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**The image of Carmichael's  $\lambda$ -function**

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We show that the counting function of the set of values of Carmichael's  $\lambda$ -function is  $x/(\log x)^{\eta+o(1)}$ , where  $\eta = 1 - (1 + \log \log 2)/(\log 2) = 0.08607\dots$

## 1. Introduction

Euler's function  $\varphi$  assigns to a natural number  $n$  the order of the group of units of the ring of integers modulo  $n$ . It is of course ubiquitous in number theory, as is its close cousin  $\lambda$ , which gives the exponent of the same group. Already appearing in Gauss's *Disquisitiones Arithmeticae*,  $\lambda$  is commonly referred to as Carmichael's function, after R. D. Carmichael, who studied it about a century ago. (A *Carmichael number*  $n$  is composite but nevertheless satisfies  $a^n \equiv a \pmod{n}$  for all integers  $a$ , just as primes do. Carmichael discovered these numbers, which are characterized by the property that  $\lambda(n) \mid n - 1$ .)

It is interesting to study  $\varphi$  and  $\lambda$  as functions. For example, how easy is it to compute  $\varphi(n)$  or  $\lambda(n)$  given  $n$ ? It is indeed easy if we know the prime factorization of  $n$ . Interestingly, we know the converse. By [Miller 1976], given either  $\varphi(n)$  or  $\lambda(n)$ , it is easy to find the prime factorization of  $n$ .

Within the realm of "arithmetic statistics" one can also ask for the behavior of  $\varphi$  and  $\lambda$  on typical inputs  $n$ , and ask how far this varies from their values on average. For  $\varphi$ , this type of question goes back to the dawn of the field of probabilistic number theory with the seminal paper of Schoenberg [1928], while some results in this vein for  $\lambda$  are found in [Erdős et al. 1991].

One can also ask about the value sets of  $\varphi$  and  $\lambda$ . That is, what can one say about the integers which appear as the order or exponent of the groups  $(\mathbb{Z}/n\mathbb{Z})^*$ ?

These are not new questions. Let  $V_\varphi(x)$  denote the number of positive integers  $n \leq x$  for which  $n = \varphi(m)$  for some  $m$ . Pillai [1929] showed  $V_\varphi(x) \leq x/(\log x)^{c+o(1)}$  as  $x \rightarrow \infty$ , where  $c = (\log 2)/e$ . On the other hand, since  $\varphi(p) = p - 1$ ,  $V_\varphi(x)$  is at least  $\pi(x + 1)$  (the number of primes in  $[1, x + 1]$ ), and so  $V_\varphi(x) \geq (1 + o(1))x/\log x$ .

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In one of his earliest papers, Erdős [1935] showed that the lower bound is closer to the truth: we have  $V_\varphi(x) = x/(\log x)^{1+o(1)}$  as  $x \rightarrow \infty$ . This result has since been refined by a number of authors, including Erdős and Hall, Maier and Pomerance, and Ford; see [Ford 1998] for the current state of the art.

Essentially the same results hold for the sum-of-divisors function  $\sigma$ , but only recently were we able to show that there are infinitely many numbers that are simultaneously values of  $\varphi$  and of  $\sigma$  [Ford et al. 2010], thus settling an old problem of Erdős.

In this paper, we address the range problem for Carmichael’s function  $\lambda$ . From the definition of  $\lambda(n)$  as the exponent of the group  $(\mathbb{Z}/n\mathbb{Z})^*$ , it is immediate that  $\lambda(n) \mid \varphi(n)$  and that  $\lambda(n)$  is divisible by the same primes as  $\varphi(n)$ . We also have

$$\lambda(n) = \text{lcm}[\lambda(p^a) : p^a \parallel n],$$

where  $\lambda(p^a) = p^{a-1}(p - 1)$  for odd primes  $p$  with  $a \geq 1$  or  $p = 2$  and  $a \in \{1, 2\}$ . Further,  $\lambda(2^a) = 2^{a-2}$  for  $a \geq 3$ . Put  $V_\lambda(x)$  for the number of integers  $n \leq x$  with  $n = \lambda(m)$  for some  $m$ . Note that since  $p - 1 = \lambda(p)$  for all primes  $p$ , it follows that

$$V_\lambda(x) \geq \pi(x + 1) = (1 + o(1)) \frac{x}{\log x} \quad (x \rightarrow \infty), \tag{1-1}$$

as with  $\varphi$ . In fact, one might suspect that the story for  $\lambda$  is completely analogous to that of  $\varphi$ . As it turns out, this is not the case.

It is fairly easy to see that  $V_\varphi(x) = o(x)$  as  $x \rightarrow \infty$ , since most numbers  $n$  are divisible by many different primes, so most values of  $\varphi(n)$  are divisible by a high power of 2. This argument fails for  $\lambda$ , and in fact it is not immediately obvious that  $V_\lambda(x) = o(x)$  as  $x \rightarrow \infty$ . Such a result was first shown in [Erdős et al. 1991], where it was established that there is a positive constant  $c$  with  $V_\lambda(x) \ll x/(\log x)^c$ . In [Friedlander and Luca 2007], a value of  $c$  in this result was computed. It was shown there that, as  $x \rightarrow \infty$ ,

$$V_\lambda(x) \leq \frac{x}{(\log x)^{\alpha+o(1)}} \quad \text{holds with} \quad \alpha = 1 - e(\log 2)/2 = 0.057913 \dots \tag{1-2}$$

The exponents on the logarithms in the lower and upper bounds (1-1) and (1-2) were brought closer in the recent paper [Luca and Pomerance 2014], where it was shown that, as  $x \rightarrow \infty$ ,

$$\frac{x}{(\log x)^{0.359052}} < V_\lambda(x) \leq \frac{x}{(\log x)^{\eta+o(1)}} \quad \text{with} \quad \eta = 1 - \frac{1 + \log \log 2}{\log 2} = 0.08607 \dots$$

In Section 2.1 of that paper, a heuristic was presented suggesting that the correct exponent of the logarithm should be the number  $\eta$ . In the present paper, we confirm the heuristic from [Luca and Pomerance 2014] by proving the following theorem:

**Theorem 1.** *We have  $V_\lambda(x) = x(\log x)^{-\eta+o(1)}$  as  $x \rightarrow \infty$ .*

Just as results on  $V_\varphi(x)$  can be generalized to similar multiplicative functions, such as  $\sigma$ , we would expect our result to be generalizable to functions similar to  $\lambda$  enjoying the property  $f(mn) = \text{lcm}[f(m), f(n)]$  when  $m, n$  are coprime.

