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 $q$ -analogues,

cyclic sieving phenomena

and invariant theory

OUTLINE:

- What is a  $q$ -analogue?
- What is a cyclic sieving phenomenon (ESP)?
- "BAD" proof technique
- GOOD proof technique
- $GL_n(\mathbb{F}_q)$ -analogue

(2)

What is a  $q$ -analogue?

Say we have a finite set  $X$

with cardinality  $|X|$

DEFINITION: A  $q$ -analogue for  $|X|$

(my own,  
not standard)

is an element  $X(q) \in \mathbb{Z}[q]$

(and even sometimes  $X(q) \in \mathbb{Q}(q)$ )

that, at a minimum, has  $[X(q)]_{q=1} = |X|$

and hopefully also has at least one of these

other pleasant properties ....

(3)

Pleasant properties for  $q$ -analogues  $X(q)$ :

•  $X(q) = \sum_{x \in X} q^{s(x)}$  for some interesting statistic  $s: X \rightarrow \{0, 1, 2, \dots\}$

•  $X(q)$  has a simple product formula

•  $[X(q)]_{q=p^d}$  for  $q=p^d$  a prime power counts the points of a variety  $X(\mathbb{F}_q)$  defined over  $\mathbb{F}_q$

•  $X(q) = \sum_{i \geq 0} \dim_k(R_i) \cdot q^i =: \text{Hilb}(R, q)$

is the Hilbert series for some interesting

graded  $k$ -algebra  $R = \bigoplus_{i \geq 0} R_i$

•  $X(q^2) = \sum_{i \geq 0} \beta_i q^{2i} =: \text{Poin}(X(\mathbb{C}), q)$

is the Poincaré polynomial for some interesting complex

variety  $X(\mathbb{C})$  (with only even-dimensional homology)

•  $X(q^2)$  is, up to some factor of  $q^N$ , the

formal character  $\sum_{i \geq 0} \dim_{\mathbb{C}}(V_i) q^i$  of an  $SL_2(\mathbb{C})$ -representation  $V$

where  $V_i$  is the weight space where  $\begin{bmatrix} q^0 & 0 \\ 0 & q^{-1} \end{bmatrix}$  acts as  $q^i$ .

The PROTO - Example

$X := k$ -element subsets of  $\{1, 2, \dots, n\}$

$X(q) := \begin{bmatrix} n \\ k \end{bmatrix}_q =$  the  $q$ -binomial coefficient

$:= \frac{[n]!_q}{[k]!_q [n-k]!_q}$  where  $[m]!_q := [m]_q [m-1]_q \dots [2]_q [1]_q$

$[m]_q := 1 + q + q^2 + \dots + q^{m-1} = \frac{1 - q^m}{1 - q}$   
 $\xrightarrow{q=1} m$

$\xrightarrow{q=1} \binom{n}{k} = |X| \checkmark$

It actually has all of the pleasant properties:

$\begin{bmatrix} n \\ k \end{bmatrix}_q = \sum_{\substack{k\text{-subsets } S \\ \text{of } \{1, \dots, n\}}} q^{\text{sum}(S) - \binom{k+1}{2}}$

= # points of the finite Grassmannian  $\text{Gr}(k, \mathbb{F}_q^n)$   
=  $k$ -planes in  $\mathbb{F}_q^n$

$\begin{bmatrix} m \\ k \end{bmatrix}_{q^2} = \text{Poin}(\text{Gr}(k, \mathbb{C}^n), q)$

= formal character of  $SL_2(\mathbb{C}) \curvearrowright \Lambda^k(\mathbb{C}^n)$   
(up to a shift by  $q^{-k(n-k)}$ )

$\begin{bmatrix} n \\ k \end{bmatrix}_q = \text{Hilb} \left( \frac{\mathbb{C}[x_1, \dots, x_n]_{\mathbb{C}^k \times \mathbb{C}^{n-k}}}{(\mathbb{C}[x_1, \dots, x_n]_+^{\mathbb{C}^n})} \right), q$   
an interesting graded  $\mathbb{C}$ -algebra!

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What is <sup>a</sup> cyclic sieving phenomenon (CSP)?

Sometimes our finite set  $X$  naturally carries some cyclic group action, that is,  $X$  is a  $C$ -set for some group  $C = \langle c \rangle \cong \mathbb{Z}/n\mathbb{Z} = \{e, c, c^2, \dots, c^{n-1}\}$  with interesting orbit structure.

