

# NOTES ON UPPER AND LOWER BOUNDING $t(N)$

TERENCE TAO

## 1. BASICS

The symbol  $p$  will always denote a prime. The primes 2, 3 will play a special role here and will be referred to as *tiny primes*.

We use  $v_p(a/b) = v_p(a) - v_p(b)$  to denote the  $p$ -adic valuation of a positive natural number  $a/b$ , that is to say the number of times  $p$  divides the numerator  $a$ , minus the number of times  $p$  divides the denominator  $b$ . For instance,  $v_2(32/27) = 5$  and  $v_3(32/27) = -3$ . If one applies a logarithm to the fundamental theorem of arithmetic, one obtains the identity

$$\sum_p v_p(r) \log p = \log r \quad (1.1)$$

for any positive rational  $r$ .

Asymptotically, it is known that

$$\frac{1}{e} - \frac{O(1)}{\log N} \leq \frac{t(N)}{N} \leq \frac{1}{e} - \frac{c_0 + o(1)}{\log N}$$

where

$$\begin{aligned} c_0 &:= \frac{1}{e} \int_0^1 \left\lfloor \frac{1}{x} \right\rfloor \log \left( ex \left\lceil \frac{1}{ex} \right\rceil \right) dx \\ &= \frac{1}{e} \int_1^\infty \lfloor y \rfloor \log \frac{[y/e]}{y/e} \frac{dy}{y^2} \\ &= 0.3044 \dots \end{aligned}$$

We recall Legendre's formula

$$v_p(N!) = \sum_{j=1}^{\infty} \left\lfloor \frac{N}{p^j} \right\rfloor = \frac{N - s_p(N)}{p-1}. \quad (1.2)$$

To bound the factorial, we have the explicit Stirling approximation [4]

$$N \log N - N + \log \sqrt{2\pi N} + \frac{1}{12N+1} \leq \log N! \leq N \log N - N + \log \sqrt{2\pi N} + \frac{1}{12N}, \quad (1.3)$$

valid for all natural numbers  $N$ .

We use  $O_{\leq}(X)$  to denote any quantity whose magnitude is bounded by at most  $X$  (note the absence of an additional constant factor).

To estimate the prime counting function, we have the following good asymptotics up to a large height.

**Theorem 1.1** (Buthe's bounds). [1] *For any  $2 \leq x \leq 10^{19}$ , we have*

$$\text{li}(x) - \frac{\sqrt{x}}{\log x} \left( 1.95 + \frac{3.9}{\log x} + \frac{19.5}{\log^2 x} \right) \leq \pi(x) < \text{li}(x)$$

and

$$\text{li}(x) - \frac{\sqrt{x}}{\log x} \leq \pi^*(x) < \text{li}(x) + \frac{\sqrt{x}}{\log x}.$$

For  $x > 10^{19}$  we have the bounds of Dusart [2]. One such bound is

$$\psi(x) = x + O_{\leq} \left( 59.18 \frac{x}{\log^4 x} \right).$$

## 2. CRITERIA FOR UPPER BOUNDING $t(N)$

We have the trivial upper bound  $t(N) \leq (N!)^{1/N}$ . This can be improved to  $t(N) \leq N/e$  for  $N \neq 1, 2, 4$ , answering a conjecture of Guy and Selfridge [3]; see [5]. This was derived from the following slightly stronger criterion, which asymptotically gives  $\frac{t(N)}{N} \leq \frac{1}{e} - \frac{c_0 + o(1)}{\log N}$ :

**Lemma 2.1** (Upper bound criterion). [5, Lemma 2.1] *Suppose that  $1 \leq t \leq N$  are such that*

$$\sum_{\substack{p \leq t \\ p \nmid t}} \left\lfloor \frac{N}{p} \right\rfloor \log \left( \frac{p}{t} \left\lfloor \frac{t}{p} \right\rfloor \right) > \log N! - N \log t \quad (2.1)$$

*Then  $t(N) < t$ .*

A surprisingly sharp upper bound comes from linear programming.

**Lemma 2.2** (Linear programming bound). *Let  $N$  be an natural number and  $1 \leq t \leq N/2$ . Suppose for each prime  $p \leq N$ , one has a non-negative real number  $w_p$  which is weakly non-decreasing in  $p$  (thus  $w_p \leq w_{p'}$  when  $p \leq p'$ ), and such that*

$$\sum_p w_p v_p(j) \geq 1 \quad (2.2)$$

*for all  $t \leq j \leq N$ , and such that*

$$\sum_p w_p v_p(N!) < N. \quad (2.3)$$

*Then  $t(N) < t$ .*

*Proof.* We first observe that the bound (2.2) in fact holds for all  $j \geq t$ , not just for  $t \leq j \leq N$ . Indeed, if this were not the case, consider the first  $j \geq t$  where (2.2) fails. Take a prime  $p$  dividing  $j$  and replace it by a prime in the interval  $[p/2, p)$  which exists by Bertrand's postulate

(or remove  $p$  entirely, if  $p = 2$ ); this creates a new  $j'$  in  $[j/2, j)$  which is still at least  $t$ . By the weakly decrasing hypothesis on  $w_p$ , we have

$$\sum_p w_p v_p(j) \geq \sum_p w_p v_p(j')$$

and hence by the minimality of  $j$  we have

$$\sum_p w_p v_p(j) > 1,$$

a contradiction.

Now suppose for contradiction that  $t(N) \geq t$ , thus we have a factorization  $N! = \prod_{j \geq t} j^{m_j}$  for some natural numbers  $m_j$  summing to  $N$ . Taking  $p$ -valuations, we conclude that

$$\sum_{j \geq t} m_j v_p(j) \leq v_p(N!)$$

for all  $p \leq N$ . Multiplying by  $w_p$  and summing, we conclude from (2.2) that

$$N = \sum_{j \geq t} m_j \leq \sum_p w_p v_p(N!),$$

contradicting (2.3). □

This bound is sharp for all  $N \leq 600$ , with the exception of  $N = 155$ , where it gives the upper bound  $t(155) \leq 46$ . A more precise integer program gives  $t(155) = 45$ .

