new vertex adjacent to each of  $x, v, y$ .

Graphs embeddable in  $\Sigma$  with maximum excess are characterised in terms of irreducible triangulations as follows.

**Theorem 1.** *Let  $Q$  be the maximum excess of an irreducible triangulation of  $\Sigma$ . Let  $X$  be the set of irreducible triangulations of  $\Sigma$  with excess  $Q$ . Then the excess of every graph  $G$  embeddable in  $\Sigma$  is at most  $Q$ , with equality if and only if  $G$  is obtained from some graph in  $X$  by repeatedly splitting triangles.*

**Proof.** We proceed by induction on  $|V(G)|$ . By Lemma 1, we may assume that  $G$  is a triangulation of  $\Sigma$ . If  $G$  is irreducible, then the claim follows from the definition of  $X$  and  $Q$ . Otherwise, some edge  $vw$  of  $G$  is in exactly two triangles  $vw x$  and  $vw y$ . By induction, the excess of  $G/vw$  is at most  $Q$ , with equality if and only if  $G/vw$  is obtained from some  $H \in X$  by repeatedly splitting triangles. Hence  $c(G/vw) \leq 8|V(G/vw)| + Q$ .

Observe that every clique of  $G$  that is not in  $G/vw$  is in  $\{A \cup \{w\} : A \subseteq \{x, v, y\}\}$ . Thus  $c(G) \leq c(G/vw) + 8$ , with equality if and only if  $xvy$  is a triangle. Hence  $c(G) \leq 8|V(G)| + Q$ ; that is, the excess of  $G$  is at most  $Q$ .

Now suppose that the excess of  $G$  equals  $Q$ . Then the excess of  $G/vw$  equals  $Q$ , and  $c(G) = c(G/vw) + 8$  (implying  $xvy$  is a triangle). By induction,  $G/vw$  is obtained from  $H$  by repeatedly splitting triangles. Therefore  $G$  is obtained from  $H$  by repeatedly splitting triangles.

Conversely, suppose that  $G$  is obtained from some  $H \in X$  by repeatedly splitting triangles. Then  $xvy$  is a triangle and  $G/vw$  is obtained from  $H$  by repeatedly splitting triangles. By induction, the excess of  $G/vw$  equals  $Q$ , implying the excess of  $G$  equals  $Q$ .  $\square$

### 3. Low-genus surfaces

To prove an upper bound on the number of cliques in a graph embedded in  $\Sigma$ , by Theorem 1, it suffices to consider irreducible triangulations of  $\Sigma$  with maximum excess. The complete list of irreducible triangulations is known for  $\mathbb{S}_0, \mathbb{S}_1, \mathbb{S}_2, \mathbb{N}_1, \mathbb{N}_2, \mathbb{N}_3$  and  $\mathbb{N}_4$ . In particular, Steinitz and Rademacher [16] proved that  $K_3$  is the only irreducible triangulation of  $\mathbb{S}_0$  (under our definition of irreducible). Lavrenchenko [9] proved that there are 21 irreducible triangulations of  $\mathbb{S}_1$ , each with between 7 and 10 vertices. Sulanke [17] proved that there are 396,784 irreducible triangulations of  $\mathbb{S}_2$ , each with between 10 and 17 vertices. Barnette [1] proved that the embeddings of  $K_6$  and  $K_7 - K_3$  in  $\mathbb{N}_1$  are the only irreducible triangulations of  $\mathbb{N}_1$ . Sulanke [20] proved that there are 29 irreducible triangulations of  $\mathbb{N}_2$ , each with between 8 and 11 vertices (correcting an earlier result by Lawrencenko and Negami [10]). Sulanke [17] proved that there are 9708 irreducible triangulations of  $\mathbb{N}_3$ , each with between 9 and 16 vertices. Sulanke [17] proved that there are 6,297,982 irreducible triangulations of  $\mathbb{N}_4$ , each with between 9 and 22 vertices. Using the lists of all irreducible triangulations due to Sulanke [18] and a naive algorithm for counting cliques,<sup>6</sup> we have computed the set  $X$  in Theorem 1 for each of the above surfaces; see Table 1. This data with Theorem 1 implies the following results.

