

Integrable probability:
Macdonald processes, quantum integrable systems
and the Kardar-Parisi-Zhang universality class

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Defining the L-matrix

Goal: Construct and analyze interacting particle systems related to integrable higher spin vertex models. In so doing, unite all integrable members of the KPZ universality class in one 4-parameter family.

Vector spaces: $V^I = \begin{cases} \text{span}(0, 1, \dots, I) & , I \in \mathbb{Z}_{\geq 0} \\ \text{span}(0, 1, \dots) & , \text{else} \end{cases}$
(H^J likewise)

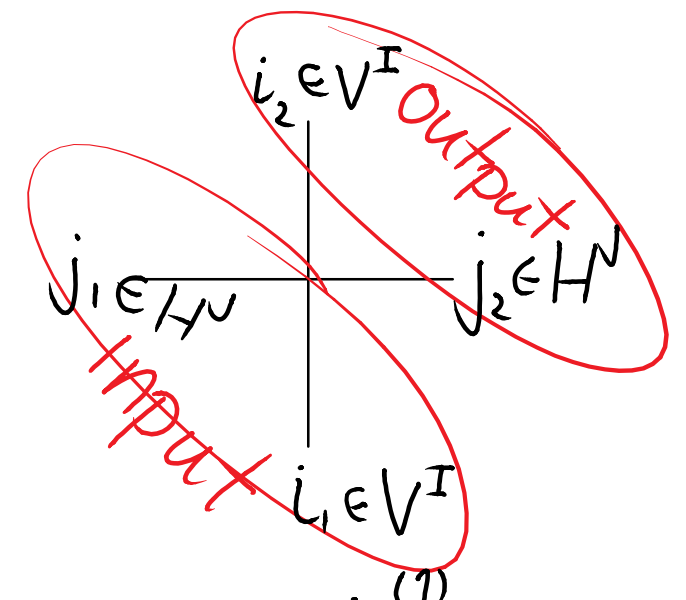
L-matrix: Indexed by complex parameters q, α, I, J such that

$$L: V^I \otimes H^J \rightarrow V^I \otimes H^J$$

For most of the talk, we will set $J=1$, $v = q^{-I}$ and write $L_{\alpha}^{(J)}$.

L-matrix weights

L-matrix elements: $L(i_1, j_1; i_2, j_2)$ indexed by $i_1, i_2 \in V^I$ and $j_1, j_2 \in H^J$.



Definition: For $J=1$ and $m \geq 0$, the non-zero entries of $L_{\alpha}^{(1)}$ are:

$$\begin{array}{c} m \\ | \\ 0 \text{ --- } | \text{ --- } 0 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 0; m, 0) = \frac{1 + \alpha q^m}{1 + \alpha}$$

$$\begin{array}{c} m-1 \\ | \\ 0 \text{ --- } | \text{ --- } 1 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 0; m-1, 0) = \frac{\alpha(1 - q^m)}{1 + \alpha}$$

$$\begin{array}{c} m+1 \\ | \\ 1 \text{ --- } | \text{ --- } 0 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 1; m+1, 0) = \frac{1 - \alpha q^m}{1 + \alpha}$$

$$\begin{array}{c} m \\ | \\ 1 \text{ --- } | \text{ --- } 1 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 1; m, 1) = \frac{\alpha + \alpha q^m}{1 + \alpha}$$

L-matrix weights

Particle conservation: sum of inputs $i_1 + j_1$ = sum of outputs $i_2 + j_2$

Stochasticity: Given i_1, j_1 , sum over $i_2, j_2 = 1$; positive entries if:

1) $q, v \in (0, 1)$, $\alpha > 0$,

2) $q \in (1, \infty)$, $v = q^{-I}$ for $I \in \mathbb{Z}_{\geq 1}$, $\alpha \in (-v, 0)$.

$$\begin{array}{c} m \\ | \\ 0 \text{---} \text{---} 0 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 0; m, 0) = \frac{1 + \alpha q^m}{1 + \alpha}$$

$$\begin{array}{c} m-1 \\ | \\ 0 \text{---} \text{---} 1 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 0; m-1, 0) = \frac{\alpha(1 - q^m)}{1 + \alpha}$$

$$\begin{array}{c} m+1 \\ | \\ 1 \text{---} \text{---} 0 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 1; m+1, 0) = \frac{1 - v q^m}{1 + \alpha}$$

$$\begin{array}{c} m \\ | \\ 1 \text{---} \text{---} 1 \\ | \\ m \end{array} \quad L_{\alpha}^{(1)}(m, 1; m, 1) = \frac{\alpha + v q^m}{1 + \alpha}$$

Aside: Six vertex R-matrix

Define $R(z) = \begin{pmatrix} z K q^{\frac{1}{2}} - z^{-1} K^{-1} q^{-\frac{1}{2}} & z q^{\frac{1}{2}} e \\ z^{-1} q^{-\frac{1}{2}} f & z K^{-1} q^{\frac{1}{2}} - z^{-1} K q^{-\frac{1}{2}} \end{pmatrix}$

where e, f, k generate C_q , related to $U_q(\widehat{sl_2})$, via the relations:

$$k e = q e k, \quad k f = q^{-1} f k, \quad e f - f e = (q - q^{-1})(K^2 - K^{-2}).$$

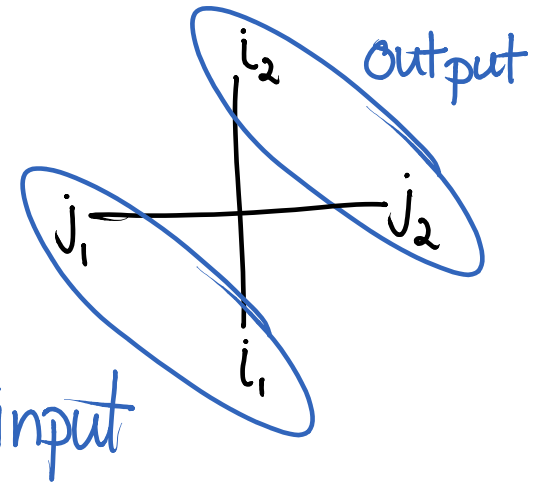
$V^{(I)} \cong \mathbb{C}^{I+1}$ is $I+1$ dim (spin $I/2$) irreducible rep'n with action

$$K V_i^{(I)} = q^{\frac{I}{2} - i} V_i^{(I)}, \quad f V_i^{(I)} = (q^{I-i} - q^{-I+i}) V_{i+1}^{(I)}, \quad e V_i^{(I)} = (q^i - q^{-i}) V_{i-1}^{(I)}$$

and basis $V^{(I)} = \text{span}\{V_0^{(I)}, V_1^{(I)}, \dots, V_I^{(I)}\}$. Identify $V_i^{(I)}$ as i up-spins / particles

