

国外数学名著系列 (续一)

(影印版) 65

A. N. Parshin I. R. Shafarevich (Eds.)

Number Theory IV  
Transcendental Numbers

数论 IV

超越数



科学出版社  
www.sciencep.com

国外数学名著系列(影印版) 65

# Number Theory IV

Transcendental Numbers

## 数 论 IV

超越数

A. N. Parshin I. R. Shafarevich (Eds.)

科 学 出 版 社

北 京

图字: 01-2008-5398

A. N. Parshin, I. R. Shafarevich(Eds.): Number Theory IV: Transcendental Numbers

© Springer-Verlag Berlin Heidelberg 1998

**This reprint has been authorized by Springer-Verlag (Berlin/Heidelberg/New York) for sale in the People's Republic of China only and not for export therefrom**

本书英文影印版由德国施普林格出版公司授权出版。未经出版者书面许可,不得以任何方式复制或抄袭本书的任何部分。本书仅限在中华人民共和国销售,不得出口。版权所有,翻印必究。

**图书在版编目(CIP)数据**

数论 IV: 超越数 = Number Theory IV: Transcendental Numbers / (俄罗斯)帕尔申(Parshin, A. N.) 等编著. —影印版. —北京: 科学出版社, 2009 (国外数学名著系列; 65)

ISBN 978-7-03-023508-4

I. 数… II. 帕… III. ①数论-英文 ②超越数-英文 IV. O156

中国版本图书馆 CIP 数据核字(2008) 第 186170 号

责任编辑:范庆奎/责任印刷:钱玉芬/封面设计:黄华斌

**科学出版社** 出版

北京东黄城根北街 16 号

邮政编码: 100717

<http://www.sciencep.com>

**双青印刷厂** 印刷

科学出版社发行 各地新华书店经销

\*

2009 年 1 月第 一 版 开本: B5(720 × 1000)

2009 年 1 月第一次印刷 印张: 22 1/2

印数: 1—2 500 字数: 435 000

**定价: 80.00 元**

(如有印装质量问题, 我社负责调换〈双青〉)

# 《国外数学名著系列》(影印版)专家委员会

(按姓氏笔画排序)

丁伟岳 王元 文兰 石钟慈 冯克勤 严加安  
李邦河 李大潜 张伟平 张继平 杨乐 姜伯驹  
郭雷

## 项目策划

向安全 林鹏 王春香 吕虹 范庆奎 王璐

## 执行编辑

范庆奎

## 《国外数学名著系列》(影印版)序

要使我国的数学事业更好地发展起来,需要数学家淡泊名利并付出更艰苦地努力。另一方面,我们也要从客观上为数学家创造更有利的发展数学事业的外部环境,这主要是加强对数学事业的支持与投资力度,使数学家有较好的工作与生活条件,其中也包括改善与加强数学的出版工作。

从出版方面来讲,除了较好较快地出版我们自己的成果外,引进国外的先进出版物无疑也是十分重要与必不可少的。从数学来说,施普林格(Springer)出版社至今仍然是世界上最具权威的出版社。科学出版社影印一批他们出版的好的新书,使我国广大数学家能以较低的价格购买,特别是在边远地区工作的数学家能普遍见到这些书,无疑是对推动我国数学的科研与教学十分有益的事。

这次科学出版社购买了版权,一次影印了 23 本施普林格出版社出版的数学书,就是一件好事,也是值得继续做下去的事情。大体上分一下,这 23 本书中,包括基础数学书 5 本,应用数学书 6 本与计算数学书 12 本,其中有些书也具有交叉性质。这些书都是很新的,2000 年以后出版的占绝大部分,共计 16 本,其余的也是 1990 年以后出版的。这些书可以使读者较快地了解数学某方面的前沿,例如基础数学中的数论、代数与拓扑三本,都是由该领域大数学家编著的“数学百科全书”的分册。对从事这方面研究的数学家了解该领域的前沿与全貌很有帮助。按照学科的特点,基础数学类的书以“经典”为主,应用和计算数学类的书以“前沿”为主。这些书的作者多数是国际知名的大数学家,例如《拓扑学》一书的作者诺维科夫是俄罗斯科学院的院士,曾获“菲尔兹奖”和“沃尔夫数学奖”。这些大数学家的著作无疑将会对我国的科研人员起到非常好的指导作用。

