

# Stern's Diatomic Array and Beyond

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# The arithmetic triangle or Pascal's triangle

				1								
			1		1							
		1		2		1						
	1		3		3		1					
1		1		4		6		4		1		
	1		5		10		10		5		1	
												⋮

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$$\begin{array}{ccccccc} & & & & 1 & & & & \\ & & & & & 1 & & & \\ & & & 1 & & 2 & & 1 & \\ & & 1 & & 3 & & 3 & & 1 \\ & 1 & & 4 & & 6 & & 4 & & 1 \\ 1 & & 5 & & 10 & & 10 & & 5 & & 1 \\ & & & & \vdots & & & & & & \end{array}$$

Apparently known to **Pingala** in or before 2nd century BC (and hence also known as **Pingal's Meruprastar**), and definitely by **Varāhamihira** (~ 505), **Al-Karaji** (953–1029), **Jia Xian** (1010-1070), et al.

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$$\sum_{k \geq 0} \binom{n}{k}^2 = \binom{2n}{n}$$

$$\sum_{n \geq 0} \binom{2n}{n} x^n = \frac{1}{\sqrt{1-4x}} \quad (\text{not rational})$$



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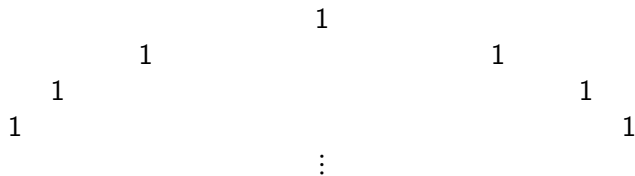
Etc.

## A second triangle

Similar to Pascal's triangle, but we also “bring down” (copy) each number from one row to the next.

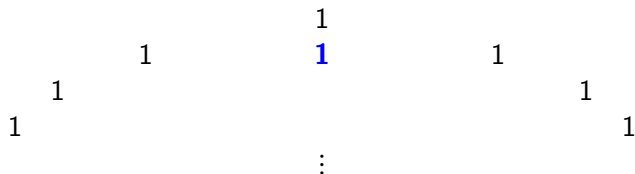
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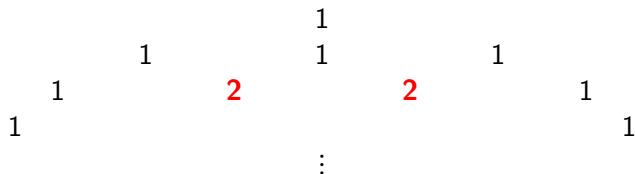
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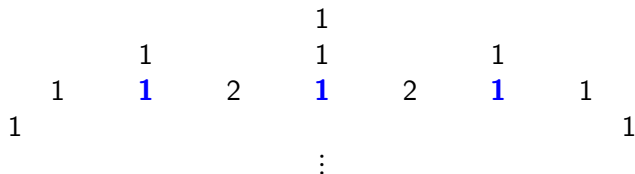
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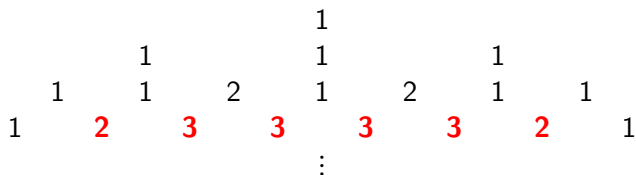
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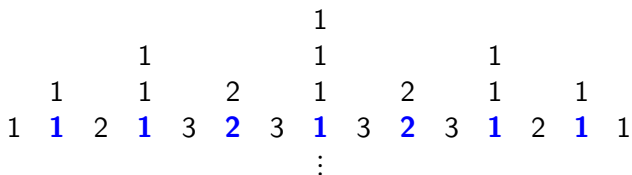
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	1		1		2		1		2		1		1	
1	1	2	1	3	2	3	1	3	2	3	1	2	1	1
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Stern's triangle

## Some properties

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- Sum of entries in row  $n$ :  $3^n$
- Largest entry in row  $n$ :  $F_{n+1}$  (Fibonacci number)
- Let  $\binom{n}{k}$  be the  $k$ th entry (beginning with  $k = 0$ ) in row  $n$ . Write

$$P_n(x) = \sum_{k \geq 0} \binom{n}{k} x^k.$$

Then  $P_{n+1}(x) = (1 + x + x^2)P_n(x^2)$ , since  $x P_n(x^2)$  corresponds to bringing down the previous row, and  $(1 + x^2)P_n(x^2)$  to summing two consecutive entries.

