

Discrete Mathematics & Computational Structures
Lattice-Point Counting in Convex Polytopes
(1) Frobenius' Coin-Exchange Problem

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Textbook

We follow the book:

- Matthias Beck and Sinai Robins, *Computing the Continuous Discretely. Integer-Point Enumeration in Polyhedra*. Undergraduate Texts in Mathematics. New York, Springer. 2007.
 - The updated version is available at <http://math.sfsu.edu/beck/ccd.html>
 - Japanese translation will be available soon

Lecture Style

- Language
 - Spoken: in English or Japanese
 - Slides: in English
 - Report submission: in Japanese/English (up to you)
- Feedback
 - Submission of a piece of paper at the end of each lecture
 - Can be anonymous
 - There might be a survey at the term end

Goal

This is a course on mathematics and/or theory of computation

Goal of the course

- Study an example of mathematical thoughts that are beneficial for algorithms design
- In this course, such an example = lattice-point counting in convex polytopes

Prerequisites

- Nothing in particular
- Other than a moderate familiarity with freshmen math (Calculus, Linear Algebra, Discrete Math)
- And eagerness to learn

Evaluation

How to get a credit

Submission of exercise solutions

- Each lecture is accompanied with several exercises in the textbook
- Students should assign themselves to different exercises
- Assignment should be done at the wiki page of the course in the first-come-first-serve way
- Submission due: next lecture

Wiki: <http://www.is.titech.ac.jp/~okamoto/cgi-bin/pukiwiki/index.php?DMCS09>

① Introduction

② Frobenius' coin-exchange problem

Why use generating functions?

Two coins

Partial fractions and a surprising formula

Sylvester's result

Three and more coins

③ Concluding remarks

Administration

- Course Webpage
 - <http://www.is.titech.ac.jp/~okamoto/lect/2009/dmcs/>
 - Reachable from the CompView website (<http://compview.titech.ac.jp/>)
- This is in the **Education Program for CompView**
- Lecturer: Yoshio Okamoto
 - Email: okamoto@is.titech.ac.jp
 - Office: W904 in West 8th Bldg.
 - Int. Phone: 3871
 - Office hours: by appointment, or you can try your luck any time
- Remark: **This lattice-point counting course will not be given next year**; Could be discrete geometry, data structures, graph theory, extremal combinatorics, ..., I'm thinking

The basic computational problems

When a finite set Ω is given implicitly...

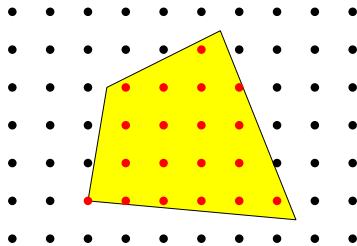
- Decide whether $\Omega = \emptyset$ (decision)
 - Find an element of Ω if it exists (search)
 - Count $|\Omega|$ (counting)
 - List all elements of Ω (listing)
 - Sample an element of Ω uniformly at random (sampling)
- They have some relationship
 - Counting is the most difficult in a certain sense

A kind of the most general setting

One setting

$\Omega = P \cap \mathbb{Z}^d$ where

- P a d -dimensional convex polyhedron (in the H-representation) (the terminology will be defined through the course)
- \mathbb{Z} is the set of integers



A theoretical development

$$\Omega = P \cap \mathbb{Z}^d$$

Theorem (Barvinok, Math of OR '94)

P is rational, d is constant \Rightarrow

$|P \cap \mathbb{Z}^d|$ can be computed in polynomial time

Implementations are also available

- LattE (Project led by De Loera)
<http://www.math.ucdavis.edu/~latte/>
- LattE macchiato (Köppe)
<http://www.math.ucdavis.edu/~mkoppe/latte/>
- barvinok (Verdoolaege)
<http://www.kotnet.org/~skimo/barvinok/>

More formally speaking...

$$\Omega = P \cap \mathbb{Z}^d$$

Theorem (Barvinok, Math of OR '94)

