

APPLICATIONS OF THE LI-YAU INEQUALITY IN ARITHMETIC GEOMETRY

OMID AMINI

These are an extended version of the notes of a talk I gave at Simons Symposium on Non-Archimedean and Tropical Geometry. The objective was to give a survey of some recent applications of the spectral gap estimates in graphs and Li-Yau inequality in arithmetic geometry ¹.

1. LI-YAU INEQUALITY

1.1. Classical Li-Yau inequality. We start by recalling the Li-Yau inequality [20]. Let M be a compact surface with a Riemannian metric g . We denote by $d\mu$ the volume form corresponding to its metric, and by $\mu(M)$ the total volume of M . Consider the sphere \mathbb{S}^2 with its standard metric g_0 , and let $\phi : M \rightarrow \mathbb{S}^2$ be a non-degenerate conformal map. The group of conformal diffeomorphisms of \mathbb{S}^2 , denoted by $\text{Diff}_c(\mathbb{S}^2)$ acts on the set of non-degenerate conformal maps from M to \mathbb{S}^2 in a natural way. Define $\mu_c(M, \phi)$ as the supremum volume of M with the respect to the volume forms induced on M from \mathbb{S}^2 by the conformal maps in the orbit of ϕ , i.e.,

$$\mu_c(M, \phi) := \sup_{\psi \in \text{Diff}_c(\mathbb{S}^2)} \int_M |\nabla(\psi \circ \phi)|^2 d\mu.$$

The conformal area $\mu_c(M)$ of M (with respect to the conformal structure on M induced by the metric g) is by definition the infimum of $\mu_c(M, \phi)$ over non-degenerate conformal maps $\phi : M \rightarrow \mathbb{S}^2$, i.e., $\mu_c(M) := \inf_{\phi} \mu_c(M, \phi)$.

Theorem 1.1 (Li-Yau [20]). *Denote by $\lambda_1 > 0$ the first non-zero eigenvalue of the Laplacian of (M, g) . Then $\lambda_1 \mu(M) \leq 2\mu_c(M)$.*

This refines earlier results of Hersch [18] and Szegö [28]. We quickly sketch the proof of the above theorem, which, like the earlier results, uses Hersch lemma.

Lemma 1.2 (Hersch lemma). *Let $\phi : M \rightarrow \mathbb{S}^2$ a conformal map. Denote by x_1, x_2, x_3 the coordinate functions on \mathbb{S}^2 for the standard embedding $\mathbb{S}^2 \hookrightarrow \mathbb{R}^3$; $x_1^2 + x_2^2 + x_3^2 = 1$. There exists $\psi \in \text{Diff}_c(\mathbb{S}^2)$ such that $\int_M x_i \circ \psi \circ \phi d\mu = 0$ for $i = 1, 2, 3$.*

Proof. Let p be a point of \mathbb{S}^2 and consider the stereographic projection π_p of \mathbb{S}^2 to the hyperplane H_p in \mathbb{R}^3 tangent to \mathbb{S}^2 at $-p$. For each $t \in (0, 1)$, let $\alpha_{t,p} : H_p \rightarrow H$ be the dilation by a factor $1/t$ in H_p , seen as an affine plane with origin at $-p$. Consider the family of conformal maps $\psi_{t,p} = \pi_p^{-1} \circ \alpha_{t,p} \circ \pi_p : \mathbb{S}^2 \rightarrow \mathbb{S}^2$. We claim the existence of a t such that for $\psi = \psi_{t,p}$ the conclusion of theorem holds. To see this, consider the map $T : (0, 1) \times \mathbb{S}^2 \rightarrow \mathbb{B}_3$,

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the closed unite ball in \mathbb{R}^3 , which sends (t, p) to the point with coordinates $\int_M x_i \circ \psi_{t,p} \circ \phi d\mu$ for $i = 1, 2, 3$. The map T can be extended to a map $\bar{T} : [0, 1] \times \mathbb{S}^2 / \{1\} \times \mathbb{S}^2 \sim \mathbb{B}^3$, so that on the boundary $\{0\} \times \mathbb{S}^2 = \partial\mathbb{B}_3$, \bar{T} restricts to the identity map. Assuming 0 not being in the image of T , one gets a retraction of \mathbb{B}_3 to $\partial\mathbb{B}_3$, which leads to a contradiction. \square

Proof of Theorem 1.1. Fix an $\epsilon > 0$ and let ϕ be a non-degenerate conformal map $M \rightarrow \mathbb{S}^2$ such that $\mu_c(M, \phi) \leq \mu(M) + \epsilon$. By Hersch Lemma, up to replacing ϕ by a conformal map in its orbit for the action of $\text{Diff}_c(\mathbb{S}^2)$, we can assume that $\int_M x_i \circ \phi d\mu = 0$ for $i = 0, 1, 2$, and in addition $\int_M |\nabla\phi|^2 d\mu \leq \mu_c(M, \phi) \leq \mu_c(M) + \epsilon$.

By variational characterization of λ_1 , one has

$$\lambda_1 = \inf \frac{\int_M |\nabla f|^2 d\mu}{\int_M f^2 d\mu},$$

where the infimum is taken over all Lipschitz functions f on M with $\int_M f d\mu = 0$. In particular, one has

$$\lambda_1 \int_M (x_i \circ \phi)^2 d\mu \leq \int_M |\nabla x_i \circ \phi|^2 d\mu.$$

Summing up over i , gives

$$\begin{aligned} \lambda_1 \mu(M) &\leq \int_M \sum_i |\nabla x_i \circ \phi|^2 d\mu = \int_M \phi^* \left(\sum_i |\nabla x_i|^2 d\mu_{\mathbb{S}^2} \right) \\ &= 2 \int_M \phi^*(d\mu_{\mathbb{S}^2}) = 2 \int_M |\nabla\phi|^2 d\mu \leq 2\mu_c(M) + 2\epsilon. \end{aligned}$$

This holds for any $\epsilon > 0$, from which the theorem follows. \square

Let M be a Riemann surface, equipped with a metric of constant curvature in its conformal class, λ_1 and μ the first non-trivial eigenvalue of the Laplacian and the volume of M , respectively. Denote by $\gamma(M)$ the gonality of M , the minimum degree of a (branched) covering $M \rightarrow \mathbb{P}^1(\mathbb{C})$.

