## DIOPHANTINE APPROXIMATION AND DEFORMATION (ROUGH DRAFT)

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Abstract: It is well-known that while the analogue of Liouville's theorem on diophantine approximation holds in finite characteristic, the analogue of Roth's theorem fails quite badly. We associate certain curves over function fields to given algebraic power series and show that bounds on the rank of Kodaira-Spencer map of this curves imply bounds on the exponents of the power series, with more 'generic' curves (in the deformation sense) giving lower exponents. If we transport Vojta's conjecture on height inequality to finite characteristic by modifying it by adding suitable deformation theoretic condition, then we see that the numbers giving rise to general curves approach Roth's bound. We also prove a hierarchy of exponent bounds for approximation by algebraic quantities of bounded degree.

0.0 Let F be a finite field of characteristic p. For  $\beta$  an element of  $F((t^{-1}))$  algebraic irrational over F(t) (an algebraic irrational real number, respectively), define its diophantine approximation exponent  $E(\beta)$  by

$$E(\beta) := \limsup (-\frac{\log |\beta - P/Q|}{\log |Q|})$$

where P and Q run over polynomials in F[t] (integers, respectively), the absolute value is the usual one in each case and the limit is taken as |Q| grows.

0.1 The well-known theorems of Dirichlet and Liouville and their analogues for function fields [M] show that  $2 \le E(\beta) \le d(\beta)$ , where  $d(\beta)$  is the algebraic degree of  $\beta$  defined as  $[F(t,\beta):F(t)]$  ( $[\mathbf{Q}(\beta):\mathbf{Q}]$ , respectively). That the diophantine approximation results and in particular, the improvement on the Liouville bound of  $d(\beta)$  have interesting implications for the study of related diophantine equations is well-known since the work of Thue, Siegel etc. For the real number case, the well-known theorem of Roth shows that  $E(\beta)=2$ , but Mahler showed [M] that  $E(\beta)=d(\beta)=q$  for  $\beta=\sum t^{-q^i}$ , (so that  $\beta^q-\beta-t^{-1}=0$ ) as a straightforward estimate of approximation by truncation of this series shows. (Here and in what follows q is a power of p). Osgood [O2] and Baum and Sweet [BS] gave many examples in various degrees. See [T] for the references to other examples.

0.2 For given  $d = d(\beta)$ ,  $E(\beta)$ 's form a countable subset of interval  $2 \le x \le d$ . What is it? Does it contain any irrational number? Does it contain all the rationals in the range? In [Sc2] and [T], the following result was proved.

**Theorem 1.** Given any rational  $\mu$  between 2 and q+1, we can find a family of  $\beta$ 's (given by explicit equations and explicit continued fractions), with  $E(\beta) = \mu$  and  $d(\beta) \leq q+1$ .

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The question of exact degree of  $\beta$  is easily addressed for explicit families. (For more, see [T]).

1.0 Osgood [O2] proved that the Liouville/Mahler bound can be improved to (even effectively)  $E(\beta) \leq \lfloor (d(\beta)+3)/2 \rfloor$  (or rather  $\lfloor d(\beta)/2 \rfloor +1$ , see [Sc1] or [LdM]) for  $\beta$  not satisfying the generalized Riccati differential equation  $d\beta/dt = a\beta^2 + b\beta + c$ , with  $a,b,c \in F(t)$ . Most known (see e.g., . [L] for exceptions) examples  $\beta$ , whose continued fraction is known, do satisfy Riccati equation and indeed  $\beta$  is an integral linear fractional transformation (of determinant  $\pm 1$  for the first family) of  $\beta^q$ . What is the range of exponents for  $\beta$  not of this form?

1.1 In [V2], [V3] there is an observation (for the lack of a better reference, we provide a proof of this in the appendix) that the Riccati condition is equivalent to the vanishing of Kodaira-Spencer (we write KS in short-form) class of projective line minus conjugates of  $\beta$ . Hence, it may not be too wild to speculate that it might be possible to successively improve on Osgood's bound, if we throw out some further classes of differential equations coming from the conditions that some corresponding Kodaira-Spencer map (or say the vector space generated by derivatives of the cross-ratios of conjugates of  $\beta$ ) has rank not more than some integer. It should be also noted that even though the KS connection holds in characteristic zero, analogue of Roth's theorem holds in the complex function field case. The Osgood bound still holds (conjectured in [V1], proved in [LdM]) by throwing out only a subclass given by 'Frobenius' equation  $\beta^q = (a\beta + b)/(c\beta + d)$ . This might be the best one can get. Similarly, the differential equation hierarchy suggested above might have some corresponding more refined hierarchy.