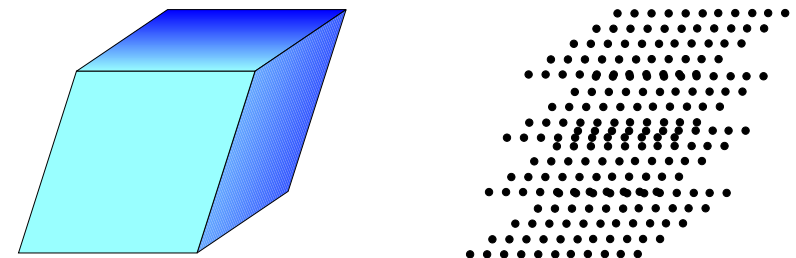
P is rational, d is constant \Rightarrow

The Ehrhart quasi-polynomial of P can be computed in poly time

So, in this course we look at

- lattice points in convex polyhedra
- Ehrhart (quasi-)polynomials
- and relationship with other subarea of mathematics

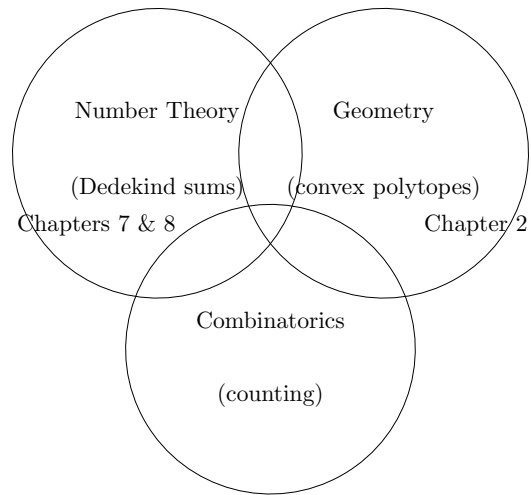
What's discrete volume?



$$\text{vol } \mathcal{P} = \lim_{k \rightarrow \infty} \# \left(\mathcal{P} \cap \frac{1}{k} \mathbb{Z}^d \right) \frac{1}{k^d}$$

integration
(analysis)
counting
(combinatorics)

Lattice-point counting in convex polytopes



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A generating function of a sequence

Definition (Generating function)

Given a sequence $\{a_k\}$, define its **generating function** as

$$F(z) = \sum_{k \geq 0} a_k z^k$$

$F(z)$ is a power series, but let's forget about the convergence for the moment

- Generating functions are quite useful for many reasons
- Generating functions are main objects we deal with in this course

Example: Fibonacci sequence

Definition (Fibonacci sequence)

The **Fibonacci sequence** $\{f_k\}$ is defined as follows

- $f_0 = 0, f_1 = 1$
- $f_{k+2} = f_{k+1} + f_k$ for all $k \geq 0$

The first few numbers in the sequence are:

0, 1, 1, 2, 3, 5, 8, 13, 21, 34, 55, 89, 144, 233, 377, 610, 987

See <http://www.research.att.com/~njas/sequences/>

- Excellent source of integer sequences

Discovery through the generating function

- $F(z)$ the generating function for the Fibonacci sequence
- Then, by the recursion

$$\sum_{k \geq 0} f_{k+2} z^k = \sum_{k \geq 0} (f_{k+1} + f_k) z^k = \sum_{k \geq 0} f_{k+1} z^k + \sum_{k \geq 0} f_k z^k \quad (1)$$

- The LHS of (1) is

$$\sum_{k \geq 0} f_{k+2} z^k = \frac{1}{z^2} \sum_{k \geq 0} f_{k+2} z^{k+2} = \frac{1}{z^2} \sum_{k \geq 2} f_k z^k = \frac{1}{z^2} (F(z) - z)$$

- The RHS of (1) is

$$\sum_{k \geq 0} f_{k+1} z^k + \sum_{k \geq 0} f_k z^k = \frac{1}{z} \sum_{k \geq 0} f_{k+1} z^{k+1} + \sum_{k \geq 0} f_k z^k = \frac{1}{z} F(z) + F(z)$$

Discovery through the generating function (cont'd)

- \therefore (1) is rewritten as

$$\frac{1}{z^2} (F(z) - z) = \frac{1}{z} F(z) + F(z)$$

- Equivalently,

$$F(z) = \frac{z}{1 - z - z^2}$$

- A fun to check (by a computer)

$$\frac{z}{1 - z - z^2} = z + z^2 + 2z^3 + 3z^4 + 5z^5 + 8z^6 + 13z^7 + \dots$$

Discovery through the generating function (cont'd)

