A Sieve Method for Factoring Numbers of the Form $n^2 + 1$

By Daniel Shanks

1. Introduction. Factorizations of numbers of the form $n^2 + 1$, [1], [2], are of mathematical interest for at least four reasons: 1) a possible insight into the unsettled question as to whether there are infinitely many primes of this form; 2) a possible insight into the unsettled question as to whether the reducible numbers (explained below) have a definite density; 3) the relation of these factorizations to the p-adic square roots of -1; and 4) the relation of these factorizations to the Gaussian primes. The purpose of this paper is to describe a sieve method for factoring these numbers and to present and discuss some empirical results bearing on 1), 2), 3), and 4) which were obtained by its use. The method can be considered to be based, in part, on the p-adic square roots of -1, but it is also possible to avoid the use of this language.

A program based on this sieve method was written for an IBM 704 with a 32,768-word high-speed memory, and with this program all n^2+1 from n=1 to 180,000 were completely factored in about 10 minutes. Since these factorizations of n^2+1 exceed those in existing published tables, (82 percent of these numbers are greater than a billion), a short summarizing statistical table should be of interest. In the table below, P(N) is the number of primes of the form n^2+1 for $1 \le n \le N$, and for comparison, $\pi_-(N)$ is the number of primes of the form 4m-1 for $1 < 4m-1 \le N$. Further, R(N) is the number of reducible numbers $\le N$, r(N) = R(N) - R(N-10,000), and $\delta_R(N) = R(N)/N$, the mean density of the reducibles.

	STATISTICAL TABLE OF PRIMES AND REDUCIBLES					
N	r(N)	R(N)	$\delta_R(N)$	P(N)	$\pi_{-}(N)$	$P(N)/\pi_{-}(N)$
10,000	2898	2898	.28980	841	619	1.3586
20,000	2935	5833	.29165	1559	1136	1.3724
30,000	2930	8763	.29210	2268	1633	1.3889
40,000	2918	11681	.29203	2952	2117	1.3944
50,000	2959	14640	.29280	3613	2583	1.3988
60,000	2912	17552	.29253	4252	3038	1.3996
70,000	2965	20517	.29310	4888	3485	1.4026
80,000	2881	23398	.29248	5513	3933	1.4017
90,000	2947	26345	.29272	6084	4364	1.3941
100,000	2875	29220	.29220	6656	4808	1.3844
110,000	3009	32229	.29299	7239	5247	1.3796
120,000	2934	35163	.29303	7795	5675	1.3736
130,000	2938	38101	.29308	8369	6103	1.3713
140,000	2888	40989	.29278	8944	6531	1.3695
150,000	2983	43972	.29315	9505	6941	1.3694
160,000	2952	46924	.29328	10072	7361	1.3683
170,000	2932	49856	.29327	10658	7770	1.3717
180,000	2981	52837	.29354	11223	8178	1.3723

Received March 10, 1959.

2. The Sieve. The sieve method (substantially more complicated than that of Eratosthenes) is based on the facts listed in the following theorem. Since many of these are well known and the rest can be easily verified, no proof need be given.

THEOREM. For every prime p of the form 4m + 1 and every positive integer k there are two and only two positive solutions of:

(1)
$$\begin{cases} n < p^k \\ n^2 + 1 \equiv 0 \pmod{p^k}. \end{cases}$$

If we call these A_k and B_k , then

$$(2) A_k + B_k = p^k,$$

and if

$$h \equiv \frac{1}{2}(p+1)A_1 \pmod{p},$$

and

$$(4) C_k \equiv h(A_k^2 + 1)/p^k \pmod{p},$$

the A_k for $k=2,3,\cdots$ may be computed recursively from A_1 by

$$A_{k+1} = A_k + C_k p^k.$$

Further, for all positive n,

$$n^2 + 1 \equiv 0 \pmod{p^k},$$

if and only if n is given by one of the *linear* forms:

(6)
$$n = \begin{cases} A_k + mp^k \\ B_k + mp^k \end{cases} (m = 0, 1, 2, \dots),$$

and aside from these factors of $n^2 + 1$ (obtained as p runs through all primes of the form 4m + 1) the only other prime-power factors are the obvious

(7)
$$n^2 + 1 \equiv 0 \pmod{2} \text{ for } n \equiv 1 \pmod{2}.$$

We will adopt the convention that A_1 is the *smaller* of the two roots of (1) for k = 1, and note that this implies:

$$(8) A_1 < \frac{1}{2}p < B_1,$$

but it does not imply that $A_k < B_k$ if k > 1. For example, let p = 5. Then $A_1 = 2$. Thus h = 1, and for $k = 1, 2, 3, \cdots$ we compute:

$$A_k = 2, 7, 57, 182, 2057, 14557, \cdots$$

 $B_k = 3, 18, 68, 443, 1068, 1068, \cdots$

and note, $A_5 > B_5$.