## Stern's diatomic sequence

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- The sequence  $b_0, b_1, b_2, \dots$  is **Stern's diatomic sequence**:

1, 1, 2, 1, 3, 2, 3, 1, 4, 3, 5, 2, 5, 3, 4, 1, ...

(often prefixed with 0)

## Partition interpretation

$$\sum_{n \geq 0} b_n x^n = \prod_{i \geq 0} (1 + x^{2^i} + x^{2 \cdot 2^i})$$

$\Rightarrow b_n$  is the number of partitions of  $n$  into powers of 2, where each power of 2 can appear at most twice.

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**Note.** If each power of 2 can appear at most once, then we obtain the (unique) binary expansion of  $n$ :

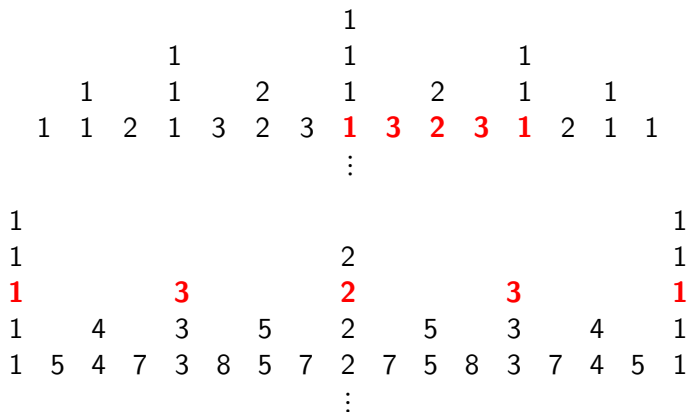
$$\frac{1}{1-x} = \prod_{i \geq 0} (1 + x^{2^i}).$$

## Historical note

An essentially equivalent array is due to **Moritz Abraham Stern** around 1858 and is known as **Stern's diatomic array**:

1																1
1								2								1
1				3				2			3					1
1		4		3		5		2		5		3		4		1
1	5	4	7	3	8	5	7	2	7	5	8	3	7	4	5	1
								⋮								

# Comparison



## Precise statement

$R_i$ :  $i$ th row of Stern's diatomic array, beginning with row 0

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Form the concatenation

$$R_0 R_1 \cdots R_{n-2} R_{n-1} R_{n-1} R_{n-2} \cdots R_1 R_0$$

and then merge together the last 1 in each row with the first 1 in the next row.

We obtain row  $n$  of Stern's triangle. From this observation almost any property of Stern's triangle can be carried over straightforwardly to Stern's diatomic array and *vice versa*.



## Amazing property

**Theorem** (Stern, 1858). *Let  $b_0, b_1, \dots$  be Stern's diatomic sequence. Then every positive rational number occurs exactly once among the ratios  $b_i/b_{i+1}$ , and moreover this expression is in lowest terms.*

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Can be proved inductively from

$$b_{2n} = b_n, \quad b_{2n+1} = b_n + b_{n+1},$$

but better is to use **Calkin-Wilf tree**, though following Stigler's law of eponymy was earlier introduced by **Jean Berstel** and **Aldo de Luca** as the **Raney tree**. Closely related tree by Stern, called the **Stern-Brocot tree**, and a much earlier similar tree by **Kepler** (1619).

# Stigler's law of eponymy

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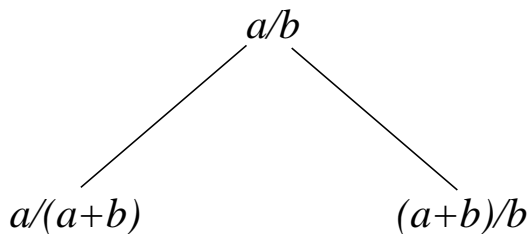
**Note.** Stigler's law of eponymy implies that Stigler's law of eponymy was not originally discovered by Stigler.

