

On statistical properties of 3D Voronoi-Minkowski continued fractions

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July 3, 2014



Georgy Voronoï (1868–1908) and Hermann Minkowski (1864-1909) looked pretty similar and shared nearly parallel biographies (including their untimely death); they met once at the ICM in Heidelberg 1904. They founded Geometry of Numbers – a new branch of mathematics, around 1895.





MINKOWSKI H. Generalisation de la theorie des fractions continues. — *Ann. de l'Ecole Norm.*, 1896, 13, 41–60.





VORONOÏ G. F. *On a Generalization of the Algorithm of Continued Fractions (Doctoral Dissertation)*. — Warsaw, 1896. (195 pp. in reprinted edition)

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-  DELONE, B. N. FADDEEV D. K. Theory of irrationalities of third degree, — *Travaux Inst. Math. Stekloff*, 11, Acad. Sci. USSR, MoscowLeningrad, 1940.
-  VORONOÏ G. F. *On a Generalization of the Algorithm of Continued Fractions (Doctoral Dissertation)* — unofficial translation by Emma Lehmer (exists as pdf-document).

“The present work was completely finished and the printing begun when there was received in Warsaw No. 2 13th Vol. of *Annales Scientifique de l'École Normale Supérieure*. In this no. is the article by H. Minkowski ‘Généralisation de la théorie des fractions continues’ . . .

. . .

G. F. Voronoï, Warsaw 24th May 1896.”

Previous 3D generalizations of continued fraction algorithm were considered by

- Euler (???)
- Jacobi (1868),
- Hermite (1845),
- Poincaré (1885),
- Hurwitz (1894),
- Klein (1895).

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$$xy \equiv 1 \pmod{a}$$

are uniformly distributed in the square $[1, a] \times [1, a]$.

Kloosterman sums

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This fact follows from non-trivial bounds for Kloosterman sums

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It means that integer matrices such that

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This observation gives the way to study reduced bases in 2D lattices, continued fractions etc. Applications include:

- Gauss–Kuz'min statistics for rational numbers and quadratic irrationalities.
- Distribution of Frobenius numbers with 3 arguments.
- Distribution of free path lengths in 2D lattices (Lorenz gas).

The key idea

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Propagating a solution we have 3 degrees of freedom $(u, t, z \in \mathbb{Z})$:

$$\begin{vmatrix} a & b \\ c & d \end{vmatrix} = N \quad \Rightarrow \quad \begin{vmatrix} a & zb + ua \\ z^{-1}c + ta & * \end{vmatrix} = N$$

3-dimensional case ($3 \rightarrow 2$ -reduction)

Let $A = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$, $q = \det A \neq 0$ and

$$\begin{vmatrix} & & x_1 \\ & A & x_2 \\ x_3 & x_4 & x_5 \end{vmatrix} = N.$$

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Linnik and Skubenko (1964) used this argument for studying distribution of points on a variety defined by equation $\det(x_{ij}) = N$ ($i, j = 1, 2, 3$).

The goal

1. to create a 3D analytical tool based on Linnik-Skubenko reduction;
2. apply this tool at least in one problem.

The basic problem

Let $\ell(a/b)$ be a length of continued fraction expansion for a/b .

Theorem (Heilbronn, 1968)

$$\frac{1}{\varphi(N)} \sum_{\substack{1 \leq a \leq N \\ (a,N)=1}} \ell(a/N) = \frac{2 \log 2}{\zeta(2)} \log N + O(\log^4 \log N).$$

Theorem (Porter, 1975)

$$\frac{1}{\varphi(N)} \sum_{\substack{1 \leq a \leq N \\ (a,N)=1}} \ell(a/N) = \frac{2 \log 2}{\zeta(2)} \log N + C_P + O(N^{-1/6+\varepsilon}),$$

$$C_P = \frac{2 \log 2}{\zeta(2)} \left(\frac{3 \log 2}{2} + 2\gamma - 2 \frac{\zeta'(2)}{\zeta(2)} - 1 \right) - \frac{1}{2}.$$

