

BOUNDS FOR LATTICE POLYTOPES CONTAINING A FIXED NUMBER OF INTERIOR POINTS IN A SUBLATTICE

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ABSTRACT. A lattice polytope is a polytope in \mathbb{R}^n whose vertices are all in \mathbb{Z}^n . The volume of a lattice polytope \mathbf{P} containing exactly $k \geq 1$ points in $d\mathbb{Z}^n$ in its interior is bounded above by $kd^n(7(kd+1))^{n2^{n+1}}$. Any lattice polytope in \mathbb{R}^n of volume V can after an integral unimodular transformation be contained in a lattice cube having side length at most $n!V$. Thus the number of equivalence classes under integer unimodular transformations of lattice polytopes of bounded volume is finite. If \mathbf{S} is any simplex of maximum volume inside a closed bounded convex body \mathbf{K} in \mathbb{R}^n having nonempty interior, then $\mathbf{K} \subseteq (n+2)\mathbf{S} - (n+1)\mathbf{s}$ where $m\mathbf{S}$ denotes a homothetic copy of \mathbf{S} with scale factor m , and \mathbf{s} is the centroid of \mathbf{S} .

1. Introduction. A *lattice polytope* in \mathbb{R}^n is a convex polytope all of whose vertices are lattice points, i.e. points in \mathbb{Z}^n . A *rational polytope* \mathbf{P} is a convex polytope with all vertices in \mathbb{Q}^n . The *denominator* of a rational polytope \mathbf{P} is the smallest integer $d \geq 1$ such that $d\mathbf{P}$ is a lattice polytope.

For each $n \geq 2$ there are lattice polytopes in \mathbb{R}^n of arbitrarily large volume containing no interior lattice points, and for $n \geq 3$ there are lattice simplices of arbitrarily large volume whose vertices are their only lattice points. However D. Hensley [5] proved that any lattice polytope \mathbf{P} in \mathbb{R}^n containing *exactly* $k \geq 1$ interior lattice points has volume bounded by a finite bound $V(n, k)$, and furthermore the total number of lattice points in the interior and on the boundary of such \mathbf{P} is bounded by a finite bound $J(n, k)$.

The main purpose of this paper is to sharpen Hensley's upper bounds for $V(n, k)$ and $J(n, k)$, and to extend his results to apply to lattice polytopes containing a fixed number $k \geq 1$ of interior points in a given sublattice Λ of \mathbb{Z}^n . We also prove finiteness of the number of equivalence classes of such polytopes under lattice-point preserving affine maps. Finally, we prove that any closed convex body \mathbf{K} in \mathbb{R}^n contains a simplex \mathbf{S} such that $\mathbf{K} \subseteq (-n)\mathbf{S} + (n+1)\mathbf{s}$ and $\mathbf{K} \subseteq (n+2)\mathbf{S} - (n+1)\mathbf{s}$, where \mathbf{s} is the centroid of \mathbf{S} , and if \mathbf{K} is a lattice polytope then one can choose \mathbf{S} , $(-n)\mathbf{S} + (n+1)\mathbf{s}$, and $(n+2)\mathbf{S} - (n+1)\mathbf{s}$ to all be lattice simplices.

In extending Hensley's bounds, we treat first the special case $\Lambda = d\mathbb{Z}^n$. This case arises in considering rational polytopes of denominator d containing k interior lattice points in \mathbb{Z}^n , after rescaling to clear the denominator.

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THEOREM 1. *Let $V(n, k, d)$ denote the maximal volume of a lattice polytope in \mathbb{R}^n that contains exactly $k \geq 1$ points in $d\mathbb{Z}^n$ in its interior, and let $J(n, k, d)$ denote the maximum number of lattice points $J(n, k, d)$ inside or on the boundary of such a polytope. Then $V(n, k, d)$ and $J(n, k, d)$ are finite, with*

$$(1.1) \quad V(n, k, d) \leq kd^n (7(kd + 1))^{n2^{n+1}},$$

and

$$(1.2) \quad J(n, k, d) \leq n + n! kd^n (7(kd + 1))^{n2^{n+1}}.$$

The proof follows the general approach of Hensley’s proof, obtaining an improvement by sharpening his basic Diophantine approximation lemma. (Hensley’s bound for $V(n, k, 1)$ is roughly $k(4k)^{n!+1}$.)

Any bound on $V(n, k, d)$ must have double exponential dependence on n . In §2 we generalize examples of Zaks, Perles and Wills [10] to show that for $n \geq 2$,

$$V(n, k, d) \geq \frac{k + 1}{n!} (d + 1)^{2^{n-1}-1},$$

$$J(n, k, d) \geq k(d + 1)^{2^n-2}.$$

The bound (1.1) is probably far from the truth in its dependence on k , however, and conjectured extremal examples (see Proposition 2.6) suggest that $V(n, k, d)$ grows linearly in k as $k \rightarrow \infty$ with n and d fixed.

Exact formulae for $V(n, k, d)$ are known in a few cases. One has

$$V(1, k, d) = (k + 1)d,$$

and a result of Scott [9] gives

$$V(2, k, 1) = \begin{cases} 9/2 & \text{for } k = 1, \\ 2(k + 1) & \text{for } k \geq 2. \end{cases}$$

The bounds of Theorem 1 immediately yield bounds applicable to a general (full rank) sublattice Λ of \mathbb{Z}^n . Let d be the smallest positive integer such that $d\mathbb{Z}^n \subset \Lambda$. If $\lambda_i = \min\{\lambda \in \mathbb{N} : \lambda \mathbf{e}_i \in \Lambda\}$, then $\Lambda_0 = \langle \lambda_1 \mathbf{e}_1, \dots, \lambda_n \mathbf{e}_n \rangle$ is a sublattice of Λ , and $d\mathbb{Z}^n \subseteq \Lambda$ requires $d\mathbb{Z}^n \subseteq \Lambda_0$ so that $d = l.c.m.(\lambda_1, \dots, \lambda_n)$. Since for each i there is a basis of Λ whose first vector is $\lambda_i \mathbf{e}_i$, one has $\lambda_i | \det(\Lambda)$, so that $d | \det(\Lambda)$. If the columns of the integer matrix M are a basis of Λ then $\det(\Lambda) = |\det(M)|$ and $\text{adj}(M) = |\det(M)|M^{-1}$ is an integer matrix. Furthermore $\tilde{M} = \frac{d}{\det(\Lambda)} \text{adj}(M)$ is also an integer matrix, because $M\tilde{M} = dI$, and the columns of \tilde{M} express a basis of the sublattice $d\mathbb{Z}^n$ of Λ in terms of the basis M of Λ , hence are integral. The linear map $\Phi: \mathbb{R}^n \rightarrow \mathbb{R}^n$ given by $\Phi(x) = \tilde{M}x$ has $\Phi(\mathbb{Z}^n) \subseteq \mathbb{Z}^n$ and $\Phi(\Lambda) = d\mathbb{Z}^n$, and its determinant is $d^n (\det(\Lambda))^{-1}$. If a lattice polytope