当然,23 本书只能涵盖数学的一部分,所以,这项工作还应该继续做下去。更进一步,有些读者面较广的好书还应该翻译成中文出版,使之有更大的读者群。

总之,我对科学出版社影印施普林格出版社的部分数学著作这一举措表示热烈的支持,并盼望这一工作取得更大的成绩。

王 元

2005 年 12 月 3 日

## List of Editors, Authors and Translators

### *Editor-in-Chief*

R. V. Gamkrelidze, Russian Academy of Sciences, Steklov Mathematical Institute, ul. Gubkina 8, 117966 Moscow; Institute for Scientific Information (VINITI), ul. Usievicha 20a, 125219 Moscow, Russia; e-mail: gam@ipsun.ras.ru

### *Consulting Editors*

A. N. Parshin, I. R. Shafarevich, Steklov Mathematical Institute, ul. Gubkina 8, 117966 Moscow, Russia

### *Authors*

N. I. Fel'dman†  
Yu. V. Nesterenko, Department of Mathematics, Moscow State University, Vorobevy Gory, 119899 Moscow; e-mail: nest@nw.math.msu.su

### *Translator*

N. Koblitz, Department of Mathematics, University of Washington, Box 354350, Seattle, WA 98195, USA; e-mail: koblitz@math.washington.edu

## Preface

This book was written over a period of more than six years. Several months after we finished our work, N. I. Fel'dman (the senior author of the book) died. All additions and corrections entered after his death were made by his coauthor.

The assistance of many of our colleagues was invaluable during the writing of the book. They examined parts of the manuscript and suggested many improvements, made useful comments and corrected many errors. I much have pleasure in acknowledging our great indebtedness to them.

Special thanks are due to A. B. Shidlovskii, V. G. Chirskii, A. I. Galochkin and O. N. Vasilenko. I would like to express my gratitude to D. Bertrand and J. Wolfart for their help in the final stages of this book.

Finally, I wish to thank Neal Koblitz for having translated this text into English.

August 1997

*Yu. V. Nesterenko*

# Transcendental Numbers

N. I. Fel'dman and Yu. V. Nesterenko

Translated from the Russian  
by Neal Koblitz

## Contents

Notation .....	9
Introduction .....	11
0.1 Preliminary Remarks .....	11
0.2 Irrationality of $\sqrt{2}$ .....	11
0.3 The Number $\pi$ .....	13
0.4 Transcendental Numbers .....	14
0.5 Approximation of Algebraic Numbers .....	15
0.6 Transcendence Questions and Other Branches of Number Theory .....	16
0.7 The Basic Problems Studied in Transcendental Number Theory .....	17
0.8 Different Ways of Giving the Numbers .....	19
0.9 Methods .....	20
Chapter 1. Approximation of Algebraic Numbers .....	22
§1. Preliminaries .....	22
1.1. Parameters for Algebraic Numbers and Polynomials .....	22
1.2. Statement of the Problem .....	22
1.3. Approximation of Rational Numbers .....	23
1.4. Continued Fractions .....	24
1.5. Quadratic Irrationalities .....	25
1.6. Liouville's Theorem and Liouville Numbers .....	26



