

On the zeros of $\zeta'(s) - a$

by

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1. Introduction and notation. As usual we write $s = \sigma + it$. The main object of this paper is to prove the following

THEOREM 1. *Let a be any complex constant and μ any real constant satisfying $0 < \mu < 1$. Then there exists a constant $\delta = \delta(a, \mu)$ (> 0) depending only on a and μ such that the number of distinct zeros of $\zeta'(s) - a$ in $(\sigma \geq 1/2 + \delta, T \leq t \leq T + T^\mu)$ exceeds a positive constant multiple of T^μ . (Hereafter we write $\gg T^\mu$ to mean this.)*

Remark. The history of the theorem on the zeros of $\zeta'(s) - a$ is connected with the names B. C. Berndt [6] (see p. 287 of [8]) and N. Levinson and H. L. Montgomery [7] (see pp. 287–289 of [8]). See also Theorem 11.5(C) on p. 298 of [8] for the earlier history. But our Theorem 1 deals with the distribution of the zeros of $\zeta'(s) - a$ in “short t -slabs” in the “right half of the critical strip” (i.e. the region $\sigma \geq 1/2 + \delta$), as compared with earlier results. Another point about our proof of Theorem 1 is its novelty and its generality.

We will be concerned with proving a similar theorem for more general functions $G(s)$ defined for large σ by a convergent series $1 - \sum_{n=2}^{\infty} b_n \mu_n^{-s}$ where μ_2, μ_3, \dots are real numbers and b_2, b_3, \dots are complex numbers restricted by the following conditions:

(i) Put $\mu_1 = 1$. Then for $n = 1, 2, 3, \dots$, $C_1^{-1} \leq \mu_{n+1} - \mu_n \leq C_1$ where C_1 (≥ 1) is any fixed constant,

(ii) $G(s)$ can be continued analytically in $(\sigma \geq 1/2, T \leq t \leq T + T^\mu)$ and there the maximum of $|G(s)|$ is $\leq T^{C_2}$ where C_2 (> 0) is any fixed constant, and

(iii) $|b_n| < n^{C_3}$ where C_3 (> 0) is any constant.

Theorem 1 is a special case of

THEOREM 2. *Let $\mu_n = (n_0 + n - 1)n_0^{-1}$ where n_0 is any integer constant ≥ 1 . Let $\sum_{n=2}^{\infty} |b_n|^2 n^{-1-\varepsilon}$ be convergent for every $\varepsilon > 0$ and $\rightarrow \infty$ as $\varepsilon \rightarrow 0$.*

Let further

$$\liminf_{\varepsilon \rightarrow 0} \min_{q \geq 2} \left\{ q^2 \left(\sum_{n=2}^{\infty} |b_n|^2 n^{-1-\varepsilon} \right)^{1/q} \left(\sum' |b_n|^2 n^{-1-\varepsilon} \right)^{-1} \right\} = 0$$

where the accent denotes the sum over all integers $\geq n_0 + 1$ for which $n_0 + n - 1$ is prime. Then $G(s)$ has $\gg T^\mu$ distinct zeros in $(\sigma \geq 1/2 + \delta, T \leq t \leq T + T^\mu)$ for every fixed μ with $0 < \mu < 1$ and a suitable constant $\delta (> 0)$ depending only on μ, C_1, C_2 and C_3 .

Remark 1. Theorem 1 follows from the observations $\zeta'(s) = -2^{-s}(\log 2)G(s)$ for a suitable $G(s)$ and if $a \neq 0, \zeta'(s) - a = -aG(s)$ for a suitable $G(s)$.

Remark 2. Obviously we can deduce similar theorems for higher derivatives of $\zeta(s)$. We can also get similar theorems for the derivatives of ζ and L -functions and for ζ -functions of ray classes in any algebraic number field. However, we have neater theorems for $\zeta(s) - a$ ($a \neq 0$) and certain more general functions (compared with $\zeta(s) - a$ ($a \neq 0$)). But these need a different treatment and are dealt with in [5].

