

Elementary methods in the theory of L -functions
IX. Density theorems

by

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To Professor Paul Erdős
on the occasion of his 75th birthday

1. In the last paper of this series [11] we used elementary methods and some complex function theory to prove some well-known theorems (that of Landau, Page, Siegel, Tatuzawa) on real zeros of real L -functions. The purpose of this paper is to give simple (we may call quasi-elementary) proofs for various density theorems including the deep density theorems of Halász and Turán.

In the following let $\varrho = \beta + iy$ denote zeros of Dirichlet's L -function,

$$(1.1) \quad N(\sigma, T, \chi) = \sum_{\substack{L(\varrho, \chi) = 0 \\ \beta \geq \sigma, |\gamma| \leq T}} 1$$

and let \sum^* denote summation over all primitive characters mod q .

Our first result will be

THEOREM 1. *For $\sigma \geq 3/4$, $T \geq 2$ we have*

$$(1.2) \quad \sum_{q \leq Q} \sum_{\chi(q)}^* N(\sigma, T, \chi) \ll Q^{16(1-\sigma)} T^{1600(1-\sigma)^{3/2}} \log^{19}(QT).$$

This was proved (in a slightly weaker form) by Halász and Turán [5] for $Q = 1$, but their method can be generalized for L -functions too [6]. Their result was proved later in a simpler way by Bombieri [1] and Montgomery [8], Corollary 12.5.

Supposing the Generalized Lindelöf Hypothesis (GLH)

$$(1.3) \quad L(\sigma + it, q, \chi) \ll_\varepsilon (q(|t| + 2))^\varepsilon \quad \text{if } \sigma \geq 1/2, |\sigma + it - 1| \geq 1/4$$

for all characters of arbitrary modulus and arbitrary $\varepsilon > 0$ we obtain

THEOREM 2. *Assume GLH. Then for $\sigma > 3/4$, $T \geq 2$ and any $\varepsilon > 0$ we have*

$$(1.4) \quad \sum_{q \leq Q} \sum_{\chi(q)}^* N(\sigma, T, \chi) \ll_{\sigma, \varepsilon} (QT)^\varepsilon.$$

This might be expressed in the following more precise form.

THEOREM 2'. If (1.3) holds with ε^2 in place of ε and for all $q \leq Q^2$, then

$$(1.5) \quad \sum_{q \leq Q} \sum_{\chi(q)}^* N(3/4 + \varepsilon, T, \chi) \ll_\varepsilon (QT)^\varepsilon.$$

This was also shown (again in a slightly weaker form) by Halász and Turán [6] (for every Q). A simpler proof (for $Q = 1$) was given by Montgomery [8], Theorem 12.3.

Finally we give a short proof for the following

THEOREM 3. For $\sigma > 1/2$, $T \geq 2$ we have

$$(1.6) \quad \sum_{q \leq Q} \sum_{\chi(q)}^* N(\sigma, T, \chi) \ll (Q^2 T)^{4\sigma(1-\sigma)} \log^7(QT).$$

Our method is similar to that of Montgomery [8] and Karatsuba [7] but it reminds also for the method used in the works [9] and [10] of the author. Naturally the notion of a zero of $\zeta(s)$ in the critical strip already assumes complex function theory, so we cannot hope for completely elementary proofs. We use the inequality

$$(1.7) \quad N(\sigma, T+1, \chi) - N(\sigma, T, \chi) \ll \log q(T+2) \quad (\sigma \geq 1/2)$$

which follows by Jensen's inequality. (It would be interesting to show (1.7) in an elementary way.) Accordingly we shall show Theorems 3' and 4' in place of Theorem 3 and 4 (for Theorems 3', 4 and 4' see Section 2).

But our crucial Theorem 4' really follows in a simple elementary way from Lemmas A, B and 1 (see Section 3). Lemma 1 naturally uses the notion of a complex function but can be proved in a simple way without using contour integration. For the sake of completeness we present proofs for both Lemmas A and B. Theorem 3' follows from the large sieve Lemma C and the standard Lemmas 1 and 2. Here again Lemma 2 can be proved in a relatively simple way without contour integration; further it can be avoided if we are contented with an estimate of the form $(Q^2 T)^{4\sigma(1-\sigma)}$ in place of $(Q^2 T)^{4\sigma(1-\sigma)}$.