We also have in this case the interesting degeneracy $B_5 = B_6$. While similarly, for p = 13, we have the degeneracy $A_3 = A_4$, it can be seen from (1), and it is important for the validity of the sieve method, that for every p:

(9)
$$\begin{cases} A_1 < A_2 \\ B_1 < B_2 . \end{cases}$$

Now suppose we wish to factor every $n^2 + 1$ for $1 \le n \le L$. The sieve method proceeds as follows:

- A.) In L contiguous cells we write the corresponding values of $n^2 + 1$.
- B.) We now divide out the factor of 2 for each n=2m+1, $(m=1,2,\cdots)$ and store the quotients back into the same cells.
- C.) At n=2, we find the number 5. This implies (see a general proof below) that 5 is a p and, corresponding to it, $A_1=2$. Using formulas (2) through (6), we factor a 5 from each n'th cell, where

$$n = \begin{cases} 2 + m5 & (m = 1, 2, \cdots) \\ 3 + m5 & (m = 0, 1, 2, \cdots) \end{cases}$$

and store back the quotients. Then a second 5 is factored for each

$$n = \begin{cases} 7 + m25 \\ 18 + m25 \end{cases} \qquad (m = 0, 1, 2, \cdots)$$

and so on until both A_k and B_k are greater than L. By now all factors of 5 have been removed.

- D.) At n=3, we now find the quotient 1. This means 3 is not an A_1 number. It is, in fact, reducible (see below). We so record it and move on.
 - E.) At n = 4, we find 17 and divide out all factors of 17 as in C.
 - F.) At n = 5, we find 13 and divide out all factors of 13.
- G.) Proceeding in this way we examine the contents of the n'th cell when we get to it, and find one of two cases.
 - 1. The quotient is 1 and no new prime factor is contained in $n^2 + 1$.
- 2. The quotient is >1. In this case the quotient must be a new p=4m+1 and n must be its corresponding A_1 number. Proof: Since the quotient cannot have a factor of 2 or a prime of the form 4m-1, every prime factor must be a p=4m+1. But for such a p, n must be A_1 , for, if p had occurred in an earlier n^2+1 , its A_1 would have been encountered earlier and p would have been factored out. By (9), n^2+1 is not divisible by p^2 . Nor can n be simultaneously an A_1 for two distinct primes, since from (8) the quotient:

$$(A_1^2 + 1)/p \leq \frac{1}{2}A_1$$
,

and therefore cannot contain a second prime which (again by (8)) must be $>2A_1$.

This completes the proof, and shows we are obtaining complete factorizations without the use of any trial divisions and without the need to know in advance the primes of the form 4m + 1. They are, in fact, being generated (though not in numerical order) by the process itself.

- 3. The Program. In the 704 program mentioned above the following changes were desirable or expedient.
- a.) The sieve was started with $-(n^2+1)$ in the n'th cell and the absolute value of each quotient was stored back in. If no division occurred in a particular cell the contents of this cell remained negative and this indicated that n^2+1 was a prime.

