

Some elementary results and conjectures about q -Newton binomials

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Abstract

This paper gives an elementary presentation of some q -analogues of the binomial theorem with unusual q -powers and collects some results and conjectures about variants of Gauss's identity.

0. Introduction

This paper is concerned with elementary aspects of q -Newton binomials of the form

$\sum_{j=0}^n s^j q^{r(j)} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}$. It is self-contained and makes no use of the theory of basic hypergeometric series. After some background material we show that for each $m \in \mathbb{Z}$ the general q -Newton

polynomials $\sum_{k=0}^n q^{\binom{m+1}{2} \binom{k}{2}} \begin{bmatrix} n \\ k \end{bmatrix}_q s^k x^{n-k}$ satisfy a recurrence of order $|m|+1$. Then motivated by

Gauss's identity $\sum_{k=0}^{2n} (-1)^k \begin{bmatrix} 2n \\ k \end{bmatrix}_q = (q; q^2)_n$ and its counterpart $\sum_{k=0}^n q^k \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} = (-q; q)_n$ we study

some q -Newton binomials which for $q \rightarrow \pm 1$ converge to 0. Computer experiments show that many of them have factorizations $a(q)b(q)$ into a non-trivial "nice" part $a(q)$ which has a closed expression and an "ugly" part $b(q)$ which is a polynomial with integer coefficients, but has nice values for $q = \pm 1$. We formulate some conjectures and provide proofs for some special cases. I want to thank Ole Warnaar for reference [1] and some useful comments.

1. Some background material

In [3] I tried to study polynomials of the form $\sum_{k=0}^n q^{m \binom{k}{2}} \begin{bmatrix} n \\ k \end{bmatrix} x^k$ where m is an arbitrary

integer. Similar efforts were made by Boris Kuperzhmidt in [6] and in my paper [4]. In the present essay I resume these topics with some new results and conjectures.

In the context of the general q -binomial theorem (1.3) I mostly consider polynomials

$p(x, s) = \sum_{k=0}^n q^{\binom{k}{2}} \begin{bmatrix} n \\ k \end{bmatrix} s^k x^{n-k}$ in two variables x and s . But since $p(x, s) = x^n p\left(1, \frac{s}{x}\right)$ for real numbers x, s it suffices in this case to consider the univariate polynomials $p(1, x)$.

We let q be a real number and will mostly assume that $|q| < 1$. As usual we set

$[x] = [x]_q = \frac{1-q^x}{1-q}$ for real numbers x and let $[n]! = \prod_{j=1}^n [j]$ for $n \in \mathbb{N}$. The q -binomials $\begin{bmatrix} x \\ k \end{bmatrix}$

are defined as $\begin{bmatrix} x \\ k \end{bmatrix} = \begin{bmatrix} x \\ k \end{bmatrix}_q = \frac{\prod_{j=0}^{k-1} (1-q^{x-j})}{\prod_{j=0}^{k-1} (1-q^{k-j})}$. We shall also use the q -Pochhammer symbols

$(x; q)_n = \prod_{j=0}^{n-1} (1-q^j x)$ and $(x; q)_\infty = \prod_{j=0}^{\infty} (1-q^j x)$.

The q -binomial coefficients satisfy two recurrence relations

$$\begin{bmatrix} x+1 \\ k \end{bmatrix} = q^k \begin{bmatrix} x \\ k \end{bmatrix} + \begin{bmatrix} x \\ k-1 \end{bmatrix} \quad (1.1)$$

and

$$\begin{bmatrix} x+1 \\ k \end{bmatrix} = \begin{bmatrix} x \\ k \end{bmatrix} + q^{x+1-k} \begin{bmatrix} x \\ k-1 \end{bmatrix}. \quad (1.2)$$

My first attempts in this direction led to my paper [2], where I rediscovered Schützenberger's **general q -binomial theorem** [8] in the following form:

Let q be a real number and let A and B be linear operators on $\mathbb{C}[x, s]$ which q -commute, i.e. satisfy $BA = qAB$, then

$$(A+B)^n = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix} A^k B^{n-k}, \quad (1.3)$$

where $\begin{bmatrix} n \\ k \end{bmatrix} = \begin{bmatrix} n \\ k \end{bmatrix}_q$ are q -binomial coefficients.

The proof is almost trivial since

$$(A+B)(A+B)^n = (A+B) \sum_k \begin{bmatrix} n \\ k \end{bmatrix} A^k B^{n-k} = \sum_k \left(\begin{bmatrix} n \\ k-1 \end{bmatrix} + q^k \begin{bmatrix} n \\ k \end{bmatrix} \right) A^k B^{n+1-k} = \sum_k \begin{bmatrix} n+1 \\ k \end{bmatrix} A^k B^{n+1-k}.$$

Let me first recall some well-known facts from this point of view. Let \underline{x} and \underline{s} be the multiplication operators with x and s respectively, and let ε be the augmenting operator defined by $\varepsilon f(x, s) = f(x, qs)$ for $f \in \mathbb{C}[x, s]$.

The operators $A = \underline{s}\varepsilon$ and $B = \underline{x}\varepsilon$ are q -commuting because
 $BAf(x, s) = \underline{x}\varepsilon\underline{s}\varepsilon f(x, s) = qsxf(x, q^2s) = q\underline{s}\varepsilon\underline{x}\varepsilon f(x, s) = qBAf(x, s)$.

This implies that $(\underline{s}\varepsilon + \underline{x}\varepsilon)^n = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix} (\underline{s}\varepsilon)^k (\underline{x}\varepsilon)^{n-k}$. By applying this identity to the constant polynomial $f(x, s) = 1$ we get the **Euler polynomials**

$$\sum_{k=0}^n q^{\binom{k}{2}} \begin{bmatrix} n \\ k \end{bmatrix} s^k x^{n-k} = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix} (\underline{s}\varepsilon)^k (\underline{x}\varepsilon)^{n-k} 1 = (\underline{s}\varepsilon + \underline{x}\varepsilon)^n 1 = (x + s)(x + qs) \cdots (x + q^{n-1}s). \quad (1.4)$$

The q -commuting operators $A = \underline{s}$ and $B = \underline{x}\varepsilon$ in the same way give the **Rogers-Szegö polynomials**

$$\sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix} s^k x^{n-k} = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix} (\underline{x}\varepsilon)^k (\underline{s})^{n-k} 1 = (\underline{s} + \underline{x}\varepsilon)^n 1. \quad (1.5)$$

By comparing coefficients the general q -binomial theorem is equivalent with the q -**exponential law**

$$\exp((A + B)z) = \exp(Az)\exp(Bz) \quad (1.6)$$

for the **first q -exponential series**

$$\exp(z) = \exp_q(z) = \sum_{n \geq 0} \frac{z^n}{[n]!}. \quad (1.7)$$

All considered series will be **formal power series**.

There is also a **second q -exponential series**

$$Exp(z) = Exp_q(z) = \sum q^{\binom{n}{2}} \frac{z^n}{[n]!}. \quad (1.8)$$

Note that

$$\exp(z)Exp(-z) = 1. \quad (1.9)$$

To show this let $A = \underline{s}$ and $B = -\underline{s}\varepsilon$. These operators are again q -commuting. Therefore $\exp(\underline{s}z)\exp(-\underline{s}\varepsilon z) = \exp(\underline{s}(1-\varepsilon)z)$. Since $\underline{s}(1-\varepsilon)1 = 0$ we get

$$1 = \exp(\underline{s}(1-\varepsilon)z)1 = \exp(\underline{s}z)\exp(-\underline{s}\varepsilon z)1 = \exp(\underline{s}z)\sum_{n \geq 0} (-1)^n q^{\binom{n}{2}} \frac{s^n z^n}{[n]!} = \exp(s z) \text{Exp}(-s z).$$

Instead of $\exp(z)$ we will also consider the variant $e(z) = e_q(z) = \exp\left(\frac{z}{1-q}\right) = \sum_{n \geq 0} \frac{z^n}{(q; q)_n}$

which is the most convenient one in the context of basic hypergeometric series.

From our point of view the q -analogue $\frac{\exp(z) - \exp(qz)}{(1-q)z} = \exp(z)$ of $\frac{d}{dx}e^x = e^x$ implies the well-known results

$$e_q(qz) = (1-z)e_q(z) \quad (1.10)$$

and by iteration

$$e_q(z) = \frac{1}{(z; q)_\infty}. \quad (1.11)$$

Therefore

$$e_{q^2}(z^2) = \frac{1}{\prod_{j \geq 0} (1 - q^{2j} z^2)} = \frac{1}{\prod_{j \geq 0} (1 + q^j z) \prod_{j \geq 0} (1 - q^j z)} = e_q(-z)e_q(z). \quad (1.12)$$

Later we will need the following q -analogue of $e^{(x+y)^2} = e^{x^2} e^{2xy} e^{y^2}$.

