ON THE ZEROS OF EPSTEIN'S ZETA FUNCTION

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1. Introduction. Let $Q(x, y) = ax^2 + bxy + cy^2$ be a positive definite quadratic form with discriminant $d = b^2 - 4ac$. The Epstein zeta function associated with *Q* is given by

$$
\zeta(s, Q) = \frac{1}{2} \sum_{x, y} Q(x, y)^{-s} \quad (\sigma > 1), \tag{1}
$$

where Σ' means the sum is over all pairs (x, y) of integers not both zero, and as usual, $s = \sigma + it$. Except for a first order pole at $s = 1$, $\zeta(s, Q)$ can be continued throughout the complex plane and has a functional equation similar to that of the Riemann zeta function. If we put $Q_1(x, y) = x^2 + \frac{b}{a}xy + \frac{c}{a}y^2$, then we see that the zeros of $\zeta(s, Q)$ and $\zeta(s, Q_1)$ are identical. The discriminant of Q_1 , d/a^2 , will be important in discussing the zeros of $\zeta(s, Q)$. As in [1], we let

$$
k = \frac{\sqrt{|d|}}{2a}.
$$
 (2)

Potter and Titchmarsh [2] have shown that $\zeta(s, Q)$ has an infinity of zeros on the line $\sigma = \frac{1}{2}$. However, the analogue of the Riemann hypothesis is not always true for $\zeta(s, 0)$ since Bateman and Grosswald [1] have shown that $\zeta(s, 0)$ has a real zero between $\frac{1}{2}$ and 1 if $k > 7.0556$. In fact, in the case where a, b, c are integers, d is a fundamental discriminant, and the class number *h{d) >* 1, Davenport and Heilbronn [3] had previously shown that $\zeta(s, Q)$ has an infinity of zeros in the half plane $\sigma > 1$ arbitrarily close to the line $\sigma = 1$. We prove here two complements to these results.

THEOREM 1. *There exists a number K such that if* $k > K$ *then all the zeros of* $\zeta(s, Q)$ in the region $-1 < \sigma < 2, -2k \leq t \leq 2k$ are simple zeros; with the excep*tion of two real zeros between* 0 *and* 1, *all are on the line* $\sigma = \frac{1}{2}$.

THEOREM 2. Let $N(T, Q)$ denote the number of zeros of $\zeta(s, Q)$ in the region $-1 < \sigma < 2$, $0 \le t \le T$. If $k > K$ and $0 < T \le 2k$, then

$$
N(T, Q) = \frac{T}{\pi} \log \left(\frac{kT}{\pi e} \right) + O\{\log^{1/3} (T+3) [\log \log (T+3)]^{1/6} \}.
$$

The constant implied by " 0 " is independent of k .

Thus, for large k, the infinity of zeros of $\zeta(s, Q)$ off the line $\sigma = \frac{1}{2}$ found in certain cases by Davenport and Heilbronn are far removed from the σ axis; in any event, 4 the "first" $\frac{1}{\epsilon} k \log k + O(k)$ complex zeros of $\zeta(s, Q)$ are on the line $\sigma = \frac{1}{2}$.

2. *Notation and results from other sources.* We use the notation $f(t) \ll g(t)$ to mean that there is a positive constant c such that $f(t) \leq c g(t)$. All constants implied by the \ll and O notations are absolute constants independent of t, σ , and sufficiently large *k.* We make the convention that every equation or statement involving *k* should be interpreted as holding for sufficiently large *k* only.

[MATHEMATIKA 14 (1967), 47-55]

We will use the following three well-known estimates of the gamma function: for $t \ge 2$ and $-1 \le \sigma \le 2$,

$$
1 \ll \frac{|\Gamma(s)|}{t^{\sigma - 1/2} e^{-\pi t/2}} \ll 1,
$$
\n(3)

for $t \geq 2$ and $-1 \leq \sigma \leq 2$,

$$
\frac{\Gamma'(s)}{\Gamma(s)} = \log t + \frac{i\pi}{2} + O\left(\frac{1}{t}\right),\tag{4}
$$

for $t > 0$,

$$
\arg \Gamma(\frac{1}{2} + it) = t \log t - t + O(1). \tag{5}
$$

We will also use some refined estimates of $\zeta(s)$ coming from Vinogradoff's method [6, part V and p. 226; see also 4, sections 3.10, 3.11]: there is a positive constant *A* such that in the region

$$
\sigma \geq 1 - \frac{A}{\log^{2/3} t (\log \log t)^{1/3}}, \quad t \geq 3,
$$

