# Applications of Differential Algbera to Algebraic Independence of Arithmetic Functions

Wai Yan Pong

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#### CUNY Kolchin Seminar

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Alg. Ind. of Arith. Funct.

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#### Theorem (Ax 68, 71)

Let  $F/C/\mathbb{Q}$  be a tower of fields. Suppose  $\Delta$  is a set of derivations of F with ker<sub>F</sub>  $\Delta = C$ . Let  $y_1, \ldots, y_n, z_1, \ldots, z_n \in F$  be such that

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Then

$$\mathsf{td}_{C} C(y_{1}, \ldots, y_{n}, z_{1}, \ldots, z_{n}) \geq n + \mathsf{rank}_{F}(Dy_{i})$$

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They form a C-algebra (A, +, \*) under pointwise addition (+) and convolution product (\*):

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 $(\mathcal{A},+,\ast)$  is a UFD. [Cashwell-Everett (59)]

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$$D=\sum_p De_p*\partial_p.$$

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The map defined by:

$$f \mapsto \mathsf{Exp}(f) := \sum_{k=0}^{\infty} \frac{f^k}{k!}$$

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• Exp is not 1-to-1 on  $\mathcal{A}$ .

• However, it is an isomorphism between  $(\mathcal{A}_{\mathbb{R}}, +)$  and  $(\mathcal{A}_{+}, *)$ .

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The map defined by:

$$f \mapsto \operatorname{Exp}(f) := \sum_{k=0}^{\infty} \frac{f^k}{k!}$$

is a continuous isomorphism between  $(A_0, +)$  and  $(A_1, *)$ . We extend it to the exponential map of A by

$$\mathsf{Exp}(f) := \exp(f(1)) * \mathsf{Exp}(f - f(1)).$$

- Exp is not 1-to-1 on  $\mathcal{A}$ .
- However, it is an isomorphism between  $(\mathcal{A}_{\mathbb{R}}, +)$  and  $(\mathcal{A}_{+}, *)$ .
- The inverse of this isomorphism, denoted by Log, is called the Rearick logarithm.

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The kernel of any set of continuous derivations is invariant under Exp and Log.

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# **Continuous** Derivations

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#### Corollary

For any k and continuous derivations  $D_1, \ldots, D_n$ ,

$$\det(D_j f_i) = 0 \iff \det(D_j \operatorname{Exp}^k f_i) = 0$$

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# Ax's Theorem for ${\mathcal A}$

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# Ax's Theorem for $\mathcal{A}$

## Theorem (P)

Suppose  $C = \ker_{\mathcal{F}} \Delta$  for some set of continuous derivations  $\Delta$  of  $\mathcal{A}$  and  $f_1, \ldots, f_n \in \mathcal{A}$  such that either

- **(**) no non-trivial power product of  $Exp(f_1), \ldots, Exp(f_n)$  is in C; or
- 2 the  $f_i$  are Q-linearly independent modulo C.

Then

 $\operatorname{td}_{\mathcal{C}} \mathcal{C}(f_1, \ldots, f_n, \operatorname{Exp}(f_1), \ldots, \operatorname{Exp}(f_n)) \ge n + \operatorname{rank}_{\mathcal{F}}(Df_i).$ 

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#### Proof.

Immediately follows from Ax's Theorem and the previous proposition.

Shapiro-Sparer's Jacobian criterion is a key result for proving algebraic independence of arithmetic functions.

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## Theorem (Shapiro-Sparer)

Suppose  $f_1, \ldots, f_n \in A$  and  $\Delta = \{D_1, \ldots, D_n\}$  is a set of derivations of A such that det  $(D_j f_i) \neq 0$ . Then

$$f_1, ..., f_n$$

are algebraically independent over ker  $\Delta$ .

Shapiro-Sparer's Jacobian criterion can be strengthened if the derivations involved are continuous.

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Suppose  $f_1, \ldots, f_n \in A$  and  $\Delta = \{D_1, \ldots, D_n\}$  is a set of continuous derivations of A such that det  $(D_j f_i) \neq 0$ . Then

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The non-vanishing of Jacobian implies the  $f_i$ 's are Q-linearly independent modulo C and that rank $(D_j f_i) = n$ .

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### Theorem (P)

Suppose  $\mathcal{C} = \ker_{\mathcal{F}} \Delta$  for some set of continuous derivations  $\Delta$  of  $\mathcal{A}$ . Then for any  $f \in A_+ \setminus \ker \Delta$ , and  $c_1, \ldots, c_n \in \ker \Delta$ ,  $\log f$  is transcendental over  $\mathcal{C}(f, f^{c_1}, \ldots, f^{c_n})$ .

