

# Plane Partitions and the Localization Method

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# Partitions

## Definition

For any  $n \in \mathbb{Z}_{\geq 0}$ , a partition of  $n$  is a representation of  $n$  as a sum of other natural numbers, called parts. The number of partitions of a given  $n$  is denoted  $p(n)$ .

For example,  $p(4) = 5$ :

- 4
- 3 + 1
- 2 + 2
- 2 + 1 + 1
- 1 + 1 + 1 + 1

# Partitions

$$\sum_{n=0}^{\infty} p(n)q^n = \prod_{m=1}^{\infty} \frac{1}{1-q^m}.$$

# Ramanujan's Congruences

## Theorem

$$\sum_{n=0}^{\infty} p(5n+4)q^n = 5 \cdot \prod_{m=1}^{\infty} \frac{(1-q^{5m})^5}{(1-q^m)^6}.$$

Notice that

$$p(5n+4) \equiv 0 \pmod{5}.$$

## Ramanujan's Congruences

## Theorem

$$\begin{aligned}
& \sum_{n=0}^{\infty} p(25n + 24)q^n \\
&= 5^{12} \cdot q^4 \prod_{m=1}^{\infty} \frac{(1 - q^{5m})^{30}}{(1 - q^m)^{31}} + 5^{10} \cdot 6 \cdot q^3 \prod_{m=1}^{\infty} \frac{(1 - q^{5m})^{24}}{(1 - q^m)^{25}} \\
&+ 5^7 \cdot 63 \cdot q^2 \prod_{m=1}^{\infty} \frac{(1 - q^{5m})^{18}}{(1 - q^m)^{19}} + 5^5 \cdot 52 \cdot q \prod_{m=1}^{\infty} \frac{(1 - q^{5m})^{12}}{(1 - q^m)^{13}} \\
&+ 5^2 \cdot 63 \cdot \prod_{m=1}^{\infty} \frac{(1 - q^{5m})^6}{(1 - q^m)^7}.
\end{aligned}$$

Notice that  $p(25n + 24) \equiv 0 \pmod{25}$ .

# Ramanujan's Congruences

## Theorem

Let  $n, \alpha \in \mathbb{Z}_{\geq 0}$ , and  $\lambda_\alpha \in \mathbb{Z}$  such that  $24\lambda_\alpha \equiv 1 \pmod{5^\alpha}$ . Then

$$p(5^\alpha n + \lambda_\alpha) \equiv 0 \pmod{5^\alpha}.$$

- $p(5n + 4) \equiv 0 \pmod{5}$ .
- $p(25n + 24) \equiv 0 \pmod{25}$ .
- $p(125n + 99) \equiv 0 \pmod{125}$ .

$d_2(n)$ 

Let  $q = e^{2\pi i\tau}$ , with  $\tau \in \mathbb{H}$ . Define  $D_2(q)$  by

$$D_2(q) := \sum_{n=0}^{\infty} d_2(n)q^n = \prod_{m=1}^{\infty} \frac{(1 - q^{2m})^2}{(1 - q^m)^7}.$$

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Conjecture (G.E. Andrews, P. Paule)

Let  $n, \alpha \in \mathbb{Z}_{\geq 0}$ , and  $\lambda_\alpha \in \mathbb{Z}$  such that  $8\lambda_\alpha \equiv 1 \pmod{3^\alpha}$ . Then

$$d_2(3^\alpha n + \lambda_\alpha) \equiv 0 \pmod{3^\alpha}.$$

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*“... the Conjectures... seem to be particularly challenging, especially the infinite family of Ramanujan type congruences.”*

