# Ergodic Theory Motivated by Sarnak's Conjecture in Number Theory

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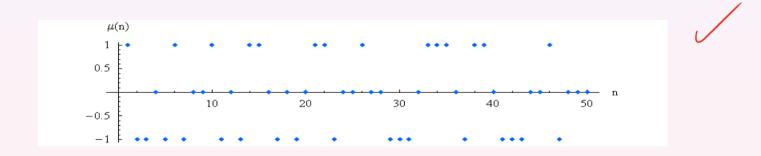
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## The Möbius Function

The Möbius function is an arithmetic function on the set  $\mathbb N$  of natural numbers:

$$\mu(n) = \begin{cases} 1 & \text{if } n = 1, \\ (-1)^r & \text{if } n = p_1 \cdots p_r, \text{ a product of distinct prime numbers,} \\ 0 & \text{if } p^2 | n \text{ for some prime number.} \end{cases}$$



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## $\mu(nm) = \mu(n)\mu(m), \quad (n,m) = 1.$

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# The Primitive $n^{th}$ Roots of Unity

$$\mu(n) = \sum_{1 \le k \le n, (k,n)=1} e^{2\pi i \frac{k}{n}}$$

and

$$\sum_{d|n} \mu(d) = \begin{cases} 1 & \text{if } n = 1, \\ 0 & \text{if } n > 1 \end{cases}$$

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## Inversion

Suppose  $\alpha(n)$  and  $\beta(n)$  are two arithmetic functions such that

Then  

$$\alpha(n) = \sum_{d|n} \beta(d).$$

$$f : X \to X$$

$$\beta(n) = \sum_{d|n} \mu(\frac{n}{d}) \alpha(d) = \sum_{d|n} \mu(d) \alpha(\frac{n}{d}).$$

For example, for a flow  $\{f^{\circ n}:X o X\}_{n\in\mathbb{N}}$ , let

and  

$$\beta(n) = \#(\{x \in X \mid f^{\circ n}(x) = x\})$$

$$\beta(n) = \#(\{x \in X \mid f^{\circ n}(x) = x, f^{\circ k}(x) \neq x, 1 \le k \le n - 1\})$$

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## **Riemann Zeta Function**

Let

$$\zeta(s) = \sum_{n=1}^{\infty} \frac{1}{n^s} \qquad \text{Res7}$$

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be the Riemann zeta function. We have

$$\frac{1}{\zeta(s)} = \sum_{n=1}^{\infty} \underbrace{\mu(n)}_{n^s} \cdot \not/$$

The statement (conjecture) that for any  $\epsilon > 0$ 

$$\sum_{n=1}^{N} \mu(n) = O_{\epsilon}(N^{\frac{1}{2}+\epsilon})$$

is equivalent to the Riemann hypothesis.

The Möbius function has the zero mean, that is,

$$\lim_{n\to\infty}\frac{1}{N}\sum_{n=1}^N\mu(n)=0,$$

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which is equivalent to the prime number theorem,

$$\pi(x) \sim \frac{x}{\log x} \quad + \circ(\cdot)$$

where  $\pi(x)$  is the number of prime numbers  $\leq x$ .

Consider a compact metric space with the shift on it,

$$\Sigma_{3} = \prod_{n=1}^{\infty} \{-1, 0, 1\} = \{v = j_{1}j_{2}\cdots j_{n}\cdots\}; \sigma_{3}: v \to \sigma(v) = j_{2}\cdots j_{n}\cdots$$
Then  $\mu = \mu(1)\mu(2)\cdots\mu(n)\cdots$  is a point in  $\Sigma_{3}$  and
$$\sigma_{3}: \Lambda = \overline{\{\sigma_{3}^{\circ n}(\mu) \mid n \in \mathbb{N}\}} \to \Lambda$$
is the Möbius flow.
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#### Question

Is the Möbius flow simple or complicate?

