

Chapter 1

Difference Between Families of Weakly and Strongly Maximal Integral Lattice-Free Polytopes



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Abstract A d -dimensional closed convex set K in \mathbb{R}^d is said to be lattice-free if the interior of K is disjoint with \mathbb{Z}^d . We consider the following two families of lattice-free polytopes: the family \mathcal{L}^d of integral lattice-free polytopes in \mathbb{R}^d that are not properly contained in another integral lattice-free polytope and its subfamily \mathcal{M}^d consisting of integral lattice-free polytopes in \mathbb{R}^d which are not properly contained in another lattice-free set. It is known that $\mathcal{M}^d = \mathcal{L}^d$ holds for $d \leq 3$ and, for each $d \geq 4$, \mathcal{M}^d is a proper subfamily of \mathcal{L}^d . We derive a super-exponential lower bound on the number of polytopes in $\mathcal{L}^d \setminus \mathcal{M}^d$ (with standard identification of integral polytopes up to affine unimodular transformations).

Keywords Egyptian fraction · Hollow polytope · Lattice-free set · Lattice polytope · Maximality

1.1 Introduction

By $|X|$ we denote the cardinality of a finite set X . Let \mathbb{N} be the set of all positive integers and let $d \in \mathbb{N}$ be the dimension. Elements of \mathbb{Z}^d are called *integral points* or *integral vectors*. We call a polyhedron $P \subseteq \mathbb{R}^d$ *integral* if P is the convex hull of $P \cap \mathbb{Z}^d$. Let $\text{Aff}(\mathbb{Z}^d)$ be the group of affine transformations $A : \mathbb{R}^d \rightarrow \mathbb{R}^d$ satisfying $A(\mathbb{Z}^d) = \mathbb{Z}^d$. We call elements of $\text{Aff}(\mathbb{Z}^d)$ *affine unimodular transformations*. For a family \mathcal{X} of subsets of \mathbb{R}^d , we consider the family of equivalence classes

$$\mathcal{X} / \text{Aff}(\mathbb{Z}^d) := \{ \{ A(X) : A \in \text{Aff}(\mathbb{Z}^d) \} : X \in \mathcal{X} \}$$

with respect to identification of the elements of \mathcal{X} up to affine unimodular transformations. A subset K of \mathbb{R}^d is called *lattice-free* if K is closed, convex, d -dimensional and

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the interior of K contains no points from \mathbb{Z}^d . A set K is called *maximal lattice-free* if K is lattice-free and is not a proper subset of another lattice-free set.

Our objective is to study the relationship between the following two families of integral lattice-free polytopes:

1. The family \mathcal{L}^d of integral lattice-free polytopes P in \mathbb{R}^d such that there exists no integral lattice-free polytope properly containing P . We call elements of \mathcal{L}^d *weakly maximal* integral lattice-free polytopes.
2. The family \mathcal{M}^d of integral lattice-free polytopes P in \mathbb{R}^d such that there exists no lattice-free set properly containing P . We call the elements of \mathcal{L}^d *strongly maximal* integral lattice-free polytopes.

The family \mathcal{L}^d has applications in mixed-integer optimization, algebra and algebraic geometry; see [1, 3, 4, 13], respectively. In [2, 11] it was shown that \mathcal{L}^d is finite up to affine unimodular transformations:

Theorem 1 ([2, Theorem 2.1], [11, Corollary 1.3]) $\mathcal{L}^d / \text{Aff}(\mathbb{Z}^d)$ is finite.

Several groups of researchers are interested in enumeration of \mathcal{L}^d , up to affine unimodular transformations, in fixed dimensions. This requires understanding geometric properties of \mathcal{L}^d . Currently, no explicit description of \mathcal{L}^d is available for dimensions $d \geq 4$ and, moreover, it is even extremely hard to decide if a given polytope belongs to \mathcal{L}^d . A brute-force algorithm based on volume bounds for \mathcal{L}^d (provided in [11]) would have doubly exponential running time in d . In contrast to \mathcal{L}^d , its subfamily \mathcal{M}^d is easier to deal with. Lovász's characterization [9, Proposition 3.3] of maximal lattice-free sets leads to a straightforward geometric description of polytopes belonging to \mathcal{M}^d . This characterization can be used to decide whether a given polytope is an element of \mathcal{M}^d in only exponential time in d . Thus, while enumeration of \mathcal{M}^d in fixed dimensions is a hard task, too, enumeration of \mathcal{L}^d is even more challenging.

