

# Heisenberg's principle and positive functions

Principe d'Heisenberg et fonctions positives

-  
Re-TeXed by Seewoo Lee\*

Jean Bourgain, Laurent Clozel, Jean-Pierre Kahane

Last updated: January 12, 2024

## Abstract

We consider a natural problem concerning Fourier transforms. In one variable, one seeks functions  $f$  and  $\widehat{f}$ , both positive for  $|x| \geq a$  and vanishing at 0. What is the lowest bound for  $a$ ? In higher dimension, the same problem can be posed by replacing the interval by the ball of radius  $a$ . We show that there is indeed a strictly positive lower bound, which is estimated as a function of the dimension. In the last section the question, and its solution, are shown to be naturally related to the theory of zeta functions.

## Introduction

The inequalities of Heisenberg's experiments, with the notations of the present article, have the form

$$\int x^2 |f(x)|^2 dx \int y^2 |\widehat{f}(y)|^2 dy \geq 1/16\pi^2$$

(if  $f$  is of norm 1)s, and they are optimal, since equality holds for  $f(x) = e^{-\pi x^2}$ . In the following form

$$\Delta p \Delta x \geq \hbar$$

they are interpreted by physicists as a relationship between the spatial extension of a quantum object and the width of the spectrum of values of its momentum;

---

\*seewoo5@berkeley.edu. Most of the translation is due to Google Translator, and I only fixed a little.

## Statement of the problem and lower bound of $B_1$

when these relations appeared, they are called as "uncertainty relations", since it is a question about determining the position and the momentum of a point precisely. For mathematicians, this is a simple observation, but with varying aspects: for a Fourier pair, one cannot make both to be concentrated near 0. This common but important fact is called Heisenberg's principle.

In this article, we introduce an another problem about positivity outside a neighborhood of zero. This would not give anything new if we do not add a new condition, for both functions, to be negative at zero. Can the neighborhoods of zero where the functions are positive outside of those be arbitrarily small? We will see that the answer is negative.

The problem, and the first answers for higher dimensions, comes from number theory, more precisely from Tate's theory of zeta functions of number fields. The functional equation of adélic zeta functions proposes the problem in the most natural way, as we show in §4 of this article; however, it is already implicitly proposed in the classical article of Landau [2]. But the classical Fourier analysis gives the best results, as shown in the first three sections. The results are about lower and upper bounds of natural constants associated to the problem, denoted as  $B_d$  and  $\mathcal{B}_d$  in terms of the dimension  $d$ . They are far from being optimal. Section 1 and 2 treats upper and lower bounds for  $d = 1$ ; section 3 for the case  $d \geq 2$ .

Finally, the section 4, arithmetic, relates this problem it Tate's method, to study real zeros of zeta functions by relating it with the discriminant. The arithmetic argument shows that the linear growth of  $B_d$  as a function in the dimension is natural in view of known ramification properties of these fields.

## 1 Statement of the problem and lower bound of $B_1$

Consider a pair of functions  $(f, \widehat{f})$  on reals: they are Fourier pairs if

$$\begin{cases} \widehat{f}(y) = \int f(x) e^{-2i\pi xy} dx, & f \in L^1(\mathbb{R}) \\ f(x) = \int \widehat{f}(y) e^{2i\pi xy} dy, & \widehat{f} \in L^1(\mathbb{R}). \end{cases}$$

So  $f$  and  $\widehat{f}$  are continuous and converges to 0 at infinity. We are interested in the Fourier pairs  $(f, \widehat{f})$  such that

1.  $f$  and  $\widehat{f}$  are real-valued, even, and not identically zero,
2.  $f(0) \leq 0$  and  $\widehat{f}(0) \geq 0$ ,

Statement of the problem and lower bound of  $B_1$

3.  $f(x) \geq 0$  for  $x \geq a_f$  and  $\widehat{f}(y) \geq 0$  for  $y \geq a_{\widehat{f}}$ .

Note that the condition 2 and the non-vanishing assumptions on  $f$  and  $\widehat{f}$  imply  $a_f$  and  $a_{\widehat{f}} > 0$ .

**Problem.** What is the infimum of the product  $a_f a_{\widehat{f}}$  for the Fourier pairs  $(f, \widehat{f})$  satisfying 1–3?

We denote the infimum as  $B_1 \geq 0$  (note that the pair attaining infimum clearly exists). We will show, which is not obvious a priori, that  $B_1$  is strictly positive.

Until section 3, we will focus on dimension 1. For a Fourier pair  $(f, \widehat{f})$  satisfying 1–3 let

$$A(f) = \inf\{x > 0 : f((x, \infty)) \subset \mathbb{R}^+\}$$

$$A(\widehat{f}) = \inf\{y > 0 : \widehat{f}((y, \infty)) \subset \mathbb{R}^+\}.$$

The product  $A(f)A(\widehat{f})$  is invariant under scaling, i.e. replacing  $f(x)$ ,  $\widehat{f}(y)$  by  $f(x/\lambda)$ ,  $\lambda\widehat{f}(\lambda y)$ ,  $\lambda > 0$ . Since

$$B_1 = \inf A(f)A(\widehat{f})$$

for all Fourier pairs satisfying 1–3, we only consider pairs satisfying  $A(f) = A(\widehat{f})$ . Then  $f + \widehat{f} \neq 0$  (consider their values at points near  $A(f)$ ), and

$$A(f + \widehat{f}) \leq A(f) = A(\widehat{f}).$$

So  $B_1 = \inf A^2(f + \widehat{f})$ . Hence we see that

$$B_1 = A^2, \quad A = \inf A(f)$$

where infimum is taken over all functions  $f \in L^1(\mathbb{R})$ , real-valued and even, not identically zero, equal to their own Fourier transforms, and  $f(0) < 0$ .

