

Hard-Core Model on Random Graphs

Antar Bandyopadhyay

Stochastic Process Seminar
Christian-Albrechts University of Kiel
Kiel, Germany

Department of Mathematics
Chalmers University of Technology
Göteborg, Sweden

<http://www.math.chalmers.se/~antar>

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Hard-Core Model on a Finite Graph

Setup :

- Let $G := (V, E)$ be a finite graph.
- We say a subset $I \subseteq V$ is an *independent set* of G , if for any two vertices $u, v \in I$ there is no edge between u and v .
- Let \mathcal{I}_G be the set of all independent sets of G .
- We would like to define a measure on \mathcal{I}_G .

Description 1 :

- Fix $\lambda > 0$.
- *Hard-core model on G with activity λ* is a probability distribution on \mathcal{I}_G such that

$$\mathbb{P}_\lambda(I) \propto \lambda^{|I|}, \quad I \in \mathcal{I}_G.$$

- Thus

$$\mathbb{P}_\lambda(I) = \frac{\lambda^{|I|}}{Z_\lambda(G)}, \quad I \in \mathcal{I}_G$$

where $Z_\lambda(G) := \sum_{I \in \mathcal{I}_G} \lambda^{|I|}$ is the proportionality constant, known as the *partition function*.

Observations :

- If $\lambda = 1$ then we get the uniform distribution on \mathcal{I}_G and $Z_\lambda(G)$ is the size of \mathcal{I}_G .
- Also as $\lambda \rightarrow \infty$ the measures \mathbb{P}_λ concentrate on maximal size independent sets.

Description 2 :

- Fix $\lambda > 0$ and let $p := \frac{\lambda}{1+\lambda} \in (0, 1)$.
- Suppose $(C_v)_{v \in V}$ are i.i.d. Bernoulli(p).
- Let $I := \{v \in V \mid C_v = 1\}$.
- The measure $\mathbf{P}(\cdot \mid I \in \mathcal{I}_G)$ on \mathcal{I}_G is same as \mathbb{P}_λ .

Remark :

- This gives a way of doing exact sampling from \mathbb{P}_λ .

Hard-Core Model on an Infinite Graph

Problems with the Two Previous Descriptions :

- For Description 1, we note that \mathcal{I}_G is infinite and hence the partition function $Z_\lambda(G) = \infty$!
- For Description 2, we end up with the (same type of) problem that the event $[I \in \mathcal{I}_G]$ has zero probability under the i.i.d. coin toss measure.

An Observation on Finite Graph :

Fix any vertex $v \in V$ and let σ be an independent set for the graph with vertex set $V \setminus \{v\}$ then

$$\mathbb{P}_\lambda(v \in I \mid I \setminus \{v\} = \sigma) = \begin{cases} \frac{\lambda}{1+\lambda} & \text{if } \sigma \cup \{v\} \in \mathcal{I}_G \\ 0 & \text{otherwise} \end{cases}$$

where $I \in \mathcal{I}_G$.

Statistical Physics Definition :

Definition 1 Given a finite or countably infinite, locally finite graph $G = (V, E)$ and $\lambda > 0$, a probability measure \mathbb{P}_λ on $\{0, 1\}^V$, is said to be a Gibbs measure for the hard-core model on G with activity λ , if it admits conditional probabilities such that for all $v \in V$ and for any $\sigma \in \{0, 1\}^{V \setminus \{v\}}$,

$$\mathbb{P}_\lambda (I(v) = 1 \mid I(V \setminus \{v\}) = \sigma) = \begin{cases} \frac{\lambda}{1+\lambda} & \text{if } \sigma \vee \mathbf{1}_v \in \mathcal{I}_G \\ 0 & \text{otherwise} \end{cases}$$

where I is a $\{0, 1\}^V$ -valued random variable with distribution \mathbb{P}_λ .

Remarks :

- This is what is known as Dobrushin-Lanford-Ruelle (DLR) definition of infinite-volume Gibbs measure.
- Similar definitions are used for defining Ising model and q -Potts model on infinite graphs.

Existence and Uniqueness

- In general a Gibbs measure exists by compactness argument.
- If G is finite then uniqueness holds trivially.
- It is not necessary though that uniqueness will hold when G is infinite.