 $\zeta(s)$ has no zeros and

$$
\left|\frac{\zeta'(s)}{\zeta(s)}\right| \ll \log^{2/3} t (\log \log t)^{1/3},\tag{6}
$$

$$
\left|\frac{1}{\zeta(s)}\right| \ll \log^{2/3} t(\log \log t). \tag{7}
$$

The functional equation [4] for $\zeta(s)$ is

$$
\zeta(s) = \pi^{s-1/2} \frac{\Gamma(\frac{1}{2}(1-s))}{\Gamma(\frac{1}{2}s)} \zeta(1-s). \tag{8}
$$

We see from [1] that we can write

$$
a^{s}\zeta(s, Q) = \zeta(2s) + k^{1-2s}\zeta(2s-1) - \frac{\Gamma(s-\frac{1}{2})\sqrt{\pi}}{\Gamma(s)} + h(s),
$$
\n(9)

where $h(s)$ is an entire function. If we put

$$
b(s) = \left(\frac{k}{\pi}\right)^s \Gamma(s),
$$

\n
$$
\alpha(s) = a^s \zeta(s, Q) b(s),
$$

\n
$$
f(s) = \zeta(2s) b(s),
$$

\n
$$
g(s) = h(s) b(s),
$$
\n(10)

then (9) can be written as

$$
\alpha(s) = f(s) + f(1 - s) + g(s). \tag{11}
$$

As shown in $[1]$, $g(s)$ is an entire function and

$$
g(s) = g(1-s) \tag{12}
$$

([1] works with the function $H(s) = k^{-\frac{1}{2}}g(s)$). As a result,

$$
\alpha(s) = \alpha(1-s), \tag{13}
$$

which is the functional equation for $\zeta(s, Q)$. Thus both $\alpha(s)$ and $g(s)$ are real valued on the line $\sigma = \frac{1}{2}$. Clearly log $f(s)$ is well defined in the region $\sigma \ge \frac{1}{2}$, $s \ne \frac{1}{2}$. We will have occasion to use $\arg f(s) = \text{Im} \log f(s)$; we use the branch of $\arg f(s)$ which is 0 for real $s > \frac{1}{2}$.

Various estimates of *g(s)* and *h{s)* are known. For *s* near 1, the estimate in [1] is the best that has yet appeared, but for s well removed from the σ -axis, the estimate of [5] is better: for $n \geq 1$ and $\sigma \geq \frac{1}{2}$,

$$
|h(s)| < 2\pi \left(\frac{2n}{2n-1}\right)^2 \left(\frac{2|s|+2n-1}{\pi k \sqrt{2}}\right)^{2n}.\tag{14}
$$

Only the special case $Q(x, y) = x^2 + xy + \frac{p+1}{4}y^2$ of discriminant $-p$ was considered in [5], but the proof is the same for $Q(x, y) = x^2 + \frac{b}{a}xy + \frac{c}{a}y^2$.

3. *Preliminary estimates and lemmas.* If in (14) we take

$$
n = \left[\frac{\log(10k)}{2\log\left(\frac{4\cdot4}{4\cdot1}\right)}\right] + 1,
$$

then we see that for $\sigma \ge \frac{1}{2}$ and $|s| < 2k + 3$,

$$
|h(s)| < 10 \left(\frac{4 \cdot 1 \, k}{4 \cdot 4 \, k}\right)^{\log(10 \, k) / \log\left(\frac{4 \cdot 4}{4 \cdot 1}\right)} \\
= \frac{1}{k} \,. \tag{15}
$$

For $\sigma \geq \sigma_1 = 1 + 1/\log k$,

$$
|\zeta(s)| \leq \sum_{n=1}^{\infty} n^{-\sigma_1}
$$

 $\leq \log k.$ (16)

From (3) and (8), we then get for $t \ge 2$,

$$
\left|\zeta\left(-\frac{1}{\log k}+it\right)\right| \ll (\log k) t^{\frac{1}{4}+(1/\log k)}.
$$

For $-1/\log k \leq \sigma \leq 1 + 1/\log k$,

$$
|\zeta(\sigma+2i)|\leq 1.
$$

As a result, the standard Phragmén-Lindelöf theorem for a strip says that for $-1/\log k \leq \sigma \leq 1 + 1/\log k$ and $t \geq 2$,

$$
|\zeta(s)| \ll (\log k) \, t^{\frac{1}{2} [1 + (1/\log k) - \sigma]}.\tag{17}
$$

LEMMA 1. If $\frac{1}{2} + (\log k)^{-7/8} \le \sigma \le 2$, $2 \le t \le 2k + 1$, or if $\sigma = 2$, $0 \leq t \leq 2$, then $|f(s)| > |f(1 - s)|$ and $|f(s) + f(1 - s)| > |g(s)|$.