Let

$$\gamma(x) = e^{-\pi x^2}$$

so that  $\gamma = \widehat{\gamma}$ . If  $f(0) < 0$ ,  $f - f(0)\gamma$  satisfies the same conditions as  $f$ , and

$$A(f - f(0)\gamma) \leq A(f).$$

Finally,

$$A = \inf A(f) \tag{1.1}$$

where infimum is taken over all  $f \in L^1(\mathbb{R})$ , real-valued, even, not identically zero,  $f = \widehat{f}$ , and  $f(0) = 0$ .

Here is an important result.

Statement of the problem and lower bound of  $B_1$

**Theorem 1.1.** Let  $\lambda = -\inf\left(\frac{\sin x}{x}\right) = 0.2712\dots$ . Then

$$A \geq \frac{1}{2(1+\lambda)} = 0.4107\dots$$

so

$$B \geq 0.1687\dots$$

*Proof.* Choose  $f = \widehat{f}$ ,  $f(0) = 0$ , and  $\int_{\mathbb{R}} |f(x)| dx := \int_{\mathbb{R}} |f| = 1$ . Write  $A = A(f)$ . Put  $f = f^+ - f^-$ ,  $|f| = f^+ + f^-$ . Since  $\int_{\mathbb{R}} f = \widehat{f}(0) = 0$ , we have  $\int_{\mathbb{R}} f^+ = \int_{\mathbb{R}} f^- = \int_{-A}^A f^- = \frac{1}{2}$ . So  $\int_{-A}^A |f| \geq \frac{1}{2}$ . From  $|f(x)| \leq \int |\widehat{f}| = 1$ ,  $2A \geq \frac{1}{2}$  and we obtain a first bound  $A \geq \frac{1}{4}$ . We will see that this argument extends to higher dimensions.

In dimension 1, we can refine it in the following way. From  $f = \widehat{f}$ ,

$$\begin{aligned} f(x) &= \int f(y) \cos 2\pi y x dy = \int f(y) (\cos 2\pi y x - 1) dy \\ &= \int f^-(y) (1 - \cos 2\pi y x) dy - \int f^+(y) (\cos 2\pi y x - 1) dy. \end{aligned}$$

This implies, ???

$$f^-(x) \leq \int f^+(y) (1 - \cos 2\pi y x) dy$$

and

$$\frac{1}{4} = \int_0^A f^- \leq \int_{-\infty}^{\infty} f^+(y) \left( A - \frac{\sin 2\pi y A}{2\pi y} \right) dy$$

so

$$\frac{1}{4} \leq \frac{A}{2} \sup_{u \in \mathbb{R}} \left( 1 - \frac{\sin u}{u} \right) = \frac{A}{2} (1 + \lambda)$$

and we obtain the theorem.  $\square$

Later, we will need to consider functions that are regular enough. A natural class is the Schwartz space  $\mathcal{S}$ . It is not obvious that the infimum  $A$  defined by (1.1), taken only over the functions in  $\mathcal{S}$ , coincides with that over all  $f \in L^1(\mathbb{R})$ .

Let  $\mathcal{B}_1$  be  $A^2$ , where  $A$  is defined by (1.1) for  $f \in \mathcal{S}$ . We will see that  $B_1$  and  $\mathcal{B}_1$  are not much different. Clearly, we have

$$B_1 \leq \mathcal{B}_1. \tag{1.2}$$

Let

$$B_1^- = \inf\{A^2 : f(0) < 0, f = \widehat{f} \text{ even} \neq 0, f \in L^1(\mathbb{R})\}.$$

Hence  $B_1^-$  is defined by (1.1), with additional assumption  $f(0) < 0$ . Define  $\mathcal{B}_1^-$  similarly for  $f \in \mathcal{S}$ . Clearly,

$$B_1^- \leq \mathcal{B}_1^- \tag{1.3}$$

Statement of the problem and lower bound of  $B_1$

$$\mathcal{B}_1 \leq \mathcal{B}_1^-, \quad B_1 \leq B_1^-. \quad (1.4)$$

To prove  $\mathcal{B}_1^- \leq B_1^-$ , let  $f \in L^1(\mathbb{R})$  be a function satisfying the conditions for (1.1) but  $f(0) < 0$ , and let  $a = A(f)$ . Let  $\varphi = \psi * \psi$ , where  $\psi$  is  $C^\infty$ , even, positive, and compactly supported near 0, and  $g = f * \varphi$ . Then  $A(g) \leq a + \varepsilon$  and  $g(0) < 0$ . We have  $\widehat{g} = \widehat{f}\widehat{\psi}^2$ ; by applying the same operation on  $\widehat{g}$  we obtain a function  $h \in \mathcal{S}$  such that  $h = \widehat{h}$ ,  $h(0) < 0$ , and  $A(h) \leq a + \varepsilon$ ; from this we get  $\mathcal{B}_1^- \leq B_1^-$  and

$$\mathcal{B}_1^- = B_1^-. \quad (1.5)$$

Note that the argument does not work if  $f(0) = 0$ . We will show

$$B_1^- \leq 2B_1; \quad (1.6)$$

combining (1.4) and (1.6) we obtain

$$B_1 \leq \mathcal{B}_1 \leq 2B_1. \quad (1.7)$$

Let  $f$  be a function satisfying the conditions for (1.1) and  $a = A(f)$ . Since  $\widehat{f}(0) = \int f(x)dx = 0$ ,  $f$  takes a negative value on  $[-a, a]$ . Let  $b > 0$  be such a number, and consider the distribution