- A **partial fraction expansion** gives us

$$F(z) = \frac{z}{1 - z - z^2} = \frac{1/\sqrt{5}}{1 - \frac{1+\sqrt{5}}{2}z} - \frac{1/\sqrt{5}}{1 - \frac{1-\sqrt{5}}{2}z} \quad (2)$$

- Remember the geometric series

$$\sum_{k \geq 0} x^k = \frac{1}{1 - x} \quad (3)$$

- Then, by setting $x = \frac{1+\sqrt{5}}{2}z$ and $x = \frac{1-\sqrt{5}}{2}z$ we have

$$\begin{aligned} F(z) &= \frac{z}{1 - z - z^2} \\ &= \frac{1}{\sqrt{5}} \sum_{k \geq 0} \left(\frac{1+\sqrt{5}}{2} z \right)^k - \frac{1}{\sqrt{5}} \sum_{k \geq 0} \left(\frac{1-\sqrt{5}}{2} z \right)^k \end{aligned}$$

Discovery through the generating function (cont'd)

- We have

$$\begin{aligned} F(z) &= \frac{1}{\sqrt{5}} \sum_{k \geq 0} \left(\frac{1+\sqrt{5}}{2} z \right)^k - \frac{1}{\sqrt{5}} \sum_{k \geq 0} \left(\frac{1-\sqrt{5}}{2} z \right)^k \\ &= \sum_{k \geq 0} \frac{1}{\sqrt{5}} \left(\left(\frac{1+\sqrt{5}}{2} \right)^k - \left(\frac{1-\sqrt{5}}{2} \right)^k \right) z^k \end{aligned}$$

- Thus, we obtain a closed formula for the Fibonacci sequence

$$f_k = \frac{1}{\sqrt{5}} \left(\frac{1+\sqrt{5}}{2} \right)^k - \frac{1}{\sqrt{5}} \left(\frac{1-\sqrt{5}}{2} \right)^k$$

Usefulness of a generating function

- It gives a **closed formula** of a sequence

$$f_k = \frac{1}{\sqrt{5}} \left(\frac{1 + \sqrt{5}}{2} \right)^k - \frac{1}{\sqrt{5}} \left(\frac{1 - \sqrt{5}}{2} \right)^k$$

- It gives a **short description** of a sequence as a rational function

$$F(z) = \frac{z}{1 - z - z^2}$$

Partial fraction expansion (in case you've never heard of that)

Theorem 1.1 (Partial fraction expansion)

Given any rational function

$$F(z) := \frac{p(z)}{\prod_{k=1}^m (z - a_k)^{e_k}},$$

where p is a polynomial of degree less than $e_1 + e_2 + \cdots + e_m$ and the a_k 's are distinct, there exists a decomposition

$$F(z) = \sum_{k=1}^m \left(\frac{c_{k,1}}{z - a_k} + \frac{c_{k,2}}{(z - a_k)^2} + \cdots + \frac{c_{k,e_k}}{(z - a_k)^{e_k}} \right),$$

where $c_{k,j} \in \mathbb{C}$ are unique.

Proof: Exercise 1.35



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What if the new coin system is introduced

Imagine we only have 4-yen, 7-yen, 9-yen, and 34-yen coins

Which price can be paid without making any change?

1	×	6	×	11	✓	16	✓	21	✓
2	×	7	✓	12	✓	17	✓	22	✓
3	×	8	✓	13	✓	18	✓	23	✓
4	✓	9	✓	14	✓	19	✓	24	✓
5	×	10	×	15	✓	20	✓	25	✓

Exercise 1.20

The coins are coprime \Rightarrow Only finitely many prices cannot be paid

Frobenius' coin-exchange problem, informally

Find the largest price that the coin system cannot allow us to pay

Frobenius' coin-exchange problem

$A = \{a_1, a_2, \dots, a_d\}$ a set of coprime positive integers

Definition (Representable integer)

An integer n is **representable** by A if \exists non-negative integers m_1, m_2, \dots, m_d s.t. $n = m_1 a_1 + \dots + m_d a_d$

Definition (Frobenius number)