# The Calkin-Wilf tree definition

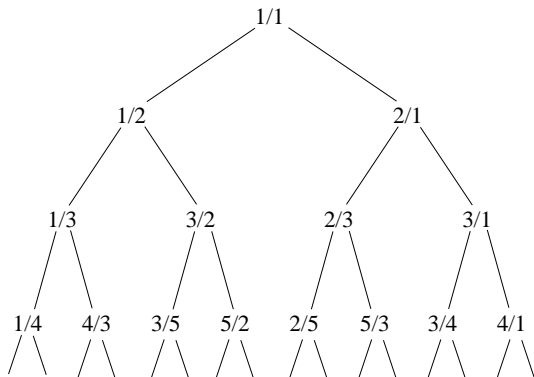
root:  $1/1$

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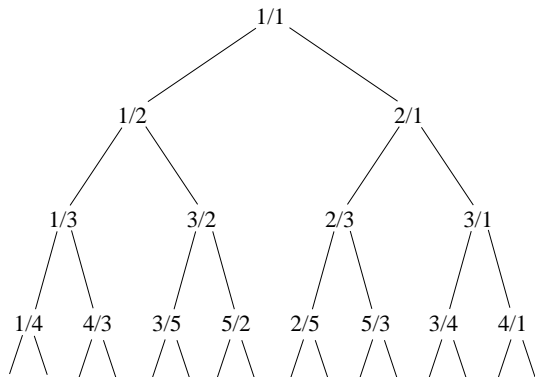
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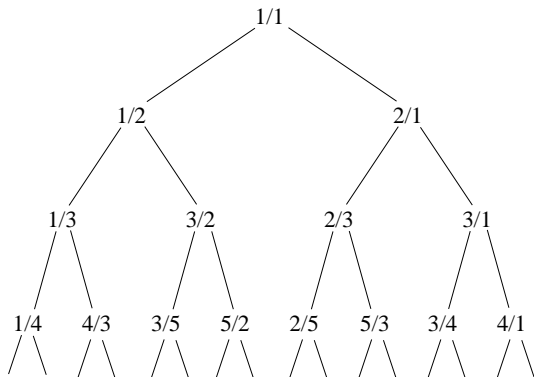
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Numerators (reading order): 1, 1, 2, 1, 3, 2, 3, 1, 4, 3, 5, ...



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Numerators (reading order): 1, 1, 2, 1, 3, 2, 3, 1, 4, 3, 5, ...

Denominators: 1, 2, 1, 3, 2, 3, 1, 4, 3, 5, ...

## Continued fraction property

Entries in row  $n - 1$  are those rational numbers whose regular continued fraction terms sum to  $n$ .

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row 2:

$$\begin{aligned}\frac{1}{3} &= \frac{1}{3} = \frac{1}{2 + \frac{1}{1}} \\ \frac{3}{2} &= 1 + \frac{1}{2} = 1 + \frac{1}{1 + \frac{1}{1}} \\ \frac{2}{3} &= \frac{1}{1 + \frac{1}{2}} = \frac{1}{1 + \frac{1}{1 + \frac{1}{1}}} \\ 3 &= 3 = 2 + \frac{1}{1}\end{aligned}$$

## An enumerative property

$b_{n+1}$  is the number of odd integers  $\binom{n-k}{k}$ , where  $0 \leq k \leq \lfloor n/2 \rfloor$ .

New stuff!

# PART II

## Sums of squares

								1							
								1					1		
			1		1		2		1		2		1		1
1	1	2	1	3	2	3	1	3	2	3	1	2	1	1	
								⋮							

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$$u_2(n+1) = 5u_2(n) - 2u_2(n-1), \quad n \geq 1$$

$$\sum_{n \geq 0} u_2(n) x^n = \frac{1-2x}{1-5x+2x^2}$$



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Equivalently, if  $\prod_{i=0}^{n-1} (1 + x^{2^i} + x^{2 \cdot 2^i}) = \sum a_j x^j$ , then

$$\sum a_j^3 = 3 \cdot 7^{n-1}.$$

## Proof for $u_2(n)$

$$\begin{aligned}u_2(n+1) &= \dots + \binom{n}{k}^2 + \left( \binom{n}{k} + \binom{n}{k+1} \right)^2 + \binom{n}{k+1}^2 + \dots \\ &= 3u_2(n) + 2 \sum_k \binom{n}{k} \binom{n}{k+1}.\end{aligned}$$

