On polynomial transformations in several variables
by
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1. In [1] and [2] it has been proved that a transformation defined by a nonlinear polynomial in one variable acting in a finitely generated extension of rationals cannot have infinite invariant sets. Now we consider the case of several variables and prove the following:

**Theorem.** Let \( K \) be an algebraic number field. Let \( F_1(x_1, \ldots, x_N) \), \( \ldots \), \( F_N(x_1, \ldots, x_N) \) be nonlinear polynomials with coefficients in \( K \) such that their leading forms have no nontrivial common zero in \( Z^N \), where \( Z \) is the field of complex numbers. Then the transformation \( T: \)

\[ (x_1, \ldots, x_N) \rightarrow (F_1(x_1, \ldots, x_N), \ldots, F_N(x_1, \ldots, x_N)) \]

has no infinite invariant sets in \( K^N \).

A special case \( (N = 2) \), and all \( F_i \) are forms of a degree at least 3) of that theorem has been proved in [3].

One can ask whether all assumptions are essential. It is trivial that for every system of \( N \) forms \( G_1(x_1, \ldots, x_N), \ldots, G_N(x_1, \ldots, x_N) \) over \( K \) which have a nontrivial common zero (and thus have an infinite number of them) one can find polynomials \( F_1, \ldots, F_N \) having \( G_1, \ldots, G_N \) as their leading forms and such that the transformation defined by them has an infinite invariant set in a suitable extension of \( K \). Indeed, the polynomials \( F_i = G_i + a_i \) \( (i = 1, \ldots, N) \) and the set \( \{a_1, \ldots, a_N\}: G_1(a_1, \ldots, a_N) \neq 0, i = 1, \ldots, N \) are suitable.

However, if one is concerned with forms only, it seems that the conditions can be relaxed. It has been proved in [4] that if \( N = 2 \) and \( K \) is a quadratic extension of rationals with a negative discriminant, then the theorem remains true for pairs of forms \( F_1(x, y), F_2(x, y) \) which have a common factor \( F_1(x, y) \) such that \( F_1/F_2 \) and \( F_2/F_1 \) have no nontrivial zero in common if we impose some restriction on the degree of \( F_0 \). The method is based on the fact that the norm in such a field is positive-definite, but it seems that the result will hold for arbitrary fields.

* During the preparation of this paper the author held a British Council Scholarship at the University College, London.
The second possible weakening of our assumptions is to replace the condition "$F_i$ are polynomials" by the condition "$F_i$ are rational functions". In this direction only the case of rational functions in one variable over the rationals has been settled, and it has been proved that only homogeneous $(a_0+b)/c+1$ have infinite invariant sets 2 (see [5]), but it is very probable that the same result will hold for other algebraic number fields.

Another open question is whether one can replace the condition "$G_1$ have no nontrivial common zero in $K^N$" by the condition "$G_i$ have no nontrivial common zero in $K^N$".

Finally, consider polynomials $F_i(x_1, \ldots, x_N)$, $(i = 1, \ldots, N)$ over $K$ such that the transformation defined by them has an infinite invariant set in $L^N$, where $L$ is an algebraic extension of $K$. It is true that it must have an infinite invariant set in $K^N$.

The original proof of the theorem was based on another choice of function $f(x)$ occurring in Lemma 5, and was valid only for polynomials of sufficiently great degrees, satisfying some additional restrictions. The author is grateful to Dr. J. W. S. Cassels for his observation that the replacement of our function $f(x)$ by another simplifies the proof of Lemma 5, which is then valid in full generality.

2. The proof of the theorem is based on the following

**Lemma 1.** (See [1], Lemma 1). Let $T$ be a transformation of a set $X$ onto itself. Suppose there exist functions $f(x)$, $g(x)$ defined on $X$, with values in the set of natural numbers, subject to the following conditions:

(i) For every natural $c$ the equation $f(x) + g(x) = c$ has only a finite number of solutions,

(ii) There exists a constant $C$ such that $f(x) > C$ implies $f(Tx) > f(x),

(iii) To every constant $M$ there corresponds a constant $B(M)$ such that $f(x) < M$ and $g(x) > B(M)$ imply $g(Tx) > g(x).

