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On Siegel's theorem

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1. Linnik [1] proved in an elementary way the famous theorem of Siegel, according to which the class number $h(-k)$ of the imaginary quadratic field belonging to the fundamental discriminant $-k < 0$ satisfies $h(-k) > k^{1/2-\varepsilon}$ if $\varepsilon > 0$ and $k > K_0(\varepsilon)$, where $K_0(\varepsilon)$ denotes an ineffective constant depending on ε .

The proof of Linnik is composed of the following 4 parts:

DEFINITION. A real primitive character χ_k has the *property A*(β) if there is such a constant $C_0(\chi_k, \beta)$, that for all $N > C_0(\chi_k, \beta)$ there exists an $N_1 \in [\sqrt{N}, N]$ with the property

$$\left| \sum_{n \leq N_1} \chi_k(n) \mu(n) \right| > N_1^\beta.$$

1. If $h(-k) < k^{1/2-\varepsilon_1}$ with $0 < \varepsilon_1 < 0.01$ for a sufficiently large k depending on ε_1 , then $L(s, \chi_k)$ vanishes somewhere in the interval $[1 - 0.001\varepsilon_1, 1 + 0.001\varepsilon_1]$.

2. If $L(s, \chi_k)$ vanishes somewhere in the interval $[1 - 0.001\varepsilon_1, 1 + 0.001\varepsilon_1]$ then χ_k possesses the property *A*(β) for $\beta = 1 - 0.08\varepsilon_1$.

3. If χ_k possesses the property *A*(β) with a $\beta > 1/2$ and ε is an arbitrary number with $0 < \varepsilon < \beta - 1/2$, then there is such a constant $C_1(\beta, \varepsilon, \chi_k)$, that for all $N_1 > C_1(\beta, \varepsilon, \chi_k)$ there exists an $N_2 \in [N_1^{2\beta-1-2\varepsilon}, N_1]$, such that

$$\left| \sum_{n \leq N_2} \chi_k(n) \lambda(n) \right| > N_2^{\beta-\varepsilon}.$$

4. If χ_k possesses the property expressed in the assertion of the 3rd statement for $\beta \geq 3/4$, then there is such a constant $C_2(\chi_k, \eta_0)$ that in case of $k > C_2(\chi_k, \eta_0)$ $h(-k) > k^{1/2-\eta(\beta)}$, where $\eta(\beta) = 10.5(1-\beta) + \eta_0$ and η_0 is an arbitrary positive number.

In this paper, based on the above sketched order of ideas of Linnik, we give a simpler elementary proof of Siegel's theorem. Our proof will be completely elementary, we shall prove, that for arbitrary positive

ε and for $k > K_0(\varepsilon)$ ($K_0(\varepsilon)$ denotes an ineffective constant depending on ε), $L(1, \chi_k) > k^{-\varepsilon}$, where χ_k is a real primitive character, which can have the form

$$\chi_k(n) = \left(\frac{-k}{n}\right) \quad \text{or} \quad \chi_k(n) = \left(\frac{k}{n}\right).$$

In our proof we don't use the Polya-Vinogradov inequality, we don't need any knowledge of the algebraic theory of numbers; on the other hand from the elementary theory of numbers we need only the multiplicativity of Liouville's λ function and the trivial identities

$$\lambda(a) = \sum_{d|a} 2^{v(d)} \lambda(d), \quad \sum_{d|m} \lambda(d) = \begin{cases} 1 & \text{if } m = l^2, \\ 0 & \text{if } m \neq l^2 \end{cases}$$

besides the basic theorem of number theory. We also use some fundamental properties of the continuous real functions.

We shall prove the following two theorems:

SIEGEL'S THEOREM I. Let χ_k denote a real primitive character mod k and ε an arbitrary positive number. Then

$$L(1, \chi_k) > k^{-\varepsilon} \quad \text{if} \quad k > K_0(\varepsilon).$$

SIEGEL'S THEOREM II. Let χ_k denote a real primitive character mod k and ε an arbitrary positive number. Then $L(s, \chi_k)$ doesn't vanish in the interval $[1 - k^{-\varepsilon}, 1]$ if $k > K_1(\varepsilon)$. (Here $K_0(\varepsilon)$ and $K_1(\varepsilon)$ denote ineffective constants depending on ε .)

