

# Good's Theorem for Hurwitz continued fractions

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# Outline

## Introduction

- A failed continued fraction

## Definition of Hurwitz continued fractions

- Laws of succession and the symbolic space

## An Overview of Hurwitz Continued Fractions

- Basics

- Some Classical Theorems

  - The Theorems of Lagrange and Galois

  - Serret's Theorem

- Representation of complex numbers

- Some Approximation Properties

- Ergodic theory

## Complex Good's Theorem

- General Lemmas

- Upper bound in the complex Good's Theorem

- Lower bound in the complex Good's Theorem

- Final Remarks on the proof

## Open problem

# The Real Gauss Map

Define the following functions.

- $\lfloor \cdot \rfloor : \mathbb{R} \rightarrow \mathbb{Z}$  is the usual floor function,
- The real Gauss map is the function  $T_{\mathbb{R}} : [0, 1) \rightarrow [0, 1)$  given by

$$\forall \alpha \in [0, 1) \quad T_{\mathbb{R}}(\alpha) = \begin{cases} \alpha^{-1} - \lfloor \alpha^{-1} \rfloor, & \text{if } \alpha > 0, \\ 0, & \text{if } \alpha = 0. \end{cases}$$

- $a_1 : (0, 1) \rightarrow \mathbb{N}$  by  $a_1(\alpha) = \lfloor \alpha^{-1} \rfloor$ ,
- For  $\alpha \in (0, 1)$  and  $n \in \mathbb{N}$  such that  $T_{\mathbb{R}}^n(\alpha) \neq 0$ ,

$$a_n(\alpha) = a_1(T_{\mathbb{R}}^n(\alpha)).$$

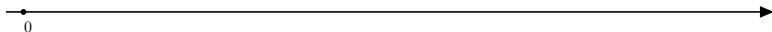
# The Real Gauss Map

For any  $\alpha \in (0, 1)$  we have that

$$\alpha = [0; a_1(x), a_2(x), \dots]_{\mathbb{R}} := \frac{1}{a_1(x) + \frac{1}{a_2(x) + \frac{1}{\ddots}}}.$$

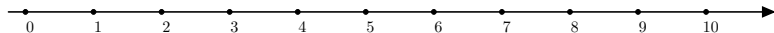
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Take  $0 < \alpha < 1$ ,  $T_{\mathbb{R}}(\alpha) = \frac{1}{\alpha} - \left\lfloor \frac{1}{\alpha} \right\rfloor = \frac{1}{\alpha} - a_1(\alpha)$ .



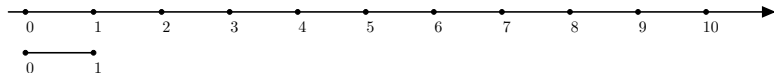
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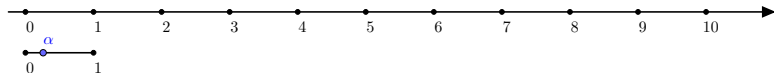
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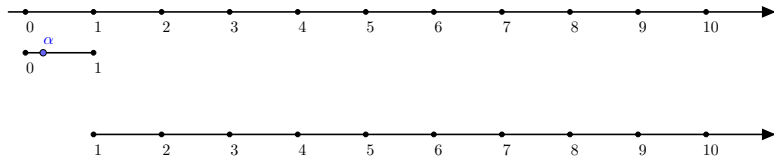
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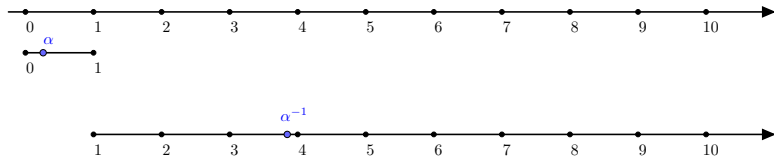
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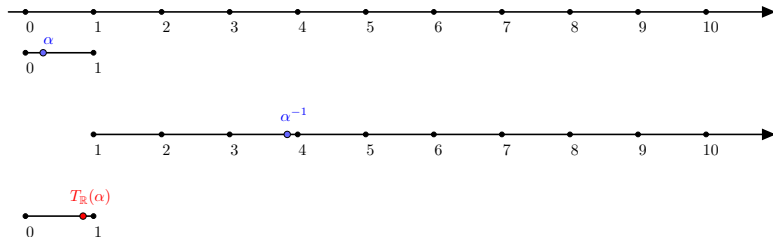
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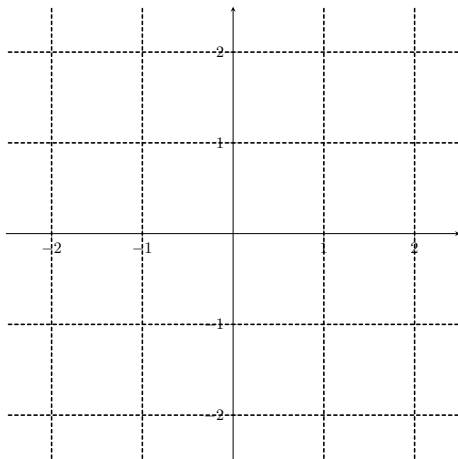
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**Goal.** Write any complex number  $z$  as a continued fraction of the form

