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over short moving intervals**

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# Partial sums of typical multiplicative functions over short moving intervals

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We prove that the  $k$ -th positive integer moment of partial sums of Steinhaus random multiplicative functions over the interval  $(x, x + H]$  matches the corresponding Gaussian moment, as long as  $H \ll x/(\log x)^{2k^2+2+o(1)}$  and  $H$  tends to infinity with  $x$ . We show that properly normalized partial sums of typical multiplicative functions arising from realizations of random multiplicative functions have Gaussian limiting distribution in short moving intervals  $(x, x + H]$  with  $H \ll X/(\log X)^{W(X)}$  tending to infinity with  $X$ , where  $x$  is uniformly chosen from  $\{1, 2, \dots, X\}$ , and  $W(X)$  tends to infinity with  $X$  arbitrarily slowly. This makes some initial progress on a recent question of Harper.

## 1. Introduction

We are interested in the partial sums behavior of a family of completely multiplicative functions  $f$  supported on moving short intervals. Formally, for positive integers  $X$ , let  $[X] := \{1, 2, \dots, X\}$  and

$$\mathcal{F}_X := \{f : [X] \rightarrow \{|z| = 1\} : f \text{ is completely multiplicative}\}.$$

For  $f \in \mathcal{F}_X$ , the function values  $f(n)$  for all  $n \leq X$  are uniquely determined by  $(f(p))_{p \leq X}$ . The Steinhaus random multiplicative function is defined by selecting  $f(p)$  uniformly at random from the complex unit circle and defining  $f(n)$  completely multiplicatively. One may view  $\mathcal{F}_X$  as the family of all Steinhaus random multiplicative functions.

Let  $H$  be another positive integer. We are interested in for a typical  $f \in \mathcal{F}_{X+H}$ , whether the random partial sums

$$A_H(f, x) := \frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} f(n), \tag{1-1}$$

where  $x$  is uniformly chosen from  $[X]$ , behave like a complex standard Gaussian. In this note, we provide a positive answer ([Theorem 1.2](#)) when  $H \ll_A X/\log^A X$  holds for all  $A > 0$ . As we explain in [Section 4](#), the answer is negative for  $H \gg X \exp(-(\log \log X)^{1/2-\epsilon})$ , but the question remains open between these two thresholds.

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We formalize the question by explaining how to measure the elements in  $\mathcal{F}_X$ . Via complete multiplicativity of  $f \in \mathcal{F}_X$ , define on  $\mathcal{F}_X$  the product measure

$$\nu_X := \prod_{p \leq X} \mu_p,$$

where for any given prime  $p$ , we let  $\mu_p$  denote the uniform distribution on the set  $\{f(p)\} = \{|z| = 1\}$ . For example,  $\nu_X(\mathcal{F}_X) = 1$ .

**Question 1.1** [Harper 2022, open question (iv)]. What is the distribution of the normalized random sum defined in (1-1) (for most  $f$ ) as  $x$  is uniformly chosen from  $[X]$ ?

**1A. Main results.** In this note, we make some progress on Question 1.1. We use the notation  $\xrightarrow{d}$  to denote convergence in distribution.

**Theorem 1.2.** Let integer  $X$  be large and  $W(X)$  tend to infinity arbitrarily slowly as  $X$  tends to infinity. Let  $H := H(X) \ll X(\log X)^{-W(X)}$  and  $H \rightarrow +\infty$  as  $X \rightarrow +\infty$ . Then, for almost all  $f \in \mathcal{F}_{X+H}$ , as  $X \rightarrow +\infty$ ,

$$\frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} f(n) \xrightarrow{d} \mathcal{CN}(0, 1), \tag{1-2}$$

where  $x$  is chosen uniformly from  $[X]$ .

Here “almost all” means the total measure of such  $f$  is  $1 - o_{X \rightarrow +\infty}(1)$  under  $\nu_{X+H}$ .<sup>1</sup> Also,  $\mathcal{CN}(0, 1)$  denotes the standard complex normal distribution; a standard complex normal random variable  $Z$  (with mean 0 and variance 1) can be written as  $Z = X + iY$ , where  $X$  and  $Y$  are independent real normal random variables with mean 0 and variance  $\frac{1}{2}$ . Recall that a real normal random variable  $W$  with mean 0 and variance  $\sigma^2$  satisfies

$$\mathbb{P}(W \leq t) = \frac{1}{\sigma\sqrt{2\pi}} \int_{-\infty}^t e^{-x^2/(2\sigma^2)} dx.$$

To prove Theorem 1.2, we establish moment statistics in several situations. We first show that the integer moments of random multiplicative functions  $f$  supported on suitable short intervals match the corresponding Gaussian moments. We write  $\mathbb{E}_f$  to mean “average over  $f \in \mathcal{F}_X$  with respect to  $\nu_X$ ” (where  $\mathcal{F}_X$  is always clear from context).

**Theorem 1.3.** Let  $x, H, k \geq 1$  be integers. Let  $f \in \mathcal{F}_{x+H}$ . Let  $E(k) = 2k^2 + 2$ . Then

$$\mathbb{E}_f \left| \frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} f(n) \right|^{2k} = k! + O_k \left( H^{-1} + \frac{H^{1/2}}{\max(x, H)^{1/2}} + \frac{H \cdot (\log x + \log H)^{E(k)}}{\max(x, H)} \right),$$

with an implied constant depending only on  $k$ .

<sup>1</sup>More precisely, there exist nonempty measurable sets  $\mathcal{G}_{X,H} \subseteq \mathcal{F}_{X+H}$  of measure  $1 - o_{X \rightarrow +\infty}(1)$  (under  $\nu_{X+H}$ ) such that for every sequence of functions  $f_X \in \mathcal{G}_{X,H}$  ( $X \geq 1$ ), the random variable on the left-hand side of (1-2) (with  $f = f_X$ ) converges in distribution to  $\mathcal{CN}(0, 1)$  as  $X \rightarrow +\infty$ .

Notice that  $k!$  is the  $2k$ -th moment of the standard complex Gaussian distribution. Given an integer  $k \geq 1$ , let  $E'(k)$  be the smallest real number  $r \geq 0$  such that for every  $\varepsilon > 0$ , we have  $\mathbb{E}_f |A_H(f, x)|^{2k} \rightarrow k!$  whenever

$$x \rightarrow +\infty \quad \text{and} \quad (\log x)^\varepsilon \leq H \leq x/(\log x)^{r+\varepsilon}.$$

**Theorem 1.3** shows that  $E'(k) \leq E(k)$ .<sup>2</sup> The paper [Chatterjee and Soundararajan 2012] studies the case  $k = 2$ , showing in particular that  $E'(2) \leq 1$ . In the case that  $f$  is supported on  $\{1, 2, \dots, x\}$ , the  $2k$ -th moments for general  $k$  were studied in [Batyrev and Tschinkel 1998; de la Bretèche 2001a; 2001b; Granville and Soundararajan 2001; Heap and Lindqvist 2016; Harper 2019; Harper et al. 2015] and it is known that the moments there do not match Gaussian moments: for instance, by [Harper 2019, Theorem 1.1], there exists some constant  $c > 0$  such that for all positive integers  $k \leq c(\log x / \log \log x)$  (assuming  $x$  is large),

$$\mathbb{E}_f \left| \frac{1}{\sqrt{x}} \sum_{n \leq x} f(n) \right|^{2k} = e^{-k^2 \log(k \log(2k)) + O(k^2)} (\log x)^{(k-1)^2}. \tag{1-3}$$

While (1-3) is quite uniform over  $k$ , it is unclear how uniform in  $k$  one could make our **Theorem 1.3**. (See **Remark 2.3** for some discussion of the  $k$ -aspect in our work.)

**Remark 1.4.** The powers of  $\log x$  above are significant. For instance, **Theorem 1.3** in the range  $H \gg x$  follows directly from (1-3), since  $(k-1)^2 \leq E(k)$ . One may also wonder how far our bound  $E'(k) \leq E(k)$  is from the truth. Based on a circle method heuristic for (1-4) along the lines of [Hooley 1986, Conjecture 2], with a Hardy–Littlewood contribution on the order of  $(H^{2k}/Hx^{k-1})(\log x)^{(k-1)^2}$ , and an additional contribution of roughly  $k!H^k$  from trivial solutions, it is plausible that one could improve the right-hand side in **Theorem 1.3** to  $k! + O_k((H^{k-1}/x^{k-1})(\log x)^{(k-1)^2})$  for  $H \in [x^{1-\delta}, x]$ . If true, this would suggest that  $E'(k) \leq k-1$  and we believe this might be the true order. For a discussion of how one might improve on **Theorem 1.3**, see the beginning of **Section 4**.

