



**Elliptic Surfaces & Fibrations  
AMS Sectional Meeting  
(Lawrenceville, NJ)**

**The effect of zeros of elliptic curve  
L-functions at the central point on  
nearby zeros**

Steven J. Miller

The Ohio State University

(Joint with Eduardo Dueñez and Aaron Lint)

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[http://www.math.ohio-state.edu  
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# Collaborators

## Theory

- Eduardo Dueñez

## Programs

- Jon Hsu
- Leo Goldmakher
- Aaron Lint
- Stephen Lu
- Atul Pokharel
- Michael Rubinstein

# Origins of Random Matrix Theory

Classical Mechanics: 3 Body Problem Intractable.

Heavy nuclei like Uranium (200+ protons / neutrons) even worse!

Info by shooting high-energy neutrons into nucleus.

## Fundamental Equation: Quantum Mechanics

$$H\psi_n = E_n\psi_n$$

Similar to stat mech, leads to considering eigenvalues of ensembles of matrices.

Real Symmetric (GOE), Complex Hermitian (GUE),  
Classical Compact Groups.

## Measures of Spacings: $n$ -Level Correlations

$\{\alpha_j\}$  be an increasing sequence of numbers,  $B \subset \mathbf{R}^{n-1}$  a compact box. Define the  $n$ -level correlation by

$$\lim_{N \rightarrow \infty} \frac{\#\left\{ \left( \alpha_{j_1} - \alpha_{j_2}, \dots, \alpha_{j_{n-1}} - \alpha_{j_n} \right) \in B, j_i \neq j_k \leq N \right\}}{N}$$

### Results on Zeros (Assuming GRH):

1. Normalized spacings of  $\zeta(s)$  starting at  $10^{20}$  (Odlyzko)
2. Pair and triple correlations of  $\zeta(s)$  (Montgomery, Hejhal)
3.  $n$ -level correlations for all automorphic cuspidal  $L$ -functions (Rudnick-Sarnak)
4.  $n$ -level correlations for the classical compact groups (Katz-Sarnak)
5. **insensitive to any finite set of zeros**

## Measures of Spacings: $n$ -Level Density and Families

Let  $\phi(x) = \prod_i \phi_i(x_i)$ ,  $\phi_i$  even Schwartz functions,  $\widehat{\phi}$  compactly supported.

$$D_{n,f}(\phi) = \sum_{\substack{j_1, \dots, j_n \\ \text{distinct}}} \phi_1\left(L_f \gamma_f^{(j_1)}\right) \cdots \phi_n\left(L_f \gamma_f^{(j_n)}\right)$$

$L_f$  = Conductor, Scale factor for low zeros.

1. individual zeros contribute in limit
2. most of contribution is from low zeros
3. average over similar curves (family)

$$D_{n,\mathcal{F}}(\phi) = \frac{1}{|\mathcal{F}|} \sum_{f \in \mathcal{F}} D_{n,f}(\phi).$$

## Limiting Behavior

As  $N \rightarrow \infty$ ,

$$\begin{aligned} & \frac{1}{|\mathcal{F}_N|} \sum_{f \in \mathcal{F}_N} D_{1,f}(\phi) \\ &= \frac{1}{|\mathcal{F}_N|} \sum_{f \in \mathcal{F}_N} \sum_j \phi \left( \frac{\gamma_f^{(j)} \log L_f}{2\pi} \right) \\ &\rightarrow \int \phi(x) W_{1,\mathcal{G}(\mathcal{F})}(x) dx \\ &\rightarrow \int \widehat{\phi}(y) \widehat{W}_{1,\mathcal{G}(\mathcal{F})}(y) dy. \end{aligned}$$