Since the upper bound in [Theorem 1](#) was proved in [\[Luca and Pomerance 2014\]](#), we need only show that  $V_\lambda(x) \geq x/(\log x)^{\eta+o(1)}$  as  $x \rightarrow \infty$ . We remark that in our lower bound argument we will count only squarefree values of  $\lambda$ .

The same number  $\eta$  in [Theorem 1](#) appears in an unrelated problem. As shown by Erdős [\[1960\]](#), the number of distinct entries in the multiplication table for the numbers up to  $n$  is  $n^2/(\log n)^{\eta+o(1)}$  as  $n \rightarrow \infty$ . Similarly, the asymptotic density of the integers with a divisor in  $[n, 2n]$  is  $1/(\log n)^{\eta+o(1)}$  as  $n \rightarrow \infty$ . See [\[Ford 2008a; 2008b\]](#) for more on these kinds of results. As explained in the heuristic argument presented in [\[Luca and Pomerance 2014\]](#), the source of  $\eta$  in the  $\lambda$ -range problem comes from the distribution of integers  $n$  with about  $(1/\log 2) \log \log n$  prime divisors: the number of these numbers  $n \in [2, x]$  is  $x/(\log x)^{\eta+o(1)}$  as  $x \rightarrow \infty$ . Curiously, the number  $\eta$  arises in the same way in the multiplication table problem: most entries in an  $n$ -by- $n$  multiplication table have about  $(1/\log 2) \log \log n$  prime divisors (a heuristic for this is given in the introduction of [\[Ford 2008a\]](#)).

We mention two related unsolved problems. Several papers [\[Banks et al. 2004; Banks and Luca 2011; Freiberg 2012; Pollack and Pomerance 2014\]](#) have discussed the distribution of numbers  $n$  such that  $n^2$  is a value of  $\varphi$ ; in [\[Pollack and Pomerance 2014\]](#) it was shown that the number of such  $n \leq x$  is between  $x/(\log x)^{c_1}$  and  $x/(\log x)^{c_2}$ , where  $c_1 > c_2 > 0$  are explicit constants. Is the count of the form  $x/(\log x)^{c+o(1)}$  for some number  $c$ ? The numbers  $c_1, c_2$  in [\[Pollack and Pomerance 2014\]](#) are not especially close. The analogous problem for  $\lambda$  is wide open. In fact, it seems that a reasonable conjecture (from [\[Pollack and Pomerance 2014\]](#)) is that asymptotically all even numbers  $n$  have  $n^2$  in the range of  $\lambda$ . On the other hand, it has not been proved that there is a lower bound of the shape  $x/(\log x)^c$  with some positive constant  $c$  for the number of such numbers  $n \leq x$ .

## 2. Lemmas

Here we present some estimates that will be useful in our argument. To fix notation, for a positive integer  $q$  and an integer  $a$ , we let  $\pi(x; q, a)$  be the number of primes  $p \leq x$  in the progression  $p \equiv a \pmod{q}$ , and put

$$E^*(x; q) = \max_{y \leq x} \left| \pi(y; q, 1) - \frac{\text{li}(y)}{\varphi(q)} \right|,$$

where  $\text{li}(y) = \int_2^y dt/\log t$ .

We also let  $P^+(n)$  and  $P^-(n)$  denote the largest and smallest prime factors of  $n$ , respectively, with the convention that  $P^-(1) = \infty$  and  $P^+(1) = 0$ . Let  $\omega(m)$  be the number of distinct prime factors of  $m$ , and let  $\tau_k(n)$  be the  $k$ -th divisor function;

that is, the number of ways to write  $n = d_1 \cdots d_k$  with  $d_1, \dots, d_k$  positive integers. Let  $\mu$  denote the Möbius function.

First, we present an estimate for the sum of reciprocals of integers with a given number of prime factors.

**Lemma 2.1.** *Suppose  $x$  is large. Uniformly for  $1 \leq h \leq 2 \log \log x$ ,*

$$\sum_{\substack{P^+(b) \leq x \\ \omega(b)=h}} \frac{\mu^2(b)}{b} \asymp \frac{(\log \log x)^h}{h!}.$$

*Proof.* The upper bound follows very easily from

$$\sum_{\substack{P^+(b) \leq x \\ \omega(b)=h}} \frac{\mu^2(b)}{b} \leq \frac{1}{h!} \left( \sum_{p \leq x} \frac{1}{p} \right)^h = \frac{(\log \log x + O(1))^h}{h!} \asymp \frac{(\log \log x)^h}{h!}$$

upon using Mertens’ theorem and the given upper bound on  $h$ . For the lower bound, we have

$$\sum_{\substack{P^+(b) \leq x \\ \omega(b)=h}} \frac{\mu^2(b)}{b} \geq \frac{1}{h!} \left( \sum_{p \leq x} \frac{1}{p} \right)^h \left[ 1 - \binom{h}{2} \left( \sum_{p \leq x} \frac{1}{p} \right)^{-2} \sum_p \frac{1}{p^2} \right].$$

Again, the sums of  $1/p$  are each  $\log \log x + O(1)$ . The sum of  $1/p^2$  is smaller than 0.46, hence for large enough  $x$  the bracketed expression is at least 0.08, and the desired lower bound follows. □

Next, we recall (see e.g., [Davenport 2000, Chapter 28]) the well-known theorem of Bombieri and Vinogradov, and then we prove a useful corollary.