By orthogonality, **Theorem 1.3** is a statement about the Diophantine point count

$$\#\{(n_1, n_2, \dots, n_{2k}) \in (x, x + H]^{2k} : n_1 n_2 \cdots n_k = n_{k+1} n_{k+2} \cdots n_{2k}\}. \tag{1-4}$$

The circle method, or modern versions thereof such as [Duke et al. 1993; Heath-Brown 1996], might lead to an asymptotic for (1-4) uniformly over  $H \in [x^{1-\delta}, x]$  for  $k = 2$ , unconditionally (compare [Heath-Brown 1996, Theorem 6]), or for  $k = 3$ , conditionally on standard number-theoretic hypotheses (compare [Wang 2021]). Alternatively, “multiplicative” harmonic analysis along the lines of [de la Bretèche 2001b; Harper et al. 2015; Heap and Lindqvist 2016] may in fact lead to an unconditional asymptotic over  $H \in [x^{1-\delta}, x]$  for all  $k$ , with many main terms involving different powers of  $\log x, \log H$ . Nonetheless, for all  $k$ , we obtain an unconditional asymptotic for (1-4) uniformly over  $H \ll x/(\log x)^{Ck^2}$ , by replacing

<sup>2</sup>After writing the paper, the authors learned that for  $H \leq x/\exp(C_k \log x / \log \log x)$ , the Diophantine statement underlying **Theorem 1.3** has essentially appeared before in the literature; see [Bourgain et al. 2014, proof of Theorem 34]. However, we handle a more delicate range of the form  $H \leq x/(\log x)^{Ck^2}$ .

the complicated “off-diagonal” contribution to (1-4) with a *larger but simpler* quantity; see Section 2 for details.

**Remark 1.5.** An analog of (1-4) for polynomial values  $P(n_i)$  is studied in [Klurman et al. 2023; Wang and Xu 2022], and a similar flavor counting question to (1-4) is studied in [Fu et al. 2021] using the decoupling method.

After Theorem 1.3, our next step towards Theorem 1.2 is to establish concentration estimates for the moments of the random sums (1-1). We write  $\mathbb{E}_x$  to denote “expectation over  $x$  uniformly chosen from  $[X]$ ” (where  $X$  is always clear from context).

**Theorem 1.6.** *Let  $X, k \geq 1$  be integers with  $X$  large. Suppose that  $H := H(X) \rightarrow +\infty$  as  $X \rightarrow +\infty$ . There exists a large absolute constant  $A > 0$  such that the following holds as long as  $H \ll X(\log X)^{-C_k}$  with  $C_k = Ak^{Ak}$ . Let  $f \in \mathcal{F}_{X+H}$ ; then*

$$\mathbb{E}_f \left( \mathbb{E}_x \left| \frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} f(n) \right|^{2k} - k! \right)^2 = o_{X \rightarrow +\infty}(1). \tag{1-5}$$

Furthermore, for any fixed positive integer  $\ell < k$ , we have

$$\mathbb{E}_f \left| \mathbb{E}_x \left( \frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} f(n) \right)^k \left( \frac{1}{\sqrt{H}} \sum_{x < n \leq x+H} \overline{f(n)} \right)^\ell \right|^2 = o_{X \rightarrow +\infty}(1). \tag{1-6}$$

We prove Theorem 1.3 in Section 2, and then we prove Theorem 1.6 in Section 3.

*Proof of Theorem 1.2, assuming Theorem 1.6.* We use the notation  $A_H(f, x)$  from (1-1). By Markov’s inequality, Theorem 1.6 implies that there exists a set of the form

$$\mathcal{G}_{X,H} := \left\{ f \in \mathcal{F}_{X+H} : \mathbb{E}_x |A_H(f, x)|^{2k} - k! = o_{X \rightarrow +\infty}(1) \text{ for all } k \leq V(X), \right. \\ \left. \mathbb{E}_x [A_H(f, x)^k \overline{A_H(f, x)^\ell}] = o_{X \rightarrow +\infty}(1) \text{ for all distinct } k, \ell \leq V(X) \right\}$$

for some  $V(X) \rightarrow +\infty$  (making a choice of  $V(X)$  based on  $W(X)$ ) such that

$$\nu_{X+H}(\mathcal{G}_{X,H}) = 1 - o_{X \rightarrow +\infty}(1).$$

Since the distribution  $\mathcal{CN}(0, 1)$  is uniquely determined by its moments (see e.g., [Billingsley 2012, Theorem 30.1 and Example 30.1]), Theorem 1.2 follows from the method of moments [Gut 2005, Chapter 5, Theorem 8.6] (applied to sequences of random variables  $A_H(f, x)$  indexed by  $f \in \mathcal{G}_{X,H}$  as  $X \rightarrow +\infty$ ). □

We believe results similar to our theorems above should also hold in the (extended) Rademacher case, though we do not pursue that case in this paper.

**1B. Notation.** For any two functions  $f, g : \mathbb{R} \rightarrow \mathbb{R}$ , we write  $f \ll g, g \gg f, g = \Omega(f)$  or  $f = O(g)$  if there exists a positive constant  $C$  such that  $|f| \leq Cg$ , and we write  $f \asymp g$  or  $f = \Theta(g)$  if  $f \ll g$  and  $g \gg f$ . We write  $O_k$  to indicate that the implicit constant depends on  $k$ . We write  $o_{X \rightarrow +\infty}(g)$  to denote a quantity  $f$  such that  $f/g$  tends to zero as  $X$  tends to infinity.

**2. Moments of random multiplicative functions in short intervals**

In this section, we prove [Theorem 1.3](#). For integers  $k, n \geq 1$ , let  $\tau_k(n)$  denote the number of positive integer solutions  $(d_1, \dots, d_k)$  to the equation  $d_1 \cdots d_k = n$ . It is known that (see [\[Norton 1992, Theorem 1.29 and Corollary 1.36\]](#))

$$\tau_k(n) \ll n^{O(\log k / \log \log n)} \quad \text{as } n \rightarrow +\infty, \text{ provided } k = o_{n \rightarrow +\infty}(\log n). \tag{2-1}$$

As we mentioned before, when  $H \geq x$ , [Theorem 1.3](#) is implied by (1-3). From now on, we focus on the case  $H \leq x$ . We split the proof into two cases: small  $H$  and large  $H$ . For small  $H$ , we illustrate the general strategy and carelessly use divisor bounds; for large  $H$ , we take advantage of bounds of Shiu [\[1980\]](#) and Henriot [\[2012\]](#) on mean values and correlations of multiplicative functions over short intervals, together with a decomposition idea.

**2A. Case 1:  $H \leq x^{1-\varepsilon k^{-1}}$ .** Here we take  $\varepsilon$  to be a small absolute constant, e.g.,  $\varepsilon = \frac{1}{100}$ .

We begin with the following proposition.

**Proposition 2.1.** *Let  $k, y, H \geq 1$  be integers. Suppose  $y$  is large and  $k \leq \log \log y$ . Then  $N_k(H; y)$ , the number of integer tuples  $(h_1, h_2, \dots, h_k) \in [-H, H]^k$  with  $y \mid h_1 h_2 \cdots h_k$  and  $h_1 h_2 \cdots h_k \neq 0$ , is at most  $(2H)^k \cdot O(H^{O(k \log k / \log \log y)} / y)$ .*

*Proof.* The case  $k = 1$  is trivial; one has  $N_1(H; y) \leq 2H/y$ . Suppose  $k \geq 2$ . Whenever  $y \mid h_1 h_2 \cdots h_k \neq 0$ , there exists a factorization  $y = u_1 u_2 \cdots u_k$  where  $u_i$  are positive integers such that  $u_i \mid h_i \neq 0$  for all  $1 \leq i \leq k$ . (Explicitly, one can take  $u_1 = \gcd(h_1, y)$  and  $u_i = \gcd(h_i, y / \gcd(y, h_1 h_2 \cdots h_{i-1}))$ .) It follows that  $N_k(H; y) = 0$  if  $y > H^k$ , and

$$N_k(H; y) \leq \sum_{u_1 u_2 \cdots u_k = y} N_1(H; u_1) N_1(H; u_2) \cdots N_1(H; u_k) \leq \tau_k(y) \cdot (2H)^k / y \tag{2-2}$$

if  $y \leq H^k$ . By the divisor bound (2-1), [Proposition 2.1](#) follows. □

**Corollary 2.2.** *Let  $k, H, x \geq 1$  be integers. Suppose  $x$  is large and  $k \leq \log \log x$ . Then  $S_k(x, H)$ , the set of integer tuples  $(h_1, h_2, \dots, h_k, y) \in [-H, H]^k \times (x, x + H]$  with  $y \mid h_1 h_2 \cdots h_k$  and  $h_1 h_2 \cdots h_k \neq 0$ , has size at most  $(2H)^k \cdot O(H^{1+O(k \log k / \log \log x)} / x)$ .*

*Proof.*  $\#S_k(x, H) = \sum_{x < y \leq x+H} N_k(H; y)$ . But here  $N_k(H; y) \ll (2H)^k \cdot H^{O(k \log k / \log \log x)} / x$ . □

The  $2k$ -th moment in [Theorem 1.3](#) is  $H^{-k}$  times the point count (1-4) for the Diophantine equation

$$n_1 n_2 \cdots n_k = n_{k+1} n_{k+2} \cdots n_{2k}. \tag{2-3}$$



There are  $k!H^k(1 + O(k^2/H)) = k!H^k + O_k(H^{k-1})$  trivial solutions. (We call a solution to (2-3) *trivial* if the tuple  $(n_{k+1}, \dots, n_{2k})$  equals a permutation of  $(n_1, \dots, n_k)$ .) The number of trivial solutions is clearly  $\geq k!H(H-1) \cdots (H-k+1)$ , and  $\leq k!H^k$ .) It remains to bound  $N_k(x, H)$ , the number of nontrivial solutions  $(n_1, \dots, n_{2k}) \in (x, x+H]^{2k}$  to (2-3).