1.7.	Generalization of Liouville's Theorem .....	27
§2.	Approximations of Algebraic Numbers and Thue's Equation .....	28
2.1.	Thue's Equation .....	28
2.2.	The Case $n = 2$ .....	30
2.3.	The Case $n \geq 3$ .....	30
§3.	Strengthening Liouville's Theorem. First Version of Thue's Method .....	31
3.1.	A Way to Bound $q\theta - p$ .....	31
3.2.	Construction of Rational Approximations for $\sqrt[n]{a/b}$ .....	31
3.3.	Thue's First Result .....	32
3.4.	Effectiveness .....	33
3.5.	Effective Analogues of Theorem 1.6 .....	34
3.6.	The First Effective Inequalities of Baker .....	36
3.7.	Effective Bounds on Linear Forms in Algebraic Numbers ...	39
§4.	Stronger and More General Versions of Liouville's Theorem and Thue's Theorem .....	40
4.1.	The Dirichlet Pigeonhole Principle .....	40
4.2.	Thue's Method in the General Case .....	41
4.3.	Thue's Theorem on Approximation of Algebraic Numbers ..	44
4.4.	The Non-effectiveness of Thue's Theorems .....	45
§5.	Further Development of Thue's Method .....	45
5.1.	Siegel's Theorem .....	45
5.2.	The Theorems of Dyson and Gel'fond .....	48
5.3.	Dyson's Lemma .....	50
5.4.	Bombieri's Theorem .....	51
§6.	Multidimensional Variants of the Thue–Siegel Method .....	53
6.1.	Preliminary Remarks .....	53
6.2.	Siegel's Theorem .....	53
6.3.	The Theorems of Schneider and Mahler .....	54
§7.	Roth's Theorem .....	55
7.1.	Statement of the Theorem .....	55
7.2.	The Index of a Polynomial .....	56
7.3.	Outline of the Proof of Roth's Theorem .....	57
7.4.	Approximation of Algebraic Numbers by Algebraic Numbers .....	60
7.5.	The Number $k$ in Roth's Theorem .....	61
7.6.	Approximation by Numbers of a Special Type .....	61
7.7.	Transcendence of Certain Numbers .....	62
7.8.	The Number of Solutions to the Inequality (62) and Certain Diophantine Equations .....	63
§8.	Linear Forms in Algebraic Numbers and Schmidt's Theorem .....	65
8.1.	Elementary Estimates .....	65
8.2.	Schmidt's Theorem .....	66
8.3.	Minkowski's Theorem on Linear Forms .....	67
8.4.	Schmidt's Subspace Theorem .....	68

8.5. Some Facts from the Geometry of Numbers .....	71
§9. Diophantine Equations with the Norm Form .....	73
9.1. Preliminary Remarks .....	73
9.2. Schmidt's Theorem .....	75
§10. Bounds for Approximations of Algebraic Numbers in Non-archimedean Metrics .....	76
10.1. Mahler's Theorem .....	76
10.2. The Thue–Mahler Equation .....	76
10.3. Further Non-effective Results .....	77
 Chapter 2. Effective Constructions in Transcendental Number Theory .....	 78
§1. Preliminary Remarks .....	78
1.1. Irrationality of $e$ .....	78
1.2. Liouville's Theorem .....	79
1.3. Hermite's Method of Proving Linear Independence of a Set of Numbers .....	80
1.4. Siegel's Generalization of Hermite's Argument .....	80
1.5. Gel'fond's Method of Proving That Numbers Are Transcendental .....	82
§2. Hermite's Method .....	83
2.1. Hermite's Identity .....	84
2.2. Choice of $f(x)$ and End of the Proof That $e$ is Transcendental .....	85
2.3. The Lindemann and Lindemann–Weierstrass Theorems .....	88
2.4. Elimination of the Exponents .....	90
2.5. End of the Proof of the Lindemann–Weierstrass Theorem ...	92
2.6. Generalization of Hermite's Identity .....	92
§3. Functional Approximations .....	93
3.1. Hermite's Functional Approximation for $e^z$ .....	93
3.2. Continued Fraction for the Gauss Hypergeometric Function and Padé Approximations .....	95
3.3. The Hermite–Padé Functional Approximations .....	98
§4. Applications of Hermite's Simultaneous Functional Approximations .....	99
4.1. Estimates of the Transcendence Measure of $e$ .....	99
4.2. Transcendence of $e^\pi$ .....	100
4.3. Quantitative Refinement of the Lindemann–Weierstrass Theorem .....	103
4.4. Bounds for the Transcendence Measure of the Logarithm of an Algebraic Number .....	104
4.5. Bounds for the Irrationality Measure of $\pi$ and Other Numbers .....	106
4.6. Approximations to Algebraic Numbers .....	110

