

On approximation to a real number by algebraic numbers of bounded degree

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Diophantine approximation and transcendence
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Lyon 1

Introduction

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$$\left| \xi - \frac{p}{q} \right| \leq \frac{1}{q^2}.$$

Remark: q measure the “complexity” (= the “height”) of the rational number p/q .

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(here $H(\alpha) \stackrel{\text{def}}{=} \|P_\alpha\| = \text{naive height of } \alpha$, where $P_\alpha \in \mathbb{Z}[X] = \text{minimal polynomial of } \alpha, \text{ irr. over } \mathbb{Z}$).

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(here $H(\alpha) \stackrel{\text{def}}{=} \|P_\alpha\|$ = *naive height* of α , where $P_\alpha \in \mathbb{Z}[X]$ = minimal polynomial of α , irr. over $\mathbb{Z}$).

Example: If p/q irreducible, then $H(p/q) = \|(p, q)\| \asymp |q|$.

Diophantine exponents

A diophantine exponent

Define $\omega_n^*(\xi)$ as the sup. of all $\omega \geq 0$ such that there are ∞ -many algebraic numbers α , of degree at most n , satisfying

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Some properties of ω_n^* .

- $\omega_n^*(\xi) = n$ for almost every $\xi \in \mathbb{R}$ (Sprindžuk, 1969).
- If ξ is algebraic of degree d , then $\omega_n^*(\xi) = \min\{n, d-1\}$ (Schmidt's subspace theorem).
- $[n, \infty] \subseteq \omega_n^*(\mathbb{R} \setminus \overline{\mathbb{Q}})$ (Baker-Schmidt, 1970).

Wirsing's problem (1961)

Theorem (Wirsing, 1961)

For any transcendental real number ξ , we have

$$\omega_n^*(\xi) \geq \frac{n+1}{2} \tag{4}$$

and

$$\omega_n^*(\xi) \geq W(n) = \frac{n}{2} + 1 - o(1). \tag{9}$$

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Auch (9) ließe sich noch verbessern. Da die Verbesserung aber geringfügig ist und kein Grund besteht, anzunehmen, daß man mit (4) und (9) schon in der Nähe der best-möglichen Schranke ist, soll darauf nicht eingegangen werden. Vielleicht gilt sogar stets $w_n^*(\xi) \geq n$ für $n < s$ und reelles ξ .

E. Wirsing, 1961, Approximation mit algebraischen Zahlen beschränkten Grades, p.69.

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“Wirsing’s conjecture”. We have $\omega_n^*(\xi) \geq n$ for any $\xi \in \mathbb{R} \setminus \overline{\mathbb{Q}}$.

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- $n = 2$ (Davenport and Schmidt, 1967) : true.
- $n \geq 3$: (widely) open problem.

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Brief history

$$\omega_n^*(\xi) \geq \begin{cases} 0.5n + 1 - o(1) & \text{Wirsing, 1961} \\ n/2 + 3 - o(1) & \text{Bernik and Tishchenko, < 2021} \\ n/\sqrt{3} \approx 0.577n & \text{Badziahin-Schleischitz, 2021.} \end{cases}$$

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Main Theorem (P., 2025)

For any $\xi \in \mathbb{R} \setminus \overline{\mathbb{Q}}$, we have

$$\omega_n^*(\xi) \geq \frac{n}{2 - \log 2} \approx 0.765n.$$

Main obstruction

Dirichlet's Theorem (1842)

Let $n \geq 1$ be an integer and let $\xi \in \mathbb{R}$. For each $X > 1$ there is $(a_0, \dots, a_n) \in \mathbb{Z}^{n+1} \setminus \{0\}$ such that

$$\underbrace{|a_0 + a_1\xi + \dots + a_n\xi^n|}_{P(\xi)} \leq X^{-n} \quad \text{and} \quad \underbrace{\max_{1 \leq i \leq n} |a_i|}_{\asymp \|P\|} \leq X.$$

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Naive approach.