### 3. A GENERAL FACTORIZATION ALGORITHM

In this section we present and then analyze an algorithm that, when given parameters  $1 \leq t \leq N$ , will attempt to construct a factorization  $N! = \prod \mathcal{B}$  of  $N!$  by a finite multiset  $\mathcal{B}$  of  $N$  elements that are all at least  $t$ . The algorithm will not always succeed, but when it does, it will certify that  $t(N) \geq t$ .

**3.1. Notational preliminaries.** We begin with some key definitions.

Let  $\mathcal{B} = \{b_1, \dots, b_M\}$  be a finite multiset of natural numbers (thus each natural number may appear in  $\mathcal{B}$  multiple times); the ordering of elements in the multiset will not be of relevance to us. The *cardinality*  $|\mathcal{B}| = M$  of the multiset is the number of elements counting multiplicity; for example,

$$|\{2, 2, 3\}| = 3.$$

The *product*  $\prod \mathcal{B}$  of the finite multiset is defined by  $\prod \mathcal{B} := \prod_{b \in \mathcal{B}} b$ , where we count for multiplicity; for example

$$\prod \{2, 2, 3\} = 12.$$

The tuple  $\mathcal{B}$  is a *factorization* of a natural number  $M$  if  $\mathcal{B} = M$ , and a *subfactorization* if  $\mathcal{B} | M$ . For example,  $\{2, 2, 3\}$  is a factorization of 12 and a subfactorization of 24.

By the fundamental theorem of arithmetic (or (1.1)), we see that a finite multiset  $\mathcal{B}$  is a factorization of  $M$  if and only if

$$v_p(M / \prod \mathcal{B}) = 0$$

for all primes  $p$ , and a subfactorization if and only if

$$v_p(M / \prod \mathcal{B}) \geq 0$$

for all primes  $p$ . We refer to  $v_p(M / \prod \mathcal{B})$  as the  $p$ -surplus of  $\mathcal{B}$  (as an attempted factorization) of  $M$  at prime  $p$ , and  $-v_p(M / \prod \mathcal{B}) = v_p(\prod \mathcal{B} / M)$  as the  $p$ -deficit, and say that the factorization is  $p$ -balanced if  $v_p(M / \prod \mathcal{B}) = 0$ . Thus a subfactorization (resp. factorization) occurs when one has non-negative surpluses (resp. balance) at all primes  $p$ .

**Example 3.1.** Suppose one wishes to factorize  $5! = 2^3 \times 3 \times 5$ . The attempted factorization  $\mathcal{B} := \{3, 4, 5, 5\}$  has a 2-surplus of  $v_2(5! / \prod \mathcal{B}) = 1$ , is in balance at 3, and has a 5-deficit of  $v_5(\prod \mathcal{B} / 5!) = 1$ , so it is not a factorization or subfactorization of  $5!$ . However, if one replaces one of the copies of 5 in  $\mathcal{B}$  with a 2, this erases both the 2-surplus and the 5-deficit, and creates a factorization  $\{2, 3, 4, 5\}$  of  $5!$ .

A finite multiset  $\mathcal{B}$  is said to be  $t$ -admissible for some  $t > 0$  if  $b \geq t$  for all  $b \in \mathcal{B}$ . Then  $t(N)$  is largest quantity such that there exists a  $t(N)$ -admissible factorization of  $N!$  of cardinality  $N$ .

Call a natural number 3-smooth if it is of the form  $2^n 3^m$  for some natural numbers  $n, m$ . Given a positive real number  $x$ , we use  $\lceil x \rceil^{(2,3)}$  to denote the smallest 3-smooth number greater than or equal to  $x$ . For instance,  $\lceil 5 \rceil^{(2,3)} = 6$  and  $\lceil 10 \rceil^{(2,3)} = 12$ .

**3.2. Description of algorithm.** We now describe an algorithm that, for given  $1 \leq t \leq N$ , either successfully demonstrates that  $t(N) \geq t$ , or halts with an error.

- (0) Select a natural number  $A$  and another parameter  $1 \leq K \leq \sqrt{t}$ . There is some freedom to select parameters here, but generally speaking one would like to have  $\log N \ll A \ll K \ll \sqrt{t}$ .
- (1) Let  $I$  denote the elements of the interval  $[t, t(1 + 3/A)]$  that are coprime to 6. Let  $\mathcal{B}^{(1)}$  be the elements of  $I$ , each occurring with multiplicity  $A$ . This multiset is  $t$ -admissible, and  $\prod \mathcal{B}^{(1)}$  is not divisible by tiny primes 2, 3. (It will however have approximately the right number of primes for  $3 < p \leq t/K$ , though it may have quite different prime factorization at primes  $p > t/K$ .)
- (2) Remove any element from  $\mathcal{B}^{(1)}$  that contains a prime factor  $p$  with  $p > t/K$ , and call this new multiset  $\mathcal{B}^{(2)}$ . It remains  $t$ -admissible with no tiny prime factors.
- (3) For each  $p > t/K$ , add in  $v_p(N!)$  copies of the number  $p \lceil t/p \rceil$  to  $\mathcal{B}^{(2)}$ , and call this new multiset  $\mathcal{B}^{(3)}$ . (A variant of the method: add in  $p \lceil t/p \rceil^{(2,3)}$  instead. This is slightly less efficient, but slightly easier to analyze.) Now  $\mathcal{B}^{(3)}$  is  $t$ -admissible and in balance at all primes  $p > t/K$ , but will typically be in a slight deficit at primes  $3 < p \leq t/K$ , particularly in the range  $3 < p \leq K$ . (It will now also contain a few tiny prime factors, but will generally still have a large surplus at those primes.)

