

ALGEBRAIC INDEPENDENCE OF CERTAIN NUMBERS OVER A FIELD OF FINITE TRANSCENDENCE TYPE**

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Abstract

The transcendental degree of certain numbers concerned with the exponential function over a field of finite transcendence type is considered.

§ 1. Introduction

If $P \in \mathbb{C}[x_1, \dots, x_s]$ is nonzero, say $P(x_1, \dots, x_s) = \sum_{(i)} A(i)x_1^{i_1} \cdots x_s^{i_s}$, where $A(i) \in \mathbb{C}$, define $d(P) = \max_i \deg_{x_i} P$, $H(P) = \max_{(i)} |A(i)|$ and $t(P) = \max(1 + d(P), \log H(P))$. Let $\mathbf{K} \subset \mathbb{C}$ be a field. $\mathbf{K}$ is said to have a transcendence type $\leq \tau$ over $\mathbf{Q}$ ([1]) if $\mathbf{K}$ has a finite transcendence degree q over $\mathbf{Q}$, and if $\{w_1, \dots, w_q\}$ is a transcendence basis of $\mathbf{K}$ over $\mathbf{Q}$, then for all $w \in Z[w_1, \dots, w_q]$ with $w \neq 0$ one has $\log |w| \geq -c(t(w))^\tau$, where the constant $c > 0$ does not depend on w . It is well-known that $\tau \geq q + 1$.

In 1949 Gelfond ([2]) proved that certain sets of numbers related to the exponential function cannot lie in a field of transcendence degree one over $\mathbf{Q}$. In 1966 Lang ([1]) and in 1972 and 1975 Brownawell ([3, 4]) proved that certain values of the exponential function cannot all be algebraic over a field of finite transcendence type. In the present paper we obtain more general results for the same subject.

Let $a_i, b_j \in \mathbb{C}$ ($1 \leq i \leq m, 1 \leq j \leq n$), and $\mathbf{K} \subset \mathbb{C}$ be a field. We denote

$$S_1 = \{a_i, b_j, \exp(a_i b_j) \mid (1 \leq i \leq m, 1 \leq j \leq n)\},$$

$$S_2 = \{a_i, \exp(a_i b_j) \mid (1 \leq i \leq m, 1 \leq j \leq n)\},$$

$$S_3 = \{\exp(a_i b_j) \mid (1 \leq i \leq m, 1 \leq j \leq n)\},$$

and let $\mathbf{L}_i = \mathbf{K}(S_i)$ ($i = 1, 2, 3$). We put

$$d_1 = \frac{mn + m + n}{m + n}, \quad d_2 = \frac{mn + m}{m + n}, \quad d_3 = \frac{mn}{m + n}.$$

We take the following common hypotheses:

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1. $\mathbf{K} \subset \mathbf{C}$ is a field of transcendence type $\leq \tau$ over $\mathbf{Q}$;

2. $\{a_1, \dots, a_m\}$ and $\{b_1, \dots, b_n\}$ are two sets of complex numbers such that for any $\varepsilon > 0$ there is $H_0 = H_0(\varepsilon) > 0$ having the following property: for any $(u_1, \dots, u_m) \in \mathbf{Z}^m$ and $(v_1, \dots, v_n) \in \mathbf{Z}^n$ with $\max_i |u_i| \geq H_0$ and $\max_j |v_j| \geq H_0$ one has

$$\left| \sum_{i=1}^m u_i a_i \right| > \exp(-(\max_i |u_i|)^\varepsilon),$$

$$\left| \sum_{j=1}^n v_j b_j \right| > \exp(-(\max_j |v_j|)^\varepsilon).$$

Our main results are the following:

Theorem. We have

$$d_i \leq 2^{t_i} \tau \quad (i = 1, 2, 3),$$

where $t_i = \text{tr} \cdot \deg_{\mathbf{K}} \mathbf{L}_i$.

Corollary. If $2^r \tau < d_i$, where $r \geq 0$ is integral, then $t_i \geq r + 1$.

Remark. Our theorem improves the results of [5]. Furthermore, taking $r = 0$ or 1, from Corollary we deduce the results of [1, 3, 4] under slightly stronger technical assumption on a_i and b_j .

