

Rogers Ramanujan Gordon Identities when $k = 3$

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Outline

- 1 Introduction
- 2 A new series for RRG $k = 3$
- 3 Intuitive Ideas and Examples
- 4 Main Theorem
- 5 Sketch of the Proof
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Definitions

Let n be a natural number. Then, an **integer partition** of n is a sequence $(\lambda_1, \lambda_2, \dots, \lambda_k)$ such that λ_i is a positive integer for all i , $\lambda_1 + \lambda_2 + \dots + \lambda_k = n$. Moreover, $\lambda_1 \geq \lambda_2 \geq \dots \geq \lambda_k \geq 1$. We call each λ_i a **part**. Let $p(n)$ be the number partitions of n . If λ is a partition of n , we denote it by $|\lambda| = n$ and n is called the **size** of λ .

Example

Let $n = 4$. Then, all partitions of 4 can be listed as follows: $4, 3 + 1, 2 + 2, 2 + 1 + 1, 1 + 1 + 1 + 1$. Thus, $p(4) = 5$.

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Usually, we want to consider a certain subset of integer partitions specified by some conditions. Let's look at some examples:

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Let $n = 5$. All partitions of 5 where each part is odd can be listed as: 5 , $3 + 1 + 1$, $1 + 1 + 1 + 1 + 1$.

Example

Similarly, all partitions of 5 where parts are distinct can be listed as: 5 , $4 + 1$ and $3 + 2$.

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Euler's Identity

First partition identity is due to Euler:

Theorem (Euler's Identity)

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Generating Functions

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A **combinatorial class** \mathcal{A} is a countable set on which a *size function* $|\cdot| : \mathcal{A} \rightarrow \mathbb{N}$, is defined, satisfying the following conditions:

- 1 The size of an element is a nonnegative integer
- 2 The number of elements of any given size is finite.

Definition

Let \mathcal{A} be a combinatorial class, the **generating function** for \mathcal{A} is

$$A(q) := \sum_{\alpha \in \mathcal{A}} q^{|\alpha|}$$

For this talk, we see $A(q)$ as a formal object, i.e there is no convergence issues.

Central Idea: To prove a partition identity, show that their generating functions for both sides are the same.

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q -Pochhammer Symbol

Before proving Euler's Identity, let's define q -Pochhammer symbol:

Let $n \geq 0$. Then,

$$(a; q)_n := (1 - a)(1 - aq) \cdots (1 - aq^{n-1}).$$

Also, $(a; q)_0 := 1$.

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Generating Functions for Partitions

Let's look at some generating function examples. Let \mathcal{P} be the combinatorial class which contains all integer partitions.

Example

- ① The generating function for partitions in which each part is at most m :

$$\sum_{\lambda \in \mathcal{P}, \text{ parts in } \{1, 2, \dots, m\}} q^{|\lambda|} = 1 + q + 2q^2 + \dots = \frac{1}{1-q} \frac{1}{1-q^2} \cdots \frac{1}{1-q^m}$$

- ② The generating function for partitions without any restrictions is:

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Proof of Euler's Identity

Let's show that generating function of odd partitions and distinct partitions are the same:

$$\begin{aligned} \sum_{\text{all odd partitions } \lambda} q^{|\lambda|} &= \prod_{n \geq 1}^{\infty} \frac{1}{1 - q^{2n-1}} \\ &= \prod_{n \geq 1} \frac{1 - q^{2n}}{(1 - q^{2n-1})(1 - q^{2n})} \\ &= \prod_{n \geq 1} \frac{1 - q^{2n}}{1 - q^n} = \prod_{n \geq 1} (1 + q^n) \\ &= \sum_{\text{all distinct partitions } \lambda} q^{|\lambda|} \end{aligned} \tag{1}$$

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General View on Euler's Identity

Let's recall Euler's Identity:

Theorem (Euler's Identity)

Let n be a nonnegative integer. Then,

$$p(n | \text{all parts are odd}) = p(n | \text{all parts are distinct})$$

On the left hand side, we have a modulus condition, on the right hand side we have a difference condition.

This is a very general family of partitions as we will see in the following slide.

