

Mould Calculus - On the secondary symmetries

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Abstract

Mould calculus is a powerful combinatorial tool which often provides some explicit formulae when there are no other available computational methods. It has a well-know interpretation/dictionary in term of Hopf algebras. But this dictionary does not provide any equivalent of formal moulds. Thus, we present here such an interpretation and give a generic way to prove mould symmetries of formal moulds.

Résumé

Le calcul moulien est un outil combinatoire puissant qui fournit souvent des formules explicites alors que d'autres moyens de calcul n'aboutissent pas. Il en existe une interprétation/un dictionnaire en termes d'algèbres de Hopf. Mais ce dictionnaire n'a pas été développé jusqu'aux moules formels. Nous présentons ici une telle interprétation et donnons alors une méthode générique permettant de prouver les symétries de moules formels.

Key words: Mould calculus, mould symmetries, formal moulds, Hopf algebra.

Version française abrégée

Dans tout ce qui suit, \mathbb{C} désignera une algèbre commutative, Ω sera un ensemble et Ω^* sera le monoïde libre sur Ω (*i.e.* l'ensemble des séquences ou mots construits sur Ω , voir [14]).

Ecalte définit souvent un *moule* comme étant “une fonction à un nombre variable de variables” (cf. [8], [9] par exemple, ou la préface de [6]). Plus précisément, on peut définir un moule comme une fonction définie sur Ω^* et à valeurs dans \mathbb{C} . Un moule générique est noté M^\bullet alors que son évaluation sur une séquence $\underline{\omega}$ est notée M^ω .

Si \sqcup (resp. \sqcup) désignent le produit de mélange (resp. mélange contractant) des séquences (cf. [8] par exemple, ou [2], [3], [11], [13]), Ecalte définit la notion de moule symétral (resp. symétrel) et alternal (resp. alternel) par (cf. [8], [9] et [10], ou encore [2], [3], [6] et [16]) :

$$\forall (\underline{\omega}^1; \underline{\omega}^2) \in (\Omega^*)^2, \quad \sum_{\substack{\omega \text{ apparaît dans } \underline{\omega}^1 \sqcup \underline{\omega}^2 \\ (\text{resp. } \omega \text{ apparaît dans } \underline{\omega}^1 \sqcup \underline{\omega}^2)}} M^\omega = \begin{cases} M^{\omega^1} M^{\omega^2} & \leadsto \text{symétral (resp. symétrel), \\ 0 & \leadsto \text{alternal (resp. alternel).} \end{cases} \quad (1)$$

Étant donné un moule M^\bullet , Ecalte considère souvent le moule des séries génératrices ordinaires de M^\bullet (cf. [9], §8, ou [10], §1.2 par exemple) que nous appellerons ici Mog^\bullet et définit par (13). Nous associerons aussi à M^\bullet le moule Meg^\bullet construit comme étant les séries génératrices exponentielles de M^\bullet .

Jean Ecalte affirme alors le résultat suivant, que nous complétons avec le théorème 2 :

Théorème 1. *Soit M^\bullet un moule défini sur un alphabet dénombrable.*

Alors : (i.) M^\bullet est symétral $\iff Mog^\bullet$ est symétral. (iii.) M^\bullet est symétrel $\iff Mog^\bullet$ est symétril.

(ii.) M^\bullet est alternal $\iff Mog^\bullet$ est alternal. (iv.) M^\bullet est alternel $\iff Mog^\bullet$ est alternil.

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Théorème 2. Soit M^\bullet un moule défini sur un alphabet dénombrable.

Alors : (i.) M^\bullet est symétral \iff Meg^\bullet est symétral . (iii.) M^\bullet est symétrel \iff Meg^\bullet est symétrel .

(ii.) M^\bullet est alternal \iff Meg^\bullet est alternal . (iv.) M^\bullet est alternel \iff Meg^\bullet est alternel .

Nous proposons ici une preuve de ces deux résultats basée sur la notion de contraction moule/comoule formelle et de ses interprétations en termes d'algèbres de Hopf (cf. point (i) à (v) à la fin de la note). Une telle preuve est une machinerie très puissante pour obtenir instantanément des théorèmes similaires à ceux-ci.

