

Hilbert's 10th Problem and decidability in number theory

Algebra Colloquium

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Section 1

Hilbert's 10th Problem

Solving polynomial equations

Recall: for a univariate polynomial $f \in \mathbb{Z}[X]$, it is easy to find all of its integer and rational roots.

Theorem (Rational Root Theorem)

Consider a polynomial $f(X) = \sum_{i=0}^n a_i X^i \in \mathbb{Z}[X]$ for $n \in \mathbb{N}$ and $a_0, \dots, a_n \in \mathbb{Z}$ with $a_0, a_n \neq 0$.

All rational roots of $f(X)$ are of the form $\frac{x}{y}$ with $x, y \in \mathbb{Z}$ such that $x \mid a_0$ and $y \mid a_n$.

In particular, there is an *algorithm* which can decide whether a univariate polynomial over \mathbb{Z} has an integer root, and whether it has a rational root.

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In particular, there is an *algorithm* which can decide whether a univariate polynomial over \mathbb{Z} has an integer root, and whether it has a rational root.

For multivariate polynomials, it is much harder to decide whether there is an integer (respectively rational) zero.

Hilbert's 10th Problem

At the 1900 International Congress of Mathematicians, David Hilbert posed the following problem, in modern terms:

Can one find an algorithm which takes as input a polynomial equation with integer coefficients, and outputs YES if the equation is solvable over the integers, and NO otherwise ?

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Hilbert's 10th Problem

Note: once we know that a polynomial equation $f(X_1, \dots, X_n) \doteq g(X_1, \dots, X_n)$ with $f, g \in \mathbb{Z}[X_1, \dots, X_n]$ has a solution, then there is an algorithm to find a solution:

- Fix a (computable) bijection $B : \mathbb{N} \rightarrow \mathbb{Z}^n$.

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 - ② Replace a by $a + 1$ and go back to step 1.

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The problem is: without knowing a priori that there is a solution, after how many failed iterations of this procedure can we conclude that the equation does not have a solution?

Hilbert's 10th Problem is unsolvable!

That is, there can never be an algorithm which can decide whether a given polynomial equation with integer coefficients has an integer solution or not.

This was proven by Yuri Matiyasevich in 1970, building on work of Martin Davis, Hilary Putnam, and Julia Robinson.



Tarski's decision procedure



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Tarski's algorithm is of theoretical interest

→ too unwieldy in practice, computational requirements grow superexponentially

→ search for efficient algorithms in specific cases topic of ongoing research in real algebra

Hilbert's 10th problem over a ring

Definition

Let R_0 be a computable commutative ring, R a commutative R_0 -algebra. We say that Hilbert's 10th Problem over R with coefficients in R_0 is solvable if there exists an algorithm which takes as input a polynomial with coefficients in R_0 and outputs YES if the polynomial has a zero in R , and NO otherwise.

Otherwise, we say that Hilbert's 10th Problem over R with coefficients in R_0 is unsolvable.

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- Hil10 $_{\mathbb{Z}}$ ($\mathbb{R}[X]$) is solvable (a polynomial over \mathbb{R} has a zero over $\mathbb{R}[X]$ if and only if it has a zero over \mathbb{R}), but Hil10 $_{\mathbb{Z}[X]}$ ($\mathbb{R}[X]$) is unsolvable (Denef, 1978).

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We will (informally) just say that Hilbert's 10th Problem over R is solvable (“Hil10(R) is solvable”) if Hil10 $_{R_0}(R)$ is solvable for every *reasonable* choice of computable subring R_0 of R .

Hilbert's 10th problem over other rings and fields

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\mathbb{Z}

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\mathbb{R}, \mathbb{C}	\mathbb{Q}	\mathbb{Z}

Hilbert's 10th problem over other rings and fields

Hil10 is solvable.

$\mathbb{R}, \mathbb{C}, \mathbb{F}_q, \mathbb{Q}_p, \mathbb{Z}_p$, the algebraic integers $\tilde{\mathbb{Z}}, \tilde{\mathbb{Z}} \cap \mathbb{R}, \tilde{\mathbb{Z}} \cap \mathbb{Q}_p, \dots$

Hil10 is open.

\mathbb{Q} , all number fields, $\mathbb{C}(X), \mathbb{R}(X)(\sqrt{-(1+X^2)}), \mathbb{F}_q((X)), \mathbb{Q}^{\text{ab}}, \mathbb{Z}^{\text{ab}}, \Omega, \dots$

Hil10 is unsolvable.

$\mathbb{Z}, \mathcal{O}_K$ with K a totally real number field, $A[X]$ for any commutative ring A , rational function fields over $\mathbb{R}, \mathbb{Q}_p, \mathbb{C}(Y), \mathbb{F}_q, \mathbb{C}((Y)), \dots$

Section 2

Existentially definable subsets

Zero set of a polynomial

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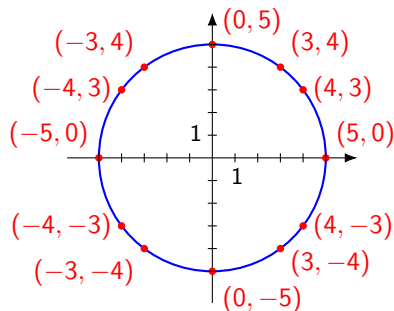
E.g. for the polynomial $x^2 + y^2 - 25$.

