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Salma Kuhlmann



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Salma Kuhlmann



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Providence, Rhode Island

The Fields Institute for Research in Mathematical Sciences

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ABSTRACT. We provide a detailed valuation theoretic description of ordered fields which admit an exponential function. In particular, we analyze the structure of the non-archimedean models of \mathcal{o} -minimal expansions of the reals, in which the exponential function is definable. We apply our results to study the Hardy fields associated to such expansions. The appendix presents the model theory of the value groups of ordered exponential fields.

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10 9 8 7 6 5 4 3 2 1 05 04 03 02 01 00

à mes soeurs
Magda, Nawal
Farida et Amira

et mes filles
Anna Noura et Naila

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Il faut faire de la vie
un rêve
et du rêve
une réalité

Marie Curie

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Contents

Introduction	xiii
Chapter 0. Preliminaries on valued and ordered modules	1
1. Valued modules	1
2. Valuation independence	5
3. Ordered modules	7
Chapter 1. Non-archimedean exponential fields	15
1. The natural valuation of an ordered field	15
2. The skeleton of $(K^{>0}, \cdot, 1, <)$	18
3. Formally exponential fields	22
4. Lexicographic (de)composition of exponentials	24
5. Exponentiation in power series fields	27
6. Extensions and maximality	29
7. The structure theory for countable exponential fields	31
Chapter 2. Valuation theoretic interpretation of the growth and Taylor axioms	33
1. The axiom schemes (GA) and (T)	33
2. (GA)-exponentials and the value group	34
3. Lifting exp from the residue field	36
4. (T)-exponentials on the infinitesimals	37
5. Conclusion	39
6. Countable exponential fields with growth properties	40
7. Natural contractions arising from logarithms	44
Chapter 3. The exponential rank	49
1. Convex valuations	49
2. The exponential analogue of the rank	52
3. (GA)- and (T_1) -prelogarithms	53
4. The shift map ζ_ℓ	56
5. Characterization of the exponential and the principal exponential rank	61
Chapter 4. Construction of exponential fields	65
1. w -Logarithmic cross-sections	65
2. A combinatorial result and its consequences	67
3. Existence of logarithmic cross-sections	70
4. From prelogarithms to logarithms	73
Chapter 5. Models for the elementary theory of the reals with restricted analytic functions and exponentiation	77
1. Twisting a group cross-section by an automorphism	77

2. The exponential-logarithmic power series field	79
3. Models of arbitrary principal exponential rank	83
Chapter 6. Exponential Hardy fields	89
1. Some basic valuation theory	89
2. Hardy fields	92
3. Value groups	97
4. The Hardy field of a polynomially bounded + (exp) expansion	98
5. Exponential boundedness	101
6. Levels	102
7. The Crucial Lemma for models of T_{an}	103
8. Residue fields of \mathcal{F} -exp-log-closures	107
9. A truncation free solution to the Hardy problem	111
10. Undefinability of the Riemann ζ -function	113
Appendix A. The model theory of contraction groups	117
1. Preliminaries	117
2. Cuts in ordered Abelian groups	118
3. Ordered abelian groups with contractions	120
4. Weak o-minimality	136
Bibliography	155
Index	159
List of Notation	163

Introduction

The aim of this monograph is to describe the models of the elementary theory of an o-minimal expansion of the reals in which the exponential function is definable. We focus on polynomially bounded $+$ (exp) expansions (cf. Section 4 of Chapter 6). Important examples of such expansions are: the expansion by restricted analytic functions and the unrestricted exponential function (cf. [D–M–M1]), the expansion by convergent generalized power series and the unrestricted exponential function (in which the Riemann ζ -function restricted to $(1, \infty)$ is definable: cf. [D–S1]), and the expansion by multisummable real power series and the unrestricted exponential function (in which the Γ -function restricted to $(0, \infty)$ is definable: cf. [D–S2]).

