

# **Integral Bases for P-Recursive Sequences**

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joint work with Lixin Du, Manuel Kauers, and Thibaut Verron

## Integral bases: algebraic case

### Notation.

- ▶  $A$ : an integral domain (e.g.  $\mathbb{Z}$ ,  $\mathbb{C}[x]$ );
- ▶  $K$ : the quotient field of  $A$  (e.g.  $\mathbb{Q}$ ,  $\mathbb{C}(x)$ );
- ▶  $L$ : a separable extension of  $K$  with  $[L:K] = r \leq +\infty$ ;
- ▶  $B$ : a ring extension of  $A$  with  $B \subseteq L$ .

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Definition. An element  $\beta \in B$  is **integral** over  $A$  if

$$\beta^n + a_{n-1}\beta^{n-1} + \cdots + a_0 = 0 \quad \text{with } a_i \in A.$$

Theorem. The set

$$\mathcal{O}_{B/A} := \{\beta \in B \mid \beta \text{ is integral over } A\}$$

forms an  $A$ -module which is called the **integral closure** of  $A$  in  $B$ .

Problem. When is the  $A$ -module  $\mathcal{O}_{B/A}$  **free**?

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**Definition.** Let  $\{\beta_1, \dots, \beta_r\}$  be a basis of  $L$  over  $K$ . The trace map  $\text{Tr}_{L/K}: L \rightarrow K$  is defined by for any  $\alpha \in L$ ,

$$\text{Tr}_{L/K}(\alpha) \triangleq \text{Tr}(M_\alpha) = a_{1,1} + a_{2,2} + \dots + a_{r,r},$$

where  $M_\alpha = (a_{i,j}) \in K^{r \times r}$  with

$$\alpha \cdot \beta_i = \sum_{j=1}^r a_{i,j} \beta_j \quad \text{for } i = 1, 2, \dots, r.$$

**Remark.** The  $\text{Tr}_{L/K}$  is independent of the choice of bases.

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**Definition.** The **discriminant** of  $\alpha_1, \dots, \alpha_r \in L$  is

$$\text{Disc}_{L/K}(\alpha_1, \dots, \alpha_r) \triangleq \det((\text{Tr}_{L/K}(\alpha_i \alpha_j))) \in K.$$

### Proposition.

- 1  $\{\alpha_1, \dots, \alpha_r\}$  is a basis of  $L$  over  $K \Leftrightarrow \text{Disc}_{L/K}(\alpha_1, \dots, \alpha_r) \neq 0$ ;
- 2 If  $\alpha_1, \dots, \alpha_r \in \mathcal{O}_{L/A}$ , then  $\text{Disc}_{L/K}(\alpha_1, \dots, \alpha_r) \in \mathcal{O}_{K/A}$ ;
- 3 If  $\beta_i = \sum_{j=1}^r b_{i,j} \alpha_j$  for  $i = 1, \dots, r$ , then

$$\text{Disc}_{L/K}(\beta_1, \dots, \beta_r) = \text{Disc}_{L/K}(\alpha_1, \dots, \alpha_r) \cdot \det((b_{i,j}))^2.$$

## Existence of integral bases: algebraic case

**Definition.** If  $\mathcal{O}_{L/A}$  is free, any basis of  $\mathcal{O}_{L/A}$  is called an **integral basis** of  $L$  over  $K$ .

**Theorem.** If  $A$  is **PID**, then  $\mathcal{O}_{L/A}$  is a **free**  $A$ -module of rank  $[L : K]$ .

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**Theorem.** If  $A$  is **PID**, then  $\mathcal{O}_{L/A}$  is a **free**  $A$ -module of rank  $[L : K]$ .

