# On semi-reduced quadratic forms, continued fractions and class number

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### §1. Introduction

Let m be a square-free integer > 1 and let  $\Delta$  be the discriminant of the real quadratic field  $h(\mathbb{Q}(\sqrt{m}))$ . Define

$$\Delta = \begin{cases} m, & \widetilde{\omega} = \begin{cases} \frac{1}{2} + \frac{1}{2}\sqrt{m}, & \text{if } \begin{cases} m \equiv 1 \pmod{4}, \\ m \equiv 2, 3 \pmod{4}, \end{cases} \end{cases}$$

$$\theta = \begin{cases} 0 & \text{if } m \equiv 1 \pmod{4}, \ \ell \text{ even and } 2 / k_{\ell/2}, \end{cases}$$

$$1 & \text{if } \begin{cases} m \equiv 1 \pmod{4}, \ \ell \text{ even and } 2 / k_{\ell/2}, \end{cases}$$

$$m \equiv 1 \pmod{4}, \ \ell \text{ odd}, \end{cases}$$

$$m \equiv 2, 3 \pmod{4}, \ \ell \text{ even and } 2 / k_{\ell/2}, \end{cases}$$

$$2 & \text{if } \begin{cases} m \equiv 2, 3 \pmod{4}, \ \ell \text{ even and } 2 / k_{\ell/2}, \end{cases}$$

$$m \equiv 2, 3 \pmod{4}, \ \ell \text{ odd}.$$

Write  $\widetilde{\omega}$  as a continued fraction:

$$\widetilde{\omega} = \left[k_0, \overline{k_1, \ldots, k_{m{\ell}}}
ight]$$
 .

Let  $\lambda_1(m)$  (resp.  $\lambda_2(m)$ ) be the number of solutions of

$$x^2 + 4yz = \Delta \quad \text{(resp. } x^2 + 4y^2 = \Delta\text{)}$$

with  $x, y, z \in \mathbb{N} = \{0, 1, 2, \ldots\}$ . Then H. Lu [Lu] proved the following result.

**Theorem** (Lu). The class number  $h_{\Delta}$  of  $\mathbb{Q}(\sqrt{m})$  is equal to 1 if and only if

$$\theta + \sum_{i=1}^{\ell} k_i = \lambda_1(m) + \lambda_2(m).$$

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**Problem.** Generalize Lu's result. More precisely, use continued fractions to list the elements of the set

$$\left\{ aX^2 + bXY + cY^2 : a, b, c \in \mathbb{Z}, b^2 - 4ac = \Delta \text{ with } 0 \le b < \sqrt{\Delta} \right\}$$

of semi-reduced quadratic forms of discriminant  $\Delta$  and relate  $h_{\Delta}^{+}$  (resp.  $h_{\Delta}$ ) to the cardinality of this last set, i.e., to the cardinality of the set

$$\left\{(a,b,c)\in \mathbb{Z}^3:\ \Delta=b^2-4ac\ \ \text{with}\ \ 0\leq b<\sqrt{\Delta}
ight\}.$$

#### §2. Preliminaries

A quadratic form f is a homogeneous polynomial of the form

$$f = f(X,Y) = \langle a, b, c \rangle = aX^2 + bXY + cY^2$$
, with  $a, b, c \in \mathbb{Z}$ ,

which we may write in matrix form as

$$f(X,Y) = \left(\begin{array}{cc} X & Y \end{array}\right) \left(\begin{array}{cc} a & \frac{1}{2}b \\ \frac{1}{2}b & c \end{array}\right) \left(\begin{array}{c} X \\ Y \end{array}\right).$$

We say that the matrix of f is

$$M_f = \left(\begin{array}{cc} a & \frac{1}{2}b \\ \frac{1}{2}b & c \end{array}\right).$$

By definition, the discriminant of f is

$$\Delta = \Delta_f = b^2 - 4ac;$$

moreover f is primitive if pgcd(a, b, c) = 1; f is definite positive if  $\Delta < 0$ , a > 0, c > 0; and f is indefinite if  $\Delta > 0$ .

