

# Analytic Number Theory: Modular Forms

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December 11, 2025

# Motivation

- ▶ Prove the functional equation for L-functions associated to Hecke eigenforms

# Outline

- 1 Classical Analytic Number Theory
- 2 Modular and Cusp Forms
- 3 Hecke Operators
- 4 Hecke Bound
- 5 Newforms
- 6 Fricke Involution
- 7 The Functional Equation

## Definition (Fourier Transform)

For integrable function  $f : \mathbb{R} \rightarrow \mathbb{C}$ , the Fourier Transform is defined by

$$\tilde{f}(s) = \int_{\mathbb{R}} f(t) e^{-2\pi i s t} dt.$$

## Definition (Mellin Transform)

For integrable function  $f : \mathbb{R} \rightarrow \mathbb{C}$ , the Mellin Transform is defined by

$$(\mathcal{M}f)(s) = \int_0^{\infty} t^{s-1} f(t) dt.$$

# Riemann Zeta Function

## Definition

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

$$\begin{aligned}\zeta(s) &= \sum_{n=1}^{\infty} \frac{1}{n^s} \\ &= \prod_p \frac{1}{1 - 1/p^s}, \text{ by Lemma (Euler Product).}\end{aligned}$$

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- May be used to show infinitude of primes.

# Dirichlet Characters

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The function  $\chi : \mathbb{Z} \rightarrow \mathbb{C}$  with associated modulus  $q$  satisfying

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## Definition (Primitive Dirichlet Characters)

Note that  $\chi$  has *quasiperiod*  $d$  if  $\chi(m) = \chi(n)$  for all  $m$  and  $n$  coprime to  $q$  such that  $m \equiv n \pmod{d}$ .

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The smallest such  $d$  is the *conductor*.

If the conductor equals  $q$ , then  $\chi$  is primitive.

# Orthogonality of Dirichlet Characters

## Definition ( $\chi_0$ )

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## Lemma (Orthogonality of Dirichlet Characters)

*For a character  $\chi$  with modulo  $q$ ,*

$$\sum_{m=0}^{q-1} \chi(m) = \begin{cases} \phi(q) & \chi = \chi_0, \\ 0 & \chi \neq \chi_0. \end{cases}$$

# Dirichlet L-function

## Definition (Dirichlet L-function)

For Dirichlet Character  $\chi$ , we define  $L(\chi, s)$  for  $\operatorname{Re}(s) > 1$  as

$$\begin{aligned} L(\chi, s) &= \sum_{n=1}^{\infty} \frac{\chi(n)}{n^s} \\ &= \prod_p \frac{1}{1 - \chi(p)/p^s}, \text{ by Lemma (Euler product).} \end{aligned}$$

# Nonvanishing of $L(\chi, 1)$

## Theorem

*If  $L(\chi, 1) \neq 0$  for all  $\chi \neq \chi_0$ , then there exist infinitely many primes.*



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- ▶ We start with

$$L(\chi, s) = \prod_p \frac{1}{1 - \chi(p)/p^s}$$

- ▶ Then take the log of both sides,

$$\log L(\chi, s) = \sum_p \sum_{1 \leq n} \frac{\chi(p^n)}{np^{ns}}.$$

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► Considering

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we plug in what we got for  $\log L(\chi, s)$ , getting

$$\sum_p \sum_{1 \leq n} \frac{1}{np^{ns}} \left( \frac{1}{\phi(q)} \sum_{\chi \in \chi_q} \bar{\chi}(a) \chi(p^n) \right).$$

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- We then break up the summation

$$\underbrace{\sum_{\substack{p \\ p \equiv a \pmod{q}}} \frac{1}{p^s}}_{(1)} + \underbrace{\sum_{2 \leq n} \left( \sum_{\substack{p \\ p^n \equiv a \pmod{q}}} \frac{1}{np^{ns}} \right)}_{(2)}.$$

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- We are able to bound (2). Thus, we must show our original expression is unbounded to prove (1) is unbounded.

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► In particular, we show

$$\lim_{s \rightarrow 1^+} \frac{1}{\phi(q)} \sum_{\chi \in \chi_q} \bar{\chi}(a) \log L(\chi, s) = \infty$$

since this would imply (1) diverges to  $\infty$ .

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- Breaking up the sum, we observe  $\chi_0$  produces a  $\log(\zeta(s))$  which goes to  $\infty$  as  $s \rightarrow 1^+$ . All other  $\chi \neq \chi_0$  contribute only bounded terms if  $L(\chi, 1) \neq 0$ .



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- Using orthogonality and Euler products, we can conclude with the hypothesis that there are infinitely many primes.



# Further Results

- ▶ For Complex  $\chi$ ,  $L(\chi, 1) \neq 0$  (Lemma).
- ▶ For Real  $\chi$ ,  $L(\chi, 1) \neq 0$  (Lemma).

