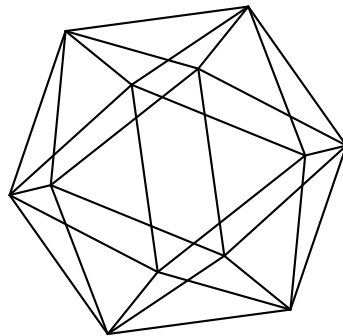


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On the Newton polygon of a Jacobian mate

by

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*To the memory of Shreeram Abhyankar
one of the champions of the Jacobian Conjecture*

Abstract

This note contains an up-to-date description of the “minimal” Newton polygons of the polynomials satisfying the Jacobian condition.

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Key words: Jacobian conjecture, Newton polygons

Introduction.

Consider two polynomials $f, g \in \mathbb{C}[x, y]$ where \mathbb{C} is the field of complex numbers with the Jacobian $J(f, g) = 1$ and $\mathbb{C}[f, g] \neq \mathbb{C}[x, y]$ i.e. a counterexample to the JC (Jacobian conjecture) which states that $J(f, g) = 1$ implies $\mathbb{C}[f, g] = \mathbb{C}[x, y]$ (see [K]). This conjecture occasionally becomes a theorem even for many years but today it is a problem.

One of the approaches to this problem which is still popular, is through obtaining information about the Newton polygons of polynomials f and g . It is known for many years that there exists an automorphism ξ of $\mathbb{C}[x, y]$ such that the Newton polygon $\mathcal{N}(\xi(f))$ of $\xi(f)$ contains a vertex $v = (m, n)$ where $n > m > 0$ and is included in a trapezoid with the vertex v , edges parallel to the y axes and to the bisectrix of the first quadrant adjacent to v , and two edges belonging to the coordinate axes (see [A], [AO], [H], [L], [M], [MW], [Na1], [Na2], [NN1], [NN2], [O], [R]). This was improved quite recently by Pierrette Cassou-Noguès who showed that $\mathcal{N}(f)$ does not have an edge parallel to the bisectrix (see [CN]). Here a shorter (and more elementary) version of the proof of this fact is suggested. A proof of the “trapezoid” part based on the work [Di] of Dixmier published in 1968 is also included to have all the information on $\mathcal{N}(f)$ in one place with streamlined proofs.

As a byproduct we’ll get a proof of the Jung theorem that any automorphism of $\mathbb{C}[x, y]$ is a composition of linear and “triangular” automorphisms.

Trapezoidal shape.

In this section, using technique developed by Dixmier in [Di], we will check the claim that if $f \in \mathbb{C}[x, y]$ is a Jacobian mate i.e. when $J(f, g) = \frac{\partial f}{\partial x} \frac{\partial g}{\partial y} - \frac{\partial f}{\partial y} \frac{\partial g}{\partial x} = 1$ for some $g \in \mathbb{C}[x, y]$ then there exists an automorphism ξ of $\mathbb{C}[x, y]$ such that the Newton polygon $\mathcal{N}(\xi(f))$ of $\xi(f)$ is contained in a trapezoid described in the introduction.

Recall that if $p \in \mathbb{C}[x, y]$ is a polynomial in 2 variables and each monomial of p is represented by a lattice point on the plane with the coordinate vector

equal to the degree vector of this monomial then the convex hull $\mathcal{N}(p)$ of the points so obtained is called the Newton polygon. For reasons which are not clear to me Newton included the origin (a non-zero constant term) in his definition.

Define a weight degree function on $\mathbb{C}[x, y]$ as follows. First, take weights $w(x) = \alpha$, $w(y) = \beta$ where $\alpha, \beta \in \mathbb{Z}$ and put $w(x^i y^j) = i\alpha + j\beta$. For a $p \in \mathbb{C}[x, y]$ denote the support of p , i.e. the collection of all monomials appearing in p with non-zero coefficients by $\text{supp}(p)$ and define $w(p) = \max(w(x^i y^j) | x^i y^j \in \text{supp}(p))$. Polynomial p can be written as $p = \sum p_i$ where p_i are forms homogeneous relative to w . The leading form p_w of p according to w is the form of the maximal weight in this presentation.

