## CHAPTER III

## A MODIFICATION OF FITZGERALD'S CHARACTERIZATION

Fitzgerald [12] proved that an irreducible polynomial

$$P(x) = p_k + p_{k-1}x + \dots + p_0x^k \in \mathbb{F}_q[x]$$

of degree  $k \geq 1$  is primitive if and only if  $g(x) := (x^{q^k-1}-1)/(x-1)P(x)$  has exactly  $q^{k-1}(q-1)-1$  non-zero terms. Fitzgerald's result is interesting in both its statement and proof. The proof starts by equating and cleverly rearranging the coefficients in  $g(x)P(x) = (x^{q^k-1}-1)/(x-1)$ . This leads to a linear recurring sequence over a finite field and the result follows by suitably appealing to the known results about the number of occurrences of elements in such a sequence.

## 3.1 Main result and proof

We modify Fitzgerald's technique by noting that the number of coefficients in g(x) can be considerably reduced, at least for large q, by replacing the factor x-1 with  $x^{q-1}-1$ , which is the product of all monic linear polynomials, excluding x, over  $\mathbb{F}_q$  and clearly divides  $x^{q^k-1}-1$ . Yet the new quotient now has an extra non-polynomial term, which reveals its more general structure. Analyzing this structure enables us to deal with the arising additional difficulties. Our main theorem reads:

**Theorem 3.1.1.** Let  $P(x) = p_k + p_{k-1}x + \cdots + p_0x^k \in \mathbb{F}_q[x]$  be irreducible over  $\mathbb{F}_q$  and of degree  $k \geq 2$ . Let  $m = q^k - 1$ ,  $t = \frac{m}{q-1}$ ,  $y = x^{q-1}$  and

$$G(y) = \frac{y^t - 1}{(y - 1)P(y)} = H(y) + \frac{r_0 + r_1 y + \dots + r_{k-1} y^{k-1}}{P(y)},$$

where  $H(y) = \varepsilon_{t-k} + \varepsilon_{t-k-1}y + \cdots + \varepsilon_1 y^{t-k-1} \in \mathbb{F}_q[y]$ . Then P(x) is primitive over  $\mathbb{F}_q$  if and only if the number of non-zero terms in H(y), considered as polynomial in y over  $\mathbb{F}_q$ , is equal to  $q^{k-1}(q-1) - 1 - N$ , where N is the number of non-zero terms in the finite sequence  $\varepsilon_{t-k+1}, \varepsilon_{t-k+2}, \ldots, \varepsilon_{m-1}, \varepsilon_m$  which is defined by

$$\varepsilon_{t-n} = r_n - \sum_{i=1}^{k-n-1} p_i \varepsilon_{t-n-i} \quad (n = 0, 1, \dots, k-1)$$

where empty sum is interpreted as 0, and

$$\varepsilon_{t+n} = 1 - \sum_{i=1}^{k} p_i \varepsilon_{t+n-i} \quad (n = 1, 2, \dots, m-t).$$

**Proof.** Equating the coefficients of  $y^{t-l}$  in

 $y^{t-1}$  ;  $p_0\varepsilon_1=1$ ,

$$y^{t-1} + y^{t-2} + \dots + 1 = (p_k + p_{k-1}y + \dots + p_0y^k) (\varepsilon_{t-k} + \varepsilon_{t-k-1}y + \dots + \varepsilon_1y^{t-k-1}) + (r_0 + r_1y + \dots + r_{k-1}y^{k-1}),$$

$$y^{k} = y^{t-(t-k)} \quad ; \quad p_{k}\varepsilon_{t-2k} + p_{k-1}\varepsilon_{t-2k+1} + p_{k-2}\varepsilon_{t-2k+2} + \dots + p_{0}\varepsilon_{t-k} = 1,$$

$$y^{k-1} = y^{t-(t-k+1)} \quad ; \quad (p_{k}\varepsilon_{t-2k+1} + p_{k-1}\varepsilon_{t-2k+2} + p_{k-2}\varepsilon_{t-2k+3} + \dots + p_{1}\varepsilon_{t-k}) + r_{k-1} = 1,$$