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Difference Conditions-Modulus Conditions

Let's look at some famous theorems of the form:

$$p(n|\text{difference conditions}) = p(n|\text{modulus conditions})$$

Theorem (Rogers-Ramanujan 1)

Let n be any natural number. Let $A(n)$ be the number of partitions of n into parts such that the consecutive differences between the parts are at least 2. Let $B(n)$ be the number of partitions of n into parts where each part is $\equiv \pm 1 \pmod{5}$. Then, $A(n) = B(n)$ for all n .

Theorem (Rogers-Ramanujan 2)

Let n be any natural number. Let $A(n)$ be the number of partitions of n into parts such that the consecutive differences between the parts are at least 2 and 1 does not appear as a part. Let $B(n)$ be the number of partitions of n into parts where each part is $\equiv \pm 2 \pmod{5}$. Then, $A(n) = B(n)$ for all n .

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Gordon's Generalization

Gordon generalizes Rogers-Ramanujan identities as follows:

Theorem (Rogers-Ramanujan-Gordon, 1961)

Let a and k be natural numbers such that $1 \leq a \leq k$. Then, the number of partitions of n into parts not equivalent to $0, \pm a \pmod{2k+1}$ is equal to the number of partitions of $n = \lambda_1 + \lambda_2 + \cdots + \lambda_m$ where $\lambda_i \geq \lambda_{i+k-1} + 2$ and the number of 1's are at most $a - 1$.

Remark

$(k, a) = (2, 1)$ corresponds to Rogers-Ramanujan 1. Similarly,
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Let a and k be natural numbers such that $1 \leq a \leq k$. Then, the number of partitions of n into parts not equivalent to $0, \pm a \pmod{2k+1}$ is equal to the number of partitions of $n = \lambda_1 + \lambda_2 + \cdots + \lambda_m$ where $\lambda_i \geq \lambda_{i+k-1} + 2$ and the number of 1's are at most $a - 1$.

Remark

$(k, a) = (2, 1)$ corresponds to Rogers-Ramanujan 1. Similarly,
 $(k, a) = (2, 2)$ corresponds to Rogers-Ramanujan 2.

An Example

Example

Let $(k, a) = (3, 2)$, i.e the difference should be at least 2 in distance 2 and we can use at most one 1 as a part, and $n = 7$. Then, on the modulus side we have $6 + 1$, $4 + 3$, $4 + 1 + 1 + 1$, $3 + 3 + 1$, $3 + 1 + 1 + 1 + 1$, $1 + 1 + 1 + 1 + 1 + 1 + 1$. Similarly, on the difference side we have 7 , $6 + 1$, $5 + 2$, $4 + 3$, $4 + 2 + 1$, $3 + 3 + 1$.

Analytic Version of Rogers-Ramanujan-Gordon

Andrews found the corresponding version of Rogers-Ramanujan-Gordon identities:

Theorem (Andrews, 1974)

Let $1 \leq a \leq k$ be integers. Then,

$$\sum_{n_1, n_2, \dots, n_{k-1} \geq 0} \frac{q^{N_1^2 + N_2^2 + \dots + N_{k-1}^2 + N_a + N_{a+1} + \dots + N_{k-1}}{(q; q)_{n_1} (q; q)_{n_2} \cdots (q; q)_{n_{k-1}}} = \prod_{\substack{n=1 \\ n \neq 0, \pm a}}^{\infty} \frac{1}{1 - q^n}$$

where $N_i := n_i + n_{i+1} + \dots + n_{k-1}$.

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where $N_i := n_i + n_{i+1} + \dots + n_{k-1}$.

Notation

Let a, k, m, n be nonnegative integers such that $1 \leq a \leq k$. Then, we define $rrg_{k,a}(m, n)$ as follows: Number of partitions of n into m parts, $\lambda = \lambda_1 + \lambda_2 + \cdots + \lambda_m$ such at most $a - 1$ parts are 1 and the difference at distance k is at least 2, i.e $\lambda_i \geq \lambda_{i+k-1} + 2$.

