



Minimal Polygons with Fixed Lattice Width

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Abstract. We classify the unimodular equivalence classes of inclusion-minimal polygons with a certain fixed lattice width. As a corollary, we find a sharp upper bound on the number of lattice points of these minimal polygons.

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1. Introduction and Definitions

Let $\Delta \subset \mathbb{R}^2$ be a non-empty lattice polygon, i.e., the convex hull of a finite number of lattice points in \mathbb{Z}^2 , and consider a lattice direction $v \in \mathbb{Z}^2$, i.e., a non-zero primitive vector. The lattice width of Δ in the direction v is

$$\text{lw}_v(\Delta) = \max_{P \in \Delta} \langle P, v \rangle - \min_{P \in \Delta} \langle P, v \rangle.$$

The *lattice width* of Δ is defined as $\text{lw}(\Delta) = \min_v \text{lw}_v(\Delta)$. Throughout this paper we will assume that Δ is two-dimensional, hence $\text{lw}(\Delta) > 0$. A lattice direction v that satisfies $\text{lw}_v(\Delta) = \text{lw}(\Delta)$ is called a lattice width direction of Δ .

Two lattice polygons Δ and Δ' are called (unimodularly) equivalent if and only if there exists a unimodular transformation φ , i.e., a map of the form

$$\begin{aligned} \varphi: \mathbb{R}^2 &\rightarrow \mathbb{R}^2, \\ x &\mapsto Ax + b, \quad \text{where } A \in \text{GL}_2(\mathbb{Z}), b \in \mathbb{Z}^2, \end{aligned}$$

such that $\varphi(\Delta) = \Delta'$. Equivalent lattice polygons have the same lattice width.

The lattice width of a polygon is a classical notion with connections to algebraic geometry, see for instance [8]. Its study goes back at least to 1974 [6], although the terminology is not uniform.

The lattice width of a polygon can be seen as a specific instance of the more general notion of *lattice size*, which was introduced in [3].

Definition 1.1. Let $X \subset \mathbb{R}^2$ be a subset with positive Jordan measure. Then the lattice size $\text{ls}_X(\Delta)$ of a non-empty lattice polygon Δ is the smallest $d \in \mathbb{Z}_{\geq 0}$ for which there exists a unimodular transformation φ such that $\varphi(\Delta) \subset dX$.

Note that $\text{lw}(\Delta) = \text{ls}_X(\Delta)$, where $X = \mathbb{R} \times [0, 1]$.

This paper is concerned with polygons Δ that are *minimal* in the following sense: $\text{lw}(\Delta') < \text{lw}(\Delta)$ for each lattice polygon $\Delta' \subsetneq \Delta$. Equivalently, a two-dimensional polygon Δ is minimal if and only if for each vertex P of Δ , we have that $\text{lw}(\Delta_P) < \text{lw}(\Delta)$, where

$$\Delta_P := \text{conv}((\Delta \cap \mathbb{Z}^2) \setminus \{P\}).$$

This means that removing any vertex and then taking the convex hull of the remaining lattice points always produces a polygon of smaller lattice width.

Our main result is a complete classification of minimal polygons up to unimodular equivalence, see Theorem 2.4. As a corollary, we provide a sharp upper bound on the number of lattice points of these minimal polygons. First, we show in Lemma 2.3 that each minimal polygon Δ satisfies $\text{ls}_{\square}(\Delta) = \text{lw}(\Delta)$, where

$$\square = \text{conv}\{(0, 0), (1, 0), (1, 1), (0, 1)\}.$$

The latter can also be proven using results on lattice width directions of interior lattice polygons (see [4, Lemma 5.3]), but we choose to keep the paper self-contained and have provided a different proof. Moreover, we use the technical Lemma 2.2 in the proofs of both Lemmas 2.3 and Theorem 2.4.