Definition 2 *For a fixed graph G we say that a phase transition occurs for hard-core model with activity $\lambda > 0$, if there are more than one Gibbs measures of the form \mathbb{P}_λ .*

Note : There is no phase transition if G is finite.

What are Known ?

- First introduced by Dobrushin (1968) on \mathbb{Z}^d for model of lattice gas.
- Phase transition is well studied for \mathbb{Z}^d .
 - ▶ No phase transition for $d = 1$.
 - ▶ For $d \geq 2$ no phase transition for small λ , but phase transition occurs for large λ .

Not Known : Is phase transition *monotone*, in other words is there a critical value in λ ?

- Arguably the most well studied case is the model on regular trees, \mathbb{T}_r for $r \geq 2$. [Kelly, 1985]
 - ▶ For a r -regular tree \mathbb{T}_r , there exists a critical value $\lambda_c(r)$ such that, no phase transition when $\lambda \leq \lambda_c(r)$ and phase transition occurs when $\lambda > \lambda_c(r)$.
 - ▶ $\lambda_c(r) = \frac{(r-1)^{r-1}}{(r-2)^r}$.
- It is also known that there are infinite trees for which phase transition is not *monotone* ! [Brightwell, Häggström, Winkler, 1998]

Hard-Core Model on Random Graphs

Setup :

- \mathcal{G} be a set of graphs which are finite or countably infinite and are locally finite.
- Suppose \mathbf{P} is a probability on \mathcal{G} .
- Let $\mathbf{G} \sim \mathbf{P}$. We will write $\mathbf{G}(\omega)$ for a realization of the random graph \mathbf{G} .
- Given $\mathbf{G}(\omega)$ a hard-core model with activity $\lambda > 0$ on $\mathbf{G}(\omega)$ will be denoted by $\mathbb{P}_\lambda^\omega$.
- We will denote the joint measure as \mathbf{P}_λ .

Remark :

- Note that there are two stages of randomness and there are two parameters :
 - ▶ One is the probability distribution \mathbf{P} on \mathcal{G} governing the randomness of the underlying graphical structure.
 - ▶ The other is λ which is governing the hard-core model given the graph.

Phase Transition

Definition 3 *Given a random graph model $(\mathcal{G}, \mathbf{P})$, we say that there is a phase transition for the hard-core model with activity $\lambda > 0$ on a random graph $\mathbf{G} \sim \mathbf{P}$ if*

$$\mathbf{P} \left(\exists \text{ multiple measures of the form } \mathbb{P}_\lambda^{\mathbf{G}} \right) > 0.$$

Remark :

- If the random graph model is such that \mathbf{G} is finite a.s. then there will be no phase transition for any activity $\lambda > 0$.
- It is possible to construct an example of $(\mathcal{G}, \mathbf{P})$ such that phase transition occurs for every $\lambda > 0$.

Example

- Let $\mathcal{G} := \{\mathbb{T}_r \mid r \geq 2\}$ and \mathbf{P} be given by $\mathbf{P}(\mathbb{T}_r) = \frac{1}{2^{r-1}}$.
- Recall that from Kelly's work (1985) it is known that for hard-core model on r -regular tree \mathbb{T}_r , phase transition occurs if and only if

$$\lambda > \lambda_c(r) = \frac{(r-1)^{r-1}}{(r-2)^r}.$$

- But $\lambda_c(r) \rightarrow 0$ as $r \rightarrow \infty$.
- So for every $\lambda > 0$ for large enough r we must have $\lambda_c(r) < \lambda$ and thus a phase transition would occur for the random graph model $(\mathcal{G}, \mathbf{P})$.

Remark :

- It is important to note that for the model $(\mathcal{G}, \mathbf{P})$ we can have realizations having arbitrarily large degree with positive probability.
- It is known that for bounded degree (fixed) graphs there should be no phase transition for *small* values of λ . [van den Berg and Steif, 1994]

Random Graph Models

- **GW-Tree** : Galton-Watson branching process tree with a given progeny distribution denoted by N .
 - ▶ The parameter here is the distribution of N .
- **Sparse Random Graphs** :
 - ▶ **Erdős and Rényi Random Graph** : A random graph on $n \geq 1$ vertices labeled by $[n] := \{1, 2, \dots, n\}$ where each pair of vertices are connected by an edge independently with probability $\frac{c}{n}$, where $c > 0$. This would be denoted by $\mathcal{G}(n, \frac{c}{n})$.
 - ▶ The parameter here is $c > 0$.
 - ▶ **Random r -regular Graph** : This is to select one graph at random from the set of all r -regular graphs with vertex set $[n]$. We will denote this model by $\mathcal{G}_r(n)$.