**Lemma 2.2.** *For any number  $A > 0$  there is a number  $B > 0$  so that for  $x \geq 2$*

$$\sum_{q \leq \sqrt{x} (\log x)^{-B}} E^*(x; q) \ll_A \frac{x}{(\log x)^A}.$$

**Corollary 1.** *For any integer  $k \geq 1$  and number  $A > 0$  we have for all  $x \geq 2$  that*

$$\sum_{q \leq x^{1/3}} \tau_k(q) E^*(x; q) \ll_{k,A} \frac{x}{(\log x)^A}.$$

*Proof.* Apply **Lemma 2.2** with  $A$  replaced by  $2A + k^2$ , Cauchy’s inequality, the trivial bound  $|E^*(x; q)| \ll x/q$  and the easy bound

$$\sum_{q \leq y} \frac{\tau_k^2(q)}{q} \ll_k (\log y)^{k^2} \tag{2-1}$$

to get

$$\begin{aligned} \left( \sum_{q \leq x^{1/3}} \tau_k(q) E^*(x; q) \right)^2 &\leq \left( \sum_{q \leq x^{1/3}} \tau_k(q)^2 |E^*(x; q)| \right) \left( \sum_{q \leq x^{1/3}} |E^*(x; q)| \right) \\ &\ll_{k,A} x \left( \sum_{q \leq x^{1/3}} \frac{\tau_k(q)^2}{q} \right) \frac{x}{(\log x)^{2A+k^2}} \\ &\ll_{k,A} \frac{x^2}{(\log x)^{2A}}, \end{aligned}$$

which leads to the desired conclusion. □

Finally, we need a lower bound from sieve theory.

**Lemma 2.3.** *There are absolute constants  $c_1 > 0$  and  $c_2 \geq 2$  so that for  $y \geq c_2$ ,  $y^3 \leq x$ , and any even positive integer  $b$ , we have*

$$\sum_{\substack{n \in (x, 2x] \\ bn+1 \text{ prime} \\ P^-(n) > y}} 1 \geq \frac{c_1 bx}{\varphi(b) \log(bx) \log y} - 2 \sum_{m \leq y^3} 3^{\omega(m)} E^*(2bx; bm).$$

*Proof.* We apply a standard lower bound sieve to the set

$$\mathcal{A} = \left\{ \frac{\ell-1}{b} : \ell \text{ prime}, \ell \in (bx+1, 2bx], \ell \equiv 1 \pmod{b} \right\}.$$

Letting  $\mathcal{A}_d$  be the set of elements of  $\mathcal{A}$  divisible by a squarefree integer  $d$ , we have  $|\mathcal{A}_d| = Xg(d)/d + r_d$ , where

$$X = \frac{\text{li}(2bx) - \text{li}(bx+1)}{\varphi(b)}, \quad g(d) = \prod_{\substack{p|d \\ p \nmid b}} \frac{p}{p-1}, \quad |r_d| \leq 2E^*(2bx; db).$$

It follows that for  $2 \leq v < w$ ,

$$\sum_{v \leq p < w} \frac{g(p)}{p} \log p = \log \frac{w}{v} + O(1),$$

the implied constant being absolute. Apply [Halberstam and Richert 1974, Theorem 8.3] with  $q = 1$ ,  $\xi = y^{3/2}$  and  $z = y$ , observing that the condition  $\Omega_2(1, L)$  on page 142 of that work holds with an absolute constant  $L$ . With the function  $f(u)$  as defined on pages 225–227 there, we have  $f(3) = \frac{2}{3}e^\gamma \log 2 > \frac{4}{5}$ . Then with  $B_{19}$  the absolute constant in Theorem 8.3 of that work, we have

$$f(3) - B_{19} \frac{L}{(\log \xi)^{1/14}} \geq \frac{1}{2}$$

for large enough  $c_2$ . We obtain the bound

$$\begin{aligned} & \#\{x < n \leq 2x : bn + 1 \text{ prime, } P^-(n) > y\} \\ & \geq \frac{X}{2} \prod_{p \leq y} \left(1 - \frac{g(p)}{p}\right) - \sum_{m \leq \xi^2} 3^{\omega(m)} |r_m| \\ & \geq \frac{c_1 bx}{\varphi(b) \log(bx) \log y} - 2 \sum_{m \leq y^3} 3^{\omega(m)} E^*(2bx; bm). \quad \square \end{aligned}$$

### 3. The set-up

If  $n = \lambda(p_1 p_2 \cdots p_k)$ , where  $p_1, p_2, \dots, p_k$  are distinct primes, then we have  $n = \text{lcm}[p_1 - 1, p_2 - 1, \dots, p_k - 1]$ . If we further assume that  $n$  is squarefree and consider the Venn diagram of the sets  $S_1, \dots, S_k$  of the prime factors of  $p_1 - 1, \dots, p_k - 1$ , respectively, then this equation gives an ordered factorization of  $n$  into  $2^k - 1$  factors (some of which may be the trivial factor 1). Here we “see” the shifted primes  $p_i - 1$  as products of certain subsequences of  $2^{k-1}$  of these factors. Conversely, given  $n$  and an ordered factorization of  $n$  into  $2^k - 1$  factors, we can ask how likely it is for those  $k$  products of  $2^{k-1}$  factors to all be shifted primes. Of course, this is not likely at all, but if  $n$  has many prime factors, and so many factorizations, the odds that there is at least one such “good” factorization improve. For example, when  $k = 2$ , we factor a squarefree number  $n$  as  $a_1 a_2 a_3$ , and we ask for  $a_1 a_2 + 1 = p_1$  and  $a_2 a_3 + 1 = p_2$  to both be prime. If so, we would have  $n = \lambda(p_1 p_2)$ . The heuristic argument from [Luca and Pomerance 2014] was based on this idea. In particular, if a squarefree  $n$  is even and has at least  $\theta_k \log \log n$  odd prime factors (where  $\theta_k > k / \log(2^k - 1)$  is fixed and  $\theta_k \rightarrow 1 / \log 2$  as  $k \rightarrow \infty$ ), then there are so many factorizations of  $n$  into  $2^k - 1$  factors that it becomes likely that  $n$  is a  $\lambda$ -value. The lower bound proof from [Luca and Pomerance 2014] concentrated just on the case  $k = 2$ , but here we attack the general case. As in that work, we let  $r(n)$  be the number of representations of  $n$  as the  $\lambda$  of a number with  $k$  primes. To see that  $r(n)$  is often positive, we show that its average value is large, and that the average value of  $r(n)^2$  is not much larger. Our conclusion will follow from Cauchy’s inequality.

