ON THE NUMBER OF LATTICE POINTS IN CONVEX SYMMETRIC BODIES AND THEIR DUALS

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Let $K \subset \mathbb{R}^n$ be a convex centrally symmetric bounded and absorbing set, # $(K \cap \mathbb{Z}^n)$ the number of lattice points it contains, vol(K) its standard volume, and K^* its polar convex set. We prove below that the quantity

$$\#(K \cap \mathbb{Z}^n) / (\#(K^* \cap \mathbb{Z}^n) \cdot \operatorname{vol}(K))$$

is bounded, above and below, by positive constants, depending on n but not on K (Theorem 1).

This result may be seen as an arithmetic analog of the Riemann-Roch theorem for a bundle E on a smooth projective curve C: K (resp. K^* , $\log(\#(K \cap \mathbb{Z}^n))$, $\log \operatorname{vol}(K)$) plays the role of E (resp. $\Omega^1 \otimes E^*$, $h^0(C, E)$, $\deg(E)$). One knows that Minkowski's theorem stating that $K \cap \mathbb{Z}^n \neq \{0\}$ when $\operatorname{vol}(K)$ is big enough is analogous to the theorem of Riemann that E has a nontrivial section when $\deg(E)$ is big enough. Our result completes this analogy. We also deduce several corollaries of this theorem.

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1. The main result

1.1. Let K be a convex centrally symmetric bounded and absorbing set in \mathbb{R}^n . We consider two invariants of K, the number of lattice points in K

(1)
$$M(K) = \#(K \cap \mathbb{Z}^n)$$

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and the volume of K

$$V(K) = \operatorname{vol}(K)$$

for the standard measure on \mathbb{R}^n . When n = 0 we take M(K) = V(K) = 1.

Let $\langle x, y \rangle = \sum_i x_i y_i$ be the usual inner product on \mathbb{R}^n and

(3)
$$K^* = \left\{ x \in \mathbb{R}^n; \sup_{y \in K} \langle x, y \rangle \le 1 \right\}$$

the polar body of K.

According to Bourgain and Milman [2] there is an absolute constant c > 0 such that

(4)
$$V(K)V(K^*) \ge c^n V(B_n)^2,$$

where B_n is the standard unit ball and

$$V(B_n) = 2\pi^{n/2} \bigg/ \Gamma\bigg(\frac{n}{2} + 1\bigg).$$

THEOREM 1. For any K as above

$$6^{-n} \leq \frac{M(K)}{M(K^*)V(K)} \leq 6^n c^{-n} V(B_n)^2.$$

1.2. To prove Theroem 1 it is enough to get the lower bound

(5)
$$6^{-n} \leq M(K)/(M(K^*)V(K)).$$

Indeed, assume (5) holds for all K. Applying this inequality to K^* we get

$$M(K^{**}) \leq 6^n M(K^*) V(K^*)^{-1}.$$

But $K \subset K^{**}$ so $M(K) \leq M(K^{**})$. Using (4) we conclude that

$$M(K) \le M(K^*)V(K)6^n c^{-n} V(B_n)^{-2},$$

i.e. the upper bound in Theorem 1.

1.3. REMARKS. (a) When K is an ellipsoid we have

$$V(K)V(K^*) = V(B_n)^2,$$

therefore Theorem 1 holds with c replaced by 1.

(b) By the argument in 1.2, we see that Theorem 1 remains valid if we replace K^* by the set K^{\vee} of $y \in \mathbb{R}^n$ such that, for all $x \in K$, $|\langle x, y \rangle| < 1$.

1.4. LEMMA 2. Let $I \subset \mathbf{R}$ be an interval. Then

$$#(I \subset \mathbb{Z}) \leq \sup\{\frac{3}{2}V(I), 2\}.$$

PROOF. Here V(I) is the usual length of I. Clearly

$$#(I \cap \mathbf{Z}) \le V(I) + 1.$$

The conclusion follows from the fact that $\#(I \cap \mathbb{Z})$ is an integer.