\mathbf{P} contains exactly $k \geq 1$ interior lattice points in Λ , then $\Phi(\mathbf{P})$ is a lattice polytope containing exactly k interior lattice points in $d\mathbb{Z}^n$, hence

$$\text{Vol}(\Phi(\mathbf{P})) \leq V(n, k, d),$$

so that

$$(1.3) \quad \text{Vol}(\mathbf{P}) \leq (\det(\Lambda))d^{-n}V(n, k, d),$$

and one also obtains

$$(1.4) \quad \#(\mathbf{P} \cap \mathbb{Z}^n) \leq J(n, k, d).$$

The second question we study concerns the finiteness of the number of integral equivalence classes of such polytopes. The group of *lattice point preserving maps* $\mathcal{L}_n(\mathbb{Z})$ consists of those affine maps L with $L(\mathbb{Z}^n) = \mathbb{Z}^n$. They are exactly the maps $L(\mathbf{x}) = G\mathbf{x} + \mathbf{m}$ with $G \in GL(n, \mathbb{Z})$ and $\mathbf{m} \in \mathbb{Z}^n$. The subgroup $\mathcal{L}_{n,d}(\mathbb{Z})$ contains all such maps which also have $L(d\mathbb{Z}^n) = d\mathbb{Z}^n$; they consist of those maps $L \in \mathcal{L}_n(\mathbb{Z})$ having $\mathbf{m} \in d\mathbb{Z}^n$. Two polytopes \mathbf{P}_1 and \mathbf{P}_2 are *integrally equivalent* if $L(\mathbf{P}_1) = \mathbf{P}_2$ for $L \in \mathcal{L}_n(\mathbb{Z})$. Integrally equivalent polytopes have the same number of lattice points in each corresponding k -dimensional face. Two polytopes are *d-integrally equivalent* if $L(\mathbf{P}_1) = \mathbf{P}_2$ for $L \in \mathcal{L}_{n,d}(\mathbb{Z})$; such polytopes have the same number of lattice points in both \mathbb{Z}^n and $d\mathbb{Z}^n$ on corresponding faces.

We establish the finiteness of the number of integral equivalence classes of lattice polytopes of bounded volume, as a consequence of the following result. A *lattice cube* is a cube with sides parallel to the coordinate axes whose vertices are lattice points.

THEOREM 2. *Any lattice polytope in \mathbb{R}^n of volume $\leq V$ is integrally equivalent under a map $\mathbf{x} \rightarrow U\mathbf{x}$ with $U \in GL(n, \mathbb{Z})$ to a lattice polytope contained in a lattice cube of side length at most $n \cdot n! V$.*

The bound of Theorem 2 is reasonably tight since the lattice simplex \mathbf{S}_n with vertices $\mathbf{v}_0 = \mathbf{0}$ and $\mathbf{v}_i = \mathbf{e}_i$ for $1 \leq i \leq n-1$ and $\mathbf{v}_n = [n!V]\mathbf{e}_n$ has volume $\text{Vol}(\mathbf{S}_n) \leq V$ and for any $L \in \mathcal{L}_n(\mathbb{Z})$ the simplex $L(\mathbf{S}_n)$ is not contained in any lattice cube of side length $\frac{1}{\sqrt{n}}(n!)V$.

The finiteness of the number of integral equivalence classes of lattice polytopes of volume $\leq V$ follows immediately from Theorem 2. By a translation in \mathbb{Z}^n we may move the cube inside $\{(x_1, \dots, x_n) : 0 \leq x_i \leq n \cdot n! V\}$. Since there are only finitely many lattice points in this cube, there are at most finitely many integral equivalence types of such polytopes. If we wish to preserve membership in $d\mathbb{Z}^n$ as well, this translation must be in $d\mathbb{Z}^n$ and we can move the cube into $\{(x_1, \dots, x_n) : 0 \leq x_i \leq n \cdot n! V + d\}$. The finiteness of integral equivalence classes for lattice simplices for $n = 3$ was previously established by Reznick [8, Section 3].

We also prove several properties of maximal volume simplices contained in a convex body \mathbf{K} , some of which are used in the proof of Theorem 2.

THEOREM 3. (a) *Suppose \mathbf{K} is a closed bounded convex body in \mathbb{R}^n with nonempty interior. Let \mathbf{S} be any simplex of maximal volume contained in \mathbf{K} , and let \mathbf{s} be its centroid. Then*

$$(1.5) \quad \mathbf{K} \subseteq (-n)\mathbf{S} + (n + 1)\mathbf{s},$$

and

$$(1.6) \quad \mathbf{K} \subseteq (n + 2)\mathbf{S} - (n + 1)\mathbf{s}.$$

(b) *Any convex polytope \mathbf{K} contains a maximal volume simplex \mathbf{S} whose vertices are vertices of \mathbf{K} . In particular if \mathbf{K} is a lattice polytope then this \mathbf{S} is a lattice simplex, and both $(-n)\mathbf{S} + (n + 1)\mathbf{s}$ and $(n + 2)\mathbf{S} - (n + 1)\mathbf{s}$ are lattice simplices.*

The study of maximal volume simplices in a convex body goes back at least to Rado [7, pp. 242–244], who showed that the centroid \mathbf{s} of a maximal volume simplex in a convex body \mathbf{K} as in part (a) has the property that any chord in \mathbf{K} through \mathbf{s} is divided into two segments of ratio $k : l$ satisfying $\frac{1}{n} \leq \frac{k}{l} \leq n$. The inclusion $\mathbf{K} \subseteq (-n)\mathbf{S} + (n + 1)\mathbf{s}$ is a well-known result traceable back to Mahler [6, pp. 111–116], and appears in Andrews [1, Lemma 2]. The observation that $\mathbf{K} \subseteq (n + 2)\mathbf{S} - (n + 1)\mathbf{s}$ is apparently new.

