

SPECTRAL THEORY OF AUTOMORPHIC FORMS AND ANALYTIC NUMBER THEORY

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1. INTRODUCTION

I shall speak mostly about the GL_2 forms,
i.e. functions on the upper half-plane

$$\mathbb{H} = SL_2(\mathbb{R})/K = \{z = x+iy; x \in \mathbb{R}, y \in \mathbb{R}^+\}.$$

- Tools**
- Combinatorial identities of sieve type
 - Summation formulas of trace type

Theta series

$$\theta(z) = \sum_{n \in \mathbb{Z}} e(n^2 z), \quad e(z) = e^{2\pi i z}$$

$$\theta(\gamma z) = \nu(\gamma)(cz+d)^{\frac{1}{2}} \theta(z), \quad \gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \Gamma_0(4).$$

Poisson's formula

$$\sum_{m \in \mathbb{Z}} f(m) = \sum_{n \in \mathbb{Z}} \hat{f}(n).$$

2. SPECTRAL THEORY

$$\Gamma_0(q) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in SL_2(\mathbb{Z}) ; c \equiv 0 \pmod{q} \right\}$$

$$[\Gamma_0(1) : \Gamma_0(q)] = q \prod_{p|q} \left(1 + \frac{1}{p}\right)$$

Let $\Gamma \subset SL_2(\mathbb{R})$ a group acting discontinuously on \mathbb{H}

$$\gamma z = \frac{az+b}{cz+d}, \quad \gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$$

Adelic setting, Hecke operators for congruence groups.

Automorphic Functions:

$$f: \mathbb{H} \rightarrow \mathbb{C}$$

$k \in \mathbb{R}$ weight

$$f(\gamma z) = \nu(\gamma) \left(\frac{cz+d}{|cz+d|} \right)^k f(z)$$

$$\nu: \Gamma \rightarrow \mathbb{C}$$

multiplier

$$|\nu(\gamma)| = 1$$

$f(z)$ - polynomial growth at cusps

If $k \in \mathbb{Z}$ then $\nu: \Gamma \rightarrow \mathbb{C}$ is a character

If $k \in \frac{1}{2} + \mathbb{Z}$ and $\Gamma = \Gamma_0(q)$ then ν is essentially the Jacobi symbol $\left(\frac{d}{c}\right)$ times a character modulo q .

Automorphic Forms :

$$\Delta_k = y^2 \left(\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} \right) - ik y \frac{\partial}{\partial x} \quad \text{Laplace operator}$$

$$(\Delta_k + \lambda)f = 0, \quad \lambda = s(1-s) = \frac{1}{4} + t^2 \quad \text{eigenvalue}$$

$$s = \frac{1}{2} + it \in \mathbb{C}$$

The Eisenstein Series :

Suppose Γ has parabolic elements.

The fixed points of parabolic elements are cusps of $\Gamma \backslash \mathbb{H}$.

Let $\alpha \in \mathbb{R} \cup \{\infty\}$ be a cusp

$$\Gamma_\alpha = \{ \gamma \in \Gamma; \gamma\alpha = \alpha \} \quad \text{the stability group}$$

If ν is trivial on Γ_α then α is said to be singular.

For every singular cusp one has

$$E_\alpha(z, s) \quad \text{the Eisenstein series}$$

For example, if $\alpha = \infty$ and $\Gamma_\infty = \left\{ \pm \begin{pmatrix} 1 & b \\ 0 & 1 \end{pmatrix}; b \in \mathbb{Z} \right\}$, then

$$E_\infty(z, s) = \sum_{\gamma \in \Gamma_\infty \backslash \Gamma} \bar{\nu}(\gamma) \left(\frac{cz+d}{|cz+d|} \right)^{-k} (Im \gamma z)^s, \quad \text{for } \text{Re } s > 1.$$

