Artin-Hasse Exponential

and an Introduction to p-adics

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Ring of Formal Power Series

We define a formal power series of a ring R to be the set $R[[x]] = \{\sum_{n \geqslant 0} a_n x^n \, | \, a_n \in R \}$. We define an addition and multiplication operation on R[[x]] as follows:

• Let $f(x) = \sum_{n \geqslant 0} a_n x^n$ and $g(x) = \sum_{n \geqslant 0} b_n x^n$. Then, we define

$$f(x) + g(x) = \sum_{n \ge 0} (a_n + b_n)x^n$$

where $a_n + b_n$ is carried out in R.

• Let $f(x) = \sum_{n\geqslant 0} a_n x^n$ and $g(x) = \sum_{n\geqslant 0} b_n x^n$. Then, we define

$$f(x) \cdot g(x) = \sum_{k \geqslant 0} \left(\sum_{i=0}^{k} a_i b_{k-i} \right) x^k$$

where $a_i \cdot b_{k-i}$ is carried out in R.

It turns out that R is a ring under the operations defined above.

Units of R[[x]]

Proposition

An element $f(x) \in R[[x]]$ is a unit in R if and only if f(0) (the first term of the power series) is a unit in R.

Proof.

If f(0) is not a unit, then: Let us assume that there is some g such that fg=1 where $f(x)=\sum_{i=0}^\infty a_ix^i$ and $g(x)=\sum_{i=0}^\infty b_ix^i$. Thus,

$$f(x)g(x) = \sum_{k=0}^{\infty} \left(\sum_{i=0}^{k} a_i b_{k-i}\right) x^k = 1$$

Hence, $a_0b_0=1$ and $\sum_{i=0}^k a_ib_{k-i}=0$ for all $k\geqslant 1$. So, $b_0=a_0^{-1}$. But, if a_0 is not a unit, its inverse does not exist. Contradiction. Thus, a_0 must be a unit.

Now, suppose that a_0 is a unit. Then, we have $b_0=1/a_0$. Now, when k=1, we have $a_0b_1+b_0a_1=0$. Thus, $b_1=-\frac{b_0a_1}{a_0}$ which clearly exists. By induction, we can keep going on and find each such b_i and hence the corresponding q(x) required. Thus, an inverse power series exists. \square

Composition of Power Series

Proposition

For $f(x), g(x) \in R[[x]]$, we have $f(g(x)) \in R[[x]]$ if and only if g(0) = 0.

Example

Consider $f(x) = 1 + x + x^2 + \cdots$ in $\mathbb{Z}[[x]]$.

- Consider g(x)=1. Then, clearly $f(g(x))=f(1)=1+1+\cdots$ which does not make sense. Hence, f(g(x)) is not defined in this case.
- Consider $g(x)=x^2$. Then, we have $f(g(x))=1+x^2+x^4+\cdots$ which is clearly an element of R[[x]] too.

Multivariate Power Series

We now extend formal power series to multiplie variables.

- We define R[[x,y]] to be (R[[x]])[[y]]
- More generally, we define $R[[x_1,\ldots,x_n]]$ to be $(R[[x_1,\ldots,x_{n-1}]])[[x_n]]$ inductively.
- By induction, one can see that if R is a ring, then $R[[x_1,\ldots,x_n]]$ is also a ring.

Polynomial Fields and Rational Functions

For some field k, we write k[x] to denote the set of polynomials with coefficients in k.

$$k(x) := \left\{ \frac{g(x)}{h(x)} \mid g, h \in k[x], h(x) \neq 0 \right\}$$

Firstly, we explore the relation between k(x), k[x] and k[[x]].

- $k[x] \subset k(x)$ (set h(x) = 1)
- $k[x] \subset k[[x]]$
- If $h(0) \neq 0$, then g(x)/h(x) can be expressed as a unique power series $t(x) \in k[[x]]$. This is called the power series expansion of g(x)/h(x).

The Coefficients of a Power Series Expansion

Proposition

If t(x) is the power series expansion of a rational function, then the coefficients, a_n of t(x) satisfy a linear recursion. That is, there exists some number $m \geqslant 1$ and and constants $c_1, \ldots, c_m \in k$ such that for all sufficiently large n, we have

$$a_n = \sum_{i=1}^m c_i a_{n-i}$$

Example

$$g(x) = 2x + 1$$
 and $h(x) = x^2 + 1$. Then,

$$\frac{g(x)}{h(x)} = \frac{2x+1}{x^2+1} = 1 + x + 2x - x^3 - 2x^4 + x^5 + 2x^6 - \dots$$

Notice how the terms of the power series are recursive.