Let  $k \geq 2$  be a fixed integer, let  $x$  be sufficiently large (in terms of  $k$ ), and put

$$y = \exp \left\{ \frac{\log x}{200k \log \log x} \right\}, \quad l = \left\lfloor \frac{k}{(2^k - 1) \log(2^k - 1)} \log \log y \right\rfloor. \quad (3-1)$$

For  $n \leq x$ , let  $r(n)$  be the number of representations of  $n$  of the form

$$n = \prod_{i=0}^{k-1} a_i \prod_{j=1}^{2^k-1} b_j, \quad (3-2)$$

where  $P^+(b_j) \leq y < P^-(a_i)$  for all  $i$  and  $j$ , where  $2 \mid b_{2^k-1}$ , where  $\omega(b_j) = l$  for each  $j$ , where  $a_i > 1$  for all  $i$ , and where furthermore  $a_i B_i + 1$  is prime for all  $i$ , where

$$B_i = \prod_{\lfloor j/2^i \rfloor \text{ odd}} b_j. \tag{3-3}$$

Observe that each  $B_i$  is even since it is a multiple of  $b_{2^k-1}$  (because  $\lfloor (2^k - 1)/2^i \rfloor = 2^{k-i} - 1$  is odd), each  $B_i$  is the product of  $2^{k-1}$  of the numbers  $b_j$ , and that every  $b_j$  divides  $B_0 \cdots B_{k-1}$ . Also, if  $n$  is squarefree and  $r(n) > 0$ , then the primes  $a_i B_i + 1$  are all distinct, and it follows that

$$n = \lambda \left( \prod_{i=0}^{k-1} (a_i B_i + 1) \right);$$

therefore such  $n \leq x$  are counted by  $V_\lambda(x)$ . We count how often  $r(n) > 0$  using Cauchy's inequality in the following standard way:

$$\#\{2^{-2k}x < n \leq x : \mu^2(n) = 1, r(n) > 0\} \geq \frac{S_1^2}{S_2}, \tag{3-4}$$

where

$$S_1 = \sum_{2^{-2k}x < n \leq x} \mu^2(n)r(n), \quad S_2 = \sum_{2^{-2k}x < n \leq x} \mu^2(n)r^2(n).$$

Our application of Cauchy's inequality is rather sharp, as we will show below that  $r(n)$  is approximately 1 on average over the kind of integers we are interested in, both in mean and in mean-square. More precisely, in the next section, we prove

$$S_1 \gg \frac{x}{(\log x)^{\beta_k} (\log \log x)^{O_k(1)}}, \tag{3-5}$$

and in the final section we prove

$$S_2 \ll \frac{x(\log \log x)^{O_k(1)}}{(\log x)^{\beta_k}}, \tag{3-6}$$

where

$$\beta_k = 1 - \frac{k}{\log(2^k - 1)} (1 + \log \log(2^k - 1) - \log k). \tag{3-7}$$

Together, the inequalities (3-4), (3-5) and (3-6) imply that

$$V_\lambda(x) \gg \frac{x}{(\log x)^{\beta_k} (\log \log x)^{O_k(1)}}.$$

We deduce the lower bound of [Theorem 1](#) by noting that  $\lim_{k \rightarrow \infty} \beta_k = \eta$ .

Throughout, constants implied by the symbols  $O$ ,  $\ll$ ,  $\gg$ , and  $\asymp$  may depend on  $k$ , but not on any other variable.

### 4. The lower bound for $S_1$

For convenience, when using the sieve bound in [Lemma 2.3](#), we consider a slightly larger sum  $S'_1$  than  $S_1$ , namely

$$S'_1 := \sum_{n \in \mathcal{N}} r(n),$$

where  $\mathcal{N}$  is the set of  $n \in (2^{-2k}x, x]$  of the form  $n = n_0n_1$  with  $P^+(n_0) \leq y < P^-(n_1)$  and  $n_0$  squarefree. That is, in  $S'_1$  we no longer require the numbers  $a_0, \dots, a_{k-1}$  in [\(3-2\)](#) to be squarefree. The difference between  $S_1$  and  $S'_1$  is very small; indeed, putting  $h = 2^k + k - 1$ , note that  $r(n) \leq \tau_h(n)$ , so that we have by [\(3-2\)](#) the estimate

$$\begin{aligned} S'_1 - S_1 &\leq \sum_{\substack{n \leq x \\ \exists p > y: p^2 | n}} \tau_h(n) \leq \sum_{p > y} \sum_{\substack{n \leq x \\ p^2 | n}} \tau_h(n) \leq \sum_{p > y} \tau_h(p^2) \sum_{m \leq x/p^2} \tau_h(m) \\ &\leq \sum_{p > y} \tau_h(p^2) \frac{x}{p^2} \sum_{m \leq x} \frac{\tau_h(m)}{m} \ll \frac{x(\log x)^h}{y}. \end{aligned} \tag{4-1}$$

Here we have used the inequality  $\tau_h(uv) \leq \tau_h(u)\tau_h(v)$ , as well as the easy bound

$$\sum_{m \leq x} \frac{\tau_h(m)}{m} \ll (\log x)^h, \tag{4-2}$$

which is similar to [\(2-1\)](#). By [\(3-2\)](#), the sum  $S'_1$  counts the number of  $(2^{k-1}+k)$ -tuples  $(a_0, \dots, a_{k-1}, b_1, \dots, b_{2^{k-1}})$  satisfying

$$2^{-2k}x < a_0 \cdots a_{k-1}b_1 \cdots b_{2^{k-1}} \leq x \tag{4-3}$$

and with  $P^+(b_j) \leq y < P^+(a_i)$  for every  $i$  and  $j$ ,  $b_1 \cdots b_{2^{k-1}}$  squarefree,  $2 \mid b_{2^{k-1}}$ ,  $\omega(b_j) = l$  for every  $j$ ,  $a_i > 1$  for every  $i$ , and  $a_i B_i + 1$  prime for every  $i$ , where  $B_i$  is defined in [\(3-3\)](#). Fix numbers  $b_1, \dots, b_{2^{k-1}}$ . Then

$$b_1 \cdots b_{2^{k-1}} \leq y^{(2^k-1)l} \leq y^{2 \log \log x} = x^{1/100k}. \tag{4-4}$$