- (4) For each prime  $3 < p \leq t/K$  at which there is a surplus  $v_p(N!/\prod \mathcal{B}) > 0$ , replace  $v_p(N!/\prod \mathcal{B})$  copies of  $p$  in  $\mathcal{B}^{(3)}$  with  $\lceil p \rceil^{(2,3)}$  instead, and call this new multiset  $\mathcal{B}^{(4)}$ . Thus  $\mathcal{B}^{(4)}$  has no surplus at primes  $3 < p \leq t/K$  (and is still  $t$ -admissible and in balance for  $p > t/K$ ).
- (5) For the primes  $3 < p \leq t/K$  at which there is a deficit  $v_p(\prod \mathcal{B}/N!) > 0$ , multiply all these primes together, and use the greedy algorithm to group them into factors  $x_1, \dots, x_M$  in the range  $(\sqrt{t/K}, t/K]$ , together with possibly one exceptional factor  $x_*$  in the range  $(1, t/K]$ . For each of these factors  $x_i$  or  $x_*$ , add the quantity  $x_i \lceil t/x_i \rceil^{(2,3)}$  or  $x_* \lceil t/x_* \rceil^{(2,3)}$  to  $\mathcal{B}^{(4)}$ , and call this new multiset  $\mathcal{B}^{(5)}$ .
- (6) By construction,  $\mathcal{B}^{(5)}$  is  $t$ -admissible and will be in balance at all primes  $p > 3$ , and is thus  $N!/\prod \mathcal{B}^{(5)}$  is of the form  $2^n 3^m$  for some integers  $n, m$ . If at least one of  $n, m$  is negative, then HALT the algorithm with an error. Otherwise, select a 3-smooth number  $2^{n_1} 3^{m_1}$  greater than equal to  $t$  with  $n_1/m_1 \leq n/m$  (which one can interpret as  $n_1 m \leq n m_1$  in case some of the denominators here vanish), and similarly select a 3-smooth number  $2^{n_2} 3^{m_2}$  greater than or equal to  $t$  with  $n_2/m_2 \geq n/m$ . (It is reasonable to select the smallest such 3-smooth numbers in both cases, although this is not absolutely necessary for the algorithm to be successful.) By construction, we can express  $(n, m)$  as a positive linear combination  $\alpha_1(n_1, m_1) + \alpha_2(n_2, m_2)$  of  $(n_1, m_1)$  and  $(n_2, m_2)$ . Add  $\lfloor \alpha_1 \rfloor$  copies of  $2^{n_1} 3^{m_1}$  and  $\lfloor \alpha_2 \rfloor$  copies of  $2^{n_2} 3^{m_2}$  to  $\mathcal{B}^{(5)}$ , and call this tuple  $\mathcal{B}^{(6)}$ . (This will largely eliminate the surplus at 2 and 3.)
- (7) If the multiset  $\mathcal{B}^{(6)}$  has cardinality less than  $N$ , HALT the algorithm with an error. Otherwise, delete elements from  $\mathcal{B}^{(6)}$  to bring the cardinality to  $N$ , and arbitrarily distribute any surplus primes to one of the remaining elements, and call the resulting multiset  $\mathcal{B}^{(7)}$ . By construction,  $\mathcal{B}^{(7)}$  is a  $t$ -admissible factorization of  $N!$  into  $N$  numbers, demonstrating that  $t(N) \geq t$ .

**3.3. Analysis of Step 7.** We now analyze the above algorithm, starting from the final step (7) and working backwards to (1), to establish sufficient conditions for the algorithm to successfully demonstrate that  $t(N) \geq t$ .

It will be convenient to introduce the following notation. For  $a_+, a_- \in [0, +\infty]$ , we define the asymmetric norm  $|x|_{a_+, a_-}$  of a real number  $x$  by the formula

$$|x|_{a_+, a_-} := \begin{cases} a_+ |x| & x \geq 0 \\ a_- |x| & x \leq 0. \end{cases}$$

If  $a_+, a_-$  are finite, this function is Lipschitz with constant  $\max(a_+, a_-)$ . One can think of  $a_+$  as the “cost” of making  $x$  positive, and  $a_-$  as the “cost” of making  $x$  negative.

We now begin the analysis of Step 9. This procedure will terminate successfully as long as the length  $|\mathcal{B}^{(6)}|$  of the tuple is at least  $N$ . To ensure this, we introduce the  $t$ -excess of a multiset  $\mathcal{B}$  by the formula

$$E_t(\mathcal{B}) := \prod_{b \in \mathcal{B}} \log \frac{b}{t} = \log \prod \mathcal{B} - |\mathcal{B}| \log t.$$

Thus, to ensure the success of this step, it suffices to establish the inequality

$$E_t(\mathcal{B}^{(6)}) \leq \log \prod \mathcal{B}^{(6)} - N \log t.$$

From (1.1) we have

$$\log \prod \mathcal{B}^{(6)} = \log N! - \sum_p v_p \left( \frac{N!}{\prod \mathcal{B}^{(6)}} \right) \log p,$$

so we can rewrite the previous condition (using the fact that  $\mathcal{B}^{(6)}$  is a subfactorization of  $N!$ ) as

$$E_t(\mathcal{B}^{(6)}) + \sum_p \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(6)}} \right) \right|_{\log p, \infty} \leq \log N! - N \log t.$$

If we assume that  $t = N/e^{1+\delta}$  for some  $\delta > 0$ , we can use the Stirling approximation (1.3) to reduce to the sufficient condition

$$E_t(\mathcal{B}^{(6)}) + \sum_p \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(6)}} \right) \right|_{\log p, \infty} \leq \delta N + \log \sqrt{2\pi N}. \quad (3.1)$$

**3.4. Analysis of Step 6.** Now we analyze Step 6. For any  $L \geq 1$ , let  $\kappa_L$  be the least quantity such that

$$x \leq \lceil x \rceil^{(2,3)} \leq \exp(\kappa_L)x \quad (3.2)$$

holds for all  $x \geq L$ . Just from considering the powers of two, we have the trivial upper bound

$$\kappa_L \leq \log 2. \quad (3.3)$$

We shall obtain better estimates on this quantity in Section ???. For now we use this quantity to help achieve efficient subfactorizations of 3-smooth numbers, as follows.