Consider

 $\mathcal{F}_{\Delta} = \{ \text{primitive quadratic forms of discriminant } \Delta \}.$ 

We need

$$GL_2(\mathbb{Z}) = \left\{ \left( egin{array}{ccc} r & s \\ t & u \end{array} \right) : \ r, \ s, \ t, \ u \in \mathbb{Z}, \ ru - st = \pm 1 
ight\},$$
  $SL_2(\mathbb{Z}) = \left\{ \left( egin{array}{ccc} r & s \\ t & u \end{array} \right) : \ r, \ s, \ t, \ u \in \mathbb{Z}, \ ru - st = +1 
ight\}.$ 

We can define an action of  $A \in GL_2(\mathbb{Z})$  on f by stating that

$$g = Af$$
 where  $M_g = AM_fA^t$ .

Moreover we say:

 $f \sim g$  (f is equivalent to g)  $\iff$  g = Af for some  $A \in GL_2(\mathbb{Z})$ ,

 $f \approx g$  (f is strictly equivalent to g)  $\iff$  g = Af for some  $A \in SL_2(\mathbb{Z})$ .

It turns out that the class group (resp. strict class group) of  $\mathbb{Q}(\sqrt{\Delta}$  is  $\mathcal{F}_{\Delta}/\sim$  (resp.  $\mathcal{F}_{\Delta}/\approx$ ), its cardinality being denoted the class number  $h_{\Delta}$  (resp. the strict class number  $h_{\Delta}^{+}$ ) of  $\mathbb{Q}(\sqrt{\Delta})$ .

We are extensively working with the matrices

$$E(u) = \left( egin{array}{cc} 1 & u \\ 0 & 1 \end{array} 
ight), \quad A(u) = \left( egin{array}{cc} 0 & -1 \\ 1 & u \end{array} 
ight).$$

We associate to f the quadratic numbers

$$\omega = \omega(f) = \frac{b + \sqrt{\Delta}}{2|c|}$$
 and  $\Omega = \Omega(f) = \frac{b + \sqrt{\Delta}}{2|a|}$ ,

and define

$$\sigma(f) = \operatorname{sign}(a).$$

Gauss defined the right neighbour R(f) and the left neighbour L(f) of f:

$$Rf = A(e)f = \langle c, -b - 2ce, a + be + ce^2 \rangle$$
 with  $e = -\operatorname{sign}(c)[\omega(f)],$ 

$$Lf = A(E)^{-1}f = \langle c + bE + aE^2, -b - 2aE, a \rangle$$
 with  $E = -\text{sign}(a) [\Omega(f)]$ .

We say that  $f = \langle a, b, c \rangle$  with  $\Delta > 0$  is reduced if

$$\left\{ \begin{array}{ll} (i) & 0 < b < \sqrt{\Delta}, \\ (ii) & \sqrt{\Delta} - b < 2|c| < \sqrt{\Delta} + b, \end{array} \right.$$

which is equivalent to saying

$$\begin{cases} (i) & 0 < b < \sqrt{\Delta}, \\ (ii) & \sqrt{\Delta} - b < 2|a| < \sqrt{\Delta} + b. \end{cases}$$

Gauss showed how to calculate the class number  $h_{\Delta}^+$ . With the continued fraction algorithm, write the finite set of reduced quadratic forms of discriminant  $\Delta > 0$  as a

union of  $h_{\Delta}$  disjoint cycles, by picking up a reduced quadratic form  $f = \langle a, b, c \rangle$  and taking the continued fraction of

$$\omega_0=\omega(f)=rac{b+\sqrt{\Delta}}{2|c|}=rac{P_0+\sqrt{\Delta}}{2Q_0},$$

i.e., for  $i \geq 0$ ,

$$\begin{cases} \omega_{i} & = \frac{P_{i} + \sqrt{\Delta}}{2Q_{i}}, \\ P_{i+1} & = 2k_{i}Q_{i} - P_{i} \text{ with } k_{i} = [\omega_{i}], \\ Q_{i+1} & = \frac{\Delta - P_{i+1}^{2}}{4Q_{i}}, \end{cases}$$

where [] is the greatest integer function. Hence

It is well known that f is reduced if and only if  $\omega(f)$  is a reduced quadratic number (i.e., the continued fraction expansion of  $\omega(f)$  is purely periodic).

