

LECTURE NOTES ON DIFFERENCE EQUATIONS

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ABSTRACT. This is a collection of notes on a series of online lectures given by Prof. Ruan in Zhejiang University on April, 2020, based on handwriting notes of Weiqiang He and Yifan Li.

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1 Introduction

We shall begin with **linear differential equations**.

$$(1.1) \quad \left(a_0(z) \left(z \frac{\partial}{\partial z} \right)^n + a_1(z) \left(z \frac{\partial}{\partial z} \right)^{n-1} + \cdots + a_n(z) \right) f = 0,$$

where a_0, \dots, a_n are meromorphic functions.

Analogously, we can define **q -difference equations**,

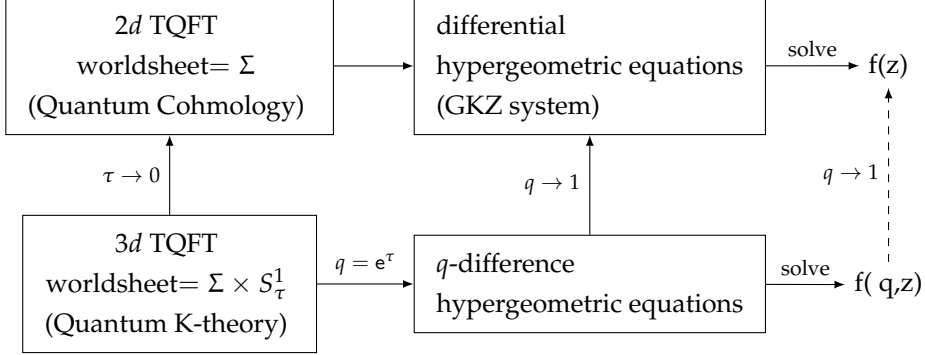
$$(1.2) \quad \left(a_0(q, z) \sigma_q^n + a_1(q, z) \sigma_q^{n-1} + \cdots + a_n(q, z) \right) f = 0,$$

for $|q| < 1$ and $a_k(q, z)$ meromorphic with respect to z . The operator σ_q is defined as follows,

$$(\sigma_q f)(q, z) := f(q, qz).$$

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Both of them are introduced very naturally into the study of topological quantum field theory (TQFT for short) as follows,

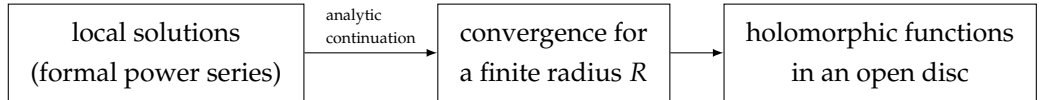


Example 1.1. $\Delta_q f := \frac{\sigma_q - 1}{q - 1} f$, then

$$(1.3) \quad \lim_{q \rightarrow 1} \Delta_q f = z \frac{\partial}{\partial z} f.$$

Here are some general remarks:

- (I) Coefficients:** For linear differential equations, the solution spaces are \mathbb{C} -linear spaces. However, for linear q -difference equations, solution spaces are K_q -linear spaces, where $K_q = \{\sigma_q f = f\}$, which is elliptic functions on elliptic curves $\mathbb{C}^\times / q\mathbb{Z}$.
- (II) Analyticity:** For a differential equation, we shall go through following steps to get a non-local solution,



However, for difference equations, things go really differently. Without lack of generality, assume $a_n(q, z) \neq 0$. Else, we shall set $\hat{f}(q, z) = f(q, qz)$, which will reduce the initial equation to another one with a lower order. Then,

$$(1.4) \quad f(q, z) = -\frac{1}{a_n(q, z)} (a_0(q, z)f(q, q^n z) + \cdots + a_{n-1}(q, z)f(q, qz)).$$

Hence, if $f(q, z)$ is meromorphic for $|z| < R$, then $f(q, z)$ is also meromorphic for $|qz| < R$, and so $f(q, z)$ is meromorphic on \mathbb{C}^\times .

