

Eugenio G. Omodeo

2.2. EQUAZIONI DIOFANTEE POLINOMIALI

55



Le sommatorie $S_k(a) = \sum_{i=0}^k i^k$ si possono scrivere anche come polinomi

$$S_k(a) = \frac{1}{k+1} \sum_{i=0}^k (-1)^i \binom{k+1}{i} B_i a^{k+1-i}$$

di grado $k+1$ nell'indeterminata a , dove B_0, B_1, B_2, \dots sono i numeri razionali individuati da Jakob Bernoulli nel 1713, calcolabili tramite la formula di ricorrenza

$$B_0 = 1, \quad B_m = -\sum_{j=0}^{m-1} \binom{m}{j} \frac{B_j}{m-j+1} \quad \text{per } m > 0.$$

Figura 2.5: Augusta Ada Byron, contessa di Lovelace, qui raffigurata in un 'doodle' della Google, implementò attorno al 1843 quello che viene considerato il primo programma per *computer* della storia: aveva il compito di calcolare i numeri di Bernoulli (v. http://it.wikipedia.org/wiki/Algoritmo_di_Ada_Lovelace_per_i_numeri_di_Bernoulli).

- 1 *Existentially definable, in particular Diophantine, sets*

- ② Existential definitions of the *binomial coefficient*, *bitwise dominance*, *factorial*, *primality*

- ③ Should *bounded universal* quantifiers enter the kit ?

- ④ *The Davis-Putnam-Robinson theorem*
with its enrichment due to Matiyasevich

- 5 Relations of *exponential growth*

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- 2 Existential definitions of the *binomial coefficient*, *bitwise dominance*, *factorial*, *primality*
- 3 Should *bounded universal* quantifiers enter the kit ?
- 4 *The Davis-Putnam-Robinson theorem* with its enrichment due to Matiyasevich
- 5 Relations of *exponential growth*
- 6 An open problem



Diophantine, and
existentially defin-
able, sets

A relation $\mathcal{D} \subseteq \mathbb{N}^m$ is said to be *existentially definable in terms of some relation $\mathcal{J}(\cdot, \dots, \cdot)$* iff

$$\mathcal{D}(a_1, \dots, a_m) \iff \exists x_1 \cdots \exists x_k \quad \varphi(\underbrace{a_1, \dots, a_m}_{\text{parameters}}, \underbrace{x_1, \dots, x_k}_{\text{variables}})$$

holds, over \mathbb{N} , for some formula φ that only involves :

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- $a^a = 1$ & $x^x = a + 1$

existentially define ... *in terms of* triadic **exponentiation** $b^n = c$.

Both of

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existentially define $\{0\}$ in terms of triadic **exponentiation** $b^n = c$.

Like 0, many other useful Diophantine constructs, e.g.

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can—and will, tacitly—be added to the language of existential definitions.

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¹E.g.,

$$a \nmid b \iff \exists q \exists r \exists d (q \cdot a + r + 1 = b \ \& \ r + 1 + d + 1 = a).$$

DEFINITION (UNIVOCAL EXISTENTIAL DEFINITIONS)

An existential definition

$$\exists \vec{x} \quad \varphi(\vec{a}, \vec{x})$$

(as above) is *single-fold* if

$$\forall \vec{a} \exists \vec{y} \forall \vec{x} \left[\varphi(\vec{a}, \vec{x}) \implies \vec{y} = \vec{x} \right]$$

(i.e., $\varphi(a_1, \dots, a_m, x_1, \dots, x_k)$ never has multiple solutions).

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FINITE-FOLD EXISTENTIAL DEFINITIONS

The definition of *finite-fold*-ness is akin:

$$\forall \vec{a} \exists y \forall \vec{x} \left[\varphi(\vec{a}, \vec{x}) \implies y > \sum \vec{x} \right]$$

To each \vec{a} there must correspond a *finite* number of solutions.



Existential definitions of
the binomial coefficient,
etc.

MEDIUM SCALE EXAMPLES

$$\binom{r}{j} = \left\lfloor \frac{(u+1)^r}{u^j} \right\rfloor \% u \quad \text{for any } u \geq 2^r + 0^{r+j}$$

$$j! = \left\lfloor \frac{r^j}{\binom{r}{j}} \right\rfloor \quad \text{for any } r > (2j)^{j+1}$$

$$\neg \exists x \exists y (p = (x+2)(y+2) \vee p = 0 \vee p = 1) \\ \iff \exists q \exists u \exists v (p = 2 + q \ \& \ p u - (q+1)! v = 1)$$

Fig. \square Binomial coefficient, factorial, and “ p is a prime” are existentially definable by means of exponential Diophantine equations, cf. [Rob52, pp. 446–447]. Throughout, ‘%’ designates the integer remainder operation.

