

CONTINUATIONS AND FUNCTIONAL EQUATIONS

The Riemann zeta function is *initially* defined as a sum,

$$\zeta(s) = \sum_{n \geq 1} n^{-s}, \quad \operatorname{Re}(s) > 1.$$

The first part of this writeup gives Riemann's argument that the *completion* of zeta,

$$Z(s) = \pi^{-s/2} \Gamma(s/2) \zeta(s), \quad \operatorname{Re}(s) > 1$$

has a meromorphic continuation to the full s -plane, analytic except for simple poles at $s = 0$ and $s = 1$, and the continuation satisfies the functional equation

$$Z(1-s) = Z(s), \quad s \in \mathbb{C}.$$

The continuation is no longer defined by the sum. Instead, it is defined by a well-behaved integral-with-parameter.

Essentially the same ideas apply to Dirichlet L -functions,

$$L(\chi, s) = \sum_{n \geq 1} \chi(n) n^{-s}, \quad \operatorname{Re}(s) > 1.$$

The second part of this writeup will give their completion, continuation and functional equation.

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Part 1. RIEMANN ZETA: MEROMORPHIC CONTINUATION AND FUNCTIONAL EQUATION

1. FOURIER TRANSFORM

The space of measurable and absolutely integrable functions on \mathbb{R} is

$$\mathcal{L}^1(\mathbb{R}) = \{\text{measurable } f : \mathbb{R} \rightarrow \mathbb{C} : \int_{x \in \mathbb{R}} |f(x)| dx < \infty\}.$$

Any $f \in \mathcal{L}^1(\mathbb{R})$ has a *Fourier transform* $\mathcal{F}f : \mathbb{R} \rightarrow \mathbb{C}$ given by

$$(\mathcal{F}f)(\xi) = \int_{x \in \mathbb{R}} f(x) e^{-2\pi i \xi x} dx.$$

Although the Fourier transform is continuous, it needn't belong to $\mathcal{L}^1(\mathbb{R})$. But if also $f \in \mathcal{L}^2(\mathbb{R})$, *i.e.*, $\int_{x \in \mathbb{R}} |f(x)|^2 dx < \infty$, then $\int_{x \in \mathbb{R}} |(\mathcal{F}f)(x)|^2 dx < \infty$. That is, if $f \in \mathcal{L}^1(\mathbb{R}) \cap \mathcal{L}^2(\mathbb{R})$ then $\mathcal{F}f \in \mathcal{L}^2(\mathbb{R})$.

Conceptually the Fourier transform value $(\mathcal{F}f)(x) \in \mathbb{C}$ is a sort of inner product of f and the frequency- ξ oscillation $e^{2\pi i \xi x}$. Thus we might hope to resynthesize f from the continuum of oscillations weighted suitably by the inner products,

$$f(x) = \int_{\xi \in \mathbb{R}} (\mathcal{F}f)(\xi) e^{2\pi i \xi x} d\xi, \quad x \in \mathbb{R}.$$

However, the question of which functions f satisfy the previous display, and the analysis of showing that they do, are nontrivial.

2. FOURIER TRANSFORM OF THE GAUSSIAN AND ITS DILATIONS

Let $g \in \mathcal{L}^1(\mathbb{R})$ be the *Gaussian function*,

$$g(x) = e^{-\pi x^2}.$$

The Fourier transform of the Gaussian is again the Gaussian,

$$\mathcal{F}g = g.$$

This is readily shown by complex contour integration or by differentiation under the integral sign, as follows.

For the contour integration argument, compute that

$$\begin{aligned} (\mathcal{F}g)(\eta) &= \int_{x=-\infty}^{\infty} e^{-\pi x^2} e^{-2\pi i \eta x} dx \\ &= \int_{x=-\infty}^{\infty} e^{-\pi(x^2 + 2ix\eta - \eta^2)} e^{-\pi\eta^2} dx \\ &= e^{-\pi\eta^2} \int_{x=-\infty}^{\infty} e^{-\pi(x+i\eta)^2} dx. \end{aligned}$$

That is, $(\mathcal{F}g)(\eta)$ is $g(\eta)$ scaled by an integral. The scaling integral is an integral of the extension of g to the complex plane, taken over a horizontal line translated vertically from \mathbb{R} . A small exercise with Cauchy's Theorem and limits shows that consequently the integral is just the Gaussian integral $\int_{-\infty}^{\infty} e^{-\pi x^2} dx$, which is 1. Thus $\mathcal{F}g = g$ as claimed.

For the differentiation argument, note that $g'(x) = -2\pi x g(x)$ and $g(0) = 1$. Let $\psi_\xi(x) = e^{2\pi i \xi x}$ so that the Fourier transform of the Gaussian is $(\mathcal{F}g)(\xi) =$

$\int_{x=-\infty}^{\infty} g(x)\bar{\psi}_{\xi}(x) dx$, and compute, differentiating under the integral sign, recognizing $-2\pi xg(x)$ as $g'(x)$, and integrating by parts,

$$\begin{aligned} (\mathcal{F}g)'(\xi) &= \int_{x=-\infty}^{\infty} g(x) \frac{\partial}{\partial \xi} \bar{\psi}_{\xi}(x) dx = \int_{x=-\infty}^{\infty} (-2\pi ix)g(x)\bar{\psi}_{\xi}(x) dx \\ &= i \int_{x=-\infty}^{\infty} \frac{d}{dx} g(x)\bar{\psi}_{\xi}(x) dx = -i \int_{x=-\infty}^{\infty} g(x) \frac{\partial}{\partial x} \bar{\psi}_{\xi}(x) dx \\ &= -2\pi \xi \int_{x=-\infty}^{\infty} g(x)\bar{\psi}_{\xi}(x) dx = -2\pi \xi (\mathcal{F}g)(\xi). \end{aligned}$$

Also $(\mathcal{F}g)(0) = \int_{x=-\infty}^{\infty} g(x) dx = 1$. Thus $\mathcal{F}g$ satisfies the same differential equation and initial condition as g , and again we have $\mathcal{F}g = g$ as claimed.