§ 2. A Criterion of Algebraic independence over a Field of Finite Transcendence Type

Lemma 1.^[6] Let $\mathbf{K} \subset \mathbf{C}$ be a field of transcendence type $\leq \tau$ over $\mathbf{Q}$, and $\{w_1, \dots, w_q\}$ be a transcendence basis of $\mathbf{K}$ over $\mathbf{Q}$. Let $g > 1$ and $g_1, g_2 > 0$ be real numbers such that $g_1 > g_2 > \left(1 - \frac{\tau}{g}\right) g_1$, and let $\sigma(N)$ ($N \geq N_0$) be a monotonically increasing sequence of positive numbers such that $\sigma(N) \rightarrow \infty$ ($N \rightarrow \infty$) and $\sigma(N+1) \leq a\sigma(N)$, where $a > 1$ is a constant. Let $\theta_1, \dots, \theta_s$ be some complex numbers. If for every integer $N \geq N_0$, there is a nonzero polynomial $P_N \in \mathbf{Z}[x_1, \dots, x_q, y_1, \dots, y_s]$ such that

$$-c_1 \sigma(N)^{g+g_1} < \log |P_N(w_1, \dots, w_q, \theta_1, \dots, \theta_s)| < -c_2 \sigma(N)^{g+g_2}$$

and $t(P_N) \leq \sigma(N)$, where $c_1, c_2 > 0$ are constants, then $g < 2^t \tau$, where $t = \text{tr} \cdot \deg_{\mathbf{K}} \mathbf{K}(\theta_1, \dots, \theta_s)$.

§ 3. Auxiliary Lemmas

Let $\mathbf{K} = \mathbf{Q}(w_1, \dots, w_q, \zeta) \subset \mathbf{C}$ be a finitely generated extension field of $\mathbf{Q}$, where $w_1, \dots, w_q, \zeta$ is a system of generators of $\mathbf{K}$ over $\mathbf{Q}$, i.e., $w_1, \dots, w_q$ are algebraically independent over $\mathbf{Q}$, and ζ is integral over $\mathbf{Z}[w_1, \dots, w_q]$. Then any element w of $\mathbf{K}$ can be written uniquely as

$$w = \sum_{i=1}^q \frac{Q_i}{R_i} \zeta^{i-1}.$$

where d is the degree of ζ over $\mathbf{Q}(w_1, \dots, w_q)$, and $Q_i, R_i \in \mathbf{Z}[w_1, \dots, w_q]$ have not common factors. Let P be the least common multiple of $R_1, \dots, R_d$. Then

$$Pw = \sum_{i=1}^d P_i \zeta^{i-1},$$

where $P_i \in \mathbf{Z}[w_1, \dots, w_q]$ ($1 \leq i \leq d$). We put

$$t(w) = \max(t(P), t(P_1), \dots, t(P_d)),$$

which is called the size of w .

Lemma 2. Let $\mathbf{K} \subset \mathbf{C}$ be as above. Then there is a constant $c_0 > 0$ depending only on $w_1, \dots, w_q, \zeta$ such that for all $(e_1, \dots, e_s) \in \mathbf{K}^s$ one has

$$t(e_1, \dots, e_s) \leq c_0(t(e_1) + \dots + t(e_s)).$$

Furthermore, if $e_i \in \mathbf{Z}[w_1, \dots, w_q, \zeta]$ ($1 \leq i \leq s$), then

$$t(e_1 + \dots + e_s) \leq \max_i t(e_i) + \log s.$$

Proof See Lemma (4.2.5) of [7].

Lemma 3. Let r and s be positive integers with $r < s$, and let $a_{ij} \in \mathbf{Z}$ ($1 \leq i \leq r$, $1 \leq j \leq s$) have absolute values at most $A \geq 1$. Then the system of equations

$$\sum_{j=1}^s a_{ij} z_j = 0 \quad (1 \leq i \leq r)$$

has a solution in integers z_j ($1 \leq j \leq s$), not all zero, with

$$|z_j| \leq (sA)^{r/(s-r)}.$$

Proof See Lemma 5.1 of [4].