- Construct ∞ -many P in $\mathbb{Z}[X]_{\leq n}$ with $|P(\xi)| \ll \|P\|^{-n}$ (Dirichlet's Theorem).
- Consider α root of P such that $|\xi - \alpha|$ is minimal (we have $H(\alpha) \ll \|P\|$).
- **Remark:** If $P(\xi)$ is “small”, then so is $|\xi - \alpha|$ (and vice versa).

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Serious issue: $|P'(\xi)|$ could be “small” ! ($\Leftrightarrow P$ has at least two roots “close” to ξ).

Principle : If $P(\xi)$ is “very small” and $|P'(\xi)|$ is “not too small”, then α is a “rather good” algebraic approximation.

Wirsing's proof

Wirsing (1961):

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- Bound from above their [resultant](#)

$$1 \leq \underbrace{|\operatorname{Res}(P, Q)|}_{\in \mathbb{Z} \setminus \{0\}} = \underbrace{|\operatorname{Res}(P(X + \xi), Q(X + \xi))|}_{\text{involves } P(\xi), P'(\xi), Q(\xi), Q'(\xi)}.$$

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Write

$$P(X + \xi) = P(\xi) + P'(\xi)X + \frac{P''(\xi)}{2}X^2 + \dots$$

Wirsing's proof

... then $\text{Res}(P(X + \xi), Q(X + \xi))$ is equal to

$ \begin{array}{ccc} P(\xi) & 0 & 0 & \dots \\ P'(\xi) & P(\xi) & 0 & \\ P''(\xi)/2 & P'(\xi) & P(\xi) & \end{array} $ $\mathcal{O}(\ P\)$	$ \begin{array}{ccc} Q(\xi) & 0 & 0 & \dots \\ Q'(\xi) & Q(\xi) & 0 & \\ Q''(\xi)/2 & Q'(\xi) & Q(\xi) & \end{array} $ $\mathcal{O}(\ Q\)$
$\deg Q$	$\deg P$

Wirsing's proof

Putting everything together, we finally find that

$$1 \ll \max\{|P'(\xi)|, |Q'(\xi)|\}^2 \underbrace{\max\{|P(\xi)|, |Q(\xi)|\}}_{\ll H(P)^{-n}} \|P\|^{2n-3}.$$

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After computation:

$$\omega_n^*(\xi) \geq \frac{n+1}{2}.$$

To go further...

Our goal: prove that $\omega_n^*(\xi) \geq \frac{n}{2 - \log 2} = 0.765 \dots n$.

Our strategy: “THE MORE, THE MERRIER.” (14th-century, poem *Pearl*, line 850).

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Framework: *parametric geometry of numbers*.

Back to Wirsing's problem...

We choose l.i. polynomials $P_1, \dots, P_{n+1}$ which **realize the successive minima** of the symmetric convex body

$$\mathcal{C}_\xi(q) = \left\{ R \in \mathbb{R}[X]_{\leq n}; \|R\| \leq 1 \quad \text{and} \quad |R(\xi)| \leq e^{-q} \right\}$$

with respect to the lattice $\mathbb{Z}[X]_{\leq n}$ (for a good choice of q).

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- $\|P_1\| \leq \dots \leq \|P_{n+1}\|$;
- $|P_k(\xi)| \leq |P_1(\xi)|$ (after small correction);
- Control of the norms ? $\rightarrow$ **Minkowski's second Theorem** :

$$|P_1(\xi)| \|P_2\| \cdots \|P_{n+1}\| \asymp 1.$$

Sketch of the proof

Write $\|P_k\| = \|P_2\|^{a_k}$ and $|P_1(\xi)| \asymp \|P_2\|^{-x}$.