Corollary 1.3. *For any Riemann surface M ,*

$$\lambda_1 \mu(M) \leq 8\pi\gamma(M).$$

Proof. It is easy to see that for a conformal map of positive degree d from M to N , one has $\mu_c(M) \leq d\mu_c(N)$. It follows that

$$\lambda_1 \mu(M) \leq 2\gamma(M) \mu_c(\mathbb{S}^2).$$

One concludes by observing that $\mu_c(\mathbb{S}^2) = 4\pi$. \square

1.2. Combinatorial Li-Yau inequality. We now discuss a combinatorial version of the above Li-Yau inequality, established in [11].

1.2.1. *Metric graphs, tropical curves, harmonic morphisms and gonality.* We start by recalling some standard definitions and notations related to tropical geometry of curves, see [2] and the references there for a more detailed discussion of the following definitions with several examples.

Given $r \in \mathbb{Z}_{\geq 1}$, we define $S_r \subset \mathbb{C}$ to be a “star with r branches”, i.e., a topological space homeomorphic to the convex hull in \mathbb{R}^2 of $(0,0)$ and any r points, no two of which lie on a common line through the origin. We also define $S_0 = \{0\}$.

A finite topological graph Λ is the topological realization of a finite graph. So Λ is a compact 1-dimensional topological space such that for any point $p \in \Lambda$, there exists a neighborhood U_p of p in Λ homeomorphic to some S_r ; moreover there are only finitely many points p with U_p homeomorphic to S_r with $r \neq 2$.

The unique integer r such that U_p is homeomorphic to S_r is called the valence of p and denoted $\text{val}(p)$. A point of valence different from 2 is called an essential vertex of Λ . The set of tangent directions at p is $T_p(\Lambda) = \varinjlim_{U_p} \pi_0(U_p \setminus \{p\})$, where the limit is taken over all neighborhoods of p isomorphic to a star with r branches. The set $T_p(\Lambda)$ has $\text{val}(p)$ elements.

A metric graph is a finite connected topological graph Λ equipped with a complete inner metric on $\Lambda \setminus V_\infty(\Lambda)$, where $V_\infty(\Lambda) \subsetneq \Lambda$ is some (finite) set of 1-valent vertices of Λ called infinite vertices of Λ . (An inner metric is a metric for which the distance between two points x and y is the minimum of the lengths of all paths between x and y .)

Let Λ be a metric graph. A vertex set $V(\Lambda)$ is a finite subset of the points of Λ containing all essential vertices. An element of a fixed vertex set $V(\Lambda)$ is called a vertex of Λ , and the closure of a connected component of $\Lambda \setminus V(\Lambda)$ is called an edge of Λ . An edge which is homeomorphic to a circle is called a loop edge. An edge adjacent to an infinite vertex is called an infinite edge. We denote by $V_f(\Lambda)$ the set of finite vertices of Λ , and by $E_f(\Lambda)$ the set of finite edges of Λ .

Fix a vertex set $V(\Lambda)$. We denote by $E(\Lambda)$ the set of edges of Λ . Since Λ is a metric graph, we can associate to each edge e of Λ its length $\ell(e) \in \Lambda \cup \{+\infty\}$. Since the metric on $\Lambda \setminus V_\infty(\Lambda)$ is complete, an edge e is infinite if and only if $\ell(e) = +\infty$. The notion of vertices and edges of Λ depends, of course, on the choice of a vertex set; we will fix such a choice without comment whenever there is no danger of confusion.

Fix now vertex sets $V(\Lambda')$ and $V(\Lambda)$ for two metric graphs Λ' and Λ , respectively, and let $\phi : \Lambda' \rightarrow \Lambda$ be a continuous map.

- The map ϕ is called a $(V(\Lambda'), V(\Lambda))$ -morphism of metric graphs if we have $\phi(V(\Lambda')) \subset V(\Lambda)$, $\phi^{-1}(E(\Lambda)) \subset E(\Lambda')$, and the restriction of ϕ to any edge e' of Λ' is a dilation by some factor $d_{e'}(\phi) \in \mathbb{Z}_{\geq 0}$.
- The map ϕ is called a morphism of metric graphs if there exists a vertex set $V(\Lambda')$ of Λ' and a vertex set $V(\Lambda)$ of Λ such that ϕ is a $(V(\Lambda'), V(\Lambda))$ -morphism of metric graphs.
- The map ϕ is said to be finite if $d_{e'}(\phi) > 0$ for any edge $e' \in E(\Lambda')$.

An edge e' of Λ' is mapped to a vertex of Λ if and only if $d_{e'}(\phi) = 0$. Such an edge is said to be contracted by ϕ . A morphism $\phi : \Lambda' \rightarrow \Lambda$ is finite if and only if there are no contracted edges, which holds if and only if $\phi^{-1}(p)$ is a finite set for any point $p \in \Lambda$. If ϕ is finite, then

$p' \in V_f(\Lambda')$ if and only if $\phi(p') \in V_f(\Lambda)$. The morphisms of interest are usually assumed to be finite.

The integer $d_{e'}(\phi) \in \mathbb{Z}_{\geq 0}$ in the definition above is called the degree of ϕ along e' (it is also sometimes called the weight of e' or expansion factor along e' in the literature). Since $\ell(\phi(e')) = d_{e'}(\phi) \cdot \ell(e')$, it follows in particular that if $d_{e'}(\phi) \geq 1$ then e' is infinite if and only if $\phi(e')$ is infinite. Let $p' \in V(\Lambda')$, let $v' \in T_{p'}(\Lambda')$, and let $e' \in E(\Lambda')$ be the edge in the direction of v' . The directional derivative of ϕ in the direction v' is by definition the quantity $d_{v'}(\phi) := d_{e'}(\phi)$. If we set $p = \phi(p')$, then ϕ induces a map

$$d\phi(p') : \{v' \in T_{p'}(\Lambda') : d_{v'}(\phi) \neq 0\} \rightarrow T_p(\Lambda)$$

in the obvious way.

