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ON THE REPRESENTATION OF FRIABLE INTEGERS BY LINEAR FORMS

ARMAND LACHAND

ABSTRACT. Let $P^+(n)$ denote the largest prime of the integer n . Using the nilpotent Hardy-Littlewood method developed by Green and Tao, we give an asymptotic formula for

$$\Psi_{F_1 \dots F_t} \left(\mathcal{K} \cap [-N, N]^d, N^{1/u} \right) := \# \left\{ \mathbf{n} \in \mathcal{K} \cap [-N, N]^d : \right. \\ \left. P^+(F_1(\mathbf{n}) \dots F_t(\mathbf{n})) \leq N^{1/u} \right\}$$

where (F_1, \dots, F_t) is a system of affine-linear forms of $\mathbf{Z}[X_1, \dots, X_d]$ no two of which are affinely related and \mathcal{K} is a convex body. This improves upon Balog, Blomer, Dartyge and Tenenbaum's work [1] in the case of product of linear forms.

1. INTRODUCTION AND STATEMENT OF THE RESULT

Given a real number $y > 1$, an integer n is said to be y -friable if its greatest prime factor, denoted by $P^+(n)$, satisfies $P^+(n) \leq y$ with the conventions $P^+(\pm 1) = 1$ and $P^+(0) = 0$. Conversely, an integer n is called y -sifted if its smallest prime factor, denoted by $P^-(n)$, satisfies $P^-(n) > y$ with the conventions $P^-(\pm 1) = +\infty$ and $P^-(0) = 0$. Due to the duality between sifted integers and friable integers, such integers occur in several places in number theory and their distribution has been intensively studied (see [17] and [10] for survey articles related to integers without large prime factors). A theorem of Hildebrand [16], related to the number $\Psi(N, y)$ of y -friable integers smaller than N , asserts that, for any $\varepsilon > 0$ and uniformly in the domain

$$(1.1) \quad N \geq 3 \quad \text{and} \quad 1 \leq u \leq \frac{\log N}{(\log \log N)^{5/3+\varepsilon}},$$

we have the asymptotic formula

$$(1.2) \quad \Psi(N, N^{1/u}) = N\rho(u) \left(1 + O\left(\frac{u \log(u+1)}{\log N} \right) \right)$$

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where ρ is the Dickman function, namely the unique solution to the delay differential equation

$$\begin{cases} \rho(u) = 1 & \text{if } 0 \leq u \leq 1, \\ u\rho'(u) + \rho(u-1) = 0 & \text{if } u > 1. \end{cases}$$

Given $F \in \mathbf{Z}[X_1, \dots, X_d]$ and $\mathcal{K} \subset \mathbf{R}^d$, the study of the cardinality

$$\Psi_F(\mathcal{K}, y) := \#\{\mathbf{n} \in \mathcal{K} \cap \mathbf{Z}^d : P^+(F(\mathbf{n})) \leq y\}$$

is an interesting question. In particular, the factorization algorithm Number Field Sieve (NFS)¹ rests on the assumption that the cardinality $\Psi_F(\mathcal{K}, y)$ is sufficiently large for some small y , for $F \in \mathbf{Z}[X_1, X_2]$ and $\mathcal{K} \subset \mathbf{R}^2$ a sufficiently regular compact set.

Let $F = F_1^{k_1} \cdots F_t^{k_t}$ be the decomposition of F with F_1, \dots, F_t the distinct irreducible factors of F and d_1, \dots, d_t their respective degrees with $d_1 \geq \dots \geq d_t \geq 1$. If we assume the events " $F_i(\mathbf{n})$ is y -friable" to be independent, then (1.2) leads to the following conjecture

$$(1.3) \quad \Psi_F([0, N]^d, N^{1/u}) \underset{N \rightarrow +\infty}{\sim} N^d \rho(d_1 u) \cdots \rho(d_t u)$$

for any fixed $u > 0$.

When $d = 2$, the author proved the validity of (1.3) for an irreducible cubic form F or for $F = F_1 F_2$ where F_1 is a linear form and F_2 is an irreducible quadratic form [18, 19]. For general binary forms F , such a formula seems beyond reach but there exist some partial results for estimating $\Psi_F([0, N]^2, N^{1/u})$ when u is sufficiently small. In [1], Balog, Blomer, Dartyge and Tenenbaum proved the existence of a constant $\alpha_F > 1/d_1$ such that, for any $\varepsilon > 0$ and uniformly for $N \geq 2$, we have

$$(1.4) \quad \Psi_F([0, N]^2, N^{1/\alpha_F + \varepsilon}) \gg_\varepsilon N^2.$$

