

College of Science,

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Salahaddin University, Hawler (Erbil)

# Early history of irrational and transcendental numbers

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<http://www.math.jussieu.fr/~miw/>

# Abstract

The transcendence proofs for constants of analysis are essentially all based on the seminal work by Ch. Hermite : his proof of the transcendence of the number  $e$  in 1873 is the prototype of the methods which have been subsequently developed. We first show how the founding paper by Hermite was influenced by earlier authors (Lambert, Euler, Fourier, Liouville), next we explain how his arguments have been expanded in several directions : Padé approximants, interpolation series, auxiliary functions.

# Numbers : rational, irrational

Numbers = real or complex numbers  $\mathbf{R}$ ,  $\mathbf{C}$ .

Natural integers :  $\mathbf{N} = \{0, 1, 2, \dots\}$ .

Rational integers :  $\mathbf{Z} = \{0, \pm 1, \pm 2, \dots\}$ .

Rational numbers :

$a/b$  with  $a$  and  $b$  rational integers,  $b > 0$ .

Irreducible representation :

$p/q$  with  $p$  and  $q$  in  $\mathbf{Z}$ ,  $q > 0$  and  $\gcd(p, q) = 1$ .

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# Numbers : algebraic, transcendental

Algebraic number : a complex number which is root of a non-zero polynomial with rational coefficients.

Examples :

rational numbers :  $a/b$ , root of  $bX - a$ .

$\sqrt{2}$ , root of  $X^2 - 2$ .

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The sum and the product of algebraic numbers are algebraic numbers. The set of complex algebraic numbers is a field, the algebraic closure of  $\mathbb{Q}$  in  $\mathbb{C}$ .

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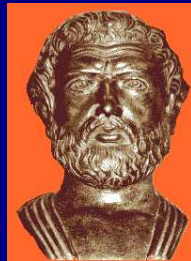
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Pythagoreas school



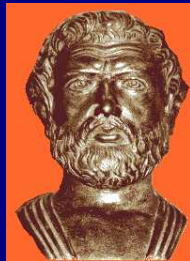
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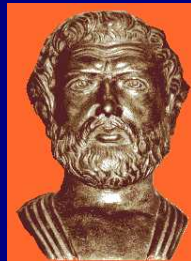
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# Irrationality of $\sqrt{2}$ : geometric proof

- Start with a rectangle have side length 1 and  $1 + \sqrt{2}$ .
- Decompose it into two squares with sides 1 and a smaller rectangle of sides  $1 + \sqrt{2} - 2 = \sqrt{2} - 1$  and 1.
- This second small rectangle has side lengths in the proportion

$$\frac{1}{\sqrt{2} - 1} = 1 + \sqrt{2},$$

which is the same as for the large one.

- Hence the second small rectangle can be split into two squares and a third smaller rectangle, the sides of which are again in the same proportion.
- This process does not end.

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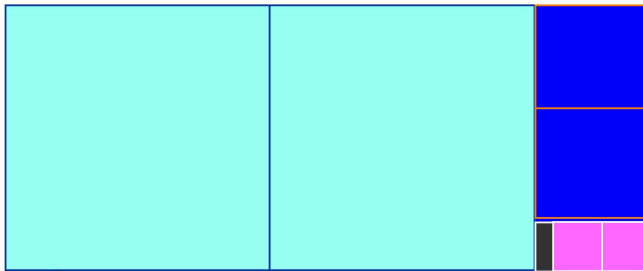
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# Rectangles with proportion $1 + \sqrt{2}$



# Irrationality of $\sqrt{2}$ : geometric proof

If we start with a rectangle having integer side lengths, then this process stops after finitely many steps (the side lengths are positive decreasing integers).

Also for a rectangle with side lengths in a rational proportion, this process stops after finitely many steps (reduce to a common denominator and scale).

Hence  $1 + \sqrt{2}$  is an irrational number, and  $\sqrt{2}$  also.



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# The fabulous destiny of $\sqrt{2}$



- Benoît Rittaud, Éditions *Le Pommier* (2006).