We define the property $B(\gamma)$ similarly to the property $A(\beta)$ defined by Linnik as follows.

DEFINITION. A real character χ_k possesses the property $B(\gamma)$ if there is such a constant $N_0(\chi_k, \gamma)$ that for all $N \geq N_0(\chi_k, \gamma)$ there exists an $N_1 \in [N^{1-\gamma/5}, N]$ with the property

$$\left| \sum_{n \leq N_1} \chi_k(n) \lambda(n) \right| > N^{1-\gamma}.$$

Let ε denote an arbitrary number, for which $0 < \varepsilon < 1$. Siegel's Theorem I will be the consequence of the following three lemmas. (χ_k denotes a real character mod k .)

LEMMA 1. If there are infinitely many k 's with $L(1, \chi_k) \leq k^{-\varepsilon}$, then for all sufficiently large such k 's $L(s, \chi_k)$ vanishes somewhere in the interval $\left[1 - \frac{\varepsilon}{120}, 1\right]$.

LEMMA 2. If $L(s, \chi_k)$ vanishes somewhere in the interval $\left[1 - \frac{\varepsilon}{120}, 1\right]$, then χ_k possesses the property $B(\varepsilon/12)$.

LEMMA 3. If there exists a real primitive character possessing the property $B(\varepsilon/12)$, then Siegel's Theorem I is true for ε .

We shall prove further a Lemma called Lemma 0 that makes it possible to give a much simpler proof of Lemma 1, than that of Linnik. After this we prove our Lemma 2 similarly to the 2nd assertion of Linnik, but directly applying it for the λ function, so we completely avoid the 3rd assertion of Linnik, proved by the sieve-method. Finally using a consequence of our Lemma 0 — without using any knowledge of the algebraic theory of numbers — we shall prove our Lemma 3 which is analogous to the 4th assertion of Linnik.

So at first we prove the easy

LEMMA 0. Let χ_k denote a real character mod k and $g(n) = \sum_{d|n} \chi_k(d)$.

Then for an arbitrary τ with $0 < \tau < 1$, there exists a c_τ , $0 < c_\tau < 1$, such that for all $x \geq 3k/\tau$

$$\sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} = \left(c_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{1}{\tau} x^\tau L(1) \pm \frac{2\sqrt{3}\sqrt{k}x^\tau}{\sqrt{\tau}\sqrt{x}},$$

where $\pm a$ denotes a real number with an absolute value not exceeding a .

Proof. We use the following lemma of the elementary real analysis: For an arbitrary τ , for which $0 < \tau < 1$, there exists a c_τ , $0 < c_\tau < 1$, such that for all $u \geq 1$

$$\sum_{m \leq u} \frac{1}{m^{1-\tau}} = \frac{1}{\tau} (u^\tau - 1) + c_\tau \pm \frac{1}{u^{1-\tau}} < \frac{1}{\tau} u^\tau.$$

Let z denote a number — to be chosen later — for which $1 \leq z \leq x$. Then

$$\begin{aligned} \sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} &= \sum_{n \leq x} \frac{1}{n^{1-\tau}} \sum_{d|n} \chi_k(d) = \sum_{d \leq x} \frac{\chi_k(d)}{d^{1-\tau}} \sum_{m \leq x/d} \frac{1}{m^{1-\tau}} = \sum_{d \leq z} \frac{1}{d^{1-\tau}} + \sum_{z < d \leq x} \frac{1}{d^{1-\tau}}, \\ \Sigma_1 &= \sum_{d \leq z} \frac{\chi_k(d)}{d^{1-\tau}} \sum_{m \leq x/d} \frac{1}{m^{1-\tau}} = \sum_{d \leq z} \frac{\chi_k(d)}{d^{1-\tau}} \left\{ \frac{1}{\tau} (x^\tau/d^\tau - 1) + c_\tau \pm \frac{d^{1-\tau}}{x^{1-\tau}} \right\} \\ &= \left(c_\tau - \frac{1}{\tau}\right) \sum_{d \leq z} \frac{\chi_k(d)}{d^{1-\tau}} + \frac{x^\tau}{\tau} \sum_{d \leq z} \frac{\chi_k(d)}{d} \pm \sum_{d \leq z} \frac{1}{x^{1-\tau}} \\ &= \left(c_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{x^\tau}{\tau} L(1) \pm \left(\frac{1}{\tau} - c_\tau\right) \times \\ &\quad \times \sum_{d > z} \frac{\chi_k(d)}{d^{1-\tau}} \pm \frac{x^\tau}{\tau} \sum_{d > z} \frac{\chi_k(d)}{d} \pm \frac{z}{x^{1-\tau}}. \end{aligned}$$