**Conj:** Distribution of Low Zeros agrees with a classical compact group.

## 1-Level Densities

Fourier Transforms for 1-level densities:

$$\begin{aligned}\widehat{W}_{1,SO(\text{even})}(u) &= \delta_0(u) + \frac{1}{2}\eta(u) \\ \widehat{W}_{1,SO}(u) &= \delta_0(u) + \frac{1}{2} \\ \widehat{W}_{1,SO(\text{odd})}(u) &= \delta_0(u) - \frac{1}{2}\eta(u) + 1 \\ \widehat{W}_{1,Sp}(u) &= \delta_0(u) - \frac{1}{2}\eta(u) \\ \widehat{W}_{1,U}(u) &= \delta_0(u)\end{aligned}$$

where  $\delta_0(u)$  is the Dirac Delta functional and

$$\eta(u) = \begin{cases} 1 & \text{if } |u| < 1 \\ \frac{1}{2} & \text{if } |u| = 1 \\ 0 & \text{if } |u| > 1 \end{cases}$$



## Elliptic Curves:

$$E_t : y^2 = x^3 + A(t)x + B(t), \quad A(t), B(t) \in \mathbb{Z}(t).$$

$$a_t(p) = - \sum_{x \bmod p} \left( \frac{x^3 + A(t)x + B(t)}{p} \right) = a_{t+mp}(p)$$

$$L(E, s) = \sum_{n=1}^{\infty} \frac{a_E(n)}{n^s} = \prod_p L_p(E, s).$$

By GRH: All zeros on the critical line.

Rational solutions:  $E(\mathbb{Q}) = \mathbb{Z}^r \oplus T$ .

**Birch and Swinnerton-Dyer Conjecture:**

Geometric rank  $r$  equals the analytic rank  
(order of vanishing at central point).

## Tools to Study Low Zeros

- explicit formula relating zeros and Fourier coeffs;
- averaging formulas for the family;
- conductors easy to control (constant or monotone)

## 1-Level Expansion

$$\begin{aligned}
D_{1,\mathcal{F}}(\phi) &= \frac{1}{|\mathcal{F}|} \sum_{E \in \mathcal{F}} \sum_j \phi \left( \frac{\log N_E}{2\pi} \gamma_E^{(j)} \right) \\
&= \frac{1}{|\mathcal{F}|} \sum_{E \in \mathcal{F}} \hat{\phi}(0) + \phi_i(0) \\
&\quad - \frac{2}{|\mathcal{F}|} \sum_{E \in \mathcal{F}} \sum_p \frac{\log p}{\log N_E} \frac{1}{p} \hat{\phi} \left( \frac{\log p}{\log N_E} \right) a_E(p) \\
&\quad - \frac{2}{|\mathcal{F}|} \sum_{E \in \mathcal{F}} \sum_p \frac{\log p}{\log N_E} \frac{1}{p^2} \hat{\phi} \left( 2 \frac{\log p}{\log N_E} \right) a_E^2(p) \\
&\quad + O \left( \frac{\log \log N_E}{\log N_E} \right)
\end{aligned}$$

Want to move  $\frac{1}{|\mathcal{F}|} \sum_{E \in \mathcal{F}}$ , Leads us to study

$$A_{r,\mathcal{F}}(p) = \sum_{t \bmod p} a_t^r(p), \quad r = 1 \text{ or } 2.$$

## Input

For many families

$$(1) : A_{1,\mathcal{F}}(p) = -rp + O(1)$$

$$(2) : A_{2,\mathcal{F}}(p) = p^2 + O(p^{3/2})$$

Rational Elliptic Surfaces (Rosen and Silverman): If rank  $r$  over  $\mathbb{Q}(t)$ :

$$\lim_{X \rightarrow \infty} \frac{1}{X} \sum_{p \leq X} -A_{1,\mathcal{F}}(p) \log p = r$$

Surfaces with  $j(t)$  non-constant (Michel):

$$A_{2,\mathcal{F}}(p) = p^2 + O\left(p^{3/2}\right).$$

## One-Level Result

For small support, one-param family of rank  $r$  over  $\mathbb{Q}(t)$ :

$$\frac{1}{|\mathcal{F}|} \sum_{E \in \mathcal{F}} \sum_j \phi \left( \frac{\log N_E}{2\pi} \gamma_E^{(j)} \right) \\ \longrightarrow \int \phi(x) W_{\mathcal{G}}(x) dx + r\phi(0),$$

where

$$\mathcal{G} = \begin{cases} \text{SO} & \text{if half odd} \\ \text{SO}(\text{even}) & \text{if all even} \\ \text{SO}(\text{odd}) & \text{if all odd} \end{cases}$$

**Confirm Katz-Sarnak, B-SD predictions for small support.**

**Forced zeros seem independent**

## Testing Random Matrix Theory Predictions

1. **Excess Rank:** In limit, 50% rank  $r$ , 50% rank  $r + 1$ .
2. **First (Normalized) Zero above Central Point:** Do extra zeros at the central point affect the distribution of zeros near the central point?