<sup>6</sup> The code is available from the authors upon request.

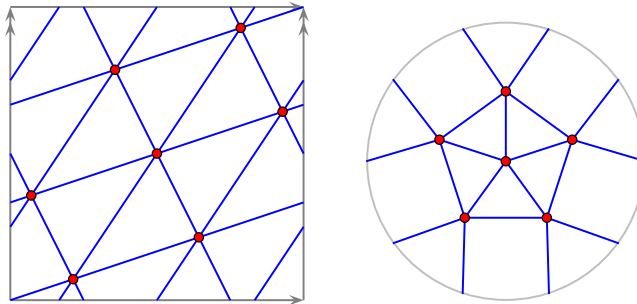


Fig. 2.  $K_7$  embedded in the torus, and  $K_6$  embedded in the projective plane.

Table 1

The maximum excess of an  $n$ -vertex irreducible triangulation of  $\Sigma$ .

$\Sigma$	$\chi$	$\omega$	$n = 3$	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	Max	
$\mathbb{S}_0$	2	3	<b>-16</b>																		-16	
$\mathbb{S}_1$	0	7			<b>72</b>	48	40	32													72	
$\mathbb{S}_2$	-2	8						<b>208</b>	160	136	128	120	96	88	80						208	
$\mathbb{N}_1$	1	6		<b>16</b>	8																16	
$\mathbb{N}_2$	0	6				<b>48</b>	<b>48</b>	40	32												48	
$\mathbb{N}_3$	-1	7					<b>104</b>	<b>104</b>	96	80	80	72	64	56							104	
$\mathbb{N}_4$	-2	8						<b>216</b>	208	152	136	136	136	128	120	112	107	99	91	83	75	216

**Proposition 1.** Every planar graph  $G$  with  $|V(G)| \geq 3$  has at most  $8|V(G)| - 16$  cliques, as proved by Wood [22]. Moreover, a planar graph  $G$  has  $8|V(G)| - 16$  cliques if and only if  $G$  is obtained from the embedding of  $K_3$  in  $\mathbb{S}_0$  by repeatedly splitting triangles.

**Proposition 2.** Every toroidal graph  $G$  has at most  $8|V(G)| + 72$  cliques. Moreover, a toroidal graph  $G$  has  $8|V(G)| + 72$  cliques if and only if  $G$  is obtained from the embedding of  $K_7$  in  $\mathbb{S}_1$  by repeatedly splitting triangles (see Fig. 2).

**Proposition 3.** Every graph  $G$  embeddable in  $\mathbb{S}_2$  has at most  $8|V(G)| + 208$  cliques. Moreover, a graph  $G$  embeddable in  $\mathbb{S}_2$  has  $8|V(G)| + 208$  cliques if and only if  $G$  is obtained from one of the following two graph embeddings in  $\mathbb{S}_2$  by repeatedly splitting triangles<sup>7</sup>:

- graph #1:  $bcde, aefdghic, abiehfgd, acgbfihe, adhcjgfb, begchjid, bdcfeijh, bgjfcedi, bhdjfgec, fhgi$
- graph #6:  $bcde, aefdghijc, abjehfgd, acgbfjihe, adhcjgfb, begchjd, bdcfejh, bgjfcedi, bhdj, bidfhgce.$

**Proposition 4.** Every projective planar graph  $G$  has at most  $8|V(G)| + 16$  cliques. Moreover, a projective planar graph  $G$  has  $8|V(G)| + 16$  cliques if and only if  $G$  is obtained from the embedding of  $K_6$  in  $\mathbb{N}_1$  by repeatedly splitting triangles (see Fig. 2).