Andrews-Gordon Series when $k = 3$

If forget about the modulus side of the Andrew-Gordon series, take number of parts into account and specialize for $(k, a) = (3, 3)$, we get:

$$\sum_{m,n \geq 0} rrg_{3,3}(m, n) q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + 2\binom{n+1}{2} - 2m - n} x^{2m+n}}{(q; q)_m (q; q)_n}$$

A New Series for RRG when $k=3$

Our series for RRG $k = 3$ is as follows:

Theorem (YCK, 2023)

1

$$\sum_{n,m \geq 0} rrg_{3,1}(m,n)q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2} + n} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

2

$$\sum_{n,m \geq 0} rrg_{3,2}(m,n)q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2}} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

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Intuitive Ideas

Suppose we are given an evidently positive generating function of the form

$$\sum_{m,n \geq 0} \frac{q^{\text{QUADRATIC} + \text{LINEAR}} x^{\text{LINEAR}}}{(q^B; q^C)_m (q^D; q^E)_n}$$

Then, the numerator corresponds to the *base partition* and the denominator corresponds to the moves on each part. Thus, given a partition which satisfies the properties, we will find the smallest weight partition that satisfies the conditions and using moves construct the given partition.

Given a partition which satisfies the conditions of $rrg_{3,3}$, our aim is to construct it starting from the *base partition* and using *moves* on the parts.

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Examples

Let's look at an example:

$$\lambda = 14 + 14 + 11 + 7 + 7 + 2 + 1.$$

Our aim is to construct a partition triple (β, μ, ν) where β is the base partition, μ is the partition which contains backward moves applied on the pairs of λ and ν is the partition which contains backward moves applied on the singletons.

Side Note: We allow 0 as a part in μ and ν .

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Step 1

Firstly, we divide the parts into two: The ones which repeats(pairs) and the ones which do not repeat(singletons).

$\lambda = [14, 14] + (11) + [7, 7] + (2) + (1)$. Now, we are looking for a partition which contains $m = 2$ pairs and $n = 3$ singletons.

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Step 2

Now, we will answer the following question: What is the smallest weight partition that contains 2 pairs and 3 singletons?

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We want to reach $\beta = (7) + (6) + (5) + [3, 3] + [1, 1]$ from $\lambda = [14, 14] + (11) + [7, 7] + (2) + (1)$.

Firstly, we will obtain $[1, 1]$ using backward moves:

$$\begin{aligned} [14, 14] + (11) + [7, 7] + (2) + (1) &\rightarrow [14, 14] + (11) + [6, 6] + (2) + (1) \\ &\rightarrow [14, 14] + (11) + [5, 5] + (2) + (1) \\ &\rightarrow [14, 14] + (11) + [4, 4] + (2) + (1) \end{aligned}$$

Now, we want to pull back $[4, 4]$ to get $[3, 3]$ however the resulting partition does not satisfy the conditions $rrg_{3,3}$. Thus, we need to do some arrangements on the parts.

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Step3(Continued)

$$[14, 14] + (11) + [4, 4] + (2) + (1) \rightarrow [14, 14] + (11) + (4) + (3) + [1, 1]$$

Now, we obtained $[1, 1]$. Next, we will obtain $[3, 3]$:

$$[14, 14] + (11) + (4) + (3) + [1, 1] \rightarrow [13, 13] + (11) + (4) + (3) + [1, 1]$$

Again, we want to pull $[13, 13]$ back, however it is not possible!
Thus, we will perform a similar arrangements on the parts again.

Step3(Continued)

$$[14, 14] + (11) + [4, 4] + (2) + (1) \rightarrow [14, 14] + (11) + (4) + (3) + \mathbf{[1, 1]}$$

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Still, we are aiming for $[3, 3]$.

$$\begin{aligned} [13, 13] + (11) + (4) + (3) + [1, 1] &\rightarrow (13) + \mathbf{[11, 11]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + \mathbf{[10, 10]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + \mathbf{[9, 9]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + \mathbf{[8, 8]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + \mathbf{[7, 7]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + \mathbf{[6, 6]} + (4) + (3) + [1, 1] \\ &\rightarrow (13) + (6) + (5) + \mathbf{[3, 3]} + [1, 1] \end{aligned}$$

We did obtain $[3, 3]$. We are finished with the pairs. Now, we need to obtain singletons.