- b.) Since in a binary machine division by 2 is so simple, step B was combined with step A.
- c.) The factoring out of any prime p began when n reached its B_1 instead of its A_1 . This saves time and memory and is equally valid.
- d.) The linear forms, (6), are easily obtained by use of an index register. The high efficiency of this method makes possible over 3000 divisions/sec.
- e.) The sieve is done in several segments. In a memory of 32,768 words, with 4096 words reserved for an operating routine, a sieve segment of 20,000 words is possible, since nearly 7000 words (see g) must be reserved to save the primes (and corresponding A_1 numbers) for later phases. The program itself, although quite intricate, takes less than 300 words.
- f.) An upper limit, L, of 180,000 (9 segments) was chosen since a tenth segment would cause $n^2 + 1$ to overflow the length of a 704 word. This is 2^{35} (nearly 34.36 billion). Of course n could be made larger by using double precision.
- g.) Although 127,162 of the 180,000 numbers are A_1 numbers, in most cases the corresponding p is enormous and is not used in sieving—the criterion being $p + A_1 \leq L$. The number of p's actually used was 6693.
- h.) The program was checked by being repeated with a segment of 20,500. This changed all the phase relations in the linear forms (6). It also raised L to 184,500 and we find P(184,500) = 11,486; R(184,500) = 54,162.
- i.) If it were not for the "degeneracies" mentioned just before (9), a much simpler sieve method would be possible. One would not compute the A_k and B_k sequences and take out all factors of p at once but could instead re-factor the $A_2 + mp^2$, the $B_2 + mp^2$, the $A_3 + mp^3$, etc., when n came to A_2 , B_2 , A_3 , etc., respectively. This was in fact attempted, and some very rare errors ensued. For example, one found R(20,000) = 5832 instead of the true 5833, the single error stemming from the degeneracy $B_5 = B_6$ (for p = 5) mentioned above.
- j.) The main output of the program as described was the table shown above but in a much greater detail (the interval in N being 100 instead of 10,000). The program actually computed $\pi_+(N)$ by counting the p's instead of the $\pi_-(N)$ shown. A small modification of the program also produced a 360-page table showing the largest prime factor in every $n^2 + 1$ for n = 1 (1) 180,000. Small auxiliary tables concerning the p-adic square roots (the A_k and B_k sequences above) and the distribution of the reducible numbers were also produced.
- **4. The Primes.** Now consider P(N) in the statistical table. We see a steady growth which is nearly proportional to $\pi_{-}(N)$. Since

$$\pi_-(N) \sim \frac{1}{2} \int_2^N \frac{dx}{\ln x}$$

by the prime number theorem, the numbers P(N) are in excellent agreement with the conjectured formula [3] of Hardy and Littlewood:

(10)
$$P(N) \sim 0.68641 \int_{2}^{N} \frac{dx}{\ln x}$$

which therefore implies $P(N)/\pi_{-}(N) \sim 1.3728$.

The constant in (10) is equal to the infinite product, taken over all odd primes,

$$\frac{1}{2} \prod_{p=3}^{\infty} \left[1 - \left(\frac{-1}{p} \right) (p-1)^{-1} \right],$$

where (-1/p) is the Legendre symbol. It was computed by A. E. Western [4] who also verified the substantial correctness of (10) to N=15,000. Since the infinite product converges too slowly, Western used a transformation of the product due to Littlewood. The following related formula is simpler:

(10a)
$$0.68641\cdots = \frac{3}{4} \frac{\zeta(6)}{G\zeta(3)} \prod_{p=4m+1} \left(1 + \frac{2}{p^3 - 1}\right) \left(1 - \frac{2}{p(p-1)^2}\right).$$

Here G is Catalan's constant, and the product is taken over the π_+ primes. More rapid convergence may be obtained by multiplying through by the identity:

(10b)
$$1 = \left[\frac{17}{16} \frac{\zeta(8)}{L(4)\zeta(4)} \prod_{p=4m+1} \left(1 + \frac{2}{p^4 - 1} \right) \right]^2$$

where $L(4) = \sum_{0}^{\infty} (-1)^{n} (2n+1)^{-4}$. With this improvement, the first two p's, i.e., 5 and 13, already suffice to yield the five decimal places shown.

Among the Gaussian integers, a + bi, the Gaussian primes on the positive real axis are those of the form 4m - 1, and thus are those counted by $\pi_{-}(N)$. On the other hand, n + i is a Gaussian prime if and only if $n^2 + 1$ is a rational prime. Therefore, the column headed " $P(N)/\pi_{-}(N)$ " shows that the +1 horizontal line in the Gauss plane (and therefore also the -1) has about a 37 percent greater density of primes than the axis has. (For an attractive picture of these primes see van der Pol's Tea Cloth, [5].)

It is of interest to mention briefly the "Gaussian twin" primes, i.e., those where $(n-1)^2+1$ and $(n+1)^2+1$ are both prime. They are not at all rare. In the last block of 1000 numbers with L=184,500, we find no less than 9 pairs, namely: n=183585; 183635; 183685; 184055; 184075; 184145; 184185; 184325; and 184495. The last pair, 34038036037 and 34038774017, were the largest primes obtained by this program. The conjecture suggests itself that there are infinitely many such "twins."