2.0 Though we have not succeeded yet in improving the Osgood bound unconditionally, by throwing out more classes of numbers, we prove existence of hierarchies, given by deformation theoretic conditions, of bounds, using results of [K], which we now recall: Let X be a smooth projective surface over the perfect field k. Assume that X admits a map  $f: X \to S$  to a smooth projective curve S defined over k, with function field L in such a way that the fibers of f are geometrically connected curves and the generic fiber  $X_L$  is smooth of genus  $g \geq 2$ . Consider algebraic points  $P: T \to X$  of  $X_L$ , where T is a smooth projective curve mapping to S (such that the triangle commutes). Define the canonical height of P to be  $h(P) := \deg P^*\omega/[T:S] = \langle P(T).\omega \rangle/[K(P(T)):L]$ , where  $\omega = \omega_X := K_X \otimes f^*K_S^{-1}$  denotes the relative dualising sheaf for  $X \to S$ . This is a representative for the class of height functions on  $X_L(\overline{L})$  associated to the canonical sheaf  $K_{X_L}$ . Define the relative discriminant to be d(P) := (2g(T) - 2)/[T:S] = (2g(P(T)) - 2)/[K(P(T)):L].

The Kodaira-Spencer map is constructed on any open set  $U \subset S$  over which f is smooth from the exact sequence  $0 \to f^*\Omega^1_U \to \Omega^1_{X_U} \to \Omega^1_{X_U/U} \to 0$ , by taking the coboundary map  $KS: f_*(\Omega^1_{X_U/U}) \to \Omega^1_U \otimes R^1 f_*(\mathcal{O}_{X_U})$ .

**Theorem 2.** [K] (1) Suppose the KS-map of X/S (defined on some open subset of S) is non-zero. Then  $h(P) \leq (2g-2)d(P) + O(h(P)^{1/2})$  if g > 2. If g=2, then  $h(P) \leq (2+\epsilon)d(P) + O(1)$ .

(2) Suppose the KS map of X/S has maximal rank, then  $h(P) \leq (2 + \epsilon)d(P) + O(1)$ .

2.1 The inequality in (2) was proved [Voj2] in the characteristic 0 function field analogue, without any hypothesis, by Vojta, who also conjectured [Voj1] the

stronger inequality with 2 replaced by 1 in the number field (and presumably also in the characteristic 0 function field) case.

- 2.2 From the proof in [K] of Theorem 2, it follows, in fact, that there is an hierarchy of bounds: If the rank of the kernel of the KS map is  $\leq i$ , then we have  $h(P) \leq (2g-2)d(P)/(g-i) + O(1)$ , for 0 < i < g and  $h(P) \leq (2+\epsilon)d(P) + O(1)$  for i=0.
- 3.0 We now apply this theorem to get bounds on the exponents for the diophantine approximation situation by associating to  $\beta = \beta(t)$  some curves X over F(t) and associating to its approximations some algebraic points P on them.
- Let  $f(x) = \sum_{i=0}^{d} f_i x^i$  be an irreducible polynomial with  $\beta = \beta(t)$  as a root and with  $f_i \in F[t]$  being relatively prime. Let  $F(x,y) = y^d f(x/y)$  be its homogenization. (there should be no confusion with the field F).
- 3.1 Assume p does not divide d. Let X be the (projective) Thue curve with its affine equation F(x,y)=1. Given a rational approximation x/y (reduced in the sense that  $x,y\in F[t]$  are relatively prime) to  $\beta$ , with F(x,y)=m(t), we associate the algebraic point  $P=(x/m^{1/d},y/m^{1/d})$  of X. We assume that  $F_x$  and  $F_y$  are not simultaneously zero on F=1 or F=0, so that X is non-singular and satisfies the hypothesis. Then g=(d-1)(d-2)/2, so that  $2g-2=d^2-3d$ , and [K(P(T)):L]=d. Note that  $g\geq 2$  implies that  $d\geq 4$ , which implies  $g\geq 3$ .