Proof

Proof.

Suppose we have t(x)=g(x)/h(x) where t(x) is a power series and g,h are polynomials in k[x]. Therefore, we have g(x)=t(x)h(x). Now, g(x) has finite degree and so does h(x). However, t(x) is a power series and need not have a finite degree. Let the degrees of h(x),g(x) be m,k respectively. Next, we evaluate the expansion of the product t(x)h(x) and combine the terms of like degree. Now, for some n that is greater than both m and k, we must have that the coefficient of x^n is 0. Thus we get

$$a_n b_0 + \cdots a_{n-m} b_m = 0$$

for all n that is greater than both m and k. This gives us a linear recurrence relation for a_n :

$$a_n = -\frac{a_{n-1}b_1 + \dots + a_{n-m}b_m}{b_0}$$



Coefficients

Now, the converse of the previous proposition also holds. That is, if the coefficients of t(x) satisfy a linear recurrence relation, then t(x) is the power series expansion of some rational function. This can be proven by simply reversing the arguments of the converse.

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A Leftist Introduction

In our usual system we write numbers in the normal decimal system from left to right. Let us explore a new number system. Let us instead write the numbers from right to left. This is called as the leftist number system. Here are some rules to follow:

- Normally, we write a real number such as π as 3.141592... In the leftist number system, rather than writing the three dots to the right, we write the three dots to the left. For example, leftist 1 can be expressed as ...0001.
- The process of leftist addition and multiplication are similar to that in the rightist system.

Example

Add $\dots 9997$ to $\dots 0003$. Multiply $\dots 6667$ with $\dots 003$. Multiply $\dots 00624$ with $\dots 0625$.

Some Leftist Properties

- Negative numbers in the rightist system can be represented as a leftist number without adding a negative sign. For example, rightist -3 is leftist ...9997.
- Rational numbers in the rightist system can be represented as a leftist number without adding a division sign. For example, 1/3 = ...6667.
- Leftist numbers in normal decimal system(base 10) have zero divisors. In other words, we can find two non-zero leftist numbers in base 10 that multiply to give 0. An example is ...90625 and ...90624.
- ullet Normally, the decimal expansion of a real number such as 1234 is

$$1 \times 10^3 + 2 \times 10^2 + 3 \times 10 + 4$$

similarly, we can expand the leftist number $\dots 1234$ as:

$$\cdots + 1 \times 10^3 + 2 \times 10^2 + 3 \times 10 + 4$$

where the expansion continues indefinitely to the left.

Leftists in Other Bases

Now, instead of using base-10, we can use some other base, say p where p is a prime. In base $3, \dots 0112$ is a leftist number which can be represented as

$$\cdots + 2 \times 3^2 + 1 \times 3 + 2$$

Now, consider the set of all leftist numbers in base p. That is, the set of all numbers of the form

$$x_0 + x_1 p + x_2 p^2 + \cdots$$

The p-adic Integers

We can rewrite this series as a sequence of partial sums as follows:

$$x_0 + x_1p + x_2p^2 + \cdots \rightarrow (x_0, x_0 + x_1p, x_0 + x_1p + x_2p^2, \dots)$$

Now, let $a_1 = x_0, a_2 = x_0 + x_1 p, \ldots$ We call this set $\mathbb{Z}_p = (a_1, a_2, \ldots)$, the p-adic integers. Notice that:

- For all i, we have $a_i \in \mathbb{Z}/p^i\mathbb{Z}$ since $x_i \in \mathbb{Z}/p\mathbb{Z}$, where $\mathbb{Z}/p\mathbb{Z}$ is the ring of integers modulo p.
- For every k, we have $a_{k+1} \equiv a_k \pmod{p^k}$ since all terms up to p^k are the same.

We will see later why this sequencial definition of \mathbb{Z}_p is needed to make things simpler, rather than just calling \mathbb{Z}_p as the set of all leftist numbers.

