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On characteristic polynomial of higher order generalized Jacobsthal numbers

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Abstract

In this paper, we study a higher order generalization of the Jacobsthal sequence, namely, the (k, c) -Jacobsthal sequence $(J_n^{(k,c)})$ for any integers $n, k \geq 2$ and a real number $c > 0$. In particular, we find information about roots of its characteristic polynomial. For that purpose, we combine some powerful tools such as Marden's method, the Perron–Frobenius theorem, and the Eneström–Kakeya theorem.

MSC: 11Bxx; 11B83

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1 Introduction

A sequence $(u_n)_n$ is a *homogeneous linear recurrence sequence* with coefficients $c_0, c_1, \dots, c_{s-1}, c_0 \neq 0$, if

$$u_{n+s} = c_{s-1}u_{n+s-1} + \dots + c_1u_{n+1} + c_0u_n, \quad (1)$$

for all non-negative integers n . A recurrence sequence is therefore completely determined by the *initial values* u_0, u_1, \dots, u_{s-1} , and by the coefficients c_0, c_1, \dots, c_{s-1} . The integer s is called the *order* of the linear recurrence. The *characteristic polynomial* of the sequence $(u_n)_{n \geq 0}$ is given by

$$\psi(x) = x^s - c_{s-1}x^{s-1} - \dots - c_1x - c_0 = (x - \alpha_1)^{m_1} \dots (x - \alpha_\ell)^{m_\ell},$$

where the α_j 's (which are distinct) are named the *roots* of the recurrence. Also, the recurrence $(u_n)_n$ has a *dominant root* if one of its roots has strictly largest absolute value. A fundamental result in the theory of recurrence sequences asserts that there exist uniquely determined non-zero polynomials $g_1, \dots, g_\ell \in \mathbb{Q}(\{\alpha_j\}_{j=1}^\ell)[x]$, with $\deg g_j \leq m_j - 1$ (m_j is the multiplicity of α_j as zero of $\psi(x)$), for $j = 1, 2, \dots, \ell$, such that

$$u_n = g_1(n)\alpha_1^n + g_2(n)\alpha_2^n + \dots + g_\ell(n)\alpha_\ell^n, \quad \text{for all } n. \quad (2)$$

For more details, see [11, Theorem C.1].

Let P, Q be non-zero integers and let $P^2 - 4Q \neq 0$. The sequences $(U_n(P, Q))_{n \geq 0}$ given for $n \geq 0$ by

$$U_{n+2}(P, Q) = P \cdot U_{n+1}(P, Q) - Q \cdot U_n(P, Q),$$

where $U_0(P, Q) = 0, U_1(P, Q) = 1$, is called the first Lucas sequence. For instance, if $P = 1$ and $Q = -1$, then $(U_n(1, -1))_{n \geq 0} = (F_n)_{n \geq 0}$ is the well-known *Fibonacci sequence*. The Fibonacci numbers are known for their amazing properties (see [9] for the history, properties, and applications of the Fibonacci sequence and some of its generalizations). When $P = 1$ and $Q = -2$, we find that $(U_n(1, -2))_{n \geq 0} = (J_n)_{n \geq 0}$ is the *Jacobsthal sequence*, which has many interesting properties (see [5]). An explicit formula for J_n is

$$J_n = \frac{2^n - (-1)^n}{3}.$$

There are several generalizations for Fibonacci numbers. For example, let $k \geq 2$ and denote $F^{(k)} := (F_n^{(k)})_{n \geq -(k-2)}$, the *k-generalized Fibonacci sequence* whose terms satisfy the recurrence relation

$$F_n^{(k)} = F_{n-1}^{(k)} + F_{n-2}^{(k)} + \dots + F_{n-k}^{(k)}, \quad \text{for } n \geq 2, \tag{3}$$

with the initial conditions $F_{-(k-2)}^{(k)} = F_{-(k-3)}^{(k)} = \dots = F_0^{(k)} = 0$ and $F_1^{(k)} = 1$.