Let $d \geq 2$ and $t \geq 1$ be integers. In this paper, we focus on binary forms $F = F_1 \cdots F_t$ where F_1, \dots, F_t are some affine-linear forms in $\mathbf{Z}[X_1, \dots, X_d]$. The cases $d = 2$ and $t \in \{1, 2\}$ can be deduced from results of [7] related to the distribution of friable integers in arithmetic progressions. The case $d = 2$ and $t = 3$ was essentially considered by a succession of articles of various authors ([3, 21, 4, 5, 6, 15]). In [[15], Corollary 1], Harper used the Hardy-Littlewood circle method to show the existence of $c > 0$ such that, uniformly for $N \geq 2$ and $y \geq (\log N)^c$, we have

$$\Psi_{X_1 X_2(X_1 + X_2)}(\mathcal{K}(N), y) \underset{N \rightarrow +\infty}{\sim} \mathfrak{S}_0(\alpha, y) \mathfrak{S}_1(\alpha) \frac{\Psi(N, y)^3}{N}$$

¹The interested reader may find a description of this algorithm in [[2], Chapter 6].

where $\mathcal{K}(N) = \{1 \leq n_1, n_2 \leq N : n_1 + n_2 \leq N\}$, $\alpha := \alpha(N, y)$ denotes the unique real solution of the equation

$$\sum_{p \leq y} \frac{\log p}{p^\alpha - 1} = \log N,$$

$$\mathfrak{S}_0(\alpha, y) := \prod_{p \leq y} \left(1 + \frac{(p - p^\alpha)^3}{p(p - 1)^2(p^{3\alpha - 1} - 1)} \right) \prod_{p > y} \left(1 - \frac{1}{(p - 1)^2} \right)$$

and

$$\mathfrak{S}_1(\alpha) := \int_0^1 \int_0^{1-t_1} \alpha^3(t_1 t_2 (t_1 + t_2))^{\alpha-1} dt_2 dt_1.$$

The celebrated work of Green, Tao and Ziegler [11, 12, 13, 14] provides a scheme - the so-called nilpotent Hardy-Littlewood method - to get asymptotic estimations of the average value

$$(1.5) \quad M_{F_1 \dots F_t}(\mathcal{K}; h) := \sum_{\mathbf{n} \in \mathcal{K} \cap \mathbf{Z}^d} h(F_1(\mathbf{n})) \cdots h(F_t(\mathbf{n}))$$

for any system of affine-linear forms $F_1, \dots, F_t \in \mathbf{Z}[X_1, \dots, X_d]$ such that no two forms are affinely related and for any arithmetic function h with a quasi-random behaviour. In recent years, this approach has been applied successfully for several functions including the von Mangoldt functions Λ (this gives a partial resolution of the generalized Hardy-Littlewood conjecture [11]), the Liouville function λ or the Möbius function μ [11], the divisor function τ [23], the function r_G which counts the number of representations of a binary quadratic form G [24, 25] or, very recently, any multiplicative function that takes values in the unit disk [8].

In this work, we study how the nilpotent Hardy-Littlewood method may be applied to get an asymptotic formula for (1.5) when $h = 1_{S(N^{1/u})}$ is the indicator function of the $N^{1/u}$ -friable integers for bounded $u \geq 1$. Such a question is not covered by Frantzikinakis and Host work [8] since h depends on N in the present case. The main result is the following theorem.

Theorem 1.1. *Let N, L, d, t and u_0 be some positive integers. Suppose that $F = (F_1, \dots, F_t) : \mathbf{Z}^d \rightarrow \mathbf{Z}^t$ is a system of affine-linear forms such that any two forms F_i and F_j are affinely independent over \mathbf{Q} and the non-constant coefficients of the F_i are bounded by L . Then, for any convex body $\mathcal{K} \subset [-N, N]^d$ such that $F(\mathcal{K}) \subset [0, N]^t$ and for any $u_1, \dots, u_t \in [0, u_0]$, we have*

$$\sum_{\mathbf{n} \in \mathcal{K} \cap \mathbf{Z}^d} 1_{S(N^{1/u_1})}(F_1(\mathbf{n})) \cdots 1_{S(N^{1/u_t})}(F_t(\mathbf{n})) = \text{Vol}(\mathcal{K}) \prod_{i=1}^t \rho(u_i) + o(N^d)$$

where the implicit constant depends only on t, d, L and u_0 and $S(y)$ denotes the set of y -friable integers.

As regards the result of Balog *et al.* [1], we get essentially two major improvements on their works in the case of linear forms :

- Theorem 1.1 gives an asymptotic equivalent which is consistent with the conjectural formula (1.3) whereas (1.4) only gives a lower bound,
- when $t \geq 4$, Formula (1.4) is valid with $\alpha_F = 1 + \frac{2}{t-2}$ while Theorem 1.1 shows that we can choose any positive real number for α_F .

Outline and perspectives In its primitive form, the nilpotent Hardy-Littlewood method is concerned with arithmetic functions h which are equidistributed in residue classes of small moduli and supported on a set of integers with positive asymptotic density. For such functions, the problem is reduced to show that h is suitably Gowers-uniform to deduce asymptotics for $M_{F_1 \dots F_t}(\mathcal{K}; h)$ (see the description of the method in Section 2).