Let $\phi : \Lambda' \rightarrow \Lambda$ be a morphism of metric graphs, let $p' \in \Lambda'$, and let $p = \phi(p')$. The morphism ϕ is harmonic at p' provided that, for every tangent direction $v \in T_p(\Lambda)$, the number

$$d_{p'}(\phi) := \sum_{\substack{v' \in T_{p'}(\Lambda') \\ v' \mapsto v}} d_{v'}(\phi)$$

is independent of v . The number $d_{p'}(\phi)$ is called the degree of ϕ at p' .

We say that ϕ is harmonic if it is surjective and harmonic at all $p' \in \Lambda'$; in this case the number $\deg(\phi) = \sum_{p' \mapsto p} d_{p'}(\phi)$ is independent of $p \in \Lambda$, and is called the degree of ϕ .

1.2.2. Tropical modifications and tropical curves. There is an equivalence relation among metric graphs; an equivalence class for this relation will be called a tropical curve.

An elementary tropical modification of a metric graph Λ_0 is a metric graph $\Lambda = [0, +\infty] \cup \Lambda_0$ obtained from Λ_0 by attaching the segment $[0, +\infty]$ to Λ_0 in such a way that $0 \in [0, +\infty]$ gets identified with a finite point $p \in \Lambda_0$.

A metric graph Λ obtained from a metric graph Λ_0 by a finite sequence of elementary tropical modifications is called a tropical modification of Λ_0 .

If Λ is a tropical modification of Λ_0 , then there is a natural retraction map $\tau : \Lambda \rightarrow \Lambda_0$ which is the identity on Λ_0 and contracts each connected component of $\Lambda \setminus \Lambda_0$ to the unique point in Λ_0 lying in the topological closure of that component. The map τ is a (non-finite) harmonic morphism of metric graphs.

Tropical modifications generate an equivalence relation \sim on the set of metric graphs. A tropical curve is an equivalence class of metric graphs (resp. metric graphs) with respect to \sim .

By abuse of terminology, we will often refer to a tropical curve in terms of one of its metric graph representatives.

There exists a unique rational tropical curve, which we denote by \mathbb{TP}^1 . Any rational metric graph whose 1-valent vertices are all infinite is obtained by a sequence of tropical modifications from the metric graph consisting of a unique finite vertex (of genus 0).

Let Λ (resp. Λ') be a representative of a tropical curve C (resp. C'), and assume we are given a harmonic morphism of metric graphs $\phi : \Lambda' \rightarrow \Lambda$.

An elementary tropical modification of ϕ is a harmonic morphism $\phi_1 : \Lambda'_1 \rightarrow \Lambda_1$ of metric graphs, where $\tau : \Lambda_1 \rightarrow \Lambda$ is an elementary tropical modification, $\tau' : \Lambda'_1 \rightarrow \Lambda'$ is a tropical modification, and such that $\phi \circ \tau' = \tau \circ \phi_1$.

A tropical modification of ϕ is a finite sequence of elementary tropical modifications of ϕ .

Two harmonic morphisms ϕ_1 and ϕ_2 of metric graphs are said to be tropically equivalent if there exists a harmonic morphism which is a tropical modification of both ϕ_1 and ϕ_2 .

A tropical morphism of tropical curves $\phi : C' \rightarrow C$ is a harmonic morphism of metric graphs between some representatives of C' and C , considered up to tropical equivalence, and which has a finite representative.

A tropical curve C is said to have a (non-metric) graph G as its combinatorial type if C admits a representative whose underlying graph is G .

Definition 1.4. A tropical curve C is called d -gonal if there exists a tropical morphism $C \rightarrow \mathbb{TP}^1$ of degree d .

The gonality of a tropical curve C is denoted by $\gamma(C)$.

1.2.3. *Morphisms of curves induce morphisms of tropical curves.* Let X and X' be two smooth proper curves over an algebraically closed complete non-Archimedean field K . Consider a morphism $\phi' : X \rightarrow X'$, and let $\phi : X^{\text{an}} \rightarrow X'^{\text{an}}$ be the induced morphism between the Berkovich analytifications of X and X'^{an} .

Recall (c.f. [5], see also [12, 13, 29]) that a semistable vertex set of the Berkovich analytic curve X^{an} is a finite subset V of type-2 points of X^{an} such that $X^{\text{an}} \setminus V$ is a disjoint union of open balls and (a finite number of) open annuli. Semistable vertex sets are in bijection with semistable models of X over the valuation ring of K . To each semistable vertex sets is associated a skeleton $\Sigma(X, V)$ of the Berkovich curve X^{an} , which is a finite metric graph. These metric graphs are tropically equivalent, and thus varying the semistable vertex sets defines a tropical curve C associated to X .

The proof of the following theorem, as well as more precise statements concerning stronger skeletonized versions of some foundational results of Liu-Lorenzini [22], Coleman [10], and Liu [21] on simultaneous semistable reduction of curves, can be found in [2].

Theorem 1.5. *Let $\phi : X \rightarrow X'$ be a finite morphism of smooth proper curves over K of degree d . Let C and C' be the tropical curves associated to X and X' . Then ϕ induces a tropical morphism $\phi : C \rightarrow C'$ of degree d .*

Note that, in particular, the (algebraic) gonality of X over K is bounded below by the (combinatorial) gonality of C . In general the inequality $\gamma(X) \geq \gamma(C)$ can be strict (see [2] for an example of a genus 27 tropical curve C of gonality 4 such that any X over K of genus 27 with associated tropical curve C has gonality at least 5).

In general if the base non-Archimedean field K is not algebraically closed, and $\phi : X \rightarrow Y$ is a finite morphism between two smooth proper geometrically connected curves X and Y over K , then one gets a morphism between two tropical curves C and C' by looking at ϕ over the completion of an algebraic closure of K .

1.2.4. *Statement of the combinatorial Li-Yau inequality.* Let C be a tropical curve with combinatorial type a graph G with set of vertices V and set of edges E . Let λ_1 be the first non-trivial eigenvalue of the Laplacian Δ of G . Recall that Δ is the positive semidefinite operator defined on the space of real valued functions on the vertices of G by

$$\Delta(f)(v) = \sum_{u:uv \in E} f(v) - f(u),$$

for any function $f : V \rightarrow \mathbb{R}$.