Making use of $|\sum_{d=a}^b \chi_k(d)| \leq \varphi(k) < k$, applying the inequality of Abel, considering that $\frac{1}{d^{1-\tau}} \sum_{m \leq x/d} \frac{1}{m^{1-\tau}}$ is monotonically decreasing in d and that $0 < \frac{1}{\tau} - e_\tau < \frac{1}{\tau}$, we get

$$\begin{aligned} \left(\frac{1}{\tau} - e_\tau\right) \left| \sum_{d>z} \frac{\chi_k(d)}{d^{1-\tau}} \right| &< \frac{1}{\tau} \cdot k \cdot \frac{1}{z^{1-\tau}} \leq \frac{kx^\tau}{\tau z}; \\ \frac{x^\tau}{\tau} \left| \sum_{d>z} \frac{\chi_k(d)}{d} \right| &\leq \frac{x^\tau k}{\tau z}; \\ |\Sigma_2| = \left| \sum_{z < d \leq x} \frac{\chi_k(d)}{d^{1-\tau}} \sum_{m \leq x/d} \frac{1}{m^{1-\tau}} \right| &\leq \frac{k}{z^{1-\tau}} \cdot \frac{1}{\tau} \cdot \frac{x^\tau}{z} = \frac{kx^\tau}{\tau z}. \end{aligned}$$

Now set $z = \sqrt{\frac{3kx}{\tau}}$ ($\leq x$). Then

$$\begin{aligned} \sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} &= \Sigma_1 + \Sigma_2 \\ &= \left(e_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{x^\tau}{\tau} L(1) \pm \frac{kx^\tau}{\tau z} \pm \frac{kx^\tau}{\tau z} \pm \frac{zx^\tau}{x} \pm \frac{kx^\tau}{\tau z} \\ &= \left(e_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{x^\tau}{\tau} L(1) \pm \frac{2\sqrt{3}\sqrt{kx}^\tau}{\sqrt{\tau}\sqrt{x}}. \end{aligned}$$

Q.E.D.

This gives the following

COROLLARY. If $0 < \tau < 1/2$ and $x > y \geq 3k/\tau$, then

$$\sum_{n=y+1}^x \frac{g(n)}{n^{1-\tau}} = \frac{1}{\tau} (x^\tau - y^\tau) L(1) \pm \frac{4\sqrt{3}\sqrt{kx}^\tau}{\sqrt{\tau}\sqrt{y}}.$$

2. Proof of Lemma 1. For an arbitrary natural number n we have

$$g(1) = 1; \quad g(n) = \prod_{p_i^{a_i} | n} (1 + \chi_k(p_i) + \chi_k(p_i^2) + \dots + \chi_k(p_i^{a_i})) \geq 0,$$

thus

$$\sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} \geq 1.$$

From this and the Lemma 0 we get the well-known $L(1, \chi_k) \geq 0$, because if we suppose that $L(1, \chi_k) < 0$, then with a fixed τ , $0 < \tau < \frac{1}{3}$, for $x \rightarrow \infty$ we get that

$$1 \leq \sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} = \left(e_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{1}{\tau} x^\tau L(1) \pm \frac{2\sqrt{3}\sqrt{k}}{\sqrt{\tau} x^{1/2-\tau}} \rightarrow -\infty.$$

