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ON THE NUMBER OF LATTICE POINTS IN CERTAIN PLANAR SEGMENTS

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(Communicated by Stanislav Jakubec)

ABSTRACT. Let $\mathcal{D}_0 \subset \mathbb{R}^2$ be a compact domain whose boundary is a simple closed curve composed of finitely many pieces such that on each piece the radius of curvature exists everywhere, is bounded and non-zero, and is continuously differentiable with respect to the tangent angle. Further, let \mathcal{D} be a plane domain obtained by applying a rigid motion to \mathcal{D}_0 and let $\mathcal{D}(a, b) := \{(x, y) \in \mathcal{D} : y \geq ax + b\}$, where $a, b \in \mathbb{R}$. Generalizing Huxley's famous theorem we show that when a is taken from a large class \mathcal{R} of irrational numbers and b is arbitrary, for a real parameter λ

$$#(\lambda \mathcal{D} \cap \mathbb{Z}^2) = \lambda^2 \operatorname{area} \mathcal{D} + \mathbf{O}(\lambda^{0.63}) \qquad (\lambda \to \infty).$$

Thereby the O-constant depends only on the basic domain \mathcal{D}_0 and the class $\mathcal{R}.$

Additionally, we are able to extend the applicability of the standard method of estimating rounding error sums of the shape

$$\Psi(f; u, v; \lambda) := \sum_{u \lambda \le n \le v \lambda} \psi\left(\lambda f\left(\frac{n}{l}\right)\right) \qquad (\lambda \to \infty),$$

where $\psi(z) = z - [z] - 1/2$ and f is a real-valued function defined on an interval $[u, v] \subset \mathbb{R}$ with continuous derivatives up to order 3 and the property that f'' does not vanish on [u, v]. By Huxley's method, $\Psi(f; u, v; \lambda) \ll \lambda^{0.63}$ under the additional condition that f''' does not vanish on [u, v].

We show that this condition, which has always been interpreted as technical, is superfluous.

1. Introduction and statement of the main result

Let $\mathcal{D}_0 \subset \mathbb{R}^2$ be a compact domain whose boundary is a simple closed curve composed of finitely many pieces such that on each piece the radius of curvature exists everywhere, is bounded and non-zero, and is continuously differentiable

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with respect to the tangent angle. Let \mathcal{D} be a plane domain obtained by applying a rigid motion to \mathcal{D}_0 , i.e. $\mathcal{D} = \mathcal{D}_0 \cdot \mathbf{A} + \mathbf{v}$, where \mathbf{A} is a real orthogonal 2×2 -matrix with determinant 1 and $\mathbf{v} \in \mathbb{R}^2$ is a translation vector.

The following deep result of planar lattice point theory has been proved by Huxley (cf. [2]).

There exists an effective constant C such that for every expansion factor $\lambda \geq 2$

 $|\#(\lambda \mathcal{D} \cap \mathbb{Z}^2) - \lambda^2 \operatorname{area} \mathcal{D}| \le C \lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}.$

C depends on \mathcal{D}_0 , but not on the rotation matrix \mathbf{A} or the translation vector \mathbf{v} .

With reference to this great theorem and for the sake of simplicity we will call any domain like \mathcal{D}_0 a Huxley domain.

The most important Huxley domain of course is a circle and in this case Huxley's theorem is the sharpest-known result concerning the famous *circle* problem.

The aim of the present paper is to achieve an analogous result if the domain \mathcal{D} is replaced by segments $\{(x, y) \in \mathcal{D} : y \ge ax + b\}$ $(a, b \in \mathbb{R})$.

There will be no problem concerning b which may be arbitrary without influencing the constant C. On the other hand, the slope a of the boundary line y = ax + b has to be chosen carefully. Clearly, with respect to the symmetry of the lattice, we may assume without loss of generality $0 \le a \le 1$. Of course, the desired generalization of H u x l e y 's theorem is impossible if a is rational. Thus we assume that a is irrational. Consequently, there lies at most one lattice point on any line $y = ax + \lambda b$ and hence one may alternately consider the subdomains of \mathcal{D} where y > ax + b, $y \le ax + b$, or y < ax + b. Of course, the assumption only that a is irrational would be insufficient. What we really have to assume is that a is rather badly aproximable by rationals. Then the numbers a which must not occur are only few from a measure-theoretic standpoint.

Let $D_N(a) := D_N((na)_{n=1,\dots,N})$ denote the discrepancy of the irrational a (cf. [4]).

For a constant $H \ge 1$ let \Re_H be the set of all irrationals $a \in [0, 1]$ such that the inequality $D_N(a) \le HN^{-\frac{3}{8}}$ holds for every $N \in \mathbb{N}$.

The famous theorem of Thue-Siegel-Roth implies that for every algebraic irrational a and arbitrarily small $\varepsilon > 0$ there is a $H_{a,\varepsilon}$ with $D_N(a) \leq H_{a,\varepsilon}N^{-1+\varepsilon}$ for all $N \in \mathbb{N}$. Hence for every algebraic $a \in [0,1] \setminus \mathbb{Q}$ there is a H with $a \in \Re_H$. (For instance, $\sqrt{2} - 1, \sqrt{3} - 1 \in \Re_4$ by [4; Theorem 3.4].) But the sets \Re_H are far away from being small. Since (for every $N \in \mathbb{N}$) D_N is a continuous function on $[0,1] \setminus \mathbb{Q}$ and $\Re_H = \bigcap_{N \in \mathbb{N}} D_N^{-1} ([0, HN^{-\frac{3}{8}}])$, there is a closed set $A_H \subset [0,1]$

such that $\Re_H = A_H \setminus \mathbb{Q}$, whence the set \Re_H is always measurable. Further, [0,1] $\setminus \bigcup_{H \in \mathbb{N}} \Re_H$ is a Lebesgue null set because, by a well-known result due to Khintchine (cf. [4]), $D_N(a) \ll N^{-1+\varepsilon}$ $(N \to \infty)$ for almost all $a \in \mathbb{R}$. Consequently, since $\Re_H \subset \Re_{H'}$ if $H \leq H'$, the Lebesgue measure of the set $[0,1] \setminus \Re_H$ is arbitrarily small when H is sufficiently large.¹

Now the main result of the present paper is the following theorem.