In the above, we used the fact that  $k \leq 2 \log(2^k - 1)$ . Fix also  $A_0, \dots, A_{k-1}$ , each a power of 2 exceeding  $x^{1/2k}$ , such that

$$\frac{x}{2b_1 \cdots b_{2^{k-1}}} < A_0 \cdots A_{k-1} \leq \frac{x}{b_1 \cdots b_{2^{k-1}}}. \tag{4-5}$$

Then [\(4-3\)](#) holds whenever  $A_i/2 < a_i \leq A_i$  for each  $i$ . By [Lemma 2.3](#), using the facts that  $B_i/\varphi(B_i) \geq 2$  (because  $B_i$  is even) and  $A_i B_i \leq x$  (a consequence of [\(4-5\)](#)),

we deduce that the number of choices for each  $a_i$  is at least

$$\frac{c_1 A_i}{\log x \log y} - 2 \sum_{m \leq y^3} 3^{\omega(m)} E^*(A_i B_i; m B_i).$$

Using the elementary inequality

$$\prod_{j=1}^k \max(0, x_j - y_j) \geq \prod_{j=1}^k x_j - \sum_{i=1}^k y_i \prod_{j \neq i} x_j,$$

valid for any nonnegative real numbers  $x_j, y_j$ , we find that the number of admissible  $k$ -tuples  $(a_0, \dots, a_{k-1})$  is at least

$$\frac{c_1^k A_0 \cdots A_{k-1}}{(\log x \log y)^k} - \frac{2c_1^{k-1} A_0 \cdots A_{k-1}}{(\log x \log y)^{k-1}} \sum_{i=0}^{k-1} \frac{1}{A_i} \sum_{m \leq y^3} 3^{\omega(m)} E^*(A_i B_i; m B_i) = M(\mathbf{A}, \mathbf{b}) - R(\mathbf{A}, \mathbf{b}),$$

say. By symmetry and (4-5),

$$\sum_{\mathbf{A}, \mathbf{b}} R(\mathbf{A}, \mathbf{b}) \ll \frac{x}{(\log x \log y)^{k-1}} \sum_{\mathbf{b}} \frac{1}{b_1 \cdots b_{2^k-1}} \sum_{\mathbf{A}} \frac{1}{A_0} \sum_{m \leq y^3} 3^{\omega(m)} E^*(A_0 B_0; m B_0), \quad (4-6)$$

where the sum on  $\mathbf{b}$  is over all  $(2^k - 1)$ -tuples satisfying  $b_1 \cdots b_{2^k-1} \leq x^{1/100k}$ . Write  $b_1 \cdots b_{2^k-1} = B_0 B'_0$ , where  $B'_0 = b_2 b_4 \cdots b_{2^k-2}$ . Given  $B_0$  and  $B'_0$ , the number of corresponding tuples  $(b_1, \dots, b_{2^k-1})$  is at most  $\tau_{2^k-1}(B_0) \tau_{2^k-1}(B'_0)$ . Suppose  $D/2 < B_0 \leq D$ , where  $D$  is a power of 2. Since  $E^*(x; q)$  is an increasing function of  $x$ ,  $E^*(A_0 B_0; m B_0) \leq E^*(A_0 D; m B_0)$ . Also,  $3^{\omega(m)} \leq \tau_3(m)$  and

$$\sum_{B'_0 \leq x} \frac{\tau_{2^k-1}(B'_0)}{B'_0} \ll (\log x)^{2^k-1-1}$$

(this is (4-2) with  $h$  replaced by  $2^k - 1$ ). We therefore deduce that

$$\sum_{\mathbf{A}, \mathbf{b}} R(\mathbf{A}, \mathbf{b}) \ll \frac{x(\log x)^{2^k-1-1}}{(\log x \log y)^{k-1}} \sum_{\mathbf{A}} \frac{1}{A_0} \sum_D \frac{1}{D} \sum_{\substack{D/2 < B_0 \leq D \\ m \leq y^3}} \tau_3(m) \tau_{2^k-1}(B_0) E^*(A_0 D; m B_0),$$

with the sum taken over  $(A_0, \dots, A_{k-1}, D)$ , each a power of 2,  $D \leq x^{1/100k}$ ,  $A_i \geq x^{1/2^k}$  for each  $i$  and  $A_0 \cdots A_{k-1} D \leq x$ . With  $A_0$  and  $D$  fixed, the number of

choices for  $(A_1, \dots, A_{k-1})$  is  $\ll (\log x)^{k-1}$ . Writing  $q = mB_0$ , we obtain

$$\begin{aligned} \sum_{A,b} R(A, b) &\ll x \frac{(\log x)^{2^{k-1}-1}}{(\log y)^{k-1}} \sum_{D \leq x^{1/100k}} \sum_{x^{1/2k} < A_0 \leq x/D} \frac{1}{A_0 D} \sum_{q \leq y^3 x^{1/100k}} \tau_{2^{k-1}+3}(q) E^*(A_0 D; q) \\ &\ll \frac{x}{(\log x)^{\beta_k+1}}, \end{aligned}$$

where we used [Corollary 1](#) in the last step, with  $A = 2^{k-1} - k + 4 + \beta_k$ .

For the main term, by [\(4-5\)](#), given any  $b_1, \dots, b_{2k-1}$ , the product  $A_0 \cdots A_{k-1}$  is determined (and larger than  $\frac{1}{2}x^{1-1/100k}$  by [\(4-4\)](#)), so there are  $\gg (\log x)^{k-1}$  choices for the  $k$ -tuple  $A_0, \dots, A_{k-1}$ . Hence,

$$\sum_{A,b} M(A, b) \gg \frac{x}{(\log y)^k \log x} \sum_b \frac{1}{b_1 \cdots b_{2k-1}}.$$