**Proposition 5.** Every graph  $G$  embeddable in the Klein bottle  $\mathbb{N}_2$  has at most  $8|V(G)| + 48$  cliques. Moreover, a graph  $G$  embeddable in  $\mathbb{N}_2$  has  $8|V(G)| + 48$  cliques if and only if  $G$  is obtained from one of the following three graph embeddings in  $\mathbb{N}_2$  by repeatedly splitting triangles (see Fig. 3):

- graph #3:  $bcdef, afgdhec, abefd, acfhnge, adghbcf, aecdghb, bfhed, bdfge$
- graph #6:  $bcde, aefdghc, abhegd, acgbfhe, adhcjgfb, beghd, bdcefh, bgfdec$
- graph #26:  $bcdef, afgghidec, abefd, acfhgibe, adbcf, aecdhigb, bfidh, bgdfi, bhfgd.$

<sup>7</sup> This representation describes a graph with vertex set  $\{a, b, c, \dots\}$  by adjacency lists of the vertices in order  $a, b, c, \dots$ . The graph # refers to the position in Sulanke's file [18].

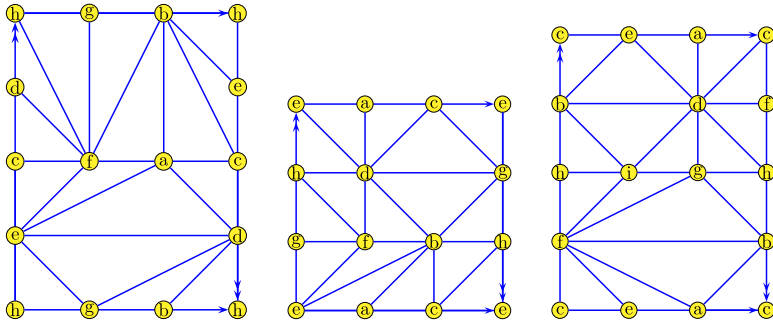


Fig. 3. Irreducible triangulations of  $\mathbb{N}_2$  with maximum excess: left-to-right #3, #6, #26.

**Proposition 6.** Every graph  $G$  embeddable in  $\mathbb{N}_3$  has at most  $8|V(G)| + 104$  cliques. Moreover, a graph  $G$  embeddable in  $\mathbb{N}_3$  has  $8|V(G)| + 104$  cliques if and only if  $G$  is obtained from one of the following 15 graph embeddings in  $\mathbb{N}_3$  by repeatedly splitting triangles:

- graph #1: bcde, aefdghic, abiegfd, acfbgie, adicghfb, behigcd, bdifceh, bgefi, bhfgdec
- graph #3: bcde, aefdghic, abiehd, achfbgie, adichgfb, begihd, bdifeh, bgecdfi, bhfgdec
- graph #4: bcde, aefdghic, abiehd, achifbge, adgichfb, behigid, bdeifh, bgfecdi, bhdfgec
- graph #6: bcde, aefdghic, abiehfd, acfbgihe, adhcfib, beighcd, bdifh, bgfcedi, bhdfgec
- graph #8: bcde, aefdghic, abiehgfd, acfbgihe, adhcgifb, begcd, bdiefch, bgcedi, bhdegfc
- graph #10: bcde, aefdghic, abifegd, acgbfhie, adigcfb, becighd, bdceifh, bgfdi, bhdegfc
- graph #12: bcde, aefdghic, abifehd, achfbgie, adihcfb, becighd, bdifh, bgfdcei, bhdegfc
- graph #14: bcde, aefdghic, abieghd, achfbgie, adihcgfb, beghd, bdceifh, bgfdcei, bhdegfc
- graph #16: bcde, aefdghic, abiegd, acgbfhie, adicghfb, behdig, bfihced, bdfegi, bhgfdec
- graph #19: bcde, aefghdic, abiehd, achbifge, adgichfb, behidg, bfdeih, bgiefcd, bdfhgec
- graph #20: bcde, aefghdic, abieghd, achbifge, adgchifb, beidg, bdfceih, bgiecd, bdfehgc
- graph #21: bcde, aefghdic, abiehd, acgfhbie, adigchfb, behdg, bdfceih, bgiecd, bdfehgc
- graph #22: bcde, aefghdic, abiehd, acgfhbie, adhcgifb, beidg, bdfceih, bgiecd, bdfehgc
- graph #82: bcdef, afgdheic, abefd, acfigbhe, adhgbicf, aecdihgb, bfheid, bdegfi, bhfdge
- graph #2464: bcdef, afgdheic, abefd, acfhigjbe, adbcf, aecdihjgb, bfidjh, bgjfdi, bhdfgj, bifhgd.