In summary, there is **No issue of analytic continuation!**

- (III) Change of basis:** K_q linear transformations shall give purely nontrivial identities!

2 Worm-up: Review of Solutions for Differential Equations

Find local solutions at $z = 0$ for

$$(2.1) \quad \left(a(z) \frac{\partial^2}{\partial z^2} + b(z) \frac{\partial}{\partial z} + c(z) \right) f = 0.$$

Case I: $a(0) \neq 0$. Locally,

$$\frac{\partial^2}{\partial z^2} f + B(z) \frac{\partial}{\partial z} f + C(z) f = 0, \text{ with } f(0) = \alpha, \frac{\partial f}{\partial z}(0) = \beta,$$

has a unique solution along a path. The point is we can expect **multi-valued solutions**.

To be explicit, assume

$$f(z) = \sum_{n \geq 0} f_n z^n, \quad B(z) = \sum_{n \geq 0} b_n z^n, \quad C(z) = \sum_{n \geq 0} c_n z^n.$$

Then we have

$$\begin{aligned} & \sum_{n \geq 2} n(n-1) f_n z^{n-2} + \sum_{n \geq 1} \sum_{m \geq 0} n b_m f_n z^{m+n-1} + \sum_{n \geq 0} \sum_{m \geq 0} c_m f_n z^{n+m} = 0 \\ \implies & \forall n \geq 0, (n+2)(n+1) f_{n+2} + \sum_{k=0}^n (n+1-k) b_k f_{n+1-k} + \sum_{k=0}^n c_k f_{n-k} = 0 \\ (2.2) \implies & \forall n \geq 0, f_{n+2} = -\frac{1}{(n+1)(n+2)} \left(\sum_{k=0}^n (n+1-k) b_k f_{n+1-k} + \sum_{k=0}^n c_k f_{n-k} \right). \end{aligned}$$

Given $f_0 = \alpha, f_1 = \beta$, we shall determine the whole $\{f_n\}$. Hence, the solution space is a two dimensional space.

Case II: $a(z) = z\tilde{a}(z)$ with $\tilde{a}(0) \neq 0$. Then we shall write

$$\frac{\partial^2}{\partial z^2} f + B(z) \frac{\partial}{\partial z} f + C(z) f = 0,$$

where $B(z)$ and $C(z)$ has order one pole at $z = 0$, thus,

$$B(z) = \sum_{n \geq -1} b_n z^n, \quad C(z) = \sum_{n \geq -1} c_n z^n.$$

Similarly, we have

$$(2.3) \quad \forall n \geq 0, (n+2)(n+1) f_{n+2} + \sum_{k=-1}^n (n+1-k) b_k f_{n+1-k} + \sum_{k=-1}^n c_k f_{n-k} = 0,$$

but while $n = -1$,

$$(2.4) \quad b_{-1} f_1 + c_{-1} f_0 = 0.$$

There exists only one (dimensional) solution in the form of power series.

Case III: $a(z) = z^2\tilde{a}(z)$ with $\tilde{a}(0) \neq 0$. We shall only work with regular singular cases,

Definition 2.1. We say the 2nd order differential equation (2.1) is **regular singular** at $z = 0$, if $a(z) = z^2\tilde{a}(z)$, $b(z) = z\tilde{b}(z)$, such that $\tilde{a}(z), \tilde{b}(z), c(z)$ regular at $z = 0$ and that $\tilde{a}(0) \neq 0$.