THEOREM 1. Let \mathcal{A} be the set of all real orthogonal 2×2 -matrices with determinant 1 and, for $H \geq 1$, $\Re_H := \{a \in [0,1] \setminus \mathbb{Q} : (\forall N \in \mathbb{N}) (D_N(a) \leq HN^{-\frac{3}{8}})\}$. Further let $\mathcal{D}_0 \subset \mathbb{R}^2$ be a Huxley domain. Then there exists an effective constant C depending only on \mathcal{D}_0 and H such that for every expansion factor $\lambda \geq 2$, for every $a \in \Re_H$, for every $b \in \mathbb{R}$, for every $\mathbf{A} \in \mathcal{A}$, and for every $\mathbf{v} \in \mathbb{R}^2$

$$\left|\#\left(\lambda \mathcal{D}(a,b;\mathbf{A},\mathbf{v})\cap\mathbb{Z}^2\right)-\lambda^2\operatorname{area}\mathcal{D}(a,b;\mathbf{A},\mathbf{v})\right|\leq C\lambda^{\frac{46}{73}}(\log\lambda)^{\frac{315}{146}},$$

where

$$\mathcal{D}(a,b;\mathbf{A},\mathbf{v}) := \left\{ (x,y) \in \mathcal{D}_0 \cdot \mathbf{A} + \mathbf{v} : \ y \ge ax + b \right\}.$$

2. Preparation of the proof

Let the rounding error function ψ be defined by

$$\psi(z)=z-[z]-1/2 \qquad (\,z\in\mathbb{R}\,)\,,$$

where [] are the Gauss brackets. The following two lemmata provide good estimates of rounding error sums that we need in order to prove Theorem 1.

LEMMA 1. Let $H \ge 1$ and $a \in \Re_H$. Then for $\lambda \ge 2$ and arbitrary $u, v, b \in \mathbb{R}$ we have

$$\left|\sum_{u\lambda \leq n \leq v\lambda} \psi(an+b)\right| \leq 2H (1+|u|+|v|) \lambda^{\frac{5}{8}}.$$

Proof. By Koksma's inequality (cf. [3; Theorem 5.1]) we have for every $b \in \mathbb{R}$, every $N \in \mathbb{N}$, and every sequence $(x_n)_{n \in \mathbb{N}}$ of real numbers

$$\left|\sum_{n=1}^N\psi(x_n+b)\right|\leq 2ND_N\big((x_n)_{n=1,\ldots,N}\big)\,.$$

¹Nevertheless, every set \mathfrak{R}_H is nowhere dense in $[0,1] \setminus \mathbb{Q}$ and thus in \mathbb{R} , too. This is true because if \mathcal{L} is the set of all *Liouville numbers*, which is dense in $\mathbb{R} \setminus \mathbb{Q}$, then $\mathfrak{R}_H \cap \mathcal{L} = \emptyset$ since $D_N(\alpha) = \Omega(N^{-\varepsilon})$ $(N \to \infty)$ for every $\varepsilon > 0$ and all $\alpha \in \mathcal{L}$.

Consequently,

$$\left|\sum_{n=1}^{N} \psi(\pm an + b)\right| \le 2HN^{\frac{5}{8}}$$

which immediately implies the assertion.

The next lemma follows by combining Huxley [2; Theorems 18.2.1, 18.2.2].

LEMMA 2. Let $C_1, C_2 \geq 1$ be constants and let M, M', T be positive real parameters satisfying $M \leq M' < 2M$ and $T^{\frac{4}{9}} \leq M \leq C_1 T^{\frac{1}{2}}$. Further, let F(t) be a three times continuously differentiable function on $1 \leq t \leq 2$ satisfying $1/C_2 \leq |F^{(r)}(t)| \leq C_2$ for $1 \leq t \leq 2$ and r = 1, 2, 3. Then there exists a constant C_3 depending only on C_1 and C_2 such that if $T \geq 2$, then

$$\left|\sum_{M \le m \le M'} \psi\left(\frac{T}{M} F\left(\frac{m}{M}\right)\right)\right| \le C_3 T^{\frac{23}{73}} (\log T)^{\frac{315}{146}}.$$

The following lemma is a generalization of Huxley's main theorem cited in Section 1.

LEMMA 3. Fix $k, l \in \mathbb{N}$ and let \mathcal{D}_0 and \mathcal{H}_0 be two Huxley domains. Then there exists an effective constant C_0 such that for every rotation matrix $\mathbf{A} \in \mathcal{A}$ and all translation vectors $\mathbf{v}, \mathbf{v}_1, \ldots, \mathbf{v}_k \in \mathbb{R}^2$ the following is true. If \mathcal{H} is a Huxley domain with

$$\partial \mathcal{H} \subset \partial (\mathcal{D}_0 \cdot \mathbf{A} + \mathbf{v}) \cup \partial (\mathcal{H}_0 + \mathbf{v}_1) \cup \cdots \cup \partial (\mathcal{H}_0 + \mathbf{v}_k)$$

such that $\partial \mathcal{H}$ is the union of at most l smooth pieces,² then the inequality

$$|\#(\lambda \mathcal{H} \cap \mathbb{Z}^2) - \lambda^2 \operatorname{area} \mathcal{H}| \leq C_0 \lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}$$

holds for every expansion factor $\lambda \geq 2$.

Proof. Since the number of the smooth pieces C_i of \mathcal{H} is bounded by l, we can take over Huxley 's original proof ([2; pp. 389–393]) word for word.

The final lemma guarantees that the sets \Re_H are always bounded away from 0 and 1.