$$\vdots$$

$$y^{t-l} \quad ; \quad (p_{k}\varepsilon_{l-k} + p_{k-1}\varepsilon_{l-k+1} + p_{k-2}\varepsilon_{l-k+2} + \dots + p_{l-t+k}\varepsilon_{t-k}) + r_{t-l} = 1,$$

$$\vdots$$

$$y^{1} = y^{t-(t-k+(k-1))} \quad ; \quad (p_{k}\varepsilon_{t-k-1} + p_{k-1}\varepsilon_{t-k}) + r_{1} = 1,$$

$$y^{0} = y^{t-(t-k+k)} \quad ; \quad p_{k}\varepsilon_{t-k} + r_{0} = 1.$$

In general, we get

$$\sum_{i+j=l} p_i \varepsilon_j = 1 \quad (l = 1, 2, \dots, t-k)$$
(3.1.1)

and

$$\sum_{i+j=l} p_i \varepsilon_j + r_{t-l} = 1 \quad (l = t - k + 1, t - k + 2, \dots, t).$$
 (3.1.2)

We can, without loss of generality, choose  $p_0 = 1$ . The strategy now is to think of the two finite sequences  $\{p_0 = 1, \ldots, p_k\}$  and  $\{r_0, \ldots, r_{k-1}\}$  as given fixed and extend the finite sequence  $\{\varepsilon_1, \ldots, \varepsilon_{t-k}\}$  to an infinite linear recurring sequence satisfying (3.1.1) and (3.1.2). Note first that (3.1.1) uniquely determines the values of  $\varepsilon_1, \ldots, \varepsilon_{t-k}$ . Rewriting (3.1.1) and using it to define further values of  $\varepsilon_i$  (i > t - k), we get

$$\varepsilon_{n+k} = -\sum_{i=1}^{k} p_i \varepsilon_{n+k-i} + 1 \quad (n \ge 1). \tag{3.1.3}$$

We view (3.1.3) as an (infinite) linear recurring sequence whose initial values  $\varepsilon_1, \varepsilon_2, \dots, \varepsilon_{t-k}$  are, as mentioned above, computed from (3.1.1). Taking the difference of two consecutive terms, we get a homogeneous recurrence (of order k)

$$\varepsilon_{n+k+1} - \varepsilon_{n+k} = -p_1 \varepsilon_{n+k} + \sum_{i=1}^{k-1} (p_i - p_{i+1}) \varepsilon_{n+k-i} + p_k \varepsilon_n,$$

i.e.

$$\varepsilon_{n+k+1} = (1-p_1)\varepsilon_{n+k} + \sum_{i=1}^{k-1} (p_i - p_{i+1})\varepsilon_{n+k-i} + p_k\varepsilon_n.$$
 (3.1.4)

We claim that the characteristic polynomial, f(y), of the homogeneous sequence (3.1.4) is (y-1)P(y). This follows immediately from

$$f(y) = y^{k+1} - (1 - p_1)y^k - (p_1 - p_2)y^{k-1} - \dots - (p_{k-1} - p_k)y - p_k$$
$$= (y - 1)P(y).$$

Now consider a homogeneous linear recurring sequence, of order k-1, with characteristic polynomial P(y),

$$\eta_{n+k} = -p_1 \eta_{n+k-1} - p_2 \eta_{n+k-2} - \dots - p_k \eta_n \tag{3.1.5}$$

with initial values  $\eta_1, \eta_2, \dots, \eta_k$  yet to be determined.

We next claim that there is a non-zero L and a choice of  $\eta_1, \eta_2, \ldots, \eta_k$  in  $\mathbb{F}_q$  such that  $\varepsilon_i = \eta_i + L$  holds for all  $i \geq 1$ . To verify this claim, we recall some basic results. For a monic polynomial of positive degree  $f(x) \in \mathbb{F}_q[x]$ , let S(f(x)) denote the vector space (over  $\mathbb{F}_q$ ) of all homogeneous linear recurring sequences in  $\mathbb{F}_q$  with characteristic polynomial f(x). Since P(y) is a non-constant monic, irreducible polynomial of degree  $\geq 2$ , from Theorem 2.1.17, it is well-known that