In these cases, we shall rewrite (2.1) (by abuse of notations) as

$$(2.5) \quad \left(a(z)D^2 + b(z)D + c(z) \right) f = 0,$$

where $a(z), b(z), c(z)$ is regular at $z = 0$, $a(0) \neq 0$ and the operator D is defined as

$$(2.6) \quad D := z \frac{\partial}{\partial z}.$$

Example 2.1 (Euler's hypergeometric equations). The 2nd order differential equation

$$(2.7) \quad z(1-z) \frac{\partial^2}{\partial z^2} f + (c - (a+b+1)z) \frac{\partial}{\partial z} f - abf = 0$$

is regular singular at $z = 0, 1, \infty$. At $z = 0$, we shall rewrite it as

$$(2.8) \quad (1-z)D^2 f + ((c-1) - (a+b)z)Df - abz f = 0.$$

Without lack of generality, we shall assume $a(z) \equiv 1$, and write

$$b(z) = \sum_{n \geq 0} b_n z^n, \quad c(z) = \sum_{n \geq 0} c_n z^n, \quad f(z) = z^r \sum_{n \geq 0} f_n z^n.$$

Then $\forall n \geq 1$,

$$(2.9) \quad \begin{aligned} & f_n(n+r)^2 + \sum_{k=0}^n (n+r)b_k f_{n+r-k} + \sum_{k=0}^n c_k f_{n-k} = 0. \\ \implies f_n &= -\frac{1}{(n+r)^2 + b_0(n+r) + c_0} \sum_{k=1}^n ((n+r-k)b_k + c_k) f_{n-k}, \end{aligned}$$

While for $n = 0$, $f_0(r^2 + b_0r + c_0) = 0$. We call the equation

$$(2.10) \quad X^2 + b_0X + c_0 = 0$$

the **characteristic polynomial**, which says that $f(z)$ defined above is a nonzero solution only if r is a root of the characteristic polynomial and $(n+r)$ is not a root for all $n \geq 1$. Now suppose r_1, r_2 are two roots of the characteristic polynomial.

Case III.1: $r_1 - r_2 \notin \mathbb{Z}$. There are two distinct solutions in the form as above, which are $z^{r_1}F_1$ and $z^{r_2}F_2$. F_i are power series and $z^{r_i}F_i$ is multi-valued unless $r_i \in \mathbb{Z}$. The monodromy action (along a simple loop around $z = 0$) is diagonal with eigenvalues $e^{2\pi r_1 \sqrt{-1}}, e^{2\pi r_2 \sqrt{-1}}$.

Case III.2: $r_1 = r_2 + n_0$ with $n_0 \in \mathbb{Z}_{\geq 0}$. $z^{r_1}F$ will give one solution. By Frobenius' method, another solution will be in the form of

$$z^{r_1} \log z F + z^{r_2} G = \log z \sum_{n \geq 0} f_n z^{n+r_1} + \sum_{n \geq 0} g_n z^{n+r_2},$$

which satisfies for all $n \geq n_0$,

$$(2.11) \quad (n + r_2)^2 g_n + \sum_{k=0}^n ((n - k + r_2)b_k + c_k)g_{n-k} + 2(n + r_2)f_{n-n_0} + \sum_{k=0}^{n-n_0} b_k f_{n-n_0-k} = 0,$$

and for $n < n_0$,

$$(2.12) \quad (n + r_2)^2 g_n + \sum_{k=0}^n ((n - k + r_2)b_k + c_k)g_{n-k} = 0.$$

Especially, when $n = n_0$, we have

$$(2.13) \quad \sum_{k=1}^{n_0} ((r_1 - k)b_k + c_k)g_{n_0-k} + 2r_1 f_0 + b_0 f_0 = 0.$$

In summary, G is determined by g_{n_0} and f_0 . Especially, if $f_0 = 0$, we shall have $z^{r_1} \log z F + z^{r_2} G = z^{r_2} z^{n_0} \tilde{G}$, which is a solution in the form of $z^{r_1} F$.

