On Generalized Radix Representations (Analytic Number Theory and Surrounding Areas)

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On Generalized Radix Representations

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1. Radix representation and two generalizations

Positive base: Let \( g \geq 2 \) be an integer. Then every \( n \in \mathbb{Z} \) can be represented in the form

\[
 n = \pm \sum_{j=0}^{\ell} n_j g^j, \quad 0 \leq n_j < g.
\]

Negative base: V. Grünwald (1885): Let \( g \leq -2 \) be an integer. Then every \( n \in \mathbb{Z} \) can be represented in the form

\[
 n = \sum_{j=0}^{\ell} n_j g^j, \quad 0 \leq n_j < g.
\]

You can find details and more material about the here studied kind of questions in the following papers:


1.1. \( \beta \) representation

A. Rényi (1957): Let \( \beta > 1 \) be a real number and \( \mathcal{A} = \{0, 1, \ldots, \lfloor \beta \rfloor \} \) be the set of digits. Then each \( \gamma \in [0, \infty) \) can be represented by

\[
 \gamma = a_m \beta^m + a_{m-1} \beta^{m-1} + \cdots \quad (1)
\]

with \( a_i \in \mathcal{A} \). This \( \beta \)-representation is usually not unique.

Assuming however that

\[
 0 \leq \gamma - \sum_{i=n}^{m} a_i \beta^i < \beta^n \quad (2)
\]

hold for all \( n \leq m \) the \( \beta \)-representation become unique. For \( \gamma \in [0, 1) \) this greedy expansion can be given by the \( \beta \)-transformation

\[
 T_{\beta}(\gamma) = \beta \gamma - \lfloor \beta \gamma \rfloor
\]

This concept is the topics of a lot of research:
1. Description of the representations of 1, Erdős, Joó, Horváth.

- Characterization of univoque numbers, i.e. those \( \beta \) for which 1 has a unique representation, Daróczy, Kátai, Komornik, Loretti, Allouche, Cosnard.
- Connections with fractals: Rauzy, Thurston, Akiyama.
- Characterization of those \( \beta \) which leads to finite or eventually finite representations, Bertrand, Schmidt, Frougny, Solomyak, Hollander.
- Connection with radix representations based on linear recursive sequences, Zeckendorf, Fraenkel, Grabner, Tichy, Pethő.

1.2. CNS representation

Let \( \mathbb{Z}_K \) be the ring of integers of the algebraic number field \( K \).

\( \{\alpha, N\}; \quad \alpha \in \mathbb{Z}_K, \quad N = \{0, \ldots, |\text{Norm}(\alpha)|^{-1}\} \)

is called a canonical number system if every \( \nu \in \mathbb{Z}_K \) can be represented in the form

\[ \nu = \sum_{j=0}^{r} n_j \alpha^j, \quad n_j \in N. \]

1.3. CNS polynomials

Observation: If \( \mathbb{Z}_K \) is monogenic then \( \mathbb{Z}_K = \mathbb{Z}[\alpha] \) for some \( \alpha \in \mathbb{Z}_K \). This means \( \mathbb{Z}_K \equiv \mathbb{Z}[x]/P(x)\mathbb{Z}[x] \), where \( P(x) \) is the minimal polynomial of \( \alpha \).

Moreover, \( \{\alpha, N\} \) is a CNS in \( \mathbb{Z}_Q(\alpha) \) means nothing else that every coset of \( \mathbb{Z}[x]/P(x)\mathbb{Z}[x] \) has an element (a representative) such that its coefficients is bounded by \( |p_0| - 1 \).

A monic polynomial \( P(x) = x^d + p_{d-1}x^{d-1} + \cdots + p_0 \) is called CNS polynomial if every coset of \( \mathbb{Z}[x]/P(x)\mathbb{Z}[x] \) has an element

\[ a_0 + a_1 x + \cdots + a_k x^k \quad (3) \]

such that \( 0 \leq a_i < |p_0| \).

2. Comparison of the properties of greedy expansions and of CNS-polynomials

Let \( \beta \) be the root of \( B(X) = X^d - b_1 X^{d-1} - \cdots - b_d \in \mathbb{Z}[X] \).