English version

1. Definition of moulds

In all this note, \mathbb{C} is a commutative algebra, \mathcal{O} a \mathbb{C} -algebra, Ω an alphabet and Ω^* the free monoid over Ω (i.e., the set of sequences or words over Ω , see [14]).

As a concrete definition, Ecalle often defines a mould as “a function with a variable number of variables” (see [8], [9] or the preface of [6]). They have been first introduced extensively in [7] and are also introduced in detail in [8], [9] or [2], [3], [6] or [16]. More precisely, the following definitions are equivalent.

Definition 1.1. A mould is a function defined over the set Ω^* of (finite) sequences (or words) over Ω (or sometimes over a subset of Ω^*) with values in the algebra \mathbb{C} .

Definition 1.2. A mould is a collection of functions (f_0, f_1, f_2, \dots) where f_0 is a constant and for all integers n , f_n is a function of n variables defined on Ω^n (or over a subset of Ω^n) and valued in \mathbb{C} .

Since we want to mix easily index and exponent in notations and want to understand at first sight the type of object we are currently dealing with, we need some specific notations for moulds. The following ones turn out to be quite useful conventions:

- (i) Sequences are always underlined, with an upper indexation if necessary. We call length of $\underline{\omega}$ and denote by $l(\underline{\omega})$ the number of elements of $\underline{\omega}$. The empty sequence (i.e. the sequence of length 0) is denoted by \emptyset . Note that the letter r is generically reserved to indicate the length of sequences.
- (ii) A generic mould M is actually denoted by M^\bullet .
- (iii) For a mould M^\bullet , we will prefer the notation M^ω to the functional notation that would have been $M(\underline{\omega})$: it indicates the evaluation of the mould M^\bullet on the sequence $\underline{\omega}$ of Ω^* .

Since a mould is a function, the classical operations on functions are extended to moulds (see [8]-[10]):

Proposition 1.3. The set of all moulds defined over Ω and valued in \mathbb{C} , endowed with the mould operations is a noncommutative, associative, unitary \mathbb{C} -algebra, where the operations on moulds are defined by:

$$\left\{ \begin{array}{l} \text{Addition: } S^\bullet = M^\bullet + N^\bullet \iff \forall \underline{\omega} \in \Omega^*, S^\omega = M^\omega + N^\omega . \\ \text{Scalar multiplication: } (\lambda M)^\bullet = \lambda \cdot M^\bullet \iff \forall \underline{\omega} \in \Omega^*, (\lambda M)^\omega = \lambda M^\omega . \\ \text{Mould multiplication: } P^\bullet = M^\bullet \times N^\bullet \iff \forall \underline{\omega} \in \Omega^*, P^\omega = \sum_{\substack{(\underline{\omega}^1; \underline{\omega}^2) \in (\Omega^*)^2 \\ \underline{\omega}^1 \cdot \underline{\omega}^2 = \underline{\omega}}} M^{\omega^1} N^{\omega^2} . \end{array} \right. \quad (2)$$

2. Mould-comould contraction

For analytical reasons, moulds can be contracted with dual objects, called comoulds (see [1], [8] or [16]):

Definition 2.1. A comould is an homomorphisms defined over Ω^* (or over a subset of Ω^*), valued in a \mathbb{C} -algebra \mathcal{O} .

It turns out that comoulds are actually functions with a variable number of variables and can be seen as some moulds. Nevertheless, we emphasize the slight differences with moulds using another name:

- (i) moulds are valued in a commutative algebra \mathbb{C} , while co-moulds are restrictively valued in a \mathbb{C} -algebra \mathcal{O} (which is possibly a noncommutative algebra)
- (ii) moulds are interpreted as *coefficients* while co-moulds are interpreted as *operators*: the target algebra \mathcal{O} of a comould is an algebra of a different type than the target algebra \mathbb{C} of a mould.
- (iii) a mould is any map $\Omega^* \mapsto \mathbb{C}$ while a comould is any homomorphism $\Omega^* \mapsto \mathcal{O}$.