**Lemma 3.2.** *Let  $L \geq 1$ . Let  $t > 3L$  and let  $2^n 3^m$  be a 3-smooth number obeying the conditions*

$$\frac{\log(3L) + \kappa}{\log t - \log(3L)} \leq \frac{n \log 2}{m \log 3} \leq \frac{\log t - \log(2L)}{\log(2L) + \kappa}. \quad (3.4)$$

*Then one can find a  $t$ -admissible subfactorization  $\mathcal{B}$  of  $2^n 3^m$  such that*

$$E_t(\mathcal{B}) \leq \kappa_L \frac{n \log 2 + m \log 3}{\log t} \quad (3.5)$$

and

$$|v_2(2^n 3^m / \mathcal{B})|_{\log 2, \infty} + |v_3(2^n 3^m / \mathcal{B})|_{\log 3, \infty} \leq 2(\log t + \kappa_L). \quad (3.6)$$

In practice,  $\log t$  will be significantly larger than  $\log(2L)$  or  $\log(3L)$ , and so the hypothesis (3.4) will be quite mild, as long as  $n$  and  $m$  are both reasonably large.

*Proof.* Let  $2^{n_0}, 3^{m_0}$  be the largest powers of 2 and 3 less than or equal to  $t/L$  respectively, thus

$$L \leq \frac{t}{2^{n_0}} \leq 2L \quad (3.7)$$

and

$$L \leq \frac{t}{3^{m_0}} \leq 3L. \quad (3.8)$$

From (3.2), the 3-smooth numbers  $\lceil t/2^{n_0} \rceil^{(2,3)} = 2^{n_1} 3^{m_1}$ ,  $\lceil t/3^{m_0} \rceil^{(2,3)} = 2^{n_2} 3^{m_2}$  obey the estimates

$$\frac{t}{2^{n_0}} \leq 2^{n_1} 3^{m_1} \leq e^\kappa \frac{t}{2^{n_0}} \quad (3.9)$$

and

$$\frac{t}{3^{m_0}} \leq 2^{n_2} 3^{m_2} \leq e^\kappa \frac{t}{3^{m_0}}, \quad (3.10)$$

or equivalently

$$t \leq 2^{n_0+n_1} 3^{m_1}, 2^{n_2} 3^{m_0+m_2} \leq e^\kappa t. \quad (3.11)$$

We can use (3.7), (3.9) to bound

$$\begin{aligned} \frac{n_0 + n_1}{m_1} &\geq \frac{n_0}{\log(e^\kappa \frac{t}{2^{n_0}}) / \log 3} \\ &\geq \frac{(\log t - \log(2L)) / \log 2}{(\log(3L) + \kappa) / \log 3} \end{aligned}$$

(with the convention that this bound is vacuously true for  $m_1 = 0$ ). Similarly, from (3.8), (3.10) we have

$$\begin{aligned} \frac{n_2}{m_0 + m_2} &\leq \frac{\log(e^\kappa \frac{t}{3^{m_0}}) / \log 2}{m_0} \\ &\leq \frac{(\log(2L) + \kappa) / \log 2}{(\log t - \log(3L)) / \log 3} \end{aligned}$$

and hence by (3.4)

$$\frac{n_2}{m_0 + m_2} \leq \frac{n}{m} \leq \frac{n_0 + n_1}{m_1}. \quad (3.12)$$

Thus we can write  $(n, m)$  as a non-negative linear combination

$$(n, m) = \alpha_1(n_0 + n_1, m_1) + \alpha_2(n_2, m_0 + m_2)$$

for some real  $\alpha_1, \alpha_2 \geq 0$ . We now take our subfactorization  $\mathcal{B}$  to consist of  $\lfloor \alpha_1 \rfloor$  copies of the 3-smooth number  $2^{n_0+n_1} 3^{m_1}$  and  $\lfloor \alpha_2 \rfloor$  copies of the 3-smooth number  $2^{n_2} 3^{m_0+m_2}$ . By (3.11), each term  $2^{n'} 3^{m'}$  here is admissible and contributes an excess of at most  $\kappa$ , which is in turn bounded by  $\frac{\kappa}{\log t}(n' \log 2 + m' \log 3)$ . Adding these bounds together, we obtain (3.5).

The expression  $2^{n_2} 3^{m_2} / \prod \mathcal{B}$  contains at most  $n_0 + n_1 + n_2$  factors of 2 and at most  $m_0 + m_2 + m_1$  factors of 3, hence

$$v_2(2^{n_2} 3^{m_2} / \prod \mathcal{B}) \log 2 + v_3(2^{n_2} 3^{m_2} / \prod \mathcal{B}) \log 3 \leq \log 2^{n_0+n_1} 3^{m_1} + \log 2^{n_2} 3^{m_0+m_2},$$

and the bound (3.6) follows.  $\square$

We now use this lemma to analyze Step 6 as follows.

**Proposition 3.3.** *Let  $L \geq 1$ . Let  $3L < t = N/e^{1+\delta}$  for some  $\delta > 0$ , and let  $1 \leq K \leq t$  and  $A \geq 1$ . Suppose that the above algorithm with the indicated parameters reaches the end of Step 5 with a multiset  $\mathcal{B}^{(5)}$  obeying the following hypotheses:*

(i) *(Small excess and surplus at non-tiny primes)*

$$E_t(\mathcal{B}^{(5)}) + \sum_{p>3} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(5)}} \right) \right|_{\log p, \infty} \leq \delta N + \log \sqrt{2\pi} - \frac{3}{2} \log N - \kappa_L (\log \sqrt{12}) \frac{N}{\log t}. \quad (3.13)$$

(ii) *(Large surpluses at tiny primes)* The surpluses  $v_2(N!/\prod B^{(5)})$ ,  $v_3(N!/\prod B^{(5)})$  are positive (so in particular Step 7 does not halt with an error) and obey the bounds

$$\frac{\log(3L) + \kappa_L}{\log t - \log(3L)} \leq \frac{v_2(N!/\prod B^{(5)}) \log 2}{v_3(N!/\prod B^{(5)}) \log 3} \leq \frac{\log t - \log(2L)}{\log(2L) + \kappa_L}.$$

Then  $t(N) \geq t$ .