Theorem 1.6 (Cornelissen-Kato-Kool [11]). *For any tropical curve C with combinatorial type G , we have*

$$\gamma(C) \geq \lceil \frac{\lambda_1}{\lambda_1 + 4d_{\max}} |G| \rceil,$$

where d_{\max} denotes the maximum valence of vertices of G , and $|G|$ is the number of vertices in G .

Tree-width, graph minors, gonality and the spectral bound. We discuss below a generalization of Theorem 1.6, based on the concept of tree-decompositions of graphs and the theory of graph minors, as developed by Robertson-Seymour [25]. We note that Corollary 1.14 and Theorem 1.15 might be slightly weaker than Theorem 1.6, however, they are enough for the arithmetic applications of [11], discussed in Section 2

1.2.5. *Tree-decomposition, minors, and graph minor theorem.* We start by recalling some basic terminology on tree-decompositions of finite graphs.

Let $G = (V, E)$ be a connected graph. A tree-decomposition of G is a pair (T, \mathcal{X}) where T is a finite tree on a set of vertices I , and $\mathcal{X} = \{X_i : i \in I\}$ is a collection of subsets of V , subject to the following three conditions:

- (1) $V = \cup_{i \in I} X_i$,
- (2) for any edge e in G , there is a set $X_i \in \mathcal{X}$ which contains both end-points of e ,
- (3) for any triple i_1, i_2, i_3 of vertices of T , if i_2 is on the path from i_1 to i_3 in T , then $X_{i_1} \cap X_{i_3} \subseteq X_{i_2}$.

Note that the point (3) in the above definition simply means that the subgraph of T induced by all the vertices i which contain a given vertex v of the graph G is connected.

The width of a tree-decomposition (T, \mathcal{X}) is defined as $w(T, \mathcal{X}) = \max_{i \in I} |X_i| - 1$. The tree-width of G , denoted by $tw(G)$, is the minimum width of any tree-decomposition of G .

There is a useful duality theorem concerning the tree-width which allows in practice to bound the tree-width of graphs. The dual notion for tree-width is *bramble* (as named by B. Reed [24]): a *bramble* in a finite graph G is a collection of connected subsets of $V(G)$ such that the union of any two of these subsets forms again a connected subset of $V(G)$. (To be more precise, we should say the graph induced on these subsets is connected.) The order of a *bramble* is the minimum size of a subset of vertices which intersect any set in the *bramble*. The *bramble number* of G , denoted by $bn(G)$, is the maximum order of a *bramble* in G .

Theorem 1.7 (Seymour-Thomas [27]). *For any graph G , $tw(G) = bn(G) - 1$.*

(For a more general form of the duality theorem and a conceptual proof see [4].)

Example 1.8. Let H be an $n \times n$ grid. It is easy to see that $bn(H) = n$ by taking brambles formed by crosses in the grid. This shows that grid graphs can have large tree-width. Thus, the tree-width can be unbounded on planar graphs.

The other notion directly related to the concept of the tree-decompositions is the notion of minor in graphs. A graph H is a minor of another graph G , and we write $H \preceq G$, if H can be obtained from G by a sequence of operations consisting in

- contracting an edge of G , or
- removing an edge of G .

It is easy to see that tree-width is minor monotone, in the sense that if $H \preceq G$, then $tw(H) \leq tw(G)$. It follows that bounded tree-width graphs cannot have large grid minors.

The main theorem concerning the notion of graph minors is the Robertson-Seymour finiteness theorem which states:

Theorem 1.9 (Robertson-Seymour [25]). *Let \mathcal{F} be a family of graphs which is stable under minors, i.e., if $G \in \mathcal{F}$ and H is a minor of G , then H belongs to \mathcal{F} . Then there is a finite number of graphs (possibly empty if \mathcal{F} contains all finite graphs) H_1, \dots, H_k such that G belongs to \mathcal{F} if and only if G does not contain any of H_i as minor.*

In particular, the above theorem is a far reaching generalization of Kuratowski theorem which characterizes planar graphs as the family of graphs which do not contain the complete graph on five vertices K_5 , and the complete bipartite graph $K_{3,3}$ on two parts of size three each.

Remark 1.10. Robertson and Seymour prove that tree-width is bounded on the class of graphs with forbidden H -minor if and only if H is planar.

1.2.6. *Gonality and tree-width.* We have the following basic proposition relating the gonality of a tropical curve with combinatorial type G to the tree-width of G .

Proposition 1.11. *For any tropical curve C with combinatorial type $G = (V, E)$, we have $2\gamma(C) \geq tw(C)$.*

Proof. Let $\phi : C \rightarrow \mathbb{TP}^1$ be a morphism of degree $\gamma(C)$. Consider the restriction of ϕ to a finite harmonic morphism from a metric graph representative Λ of C with vertex set V and edge set E , and denote by T the image of Λ in \mathbb{TP}^1 , so T is a finite tree. Let I_1 be a vertex set for T which contains $\phi(V)$, and E_1 be the corresponding set of edges. For each edge e in T_1 take a point in the interior of e , and let I be the new vertex set for T obtained by adding to I_1 all these new vertices.

A tree decomposition (T, \mathcal{X}) of G can be defined as follows. For each vertex i in I , consider the preimage $\phi^{-1}(i)$ of i . This set consists of some (possibly empty) vertices v_1, \dots, v_s of G and some (possibly empty) points x_1, \dots, x_l in the interior of some edges $e_1 = u_1w_1, \dots, e_l = u_lw_l$ of G . Define $X_i = \{v_1, \dots, v_s, u_1, w_1, \dots, u_l, w_l\}$. Since ϕ is of degree $\gamma(C)$, $|\phi^{-1}(i)| \leq \gamma(C)$ and thus, X_i has cardinality at most $2\gamma(C)$. It is easy to check that $(T, \mathcal{X} = \{X_i\}_{i \in I})$ is a tree-decomposition of G . This proves the proposition. \square

As a corollary, if a graph G is a model of a tropical curve with bounded gonality, then the tree-width of G is bounded, and thus, G cannot contain a large grid as minor.