# The complexity of the Möbius flow

The complexity of a dynamical system can be measured by a number called the entropy  $h. \leq -$ 

Consider another compact metric space and the shift on it,

$$\Sigma_{2} = \prod_{n=1}^{\infty} \{0, 1\} = \{ \underbrace{w = i_{1}i_{2}\cdots i_{n}\cdots}_{\mathcal{C}(\mathcal{N})} \}; \sigma_{2} : w \to \sigma(w) = i_{2}i_{2}\cdots i_{n}\cdots}_{\mathcal{C}(\mathcal{N})} \}$$

Let  $w = \iota(v) = i_1 i_2 \cdots i_n \cdots = j_1^2 j_2^2 \cdots j_n^2 \cdots$ . The point  $\iota(\mu) \in \sum_2$  records all square free natural numbers, which has the density  $\frac{6}{\pi^2}$  in N. This implies that the entropy  $h(\sigma_2|\iota(\Lambda))$  is  $\frac{6}{\pi^2} \log 2$ . Thus the entropy  $h(\sigma_3|\Lambda)$  is positive since  $\sigma_2 : \iota(\Lambda) \to \iota(\Lambda)$  is a factor of  $\sigma_3 : \Lambda \to \Lambda$ . This says that the Möbius flow is complicate and random.

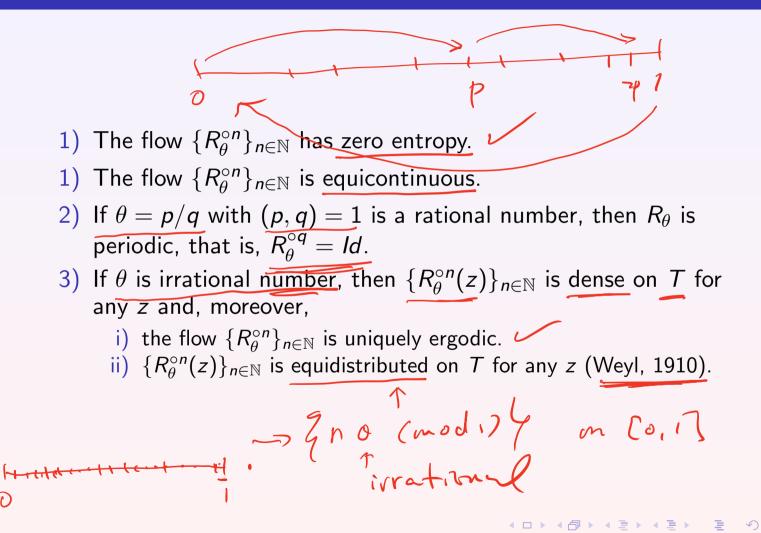
The Möbius function not only has the zero mean but also is oscillating (Davenport, 1937),  $\pi(\mu e^{2\pi i \phi}) = c$ 

 $\lim_{N\to\infty} \frac{1}{N} \sum_{n=1}^{N} \mu(n) e^{2\pi i \theta n} = 0, \quad \forall \ 0 \le \theta < 1.$ Here  $R_{\theta}(z) = e^{2\pi i \theta} z$  from the unit circle T into itself is the rigid rotation of angle  $\theta$ . This says that  $\mu$  and the flow  $\{R_{\theta}^{\circ n}\}_{n\in\mathbb{N}}$  are linearly disjoint, that is,

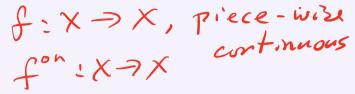
$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^{N}\mu(n)R_{\theta}^{\circ n}(1)=0,\quad\forall\ 0\leq\theta<1.$$

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## Dynamics of Rigid Rotations



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Suppose the flow  $\{f^{\circ n}: X \to X\}_{n \in \mathbb{N}}$  on a compact metric space X has zero entropy. Then for any complex-valued continuous function  $\phi: X \to \mathbb{C}$  and any  $x \in X$ , the Möbius function  $\mu(n)$  is linearly disjoint with the observation  $\{\phi(f^n(x))\}_{n \in \mathbb{N}}$ , that is,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^N\mu(n)\phi(f^n(x))=0.$$

## Sarnak's conjecture and Equicontinuous Flows



A flow  $\{f^{\circ n}: X \to X\}_{n \in \mathbb{N}}$  is equicontinuous if  $\forall \epsilon > 0, \exists \delta > 0$  such that for any  $x, y \in X$  with  $d(x, y) < \delta, d(f^{\circ n}(x), f^{\circ n}(y)) < \epsilon$  for all  $n \ge 0$ .

Sarnak's conjecture holds for all equicontinuous flows.