Meromorphic continuation in $s \in \mathbb{C}$
 Functional equation

$$\mathcal{E}(z, s) = [\dots, E_\alpha(z, s), \dots]^t$$

$$\mathcal{E}(z, s) = \Phi(s) \mathcal{E}(z, 1-s)$$

$$\Phi(s) = (\varphi_{\alpha\beta}(s)) \quad \text{the scattering matrix}$$

The entries $\varphi_{\alpha\beta}(s)$, where α, β are singular cusps, are the coefficients in the *Fourier expansion*

$$E_\alpha(\sigma_\beta z, s) = \int_{\alpha\beta} y^s + \varphi_{\alpha\beta}(s) y^{1-s} \\ + \sum_{m \neq 0} \varphi_{\alpha\beta}(m, s) W(4\pi|m|y) e(mx)$$

where $W(y)$ is the Whittaker function.

In the critical strip $0 \leq \sigma = \text{Re } s \leq 1$ the poles of $E_\alpha(z, s)$ are the poles of $\varphi_{\alpha\beta}(s)$, they are simple in the segment $\frac{1}{2} < s \leq 1$, or in the strip $0 \leq \sigma < \frac{1}{2}$.

In particular there are no poles on the critical line

$$\text{Re } s = \frac{1}{2}.$$

Maass Cusp Forms :

$f(\sigma_\alpha z) \rightarrow \mathcal{O}$ as $y \rightarrow \infty$
for any singular cusp α

$$(\Delta_k + \lambda) f = 0$$

$$f(z) = \sum_{m \neq 0} \rho_f(m) W(4\pi|m|y) e(mx), \quad \text{if } \alpha = \infty.$$

$$W(y) = W_{\frac{km}{2|m|}, it}(y) \quad \text{if } \lambda = s(1-s) \\ s = \frac{1}{2} + it$$

$\rho_f(m)$ - the Fourier coefficients

SPECTRAL THEOREM. Let $L_k^2(\Gamma)$ be the space of automorphic functions of weight k , square integrable with respect to the inner product

$$\langle f, g \rangle = \int_{\Gamma \backslash \mathbb{H}} f(z) \bar{g}(z) d\mu z, \quad d\mu z = y^{-2} dx dy.$$

Let $C_k(\Gamma)$ be the linear subspace spanned by cusp forms and $P_k(\Gamma)$ be the linear subspace spanned by the residues of the Eisenstein series $E_\alpha(z, s)$ at the poles in $\frac{1}{2} < s \leq 1$. These are orthogonal subspaces. The Laplace operator Δ_k is self-adjoint, and it has purely point spectrum in $C_k(\Gamma) \cup P_k(\Gamma)$,

$$\frac{|k|}{2} \left(1 - \frac{|k|}{2}\right) \leq \lambda_0 \leq \lambda_1 \leq \lambda_2 \leq \dots$$

In the orthogonal complement, say $E_k(\Gamma)$, the Laplace operator has purely continuous spectrum which covers the segment

$$\frac{1}{4} \leq \lambda < \infty$$

uniformly with multiplicity equal to the number of singular cusps. The eigenpacket of continuous spectrum consists of the Eisenstein series $E(z, s)$ on the critical line $s = \frac{1}{2} + it$, the spectral measure being $\frac{dt}{4\pi}$.

The classical (holomorphic) cusp forms lie at the bottom of the spectrum. Precisely an $f \in \mathcal{C}_k(\Gamma)$ with $k \geq 0$ has the Laplace eigenvalue $\lambda = \frac{k}{2}(1 - \frac{k}{2})$ if and only if

that is
$$F(z) = y^{-\frac{k}{2}} f(z) \in S_k(\Gamma),$$

$$F(\gamma z) = \nu(\gamma) (cz+d)^k F(z), \quad \gamma \in \Gamma$$

$F(z)$ holomorphic on \mathbb{H}
 $F(z)$ vanishes at cusps

The eigenspaces $\mathcal{C}_k(\Gamma, \lambda)$ with $\lambda = s(1-s)$ are finite dimensional.