The Ring of \mathbb{Z}_p

Recall that the set of leftist numbers had an addition operation. We define an equivalent addition operation on our alternative definition of \mathbb{Z}_p as done in the previous slide. Take $a=(a_1,a_2,\dots)$ and $b=(b_1,b_2,\dots)$. We define addition and multiplication as follows:

- $a + b = (a_1 + b_1, a_2 + b_2, \dots)$
- $ab = (a_1b_1, a_2b_2, \dots)$

Example

Convince yourself that the operations defined above are equivalent to the operations defined on the set of leftist numbers of base p.

Properties of \mathbb{Z}_p

- \mathbb{Z}_p forms a ring and has no zero divisors. Moreover, $\mathbb{Z} \subset \mathbb{Z}_p$.
- An element a of \mathbb{Z}_p is a unit if and only if $a_1 \not\equiv 0 \pmod{p}$.
- We say $a \equiv b \pmod{p^k}$ if $a_i = b_i$ for all $1 \leqslant i \leqslant k$.
- Every element of \mathbb{Z}_p can be expressed as $a=p^ku$ where k is a nonnegative integer and u is a unit.

Hensel's lifting Lemma

Proposition

Let f(x) be a polynomial with coefficients in \mathbb{Z}_p . Let $a_1 \in \mathbb{Z}/p\mathbb{Z}$ so that $f(a_1) \equiv 0 \pmod{p}$ and $f'(a_1) \not\equiv 0 \pmod{p}$. Then, there exists a unique $a \in \mathbb{Z}_p$ such that $a \equiv a_1 \pmod{p}$ and f(a) = 0.

Example

Let $f(x)=x^3-3$. Then, $f(2)=5\equiv 0\pmod 5$ say =5k and $f'(2)\equiv 3(2)^2\equiv 2\neq 0\pmod 5$. So we can apply hensel lemma that implies the existence of $a_2=5m+2$ such that $f(a_2)\equiv 0\pmod 25$. The proof of hensel's lemma gives us the unique value of $m=-k(f'(a_1))^{-1}$. In this case k would be 1 and $(f'(a_1))^{-1}=3$. So $a_2=12$. Indeed by inspection we can see $f(12)\equiv 0\pmod 25$

Expansion of leftist number in reals

Example

Evaluate the leftist number ...222 of base 3 in the reals.

Sol.

We have ...222 + ...001 = ...000 by performing addition. Thus, .the..222 = -1.

Now, we may also write $...222 = 2 + 2 \times 3 + 2 \times 3^2 + 2 \times 3^3 + \cdots$. If we use the formula for an infinite geometric progression, we get

$$\dots 222 = \frac{2}{1-3} = -1$$

which gives the correct answer. However, the geometric series formula is only valid when |r|<1. Yet, we arrived at the correct answer by substituting r=3.

Leftist Convergence

Notice that series that do not normally converge, such as $2+2\times 3+\cdots$, converge in the leftist numbers. Therefore, it is safe to conclude that the "+" operation that is being performed is not being performed in \mathbb{R} . We must therefore come up with some other system of numbers in which series such as the one above converge.

Constructing the *p*-adic Numbers

In order to deal with the problem explained in the previous slide, we now construct a new number system, called the p-adics, which we will denote by \mathbb{Q}_p . Now, notice that any rational number can be expressed as a leftist number. Therefore, \mathbb{Q} is contained in \mathbb{Q}_p . This gives us an idea: Can we construct \mathbb{Q}_p from \mathbb{Q} ? Can we do it in the same way that we construct \mathbb{R} from \mathbb{Q} ? How do we do so? Following is how \mathbb{R} is constructed from \mathbb{Q} .

- A Cauchy sequence is a sequence of rational numbers (x_n) so that the absolute value of the difference between the terms approaches 0. In other words, as $m,n\to\infty$ we have $|x_n-x_m|\to 0$. In other words, a Cauchy sequence is a sequence of rational numbers which we want to converge in our to be defined system, \mathbb{R} .
- ullet Now take the set of Cauchy sequences, S. For each element of S, find the limit of each sequence.
- The set of these limits is \mathbb{R} .

p-adic Absolute Value

We can similarly construct \mathbb{Q}_p from \mathbb{Q} as well. But there is a major difference. Consider the previous example of the leftist number $2+2\times 3+\cdots$ in base 3. This converges to -1 when evaluated in base 3. However, it is very obvious to see that under the normal absolute value, this sequence, i.e. $(2,2+2\times 3,\dots)$ is not a Cauchy sequence. Thus, in order to define \mathbb{Q}_p in the way we defined \mathbb{R} from \mathbb{Q} , we need to define a new notion of the absolute value.