²At the first sight this additional assumption seems superfluous. But consider the following counterexample. Define convex domains \mathcal{D}_0 and \mathcal{H}_0 such that $\partial \mathcal{D}_0$ is parametrized by $r(\varphi) = 1$ ($0 < \varphi \leq 2\pi$) and $\partial \mathcal{H}_0$ is parametrized by $r(\varphi) = 1$ ($1/\pi < \varphi \leq 2\pi$) and $r(\varphi) = 1 + \varphi^8 \sin(1/\varphi)$ ($0 < \varphi \leq 1/\pi$). Then both domains are Huxley domains since \mathcal{D}_0 is a circle and \mathcal{H}_0 has a sufficiently smooth boundary where the radius of curvature ϱ smoothly pendulates within the range $8/9 \leq \varrho \leq 8/7$. But neither $\mathcal{D}_0 \cap \mathcal{H}_0$ nor $\mathcal{D}_0 \cup \mathcal{H}_0$ is a Huxley domain because $\partial \mathcal{D}_0$ meets $\partial \mathcal{H}_0$ non-tangentially at $\varphi = 1/(n\pi)$ ($n \in \mathbb{N}$). Now, for arbitrary $N \in \mathbb{N}$, consider the domain \mathcal{H} which is bounded by the curve $r(\varphi)$ ($0 < \varphi \leq 2\pi$) with $r(\varphi) = 1 + \varphi^8 \sin(1/\varphi)$ when $2\pi n \leq 1/\varphi \leq (2n+1)\pi$ ($n = 1, \ldots, N$) and $r(\varphi) = 1$ otherwise. Then \mathcal{H} is a Huxley domain with $\partial \mathcal{H} \subset \partial \mathcal{D}_0 \cup \partial \mathcal{H}_0$, but the minimal number of smooth pieces of $\partial \mathcal{H}$ equals 2N.

LEMMA 4. For $H \geq 1$ let $N \in \mathbb{N}$ such that $N \geq (2H)^{\frac{8}{3}}$. Then $\Re_H \subset \left[\frac{1}{2N}, 1 - \frac{1}{2N}\right]$.

Proof. Note that, by assumption, $N \ge 6$ and let $a \in \Re_H$. Since there is nothing to show if $\frac{1}{N} \le a \le 1 - \frac{1}{N}$ suppose firstly that $a < \frac{1}{N}$. Then we have $na \in [0, Na] \subset [0, 1]$ for every $n = 1, 2, \ldots, N$ and hence, by the definition of the discrepancy and with \mathbb{I}_M denoting the indicator function of the set \mathcal{M} ,

$$1 - Na = \left| \frac{1}{N} \sum_{n=1}^{N} \mathbb{I}_{[0,Na]}(na) - Na \right| \le D_N(a) \le H N^{-\frac{3}{8}} \le \frac{1}{2},$$

whence $a \ge \frac{1}{2N}$. If on the other hand $a > 1 - \frac{1}{N}$, then the same argument applied to 1 - a instead of a yields $a \le 1 - \frac{1}{2N}$ since $D_N(1 - a) = D_N(a)$. \Box

3. Lattice points in segments of a circle

For fixed r > 0 and arbitrary $a \in \Re_H$ $(H \ge 1)$, define *circular segments*

$$\sigma(a,d;r) := \left\{ (x,y) \in \mathbb{R}^2 : \ (x^2 + y^2 \le r^2) \ \land \ (y \le ax + d) \right\},$$

where $-r\sqrt{1+a^2} < d < -r$, so that $\sigma(a,d;r)^{\circ} \neq \emptyset$ and the slope of any tangent to the circular piece of the boundary of σ is always positive (and finite).

Then we can write

$$\sigma(a,d;r):=\left\{(x,y)\in\mathbb{R}^2:\ (x_1\leq x\leq x_2)\ \wedge\ \left(f(x)\leq y\leq g(x)\right)\right\},$$

where g(x) := ax + d, $f(x) := -\sqrt{r^2 - x^2}$ and $0 < x_1 < x_2 < r$ such that $f(x_1) = g(x_1)$ and $f(x_2) = g(x_2)$. Then the slope of the tangents mentioned above is given by the first derivative of the function f.

We are going to apply Lemma 2 in order to derive a formula for the number of lattice points in the domains $\lambda \sigma(a, d; r)$. Thereby it is inevitable to make an assumption like the following.

(*) There are constants c_1 , c_2 , $0 < c_1 < c_2 < \infty$, such that $c_1 \leq f'(x) \leq c_2$ ($x_1 \leq x \leq x_2$).

Note that the bounds for the first derivative of f yield new bounds for the higher derivatives. Actually, (*) implies $rc_3 \leq x_1 < x_2 \leq rc_4$ with

$$c_3 := rac{c_1}{\sqrt{1+c_1^2}}$$
 and $c_4 := rac{c_2}{\sqrt{1+c_2^2}}$

Then via $f''(x) = (f'(x))^3 r^2 / x^3$ and $f'''(x) = 3(f'(x))^5 r^2 / x^4$ we obtain the coarse but immediate estimations

$$0 < \frac{c_1^3}{c_4^3 r} \le f'' \le \frac{c_2^3}{c_3^3 r} < \infty \qquad \text{and} \qquad 0 < \frac{3c_1^5}{c_4^4 r^2} \le f''' \le \frac{3c_2^5}{c_3^4 r^2} < \infty \,. \tag{**}$$

PROPOSITION 1. Under the above premises, and assuming (*), we have for $\alpha, \beta \in [0, 1]$ and as $\lambda \to \infty$,

 $\#\big(\lambda\sigma(a,d;r)\cap(\alpha+\mathbb{Z})\times(\beta+\mathbb{Z})\big)=\lambda^2\operatorname{area}\sigma(a,d;r)+O\big(\lambda^{\frac{46}{73}}(\log\lambda)^{\frac{315}{146}}\big)\,,$

where the O-constant depends on r, c_1 , c_2 , and H, but not on α , β , d, or $a \in \Re_H$.