Then the set $X$ must be finite.

**Lemma 2.** Suppose the theorem is true in the case where all polynomials $F_i(x_1, \ldots, x_N)$ are homogeneous. Then it is true in the general case also.

**Proof.** Suppose that the polynomials $F_i(x_1, \ldots, x_N)$, $(i = 1, 2, \ldots, N)$ satisfy the assumptions of our theorem. We can write them in the form

$$F_i(x_1, \ldots, x_N) = \sum_{j=1}^{m_i} G_j^i(x_1, \ldots, x_N) \quad (i = 1, \ldots, N),$$

where $G_j^i$ are forms of degree $j_i$ and $m_i$ is the degree of $F_i$.

Let us now introduce the auxiliary forms

$$H_i(x_1, \ldots, x_N) = \sum_{j=1}^{m_i} w_{j_i} G_j^i(x_1, \ldots, x_N) \quad (i = 1, \ldots, N),$$

$$H_{N+1}(x_1, \ldots, x_N) = 1.$$
Let $F_i(x_1,\ldots,x_N)$ be nonlinear forms over $K$ without a nontrivial common zero in $\mathbb{R}^N$, and let $T$ be the transformation defined by them in $K^N$. Let $D$ be the least positive rational integer such that the forms $F_i^D = D F_i$ have coefficients integral in $K$.

**Lemma 5.** There exists a constant $C$ depending on the forms $F_1,\ldots,F_N$ and the field $K$ such that $f(\xi) \geq C$ implies $f(T\xi) > f(\xi)$.

**Proof.** If $\xi$ has the form (1), then

$$T(\xi) = \sum_{\ell=1}^{N} \frac{F_i^D(P_1,\ldots,P_N)/D\xi_1^N}{\xi_1} \cdots \frac{F_i^D(P_1,\ldots,P_N)/D\xi_1^N}{\xi_1} = \sum_{\ell=1}^{N} \frac{F_i^D(P_1,\ldots,P_N)/D\xi_1^N}{\xi_1} \frac{F_i^D(P_1,\ldots,P_N)/D\xi_1^N}{\xi_1},$$

where $n_i$ is the degree of $F_i (i = 1,\ldots,N)$, $R = \max(n_1,\ldots,n_N)$, and $P_i = p_i^{D} + \cdots + p_i^{D}$.

It follows that $f(T\xi) \geq R^N/\mu$, where $\mu$ is the greatest natural divisor of $q^R$ that divides the numbers $q^{D_p}(P_1,\ldots,P_N)$ for all $i = 1,\ldots,N$. If $r = \min(n_1,\ldots,n_N)$, then $\mu$ must divide $q^{D_p}(P_1,\ldots,P_N)$ for all $i = 1,\ldots,N$; hence if $\nu$ is the greatest natural divisor of $q^R$ that divides the numbers $F_i^D(P_1,\ldots,P_N)$ for all $i = 1,\ldots,N$, then $\mu \leq q^{R-N}$.

We shall prove that $v < 1$, and that will be sufficient for the proof of our lemma, since then $\mu \leq q^{R-N}$ and so $f(T\xi) \geq q^R / \mu$, hence we have $f(T\xi) \leq f(\xi)$; hence the inequality $f(T\xi) \leq f(\xi)$ can hold only for $f(\xi) < 1$.

From Lemma 3 follows the existence of forms $F_i^D$ with coefficients integral in $K$, as we shall show in the proof of Lemma 4.

**Lemma 6.** For every fixed $M$ it follows from $f(\xi) \leq M$ that $g(\xi)$.

**Proof.** Suppose that for a sequence $(\xi_n)$ in $K^N$ we have $f(\xi_n) \leq M$ and

$$g(\xi_n) \to 0.$$ 

We can freely assume, choosing if necessary a subsequence, that $g(\xi_n) = |p_i|^{D_p}$ for $k = 1,2,\ldots$ with $i_k, j_k$ independent of $k$ and that there exist limits

$$\lim_{k \to \infty} \frac{p_i}{p_i^{D_p}} = \phi_i,$$

(Here $p_i^{D_p}$ are actually functions of $k$, but for simplicity we shall not indicate this explicitly).