Lemma 4. Let r, s, t, u, v be integers, and ξ_ν ($0 \leq \nu \leq r$) and η_σ ($0 \leq \sigma \leq t$) be some complex numbers. Put

$$E(z_1, \dots, z_s) = \sum_{\substack{0 \leq \mu_i < v \\ 0 \leq \nu_i < r}} A(\mu_1, \dots, \mu_s, \nu_1, \dots, \nu_s) z_1^{\mu_1} \dots z_s^{\mu_s} \exp(\xi_{\nu_1} z_1 + \dots + \xi_{\nu_s} z_s).$$

where $A(\mu_1, \dots, \mu_s, \nu_1, \dots, \nu_s) \in \mathbf{C}$, and set

$$a = \max_{\nu} (|\xi_\nu|, 1), \quad a_0 = \min_{\mu \neq \nu} (|\xi_\mu - \xi_\nu|, 1),$$

$$b = \max_{\sigma} (|\eta_\sigma|, 1), \quad b_0 = \min_{\rho \neq \sigma} (|\eta_\rho - \eta_\sigma|, 1),$$

$$A = \max_{\mu_i, \nu_i} |A(\mu_1, \dots, \mu_s, \nu_1, \dots, \nu_s)|,$$

$$E = \max_{\substack{0 \leq \rho_i < u \\ 0 \leq \sigma_i < t}} \left| \frac{\partial^{\rho_1 + \dots + \rho_s}}{\partial z_1^{\rho_1} \dots \partial z_s^{\rho_s}} E(\eta_{\sigma_1}, \dots, \eta_{\sigma_s}) \right|.$$

If $tu \geq 2rv + 13ab$, then

$$A \leq \left(t \cdot \left(\frac{6v}{a_0 \sqrt{r}} \max \left(6, \frac{rv}{b} \right) \right)^{rv} \cdot \left(\frac{72b}{b_0 \sqrt{t}} \right)^{tu} \right)^s \cdot E. \quad (1)$$

Proof Use the induction on s . If $s=1$, then Lemma 4 coincides with Theorem 2 of [8]. Assume that $s \geq 2$ and that for the exponential polynomial in $s-1$ variables Lemma 4 holds. We denote by $B^s \cdot E$ the expression in the right side of the inequality (1). For every pair (μ_s, ν_s) , $0 \leq \mu_s < v$, $0 \leq \nu_s < r$, we define the function

$$E_{\mu_s, \nu_s}(z_1, \dots, z_{s-1}) = \sum_{D_1} A(\mu_1, \dots, \mu_s, \nu_1, \dots, \nu_s) z_1^{\mu_1} \dots z_{s-1}^{\mu_{s-1}} \exp(\xi_{\nu_1} z_1 + \dots + \xi_{\nu_{s-1}} z_{s-1}),$$

where $D_1 = \{0 \leq \mu_i < v, 0 \leq \nu_i < r, 1 \leq i \leq s\}$. Then

$$E(z_1, \dots, z_s) = \sum_{D_2} E_{\mu_s, \nu_s}(z_1, \dots, z_{s-1}) z_s^{\mu_s} \exp(\xi_{\nu_s} z_s),$$

where $D_2 = \{0 \leq \mu_s < v, 0 \leq \nu_s < r\}$. Applying Theorem 2 of [8] to the function

$$\frac{\partial^{\rho_1+\dots+\rho_{s-1}}}{\partial z_1^{\rho_1} \dots \partial z_{s-1}^{\rho_{s-1}}} E(\eta_{\sigma_1}, \dots, \eta_{\sigma_{s-1}}, z_s), \quad 0 \leq \sigma_i < t, 0 \leq \rho_i < u, 1 \leq i \leq s,$$

we have

$$\max_{\substack{0 \leq \rho_i < u \\ 0 \leq \sigma_i < t \\ 1 \leq i \leq s}} \left| \frac{\partial^{\rho_1+\dots+\rho_{s-1}}}{\partial z_1^{\rho_1} \dots \partial z_{s-1}^{\rho_{s-1}}} E_{\mu_s, \nu_s}(\eta_{\sigma_1}, \dots, \eta_{\sigma_{s-1}}) \right| \leq BE. \quad (2)$$

Applying the inductive assumption to the function $E_{\mu_s, \nu_s}(z_1, \dots, z_{s-1})$, we see that the expression in the left side of the inequality (2) is greater than $AB^{-(s-1)}$. Therefore the inequality (1) follows.