For general μ_n we need a conjecture (see Section 2) which is true for example for $\mu_n = n + \sqrt{2}$. It is also true for more general situations. Thus we can state

THEOREM 3. Let b_2, b_3, \dots be non-negative real numbers and $\mu_n = n + \sqrt{2}$ ($n \geq 2$). Then subject to the only conditions that $\sum_{n=2}^{\infty} |b_n|^2 n^{-1-\varepsilon}$ shall be convergent for every $\varepsilon > 0$ and that it shall tend to infinity as $\varepsilon \rightarrow 0, G(s)$ has $\gg T^\mu$ distinct zeros in $(\sigma \geq 1/2 + \delta, T \leq t \leq T + T^\mu)$ for every constant μ ($0 < \mu < 1$) and a suitable positive constant δ depending only on μ, C_1, C_2 and C_3 .

Remark 1. This theorem is true for all those sequences μ_n for which the conjecture in Section 2 is true.

Remark 2. This theorem includes functions like

$$1 - \sum_{n=1}^{\infty} d(n)(n + \sqrt{2})^{-s}, \quad 1 - \sum_r (N(r) + \sqrt{2})^{-s}$$

where r runs over all ideals in a ray class of an algebraic number field and so on.

As a closing remark in this section we mention that our method enables us to prove something stronger. For example in Theorems 1 and 3 we can prove that the number of zeros counted with multiplicity is either $\gg T^\mu \log T$ or there exist $\gg T^\mu$ distinct zeros of odd orders. For this we have to replace Lemma 1 of Section 3 by our Theorem 3 of [1].

2. Some preliminaries. In this section we collect together some results of our earlier papers and state a Local Convexity Theorem [3], a lower bound for the mean-value of Titchmarsh series [4] and two simple lemmas from [2]. We number these results with an asterisk thus: Theorems 1*, 2*, 3* and 4* and Lemmas 1* and 2*. Also we state a conjecture.

(LOCAL CONVEXITY) THEOREM 1*. *Suppose $f(s)$ is an analytic function of $s = \sigma + it$ defined in the rectangle*

$$R : \{a \leq \sigma \leq b, t_0 - H \leq t \leq t_0 + H\}$$

where a and b are constants with $a < b$. Let the maximum of $|f(s)|$ taken over R be $\leq M$. Let $a \leq \sigma_0 < \sigma_1 < \sigma_2 \leq b$ and let A be any large positive constant. Let r be any positive integer, $0 < D < H$ and $s_1 = \sigma_1 + it_0$. Then

$$|2\pi f(s_1)| \leq 2\{I_0^{\sigma_2 - \sigma_1} (I_2 + M^{-A})^{\sigma_1 - \sigma_0}\}^{(\sigma_2 - \sigma_0)^{-1}} E_0^r \\ + 2M^{A+2}(\sigma_2 - \sigma_0) \left(2 \left(1 + \left(\log \left(\frac{D}{\sigma_1 - \sigma_0} \right) \right)^* \right) \right)^{(\sigma_2 - \sigma_1)(\sigma_2 - \sigma_0)^{-1}} \left(\frac{2E_0}{D} \right)^r,$$

where

$$E_0 = \exp \left(\frac{(\sigma_2 - \sigma_1)(\sigma_1 - \sigma_0)}{\sigma_2 - \sigma_0} \right), \\ I_0 = \int_{|v| \leq D} \left| f(\sigma_0 + it_0 + iv) \frac{dv}{\sigma_0 - \sigma_1 + iv} \right|, \\ I_2 = \int_{|v| \leq D} \left| f(\sigma_2 + it_0 + iv) \frac{dv}{\sigma_2 - \sigma_1 + iv} \right|,$$

and we have written $x^* = \max(0, x)$ for any real number x .

REMARK. We have borrowed the result with $C = 1$ from our paper [3].

In the rest of this section we state a conjecture which gives a lower bound for the mean-value of Titchmarsh series. We then collect some special results where the conjecture is proved. We borrow Sections 2 and 3 of [2]. We believe that the following conjecture is true (at least in a modified form). We stipulate that certain constants shall be integers only for a technical reason which is not serious.