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EXERCISE

Explain the above specifications of primality, by means of Bézout’s lemma and Wilson’s theorem.

ℓ	chiave	base	coefficiente binomiale $\binom{\ell}{j}$							
0	1	2	...	0	0	0	0	0	0	1
1	2	4	...	0	0	0	0	1	1	
2	3	8	...	0	0	0	1	2	1	
3	4	16	...	0	0	1	3	3	1	
4	5	32	...	0	1	4	6	4	1	
\vdots	\vdots	\vdots	\ddots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots	\vdots

$j = \dots, 5, 4, 3, 2, 1, 0$

FIGURA: Riguardo alla cifratura del coefficiente binomiale

$$\text{digit}(a, b, j) = d \iff_{\text{Def}} \exists v \exists w \exists z \left(\begin{array}{l} a = w b^z + d b^j + v \ \& \\ z = j + 1 \ \& \ d < b \ \& \ v < b^j \end{array} \right)$$

$$\iff \left\lfloor \frac{a}{b^j} \right\rfloor \% b = d,$$

$$\text{entry}(a, k, j) = c \iff_{\text{Def}} \text{digit}(a, 2^k, j) = c,$$

$$\binom{\ell}{j} = c \iff_{\text{Def}} \text{entry}((2^{\ell+1} + 1)^\ell, \ell + 1, j).$$

LUCAS'S CONGRUENCE

$$\binom{\sum_{i=0}^k b_i p^i}{\sum_{i=0}^k a_i p^i} \equiv \prod_{i=0}^k \binom{b_i}{a_i} \pmod{p}$$

holds when p is a prime number and

$$\{a_0, b_0, \dots, a_k, b_k\} \subseteq \{0, \dots, p-1\}$$

Consider the relationship

$$a \sqsubseteq b$$

holding between $a = \sum_{i=0}^k a_i 2^i$ and $b = \sum_{i=0}^k b_i 2^i$, with $a_0, b_0, \dots, a_k, b_k \in \{0, 1\}$, when $a_i \leq b_i$ for $i = 0, \dots, k$.

Bearing in mind that

$$\binom{0}{1} = 0 \quad \text{and} \quad 1 = \binom{0}{0} = \binom{1}{0} = \binom{1}{1},$$

we get that $a \sqsubseteq b$ holds if and only if $\binom{b}{a}$ is odd.

SUMMATION OF A GENERALIZED GEOMETRIC PROGRESSION

Yuri V. Matiyasevich [Mat93, pp. 202 and 203] shows that the triadic relation

$$\left\{ \left\langle \sum_{i=0}^a b^i i^k, a, b \right\rangle : a \in \mathbb{N}, b \in \mathbb{N} \right\}$$

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Jacob Bernoulli (XVII century) had a result of the same flavour: For each $k \in \mathbb{N}$, the dyadic relation

$$\left\{ \left\langle \underbrace{\sum_{i=0}^a i^k}_c, a \right\rangle : a \in \mathbb{N} \right\}$$

is defined by an equation

$$c = B(a),$$

where $B \in \mathbb{Q}[a]$ has degree $k + 1$.



Would we make the
assembly kit stronger by
adding bounded \forall to it ?

EXAMPLE (“ b IS A POWER OF 2”)

$$\exists \ell \ 2^\ell = b$$

$$\iff \forall u \leq b \ \forall v \leq b \quad b \neq (2u + 3) \cdot v$$

$$\iff \forall u \leq b \ \forall v \leq b \quad \exists w \ [b - (2u + 3) \cdot v]^2 = 1 + w$$

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$$\iff \exists \ell \exists s \exists d \left[\begin{array}{l} 1 = s \% (1 + d) \ \& \\ b = s \% (1 + (\ell + 1) \cdot d) \ \& \\ \forall i \leq \ell \ [s \% (1 + (i + 2) \cdot d) = \\ \qquad \qquad \qquad 2 \cdot [s \% (1 + (i + 1) \cdot d)]] \end{array} \right].$$



The collection \mathfrak{P} of *primitive recursive functions* is the smallest² set of (total) functions, with arguments and result in \mathbb{N} :

- to which all *initial functions* belong;
- which is closed with respect to *composition* and to *recursion*.

²I.e., minimum with respect to \subseteq .

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Our *initial functions* are: The everywhere null functions, the successor function:

$$\langle x_1, \dots, x_n \rangle \xrightarrow{O_n} 0 \quad (n = 0, 1, \dots),$$

$$x \xrightarrow{S} x + 1,$$

and all

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$$\langle x_1, \dots, x_n \rangle \xrightarrow{O_n} 0 \quad (n = 0, 1 \quad),$$

$$x \xrightarrow{S} x + 1,$$

and all projections associated with positive integers:

$$\langle x_1, \dots, x_n \rangle \xrightarrow{I_{n,k}} x_k \quad (n \geq k \geq 1).$$

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FUNCTION COMPOSITION

Let:

f be a function of k arguments,
 g_1, \dots, g_k be functions of M arguments.