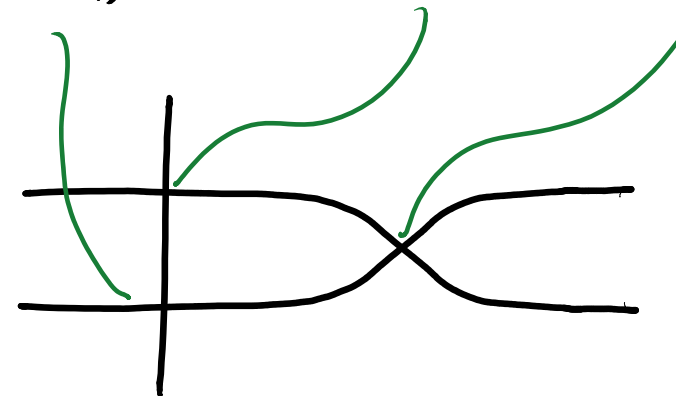
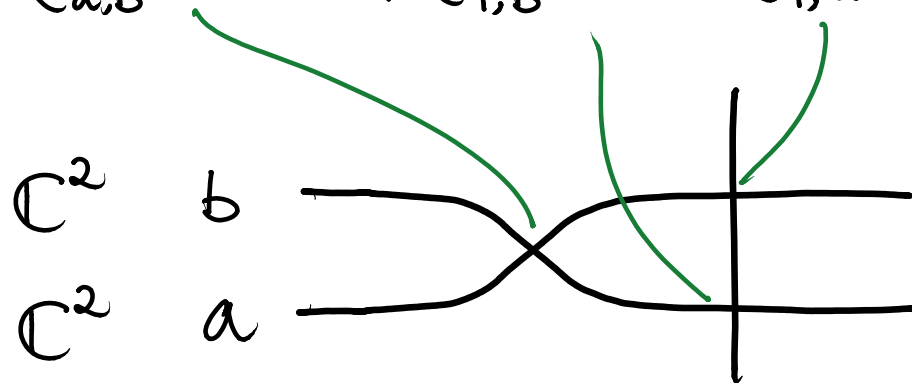
Aside: Six vertex R-matrix

With C_q acting on V , $R(z)$ maps $\mathbb{C}^2 \otimes V$ to itself with matrix elements indexed by $i_1, i_2 \in V$, $j_1, j_2 \in \mathbb{C}^2$



The R-matrix satisfies the **Yang-Baxter relation**

$$R_{a,b}(z/w) R_{1,b}(z) R_{1,a}(w) = R_{1,a}(w) R_{1,b}(z) R_{a,b}(z/w)$$

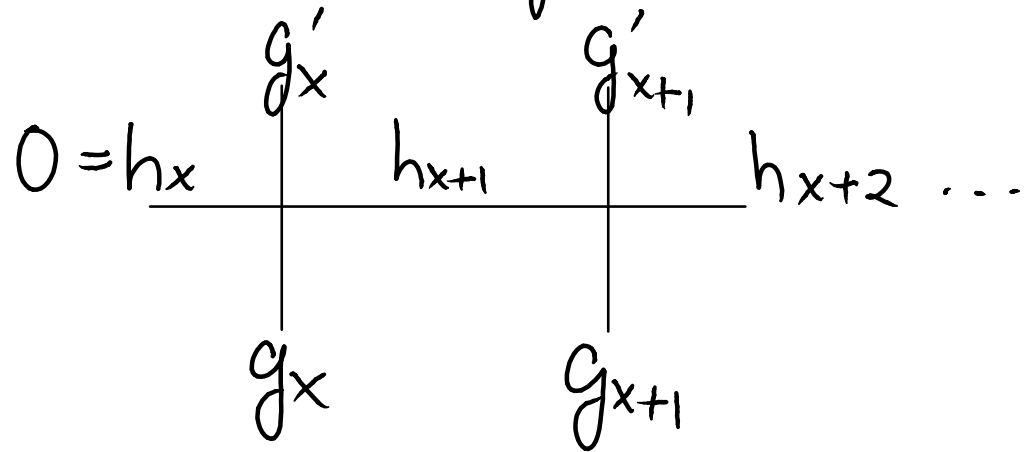


Algebraic Bethe ansatz diagonalizes associated transfer matrix.

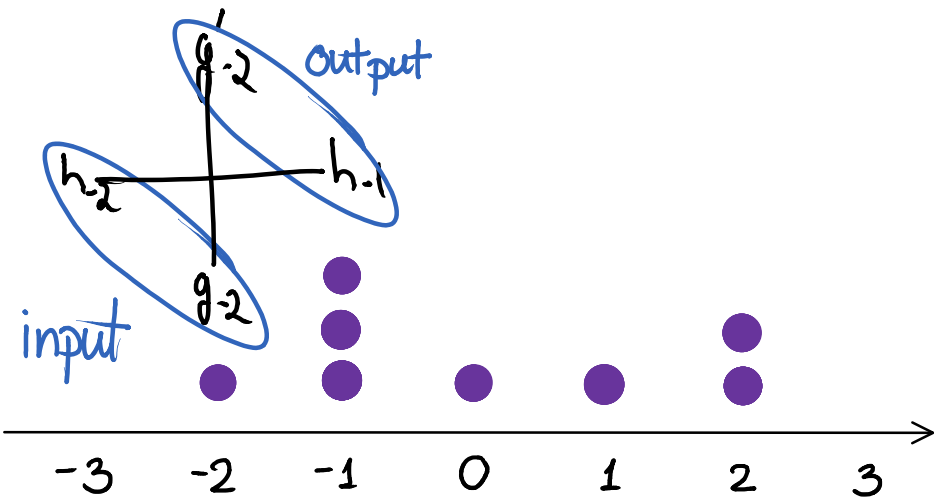
Our L-matrix is a modification of R-matrix, so as to be stochastic.

Zero range process (stochastic transfer matrix)

ZRP: State $\vec{g} = (g_i)_{i \in \mathbb{Z}}$, $g_i \in \mathbb{Z}_{\geq 0}$, $\exists x$ s.t. $g_x > 0$, $g_y = 0 \ \forall y < x$.



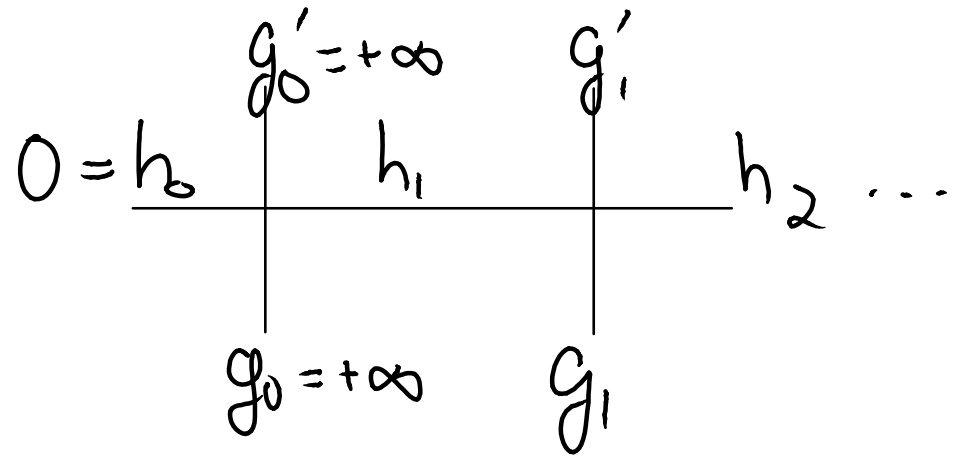
Seq'n (left \rightarrow right) update via $L_\alpha^{(1)}$ Markov chain so given g_x, h_x choose g'_x, h_{x+1} with probability $L_\alpha^{(1)}(g_x, h_x; g'_x, h_{x+1})$.
(dynamics conserve sum of g 's, and h 's = 0 or 1)



Call $B^{\alpha, q^\alpha}(\vec{g}, \vec{g}')$ transition probability / matrix and define its space reversal $\tilde{B}^{\alpha, q^\alpha}(\vec{y}, \vec{y}')$ with state variables \vec{y} .

Asymmetric exclusion process

AEP: State $\vec{X} = (X_1 > X_2 > \dots)$, $X_i \in \mathbb{Z}$, $X_i \equiv +\infty$, $i \leq 0$ (need $V^{\mathbb{I}}$ inf. dim)



ZRP on holes: Let $g_i = X_i - X_{i+1} - 1$ and update $\vec{g} \rightarrow \vec{g}'$ via ZRP. Set $X'_i = X_i + h_i$

Call $T^{\alpha, q^{\alpha}}(\vec{x}, \vec{x}')$ transition probability / matrix for the AEP.