1.2.7. *Eigenvalue estimates on proper minor-closed family of graphs and generalization of Theorem 1.6.* Let H be a given graph. Consider the family \mathcal{F}_H of all connected graphs G which do not contain H as minor. Note that \mathcal{F}_H is minor closed. For any graph G on n vertices, denote by $\lambda_0(G) = 0 < \lambda_1(G) \leq \lambda_2(G) \leq \dots \leq \lambda_{n-1}(G)$ all the eigenvalues of the graph Laplacian Δ_G .

Theorem 1.12 ([19]). *There is a constant $h = h(H)$ such that for any graph G in \mathcal{F}_H and any $1 \leq k$, we have $\lambda_k(G) \leq \frac{hd_{\max}k}{|G|}$ where d_{\max} is the maximum valence of vertices in G and $|G|$ is the number of vertices in G .*

For graphs which can be embedded in a surface of genus at most g , the following more precise statement holds

Theorem 1.13 ([3]). *There is a universal constant c such that for any graph G which can be embedded in a surface of genus at most g , we have*

$$\lambda_k^{nr}(G) \leq c \frac{d_{\max}(g+k)}{m},$$

where λ_k^{nr} are the eigenvalues of the normalized Laplacian of G , and m is the number of edges of G .

(Note that in any graph G , with min- and max-degrees d_{\min} and d_{\max} , one has $d_{\min}\lambda_k^{nr}(G) \leq \lambda_k(G) \leq d_{\max}\lambda_k^{nr}(G)$, and similarly, $d_{\min}|G|/2 \leq m \leq d_{\max}|G|/2$.)

We end this subsection with a discussion of the above results in the case of bounded tree-width graphs. A graph of tree-width bounded by some constant N does not contain a grid of size $N \times N$ as minor. It follows that there is an increasing function $f : \mathbb{N} \rightarrow \mathbb{N}$ such that for a graph G of tree-width $tw(G)$, one has $\lambda_k(G) \leq f(tw(G))d_{\max}k/|G|$, where $|G|$ is the number of vertices of G . Combined with Proposition 1.11, one obtains the following corollary.

Corollary 1.14. *For any tropical curve C of combinatorial type G , one has $f(2\gamma(C)) \geq \lambda_k(G) \cdot |G|^{\frac{d_{\max}}{k}}$. In particular, if in a family of tropical curves C_i of combinatorial type G_i , d_{\max} is bounded and for some constant k , $\lambda_k(G_i) \cdot |G_i|$ tend to infinity, then one has $\gamma(C_i) \rightarrow \infty$.*

Note that since $\lambda_1 \leq d_{\max}$, the case of $k = 1$ in this theorem can be regarded as a version of Theorem 1.6 (with some possibly weaker constant). Indeed, the case of λ_1 (i.e., $k = 1$) in the above corollary, is a result of Chandran-Subramanian [8], and is very similar to Theorem 1.6.

Theorem 1.15 ([8]). *For any graph $G = (V, E)$, the following holds*

$$tw(G) \geq \lfloor \frac{3|G|}{4} \frac{\lambda_1}{2\lambda_1 + d_{\max}} \rfloor - 1.$$

We briefly sketch the proof of the above theorem. First recall the following variational characterization of λ_1 :

$$\lambda_1 = \inf_{f:V \rightarrow \mathbb{R} \text{ with } \sum_v f(v)=0} \frac{\sum_{uv \in E} (f(u) - f(v))^2}{\sum_{v \in V} f(v)^2}.$$

Let Y and Z be two disjoint subsets of V . Applying this to the (test) function f defined by $f(y) = \frac{1}{|Y|}$ for $y \in Y$, $f(z) = -\frac{1}{|Y|}$ for $y \in Z$ and $f(w) = 0$ for any $w \in V \setminus (Y \cup Z)$, which is

a test function for the minimum in the right term of the above equation, we get

$$(1) \quad \lambda_1 \leq \left(|E| - |E(Y)| - |E(Z)| \right) \left(\frac{1}{|Y|} + \frac{1}{|Z|} \right),$$

where $E(A)$ denotes the set of all edges with both endpoints in A . This is used repeatedly in the proof.

Proof of Theorem 1.15. Denote by n the number of vertices of G . For the sake of a contradiction, assume the inequality does not hold and let $(T, \mathcal{X} = \{X_i\})$ be a tree decomposition of G such that

$$|X_i| \leq \lfloor \frac{3n}{4} \frac{\lambda_1}{2\lambda_1 + d_{\max}} \rfloor - 1,$$

for any vertex i of T . Denote by ρ the quantity in the right hand side of the above equation. The following argument shows the existence of a subset X of size at most ρ in G such that each component of $G \setminus X$ has size at most $\frac{n-|X|}{2}$: suppose this is not the case, then we can give orientations to edges of the tree T as follows: consider a vertex i of the tree. The set X_i has size at most ρ . For each neighbor j of i in the tree, let A_j be the union of all the X_k with k in the subtree of $T - \{i\}$ which contains j . Our assumption implies one of the sets $A_j \setminus X_i$ has size strictly larger than $\frac{n-|X_i|}{2}$, for j adjacent to i . Give the orientation $i \rightarrow j$ to the edge $e = \{i, j\}$ of the tree. Doing this for any vertex, we given orientation to edges of the tree exactly $|V(T)|$ times. Since T has $|V(T)| - 1$ edges, at least one edge $\{i, j\}$ gets orientated twice, which leads to a contradiction since both $A_i \setminus (X_i \cap X_j)$ and $A_j \setminus (X_i \cap X_j)$ contain strictly larger than $\frac{n-|X_i \cap X_j|}{2}$ vertices.

