

Math 571 Chapter 6 The Bombieri-Vinogradov Theorem

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- and define

$$\psi(x; q, a) = \sum_{\substack{n \leq x \\ n \equiv a \pmod{q}}} \Lambda(n)$$

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which counts the prime powers $p^k \leq x$ with $p^k \equiv a \pmod{p}$ with weight $\log p$.

- The higher powers of primes contribute a relatively small amount, and

$$\vartheta(x; q, a) = \psi(x; q, a) + O(x^{\frac{1}{2}})$$

$$\text{where } \vartheta(x; q, a) = \sum_{\substack{p \leq x \\ p \equiv a \pmod{q}}} \log p.$$

- All the main theorems stated here can be restated with $\psi(x; q; a)$ replaced by $\vartheta(x; q, a)$ or

$$\pi(x; q; a) = \sum_{\substack{p \leq x \\ p \equiv a \pmod{q}}} 1.$$

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- Note that

$$\pi(x; q, a) = \frac{\vartheta(x; q, a)}{\log x} + \int_2^x \frac{\vartheta(u; q, a)}{u \log^2 u} du$$

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- The main reason for preferring Λ is that it arises naturally as the coefficient in the Dirichlet series expansion of the logarithmic derivative of

$$\zeta(s) = \sum_{n=1}^{\infty} \frac{1}{n^s},$$

viz.

$$-\frac{\zeta'}{\zeta}(s) = \sum_{n=1}^{\infty} \frac{\Lambda(n)}{n^s}$$

when $\Re s > 1$.

- The best general estimate we have for an individual pair q, a , which is uniform in q , is the

Theorem 1

Siegel [1935]–Walfisz [1936] Theorem Suppose that $A > 0$ is a fixed real number. When $(a, q) = 1$ and $q \leq (\log x)^A$ we have

$$\psi(x; q, a) = \frac{x}{\phi(q)} + O_A \left(x \exp \left(- c_1 \sqrt{\log x} \right) \right)$$

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where c_1 is an absolute positive constant.

- It is possible to extend the range for q , but weaken the error term, and be forced to include extra terms from zeros close to 1 which could almost cancel the main term, but the above is the most convenient balanced result we have.

- Let χ denote a Dirichlet character modulo q and put

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- Then, by orthogonality

$$\psi(x; q, a) = \frac{1}{\phi(q)} \sum_{\chi \pmod{q}} \bar{\chi}(a) \psi(x; \chi), \quad (1)$$

and clearly

$$\psi(x; \chi) = \sum_{a=1}^q \chi(a) \psi(x; q, a).$$

- The proof of the above is established by applying the following.

Theorem 2

Siegel–Walfisz Theorem variant Suppose that $A > 0$ is a fixed real number. When $q \leq (\log x)^A$ and χ is a Dirichlet character modulo q we have

$$\psi(x; \chi) - \delta(\chi)x \ll_A x \exp(-c_1 \sqrt{\log x})$$

where c_1 is an absolute positive constant and $\delta(\chi)$ is 1 or 0 according as χ is principal or non-principal.

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- Good references for these two results are Davenport [2000] or Estermann [1952] or Montgomery and Vaughan [2006].

- When $\Re s > 1$ we define

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- This has an analytic continuation to $\mathbb{C}$, and is entire except when χ is principal, in which case it is analytic except at 1 where it has a simple pole with residue

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- Indeed,

$$L(s, \chi_0) = \zeta(s) \prod_{p|q} \left(1 - \frac{1}{p^s}\right).$$

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- We can compare this with

Theorem 3

Bombieri [1965] For any fixed positive number A ,

$$\sum_{q \leq Q} \max_{(a, q)=1} \sup_{y \leq x} \left| \psi(y; q, a) - \frac{y}{\phi(q)} \right| \\ \ll_A x(\log x)^{-A} + x^{1/2} Q(\log x Q)^4.$$

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- Also, apart from the log power there is no known way in general of improving the crucial term $x^{1/2}Q(\log xQ)^4$ even if one assumes GRH.
- Something can be done if one fixes a for all q , replaces y by x or does not take absolute values, but such results are of limited applicability.

- The crude estimate $(x/q + 1) \log x$ for each term gives

$$x(\log xQ)^2 + Q \log x$$

which is better than the theorem when $Q > x^{\frac{1}{2}}$, so we can suppose

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- All the proofs of the above start off the same way.
- One observes that, by (1),

$$\left| \psi(y; q, a) - \frac{y}{\phi(q)} \right| \leq \frac{1}{\phi(q)} \sum_{\chi \pmod{q}} |\psi(y; \chi) - \delta(\chi)y|$$

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- and so it suffices to bound

$$\sum_{q \leq Q} \frac{1}{\phi(q)} \sum_{\chi \pmod{q}} \sup_{y \leq x} |\psi(y; \chi) - \delta(\chi)y| \quad (2)$$

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- This already throws away some cancellation in the summation over χ . Almost certainly any improvements will have to make some use of it.

