# Arithmetics and analytics of surreal numbers* 

05-15-2021

Based on joint work with Elliot Kaplan, Vincenzo Mantova, and Joris van der Hoeven.

[^0]Conway's class No of surreal numbers. Underlying order: lexicographically ordered complete binary tree $\{-1,1\}^{<0 n}$ whose depths are arbitrary ordinals.

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Simplicity: $a$ is simpler than $b$, written $a \sqsubseteq b$, if there is a path from $a$ to $b$ in the tree.

## Fundamental property of (No, $\leqslant, \sqsubseteq$ )

For all sets of numbers $L, R$ with $L<R$, there is a unique $\sqsubseteq$-minimal number $\{L \mid R\}$ with

$$
L<\{L \mid R\}<R
$$

In particular No is not a set (mind the Burali-Forti like paradox $\{\mathbf{N o} \mid \varnothing\}>\{\mathbf{N o} \mid \varnothing\}$ !)

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## Well-founded order

For $a \in \mathbf{N o}$, we have two sets $a_{L}:=\{b \in \mathbf{N o}: b<a, b \sqsubseteq a\}$ and $a_{R}:=\{b \in \mathbf{N o}: b>a, b \sqsubseteq a\}$. So $a=\left\{a_{L} \mid a_{R}\right\}$. The partial order $(\mathbf{N o}, \sqsubseteq)$ is well-founded $\longrightarrow$ inductive definitions.

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## Surreal arithmetic [CONWAY - 1976]

## Inductive definition of the sum $a+b$ of numbers $a, b$ :

Induction hypothesis: $a_{L}+b, a+b_{L}$ and $a+b_{R}, a_{R}+b$ are defined.

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By definition,

$$
\underset{<a}{a_{L}}+b, a+\underset{<b}{b_{L}}
$$

and

$$
\begin{gathered}
a+b_{R}, a_{R}+b \\
>b>a
\end{gathered}
$$

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>a+b \xrightarrow{>a+b}
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Similar equations exist for $-a, a b, a / b .(\mathbf{N o},+, \times)$ has the same first-order properties as $\mathbb{R}$.
Strength: $\quad$ No is spherically complete $\rightarrow$ numbers can be represented as transfinite sums $\rightarrow$ certain transfinite sums exist on No

Each ordinal $\alpha \in \mathbf{O n}$ is inductively identified with $\{\beta: \beta<\alpha \mid \varnothing\}$, so

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& =\{\varnothing \mid \varnothing\} \\
& =0
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& =\{0 \mid \varnothing\} \\
& =1
\end{aligned}
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\end{aligned}
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We beat Principia Mathematica! Since No is a strong real-closed field, we have exotic numbers

$$
\varepsilon_{0}+\frac{\omega^{\omega}}{\pi\left(\omega^{3 / 2}-1\right)^{2}-1}+2 \omega^{\frac{1}{2}}+3 \omega^{\frac{1}{3}}+\cdots
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We beat Principia Mathematica! Since No is a strong real-closed field, we have exotic functions

$$
x \longmapsto \exp _{\omega}(x)+\frac{\exp (x)}{\pi\left(x^{3 / 2}-1\right)^{2}-1}+2 x^{\frac{1}{2}}+3 x^{\frac{1}{3}}+.
$$

## An integer part

## Omnific integers

Conway defined the strong subring Oz of omnific integers. We have

$$
\mathbf{O} \mathbf{z}=\{x \in \mathbf{N o}: \quad x=\{x-1 \mid x+1\}\} .
$$

The additive group $\langle\mathrm{On}\rangle$ generated by ordinals is contained in Oz , and Oz is an integer part: for all $x \in \mathbf{N o}$, there is a unique $z \in \mathbf{O z}$ with $z \leqslant x<z+1$. In fact $\mathbf{N o}=\operatorname{Frac}(\mathbf{O z})$.

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Some open questions.