Lemma on independence. Take any two algebraically independent polynomials $a, b \in \mathbb{C}[x, y]$ and a non-zero weight degree function w on $\mathbb{C}[x, y]$. Then there exists an $h \in \mathbb{C}[a, b]$ for which $J(a_w, h_w) \neq 0$ i.e. h_w and a_w are algebraically independent.

Proof. A standard proof of this fact would be based on the notion of Gelfand-Kirillov dimension (see [GK]) and is rather well-known. The proof below uses a deficiency function

$$\text{def}_w(a, h) = w(J(a, h)) - w(h)$$

(somewhat similar to the one introduced in [ML]) and is more question specific. This function is defined and has values in \mathbb{Z} when $J(a, h) \neq 0$ i.e. def_w is defined for any $h \in \mathbb{C}[a, b]$ which is algebraically independent with a . Observe that $\text{def}_w(a, hr(a)) = \text{def}_w(a, h)$, $r(a) \in \mathbb{C}[a] \setminus 0$; $\text{def}_w(a, h) \leq w(a) - w(xy)$;

and that $\text{def}_w(a, h^k) = \text{def}_w(a, h)$ since $J(a, h^k) = kh^{k-1}J(a, h)$.

If a_w and b_w are algebraically dependent then there exists an irreducible non-zero polynomial $q = \sum_{i=0}^k q_i(x)y^i \in F[x, y]$ for which $q(a_w, b_w) = 0$ and all monomials with non-zero coefficients have the same degree relative to the weight $W(x) = w(a)$, $W(y) = w(b)$. Elements a , $b' = q(a, b)$ are algebraically independent since a and b are algebraically independent but there is a drop in weight, i.e. $w(b') < w(q_k(a)b^k)$.

We have $\text{def}_w(a, b') = w(J(a, b')) - w(b') = w(\sum_i J(a, q_i(a)b^i)) - w(b') > w(J(a, q_k(a)b^k)) - w(q_k(a)b^k) = \text{def}_w(a, b^k) = \text{def}_w(a, b)$ since $w(b') < w(q_k(a)b^k)$ while $w(J(a, q_k(a)b^k)) = w(kq_k(a)b^{k-1}) + w(J(a, b)) = w(\sum_i iq_i(a) b^{i-1}) + w(J(a, b)) = w(\sum_i J(a, q_i(a)b^i))$ because $\sum_i iq_i(a_w) b_w^{i-1} \neq 0$ since q is irreducible. If a_w , b'_w are algebraically dependent, we repeat the procedure and obtain a pair a , b'' with $\text{def}_w(a, b'') > \text{def}_w(a, b')$, etc.. Since $\text{def}_w(a, h) \leq w(a) - w(xy)$ for any h and $\text{def}_w(a, h) \in \mathbb{Z}$, the process will stop after a finite number of steps and we will get an element $h \in \mathbb{C}[a, b]$ for which h_w is algebraically independent with a_w . \square

Now back to our polynomials f , g with $J(f, g) = 1$. These two polynomials are algebraically independent. To prove it consider a derivation ∂ given on $\mathbb{C}[x, y]$ by $\partial(h) = J(f, h)$. When ∂ is restricted to $\mathbb{C}[f, g]$ this is the ordinary partial derivative relative to g . Hence if $p(f, g) = 0$ then $p_g(f, g) = 0$ and a contradiction is reached if we assume that p is an irreducible dependence.

This derivation is locally nilpotent on $\mathbb{C}[f, g]$, i.e. $\partial^d(h) = 0$ for $h \in \mathbb{C}[f, g]$ and $d = \deg_g(h) + 1$. Therefore ∂_w which is given by $\partial_w(h) = J(f_w, h)$ on the ring $\mathbb{C}[f, g]_w$ generated by the leading w forms of elements in $\mathbb{C}[f, g]$ is also

a locally nilpotent derivation. Indeed a straightforward computation shows that $J(a, b)_w = J(a_w, b_w)$ if $J(a_w, b_w) \neq 0$.