**Proposition 7.** Every graph  $G$  embeddable in  $\mathbb{N}_4$  has at most  $8|V(G)| + 216$  cliques. Moreover, a graph  $G$  embeddable in  $\mathbb{N}_4$  has  $8|V(G)| + 216$  cliques if and only if  $G$  is obtained from one of the following three graph embeddings in  $\mathbb{N}_4$  by repeatedly splitting triangles:

- graph #1: bcdef, afdgehic, abiegfhd, achgbfie, adicgbhf, aehcgidb, bdhifce, befcdgi, bhgfdec
- graph #2: bcdef, afdgehic, abifehd, acgbfhie, adigbhcf, aecighdb, bdchfie, becfdgi, bhdegfc
- graph #3: bcdef, afdgehic, abihfegd, acgbfihe, adhbigcf, aechgidb, bdceifh, bgfide, begfdhc.

Note that the three embeddings in Proposition 7 are of the same graph.

#### 4. A bound for all surfaces

Recall that  $\Sigma$  is a surface with Euler characteristic  $\chi$ , and if  $\Sigma = \mathbb{S}_0$  then  $\omega = 3$ , otherwise  $\omega$  is the maximum integer such that  $K_\omega$  embeds in  $\Sigma$ . We start with the following upper bound on the minimum degree of a graph.

**Lemma 2.** Assume  $\Sigma \neq \mathbb{S}_0$ . Then every graph  $G$  embeddable in  $\Sigma$  has minimum degree at most

$$6 + \frac{\omega^2 - 5\omega - 7}{|V(G)|}.$$

**Proof.** By the definition of  $\omega$ , the complete graph  $K_{\omega+1}$  cannot be embedded in  $\Sigma$ . Thus if  $\Sigma = \mathbb{S}_g$  then  $g = \frac{1}{2}(2 - \chi) \leq \lceil \frac{1}{12}(\omega - 2)(\omega - 3) \rceil - 1$ , and if  $\Sigma = \mathbb{N}_h$  then  $h = 2 - \chi \leq \lceil \frac{1}{6}(\omega - 2)(\omega - 3) \rceil - 1$ . In each case, it follows that  $2 - \chi \leq \frac{1}{6}(\omega - 2)(\omega - 3) - \frac{1}{6}$ . That is,

$$-6\chi \leq \omega^2 - 5\omega - 7. \tag{1}$$

Say  $G$  has minimum degree  $d$ . It follows from Euler's Formula that  $|E(G)| \leq 3|V(G)| - 3\chi$ . By (1),

$$d \leq \frac{2|E(G)|}{|V(G)|} \leq \frac{6|V(G)| - 6\chi}{|V(G)|} \leq 6 + \frac{\omega^2 - 5\omega - 7}{|V(G)|}. \quad \square$$

For graphs in which the number of vertices is slightly more than  $\omega$ , Lemma 2 can be reinterpreted as follows.

**Lemma 3.** Assume  $\Sigma \neq \mathbb{S}_0$ . Let  $s := \lceil \sqrt{\omega + 11} - 3 \rceil \geq 1$ . Let  $G$  be a graph embeddable in  $\Sigma$ . If  $G$  has at most  $\omega + 1$  vertices, then  $G$  has minimum degree at most  $\omega - 1$ . If  $G$  has at least  $\omega + j$  vertices, where  $j \in [2, s]$ , then  $G$  has minimum degree at most  $\omega - j + 1$ .