Let  $b = b_1 \cdots b_{2k-1}$ . Given an even, squarefree integer  $b$ , the number of ordered factorizations of  $b$  as  $b = b_1 \cdots b_{2k-1}$ , where each  $\omega(b_i) = l$  and  $b_{2k-1}$  is even, is equal to

$$\frac{((2^k - 1)l)!}{(2^k - 1)(l!)^{2^{k-1}}}.$$

Let  $b' = b/2$ , so  $h := \omega(b') = (2^k - 1)l - 1 = k(\log \log y) / \log(2^k - 1) + O(1)$ . Applying [Lemma 2.1](#), Stirling's formula and the fact that  $(2^k - 1)l = h + O(1)$  produces

$$\begin{aligned} \sum_b \frac{1}{b_1 \cdots b_{2k-1}} &\geq \frac{((2^k - 1)l)!}{2(2^k - 1)(l!)^{2^{k-1}}} \sum_{\substack{P^+(b') \leq y \\ \omega(b')=h}} \frac{\mu^2(b')}{b'} \\ &\gg \frac{((2^k - 1)l)! (\log \log y)^h}{(l!)^{2^{k-1}} h!} = \frac{(\log \log y)^h}{(l!)^{2^{k-1}}} (\log \log x)^{O(1)} \\ &= \left[ \frac{(2^k - 1)e \log(2^k - 1)}{k} \right]^{(2^k - 1)l} (\log \log x)^{O(1)} \\ &= (\log y)^{\frac{k}{\log(2^k - 1)} \log \left[ \frac{(2^k - 1)e \log(2^k - 1)}{k} \right]} (\log \log x)^{O(1)} \\ &= (\log y)^{k - \beta_k + 1} (\log \log x)^{O(1)}. \end{aligned}$$

Invoking [\(3-1\)](#), we obtain that

$$\sum_{A,b} M(A, b) \geq \frac{x}{(\log x)^{\beta_k} (\log \log x)^{O(1)}}. \tag{4-7}$$

Inequality [\(3-5\)](#) now follows from estimate [\(4-7\)](#) and our earlier estimates [\(4-1\)](#) of  $S'_1 - S_1$  and [\(4-6\)](#) of  $\sum_{A,b} R(A, b)$ .

### 5. A multivariable sieve upper bound

Here we prove an estimate from sieve theory that will be useful in our treatment of the upper bound for  $S_2$ .

**Lemma 5.1.** *Suppose that:*

- $y, x_1, \dots, x_h$  are reals with  $3 < y \leq 2 \min\{x_1, \dots, x_h\}$ .
- $I_1, \dots, I_k$  are nonempty subsets of  $\{1, \dots, h\}$ .
- $b_1, \dots, b_k$  are positive integers such that if  $I_i = I_j$ , then  $b_i \neq b_j$ .

For  $\mathbf{n} = (n_1, \dots, n_h)$  a vector of positive integers and for  $1 \leq j \leq k$ , let  $N_j = N_j(\mathbf{n}) = \prod_{i \in I_j} n_i$ . Then

$$\#\{\mathbf{n} : x_i < n_i \leq 2x_i (1 \leq i \leq h), P^-(n_1 \cdots n_h) > y, b_j N_j + 1 \text{ prime } (1 \leq j \leq k)\} \\ \ll_{h,k} \frac{x_1 \cdots x_h}{(\log y)^{h+k}} (\log \log(3b_1 \cdots b_k))^k.$$

*Proof.* Throughout this proof, all Vinogradov symbols  $\ll$  and  $\gg$  as well as the Landau symbol  $O$  depend on both  $h$  and  $k$ . Without loss of generality, suppose that  $y \leq (\min(x_i))^{1/(h+k+10)}$ . Since  $n_i > x_i \geq y^{h+k+10}$  for every  $i$ , we see that the number of  $h$ -tuples in question does not exceed

$$S := \#\{\mathbf{n} : x_i < n_i \leq 2x_i (1 \leq i \leq h), P^-(n_1 \cdots n_h (b_1 N_1 + 1) \cdots (b_k N_k + 1)) > y\}.$$

We estimate  $S$  in the usual way with sieve methods, although this is a bit more general than the standard applications and we give the proof in some detail (the case  $h = 1$  being completely standard). Let  $\mathcal{A}$  denote the multiset

$$\mathcal{A} = \left\{ n_1 \cdots n_h \prod_{j=1}^k (b_j N_j + 1) : x_j < n_j \leq 2x_j (1 \leq j \leq h) \right\}.$$

For squarefree  $d \leq y^2$  composed of primes  $\leq y$ , we have by a simple counting argument

$$|\mathcal{A}_d| := \#\{a \in \mathcal{A} : d \mid a\} = \frac{\nu(d)}{d^h} X + r_d,$$

where  $X = x_1 \cdots x_h$ ,  $\nu(d)$  is the number of solution vectors  $\mathbf{n}$  modulo  $d$  of the congruence

$$n_1 \cdots n_h \prod_{j=1}^k (b_j N_j + 1) \equiv 0 \pmod{d},$$

and the remainder term satisfies, for  $d \leq \min(x_1, \dots, x_h)$ ,

$$|r_d| \leq v(d) \sum_{i=1}^h \prod_{\substack{1 \leq l \leq h \\ l \neq i}} \left( \left\lfloor \frac{x_l}{d} \right\rfloor + 1 \right) \leq v(d) \sum_{i=1}^h \frac{(x_1 + d) \cdots (x_h + d)}{(x_i + d)d^{h-1}}$$

$$\ll \frac{v(d)X}{d^{h-1} \min(x_i)}.$$

The function  $v(d)$  is clearly multiplicative and satisfies the global upper bound  $v(p) \leq (h+k)p^{h-1}$  for every  $p$ . If  $v(p) = p^h$  for some  $p \leq y$ , then clearly  $S = 0$ . Otherwise, the hypotheses of [Halberstam and Richert 1974, Theorem 6.2] (Selberg’s sieve) are clearly satisfied, with  $\kappa = h+k$ , and we deduce that

$$S \ll X \prod_{p \leq y} \left( 1 - \frac{v(p)}{p^h} \right) + \sum_{\substack{d \leq y^2 \\ P^+(d) \leq y}} \mu^2(d) 3^{\omega(d)} |r_d|.$$

By our initial assumption about the size of  $y$ ,

$$\sum_{d \leq y^2} \mu^2(d) 3^{\omega(d)} |r_d| \ll \frac{X}{\min(x_i)} \sum_{d \leq y^2} (3k+3h)^{\omega(d)} \ll \frac{Xy^3}{\min(x_i)} \ll \frac{X}{y}.$$

