

Multidimensional continued fractions

Jacobi-Perron algorithm for simultaneous
rational approximation of d real numbers

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Workshop on Algebraic Structures
Telč, August 11-15, 2008

Outline

- ▶ Ordinary continued fractions
 - ▶ finiteness
 - ▶ approximation by convergents
 - ▶ uniqueness
 - ▶ periodicity and relation to units in quadratic fields

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- ▶ Comparison of cases $d = 1$ and $d \geq 2$
- ▶ Other comments

Definition of continued fractions

Algorithm:

$$\alpha_0 = \alpha, \quad \alpha_n = a_n + \frac{1}{\alpha_{n+1}}, \quad \text{where } a_n = [\alpha_n], \quad \text{for } n \in \mathbb{N}.$$

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The sequence $(a_n)_{n=0}^N$, resp. $(a_n)_{n \in \mathbb{N}_0}$ denoted by

$$[a_0, a_1, \dots, a_N], \quad \text{resp.} \quad [a_0, a_1, \dots, a_n, \dots]$$

is called the **continued fraction** of α .

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Claim. $a_0 \in \mathbb{Z}$ and $a_n \in \mathbb{N}$ for $n \geq 1$.

Finiteness of the algorithm

After n steps:

$$\alpha = a_0 + \frac{1}{a_1 + \frac{1}{\dots + \frac{1}{a_{n-1} + \frac{1}{\alpha_n}}}}$$

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Obviously $\alpha_n \in \mathbb{Z}$ for some $n \in \mathbb{N}_0$ implies $\alpha \in \mathbb{Q}$.

Conversely, if $\alpha = \frac{p}{q} \in \mathbb{Q}$, then **Euclidean division** leads

$$p = a_1 q + r_1$$

$$\frac{p}{q} = a_1 + \frac{r_1}{q}$$

$$q = a_2 r_1 + r_2$$

$$\frac{q}{r_1} = a_2 + \frac{r_2}{r_1}$$

$$\vdots$$
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$$r_{k-1} = a_{k+1} r_k + r_{k+1}$$

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Claim. Algorithm stops if and only if $\alpha \in \mathbb{Q}$.

Approximation of irrational numbers

$\alpha \in \mathbb{R} \setminus \mathbb{Q} \implies$ infinite continued fraction
($\alpha_n > 0$ for all $n \in \mathbb{N}$).

We approximate α_n in

$$\alpha = a_0 + \frac{1}{a_1 + \frac{1}{\dots + \frac{1}{a_{n-1} + \frac{1}{\alpha_n}}}}$$

by $a_n = [\alpha_n]$.

What happens?

Convergents

Define the n -th convergent of α

$$\frac{p_n}{q_n} = \alpha = a_0 + \frac{1}{a_1 + \frac{1}{\dots + \frac{1}{a_{n-1} + \frac{1}{a_n}}}}.$$

Properties of convergents

Easy to show:

$$\begin{array}{llll} p_0 = a_0 & p_1 = 1 + a_0 a_1 & p_n = a_n p_{n-1} + p_{n-2} & n \geq 2, \\ q_0 = 1 & q_1 = a_1 & q_n = a_n q_{n-1} + q_{n-2} & n \geq 2. \end{array}$$

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Can be rewritten

$$\mathbb{A}_n := \begin{pmatrix} q_{n-1} & q_n \\ p_{n-1} & p_n \end{pmatrix} = \begin{pmatrix} q_{n-2} & q_{n-1} \\ p_{n-2} & p_{n-1} \end{pmatrix} \begin{pmatrix} 0 & 1 \\ 1 & a_n \end{pmatrix},$$

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$$\text{i.e. } \mathbb{A}_n = \mathbb{A}_{n-1} \begin{pmatrix} 0 & 1 \\ 1 & a_n \end{pmatrix} \text{ for } n \geq 0, \quad \text{with } \mathbb{A}_{-1} := \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}.$$

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i.e.

$$\frac{p_n}{q_n} - \frac{p_{n-1}}{q_{n-1}} = \frac{(-1)^{n+1}}{q_n q_{n-1}}.$$

Claim. For $n \geq 0$, we have

$$\binom{1}{\alpha} = \frac{1}{\alpha_1 \cdots \alpha_n} \mathbb{A}_{n-1} \binom{1}{\alpha_n}.$$

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$$\begin{pmatrix} 1 \\ \alpha \end{pmatrix} = \frac{1}{\alpha_1 \cdots \alpha_n} \mathbb{A}_{n-1} \begin{pmatrix} 1 \\ \alpha_n \end{pmatrix}.$$