The study of the behavior of the roots of the characteristic polynomial of a recurrence (which gives information about the asymptotic behavior of the sequence) has a very long history and it became more popular after the seminal work of Baker on effective lower bounds for linear forms in logarithms. For example, as a consequence of Baker’s theory (see [1]) we have: *Let (u_n) be a recurrence sequence. Suppose that (u_n) is a sequence of integers of the form*

$$u_n = a\alpha^n + O(|\alpha|^{\theta n}), \quad \text{with } \theta \in (0, 1),$$

where a and α are non-zero algebraic numbers, with $|\alpha| > 1$ and such that $u_n - a\alpha^n \neq 0$ for all n . Then the equation

$$u_n = y^p, \quad u_n \notin \{0, \pm 1\},$$

implies $p < C$, where $C > 0$ is an effective constant, which depends only on the parameters of the recurrence (u_n) . This result can be applied to k -generalized Fibonacci numbers. In fact, since it is known that the characteristic polynomial of $(F_n^{(k)})_n$, namely,

$$\psi_k(x) := x^k - x^{k-1} - \dots - x - 1,$$

has just one zero outside the unit circle and all the zeros are simple (as can be found in [6]), we have $F_n^{(k)} = a\alpha^n + O(1)$. Actually, we remark that the case $k = 2$ was solved completely in 2003, by Bugeaud *et al* [3, Theorem 1].

Papers [8] studied some generalized sequences of (3) and authors proved similar properties of roots of the characteristic polynomials.

Here, we are interested in the following generalization of the Jacobsthal sequence.

Table 1 Examples of (k, c) -Jacobsthal sequences for some integer values of k and c

(k, c)	First 10 non-zero terms of $J_n^{(k,c)}$
(2, 2)	1, 1, 3, 5, 11, 21, 43, 85, 171, 341
(3, 5)	1, 1, 2, 8, 15, 33, 88, 196, 449, 1085
(4, 7)	1, 1, 2, 4, 14, 27, 59, 128, 312, 688

Definition 1 Let $k \geq 2$ be an integer and let $c > 0$ be a real number. The (k, c) -Jacobsthal sequence $(J_n^{(k,c)})_{n \geq -(k-2)}$ is defined by the recurrence

$$J_n^{(k,c)} = J_{n-1}^{(k,c)} + \dots + J_{n-k+1}^{(k,c)} + c \cdot J_{n-k}^{(k,c)}, \quad \text{for } n \geq 2,$$

with the initial values $J_{-(k-2)}^{(k,c)} = J_{-(k-3)}^{(k,c)} = \dots = J_0^{(k,c)} = 0$ and $J_1^{(k,c)} = 1$.

Some special cases of (k, c) -Jacobsthal sequences are listed in Table 1. Let $f_{k,c}(x)$ be the characteristic polynomial of the (k, c) -Jacobsthal sequence. Our first results are related to the zeros of $f_{k,c}(x)$. More precisely, we proved the following theorems.

Theorem 1 Let $k \geq 2$ be an integer and let $c > 0$ be a real number. Set $f_{k,c}(x) = x^k - x^{k-1} - \dots - x - c$, then $f_{k,c}(x)$ has a simple dominant zero and, moreover:

- (i) $f_{k,2}(x)$ has 2 as the dominant zero and all the other zeros lie on the boundary of unit circle.
- (ii) If $c > 2$, then $f_{k,c}(x)$ has a dominant zero $\alpha > 2$ and all the other zeros lie outside the closed unit circle.
- (iii) If $c \in (0, 2)$, then $f_{k,c}(x)$ has a dominant zero $\alpha \in (1, 2)$ and all the other zeros lie inside the unit circle.

Theorem 2 For $k \geq 2$, all the zeros of $f_{k,c}(x)$ are simple if some of the items below is true

- (i) $c \in (1, 2]$;
- (ii) $c > 2$ and $k \geq \sqrt{\frac{8c(c-1)}{(c-2)^2}} + \frac{3c-2}{c-2}$.

Moreover, there are at most two zeros α_+ and α_- with multiplicity greater than one and they must have the form

$$\alpha_{\pm} = \frac{3ck + 2 - c - 2k \pm \sqrt{(c + 2k - 3ck - 2)^2 - 8c(c - 1)k^2}}{2(c - 1)k}.$$

As a consequence of the previous theorem, we find that the following result holds for integer higher order Jacobsthal recurrences.

Corollary 1 If c and k are positive integers, then all the zeros of $f_{k,c}(x)$ are simple.

2 Auxiliary results

In this section, we shall present some results which will be essential ingredients in the proof of our results.

Our first tool is related to a method of Marden [10, Chapter X] for calculating the number of zeros of a polynomial within the unit circle. Here we shall state only a particular case which is convenient to us. For that, first, consider a polynomial $f(x) = a_0 + a_1x + \dots + a_nx^n$

with real coefficients and denote by $f^*(x)$ its *reciprocal polynomial*, i.e., $f^*(x) = x^n f(1/x)$. We define the *Schur transform* of $f(x)$, denoted by $\text{Tf}(x)$, by

$$\text{Tf}(x) = a_0 f(x) - a_n f^*(x).$$

A particular case of Marden's result [10, Lemma 42.1] is the following.