$g(A) = \max$ number that's not representable by A

Frobenius' coin-exchange problem

Determine $g(A)$

Two coins

When $d = 2$ the situation is well studied

Theorem 1.2

a_1, a_2 coprime $\Rightarrow g(a_1, a_2) = a_1 a_2 - a_1 - a_2$

- Quite simple
- But such a simple formula cannot be expected for larger d

We prove it in the next subsection

Sylvester's theorem

More is known when $d = 2$

Theorem 1.3 (Sylvester's theorem, 1884)

a_1, a_2 coprime \Rightarrow exactly $\frac{(a_1 - 1)(a_2 - 1)}{2}$ integers are not representable

Example: $a_1 = 3, a_2 = 7$ ($\leadsto a_1 a_2 - a_1 - a_2 = 11$)

1	×	6	✓	11	×	16	✓	21	✓
2	×	7	✓	12	✓	17	✓	22	✓
3	✓	8	×	13	✓	18	✓	23	✓
4	×	9	✓	14	✓	19	✓	24	✓
5	×	10	✓	15	✓	20	✓	25	✓

A tool: restricted partition function

$A = \{a_1, \dots, a_d\}$ a set of coprime positive integer

Definition (Restricted partition function)

$$p_A(n) := \# \left\{ (m_1, \dots, m_d) \in \mathbb{Z}^d : \begin{array}{l} \text{all } m_j \geq 0, \\ m_1 a_1 + \dots + m_d a_d = n \end{array} \right\}$$

In words

$p_A(n) = \#$ representations of n by A

Note

$g(A) = \max\{n \mid p_A(n) = 0\}$

Restricted partition functions and polytopes

Definition (Dilate)

The n -th **dilate** of any set $S \subseteq \mathbb{R}^d$ is

$$nS = \{(nx_1, nx_2, \dots, nx_d) : (x_1, \dots, x_d) \in S\}$$

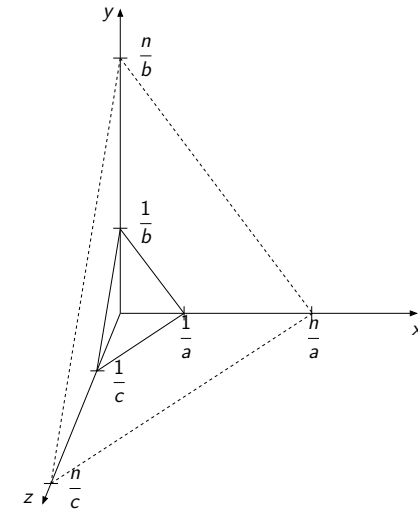
If we define

$$\mathcal{P} = \{(x_1, \dots, x_d) \in \mathbb{R}^d : \text{all } x_j \geq 0, x_1 a_1 + \dots + x_d a_d = 1\} \quad (4)$$

then we see that

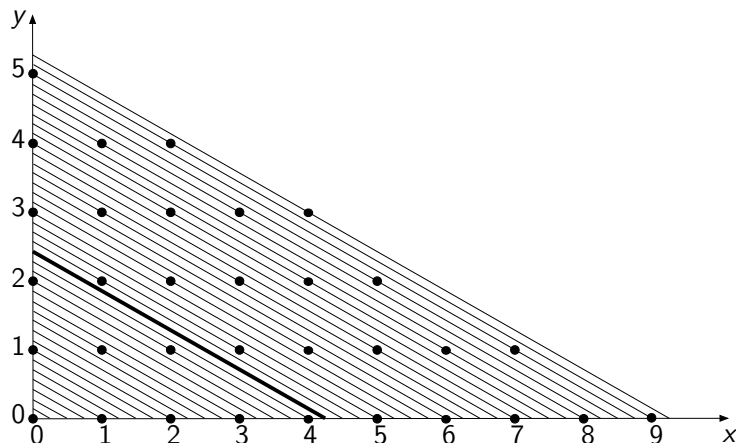
- \mathcal{P} is a polytope (defined in the next lecture), and
- $p_A(n) = \#(n\mathcal{P} \cap \mathbb{Z}^d)$

Schematic geometric picture for three coins



Geometric picture for two coins

$A = \{4, 7\}$, the lines $4x + 7y = n$, $n = 1, 2, \dots$



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Generating function for the restricted partition function