Definition 2.2. The mould-comould contraction of a mould M^\bullet defined over Ω and valued in \mathbb{C} , and a comould B_\bullet defined over Ω and valued in \mathcal{O} is defined by:

$$\sum_{\bullet} M^\bullet B_\bullet := \sum_{\underline{\omega} \in \Omega^*} M^\omega B_{\underline{\omega}} \quad (\text{if the sum is well-defined}) \quad (3)$$

A mould-comould contraction might be understood to be an *algebra automorphism* or a *derivation* for analytical reasons (see [8] or [5], [15]). Consequently, all the definitions from mould calculus come from such an interpretation, in particular the definitions of mould operations and mould symmetries. As we do not want to make some analysis here, let us define a new notion, the one of *formal mould-comould contraction*, which is an element of a free Lie algebra (see [14]) that can be specialized when necessary to a mould-comould contraction:

Definition 2.3. Let M^\bullet be a mould defined over Ω valued in \mathbb{C} .

For each letter $\omega \in \Omega$, we define a symbol a_ω , such that the symbols $(a_\omega)_{\omega \in \Omega}$ do not commute. Let us extend the symbols a_ω to words by concatenation: $a_{\underline{\omega}} = a_{\omega_1 \dots \omega_r} := a_{\omega_1} \dots a_{\omega_r}$ for all $\underline{\omega} = \omega_1 \dots \omega_r \in \Omega^*$. Then the formal mould-comould contraction of a mould M^\bullet , defined over Ω and valued in \mathbb{C} , is the formal series $s(M^\bullet) \in \mathbb{C}\langle\langle A \rangle\rangle$, where $A = \{a_\omega ; \omega \in \Omega\}$, defined by:

$$s(M^\bullet) = \sum_{\underline{\omega} \in \Omega^*} M^\omega a_{\underline{\omega}} := \sum_{\bullet} M^\bullet a_\bullet . \quad (4)$$

Notice first that, in a formal mould-comould contraction, the words over A play the role of the comoulds: if B_\bullet is a comould and φ the specialization morphism defined by $\varphi(a_{\underline{\omega}}) = B_{\underline{\omega}}$, for all word $\underline{\omega} \in \Omega^*$, then

$$\varphi\left(s(M^\bullet)\right) = \sum_{\bullet} M^\bullet B_\bullet \text{ is a mould-comould contraction.} \quad (5)$$

Notice then that this definition is the necessary background to understand the mould definitions and operations. As an example, the mould product is defined to satisfy in $\mathbb{C}\langle\langle A \rangle\rangle$ for all moulds M^\bullet and N^\bullet :

$$\sum_{\bullet} (M^\bullet \times N^\bullet) a_\bullet = \left(\sum_{\bullet} M^\bullet a_\bullet \right) \left(\sum_{\bullet} N^\bullet a_\bullet \right) . \quad (6)$$

3. Primary symmetries

In practice (see for example [8] or [1], [16], [15]), a comould B_\bullet often satisfies some “*Leibnitz rules*”. The more commons are defined for all $\omega \in \Omega$ by $B_\omega(\varphi\psi) = B_\omega(\varphi)\psi + \varphi B_\omega(\psi)$ or $B_\omega(\varphi\psi) = \sum_{\substack{\omega_1, \omega_2 \in \Omega \\ \omega_1 \perp \omega_2 = \omega}} B_{\omega_1}(\varphi) B_{\omega_2}(\psi)$,

if (Ω, \perp) is a semi-group. These rules conduct to two coproducts Δ_{\sqcup} and $\Delta_{\perp\sqcup}$ defined for all $a_\omega \in A$ by:

$$\Delta_{\sqcup}(a_\omega) = a_\omega \otimes 1 + 1 \otimes a_\omega \quad \Delta_{\perp\sqcup}(a_\omega) = \sum_{\substack{\omega_1, \omega_2 \in \Omega \\ \omega_1 \perp \omega_2 = \omega}} a_{\omega_1} \otimes a_{\omega_2} \text{ if } (\Omega, \perp) \text{ is a semi-group.} \quad (7)$$