These two inclusions in part (a) are both sharp for all $n \geq 2$, in the sense that the minimal $c_n > 0$ such that $\mathbf{S} \subseteq \mathbf{K} \subseteq c_n\mathbf{S} + (c_n - 1)\mathbf{s}$ is $c_n = n + 2$, and the minimal $|c_n|$ with $c_n < 0$ is $c_n = -n$, see the end of § 4.

2. Proof of Theorem 1. We first consider a lattice simplex \mathbf{S} in \mathbb{R}^n and let $(\alpha_0, \alpha_1, \dots, \alpha_n)$ denote the barycentric coordinates of an interior point $\mathbf{w} \in d\mathbb{Z}^n$ in \mathbf{S} . The basic idea (due to Hensley [5]) is to show that \mathbf{w} cannot be too close to a face of \mathbf{S} , i.e. that its barycentric coordinates are bounded away from 0 and 1. This bounds the coefficient of asymmetry of \mathbf{S} around the lattice point \mathbf{w} , which leads to a bound on its volume by a generalization of Minkowski’s convex body theorem due to Mahler.

The lower bound in the following one-sided Diophantine approximation lemma provides the basic ingredient in the proof. This result sharpens Lemma 3.1 in Hensley [5]. (Hensley’s lemma yields roughly the bound $\delta(n, d) \geq (4d)^{-n!-1}$.)

LEMMA 2.1. *For $d \geq 1$ let $\delta(n, d)$ be the largest constant such that for all positive real numbers $\alpha_1, \dots, \alpha_n > 0$ satisfying*

$$1 \geq \sum_{i=1}^n \alpha_i > 1 - \delta(n, d)$$

there exist integers Q, P_1, \dots, P_n with $Q > 0$, all $P_i \geq 0$, such that

- (1) $\sum_{i=1}^n \frac{P_i}{Q} = 1$,
- (2) $\alpha_i > \frac{dP_i}{dQ + 1}$ for $1 \leq i \leq n$,

$$(3) \quad 1 \leq dQ + 1 \leq \delta(n, d)^{-1}.$$

Then

$$(2.1) \quad \frac{d}{t_{n+1,d} - 1} \geq \delta(n, d) \geq (7(d + 1))^{-2^{n+1}},$$

where $t_{n,d}$ is determined by $t_{1,d} = d + 1$ and the recursion $t_{n,d} = t_{n-1,d}^2 - t_{n-1,d} + 1$.

One can easily prove by induction on n that

$$(d + 1)^{2^{n-1}} \geq t_{n,d} \geq (d + 1)^{2^{n-2}},$$

where the lower bound is derived using $u_{n,d} = t_{n,d} - 1$, which satisfies $u_{n,d} = u_{n-1,d}^2 + u_{n-1,d}$. These inequalities show that the lower bound in (2.1) is qualitatively similar in order of magnitude to the upper bound.

PROOF. The upper bound in (2.1) is obtained on choosing $\alpha_i = \frac{d}{t_{i,d}}$ for $1 \leq i \leq n$. One can easily prove by induction on n that $t_{n+1,d} - 1 = d \prod_{i=1}^n t_{i,d}$ and

$$\sum_{i=1}^n \alpha_i = 1 - \frac{d}{t_{n+1,d} - 1}.$$

Now there is no approximation satisfying (1)–(3), for if there were then (2) would give $dQ + 1 > P_i t_{i,d}$ for all i . This implies that $dQ \geq P_i t_{i,d}$ since $t_{i,d} \in \mathbb{Z}$, hence

$$\frac{d}{t_{i,d}} \geq \frac{P_i}{Q}, \quad 1 \leq i \leq n.$$

Consequently

$$1 - \frac{d}{t_{n+1,d} - 1} = \sum_{i=1}^n \alpha_i \geq \sum_{i=1}^n \frac{P_i}{Q} = 1,$$

a contradiction.

The main content of the lemma is the lower bound in (2.1). The proof is by induction on n , holding d fixed. It's true for all d in the base case $n = 1$, on taking $\delta(1, d) = \frac{1}{d+1}$ with $Q = P_1 = 1$. The upper bound in (2.1) holds with equality for this case.

Now suppose $n \geq 2$ and that the lower bound in (2.1) is true for all values smaller than n . Reorder the α_i so that $\alpha_1 \geq \alpha_2 \geq \dots \geq \alpha_n > 0$, and since $\sum_{i=1}^n \alpha_i \geq \frac{1}{2}$ (using the upper bound in (2.1)) we have $\alpha_1 \geq \frac{1}{2n}$. Let $\frac{1}{\Delta_{n,d}}$ denote a lower bound for $\delta(n, d)$, which will be determined in the proof (by (2.11) below), and choose $\Delta_{1,d} = d + 1$. We set $\sum_{i=1}^n \alpha_i = 1 - \mu$ with $0 < \mu < \frac{1}{\Delta_{n,d}}$.

If there is some $j < n$ such that

$$\alpha_1 + \dots + \alpha_j > 1 - \frac{1}{\Delta_{j,d}},$$

then by the induction hypothesis there exists (Q, P_1, \dots, P_j) satisfying (1)–(3) for $(\alpha_1, \dots, \alpha_j)$, and on setting $P_{j+1} = \dots = P_n = 0$ we obtain a solution to (1)–(3) for $(\alpha_1, \dots, \alpha_n)$. Thus we need only consider the case that

$$(2.2) \quad \alpha_{j+1} + \dots + \alpha_n \geq \frac{1}{\Delta_{j,d}}, \quad 1 \leq j \leq n - 1,$$

holds. Now the ordering of the α_i 's gives

$$(n - j)\alpha_{j+1} \geq \alpha_{j+1} + \alpha_{j+2} + \dots + \alpha_n,$$

which with (2.2) yields

$$(2.3) \quad \alpha_{j+1} \geq \frac{1}{n\Delta_{j,d}}, \quad 1 \leq j \leq n - 1.$$