<http://www.math.univ-paris13.fr/~rittaud/RacineDeDeux>

# Continued fraction

The number

$$\sqrt{2} = 1.414\ 213\ 562\ 373\ 095\ 048\ 801\ 688\ 724\ 209 \dots$$

satisfies

$$\sqrt{2} = 1 + \frac{1}{\sqrt{2} + 1}.$$

Hence

$$\begin{aligned}\sqrt{2} &= 1 + \frac{1}{2 + \frac{1}{\sqrt{2} + 1}} = 1 + \frac{1}{2 + \frac{1}{2 + \frac{1}{\sqrt{2} + 1}}} \\ &\quad \vdots\end{aligned}$$

We write the continued fraction expansion of  $\sqrt{2}$  using the shorter notation

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- H.W. Lenstra Jr,  
*Solving the Pell Equation*,  
Notices of the A.M.S.  
**49** (2) (2002) 182–192.

# Irrationality criteria

A real number is rational if and only if its continued fraction expansion is finite.

A real number is rational if and only if its binary (or decimal, or in any basis  $b \geq 2$ ) expansion is *ultimately periodic*.

*Consequence* : it should not be so difficult to decide whether a given number is rational or not.

To prove that certain numbers (occurring as constants in analysis) are irrational is most often an impossible challenge. However to construct irrational (even transcendental) numbers is easy.

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# Euler–Mascheroni constant



Euler's Constant is

$$\begin{aligned}\gamma &= \lim_{n \rightarrow \infty} \left( 1 + \frac{1}{2} + \frac{1}{3} + \cdots + \frac{1}{n} - \log n \right) \\ &= 0.577\,215\,664\,901\,532\,860\,606\,512\,090\,082 \dots\end{aligned}$$

Is it a rational number?

$$\begin{aligned}\gamma &= \sum_{k=1}^{\infty} \left( \frac{1}{k} - \log \left( 1 + \frac{1}{k} \right) \right) = \int_1^{\infty} \left( \frac{1}{[x]} - \frac{1}{x} \right) dx \\ &= - \int_0^1 \int_0^1 \frac{(1-x) dx dy}{(1-xy) \log(xy)}.\end{aligned}$$

Recent work by *J. Sondow* inspired by the work of F. Beukers on Apéry's proof.

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# Riemann zeta function



The function

$$\zeta(s) = \sum_{n \geq 1} \frac{1}{n^s}$$

was studied by Euler (1707– 1783)

for integer values of  $s$

and by Riemann (1859) for complex values of  $s$ .

Euler : for any even integer value of  $s \geq 2$ , the number  $\zeta(s)$  is a rational multiple of  $\pi^s$ .

Examples :  $\zeta(2) = \pi^2/6$ ,  $\zeta(4) = \pi^4/90$ ,  $\zeta(6) = \pi^6/945$ ,  
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# Introductio in analysin infinitorum



Leonhard Euler

(1707 – 1783)

Introductio in analysin infinitorum

# Divergent series

Euler :

$$1 - 1 + 1 - 1 + 1 - 1 + \dots = \frac{1}{2}$$

$$1 + 1 + 1 + 1 + 1 + \dots = -\frac{1}{2}$$

$$1 + 2 + 3 + 4 + 5 + \dots = -\frac{1}{12}$$

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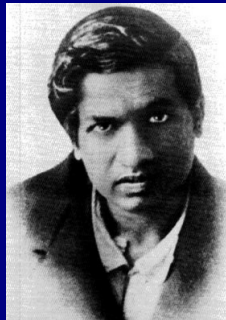
# Srinivasa Ramanujan (1887 – 1920)

