

On the ubiquity of modular forms and Apéry-like numbers

Algebra & Number Theory Seminar
University College Dublin

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at Urbana-Champaign

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für Mathematik, Bonn

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University of Montreal

University of Newcastle, Australia

INTRODUCTION

Apéry-like numbers and modular forms

$$A(n) = \sum_{k=0}^n \binom{n}{k}^2 \binom{n+k}{k}^2$$

1, 5, 73, 1445, 33001, 819005, 21460825, ...

- The **Apéry numbers**

1, 5, 73, 1445, ...

$$A(n) = \sum_{k=0}^n \binom{n}{k}^2 \binom{n+k}{k}^2$$

satisfy

$$(n+1)^3 u_{n+1} - (2n+1)(17n^2 + 17n + 5)u_n + n^3 u_{n-1} = 0.$$

Apéry numbers and the irrationality of $\zeta(3)$

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THM
Apéry '78

$\zeta(3) = \sum_{n=1}^{\infty} \frac{1}{n^3}$ is irrational.

proof

The same recurrence is satisfied by the “near”-integers

$$B(n) = \sum_{k=0}^n \binom{n}{k}^2 \binom{n+k}{k}^2 \left(\sum_{j=1}^n \frac{1}{j^3} + \sum_{m=1}^k \frac{(-1)^{m-1}}{2m^3 \binom{n}{m} \binom{n+m}{m}} \right)$$

Then, $\frac{B(n)}{A(n)} \rightarrow \zeta(3)$. But too fast for $\zeta(3)$ to be rational. \square

- Recurrence for the Apéry numbers is the case $(a, b, c) = (17, 5, 1)$ of

$$(n + 1)^3 u_{n+1} - (2n + 1)(an^2 + an + b)u_n + cn^3 u_{n-1} = 0.$$

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Q Are there other triples for which the solution defined by $u_{-1} = 0$, $u_0 = 1$ is integral?

- Almkvist and Zudilin find 14 triplets (a, b, c) .
The simpler case of $(n + 1)^2 u_{n+1} - (an^2 + an + b)u_n + cn^2 u_{n-1} = 0$ was similarly investigated by Beukers and Zagier.
- 4 hypergeometric, 4 Legendrian and 6 sporadic solutions

- Hypergeometric and Legendrian solutions have generating functions

$${}_3F_2 \left(\begin{matrix} \frac{1}{2}, \alpha, 1 - \alpha \\ 1, 1 \end{matrix} \middle| 4C_\alpha z \right), \quad \frac{1}{1 - C_\alpha z} {}_2F_1 \left(\begin{matrix} \alpha, 1 - \alpha \\ 1 \end{matrix} \middle| \frac{-C_\alpha z}{1 - C_\alpha z} \right)^2,$$

with $\alpha = \frac{1}{2}, \frac{1}{3}, \frac{1}{4}, \frac{1}{6}$ and $C_\alpha = 2^4, 3^3, 2^6, 2^4 \cdot 3^3$.

- The six sporadic solutions are:

(a, b, c)	$A(n)$
$(7, 3, 81)$	$\sum_k (-1)^k 3^{n-3k} \binom{n}{3k} \binom{n+k}{n} \frac{(3k)!}{k!^3}$
$(11, 5, 125)$	$\sum_k (-1)^k \binom{n}{k}^3 \left(\binom{4n-5k-1}{3n} + \binom{4n-5k}{3n} \right)$
$(10, 4, 64)$	$\sum_k \binom{n}{k}^2 \binom{2k}{k} \binom{2(n-k)}{n-k}$
$(12, 4, 16)$	$\sum_k \binom{n}{k}^2 \binom{2k}{n}$
$(9, 3, -27)$	$\sum_{k,l} \binom{n}{k}^2 \binom{n}{l} \binom{k}{l} \binom{k+l}{n}$
$(17, 5, 1)$	$\sum_k \binom{n}{k}^2 \binom{n+k}{n}^2$

Modular functions

“ “ *Modular forms are functions on the complex plane that are inordinately symmetric. They satisfy so many internal symmetries that their mere existence seem like accidents. But they do exist.* ” ”
Barry Mazur (BBC Interview, “The Proof”, 1997)

DEF $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$ acts on the upper half-plane \mathbb{H} by $\gamma \cdot \tau = \frac{a\tau + b}{c\tau + d}$.