- Factorization theorem in Oz ? (partial results in $\mathbb{R}\left[\left[\omega^{\mathbb{R}^{>0}}\right]\right]+\mathbb{Z}$ by Mantova)
- Can one characterize prime numbers in Oz ?
- Given $z \in \mathbf{O z}$, how does the order type $\pi(z) \in \mathbf{O n}$ of $\{y: y \sqsubseteq z$ and $y$ is prime $\}$ behave?
- Can we define a subring $\mathbb{Z}$ of No such that $(\mathbf{N o}, \mathbb{Z})$ and $(\mathbb{R}, \mathbb{Z})$ have the same properties? - Gödel asks: how would we even know?

Imagine there existed a scale containing "regular" and "simple" functions, building blocks, such that any regular function can be asymptotically (at $+\infty$ ) described by combining those blocks.

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Real-analytic functions: monomials $x^{n}$ as building blocks.

$$
\begin{aligned}
1+x^{-1}+x^{-2}+\cdots & \equiv \frac{x}{x-1} \\
& \equiv \exp \\
\sum_{n \in \mathbb{N}} n!x^{-n} & \equiv \mathrm{e}^{\frac{1}{x}}
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Transseriable functions: exp and $\log$ as building blocks.

$$
\begin{aligned}
1+x^{-1}+x^{-2}+\cdots+\mathrm{e}^{\frac{1}{x^{2}}} & \equiv \frac{x}{x-1}+\mathrm{e}^{\frac{1}{x^{2}}} \\
\log x+\log _{2} x+\log _{3} x+\cdots & \equiv ?
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Ecalle's growth scale, Grevey $\alpha<\omega^{\omega}$ functions: e.g. very slowly growing functions $L$ with

$$
\log L^{\prime} \approx \log x+\log _{2} x+\log _{3} x+\cdots
$$

But $L+\delta$ for $\delta=O(1)$ also satisfies this. How to single out "simple" building blocks?

| id |
| :---: |
| $\mathrm{id}+1$ |
| $\mathrm{id}+2$ |
| $\vdots$ |
| 2 id |
| $2 \mathrm{id}+1$ |
| $\vdots$ |
| 3 id |
| $\vdots$ |
| $\mathrm{id}^{2}$ |
| $\vdots$ |
| $\exp$ |
| $\exp \circ \exp$ |
| $\vdots$ |

A simple scale.

| id |
| :---: |
| $\mathrm{id}+1$ |
| $\vdots$ |
| 2 id |
| $\vdots$ |
| $\mathrm{id}^{2}$ |
| $\vdots$ |
| $\exp$ |

(discarding iterates)

| id |
| :---: |
| $\vdots$ |
| $\mathrm{id}+\frac{1}{\mathrm{id}}$ |
| $\vdots$ |
| $\mathrm{id}+\frac{\log }{\mathrm{id}}$ |
| $\vdots$ |
| $\mathrm{id}+1$ |
| $\vdots$ |
| 2 id |
| $\vdots$ |
| $\mathrm{id}{ }^{2}$ |
| $\vdots$ |
| $\exp ^{\circ} \circ \log ^{2}$ |
| $\vdots$ |
| $\exp _{2} \circ\left(\log _{2}^{2}\right)$ |
| $\vdots$ |
| $\exp ^{2}$ |

(adding intermediate asymptotics)


Looking for a building block between $L$ and $R$.

| $\omega$ |
| :---: |
| $\vdots$ |
| $\omega+\omega^{-1}$ |
| $\vdots$ |
| $\omega+1$ |
| $\vdots$ |
| $2 \omega$ |
| $3 \omega$ |
| $\left.\vdots \mathrm{~N} \omega \left\lvert\, \omega^{1+\frac{1}{N+1}}\right.\right\}$ |
| $\vdots$ |
| $\omega^{3 / 2}$ |
| $\omega^{2}$ |
| $\omega^{2}$ |
| $\omega^{\omega^{2 / \omega}}$ |
| $\vdots$ |
| $\omega^{\omega}$ |

A portion of the surreal scale containing

| $\omega$ |
| :---: |
| $\vdots$ |
| $\omega+\omega^{-1}$ |
| $\vdots$ |
| $\omega+1$ |
| $\vdots$ |
| $2 \omega$ |
| $\vdots$ |
| $\omega^{1+\omega^{-1}}$ |
| $\vdots$ |
| $\omega^{2}$ |
| $\vdots$ |
| $\omega^{2 / \omega}$ |
| $\vdots$ |
| $\omega^{\omega}$ |

... but those are no longer real-valued functions.
Surreal-valued ones then? What kind?