Take a weight degree function for which $w(f) \neq 0$ and a w -homogenous form $\chi \in \mathbb{C}[x, y]$ for which $f_w = \chi^d$ where d is maximal possible. Then by Lemma on independence there exists a $\psi \in \mathbb{C}[f, g]_w$ which is algebraically independent with χ i.e. $\partial_w(\psi) \neq 0$. Take k for which $\partial_w^k(\psi) \neq 0$ and $\partial_w^{k+1}(\psi) = 0$ and denote $\partial_w^{k-1}(\psi)$ by ω . Then $\partial_w^2(\omega) = 0$, $\partial_w(\omega) \neq 0$ and $\partial_w(\omega) = c_1\chi^{d_1}$ since χ and $\partial_w(\omega)$ are homogeneous. Therefore $J(\chi^d, \omega) = c_1\chi^{d_1}$ and $J(\chi, \omega) = c_2\chi^{d_1-d+1}$. For computational purposes it is convenient to introduce $\varsigma = \frac{\omega}{c_2\chi^{d_1-d}} \in \mathbb{C}(x, y)$; then $J(\chi, \varsigma) = \chi$ and $w(\varsigma) = w(xy)$.

If $w(x) = 0$ then $\chi = y^j p(z)$, $\varsigma = yq(z)$ where $z = x$; if $w(x) \neq 0$ we can write $\chi = x^r p(z)$, $\varsigma = x^s q(z)$ where $z = x^{\frac{\beta}{-\alpha}} y$. In both cases $p(z) \in \mathbb{C}[z]$, $q(z) \in \mathbb{C}(z)$. In the second case $r, s \in \mathbb{Q}$ and $w(\chi) = r\alpha$, $w(\varsigma) = s\alpha$. (Recall that $w(x) = \alpha$, $w(y) = \beta$.) In any case the relation $J(\chi, \varsigma) = \chi$ is equivalent to

$$\tau p'q - \rho p q' = cp \quad (1)$$

where $\rho = w(\chi)$, $\tau = w(\varsigma) = w(xy)$, and $c \in \mathbb{C}^*$.

(1) can be rewritten as $\ln(p^\tau q^{-\rho})' = \frac{c}{q}$ or

$$p^\tau = q^\rho \exp\left(c \int \frac{dz}{q}\right). \quad (2)$$

If $\rho\tau > 0$ then $q(z)$ must be a polynomial since a pole of $q(z)$ would induce a pole of $p(z)$ in the same point.

Now we are ready to discuss the shape of $\mathcal{N}(f)$. Let $m = \deg_x(f)$, $n = \deg_y(f)$. Assume that f does not contain a monomial $cx^m y^n$. Then $\mathcal{N}(f)$ has a vertex (m, k) where $k < n$ (and maximal possible) and an edge e with

the vertex (m, k) and a negative slope. We can find a weight degree function w so that the Newton polygon of the leading form f_w of f relative to w is e . Since the slope of e is negative $\rho\tau$ is positive and $\varsigma = x^s q(z)$ is a homogeneous polynomial. Indeed, $w(x) \neq 0$ and we checked above that ς is a polynomial in z and therefore a polynomial in y . Since $w(y) \neq 0$ similar considerations show that ς is a polynomial in x .

There are just four options for $\mathcal{N}(\varsigma)$ because $w(\varsigma) = w(xy)$. Here is the list of all possibilities: (1) $\varsigma = cxy$; (2) $\varsigma = cx(y + c_1x^k)$, $k > 0$; (3) $\varsigma = c(x + c_1y^k)y$, $k > 0$; (4) $\varsigma = c(x + c_1y)(y + c_2x)$, $c_1c_2 \neq 0$. In each case there is an automorphism of $\mathbb{C}[x, y]$ which transforms ς into cxy and then the image of $\chi = f_e$ under this automorphism is also a monomial ($J(\chi, cxy) = \chi$ is satisfied only by monomials $x^i y^j$ where $c(i - j) = 1$ and these monomials have different weights). Hence in the first case χ is a monomial, in the second case $\chi = c_3 x^a (y + c_1 x^k)^b$, in the third case $\chi = c_3 (x + c_1 y^k)^a y^b$, and in the fourth case $\chi = c_3 (x + c_1 y)^a (y + c_2 x)^b$.