# Congruences on $d_2(n)$

## Theorem (Me)

Let  $n, \alpha \in \mathbb{Z}_{\geq 0}$ , and  $\lambda_\alpha \in \mathbb{Z}$  such that  $8\lambda_\alpha \equiv 1 \pmod{3^\alpha}$ . Then

$$d_2(3^{2\alpha-1}n + \lambda_{2\alpha-1}) \equiv 0 \pmod{3^{2\alpha-1}},$$

$$d_2(3^{2\alpha}n + \lambda_{2\alpha}) \equiv 0 \pmod{3^{2\alpha+1}}.$$

## Setup

Define

$$L_1 := 1,$$

$$L_{2\alpha-1}(\tau) := \frac{(q^3; q^3)_\infty^7}{(q^6; q^6)_\infty^2} \cdot \sum_{n=0}^{\infty} d_2(3^{2\alpha-1}n + \lambda_{2\alpha-1})q^{n+1},$$

$$L_{2\alpha}(\tau) := \frac{(q; q)_\infty^7}{(q^2; q^2)_\infty^2} \cdot \sum_{n=0}^{\infty} d_2(3^{2\alpha}n + \lambda_{2\alpha})q^{n+1}.$$

## Theorem

For all  $\alpha \in \mathbb{Z}_{\geq 1}$ ,  $L_\alpha \in \mathcal{M}(\Gamma_0(6))$ .

# Setup

Define

$$\mathcal{A}(q) := q \frac{D_2(q)}{D_2(q^9)},$$

$$U_\ell \left( \sum_{n \geq N} a(n) q^n \right) := \sum_{\ell n \geq N} a(\ell n) q^n.$$

$$U^{(0)}(f) := U_3(\mathcal{A} \cdot f),$$

$$U^{(1)}(f) := U_3(f).$$

# Setup

$$L_1 = 1,$$

$$L_{2\alpha-1}(\tau) = \frac{(q^3; q^3)_\infty^7}{(q^6; q^6)_\infty^2} \cdot \sum_{n=0}^{\infty} d_2(3^{2\alpha-1}n + \lambda_{2\alpha-1})q^{n+1},$$

$$L_{2\alpha}(\tau) = \frac{(q; q)_\infty^7}{(q^2; q^2)_\infty^2} \cdot \sum_{n=0}^{\infty} d_2(3^{2\alpha}n + \lambda_{2\alpha})q^{n+1}.$$

## Lemma

$$L_{2\alpha} = U^{(1)}(L_{2\alpha-1}),$$

$$L_{2\alpha+1} = U^{(0)}(L_{2\alpha}).$$

# Genus

- The congruence family is associated with the congruence subgroup  $\Gamma_0(6)$ , and the compact Riemann surface  $X_0(6)$ .
- Each  $L_\alpha$  is a modular function for  $\Gamma_0(6)$ .

$$g(X_0(6)) = 0.$$

## Lemma

The space of modular functions for  $\Gamma_0(6)$  with a pole only at the cusp  $[0]_6$  has the form  $\mathbb{C}[x]$  for a function  $x$ .



# What We Want

For some modular function  $z \in \mathcal{M}^0(\Gamma_0(6))$ ,

$$z^{n(\alpha)} \cdot L_\alpha \in \mathcal{M}^0(\Gamma_0(6)) = \mathbb{C}[x],$$

with  $n(\alpha)$  some integer-valued function of  $\alpha$ .

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$$z = \frac{(q^2; q^2)_\infty (q^3; q^3)_\infty^3}{(q; q)_\infty^9 (q^6; q^6)_\infty^3}, \quad x = q \frac{(q^2; q^2)_\infty (q^6; q^6)_\infty^5}{(q; q)_\infty^5 (q^3; q^3)_\infty}.$$

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This suggests that

$$L_\alpha \in \mathbb{Z}[x]_{\mathcal{S}},$$

$$\mathcal{S} := \{(1 + 9x)^n : n \geq 0\}.$$

# Example

To begin with, examine  $L_1$ .

$$L_1 = \frac{(q^3; q^3)_\infty^7}{(q^6; q^6)_\infty^2} \cdot \sum_{n=0}^{\infty} d_2(3n+2)q^{n+1}.$$

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$$L_1 = \frac{1}{1+9x} \cdot (33x + 1392x^2 + 21120x^3 + 138240x^4 + 331776x^5).$$



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Similar identities hold for  $L_2, L_3$ .