CONJECTURE. *Let $1 = \mu_1 < \mu_2 < \dots$ be any sequence of real numbers with $C^{-1} \leq \mu_{n+1} - \mu_n \leq C$, where $C (\geq 1)$ is an integer constant and $n = 1, 2, 3, \dots$. Let us form the sequence $1 = \lambda_1 < \lambda_2 < \dots$ of all possible distinct finite power products of $1 = \mu_1 < \mu_2 < \dots$ with non-negative integral exponents. Let $s = \sigma + it$, $H (\geq 10)$ a real parameter and $\{a_n\}$ ($n = 1, 2, 3, \dots$) with $a_1 = 1$ be any sequence of complex numbers (possibly depending on H) such that $F(s) = \sum_{n=1}^{\infty} a_n \lambda_n^{-s}$ is absolutely convergent*

at $s = B$ where $B (\geq 3)$ is an integer constant. Suppose $F(s)$ can be continued analytically in $(\sigma \geq 0, 0 \leq t \leq H)$ and that there exist T_1, T_2 , with $0 \leq T_1 \leq H^{3/4}, H - H^{3/4} \leq T_2 \leq H$, such that for some $K (\geq 30)$

$$\max_{\sigma \geq 0} (|F(\sigma + iT_1)| + |F(\sigma + iT_2)|) \leq K.$$

Finally, let $\sum_{n=1}^{\infty} |a_n| \lambda_n^{-B} \leq H^A$ where $A (\geq 1)$ is an integer constant. Then there exists a $\delta_1 (> 0)$ (depending only on A, B, C) such that for all $H \geq H_0(A, B, C)$

$$\frac{1}{H} \int_0^H |F(it)|^2 dt \geq \frac{1}{2} \sum_{\lambda_n \leq H^{\delta_1}} |a_n|^2$$

provided $H^{-1} \log \log K$ does not exceed a small positive constant.

Remark 1. We have used the symbol δ_1 (in place of δ) so that it should not clash with the δ already introduced. Also we conjecture that $1/2$ can be replaced by a quantity ~ 1 provided $H^{-1} \log \log K \rightarrow 0$ as $H \rightarrow \infty$. Whenever we have succeeded in proving this conjecture we have proved it in this stronger form.

Remark 2. We need this conjecture only for a_n defined (for large σ) by

$$F(s) = (G(1/2 + \delta + s))^{1/q} = \sum_{n=1}^{\infty} a_n \lambda_n^{-s}$$

and for any fixed $\delta > 0$ and a suitable rectangle $(\sigma \geq 0, T \leq t \leq T + H)$ where $G(1/2 + \delta + s)$ has no zeros. We choose q to be any integer (≥ 2) .

We now quote the corollaries to the main theorem of [4].

THEOREM 2*. Let $\mu_n = n$. Then the conjecture is true.

THEOREM 3*. Let $n_0 (\geq 2)$ be any integer constant and

$$\mu_n = (n_0 + n - 1)n_0^{-1}.$$

Then the conjecture is true.

THEOREM 4*. Let $\beta (> 0)$ be any algebraic constant and

$$\mu_n = (n + \beta)(1 + \beta)^{-1}.$$

Then the conjecture is true (the conjecture is also true for the choice $\mu_1 = 1$ and $\mu_n = n + \beta - 1$ for $n > 1$).

Remark. It is possible to state a more general corollary than Theorem 4*. But we do not state it since our ambition is to prove a sufficiently general result.

We now record two important observations as Lemmas 1* and 2*.

LEMMA 1*. Let $\mu_n = (n_0 + n - 1)n_0^{-1}$ where $n_0 (\geq 1)$ is an integer constant and $G(s) = 1 - \sum_{n=2}^{\infty} b_n \mu_n^{-s}$ be absolutely convergent for some complex s . Then we have, for any integer $q (> 0)$ and all σ large enough, and any $\delta > 0$,

$$G(1/2 + \delta + s) = \sum_{n=1}^{\infty} a_n \lambda_n^{-s}$$

where the λ 's are formed as in the conjecture, $a_1 = 1$ and further whenever $n_0 + n - 1$ is prime, $|a_n| = q^{-1} |b_n| \mu_n^{-1/2-\delta}$ and so

$$\sum_{\lambda_n \leq H^{\delta_1}} |a_n|^2 \geq q^{-2} \sum'_{\mu_n \leq H^{\delta_1}} |b_n|^2 \mu_n^{-1-2\delta}$$

where the accent denotes the restriction of the sum to those n for which $n_0 + n - 1$ is prime.