If s is not real then there is an isometry

$$K_k : \mathcal{C}_k(\Gamma, \lambda) \rightarrow \mathcal{C}_{k+2}(\Gamma, \lambda)$$

given by a certain linear differential operator K_k (due to H. Maass).

$$K_k = \frac{k}{2} + y \left(i \frac{\partial}{\partial x} + \frac{\partial}{\partial y} \right)$$

QUESTIONS :

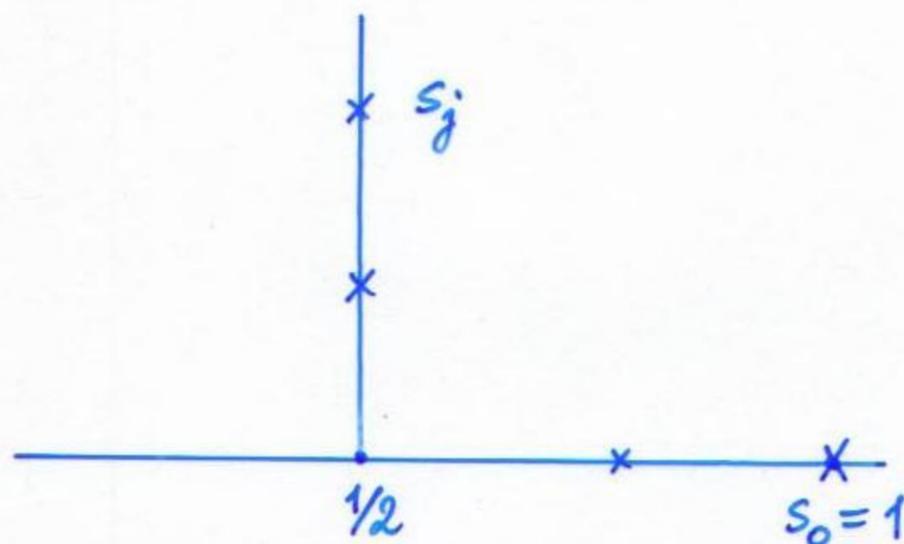
- Do Maass cusp forms exist ?
- How large are the eigenspaces $\mathcal{C}_k(\Gamma, \lambda)$?
- How many there are small eigenvalues ?

3. SELBERG TRACE FORMULA

Let $k=0$ and $\nu=1$

$0 = \lambda_0 < \lambda_1 \leq \lambda_2 \leq \dots$ point spectrum

$$\lambda_j = s_j(1-s_j), \quad s_j = \frac{1}{2} + it_j$$



$h(t)$ - holomorphic in $|\operatorname{Im} t| \leq \frac{1}{2} + \varepsilon$
 $h(t) = h(-t), \quad h(t) \ll (|t|+1)^{-2-\varepsilon}$

TRACE FORMULA

$$\begin{aligned} \sum_j h(t_j) + \frac{1}{4\pi} \int_{-\infty}^{\infty} h(t) \frac{\varphi'}{\varphi} \left(\frac{1}{2} + it \right) dt \\ = \frac{\operatorname{vol}(\Gamma \backslash \mathbb{H})}{4\pi} \int_{-\infty}^{\infty} h(t) t \tanh(\pi t) dt \\ + \sum_{\mathcal{P}} \frac{g(\log P)}{P^{1/2} - P^{-1/2}} \log P + \dots \end{aligned}$$

Here $\varphi(s) = \det \Phi(s)$, $g(x)$ is the Fourier transform of $h(t)$, \mathcal{P} runs over the conjugacy classes of hyperbolic elements of Γ and $P = N\mathcal{P}$ denotes the norm of \mathcal{P} , so $\log P$ is the length of the corresponding closed geodesic.