For a given dimension d , it is a priori not clear whether or not \mathcal{M}^d is a proper subset of \mathcal{L}^d . Recently, it has been shown that the inequality $\mathcal{M}^d = \mathcal{L}^d$ holds if and only if $d \leq 3$. The equality $\mathcal{M}^d = \mathcal{L}^d$ is rather obvious for $d \in \{1, 2\}$, as it is not hard to enumerate \mathcal{L}^d in these very small dimensions and to check that every element of \mathcal{L}^d belongs to \mathcal{M}^d . Starting from dimension three, the problem gets very difficult. Results in [1, 2] establish the equality $\mathcal{M}^3 = \mathcal{L}^3$ and enumerate \mathcal{L}^3 , up to affine unimodular transformations. As a complement, in [11, Theorem 1.4] it was shown that for all $d \geq 4$ there exists a polytope belonging to \mathcal{L}^d but not to \mathcal{M}^d .

While Theorem 1.4 in [11] shows that \mathcal{L}^d and \mathcal{M}^d are two different families, it does not provide information on the number of polytopes in \mathcal{L}^d that do not belong to \mathcal{M}^d . Relying on a result of Konyagin [6], we will show that, asymptotically, the gap between \mathcal{L}^d and \mathcal{M}^d is very large.

For $a_1, \dots, a_d > 0$, we introduce

$$\kappa(a) := \kappa(a_1, \dots, a_d) = \frac{1}{a_1} + \dots + \frac{1}{a_d}.$$

Reciprocals of positive integers are sometimes called *Egyptian fractions*. Thus, if $a \in \mathbb{N}^d$, then $\kappa(a)$ is a sum of d Egyptian fractions. We consider the set

$$\mathcal{A}_d := \{(a_1, \dots, a_d) \in \mathbb{N}^d : a_1 \leq \dots \leq a_d, \kappa(a_1, \dots, a_d) = 1\}$$

of all different solutions of the Diophantine equation

$$\kappa(x_1, \dots, x_d) = 1$$

in the unknowns $x_1, \dots, x_d \in \mathbb{N}$. The set \mathcal{A}_d represents possible ways to write 1 as a sum of d Egyptian fractions. It is known that \mathcal{A}_d is finite. Our main result allows is a lower bound on the cardinality of $(\mathcal{L}^d \setminus \mathcal{M}^d) / \text{Aff}(\mathbb{Z}^d)$:

Theorem 2 $|(\mathcal{L}^{d+5} \setminus \mathcal{M}^{d+5}) / \text{Aff}(\mathbb{Z}^{d+5})| \geq |\mathcal{A}_d|$.

The proof of Theorem 2 is constructive. This means that, for every $a \in \mathcal{A}_d$, we generate an element in $P_a \in \mathcal{L}^{d+5} \setminus \mathcal{M}^{d+5}$ such that for two different elements a and b of \mathcal{A}_d , the respective polytopes P_a and P_b do not coincide up to affine unimodular transformations. The proof of Theorem 2 is inspired by the construction in [11]. Using lower bounds on $|\mathcal{A}_d|$ from [6], we obtain the following asymptotic estimate:

Corollary 3 $\ln \ln |(\mathcal{L}^d \setminus \mathcal{M}^d) / \text{Aff}(\mathbb{Z}^d)| = \Omega\left(\frac{d}{\ln d}\right)$, as $d \rightarrow \infty$.

Note 4 We view the elements of \mathbb{R}^d as columns. By o we denote the zero vector and by e_1, \dots, e_d the standard basis of \mathbb{R}^d . If $x \in \mathbb{R}^d$ and $i \in \{1, \dots, d\}$, then x_i denotes the i -th component of x . The relation $a \leq b$ for $a, b \in \mathbb{R}^d$ means $a_i \leq b_i$ for every $i \in \{1, \dots, d\}$. The relations $\geq, >$ and $<$ on \mathbb{R}^d are introduced analogously. The abbreviations *aff*, *conv*, *int* and *relint* stand for the affine hull, convex hull, interior and relative interior, respectively.