Define $A(f) = \deg_x(f) \deg_y(f)$. In each case there is an automorphism ζ such that $A(\zeta(f)) < A(f)$: in the second and the fourth cases we can take $\zeta(x) = x$, $\zeta(y) = y - c_1 x^k$ (indeed, $\zeta(x^a (y + c_1 x^k)^b) = x^a (y - c_1 x^k + c_1 x^k)^b = x^a y^b$ and $\deg_x(\zeta(f)) < \deg_x(f)$, $\deg_y(\zeta(f)) = \deg_y(f)$) and in the third and the fourth cases we can take $\zeta(x) = x - c_1 y^k$, $\zeta(y) = y$ (then $\deg_x(\zeta(f)) = \deg_x(f)$, $\deg_y(\zeta(f)) < \deg_y(f)$).

Hence if $x^m y^n \notin \text{supp}(f)$ one of the automorphisms $\zeta(x) = x$, $\zeta(y) = y - c_1 x^k$; $\zeta(x) = x - c_1 y^k$, $\zeta(y) = y$ (usually automorphisms $\zeta(x) = x$, $\zeta(y) = y + \phi(x)$ and $\zeta(x) = x + \phi(y)$, $\zeta(y) = y$ are called *triangular*) decreases $A(f)$. Since A is a nonnegative integer there is an automorphism ξ which

is a composition of triangular automorphisms for which $A(\xi(f))$ is minimal possible and $\mathcal{N}(\xi(f))$ contains a vertex $(\deg_x(\xi(f)), \deg_y(\xi(f)))$.

Replace f by $\xi(f)$ for which $A(\xi(f))$ is minimal. The leading form of f , say for a weight $w(x) = 1, w(y) = 1$ is $x^m y^n$. The corresponding $\varsigma = cxy$. Since $J(x^m y^n, cxy) = c_1 x^m y^n$ where $c_1 \neq 0$ we cannot have $m = n$ and an assumption that $n > m$ is not restrictive (if $m > n$ apply an automorphism $\alpha(x) = y, \alpha(y) = x$).

If $m = 0$ then $f = f(y)$. Since then $J(f, g) = -f_y g_x$ this implies that $\deg_y(f) = 1, g = g_0(y) + cx$ where $c \in \mathbb{C}^*$ and $\mathbb{C}[f, g] = \mathbb{C}[x, y]$.

Consider again a weight given by $w(x) = 1, w(y) = 1$. Then $f_w = x^m y^n$. As we observed above ∂_w defined by $\partial_w(h) = J(f_w, h)$ is locally nilpotent on $\mathbb{C}[f, g]_w$. If $\mathbb{C}[f, g] = \mathbb{C}[x, y]$ then $\mathbb{C}[f, g]_w = \mathbb{C}[x, y]_w = \mathbb{C}[x, y]$. Hence if $\mathbb{C}[f, g] = \mathbb{C}[x, y]$ then $\partial(h) = J(x^m y^n, h)$ is a locally nilpotent derivation on $\mathbb{C}[x, y]$. If $m > 0$ then $\partial^j(y) = \frac{m(m+d)\dots(m+(j-1)d)}{j!} x^{j(m-1)} y^{j(n-1)+1}$ where $d = n - m > 0$ is never zero and $\mathbb{C}[f, g] \neq \mathbb{C}[x, y]$.

These observations prove a theorem of Jung (see [J]) that any automorphism is a composition of triangular and linear automorphisms. If α is an automorphism of $\mathbb{C}[x, y]$ then $f = \alpha(x)$ is a Jacobian mate since by the chain rule $J(\alpha(x), \alpha(y)) = c \in \mathbb{C}^*$. As we saw we can apply several triangular automorphisms after which the image of f is a polynomial which is linear either in x or y (since both cases $n > m$ and $m > n$ are possible). After that an additional triangular automorphism reduce (f, g) to either $(c_1 x, c_2 y + g_1(x))$ or $(c_1 y, c_2 x + g_1(y))$ and another triangular automorphism to $(c_1 x, c_2 y)$ or $(c_1 y, c_2 x)$. Finally a linear automorphism reduces the images to (x, y) .