Lemma 1.1 ([5], Corollary 3.3)

Let A and B be linear operators on $\mathbb{C}[x, s]$ which satisfy $BA = qAB$.

Then $\exp_{q^2}((A+B)^2) = \exp_{q^2}(A^2)\exp_q((1+q)AB)\exp_{q^2}(B^2)$ or equivalently

$$e_{q^2}((A+B)^2) = e_{q^2}(A^2)e_q(AB)e_{q^2}(B^2). \quad (1.13)$$

Proof

Since $B^n A = A q^n B^n$ we get $e_q(B)A = A e_q(qB)$ and therefore

$$e_q(B)A e_q(B)^{-1} = A e_q(qB) e_q(B)^{-1} = A(1-B) e_q(B) e_q(B)^{-1} = A(1-B).$$

Thus $e_q(B)A^n e_q(B)^{-1} = (A(1-B))^n$ and $e_q(B)e_q(A)e_q(B)^{-1} = e_q(A(1-B))$.

This implies

$$e_q(B)e_q(A) = e_q(A - AB)e_q(B) = e_q(A)e_q(-AB)e_q(B). \quad (1.14)$$

Therefore

$$\begin{aligned} e_{q^2}((A+B)^2) &= e_q(-(A+B))e_q((A+B)) = e_q(-A)e_q(-B)e_q(A)e_q(B) \\ &= e_q(-A)e_q(A)e_q(AB)e_q(-B)e_q(B) = e_{q^2}(A^2)e_q(AB)e_{q^2}(B^2). \end{aligned}$$

Let us denote by $r_n(x, s, m) = r_n(x, s, m, q)$ the **general q -Newton binomials**

$$r_n(x, s, m, q) = \sum_{k=0}^n q^{\binom{m+1}{2} \binom{k}{2}} \begin{bmatrix} n \\ k \end{bmatrix}_q s^k x^{n-k} = \sum_{k=0}^n q^{\binom{m+1}{2} \binom{n-k}{2}} \begin{bmatrix} n \\ k \end{bmatrix}_q s^{n-k} x^k. \quad (1.15)$$

Note that for $m = 0$ we get the Euler polynomials and for $m = -1$ the Rogers-Szegö polynomials. Let us also note the well-known generating functions of these special polynomials.

The generating function of the Rogers-Szegö polynomials is

$$\sum_{n \geq 0} r_n(x, s, -1) \frac{z^n}{[n]!} = \exp(xz) \exp(sz). \quad (1.16)$$

This can be proved by comparing coefficients or by the exponential version of (1.5).

An equivalent version is

$$\sum_{n \geq 0} \frac{r_n(1, s, -1)}{(q; q)_n} z^n = \frac{1}{(z; q)_\infty (sz; q)_\infty}. \quad (1.17)$$

The generating function of the Euler polynomials is

$$\sum_{n \geq 0} r_n(x, s, 0) \frac{z^n}{[n]!} = \text{Exp}(sz) \exp(xz) = \frac{\exp(xz)}{\exp(-sz)}. \quad (1.18)$$

It is equivalent with

$$\sum_{n \geq 0} \frac{r_n(1, -s, 0)}{(q; q)_n} z^n = \sum_{n \geq 0} \frac{(s; q)_n}{(q; q)_n} z^n = \frac{(sz; q)_\infty}{(z; q)_\infty}, \quad (1.19)$$

which plays the role of the q -**binomial theorem** within the theory of basic hypergeometric series.

The general q -Newton binomials $r_n(x, s, m, q)$ satisfy the recurrence relation

$$r_n(x, s, m, q) = xr_{n-1}(x, qs, m, q) + sr_{n-1}(x, q^{m+1}s, m, q). \quad (1.20)$$

This can be seen by comparing coefficients of s^k which gives the identity

$$q^{\binom{m+1}{2}} \begin{bmatrix} n \\ k \end{bmatrix} x^{n-k} = q^{\binom{m+1}{2}+k} \begin{bmatrix} n-1 \\ k \end{bmatrix} x^{n-k} + q^{\binom{m+1}{2}+(m+1)(k-1)} \begin{bmatrix} n-1 \\ k-1 \end{bmatrix} x^{n-k}$$

which is equivalent with $\begin{bmatrix} n \\ k \end{bmatrix} = q^k \begin{bmatrix} n-1 \\ k \end{bmatrix} + \begin{bmatrix} n-1 \\ k-1 \end{bmatrix}$.

From (1.20) we deduce the well known recurrence

$$r_n(x, s, -1) = (x + s)r_{n-1}(x, s, -1) + (q^{n-1} - 1)sxr_{n-2}(x, s, -1). \quad (1.21)$$

For

$$\begin{aligned} r_n(x, s, -1) &= xr_{n-1}(x, qs, -1) + sr_{n-1}(x, s, -1) = (x + s)r_{n-1}(x, s, -1) + x(r_{n-1}(x, qs, -1) - r_{n-1}(x, s, -1)) \\ &= (x + s)r_{n-1}(x, s, -1) + (q^{n-1} - 1)sxr_{n-2}(x, s, -1). \end{aligned}$$

The last identity follows from

$$r_{n-1}(x, qs, -1) - r_{n-1}(x, s, -1) = \sum_k \begin{bmatrix} n-1 \\ k \end{bmatrix} (q^k - 1)s^k x^{n-1-k} = (q^{n-1} - 1) \sum_k \begin{bmatrix} n-2 \\ k-1 \end{bmatrix} s^k x^{n-1-k} = sr_{n-2}(x, s, -1)$$

by noting that $\begin{bmatrix} n \\ k \end{bmatrix} = \frac{1-q^n}{1-q^k} \begin{bmatrix} n-1 \\ k-1 \end{bmatrix}$.

For later use let us mention another recurrence which we state for the univariate polynomials

$$f(n, x, q) = r_n(1, x, -1, q) = \sum_{j=0}^n x^j \begin{bmatrix} n \\ j \end{bmatrix}_q. \quad (1.22)$$

They satisfy

$$f(n, x, q) = (1 + (1+q)q^{n-2}x + x^2)f(n-2, x, q) - (1 - q^{n-3})(1 - q^{n-2})x^2f(n-4, x, q). \quad (1.23)$$

Proof

By (1.21) we have

$$f(n, x, q) = (1 + x)f(n-1, x, q) + (q^{n-1} - 1)xf(n-2, x, q).$$

Therefore we get

$$\begin{aligned}
f(n, x, q) &= (1+x)f(n-1, x, q) + (q^{n-1} - 1)xf(n-2, x, q), \\
f(n-1, x, q) &= (1+x)f(n-2, x, q) + (q^{n-2} - 1)xf(n-3, x, q), \\
(1+x)f(n-3, x, q) &= f(n-2, x, q) + (1 - q^{n-3})xf(n-4, x, q).
\end{aligned}$$

This implies

$$\begin{aligned}
f(n, x, q) &= (1+x)\left((1+x)f(n-2, x, q) + (q^{n-2} - 1)xf(n-3, x, q)\right) + (q^{n-1} - 1)xf(n-2, x, q) \\
&= \left((1+x)^2 + (q^{n-1} - 1)x\right)f(n-2, x, q) + (q^{n-2} - 1)x\left(f(n-2, x, q) + (1 - q^{n-3})xf(n-4, x, q)\right) \\
&= \left(1 + (1+q)q^{n-2}x + x^2\right)f(n-2, x, q) - (1 - q^{n-3})(1 - q^{n-2})x^2f(n-4, x, q).
\end{aligned}$$

For $x = 1$ and $s = -1$ (1.21) reduces to

$$r_n(1, -1, -1) = (1 - q^{n-1})r_{n-2}(1, -1, -1). \text{ Since } r_0(1, -1, -1) = 1 \text{ and } r_1(1, -1, -1) = 0$$

and thus leads to

Gauss's identity

$$\begin{aligned}
\sum_{k=0}^{2n+1} (-1)^k \begin{bmatrix} 2n+1 \\ k \end{bmatrix} &= 0, \\
\sum_{k=0}^{2n} (-1)^k \begin{bmatrix} 2n \\ k \end{bmatrix} &= (q; q^2)_n.
\end{aligned} \tag{1.24}$$

This identity is equivalent with

$$\exp(z)\exp(-z) = \sum_{n \geq 0} (q; q^2)_n \frac{z^{2n}}{[2n]!} \tag{1.25}$$

or equivalently with (1.12).