$$z = a_0 + \frac{1}{a_1 + \frac{1}{a_2 + \frac{1}{a_3 + \ddots}}}, \quad a_n \in \mathbb{Z}[i] \text{ for all } n.$$

A failed continued fraction expansion. The partition.



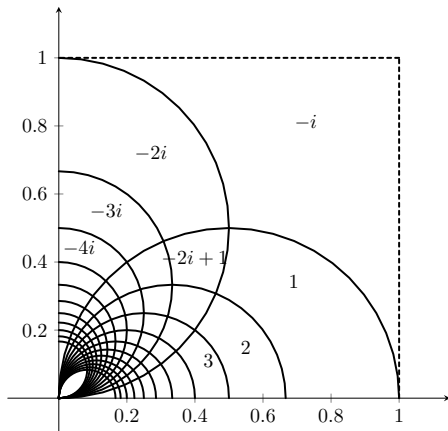
# A failed continued fraction expansion

Define

$$\mathfrak{G} := \{z \in \mathbb{C} : 0 \leq \Re(z) < 1, 0 \leq \Im z < 1\}.$$

For any  $z \in \mathfrak{G} \setminus \{0\}$  let  $a_1(z) \in \mathbb{Z}[i]$  be the unique Gaussian integer satisfying

$$\frac{1}{z} - a_1\left(\frac{1}{z}\right) \in \mathfrak{G}.$$

A failed continued fraction expansion. Partition of  $\mathfrak{S}$ .

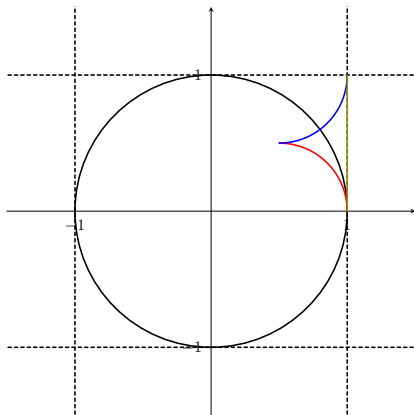
# A failed continued fraction expansion

Let  $R$  the curves

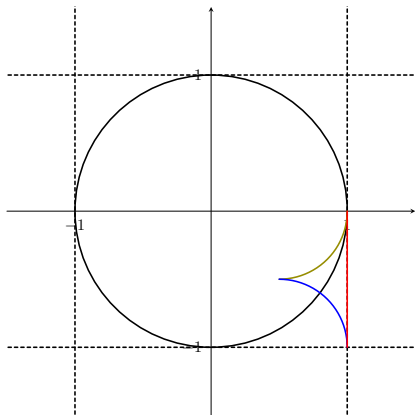
- i. The circle of radius  $\frac{1}{2}$  centered at  $\frac{1}{2}$ .
- ii. The circle of radius  $\frac{1}{2}$  centered at  $\frac{1}{2} + i$ .
- iii. The line segment joining 1 with  $1 + i$ .



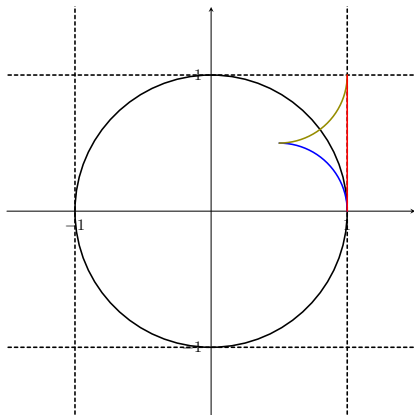
# A failed continued fraction expansion.