From now on assume that $m > 0$. Then there are two edges containing

$v = (m, n)$ as a vertex, the edge e which is either horizontal or below the horizontal line and the edge e' which is either vertical or to the left of the vertical line.

Consider the edge e and the weight w for which $\mathcal{N}(f_w) = e$. If the slope of e is less than 1 then $\rho\tau > 0$, ς is a polynomial and $w(\varsigma) = w(xy)$. In the case e is horizontal $\varsigma = yq(x)$ where $q(x)$ is a polynomial and after an appropriate automorphism $x \rightarrow x - c$, $y \rightarrow y$ we may assume that $q(0) = 0$. If $w(x) \neq 0$ and $w(y) \neq 0$ then $\varsigma(0, 0) = 0$ because of the shape of $\mathcal{N}(\varsigma)$. If $\varsigma = cxy$ then e is a vertex contrary to our assumption. If $\varsigma = c_1xy + \dots + c_2x^iy^j$ where $c_2 \neq 0$ and $i > 1$ then $j = \mu(i - 1) + 1$ where μ is the slope and $J(x^my^n, x^iy^j) = (mj - ni)x^{m+i-1}y^{n+j-1} \neq 0$ since $mj - ni = (m\mu - n)(i - 1) + m - n < 0$ (recall that $n > m$ and $0 \leq \mu < 1$). But then $\deg_x(J(f_w, \varsigma)) > \deg_x(f_w)$ and $J(f_w, \varsigma) \neq cf_w$, a contradiction.

Therefore the slope of e is at least 1. If slope is 1 we cannot get a contradiction using only $J(f_w, \varsigma) = f_w$ since $J(y^kh(xy), xy) = -ky^kh(xy)$.

Edge with slope one.

Newton introduced the polygon which we call the Newton polygon in order to find a solution y of $f(x, y) = 0$ in terms of x (see [Ne]). Here is the process of obtaining such a solution. Consider an edge e of $\mathcal{N}(f)$ which is not parallel to the x axes and take a weight $w(x) = \alpha$, $w(y) = \beta$ which corresponds to e (the choice of weight is unique if we assume that $\alpha, \beta \in \mathbb{Z}$, $\alpha > 0$ and $(\alpha, \beta) = 1$). Then the leading form f_w allows to determine the first summand of the solution as follows. Consider an equation $f_w = 0$. Since

f_w is a homogeneous form and $\alpha \neq 0$ solutions of this equation are $y = c_i x^{\frac{\beta}{\alpha}}$ where $c_i \in \mathbb{C}$. Choose any c_i and replace $f(x, y)$ by $f_1(x, y) = f(x, c_i x^{\frac{\beta}{\alpha}} + y)$ which is not necessarily a polynomial in x but is a polynomial in y , and consider the Newton polygon of f_1 . This polygon contains the *degree* vertex v of e , i.e. the vertex with y coordinate equal to $\deg_y(f_w)$ and an edge e' which is a modification of e (e' may collapse to v). Take the other vertex v_1 of e' (if $e' = v$ take $v_1 = v$). Use the edge e_1 for which v_1 is the degree vertex to determine the next summand and so on. After possibly a countable number of steps we obtain a vertex v_μ and the edge e_μ for which v_μ is not the degree vertex, i.e. either e_μ is horizontal or the degree vertex of e_μ has a larger y coordinate than the y coordinate of v_μ . It is possible only if $\mathcal{N}(f_\mu)$ does not have any vertices on the x axis. Therefore $f_\mu(x, 0) = 0$ and a solution is obtained.

The process of obtaining a solution is more straightforward than it may seem from this description. The denominators of fractional powers of x (if denominators and numerators of these rational numbers are assumed to be relatively prime) do not exceed $\deg_y(f)$. Indeed, for any initial weight there are at most $\deg_y(f)$ solutions while a summand $cx^{\frac{M}{N}}$ can be replaced by $c\varepsilon^M x^{\frac{M}{N}}$ where $\varepsilon^N = 1$ and hence at least N solutions can be obtained (also see [P] for a more elaborate explanation).