# Main Theorem

## Theorem (Me)

Let  $\alpha \geq 1$  and

$$\psi := \left\lfloor \frac{3^{\alpha+1}}{8} \right\rfloor \text{ and } \beta := 2 \lfloor \alpha/2 \rfloor + 1.$$

Then

$$\frac{(1+9x)^\psi}{3^\beta} L_\alpha \in \mathbb{Z}[x], \text{ for all } \alpha \geq 1.$$

$L_\alpha$

$$L_1 = \frac{1}{1+9x} \cdot (33x + 1392x^2 + 21120x^3 + 138240x^4 + 331776x^5).$$

We will prove that

$$\frac{1}{3^\alpha} \cdot L_\alpha = \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot \frac{x^m}{(1+9x)^n},$$

with  $n \in \mathbb{Z}_{\geq 1}$  fixed,  $s, \theta$  integer-valued functions, and  $s$  discrete.

# $U$ Operator

$$\frac{1}{3^\alpha} \cdot L_\alpha = \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot \frac{x^m}{(1+9x)^n},$$

We study

$$U^{(i)} \left( \frac{x^m}{(1+9x)^n} \right).$$

# General Relation

## Theorem

There exist discrete arrays  $h_1, h_0 : \mathbb{Z}^3 \rightarrow \mathbb{Z}$  and functions  $\pi_i : \mathbb{Z}_{\geq 1}^2 \rightarrow \mathbb{Z}_{\geq 0}$  such that

$$\begin{aligned}
 U^{(1)} \left( \frac{x^m}{(1+9x)^n} \right) &= \frac{1}{(1+9x)^{3n}} \sum_{r \geq \lceil m/3 \rceil} h_1(m, n, r) \cdot 3^{\pi_1(m, r)} \cdot x^r,
 \end{aligned}$$

$$\begin{aligned}
 U^{(0)} \left( \frac{y^m}{(1+9x)^n} \right) &= \frac{1}{(1+9x)^{3n+1}} \sum_{r \geq \lceil (m+1)/3 \rceil} h_0(m, n, r) \cdot 3^{\pi_0(m, r)} \cdot x^r.
 \end{aligned}$$

# General Relation

$$\pi_0(m, r) := \max \left( 0, \left\lfloor \frac{3r - m}{4} \right\rfloor - 1 \right),$$

$$\pi_1(m, r) := \begin{cases} 0, & 1 \leq m \leq 3 \text{ and } r = 1, \\ \left\lfloor \frac{3r+1}{4} \right\rfloor, & 1 \leq m \leq 3 \text{ and } r \geq 2, \\ \max \left( 0, \left\lfloor \frac{3r-m+1}{4} \right\rfloor \right), & m \geq 4 \end{cases}$$

# Proof Strategy

$$\mathcal{V}_n := \left\{ \frac{1}{(1+9x)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m : s \text{ is discreet} \right\}.$$

$$\theta(m) := \begin{cases} 0, & 1 \leq m \leq 3, \\ 2, & 4 \leq m \leq 6, \\ \lfloor \frac{3m-3}{4} \rfloor - 1, & m \geq 7, \end{cases}$$

# Proof Strategy

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Show that  $\frac{1}{3}L_1 \in \mathcal{V}_1$ ,

Show that for any  $f \in \mathcal{V}_n$ ,  $\frac{1}{9}U^{(1)}(f) \in \mathcal{V}_{3n}$ ,

Show that for any  $f \in \mathcal{V}_n$ ,  $U^{(0)}(f) \in \mathcal{V}_{3n+1}$ .



