

# Determinantal Expansions in Random Matrix Theory and Number Theory

Nicholas Triantafillou (Michigan)

Joint with Steven J Miller (Williams) and Geoff Iyer (UCLA)

`ngtriant@umich.edu`

`http://web.williams.edu/Mathematics/sjmiller/public\_html/jmm2013.html/`

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# Classical Random Matrix Theory

## Origins of Random Matrix Theory

**Problem:** What are energy levels of heavy nuclei?

**Fundamental Equation:**  $H\psi_n = E_n\psi_n$ .

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**Problem:** What are energy levels of heavy nuclei?

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**Motivation:** Statistical Mechanics - To compute quantity (e.g. pressure), calculate for each configuration, take the average.

**Idea:** Nuclear Physics - Choose matrix at random, calculate eigenvalues, average over matrices (real Symmetric  $A = A^T$ , complex Hermitian  $\overline{A}^T = A$ ).

## Random Matrix Ensembles

$$A = \begin{pmatrix} a_{11} & a_{12} & a_{13} & \cdots & a_{1N} \\ a_{12} & a_{22} & a_{23} & \cdots & a_{2N} \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ a_{1N} & a_{2N} & a_{3N} & \cdots & a_{NN} \end{pmatrix} = A^T, \quad a_{ij} = a_{ji}$$

Fix  $p$ , define

$$\text{Prob}(A) = \prod_{1 \leq i \leq j \leq N} p(a_{ij}).$$

This means

$$\text{Prob}(A : a_{ij} \in [\alpha_{ij}, \beta_{ij}]) = \prod_{1 \leq i \leq j \leq N} \int_{x_{ij}=\alpha_{ij}}^{\beta_{ij}} p(x_{ij}) dx_{ij}.$$

Want to understand eigenvalues of  $A$ .

## Eigenvalue Distribution

$\delta(x - x_0)$  is a unit point mass at  $x_0$ :

$$\int f(x) \delta(x - x_0) dx = f(x_0).$$

To each  $A$ , attach a probability measure:

$$\begin{aligned} \mu_{A,N}(x) &= \frac{1}{N} \sum_{i=1}^N \delta \left( x - \frac{\lambda_i(A)}{2\sqrt{N}} \right) \\ \int_a^b \mu_{A,N}(x) dx &= \frac{\# \left\{ \lambda_i : \frac{\lambda_i(A)}{2\sqrt{N}} \in [a, b] \right\}}{N} \\ \text{k}^{\text{th}} \text{ moment} &= \frac{\sum_{i=1}^N \lambda_i(A)^k}{2^k N^{\frac{k}{2}+1}} = \frac{\text{Trace}(A^k)}{2^k N^{\frac{k}{2}+1}}. \end{aligned}$$

## *L*-functions

## Riemann Zeta Function

$$\zeta(s) = \sum_{n=1}^{\infty} \frac{1}{n^s} = \prod_{p \text{ prime}} \left(1 - \frac{1}{p^s}\right)^{-1}, \quad \operatorname{Re}(s) > 1.$$

Functional Equation:

$$\xi(s) = \Gamma\left(\frac{s}{2}\right) \pi^{-\frac{s}{2}} \zeta(s) = \xi(1-s).$$

Riemann Hypothesis (RH):

All non-trivial zeros have  $\operatorname{Re}(s) = \frac{1}{2}$ ; can write zeros as  $\frac{1}{2} + i\gamma$ .



## General L-functions

$$L(s, f) = \sum_{n=1}^{\infty} \frac{a_f(n)}{n^s} = \prod_{p \text{ prime}} L_p(s, f)^{-1}, \quad \operatorname{Re}(s) > 1.$$

Functional Equation:

$$\Lambda(s, f) = \Lambda_{\infty}(s, f) L(s, f) = \Lambda(1-s, f).$$

Generalized Riemann Hypothesis (GRH):

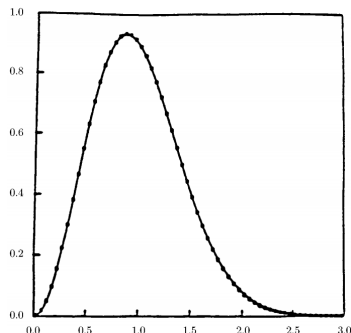
All non-trivial zeros have  $\operatorname{Re}(s) = \frac{1}{2}$ ; can write zeros as  $\frac{1}{2} + i\gamma$ .