*Proof.* Write  $n := v_2(N!/\prod B^{(5)})$  and  $m := v_3(N!/\prod B^{(5)})$ . From (1.2) we have  $n \leq N$  and  $m \leq N/2$ , hence

$$n \log 2 + m \log 3 \leq N \log \sqrt{12}.$$

Applying Lemma 3.2, we can find a subfactorization  $B'$  of  $2^n 3^m$  with an excess of at most  $(\kappa_L \log \sqrt{12}) \frac{N}{\log t}$ , and with

$$|v_2(2^n 3^m / \prod B')|_{\log 2, \infty} + |v_3(2^n 3^m / \prod B')|_{\log 3, \infty} \leq 2(\log t + \kappa_L) \leq 2 \log N$$

where we have used (3.3) and the fact that  $\log t \leq \log N - 1$ . Then  $B^{(6)} = B^{(5)} \cup B'$  is another  $t$ -admissible multiset, and from (3.13) and the observation that  $-2 + 3\kappa_L \leq \log \sqrt{2\pi}$ , we obtain the previously obtained sufficient condition (3.1).  $\square$

### 3.5. Analysis of Step 5.

**Proposition 3.4.** *Let  $L \geq 1$ . Let  $9L < t = N/e^{1+\delta}$  for some  $\delta > 0$ , and let  $1 \leq K \leq t$  and  $A \geq 1$ . Suppose that the above algorithm with the indicated parameters reaches the end of Step 4 to produce a multiset  $B^{(4)}$  obeying the following hypotheses.*

(i) *(Small excess and surplus at non-tiny primes)*

$$\begin{aligned} E_t(B^{(4)}) + \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod B^{(4)}} \right) \right|_{\kappa_K \min(\frac{\log p}{\log \sqrt{t/K}}, 1), \infty} \\ \leq \delta N - \frac{3}{2} \log N - \kappa_L (\log \sqrt{12}) \frac{N}{\log t}. \end{aligned} \quad (3.14)$$

(ii) *(Large surpluses at tiny primes)* Whenever  $n_{**}, m_{**}$  are natural numbers obeying the bounds

$$n_{**} \log 2 + m_{**} \log 3 \leq \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod B^{(4)}} \right) \right|_{\frac{\log \sqrt{t/K} + \kappa_K}{\log \sqrt{t/K}}, \log p, \infty} + \log t + \kappa_L,$$

then  $v_2(N!/\prod B^{(4)}) > n_{**}$ ,  $v_3(N!/\prod B^{(4)}) > m_{**}$ , and furthermore

$$\frac{\log(3L) + \kappa_L}{\log t - \log(3L)} \leq \frac{(v_2(N!/\prod B^{(4)}) - n_{**}) \log 2}{(v_3(N!/\prod B^{(4)}) - m_{**}) \log 3} \leq \frac{\log t - \log(2L)}{\log(2L) + \kappa_L}.$$

Then  $t(N) \geq t$ .



*Proof.* By (3.14),  $\mathcal{B}^{(4)}$  is a subfactorization of  $N!$ . Consider all the  $p$ -surplus primes in the range  $3 < p \leq t/K$ , thus each such prime is considered with multiplicity  $v_p(N!/\prod \mathcal{B})$ . Using the greedy algorithm, one can factor the product of all these primes into  $M$  factors  $c_1, \dots, c_M$  in the interval  $[\sqrt{t/K}, t/K]$ , times one exceptional factor  $c_*$  in  $[1, \sqrt{t/K}]$ , for some  $M$ . If we let  $M'$  denote the number of factors in  $c_1, \dots, c_M$  that are not divisible by a prime larger than  $\sqrt{t/K}$ , We have the bound

$$(\sqrt{t/K})^{M'} \leq \prod_{3 < p \leq \sqrt{t}} v_p \left( \frac{N!}{\prod \mathcal{B}^{(4)}} \right)$$

and hence

$$M' \leq \sum_{3 < p \leq \sqrt{t/K}} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(4)}} \right) \right|_{\frac{\log p}{\log \sqrt{t/K}}, \infty}.$$

Restoring the factors divisible by primes  $p \geq \sqrt{t/K}$ , we conclude that

$$M \leq \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(4)}} \right) \right|_{\min(\frac{\log p}{\log \sqrt{t/K}}, 1), \infty}. \quad (3.15)$$

For each of the  $M$  factors  $c_i$ , we introduce the 3-smooth number  $[t/c_i]^{(2,3)} = 2^{n_i} 3^{m_i}$ , which by (3.2) lies in the interval  $[t/c_i, e^{\kappa_K} t/c_i]$ ; similarly, for the exceptional factor  $c_*$  we introduce a 3-smooth number  $[t/c_*]^{(2,3)} = 2^{n_*} 3^{m_*}$  in the interval  $[t/c_*, e^{\kappa_K} t/c_*]$ . If we then adjoin the 3-smooth numbers  $[t/c_i]^{(2,3)} c_i = 2^{n_i} 3^{m_i} c_i$  for  $i = 1, \dots, M$  as well as  $[t/c_*]^{(2,3)} c_* = 2^{n_*} 3^{m_*} c_*$  to the tuple  $\mathcal{B}^{(4)}$  to create a new tuple  $\mathcal{B}^{(5)}$ . The quantity  $\log [t/c_*]^{(2,3)} = n_* \log 2 + m_* \log 3$  is bounded by  $\log \sqrt{tK} + \kappa_K$ , and the quantity  $\log [t/c_i]^{(2,3)} = n_i \log 2 + m_i \log 3$  is similarly bounded by  $\log t + \kappa_K$ , hence if we denote  $n_{**} := n_1 + \dots + n_M + n_*$  and  $m_{**} := m_1 + \dots + m_M + m_*$ , we have

$$n_{**} \log 2 + m_{**} \log 3 \leq \frac{\log \sqrt{tK} + \kappa_K}{\log \sqrt{t/K}} \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(4)}} \right) \right|_{\log p, \infty} + \log t + \kappa_K.$$