Letter of Ramanujan  
to M.J.M. Hill in 1912

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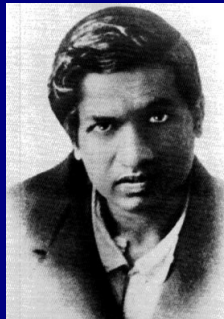
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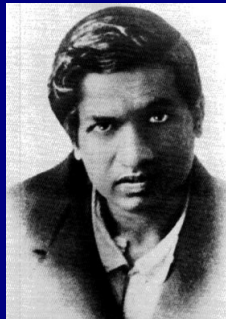
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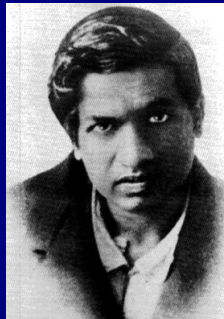
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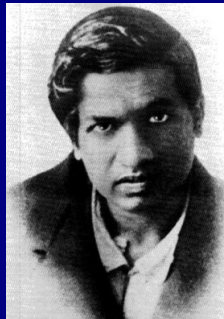
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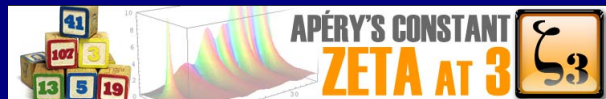
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# Riemann zeta function



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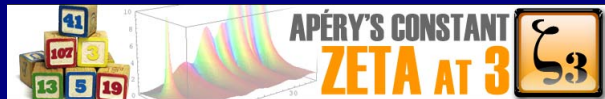
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is irrational (*Apéry 1978*).

Recall that  $\zeta(s)/\pi^s$  is rational for any even value of  $s \geq 2$ .

Open question : Is the number  $\zeta(3)/\pi^3$  irrational ?

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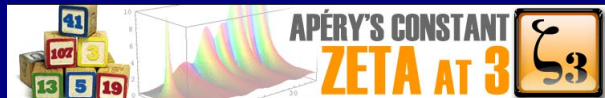
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# Catalan's constant

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an irrational number?

This is the value at  $s = 2$  of the Dirichlet  $L$ -function  $L(s, \chi_{-4})$  associated with the Kronecker character

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Here is the set of rational values for  $z$  for which the answer is known (and, for these arguments, the Gamma value is a transcendental number) :

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# Known results

Irrationality of the number  $\pi$  :

Āryabhaṭa, b. 476 AD :  $\pi \sim 3.1416$ .

Nīlakaṇṭha Somayājī, b. 1444 AD : *Why then has an approximate value been mentioned here leaving behind the actual value? Because it (exact value) cannot be expressed.*

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# Continued fraction expansion of $\tan(x)$

$$\tan(x) = \frac{1}{i} \tanh(ix), \quad \tanh(x) = \frac{e^x - e^{-x}}{e^x + e^{-x}}.$$

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*De fractionibus continuis dissertatio,*  
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**9** (1737), 1744, p. 98–137 ;  
Opera Omnia Ser. I vol. **14**,  
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$$\begin{aligned}e &= \lim_{n \rightarrow \infty} (1 + 1/n)^n \\ &= 2.718\ 281\ 828\ 459\ 045\ 235\ 360\ 287\ 471\ 352 \dots \\ &= 1 + 1 + \frac{1}{2} \cdot (1 + \frac{1}{3} \cdot (1 + \frac{1}{4} \cdot (1 + \frac{1}{5} \cdot (1 + \dots))))).\end{aligned}$$

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# Continued fraction expansion for $e$

$$\begin{aligned} e &= 2 + \frac{1}{1 + \frac{1}{2 + \frac{1}{1 + \frac{1}{1 + \frac{1}{4 + \frac{1}{\ddots}}}}} \\ &= [2; 1, 2, 1, 1, 4, 1, 1, 6, \dots] \\ &= [2; \overline{1, 2m, 1}]_{m \geq 1}. \end{aligned}$$

$e$  is neither rational (J-H. Lambert, 1766) nor quadratic irrational (J-L. Lagrange, 1770).

# Continued fraction expansion for $e^{1/a}$

*Starting point* :  $y = \tanh(x/a)$  satisfies the differential equation  $ay' + y^2 = 1$ .