One defines the *composition* h of f with g_1, \dots, g_k thus:

$$\langle x_1, \dots, x_M \rangle \xrightarrow{h} f(g_1(x_1, \dots, x_M), \dots, g_k(x_1, \dots, x_M)).$$

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Example. Through composition, from O_1 and S , one gets all constant functions:

$$\underbrace{S(\dots S)}_{c \text{ times}}(O_1(x)) \underbrace{(\dots S)}_{c \text{ times}}.$$

Recursion, when applied to f and g such that

f is an n -adic function
(when $n = 0$, this means that f is a *constant*)

g is an $n + 2$ adic function

yields the $n + 1$ adic function

h such that:

$$\begin{aligned} h(\vec{x}, 0) &= f(\vec{x}) \\ h(\vec{x}, t + 1) &= g(\vec{x}, t, h(\vec{x}, t)) \end{aligned}$$

(Here $\vec{x} =_{\text{Def}} x_1, \dots, x_n$)

THEOREM (GÖDEL–DAVIS)

The graph

$$\{ \langle \vec{a}, h(\vec{a}) \rangle : \vec{a} \in \mathbb{N}^m \}$$

of any m -adic primitive recursive function h is expressible through an arithmetical formula in which:

- \forall -quantifiers appear only in the bounded form $\forall a \leq t$,
- negation (\neg, \neq) does not appear.
- (\exists -quantifiers can occur without restrictions)

THEOREM (DAVIS NORMAL FORM 1950 TANTALIZING !)

Given a m -tuple $\langle h_1, \dots, h_m \rangle$ of monadic primitive recursive functions, one can construct a polynomial D with integer coefficients such that

$$\langle a_1, \dots, a_m \rangle \in \{ \langle h_1(i), \dots, h_m(i) \rangle : i \in \mathbb{N} \}$$

$$\iff$$

$$\exists y \forall u \leq y \exists v_1 \leq y \cdots \exists v_k \leq y D(a_1, \dots, a_m, y, u, v_1, \dots, v_k) = 0.$$

$$\begin{aligned}
 O_n(a_1, \dots, a_n) = b &\rightsquigarrow b = 0, \\
 S(a) = b &\rightsquigarrow b = a + 1, \\
 I_{n,k}(a_1, \dots, a_n) = b &\rightsquigarrow b = a_k.
 \end{aligned}$$

When h results from composition of f with g_1, \dots, g_k :

$$h(a_1, \dots, a_M) = b \rightsquigarrow \exists y_1 \cdots \exists y_k \left(f(y_1, \dots, y_k) = b \ \& \ \bigwedge_{j=1}^k g_j(a_1, \dots, a_M) = y_j \right).$$

When h results through recursion from f and g ,

$$h(\vec{a}, \ell) = b \rightsquigarrow \exists s \exists d \left[\begin{aligned} &f(\vec{a}) = s \% (1 + d) \ \& \\ &b = s \% (1 + (\ell + 1) \cdot d) \ \& \\ &\forall i \leq \ell \left[s \% (1 + (i + 2) \cdot d) = \right. \\ &\quad \left. g\left(\vec{a}, i, s \% (1 + (i + 1) \cdot d)\right) \right] \end{aligned} \right].$$

LEMMA (GÖDEL'S VARIANT OF CHINESE REMAINDER TH'M)

For any tuple $\langle a_1, \dots, a_\ell \rangle \in \mathbb{N}^\ell$, there exist $s, \kappa \in \mathbb{N}$ such that

$$a_i = s \% (i\kappa + 1), \text{ for } i = 1, \dots, \ell.$$

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One may also

- require that κ be a multiple of $\ell!$ and, for each κ ,
- enforce uniqueness of s by requiring that $s < \prod_{i=1}^{\ell} (i\kappa + 1)$.

Pairing theorem:

There exist primitive recursive,
Diophantine functions

$$[a, b], \text{ sn}(c), \text{ dx}(c),$$

with operands and result in \mathbb{N} ,
satisfying the conditions

1. $\text{sn}([a, b]) = a, \quad \text{dx}([a, b]) = b;$
2. $[\text{sn}(c), \text{dx}(c)] = c;$
3. $\text{sn}(c) \leq c, \quad \text{dx}(c) \leq c.$

ONE MORE DEVICE WE NEED

$$\langle a, b \rangle \mapsto \frac{(a+b)^2 + 3a + b}{2}$$

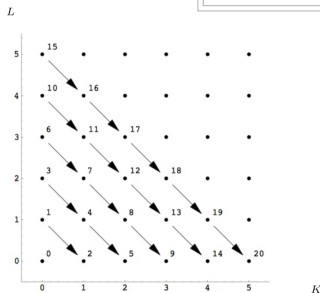
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w	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Kw	0	0	1	0	1	2	0	1	2	3	0	1	2	3	4	0
Lw	0	1	0	2	1	0	3	2	1	0	4	3	2	1	0	5

Pairing, after George Cantor (1878), and its projections

LEMMA (USEFUL EXERCISE!)