## Excess Rank

One-parameter family, rank  $r$  over  $\mathbb{Q}(t)$ .

RMT  $\implies$  50% rank  $r, r+1$ .

For many families, observe

Percent with rank  $r$  = 32%

Percent with rank  $r+1$  = 48%

Percent with rank  $r+2$  = 18%

Percent with rank  $r+3$  = 2%

Problem: small data sets, sub-families,  
convergence rate  $\log(\text{conductor})$ .

## Data on Excess Rank

$$y^2 + a_1xy + a_3y = x^3 + a_2x^2 + a_4x + a_6$$

Family:  $a_1$  : 0 to 10, rest  $-10$  to  $10$ .

Percent with rank 0 = 28.60%

Percent with rank 1 = 47.56%

Percent with rank 2 = 20.97%

Percent with rank 3 = 2.79%

Percent with rank 4 = .08%

14 Hours, 2,139,291 curves (2,971 singular, 248,478 distinct).



## Data on Excess Rank

$$y^2 + y = x^3 + tx.$$

Each data set 2000 curves from start.

| <u><math>t</math>-Start</u> | <u>Rk 0</u> | <u>Rk 1</u> | <u>Rk 2</u> | <u>Rk 3</u> | <u>Time (hrs)</u> |
|-----------------------------|-------------|-------------|-------------|-------------|-------------------|
| -1000                       | 39.4        | 47.8        | 12.3        | 0.6         | <1                |
| 1000                        | 38.4        | 47.3        | 13.6        | 0.6         | <1                |
| 4000                        | 37.4        | 47.8        | 13.7        | 1.1         | 1                 |
| 8000                        | 37.3        | 48.8        | 12.9        | 1.0         | 2.5               |
| 24000                       | 35.1        | 50.1        | 13.9        | 0.8         | 6.8               |
| 50000                       | 36.7        | 48.3        | 13.8        | 1.2         | 51.8              |

Last set has conductors of size  $10^{11}$ , but on logarithmic scale still small.

## Random Matrix Models

RMT:  $2N$  eigenvalues, in pairs  $e^{\pm i\theta_j}$ , probability measure on  $[0, \pi]^N$ :

$$d\epsilon_0(\theta) \propto \prod_{j < k} (\cos \theta_k - \cos \theta_j)^2 \prod_j d\theta_j$$

### First Model:

The conditional eigenvalue measure for the subensemble of  $SO(2N)$  with the last  $2n$  of the  $2N$  eigenvalues equal  $+1$  is

$$d\epsilon_{2n}(\theta) \propto \prod_{j < k} (\cos \theta_k - \cos \theta_j)^2 \prod_j (1 - \cos \theta_j)^{2n} \prod_j d\theta_j,$$

where  $\theta = (\theta_1, \dots, \theta_{N-n})$  and the indices  $j, k$  range from 1 to  $N - n$ .

### Second Model:

$$\mathcal{A}_{2N, 2n} = \left\{ \begin{pmatrix} g & \\ & I_{2n} \end{pmatrix} : g \in SO(2N - 2n) \right\}$$

## Random Matrix Models and One-Level Densities

Fourier transform of 1-level density:

$$\hat{\rho}_0(u) = \delta(u) + \frac{1}{2}\eta(u).$$

Fourier transform of 1-level density  
(Rank 2, Independent):

$$\hat{\rho}_{2,\text{Ind}}(u) = \left[ \delta(u) + \frac{1}{2}\eta(u) + 2 \right].$$

Fourier transform of 1-level density  
(Rank 2, Interaction):

$$\hat{\rho}_{2,\text{Int}}(u) = \left[ \delta(u) + \frac{1}{2}\eta(u) + 2 \right] + 2(|u| - 1)\eta(u).$$

## Testing RMT Models

For small support, 1-level densities for Elliptic Curves agree with  $\rho_{r,\text{Indep}}$  and not  $\rho_{r,\text{Interaction}}$ .