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Properties of the parameters :

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Step 1. Bound from above

$$1 \leq |\det(P_1, \dots, P_{n+1})| = \left| \begin{array}{cccc} P_1(\xi) & P_2(\xi) & \dots & P_{n+1}(\xi) \\ P'_1(\xi) & P'_2(\xi) & \dots & P'_{n+1}(\xi) \\ \hline \mathcal{O}(\|P_1\|) & \mathcal{O}(\|P_2\|) & \dots & \mathcal{O}(\|P_{n+1}\|) \\ \mathcal{O}(\|P_1\|) & \mathcal{O}(\|P_2\|) & \dots & \mathcal{O}(\|P_{n+1}\|) \end{array} \right|.$$

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$$1 \leq \underbrace{|\det(P_1, \dots, P_{n+1})|}_{\text{involves } P_i(\xi), P'_i(\xi)}.$$

- $\Rightarrow$ at least one of the $P'_i(\xi)$ is “not too” small;
- $\Rightarrow$ at least one of the P_i has a root “rather close” to ξ ;
- $\Rightarrow$ (after some computation)

$$\omega_n^*(\xi) \geq \beta_1(x, a_2, \dots, a_{n+1}) = \frac{x}{a_{n+1}}.$$

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Form a basis $\mathcal{B}$ of $\mathbb{R}[X]_{n+1}$ by choosing among

$$\underbrace{\{P_1, XP_1, P_2, XP_2, \dots, P_i, XP_i, \dots, P_n, XP_n\}}_{\text{start}}$$

(always possible if P_1 and P_2 coprime).

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(always possible if P_1 and P_2 coprime). Bounding from above

$$1 \leq \underbrace{|\det(\mathcal{B})|}_{\text{involves } P_i(\xi), P'_i(\xi)}$$

we obtain $\omega_n^*(\xi) \geq \beta_2(x, a_2, \dots, \textcolor{red}{a}_{n+1}) = \frac{x + a_{n+1} - 2}{a_n}$.

Step 3. Get rid of P_{n+1} and P_n and repeat the process with a basis of $\mathbb{R}[X]_{n+2}$ choosing among

$$\underbrace{\{P_1, \textcolor{red}{X}P_1, \textcolor{red}{X}^2P_1, P_2, XP_2, X^2P_2, \dots, P_i, XP_i, X^2P_i, \dots\}}_{\text{start}}.$$

We deduce that, for some explicit function β_3 ,

$$\omega_n^*(\xi) \geq \beta_3(x, \textcolor{red}{a}_2, \dots, \textcolor{red}{a}_{n+1}).$$

Sketch of the proof

⋮
Step n . Get rid of $P_3, \dots, P_{n+1}$ and consider the basis of $\mathbb{R}[X]_{2n-1}$

$$\mathcal{B} = \{P_1, XP_1, \dots, X^{n-1}P_1, P_2, XP_2, \dots, X^{n-1}P_2\}$$

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Then (as in Wirsing's proof), we have

$$\det(\mathcal{B}) = \text{Res}(P_1, P_2)$$

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We find a last lower bound

$$\omega_n^*(\xi) \geq \beta_n(x, a_2, \dots, a_{n+1}).$$

Sketch of the proof

Combining all the previous estimates, we get

$$\omega_n^*(\xi) \geq \max \left\{ \beta_1, \dots, \beta_n \right\} =: F(x, a_2, \dots, a_{n+1}).$$

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Final step.  Determine $\min F$ on the set of $(x, a_2, \dots, a_{n+1})$ with

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We finally find

$$\omega_n^*(\xi) \geq \min F \geq \frac{n}{2 - \log 2}.$$

Thank you for your attention.



Parametric geometry of numbers

Schmidt and Summerer (2009, 2013), Roy (2015)

Basic idea

Setting : consider

- The lattice $\Lambda = \mathbb{Z}^{n+1} \simeq \mathbb{Z}[X]_{\leq n}$;
- A family of symmetric convex bodies $\mathcal{C}(q)$ of $\mathbb{R}^{n+1} \simeq \mathbb{R}[X]_{\leq n}$ (depending on a parameter $q \geq 0$).

Study the *successive minima* associated to those convex bodies w.r.t. Λ .