# A failed continued fraction expansion.



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# A failed continued fraction expansion

We cannot have  $a_n = -i$  for  $n \in \mathbb{N}$  in

$$z = 0 + \frac{1}{a_1 + \frac{1}{a_2 + \frac{1}{a_3 + \frac{1}{\ddots}}}}.$$

The nearest **Gaussian integer function**  $[\cdot] : \mathbb{C} \rightarrow \mathbb{Z}[i]$  is given by

$$\forall z \in \mathbb{C} \quad [z] := \left[ \Re(z) + \frac{1}{2} \right] + i \left[ \Im(z) + \frac{1}{2} \right].$$

## Definition

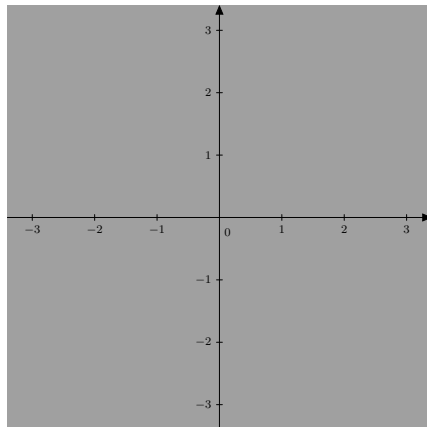
Define  $\mathfrak{F} := \{z \in \mathbb{C} : [z] = 0\}$ ,  $T : \mathfrak{F} \rightarrow \mathfrak{F}$  by

$$\forall z \in \mathfrak{F} \quad T(z) = \begin{cases} z^{-1} - [z^{-1}], & \text{if } z \neq 0, \\ 0, & \text{if } z = 0. \end{cases}$$

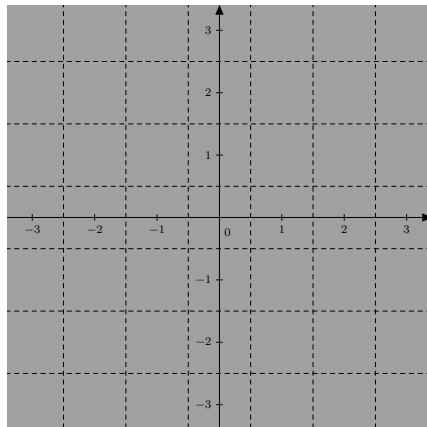
Define  $a_1 : \mathfrak{F} \setminus \{0\} \rightarrow \mathbb{Z}[i]$  by  $a_1(z) = [z^{-1}]$ ,  $a_n(z) = a_1(T^n(z))$  whenever  $T^n(z) \neq 0$ , and  $a_0 : \mathbb{C} \rightarrow \mathbb{Z}[i]$  by  $a_0(z) = [z]$ . The **Hurwitz continued fraction** of a complex number  $z$  is