If $\mathcal{N}(f)$ has an edge which is parallel to the bisectrix of the first quadrant, i.e. the edge with the slope 1 we can start the resolution process with the weight $w(x) = 1$, $w(y) = -1$. If we choose a non-zero root of the equation $f_w = 0$ then a solution $y = cx^{-1} + \sum_{i=1}^{\infty} c_i x^{\frac{r_i}{N}}$ where $c \in \mathbb{C}^*$ and $-1 < \frac{r_1}{N} <$

$\frac{r_2}{N} < \dots$ will be obtained.

It is time to recall our particular situation. We have two polynomials $f, g \in \mathbb{C}[x, y]$ with $J(f, g) = 1$ and the Newton polygon of f supposedly contains an edge with slope 1. David Wright observed in [W] that the differential form $ydx - g(x, y)df(x, y)$ is exact if and only if $J(f, g) = 1$ (a calculus exercise) and therefore

$$ydx - g(x, y)df(x, y) = dH(x, y) \quad (3)$$

where $H \in \mathbb{C}[x, y]$ (see the proof of theorem 3.3 in [W]). By the chain rule $dH(x, \phi(x)) = \phi(x)dx - g(x, \phi(x))df(x, \phi(x))$ for any expression $\phi(x)$ for which the derivative $\frac{d}{dx}$ is defined.

Take for $\phi(x)$ a solution $y = cx^{-1} + \sum_{i=1}^{\infty} c_i x^{\frac{r_i}{N}}$ for $f(x, y) = 0$.

Then $f(x, \phi(x)) = 0$ and $dH(x, \phi(x)) = \phi(x)dx$ or

$$\frac{dH(x, \phi(x))}{dx} = \phi(x). \quad (4)$$

Since ϕ contains x^{-1} with a non-zero coefficient $H(x, \phi(x))$ should contain $\ln x$ with a non-zero coefficient which is clearly not possible. \square

We see that on a smooth curve γ given by $f(x, y) = 0$ the differential form ydx is exact. This is a very strong restriction on γ . If γ is a rational curve and we do not mind logarithms ydx on γ is exact but the exactness of the restriction of ydx on γ does not imply that the genus of γ is zero (even if logarithms are forbidden). E. g. for $\varphi = x^k y^{2k} (y^k - 1)^{k-1}$, $\psi = xy(y^k - 1)$ we have $J(\varphi, \psi) = k\varphi$ and $ydx - \frac{\psi}{k\varphi}d\varphi = d[xy(2 - y^k)]$. Hence $ydx = d[xy(2 - y^k)]$ on $\varphi = 1$. This curve is birationally equivalent to the k th Fermat curve: $x^k y^{2k} (y^k - 1)^{k-1} = 1$, hence $x^k y^{2k} (y^k - 1)^k = y^k - 1$ and $[xy^2(y^k - 1)]^k = y^k - 1$.

Apparently a description of curves on which the form ydx is exact is not known and possibly is rather complicated. I do not have a conjectural description of these curves but to find one seems to be very interesting.

Conclusion.

A reader may ask if it is possible to extract more information from (1) and (2). For example when $\rho\tau > 0$ it is easy to observe that all roots of q must be of multiplicity 1; that all roots of p are also roots of q ; that $\varsigma = xyh(x^a y^b)$ where a, b are relatively prime integers and h is a polynomial and hence $m = l(1 + ka), n = l(1 + kb)$ (e. g. when the right leading edge is vertical then $a = 0$ and m divides n); that there is a root of p with multiplicity larger than $\frac{\rho}{\tau}$, this observation was made by Nagata in [Na1] and Vinberg (private communication); and possibly something else which eludes me. The problem is that there are plenty of polynomial solutions even for a more restrictive Davenport equation $ap'r - bpr' = 1$ where a, b are positive relatively prime integers both larger than 1 (see [Da], [Sh], [St], [Z]). Similarly there are plenty of forms which satisfy the Dixmier equation (2) when ρ and τ have different signs. So we cannot eliminate additional edges of $\mathcal{N}(f)$ using only this approach. It is not very surprising, everybody who thought about JC knows of its slippery nature! Clearly a description of curves on which ydx is exact will help, but this question is possibly harder than JC.

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