Let

$$\tilde{\ell} = \begin{cases} \ell & \text{if } \ell \text{ is even,} \\ 2\ell & \text{if } \ell \text{ is odd.} \end{cases}$$

The cycle of f is

$$[f_1, f_2, \ldots, f_{\widetilde{\ell}}],$$

where

$$f = f_1 = \langle a, b, c \rangle = \langle \sigma(f)Q_0, P_1, -\sigma(f)Q_1 \rangle$$

and where for  $i = 1, \ldots, \tilde{\ell} - 1$ ,

$$f_{i+1} = R(f_i)$$

$$= \left\langle (-1)^i \sigma(f) Q_i, P_{i+1}, (-1)^{i+1} \sigma(f) Q_{i+1} \right\rangle$$

$$= A_i f_i$$

with

$$A_i = A\left(\sigma(f_i)k_i\right) = A\left((-1)^{i-1}\sigma(f)k_i\right).$$

In symbols,

$$\begin{cases} f_{i+1} &= Rf_i & \text{for } 1 \leq i \leq \tilde{\ell} & \text{with } f_1 = Rf_{\tilde{\ell}}, \\ f_j &= Lf_{j+1} & \text{for } 0 \leq j < \tilde{\ell} & \text{with } f_{\tilde{\ell}} = Lf_1, \end{cases}$$

and  $k_i = [\omega(f_i)].$ 

Fact:  $h_{\Delta}^{+}$  is the number of cycles. Moreover  $h_{\Delta}^{+} = h_{\Delta}$  (resp.  $h_{\Delta}^{+} = 2h_{\Delta}$ ) if the length of the continued fraction of  $\omega(f)$  for any reduced quadratic form f is odd (resp. even).

See section 7 for examples of calculations of cycles.

#### §3. Semi-reduced forms

A quadratic form  $f = \langle a, b, c \rangle$  of discriminant  $\Delta$  is semi-reduced if

$$0 \le b < \sqrt{\Delta}$$
,

and f is said to be intermediate if f est semi-reduced without being reduced.

In each of the following examples, we give the list of semi-reduced quadratic forms, the reduced forms being written in boldface, the intermediate forms appearing in roman style.

**Example 3.1.** Let m = 14. There are 24 semi-reduced quadratic forms of discriminant  $\Delta = 56$ :

**Example 3.2.** Let m=19. There are 36 semi-reduced quadratic forms of discriminant  $\Delta=76$ :

**Example 3.3.** Let m=26. There are 36 semi-reduced quadratic forms of discriminant  $\Delta=104$ :

**Example 3.4.** Let m=33. There are 20 semi-reduced quadratic forms of discriminant  $\Delta=33$ :

$$<1,1,-8>$$
  $<-1,1,8>$   $<2,1,-4>$   $<-2,1,4>$   $<4,1,-2>$   $<-4,1,2>$   $<8,1,-1>$   $<-8,1,1>$   $<1,3,-6>$   $<-1,3,6>$   $<2,3,-3>$   $<-2,3,3>$   $<3,3,-2>$   $<-3,3,2>$   $<6,3,-1>$   $<-6,3,1>$   $<1,5,-2>$   $<-1,5,2>$   $<2,5,-1>$   $<-2,5,1>$ 

**Example 3.5.** Let m=35. There are 40 semi-reduced quadratic forms of discriminant  $\Delta=140$ :

Let  $f = \langle a, b, c \rangle$  be a reduced form of discriminant  $\Delta$  such that  $e = \sigma(f)[\omega(f)]$ . Consider the quadratic forms associated to f and given by the following two cases (the first may be empty):