Let $[\cdot, \cdot]$ comply with the pairing theorem. If P is a polynomial with integer coefficients in the variables $a_1, \dots, a_n, w, u, v_1, \dots, v_r$, then the two formulae

$$\exists w \forall u \leq w \exists v_1 \dots \exists v_r P = 0,$$

$$\exists y \forall u \leq y \exists v_1 \leq y \dots \exists v_r \leq y \exists w \leq y \exists z \leq y \exists t \leq y \left(y = [w, z] \ \& \ \left(u = w + 1 + t \vee P = 0 \right) \right)$$

are equivalent to each other over \mathbb{N} .



The DPR theorem and its single-fold improvement

Now consider listable³ (aka r.e.) sets.

³**Clue:** A set is *listable* if its elements can be generated exhaustively by an algorithmic (perhaps non-terminating) procedure.

DPR THEOREM

(SEE [DPR61])

Each listable set is *existentially definable in terms of exponentiation*.

This was discovered by

Martin Davis,

Hilary Putnam,

Julia Robinson.

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$$\mathcal{F}(a_1, \dots, a_m) = c \iff (\exists x_1 \dots \exists x_k) \varphi(\underbrace{a_1, \dots, a_m, c}_{\text{parameters}}, \underbrace{x_1, \dots, x_k}_{\text{unknowns}})$$

$$\mathcal{D}(a_1, \dots, a_m) \iff (\exists y \exists x_1 \dots \exists x_k) \varphi(\underbrace{a_1, \dots, a_m}_{\text{parameters}}, \underbrace{y, x_1, \dots, x_k}_{\text{unknowns}})$$

DPR THEOREM

(SEE [DPR61])

Graph, as well as domain \mathcal{D} , of any partially computable function

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Specifically, for some polynomial G with integral coefficients,

$$\mathcal{F}(a_1, \dots, a_m) = c \iff (\exists x_0 \exists x_1 \dots \exists x_k) \left[4^{x_0} + x_0 = G(a_1, \dots, a_m, c, x_1, \dots, x_k) \right].$$



Dyadic relations of
exponential growth



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HISTORICAL EXAMPLE

😊 DIOPHANTINE! 😊

Take

$$\mathcal{J} = \left\{ \langle u, \phi_{2u} \rangle \mid u > 1 \right\},$$

where

$$\phi_0 = 0, \quad \phi_1 = 1, \quad \phi_{h+2} = \phi_{h+1} + \phi_h,$$

for $h = 0, 1, 2, \dots$



(See [Mat70b])



$$\begin{aligned}
 b^n = c &\iff (\exists a, d, \ell, s, x, h) \left[\begin{array}{l} (c-1)^2 + n = 0 \\ (n \geq 1 \ \& \ c + b = 0) \end{array} \right. && \checkmark \\
 & \left(n \geq 1 \ \& \ b \geq 1 \ \& \ \boxed{\mathcal{J}(a, d)} \ \& \ d > \ell \right. && \checkmark \\
 & \ell^2 = (a^2 - 1) [(a-1)s + n]^2 + 1 && \checkmark \\
 & x^2 = (b+n)^3 (b+n+2) (h+1)^2 + 1 && \checkmark \\
 & 2ab - b^2 - 1 \geq (b+n+1)x \ \& \ a > b+n && \checkmark \\
 & (2ab - b^2 - 1) \% \left[\ell - (a-b)((a-1)s + n) \right] = c \left. \right]. && \checkmark
 \end{aligned}$$





Conclusions

Open p.: DOES EXPONENTIATION ADMIT A SINGLE-FOLD (OR AT LEAST FINITE-FOLD) DIOPHANTINE DEFINITION ?



“After the DPR-theorem was proved in 1961, in order to establish the existence of Diophantine representations for *every* effectively enumerable set it was sufficient to find a Diophantine representation for *one particular* set of triples

$$\{ \langle a, b, c \rangle \mid a = b^c \} . \quad (12)$$

Today we are in a similar position with respect to single-fold (and finite-fold) Diophantine representations: now that we can construct single-fold exponential Diophantine representations for all effectively enumerable sets, in order to transform them into single-fold (or finite-fold) genuinely Diophantine representations, it would be sufficient to find a single-fold (or, respectively, finite-fold) Diophantine representation for the same set of triples (12) . . .” [Mat10, p. 748]

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