The notion of o-minimality (cf. Section 2 of Chapter 6) was introduced by van den Dries in [D3], while studying the expansion (\mathbb{R}, \exp) of the ordered field of the real numbers by the real exponential function. Van den Dries observed that the subsets of the cartesian products \mathbb{R}^n which are parametrically definable in an o-minimal expansion of \mathbb{R} share many of the geometric properties of semi-algebraic sets. For example, a semi-algebraic set has only finitely many connected components, each of them semi-algebraic (cf. [CO]). Van den Dries showed that this result remains true if one replaces “semi-algebraic” by “parametrically definable in an o-minimal expansion of \mathbb{R} ” (cf. also *cell-decomposition* for o-minimal structures [K–P–S]). This is a *finiteness theorem*, and van den Dries has set out as a goal to explain the other finiteness phenomena in real algebraic and real analytic geometry as consequences of o-minimality (cf. [D4]). The breakthrough was achieved with Wilkie’s results on the o-minimality of the reals with exponentiation (cf. [W1]). He showed that the expansion of \mathbb{R} by Pfaffian functions *restricted to the closed unit box* (i.e., the functions are set to be identically zero outside the unit box) has a model complete theory. This result may be viewed as a strong refinement of Gabrielov’s Theorem (cf. [GA]). The latter states that the class of sub-analytic sets is closed under taking complements. Wilkie’s Theorem shows that if the restricted analytic functions used to describe a given sub-analytic set A are Pfaffian, then the complement of A may also be described by Pfaffian functions. Wilkie also establishes the model completeness of the elementary theory $T(\exp)$ of \mathbb{R} with the real exponential function \exp . This theorem has an important geometric interpretation (cf. [W1], p. 1054): call a subset of \mathbb{R}^n *semi-exponential-algebraic* (semi-EA) if it is defined by exponential-polynomial equations and inequalities, and a map from \mathbb{R}^n to \mathbb{R}^m semi-EA if its graph is so, and finally a set to be *sub-EA* if it is the image of a semi-EA set under a semi-EA map. Then the theorem is equivalent to the assertion that the complement of a sub-EA set is a sub-EA set. This, as for the semi-algebraic case, implies that the class of sub-EA sets is also closed under taking closures, interiors and boundaries. Recently (cf. [W2]) Wilkie proved a far-reaching generalization, from which it follows that the expansion of the reals by *total* Pfaffian functions is o-minimal as well.

When proving results such as model completeness, the model theorist has to investigate the class of *all* models of a given theory, instead of studying one particular model. At the center of the class of models that we consider lies the ordered field of the reals. But in this class there are also non-archimedean models, which we undertake to describe. Our basic tool for this is valuation theory. Inspired by the theory of real places and real closed fields, and seeking the analogy to the semi-algebraic case, we systematically develop an exponential analogue for all important notions and methods. We use this abstract machinery to describe explicitly the algebraic structure of the models, and to give concrete constructions. These constructions use power series fields (cf. Theorem 5.7 and Theorem 5.11).

The valuation theory that we need is basic. Indeed, we consider ordered fields with convex valuations, whose residue fields are ordered and hence of characteristic zero. There are no deep mysteries in the theory of valued fields in the characteristic zero case. We use, so to say, “shadows” of valuations. In fact, we reduce the valuation theory to the “bones” by going down to the skeletons of the value groups, and yet further down to the value sets of the value groups. This descent makes us deal with those value sets, which are often lexicographic orderings and have some kind of ultrametric structure that is reminiscent of the valuations way up on the fields.

At first sight, this approach may seem too simplistic. However, the power of this method comes from the fact that in most important cases, as in the case of the power series fields, we can lift the whole situation from the value set back up to the field, via the value group.

At the beginning of this work, our approach to the exponential function is equally naive. Although our ultimate aim is to construct extremely well-behaved exponentials (that is, satisfying all the elementary theorems that the real exponential function does), we start by working on very simple exponentials. We just demand that they are order preserving group isomorphisms from the additive group of the field onto the multiplicative group of its positive elements. But even those almost ridiculously weak exponentials impose tremendous restrictions on the structure of the ordered fields that carry them. At the point of this work where we discover that power series fields cannot carry exponentials, we are forced to make our demands on the exponentials, (or more precisely on their compositional inverses, the *logarithms*) even more modest than before. Then, we have to learn to work with prelogarithms, that is non-surjective logarithms. We just have these logarithms that are not even surjective and that enjoy no reasonable properties whatsoever.

Luckily however, we have three important keys to modify and improve those weak prelogarithms, all the way through.

The first is the discovery that power series fields, whilst not carrying surjective logarithms, always carry *prelogarithms*. Thus we develop a standard method to get a surjective logarithm on a countable union of power series fields.

The second key is a result of [D–M–M1] who show that power series fields can be naturally made into models of *restricted* real exponentiation, and even more, of all restricted analytic functions. This structure is preserved by taking countable unions of power series fields. Thus we now end up with ordered fields, endowed with an exponential whose *restriction to the unit box* of the field enjoys the same elementary properties as the real exponential restricted to the unit box in the reals.