We extend these coproducts as an algebra homomorphism. Consequently, $(\mathbf{C}\langle\langle\mathbf{A}\rangle\rangle, \cdot, \Delta)$ is a Hopf algebra when $\Delta = \Delta_{\sqcup}$ or $\Delta_{\sqcup\sqcup}$. These two coproducts are respectively the dual of the shuffle product and stuffle product (see [8] for example, or [2], [3], [11], [13]):

$$\forall \underline{\omega} \in \Omega^*, \Delta_{\sqcup}(a_{\underline{\omega}}) = \sum_{\substack{\underline{\omega}^1, \underline{\omega}^2 \in \Omega^* \\ \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup \underline{\omega}^2}} a_{\underline{\omega}^1} \otimes a_{\underline{\omega}^2} \quad \text{and} \quad \Delta_{\sqcup\sqcup}(a_{\underline{\omega}}) = \sum_{\substack{\underline{\omega}^1, \underline{\omega}^2 \in \Omega^* \\ \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup\sqcup \underline{\omega}^2}} a_{\underline{\omega}^1} \otimes a_{\underline{\omega}^2} . \quad (8)$$

There exist some sufficient conditions for a contraction to be an automorphism or a derivation of the algebra \mathcal{O} .

Proposition 3.1. *Let us consider a mould M^\bullet and a comould B_\bullet both defined over Ω^* and respectively valued in \mathbb{C} and \mathcal{O} .*

Let us suppose that the comould B_\bullet satisfies one of the following “Leibniz rules”:

$$B_\omega(\varphi\psi) = B_\omega(\varphi)\psi + \varphi B_\omega(\psi) \quad \text{or} \quad B_\omega(\varphi\psi) = \sum_{\substack{\omega_1, \omega_2 \in \Omega \\ \omega_1 \sqcup \omega_2 = \omega}} B_{\omega_1}(\varphi) B_{\omega_2}(\psi)$$

and let us consider Φ the specialization morphism defined by $\Phi(\underline{\omega}) = B_{\underline{\omega}}$ for all $\underline{\omega} \in \Omega^$.*

The coproduct $\Delta = \Delta_{\sqcup}$ or $\Delta_{\sqcup\sqcup}$ being respectively associated to the Leibniz rule satisfied by B_\bullet , we have:

- (i) *if $s(M^\bullet)$ is a group-like element of $(\mathbf{C}\langle\langle\mathbf{A}\rangle\rangle, \cdot, \Delta)$, then $\Phi(s(M^\bullet))$ is an automorphism.*
- (ii) *if $s(M^\bullet)$ is a primitive element of $(\mathbf{C}\langle\langle\mathbf{A}\rangle\rangle, \cdot, \Delta)$, then $\Phi(s(M^\bullet))$ is a derivation.*

Proposition 3.2. *A mould M^\bullet defined over Ω^* and valued in \mathbb{C} satisfies:*

- (i) *$s(M^\bullet)$ is a group-like element of $(\mathbf{C}\langle\langle\mathbf{A}\rangle\rangle, \cdot, \Delta)$ where $\Delta = \Delta_{\sqcup}$ (resp. $\Delta = \Delta_{\sqcup\sqcup}$) if, and only if*

$$\forall(\underline{\omega}^1; \underline{\omega}^2) \in (\Omega^*)^2, \quad \sum_{\substack{\underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup \underline{\omega}^2 \\ \text{(resp. } \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup\sqcup \underline{\omega}^2)}} M^{\underline{\omega}} = M^{\underline{\omega}^1} M^{\underline{\omega}^2} . \quad (9)$$

- (ii) *$s(M^\bullet)$ is a primitive element of $(\mathbf{C}\langle\langle\mathbf{A}\rangle\rangle, \cdot, \Delta)$ where $\Delta = \Delta_{\sqcup}$ (resp. $\Delta = \Delta_{\sqcup\sqcup}$) if, and only if*

$$M^\emptyset = 0 \text{ and for all } \underline{\omega}^1, \underline{\omega}^2 \in \Omega^* - \{\emptyset\}, \quad \sum_{\substack{\underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup \underline{\omega}^2 \\ \text{(resp. } \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup\sqcup \underline{\omega}^2)}} M^{\underline{\omega}} = 0 . \quad (10)$$

These two propositions give nice motivations to the following definition/terminology (see [8], [9], [10] or [2], [3], [6] or [16]). Other similar definitions exist (in particular for a symmetral mould, or an alternal mould which are in a sense similar to symmetrel and alternel moulds, see [10] or [1], [6], [12]).