$$T = \delta_b + \delta_{-b} + 2\delta_0.$$

It is a positive measure with positive Fourier transform

$$\widehat{T} = 2\cos(2\pi by) + 2 \geq 0.$$

We have

$$(T * f)(0) = f(b) + f(-b) < 0.$$

Since  $b < a$ ,  $g = T * f$  satisfies

$$g(0) < 0, \quad g \geq 0 \text{ on } (2a, \infty).$$

Moreover  $\widehat{g} = \widehat{T}\widehat{f}$  is nonnegative on  $[0, \infty)$ , and  $\widehat{g}(0) = 0$ . By scaling, we obtain a function  $h$  such that

$$\begin{aligned} h &\geq 0 \text{ on } [a\sqrt{2}, \infty), & h(0) < 0 \\ \widehat{h} &\geq 0 \text{ on } [a\sqrt{2}, \infty), & \widehat{h}(0) = 0. \end{aligned}$$

The functions  $h$  and  $\widehat{h}$  are real-valued and even. Hence  $h + \widehat{h}$  satisfy the conditions defining  $B_1^-$ . So  $B_1^- \leq (a\sqrt{2})^2 = 2a^2$ ; by varying  $f$ , we obtain (1.6).

Upper bound of  $B_1$

## 2 Upper bound of $B_1$

An important idea is to use Hermite series

$$f(x) \sim \sum_{n=0}^{\infty} a_n h_n(x)$$

associated to  $f$ , where  $h_n$  are eigenvectors of the Fourier transform  $\mathcal{F}$  corresponding to the eigenvalues  $i^n$ . Since  $f = \widehat{f}$  the expression becomes

$$f(x) \sim \sum_{m=0}^{\infty} a_{4m} h_{4m}(x).$$

Each  $h_n$  has a form of  $h_n = e^{-\pi x^2} P_n(x)$  where  $P_n$  is a polynomial of degree  $n$ . A suitable linear combination of  $h_0$  and  $h_4$  (satisfying  $f(0) = 0$ ) gives  $\pi A^2 \leq 3$ . The calculations seem difficult and we will not proceed in this direction further.

We can also consider the functions

$$g_a(x) = a\gamma(ax) + \gamma\left(\frac{x}{a}\right) - (1+a)\gamma(x), \quad a > 1 \quad (2.1)$$

which satisfy the requirements for (1.1). Then any expression of the form

$$\int_1^{\infty} g_a(x) d\tau(a) \quad (2.2)$$

where  $\tau$  is a measure on  $[1, \infty)$  such that the integral converges absolutely and positive is our candidates (it seems difficult to characterize such measures where (2.2) converges absolutely and positive).

We first study  $A(g_a)$ . It is convenient to put  $X = \pi x^2$ , and  $G_a(X) = g_a(x)$ , so

$$G_a(X) = ae^{-a^2 X} + e^{-a^{-2} X} - (1+a)e^{-X}.$$

The function

$$H_a(X) = e^X G_a(X) = ae^{(1-a^2)X} + e^{(1-a^{-2})X} - 1 - a \quad (2.3)$$

is convex and satisfying

$$H_a(0) = 0, \quad H'_a(0) = -a^2(a^2 - 1)(a^3 - 1) < 0$$

and tends to  $+\infty$  as  $X \rightarrow \pm\infty$ . So it has a unique zero  $X_a > 0$ , and

$$A(g_a) = \sqrt{\frac{X_a}{\pi}}.$$

Upper bound of  $B_1$

It is natural to study with varying  $X_a$ , and we first consider those for  $a$  near 1. Put  $a = 1 + h$ ,  $h > 0$ , then  $H_a(X)$  can be written as

$$H_a(X) = (1 + h)(e^{-X(2h+h^2)} - 1) + e^{X(2h-3h^2+3h^3-4h^4)X} - 1$$

modulo  $O(h^5)$ . It can be written as  $P_1h + P_2h^2 + P_3h^3 + P_4h^4 + O(h^5)$ , where the polynomials  $P_i$  are

$$\begin{aligned} P_1 &= 0 \\ P_2 &= 2X(2X - 3) \\ P_3 &= -X(2X - 3) \\ P_4 &= -5X + 15X^2 - \frac{28}{3}X^3 + \frac{4}{3}X^4. \end{aligned}$$

From the expression of  $P_2$ , for sufficiently small  $h$ ,  $H_a(X) > 0$  if  $X > \frac{3}{2}$  and  $H_a(X) < 0$  if  $X < \frac{3}{2}$ . As a result,

$$\lim_{a \rightarrow 1^+} X_a = \frac{3}{2}. \quad (2.4)$$

This provides an explicit bound

$$A \leq \sqrt{\frac{3}{2\pi}}. \quad (2.5)$$

But this simple bound cannot be the true value of  $A$ . For  $X = \frac{3}{2}$ ,  $P_2$  and  $P_3$  cancel out, and

$$P_4\left(\frac{3}{2}\right) = \frac{3}{2}.$$

For nonzero small  $h$ , we therefore have  $X_a < \frac{3}{2}$ .

