Arithmetics and analytics of surreal numbers*

05-15-2021

Based on joint work with ELLIOT KAPLAN, VINCENZO MANTOVA, and JORIS VAN DER HOEVEN.

^{*.} This document has been written using GNU T_EX_{MACS} ; see www.texmacs.org.

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Conway's class **No** of *surreal numbers*. Underlying order: lexicographically ordered complete binary tree $\{-1, 1\}^{<On}$ 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 <u>sets</u> 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 $\{No \mid \emptyset\} > \{No \mid \emptyset\} \}$!)

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Well-founded order

For $a \in \mathbf{No}$, we have two <u>sets</u> $a_L := \{b \in \mathbf{No}: b < a, b \sqsubseteq a\}$ and $a_R := \{b \in \mathbf{No}: b > a, b \sqsubseteq a\}$.

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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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 $0 = \{ \varnothing \mid \varnothing \} \qquad 1 = \{ 0 \mid \varnothing \} \qquad 2 = \{ 0, 1 \mid \varnothing \} \qquad \omega = \{ \mathbb{N} \mid \varnothing \}.$

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We beat *Principia Mathematica* ! Since No is a strong real-closed field, we have exotic numbers

$$\varepsilon_0 + \frac{\omega^{\omega}}{\pi (\omega^{3/2} - 1)^2 - 1} + 2 \omega^{\frac{1}{2}} + 3 \omega^{\frac{1}{3}} + \cdots$$

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$$x \longmapsto \exp_{\omega}(x) + \frac{\exp(x)}{\pi (x^{3/2} - 1)^2 - 1} + 2x^{\frac{1}{2}} + 3x^{\frac{1}{3}} + \cdots$$

An integer part

Omnific integers

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

$$\mathbf{Oz} = \{ x \in \mathbf{No} : x = \{ x - 1 \mid x + 1 \} \}.$$

The additive group $\langle \mathbf{On} \rangle$ generated by ordinals is contained in \mathbf{Oz} , and \mathbf{Oz} is an integer part: for all $x \in \mathbf{No}$, there is a unique $z \in \mathbf{Oz}$ with $z \leq x < z + 1$. In fact $\mathbf{No} = \operatorname{Frac}(\mathbf{Oz})$.

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Some open questions.

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

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

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$$\equiv \exp \sum_{n \in \mathbb{N}} n! x^{-n} \equiv e^{\frac{1}{x}}$$

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Ecalle's growth scale, Grevey $\alpha < \omega^{\omega}$ **functions**: e.g. very slowly growing functions L with

$$\log L' \approx \log x + \log_2 x + \log_3 x + \cdots$$

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

Hardy's dream surrealized

id
$\operatorname{id} + 1$
$\operatorname{id} + 2$
6 6 6
$2 \operatorname{id}$
$2\operatorname{id}+1$
6 6 6
3 id
6 6 6
id^2
•
exp
$\exp\circ\exp$
6 6 6

A simple scale.

Hardy's dream surrealized

id
$\mathrm{id}+1$
•
2 id
•
id^2
0 0
\exp

(discarding iterates)

Hardy's dream surrealized

id
• • •
$\operatorname{id} + \frac{1}{\operatorname{id}}$
• •
$\operatorname{id} + \frac{\log}{\operatorname{id}}$
•
$\operatorname{id} + 1$
•
$2 \mathrm{id}$
•
id^2
6 6 6
$\exp \circ \log^2$
•
$exp_2 \circ (\log_2^2)$
•
exp

(adding intermediate asymptotics)
Hardy's dream surrealized

id	
:	
$\operatorname{id} + \frac{1}{\operatorname{id}}$	
:	L
$\operatorname{id} + 1$	
2 id	
3 id	
:	
?	· · · ·
:	
$\mathrm{id}^{3/_2}$	
id^2	
$\exp\circ(\log^2)$	R
	Ĩ
exp	

Looking for a building block between L and R.

Hardy's dream surrealized

ω
•
$\omega + \omega^{-1}$
•
$\omega + 1$
• • •
2ω
3ω
• •
$\left\{\mathbb{N}\omega\mid\omega^{1+\frac{1}{\mathbb{N}+1}}\right\}$
• •
$\omega^{3/2}$
ω^2
* * *
$\omega^{\omega^{2/\omega}}$
•
ω^{ω}

A portion of the surreal scale containing $\{L \mid R\}$.