$$S(P(y)) + S(y-1) = S((y-1)P(y)).$$

Further, a sequence is in S(y-1) if and only if  $s_{n+1}=s_n$  for all n, i.e., if and only if it is a constant sequence. Let this sequence be  $s_n=L$  for all n. Since the sequence (3.1.5) is in S(P(y)), and the sequence (3.1.4) is in S((y-1)P(y)) by the earlier claim, there is a choice of  $\eta_1, \eta_2, \ldots, \eta_k$  in  $\mathbb{F}_q$ , with  $(\eta_n) \in S(P(y))$ , for which

$$(\varepsilon_1, \varepsilon_2, \varepsilon_3, \ldots) = (\eta_1, \eta_2, \eta_3, \ldots) + (s_1, s_2, s_3, \ldots) = (\eta_1 + L, \eta_2 + L, \eta_3 + L, \ldots),$$

and the claim is verified. Next, we show that  $L \neq 0$ . Substituting the values of  $\eta_n$  into (3.1.5), we get

$$\varepsilon_{k+1}-L=-p_1(\varepsilon_k-L)-\cdots-p_k(\varepsilon_1-L)=L(p_1+\cdots+p_k)-\sum_{i=1}^k p_i\varepsilon_{1+k-i},$$

and using (3.1.3), we deduce

$$\varepsilon_{k+1} = L(1 + p_1 + p_2 + \dots + p_k) + \varepsilon_{k+1} - 1,$$

implying that  $L \neq 0$ .

We now return to ensure that the extended (infinite) sequence  $\{\varepsilon_i\}$  so constructed as in (3.1.3), using (3.1.1), satisfies (3.1.2). Putting n = t - 2k + 1 in (3.1.3) and matching it with (3.1.2), we must take

$$\varepsilon_{t-k+1} = -p_1\varepsilon_{t-k} - p_2\varepsilon_{t-k-1} - \dots - p_k\varepsilon_{t-2k+1} + 1 = r_{k-1}.$$

Putting n = t - 2k + 2 and matching it with (3.1.2), we must take

$$\varepsilon_{t-k+2} = -p_1\varepsilon_{t-k+1} - p_2\varepsilon_{t-k} - \dots - p_k\varepsilon_{t-2k+2} + 1 = r_{k-2} - p_1\varepsilon_{t-k+1}.$$

In general, we must take

$$\varepsilon_{t-m} = r_m - \sum_{i=1}^{k-m-1} p_i \varepsilon_{t-m-i} \quad (m = 0, 1, \dots, k-1).$$

Since the characteristic polynomial of (3.1.5), P(y), is irreducible over  $\mathbb{F}_q$  and  $P(0) \neq 0$ , the sequence  $\{\eta_i\}$  is periodic with least period e = ord(P), from Theorem 2.1.13, and so the sequence  $\varepsilon_i = \eta_i + L$ , in (3.1.4), is also periodic with the same least period e.

For  $b \in \mathbb{F}_q$ , let  $Z_\eta(b)$  be the number of occurrences of b in one least period of the sequence (3.1.5), and define  $Z_\varepsilon(b)$  similarly. Since  $-L = \eta_i - \varepsilon_i$  for all  $i \geq 1$ , then  $Z_\varepsilon(0) = Z_\eta(-L)$ . Since P(y) is irreducible over  $\mathbb{F}_q$  with degree k, by Theorem 2.1.14,  $e = ord(P) \mid (q^k - 1) = m$ . Now  $(\varepsilon_1, \varepsilon_2, \ldots)$  being periodic with least period e, shows that the finite set  $\varepsilon_1, \varepsilon_2, \ldots, \varepsilon_m$  covers h = m/e full periods. The fact, Theorem 2.1.6, that the irreducible polynomial P(y) considered here is primitive if and only if  $e = ord(P) = q^k - 1$  is then equivalent to P(y) is primitive if and only if h = 1.

