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# The density of rational points on a pfaff curve(\*)

Jonathan Pila (1)

**Abstract.** — This paper is concerned with the density of rational points on the graph of a non-algebraic pfaffian function.

RÉSUMÉ. — Cet article est concerné par la densité de points rationnels sur le graphe d'une fonction pfaffienne non-algébrique.

### 1. Introduction

In two recent papers [8, 9] I have considered the density of rational points on a pfaff curve (see definitions 1.1 and 1.2 below). Here I show that an elaboration of the method of [8] suffices to establish a conjecture stated (and proved under additional assumptions) in [9].

### 1.1. Definition

Let  $H: \mathbb{Q} \to \mathbb{R}$  be the usual height function,  $H(a/b) = \max(|a|, b)$  for  $a, b \in \mathbb{Z}$  with b > 0 and (a, b) = 1. Define  $H: \mathbb{Q}^n \to \mathbb{R}$  by  $H(\alpha_1, \alpha_2, \dots, \alpha_n) = \max_{1 \le j \le n} (H(\alpha_j))$ . For a set  $X \subset \mathbb{R}^n$  define  $X(\mathbb{Q}) = X \cap \mathbb{Q}^n$  and, for  $H \ge 1$ , put

$$X(\mathbb{Q}, H) = \{ P \in X(\mathbb{Q}) : H(P) \leqslant H \}.$$

The density function of X is the function

$$N(X, H) = \#X(\mathbb{Q}, H).$$

This is not the usual projective height, although this makes no difference to the results here. The class of pfaffian functions was introduced by Khovanskii [5]. The following definition is from [3].

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# 1.2. Definition ([3, 2.1])

Let  $U \subset \mathbb{R}^n$  be an open domain. A *pfaffian chain* of order  $r \geq 0$  and degree  $\alpha \geq 1$  in U is a sequence of real analytic functions  $f_1, \ldots, f_r$  in U satisfying differential equations

$$df_j = \sum_{i=1}^n g_{ij}(\mathbf{x}, f_1(\mathbf{x}), f_2(\mathbf{x}), \dots, f_j(\mathbf{x})) dx_i$$

for j = 1, ..., r, where  $\mathbf{x} = (x_1, ..., x_n)$  and  $g_{ij} \in \mathbb{R}[x_1, ..., x_n, y_1, ..., y_r]$  of degree  $\leq \alpha$ . A function f on U is called a *pfaffian function* of order r and degree  $(\alpha, \beta)$  if  $f(\mathbf{x}) = P(\mathbf{x}, f_1(\mathbf{x}), ..., f_r(\mathbf{x}))$ , where P is a polynomial of degree at most  $\beta \geq 1$ . In this paper mainly n = 1, so  $\mathbf{x} = x$ .

A pfaff curve X is the graph of a pfaffian function f on some connected subset of its domain. The order and degree of X will be taken to be the order and degree of f.

The usual elementary functions  $e^x$ ,  $\log x$  (but not  $\sin x$  on all  $\mathbb{R}$ ), algebraic functions, and sums, products and compositions of these are pfaffian functions, such as e.g.  $e^{-1/x}$ ,  $e^{e^x}$ , etc. see [5, 3]. Note that, for non-algebraic X,  $X(\mathbb{Q})$  can be infinite (e.g.  $2^x$ ), or of unknown size (e.g.  $e^{e^x}$ ).

Suppose X is a pfaff curve that is not semialgebraic. Since the *structure* generated by pfaffian functions is *o-minimal* (see [2, 13]), an estimate of the form

$$N(X, H) \leqslant c(X, \epsilon)H^{\epsilon}$$

for all positive  $\epsilon$  (and, with suitable hypotheses, in all dimensions) follows from [10].

I showed in [8] that there is an explicit function  $c(r, \alpha, \beta)$  with the following property. Suppose X is a nonalgebraic pfaff curve of order r and degree  $(\alpha, \beta)$ . Let  $H \ge c(r, \alpha, \beta)$ . Then

$$N(X, H) \leqslant \exp\left(5\sqrt{\log H}\right).$$

As noted in [6, 7.5], no such quantification of the  $c(X, \epsilon)H^{\epsilon}$  bound can hold for bounded subanalytic sets, and so the estimate cannot be improved for a general o-minimal structure. But much better bounds could be anticipated for sets defined by pfaffian functions, as conjectured in [10].