DEF $f : \mathbb{H} \rightarrow \mathbb{C}$ is a **modular function** for $\Gamma \leq \mathrm{SL}_2(\mathbb{Z})$ if

- $f(\gamma \cdot \tau) = f(\tau)$ for all $\gamma \in \Gamma$,
- f is meromorphic (including at the cusps). e.g., at $i\infty$

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EG

$$T = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \qquad S = \begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}$$
$$f(\tau + 1) = f(\tau) \qquad f(-1/\tau) = f(\tau)$$

T and S generate $\mathrm{SL}_2(\mathbb{Z})$.

Modular functions

- Equivalently, modular functions are meromorphic functions on the compactification $X(\Gamma)$ of \mathbb{H}/Γ .

EG If $\Gamma = \mathrm{SL}_2(\mathbb{Z})$, then $X(\Gamma) \cong P^1(\mathbb{C})$.

$$\{\text{modular functions}\} = \mathbb{C}(j)$$

$$j(\tau) = q^{-1} + 744 + 196884q + 21493760q^2 + \dots$$

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EG

$$j(i) = 1728$$
$$j\left(\frac{1+i\sqrt{35}}{2}\right) = -16^3(15 + 7\sqrt{5})^3$$

- In fact, for any modular function f ,

$$\tau \in \mathbb{Q}(\sqrt{-d}) \implies f(\tau) \in \overline{\mathbb{Q}}.$$



There's a saying attributed to Eichler that there are five fundamental operations of arithmetic: addition, subtraction, multiplication, division, and modular forms.

Andrew Wiles (BBC Interview, "The Proof", 1997)

DEF A function $f : \mathbb{H} \rightarrow \mathbb{C}$ is a **modular form** of weight k if

- $f\left(\frac{a\tau+b}{c\tau+d}\right) = (c\tau+d)^k f(\tau)$, for all $\begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \mathrm{SL}_2(\mathbb{Z})$,
- f is holomorphic (including at the cusp $i\infty$).

EG

$$f(\tau + 1) = f(\tau), \quad \tau^{-k} f(-1/\tau) = f(\tau).$$

- Similarly, MFs w.r.t. finite-index $\Gamma \leq \mathrm{SL}_2(\mathbb{Z})$
- Spaces of MFs finite dimensional, Hecke operators, ...

- The **Dedekind eta function**

$$(q = e^{2\pi i\tau})$$

$$\eta(\tau) = q^{1/24} \prod_{n \geq 1} (1 - q^n)$$

transforms as

$$\eta(\tau + 1) = e^{\pi i/12} \eta(\tau), \quad \eta(-1/\tau) = \sqrt{-i\tau} \eta(\tau).$$

EG $\eta(\tau)^{24}$ is a modular form of weight 12.

EG
$$\eta(i) = \frac{1}{2\pi^{3/4}} \Gamma\left(\frac{1}{4}\right)$$

Modularity of Apéry-like numbers

- The Apéry numbers

1, 5, 73, 1145, ...

$$A(n) = \sum_{k=0}^n \binom{n}{k}^2 \binom{n+k}{k}^2$$

satisfy

$$\underbrace{\frac{\eta^7(2\tau)\eta^7(3\tau)}{\eta^5(\tau)\eta^5(6\tau)}}_{\text{modular form}} = \sum_{n \geq 0} A(n) \underbrace{\left(\frac{\eta(\tau)\eta(6\tau)}{\eta(2\tau)\eta(3\tau)} \right)^{12n}}_{\text{modular function}} .$$

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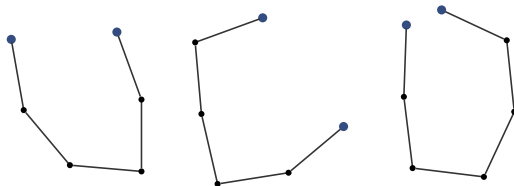
FACT Not at all evidently, such a **modular parametrization** exists for all known Apéry-like numbers!

- Context:
 - $f(\tau)$ modular form of weight k
 - $x(\tau)$ modular function
 - $y(x)$ such that $y(x(\tau)) = f(\tau)$

Then $y(x)$ satisfies a linear differential equation of order $k + 1$.