A field of real functions is a field $\mathcal{H}$ of germs at $+\infty$ of real-valued functions, closed under derivation and composition. E.g. rational functions (not meromorphic functions: they may have zeroes at $+\infty$ ), or germs of functions definable using,$+ \times$ and exp and log.

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For $f \in \mathcal{H}$, we must have $f \neq 0$ at $+\infty$, hence by continuity $f>0$ at $+\infty$ or $f<0$ at $+\infty$. So $\mathcal{H}$ is an ordered field. Moreover $f$ is either constant or strictly monotonous (since $f^{\prime} \in \mathcal{H}$ ).

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## As a differential ordered field

$\mathcal{H}$ is in an $H$-field with small derivation as per Aschenbrenner and van den Dries.
This means that we have $\partial(f)>0$ whenever $f>\mathbb{R}$ and $\lim \partial(f)=0$ if $\lim f=0$.

## With the compositional structure $0: \mathcal{H} \times \mathcal{H}^{>\mathbb{R}} \longrightarrow \mathcal{H}$ (besides associativity)

- Each $f \longmapsto f \circ g: \mathcal{H} \longrightarrow \mathcal{H}$ for a fixed $g \in \mathcal{H}^{>\mathbb{R}}$ is an endomorphism of ordered rings.
- Each $g \longmapsto f \circ g: \mathcal{H}^{>\mathbb{R}} \longrightarrow \mathcal{H}$ for a fixed $f \in \mathcal{H}$ is monotonous.
- Each $f \in \mathcal{H}$ has Taylor expansions around each $g \in \mathcal{H}^{>\mathbb{R}}$ : when $\delta \prec \frac{f \circ g}{f^{\prime} \circ g}$, we have

$$
f \circ(g+\delta)-\sum_{k=0}^{n} \frac{f^{(k)} \circ g}{k!} \delta^{k} \prec\left(f^{(n+1)} \circ g\right) \delta^{n+1}, \quad n \in \mathbb{N} .
$$

## Definition

A field of surreal functions (henceforth FSF) is a strong subfield $\mathcal{F} \subseteq$ No together with a strong derivation $\partial: \mathcal{F} \rightarrow \mathcal{F}$ such that $(\mathcal{F}, \partial)$ is an $H$-field and an associative map $\circ$ : $\mathcal{F} \times \mathbf{N o}{ }^{>\mathbb{R}} \rightarrow$ No with $\mathcal{F} \circ \mathcal{F}>\mathbb{R} \subseteq \mathcal{F}$ such that

- Each $\mathcal{F} \longrightarrow \mathbf{N o} ; f \mapsto f \circ x$ for fixed $x \in \mathbf{N o}^{>\mathbb{R}}$ is a strong morphism of ordered rings.
- Each $\mathbf{N o}{ }^{>\mathbb{R}} \rightarrow \mathbf{N o} ; x \mapsto f \circ x$ for fixed $f \in \mathcal{F}>\mathbb{R}$ is strictly increasing.
- For all $f \in \mathcal{F}, x, \delta \in$ No with $x>\mathbb{R}, \delta \prec x$ and $\delta \prec \frac{\mathfrak{m} \circ x}{\partial(\mathfrak{m}) \circ x}$ for all $\mathfrak{m} \in \operatorname{supp} f$, we have

$$
f \circ(x+\delta)=\sum_{k \in \mathbb{N}} \frac{\partial^{k}(f) \circ x}{k!} \delta^{k}
$$