Assume that P(y) is primitive, i.e. h = 1. Clearly, we may choose the initial values  $\eta_1, \eta_2, \ldots, \eta_k$  not all zero. Since  $(\eta_1, \eta_2, \ldots)$  is a homogeneous linear recurring sequence in  $\mathbb{F}_q$  with primitive characteristic polynomial P(y) and non-zero initial values, it is a maximal period sequence in  $\mathbb{F}_q$ , by Definition 2.1.15. By a well-known result, Definition 2.1.18,

$$Z_{\eta}(b) = egin{cases} q^{k-1} & ext{if } b 
eq 0, \ q^{k-1} - 1 & ext{if } b = 0. \end{cases}$$

Using  $\varepsilon_i - L = \eta_i$ , we consequently get

$$Z_{arepsilon}(b) = egin{cases} q^{k-1} & ext{if } b 
eq L, \ q^{k-1} - 1 & ext{if } b = L. \end{cases}$$

Since  $L \neq 0$ , we have  $Z_{\varepsilon}(0) = q^{k-1}$ , and so the number of zero terms among  $\varepsilon_1, \varepsilon_2, \ldots, \varepsilon_m$  is  $hZ_{\varepsilon}(0) = Z_{\varepsilon}(0) = q^{k-1}$ . Thus the number of non-zero terms among  $\varepsilon_1, \varepsilon_2, \ldots, \varepsilon_m$  is  $m - q^{k-1} = q^{k-1}(q-1) - 1$ . Consequently, the number of non-zero terms in H(y) is equal to  $q^{k-1}(q-1) - 1 - N$ .

On the other hand, suppose that the number of non-zero terms in H(y) is  $q^{k-1}(q-1)-1-N$  but P(x) is not primitive over  $\mathbb{F}_q$ . Then  $h\geq 2$  and

$$m-hZ_{\varepsilon}(0)=$$
 the number of non-zero terms among  $\varepsilon_{1},\varepsilon_{2},\ldots,\varepsilon_{m}$ 

$$= \text{ the number of non-zero terms among } \varepsilon_{1},\varepsilon_{2},\ldots,\varepsilon_{t-k}$$

$$+ \text{ the number of non-zero terms among } \varepsilon_{t-k+1},\varepsilon_{t-k+2},\ldots,\varepsilon_{m}$$

$$= \text{ the number of non-zero terms of } H(y)+N$$

$$= q^{k-1}(q-1)-1,$$

which implies  $hZ_{\varepsilon}(0) = q^{k-1}$ . But  $he = m = q^k - 1$ , which is a contradiction and the theorem is proved.

Immediate from the proof of the theorem is another, perhaps simpler, characterization.

Corollary 3.1.2. An irreducible polynomial  $P(x) = p_k + p_{k-1}x + \cdots + p_1x^{k-1} + x^k \in \mathbb{F}_q[x]$  is primitive if and only if the finite sequence  $\varepsilon_1, \ \varepsilon_2, \ldots, \ \varepsilon_m$ , so defined as in the theorem, contains no two (identical) periodic subsequences.

We end this section with two further remarks.

- 1. Both the starting expressions  $g(x) = \frac{x^{q^k-1}-1}{(x-1)P(x)}$  in Fitzegerald's theorem and  $\frac{y^t-1}{(y-1)P(y)} = G(y) = G(x^{q-1}) = \frac{(x^{q-1})^t-1}{(x^{q-1}-1)P(x^{q-1})}$  in our theorem have the same numerator. Yet, the denominator of  $G(x^{q-1})$  is of higher degree, so the number of terms to be counted in  $G(x^{q-1})$  is fewer than that in g(x).
- 2. Although in our theorem, we additionally have to determine the number of non-zero terms, N, in the finite sequence  $\varepsilon_{t-k+1}$ ,  $\varepsilon_{t-k+2}$ , ...,  $\varepsilon_m$ , this is generally not difficult because of their explicitly given form.

## 3.2 Examples

We give in this section a few examples in order to compare the number of coefficients involved in our main theorem with that of Fitzgerald.

**Example 3.2.1.** Take q = k = 3 and  $P(x) = x^3 + 2x + 1$ , which is irreducible over  $\mathbb{F}_q$ . Here  $m = 26, t = 13, p_0 = 1, p_1 = 0, p_2 = 2, p_3 = 1$ .

Using Fitzgerald's result, we compute

$$\begin{split} g(x) &= \frac{x^{q^k - 1} - 1}{(x - 1)P(x)} \\ &= x^{22} + x^{21} + 2x^{20} + x^{19} + 2x^{18} + 2x^{16} + 2x^{15} + x^{13} + 2x^{12} + 2x^{11} + 2x^{10} \\ &+ x^9 + x^8 + x^6 + 2x^4 + 2x + 1, \end{split}$$

which has  $q^{k-1}(q-1)-1=17$  non-zero terms, and so P(x) is primitive over  $\mathbb{F}_q$ .