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Thus define  $u_{1,1}(n) := \sum_k \binom{n}{k} \binom{n}{k+1}$ , so

$$u_2(n+1) = 3u_2(n) + 2u_{1,1}(n).$$

## What about $u_{1,1}(n)$ ?

$$\begin{aligned}u_{1,1}(n+1) &= \dots + \left( \binom{n}{k} + \binom{n}{k-1} \right) \binom{n}{k} + \binom{n}{k} \left( \binom{n}{k} + \binom{n}{k+1} \right) \\ &\quad + \left( \binom{n}{k} + \binom{n}{k+1} \right) \binom{n}{k+1} + \dots \\ &= 2u_2(n) + 2u_{1,1}(n)\end{aligned}$$

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Recall also  $u_2(n+1) = 3u_2(n) + 2u_{1,1}(n)$ .

## Two recurrences in two unknowns

Let

$$\mathbf{A} := \begin{bmatrix} 3 & 2 \\ 2 & 2 \end{bmatrix}.$$

Then

$$\mathbf{A} \begin{bmatrix} u_2(n) \\ u_{1,1}(n) \end{bmatrix} = \begin{bmatrix} u_2(n+1) \\ u_{1,1}(n+1) \end{bmatrix}.$$



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Also  $u_{1,1}(n+1) = 5u_{1,1}(n) - 2u_{1,1}(n-1)$ .

## What about $u_3(n)$ ?

Now we need

$$u_{2,1}(n) := \sum_k \binom{n}{k}^2 \binom{n}{k+1}$$

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We get

$$\begin{bmatrix} 3 & 6 \\ 2 & 4 \end{bmatrix} \begin{bmatrix} u_3(n) \\ u_{2,1}(n) \end{bmatrix} = \begin{bmatrix} u_3(n+1) \\ u_{2,1}(n+1) \end{bmatrix}.$$

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Characteristic polynomial of  $\begin{bmatrix} 3 & 6 \\ 2 & 4 \end{bmatrix}$ :  $x(x - 7)$



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Thus  $u_3(n + 1) = 7u_3(n)$  and  $u_{2,1}(n + 1) = 7u_{2,1}(n)$  ( $n \geq 1$ ).

In fact,

$$\begin{aligned} u_3(n) &= 3 \cdot 7^{n-1} \\ u_{2,1}(n) &= 2 \cdot 7^{n-1}. \end{aligned}$$

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Proved by **David Speyer** (2018).

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**Conjecture.** We have  $\text{mo}(2) = 2$ ,  $\text{mo}(6) = 4$ , and otherwise

$$\begin{aligned}\text{mo}(2s) &= 2 \left\lfloor \frac{s}{3} \right\rfloor + 3 \quad (s \neq 1, 3) \\ \text{mo}(6s + 1) &= 2s + 1, \quad s \geq 0 \\ \text{mo}(6s + 3) &= 2s + 1, \quad s \geq 0 \\ \text{mo}(6s + 5) &= 2s + 2, \quad s \geq 0.\end{aligned}$$

## More precise result

**mo( $r$ )**: minimum order of recurrence satisfied by  $u_r(n)$

**Conjecture.** We have  $\text{mo}(2) = 2$ ,  $\text{mo}(6) = 4$ , and otherwise

$$\begin{aligned}\text{mo}(2s) &= 2 \left\lfloor \frac{s}{3} \right\rfloor + 3 \quad (s \neq 1, 3) \\ \text{mo}(6s + 1) &= 2s + 1, \quad s \geq 0 \\ \text{mo}(6s + 3) &= 2s + 1, \quad s \geq 0 \\ \text{mo}(6s + 5) &= 2s + 2, \quad s \geq 0.\end{aligned}$$

**D. Speyer:** this gives an upper bound on  $\text{mo}(r)$ .



## Basic idea of Speyer's proof

**Theorem.** *The matrix  $A_r$  is realized by the operator  $\phi: V_r \rightarrow V_r$  defined by*

$$\phi(f)(x, y) = f(x + y, y) + f(x, x + y),$$

*where  $V_r$  is the space of homogeneous polynomials (over  $\mathbb{Z}$ ) of degree  $r$  in the variables  $x, y$ , modulo the subspace generated by all  $f(x, y) - f(y, x)$ .*