We will show that  $N_k(x, H) \ll H^k \cdot (H/x)^{1/2}$ . To this end, let  $N'_k(x, H)$  denote the number of nontrivial solutions in  $(x, x+H]^{2k}$  with the further constraint that

$$n_{2k} \notin \{n_1, n_2, \dots, n_k\}. \tag{2-4}$$

Then for any  $k \geq 2$ , we have

$$N_k(x, H) \leq N'_k(x, H) + k \cdot (H+1) \cdot N_{k-1}(x, H), \tag{2-5}$$

since for each  $(n_1, \dots, n_{2k}) \in (x, x+H]^{2k}$ , either (2-4) holds or there exists  $i \in [k]$  satisfying  $n_i = n_{2k} \in (x, x+H]$ .

A key observation is that for nontrivial solutions to (2-3) with constraint (2-4),<sup>3</sup>

$$n_{2k} \mid (n_1 - n_{2k})(n_2 - n_{2k}) \cdots (n_k - n_{2k}),$$

and if we write  $h_i := n_i - n_{2k}$  then  $h_i \in [-H, H]$  are nonzero. Given  $h_1, h_2, \dots, h_k, y$ , let

$$C_{h_1, \dots, h_k, y} := \prod_{1 \leq i \leq k} (h_i + y).$$

Then  $N'_k(x, H)$  is (upon changing variables from  $n_1, \dots, n_k$  to  $h_1, \dots, h_k$ ) at most

$$\sum_{\substack{(h_1, \dots, h_k, n_{2k}) \in S_k(x, H) \\ h_i + n_{2k} > 0}} \# \left\{ (n_{k+1}, \dots, n_{2k-1}) \in (x, x+H]^{k-1} : \left( \prod_{i=1}^{k-1} n_{k+i} \right) \mid C_{h_1, \dots, h_k, n_{2k}} \right\}. \tag{2-6}$$

If  $x$  is large and  $k$  is fixed (or  $k \leq \log \log x$ , say), then by the divisor bound (2-1), the quantity (2-6) is at most

$$\ll (H+x)^{O(k \log k / \log \log x)} \cdot \#S_k(x, H) \ll O(H)^k \cdot O(H \cdot x^{-1+O(k \log k / \log \log x)}),$$

where in the last step we used [Corollary 2.2](#).

By (2-5), it follows that  $x$  is large and  $k$  is fixed (or  $k \leq \log \log x$ , say), then

$$N_k(x, H) \leq k \cdot \max_{1 \leq j \leq k} (O(kH)^{k-j} \cdot N'_j(x, H)) \ll k \cdot O(kH)^k \cdot O(H \cdot x^{-1+O(k \log k / \log \log x)}). \tag{2-7}$$

(Note that  $N_1(x, H) = 0$ .) So in particular,  $N_k(x, H) \ll H^k \cdot (H/x)^{1/2}$  for fixed  $k$  (or for  $x$  large and  $k \leq (\log \log x)^{1/2-\delta}$ , say), since  $H \leq x^{1-\varepsilon k^{-1}}$ . This suffices for [Theorem 1.3](#).

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<sup>3</sup>After writing the paper, the authors learned that this observation has appeared before in the literature (see [\[Bourgain et al. 2014, proof of Lemma 22\]](#)); however, we take the idea further, both in [Section 2](#) and in [Section 3](#).

**Remark 2.3.** The argument above in fact gives, in Case 1, a version of [Theorem 1.3](#) with an implied constant of  $O(k!k^2)$ , uniformly over  $k \leq (\log \log x)^{1/2-\delta}$ , say. However, in Case 2 below, our proof relies on a larger body of knowledge for which the  $k$ -dependence does not seem easy to work out; this is why we essentially keep  $k$  fixed in [Theorem 1.3](#).

**2B. Case 2:**  $x^{1-2\epsilon k^{-1}} \leq H \leq x$ . Again, one can assume  $\epsilon = \frac{1}{100}$ . In this case, we employ the following tool due to [Henriot \[2012, Theorem 3\]](#). For the multiplicative functions  $f$  in (2-8) (and in similar places below), we let  $f(m) := 0$  if  $m \leq 0$ .

**Definition 2.4.** Given a real  $A_1 \geq 1$  and a function  $A_2 = A_2(\epsilon) \geq 1$  (defined for reals  $\epsilon > 0$ ), let  $\mathcal{M}(A_1, A_2)$  denote the set of nonnegative multiplicative functions  $f(n)$  such that  $f(p^\ell) \leq A_1^\ell$  (for all primes  $p$  and integers  $\ell \geq 1$ ) and  $f(n) \leq A_2 n^\epsilon$  (for all  $n \geq 1$ ).

**Lemma 2.5.** Let  $f_1, f_2 \in \mathcal{M}(A_1, A_2)$  and  $\beta \in (0, 1)$ . Let  $a, q \in \mathbb{Z}$  with  $|a|, q \geq 1$  and  $\gcd(a, q) = 1$ . If  $x, y \geq 2$  are reals with  $x^\beta \leq y \leq x$  and  $x \geq \max(q, |a|)^\beta$ , then

$$\sum_{x \leq n \leq x+y} f_1(n) f_2(qn + a) \ll_{\beta, A_1, A_2} \Delta_D \cdot y \cdot \sum_{n_1 n_2 \leq x} \frac{f_1(n_1) f_2(n_2)}{n_1 n_2}, \tag{2-8}$$

where  $\Delta_D \leq \prod_{p|a^2} (1 + (2A_1 + A_1^2)p^{-1})$ . Furthermore,

$$\Delta_D \leq \left( \frac{|a|}{\phi(|a|)} \right)^{2A_1 + A_1^2} \quad (\text{where } \phi \text{ denotes Euler's totient function}). \tag{2-9}$$

*Proof.* Everything but (2-9) follows from [\[Henriot 2012, Theorem 3\]](#) and the unraveling of definitions done in [\[Matomäki et al. 2019, proof of Lemma 2.3\(ii\)\]](#); in the notation of [\[Henriot 2012, Theorem 3\]](#), we take

$$(k, Q_1(n), Q_2(n), \alpha, \delta, A, B, F(n_1, n_2)) = (2, n, qn + a, \frac{9}{10}\beta, \frac{9}{10}\beta, A_1, A_2(\epsilon)^2, f_1(n_1) f_2(n_2)),$$

where  $\epsilon = \alpha / (100(2 + \delta^{-1}))$ .<sup>4</sup> The inequality (2-9) then follows from the fact that  $1 + rp^{-1} \leq (1 + p^{-1})^r \leq (1 - p^{-1})^{-r}$  for every prime  $p$  and real  $r \geq 1$ . □

Also useful to us will be the following immediate consequence of [Shiu \[1980, Theorem 1\]](#).

**Lemma 2.6.** Let  $f \in \mathcal{M}(A_1, A_2)$  and  $\beta \in (0, 1)$ . If  $x, y \geq 2$  are reals with  $x^\beta \leq y \leq x$ , then

$$\sum_{x \leq n \leq x+y} f(n) \ll_{\beta, A_1, A_2} \frac{y}{\log x} \exp\left( \sum_{p \leq x} \frac{f(p)}{p} \right).$$

We will apply the above results to  $f = \tau_k$  over intervals of the form  $[x, x + y]$  with  $y \gg x^{1/2k}$ , say. Here  $\tau_k \in \mathcal{M}(k, O_{k,\epsilon}(1))$ , by (2-1) and the fact that  $\tau_k(p) = k$  and

$$\tau_k(mn) \leq \tau_k(m) \tau_k(n) \quad \text{for arbitrary integers } m, n \geq 1. \tag{2-10}$$

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<sup>4</sup>In fact, one could extract a more complicated version of (2-8) from [\[Henriot 2012, Theorem 3\]](#), which in some cases (e.g., if  $f_1 = f_2 = \tau_k$ ) would improve the right-hand side of (2-8) by roughly a factor of  $\log x$ .



Also, recall, for integers  $k \geq 1$  and reals  $x \geq 2$ , the standard bound

$$\sum_{n \leq x} \tau_k(n) \ll_k \frac{x}{\log x} \exp\left(\sum_{p \leq x} \frac{k}{p}\right) \ll_k x (\log x)^{k-1} \tag{2-11}$$

(see e.g., [Matomäki et al. 2019, Section 2.2]) and the consequence

$$\sum_{n_1 n_2 \leq x} \tau_k(n_1) \tau_k(n_2) = \sum_{n \leq x} \tau_{2k}(n) \ll_k x (\log x)^{2k-1}. \tag{2-12}$$

(See [Norton 1992] for a version of (2-11) with an explicit dependence on  $k$ . For Lemmas 2.5 and 2.6, we are not aware of any explicit dependence on  $\beta, A_1, A_2$  in the literature.)