Proof. Let $\lambda \geq 2 + r + 32/(rc_3)^5$ so that then $\lambda^2 r \geq 2$ and $\lambda^{\frac{1}{5}} \geq 2/x_1$ and $\lambda x_1/2 \leq \lambda x_1 - \alpha$. We have

$$\begin{split} \lambda \sigma(a,d;r) &= \left\{ (x,y) \in \mathbb{R}^2 : \ (\lambda x_1 \leq x \leq \lambda x_2) \ \land \ \left(\lambda f(x/\lambda) \leq y \leq \lambda g(x/\lambda) \right) \right\}. \\ \text{Consequently,} \end{split}$$

$$\# \left(\lambda \sigma(a, d; r) \cap (\alpha + \mathbb{Z}) \times (\beta + \mathbb{Z}) \right)$$

$$= \sum_{\lambda x_1 - \alpha \le n \le \lambda x_2 - \alpha} \# \left\{ m \in \mathbb{Z} : -\beta + \lambda f \left(\frac{n + \alpha}{\lambda} \right) \le m \le -\beta + \lambda g \left(\frac{n + \alpha}{\lambda} \right) \right\}$$

$$= \sum_{\lambda x_1 - \alpha \le n \le \lambda x_2 - \alpha} \left(\left[-\beta + \lambda g \left(\frac{n + \alpha}{\lambda} \right) \right] + \left[\beta - \lambda f \left(\frac{n + \alpha}{\lambda} \right) \right] + 1 \right)$$

$$= S(\lambda, x_1, x_2, \alpha) - \Psi_1(\lambda, x_1, x_2, \alpha) - \Psi_2(\lambda, x_1, x_2, \alpha) ,$$

where

$$\begin{split} S(\lambda, x_1, x_2, \alpha) &:= \sum_{\lambda x_1 - \alpha \leq n \leq \lambda x_2 - \alpha} \lambda \Big(g\Big(\frac{n + \alpha}{\lambda}\Big) - f\Big(\frac{n + \alpha}{\lambda}\Big) \Big) \,, \\ \Psi_1(\lambda, x_1, x_2, \alpha) &:= \sum_{\lambda x_1 - \alpha \leq n \leq \lambda x_2 - \alpha} \psi \Big(\beta - \lambda f\Big(\frac{n + \alpha}{\lambda}\Big) \Big) \,, \\ \Psi_2(\lambda, x_1, x_2, \alpha) &:= \sum_{\lambda x_1 - \alpha \leq n \leq \lambda x_2 - \alpha} \psi \Big(-\beta + \lambda g\Big(\frac{n + \alpha}{\lambda}\Big) \Big) \,. \end{split}$$

We apply Lemma 1 to the last sum and obtain

$$\Psi_2(\lambda, x_1, x_2, \alpha) \ll \lambda^{\frac{5}{8}} \leq \lambda^{\frac{46}{73}} \qquad (\, \lambda \to \infty \,) \,,$$

where the \ll -constant depends only on x_1 , x_2 , and H, hence only on r, c_1 , c_2 , and H.

The first sum can be handled by applying the Euler summation formula (cf. [3]). Then we have

$$S(\lambda, x_1, x_2, \alpha) = \lambda \int_{\lambda x_1 - \alpha}^{\lambda x_2 - \alpha} \left(g\left(\frac{u + \alpha}{\lambda}\right) - f\left(\frac{u + \alpha}{\lambda}\right) \right) \, \mathrm{d}u \\ + \int_{\lambda x_1 - \alpha}^{\lambda x_2 - \alpha} \psi(u) \left(g'\left(\frac{u + \alpha}{\lambda}\right) - f'\left(\frac{u + \alpha}{\lambda}\right) \right) \, \mathrm{d}u \, .$$

Obviously, the first integral equals

$$\lambda^2 \int_{x_1}^{x_2} (g(u) - f(u)) \, \mathrm{d}u = \lambda^2 \operatorname{area} \sigma(a, d; r) \,,$$

and, via (*) and $\left| \int_{v}^{w} \psi(u) \, \mathrm{d}u \right| \leq \frac{1}{8}$ and the second mean value theorem, the absolute value of the second is not greater than $(a + c_2)/8 \leq 1 + c_2$.

Thus it remains to estimate $\Psi_1(\lambda, x_1, x_2, \alpha)$. Let $M_0 := \lambda x_1 - \alpha$, and choose $J \in \mathbb{N}$ with $2^{J-1}M_0 \leq \lambda x_2 - \alpha < 2^J M_0$. Now, define a dyadic sequence $M_j = 2^j M_0$ (j < J) and put $M_J := [\lambda x_2 - \alpha] + 1$. Then

$$\Psi_1(\lambda, x_1, x_2, \alpha) = \sum_{j=0}^{J-1} \sum_{M_j \le m < M_{j+1}} \psi\left(\frac{T_j}{M_j} F_j\left(\frac{m}{M_j}\right)\right),$$

where for j = 0, 1, ..., J - 1,

$$F_{j}(u) := \beta \frac{M_{j}}{T_{j}} - \lambda \frac{M_{j}}{T_{j}} f\left(\frac{M_{j}u + \alpha}{\lambda}\right) \qquad (1 \le u \le 2).$$

Now set $T_j := \lambda M_j \ (0 \le j < J)$ in order to apply Lemma 3 to each of the J inner sums. Then we have

$$F_j^{(n)}(u) = -\left(\frac{M_j}{\lambda}\right)^n f^{(n)}\left(\frac{M_j u + \alpha}{\lambda}\right) \qquad (n \in \mathbb{N}).$$

Since for $0 \leq j < J$, $M_j \in [\lambda x_1 - \alpha, \lambda x_2 - \alpha] \subset [\lambda x_1/2, \lambda x_2] \subset \lambda [rc_3/2, rc_4]$, via (*) and (**) it is easy to find a constant $C_2 = C_2(r, c_1, c_2) \geq 1$ such that $1/C_2 \leq |F_j^{(n)}| \leq C_2$ for n = 1, 2, 3 and $j = 0, 1, \ldots, J - 1$. Further, since $\lambda^{\frac{1}{5}} \geq 2/x_1$, the inequality $T_j^{\frac{4}{9}} \leq M_j \leq C_1 T_j^{\frac{1}{2}}$ is true for every j if we set $C_1 := 1 + \sqrt{r}$.

Therefore, by Lemma 2 (note that $\lambda^3 \ge r\lambda^2 \ge T_j \ge 2$)

$$\begin{split} |\Psi_1(\lambda, x_1, x_2, \alpha)| &\leq C_3 \left(\sum_{j=0}^{J-1} T_j^{\frac{23}{73}}\right) \left(\log(r\lambda^2)\right)^{\frac{315}{146}} \\ &\leq C_3 \cdot 5 \cdot (\lambda 2^J M_0)^{\frac{23}{73}} \cdot 11 \cdot (\log\lambda)^{\frac{315}{146}} \leq 69r^{\frac{23}{73}} C_3 \lambda^{\frac{46}{73}} (\log\lambda)^{\frac{315}{146}} \,. \end{split}$$

This finishes the proof of Proposition 1.