§5. Bounds for Rational Approximations of the Values of the Gauss Hypergeometric Function and Related Functions . . .	112
5.1. Continued Fractions and the Values of $e^z$ . . . . .	112
5.2. Irrationality of $\pi$ . . . . .	113
5.3. Maier's Results . . . . .	115
5.4. Further Applications of Padé Approximation . . . . .	116
5.5. Refinement of the Integrals. . . . .	120
5.6. Irrationality of the Values of the Zeta-Function and Bounds on the Irrationality Exponent. . . . .	121
§6. Generalized Hypergeometric Functions . . . . .	127
6.1. Generalized Hermite Identities . . . . .	128
6.2. Unimprovable Estimates . . . . .	131
6.3. Ivankov's Construction . . . . .	133
§7. Generalized Hypergeometric Series with Finite Radius of Convergence . . . . .	136
7.1. Functional Approximations of the First Kind . . . . .	136
7.2. Functional Approximations of the Second Kind . . . . .	139
§8. Remarks . . . . .	143
 Chapter 3. Hilbert's Seventh Problem . . . . .	 146
§1. The Euler–Hilbert Problem . . . . .	146
1.1. Remarks by Leibniz and Euler . . . . .	146
1.2. Hilbert's Report . . . . .	146
§2. Solution of Hilbert's Seventh Problem . . . . .	147
2.1. Statement of the Theorems . . . . .	147
2.2. Gel'fond's Solution . . . . .	147
2.3. Schneider's Solution . . . . .	149
2.4. The Real Case . . . . .	150
2.5. Laurent's Method . . . . .	151
§3. Transcendence of Numbers Connected with Weierstrass Functions . . . . .	152
3.1. Preliminary Remarks . . . . .	152
3.2. Schneider's Theorems . . . . .	153
3.3. Outline of Proof of Schneider's Theorems . . . . .	155
§4. General Theorems . . . . .	157
4.1. Schneider's General Theorems . . . . .	157
4.2. Consequences of Theorem 3.17 . . . . .	158
4.3. Lang's Theorem . . . . .	159
4.4. Schneider's Work and Later Results on Abelian Functions . .	159
§5. Bounds for Linear Forms with Two Logarithms . . . . .	161
5.1. First Estimates for the Transcendence Measure of $a^b$ and $\ln \alpha / \ln \beta$ . . . . .	161
5.2. Refinement of the Inequalities (19) and (20) Using Gel'fond's Second Method . . . . .	163

5.3.	Bounds for Transcendence Measures .....	164
5.4.	Linear Forms with Two Logarithms .....	164
5.5.	Generalizations to Non-archimedean Metrics .....	165
5.6.	Applications of Bounds on Linear Forms in Two Logarithms .....	165
§6.	Generalization of Hilbert's Seventh Problem to Liouville Numbers .....	172
6.1.	Ricci's Theorem .....	172
6.2.	Later Results .....	173
§7.	Transcendence Measure of Some Other Numbers Connected with the Exponential Function .....	173
7.1.	Logarithms of Algebraic Numbers .....	173
7.2.	Approximation of Roots of Certain Transcendental Equations .....	175
§8.	Transcendence Measure of Numbers Connected with Elliptic Functions .....	176
8.1.	The Case of Algebraic Invariants .....	176
8.2.	The Case of Algebraic Periods .....	177
8.3.	Values of $\wp(z)$ at Non-algebraic Points .....	177
Chapter 4. Multidimensional Generalization of Hilbert's Seventh Problem .....		179
§1.	Linear Forms in the Logarithms of Algebraic Numbers .....	179
1.1.	Preliminary Remarks .....	179
1.2.	The First Effective Theorems in the General Case .....	180
1.3.	Baker's Method .....	182
1.4.	Estimates for the Constant in (8) .....	185
1.5.	Methods of Proving Bounds for $\Lambda$ , $\Lambda_0$ , and $\Lambda_1$ .....	187
1.6.	A Special Form for the Inequality .....	188
1.7.	Non-archimedean Metrics .....	188
§2.	Applications of Bounds on Linear Forms .....	189
2.1.	Preliminary Remarks .....	189
2.2.	Effectivization of Thue's Theorem .....	189
2.3.	Effective Strengthening of Liouville's Theorem .....	192
2.4.	The Thue–Mahler Equation .....	193
2.5.	Solutions in Special Sets .....	194
2.6.	Catalan's Equation .....	195
2.7.	Some Results Connected with Fermat's Last Theorem .....	196
2.8.	Some Other Diophantine Equations .....	197
2.9.	The $abc$ -Conjecture .....	199
2.10.	The Class Number of Imaginary Quadratic Fields .....	199
2.11.	Applications in Algebraic Number Theory .....	200
2.12.	Recursive Sequences .....	201
2.13.	Prime Divisors of Successive Natural Numbers .....	203