This leads Euler to

$$\begin{aligned}e^{1/a} &= [1 ; a - 1, 1, 1, 3a - 1, 1, 1, 5a - 1, \dots] \\ &= \overline{[1, (2m + 1)a - 1, 1]}_{m \geq 0}.\end{aligned}$$

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# Geometric proof of the irrationality of $e$

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*A geometric proof that  $e$  is irrational  
and a new measure of its irrationality,  
Amer. Math. Monthly **113** (2006) 637-641.*



Start with an interval  $I_1$  with length 1. The interval  $I_n$  will be obtained by splitting the interval  $I_{n-1}$  into  $n$  intervals of the same length, so that the length of  $I_n$  will be  $1/n!$ .

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The origin of  $l_n$  will be

$$1 + \frac{1}{1!} + \frac{1}{2!} + \cdots + \frac{1}{n!}.$$

Hence we start from the interval  $l_1 = [2, 3]$ . For  $n \geq 2$ , we construct  $l_n$  inductively as follows : split  $l_{n-1}$  into  $n$  intervals of the same length, and call the second one  $l_n$  :

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The origin of  $I_n$  is

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The number  $e$  is the intersection point of all these intervals, hence it is inside each  $I_n$ , therefore it cannot be written  $a/n!$  with  $a$  an integer.

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$$\frac{p}{q} = \frac{(q-1)!p}{q!},$$

we deduce that the number  $e$  is irrational.

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The number  $e$  is the intersection point of all these intervals, hence it is inside each  $I_n$ , therefore it cannot be written  $a/n!$  with  $a$  an integer.

Since

$$\frac{p}{q} = \frac{(q-1)!p}{q!},$$

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# Irrationality of $e$ , following J. Sondow

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# Joseph Fourier



Course of analysis at the École Polytechnique Paris, 1815.

# Irrationality of $e$ , following J. Fourier

$$e = \sum_{n=0}^N \frac{1}{n!} + \sum_{m \geq N+1} \frac{1}{m!}.$$

Multiply by  $N!$  and set

$$B_N = N!, \quad A_N = \sum_{n=0}^N \frac{N!}{n!}, \quad R_N = \sum_{m \geq N+1} \frac{N!}{m!},$$

so that  $B_N e = A_N + R_N$ . Then  $A_N$  and  $B_N$  are in  $\mathbf{Z}$ ,  $R_N > 0$  and

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In the formula

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the numbers  $A_N$  and  $B_N = N!$  are integers, while the right hand side is  $> 0$  and tends to 0 when  $N$  tends to infinity.

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F. Beukers (2008) : even simpler by considering  $e^{-1}$  (alternating series).

The sequence  $(1/n!)_{n \geq 0}$  is decreasing and tends to 0, hence for odd  $N$ ,

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# The number $e$ is not quadratic

Since  $e$  is irrational, the same is true for  $e^{1/b}$  when  $b$  is a positive integer. That  $e^2$  is irrational is a stronger statement.

Recall (Euler, 1737) :  $e = [2; 1, 2, 1, 1, 4, 1, 1, 6, 1, 1, 8, \dots]$  which is not a periodic expansion. J.L. Lagrange (1770) : it follows that  $e$  is not a quadratic number.

Assume  $ae^2 + be + c = 0$ . Replacing  $e$  and  $e^2$  by the series and truncating does not work : the denominator is too large and the *remainder* does not tend to zero.

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approximate the exponential function  $e^z$   
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If the function  $B(z)e^z - A(z)$  has a zero of high multiplicity  
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A rational function  $A(z)/B(z)$  is *close* to a complex analytic function  $f$  if  $B(z)f(z) - A(z)$  has a zero of high multiplicity at the origin.

*Goal* : find  $B \in \mathbb{C}[z]$  such that the Taylor expansion at the origin of  $B(z)f(z)$  has a big gap :  $A(z)$  will be the part of the expansion before the gap,  $R(z) = B(z)f(z) - A(z)$  the remainder.