$$a_0(z) + \frac{1}{a_1(z) + \frac{1}{a_2(z) + \frac{1}{a_3(z) + \ddots}}}.$$

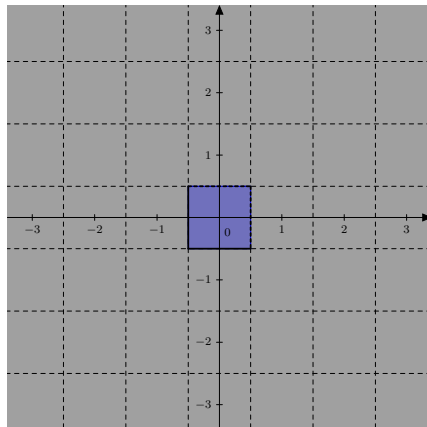
# Hurwitz Continued Fraction Process



# Hurwitz Continued Fraction Process

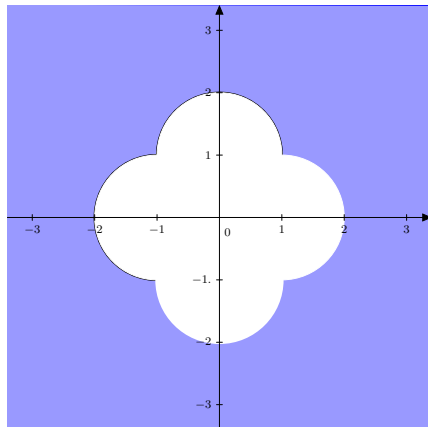


# Hurwitz Continued Fraction Process

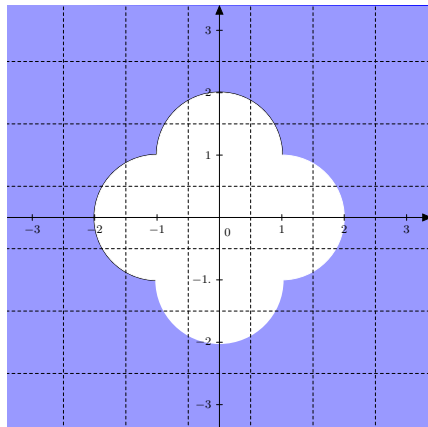




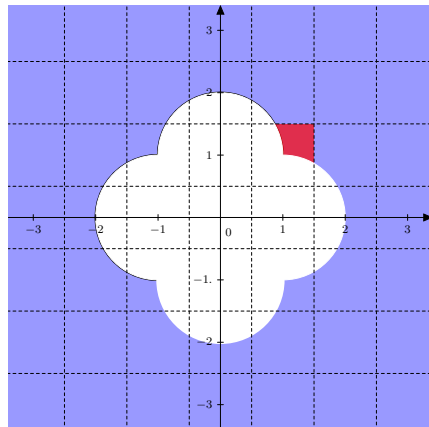
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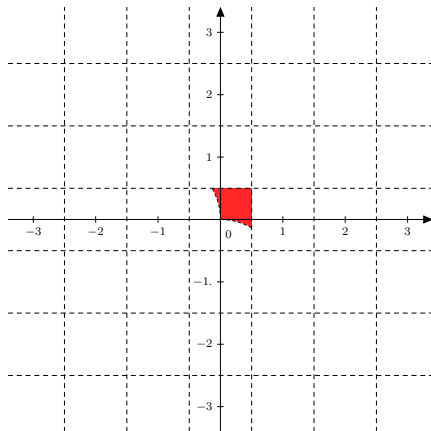
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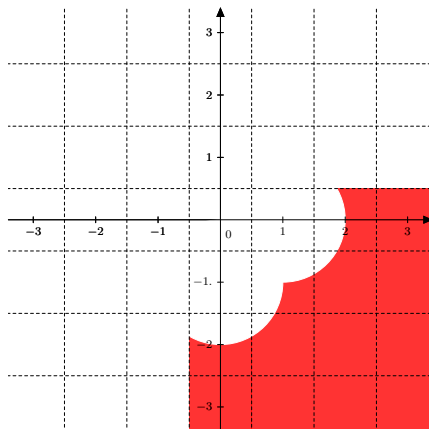
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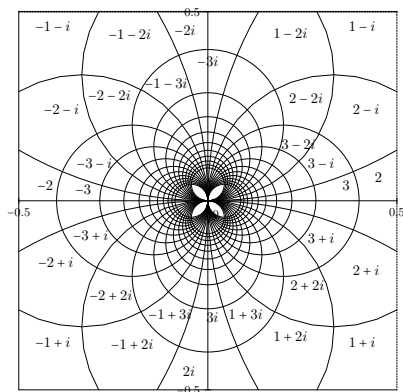
# Shift space

## Proposition

*There is no function  $M : \mathbb{Z}[i] \times \mathbb{Z}[i] \rightarrow \{0, 1\}$  such that a sequence in  $\mathbb{Z}[i]$ ,  $(a_n)_{n \geq 1}$ , is the sequence of Hurwitz elements of some  $z \in \mathfrak{F}$  if and only if*

$$\forall n \in \mathbb{N} \quad M(a_n, a_{n+1}) = 1.$$

Some aspects of the basic theory of Hurwitz continued fractions are discussed in [6], [8], [10], and [11].

Partition of  $\mathfrak{F}$  by  $a_1$ Figure 1: Partition of  $\mathfrak{F}$ .

# A basic definition

## Definition

Let  $z$  be a complex number and  $(a_n)_{n \geq 0}$  its Hurwitz elements. The  **$Q$ -pair** of  $z$  is the pair of sequences  $(p_n)_{n \geq 0}$ ,  $(q_n)_{n \geq 0}$  given by

$$\begin{pmatrix} p_{-2} & p_{-1} \\ q_{-2} & q_{-1} \end{pmatrix} = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}, \quad \begin{pmatrix} p_n \\ q_n \end{pmatrix} = \begin{pmatrix} p_{n-1} & p_{n-2} \\ q_{n-1} & q_{n-2} \end{pmatrix} \begin{pmatrix} a_n \\ 1 \end{pmatrix},$$

as long as  $a_n$  is defined.