4. Proof of Theorem 1

NOTATION. For compact $\mathcal{M} \subset \mathbb{R}^2$ let diam $\mathcal{M} = \sup\{|P - Q| : P, Q \in \mathcal{M}\}$ denote the *diameter* of \mathcal{M} . Further, for abbreviation, if $a, b \in \mathbb{R}$ let

$$\mathcal{M}(a,b) := \left\{ (x,y) \in \mathcal{M} : y \ge ax + b \right\},$$
$$\mathcal{M}^+(a,b) := \left\{ (x,y) \in \mathcal{M} : y > ax + b \right\}.$$

Finally, if $P, Q \in \mathbb{R}^2$ let [P, Q] denote the straight line segment with endpoints P, Q,

$$[P,Q] = \{tQ + (1-t)P : 0 \le t \le 1\}.$$

Now let $a \in \Re_H$ and $b \in \mathbb{R}$. In order to prove Theorem 1 we put $\mathcal{D} = \mathcal{D}_0 \cdot \mathbf{A} + \mathbf{v}$ so that $\mathcal{D}(a, b) = \mathcal{D}(a, b; \mathbf{A}, \mathbf{v})$. Since there is at most one lattice point on a straight line with slope a, we may exclude the trivial case $\mathcal{D}^+(a, b) = \emptyset$.

Since $\mathcal{D}(a, b)$ may not be connected, we consider its (finitely many) components. Some of them may be singletons, but at least one component has a non-empty interior provided that $\mathcal{D}^+(a, b) \neq \emptyset$. Clearly there is a $M \in \mathbb{N}$ depending only on \mathcal{D}_0 such that for the number $n = n(a, b, \mathbf{A}, \mathbf{v})$ of all components of $\mathcal{D}(a, b)$ we always have $n \leq M$. Then we can write $\mathcal{D}(a, b) = \mathcal{E}_1 \cup \cdots \cup \mathcal{E}_m \cup \mathcal{F}$, where $\mathcal{E}_1, \ldots, \mathcal{E}_m$ are pairwise disjoint, compact and connected sets with non-empty interior, \mathcal{F} is a finite set of points on the line y = ax + bwith $\mathcal{F} \cap (\mathcal{E}_1 \cup \cdots \cup \mathcal{E}_m) = \emptyset$, and $m + |\mathcal{F}| = n$. Then we observe that there exists a constant $K \in \mathbb{N}$ depending only on \mathcal{D}_0 such that for every $i = 1, \ldots, m$ we have

$$\mathcal{E}_i \setminus \mathcal{D}^+(a,b) = \bigcup_{j=1}^{k_i} [P_j, Q_j],$$

where $[P_j, Q_j]$ $(j = 1, ..., k_i)$ are pairwise disjoint subsets of the line y = ax + band $0 \le k_i \le K$. (Note that $k_i > 0$ for every i = 1, ..., m if $m \ge 2$. If m = 1and $k_1 = 0$, then there is nothing to show because this case is equivalent to $\mathcal{D}(a, b) = \mathcal{D}$, so that then Theorem 1 equals Huxley's original Theorem.)

Thus the boundary of every set \mathcal{E}_i is put together by a piece of the boundary of \mathcal{D} and k_i straight line segments $[P_j, Q_j]$. Hence every set \mathcal{E}_i becomes a Huxley domain \mathcal{D}_i , i.e. $\mathcal{D}_i(a, b) = \mathcal{E}_i$, if the segments $[P_j, Q_j]$ are all replaced by suitable circular arcs connecting P_j and Q_j . The pairwise disjoint Huxley domains $\mathcal{D}_1, \ldots, \mathcal{D}_m$ which allow the representation $\mathcal{D}(a, b) = \mathcal{D}_1(a, b) \cup \cdots \cup \mathcal{D}_m(a, b) \cup \mathcal{F}$ may be chosen in the following way. With respect to Lemma 4 we choose a small positive constant c_H depending only on H such that $\Re_H \subset [c_H, 1-c_H]$. Further we fix

$$r := \frac{2}{c_H} \operatorname{diam} \mathcal{D}_0$$

and, for i = 1, ..., m and $j = 1, ..., k_i$, choose suitable $\mathbf{v}_{ij} \in \mathbb{R}^2$ and $d_{ij} < 0$ with $1 < d_{ij}^2/r^2 < 1 + a^2$ such that

$$\mathcal{D}_i \setminus \mathcal{D}_i^+(a,b) = \bigcup_{j=1}^{k_i} \left(\sigma(a,d_{ij};r) + \mathbf{v}_{ij} \right) \qquad (i = 1,\ldots,m),$$

where the circular segments $(\sigma(a, d_{ij}; r) + \mathbf{v}_{ij})$ $(i = 1, ..., m, j = 1, ..., k_i)$ are pairwise disjoint.

Note that this can be done in a way that the radius r is fixed as above. The freedom we need for fitting the circular segments arises from the freedom to choose the d_{ij} 's. Actually, for every $i = 1, \ldots, m$ and $j = 1, \ldots, k_i$ we have

$$\operatorname{diam} \mathcal{D}_{\mathbf{0}} \ge \operatorname{diam} \sigma(a, d_{ij}; r) = 2r \sqrt{1 - \frac{d_{ij}^2}{r^2} \frac{1}{1 + a^2}},$$

so that we always can find a d_{ij} with the corresponding segment fitting because

$$2r\sqrt{1-\frac{1}{1+a^2}} = \frac{4}{\sqrt{1+a^2}}\frac{a}{c_H}\operatorname{diam}\mathcal{D}_0 \geq 2\operatorname{diam}\mathcal{D}_0$$

So the boundary of any domain \mathcal{D}_i is always put together by first taking a piece of the boundary of the basic domain \mathcal{D}_0 and k_i pieces of one unique circle, and then applying rigid motions to all pieces. Hence, for every $i = 1, \ldots, m$ we can apply Lemma 3 with k = K, $l = K + \mu$, where μ is the minimal number of smooth pieces of $\partial \mathcal{D}_0$, $\mathcal{H}_0 = \{(x, y) \in \mathbb{R}^2 : x^2 + y^2 \leq r^2\}$, $\mathcal{H} = \mathcal{D}_i$, and \mathbf{v}_j $(j = 1, \ldots, k)$ suitable to make up the circular segments $\sigma(a, d_{ij}; r) + \mathbf{v}_{ij}$ $(j = 1, \ldots, k_i)$ out of the one disc \mathcal{H}_0 .