**Lemma 2.7.** *Let  $V, U, q \geq 1$  be integers with  $q \leq U^{k-2}$ , where  $k \geq 2$ . Let  $\rho \in \{-1, 1\}$ . Then*

$$\sum_{\substack{u \in [U, 2U] \\ 1 \leq v \leq V}} \tau_k(u) \tau_k(\rho v + uq) \ll_k VU(1 + \log VU)^{3k}.$$

*Proof.* First suppose  $V \geq U$ . If  $u \in [U, 2U)$ , then  $I := \{\rho v + uq : 1 \leq v \leq V\}$  is an interval of length  $V \geq \max(V, U)$  contained in  $[-V, V + 2U^{k-1}]$ , so by Lemma 2.6 and (2-11), we obtain the bound

$$\sum_{1 \leq v \leq V} \tau_k(\rho v + uq) \ll_k V(1 + \log V)^{k-1}.$$

(We consider the cases  $0 \in I$  and  $0 \notin I$  separately. The former case follows directly from (2-11); the latter case requires Lemma 2.6.) Then sum over  $u$  using (2-11). Since  $(1 + \log V)^{k-1} (1 + \log U)^{k-1} \leq (1 + \log VU)^{2k-2}$ , Lemma 2.7 follows.

Now suppose  $V \leq U$ . By casework on  $d := \gcd(v, q) \leq q$ , we have

$$\sum_{\substack{u \in [U, 2U] \\ 1 \leq v \leq V}} \tau_k(u) \tau_k(\rho v + uq) \leq \sum_{d|q} \tau_k(d) \sum_{\substack{u \in [U, 2U] \\ 1 \leq a \leq V/d \\ \gcd(a, q/d)=1}} \tau_k(u) \tau_k(\rho a + uq/d).$$

Since  $d | q$  and  $1 \leq a \leq V/d$ , we have  $U \geq \max(a, q^{1/k})$ . Now for any fixed  $1 \leq a \leq V/d$ ,

$$\sum_{u \in [U, 2U]} \tau_k(u) \tau_k(\rho a + uq/d) \ll_k \left(\frac{a}{\phi(a)}\right)^{2k+k^2} \cdot U \cdot (1 + \log U)^{2k}$$

by Lemma 2.5 and (2-12), provided  $\gcd(a, q/d) = 1$ . Upon summing over  $1 \leq a \leq V/d$  using [Montgomery and Vaughan 2007, page 61, (2.32)], it follows that

$$\sum_{\substack{u \in [U, 2U] \\ 1 \leq v \leq V}} \tau_k(u) \tau_k(\rho v + uq) \ll_k \sum_{d|q} \tau_k(d) \cdot \frac{V}{d} \cdot U \cdot (1 + \log U)^{2k}.$$

Since  $\sum_{d \leq q} (\tau_k(d)/d) \ll_k (1 + \log q)^k$  (by (2-11)) and  $q \leq U^{k-2}$ , Lemma 2.7 follows. □

**Lemma 2.8.** *Let  $V_1, U_2, \dots, U_k \geq 1$  be integers, where  $k \geq 2$ . Let  $\varepsilon_1 \in \{-1, 1\}$ . Then*

$$\sum_{\substack{v_1, u_2, \dots, u_k \geq 1 \\ u_i \in [U_i, 2U_i] \\ v_1 \leq V_1}} \tau_k(u_2) \cdots \tau_k(u_k) \tau_k(\varepsilon_1 v_1 + u_2 \cdots u_k) \ll_k L_k(V_1 U_2 \cdots U_k),$$

where  $L_k(r) := r \cdot (1 + \log r)^{3k+(k-2)(k-1)} = r \cdot (1 + \log r)^{k^2+2}$  for  $r \geq 1$ .

*Proof.* We may assume  $U_2 \geq \dots \geq U_k$ . Let  $q := u_3 \cdots u_k \leq U_2^{k-2}$  and apply Lemma 2.7 (with  $(V, U) = (V_1, U_2)$ ) to sum over  $u_2, v_1$ . Then sum over the  $k - 2$  variables  $u_3, \dots, u_k$  using (2-11).  $\square$

With the lemmas above in hand, we now build on the strategy from Case 1 to attack Case 2. As before, we let  $N'_k(x, H)$  denote the number of nontrivial solutions  $(n_1, \dots, n_k, n_{k+1}, \dots, n_{2k}) \in (x, x + H]^{2k}$  to (2-3) with constraint (2-4). Again, for such solutions we write  $h_i = n_i - n_{2k} \in [-H, H] \setminus \{0\}$ , and there exist positive integers  $u_i$  ( $1 \leq i \leq k$ ) such that  $u_i \mid h_i$  with  $u_1 u_2 \cdots u_k = n_{2k} \in (x, x + H]$ ; so  $u_i \leq H$ , and there exist signs  $\varepsilon_i \in \{-1, 1\}$  and positive integers  $v_i \leq H/U_i$  with  $h_i = \varepsilon_i u_i v_i$ , whence

$$C_{h_1, \dots, h_k, n_{2k}} := \prod_{i=1}^k (h_i + n_{2k}) = \prod_{1 \leq i \leq k} (\varepsilon_i u_i v_i + u_1 u_2 \cdots u_k).$$

As before, the quantity  $N'_k(x, H)$  is at most (2-6). Upon splitting the range  $[H]$  for each  $u_i$  into  $\leq 1 + \log_2 H \ll 1 + \log x$  dyadic intervals, we conclude that

$$N'_k(x, H) \leq \sum_{\varepsilon_i, U_i} \sum_{\substack{u_i \in [U_i, 2U_i] \\ v_i \leq H/U_i \\ x < n_{2k} \leq x+H \\ h_i + n_{2k} > 0}} \tau_k(C_{h_1, \dots, h_k, n_{2k}}) \leq 2^k \cdot O(1 + \log x)^k \cdot \mathcal{S}(x, H), \tag{2-13}$$

where we let  $n_{2k} := u_1 u_2 \cdots u_k$  and  $h_i := \varepsilon_i u_i v_i$  in the sum over  $u_i, v_i$  (for notational brevity), and where  $\mathcal{S}(x, H)$  denotes the maximum of the quantity

$$\mathcal{S}(\vec{\varepsilon}, \vec{U}) := \sum_{\substack{u_i \in [U_i, 2U_i] \\ v_i \leq H/U_i \\ x < n_{2k} \leq x+H \\ h_i + n_{2k} > 0}} \tau_k(C_{h_1, \dots, h_k, n_{2k}}) = \sum_{\substack{u_i \in [U_i, 2U_i] \\ v_i \leq H/U_i \\ x < n_{2k} \leq x+H \\ h_i + n_{2k} > 0}} \tau_k \left( \prod_{1 \leq i \leq k} (\varepsilon_i u_i v_i + u_1 u_2 \cdots u_k) \right)$$

over all tuples  $\vec{\varepsilon} = (\varepsilon_1, \dots, \varepsilon_k) \in \{-1, 1\}^k$  and  $\vec{U} = (U_1, \dots, U_k)$  where each  $U_i \in [H] \cap \{1, 2, 4, 8, \dots\}$  with  $2^{-k}x < U_1 \cdots U_k \leq x + H$ . Now, for the rest of Section 2, fix a choice of  $\varepsilon_1, \dots, \varepsilon_k, U_1, \dots, U_k$  with

$$\mathcal{S}(x, H) = \mathcal{S}(\vec{\varepsilon}, \vec{U}).$$

By symmetry, we may assume that  $U_1 \geq U_2 \geq \dots \geq U_k$ .

We now bound  $\mathcal{S}(\vec{\varepsilon}, \vec{U})$ , assuming  $k \geq 2$ . (For  $k = 1$ , we can directly note that  $N'_1(x, H) = 0$ .) A key observation is that since  $U_1 U_2 \cdots U_k \leq x + H \leq 2x$  and  $U_1 \geq U_2 \geq \dots \geq U_k \geq 1$ , we have (since

$H \geq x^{1-2\epsilon}$  and  $k \geq 2$ )

$$\frac{H}{U_k} \geq \frac{H}{U_{k-1}} \geq \dots \geq \frac{H}{U_2} \geq \frac{H}{(U_1 U_2)^{1/2}} \geq \frac{x^{1-2\epsilon}}{(2x)^{1/2}} \gg x^{1/3}.$$

By the submultiplicativity property (2-10), we have that  $S(\vec{\epsilon}, \vec{U})$  is at most

$$\sum_{\substack{u_i \in [U_i, 2U_i] \\ x < u_1 u_2 \dots u_k \leq x+H}} \sum_{v_i \leq H/u_i} \tau_k(u_1) \tau_k(u_2) \dots \tau_k(u_k) \prod_{1 \leq i \leq k} \tau_k(\epsilon_i v_i + u_1 u_2 \dots u_{-i} \dots u_k), \tag{2-14}$$

where  $u_{-i}$  means that the factor  $u_i$  is not included. But for each  $i \geq 2$  and  $u_i \in [U_i, 2U_i]$ , Lemma 2.6 and (2-11) imply (since  $u_1 u_2 \dots u_{-i} \dots u_k \leq u_1 \dots u_k \ll x$  and  $H/u_i \gg x^{1/3}$ )

$$\sum_{v_i \leq H/u_i} \tau_k(\epsilon_i v_i + u_1 u_2 \dots u_{-i} \dots u_k) \ll_k (H/U_i) \cdot (1 + \log x)^{k-1}; \tag{2-15}$$

compare the use of Lemma 2.6 and (2-11) in the proof of Lemma 2.7. By (2-15) (multiplied over  $2 \leq i \leq k$ ) and Lemma 2.8 (with  $V_1 = H/U_1$ ), we conclude that the quantity (2-14) (and thus  $S(\vec{\epsilon}, \vec{U})$ ) is at most

$$\ll_k \frac{H^{k-1} (1 + \log x)^{(k-1)^2}}{U_2 \dots U_k} \cdot L_k((H/U_1) \cdot U_2 \dots U_k) \cdot \max_{\substack{u_2, \dots, u_k \geq 1 \\ u_i \in [U_i, 2U_i] \\ x < u_1 u_2 \dots u_k \leq x+H}} \sum_{u_1 \in [U_1, 2U_1]} \tau_k(u_1).$$