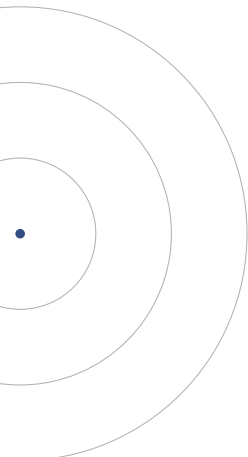
EXAMPLE I

Short random walks



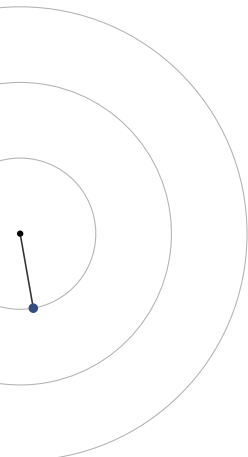
Personal encounter in the wild I: Random walks

- n steps in the plane (length 1, random direction)



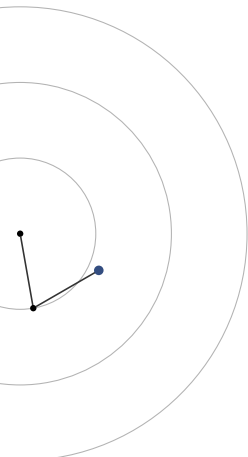
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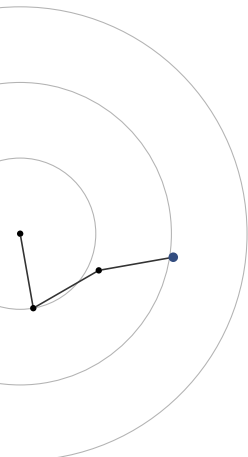
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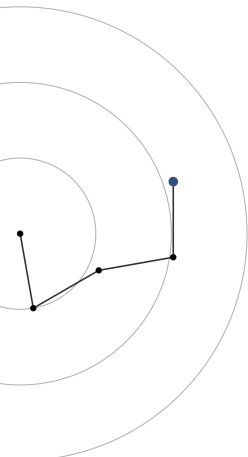
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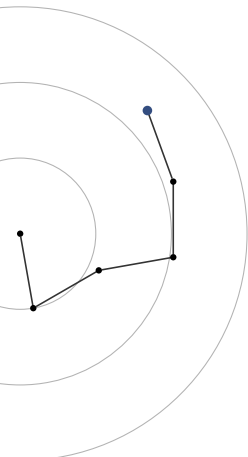
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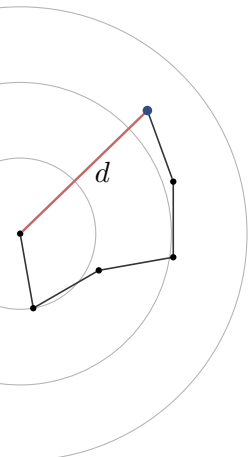
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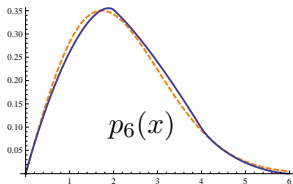
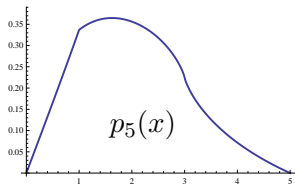
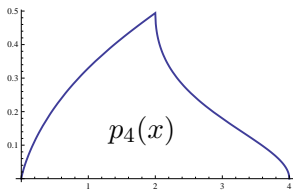
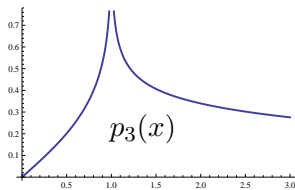
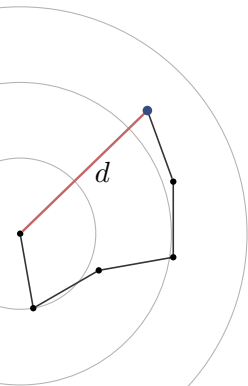
Personal encounter in the wild I: Random walks

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Personal encounter in the wild I: Random walks

- n steps in the plane (length 1, random direction)
- $p_n(x)$: probability density of distance traveled



- The probability moments

$$W_n(s) = \int_0^\infty x^s p_n(x) dx$$

include the Apéry-like numbers

$$W_3(2k) = \sum_{j=0}^k \binom{k}{j}^2 \binom{2j}{j},$$

$$W_4(2k) = \sum_{j=0}^k \binom{k}{j}^2 \binom{2j}{j} \binom{2(k-j)}{k-j}.$$

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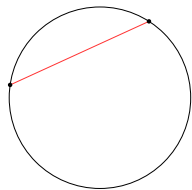
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$$W_n(2k) = \sum_{a_1 + \dots + a_n = k} \binom{k}{a_1, \dots, a_n}^2$$