For any function $f \in \mathcal{L}^1(\mathbb{R})$ and any positive number r , the r -dilation of f ,

$$f_r(x) = f(xr),$$

has Fourier transform

$$\mathcal{F}(f_r) = r^{-1}(\mathcal{F}f)_{r^{-1}}.$$

So in particular, returning to the Gaussian function g ,

$$\text{the Fourier transform of } g_{t^{-1/2}} \text{ is } t^{1/2}g_{t^{1/2}}, \quad t > 0.$$

3. THETA FUNCTION

Let \mathcal{H} denote the complex upper half plane. The *theta function* on \mathcal{H} is

$$\vartheta : \mathcal{H} \longrightarrow \mathbb{C}, \quad \vartheta(\tau) = \sum_{n \in \mathbb{Z}} e^{\pi i n^2 \tau}.$$

The sum converges rapidly away from the real axis, i.e., its tails decay exponentially in $\text{Im}(\tau)$,

$$\left| \sum_{|n| \geq n_0} e^{\pi i n^2 (\sigma + it)} \right| \leq \sum_{|n| \geq n_0} e^{-\pi |n|^2 t} < 2e^{-\pi n_0^2 t} / (1 - e^{-\pi t}),$$

making absolute and uniform convergence on compact subsets of \mathcal{H} easy to show, and thus defining a holomorphic function. Specialize to $\tau = it$ with $t > 0$, and write $\theta(t)$ for $\vartheta(it)$. Again let g be the Gaussian. The theta function along the positive imaginary axis is a sum of dilated Gaussians whose graphs narrow as n grows absolutely,

$$\theta(t) \stackrel{\text{def}}{=} \sum_{n \in \mathbb{Z}} e^{-\pi n^2 t}, \quad t > 0.$$

Equivalently,

$$\theta(t) \stackrel{\text{def}}{=} \sum_{n \in \mathbb{Z}} g_{t^{1/2}}(n), \quad t > 0.$$

4. POISSON SUMMATION; THE TRANSFORMATION LAW OF THE THETA FUNCTION

For any function $f \in \mathcal{L}^1(\mathbb{R})$ such that the sum $\sum_{d \in \mathbb{Z}} f(x+d)$ converges absolutely and uniformly on compact sets and is infinitely differentiable as a function of x , the *Poisson summation formula* is

$$\sum_{n \in \mathbb{Z}} f(x+n) = \sum_{n \in \mathbb{Z}} (\mathcal{F}f)(n) e^{2\pi i n x}.$$

The idea here is that the left side is the periodicization of f , and then the right side is the Fourier series of the left side, because the n th Fourier coefficient of the periodicized f is the n th Fourier transform of f itself.

More specifically, the \mathbb{Z} -periodicization of f ,

$$F : \mathbb{R} \longrightarrow \mathbb{C}, \quad F(x) = \sum_{n \in \mathbb{Z}} f(x+n),$$

is reproduced by its Fourier series,

$$F(x) = \sum_{n \in \mathbb{Z}} \widehat{F}(n) e^{2\pi i n x}.$$

But as mentioned, the n th Fourier coefficient of F is the n th Fourier transform of f ,

$$\begin{aligned} \widehat{F}(n) &= \int_{t=0}^1 F(t) e^{-2\pi i n t} dt = \int_{t=0}^1 \sum_{k \in \mathbb{Z}} f(t+k) e^{-2\pi i n (t+k)} dt \\ &= \int_{t=-\infty}^{\infty} f(t) e^{-2\pi i n t} dt = (\mathcal{F}f)(n), \end{aligned}$$

and so the identity $F(x) = \sum_{n \in \mathbb{Z}} \widehat{F}(n) e^{2\pi i n x}$ gives the Poisson summation formula as claimed,

$$\sum_{n \in \mathbb{Z}} f(x+n) = \sum_{n \in \mathbb{Z}} (\mathcal{F}f)(n) e^{2\pi i n x}.$$

When $x = 0$ the Poisson summation formula specializes to

$$\sum_{n \in \mathbb{Z}} f(n) = \sum_{n \in \mathbb{Z}} (\mathcal{F}f)(n).$$

And especially, if f is the dilated Gaussian $g_{t^{-1/2}}$ then Poisson summation with $x = 0$ shows that

$$\sum_{n \in \mathbb{Z}} g_{t^{-1/2}}(n) = t^{1/2} \sum_{n \in \mathbb{Z}} g_{t^{1/2}}(n),$$

which is to say,

$$\boxed{\theta(1/t) = t^{1/2} \theta(t), \quad t > 0.}$$

The previous display says that the theta function is a *modular form*.

As we will see in the second part of this writeup, Poisson summation without specializing to $x = 0$ similarly shows that a more general theta function satisfies a more complicated transformation law.

5. RIEMANN ZETA AS THE MELLIN TRANSFORM OF THETA

With these preliminaries in hand, the properties of the Riemann zeta function are established by examining the *Mellin transform* of (essentially) the theta function. In general, the Mellin transform of a function $f : \mathbb{R}^+ \rightarrow \mathbb{C}$ is the integral

$$g(s) = \int_{t=0}^{\infty} f(t)t^s \frac{dt}{t}$$

for s -values such that the integral converges absolutely. Here g no longer denotes the Gaussian. The Mellin transform is merely the Fourier transform in different coordinates, as is explained in another writeup. Some features to note about the Mellin transform-

- Really the integral is taken over the multiplicative group \mathbb{R}_+^\times of positive real numbers, a topological group. The lower endpoint 0 of integration is just as improper as the upper endpoint ∞ . A significant part of the work to follow will address fragile convergence of integrals at this improper lower limit, whereas the integrals will converge robustly at the improper upper limit.
- Just as the measure dt on the additive group \mathbb{R} satisfies $d(t+c) = dt$ and $d(at) = a dt$, so does the measure dt/t on \mathbb{R}^\times satisfy $d(ct)/(ct) = dt/t$ and $dt^a/t^a = a dt/t$. Especially, we will use the fact that the substitution $t \mapsto t^{-1}$ takes $(0, 1]$ to $[1, \infty)$, reversing orientation, while dt^{-1}/t^{-1} equals $-dt/t$, also with a minus sign, so that integration from 0 to 1 naturally becomes integration from 1 to ∞ . The measure dt/t is the *Haar measure* of \mathbb{R}^\times . The integral $\int_0^1 t^s dt/t$ converges for $\operatorname{Re}(s) > 0$ and the integral $\int_1^\infty t^s dt/t$ converges for $\operatorname{Re}(s) < 0$.
- The function $t \mapsto t^s$ is a character from \mathbb{R}_+^\times to \mathbb{C}^\times .