For the innermost sum, first note that  $(U_2 \dots U_k)^{1/(k-1)} \leq (U_1 \dots U_k)^{1/k} \leq (2x)^{1/k}$  which implies that

$$H/(u_2 \dots u_k) \gg_k H/(U_2 \dots U_k) \gg_k x^{1-2\epsilon k^{-1}} / x^{(k-1)/k} \geq x^{1/2k}$$

(since  $H \geq x^{1-2\epsilon k^{-1}}$ ); then by Lemma 2.6 and (2-11), we have (for any given  $u_2, \dots, u_k$ )

$$\sum_{\substack{u_1 \geq 1 \\ x < u_1 u_2 \dots u_k \leq x+H}} \tau_k(u_1) \ll_k \frac{H}{U_2 \dots U_k} \cdot (1 + \log x)^{k-1}.$$

It follows that  $S(\vec{\epsilon}, \vec{U})$  is at most

$$\ll_k \frac{H^{k-1} (1 + \log x)^{(k-1)^2}}{U_2 \dots U_k} \cdot \frac{H}{U_1} \cdot U_2 \dots U_k (1 + \log x)^{k^2+2} \cdot \frac{H}{U_2 \dots U_k} \cdot (1 + \log x)^{k-1},$$

which simplifies to  $O_k(1) \cdot H^k \cdot (H/x) \cdot (1 + \log x)^{2k^2-k+2}$ .

Plugging the above estimate into (2-13), we have (assuming  $k \geq 2$ )

$$N'_k(x, H) \ll_k O(1 + \log x)^k \cdot \mathcal{S}(x, H) \ll_k H^k \cdot (H/x) \cdot (1 + \log x)^{2k^2+2}, \tag{2-16}$$

in the given range of  $H$ . Then by using the first part of (2-7) (and noting that  $N_1(x, H) = N'_1(x, H) = 0$ ) as before, we have (for arbitrary  $k \geq 1$ )

$$N_k(x, H) \leq k \cdot \max_{1 \leq j \leq k} (O(kH)^{k-j} \cdot N'_j(x, H)) \ll_k H^k \cdot (H/x) \cdot (1 + \log x)^{2k^2+2},$$

which suffices for Theorem 1.3.

### 3. Proof of Theorem 1.6

In this section, we prove [Theorem 1.6](#). Let  $\text{rad}_k$  be the multiplicative function

$$\text{rad}_k(n) = \min_{n_1 \cdots n_k = n} [n_1, \dots, n_k],$$

where  $[n_1, \dots, n_k]$  denotes the least common multiple of  $n_1, \dots, n_k$ . In particular, for prime powers  $p^\ell$  we have

$$\text{rad}_k(p^\ell) = p^{\lceil \ell/k \rceil}. \tag{3-1}$$

Recall that we use  $\tau_k(n)$  to denote the  $k$ -folder divisor function as defined in [\(2-6\)](#). We begin with the following sequence of lemmas.

**Lemma 3.1.** *Let  $k, y, X, H \geq 1$  be integers. Then  $M_k(X, H; y) := \{(x, t_1, t_2, \dots, t_k) \in [X] \times [H]^k : y \mid (x + t_1)(x + t_2) \cdots (x + t_k)\}$  has size at most  $H^k \tau_k(y) \cdot (1 + X/\text{rad}_k(y))$ .*

*Proof.* Suppose that  $y \mid (x + t_1) \cdots (x + t_k)$ . Then there exist integers  $y_1, \dots, y_k \geq 1$  with  $y_1 \cdots y_k = y$  and  $y_i \mid x + t_i$  ( $1 \leq i \leq k$ ).

For any given choice of  $y_1, \dots, y_k, t_1, \dots, t_k$ , the conditions  $y_i \mid x + t_i$ , when satisfiable, impose on  $x$  a congruence condition modulo  $[y_1, \dots, y_k]$ . It follows that for any given  $t_1, \dots, t_k$ , the number of values of  $x \in [X]$  with  $(x, t_1, \dots, t_k) \in M_k(X, H; y)$  is at most

$$\sum_{y_1 \cdots y_k = y} (1 + X/[y_1, \dots, y_k]) \leq \tau_k(y) \cdot (1 + X/\text{rad}_k(y)).$$

[Lemma 3.1](#) follows upon summing over  $t_1, \dots, t_k \in [H]$ . □

**Remark 3.2.** For a typical value of  $y \leq X$ , [Lemma 3.1](#) saves a factor of roughly  $y$  over the trivial bound  $H^k X$ , even if  $H \leq X^{1-\delta}$ , say. [Lemma 3.1](#) is close to optimal on average over  $y \leq X$ , as one can prove by considering prime values of  $y$ , for instance. In some regimes, one can do better by other arguments: one can first fix a choice of  $y_i$  (then select  $x$  and choose  $t_i \equiv -x \pmod{y_i}$ ) to get

$$|M_k(X, H; y)| \leq \sum_{y_1 \cdots y_k = y} X \prod_i (1 + H/y_i) \leq \tau_k(y) X \max_{y_1 \cdots y_k = y} \prod_i (1 + H/y_i),$$

which beats [Lemma 3.1](#) when  $H \geq y$  and  $y/\text{rad}_k(y)$  is large, but not in general.

**Lemma 3.3.** *Let  $k, y, X, H \geq 1$  be integers. Then  $B_k(X, H; y)$ , which denotes the set of integer tuples  $(x, t_1, \dots, t_k, h_1, \dots, h_k) \in [X] \times [H]^k \times [-H, H]^k$  with  $y \mid (x + t_1)(x + t_2) \cdots (x + t_k)h_1h_2 \cdots h_k$  and  $h_1h_2 \cdots h_k \neq 0$ , has size at most  $O(H)^{2k} \cdot \tau_2(y)\tau_k(y)^2 \cdot O(1 + X/\text{rad}_k(y))$ .*

*Proof.* We write  $y = uv$  with  $u \mid (x + t_1)(x + t_2) \cdots (x + t_k)$  and  $v \mid h_1h_2 \cdots h_k$  (where  $u, v \geq 1$ ). The number of choices of  $(u, v)$  is  $\leq \tau_2(y)$ . Using the notation in [Lemma 3.1](#) and [Proposition 2.1](#), we then find that

$$|B_k(X, H; y)| \leq \sum_{uv=y} |M_k(X, H; u)| \cdot N_k(H; v) \leq \tau_2(y) \max_{uv=y} |M_k(X, H; u)| \cdot N_k(H; v).$$

Now for any fixed  $u, v$ , we apply [Lemma 3.1](#) to bound  $|M_k(X, H; u)|$  and [\(2-2\)](#) to bound  $N_k(H; v)$ , getting

$$|M_k(X, H; u)| \leq H^k \tau_k(u) \cdot (1 + X/\text{rad}_k(u)) \quad \text{and} \quad N_k(H; v) \leq (2H)^k \tau_k(v)/v,$$

respectively. This leads to the total bound

$$|B_k(X, H; y)| \ll \tau_2(y) H^{2k} \tau_k(y)^2 \cdot \left(1 + \frac{X}{v \text{rad}_k(u)}\right).$$

For any  $uv = y$ , we have

$$v \text{rad}_k(u) \geq \text{rad}_k(y),$$

by the multiplicativity of  $\text{rad}_k$ , the formula [\(3-1\)](#), and the inequality  $p^{\ell_2} p^{\lceil \ell_1/k \rceil} \geq p^{\lceil (\ell_1 + \ell_2)/k \rceil}$  (valid for all primes  $p$  and integers  $\ell_1, \ell_2 \geq 0$ ). Thus we complete the proof.  $\square$

If we allowed  $h_1 h_2 \cdots h_k = 0$ , we would have  $X \cdot O(H)^{2k-1}$  tuples in  $B_k(X, H; y)$ . [Lemma 3.3](#) gives a relative saving of roughly  $y/H$  on average over  $y \ll X$ ; this follows from (the proof of) [Lemma 3.5](#) below, whose proof requires the following lemma.