Proof. See Lemma 1 of [2].

LEMMA 2*. Let $G(s) = 1 - \sum_{n=2}^{\infty} b_n \mu_n^{-s}$ where the b_n are non-negative and the sum involved converges for some complex s . Then for any integer $q (> 0)$ and for all large σ and any $\delta > 0$

$$(G(1/2 + \delta + s))^{1/q} = \sum_{n=1}^{\infty} a_n \lambda_n^{-s}$$

where the λ 's are formed as in the conjecture, $a_1 = 1$ and further for $n \geq 2$, $a_n \leq 0$ and $-a_n \geq b_n \mu_n^{-1/2-\delta} q^{-1}$ whenever $\lambda_n = \mu_n$ and so

$$\sum_{\lambda_n \leq H^{\delta_1}} |a_n|^2 \geq q^{-2} \sum_{\mu_n \leq H^{\delta_1}} b_n^2 \mu_n^{-1-2\delta}.$$

Proof. Trivial.

3. An outline of the method. Instead of giving a detailed proof of Theorems 1, 2 and 3 we give a rough sketch of the proof. We begin with

LEMMA 1. Let $t_0 \geq 100$ and let $D(s)$ be any function analytic in $(\sigma \geq 1/2 + \delta, |t - t_0| \leq C(\delta))$ where δ is any positive constant and $C(\delta)$ is a large positive constant depending on δ and D_0 to follow. In this region let the maximum of $|D(s)|$ be $\leq M (\geq 30)$ and also $D(s) \neq 0$. Suppose further that for all σ exceeding a constant D_0 we have $|\log D(s)| \leq 1/2$. Then $\log D(s) = O(\log M)$ in $(\sigma \geq 1/2 + 3\delta/2, |t - t_0| \leq C(\delta)/2)$ and $\log D(s) = O((\log M)^\theta)$, with a $\theta (< 1)$ not depending on t_0 in $(\sigma \geq 1/2 + 2\delta, |t - t_0| \leq C(\delta)/3)$. Here the O -constants depend on δ and D_0 .

Remark. For the purposes of the present paper the conclusion $\log D(s) = o(\log M)$ will do in place of $O((\log M)^\theta)$. But we have stated the lemma in this form since we will need it in a later paper [5].

Proof. The proof is essentially due to J. E. Littlewood. See pages 336–337 of [8] for a proof which can be easily generalised to give this lemma.

We introduce small positive constants $\varepsilon_1, \varepsilon_2, \varepsilon_3, \varepsilon$ and δ (all $< 1/100$) and these will be fixed in a suitable way. The only free parameters will be T and H (H will be fixed to be a large constant in the end).

LEMMA 2. Let $A(s) = \sum_{n \leq T^\nu} b_n \mu_n^{-s}$ where $b_1 = -1, \mu_1 = 1, \nu = \mu/2$ and b_n as before. Then, for $\sigma \geq 1/2 + \delta$,

$$\int_T^{T+T^\mu} |A(s)|^2 dt \leq T^\mu (1 + \varepsilon_2) \sum_{n=1}^\infty |b_n|^2 \mu_n^{-2\sigma},$$

for arbitrary $\varepsilon_2 > 0$ and all large T .

Proof. The lemma follows by standard arguments.