Concentrate on the case $d = 2$, so let $A = \{a, b\}$ where a, b coprime

- Consider $p_{\{a,b\}}(n) = \# \{(k, l) \in \mathbb{Z}^2 : k, l \geq 0, ak + bl = n\}$
- Consider the product of the following two geometric series:

$$\begin{aligned} \left(\frac{1}{1-z^a} \right) \left(\frac{1}{1-z^b} \right) &= (1 + z^a + z^{2a} + \cdots) (1 + z^b + z^{2b} + \cdots) \\ &= \sum_{k \geq 0} \sum_{l \geq 0} z^{ak} z^{bl} \\ &= \sum_{n \geq 0} p_{\{a,b\}}(n) z^n \end{aligned}$$

- \therefore this fn is the generating fn for the seq $(p_{\{a,b\}}(n))_{n=0}^{\infty}$

The idea is to study the compact function on the LHS!

Looking at the constant term by shifting

More convenient if we can look at the constant term after shifting

- Namely, $p_A(n)$ is the constant term of

$$f(z) := \frac{1}{(1-z^a)(1-z^b)z^n} = \sum_{k \geq 0} p_{\{a,b\}}(k) z^{k-n}$$

This is a **Laurent series**

- To obtain $p_A(n)$ we only need to “evaluate” $f(z)$ at $z = 0$, but this is impossible since $f(z)$ has terms with negative exponents
- We just need a constant term, so we subtract the terms with negative exponents from $f(z)$ and evaluate it at $z = 0$
- (Or, we may use the residue theorem from complex analysis)

After a few minutes of computation...

We get

$$p_{\{a,b\}}(n) = \frac{1}{2a} + \frac{1}{2b} + \frac{n}{ab} + \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1-\xi_a^{kb})\xi_a^{kn}} + \frac{1}{b} \sum_{j=1}^{b-1} \frac{1}{(1-\xi_b^{ja})\xi_b^{jn}} \quad (7)$$

where

$$\xi_a := e^{2\pi i/a} = \cos \frac{2\pi}{a} + i \sin \frac{2\pi}{a}$$

is the a -th root of unity

- Let's make it simpler and more understandable

Greatest-integer functions and fractional-part functions

Let $x \in \mathbb{R}$

Definition (Greatest-integer function)

$$\lfloor x \rfloor = \max\{n \in \mathbb{Z} \mid n \leq x\}$$

Definition (Fractional-part function)

$$\{x\} = x - \lfloor x \rfloor$$

Example:

x	$\lfloor x \rfloor$	$\{x\}$
4.2	4	0.2
-3.7	-4	0.3
7	7	0

With help of this notation

- When $b = 1$, the problem gets one-dimensional

$$\begin{aligned} p_{\{a,1\}}(n) &= \# \{(k, l) \in \mathbb{Z}^2 : k, l \geq 0, ak + l = n\} \\ &= \# \{k \in \mathbb{Z} : k \geq 0, ak \leq n\} \\ &= \# \left\{ k \in \mathbb{Z} : 0 \leq k \leq \frac{n}{a} \right\} = \left\lfloor \frac{n}{a} \right\rfloor + 1 \end{aligned}$$

- Therefore,

$$\begin{aligned} \frac{1}{2a} + \frac{1}{2} + \frac{n}{a} + \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^k) \xi_a^{kn}} &= \left\lfloor \frac{n}{a} \right\rfloor + 1 \\ \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^k) \xi_a^{kn}} &= - \left\{ \frac{n}{a} \right\} + \frac{1}{2} - \frac{1}{2a} \quad (8) \end{aligned}$$

Popoviciu's theorem

- Exercise 1.22

$$\frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^{bk}) \xi_a^{kn}} = \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^k) \xi_a^{b^{-1}kn}} \quad (9)$$

where b^{-1} is an integer s.t. $b^{-1}b \equiv 1 \pmod{a}$

- Therefore

$$\frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^{bk}) \xi_a^{kn}} = - \left\{ \frac{b^{-1}n}{a} \right\} + \frac{1}{2} - \frac{1}{2a} \quad (10)$$