Let us also note the following q -analogue of $e^{\frac{x}{2}}e^{\frac{x}{2}} = e^x$:

$$\exp_{q^2}\left(\frac{z}{[2]}\right)\exp_{q^2}\left(\frac{qz}{[2]}\right) = \exp_q(z). \tag{1.26}$$

or equivalently

$$e_{q^2}(qz)e_{q^2}(z) = e_q(z) \tag{1.27}$$

which is obvious by (1.11).

By comparing coefficients this is equivalent with

$$\sum_{k=0}^n q^k \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} = (1+q)(1+q^2)\cdots(1+q^n) = (-q; q)_n. \quad (1.28)$$

More generally we get

Theorem 1.1

For each $m \in \mathbb{N}$ we get

$$\sum_{k=0}^n q^{(2m+1)k} \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} = (-q; q)_n a(m, n, q) \quad (1.29)$$

with

$$a(m, n, q) = \sum_{j=0}^n (-1)^j q^{j^2} \begin{bmatrix} m \\ j \end{bmatrix}_{q^2} \frac{(q; q)_n}{(q; q)_{n-j}} \in \mathbb{Z}[q]. \quad (1.30)$$

The polynomial $a(m, n, q)$ satisfies

$$\begin{aligned} a(m, n, 1) &= 1, \\ a(m, 2n, -1) &= 1, \\ a(m, 2n+1, -1) &= 2m+1. \end{aligned} \quad (1.31)$$

Proof

Comparing coefficients in

$$\sum_{n \geq 0} \sum_{k=0}^n q^{(2m+1)k} \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} \frac{z^n}{(q^2; q^2)_n} = e_{q^2}(q^{2m+1}z) e_{q^2}(z) = (qz; q^2)_m e_{q^2}(qz) e_{q^2}(z) = (qz; q^2)_m e_q(z)$$

we get

$$\sum_{k=0}^n q^{(2m+1)k} \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} = (q^2; q^2)_n \sum_{j=0}^n (-1)^j q^{j^2} \begin{bmatrix} m \\ j \end{bmatrix}_{q^2} \frac{1}{(q; q)_{n-j}} = (-q; q)_n \sum_{j=0}^n (-1)^j q^{j^2} \begin{bmatrix} m \\ j \end{bmatrix}_{q^2} \frac{(q; q)_n}{(q; q)_{n-j}}.$$

Remark

Kupershmidt [6] has given another equivalent form of this theorem which has also been

considered in [4]. Note that there is no such factorization for $\sum_{k=0}^n q^{2mk} \begin{bmatrix} n \\ k \end{bmatrix}_{q^2}$.

Boris A. Kupershmidt [6] has also shown that

$$r_n(x, s, -1) = \sum_{k=0}^{\lfloor \frac{n}{2} \rfloor} \begin{bmatrix} n \\ 2k \end{bmatrix} (q; q^2)_k s^{2k} r_{n-2k}(x, s, 0). \quad (1.32)$$

In fact he used another notation. To compare his version with the present one note that

$$\left[\begin{matrix} 2n+1 \\ 2k \end{matrix} \right] (q; q^2)_k = \left[\begin{matrix} n \\ k \end{matrix} \right]_{q^2} \left(q^{2n+1}; \frac{1}{q^2} \right)_k \quad \text{and} \quad \left[\begin{matrix} 2n \\ 2k \end{matrix} \right] (q; q^2)_k = \left[\begin{matrix} n \\ k \end{matrix} \right]_{q^2} \left(q^{2n-1}; \frac{1}{q^2} \right)_k.$$

He gave three proofs of this fact. Let us recall another proof which we have given in [4].

We use the generating functions.

$$\begin{aligned} \sum_{n \geq 0} r_n(x, s, -1) \frac{z^n}{[n]!} &= \exp(xz) \exp(sz) = (\exp(sz) \exp(-sz)) \frac{\exp(xz)}{\exp(-sz)} = \sum_{j \geq 0} r_j(s, s, -1) \frac{z^j}{[j]!} \sum_{k \geq 0} r_k(x, s, 0) \frac{z^k}{[k]!} \\ &= \sum_{j \geq 0} (q; q^2)_j s^{2j} \frac{z^{2j}}{[2j]!} \sum_{k \geq 0} r_k(x, s, 0) \frac{z^k}{[k]!}. \end{aligned}$$

Comparing coefficients we get the above formula.

A. Berkovich and S.O. Warnaar [1] have given several other results for the Rogers-Szegö polynomials. I will recall them with a different proof.

Lemma 1.2 ([1], (8.9) and (8.11))

$$\sum_{n \geq 0} \frac{r_{2n}(1, s, -1, q)}{(q^2; q^2)_n} z^n = \frac{1}{e_q(-sz)} e_{q^2}(s^2 z) e_{q^2}(z) \quad (1.33)$$

$$\sum_{n \geq 0} \frac{r_{2n+1}(1, s, -1, q)}{(q^2; q^2)_n} z^n = (1+s) \frac{1}{e_q(-qs z)} e_{q^2}(s^2 z) e_{q^2}(z). \quad (1.34)$$

Proof

By (1.13) and (1.16) we get

$$\sum_{n \geq 0} \frac{r_{2n}(1, s, -1, q)}{(q^2; q^2)_n} z^n = e_{q^2}(\underline{s} + \varepsilon)^2 z) 1 = e_{q^2}(s^2 z) e_q(\underline{s} \varepsilon z) e_{q^2}(\varepsilon^2 z) 1 = e_{q^2}(s^2 z) \frac{1}{e_q(-sz)} e_{q^2}(z).$$

For the second identity observe that by (1.10)

$$\begin{aligned} \sum_{n \geq 0} \frac{r_{2n+1}(1, s, -1, q)}{(q^2; q^2)_n} z^n &= (\underline{s} + \varepsilon) e_{q^2}(\underline{s} + \varepsilon)^2 z) 1 = (\underline{s} + \varepsilon) e_{q^2}(s^2 z) e_q(\underline{s} \varepsilon z) e_{q^2}(\varepsilon^2 z) 1 \\ &= (\underline{s} + \varepsilon) e_{q^2}(s^2 z) \frac{1}{e_q(-sz)} e_{q^2}(z) = s e_{q^2}(s^2 z) \frac{1}{e_q(-sz)} e_{q^2}(z) + e_{q^2}(q^2 s^2 z) \frac{1}{e_q(-qs z)} e_{q^2}(z) \\ &= s(1 + sz) e_{q^2}(s^2 z) \frac{1}{e_q(-qs z)} e_{q^2}(z) + (1 - s^2 z) e_{q^2}(s^2 z) \frac{1}{e_q(-qs z)} e_{q^2}(z) = (1+s) \frac{e_{q^2}(s^2 z) e_{q^2}(z)}{e_q(-qs z)}. \end{aligned}$$

Comparing coefficients and observing (1.16) we get

Corollary 1.1 ([1], (8.8))

$$r_{2n}(1, s, -1, q) = \sum_{k=0}^n (-q; q)_k q^{\binom{k}{2}} s^k \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} r_{n-k}(1, s^2, -1, q^2) \quad (1.35)$$

and

$$r_{2n+1}(1, s, -1, q) = (1+s) \sum_{k=0}^n (-q; q)_k q^{\binom{k+1}{2}} s^k \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} r_{n-k}(1, s^2, -1, q^2). \quad (1.36)$$

Another result which is a q -analogue of $(1+s)^{2n} = \sum_{k=0}^n \binom{n}{k} s^{2k} \left(1 + \frac{1}{s}\right)^k (1+s)^{n-k}$ is

Corollary 1.2 (A. Berkovich and S.O. Warnaar [1], Theorem 8.1)

$$r_{2n}(1, s, -1, q) = \sum_{k=0}^n s^{2k} r_k\left(1, \frac{q}{s}, 0, q^2\right) r_{n-k}(1, s, 0, q^2) \begin{bmatrix} n \\ k \end{bmatrix}_{q^2}, \quad (1.37)$$

and

$$\begin{aligned} r_{2n+1}(1, s, -1, q) &= \sum_{k=0}^n s^{2k} r_k\left(1, \frac{q}{s}, 0, q^2\right) r_{n+1-k}(1, s, 0, q^2) \begin{bmatrix} n \\ k \end{bmatrix}_{q^2} \\ &= (1+s) \sum_{k=0}^n s^{2k} r_k\left(1, \frac{q}{s}, 0, q^2\right) r_{n-k}(1, q^2 s, 0, q^2) \begin{bmatrix} n \\ k \end{bmatrix}_{q^2}. \end{aligned} \quad (1.38)$$