Divide the interval $[T, T + T^\mu]$ into N abutting t -intervals J (ignoring a bit at one end) each of length H where $N \sim T^\mu H^{-1}$. With any interval J associate the interval J_1 obtained by deleting intervals of length $H^{1/2}$ at both ends. If the maximum of $|G(s)|$ taken over the rectangle ($\sigma \geq 1/2 + 2\delta, t \in J_1$) is $\geq T^\varepsilon$, then by Lemma 1 (applied to $G(s)$ and by taking M to be a large positive constant power of T) the rectangle ($\sigma \geq 1/2 + \delta, t \in J$) must contain a zero of $G(s)$. Otherwise we are easily led to the contradiction $T^\varepsilon = O(\exp((\log T)^\theta))$. If there are $\geq \varepsilon_1 N$ ($\varepsilon_1 > 0$ a small constant) such rectangles ($\sigma \geq 1/2 + 2\delta, t \in J_1$) where $\max |G(s)| \geq T^\varepsilon$ then there is nothing to prove, since each rectangle ($\sigma \geq 1/2 + \delta, t \in J$) will contain a zero and the total number of zeros would be $\geq \varepsilon_1 N \gg T^\mu H^{-1}$. Hence we assume that the number of rectangles ($\sigma \geq 1/2 + 2\delta, t \in J_1$) where $\max |G(s)| \geq T^\varepsilon$ is $< \varepsilon_1 N$. Hence for $\geq (1 - \varepsilon_1) N$ ($\sim (1 - \varepsilon_1) T^\mu H^{-1}$) such rectangles ($\sigma \geq 1/2 + 2\delta, t \in J_1$) $\max |G(s)| < T^\varepsilon$. Denote the set of these rectangles by S . We prove that a (positive) constant proportion of these rectangles must contain a zero of $G(s)$. Denote by J_2 the t -intervals J_1 of S with intervals of length $H^{1/2}$ deleted from both ends. For $t_0 \in J_2$ we now apply convexity Theorem 1* taking $A = 1$ and M to be a large (positive) constant power of T ; $r = [\varepsilon \log T], H$ large enough, $a = 1/2 + 2\delta, b$ a large (positive) constant independent of ε and $\delta, \sigma_0 = a, \sigma_2 = b, b/2 \geq \sigma_1 \geq 1/2 + 3\delta, D = \sqrt{H}$ and $f(s) = (G(s))^2 - (A(s))^2$ where $A(s)$ is as in Lemma 2. It follows that

$$(1) \quad |2\pi f(s_1)| \leq 2\{I_0^{\sigma_2 - \sigma_1} (I_2 + T^{-3})^{\sigma_1 - \sigma_0}\}^{(\sigma_2 - \sigma_0)^{-1}} T^\varepsilon + T^{-3},$$

where

$$(2) \quad I_0 = \int_{|v| \leq \sqrt{H}} \left| f(\sigma_0 + it_0 + iv) \frac{dv}{\sigma_0 - \sigma_1 + iv} \right|$$

and

$$(3) \quad I_2 = \int_{|v| \leq \sqrt{H}} \left| f(\sigma_2 + it_0 + iv) \frac{dv}{\sigma_2 - \sigma_1 + iv} \right|.$$

Notice that for rectangles of S we have $|G(s)|^2 < T^{2\varepsilon}$. We now integrate (1) with respect to $t_0 \in J_2$. Now as t_0 varies over J_2 , $t_0 + v$ runs over at most J_1 . Thus we get from (1)

$$\begin{aligned} & \frac{2\pi}{|J_2|} \int_{t_0 \in J_2} |f(s_1)| dt_0 \\ & \leq 2 \left\{ \left(\frac{1}{|J_2|} \int_{t_0 \in J_2} I_0 dt_0 \right)^{\sigma_2 - \sigma_1} \left(\frac{1}{|J_2|} \int_{t_0 \in J_2} I_2 dt_0 + T^{-3} \right)^{\sigma_1 - \sigma_0} \right\}^{(\sigma_2 - \sigma_0)^{-1}} + T^{-3} \\ & = O \left(\left(\frac{1}{H} \int_{t_0 \in J_1} |f(\sigma_0 + it_0)| dt_0 \right)^{\sigma_2 - \sigma_1} \right. \\ & \quad \left. \times \left(\frac{1}{H} \int_{t_0 \in J_1} |f(\sigma_2 + it_0)| dt_0 + T^{-3} \right)^{\sigma_1 - \sigma_0} \right)^{(\sigma_2 - \sigma_0)^{-1}} + T^{-3}. \end{aligned}$$

Hence

$$(4) \quad \begin{aligned} & \frac{1}{H} \int_{t_0 \in J_2} |f(s_1)| dt_0 \\ & = O \left(\left(\frac{1}{H} \int_{t_0 \in J_1} |A(\sigma_0 + it_0)|^2 dt_0 + T^{2\varepsilon} \right)^{\sigma_2 - \sigma_1} \right. \\ & \quad \left. \times (T^{C_0 - \mu\sigma_2/2} + T^{-3})^{\sigma_1 - \sigma_0} \right)^{(\sigma_2 - \sigma_0)^{-1}} + O(T^{-3}). \end{aligned}$$