Gauss–Kuz'min statistics

For rational $r = [a_0; a_1, \dots, a_s]$ and real $x, y \in [0, 1]$ Gauss–Kuz'min statistics $\ell(x, y)$ can be defined as follows

$$\ell_{x,y}(r) = \left| \{1 \leq j \leq \ell + 1 : [0; a_j, \dots, a_\ell] \leq x, [0; a_{j-1}, \dots, a_1] \leq y\} \right|.$$

Theorem (The generalization of Porter's theorem)

$$\frac{1}{\varphi(N)} \sum_{\substack{1 \leq a \leq N \\ (a, N) = 1}} \ell_{x,y}(a/N) = \frac{2 \log(1 + xy)}{\zeta(2)} \log N + C_P(x, y) + O(N^{-1/6+\varepsilon}).$$

The leading coefficient is a Gauss measure of corresponding box:

$$\log(1 + xy) = \int_0^x \int_0^y \frac{d\alpha d\beta}{(1 + \alpha\beta)^2} = \mu(\text{Box} = [0, x] \times [0, y])$$

The Gaussian measure

$$d\mu = \frac{dx dy}{\begin{vmatrix} 1 & x \\ -y & 1 \end{vmatrix}^2}$$

is a (right) Haar measure on quotient space $D_2(\mathbb{R}) \backslash GL_2(\mathbb{R})$.

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The same measure describes behavior of Klein polyhedrons. The difference is in measure space. Measure space varies for different types of 3D continued fractions.

The main result

The main result is a 3D analogue of Porter's theorem.

Theorem (AU, 2015?)

Average (over *primitive* lattices $\Lambda \subset \mathbb{Z}^3$ with $\det \Lambda = N$) number of *elements* in *3D continued fraction* is

$$c_2 \log^2 N + c_1 \log N + c_0 + O(N^{-1/21+\varepsilon}).$$

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This theorem has a natural generalization on 3D Gauss — Kuz'min statistics. In this case the leading coefficient $c_2 = \mu(\text{Box})$, $\text{Box} \subset [0, 1]^6$.

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The lattice with basis matrix

$$\begin{pmatrix} x_1 & x_2 & x_3 \\ y_1 & y_2 & y_3 \\ z_1 & z_2 & z_3 \end{pmatrix}$$

is *primitive* iff

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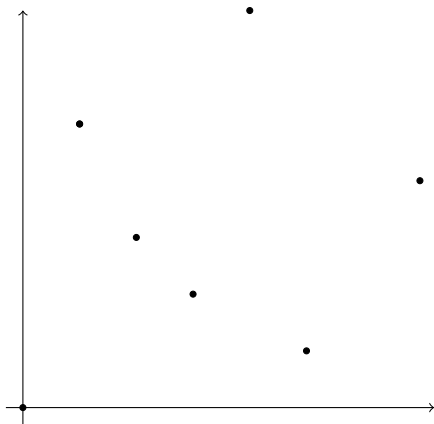
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(In 2D case we considered a/N such that $(a, N) = 1$.)

Let S be a subset of $\mathbb{R}_{\geq 0}^2$. Consider the boundary of the set

$$S \oplus \mathbb{R}_{\geq 0}^2 = \{s + r \mid s \in S, r \in \mathbb{R}_{\geq 0}^2\}.$$