Proof

By comparing coefficients (1.37) is equivalent with

$$\begin{aligned} \sum_{n \geq 0} \frac{r_{2n}(1, s, -1, q)}{(q^2; q^2)_n} z^n &= \sum_n s^{2n} r_n\left(1, \frac{q}{s}, 0, q^2\right) \frac{z^n}{(q^2; q^2)_n} \sum_n r_n(1, s, 0, q^2) \frac{z^n}{(q^2; q^2)_n} \\ &= \frac{e_{q^2}(s^2 z)}{e_{q^2}(-qs z)} \frac{e_{q^2}(z)}{e_{q^2}(-s z)} = \frac{e_{q^2}(s^2 z) e_{q^2}(z)}{e_q(-s z)} \end{aligned}$$

and (1.38) with

$$\begin{aligned} \sum_{n \geq 0} \frac{r_{2n+1}(1, s, -1, q)}{(q^2; q^2)_n} z^n &= (1+s) \sum_n s^{2n} r_n\left(1, \frac{q}{s}, 0, q^2\right) \frac{z^n}{(q^2; q^2)_n} \sum_n r_n(1, q^2 s, 0, q^2) \frac{z^n}{(q^2; q^2)_n} \\ &= (1+s) \frac{e_{q^2}(s^2 z)}{e_{q^2}(-qs z)} \frac{e_{q^2}(z)}{e_{q^2}(-q^2 s z)} = (1+s) \frac{e_{q^2}(s^2 z) e_{q^2}(z)}{e_q(-qs z)}. \end{aligned}$$

2. Recurrence relations for the general q -Newton binomials

For each integer m the operators $A = \underline{s}\varepsilon^m$ and $B = \underline{x}\varepsilon$ are q -commuting:

$$(\underline{x}\varepsilon)(\underline{s}\varepsilon^m) = q(\underline{s}\varepsilon^m)(\underline{x}\varepsilon).$$

For

$$\begin{aligned} (\underline{x}\varepsilon)(\underline{s}\varepsilon^m)f(x, s) &= \underline{x}\varepsilon s f(x, q^m s) = \underline{x}q s f(x, q^{m+1} s) \\ &= q s \underline{x} f(x, q^{m+1} s) = q(\underline{s}\varepsilon^m) \underline{x} f(x, q s) = q(\underline{s}\varepsilon^m)(\underline{x}\varepsilon) f(x, s). \end{aligned}$$

The identity (1.20) can be written as

$$r_n(x, s, m) = (\underline{x}\varepsilon + \underline{s}\varepsilon^{m+1}) r_{n-1}(x, s, m).$$

By iteration we finally get

$$r_n(x, s, m) = (\underline{x}\varepsilon + \underline{s}\varepsilon^{m+1})^n 1, \quad (2.1)$$

i.e. $r_n(x, s, m)$ can be obtained by applying the operator $(\underline{x}\varepsilon + \underline{s}\varepsilon^{m+1})^n$ to the constant function $f(x, s) = 1$.

We now recall the recurrence relation of the sequence $(r_n(x, s, m))_{n \geq 0}$ for fixed x and s , which has already been obtained in [3].

We show that for each $m \in \mathbb{Z}$ the sequence $(r_n(x, s, m))_{n \geq 0}$ satisfies a recurrence of order $|m|+1$. This is the reason for choosing $(m+1)\binom{k}{2}$ instead of $m\binom{k}{2}$ in (1.15).

Theorem 2.1

For $m \geq 0$ the sequence $(r_n(x, s, m))_{n \geq 0}$ satisfies the recurrence

$$r_n(x, s, m) = q^{(m+1)(n-1)} s r_{n-1}(x, s, m) - \sum_{k=1}^{m+1} (-1)^k q^{\binom{k}{2}} (q^{n-k+1}; q)_{k-1} \left(\begin{bmatrix} m+1 \\ k \end{bmatrix} - q^n \begin{bmatrix} m \\ k \end{bmatrix} \right) x^k r_{n-k}(x, s, m) \quad (2.2)$$

of order $m+1$.

Proof

In order to formulate the following results in a simple way consider the algebra $\mathbb{C}(q)[N]$ of all polynomials in N whose coefficients are rational functions of q .

Consider the following polynomials $C_k(N) = \frac{\prod_{j=0}^{k-1} (1 - q^{-j}N)}{(q; q)_k}$ which satisfy $C_k(q^n) = \begin{bmatrix} n \\ k \end{bmatrix}$. It is

clear that each polynomial has a unique representation of the form $\sum a_k(q)C_k(N)$. Let E be the linear operator defined by $Ef(N) = f(qN)$ and Δ the operator defined by

$$\Delta f(N) = \frac{f(qN) - f(N)}{N} = \frac{1}{N}(E-1)f(N). \quad \Delta \text{ operates on } \mathbb{C}(q)[N] \text{ since}$$

$$\Delta N^k = (q^k - 1)N^{k-1}.$$

It can also be characterized by

$$\Delta q^{\binom{k}{2}} C_k(N) = q^{\binom{k-1}{2}} C_{k-1}(N).$$

By definition we have $E = 1 + N\Delta$.

Let Z be the linear operator defined by $ZC_k(N) = q^k C_k(N)$. Then $E = Z(1 + \Delta)$.

For

$$\begin{aligned} Z(1 + \Delta)C_k(N) &= Z\left(C_k(N) + q^{1-k}C_{k-1}(N)\right) = q^k C_k(N) + C_{k-1}(N) = \frac{C_{k-1}(N)}{1 - q^k} \left(q^k \left(1 - \frac{N}{q^{k-1}} \right) + 1 - q^k \right) \\ &= \frac{C_{k-1}(N)}{1 - q^k} (1 - qN) = C_k(qN) = EC_k(N). \end{aligned}$$

Therefore we can write

$$Z^{-1} = (1 + \Delta)E^{-1} = \left(1 + \frac{1}{N}(E-1) \right) E^{-1} = \frac{1}{N} + \left(1 - \frac{1}{N} \right) E^{-1} = \frac{1}{N} (1 + (N-1)E^{-1}).$$

Note that Z and Z^{-1} are operators on $\mathbb{C}(q)[N]$, whereas the multiplication operators $\frac{1}{N}$ and the operator $\frac{N-1}{N}$ are only defined on the larger space $\mathbb{C}(q)[N, N^{-1}]$.

The operators $A = \frac{1}{N}$ and $B = \frac{N-1}{N}E^{-1}$ satisfy $BA = qAB$ and therefore by the general q -binomial theorem we get for $\ell \geq 0$

$$Z^{-\ell} = \sum_{k=0}^{\ell} \begin{bmatrix} \ell \\ k \end{bmatrix} \frac{1}{N^{\ell-k}} \left(\frac{N-1}{N} E^{-1} \right)^k = \frac{1}{N^{\ell}} \sum_{k=0}^{\ell} \begin{bmatrix} \ell \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) E^{-k}. \quad (2.3)$$

Note further that

$$Z^{-(\ell-1)} \Delta q^{\binom{k}{2}} C_k(N) = Z^{-(\ell-1)} q^{\binom{k}{2} - (k-1)} C_{k-1}(N) = q^{\binom{k}{2} - (k-1) - (\ell-1)(k-1)} C_{k-1}(N) = q^{\binom{k-1}{2}} C_{k-1}(N).$$

Consider now the polynomials in N

$$S_n(s, m, N) = \sum_{k=0}^n q^{\binom{m+1}{2}} C_k(N) s^k. \quad (2.4)$$

Then for $\ell \geq n$ we get $S_\ell(s, m, q^n) = r_n(1, s, m)$.