Let X be the set of size at most ρ such that all the connected components Y_1, \dots, Y_s of $G \setminus X$ has size at most $\frac{n-|X|}{2}$. Applying Inequality (1) to the disjoint sets Y_i and $Z_i = V \setminus (X \cup Y_i)$, and noting that the quantity $|E| - |E(Y_i)| - |E(Z_i)|$ is bounded by $|X|d_{\max}$, show that each Y_i has size at most $\frac{n}{4}$. Consider now the smallest j such that $\bar{Y}_j = Y_1 \cup \dots \cup Y_j$ has size at least $\frac{n}{4}$. Since each Y_i has size at most $\frac{n}{4}$, \bar{Y}_j has size at most $\frac{n}{2}$. Applying now Inequality (1) to \bar{Y}_j and $\bar{Z}_j = V \setminus (X \cup \bar{Y}_j)$ leads to a contradiction. \square

2. APPLICATIONS

In this section we discuss some recent applications of the above Li-Yau inequalities in arithmetic geometry.

2.1. Rational points and Galois representations. We start by giving an overview of the recent applications of Theorem 1.1 to arithmetic geometry over number fields from [14].

2.1.1. Rational points. Let k be a number field. Let X be a smooth geometrically connected curve over k . Consider a family X_i of étale covers of X defined over k . Consider an Archimedean place of k , an embedding to \mathbb{C} , and denote by $X_{i,\mathbb{C}}$ and $X_{\mathbb{C}}$ the corresponding Riemann surfaces associated to X_i and X . The fundamental group $\pi_1(X_{i,\mathbb{C}})$ is a subgroup of $\pi_1(X_{\mathbb{C}})$ (we omit the base points), and fixing a symmetric set of generators S for $\pi_1(X_{\mathbb{C}})$ (i.e., $S = S^{-1}$) allows to define the Cayley graph $\text{Cay}(\pi_1(X_{i,\mathbb{C}}) \backslash \pi_1(X_{\mathbb{C}}); S)$ as the quotient of $\text{Cay}(\pi_1(X_{\mathbb{C}}); S)$ by the left action of $\pi_1(X_{i,\mathbb{C}})$ on $\text{Cay}(\pi_1(X_{\mathbb{C}}); S)$. To simplify the notation, we simply write $\text{Cay}(X_i/X; S)$ to denote this finite Cayley graph.

Consider the combinatorial Laplacian of $\text{Cay}(X_i/X; S)$ and let $\lambda_1^{(i)}$ be its first non-trivial eigenvalue.

Theorem 2.1 (Burger [7]). *There is a constant $C > 1$ depending only on $X_{\mathbb{C}}$ such that $C^{-1}\lambda_1(X_{i,\mathbb{C}}) \leq \lambda_1^{(i)} \leq C\lambda_1(X_{i,\mathbb{C}})$ for any i .*

Here $X_{i,\mathbb{C}}$ is equipped with a metric of constant curvature.

Proof. By going to the universal cover \tilde{X} and taking a tiling of \tilde{X} obtained by fixing a fundamental domain for the action of $\pi_1(X_{\mathbb{C}})$ on \tilde{X} , one can see that each surface $X_{i,\mathbb{C}}$ admits a decomposition into domains isometric to a fixed domain F with piecewise smooth boundary (independent of i) such that the dual complex associated to this tiling is precisely the Cayley graph $\text{Cay}(X_i/X; S)$. The theorem now follows by looking at the discretization functional $\phi : C^\infty(X_{i,\mathbb{C}}) \rightarrow C^0(\text{Cay}(X_i/X; S))$ which sends f to $\phi(f)$ taking a value at a vertex v of $\text{Cay}(X_i/X; S)$ equal to the average of f on the domain corresponding to v in the tiling of $X_{i,\mathbb{C}}$. The inverse of ϕ sends a discrete function defined on vertices of the Cayley graph to a smoothing of the function constant on each domain of the surface $X_{i,\mathbb{C}}$. The ratio between $\lambda_1^{(i)}$ and $\lambda_1(X_{i,\mathbb{C}})$ remains bounded away from zero and infinity, by a non-zero function depending on the first Neumann eigenvalue of the Laplacian operator on F . \square

Corollary 2.2. *Assume $\lambda_1^{(i)}|\text{Cay}(X_i/X; S)|$ tends to infinity. Then the gonality of X_i tends to infinity.*

Proof. The volume of $X_{i,\mathbb{C}}$ is $|\text{Cay}(X_i/X; S)|$ times the volume μ of X . By Li-Yau inequality, $\lambda_1(X_{i,\mathbb{C}})|\text{Cay}(X_i/X; S)|\mu \leq 8\pi\gamma(X_i, \mathbb{C})$. Since $\lambda_1^{(i)}|\text{Cay}(X_i/X; S)|$ tends to infinity, and $\lambda_1^{(i)}$ is within a constant factor of $\lambda_1(X_{i,\mathbb{C}})$, it follows that $\gamma(X_{i,\mathbb{C}})$ tends to infinity and the result follows. \square

Theorem 2.3 ([14]). *Let X_i/X be a family of étale covers of X . Assume that $\lambda_1^{(i)}|\text{Cay}(X_i/X; S)| \rightarrow \infty$. For any d , the set*

$$\bigcup_{k_1: [k_1:k] \leq d} X_i(k_1)$$

is finite for all but finitely many i .

Proof. Under the hypothesis of the theorem, the gonality $\gamma(X_i)$ of X_i tends to infinity so there is N_d such that for $i \geq N_d$, $\gamma(X_i) > 2d$. By Faltings-Frey theorem [15], the set $\bigcup_{k_1: [k_1:k] \leq d} X_i(k_1)$ is finite for any $i \geq N_d$. \square

2.1.2. Examples of Cayley graphs with large eigenvalues. The basic example is the example of a family of Cayley graphs of fixed valence which form a family of expanders, i.e., such that the first non-trivial eigenvalue of the Laplacian of graphs in the family is lower bounded by a constant. Consider e.g. a finite index subgroup G of $\text{SL}_n(\mathbb{Z})$ for $n \geq 3$. Then G satisfies Kazhdan (T) property, and as a consequence, for a fixed symmetric set of generators S for G , the family of Cayley graphs $\text{Cay}(H \backslash G; S)$ where H runs over all finite index subgroup of G form a family of expanders.