In the joint paper [4] with Castryck and Demeyer, we study the Betti table of the toric surface $\text{Tor}(\Delta) \subset \mathbb{P}^{\#(\Delta \cap \mathbb{Z}^2) - 1}$ for lattice polygons Δ . In particular, we present a lower bound for the length of the linear strand of this Betti table in terms of $\text{lw}(\Delta)$, which we conjecture to be sharp. To show this conjecture for polygons of a fixed lattice width, it essentially suffices to prove it for the minimal polygons (see [4, Corollary 5.2]). Hence, Theorem 2.4 allows us to check the conjecture using a computer algebra system.

Remark 1.2. Of course, the question of classifying minimal polytopes can also be asked in higher dimensions. For instance, it can be shown that each three-dimensional minimal polytope $\Delta \subset \mathbb{R}^3$ with $\text{lw}(\Delta) = 1$ is equivalent to a tetrahedron of the form

$$\text{conv}\{(0, 0, 0), (1, 0, 0), (0, 1, 0), (1, y, z)\}$$

with $1 \leq y \leq z$ and $\text{gcd}(y, z) = 1$. These include the Reeve tetrahedrons (where $y = 1$). For comparison, there is only one minimal polygon with lattice width one up to equivalence, namely the standard simplex $\text{conv}\{(0, 0), (1, 0), (0, 1)\}$.

In all dimensions $k \geq 2$, among the minimal polytopes, we find the so-called *empty lattice simplices* $\Delta \subset \mathbb{R}^k$, i.e., convex hulls of $k + 1$ lattice points without interior lattice points. If $k \geq 4$, not all empty lattice simplices have lattice width 1. For more information, see [1, 7, 9].

2. The Classification of Minimal Polygons

We use the notation from Sect. 1. The following result appears already in [2, Remark following Lemma 5.2], but can be proven in a shorter way.

Lemma 2.1. *Let $\Delta \subset \mathbb{R}^2$ be a lattice polygon with $\text{lw}(\Delta) = d$. If Δ has two linearly independent lattice width directions $v, w \in \mathbb{Z}^2$, then $ls_{\square}(\Delta) = d$.*

Proof. If v and w do not form a \mathbb{Z} -basis of \mathbb{Z}^2 , we take a primitive vector $u \in \text{conv}\{(0, 0), v, w\}$ such that v and u form a \mathbb{Z} -basis. Let Q, Q' be lattice points of Δ such that

$$\langle Q', u \rangle - \langle Q, u \rangle = \text{lw}_u(\Delta).$$

Write $u = \lambda v + \mu w$ with $0 < \lambda, \mu$ and $\lambda + \mu \leq 1$. Now

$$d \leq \text{lw}_u(\Delta) = \langle Q', (\lambda v + \mu w) \rangle - \langle Q, (\lambda v + \mu w) \rangle \leq \lambda \text{lw}_v(\Delta) + \mu \text{lw}_w(\Delta) \leq d,$$

so $\text{lw}_u(\Delta) = d$. After applying a unimodular transformation, we may assume that $u = (0, 1)$ and $v = (1, 0)$, and that Δ fits into $d\square$, hence $ls_{\square}(\Delta) = d$. \square

Lemma 2.2. *Let Δ be a lattice polygon with $\text{lw}(\Delta) = d > 0$. Let P be a vertex of Δ and $v \in \mathbb{Z}^2$ be a primitive vector. If $\text{lw}_v(\Delta_P) < d$ and $\text{lw}_v(\Delta_P) < \text{lw}_v(\Delta) - 1$, then Δ is equivalent to $\Upsilon_{d-1} := \text{conv}\{(0, 0), (1, d), (d, 1)\}$.*

Proof. Since $\text{lw}_v(\Delta_P) < \text{lw}_v(\Delta) - 1$, we have that either

$$\min_{Q \in \Delta_P} \langle v, Q \rangle > \langle v, P \rangle + 1 \quad \text{or} \quad \max_{Q \in \Delta_P} \langle v, Q \rangle < \langle v, P \rangle - 1.$$

By replacing v by $-v$, we may assume that we are in the first case. Moreover, we may choose v such that the difference $\min_{Q \in \Delta_P} \langle v, Q \rangle - \langle v, P \rangle$ is minimal but greater than one, and such that $\text{lw}_v(\Delta_P) < d$.