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### Theorem (P)

Suppose  $C = \ker_{\mathcal{F}} \Delta$  for some set of continuous derivations  $\Delta$  of  $\mathcal{A}$ . Then for any  $f \in \mathcal{A}_+ \setminus \ker \Delta$ , and  $c_1, \ldots, c_n \in \ker \Delta$ ,  $\log f$  is transcendental over  $C(f, f^{c_1}, \ldots, f^{c_n})$ .

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Special Case:  $f = \mathbf{1}$  and  $\Delta = \{\partial_L\}$ .

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### Theorem (Shapiro-Sparer)

Suppose  $[\operatorname{supp} f] \not\subseteq \bigcup_{i \in I} [\operatorname{supp} g_i]$ , then  $\operatorname{Exp}^*{f}$  is algebraically independent over  $\mathbb{C}[g_i: i \in I]$ .

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#### Proof.

Let  $p \in [\operatorname{supp} f]$  but not in the union of  $[\operatorname{supp} g_i]$ . Then  $\partial_p f \neq 0$  and so  $\operatorname{Exp}^*{f}$  is algebraically independent over ker  $\partial_p \supseteq \mathbb{C}[g_i: i \in I]$ .

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### Corollary

 $\mathcal{S} := \{g \in \mathcal{A} \colon [\operatorname{supp} g] \text{ is finite} \}$  is algebraically closed in  $\mathcal{A}$ .

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1 is transcendental over S and hence over T. ζ(s) is transcendental over the Dirichlet polynomials.

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## Theorem (Shapiro-Sparer)

Suppose  $[\text{supp } f] \not\subseteq \bigcup_{i \in I} [\text{supp } g_i]$ , then  $\text{Exp}^*\{f\}$  is algebraically independent over  $\mathbb{C}[g_i: i \in I]$ .

#### Proof.

Let  $p \in [\operatorname{supp} f]$  but not in the union of  $[\operatorname{supp} g_i]$ . Then  $\partial_p f \neq 0$  and so  $\operatorname{Exp}^*{f}$  is algebraically independent over ker  $\partial_p \supseteq \mathbb{C}[g_i: i \in I]$ .

### Corollary

 $\mathcal{S} := \{g \in \mathcal{A} \colon [\operatorname{supp} g] \text{ is finite} \}$  is algebraically closed in  $\mathcal{A}$ .

- 1 is transcendental over S and hence over T. ζ(s) is transcendental over the Dirichlet polynomials.
- $\mathcal{T}$  is not alg. closed, e.g.  $\mathbf{1}_2 \notin \mathcal{T}$  but its inverse  $1 e_2 \in \mathcal{T}$ .

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### Theorem (P)

Let  $f_1, \ldots, f_n \in A$ . Suppose  $D_1, \ldots, D_n$  are continuous derivations of A such that  $f_i(\bigcap_{i < j} \ker D_j) \setminus \ker D_i$ . Then  $\operatorname{Exp}^*{\{f\}}$  alg. ind. over  $\ker{\{D\}}$ .

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Example:  $\operatorname{Exp}^*(\{e_p \colon p \in \mathbb{P}\} \cup \{1_{\mathbb{P}}\})$  is alg. ind. over  $\mathbb{C}$ .

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Example: For  $f, g \in A \setminus \mathbb{C}$ , with  $[\operatorname{supp} f] \neq [\operatorname{supp} g]$ , then f, g are alg. ind. over  $\mathbb{C}$ . A result of Ruengsinsub, Laohakosol, Udomkavanich (05).

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Theorem (Komatsu, Laohakosol, Ruengsinsub (11)) For any  $f_1, \ldots, f_n \in A$ , if there exits  $p_1, \ldots, p_n$  such that

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for some  $m \in \mathbb{N}$ , then  $\text{Exp}^{*}\{f\}$  is alg. ind. over ker $\{\partial_{p_1}, \ldots, \partial_{p_n}\}$ .

Proof.

The left side of the equation above is the value of  $det(\partial_{p_i}f_i)$  at *m*.

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Corollary

If det  $(f_i(p_j)) \neq 0$  then  $\text{Exp}^* \{ f \}$  is alg. ind. over ker $\{ \partial_{p_1}, \ldots, \partial_{p_n} \}$ .