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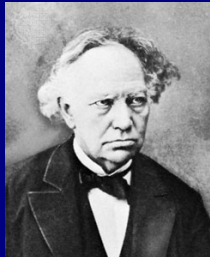
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Charles Hermite (1873)

Carl Ludwig Siegel (1929, 1949)

Yuri Nesterenko (2005)





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# Rational approximation to exp

Given  $n_0 \geq 0$ ,  $n_1 \geq 0$ , find  $A$  and  $B$  in  $\mathbf{R}[z]$  of degrees  $\leq n_0$  and  $\leq n_1$  such that  $R(z) = B(z)e^z - A(z)$  has a zero at the origin of multiplicity  $\geq N + 1$  with  $N = n_0 + n_1$ .

**Theorem** *There is a non-trivial solution, it is unique with  $B$  monic. Further,  $B$  is in  $\mathbf{Z}[z]$  and  $(n_0!/n_1!)A$  is in  $\mathbf{Z}[z]$ . Furthermore  $A$  has degree  $n_0$ ,  $B$  has degree  $n_1$  and  $R$  has multiplicity exactly  $N + 1$  at the origin.*

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*Proof.* Unicity of  $R$ , hence of  $A$  and  $B$ .

Let  $D = d/dz$ . Since  $A$  has degree  $\leq n_0$ ,

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# Siegel's algebraic point of view

*C.L. Siegel, 1949.*

Solve  $D^{n_0+1}R(z) = z^{n_1}e^z$ .

The operator  $J\varphi = \int_0^z \varphi(t)dt$ ,  
inverse of  $D$ , satisfies



$$J^{n+1}\varphi = \int_0^z \frac{1}{n!}(z-t)^n\varphi(t)dt.$$

Hence

$$R(z) = \frac{1}{n_0!} \int_0^z (z-t)^{n_0} t^{n_1} e^t dt.$$

Also  $A(z) = -(-1 + D)^{-n_1-1}z^{n_0}$  and  
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Solve  $D^{n_0+1}R(z) = z^{n_1}e^z$ .

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*A complex number  $\theta$  is transcendental if and only if the numbers*

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Let  $B_0, B_1, \dots, B_m$  be polynomials in  $\mathbf{Z}[x]$ . For  $1 \leq k \leq m$  define

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*For any non-zero complex number  $z$ , one at least of the two numbers  $z$  and  $e^z$  is transcendental.*

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# Hermite : approximation to the functions

$$1, e^{\alpha_1 x}, \dots, e^{\alpha_m x}$$

Let  $\alpha_1, \dots, \alpha_m$  be pairwise distinct complex numbers and  $n_0, \dots, n_m$  be rational integers, all  $\geq 0$ . Set  $N = n_0 + \dots + n_m$ .

Hermite constructs explicitly polynomials  $B_0, B_1, \dots, B_m$  with  $B_j$  of degree  $N - n_j$  such that each of the functions

$$B_0(z)e^{\alpha_k z} - B_k(z), \quad (1 \leq k \leq m)$$

has a zero at the origin of multiplicity at least  $N$ .

# Approximants de Padé

*Henri Eugène Padé (1863 - 1953)*

Approximation of complex analytic functions by rational functions.



# Transcendental functions

A complex function is called transcendental if it is transcendental over the field  $\mathbf{C}(z)$ , which means that the functions  $z$  and  $f(z)$  are algebraically independent : if  $P \in \mathbf{C}[X, Y]$  is a non-zero polynomial, then the function  $P(z, f(z))$  is not 0.

*Exercise. An entire function (analytic in  $\mathbf{C}$ ) is transcendental if and only if it is not a polynomial.*

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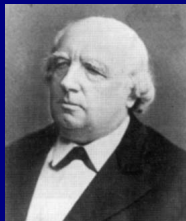
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# Weierstrass question

*Is it true that a transcendental entire function  $f$  takes usually transcendental values at algebraic arguments?*



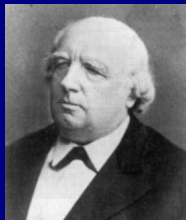
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Also there are transcendental entire functions  $f$  such that  $D^k f(\alpha) \in \mathbb{Q}(\alpha)$  for all  $k \geq 0$  and all algebraic  $\alpha$ .