Curve  $E$ , conductor  $N_E$ , expect first zero  $\frac{1}{2} + i\gamma_E^{(1)}$  with  $\gamma_E^{(1)} \approx \frac{1}{\log N_E}$ .

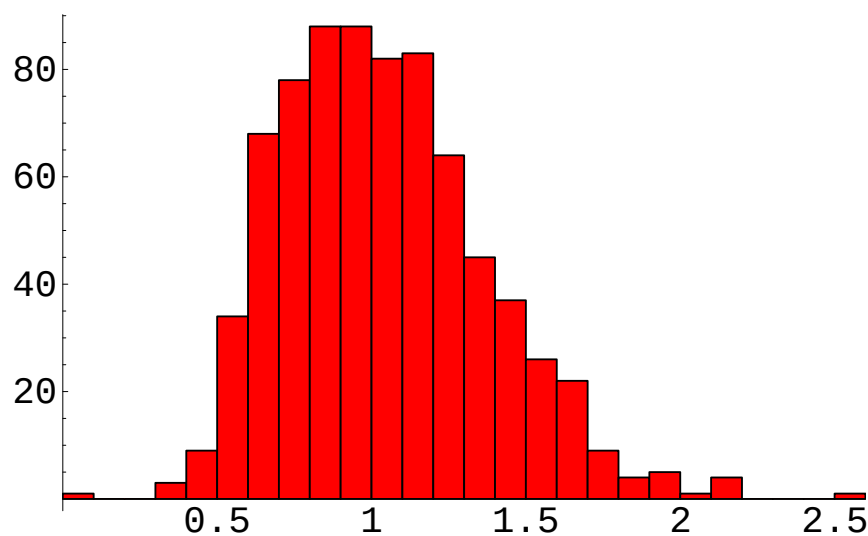
If  $r$  zeros at central point, if repulsion of zeros is of size  $\frac{c_r}{\log N_E}$ , might detect in 1-level density:

$$\frac{1}{|\mathcal{F}_N|} \sum_{E \in \mathcal{F}_N} \sum_j \phi \left( \frac{\gamma_E^{(j)} \log N_E}{2\pi} \right).$$