Proof by induction. For $n = 0$ we have $\mathbb{A}_{-1} \begin{pmatrix} 1 \\ \alpha_0 \end{pmatrix} = \begin{pmatrix} 1 \\ \alpha \end{pmatrix}$. Let $n > 0$.

$$\begin{aligned} \mathbb{A}_n \begin{pmatrix} 1 \\ \alpha_{n+1} \end{pmatrix} &= \mathbb{A}_{n-1} \begin{pmatrix} 0 & 1 \\ 1 & \alpha_n \end{pmatrix} \begin{pmatrix} 1 \\ \alpha_{n+1} \end{pmatrix} = \mathbb{A}_{n-1} \begin{pmatrix} \alpha_{n+1} \\ \alpha_n \alpha_{n+1} + 1 \end{pmatrix} = \\ &= \alpha_{n+1} \mathbb{A}_{n-1} \begin{pmatrix} 1 \\ \alpha_n \end{pmatrix} = \alpha_1 \cdots \alpha_n \alpha_{n+1} \begin{pmatrix} 1 \\ \alpha \end{pmatrix}. \end{aligned}$$

Claim. For $n \geq 0$, we have

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Consequences:

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$$\alpha_1 \alpha_2 \cdots \alpha_n = q_{n-2} + \alpha_n q_{n-1},$$

$$\alpha = \frac{p_{n-2} + \alpha_n p_{n-1}}{q_{n-2} + \alpha_n q_{n-1}}.$$

Do convergents converge?

From the previous it follows that

$$\frac{p_n}{q_n} - \alpha = \frac{p_n q_{n-1} - p_{n-1} q_n}{q_n(\alpha_{n+1} q_n + q_{n-1})} = \frac{(-1)^{n+1}}{q_n(\alpha_{n+1} q_n + q_{n-1})}.$$

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Quality of approximation:

$$\left| \frac{p_n}{q_n} - \alpha \right| < \frac{1}{q_n q_{n+1}} < \frac{1}{q_n^2}.$$

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Claim.

$$\lim_{n \rightarrow \infty} \frac{p_n}{q_n} = \alpha, \quad \text{even} \quad \lim_{n \rightarrow \infty} (p_n - q_n \alpha) = 0$$

Uniqueness

For a given $\alpha \in \mathbb{R} \setminus \mathbb{Q}$ there is a unique sequence $(a_n)_{n \in \mathbb{N}_0}$,

$$a_0 \in \mathbb{Z}, \quad a_i \in \mathbb{N}, \quad \text{for } i \geq 1, \quad (1)$$

such that $\alpha = [a_0, a_1, a_2, \dots]$.

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Not so for $\alpha \in \mathbb{Q}$: For example $\frac{9}{4} = 2 + \frac{1}{4} = 2 + \frac{1}{3 + \frac{1}{1}}$

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Conversely, every sequence $(a_n)_{n \in \mathbb{N}_0}$, satisfying (1) is a continued fraction of some $\alpha \in \mathbb{R} \setminus \mathbb{Q}$, namely $\alpha = \lim_{n \rightarrow \infty} \frac{p_n}{q_n}$.

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Claim. Let $(\frac{p_n}{q_n})$, $(\frac{\tilde{p}_n}{\tilde{q}_n})$ correspond to $(a_n)_{n \in \mathbb{N}_0}$, $(\tilde{a}_n)_{n \in \mathbb{N}_0}$ satisfying (1). Then

$$\lim_{n \rightarrow \infty} \frac{p_n}{q_n} = \lim_{n \rightarrow \infty} \frac{\tilde{p}_n}{\tilde{q}_n} \implies a_n = \tilde{a}_n \quad \text{for all } n \in \mathbb{N}_0.$$

Periodic continued fractions

Let $\alpha_l = \alpha$ for some $l \geq 1$. Equivalently, $(a_n)_{n \in \mathbb{N}_0}$ is purely periodic,

$$a_k = a_{nl+k} \quad \text{for all } n \in \mathbb{N}, \quad 0 \leq k < l.$$

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From

$$\begin{pmatrix} 1 \\ \alpha \end{pmatrix} = \frac{1}{\alpha_1 \cdots \alpha_n} \mathbb{A}_{n-1} \begin{pmatrix} 1 \\ \alpha_n \end{pmatrix},$$

we have

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Therefore $\mathbb{A}_{l-1} = \begin{pmatrix} q_{l-2} & q_{l-1} \\ p_{l-2} & p_{l-1} \end{pmatrix} \in \mathbb{N}^{2 \times 2}$ has the eigenvector $\begin{pmatrix} 1 \\ \alpha \end{pmatrix}$ to the (dominant) eigenvalue $\varrho = \alpha_1 \cdots \alpha_l$.