DEFINITION: Given a finite set  $X$ ,  
a  $q$ -analogue  $X(q)$ ,  
and a cyclic group  $C \curvearrowright X$  with  $|C|=n$ ,

$\#$  say that the triple  $(X, X(q), C)$  exhibits a CSP

if for every integer  $d$ ,

$$\# \{x \in X : c^d(x) = x\} = [X(q)]_{q=\zeta^d}$$

$\# X^{c^d} =$

where  $\zeta$  is any primitive  $n^{\text{th}}$  root-of-unity  
(e.g.  $\zeta = e^{\frac{2\pi i}{n}}$ )

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## The PROTO-Example CSP

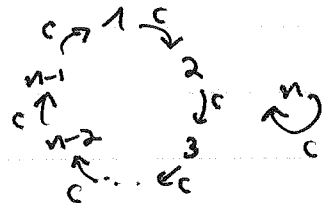
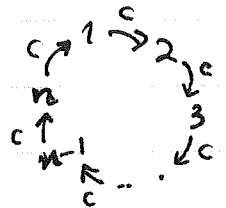
THEOREM (Stanton-White-R. 2004)

The triples  $(X, X(g), C)$  where

$$X = k\text{-subsets of } \{1, 2, \dots, n\}$$

$$X(g) = \begin{bmatrix} n \\ k \end{bmatrix}_g$$

$$C = \begin{cases} \mathbb{Z}/n\mathbb{Z} \text{ generated by an } n\text{-cycle} \\ \text{OR} \\ \mathbb{Z}/(n-1)\mathbb{Z} \text{ generated by an } (n-1)\text{-cycle} \end{cases}$$



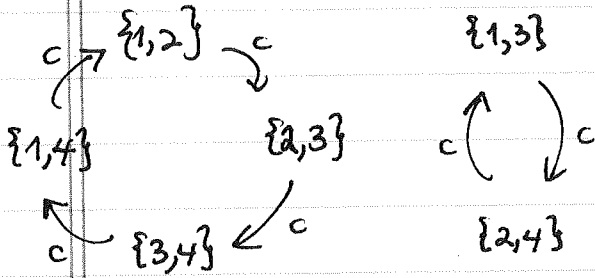
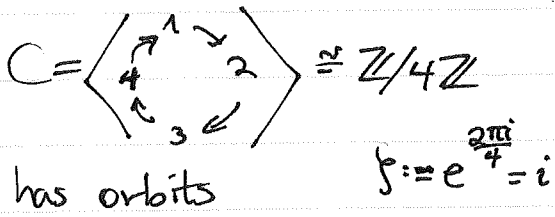
both exhibit a CSP.

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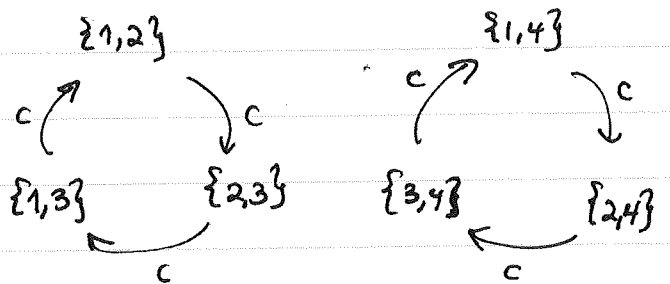
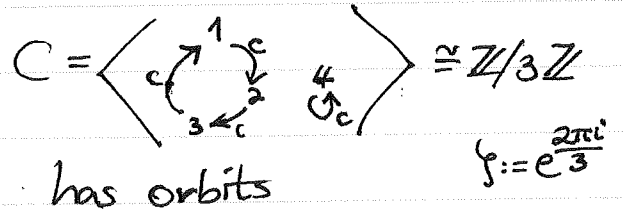
EXAMPLE:  $n=4$   
 $k=2$

$X = 2\text{-subsets of } \{1, 2, 3, 4\}$

$$X(q) = \begin{bmatrix} 4 \\ 2 \end{bmatrix}_q = \frac{[4]_q [3]_q}{[2]_q [1]_q} = \frac{(1+q+q^2+q^3)(1+q+q^2)}{(1+q)(1)} \\ = (1+q^2)(1+q+q^2) \\ = 1+q+2q^2+q^3+q^4$$