2.14. Dirichlet Series .....	203
§3. Elliptic Functions .....	204
3.1. The Theorems of Baker and Coates .....	204
3.2. Masser's Theorems .....	204
3.3. Further Results .....	205
3.4. Wüstholz's Theorems .....	206
§4. Generalizations of the Theorems in §1 to Liouville Numbers .....	207
4.1. Walliser's Theorems .....	207
4.2. Wüstholz's Theorems .....	207
 Chapter 5. Values of Analytic Functions That Satisfy Linear Differential Equations .....	 209
§1. E-Functions .....	209
1.1. Siegel's Results .....	209
1.2. Definition of E-Functions and Hypergeometric E-Functions ..	210
1.3. Siegel's General Theorem .....	213
1.4. Shidlovskii's Fundamental Theorem .....	214
§2. The Siegel-Shidlovskii Method .....	215
2.1. A Technique for Proving Linear and Algebraic Independence .....	215
2.2. Construction of a Complete Set of Linear Forms .....	218
2.3. Nonvanishing of the Functional Determinant .....	219
2.4. Concluding Remarks .....	221
§3. Algebraic Independence of the Values of Hypergeometric E-Functions .....	222
3.1. The Values of E-Functions That Satisfy First, Second, and Third Order Differential Equations .....	222
3.2. The Values of Solutions of Differential Equations of Arbitrary Order .....	225
§4. The Values of Algebraically Dependent E-Functions .....	229
4.1. Theorem on Equality of Transcendence Degree .....	230
4.2. Exceptional Points .....	231
§5. Bounds for Linear Forms and Polynomials in the Values of E-Functions .....	234
5.1. Bounds for Linear Forms in the Values of E-Functions .....	234
5.2. Bounds for the Algebraic Independence Measure .....	237
§6. Bounds for Linear Forms that Depend on Each Coefficient .....	241
6.1. A Modification of Siegel's Scheme .....	241
6.2. Baker's Theorem and Other Concrete Results .....	243
6.3. Results of a General Nature .....	244
§7. G-Functions and Their Values .....	246
7.1. G-Functions .....	246
7.2. Canceling Factorials .....	250
7.3. Arithmetic Type .....	252

7.4. Global Relations .....	253
7.5. Chudnovsky's Results .....	255
 Chapter 6. Algebraic Independence of the Values of Analytic Functions That Have an Addition Law .....	 259
§1. Gel'fond's Method and Results .....	260
1.1. Gel'fond's Theorems .....	261
1.2. Bound for the Transcendence Measure .....	262
1.3. Gel'fond's "Algebraic Independence Criterion" and the Plan of Proof of Theorem 6.3 .....	264
1.4. Further Development of Gel'fond's Method .....	267
1.5. Fields of Finite Transcendence Type .....	268
§2. Successive Elimination of Variables .....	271
2.1. Small Bounds on the Transcendence Degree .....	271
2.2. An Inductive Procedure .....	272
§3. Applications of General Elimination Theory .....	276
3.1. Definitions and Basic Facts .....	276
3.2. Philippon's Criterion .....	278
3.3. Direct Estimates for Ideals .....	284
3.4. Effective Hilbert Nullstellensatz .....	287
§4. Algebraic Independence of the Values of Elliptic Functions .....	290
4.1. Small Bounds for the Transcendence Degree .....	291
4.2. Elliptic Analogues of the Lindemann–Weierstrass Theorem .	295
4.3. Elliptic Generalizations of Hilbert's Seventh Problem .....	296
§5. Quantitative Results .....	302
5.1. Bounds on the Algebraic Independence Measure .....	302
5.2. Bounds on Ideals, and the Algebraic Independence Measure .	304
5.3. The Approximation Measure .....	306
 Bibliography .....	 309
 Index .....	 344