## Why Study Zeros of *L*-functions?

- Infinitude of primes, primes in arithmetic progression.
- Chebyshev's bias:  $\pi_{3,4}(x) \geq \pi_{1,4}(x)$  'most' of the time.
- Birch and Swinnerton-Dyer conjecture.
- Goldfeld, Gross-Zagier: bound for  $h(D)$ , the class number, i.e. the number of inequivalent binary quadratic forms with discriminant  $D$ , from *L*-functions with many central point zeros.

## Random Matrix Theory - Number Theory Connection

# Zeros of $\zeta(s)$ vs GUE



70 million spacings b/w adjacent zeros of  $\zeta(s)$ , starting at the  $10^{20\text{th}}$  zero (from Odlyzko) versus RMT prediction.

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

Let  $\phi_i$  be even Schwartz functions whose Fourier Transform is compactly supported,  $L(s, f)$  an  $L$ -function with zeros  $\frac{1}{2} + i\gamma_f$  and conductor  $Q_f$ :

$$D_{n,f}(\phi) = \sum_{\substack{j_1, \dots, j_n \\ j_i \neq \pm j_k}} \phi_1 \left( \gamma_{j_1;f} \frac{\log Q_f}{2\pi} \right) \cdots \phi_n \left( \gamma_{j_n;f} \frac{\log Q_f}{2\pi} \right)$$

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- Properties of  $n$ -level density:
  - ◇ Individual zeros contribute in limit
  - ◇ Most of contribution is from low zeros
  - ◇ Average over similar  $L$ -functions (family)

## *n*-Level Density

*n*-level density:  $\mathcal{F} = \cup \mathcal{F}_N$  a family of  $L$ -functions ordered by conductors,  $\phi_k$  an even Schwartz function:  $D_{n,\mathcal{F}}(\phi) =$

$$\lim_{N \rightarrow \infty} \frac{1}{|\mathcal{F}_N|} \sum_{f \in \mathcal{F}_N} \sum_{\substack{j_1, \dots, j_n \\ j_i \neq \pm j_k}} \phi_1 \left( \gamma_{j_1;f} \frac{\log Q_f}{2\pi} \right) \cdots \phi_n \left( \gamma_{j_n;f} \frac{\log Q_f}{2\pi} \right)$$

As  $N \rightarrow \infty$ , *n*-level density converges to

$$\int \phi(\vec{x}) \rho_{n,\mathcal{G}(\mathcal{F})}(\vec{x}) d\vec{x} = \int \hat{\phi}(\vec{u}) \hat{\rho}_{n,\mathcal{G}(\mathcal{F})}(\vec{u}) d\vec{u}.$$

### Conjecture (Katz-Sarnak)

Scaled distribution of zeros near central point agrees with scaled distribution of eigenvalues near 1 of a classical compact group (in the limit).

## Correspondences

Similarities between  $L$ -Functions and Nuclei:

Zeros  $\longleftrightarrow$  Energy Levels

Schwartz test function  $\longleftrightarrow$  Proton

Support of test function  $\longleftrightarrow$  Proton Energy.



## Number Theory: Extending the Support

## Goal:

Prove  $n$ -level densities agree for  $\text{supp}(\widehat{\phi}) \subset (-\frac{1}{n-2}, \frac{1}{n-2})$ .

## Philosophy:

Number theory harder - adapt tools to get an answer.

Random matrix theory easier - manipulate known answer.