1.5. PROPOSITION 3. Assume that the finite set $K \cap Z^n$ spans the lattice \mathbb{Z}^n . Then

$$M(K)V(K^*) \le 6^n.$$

PROOF. We proceed by induction on *n*. When n = 0 this is true by convention. Assume the Proposition holds for n - 1. Let *v* be a nonzero primitive element in $K \cap \mathbb{Z}^n$. Define $\Lambda_0 = \mathbb{Z}v$, $\Lambda_1 = \Lambda/(\mathbb{Z}v)$, $E_0 = \mathbb{R}v$, $E_1 = \Lambda_1 \otimes_{\mathbb{Z}} \mathbb{R}$, $p: \mathbb{R}^n \to E_1$ the projection, $K_0 = K \cap E_0$ and $K_1 = p(K)$.

Since $p(K \cap \mathbb{Z}^n) \subset (K_1 \cap \Lambda_1)$ we get

(6)
$$M(K) = \#(K \cap \mathbb{Z}^n) \le \#(K_1 \cap \Lambda_1) \times \max_{x \in E_1} \#(p^{-1}(x) \cap K \cap \mathbb{Z}^n).$$

Given any $y \in \mathbb{Z}^n$ and x = p(y), the map

$$\varphi: \mathbf{R} \to p^{-1}(x)$$

mapping $\lambda \in \mathbf{R}$ to $\varphi(\lambda) = y + \lambda v$ is an isomorphism such that $\varphi(\mathbf{Z}) = p^{-1}(x) \cap \mathbf{Z}^n$ and $\varphi^{-1}(p^{-1}(x) \cap K)$ is an interval in **R**. From Lemma 2 we get

(7)
$$\#(p^{-1}(x) \cap K \cap \mathbb{Z}^n) \leq \sup_{x \in E_1} \{\frac{3}{2}V(p^{-1}(x) \cap K), 2\}.$$

The set $p^{-1}(0)K \cap \mathbb{Z}^n$ contains more than two elements and, by the Brunn-Minkowski theorem,

(8)
$$V(p^{-1}(x) \cap K) \leq V(p^{-1}(0) \cap K) = V(K_0).$$

Therefore, by (6), (7) and (8),

$$M(K) \leq M(K_1)^{\frac{3}{2}}V(K_0).$$

We may now apply the induction hypothesis to K_1 and the lattice Λ_1 of rank n-1. We get

(9)
$$M(K) \leq 6^{n-1} \frac{3}{2} V(K_1^*)^{-1} V(K_0).$$

Since E_0 has dimension one, we have

(10)
$$V(K_0)V(K_0^*) = 4.$$

On the other hand, again by the Brunn-Minkowski theorem (see for example [2], (3.1)),

(11)
$$V(K^*) \le V(K_1^*)V(K_0^*).$$

Using (9), (10) and (11) we conclude that

$$M(K) \le 6^{-n} V(K^*)^{-1}$$
. q.e.d.

1.6. Let us now consider a general $K \subset \mathbb{R}^n$. Let $\Lambda_0 \subset \mathbb{Z}^n$ be the lattice generated by $K^* \cap \mathbb{Z}^n$, n_0 its rank, and $E_0 = \Lambda_0 \otimes_{\mathbb{Z}} \mathbb{R} \cong \mathbb{R}^{n_0}$. Clearly

$$(12) M(K^*) = M(K^* \cap E_0)$$

and, by applying Proposition 3 to $\Lambda_0 \subset E_0$, we get

(13)
$$M(K^* \cap E_0) \leq V((K^* \cap E_0)^*)^{-1} 6^{n_0}.$$

Let $\mathring{K} = (K^*)^{\vee} \subset K$ be the set of $x \in K$ such that, for all $y \in K^*$,

 $|\langle x,y\rangle|<1.$

If $x \in \mathring{K} \cap \mathbb{Z}^n$ and $y \in K^* \cap \mathbb{Z}^n$, the integer $\langle x, y \rangle$ must vanish. Therefore x lies in the orthogonal subspace E_0^{\perp} to E_0 . We conclude that

(14)
$$M(K) \ge M(\mathring{K}) = M(\mathring{K} \cap E_0^{\perp}).$$

According to Van der Corput's variant of the Minkowski theorem ([5], II.7.2, Theorem 1 or [3], III.2.2, Theorem 2), for any $\epsilon > 0$, $M(\mathring{K} \cap E_0^{\perp}) \ge 1 + 2^{1+n_0-n} \times [V(\mathring{K} \cap E_0^{\perp}) - \epsilon]$. In particular