- When χ is induced by the primitive character χ^* , so that the conductor q^* divides q we have

$$\psi(y; \chi) = \psi(y; \chi^*) + O \left(\sum_{p|q, p \nmid q^*} (\log p) \sum_{k \leq (\log y) / \log p} 1 \right).$$

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- The error term here is $\ll (\log q) \log y$ and so (2) is

$$= \sum_{q \leq Q} \frac{1}{\phi(q)} \sum_{q^*|q} \sum_{\chi^* \pmod{q^*}}^* \sup_{y \leq x} |\psi(y; \chi^*) - \delta(\chi^*)y| + O(Q(\log Q)(\log x))$$

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- The error term here is more than acceptable, and on interchanging the order of summation and replacing q by q^*r , the main term becomes

$$\sum_{q^* \leq Q} \sum_{r \leq Q/q^*} \frac{1}{\phi(q^*r)} \sum_{\chi \pmod{q^*r}}^* \sup_{y \leq x} |\psi(y; \chi) - \delta(\chi)y|. \quad (3)$$

- Now

$$\frac{1}{\phi(q^*r)} \leq \frac{1}{\phi(q^*)\phi(r)}$$

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- Then the sum is $\sum_{r \leq Q} \mu(r)^2 r^{-2} \sum_{m \leq Q/r} \frac{1}{m}$.
- Hence, on replacing q^* by q (9) is

$$\ll \sum_{q \leq Q} \frac{\log 2Q}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi) - \delta(\chi)y|.$$

Let $R = (\log x)^{6+A}$.

- Then, by the variant Siegel–Walfisz theorem we have

$$\sum_{q \leq R} \frac{\log 2Q}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi) - \delta(\chi)y| \\ \ll_A (\log x) R x \exp(-c_2 \sqrt{\log x})$$

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- If $y \leq \sqrt{x}$, then we get the conclusion at once.
- If $\sqrt{x} \leq y \leq x$, then the conditions of the Siegel–Walfisz theorem are satisfied, possibly with a slightly large value of A .
- Hence

$$\sum_{q \leq R} \frac{\log 2Q}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi) - \delta(\chi)y| \\ \ll_A x (\log x)^{-A},$$

which is acceptable.

- Everything so far is classical and could have been done in 1935.

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- By definition $\delta(\chi) = 0$ for primitive characters with conductor $q > 1$. Thus it remains (!) to deal with the sum

$$(\log 2Q) \sum_{R < q \leq Q} \frac{1}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi)|.$$

- The essential extra ingredient is the following

Theorem 4 (Basic Mean Value Theorem)

Let

$$T(x, Q) = \sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi)|$$

where $\sum^*$ indicates that the sum is over primitive characters modulo q , and suppose that $Q \geq 1$, $x \geq 2$. Then

$$T(x, Q) \ll \left(x + x^{5/6} Q + x^{1/2} Q^2 \right) (\log xQ)^3.$$

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- We remark in passing that by working harder it is possible to replace the middle term by $x^{4/5} Q$.
- The desired conclusion now follows from the above by partial summation.

- To see this, let

$$f(q) = \frac{1}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi)|.$$

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- Then the sum in question is $(\log 2Q) \sum_{R < q \leq Q} f(q) =$

$$\begin{aligned} & (\log 2Q) \sum_{R < q \leq Q} f(q) q \left(\frac{1}{Q} + \int_q^Q \frac{dt}{t^2} \right) = \\ & \frac{\log 2Q}{Q} \sum_{R < q \leq Q} q f(q) + (\log 2Q) \int_R^Q \sum_{R < q \leq t} q f(q) \frac{dt}{t^2} \\ & \leq (\log 2Q) Q^{-1} T(x, Q) + \int_R^Q t^{-2} T(x, t) dt. \end{aligned}$$

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- By the Basic Mean Value Theorem this is

$$\begin{aligned} & \ll Q^{-1} \left(x + x^{5/6} Q + x^{1/2} Q^2 \right) (\log x)^4 \\ & \quad + \int_R^Q t^{-2} \left(x + x^{5/6} t + x^{1/2} t^2 \right) (\log x)^4 dt \\ & \ll \left(x R^{-1} + x^{5/6} \log(2Q/R) + x^{1/2} Q \right) (\log x)^4. \end{aligned}$$

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- We recall our choice $R = (\log x)^{6+A}$ to conclude that

$$(\log 2Q) \sum_{R < r \leq Q} f(r) \ll x (\log x)^{-A} + x^{1/2} Q (\log x)^4$$

as required.