But we are not done. In fact the exponential thus constructed does *not yet* satisfy the elementary properties of the *unrestricted* real exponential! Here, we use

the last key that opens the last door: Ressayre's Theorem [RE]. It states that an exponential on an ordered field which satisfies the elementary properties of the restricted real exponential, *and* satisfies the growth axiom scheme (GA), satisfies the elementary properties of the *unrestricted* real exponential as well.

This leads us to a substantial part of the research presented in this monograph. We undertake a systematic study of the growth axiom scheme. Our main idea is to investigate what (GA) imposes on the value group of the field. Descending even further down, we are able to *encode* the growth axiom scheme in the *value set* of the value group of the field. Heuristically, (GA) is encoded in the order automorphisms which the value set carries. It is certainly much easier to understand a totally ordered *set* (the value set) endowed with an automorphism, than to understand a totally ordered *field* endowed with a logarithm. So to say, we get rid of the algebraic structure, but we lose nothing. Indeed, as mentioned already, we are in the privileged situation where we can lift this information up again, from the value set to the ordered field. We develop a canonical method to achieve this lifting. Finally, this allows us to describe the non-archimedean ordered fields endowed with exponentials and restricted analytic functions which satisfy all the axioms of real exponentiation, and which moreover enjoy further interesting properties.

Related to (GA) is the notion of exponential rank. It is a finer measurement of the growth rates of exponentials than just (GA). We encode the exponential rank as well in the automorphisms of the value set. We construct fields of arbitrary exponential ranks, the “exponential-logarithmic power series fields”. These canonically defined exponential fields are the exponential analogue of power series fields in the real case. They can carry a multitude of exponentials of *distinct* growth rates, and enjoy further surprising properties of which we provide a detailed account.

Hardy fields provide the most beautiful example of non-archimedean exponential fields. They were introduced by Hardy (cf. [HD2]), as “the natural domain for the study of asymptotic analysis”. We apply our general structure theorems for exponential fields to this particularly important case. Inspired by Rosenlicht's work on Hardy fields of finite rank (cf. [RO1]), we extend the study to the infinite rank case. We give a detailed description of the value groups and residue fields of Exponential Hardy fields (which necessarily have infinite rank). Using our results, we present at the end of the monograph a new proof to a conjecture raised by Hardy concerning the asymptotic behaviour of the “Logarithmico-Exponential” functions. This conjecture was first established in [D–M–M2] by different methods.

In Chapter 0, we gather some preliminaries about valuations on *ordered Abelian groups*. We introduce the value set and the skeleton of such a group. These invariants turn out to be very handy throughout this research.

In Chapter 1, we study the necessary conditions that an ordered exponential field K has to satisfy. We show at the end of Chapter 2 that the exponential induces canonically an amazing map (which we call a contraction) on the value group G of K with respect to the natural valuation. A contraction contracts every archimedean class $\neq \{0\}$ to a set $\{a, -a\}$ of two points, and yet maps G *surjectively* onto G in an order preserving way. The class of ordered Abelian groups that are able to carry contractions is much smaller than the class of *all* ordered Abelian groups. It is an elementarily axiomatizable class and has a very well-behaved model theory. This has been worked out in [KF1] and [KF2], and we present the results of these two papers in the Appendix of this monograph.

At the end of Chapter 1, we study “small” non-archimedean exponential fields. We investigate the following problem: Given an ordered field K , and assuming that

its residue field \overline{K} with respect to the natural valuation (which is a subfield of \mathbb{R}) is an exponentially closed subfield of the reals, is it possible to lift the real exponential \exp to an exponential f of K ? We answer this problem for non-archimedean countable fields that are root closed for positive elements. We get a structure theorem for those fields (cf. Theorem 1.44), and show that they admit exponentials f lifting \exp from their residue fields if and only if their value group is isomorphic to the lexicographic sum of copies of the additive ordered group $(\overline{K}, +, 0, <)$, taken over the rationals. In Section 6 of Chapter 2, we show that this condition is indeed sufficient to get exponentials satisfying (GA) on the countable field. This theorem provides a method to construct non-archimedean countable exponential fields, given archimedean ones (cf. Example 1.45).

In Chapter 2, we translate the meaning of (GA) and the Taylor axiom scheme (T) into a valuation theoretic language. For example, we show that (T) is equivalent to assertions of the form $v(f(x) - E_n(x)) > v(x^n)$ (where E_n denotes the n -th partial sum in the Taylor expansion of \exp). These results are used throughout the later chapters.