Let \( \text{Fin}(\beta) \) be the set of positive real numbers having finite greedy expansion with respect to \( \beta \). We say that \( \beta > 1 \) has property (F) if

\[ \text{Fin}(\beta) = \mathbb{Z}[1/\beta] \cap [0, \infty). \]

Property (F)

- \( \beta \) is a Pisot number: \( \beta > 1 \), but its conjugates are < 1
- If \( b_1 \geq \cdots \geq b_d \geq 1 \), Frougny and Solomyak (1992)
- Characterization results if

\[ b_1 > |b_2| + \cdots + |b_d|, \quad b_d \neq 0, \quad \text{Hollander (1996)} \]

CNS-polynomials

- the absolute value of all zeroes of \( P(X) \) are larger than 1.
- If \( p_{d-1} \leq \cdots \leq p_0 \), \( p_0 \geq 2 \), B. Kovács (1981)
- Akiyama, Pethő, (2002), Scheicher, Thuswaldner
3. Shift Radix Systems

Let \( r = (r_1, \ldots, r_d) \in \mathbb{R}^d \). To \( r \) we associate the mapping
\[ \tau_r : \mathbb{Z}^d \rightarrow \mathbb{Z}^d \text{ if } a = (a_1, \ldots, a_d) \in \mathbb{Z}^d \text{ then let } \tau_r(a) = (a_2, \ldots, a_d, -\lfloor r a \rfloor), \]
where \( r a = r_1 a_1 + \cdots + r_d a_d \), i.e., the inner product of \( r \) and \( a \).

Let \( r \) be fixed. We will show: \( r \) gives rise to a Pisot number \( \beta \) with property \( (F) \) as well as to a CNS-polynomial \( P \) iff

**for all** \( a \in \mathbb{Z}^d \exists k > 0 \) with \( \tau_r^k(a) = 0 \). (4)

If (4) holds, we will call \( \tau_r \) a shift radix system (SRS for short). Hence SRS is a common generalization of greedy expansions with property \( (F) \) and CNS-polynomials.

It is clear that \( D_1 = [-1, 1] \) and \( D_0^0 = [0, 1] \).

To illustrate the difficulty of the characterization problem of \( D_0^0 \), we show an approximation of \( D_2^0 \).

An approximation of \( D_2^0 \).

4. Relation between SRS and CNS-polynomials

This is a more delicate question.

Let \( P(x) = p_d x^d + p_{d-1} x^{d-1} + \cdots + p_0 \in \mathbb{Z}[x] \) with \( p_d = 1 \). Every coset of \( \mathbb{Z}[x]/P(x) \mathbb{Z}[x] \) has an element of form
\[ A_0 + A_1 x + \cdots + A_{d-1} x^{d-1}, \quad A_i \in \mathbb{Z}. \] (5)

3.1. Relation between SRS and \( \beta \)-expansions

Two basic definitions. Let
\[ D_0^d := \{ r \in \mathbb{R}^d \mid \forall a \in \mathbb{Z}^d \exists k > 0 : \tau_r^k(a) = 0 \} \text{ and } D_d := \{ r \in \mathbb{R}^d \mid \forall a \in \mathbb{Z}^d : \{ \tau_r^k(a) \}_{k \geq 0} \text{ is ultimately periodic} \}.

Now we can formulate the connection between SRS and greedy expansions.

**Theorem 1 (Hollander, 1996).** Let \( \beta > 1 \) be a Pisot number with minimal polynomial \( X^d - b_1 X^{d-1} - \cdots - b_{d-1} X - b_d \). Set
\[ r_1 := 1, \quad r_j := b_j \beta^{-1} + b_{j+1} \beta^{-2} + \cdots + b_d \beta^{-d-1}, \]
\( (2 \leq j \leq d) \). Then \( \beta \) has property \( (F) \) if and only if \((r_d, \ldots, r_2) \in D_{d-1}^0 \).

Let \( Z'[z] = \{ A(z) \in \mathbb{Z}[z] : \deg A < d \} \) and
\[ T(A) = \sum_{i=0}^{d-1} (A_{i+1} - q p_{i+1}) z^i, \]
where \( A_d = 0 \) and \( q = [A_0/p_0] \).