If  $a \rightarrow +\infty$ ,  $X_a \rightarrow +\infty$ ; in fact, a simple calculation shows that

$$X_a = \log a + O(1) \quad (a \rightarrow +\infty).$$

We have not determined the minimum value of  $X_a$ , but it is easy to estimate it, in a semi-heuristic way. The value  $a = \sqrt{2}$  satisfies, for  $q = e^{\frac{1}{2}X_a}$ ,

$$q^3 - (1 + \sqrt{2})q^2 + \sqrt{2} = 0;$$

if  $q \neq 1$ , it becomes the quadratic equation

$$q^2 - \sqrt{2}q - \sqrt{2} = 0$$

### Higher dimensions

with a zero  $q = \frac{\sqrt{2}}{2}(1 + \sqrt{1 + 2\sqrt{2}})$ ,

$$X_a = 2 \log q = 1.4749 \dots < \frac{3}{2} \quad (a = \sqrt{2}).$$

The value  $a = 2$  gives, for  $q = e^{\frac{3}{4}X}$ ,

$$q^4 - 2 \frac{q^4 - 1}{q - 1} = 0.$$

The unique zero  $q > 1$  is  $q = 2.9744 \dots$ , where

$$X_a = 1.4534 \dots \quad (a = 2).$$

It seems that we can approximate the optimal value by this method. Indeed, if we solve  $H_a(X) = 0$  for  $H_a$  given by (2.3), and if we assume  $a \geq 2$ , the first term is negligible. So  $X_a$  is approximately

$$\frac{\log(1 + a)}{1 - a^{-2}}.$$

The extremal value of this expression is attained when  $a(1 - a) = 2 \log(1 + a)$ , which gives

$$a = 2.08137 \dots$$

In all cases, the minimum value of  $A(g_a)$  we obtain is not the value for (1.1) that we are looking for. Consider  $a_0$  such that  $X_0 = X_{a_0}$  is minimal, and  $H_0 = H_{a_0}$  is positive on  $[X_a, \infty)$ . Let  $a$  be a number (for example, near 1) such that  $X_a > X_0$ . On  $[X_a, \infty)$ ,  $H_a \geq 0$  and ...

The same argument holds for all  $a_0$  with  $X_0 < \frac{3}{2}$ . For  $a_0 = 2$ , we can determine the optimal value (corresponds to  $a$  near 1), giving a function  $\geq 0$  on  $[X'', \infty)$  where

$$\begin{aligned} X'' &= 1.25 \dots \\ A &\leq 0.63 \dots \end{aligned} \tag{2.6}$$

We only gave approximations of the optimal value. Nevertheless we state the result, to compare with Theorem ??.

**Theorem 2.1.** We have  $A \leq 0.64 \dots$  and  $B_1 \leq 0.41 \dots$ .

## 3 Higher dimensions

On Euclidean space  $\mathbb{R}^d$  with inner product

$$x \cdot y = \sum_{i=1}^d x_i y_i, \quad \|x\| = (x \cdot x)^{1/2},$$



## Higher dimensions

Fourier transform is defined by

$$\widehat{f}(y) = \int f(x) e^{-2i\pi x \cdot y} dx \quad (3.1)$$

where  $dx = dx_1 \cdots dx_d$  is the Lebesgue measure; then

$$f(x) = \int \widehat{f}(y) e^{2i\pi x \cdot y} dy. \quad (3.2)$$

We suppose that  $f$  and  $\widehat{f}$  are continuous and integrable. More generally, if  $E$  is a Euclidean space of dimension  $d$ , if the invariant measure  $dx$  on  $E$  is chosen so that the cube formed by the orthonormal basis has measure 1, and if  $x \cdot y$  is the corresponding inner product, Fourier transform and its inverse is defined by (3.1) and (3.2).

Consider the Fourier pairs  $(f, \widehat{f})$  satisfying

1.  $f, \widehat{f}$  are not identically zero,
2.  $f(0) \leq 0$  and  $\widehat{f}(0) \leq 0$ ,
3.  $f(x) \geq 0$  for  $\|x\| \geq a_f$ ,  $\widehat{f}(y) \geq 0$  for  $\|y\| \geq a_{\widehat{f}}$ .

Define  $A(f)$  and  $A(\widehat{f})$  as in §1:

$$A(f) = \inf\{r > 0 : f(x) \geq 0 \text{ if } \|x\| > r\},$$

and

$$B_d = \inf A(f)A(\widehat{f})$$

for pairs satisfying 1–3. Let  $f^{\natural}(x)$  be the (invariant) integral of  $f$  on the sphere of radius  $\|x\|$ :  $\widehat{f}^{\natural} = (\widehat{f})^{\natural}$  and  $f^{\natural}$  and  $\widehat{f}^{\natural}$  are nonzero; otherwise  $f$  and  $\widehat{f}$  are compactly supported from 3. Since  $A(f^{\natural}) \leq A(f)$  and  $A(\widehat{f}^{\natural}) \leq A(\widehat{f})$ , we can limit ourselves to the radial functions. Since

$$(f(x/\lambda))^{\wedge} = \lambda^d \widehat{f}(\lambda y) \quad (\lambda > 0),$$

we can follow the argument in §1 and we have

$$B_d = A^2, \quad A = \inf A(f) \quad (3.3)$$

**where the infimum is over the functions  $f \in L^1(\mathbb{R}^d)$ , radial, not identically zero, such that  $f = \widehat{f}$  and  $f(0) = 0$ .**

We have, as in §1, can add multiple of the following radial and self-dual function if necessary

$$\gamma(x) = e^{-\pi\|x\|^2}.$$

**Theorem 3.1.** We have

$$B_d \geq \frac{1}{\pi} \left( \frac{1}{2} \Gamma \left( \frac{d}{2} + 1 \right) \right)^{2/d} > \frac{d}{2\pi e}.$$