In Chapter 3, we introduce prelogarithms and define the exponential rank to be the chain of convex valuation rings which are compatible with the prelogarithm. We characterize the exponential rank through *exponential equivalence* (cf. Section 4 of Chapter 3), as the rank is characterized by the “multiplicative equivalence relation” in the real case. It is worthwhile mentioning here that if K is a model of the elementary theory T of an exponentially bounded expansion of the reals, such that the exponential f is definable, then the valuation rings R_w of valuations w compatible with f are precisely the T -convex valuation rings of K , in the sense of [D–L].

So far, we have only described results that are in nice analogy to the theory of real places. But when it comes to existence results, the analogy breaks down. If a field has a place onto an ordered residue field, then the order can be lifted up to the field through the place. It is not surprising that exponentials cannot be lifted through arbitrary places. Indeed, we show in Chapter 4 that power series fields *never* admit exponentials compatible with their canonical valuation. (It is interesting to note that there is an exponential on the surreal numbers, cf. [G], but this “power series field” is a proper class.) However, we show that every power series field $\mathbb{R}((G))$ carries a prelogarithm. Indeed, in Section 3 of Chapter 4, we give an explicit formula for the basic prelogarithm \log_0 on power series fields with any given value group of the form \mathbb{R}^{Γ_0} , where Γ_0 is a totally ordered set. Going to the union over an increasing chain of power series fields, we make this logarithm \log_0 surjective (cf. Section 4 of Chapter 4). We call the so-obtained field the *exponential-logarithmic power series field* and denote it by $R((\Gamma_0))^{EL}$. The logarithm \log_0 does not satisfy (GA), and we develop a method in Chapter 5 to modify \log_0 . We show that one can use any order preserving map σ on Γ_0 satisfying that $\sigma\gamma > \gamma$ for all γ , to derive from \log_0 a logarithm \log_σ having the right growth rate. Its inverse \exp_σ will then yield a model of real exponentiation (and restricted analytic functions). This method enables us also to construct exponential fields with arbitrary principal exponential ranks. In this way, our construction exhibits the relation between order endomorphisms of the value groups and the growth rates of the constructed exponentials. We also show that $\mathbb{R}((\Gamma_0))^{EL}$ admits countably infinitely many exponentials of distinct exponential rank, for *any* Γ_0 . This contrasts the impression of rigidity which is given by the notation $\mathbb{R}((\Gamma_0))^{EL}$ (cf. Example 5.10 and Remark 5.14).

Analogous constructions, using power series fields, are given in [D–M–M2]. There, a first limit process is employed to obtain a field with non-surjective exponential, and then a second (inverse) limit process renders the exponential surjective. The outcome is a model called the “logarithmic-exponential power series field”. In contrast to the construction given in [D–M–M2], our construction uses only one limit process. It is an interesting task for future research to compare the models obtained by these two different approaches.

Chapter 6 answers a question raised by Macintyre in a course given at The Fields Institute, during the Algebraic Model Theory Program, November 1996. In [D–M–M2], the authors use results of Ressayre and Mourgues to show that Hardy’s field LE of Logarithmico-exponential functions admits a truncation-closed embedding in the logarithmic-exponential power series field (see above). Then, they use this particular embedding to prove Hardy’s conjecture (cf. Section 9 of Chapter 6 for details) and to show that certain functions, including the Gamma-function and the Riemann ζ -function, cannot be defined using exponential function, logarithm and restricted analytic functions. While lecturing on the results of [D–M–M2], Macintyre asked whether their results could be deduced by a “more invariant” version of truncation. Indeed, we derive the results of [D–M–M2] without using embeddings in the logarithmic exponential power series field. We replace truncation results by an intrinsic property, which is an assertion about the residue fields of the Hardy fields with respect to arbitrary convex valuations. It is invariant because it does not depend on an embedding in logarithmic-exponential power series fields. As a by-product, we get a structure theorem for the Hardy fields associated to a polynomially bounded $+$ (exp) expansion of the reals (cf. Theorem 6.30) and show, amongst other results, that these Hardy fields have levels in the sense of Rosenlicht (cf. [RO3]).

Several results presented in this monograph were obtained in the joint papers [K–K1], [K–K2], [K–K3], [K–K4] and [K–K–S1]. I would like to thank my co-authors Franz-Viktor Kuhlmann and Saharon Shelah for their essential contributions in our joint work. Special thanks are due to Franz-Viktor Kuhlmann for allowing the inclusion of results of [KF1] and [KF2] as an Appendix, and for proof-reading my manuscript.