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Step 4

Let's store the number of moves we applied on each singleton and each pairs:

We applied 4 backward moves on the pair $[7, 7]$ and 8 backward moves on the pair $[13, 13]$. Thus, $\mu = (8 \times 2, 4 \times 2)$.

Similarly, we applied 0 backward moves on the singleton (1), 0 backward moves on the singleton (2) and 6 backward moves on the singleton (11). Hence, $\nu = (6, 0, 0)$.

As a result, we obtained the following correspondence

$$[14, 14] + (11) + [7, 7] + (2) + (1) \rightarrow (\beta = (7) + (6) + (5) + [3, 3] + [1, 1], \mu = (8 \times 2, 4 \times 2), \nu = (6, 0, 0))$$

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Examples

Now, we want get the other direction of the correspondence, i.e given (β, μ, ν) obtain λ :

Write them below using the above example. Let

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This time we will start with the singletons. First, we will apply the forward moves on the singletons using $\nu = (6, 0, 0)$. In other words, we will apply 6 forward moves on (7) and no other forward moves on (6) and (5).

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Now, we will forward moves on the pairs using $\mu = (8 \times 2, 4 \times 2)$, i.e we will push the pair $[3, 3]$ 8 times and the pair $[1, 1]$ 4 times:

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Step 2(Continued)

Now, we will push the pair $[1, 1]$:

$$\begin{aligned} [14, 14] + (11) + (4) + (3) + [1, 1] &\rightarrow [14, 14] + (11) + [4, 4] + (2) + (1) \\ &\rightarrow [14, 14] + (11) + [5, 5] + (2) + (1) \\ &\rightarrow [14, 14] + (11) + [6, 6] + (2) + (1) \\ &\rightarrow [14, 14] + (11) + [7, 7] + (2) + (1) \end{aligned}$$

We are finished with the pairs as well.

Step 2(Continued)

Now, we will push the pair $[1, 1]$:

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We are finished with the pairs as well.

Step 3

As a result, we showed the following correspondence:

$$(\beta = (7) + (6) + (5) + [3, 3] + [1, 1], \mu = (8 \times 2, 4 \times 2), \nu = (6, 0, 0)) \rightarrow [14, 14] + (11) + [7, 7] + (2) + (1)$$

Main Theorem

Hence, we showed that

Theorem

$$\sum_{n,m \geq 0} rrg_{3,3}(m,n) q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2} - 2m} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

Sketch of the Proof

The proof contains 3 steps:

- 1 A lemma about the form of the base partition
- 2 A general form of the moves
 - 1 Forward moves
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A lemma about Base Partitions

We will state the lemma about the base partition now:

Lemma (Form of the Base Partition)

The base partition for $rrg_{3,3}$ with m pairs and n singletons is

$$(2m+n) + \cdots + (2m+2) + (2m+1) + [2m-1, 2m-1] + \cdots + [3, 3] + [1, 1].$$

Remark: In this case the weight of the base partition

$\beta = 4\binom{m+1}{2} - 2m + 2mn + \binom{n+1}{2}$ and the number of parts in β is $2m + n$.

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General Form of the Forward Moves, Pairs

Suppose we want to push a pair $[b, b]$, there are two cases to consider:

- 1 The pair becomes $[b + 1, b + 1]$ and the resulting partition satisfies $rrg_{3,3}$ conditions.
- 2 We cannot make it $[b + 1, b + 1]$ because it violates the $rrg_{3,3}$ conditions. Thus, there exists a singleton $(b + 2)$ and possibly other singletons $(b + 3), (b + 4), \dots, (b + s)$ for some integers $s \geq 2$. Then, forward move on the pair $[b, b]$ is defined as:

$$(b + s) + (b + s - 1) + \dots + (b + 3) + (b + 2) + [b, b] \rightarrow [b+s, b+s] + (b + s - 2) + \dots + (b + 1) + (b)$$

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Suppose we want to push a singleton (a) , then (a) becomes $(a + 1)$, since there cannot be any problems due to form of the base partition.