• One cannot replace the primes in the above corollary by arbitrary integers. (Reason: The derivations in Ax's Theorem cannot be replaced by linear differential operators)

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• E.g. 
$$f_1 = \mathbf{1}_2, f_2 = f_1 * f_1$$
. then

$$\det \begin{pmatrix} f_1(2) & f_2(2) \\ f_1(4) & f_2(4) \end{pmatrix} = \det \begin{pmatrix} 1 & 2 \\ 1 & 3 \end{pmatrix} = 1 \neq 0$$

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 In particular, f needs not be hyper-transcendental even if supp f is infinite. E.g. 1<sub>2</sub> satisfies:

$$\partial_L X = \log(2)(X^2 - X).$$

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Example Exp\*{ $\mathbf{1}_{p}, \mathbf{1}_{\mathbb{P}}: p \in \mathbb{P}$ }. is alg. ind. over  $\mathbb{C}$ .

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#### Example

 $\operatorname{Exp}^*\{\mathbf{1}_p, \mathbf{1}_{\mathbb{P}}: p \in \mathbb{P}\}.$  is alg. ind. over  $\mathbb{C}$ .

#### Example

$$au_* = (\mathbf{1} - 1)^2$$
 and  $\mathbf{1}_{\mathbb{P}}$  are alg. ind. over  $\mathbb{C}$ .

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 $\tau_* = (\mathbf{1} - 1)^2$  and  $\mathbf{1}_{\mathbb{P}}$  are alg. ind. over  $\mathbb{C}$ . Since  $\partial_p \mathbf{1}_p = 1$ , for every p,

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$$\det \begin{pmatrix} \partial_2 \tau_* & \partial_3 \tau_* \\ \partial_2 \mathbf{1}_{\mathbb{P}} & \partial_3 \mathbf{1}_{\mathbb{P}} \end{pmatrix} = \partial_2 \tau_* - \partial_3 \tau_*$$

and its value at 4 is  $2 \neq 0$ .

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and its value at 4 is  $2 \neq 0$ . Note that this cannot be deduced from the previous corollary since  $\tau_*$  vanishes at all primes.

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Theorem (P) Let  $f_1, \ldots, f_n \in A$  and  $D_1, \ldots, D_n$  be continuous derivations. For  $1 \le j \le n$ , suppose

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#### Proposition (P)

Let  $f_{ij} \in \mathcal{A} \ (1 \leq i, j \leq n)$ . Suppose  $a_i, b_i \ (1 \leq i \leq n)$  are positive reals such that  $a_i b_j \leq v(f_{ij})$  for all  $1 \leq i, j \leq n$ . Then

$$\det(f_{ij})\left(\prod_{k=1}^n a_k b_k\right) = \det\left(f_{ij}(a_i b_j)\right).$$

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### Lemma (Shapiro-Sparer, P)

Suppose  $f_1, \ldots, f_n \in A \setminus \{0\}$  with det  $(\partial_{p_j} f_i) = 0$  for some choice of  $p_1, \ldots, p_n$ . Then det  $(v_{p_j}(v(f_i))) = 0$ .

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#### Proof.

Check that  $m_i := v(f_i) \leq v(\partial_{p_j}f_i)p_j$ .

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$$\det\left(\partial_{p_j}f_i\right)\left(\prod_{k=1}^n\frac{m_k}{p_k}\right)=\left(\prod_{i=1}^nf_i(m_i)\right)\det\left(v_{p_j}(m_i)\right).$$

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### Theorem (R-L-U (05))

Suppose  $W \subset A \setminus \{0\}$  with the property that the orders of its members are pairwise relatively prime then W is alg. ind. over  $\mathbb{C}$ .

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### Theorem (R-L-U (05), P)

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#### Example

For  $N \subset \mathbb{N}$ ,  $Exp^* \{e_n : n \in N\}$  is alg. ind. over  $\mathbb{C}$  if and only if no nontrivial product of elements of N equals 1.

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### Proof.

Suppose  $\text{Exp}^* \{ f \}$  is alg. dependent over  $\mathbb{C}$  for some  $f_1, \ldots, f_n \in W$ .

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are Q-lin.dep. and so for some  $k_1,\ldots,k_n\in\mathbb{Z}$  not all 0,

$$0 = \sum_{i=1}^{n} k_i v_p(vf_i) = v_p\left(\prod_{i=1}^{n} (v(f_i))^{k_i}\right)$$

for all p.

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For  $g \in \mathcal{A}$ , consider the (continuous) operator  $\mathfrak{m}_g$  from  $\mathcal{A}$  to itself:

 $\mathfrak{m}_g(f) = g \cdot f$  (pointwise product)

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- E.g.  $\mathfrak{m}_{I}$  where I is the identity map of  $\mathbb{N}$ . More generally, for  $\alpha \in \mathbb{C}$ ,  $\mathfrak{m}_{n^{\alpha}}(f)(n) := n^{\alpha}f(n)$  is an automorphism of  $\mathcal{A}$ .