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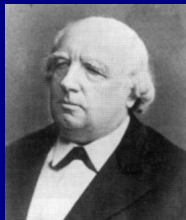
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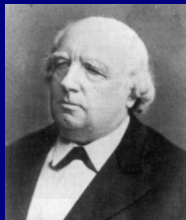
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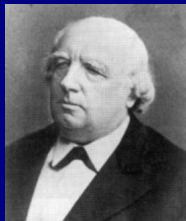
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An integer valued entire function is a function  $f$ , which is analytic in  $\mathbf{C}$ , and maps  $\mathbf{N}$  into  $\mathbf{Z}$ .

Example :  $2^z$  is an integer valued entire function, not a polynomial.

Question : Are there integer valued entire function growing slower than  $2^z$  without being a polynomial?

Let  $f$  be a transcendental entire function in  $\mathbf{C}$ . For  $R > 0$  set

$$|f|_R = \sup_{|z|=R} |f(z)|.$$

# Integer valued entire functions

*G. Pólya (1914) :*

*if  $f$  is not a polynomial*

*and  $f(n) \in \mathbf{Z}$  for  $n \in \mathbf{Z}_{\geq 0}$ , then*

$$\limsup_{R \rightarrow \infty} 2^{-R} |f|_R \geq 1.$$



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# Arithmetic functions

Pólya's proof starts by expanding the function  $f$  into a *Newton interpolation series* at the points  $0, 1, 2, \dots$  :

$$f(z) = a_0 + a_1z + a_2z(z-1) + a_3z(z-1)(z-2) + \dots$$

Since  $f(n)$  is an integer for all  $n \geq 0$ , the coefficients  $a_n$  are rational and one can bound the denominators. If  $f$  does not grow fast, one deduces that these coefficients vanish for sufficiently large  $n$ .

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# Newton interpolation series

From

$$f(z) = f(\alpha_1) + (z - \alpha_1)f_1(z), \quad f_1(z) = f_1(\alpha_2) + (z - \alpha_2)f_2(z), \dots$$

we deduce

$$f(z) = a_0 + a_1(z - \alpha_1) + a_2(z - \alpha_1)(z - \alpha_2) + \dots$$

with

$$a_0 = f(\alpha_1), \quad a_1 = f_1(\alpha_2), \dots, \quad a_n = f_n(\alpha_{n+1}).$$

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# An identity due to Ch. Hermite

$$\frac{1}{x-z} = \frac{1}{x-\alpha} + \frac{z-\alpha}{x-\alpha} \cdot \frac{1}{x-z}.$$

Repeat :

$$\frac{1}{x-z} = \frac{1}{x-\alpha_1} + \frac{z-\alpha_1}{x-\alpha_1} \cdot \left( \frac{1}{x-\alpha_2} + \frac{z-\alpha_2}{x-\alpha_2} \cdot \frac{1}{x-z} \right).$$

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# An identity due to Ch. Hermite

Inductively we deduce the next formula due to Hermite :

$$\frac{1}{x-z} = \sum_{j=0}^{n-1} \frac{(z-\alpha_1)(z-\alpha_2)\cdots(z-\alpha_j)}{(x-\alpha_1)(x-\alpha_2)\cdots(x-\alpha_{j+1})} + \frac{(z-\alpha_1)(z-\alpha_2)\cdots(z-\alpha_n)}{(x-\alpha_1)(x-\alpha_2)\cdots(x-\alpha_n)} \cdot \frac{1}{x-z}.$$

# Newton interpolation expansion

*Application.* Multiply by  $(1/2i\pi)f(z)$  and integrate :

$$f(z) = \sum_{j=0}^{n-1} a_j(z - \alpha_1) \cdots (z - \alpha_j) + R_n(z)$$

with

$$a_j = \frac{1}{2i\pi} \int_C \frac{F(x)dx}{(x - \alpha_1)(x - \alpha_2) \cdots (x - \alpha_{j+1})} \quad (0 \leq j \leq n - 1)$$

and

$$R_n(z) = (z - \alpha_1)(z - \alpha_2) \cdots (z - \alpha_n) \cdot \frac{1}{2i\pi} \int_C \frac{F(x)dx}{(x - \alpha_1)(x - \alpha_2) \cdots (x - \alpha_n)(x - z)}.$$



# Integer valued entire function on $\mathbf{Z}[i]$

*A.O. Gel'fond (1929)* : growth of entire functions mapping the Gaussian integers into themselves.