## Even-to-Odd Index

Let  $f \in \mathcal{V}_n$ . Then

$$\begin{aligned}
 U^{(0)}(f) &= U^{(0)} \left( \frac{1}{(1+9x)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m \right) \\
 &= \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot U^{(0)} \left( \frac{x^m}{(1+9x)^n} \right) \\
 &= \frac{1}{(1+9x)^{3n+1}} \sum_{m \geq 1} \sum_{r \geq \lceil (m+1)/3 \rceil} s(m) \cdot h_0(m, n, r) \cdot 3^{\theta(m) + \pi_0(m, r)} \cdot x^r \\
 &= \frac{1}{(1+9x)^{3n+1}} \sum_{r \geq 1} \sum_{m \geq 1} s(m) \cdot h_0(m, n, r) \cdot 3^{\theta(m) + \pi_0(m, r)} \cdot x^r
 \end{aligned}$$

We want to show that

$$\begin{aligned}
 \theta(m) + \pi_0(m, r) &\geq \theta(r) \text{ for all } r \geq 1, \\
 \text{so that } U^{(0)}(f) &\in \mathcal{V}_{3n+1}.
 \end{aligned}$$

## Odd-to-Even Index

Let  $f \in \mathcal{V}_n$ . Then

$$\begin{aligned}
 U^{(1)}(f) &= U^{(1)} \left( \frac{1}{(1+9x)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m \right) \\
 &= \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot U^{(1)} \left( \frac{y^m}{(1+9x)^n} \right) \\
 &= \frac{1}{(1+9x)^{3n}} \sum_{m \geq 1} \sum_{r \geq \lceil m/3 \rceil} s(m) \cdot h_1(m, n, r) \cdot 3^{\theta(m) + \pi_1(m, r)} \cdot x^r \\
 &= \frac{1}{(1+9x)^{3n}} \sum_{r \geq 1} \sum_{m \geq 1} s(m) \cdot h_1(m, n, r) \cdot 3^{\theta(m) + \pi_1(m, r)} \cdot x^r
 \end{aligned}$$

We want to show that

$$\theta(m) + \pi_1(m, r) \geq \theta(r) + 2 \text{ for all } r \geq 1,$$

$$\text{so that } \frac{1}{9} U^{(1)}(f) \in \mathcal{V}_{3n}.$$

## 3-adic Irregularity

We are going to prove that

$$\theta(m) + \pi_0(m, r) \geq \theta(r) \text{ for all } r \geq 1,$$

$$\theta(m) + \pi_1(m, r) \geq \theta(r) + 2 \text{ for all } r \geq 1.$$

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No we aren't.

$$\theta(m) + \pi_0(m, r) \geq \theta(r) \text{ for all } r \geq 1 \text{ is true.}$$

$$\theta(m) + \pi_1(m, r) \geq \theta(r) + 2, \text{ on the other hand...}$$

## 3-adic Irregularity

Let  $f \in \mathcal{V}_n$ . Then

$$\begin{aligned}
 U^{(1)}(f) &= U^{(1)} \left( \frac{1}{(1+9y)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m \right) \\
 &= \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot U^{(1)} \left( \frac{x^m}{(1+9x)^n} \right) \\
 &= \frac{1}{(1+9x)^{3n}} \sum_{m \geq 1} \sum_{r \geq \lceil m/3 \rceil} s(m) \cdot h_1(m, n, r) \cdot 3^{\theta(m) + \pi_1(m, r)} \cdot x^r \\
 &= \frac{1}{(1+9x)^{3n}} \sum_{r \geq 1} \sum_{m \geq 1} s(m) \cdot h_1(m, n, r) \cdot 3^{\theta(m) + \pi_1(m, r)} \cdot x^r
 \end{aligned}$$

The coefficient of  $\frac{x^1}{(1+9x)^{3n}}$  is

$$\sum_{m=1}^3 s(m) \cdot h_1(m, n, 1) \cdot 3^{\theta(m) + \pi_1(m, 1)}.$$

## 3-adic Irregularity

The coefficient of  $\frac{x^1}{(1+9x)^{3n}}$  has the form

$$\begin{aligned}
 &= \sum_{m=1}^3 s(m) \cdot h_1(m, n, 1) \cdot 3^{\theta(m)+\pi_1(m,1)} \\
 &= s(1) \cdot h_1(1, n, 1) + s(2) \cdot h_1(2, n, 1) + s(3) \cdot h_1(3, n, 1).
 \end{aligned}$$