Let $\omega_1,\ldots,\omega_m$ be conjugates of $\omega_1,\ldots,\omega_m$. For arbitrary complex $\phi_i (i = 1,\ldots,N; j = 1,\ldots,m)$ the following identities hold:

$$F_i^D(\phi_1^{D_p},\ldots,\phi_m^{D_p}) = \sum_{\ell=1}^{N} \phi_1^{D_p}(\phi_1^{D_p},\ldots,\phi_m^{D_p}) = 0,$$

where $\phi_i^{D_p}$ are forms of degree $n_i$ in $mN$ variables, with rational integral coefficients, independent of the choice of $\phi_i$.

Now (3) implies

$$\lim_{k \to \infty} \frac{\phi_i^{D_p}(p_1^{D_p},\ldots,p_m^{D_p})}{(p_1^{D_p})^{D_p}} = 0,$$

and a fortiori

$$\lim_{k \to \infty} \frac{\phi_i^{D_p}(p_1^{D_p},\ldots,p_m^{D_p})}{(p_1^{D_p})^{D_p}} = 0,$$

hence

$$\phi_i^{D_p}(\omega_1,\ldots,\omega_m) = 0.$$

Now by (6) we get

$$F_i^D(\omega_1^{D_p},\ldots,\omega_m^{D_p}) = 0,$$

for $i = 1,\ldots,N$, $j = 1,\ldots,m$, and it follows that

$$\phi_i^{D_p}(\omega_1^{D_p},\ldots,\omega_m^{D_p}) = 0,$$

for $i = 1,\ldots,N$, $j = 1,\ldots,m$, and in particular

$$\phi_i^{D_p}(\omega_1^{D_p},\ldots,\omega_m^{D_p}) = 0,$$

for $i = 1,\ldots,m$. Since $\phi_i^{D_p}(1) \neq 0$ it follows that

$$\det |\phi_i^{D_p}|_{i,j=1}^m = 0,$$

which is clearly impossible. The contradiction obtained proves the lemma. Since $\tau > 1$, it follows that the inequality $g(T\xi) \leq M$ implies $g(\xi) < 1$. 


Grenzkreisgruppen und kettenbruchartige Algorithmen

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§ 1. Einleitung. Eine reelle Zahl $\varrho$ läßt sich auf mannigfache Weise in einen Kettenbruch

$$\varrho = \frac{m_0+1}{m_1 + \ldots + 1/m_{l-1} + \varrho_1}$$

mit ganzen rationalen $m_i$ entwickeln. U. a. gibt es genau einen regelmäßigen Kettenbruch mit

$$0 \leq \varrho_1 - m_i < 1.$$  

Will man speziell einen gekürzten Bruch $\varrho = a/c$ in einen Kettenbruch entwickeln, so kann man auch wie folgt verfahren. Man bestimmt ganze rationale $b, d$ so, daß $ad-bc = 1$ ist und stellt die Matrix

$$A = \begin{pmatrix} a & b \\ c & d \end{pmatrix},$$

ein Element der elliptischen Modulgruppe $I'$, durch die beiden Erzeugenden

$$T = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}, \quad J = \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}$$

in der Weise

$$A = T^n JT^n J \ldots T^n J$$

dar. Dann ist

$$\frac{a}{c} = \begin{cases} \frac{m_0-1/n_1 + \ldots + (-1)^{l-1}/n_l}{m_0-1/m_1 + \ldots + (-1)^{l-2}/n_{l-2}} & \text{für } n_l \neq 0, \\
\frac{m_0-1}{m_1 - 1/n_2 + \ldots + (-1)^{l-1} n_{l-1}} & \text{für } n_l = 0.
\end{cases}$$

Die Kettenbrüche (1) und (4) stimmen überein, wenn

$$-n_1, n_2, \ldots, (-1)^{l-1} n_{l-1} > 0, \quad (-1)^{l-1} n_l \geq 0$$

ist. Durch (5) ist die Darstellung (3) von $A$ eindeutig festgelegt.

Sei $F$ ein Fundamentalbereich von $T$. Dann ist unter der Voraussetzung

(3) und $n_4 < 0$

$$F, T^{-1}(F), \ldots, T^n(F), T^n J(F), \ldots, A(F)$$