Definition

We define $v_p(a)$ where a is an integer to be the highest power of p that divides a. We define $v_p(q)$ where q is a rational number of the form a/b to be $v_p(a)-v_p(b)$.

Definition

We define the p-adic absolute value of a rational number q to be $|q|_p = p^{-v_p(q)}$.

What does $|\cdot|_p$ Measure?

Notice that the newly defined p-adic absolute value measures inversely, the size of the power of k in the rational number. That is to say, if the power of p is high, then the number is p-adically small and if the power is small, the number is p-adically small. To make sense of this, we can think of the p-adic absolute value as something that measures up to what degree two rational numbers are equal. If we take the two rationals modulo p^k for each k, the two rational numbers are closer if they start to differ at a higher power k.

The Ultrametric

The p-adic absolute value satisfies the following properties:

- $\bullet \ |q|_p\geqslant 0.$ Equality occurs if and only if q=0
- $\bullet \ |qr|_p = |q|_p \, |r|_p$
- $\bullet |q+r|_p \leqslant |q|_p + |r|_p$

Notice how all these properties are satisfied by the absolute value in the reals too. Functions that satisfy the above are known as metrics (of a given space, which is $\mathbb Q$ in this case). However, there is one major difference between the p-adic metric and the absolute value:

$$|q+r|_p \leqslant \max(|q|_p,|r|_p)$$

A metric satisfying the above is called an ultrametric. This property leads to huge differences between the reals and the p-adics. An example which we will see later is that this leads to a much simpler condition for convergence in \mathbb{Q}_p than in \mathbb{R} , where we have multiple different convergence tests.

The p-adic Numbers

We define the p-adic numbers, similar to the reals as follows:

- A *p*-adic Cauchy sequence is a sequence such that the *p*-adic absolute value of higher terms get closer to each other.
- Now take the set of p-acid Cauchy sequences, S_p . For each element of S_p , find the limit of each sequence.
- The set of these limits is \mathbb{Q}_p .

The p-adic Integers Revisited

We define the p-adic integers \mathbb{Z}_p to be

$$\mathbb{Z}_p := \{ a \in \mathbb{Q}_p \mid |a|_p \leqslant 1 \}$$

Example

Prove that the above definition of \mathbb{Z}_p is equivalent to the previous definition of \mathbb{Z}_p as a sequence (Hint: Use the leftist numbers).

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Sequences in \mathbb{Q}_p

- We can extend the p-adic absolute value to elements of \mathbb{Q}_p itself. Let (a_i) be a sequence so that $a=\lim_{n\to\infty}a_n\in\mathbb{Q}_p$. Then, we define the p-adic absolute value of a to be the limit of the p-adic absolute value of a_n as n goes to infinity. This turns out to be well defined.
- From this, we can show that a sequence (a_n) where $a_n \in \mathbb{Q}_p$ converges in \mathbb{Q}_p if and only if the sequence $(|a_n|_p)$ converges in \mathbb{R} . Moreover, the absolute value of the limit of (a_n) equals the limit of the absolute value of a_n . That is, $|\lim_{n \to \infty} a_n|_p = \lim_{n \to \infty} |a_n|_p$.
- Another property is that the series $\sum_{n\geqslant 0} a_n$ converges if and only if the sequence (a_n) converges to 0.

Power Series in \mathbb{Q}_p

Recall that we can have a power series over any ring R. Since \mathbb{Q}_p is a ring, we can have one over \mathbb{Q}_p too. Call it $\mathbb{Q}_p[[x]]$.