Now observe that

$$\begin{aligned} \frac{S_{n+1}(s, m, qN) - S_{n+1}(s, m, N)}{N} &= \Delta S_{n+1}(s, m, N) = \sum_{k=0}^{n+1} q^{\binom{m}{2}} \Delta q^{\binom{k}{2}} C_k(N) s^k \\ &= \sum_{k=1}^{n+1} q^{\binom{m}{2}} q^{\binom{k-1}{2}} C_{k-1}(N) s^k = \sum_{k=0}^n q^{\binom{m}{2} + \binom{k+1}{2} + \binom{k}{2}} C_k(N) s^{k+1} = sZ^m S_n(s, m, N) = sS_n(q^m s, m, N). \end{aligned}$$

Thus

$$Z^{-m} \Delta S_{n+1}(s, m, N) = sS_n(s, m, N). \quad (2.5)$$

We have $NE^{-k} \Delta = q^k E^{-k} N \Delta = q^k (E^{1-k} - E^{-k})$ and therefore for $m \geq 0$

$$\begin{aligned} N^{m+1} Z^{-m} \Delta &= \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) q^k E^{-k} (E - 1) \\ &= E + \sum_{k=0}^m \begin{bmatrix} m \\ k+1 \end{bmatrix} \prod_{j=0}^k (N - q^j) q^{k+1} E^{-k} - \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) q^k E^{-k} \\ &= E + \sum_{k=0}^m \begin{bmatrix} m \\ k+1 \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) (qN - q^{k+1}) q^k E^{-k} - \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) q^k E^{-k} \\ &= E + \sum_{k=0}^m \left(\begin{bmatrix} m \\ k+1 \end{bmatrix} qN - \begin{bmatrix} m \\ k+1 \end{bmatrix} q^{k+1} - \begin{bmatrix} m \\ k \end{bmatrix} \right) \prod_{j=0}^{k-1} (N - q^j) q^k E^{-k} \\ &= E + \sum_{k=0}^m \left(\begin{bmatrix} m \\ k+1 \end{bmatrix} qN - \begin{bmatrix} m+1 \\ k+1 \end{bmatrix} \right) \prod_{j=0}^{k-1} (N - q^j) q^k E^{-k}. \end{aligned}$$

Therefore

$$\begin{aligned} sN^{m+1} S_n(s, m, N) &= N^{m+1} Z^{-m} \Delta S_{n+1}(s, m, N) \\ &= S_{n+1}(s, m, qN) + \sum_{k=0}^m \left(\begin{bmatrix} m \\ k+1 \end{bmatrix} qN - \begin{bmatrix} m+1 \\ k+1 \end{bmatrix} \right) \prod_{j=0}^{k-1} (N - q^j) q^k S_{n+1}(s, m, q^{-k} N). \end{aligned}$$

By choosing $N = q^{n-1}$ this reduces to

$$\begin{aligned}
& q^{(m+1)(n-1)} sr_{n-1}(1, s, m) = r_n(1, s, m) \\
& + \sum_{k=0}^m \left(\begin{bmatrix} m \\ k+1 \end{bmatrix} q^n - \begin{bmatrix} m+1 \\ k+1 \end{bmatrix} \right) \prod_{j=0}^{k-1} (q^n - q^{j+1}) r_{n-k-1}(1, s, m) \\
& = r_n(1, s, m) + \sum_{k=1}^{m+1} \left(\begin{bmatrix} m \\ k \end{bmatrix} q^n - \begin{bmatrix} m+1 \\ k \end{bmatrix} \right) \prod_{j=0}^{k-2} (q^n - q^{j+1}) r_{n-k}(1, s, m) \\
& = r_n(1, s, m) + \sum_{k=1}^{m+1} \begin{bmatrix} m \\ k \end{bmatrix} q^n q^{\binom{k}{2}} \prod_{j=0}^{k-2} (q^{n-j-1} - 1) r_{n-k}(1, s, m) - \sum_{k=1}^{m+1} \begin{bmatrix} m+1 \\ k \end{bmatrix} q^{\binom{k}{2}} \prod_{j=0}^{k-2} (q^{n-j-1} - 1) r_{n-k}(1, s, m)
\end{aligned}$$

or

$$r_n(1, s, m) = q^{(m+1)(n-1)} sr_{n-1}(1, s, m) - \sum_{k=1}^{m+1} (-1)^k q^{\binom{k}{2}} (q^{n-k+1}; q)_{k-1} \left(\begin{bmatrix} m+1 \\ k \end{bmatrix} - q^n \begin{bmatrix} m \\ k \end{bmatrix} \right) r_{n-k}(1, s, m).$$

Now observe that

$$r_n(x, s, m) = x^n r_n \left(1, \frac{s}{x}, m \right) \text{ and therefore}$$

$$r_n(x, s, m) = q^{(m+1)(n-1)} sr_{n-1}(x, s, m) - \sum_{k=1}^{m+1} (-1)^k q^{\binom{k}{2}} (q^{n-k+1}; q)_{k-1} \left(\begin{bmatrix} m+1 \\ k \end{bmatrix} - q^n \begin{bmatrix} m \\ k \end{bmatrix} \right) x^k r_{n-k}(x, s, m)$$

For $m = 0$ we get

$$r_{n+1}(x, s, 0) - xr_n(x, s, 0) = q^n sr_n(x, s, 0)$$

and therefore

$$r_n(x, s, 0) = (x+s)(x+qs) \cdots (x+q^{n-1}s).$$

For $m = 1$ we have

$$\begin{aligned}
r_n(x, s, 1) &= q^{2(n-1)} sr_{n-1}(x, s, 1) - \sum_{k=1}^2 (-1)^k q^{\binom{k}{2}} (q^{n-k+1}; q)_{k-1} \left(\begin{bmatrix} 2 \\ k \end{bmatrix} - q^n \begin{bmatrix} 1 \\ k \end{bmatrix} \right) x^k r_{n-k}(x, s, 1) \\
&= \left(q^{2(n-1)} s + (1+q-q^n)x \right) r_{n-1}(x, s, 1) - q(1-q^{n-1}) x^2 r_{n-2}(x, s, 1)
\end{aligned}$$

Theorem 2.2

The sequence $(r_n(x, s, -m))_{m \geq 0}$ with $m > 0$ satisfies the recurrence relation

$$r_n(x, s, -m) - xr_{n-1}(x, s, -m) = \frac{s}{q^{(m-1)(n-1)}} \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} (-1)^k q^{\binom{k}{2}} \left(q^{n-1}, \frac{1}{q} \right)_k x^k r_{n-k-1}(x, s, -m). \quad (2.6)$$

Proof

We know already that

$$S_{n+1}(s, -m, qN) - S_{n+1}(s, -m, N) = sNZ^{-m}S_n(s, m, N)$$

and that

$$sNZ^{-m}S_n(s, m, N) = sN \frac{1}{N^m} \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) E^{-k} S_n(s, m, N)$$

Therefore we get

$$S_{n+1}(s, -m, qN) - S_{n+1}(s, -m, N) = s \frac{1}{N^{m-1}} \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} \prod_{j=0}^{k-1} (N - q^j) S_n(s, m, q^{-k}N).$$

For $N = q^{n-1}$ this reduces to

$$r_n(1, s, -m) - r_{n-1}(1, s, -m) = \frac{s}{q^{(m-1)(n-1)}} \sum_{k=0}^m \begin{bmatrix} m \\ k \end{bmatrix} (-1)^k q^{\binom{k}{2}} \left(q^{n-1}, \frac{1}{q} \right)_k r_{n-k-1}(1, s, -m)$$

which implies (2.6).

As special case we get again

$$r_n(x, s, -1) - xr_{n-1}(x, s, -1) = sr_{n-1}(x, s, -1) - s(1 - q^{n-1})xr_{n-2}(x, -1)$$

Let us also mention

Proposition 2.1

The polynomials $\sigma_n(m, s, q) = \sum_{j=0}^n q^{m^2 \binom{j}{2}} \begin{bmatrix} n \\ mj \end{bmatrix} s^j$ satisfy the recurrence

$$\sum_{k=0}^m (-1)^k \begin{bmatrix} m \\ k \end{bmatrix} q^{\binom{k}{2}} \sigma_{n+m-k}(m, s, q) = q^{nm} s \sigma_n(m, s, q). \quad (2.7)$$

Proof

$$\Delta^m q^{\binom{mk}{2}} C_{mk}(N) = q^{\binom{m(k-1)}{2}} C_{m(k-1)}(N) \text{ implies } q^{\binom{m}{2}} \Delta^m q^{m^2 \binom{k}{2}} C_{mk}(N) = q^{m^2 \binom{k-1}{2}} C_{m(k-1)}(N)$$

and therefore

$$q^{\binom{m}{2}} \Delta^m \sum_{j=0}^n q^{m^2 \binom{j}{2}} C_{mj}(N) s^j = \sum_{j=0}^n q^{m^2 \binom{j-1}{2}} C_{m(j-1)}(N) s^j = s \sum_{j=0}^{n-1} q^{m^2 \binom{j}{2}} C_{mj}(N) s^j.$$

Now observe that

$$\Delta^m = \frac{1}{q^{\binom{m}{2}} N^m} (E-1)(E-q)\cdots(E-q^{m-1}) = \frac{1}{q^{\binom{m}{2}} N^m} \sum_{k=0}^m (-1)^k \begin{bmatrix} m \\ k \end{bmatrix} q^{\binom{k}{2}} E^{m-k}.$$

Therefore we get

$$q^{\binom{m}{2}} N^m \Delta^m = \sum_{k=0}^m (-1)^k \begin{bmatrix} m \\ k \end{bmatrix} q^{\binom{k}{2}} E^{m-k}.$$

$$\sum_{k=0}^m (-1)^k \begin{bmatrix} m \\ k \end{bmatrix} q^{\binom{k}{2}} \sum_{j=0}^{n+m} q^{\binom{j}{2}} C_{mj}(q^{m-k} N) s^j = N^m s \sum_{j=0}^{n+m-1} q^{\binom{j}{2}} C_{mj}(N) s^j.$$

For $N = q^n$ this reduces to (2.7).