For example, the Mellin transform of e^{-t} is $\Gamma(s)$. Also, the Mellin transform at $s/2$ of the function

$$\frac{1}{2}(\theta(t) - 1) = \sum_{n \geq 1} e^{-\pi n^2 t}, \quad t > 0$$

is

$$g(s/2) = \frac{1}{2} \int_{t=0}^{\infty} (\theta(t) - 1)t^{s/2} \frac{dt}{t}.$$

Because $\theta(t) \rightarrow 1$ as $t \rightarrow \infty$, the modular transformation law $\theta(1/t) = t^{1/2}\theta(t)$ shows that $\theta(t) \sim t^{-1/2}$ as $t \rightarrow 0^+$, making the integrand roughly $t^{(s-1)/2} dt/t$ as $t \rightarrow 0^+$, and therefore the integral converges at its left end for $\operatorname{Re}(s) > 1$. Replace $\frac{1}{2}(\theta(t) - 1)$ by its expression as a sum to get

$$g(s/2) = \int_{t=0}^{\infty} \sum_{n \geq 1} e^{-\pi n^2 t} t^{s/2} \frac{dt}{t}.$$

The estimate $\sum_{n \geq 1} e^{-\pi n^2 t} \leq \sum_{n \geq 1} e^{-\pi n t} \leq e^{-\pi t}/(1 - e^{-\pi t})$ shows that the sum converges rapidly to 0 as $t \rightarrow \infty$, and so the integral converges at its right end for all values of s . Also, the rapid convergence lets the sum pass through the integral in the previous display to yield, after a change of variable,

$$g(s/2) = \sum_{n \geq 1} (\pi n^2)^{-s/2} \int_{t=0}^{\infty} e^{-t} t^{s/2} \frac{dt}{t} = \pi^{-s/2} \Gamma(s/2) \zeta(s), \quad \operatorname{Re}(s) > 1.$$

Thus, when $\operatorname{Re}(s) > 1$, the integral $g(s/2)$ is the function $Z(s)$ mentioned at the beginning of this writeup. So this paragraph has in fact shown that the modified zeta function

$$Z(s) \stackrel{\text{def}}{=} \pi^{-s/2} \Gamma(s/2) \zeta(s), \quad \operatorname{Re}(s) > 1$$

has an integral representation as the Mellin transform of (essentially) the theta function,

$$Z(s) = \frac{1}{2} \int_{t=0}^{\infty} (\theta(t) - 1) t^{s/2} \frac{dt}{t}, \quad \operatorname{Re}(s) > 1.$$

Thinking in these terms, the factor $\pi^{-s/2} \Gamma(s/2)$ is intrinsically associated to $\zeta(s)$, making $Z(s)$ the natural function to consider. Modern adelic considerations make the factor even more natural as a completion of the zeta function at the infinite prime, but those ideas are beyond our current scope.

6. MEROMORPHIC CONTINUATION AND FUNCTIONAL EQUATION

The facts that Z is essentially the Mellin transform of θ and that θ is a modular form quickly give rise to the meromorphic continuation and functional equation of Z . Specifically, compute part of the integral representation of Z by replacing t by $1/t$ and then using the modular transformation law $\theta(1/t) = t^{1/2} \theta(t)$, and then using the little identity $\int_1^{\infty} t^{\alpha} dt/t = -1/\alpha$ for $\operatorname{Re}(\alpha) < 0$ twice, with $\alpha = -s/2$ and with $\alpha = (1-s)/2$, both having negative real part because $\operatorname{Re}(s) > 1$,

$$\begin{aligned} \frac{1}{2} \int_{t=0}^1 (\theta(t) - 1) t^{s/2} \frac{dt}{t} &= \frac{1}{2} \int_{t=1}^{\infty} (\theta(1/t) - 1) t^{-s/2} \frac{dt}{t} \\ &= \frac{1}{2} \int_{t=1}^{\infty} \left((\theta(t) - 1) t^{(1-s)/2} - t^{-s/2} + t^{(1-s)/2} \right) \frac{dt}{t} \\ &= \frac{1}{2} \int_{t=1}^{\infty} (\theta(t) - 1) t^{(1-s)/2} \frac{dt}{t} - \frac{1}{s} - \frac{1}{1-s}. \end{aligned}$$

Combine this with the remainder of the integral representation of $Z(s)$ to get

$$Z(s) = \frac{1}{2} \int_{t=1}^{\infty} (\theta(t) - 1) (t^{s/2} + t^{(1-s)/2}) \frac{dt}{t} - \frac{1}{s} - \frac{1}{1-s}, \quad \operatorname{Re}(s) > 1.$$

And now, because the integral in the last display has left endpoint $t = 1$ rather than $t = 0$, it is entire in s , making the right side meromorphic everywhere in the s -plane with its only poles being simple poles at $s = 0$ and $s = 1$. That is, the new description of Z is no longer constrained to the right half plane $\operatorname{Re}(s) > 1$,

$$Z(s) = \frac{1}{2} \int_{t=1}^{\infty} (\theta(t) - 1) (t^{s/2} + t^{(1-s)/2}) \frac{dt}{t} - \frac{1}{s} - \frac{1}{1-s}, \quad s \in \mathbb{C}.$$

This new description extends Z to a meromorphic function on all of \mathbb{C} . The definition of the extended function no longer makes reference to $\zeta(s)$ as a sum.