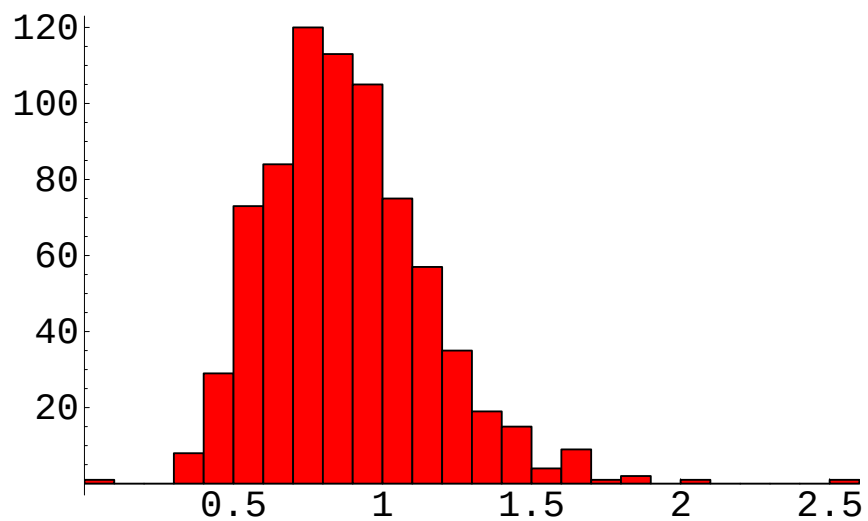
Corrections of size

$$\phi(x_0 + c_r) - \phi(x_0) \approx \phi'(x(x_0, c_r)) \cdot c_r.$$

## Rank 0 Curves: 1st Normalized Zero

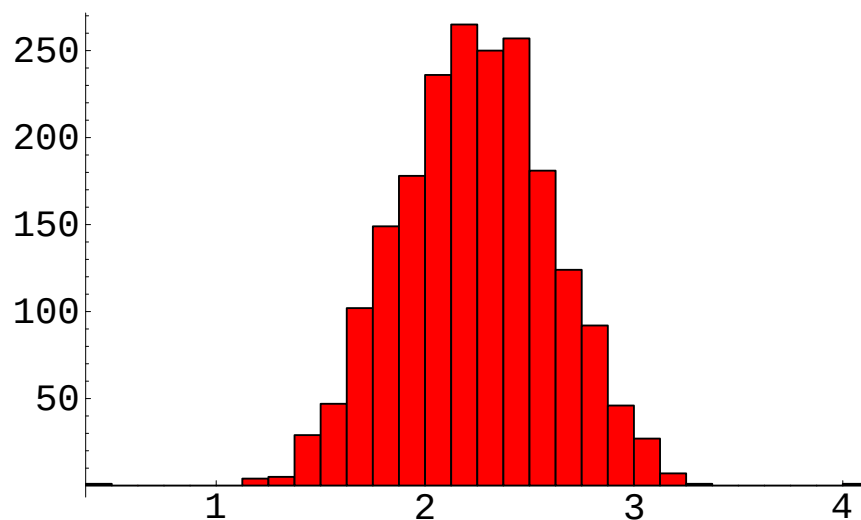


750curves,  $\log(\text{cond}) \in [3.2, 12.6]$ ; mean = 1.04

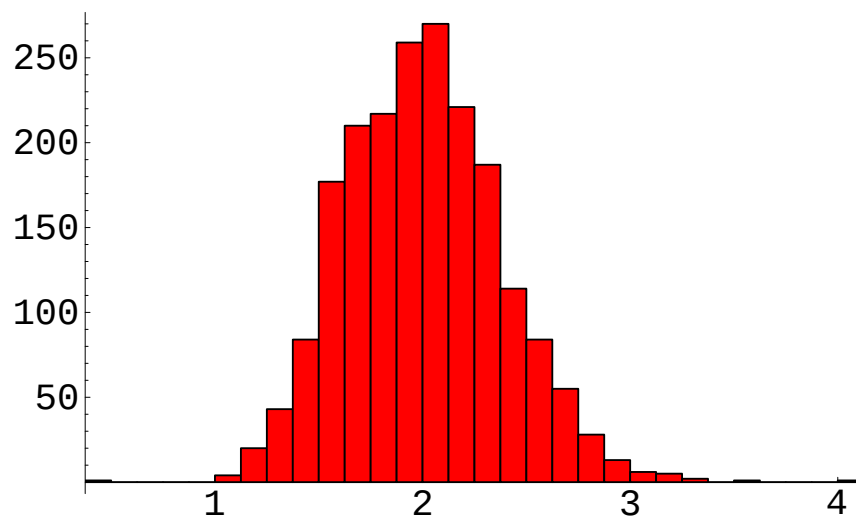


750curves,  $\log(\text{cond}) \in [12.6, 14.9]$ ; mean = .88

## Rank 2 Curves: 1st Normalized Zero

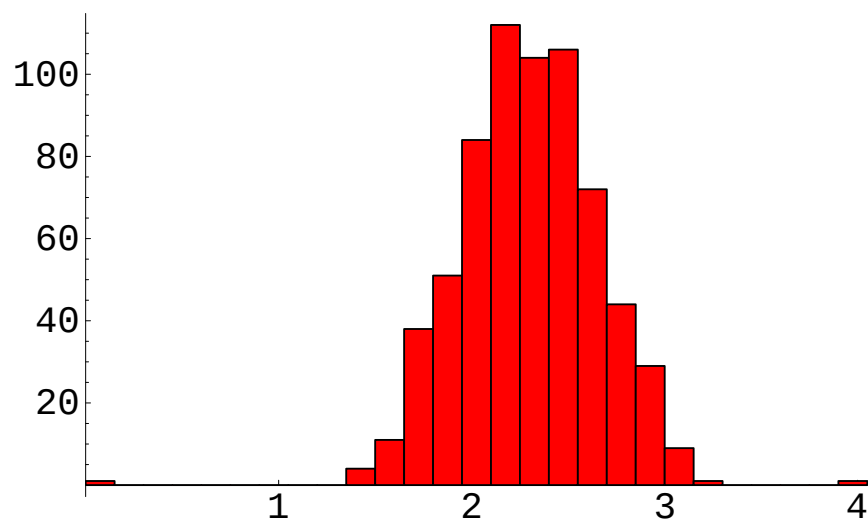


2000 curves,  $\log(\text{cond}) \in [6.3, 12.1]$ ;  
mean = 2.24

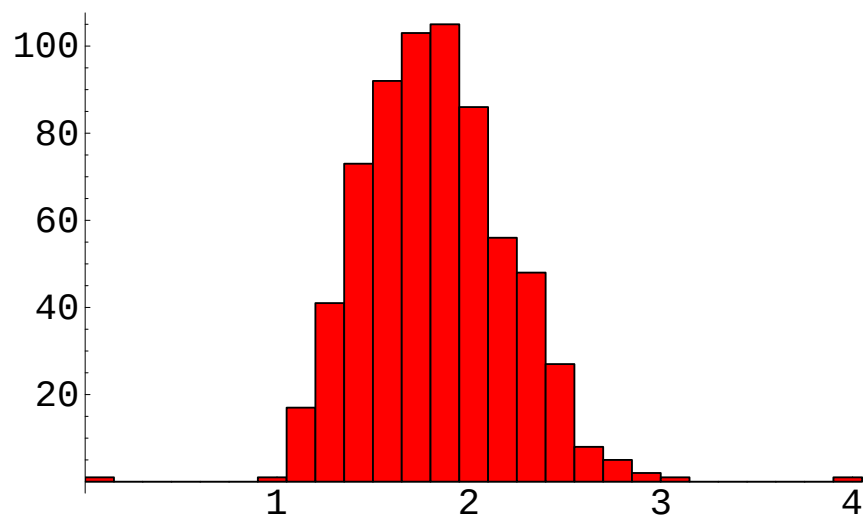


2000 curves,  $\log(\text{cond}) \in [12.1, 15.0]$ ;  
mean = 2.00

## Rank 2 Curves: 1st Normalized Zero

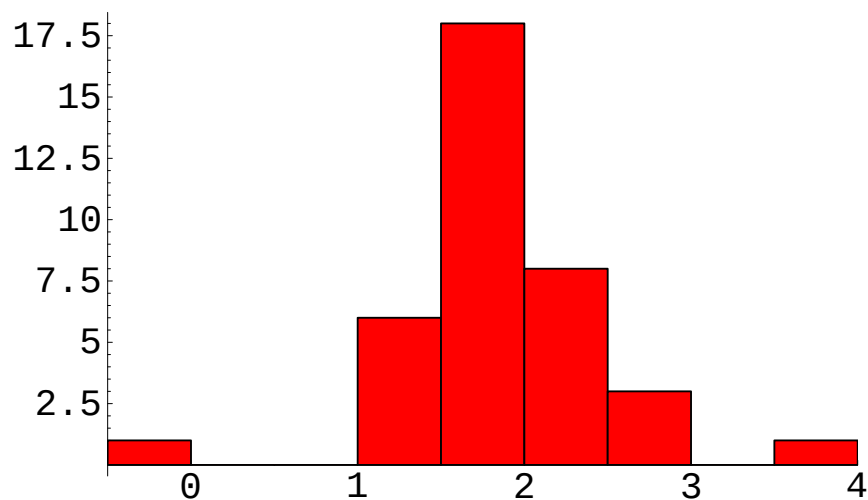


665 curves,  $\log(\text{cond}) \in [10, 10.3125]$ ;  
mean = 2.30

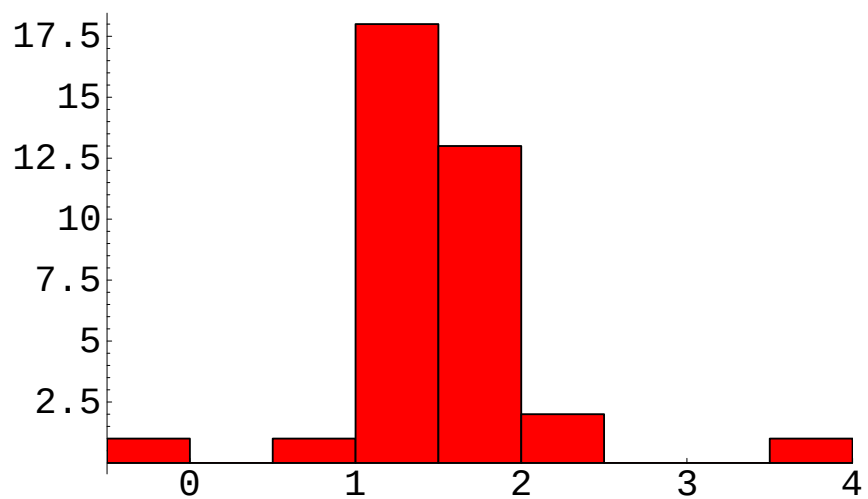


665 curves,  $\log(\text{cond}) \in [16, 16.5]$ ;  
mean = 1.82

## Rank 2 Curves: $[0, 0, 0, -t^2, t^2]$ 1st Normalized Zero



35 curves,  $\log(\text{cond}) \in [7.8, 16.1]$ ; mean = 2.24