For the main term, consideration only of the congruence  $n_1 \cdots n_h \equiv 0 \pmod{p}$  shows that

$$v(p) \geq h(p-1)^{h-1} = hp^{h-1} + O(p^{h-2})$$

for all  $p$ . On the other hand, suppose that  $p \nmid b_1 \cdots b_k$  and furthermore that  $p \nmid (b_i - b_j)$  whenever  $I_i = I_j$ . Each congruence  $b_j N_j + 1 \equiv 0 \pmod{p}$  has  $p^{h-1} + O(p^{h-2})$  solutions with  $n_1 \dots n_h \not\equiv 0 \pmod{p}$ , and any two of these congruences have  $O(p^{h-2})$  common solutions. Hence,  $v(p) = (h+k)p^{h-1} + O(p^{h-2})$ . In particular,

$$\frac{h}{p} + O\left(\frac{1}{p^2}\right) \leq \frac{v(p)}{p^h} \leq \frac{h+k}{p} + O\left(\frac{1}{p^2}\right). \tag{5-1}$$

Further, writing  $E = b_1 \cdots b_k \prod_{i \neq j} |b_i - b_j|$ , the upper bound (5-1) above is in fact an equality except when  $p \mid E$ . We obtain

$$\prod_{p \leq y} \left( 1 - \frac{v(p)}{p^h} \right) \ll \prod_{p \leq y} \left( 1 - \frac{1}{p} \right)^{k+h} \prod_{p \mid E} \left( 1 - \frac{1}{p} \right)^{-k} \ll \frac{(E/\varphi(E))^k}{(\log y)^{h+k}} \ll \frac{(\log \log 3E)^k}{(\log y)^{h+k}}$$

and the desired bound follows. □

### 6. The upper bound for $S_2$

Here,  $S_2$  is the number of solutions of

$$n = \prod_{i=0}^{k-1} a_i \prod_{j=1}^{2^k-1} b_j = \prod_{i=0}^{k-1} a'_i \prod_{j=1}^{2^k-1} b'_j, \tag{6-1}$$

with  $2^{-2k}x < n \leq x$ ,  $n$  squarefree,

$$P^+(b_1 b'_1 \cdots b_{2^k-1} b'_{2^k-1}) \leq y < P^-(a_0 a'_0 \cdots a_{k-1} a'_{k-1}),$$

$\omega(b_j) = \omega(b'_j) = l$  for every  $j$ ,  $a_i > 1$  for every  $i$ ,  $2 \mid b_{2^k-1}$ ,  $2 \mid b'_{2^k-1}$ , and  $a_i B_i + 1$  and  $a'_i B'_i + 1$  prime for  $0 \leq i \leq k - 1$ , where  $B'_i$  is defined analogously to  $B_i$  (see (3-3)). Trivially, we have

$$a := \prod_{i=0}^{k-1} a_i = \prod_{i=0}^{k-1} a'_i, \quad b := \prod_{j=1}^{2^k-1} b_j = \prod_{j=1}^{2^k-1} b'_j. \tag{6-2}$$

We partition the solutions of (6-1) according to the number of the primes  $a_i B_i + 1$  that are equal to one of the primes  $a'_j B'_j + 1$ , a number which we denote by  $m$ . By symmetry (that is, by appropriate permutation of the vectors  $(a_0, \dots, a_{k-1})$ ,  $(a'_0, \dots, a'_{k-1})$ ,  $(b_1, \dots, b_{2^k-1})$  and  $(b'_1, \dots, b'_{2^k-1})$ <sup>1</sup>), without loss of generality we may suppose that  $a_i B_i = a'_i B'_i$  for  $0 \leq i \leq m - 1$  and that

$$a_i B_i \neq a_j B_j \quad (i \geq m, j \geq m). \tag{6-3}$$

Consequently,

$$a_i = a'_i \quad \text{and} \quad B_i = B'_i \quad (0 \leq i \leq m - 1). \tag{6-4}$$

Now fix  $m$  and all the  $b_j$  and  $b'_j$ . For  $0 \leq i \leq m - 1$ , place  $a_i$  into a dyadic interval  $(A_i/2, A_i]$ , where  $A_i$  is a power of 2. The primality conditions on the remaining variables are now coupled with the condition

$$a_m \cdots a_{k-1} = a'_m \cdots a'_{k-1}.$$

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<sup>1</sup>The permutations may be described explicitly. Suppose that  $m \leq k - 1$  and that we wish to permute  $(b_1, \dots, b_{2^k-1})$  such that  $B_{i_1}, \dots, B_{i_m}$  become  $B_0, \dots, B_{m-1}$ , respectively. Let  $S_j = \{1 \leq j \leq 2^k - 1 : \lfloor j/2^i \rfloor \text{ odd}\}$ . The Venn diagram for the sets  $S_{i_1}, \dots, S_{i_m}$  has  $2^m - 1$  components of size  $2^{k-m-1}$  and one component of size  $2^{k-m-1} - 1$ , and we map the variables  $b_j$  with  $j$  in a given component to the variables whose indices are in the corresponding component of the Venn diagram for  $S_0, \dots, S_{m-1}$ .

To aid the bookkeeping, let  $\alpha_{i,j} = \gcd(a_i, a'_j)$  for  $m \leq i, j \leq k-1$ . Then

$$a_i = \prod_{j=m}^{k-1} \alpha_{i,j}, \quad a'_j = \prod_{i=m}^{k-1} \alpha_{i,j}. \tag{6-5}$$

As each  $a_i > 1, a'_j > 1$ , each product above contains at least one factor that is greater than 1. Let  $I$  denote the set of pairs of indices  $(i, j)$  such that  $\alpha_{i,j} > 1$ , and fix  $I$ . For  $(i, j) \in I$ , place  $\alpha_{i,j}$  into a dyadic interval  $(A_{i,j}/2, A_{i,j}]$ , where  $A_{i,j}$  is a power of 2 and  $A_{i,j} \geq y$ . By the assumption on the range of  $n$ , we have

$$A_0 \cdots A_{m-1} \prod_{(i,j) \in I} A_{i,j} \asymp \frac{x}{b}. \tag{6-6}$$

For  $0 \leq i \leq m-1$ , we use [Lemma 5.1](#) (with  $h = 1$ ) to deduce that the number of  $a_i$  with  $A_i/2 < a_i \leq A_i, P^-(a_i) > y$  and  $a_i B_i + 1$  prime is

$$\ll \frac{A_i \log \log B_i}{\log^2 y} \ll \frac{A_i (\log \log x)^3}{\log^2 x}. \tag{6-7}$$