# Modular Forms/Motivation

We've built up some analytic tools.

Why analyze Modular Forms?

- ▶ We can choose matrices in  $SL_2(\mathbb{Z})$  to yield interesting results,
- ▶ Possess Fourier expansions  $f(z) = \sum a_n e^{2\pi i n z}$ .

## Definition (Slash Operator)

For  $\gamma \in \mathrm{GL}_2(\mathbb{R})$ ,

$$f|_k \gamma(z) := \det \gamma^{k/2} j(\gamma, z)^{-k} f(\gamma z)$$

**Note:**  $\mathrm{GL}_2(\mathbb{R}) = \{A \in M_{2 \times 2}(\mathbb{R}) \mid \det(A) \neq 0\}$ .

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## Definition (Modular Form)

Note that  $\mathcal{H} = \{z \in \mathbb{C} \mid z \text{ has positive imaginary part}\}$ . A Modular Form is a function  $f : \mathcal{H} \rightarrow \mathbb{C}$  associated to a weight  $k$  such that

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where  $\gamma \in \Gamma$  and  $\Gamma$  is a subgroup of  $\mathrm{SL}_2$ .

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where  $\gamma \in \Gamma$  and  $\Gamma$  is a subgroup of  $\mathrm{SL}_2$ . **Note:**

- ▶  $\mathrm{SL}_2(\mathbb{Z}) = \{A \in M_{2 \times 2}(\mathbb{Z}) \mid \det(A) = 1\}$ .
- ▶  $\gamma z = (az + b)/(cz + d)$  and  $j(\gamma, z) = cz + d$ .

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Function  $f : \mathcal{H} \rightarrow \mathbb{C}$  in modular form and vanishes at  $i\infty$ .

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Further:

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Further:

- ▶ If  $f$  has weight  $k$ , then  $f$  is a weight  $k$  cusp form iff  $f(\infty) = 0$  (Lemma).
- ▶ If  $f$  has fourier expansion:

$$f(z) = \sum_{0 \leq m} a_m e^{2\pi i m z}.$$

then  $a_0 = 0$ .

# Eisenstein Series and Delta Function

## Definition (Eisenstein series)

$$\begin{aligned} E_k(z) &= \sum \sum_{(m,n) \neq (0,0)} \frac{1}{(mz + n)^k} \\ &= 1 - \frac{2k}{B_k} \sum_{1 \leq m} \sigma_{k-1}(m) e^{2\pi i m z}, \text{ by Lemma (Fourier Expansion).} \end{aligned}$$

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Note:

- ▶  $\Delta$  is a weight 12 cusp form.
- ▶ Non-vanishing of  $\Delta$  on  $\mathcal{H}$  except for a simple zero at  $i\infty$  can be shown via the Valence Formula (Lemma).

# Structure of $M_k$

In the space  $M_k$  of modular forms of weight  $k$ , the following properties hold:

- ▶ If  $k < 0$  or odd,  $M_k = \emptyset$ .
- ▶ If  $k = 0$ ,  $M_k = \mathbb{C}$ .
- ▶ If  $k = 2$ , then  $M_k = \emptyset$ .
- ▶ If  $4 \leq k \leq 10$  is even,  $M_k = \mathbb{C} \cdot E_k$ .
- ▶ If  $k \geq 12$ , then  $M_k = \Delta M_{k-12} \oplus \mathbb{C} E_k$

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Consequences:

- ▶ All modular forms are built from  $E_4$ ,  $E_6$ , and  $\Delta$ .
- ▶  $M_{k+12} \in \mathbb{C}[E_4, E_6]$  (Proven via induction.)



# Hecke Operators

## Definition (Hecke Operator)

Acts on function  $f \in M_k(\Gamma_0(N))$  as

$$(T_n f)(z) = n^{k/2-1} \sum_{\delta \in \Delta_n^N} f|_k \delta(z).$$

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If  $f$  has fourier expansion

$$f(z) = \sum_{1 \leq m} c_m e^{2\pi i m z}$$

with  $c_1 = 1$  and there exists  $\lambda_n$  s.t.  $T_n f = \lambda_n f$  for all  $n$ , then

$$c_{mn} = c_m c_n \quad \forall (m, n) = 1.$$

# How Hecke Operators Act

## Lemma

For  $f$  with Fourier expansion  $f(z) = \sum_{0 \leq m} c_m e^{2\pi i m z}$  then,

$$T_n f(z) = \sum_{0 \leq m} \left( \sum_{d|(m,n)} \chi_0^N(d) d^{k-1} c_{mn/d^2} \right) e^{2\pi i m z}.$$

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Key consequences:

- ▶  $T_n$  preserves cusp forms.
- ▶ Hecke operators commute and are self-adjoint under the Petersson inner product.

Thus  $S_k(\Gamma_0(N))$  has a basis of simultaneous eigenforms.