Definition 3.3. *A mould M^\bullet defined over Ω^* and valued in \mathbb{C} is called:*

- (i) symmetral (resp. symmetrel) when:

$$\forall(\underline{\omega}^1; \underline{\omega}^2) \in (\Omega^*)^2, \quad \sum_{\substack{\underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup \underline{\omega}^2 \\ \text{(resp. } \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup\sqcup \underline{\omega}^2)}} M^{\underline{\omega}} = M^{\underline{\omega}^1} M^{\underline{\omega}^2} . \quad (11)$$

- (ii) alternal (resp. alternel) when:

$$\begin{cases} M^\emptyset = 0 . \\ \forall(\underline{\omega}^1; \underline{\omega}^2) \in (\Omega^* - \{\emptyset\})^2, \quad \sum_{\substack{\underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup \underline{\omega}^2 \\ \text{(resp. } \underline{\omega} \text{ appears in } \underline{\omega}^1 \sqcup\sqcup \underline{\omega}^2)}} M^{\underline{\omega}} = 0 . \end{cases} \quad (12)$$

4. Formal moulds

One can restrict Definition 1.2 to formal series to obtain the notion of formal moulds (see [2]), and then consider ordinary/exponential generating series.

Definition 4.1. A formal mould is a collection of formal series (S_0, S_1, S_2, \dots) where S_0 is constant and for all integers n , S_n is a formal power series in n indeterminates constructed from the set Ω and valued in \mathbb{C} .

Definition 4.2. If $\Omega = \{\omega_0; \omega_1; \dots\}$ is a countable set and M^\bullet is a mould defined over Ω^* and valued in \mathbb{C} , then we define the formal moulds Mog^\bullet and Meg^\bullet by:

$$Mog^{X_1, \dots, X_r} = \sum_{p_1, \dots, p_r \in \mathbb{N}} M^{\omega_{p_1}, \dots, \omega_{p_r}} X_1^{p_1} \dots X_r^{p_r} \quad Meg^{X_1, \dots, X_r} = \sum_{s_1, \dots, s_r \in \mathbb{N}} M^{\omega_{p_1}, \dots, \omega_{p_r}} \frac{X_1^{p_1}}{p_1!} \dots \frac{X_r^{p_r}}{p_r!} \quad (13)$$

Therefore, a formal mould is in particular a mould. But the main difference is the following. If M^\bullet is a mould defined, for example, over the set $\Omega = \{a, b\}$, then there is a priori no link between $M^{a,b}$ and $M^{b,a}$. On the other hand, if M^\bullet is a formal mould defined over the set $\Omega = \{X; Y\}$ then $M^{X,Y}$ and $M^{Y,X}$ are related by the *substitution* of the indeterminates and M^{X+Y} is also defined using the substitution of the sum of the indeterminates $X + Y$ in the formal series S_1 associated with M^\bullet . This remark turns out to be a fundamental one and directly leads to the proofs of Theorem 5.1 and Theorem 6.1.

Moreover, seen as a mould, a formal mould could have some symmetries. Since a formal mould is a special type of mould, we emphasize its particularity by using the following terminology:

Type	mould	formal mould
Name of the symmetries	<i>primary symmetries</i>	<i>secondary symmetries</i>

5. Main results

One of the results often used by Ecalle (see [9], [10]) is the following:

Theorem 5.1. Let M^\bullet be a mould defined over a countable alphabet valued in a commutative algebra.

Then: (i.) M^\bullet is symmetral $\iff Mog^\bullet$ is symmetral. (iii.) M^\bullet is symmetrel $\iff Mog^\bullet$ is symmetril.