$X(q) = 1+q+2q^2+q^3+q^4$   
 $q = \zeta^0 = 1 \implies 1+1+2+1+1 = 6 = |X|$   
 $q = \zeta^2 = -1 \implies 1-1+2-1+1 = 2 = |X^{\zeta^2}|$   
 $q = \zeta^1 = i \implies 1+i-2-i+1 = 0 = |X^{\zeta^1}|$



$X(q) = 1+q+2q^2+q^3+q^4$   
 $q = \zeta^0 = 1 \implies 1+1+2+1+1 = 4 = |X|$   
 $q = \zeta^1 \implies 1+\zeta+2\zeta^2+\zeta^3+\zeta^4 = 0 = |X^{\zeta^1}|$

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So when  $(X, X(q), C)$  exhibits a CSP,

the polynomial  $X(q)$  is hiding the  $C$ -permutation representation character values as its evaluations at  $\{1, f, f^2, \dots, f^{n-1}\}$ .

What about  $C$ -orbit structure? An equivalent phrasing...

DEFINITION:  $(X, X(q), C)$  exhibits a CSP

if the unique expansion

$$X(q) \equiv a_0 + a_1 q + a_2 q^2 + \dots + a_{n-1} q^{n-1} \pmod{q^n - 1}$$

has this interpretation:

$a_i = \#$   $C$ -orbits on  $X$  where the stabilizer/isotropy subgroup has size dividing  $i$

In particular,  $a_0 =$  total  $\#$  of  $C$ -orbits

$a_1 =$   $\#$  of free  $C$ -orbits  
i.e. orbits of size  $|C|$



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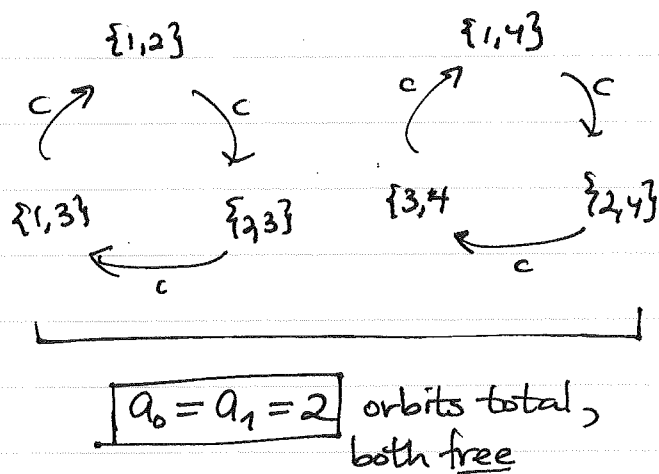
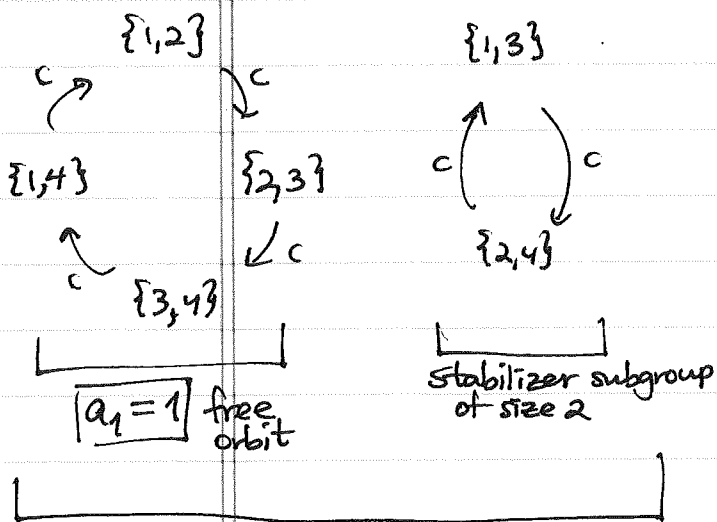
EXAMPLE:  $(X, X(q), C)$   
 $\parallel$   $\parallel$   $\parallel$   
 2-subsets of  $\{1, 2, 3, 4\}$   $[4]_q$   $\mathbb{Z}/4\mathbb{Z}$  or  $\mathbb{Z}/3\mathbb{Z}$

$X(q)$

$$1 + q + 2q^2 + q^3 + q^4$$

$$\underbrace{2}_{a_0} + \underbrace{1 \cdot q^1}_{a_1} + \underbrace{2q^2}_{a_2} + 1 \cdot q^3 \pmod{q^4 - 1}$$

$$\underbrace{2}_{a_0} + \underbrace{2 \cdot q^1}_{a_1} + 2q^2 \pmod{q^3 - 1}$$



$a_0 = 2$  orbits total,  
 and  $a_2 = 2$  since both  
 orbits have stabilizer subgroup  
 size dividing 2

A frustrating, but important, example ...