Note : In order for this model to make sense we will always assume that $n \times r$ is even.

 - ▶ The parameter here is $r \geq 2$.

Motivations

- Interesting from Statistical Physics point of view, well studied for non-random graphs. [Dobrushin 1970, Kelley 1985, van den Berg & Steif 1994, Brightwell, Häggström & Winkler 1998, Brightwell & Winkler 1999]
- Has applications in engineering fields, like in *multi-cast networking* problems. [Ramanan et al, 2002]
- **Conjecture of Aldous [2003] :**

For a sparse random graph if I_n be the *maximal independent set* then

$$\frac{\mathbf{E}[|I_n|]}{n} \rightarrow \kappa \quad \text{as } n \rightarrow \infty,$$

where $\kappa > 0$ is a constant which may depend on the model for the sparse random graph.

Note : For a hard-core model on a finite graph if we take $\lambda \rightarrow \infty$ limit then it concentrate on the maximal independent set(s). Thus perhaps studying the hard-core model on sparse random graphs may help in resolving Aldous' conjecture.

Sparse Random Graphs and GW-Trees

- **Known** : If \mathcal{G}_n be a model for sparse random graph then for “large” enough n from the “view point” of a fixed vertex “locally it looks like” a (possibly random) rooted tree.
 - ▶ For $\mathcal{G}(n, \frac{c}{n})$ it is a rooted Galton-Watson tree with Poisson (c) offspring distribution.
 - ▶ For $\mathcal{G}(n, r)$ it is a rooted r -regular tree.
- **Conclusion** : So for computing “large” n limit of hard-core model on these kind of graphs we may need to consider the similar model on respective GW-trees.
- **Note** : For a r -regular tree, one slight annoyance is that it is not really a GW-tree ! But by removing one vertex (the root) it can be viewed as a collection of r GW-trees with progeny distribution $N \equiv r - 1$.

Hard-Core Model on GW-Trees

Proposition 4 *Fix $\lambda > 0$ then the followings hold for a GW-tree with progeny distribution N .*

- (a) If $\mathbf{E}[N] \leq 1$ then there is no phase transition.*
- (b) If $\mathbf{E}[N] > 1$ then on the event of non-extinction phase transition occurs with probability 0 or 1.*

Proof of Proposition 4 :

- Nothing to prove for part (a).
- For part (b) notice that the property that a (fixed) rooted tree \mathcal{T} has no phase transition implies that if v is a child of the root, and $\mathcal{T}(v)$ is the sub-tree rooted at v consisting only of the descendants of v , then $\mathcal{T}(v)$ also has no phase transition.
- Let $\pi := \mathbf{P}_\lambda$ (no phase transition in \mathcal{T}) where \mathcal{T} is a GW-tree, and let $\{v_1, v_2, \dots, v_N\}$ be the children of the root in \mathcal{T} . Then

$$\begin{aligned}\pi &\leq \mathbf{P}_\lambda (\text{ no phase transition in } \mathcal{T}(v_j), \forall j) \\ &= \sum_{n=0}^{\infty} \mathbf{P} (N = n) \pi^n = f(\pi)\end{aligned}$$

where f is the generating function for N .

- Moreover $\pi \geq q := \text{extinction probability}$, because $[\text{extinction}] \subseteq [\text{no phase transition}]$
- Thus $\pi \in \{q, 1\}$ and this completes the proof.