(ii.) M^\bullet is alternal $\iff Mog^\bullet$ is alternal. (iv.) M^\bullet is alternel $\iff Mog^\bullet$ is alternil.

Our main result is an interpretation in terms of Hopf algebras of the secondary symmetries, similar to the interpretation of the primary symmetries given in Proposition 3.2. This leads to a complete proof of Ecalle's previous statement, as well as a general method to prove similar results. The proof contains five steps:

(i) If $\mathbf{X} = \{X_1, X_2, \dots\}$ is an infinite set of indeterminates, we consider a new set of indeterminates \mathbf{Y} :

$$\mathbf{Y} = \mathbb{N}\mathbf{X} = \left\{ \sum_{x \in \mathbf{X}} \lambda_x x ; (\lambda_x)_{x \in \mathbf{X}} \in \mathbb{N}^{\mathbf{X}} \text{ has finitely nonzero terms} \right\}.$$

(ii) For each element $y \in \mathbf{Y}$, we define a new symbol A_y such that the symbols $(A_y)_{y \in \mathbf{Y}}$ do not commute. Let us extend them to words by concatenation: $A_{\underline{y}} = A_{y_1 \dots y_r} := A_{y_1} \dots A_{y_r}$ for all $\underline{y} = y_1 \dots y_r \in \mathbf{Y}^*$. and consider the new alphabet $\mathcal{A} = \{A_{\underline{y}} ; \underline{y} \in \mathbf{Y}\}$.

- (iii) We define a secondary formal mould/comould contraction, *i.e.* with a formal mould FM^\bullet valued in a commutative algebra \mathbb{C} , we associate the series $S(FM^\bullet) \in \mathbb{C}[[\mathbf{X}]]\langle\langle \mathcal{A} \rangle\rangle$ defined by:

$$S(FM^\bullet) = \sum_{\underline{y} \in \mathbf{Y}^*} FM^\bullet_{\underline{y}} A_{\underline{y}} := \sum_{\bullet} FM^\bullet A_{\bullet} .$$

Notice that, for all $\underline{y} \in \mathbf{Y}^*$, $FM^\bullet_{\underline{y}}$ is well-defined using some substitution of indeterminates.

- (iv) We define two coproducts Δ_{\sqcup} and $\Delta_{\sqcup\sqcup}$ for all $\underline{A} \in \mathcal{A}^*$ by:

$$\Delta_{\sqcup}(\underline{A}) = \sum_{\substack{\underline{B}, \underline{C} \in \mathcal{A}^* \\ \underline{A} \text{ appears in } \underline{B} \sqcup \underline{C}}} \underline{B} \otimes \underline{C} \quad \Delta_{\sqcup\sqcup}(\underline{A}) = \sum_{\substack{\underline{B}, \underline{C} \in \mathcal{A}^* \\ \underline{A} \text{ appears in } \underline{B} \sqcup\sqcup \underline{C}}} \underline{B} \otimes \underline{C} .$$

- (v) Now, we just have to adapt the proof of Proposition 3.2.

6. Conclusion

Let M^\bullet be a mould, with some primary symmetry. Looking specifically at sequences of small length, it is easy to understand which secondary symmetry is satisfied by a formal mould (like Mog^\bullet or Meg^\bullet) associated with M^\bullet . Using a new set of indeterminates, and using them as the substitution of indeterminates on formal moulds (seen as formal series), we are able to give a proof of the previous statement.

This is done by following the five points of the previous proof. It turns out that these points are actually a nice machinery to obtain quasi-instantly theorems similar to Theorem 5.1, like (see [4]):

Theorem 6.1. *Let M^\bullet be a mould defined over a countable alphabet valued in a commutative algebra \mathbb{C} .*

Then: (i.) M^\bullet is symmetral $\iff Meg^\bullet$ is symmetral . (iii.) M^\bullet is symmetrel $\iff Meg^\bullet$ is symmetrel .

(ii.) M^\bullet is alternal $\iff Meg^\bullet$ is alternal . (iv.) M^\bullet is alternel $\iff Meg^\bullet$ is alternel .

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