### Theorem (ILS)

Let  $\Psi$  be an even Schwartz function with  $\text{supp}(\widehat{\Psi}) \subset (-2, 2)$ . Then

$$\begin{aligned} \sum_{m \leq N^\epsilon} \frac{1}{m^2} \sum_{\substack{(b, N)=1}} \frac{R(m^2, b)R(1, b)}{\varphi(b)} \int_{y=0}^{\infty} J_{k-1}(y) \widehat{\Psi} \left( \frac{2 \log(by\sqrt{N}/4\pi m)}{\log R} \right) \frac{dy}{\log R} \\ = -\frac{1}{2} \left[ \int_{-\infty}^{\infty} \psi(x) \frac{\sin 2\pi x}{2\pi x} dx - \frac{1}{2} \psi(0) \right] + O \left( \frac{k \log \log kN}{\log kN} \right), \end{aligned}$$

where  $R = k^2 N$ ,  $\varphi$  is Euler's totient function, and  $R(n, q)$  is a Ramanujan sum.

## New Results: Number Theory Side: Iyer-Miller-Triantafillou:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$$

### Sequence of Lemmas - New Contributions Arise

- 1 Apply Petersson Formula
- 2 Restrict Certain Sums
- 3 Convert Kloosterman Sums to Gauss Sums
- 4 Remove Non-Principal Characters
- 5 Convert Sums to Integrals

## New Results: Number Theory Side: Iyer-Miller-Triantafillou:

$\text{supp}(\widehat{\phi}) \subset (-\frac{1}{n-2}, \frac{1}{n-2})$

### Typical Argument

If any prime is 'special', bound error terms

$$\ll \frac{1}{\sqrt{N}} \sum_{p_1, \dots, p_n \leq N^\sigma} \sum_{m \leq N^\epsilon} \sum_{r=1}^{\infty} \frac{m^2 r}{r p_1} \frac{\sqrt{p_1 \cdots p_n}}{r p_1 \sqrt{N}} \frac{1}{\sqrt{p_1 \cdots p_n}}$$

$$\ll N^{-1+\epsilon'} \left( \sum_{p \leq N^\sigma} 1 \right)^{n-1} \ll N^{-1+(n-1)\sigma+\epsilon'}$$

Bounds fail for large support - new terms arise.

## New Results: Number Theory Side: Iyer-Miller-Triantafillou:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$$

### Theorem

Fix  $n \geq 4$  and let  $\phi$  be an even Schwartz function with  $\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$ . Then, the  $n$ th centered moment of the 1-level density for even or odd holomorphic cusp forms is

$$\begin{aligned} & \frac{1 + (-1)^n}{2} (-1)^n (n-1)!! \left( 2 \int_{-\infty}^{\infty} \widehat{\phi}(y)^2 |y| dy \right)^{n/2} \\ & \pm (-2)^{n-1} \left( \int_{-\infty}^{\infty} \phi(x)^n \frac{\sin 2\pi x}{2\pi x} dx - \frac{1}{2} \phi(0)^n \right) \\ & \mp (-2)^{n-1} n \left( \int_{-\infty}^{\infty} \widehat{\phi}(x_2) \int_{-\infty}^{\infty} \phi^{n-1}(x_1) \frac{\sin(2\pi x_1(1 + |x_2|))}{2\pi x_1} dx_1 dx_2 - \frac{1}{2} \phi^n(0) \right). \end{aligned}$$

Agrees with Random Matrix Theory!

## Pushing Beyond $2/n$ .

**Hypothesis T:** There exist constants  $A > 0$  and  $\frac{1}{2} \leq \alpha < \frac{3}{4}$  such that

$$\sum_{\substack{p_1 p_2 \equiv a(c) \\ 1 \leq p_i \leq x_i}} e\left(\frac{2\sqrt{p_1 p_2}}{c}\right) \ll c^A (x_1 x_2)^\alpha.$$

### Theorem

*Assume Hypothesis T then, the 2nd centered moment of the 1-level density for all holomorphic cusp forms is*

$$2 \int_{-\infty}^{\infty} \hat{\phi}(y)^2 |y| dy \text{ if } \text{supp}(\hat{\phi}) \subset (-5/4, 5/4)$$