What do we do?

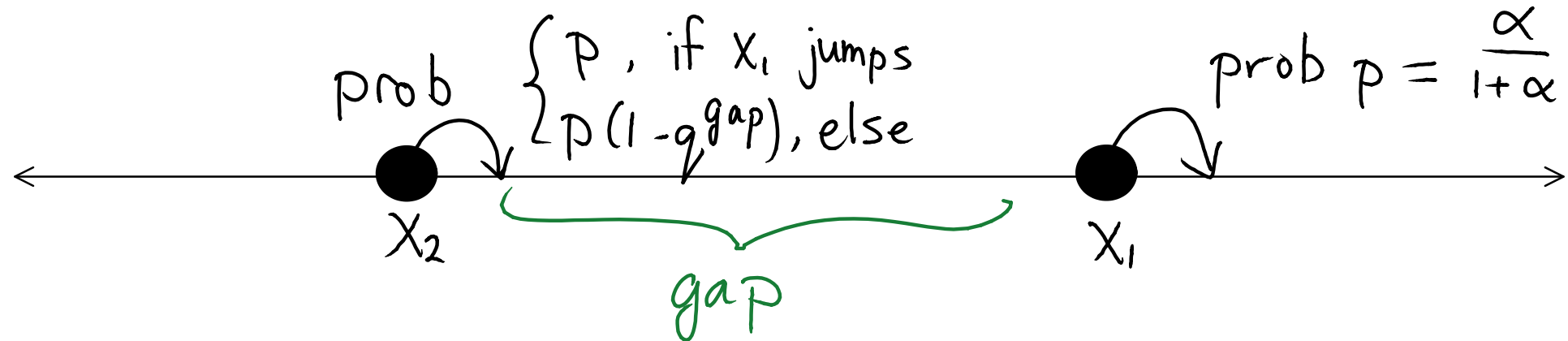
- **Diagonalize** transfer matrices (B 's) via the q -Hahn Boson eigenfunctions on the line (uses completeness / Plancherel theory)
- Demonstrate Markov **dualities** between $B \leftrightarrow \tilde{B}$ and $T \leftrightarrow \tilde{B}$ which enables the computation of moments / distribution functions.
- Generalize to $J > 1$ via probabilistic version of '**fusion**'.

The resulting 4-parameter q, α, ν, J family of processes is on the top of the (known) **integrable KPZ class hierarchy** and we gain tools to study all of the models simultaneously.

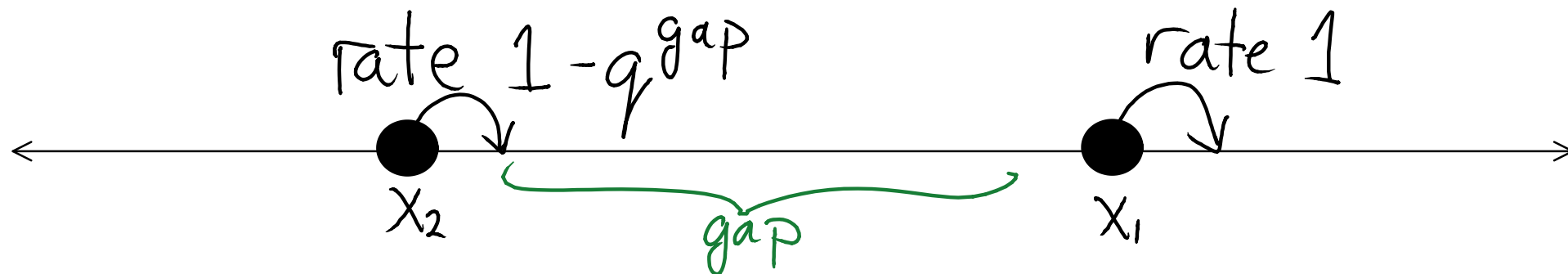
But first, let's explore two special degenerations of the processes.

Bernoulli q -TASEP

Take $V = 0$, $q \in (0, 1)$, $\alpha > 0$ then the AEP becomes

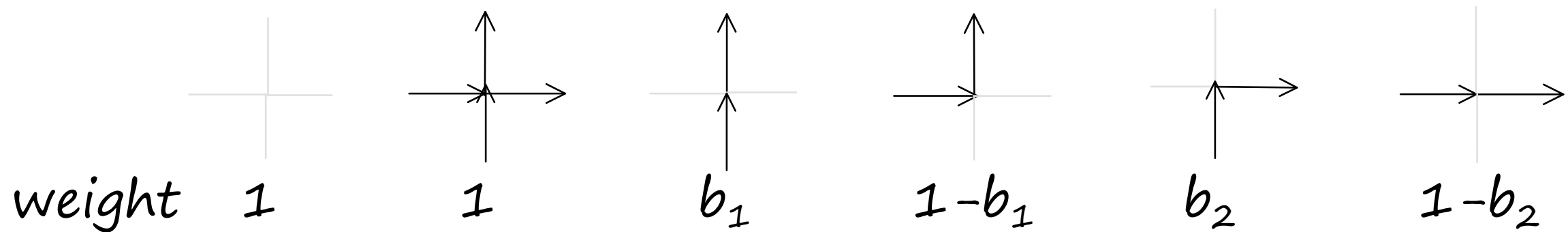


Taking $p \rightarrow 0$, jumps become seldom and speeding up by $1/p$ we recover the continuous time q -TASEP

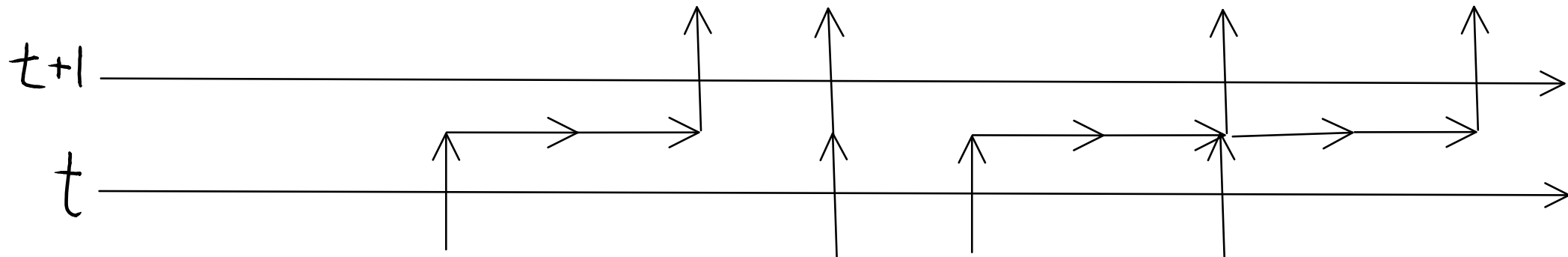


Stochastic six vertex model

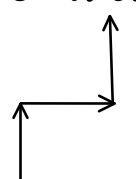
Take $v = q^{-1}$ ($I=1$), $q \in (1, \infty)$, $\alpha \in (-v, 0)$. The six non-zero weights depend on q, α and can be reparameterized via $b_1, b_2 \in (0, 1)$ as



ZRP obeys exclusion rule [\[Gwa-Spohn '92\]](#), [\[Borodin-C-Gorin '14\]](#).