The right side of the previous display is clearly invariant under the substitution $s \mapsto 1-s$. That is, the meromorphic continuation of $Z(s)$ to the full s -plane satisfies the functional equation

$$Z(1-s) = Z(s), \quad s \in \mathbb{C}.$$

7. SOME EXTENDED ZETA VALUES

The computation that for $\operatorname{Re}(s) > 0$,

$$\begin{aligned}\Gamma(s) &= \int_0^1 e^{-t} t^s \frac{dt}{t} + \int_1^\infty e^{-t} t^s \frac{dt}{t} \\ &= \sum_{n \geq 0} \frac{(-1)^n}{n!} \int_0^1 t^{s+n-1} dt + \int_1^\infty e^{-t} t^s \frac{dt}{t} \\ &= \sum_{n \geq 0} \frac{(-1)^n}{n!(s+n)} + \int_1^\infty e^{-t} t^s \frac{dt}{t}\end{aligned}$$

expresses $\Gamma(s)$ as the sum of two expressions, the first of which extends meromorphically from $\operatorname{Re}(s) > 0$ to \mathbb{C} and the second of which extends analytically to \mathbb{C} . So overall, Γ extends meromorphically to \mathbb{C} with a simple pole of residue $(-1)^n/n!$ at each nonpositive integer $-n \leq 0$. The functional equation for the completed zeta function, featuring the completed gamma function,

$$\pi^{-(1-s)/2} \Gamma\left(\frac{1-s}{2}\right) \zeta(1-s) = \pi^{-s/2} \Gamma\left(\frac{s}{2}\right) \zeta(s), \quad s \in \mathbb{C},$$

after being multiplied through by $\Gamma\left(\frac{s+1}{2}\right)$ combines with the gamma function identities

$$\Gamma\left(\frac{s}{2}\right) \Gamma\left(\frac{s+1}{2}\right) = \pi^{\frac{1}{2}} 2^{1-s} \Gamma(s) \quad (\text{Legendre duplication formula})$$

and

$$\Gamma(s) \Gamma(1-s) = \frac{\pi}{\sin(\pi s)} \quad (\text{symmetry})$$

to give (exercise)

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

For $\operatorname{Re}(s) > 1$ the right side vanishes only for $s = 3, 5, 7, \dots$, and so the only zeros of the extended $\zeta(s)$ in the left half plane are simple zeros at $s = -2, -4, -6, \dots$. Also, the pole of $\zeta(s)$ at $s = 1$ shows that the extended $\zeta(s)$ doesn't vanish at $s = 0$; indeed, because $\zeta(s) \sim 1/(s-1)$ and $\cos(\frac{\pi s}{2}) \sim -\frac{\pi}{2}(s-1)$ as s goes to 1, the functional equation says that $\zeta(0) = -1/2$. Another famous result is that because $\zeta(2) = \pi^2/6$, the functional equation says that $\zeta(-1) = -1/12$. These results do not attribute values to the sums $1+1+1+\dots$ and $1+2+3+\dots$. More generally, a result that we have established earlier,

$$\zeta(k) = -\frac{(2\pi i)^k}{2k!} B_k, \quad k \geq 2 \text{ even},$$

with B_k the k th Bernoulli number, combines with the functional equation to give

$$\zeta(1-k) = -\frac{B_k}{k}, \quad k \geq 2 \text{ even}.$$

This is tidier than the value of $\zeta(k)$, with no power of π and no factorial. For elaborate computations with the zeta function and its variants that have similar functional equations, it is an indispensable gain of ease—and of likely-correct results—to move to the tidy divergent region of the functional equation, work there, and then take the answer back to the region of convergence if so desired.

8. COMPLETED ζ AS A PRODUCT OF LOCAL INTEGRALS

On the real field unit group \mathbb{R}^\times , the Gaussian function $g(t) = e^{-\pi t^2}$ is smooth of rapid decay, and the function $t \mapsto |t|^s$ is a character. With μ the Haar measure of \mathbb{R}^\times , compute an integral that incorporates this function and this character,

$$\begin{aligned} \int_{\mathbb{R}^\times} g(t)|t|^s \, d\mu(t) &= 2 \int_0^\infty e^{-\pi t^2} t^s \frac{dt}{t} \\ &= \pi^{-s/2} \int_0^\infty e^{-\pi t^2} (\pi t^2)^{s/2} \frac{d(\pi t^2)}{\pi t^2} \\ &= \pi^{-s/2} \Gamma(s/2). \end{aligned}$$

We recognize this as the factor that completes $\zeta(s)$ to $Z(s)$.

For any prime p , each element of \mathbb{Q}^\times uniquely takes the form $p^e m/n$ where $e \in \mathbb{Z}$ and $m \in \mathbb{Z} - \{0\}$ and $n \in \mathbb{Z}_{\geq 1}$ and $p \nmid mn$, and the absolute value of the p -adic field unit group \mathbb{Q}_p^\times completes the p -adic absolute value on \mathbb{Q}^\times ,

$$|\cdot|_p : \mathbb{Q}^\times \longrightarrow \mathbb{R}^+, \quad |p^e m/n|_p = p^{-e}.$$

Thus \mathbb{Q}_p^\times consists of concentric p -adic circles whose set of radii $p^{\mathbb{Z}}$ is discrete. The punctured p -adic integer ring $\mathbb{Z}_p - \{0\}$ is, as a set, the punctured closed unit disk in \mathbb{Q}_p^\times , i.e., the set of nonzero p -adic numbers t such that $|t|_p \leq 1$, and the p -adic integer unit group \mathbb{Z}_p^\times is the unit circle, $|t|_p = 1$. Thus $\mathbb{Z}_p - \{0\} = \bigsqcup_{e \geq 0} p^e \mathbb{Z}_p^\times$. Let g be the characteristic function of \mathbb{Z}_p on \mathbb{Q}_p^\times ,

$$g(t) = \begin{cases} 1 & \text{if } t \in \mathbb{Z}_p \\ 0 & \text{else.} \end{cases}$$

Despite its casewise formula, g is p -adically smooth because the p -adic absolute value has discrete range $p^{\mathbb{Z}}$, and certainly g decays rapidly. With $|\cdot|$ now denoting the p -adic absolute value, and with μ the Haar measure of \mathbb{Q}_p^\times scaled so that $\mu(\mathbb{Z}_p^\times) = 1$ and therefore $\mu(p^e \mathbb{Z}_p^\times) = 1$ for all e , compute a p -adic integral similar to the real integral above,

$$\begin{aligned} \int_{\mathbb{Q}_p^\times} g(t)|t|^s \, d\mu(t) &= \sum_{e \geq 0} \int_{p^e \mathbb{Z}_p^\times} (p^{-e})^s \, d\mu(t) \\ &= \sum_{e \geq 0} (p^{-s})^e \\ &= (1 - p^{-s})^{-1}. \end{aligned}$$

We recognize this as the p th Euler product factor of $\zeta(s)$.