1.2 An Approach to Construction of Polytopes in $\mathcal{L}^d \setminus \mathcal{M}^d$

We will present a systematic approach to construction of polytopes in $\mathcal{L}^d \setminus \mathcal{M}^d$, but first we discuss general maximal lattice-free sets.

Definition 5 Let P be a lattice-free polyhedron in \mathbb{R}^d . We say that a facet F of P is *blocked* if the relative interior of F contains an integral point.

Maximal lattice-free sets can be characterized as follows:

Proposition 6 ([9, Proposition 3.3]) *Let K be a d -dimensional closed convex subset of \mathbb{R}^d . Then the following conditions are equivalent:*

1. K is maximal lattice-free;
2. K is a lattice-free polyhedron such that every facet of K is blocked.

It can happen that some facets of a maximal lattice-free polyhedron are more than just blocked. We introduce a respective notion. Recall that the *integer hull* K_I of a compact convex set K in \mathbb{R}^d is defined by

$$K_I := \text{conv}(K \cap \mathbb{Z}^d).$$

Definition 7 Let P be a d -dimensional lattice-free polyhedron in \mathbb{R}^d . A facet F of P is called *strongly blocked* if F_I is $(d - 1)$ -dimensional and $\mathbb{Z}^d \cap \text{relint } F_I \neq \emptyset$. The polyhedron P is called *strongly blocked* if all facets of P are strongly blocked.

The following proposition extracts the geometric principle behind the construction from [11, Sect. 3]. (Note that arguments in [11, Sect. 3] use an algebraic language.)

Proposition 8 Let P be a strongly blocked lattice-free polytope in \mathbb{R}^d . Then $P_I \in \mathcal{L}^d$. Furthermore, if P is not integral, then $P_I \notin \mathcal{M}^d$.

Proof In order to show $P_I \in \mathcal{L}^d$ it suffices to verify that, for every $z \in \mathbb{Z}^d$ such that $\text{conv}(P_I \cup \{z\})$ is lattice-free, one necessarily has $z \in P_I$. If $z \notin P_I$, then $z \notin P$ and so, for some facet F of P , the point z and the polytope P lie on different sides of the hyperplane $\text{aff } F$. Then $\emptyset \neq \mathbb{Z}^d \cap \text{relint } F_I \subseteq \text{int}(\text{conv}(P \cup \{z\}))$, yielding a contradiction to the choice of z . Thus, for every facet F of P , z and P lie on the same side of $\text{aff } F$. It follows $z \in P$. Hence $z \in P \cap \mathbb{Z}^d \subseteq P_I$.

If P is not integral, then $P_I \notin \mathcal{M}^d$ since $P_I \subsetneq P$ and P is lattice-free. \square

1.3 Lattice-Free Axis-Aligned Simplices

For $a \in \mathbb{R}_{>0}^d$, the d -dimensional simplex

$$T(a) := \text{conv}\{o, a_1 e_1, \dots, a_d e_d\}.$$

is called *axis-aligned*. The proof of the following proposition is straightforward.

Proposition 9 For $a \in \mathbb{R}_{>0}^d$, the following statements hold:

1. the simplex $T(a)$ is a lattice-free set if and only if $\kappa(a) \geq 1$;
2. the simplex $T(a)$ is a maximal lattice-free set if and only if $\kappa(a) = 1$.

We introduce transformations which preserve the values of κ . The transformations arise from the following trivial identities for $t > 0$:

$$\frac{1}{t} = \frac{1}{t+1} + \frac{1}{t(t+1)}, \tag{1.1}$$

$$\frac{1}{t} = \frac{1}{t+2} + \frac{1}{t(t+2)} + \frac{1}{t(t+2)}, \tag{1.2}$$

$$\frac{1}{t} = \frac{2}{3t} + \frac{1}{3t}. \tag{1.3}$$

Consider a vector $a \in \mathbb{R}_{>0}^d$. By (1.1), if t is a component of a , we can replace this component with two new components $t + 1$ and $t(t + 1)$ to generate a vector $b \in \mathbb{R}_{>0}^{d+1}$ satisfying $\kappa(b) = \kappa(a)$. Identities (1.2) and (1.3) can be applied in a similar fashion. For every $d \in \mathbb{N}$, with the help of (1.1)–(1.3), we introduce the following maps:

$$\phi_d : \mathbb{R}_{>0}^d \rightarrow \mathbb{R}_{>0}^{d+1}, \quad \phi_d(a) := \begin{pmatrix} a_1 \\ \vdots \\ a_{d-1} \\ a_d + 1 \\ a_d(a_d + 1) \end{pmatrix}, \quad (1.4)$$

$$\psi_d : \mathbb{R}_{>0}^d \rightarrow \mathbb{R}_{>0}^{d+3}, \quad \psi_d(a) := \begin{pmatrix} a_1 \\ \vdots \\ a_{d-1} \\ a_d + 3 \\ a_d(a_d + 1) \\ (a_d + 1)(a_d + 3) \\ (a_d + 1)(a_d + 3) \end{pmatrix},$$

$$\xi_d : \mathbb{R}_{>0}^d \rightarrow \mathbb{R}_{>0}^{d+1} \quad \xi_d(a) := \begin{pmatrix} a_1 \\ \vdots \\ a_{d-1} \\ \frac{3}{2}a_d \\ 3a_d \end{pmatrix}. \quad (1.5)$$

The map ϕ_d replaces the component a_d by two other components based on (1.1), while ξ_d replaces a_d based on (1.3). The map ψ_d acts by replacing the component a_d based on (1.1) and then replacing the component $a_d + 1$ based on (1.2). Identities (1.1)–(1.3) imply

$$\kappa(\phi_d(a)) = \kappa(\psi_d(a)) = \kappa(\xi_d(a)) = \kappa(a). \quad (1.6)$$

Lemma 10 *Let $P = T(\xi_d(a))$, where $a \in \mathcal{A}_d$ and $d \geq 2$. Then P is a strongly blocked lattice-free $(d + 1)$ -dimensional polytope. Furthermore, if a_d is odd, P is not integral.*

Proof In this proof, we use the *all-ones vector*

$$\mathbb{1}_d := \begin{pmatrix} 1 \\ \vdots \\ 1 \end{pmatrix} \in \mathbb{R}^d.$$

For the sake of brevity we introduce the notation $t := a_d$. One has $1 = \kappa(a) = \sum_{i=1}^d \frac{1}{a_i} \geq \sum_{i=1}^d \frac{1}{t} = \frac{d}{t}$, which implies $t \geq d \geq 2$. By (1.6), one has $\kappa(\xi_d(a)) = 1$ and so, by Proposition 9, P is maximal lattice-free.

If t is even, the polytope P is integral and hence every facet of P is integral, too. In view of Proposition 6, integral maximal lattice-free polytopes are strongly blocked, and so we conclude that P is strongly blocked.

Assume that t is odd, then the polytope P has one non-integral vertex. In this case, we need to look at facets of P more closely, to verify that P is strongly blocked. We consider all facets of P .

1. The facet $F = \text{conv}\{o, a_1e_1, \dots, a_{d-1}e_{d-1}, 3te_{d+1}\}$ is a d -dimensional integral axis-aligned simplex. Since

$$\kappa(a_1, \dots, a_{d-1}, 3t) < 1,$$

the integral point $e_1 + \dots + e_{d-1} + e_{d+1}$ is in the relative interior of F . Hence, F is strongly blocked.

2. The facet $F = \text{conv}\{o, a_1e_1, \dots, a_{d-1}e_{d-1}, \frac{3}{2}te_d\}$ contains the d -dimensional integral axis-aligned simplex

$$G := \text{conv}\left\{o, a_1e_1, \dots, a_{d-1}e_{d-1}, \frac{3t-1}{2}e_d\right\},$$

as a subset. In view of $t \geq 2$, we have

$$\kappa\left(a_1, \dots, a_{d-1}, \frac{3t-1}{2}\right) < 1,$$

which implies that the integral point $e_1 + \dots + e_d$ is in the relative interior of G . It follows that F is strongly blocked.