**Proof.**

1.  $(A, \preceq)$  is a partially ordered set, where  $a \preceq b$  if  $a \mid b$  for  $a, b \in A$ . Since  $A$  is PID, any nonempty set of  $A$  has a minimum.
2. Since  $L$  is separable,  $L = K(\theta)$  for some  $\theta \in \mathcal{O}_{L/A}$ . Then  $\{1, \theta, \dots, \theta^{r-1}\} \subseteq \mathcal{O}_{L/A}$  is a basis of  $L$  over  $K$  and so

$$\Lambda := \{\text{Disc}_{L/K}(\alpha_1, \dots, \alpha_r) \mid \alpha_1, \dots, \alpha_r \in \mathcal{O}_{L/A}\} \subseteq A$$

is nonempty. Let  $\beta_1, \dots, \beta_r \in \mathcal{O}_{L/A}$  be such that their discriminant is minimal in  $\Lambda$ .



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**Theorem.** If  $A$  is **PID**, then  $\mathcal{O}_{L/A}$  is a **free**  $A$ -module of rank  $[L : K]$ .

**Proof.**

3. **Claim.**  $\{\beta_1, \dots, \beta_r\}$  is an integral basis. If not, then  $\exists \beta \in \mathcal{O}_{L/A} \setminus \{0\}$  such that

$$\beta = \frac{b_1\beta_1 + \dots + b_r\beta_r}{d},$$

where  $b_1, \dots, b_r, d \in A$  and  $d$  is not a unit in  $A$ . W.L.O.G, we may assume that  $b_1 = 1$ . Then

$$\text{Disc}_{L/K}(\beta, \beta_2, \dots, \beta_r) = \frac{1}{d^2} \cdot \text{Disc}_{L/K}(\beta_1, \dots, \beta_r) \in A,$$

which contradicts with the minimality of  $\text{Disc}_{L/K}(\beta_1, \dots, \beta_r)$ .

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**Examples.**

- 1 Let  $A = \mathbb{Z}$  and  $K = \mathbb{Q}$ . Then any algebraic number field has an integral basis. Let  $L = \mathbb{Q}(\sqrt{m})$  with  $m \in \mathbb{Z}$ . Then an integral basis of  $L$  over  $\mathbb{Q}$  is  $\{1, \sqrt{m}\}$  if  $m \equiv 2$  or  $3 \pmod{4}$  and  $\{1, (1 + \sqrt{m})/2\}$  if  $m \equiv 1 \pmod{4}$ .
- 2 Let  $A = \mathbb{C}[x]$  and  $K = \mathbb{C}(x)$ . Then any finite algebraic extension of  $K$  has an integral basis. Let  $L = K(\beta)$  with  $\beta$  being a root of  $P = (\frac{25}{16}x^3 + 2x^4) - x^3y - (2x+1)y^2 + y^3$ . Then an integral basis of  $L$  over  $\mathbb{C}(x)$  is  $\{1, \beta, (-\beta + \beta^2)/x\}$ .

**Problem.** How to construct integral bases?

## Computation of integral bases: van Hoeij's algorithm

**Input.**  $M \in C[x, y]$  monic irreducible over  $C(x)$  with  $r = \deg_y(M)$ ;

**output.** an integral basis  $\{B_0, \dots, B_{r-1}\}$ .

1. Start with  $(B_0, \dots, B_{r-1}) := (1, \beta, \dots, \beta^{r-1})$ .
2. For  $d \in \{0, 1, \dots, r-1\}$
3. While there exist  $a_0, \dots, a_{d-1} \in C[x]$  such that

$$A = \frac{a_0 B_0 + \dots + a_{d-1} B_{d-1} + B_d}{p(x)}$$

is **integral** and  $p(x) \in C[x] \setminus C$ ; replace  $B_d$  by  $A$ .

4. Return  $B_0, \dots, B_{r-1}$ .

## Computation of integral bases: van Hoeij's algorithm

Example.  $M = (\frac{25}{16}x^3 + 2x^4) - x^3y - (2x + 1)y^2 + y^3$  and  $M(\beta) = 0$ .