Altogether the completion Z of ζ is the product of these *local integrals* over the multiplicative groups of the completions \mathbb{R} and \mathbb{Q}_p of \mathbb{Q} . *Ostrowski's theorem* says that these are all the completions.

Part 2. DIRICHLET L -FUNCTIONS: ANALYTIC CONTINUATION AND FUNCTIONAL EQUATION

9. THETA FUNCTION OF A PRIMITIVE DIRICHLET CHARACTER

A Dirichlet character

$$\chi : (\mathbb{Z}/N\mathbb{Z})^\times \longrightarrow \mathbb{C}^\times$$

is called *even* if $\chi(-1) = 1$ and *odd* if $\chi(-1) = -1$.

A primitive even Dirichlet character modulo N has an associated theta function

$$\theta_+(\chi, t) \stackrel{\text{def}}{=} \sum_{n \in \mathbb{Z}} \chi(n) e^{-\pi n^2 t / N}, \quad t > 0.$$

The sum $\theta_+(\chi, t)$ is zero for odd χ . A primitive odd Dirichlet character modulo N has an associated theta function

$$\theta_-(\chi, t) \stackrel{\text{def}}{=} \sum_{n \in \mathbb{Z}} n \chi(n) e^{-\pi n^2 t / N}, \quad t > 0.$$

The sum $\theta_-(\chi, t)$ is zero for even χ . To gather the two cases, associate to any Dirichlet character χ an integer $\delta = \delta(\chi)$,

$$\delta = \begin{cases} 0 & \text{if } \chi \text{ is even,} \\ 1 & \text{if } \chi \text{ is odd.} \end{cases}$$

Now for a primitive Dirichlet character modulo N , the definition

$$\theta(\chi, t) \stackrel{\text{def}}{=} \sum_{n \in \mathbb{Z}} n^\delta \chi(n) e^{-\pi n^2 t / N}, \quad t > 0$$

captures both definitions above. The sum converges rapidly as t grows, because for $t \geq 1$ its n th term is at most $n^{-2} e^{-t}$ for all $|n| > n_o$ for some n_o independent of t , making its n_o th tail $\mathcal{O}(e^{-t})$, and its n_o th truncation is $\mathcal{O}(e^{-t})$ as well. We will derive a modular transformation law for this theta function.

10. A POISSON SUMMATION RESULT

Recall that the Poisson summation formula says that for suitable functions $f : \mathbb{R} \rightarrow \mathbb{C}$,

$$\sum_{n \in \mathbb{Z}} f(x + n) = \sum_{n \in \mathbb{Z}} (\mathcal{F}f)(n) e^{2\pi i n x}, \quad x \in \mathbb{R}.$$

Recall also that the Fourier transform of a dilation $f_r(x) = f(xr)$ of a suitable function f is

$$\mathcal{F}(f_r) = r^{-1} (\mathcal{F}f)_{r^{-1}}, \quad r > 0.$$

And recall that the Gaussian function,

$$g : \mathbb{R} \rightarrow \mathbb{R}, \quad g(x) = e^{-\pi x^2},$$

is its own Fourier transform, *i.e.*, $\mathcal{F}g = g$.

Using the results just mentioned, compute that for $x \in \mathbb{R}$ and $r > 0$,

$$\begin{aligned}
\sum_{n \in \mathbb{Z}} e^{-\pi(x+n)^2/r} &= \sum_{n \in \mathbb{Z}} g_{r^{-1/2}}(x+n) \\
&= \sum_{n \in \mathbb{Z}} \mathcal{F}(g_{r^{-1/2}})(n) e^{2\pi i n x} && \text{by Poisson summation} \\
&= r^{1/2} \sum_{n \in \mathbb{Z}} (\mathcal{F}g)_{r^{1/2}}(n) e^{2\pi i n x} && \text{by the dilation formula} \\
&= r^{1/2} \sum_{n \in \mathbb{Z}} g_{r^{1/2}}(n) e^{2\pi i n x} && \text{by the property of the Gaussian} \\
&= r^{1/2} \sum_{n \in \mathbb{Z}} e^{2\pi i n x - \pi n^2 r}.
\end{aligned}$$

A slight rearrangement gives

$$\sum_{n \in \mathbb{Z}} e^{2\pi i n x - \pi n^2 r} = r^{-1/2} \sum_{n \in \mathbb{Z}} e^{-\pi(x+n)^2/r}, \quad x \in \mathbb{R}, r > 0.$$

Differentiate with respect to x to get

$$\sum_{n \in \mathbb{Z}} n e^{2\pi i n x - \pi n^2 r} = i r^{-3/2} \sum_{n \in \mathbb{Z}} (x+n) e^{-\pi(x+n)^2/r}, \quad x \in \mathbb{R}, r > 0.$$

Recall the integer δ that is 0 for an even Dirichlet character and 1 for an odd one. This integer lets us gather the previous two displays,

$$\sum_{n \in \mathbb{Z}} n^\delta e^{2\pi i n x - \pi n^2 r} = i^\delta r^{-1/2-\delta} \sum_{n \in \mathbb{Z}} (x+n)^\delta e^{-\pi(x+n)^2/r}, \quad x \in \mathbb{R}, r > 0.$$

Although this result bears some resemblance to a modular transformation law for the theta function of a Dirichlet character, to make things dovetail perfectly we also need to consider Gauss sums.

11. GAUSS SUMS OF PRIMITIVE DIRICHLET CHARACTERS

A primitive Dirichlet character

$$\chi : (\mathbb{Z}/N\mathbb{Z})^\times \longrightarrow \mathbb{C}^\times$$

has associated Gauss sums

$$\tau_n(\chi) = \sum_{m=0}^{N-1} \chi(m) e^{2\pi i n m / N}, \quad n \in \mathbb{Z}.$$

Note that $\tau_n(\chi) = \mathcal{F}\chi(n)$, viewing the frequency- n character of $\mathbb{Z}/N\mathbb{Z}$ as $\psi_n(x) = e^{-2\pi i n x / N}$. Especially, the basic Gauss sum associated to χ is

$$\tau(\chi) = \tau_1(\chi) = \mathcal{F}\chi(1) = \sum_{m=0}^{N-1} \chi(m) e^{2\pi i m / N}.$$

The sum $\tau_n(\chi)$ could be taken only over $m \in (\mathbb{Z}/N\mathbb{Z})^\times$, and the next proposition will show that we could consider $\tau_n(\chi)$ only for $n \in (\mathbb{Z}/N\mathbb{Z})^\times$ because otherwise $\tau_n(\chi) = 0$. However, the proof of the main result of this section,

$$\tau(\chi)\tau(\bar{\chi}) = \chi(-1)N,$$

to be established after the proposition, is transparent when we sum over $\mathbb{Z}/N\mathbb{Z}$ rather than summing only over $(\mathbb{Z}/N\mathbb{Z})^\times$. Summing over $\mathbb{Z}/N\mathbb{Z}$ lets us use the fact

that exponentiation is an additive character along with χ being a multiplicative character.