We apply a unimodular transformation so that $P = (0, 0)$ and $v = (0, 1)$. Let y_m (resp. y_M) be the smallest (resp. greatest) y -coordinate occurring in Δ_P . Note that $y_m = \min_{Q \in \Delta_P} \langle v, Q \rangle$ and $y_M = \max_{Q \in \Delta_P} \langle v, Q \rangle$, hence $y_m > 1$ and $y_M - y_m < d$.

Define the cone

$$C_k := \{\lambda(k, 1) + \mu(k + 1, 1) \mid \lambda, \mu \geq 0\}.$$

Since

$$\Delta \subset (\mathbb{R} \times \mathbb{R}_{>0}) \cup \{P\} = \cup_{k \in \mathbb{Z}} C_k$$

and $y_m > 1$, the polygon Δ is contained in a cone C_k for some $k \in \mathbb{Z}$. Using the unimodular transformation $(x, y) \mapsto (x - ky, y)$, we may assume that $k = 0$, i.e.,

$$\Delta \subseteq C_0 = \{\lambda(0, 1) + \mu(1, 1) \mid \lambda, \mu \geq 0\}.$$

In fact, we then have that

$$\Delta \subseteq \text{conv}\{(0, 0), (1, y_M), (y_M - 1, y_M)\}.$$

If $y_m = 2$, we have

$$y_M = (y_M - y_m) + 2 \leq d + 1.$$

The strict inequality $y_M < d+1$ is impossible as the horizontal width $\text{lw}_{(1,0)}(\Delta)$ would be less than d . So we have that $y_M = d + 1$ and

$$\Delta \subseteq \Delta' = \text{conv} \{(0, 0), (1, d + 1), (d, d + 1)\}.$$

Since $\text{lw}((\Delta')_Q) < d$ for

$$Q \in \{(1, d + 1), (d, d + 1)\},$$

we must have $\Delta = \Delta'$. This is equivalent to Υ_{d-1} via $(x, y) \mapsto (x, y - x)$.

From now on, assume that $y_m > 2$. Then $(1, 2) \notin \Delta$ which means that either

$$\Delta \subseteq \{\lambda(0, 1) + \mu(1, 2) \mid \lambda, \mu \geq 0\} \quad \text{or} \quad \Delta \subseteq \{\lambda(1, 2) + \mu(1, 1) \mid \lambda, \mu \geq 0\}.$$

We can reduce to the latter case using the transformation $(x, y) \mapsto (y - x, y)$. In fact, we can keep subdividing this cone until we find a cone C containing Δ that does not contain any lattice point with y -coordinate in $\{1, \dots, y_m - 1\}$. Let $\ell \in \mathbb{Z}$ be such that C passes in between $(\ell - 1, y_m - 1)$ and $(\ell, y_m - 1)$. Then

$$\Delta_P \subseteq \text{conv} \{(\ell, y_m - 1), (\ell, y_M), (\ell + y_M - y_m + 1, y_M)\}.$$

If x_m (resp. x_M) is the smallest (resp. greatest) x -coordinate occurring in a lattice point of Δ_P , then $2 \leq \ell \leq x_m < y_m$ and $x_M \leq \ell + y_M - y_m$, so $x_M - x_m \leq y_M - y_m < d$. But this means that $\text{lw}_{(1,0)}(\Delta_P) < d$ and

$$1 < \min_{Q \in \Delta_P} \langle (1, 0), Q \rangle < y_m = \min_{Q \in \Delta_P} \langle v, Q \rangle,$$

contradicting the minimality of v . □

Lemma 2.3. *If $\Delta \subset \mathbb{R}^2$ is a non-empty minimal lattice polygon with $\text{lw}(\Delta) = d > 0$, then $\text{ls}_{\square}(\Delta) = d$.*