Let us suppose that for infinitely many k $L(1, \chi_k) \leq k^{-\epsilon}$ ($0 < \epsilon < 1$). Then we can choose among them k so large that on putting

$$\tau = \frac{\epsilon}{120} \quad (< \frac{1}{120}) \quad \text{and} \quad x = k^{12}$$

the inequalities

$$x > \frac{3k}{\tau}, \quad \frac{2\sqrt{3}\sqrt{kx}^\tau}{\sqrt{\tau}\sqrt{x}} < \frac{1}{2}$$

and

$$\frac{x^\tau}{\tau} L(1) \leq \frac{120}{\epsilon} k^{\epsilon/10} \cdot k^{-\epsilon} < \frac{1}{2}$$

hold. Hence

$$\begin{aligned} 1 &\leq \sum_{n \leq x} \frac{g(n)}{n^{1-\tau}} \leq \left(e_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{1}{\tau} x^\tau L(1) + \frac{2\sqrt{3}\sqrt{kx}^\tau}{\sqrt{\tau}\sqrt{x}} \\ &< \left(e_\tau - \frac{1}{\tau}\right) L(1-\tau) + \frac{1}{2} + \frac{1}{2}. \end{aligned}$$

Since

$$e_\tau - \frac{1}{\tau} < 0, \quad L(1-\tau) = L\left(1 - \frac{\epsilon}{120}\right) < 0.$$

Making use of the continuity of $L(s)$ and of $L(1) \geq 0$, we infer that indeed $L(s, \chi_k)$ vanishes somewhere in the interval $\left[1 - \frac{\epsilon}{120}, 1\right]$ indeed.

3. Proof of Lemma 2. Set $\gamma = \frac{\epsilon}{12}$. Let us suppose that $L(s, \chi_k)$

has a β zero in the interval $\left[1 - \frac{\epsilon}{120}, 1\right] = \left[1 - \frac{\gamma}{10}, 1\right]$, and contrary to the assertion of Lemma 2 χ_k doesn't possess the property $B(\gamma)$, i.e. there are infinitely many N , such that for all $w \in [N^{1-\gamma/5}, N]$

$$\left| \sum_{n \leq w} \chi_k(n) \lambda(n) \right| \leq N^{1-\gamma}.$$

Then using Abel's inequality and the identity

$$\sum_{d|n} \lambda(d) = \begin{cases} 1 & \text{if } n = l^2, \\ 0 & \text{if } n \neq l^2, \end{cases}$$

we get

$$\begin{aligned} 1 &\leq \sum_{\substack{m \leq N \\ m=l^2}} \frac{\chi_k(m)}{m^\beta} = \sum_{m \leq N} \frac{\chi_k(m)}{m^\beta} \sum_{d|m} \lambda(d) = \sum_{d \leq N} \frac{\chi_k(d) \lambda(d)}{d^\beta} \sum_{m \leq N/d} \frac{\chi_k(m)}{m^\beta} \\ &= \sum_{a \leq N^{1-\gamma/5}} \frac{\chi_k(a) \lambda(a)}{a^\beta} \sum_{m \leq N/a} \frac{\chi_k(m)}{m^\beta} + \sum_{m \leq N^{2/5}} \frac{\chi_k(m)}{m^\beta} \sum_{N^{1-\gamma/5} < d \leq N/m} \frac{\chi_k(d) \lambda(d)}{d^\beta} \\ &< \left(\sum_{a \leq N^{1-\gamma/5}} \frac{\chi_k(a) \lambda(a)}{a^\beta} \right) L(\beta) + \sum_{a \leq N^{1-\gamma/5}} \frac{1}{a^\beta} \cdot \frac{k}{(N/a)^\beta} + \sum_{m \leq N^{2/5}} \frac{1}{m^\beta} \cdot \frac{2N^{1-\gamma}}{N^{(1-\gamma/5)\beta}} \\ &\leq \frac{kN^{1-\gamma/5}}{N^{1-\gamma/10}} + \frac{N^{\gamma/5} \cdot 2N^{1-\gamma}}{N^{(1-\gamma/5)(1-\gamma/10)}} \leq \frac{k}{N^{\gamma/10}} + \frac{2}{N^{\gamma/12}} \end{aligned}$$

and this inequality cannot be valid for infinitely many N .