Weyl's law:

$$N_{\Gamma}(T) = \#\{j; |t_j| \leq T\} \ll T^2$$

$$M_{\Gamma}(T) = \frac{1}{4\pi} \int_{-T}^T \frac{-\varphi'}{\varphi} \left(\frac{1}{2} + it\right) dt \ll T^2$$

$$N_{\Gamma}(T) + M_{\Gamma}(T) = \frac{\text{vol}(\Gamma \backslash \mathbb{H})}{4\pi} T^2 - \frac{h}{\pi} T \log T + c_{\Gamma} T + O\left(\frac{T}{\log T}\right)$$

$$M_{\Gamma}(T) = \#\{\text{poles of } \varphi(s) \text{ in } |t| \leq T\} + O(T).$$

For congruence groups we have

$$M_{\Gamma}(T) \ll T \log T,$$

$$N_{\Gamma}(T) \sim \frac{\text{vol}(\Gamma \backslash \mathbb{H})}{4\pi} T^2.$$

Hence there are infinitely many linearly independent Maass cusp forms.

Deformation Theory (Phillips-Sarnak):

Let
$$u_j(z) = \sqrt{y} \sum_{m \neq 0} \lambda_j(m) K_{it_j} (2\pi|m|y) e(mx)$$

be a Maass cusp form of weight zero for $\Gamma = \Gamma_0(q)$ and the Laplace eigenvalue $\lambda_j = s_j(1-s_j)$, $s_j = \frac{1}{2} + it_j$, which is a Hecke form

$$T_n u_j = \lambda_j(n) u_j \quad \text{for all } n \geq 1.$$

Let
$$L(s, f \otimes u_j) = \sum_1^{\infty} a(n) \lambda_j(n) n^{-s}$$

be the Rankin-Selberg L-function, where $a(n)$ are the Fourier coefficients of a suitable classical cusp form $f(z)$ of weight four. If $L(s_j, f \otimes u_j) \neq 0$ then the cusp form $u_j(z)$ can be destroyed by a suitable deformation of the group $\Gamma = \Gamma_0(q)$.

The non-vanishing condition was established by Deshouillers - Iwaniec for infinitely many cusp forms. Recently W. Luo got this for a positive density of cusp forms

$$\#\{j; |t_j| < T, L(s_j, f \otimes u_j) \neq 0\} \gg T^2$$

This result shows that Weyl's law cannot hold for cuspidal spectrum alone. Moreover it provides an interesting zeta-function $\varphi(s)$ which is meromorphic of order two.

Closed Geodesic Theorem :

$$\sum_{P \leq X} \log P = X - \sum_{\frac{1}{2} < s_j < 1} \frac{X^{s_j}}{s_j} + O(X^{\frac{3}{4}}).$$

If $\Gamma = \Gamma_0(q)$ then

$$\sum_{P \leq X} \log P = X + O(X^{\frac{7}{10} + \epsilon}) \quad (\text{Luo + Sarason})$$

This improvement requires cancellation of terms in the sum

$$\sum_{|t_j| \leq T} \frac{X^{s_j}}{s_j}, \quad s_j = \frac{1}{2} + it_j$$

A strong estimate for the Rankin-Selberg L-functions is needed.

Small Eigenvalues :

$\Gamma \subset SL_2(\mathbb{R})$, $\Gamma \backslash \mathbb{H}$ compact, smooth, genus $g > 1$.
 $0 = \lambda_0 < \lambda_1 \leq \lambda_2 \leq \dots$, $\lambda_j \sim 4\pi j / \text{vol}(\Gamma \backslash \mathbb{H})$
 by Weyl's law

λ_{2g-3} can be arbitrarily small

$\lambda_{4g-2} \geq \frac{1}{4}$ always

CONJECTURE (A. Selberg). If Γ is a congruence group

$$\lambda_1 \geq \frac{1}{4}.$$

We have:

$$\lambda_1 \geq \frac{3}{16} \quad (\text{due to Selberg, Weil's bound for Kloosterman sums})$$

$$\lambda_1 \geq \frac{1}{4} - \left(\frac{7}{64}\right)^2 \quad (\text{due to H. Kim \& P. Sarason, modularity of the symmetric cube representations})$$