Lemma 5. Let $T_1, \dots, T_s$ be subsets of $\mathbb{C}$, each of which contains at least t points. Let $D(0, r_1) = \{z = (z_1, \dots, z_s) \in \mathbb{C}^s \mid \max |z_i| \leq r_1\}$ be a polycylinder containing the set $T = T_1 \times \dots \times T_s$. If u is a positive integer and $f(z_1, \dots, z_s)$ is a entire function such that

$$\frac{\partial^{\rho_1+\dots+\rho_s}}{\partial z_1^{\rho_1} \dots \partial z_s^{\rho_s}} f(\eta_1, \dots, \eta_s) = 0$$

for $0 \leq \rho_i < u$ ($1 \leq i \leq s$) and $(\eta_1, \dots, \eta_s) \in T$, then for $R \geq r$ and $R > r_1$

$$\log |f|_R \leq \log |f|_r - tu \log \frac{R-r_1}{r+r_1},$$

where $|f|_r = \sup \{|f(z_1, \dots, z_s)| \mid \max_{1 \leq i \leq s} |z_i| = r\}$.

Proof See Proposition 7.2.1 of [9].

§ 4. Proof of Theorem

Let $\mathbf{L}_i = \mathbf{K}(S_i) = \mathbf{Q}(w_1, \dots, w_q, \alpha_1, \dots, \alpha_t, \zeta)$ such that

- (i) $\{w_1, \dots, w_q\}$ is a transcendence basis of $\mathbf{K}$ over $\mathbf{Q}$;
- (ii) $\{w_1, \dots, w_q, \alpha_1, \dots, \alpha_t\}$ is a transcendence basis of $\mathbf{L}_i$ over $\mathbf{Q}$;
- (iii) ζ is integral over the ring $\mathbf{Z}[w_1, \dots, w_q, \alpha_1, \dots, \alpha_t]$.

For two points $\mathbf{u} = (u_1, \dots, u_s)$ and $\mathbf{v} = (v_1, \dots, v_s)$ of $\mathbb{C}^s$, we denote $\mathbf{uv} = u_1 v_1 + \dots + u_s v_s$. Let $\mathbf{a} = (a_1, \dots, a_m)$, $\mathbf{b} = (b_1, \dots, b_n)$, $\boldsymbol{\lambda}_i = (\lambda_{i,1}, \dots, \lambda_{i,m}) \in \mathbf{Z}_{\geq 0}^m$ ($1 \leq i \leq s$), $\boldsymbol{\delta}_i = (\delta_{i,1}, \dots, \delta_{i,n}) \in \mathbf{Z}_{\geq 0}^n$ ($1 \leq i \leq s$).

Now we consider the case $i=1$.

We will adopt reduction to absurdity. We assume that $d_1 > 2^{t_1} \tau$. Let $\mu = \left\lfloor \frac{2d_1}{\tau} \right\rfloor$

and s be a parameter such that

$$s > 2(q+t_1) \cdot \max \left(\frac{m+n}{mn}, \frac{\mu}{d_1 - 2^{t_1} \tau} \right). \quad (3)$$

Let N be an integral parameter, which we will assume to be large enough. Put

$$P = \left[\frac{N^{1+\frac{m}{n}}}{\log N} \right], \quad J = [N^{\frac{m}{n}} - (1+\frac{m}{n})(q+t_1)/s_n], \quad J_1 = [3N^{\frac{m}{n}}].$$

Lemma 6. *There exists an exponential polynomial*

$$f_N(z_1, \dots, z_s) \leq \sum_{\lambda_i, \mu_i} O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s) \prod_{i=1}^s z_i^{\mu_i} \exp((\lambda_i a) z_i),$$

where $0 \leq \lambda_{i,j} < N$ ($1 \leq i \leq s$, $1 \leq j \leq m$), $0 \leq \mu_i < P$ ($1 \leq i \leq s$), such that