THEOREM (Stanton-White-R. 2004)

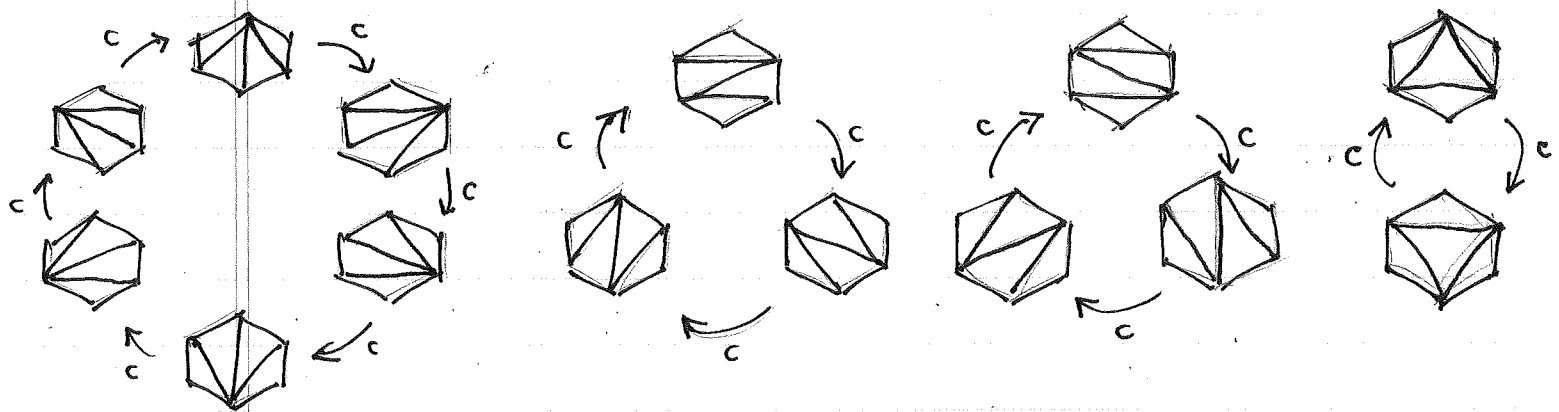
$X :=$  triangulations of an  $(n+2)$ -gon

$$X(q) := \frac{1}{[n+1]_q} \begin{bmatrix} 2n \\ n \end{bmatrix}_q =: \text{the } q\text{-Catalan number}$$

$C = \mathbb{Z}/(n+2)\mathbb{Z}$  generated by  $\frac{2\pi}{n+2}$ -rotations

gives a triple  $(X, X(q), C)$  exhibiting a CSP.

e.g.  $n=6$



$$X(q) = \frac{1}{[5]_q} \begin{bmatrix} 8 \\ 4 \end{bmatrix}_q = \frac{[8]_q [7]_q [6]_q}{[4]_q [3]_q [2]_q}$$

$$= 1 + q^2 + q^3 + 2q^4 + q^5 + 2q^6 + q^7 + 2q^8 + q^9 + q^{10} + q^{12}$$

$$\equiv 4 + 1 \cdot q + 3q^2 + 2q^3 + 3q^4 + 1q^5 \pmod{q^6 - 1}$$

$$f := e^{\frac{2\pi i}{6}}$$

$q = f^0$   
 $q = f^1$   
 $q = f^{-1}$   
 $q = f^2$   
 $q = f^1$

$14 = |X^{c^0}| = |X|$   
 $6 = |X^{c^3}|$   
 $2 = |X^{c^2}|$   
 $0 = |X^{c^1}|$