**Lemma 3.4.** *Let  $K, k \geq 2$  be integers. For integers  $i \geq 1$ , let*

$$c_i := \sum_{(i-1)k < j \leq ik} \binom{j+K-1}{K-1}.$$

Then  $c_i \leq K^K (ik)^K$ . Furthermore, for all primes  $p$  and reals  $s > 1$ , we have

$$\sum_{j \geq 1} \tau_K(p^j) \frac{p^j}{\text{rad}_k(p^j)} p^{-js} \leq 1 + \frac{c_1}{p^s} + \frac{c_2}{p^{2s}} + \dots$$

*Proof.* The first part is clear, since  $c_i \leq \sum_{0 \leq j \leq ik} \binom{j+K-1}{K-1} = \binom{ik+K}{K} \leq (K+ik)^K \leq K^K (ik)^K$  (since  $K, k \geq 2$ ). The second part follows from the inequality

$$\sum_{(i-1)k < j \leq ik} \frac{\tau_K(p^j) p^j}{\text{rad}_k(p^j) p^{js}} = \sum_{(i-1)k < j \leq ik} \frac{\binom{j+K-1}{K-1}}{p^{\lceil j/k \rceil} p^{j(s-1)}} \leq \sum_{(i-1)k < j \leq ik} \frac{\binom{j+K-1}{K-1}}{p^i p^{i(s-1)}} = \frac{c_i}{p^{is}},$$

which holds because we have  $\lceil j/k \rceil = i$  and  $j \geq i$  whenever  $(i-1)k < j \leq ik$ .  $\square$

It turns out that to prove the key [Lemma 3.7](#) (below) for [Theorem 1.6](#), we need a bound of the form [\(3-2\)](#).

**Lemma 3.5.** *Let  $k, X, H \geq 1$  be integers with  $X$  large and  $H \leq X$ . There exists a positive integer  $C_k = O(k^{O(k^{O(k)})})$  (depending only on  $k$ ) such that the following holds:*

$$\mathbb{E}_{x \in [X]} \sum_{y \in (x, x+H]} \tau_{2k}(y)^{2k} \cdot \tau_2(y) \tau_k(y)^2 \cdot (1 + X/\text{rad}_k(y)) \ll_k H (\log X)^{C_k}. \tag{3-2}$$

*Proof.* The case  $k = 1$  is clear by (2-11) (since  $\text{rad}_1(y) = y$ ), so suppose  $k \geq 2$  for the remainder of this proof. Let  $K := (2k)^{2k} \cdot 2k^2 \leq k^{4k+3}$ . Then  $\tau_{2k}(y)^{2k} \tau_2(y) \tau_k(y)^2 \leq \tau_K(y)$ , since for all integers  $j_1, j_2 \geq 1$  we have  $\tau_{j_1}(y) \tau_{j_2}(y) \leq \tau_{j_1 j_2}(y)$  by [Benatar et al. 2022, (3.2)]. By Rankin’s trick, the left-hand side of (3-2) is therefore at most  $H$  times

$$\sum_{y \leq x+H} \tau_K(y) \cdot (X^{-1} + \text{rad}_k(y)^{-1}) \ll_K (\log X)^{K-1} + \sum_{n \geq 1} \tau_K(n) \frac{n}{\text{rad}_k(n)} n^{-1-1/\log X}.$$

By Lemma 3.4 and the multiplicativity of  $\tau_K$  and  $\text{rad}_k$ , we find that for  $s > 1$ , we have

$$\sum_{n \geq 1} \tau_K(n) \frac{n}{\text{rad}_k(n)} n^{-s} \leq \prod_{p \geq 2} \left( 1 + \frac{c_1}{p^s} + \frac{c_2}{p^{2s}} + \dots \right), \tag{3-3}$$

where  $c_i \leq K^K (ik)^K \leq K^{2K} (2K)^K 2^{i/2}$  (since  $k \leq K$  and  $i^K / 2^{i/2} \leq (2K / \log 2)^K / e^K$ , and  $e \log 2 \geq 1$ ).

But then

$$\frac{c_2}{p^2} + \frac{c_3}{p^3} + \dots \ll \frac{K^{4K}}{p^2}.$$

Therefore, the right-hand side of (3-3) is at most

$$\prod_{p \geq 2} \left( 1 + \frac{1}{p^s} \right)^{c_1} \prod_{p \geq 2} \left( 1 + \frac{1}{p^2} \right)^{O(K^{4K})}.$$

After plugging in  $s = 1 + 1/\log X$  and the bound  $c_1 \leq K^{2K}$ , Lemma 3.5 follows. □

We also need a simple but finicky combinatorial estimate.

**Lemma 3.6.** *Let  $k, x, H \geq 1$  be integers. Let  $\mathcal{A}_{1,2}(x, H)$  be the number of tuples  $(a_1, \dots, a_{2k}) \in (x, x + H]^{2k}$  satisfying both*

- (1)  $\{a_1, \dots, a_k\} = \{a_{k+1}, \dots, a_{2k}\}$  (in the usual sense, without multiplicities), and
- (2)  $a_1 \cdots a_k = a_{k+1} \cdots a_{2k}$ .

*Let  $\mathcal{A}_1(x, H)$  be the number of tuples  $(a_1, \dots, a_{2k}) \in (x, x + H]^{2k}$  satisfying (1) (but not necessarily (2)). Then  $\mathcal{A}_{1,2}(x, H) \geq k!H^k - O_k(H^{k-1})$  and  $\mathcal{A}_1(x, H) \leq k!H^k + O_k(H^{k-1})$ .*

*Proof.* Call a tuple  $(a_1, \dots, a_{2k}) \in (x, x + H]^{2k}$  good if it satisfies (1). Let  $\mathcal{A}_1^*$  be the number of good tuples where  $a_1, \dots, a_k$  are pairwise distinct. Let  $\mathcal{A}_1^\dagger$  be the number of remaining good tuples, namely good tuples where  $\prod_{1 \leq i < j \leq k} (a_i - a_j) = 0$ . Then  $\mathcal{A}_1 \leq \mathcal{A}_1^* + \mathcal{A}_1^\dagger$ .

Clearly  $\mathcal{A}_1^* = k!H(H-1) \cdots (H-k+1)$  (since when the  $a_i$  are all different for  $1 \leq i \leq k$ , condition (1) implies that  $(a_{k+1}, \dots, a_{2k})$  is a permutation of  $(a_1, \dots, a_k)$ ; and conversely, when  $(a_{k+1}, \dots, a_{2k})$  is a permutation of  $(a_1, \dots, a_k)$ , both (1) and (2) hold). Furthermore,  $\mathcal{A}_{1,2} \geq \mathcal{A}_1^*$ .

On the other hand,  $\mathcal{A}_1^\dagger \leq \binom{H}{k-1} \cdot (k-1)^{2k}$  (since if  $\prod_{1 \leq i < j \leq k} (a_i - a_j) = 0$ , then  $\{a_1, \dots, a_k\}$  must lie in some  $(k-1)$ -element subset  $S \subseteq (x, x + H]$ , and then condition (1) implies that each of  $a_1, \dots, a_{2k}$  is an element of  $S$ ).



We now know  $\mathcal{A}_1^\star = k!H^k + O_k(H^{k-1})$  and  $\mathcal{A}_1^\dagger \ll_k H^{k-1}$ . So  $\mathcal{A}_{1,2} \geq \mathcal{A}_1^\star \geq k!H^k - O_k(H^{k-1})$ , and  $\mathcal{A}_1 \leq \mathcal{A}_1^\star + \mathcal{A}_1^\dagger \leq k!H^k + O_k(H^{k-1})$ .  $\square$

Given integers  $x_1, x_2, H \geq 1$ , let  $I_j = (x_j, x_j + H]$  for  $j \in \{1, 2\}$ . We are now ready to estimate the size of the set

$$\{(n_1, n_2, \dots, n_{2k}; m_1, m_2, \dots, m_{2k}) \in I_1^{2k} \times I_2^{2k} : n_1 \cdots n_k m_1 \cdots m_k = n_{k+1} \cdots n_{2k} m_{k+1} \cdots m_{2k}\}. \quad (3-4)$$

**Lemma 3.7.** *Fix an integer  $k \geq 1$ ; let  $\mathcal{C}_k$  be as in Lemma 3.5. Let  $X, H$  be large integers with  $H := H(X) \rightarrow +\infty$  as  $X \rightarrow +\infty$ . Suppose  $H \ll X(\log X)^{-2\mathcal{C}_k}$ . Then in expectation over  $x_1, x_2 \in [X]$ , the size of the set (3-4) is  $k!^2 H^{2k} + o_{X \rightarrow +\infty}(H^{2k})$ .*

*Proof.* We roughly follow the proof from Section 2 of Theorem 1.3; however, the present situation is more complicated in some aspects, which we address using some new symmetry tricks.

First, let  $T_k^\star(I_1, I_2)$  be the subset of (3-4) satisfying the following conditions:

- (1) If  $u \in \{m_{k+1}, \dots, m_{2k}\}$ , then  $u \in \{m_1, \dots, m_k\}$ .
- (2) If  $u \in \{m_1, \dots, m_k\}$ , then  $u \in \{m_{k+1}, \dots, m_{2k}\}$ .
- (3) If  $u \in \{n_{k+1}, \dots, n_{2k}\}$ , then  $u \in \{n_1, \dots, n_k\}$ .
- (4) If  $u \in \{n_1, \dots, n_k\}$ , then  $u \in \{n_{k+1}, \dots, n_{2k}\}$ .