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$\mathcal{O}_0$

$$C[x] + C[x]\beta + C[x]\beta^2$$

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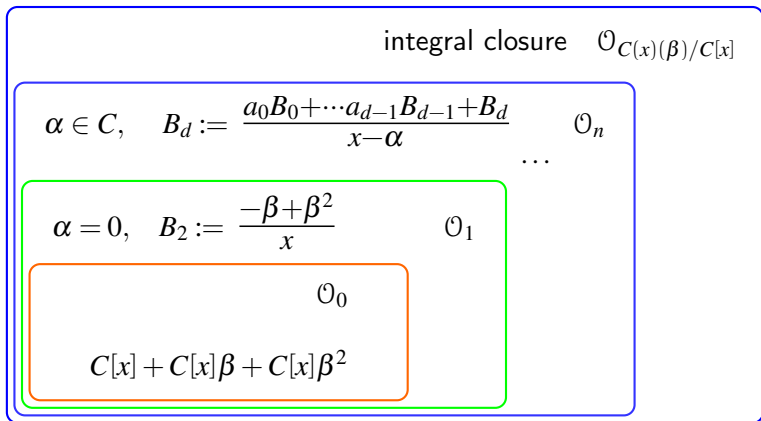
$$\alpha = 0, \quad B_2 := \frac{-\beta + \beta^2}{x} \quad \mathcal{O}_1$$

$\mathcal{O}_0$

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## Computation of integral bases: van Hoeij's algorithm

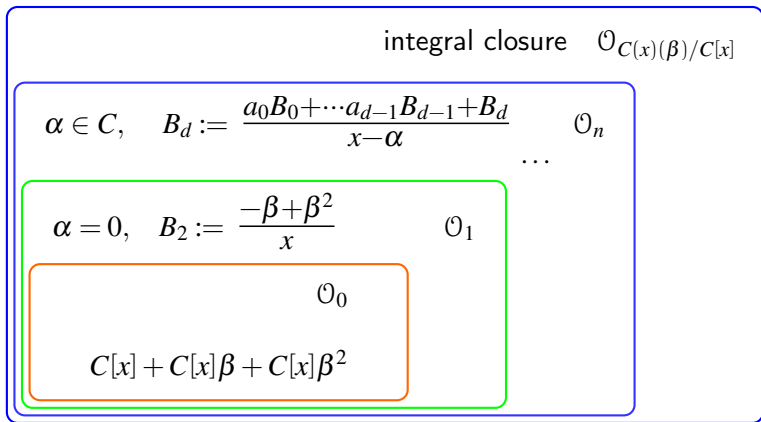
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## Computation of integral bases: van Hoeij's algorithm

Example.  $M = (\frac{25}{16}x^3 + 2x^4) - x^3y - (2x+1)y^2 + y^3$  and  $M(\beta) = 0$ .



$\{1, \beta, \frac{1}{x}(-\beta + \beta^2)\}$  is an integral basis of  $C(x)(\beta)$ .

## Integral bases: general framework

**Definition.** Let  $k$  be a field. The map  $v : k \rightarrow \mathbb{Z} \cup \{\infty\}$  is called a **valuation** if for all  $a, b \in k$

- ▶  $v(a) = \infty$  iff  $a = 0$ ;
- ▶  $v(ab) = v(a) + v(b)$ ;
- ▶  $v(a+b) \geq \min\{v(a), v(b)\}$ .

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**Example.** For a nonzero  $f \in C(x)$ , define  $v_z(f) = m$  if

$$f = (x-z)^m \frac{a}{b} \quad \text{where } (x-z) \nmid a, b.$$

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**Example.**  $(C(x), v_z)$  is a valued field.

The corresponding valuation ring is

$$C[x]_{x-z} = \left\{ \frac{a}{b} \in C(x) \mid (x-z) \nmid b \right\}.$$

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**Example.**  $(C(x), v_z)$  is a valued field.