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Index

- Additive Lexicographic Decomposition Theorem, 18
- algebraic, 136
 - χ -algebraic, 131
- algebraic closure, 136
- algebraic exchange property, 136
- Alling, N., 27, 29
- archimedean
 - R -archimedean, 9
 - equivalence class, 16
- archimedean component
 - corresponding to γ , 10
- archimedean equivalent, 15
- asymptotic, 96
- automorphism
 - increasing, 78
- axioms
 - n -th Taylor axiom, 33
 - (C0), (C \leq), (C-), 120
 - (CA), (CS), (CP), (CF), (CSN), (CZ), (CC), (CA'), 121
 - (CE), 52
 - (CO), 49
 - (CV1), (CV2), 121
 - (CV3), (CV4), (CV5), 122
 - (EH1), (EH2), (EH3), 94
 - (GA), 33
 - (NV1), (NV2), (NV3), (NV4), 117
 - (NV5), 118
 - (OAG), 120
 - (T₁), 53
 - (T), 33
 - (V0), (V1), (V2), (V3), (V4), 117
 - growth axiom, 33
 - Taylor axiom, 33
- bounded
 - χ -transcendental, 133
 - exponentially, 95
 - polynomially, 95
- Brown's Theorem, 6
- Brown, Ron, 6
- canonical additive complement, 27
- canonical group cross-section, 70
- canonical multiplicative complement, 27
- canonical valuation, 27
- Cauchy sequence, 91
- centrifugal, 46, 121
- centripetal, 46, 121
- chain, 1
- characteristic domain, 138, 139
- characteristic sequence, 131, 139
- characterization
 - of the exponential rank, 61
 - of the principal exponential rank, 63
- class
 - R -equivalence class, 9
 - archimedean, 16
 - exponential, 58
 - multiplicative, 52
- closed
 - χ_ℓ -closed, 61
 - ℓ -closed, 61
 - ζ_ℓ -closed, 61
 - \mathcal{F} -closed, 97
 - $r\mathcal{F}$ -closed, 97
 - exponentially closed, 32
 - relatively exp-closed in, 108
- coarser, 50
- coefficient map corresponding to γ , 2
- compatible, 23
 - v -compatible exponential, 23
 - v -compatible exponential field, 23
 - v -compatible logarithm, 23
 - w -compatible exponential, 52
 - w -compatible prelogarithm, 53
- compatible with the order, 9, 49
- complement, 10
 - canonical additive complement, 27
 - canonical multiplicative complement, 27
- component
 - corresponding to γ , 2
 - of x in M , 8
- constant term, 27
- contraction, 44, 121
 - centrifugal, 46
 - centripetal, 46
 - natural, 45
 - natural contraction induced by \tilde{h} , 45
 - natural contraction induced by f , 45
- contraction group, 121
- contraction hull, 125

- divisible, 125
- convex, 8
 - subgroup, 50
- convex partition
 - finite, 138
 - finite open, 140
- convex subgroup
 - associated to w , 50
- convex subring
 - principal, 51
- convex valuation, 16, 49
 - associated to G_w , 50
- Countable Case Characterization Theorem, 31
- cross-section
 - w -logarithmic, 66
 - canonical group cross-section, 70
 - group cross-section, 70
 - of a valued field, 66
 - strong v -logarithmic, 77
 - surjective w -logarithmic, 66
- Crucial Lemma, 104
- cut, 118
 - v_G -cut, 118
 - induced by an element, 118
 - shifted v_G -cut, 119
- definable, 95
- dense
 - w -dense, 29
 - order dense, 30
- divisible, 16
 - contraction hull, 125
- elements
 - finite, 17
 - infinitesimal, 17
 - positive infinite, 17
- embedding
 - truncation closed, 87
- embedding of valued modules, 2
- equivalent
 - R -equivalent to y , 9
 - φ -equivalent, 57
- equivalent valuations, 2
- exchange property
 - algebraic, 136
- exponential, 22
 - T_1 -exponential, 53
 - v -compatible, 23
 - v -left exponential, 24
 - v -middle exponential, 25
 - v -right exponential, 25
 - w -compatible, 52
 - (GA)- v -left exponential, 34
 - (GA)-exponential, 33
 - (GAT $_n$)-exponential, 33
 - (GAT)- v -middle exponential, 34
 - (GAT)-exponential, 33
 - (T $_n$)- v -right exponential, 42
 - (T $_n$)-exponential, 33
 - (T)- v -right exponential, 34
 - (T)-exponential, 33
 - group exponential induced by χ , 45
 - induced on the residue field, 52
 - lexicographic product, 25
 - strong group exponential, 35
- exponential class, 58
- exponential field, 22
 - v -compatible, 23
 - extension of exponential fields, 29
 - formally, 22
- exponential group in A , 26
- exponential Hardy field, 94
- exponential rank, 52
 - characterization, 61
 - of a prelogarithm, 53
 - principal, 61
- exponential-logarithmic power series field
 - over Γ_0 , 75
 - over (Γ_0, σ) , 81
- exponentially bounded, 95
- exponentially closed, 32
- exponents
 - field of, 97
- extension
 - immediate extension of valued modules, 3
 - of exponential fields, 29
 - of valued modules, 3
 - value set preserving, 124
- field of exponents, 97
- final segment
 - principal, 51
- finer, 50
- finite convex partition, 138
- finite elements, 17
- finite open convex partition, 140
- formally exponential field, 22
- germ at ∞ , 92
- Gravett, K. A. H., 12
- group
 - exponential group in A , 26
 - of 1-units, 16, 18
 - of positive units, 18
 - of units, 16
 - strong exponential, 35
- group cross-section, 70
 - canonical, 70
- group exponential, 26
 - induced by χ , 45
- growth axiom, 33
- Hölder's Theorem, 15
- Hölder, O., 15
- Hahn Embedding Theorem, 14
- Hahn product, 3
- Hahn sum, 3
- Hardy field, 92