# 3-adic Irregularity

## Theorem

For all  $m, n, r \in \mathbb{Z}_{\geq 1}$  with  $1 \leq m \leq 3r$  and  $1 \leq r \leq 5$  we have:

$$\begin{aligned} h_0(m, 3n, r) &\equiv h_0(m, 3, r) \pmod{9}, \\ h_1(m, 3n + 1, r) &\equiv h_1(m, 1, r) \pmod{9}. \end{aligned}$$

In particular, for  $m = 1, 2, 3$ ,

$$h_1(m, 3n + 1, 1) \equiv 1 \pmod{9}.$$



## 3-adic Irregularity

Our coefficient of  $\frac{x^1}{(1+9x)^{3n}}$  for  $U^{(1)}(f)$  is

$$\sum_{m=1}^3 s(m) \cdot h_1(m, n, 1) \pmod{9}$$

$$\equiv \sum_{m=1}^3 s(m) \pmod{9}.$$

## 3-adic Irregularity

Our coefficient of  $\frac{x^1}{(1+9x)^{3n}}$  for  $U^{(1)}(f)$  is

$$\sum_{m=1}^3 s(m) \cdot h_1(m, n, 1) \pmod{9}$$

$$\equiv \sum_{m=1}^3 s(m) \pmod{9}.$$

Examine  $L_1$ :

$$\frac{1}{3}L_1 = \frac{1}{1+9x} \cdot (11x + 464x^2 + 7040x^3 + 46080x^4 + 110592x^5).$$

Notice that  $11 + 464 + 7040 = 9 \cdot 835$ .

# 3-adic Irregularity

## Definition

$$\mathcal{V}_n^{(1)} := \left\{ \frac{1}{(1+9x)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m : \sum_{m=1}^3 s(m) \equiv 0 \pmod{9} \right\},$$

$$\mathcal{V}_n^{(0)} := \left\{ \frac{1}{(1+9x)^n} \sum_{m \geq 1} s(m) \cdot 3^{\theta(m)} \cdot x^m \right\}.$$

Here  $s$  again represents a discrete integer-valued function.

# Resolving 3-adic Irregularity

## Theorem

Suppose  $f \in \mathcal{V}_n^{(1)}$ . Then

$$\frac{1}{9} \cdot U^{(1)}(f) \in \mathcal{V}_{3n},$$

$$\frac{1}{9} \cdot U^{(0)} \circ U^{(1)}(f) \in \mathcal{V}_{9n+1}.$$

# Sketch

Let  $f \in \mathcal{V}_n^{(1)}$ . Then

$$\frac{1}{9} \cdot \left( U^{(0)} \circ U^{(1)}(f) \right) = \frac{1}{(1+9x)^{9n+1}} \sum_{w \geq 1} t(w) \cdot 3^{\theta(w)} x^w,$$

$$t(w) = \sum_{r=1}^{3w-1} \sum_{m=1}^{3r} s(m) \cdot h_1(m, n, r) \cdot h_0(r, 3n, w) \\ \times 3^{\theta(m) + \pi_1(m, r) + \pi_0(r, w) - \theta(w) - 2}.$$

# Sketch

$$t(1) = \sum_{r=1}^2 \sum_{m=1}^{3r} s(m) \cdot h_1(m, n, r) \cdot h_0(r, 3n, 1) \cdot 3^{\lambda(m,r,1)},$$

$$t(2) = \sum_{r=1}^5 \sum_{m=1}^{3r} s(m) \cdot h_1(m, n, r) \cdot h_0(r, 3n, 2) \cdot 3^{\lambda(m,r,2)},$$

$$t(3) = \sum_{r=1}^8 \sum_{m=1}^{3r} s(m) \cdot h_1(m, n, r) \cdot h_0(r, 3n, 3) \cdot 3^{\lambda(m,r,3)},$$

$$\lambda(m, r, w) := \theta(m) + \pi_1(m, r) + \pi_0(r, w) - 2.$$

We want to show that  $t(1), t(2), t(3) \in \mathbb{Z}$ , and that  $t(1) + t(2) + t(3) \equiv 0 \pmod{9}$ .

