Fourier analysis and number theory

Emanuel Carneiro

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Modern Trends in Harmonic Analysis, July 2023

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Fourier optimization

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• Harmonic analysis is concerned with understanding oscillation.

Prelude

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- Relations to many other fields such as: approximation theory, number theory, complex analysis, probability, PDEs, ...

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- Relations to many other fields such as: approximation theory, number theory, complex analysis, probability, PDEs, ...
- I am particularly interested in studying extremal phenomena.

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CBMS

Regional Conference Series in Mathematics

Number 84

Ten Lectures on the Interface Between Analytic Number Theory and Harmonic Analysis

Hugh L. Montgomery



American Mathematical Society with support from the National Science Foundation



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Basic plan

• This is a conversation in analysis and number theory.

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- We shall discuss three problems in number theory
 - Prime gaps;
 - Least quadratic non-residue;
 - Least prime in an arithmetic progression;

and some related Fourier optimization problems.

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- We shall discuss three problems in number theory
 - Prime gaps;
 - Least quadratic non-residue;
 - Least prime in an arithmetic progression;

and some related Fourier optimization problems.

• Try to keep the focus on the big picture (on how we arrive at the Fourier optimization wonderland).

Fourier optimization framework

 Step I. Design "a" Fourier optimization problem connected to the number theory problem (proof of concept).

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Fourier optimization framework

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- Step II. Solve the Fourier optimization problem (or at least try to find a good approximation for the solution).
- Step III. Evolve towards designing what should be "the correct" Fourier optimization problem. Return to Step II.

Examples of applications of Fourier analysis in number theory include:

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• Erdös-Turán discrepancy inequalities.

4 A N

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- Bounds for low-lying zeros and vanishing of *L*-functions.

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- Bounds for the Riemann zeta-function on the critical strip.
- Bounds for Montgomery's pair correlation conjecture.
- Bounds for low-lying zeros and vanishing of *L*-functions.
- and so on...

Part I - Prime gaps

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Our hero

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Matt

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Mistery girl



Matt

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Mistery girl

Matt

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Matt: How about I buy you a beer?





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Matt: How about I buy you a beer?

Girl: Sure, but only if you can prove to me that under RH there is always a prime in the interval $[x, x + \frac{93}{100}\sqrt{x} \log x]$, for *x* large.





Matt: How about I buy you a beer?

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Matt: I guess it is my lucky day!

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$$\widehat{f}(t) = \int_{\mathbb{R}} e^{-2\pi i x t} f(x) \, \mathrm{d}x.$$

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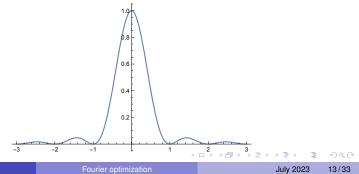
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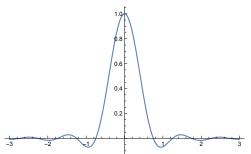


An 'innocent' variant

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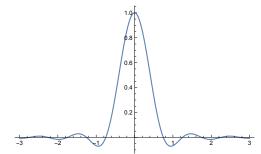
An 'innocent' variant

- Let F : ℝ → ℝ be such that F(0) = 1 and supp(F) ⊂ [-1, 1]. What is the minimal value of ||F||_{L¹(ℝ)}?
- 2 $H(x) = \frac{\cos(2\pi x)}{1-16x^2}$ yields $||H||_{L^1(\mathbb{R})} = 0.9259...$



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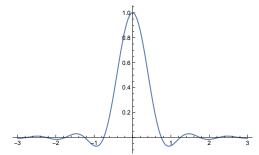


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Best up-to-date (Hörmander and Bernhardsson '93)

 $0.9243360302\ldots < C < 0.9243360304\ldots$

There exists a unique extremizer.

Bertrand's postulate (1845): is there always a prime in the interval [x, 2x]?

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- Baker Harman Pintz (2001): There is always a prime in $[x, x + x^{0.525}]$ for x large.

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Prime gaps on RH

Cramér's bounds (1920)

(1)

$$p_{n+1}-p_n=O(\sqrt{p_n}\log p_n),$$

i.e. every interval $[x, x + c\sqrt{x} \log x]$, for some c > 0, contains a prime when x is large.

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- e Historic progress:
 - ▶ Goldston '83: *c* = 4.
 - Ramaré and Saouter '03: c = 8/5
 - Dudek '15: c = 1 + o(1).