**Fact.** The valuation ring is integrally closed.



## Integral Bases: general framework

**Definition.** Let  $V$  be a vector space over  $(k, v)$ . The map  $\text{val} : V \rightarrow \mathbb{Z} \cup \{\infty\}$  is called a **value function** if for all  $B, B_1, B_2 \in V$  and  $u \in k$

- ▶  $\text{val}(B) = \infty$  iff  $B = 0$ ;
- ▶  $\text{val}(u \cdot B) = v(u) + \text{val}(B)$ ;
- ▶  $\text{val}(B_1 + B_2) \geq \min\{\text{val}(B_1), \text{val}(B_2)\}$ .

## Integral Bases: general framework

**Definition.** Let  $V$  be a vector space over  $(k, \nu)$ . The map  $\text{val} : V \rightarrow \mathbb{Z} \cup \{\infty\}$  is called a **value function** if for all  $B, B_1, B_2 \in V$  and  $u \in k$

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The pair  $(V, \text{val})$  is called a **valued vector space**.

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**Problem 1.** When is this module free, i.e., when does there exist an integral basis?

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**Problem 2.** How to compute a basis if it exists?

## Discriminant functions

### Notation.

- ▶  $(k, \mathfrak{v})$ : a valued field with value group  $\mathbb{Z}$ ;
- ▶  $(V, \text{val})$ : a valued vector space over  $(k, \mathfrak{v})$  of dimension  $r$ .

**Definition.** Let  $x \in k$  with  $\mathfrak{v}(x) = 1$  and  $\mathbb{B}_V$  denote the set of all bases of  $V$ . A map  $\text{Disc} : \mathbb{B}_V \rightarrow \mathbb{Z}$  is a **discriminant function** on  $V$  if for a basis  $B_1, \dots, B_r$  of  $V$ ,

- (i)  $\gamma := \text{Disc}(\{B_1, \dots, B_r\}) \geq 0$  if all  $B_i$  are integral;
- (ii) for all  $\alpha_1, \dots, \alpha_{d-1} \in k$  with  $d \leq r$ ,

$$\text{Disc}(B_1, \dots, B_{d-1}, \alpha_1 B_1 + \dots + \alpha_{d-1} B_{d-1} + B_d, B_{d+1}, \dots, B_r) = \gamma$$

- (iii)  $\text{Disc}(B_1, \dots, B_{d-1}, x^{-1} B_d, B_{d+1}, \dots, B_r) < \gamma$ .

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$$\text{Disc}(B_1, \dots, B_{d-1}, \alpha_1 B_1 + \dots + \alpha_{d-1} B_{d-1} + B_d, B_{d+1}, \dots, B_r) = \gamma$$
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### Theorem.

$(V, \text{val})$  has a discriminant function



$(V, \text{val})$  has an integral basis



## Computation of integral bases: **general case**

**Input.** a vector space basis  $\{B_1, \dots, B_r\}$  of  $(V, \text{val})$  over  $(k, \mathbf{v})$ .

**output.** an integral basis.

1. For  $d \in \{1, \dots, r\}$  do:
2.     Replace  $B_d$  by  $(x)^{-\text{val}(B_d)} B_d$ , where  $\mathbf{v}(x) = 1$ .
3.     While there exist  $a_1, \dots, a_{d-1} \in \mathcal{O}_k$  such that

$$A = \frac{a_1 B_1 + \dots + a_{d-1} B_{d-1} + B_d}{x}$$

is **integral**; replace  $B_d$  by  $A$ .

4. Return  $B_1, \dots, B_r$ .

## Existence of integral bases: general case

**Theorem.** Let  $(V, \text{val})$  be a valued vector space over  $(k, \nu)$ .  
TFAE.

- (a) There is an integral basis of  $(V, \text{val})$ .
- (b) There is a discriminant function  $\text{Disc} : \mathbb{B}_V \rightarrow \mathbb{Z}$ , where  $\mathbb{B}_V$  is the set of all bases of  $V$ .
- (c) The algorithm terminates.
- (d) The completion of  $V$  w.r.t  $\nu$  is of dimension  $r = \dim_k(V)$ .