- Combining this with (7) gives the following theorem

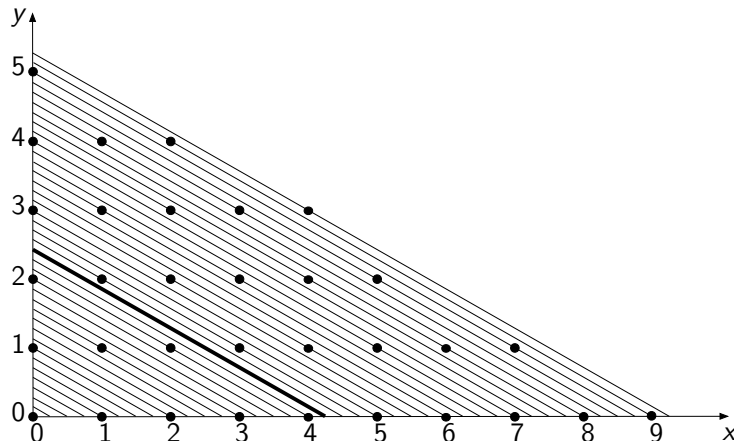
Theorem 1.5 (Popoviciu's theorem, 1953)

$$a, b \text{ coprime} \Rightarrow p_{\{a,b\}}(n) = \frac{n}{ab} - \left\{ \frac{b^{-1}n}{a} \right\} - \left\{ \frac{a^{-1}n}{b} \right\} + 1$$

where $b^{-1}b \equiv 1 \pmod{a}$, $a^{-1}a \equiv 1 \pmod{b}$ \square

Geometric picture for two coins, again

$A = \{4, 7\}$, the lines $4x + 7y = n$, $n = 1, 2, \dots$



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What we're going to do now

Prove Theorems 1.2 and 1.3 from Theorem 1.5

Theorem 1.2

$$a_1, a_2 \text{ coprime} \Rightarrow g(a_1, a_2) = a_1 a_2 - a_1 - a_2$$

Theorem 1.3 (Sylvester's theorem, 1884)

$$a_1, a_2 \text{ coprime} \Rightarrow \text{exactly } \frac{(a_1 - 1)(a_2 - 1)}{2} \text{ integers are not representable}$$

Theorem 1.5 (Popoviciu's theorem, 1953)

$$a, b \text{ coprime} \Rightarrow p_{\{a,b\}}(n) = \frac{n}{ab} - \left\{ \frac{b^{-1}n}{a} \right\} - \left\{ \frac{a^{-1}n}{b} \right\} + 1$$

where $b^{-1}b \equiv 1 \pmod{a}$, $a^{-1}a \equiv 1 \pmod{b}$

We use a lemma

Lemma 1.6

$$a, b \text{ coprime}, n \in [1, ab-1], a \nmid n, b \nmid n \Rightarrow$$

$$p_{\{a,b\}}(n) + p_{\{a,b\}}(ab-n) = 1$$

Proof: Use Theorem 5

$$\begin{aligned} p_{\{a,b\}}(ab-n) &= \frac{ab-n}{ab} - \left\{ \frac{b^{-1}(ab-n)}{a} \right\} - \left\{ \frac{a^{-1}(ab-n)}{b} \right\} + 1 \\ &= 2 - \frac{n}{ab} - \left\{ \frac{-b^{-1}n}{a} \right\} - \left\{ \frac{-a^{-1}n}{b} \right\} \\ &\stackrel{(*)}{=} -\frac{n}{ab} + \left\{ \frac{b^{-1}n}{a} \right\} + \left\{ \frac{a^{-1}n}{b} \right\} \\ &= 1 - p_{\{a,b\}}(n) \end{aligned}$$

(*) follows by $\{-x\} = 1 - \{x\}$ for $x \notin \mathbb{Z}$ □

Proof of Theorem 1.2

It suffices to prove the following two

- ① $p_{\{a,b\}}(ab-a-b) = 0$ (Exer 1.24 and Lem 1.6)
- ② $p_{\{a,b\}}(ab-a-b+n) > 0$ for all $n > 0$

Proof of (2):