### 1.3. Theorem

Let  $X \subset \mathbb{R}^2$  be a pfaff curve, and suppose that X is not semialgebraic. There are constants  $c(r, \alpha, \beta), \gamma(r) > 0$  such that (for  $H \ge e$ )

$$N(X, H) \leqslant c(\log H)^{\gamma}$$
.

Indeed, if X is the graph of a pfaffian function f of order r and degree  $(\alpha, \beta)$  on an interval  $I \subset \mathbb{R}$  then the above holds with  $\gamma = 5(r+2)$  and suitable  $c(r, \alpha, \beta)$ .

In fact the result may be strengthened (with suitable  $\gamma$ ) to apply to a plane pfaffian curve  $X \subset \mathbb{R}^2$  defined as the set of zeros of a pfaffian function F(x,y), where F is defined e.g. on  $U=I\times J$  where  $I,J\subset\mathbb{R}$  are open intervals. Such X may contain semialgebraic subsets of positive dimension, which must be excluded: see 1.4 and 1.5 below. This extension is sketched after the proof of 1.3 in §4. I thank the referee for suggesting that such an extension be considered.

Theorem 1.3 affirms a conjecture made in [9, 1.3]. That conjecture was an extrapolation of part of the one-dimensional case of a conjecture in [10, 1.5]. It is natural to frame the following generalization.

# **1.4. Definition** ([10, $\S1; 7, \S1]$ )

Let  $X \subset \mathbb{R}^n$ . The algebraic part of X, denoted  $X^{\text{alg}}$ , is the union of all connected semialgebraic subsets of X of positive dimension. The transcendental part of X is the complement  $X - X^{\text{alg}}$ .

### 1.5. Conjecture

Let  $\mathbb{R}_{Pfaff}$  be the structure generated by pfaffian sets ([13, §0]). Let X be definable in  $\mathbb{R}_{Pfaff}$ . Then there exist constants  $c(X), \gamma(X)$  such that (for  $H \ge e$ )

$$N(X - X^{\text{alg}}, H) \leqslant c(\log H)^{\gamma}.$$

In [9] I obtained the conclusion of Theorem 1.3 under an additional hypothesis on the curve X and further conjectured that in fact this additional hypothesis always holds: This conjecture remains of interest as it might yield a better dependence of  $\gamma$  on r, and may moreover be more susceptible of extension to higher dimensions.

### 2. Preliminaries

### 2.1. Definition

Let I be an interval (which may be closed, open or half-open; bounded or unbounded),  $k \in \mathbb{N} = \{0, 1, 2, ...\}, L > 0$  and  $f: I \to \mathbb{R}$  a function with k continuous derivatives on I. Set  $T_{L,0}(f) = 1$  and, for positive k,

$$T_{L,k}(f) = \max_{1 \le i \le k} \left( 1, \sup_{x \in I} \left( \frac{|f^{(i)}(x)|L^{i-1}}{i!} \right)^{1/i} \right).$$

(so possibly  $T_{L,k}(f) = \infty$  if a derivative of order  $i, 1 \leq i \leq k$ , is unbounded, and then the conclusion of the following proposition is empty.) Set further

$$\tau_{L,k} = \left(\prod_{i=0}^{k-1} T_{L,i}(f)^i\right)^{2/(k(k-1))}.$$

# 2.2. Proposition

Let  $d \ge 1$ , D = (d+1)(d+2)/2,  $H \ge 1$ ,  $L \ge 1/H^3$ . Let I be an interval of length  $\ell(I) \le L$ . Let f be a function possessing D-1 continuous derivatives on I, with  $|f'| \le 1$  and with graph X. Then  $X(\mathbb{Q}, H)$  is contained in the union of at most

$$6T_{L,D-1}(f)L^{8/(3(d+3))}H^{8/(d+3)}$$

real algebraic curves of degree  $\leq d$ .

*Proof.* — This is 
$$[7, Corollary 2.5]$$
.

It is shown in [9] that the conclusion holds with  $\tau_{L,D}$  in place of  $T_{L,D-1}$ . This is an improvement if the derivatives of f grow super-geometrically, but is not required here.