Case (i) 
$$E(u)f = \langle a + bu + cu^2, b + 2cu, c \rangle$$
 with 
$$1 \leq \sigma(f)u \leq \frac{b}{2|c|}$$
 
$$A(u)f = \langle c, -b - 2cu, a + bu + cu^2 \rangle$$
 with 
$$\frac{b}{2|c|} \leq \sigma(f)u \leq \sigma(f)e = [\omega(f)]$$

We can show that the quadratic forms of Cases (i) and (ii) are all semi-reduced (i.e., are either reduced or intermediate) and that the intermediate forms  $\langle a', b', c' \rangle$  of Cases (i) and (ii) respectively verify the following properties:

Case (i) 
$$\begin{cases} a'c' < 0, \\ |a'| > |c'|, \\ R < a', b', c' > = Rf, \end{cases}$$
 Case (ii) 
$$\begin{cases} a'c' < 0, \\ |a'| < |c'|, \\ L < a', b', c' > = f. \end{cases}$$

These last properties characterize intermediate quadratic forms. We can show that

intermediate forms come from reduced forms. More precisely, let  $g = \langle a', b', c' \rangle$  be an intermediate quadratic form. Then the following properties hold true:

(i) If |a'| > |c'|, then the forms  $f_1 = Rg$  and  $f = Lf_1 = \langle a, b, c \rangle$  are both reduced and

$$g = E(u)f = \langle a + bu + cu^2, b + 2cu, c \rangle$$

with

$$1 \le \sigma(f)u \le \frac{b}{2|c|}.$$

(ii) If |a'| < |c'|, then the form  $f = Lg = \langle a, b, c \rangle$  is reduced and

$$g = A(u)f = \langle c, -b - 2cu, a + bu + cu^2 \rangle$$

with

$$\frac{b}{2|c|} \leq \sigma(f)u \leq \sigma(f)e = [\omega(f)].$$

We can now state our first result.

**Theorem.** (1) For each reduced form  $f = \langle a, b, c \rangle$  of discriminant  $\Delta$ , the quadratic forms associated to f and defined by

$$\left\{ \begin{array}{ll} E(u)f & \textit{with} & 1 \leq \sigma(f)u \leq \frac{b}{2|c|}, \\ \\ A(u)f & \textit{with} & \frac{b}{2|c|} \leq \sigma(f)u \leq [\omega(f)], \end{array} \right.$$

are all different from one another and form a set I(f) of cardinality

$$\#I(f) = \begin{cases} [\omega(f)] & \text{if } (2c) \not | b, \\ 1 + [\omega(f)] & \text{if } (2c) | b. \end{cases}$$

- (2) If f and g are two different reduced forms, then  $I(f) \cap I(g) = \phi$ .
- (3) Moreover the (disjoint) union of the I(f)'s when f runs through the set  $Red(\Delta)$  of reduced forms is a set equal to the set of semi-reduced forms and is of cardinality

$$2\left(\sum_{\substack{0\leq t<\sqrt{\Delta}\\t\equiv\Delta\pmod{2}}}\tau\left(\frac{\Delta-t^2}{4}\right)\right),$$

where  $\tau$  is the number of divisors function.

#### §5. The palindrome level

Suppose that the continued fraction of a quadratic number  $\alpha$  is purely periodic (i.e.  $\alpha$  is reduced):

$$\alpha = \left[\overline{k_1, k_2, \ldots, k_\ell}\right]$$

with  $\ell$  minimal. We associate to  $\alpha$  the word

$$w(\alpha)=k_1k_2\ldots k_\ell$$

and say that it is defined up to a cyclic permutation (of order  $\ell$ ).

Recall that a palindrome (KA I BU N) is a word which once read from left to right or from right to left is the same.