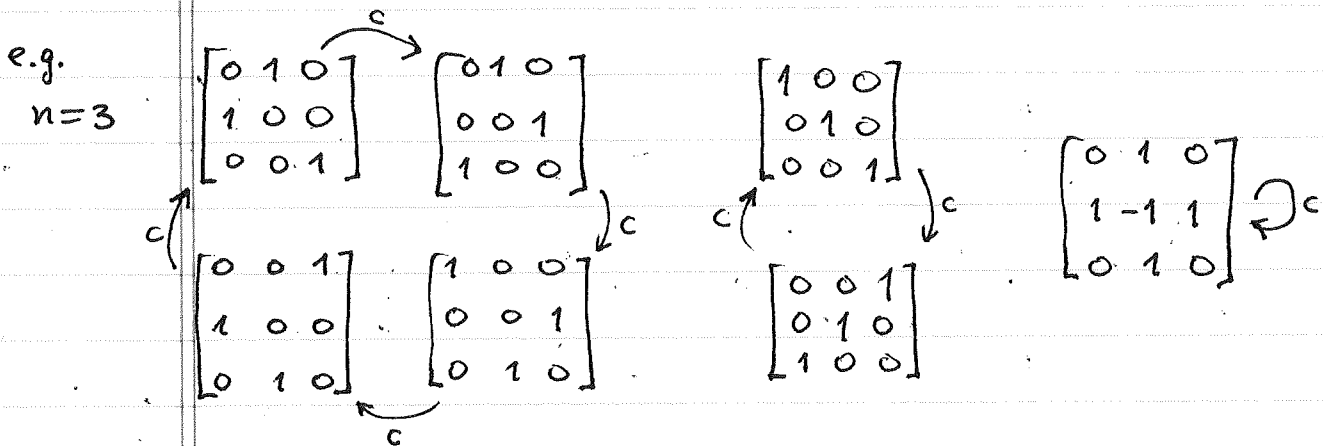
A yet more frustrating example...

THEOREM (Stanley 2007)

$X := n \times n$  alternating sign matrices  
 = matrices in  $\{0, +1, -1\}^{n \times n}$  with  
 row and column sums  $\pm 1$ , and nonzero entries  
 alternate in sign along any row or column

$$X(q) := \prod_{k=0}^{n-1} \frac{[3k+1]!_q}{[n+k]!_q}$$

$$C = \mathbb{Z}/4\mathbb{Z} \text{ rotating by } \{0, \frac{\pi}{2}, \pi, \frac{3\pi}{2}\}$$

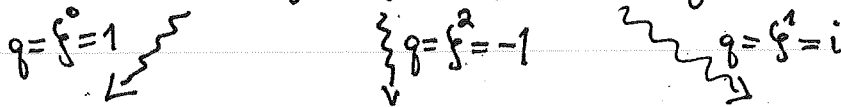


$$q = e^{\frac{2\pi i}{4}} = i$$

$$X(q) = \frac{[1]!_q [4]!_q [7]!_q}{[3]!_q [4]!_q [5]!_q} = \frac{[7]_q [6]_q}{[3]_q [2]_q}$$

$$= 1 + q^2 + q^3 + q^4 + q^5 + q^6 + q^8$$

$$\equiv 3 + 1 \cdot q^1 + 2q^2 + 1 \cdot q^3 \pmod{q^4 - 1}$$



$$7 = |X^c| \quad 3 = |X^{c^2}| \quad 1 = |X^{c^3}|$$

$$= |X|$$

Each of the previous 3 CSP's can be proven by a

"BAD" (but effective) proof technique:

To show  $(X, X(q), C)$  has

$$|X^{cd}| = [X(q)]_{q=\xi^d}$$

when one has a product formula of the form

$$X(q) = \frac{[N_1]_q [N_2]_q \cdots [N_\ell]_q}{[M_1]_q [M_2]_q \cdots [M_\ell]_q}$$

$$\text{e.g. } X(q) = \binom{n}{k}_q = \frac{[n]_q [n-1]_q \cdots [n-(k-1)]_q}{[k]_q [k-1]_q \cdots [1]_q}$$

$$X(q) = \frac{1}{[n+1]_q} \binom{2n}{n}_q = \frac{[2n]_q [2n-1]_q \cdots [n+2]_q}{[n]_q [n-1]_q \cdots [2]_q}$$

$$X(q) = \prod_{k=0}^{n-1} \frac{[3k+1]_q!}{[n+k]_q!} \leftarrow \begin{matrix} \leftarrow \frac{n(3n-1)}{2} \text{ factors} \\ \text{in numerator} \\ \text{and denominator} \end{matrix}$$

- Evaluate  $[X(q)]_{q=\xi^d}$  via L'Hôpital's Rule
- Count  $|X^{cd}|$  directly, or find it in the literature

(And then hope for an insightful proof later!)