**Proof.** Say  $G$  has minimum degree  $d$ . If  $|V(G)| \leq \omega$ , then trivially  $d \leq \omega - 1$ . If  $|V(G)| = \omega + 1$ , then  $G$  is not complete (by the definition of  $\omega$ ), again implying that  $d \leq \omega - 1$ . Now assume  $|V(G)| \geq \omega + j$  for some  $j \in [2, s]$ . By Lemma 2,

$$d \leq 6 + \frac{\omega^2 - 5\omega - 7}{\omega + j} = \omega - j + 1 + \frac{j^2 + 5j - 7}{\omega + j}.$$

Since  $j \leq s < \sqrt{\omega + 11} - 2$ , we have  $j^2 + 5j - 7 \leq s^2 + 4s - 7 + j < \omega + j$ . It follows that  $d \leq \omega - j + 1$ .  $\square$

Now we prove our first upper bound on the number of cliques.

**Lemma 4.** Assume  $\Sigma \neq \mathbb{S}_0$ . Let  $s := \lceil \sqrt{\omega + 11} - 3 \rceil \geq 1$ . Let  $G$  be an  $n$ -vertex graph embeddable in  $\Sigma$ . Then

$$c(G) \leq \begin{cases} \frac{5}{2}2^\omega & \text{if } n \leq \omega + s, \\ \frac{5}{2}2^\omega + (n - \omega - s)2^{\omega-s+1} & \text{otherwise.} \end{cases}$$

**Proof.** Let  $v_1, v_2, \dots, v_n$  be an ordering of the vertices of  $G$  such that  $v_i$  has minimum degree in the subgraph  $G_i := G - \{v_1, \dots, v_{i-1}\}$ . Let  $d_i$  be the degree of  $v_i$  in  $G_i$  (which equals the minimum degree of  $G_i$ ). Charge each non-empty clique  $C$  in  $G$  to the vertex  $v_i \in C$  with  $i$  minimum. Charge the clique  $\emptyset$  to  $v_n$ .

We distinguish three types of vertices. Vertex  $v_i$  is type-1 if  $i \in [1, n - \omega - s]$ . Vertex  $v_i$  is type-2 if  $i \in [n - \omega - s + 1, n - \omega]$ . Vertex  $v_i$  is type-3 if  $i \in [n - \omega + 1, n]$ .

Each clique charged to a type-3 vertex is contained in  $\{v_{n-\omega+1}, \dots, v_n\}$ , and there are at most  $2^\omega$  such cliques.

Say  $C$  is a clique charged to a type-1 or type-2 vertex  $v_i$ . Then  $C - \{v_i\}$  is contained in  $N_{G_i}(v_i)$ , which consists of  $d_i$  vertices. Thus the number of cliques charged to  $v_i$  is at most  $2^{d_i}$ . Recall that  $d_i$  equals the minimum degree of  $G_i$ , which has  $n - i + 1$  vertices.

If  $v_i$  is type-2 then, by Lemma 3 with  $j = n - \omega - i + 1 \in [1, s]$ , we have  $d_i \leq \omega - j + 1$ , and  $d_i \leq \omega - j$  if  $j = 1$ . Thus the number of cliques charged to type-2 vertices is at most

$$2^{\omega-1} + \sum_{j=2}^s 2^{\omega-j+1} \leq 2^{\omega-1} + \sum_{j=1}^{\omega-1} 2^j < \frac{3}{2}2^\omega.$$

If  $v_i$  is type-1 then  $G_i$  has more than  $\omega + s$  vertices, and thus  $d_i \leq \omega - s + 1$  by Lemma 3 with  $j = s$ . Thus the number of cliques charged to type-1 vertices is at most  $(n - \omega - s)2^{\omega-s+1}$ .  $\square$

We now prove the main result of this section; it provides lower and upper bounds on the maximum number of cliques in a graph embeddable in  $\Sigma$ .