Proposition 11.1. *If χ is primitive modulo N then*

$$\bar{\chi}(n)\tau(\chi) = \tau_n(\chi), \quad n \in \mathbb{Z}.$$

Proof. First assume that $\gcd(n, N) = 1$. The relation $\bar{\chi}(n)\chi(n) = 1$ quickly proves the formula,

$$\begin{aligned} \bar{\chi}(n)\tau(\chi) &= \bar{\chi}(n) \sum_{m=0}^{N-1} \chi(m)e^{2\pi im/N} \\ &= \bar{\chi}(n) \sum_{m=0}^{N-1} \chi(nm)e^{2\pi inm/N} \\ &= \sum_{m=0}^{N-1} \chi(m)e^{2\pi inm/N} = \tau_n(\chi). \end{aligned}$$

Now assume that $\gcd(n, N) > 1$. We need to show that $\tau_n(\chi) = 0$. For this argument it is more convenient to rewrite the Gauss sum as

$$\tau_n(\chi) = \sum_{m \in (\mathbb{Z}/N\mathbb{Z})^\times} \chi(m)e^{2\pi inm/N}.$$

The degenerate case $N = 1$ is excluded because $\gcd(n, N) > 1$. Let $g = \gcd(n, N)$, so that $n = n'g$ and $N = N'g$ for some integer n' and positive integer N' . The surjection

$$(\mathbb{Z}/N\mathbb{Z})^\times \longrightarrow (\mathbb{Z}/N'\mathbb{Z})^\times$$

has kernel

$$K = \{k \in (\mathbb{Z}/N\mathbb{Z})^\times : k \equiv 1 \pmod{N'}\},$$

and thus $(\mathbb{Z}/N\mathbb{Z})^\times$ has a coset decomposition

$$(\mathbb{Z}/N\mathbb{Z})^\times = \bigsqcup_r rK,$$

where the representatives $r \in (\mathbb{Z}/N\mathbb{Z})^\times$ take distinct values modulo N' . All elements m of a given coset rK satisfy $m \equiv r \pmod{N'}$. Note also that

$$e^{2\pi inm/N} = e^{2\pi in'm/N'} = e^{2\pi in'r/N'} \quad \text{for } m \in rK,$$

and this value depends only on r . Thus altogether we have

$$\tau_n(\chi) = \sum_r \sum_{m \in rK} \chi(m)e^{2\pi inm/N} = \sum_r \chi(r)e^{2\pi in'r/N'} \sum_{k \in K} \chi(k).$$

Now we use the fact that χ is primitive. Specifically, χ doesn't factor through the quotient $(\mathbb{Z}/N'\mathbb{Z})^\times \approx (\mathbb{Z}/N\mathbb{Z})^\times / K$ of $(\mathbb{Z}/N\mathbb{Z})^\times$, so it isn't identically 1 on K . Consequently the inner sum at the end of the previous display is 0, showing that $\tau_n(\chi) = 0$ as desired. \square

Now compute, using the proposition's result $\bar{\chi}(n)\tau(\chi) = \tau_n(\chi)$ for the second equality,

$$\begin{aligned}\tau(\chi)\tau(\bar{\chi}) &= \sum_{n=0}^{N-1} \bar{\chi}(n)\tau(\chi)e^{2\pi in/N} = \sum_{n=0}^{N-1} \tau_n(\chi)e^{2\pi in/N} \\ &= \sum_{n=0}^{N-1} \sum_{m=0}^{N-1} \chi(m)e^{2\pi inm/N} e^{2\pi in/N} \\ &= \sum_{m=0}^{N-1} \chi(m) \sum_{n=0}^{N-1} e^{2\pi i(m+1)n/N} = \chi(-1)N,\end{aligned}$$

the last equality holding because the inner sum is N when $m = -1$ and 0 otherwise. Because $\tau(\bar{\chi}) = \chi(-1)\tau(\chi)$, as is readily verified, the previous display shows that $|\tau(\chi)| = N^{1/2}$.

Our proof that $\tau(\chi)\tau(\bar{\chi}) = \chi(-1)N$ in an earlier writeup was simpler because it could use its circumstance that N is prime, giving $\mathbb{Z}/N\mathbb{Z} = (\mathbb{Z}/N\mathbb{Z})^\times \cup \{0\}$ and making every nontrivial character modulo N primitive. But now N needn't be prime.

Recall that a Dirichlet character χ is even if $\chi(-1) = 1$ and odd if $\chi(-1) = -1$, and recall that we set the integer δ to 0 for an even Dirichlet character and to 1 for an odd Dirichlet character. Thus $\chi(-1) = (-1)^\delta$. Introduce the *root number* of a primitive Dirichlet character, a complex number of absolute value 1,

$$W(\chi) = \frac{\tau(\chi)}{i^\delta N^{1/2}}.$$

The root number is chosen so that regardless of the parity of χ , the relation $\tau(\chi)\tau(\bar{\chi}) = \chi(-1)N$ becomes $W(\chi)W(\bar{\chi}) = 1$, or

$$W(\bar{\chi}) = W(\chi)^{-1}.$$

12. DIRICHLET THETA FUNCTION TRANSFORMATION LAW

Recall that the theta function of a primitive Dirichlet character χ modulo N is

$$\theta(\chi, t) = \sum_{n \in \mathbb{Z}} n^\delta \chi(n) e^{-\pi n^2 t/N}, \quad t > 0.$$