For $q=1$ and a prime number p we get the recurrence

$$\sigma_n(p, -1, 1) = \sum_{k=1}^{p-1} (-1)^{k-1} \binom{p}{k} \sigma_{n-k}(p, -1, 1).$$

Since all $\binom{p}{k}$ are multiples of p we see that $p^{\lfloor \frac{n}{p} \rfloor}$ is a factor of $\sigma_n(p, -1, 1)$.

In the general case we get the recurrence

$$\sigma_n(p, -1, q) = \left(q^{\binom{p}{2}} - q^{(n-p)p} \right) \sigma_{n-p}(p, -1, q) - \sum_{k=1}^{p-1} (-1)^k \begin{bmatrix} p \\ k \end{bmatrix} \sigma_{n-k}(p, -1, q).$$

All coefficients are multiples of $[p]$ since $q^{\binom{p}{2}} - q^{np} = [p](1-q)q^{\binom{p}{2}} \left[n - \frac{p-1}{2} \right]_{q^p}$.

This gives

Proposition 2.2

For a prime number p we have

$$\sigma_n(p, -1, q) = [p]^{\lfloor \frac{n}{p} \rfloor} c(n, p, q) \tag{2.8}$$

with $c(n, p, q) \in \mathbb{Z}[q]$.

3. Some generalizations of Gauss's identity and related facts

Theorem 3.1

For each integer $m \geq 0$

$$\sum_{j=0}^n (-1)^j q^{jm} \begin{bmatrix} n \\ j \end{bmatrix} = (q; q^2)_{\lfloor \frac{n+1}{2} \rfloor} c_n(m, q) \quad (3.1)$$

where $c_n(m, q) \in \mathbb{Z}[q]$ is given by

$$c_{2n}(m, q) = \sum_{\ell=0}^n q^{\binom{2n-2\ell}{2}} \begin{bmatrix} m \\ 2n-2\ell \end{bmatrix} (q^{2\ell+2}; q^2)_{n-\ell} \quad (3.2)$$

and

$$c_{2n+1}(m, q) = \sum_{\ell=0}^n q^{\binom{2n+1-2\ell}{2}} \begin{bmatrix} m \\ 2n+1-2\ell \end{bmatrix} (q^{2\ell+2}; q^2)_{n-\ell}. \quad (3.3)$$

For $m = 0$ we get Gauss's identity since $c_{2n}(0, q) = 1$ and $c_{2n+1}(0, q) = 0$. Other simple examples are

$$\sum_{j=0}^n (-1)^j q^j \begin{bmatrix} n \\ j \end{bmatrix} = (q; q^2)_{\lfloor \frac{n+1}{2} \rfloor},$$

$$\sum_{j=0}^{2n} (-1)^j q^{2j} \begin{bmatrix} 2n \\ j \end{bmatrix} = (q; q^2)_n (1+q-q^{2n+1})$$

and

$$\sum_{j=0}^{2n+1} (-1)^j q^{2j} \begin{bmatrix} 2n+1 \\ j \end{bmatrix} = (q; q^2)_{n+1} (1+q).$$

Note that $c_n(m, 0) = 1$ and $c_{2n}(m, 1) = 1$ and $c_{2n+1}(m, 1) = m$.

Proof

By (1.10) we have

$$\sum_n \sum_{j=0}^n (-1)^j q^{jm} \begin{bmatrix} n \\ j \end{bmatrix} \frac{z^n}{(q; q)_n} = e_q(-q^m z) e_q(z) = (-z; q)_m e_q(-z) e_q(z) = \sum_{j=0}^m q^{\binom{j}{2}} \begin{bmatrix} m \\ j \end{bmatrix} z^j \sum_{\ell \geq 0} \frac{z^{2\ell}}{(q^2; q^2)_\ell}.$$

Comparing coefficients gives

$$\sum_{j=0}^n (-1)^j q^{jm} \begin{bmatrix} n \\ j \end{bmatrix} = (q; q)_n \sum_{j+2\ell=n} q^{\binom{j}{2}} \begin{bmatrix} m \\ j \end{bmatrix} \frac{1}{(q^2; q^2)_\ell}.$$

This implies

$$\sum_{j=0}^{2n} (-1)^j q^{jm} \begin{bmatrix} 2n \\ j \end{bmatrix} = (q; q)_{2n} \sum_{j+2\ell=2n} q^{\binom{j}{2}} \begin{bmatrix} m \\ j \end{bmatrix} \frac{1}{(q^2; q^2)_\ell} = (q; q^2)_n \sum_{\ell=0}^n q^{\binom{2n-2\ell}{2}} \begin{bmatrix} m \\ 2n-2\ell \end{bmatrix} \frac{(q^2; q^2)_n}{(q^2; q^2)_\ell}$$

and

$$\sum_{j=0}^{2n+1} (-1)^j q^{jm} \begin{bmatrix} 2n+1 \\ j \end{bmatrix} = (q; q)_{2n+1} \sum_{j+2\ell=2n+1} q^{\binom{j}{2}} \begin{bmatrix} m \\ j \end{bmatrix} \frac{1}{(q^2; q^2)_\ell} = (q; q^2)_{n+1} \sum_{\ell=0}^n q^{\binom{2n+1-2\ell}{2}} \begin{bmatrix} m \\ 2n+1-2\ell \end{bmatrix} \frac{(q^2; q^2)_n}{(q^2; q^2)_\ell}.$$

Theorem 3.2

For each integer $m \geq 0$,

$$\sum_{j=0}^n (-1)^j q^{(2m+1)j} \begin{bmatrix} n \\ j \end{bmatrix}_{q^2} = (q; -q)_n c_n(m, q) \quad (3.4)$$

with $c_n(m, q) \in \mathbb{Z}[q]$.

For $m = 0$ we get

$$\sum_{j=0}^n (-1)^j q^j \begin{bmatrix} n \\ j \end{bmatrix}_{q^2} = (q; -q)_n = (q; q^2)_{\lfloor \frac{n+1}{2} \rfloor} (-q^2; q^2)_{\lfloor \frac{n}{2} \rfloor}. \quad (3.5)$$

Proof

By replacing $q \rightarrow -q$ we can use the same argument as in Theorem 1.1.

Computer experiments lead to

Conjecture 3.1

For integers $r \geq 0, m \geq 0, k > 0$

$$\sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^{2k}} = (q; q^2)_{\lfloor \frac{n+1}{2} \rfloor} c_n(r, m, k, q) \quad (3.6)$$

with $c_n(r, m, k, q) \in \mathbb{Z}[q]$. For $r = 0$ and $m = 1$ all coefficients of $c_n(0, 1, k, q)$ are non-negative.

Let us now consider how fast $\sum_{j=0}^n (-1)^j q^{mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}$ converges to 0 for $q \rightarrow 1$.

Theorem 3.3

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n} (-1)^j q^{mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{(q; q^2)_n} = k^n \quad (3.7)$$

and

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n+1} (-1)^j q^{mj} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^k}}{(q; q^2)_{n+1}} = mk^n. \quad (3.8)$$

Proof

Let $f(n, x, q) = \sum_{j=0}^n x^j \begin{bmatrix} n \\ j \end{bmatrix}_q$.

Then $f(2n, -q^m, q^k) = \sum_{j=0}^{2n} (-1)^j q^{mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}$

by (1.23) satisfies the recurrence

$$f(2n, -q^m, q^k) = (1 - (1 + q^k)q^{2k(n-1)+m} + q^{2m}) f(2n-2, -q^m, q^k) - (1 - q^{k(2n-3)})(1 - q^{2k(n-1)}) q^{2m} f(2n-4, -q^m, q^k).$$

Therefore

$$h(n, q) = \frac{f(2n, -q^m, q^k)}{(q; q^2)_n}$$

satisfies the recurrence

$$h(n, q) = \frac{1 - (1 + q^k)q^{2k(n-1)+m} + q^{2m}}{1 - q^{2n-1}} h(n-1, q) - \frac{(1 - q^{k(2n-3)})(1 - q^{2k(n-1)}) q^{2m}}{(1 - q^{2n-1})(1 - q^{2n-3})} h(n-2, q)$$

with initial values

$$h(0, q) = 1 \text{ and } h(1, q) = [m] - q^{m+k} [m - k].$$

For $q \rightarrow 1$ we get

$$h(n, 1) = \frac{k(4n-3)}{2n-1} h(n-1, 1) - \frac{2k^2(n-1)}{2n-1} h(n-2, 1)$$

with initial values $h(0,1) = 1$ and $h(1,1) = k$.