## General $\alpha$

$$\alpha = (\alpha_0, \dots, \alpha_{m-1})$$

$$u_\alpha(n) := \sum_k \binom{n}{k}^{\alpha_0} \binom{n}{k+1}^{\alpha_1} \cdots \binom{n}{k+m-1}^{\alpha_{m-1}}$$

## A closer look at $\alpha = (1, 1, 1, 1)$

$$u_{1,1,1,1}(n) = \sum_k \binom{n}{k} \binom{n}{k+1} \binom{n}{k+2} \binom{n}{k+3}$$

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$$\begin{aligned} & \sum_k (\binom{n}{k} + \binom{n}{k+1}) \binom{n}{k+1} (\binom{n}{k+1} + \binom{n}{k+2}) \binom{n}{k+2} \\ & + \sum_k \binom{n}{k} (\binom{n}{k} + \binom{n}{k+1}) \binom{n}{k+1} (\binom{n}{k+1} + \binom{n}{k+2}) \end{aligned}$$

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$$A_{(1,1,1,1)} = \begin{bmatrix} 3 & 8 & 6 & 0 & 0 & 0 \\ 2 & 5 & 3 & 0 & 0 & 0 \\ 2 & 4 & 2 & 0 & 0 & 0 \\ 1 & 4 & 2 & 1 & 0 & 0 \\ 1 & 3 & 1 & 2 & 1 & 0 \\ 0 & 2 & 2 & 2 & 2 & 0 \end{bmatrix} \begin{matrix} 4 \\ 3,1 \\ 2,2 \\ 1,2,1 \\ 2,1,1 \\ 1,1,1,1 \end{matrix}$$

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## Reduction to $\alpha = (r)$

min. polynomial for  $\alpha = (4)$ :  $(x + 1)(2x^2 - 11x + 1)$

min. polynomial for  $\alpha = (1, 1, 1, 1)$ :  $(x - 1)^2(x + 1)(2x^2 - 11x + 1)$

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**mp( $\alpha$ )**: minimum polynomial of  $A_\alpha$

**Theorem.** Let  $\alpha \in \mathbb{N}^m$  and  $\sum \alpha_j = r$ . Then  $\text{mp}(\alpha)$  has the form  $x^{w_\alpha}(x - 1)^{z_\alpha} \text{mp}(r)$  for some  $w_\alpha, z_\alpha \in \mathbb{N}$ .



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No conjecture for value of  $w_\alpha, z_\alpha$ .

## Symmetric functions

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Since

$$\begin{aligned} u_2(n+1) &= 5u_2(n) - 2u_2(n-1) \\ u_1(n+1)^2 &= 9u_1(n)^2 \quad (\text{since } u_1(n) = 3^n), \end{aligned}$$

we get  $\sum_{n \geq 0} \varepsilon_2(n)x^n = P(x)/(1-5x+2x^2)(1-9x)$ . In fact,  
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Works for **any** symmetric function instead of  $e_2$ .

## A generalization

Let  $p(x), q(x) \in \mathbb{C}[x]$ ,  $\alpha = (\alpha_0, \dots, \alpha_{m-1}) \in \mathbb{N}^r$ , and  $b \geq 2$ . Set

$$q(x) \prod_{i=0}^{n-1} p(x^{b^i}) = \sum_k \langle n \rangle_{p,q,\alpha,b}^k x^k = \sum_k \langle n \rangle^k x^k$$

and

$$u_{p,q,\alpha,b}(n) = \sum_k \langle n \rangle^{\alpha_0} \langle n \rangle_{k+1}^{\alpha_1} \cdots \langle n \rangle_{k+m-1}^{\alpha_{m-1}}.$$

## Main theorem

**Theorem.** For fixed  $p, q, \alpha, b$ , the function  $u_{p,q,\alpha,b}(n)$  satisfies a linear recurrence with constant coefficients ( $n \gg 0$ ). Equivalently,  $\sum_n u_{p,q,\alpha,b}(n)x^n$  is a rational function of  $x$ .