Personal encounter in the wild I: Random walks

- In particular, $W_2(2k) = \binom{2k}{k}$.
- The average distance traveled in two steps is

$$W_2(1) = \binom{1}{1/2} = \frac{4}{\pi}.$$



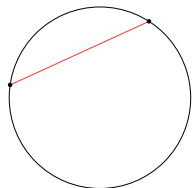
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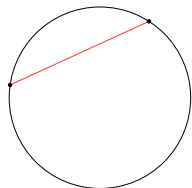
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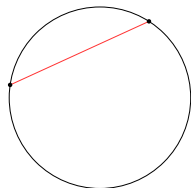
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$${}_3F_2 \left(\begin{matrix} \frac{1}{2}, -\frac{1}{2}, -\frac{1}{2} \\ 1, 1 \end{matrix} \middle| 4 \right) \approx 1.574597238 - 0.126026522i$$

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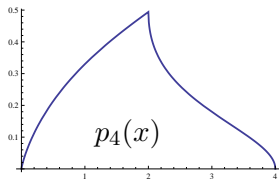
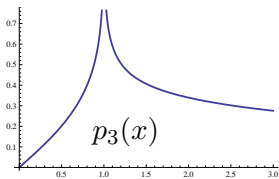
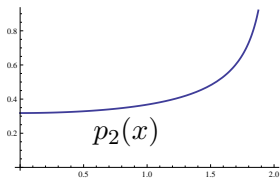
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THM
Borwein-
Nuyens-
S-Wan,
2010

$$\begin{aligned} W_3(1) &= \frac{3}{16} \frac{2^{1/3}}{\pi^4} \Gamma^6 \left(\frac{1}{3} \right) + \frac{27}{4} \frac{2^{2/3}}{\pi^4} \Gamma^6 \left(\frac{2}{3} \right) \\ &= 1.57459723755189\dots \end{aligned}$$

Personal encounter in the wild I: Random walks



$$p_2(x) = \frac{2}{\pi\sqrt{4-x^2}}$$

easy

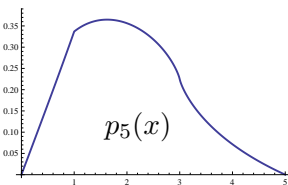
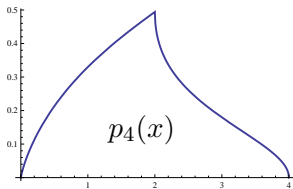
$$p_3(x) = \frac{2\sqrt{3}}{\pi} \frac{x}{(3+x^2)} {}_2F_1\left(\frac{1}{3}, \frac{2}{3} \middle| \frac{x^2(9-x^2)^2}{(3+x^2)^3}\right)$$

classical
with a spin

$$p_4(x) = \frac{2}{\pi^2} \frac{\sqrt{16-x^2}}{x} \operatorname{Re} {}_3F_2\left(\frac{1}{2}, \frac{1}{2}, \frac{1}{2} \middle| \frac{(16-x^2)^3}{108x^4}\right)$$

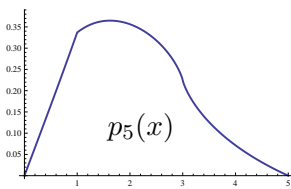
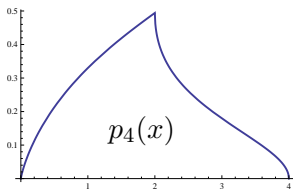
new
BSWZ 2011

Personal encounter in the wild I: Random walks



$$\begin{aligned} p_5'(0) &= p_4(1) \\ &\approx 0.32993 \end{aligned}$$

Personal encounter in the wild I: Random walks



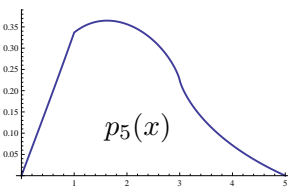
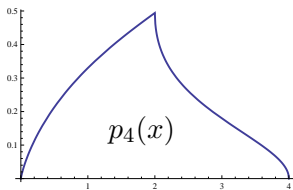
$$p_5'(0) = p_4(1) \approx 0.32993$$