(i) the coefficients $O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s) \in \mathbf{Z}$, and

$$0 < \log \max_{\lambda_i, \mu_i} |O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s)| \ll N^{1+\frac{m}{n}};$$

(ii) for $0 \leq \rho_i < P$ ($1 \leq i \leq s$) and $0 \leq \delta_{i,j} < J$ ($1 \leq i \leq s$, $1 \leq j \leq n$)

$$\frac{\partial^{\rho_1+\dots+\rho_s}}{\partial z_1^{\rho_1} \dots \partial z_s^{\rho_s}} f_N(\delta_1 b, \dots, \delta_s b) = 0.$$

Proof Let $A_i, B_j, O_{i,j} \in \mathbf{Z}[w_1, \dots, w_q, \alpha_1, \dots, \alpha_{t_1}]$ be denominators of $a_i, b_j, \exp(a_i b_j)$ ($1 \leq i \leq m$, $1 \leq j \leq n$), respectively. Put $A = \prod_i A_i, B = \prod_j B_j, O = \prod_{i,j} O_{i,j}$.

Consider the system of equations for $O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s)$

$$(AB)^{sP} O^{sNJ} \frac{\partial^{\rho_1+\dots+\rho_s}}{\partial z_1^{\rho_1} \dots \partial z_s^{\rho_s}} f_N(\delta_1 b, \dots, \delta_s b) = 0, \quad (0 \leq \rho_i < P, 0 \leq \delta_{i,j} < J).$$

The expressions in the left side can be rewritten as the polynomials in $w_1, \dots, w_s, \alpha_1, \dots, \alpha_{t_1}, \zeta$, the coefficients of which are the linear forms in $O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s)$ with integral coefficients. Thus we obtain a new system of homogeneous linear equations with integral coefficients in $O(\lambda_1, \dots, \lambda_s, \mu_1, \dots, \mu_s)$. The number of unknowns $= N^{sm} P^s$, and the number of equations $\ll (NJ + P)^{q+t_1} P^s J^{sn}$. Further, by Lemma 2 the coefficients of equations have

$$\text{sizes} \ll s(NJ + P \log J + P \log N) \ll N^{1+\frac{m}{n}}.$$

Thus Lemma 6 follows by Lemma 3.

Lemma 7. *There are integers $\rho_i^{(0)}, \dots, \rho_s^{(0)}$ and integral points $\delta_1^{(0)}, \dots, \delta_s^{(0)}$ with $0 \leq \rho_i^{(0)} < P$ ($1 \leq i \leq s$) and $0 \leq \delta_{i,j}^{(0)} < J_1$ ($1 \leq i \leq s$, $1 \leq j \leq n$) such that*

$$\log \left| \frac{\partial^{\rho_1^{(0)}+\dots+\rho_s^{(0)}}}{\partial z_1^{\rho_1^{(0)}} \dots \partial z_s^{\rho_s^{(0)}}} f_N(\delta_1^{(0)} b, \dots, \delta_s^{(0)} b) \right| \gg -N^{m+1+\frac{m}{n}+s}.$$

Proof Apply Lemma 4 to the exponential polynomial $f_N(z_1, \dots, z_s)$, taking the parameters

$$\xi_i = \lambda_i a, \quad 0 \leq \lambda_{i,j} < N \quad (1 \leq i \leq s, 1 \leq j \leq m), \\ \eta_i = \delta_i b, \quad 0 \leq \delta_{i,j} < J_1 \quad (1 \leq i \leq s, 1 \leq j \leq n).$$

It is easy to see that the values in Lemma 4

$$r = N^m, \quad t = J_1^n, \quad u = P, \quad v = P, \quad a \ll N, \quad \exp(-J_1) \ll b \ll J_1,$$

$$\log a_0 \gg -N^s, \quad \log b_0 \gg -J_1^s.$$

It is clear that the condition $tu \geq 2rv + 13ab$ is satisfied here. Thus Lemma 7 follows.