Thus we obtain

$$|\#(\lambda \mathcal{D}_i \cap \mathbb{Z}^2) - \lambda^2 \operatorname{area} \mathcal{D}_i| \le C_0 \lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}} \qquad (\lambda \ge 2), \qquad (4.1)$$

where the constant C_0 depends only on K, \mathcal{D}_0 and \mathcal{H}_0 , which actually means that it depends only on \mathcal{D}_0 and H.

Next we show that Proposition 1 can be applied to all segments $\sigma(a, d_{ij}; r)$. Let $\sigma = \sigma(a, d_{ij}; r)$ and let φ_1 and φ_2 denote the circle tangent angles in the left and right vertex of σ , respectively. Further let φ_0 denote the angle of the straight line bounding the segment σ . (All angles are to be considered relative to the horizontal.) Then, by the definition of the universal radius r and with $\delta := \operatorname{diam} \sigma$ and $c := c_H$,

$$r \ge \frac{2\delta}{c} \ge \frac{\delta}{2\sin\left(\frac{c}{3}\right)} = \frac{\delta}{2\cos\left(\frac{\pi}{2} - \frac{c}{3}\right)},$$

whence

$$\varphi_1 + \frac{\pi}{2} - \varphi_0 = \arccos\left(\frac{\delta}{2r}\right) \ge \frac{\pi}{2} - \frac{c}{3}$$

Then, since $\tan \varphi_0 = a$ and $c \le a \le 1$, we have

$$\tan \varphi_1 \ge \varphi_1 \ge \arctan a - \frac{c}{3} \ge \frac{\pi}{4}a - \frac{c}{3} \ge \frac{c}{3}.$$

On the other hand, for the second angle φ_2 we have

$$\varphi_2 = \varphi_0 + (\varphi_0 - \varphi_1) \le 2\varphi_0 = 2 \arctan a \le 2 \arctan(1 - c)$$
,

whence

$$\tan \varphi_2 \le \frac{2(1-c)}{1-(1-c)^2} \le \frac{2}{c} \,.$$

As a consequence, if κ is the slope of any tangent to the circular piece of the boundary of the segment σ , then

$$0 < \frac{c_H}{3} \le \kappa \le \frac{2}{c_H} < \infty \,.$$

Thus, by Proposition 1, we have for every i = 1, ..., m, $j = 1, ..., k_i$ and $\lambda \ge 2$,

 $\left| \# \left(\lambda \left(\sigma(a, d_{ij}; r) + \mathbf{v}_{ij} \right) \cap \mathbb{Z}^2 \right) - \lambda^2 \operatorname{area} \sigma(a, d_{ij}; r) \right| \leq C_4 \lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}, \quad (4.2)$ where the constant C_4 depends only on r and c_H , i.e. only on \mathcal{D}_0 and H.

Now, always having in mind that $\#\{(x,y) \in \mathbb{Z}^2 : y = ax + \lambda b\} \leq 1$, we have for every $\lambda \geq 2$,

$$\#(\lambda \mathcal{D}(a,b) \cap \mathbb{Z}^2) = \sum_{i=1}^m \#(\lambda \mathcal{D}_i^+(a,b) \cap \mathbb{Z}^2) + \gamma \qquad (\gamma \in \{0,1\})$$

and

$$\lambda \mathcal{D}_i^+(a,b) = \lambda \mathcal{D}_i \setminus \bigcup_{j=1}^{\kappa_i} \lambda \left(\sigma(a,d_{ij};r) + \mathbf{v}_{ij} \right) \qquad (i = 1,\ldots,m),$$

so that by (4.1) and (4.2), Theorem 1 follows.

5. Lattice points in Huxley sectors

Let \mathcal{D} be a Huxley domain, $E \in \mathbb{R}^2$ an arbitrary point, and $\mathbf{v}, \mathbf{w} \in \mathbb{R}^2$ planar vectors. Then we consider the sector $\mathcal{D}(E; \mathbf{v}, \mathbf{w})$ given by

 $\mathcal{D}(E; \mathbf{v}, \mathbf{w}) := \left\{ X \in \mathcal{D} : \ (\exists t_1, t_2 \ge 0) (X = E + t_1 \mathbf{v} + t_2 \mathbf{w}) \right\}.$

Clearly, we have to place restrictions on the vectors \boldsymbol{v} and \boldsymbol{w} in order to achieve a satisfying generalization of our result on segments of Huxley domains to sectors. For $H \geq 1$ define

$$\mathcal{V}_H := \left\{ \left(v_1, v_2 \right) \in \left(\mathbb{R} \setminus \{0\} \right)^2 : \left(\left| v_1 / v_2 \right| \in \Re_H \right) \ \lor \ \left(\left| v_2 / v_1 \right| \in \Re_H \right) \right\}.$$

Now, the main result of this section is the following theorem.

THEOREM 2. Let $\mathcal{D}_0 \subset \mathbb{R}^2$ be a Huxley domain and $H \geq 1$. Then there exists a constant C' such that for all points $E \in \mathbb{R}^2$, for all vectors $\mathbf{v}, \mathbf{w} \in \mathcal{V}_H$, for every rotation matrix $\mathbf{A} \in \mathcal{A}$, for all $\alpha, \beta \in [0, 1]$, for every expansion factor $\lambda \geq 2$, and with $\mathcal{D} = \mathcal{D}_0 \cdot \mathbf{A}$,

$$\left|\#\left(\lambda \mathcal{D}(E; \boldsymbol{v}, \boldsymbol{w}) \cap (\alpha + \mathbb{Z}) \times (\beta + \mathbb{Z})\right) - \lambda^2 \operatorname{area} \mathcal{D}(E; \boldsymbol{v}, \boldsymbol{w})\right| \leq C' \lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}.$$