Newton interpolation series at the points in  $\mathbf{Z}[i]$ .

*An entire function  $f$  which is not a polynomial and satisfies  $f(a + ib) \in \mathbf{Z}[i]$  for all  $a + ib \in \mathbf{Z}[i]$  satisfies*

$$\limsup_{R \rightarrow \infty} \frac{1}{R^2} \log |f|_R \geq \gamma.$$

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# Transcendence of $e^\pi$



*A.O. Gel'fond (1929).*

If

$$e^\pi = 23,140\,692\,632\,779\,269\,005\,729\,086\,367 \dots$$

is rational, then the function  $e^{\pi z}$  takes values in  $\mathbb{Q}(i)$  when the argument  $z$  is in  $\mathbb{Z}[i]$ .

Expand  $e^{\pi z}$  into an interpolation series at the Gaussian integers.

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# Hilbert's seventh problem

*A.O. Gel'fond and Th. Schneider (1934).*

Solution of Hilbert's seventh problem :

*transcendence of  $\alpha^\beta$*

*and of  $(\log \alpha_1)/(\log \alpha_2)$*

*for algebraic  $\alpha$ ,  $\beta$ ,  $\alpha_1$  and  $\alpha_2$ .*





# Dirichlet's box principle

Gel'fond and Schneider use an *auxiliary function*, the existence of which follows from Dirichlet's box principle (pigeonhole principle, Thue-Siegel Lemma).



# Auxiliary functions

*C.L. Siegel (1929)* :  
Hermite's explicit formulae  
can be replaced by  
Dirichlet's box principle  
(Thue–Siegel Lemma)  
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# Slope inequalities in Arakelov theory

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matrices and determinants require  
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# Rational interpolation

*René Lagrange (1935).*

$$\frac{1}{x-z} = \frac{\alpha - \beta}{(x - \alpha)(x - \beta)} + \frac{x - \beta}{x - \alpha} \cdot \frac{z - \alpha}{z - \beta} \cdot \frac{1}{x - z}.$$

Iterating and integrating yield

$$f(z) = \sum_{n=0}^{N-1} B_n \frac{(z - \alpha_1) \cdots (z - \alpha_n)}{(z - \beta_1) \cdots (z - \beta_n)} + \tilde{R}_N(z).$$

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# Hurwitz zeta function

*T. Rivoal (2006)* : consider Hurwitz zeta function

$$\zeta(s, z) = \sum_{k=1}^{\infty} \frac{1}{(k+z)^s}.$$

Expand  $\zeta(2, z)$  as a series in

$$\frac{z^2(z-1)^2 \cdots (z-n+1)^2}{(z+1)^2 \cdots (z+n)^2}.$$

The coefficients of the expansion belong to  $\mathbf{Q} + \mathbf{Q}\zeta(3)$ . This produces a new proof of Apéry's Theorem on the irrationality of  $\zeta(3)$ .

*In the same way* : new proof of the irrationality of  $\log 2$  by expanding

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# Mixing C. Hermite and R. Lagrange

*T. Rivoal (2006)* : new proof of the irrationality of  $\zeta(2)$  by expanding

$$\sum_{k=1}^{\infty} \left( \frac{1}{k} - \frac{1}{k+z} \right)$$

as a Hermite–Lagrange series in

$$\frac{(z(z-1)\cdots(z-n+1))^2}{(z+1)\cdots(z+n)}.$$

# Taylor series and interpolation series

Taylor series are the special case of Hermite's formula with a single point and multiplicities — they give rise to Padé approximants.

Multiplicities can also be introduced in René Lagrange interpolation.

There is another duality between the methods of Gel'fond and Schneider : Fourier-Borel transform.

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# Further developments

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Measures : transcendence, linear independence, algebraic independence. . .

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