THM
Borwein-
S-Wan-
Zudilin
2011

For $\tau = -1/2 + iy$ and $y > 0$:

$$p_4 \left(\underbrace{8i \left(\frac{\eta(2\tau)\eta(6\tau)}{\eta(\tau)\eta(3\tau)} \right)^3}_{\text{modular function}} \right) = \frac{6(2\tau + 1)}{\pi} \underbrace{\eta(\tau)\eta(2\tau)\eta(3\tau)\eta(6\tau)}_{\text{modular form}}$$

Personal encounter in the wild I: Random walks



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THM
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- When $\tau = -\frac{1}{2} + \frac{1}{6}\sqrt{-15}$, one obtains $p_4(1)$ as an eta-product.
- Modular equations and Chowla–Selberg lead to:

$$p_4(1) = \frac{\sqrt{5}}{40\pi^4} \Gamma\left(\frac{1}{15}\right)\Gamma\left(\frac{2}{15}\right)\Gamma\left(\frac{4}{15}\right)\Gamma\left(\frac{8}{15}\right) \approx 0.32993$$

EXAMPLE II

Binomial congruences

$$\binom{2p-1}{p-1} \equiv 1 \pmod{p^3}$$

Personal encounter in the wild II: Binomial congruences

John Wilson (1773, Lagrange): $(p-1)! \equiv -1 \pmod{p}$



Charles Babbage (1819): $\binom{2p-1}{p-1} \equiv 1 \pmod{p^2}$



Joseph Wolstenholme (1862): $\binom{2p-1}{p-1} \equiv 1 \pmod{p^3}$



James W.L. Glaisher (1900): $\binom{mp-1}{p-1} \equiv 1 \pmod{p^3}$



Wilhelm Ljunggren (1952): $\binom{ap}{bp} \equiv \binom{a}{b} \pmod{p^3}$



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THM
Clark,
Andrews
'95-'99

$$\binom{ap}{bp}_q \equiv \binom{a}{b}_{q^{p^2}}, \quad \binom{ap}{bp}_q \equiv q^{(a-b)b\binom{p}{2}} \binom{a}{b}_{q^p} \pmod{[p]_q^2}$$

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THM
S 2011
 $p \geq 5$

$$\binom{ap}{bp}_q \equiv \binom{a}{b}_{q^{p^2}} - \binom{a}{b+1} \binom{b+1}{2} \frac{p^2-1}{12} (q^p-1)^2 \pmod{[p]_q^3}$$

- Wolstenholme's congruence is the $m = 1$ case of:

The sequence $A(n) = \binom{2n}{n}$ satisfies the **supercongruence** $(p \geq 5)$

$$A(mp) \equiv A(m) \pmod{p^3}.$$

Personal encounter in the wild II: Binomial congruences

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Conjecturally, this extends to all Apéry-like numbers.

Osburn, Sahu '09

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Osburn, Sahu '09

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Osburn, Sahu '09

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Q

How does the q -side of supercongruences for Apéry-like numbers look like?

EXAMPLE III

Ramanujan-type series for $1/\pi$

$$\frac{2}{\pi} = 1 - 5 \left(\frac{1}{2}\right)^3 + 9 \left(\frac{1.3}{2.4}\right)^3 - 13 \left(\frac{1.3.5}{2.4.6}\right)^3 + \dots$$

$$\frac{4}{\pi} = 1 + \frac{7}{4} \left(\frac{1}{2}\right)^3 + \frac{13}{4^2} \left(\frac{1.3}{2.4}\right)^3 + \frac{19}{4^3} \left(\frac{1.3.5}{2.4.6}\right)^3 + \dots$$

$$= \sum_{n=0}^{\infty} \frac{(1/2)_n^3}{n!^3} (6n+1) \frac{1}{4^n}$$

$$\frac{8}{\pi} = \sum_{n=0}^{\infty} \frac{(1/2)_n^3}{n!^3} (42n+5) \frac{1}{2^{6n}}$$