- exponential, 94
 - levelled, 97
- henselian, 28
- homomorphism of ordered modules, 8
- immediate extension
 - of valued fields, 27
 - of valued modules, 3
- increasing automorphism, 78
- induced by h_f , 26
- infinitely smaller, 9
- infinitesimals, 17
- isomorphic as ordered skeletons, 10
- isomorphic as valued modules, 2
- isomorphism
 - of ordered systems, 2
 - of valued modules, 2
- Kaplansky, I., 28
- left
 - v -left exponential, 24
 - v -left logarithm, 24
 - w -left prelogarithm, 66
 - (GA)- v -left exponential, 34
- level, 97
- levelled, 97
- lexicographic decomposition
 - additive, 18
 - multiplicative, 19
- lexicographic product, 13
 - of exponentials, 25
- lexicographic sum, 13
- lifting, 26, 66
- lifting property, 35
- lifts, 25
- logarithm, 22
 - v -compatible, 23
 - v -left logarithm, 24
- logarithmic cross-section, 66
 - surjective, 66
- Logarithmico-Exponential functions, 94
- maximal exponential, 29
- maximally valued
 - field, 27
 - module, 4
- middle
 - v -middle exponential, 25
 - (GAT)- v -middle exponential, 34
- minimum support valuation, 3, 27
- monomial, 114
 - generalized χ -monomial, 139
 - monic generalized χ -monomial, 138
- multiplicative class, 52
- Multiplicative Lexicographic Decomposition Theorem, 19
- natural contraction, 45
 - induced by \tilde{h} , 45
 - induced by f , 45
- natural valuation
 - R -natural valuation, 9
 - on an ordered field, 16
- o -minimal, 95
- o -minimal, weakly, 136
- open convex set, 139
- order compatible, *see also* compatible with the order
- order complete, 30
- order completion, 30
- order dense, 30
- order preserving, 8
- ordered module, 8
 - homomorphism of, 8
- ordered skeleton, 9
- ordered system
 - isomorphism of ordered systems, 2
 - of modules, 2
- piecewise monotone, 138
- polynomial
 - generalized χ -polynomial, 139
 - reduced, 28
- polynomially bounded, 95
- positive infinite elements, 17
- positive units, 50
- power series field, 27
 - exponential-logarithmic over Γ_0 , 75
 - over (Γ_0, σ) , 81
- precontraction, 56, 121
 - centrifugal, 121
 - centripetal, 121
- precontraction group, 120
- prelogarithm, 53
 - w -compatible, 53
 - w -left, 66
 - w -right, 66
 - (GA)-prelogarithm, 54
 - (T_1)-prelogarithm, 55
 - exponential rank, 53
- principal
 - χ_ℓ -principal, 61
 - χ_ℓ -principal generated by g , 61
 - ℓ -principal, 61
 - ℓ -principal generated by a , 61
 - ζ_ℓ -principal, 61
 - ζ_ℓ -principal generated by γ , 61
 - principal exponential rank, 61
- principal convex subgroup
 - generated by g , 51
- principal convex submodule, 8
- principal convex subring generated by a , 51
- principal exponential rank, 61
 - characterization, 63
- principal final segment, 51
- principal rank
 - of a field, 51
 - of a group, 51