## Theorem

Let  $z$  be any complex number,  $(a_n)_{n \geq 0}$  its Hurwitz elements, and  $(p_n)_{n \geq 0}$ ,  $(q_n)_{n \geq 0}$  its  $\mathcal{Q}$ -pair.

1. (Hurwitz, [11])  $(q_n)_{n \geq 0}$  is strictly increasing,
2. (Dani, Nogueira, [5]) There is a constant  $\kappa > 1$  such that  $|q_n| \geq \kappa^n$  whenever  $q_n$  is defined.
3. (Dani, Nogueira, [5]) If  $z \in \mathfrak{F}$ ,  $n \in \mathbb{N}$  is such that  $z_{n+1} := T^{n+1}(z) \neq 0$ , then

$$z = \frac{p_n z_{n+1}^{-1} + p_{n-1}}{q_n z_{n+1}^{-1} + q_{n-1}}.$$

4. (Hurwitz, [11]) The sequence  $(a_n)_{n \geq 0}$  is infinite if and only if  $z \in \mathbb{C} \setminus \mathbb{Q}(i)$  and in this case

$$z = [a_0; a_1, a_2, \dots] := a_0 + \frac{1}{a_1 + \frac{1}{a_2 + \frac{1}{\ddots}}}.$$

# The Theorems of Lagrange and Galois

## Theorem (S.G. Dani, A. Nogueira, 2014 [5])

*A complex number  $z$  has a periodic Hurwitz continued fraction if and only if there exist  $a, b, c \in \mathbb{Z}[i]$  such that  $a \neq 0$  and*

$$az^2 + bz + c = 0.$$

## Theorem (G.R., 2018 [8])

*Let  $\xi = [a_0; a_1, a_2, \dots]$  be quadratic over  $\mathbb{Q}(i)$  and let  $\eta \in \mathbb{C}$  be its conjugate over  $\mathbb{Q}(i)$ .*

- 1. If  $(a_n)_{n \geq 1}$  is purely periodic, then  $|\eta| < 1$ .*
- 2. If  $|\xi| > 1$ ,  $\eta \in \mathfrak{F}$ , and  $|a_n| \geq \sqrt{8}$  for all  $n \in \mathbb{N}_0$ , then  $\xi$  has a purely periodic Hurwitz continued fraction. The conditions  $\eta \in \mathfrak{F}$  and  $|a_n| \geq \sqrt{8}$  for all  $n \in \mathbb{N}_0$  cannot be removed.*

## Theorem (J.A. Serret, 1866)

Two real numbers  $\alpha = [a_0; a_1, \dots]_{\mathbb{R}}$ ,  $\beta = [b_0; b_1, \dots]_{\mathbb{R}}$  are equivalent under the action of  $\text{PGL}(2, \mathbb{Z})$  if and only if  $\alpha, \beta \in \mathbb{Q}$  or if  $\alpha, \beta \in \mathbb{R} \setminus \mathbb{Q}$  and for some  $j, k \in \mathbb{N}$  we have  $a_{j+n} = b_{k+n}$  for all  $n \in \mathbb{N}$ .

## Theorem (R. Lakein, [15], A. Lukyanenko, J. Vandehey, [16])

The complex numbers

$$\Xi = \frac{i + (43 + 28i)^{\frac{1}{2}}}{2}, \quad A = \frac{5 - i - \Xi}{4 - i}, \quad B = \frac{3 + 2i + \Xi}{4}$$

satisfy  $A = (2B - i)/(B - i)$ , but

$$A = \overline{[2 + i, 3i, -1 + 2i, -1 + 2i, 3, -2 - i]},$$

$$B = \overline{[2 + i, -2 + i, -2 + i, 1 - 2i, -1 - 2i, 1 + 2i]}.$$

However, for almost every pair  $w, z \in \mathfrak{F}$ , the numbers are  $\text{PGL}(2, \mathbb{Z}[i])$  equivalent if and only if their tails eventually coincide.

The exponent of repetition  $\text{rep}(\mathbf{a})$  is defined in [3].

### Theorem (Y. Bugeaud, 2013, [2])

Let  $\mathbf{a} = (a_n)_{n \geq 1}$  be a bounded and non-periodic sequence of natural numbers such that

$$\text{rep}(\mathbf{a}) < +\infty.$$

Then, the number  $[0; a_1, a_2, \dots]_{\mathbb{R}}$  is transcendental.