34 curves,  $\log(\text{cond}) \in [16.2, 23.3]$ ; mean = 2.00

Points at -0.25 and 3.75 added for formatting purposes.



## Summary

- Evidence for B-SD, RMT interpretation of zeros.
- Theoretical results ( $n$ -level density) agrees with RMT model of forced zeros independent.
- Experimental results agrees with RMT model of forced zeros interact (repel); repulsion seems to decrease as conductors increase, could be artifact of small data.
- **Need more data.**

# Appendices

The first appendix list various standard conjectures. The second appendix gives the formula to numerically approximate the analytic rank of an elliptic curve. For a curve of conductor  $N_E$ , one needs about  $\sqrt{N_E} \log N_E$  Fourier coefficients.

## Appendix I: Standard Conjectures

### **Generalized Riemann Hypothesis (for Elliptic Curves)**

*Let  $L(s, E)$  be the (normalized)  $L$ -function of the elliptic curve  $E$ . Then the non-trivial zeros of  $L(s, E)$  satisfy  $\operatorname{Re}(s) = \frac{1}{2}$ .*

### **Birch and Swinnerton-Dyer Conjecture [BSD1], [BSD2]**

*Let  $E$  be an elliptic curve of geometric rank  $r$  over  $\mathbb{Q}$  (the Mordell-Weil group is  $\mathbb{Z}^r \oplus T$ ,  $T$  is the subset of torsion points). Then the analytic rank (the order of vanishing of the  $L$ -function at the central point) is also  $r$ .*

**Tate's Conjecture for Elliptic Surfaces [Ta]** *Let  $\mathcal{E}/\mathbb{Q}$  be an elliptic surface and  $L_2(\mathcal{E}, s)$  be the  $L$ -series attached to  $H_{\text{ét}}^2(\mathcal{E}/\overline{\mathbb{Q}}, \mathbb{Q}_l)$ . Then  $L_2(\mathcal{E}, s)$  has a meromorphic continuation to  $\mathbb{C}$  and satisfies  $-\operatorname{ord}_{s=2} L_2(\mathcal{E}, s) = \operatorname{rank} NS(\mathcal{E}/\mathbb{Q})$ , where  $NS(\mathcal{E}/\mathbb{Q})$  is the  $\mathbb{Q}$ -rational part of the Néron-Severi group of  $\mathcal{E}$ . Further,  $L_2(\mathcal{E}, s)$  does not vanish on the line  $\operatorname{Re}(s) = 2$ .*

Most of the 1-param families we investigate are rational surfaces, where Tate's conjecture is known. See [RSi].