Theorem 3 *Let $f(x) = a_0 + a_1x + \cdots + a_nx^n$ be a polynomial with real coefficients. If $\delta(f) := a_0^2 - a_n^2 \neq 0$, then $f(x)$ and $\text{Tf}(x)$ have the same number of zeros on the boundary of the unit circle.*

Another useful and very important result is due to Eneström and Kakeya [4, 7].

Theorem 4 *Let $f(x) = a_0 + a_1x + \cdots + a_nx^n$ be an n -degree polynomial with real coefficients. If $0 \leq a_0 \leq a_1 \leq \cdots \leq a_n$, then all zeros of $f(x)$ lie in $|x| \leq 1$.*

Further, we shall use the Perron–Frobenius theorem from the linear algebra.

Theorem 5 *Let A be a square matrix with non-negative real entries. If A^k is a positive matrix (i.e., a matrix having all positive entries), then A has a positive eigenvalue of multiplicity 1 and strictly greater in absolute value than all other eigenvalues.*

We still shall use two well-known trigonometric formulas: For $\alpha \neq 2k\pi$, where k is any integer, we have

$$\sin(\phi) + \sin(\phi + \alpha) + \cdots + \sin(\phi + n\alpha) = \frac{\sin \frac{(n+1)\alpha}{2} \sin(\phi + \frac{n\alpha}{2})}{\sin \frac{\alpha}{2}} \quad (4)$$

and

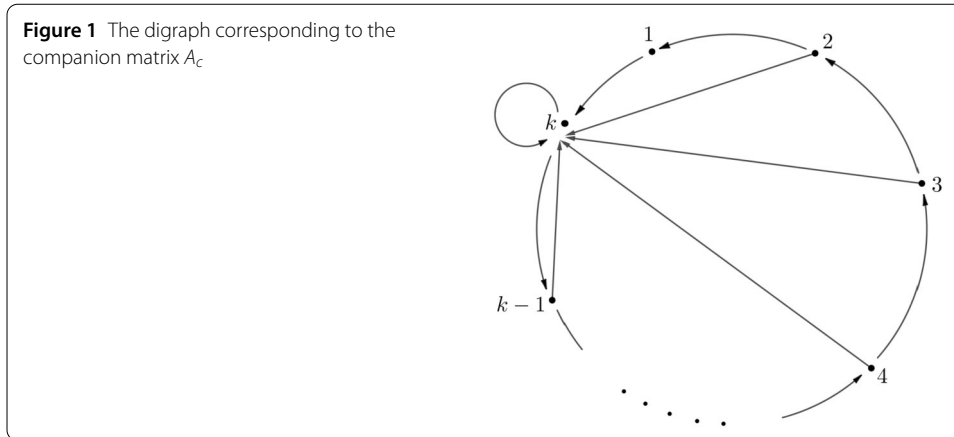
$$\cos(\phi) + \cos(\phi + \alpha) + \cdots + \cos(\phi + n\alpha) = \frac{\sin \frac{(n+1)\alpha}{2} \cos(\phi + \frac{n\alpha}{2})}{\sin \frac{\alpha}{2}}. \quad (5)$$

With these tools at hand we are ready to deal with the proof of our results.

3 Proof of Theorem 1

For proving that $f_{k,c}(x)$ has a dominant zero for all values of $c > 0$, we shall use the connection between recurrence sequences and linear algebra (eigenvalues, characteristic polynomial etc.). First, we note that $f_{k,c}(x)$ is the characteristic polynomial of its companion $k \times k$ matrix

$$A_c = \begin{bmatrix} 0 & 0 & \cdots & 0 & c \\ 1 & 0 & \cdots & 0 & 1 \\ 0 & 1 & \cdots & 0 & 1 \\ \vdots & \vdots & \ddots & \vdots & \\ 0 & 0 & \cdots & 1 & 1 \end{bmatrix}$$