EXAMPLE

$X = k$ -subsets of  $\{1, 2, \dots, n\}$

$$X(q) = \begin{bmatrix} n \\ k \end{bmatrix}_q$$

$$C = \mathbb{Z}/n\mathbb{Z}$$

(L'Hôpital)

EXERCISE: If  $\zeta^d$  is a primitive  $D^{\text{th}}$  root-of-unity then whenever  $N \equiv M \pmod{D}$ , one has

$$\lim_{q \rightarrow \zeta^d} \frac{[N]_q}{[M]_q} = \begin{cases} N/M & \text{if } N \equiv M \equiv 0 \pmod{D} \\ 1 & \text{if } N \equiv M \not\equiv 0 \pmod{D} \end{cases}$$

This can be used to check that...

EXERCISE: If  $n = n_1 \cdot D + n_2$  with  $0 \leq n_2 \leq D-1$   
 $k = k_1 \cdot D + k_2$   $0 \leq k_2 \leq D-1$

then 
$$\begin{bmatrix} n \\ k \end{bmatrix}_{q=\zeta^d} = \binom{n_1}{k_1} \cdot \begin{bmatrix} n_2 \\ k_2 \end{bmatrix}_{q=\zeta^d}$$

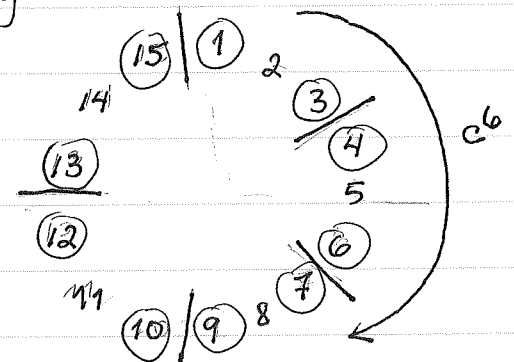
(with convention that  $\binom{N}{M} = \begin{bmatrix} N \\ M \end{bmatrix}_q = 0$  if  $M > N$ )

In particular,  $\begin{bmatrix} X(q) \end{bmatrix}_{q=\zeta^d} = \begin{bmatrix} n \\ k \end{bmatrix}_{q=\zeta^d} = \begin{cases} \binom{n/D}{k/D} & \text{if } D \text{ divides } k \\ 0 & \text{otherwise.} \end{cases}$

(since  $\zeta^n = 1$  implies  $D$  divides  $N$ )

But  $k$ -subsets of  $\{1, 2, \dots, n\}$  fixed by  $c^d$  e.g.  $n=15$   $d=6$   
 $k=10$   $D=5$   
bijeet with  $k/D$ -subsets of  $n/D$ :

$$\begin{bmatrix} 15 \\ 10 \end{bmatrix}_{q=\zeta^6} = \binom{3}{2}$$



The GOOD proof technique

is a linear-algebraic paradigm, generalizing one of J. Stembridge (1994) for his

"q=-1 phenomenon" :

To show  $\#\{x \in X : c^d(x) = x\} = [X(q)]_{q=f^d}$

try to find a  $\mathbb{C}$ -vector space  $V$  having ...

- a basis  $\{e_x : x \in X\}$  permuted by  $c$  as in the  $\mathbb{C}$ -action on  $X$ , that is,  $c(e_x) = e_{cx}$

- a grading  $V = \bigoplus_{i \geq 0} V_i$  in which  $c$  acts on  $V_i$  as  $f^i$  (so  $c^d$  acts on  $V_i$  as  $(f^d)^i$ )

and  $\text{Hilb}(V, q) := \sum_{i \geq 0} \dim_{\mathbb{C}} V_i \cdot q^i = X(q)$

Then computing in two ways

$\text{Trace}(c^d : V \rightarrow V)$

$= \#\{e_x : c^d(e_x) = e_x\}$	$= \sum_{i \geq 0} \text{Trace}(c^d : V_i \rightarrow V_i)$
$= \#\{x \in X : c^d(x) = x\}$	$= \sum_{i \geq 0} \dim_{\mathbb{C}} V_i \cdot \underbrace{(f^d)^i}_{\text{same as } (f^d)^i}$
$=  X^{c^d} $	$= [X(q)]_{q=f^d}$

Several examples of the GOOD technique have been found using invariant theory and representation theory more generally, e.g.