## Existence of integral bases: general case

**Theorem.** Let  $(V, \text{val})$  be a valued vector space over  $(k, \nu)$ .  
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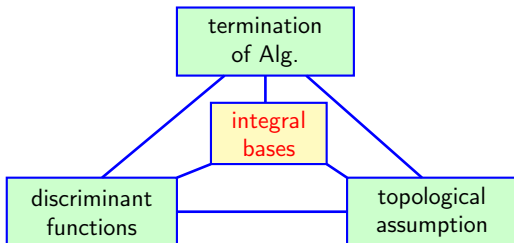
- (a) There is an integral basis of  $(V, \text{val})$ .
- (b) There is a discriminant function  $\text{Disc} : \mathbb{B}_V \rightarrow \mathbb{Z}$ , where  $\mathbb{B}_V$  is the set of all bases of  $V$ .
- (c) The algorithm terminates.
- (d) The completion of  $V$  w.r.t  $\nu$  is of dimension  $r = \dim_k(V)$ .

integral  
bases

## Existence of integral bases: general case

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## Integral Bases: three cases

### Algebraic case

- ▶  $K = C(x)[y]/\langle M \rangle$ , where  $M \in C(x)[y]$  irreducible
- ▶ The integral elements of  $K$  form a **free**  $C[x]$ -module.
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- ▶  $V = C(x)[D]/\langle L \rangle$ ,  $Dx = xD + 1$ , where  $L \in C(x)[D]$  admits a fundamental system of solutions in  $\bar{C}[[x - \alpha]]$ .
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### P-recursive case

- ▶ **Question.** What are integral elements?

## D-finite functions

**Definition.** A function  $f(x)$  is called **D-finite** over  $C$  if

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**Examples.**

$$\frac{1}{x^2 + 2x}, \quad \frac{1}{\sqrt{x+1}}, \quad \exp(x), \quad \log(x), \quad J_\alpha(x), \quad {}_2F_1(a, b; c; z), \quad \dots$$

## D-finite functions: solution space

Setting.

- ▶  $L = p_0(x) + p_1(x)D + \cdots + p_r(x)D^r \in C[x][D]$  with  $p_r \neq 0$ .
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**Fact.** If  $x - \alpha \nmid p_r(x)$ , then  $L$  admits  $r$  linearly independent solution in

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**Question.** Does there always exist  $r$  linearly independent solutions?

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**Theorem.** Let  $L \in C(x)[D]$ . Then  $L$  admits a fundamental system of generalized series solutions of the form

$$\exp(P((x-\alpha)^{\frac{1}{s}}))(x-\alpha)^{\mathbf{v}} Q((x-\alpha)^{\frac{1}{s}}, \log(x-\alpha))$$

for some  $s \in \mathbb{N}$ ,  $P \in \bar{C}[x]$ ,  $\mathbf{v} \in \bar{C}$  and  $Q \in \bar{C}[[x]][y]$ .

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$$\bar{C}[[x-\alpha]] := \bigcup_{\mathbf{v} \in C} (x-\alpha)^{\mathbf{v}} \bar{C}[[x-\alpha]][\log(x-\alpha)]$$

**Definition.** Such a series is called **integral** at  $\alpha$  if  $\mathbf{v} \geq 0$ .

## Integral bases: D-finite case

**Definition.** An operator  $B \in V = C(x)[D]/\langle L \rangle$  is called **integral** if

$$B \cdot f \text{ is integral}$$

for every series solution  $f$  of  $L$  at any  $\alpha \in \bar{C}$ .

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**Theorem.** The integral elements of  $V$  form a **free**  $C[x]$ -module.

$$\text{wr}_{L,\alpha}(B) := \det(((B_i \cdot b_j))_{i,j=1}^r) \in \bar{C}[[x - \alpha]].$$

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1st sol	$1 + x + \frac{1}{2}x^2 + \dots$		
2nd sol	$x^{1/2} + \dots$		

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1 and  $xD$  are integral elements of  $C(x)[D]/\langle L \rangle$ , but  $D$  is not.