- Starred in High School Musical, a 2006 Disney production



Srinivasa Ramanujan

Modular equations and approximations to π
Quart. J. Math., Vol. 45, p. 350–372, 1914

$$\frac{4}{\pi} = 1 + \frac{7}{4} \left(\frac{1}{2}\right)^3 + \frac{13}{4^2} \left(\frac{1.3}{2.4}\right)^3 + \frac{19}{4^3} \left(\frac{1.3.5}{2.4.6}\right)^3 + \dots$$

$$= \sum_{n=0}^{\infty} \frac{(1/2)_n^3}{n!^3} (6n+1) \frac{1}{4^n}$$

$$\frac{16}{\pi} = \sum_{n=0}^{\infty} \frac{(1/2)_n^3}{n!^3} (42n+5) \frac{1}{2^{6n}}$$



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Modular equations and approximations to π
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EG
Gosper
1985

$$\frac{1}{\pi} = \frac{2\sqrt{2}}{9801} \sum_{n=0}^{\infty} \frac{(4n)!}{n!^4} \frac{1103 + 26390n}{396^{4n}}$$

EG
Chud-
novsky's
1988

$$\frac{1}{\pi} = 12 \sum_{n=0}^{\infty} \frac{(-1)^n (6n)!}{(3n)! n!^3} \frac{13591409 + 545140134n}{640320^{3n+3/2}}$$

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- The following series was conjectured by Sun.

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Rogers-S
2012

$$\frac{520}{\pi} = \sum_{n=0}^{\infty} \frac{1054n + 233}{480^n} \binom{2n}{n} \sum_{k=0}^n \binom{n}{k}^2 \binom{2k}{n} (-1)^k 8^{2k-n}$$

- By the first Strehl identity, $\sum_{k=0}^n \binom{n}{k}^2 \binom{2k}{n} = \sum_{k=0}^n \binom{n}{k}^3$.

- Suppose we have a sequence a_n with **modular parametrization**

$$\sum_{n=0}^{\infty} a_n \underbrace{x(\tau)^n}_{\text{modular function}} = \underbrace{f(\tau)}_{\text{modular form}} .$$

- Then

$$\sum_{n=0}^{\infty} a_n (A + Bn) x(\tau)^n = Af(\tau) + B \frac{x(\tau)}{x'(\tau)} f'(\tau).$$

$$\sum_{n=0}^{\infty} \frac{(1/2)_n^3}{n!^3} (42n + 5) \frac{1}{2^{6n}} = \frac{16}{\pi}$$

- Suppose we have a sequence a_n with **modular parametrization**

$$\sum_{n=0}^{\infty} a_n \underbrace{x(\tau)^n}_{\text{modular function}} = \underbrace{f(\tau)}_{\text{modular form}} .$$

- Then

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FACT

- For $\tau \in \mathbb{Q}(\sqrt{-d})$, $x(\tau)$ is an algebraic number.
- $f'(\tau)$ is a **quasimodular** form.
- The prototypical $E_2(\tau)$ satisfies

$$\tau^{-2} E_2(-1/\tau) - E_2(\tau) = \frac{6}{\pi i \tau}.$$

- These are the main ingredients for series for $1/\pi$. Mix and stir.

EXAMPLE IV

Positivity of rational functions

$$\frac{1}{1 - (x + y + z + w) + 2(yzw + xzw + xyw + xyz) + 4xyzw}$$

Personal encounter in the wild IV: Positivity

- A rational function

$$F(x_1, \dots, x_d) = \sum_{n_1, \dots, n_d \geq 0} a_{n_1, \dots, n_d} x_1^{n_1} \cdots x_d^{n_d}$$

is **positive** if $a_{n_1, \dots, n_d} > 0$ for all indices.

EG The Askey–Gasper rational function $A(x, y, z)$ and the Szegő rational function $S(x, y, z)$ are positive.

$$A(x, y, z) = \frac{1}{1 - (x + y + z) + 4xy}$$

$$S(x, y, z) = \frac{1}{1 - (x + y + z) + \frac{3}{4}(xy + yz + zx)}$$

- Both functions are on the boundary of positivity.

- WZ shows that the diagonal terms a_n of $A(x, y, z)$ satisfy

$$(n + 1)^2 a_{n+1} = (7n^2 + 7n + 2)a_n + 8n^2 a_{n-1}.$$

This proves that they equal the **Franel numbers**

$$a_n = \sum_{k=0}^n \binom{n}{k}^3.$$

- Using the modular parametrization of the associated Calabi–Yau differential equation, we have

$$\sum_{n=0}^{\infty} a_n z^n = \frac{1}{1-2z} {}_2F_1 \left(\frac{1}{3}, \frac{2}{3} \middle| \frac{27z^2}{(1-2z)^3} \right).$$

- The Kauers–Zeilberger rational function

$$\frac{1}{1 - (x + y + z + w) + 2(yzw + xzw + xyw + xyz) + 4xyzw}$$

is conjectured to be positive.