Key Recursion on a Finite Tree

- Suppose \mathcal{T} be a finite (fixed) rooted tree and we consider the hard-core model on it with activity $\lambda > 0$.
- Suppose \emptyset be the root and it has $n(\emptyset)$ many children which are denoted by $1, 2, \dots, n(\emptyset)$.
- Let I be a random independent set distributed according to the hard-core model with activity $\lambda > 0$. We define $\eta_{\emptyset}^{\mathcal{T}} := \mathbb{P}_{\lambda}(\emptyset \in I)$.
- For a child j , let \mathcal{T}_j be the sub-tree rooted at j obtained by removing \emptyset . Suppose $\eta_j^{\mathcal{T}_j}$ be defined similarly of $\eta_{\emptyset}^{\mathcal{T}}$.
- The following *key recursion* holds

$$\eta_{\emptyset}^{\mathcal{T}} = \frac{\lambda \prod_{j=1}^{n(\emptyset)} (1 - \eta_j^{\mathcal{T}_j})}{1 + \lambda \prod_{j=1}^{n(\emptyset)} (1 - \eta_j^{\mathcal{T}_j})}$$

The Recursive Distributional Equation (RDE)

$$\eta \stackrel{d}{=} \frac{\lambda \prod_{j=1}^N (1 - \eta_j)}{1 + \lambda \prod_{j=1}^N (1 - \eta_j)} \quad \text{on } [0, 1],$$

where (η_j) are i.i.d. copies of η and are independent of N .

Let T be the associated operator and $S = T^2$.

Properties :

- $T(\delta_0) = \delta_{\lambda/(1+\lambda)}$.
- $\delta_0 \preceq T(\mu) \preceq \delta_{\lambda/(1+\lambda)}$, for any probability μ on $[0, 1]$.
- T is anti-monotone $\Rightarrow S$ is monotone.
- So there exist $\mu_* \preceq \mu^*$ two fixed points of S such that $S^n(\delta_0) \uparrow \mu_*$ and $S^n(\delta_{\lambda/(1+\lambda)}) \downarrow \mu^*$.
- $T(\mu_*) = \mu^*$.
- S has unique fixed point if and only if $\mu_* = \mu^*$.

Uniqueness Domain

Definition 5 *We will say that we are in the uniqueness domain if $\mu_* = \mu^*$.*

Characterization of Phase Transition for GW-Tree Model

Theorem 6 *For GW-tree with progeny distribution N , there is no phase transition for the hard-core model with activity $\lambda > 0$, if and only if, we are in uniqueness domain for the associated RDE.*

Specialization to r -regular Tree

- Notice that if $\mathbb{T}_r(\emptyset)$ denote a rooted r -regular tree, that is, a tree whose root \emptyset has degree $r - 1$ and all other vertices have degree r , then it is a GW-tree with progeny distribution $N \equiv r - 1$.
- So for this model N is non random, that is the operator T has no random part.
- This then implies both μ_* and μ^* are degenerate measures.
- So basically we need to consider fixed point of a deterministic function $s = t^2$ where $t: [0, 1] \rightarrow [0, 1]$ given by

$$t(p) = \frac{\lambda (1 - p)^{r-1}}{1 + \lambda (1 - p)^{r-1}}, \quad p \in [0, 1].$$

- This is exactly what Kelly did in his 1985 paper and this leads to the critical value $\lambda_c(r)$.

When Does Uniqueness Domain Hold ?

Corollary 7 *For a GW-tree with progeny distribution N , there is no phase transition for the hard-core model with activity $\lambda > 0$ if*

(a) $\mathbf{E}[N] \leq 1$ or,

(b) $\lambda \times \mathbf{E}[N] < 1$.

Remarks :

- In particular it shows that for any GW-tree (with $\mathbf{E}[N] < \infty$) at least for sufficiently small λ there is no phase transition. Such result is expected. But note that we do not assume that the progeny distribution is bounded.
- Part (b) uses the fact that T is a contraction under standard Wasserstine distance when $\lambda \times \mathbf{E}[N] < 1$.

Main Results for hard-Core Model on Sparse Random Graphs

Theorem 8 *Suppose $X_\lambda^\omega(n, c)$ be the size of a random independent set distributed according to the hard-core model with activity $\lambda > 0$ on a Erdős-Rényi random graph $\mathcal{G}(n, \frac{c}{n})$. If the GW-tree with Poisson(c) progeny distribution has no phase transition then*

$$\lim_{n \rightarrow \infty} \frac{\mathbf{E}_\lambda [X_\lambda^\omega(n, c)]}{n} = \gamma_\lambda(c)$$

where $\gamma_\lambda(c) := \mathbf{E}[\eta]$ and η is the unique solution of the RDE.