## Pushing Beyond $2/n$ .

### Theorem

*Assume Hypothesis  $T$  then, the 2nd centered moment of the 1-level density for all holomorphic cusp forms is*

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### Theorem

*The 2nd centered moment of the 1-level density for the full orthogonal ensemble is*

$$2 \int_{-\infty}^{\infty} \hat{\phi}(y)^2 \min(1, |y|) dy + \left( \frac{1}{2} \int_{|y| \geq 1} \hat{\phi}(y) dy \right)^2$$

Disagreement! Hypothesis  $T$  is probably false.

## Recap



## Recap

- 1 Difficult to compare  $n$ -dimensional integral from RMT with NT in general. Harder combinatorics worthwhile to appeal to result from ILS.
- 2 Solve combinatorics by using cumulants; support restrictions translate to which terms can contribute.
- 3 Extend number theory results by bounding Bessel functions, Kloosterman sums, etc. New terms arise and match random matrix theory prediction.
- 4 Better bounds on percent of forms vanishing to large order at the center point.

## Acknowledgements

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- The Québec-Maine Number Theory Conference organizers,
- Everyone in the audience.

## Proofs

## Converting Sums to Integrals - Hughes-Miller:

$$\text{supp}(\hat{\phi}) \subset \left(-\frac{1}{n-1}, \frac{1}{n-1}\right)$$

We want to evaluate

$$\begin{aligned} & \sum_{n_1, \dots, n_n} \left[ \prod_{i=1}^n \hat{\phi} \left( \frac{\log n_i}{\log R} \right) \frac{\chi_0(n_i) \Lambda(n_i)}{\sqrt{n_i} \log R} \right] J_{k-1} \left( \frac{4\pi m \sqrt{n_1 \cdots n_n}}{b\sqrt{N}} \right) \\ &= \frac{1}{2\pi i} \int_{\Re(s)=1} \left[ \prod_{i=1}^n \sum_{n_i} \hat{\phi} \left( \frac{\log n_i}{\log R} \right) \frac{\chi_0(n_i) \Lambda(n_i)}{\sqrt{n_i} \log R} \right] \\ & \quad \times \left( \frac{4\pi m \sqrt{n_1 \cdots n_n}}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \end{aligned}$$

## Converting Sums to Integrals - Hughes-Miller:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-1}, \frac{1}{n-1}\right)$$

### Important Observation

$$\sum_{r=1}^{\infty} \widehat{\phi}\left(\frac{\log r}{\log R}\right) \frac{\chi_0(r)\Lambda(r)}{r^{(1+s)/2} \log R} = \phi\left(\frac{1-s}{4\pi i} \log R\right) + \mathcal{E}(s),$$

where

$$\mathcal{E}(s) = -\frac{1}{2\pi i} \int_{\Re(z)=c} \phi\left(\frac{(2z-1-s)\log R}{4\pi i}\right) \frac{L'}{L}(z, \chi_0) dz.$$

For convenience, rename expressions,  $X = Y + Z$ .

## Converting Sums to Integrals - Hughes-Miller:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-1}, \frac{1}{n-1}\right)$$

### Important Observation

By the binomial theorem,

$$\begin{aligned} & \frac{1}{2\pi i} \int_{\Re(s)=1} X^n \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \\ &= \frac{1}{2\pi i} \int_{\Re(s)=1} (Y + Z)^n \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \\ &= \sum_{j=0}^n \binom{n}{j} \frac{1}{2\pi i} \int_{\Re(s)=1} Y^{n-j} Z^j \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds. \end{aligned}$$

## Converting Sums to Integrals - Hughes-Miller:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-1}, \frac{1}{n-1}\right)$$

$Z = \mathcal{E}(s)$  is **easy to bound** (shift contours), get

$$\begin{aligned} & \frac{1}{2\pi i} \int_{\Re(s)=1} Y^{n-j} Z^j \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \\ & \ll N^{(n-j)\sigma/2+\epsilon''} \end{aligned}$$

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For  $\sigma < \frac{1}{n-1}$ , only  $j = 0$  term is non-negligible.