In many applications, the function h may not satisfy the two previous conditions. The method developed in [11, 23, 24] to overcome this difficulties consists in two steps :

- the decomposition of h into a sum of functions which are equidistributed in residue classes of small moduli (W -trick, see [[11], Section 5]),
- the construction of a pseudorandom measure ν dominating h in view to apply a transference principle (see [[11], Section 10]).

For bounded $u \geq 1$, the set of $N^{1/u}$ -friable integers has positive density $\rho(u)$ and is well-behaved in arithmetic progressions of small common difference (see the work of Fouvry and Tenenbaum [7]). In particular, the problem may be directly handled by using the nilpotent Hardy-Littlewood method and showing that h has small Gowers-uniformity norms. This may be viewed as an application of the impressive results of Matthesen [22] related to the orthogonality between multiplicative functions and nilsequences. In the Section 3 of the present paper, we develop a more direct and simple approach to study the linear correlations of the friable integers.

It would be interesting to prove Formula (1.3) for unbounded parameters u . In this case, the sequence of friable integers is too sparse to directly apply Green-Tao-Ziegler's work. A major step to get this generalization would be to construct a pseudorandom majorant for $1_{S(N^{1/u})}$.

2. A BRIEF DESCRIPTION OF THE NILPOTENT HARDY-LITTLEWOOD METHOD

In this section, we recall two important arguments of the nilpotent Hardy-Littlewood method. The generalized von Neumann theorem – due to Gowers [9] and Green-Tao [11] – reduces the estimation of $M_{F_1 \dots F_t}(\mathcal{K}; h)$ defined in (1.5) to the study of the Gowers uniformity norm $\|h\|_{U^{t-1}[N]}$ (see [[11], Appendix B] for a definition of Gowers norm).

Theorem A ([11], Proposition 7.1). *Let $t, d, L \geq 1$ be some integers. Suppose that $h_1, \dots, h_t : [0, N] \rightarrow \mathbf{R}$ are functions bounded by 1 and that $F = (F_1, \dots, F_t) : \mathbf{Z}^d \rightarrow \mathbf{Z}^t$ is a system of affine-linear forms whose non-constant coefficients are bounded by L and such that any two forms F_i and F_j are affinely independent over \mathbf{Q} . Let $\mathcal{K} \subset [-N, N]^d$ be a convex body such that $F(\mathcal{K}) \subset [0, N]^t$. Suppose also that*

$$\min_{1 \leq i \leq t} \|h_i\|_{U^{t-1}[N]} \leq \delta$$

for some $\delta > 0$. Then we have

$$\sum_{\mathbf{n} \in \mathcal{K}} \prod_{i=1}^t h_i(F_i(\mathbf{n})) = o_\delta(N^d) + \kappa(\delta)N^d$$

where $\kappa(\delta) \rightarrow 0$ as $\delta \rightarrow 0$.

Proof. Let $(\mathbf{e}_1, \dots, \mathbf{e}_d)$ be the canonical basis of \mathbf{R}^d and fix $\mathbf{n} = n_1\mathbf{e}_1 + \dots + n_d\mathbf{e}_d \in \mathcal{K}$. Then we have

$$|F_i(\mathbf{0})| \leq \sum_{i=1}^d |n_i| L + |F_i(\mathbf{n})| \leq (dL + 1)N$$

because $F(\mathbf{n}) \in [0, N]^t$ and $\mathcal{K} \in [0, N]^d$. With the definition (1.1) of the norm $\|\cdot\|_N$ of [11], we therefore have $\|F\|_N \ll_{d,t} L$ and the Proposition 7.1 of [11] can be used to get the result. \square

The inverse theorem for the Gowers norms, proved by Green, Tao and Ziegler [14], exhibits the link between linear correlations and polynomial nilsequences. The reader may refer to [13] for definitions and properties of filtered nilmanifolds and polynomial nilsequences.

Theorem B ([14], Theorem 1.3). *Let $s \geq 0$ be an integer and let $\delta \in]0, 1]$. Then there exists a finite collection $\mathcal{M}_{s,\delta}$ of s -step nilmanifolds G/Γ , each equipped with some smooth Riemannian metric $d_{G/\Gamma}$, as well as positive constants $C(s, \delta)$ and $c(s, \delta)$ with the following property. Whenever $N \geq 1$ and $h : [0, N] \cap \mathbf{Z} \rightarrow [-1, 1]$ is a function such that*

$$\|h\|_{U^{s+1}[N]} \geq \delta,$$

there exists a filtered nilmanifold $G/\Gamma \in \mathcal{M}_{s,\delta}$, a function $F : G/\Gamma \rightarrow \mathbf{C}$ bounded in magnitude by 1 and with Lipschitz constant at most $C(s, \delta)$ with respect to the metric $d_{G/\Gamma}$ and a polynomial nilsequence $g : \mathbf{Z} \rightarrow G$ such that

$$\left| \sum_{0 \leq n \leq N} h(n) F(g(n)\Gamma) \right| \geq c(s, \delta)N.$$

We describe now the application of the Green-Tao method to the functions $1_{S(N^{1/u_i})}$. For any parameter of friability N^{1/u_i} , we consider the balanced function

$$\begin{aligned} h_i : \mathbf{N} &\rightarrow [-1, 1] \\ n &\mapsto 1_{S(N^{1/u_i})}(n) - \rho(u_i). \end{aligned}$$