Theorem 9 *Suppose $X_\lambda^\omega(n, r)$ be the size of a random independent set distributed according to the hard-core model with activity $\lambda > 0$ on a random regular graph $\mathcal{G}_r(n)$. If the r -regular tree has no phase transition, that is, if $\lambda < \lambda_c(r) = (r-1)^{(r-1)}/(r-2)^r$, then*

$$\lim_{n \rightarrow \infty} \frac{\mathbf{E}_\lambda [X_\lambda^\omega(n, r)]}{n} = \alpha_\lambda(r)$$

where $\alpha_\lambda(r) = w/(1+2w)$ with w being the unique positive solution of the equation $\lambda = w(1+w)^{r-1}$.

Back to Aldous' Conjecture

Conjecture [Aldous, 2003] : For a sparse random graph if I_n is a maximal independent set then

$$\lim_{n \rightarrow \infty} \frac{\mathbf{E}[|I_n|]}{n} = \kappa$$

for some constant $\kappa > 0$ (explicitly computable ?).

- Our method fails ! This is because it seems (for the general GW-tree case) that the uniqueness domain does not hold for *large* λ .
- For example it is the case with r -regular trees and hence for the sparse random graph model $\mathcal{G}_r(n)$.
- In fact for $\mathcal{G}_r(n)$ model it has been postulated (proved using non-rigorous methods) in physics literature that such asymptotic limit exists and has the same answer as Theorem 9 when λ is smaller than the so called "*extremality threshold*" (which is bigger than the "*uniqueness threshold*").
- Our Theorems 8 and 9 provides rigorous argument when λ is in the uniqueness domain (that is, under the *uniqueness threshold* for the $\mathcal{G}_r(n)$ model).

Background : Recursive Tree Process (RTP)

Consider the RDE

$$\eta \stackrel{d}{=} \frac{\lambda \prod_{j=1}^N (1 - \eta_j)}{1 + \lambda \prod_{j=1}^N (1 - \eta_j)} \quad \text{on } [0, 1],$$

where (η_j) are i.i.d. copies of η and are independent of N .

Notations :

- Let μ be a solution of the RDE.
- Let $\mathbb{T}_\infty = (\mathcal{V}, \mathcal{E})$ be the canonical infinite tree with vertex set $\mathcal{V} := \{\mathbf{i} \mid \mathbf{i} \in \mathbb{N}^d, d \geq 1\} \cup \{\emptyset\}$. We will consider it as rooted at \emptyset .
- Suppose $(N_{\mathbf{i}})_{\mathbf{i} \in \mathcal{V}}$ be i.i.d. copies of the progeny distribution N .

Recursive Tree Process (RTP)

A collection of $[0, 1]$ -valued random variables $(\eta_i)_{i \in \mathcal{V}}$ is called an invariant *Recursive Tree Process (RTP)* with marginal μ if