q is a Pisot unit

The characteristic polynomial

$$f(x) = \det(\mathbb{A}_{l-1} - x\mathbb{I}) = x^2 - x(p_{l-1} + q_{l-2}) + (-1)^l$$

is monic, in $\mathbb{Z}[x]$ and has absolute coefficient equal to

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Note:

$$\varrho = [\overline{a_0, a_1, \dots, a_{l-1}}] \cdot [\overline{a_1, \dots, a_{l-1}, a_0}] \cdots [\overline{a_{l-1}, a_0, \dots, a_{l-2}}].$$

Theorem (Lagrange). The continued fraction of α is eventually periodic if and only if α is a quadratic number.

Proof: for \Rightarrow see above; \Leftarrow is little technical using Dirichlet's princip

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- ▶ Uniqueness.
- ▶ Continued fraction of α is periodic $\iff \alpha$ is quadratic.
- ▶ In that case the eigenvalue ϱ given by the period is a quadratic Pisot unit.

Jacobi-Perron Algorithm for multidimensional continued fractions

Finding $\gcd(x^{(0)}, x^{(1)}, \dots, x^{(d)})$

$$\left\{ \begin{array}{l} x_0^{(1)} = a_0^{(1)} x_0^{(0)} + x_1^{(0)} \\ x_0^{(2)} = a_0^{(2)} x_0^{(0)} + x_1^{(1)} \\ \vdots \\ x_0^{(d)} = a_0^{(d)} x_0^{(0)} + x_1^{(d-1)} \\ x_0^{(0)} = x_1^{(d)} \end{array} \right.$$

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$$0 \leq x_1^{(0)} < x_0^{(0)}$$

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Input: $(\alpha^{(1)}, \dots, \alpha^{(d)}) \in \mathbb{R}^d$, $d \geq 1$.

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Theorem (Perron). If JPA of $(\alpha^{(1)}, \dots, \alpha^{(d)})$ admits m interruptions, then there are at least m independent relations between $1, \alpha^{(1)}, \dots, \alpha^{(d)}$ with integer coefficients.

Consequences:

- ▶ If JPA of $(\alpha^{(1)}, \dots, \alpha^{(d)})$ admits d interruptions, then $\alpha^{(1)}, \dots, \alpha^{(d)} \in \mathbb{Q}$.
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Theorem (Dubois, Farhane, Paysant-LeRoux).

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Lexicographic condition on coefficients of JPA

From the algorithm obviously

$$a_0^{(i)} \in \mathbb{Z}, \quad \text{and} \quad a_n^{(i)} \in \mathbb{N} \quad \text{for all } n \in \mathbb{N}, \quad 1 \leq i \leq d.$$

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Claim. For all $n \in \mathbb{N}$ and $i = 1, \dots, d - 1$ we have

$$(a_n^{(d)}, a_{n+1}^{(d-1)}, \dots, a_{n+i}^{(d-i)}) \succeq (a_n^{(i)}, a_{n+1}^{(i-1)}, \dots, a_{n+i-1}^{(1)}, 1).$$

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Simultaneous rational approximation

Define $(q_n, p_n^{(1)}, \dots, p_n^{(d)})_{n=-d-1}^{\infty}$ which gives rational approximations

$$\left(\frac{p_n^{(1)}}{q_n}, \dots, \frac{p_n^{(d)}}{q_n} \right)_{n \in \mathbb{N}_0} \quad \text{to} \quad (\alpha^{(1)}, \dots, \alpha^{(d)})$$

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For $n \geq -1$ denote

$$\mathbb{A}_n := \begin{pmatrix} q_{n-d} & q_{n-d+1} & \cdots & q_n \\ p_{n-d}^{(1)} & p_{n-d+1}^{(1)} & \cdots & p_n^{(1)} \\ \vdots & \vdots & \ddots & \vdots \\ p_{n-d}^{(d)} & p_{n-d+1}^{(d)} & \cdots & p_n^{(d)} \end{pmatrix}$$

Properties of convergents

Set $\mathbb{A}_{-1} = \mathbb{I}_{d+1}$ and

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Proof by induction.

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$$\alpha^{(i)} = \frac{p_{n-d-1}^{(i)} + p_{n-d}^{(i)} \alpha_n^{(1)} + \cdots + p_{n-1}^{(i)} \alpha_n^{(d)}}{q_{n-d-1} + q_{n-d} \alpha_n^{(1)} + \cdots + q_{n-1} \alpha_n^{(d)}},$$

for $1 \leq i \leq d$.