# 3. Non-oscillating functions

The following elementary lemma is a trivial variant of [1, Lemma 7]. For related, sharper formulations and relations to theory of analytic functions see Pólya [11], the references therein and commentary (in the collected papers).

# 3.1. Proposition

Let  $k \in \mathbb{N}$ , L > 0,  $T \geqslant 1$  and let I be an interval with  $\ell(I) \leqslant L$ . Suppose  $g: I \to \mathbb{R}$  has k continuous derivatives on I. Suppose that  $|g'| \leqslant 1$  throughout I and that

(a) 
$$|g^{(i)}(x)| \leq i!T^iL^{1-i}$$
, all  $1 \leq i \leq k-1, t \in I$ , and

(b) 
$$|g^{(k)}(x)| \ge k! T^k L^{1-k}$$
 all  $t \in I$ .

Then  $\ell(I) \leq 2L/T$ .

*Proof.* — Let  $a, b \in I$ . By Taylor's formula, for a suitable intermediate point  $\xi$ ,

$$g(b) - g(a) = \sum_{i=1}^{k-1} \frac{g^{(i)}(a)}{i!} (b-a)^i + \frac{g^{(k)}(\xi)}{k!} (b-a)^k.$$

Therefore

$$L\bigg(\frac{(b-a)T}{L}\bigg)^k \leqslant (b-a)^k T^k L^{1-k} \leqslant \sum_{i=1}^{k-1} (b-a)^i T^i L^{1-i} + L \leqslant L \sum_{i=0}^{k-1} \bigg(\frac{(b-a)T}{L}\bigg)^i.$$

Thus, if q = (b-a)T/L, then  $q^k \leqslant \sum_{i=0}^{k-1} q^i$ , whence  $q \leqslant 2$ , completing the proof.  $\square$ 

The following proposition contains the new feature of this paper. It is a more careful version of the recursion argument [8, 2.1].

# 3.2. Proposition

Let  $d \geqslant 1$ , D = (d+1)(d+2)/2,  $H \geqslant e$ ,  $L > 1/H^2$  and I an interval of length  $\ell(I) \leqslant L$ . Let  $f: I \to \mathbb{R}$  have D continuous derivatives, with  $|f'| \leqslant 1$  and  $f^{(j)}$  either non-vanishing in the interior of I or identically zero for  $j = 1, 2, \ldots, D$ . Let X be the graph of f. Then  $X(\mathbb{Q}, H)$  is contained in at most

$$66 D \log(eLH^2) (LH^3)^{8/(3(d+3))}$$

real algebraic curves of degree  $\leq d$ .

*Proof.* — Under the hypotheses I is a finite interval. Let a, b, with a < b be its boundary points, which may or may not belong to I. If J

is a subinterval of I, and  $X|_J$  is the graph of the restriction of f to J, write G(f,J) for the minimal number of algebraic curves of degree  $\leq d$  required to contain  $X|_J(\mathbb{Q},H)$ .

Let  $T \geqslant 2D$ .

By the hypotheses, any equation of the from  $|f^{(\kappa)}(x)| = K$ , where  $0 \le \kappa \le D-1$  and  $K \in \mathbb{R}$  has at most one solution  $x \in I$ , unless it is satisfied indentically. Thus the equation  $|f^{(2)}(x)| = 2TL^{-1}$  has at most one solution unless it is satisfied identically. In the case that there is a unique solution x = c, it follows from the monotonicity of  $|f^{(2)}|$  that  $|f^{(2)}| \ge 2TL^{-1}$  on either (a,c) or (c,b) and by 3.1, this interval has length at most 2L/T. On the remaining interval (c,b) or (a,c), the inequality  $|f^{(2)}| \le 2TL^{-1}$  holds.

Continue to split I at those points (if they exist) where  $|f^{(\kappa)}(x)| = \kappa! T^{\kappa} L^{1-\kappa}$ , for  $\kappa = 3, \ldots, D-1$ . This yields an interval  $I_0 = (s,t)$ , possibly empty, in which  $|f^{(\kappa)}(x)| \leq \kappa! T^{\kappa} L^{1-\kappa}$  for all  $\kappa = 1, 2, \ldots D-1$ , while the remaining intervals  $J_1^L = (a,s)$  and  $J_1^R = (t,b)$  (which may also be empty) comprise at most D subintervals each of length  $\leq 2L/T$ , and hence have length  $\leq 2DL/T$ .