- pseudo Cauchy sequence, 5
- pseudo complete, 5
- pseudo limit, 5
- quasicut, 118
- rank
 - σ -rank, 83
 - exponential, 52
 - of a valued group, 50
 - of an ordered field, 50
 - principal
 - of a field, 51
 - of a group, 51
 - principal exponential rank, 61
- realize a (quasi)cut, 118
- reduced polynomial, 28
- representable
 - P -representable, 142
- residue field, 16
- restricted analytic function, 103
- Riemann ζ -function, 113
- right
 - v -right exponential, 25
 - w -right prelogarithm, 66
 - (T_n) - v -right exponential, 42
 - (T) - v -right exponential, 34
- root closed for positive elements, 18
- shift
 - induced by a prelogarithm, 57
 - to the right, 57
- shift elements, 131
- shift of a quasicut, 118
- skeleton, 2
 - isomorphic as ordered skeletons, 10
 - ordered, 9
- strong
 - v -logarithmic cross-section, 77
 - exponential group, 35
 - group exponential, 35
- sum of chains, 10
- sum of ordered systems of modules, 10
- supersequence, 131
- support, 3, 27, 67
- surjective w -logarithmic cross-section, 66
- Taylor axiom, 33
- theorem
 - Additive Lexicographic Decomposition, 18
 - Countable Case Characterization, 31
 - Hölder's Theorem, 15
 - Multiplicative Lexicographic Decomposition Theorem, 19
- topology
 - w -topology, 29
- transcendental
 - χ -transcendental, 131
 - bounded χ -transcendental, 133
- transexponential, 95
- truncation closed embedding, 87
- ultimately, 92
- ultrametric inequality, 1
- units
 - group of 1-units, 16, 18
 - group of positive units, 18
 - group of units, 16
 - positive, 50
- valuation
 - v_{\min} , 3, 27
 - canonical, 27
 - coarser, 50
 - convex, 16, 49
 - finer, 50
 - on a field, 15
 - on a module, 1
- valuation basis, 4
- valuation ideal, 16
- valuation independent, 4
 - over, 4
- valuation preserving, 2
- valuation ring, 16
- value group, 15
- value set, 1
- value set preserving extension, 124
- valued field, 15
 - henselian, 28
 - immediate extension, 27
 - maximally valued, 27
- valued module, 1
 - embedding of valued modules, 2
 - extension of valued modules, 3
 - immediate extension of, 3
 - isomorphism of valued modules, 2
 - maximally valued, 4
- weakly \mathfrak{o} -minimal, 136

List of Notation

$\bigoplus_{i \in I} M_i$	1
v	1
(M, v)	1
$v(M)$	1
$[\Gamma, \{B(\gamma); \gamma \in \Gamma\}]$	2
$[\varphi, \{\varphi_\gamma \mid \gamma \in \Gamma_1\}]$	2
M^γ	2
M_γ	2
$B(M, \gamma)$	2
$S(M)$	2
$B(\gamma)$	2
$\pi^M(\gamma, x)$	2
$\pi(\gamma, x)$	2
$\prod_{\gamma \in \Gamma} B(\gamma)$	3
support(s)	3
$\bigoplus_{\gamma \in \Gamma} B(\gamma)$	3
v_{\min}	3
$\prod_{\gamma \in \Gamma} B(\gamma)$	3
$\mathbf{H}_{\gamma \in \Gamma} B(\gamma)$	3
$\frac{M}{R} \langle \{x_i \mid i \in I\} \rangle$	4
$C_x(M)$	8
$D_x(M)$	8
$B_x(M)$	8
$ x $	9
$\overset{R}{\sim}$	9
$\overset{R}{\ll}$	9
$[x]_R$	9
Γ	9
v^R	9