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For  $\sigma < \frac{1}{n-1}$ , only  $j = 0$  term is non-negligible.

For  $\sigma < \frac{1}{n-2}$ ,  $j = 1$  term also non-negligible.

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For  $\sigma < \frac{1}{n-1}$ , only  $j = 0$  term is non-negligible.

For  $\sigma < \frac{1}{n-2}$ ,  $j = 1$  term also non-negligible.

Unfortunately,  $Z = \mathcal{E}(s)$  is **hard to compute with**.

## Converting Sums to Integrals - Iyer-Miller-Triantafillou:

$$\text{supp}(\widehat{\phi}) \subset \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$$

Big Idea! Recall  $X = Y + Z$ , write  $Z = X - Y$ .

## Converting Sums to Integrals - Iyer-Miller-Triantafillou:

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**Big Idea!** Recall  $X = Y + Z$ , write  $Z = X - Y$ .

$$\begin{aligned} & \frac{n}{2\pi i} \int_{\Re(s)=1} Y^{n-1} Z \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \\ &= \frac{n}{2\pi i} \int_{\Re(s)=1} XY^{n-1} \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds \\ & \quad - \frac{n}{2\pi i} \int_{\Re(s)=1} Y^n \left( \frac{4\pi m}{b\sqrt{N}} \right)^{-s} G_{k-1}(s) ds. \end{aligned}$$

Hughes-Miller handle  $Y^n$  term,  $XY^{n-1}$  term is similar.

## Converting Sums to Integrals - Iyer-Miller-Triantafillou:

$$\text{supp}(\hat{\phi}) \subset \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$$

When the dust clears, we see

$$\begin{aligned} & \sum_{n_1, \dots, n_n} \left[ \prod_{i=1}^n \hat{\phi} \left( \frac{\log n_i}{\log R} \right) \frac{\chi_0(n_i) \Lambda(n_i)}{\sqrt{n_i} \log R} \right] J_{k-1} \left( \frac{4\pi m \sqrt{n_1 \cdots n_n}}{b\sqrt{N}} \right) \\ &= (1-n) \left( \int_{-\infty}^{\infty} \phi(x)^n \frac{\sin 2\pi x}{2\pi x} dx - \frac{1}{2} \phi(0)^n \right) \\ &+ n \left( \int_{-\infty}^{\infty} \hat{\phi}(x_2) \int_{-\infty}^{\infty} \phi^{n-1}(x_1) \frac{\sin(2\pi x_1(1-|x_2|))}{2\pi x_1} dx_1 dx_2 \right. \\ &\quad \left. - \frac{1}{2} \phi^n(0) \right) + o(1) \end{aligned}$$

## Random Matrix Theory: New Combinatorial Vantage

## *n*-Level Density: Katz-Sarnak Determinant Expansions

Example: SO(even)

$$\int_{-\infty}^{\infty} \cdots \int_{-\infty}^{\infty} \widehat{\phi}(x_1) \cdots \widehat{\phi}(x_n) \det \left( K_1(x_j, x_k) \right)_{1 \leq j, k \leq n} dx_1 \cdots dx_n,$$

where

$$K_1(x, y) = \frac{\sin \left( \pi(x - y) \right)}{\pi(x - y)} + \frac{\sin \left( \pi(x + y) \right)}{\pi(x + y)}.$$

## *n*-Level Density: Katz-Sarnak Determinant Expansions

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where

$$K_1(x, y) = \frac{\sin \left( \pi(x - y) \right)}{\pi(x - y)} + \frac{\sin \left( \pi(x + y) \right)}{\pi(x + y)}.$$

Problem: *n*-dimensional integral - looks very different.