Example 2.2 (Euler's hypergeometric equation). For (2.7), assume $c > 1$, then the characteristic polynomial is

$$(2.14) \quad X^2 + (c - 1)X = 0,$$

whose roots are $r_1 = 0, r_2 = 1 - c$. With respect to r_1 , the hypergeometric series

$${}_2F_1(a, b; c; z) := \sum_{n \geq 0} \frac{(a)_n (b)_n}{(c)_n} \frac{z^n}{n!}$$

gives one special solution. Here, $(q)_n$ is the **Pochhammer symbol** defined as

$$(2.15) \quad (q)_n := q(q + 1) \cdots (q + n - 1).$$

With respect to r_2 , in cases where $c \notin \mathbb{Z}$, the hypergeometric series

$$z_2^{1-c} {}_2F_1(1 + a - c, 1 + b - c; 2 - c; z) := \sum_{n \geq 0} \frac{(1 + a - c)_n (1 + b - c)_n}{(2 - c)_n} \frac{z^{1+n-c}}{n!}$$

gives another special solution.

3 q -difference Equations

A 2nd order q -difference equation is in the form of

$$(3.1) \quad (a(q, z)\sigma_q^2 + b(q, z)\sigma_q + c(q, z))f(q, z) = 0,$$

where $c(q, z) \neq 0$. (3.1) is called **regular singular** if $a_0(q) := a(0, q) \neq 0$. In these cases, we can rewrite (3.1) as

$$(3.2) \quad (\sigma_q^2 + b(q, z)\sigma_q + c(q, z))f(q, z) = 0,$$

with

$$b(q, z) = \sum_{n \geq 0} b_n(q)z^n, \quad c(q, z) = \sum_{n \geq 0} c_n(q)z^n.$$

For solutions in the form of

$$\sum_{n \geq 0} f_n(q)z^{n+r},$$

we shall have

$$(3.3) \quad (q^{2(n+r)} + q^{n+r}b_0 + c_0)f_n + \sum_{k=1}^n (q^{n+r-k}b_k + c_k)f_{n-k} = 0.$$

We can get a nonzero solution $f(q, z) \neq 0$ only if q^r is a root of the **characteristic polynomial** $X^2 + b_0X + c_0$ and q^{n+r} is not a root for all $n \geq 1$. In summary, suppose q^{r_1}, q^{r_2} are roots of the characteristic polynomial, then

Case I: $r_1 - r_2 \notin \mathbb{Z}$, then there exists two linearly independent special (might be multi-valued) solutions in the form of $z^{r_1}F_1, z^{r_2}F_2$, for F_1, F_2 power series.

Case II: $r_1 - r_2 = n_0 \in \mathbb{Z}_{\geq 0}$. There exists at least one special (multi-valued) solution. For other solutions, we shall leave later.

Example 3.1 (q -hypergeometric equations). Consider

$$(3.4) \quad ((1 - \sigma_q)(1 - q^\gamma \sigma_q) - z(1 - q^\alpha \sigma_q)(1 - q^\beta \sigma_q))f = 0,$$

for $\gamma \notin \mathbb{Z}$. The characteristic polynomial is $(1 - X)(1 - q^\gamma X)$, whose roots are $q^0, q^{-\gamma}$. With respect to q^0 , one solution is given by the **q -hypergeometric series**,

$$(3.5) \quad {}_2\phi_1(\alpha, \beta; 1 + \gamma; q, z) := \sum_{n \geq 0} \frac{(q^\alpha; q)_n (q^\beta; q)_n}{(q^{1+\gamma}; q)_n} \frac{z^n}{(q; q)_n},$$

where $(a; q)_n$ is the **q -Pochhammer symbol** defined as

$$(3.6) \quad (a; q)_n := (1 - a)(1 - aq) \cdots (1 - aq^{n-1}).$$

With respect to $q^{-\gamma}$, another solution can be given by

$$(3.7) \quad z^{-\gamma} {}_2\phi_1(\alpha - \gamma, \beta - \gamma; 1 - \gamma; q; z).$$

Remark. q -difference equations of the form of

$$(\cdots) + z(\cdots) = 0$$

is essential in the study of quintics, whose q -analog of Picard-Fuchs equation is

$$(3.8) \quad ((1 - \sigma_q)^5 - z(1 - \sigma_q^5)(1 - q\sigma_q^5) \cdots (1 - q^4\sigma_q^5))f = 0.$$