By Minkowski's convex body theorem ([3, p. 71]) there exists a nonzero lattice point in the open symmetric convex body $\mathbf{K} = \mathbf{K}(Q, P_2, \dots, P_n)$ in \mathbb{R}^n defined by

$$(2.4a) \quad |Q| < R,$$

$$(2.4b) \quad |Q\alpha_i - P_i| < \min\left(\frac{1}{d}\alpha_i, \frac{1}{2n^2(d+1)}\right), \quad i \geq 2,$$

provided that $\text{Vol}(\mathbf{K}) > 2^n$, that is provided

$$(2.5) \quad R \prod_{i=2}^n \min\left(\frac{1}{d}\alpha_i, \frac{1}{2n^2(d+1)}\right) > 1.$$

Using the facts that $\alpha_j < 1/2$ for $i \geq 2$ and (2.3) we obtain, for $i \geq 2$,

$$\min\left(\frac{1}{d}\alpha_i, \frac{1}{2n^2(d+1)}\right) > \frac{\alpha_i}{n^2(d+1)} \geq \frac{1}{n^3(d+1)\Delta_{i-1,d}}.$$

Thus (2.5) is certainly satisfied whenever

$$(2.6) \quad R \geq n^{3n-3}(d+1)^{n-1} \prod_{i=1}^{n-1} \Delta_{i,d}.$$

Take a nonzero solution (Q, P_2, \dots, P_n) in \mathbf{K} , and observe that $Q \neq 0$ because $Q = 0$ implies by (2.4b) that all $P_i = 0$, a contradiction. We may suppose that $Q > 0$ since $(-Q_1 - P_1, \dots, -P_n)$ is also in \mathbf{K} , and (2.4b) then shows that all $P_i \geq 0$ for $i \geq 2$.

Now define P_1 by

$$P_1 = Q - \sum_{j=2}^n P_j,$$

which makes (1) hold. We also have by (2.4b) that

$$(2.7) \quad (dQ + 1)\alpha_i = dP_i + \alpha_i + d(Q\alpha_i - P_i) > dP_i$$

for $2 \leq i \leq n$, which verifies (2) except for $i = 1$. Next we show that $P_1 \geq 0$. If $\tilde{\alpha}_1 = \alpha_1 + \mu = 1 - \sum_{i=2}^n \alpha_i$, then

$$\begin{aligned} Q\tilde{\alpha}_1 - P_1 &= Q\left(1 - \sum_{i=2}^n \alpha_i\right) - \left(Q - \sum_{i=2}^n P_i\right) \\ &= -\sum_{i=2}^n (Q\alpha_i - P_i). \end{aligned}$$

Hence using $\tilde{\alpha}_1 \geq \alpha_1 \geq \frac{1}{2n}$,

$$(2.8) \quad |Q\tilde{\alpha}_1 - P_1| \leq \sum_{i=2}^n |Q\alpha_i - P_i| \leq \sum_{i=2}^n \frac{1}{2n^2(d+1)} < \frac{1}{d+1} \tilde{\alpha}_1.$$

Thus P_1 is the nearest integer to $Q\tilde{\alpha}_1$, hence $P_1 \geq 0$.

We claim that (2) and (3) will hold provided $\Delta_{n,d}$ and R are suitably chosen. To check (2) we need only treat the case $i = 1$, by (2.7). We have, using (2.8) and (2.4a),

$$\begin{aligned} (dQ+1)\alpha_1 &= (dQ+1)\tilde{\alpha}_1 - (dQ+1)\mu \\ &= dP_1 + \tilde{\alpha}_1 + d(Q\tilde{\alpha}_1 - P_1) - (dQ+1)\mu \\ &\geq dP_1 + \tilde{\alpha}_1 - \frac{d}{d+1}\tilde{\alpha}_1 - (dR+1)\mu \\ &> dP_1 + \frac{1}{d+1}\tilde{\alpha}_1 - (dR+1)\frac{1}{\Delta_{n,d}}. \end{aligned}$$

This shows that (2) holds provided that

$$(2.9) \quad dR+1 \leq \frac{1}{2n(d+1)}\Delta_{n,d},$$

since $\tilde{\alpha}_1 \geq \frac{1}{2n}$. Also the inequality (2.9) guarantees that (3) holds, since $1 \leq Q \leq R$.

Thus to prove existence it suffices to choose $\Delta_{n,d}$ large enough that an R exists satisfying (2.6) and (2.9). Now (2.9) holds if

$$R \leq \frac{1}{2n(d+1)^2}\Delta_{n,d}.$$

This condition will allow an R for which (2.6) holds to exist provided that

$$(2.10) \quad \frac{1}{2n(d+1)^2}\Delta_{n,d} \geq n^{3n-3}(d+1)^{n-1} \prod_{i=1}^{n-1} \Delta_{i,d}.$$

It suffices to choose

$$(2.11) \quad \Delta_{n,d} = n^{3n}(d+1)^{n+1} \prod_{i=1}^{n-1} \Delta_{i,d},$$

for $\Delta_{n,d}$ to make (2.10) hold for $n \geq 2$ and this completes the induction step.

To complete the proof, we show that

$$\Delta_{n,d} \leq (7(d+1))^{2^{n+1}}.$$

Indeed (2.11) for $n \geq 2$ gives the recursion

$$\log \Delta_{n,d} = 3n \log n + (n+1) \log(d+1) + \sum_{i=1}^{n-1} \log(\Delta_{i,d})$$

with $\Delta_{1,d} = d + 1$. This recursion can be solved explicitly, yielding the following inequalities (in which the logarithms are to base 2):

$$\begin{aligned} \log \Delta_{n,d} &= 3n \log n + 3 \sum_{i=2}^{n-1} 2^{n-i-1} i \log i + (5 \cdot 2^{n-2} - 1) \log(d + 1) \\ &< 3 \cdot 2^{n-1} \sum_{i \geq 2} 2^{-i} (i \log i) + 5 \cdot 2^{n-2} \log(d + 1) \\ &< 3 \cdot 2^{n-1} \sum_{i \geq 2} 2^{-i} i(i - 1) + 5 \cdot 2^{n-2} \log(d + 1) \\ &= 3 \cdot 2^{n+1} + 5 \cdot 2^{n-2} \log(d + 1) < 2^{n+1} \log(7(d + 1)). \end{aligned}$$

Hensley conjectured that the upper bound in (2.1) holds with equality for $d = 1$ and all n , and we extend this to conjecture that it holds for all n and d . The proof showed the conjecture is true for $n = 1$ and all d , and we have also verified it in the cases $(n, d) = (2, 1), (3, 1), (2, 2)$ and $(2, 3)$.