Then \( T : Z'[z] \rightarrow Z'[z] \) and
\[ A = a_0 + z T(A), \text{ with } a_0 = A_0 - q p_0. \]

This backward division process can become:
- divergent \( A(X) = -1 \) for \( P(X) = X^2 + 4 X + 2 \)
- \( T_{X^2+4X+2}(-1) = -1, X + 4, -2X - 8, 4X + 16, \ldots \) or
- ultimately periodic \( A(X) = -1 \) for \( P(X) = X^2 - 2X + 2 \)
- \( T_{X^2-2X+2}(-1) = -1, X - 2, X - 1, X - 1, \ldots \) or
- can terminate after finitely many steps
\[ A(X) = -1 \text{ for } P(X) = X^2 + 2X + 2 \]
\[ -1 = 1 + z^2 + z^3 + z^4. \]
Let
\[ \Pi(P) = \{ A : T^\ell_P(A) = A \text{ for some } \ell > 0 \} \]
denote the set of periodic points of the mapping \( T_P \).
We always have \( 0 \in \Pi(P) \). With help of this set we define
\[ C_0 = \{ (p_0, p_1, \ldots, p_{d-1}) \in \mathbb{Z}^d : \Pi(X^d + p_{d-1}X^{d-1} + \cdots + p_1X + p_0) = \{0\} \} \]
and
\[ C_d = \{ (p_0, p_1, \ldots, p_{d-1}) \in \mathbb{Z}^d : T_{X^d + p_{d-1}X^{d-1} + \cdots + p_1X + p_0} \text{ has only finite orbits} \} \].
Clearly, we have \( C_0 \subset C_d \).
The elements of \( C_0 \) will be called CNS polynomials.

It is convenient to replace \( T_P \) by the conjugate mapping
\[ T_P : \mathbb{Z}^d \to \mathbb{Z}^d \]
defined as
\[ T_P(A) = (A_1 - qA_1, \ldots, A_d - qA_d, -qA_0) \]
where \( A = (A_0, \ldots, A_{d-1}) \) and \( q = \lfloor A_0/p_0 \rfloor \).

4.1. Affect of a new representation

H. Brunotte (2000) and K. Scheicher and J. Thuswaldner (2001) observed that the basis transformation
\[ \{1, x, \ldots, x^{d-1}\} \to \{w_1, \ldots, w_d\}, \]
with \( w_j = \sum_{i=d-j+1}^{d} p_ix^{i+j-d-1} \)
of \( R \) implies a nicer and much better applicable transformation than \( T_P \) is. Indeed, if
\[ A(x) = \sum_{j=1}^{d} A_jw_j, \]
then
\[ T_P(A) = -t + \sum_{j=1}^{d-1} A_{j+1}w_j, \]
where \( t = \lfloor \sum_{j=1}^{d} p_jA_d + \cdots + p_1A_1 \rfloor/p_0 \).
Hence, \( T_P \) implies the mapping \( \tau_P : \mathbb{Z}^d \to \mathbb{Z}^d \)
\[ \tau_P(A) = (A_2, \ldots, A_d - \sum_{j=1}^{d} p_jA_d + \cdots + p_1A_1) \]
where \( A = (A_1, \ldots, A_d) \). The mapping \( \tau_P \) will be called Brunoet's mapping.

Theorem 2. Let \( P(X) := X^d + p_{d-1}X^{d-1} + \cdots + p_1X + p_0 \in \mathbb{Z}[X] \). Then \( P(X) \) is a CNS polynomial (or belongs to \( C_0^0 \)) if and only if \( r = (p_0, p_1, \ldots, p_{d-1}) \in C_0^0 \).

4.2. \( C_0^0 \) for small \( d \)'s

- \( C_0^0 = \{ p_0 : p_0 \geq 2 \} \), V. Grünwald
- \( C_2^0 = \{ (p_0, p_1) : -1 \leq p_1 \leq p_0, p_0 \geq 2 \} \), Kátai, Szabó, B. Kovács, Gilbert.
- Conjecture of Gilbert, 1981: \( (p_0, p_1, p_2) \in C_3^0 \) if and only if
  (i) \( p_0 \geq 2 \),
  (ii) \( p_2 \geq 0 \),
  (iii) \( p_1 + p_2 \geq -1 \),
  (iv) \( p_1 - p_2 \leq p_0 - 2 \),
  (v) \( p_2 \leq \lfloor p_0 - 1 \rfloor \),

Visualization of Gilbert's conjecture, \( p_0 = 44 \).
5. Basic properties of SRS

For a matrix $M$ denote the spectral norm by $||M||$. For a vector $v$, $||v||$ shall denote the Euclidean norm.