Hardy's dream surrealized

ω
6 6 6
$\omega + \omega^{-1}$
0 0 0
$\omega + 1$
6 6 6
2ω
0 0
$\omega^{1+\omega^{-1}}$
6 6 6
ω^2
•
$\omega^{\omega^{2/\omega}}$
0 0 0
ω^{ω}

... but those are no longer real-valued functions.

Surreal-valued ones then? What kind?

Fields of real functions

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 $f' \in \mathcal{H}$).

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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 $\lim f = 0$.

The composition law

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

• Each $f \mapsto f \circ g: \mathcal{H} \longrightarrow \mathcal{H}$ 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 $\delta \prec \frac{f \circ g}{f' \circ g}$, we have

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

Definition

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

- Each $\mathcal{F} \longrightarrow \mathbf{No}$; $f \mapsto f \circ x$ for fixed $x \in \mathbf{No}^{>\mathbb{R}}$ is a strong morphism of ordered rings.
- Each $No^{\mathbb{R}} \to No; x \mapsto f \circ x$ for fixed $f \in \mathcal{F}^{\mathbb{R}}$ is strictly increasing.
- For all $f \in \mathcal{F}$, $x, \delta \in \mathbb{N}$ o 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 $id \circ x = x \quad \forall x \in \mathbf{No}^{>\mathbb{R}}$ $f \circ id = f \quad \forall f \in \mathcal{F}.$ Inverses: For each $f \in \mathcal{F}^{>\mathbb{R}}$, an $f^{inv} \in \mathcal{F}^{>\mathbb{R}}$ with $f \circ f^{inv} = f^{inv} \circ f = id.$ Conjugates: For all f, g > id, an $h \in \mathcal{F}^{>\mathbb{R}}$ with $h \circ f = g \circ h.$

Building fields of surreal functions

The goal of my PhD is to define a nice FSF on No with underlying field No itself.

For the sequel of the talk, we'll build larger and larger FSFs in the *simplest* way possible.

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Real numbers $r \in \mathbb{R}$ must be constant functions $x \mapsto r$.

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We'll consider FSFs \mathcal{F} such that for each $f \in \mathcal{F}$, all strictly simpler numbers $a \sqsubset f$ lie in \mathcal{F} . In other words \mathcal{F} will be initial (= downward closed) in (No, \sqsubseteq). Let us start:

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Since ω 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 $n \in \mathbb{N}$?

We must have $\partial(\omega) > 0$ by *H*-field properties. So the simplest choice of $\partial(\omega)$ is $1 = \{0 \mid \emptyset\}$.

$\boldsymbol{\omega}$ as the identity function

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For $x \in \mathbf{No}^{>\mathbb{R}}$, we must have $\omega \circ x > \mathbb{N} \circ x = \mathbb{N}$ and $\omega \circ (x_L \cap \mathbf{No}^{>\mathbb{R}}) < \omega \circ x < \omega \circ x_R$. By induction, we obtain

 $\omega \circ x \supseteq \{\mathbb{N}, \omega \circ (x_L \cap \mathbf{No}^{>\mathbb{R}}) \mid \omega \circ x_R\} = \{\mathbb{N}, x_L \cap \mathbf{No}^{>\mathbb{R}} \mid x_R\} = \{x_L \mid x_R\} = x.$

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

What is the simplest non polynomially bounded function?

Exponentiation and transseries

Exponential [GONSHOR - 1986]

For $a \in \mathbf{No}$ and $n \in \mathbb{N}$, set $[a]_n := \sum_{k \leqslant n} \frac{a^k}{k!}$. The inductive equation

$$\exp(a) := \left\{ \exp(\mathbf{a}_L) \left[a - a_L \right]_{\mathbb{N}}, \, \exp(\mathbf{a}_R) \left[a - a_R \right]_{2\mathbb{N}+1} \, \middle| \, \frac{\exp(\mathbf{a}_R)}{\left[a_R - a \right]_{\mathbb{N}}}, \, \frac{\exp(\mathbf{a}_L)}{\left[a_L - a \right]_{2\mathbb{N}+1}} \right\}$$

defines an isomorphism $(No, +, <) \rightarrow (No^{>0}, \times, <)$.