By writing $1_{S(N^{1/u_i})}(n) = h_i(n) + \rho(u_i)$ and using the bound $\rho(u_i) \leq 1$, it follows that

$$\left| \Psi_{F_1 \dots F_t}(\mathcal{K}, N^{1/u}) - \text{Vol}(\mathcal{K}) \prod_{i=1}^t \rho(u_i) \right| \leq \sum_{\substack{I \subset \{1, \dots, t\} \\ I \neq \emptyset}} \left| \sum_{\mathbf{n} \in \mathcal{K} \cap \mathbf{Z}^d} \prod_{i \in I} h_i(F_i(\mathbf{n})) \right| + O_d(N^{d-1}).$$

In view of the inverse theorem, the problem is reduced to prove that, for any $i \in \{1, \dots, t\}$, the function h_i does not correlate with nilsequences, namely that the upper bound

$$\sum_{n \leq N} h_i(n) F(g(n)\Gamma) = o(N)$$

holds for any $(t-2)$ -steps nilsequences $F(g(n)\Gamma)$.

3. NON-CORRELATION WITH NILSEQUENCES

Let $s \geq 0, u_0 \geq 1$ be some integers and let $(G/\Gamma, G_{\mathbf{N}})$ be a filtered nilmanifold of degree s . In this section, we show that for any 1-bounded Lipschitz function $F : G/\Gamma \rightarrow \mathbf{C}$, any polynomial nilsequence $g : \mathbf{Z} \rightarrow G$ adapted to $G_{\mathbf{N}}$, $1 \leq u \leq u_0$ and $N \geq 1$, we have

$$(3.1) \quad \sum_{n \leq N} h(n) F(g(n)\Gamma) = o\left(N \left(1 + \|F\|_{\text{Lip}, d_{G/\Gamma}}\right)\right)$$

where $h(n) := 1_{S(N^{1/u})}(n) - \rho(u)$ and the implicit term $o(\cdot)$ only depends on G/Γ and u_0 . In view of Theorems A and B, this will imply Theorem 1.1.

In [22], Mathiesen develop a method to bound the correlations of a multiplicative function with polynomial nilsequences, under some density and growth conditions and some hypothesis of control of the second moment. Its approach mix the Montgomery-Vaughan method [26], the factorisation theorem for polynomial sequences from Green-Tao [13] and the fact that

the W -tricked von Mangoldt function is orthogonal to nilsequences [11]. Its main result [[22], Theorem 5.1] may be applied directly to the multiplicative function $1_{S(N^{1/u})}(n)$ to get (3.1), once we have checked it satisfies the assumptions required. In the case of the indicator of friable integers and for any $E \geq 1$, the various hypothesis which defined the set $\mathcal{F}_1(E)$ of [22] can be essentially deduced from the estimation

$$\sum_{\substack{n \leq N \\ n \equiv a \pmod{q}}} 1_{S(N^{1/u})}(n) \underset{N \rightarrow \infty}{\sim} \frac{N}{q} \rho(u)$$

which holds uniformly for $1 \leq a, q \leq (\log N)^E$ (see [7]).

In the rest of this paper, we give a direct and simple method to establish (3.1), with a different focus from [22]. The starting point is the Möbius inversion formula in the following form

$$1_{S(N^{1/u})}(n) = \sum_{P^-(k) > N^{1/u}} \mu(k) 1_{k|n}.$$

We approximate the indicator $1_{k|n}$ by its mean value $\frac{1}{k}$ for $k \leq N^{1-\tau}$ where the parameter $\tau = o(1) \in]1/\log N, 1[$ will be chosen later. One can write

$$\sum_{1 \leq n \leq N} \left(1_{S(N^{1/u})}(n) - \rho(u) \right) F(g(n)\Gamma) = \Sigma_1(F, g) + \Sigma_2(F, g)$$

where

$$\Sigma_1(F, g) := \sum_{1 \leq n \leq N} h_\tau(n) F(g(n)\Gamma) \text{ with } h_\tau(n) = \sum_{\substack{k \leq N^{1-\tau} \\ P^-(k) > N^{1/u}}} \mu(k) \left(1_{k|n} - \frac{1}{k} \right)$$

and

$$\Sigma_2(F, g) := \sum_{1 \leq n \leq N} \left(\sum_{\substack{k > N^{1-\tau} \\ P^-(k) > N^{1/u}}} \mu(k) 1_{k|n} + \sum_{\substack{k \leq N^{1-\tau} \\ P^-(k) > N^{1/u}}} \frac{\mu(k)}{k} - \rho(u) \right) F(g(n)\Gamma).$$

In the definition of the function h_τ , the summation is restricted over the divisors $k \leq N^{1-\tau}$ since the contribution from the interval $N^{1-\tau} < k \leq N$ is negligible (see (3.5) below).