### Theorem (G.R., 2018 [8])

Let  $\mathbf{a} = (a_n)_{n \geq 1}$  be a bounded and non-periodic sequence of Gaussian integers such that

$$\text{rep}(\mathbf{a}) < +\infty, \quad \min_{n \in \mathbb{N}} |a_n| \geq \sqrt{8}.$$

Then, the complex number  $[0; a_1, a_2, \dots]$  is transcendental.

## Conjecture (Folklore Conjecture)

*An algebraic real number has a bounded regular continued fraction if and only if it is quadratic over  $\mathbb{Q}$ .*

## Theorem (W. Bosma, D. Grunewald, 2012 [1])

*For each  $n \in \mathbb{N}$  there exists  $\zeta \in \mathbb{C} \setminus \mathbb{R}$  with a bounded Hurwitz continued fraction satisfying  $[\mathbb{Q}(\zeta) : \mathbb{Q}] = 2n$ .*

## Theorem (R. Lakein, 1973, [14])

For any  $z \in \mathbb{C} \setminus \mathbb{Q}(i)$  with  $\mathcal{Q}$ -pair  $(p_n)_{n \geq 0}$ ,  $(q_n)_{n \geq 0}$ , and any  $n \in \mathbb{N}$  define  $m_n(z) \in \mathbb{C}$  by

$$z - \frac{p_n}{q_n} = \frac{1}{m_n(z)q_n^2}.$$

Then,  $\inf\{|m_n(z)| : n \in \mathbb{N}, z \in \mathbb{C} \setminus \mathbb{Q}(i)\} = 1$ .

## Corollary

For every  $z \in \mathbb{C} \setminus \mathbb{Q}(i)$  with  $\mathcal{Q}$ -pair  $(p_n)_{n \geq 0}$ ,  $(q_n)_{n \geq 0}$  and any  $n \in \mathbb{N}$

$$\left| z - \frac{p_n}{q_n} \right| < \frac{1}{|q_n|^2}.$$

Let  $z$  be a complex number. A rational complex number  $p/q$  is a **good approximation** to  $\zeta$  if

$$\forall q' \in \mathbb{Z}[i] \quad \forall p' \in \mathbb{Z}[i] \quad |q'| \leq |q| \implies |qz - p| \leq |q'z - p'|. \quad (1)$$

and  $p/q$  is a **best approximation** to  $\zeta$  if

$$\forall q' \in \mathbb{Z}[i] \quad \forall p' \in \mathbb{Z}[i] \quad |q'| < |q| \implies |qz - p| < |q'z - p'|. \quad (2)$$

### Theorem (R. Lakein, 1973 [14])

*Every HCF convergent of any  $z \in \mathbb{C}$  is a good approximation to  $z$ .  
For Lebesgue almost all  $z \in \mathbb{C}$  every HCF convergent is a best approximation.*

## Theorem (H. Nakada, 1976 [17])

*There exists a measure  $\mu$  which is equivalent to the Lebesgue measure on  $\mathfrak{F}$  and such that the system  $(\mathfrak{F}, T, \mu)$  ergodic.*

## Theorem (G.R., 2021)

*Let  $\mathbf{u} = (u_n)_{n \geq 1}$  be a sequence of positive real numbers and define*

$$E = \{z = [0; a_1, a_2, \dots] \in \mathfrak{F} : |a_n| \geq u_n \text{ for infinitely many } n \in \mathbb{N}\}.$$

*Then, if  $m$  is the Lebesgue measure on  $\mathfrak{F}$ , we have that*

$$m(E) = \begin{cases} 0, & \text{if } \sum_{n \in \mathbb{N}} u_n^{-2} < +\infty, \\ 1, & \text{if } \sum_{n \in \mathbb{N}} u_n^{-2} = +\infty. \end{cases}$$



## Theorem (I.J. Good, 1941 [9])

*The following equality holds*

$$\dim_H \left\{ z = [a_0; a_1, a_2, \dots]_{\mathbb{R}} \in \mathbb{R} : \lim_{n \rightarrow \infty} a_n = +\infty \right\} = \frac{1}{2}.$$

## Theorem (G.R., 2018 [7])

*The following equality holds*

$$\dim_H \left\{ z = [a_0; a_1, a_2, \dots] \in \mathbb{C} : \lim_{n \rightarrow \infty} |a_n| = +\infty \right\} = 1.$$