**Theorem 2.** *Every  $n$ -vertex graph embeddable in  $\Sigma$  contains at most  $8n + \frac{5}{2}2^\omega + o(2^\omega)$  cliques. Moreover, for each  $n \geq \omega$ , there is an  $n$ -vertex graph embeddable in  $\Sigma$  with  $8(n - \omega) + 2^\omega$  cliques.*

**Proof.** To prove the upper bound, we may assume that  $\Sigma \neq \mathbb{S}_0$ , and by **Theorem 1**, we need only consider  $n$ -vertex irreducible triangulations of  $\Sigma$ . Joret and Wood [7] proved that, in this case,  $n \leq 22 - 13\chi$ . By Eq. (1),

$$n \leq 22 - 13\chi \leq 22 + \frac{13}{6}(\omega^2 - 5\omega - 7) < 3\omega^2.$$

If  $n \leq \omega + s$  then  $c(G) \leq \frac{5}{2}2^\omega$  by **Lemma 4**. If  $n > \omega + s$  then by the same lemma,

$$c(G) \leq \frac{5}{2}2^\omega + (3\omega^2 - \omega - s)2^{\omega-s+1} < \frac{5}{2}2^\omega + 3\omega^2 2^{\omega-s+1} < \frac{5}{2}2^\omega + 2^{\omega-s+2 \log \omega + 3}.$$

Since  $s \in \Theta(\sqrt{\omega})$ , we have  $c(G) \leq \frac{5}{2}2^\omega + o(2^\omega)$ .

To prove the lower bound, start with  $K_\omega$  embedded in  $\Sigma$  (which has  $2^\omega$  cliques). Now, while there are less than  $n$  vertices, insert a new vertex adjacent to each vertex of a single face. Each new vertex adds at least 8 new cliques. Thus we obtain an  $n$ -vertex graph embedded in  $\Sigma$  with at least  $8(n - \omega) + 2^\omega$  cliques.  $\square$

### 5. Concluding conjectures

We conjecture that the upper bound in **Theorem 2** can be improved to more closely match the lower bound.

**Conjecture 1.** *Every graph  $G$  embeddable in  $\Sigma$  has at most  $8|V(G)| + 2^\omega + o(2^\omega)$  cliques.*

If  $K_\omega$  triangulates  $\Sigma$ , then we conjecture the following exact answer.

**Conjecture 2.** *Suppose that  $K_\omega$  triangulates  $\Sigma$ . Then every graph  $G$  embeddable in  $\Sigma$  has at most  $8(|V(G)| - \omega) + 2^\omega$  cliques, with equality if and only if  $G$  is obtained from  $K_\omega$  by repeatedly splitting triangles.*

By **Theorem 1**, this conjecture is equivalent to the following.

**Conjecture 3.** *Suppose that  $K_\omega$  triangulates  $\Sigma$ . Then  $K_\omega$  is the only irreducible triangulation of  $\Sigma$  with maximum excess.*

The results in Section 3 confirm **Conjectures 2** and **3** for  $\mathbb{S}_0$ ,  $\mathbb{S}_1$  and  $\mathbb{N}_1$ .

Now consider surfaces possibly with no complete graph triangulation. Then the bound  $c(G) \leq 8(|V(G)| - \omega) + 2^\omega$  (in **Conjecture 2**) is false for  $\mathbb{S}_2$ ,  $\mathbb{N}_2$ ,  $\mathbb{N}_3$  and  $\mathbb{N}_4$ . Loosely speaking, this is because these surfaces have ‘small’  $\omega$  compared to  $\chi$ . In particular,  $\omega = \lfloor \frac{1}{2}(7 + \sqrt{49 - 24\chi}) \rfloor$  except for  $\mathbb{S}_0$  and  $\mathbb{N}_2$ , and  $\omega = \frac{1}{2}(7 + \sqrt{49 - 24\chi})$  if and only if  $K_\omega$  triangulates  $\Sigma \neq \mathbb{S}_0$ . This phenomenon motivates the following conjecture.