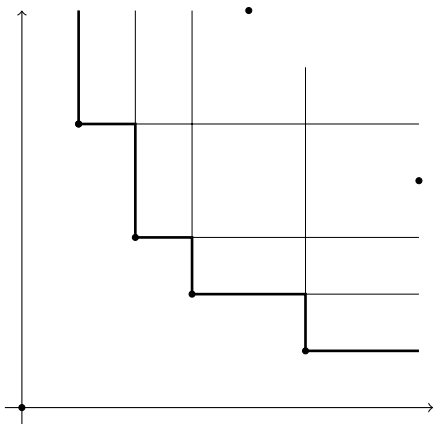
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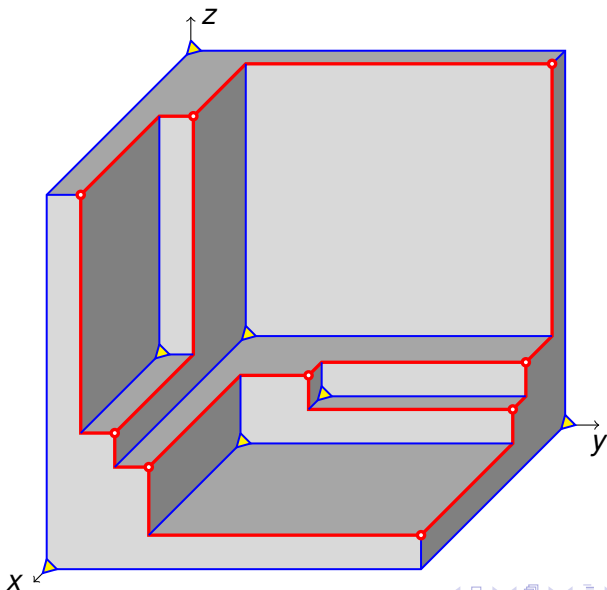
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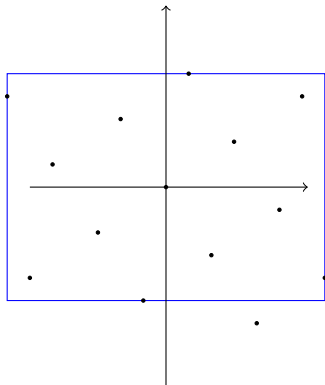
We assume that

- (1) S has no accumulation points;
- (2) S is in general position: each plane parallel to a coordinate plane contains at most one point of S .

Voronoi-Minkowski complex



For a nonempty finite point set $T \subset \mathbb{R}^s$ $\text{Box}(T)$ is the least possible parallelepiped circumscribed about T .



More formally: if

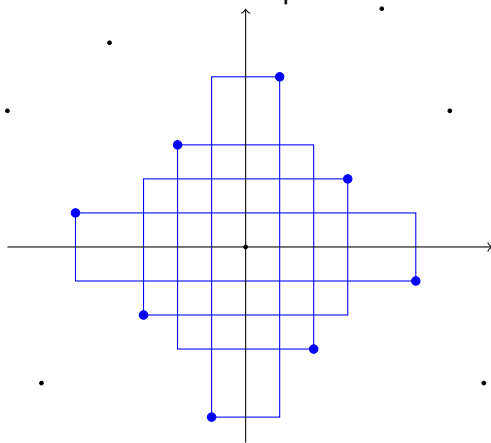
$$|T|_i = \max\{|x_i| : x = (x_1, \dots, x_s) \in T\} \quad (i = 1, \dots, s),$$

then

$$\text{Box}(T) = [-|T|_1, |T|_1] \times \dots \times [-|T|_s, |T|_s].$$

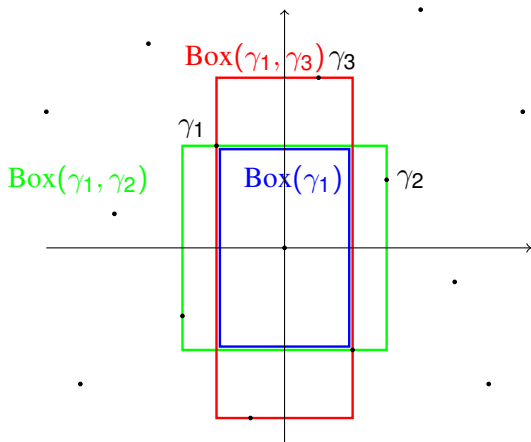
A point γ in a lattice Γ is called a *relative (local) minimum* of the lattice Γ in the sense of Voronoi (or simply a *minimum*) if the $B_{\text{ox}}(\gamma)$ is *free* (it contains no points of the lattice Γ different from its vertices and the origin).

2D example:



The $\text{Box}(\gamma_1, \gamma_2)$ is called *extreme* if it is *free* and if, at the same time, it has on each of its faces at least one lattice point.

In other words it is impossible to extend this parallelepiped in any coordinate direction so that the resulting parallelepiped still contains no nonzero lattice points.