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- Thus we want to convert our sums involving $\Lambda(n)$ into double sums.
- One, possibly naive, way of doing this is *via* the formula

$$\Lambda(n) = \sum_{lm=n} \mu(l) \log m$$

so that, for example,

$$\sum_{n \leq x} \Lambda(n) f(n) = \sum_{l \leq x} \sum_{m \leq x/l} \mu(l) (\log m) f(lm)$$

and we would think of $\mu(l)$ and $\log m$ as being values of the variables in the bilinear form and $f(lm)$ as being the coefficient of the bilinear form.

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- The first person to successfully attack such a problem was I. M. Vinogradov [1937].

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- His first step is not dissimilar to that mentioned above in the case of $\Lambda(n)$, but used the sieve of Eratosthenes.
- It was while examining Vinogradov's methods that RCV[1977] found a way of dealing with

$$\sum_{n \leq x} \Lambda(n) e(n\alpha)$$

which was intrinsically more direct, and focussed towards the available information on bilinear forms.

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- Here we should think of the c_{mn} as oscillating and potentially giving some cancellation.
- Typical examples are additive or multiplicative characters.
- It is useful to divide bilinear forms into two categories.

- **Type I.** In these one of the variables is smooth, ideally always 1, such as

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- **Type II.** In these we are not lucky enough to find that one of the variables is congenial. One needs to use quite general bounds, such as those provided by the large sieve.

- To illustrate this let us look at the bound provided by Lemma 5.5. For sake of argument, let's suppose that $MN \asymp x$, and

$$\sum_m |a_m|^2 \ll M, \quad \sum_n |b_n|^2 \ll N.$$

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- Then Lemma 5.5 gives the bound

$$\begin{aligned} &\ll \sqrt{(M + Q^2)(N + Q^2)MN} \\ &\ll x + xQM^{-\frac{1}{2}} + xQN^{-\frac{1}{2}} + x^{\frac{1}{2}}Q^2 \end{aligned}$$

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- and this is a good bound (cf BMVT) provided that M and N are both large (or equivalently M is large but not too close to x).
- In effect we are saying that the rectangular coefficient matrix (c_{mn}) should not be too “thin”.

- We can “partition” Λ so as to obtain “good” bilinear type I and II forms.

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Lemma 5

Suppose $u > 0$, $v > 0$, $y \geq 2$ and $f : \mathbb{N} \rightarrow \mathbb{C}$. Then

$$\sum_{n \leq y} \Lambda(n) f(n) = S_1 - S_2 - S_3 + S_4 \text{ where}$$

$$S_1 = \sum_{m \leq u} \mu(m) \sum_{n \leq y/m} (\log n) f(mn),$$

$$S_2 = \sum_{m \leq uv} c_m \sum_{n \leq y/m} f(mn) \text{ where } c_m = \sum_{\substack{k \leq u, l \leq v \\ kl = m}} \Lambda(k) \mu(l),$$

$$S_3 = \sum_{m > u} \sum_{\substack{n > v \\ mn \leq y}} \left(\sum_{\substack{k|m \\ k > u}} \Lambda(k) \right) \mu(n) f(mn), \quad S_4 = \sum_{n \leq v} \Lambda(n) f(n).$$



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- One can see that if u and v are allowed to grow, but not too fast, then S_1 and S_2 will be good bilinear forms of type I and S_3 will be a good bilinear form of type II.
- Presumably the number of terms in S_4 will be relatively small so it can be bounded trivially.

- **Proof** Consider the identity

$$-\frac{\zeta'}{\zeta}(s) = (-\zeta'(s))G(s)$$

$$-F(s)G(s)\zeta(s)$$

$$-(-\zeta'(s) - F(s)\zeta(s))\left(G(s) - \frac{1}{\zeta(s)}\right) + F(s)$$

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$$\Lambda(n) = \Lambda_1(n) - \Lambda_2(n) - \Lambda_3(n) + \Lambda_4(n).$$

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$$\Lambda(n) = \Lambda_1(n) - \Lambda_2(n) - \Lambda_3(n) + \Lambda_4(n).$$

- Multiply by $f(n)$ and sum over n . By inspection of each of the Dirichlet series $D_j(s)$ we can see that each S_j satisfies $S_j = \sum_n \Lambda_j(n)f(n)$. $\square$

- We now return to the proof of the theorem, that is, we bound

$$T(x, Q) = \sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi \pmod{q}}^* \sup_{y \leq x} |\psi(y; \chi)|$$

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- If $Q^2 > x$, then using Lemma 5.6 directly with $M = 1$, $a_1 = 1$, $N = \lfloor x \rfloor$, $b_n = \Lambda(n)$ gives the bound

$$\ll \left(Q^2(x + Q^2) \sum_{n \leq x} \Lambda(n)^2 \log x \right)^{\frac{1}{2}} \ll x^{\frac{1}{2}} Q^2 \log Qx.$$

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- Thus we can suppose that $Q^2 \leq x$.