Now the naive height of P is  $\deg(y)$  (if  $\deg(x)$  is bigger than  $\deg(y)$ , it differs by the fixed  $\deg(\beta)$ , so the difference does not matter below, similarly we ignore  $\epsilon$ 's which do not matter at the end). Hence  $h(P) + O(h(P)^{1/2}) = (2g-2) \deg(y)/d = (d-3) \deg(y)$ .

Let  $e = E(\beta)$ . We want upper bounds for e. If x/y is an approximation approaching the exponent bound, then degree of the polynomial m(t) is asymptotically (as  $\deg(y)$  tends to infinity)  $(d-e)\deg(y)$ . Since K(P) over K is totally ramified at zeros of m and at infinity, by the Riemann-Hurwitz formula, we have (since p does not divide d)  $2g(P) - 2 \le -2d + ((d-e)\deg(y) + 1)(d-1)$ , which is asymptotic to  $(d-e)(d-1)\deg(y)$ .

Hence under the maximal rank hypothesis, the Theorem gives us  $d-3 \le 2(d-1)(d-e)/d$ . This simplifies to  $e \le d/2 + d/(d-1)$ , which is slightly worse than Osgood bound, but approaches it for large even d.

- 3.1.2 Also note that if Vojta's conjectured inequality is assumed to hold in characteristic p under the maximal rank hypothesis (this may be reasonable to do, taking into account parallel results (Remark 1 above) in the two cases), we get  $e \le 2d/(d-1)$ , which tends to the Roth bound 2 as d tends to infinity.
- 3.2 Let X have affine equation  $y^k = f(x)$ , with k relatively prime with p and d. Corresponding to a (reduced) approximation x/z, let  $P = (x/z, (m/z^d)^{1/k})$ , where m = F(x, z). Then by Riemann-Hurwitz (as p does not divide k), we have g = (d-1)(k-1)/2, so that 2g-2 = (d-1)(k-1)-2, and [K(P(T)):L] = k. We assume that g > 1.

Now the naive height is  $\deg(z)$  ( $\deg(x)$  differs by an additive constant, so it does not matter which is bigger). Hence the  $h(P) + O(h(P)^{1/2})$  is ((d-1)(k-1)-2))/k times that.

Now zeros of m and z can ramify totally, so that Riemann-Hurwitz (as p does not divide k) gives (for approximation approaching the exponent bound)  $2g(P)-2 \le -2k+(1+d-e)(k-1)\deg(z)$ , which is  $(1+d-e)(k-1)\deg(z)$  asymptotically. Hence under the maximal rank hypothesis, the Theorem gives  $(d-1)(k-1)-2 \le -2k+(1+d-e)(k-1)$ 

2(1+d-e)(k-1), which simplifies to  $e \le (d+3)/2 + 1/(k-1)$ . This is again worse than, but asymptotic to, Osgood bound.

3.2.2 In this case, if we assume Vojta's bound under the maximal rank hypothesis, then we get  $e \le 2 + 2/(k-1)$  again approaching Roth bound, this time with k approaching infinity. So we can say that e=2 under the maximal rank hypothesis and assuming the corresponding modification of Vojta's conjecture.

4.0 Similar ideas can be used to study approximation of  $\beta$  by algebraic functions of lower degree in the spirit of Wirsing's theorem [Sc3]. The setting is as follows: Let  $\beta$  as before of degree d over F(t). Now we want to see how close  $\beta$  can be to  $\alpha$  of degree r < d over F(t). Let  $\alpha$  have height H and be such that  $-\log |\beta - \alpha|/H$  is close to e. We use the curves from  $3.2 \ y^k = f(x)$  and the point  $P = (\alpha, f(\alpha)^{1/k})$  and [F(t)(P):F(t)] = kr now. Then h(P) = ((d-1)(k-1)-2)H/kr by the same calculation as before. Also the ramification of K(P) over  $K(\alpha)$  (where K = F(t)) is bounded by (1+d-e)(k-1)H. So by Riemann-Hurwitz  $2g(P)-2 < k(2g(\alpha)-2)+(1+d-e)(k-1)H$ , where  $g(\alpha)$  is the genus of  $K(\alpha)/F$ . To bound  $g(\alpha)$  apply the Castelnuovo inequality to  $K(\alpha)$  viewed as the compositum of F(t) and  $F(\alpha)$  both function fields of genus 0 together with  $[K(\alpha):F(t)]=r,[K(\alpha):F(\alpha)]=H$ . So  $g(\alpha) < Hr$  and 2g(P)-2 < 2krH+(1+d-e)(k-1)H. Finally, we can apply Theorem 2, provided the Kodaira-Spencer map is of maximal rank and get