In order to derive Theorem 1 from Theorem 4 we need only trigonometric sums estimate, e.g. an estimate of type ($2 \leq N < N' \leq 2N$, $|t| \geq \sqrt{N}$, $0 < w \leq 1$)

$$(1.8) \quad \sum_{N \leq n < N'} (n+w)^{-it} \ll N^{1-c(\log N/\log |t|)^2}$$

which follows by Vinogradov's method (cf. [4], Theorem 10.3).

In order to obtain explicit constants and for the sake of simplicity we used the bound (2.4) of Richert [12].

Finally to deduce Theorem 2 from Theorem 4 we use a standard contour integration technique. This might be avoided if we replace the Generalized Lindelöf Hypothesis by the following equivalent form of it (cf. (2.3)):

$$(1.9) \quad \sum_{n=1}^N \frac{\chi(n)}{n^{1/2+it}} \ll_\varepsilon (q(|t|+2))^\varepsilon + \frac{E(\chi) \sqrt{N}}{|t|+1} \quad \text{for any } \varepsilon > 0.$$

2. Theorems 1 and 2 will follow from

THEOREM 4. Let us suppose that with a real $\alpha \geq 0$ and $M = M(\alpha, Q, T) \geq 1$ we have the estimate

$$(2.1) \quad \sum_{n=1}^N \frac{\chi(n)}{n^{it}} \ll_\alpha N^\alpha M + \frac{E(\chi) N}{|t|+1}$$

for every $|t| \leq T$ and every character $\chi \bmod q \leq Q^2$ where $E(\chi) = 1$ if χ is principal and $E(\chi) = 0$ if χ is non-principal. Then for $\sigma > (1+\alpha)/2$, $T \geq 2$ we have

$$(2.2) \quad \sum_{q \leq Q} \sum_{\chi(q)}^* N(\sigma, T, \chi) \ll_{\sigma, \alpha} M^{4(1-\sigma)/(2\sigma-1-\alpha)} (\log(MQT))^{20(1-\sigma)/(2\sigma-1-\alpha)+7}.$$

Remark. By Abel's inequality we see that (2.1) implies the same estimate if we replace the exponent it by $\delta+it$, $\delta = \delta(\chi) \geq 0$.

Let us denote by $N'(\sigma, T, \chi)$ the maximal number R of zeros $\{\gamma_v\}_{v=1}^R$ of $L(s, \chi)$ with the property $\beta_v \geq \sigma$, $|\gamma_v| \leq T$ ($v = 1, 2, \dots, R$) and with $|\gamma_v - \gamma_\mu| \geq 1$ if $1 \leq v < \mu \leq R$. Then, by Jensen's inequality, Theorem 4 is an easy consequence of

THEOREM 4'. Theorem 4 is valid if $N(\sigma, T, \chi)$ is replaced by $N'(\sigma, T, \chi)$ and 7 by 6 in the exponent of $\log(MQT)$.

Analogously, instead of Theorem 3 it is sufficient to prove

THEOREM 3'. Theorem 3 is valid if $N(\sigma, T, \chi)$ is replaced by $N'(\sigma, T, \chi)$ and $\log^7(QT)$ by $\log^6(QT)$.

Now we shall show that Theorem 4 implies Theorems 1 and 2. First we remark that by Abel's inequality (2.1) will follow if we can show that

$$(2.3) \quad \sum_{n=1}^N \frac{\chi(n)}{n^{\alpha+it}} \ll_\alpha M + \frac{E(\chi) N^{1-\alpha}}{|t|+1}.$$

This is trivially true if $|t| \leq 2$, independently of M . On the other hand for $|t| \geq 2$ we have for any $w \in (0, 1]$, and $K > 0$

$$(2.4) \quad \sum_{m=1}^K (m+w)^{-\alpha-it} \leq C_1 |t|^{100(1-\alpha)^{3/2}} \log^{2/3} |t|$$