On the other hand, using our theorem, we compute

$$G(x^{2}) = G(y) = \frac{y^{13} - 1}{(y - 1)(y^{3} + 2y + 1)}$$
$$= y^{9} + y^{8} + 2y^{7} + y^{6} + 2y^{5} + 2y^{3} + 2y^{2} + 1 + \frac{2y^{2} - y}{y^{3} + 2y + 1}.$$

Here  $H(y)=y^9+y^8+2y^7+y^6+2y^5+2y^3+2y^2+1$  has 8 non-zero terms. Next we determine the finite sequence

$$\begin{split} &\varepsilon_{t-k+1} = \varepsilon_{11} = 2, \quad \varepsilon_{t-k+2} = \varepsilon_{12} = 2, \quad \varepsilon_{13} = 2, \quad \varepsilon_{14} = 1, \quad \varepsilon_{15} = 1, \quad \varepsilon_{16} = 0, \\ &\varepsilon_{17} = 1, \quad \varepsilon_{18} = 0, \quad \varepsilon_{19} = 2, \quad \varepsilon_{20} = 0, \quad \varepsilon_{21} = 0, \quad \varepsilon_{22} = 2, \quad \varepsilon_{23} = 1, \quad \varepsilon_{24} = 0, \\ &\varepsilon_{25} = 0, \quad \varepsilon_{m} = \varepsilon_{26} = 0, \end{split}$$

and so N=9. The number of non-zero terms in H(y) is then equal to  $q^{k-1}(q-1)-1-N=18-1-9=8$ , showing that P(x) is primitive over  $\mathbb{F}_q$ .

**Example 3.2.2.** Take q = 5, k = 2 and  $P(x) = x^2 + 3x + 3$ , which is irreducible over  $\mathbb{F}_q$ . Here  $m = 24, t = 6, p_0 = 1, p_1 = 3, p_2 = 3$ .

Using Fitzgerald's result, we compute

$$g(x) = \frac{x^{q^{k-1}} - 1}{(x-1)P(x)}$$

$$= x^{21} + 3x^{20} + 4x^{19} + 4x^{17} + 4x^{16} + 2x^{15} + 3x^{14} + x^{13} + 4x^{12} + x^{11} + x^{10}$$

$$+ 3x^{8} + 2x^{7} + x^{6} + 2x^{5} + 2x^{4} + 4x^{3} + 3x^{2} + 2,$$

which has  $q^{k-1}(q-1) - 1 = 19$  non-zero terms, and so P(x) is primitive over  $\mathbb{F}_q$ . Using our result, we compute

$$G(x^4) = G(y) = \frac{y^6 - 1}{(y - 1)(y^2 + 3y + 3)} = y^3 + 3y^2 + 4y + \frac{4y + 1}{y^2 + 3y + 3}.$$

Here  $H(y) = y^3 + 3y^2 + 4y$  has 3 non-zero terms. We now determine

$$\begin{split} \varepsilon_{t-k+1} &= \varepsilon_5 = 4, \quad \varepsilon_{t-k+2} = \varepsilon_6 = 4, \quad \varepsilon_7 = 2, \quad \varepsilon_8 = 3, \quad \varepsilon_9 = 1, \quad \varepsilon_{10} = 4, \quad \varepsilon_{11} = 1, \\ \varepsilon_{12} &= 1, \quad \varepsilon_{13} = 0, \quad \varepsilon_{14} = 3, \quad \varepsilon_{15} = 2, \quad \varepsilon_{16} = 1, \quad \varepsilon_{17} = 2, \quad \varepsilon_{18} = 2, \quad \varepsilon_{19} = 4, \\ \varepsilon_{20} &= 3, \quad \varepsilon_{21} = 0, \quad \varepsilon_{22} = 2, \quad \varepsilon_{23} = 0, \quad \varepsilon_m = \varepsilon_{24} = 0, \end{split}$$

and so N = 16. The number of non-zero terms in H(y) is equal to  $q^{k-1}(q-1) - 1 - N = 20 - 1 - 16 = 3$ , showing that P(x) is primitive over  $\mathbb{F}_q$ .