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**Note.**  $\exists$  multivariate generalization.

## Some data

$$q(x) = 1, b = 2, \alpha = (r)$$

i.e.,

$$\prod_{i=0}^{n-1} p(x^{2^i}) = \sum_k \left\langle \begin{matrix} n \\ k \end{matrix} \right\rangle x^k, \quad u(n) = \sum_k \left\langle \begin{matrix} n \\ k \end{matrix} \right\rangle^r.$$



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**Aside.**  $30618 = 2 \cdot 3^7 \cdot 7$ ,  $458752 = 2^{16} \cdot 7$

## An example

**Example.** Let  $p(x) = (1 + x)^2$ ,  $q(x) = 1$ . Then

$$u_{p,(2),2}(n) = \frac{1}{3} (2 \cdot 2^{3n} + 2^n)$$

$$u_{p,(3),2}(n) = \frac{1}{2} (2^{4n} + 2^{2n})$$

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What's going on?

$$\begin{aligned} p(x)p(x^2)p(x^4)\cdots p(x^{2^{n-1}}) &= \left( (1+x)(1+x^2)(1+x^4)\cdots(1+x^{2^{n-1}}) \right)^2 \\ &= \left( 1+x+x^2+x^3+\cdots+x^{2^n-1} \right)^2. \end{aligned}$$

## The rest of the story

**Example.** Let

$$(1 + x + x^2 + x^3 + \cdots + x^{2^n-1})^3 = \sum_j a_j x^j.$$

What is  $\sum_j a_j^r$ ?

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$$\begin{aligned}(1 + x + \dots + x^{m-1})^3 &= \left(\frac{1-x^m}{1-x}\right)^3 \\ &= \frac{1-3x^m+3x^{2m}-x^{3m}}{(1-x)^3} \\ &= \sum_{k=0}^{m-1} \binom{k+2}{2} x^k + \sum_{k=m}^{2m-1} \left[ \binom{k+2}{2} - 3\binom{k-m+2}{2} \right] x^k \\ &+ \sum_{k=2m}^{3m-1} \left[ \binom{k+2}{2} - 3\binom{k-m+2}{2} + 3\binom{k-2m+2}{2} \right] x^k.\end{aligned}$$



## The rest of the story (cont.)

$$\begin{aligned}\Rightarrow \sum_j a_j^r &= \sum_{k=0}^{m-1} \binom{k+2}{2}^r + \sum_{k=m}^{2m-1} \left[ \binom{k+2}{2} - 3 \binom{k-m+2}{2} \right]^r \\ &+ \sum_{k=2m}^{3m-1} \left[ \binom{k+2}{2} - 3 \binom{k-m+2}{2} + 3 \binom{k-2m+2}{2} \right]^r\end{aligned}$$

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for some polynomial  $P(m) \in \mathbb{Q}[m]$ .

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So  $P(2^n)$  is a  $\mathbb{Q}$ -linear combination of terms  $2^{jn}$ , as desired.

## Evenness and oddness

**Fact.**  $P(m)$  is either even ( $P(m) = P(-m)$ ) or odd ( $P(m) = -P(-m)$ ) (depending on degree).

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Generalizes to  $u_{(1+x+x^2+\dots+x^{c-1})^d, \alpha, b}(n)$ ,  $c|b$ .

# Modular properties

Sample result for Pascal's triangle:

$$\#\{k : \binom{n}{k} \equiv 1 \pmod{2}\} = 2^{b(n)},$$

where  $b(n)$  is the number of 1's in the binary expansion of  $n$  (**Lucas**).



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Behavior for Stern's triangle is entirely different!

# Rationality

Let  $0 \leq a < m$ .

$$g_{m,a}(n) = \# \left\{ k : 0 \leq k \leq 2^{n+1} - 2, \binom{n}{k} \equiv a \pmod{m} \right\}.$$

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**Theorem.**  $G_{m,a}(x)$  is a rational function.