It may also be mentioned that (although they were not particularly sought) the program yielded a very large collection of "large" primes, i.e., those over 10 digits. Not only are 4830 of the $n^2 + 1$ "large" primes, but many others are equal to twice a "large" prime. For example, $184499^2 + 1 = 2 \cdot 17019940501$.

5. The Reducible and Irreducible Numbers. A reducible number, r, is a positive integer whose arctangent is a linear combination, with integer coefficients, of the arctangents of smaller positive integers:

(11)
$$\tan^{-1} r = \sum_{n=1}^{r-1} a_n \tan^{-1} n.$$

If no such linear combination is possible, the number is *irreducible* [6]. For example, since

$$\tan^{-1} 3 \equiv 3 \tan^{-1} 1 - \tan^{-1} 2$$

3 is reducible. So are 7 and 8, while 1, 2, 4, 5, 6, 9, and 10 are irreducible. (If we replace the arctangent function in (11) with the logarithm, we would be defining composites and primes instead, so that the irreducibles can be thought of as the quadratic analogue of the primes.) John Todd showed [6] that r is reducible if and only if the greatest prime factor of $r^2 + 1$ is less than 2r. For each irreducible, n, (other than 1), there is thus a unique prime p > 2n which is the greatest prime factor of $n^2 + 1$. [6, p. 526]; and this is the 1 - 1 correspondence indicated above between A_1 and p. A_1 numbers are therefore irreducible, and all others except 1 are reducible. This includes all A_2 , A_3 , \cdots , all B_1 , B_2 , \cdots , and some numbers, such as 21, which are neither A_k nor B_k .

6. The Density of Reducibles (Heuristic). If R(N) is the number of reducibles $\leq N$, and $\delta_R(N) = R(N)/N$, and if $\lim_{N\to\infty} \delta_R(N)$ exists, we call this limit the density of the reducible numbers, and write it δ_R .

(12)
$$\delta_R = \operatorname{Lim}_{N \to \infty} R(N)/N, \text{ if it exists.}$$

However, its existence is still unsettled, as is the older, and somewhat related question:

(13) Does
$$P(N) \rightarrow \infty$$
?

Early counts of the reducible numbers up to 5000, by J. C. P. Miller and Todd, [6], [7], [8], were based on Todd's criterion [6] and Wrench's table [2], and indicated that $\delta_R(N)$ persisted in the vicinity of 0.29. The present paper extends N to 184,500 and shows a continuance of this state of affairs with a slow growth (in the mean) to about 0.293.

Chowla and Todd [7] have proved that if C(N) is the number of numbers $n \leq N$ for which the greatest prime factor of n is greater than $2\sqrt{n}$, then the $\lim_{N\to\infty} C(N)/N$ exists and equals $\ln 2 = 0.693\cdots$. But note that here n ranges through all numbers, not just those of the form $m^2 + 1$. If this latter class of numbers constituted a good sample of all the numbers as regards factorization properties, (with a rigorous definition!) it would follow from $2\sqrt{m^2+1} \sim 2m$ and Todd's criterion of reducibility that δ_R does exist and is equal to $1 - \ln 2 = 0.30685\cdots$.

But, if such a deduction were possible, it would probably also follow from the same line of reasoning (good sample concept) that the mean *local* density of primes of the form $m^2 + 1$, like that of the ordinary prime sequence, would be

$$\frac{1}{\ln (m^2+1)} \sim \frac{1}{2 \ln m}$$

and thus

$$P(N) \sim \frac{1}{2} \int_2^N \frac{dm}{\ln m} \sim \pi_-(N).$$

Now in fact we have seen that P(N) remains persistently and significantly higher. And this greater prevalence of primes is consistent with the smaller fraction of reducibles (.293 instead of .307) which is observed. It is, of course, not precluded that $\delta_R(N)$ will rise to .307 for *very* much larger N. Its slow growth, mentioned

above, seems to be of order of $a/\ln N$ and to be associated with the falling off in the mean local density of the excess primes, $P(N) - \pi_{-}(N)$. This (average) increase of $\delta_{R}(N)$ hardly shows in the Table since $\ln N$ changes so slowly and the fluctuations are almost of the same size. Nonetheless it is there and may carry $\delta_{R}(N)$ nearly up to 0.307.