(15)
$$M(\mathring{K} \cap E_0^{\perp}) \ge 6^{n_0 - n} V(\mathring{K} \cap E_0^{\perp}).$$

Combining (12), (13), (14) and (15) we get

$$M(K)/M(K^*) \geq 6^{-n} V(\dot{K} \cap E_0^{\perp}) V((K^* \cap E_0)^*).$$

But $V(\dot{K} \cap E_0^{\perp}) = V(K \cap E_0^{\perp})$ and the closure of $(K^* \cap E_0)^*$ is the orthogonal projection to E_0 of the closure of K. Therefore, by Brunn-Minkowski (see [2], (3.1)),

$$V(\mathring{K} \cap E_0^{\perp})V((K^* \cap E_0)^*) \geq V(K).$$

We conclude that

$$M(K)/M(K^*) \ge 6^{-n}V(K),$$

i.e. (5) holds and Theorem 1 follows.

1.7. Notice that, when $K \cap \mathbb{Z}^n$ spans the lattice \mathbb{Z}^n , $M(K^{\vee}) = 1$. Therefore, replacing K by K^{\vee} , we see that Proposition 3 is a special case of Theorem 1.

2. Some consequences

2.1. Scaling. For any positive real number λ denote by λK the image of K by multiplication by λ in \mathbb{R}^n .

PROPOSITION 4. If $\lambda > 1$, then

$$M(K) \leq M(\lambda K) \leq \lambda^n M(K) (36)^n c^{-n} V(B_n)^{-2}.$$

PROOF. The first inequality is clear since $K \subset \lambda K$. On the other hand $(\lambda K)^*$ is contained in K^* , so, by applying Theorem 1 twice,

$$\begin{split} M(\lambda K) &\leq M((\lambda K)^*) V(\lambda K) 6^n c^{-n} V(B_n)^{-2} \\ &\leq M(K^*) V(K) \lambda^n 6^n c^{-n} V(B_n)^{-2} \\ &\leq M(K) 6^n \lambda^n 6^n c^{-n} V(B_n)^{-2}. \end{split} \qquad \text{q.e.d.} \end{split}$$

2.2. Blichfledt numbers. Let

$$B(K) = \max_{x \in \mathbb{R}^n} \# \{ K \cap (x + \mathbb{Z}^n) \}.$$

PROPOSITION 5.

$$M(K) \le B(K) \le M(K)(72)^n c^{-n} V(B_n)^{-2}.$$

PROOF. Since K is convex and centrally symmetric we have

$$M(K) \le B(K) \le M(2K).$$

We can then apply Proposition 4.

2.3. Successive minima

2.3.1. When i = 1, ..., n let

$$\lambda_i = \inf\{\lambda > 0/\mathrm{rk}(\lambda K \cap \mathbb{Z}^n) \ge i\}.$$

Assume $\lambda_k < 1$ and $\lambda_{k+1} \ge 1$ (or k = n).

PROPOSITION 6. The quotient $\lambda_1 \cdots \lambda_k / M(K)$ is bounded above and below by constants independent of K.

PROOF. Let $\Lambda_0 \subset \mathbb{Z}^n$ be the lattice generated by $K \cap \mathbb{Z}^n$ and $K_0 = K \cap (\Lambda_0 \otimes_{\mathbb{Z}} \mathbb{R})$. Since Λ_0 is generated by K_0 , we have $M(K_0^{\vee}) = 1$. Therefore, by Theorem 1 and 1.3,

$$M(K) = M(K_0) \sim V(K_0)$$

(where $a(K) \sim b(K)$ means that a/b is bounded above and below independently of K). Since $\lambda_1, \ldots, \lambda_k$ are all the successive minima of Λ_0 , we get, by Minkowski's theorem on successive minima ([5], II.9, Theorems 1 and 2),

$$\lambda_1 \cdots \lambda_k \sim V(K_0). \qquad \text{q.e.d.}$$

2.3.2. Let $\lambda_1^*, \ldots, \lambda_n^*$ be the successive minima of K^* . By a theorem of Mahler ([5], II.14.2, Theorem 5)

$$\lambda_i \lambda_{n-i}^* \sim 1.$$

This, together with $\lambda_1 \cdots \lambda_n \sim V(K)$, shows that Proposition 6 is essentially equivalent to Theorem 1.