## Closure under functional equations

Other interesting properties which are not imposed:

```
Neutral element: An id \(\in \mathcal{F}>\mathbb{R}\) with
\(\operatorname{id} \circ x=x \forall x \in \mathbf{N o}{ }^{>R}\)
    \(f \circ \mathrm{id}=f \forall f \in \mathcal{F}\).
Inverses: For each \(f \in \mathcal{F}>\mathbb{R}\), an \(f^{\text {inv }} \in \mathcal{F}>\mathbb{R}\) with
\(f \circ f^{\text {inv }}=f^{\text {inv }} \circ f=\mathrm{id}\).
Conjugates: For all \(f, g>\mathrm{id}\), an \(h \in \mathcal{F}>\mathbb{R}\) with
\[
h \circ f=g \circ h .
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```

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Cuts in real numbers $\{L \mid R\}$ where $L, R \subseteq \mathbb{R}$ always lie in $\mathbb{R} \cup\left(\mathbb{R} \pm \omega^{ \pm 1}\right)$, so we first have to deal with the number $\omega=\{\mathbb{N} \mid \varnothing\}$ as a function.

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Since $\omega$ is the simplest number with $\omega>n$ for all $n \in \mathbb{N}$, we may ask ourselves:

What is the simplest function $f>n$ for all $n \in \mathbb{N}$ ?
$\omega$ as the identity function
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## $\omega$ as the identity function

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$$
\omega \circ x \sqsupseteq\left\{\mathbb{N}, \omega \circ\left(x_{L} \cap \mathbf{N o}^{>\mathbb{R}}\right) \mid \omega \circ x_{R}\right\}=\left\{\mathbb{N}, x_{L} \cap \mathbf{N} \mathbf{o}^{>\mathbb{R}} \mid x_{R}\right\}=\left\{x_{L} \mid x_{R}\right\}=x .
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So $\omega$ should be id.

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So $\omega$ should be id.
$\rightarrow$ for all $r \in \mathbb{R}$ and $n \in \mathbb{Z}$, the number $r \omega^{n}$ should act as $x \mapsto r x^{n}$.
$\rightarrow$ each Laurent series $a=\sum_{n \in \mathbb{Z}} a_{n} \omega^{n} \in \mathbb{R}\left[\left[\omega^{\mathbb{Z}}\right]\right]$ in $\omega$ should act as $x \mapsto \sum_{n \in \mathbb{Z}} a_{n} x^{n}$.

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Now what about the number $\omega^{\omega}=\left\{\omega^{n}: n \in \mathbb{N} \mid \varnothing\right\}$ ?

What is the simplest non polynomially bounded function?

## Exponential [GoNSHOR - 1986]

For $a \in \mathbf{N o}$ and $n \in \mathbb{N}$, set $[a]_{n}:=\sum_{k \leqslant n} \frac{a^{k}}{k!}$. The inductive equation

$$
\exp (a):=\left\{\begin{array}{l|l}
\exp \left(a_{L}\right)\left[a-a_{L}\right]_{\mathbb{N}}, \exp \left(a_{R}\right)\left[a-a_{R}\right]_{2 \mathbb{N}+1} & \frac{\exp \left(a_{R}\right)}{\left[a_{R}-a\right]_{\mathbb{N}}}, \frac{\exp \left(a_{L}\right)}{\left[a_{L}-a\right]_{2 \mathbb{N}+1}}
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We should have $\partial\left(\omega^{\omega}\right)>\partial\left(\omega^{\mathbb{N}}\right)=\mathbb{N} \omega^{\mathbb{N}-1}$ by $H$-fields axioms. So $\left\{\mathbb{N} \omega^{\mathbb{N}-1} \mid \varnothing\right\}=\omega^{\omega}$ is the simplest value for $\partial\left(\omega^{\omega}\right)$. It follows that exp is the simplest function for $\omega^{\omega}$.

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## Theorem [Berarducci and Mantova - 2019, Schmeling - 2001]