Compute, using the identity $\bar{\chi}(n)\tau(\chi) = \tau_n(\chi)$ for the second equality,

$$\begin{aligned}\tau(\chi)\theta(\bar{\chi}, t) &= \sum_{n \in \mathbb{Z}} \bar{\chi}(n)\tau(\chi)n^\delta e^{-\pi n^2 t/N} = \sum_{n \in \mathbb{Z}} \tau_n(\chi)n^\delta e^{-\pi n^2 t/N} \\ &= \sum_{n \in \mathbb{Z}} \sum_{m=0}^{N-1} \chi(m)e^{2\pi inm/N} n^\delta e^{-\pi n^2 t/N} \\ &= \sum_{m=0}^{N-1} \chi(m) \sum_{n \in \mathbb{Z}} n^\delta e^{2\pi inm/N - \pi n^2 t/N}.\end{aligned}$$

Apply the relation from Poisson summation,

$$\sum_{n \in \mathbb{Z}} n^\delta e^{2\pi inx - \pi n^2 r} = i^\delta r^{-1/2 - \delta} \sum_{n \in \mathbb{Z}} (x+n)^\delta e^{-\pi(x+n)^2/r},$$

with $x = m/N$ and $r = t/N$,

$$\begin{aligned}
\tau(\chi) \theta(\bar{\chi}, t) &= i^\delta (N/t)^{1/2+\delta} \sum_{m=0}^{N-1} \chi(m) \sum_{n \in \mathbb{Z}} (m/N + n)^\delta e^{-\pi(m/N+n)^2 N/t} \\
&= i^\delta N^{1/2} t^{-1/2-\delta} \sum_{m=0}^{N-1} \chi(m) \sum_{n \in \mathbb{Z}} (m + nN)^\delta e^{-\pi(m+nN)^2 (1/t)/N} \\
&= i^\delta N^{1/2} t^{-1/2-\delta} \sum_{\ell \in \mathbb{Z}} \ell^\delta \chi(\ell) e^{-\pi \ell^2 (1/t)/N} \\
&= i^\delta N^{1/2} t^{-1/2-\delta} \theta(\chi, 1/t).
\end{aligned}$$

A slight rearrangement gives the modular transformation law,

$$\boxed{\theta(\chi, 1/t) = W(\chi) t^{1/2+\delta} \theta(\bar{\chi}, t), \quad t > 0.}$$

Because $\theta(\bar{\chi}, t)$ decreases rapidly as $t \rightarrow \infty$, the boxed identity shows that also $\theta(\chi, t)$ decreases rapidly as $t \rightarrow 0^+$. As a separate matter, for fixed large t the theta function series converges quickly but for fixed t near 0^+ it converges slowly.

13. ANALYTIC CONTINUATION AND FUNCTIONAL EQUATION

Let χ be a nontrivial primitive Dirichlet character. Recall that its Dirichlet L -function is

$$L(\chi, s) = \sum_{n \geq 1} \chi(n) n^{-s}, \quad \operatorname{Re}(s) > 1.$$

Let N be the conductor of χ . Recall that the integer δ is 0 or 1 depending whether χ is even or odd. Because χ is nontrivial, its conductor N is greater than 1, and so $\chi(0) = 0$. Therefore, for $s \in \mathbb{C}$ with $\operatorname{Re}(s) > 0$,

$$\begin{aligned}
\frac{1}{2} \int_{t=0}^{\infty} \theta(\chi, t) t^{(s+\delta)/2} \frac{dt}{t} &= \sum_{n \geq 1} n^\delta \chi(n) \int_{t=0}^{\infty} e^{-\pi n^2 t/N} t^{(s+\delta)/2} \frac{dt}{t} \\
&= \sum_{n \geq 1} n^\delta \chi(n) (\pi n^2/N)^{-(s+\delta)/2} \Gamma((s+\delta)/2) \\
&= (\pi/N)^{-(s+\delta)/2} \Gamma((s+\delta)/2) L(\chi, s).
\end{aligned}$$

That is, the completed Dirichlet L -function

$$\boxed{\Lambda(\chi, s) \stackrel{\text{def}}{=} (\pi/N)^{-(s+\delta)/2} \Gamma((s+\delta)/2) L(\chi, s), \quad \operatorname{Re}(s) > 1}$$

has an integral representation as the Mellin transform of the theta function,

$$\boxed{\Lambda(\chi, s) = \frac{1}{2} \int_{t=0}^{\infty} \theta(\chi, t) t^{(s+\delta)/2} \frac{dt}{t}, \quad \operatorname{Re}(s) > 1.}$$

Unlike earlier in this writeup, now the integral converges at both endpoints independently of the value of s . Thus the completed L -function $\Lambda(\chi, s)$ already has an analytic continuation to the full s -plane, and consequently so does $L(\chi, s)$. To obtain the functional equation of $\Lambda(\chi, s)$ as well, compute, using the modular

transformation law $\theta(\chi, 1/t) = W(\chi) t^{1/2+\delta} \theta(\bar{\chi}, t)$ for the third equality to follow, that the integral in the previous display is

$$\begin{aligned} \int_{t=0}^{\infty} \theta(\chi, t) t^{(s+\delta)/2} \frac{dt}{t} &= \int_{t=1}^{\infty} \theta(\chi, t) t^{(s+\delta)/2} \frac{dt}{t} + \int_{t=0}^1 \theta(\chi, t) t^{(s+\delta)/2} \frac{dt}{t} \\ &= \int_{t=1}^{\infty} (\theta(\chi, t) t^{(s+\delta)/2} + \theta(\chi, 1/t) t^{-(s+\delta)/2}) \frac{dt}{t} \\ &= \int_{t=1}^{\infty} (\theta(\chi, t) t^{(s+\delta)/2} + W(\chi) \theta(\bar{\chi}, t) t^{(1-s+\delta)/2}) \frac{dt}{t}. \end{aligned}$$

This last integral remains entire in s . Now the continuation of $\Lambda(\chi, s)$ is defined as a more symmetric integral than it was a moment ago,

$$\Lambda(\chi, s) = \frac{1}{2} \int_{t=1}^{\infty} (\theta(\chi, t) t^{s/2} + W(\chi) \theta(\bar{\chi}, t) t^{(1-s)/2}) t^{\delta/2} \frac{dt}{t}, \quad s \in \mathbb{C}.$$