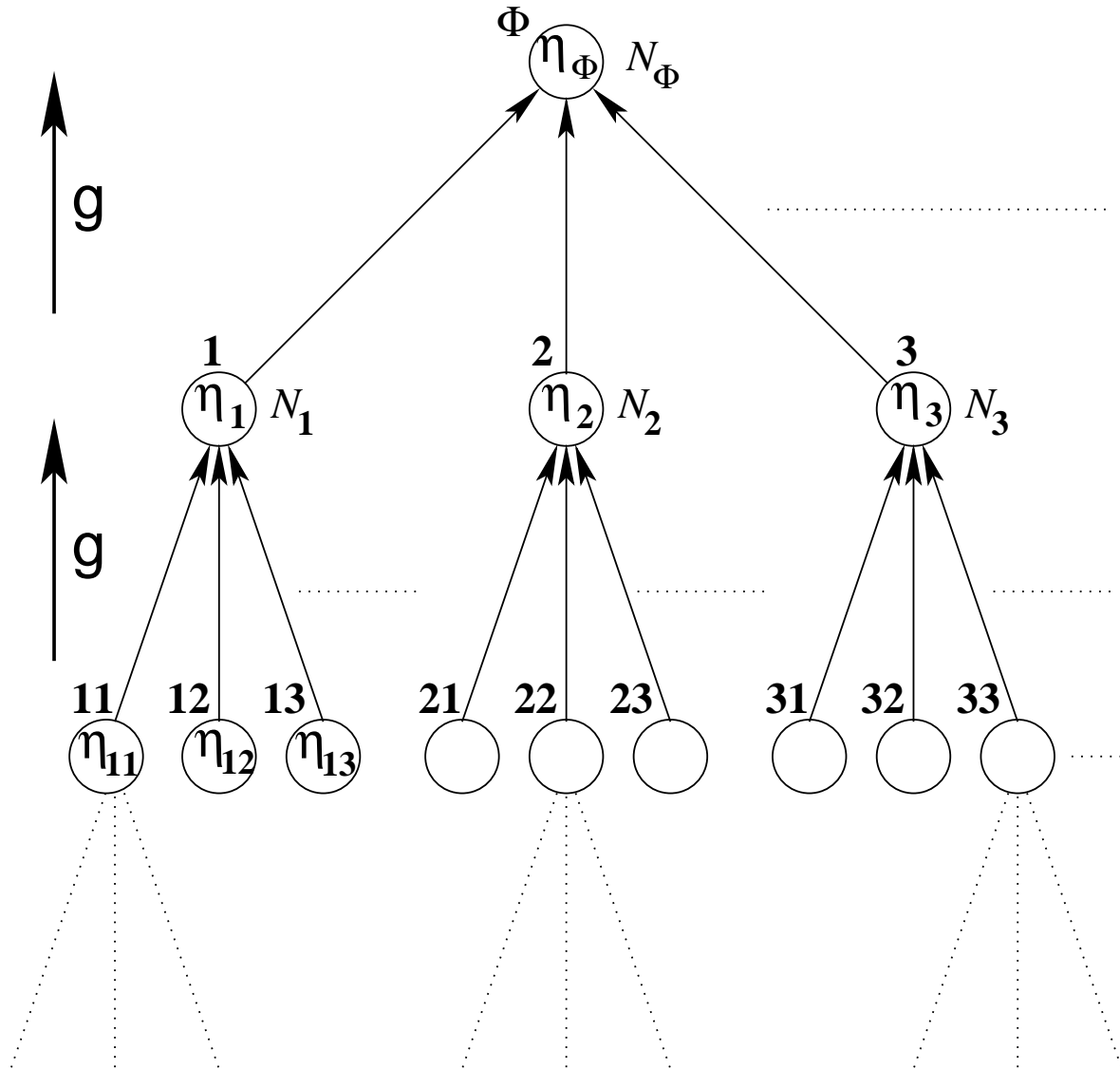
- $\eta_i \sim \mu \quad \forall i \in \mathcal{V}$.
- Fix $d \geq 0$ then $(\eta_i)_{|i|=d}$ are independent.

- $$\eta_i = \frac{\lambda \prod_{j=1}^{N_i} (1 - \eta_{i_j})}{1 + \lambda \prod_{j=1}^{N_i} (1 - \eta_{i_j})} \quad \text{a.s. } \forall i \in \mathcal{V}.$$

- η_i is independent of $\{N_{i'} \mid |i'| < |i|\}$ $\forall i \in \mathcal{V}$.

Remark : Using *Kolmogorov's consistency*, an invariant RTP with marginal μ exists if and only if μ is a solution of the RDE.

Recursive Tree Process (RTP)



Towards Proving Theorem 6

Long Range Independence Property

- Fix $d \geq 0$.
- Write \mathbf{x}_d for a vector $(x_i)_{|i|=d}$ where each $x_i \in [0, 1]$.
- Let \mathcal{T} be the realization of the GW-tree rooted at \emptyset obtained from the realizations of $(N_i)_{i \in \mathcal{V}}$.
- Let $\left(\eta_i^{(d)}(\mathbf{x}_d) \right)_{|i| \leq d}$ be the d -depth RTP with values at level d given by \mathbf{x}_d .

Lemma 10 (Long range independence) *Suppose we are in the uniqueness domain, that is $\mu_* = \mu^*$, then*

$$\limsup_{d \rightarrow \infty} \sup_{\mathbf{x}_d} |\eta_{\emptyset}^{(d)}(\mathbf{x}_d) - \eta_{\emptyset}| = 0 \quad a.s.$$

Remark :

- The proof of Theorem 6 follows from this Lemma.