LEMMA 2.2. *If S is a lattice simplex in \mathbb{R}^n with $k = \#(d\mathbb{Z}^n \cap \text{Int}(S)) \geq 1$, and if $(\alpha_0, \dots, \alpha_n)$ are the barycentric coordinates of an interior point \mathbf{w} in $d\mathbb{Z}^n$ then*

$$\delta(n, dk) \leq \alpha_i \leq 1 - n\delta(n, dk).$$

PROOF. Suppose not, so that some $\alpha_i < \delta(n, dk)$, which we may take to be α_0 . Lemma 2.1 applies to $(\alpha_1, \dots, \alpha_n)$ and the (Q, P_1, \dots, P_n) it produces satisfies

$$(jQ + 1)\alpha_i > jP_i, \quad 1 \leq i \leq n$$

for $1 \leq j \leq kd$. If \mathbf{v}_i are the vertices of S then

$$\mathbf{x}_m = (mdQ + 1)\mathbf{w} + m \sum_{i=1}^n dP_i \mathbf{v}_i$$

for $0 \leq m \leq k$ are distinct points in $d\mathbb{Z}^n \cap \text{Int}(S)$, a contradiction. ■

Theorem 1.1 for a lattice simplex S follows from Lemma 2.1 and the following bound.

LEMMA 2.3. *Suppose that S is a lattice simplex in \mathbb{R}^n such that $k = \#(d\mathbb{Z}^n \cap \text{Int}(S)) \geq 1$. Then*

$$\text{Vol}(S) \leq \frac{1}{n!} (k + 1) d^n \delta(n, dk)^{-n}.$$

PROOF. We adapt the proof of Theorem 3.4 in [5]. Let Φ be an affine map that takes S to the “standard simplex” S_0 having vertices $\mathbf{0}, \mathbf{e}_1, \dots, \mathbf{e}_n$ in \mathbb{R}^n . Let $\Lambda = \Phi(\mathbb{Z}^n)$, so that Λ is a (possibly noninteger) lattice of determinant $|\det(\Phi)|$ and S has volume $\text{Vol}(S) = \frac{1}{n!} |\det(\Phi)|^{-1}$.

Suppose that $\mathbf{y} \in d\mathbb{Z}^n \cap \text{Int}(S_0)$ and set $\mathbf{v} = \Phi(\mathbf{y}) = \sum_{i=1}^n \alpha_i \mathbf{e}_i$, where α_i are barycentric coordinates. The region $\mathbf{R} = \{\mathbf{v} + \mathbf{u} : |u_i| < \alpha_i \text{ for } 1 \leq i \leq n\}$ is centrally symmetric about \mathbf{v} , and $\Phi(d\mathbb{Z}^n) = \mathbf{v} + d\Lambda$ is a coset of the lattice $d\Lambda$. By

van der Corput’s theorem ([4, p. 51]) \mathbf{R} contains at least the greatest integer strictly less than $\left(\prod_{i=1}^n \alpha_i\right) \frac{1}{d^n} |\det(\Phi)|^{-1}$ distinct pairs of points $\mathbf{v} \pm \mathbf{u}$ where each $\mathbf{u} \in d\Lambda$ is nonzero. Now let $\mathbf{u} = \sum_{i=1}^n u_i \mathbf{e}_i$ with $|u_i| < \alpha_i$ for all i . Then at least one of $\mathbf{v} + \mathbf{u}$ and $\mathbf{v} - \mathbf{u}$ is in $\text{Int}(\mathbf{S}_0)$ if some $\alpha_i > 1/2$ and both $\mathbf{v} \pm \mathbf{u}$ are in $\text{Int}(\mathbf{S}_0)$ otherwise. Thus Lemma 2.2 yields

$$k = \#(d\mathbf{Z}^n \cap \text{Int}(\mathbf{S})) = \#((\mathbf{v} + d\Lambda) \cap \text{Int}(\mathbf{S}_0)) \geq \frac{1}{d^n} \left(\prod_{i=1}^n \alpha_i\right) |\det(\Phi)|^{-1} - 1, \\ \geq d^{-n} \delta(n, kd)^n n! \text{Vol}(\mathbf{S}) - 1.$$

To prove Theorem 1 for a general lattice polytope \mathbf{P} we follow Hensley’s arguments exactly. As a consequence of Lemma 2.2 one has:

LEMMA 2.4. *Let \mathbf{F} be a lattice polytope in \mathbb{R}^n of dimension $n - 1$. Let \mathbf{x}_0 be a lattice point not in the $(n - 1)$ -dimensional hyperplane containing \mathbf{F} and let \mathbf{P} be the conical lattice polytope which is the convex hull of \mathbf{F} and \mathbf{x}_0 . Suppose $k = \#(d\mathbf{Z}^n \cap \text{Int}(\mathbf{P})) \geq 1$. If $\mathbf{x}_1, \dots, \mathbf{x}_m$ are the lattice vertices of \mathbf{F} then for any barycentric representation of \mathbf{y} contained in $d\mathbf{Z}^n \cap \text{Int}(\mathbf{P})$ as $\mathbf{y} = \sum_{i=0}^m \alpha_i \mathbf{x}_i$ with all $\alpha_i \geq 0$, $\sum_{i=0}^m \alpha_i = 1$, one has*

$$\delta(n, dk) \leq \alpha_0 \leq 1 - \delta(n, dk).$$

PROOF. See Hensley, [5, Corollary 3.2].