Example 2.4. Let X be a smooth curve over a number field k of genus at least two. There exists a family of étale covers $X_i \rightarrow X$ such that the Cayley graphs $\text{Cay}(X_i/X; S)$, as defined

in the previous section, form a family of expanders with sizes tending to infinity. This is because the topological fundamental group of $X_{\mathbb{C}}$ has a quotient which is isomorphic to $\mathrm{SL}_3(\mathbb{Z})$. By the above results, $\gamma(X_i)$ tends to infinity.

The following recent result of Pyber-Szabó [23] (see also [6]) provides a rich class of examples of Cayley graphs with large eigenvalues. For earlier results of similar type see [16, 17].

Let m be an integer and consider a family of subgroups G_p of $GL_m(\mathbb{F}_p)$ indexed by all but finitely many prime numbers p . Let $S_p, S_p = S_p^{-1}$, be a generating set for G_p of order at most a constant s , for any p . Consider the family of Cayley graphs $\mathrm{Cay}(G_p; S_p)$.

Theorem 2.5 (Pyber-Szabó [23]). *If the groups G_p are non-trivial perfect groups generated by their elements of order p , then $\lambda_1(\mathrm{Cay}(G_p; S_p))/|\mathrm{Cay}(G_p; S_p)| \rightarrow \infty$, when p tends to infinity. More precisely, $\lambda_1(\mathrm{Cay}(G_p; S_p)) \gg \frac{1}{\log |G_p|^A}$ for some constant A .*

2.1.3. Galois representations.

Theorem 2.6 (Ellenberg-Hall-Kowalski [14]). *Let k be a number field and X/k a smooth geometrically connected algebraic curve. Let $\mathcal{A} \rightarrow X$ be a principally polarized abelian scheme over X of dimension $g \geq 1$, defined over k , and let*

$$\rho : \pi_1(X_{\mathbb{C}}) \rightarrow \mathrm{Sp}_{2g}(\mathbb{Z})$$

be the associated monodromy representation. For any finite extension k_1/k and a rational point $t \in X(k_1)$, let

$$\bar{\rho}_{t,\ell} : \mathrm{Gal}(\bar{k}/k_1) \rightarrow \mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$$

be the Galois representation associated to the ℓ -torsion points of \mathcal{A}_t .

Assume that the image of ρ is Zariski dense in Sp_{2g} . Then the set

$$\bigcup_{k_1: [k_1:k]=d} \{t \in X(k_1) \mid \text{the image of } \bar{\rho}_{t,\ell} \text{ does not contain } \mathrm{Sp}_{2g}(\mathbb{F}_{\ell})\}$$

is finite for any $d \geq 1$ and any but finitely many ℓ (depending on d).

Proof. By assumption the image I of ρ is dense in $\mathrm{Sp}_{2g}(\mathbb{Z})$ which implies that the image I_{ℓ} of the reduction map $I \rightarrow \mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ is the whole $\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ for all but finitely many ℓ . Suppose that for each conjugacy class of a maximal subgroup of $\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ a fixed representative is designed, and consider all the pairs (ℓ, J) where ℓ is such that $I_{\ell} = \mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ and $J < \mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ runs over the representatives of the conjugacy classes of maximal subgroups of $\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$. Each such pair (ℓ, J) gives rise to an étale cover $X_{\ell,J} \rightarrow X$ with the property that $\mathrm{Cay}(X_{\ell,J}/X; S) = \mathrm{Cay}(J \backslash \mathrm{Sp}_{2g}(\mathbb{F}_{\ell}); S)$.

In particular, the set of all k_1 -rational points t of X such that I_{ℓ} is not in the image of $\bar{\rho}_{t,\ell}$ lies in the image of k_1 -rational points of a pair (ℓ, J) under the map $\pi_{\ell,J}$. So the theorem follows as soon as it is shown that the number of k_1 -rational points of the constructed étale covers $X_{\ell,J}$ of X are finite for any fixed $d \geq 1$ and for extensions $[k_1 : k] = d$. For this, it will be enough to show that the family of étale covers $X_{\ell,J}/X$ verifies the condition of Theorem 2.3.

The group $\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ is perfect for $\ell \geq 5$ and is generated by its elements of order ℓ . In addition each maximal subgroup J of $\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})$ is of index at most $\frac{1}{2}(\ell^g - 1)$. By Theorem 2.5, the Cayley graphs $\mathrm{Cay}(\mathrm{Sp}_{2g}(\mathbb{F}_{\ell}); S)$ have $\lambda_1(\mathrm{Cay}(\mathrm{Sp}_{2g}(\mathbb{F}_{\ell}); S)) \gg \frac{1}{\log |\mathrm{Sp}_{2g}(\mathbb{F}_{\ell})|^A}$. The Cayley

graph $\text{Cay}(J \backslash \text{Sp}_{2g}(\mathbb{F}_\ell); S)$ is by definition the quotient of $\text{Cay}(\text{Sp}_{2g}(\mathbb{F}_\ell); S)$ under the left action of J , and thus have the same λ_1 . An easy calculation now shows that

$$\lambda_1(\text{Cay}(J \backslash \text{Sp}_{2g}(\mathbb{F}_\ell); S)) / |\text{Cay}(J \backslash \text{Sp}_{2g}(\mathbb{F}_\ell); S)| \rightarrow \infty$$

when (ℓ, J) runs over all pairs as above with $\ell \geq 5$, which finishes the proof. \square

2.2. Gonality and rational points of bounded degree of Drinfeld modular curves.

In this section, we discuss arithmetic consequences of the combinatorial Li-Yau inequality from [11]. The main theorem is a linear lower bound in the genus for the gonality of Drinfeld modular curves. This extends the work of Abramovich [1] to positive characteristic case.

2.2.1. Lower bound on the gonality of X_Γ . Let K be a function field of genus g over the field of constants $k = \mathbb{F}_q$, of characteristic p . Let ∞ be a fixed place of K of degree δ , and let A be the ring of functions $f \in K$ which have poles at most at ∞ .

Let K_∞ be the completion of K at ∞ , and denote by \mathbb{C}_∞ the completion of an algebraic closure of K_∞ . Let $\Omega = \mathbb{P}^1(\mathbb{C}_\infty) \setminus \mathbb{P}^1(K_\infty) = \mathbb{C}_\infty \setminus K_\infty$. The group $\text{GL}_2(K)$ acts by fractional linear transformations on Ω .