## Preliminaries

Easier to work with cumulants.

$$\sum_{n=1}^{\infty} C_n \frac{(it)^n}{n!} = \log \hat{P}(t),$$

where  $P$  is the probability density function.

$$\mu'_n = C_n + \sum_{m=1}^{n-1} \binom{n-1}{m-1} C_m \mu'_{n-m},$$

where  $\mu'_n$  is uncentered moment.

## Preliminaries

Manipulating determinant expansions leads to analysis of

$$K(y_1, \dots, y_n) = \sum_{m=1}^n \sum_{\substack{\lambda_1 + \dots + \lambda_m = n \\ \lambda_j \geq 1}} \frac{(-1)^{m+1}}{m} \frac{n!}{\lambda_1! \dots \lambda_m!} \\ \sum_{\epsilon_1, \dots, \epsilon_n = \pm 1} \prod_{\ell=1}^m \chi_{\{|\sum_{j=1}^n \eta(\ell, j) \epsilon_j y_j| \leq 1\}},$$

where

$$\eta(\ell, j) = \begin{cases} +1 & \text{if } j \leq \sum_{k=1}^{\ell} \lambda_k \\ -1 & \text{if } j > \sum_{k=1}^{\ell} \lambda_k \end{cases}.$$

## New Result: Iyer-Miller-Triantafillou: Large Support:

$$\text{supp}(\widehat{\phi}) \subseteq \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$$

Hughes-Miller solved for  $\text{supp}(\widehat{\phi}) \subseteq \left(-\frac{1}{n-1}, \frac{1}{n-1}\right)$ .

**New Complications:** If  $\text{supp}(\widehat{\phi}) \subseteq \left(-\frac{1}{n-2}, \frac{1}{n-2}\right)$ ,

- 1  $\eta(\ell, j) \epsilon_j y_j$  need not have same sign (at most one can differ);
- 2 more than one term in product can be zero (for fixed  $m, \lambda_j, \epsilon_j$ ).

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- 2 more than one term in product can be zero (for fixed  $m, \lambda_j, \epsilon_j$ ).

**Solution:** Double count terms and subtract a correcting term  $\rho_j$ .

## Generating Function Identity - $\lambda_i \geq 1$

$$\sum_{n=0}^{\infty} \frac{(-1)^n}{n!} x^n = e^{-x} = \frac{1}{1 - (1 - e^x)} = \sum_{m=0}^{\infty} (1 - e^x)^m$$

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$$= \sum_{m=0}^{\infty} (-1)^m \left( \sum_{\lambda=1}^{\infty} \frac{1}{\lambda!} x^{\lambda} \right)^m = \sum_{n=0}^{\infty} \left( \sum_{m=1}^{\infty} \sum_{\lambda_1 + \dots + \lambda_m = n} \frac{(-1)^m}{\lambda_1! \dots \lambda_m!} \right) x^n$$

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$$= \sum_{m=0}^{\infty} (-1)^m \left( \sum_{\lambda=1}^{\infty} \frac{1}{\lambda!} x^{\lambda} \right)^m = \sum_{n=0}^{\infty} \left( \sum_{m=1}^{\infty} \sum_{\lambda_1 + \dots + \lambda_m = n} \frac{(-1)^m}{\lambda_1! \dots \lambda_m!} \right) x^n$$

$$\Rightarrow (-1)^n = \sum_{m=1}^{\infty} \sum_{\lambda_1 + \dots + \lambda_m = n} \frac{(-1)^m n!}{\lambda_1! \dots \lambda_m!}.$$

## New Result: Dealing With ' $\rho_j$ 's

All  $\lambda_i, \lambda'_j \geq 1$ .

$$\rho_j = \sum_{m=1}^n \sum_{l=1}^m \sum_{\substack{\lambda_1 + \dots + \lambda_{\ell-1} = j-1 \\ \lambda_{\ell} = 1 \\ \lambda_{\ell+1} + \dots + \lambda_m = n-j}} \frac{(-1)^m}{m} \frac{n!}{\lambda_1! \dots \lambda_m!}$$



## New Result: Dealing With ' $\rho_j$ 's

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After Fourier transform identities:

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Agrees with number theory!