Proof:

$$\mathbb{A}_n \begin{pmatrix} 1 \\ \alpha_{n+1}^{(1)} \\ \alpha_{n+1}^{(2)} \\ \vdots \\ \alpha_{n+1}^{(d)} \end{pmatrix} = \mathbb{A}_{n-1} \begin{pmatrix} 0 & 0 & \dots & 0 & 1 \\ 1 & 0 & \dots & 0 & a_n^{(1)} \\ 0 & 1 & \dots & 0 & a_n^{(1)} \\ \vdots & \vdots & \ddots & \vdots & \vdots \\ 0 & 0 & \dots & 1 & a_n^{(d)} \end{pmatrix} \begin{pmatrix} 1 \\ \alpha_{n+1}^{(1)} \\ \alpha_{n+1}^{(2)} \\ \vdots \\ \alpha_{n+1}^{(d)} \end{pmatrix} =$$

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Convergence of convergents

Claim. For every JPA we have

$$\lim_{n \rightarrow \infty} \left| \frac{p_n^{(i)}}{q_n} - \alpha^{(i)} \right| = 0.$$

the so-called **weak convergence**.

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Will say more for periodic JPA.

Uniqueness

Theorem. The sequence $(a_n^{(1)}, a_n^{(2)}, \dots, a_n^{(d)})_{n \in \mathbb{N}_0}$ of non-negative integer n -tuples is a JPA development if and only if it satisfies the lexicographic condition.

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Theorem. Let $(a_n^{(1)}, a_n^{(2)}, \dots, a_n^{(d)})_{n \in \mathbb{N}_0}$, $(\tilde{a}_n^{(1)}, \tilde{a}_n^{(2)}, \dots, \tilde{a}_n^{(d)})_{n \in \mathbb{N}_0}$ satisfy the lexicographic condition, and let $(\frac{p_n^{(1)}}{q_n}, \dots, \frac{p_n^{(d)}}{q_n})$, $(\frac{\tilde{p}_n^{(1)}}{\tilde{q}_n}, \dots, \frac{\tilde{p}_n^{(d)}}{\tilde{q}_n})$ be the corresponding convergents. If

$$\lim_{n \rightarrow \infty} \frac{p_n^{(i)}}{q_n} = \lim_{n \rightarrow \infty} \frac{\tilde{p}_n^{(i)}}{\tilde{q}_n}, \quad \text{for all } i = 1, \dots, d,$$

then

$$a_n^{(i)} = \tilde{a}_n^{(i)}, \quad \text{for all } i = 1, \dots, d, \quad n \in \mathbb{N}_0.$$

Periodicity

WLOG: $(\alpha_l^{(1)}, \dots, \alpha_l^{(d)}) = (\alpha_0^{(1)}, \dots, \alpha_0^{(d)})$ for some $l \in \mathbb{N}$.

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$$\mathbb{A}_{l-1} \begin{pmatrix} 1 \\ \alpha^{(1)} \\ \vdots \\ \alpha^{(d)} \end{pmatrix} = \alpha_1^{(d)} \cdots \alpha_l^{(d)} \begin{pmatrix} 1 \\ \alpha^{(1)} \\ \vdots \\ \alpha^{(d)} \end{pmatrix}$$

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i.e. $(\alpha^{(1)}, \dots, \alpha^{(d)})^T$ is an eigenvector of \mathbb{A}_{l-1}
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We have $\varrho \in \mathbb{Q}(\alpha^{(1)}, \dots, \alpha^{(d)})$, but also $\alpha^{(i)} \in \mathbb{Q}(\varrho)$, whence

$$\mathbb{Q}(\alpha^{(1)}, \dots, \alpha^{(d)}) = \mathbb{Q}(\varrho).$$

The characteristic polynomial

$f(x) = \det(\mathbb{A}_{I-1} - xI)$
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- ▶ ϱ is an algebraic integer (unit) of degree at most $d + 1$,
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Theorem.

The characteristic polynomial of JPA of $(\alpha^{(1)}, \dots, \alpha^{(d)})$ is irreducible if and only if $(1, \alpha^{(1)}, \dots, \alpha^{(d)})$ are linearly independent over \mathbb{Q} .

Case $d = 2$.

Claim. If JPA of $(\alpha^{(1)}, \alpha^{(2)})$ is purely periodic with period l , then $\varrho = \alpha_1^{(2)} \cdots \alpha_l^{(2)}$ is a cubic Pisot unit.