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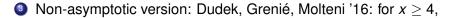
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$$[x, x + c\sqrt{x} \log x]$$

contains a prime. Here $c = 1 + \frac{4}{\log x}$.

Ramaré and Saouter '03 (c = 8/5)

Our team

• M. Milinovich (Mississippi) and K. Soundararajan (Stanford)





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Improved estimates

joint with M. Milinovich and K. Soundararajan '19

Theorem (Asymptotic version)

Assume RH. For x large, every interval

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Theorem (Asymptotic version)

Assume RH. For x large, every interval

$$\left[x, x + \frac{21}{25}\sqrt{x}\log x\right]$$

contains a prime.

Theorem (Non-asymptotic version)

Assume RH. For $x \ge 4$, every interval

$$\left[x, x + \frac{22}{25}\sqrt{x}\log x\right]$$

contains a prime.

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- Explicit formula connecting zeros of $\zeta(s)$ and primes.
- Pourier optimization problems.
- Brun-Titchmarsh inequality.

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Original manuscript - I

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Riemann's 1859 manuscript

(Source: American Institute of Mathematics).

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Original manuscript - II

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(Source: American Institute of Mathematics).

"Man findet nun in der That etwa so viel reele Wurzeln innerhalb dieser Grenzen, und es is sehr wahrscheinlich, dass alle Wurzeln reele sind."

"One now finds indeed approximately this number of real roots within these limits, and it is very probable that all roots are real."

Original manuscript - III

Bericht

über die

zur Bekanntmachung geeigneten Verhandlungen der Königl. Preufs. Akademie der Wissenschaften

zu Berlin

im Monat November 1859.

Vorsitzender Sekretar: Hr. Encke.

3. Nov. Gesammtsitzung der Akademie.

Hr. Steiner las über einige allgemeine Bestimmungsarten der Curven und Flächen zweiter Ordnung und daraus folgenden Sätzen.

Hierauf trug Hr. Kummer folgende von Hrn. Biemann, Grerepondenten der Akademie, mittelt eines an den Sekretar Hrn. Encke gerichteten Schreibens vom 19. October d. J. eingesaulte Mittheilung "über die Anzahl der Primzahlen unter einer gegebenen Größe" vor:

Meinen Dauk für die Auszeichnung, welche mir die Alademis durch die Aufohahen unter ihre Correspondenten hat zu Theit werden lassen, glanbe ich am betten dafarch zu erkenzen zu geben, daß ich von der hittbeling einer Untersuchung ablegt überauch nache darch Mittbeling einer Untersuchung über die Hänfgleit der Primzahlen; ein Gegenntand, welcher durch das Interess, welches Gauss und Dirichlet demselben Eingere Zeit geschenkt haben, einer solchen Mittbeling vielleicht nicht grau wurerbt erscheint.

Bei dieser Untersuchung diente mir als Ausgangspunkt die von Euler gemachte Bemerkung, daß das Product

 $\Pi \frac{1}{1} = \Sigma \frac{1}{n^r},$

[1859.]

First expression of the Riemann hypothesis in *Monatsberichte der Berliner Akademie*, November, 1859.

(Source: American Institute of Mathematics).

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For $\operatorname{Re}(s) > 1$:

$$\zeta(s) = \sum_{n \ge 1} \frac{1}{n^s} = \left(1 + \frac{1}{2^s} + \frac{1}{2^{2s}} + \dots\right) \left(1 + \frac{1}{3^s} + \frac{1}{3^{2s}} + \dots\right) \dots$$
$$= \prod_p \left(1 - \frac{1}{p^s}\right)^{-1}.$$

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Then $\frac{\zeta'(s)}{\zeta(s)} = \sum_{n \ge 1} \frac{\Lambda(n)}{n^s}$, with $\Lambda(n) = \log p$, if $n = p^k$, p prime.

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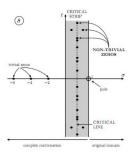
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Then $\frac{\zeta'(s)}{\zeta(s)} = \sum_{n \ge 1} \frac{\Lambda(n)}{n^s}$, with $\Lambda(n) = \log p$, if $n = p^k$, p prime. Let $\xi(s) = \frac{1}{2}s(s-1)\pi^{-s/2}\Gamma(\frac{s}{2})\zeta(s)$. Then $\xi(s) = \xi(1-s)$.