Proof. Let, for abbreviation, $\Gamma := (\alpha + \mathbb{Z}) \times (\beta + \mathbb{Z})$. Clearly, we may assume that the vectors \mathbf{v} and \mathbf{w} are linearly independent. Further, we may assume that the point E lies in the interior of the domain \mathcal{D} , because otherwise we obtain the result by applying once or twice Theorem 1 together with a possible help of suitable reflections. Then we have $\mathcal{D}(E; \mathbf{v}, \mathbf{w})^{\circ} \neq \emptyset$. We may assume without loss of generality that the domain $\mathcal{D}(E; \mathbf{v}, \mathbf{w})$ is connected, because otherwise we consider its components. Now, following the ideas in Section 4, it is not difficult to find a Huxley domain \mathcal{D}^* such that

$$\overline{\mathcal{D}^* \setminus \mathcal{D}(E; \mathbf{v}, \mathbf{w})} = \bigcup_{i=1}^k \sigma_i \,,$$

where $\sigma_1, \ldots, \sigma_k$ are pairwise disjoint compact segments of circles with one universal radius r, and the straight line segments $\sigma_k \cap \mathcal{D}(E; \mathbf{v}, \mathbf{w})$ always being parallel to \mathbf{v} or \mathbf{w} . The number k is clearly bounded by a constant depending only on \mathcal{D}_0 . Since $\mathbf{v}, \mathbf{w} \in \mathcal{V}_H$, we have, by applying Theorem 1 to the basic domain $x^2 + y^2 \leq r^2$ and with a possible help of suitable translations and reflections, for every segment σ_i

$$\#(\lambda\sigma_i \cap \Gamma) = \lambda^2 \operatorname{area} \sigma_i + O\left(\lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}\right)$$
(5.1)

with the O-constant depending only on H and r. (Note that Proposition 1 only would not imply (5.1) because it is insufficient for arbitrary segments of circles.)

Now we apply Lemma 3 with $\mathcal{H}_0 = \{(x,y) \in \mathbb{R}^2 : x^2 + y^2 \leq r^2\}$ and $\mathcal{H} = \mathcal{D}^*$. This yields

$$#(\lambda \mathcal{D}^* \cap \Gamma) = \lambda^2 \operatorname{area} \mathcal{D}^* + O\left(\lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}\right).$$
(5.2)

Further we have,

$$#(\lambda \mathcal{D}(E; \mathbf{v}, \mathbf{w}) \cap \Gamma) = #(\lambda \mathcal{D}^* \cap \Gamma) - \sum_{i=1}^k #(\lambda \sigma_i \cap \Gamma) + O(1).$$
(5.3)

Now by inserting the right hand sides of (5.1) and (5.2) into (5.3) we reach our goal since

area
$$\mathcal{D}^* - \sum_{i=1}^{k} \operatorname{area} \sigma_i = \operatorname{area} \mathcal{D}(E; \mathbf{v}, \mathbf{w}).$$

A natural application of Theorem 2 is one to sectors of circles. Let $H \ge 1$ and define for $R \ge 2$ and $\kappa > 0$ with $\kappa \in \Re_H$ or $1/\kappa \in \Re_H$,

$$\mathcal{S}(R;\kappa) := \left\{ (x,y) \in \mathbb{R}^2 : (x \ge 0) \land (0 \le y \le \kappa x) \land (x^2 + y^2 \le R^2) \right\}.$$

Then, by symmetry and Theorem 2 with $\mathcal{D}_0 = \{(x, y) \in \mathbb{R}^2 : x^2 + y^2 \leq R^2\}, E = (0,0), \mathbf{v} = (1,\kappa), \text{ and } \mathbf{w} = (1,-\kappa), \text{ we derive (with the O-constant depending only on } H)$

$$\#(\mathcal{S}(R;\kappa) \cap \mathbb{Z}^2) = \frac{\arctan \kappa}{2} R^2 + \frac{1}{2} R + O\left(R^{\frac{46}{73}} (\log R)^{\frac{315}{146}}\right). \tag{(\star)}$$

Note that this result goes beyond the scope of the problem N o w a k [5] deals with since there are considered only sectors $x^2 + y^2 \leq R^2$, $\alpha \leq y/x \leq \beta$ with $0 < \alpha < \beta$.

Further, (\star) implies the following nice corollary related to the circle problem.

COROLLARY 1. For a natural number k, k not a square, define the arithmetic function

$$A_k(n) := \# \big\{ (x,y) \in \mathbb{N}^2 : \ (x^2 + y^2 = n) \ \land \ (y^2 \le kx^2) \big\} \qquad (n \in \mathbb{N}) \, .$$

Then as $N \to \infty$,

$$\frac{1}{N}\sum_{n=1}^{N}A_{k}(n) = \frac{\arctan\sqrt{k}}{2} - \frac{1}{2\sqrt{N}} + O\left(N^{-\frac{50}{73}}(\log N)^{\frac{315}{146}}\right),$$

the O-constant depending on k.

An analogous result related to the divisor problem is the next, which we close this section with.

COROLLARY 2. For algebraic irrationals α , β , $0 < \alpha < \beta$, define the arithmetic function

$$B_{\alpha,\beta}(n) := \# \big\{ (x,y) \in \mathbb{N}^2 : \ (x \cdot y = n) \ \land \ (\alpha < y/x < \beta) \big\} \qquad (n \in \mathbb{N}) \ .$$

Then as $N \to \infty$,

$$\frac{1}{N} \sum_{n=1}^{N} B_{\alpha,\beta}(n) = \frac{1}{2} \log \left(\frac{\beta}{\alpha}\right) + O\left(N^{-\frac{50}{73}} (\log N)^{\frac{315}{146}}\right),$$

the O-constant depending on α and β .

6. Application to fractional part sums

In this final section we consider sums

$$\Psi(f; u, v; \lambda) := \sum_{u\lambda \le n \le v\lambda} \psi\left(\lambda f\left(rac{n}{\lambda}
ight)
ight),$$

where λ is a large real parameter and f is a real-valued function defined on an interval $[u, v] \subset \mathbb{R}$ with continuous derivatives up to order 3 and the property that f'' does not vanish on [u, v]. (See N o w a k [6] for recent results concerning such sums.) By Huxley's method ([2; Theorems 18.2.1, 18.2.2]),

$$\Psi(f; u, v; \lambda) \ll \lambda^{\frac{40}{73}} (\log \lambda)^{\frac{315}{146}} \qquad (\lambda \to \infty)$$
 (\diamondsuit)

under the additional condition that f''' does not vanish on [u, v].