First, we focus on $\Sigma_2(F, g)$. In view of the following series of estimations, valid whenever $\tau u < 1$,

$$\begin{aligned}
\sum_{\substack{N^{1-\tau} < k \leq N \\ P^-(k) > N^{1/u}}} \frac{\mu^2(k)}{k} &\ll \sum_{j \geq 1} \sum_{N^{1/u} < p_2 < \dots < p_j \leq N} \frac{1}{p_2 \cdots p_j} \sum_{\substack{\max(N^{1/u}, \frac{N^{1-\tau}}{p_2 \cdots p_j}) \leq p_1 \leq \frac{N}{p_2 \cdots p_j}}} \frac{1}{p_1} \\
&\ll \tau u \sum_{j \geq 1} \frac{1}{(j-1)!} \left(\sum_{N^{1/u} < p \leq N} \frac{1}{p} \right)^{j-1} \\
(3.2) \quad &\ll \tau u \sum_{j \geq 1} \frac{1}{(j-1)!} (\log(u) + O(1))^{j-1} \ll \tau u^2,
\end{aligned}$$

we have the upper bound

$$(3.3) \quad \sum_{1 \leq n \leq N} \sum_{\substack{k > N^{1-\tau} \\ P^-(k) > N^{1/u}}} \mu^2(k) 1_{k|n} \ll \tau u^2 N.$$

On the other hand, one can handle the sum over $k \leq N^{1-\tau}$ in $\Sigma_2(F, g)$ by using [[20], Formula (1.5)] which states that the formula

$$(3.4) \quad \sum_{\substack{k \leq N \\ P^-(k) > N^{1/u}}} \frac{\mu(k)}{k} = \rho(u) \left(1 + O\left(\frac{u \log(u+1)}{\log N}\right) \right)$$

holds for any $\varepsilon > 0$ and uniformly for $x \geq 2$ and $1 \leq u \leq (\log x)^{3/8-\varepsilon}$. Finally, (3.3) and (3.4) yield that

$$(3.5) \quad \Sigma_2(F, g) \ll uN \left(\tau u + \frac{\rho(u) \log(u+1)}{\log N} \right).$$

In view of the foregoing, it remains to obtain an upper bound for $\Sigma_1(F, g)$. This is the subject of the following proposition.

Proposition 3.1. *Let $m, s \geq 1$ be some integers and let $A > 0$ be a real number. There exists a constant $c(m, s, A) > 0$ with the following property. Whenever $Q, N \geq 2$ are integers, $\tau \in]0, 1/2[$ and $u \geq 1$ are such that $\min(N^\tau, N^{1/u}) \geq (\log N)^{c(m, s, A)}$, $(G/\Gamma, G_{\mathbf{N}})$ is a filtered nilmanifold of degree s and dimension m , \mathcal{X} is a Q -rational Mal'cev basis² of $(G/\Gamma, G_{\mathbf{N}})$, $g : \mathbf{Z} \rightarrow G/\Gamma$ is a polynomial nilsequence adapted to $G_{\mathbf{N}}$ and $F : G/\Gamma \rightarrow [-1, 1]$ is a Lipschitz function, then we have*

$$(3.6) \quad \sum_{1 \leq n \leq N} h_\tau(n) F(g(n)\Gamma) \leq N Q^{c(m, s, A)} (1 + \|F\|_{Lip, \mathcal{X}}) 2^u (\log N)^{-A}.$$

²The notion of Q -rational Mal'cev basis is introduced in [[13], Definitions 2.1 and 2.4] as a specific basis of the Lie algebra \mathfrak{g} of G .

Recall that the smooth Riemannian metric $d_{G/\Gamma}$ of Proposition B is equivalent to the metric $d_{\mathcal{X}}$ (see the 4th footnote and Definition 2.2 of [13]). With the choice $\tau = \frac{(\log \log N)^{1+\varepsilon}}{\log N}$, it follows from the estimations (3.5) and (3.6) that the upper bound

$$\sum_{n \leq N} h(n)F(g(n)\Gamma) = o\left(N\rho(u)\left(1 + \|F\|_{\text{Lip}, d_{G/\Gamma}}\right)\right)$$

holds for any $\varepsilon > 0$ and uniformly for $1 \leq u \leq (\log \log N)^{1-\varepsilon}$. This implies (3.1) since $1 \leq u \leq u_0$ is contained in this region for any u_0 which does not depend on N .