The function $\circ: \mathbb{R}\left[\left[\omega^{\mathbb{Z}}\right]\right] \times \mathbf{N o}{ }^{>\mathbb{R}} \longrightarrow \mathbf{N o}$ extends uniquely as a function $\circ: \mathbb{T} \times \mathbf{N o}{ }^{>\mathbb{R}} \longrightarrow \mathbf{N o}$ which is compatible with exp, $\log$ and transfinite sums.

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We have $\exp _{n}(\omega)=\omega^{\cdot \cdot \omega}$ ( $n$ times) for all $n \in \mathbb{N}$. So what about $\varepsilon_{0}=\left\{\omega, \omega^{\omega}, \omega^{\omega^{\omega}}, \ldots \mid \varnothing\right\}$ ? What is the simplest transexponential function on No?

Further properties of a FSF with $\exp (\omega), \log (\omega) \in \mathcal{F}$
a) If $f>\exp _{\mathbb{N}}$, then $\forall n, f(\log \omega) \circ f \cdots\left(\log _{n} \omega\right) \circ f<\partial(f)<f(\log \omega) \circ f \cdots\left(\log _{n} \omega\right) \circ f$.
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Value of $\partial\left(\varepsilon_{0}\right)$ : By a), the simplest value for $\partial\left(\varepsilon_{0}\right)$ is $\prod_{n \in \mathbb{N}} \log _{n}\left(\varepsilon_{0}\right)=\mathrm{e}^{\sum_{n \in \mathbb{N}} \log _{n+1}\left(\varepsilon_{0}\right)}$.
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$$
\begin{equation*}
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$$

## Theorem [B. van der Hoeven, Mantova - 2020]

There is a simplest strictly increasing solution $\exp _{\omega}: \mathbf{N o}^{>, \succ} \longrightarrow \mathbf{N o}^{>, \succ}$ of (3) with

$$
\exp _{\omega}(x+\delta)=\sum_{k \in \mathbb{N}} \frac{\exp _{\omega}^{(k)}(x)}{k!} \delta^{k}
$$

for all $x \in \mathbf{N o}^{>\mathbb{R}}$ and $\delta \prec \frac{\exp _{\omega}(x)}{\prod_{n \in \mathbb{N}} \log _{n}(\exp \omega(x))}$.

## Theorem [Kneser - 1949]

There is a strictly increasing analytic map $E_{\omega}:[a,+\infty) \longrightarrow \mathbb{R}$ which solves Abel's equation:

$$
\begin{equation*}
\forall r>a, E_{\omega}(r+1)=\exp \left(E_{\omega}(r)\right) \tag{4}
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We have $E_{\omega}(r)>\exp _{n}(r)$ for $r \gg 1$, for all $n \in \mathbb{N}$. We call $E_{\omega}$ a hyperexponential function.

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Ecalle and Schmeling (among others) studied this type of functions, along with other very fast growing / slowly growing functions $E_{\omega^{\mu}}, L_{\omega^{\mu}}$ such that for $r \gg 1$, we have

$$
\begin{aligned}
E_{\omega^{\mu+1}}(r+1) & =E_{\omega^{\mu}}\left(E_{\omega^{\mu+1}}(r)\right), \\
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On $\mathbb{R}$, one is limited to small values of $\mu$ (e.g. finite). But on No, we can take any $\mu \in$ On!

## Logarithmic hyperseries [van den Dries, van der Hoeven, Kaplan - 2018]

There is a strong subfield $\mathbb{L} \subseteq$ No of logarithmic hyperseries, built upon transfinite products

$$
\mathfrak{l} \equiv \prod_{\gamma<\mu} \ell_{\gamma}^{\mathfrak{l}_{\gamma}} \quad\left(\text { formally } \mathfrak{l} \text { is a map } \mu \longrightarrow \mathbb{R} ; \gamma \longmapsto \mathfrak{l}_{\gamma}\right),
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equipped with a strong derivation $\partial: \mathbb{L} \longrightarrow \mathbb{L}$ and a composition law $\circ: \mathbb{L} \times \mathbb{L}>\mathbb{R} \longrightarrow \mathbb{L}$ with:

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Each function $f \longmapsto \ell_{\omega^{\mu}} \circ f$ behaves similarly to the real function $L_{\omega^{\mu}}$ (e.g. for $\mu \in \mathbb{N}$ ). For all ordinals $\gamma, \mu$, we have generative identities:

$$
\begin{aligned}
\partial\left(\ell_{\gamma}\right) & =\prod_{\rho<\gamma} \ell_{\rho}^{-1} \quad \partial\left(\ell_{\omega}\right)=\prod_{n \in \mathbb{N}} \ell_{n}^{-1} \\
\ell_{\omega^{\mu+1}} \circ \ell_{\omega^{\mu}} & =\ell_{\omega^{\mu+1}}-1 \\
\ell_{\omega^{\mu_{p}} m_{p}+\cdots+\omega^{\mu_{0}} m_{0}} & =\ell_{\omega^{\mu_{0}}}^{\circ m_{0}} \circ \cdots \circ \ell_{\omega^{\mu}}^{\mu_{p}}
\end{aligned}
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## Definition

A hyperserial field is a strong field $\mathbb{T}$ together with an action $\circ: \mathbb{L} \times \mathbb{T}^{>\mathbb{R}} \longrightarrow \mathbb{T}$ of $\mathbb{L}$ on $\mathbb{T}$ by monotonous, Taylor expandable functions (with a few axiomatic properties).

In particular $\mathbb{L}$ is a hyperserial field. Say that $\mathbb{T}$ is closed if for each $\mu \in \mathbf{O n}$, the function $\mathbb{T}^{>\mathbb{R}} \longrightarrow \mathbb{T}^{>\mathbb{R}} ; s \mapsto \ell_{\omega^{\mu} \circ s}$ is bijective.

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## Hyperserial fields

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## Work in progress [B.]

$\left(\tilde{\mathbb{L}}^{>\mathbb{R}}, \circ,<\right)$ is a linearly bi-ordered group in which any two positive elements are conjugate.

## Theorem [B., Van der Hoeven - 2021]

There is a composition law $\circ: \mathbb{L} \times \mathbf{N o}{ }^{>\mathbb{R}} \longrightarrow \mathbf{N o}$ for which ( $\mathbf{N o}, \circ$ ) is a closed hyperserial field.

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There is a composition law $\circ: \mathbb{L} \times \mathbf{N o}{ }^{>\mathbb{R}} \longrightarrow \mathbf{N o}$ for which ( $\mathbf{N o}, \circ$ ) is a closed hyperserial field.
The extension $\circ: \tilde{\mathbb{L}} \times \mathbf{N o}{ }^{>\mathbb{R}} \longrightarrow \mathbf{N o}$ yields a FSF containing such functions as

$$
\begin{aligned}
\exp _{\omega^{\mu}}, \log _{\omega^{\mu}} \quad \mu \in \mathbf{O n}: & \text { "transfinite iterates" of exp and log } \\
\exp _{r}:=\exp _{\omega} \circ\left(\log _{\omega}+r\right), r \in \mathbb{R}: & \text { fractional iterates of exp, e.g. } \exp _{1 / 2} \text { is the } \\
& \text { unique solution of } \phi \circ \phi=\exp , \operatorname{and}\left\{\exp _{r}: r \in \mathbb{R}\right\} \\
& \text { is the set of solutions of } \phi \circ \exp =\exp \circ \phi .
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$$

## Theorem [B., van der Hoeven - 2021]

There is a composition law $\circ: \mathbb{L} \times \mathbf{N o}>\mathbb{R} \longrightarrow \mathbf{N o}$ for which (No, 0 ) is a closed hyperserial field.
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We have $\tilde{\mathbb{L}} \subsetneq$ No. Indeed [B., van der Hoeven - 2019], there are numbers $a \in$ No with

$$
a=\sqrt{\omega}+\mathrm{e}^{\sqrt{\log \omega}+\mathrm{e}^{\sqrt{\log _{2} \omega}+\mathrm{e}^{\cdot}}} \notin \tilde{\mathbb{L}}
$$

Those are good candidate solutions to the functional equation

$$
\phi=\sqrt{\omega}+\exp (\phi \circ \log \omega) .
$$

## Thank you!


[^0]:    *. This document has been written using GNU $\mathrm{T}_{\mathrm{E}} \mathrm{X}_{\mathrm{MACS}}$; see www.texmacs.org.