- Springer's Theorem on regular elements in reflection groups

(and its positive characteristic generalizations - to appear later...)

- Kazhdan-Lusztig bases  
(Dual) Canonical bases  
Web bases  
for invariant tensors in group representations

(Rhoades, Fontaine-Kamnitzer,  
Westbury, Rubey-Westbury)

PROBLEM: Find proofs via GOOD technique for

the CSP's

- $X =$  triangulations of  $(n+2)$ -gon

$$X(q) = \frac{1}{[n+1]_q} \begin{bmatrix} 2n \\ n \end{bmatrix}_q$$

$$C = \mathbb{Z}/(n+2)\mathbb{Z}$$

- $X = n \times n$  alternating sign matrices

$$X(q) = \prod_{k=0}^{n-1} \frac{[3k+1]_q!}{[n+k]_q!}$$

$$C = \mathbb{Z}/4\mathbb{Z}$$


GL<sub>n</sub>(F<sub>q</sub>) - PROTO - Example

Recall one of our PROTO - Examples of a CSP:

X = k-subsets of {1, 2, ..., n}

$$X(q) = \begin{bmatrix} n \\ k \end{bmatrix}_q = \frac{(q^n - q^0)(q^n - q^1) \dots (q^n - q^{k-1})}{(q^k - q^0)(q^k - q^1) \dots (q^k - q^{k-1})} = q\text{-binomial}$$

C = <c>   
 ≅ ℤ/nℤ

c = n-cycle  inside S<sub>n</sub>

⋮ for a fixed prime power q = p<sup>m</sup>

X := finite Grassmannian Gr(k, F<sub>q</sub><sup>n</sup>)

= k-dimensional F<sub>q</sub>-subspaces inside F<sub>q</sub><sup>n</sup> (≅ F<sub>q</sub><sup>n</sup>)

$$X(t) := \begin{bmatrix} n \\ k \end{bmatrix}_{q,t} := \frac{(1 - t^{q^n - q^0})(1 - t^{q^n - q^1}) \dots (1 - t^{q^n - q^{k-1}})}{(1 - t^{q^k - q^0})(1 - t^{q^k - q^1}) \dots (1 - t^{q^k - q^{k-1}})} = (q,t)\text{-binomial}$$

C = <c>   
 c a Singer cycle

$$= F_{qn}^* = \{1, c, c^2, \dots, c^{q^n - 2}\} \hookrightarrow GL_{F_q}(F_{q^n}) \cong GL_n(F_q)$$

$$\cong \mathbb{Z}/(q^n - 1)\mathbb{Z}$$

THEOREM (Stanton-White-R. 2004; cf. K. Durdje 2002)

The latter triple (X, X(q), C) exhibits a CSP



EXAMPLE:  $q=2, n=4, k=2$

$$\mathbb{F}_{q^n} = \mathbb{F}_{2^4} = \mathbb{F}_{16} \cong \mathbb{F}_2[\alpha]/(\alpha^4 + \alpha + 1)$$

$$C = \mathbb{F}_{q^n}^\times = \mathbb{F}_{2^4}^\times = \{1, \overset{c}{\alpha}, \alpha^2, \alpha^3, \dots, \alpha^{14}\} \cong \mathbb{Z}/(2^4-1)\mathbb{Z} = \mathbb{Z}/15\mathbb{Z}$$

$$\begin{array}{ccc} \downarrow & & \downarrow \\ \text{GL}_{\mathbb{F}_2}(\mathbb{F}_{16}) \cong \text{GL}_4(\mathbb{F}_2) & & \begin{bmatrix} 0 & 0 & 0 & 1 \\ 1 & 0 & 0 & 1 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \end{bmatrix} \text{ a Singer cycle in } \text{GL}_4(\mathbb{F}_2) \end{array}$$

How many 2-dimensional  $\mathbb{F}_2$ -subspaces of  $\mathbb{F}_2^4$  are preserved by  $C^3$ ?