The rest of the article is devoted to the proof of Proposition 3.1. The argument follows essentially the proofs of [[12], Theorem 1.1] and [23], Theorem 9.1] and we only outline the major differences. A key point in the proof consists in reducing the problem to establish the formula (3.6) in the case of totally equidistributed polynomial nilsequence g , i.e. such that $|P|^{-1} \sum_{n \in P} F(g(n)\Gamma)$ tends to $\int_{G/\Gamma} F$ as P is a subprogression such that $|P| \rightarrow +\infty$.

After this reduction, it will be possible to use the following analogue of [[12], Proposition 2.1] and [[23], Proposition 9.2].

Proposition 3.2. *Let m, s be some positive integers. There exist some constants $c_0(m, s), c_1(m, s) > 0$ with the following property. Whenever $Q \geq 2$, $N \geq 2$ and $\delta \in]0, 1/2[$ such that $\delta^{-c_0(m, s)} \leq N^\tau$, $P \subset \{1, \dots, N\}$ is an arithmetic progression of size at least N/Q , $(G/\Gamma, G_{\mathbf{N}})$ is a filtered nilmanifold of degree s and dimension m , \mathcal{X} is a Q -rational Mal'cev basis of $(G/\Gamma, G_{\mathbf{N}})$, $g : \mathbf{Z} \rightarrow G/\Gamma$ is a polynomial and δ -totally equidistributed nilsequence³ adapted to $G_{\mathbf{N}}$ and $F : G/\Gamma \rightarrow [-1, 1]$ is a Lipschitz function such that $\int_{G/\Gamma} F = 0$, we have*

$$\left| \sum_{n \leq N} h_\tau(n) 1_P(n) F(g(n)\Gamma) \right| \ll \delta^{c_1(m, s)} \|F\|_{\text{Lip}, \mathcal{X}} Q N (2^u + \log N).$$

Proof that Proposition 3.2 implies Proposition 3.1. Following some ideas of [12], we can assume, without loss of generality, that $\|F\|_{\text{Lip}, \mathcal{X}} = 1$ and $Q \leq \log N$. Let $B > 0$ be a parameter to be specified at the end of the proof. Applying Theorem 1.19 of [13], there exists an integer M satisfying

³A sequence $(g(n)\Gamma)_{n \in \{1, \dots, N\}}$ is δ -totally equidistributed if we have

$$\left| \frac{1}{|P|} \sum_{n \in P} F(g(n)\Gamma) \right| \leq \delta \|F\|$$

for all Lipschitz function $F : G/\Gamma \rightarrow \mathbf{C}$ with $\int_{G/\Gamma} F = 0$ and all arithmetic progressions $P \subset \{1, \dots, N\}$ of size at least δN .

$\log N \leq M \leq (\log N)^{c(m,s,B)}$ such that we can write the decomposition $g = \varepsilon g' \gamma$ where

- (1) $\varepsilon \in \text{poly}(\mathbf{Z}, G_{\mathbf{N}})$ is (M, N) -smooth (see [[13], Definition 1.18]),
- (2) $g' \in \text{poly}(\mathbf{Z}, G_{\mathbf{N}})$ takes values in a rational subgroup $G' \subseteq G$ with Mal'cev basis \mathcal{X}' and $(g'(n))_{n \leq N}$ is M^{-B} -totally equidistributed in $G'/(G' \cap \Gamma)$ for the metric $d_{\mathcal{X}'}$ (see [[13], Definition 1.10]),
- (3) $\gamma \in \text{poly}(\mathbf{Z}, G_{\mathbf{N}})$ is periodic of period $q \leq M$ and $\gamma(n)$ is M -rational for any $n \in \mathbf{Z}$ (see [[13], Definition 1.17]).

Next, we reproduce the arguments of Green and Tao based on partitioning and pigeonholing and we use the properties of periodicity and smoothness of γ and ε . In this way, the problem is reduced to show that

$$(3.7) \quad \left| \sum_{1 \leq n \leq N} h_{\tau}(n) 1_P(n) F'(g'(n) \Gamma') \right| \ll 2^u N / (M^2 (\log N)^{2A})$$

where P is a subprogression such that $|P| \geq \frac{N}{2M^2 (\log N)^A}$, $(G'/\Gamma', G'_{\mathbf{N}})$ is a m -dimensional nilmanifold of degree s with $M^{C_1(m,s)}$ -rational Mal'cev basis \mathcal{X}' , $F' : G'/\Gamma' \rightarrow [-1, 1]$ is a Lipschitz function such that $\|F'\|_{\text{Lip}, \mathcal{X}'} \leq M^{C_1(m,s)}$ and $g' \in \text{poly}(\mathbf{Z}, G'_{\mathbf{N}})$ is $M^{-C_2(m,s)B+C_1(m,s)}$ -totally equidistributed, for some constants $C_1(m, s), C_2(m, s) > 0$.