The gross facts on which any attempted assessment of the "good sample" concept must be based are these. The $n^2 + 1$ numbers have only about $\frac{1}{2}$ of all primes, [9], as possible factors, but in "compensation" these factors occur twice as often (see (6) above). While this may suggest a factorability of the same order of magnitude, certainly no more exact equivalence is implied.

Assuming the future establishment of $R(N) \sim \delta_R \cdot N$, the (deeper?) question of $O(R(N) - \delta_R \cdot N)$ will arise. Concerning this question—that of the *uniformity* of the distribution of the reducibles—the following table and figure are informative. Each of the 1800 intervals of 100 numbers:

$$100m < n \le 100(m+1)$$
 $(m = 0, 1, \dots, 1799)$

has at least 17 reducible numbers and at most 42. The 52,837 reducibles \leq 180,000 are distributed as follows:

In the Figure a bar graph of this distribution is compared with a binomial distribution, ν (r):

(14)
$$\nu = 1800 \frac{100!}{r!(100-r)!} (0.2935)^{r} (0.7065)^{100-r}$$

where the "probability," 0.2935, was taken to be the final value of the mean density, $\delta_R(180,000)$.

7. P-adic Numbers and Degeneracy. The sequence of the partial sums of the infinite series:

$$(15) A_1 + \sum_{k=1}^{\infty} C_k p^k,$$

where p is a prime of the form 4m+1 and A_1 and the C_k are determined by (1) through (4), is a *convergent* sequence in the *p-adic sense*. (See [10] for an elementary account of *p*-adic valuation.) Since it converges, it represents a *p*-adic number, namely, one of the two values of $\sqrt{-1}$. This sequence, it is seen from (5), is the sequence A_k . The other sequence, B_k , converges in the *p*-adic sense to the other $\sqrt{-1}$ and their sum, $A_k + B_k$, converges in the *p*-adic sense to 0.

As an example, take p = 5, and $A_k = 2$, 7, 57, 182, etc., as above. If we write them in the quinary system we see that they represent the sequence obtained from the 5-adic number

$$(16) \qquad \cdots 3140223032431212. = \sqrt{-1}$$

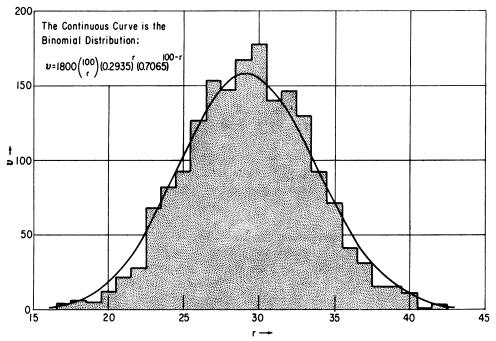


Fig. 1.—Distribution of the reducible numbers between 1 and 180,000 into the 1800 intervals of 100.

by starting at the quinary point and taking more and more places to the left. If we take k places and carry the computation to at least k places we find that

$$A_k^2 + 1 = \underbrace{\cdots 000 \cdots 00}_{k \text{ zeroes}}$$

so that $A_k^2 + 1$ is divisible by p^k and A_k is an approximation to $\sqrt{-1}$ correct (p-adic sense) to k places. Similarly the B_k sequence gives the complement:

$$(17) \qquad \cdots 1304221412013233. = -\sqrt{-1}.$$

The point of this review is to indicate, first, that the degeneracy $B_5 = B_6 = 1068$ mentioned above (9) is associated with the last zero digit in (17). That is, $B_5 = 13233$ (quinary) and so is B_6 . Similarly from the zero digits of (16) we find that $A_9 = A_8$ and $A_{13} = A_{12}$. Since an irrational p-adic cannot have periodic digits, [10, p. 196], it is reasonable to conjecture that the digits are "normal." This would imply that degenerates appear infinitely often in every A_k and B_k sequence for every p, and further that we should expect multiple degenerates, $A_k = A_{k+1} = A_{k+2}$, etc. For all that, aside from the $B_5 = B_6 = 1068$ for p = 5 and the $A_3 = A_4 = 239$ for p = 13 already mentioned, there are no other degenerates $\leq 180,000$.