Proof. By Lemma 2.1, we only have to show that there are two linearly independent lattice width directions. Suppose that v is a lattice width direction and that $Q, Q' \in \Delta \cap \mathbb{Z}^2$ such that $\langle Q, v \rangle - \langle Q', v \rangle = d$. Now let P be a vertex of Δ different from Q, Q' . By minimality of Δ , we have that $\text{lw}(\Delta_P) < d$. That means there exists a direction w such that $\text{lw}_w(\Delta_P) < d$. Because Q and Q' are still in Δ_P , w cannot be v or $-v$, so w must be linearly independent of v . If $\text{lw}_w(\Delta) = d$, we are done. If $\text{lw}_w(\Delta) > d$, then by Lemma 2.2, Δ is equivalent to $\Upsilon_{d-1} \subseteq d\square$. □

Theorem 2.4. *Let $\Delta \subset \mathbb{R}^2$ be a non-empty minimal lattice polygon with $\text{lw}(\Delta) = d$. Then Δ is equivalent to a minimal polygon of one of the following forms:*

- (T1) $\text{conv}\{(0, 0), (d, y), (x, d)\}$, where $x, y \in \{0, \dots, d\}$ satisfy $x + y \leq d$;
- (T2) $\text{conv}\{(x_1, 0), (d, y_2), (x_2, d), (0, y_1)\}$, where $x_1, x_2, y_1, y_2 \in \{1, \dots, d - 1\}$ satisfy $\max(x_2, y_2) \geq \min(x_1, y_1)$ and $\max(d - x_2, y_1) \geq \min(d - x_1, y_2)$;
- (T3) $\text{conv}\{(0, 0), (\ell, 0), (d, y + d - \ell), (x + \ell, d), (z, z + d - \ell)\}$ with $\ell \in \{2, \dots, d - 2\}$, $x \in \{1, \dots, d - \ell - 1\}$, $y, z \in \{1, \dots, \ell - 1\}$;
- (T4) $\text{conv}\{(0, 0), (z' + \ell, z'), (d, y + d - \ell), (x + \ell, d), (z, z + d - \ell)\}$ with $\ell \in \{2, \dots, d - 2\}$, $y, z \in \{1, \dots, \ell - 1\}$, $x, z' \in \{1, \dots, d - \ell - 1\}$;

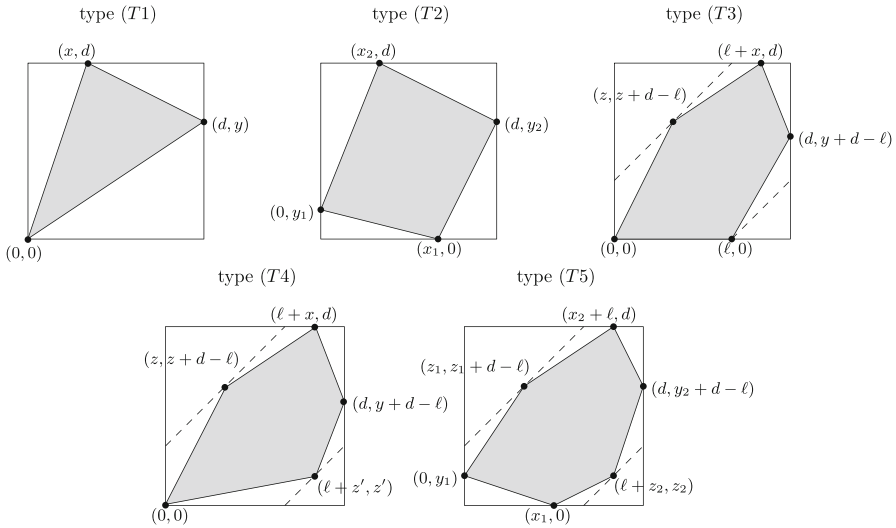


FIGURE 1. The five types in the classification

(T5) $\text{conv}\{(x_1, 0), (z_2 + \ell, z_2), (d, d - \ell + y_2), (x_2 + \ell, d), (z_1, z_1 + d - \ell), (0, y_1)\}$
 with $\ell \in \{2, \dots, d - 2\}$, $x_1, y_2, z_1 \in \{1, \dots, \ell - 1\}$, $x_2, y_1, z_2 \in \{1, \dots, d - \ell - 1\}$.