Recall that the j -th minimum $\lambda_j(q)$ is the minimum of the $\lambda \geq 0$ s.t.

$$\lambda \mathcal{C}(q) \cap \Lambda$$

contains at least j linearly independent polynomials ($j = 1, \dots, n+1$).

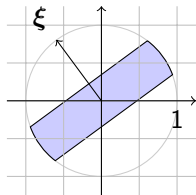
We have $\lambda_1(q) \leq \dots \leq \lambda_{n+1}(q)$ and **Minkowski's second theorem**:

$$\text{vol}(\mathcal{C}(q)) \lambda_1(q) \cdots \lambda_{n+1}(q) \asymp_n 1.$$

Parametric geometry of numbers

Choice of the family ? $\rightarrow$ related to Diophantine problems:

$$\mathcal{C}_\xi(q) = \left\{ R \in \mathbb{R}[X]_{\leq n}; \|R\| \leq 1 \quad \text{and} \quad |R(\xi)| \leq e^{-q} \right\}.$$

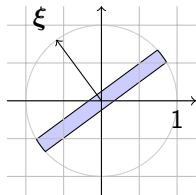


where $\xi = (1, \xi, \xi^2, \dots, \xi^n)$ and we identify $\mathbb{R}^{n+1} \simeq \mathbb{R}[X]_{\leq n}$.

Parametric geometry of numbers

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$$\mathcal{C}_\xi(q) = \left\{ R \in \mathbb{R}[X]_{\leq n}; \|R\| \leq 1 \quad \text{and} \quad |R(\xi)| \leq e^{-q} \right\}.$$



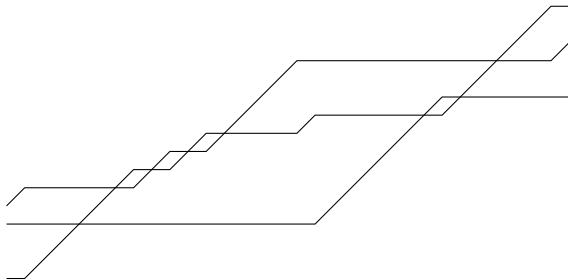
where $\xi = (1, \xi, \xi^2, \dots, \xi^n)$ and we identify $\mathbb{R}^{n+1} \simeq \mathbb{R}[X]_{\leq n}$.

A nice setting

The functions $L_i(q) = \log \lambda_i(q)$ have nice properties :

- $L_1(q) \leq \dots \leq L_{n+1}(q)$ are continuous,
- L_i piecewise linear with slope 0 or 1,
- $L_1(q) + \dots + L_{n+1}(q) = q + \mathcal{O}(1)$ (Minkowski's second theorem),
- ...

Example of the union of the graphs of the L_i ($n = 2$)

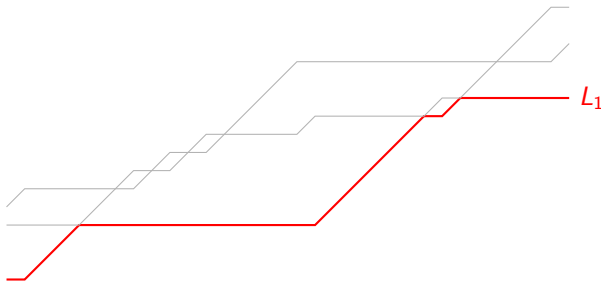


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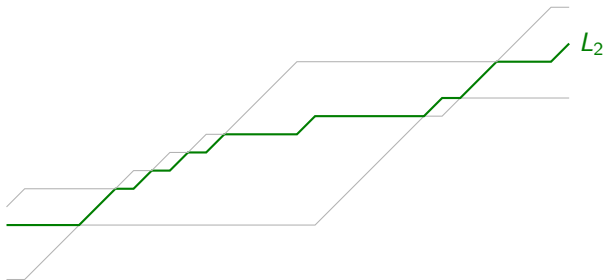


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