The bounds for f and its derivatives on  $I_0$  imply that

$$T_{L,D-1}(f) \leqslant T$$

on  $I_0$  and hence, by 2.2,

$$G(f, I_0) \leq 6TL^{8/(3(d+3))}H^{8/(d+3)}$$

Put  $\lambda = 2D/T$ , so that  $\lambda \leq 1$  by the hypotheses. Then

$$G(f,I) \leq 6TL^{8/(3(d+3))}H^{8/(d+3)} + G(f,J_1^L) + G(f,J_1^R)$$

where  $\ell(J_1^L), \ell(J_2^L) \leqslant \lambda L$ .

Now repeat the subdivision process for each of  $J_1^L, J_1^R$  with  $\lambda L$  in place of L and the same T. Since  $\lambda \leqslant 1$ , the new subdivision values  $\kappa! T^{\kappa}(\lambda L)^{1-\kappa}$  exceed the previous ones for each  $\kappa$ ; the subinterval on which  $|f^{(\kappa)}(x)| \geqslant \kappa! T^{\kappa}(\lambda L)^{1-\kappa}$ , if non-empty, must have the form (a,u) for  $J_1^L$ , or (v,b) for  $J_1^R$ . This process yields two subintervals  $I_1^L, I_1^R$  on which  $|f^{(\kappa)}(x)| \leqslant \kappa! T^{\kappa}(\lambda L)^{1-\kappa}$  for all  $\kappa$ , and two subintervals  $J_2^L = (a,u), J_2^R = (v,b)$  of length at most  $\lambda^2 L$  so that now (provided  $\lambda L \geqslant 1/H^3$ )

$$\begin{split} G(f,I)\leqslant 6TL^{8/(3(d+3))}H^{8/(d+3)} + 2.6T(\lambda L)^{8/(3(d+3))}H^{8/(d+3)}\\ + G(f,J_2^L) + G(f,J_2^R).\\ - 640 - \end{split}$$

Continuing in this way yields, after n iterations, provided  $\lambda^{n-1}L \geqslant 1/H^3$ , and putting  $\sigma = 8/(3(d+3))$ ,

$$G(f,I) \leqslant 6TL^{\sigma}H^{8/(d+3)}\left(1+2\lambda^{\sigma}+\ldots+2\lambda^{(n-1)\sigma}\right)+G(f,J_n^L)+G(f,J_n^R)$$

where  $\ell(J_n^L), \ell(J_n^R) \leqslant \lambda^n L$ . Since  $\lambda \leqslant 1, 1 + 2\lambda^{\sigma} + \ldots + 2\lambda^{(n-1)\sigma} \leqslant 2n - 1$  so that, provided  $\lambda^n L H^3 \geqslant 1$ ,

$$G(f,I) \leqslant 6 \left(2n-1\right) T L^{\sigma} H^{8/(d+3)} + G(f,J_n^L) + G(f,J_n^R).$$

Take n so that

$$\frac{\lambda}{LH^2} \leqslant \lambda^n < \frac{1}{LH^2}.$$

Then  $J_n^L, J_n^R$ , having length  $<1/H^2$ , contain at most one rational point of height  $\leqslant H$ , so that  $G(f,J_n^L)+G(f,J_n^R)\leqslant 2$ , while

$$n \leq \log(LH^2/\lambda)/\log(1/\lambda)$$
.

Thus taking  $\lambda = 1/e$ , i.e. T = 2eD,

$$G(f, I) \le 12eD \Big( 2\log(eLH^2) - 1 \Big) L^{\sigma} H^{8/(d+3)} + 2$$
  
 $\le 66 D \log(eLH^2) (LH^3)^{8/(3(d+3))}$ 

as required.  $\square$ 

# 3.3. Corollary

Under the conditions of 3.2, if also  $L \leq 2H$  and  $H \geqslant e$  then  $X(\mathbb{Q}, H)$  is contained in at most

$$660 D H^{32/(3(d+3))} \log H$$

algebraic curves of degree  $\leq d$ .