- Its positivity implies the positivity of the Askey–Gasper function

$$\frac{1}{1 - (x + y + z + w) + \frac{2}{3}(xy + xz + xw + yz + yw + zw)}.$$

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2013

The Kauers–Zeilberger function has diagonal coefficients

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

- Under what condition(s) is the positivity of a rational function

$$h(x_1, \dots, x_d) = \frac{1}{\sum_{k=0}^d c_k e_k(x_1, \dots, x_d)}$$

implied by the positivity of its diagonal?

- Is the positivity of $h(x_1, \dots, x_{d-1}, 0)$ a sufficient condition?

EG $\frac{1}{1+x+y}$ has positive diagonal coefficients but is not positive.

Personal encounter in the wild IV: Positivity

- Under what condition(s) is the positivity of a rational function

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$$h(x, y) = \frac{1}{1 + c_1(x + y) + c_2xy}$$

is positive iff $h(x, 0)$ and the diagonal of $h(x, y)$ are positive.

OUTLOOK

Very recent results on Apéry numbers

$$A(n) = \sum_{k=0}^n \binom{n}{k}^2 \binom{n+k}{k}^2$$

1, 5, 73, 1445, 33001, 819005, 21460825, ...

Apéry numbers as diagonals

- Given a series

$$F(x_1, \dots, x_d) = \sum_{n_1, \dots, n_d \geq 0} a(n_1, \dots, n_d) x_1^{n_1} \cdots x_d^{n_d},$$

its **diagonal coefficients** are the coefficients $a(n, \dots, n)$.

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The Apéry numbers are the diagonal coefficients of

$$\frac{1}{(1 - x_1 - x_2)(1 - x_3 - x_4) - x_1 x_2 x_3 x_4}.$$

Apéry numbers as diagonals

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The Apéry numbers are the diagonal coefficients of

$$\frac{1}{(1 - x_1 - x_2)(1 - x_3 - x_4) - x_1 x_2 x_3 x_4}.$$

- Previously known: they are also the diagonal of

$$\frac{1}{(1 - x_1) [(1 - x_2)(1 - x_3)(1 - x_4)(1 - x_5) - x_1 x_2 x_3]}.$$

- Such identities are routine to prove, but much harder to discover.

- Denote with $A(\mathbf{n}) = A(n_1, n_2, n_3, n_4)$ the coefficients of

$$\frac{1}{(1 - x_1 - x_2)(1 - x_3 - x_4) - x_1x_2x_3x_4}.$$

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Let $\mathbf{n} = (n_1, n_2, n_3, n_4) \in \mathbb{Z}_{\geq 0}^4$. For primes $p \geq 5$,

$$A(\mathbf{np}^r) \equiv A(\mathbf{np}^{r-1}) \pmod{p^{3r}}.$$

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Let $\mathbf{n} = (n_1, n_2, n_3, n_4) \in \mathbb{Z}_{\geq 0}^4$. For primes $p \geq 5$,

$$A(\mathbf{np}^r) \equiv A(\mathbf{np}^{r-1}) \pmod{p^{3r}}.$$

- Note that if

$$\sum_{n \geq 0} a(n)x^n = F(x),$$

$$\zeta_p = e^{2\pi i/p}$$

then

$$\sum_{n \geq 0} a(\mathbf{pn})x^{\mathbf{pn}} = \frac{1}{p} \sum_{k=0}^{p-1} F(\zeta_p^k x).$$

Just some of the many open problems

- Supercongruences for all Apéry-like numbers
 - proof for all of them
 - uniform explanation
 - multivariable extensions
- Apéry-like numbers as diagonals
 - find minimal rational functions
 - extend supercongruences
 - any structure?
- Many further questions remain.
 - is the known list complete?
 - higher-order analogs, Calabi–Yau DEs
 - reason for modularity
 - q -analog
 - ...

THANK YOU!

Slides for this talk will be available from my website:
<http://arminstraub.com/talks>



A. Straub, W. Zudilin

Positivity of rational functions and their diagonals
Preprint, 2013



M. Rogers, A. Straub

A solution of Sun's \$520 challenge concerning $520/\pi$
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A. Straub

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