from the work of Richert [12]. By (2.4) we have

$$(2.5) \quad \left| \sum_{n=1}^N \frac{\chi(n)}{n^{\alpha+it}} \right| \leq \sum_{n \leq q} \frac{1}{n^\alpha} + \frac{1}{q^\alpha} \sum_{l=1}^q \left| \sum_{m=1}^{[(N-l)/q]} \frac{1}{(m+l/q)^{\alpha+it}} \right| \\ \ll_\alpha q^{1-\alpha} + q^{1-\alpha} |t|^{100(1-\alpha)^{3/2}} \log^{2/3} |t| \\ \ll_\alpha Q^{2(1-\alpha)} T^{100(1-\alpha)^{3/2}} \log^{2/3} T \stackrel{\text{def}}{=} M(\alpha, Q, T)$$

if $q \leq Q^2$, $|t| \leq T$. Choosing $\alpha = 4\sigma - 3$ we obtain Theorem 1 since

$$1-\alpha = 4(1-\sigma) \quad \text{and} \quad 2\sigma - 1 - \alpha = 2(1-\sigma).$$

In order to prove Theorem 2' let $\sigma = 3/4 + \varepsilon$, $\alpha = 1/2 + 2\varepsilon^2$ with an $\varepsilon \leq 1/4$. Then $4(1-\sigma) \leq 1$, $2\sigma - \alpha - 1 = 2\varepsilon - 2\varepsilon^2 \geq 3\varepsilon/2$. Using Perron's formula with $K = (NT)^{5/4} Q^{2\varepsilon^2}$ we obtain for any $\chi \bmod q \leq Q^2$ and $|t| \leq T$:

$$(2.6) \quad \sum_{n=1}^N \frac{\chi(n)}{n^{it}} = \frac{1}{2\pi i} \int_{9/8-iK}^{9/8+iK} L(it+w, \chi) \frac{N^w}{w} dw + O(1).$$

Transforming the path of integration to $\sigma = 1/2$ we get

$$(2.7) \quad \sum_{n=1}^N \frac{\chi(n)}{n^{it}} = \frac{E(\chi) \varphi(q) N^{1-it}}{q(1-it)} + \frac{1}{2\pi i} \int_{1/2-iK}^{1/2+iK} L(it+w, \chi) \frac{N^w}{w} dw + O(1).$$

Here the integral is

$$(2.8) \quad \ll_\varepsilon N^{1/2} (qK)^{\varepsilon^2} \log K \ll_\varepsilon N^{1/2+2\varepsilon^2} (Q^2 T)^{4\varepsilon^2/3} \stackrel{\text{def}}{=} N^\alpha M.$$

Therefore we have by Theorem 4

$$(2.9) \quad \sum_{q \leq Q}^* N(\sigma, T, \chi) \ll_\varepsilon (Q^2 T)^{4\varepsilon^2/3} (\log(QT))^{5/2\varepsilon^2+7} \ll_\varepsilon (Q^2 T)^\varepsilon.$$

3. We shall need the following lemmas.

LEMMA A (Bombieri [2]). *If $\xi, \varphi_1, \dots, \varphi_R$ are elements of an inner product space over the field of complex numbers, then*

$$(3.1) \quad \sum_{v=1}^R |(\xi, \varphi_v)|^2 \leq \|\xi\|^2 \max_{1 \leq v \leq R} \sum_{\mu=1}^R |(\varphi_v, \varphi_\mu)|.$$

LEMMA B. *Let $S(s, \chi) = \sum_{n=1}^N a_n \chi(n) n^{-s}$ and let \mathcal{A} be a finite set of pairs $(s, \chi) = (\sigma+it, \chi)$ where $\chi \bmod q \leq Q$ primitive, $|t| \leq T$ ($T \geq 2$), $\sigma \geq \sigma_0 \geq 0$ for all pairs and $|t-t'| \geq 1$ for any distinct pairs $(\sigma+it, \chi)$ and $(\sigma'+it', \chi)$ in \mathcal{A} . Supposing (2.1) we have*

$$(3.2) \quad \sum_{(s, \chi) \in \mathcal{A}} |S(s, \chi)|^2 \ll (N \log T + |\mathcal{A}| N^\alpha M) \sum_{n=1}^N \frac{|a_n|^2}{n^{2\sigma_0}}.$$

LEMMA C. *Let us suppose the conditions of Lemma B, with the exception of (2.1). Then we have*

$$(3.3) \quad \sum_{(s, \chi) \in \mathcal{A}} |S(s, \chi)|^2 \ll (N + Q^2 T) \log N \sum_{n=1}^N \frac{|a_n|^2}{n^{2\sigma_0}} \left(1 + \log \frac{\log 2N}{\log 2n} \right).$$