This implies $h(n,1) = k^n$ and thus (3.7).

In the same way $f(2n+1, -q^m, q^k) = \sum_{j=0}^{2n+1} (-1)^j q^{mj} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^k}$

satisfies the recurrence

$$f(2n+1, -q^m, q^k) = \left(1 - (1+q^k)q^{k(2n-1)+m} + q^{2m}\right) f(2n-1, -q^m, q^k) \\ - \left(1 - q^{k(2n-2)}\right) \left(1 - q^{k(2n-1)}\right) q^{2m} f(2n-3, -q^m, q^k).$$

Therefore

$$H(n, q) = \frac{f(2n+1, -q^m, q^k)}{(q; q^2)_{n+1}}$$

satisfies the recurrence

$$H(n, q) = \frac{1 - (1+q^k)q^{k(2n-1)+m} + q^{2m}}{1 - q^{2n+1}} H(n-1, q) - \frac{(1 - q^{k(2n-1)})(1 - q^{2k(n-1)})q^{2m}}{(1 - q^{2n-1})(1 - q^{2n+1})} H(n-2, q)$$

with initial values

$$H(0, q) = [m] \text{ and } H(1, q) = [m] \frac{[m+k] + q^{2m}[2k-m]}{[3]}.$$

For $q \rightarrow 1$ this gives

$$H(n, 1) = \frac{k(4n-1)}{2n+1} H(n-1, 1) - \frac{2k^2(n-1)}{2n+1} H(n-2, 1)$$

with initial values $H(0,1) = m$ and $H(1,1) = km$. This gives (3.8).

The same argument gives

Corollary 3.1

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^{2k}}}{(-q; q^2)_n} = (2k)^n \quad (3.9)$$

and

$$\lim_{q \rightarrow -1} \frac{\sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^{2k}}}{(-q; q^2)_{n+1}} = (2k)^n (2m+1). \quad (3.10)$$

More generally let us consider the same question for $\sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}$.

In a first draft of this paper I stated two conjectures, one of which I posted as question in MathOverflow. This has been proved by Will Sawin [7].

Lemma 3.1 (W. Sawin [7])

For all $r, m \in \mathbb{Z}$

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n} (-1)^j q^{rj^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{(q; q^2)_n} = (k-2r)^n, \quad (3.11)$$

Proof

For $k = 2r$ we get from (1.4)

$$\sum_{j=0}^n (-1)^j q^{\frac{k}{2}j^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k} = \left(1 - q^{\frac{k}{2}+m}\right) \left(1 - q^{\frac{3k}{2}+m}\right) \cdots \left(1 - q^{\binom{2n-1}{2}k+m}\right) = \left(q^{\frac{k}{2}+m}; q^k\right)_n. \quad (3.12)$$

Therefore

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n} (-1)^j q^{\frac{k}{2}j^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{(q; q^2)_n} = \lim_{q \rightarrow 1} \frac{\left(q^{\frac{k}{2}+m}; q^k\right)_{2n}}{(q; q^2)_n} = [n=0]$$

and

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n+1} (-1)^j q^{\frac{k}{2}j^2+mj} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^k}}{(q; q^2)_{n+1}} = \lim_{q \rightarrow 1} \frac{\left(q^{\frac{k}{2}+m}; q^k\right)_{2n+1}}{(q; q^2)_{n+1}} = \left(\frac{k}{2} + m\right) [n=0].$$

Thus in this case the Lemma is true.

Let $f(n, r, m, k) = \sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}$.

To obtain the limit (3.11) we observe that the denominator has the root $q = 1$ with multiplicity n . If the limit exists then the nominator also has the root $q = 1$ with multiplicity at least n .

Sawin's trick was to use de L'Hospital's rule combined with Leibniz's rule by writing $f(n, r, m, k)$ in the form

$$f(n, r, m, k) = \sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k} = \sum_{j=0}^n (-1)^j q^{\left(r-\frac{k}{2}\right)j^2+mj} \cdot q^{\frac{k}{2}j^2} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}.$$

This gives

$$\frac{\partial^i f(2n, r, m, k)}{\partial q^i} (1) = \sum_{a=0}^i \binom{i}{a} \sum_{j=0}^{2n} (-1)^j \frac{\partial^a q^{\left(r-\frac{k}{2}\right)j^2+mj}}{\partial q^a} (1) \frac{\partial^{i-a} q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^{i-a}} (1).$$

Now $\frac{\partial^a q^{\left(r-\frac{k}{2}\right)j^2+mj}}{\partial q^a} (1)$ is a polynomial of degree $2a$ in j . Therefore the right-hand side can be written as a linear combination of the terms

$$F(b, c, 2n) = \sum_{j=0}^{2n} (-1)^j j^b \frac{\partial^c q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^c} (1) \quad (3.13)$$

where $b + 2c \leq 2a + 2(i - a) = 2i$.

Let us now consider the known case $f\left(2n, \frac{k}{2}, m, k\right)$.

$$\begin{aligned} \frac{\partial^i f\left(2n, \frac{k}{2}, m, k\right)}{\partial q^i} (1) &= \frac{\partial^i \sum_{j=0}^{2n} (-1)^j q^{\frac{k}{2}j^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^i} (1) \\ &= \sum_{a=0}^i \binom{i}{a} \sum_{j=0}^{2n} (-1)^j \frac{\partial^a q^{mj}}{\partial q^a} (1) \frac{\partial^{i-a} q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^{i-a}} (1) \\ &= \sum_{a=0}^i \binom{i}{a} \sum_{j=0}^{2n} (-1)^j (mj)(mj-1)\cdots(mj-a+1) \frac{\partial^{i-a} q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^{i-a}} (1) \\ &= \sum_{a=0}^i \binom{i}{a} \sum_{b=0}^a [j^b] (mj)(mj-1)\cdots(mj-a+1) F(b, i-a, 2n). \end{aligned}$$

It is clear that $F(0, 0, 2n) = [n = 0]$.

Now let us assume by induction that

$$F(b, c, 2n) = 0 \text{ for } b + c < i \text{ for some fixed } i \leq 2n.$$

Then we get

$$\begin{aligned} & \frac{\partial^i \sum_{j=0}^n (-1)^j q^{\frac{k}{2}j^2 + mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^i} (1) = \sum_{a=0}^i \binom{i}{a} [j^a] (mj)(mj-1)\cdots(mj-a+1) F(a, i-a, 2n) \\ & = \sum_{a=0}^i \binom{i}{a} m^a F(a, i-a, 2n). \end{aligned}$$

By (3.12) this polynomial is identically 0 for $i < 2n$.

Therefore all coefficients $F(a, i-a, 2n)$ vanish. Thus $F(b, c, 2n) = 0$ for $b+c=i$.

This implies that $F(b, c, 2n) = 0$ for $b+2c < 2n$ and therefore the first $n-1$ partial derivatives vanish.

The only $F(b, c, 2n)$ with $b+2c \leq 2n$ which we did not yet compute is

$$F(2n, 0, 2n) = \sum_{j=0}^{2n} (-1)^j j^{2n} q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k} (1) = \sum_{j=0}^{2n} (-1)^j j^{2n} \binom{2n}{j} = (2n)!.$$

Since j^{2n} only occurs for $a=n$ we get

$$\begin{aligned} & \frac{\partial^n f(2n, r, m, k)}{\partial q^n} (1) = \sum_{a=0}^n \binom{n}{a} \sum_{j=0}^{2n} (-1)^j \frac{\partial^a q^{\left(r-\frac{k}{2}\right)j^2 + mj}}{\partial q^a} (1) \frac{\partial^{i-a} q^{\frac{k}{2}j^2} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\partial q^{i-a}} (1) \\ & = F(2n, 0, 2n) [j^{2n}] \frac{\partial^n q^{\left(r-\frac{k}{2}\right)j^2 + mj}}{\partial q^n} (1). \end{aligned}$$

Now

$$\begin{aligned} & [j^{2n}] \frac{\partial^n q^{\left(r-\frac{k}{2}\right)j^2 + mj}}{\partial q^n} (1) \\ & = [j^{2n}] \left(\left(r - \frac{k}{2} \right) j^2 + mj \right) \left(\left(r - \frac{k}{2} \right) j^2 + mj - 1 \right) \cdots \left(\left(r - \frac{k}{2} \right) j^2 + mj - n + 1 \right) = \left(r - \frac{k}{2} \right)^n. \end{aligned}$$

Therefore we finally get

$$\frac{\partial^n f(2n, r, m, k)}{\partial q^n} (1) = (2n)! \left(r - \frac{k}{2} \right)^n.$$

By Gauss's theorem we have $(q; q^2)_n = f(2n, 0, 0, 1)$.