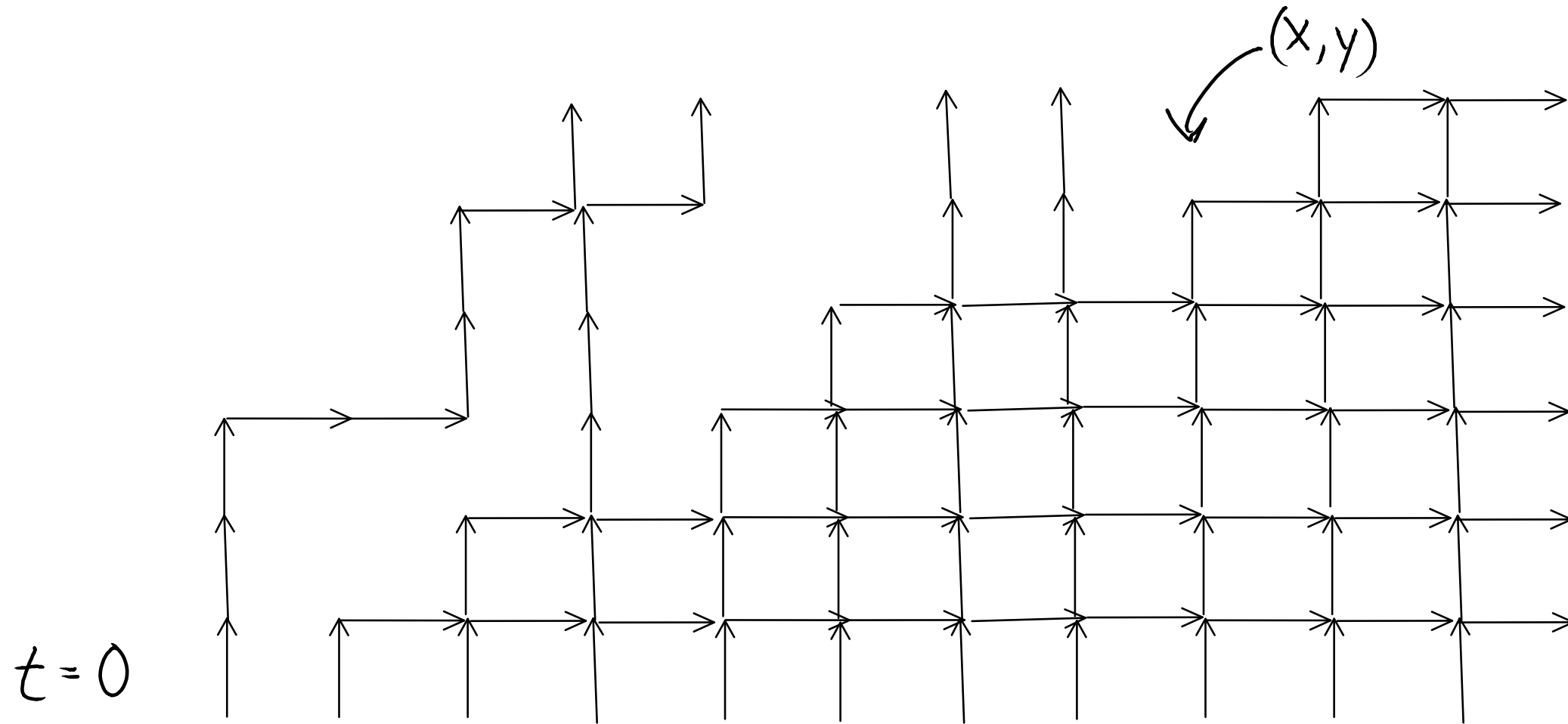
ASEP limits

The ratio $\frac{b_2}{b_1} = \gamma$. Fixing this and taking $b_1, b_2 \searrow 0$ ($\propto \searrow -\gamma$)
Particles almost always follow a  trajectory. Subtracting this diagonal motion and speeding up time by $1/b$ we arrive at ASEP with left jump rate ℓ and right jump rate r having ratio $\frac{r}{\ell} = \gamma$.

Thus we see already that we have **united q -TASEP and ASEP as processes** (earlier we saw their spectral theory united).

Note: q -TASEP has extra structure from Macdonald processes.
No generalization of Macdonald processes is known when $\gamma \neq 0$.

Half domain wall boundary conditions (step initial data)



Start stochastic six-vertex with $g_i(0) = 1_{i \geq 0}$ and define a height function:

$$H(x, y) = \# \text{ lines left of } (x, y).$$

Asymptotics

Theorem [Borodin-C-Gorin '14]: For $0 < b_2 < b_1 < 1$, $\kappa := \frac{1-b_1}{1-b_2}$ we have

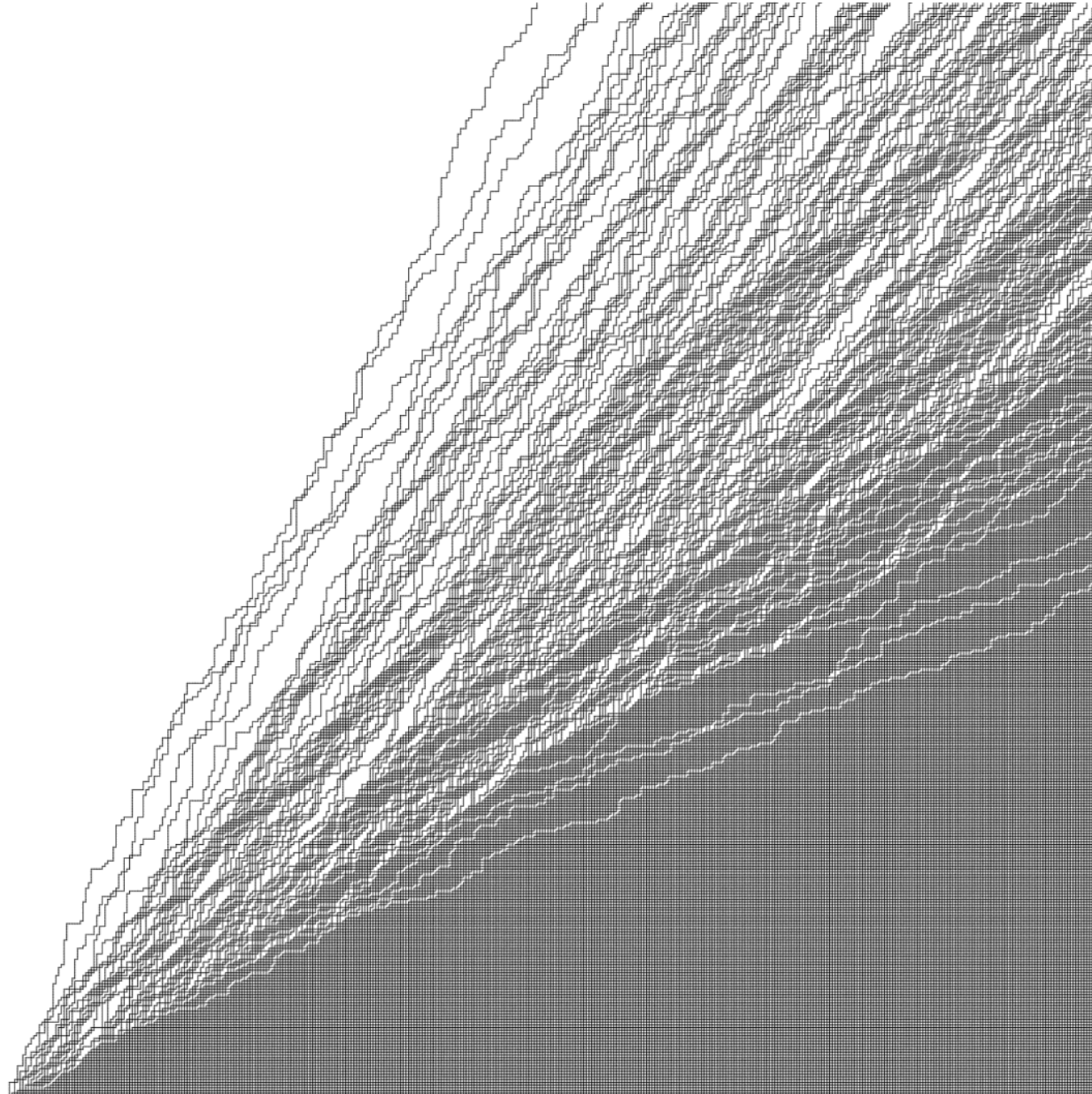
Law of large numbers:

$$\lim_{L \rightarrow \infty} \frac{H(Lx, Ly)}{L} = \mathcal{H}(x, y) := \begin{cases} 0 & , \frac{x}{y} < \kappa \\ (\sqrt{y(1-b_1)} - \sqrt{x(1-b_2)})^2 & , \kappa < \frac{x}{y} < \frac{1}{\kappa} \\ x-y & , \frac{1}{\kappa} < \frac{x}{y} \end{cases}$$

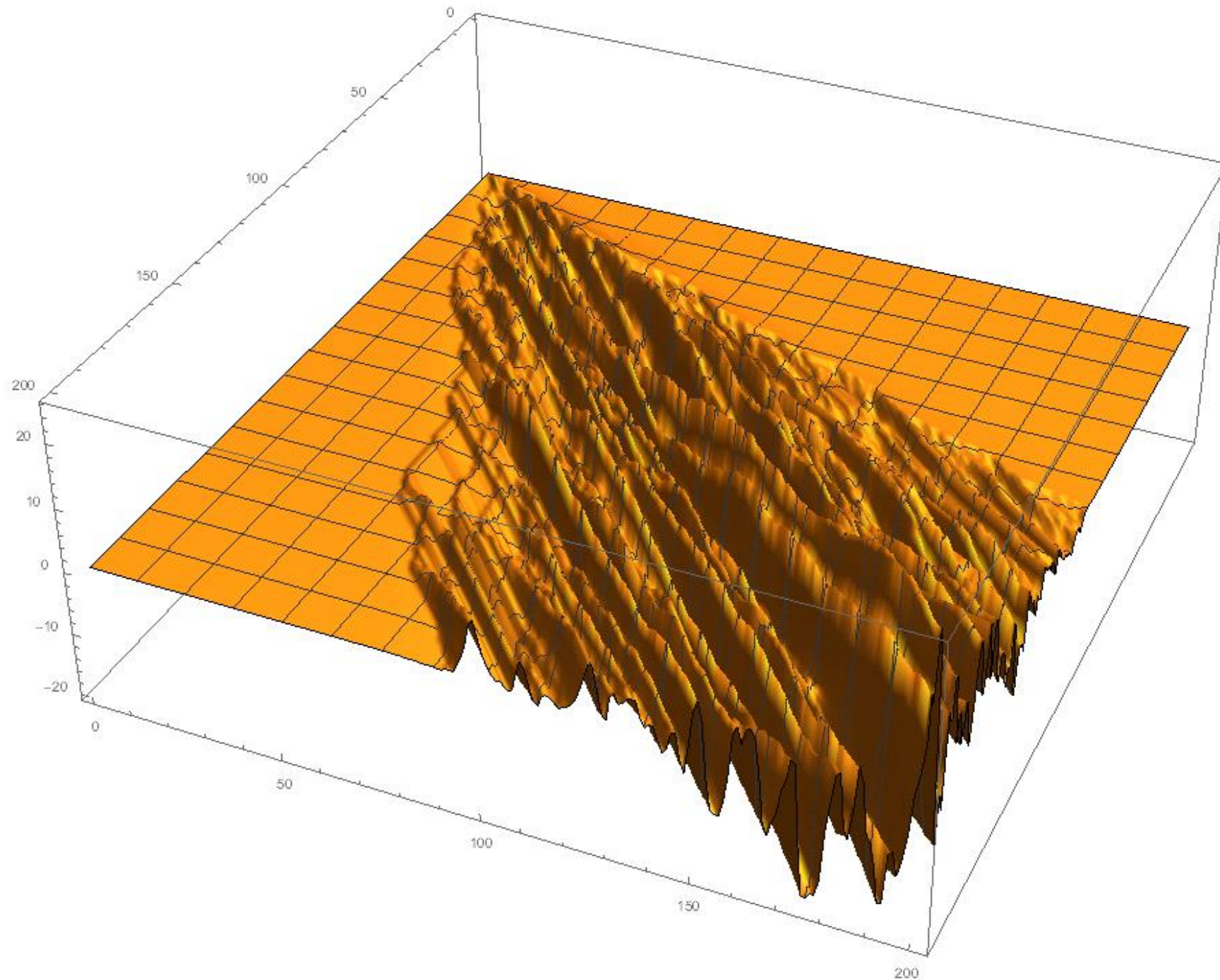
Central limit theorem: For $\kappa < \frac{x}{y} < \frac{1}{\kappa}$,

$$\lim_{L \rightarrow \infty} \mathbb{P}\left(\frac{\mathcal{H}(x, y)L - H(Lx, Ly)}{\sigma_{x, y} L^{1/3}} \leq s\right) = F_{GUE}(s)$$

Asymptotics



Asymptotics



Bethe ansatz diagonalization

Consider the space-reverse ZRP with k particles ($\sum y_i = k$) and label stated by $(n_1 \geq n_2 \geq \dots \geq n_k) = \vec{n}$. Recall q -Hahn left eigenfunction:

$$\psi_{\vec{z}}^l(\vec{n}) = \sum_{\sigma \in S(k)} \prod_{a > b} \frac{z_{\sigma(a)}^{-1} q^{z_{\sigma(b)}}}{z_{\sigma(a)}^{-1} - z_{\sigma(b)}} \prod_{j=1}^k \left(\frac{1 - v z_{\sigma(j)}}{1 - z_{\sigma(j)}} \right)^{n_j}$$

indexed by $z_1, \dots, z_k \in \mathbb{C} \setminus \{1, v^{-1}\}$ and depending on q, v only.

Theorem: For $z_i: \left| \frac{1-z_i}{1-vz_i} \cdot \frac{\alpha+v}{\alpha+1} \right| < 1, i=1, \dots, k$

$$\left(\tilde{B}^{\alpha, q^{\alpha}} \psi_{\vec{z}}^l \right)(\vec{n}) = \prod_{i=1}^k \frac{1 + q^{\alpha} z_i}{1 + \alpha z_i} \psi_{\vec{z}}^l(\vec{n}).$$

Follows Algebraic Bethe Ansatz, or recent work of [Borodin '14].

Relation q -Hahn Boson transition operator

Recall that for the q -Hahn Boson process with parameters q, μ, ν

$$P_{q, \mu, \nu}^{\text{Boson}} \psi_{\vec{z}}^l = \prod_{j=1}^k \frac{1 - \mu z_j}{1 - \nu z_j} \psi_{\vec{z}}^l.$$

This, along with the Plancherel theory implies that we can write

$$\tilde{B}^{\alpha, q^{\alpha}} = P_{q, \textcolor{red}{-}q^{\alpha}, \nu}^{\text{Boson}} \left(P_{q, \textcolor{red}{-}\alpha, \nu}^{\text{Boson}} \right)^{-1}.$$

Note: While q -Hahn Boson process can be factored into free evolution equation and 2-body boundary conditions, the general ZRP considered here does not admit such a factorization.