Remark. The generalized q -hypergeometric series is defined as

$$(3.9) \quad {}_r\phi_s \left(\begin{matrix} a_1, \dots, a_r \\ b_1, \dots, b_s \end{matrix}; q, z \right) := \sum_{n \geq 0} \frac{(a_1; q)_n \cdots (a_r; q)_n}{(b_1; q)_n \cdots (b_s; q)_n} \left((-1)^n q^{\frac{n(n-1)}{2}} \right)^{1+s-r} \frac{z^n}{(q; q)_n},$$

where the factor $\left((-1)^n q^{\frac{n(n-1)}{2}} \right)^{1+s-r}$ comes from the contribution of the level structure.

Then, we shall consider q -difference equations

$$(3.10) \quad \sigma_q f(q, z) = q^r f(q, z),$$

$$(3.11) \quad \sigma_q f(q, z) = f(q, z) + 1.$$

They both have special solutions, which are multi-valued. To be explicit, we have

$$\sigma_q z^r = q^r z^r, \quad \sigma_q \frac{\log z}{\log q} = \frac{\log z}{\log q} + q.$$

If $r \notin \mathbb{Z}$, z^r is multi-valued. Hence, to find a single-valued solution, we shall introduce the **Jacobian Theta function**[1].

Definition 3.1. The Jacobian Theta function is defined as

$$(3.12) \quad \theta_q(z) := \sum_{n \in \mathbb{Z}} q^{\frac{n(n-1)}{2}} z^n.$$

It will satisfy the q -difference equation[1],

$$(3.13) \quad \sigma_q \theta_q(z) = \frac{1}{z} \theta_q(z).$$

With this, we can define the **q -character** associated to the eigenvalue $c(q) \in \mathbb{C}^\times$ and the **q -logarithm**[2],

Definition 3.2. Associated to $c(q) \in \mathbb{C}^\times$, the q -character is defined as

$$(3.14) \quad e_{q,c(q)}(z) := \frac{\theta_q(z)}{\theta_q(c(q)z)}.$$

The q -logarithm is defined as

$$(3.15) \quad \ell_q(z) := -\frac{z\theta'_q(z)}{\theta_q(z)}.$$

One can easily prove that both $e_{q,c(q)}(z)$ and $\ell_q(z)$ are meromorphic functions and satisfy[2],

$$\sigma_q e_{q,c(q)}(z) = c(q) e_{q,c(q)}(z), \quad \sigma_q \ell_q(z) = \ell_q(z) + 1.$$

What's more, if $c(q) = q^n$ for $n \in \mathbb{Z}$,

$$e_{q,q^n} = q^{\frac{n(n-1)}{2}} z^n.$$

For now, we will look back at the 2nd order q -difference equation (3.2). Suppose c_1, c_2 are roots of the characteristic polynomial.

Case I: $c_1/c_2 \notin q^{\mathbb{Z}}$, then we shall have two special single-valued solutions,

$$e_{q,c_1}F_1, \quad e_{q,c_2}F_2,$$

with F_1, F_2 formal power series.

Case II: $c_1 = c_2 q^{n_0}$ for some $n_0 \in \mathbb{Z}_{\geq 0}$. There still exists one special solution $e_{q,c_1}F$.