Indeed, in the function field case, one may prove directly the analog of Proposition 6 [8] (it is an equality), and Armitage deduced from it the Riemann-Roch theorem on curves [1].

2.4. Hermitian modules

2.4.1. Let F be a number field, \mathfrak{O} its ring of integers, $d = [F, \mathbf{Q}]$ its degree, r_1 (resp. r_2) its number of real (resp. complex) places ($d = r_1 + 2r_2$), $|D_F|$ the absolute value of its discrimant over \mathbf{Q} , and Σ the set of complex imbeddings $\sigma: F \to \mathbf{C}$. A Hermitian module $\overline{M} = (M, h)$ over \mathfrak{O} is a finitely generated \mathfrak{O} module M equipped with a Hermitian scalar product h_σ on the complex vector space $M_\sigma =$ $M \otimes_A \mathbb{C}$ attached to every $\sigma \in \Sigma$. Furthermore, if $\bar{\sigma}$ is the complex conjugate of σ , $h_{\bar{\sigma}}$ should be the conjugate of h_{σ} .

Given \overline{M} as above, we denote by $\| \|_{\sigma}$ the norm defined by h_{σ} on M_{σ} (i.e. $\|x\|_{\sigma}^2 = h_{\sigma}(x,x)$) and by $h^0(M) = h^0(\overline{M}) \in \mathbb{R}^+$ the logarithm of the number of elements $m \in M$ such that, for every $\sigma \in \Sigma$, $\|m\|_{\sigma} \leq 1$. Let $n = \dim_F(M \otimes_{\mathfrak{O}} F)$ be the rank of M, and $M_{\text{tors}} \subset M$ its torsion subgroup. The *degree* of \overline{M} , $\deg(M) = \deg(\overline{M}) \in \mathbb{R}$, is defined as follows [7]. First

(16)
$$\deg(M) = \log \#(M_{\text{tors}}) + \deg(\Lambda^n(M/M_{\text{tors}}))$$

where Λ^n is the *n*-th exterior power of projective O-modules. Second, when n = 1, for any $m \in M/M_{\text{tors}}$,

(17)
$$\deg(M) = \log \#(M/\mathfrak{O}m) - \sum_{\sigma \in \Sigma} \log \|m\|_{\sigma}$$

(this number is independent of the choice of m).

The O-module

(18)
$$\omega = \operatorname{Hom}_{\mathbf{Z}}(\mathcal{O}, \mathbf{Z}),$$

where $x\varphi(y) = \varphi(xy)$ if $x, y \in O$ and $\varphi \in \omega$, has rank one. It is generated, up to torsion, by the trace $\operatorname{Tr} : O \to \mathbb{Z}$. As in [9] we fix a Hermitian metric on ω by deciding that $|\operatorname{Tr}|_{\sigma} = 1$ (resp. $|\operatorname{Tr}|_{\sigma} = 2$) if $\sigma = \overline{\sigma}$ (resp. $\sigma \neq \overline{\sigma}$).

Given \overline{M} , the O-module $M^* = \operatorname{Hom}_{\mathbb{O}}(M, \mathbb{O})$ is equipped with the dual metric, and $M^{\vee} = \omega \otimes_{\mathbb{O}} M^*$ with the tensor product of the metrics on ω and M^* .

THEOREM 2. Given any Hermitian module \overline{M} of rank n over \mathfrak{O} , the following inequalities hold:

$$-C(r_1,r_2,n) \le h^0(M) - h^0(\omega \oplus_{\mathfrak{S}} M^*) - \deg(M) - n\chi(\mathfrak{O}) \le C(r_1,r_2,n)$$

where

$$\chi(0) = r_2 \log(2) - \frac{1}{2} \log|D_F|$$

and

$$C(r_1, r_2, n) = nd \log(3) + nr_1 \log(2) - r_1 \log(V(B_n)n!) - r_2 \log(V(B_{2n})(2n)!) + \log((nd)!).$$

2.4.2. To prove Theorem 2, we first notice that the number we want to estimate is unchanged when M gets replaced by M/M_{tors} . So we may assume that M is torsion free.