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Example.  $L = (2x + 1) - (4x^2)D + 2x(2x - 1)D^2$

$x = 1/2$	1	$xD$	
1st sol	$\frac{1}{2} + (x - \frac{1}{2}) + \dots$	$\frac{1}{4} + \frac{3}{4}(x - \frac{1}{2}) + \dots$	
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1st sol	$\frac{1}{2} + (x - \frac{1}{2}) + \dots$	$\frac{1}{4} + \frac{3}{4}(x - \frac{1}{2}) + \dots$	$\frac{1}{2}(x - \frac{1}{2}) + \dots$
2nd sol	$1 + (x - \frac{1}{2}) + \dots$	$\frac{1}{2} + \frac{3}{2}(x - \frac{1}{2}) + \dots$	$2(x - \frac{1}{2}) + \dots$

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1st sol	$\frac{1}{2} + (x - \frac{1}{2}) + \dots$	$\frac{1}{4} + \frac{3}{4}(x - \frac{1}{2}) + \dots$	$\frac{1}{4} + \dots$
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In fact,  $\{1, \frac{1}{2x-1}(2xD-1)\}$  is an integral basis.

## Applications of integral bases: D-finite case

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Consider

$$f = \frac{a_0 \omega_0 + a_1 \omega_1}{uv^m}$$

where

$$\begin{aligned} a_0 &= 4x^2 + 37x - 11, & a_1 &= -28x^3 + 40x^2 - x - 1, \\ u &= 4, & v &= (x-1)x, & m &= 2. \end{aligned}$$

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**Question.** How to calculate  $\int f dx$  ?

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**Example.**  $L = (2x + 1) - (4x^2)D + 2x(2x - 1)D^2$ .

**Hermite reduction.** Find  $b_0, b_1, c_0, c_1 \in \mathbb{C}[x]$  such that

$$\frac{a_0\omega_0 + a_1\omega_1}{uv^m} = \left( \frac{b_0\omega_0 + b_1\omega_1}{v^{m-1}} \right)' + \frac{c_0\omega_0 + c_1\omega_1}{uv^{m-1}}.$$

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It follows that

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where

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Since  $\{\omega_0, \omega_1\}$  is an integral basis of  $C(x)[D]/\langle L \rangle$ , we have

$$\begin{pmatrix} 41x - 11 \\ 11x - 1 \end{pmatrix} = \begin{pmatrix} 2 - 6x & 2 - 2x \\ 0 & 4 - 8x \end{pmatrix} \begin{pmatrix} b_0 \\ b_1 \end{pmatrix} \pmod{v}$$



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So  $b_0 = \frac{1}{2}(4x + 11)$ ,  $b_1 = \frac{5}{2}(2x - 1)$ .

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So  $b_0 = \frac{1}{2}(4x + 11)$ ,  $b_1 = \frac{5}{2}(2x - 1)$ . Consequently  $c_0 = c_1 = 0$ .

Therefore

$$\int f dx = \frac{(11 + 4x)\omega_0 + 5(2x - 1)\omega_1}{8(1 - x)^2 x^2} = \frac{5}{x - 1} y' - \frac{2x + 3}{(x - 1)x} y.$$

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**Definition.** A sequence  $f : \mathbb{N} \rightarrow C$  is called **P-recursive** if

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**Example.** The Harmonic sequence  $f(n) = \sum_{k=1}^n \frac{1}{k}$  satisfies

$$(n+1)f(n) - (2n+3)f(n+1) + (n+2)f(n+2) = 0.$$

## P-recursive sequences: solution space

Setting.

- ▶  $L = p_0(n) + p_1(n)S + \cdots + p_r(n)S^r \in C[n][S]$  with  $p_0, p_r \neq 0$ .
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Question. How to decide the solution space  $\text{Sol}(L)$ ?

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2nd sol	$\dots$	$0$	$1$	$1$	$2$	$3$	$5$	$\dots$

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Contradiction!

## Deformed P-recursive sequences

Setting [van Hoeij1999].