For $r = (r_1, \ldots, r_d) \in D_d$ let

$$ R := \begin{pmatrix} 0 & 1 & 0 & \ldots & 0 \\ 1 & \ddots & \ddots & \ddots & \vdots \\ \vdots & \ddots & \ddots & \ddots & 0 \\ 0 & \cdots & \cdots & 0 & 1 \\ -r_1 & -r_2 & \cdots & -r_d \end{pmatrix}. \quad (6) $$

Lemma 1. Let $d \in \mathbb{N}$. If $r = (r_1, \ldots, r_d) \in D_d$ then the spectral radius of $R$ is less than or equal to 1.

In the opposite direction we get the following result.

Lemma 2. Let $r \in \mathbb{R}^d$ such that the spectral radius $\rho$ of the matrix $R$ given above is less than 1. Then $r \in D_d$.

It is not hard to prove the following statement

Theorem 3. The sets $D_d$ and $D_d^0$ are Lebesgue measurable.

5.1. Convexity property of $\tau_r$

Theorem 4. Let $r_1, \ldots, r_k \in \mathbb{R}^d$ and $a \in \mathbb{Z}^d$ be such that $\tau_{r_1}(a) = \cdots = \tau_{r_k}(a)$. Let $s$ be any convex linear combination of $r_1, \ldots, r_k$. Then we have $\tau_s(a) = \tau_{r_1}(a) = \cdots = \tau_{r_k}(a)$.

Corollary 1. Let $r_1, \ldots, r_k \in \mathbb{R}$ have the same period, i.e. $\tau_{r_1}(a) = \cdots = \tau_{r_k}(a), t = 0, \ldots, q$ and $a = \tau_{r_1}(a)$. Then if $s$ is lying in the convex hull of $r_1, \ldots, r_k$ the mapping $\tau_s$ is periodic and has the same period as $\tau_{r_1}$. 
For example, it is easy to check that for the plane vectors \( r_1 = \begin{pmatrix} 2 \div 3 \div 2 \div 5 \div 3 \end{pmatrix}, r_2 = \begin{pmatrix} 2 \div 5 \div 2 \div 5 \div 3 \end{pmatrix} \) and \( r_3 = \begin{pmatrix} 3 \div 4 \div 4 \div 1 \div 2 \end{pmatrix} \) the corresponding mappings have the same period \((-2, 1), 3, -2, 1, 1, -2\), hence the corresponding mapping for any point lying in the rectangle \( r_1, r_2, r_3 \) have this period.

### 5.2. Brunotte’s algorithm

To decide \( r \in C_0^d \) Brunotte gave an algorithm, which was realized independently by Scheicher and Thuswaldner. We give here a generalization for \( D_0^d \).

**Theorem 5.** Suppose that there exists a set \( E \subset \mathbb{Z}^d \) satisfying

(i) \( E \) contains 2d elements of the form \((0, \ldots, 0, \pm 1, 0, \ldots, 0)\).

(ii) \( \tau(E) \cup \tau_0^*(E) \subset E \), where \( \tau_0^*(x) = -\tau_0(-x) \).

(iii) For each \( a \in E \) there is some \( k > 0 \) such that \( \tau_k^0(a) = 0 \).

Then \( r \in D_0^d \).

### 6. Lifting theorem

Let \( d \in \mathbb{N} \) and

\[
(a_{1+j}, \ldots, a_{d+j}) \in \mathbb{Z}^d, \quad (0 \leq j \leq L-1),
\]

with \( a_{d+1} = a_1, \ldots, a_{L+d} = a_d \).

For which \( r = (r_1, \ldots, r_d) \in \mathbb{R}^d \) these vectors form a period \( \pi \) of \( D_d \)? By the definition of \( \pi \) this is the case if and only if the inequalities

\[
0 \leq r_1 a_{1+j} + \cdots + r_d a_{d+j} + a_{d+j+1} < 1
\]

hold simultaneously for all \( 0 \leq j \leq L-1 \). They define a (possibly degenerated) polyhedron, which will be denoted by \( P(\pi) \).