Let

$$M_{\mathbf{R}} \subset \bigoplus_{\sigma \in \Sigma} M_{\sigma} = M \otimes_{\mathbf{Z}} \mathbf{C}$$

be the real subspace fixed under complex conjugation, and

(19)
$$\chi(M) = -\log \mu(M_{\mathbf{R}}/M),$$

where μ is the measure on $M_{\rm R}$ and $M_{\rm R}/M$ induced by the scalar products h_{σ} . If O has the trivial metric, we get

(20)
$$\chi(M) = \deg(M) + n\chi(0)$$

([7],[9]). The map

$$\alpha: M^{\vee} = \omega \otimes_{\mathfrak{S}} M^* \to \operatorname{Hom}_{\mathbb{Z}}(M,\mathbb{Z})$$

sending $T \otimes u$ to the composition $u \circ T$ is an isomorphism of \mathfrak{O} -modules. For any complex imbedding $\sigma: F \to \mathbf{C}$, the induced isomorphism

$$\alpha_{\sigma}: M_{\sigma}^{\vee} = \omega_{\sigma} \otimes_{\mathbf{C}} M_{\sigma}^{*} \to (\operatorname{Hom}_{\mathbf{Z}}(M, \mathbf{Z}))_{\sigma} = M_{\sigma}^{*}$$

maps $v_{\sigma} = \text{Tr} \otimes u_{\sigma}$ to u_{σ} (resp. $u_{\sigma} + \bar{u}_{\sigma}$) if $\sigma = \bar{\sigma}$ (resp. $\sigma \neq \bar{\sigma}$). Since $|\text{Tr}|_{\sigma} = 1$ (resp. 2), α_{σ} is an isometry.

Denote by $K \subset M_{\mathbb{R}}$ the set of elements x such that $||x||_{\sigma} \leq 1$ for every $\sigma \in \Sigma$. Its dual in Hom_Z($M_{\mathbb{R}}, \mathbb{R}$) is isomorphic by α^{-1} to the set $K^* \subset M_{\mathbb{R}}^{\vee}$ of elements $(v_{\sigma} = \text{Tr } \otimes u_{\sigma})$ such that, for any $(x_{\sigma}) \in K$,

$$\left|\sum_{\sigma=\bar{\sigma}}u_{\sigma}(x_{\sigma})+\sum_{\sigma\neq\bar{\sigma}}(u_{\sigma}+\bar{u}_{\sigma})(x_{\sigma})\right|\leq 1.$$

Therefore K^* is the set of $(v_{\sigma}) \in M_{\mathbf{R}}^{\vee}$ such that

$$\sum_{\sigma \in \Sigma} \|v_{\sigma}\| \le 1$$

If $V(K^*)$ is the volume of K^* for the Haar measure on $M_{\mathbb{R}}^{\vee}$ which gives M^{\vee} covolume one, Theorem 1 applied to (M^{\vee}, K^*) gives the inequality

(21)
$$\log \#(M^{\vee} \cap K^*) - \log \#(M \cap K) - \log V(K^*) \ge -nd \log(6).$$

Notice that $\log \#(M \cap K) = h^0(M)$ and

(22)
$$\log \#(M^{\vee} \cap K^*) \leq h^0(\omega \otimes_{\mathfrak{O}} M^*).$$

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If μ is the measure induced by the scalar product on $M_{\mathbf{R}}^{\vee}$, we have

(23)
$$\log V(K^*) = \chi(M^{\vee}) + \log \mu(K^*),$$

and $\mu(K^*)$ is the euclidean volume of the set of vectors $(x_i, y_j) \in (\mathbb{R}^n)^{r_1} \times (\mathbb{C}^n)^{r_2}$ such that

$$\sum_{i=1}^{r_1} |x_i| + 2 \sum_{j=1}^{r_2} |y_j| \le 1.$$

One computes

(24)
$$\mu(K^*) = 2^{2r_2n} (V(B_n)n!)^{r_1} (V(B_{2n})(2n)!)^{r_2} / ((nd)!).$$

Using (20) we get

(25)

$$\chi(M^{\vee}) = \deg(M^{\vee}) + n\chi(\mathfrak{O})$$

$$= \deg(M^{*}) + n \deg(\omega) + n\chi(\mathfrak{O})$$

$$= -\deg(M) - n\chi(\mathfrak{O}),$$

since

$$deg(\omega) = \log \#(\omega/\mathfrak{O}.\mathrm{Tr}) - \sum_{\sigma \in \Sigma} \log |\mathrm{Tr}|_{\sigma}$$
$$= \log |D_F| - 2r_2 \log(2)$$
$$= -2\chi(\mathfrak{O})$$

([6], V.2., Lemma 2; [9]).