The CSP says

$$\#\left\{x \in X : C^3(x) = x\right\} = \begin{bmatrix} 4 \\ 2 \end{bmatrix}_{\substack{q=2 \\ t=\zeta^3}} \quad \begin{array}{l} \zeta \\ \zeta^3 \end{array}$$

$$\text{where } \zeta = e^{2\pi i/q^n} = e^{2\pi i/15}$$

$$= \left[ \frac{(1-t^{2^4-2^0})(1-t^{2^4-2^1})}{(1-t^{2^3-2^0})(1-t^{2^3-2^1})} \right]_{t=\zeta^3} \quad \text{a 5th root of unity}$$

$$= \left[ \frac{(1-t^{15})(1-t^4)}{(1-t^3)(1-t^2)} \right]_{t=e^{2\pi i/5}}$$

$$= \frac{15}{3} \cdot 1 = 5$$

Sketch of  
"BAD" proof: Given  $c^d \in \mathbb{F}_q^{\times} = \{1, c, c^2, \dots, c^{q^n-2}\}$

name the intermediate subfield generated by  $c^d$ :

$$\begin{array}{c} \mathbb{F}_{q^n} \\ | \\ \mathbb{F}_q(c^d) = \mathbb{F}_{q^m} \text{ for some divisor } m \text{ of } n \\ | \\ \mathbb{F}_q \end{array}$$

Then check using the L'Hôpital exercise

$$\left[ \begin{array}{c} n \\ k \end{array} \right]_{q, t=c^d} = \begin{cases} \left[ \begin{array}{c} n/m \\ k/m \end{array} \right]_{q^m} & \text{if } m \text{ divides } k, \\ 0 & \text{otherwise.} \end{cases}$$

Meanwhile, an  $\mathbb{F}_q$ -subspace of dimension  $k$  inside  $\mathbb{F}_{q^n}$  will be preserved by  $c^d \iff$  it is an  $\mathbb{F}_{q^m}(c^d)$ -subspace,

and the number of such  $k/m$ -dimensional  $\mathbb{F}_{q^m}$ -subspaces of  $\mathbb{F}_{q^n}$

$$\text{is } \begin{cases} \left[ \begin{array}{c} n/m \\ k/m \end{array} \right]_{q^m} & \text{if } m \text{ divides } k, \\ 0 & \text{otherwise.} \end{cases} \quad \blacksquare$$

e.g. 
$$\begin{array}{c} \mathbb{F}_{2^4} \\ | \\ \mathbb{F}_2(c^3) = \mathbb{F}_{2^2} \\ | \\ \mathbb{F}_2 \end{array}$$

$$\left[ \begin{array}{c} 4 \\ 2 \end{array} \right]_{2, t=c^3} = \left[ \begin{array}{c} 4/2 \\ 2/1 \end{array} \right]_{2^2} = \left[ \begin{array}{c} 2 \\ 2 \end{array} \right]_{2^2} = (1+2^2)_{2^2} = 5$$

Sketch of  
"BAD" proof: Given  $c^d \in \mathbb{F}_q^{\times} = \{1, c, c^2, \dots, c^{q^n-2}\}$

name the intermediate subfield generated by  $c^d$ :

$$\begin{array}{c} \mathbb{F}_{q^n} \\ | \\ \mathbb{F}_q(c^d) = \mathbb{F}_{q^m} \text{ for some divisor } m \text{ of } n \\ | \\ \mathbb{F}_q \end{array}$$

Then check using the L'Hôpital exercise

$$\left[ \begin{array}{c} n \\ k \end{array} \right]_{q, t=c^d} = \begin{cases} \left[ \begin{array}{c} n/m \\ k/m \end{array} \right]_{q^m} & \text{if } m \text{ divides } k, \\ 0 & \text{otherwise.} \end{cases}$$

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and the number of such  $k/m$ -dimensional  $\mathbb{F}_{q^m}$ -subspaces of  $\mathbb{F}_{q^n}$

$$\text{is } \begin{cases} \left[ \begin{array}{c} n/m \\ k/m \end{array} \right]_{q^m} & \text{if } m \text{ divides } k, \\ 0 & \text{otherwise.} \end{cases} \quad \blacksquare$$

e.g. 
$$\begin{array}{c} \mathbb{F}_{2^4} \\ | \\ \mathbb{F}_2(c^3) = \mathbb{F}_{2^2} \\ | \\ \mathbb{F}_2 \end{array}$$

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sketch of  
"BAD" proof: Given  $c^d \in \mathbb{F}_q^{\times} = \{1, c, c^2, \dots, c^{q^n-2}\}$

name the intermediate subfield generated by  $c^d$ :

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Then check using the L'Hôpital exercise

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