*Proof.* Follow the argument of the case  $d = 1$ , where we replace the interval  $(-A(f), A(f))$  with the ball of radius  $A(f)$  centered at the origin, whose volume ( $\geq \frac{1}{2}$ ) is  $\frac{1}{\Gamma(\frac{d}{2}+1)} (A(f))^d \pi^{d/2}$ .  $\square$

Put  $X = \pi \|x\|^2$ , the argument in §2 naturally leads us to consider the functions

$$g_a(x) = G_a(X) \quad (x \in \mathbb{R}^d)$$

where

$$G_a(X) = a^d e^{-Xa^2} + e^{-Xa^2} - (1 + a^d) e^{-X},$$

and set

$$H_a(X) = a^d e^{(1-a^2)X} + e^{(1-a^2)X} - (1 + a^d), \quad a > 1.$$

It is convenient to define  $a^2 = 1 + k$ ,  $d = 2c$ , which gives

$$H_a(X) = (1 + k)^c e^{-kX} + e^{(1-(1+k)^{-1})X} - 1 - (1 + k)^c.$$

The derivative in  $X$  at the origin is

$$\frac{k}{1+k} \left( 1 - (1+k)^{c+1} \right) < 0;$$

the convexity argument in §2 shows that  $H_a$  has a unique positive zero  $X_a$ . As before, we compute the expansion of  $H_a(X)$  in  $k$  up to order 4. It is

$$H_a(X) = P_1 k + P_2 k^2 + P_3 k^3 + P_4 k^4 + O(k^5)$$

where

$$P_1 = 0$$

$$P_2 = X(X - c - 1)$$

$$P_3 = \frac{1}{2}(c - 2)X(X - c - 1)$$

$$P_4 = \frac{1}{12}X(X^3 - (2c + 6)X^2 + (3c(c - 1) + 18)X - (2c(c - 1)(c - 2) + 12)).$$

As in dimension 1 case, we see that  $P_2$  and  $P_3$  cancel out for

$$X = X(d) := \frac{d}{2} + 1. \tag{3.4}$$

## Higher dimensions

Moreover,  $P_2 > 0$  for  $X > X(d)$ ,  $< 0$  for  $X < X(d)$ . Taking the limit  $k \rightarrow 0$  gives

$$\lim_{a \rightarrow 1} X_a = \frac{d}{2} + 1.$$

To understand the location of  $X_a$  with respect to  $X(d)$  as  $a \rightarrow 1$ , compute  $Q_4(X(d))$  or  $P_4 = \frac{X}{12}Q_4$ . Calculation gives

$$Q_4(c+1) = -c^2 + 1.$$

For  $d > 2$ , the term is  $< 0$ , so  $H_a(X(d)) < 0$  for  $a$  close to 1, which shows that

$$X_a > \frac{d}{2} + 1 \quad (a > 1, \text{ close to } 1).$$

Therefore it is possible that the value in (3.4) is optimal. This is not the case when  $d = 1$  as we saw in §2.

For  $d = 2$ ,  $Q_4(c+1) = 0$ , so we need to compute up to degree 5, where

$$H_a(2) = (1+k)e^{-2k} + e^{2(1-\frac{1}{1+k})} - 2 - k. \quad (3.5)$$

The Taylor series at 0 of

$$\begin{aligned} f(z) &= e^{2(1-\frac{1}{1+z})} = e^{2\frac{z}{1+z}}, \\ f(z) &= \sum_{n=0}^{\infty} q_n z^n, \end{aligned}$$

can be calculated using the residue theorem. Let

$$w = \frac{z}{1+z}, \quad z = \frac{w}{1-w}, \quad dz = \frac{dw}{(1-w)^2},$$

by taking a small contour around 0:

$$\begin{aligned} q_n &= \text{Res}_{z=0} \frac{f(z)}{z^{n+1}} = \frac{1}{2i\pi} \oint e^{\frac{2z}{1+z}} \frac{dz}{z^{n+1}} \\ &= \frac{1}{2i\pi} \oint e^{2w} \frac{(1-w)^{n+1}}{w^{n+1}} \frac{dw}{(1-w)^2} \\ &= \text{Res}_{w=0} \frac{(1-w)^{n-1}}{w^{n+1}} e^{2w}. \end{aligned}$$

In particular,  $q_5$  is the sum of

$$\frac{2^4}{4!} - \frac{2^5}{5!} \quad (3.6)$$

coming from the first term of (3.5), and the coefficient of  $w^5$  in  $e^{2w}(1-w)^4$ , equal to

$$\frac{2^5}{5!} - 4 \cdot \frac{2^4}{4!} + 6 \cdot \frac{2^3}{3!} - 4 \cdot \frac{2^2}{2!} + 2. \quad (3.7)$$

### Arithmetic arguments

We found that  $q_5 = 0$ .

Similarly,  $q_6$  is the sum of

$$-\frac{2^5}{5!} + \frac{2^6}{6!} \quad (3.8)$$

and

$$\frac{2^6}{6!} - 5 \cdot \frac{2^5}{5!} + 10 \cdot \frac{2^4}{4!} - 10 \cdot \frac{2^3}{3!} + 5 \cdot \frac{2^2}{2!} - 2, \quad (3.9)$$

which is

$$q_6 = -\frac{4}{45} < 0.$$

When  $a$  is sufficiently close to 1, we therefore have  $H_a(2) < 0$  and  $X_a > X(2) = 2$ . Again, the bound given by (3.4) could be optimal.