If we suppose that $\int_{G'/\Gamma'} F' = 0$, then we can apply Proposition 3.2 to the sequence g' , with $M^{C_1(m,s)}$ (resp. $M^{-C_2(m,s)B+C_1(m,s)}$) as parameter of rationality (resp. totally equidistribution). Taking $B, C_1(m, s)$ and $c(m, s, A)$ sufficiently large, the hypothesis on the size of P and δ are satisfied and we get (3.7).

We can reduce to this last case by writing $F' = (F' - \int_{G'/\Gamma'} F') + \int_{G'/\Gamma'} F'$. Indeed, we can observe that $\int_{G'/\Gamma'} F'$ is bounded by 1 and, since the common difference q of P satisfies $q < N^{1/u}$, then we get some multiplicative independence, when $P^-(k) > N^{1/u}$:

$$\left| \sum_{1 \leq n \leq N} \left(1_{k|n} - \frac{1}{k} \right) 1_P(n) \right| \leq 1.$$

We deduce the major arc estimate

$$\begin{aligned} \left| \sum_{1 \leq n \leq N} h_{\tau}(n) 1_P(n) \int_{G'/\Gamma'} F' \right| &\leq \sum_{\substack{k \leq N^{1-\tau} \\ P^-(k) > N^{1/u}}} \left| \sum_{1 \leq n \leq N} \left(1_{k|n} - \frac{1}{k} \right) 1_P(n) \right| \\ &\leq |\{k \leq N^{1-\tau} : P^-(k) > N^{1/u}\}| \\ &\ll u \frac{N^{1-\tau}}{\log N} \end{aligned}$$

which implies (3.7) under the condition $N^\tau \geq (\log N)^{c(m,s,A)}$. \square

Proof of Proposition 3.2. We essentially follow the proof of Proposition 9.2 of [23] and we suppose that $\|F\|_{\text{Lip},\mathcal{X}} = 1$ and $Q \leq \delta^{-c_1(m,s)}$. For $\mathcal{T} \in]0, 1/2[$ and $j \geq 1$, we define $S_j(\mathcal{T})$ as the set of the integers k satisfying

$$\left| \sum_{2^j/k < n \leq 2^{j+1}/k} 1_P(kn)F(g(kn)\Gamma) \right| > \mathcal{T} \frac{2^j}{k}.$$

From the estimation

$$\sum_{\substack{k \leq N \\ P^-(k) > N^{1/u}}} \frac{\mu^2(k)}{k} \ll \sum_{j \geq 1} \frac{1}{j!} \left(\sum_{N^{1/u} < p \leq N} \frac{1}{p} \right)^j \ll u$$

and the trivial bound $|\{k|n : P^-(k) > N^{1/u}\}| \leq 2^u$ valid whenever $n \leq N$, we can see that $h_\tau(n) \ll 2^u$. It follows that

$$\left| \sum_{n \leq N^{1-\tau/2}} h_\tau(n) 1_P(n) F(g(n)\Gamma) \right| \ll N^{1-\tau/2} 2^u$$

and therefore we concentrate on the integers $n > N^{1-\tau/2}$.

Since the nilsequence $(g(n)\Gamma)_{n \in \{1, \dots, N\}}$ is δ -totally equidistributed, the contribution from the part $\sum_k \frac{\mu(k)}{k}$ of h_τ can be handled by observing that we have

$$\sum_{\substack{k \leq N^{1-\tau} \\ P^-(k) > N^{1/u}}} \frac{\mu^2(k)}{k} \left| \sum_{N^{1-\tau/2} \leq n \leq N} 1_P(n) F(g(n)\Gamma) \right| \ll u \delta N.$$

For the remaining terms $\sum_k \mu(k) 1_{k|n}$ of h_τ , we follow the proof of Proposition 9.2 of [23]. We make a dyadic splitting over the variables k and n and we drop off the condition $P^-(k) > N^{1/u}$:

$$\begin{aligned} & \sum_{k \leq N^{1-\tau}} \left| \sum_{N^{1-\tau/2}/k < n \leq N/k} 1_P(kn) F(g(kn)\Gamma) \right| \\ & \ll \sum_{2^i \leq N^{1-\tau}} \sum_{\frac{N^{1-\tau/2}}{2} \leq 2^j \leq N} 2^j \left(\sum_{2^i \leq k < 2^{i+1}} \frac{\mathcal{T}}{k} + \sum_{\substack{2^i \leq k < 2^{i+1} \\ k \in S_j(\mathcal{T})}} \frac{1}{k} \right) \\ & \ll \sum_{\frac{N^{1-\tau/2}}{2} \leq 2^j \leq N} 2^j \left(\mathcal{T} \log N + \sum_{2^i \leq N^{1-\tau}} \frac{1}{2^i} \#(S_j(\mathcal{T}) \cap [2^i, 2^{i+1}]) \right). \end{aligned}$$

Put $\mathcal{T} := \delta^{c_1(m,s)} \leq Q^{-1}$ for a constant $c_1(m,s) > 0$ sufficiently small. In the previous sum, the contribution of the range $\frac{N^{1-\tau/2}}{2} \leq 2^j \leq \mathcal{T}N$ is negligible and may be bounded by the trivial inequality.