Remark 2.5. See Fig. 1 for a picture of the five types. The minimal polygons appearing in the types (T3), (T4) and (T5) are inscribed in the hexagon

$$H_\ell := \text{conv}\{(0, 0), (\ell, 0), (d, d - \ell), (d, d), (\ell, d), (0, d - \ell)\}.$$

This is also the case for the triangles of type (T1) with $(x, y) \in \{(d, 0), (0, d)\}$ (where we allow $\ell \in \{0, d\}$) and for the quadrangles of type (T2) with $\max(d - x_2, y_1) = \min(d - x_1, y_2)$.

Proof of Theorem 2.4. If $d = 0$, then Δ consists of a single point and it is of shape (T1). So assume $d \geq 1$. Because of Lemma 2.3, we may assume that $\Delta \subset d\Box = [0, d] \times [0, d]$. Moreover, we may assume that $\Delta \not\cong \Upsilon_{d-1}$ since Υ_{d-1} is of type (T1). Let P be any vertex of Δ . By Lemma 2.2, if $\text{lw}_v(\Delta_P) < d$ for some primitive vector $v \in \mathbb{Z}^2$, then $\text{lw}_v(\Delta_P) \geq \text{lw}_v(\Delta) - 1$, which together with $\text{lw}_v(\delta) \geq d$ implies $\text{lw}_v(\Delta_P) = d - 1$ and $\text{lw}_v(\Delta) = d$, hence v is a lattice width direction.

By minimality, we know that there always exists a lattice direction v satisfying $\text{lw}_v(\Delta_P) < d$. We claim that we can always take

$$v \in \{(0, 1), (1, 0), (1, 1), (1, -1)\}.$$

Indeed, suppose that $v = (v_x, v_y) \in \mathbb{Z}^2$ satisfies

$$\{v, -v\} \cap \{(0, 1), (1, 0), (1, 1), (1, -1)\} = \emptyset \quad \text{and} \quad \text{lw}_v(\Delta_P) < d.$$

After a unimodular transformation, we may assume that $0 < v_x < v_y$, hence $(1, 1) \in \text{conv}\{(0, 0), (1, 0), v\}$. Using a similar trick as in Lemma 2.1, we get that $\text{lw}_{(1,1)}(\Delta_P) < d$, which proves the claim.

Let \mathcal{V} be the set consisting of vectors $v \in \{(1, 1), (1, -1)\}$ for which there exists a vertex P of Δ with $\text{lw}_v(\Delta_P) < d$. If $\mathcal{V} = \{(1, 1), (1, -1)\}$, then Δ has 4 different lattice width directions, namely $(1, 0), (0, 1), (1, 1)$ and $(1, -1)$. By [2, Lemma 5.2(v)] or [5], this means that

$$\Delta \cong \text{conv} \{(d/2, 0), (0, d/2), (d/2, d), (d, d/2)\}$$

for some even d , hence it is of type (T2). If $\mathcal{V} = \emptyset$, we claim that Δ is of type (T1) or (T2). Indeed, for every vertex P of Δ , we have that either $\text{lw}_{(1,0)}(\Delta_P)$ or $\text{lw}_{(0,1)}(\Delta_P)$ is smaller than d . In particular, this means that there has to be a side of $d\Box$ with P as its only point in Δ . One then easily checks the claim: if Δ is a triangle, then it will be of type (T1); if it is a quadrangle, then it is of type (T2).