Another solution is of the form of

$$\ell_q(z)e_{q,c_1}(z)F(q, z) + e_{q,c_2}(z)G(q, z),$$

with F, G formal power series and $e_{q,c_1}(z)F(q, z)$ a special solution as above. Then, we have

$$\begin{aligned} & (\ell_q + 2)c_1^2 e_{q,c_1} \sigma_q^2 F + c_2^2 e_{q,c_2} \sigma_q^2 G + b(\ell_q + 1)c_1 e_{q,c_1} \sigma_q F \\ & + bc_2 e_{q,c_2} \sigma_q G + c(\ell_q e_{q,c_1} F + e_{q,c_2} G) \\ & = 2c_1^2 e_{q,c_1} \sigma_q^2 F + bc_1 e_{q,c_1} \sigma_q F + c_2^2 e_{q,c_2} \sigma_q^2 G + bc_2 e_{q,c_2} \sigma_q G + ce_{q,c_2} G \\ & = 2q^{\frac{n_0(n_0+3)}{2}} c_2^{n_0+2} e_{q,c_2} z^{n_0} \sigma_q^2 F + bc_2^{n_0+1} q^{\frac{n_0(n_0+1)}{2}} e_{q,c_2} z^{n_0} \sigma_q F \\ & + c_2^2 e_{q,c_2} \sigma_q^2 G + bc_2 e_{q,c_2} \sigma_q G + ce_{q,c_2} G, \end{aligned}$$

which indicates that G is determined by f_0 and g_{n_0} (g_k for $k < n_0$ is determined by f_0). If $f_0 = 0$, this solution will be in the form of the first kind again.

There are also non-regular-singular cases, which are more problematic for analyticity.

Example 3.2 (Ramanujan Equation). Consider

$$(3.16) \quad (qz\sigma_q^2 - \sigma_q + 1)f = 0.$$

The characteristic polynomial is $-x + 1$, whose root is $x = 1 = q^0$. Hence, we may consider a solution in the form of

$$f = \sum_{n \geq 0} f_n(q) z^n.$$

By direct calculation,

$$\forall n \geq 1, q^{2n-1} f_{n-1} - (q^n - 1) f_n = 0,$$

and f_0 is a free variable. Assume $f_0 = 1$, we shall have

$$(3.17) \quad f_n = (-1)^n \frac{q^{n^2}}{(q; q)_n} = \frac{1}{(q; q)_n} \left((-1)^n q^{\frac{n(n-1)}{2}} \right)^2 (-q)^n.$$

Hence,

$$(3.18) \quad f(q, z) = {}_0\phi_1(-; 0; q, -qz).$$

For another special solution, we shall consider a solution in the form of

$$\theta_q(z) \sum_{n \geq 0} f_n z^n.$$

By direct calculation,

$$\begin{aligned} & qzq^{-1}z^{-2}\theta_q \sum_{n \geq 0} f_n q^{2n} z^n - z^{-1}\theta_q \sum_{n \geq 0} f_n q^n z^n + \theta_q \sum_{n \geq 0} f_n z^n = 0 \\ (3.19) \quad & \implies \forall n \geq 1, (q^{2n} - q^n)f_n + f_{n-1} = 0, \end{aligned}$$

and also f_0 is free. Assume $f_0 = 1$, we shall have

$$(3.20) \quad f_n = \frac{1}{(1; q)_n} \left(q^{\frac{n(n-1)}{2}} \right)^{-1} q^{-n}.$$

Hence

$$(3.21) \quad f(q, z) = \theta_q(z) {}_3\phi_1(0, 0, 0; 0; q; -\frac{z}{q}).$$

4 General Technique

4.1 Newton polygon

For a q -difference equation in the form of

$$\mathcal{L}(z, \sigma_q)f(q, z) = 0,$$

where \mathcal{L} is a polynomial of σ_q with coefficients in $\mathbb{C}[[z]]$, i.e.,

$$\mathcal{L}(z, \sigma_q) = \sum_s a_s(z) \sigma_q^s,$$

the associative **Newton polygon** in \mathbb{R}^2 is denoted by $N(\mathcal{L})$ and defined as

$$(4.1) \quad N(\mathcal{L}) := \text{Convex hull of } \{(s, r) \mid r \geq \text{ord}(a_s)\}.$$