Thus

$$\frac{\partial^n f(2n, 0, 0, 1)}{\partial q^n}(1) = (2n)! \left(-\frac{1}{2}\right)^n.$$

This implies

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n} (-1)^j q^{rj^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{(q; q^2)_n} = \lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n} (-1)^j q^{rj^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}}{\sum_{j=0}^{2n} (-1)^j \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^k}} = \frac{\left(r - \frac{k}{2}\right)^n}{\left(-\frac{1}{2}\right)^n} = (k - 2r)^n.$$

Let us now consider binomials of the form $\sum_{j=0}^n q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k}$.

It is easy to check that $\lim_{q \rightarrow -1} \sum_{j=0}^n q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^k} = 0$ for $n > 0$ if and only if $r + m \equiv 1 \pmod{2}$ and $k \equiv 0 \pmod{2}$.

Therefore we get

Corollary 3.2

If $r + m \equiv 1 \pmod{2}$ then

$$\lim_{q \rightarrow -1} \frac{\sum_{j=0}^{2n} q^{rj^2+mj} \begin{bmatrix} 2n \\ j \end{bmatrix}_{q^{2k}}}{(-q; q)_{2n}} = (k - r)^n. \quad (3.14)$$

This follows from $(-q)^{rj^2+mj} = (-1)^j q^{rj^2+mj}$ and $\lim_{q \rightarrow -1} \frac{(-q; q)_{2n}}{(-q; q^2)_n} = 2^n$.

The analogous results for $2n + 1$ are stated as

Conjecture 3.2

$$\lim_{q \rightarrow 1} \frac{\sum_{j=0}^{2n+1} (-1)^j q^{rj^2+mj} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^k}}{(q; q^2)_{n+1}} = ((2n+1)r + m)(k - 2r)^n \quad (3.15)$$

and for $r + m \equiv 1 \pmod{2}$

$$\lim_{q \rightarrow -1} \frac{\sum_{j=0}^{2n+1} q^{rj^2+mj} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{q^{2k}}}{(-q; q)_{2n+1}} = ((2n+1)r+m)(k-r)^n. \quad (3.16)$$

Conjecture 3.3

For a prime number p let $v_p(x)$ denote the p -adic valuation of x , which is the largest non-negative integer m such that p^m divides x and let $V_p(x) = p^{v_p(x)}$. For integers $m, r \geq 0$ we get

$$\sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^p} = c_n(r, m, p, q) \prod_{j=1}^{\lfloor \frac{n+1}{2} \rfloor} \left(1 - q^{\frac{2j-1}{V_p(2^{j-1})}} \right), \quad (3.17)$$

with $c_n(r, m, p, q) \in \mathbb{Z}[q]$.

Finally let us state the following

Conjecture 3.4

For any odd prime p and any $m \in \mathbb{N}$ there exists a factorization

$$A_p(m, n, q) = \sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} n \\ j \end{bmatrix}_{q^{2p}} = \prod_{k=1}^n \left(1 + q^{\frac{k}{V_p(k)}} \right) c_p(m, n, q) \quad (3.18)$$

with $c_p(m, n, q) \in \mathbb{Z}[q]$.

This polynomial satisfies $c_p(m, n, 1) = 1$ and

$$c_p(0, n, -1) = p^{b(n,p)} \quad (3.19)$$

with

$$b(n, p) = \left\lfloor \frac{n}{2} \right\rfloor + v_p(n!) - v_p \left(\left\lfloor \frac{n}{2} \right\rfloor! \right). \quad (3.20)$$

Example

Let us consider for example $A_3(2, n, q) = \sum_{j=0}^n q^{5j} \begin{bmatrix} n \\ j \end{bmatrix}_{q^6}$.

From $\left(\frac{k}{V_3(k)} \right)_{k \geq 1} = (1, 2, 1, 4, 5, 2, 7, 8, 1, \dots)$

we find

$$A_3(2, 0, q) = 1, \quad A_3(2, 1, q) = (1+q)c_3(2, 1, q), \quad A_3(2, 2, q) = (1+q)(1+q^2)c_3(2, 2, q),$$

$$A_3(2, 3, q) = (1+q)^2(1+q^2)c_3(2, 3, q), \quad A_3(2, 4, q) = (1+q)^2(1+q^2)(1+q^4)c_3(2, 4, q),$$

$$A_3(2, 5, q) = (1+q)^2(1+q^2)(1+q^4)(1+q^5)c_3(2, 5, q), \dots$$

The first terms of the sequence $(c_3(2, n, q))_{n \geq 0}$ are

$$1, 1 - q + q^2 - q^3 + q^4, 1 - q + q^4 - q^6 + q^8, (1 - q + q^2 - q^3 + q^4)(1 - q + q^4 - q^5 + q^8 - q^9 + q^{10} - q^{13} + q^{14}), \dots$$

It is clear that $c_3(2, n, 1) = 1$.

For $q = -1$ we get $(c_3(2, n, -1))_{n \geq 0} = (1, 5, 3, 5 \cdot 3^2, 3^3, 5 \cdot 3^3, 3^4, 5 \cdot 3^4, 3^5, 5 \cdot 3^7, \dots)$.

In order to compute $c_p(m, n, -1)$ we observe that by Corollary 3.1 we have

$$\lim_{q \rightarrow -1} \frac{\sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} 2n \\ j \end{bmatrix}_{-q^{2k}}}{(-q; q)_{2n}} = k^n \quad (3.21)$$

and

$$\lim_{q \rightarrow -1} \frac{\sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} 2n+1 \\ j \end{bmatrix}_{-q^{2k}}}{(-q; q)_{2n+1}} = k^n (2m+1). \quad (3.22)$$

It remains to compute $\lim_{q \rightarrow -1} \frac{(-q; q)_n}{\prod_{j=1}^n \left(1 + q^{\frac{j}{V_p(j)}}\right)}$. To this end observe that for $j \not\equiv 0 \pmod p$ we have

$$V_p(j) = 1 \quad \text{and therefore} \quad \frac{(-q; q)_n}{\prod_{j=1}^n \left(1 + q^{\frac{j}{V_p(j)}}\right)} = \prod_{2jp \leq n} \frac{1 + q^{2jp}}{1 + q^{\frac{2jp}{V_p(2jp)}}} \prod_{(2j+1)p \leq n} \frac{1 + q^{(2j+1)p}}{1 + q^{\frac{(2j+1)p}{V_p((2j+1)p)}}}.$$

For $q \rightarrow -1$ the first product converges to 1.

Since $\lim_{q \rightarrow -1} \frac{1 + q^{(2j+1)p}}{1 + q^{\frac{(2j+1)p}{V_p((2j+1)p)}}} = V_p((2j+1)p)$ and $V_p\left(2 \cdot 4 \cdots 2 \left\lfloor \frac{n}{2} \right\rfloor\right) = V_p\left(\left\lfloor \frac{n}{2} \right\rfloor!\right)$

we get $\lim_{q \rightarrow -1} \frac{(-q; q)_n}{\prod_{j=1}^n \left(1 + q^{a(j,p)}\right)} = p^{v_p(n!) - v_p\left(\left\lfloor \frac{n}{2} \right\rfloor!\right)}$.

4. Conclusion

In the main part of this paper we have obtained some evidence that for non-negative integers r, m, k the polynomials $\sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^{2^k}}$ are divisible by $(q; q^2)_{\lfloor \frac{n+1}{2} \rfloor}$ in $\mathbb{Z}[q]$ and that for odd primes p the polynomials $\sum_{j=0}^n (-1)^j q^{rj^2+mj} \begin{bmatrix} n \\ j \end{bmatrix}_{q^p}$ have the factor $\prod_{j=1}^{\lfloor \frac{n+1}{2} \rfloor} \left(1 - q^{\frac{2j-1}{V_p(2j-1)}} \right)$ in $\mathbb{Z}[q]$.

Further we were led to the conjecture that for odd prime numbers p and non-negative integers

m the polynomials $\sum_{j=0}^n q^{(2m+1)j} \begin{bmatrix} n \\ j \end{bmatrix}_{q^{2^p}}$ are not only divisible by $\prod_{j=1}^{\lfloor \frac{n+1}{2} \rfloor} \left(1 + q^{\frac{2j-1}{V_p(2j-1)}} \right)$ but even by $\prod_{k=1}^n \left(1 + q^{\frac{k}{V_p(k)}} \right)$. Till now we could only provide proofs for some special cases.

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