LEMMA 1. *For $\sigma \geq 1/2$, $x \geq |t|$ we have*

$$(3.4) \quad \sum_{n \leq x} \frac{1}{n^s} = \zeta(s) + \frac{x^{1-s}}{1-s} + O(x^{-\sigma}).$$

LEMMA 2. *If χ is non-principal mod q , $\sigma \geq 1/2$, $x \geq q(|t|+1)$ then*

$$(3.5) \quad \sum_{n \leq x} \frac{\chi(n)}{n^s} = L(s, \chi) + O(qx^{-\sigma}).$$

For Lemmas 1 and 2 see Theorem 4.11 of [13] and Lemma 2 in § 26 of [3], resp. Lemma B is very similar to Theorem 8.4 of [8], whilst Lemma C is Theorem 7.5 of [8]. We prove here Lemmas A and B needed in the proofs of Theorems 1 and 2.

Proof of Lemma A. For arbitrary complex numbers c_v

$$(3.6) \quad \left| \sum_{v=1}^R c_v (\xi, \varphi_v) \right|^2 = \|(\xi, \sum_{v=1}^R \overline{c_v} \varphi_v)\|^2 \leq \|\xi\|^2 \left\| \sum_{v=1}^R \overline{c_v} \varphi_v \right\|^2 \\ = \|\xi\|^2 \sum_{v=1}^R \sum_{\mu=1}^R \overline{c_v} c_\mu (\varphi_v, \varphi_\mu) \\ \leq \|\xi\|^2 \sum_{v=1}^R |c_v|^2 \sum_{\mu=1}^R |(\varphi_v, \varphi_\mu)| \\ \leq \|\xi\|^2 \sum_{v=1}^R |c_v|^2 \max_{1 \leq v \leq R} \sum_{\mu=1}^R |(\varphi_v, \varphi_\mu)|.$$

Taking $c_v = \overline{(\xi, \varphi_v)}$ we obtain

$$(3.7) \quad \left(\sum_{v=1}^R |(\xi, \varphi_v)|^2 \right)^2 \leq \|\xi\|^2 \sum_{v=1}^R |(\xi, \varphi_v)|^2 \max_{1 \leq v \leq R} \sum_{\mu=1}^R |(\varphi_v, \varphi_\mu)|. \blacksquare$$

Proof of Lemma B. Let

$$\xi = \{a_n n^{-\sigma_0}\}_{n=1}^N, \quad \varphi_{s, \chi} = \{\bar{\chi}(n) n^{-(\sigma-\sigma_0)+it}\}_{n=1}^N$$

Then

$$(\xi, \varphi_{s, \chi}) = S(s, \chi), \quad \|\xi\|^2 = \sum_{n=1}^N |a_n|^2 n^{-2\sigma_0}$$

and

$$\begin{aligned} \sum_{s', \chi' \in \mathcal{A}} |(\varphi_{s_1, \chi_1}, \varphi_{s', \chi'})| &= \sum_{s', \chi' \in \mathcal{A}} \left| \sum_{n=1}^N \frac{\bar{\chi}_1(n) \chi'(n)}{n^{\sigma_1 - \sigma_0 + \sigma' - \sigma_0 + i(t' - t_1)}} \right| \\ &\ll |\mathcal{A}| N^\alpha M + \sum_{(s', \chi_1) \in \mathcal{A}} \left| \sum_{n=1}^N \frac{|\chi_1(n)|^2}{n^{\sigma_1 - \sigma_0 + \sigma' - \sigma_0 + i(t' - t_1)}} \right| \\ &\ll |\mathcal{A}| N^\alpha M + N \log T. \blacksquare \end{aligned}$$

4. For the proof of Theorem 4' let

$$(4.1) \quad \eta = 2\sigma - 1 - \alpha \quad (> 0), \quad X = C_{\alpha, \sigma} (M \log^5(MT))^{1/\eta}, \quad \mathcal{L} = \log XT$$

with a sufficiently large constant $C_{\alpha, \sigma}$. The constants implied by the \ll sign in this section may depend on α and σ but not on $C_{\alpha, \sigma}$. Further we define for a zero ϱ of $L(s, \chi)$ with $\beta \geq \sigma$

$$(4.2) \quad a_n = \sum_{d \mid n} \mu(d), \quad H = H(X, \varrho) = \sum_{n \leq X^2} \frac{\chi(n) a_n}{n^\varrho} = 1 + \sum_{X < n \leq X^2} \frac{\chi(n) a_n}{n^\varrho}.$$