DENSITY THEOREM. If $\Gamma = \Gamma_0(q)$ then for any $\sigma > \frac{1}{2}$

$$\#\{j > 0; s_j > \sigma\} \ll q^{3-4\sigma+\varepsilon}.$$

PROBLEMS OF MULTIPLICITY OF SPECTRA :

$$\dim \mathcal{L}_k(\Gamma, \lambda) \ll \text{vol}(\Gamma \backslash \mathbb{H}) (|\lambda|+1)^{\frac{1}{2}} \\ (\text{by trace formula})$$

Question. For $k=0$ and $\Gamma = SL_2(\mathbb{Z})$ are the eigenvalues of Δ all simple?

For $k \geq 2$ integer, $\Gamma = \Gamma_0(q)$, $\chi(\text{mod } q)$, $\chi(-1) = (-1)^k$ we have

$$\dim S_k(\Gamma, \chi) \asymp kq \prod_{p|q} \left(1 + \frac{1}{p}\right).$$

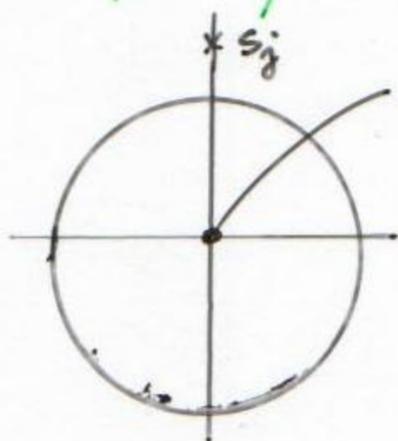
4. CUSP FORMS OF WEIGHT ONE

$k=1$, $\Gamma = \Gamma_0(q)$, $\chi \pmod{q}$ primitive character, $\chi(-1) = -1$.

$$\lambda_0 = \frac{1}{4} \leq \lambda_1 \leq \dots \quad \text{point spectrum}$$

The eigenvalue $\frac{1}{4}$ is not isolated

The space $S_1(\Gamma, \chi)$ lies at the bottom of the continuous spectrum. One cannot pick up $S_1(\Gamma, \chi)$ by a holomorphic test function in the trace formula (*uncertainty principle of harmonic analysis*)



$$\dim S_1(\Gamma, \chi) \ll q^{1+\epsilon}$$

(the trivial bound)

THEOREM (Deligne-Serre, 1974). Every Hecke form $f \in S_1(\Gamma, \chi)$ comes from an irreducible two-dimensional Galois representation $\rho: \text{Gal}(L/\mathbb{Q}) \rightarrow \text{GL}_2(\mathbb{C})$.

By this theorem the Hecke cusp forms of weight one can be classified as being

- dihedral (D_h)
- tetrahedral (A_4)
- octahedral (S_4)
- icosahedral (A_5)

Suppose

$q = p \equiv 3 \pmod{4}$ is prime
 $\chi(m) = \left(\frac{m}{p}\right)$ the Legendre symbol

$$K = \mathbb{Q}(\sqrt{-p})$$

$\mathcal{O}(K)$ the ring of integers

$\mathcal{Cl}(K)$ the ideal class group

$h = h(K) = |\mathcal{Cl}(K)|$ the class number

For any $\psi \in \hat{\mathcal{Cl}}(K)$, $\psi \neq 1$ we have a Hecke cusp form

$$f_\psi(z) = \sum_{0 \neq a \in \mathcal{O}(K)} \psi(a) e(zNa) \in S_1(\Gamma, \chi)$$

All $\psi \neq 1$ are complex (no genus character)

$$f_\psi(z) = \overline{f_{\overline{\psi}}(z)} \quad (\text{no other linear relations})$$