In the notation of Lemma 3.6, applied with  $a = m$  and  $a = n$  (separately), we have  $\#T_k^\star(I_1, I_2) \geq \mathcal{A}_{1,2}(x_1, H)\mathcal{A}_{1,2}(x_2, H)$  and  $\#T_k^\star(I_1, I_2) \leq \mathcal{A}_1(x_1, H)\mathcal{A}_1(x_2, H)$ , so

$$\#T_k^\star(I_1, I_2) = (k!H^k + O_k(H^{k-1}))^2 = k!^2 H^{2k} + O_k(H^{2k-1}). \quad (3-5)$$

In general, given an element  $\mathbf{n} \in I_1^{2k} \times I_2^{2k}$  of (3-4), let  $\mathcal{U}$  be the set of integers  $u$  that violate at least one of the conditions (1)–(4) above. Then  $\mathbf{n} \in T_k^\star(I_1, I_2)$  if and only if  $\mathcal{U} = \emptyset$ . This simple observation will help us estimate the size of (3-4).

Let  $N_k^\star(I_1, I_2)$  be the subset of (3-4) satisfying the following conditions:

- (1)  $n_{2k} \notin \{n_1, \dots, n_k\}$ . (This implies, but is not equivalent to,  $n_{2k} \in \mathcal{U}$ .)
- (2) If  $u \in \mathcal{U}$ , then  $\tau_{2k}(u) \leq \tau_{2k}(n_{2k})$ .

Then (3-4) has size at least  $\#T_k^\star(I_1, I_2)$  and we claim that (3-4) has size at most

$$\leq \#T_k^\star(I_1, I_2) + 2k \cdot \#N_k^\star(I_1, I_2) + 2k \cdot \#N_k^\star(I_2, I_1).$$

First note that for each element  $\mathbf{n}$  of (3-4) lying outside of  $T_k^\star(I_1, I_2)$ , there exist  $v \in \mathcal{U}$  and  $(a, b, c) \in \{m, n\} \times \{0, k\} \times [k]$ , with  $\tau_{2k}(v) = \max_{u \in \mathcal{U}} \tau_{2k}(u)$ , such that  $a_{b+c} = v$  and  $a_{b+c} \notin \{a_{(k-b)+i} : i \in [k]\}$ ; the existence of  $v$  with  $\tau_{2k}(v) = \max_{u \in \mathcal{U}} \tau_{2k}(u)$  follows from the fact that  $\mathcal{U} \neq \emptyset$ , and the existence of  $(a, b, c)$  then follows from the definition of  $\mathcal{U}$ . The claim then follows from the definitions of  $N_k^\star(I_1, I_2)$  and  $N_k^\star(I_2, I_1)$ , upon summing over all possibilities for  $a, b, c$ .

It follows that in expectation over  $x_1, x_2 \in [X]$ , the size of (3-4) is

$$\mathbb{E}_{x_1, x_2} \#T_k^*(I_1, I_2) + O(2k \cdot \mathbb{E}_{x_1, x_2} \#N_k^*(I_1, I_2)). \tag{3-6}$$

The projection  $I_1^{2k} \times I_2^{2k} \ni (n_1, \dots, n_{2k}; m_1, \dots, m_{2k}) \mapsto (n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in I_1^k \times I_2^k \times I_1$ , i.e., “forgetting”  $n_{k+1}, \dots, n_{2k-1}, m_{k+1}, \dots, m_{2k}$ , defines a map  $\pi$  from  $N_k^*(I_1, I_2)$  to the set

$$D_k^*(I_1, I_2) := \{(n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in I_1^k \times I_2^k \times I_1 : n_{2k} \mid n_1 \cdots n_k m_1 \cdots m_k, n_{2k} \notin \{n_1, \dots, n_k\}\}.$$

We now bound the fibers of  $\pi$ . Suppose  $(n_1, \dots, n_{2k}; m_1, \dots, m_{2k}) \in N_k^*(I_1, I_2)$ . Let  $S_1 := \{i \in \{k+1, \dots, 2k\} : n_i \notin \mathcal{U}\}$  and  $S_2 := \{j \in \{k+1, \dots, 2k\} : m_j \notin \mathcal{U}\}$ , and let

$$z := \prod_{i \in \{k+1, \dots, 2k\} \setminus S_1} n_i \prod_{j \in \{k+1, \dots, 2k\} \setminus S_2} m_j = \frac{n_1 \cdots n_k m_1 \cdots m_k}{\prod_{i \in S_1} n_i \prod_{j \in S_2} m_j}.$$

Then the following hold:

- $n_i \in \{n_1, \dots, n_k\}$  for all  $i \in S_1$ , and  $m_j \in \{m_1, \dots, m_k\}$  for all  $j \in S_2$ .
- $z$  depends only on  $n_1, \dots, n_k, m_1, \dots, m_k, (n_i)_{i \in S_1}, (m_j)_{j \in S_2}$ .
- $\tau_{2k-|S_1|-|S_2|}(z) \leq \tau_{2k}(z) \leq \tau_{2k}(n_{2k})^{2k-|S_1|-|S_2|}$ . (The upper bound on  $\tau_{2k}(z)$  arises as follows: since  $z$  is the product of  $2k-|S_1|-|S_2|$  elements  $u_l$  of  $\mathcal{U}$ , we have an upper bound  $\leq \prod_{1 \leq l \leq 2k-|S_1|-|S_2|} \tau_{2k}(u_l)$ , which is  $\leq \prod_{1 \leq l \leq 2k-|S_1|-|S_2|} \tau_{2k}(n_{2k})$ .)

Therefore, the fiber of  $\pi$  over  $(n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in D_k^*(I_1, I_2)$  has size at most

$$\sum_{S_1, S_2 \subseteq \{k+1, \dots, 2k\}} k^{|S_1|} \cdot k^{|S_2|} \cdot \tau_{2k}(n_{2k})^{2k-|S_1|-|S_2|} = \sum_{0 \leq l \leq 2k} \binom{2k}{l} k^l \tau_{2k}(n_{2k})^{2k-l}, \tag{3-7}$$

where each  $S_t$  ( $1 \leq t \leq 2$ ) runs through all possible subsets of  $\{k+1, \dots, 2k\}$ .

The right-hand side of (3-7) equals  $(k + \tau_{2k}(n_{2k}))^{2k} \leq (k+1)^{2k} \tau_{2k}(n_{2k})^{2k}$ , so upon summing over  $(n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in D_k^*(I_1, I_2)$ , we conclude that

$$\#N_k^*(I_1, I_2) \leq (k+1)^{2k} \sum_{(n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in D_k^*(I_1, I_2)} \tau_{2k}(n_{2k})^{2k}. \tag{3-8}$$

We use (3-8) to bound  $\mathbb{E}_{x_2} \#N_k^*(I_1, I_2)$ . Note that if  $(n_1, \dots, n_k; m_1, \dots, m_k; n_{2k}) \in D_k^*(I_1, I_2)$  and  $y := n_{2k}$  (so that in particular,  $m_i - x_2 \in [H]$  and  $n_i - y \in [-H, H] \setminus \{0\}$  for all  $i \in [k]$ ), then  $y \in (x_1, x_1 + H]$  and

$$(x_2, m_1 - x_2, \dots, m_k - x_2, n_1 - y, \dots, n_k - y) \in B_k(X, H; y),$$

in the notation of Lemma 3.3. Therefore, summing (3-8) over  $x_2 \in [X]$  gives the inequality

$$X \cdot \mathbb{E}_{x_2} \#N_k^*(I_1, I_2) = \sum_{x_2 \in [X]} \#N_k^*(I_1, I_2) \ll_k \sum_{y \in (x_1, x_1 + H]} \tau_{2k}(y)^{2k} \cdot |B_k(X, H; y)|.$$

We next apply [Lemma 3.3](#) to give an upper bound on  $|B_k(X, H; y)|$ , which leads to

$$X \cdot \mathbb{E}_{x_2} \#N_k^*(I_1, I_2) \ll_k \sum_{y \in (x_1, x_1+H]} \tau_{2k}(y)^{2k} O(H)^{2k} \cdot \tau_2(y) \tau_k(y)^2 \cdot O(1 + X/\text{rad}_k(y)).$$

Average over  $x_1$  by using [Lemma 3.5](#), to get

$$\mathbb{E}_{x_1, x_2} \#N_k^*(I_1, I_2) \ll_k O(H)^{2k} \cdot H \cdot X^{-1} (\log X)^{C_k}. \tag{3-9}$$

This is  $\ll_k H^{2k} (\log X)^{-C_k}$  in our range of  $H$ . By (3-5) and (3-9), quantity (3-6) is  $k!^2 H^{2k} + O_k(H^{2k-1}) + O_k(H^{2k} (\log X)^{-C_k})$ . [Lemma 3.7](#) follows.  $\square$

*Proof of Theorem 1.6.* Assume  $A$  is large and  $H \ll X (\log X)^{-C_k}$ , where  $C_k = Ak^{Ak^{Ak}}$ . Let  $C := 10$ , so that the quantity  $E(k) = 2k^2 + 2$  in [Theorem 1.3](#) satisfies

$$E(k) \leq 4Ck^2, \quad E(k + \ell) \leq 5Ck^2 \quad \text{for all } 1 \leq \ell \leq k - 1. \tag{3-10}$$

(This is just for uniform notational convenience.)