Direct and inverse Fourier type transforms

Let

$$W^k = \{ f: \{n_1, \dots, n_k \mid n_j \in \mathbb{Z}\} \rightarrow \mathbb{C} \text{ of compact support} \}$$

$$\mathcal{E}^k = \mathbb{C} \left[\left(\frac{1-vz_1}{1-z_1} \right)^{\pm 1}, \dots, \left(\frac{1-vz_k}{1-z_k} \right)^{\pm 1} \right]^{S(k)} = \text{symmetric Laurent poly's in } \left(\frac{1-vz_j}{1-z_j} \right), 1 \leq j \leq k.$$

Direct transform: $\mathcal{F}: W^k \rightarrow \mathcal{E}^k$

$$\mathcal{F}: f \mapsto \sum_{n_1, \dots, n_k} f(\vec{n}) \cdot \Psi_{\vec{z}}^r(\vec{n}) =: \langle f, \Psi_{\vec{z}}^r \rangle_{\vec{w}}$$

Inverse transform: $\mathcal{Y}: \mathcal{E}^k \rightarrow W^k$

$$\mathcal{Y}: G \mapsto (q^{-1})^k q^{-\frac{k(k-1)}{2}} \frac{1}{(2\pi i)^k k!} \oint \dots \oint \det \left[\frac{1}{qw_i - w_j} \right]_{i,j=1}^k \prod_{j=1}^k \frac{w_j}{(1-w_j)(1-vw_j)} \Psi_{\vec{w}}^l(\vec{n}) G(\vec{w}) d\vec{w}$$

$|w_j| = R \in (1, v^{-1})$
 $j=1, \dots, k$

$$=: \langle \Psi^l(\vec{n}), G \rangle_{\mathcal{E}}$$

Plancherel isomorphism theorem

Theorem [\[Borodin-C-Petrov-Sasamoto '14\]](#) On spaces \mathcal{W}^k and \mathcal{E}^k , operators \mathcal{F} and \mathcal{Y} are mutual inverses of each other.

Isometry:

$$\langle f, g \rangle_{\mathcal{W}} = \langle \mathcal{F}f, \mathcal{F}g \rangle_{\mathcal{E}} \quad \text{for } f, g \in \mathcal{W}^k$$

$$\langle F, G \rangle_{\mathcal{E}} = \langle \mathcal{Y}F, \mathcal{Y}G \rangle_{\mathcal{W}} \quad \text{for } F, G \in \mathcal{E}^k$$

Biorthogonality:

$$\langle \psi_{\bullet}^l(\vec{m}), \psi_{\bullet}^r(\vec{n}) \rangle_{\mathcal{E}} = \delta_{\vec{m}, \vec{n}}$$

in a certain weak sense $\rightarrow \langle \psi_{\vec{z}}^l(\cdot), \psi_{\vec{w}}^r(\cdot) \rangle_{\mathcal{W}} = \prod_{a \neq b} \frac{z_a - q z_b}{z_a - z_b} \prod_{j=1}^k (1 - z_j)(1 - v z_j) \det \left[\delta(z_i - w_j) \right]_{i,j=1}^k$

Proof of $\mathcal{Y}\mathcal{F} = \text{Id}$ uses residue calculus in nested contour version of \mathcal{Y} , while proof of $\mathcal{F}\mathcal{Y} = \text{Id}$ uses existence of simultaneously diagonalized family of matrices

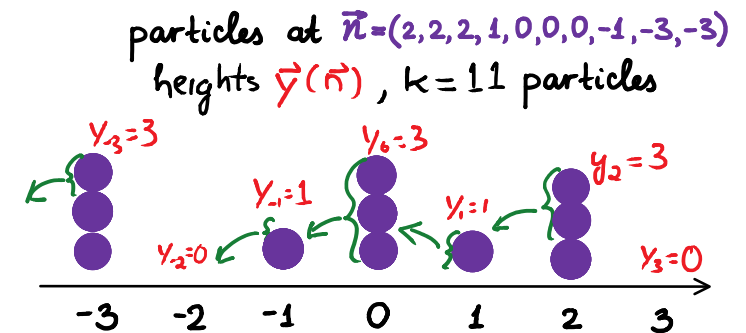
Back to the q -Hahn Boson particle system

Corollary The (unique) solution of the ZRP evolution equation

$$f(t+1, \vec{y}) = \tilde{B}^{\alpha, q^{\alpha}} f(t, \vec{y}) \text{ with } f(0, \vec{y}) = f_0(\vec{y}) \text{ is}$$

$$f(t, \vec{y}(\vec{n})) = \mathcal{Y} \left(\left(\prod_{j=1}^k \frac{1+q^{\alpha} z_j}{1+\alpha z_j} \right)^t \mathcal{F} f_0 \right) \quad \text{eigenvalue of } H \text{ corr. to } \Psi_{\vec{z}}$$

$$= \frac{1}{(2\pi i)^k} \oint \dots \oint \prod_{a < b} \frac{z_a - z_b}{z_a - q z_b} \prod_{j=1}^k \left(\frac{1 - v z_j}{1 - z_j} \right)^{n_j} \frac{1}{(1 - z_j)(1 - v z_j)} \left(\prod_{j=1}^k \frac{1+q^{\alpha} z_j}{1+\alpha z_j} \right)^t \langle f_0, \Psi_{\vec{z}}^r \rangle_w d\vec{z}$$



Already know $\mathcal{F} f_0$ for step initial data $f_0(\vec{n}) = \mathbb{1}_{\{n_i \geq 1, 1 \leq i \leq k\}}$

Can solve Kolmogorov forward equation for transition probabilities

AEP - ZRP duality

Define a duality functional $H(\vec{x}, \vec{y}) := \prod_{i \in \mathbb{Z}} q^{(x_i + i)y_i}$ ($= 0$ if $y_i > 0$ for any $i \leq 0$)

Theorem [C-Petrov '15]: $T^\alpha, q^\alpha H = H(\tilde{B}^\alpha, q^\alpha)^T$

Corollary: $\mathbb{E}[H(\vec{X}(t), \vec{y})] = (\tilde{B}^\alpha, q^\alpha)^t \mathbb{E}[H(\vec{X}(0), \vec{y})]$

Corollary: For the AEP with step initial data $\{X_n(0) = -n\}_{n \geq 1}$

$$\mathbb{E}\left[q^{(x_{n_1}(t) + n_1) + \dots + (x_{n_k}(t) + n_k)} \right]_{(n_1 \geq n_2 \geq \dots \geq n_k)} = \frac{(-1)^k q^{\frac{k(k-1)}{2}}}{(2\pi i)^k} \oint \dots \oint \prod_{A < B} \frac{z_A - z_B}{z_A - q z_B} \prod_{j=1}^k \left(\frac{1 - v z_j}{1 - z_j} \right)^{n_j} \left(\frac{1 + q^\alpha z_j}{1 + \alpha z_j} \right)^t \frac{dz_j}{z_j}$$

* 0 $(z_1 \dots \underbrace{(1) z_k}_{\text{arrow}} z_{k-1} \dots) z_1 \cdot v^{-1}$

This is the starting point for distributional formulas and asymptotics.