**Example.**

$$G_{2,0}(x) = \frac{2x^2}{(1-x)(1+x)(1-2x)}$$

$$G_{2,1}(x) = \frac{1+2x}{(1+x)(1-2x)}$$

## More examples ( $m = 3$ )

$$G_{3,0}(x) = \frac{4x^3}{(1-x)(1-2x)(1+x+2x^2)}$$

$$G_{3,1}(x) = \frac{1+x-4x^3-4x^4}{(1-x)(1-2x)(1+x+2x^2)}$$

$$G_{3,2}(x) = \frac{2x^2+4x^4}{(1-x)(1-2x)(1+x+2x^2)}$$

... and more ( $m = 4$ )

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$$G_{4,3}(x) = \frac{4x^3}{(1-x)(1+x)(1-2x)}$$

... and even more ( $m = 5$ )

$$G_{5,0}(x) = \frac{4x^4}{(1-x)(1+x)(1-2x)(1-x+2x^2)}$$

$$G_{5,1}(x) = \frac{1-x^2-x^4-8x^5+5x^6-4x^7-16x^8+8x^9-32x^{10}-32x^{11}}{(1-x)(1+x)(1-2x)(1+x^2)(1-x+2x^2)(1-x^2+4x^4)}$$

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$$G_{5,4}(x) = \frac{4x^4-4x^5+8x^6+8x^7+8x^8+16x^{10}+32x^{11}}{(1+x)(1-2x)(1+x^2)(1-x+2x^2)(1-x^2+4x^4)}$$

## $g_{m,a,b}(n)$

Need to define

$$g_{m,a,b}(n) = \# \left\{ k : \binom{n}{k} \equiv a \pmod{m} \binom{n}{k+1} \equiv b \pmod{m} \right\},$$

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with  $\binom{n}{-1} = 0$  and  $\binom{n}{2^n-1} = 0$ .

$$\gcd \left( \binom{n}{k}, \binom{n}{k+1} \right) = 1$$

$\Rightarrow g_{m,a,b} = 0$  unless  $\mathbb{Z}/m\mathbb{Z} = \langle a, b \rangle$

## A recurrence

Let  $\langle a, b \rangle = \mathbb{Z}/m\mathbb{Z}$ . How to get

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Hence

$$g_{m,a,b}(n+1) = g_{m,a,b-a}(n) + g_{m,a-b,b}(n),$$

where we take  $b - a$  and  $a - b$  modulo  $m$ .

## Example: $n = 3$

Write  $\mathbf{g}_{ab} = \mathbf{g}_{3,a,b}$ .

$$\begin{bmatrix} g_{01}(n+1) \\ g_{02}(n+1) \\ g_{11}(n+1) \\ g_{12}(n+1) \\ g_{22}(n+1) \\ g_{10}(n+1) \\ g_{20}(n+1) \\ g_{21}(n+1) \end{bmatrix} = \begin{bmatrix} 1 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 1 & 0 & 1 & 0 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 & 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 & 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 & 0 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 0 & 0 & 1 & 1 \\ 0 & 0 & 1 & 0 & 1 & 0 & 0 & 0 \end{bmatrix} \begin{bmatrix} g_{01}(n) \\ g_{02}(n) \\ g_{11}(n) \\ g_{12}(n) \\ g_{22}(n) \\ g_{10}(n) \\ g_{20}(n) \\ g_{21}(n) \end{bmatrix}$$
$$= \mathbf{A}_3 \mathbf{v}$$

# Characteristic polynomial

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Explains why  $G_{3,a}$  has denominator  $(1 - x)(1 - 2x)(1 + x + 2x^2)$ .

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Size (number of rows and number of columns) of  $A_m$  is the number  $\nu(m)$  of pairs  $(a, b) \in \mathbb{Z}/m\mathbb{Z} \times \mathbb{Z}/m\mathbb{Z}$  that generate  $\mathbb{Z}/m\mathbb{Z}$ .



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**Theorem** (nice exercise).

$$\begin{aligned}\nu(m) &= m^2 \prod_{p|m} \frac{(p-1)(p+1)}{p^2} \\ &= \phi(m)\psi(m),\end{aligned}$$

where  $\phi$  is the Euler phi function and  $\psi$  is the **Dedekind psi function**.

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$$\phi(m) = m \prod_{p|m} \frac{p-1}{p}$$

$$\psi(m) = m \prod_{p|m} \frac{p+1}{p}$$

# The final slide



## The final slide