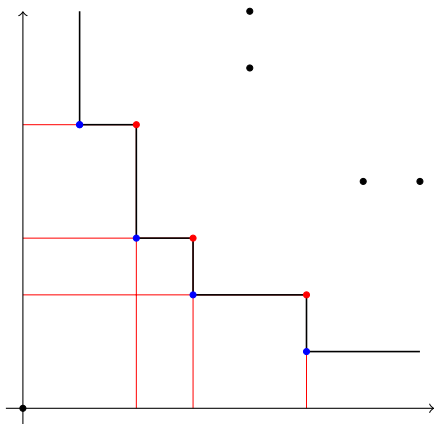
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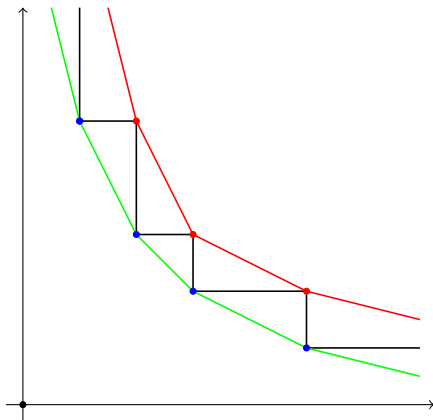
Instead of lattice Γ we can consider a set $|\Gamma| \subset \mathbb{R}^s$ where

$$|\Gamma| = \{(|x|, |y|, |z|) : (x, y, z) \in \Gamma\}.$$

As it was proved by Voronoi, we can consider a classical continued fraction as a sequence of **local minima (halls)** or **extreme parallelepipeds (hills)**

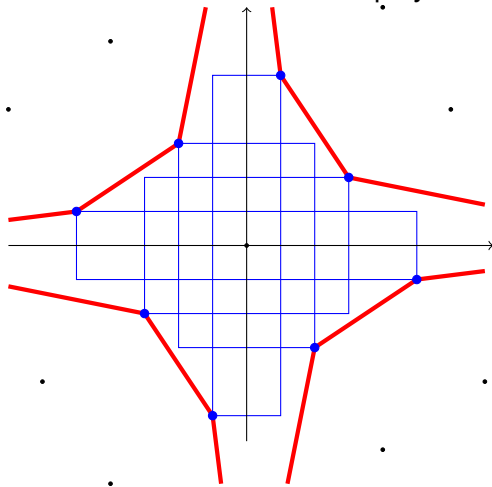


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Local minima and Klein polyhedron: (in 2D case)

local minima=vertices of Klein polyhedron



In 3D case vertices of **Klein polyhedron** are always **local minima**, but converse is not true (Bykovski, 2006).
In other words local minima have more rich structure (they can hide behind the faces of Klein polyhedron).

The $\text{Box}(\gamma_1, \gamma_2, \gamma_3)$ is called *extreme* if it is *free* (it contains no lattice points other than the origin) and if, at the same time, it has on each of its faces at least one lattice point.

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A set of vectors (s.t. $v_i \neq v_j$) S in the lattice Γ is said to be *minimal* if the $\text{Box}(S)$ contains no points of Γ except the origin. In particular, a minimal system of order 1 is a local minimum, minimal systems of order 3 gives extreme parallelepiped.