The flow  $\{f^{\circ n}: T \to T\}_{n \in \mathbb{N}}$  for an orientation-preserving circle homeomorphism f with an irrational rotation number  $\theta$  is equicontinuous if and only if f is topologically conjugate to the rigid rotation  $R_{\theta}$ , that is, there is a circle homeomorphism  $h: T \to T$  such that

 $h \circ f = R_{\theta} \circ h.$ 

# Non-Equicontinuous Circle Homeomorphisms

Suppose  $R_{\theta}$  is an irrational rigid rotation. Consider the orbit  $\{R_{\theta}^{\circ n}(1)\}_{n\in\mathbb{N}}$  and a sequence of pairwise disjoint intervals  $\{I_n\}_{n\in\mathbb{N}}$  on T with  $\sum_{n=1}^{\infty} |I_n| \leq 1$ . Enlarge each point  $R_{\theta}^{\circ n}(1)$  to the interval  $I_n$ , we reconstruct the unit circle T and define a circle homeomorphism f such that  $f : I_n \to I_{n+1}$  as an increasing linear map mapping endpoints to endpoints and  $f = R_{\theta}$  on  $T \setminus (\bigcup_{n=1}^{\infty} I_n)$ . We call these circle homeomorphisms Denjoy counter-examples. Every Denjoy counter-example is non-equicontinuous and has zero entropy.

h(f)=0

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We would like to understand the oscillating properties presented in the Möbius function  $\mu(n)$  as well as other arithmetic functions and classify all zero entropy flows such that the linear disjointness happens in ergodic theory which can be applied back to number theory.

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Let  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  be a sequence of complex numbers. We say that  $\mathbf{c}$  is a *log-uniform oscillating sequence* if there are two constants A > 1 and B > 0 such that

$$\sup_{0\leq\theta<1}\Big|\sum_{n=1}^{N}c_{n}e^{2\pi i n\theta}\Big|\leq B\frac{N}{\log^{A}N}, \quad \forall N\geq 2,$$

with the control condition

$$\sum_{n=1}^{N} |c_n|^{\lambda} = O(N), \quad \text{for some } \lambda > 1.$$
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The Möbius function  $\mu(n)$  is an example of log-uniform oscillating sequences due to Davenport.

#### Theorem

Suppose  $(X, \mathcal{B}, \nu)$  is a Borel probability measurable space and  $f: X \to X$  is an automorphism. Suppose  $\mathbf{c} = (c_n)$  is a log-uniform oscillating sequence. Then for any  $\phi \in L^1(X, \mathcal{B}, \nu)$ , we have that

$$\lim_{N \to \infty} \frac{1}{N} \sum_{n=1}^{N} c_n \phi(f^n(x)) = 0, \ \nu \text{-a.e. } x \in X.$$

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See Sarnak, Lecture Notes; J, Nonlinearity

#### Definition

Let  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  be a sequence of complex numbers. We say that  $\mathbf{c}$  is an *oscillating sequence* if for any  $0 \le \theta < 1$ ,

$$\lim_{N\to 0}\frac{1}{N}\sum_{n=1}^{N}c_{n}e^{2\pi i n\theta}=0$$

$$F(\overline{c}e^{2\pi i\theta})=0$$

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with the control condition (1).

See Fan-J, ETDS, 2018.

The Möbius function  $\mu(n)$  is an example of oscillating sequences due to Davenport.

# More Examples and Counterexamples of Oscillating Sequences

- ► The sequence  $(e^{2\pi i n\alpha})_{n \in \mathbb{N}}$  for some  $0 \le \alpha < 1$  is not an oscillating sequence.
- The sequence (e<sup>2πiαn log n</sup>)<sub>n∈ℕ</sub> for any α > 0 is an oscillating sequence.

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- The sequence (e<sup>2πin<sup>2</sup>α</sup>)<sub>n∈ℕ</sub> for any rational number α is not an oscillating sequence.
- The sequence  $(e^{2\pi i n^2 \alpha})_{n \in \mathbb{N}}$  for any irrational number  $\alpha$  is an oscillating sequence.

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#### Definition

Let  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  be a sequence of complex numbers. We say that  $\mathbf{c}$  is an *oscillating sequence* in arithmetic if for any  $0 \le \theta < 1$ , for any  $q \ge 1$  and  $1 \le r < q$ ,

$$\lim_{N\to 0} \frac{1}{N} \sum_{1\leq n\leq N, n=r \pmod{q}} c_n e^{2\pi i n \theta} = 0$$

with the control condition (1).