Because $W(\bar{\chi}) = W(\chi)^{-1}$, replacing s by $1-s$ and χ by $\bar{\chi}$ in this last integral multiplies it by $W(\chi)^{-1}$,

$$\begin{aligned} \Lambda(\bar{\chi}, 1-s) &= \frac{1}{2} \int_{t=1}^{\infty} (\theta(\bar{\chi}, t) t^{(1-s)/2} + W(\bar{\chi}) \theta(\chi, t) t^{s/2}) t^{\delta/2} \frac{dt}{t} \\ &= W(\chi)^{-1} \frac{1}{2} \int_{t=1}^{\infty} (W(\chi) \theta(\bar{\chi}, t) t^{(1-s)/2} + \theta(\chi, t) t^{s/2}) t^{\delta/2} \frac{dt}{t}. \end{aligned}$$

Therefore, because the last integral is the boxed integral just above, we have the functional equation

$$W(\chi) \Lambda(\bar{\chi}, 1-s) = \Lambda(\chi, s), \quad s \in \mathbb{C}.$$

Similarly to section 7, the functional equation is also (now exchanging the roles of χ and $\bar{\chi}$)

$$L(\chi, 1-s) = \frac{2i^\delta}{\tau(\bar{\chi})} \left(\frac{2\pi}{N}\right)^{-s} \Gamma(s) \cos\left(\frac{\pi(s-\delta)}{2}\right) L(\bar{\chi}, s).$$

When χ is even, for $\text{Re}(s) > 1$ the right side vanishes only for $s = 3, 5, 7, \dots$, and so the only zeros of the extended $L(\chi, s)$ in the left half plane are simple zeros at $s = -2, -4, -6, \dots$. Still with χ even, the functional equation also shows that $L(\chi, s)$ has a zero at $s = 0$, and the nontrivial fact that Dirichlet L -functions don't vanish at $s = 1$ shows that the zero at $s = 0$ is simple. When χ is odd, for $\text{Re}(s) > 1$ the right side with $\bar{\chi}$ in place of χ vanishes only for $s = 2, 4, 6, \dots$, and so the only zeros of the extended $L(\chi, s)$ in the left half plane are simple zeros at $s = -1, -3, -5, \dots$, and the fact that Dirichlet L -functions don't vanish at $s = 1$ shows that $L(\chi, 0)$ is nonzero.

14. QUADRATIC ROOT NUMBERS

Let F be a quadratic number field. Its Dedekind zeta function,

$$\zeta_F(s) = \sum_{\mathfrak{a}} N\mathfrak{a}^{-s}, \quad \text{Re}(s) > 1,$$

has a completion $Z_F(s)$ that extends meromorphically to \mathbb{C} with simple poles at $s = 0, 1$ and satisfies the functional equation $Z_F(s) = Z_F(1-s)$. The quadratic number field F has an associated quadratic character $\chi = \chi_F$ whose conductor is the

absolute discriminant of F . The arithmetic of the quadratic field encodes as the identity $Z_F(s) = Z_{\mathbb{Q}}(s)\Lambda(\chi, s)$ where $Z_{\mathbb{Q}}$ is the completed Euler–Riemann zeta function. Noting that $\bar{\chi} = \chi$ because χ is quadratic, compute that

$$\begin{aligned} Z_F(1-s) &= Z_F(s) && \text{by the functional eqn for } Z_F \\ &= Z_{\mathbb{Q}}(s)\Lambda(\chi, s) && \text{factoring } Z_F \\ &= Z_{\mathbb{Q}}(1-s)W(\chi)\Lambda(\chi, 1-s) && \text{by the functional eqns for } Z_{\mathbb{Q}} \text{ and } \Lambda \\ &= W(\chi)Z_F(1-s) && \text{regathering } Z_F. \end{aligned}$$

Thus $W(\chi) = 1$ for the quadratic character χ . In particular, with $\chi(n) = (n/p)$ for an odd prime p , this result captures the value of the quadratic Gauss sum, $\tau(\chi) = p^{1/2}$ if $p \equiv 1 \pmod{4}$ and $\tau(\chi) = ip^{1/2}$ if $p \equiv 3 \pmod{4}$.

15. COMPLETED $L(\chi)$ AS A PRODUCT OF LOCAL INTEGRALS

On the real field unit group \mathbb{R}^{\times} , with the Gaussian function $g(t) = e^{-\pi t^2}$ and the character $t \mapsto |t|^s$ as before, consider also a character that indicates the parity of our Dirichlet character χ , recalling the constant δ that is 0 or 1 if χ is even or odd,

$$\chi_{\infty}(t) = |t|^{\delta}.$$

Again with μ the Haar measure of \mathbb{R}^{\times} , compute an integral similar to before but now also incorporating the conductor N of χ and its parity character χ_{∞} ,

$$\int_{\mathbb{R}^{\times}} g_{N^{-1/2}}(t)\chi_{\infty}(t)|t|^s \, d\mu(t) = 2 \int_0^{\infty} e^{-\pi t^2/N} t^{s+\delta} \frac{dt}{t} = \left(\frac{\pi}{N}\right)^{-\frac{s+\delta}{2}} \Gamma\left(\frac{s+\delta}{2}\right).$$

We recognize this as the factor that completes $L(\chi, s)$ to $\Lambda(\chi, s)$.

For any prime p , define a character of \mathbb{Q}_p^{\times} that describes our Dirichlet character at p ,

$$\chi_p(p^e \mathbb{Z}_p^{\times}) = \chi(p)^e, \quad e \in \mathbb{Z}.$$

With $g = 1_{\mathbb{Z}_p - \{0\}}$ and $|\cdot|$ and μ again the p -adic smooth function of rapid decay and absolute value and multiplicative Haar measure, now compute

$$\int_{\mathbb{Q}_p^{\times}} g(t)\chi_p(t)|t|^s \, d\mu(t) = \sum_{e \geq 0} (\chi(p)p^{-s})^e = (1 - \chi(p)p^{-s})^{-1}.$$

We recognize this as the p th Euler product factor of $L(\chi, s)$.

Again the completion $\Lambda(\chi)$ of $L(\chi)$ is the product of the local integrals, which now incorporate local aspects of χ . In describing χ by its local factors we are expressing it as the simplest nontrivial example of a *Hecke character*.