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The function $\circ: \mathbb{R}[[\omega^{\mathbb{Z}}]] \times \mathbf{No}^{>\mathbb{R}} \longrightarrow \mathbf{No}$ extends uniquely as a function $\circ: \mathbb{T} \times \mathbf{No}^{>\mathbb{R}} \longrightarrow \mathbf{No}$ which is compatible with \exp , \log and transfinite sums.

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We have $\exp_n(\omega) = \omega^{\omega}$ (*n* times) for all $n \in \mathbb{N}$. So what about $\varepsilon_0 = \{\omega, \omega^{\omega}, \omega^{\omega^{\omega}}, \dots \mid \emptyset\}$? What is the simplest transexponential function on **No**?

Surreal hyperexponentiation

Further properties of a FSF with $\exp(\omega), \log(\omega) \in \mathcal{F}$

a) If $f > \exp_{\mathbb{N}}$, then $\forall n, f(\log \omega) \circ f \cdots (\log_n \omega) \circ f < \partial(f) < f(\log \omega) \circ f \cdots (\log_n \omega)^2 \circ f$.

b) If $f > id + \mathbb{R}$, then $f \circ (id + r) > f + \mathbb{R}$ for all $r \in \mathbb{R}^{>0}$,

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Value of $\partial(\varepsilon_0)$: By a), the simplest value for $\partial(\varepsilon_0)$ is $\prod_{n \in \mathbb{N}} \log_n(\varepsilon_0) = e^{\sum_{n \in \mathbb{N}} \log_{n+1}(\varepsilon_0)}$.

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Theorem [B. VAN DER HOEVEN, MANTOVA - 2020]

There is a simplest strictly increasing solution $\exp_{\omega}: \mathbf{No}^{>,\succ} \longrightarrow \mathbf{No}^{>,\succ}$ of (3) with

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

for all $x \in \mathbf{No}^{>\mathbb{R}}$ and $\delta \prec \frac{\exp_{\omega}(x)}{\prod_{n \in \mathbb{N}} \log_n(\exp_{\omega}(x))}$.

Real hyperexponentiation

Theorem [KNESER - 1949]

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

$$\forall r > a, E_{\omega}(r+1) = \exp(E_{\omega}(r)). \tag{4}$$

We have $E_{\omega}(r) > \exp_n(r)$ for $r \gg 1$, for all $n \in \mathbb{N}$. We call E_{ω} 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

$$E_{\omega^{\mu+1}}(r+1) = E_{\omega^{\mu}}(E_{\omega^{\mu+1}}(r)),$$

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On \mathbb{R} , one is limited to small values of μ (e.g. finite). But on No, we can take any $\mu \in \mathbf{On}!$

Logarithmic hyperseries [VAN DEN DRIES, VAN DER HOEVEN, KAPLAN - 2018]

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

$$\mathfrak{l} \equiv \prod_{\gamma < \mu} \, \ell_{\gamma}^{\mathfrak{l}_{\gamma}} \qquad \text{(formally } \mathfrak{l} \text{ is a map } \mu \longrightarrow \mathbb{R}; \gamma \longmapsto \mathfrak{l}_{\gamma} \text{)},$$

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

$$\partial(\ell_{\gamma}) = \prod_{\rho < \gamma} \ell_{\rho}^{-1} \qquad \partial(\ell_{\omega}) = \prod_{n \in \mathbb{N}} \ell_{n}^{-1}$$
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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 $\mu \in \mathbf{On}$, the function $\mathbb{T}^{>\mathbb{R}} \longrightarrow \mathbb{T}^{>\mathbb{R}}$; $s \mapsto \ell_{\omega^{\mu}} \circ s$ is bijective.

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Work in progress [B.]

The composition $\mathbb{L} \times \mathbb{T}^{>\mathbb{R}} \longrightarrow \mathbb{T}$ extends uniquely into a composition $\tilde{\mathbb{L}} \times \mathbb{T}^{>\mathbb{R}} \longrightarrow \tilde{\mathbb{T}}$.

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Work in progress [B.]

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

Back to \mathbf{No}

Theorem [B., VAN DER HOEVEN - 2021]

There is a composition law $\circ: \mathbb{L} \times \mathbf{No}^{>\mathbb{R}} \longrightarrow \mathbf{No}$ for which (\mathbf{No}, \circ) is a closed hyperserial field.

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We have $\tilde{\mathbb{L}} \subseteq \mathbf{No}$. Indeed [B., VAN DER HOEVEN - 2019], there are numbers $a \in \mathbf{No}$ 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!