From now on, suppose that \mathcal{V} is not equal to \emptyset or $\{(1, 1), (1, -1)\}$, hence $\mathcal{V} = \{(1, 1)\}$ or $\mathcal{V} = \{(1, -1)\}$. We can suppose that $\mathcal{V} = \{(1, -1)\}$ using the transformation $(x, y) \mapsto (x, -y)$ if necessary. Hence, for each vertex P of Δ , there is a vector $v \in \{(1, 0), (0, 1), (1, -1)\}$ with $\text{lw}_v(\Delta_P) < d$. Since $\text{lw}_{(1,-1)}(\Delta) = d$, there exists an integer $\ell \in \{0, \dots, d\}$ such that

$$\langle Q, (1, -1) \rangle \in [\ell - d, \ell]$$

for all $Q \in \Delta$. If $\ell \in \{0, d\}$, then Δ is a triangle whose vertices are vertices of $d\Box$, so it is of the form (T1). Now assume that $\ell \in \{1, \dots, d - 1\}$, hence Δ is contained in the hexagon H_ℓ from Remark 2.5. Each side of H_ℓ contains at least one lattice point of Δ , and if it contains more than one point, it is also an edge of Δ . Otherwise, there would be a vertex P lying on exactly one side of H_ℓ , while not being the only point of Δ on that side of H_ℓ . But then there is no $v \in \{(0, 1), (1, 0), (1, -1)\}$ with $\text{lw}_v(\Delta_P) < d$ (as every side of H_ℓ contains a point of Δ_P), a contradiction.

Denote by \mathcal{S} the set of sides that Δ and H_ℓ have in common. Then \mathcal{S} cannot contain two adjacent sides S_1, S_2 : otherwise for the vertex $P = S_1 \cap S_2$, each side of H_ℓ would have a non-empty intersection with Δ_P , contradicting the fact that there is a $v \in \{(0, 1), (1, 0), (1, -1)\}$ with $\text{lw}_v(\Delta_P) < d$.

Assume that $\#\mathcal{S} \geq 2$ and take $S_1 = [Q_1, Q_2] \in \mathcal{S}$. Its adjacent sides of H_ℓ contain no points of Δ except from Q_1 and Q_2 . This implies that $\mathcal{S} = \{S_1, S_2\}$, where S_1, S_2 are opposite edges of H_ℓ , and that Δ is the convex hull of these two edges. Hence Δ is equivalent to the quadrangle

$$\text{conv} \{(\ell, 0), (d, d - \ell), (\ell, d), (0, d - \ell)\} \subset H_\ell,$$

which is of type (T2).

If \mathcal{S} consists of a single side S , we may assume that $S = [Q_1, Q_2]$ is the bottom edge of H_ℓ . Let P_1 (resp. P_2) be the vertex of Δ on the upper left diagonal side (resp. the right vertical edge) of H_ℓ . If P_1 is also on the top edge of H_ℓ (i.e., $P_1 = (\ell, d)$), then Δ has only four vertices, namely Q_1, Q_2, P_1, P_2 . Applying the transformation $(x, y) \mapsto (x, -x + y + \ell)$, we end up with a quadrangle of type (T2). By a similar reasoning, if P_2 is on the top edge of

H_ℓ (i.e., $P_2 = (d, d)$), we end up with type (T2). If neither P_1 nor P_2 is on the top edge of H_ℓ , then there is a fifth vertex P_3 on that top edge, and we are in case (T3).