Proof of Lemma 10 :

- For the vector \mathbf{x}_d if all the components are same as c then we will write the vector itself as c .
- $\eta_\emptyset^{(2d)}(\mathbf{0}) \uparrow \eta_\emptyset$, a.s. and also $\eta_\emptyset^{(2d+1)}(\mathbf{0}) \downarrow \eta_\emptyset$ a.s.
- $\eta_\emptyset^{(d)}\left(\frac{\lambda}{1+\lambda}\right) = \eta_\emptyset^{(d+1)}(\mathbf{0})$, so $\eta_\emptyset^{(d)}\left(\frac{\lambda}{1+\lambda}\right) \rightarrow \eta_\emptyset$ a.s.
- If $0 \leq x_i \leq \frac{\lambda}{1+\lambda}$ for all $i \in \mathcal{V}$ then

$$\eta_\emptyset^{(2d)}(\mathbf{0}) \leq \eta_\emptyset^{(2d)}(\mathbf{x}_{2d}) \leq \eta_\emptyset^{(2d)}\left(\frac{\lambda}{1+\lambda}\right), \text{ and}$$

$$\eta_\emptyset^{(2d+1)}\left(\frac{\lambda}{1+\lambda}\right) \leq \eta_\emptyset^{(2d+1)}(\mathbf{x}_{2d+1}) \leq \eta_\emptyset^{(2d+1)}(\mathbf{0}).$$

So $\eta_\emptyset^{(d)}(\mathbf{x}_d) \rightarrow \eta_\emptyset$ a.s. as $d \rightarrow \infty$.

- Now notice that $\eta_\emptyset^{(d)}(\mathbf{1}) = \eta_\emptyset^{(d-1)}(\mathbf{x}_{d-1})$ where each $x_i \in \{0, \lambda/(1+\lambda)\}$. So $\eta_\emptyset^{(d)}(\mathbf{1}) \rightarrow \eta_\emptyset$ a.s.
- Finally, if $0 \leq x_i \leq 1$ for all $i \in \mathcal{V}$ then

$$\eta_\emptyset^{(2d)}(\mathbf{0}) \leq \eta_\emptyset^{(2d)}(\mathbf{x}_{2d}) \leq \eta_\emptyset^{(2d)}(\mathbf{1}), \text{ and}$$

$$\eta_\emptyset^{(2d+1)}(\mathbf{1}) \leq \eta_\emptyset^{(2d+1)}(\mathbf{x}_{2d+1}) \leq \eta_\emptyset^{(2d+1)}(\mathbf{0}).$$

So $\eta_\emptyset^{(d)}(\mathbf{x}_d) \rightarrow \eta_\emptyset$ uniformly a.s. as $d \rightarrow \infty$, proving the lemma.

Remarks on the Proofs of Theorem 8 and Theorem 9

- First thing to note is

$$\frac{1}{n} \mathbf{E}_\lambda [X_\lambda^\omega] = \mathbf{P}_\lambda (v_0 \in I_\lambda^\omega),$$

where I_λ^ω is the random independent set selected according to the (random) distribution $\mathbb{P}_\lambda^\omega$, and v_0 is a fixed vertex.

- For any fixed $d > 0$ the distribution of the d -depth neighborhood of v_0 converges to the distribution of a d -depth Poisson(c) GW-tree for $\mathcal{G}(n, \frac{c}{n})$ model, and to a d -depth r -regular tree for $\mathcal{G}_r(n)$ model.
- We can then apply the *local weak convergence* technique of Aldous and Steele (2004) using the (strong) *long range independence* property which holds under the uniqueness domain. These will give the stated results after a little more careful probability computations !

Open Problems/Questions

- We know that for r -regular tree the phase transition is a *monotone* property in λ , and the critical value $\lambda_c(r)$ is explicitly known.

Is phase transition monotone (in λ) for a general GW-tree ?

Comment : Most possibly not ! But is it at least the case for GW-tree with Poisson progeny distribution ?

- For GW-tree with Poisson(c) progeny distribution is phase transition monotone in c ? That is for every fixed $\lambda > 0$ if $c > c'$ and we have no phase transition for Poisson(c) GW-tree then can we say that we have no phase transition for Poisson(c') GW-tree ?

Comment : We know this is true if $\lambda \times c < 1$.

- If the answer to above question is yes (which is most possibly the case) can we also get the critical value for c ? (explicitly or bounds ?)