That is, $f_{k,c}(x) = \det(xI - A_c)$ and then the roots of the recurrence of the (k, c) -Jacobsthal sequence are precisely the eigenvalues of the matrix A_c . Thus, in order to prove the existence of a dominant zero for $f_{k,c}(x)$, it suffices to prove the existence of an eigenvalue with absolute value strictly greater than the absolute value of all other eigenvalues (this largest absolute value is called *spectral radius*). For proving that, we shall use Theorem 5. So, we must prove that A_c^n is a positive matrix, for some $n \geq 1$. In fact, we claim that A_c^k is a positive matrix. To prove this assertion, we shall use a fact from graph theory, which says that, for $A_c = (a_{ij})$, we can look at the directed hypergraph of k vertices where arcs correspond to positive entries of A_c (including a loop $k \rightarrow k$). So, the entry (i, j) of A_c^k is positive if you can get from i to j in k steps (loops are allowed). Since $a_{i,k} > 0$, for all $1 \leq i \leq k$ and $a_{i+1,i} > 0$, for all $1 \leq i \leq k - 1$, our graph is like Fig. 1 (we refer the reader to [2, p. 78] for this results and other facts about combinatorial matrix theory). So, the first step is to go from i to k (since $a_{i,k} > 0$), after we stay in the loop $k \rightarrow k$ for $j - 1$ steps and then we go to j in $k - j$ steps. So, we reach j from i in $1 + (j - 1) + (k - j) = k$ steps. Since the pair (i, j) is arbitrary, the matrix A_c^k has only positive entries and by the Perron–Frobenius theorem, we find that $f_{k,c}(x)$ has a simple dominant zero, as desired.

In order to prove the items, we observe that, for $c = 1$, the $(k, 1)$ -Jacobsthal sequence is exactly the k -generalized Fibonacci sequence (and the result is already known for this last sequence). So, we may suppose, in all that follows, that $c \neq 1$.

Proof of (i) The proof follows directly from the fact that

$$f_{k,2}(x) = (x - 2) \frac{x^k - 1}{x - 1}. \quad \square$$

Proof of (ii) Note that by Descartes’ sign rule, $f_{k,c}(x)$ has only one positive zero, say α . Also, $f_{k,c}(2) = 2 - c < 0$ and then $\alpha > 2$, by the Intermediate Value Theorem, together with the fact that $f_{k,c}(x)$ tends to infinity as $x \rightarrow \infty$.

Define $g_c(x) = -f_{k,c}^*(1/x) = cx^k + x^{k-1} + \dots + x - 1$. Thus $\beta := 1/\alpha \in (0, 1/2)$ is a zero of $g_c(x)$. Note that

$$g_c(x) = (x - \beta)(cx^{k-1} + (c\beta + 1)x^{k-2} + \dots + (c\beta^{k-1} + \beta^{k-2} + \dots + \beta + 1)).$$

Write $\psi_c(x) := g_c(x)/(x - \beta)$. Now, we shall prove that the coefficients of $\psi_c(x)$ are in the decreasing order. In fact, since $c(1 - \beta) > 1$ (because $\beta < 1/2$ and $c > 2$), we have $c > c\beta + 1$.

So, by the same reason, we have

$$c\beta^{j-1} + \sum_{i=0}^{j-2} \beta^i > c\beta^j + \sum_{i=0}^{j-1} \beta^i,$$

for all $j \in [2, k]$ (since the above inequality is equivalent to $c > c\beta + 1$). Therefore, by the Eneström–Kakeya theorem, all the zeros of $\psi_c(x)$ satisfy $|x| \leq 1$ and so, all the zeros of $f_{k,c}(x)$ satisfy $|x| \geq 1$. Now, it suffices to prove that these zeros do not lie on the unit circle. For that, we shall use Marden’s method. Since $\delta(f_{k,c}) = (-c^2) - 1^2 \neq 0$, then, by Marden’s theorem, the polynomials $f_{k,c}(x)$ and $Tf_{k,c}(x) = (-c)^2 f_{k,c}(x) - x^k f_{k,c}(1/x)$ have the same number of zeros on the boundary of the unit circle. After some calculations, we obtain

$$Tf_{k,c}(x) = x^{k-1} + x^{k-2} + \dots + x + c - 1.$$

Let us prove that this polynomial does not have a zero with absolute value equal to 1. Indeed, suppose that $x = \exp(i\theta) = \cos(\theta) + i \sin(\theta)$ (for some $\theta \in (0, \pi)$, since -1 and 1 are not zeros of $Tf_{k,c}(x)$) satisfy $Tf_{k,c}(x) = 0$. Thus, we use De Moivre’s formula and by combining the real and imaginary parts, we obtain