$$((d-1)(k-1)-2)H/kr < (2+\epsilon)(2krH+(1+d-e)(k-1)H)/kr + O(1).$$

Now divide by H and make H big and  $\epsilon$  small, obtaining

$$((d-1)(k-1)-2)/kr \le 2(2kr+(1+d-e)(k-1))/kr.$$

The last inequality gives a bound for e in terms of d, r and k. If we can take k arbitrarily large it gives  $e \leq (d+3+4r)/2$ . Of course this is only interesting when r < (d-3)/4 but it seems that other methods that yield improvements on Liouville's inequality, such as Osgood's, do not give anything in this setting.

4.0.2 In this case, our finite characteristic version of Vojta's conjecture gives (under the maximal rank condition)  $e \le 2r + 2$ , for r > 1.

5.0 Now we turn to calculation of Kodaira-Spencer matrix and explicit formulae for the rank conditions.

5.1 For X as in 3.1, the basis for holomorphic differentials is  $\omega_{(a,b)} = x^a y^b (dx/F_y)$ , with  $a,b \geq 0$  and  $a+b \leq n-3$ : Differentiating F=1 (treating t as a constant for now), we get  $F_x dx + F_y dy = 0$ , hence  $dx/F_y = -dy/F_x$ . Since  $F_x$  and  $F_y$  are not simultaneously zero, one has only to look at poles at infinity. Since dx has order two pole and  $F_y$  has order n-1 pole there, the claim follows.

Since  $F_x dx + F_y dy + F_t dt = 0$ , the relative differential  $dx/F_y$  has good liftings:  $dx/F_y$  in the open set  $U_1$  where  $F_y \neq 0$  and  $-dy/F_x$  in the open set  $U_2$  where  $F_x \neq 0$ . By our assumptions  $U_1$  and  $U_2$  cover X and Cech cohomology computation shows that the map  $KS: H^0(\Omega^1_{X/S}) \to H^1(\mathcal{O}_X) \otimes \Omega^1_S$  sends  $dx/F_y$  to  $F_t dt/(F_x F_y)$ . Hence  $x^a y^b dx/F_y$  is sent to  $x^a y^b F_t dt/(F_x F_y)$ .

We calculate the  $g \times g$  matrix  $M = (m_{ij})$  of the Kodaira-Spencer map in the basis above: If  $P_k$ 's are zeros of  $F_y$ , i.e points in the complement of  $U_1$ , then since the Serre duality sends a differential on  $U_1 \cap U_2$  to the sum of its residues at  $P_k$ 's (if we use  $U_2$  instead, we get negative of this: it is well-defined only up to a sign), we have

$$m_{(a,b)(c,d)} = \sum_{k} Res_{P_k} \left(\frac{x^{a+c}y^{b+d}F_t dx}{F_y^2 F_x}\right) dt \in \Omega^1_S$$

5.2 In the situation of 3.2, now x has degree k and y has degree d, so that  $x^i dx/y^j$  is holomorphic, as long as 0 < j < k and  $(i+1)k+1 \le jd$ . Note that  $\sum_{j=1}^{k-1} \lfloor (jd-1)/k \rfloor = \sum_j jd/k - \sum_j j/k = (k(k-1)/2)d/k - (k(k-1)/2)/k = g$ , since k and d are relatively prime. Since these differentials are linearly independent, they give the basis of the holomorphic differentials.

Since  $ky^{k-1}dy = f_x dx + f_t dt$ ,  $dx/y^j$  has good liftings:  $dx/y^j$  in the open set  $U_1$  where  $y \neq 0$  and  $ky^{k-1-j}dy/f_x$  in the open set  $U_2$  where  $f_x \neq 0$ . By our assumptions  $U_1$  and  $U_2$  cover X. The Kodaira-Spencer map sends  $x^i dx/y^j$  to  $x^i f_t dt/f_x y^j$ .