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Fourier optimization

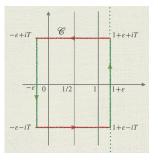
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Explicit formulas

•
$$\xi(s) = \frac{1}{2}s(s-1)\pi^{-s/2}\Gamma(\frac{s}{2})\zeta(s)$$
. Then $\xi(s) = \xi(1-s)$.

Now let h be a good function and note that

$$\sum_{\rho \ ; \ \zeta(\rho)=0} h\Big(\frac{\rho-\frac{1}{2}}{i}\Big) = \frac{1}{2\pi i} \int_{\mathcal{C}} h\Big(\frac{s-\frac{1}{2}}{i}\Big) \frac{\xi'(s)}{\xi(s)} \, ds.$$



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Explicit formula

Lemma (Guinand-Weil Explicit Formula)

Let h(s) be analytic in the strip $|\text{Im}(s)| \le 1/2 + \varepsilon$ for some $\varepsilon > 0$, and such that $|h(s)| \ll (1 + |s|)^{-(1+\delta)}$ when $|\text{Re}(s)| \to \infty$.

$$\sum_{\rho} h(\gamma) = h\left(\frac{1}{2i}\right) + h\left(-\frac{1}{2i}\right) - \frac{1}{2\pi}\widehat{h}(0)\log\pi + \frac{1}{2\pi}\int_{-\infty}^{\infty} h(u)\operatorname{Re}\frac{\Gamma'}{\Gamma}\left(\frac{1}{4} + \frac{iu}{2}\right)du - \frac{1}{2\pi}\sum_{n=2}^{\infty}\frac{\Lambda(n)}{\sqrt{n}}\left(\widehat{h}\left(\frac{\log n}{2\pi}\right) + \widehat{h}\left(\frac{-\log n}{2\pi}\right)\right),$$

where $\rho = \frac{1}{2} + i\gamma$ are the non-trivial zeros of $\zeta(s)$ and $\Lambda(n)$ is defined to be log *p* if $n = p^k$, *p* a prime and $k \ge 1$, and zero otherwise.

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Idea: to use this with $\hat{h}\left(\pm\frac{\log \cdot}{2\pi}\right)$ localized in an interval without primes.

For this let *f* be a smooth function such that $\operatorname{supp}(\widehat{f}) \subset [-1, 1]$, let $0 < \Delta \leq 1$, let 1 < a, and set

$$g(z) = \Delta f(\Delta z)$$
; $h(z) = g(z)a^{iz}$

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Idea: Perform an asymptotic analysis as $x \to \infty$.

Setup II

$$g(z) = \Delta f(\Delta z)$$
 ; $h(z) = g(z)a^{iz}$

Then

$$\sum_{\rho} h(\gamma) = h\left(\frac{1}{2i}\right) + h\left(-\frac{1}{2i}\right) - \frac{1}{2\pi}\widehat{h}(0)\log\pi + \frac{1}{2\pi}\int_{-\infty}^{\infty} h(u)\operatorname{Re}\frac{\Gamma'}{\Gamma}\left(\frac{1}{4} + \frac{iu}{2}\right)du - \frac{1}{2\pi}\sum_{n=2}^{\infty}\frac{\Lambda(n)}{\sqrt{n}}\left(\widehat{h}\left(\frac{\log n}{2\pi}\right) + \widehat{h}\left(\frac{-\log n}{2\pi}\right)\right),$$

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$$\begin{split} \sum_{\rho} g(\gamma) a^{i\gamma} &= g\Big(\frac{1}{2i}\Big) a^{1/2} + g\Big(-\frac{1}{2i}\Big) a^{-1/2} - \frac{1}{2\pi} \widehat{g}\Big(-\frac{\log a}{2\pi}\Big) \log \pi \\ &+ \frac{1}{2\pi} \int_{-\infty}^{\infty} g(u) \, a^{iu} \operatorname{Re} \frac{\Gamma'}{\Gamma} \Big(\frac{1}{4} + \frac{iu}{2}\Big) \, \mathrm{d}u \\ &- \frac{1}{2\pi} \sum_{n=2}^{\infty} \frac{\Lambda(n)}{\sqrt{n}} \Big(\widehat{g}\Big(\frac{\log(n/a)}{2\pi}\Big) + \widehat{g}\Big(\frac{-\log na}{2\pi}\Big)\Big), \end{split}$$