$$\cos(\theta) + \cos(2\theta) + \dots + \cos((k - 1)\theta) = 1 - c$$

and

$$\sin(\theta) + \sin(2\theta) + \dots + \sin((k - 1)\theta) = 0.$$

By using Eqs. (4) and (5), we arrive at

$$\frac{\sin((k - 1)\theta/2) \cos(k\theta/2)}{\sin(\theta/2)} = 1 - c \tag{6}$$

and

$$\frac{\sin((k - 1)\theta/2) \sin(k\theta/2)}{\sin(\theta/2)} = 0. \tag{7}$$

Since $c \neq 1$, from (7), one has $\sin(k\theta/2) = 0$ and so $k\theta/2 = \ell\pi$, for some integer ℓ . Thus, $\cos(k\theta/2) = (-1)^\ell$ and we use the sine addition formula to get $\sin((k - 1)\theta/2) = (-1)^{\ell+1} \sin(\theta/2)$. We combine this fact with (6) to arrive at the absurdity that $-1 = 1 - c$, i.e., $c = 2$. So, all the zeros of $f_{k,c}(x)$ satisfy $|x| > 1$. □

Proof of (iii) Again, by Descartes’ sign rule, $f_{k,c}(x)$ has only one positive zero, say α . Also, $f_{k,c}(2) = 2 - c > 0$ and $f_{k,c}(1) = 2 - k - c < 0$ and then $\alpha \in (1, 2)$, by the intermediate value theorem.

Define $g_c(x) = -f_{k,c}^*(1/x) = cx^k + x^{k-1} + \dots + x - 1$. Thus $\beta := 1/\alpha > 1/2$ is a zero of $g_c(x)$. Note that

$$g_c(x) = (x - \beta)(cx^{k-1} + (c\beta + 1)x^{k-2} + \dots + (c\beta^{k-1} + \beta^{k-2} + \dots + \beta + 1)).$$

Write $\psi_c(x) := g_c(x)/(x - \beta)$. Then

$$\psi_c^*(x) = (c\beta^{k-1} + \beta^{k-2} + \dots + \beta + 1)x^{k-1} + \dots + (c\beta + 1)x + c.$$

Now the coefficients of the previous polynomial are in increasing order. In fact, as in the proof of item (ii), it is enough to prove that $c\beta + 1 \geq c$. This holds, because $c(1 - \beta) < 2 \cdot (1 - 1/2) = 1$ (since $c < 2$ and $\beta > 1/2$). Thus, we use the Eneström–Kakeya theorem to ensure that all the zeros of $\psi_c^*(x)$ satisfy $|x| \leq 1$, so, all the zeros of $g_c(x)$ satisfy $|x| \geq 1$ and finally all the zeros of $f_{k,c}(x)$ (different of α) satisfy $|x| \leq 1$. Now, the proof that there is no zero of $f_{k,c}(x)$ on the boundary of the unit circle is the same as in the previous item (since in that proof the absurdity was that $c = 2$). This completes the proof. \square

4 Proofs of Theorem 2 and Corollary 1

4.1 Proof of Theorem 2

Let $g_c(x) = (x - 1)f_{k,c}(x) = x^{k+1} - 2x^k - (c - 1)x + c$. By Descartes' sign rule this polynomial has two positive real zeros counting multiplicity. One of them is $x = 1$ and the other, which is a zero of $f_{k,c}(x)$, must be simple (note that $f_{k,c}(1) = 2 - k - c < 0$). For the same reason (Descartes' sign rule for $g_c(-x)$), we find that $g_c(x)$ has exactly one negative zero when k is even and exactly two negative zeros or none negative zeros when k is odd. So, in the even case the real zeros must be simple.

In conclusion, a possible zero α of $g_c(x)$ with multiplicity greater than one must be a non-real number. Thus, since $g_c(\alpha) = 0$ and $g'_c(\alpha) = 0$ have to hold, we can combine these equalities to obtain

$$0 = h_c(\alpha) := \alpha g'_c(\alpha) - (k + 1)g_c(\alpha) = 2\alpha^k + (c - 1)k\alpha - c(k + 1).$$

Also,

$$0 = (\alpha - 2)h_c(\alpha) - 2g_c(\alpha) = (c - 1)k\alpha^2 + (c + 2k - 3ck - 2)\alpha + 2ck.$$

This implies that we have two possibilities for α , namely,

$$\alpha_{\pm} = \frac{3ck + 2 - c - 2k \pm \sqrt{(c + 2k - 3ck - 2)^2 - 8c(c - 1)k^2}}{2(c - 1)k}.$$