Similar calculation then gives

$$m_{(i,j),(l,n)} = \sum_{s} Res_{P_s} \left(\frac{x^{i+l} f_t dx}{y^{j+n} f_x}\right) dt$$

where  $P_s$  are now zeros of y, i.e. the conjugates of  $\beta$ . In the hyper-elliptic case k = 2 (so that d and p are odd), this simplifies to

$$m_{i,l} = \sum_{s} Res_{P_s}(\frac{x^{i+l} f_t dx}{y^2 f_x}) dt = \sum_{s} \frac{P_s^{i+l} f_t(P_s)}{2 f_x(P_s)^2} dt$$

since  $y^2 = f(x)$ , so that  $f/(x-P_s)|_{P_s} = f_x(P_s)$  and the fact that  $x-P_s$  is of degree 2 gives rise to the factor of 2.

6.0 If  $\beta$  satisfies a rational Riccati equation, then we know that the KS class of Y := the projective line minus the Galois orbit of  $\beta$  is zero and hence Y is defined over  $F(t^p)$ . So for appropriate models, we have  $f_t = F_t = 0$  and since KS is independent of co-ordinates and separable base change, we see that KS is zero in this case for the examples in 3.1 and 3.2. In other words, KS is nonzero implies 'not Riccati' and hence our inequalities, using Theorem 2, follow by Osgood's result proved under weaker hypothesis. Hence, the hierarchy given in 2.2, does not give any new hierarchy (except possibly in Wirsing-type result above as well as in approximation results on non-rational base field that we get using non-rational base S in Theorem 2, where there are no earlier results), though it suggests that there is such hierarchy conjecturally, giving Vojta's inequality under the maximal rank. What are the best inequalities one can conjecture? (It is not just half the bound, because that would be Roth for q=2, on just 'not Riccati' hypothesis, and that is known to be false by the examples in [V2]). For the height inequalities, multiplier 2g-2 would be best under non-zero KS and 1 would be best under the maximal rank. (So we understand q=2 at least). What would be the best multipliers in between?

6.1 One can ask the similar question for the exponent hierarchy: But here different association of curves seem to lead to different conditions and bounds and the correct formulation is still unclear (even whether the hierarchy is finite or infinite), except it is likely that the maximal rank ('generic') gives the exponent 2 and KS non-zero would give some exponent between d/2 (attained by examples of [V2]) and Osgood bound. In this context, note that the condition that KS vanishes is independent of k. Is the maximal rank condition (or the whole hierarchy for that matter) also independent of k? Explicit calculation in 5.2 might help in deciding this.

- 6.2 It is well-known that general curves have maximal rank KS, but though most of our curves (namely Thue curves for irreducible polynomials and superhyperellptic curves with branch points consisting of Galois orbit together with infinity) are most probably of maximal rank, since bounding a rank would give a differentially closed condition, this has not been established. As a simple example, if we are in characteristic 2 and  $\beta$  of degree 4 is given by  $\beta^4 + a\beta^3 + b\beta^2 + c\beta + d = 0$ , then KS is zero (i.e.  $\beta$  satisfies Riccati) implies ac' = a'c. Now, if we can show for any d, k (sufficiently large), p that there is at least one curve  $y^k = f(x)$ , with deg f = d in characteristic p with maximal rank KS, then it is easy to show that most do: The coefficients of f satisfy a differential equation, which can be turned into an algebraic equation by writing each coefficient  $a = \sum_{0}^{p-1} a_i^p t^i$ , so getting an algebraic equation on the  $a_i$  which is not identically zero so it is not satisfied by most  $a_i$ . Our explicit calculations of KS maps may help construct such examples, but it has not been done yet.
- 6.3 We have optimistically suggested that Vojta inequality would hold in finite characteristic under the maximal KS rank hypothesis, but it may be that higher order deformation theory is needed for that.
- 7.0 Finally, we record the proof of the claim on Riccati connection (Note that vanishing of KS (i.e. having no infinitesimal deformations of first order) is equivalent in this case to vanishing of derivatives of all cross ratios of 4 conjugates): Let  $\beta \in F((1/t))$  be algebraic (and so automatically separable) of degree d over F(t), with  $\beta^d + b_{d-1}(t)\beta^{d-1} + \cdots = 0$ . Implicit differentiation gives

$$\beta' = a_n \beta^n + \dots + a_0, \ a_i \in F(t), \ a_n \neq 0, \ n \leq d - 1$$
 (1)