- Let $u = v = \min(Q^2, x^{1/3}, xQ^{-2})$

The Main
Theorem

Dealing with
the von
Mangoldt
function

Proof of the
Basic Mean
Value
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- Let $u = v = \min(Q^2, x^{1/3}, xQ^{-2})$
- Then again by Lemma 5.6, when the sup is restricted to $y \leq u^2$, we get

$$\sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi}^* \sup_{y \leq u^2} |\psi(y; \chi)|$$

$$\ll \left(Q^2(u^2 + Q^2) \sum_{n \leq u^2} \Lambda(n)^2 \log x \right)^{\frac{1}{2}}$$

$$\sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi}^* \sup_{y \leq u^2} |\psi(y; \chi)| \ll (Qx^{2/3} + Q^2x^{1/3}) \log x$$

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- In view of Lemma 5 with $f(n) = \chi(n)$ when $n \leq y$ and $f(n) = 0$ otherwise it then suffices to bound

$$T_j = \sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi}^* \sup_{u^2 \leq y \leq x} |S_j(\chi)|$$

for $j = 1, 2, 3, 4$.

- The case $j = 4$ is easy since

$$S_4(\chi) = \sum_{n \leq u} \chi(n) \Lambda(n) = \psi(u; \chi)$$

and $u \leq u^2$, and so we can appeal to (4).

- The expression T_1 is also fairly easy, since $\log$ is smooth and

$$\begin{aligned} S_1(\chi) &= \sum_{m \leq u} \mu(m) \chi(m) \sum_{n \leq y/m} \chi(n) \int_1^n \frac{dt}{t} \\ &= \int_1^y \sum_{m \leq \min(u, y/t)} \mu(m) \chi(m) \sum_{t < n \leq y/m} \chi(n) \frac{dt}{t} \end{aligned}$$

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- This together with the trivial bound $x(\log x)^2$ for the term $q = 1$ gives

$$T_1 \ll (x + uQ^{5/2})(\log xQ)^2.$$

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- Then $S_3(\chi) \ll \sum_{M \in \mathcal{M}} |S_3(\chi; M)|$ where

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- Note that here the upper limit x/M is never smaller than y/m and will only come into play after we have used Lemma 5.6 to remove the condition $mn \leq y$.

- It follows now that $T_3 \leq \sum_{M \in \mathcal{M}} T_3(M)$ where

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- Since $\sum_{m \leq z} (\log m)^2 \ll z(\log 2z)^2$, $\sum_{n \leq z} \mu(n)^2 \ll z$ we have

$$T_3(M) \ll (\log x)^2 \left(x + \frac{x}{M^{1/2}} Q + x^{\frac{1}{2}} M^{\frac{1}{2}} Q + x^{\frac{1}{2}} Q^2 \right).$$

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$$T_3 \ll (\log x)^3 \left(x + xu^{-1/2} Q + x^{1/2} Q^2 \right).$$

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$$T_3 \ll (\log x)^3 \left(x + xu^{-1/2} Q + x^{1/2} Q^2 \right).$$

- Recall that $u = Q^2$, $u = x^{1/3}$, $u = xQ^{-2}$ according as $Q \leq x^{1/6}$, $x^{1/6} < Q \leq x^{1/3}$ and $Q > x^{1/3}$.
- When $Q \leq x^{1/6}$, we have $xu^{-1/2} Q = x$.

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- Finally T_2 is treated by a hybrid method.

The Main
Theorem

Dealing with
the von
Mangoldt
function

Proof of the
Basic Mean
Value
Theorem

- Finally T_2 is treated by a hybrid method.
- We have
$$S_2(\chi) = \sum_{m \leq u^2} \sum_{n \leq y/m} c_m \chi(mn)$$

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- We have $S_2(\chi) = \sum_{m \leq u^2} \sum_{n \leq y/m} c_m \chi(mn)$
- We now split this into two parts, so that

$$S_2(\chi) = S'_2(\chi) + S''_2(\chi)$$

where $S'_2(\chi)$ is over $m \leq u$ and $S''_2(\chi)$ the remainder.

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- The sum $T'_2 = \sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi}^* \sup_{u^2 \leq y \leq x} |S'_2(\chi)|$ is then treated *via* the Pólya-Vinogradov inequality similarly to T_1

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- and $T''_2 = \sum_{q \leq Q} \frac{q}{\phi(q)} \sum_{\chi}^* \sup_{u^2 \leq y \leq x} |S''_2(\chi)|$ is treated like T_3 .
- Note that $|c_m| = \left| \sum_{\substack{k \leq u, l \leq u \\ kl=m}} \mu(k) \Lambda(l) \right| \leq \sum_{l|m} \Lambda(l) = \log m$
and completes the proof of Bombieri's theorem.



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