Let  $(X, d)$  be a complete metric space. Let  $\mathcal{A} = \bigcup_{n \in \mathbb{N}_0} \mathcal{A}_n$  be a family of compact sets such that each  $\mathcal{A}_n$  is finite,  $\#\mathcal{A}_0 = 1$ , and

- i.  $\forall A \in \mathcal{A} \quad |A| > 0$ ,
- ii.  $\forall n \in \mathbb{N} \quad \forall A, B \in \mathcal{A}_n \quad (A = B) \vee (A \cap B = \emptyset)$ ,
- iii.  $\forall n \in \mathbb{N} \quad \forall B \in \mathcal{A}_n \quad \exists A \in \mathcal{A}_{n-1} \quad B \subseteq A$ ,
- iv.  $\forall n \in \mathbb{N} \quad \forall A \in \mathcal{A}_{n-1} \quad \exists B \in \mathcal{A}_n \quad B \subseteq A$ ,
- v.  $d_n(\mathcal{A}) := \max\{|A| : A \in \mathcal{A}_n\} \rightarrow 0$  as  $n \rightarrow \infty$ .

For each  $n \in \mathbb{N}_0$  and each  $A \in \mathcal{A}_n$ , put

$$D(A) = \{B \in \mathcal{A}_{n+1} : B \subseteq A\}.$$

The **limit set** of  $\mathcal{A}$ ,  $\mathbf{A}_\infty$ , is

$$\mathbf{A}_\infty := \bigcap_{n=0}^{\infty} \bigcup_{A \in \mathcal{A}_n} A.$$

(See strongly tree-like structure in [13]).

## Lemma (First Generalized Jarník Lemma)

Let  $\mathcal{A}$  be as above and assume that it satisfies the following conditions:

1.  $\liminf_{n \rightarrow \infty} \frac{\log(d_n(\mathcal{A})^{-1})}{n} > 0$ ,
2. There is a sequence of positive numbers  $(B_n)_{n \geq 1}$  such that

$$\forall n \in \mathbb{N} \quad \forall A \in \mathcal{A}_n \quad Y, Z \in D(A) \quad Y \neq Z \implies d(Y, Z) \geq B_n |A|$$

$$\limsup_{n \rightarrow \infty} \frac{\log \log(B_n^{-1})}{n} < 1$$

If  $s > 0$  satisfies

$$\forall n \in \mathbb{N} \quad \forall A \in \mathcal{A}_n \quad \sum_{B \in D(A)} |B|^s \geq |A|^s. \quad (3)$$

then  $\dim_H \mathbf{A}_\infty \geq s$ .

## Lemma (Second Generalized Jarník Lemma)

Let  $\mathcal{A}$  be as above. If  $s > 0$  is such that

$$\forall k \in \mathbb{N} \quad \forall A \in \mathcal{A}_k \quad \sum_{B \in D(A)} |B|^s \leq |A|^s, \quad (4)$$

then  $\dim_H \mathbf{A}_\infty \leq s$ .

# “Proof” of the first lemma

1. We show that there exists  $c > 0$  such that any finite collection  $\mathfrak{X} \subseteq \mathcal{A}$  that covers  $\mathbf{A}_\infty$  satisfies

$$\sum_{A \in \mathfrak{X}} |A|^s \geq c.$$

2. For each open covering  $\mathcal{G}$  of  $\mathbf{A}_\infty$  and any  $\varepsilon > 0$  we find some finite  $\mathfrak{X} \subseteq \mathcal{A}$  that covers  $\mathbf{A}_\infty$  and

$$c < \sum_{A \in \mathfrak{X}} |A|^s \leq \sum_{G \in \mathcal{G}} |G|^{s-\varepsilon}.$$

3. Conclude.

# “Proof” of the upper bound

Write

$$E := \{z = [0; a_1, a_2, \dots] \in \mathfrak{F} : \lim_{n \rightarrow \infty} |a_n| = +\infty\}.$$

For any  $L > 0$  define

$$E'_L := \left\{ [0; a_1, a_2, \dots] \in \mathfrak{F} : \liminf_{n \rightarrow \infty} |a_n| \geq L \right\},$$

$$E_L := \left\{ [0; a_1, a_2, \dots] \in \mathfrak{F} : \inf_{n \rightarrow \infty} |a_n| \geq L \right\}.$$

then  $E_L \subseteq E'_L$  and  $\dim_H E_L \leq \dim_H E'_L$ . Some basic properties of Hausdorff dimension yield

$$\forall L \in \mathbb{R}_{>0} \quad \dim_H E_L = \dim_H E'_L.$$

Using the First Generalized Jarník Lemma we get that

$$\lim_{L \rightarrow \infty} \dim_H E_L \leq 1.$$

Since  $E \subseteq E'_L$  for all  $L > 0$ ,

$$\dim_H E \leq 1.$$

For any  $z \in \mathbb{C}$  write  $\|z\| = \max\{|\Re(z)|, |\Im(z)|\}$ .