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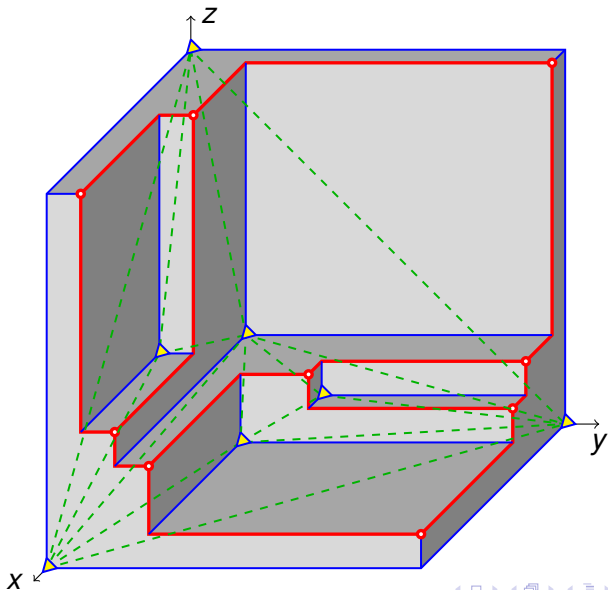
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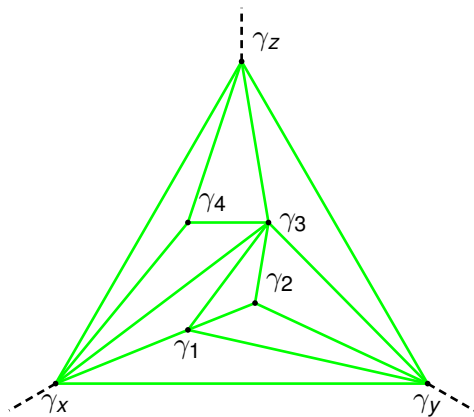
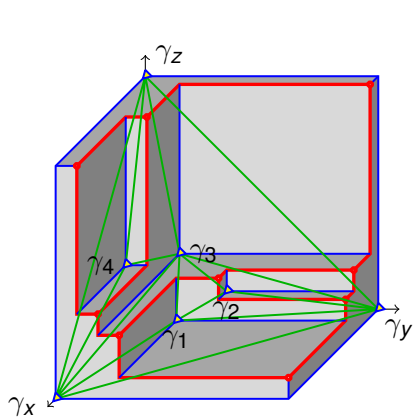
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If $\{\gamma_1, \gamma_2\}$ is a minimal system of order 2 then γ_1 and γ_2 are *neighbours*.

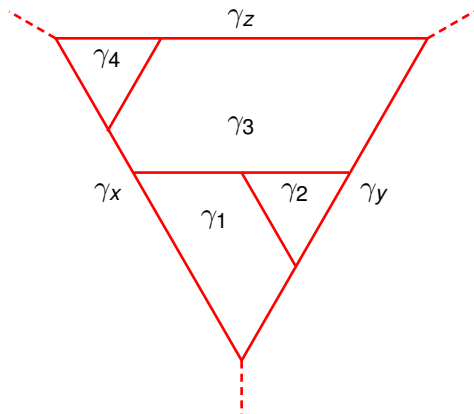
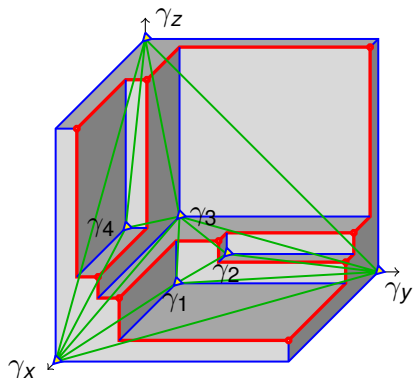
Minkowski graph



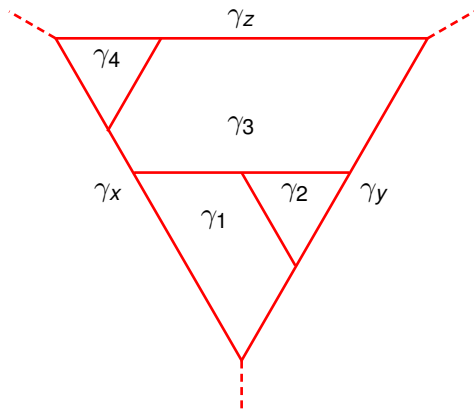
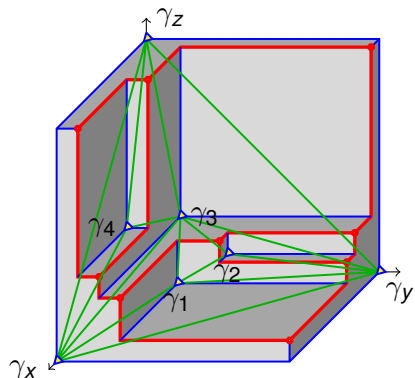
Minkowski graph



Voronoi (=Minkowski*) graph



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For more pictures and explanations see



O. KARPENKOV, A. USTINOV "Geometry of Minkowski-Voronoi tessellations of the plane" (ArXiv e-prints. Submitted on 1 Jul 2014).