Counting the vectors  $(\alpha_{i,j})_{(i,j) \in I}$  subject to the conditions

- $A_{i,j}/2 < \alpha_{i,j} \leq A_{i,j}$  and  $P^-(\alpha_{i,j}) > y$  for  $(i, j) \in I$ ;
- $a_i B_i + 1$  prime ( $m \leq i \leq k-1$ );
- $a'_j B'_j + 1$  prime ( $m \leq j \leq k-1$ );
- condition (6-5)

is also accomplished with [Lemma 5.1](#), this time with  $h = |I|$  and with  $2(k-m)$  primality conditions. The hypothesis in the lemma concerning identical sets  $I_i$ , which may occur if  $\alpha_{i,j} = a_i = a'_j$  for some  $i$  and  $j$ , is satisfied by our assumption (6-3), which implies in this case that  $B_i \neq B'_j$ . The number of such vectors is at most

$$\ll \frac{\prod_{(i,j) \in I} A_{i,j} (\log \log x)^{2k-2m}}{(\log y)^{|I|+2k-2m}} \ll \frac{\prod_{(i,j) \in I} A_{i,j} (\log \log x)^{|I|+4k-4m}}{(\log x)^{|I|+2k-2m}}. \tag{6-8}$$

Combining the bounds (6-7) and (6-8), and recalling (6-6), we see that the number of possibilities for the  $2k$ -tuple  $(a_0, \dots, a_{k-1}, a'_0, \dots, a'_{k-1})$  is at most

$$\ll \frac{x (\log \log x)^{O(1)}}{b (\log x)^{|I|+2k}}.$$

With  $I$  fixed, there are  $O((\log x)^{|I|+m-1})$  choices for  $A_0, \dots, A_{m-1}$  and  $A_{i,j}$  subject to (6-6), and there are  $O(1)$  possibilities for  $I$ . We infer that with  $m$  and all of the

$b_j, b'_j$  fixed, the number of possible  $(a_0, \dots, a_{k-1}, a'_0, \dots, a'_{k-1})$  is at most

$$\ll \frac{x(\log \log x)^{O(1)}}{b(\log x)^{2k+1-m}}.$$

We next prove that the identities in (6-4) imply that

$$B_v = B'_v \quad (v \in \{0, 1\}^m), \tag{6-9}$$

where  $B_v$  is the product of all  $b_j$  where the  $m$  least significant base-2 digits of  $j$  are given by the vector  $v$ , and  $B'_v$  is defined analogously. Fix  $v = (v_0, \dots, v_{m-1})$ . For  $0 \leq i \leq m - 1$ , let  $C_i = B_i$  if  $v_i = 1$  and  $C_i = b/B_i$  if  $v_i = 0$ , and define  $C'_i$  analogously. By (3-3), each number  $b_j$  where the last  $m$  base-2 digits of  $j$  are equal to  $v$  divides every  $C_i$ , and no other  $b_j$  has this property. By (6-4),  $C_i = C'_i$  for each  $i$  and thus

$$C_0 \cdots C_{m-1} = C'_0 \cdots C'_{m-1}.$$

As the numbers  $b_j$  are pairwise coprime, in the above equality the primes having exponent  $m$  on the left are exactly those dividing  $B_v$ , and similarly the primes on the right side having exponent  $m$  are exactly those dividing  $B'_v$ . This proves (6-9).

Say  $b$  is squarefree. We count the number of dual factorizations of  $b$  compatible with both (6-2) and (6-9). Each prime dividing  $b$  first ‘‘chooses’’ which  $B_v = B'_v$  to divide. Once this choice is made, there is the choice of which  $b_j$  to divide and also which  $b'_j$ . For the  $2^m - 1$  vectors  $v \neq \mathbf{0}$ ,  $B_v = B'_v$  is the product of  $2^{k-m}$  numbers  $b_j$  and also the product of  $2^{k-m}$  numbers  $b'_j$ . Similarly,  $B_{\mathbf{0}}$  is the product of  $2^{k-m} - 1$  numbers  $b_j$  and  $2^{k-m} - 1$  numbers  $b'_j$ . Thus, ignoring that  $\omega(b_j) = \omega(b'_j) = l$  for each  $j$  and that  $b_{2^k-1}$  and  $b'_{2^k-1}$  are even, the number of dual factorizations of  $b$  is at most

$$((2^m - 1)(2^{k-m})^2 + (2^{k-m} - 1)^2)^{\omega(b)} = (2^{2k-m} - 2^{k+1-m} + 1)^{\omega(b)}. \tag{6-10}$$

Again, let

$$h = \omega(b) = (2^k - 1)l = \frac{k}{\log(2^k - 1)} \log \log y + O(1),$$

as in Section 4. Lemma 2.1 and Stirling's formula give

$$\sum_{\substack{P^+(b) \leq y \\ \omega(b) = h}} \frac{\mu^2(b)}{b} \ll \frac{(\log \log y)^h}{h!} \ll (e \log(2^k - 1)/k)^h.$$

Combined with our earlier bound (6-10) for the number of admissible ways to dual factor each  $b$ , we obtain

$$S_2 \ll \frac{x(\log \log x)^{O(1)}}{\log x} (e \log(2^k - 1)/k)^h \times \sum_{m=0}^k (\log y)^{m-2k+\frac{k}{\log(2^k-1)} \log(2^{2k-m}-2^{k+1-m}+1)}. \quad (6-11)$$

For real  $t \in [0, k]$ , let  $f(t) = k \log(2^{2k-t} - 2^{k+1-t} + 1) - (2k - t) \log(2^k - 1)$ . We have  $f(0) = f(k) = 0$  and

$$f''(t) = \frac{k(\log 2)^2(2^{2k} - 2^{k+1})2^{-t}}{(2^{2k-t} - 2^{k+1-t} + 1)^2} > 0.$$

Hence,  $f(t) < 0$  for  $0 < t < k$ . Thus, the sum on  $m$  in (6-11) is  $O(1)$ , and (3-6) follows.

**Theorem 1** is therefore proved.

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