- Zero set over \mathbb{Z} :

$$\{(a, b) \in \mathbb{Z}^2 \mid a^2 + b^2 = 25\}$$

- Zero set over \mathbb{R} :

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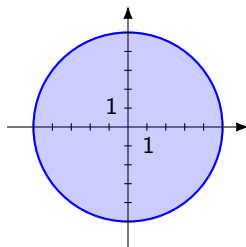


Existentially definable subsets

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$$\{(a, b) \in \mathbb{R}^2 \mid a^2 + b^2 \leq 25\}$$

is not the zero set of a bivariate polynomial over \mathbb{R} .

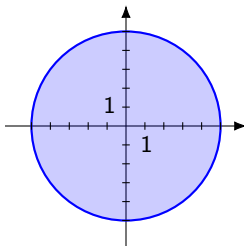


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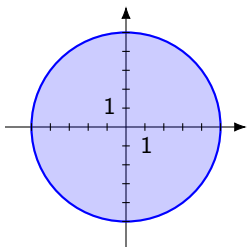
$$a^2 + b^2 \leq 25 \quad \Leftrightarrow \quad \text{there exists } c \in \mathbb{R} : a^2 + b^2 + c^2 = 25.$$

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But: for $a, b \in \mathbb{R}$ we have

$$a^2 + b^2 \leq 25 \iff \text{there exists } c \in \mathbb{R} : a^2 + b^2 + c^2 = 25.$$

Hence

$$\{(a, b) \in \mathbb{R}^2 \mid a^2 + b^2 \leq 25\} = \{(a, b) \in \mathbb{R}^2 \mid \exists c \in \mathbb{R} : a^2 + b^2 + c^2 = 25\}.$$

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The set

$$\{(a, b) \in \mathbb{R}^2 \mid \exists c \in \mathbb{R} : a^2 + b^2 + c^2 = 25\}$$

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Definition

Let R be a commutative ring, $n, m \in \mathbb{N}$. A subset A of R^n is called existentially definable over R with m quantifiers (\exists_m^+ -definable) if there exist $k \in \mathbb{N}$ and polynomials $f_1, \dots, f_k \in R[X_1, \dots, X_n, Y_1, \dots, Y_m]$ such that

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Usually one may assume wlog that $k = 1$ in the above definition (e.g. for $R = \mathbb{Z}, \mathbb{Q}$ or \mathbb{R}).

Existentially definable subsets of \mathbb{Z} , \mathbb{Q} , \mathbb{R} and \mathbb{C}

Which subsets of \mathbb{Z} , \mathbb{Q} , \mathbb{R} and \mathbb{C} are existentially definable?

- \mathbb{C} (Tarski, I think): \exists^+ -definable = \exists_1^+ -definable = finite or cofinite
E.g. $\{2, 3, 5\}$, $\mathbb{C} \setminus \{2, 3, 5\}$.

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E.g. the set of prime numbers, the set of 2-powers, the set of factorials, ...

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E.g. the set of prime numbers, the set of 2-powers, the set of factorials, ...
- \mathbb{Q} : Many \exists^+ -definable subsets.
E.g. the set of non-negative rational numbers

$$\mathbb{Q}_{\geq 0} = \{x \in \mathbb{Q} \mid \exists y_1, \dots, y_4 \in \mathbb{Q} : x - (y_1^2 + \dots + y_4^2) = 0\}.$$

\exists^+ -definable sets and complexity

Vague, imprecise philosophy: For a commutative ring R , the following seem to correlate:

- more \exists^+ -definable subsets,
- more and wilder obstructions to polynomials having zeros,
- less likely that $\text{Hil}10(R)$ is solvable.

So, showing that $\text{Hil}10(R)$ is unsolvable, is related to showing that many subsets of R (or R^n) are \exists^+ -definable.

DPRM revisited

Theorem (M. Davis, H. Putnam, J. Robinson, Y. Matiyasevich)

Let $n \in \mathbb{N}$. Every recursively enumerable subset of \mathbb{Z}^n is \exists^+ -definable.

Corollary

Hil10(\mathbb{Z}) is unsolvable.

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Proof sketch.

- There exists a recursively enumerable subset $A \subseteq \mathbb{Z}$ such that $\mathbb{Z} \setminus A$ is not recursively enumerable (e.g. by the unsolvability of the Halting Problem).