So we have for any non-principal χ

$$\begin{aligned} (4.3) \quad |H| &= \left| \sum_{d \leq X} \frac{\chi(d) \mu(d)}{d^\varrho} \sum_{m \leq X^2/d} \frac{\chi(m)}{m^\varrho} \right| \leq \sum_{d \leq X} \frac{1}{d^\beta} \left| \sum_{m > X^2/d} \frac{\chi(m)}{m^\varrho} \right| \\ &\ll X^{1-\sigma} \int_X^{\infty} \frac{u^\alpha M}{u^{1+\sigma}} du \ll X^{1-\sigma} MX^{\alpha-\delta} < 1/2 \end{aligned}$$

if $C_{\alpha, \sigma}$ is large enough.

For $q = 1$ ($\chi = \chi_0$) and $|\varrho| > X^{3-3\sigma} \mathcal{L}^2$ we have by Lemma 1

$$(4.4) \quad \sum_{m \leq Z} \frac{1}{m^\varrho} \ll \frac{Z^{1-\beta}}{|\varrho|} \quad \left(< \frac{1}{X^{1-\sigma} \mathcal{L}^2} \right) \quad \text{if} \quad |\varrho| \leq Z \quad \left(= \frac{X^2}{d} \right).$$

If $X^2/d < |\varrho|$, using (4.4) we obtain from (2.1) (where the second term may be deleted if $N \leq |t|+1$) similarly to (4.3)

$$(4.5) \quad \sum_{m \leq X^2/d} \frac{1}{m^\varrho} = \sum_{m \leq |\varrho|} \frac{1}{m^\varrho} - \sum_{X^2/d < m \leq |\varrho|} \frac{1}{m^\varrho} \ll \frac{1}{X^{(3/2)(1-\sigma)} \mathcal{L}^2} + \frac{M}{X^{\sigma-\alpha}}.$$

So we obtain for $\chi = \chi_0$, $\varrho \in \mathcal{A}'$

$$(4.6) \quad H = H(X, \varrho) \ll X^{1-\sigma} \left\{ \frac{1}{X^{1-\sigma} \mathcal{L}^2} + \frac{M}{X^{\sigma-\alpha}} \right\} < \frac{1}{2}$$

where $\mathcal{A}' = \mathcal{A} \setminus \{(\varrho, \chi_0) \in \mathcal{A}; |\varrho| \leq X^{3-3\sigma} \mathcal{L}^2\}$.

By (4.2) and Cauchy's inequality there exist $N \in [X, X^2]$ and $N' \in [N, 3N]$ such that

$$(4.7) \quad \sum_{(s, \chi) \in \mathcal{A}'} \left| \sum_{n=N}^{N'} \frac{\chi(n) a_n}{n^\varrho} \right|^2 > \frac{|\mathcal{A}'|}{4 \mathcal{L}^2}.$$

Applying Lemma B to the above partial sums we obtain

$$\begin{aligned} (4.8) \quad \frac{|\mathcal{A}'|}{4 \mathcal{L}^2} &\ll (N \mathcal{L} + |\mathcal{A}'| N^\alpha M) \mathcal{L}^3 N^{1-2\sigma} \\ &\ll \mathcal{L}^4 X^{4-4\sigma} + |\mathcal{A}'| \mathcal{L}^3 M X^{-\eta}. \end{aligned}$$

But if $C_{\alpha, \sigma}$ in (4.1) is large enough then the second term on the right-hand side can be deleted and we obtain

$$(4.9) \quad |\mathcal{A}'| \ll \mathcal{L}^6 X^{4-4\sigma} \Rightarrow |\mathcal{A}| \ll \mathcal{L}^6 X^{4-4\sigma}. \blacksquare$$