3. The facet $F := \text{conv}\{a_1e_1, \dots, a_{d-1}e_{d-1}, \frac{3}{2}te_d, 3te_{d+1}\}$ contains the integral d -dimensional simplex

$$G := \text{conv}\left\{a_1e_1, \dots, a_{d-1}e_{d-1}, \frac{3t-1}{2}e_d + e_{d+1}, 3te_{d+1}\right\}.$$

as a subset. It turns out that $\mathbb{1}_{d+1}$ is the relative interior of G , because $\mathbb{1}_{d+1}$ is a convex combination of the vertices of $\text{relint } G$, with positive coefficients. Indeed, the equality

$$\mathbb{1}_{d+1} = \sum_{i=1}^{d-1} \frac{1}{a_i}(a_i e_i) + \lambda \left(\frac{3t-1}{2} e_d + e_{d+1} \right) + \mu (3te_{d+1})$$

holds for $\lambda = \frac{2}{3t-1}$ and $\mu = \frac{t-1}{t(3t-1)}$, where

$$\sum_{i=1}^{d-1} \frac{1}{a_i} + \lambda + \mu = 1.$$

4. It remains to consider faces F with the vertex set

$$\left\{ o, a_1 e_1, \dots, a_d e_d, \frac{3}{2} t e_d, 3 t e_{d+1} \right\} \setminus \{a_i e_i\},$$

where $i \in \{1, \dots, d+1\}$. Without loss of generality, let $i = 1$ so that

$$F = \text{conv} \left\{ o, a_2 e_2, \dots, \frac{3}{2} t e_d, 3 t e_{d+1} \right\}.$$

This facet contains the integral d -dimensional simplex

$$G := \text{conv} \left\{ o, a_2 e_2, \dots, a_{d-1} e_{d-1}, \frac{3t-1}{2} e_d + e_{d+1}, 3 t e_{d+1} \right\}.$$

Similarly to the previous case, one can check that $e_2 + \dots + e_{d+1}$ is an integral point in the relative interior of G . Consequently, F is strongly blocked. \square

1.4 Proof of the Main Result

For $d \geq 4$, Nill and Ziegler [7] construct one vector $a \in \mathbb{R}_{>0}^d$ with $T(a)_I \in \mathcal{L}^d \setminus \mathcal{M}^d$. We generalize this construction and provide many further vectors a with the above properties. We will also need to verify that for different choices of a , we get essentially different polytopes $T(a)_I$.

Lemma 11 *Let P and Q be d -dimensional strongly blocked lattice-free polytopes such that for their integral hulls the equality $Q_I = A(P_I)$ holds for some $A \in \text{Aff}(\mathbb{Z}^d)$. Then $Q = A(P)$.*

Proof Since A is an affine transformation, we have

$$A(P_I) = A(\text{conv}(P \cap \mathbb{Z}^d)) = \text{conv} A(P \cap \mathbb{Z}^d).$$

Using $A \in \text{Aff}(\mathbb{Z}^d)$, it is straightforward to check the equality $A(P \cap \mathbb{Z}^d) = A(P) \cap \mathbb{Z}^d$. We thus conclude that $A(P_I) = A(P)_I$. The assumption $Q_I = A(P_I)$ yields $Q_I = A(P)_I$. Since P is strongly blocked lattice-free, $A(P)$ too is strongly blocked lattice-free. We thus have the equality $Q_I = A(P)_I$ for strongly blocked lattice-free polytopes Q and $A(P)$. To verify the assertion, it suffices to show that a strongly blocked lattice-free polytope Q is uniquely determined by the knowledge of its integer hull Q_I . This is quite easy to see. For every strongly blocked facet G of Q_I , the affine hull of G contains a facet of Q . Conversely, if F is an arbitrary facet of Q ,

then $G = F_I$ is a strongly blocked facet of Q_I . Thus, the knowledge of Q_I allows to determine affine hulls of all facets of Q . In other words, Q_I uniquely determines a hyperplane description of Q . \square

Lemma 12 *Let $a, b \in \mathbb{R}_{>0}^d$ be such that the equality $T(b) = A(T(a))$ holds for some $A \in \text{Aff}(\mathbb{Z}^d)$. Then a and b coincide up to permutation of components.*