*Proof.* — Observe that  $\log(eLH^2) \le \log(2e) + 3\log H \le 5\log H$ , and  $(LH^3)^{8/(3(d+3))} \le 2H^{32/(3(d+3))}$ . □

### 4. Proof of theorem 1.3

If f is a pfaffian function, then its derivatives are also pfaffian, and the number of zeros of a derivative (if it is not identically zero) may be bounded uniformly in the order and degree of f, and the order of derivative.

The intersection multiplicity of the graph X of a pfaffian function and an algebraic curve is (if non-degenerate) also explicitly bounded.

The following explicit bounds are drawn from [3]. With these bounds and Corollary 3.3, the proof of 1.3 is easily concluded.

# 4.1. Proposition

Let  $f_1, \ldots, f_r$  be a pfaffian chain of order  $r \ge 1$  and degree  $\alpha$  on an open interval  $I \subset \mathbb{R}$ , and f a pfaffian function on I having this chain and degree  $(\alpha, \beta)$ .

- (a) Let  $k \in \mathbb{N}$ . Then  $f^{(k)}$  is a pfaffian function with the same chain as f (so of order r) and degree  $(\alpha, \beta + k(\alpha 1))$ .
  - (b) If f is not identically zero, it has at most  $2^{r(r-1)/2+1}\beta(\alpha+\beta)^r$  zeros.

Suppose further that f is non-algebraic.

(c) Let P(x,y) be a polynomial of degree d. Then the number of zeros of P(x, f(x)) = 0 in I is at most

$$2^{r(r-1)/2+1} d\beta (\alpha + d\beta)^r.$$

(d) Let  $J \subset I$  be an open interval on which  $f' \neq 0$  and  $k \geqslant 1$ . Then on f(J) there is an inverse function g of f. Then g is not algebraic and the number of zeros of  $g^{(k)}$  on f(J) is at most

$$2^{r(r-1)/2+1}\left(k-1\right)\left(\beta+k(\alpha-1)\right)\left(\alpha+(k-1)(\beta+k(\alpha-1))\right)^r.$$

*Proof.* — Part (a) is by [3, 2.5].

- Part (b) follows from [3, 3.3], which states in particular that the set of zeros of a pfaffian function f of order r and degree  $(\alpha, \beta)$  on an interval I has at most  $2^{r(r-1)/2+1}\beta(\alpha+\beta)^r$  connected components.
- Part (c). Since P(x, f(x)) is a pfaffian function of order  $r \ge 1$  and degree  $(\alpha, d\beta)$ , the conclusion follows from (b).
- Part (d). By differentiating the relation g(f(x)) = x and simple induction, for  $k \ge 1$ ,

$$g^{(k)}(y) = \frac{Q_k(f^{(1)}, f^{(2)}, \dots, f^{(k)})}{(f'(x))^{2k-1}}$$

where  $Q_k(z_1, z_2, \ldots, z_k)$  is a polynomial of degree  $\gamma_k = k-1$ . Since  $f^{(j)}$  are pfaffian functions with the same chain, the function  $Q_k(f^{(1)}, f^{(2)}, \ldots, f^{(k)})$  is a pfaffian function of order r and degree  $(\alpha, \gamma_k(\beta + k(\alpha - 1)))$ . The statement now follows from (b).  $\square$ 

### 4.2. Proof of 1.3

Suppose f is defined on an interval I. Divide I into at most

$$2 \cdot 2^{r(r-1)/2+1} (\beta + \alpha - 1)(\alpha + \beta + \alpha - 1)^r + 1 \leqslant 2^{2+r(r-1)/2} (2\alpha + \beta)^{r+1}$$

subintervals on which  $f' \leqslant -1$ ,  $-1 \leqslant f' \leqslant 1$  or  $f' \geqslant 1$ , and then divide further into subintervals on which the inverse g of f has nonvanishing derivatives up to order D in the first and third case, or f has nonvanishing derivatives up to order D in the second case. For  $k \leqslant D$ , the number of zeros of  $f^{(k)}$  or  $g^{(k)}$  on an interval is, by 4.1 (b) or (c), at most  $c_0(r, \alpha, \beta)D^{2r+2}$  for some explicit function  $c_0(r, \alpha, \beta)$ . The total number of intervals is therefore at most

$$c_1(r,\alpha,\beta)D^{2r+3}$$

for some explicit function  $c_1(r, \alpha, \beta)$ .