5. In order to prove Theorem 3 let

$$(5.1) \quad D = Q^2 T, \quad X = D^{2\sigma-1}, \quad Y = CD^{2\sigma}, \quad \mathcal{L} = \log D$$

where C is a sufficiently large absolute constant. The constants implied by the \ll signs are absolute and independent of C . Let us define a_n as in (4.2) and let

$$(5.2) \quad H = H(X, Y, \varrho) = \sum_{n \leq Y} \frac{\chi(n) a_n}{n^\varrho} = 1 + \sum_{X < n \leq Y} \frac{\chi(n) a_n}{n^\varrho}.$$

Since $Y/X = CD > QT$ we obtain by Lemma 2 for $\chi \neq \chi_0$

$$\begin{aligned} (5.3) \quad |H| &\leq \sum_{d \leq X} \frac{1}{d^\beta} \left| \sum_{m > Y/d} \frac{\chi(m)}{m^\varrho} \right| \leq \sum_{d \leq X} \frac{1}{d^\beta} \cdot \frac{q}{(Y/d)^\beta} \\ &\ll qXY^{-\sigma} \ll C^{-1/2} D^{1/2+2\sigma-1-2\sigma^2} \ll C^{-1/2} < 1/2. \end{aligned}$$

In case of $q = 1$, $\chi = \chi_0$ we have here by $Y/d > T$ from (4.4)

$$(5.4) \quad |H(X, Y, \varrho)| \ll \sum_{d \leq X} \frac{1}{d^\beta} \cdot \frac{Y^{1-\beta}}{d^{1-\beta} |\varrho|} \ll \frac{\mathcal{L} Y^{1-\sigma}}{|\varrho|} < \frac{1}{2}$$

if $\varrho \notin \mathcal{A}' \stackrel{\text{def}}{=} \mathcal{A} \setminus \{(\varrho, \chi_0) \in \mathcal{A}; |\varrho| \leq \mathcal{L}^2 Y^{1-\sigma}\}$. Finally, similarly to (4.7)–(4.8) we get with an $N \in [X, Y]$ from Lemma C

$$(5.5) \quad \frac{|\mathcal{A}'|}{\mathcal{L}^2} \ll \mathcal{L}(D+N) \mathcal{L}^3 N^{1-2\sigma} \ll \mathcal{L}^4 (DX^{1-2\sigma} + Y^{2-2\sigma}),$$

$$(5.6) \quad |\mathcal{A}'| \ll \mathcal{L}^6 D^{4\sigma(1-\sigma)} \Rightarrow |\mathcal{A}| \ll \mathcal{L}^6 D^{4\sigma(1-\sigma)}. \blacksquare$$

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Nombres hautement composés

par

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*A Paul Erdős
pour fêter son 75ème anniversaire*

1. Introduction. Dans un long mémoire paru en 1915, S. Ramanujan a défini et étudié les nombres hautement composés, c'est-à-dire les nombres qui ont strictement plus de diviseurs que les nombres qui les précèdent (cf. [14], n° 15). Appelons $Q(X)$ la quantité de nombres hautement composés inférieurs ou égaux à X . S. Ramanujan a en particulier démontré que

$$\lim_{X \rightarrow +\infty} Q(X)/\log X = +\infty$$

mais n'a pas donné de majoration pour $Q(X)$. C'est pourtant un sujet qui l'intéressait puisque dans l'article écrit avec G. H. Hardy: *Asymptotic formulae for the distribution of integers of various types* (cf. [14], n° 34), il étudie les nombres de la forme:

$$2^{a_1} 3^{a_2} \dots p_k^{a_k}$$

où p_k désigne le $k^{\text{ième}}$ nombre premier, et $a_1 \geq a_2 \geq \dots \geq a_k$; parmi les nombres de cette forme figurent les nombres hautement composés.

En 1944, P. Erdős démontre (cf. [3]) qu'il existe $c' > 0$ tel que

$$Q(X) \geq (\log X)^{1+c'}$$

pour X assez grand.

Un des outils essentiels dans sa démonstration, est le résultat de Hoheisel:

LEMME 1. Soit $\pi(x) = \sum_{p \leq x} 1$. Il existe $\tau < 1$ tel que

$$\pi(x+x^\tau) - \pi(x) \sim x^\tau / \log x.$$

Nous désignerons par τ un nombre réel < 1 pour lequel on a, pour tout x assez grand:

$$(1) \quad \pi(x+x^\tau) - \pi(x) \gg x^\tau / \log x.$$