Concluding this section, note that for all  $d \geq 2$  we obtain the upper bound

$$B_d \leq \mathcal{B}_d \leq \frac{d+2}{2\pi} \quad (3.10)$$

where  $\mathcal{B}_d$  is defined, as in §1, by the functions in the space  $\mathcal{S}(\mathbb{R}^d)$ . Also following the argument in the end of §1, relating the bounds for  $L^1$  and  $\mathcal{S}$  applies. To prove the inequality (1.6), we have to consider  $T = \delta_b + \delta_{-b} + 2\delta_0$ , where  $\|b\| < a = A(f)$  and  $f(b) < 0$ ;  $\widehat{T} = 2 \cos(2\pi b \cdot y) + 2$  is a positive plane wave function. The rest of the argument is the same, replacing  $h + \widehat{h}$  with the spherical average of  $h + \widehat{h}$  if we want to limit ourselves to the radial functions. In conclusion,

**Theorem 3.2.** We have

$$B_d \leq \mathcal{B}_d \leq \frac{d+2}{2\pi}, \quad B_d \geq \frac{1}{2} \mathcal{B}_d. \quad (3.11)$$

## 4 Arithmetic arguments

Let  $F$  be a number field of degree  $d$  over  $\mathbb{Q}$ . We denote as  $v$  for the places of  $F$  (finite or archimedean), and  $F_v$  for the corresponding completion; for finite  $v$ ,  $\mathcal{O}_v \subset F_v$  is the ring of integers of  $F_v$  and  $\mathcal{O}_v^\times$  is the group of unities;  $q_v$  is the cardinality of the residue field. Let

$$\mathbb{A}_F = \prod_v {}'F_v$$

(restricted product) be the ring of adèles of  $F$ , and  $\mathbb{A}_F^\times = I_F$  the group of idèles. Let  $x : I_F \mapsto \prod_v |x|_v$  be the idèle norm,

$$I_F^1 = \{x \in I_F : |x| = 1\}$$

and  $I_F^+ = \{x \in I_F : |x| \geq 1\}$ .

Consider an invariant measure  $dx = \prod dx_v$  on  $\mathbb{A}_F$ , where  $dx_v$  is Haar measure on  $F_v$ . At finite places,  $dx_v$  are self-dual measures of Tate [6]; at a real place,  $dx_v$  is a Lebesgue measure; at a complex place, if we write variable  $z = x + iy$ ,  $dz = 2dx dy$ . At real place, the Fourier transform  $\hat{f}(y)$  of a function  $f$  is defined as before.

If  $z = x + iy$  is a complex variable and  $w = \xi + i\eta$ , Tate define the transform  $\hat{f}(w)$  of a function  $f(z)$  by

$$\hat{f}(w) = \int f(z) e^{-2i\pi \text{Tr}(zw)} dz$$

where  $\text{Tr}(zw) = 2\Re(zw) = 2(x\xi - y\eta)$ .

For ??? The self-dual measure  $dz$  of Tate is the normalized measure considered in the beginning of §3 for abstract Euclidean spaces.

Let  $f$  be a function in the Schwartz space of  $\mathbb{A}_F$  given by

$$f(x) = \prod_{v|\infty} f_v(x_v) \prod_{v \text{ finite}} f_v^0(x_v) \quad (4.1)$$

where  $f_v^0$  is the characteristic function of  $\mathcal{O}_v$  and, for archimedean  $v$ ,  $f_v$  is an arbitrary Schwartz function. Tate's zeta function associated to  $f$  is defined for  $\Re(s) > 1$  by

$$Z(f, s) = \int_{I_F} f(x) |x|^s d^\times x,$$

where  $d^\times x$  is the product of  $d^\times x_v = \frac{dx_v}{|x_v|}$  (multiplied by  $(1 - q_v^{-1})^{-1}$  at finite places).

Instead of considering the decomposable functions in (4.1), we will consider the functions of the form  $g_a(x)$  (§3) on  $\mathbb{R}^d$ , where  $\mathbb{R}^d$  is regarded as an inner product space by

$$\|x_\infty\|^2 = \sum_{v \text{ real}} |x_v|^2 + \sum_{v \text{ complex}} 2\|z_v\|^2$$

where  $\|z\|$  is the usual absolute value of a complex number (We denote  $|z| = \|z\|^2$  the normalized absolute norm as in Tate's theory). More generally,

$$f(x) = f_\infty(x_\infty) \prod_{v \text{ finite}} f_v^0(x_v) \quad (4.2)$$

where  $f_\infty(x_\infty) \in \mathcal{S}(\mathbb{R}^d)$ . The conditions imposed by Tate (i.e.,  $(z_1), (z_2), (z_3)$  in [6, §4.4]) are satisfied by these functions. For example,  $(z_3)$  says that the integral

$$\int_{F_\infty} f_\infty(x_\infty) \prod_{v|\infty} |x_v|^{\sigma-1} dx$$

### Arithmetic arguments

where  $F_\infty = \prod_{v|\infty} F_v$ , converges absolutely for  $\sigma > 1$ . In fact, it holds for  $\sigma > 0$  and all  $f_\infty \in \mathcal{S}(F_\infty)$ . Hence the same condition holds for  $\widehat{f}$ .