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Main competition

Matters are reduced to

$$\left|g\left(rac{1}{2i}
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Observe that

$$g\left(\frac{1}{2i}\right) = \Delta f\left(\frac{\Delta}{2i}\right) = \Delta \int_{-1}^{1} e^{\pi t \Delta} \hat{f}(t) dt$$
$$= \Delta \int_{-1}^{1} \hat{f}(t) dt + \Delta \int_{-1}^{1} \left(e^{\pi t \Delta} - 1\right) \hat{f}(t) dt$$
$$= \Delta f(0) + O(\Delta^{2}).$$

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$$\left|g\left(\frac{1}{2i}\right)a^{1/2}+g\left(-\frac{1}{2i}\right)a^{-1/2}\right|\leq \sum_{\gamma}|g(\gamma)|+O(1).$$

Observe that

$$g\left(\frac{1}{2i}\right) = \Delta f\left(\frac{\Delta}{2i}\right) = \Delta \int_{-1}^{1} e^{\pi t \Delta} \widehat{f}(t) dt$$
$$= \Delta \int_{-1}^{1} \widehat{f}(t) dt + \Delta \int_{-1}^{1} \left(e^{\pi t \Delta} - 1\right) \widehat{f}(t) dt$$
$$= \Delta f(0) + O(\Delta^{2}).$$

We may similarly estimate $g(-\frac{1}{2i})$ and, hence, the (LHS) above is

$$g\left(\frac{1}{2i}\right)a^{1/2}+g\left(-\frac{1}{2i}\right)a^{-1/2}=\Delta f(0)(a^{1/2}+a^{-1/2})+O(\Delta^2 a^{1/2}).$$

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Sum over zeros

Let N(x) denote the number of zeros with $0 < \gamma \le x$. Using the fact that $N(x) = \frac{x}{2\pi} \log \frac{x}{2\pi} - \frac{x}{2\pi} + O(\log x)$, we evaluate the sum $\sum_{\gamma} |g(\gamma)|$ using summation by parts to get

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$$\sum_{\gamma} |g(\gamma)| = \frac{1}{2\pi} \int_{-\infty}^{\infty} |g(x)| \log^+ \frac{|x|}{2\pi} \mathrm{d}x + O\big(\|g\|_{\infty} + \|g'(x)\log^+ |x|\|_1\big),$$

where $\log^{+} x = \max\{\log x, 0\}$ for x > 0.

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where $\log^+ x = \max\{\log x, 0\}$ for x > 0.

Recalling that $g(x) = \Delta f(\Delta x)$,

$$egin{aligned} &\sum_{\gamma} |g(\gamma)| = rac{1}{2\pi} \int_{-\infty}^{\infty} |f(y)| \, \log^+ |y/2\pi\Delta| \, \mathrm{d}y + O(1) \ &= rac{\log(1/2\pi\Delta)}{2\pi} \|f\|_1 + O(1). \end{aligned}$$

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We get

$$\Delta f(0) a^{1/2} + O(\Delta^2 a^{1/2}) \leq \frac{\log(1/2\pi\Delta)}{2\pi} \|f\|_1 + O(1).$$

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along this sequence of $x \to \infty$. This is only possible if

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$$\frac{c f(0)}{4\pi} \log x \le \frac{\|f\|_1}{4\pi} \log x + O(1)$$

along this sequence of $x \to \infty$. This is only possible if

$$c \le \frac{\|f\|_1}{f(0)} \le 0.9259...$$

as we wanted to show.

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This leads to ...

• If $supp(\widehat{F}) \subset [-1, 1]$ we would have

$$c\leq \frac{\|F\|_1}{F(0)}.$$

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2 One can actually do better by (over) estimating in $[-1, 1]^c$:

$$\boldsymbol{c} \leq \frac{\|\boldsymbol{F}\|_{1}}{\left(\boldsymbol{F}(0) - \mathbf{B} \int_{[-1,1]^{c}} \left(\widehat{\boldsymbol{F}}(t)\right)_{+} \mathrm{d}t\right)}$$

Here B is the Brun-Titchmarsh constant in our desired scale

$$\mathbf{B} := \limsup_{x \to \infty} \frac{\pi(x + \sqrt{x}) - \pi(x)}{\sqrt{x} / \log x}.$$

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By the PNT (on the left) and work of Iwaniec (on the right):

$$1 \le \mathbf{B} \le \frac{36}{11}$$
.

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