The only remaining case is when $\mathcal{S} = \emptyset$, hence each edge of H_ℓ contains only one point of Δ . If H_ℓ and Δ have no common vertex, then Δ is of type (T5). If they share one vertex, we can reduce to type (T4) using a transformation if necessary. Note that two common vertices of H_ℓ and Δ can never be connected by an edge of H_ℓ as that edge would be in \mathcal{S} , so there are at most three common vertices. If there are three shared vertices, then Δ is a triangle of type (T1), again using a transformation if necessary. So assume H_ℓ and Δ share two vertices. Together these two points occupy four edges of H_ℓ and each of the other two edges of H_ℓ (call them A and B) contains exactly one vertex of Δ . Take two pairs of opposite sides of H_ℓ (so four sides in total) that together contain A and B , then they contain all vertices of Δ : since any common vertex of H_ℓ and Δ lies on two sides of H_ℓ , they cannot lie both on the sides we did not choose, as they are parallel. We can find a unimodular transformation mapping these sides into the four sides of $d\Box$, hence Δ is of type (T2). \square

Remark 2.6. From the classification in Theorem 2.4, one can easily deduce the following result from [6]: $\text{vol}(\Delta) \geq \frac{3}{8} \text{lw}(\Delta)^2$ for each lattice polygon $\Delta \subset \mathbb{R}^2$, and equality holds for minimal polygons of type (T1) with d even and $x = y = \frac{d}{2}$. For odd d , this inequality can be sharpened to

$$\text{vol}(\Delta) \geq \frac{3}{8} \text{lw}(\Delta)^2 + \frac{1}{8},$$

and equality holds for minimal polygons of type (T1) with $x = \frac{d-1}{2}$ and $y = \frac{d+1}{2}$.

Corollary 2.7. *If $\Delta \subset \mathbb{R}^2$ is a non-empty minimal lattice polygon with $\text{lw}(\Delta) = d > 1$, then*

$$\#(\Delta \cap \mathbb{Z}^2) \leq \max \left((d-1)^2 + 4, (d+1)(d+2)/2 \right).$$

Moreover, this bound is sharp.

Note that from $d = 6$ onwards $(d-1)^2 + 4$ starts winning.

Proof of Corollary 2.7. Note that there exist minimal polygons attaining the bound (see Fig. 2): the simplex $\text{conv}\{(0, 0), (d, 0), (0, d)\}$ is of type (T1) and has $(d+1)(d+2)/2$ lattice points, and the quadrangle $\text{conv}\{(1, 0), (d, 1), (d-1, d), (0, d-1)\}$ is of type (T2) and has $(d-1)^2 + 4$ lattice points.

Now let us show that we indeed have an upper bound. If Δ is minimal of type (T2), (T4) or (T5), then

$$\#(\Delta \cap \mathbb{Z}^2) \leq (d-1)^2 + 4,$$

since there are at most 4 lattice points of Δ on the boundary of $d\Box$ and all the others are in

$$(d\Box)^\circ \cap \mathbb{Z}^2 = \{1, \dots, d-1\} \times \{1, \dots, d-1\}.$$

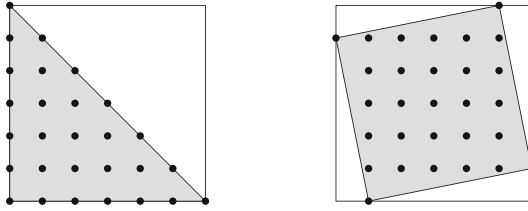


FIGURE 2. Minimal polygons attaining the upper bound

This also holds for triangles of type (T1) with x and y non-zero. If Δ is of type (T3), we obtain the same upper bound $(d-1)^2+4$ after applying a unimodular transformation that maps the bottom edge of Δ to the left upper diagonal edge of H_ℓ . We are left with triangles of type (T1) with either x or y zero. Assume that $y = 0$ (the case $x = 0$ is similar). Then Δ has the edge $[(0, 0), (d, 0)]$ in common with $d\square$ and its other vertex is (x, d) . For each $k \in \{0, \dots, d\}$, the intersection of Δ with the horizontal line on height k is a line segment of length $d - k$, hence it contains at most $d - k + 1$ lattice points. So in total, Δ has at most

$$\sum_{k=0}^d (d - k + 1) = (d + 1)(d + 2)/2$$

lattice points. □

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