Consider now Γ an arithmetic subgroup of $\text{GL}_2(K)$: Γ is a congruent subgroup of $\text{GL}(Y) \subseteq \text{GL}_2(K)$ for a rank-two A -lattice Y in K_∞ . This means that Γ contains a subgroup of the form $\text{GL}(Y, \mathfrak{n}) := \ker\{\text{GL}(Y) \rightarrow \text{GL}(Y/\mathfrak{n}Y)\}$ for an ideal \mathfrak{n} of A .

The group Γ acts on Ω , and the quotient $\Gamma \backslash \Omega$ is a smooth analytic curve which is the analytification of a smooth affine curve Y_Γ defined over a finite (abelian) extension of K_∞ . The Drinfeld modular curve X_Γ is the compactification of Y_Γ obtained by adding a finite number of points, called cusps, to Y_Γ .

Theorem 2.7 (Cornelissen-Kato-Kool [11]). *Let Γ be an arithmetic subgroup of $\text{GL}_2(K)$. There is a constant $c = c(K, \delta)$, such that the gonality $\gamma(X_\Gamma)$ over \overline{K} satisfies*

$$\gamma(X_\Gamma) \geq c \cdot (g(X_\Gamma) - 1),$$

where $g(X_\Gamma)$ is the genus of X_Γ .

We briefly discuss the proof of this theorem.

Reduction graph of X_Γ . The group Γ acts by automorphisms on the Bruhat-Tits tree \mathfrak{T} of $\text{PGL}_2(K_\infty)$, and the quotient is a finite graph G with a finite set of infinite rays corresponding to the cusps of X_Γ . The Drinfeld curve X_Γ is a Mumford curve with reduction graph over \mathbb{F}_{q^δ} isomorphic to G .

Maximum valence of G . The Bruhat-Tits tree \mathfrak{T} is a regular tree of valence $q^\delta + 1$. The graph G being the finite part of a quotient of this tree by a subgroup of the automorphism group, it has maximum valence d_{\max} bounded by $q^\delta + 1$.

First non-trivial eigenvalue of the Laplacian of G for $\Gamma = \text{GL}(Y, \mathfrak{n})$. In the case $\Gamma = \text{GL}(Y, \mathfrak{n})$, the Laplacian of G can be described in terms of the projection of the Hecke operator on \mathfrak{T} corresponding to the characteristic function of ∞ , and a zero-one matrix corresponding to the infinite rays of the quotient of \mathfrak{T} by $\text{GL}(Y, \mathfrak{n})$. Ramanujan-Petersson conjecture for global function fields, proved by Drinfeld, gives an estimate of the form $\lambda_1 \geq q^\delta - 2q^{\delta/2}$ for the first non-trivial eigenvalue of the Laplacian.

Number of vertices of G for $\Gamma = \mathrm{GL}(Y, \mathfrak{n})$. A direct comparison argument between the two quotient graphs G and G_0 associated to $\mathrm{GL}(Y, \mathfrak{n})$ and $GL(Y)$, respectively, involving the stabilizer of the vertex v_0 of \mathfrak{T} corresponding to the root vertex of \mathfrak{T} , leads to a lower bound of the type

$$|G| \geq \frac{1}{q(q^2 - 1)} [\mathrm{GL}(Y) : \mathrm{GL}(Y, \mathfrak{n})],$$

where $|G|$ is the number of vertices of G .

Gonality of X_Γ for $\Gamma = \mathrm{GL}(Y, \mathfrak{n})$. Combining the above estimates with the combinatorial Li-Yau inequality gives the existence of a constant c_0 , depending only on q and δ , such that for $\Gamma = \mathrm{GL}(Y, \mathfrak{n})$,

$$(2) \quad \gamma(X_\Gamma) \geq c_0 \cdot [\mathrm{GL}(Y) : \Gamma].$$

The bound on the genus is obtained by applying the Riemann-Hurwitz formula to the cover $X_{\mathrm{GL}(Y, \mathfrak{n})} \rightarrow X_{\mathrm{GL}(Y)}$, and a careful analysis of the degree of the ramification divisor. Riemann-Hurwitz gives

$$[\mathrm{GL}(Y, \mathfrak{n}) : \mathrm{GL}(Y)] = (g(X_{\mathrm{GL}(Y, \mathfrak{n})}) - 1) \frac{2(q - 1)}{2(g(X_{\mathrm{GL}(Y)}) - 1) + R},$$

so it will be essentially enough to give a lower bound on R since $g(X_{\mathrm{GL}(Y)})$ is a constant, depending only on K and δ .

Theorem for general Γ . This follows by looking at the cover $X_{\mathrm{GL}(Y, \mathfrak{n})} \rightarrow X_\Gamma$. This gives $\gamma(X_\Gamma) \geq \gamma(X_{\mathrm{GL}(Y, \mathfrak{n})}) |\Gamma \cap Z| / [\Gamma : \mathrm{GL}(Y, \mathfrak{n})]$, where $Z \simeq \mathbb{F}_q^*$ is the centralizer of $\mathrm{GL}(Y)$. Combining the theorem for $\mathrm{GL}(Y, \mathfrak{n})$ with Riemann-Hurwitz for the cover $X_{\mathrm{GL}(Y, \mathfrak{n})} \rightarrow X_\Gamma$ gives the result for general Γ .

Note that the inequality (2) holds for more general Γ , for a constant $c_0 = c_0(q, \delta)$.

2.2.2. Rational points of bounded degree. It is possible to apply the analogue in positive characteristic of Faltings-Frey theorem [26, 9], along the linear lower bound on the gonality (2) to prove the following theorem.

Suppose that X_Γ is defined over the finite extension L of K .

Theorem 2.8 ([11]). *There is a constant $c_0 = c_0(q, \delta)$ such that the set*

$$\bigcup_{L': [L':L] \leq \frac{1}{2}(c_0[\mathrm{GL}(Y):\Gamma]-1)} X_\Gamma(L')$$

is finite.

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CNRS - DMA, ÉCOLE NORMALE SUPÉRIEURE, PARIS

E-mail address: oamini@math.ens.fr