Proof We use induction on d . For $d = 1$, the assertion is trivial. Let $d \geq 2$. One of the d facets of $T(a)$ containing o is mapped by A to a facet of $T(b)$ that contains o . Without loss of generality we can assume that the facet $T(a_1, \dots, a_{d-1}) \times \{0\}$ of $T(a)$ is mapped to the facet $T(b_1, \dots, b_{d-1}) \times \{0\}$ of $T(b)$. By the inductive assumption, (a_1, \dots, a_{d-1}) and (b_1, \dots, b_{d-1}) coincide up to permutation of components. Since unimodular transformations preserve the volume, $T(a)$ and $T(b)$ have the same volume. This means, $\prod_{i=1}^d a_i = \prod_{i=1}^d b_i$. Consequently, $a_d = b_d$ and we conclude that a and b coincide up to permutation of components.

Proof (Proof of Theorem 2) For every $a \in \mathcal{A}_d$, we introduce the $(d + 5)$ -dimensional integral lattice-free polytope

$$P_a := T(\eta(a))_I,$$

where

$$\eta(x) := \xi_{d+4}(\psi_{d+1}(\phi_d(x)))$$

and the functions ξ_{d+4} , ψ_{d+1} and ϕ_d are defined by (1.4)–(1.5).

By (1.6) for each $a \in \mathcal{A}_d$, we have $\kappa(\eta(a)) = 1$. For $a \in \mathcal{A}_d$ the last component of $\phi_d(a)$ is even. This implies that the last component of $\psi_{d+1}(\phi_d(a))$ is odd. Thus, by Lemma 10, $T(\eta(a))$ is strongly blocked lattice-free polytope which is not integral.

Let $a, b \in \mathcal{A}_d$ be such that the polytopes P_a and P_b coincide up to affine unimodular transformations. Then, by Lemma 11, $T(\eta(a))$ and $T(\eta(b))$ coincide up to affine unimodular transformations. But then, by Lemma 12, $\eta(a)$ and $\eta(b)$ coincide up to permutations. Since the components of a and b are sorted in the ascending order, the components of $\eta(a)$ and $\eta(b)$ too are sorted in the ascending order. Thus, we arrive at the equality $\eta(a) = \eta(b)$, which implies $a = b$.

In view of Proposition 8, each P_a with $a \in \mathcal{A}_d$ belongs to \mathcal{L}^d but not to \mathcal{M}^d . Thus, the equivalence classes of the polytopes P_a with $a \in \mathcal{A}_d$ with respect to identification up to affine unimodular transformations form a subset of $(\mathcal{L}^{d+5} \setminus \mathcal{M}^{d+5}) / \text{Aff}(\mathbb{Z}^{d+5})$ of cardinality $|\mathcal{A}_d|$. This yields the desired assertion. \square

Proof (Proof of Corollary 3) The assertion is a direct consequence of Theorem 2 and the asymptotic estimate

$$\ln \ln |\mathcal{A}_d| = \Omega\left(\frac{d}{\ln d}\right)$$

of Konyagin [6, Theorem 1] (see also [5, Corollary 1.2]). \square

Remark 13 In view of the asymptotic upper bound $\ln \ln |\mathcal{A}_d| = O(d)$, determined with different degrees of precision in [8, 10] and [12, Theorem 2], the lower bound of Konyagin is optimal up to the logarithmic factor in the denominator.

Since all known elements of \mathcal{L}^d are of the form P_I , for some strongly blocked lattice-free polytope P , we ask the following:

Question 14 Do there exist polytopes $L \in \mathcal{L}^d$ which cannot be represented as $L = P_I$ for any strongly blocked lattice-free polytope P ?

If there is a gap between the families \mathcal{L}^d and the family

$$\{P_I : P \subseteq \mathbb{R}^d \text{ strongly blocked lattice-free polytope}\},$$

then it would be interesting to understand how irregular the polytopes from this gap can be. For example, one can ask the following:

Question 15 Do there exist polytopes $L \in \mathcal{L}^d$ with the property that no facet of L is blocked?

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