Examples. In french, english, german and japanese:

- (i) ELU PAR CETTE CRAPULE
- (ii) NAME NO ONE MAN
- (iii) EIN NEGER MIT GAZELLE ZAGT IM REGEN NIE
- (iv) さくはなの のもきよきかに かおるよる おかにかきよき もののなはくさ
- ()) てきをのし いさましいし まさいしのおきて
- (vi) たけやぶ やけた

When  $\ell$  is odd, we say that  $\alpha$  has 1 (resp. 0) central element if  $w(\alpha)$  is (resp. is not) a palindrome, the central element being the center of  $w(\alpha)$ . When  $\ell$  is even, we say  $\alpha$  has 2 central elements (resp. 0 central element) if after an eventual cyclic permutation,  $w(\alpha)$  is (resp. is not) the concatenation of a palindrome of length  $\ell-1$  and of a palindrome of length 1, the two central elements being the two centers of the concatenated palindromes.

**Definition.** The palindrome level  $s = s(\alpha) \in \{0, 1, 2\}$  of a reduced quadratic number is equal to the number of even central elements.

In examples 7.1 to 7.5, s is respectively equal to 2, 1, 1, 0, 0.

# §6. The main results

We can now relate the class number  $h_{\Delta}$  of  $\mathbb{Q}(\sqrt{\Delta})$  to the cardinality of the set of semi-reduced forms by writing this cardinality in terms of the partial quotients of non equivalent reduced quadratic numbers.

**Theorem.** Let  $\Delta$  be the discriminant of a real quadratic field  $\mathbb{Q}(\sqrt{\Delta})$ . Put

$$g = \left\{ egin{array}{lll} 0 & \mbox{if} & \Delta \equiv 1 & (mod \ 4), \ 2^{r+1} & \mbox{if} & \Delta \equiv 4 \ ou \ 12 & (mod \ 16), \ 2^{r+2} & \mbox{if} & \Delta \equiv 8 & (mod \ 16), \end{array} 
ight.$$

where r is the number of odd primes dividing  $\Delta$ . Then the class number  $h_{\Delta}$  of  $\mathbb{Q}(\sqrt{\Delta})$  is equal to  $h_0$  if and only if there exist  $h_0$  reduced quadratic numbers  $\alpha^{(1)}$ ,  $\alpha^{(2)}$ , ...,  $\alpha^{(h_0)}$  associated to  $h_0$  quadratic forms non equivalent to one another such that the number of all semi-reduced forms of discriminant  $\Delta$  is

$$2\left(s_{\Delta} + \sum_{j=1}^{h_0} \sum_{t=1}^{\ell_j} k_t^{(j)}\right),\,$$

where for  $j = 1, \ldots, h_0$ ,

$$lpha^{(j)} = \left[\overline{k_1^{(j)}, k_2^{(j)}, \ldots, k_{\ell_j}^{(j)}}
ight]$$

with  $\ell_j$  minimal, and where the palindrome level  $s_{\Delta}$  of  $\Delta$ , defined as the sum of all the palindrome levels of the  $\alpha^{(j)}$ 's, is equal to

$$s_{\Delta} = \sum_{j=1}^{h_0} s(\alpha^{(j)}) = \frac{g}{2}.$$

**Theorem.** Let  $\Delta$  be the discriminant of a real quadratic field  $\mathbb{Q}(\sqrt{\Delta})$ . Put

$$g_1 = \left\{ egin{array}{lll} 0 & \emph{if} & \Delta \equiv 1 & (mod \ 4), \ 2^r & \emph{if} & \Delta \equiv 4 \ ou \ 12 & (mod \ 16), \ 2^{r+1} & \emph{if} & \Delta \equiv 8 & (mod \ 16), \end{array} 
ight.$$

where r is the number of odd primes dividing  $\Delta$ . Then the class number  $h_{\Delta}$  of  $\mathbb{Q}(\sqrt{\Delta})$  is equal to  $h_1$  if and only if there exist  $h_1$  reduced quadratic numbers  $\beta^{(1)}$ ,  $\beta^{(2)}$ , ...,  $\beta^{(h_1)}$  associated to  $h_1$  quadratic forms non equivalent to one another such that

$$\#\{(A,B,C)\in I\!\!N^3: \Delta=B^2+4AC\}=s_{\Delta}+\sum_{i=1}^{h_1}\sum_{t=1}^{\ell_j}k_t^{(j)},$$