**Example 3.2.3.** Take q = 7, k = 2 and  $P(x) = x^2 + x + 6$ , which is irreducible over  $\mathbb{F}_q$ . Here  $m = 48, t = 8, p_0 = 1, p_1 = 1, p_2 = 6$ .

Using Fitzgerald's result, we compute

$$g(x) = \frac{x^{q^{k}-1} - 1}{(x-1)P(x)}$$

$$= x^{45} + 2x^{43} + 6x^{42} + 4x^{41} + 3x^{40} + 2x^{39} + 2x^{38} + x^{37} + 2x^{36} + 3x^{34} + 5x^{33}$$

$$+ 6x^{32} + x^{29} + 2x^{27} + 6x^{26} + 4x^{25} + 3x^{24} + 2x^{23} + 2x^{22} + x^{21} + 2x^{20} + 3x^{18}$$

$$+ 5x^{17} + 6x^{16} + x^{13} + 2x^{11} + 6x^{10} + 4x^{9} + 3x^{8} + 2x^{7} + 2x^{6} + x^{5} + 2x^{4}$$

$$+ 3x^{2} + 5x + 6,$$

which has 36 non-zero terms and  $36 \neq 41 = q^{k-1}(q-1) - 1$ , and so P(x) is not primitive over  $\mathbb{F}_q$ . Using our result, we compute

$$G(x^6) = G(y) = \frac{y^8 - 1}{(y - 1)(y^2 + y + 6)} = y^5 + 2y^3 + 6y^2 + 4y + 3 + \frac{2y + 4}{y^2 + y + 6}.$$

Here  $H(y) = y^5 + 2y^3 + 6y^2 + 4y + 3$  has 5 non-zero terms. We now determine

$$\begin{split} &\varepsilon_{1}=1,\ \varepsilon_{2}=0,\ \varepsilon_{3}=2,\ \varepsilon_{4}=6,\ \varepsilon_{5}=4,\ \varepsilon_{6}=3,\ \varepsilon_{7}=2,\ \varepsilon_{8}=2,\\ &\varepsilon_{9}=1,\ \varepsilon_{10}=2,\ \varepsilon_{11}=0,\ \varepsilon_{12}=3,\ \varepsilon_{13}=5,\ \varepsilon_{14}=6,\ \varepsilon_{15}=0,\ \varepsilon_{16}=0,\\ &\varepsilon_{17}=1,\ \varepsilon_{18}=0,\ \varepsilon_{19}=2,\ \varepsilon_{20}=6,\ \varepsilon_{21}=4,\ \varepsilon_{22}=3,\ \varepsilon_{23}=2,\ \varepsilon_{24}=2,\\ &\varepsilon_{25}=1,\ \varepsilon_{26}=2,\ \varepsilon_{27}=0,\ \varepsilon_{28}=3,\ \varepsilon_{29}=5,\ \varepsilon_{30}=6,\ \varepsilon_{31}=0,\ \varepsilon_{32}=0,\\ &\varepsilon_{33}=1,\ \varepsilon_{34}=0,\ \varepsilon_{35}=2,\ \varepsilon_{36}=6,\ \varepsilon_{37}=4,\ \varepsilon_{38}=3,\ \varepsilon_{39}=2,\ \varepsilon_{40}=2,\\ &\varepsilon_{41}=1,\varepsilon_{42}=2,\ \varepsilon_{43}=0,\ \varepsilon_{44}=3,\ \varepsilon_{45}=5,\ \varepsilon_{46}=6,\ \varepsilon_{47}=0,\ \varepsilon_{48}=0,\\ \end{split}$$

and so N=31. The number of non-zero terms in H(y) is not equal to  $q^{k-1}(q-1)-1-N=42-1-31=10$ , showing that P(x) is not primitive over  $\mathbb{F}_q$ . Alternatively, we note that the finite sequence  $\varepsilon_1, \ \varepsilon_2, \ldots, \ \varepsilon_m$  contains three identical subsequences  $\{1,0,2,6,4,3,2,2,1,2,0,3,5,6,0,0\}$  and so by the corollary, P(x) is not primitive.