In the case where  $f_\infty = \prod f_v^0$  with

$$\begin{aligned} f_v^0(x) &= e^{-\pi x^2} \quad (\text{real variable}) \\ f_v^0(x) &= e^{-2\pi \|z\|^2} \quad (\text{complex variable}), \end{aligned}$$

$Z(f, s)$  is the zeta function  $\zeta_F(s)$ , multiplied by the usual archimedean factors (product of  $\Gamma$  functions) and  $|D_F^{-1/2}|$ . Following Tate [6], we write

$$Z(f, s) = \int_{I_F^+} f(x) |x|^s d^\times x + \int_{I_F^+} \widehat{f}(x) |x|^{1-s} d^\times x + \kappa \frac{\widehat{f}(0)}{s-1} - \kappa \frac{f(0)}{s} \quad (4.3)$$

following the usual notations [6, Théorème 4.3.2]

$$\kappa = \frac{2^{r_1} (2\pi)^{r_2} h R}{\sqrt{|D_F|} w}$$

is the residue of  $\zeta_F(s)$  at  $s = 1$ . In particular,  $D_F$  is the absolute discriminant of  $F$ , and  $d = r_1 + 2r_2$ , where  $r_1$  is the number of real places and  $r_2$  is the number of complex places. Then the two integrals in (4.3) converges absolutely for all  $s \in \mathbb{C}$ .

**Lemma 4.1.** Let  $s$  be a zero of  $\zeta_F(s)$  with  $\Re(s) > 0$ . Then  $Z(f, s)$  vanishes for all  $f_\infty \in \mathcal{S}(F_\infty)$ .

In fact one can write  $Z(f, s)$  for  $\Re(s) > 1$  as

$$Z(f, s) = |D_F|^{-1/2} Z(f_\infty, s) \zeta_F(s).$$

Since  $Z(f, s)$ ,  $\zeta_F(s)$ , and  $Z(f_\infty, s)$  are holomorphic for  $s \neq 1$  and  $\Re(s) > 0$ , the Lemma follows.

For every finite place  $v$ ,  $\widehat{f}_v^0$  is equal to  $|\mathfrak{d}_v|^{-1/2} \mathbb{1}_{\mathfrak{d}_v^{-1}}$ . Here  $\mathfrak{d}_v \subset F_v$  is the different,  $\mathfrak{d}_v^{-1}$  is inverse,  $\mathbb{1}_{\mathfrak{d}_v^{-1}}$  is the characteristic function, and  $|\mathfrak{d}_v|$  is the ideal norm (positive power of  $q_v$ ). Recall that

$$\prod_{v \text{ finite}} |\mathfrak{d}_v| = |D_F|.$$

Consider the first integral of (4.3):

$$\int_{I_F^+} f(x) |x|^s d^\times x. \quad (4.4)$$

### Arithmetic arguments

If  $f(x) \neq 0$  for  $x = (x_\infty, x_f)$ , the decomposition  $f_f = \prod_{v \text{ finite}} f_v$  shows  $|x_f| \leq 1$ ; since  $|x_\infty x_f| \geq 1$ ,

$$|x_\infty| = \prod_{v|\infty} |x_v| \geq 1. \quad (4.5)$$

For the second integral, we have  $|x_v| \leq |\mathfrak{d}_v|$  if  $x_v \in \mathfrak{d}_v^{-1}$ , so  $|x_f| \leq \prod_v |\mathfrak{d}_v| = |D_F|$  and

$$|x_\infty| \geq |D_F|^{-1}. \quad (4.6)$$

**Lemma 4.2.** Suppose that there exists a Fourier pair  $(f, \widehat{f})$  on  $F_\infty = \mathbb{R}^d$  such that  $f(x_\infty) \geq 0$  if  $|x_\infty| \geq 1$ ,  $f$  is strictly positive on the neighborhood of 1 in the set  $|x_\infty| \geq 1$ ,  $\widehat{f}(y_\infty) \geq 0$  if  $|y_\infty| \geq D_F^{-1}$  and  $f(0) = \widehat{f}(0) = 0$ . Then  $\zeta_F(s) \neq 0$  for all  $s$  in the interval  $(0, 1)$ .

(4.3)

So  $Z(f, s) > 0$  and  $\zeta_F(s) \neq 0$  by Lemma 4.1.

Let  $x = (x_v) \in F_\infty$ . The Euclidean norm compatible with Fourier and Tate's transform is

$$\|x\|^2 = \sum_{v \text{ real}} |x_v|^2 + 2 \sum_{v \text{ complex}} \|x_v\|^2.$$

Since

$$|x|^2 = \prod_{v \text{ real}} |x_v|^2 \prod_{v \text{ complex}} \|x_v\|^4,$$

arithmetic-geometric mean inequality gives

$$|x|^{2/d} \leq \frac{1}{d} \|x\|^2$$

For  $r = \|x\|$ ,  $\rho = \|y\|$  ( $y \in F_\infty$ ) we see that

$$\begin{aligned} |x| \geq 1 &\Rightarrow r \geq \sqrt{d} \\ |y| \geq |D_F|^{-1} &\Rightarrow \rho \geq |D_F|^{-1/d} \sqrt{d} \end{aligned}$$

**Proposition 4.3.** Suppose that there exists a number field of degree  $d$  and discriminant  $D$  such that  $\zeta_F$  has a zero in  $(0, 1)$ . Then

$$\mathcal{B}_d \geq d|D|^{-1/d}.$$

Conversely,  $\zeta_F$  has no zero if

$$d|D|^{-1/d} > \mathcal{B}_d.$$

### Arithmetic arguments

The proof is clear. Suppose  $d|D|^{-1/d} > \mathcal{B}_d$ . As in §3, we can find radial  $f$  and  $\widehat{f}$  that are nonnegative for  $r \geq \sqrt{d}$  and  $\rho \geq |D|^{-1/d}\sqrt{d}$ . We can assume that  $f$  is strictly positive for  $x$  with  $\sqrt{d} \leq \|x\| \leq \sqrt{d} + \varepsilon$ . Then the assumptions for Lemma 4.2 are satisfied since  $\|1\| = \sqrt{d}$ .