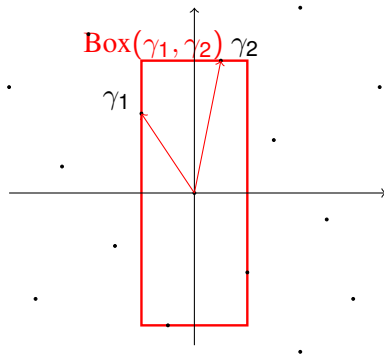
Why do these objects are interesting and important?

- Good algorithms.
- Periodicity for algebraic lattices.
- “Vahlen’s theorem”.
- “Gauss measure”.
- Possibility to apply “hard” (analytical) methods based on Kloosterman sums.

Some reasons

Gauss measure

In 2D case minimal couple $\gamma_1 = (a_1, b_1)$, $\gamma_2 = (a_2, b_2)$ is always a basis of a given lattice (Voronoi):



Some reasons

Gauss measure

$$\begin{pmatrix} a_1 & a_2 \\ b_1 & b_2 \end{pmatrix} \rightarrow \begin{pmatrix} a_1^{-1} & 0 \\ 0 & b_2^{-1} \end{pmatrix} \begin{pmatrix} a_1 & a_2 \\ b_1 & b_2 \end{pmatrix} = \begin{pmatrix} 1 & x \\ -y & 1 \end{pmatrix}$$

where $0 < x < 1, 0 < y < 1$. $\text{Box}(\gamma_1, \gamma_2) \rightarrow [-1, 1]^2$.

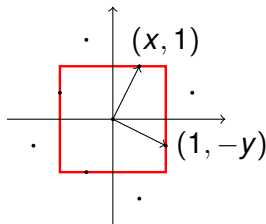
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Gaussian measure

$$d\mu = \frac{dx dy}{(1 + xy)^2} = \frac{dx dy}{\begin{vmatrix} 1 & x \\ -y & 1 \end{vmatrix}^2}$$

defined for $(x, y) \in [0, 1]^2$ describes typical behavior of classical continued fractions. From geometrical point of view this density function describes distribution of vectors from bases $\begin{pmatrix} 1 & x \\ -y & 1 \end{pmatrix}$ on the sides of unit square.



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Gauss measure

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3D surprise (Minkowski): either minimal triple $\gamma_1 = (a_1, b_1, c_1)$, $\gamma_2 = (a_2, b_2, c_2)$, $\gamma_3 = (a_3, b_3, c_3)$ is a basis and corresponding matrix equivalent to

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or it is degenerate ($\det(\gamma_1, \gamma_2, \gamma_3) = 0$) and for some combination of signs

$$\gamma_1 \pm \gamma_2 \pm \gamma_3 = 0.$$

Some reasons

Gauss measure

The 3D analogue of Gaussian measure

$$d\mu = \frac{dx_2 dx_3 dy_1 dy_3 dz_1 dz_2}{\begin{vmatrix} 1 & x_2 & \pm x_3 \\ -y_2 & 1 & y_3 \\ z_1 & -z_2 & 1 \end{vmatrix}^3}$$

describes a distribution of basis vectors on some subset of $[0, 1]^6$ (defined by some simple linear inequalities).

Some reasons

Periodicity

Two main examples (the beginning of *Markov spectrum*) are

$$\frac{1 + \sqrt{5}}{2} = 2 \cos \frac{2\pi}{5} = [1; 1, \dots, 1, \dots] = 1 + \frac{1}{1 + \frac{1}{1 + \frac{1}{1 + \dots}}},$$

$$\sqrt{2} = 2 \cos \frac{2\pi}{8} = [1; 2, \dots, 2, \dots] = 1 + \frac{1}{2 + \frac{1}{2 + \frac{1}{2 + \dots}}}.$$

Some reasons

Periodicity

With quadratic irrational α we can associate a lattice $\Gamma(\alpha)$ with basis $(1, 1)$ and (α, β) where β is conjugate of α (second root of the same quadratic equation.)

Periodical continued fraction of α describes periodical structure of local minima of $\Gamma(\alpha)$.