An oscillating sequence is an oscillating sequence in arithmetic (see H. Daboussi and H. Delange, J. Lond. Math. Soc., 1982 and Fan-J, ETDS, 2018, Proposition 4).

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Suppose  $f : X \to X$  is a (piece-wise) continuous map from a compact metric space X into itself. For any complex-valued continuous function  $\phi : X \to \mathbb{C}$  and any  $x \in X$ , we call  $(\phi(f^{\circ n}x))_{n \in \mathbb{N}}$  an observation.

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#### Definition

We say a sequence  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  of complex numbers is linearly disjoint from f if

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^N c_n\phi(f^{\circ n}x)=0$$

for all observations  $(\phi(f^{\circ n}x))_{n\in\mathbb{N}}$ .

#### Definition

We say that f is mean-L-stable (briefly, MLS) if for every  $\epsilon > 0$ , there is a  $\delta > 0$  such that  $d(x, y) < \delta$  implies  $d(f^{\circ n}x, f^{\circ n}y) < \epsilon$ for all  $n = 0, 1, 2, \cdots$  except for a subset  $E = E_{x,y}$  of natural numbers with  $\overline{D}(E) < \epsilon$  Here

$$\overline{D}(E) = \limsup_{n \to \infty} \frac{\sharp (E \cap [1, n])}{n}.$$

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S. V. Fomin, Dokl. Akad. Nauk SSSR, 1951.

A subset 
$$K \subseteq X$$
 is said to be minimal if  $\overline{\{f^{\circ n}x\}_{n=0}^{\infty}} = K$  for any  $x \in K$ .

#### Definition

We say that f is minimal MLS (briefly, MMLS) if for every minimal subset  $K \subseteq X$ , f | K is MLS.

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See Fan-J, ETDS, 2018

## Minimal Mean Attractability

Definition We say  $x \in X$  is mean attracted to K if  $\forall \epsilon > 0, \exists z = z_{e,x} \in K$ such that  $\lim_{N \to \infty} \sup \frac{1}{N} \sum_{n=1}^{N} d(f^{\circ n}x, f^{\circ n}z) < \epsilon.$ Mean attractor

The basin B(K) is the set of all points  $x \in X$  which are meanly attracted to K. We say that f is minimal mean attractable (briefly, MMA) if  $X = \bigcup_{K} B(K)$  where K varies among all minimal subsets of X.

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See Fan-J, ETDS, 2018

## Theorem (Fan-J, ETDS, 2018)

Any oscillating sequence  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  is linearly disjoint from any MMA and MMLS f. More precisely,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^N c_n\phi(f^{\circ n}x)=0, \ \forall \phi\in C(X,\mathbb{C}), \ \forall x\in X.$$

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The limit is uniform on each minimal subset.

# MMLS and MMA and Sarnak's Conjecture

Corollary

systems.

Since an MMA and MMLS dynamical system has zero entropy, our result confirms Sarnak's conjecture for a large class of dynamical systems with zero entropy.

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Sarnak's conjecture holds for all MMLS and MMA dynamical

This corollary generalizes many works from other people on Sarnak's conjecture, for examples, P. Sarnak, Lecture Notes; 2010 ; D. Karagulyan, Ark. Mat.,; 2015, J. Li, P. Oprocha, G. Y. Yang, and T. Zeng, Nonlinearity 2017.

## All Denjoy counter-examples $f : T \rightarrow T$ are MMLS and MMA. And they are not equicontinuous on its minimal subsets. See Fan-J, ETDS, 2018.

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All continuous infinitely renormalizable interval maps with zero  $\dot{c}_{o=1}$ topological entropy such that they are only semi-conjugate to the  $\dot{c}_{o+1}$ adding machine on their strange attractors are MMLS and MMA. = 0/They are not equicontinuous on its minimal subsets.

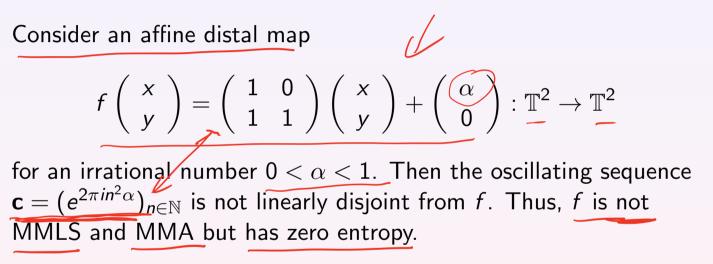
 $v = 0, v_2 \tilde{v}_3 - - + ( - v_3 - v_3 - - v_3 -$ 

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See J, Nonlinearity, 2018.