It is difficult to find a field  $F$  satisfying the hypothesis of Proposition 4.3. However,  $\zeta_F(s)$  decomposes in terms of Artin  $L$ -functions of Galois extensions  $E$  over  $F$ , which is proven to have zero by Armitage (which is  $s = 1/2$ , does not conflict with Riemann's hypothesis). More precisely, Armitage considered an explicit extension  $F$  over  $E = \mathbb{Q}(\sqrt{3(1+i)})$  of degree 12 constructed by Serre [5], which is of degree 48 over  $\mathbb{Q}$  and satisfies  $\zeta_F(\frac{1}{2}) = 0$  [1, §4].

As a consequence, we have a weaker version of Theorem 3.1 from number theory.

**Proposition 4.4.** For  $d$  multiple of 48,  $\mathcal{B}_d$  is strictly positive.

For  $d = 48$ , this follows from the existence of  $F$ . Assume that  $d = 48c$ . There exists a cyclotomic extension  $L$  over  $\mathbb{Q}$  linearly disjoint with  $F$ . Then  $LF$  has degree  $d$  over  $\mathbb{Q}$ , and  $\zeta_F$  divides  $\zeta_{LF}$  since  $LF/F$  is abelian, and  $\zeta_{LF}$  factors as a product of Dirichlet  $L$ -functions over  $F$ . The result follows.

You may wonder if Proposition 4.4 provides any restriction on the discriminant of a number field where  $\zeta_F$  has a real zero. In this case, we have

$$|D|^{1/d} \geq \frac{d}{\mathcal{B}_d}. \quad (4.7)$$

By Theorem 3.1,

$$\frac{d}{\mathcal{B}_d} < 2\pi e = 17.079 \dots$$

Odlyzko [3] proved a general unconditional bound

$$|D|^{1/d} \geq 22.2(1 + o(d))$$

for  $d \rightarrow \infty$ . As result we get (4.7), at least for large enough  $d$ .

Hence Proposition 4.4 does not give any interesting improvement of the lower bound of  $\mathcal{B}_d$ . However, it is striking to note that, at least for some degrees, number theory provides **linear improvement** of Theorem 3.1. Let  $p$  be a prime number. By theorems of Golod-Shafarevič and Brumer, there exists a tower of number fields

$$E_p^1 \subset E_p^2 \subset \dots \subset E_p^n \subset \dots$$



where  $E_p^1$ , that has degree  $p(p-1)$  over  $\mathbb{Q}$ , is a degree  $p$  extension of  $\mathbb{Q}(\zeta_p)$ , and  $E_p^{n+1}/E_p^n$  is unramified are unramified extensions of degree  $p$ . See [4, Cor 7]; we adjoint  $\zeta_p$  by two successive abelian extensions of  $\mathbb{Q}$  to obtain  $E_p^1$ .

Consider the series of extensions  $F_i = FE_p^i$  of  $F$ , where  $F_{i+1}/F_i$  is abelian with **degree 1 at  $p$** . Observing the relative ramification degree, a classical formula for absolute discriminants gives

$$D_{F_m} = D_{F_0}^{p^m} =: D^{p^m}. \quad (4.8)$$

The successive extensions of  $F$  are abelian, so  $\zeta_F$  divides  $\zeta_{F_m}$  for all  $m$ . Then Proposition 4.3 shows that for  $d = d_0 p^m$ ,  $d_0 = [F_0 : \mathbb{Q}]$ :

$$\mathcal{B}_d \geq C d, \quad C = |D|^{-1/d_0}. \quad (4.9)$$

For such degree, (3.10) and (4.9) shows that the growth of  $\mathcal{B}_d$  - so is  $B_d \geq \frac{1}{2} \mathcal{B}_d$ , is linear in  $d$ . If  $p$  does not divide  $D_F$ ,  $F$  and  $\mathbb{Q}(\zeta_p)$  are linearly disjoint and we can choose  $E_p^1$  to be linearly disjoint with  $F$ . Then  $F_0 = FE_p^1$  and the inequality (4.8) is valid for  $d = 48(p-1)p^n$ ,  $n \geq 1$ . Of course, the  $(p-1)$  term is not necessary if one use Artin' conjecture or Dedekind's divisibility conjecture. (Dedekind's conjecture claims that  $\zeta_F(s)$  is divisible by  $\zeta_E(s)$  for all extensions  $E/F$ . Then you can choose  $E_p^1$ , perhaps non-Galois, to be degree  $p$  over  $\mathbb{Q}$ . Then the Artin's conjecture on the holomorphicity of non-abelian  $L$ -functions implies Dedekind's conjecture.)

## References

- [1] ARMITAGE, J. V. Zeta functions with a zero at  $s = 1/2$ . *Inventiones mathematicae* 15 (1971), 199–205.
- [2] LANDAU, E. Über die klassenzahl imaginär-quadratischer zahlkörper. *Göttinger Nachrichten* (1918), 285–295.
- [3] ODLYZKO, A. M. Lower bounds for discriminants of number fields. ii. *Tohoku Mathematical Journal, Second Series* 29, 2 (1977), 209–216.
- [4] ROQUETTE, P. On class fields towers. In *Algebraic Number Theory: Proceedings of an Instructional Conference* (1967), Academic Press, p. 231.
- [5] SERRE, J.-P. Conducteurs d'artin des caractères réels. *Inventiones mathematicae* 14 (1971), 173–183.

## REFERENCES

## REFERENCES

- [6] TATE, J. Fourier analysis in number fields an hecke's zeta-functions. *Algebraic Number Theory (Cassels and Froelich) London (1967)*, 305–347.