(a) We prove (1-5), a bound on the quantity

$$\mathbb{E}_f (\mathbb{E}_x |A_H(f, x)|^{2k} - k!)^2, \tag{3-11}$$

where  $A_H(f, x)$  is defined as in (1-1). By expanding the square, we can rewrite (3-11) as

$$\mathbb{E}_f (\mathbb{E}_x |A_H(f, x)|^{2k})^2 - 2k! \mathbb{E}_f \mathbb{E}_x |A_H(f, x)|^{2k} + k!^2. \tag{3-12}$$

The subtracted term in (3-12) can be computed by switching the summation: it equals

$$-2k! \mathbb{E}_x \mathbb{E}_f |A_H(f, x)|^{2k}. \tag{3-13}$$

We estimate (3-13) by a combination of trivial bounds (based on the divisor bound (2-1)) and the moment estimate in [Theorem 1.3](#). We split the sum  $\mathbb{E}_x \mathbb{E}_f |A_H(f, x)|^{2k}$  into two ranges, and apply [Theorem 1.3](#) and (3-10), to get that  $X \cdot \mathbb{E}_x \mathbb{E}_f |A_H(f, x)|^{2k}$  equals

$$\begin{aligned} & \sum_{1 \leq x \leq H(\log X)^{5Ck^2}} \mathbb{E}_f |A_H(f, x)|^{2k} + \sum_{H(\log X)^{5Ck^2} \leq x \leq X} \mathbb{E}_f |A_H(f, x)|^{2k} \\ &= \sum_{1 \leq x \leq H(\log X)^{5Ck^2}} O((\log X)^{4Ck^2}) + \sum_{H(\log X)^{5Ck^2} \leq x \leq X} (k! + O((\log X)^{-Ck^2})). \end{aligned}$$

Upon summing over both ranges of  $x$  above, it follows that  $\mathbb{E}_x \mathbb{E}_f |A_H(f, x)|^{2k} = k! + o_{X \rightarrow +\infty}(1)$  in the given range of  $H$  (provided  $A$  is large enough that  $C_k \geq 10Ck^2$ ).

We next focus on the first term in (3-12). We expand out the expression and switch the expectations to get that the first term in (3-12) is

$$\mathbb{E}_{x_1} \mathbb{E}_{x_2} \mathbb{E}_f |A_H(f, x_1)|^{2k} |A_H(f, x_2)|^{2k}. \tag{3-14}$$

Now we use orthogonality and apply [Lemma 3.7](#) to see that [\(3-14\)](#) is  $k!^2 + o_{X \rightarrow +\infty}(1)$  in the given range of  $H$  (if  $A$  is sufficiently large). Combining the above together, [\(1-5\)](#) follows.

(b) We prove [\(1-6\)](#), a bound on the quantity (in the notation  $A_H(f, x)$  from [\(1-1\)](#))

$$\mathbb{E}_f |\mathbb{E}_x [A_H(f, x)^k \overline{A_H(f, x)^\ell}]|^2 = X^{-2} \sum_{x_1, x_2 \in [X]} \mathcal{B}_H(x_1, x_2), \tag{3-15}$$

where  $1 \leq \ell \leq k - 1$  and  $\mathcal{B}_H(x_1, x_2) := \mathbb{E}_f A_H(f, x_1)^k \overline{A_H(f, x_1)^\ell A_H(f, x_2)^k A_H(f, x_2)^\ell}$ . This is the same as counting solutions to

$$n_1 n_2 \cdots n_k \cdot m_1 m_2 \cdots m_\ell = n_{k+1} n_{k+2} \cdots n_{k+\ell} \cdot m_{\ell+1} m_{\ell+2} \cdots m_{\ell+k}, \tag{3-16}$$

where  $x_1 \leq n_i \leq x_1 + H$  and  $x_2 \leq m_i \leq x_2 + H$  for all  $1 \leq i \leq k + \ell$ . Suppose that  $x_1 \geq x_2$ . The left-hand side in [\(3-16\)](#) is

$$n_1 n_2 \cdots n_k \cdot m_1 m_2 \cdots m_\ell \geq x_1^k x_2^\ell,$$

while the right-hand side in [\(3-16\)](#) is

$$n_{k+1} n_{k+2} \cdots n_{k+\ell} \cdot m_{\ell+1} m_{\ell+2} \cdots m_{\ell+k} \leq (x_1 + H)^\ell (x_2 + H)^k \leq x_1^\ell x_2^k \left(1 + \frac{H}{x_2}\right)^{k+\ell}.$$

To make them equal, we must have

$$x_1/x_2 \leq (x_1/x_2)^{k-\ell} \leq \left(1 + \frac{H}{x_2}\right)^{2k},$$

which implies that (under the assumption  $Hk = o(x_2)$ )

$$x_2 \leq x_1 \leq x_2 + O(kH).$$

From now on, we only need to consider two cases:

(1)  $\min(x_1, x_2) \ll kH$ .

(2)  $|x_1 - x_2| = O(kH)$ .

We first deal with case (1):  $\min(x_1, x_2) \ll kH$ . By the Cauchy–Schwarz inequality,

$$|\mathcal{B}_H(x_1, x_2)|^2 \ll_k (\mathbb{E}_f |A_H(f, x_1)|^{2(k+\ell)}) \cdot (\mathbb{E}_f |A_H(f, x_2)|^{2(k+\ell)}).$$

[Theorem 1.3](#) and [\(3-10\)](#) imply that  $\mathcal{B}_H(x_1, x_2) \ll_k (\log X)^{5Ck^2}$ . So the contribution to [\(3-15\)](#) over all pairs  $(x_1, x_2)$  with  $\min\{x_1, x_2\} \leq H$  is at most  $\ll 1/(\log X)^{C_k - 10Ck^2}$ , which is  $o_{X \rightarrow +\infty}(1)$  by our choice of  $C_k$ .

We next deal with case (2):  $|x_1 - x_2| = O(kH)$ . Assume  $x_2 < x_1$ . Then all the variables  $m_i, n_j$  are in  $[x_2, x_1 + H]$ , so by [Theorem 1.3](#) and [\(3-10\)](#), the contribution in this case to [\(3-16\)](#) over  $x_1, x_2$  is at most

$$\ll_k XH(\log X)^{10Ck^2} \cdot H^{k+\ell} (\log X)^{5Ck^2} \ll X^2 (\log X)^{15Ck^2 - C_k} \cdot H^{k+\ell} = X^2 \cdot o_{X \rightarrow +\infty}(H^{k+\ell}),$$

by our choice of  $C_k$ . After dividing by  $X^2 H^{k+\ell}$ , we see that the total contribution to [\(3-15\)](#) in this case is  $o_{X \rightarrow +\infty}(1)$ .

Combining the two cases above, we obtain the desired [\(1-6\)](#). □

#### 4. Concluding remarks

Recall the exponent  $E'(k)$  defined after [Theorem 1.3](#). As we mentioned before, [Theorem 1.3](#) implies  $E'(k) \leq E(k) = 2k^2 + 2$ , and the truth may be that  $E'(k)$  grows linearly in  $k$ . The method used in [[de la Bretèche 2001b](#); [Harper et al. 2015](#); [Heap and Lindqvist 2016](#)] may help to extend [Theorem 1.3](#), i.e., to improve on the bound  $E'(k) \leq E(k)$ . Alternatively, one might try to improve on [Theorem 1.3](#) via Hooley's  $\Delta$ -function technique [[1979](#)]; note that  $(x, x + H] \subseteq (x, ex]$  if  $H \leq x$ .

The true threshold in the problem studied in [Theorem 1.2](#) is more delicate. A closely related problem is to understand for what range of  $H$ , as  $X \rightarrow +\infty$ , the following holds:

$$\frac{1}{\sqrt{H}} \sum_{X < n \leq X+H} f(n) \xrightarrow{d} \mathcal{CN}(0, 1), \quad (4-1)$$

where  $f$  is a Steinhaus random multiplicative function over the short interval  $(X, X + H]$ . In contrast to the problem we studied in this paper,  $X$  is first fixed in (4-1) and the random multiplicative function  $f$  varies. For this question, it is known that [[Soundararajan and Xu 2022](#)] if  $H \rightarrow +\infty$  and  $H \ll X/(\log X)^{2 \log 2 - 1 + \varepsilon}$ , then such a central limit theorem holds. In the other direction, by using Harper's remarkable results and methods [[2020](#)] one may be able to show that

$$\mathbb{E}_f \left| \frac{1}{\sqrt{H}} \sum_{X < n \leq X+H} f(n) \right| = o_{X \rightarrow +\infty}(1), \quad \text{if } H \gg \frac{X}{\exp((\log \log X)^{1/2 - \varepsilon})}; \quad (4-2)$$

see [[Soundararajan and Xu 2022](#)] for more discussions. Thus, in the above range of  $H$ , the  $\sqrt{H}$ -normalized partial sums do not have Gaussian limiting distribution. It would be interesting to know if another choice of normalization would lead to a Gaussian distribution. Now we return to the question we studied in [Theorem 1.2](#). We established "typical Gaussian behavior" over a range of the form  $H \ll X/(\log X)^{W(X)} = X/(\exp(W(X) \log \log X))$  (where  $H \rightarrow +\infty$ ). It seems that to extend the range of  $H$  so that such a Gaussian behavior holds, significant new ideas would be needed. It would be interesting to understand the whole story for all ranges of  $H$ , for both the question studied in [Theorem 1.2](#) and that in (4-1).

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