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$$A = \{x \in \mathbb{Z} \mid \exists y \in \mathbb{Z}^m : f(x, y) = 0\}.$$

- Since $\mathbb{Z} \setminus A$ is not recursively enumerable, there cannot be an algorithm which decides, for any input $x \in \mathbb{Z}$, whether $f(x, Y_1, \dots, Y_m)$ has a zero over \mathbb{Z} .



\exists^+ -subsets of \mathbb{Q} and $\text{Hil}10(\mathbb{Q})$

Proposition

Suppose \mathbb{Z} is \exists^+ -definable over \mathbb{Q} . Then $\text{Hil}10(\mathbb{Q})$ is unsolvable.

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- Since \mathbb{Z} is \exists^+ -definable over \mathbb{Q} , one can effectively find, for every $n \in \mathbb{N}$ and polynomial $f \in \mathbb{Z}[X_1, \dots, X_n]$, some $m \in \mathbb{N}$ and polynomial $g \in \mathbb{Z}[Y_1, \dots, Y_m]$ such that

$$f \text{ has a root in } \mathbb{Z}^n \quad \Leftrightarrow \quad g \text{ has a root in } \mathbb{Q}^m.$$



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$$f \text{ has a root in } \mathbb{Z}^n \quad \Leftrightarrow \quad g \text{ has a root in } \mathbb{Q}^m.$$

- If $\text{Hil}10(\mathbb{Q})$ would be decidable, then also $\text{Hil}10(\mathbb{Z})$ would be decidable, quod non. □

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$$f \text{ has a root in } \mathbb{Z}^n \quad \Leftrightarrow \quad g \text{ has a root in } \mathbb{Q}^m.$$

- If Hil10(\mathbb{Q}) would be decidable, then also Hil10(\mathbb{Z}) would be decidable, quod non. □

Question

Is \mathbb{Z} an \exists^+ -definable subset of \mathbb{Q} ?

If yes, then every recursively enumerable subset of \mathbb{Q} is \exists^+ -definable.

Section 3

\exists^+ -definability and subrings of fields

\exists^+ -definable subrings of \mathbb{Q}

It is possible for subrings (e.g. of \mathbb{Q}) to be \exists^+ -definable subsets.
For a prime number p , consider the local ring

$$\mathbb{Z}_{(p)} = \left\{ \frac{x}{y} \mid x \in \mathbb{Z}, y \in \mathbb{Z} \setminus p\mathbb{Z} \right\}.$$

This is always \exists_3^+ -definable in \mathbb{Q} (“essentially” due to Robinson, 1949).

For example:

Proposition

Let p be a prime number, $p \equiv 3 \pmod{4}$. Then

$$\mathbb{Z}_{(p)} = \{x \in \mathbb{Q} \mid \exists y_1, y_2, y_3 \in \mathbb{Q} : 1 + (p-1)px^2 = y_1^2 + y_2^2 + py_3^2\}$$

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 - D., 2023 (preprint): 10 quantifiers

Rings of integers

For an algebraic extension K/\mathbb{Q} , let \mathcal{O}_K denote its ring of integers.

Conjecture

For every finite field extension K/\mathbb{Q} , $\text{Hil}10(\mathcal{O}_K)$ is unsolvable.

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In each of the following cases, \mathbb{Z} is \exists^+ -definable in \mathcal{O}_K , hence in particular $\text{Hil}10(\mathcal{O}_K)$ is unsolvable.

- K is totally real, or a quadratic extension of a totally real field (Denef-Lipschitz, 1975-1980),
- K has precisely two non-real embeddings into \mathbb{C} (independently by Shlapentokh, Pheidas and Videla, 1988-1989)
- K/\mathbb{Q} abelian (Shapiro-Shlapentokh, 1989).
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Ingredients include: Hasse-Minkowski Theorem, Pell equations, elliptic curves and other abelian varieties, ...

Function fields

Let K be a field. We call a field extension F/K a function field in one variable over K if it is finitely generated of transcendence degree 1. E.g. $F = K(X)$.

Question

Is $\text{Hil}10(\mathbb{C}(X))$ solvable? More generally, if F is a function field in one variable over \mathbb{R} in which -1 is a sum of squares, is $\text{Hil}10(F)$ solvable?

We have a lot of examples of function fields over which Hilbert's 10th Problem is unsolvable, and no examples where it is solvable.

Valuation rings

A commonly used strategy involves valuation rings. For a field K , a valuation ring of K is a subring $\mathcal{O} \subseteq K$ such that, for all $x \in K^\times$, either $x \in \mathcal{O}$ or $x^{-1} \in \mathcal{O}$.

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- Uses: elliptic curves, Frobenius orbits, valuation theory, ...

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- K is *large*¹ and has a separable finite field extension of degree divisible by 4, e.g. $\mathbb{C}((T))$ (Becher, D., Dittmann, in progress)

¹large: Every smooth curve over K has either 0 or infinitely many rational points. 

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Conjecture

Let K be a field which has a separable finite extension of degree at least 3. Then for every function field in one variable F/K , Hil10(F) is unsolvable.

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Thanks for your attention!

Nicolas Daans

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