The rest of the proof consists in showing that, if $K \leq N^{1-\tau}$, then we have

$$(3.8) \quad \#(S_j(\mathcal{T}) \cap [K, 2K]) \leq \mathcal{T}K$$

whenever $\mathcal{T}N \leq 2^j \leq N$.

The estimate (3.8) is the analogue of [[23], Lemma 9.3] under the constraint $K \leq N^{1-\tau}$ rather than $K \leq N^{1/2}$ and in the special case $\overline{W} = 1$ and $b = 0$. To achieve this, we follow the discussion of Type I case of [[12], Part 3] and we suppose for contradiction that (3.8) does not hold for some $K \leq N^{1-\tau}$ and $\mathcal{T}N \leq 2^j \leq N$. By reproducing their arguments, we observe the existence of a non-trivial horizontal character ψ with magnitude $0 < |\psi| \leq \mathcal{T}^{-c_2(m,s)}$ such that, for any $r \geq 1$ and for at least $\mathcal{T}^{c_2(m,s)}K$ values of k , we have

$$\|\partial^r(\psi \circ g_k)(0)\|_{\mathbf{R}/\mathbf{Z}} \leq \mathcal{T}^{-c_2(m,s)} (K/2^j)^r$$

where $g_k(n) = g(kn)$, which is the analogue of the formula (3.7) of [12].

By Lemma 3.2 and 3.3 of [12] – consequences of Waring’s theorem – it follows that there exists an integer $q \ll_s 1$ and at least $\mathcal{T}^{c_3(m,s)}K^r$ integers $l \leq 10^s K^r$ such that

$$\|ql\beta_r\|_{\mathbf{R}/\mathbf{Z}} \leq \mathcal{T}^{-c_3(m,s)}(K/2^j)^r$$

where the β_r ’s are defined by

$$(3.9) \quad \psi \circ g(n) = \beta_s n^s + \dots + \beta_0.$$

To deduce some diophantine information about the β_r ’s, we invoke Lemma 3.2 of [13] in an analogous way as [12] after checking that the hypothesis are satisfied. It suffices to see that $r \geq 1$ and $\frac{\mathcal{T}^{2c_3(m,s)}}{10^s} \gg N^{-\tau} \geq \left(\frac{K}{2^j}\right)^r$ if the constant $c_1(m,s)$ is chosen sufficiently small. It results that there exists $q' \leq \mathcal{T}^{-c_4(m,s)}$ such that

$$\|q'\beta_r\|_{\mathbf{R}/\mathbf{Z}} \leq \mathcal{T}^{-c_4(m,s)}2^{-rj}$$

for any integer $r \geq 1$. By the definition (3.9), we get the existence of $c_5(m,s) > 0$ sufficiently large such that $q' \leq \mathcal{T}^{-c_5(m,s)}$ and

$$(3.10) \quad \|q'(\psi \circ g)(n)\|_{\mathbf{R}/\mathbf{Z}} \leq 1/10$$

for any $n \leq \mathcal{T}^{c_5(m,s)}2^j$.

Let $\eta : \mathbf{R}/\mathbf{Z} \rightarrow [-1, 1]$ be a Lipschitz function of norm $O(1)$, mean value zero, and equal to 1 on $[-1/10, 1/10]$ so that

$$\int_{G/\Gamma} \eta \circ (q'\psi) = 0 \quad \text{and} \quad \|\eta \circ (q'\psi)\|_{\text{Lip}, \mathcal{X}} \leq \mathcal{T}^{-c_5(m,s)}.$$

It follows from (3.10) that we have

$$\left| \sum_{n \leq \mathcal{T}^{c_5(m,s)} 2^j} \eta(q'\psi(g(n)\Gamma)) \right| \geq \mathcal{T}^{c_5(m,s)} 2^j > \delta \|\eta \circ (q'\psi)\|_{\text{Lip}, \mathcal{X}} \mathcal{T}^{c_5(m,s)} 2^j$$

whenever $c_1(m, s)$ is sufficiently small. This contradicts the hypothesis that $(g(n))_{n \leq N}$ is δ -totally equidistributed, the set of integers less than $\mathcal{T}^{c_5(m,s)} 2^j$ being an arithmetic progression of size at least δN whenever $c_1(m, s)$ is sufficiently small since $2^j \geq \mathcal{T}N$. \square

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