## Notation

- $\mathbb{N}$  is the set of natural numbers  
 $\mathbb{N}_0 = \mathbb{N} \cup \{0\}$   
 $\mathbb{Z}$  is the set of integers  
 $\mathbb{Q}$  is the set of rational numbers  
 $\mathbb{R}$  is the set of real numbers  
 $\mathbb{C}$  is the set of complex numbers  
 $\mathbb{A}$  is the set of algebraic numbers  
 $\mathbb{Z}_A$  is the set of all algebraic integers  
 $\mathbb{Z}_K$  is the set of all algebraic integers of the field  $\mathbb{K}$   
 $\mathbb{K}(z_1, \dots, z_m)$  is the set of all rational functions in the variables  $z_1, \dots, z_m$  over the field  $\mathbb{K}$   
 $\mathbb{K}[z_1, \dots, z_m]$  is the set of all polynomials in the variables  $z_1, \dots, z_m$  over the field  $\mathbb{K}$   
 $H(P(z)) = H(P)$  is the height of the polynomial  $P(z) \in \mathbb{C}[z_1, \dots, z_m]$ , i.e., the maximum absolute value of its coefficients  
 $L(P(z)) = L(P)$  is the length of the polynomial  $P(z) \in \mathbb{C}[z_1, \dots, z_m]$ , i.e., the sum of the absolute values of its coefficients  
 $\deg_{z_i} P$  is the degree in  $z_i$  of the polynomial  $P$   
 $\deg P$  is the total degree of the polynomial  $P$   
 $t(P) = \deg P + \ln H(P)$   
 $h(I)$  is the rank of the homogeneous ideal  $I \subset \mathbb{Z}[x_0, \dots, x_m]$   
 $\deg I$  is the degree of the homogeneous ideal  $I \subset \mathbb{Z}[x_0, \dots, x_m]$   
 $H(I)$  is the height of the homogeneous ideal  $I \subset \mathbb{Z}[x_0, \dots, x_m]$   
 $t(I) = \deg I + \ln H(I)$   
 $|I(\omega)|$  is the magnitude of the homogeneous ideal  $I \subset \mathbb{Z}[x_0, \dots, x_m]$  at the point  $\omega \in \mathbb{C}^{m+1}$   
 $\deg \alpha$  is the degree of the algebraic number  $\alpha$   
 $H(\alpha)$  is the height of the algebraic number  $\alpha$   
 $L(\alpha)$  is the length of the algebraic number  $\alpha$   
 $\text{Norm}(\alpha)$  is the product of all of the conjugates of the algebraic number  $\alpha$   
 $\overline{|\alpha|}$  is the maximum absolute value of the conjugates of the algebraic number  $\alpha$   
 $|\alpha|_p$  is the  $p$ -adic norm of the algebraic number  $\alpha$   
 $\|a\|$  is the distance from the number  $a \in \mathbb{R}$  to the nearest integer  
 $\|x\| = \max_{1 \leq i \leq m} |x_i|$  is the sup-norm of the vector  $x = (x_1, \dots, x_m) \in \mathbb{C}^m$   
 $[a]$  is the greatest integer function of the real number  $a$   
 $\text{tr deg } \mathbb{K}$  is the transcendence degree of the field  $\mathbb{K}$   
 $\tau(\mathbb{K})$  is the transcendence type of the field  $\mathbb{K} \subset \mathbb{C}$   
 $s(a)$  is the size of the complex number  $a$   
 $\mu(a)$  is the exponent of irrationality of the real number  $a$