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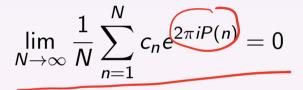
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See Fan-J, ETDS, 2018.

#### Definition

We call a sequence  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  of complex numbers an oscillating sequence of order  $d \ge 2$  if



for every real coefficient polynomial P of degree  $\leq d$  with the control condition (1).

See J, PAMS, 2019.

The Möbius function  $\mu(n)$  is an example of an oscillating sequence of order d for all  $d \ge 2$  due to Hua. (9605)

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#### Definition

We call  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  of complex numbers an oscillating sequence of order  $d \ge 2$  in arithmetic if

$$\lim_{N\to\infty}\frac{1}{N}\sum_{1\leq n\leq N,n=r\pmod{q}}c_ne^{2\pi iP(n)}=0,$$

for all real coefficient polynomials P of degree  $\leq d$  and every pair of integers  $0 \leq r < q$  with the control condition (1).

#### See J, PAMS, 2019

The Möbius function  $\mu(n)$  is also an example oscillating sequence of order d for all  $d \ge 2$  in arithmetic due to Hua.

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# Higher Order Oscillating Sequences Other Than the **Möbius Function**

#### Theorem (Akiyama-J, UDT, 2019)

Suppose g is a positive  $C^2$  function on  $(1,\infty)$  with non-negative first and second derivatives. For a fixed real number  $\alpha \neq 0$  and almost all real numbers  $\beta > 1$  (alternatively, for a fixed real number  $\beta > 1$  and almost all real number  $\alpha$ ), sequences S B'(modi)

are oscillating sequence of order d as well as in arithmetic for all d > 2.

 $\mathbf{c} = \left(e^{2\pi i\alpha\beta^n g(\beta)}\right)_{n\in\mathbb{N}}$ 

Note that the sequence  $\{\alpha\beta^n g(\beta) \pmod{1}\}_{n\in\mathbb{N}}$  has positive a. e yes, find a concrebe Bis interesting entropy.

Let  $\mathbb{T}^d = \mathbb{R}^d / \mathbb{Z}^d$  be the *d*-torus. Let  $A \in GL(d, \mathbb{Z})$ , the space of all  $d \times d$ -matrices of integer entries with determinants  $\pm 1$ . The map  $T_{A,\mathbf{a}}\mathbf{x} = A\mathbf{x} + \mathbf{a} : \mathbb{T}^d \to \mathbb{T}^d$  is an affine map, where  $\mathbf{x}$  is a variable and  $\mathbf{a}$  is a constant point in  $\mathbb{T}^d$ . The map  $T_{A,\mathbf{0}} = A\mathbf{x} : \mathbb{T}^d \to \mathbb{T}^d$  is an automorphism of  $\mathbb{T}^d$ .

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An affine map

$$T_{A,\mathbf{a}}(\mathbf{x}) = A\mathbf{x} + \mathbf{a} : \mathbb{T}^d \to \mathbb{T}^d$$

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is called distal if all eigenvalues of A are 1.

## Theorem (J, PAMS, 2019)

Any oscillating sequence of order  $d \ge 2$  is linearly disjoint from any affine distal map  $T_{A,a}$  of the d-torus  $\mathbb{T}^d$ .

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## Zero Entropy Affine Maps on the *d*-Torus

In order for  $T_{A,\mathbf{a}}$  to have zero entropy, the absolute values  $|\lambda_i|$  of all eigenvalues  $\lambda_i$ ,  $1 \le i \le d$ , of A must be  $\le 1$  due to Sinai. Moreover, every  $\lambda_i$  must be a root of unity due to Kronecker. This says that  $T_{A,\mathbf{a}}^k$  is an affine distal map for some  $k \ge 1$ .