8. The Difficulty of the Unsettled Questions. It has often been remarked that questions like (13) are "very difficult." The intent of this section is to assess this difficulty. We do this by comparing the very simple Eratosthenes sieve for the

ordinary prime sequence with the present one for $n^2 + 1$ and note that the latter is more complicated in the following three ways:

- 1.) Instead of one linear form, mp, for each prime, we have a double infinity: $A_k + mp^k, B_k + mp^k.$
- 2.) Instead of a zero origin we have A_k and B_k origins, which are not related to p in any simple fashion. While A_2 , A_3 , \cdots and B_1 , B_2 , \cdots can be computed by the more or less complicated relations (2) through (6), A_1 can arise at any nsatisfying $\sqrt{p-1} \le n \le (p-1)/2$. Further, we have the complications of occasional degeneracy.
- 3.) Finally, whereas in the Eratosthenes sieve it is not necessary to divide, but it suffices to scratch the cells in the linear form, here we must divide the p out. Otherwise, we would not obtain the new prime hidden in each $A_1^2 + 1$ which is not itself prime.
- 9. Generalization. In conclusion, it should be stated that while we have confined ourselves here to $n^2 + 1$ the same type of sieve method is applicable to $n^2 + a$, for $a = \pm 2, \pm 3$, etc. The main change is that these programs would be based on the p-adic square roots of -a The sieve itself would generate those primes for which -a is a quadratic residue, that is, all possible divisors. It is thought that comparable statistics will be found for the primes of these forms and for the "generalized irreducibles," that is, those n which yield a new prime factor. This is now being investigated, [11].

Applied Mathematics Laboratory, David Taylor Model Basin, Washington, District of Columbia

1. L. E. DICKSON, History of the Theory of Numbers, Stechert, New York, 1934, v. 1, Ch. XVI. For example, Euler (1752) gave P(1500) = 161. See also D. H. Lehmer, Guide to Tables in the Theory of Numbers, National Research Council, Washington, D. C., 1941, p. 31-32 and p. 45.

2. The most extensive table of all the prime factors of $n^2 + 1$ (up to n = 31,622) is the unpublished table of J. W. Wrench, Jr. See UMT 1, MTAC, v. I, 1943, p. 26. Recently a 704 program by the author in collaboration with Dr. Wrench raised this limit to 50,000 for a table of the greatest prime factor. However, we now consider that type of program (with trial divisions) to be superseded by the present sieve method.

the greatest prime factor. However, we now consider that type of program (with trial divisions) to be superseded by the present sieve method.

3. G. H. HARDY & J. E. LITTLEWOOD, "Partitio numerorum III: On the expression of a number as a sum of primes," Acta Math., v. XLIV, 1923, p. 48.

4. A. E. Western, "Note on the number of primes of the form $n^2 + 1$," Cambridge Phil. Soc., Proc., v. XXI, 1922, p. 108-109. Western assumes P(15000) = 1199 following Cunningham, who omits $2 = 1^2 + 1$. The correct value of P(15000) is 1200.

5. Fortune, June, 1958, p. 140.

6. John Todd, "A problem on arc tangent relations," American Math Monthly, v. LVI, 1940, p. 517-598.

1949, p. 517-528.
7. S. D. Chowla & J. Todd, "The density of reducible integers," Canadian Jour. of Math, v. I, 1949, p. 297-299. The table of R(N) to N=5000 has many errors. It indicates R(5000)=1453. A mimeographed errata sheet later circulated stated R(5000) = 1458, but the correct

value is 1467.

8. John Todd, Table of Arctangents of Rational Numbers, NBS, Applied Math. Series 11,

Washington, D. C., 1951.

9. While $\pi_{+}(N)$ and $\pi_{-}(N)$ are asymptotically equal, $\pi_{-}(N)$ is larger for about 99.6 per cent of the N less than 10°. See a forthcoming paper of the author, "Quadratic residues and the distribution of primes," for the statistics of this and related phenomena. That this weakness of $\pi_+(N)$ will tend to raise P(N) and lower R(N) seems clear, but no serious attempt has been made to evaluate its effectiveness.

10. C. C. MACDUFFEE, An Introduction to Abstract Algebra, Wiley, New York, 1940, p. 193-202.

11. Note added in proof, May 7, 1959. The number of primes of the forms $n^2 + 2$, $n^2 - 2$, $n^2 + 3$, and $n^2 - 3$ up to n = 180,000 are 5847, 15134, 9240, and 11354, respectively. These numbers are all in good agreement with Conjecture F, [3], of Hardy and Littlewood. Fuller details will be published later.