The coefficient of asymmetry $\sigma(\mathbf{K}, \mathbf{x})$ of a convex body \mathbf{K} about a point \mathbf{x} is

$$\sigma(\mathbf{K}, \mathbf{x}) = \sup_{\|\mathbf{y}\|=1} \frac{\max\{\lambda : \mathbf{x} + \lambda \mathbf{y} \in \mathbf{K}\}}{\max\{\lambda : \mathbf{x} - \lambda \mathbf{y} \in \mathbf{K}\}}.$$

Using Lemma 2.4 one finds that the coefficient of asymmetry $\sigma(\mathbf{P}, \mathbf{y})$ of a lattice polytope \mathbf{P} having $\#(d\mathbf{Z}^n \cap \text{Int}(\mathbf{P})) = k \geq 1$ about any $\mathbf{y} \in (d\mathbf{Z}^n \cap \text{Int}(\mathbf{P}))$ satisfies

$$(2.12) \quad \sigma(\mathbf{P}, \mathbf{y}) \leq \frac{1 - \delta(n, kd)}{\delta(n, kd)}.$$

Now we use the following extension of a theorem of Mahler (see [4, p. 52]).

THEOREM 2.5. *If \mathbf{K} is any convex body having $k = \#(d\mathbf{Z}^n \cap \text{Int}(\mathbf{K})) \geq 1$, such that the coefficient of asymmetry $\sigma(\mathbf{P}, \mathbf{y})$ about some $\mathbf{y} \in d\mathbf{Z}^n \cap \text{Int}(\mathbf{K})$ satisfies $\sigma(\mathbf{P}, \mathbf{y}) \leq \frac{1-\delta}{\delta}$ then*

$$\text{Vol}(\mathbf{K}) \leq k \left(\frac{d}{\delta}\right)^n.$$

PROOF. By rescaling coordinates by a factor of d we may suppose without loss of generality that $d = 1$, and by a further translation we may suppose that $\mathbf{y} = \mathbf{0}$. We argue by contradiction. If $\text{Vol}(\mathbf{K}) > k\delta^{-n}$, then one can choose $\varepsilon > 0$ small enough that $\mathbf{K}' = (1 - \varepsilon)\mathbf{K}$ has $\text{Vol}(\mathbf{K}') > k\delta^{-n}$. Then put $\mathbf{K}'' = (1 + \sigma)^{-1}\mathbf{K}' = \delta^{-1}\mathbf{K}'$, and

$\text{Vol}(\mathbf{K}'') > k$. By van der Corput's theorem ([4, p. 51]) \mathbf{K}'' contains points $\mathbf{x}, \mathbf{y}_1, \dots, \mathbf{y}_{k+1}$ such that all $\mathbf{y}_i - \mathbf{x} \in \mathbb{Z}^n$. Now $-\frac{1}{\sigma}\mathbf{x} \in \mathbf{K}''$ by definition of $\sigma = \sigma(\mathbf{K}, \mathbf{0}) = \sigma(\mathbf{K}'', \mathbf{0})$. By convexity

$$\frac{1}{1+\sigma}(\mathbf{y}_i - \mathbf{x}) = \frac{1}{1+\sigma}\mathbf{y}_i + \frac{\sigma}{1+\sigma}\left(-\frac{1}{\sigma}\mathbf{x}\right) \in \mathbf{K}'',$$

hence all $\mathbf{y}_i - \mathbf{x} \in \mathbf{K}'$. Since $\mathbf{K}' \subseteq \text{Int}(\mathbf{K})$, there are $k + 1$ interior lattice points in \mathbf{K} , a contradiction. ■

We have now completed all the work for Theorem 1. In fact, applying Theorem 2.5 to (2.12) yields

$$\text{Vol}(\mathbf{P}) \leq kd^n \delta(n, kd)^{-n},$$

and (1.1) follows using Lemma 2.1. If \mathbf{P} is a lattice simplex Lemma 2.3 gives a slightly stronger bound for $n \geq 2$.

A theorem of Blichfeldt ([2],[3, p. 69]) asserts that any body \mathbf{P} containing J lattice points spanning \mathbb{R}^n has $\text{Vol}(\mathbf{P}) \geq \frac{J-n}{n!}$, which yields $J \leq n + n! \text{Vol}(\mathbf{P})$, and (1.2) follows. ■

We give lower bounds for $V(n, k, d)$ and $J(n, k, d)$ by extending examples of Zaks, Perles and Wills [10]. These involve the sequences $t_{n,d}$ defined in Lemma 2.1.

PROPOSITION 2.6. *The lattice simplex $\mathbf{S}_{n,k,d}$ having vertices $\mathbf{v}_0 = \mathbf{0}, \mathbf{v}_i = t_{i,d}\mathbf{e}_i$ for $1 \leq i \leq n - 1$, and $\mathbf{v}_n = (k + 1)(t_{n,d} - 1)\mathbf{e}_n$ contains exactly k interior lattice points in $d\mathbb{Z}^n$. Hence*

$$(2.13) \quad V(n, k, d) \geq \frac{k + 1}{n!} \left(\prod_{i=1}^{n-1} t_{i,d} \right) (t_{n,d} - 1) = \frac{k + 1}{n!} \frac{1}{d} (t_{n,d} - 1)^2,$$

and

$$J(n, k, d) \geq (k + 1)(t_{n,d} - 1).$$

This proposition gives the lower bounds stated in § 1 using $t_{n,d} > (d + 1)^{2^{n-2}}$ for $n \geq 2$.

PROOF. We show that

$$\text{Int}(\mathbf{S}_{n,k,d}) \cap d\mathbb{Z}^n = \{(d, d, \dots, d, id) : 1 \leq i \leq k\}.$$

Let $(\alpha_0, \alpha_1, \dots, \alpha_n)$ denote the barycentric coordinates of a lattice point $\mathbf{w} = \sum_{i=0}^n \alpha_i \mathbf{v}_i \in d\mathbb{Z}^n$ in $\text{Int}(\mathbf{S}_{n,k,d})$. By induction on i for $1 \leq i \leq n - 1$ starting from $i = 1$ one shows that $\alpha_i = \frac{d}{t_{i,d}}$ using the relation

$$(2.14) \quad \sum_{j=1}^i \frac{d}{t_{j,d}} = 1 - \frac{d}{t_{i+1,d} - 1},$$

because necessarily $\alpha_j = \frac{md}{t_{j,d}}$ for some $m \geq 1$, and choosing $m \geq 2$ gives $\sum_{j=1}^i \alpha_j > 1$, a contradiction. Next (2.14) allows only $\alpha_n = \frac{md}{(k+1)(t_{n,d}-1)}$ with $1 \leq m \leq k$. Since $\alpha_0 = 1 - \sum_{j=1}^n \alpha_j$ one checks that these barycentric coordinates actually yield the k lattice points in $d\mathbb{Z}^n$ above. ■

It is possible that equality holds in (2.13) for all $(n, k, d) \neq (2, 1, 1)$. This is however an open problem even for $n = 2$. Furthermore it is possible that the only lattice polytopes attaining equality in (2.13) are lattice simplices unless $(n, d) = (2, 1)$.