However, for any c and k as in items (i) or (ii), we obtain

$$(c + 2k - 3ck - 2)^2 \geq 8c(c - 1)k^2, \tag{8}$$

showing that α is real. Inequality (8) we can rewrite as

$$(c - 2)^2k^2 - 2(c - 2)(3c - 2)k + (c - 2)^2 \geq 0 \tag{9}$$

or

$$(c - 2)^2(k^2 + 1) \geq -2(2 - c)(3c - 2)k. \tag{10}$$

For $c \in (1, 2]$ we can see from (10) that (8) surely holds for any non-negative k . Let us consider $c \in (0, 1] \cup (2, \infty)$. The discriminant D of the quadratic polynomial (in variable k) on the left-hand side of inequality (9) is equal to $32c(c - 1)(c - 2)^2$. Clearly, $D \leq 0$ for $c \in (0, 1]$, hence (8) holds for any k . Similarly, $D > 0$ for $c > 1$, thus we have to solve only the case $c > 2$. Zeros of the quadratic polynomial from the left-hand side of inequality (9) are

$$k_{\pm} = \frac{3c - 2}{c - 2} \pm 2\sqrt{2} \sqrt{\frac{c(c - 1)}{(c - 2)^2}}. \tag{11}$$

These zeros are dependent on the parameter c , hence we will define two functions k_+ and k_- , $k_{\pm} : (2, \infty) \rightarrow \mathbb{R}$, given by (11). We get easily that $\lim_{c \rightarrow 2^+} k_-(c) = 0$, $\lim_{c \rightarrow 2^+} k_+(c) = +\infty$ and $\lim_{c \rightarrow \infty} k_{\pm}(c) = 3 \pm 2\sqrt{2}$. The derivatives of these functions are

$$k'_{\pm}(c) = \frac{-4\sqrt{c(c - 1)} \pm \sqrt{2}(2 - 3c)}{(c - 2)^2 \sqrt{c(c - 1)}}.$$

We easily see that the function $k_+(c)$ is decreasing and the function $k_-(c)$ is increasing in $(2, \infty)$. Thus, for $c > 2$ the function k_- is bounded, concretely $0 < k_-(c) < 3 - 2\sqrt{2} < 0.2$ and function k_+ is bounded from below by $3 + 2\sqrt{2} > 2$. Hence for $c > 2$ we have the following condition for k :

$$k \geq \frac{3c - 2}{c - 2} + \sqrt{\frac{8c(c - 1)}{(c - 2)^2}}.$$

This completes the proof.

4.2 Proof of Corollary 1

First, let us suppose that $k > 5$. We will again use the function k_+ , defined above, and its properties. If c is an integer, then the maximum of $k_+(c)$ happens when $c = 3$ and this maximum is equal to $k_+(3) = 7 + 4\sqrt{3} < 14$. So, if $k \geq 14$, then, by Theorem 2, $f_{k,c}(x)$ has only single zeros and this fact does not depend on c . However, if c increases, function $k_+(c)$ decreases and then we can obtain better lower bounds for k which can lead, by computational methods, to our desired result. For evaluating this task, we shall define some commands in *Wolfram Mathematica*. First, the following function $r(c)$:

```
r[c_] := IntegerPart[(-2 + 3 c)/(-2 + c) +
                2 Sqrt[2] Sqrt[(-c + c^2)/(-2 + c)^2]]
```

The functions $f_{k,c}(x)$ (here $F(x, k, c)$):

```
F[x_, k_, c_] := x^k - Sum[x^j, {j, 1, k - 1}] - c
```

Its derivative (in relation to x):

```
G[x_, k_] := k*x^(k - 1) - Sum[j*x^(j - 1), {j, 1, k - 1}]
```

We find that the possible multiple zeros for $f_{k,c}(x)$ happen for $5 < k \leq r(c)$. However, $r(c) = 5$, for all $c \geq 51$ and so there are none of these kind of zeros for these cases. So, we can consider only the case $3 \leq c \leq 50$. We know that α is a multiple zero of $f_{k,c}(x)$ if $f_{k,c}(\alpha) = f'_{k,c}(\alpha) = 0$. The next function will calculate the maximum between the number of solutions for a fixed c and k in the range $6 \leq k \leq r(c)$:

```
s[c_] := Max[
    Table[ Length[NSolve[F[x, k, c] == 0 && G[x, k] == 0, x ]],
          {k, 6, h[c]} ] ]
```