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Proof. The characteristic polynomial

$$\begin{aligned} f(x) &= \begin{vmatrix} q_{l-3} - x & q_{l-2} & q_{l-1} \\ p_{l-3}^{(1)} & p_{l-2}^{(1)} - x & p_{l-1}^{(1)} \\ p_{l-3}^{(2)} & p_{l-2}^{(2)} & p_{l-1}^{(2)} - x \end{vmatrix} = \\ &= -x^3 + x^2(q_{l-3} + p_{l-2}^{(1)} + p_{l-1}^{(2)}) + x(\cdots) + 1 \end{aligned}$$

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$$= -x^3 + x^2(q_{l-3} + p_{l-2}^{(1)} + p_{l-1}^{(2)}) + x(\cdots) + 1$$

has roots $\varrho, \varrho', \varrho''$, satisfying

$$\varrho = \alpha_1^{(2)} \cdots \alpha_l^{(2)} > 1 \quad \text{and} \quad \varrho \varrho' \varrho'' = 1 \quad \implies \quad |\varrho' \varrho''| < 1.$$

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Therefore

$$|\varrho'| < 1 \quad \text{and} \quad |\varrho''| < 1.$$

QED.

Quality of convergence for periodic JPA

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Theorem (Perron). Let $\varrho_0 =, \varrho_1, \dots, \varrho_d$ be roots of the characteristic polynomial,

$$\varrho_0 > |\varrho_1| = \max\{|\varrho_i| \mid i = 1, \dots, d\}.$$

Then $\exists C, \forall \varepsilon > 0, \forall n \in \mathbb{N}_0, \forall k = 0, 2, \dots, l-1$

$$|p_{nl+k}^{(i)} - q_{nl+k} \alpha^{(i)}| < C |\varrho_1|^n (1 + \varepsilon)^n \quad (i = 1, \dots, d).$$

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On the other hand, for at least one pair (i, k) there exists C' such that

$$|p_{nl+k}^{(i)} - q_{nl+k}\alpha^{(i)}| > C'|\varrho_1|^n$$

is verified for infinitely many n .

Strong convergence and Pisot numbers

Corollary. For a periodic JPA, $\lim_{n \rightarrow \infty} (p_n^{(i)} - q_n \alpha^{(i)}) = 0$ for all i if and only if the characteristic polynomial is irreducible with a Pisot number as its root.

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Note: For $d \geq 3$ there exist non strongly convergent periodic JPA.

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It is not known whether or not a d -dimensional JPA of algebraic irrationals $\alpha^{(1)}, \dots, \alpha^{(d)} \in \mathbb{R}$, $d \geq 2$, in a number field K of degree $d + 1$ always becomes periodic.

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It is not known whether or not a d -dimensional JPA of algebraic irrationals $\alpha^{(1)}, \dots, \alpha^{(d)} \in \mathbb{R}$, $d \geq 2$, in a number field K of degree $d + 1$ always becomes periodic.

But in any number field of degree $d + 1$ there exists a d -tuple with periodic JPA.

→ can be used for calculation of units in numbers fields

Purely periodic JPA with period length 1

Let $(a^{(1)}, \dots, a^{(d)}) \in \mathbb{N}^d$ such that for $i = 0, \dots, d - 1$,

$$(a^{(d)}, a^{(d-1)}, \dots, a^{(d-i)}) \succeq (a^{(i)}, a^{(i-1)}, \dots, a^{(i)}, 1).$$

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Theorem. JPA of $(\alpha^{(1)}, \dots, \alpha^{(d)}) \in \mathbb{R}^d$ is purely periodic with period length 1, equal to $(a^{(1)}, \dots, a^{(d)})$, if and only if

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where ϱ is the positive root of

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HA!

Comparison of JPA for $d = 1$ and $d \geq 2$

Finiteness

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Conditions on coefficients

$d = 1$ $a_0 \in \mathbb{Z}$, $a_i \in \mathbb{N}$ for $i \geq 1$

$d \geq 2$ lexicographic

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Matrix of convergents

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Convergence

$d = 1$ always strong

$d \geq 2$ always weak, sometimes strong?

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Periodic expansion

$d = 1$

Characteristic polynomial has an algebraic unit ϱ as a root.

$\mathbb{Q}(\varrho) = \mathbb{Q}(\alpha)$ of degree $d + 1 = 2$.

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$d \geq 2$

Characteristic polynomial has an algebraic unit ϱ as a root.

$\mathbb{Q}(\varrho) = \mathbb{Q}(\alpha^{(1)}, \dots, \alpha^{(d)})$ of degree $\leq d + 1$.

Of degree $d + 1 \iff 1, \alpha^{(1)}, \dots, \alpha^{(d)}$ LN over \mathbb{Q} .

Then strong convergent $\iff \varrho$ is Pisot.