From (21), (22), (23), (24) and (25) we conclude that

(26)
$$h^{0}(M) - h^{0}(\omega \otimes_{0} M^{*}) - \deg(M) - n\chi(0) \leq -\log \mu(K^{*}) + nd \log(6)$$

= $C(r_{1}, r_{2}, n).$

If we replace M by M^{\vee} in (26) and use (25), we obtain the lower bound in Theorem 2.

2.4.3. REMARK. When $F = \mathbf{Q}$, Theorem 2 reads (as in 1.3)

 $6\log(n) + \log(V(B_n)) \le h^0(M) - h^0(M^*) - \deg(M) \le 6\log(n) - \log(V(B_n)).$ (27)

Given F and M as in Theorem 2, we may apply (27) to M viewed as a module M_z of rank *nd* over Z. By definition, $\exp(h^0(M_z))$ is then the number of elements m in M such that

$$\sum_{\sigma\in\Sigma}\|m\|_{\sigma}^{2}\leq 1.$$

2.5. Exact sequences

2.5.1. Let F be a number field as in 2.4. For any Hermitian module \overline{M} we define

(28)
$$h^1(M) = h^0(\omega \otimes_{\mathfrak{S}} M^*).$$

Let

$$(29) 0 \to M_1 \to M_2 \to M_3 \to 0$$

be an exact sequence of finitely generated O-modules, and $(h_{2,\sigma})$ a Hermitian metric on M_2 . This metric induces metrics $(h_{1,\sigma})$ on M_1 and $(h_{3,\sigma})$ on M_3 (here we view $M_{3,\sigma}$ as the orthogonal complement to $M_{1,\sigma}$ in $M_{2,\sigma}$). We then say that we have an exact sequence of Hermitian modules

$$0 \to \overline{M}_1 \to \overline{M}_2 \to \overline{M}_3 \to 0.$$

We let n_i be the rank of M_i , i = 1, 2, 3.

PROPOSITION 7. For any exact sequence of Hermitian modules, the following inequalities hold:

(i)
$$0 \le h^0(M_1) \le h^0(M_2) \le h^0(M_1) + h^0(M_3)$$
,
(ii) $h^0(M_1) - h^0(M_2) + h^0(M_3) - h^1(M_1) \le \sum_{i=1}^3 C(r_1, r_2, n_i)$.

2.5.2. The proof of (i) is easy from the definitions. To check (ii) we apply Theorem 2 to M_1 , M_2 and M_3 :

$$h^{0}(M_{1}) - h^{0}(M_{2}) + h^{0}(M_{3}) - h^{1}(M_{1})$$

$$\leq \deg(M_{1}) + n_{1}\chi(0) - \deg(M_{2}) + n_{2}\chi(0) + \deg(M_{3}) + n_{3}\chi(0)$$

$$+ h^{0}(M_{2}^{\vee}) + h^{0}(M_{3}^{\vee}) + \sum_{i=1}^{3} C(r_{1}, r_{2}, n_{i}).$$

But the degree and the rank are additive on exact sequences. Furthermore $M_3^{\vee} \subset M_2^{\vee}$ and the metrics are compatible, therefore $h^0(M_3^{\vee}) \leq h^0(M_2^{\vee})$. This proves Proposition 7.

2.5.3. In [4] it is proved that an inequality like (ii) holds, with the right-hand side replaced by zero, when $h^0(M)$ is replaced by the logarithm of the Blichfeldt number of the unit ball, and $M_{2,\mathbf{R}}$ is equipped with the sup norm of $M_{1,\mathbf{R}}$ and $M_{3,\mathbf{R}}$ (for some **R**-linear splitting of the exact sequence; see [4] for a more general hypothesis).

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