# Hecke Bound (Used in L-function Analysis)

Note that, for a cusp form of weight  $k$ :

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Why this matters:

- ▶ Ensures L-function for cusp forms,  $L(f, s) = \sum a_n n^{-s}$ , converges absolutely for  $\operatorname{Re}(s) > 1 + \frac{k}{2}$ .
- ▶ Key part of deriving the functional equation for the L-functions associated with cusp forms.

# Newforms

- ▶ For level  $N$ , cusp forms decompose into  $S_k^{\text{old}}$  and  $S_k^{\text{new}}$
- ▶ A level  $N$  **newform** is an  $f \in S_k^{\text{new}}$  such that  $f$  is a normalized simultaneous eigenform for all  $T_n$  with  $(n, N) = 1$ .



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- ▶ Key property: **multiplicity one**.

$$f, g \in S_k^{\text{new}}(\Gamma_0(N)), \lambda_n(f) = \lambda_n(g) \quad \forall (n, N) = 1 \quad \Rightarrow f = g.$$

## Theorem

*A level  $N$  newform  $f$  is a normalized simultaneous eigenform of all Hecke operators  $T_n$ .*

- ▶ If  $f$  is a newform and  $T_n f = \lambda_n f$  for  $(n, N) = 1$ , then  $T_m f = \lambda_m f$  for all  $m$ .
- ▶ Note that proof makes use of multiplicity one principle.

# The Fricke Involution

Define by letting  $Wf = f|_k\omega$  where

$$\omega = \begin{pmatrix} 0 & -1/\sqrt{N} \\ \sqrt{N} & 0 \end{pmatrix}.$$

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► For  $\gamma = \begin{pmatrix} a & b \\ cN & d \end{pmatrix} \in \Gamma_0(N)$ ,

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- ▶ Fricke Involution preserves modular and cusp forms, i.e. for  $f \in M_k(\Gamma_0(N))$  or  $\in S_k(\Gamma_0(N))$ ,

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- ▶ Fricke involution commutes with Hecke operators

$$WT_n = T_nW$$

# Fricke and Hecke Commute

**The operators commute:**

$$T_n W_N = W_N T_n.$$

Consequences:

- ▶ If  $f \in S_k^{\text{new}}(\gamma_0(N))$  is a Hecke eigenform, then  $f = cg$  where  $g$  is a newform.

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- ▶ Since  $Wg = wh$  where  $h$  is a newform, we get

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- ▶ So  $g, h$  have same Hecke eigenvalues so  $g = h$ . Thus,  $Wf = wf$  for some  $w \in \mathbb{C}$ .

# Fricke and Hecke Commute

## Lemma

*If  $f$  is a Hecke eigenform then  $f$  is an eigenform of the Fricke involution. Specifically  $Wf = \pm f$ .*

# Setting Up the Functional Equation

For a cusp form  $f(z) = \sum a_n e^{2\pi i n z}$ , define its  $L$ -function:

$$L(f, s) = \sum_{n \geq 1} a_n n^{-s}.$$

Completed  $L$ -function (scaled by  $N^{s/2}$ ):

$$\Lambda(f, s) = N^{s/2} (2\pi)^{-s} \Gamma(s) L(f, s).$$

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Use Mellin transform:

$$\Lambda(f, s) = N^{s/2} \int_0^\infty f(it) t^s \frac{dt}{t}.$$

# Setting Up the Functional Equation

For a cusp form  $f(z) = \sum a_n e^{2\pi i n z}$ , define its  $L$ -function:

$$L(f, s) = \sum_{n \geq 1} a_n n^{-s}.$$

Completed  $L$ -function (scaled by  $N^{s/2}$ ):

$$\Lambda(f, s) = N^{s/2} (2\pi)^{-s} \Gamma(s) L(f, s).$$

Use Mellin transform:

$$\Lambda(f, s) = N^{s/2} \int_0^\infty f(it) t^s \frac{dt}{t}.$$

Split integral at  $t = 1/\sqrt{N}$  (allowed by Fricke),

$$N^{s/2} \left( \int_0^{1/\sqrt{N}} f(it) t^s \frac{dt}{t} + \int_{1/\sqrt{N}}^\infty f(it) t^s \frac{dt}{t} \right).$$

# Using Fricke and Final Equation

Compute:

$$\int_0^{1/\sqrt{N}} f(it) t^s \frac{dt}{t} = \pm i^k N^{\frac{k}{2}-s} \int_{1/\sqrt{N}}^{\infty} f(it) t^{k-s} \frac{dt}{t}.$$

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Combining with the second piece yields:

$$\boxed{\Lambda(f, s) = \pm i^k \Lambda(f, k - s).}$$

**This is the functional equation for L-functions associated with Hecke eigenforms.**



# Acknowledgements

Much thanks to the DRP team and to my wonderful mentor Preston Tranbarger!

[Click here](#) for the notes used!

**Thank you!**