## Appendix II: Numerically Approximating Ranks: Preliminaries

Cusp form  $f$ , level  $N$ , weight 2:

$$\begin{aligned} f(-1/Nz) &= -\epsilon N z^2 f(z) \\ f(i/y\sqrt{N}) &= \epsilon y^2 f(iy/\sqrt{N}). \end{aligned}$$

Define

$$\begin{aligned} L(f, s) &= (2\pi)^s \Gamma(s)^{-1} \int_0^{i\infty} (-iz)^s f(z) \frac{dz}{z} \\ \Lambda(f, s) &= (2\pi)^{-s} N^{s/2} \Gamma(s) L(f, s) = \int_0^\infty f(iy/\sqrt{N}) y^{s-1} dy. \end{aligned}$$

Get

$$\Lambda(f, s) = \epsilon \Lambda(f, 2 - s), \quad \epsilon = \pm 1.$$

To each  $E$  corresponds an  $f$ , write  $\int_0^\infty = \int_0^1 + \int_1^\infty$  and use transformations.

## Algorithm for $L^r(s, E)$ : I

$$\begin{aligned}\Lambda(E, s) &= \int_0^\infty f(iy/\sqrt{N})y^{s-1}dy \\ &= \int_0^1 f(iy/\sqrt{N})y^{s-1}dy + \int_1^\infty f(iy/\sqrt{N})y^{s-1}dy \\ &= \int_1^\infty f(iy/\sqrt{N})(y^{s-1} + \epsilon y^{1-s})dy.\end{aligned}$$

Differentiate k times with respect to s:

$$\Lambda^{(k)}(E, s) = \int_1^\infty f(iy/\sqrt{N})(\log y)^k(y^{s-1} + \epsilon(-1)^k y^{1-s})dy.$$

At  $s = 1$ ,

$$\Lambda^{(k)}(E, 1) = (1 + \epsilon(-1)^k) \int_1^\infty f(iy/\sqrt{N})(\log y)^k dy.$$

Trivially zero for half of  $k$ ; let  $r$  be analytic rank.

## Algorithm for $L^r(s, E)$ : II

$$\begin{aligned}\Lambda^{(r)}(E, 1) &= 2 \int_1^\infty f(iy/\sqrt{N})(\log y)^r dy \\ &= 2 \sum_{n=1}^\infty a_n \int_1^\infty e^{-2\pi ny/\sqrt{N}} (\log y)^r dy.\end{aligned}$$

Integrating by parts

$$\Lambda^{(r)}(E, 1) = \frac{\sqrt{N}}{\pi} \sum_{n=1}^\infty \frac{a_n}{n} \int_1^\infty e^{-2\pi ny/\sqrt{N}} (\log y)^{r-1} \frac{dy}{y}.$$

We obtain

$$L^{(r)}(E, 1) = 2r! \sum_{n=1}^\infty \frac{a_n}{n} G_r \left( \frac{2\pi n}{\sqrt{N}} \right),$$

where

$$G_r(x) = \frac{1}{(r-1)!} \int_1^\infty e^{-xy} (\log y)^{r-1} \frac{dy}{y}.$$

## Expansion of $G_r(x)$

$$G_r(x) = P_r \left( \log \frac{1}{x} \right) + \sum_{n=1}^{\infty} \frac{(-1)^{n-r}}{n^r \cdot n!} x^n$$

$P_r(t)$  is a polynomial of degree  $r$ ,  $P_r(t) = Q_r(t - \gamma)$ .

$$Q_1(t) = t;$$

$$Q_2(t) = \frac{1}{2}t^2 + \frac{\pi^2}{12};$$

$$Q_3(t) = \frac{1}{6}t^3 + \frac{\pi^2}{12}t - \frac{\zeta(3)}{3};$$

$$Q_4(t) = \frac{1}{24}t^4 + \frac{\pi^2}{24}t^2 - \frac{\zeta(3)}{3}t + \frac{\pi^4}{160};$$

$$Q_5(t) = \frac{1}{120}t^5 + \frac{\pi^2}{72}t^3 - \frac{\zeta(3)}{6}t^2 + \frac{\pi^4}{160}t - \frac{\zeta(5)}{5} - \frac{\zeta(3)\pi^2}{36}.$$

For  $r = 0$ ,

$$\Lambda(E, 1) = \frac{\sqrt{N}}{\pi} \sum_{n=1}^{\infty} \frac{a_n}{n} e^{-2\pi n y / \sqrt{N}}.$$

Need about  $\sqrt{N}$  or  $\sqrt{N} \log N$  terms.

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