►  $L = p_0(n) + p_1(n)S + \cdots + p_r(n)S^r \in C[n][S]$  with  $p_0, p_r \neq 0$ .

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$\alpha = 0$	...	-2	-1	0	1	2	3	...
1st sol	...	1	0	0	$\frac{-q+2}{(q-1)^2}$	$\frac{2q-4}{q^2}$	$\frac{-4q+8}{(q+1)^2}$	...
2nd sol	...	0	1	0	0	$\frac{-q+1}{q^2}$	$\frac{2q-2}{(q+1)^2}$	...
3rd sol	...	0	0	1	$\frac{-2q^2+8q-8}{(q-1)^2}$	$\frac{4q^2-16q+16}{q^2}$	$\frac{-8q^2+31q-32}{(q+1)^2}$	...

**Fact.**  $\text{Sol}(L)$  is a  $C((q))$ -vector space of dimension  $r = \text{ord}(L)$ .

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3rd sol	...	0	0	1	$-8 + \dots$	$16q^{-2} - 16q^{-1} + \dots$	$-32 + 95q + \dots$	...

Question. How to define a value function on  $V = C(x)[S]/\langle L \rangle$ ?



## Value functions: P-recursive case

**Definition.** For an operator  $B \in V = C(n)[S]/\langle L \rangle$ , we define  $\text{val}_z: V \rightarrow \mathbb{Z} \cup \{\infty\}$  by

$$\text{val}_z(B) := \min_{b \in \text{Sol}(L)} \left( v_q((B \cdot b)(z)) - \liminf_{n \rightarrow \infty} v_q(b(z-n)) \right)$$

for any  $z \in \alpha + \mathbb{Z}$ .

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**Remark.** For a normalized basis  $\{b_1, \dots, b_r\}$  of  $\text{Sol}(L)$ , we have

$$\text{val}_z(B) = \min_{j=1}^r \left( v_q((B \cdot b_j)(z)) \right).$$

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**Definition.** An operator  $B$  of  $V$  is called **integral** at  $z$  if  $\text{val}_z(B) \geq 0$ .

**Theorem.** The integral elements of  $V$  form a **free**  $C[n]_{n-z}$ -module.

$$\text{Disc}_z(B_1, \dots, B_r) := v_q\left(\det(((B_i \cdot b_j)(z))_{i,j=1}^r)\right)$$

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## Integral bases: P-recursive case

Example.  $L = n + 2n^2S + (n+1)^2S^3$

$n = 1$	1			
1st sol	$2 + \dots$			
2nd sol	0			
3rd sol	$-8 + \dots$			



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2nd sol	0	$q^{-2} - q^{-1}$		
3rd sol	$-8 + \dots$	$16q^{-2} - 16q^{-1} + \dots$		

1 is an integral element of  $C(n)[S]/\langle L \rangle$ , but  $S$  not.

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$n = 1$	1	$(n-1)^2S$	$S^2$	$S^2 - 2(n-1)^2S$
1st sol	$2 + \dots$	$-4 + 2q$	$8 + 20q + \dots$	$24q + \dots$
2nd sol	0	$1 - q$	$-2 + 6q + \dots$	$4q + \dots$
3rd sol	$-8 + \dots$	$16 - 16q + \dots$	$-32 + 95q + \dots$	$63q + \dots$

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$n = 1$	1	$(n-1)^2S$	$S^2$	$-2(n-1)S + \frac{1}{n-1}S^2$
1st sol	$2 + \dots$	$-4 + 2q$	$8 + 20q + \dots$	$24 + \dots$
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integral closure

$$B_2 := \frac{1}{n-1}((n-1)^2S + S^2)$$

$$C[n]_{n-1} + C[n]_{n-1}(n-1)^2S + C[n]_{n-1}S^2$$

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$\left\{ 1, (n-1)^2S, -2(n-1)S + \frac{1}{n-1}S^2 \right\}$  is an integral basis  
of  $C(n)[S]/\langle L \rangle$  at  $z = 1$ .

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## Main results.

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Thank you!