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General Form of the Backward Moves, Pairs

Suppose we want to pull a pair $[b + 1, b + 1]$, there are two cases to consider:

- 1 The pair becomes, $[b, b]$, and the resulting partition does not violate $rrg_{3,3}$ conditions.
- 2 We cannot make it $[b, b]$. Thus, there exists a singleton $(b - 1)$ and possibly $(b - 2), (b - 3), \dots, (b - s)$ where s is an integer $2 \leq s < b$. Then, we define the backward move on $[b + 1, b + 1]$ as:

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Forward and Backward Moves are Inverses of Each Other

This directly follows from the order of the moves and "local invertibility".

Question: What happens when $a = 1$ or $a = 2$?

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Recall

Theorem (Main Theorem)

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$$\sum_{n,m \geq 0} rrg_{3,1}(m, n) q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2} + n} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

2

$$\sum_{n,m \geq 0} rrg_{3,2}(m, n) q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2}} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

3

$$\sum_{n,m \geq 0} rrg_{3,3}(m, n) q^n x^m = \sum_{m,n \geq 0} \frac{q^{4\binom{m+1}{2} + 2mn + \binom{n+1}{2} - 2m} x^{2m+n}}{(q^2; q^2)_m (q; q)_n}$$

The case $a = 1$

When $a = 1$, everything is same except for the base partition.

In this case the general form of the base partition becomes:

$$(2m+n+1)+(2m+n)+\cdots+(2m+3)+(2m+2)+[2m, 2m]+\cdots+[4, 4]+[2, 2]$$

Remark: Thus, we just push each part of the base partition for the case $a = 3$, 1 unit.

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When $a = 2$, the form of the base partition and definition of the moves change.

Example

When $a = 2$, i.e. we can use at most one 1, the smallest weight partition with 1 pair and 1 singletons is neither $[1, 1] + (3)$ nor $[2, 2] + (4)$. It is $(1) + [3, 3]$.

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$a = 2$ (Continued)

When $a = 2$ the general form of the base partition is

$$[n + 2m, n + 2m] + [n + 2m - 2, n + 2m - 2] + \cdots + [n + 4, n + 4] \\ + [n + 2, n + 2] + (n) + (n - 1) + \cdots + (2) + (1)$$

In this case the moves on the pairs become straightforward and the moves on the singletons become litte bit trickier.

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Discussion

Let's look at some future ideas:

- 1 What happens if $k = 4$? Then, we will have three types of parts: singletons, pairs and triples. Thus, we need to look at more cases.. As a rule of thumb, as number of types of parts increase, the combinatorial interpretation in this framework becomes more and more difficult.
- 2 Best case scenario, we will get a series of the form:

$$\sum_{m,n \geq 0} rrg_{k,k}(m, n) q^n x^m = \sum_{n_1, n_2, \dots, n_{k-1} \geq 0} \frac{q^{QUADRATIC+LINEAR} x^{LINEAR}}{(q; q)_{n_1} (q^2; q^2)_{n_2} \dots (q^{n-1}; q^{n-1})_{n_{k-1}}}$$

- 3 Our ultimate goal is to **automatically** interpret any series of the form

$$\sum_{n_1, n_2, \dots, n_k \geq 0} \frac{q^{QUADRATIC+LINEAR} x^{LINEAR}}{(q^{\alpha_1}; q^{\beta_1})_{n_1} (q^{\alpha_2}; q^{\beta_2})_{n_2} \dots (q^{\alpha_n}; q^{\beta_n})_{n_k}}$$

Here, we emphasize automatically, i.e determine the different types of parts and moves in an algorithmic fashion!

Discussion

Let's look at some future ideas:

- 1 What happens if $k = 4$? Then, we will have three types of parts: singletons, pairs and triples. Thus, we need to look at more cases.. As a rule of thumb, as number of types of parts increase, the combinatorial interpretation in this framework becomes more and more difficult.
- 2 Best case scenario, we will get a series of the form:

$$\sum_{m,n \geq 0} rrg_{k,k}(m, n) q^n x^m = \sum_{n_1, n_2, \dots, n_{k-1} \geq 0} \frac{q^{\text{QUADRATIC} + \text{LINEAR}} x^{\text{LINEAR}}}{(q; q)_{n_1} (q^2; q^2)_{n_2} \dots (q^{n-1}; q^{n-1})_{n_{k-1}}}$$

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The End

Thank you for your attention!