where for  $j = 1, \ldots, h_1$ ,

$$eta^{(j)} = \left[ \left. \overline{k_1^{(j)}, k_2^{(j)}, \ldots, k_{\ell_j}^{(j)}} \right. \right]$$

with  $\ell_j$  minimal, and where the palindrome level  $s_{\Delta}$  of  $\Delta$ , defined as the sum of all the palindrome levels of the  $\beta^{(j)}$ 's, is

$$s_{\Delta}=\sum_{j=1}^{h_1}s(\beta^{(j)})=g_1.$$

#### §7. Five examples

One has a chance of verifying the last theorems with the following examples.

**Example 7.1.** Let m=14, so  $\Delta=56$ . Here  $h_{\Delta}^{+}=2$  and  $h_{\Delta}=1$ . The continued fraction expansion of  $\omega=\frac{4+\sqrt{56}}{2\cdot 2}$  is  $\left[\overline{2,1,6,1}\right]$ :

$$\omega = \frac{2 + 2\sqrt{10}}{2 \cdot 3} \longleftrightarrow \begin{bmatrix} 4 & 4 & 6 & 6 & 4 & \dots \\ 2 & 5 & 1 & 5 & 2 & \dots \\ \hline 2 & 1 & 6 & 1 & 2 & \dots \end{bmatrix}$$

Since  $w(\omega) = 1, 6, 1, 2$ , we have  $s(\omega) = 2$ . There are two cycles of reduced forms (in boldface) to which are attached the intermediate forms:

**Example 7.2.** Let m=19, so  $\Delta=76$ . Here  $h_{\Delta}^{+}=2$  and  $h_{\Delta}=1$ . The continued fraction expansion of  $\omega=\frac{4+\sqrt{76}}{2\cdot 5}$  is  $\left[\overline{1,3,1,2,8,2}\right]$ :

Since  $w(\omega) = \underbrace{1, 2, \boxed{8}, 2, 1}, \underbrace{\boxed{3}}$ , we have  $s(\omega) = 1$ . There are two cycles of reduced forms (in boldface) to which are attached the intermediate forms:

**Example 7.3.** Let m=26, so  $\Delta=104$ . Here  $h_{\Delta}^{+}=h_{\Delta}=2$ . The continued fraction expansion of  $\omega_{1}=\frac{8+\sqrt{124}}{2\cdot 2}$  is  $\left[\overline{4,1,1}\right]$ :

Since  $w(\omega_1) = \underbrace{1, \boxed{4}, 1}$ , we have  $s(\omega_1) = 1$ .

The continued fraction expansion of  $\omega_2 = \frac{10 + \sqrt{124}}{2 \cdot 1}$  is  $\left[\overline{10}\right]$ :

Since  $w(\omega_2) = 1$ , we have  $s(\omega_2) = 1$ . There are two cycles of reduced forms (in boldface) to which are attached the intermediate forms:

**Example 7.4.** Let m=33, so  $\Delta=33$ . Here  $h_{\Delta}^{+}=2$  and  $h_{\Delta}=1$ . The continued fraction expansion of  $\omega=\frac{5+\sqrt{33}}{2\cdot 1}$  is  $\left[\overline{5,2,1,2}\right]$ :

Since  $w(\omega) = 2, \boxed{1}, 2, \boxed{5}$ , we have  $s(\omega) = 0$ . There are two cycles of reduced forms (in boldface) to which are attached the intermediate forms:

**Example 7.5.** Let m=41, so  $\Delta=41$ . We will see  $h_{\Delta}^+=h_{\Delta}=1$ . The continued fraction expansion of  $\omega=\frac{5+\sqrt{41}}{2\cdot 1}$  is  $\left[\overline{5,1,2,2,1}\right]$ :

Since  $w(\omega) = \underbrace{2, 1, \boxed{5}, 1, 2}$ , we have  $s(\omega) = 0$ . There is only one cycle of reduced forms (in boldface) to which are attached the intermediate forms.

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