- We say that the power series $f(x) = \sum_{n \geqslant 0} a_n x^n$ converges at $t \in \mathbb{Q}_p$ if the series $\sum_{n \geqslant 0} a_n t^n$ converges in \mathbb{Q}_p .
- The series converges if and only if $|a_nt^n|_p$ converges to 0 in \mathbb{R} .
- We define the radius of convergence of a power series in \mathbb{Q}_p to be the positive real r so that for all c < r we have $|a_n|_p c^n$ converges to 0 and for all c > r the same sequence diverges. This can be thought of as the largest p-adic absolute value for which all p-adic absolute value less than r, the series diverges.
- The radius of convergence is given by $r = (\limsup a_n^{1/n})^{-1}$

From Power Series to Functions

We define discs as follows:

- Open disc: The open disc of radius r centered at a is defined to be $D\left(a;r^{-}\right):=\{z\in\mathbb{Q}_{p}\mid |z-a|_{p}< r\}$
- Closed disc: The closed disc of radius r centered at a is defined to be $D\left(a;r\right):=\{z\in\mathbb{Q}_{p}\mid\left|z-a\right|_{p}\leqslant r\}$

We have also shown that the open disc is a closed set, likewise for the closed disc is an open set. (Hint: Pick a boundary point in the open disc, and observe the relation with the non-archimedean inequality, and see if you can still apply the same argument for the closed disc). Now, we can define a function

$$f: D\left(0; r^{-}\right) \to \mathbb{Q}_{p}$$

which evaluates to

$$\lim_{n\to\infty} \left(\sum_{n\geqslant 0} a_n x^n \right)$$

for any x in the respective domain.

Continuity of f(x)

The function, $f\colon D(0;r^-)\to \mathbb{Q}_p$ is continuous. In other words, for every $y\in \mathbb{Q}_p$ and $s\in \mathbb{R}_{>0}$ such that the preimage of $D(y;s^-)$ under f is a union of open discs. Which is given by,

$$f^{-1}(D(y;s^{-})) = \{a \in D(0;r^{-}) | f(a) \in D(y;s^{-})\}$$

For a sketch-proof, fix an element of the preimage of $D(y;s^-)$ under f, and see the relation with convergence in \mathbb{Q}_p . Hence we have,

$$f^{-1}(D(y; s^{-})) = \bigcup_{|t|_{p} < r} D(t; r^{-})$$

Exponentiation in \mathbb{Q}_p

We want to define an exponential function in \mathbb{Q}_p similar to e^x in \mathbb{R} . In order to do so, recall the power series of e^x in \mathbb{R} . We have

$$e^x = \sum_{n \ge 0} \frac{x^n}{n!}$$

We similarly define $\exp(x)$ in \mathbb{Q}_p as the following power series

$$\exp(x) = \sum_{n \ge 0} \frac{x^n}{n!}$$

The $\exp(x)$ function in \mathbb{Q}_p behaves differently from that in \mathbb{R} in several ways. As an example, the radius of convergence of $\exp(x)$ in \mathbb{Q}_p is not infinity. We have proven that the radius of convergence of $\exp(x)$ is $p^{-1/(p-1)}$ in $\mathbb{Q}_p[[x]]$. (Hint: Observe the relation of $v_p(n!)$ with the digits of n over base p)

Properties of exp

Some properties of \exp remain the same in \mathbb{Q}_p , while some other differ:

- The domain of $\exp(x)$ is $D\left(0; \left(p^{-1/(p-1)}\right)^{-}\right)$. Note how this differs from the domain of \exp in $\mathbb R$ which is the whole of $\mathbb R$.

- $\forall x,y \in D\left(0;\left(p^{-1/(p-1)}\right)^{-}\right), \left|\exp(x)-\exp(y)\right|_{p} = |x-y|_{p}.$ Observe how this is neater than in \mathbb{R} . This property does not hold in \mathbb{R} .

Logarithms in \mathbb{Q}_p

We define the logarithm power series as follows:

$$\log(1+x) = \sum_{n \ge 1} (-1)^{n+1} \frac{x^n}{n}$$

replicating the power series expansion of \log in the reals. The radius of convergence of this series turns out to be 1. Moreover, when $|1+x|_p=1$, the series converges as well. Thus, the domain will be $D\left(1;1^{-}\right)$. This can also be expressed as $1+p\mathbb{Z}_p$.

Properties of the Logarithm

- The domain of $\log(x)$ is $1 + p\mathbb{Z}_p$

Logarithm as an Inverse of Exponentiation

ullet We see that when $s\in D\left(0;\left(p^{-1/(p-1)}
ight)^{-}
ight)$ we have

$$\exp(s) \in D\left(1; \left(p^{-1/(p-1)}\right)^{-}\right)$$

which is a subset of $D(1;1^-)$. Hence, the composition of \log and \exp exists.