Intersecting with the interval [-H, H] of the appropriate axis (which contains all points of height  $\leq H$ ), the relevant intervals are of length  $\leq 2H$ . By 3.3, in each such interval the points of  $X(\mathbb{Q}, H)$  lie on at most

$$660\,D\,H^{32/(3(d+3))}\,\log H$$

real algebraic curves of degree  $\leq d$ . The number of points in the intersection of X with a curve of degree d is at most

$$2^{r(r-1)/2+1} d\beta (\alpha + d\beta)^r = c_2(r, \alpha, \beta) d^{r+1}.$$

Combining these estimates yields

$$N(X, H) \le c_3(r, \alpha, \beta) d^{5r+9} H^{32/(3(d+3))} \log H.$$

Taking  $d = [\log H]$ , where [.] is the integer part, completes the proof.  $\Box$ 

Suppose that F(x,y) is a pfaffian function of order r and degree  $(\alpha,\beta)$  defined on  $U=I\times J$  where  $I,J\subset\mathbb{R}$  are open intervals. I sketch how to extend the conclusion of Theorem 1.3 to the (transcendental part of the) zero set  $X\subset U$  of F.

The set X consists of at most  $c_4(r, \alpha, \beta)$  isolated points and at most  $c_5(r, \alpha, \beta)$  graphs y = f(x) or x = g(y) of real analytic functions f, g defined on open intervals and satisfying F(x, f(x)) = 0, F(g(y), y) = 0, with  $F_y(x, f(x)), F_x(g(y), y) \neq 0$  (respectively), and with further derivatives f', g' bounded in absolute value by 1. It thus suffices to consider X to be such a graph, which may be assumed to be non-algebraic.

To proceed with the proof following the proof of 1.3, we need only show that the number of zeros of  $f^{(k)}$  is suitably bounded (i.e. by a polynomial function of k), and that the number of zeros of an equation P(x, f(x)) = 0 is suitably bounded (i.e. polynomially in the degree of P). The zeros of P(x, f(x)) are isolated and contained in the common zeros of F(x, y) = 0, P(x, y) = 0. The number of connected components of this set is at most  $c_6(r, \alpha, \beta)d^{2r+2}$  by [3, 3.3].

By differentiating the relation F(x, f(x)) = 0 we may write

$$f^{(k)} = \frac{H_k}{F_y(x, f(x))^{a_k}}$$

where  $H_k$  is a polynomial in partial derivatives of F. If  $H_k$  consists of terms of the form  $\phi_1\phi_2\ldots\phi_m$ , where  $\phi_i$  is a partial derivative of F of order  $\delta_i$ , we will say that the weight of this term is  $\sum \delta_i$ , and the weight  $h_k$  of  $H_k$  is the maximum weight of its terms. A straightforward induction (very similar to the one in [1, Lemma 5]) shows that  $a_k = 2k - 1$ ,  $h_k = 3k - 2$ . The zeros of  $f^{(k)}$  are isolated, since f is non-algebraic. They are contained in the common zero set of F = 0,  $H_k = 0$ . The number of connected components of this set is at most  $c_7(r, \alpha, \beta)k^{2r+2}$ , again by [3, 3.3].

### 4.3. Final remarks

- 1. I know of no example in which N(X, H) grows faster than  $\log H$ ; For  $X: y = 2^x$ , clearly  $N(X, H) >> \log H$ .
- 2. The curves  $y = x^{\mu}, \mu \in \mathbb{R}, x > 0$  are pfaffian (with r = 2) and non-algebraic provided  $\mu \notin \mathbb{Q}$ . Thus theorem 1.3 directly implies a very weak form of the "six exponentials" theorem ([12]).
- 3. Theorem 1.3 holds for curves X: y = f(x) for which f admits appropriate control over the zeros of derivatives (i.e. the number of zeros of  $f^{(k)}$  grows polynomially with k) and over the number of solutions of P(x, f(x)) = 0 (i.e. a bound that depends only on the degree of P and is polynomial d). For examples that do not lie in any o-minimal structure see [4].

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