$M \amalg N$ 10

$\Delta_1 + \Delta_2$ 10

$S_1 \amalg S_2$ 10

$\langle l$ 13

(K, w) 15

v_G 16,117

R_w, I_w 16

Kw 16

bw 16

\mathcal{U}_w 16

$1 + I_w$ 16

$K^{>0}$ 16

$[a]$ 16

\overline{K} 17

\mathbf{P}_K 17

v, v_G 17

$G^{<0}, G^{>0}, G^{\geq 0}$ 17

$\mathcal{U}_v^{>0}$ 18

$1 + I_v$ 18

$-v$ 19

v 19

$C_x, D_x, \mathbf{C}_x, \mathbf{D}_x, \mathcal{C}_x, \mathcal{D}_x$ 20

\sim, \gg, \ll 20

(K, f) 22

h_f 25

$f_L \amalg f_M \amalg f_R$ 25

\tilde{h}_ℓ 26

R^Γ 27

1_γ 27

$k((G))$ 27

v_{\min} 27

$k[[G]]$ 27

$\text{Neg}(K)$ 27

$k((G^{<0}))$ 27

$\text{Mon}(K)$ 27

$p(x)w$ 28

Γ_K 30

K^c 30

$E_n(x)$ 33

(GA) 33

(T) 33

(T_n) 33

$P_n(x, y), T'_n(x, y), Q_n(x, y)$ 37

χ 44,120

χ_f 45

R_w, I_w 49

(CO) 49

$U_w^{>0}$ 49

\mathcal{R} 50

G_w 50

Γ_w 51

Γ^{fs} 51

Γ^* 51

\mathcal{R}^{pr} 51

$[a]$ 52

(CE) 52

f_w 52

\mathcal{R}_f 52

(T_1) 53

\mathcal{R}_ℓ 53

χ_ℓ 56

ζ_ℓ 56

\sim_φ 57

$[a]_\varphi$ 57

\sim_ℓ, \sim_f 58

$\sim_{\chi_\ell}, \sim_{\zeta_\ell}$ 58

$[a]_\ell$ 58

$\mathbf{A}_w, \mathbf{B}_w$ 65

$\ell_R^w, \ell_w, \ell_L^w$ 66

$\text{o-Emb}((1 + I_w, \cdot), (I_w, +))$ 66

h_ℓ^w 66

$\text{o-Emb}(w(K), (K, +) \setminus R_w)$ 66

$\mathbf{L}_K, \mathbf{L}_K^w$ 66

$\mathbf{X}_K, \mathbf{X}_K^w$ 66

$\text{support}(a)$	67
$\mathbb{R}((\Gamma_0))^{EL}$	75
$\mathbb{R}((\Gamma_0))^{EL(\sigma)}$	81
\log_n, \exp_n	94
LE	94
$\mathcal{R}, H(\mathcal{R})$	95
$f \sim g$	96
$\mathcal{P}, T(\mathcal{P})$	97
\mathcal{F}_π	97
κ	97
$LE_{\mathcal{F}}(x)$	98
\mathbb{R}_{an}	103
T_{an}	103
\mathcal{F}_{LE}	104
\mathcal{F}_{an}	104
$T_{\text{an}}(\text{exp})$	107
u	107
K_0^w, K_∞^w	109
$LE_{\mathcal{F}}^w(\log_{m_0}(x))$	110
$\mathbb{R}((t))^{LE}$	112
\mathcal{L}_{cg}	120
$\mathcal{P}_{\text{cp}}, \mathcal{P}_{\text{cf}}$	123
ρ_χ	124
G_b	129
$\text{Cut}(b)$	132
$\mathcal{L}_{\text{cg}}(G, x)$	137
$\mathcal{O}^a, \mathcal{M}^a$	138
$\chi[a], \chi[a_1, \dots, a_n]$	139
$G[a], G[a_1, \dots, a_n]$	139
$S_f(b)$	151

Ordered Exponential Fields

Salma Kuhlmann

Model theoretic algebra has witnessed remarkable progress in the last few years. It has found profound applications in other areas of mathematics, notably in algebraic geometry and in singularity theory.

Since Wilkie's results on the o-minimality of the expansion of the reals by the exponential function, and most recently even by all Pfaffian functions, the study of o-minimal expansions of the reals has become a fascinating topic. The quest for analogies between the semi-algebraic case and the o-minimal case has set a direction to this research.

Through the Artin-Schreier Theory of real closed fields, the structure of the non-archimedean models in the semi-algebraic case is well understood. For the o-minimal case, so far there has been no systematic study of the non-archimedean models. The goal of this monograph is to serve this purpose.

The author presents a detailed description of the non-archimedean models of the elementary theory of certain o-minimal expansions of the reals in which the exponential function is definable. The example of exponential Hardy fields is worked out with particular emphasis. The basic tool is valuation theory, and a sufficient amount of background material on orderings and valuations is presented for the convenience of the reader.

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