Each of the new factors in  $\mathcal{B}^{(5)}$  contributes an excess of at most  $\kappa_K$ , so the total excess of  $\mathcal{B}^{(5)}$  is at most

$$E_t(\mathcal{B}^{(4)}) + \kappa_K M + \kappa_K$$

which by (3.15) is bounded by

$$E_t(\mathcal{B}^{(4)}) + \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(4)}} \right) \right|_{\kappa_K \min(\frac{\log p}{\log \sqrt{t/K}}, 1), \infty} + \kappa_K.$$

We conclude that  $\mathcal{B}^{(5)}$  obeys the hypotheses of Proposition 3.3 (using (3.3) to bound  $\kappa_K$  by  $\log \sqrt{2\pi}$ ), and the claim follows.  $\square$

### 3.6. Analysis of Step 4.

**Proposition 3.5.** *Let  $L \geq 1$ . Let  $9L < t = N/e^{1+\delta}$  for some  $\delta > 0$ , and suppose that the algorithm reaches the end of Step 3 to produce a multiset  $\mathcal{B}^{(3)}$  obeying the following hypotheses:*

(i) *(Small excess and surplus at non-tiny primes)* One has

$$\begin{aligned} E_t(\mathcal{B}^{(3)}) + \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(3)}} \right) \right|_{\kappa_K \min(\frac{\log p}{\log \sqrt{t/K}}, 1), \kappa_p} \\ \leq \delta N - \frac{3}{2} \log N - \kappa_L (\log \sqrt{12}) \frac{N}{\log t}. \end{aligned} \quad (3.16)$$

(ii) *(Large surpluses at tiny primes)* Whenever  $n_{**}, m_{**}$  are natural numbers obeying the bounds

$$\begin{aligned} n_{**} \log 2 + m_{**} \log 3 \leq \sum_{3 < p \leq t/K} \left| v_p \left( \frac{N!}{\prod \mathcal{B}^{(3)}} \right) \right|_{\frac{\log \sqrt{tK} + \kappa_K}{\log \sqrt{t/K}} \log p, \log p + \kappa_p} \\ + \log t + \kappa_K, \end{aligned}$$

then  $v_2(N! / \prod \mathcal{B}^{(3)}) > n_{**}$ ,  $v_3(N! / \prod \mathcal{B}^{(3)}) > m_{**}$ , and furthermore

$$\frac{\log(3L) + \kappa_L}{\log t - \log(3L)} \leq \frac{(v_2(N! / \prod \mathcal{B}^{(3)}) - n_{**}) \log 2}{(v_3(N! / \prod \mathcal{B}^{(3)}) - m_{**}) \log 3} \leq \frac{\log t - \log(2L)}{\log(2L) + \kappa_L}.$$

Then  $t(N) \geq t$ .

*Proof.* Suppose there is a large prime  $p$  with a positive surplus  $|v_p(N! / \prod \mathcal{B})|_{1,0} > 0$ . Now we add the element  $\lceil t/p \rceil^{(2,3)} p = 2^{n_{t/p}} 3^{m_{t/p}} p$  to the multiset, which is at most  $\exp(\kappa_{t/p})t$  by (3.2). This procedure reduces the  $p$ -deficit by one, adds at most  $\kappa_{t/p}$  to the excess, and decrements  $v_2(N! / \prod \mathcal{B})$ ,  $v_3(N! / \prod \mathcal{B})$  by  $n_{t/p}$ ,  $m_{t/p}$  respectively. Since  $n_{t/p} \log 2 + m_{t/p} \log 3 \leq \log(t/p) + \kappa_{t/p}$ , if we apply this procedure to clear all surpluses at large primes, we have increased the excess by at most

$$\sum_{p > \sqrt{t/L}} \kappa_{t/p}$$

and decreased  $v_2(N! / \prod \mathcal{B})$ ,  $v_3(N! / \prod \mathcal{B})$  by some  $n', m'$  with

$$n' \log 2 + m' \log 3 \leq \sum_{p > \sqrt{t/L}} \left| v_p \left( \frac{N!}{\prod \mathcal{B}} \right) \right|_{\log(t/p) + \kappa_{t/p}, 0}.$$

The hypotheses of Proposition 3.4 are now satisfied, and we are done.  $\square$

**3.7. Analysis of Steps 1,2,3.** To apply ??, we now compute the various statistics of  $\mathcal{B}^{(3)}$  produced by Steps 1-3.

We begin with the analysis of  $\mathcal{B}^{(1)}$ , constructed in Step 2 of the algorithm. To count elements coprime to 6, we have the following lemma:

**Lemma 3.6.** *For any interval  $[a, b]$  with  $0 \leq a \leq b$ , the number of natural numbers in the interval that are coprime to 6 is  $\frac{b-a}{3} + O_{\leq}(4/3)$ .*

*Proof.* By the triangle inequality, it suffices to show that the number of natural numbers coprime to 6 in  $[0, a]$ , minus  $a/3$ , is  $O_{\leq}(2/3)$ . The claim is easily verified for  $0 \leq a \leq 6$ , and the quantity in question is 6-periodic in  $a$ , giving the claim.  $\square$