Hence

$$\dim S_1(\Gamma, \chi) \geq \frac{h-1}{2} \gg p^{\frac{1}{2}-\varepsilon}$$

CONJECTURE (J.-P. Serre).

$$\dim S_1(\Gamma, \chi) = \frac{h-1}{2} + O(p^\varepsilon)$$

THEOREM (W. Duke)

$$\dim S_1(\Gamma, \chi) \ll p^{\frac{11}{12} + \varepsilon}$$

The proof by Duke takes advantage of two conflicting properties of the Hecke - Fourier coefficients of non-dihedral cusp forms

$$f(z) = \sum_1^{\infty} \lambda_f(m) e(mz) \in S_1(\Gamma, \chi)$$

The first property is the approximate orthogonality (a large sieve type inequality)

$$\sum_{f \in \mathcal{B}} \left| \sum_{m \leq N} a_n \lambda_f(m) \right|^2 \ll (p+N) \sum_{m \leq N} |a_m|^2$$

where \mathcal{B} is the Hecke basis and a_m are any complex numbers.

The second property is the boundedness of number of values $\lambda_f(l^2)$, for example

$$\lambda_f(l^2) \left(\frac{l}{p} \right) = 0, \pm 1, 3$$

if f comes from octahedral representation. Hence

$$\dim S_{\text{Oct}} \ll p^{\frac{7}{8} + \epsilon}$$

Similarly

$$\dim S_{\text{Ico}} \ll p^{\frac{11}{12} + \epsilon}$$

5. PETERSSON - KUZNETSOV FORMULAS

PETERSSON'S FORMULA. Let $\Gamma = \Gamma_0(q)$, $\chi \pmod{q}$, $\chi(-1) = (-1)^k$, $k \geq 2$. Let \mathcal{B}_k be an orthogonal basis of $S_k(\Gamma, \chi)$. For any $f \in \mathcal{B}_k$ let

$$f(z) = \sum_1^{\infty} \lambda_f(n) n^{\frac{k-1}{2}} e(mz)$$

$$\omega_f = (4\pi)^{1-k} \Gamma(k-1) / \langle f, f \rangle \approx (kq L(1, \text{sym}^2 f))^{-1}$$

Then for any $m, n \geq 1$ we have

$$\sum_{f \in \mathcal{B}_k} \omega_f \bar{\lambda}_f(m) \lambda_f(n) = \delta(m, n) + 2\pi i^k \sum_{c \equiv 0(q)} \bar{c}^{-1} S_{\chi}(m, n; c) J_{k-1}\left(\frac{4\pi\sqrt{mn}}{c}\right)$$

where $J_{k-1}(x)$ is the Bessel function and $S_{\chi}(m, n; c)$ is the Kloosterman sum

$$S_{\chi}(m, n; c) = \sum_{ad \equiv 1 \pmod{c}} \chi(a) e\left(\frac{am + dn}{c}\right)$$

A similar formula holds for Maass cusp forms (due to N.V. Kuznetsov). Let

$$S = \sum_{c \equiv 0(q)} \bar{c}^{-1} S(m, n; c) F\left(\frac{4\pi\sqrt{mn}}{c}\right)$$

where $F(x)$ is a smooth function compactly supported on \mathbb{R}^+ .

KUZNETSOV'S FORMULA. Let $\Gamma = \Gamma_0(q)$. Let $\{f_j(z)\}$ be an orthonormal basis of Maass cusp forms of weight zero, and \mathcal{B}_k an orthonormal basis of holomorphic cusp forms $f(z)$ of weight k (k -even)

$$f_j(z) = \sqrt{y} \sum_{m \neq 0} \rho_j(m) K_{it_j}(2\pi|m|y) e(mx),$$

$$f(z) = \sum_{n=1}^{\infty} \lambda_f(n) n^{\frac{k-1}{2}} e(nz).$$

Then for any $m, n \geq 1$ we have

$$S = \sum_{j=1}^{\infty} M(t_j) \bar{\rho}_j(m) \rho_j(n) + (\text{continuous spectrum integrals}) \\ + \sum_{k \text{ even}} N(k) \sum_{f \in \mathcal{B}_k} \bar{\lambda}_f(m) \lambda_f(n)$$