Lemma 8. *We have*

$$\log \left| \frac{\partial^{\rho_1^{(0)} + \dots + \rho_s^{(0)}}}{\partial z_1^{\rho_1^{(0)}} \dots \partial z_s^{\rho_s^{(0)}}} f_N(\delta_1^{(0)} b, \dots, \delta_s^{(0)} b) \right| \ll -N^{1+m+\frac{m}{n}-2(1+\frac{m}{n})(q+t_1)/s}.$$

Proof Taking $r = n \max_i |b_i| \cdot J_1$, by the Cauchy inequality we have

$$\left| \frac{\partial^{\rho_1^{(0)} + \dots + \rho_s^{(0)}}}{\partial z_1^{\rho_1^{(0)}} \dots \partial z_s^{\rho_s^{(0)}}} f_N(\delta_1^{(0)} b, \dots, \delta_s^{(0)} b) \right| \leq \rho_1^{(0)}! \dots \rho_s^{(0)}! |f_N|_r.$$

In Lemma 5 taking $R = 7r$ and $r_1 = 2r$, and noticing the values in Lemma 5, $t = J^n$, $u = P$, we have

$$\log |f_N|_r \ll -N^{1+m+\frac{m}{n}-2(1+\frac{m}{n})(q+t_1)/s}.$$

Thereby Lemma 8 is proved.

Lemma 9. *There is a sequence of polynomials $P_N \in [x, \dots, x_q, y_1, \dots, y_{t_1+1}]$ ($N \geq N_0$) such that $t(P_N) \ll N^{1+\frac{m}{n}}$ and*

$$\begin{aligned} -N^{m+1+\frac{m}{n}+2(1+\frac{m}{n})(q+t_1)/s} &\ll \log |P_N(w_1, \dots, w_q, \alpha_1, \dots, \alpha_{t_1}, \zeta)| \\ &\ll -N^{1+m+\frac{m}{n}-2(1+\frac{m}{n})(q+t_1)/s}. \end{aligned}$$

Proof Denote

$$P_N(w_1, \dots, w_q, \alpha_1, \dots, \alpha_{t_1}, \zeta) = (AB)^{sP} O^s_N^{J_1} \frac{\partial^{\rho_1^{(0)} + \dots + \rho_s^{(0)}}}{\partial z_1^{\rho_1^{(0)}} \dots \partial z_s^{\rho_s^{(0)}}} f_N(\delta_1^{(0)} b, \dots, \delta_s^{(0)} b).$$

Lemma 9 follows from Lemma 6 and Lemma 7 with $s = 2(1 + \frac{m}{n})(q+t)/s$ and Lemma 8.

Proof of Theorem with $i=1$. In Lemma 1 taking

$$g = d_1 - \mu g_0, \quad g_1 = (\mu + 1)g_0, \quad g_2 = (\mu - 1)g_0, \quad \sigma(N) = c_3 N^{1+\frac{m}{n}},$$

where $g_0 = 2(q+t_1)/s$, and $c_3 > 0$ is a constant, we deduce that

$$d_1 - \mu g_0 < 2^{t_1} \tau.$$

It contradicts (3), therefore Theorem with $i=1$ is proved.

Since the proof for the cases $i=2, 3$ has much in common with the proof for the case $i=1$, we shall only give the form of the exponential polynomials and the main parameters.

For the case $i=2$, let

$$f_N(z_1, \dots, z_s) = \sum_{\lambda_i} O(\lambda_1, \dots, \lambda_s) \prod_{i=1}^s \exp((\lambda_i a) z_i), \quad (4)$$

where $0 \leq \lambda_{i,j} < N$ ($1 \leq i \leq s, 1 \leq j \leq m$), and put

$$P = \left[\frac{N^{\frac{m+n}{n+1}}}{\log N} \right], \quad J = \left[N^{\frac{n-1}{n+1} - (1+\frac{m}{n})(q+t_1)/s(n+1)} \right], \quad J_1 = \left[3N^{\frac{m-1}{n+1}} (\log N)^{\frac{1}{n}} \right].$$

For the case $i=3$, let $f_N(z_1, \dots, z_s)$ be as in (4), and put

$$P = 1, \quad J = \left[N^{\frac{m}{n} - (1+\frac{m}{n})(q+t_1)/s_n} \right], \quad J_1 = \left[3N^{\frac{m}{n}} \right].$$

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