Since \( r \in D_0^d \) if and only if \( \pi \) has 0 as its only period we conclude that

\[
D_0^d = D_d \setminus \bigcup_{\pi \neq 0} P(\pi)
\]

where the union is extended over all families of vectors \( \pi \) of the shape (7). We call the family of (non-empty) polyhedra corresponding to this choice the family of cutout polyhedra of \( D_0^d \).

Let \( \pi \) be a period of \( C_d \) or \( D_d \) which corresponds to a non-degenerate cutout polyhedron. Then we call \( \pi \) a non-degenerate period. We will show that we can "lift" a non-degenerate period to higher dimensions.

**Definition 1.** Let

\[
\pi : (a_1, \ldots, a_d); a_{d+1}, \ldots, a_L
\]

be a non-degenerate period of length \( L \) of \( C_d \) or \( D_d \). Then we call

\[
l(\pi) : (a_1, a_2, \ldots, a_{d+1}); a_{d+2}, \ldots, a_L
\]

the lift of \( \pi \) to \( d+1 \).

Note that \( \pi \) and \( l(\pi) \) have the same period length \( L \).
Theorem 6 (Lifting Theorem). Let $d \geq 1$ be an integer.

(i) Let $p_0 \geq 2$ and let $\pi$ be a non-degenerate period for $C_d$. Then $\pi$ is also a non-degenerate period for $D_d$. More precisely, there exist $p_1, \ldots, p_{d-1} \in \mathbb{Z}$ such that $(p_0, \ldots, p_{d-1}) \in \text{int}(P(\pi))$ and

$$\left(\frac{1}{p_0}, \frac{p_{d-1}}{p_0}, \ldots, \frac{p_1}{p_0}\right) \in \text{int}(P(\pi)).$$

(ii) Let $\pi$ be a non-degenerate period of $D_d$. Then its lift $\lambda := l(\pi)$ is a non-degenerate period of $C_{d+1}$ for each sufficiently large $p_0$. More precisely, for all $(r_1, \ldots, r_d) \in \text{int}(P(\pi))$ there exists $\epsilon > 0$ such that for all $(p_0, \ldots, p_d) \in \mathbb{Z}^{d+1}$ with

$$\max_{1 \leq k \leq d} \left| \frac{p_{d+1-k}}{p_0} - r_k \right| < \epsilon$$

we have $(p_0, \ldots, p_d) \in \text{int}(P'(\lambda))$.

7. Long periods

Consider the following family of edges.

$$\alpha_k : (-k-1, -n+k) \rightarrow (-n+k, k+1)$$

$$0 \leq k \leq n-1,$$

$$\beta_k : (-n+k, k+1) \rightarrow (k+1, n+1-k)$$

$$0 \leq k \leq n-1,$$

$$\gamma_0 : (1, n+1) \rightarrow (n+1, 1),$$

$$\gamma_k : (k+1, n+1-k) \rightarrow (n+1-k, k)$$

$$1 \leq k \leq n-1,$$

$$\delta_k : (n+1-k, k) \rightarrow (-k, -n-1+k)$$

$$1 \leq k \leq n-1.$$  

With these edges we form the cycle

$$\zeta_n : \alpha_0 \beta_0 \gamma_0 \alpha_{n-1} \beta_{n-1} \gamma_{n-1} \delta_{n-1} \alpha_{n-2} \ldots \alpha_1 \beta_1 \gamma_1 \delta_1.$$

Note that $\delta_1$ ends up in $(-1, -n)$. In this node $\alpha_0$ starts. Thus $\zeta_n$ is indeed a cycle. We wonder whether there exists $\tau := (x_n, y_n) \in D_2$ such that $\tau$ has $\zeta_n$ as a non-degenerate period. This is done in the following result.

By a direct application of the Lifting Theorem we obtain.

Theorem 8. Let $d \geq 2$ be an integer, fix $n \in \mathbb{N}$, $n > 3$. Then there exist some $\tau \in \mathbb{R}^d$ such that $l^{d-2}(\zeta_n)$ is a non-degenerate period of $\tau$. Since we can select $n$ arbitrarily large and the length of the period $l^{d-2}(\zeta_n)$ is $4n+1$ this implies that there exist non-degenerate periods of arbitrarily large length of $D_d$ and $C_{d+1}$.