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### $\mathfrak{m}_g$ -transcendence

An arithmetic function f is  $\mathfrak{m}_g$ -transcendental over  $\mathcal{B} \subseteq \mathcal{A}$  if

$$\{\mathfrak{m}_{g}^{i}f:i\in I\},\$$

where  $I = \mathbb{N} \cup \{0\}$  if  $\mathfrak{m}_g$  is not invertible; otherwise  $I = \mathbb{Z}$ , is algorizable independent over  $\mathcal{B}$ .

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### Theorem (P)

Let  $f, g \in A$ . Suppose  $p_1, \ldots, p_n \in [\text{supp } f]$  such that  $g(v(\partial_{p_j} f)p_j)$  $(1 \le j \le n)$  are distinct and nonzero. Then for any  $k \ge 0$ ,

$$\mathsf{Exp}^*\{\mathfrak{m}_g^i f \colon k \le i \le k+n-1\}$$

is alg. ind. over ker $\{\partial_{p_j}: 1 \le j \le n\}$ . Moreover, if g is nowhere vanishing then the same is true for any  $k \in \mathbb{Z}$ .

# $\mathfrak{m}_g$ -transcendence

Proof.

Let  $f_i = \mathfrak{m}_g^i f$ .



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# $\mathfrak{m}_g$ -transcendence

#### Proof.

# Let $f_i = \mathfrak{m}_g^i f$ . One checks that $m_j := v(\partial_{p_j} f) \leq v(\partial_{p_j} f_i)$ for all $k \leq i \leq k + n - 1$ .



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Let  $f_i = \mathfrak{m}_g^i f$ . One checks that  $m_j := v(\partial_{p_j} f) \leq v(\partial_{p_j} f_i)$  for all  $k \leq i \leq k + n - 1$ . So it suffices to show that

$$\det\left(\partial_{p_j}f_i(m_j)\right) = \det\left(v_{p_j}(m_jp_j)g(m_jp_j)^if(m_jp_j)\right)$$
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does not vanish. But this is clear since the last determinant is Vandermonde.

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- However, that is not true for  $e_n$  when n has at least two distinct prime factors, since  $e_n$  satisfies the differential equation:

$$\partial_L X - \log(n) X = 0.$$

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Theorem (P)

Suppose  $f \in A \setminus S$  and g is eventually 1-1. Then  $E := \text{Exp}^* \{\mathfrak{m}_g^i f : i \ge 0\}$  is alg. ind. over ker  $\Delta_I$  for any infinite  $I \subseteq [\text{supp } f]$  and hence over S. In addition if g is nowhere vanishing, then i can range through  $\mathbb{Z}$ .

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#### Theorem (Shapiro-Sparer (85))

For any sequence  $(\alpha_i)$  of complex numbers with distinct real parts, ,

$$\{\mathfrak{m}^{\alpha_i}\partial_L^j\mathbf{1}\colon i,j\geq 0\}$$

is algebraically independence over the ker  $\Delta_I$  for any infinite  $I \subseteq \mathbb{P}$ .

Wai Yan Pong (CSUDH)

Alg. Ind. of Arith. Funct.

Mar 20th, 2015 30 / 34

# Differential-Difference transcendence

#### Theorem (Shapiro-Sparer (85), R-L-U (05))

For any sequence  $(\alpha_i)$  of complex numbers with distinct real parts, and any f supported at infinitely many primes,

$$\{\mathfrak{m}^{\alpha_i}\partial_L^j f: i, j \ge 0\}$$

is algebraically independence over the ker  $\Delta_I$  for any infinite  $I \subseteq \mathbb{P}$ .

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is algebraically independence over the ker  $\Delta_I$  for any infinite  $I \subseteq \mathbb{P}$ .

#### Ideas.

Let the real part of  $\alpha_i$  be increasing. Given an infinite  $I \subseteq [\text{supp } f]$ , choose an increasing sequence  $(p_{uv})_{(u,v)\in L}$  from I such that each term is sufficiently larger than the previous term to achieve

$$\det\left((m_{uv}p_{uv})^{\alpha_i}(\log(m_{uv}p_{uv}))^j\right)\neq 0$$

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- Morgan Ward (54): If (U<sub>n</sub>) is a "non-degenerate" 2nd linear integral recurrence, then {U<sub>n</sub>} is not finitely generated.

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- The same is true with "algebraic" replaced by "holomorphic" using a theorem of Axel Reich (84). Steuding (08) (Fibonacci), Komatsu (09) (Lucas).

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• e.g. ker 
$$\partial_{\Omega} = \mathbb{C}$$
 but  $e_p / e_q \in \ker_{\mathcal{F}} \partial_{\Omega}$ .

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