3. **Proof of Theorem 2.** First consider the case that the polytope is a simplex S having vertices $v_0, v_1, \dots, v_n \in \mathbb{Z}^n$. Consider the lattice Λ spanned by the basis vectors $w_i = v_i - v_0$ for $1 \leq i \leq n$. Then Λ is a sublattice of \mathbb{Z}^n and

$$\det(\Lambda) = [\mathbb{Z}^n : \Lambda] = n! \text{Vol}(S) \leq n! V.$$

Let B be the integer matrix whose i^{th} row is w_i , so that $|\det(B)| = \det(\Lambda)$. If P_0 is the parallelepiped $\{y : y = \sum_{i=1}^n y_i w_i, 0 \leq y_i \leq 1\}$ then S is contained in the translated parallelepiped $v_0 + P_0$. Now there is a matrix $U \in GL(n, \mathbb{Z})$ taking the basis matrix to the lower-triangular form (Hermite normal form):

$$(3.1) \quad UB = \begin{bmatrix} a_{11} & & & & \\ a_{21} & a_{22} & & & \\ \vdots & & \ddots & & \\ a_{n1} & \cdots & \cdots & a_{nn} & \end{bmatrix},$$

with $0 \leq a_{ji} < a_{ii}$ for $j > i$ and all $a_{ii} > 0$ ([3, p. 13]). Now $|\det(B)| = \prod_{i=1}^n a_{ii} \leq n! V$, hence $1 \leq a_{ii} \leq n! V$ and the parallelepiped generated by the row vectors of UB is contained in the cube $\{x : 0 \leq x_i \leq n! V \text{ for } 1 \leq i \leq n\}$. The map $x \rightarrow Ux \in \mathcal{L}_n$ takes S to US , which is contained in this parallelepiped, and thus lies in a lattice cube of side at most $n! V$.

Now suppose that P is an arbitrary lattice polytope. We assume that Theorem 3 is proved. By Theorem 3(b) it contains a maximal volume simplex S which is a lattice simplex. The argument above shows that there exists a transformation $U \in GL(n, \mathbb{Z})$ such that $x \rightarrow Ux$ maps S to a lattice simplex S_1 contained in a lattice cube C of side $n! V$, and maps P to a lattice polytope P_1 . Then S_1 is a maximal volume simplex in P_1 , so by Theorem 3(a) P_1 is contained in the lattice simplex $(-n)S_1 + (n + 1)s$, where s is the centroid of S_1 , and $(n + 1)s \in \mathbb{Z}^n$. Consequently P_1 is contained in the lattice cube $(-n)C + (n + 1)s$ of side $n \cdot n! V$. ■

4. **Proof of Theorem 3.** Let S be any maximal volume simplex in the bounded convex body K , and let v_0, \dots, v_n be the vertices of S . By making a translation if necessary we may assume that the centroid of S is 0 , i.e. $\sum_{i=0}^n v_i = 0$. Our object is then to show that $K \subseteq (-n)S$ and $K \subseteq (n + 2)S$. Let H_i be the hyperplane spanned by all the vertices except v_i , and let $d_i = \text{dist}(v_i, H_i)$. Define H_i^+, H_i^- to be the two hyperplanes parallel to H_i such that H_i^+ contains v_i while H_i^- is at distance d_i from H_i with H_i separating H_i^- from v_i . We claim that K is contained in the closed region R_i between H_i^+ and H_i^- . For if $y \in K$ were outside this region, then the simplex spanned by y and all v_j for $j \neq i$ would have volume bigger than $\text{Vol}(S)$, a contradiction. Hence $K \subseteq \bigcap_{i=0}^n R_i$.

We will show that

$$(4.1) \quad \bigcap_{i=0}^n R_i = (n + 2)S \cap (-n)S,$$

which implies part (a) of the theorem. Since \mathbf{S} has nonzero volume, all points in \mathbb{R}^n have unique barycentric coordinates $\mathbf{y} = \sum_{i=0}^n \beta_i \mathbf{v}_i$ with $\sum_{i=0}^n \beta_i = 1$. The region \mathbf{R}_i is given by the barycentric coordinates:

$$\mathbf{R}_i = \left\{ \mathbf{y} = \sum_{j=0}^n \beta_j \mathbf{v}_j : \sum_{j=0}^n \beta_j = 1 \text{ and } |\beta_i| \leq 1 \right\}.$$

This is clear since if $\mathbf{y} = \sum_{j=0}^n \beta_j \mathbf{v}_j$ then $\text{dist}(\mathbf{y}, H_i) = |\beta_i| d_i$. Hence

$$(4.2) \quad \bigcap_{i=1}^n \mathbf{R}_i = \left\{ \mathbf{y} = \sum_{j=0}^n \beta_j \mathbf{v}_j : \sum_{j=0}^n \beta_j = 1 \text{ and all } |\beta_j| \leq 1 \right\}.$$

Since $\sum_{i=0}^n \mathbf{v}_i = \mathbf{0}$ by hypothesis,

$$(4.3) \quad \begin{aligned} (-n)\mathbf{S} &= \left\{ \mathbf{y} = \sum_{j=0}^n \alpha_j (-n\mathbf{v}_j) : \sum_{j=0}^n \alpha_j = 1 \text{ and all } \alpha_j \geq 0 \right\} \\ &= \left\{ \mathbf{y} = \sum_{j=0}^n \beta_j \mathbf{v}_j : \sum_{j=0}^n \beta_j = 1 \text{ and all } \beta_j \leq 1 \right\}, \end{aligned}$$

where $\beta_j = -n\alpha_j + 1$. Similarly

$$(4.4) \quad \begin{aligned} (n+2)\mathbf{S} &= \left\{ \mathbf{y} = \sum_{j=0}^n \alpha_j (n+2)\mathbf{v}_j : \sum_{j=0}^n \alpha_j = 1 \text{ and all } \alpha_j \geq 0 \right\} \\ &= \left\{ \mathbf{y} = \sum_{j=0}^n \beta_j \mathbf{v}_j : \sum_{j=0}^n \beta_j = 1 \text{ and all } \beta_j \geq -1 \right\} \end{aligned}$$

where $\beta_j = (n+2)\alpha_j - 1$. The equality (4.1) follows on comparing (4.2)–(4.4).