**Conjecture 4.** *Every graph  $G$  embeddable in  $\Sigma$  has at most*

$$8|V(G)| - 4(7 + \sqrt{49 - 24\chi}) + 2^{(7 + \sqrt{49 - 24\chi})/2}$$

*cliques, with equality if and only if  $K_\omega$  triangulates  $\Sigma$  and  $G$  is obtained from  $K_\omega$  by repeatedly splitting triangles.*

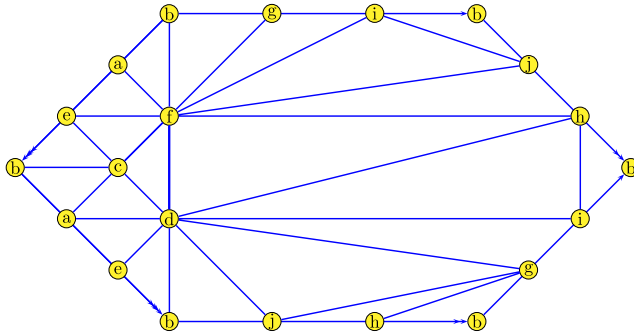


Fig. 4. Triangulation #2464 of  $\mathbb{N}_3$ .

There are two irreducible triangulations of  $\mathbb{S}_2$  with maximum excess, there are three irreducible triangulations of  $\mathbb{N}_2$  with maximum excess, there are 15 irreducible triangulations of  $\mathbb{N}_3$  with maximum excess, and there are three irreducible triangulations of  $\mathbb{N}_4$  with maximum excess. This suggests that for surfaces with no complete graph triangulation, a succinct characterisation of the extremal examples (as in Conjecture 3) might be difficult. Nevertheless, we conjecture the following strengthening of Conjecture 3 for all surfaces.

**Conjecture 5.** Every irreducible triangulation of  $\Sigma$  with maximum excess contains  $K_\omega$  as a subgraph.

A triangulation of a surface  $\Sigma$  is *vertex-minimal* if it has the minimum number of vertices in a triangulation of  $\Sigma$ . Of course, every vertex-minimal triangulation is irreducible. Ringel [15] and Jungerman and Ringel [8] together proved that the order of a vertex-minimal triangulation is  $\omega$  if  $K_\omega$  triangulates  $\Sigma$ , is  $\omega + 2$  if  $\Sigma \in \{\mathbb{S}_2, \mathbb{N}_2, \mathbb{N}_3\}$ , and is  $\omega + 1$  for every other surface.

Triangulations #26 of  $\mathbb{N}_2$  and #2464 of  $\mathbb{N}_3$  are the only triangulations in Propositions 1–7 that are not vertex-minimal. Triangulation #26 of  $\mathbb{N}_2$  is obtained from two embeddings of  $K_6$  in  $\mathbb{N}_1$  joined at the face  $bdf$  (see Fig. 3). Triangulation #2464 of  $\mathbb{N}_3$  is obtained by joining an embedding of  $K_6$  in  $\mathbb{N}_1$  and an embedding of  $K_7$  in  $\mathbb{S}_1$  at the face  $bdf$  (see Fig. 4).

Every other triangulation in Propositions 1–7 is obtained from an embedding of  $K_\omega$  by adding (at most two) vertices and edges until a vertex-minimal triangulation is obtained. This provides some evidence for our final conjecture.

**Conjecture 6.** For every surface  $\Sigma$ , the maximum excess is attained by some vertex-minimal triangulation of  $\Sigma$  that contains  $K_\omega$  as a subgraph. Moreover, if  $\Sigma \notin \{\mathbb{N}_2, \mathbb{N}_3\}$  then every irreducible triangulation with maximum excess is vertex-minimal and contains  $K_\omega$  as a subgraph.

We have verified Conjectures 4–6 for  $\mathbb{S}_0, \mathbb{S}_1, \mathbb{S}_2, \mathbb{N}_1, \mathbb{N}_2, \mathbb{N}_3$  and  $\mathbb{N}_4$ .

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