**Claim**: n = 2, i.e.  $\beta$  satisfies the rational Riccati equation  $\beta' = a\beta^2 + b\beta + c$ , with  $a, b, c \in F(t)$  if and only if the cross ratio of any four conjugates of  $\beta$  has zero derivative.

**Proof**: The derivative of the cross-ratio of  $\beta$ ,  $\beta_1$ ,  $\beta_2$ ,  $\beta_3$  being zero is equivalent to

$$\frac{\beta' - \beta_1'}{\beta - \beta_1} + \frac{\beta_3' - \beta_2'}{\beta_3 - \beta_2} - \frac{\beta' - \beta_2'}{\beta - \beta_2} - \frac{\beta_3' - \beta_1'}{\beta_3 - \beta_1} = 0$$
 (2)

Now conjugates  $\beta_i$  of  $\beta$  also satisfy (1). Hence

$$\frac{\beta_i' - \beta_j'}{\beta_i - \beta_i} = a_n \frac{\beta_i^n - \beta_j^n}{\beta_i - \beta_i} + \dots + a_2 \frac{\beta_i^2 - \beta_j^2}{\beta_i - \beta_i} + a_1$$

If  $a_n = 0$  for  $n \ge 3$ , the left hand side of (2) then reduces to  $a_2((\beta + \beta_1) + (\beta_3 + \beta_2) - (\beta + \beta_2) - (\beta_3 + \beta_1))$ , which is zero. This proves the 'only if' statement.

The 'if' statement will be proved by a contradiction: So we fix any 3 conjugates  $\beta_1, \beta_2, \beta_3$  and assume that for any other conjugate  $\beta$  we have

$$\sum_{m>2} a_m \left( \frac{\beta^m - \beta_1^m}{\beta - \beta_1} + \frac{\beta_3^m - \beta_2^m}{\beta_3 - \beta_2} - \frac{\beta^m - \beta_2^m}{\beta - \beta_2} - \frac{\beta_3^m - \beta_1^m}{\beta_3 - \beta_1} \right) = 0$$

Now  $(\beta^m - \beta_1^m)/(\beta - \beta_1) = \sum_{i+j=m-1} \beta^i \beta_1^j$  and  $\beta^j \beta_1^k + \beta_3^j \beta_2^k - \beta^j \beta_2^k - \beta_3^j \beta_1^k = (\beta - \beta_3)[\beta_1^k(\beta^j - \beta_3^j)/(\beta - \beta_3) - \beta_2^k(\beta^j - \beta_3^j)/(\beta - \beta_3)]$ , so that taking out the non-zero factor  $(\beta - \beta_3)(\beta_1 - \beta_2)$  we get

$$0 = \sum_{m>2} a_m \left[ \sum_{j,k>0, j+k=m-1} \frac{\beta^j - \beta_3^k}{\beta - \beta_3} \frac{\beta_1^k - \beta_2^k}{\beta_1 - \beta_2} \right]$$

Now the quantity between the square brackets is just  $\sum \beta_{i_1} \cdots \beta_{i_{m-3}}$ , where each  $\beta_i$  is one of the four conjugates. Hence we get  $0 = a_n \sum \beta_{i_1} \cdots \beta_{i_{n-3}} + a_{n-1} \sum \beta_{i_1} \cdots \beta_{i_{n-4}} + \cdots + a_3$ .

The coefficient of  $a_n$  is of degree n-3 in  $\beta_i$ 's. Subtracting a similar equation that one obtains when  $\beta$  is replaced by another conjugate  $\overline{\beta}$ , and taking out the non-zero factor  $\beta-\overline{\beta}$  we get another equation with degrees dropping by one. Continuing in this fashion with other conjugates (there are  $d-4 \geq n-3$  of them), we get  $a_n=0$ , a contradiction.

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