# Sketch

$$t(1) + t(2) + t(3) \equiv 6 \cdot s(1) + 6 \cdot s(2) + 6 \cdot s(3) \pmod{9}.$$

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# Proof of our Strong Result

## Proof (I)

$$\frac{1}{3} \cdot L_1 \in \mathcal{V}_1^{(1)}.$$

Suppose that for some  $\alpha \in \mathbb{Z}_{\geq 1}$ , there exists some  $n \in \mathbb{Z}_{\geq 1}$  such that

$$\frac{1}{3^{2\alpha-1}} \cdot L_{2\alpha-1} \in \mathcal{V}_n^{(1)}. \text{ Then}$$

$$L_{2\alpha-1} = 3^{2\alpha-1} \cdot f_{2\alpha-1}, \text{ for } f_{2\alpha-1} \in \mathcal{V}_n^{(1)}. \text{ Now,}$$

$$L_{2\alpha} = U_3(L_{2\alpha-1}) = U_3(3^{2\alpha-1} \cdot f_{2\alpha-1}) = 3^{2\alpha-1} \cdot U^{(1)}(f_{2\alpha-1}).$$

There exists some  $f_{2\alpha} \in \mathcal{V}_{3n}^{(0)}$  such that  $U^{(1)}(f_{2\alpha-1}) = 9 \cdot f_{2\alpha}$ . Therefore,

$$L_{2\alpha} = 3^{2\alpha+1} \cdot f_{2\alpha}, \text{ and } \frac{1}{3^{2\alpha+1}} \cdot L_{2\alpha} \in \mathcal{V}_{3n}^{(0)}.$$

# Proof of our Strong Result

## Proof (II)

$$L_{2\alpha+1} = U_3(\mathcal{A} \cdot L_{2\alpha}) = U_3(3^{2\alpha+1} \cdot \mathcal{A} \cdot f_{2\alpha}) = 3^{2\alpha+1} \cdot U^{(0)}(f_{2\alpha}).$$

There exists some  $f_{2\alpha+1} \in \mathcal{V}_{9n+1}^{(1)}$  such that  $U^{(0)}(f_{2\alpha}) = f_{2\alpha+1}$ .  
 Therefore,

$$L_{2\alpha+1} = 3^{2\alpha+1} \cdot f_{2\alpha+1}, \text{ and } \frac{1}{3^{2\alpha+1}} \cdot L_{2\alpha+1} \in \mathcal{V}_{9n+1}^{(1)}.$$

# Proof of our Strong Result

## Proof (III)

$$\psi(\alpha) = \left\lfloor \frac{3^{\alpha+1}}{8} \right\rfloor.$$

Establishing that  $\psi(\alpha)$  give the appropriate indices for  $\mathcal{V}_n^{(1)}, \mathcal{V}_n^{(0)}$  is an elementary exercise in number theory. Prove that

$$\begin{aligned} \psi(1) &= 1, \\ 3\psi(2\alpha - 1) &= \psi(2\alpha), \\ 3\psi(2\alpha) + 1 &= \psi(2\alpha + 1). \end{aligned}$$



# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

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Topological Difficulties:

- The genus

# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

- The genus (Number of necessary “basis” functions)

# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

- The genus (Number of necessary “basis” functions)
- The number of cusps

# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

- The genus (Number of necessary “basis” functions)
- The number of cusps (Resolved with Localization)



# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

- The genus (Number of necessary “basis” functions)
- The number of cusps (Resolved with Localization)

Other Difficulties:

# Complications for Proving Congruence Families by $\ell^\alpha$

Topological Difficulties:

- The genus (Number of necessary “basis” functions)
- The number of cusps (Resolved with Localization)

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- Existence of nontrivial eigenfunctions mod  $\ell$  (Hard)

## Future Work

- Extending methods to arbitrary congruence problems on a genus 0 modular curve.
- (Long-term) Extending methods to congruence problems on a genus 1 modular curve.

## References

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