4. Proof of Lemma 3. Let us suppose that χ_k possesses the property $B(\gamma)$ for $\gamma = \varepsilon/12$ ($0 < \varepsilon < 1$), then we shall prove that if χ_D is a real primitive character mod D , where D is sufficiently large depending on ε , further $N = D^6 \geq \max\{N_0(\chi_k, \gamma), k^{10}\}$, then $L(1, \chi_D) > D^{-\varepsilon}$. (Here χ_k denotes a real primitive character mod k .) Since $N \geq N_0(\chi_k, \gamma)$ there exists an $N_1 \in [N^{1-\gamma/5}, N]$ that

$$\left| \sum_{n \leq N_1} \chi_k(n) \lambda(n) \right| \geq N^{1-\gamma}.$$

Let $A_l = \{u \leq N_1; p \text{ prime, } p|u \rightarrow \chi_D(p) = l\}$ for $l = -1, 0, 1$. Let $C = \{u \leq N_1; u = v_1 v_0, v_1 \in A_1, v_0 \in A_0\}$. Then an arbitrary $n \leq N_1$ can be written as $n = abm$, where $a \in A_1, b \in A_0, m \in A_{-1}$. Let us suppose that $a_l|a, b_j|b$, then

$$\lambda(n) = \chi_D(n) = \chi_D\left(m \cdot \frac{a}{a_l}\right)$$

and

$$\chi_D\left(m \cdot \frac{a}{a_l} \cdot \frac{b}{b_j}\right) = \begin{cases} 0 & \text{if } b_j \neq b, \\ \chi_D\left(m \cdot \frac{a}{a_l}\right) & \text{if } b_j = b. \end{cases}$$

Then using $\lambda(a) = \sum_{d|a} 2^{v(d)} \lambda(d)$ we get

$$\begin{aligned} \lambda(n) &= \lambda(b) \lambda(a) \chi_D(n) = \lambda(b) \sum_{a_l|a} 2^{v(a_l)} \lambda(a_l) \chi_D\left(m \cdot \frac{a}{a_l}\right) \\ &= \sum_{b_j|b} \sum_{a_l|a} 2^{v(a_l)} \lambda(a_l) \chi_D\left(m \cdot \frac{a}{a_l} \cdot \frac{b}{b_j}\right) \lambda(b_j) = \sum_{\substack{c_l \in C, c_l|n \\ c_l = a_l b_l}} 2^{v(c_l)} \lambda(c_l) \chi_D\left(\frac{n}{c_l}\right). \end{aligned}$$

Let $g(n) = \sum_{d|n} \chi_D(d)$ where $n = abm$, then $2^{v(a)} \leq g(n) \leq n$. Taking in account that

$$\chi_k(n) \lambda(n) = \sum_{\substack{c_l \in C, c_l|n \\ c_l = a_l b_l}} 2^{v(c_l)} \lambda(c_l) \chi_k(c_l) \chi_k\left(\frac{n}{c_l}\right) \chi_D\left(\frac{n}{c_l}\right)$$

we get

$$\begin{aligned} N^{1-\gamma} &\leq \left| \sum_{n \leq N_1} \chi_k(n) \lambda(n) \right| = \left| \sum_{\substack{c_l \in C \\ c_l = a_l b_l}} 2^{v(c_l)} \lambda(c_l) \chi_k(c_l) \sum_{a \leq N_1/c_l} \chi_k(a) \chi_D(a) \right| \\ &\leq \sum_{n \leq N_1} g(n) \left| \sum_{a \leq N_1/n} \chi_k(a) \chi_D(a) \right| \leq \sum_{n \leq D^2} g(n) \cdot kD + \sum_{D^2 < n \leq N_1} g(n) \cdot \frac{N_1}{n} \\ &\leq D^2 \cdot D^2 \cdot kD + N_1 \sum_{D^2 < n \leq N_1} \frac{g(n)}{n} \leq \frac{1}{3} N^{1-\gamma} + N \sum_{D^2 < n \leq N} \frac{g(n)}{n}. \end{aligned}$$