- Moreover, $\log(\exp(s)) = s$ for all $s \in D\left(0; \left(p^{-1/(p-1)}\right)^{-}\right)$.
- When $s \in D\left(1; \left(p^{-1/(p-1)}\right)^-\right)$ we have $\log(s) \in D\left(0; \left(p^{-1/(p-1)}\right)^-\right)$. Hence the composition of \exp and \log exists.
- Moreover, $\exp(\log(s)) = s$ for all $s \in D\left(0; \left(p^{-1/(p-1)}\right)^{-}\right)$.

This shows that \log and \exp are inverse functions of each other. However, note that they are inverses only when s is in a specific local range, unlike in \mathbb{R} , where they are inverses of each other for all of \mathbb{R} .

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Artin-Hasse Exponential Function

The Artin-Hasse Exponential is defined as follows:

$$E(x) = \exp\left(\sum_{n\geqslant 0} \frac{x^{p^n}}{p^n}\right)$$

While the above exponential seems random, it turns out that this exponential has some interesting properties. One such is the fact that $E(x) \in \mathbb{Z}_p[[x]]$. That is, E(x) turns out to be a power series in $\mathbb{Z}_p!$ This property is known as integrality. In order to prove this, we need the following Lemmas (one of which is Dwork's Lemma):

Lemma (Dwork's lemma)

Let $f(x) \in 1 + x\mathbb{Q}_p[[x]]$ be a formal power series with p-adic rational coefficients. Then $f(x) \in 1 + x\mathbb{Z}_p[[x]] \iff \frac{f(x^p)}{f(x)^p} \in 1 + px\mathbb{Z}_p[[x]]$

Artin-Hasse Exponential Function

Lemma

$$\exp(-px) \in 1 + p\mathbb{Z}_p[[x]]$$

Lemma

$$\frac{E(x^p)}{E(x)^p} = \exp(-px)$$

These 3 Lemmas imply that $E(x) \in \mathbb{Z}_p[[x]]$.

Proposition

The radius of convergence of E(x) is 1

For fun, if we have a finite extension of \mathbb{Q}_p , say $\mathbb{Q}_p(\sqrt{-p})$, does $E(\sqrt{p})$ converges? $E(\frac{1}{\sqrt{p}})$ converges? What do you think will be the radius of convergence of E(x) in $\mathbb{Q}_p(\sqrt{-p})$ be?

Research Part of Artin-Hasse Exponential Function

Theorem (Lindemann)

Let $\alpha \in \mathbb{C}$ be algebraic $\Longrightarrow \exp(\alpha)$ is transcendental. True for $\alpha \in \mathbb{Z}_p$ in the domain of the p-adic exponential.

It is not known if it is also true or false for E(x)! Now, let's reduce E(x) $\mod p$, and get $E_p(x) \in \mathbb{F}_p[[x]]$. Let $\mathbb{F}_p(x)$ be the field of rational functions over p, then it is not known whether E(x) is algebraic over $\mathbb{F}_p(x)$. One motivation to prove this is the following theorem:

Theorem (Christol, 1979)

A formal power series $f(x) = \sum_{n \geqslant 0} b_n x^n \in \mathbb{F}_q[[x]]$ is algebraic over $\mathbb{F}_q(x)$ (field of rational functions) $\iff (b_n)$ is a q-automatic sequence.

Can you create a p-analogue for this q-automatic sequence from Christol?

Research Part of Artin-Hasse Exponential Function

Let $\overline{\mathbb{Q}_p}$ denote the algebraic closure of \mathbb{Q}_p . The algebraic closure of a field is an extension of the field in which every polynomial equation with coefficients in the field has a root in the extension. In simple terms, it adds all the missing algebraic solutions to polynomial equations.

We have the following theorem:

Theorem (Baker)

Let $\lambda \in \mathbb{C}$ be non-zero such that $\exp(\lambda) \in \overline{\mathbb{Q}_p}$. Then for any pair of rational numbers (a,b), not both zero, we have $a+b\lambda > H^{-C}$ (for some constant C, and H is the max height of (a,b))

The challenge is to formulate a p-analogue of this theorem.