where $M(t)$ and $N(k)$ are given by the following integrals

$$M(t) = \frac{\pi i}{\sinh(2\pi t)} \int_0^{\infty} \left(J_{2it}(x) - J_{-2it}(x) \right) F(x) \frac{dx}{x}$$

$$N(k) = \frac{4\Gamma(k)}{(4\pi i)^k} \int_0^{\infty} J_{k-1}(x) F(x) \frac{dx}{x}$$

Using estimates for the lowest eigenvalue
 W. Luo, Z. Rudnick and P. Sarnak derived

$$\sum_{\substack{c \leq X \\ c \equiv a(q)}} c^{-1} S(m, n; c) \ll X^{\frac{2}{5} + \varepsilon}$$

Compare this with the trivial estimate $O(X^{\frac{1}{2} + \varepsilon})$
 which follows by Weil's bound for individual
 Kloosterman sums

$$S(m, n; c) \ll c^{\frac{1}{2} + \varepsilon}$$

PROBLEM. Show that $S(m, n; p)$ changes sign
 infinitely often as p runs over primes.

CONJECTURE (N. Katz). The angles θ_p of Kloosterman
 sums

$$S(m, n; p) = 2\sqrt{p} \cos \theta_p, \quad 0 \leq \theta_p < \pi$$

are equidistributed (as $p \rightarrow \infty$) with respect to
 the Sato-Tate measure

$$d\mu_\theta = \frac{2}{\pi} (\sin \theta)^2 d\theta.$$

6. NORMALIZATION OF CUSP FORMS

$$f(z) = \sum_{n=1}^{\infty} \lambda_f(n) n^{\frac{k-1}{2}} e(nz) \quad \text{Hecke cusp form}$$

$$\lambda_f(1) = 1 \quad (\text{arithmetic})$$

$$\langle f, f \rangle = \int_{\Gamma \backslash \mathbb{H}} |f(z)|^2 y^k d\mu z = 1 \quad (\text{spectral})$$

Suppose we have $\lambda_f(1) = 1$. Computing the residue of the Rankin-Selberg L -function

$$L(s, f \otimes f) = \sum_{n=1}^{\infty} |\lambda_f(n)|^2 n^{-s}$$

at $s=1$ we find that

$$\langle f, f \rangle = \frac{2\Gamma(k)}{\pi(4\pi)^k} q \prod_{p|q} \left(1 - \frac{1}{p^2}\right) L(1, \text{sym}^2 f)$$

where $L(s, \text{sym}^2 f)$ is the L -function attached to the symmetric square representation of f . We have

$$(\log kq)^{-1} \ll L(1, \text{sym}^2 f) \ll \log kq$$

(due to J. Hoffstein and P. Lockhart). There is no exceptional zero for the symmetric square L -functions.

7. EQUIDISTRIBUTION OF ROOTS OF QUADRATIC CONGRUENCES

Let $f(X) = aX^2 + bX + c \in \mathbb{Z}[X]$, irreducible.
 The roots of $\left\{ \begin{array}{l} f(v) \equiv 0 \pmod{p} \end{array} \right.$

are equidistributed modulo p , precisely

THEOREM (W. Duke + H.I. + A. Toth). For any continuous function $F(t)$ periodic of period one we have

$$\lim_{x \rightarrow \infty} \frac{1}{\pi(x)} \sum_{p \leq x} \sum_{f(v) \equiv 0 \pmod{p}} F\left(\frac{v}{p}\right) = \int_0^1 F(t) dt.$$

The proof exploits the spectral theory of automorphic forms in its full force (together with the density theorem for small eigenvalues). Moreover a sieve method is used to produce sums over primes.