Thus

$$N \sum_{D^2 < n \leq N} \frac{g(n)}{n} \geq \frac{2}{3} N^{1-\gamma},$$

and as $N = D^6, \gamma = \varepsilon/12$ we get

$$\sum_{D^2 < n \leq D^6} \frac{g(n)}{n} \geq \frac{2}{3} \cdot \frac{1}{D^{\varepsilon/12}}.$$

Using the corollary of Lemma 0 with $k = D, \tau = \frac{1}{\log D}, y = D^2, x = D^6$

we get using also that $x \geq y \geq 3D/\tau$ the inequality

$$\begin{aligned} \frac{2}{3} \cdot \frac{1}{D^{\varepsilon/12}} &\leq \sum_{n=D^2+1}^{D^6} \frac{g(n)}{n} < \sum_{n=D^2+1}^{D^6} \frac{g(n)}{n^{1-\tau}} \\ &< \log D \cdot D^{6 \cdot \frac{1}{\log D}} \cdot L(1) + \frac{4\sqrt{3}\sqrt{D} \cdot D^{\frac{1}{\log D}}}{\sqrt{D^2}} < \frac{1}{3} D^{\varepsilon/12} \cdot L(1) + \frac{1}{3} \cdot \frac{1}{D^{\varepsilon/12}}. \end{aligned}$$

Hence

$$L(1, \chi_D) > D^{-\varepsilon}.$$

So we finished the proof of Lemma 3 and also of Siegel's Theorem I.

5. As it is well-known Siegel's Theorem II follows from Siegel's Theorem I. The usual proof of this fact is that making use of

$$|L'(\sigma, \chi_k)| \leq c \log^2 k \quad \text{for} \quad 1 - \frac{1}{\log k} \leq \sigma \leq 1,$$

and of Siegel's Theorem I being valid for $\varepsilon/2$, one gets by the mean value theorem of differential calculus that if

$$L(\beta, \chi_k) = 0$$

then

$$\beta \leq 1 - \frac{1}{k^{\varepsilon/2} \cdot c \log^2 k} < 1 - k^{-\varepsilon} \quad \text{for} \quad k > K(\varepsilon).$$

6. Now we prove in a simple non-elementary way based only on the theory of real valued functions that Siegel's Theorem I follows from Siegel's Theorem II. From this assertion obviously follows the validity of our Lemma 1. Our assertion results from the following lemma which is valid for real characters mod k , where k is sufficiently large.

LEMMA 4. *If*

$$L(1, \chi_k) \leq \frac{1}{100 \log^3 k}$$

then

$$L(1 - L(1), \chi_k) \leq 0.$$

Proof. Set

$$\tau = \frac{1}{10 \log^3 k} \quad (\leq \frac{1}{20})$$

then

$$L(1 + \tau) \geq \frac{\zeta(2(1 + \tau))}{\zeta(1 + \tau)} \geq \frac{3}{2} \tau$$

thus

$$L\left(1 + \frac{1}{10 \log^3 k}\right) - L(1) \geq \frac{3}{2 \cdot 10 \log^3 k} - \frac{1}{100 \log^3 k} = \frac{0.14}{\log^3 k}$$

and so there is a $\xi \in \left[1, 1 + \frac{1}{10 \log^3 k}\right]$ for which $L'(\xi) \geq 1.4$. On the other hand (as one can easily show by partial summation) for sufficiently

large k

$$|L''(\sigma, \chi_k)| \leq 2 \log^3 k \quad \text{if} \quad 1 - \frac{1}{10 \log^3 k} \leq \sigma \leq 1 + \frac{1}{10 \log^3 k}$$

so if

$$1 - \frac{1}{10 \log^3 k} \leq \eta \leq 1$$

then

$$|L'(\xi) - L'(\eta)| \leq (\xi - \eta) 2 \log^3 k \leq 0.4.$$

Thus $L'(\eta) \geq 1$. Considering that

$$L(1) \leq \frac{1}{100 \log^3 k} < \frac{1}{10 \log^3 k},$$

we get

$$L(1) - L(1 - L(1)) \geq L(1) \cdot 1.$$

Hence

$$L(1 - L(1), \chi_k) \leq 0.$$

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