ZRP self-duality

Define a duality functional $G(\vec{g}, \vec{y}) := \prod_{i > j} q^{g_i y_j}$

Theorem [\[C-Petrov '15\]](#): $B^\alpha, q^\alpha G = G(\tilde{B}^\alpha, q^\alpha)^\top$

- There are other derivative self-dualities which comes from this.
- This generalizes the ASEP self-duality [\[Schutz '97\]](#), [\[Borodin-C-Sasamoto '12\]](#) and yields a self-duality for stochastic six-vertex which enables the computation of $\mathbb{E}[\gamma^{k N_y(\vec{g}^{(t)})}]$, where we have that $\gamma = q^{-1}$, $N_y(\vec{g}) = \# \text{ particles in } \vec{g} \text{ left of } y$.
- AEP-ZRP duality generalizes that for q -Hahn TASEP/Boson.

$J > 1$ via fusion

Define the higher horizontal spin ZRP transition operator as

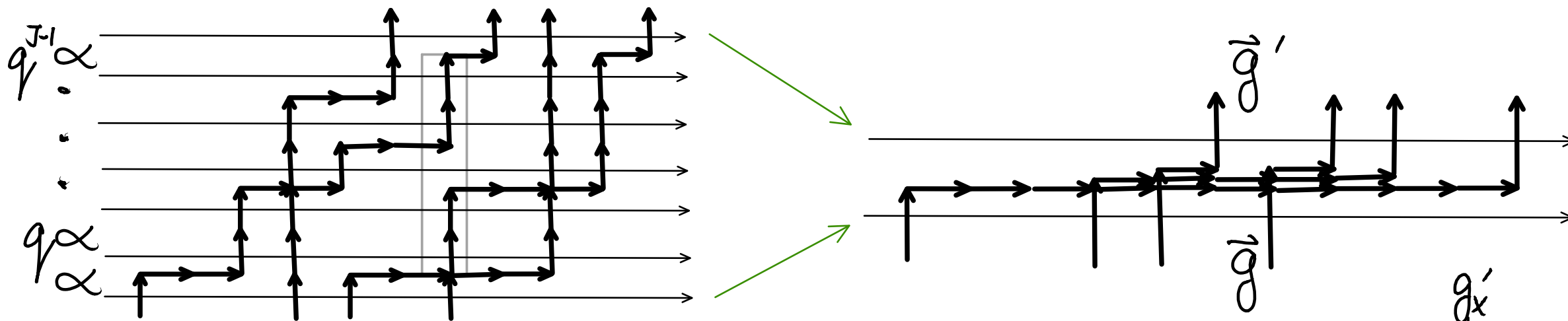
$$B^{\alpha, q^J \alpha} := B^{\alpha, q \alpha} B^{q \alpha, q^2 \alpha} \dots B^{q^{J-1} \alpha, q^J \alpha}.$$

Clearly this is still stochastic (if each B was) and it is diagonalized via the same eigenfunctions with eigenvalue $\prod_{j=1}^k \frac{1 + q^j \alpha z_j}{1 + \alpha z_j}$.

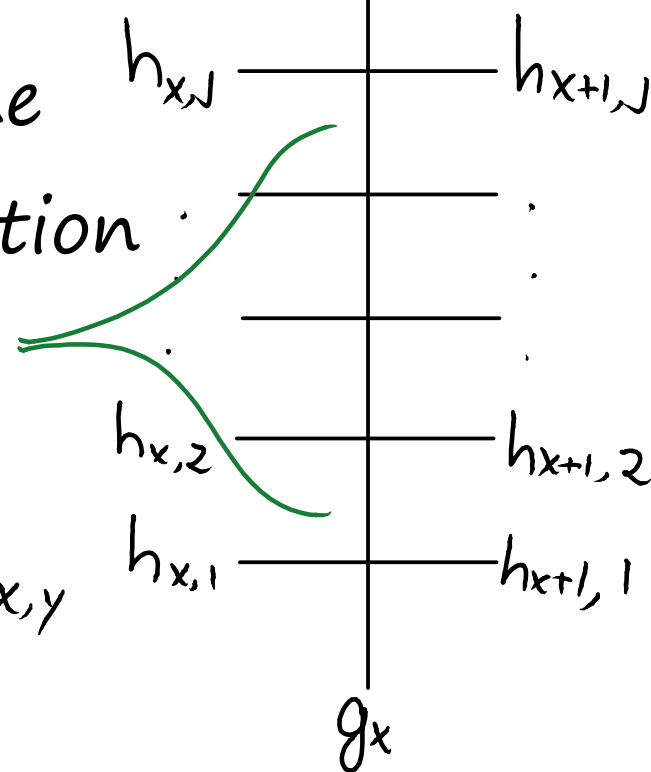
Question: Can this be realized via a sequential update Markov chain using some $L_{\alpha}^{(J)} : V^{\mathbb{I}} \otimes H^J \rightarrow V^{\mathbb{I}} \otimes H^J$?

Answer: Yes, due to [Kirillov-Reshetikhin '87] fusion procedure. This simplifies on the line and we provide a probabilistic proof.

$J > 1$ via fusion



- Call $S = (H^1)^{\otimes J}$, $S' = H^J$. Given \vec{g} define the x -dependent horizontal Markov chain with transition matrix $P_x: S \rightarrow S$ given by the product of weights with $h_{x,1} \otimes \dots \otimes h_{x,J} \in S$.
 - Define $\Phi: S \rightarrow S'$ as $\Phi(h_{x,1} \otimes \dots \otimes h_{x,J}) = \sum_{y=1}^J h_{x,y}$
- Is Φ applied to the P_x Markov chain still Markov?

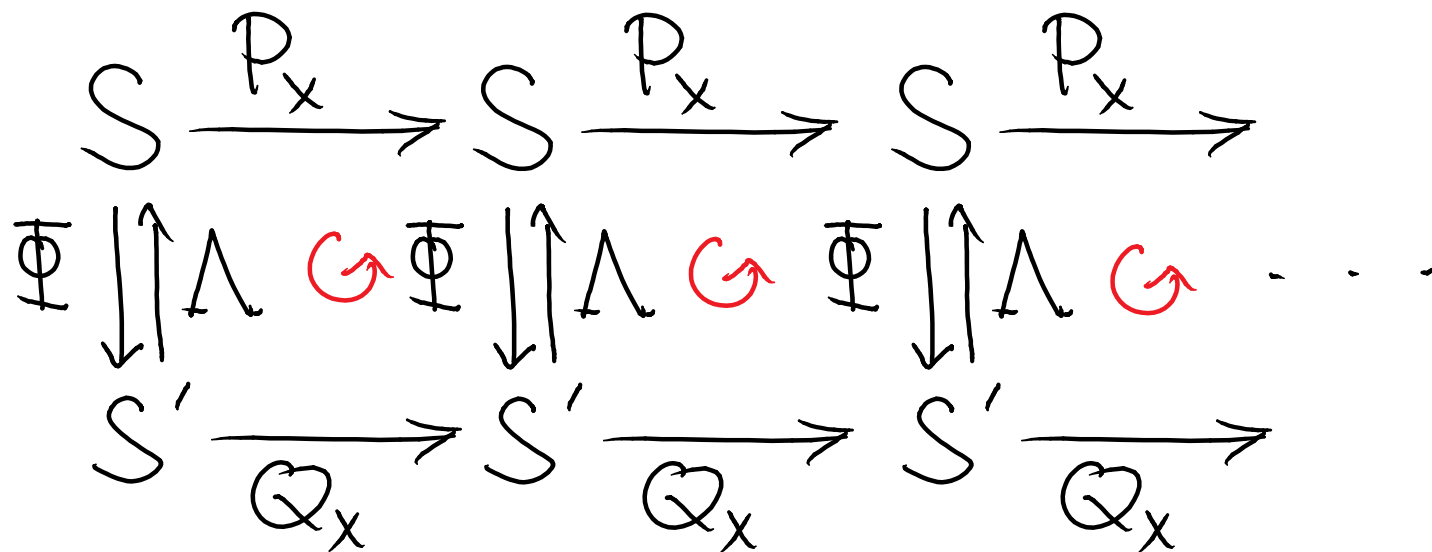


Markov function theory

Theorem [Pitman-Rogers '80]: If there exists a Markov kernel $\Lambda: S' \rightarrow S$ such that

- ▶ $\Lambda \Phi = \text{Identity on } S'$
- ▶ $Q_x := \Lambda P_x \Phi: S' \rightarrow S'$ satisfies $\Lambda P_x = Q_x \Lambda$

Then starting the P_x chain with measure $\Lambda(y; \bullet)$, its image under Φ coincides in law with the Q_x chain start at y .