 $\begin{pmatrix} x \\ y \end{pmatrix} \rightarrow \begin{pmatrix} x + \alpha \\ y + \beta \end{pmatrix} continuous h(x)?$ 

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## Corollary (J, PAMS, 2019)

Any oscillating sequence of order  $d \ge 2$  in arithmetic is linearly disjoint from any zero entropy affine map  $T_{A,a}$  of the d-torus  $\mathbb{T}^d$ .

We have also study some non-linear skew products on the d-torus.

## Corollary (J, PAMS)

Sarnak's conjecture holds for all zero entropy affine maps of the d-torus for any d > 2

There are some other works on Sarnak's conjecture for zero entropy affine and nonlinear maps of the *d*-torus, in particular, the 2-torus and the 3-torus. And there are some work on Sarnak's conjecture for flows *f* with quasi-discrete spectrum. For examples, Liu-Sarnak, Duke J. Math; Z. Wang, Invent.; Huang-Liu-Wang, arXiv:1907.01735; e. H. el Abdalaoui, arXiv1704.07243.

# The Thue Morse Sequence

m = 0110100110010110...

has zero entropy. Let  $\mathbf{m} = e^{\pi i m} = (m_n)_{n \in \mathbb{N}}$ . Konieczny, 2016, arXiv, shows that  $\mathbf{m}$  has a small sequence of Gowers norms, that is, for any  $d \ge 1$ , there exists c = c(d) > 0 such that

$$\|\mathbf{m}\|_{U^d[N]} = O(N^{-c}).$$

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Using this result, Abdalaoui, 2017, arXiv, shows that **m** is an oscillating sequence of order *d* for all  $d \ge 1$ . If we take the Thur-Morse sequence as a zero entropy flow and **m** as a higher order oscillating sequence and  $\phi = e^{\pi i x_1}$  as a function. Then they are not linearly disjoint, that is,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^N m_n m_n = 1.$$

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Bourgain, Sarnak, and Ziegler, 2013, shows the following criterion for the linear disjointness by using the decay of correlation: Suppose  $F, \nu : \mathbb{N} \to \mathbb{C}$  are two arithmetic functions with  $|F|, |\nu| \leq 1$  and  $\nu$  is multiplicative. If for any pair of distinct primers numbers  $p_1, p_2, \qquad \uparrow$ 

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^{N}F(p_1n)\overline{F(p_2n)}=0,$$

then F and  $\nu$  are linearly disjoint, that is,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^N\nu(n)F(n)=0,$$

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The following is an old conjecture (1965) in number theory, which relates to the Riemann hypothesis.

#### Conjecture

For each choice of  $0 = k_0 < k_1 < \cdots < k_r$ , r > 0, and each choice of  $i_0, i_1, \cdots i_r \in \{1, 2\}$ , not all  $\mu^{i_j}(n + k_j) = 1$ , we have the decay of the multi-correlation, that is,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^{N}\mu^{i_1}(n+k_1)\cdot\ldots\cdot\mu^{i_r}(n+k_r)=0.$$

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#### Definition

A sequence  $\mathbf{c} = (c_n)_{n \in \mathbb{N}}$  of complex numbers is said to be a Chowla sequence if the control condition (1) and if for each choice of  $0 \le k_1 < \cdots < k_r$ , r > 0, and each choice of  $i_1, \cdots i_r \in \mathbb{N}$  such that not all  $c_{n+k_j}^{i_j} = |c_{n+k_j}|$ , the decay of the multi-correlation holds, that is,

$$\lim_{N\to\infty}\frac{1}{N}\sum_{n=1}^{N-1}\prod_{j=1}^r c_{n+k_j}^{i_j}=0.$$

By using a similar method as Akiyama-J, UDT, we can construct a Chowla sequence in the form  $\mathbf{c} = (e^{2\pi i \alpha \beta^n g(\beta)})$ .

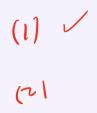
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Chowla's conjecture implies Sarnak's conjecture. See Sarnak, 2010 and H. El Abdalaoui, J. Kulaga-Przymus, M. Lemznczyk, T. de la Rue, arXiv:1410.1673.

Veech (AJM and London Notes) shows that that there is a unique admissible measure on the Möbius flow (Chowla measure). A recent paper, el H. el Abdalaoui, arXiv:1711.06326, says that, from Veech's work with the help of Tao's logarithmic Theorem on logarithmic Sarnak's conjecture, we have that

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Sanark's conjecture implies Chowla's conjecture.





# Thanks!