Hence, $N(\mathcal{L})$ is bounded by two vertical lines from two sides and a series of segments of slopes $\mu_1 < \dots < \mu_l$ and lengths (of their projections onto the x -axis) $r_1, \dots, r_l \in \mathbb{Z}_{\geq 1}$ from below. r_i is called the multiplicities with respect to μ_i . Up to translation, $N(\mathcal{L})$ is determined by

$$\{(\mu_1, r_1), \dots, (\mu_l, r_l) \mid (\mu_i, r_i) \in \mathbb{Q} \times \mathbb{Z}_{\geq 1}, \mu_1 < \dots < \mu_l\}.$$

Since $N(z^j \sigma_q^i \mathcal{L}(z, \sigma_q)) = N(\mathcal{L}) + (i, j)$, we shall always assume that the lower boundary of $N(\mathcal{L})$ intersects with x -axis at exactly one point or along one segment ($\mu_i = 0, r_i$). For a segment (μ_i, r_i) , if $\mu_i = 0$, we shall associate it with a **characteristic polynomial**

of slope 0 by

$$(4.2) \quad \mathcal{L}(0, X).$$

In general, we shall associate it with a **characteristic polynomial of the slope μ** by

$$(4.3) \quad z^C \theta_q^{-\mu} \mathcal{L} \theta_q^\mu(0, X),$$

where C is some appropriate integer, and define the **exponents** of the slope μ as the **nonzero** roots of the characteristic polynomial of slope μ . Notice that

$$\#\{\text{exponents of the slope } \mu_i\} = r_i,$$

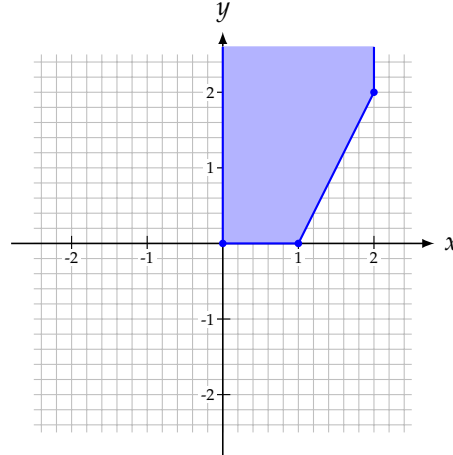
we shall denote by $c_{i,j}$ with $1 \leq j \leq r_i$, the nonzero roots of the associative characteristic polynomial. Assume that $c_{i,j}/c_{i,j'} \notin q^{\mathbb{Z}}$ unless $j = j'$. Then for each $(\mu_i, c_{i,j})$ we shall consider a solution in the form of

$$\theta_q^{\mu_i} e_{q, c_{i,j}} \sum_{n \geq 0} f_n z^n.$$

Example 4.1. Consider

$$(z^2 \sigma_q^2 - \sigma_q + 1)f = 0.$$

Its Newton polygon $N(\mathcal{L})$ is as follows,



Then the characteristic polynomial of the slope $\mu_1 = 0$ is

$$-X + 1,$$

and the characteristic polynomial of the slope $\mu_2 = 2$ is

$$q^{-2}X^2 - X.$$

The corresponding exponents are $1 = q^0$ and q^2 respectively. We shall consider solutions in the forms of

$$\sum_{n \geq 0} f_n z^n, \quad \theta_q^2 e_{q, q^2} \sum_{n \geq 0} g_n z^n$$

By direct calculation, we shall have the following two linear independent solutions,

$$(4.4) \quad {}_0\phi_0(-; -; q^2, z^2) = \sum_{n \geq 0} (-1)^n q^{n(n-1)} \frac{z^{2n}}{(q^2; q^2)_n},$$

$$(4.5) \quad \theta_q^2(z) e_{q, q^2}(z) {}_0\phi_1(-; 0; q^{-2}, -\frac{z^2}{q^6}) = \theta_q^2(z) e_{q, q^2}(z) \sum_{n \geq 0} (q^{-n(n-1)})^2 \frac{\left(-\frac{z^2}{q^6}\right)^n}{(q^{-2}; q^{-2})_n}.$$

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