- Note $\left\{ \frac{m}{a} \right\} \leq 1 - \frac{1}{a}$ for all $m \in \mathbb{Z}$
- Then

$$\begin{aligned} p_{\{a,b\}}(ab-a-b+n) &\geq \frac{ab-a-b+n}{ab} - \left(1 - \frac{1}{a}\right) - \left(1 - \frac{1}{b}\right) + 1 \\ &= \frac{n}{ab} > 0 \quad \square \end{aligned}$$

Proof of Theorem 1.3

- Non-representable numbers all in $[1, ab-1]$ (by Thm 1.2)
- $a|n$ or $b|n \Rightarrow n$ representable
- Otherwise, exactly one of n and $ab-n$ is representable (Lem 1.6)
- \therefore

$$\begin{aligned} \# \text{ non-representable numbers} &= \frac{(ab-1) - (b-1) - (a-1) + 0}{2} \\ &= \frac{(a-1)(b-1)}{2} \quad \square \end{aligned}$$

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Three coins

a, b, c coprime (Reminder: $\xi_b = e^{2\pi i/b}$)

$$\begin{aligned} p_{\{a,b,c\}}(n) = & \frac{n^2}{2abc} + \frac{n}{2} \left(\frac{1}{ab} + \frac{1}{ac} + \frac{1}{bc} \right) \\ & + \frac{1}{12} \left(\frac{3}{a} + \frac{3}{b} + \frac{3}{c} + \frac{a}{bc} + \frac{b}{ac} + \frac{c}{ab} \right) \\ & + \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^{kb})(1 - \xi_a^{kc}) \xi_a^{kn}} \\ & + \frac{1}{b} \sum_{k=1}^{b-1} \frac{1}{(1 - \xi_b^{kc})(1 - \xi_b^{ka}) \xi_b^{kn}} \\ & + \frac{1}{c} \sum_{k=1}^{c-1} \frac{1}{(1 - \xi_c^{ka})(1 - \xi_c^{kb}) \xi_c^{kn}} \end{aligned}$$

Fourier–Dedekind sums

Reminder: $\xi_b = e^{2\pi i/b}$

Definition (Fourier–Dedekind sum)

$$s_n(a_1, a_2, \dots, a_m; b) := \frac{1}{b} \sum_{k=1}^{b-1} \frac{\xi_b^{kn}}{(1 - \xi_b^{ka_1})(1 - \xi_b^{ka_2}) \cdots (1 - \xi_b^{ka_m})} \quad (13)$$

- Generalizes Dedekind sums (defined in Chapter 7)
- Studied thoroughly (in Chapter 8)

Three coins, rewritten

a, b, c coprime

$$\begin{aligned} p_{\{a,b,c\}}(n) = & \frac{n^2}{2abc} + \frac{n}{2} \left(\frac{1}{ab} + \frac{1}{ac} + \frac{1}{bc} \right) \\ & + \frac{1}{12} \left(\frac{3}{a} + \frac{3}{b} + \frac{3}{c} + \frac{a}{bc} + \frac{b}{ac} + \frac{c}{ab} \right) \\ & + s_{-n}(b, c; a) + s_{-n}(a, c; b) + s_{-n}(a, b; c) \end{aligned}$$

For the derivation, and the extension to more coins, see the textbook

Two coins, revisited

Eq. (7) for two coins

$$\begin{aligned}
 p_{\{a,b\}}(n) &= \frac{1}{2a} + \frac{1}{2b} + \frac{n}{ab} \\
 &\quad + \frac{1}{a} \sum_{k=1}^{a-1} \frac{1}{(1 - \xi_a^{kb}) \xi_a^{kn}} + \frac{1}{b} \sum_{j=1}^{b-1} \frac{1}{(1 - \xi_b^{ja}) \xi_b^{jn}} \\
 &= \frac{1}{2a} + \frac{1}{2b} + \frac{n}{ab} + s_{-n}(b; a) + s_{-n}(a; b)
 \end{aligned}$$

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Concluding remarks

- Frobenius' coin-exchange problem to see the relation of
 - Combinatorics (generating functions)
 - Geometry (convex polytopes)
 - Number theory (Dedekind sums)
- Lots of problems still remain unsolved

Literature

- J.L. Ramírez-Alfonsín. *The Diophantine Frobenius Problem*. Oxford University Press, 2006.