Corollary 2. Fix $n \in \mathbb{N}$, $n > 3$, and set $d \geq 2$ and

$$r = (0, \ldots, 0, x_n, y_n) \in \mathbb{R}^d$$

with $x_n, y_n$ as in Theorem 7. Then $l^{d-2}(\zeta_n)$ is a period of $\tau$. 

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Theorem 7. Fix $n \in \mathbb{N}$, $n > 3$, and set $r = (x_n, y_n) \in \mathbb{R}^2$ with

$$x_n := \frac{1}{2n^2-x_n}$$

and

$$y_n := -\frac{2n+1}{2n(n+1)} + u_n,$$

where $|x_n|, |u_n| < 1/n^4$. Then $\zeta_n$ is a non-degenerate period of $\tau$.

Since we can select $n$ arbitrarily large and the length of the period $\zeta_n$ is $4n+1$ the previous theorem implies that there exist non-degenerate periods of arbitrarily large length for $D_2$. 

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Theorem 6 (Lifting Theorem). Let $d \geq 1$ be an integer.

(i) Let $p_0 \geq 2$ and let $\pi$ be a non-degenerate period for $C_d$. Then $\pi$ is also a non-degenerate period for $D_d$. More precisely, there exist $p_1, \ldots, p_{d-1} \in \mathbb{Z}$ such that $(p_0, \ldots, p_{d-1}) \in \text{int}(P(\pi))$ and

$$\left(\frac{1}{p_0}, \frac{p_{d-1}}{p_0}, \ldots, \frac{p_1}{p_0}\right) \in \text{int}(P(\pi)).$$

(ii) Let $\pi$ be a non-degenerate period of $D_d$. Then its lift $\lambda := l(\pi)$ is a non-degenerate period of $C_{d+1}$ for each sufficiently large $p_0$. More precisely, for all $(r_1, \ldots, r_d) \in \text{int}(P(\pi))$ there exists $\epsilon > 0$ such that for all $(p_0, \ldots, p_d) \in \mathbb{Z}^{d+1}$ with

$$\max_{1 \leq k \leq d} \left| \frac{p_{d+1-k}}{p_0} - r_k \right| < \epsilon$$

we have $(p_0, \ldots, p_d) \in \text{int}(P'(\lambda))$.
8. Critical points

Definition 2. Let \( x \in D_d \).
- If there exists an open neighborhood of \( x \) which contains only finitely many cutout polyhedra then we call \( x \) a regular point.
- If each open neighborhood of \( x \) has nonempty intersection with infinitely many cutout polyhedra then we call \( x \) a weak critical point for \( D_d \).
- If for each open neighborhood \( U \) of \( x \) the set \( U \setminus D_d^0 \) can not be covered by finitely many cutout polyhedra then \( x \) is called a critical point.

We will show the existence of critical points for each \( d \geq 2 \). This shows that there is no way to characterize either of the sets \( D_d^0 \) by finitely many cutouts if \( d \geq 2 \).

Lemma 3. Let \( x \) be a weak critical point for \( D_d \). Then \( x \in \partial D_d \).

Lemma 4. Let \( \{x_n\}_{n \geq 1} \) and \( \{y_n\}_{n \geq 1} \) be sequences with \( x_n < 1 \), \( y_n < 0 \), \( \lim x_n = 1 \), \( \lim y_n = 0 \) and \( 1 - x_n = o(y_n) \). Let \( \{a_m\}_{m \geq 1} \) be a sequence of integers such that \( |a_i| < K \) for some constant \( K \). Then there exists \( N \in \mathbb{N} \) such that

\[
0 \leq a_{i-1} x_n + a_i y_n + a_{i+1} < 1 \quad (11)
\]
can not hold for all \( i \) if \( n \geq N \) unless \( a_i = 0 \) for all \( i \) large enough. Thus nonzero periods whose elements are bounded by \( K \) can not occur in \( D_d \) for \( r(0, \ldots, x_n, y_n) \) if \( n \) is large enough.

Theorem 9. Let \( d \geq 2 \). Then \( K_d := (0, \ldots, 1, 0) \in \mathbb{R}^d \) is a critical point of \( D_d \).

Problem 1. Characterize the critical points of \( D_d \). Can one show that for a given \( d \) there exist only finitely many critical points?