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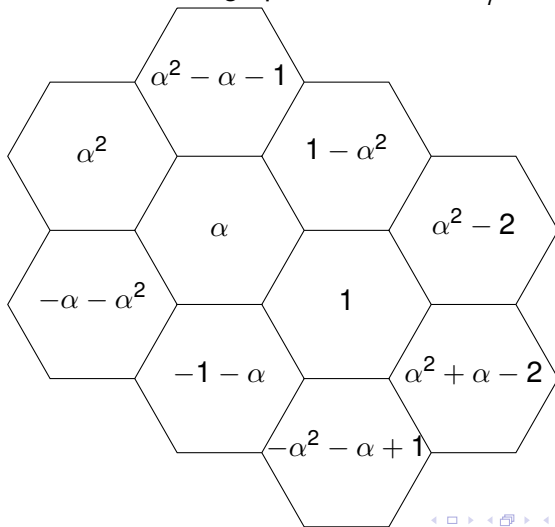
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Two mains examples arise from cubic numbers $\alpha = 2 \cos \frac{2\pi}{7}$ and $\alpha = 2 \cos \frac{2\pi}{9}$ (associated with first two *extremal Davenport cubic forms*).

Some reasons

Periodicity

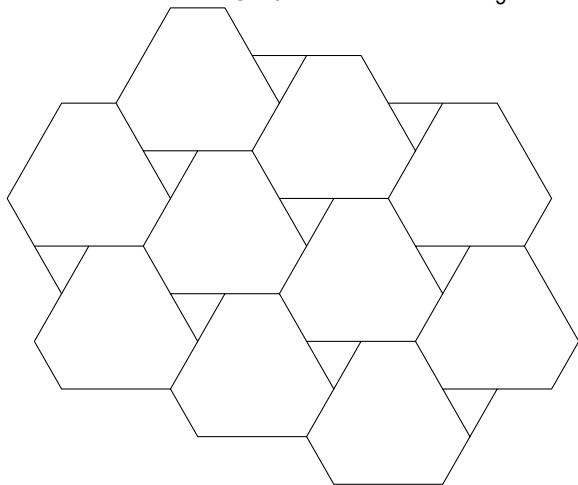
The Voronoi graph for $\alpha = 2 \cos \frac{2\pi}{7}$



Some reasons

Periodicity

The Voronoi graph for $\alpha = 2 \cos \frac{2\pi}{9}$





SYTA H., VAN DE WEYGAERT R. “Life and Times of Georgy Voronoï” (ArXiv e-prints, 2009).

“Markov asked Voronoï by telegraph to come from Warsaw to Petrograd. Markov invited Voronoï to his office and proposed him to calculate the unit for the cubic equation $r^3 = 23$. By artificial means, Markov had found for this example the unit

$$e = 2166673601 + 761875860r + 267901370r^2.$$

Voronoï calculated for three hours.

The period had 21 terms and in order to find the main unit it was necessary to multiply 21 expressions

$$\begin{aligned}
 & -2 + \rho, \frac{-11 + 2\rho + \rho^2}{15}, \frac{-3 - \rho + \rho^2}{4}, \frac{-9 + 5\rho + \rho^2}{17}, \frac{4 - 3\rho + \rho^2}{10}, \\
 & \frac{1 - \rho + \rho^2}{8}, \frac{-2 + \rho}{3}, \frac{1 + 3\rho - \rho^2}{10}, \frac{-5 - \rho + \rho^2}{3}, \frac{-1 + \rho}{2}, \\
 & \frac{-10 + \rho + \rho^2}{11}, -2 + \rho, \frac{-11 + 2\rho + \rho^2}{15}, \frac{1 - \rho + \rho^2}{8}, \frac{-2 + \rho}{3}, \\
 & \frac{1 + 3\rho - \rho^2}{5}, \frac{-1 + \rho}{2}, \frac{-1 + 10\rho - \rho^2}{33}, \frac{-11 + 7\rho + \rho^2}{20}, \\
 & \frac{9 - 7\rho + 2\rho}{31}, \frac{-5 - \rho + \rho^2}{6}.
 \end{aligned}$$

Following this analysis, he found the unit

$$E = -41399 - 3160r + 6230r^2.$$

It turned out that $Ee = 1$. So, it was verified that the algorithm really worked.”

Markov's unit one more time:

$$e = 2166673601 + 761875860r + 267901370r^2.$$

Thank you for your attention!