This condition has always been interpreted as technical (cf. N o w a k [6]) and indeed it is superfluous as shown by the following theorem, which we conclude this article with.

THEOREM 3. Fix $\alpha, \beta \in \mathbb{R}$ and $f: [\alpha, \beta] \to \mathbb{R}$, and assume that f is three times continuously differentiable on (an open neighborhood of) $[\alpha, \beta]$ with $f'' \neq 0$ there.

Then the inequality (\diamondsuit) holds uniformly in $u, v \ (\alpha \le u \le v \le \beta)$.

Proof. Fix $\kappa = \sqrt{2} + \left[|f'(\alpha)|\right] + \left[|f'(\beta)|\right]$. Then $\kappa > 1, |f'(\alpha)|, |f'(\beta)|$ and, by [4; Theorem 3.4], $1/\kappa \in \Re_H$ with $H = 4 + [\kappa]$. Further, for $u, v \in [\alpha, \beta]$, u < v, define linear functions g_u, g_v ,

$$g_u(x)=f(u)-\kappa(x-u)\,,\quad g_v(x)=f(v)+\kappa(x-v)\qquad (\,x\in\mathbb{R}\,)\,,$$

so that $g_u(u) = f(u)$ and $g_v(v) = f(v)$. Then there is a unique (and easily computable) $x_0 \in [u, v[$ such that $g_u(x_0) = g_v(x_0) < f(x_0)$. Let $g_{u,v} := \max\{g_u, g_v\}$. Then $g_{u,v}(x) < f(x)$ for all $x \in [u, v[$ and $g_{u,v}(u) = f(u)$, $g_{u,v}(v) = f(v)$.

Note that $\mathcal{G}(f) := \{(x, f(x)) : \alpha \leq x \leq \beta\}$ can be read as a piece of the boundary of a Huxley domain because for the radius of curvature ϱ we have

$$\varrho = \frac{(1+\tan^2\tau)^{\frac{3}{2}}}{f^{\prime\prime}(f^{\prime-1}(\tan\tau))} \cdot \frac{f^{\prime\prime}(\alpha)}{|f^{\prime\prime}(\alpha)|},$$

where τ is the tangent angle (relative to the horizontal).

Now consider the sectors

$$\begin{split} \mathcal{S}(f;\kappa,u,v) &:= \left\{ (x,y) \in \mathbb{R}^2 : \ (u \leq x \leq v) \ \land \ \left(g_{u,v}(x) \leq y \leq f(x) \right) \right\} \\ & \quad (\alpha \leq u < v \leq \beta \,) \,. \end{split}$$

Obviously, $S(f; \kappa, u_1, v_1) \supset S(f; \kappa, u_2, v_2)$ if $\alpha \leq u_1 \leq u_2 < v_2 \leq v_1 \leq \beta$. Then, with the help of a suitable fixed Huxley domain \mathcal{D} with $\partial \mathcal{D} \supset \mathcal{G}(f)$ and $\mathcal{D} \supset \mathcal{S}(f; \kappa, \alpha, \beta)$, we obtain, by applying Theorem 2 with $E = (x_0, g_{u,v}(x_0))$, $\mathbf{v} = (-1, \kappa)$, $\mathbf{w} = (1, \kappa)$, and $H = 4 + [\kappa]$,

$$\#(\lambda \mathcal{S}(f;\kappa,u,v) \cap \mathbb{Z}^2) = \lambda^2 \operatorname{area} \mathcal{S}(f;\kappa,u,v) + O\left(\lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}\right) \qquad (\lambda \to \infty).$$
(6.1)

Note that the O-constant depends on $\mathcal{G}(f)$ but not on u or v!

On the other side,

$$\# \left(\lambda \mathcal{S}(f;\kappa,u,v) \cap \mathbb{Z}^2 \right) = \sum_{\lambda u \le n \le \lambda v} \lambda \left(f\left(\frac{n}{\lambda}\right) - g_{u,v}\left(\frac{n}{\lambda}\right) \right) - \Psi(f;u,v;\lambda) \\ - \sum_{\lambda u \le n \le \lambda x_0} \psi \left(-\lambda g_u\left(\frac{n}{\lambda}\right) \right) - \sum_{\lambda x_0 < n \le \lambda v} \psi \left(-\lambda g_v\left(\frac{n}{\lambda}\right) \right)$$

Consequently, by applying the Euler summation formula to the first sum and Lemma 1 (with $a = \sqrt{2} - 1$ and $a = 2 - \sqrt{2}$, respectively) to the last two sums, we derive

$$\#(\lambda \mathcal{S}(f;\kappa,u,v) \cap \mathbb{Z}^2) = \lambda^2 \operatorname{area} \mathcal{S}(f;\kappa,u,v) - \Psi(f;u,v;\lambda) + O(\lambda^{\frac{46}{73}}) \quad (\lambda \to \infty)$$
(6.2)

with the O-constant depending on α , β , and H.

Thus Theorem 3 follows by comparing (6.1) and (6.2).

Final remark. The exponent -3/8 in the definition of the sets \Re_H is a kind of house number and intentionally not chosen optimal. (Theorems 1 and 2 obviously remain unchanged when -3/8 is replaced by any fixed number $-\theta$ with $77/208 \leq \theta \leq 3/8$.) We have chosen -3/8 because it is a nice exponent and it leaves space for possibly further improvements of H u x l e y's method which would automatically improve the bounds in Theorems 1 and 2. Actually, in the meantime a further improvement has been announced. In a yet unpublished paper [1] H u x l e y shows that the bound $\lambda^{\frac{46}{73}} (\log \lambda)^{\frac{315}{146}}$ can be sharpened to $\lambda^{\frac{13}{208}} (\log \lambda)^{\frac{18627}{8220}}$. Consequently, Theorems 1 to 3 are still true with the sharper bound (and a fortiori with the bound $\lambda^{0.63}$). Further improvements of our results, without reducing the sets \Re_H , are of course only possible up to a bound $\lambda^{5/8}$, but anyhow the exponent 5/8 is so small that it certainly lies far beyond the scope of H u x l e y's method.

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