The excess of  $\mathcal{B}^{(1)}$  is clearly given by

$$E_t(\mathcal{B}^{(1)}) = A \sum_{n \in I} \log \frac{n}{t}.$$

By the fundamental theorem of calculus, this is

$$A \int_0^{3t/A} |I \cap [t, t+h]| \frac{dh}{t+h}.$$

Bounding  $\frac{1}{t+h}$  by  $\frac{1}{t}$  and applying Lemma 3.6, we conclude that

$$E_t(\mathcal{B}^{(1)}) \leq A \int_0^{3t/A} \left(h + \frac{4}{3}\right) \frac{dh}{t} = \frac{9t}{2A} + 4. \quad (3.17)$$

Next, we compute  $p$ -valuations  $v_p(\mathcal{B}^{(1)})$ . By construction, this quantity vanishes at tiny primes  $p = 2, 3$ . For  $p > 3$ , we can use Lemma 3.6 again to conclude

$$\begin{aligned} v_p(\mathcal{B}^{(1)}) &= A \sum_{1 \leq j \leq \frac{\log N}{\log p}} |I \cap p^j \mathbb{Z}| \\ &= A \sum_{1 \leq j \leq \frac{\log N}{\log p}} \left( \frac{t}{p^j A} + O_{\leq}(4/3) \right) \\ &= \frac{t}{p-1} + O_{\leq} \left( \frac{3t}{N(p-1)} \right) + O_{\leq} \left( \frac{4A}{3} \left\lceil \frac{\log N}{\log p} \right\rceil \right) \\ &= \frac{t}{p-1} + O_{\leq} \left( \frac{4A+1}{3} \left\lceil \frac{\log N}{\log p} \right\rceil \right) \end{aligned}$$

since  $\frac{3t}{N(p-1)} \leq \frac{3}{4e} \leq \frac{1}{3}$ . Meanwhile, from (1.2) one has

$$v_p(N!) = \frac{t}{p-1} + O_{\leq} \left( \left\lceil \frac{\log N}{\log p} \right\rceil \right)$$

and thus

$$v_p(N!/\mathcal{B}^{(1)}) = O_{\leq} \left( \frac{4A+4}{3} \left\lceil \frac{\log N}{\log p} \right\rceil \right). \quad (3.18)$$

Now we pass to  $\mathcal{B}^{(2)}$  by performing Step 3 of the algorithm. Removing elements from a  $t$ -admissible multiset cannot increase the  $t$ -excess, so from (3.17) we have

$$E_t(\mathcal{B}^{(2)}) \leq \frac{9t}{2A} + 4. \quad (3.19)$$

The elements removed are of the form  $pm$  with  $m \leq K(1 + \frac{3}{A})$  coprime to 6, and  $p$  in the interval  $[\frac{t}{m}, \frac{t}{m}(1 + \frac{3}{A})]$  and greater than  $t/K$ . We conclude that

$$v_p(\mathcal{B}^{(2)}) = v_p(\mathcal{B}^{(1)})$$

for  $K(1 + \frac{3}{A}) < p \leq t/K$ . For  $3 < p < K(1 + \frac{3}{K})$  one has

$$v_p(\mathcal{B}^{(2)}) = v_p(\mathcal{B}^{(1)}) - A \sum_{m \leq K(1 + \frac{3}{A})} v_p(m) \dots$$

#### 4. POWERS OF 2 AND 3

We now obtain good bounds on the quantity  $\kappa_L$ . Clearly  $\kappa_L$  is a non-increasing function of  $L$  with  $\kappa_1 = \log 2$ . The following lemma gives improved control on  $\kappa_L$  for large  $L$ :

**Lemma 4.1.** *If  $n_1, n_2, m_1, m_2$  are natural numbers such that  $n_1 + n_2, m_1 + m_2 \geq 1$  and*

$$1 \leq \frac{3^{m_1}}{2^{n_1}}, \frac{2^{n_2}}{3^{m_2}}$$

*then*

$$\kappa_{\min(2^{n_1+n_2}, 3^{m_1+m_2})/6} \leq \log \max \left( \frac{3^{m_1}}{2^{n_1}}, \frac{2^{n_2}}{3^{m_2}} \right).$$

*Thus, for instance, setting  $n_1 = 3, m_1 = 2, n_2 = 2, m_2 = 1$ , we have*

$$\kappa_{4.5} \leq \log \frac{2^2}{3} = 0.28768 \dots,$$

*setting  $n_1 = 3, m_1 = 2, n_2 = 5, m_2 = 3$ , we have*

$$\kappa_{40.5} \leq \log \frac{2^5}{3^3} = 0.16989 \dots$$

*and setting  $n_1 = 11, m_1 = 7, n_2 = 8, m_2 = 5$ , we have*

$$\kappa_{2^{18}/3} \leq \log \frac{3^7}{2^{11}} = 0.06566 \dots$$

*( $2^{18}/3 = 87381.33 \dots$ ).*

*Proof.* If  $\min(2^{n_1+n_2}, 3^{m_1+m_2})/6 \leq t \leq 2^{n_2-1}3^{m_1-1}$ , then we have

$$t \leq 2^{n_2-1}3^{m_1-1} \leq \max \left( \frac{3^{m_1}}{2^{n_1}}, \frac{2^{n_2}}{3^{m_2}} \right) t, \quad (4.1)$$

so we are done in this case. Now suppose that  $t > 2^{n_2-1}3^{m_1-1}$ . If we write  $\lceil t \rceil^{\langle 2,3 \rangle} = 2^n 3^m$  be the smallest 3-smooth number that is at least  $t$ , then we must have  $n \geq n_2$  or  $m \geq m_1$  (or both). Thus at least one of  $\frac{2^{n_1}}{3^{m_1}} 2^n 3^m$  and  $\frac{3^{m_2}}{2^{n_2}} 2^n 3^m$  is an integer, and is thus at most  $t$  by construction. This gives (4.1), and the claim follows.  $\square$

Some efficient choices of parameters for this lemma are given in Table 1. For instance,  $\kappa_{4.5} \leq 0.28768 \dots$  and  $\kappa_{40.5} \leq 0.16989 \dots$ .