By Lemma 2 we have

$$\sum_{J_1} \int_{t_0 \in J_1} |A(\sigma_0 + it_0)|^2 dt_0 < T^\mu (1 + \varepsilon_2) \sum_{n=1}^{\infty} |b_n|^2 \mu_n^{-1-4\delta},$$

and so

$$\int_{t_0 \in J_1} |A(\sigma_0 + it_0)|^2 dt_0 > H(1 + \varepsilon_2)(1 + 3\varepsilon_2) \sum_{n=1}^{\infty} |b_n|^2 \mu_n^{-1-4\delta},$$

for at most $\leq (1 + 3\varepsilon_2)^{-1} T^\mu H^{-1}$ intervals J_1 . Hence for $\geq (1 - 2\varepsilon_1) T^\mu H^{-1} - (1 + 3\varepsilon_2)^{-1} T^\mu H^{-1} \gg T^\mu H^{-1}$ (provided $\varepsilon_2 = 10\varepsilon_1$) rectangles of S we have

$|G(s)|^2 < T^{2\varepsilon}$ and also $\int_{t_0 \in J_1} |A(\sigma_0 + it_0)|^2 dt_0 = O(H)$. Thus from (4) we obtain (for $\gg T^\mu H^{-1}$ out of these rectangles of S)

$$\frac{1}{H} \int_{t_0 \in J_2} |f(s_1)| dt_0 = O((T^{2\varepsilon(\sigma_2 - \sigma_1)} T^{-3(\sigma_1 - \sigma_0)} (\sigma_2 - \sigma_0)^{-1} + T^{-3}))$$

by choosing σ_2 such that $C_0 - \mu\sigma_2/2 \leq -3$. Now choose ε such that

$$2\varepsilon(\sigma_2 - \sigma_1) \leq 3(\sigma_1 - \sigma_0) - \varepsilon.$$

Then we have

$$\frac{1}{H} \int_{t_0 \in J_2} |f(s_1)| dt_0 = O(T^{-\varepsilon(\sigma_2 - \sigma_0)^{-1}}).$$

Again since $|G(s_1)|^2 \leq |f(s_1)| + |A(s_1)|^2$ we have

$$(5) \quad \frac{1}{H} \int_{t_0 \in J_2} |G(s_1)|^2 dt_0 \leq (1 + 10\varepsilon_2) \sum_{n=1}^{\infty} |b_n|^2 \mu_n^{-2\sigma_1},$$

by Lemma 2. Since the absolute value of an analytic function at a point is majorised by its mean-value taken over a disc of radius $\delta/10$ about that point as centre, we see that the maximum of $|G(s)|$ taken over the rectangle ($\sigma \geq 1/2 + 3\delta, t \in J_3$) is $\leq H^2$ (J_3 being J_2 with the intervals of length $H^{1/2}$ deleted at both ends). Hence by Theorems 2*, 3* and 4* and Lemmas 1* and 2* we have

$$\frac{1}{H} \int_{t_0 \in J_3} |G(1/2 + 3\delta + it_0)|^{2/q} dt_0 \geq q^{-2}(1 - \varepsilon_3) \sum'_{\mu_n \leq H^{\delta_1}} |b_n|^2 \mu_n^{-1-6\delta}$$

where the accent indicates the inclusion of only those n for which $|a_n| \geq q^{-1}|b_n|\mu_n^{-1/2-3\delta}$. Also ε_3 is an arbitrarily small constant which is fixed. (We have applied the theorems and lemmas with δ replaced by 3δ .) We compare this with the upper bound

$$\left\{ (1 + 10\varepsilon_2) \left(\sum_{n=1}^{\infty} |b_n|^2 \mu_n^{-1-6\delta} \right) \right\}^{1/q}$$

obtained from (5) by Hölder's inequality. This leads to a contradiction (for $\gg T^\mu H^{-1}$ out of the rectangles of S) to our assumption of Theorem 2 (resp. Theorem 3). This completes the proof of Theorems 1, 2 and 3 stated in the introduction.

Acknowledgements. The authors are indebted to Professors M. Jutila, A. Ivić, D. R. Heath-Brown and B. C. Berndt for encouragement.

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Received on 8.5.1992

(2258)