To prove part (b), let \mathbf{P} be a convex polytope having nonzero volume. We wish to show that \mathbf{P} contains a maximal volume simplex whose vertices are all vertices of \mathbf{P} . Let \mathbf{S}' be a maximal volume simplex contained in \mathbf{P} . If it has a vertex \mathbf{w}' not a vertex of \mathbf{P} , consider the linear program of maximizing the (oriented) distance of a point in \mathbf{P} from the hyperplane spanned by the other n vertices of \mathbf{S}' . Some vertex \mathbf{w}'' of \mathbf{P} is an optimal point for this linear program, so we can replace \mathbf{w}' by \mathbf{w}'' to obtain a new maximal volume simplex for \mathbf{P} which has one fewer vertex not a vertex of \mathbf{P} . Continuing in this way, we eventually obtain a maximal volume simplex \mathbf{S} all of whose vertices are vertices of \mathbf{P} .

If \mathbf{P} is a lattice polytope this \mathbf{S} is a lattice simplex. If its vertices are $\mathbf{v}_0, \dots, \mathbf{v}_n$ then $(n+1)\mathbf{s} = \sum_{i=0}^n \mathbf{v}_i \in \mathbb{Z}^n$. Hence $(-n)\mathbf{S} + (n+1)\mathbf{s}$ and $(n+2)\mathbf{S} - (n+1)\mathbf{s}$ are lattice simplices. ■

REMARKS. (1) If \mathbf{P} is a lattice polytope having the maximum volume simplex \mathbf{S} which is a lattice simplex, then

$$\bigcap_{i=0}^n \mathbf{R}_i = (n+2)\mathbf{S} \cap (-n)\mathbf{S}$$

is a lattice polytope. For (4.2) implies that its vertices are contained in the set of lattice points $\left\{ \sum_{i=0}^n \beta_i \mathbf{v}_i : \sum_{i=0}^n \beta_i = 1 \text{ and all } \beta_i \in \{1, 0, -1\} \right\}$.

(2) The inclusion $\mathbf{K} \subset (-n)\mathbf{S} + (n+1)\mathbf{s}$ is sharp in the sense that if $\mathbf{K} \subset c_n\mathbf{S} + (1 - c_n)\mathbf{s}$ for all \mathbf{K} and $c_n < 0$ then $c_n \leq -n$. Take \mathbf{K} to be a simplex

$$\begin{aligned} \mathbf{S} &= \text{conv}(\mathbf{0}, \mathbf{e}_1, \dots, \mathbf{e}_n). \\ &= \left\{ \mathbf{x} \in \mathbb{R}^n : \text{all } x_i \geq 0 \text{ and } \sum_{i=1}^n x_i \leq 1 \right\}. \end{aligned}$$

Then $\mathbf{s} = \left(\frac{1}{n+1}, \dots, \frac{1}{n+1}\right)$ and for $c_n < 0$ one has

$$c_n\mathbf{S} = \left\{ \mathbf{x} \in \mathbb{R}^n : \text{all } x_i \leq 0 \text{ and } \sum_{i=1}^n x_i \geq c_n \right\}.$$

Hence

$$c_n\mathbf{S} + (1 - c_n)\mathbf{s} = \left\{ \mathbf{x} \in \mathbb{R}^n : \text{all } x_i \leq \frac{1 - c_n}{n + 1} \text{ and } \sum_{i=1}^n x_i \geq \frac{1}{n + 1}(n + c_n) \right\}.$$

To obtain \mathbf{e}_1 in this region requires $c_n \leq -n$.

(3) The inclusion $\mathbf{K} \subset (n+2)\mathbf{S} - (n+1)\mathbf{s}$ is sharp in the sense that if $\mathbf{K} \subset c_n\mathbf{S} + (1 - c_n)\mathbf{s}$ for all \mathbf{K} and $c_n > 0$ then $c_n \geq n + 2$. Let

$$\mathbf{K} = \text{conv}\{\pm\mathbf{e}_i : 1 \leq i \leq n\}$$

be the n -dimensional cross-polytope. A maximum volume simplex \mathbf{S} in \mathbf{K} is given by

$$\begin{aligned} \mathbf{S} &= \text{conv}\{-\mathbf{e}_1, \mathbf{e}_1, \mathbf{e}_2, \dots, \mathbf{e}_n\} \\ &= \left\{ \mathbf{x} \in \mathbb{R}^n : x_2 \geq 0, \dots, x_n \geq 0, \pm x_1 + \sum_{i=2}^n x_i \leq 1 \right\}. \end{aligned}$$

of volume $\frac{2}{n!}$, with centroid $\mathbf{s} = \left(0, \frac{1}{n+1}, \dots, \frac{1}{n+1}\right)$. This holds because every lattice simplex in \mathbf{K} has this form after a suitable permutation of the coordinate axes, and after sending certain $x_i \rightarrow -x_i$. Now suppose $c_n > 0$ is such that $\mathbf{K} \subseteq c_n\mathbf{S} - (c_n - 1)\mathbf{s}$. Computation yields

$$c_n\mathbf{S} = \left\{ \mathbf{x} \in \mathbb{R}^n : x_2 \geq 0, \dots, x_n \geq 0, \pm x_1 + \sum_{i=2}^n x_i \leq c_n \right\},$$

hence

$$\begin{aligned} c_n\mathbf{S} - (c_n - 1)\mathbf{s} &= \left\{ \mathbf{x} \in \mathbb{R}^n : x_2 \geq \frac{1 - c_n}{n + 1}, \dots, x_n \geq \frac{1 - c_n}{n + 1}, \pm x_1 + \sum_{i=2}^n x_i \leq \frac{c_n}{n + 1} + \frac{n + 1}{n - 1} \right\}. \end{aligned}$$

For $n \geq 2$ the condition $-\mathbf{e}_2 \in c_n\mathbf{S} - (c_n - 1)\mathbf{s}$ requires $-1 \geq \frac{1 - c_n}{n + 1}$, which is $c_n \geq n + 2$.

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