Applying markov function theory

Define $\bigwedge(h_x; h_{x,1} \otimes \dots \otimes h_{x,J}) = Z^{-1} \mathbb{1}_{\oplus(h_{x,1} \otimes \dots \otimes h_{x,J}) = h_x} \prod_{y: h_{x,y}=1} q_y^y$

This is the conditional distribution of $h_{x,1} \otimes \dots \otimes h_{x,J}$ given its sum.

Theorem [C-Petrov '15]: Both conditions of Pitman-Rogers are satisfied and thus the Q_x chain started with $h_x = 0$ provides a way to sequentially update $\vec{g} \rightarrow \vec{g}'$ so as to agree with $B^\alpha, g^{\vee\alpha}$.

In particular, we may define $L_\alpha^{(J)}(g_{x,h_x}; g'_{x,h_{x+1}}) := Q_x(h_x, h_{x+1})$.

Can also develop a recursion in J for the L -matrix elements by decomposing J vertical steps in to 1 followed by $J-1$.

Explicit formula for higher spin L-matrix

Based on [Mangazeev '14] we solve the recursion explicitly ($\beta := \alpha q^j$)

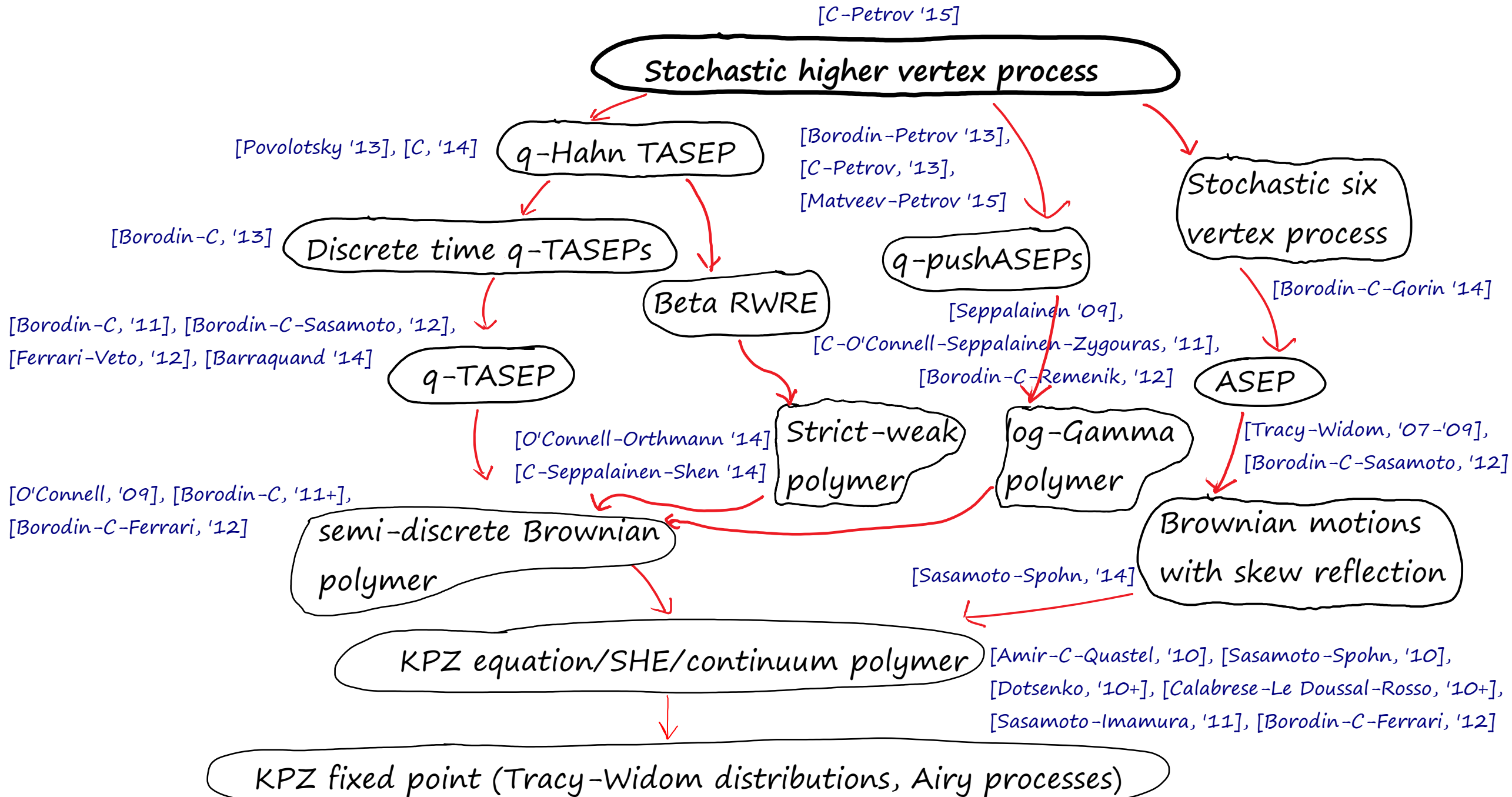
$$L_{\alpha}^{(j)}(i_1, j_1; i_2, j_2) = \mathbb{1}_{i_1+j_1=i_2+j_2} q^{\frac{2j_1-j_1^2}{4} - \frac{2j_2-j_2^2}{4} + \frac{i_1^2+i_2^2}{2} + \frac{i_2(j_2-1)+i_1j_1}{2}}$$

terminating basic hypergeometric series

$$\frac{v^{j_1-j_2} \alpha^{j_2-j_1+i_2} (-\alpha v^{-1}; q)_{j_2-i_1}}{(q; q)_{i_2} (-\alpha; q)_{i_2+j_2} (\beta \alpha^{-1} q^{1-j_1}; q)_{j_1-j_2}} {}_4\phi_3 \left(\begin{matrix} q^{-i_2}; q^{-i_1}, -\beta, -q v \alpha^{-1} \\ v, q^{1+j_2-i_1}, \beta \alpha^{-1} q^{1-i_2-j_2} \end{matrix} \middle| q, q \right).$$

We can analytically continue in β . Positivity is generally lost, though taking $\beta = -\mu$ and setting $\alpha = -v$ we recover it. This specialization corresponds to the q -Hahn Boson process update.

Degenerations to known integrable stochastic systems in KPZ class



Summary

- Found **stochastic L-matrix** and constructed **ZRP/AEP** from it.
- **Diagonalized** via complete Bethe ansatz basis.
- Described two **Markov dualities** (AEP-ZRP and ZRP-ZRP).
- Combined duality and diagonalization to find **moment formulas**.
- Gave Markov functions proof of **fusion** to get $J > 1$ L-matrices.
- Provided explicit formula for 4-parameter (q, v, α, J) family of processes encompassing **all known integrable KPZ class models**.
- Many directions: asymptotics, new degenerations, other initial data, product matrix ansatz, higher rank groups, boundary conditions, connections to Macdonald-like processes...