## Lemma

Let  $f, g; \mathbb{N} \rightarrow \mathbb{R}_{>0}$  be to functions with the following properties:

1. There is some  $c' \in (0, 1)$  such that

$$\forall n \in \mathbb{N} \quad \sqrt{8} \leq f(n) \leq c'g(n),$$

2.  $\lim_{n \rightarrow \infty} f(n) = +\infty$ ,

3.  $\limsup_{n \rightarrow \infty} \frac{\log \log g(n)}{\log n} < 1$ .

Then, the set

$$E_{f,g} := \{[0; a_1, a_2, \dots] \in \mathfrak{F}' : \forall n \in \mathbb{N} \quad f(n) \leq \|a_n\| \leq g(n)\}$$

satisfies  $\dim_H E_{f,g} \geq 1$ .

## Proof of the Lemma.

**Notation.** For  $n \in \mathbb{N}$  and  $\mathbf{a} = (a_1, \dots, a_n) \in \mathbb{Z}[i]^n$  the **cylinder** determined by  $\mathbf{a}$  is

$$\mathcal{C}_n(\mathbf{a}) := \{z = [0; a_1(z), a_2(z), \dots] \in \mathfrak{F} : a_1(z) = a_1, \dots, a_n(z) = a_n\},$$

and  $\overline{\mathcal{C}_n(\mathbf{a})}$  is its closure. Note that for some absolute constant  $\kappa > 1$  such that  $|\mathcal{C}_n(\mathbf{a})| < \kappa^{-n}$ .

**Proof of the Lemma.** Define  $\mathcal{A}_0 = \{\overline{\mathfrak{F}}\}$  and for any  $n \in \mathbb{N}$

$$\mathcal{A}_n := \{\overline{\mathcal{C}_n(\mathbf{a})} : \mathbf{a} \in \mathbb{Z}[i]^n, \forall j \in \{1, \dots, n\} \quad f(j) \leq \|a_j\| \leq g(j)\}.$$

Apply the First Generalized Jarník Lemma to  $\mathcal{A} = \bigcup_{n \in \mathbb{N}_0} \mathcal{A}_n$  and to an arbitrary  $0 < s < 1$  and conclude.



## Remarks on the proof

1. When we assume that  $z = [0; a_1, a_2, \dots] \in \mathfrak{F}$  satisfies  $|a_n| \geq \sqrt{8}$  for all  $n$ , we get rid of the complicated structure of the associated shift space.
2. The computations with  $\max\{|\Re(z)|, |\Im(z)|\}$  are simpler than with  $|z|$ . This is also used in the proof of the complex Borel-Bernstein Theorem.
3. In an ongoing collaboration with Rafael Alcaraz Barrera, we adapted the strategy to the context of distal sets for the Lüroth map.

Fix  $t_0 \geq 1$ . Given  $\psi : [t_0, +\infty) \rightarrow \mathbb{R}_{>0}$ , the set  $D(\psi)$  of  $\psi$ -Dirichlet numbers is the collection of  $x \in \mathbb{R}$  such that for every large  $t > 0$  there are  $p, q \in \mathbb{Z}$  such that

$$|qx - p| < \psi(t), \quad 0 < |q| < t.$$

**Theorem (D. Kleinbock, N. Wadleigh, 2018 [12])**

*If  $\psi : [t_0, \infty) \rightarrow \mathbb{R}_{\geq 0}$  is non-increasing and  $\psi(t) < t^{-1}$  for every large  $t$ , then  $D(\psi) \neq \mathbb{R}$ .*

**Theorem (N. Chevallier, 2021 [4])**

*Let  $z$  be any complex number. For every  $Q \geq 1$  there exist  $p, q \in \mathbb{Z}[i]$  such that*

$$0 < |q| < Q, \quad |qz - p| \leq \frac{\sqrt{2}}{3 - \sqrt{3}} \frac{1}{Q}.$$

**Problem**

*Is there a complex analogue of the Kleinbock-Wadleigh Theorem?*

Thank you for your attention.



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