**Remark 4.2.** It should be unsurprising that the continued fraction convergents  $1/1, 2/1, 3/2, 8/5, 19/12, \dots$  to

$$\frac{\log 3}{\log 2} = 1.5849 \dots = [1; 1, 1, 2, 2, 3, 1, \dots]$$

are often excellent choices for  $n_1/m_1$  or  $n_2/m_2$ , although occasionally other approximants such as  $11/7$  are also usable.

$n_1$	$m_1$	$n_2$	$m_2$	$\min(2^{n_1+n_2}, 3^{m_1+m_2})/6$	$\log \max(3^{m_1}/2^{n_1}, 2^{n_2}/3^{m_2})$
1	1	<b>1</b>	<b>0</b>	$1/2 = 0.5$	$\log 2 = 0.69314 \dots$
<b>1</b>	<b>1</b>	2	1	$2^2/3 = 1.33 \dots$	$\log(3/2) = 0.40546 \dots$
3	2	<b>2</b>	<b>1</b>	$3^2/2 = 4.5$	$\log(2^2/3) = 0.28768 \dots$
3	2	<b>5</b>	<b>3</b>	$3^4/2 = 40.5$	$\log(2^5/3^3) = 0.16989 \dots$
<b>3</b>	<b>2</b>	8	5	$2^{10}/3 = 341.33 \dots$	$\log(3^2/2^3) = 0.11778 \dots$
<b>11</b>	<b>7</b>	8	5	$2^{18}/3 = 87381.33 \dots$	$\log(3^7/2^{11}) = 0.06566 \dots$

TABLE 1. Efficient parameter choices for Lemma 4.1. The parameters which attain the minimum or maximum are indicated in **boldface**.

Asymptotically, we have logarithmic-type decay:

**Lemma 4.3** (Baker bound). *We have*

$$\kappa_L \ll \log^{-c} L$$

for all  $L \geq 2$  and some absolute constant  $c > 0$ .

*Proof.* From the classical theory of continued fractions, we can find rational approximants

$$\frac{p_{2j}}{q_{2j}} \leq \frac{\log 3}{\log 2} \leq \frac{p_{2j+1}}{q_{2j+1}} \quad (4.2)$$

to the irrational number  $\log 3 / \log 2$ , where the convergents  $p_j/q_j$  obey the recursions

$$p_j = b_j p_{j-1} + p_{j-2}, \quad q_j = b_j q_{j-1} + q_{j-2}$$

with  $p_{-1} = 1, q_{-1} = 0, p_0 = b_0, q_0 = 1$ , and

$$[b_0; b_1, b_2, \dots] = [1; 1, 1, 2, 2, 3, 1 \dots]$$

is the continued fraction expansion of  $\frac{\log 3}{\log 2}$ . Furthermore,  $p_{2j+1}q_{2j} - p_{2j}q_{2j+1} = 1$ , and hence

$$\frac{\log 3}{\log 2} - \frac{p_{2j}}{q_{2j}} = \frac{1}{q_{2j}q_{2j+1}}. \quad (4.3)$$

By Baker's theorem,  $\frac{\log 3}{\log 2}$  is a Diophantine number, giving a bound of the form

$$q_{2j+1} \ll q_{2j}^{O(1)} \quad (4.4)$$

and a similar argument (using  $p_{2j+2}q_{2j+1} - p_{2j+1}q_{2j+2} = -1$ ) gives

$$q_{2j+2} \ll q_{2j+1}^{O(1)}. \quad (4.5)$$

We can rewrite (4.2) as

$$1 \leq \frac{3^{q_{2j}}}{2^{p_{2j}}}, \frac{2^{p_{2j+1}}}{3^{q_{2j+1}}}$$

and routine Taylor expansion using (4.3) gives the upper bounds

$$\frac{3^{q_{2j}}}{2^{p_{2j}}}, \frac{2^{p_{2j+1}}}{3^{q_{2j+1}}} \leq \exp \left( O \left( \frac{1}{q_{2j}} \right) \right).$$

From Lemma 4.1 we obtain

$$\kappa_{\min(2^{p_{2j}+p_{2j+1}}, 3^{q_{2j}+q_{2j+1}})/6} \ll \frac{1}{q_{2j}}.$$

The claim then follows from (4.4), (4.5) after optimizing in  $j$ .

□

It seems reasonable to conjecture that  $c$  can be taken to be arbitrarily close to 1, but this is essentially equivalent to the open problem of determining that irrationality measure of  $\log 3 / \log 2$  is equal to 2.

## 5. ASYMPTOTIC EVALUATION OF $t(N)$

In this section we establish the asymptotic

$$\frac{t}{N} = \frac{1}{e} - \frac{c_0}{\log N} + O(\log^{1-c} N)$$

for some absolute constant  $c > 0$ .

We begin with the upper bound. ...

Now we establish the lower bound. Let  $N$  be sufficiently large. We introduce parameters

$$A := \lfloor \log^2 N \rfloor$$

and

$$K := \log^3 N.$$

Let  $I$  denote the integers in the interval  $[t, t + 3t/A]$  that are coprime to 6, and let  $\mathcal{B}$  be the tuple consisting of these integers, each appearing with multiplicity  $A$ . This tuple is  $t$ -admissible, and the  $t$ -excess can be estimated as

$$E_t(\mathcal{B}) \leq |\mathcal{B}| \log(1 + 3/A) \ll A \frac{t}{A} \frac{1}{A} \ll \frac{N}{\log^2 N}$$

by choice of  $A$ . As none of the elements of  $\mathcal{B}$  are divisible by tiny primes, we have a considerable surplus at those primes. Indeed, from (1.2) we have

$$v_p(N! / \prod \mathcal{B}) = v_p(N!) = \frac{N}{p-1} - O(\log N)$$

for the tiny primes  $p = 2, 3$ .

## 6. GUY–SELFIDGE CONJECTURE FOR $N > 10^{19}$

## 7. GUY–SELFIDGE CONJECTURE FOR MEDIUM VALUES OF $N$

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