Proof. From (7), if *s* is in the above region,

$$
|f(s)| = |b(s)| \cdot |\zeta(2s)|
$$

> 2|b(s)|(\log k)^{-7/8}. (18)

For $\frac{1}{2} + (\log k)^{-7/8} \le \sigma \le 1 + \frac{1}{2 \log k}$ and $2 \le t \le 2k + 1$, we see from (3) and For $\frac{1}{2} + (\log k)^{-7/8} \le \sigma \le 1 + \frac{1}{2 \log k}$ and 2 (17) that

$$
\left| \frac{f(1-s)}{b(s)} \right| = \left| \frac{(k/\pi)^{1-s} \Gamma(1-s) \zeta(2-2s)}{(k/\pi)^s \Gamma(s)} \right|
$$

\n
$$
\leq (k/\pi)^{1-2\sigma} t^{1-2\sigma} (\log k) (2t)^{\frac{1}{2}[1+(1/\log k)-(2-2\sigma)]}
$$

\n
$$
\leq (\log k) k^{1-2\sigma}
$$

\n
$$
\leq (\log k) \exp[-2(\log k)^{1/8}]
$$

\n
$$
< (\log k)^{-7/8}.
$$
 (19)

For $1 + \frac{1}{2 \log k} \le \sigma \le 2$ and $t \ge 2$, we see from (3), (9) and (16) that

$$
\frac{f(1-s)}{b(s)} = \left| k^{1-2s} \zeta(2s-1) \frac{\Gamma(s-\frac{1}{2})\sqrt{\pi}}{\Gamma(s)} \right|
$$

\n
$$
\ll k^{1-2\sigma} (\log k) t^{-\frac{1}{2}}
$$

\n
$$
< (\log k)^{-7/8}.
$$
 (20)

The result of (20) clearly holds for $\sigma = 2$, $0 \le t \le 2$ also. Lemma 1 now follows: from (15), (18), (19) and (20).

LEMMA 2. If
$$
\frac{1}{2} - (\log k)^{-7/8} \leq \sigma \leq \frac{1}{2} + (\log k)^{-7/8}
$$
 and $2k \leq t \leq 2k + 1$, then $\text{Re}\left\{\frac{f'(s)}{f(s)}\right\} > \log k$ and $\left|\text{Im}\left\{\frac{f'(s)}{f(s)}\right\}\right| < \log k$.

Proof.

$$
\frac{f'(s)}{f(s)} = \log\left(\frac{k}{\pi}\right) + \frac{\Gamma'(s)}{\Gamma(s)} + 2\frac{\zeta'(2s)}{\zeta(2s)}.
$$

Thus,

$$
\operatorname{Re}\left\{\frac{f'(s)}{f(s)}\right\} > \log\left(\frac{k}{\pi}\right) + \log t - (\log t)^{7/8} - O\left(\frac{1}{t}\right)
$$

$$
> \log k,
$$

and,

$$
\left|\operatorname{Im}\left\{\frac{f'(s)}{f(s)}\right\}\right| < \frac{\pi}{2} + (\log t)^{7/8} + O\left(\frac{1}{t}\right) < \log k.
$$

LEMMA 3. There exists a number T_0 such that $2k < T_0 < 2k + 1$ and

 $\arg f(\frac{1}{2} + iT_0) \equiv 0 \pmod{2\pi}$.

Thus f($\frac{1}{2}$ + *iT*₀*)* and *f*($\frac{1}{2}$ – *iT*₀*)* are positive real numbers.

Proof. For
$$
2k \le t \le 2k + 1
$$
,
\n
$$
\frac{d}{dt} \arg f(\frac{1}{2} + it) = \text{Re}\left\{\frac{f'(\frac{1}{2} + it)}{f(\frac{1}{2} + it)}\right\}
$$
\n
$$
> \log k
$$
\n
$$
> 2\pi.
$$

The lemma follows.

LEMMA 4. For
$$
\frac{1}{2} \le \sigma \le \frac{1}{2} + (\log k)^{-7/8}
$$
 and $t = T_0$,
 $|f(s)| \ge |f(1-s)|$ and $|f(s) + f(1-s)| > |g(s)|$

with equality in the first part if and only if $\sigma = \frac{1}{2}$.

Proof. For the interval *I*, given by $\frac{1}{2} - (\log k)^{-7/8} \le \sigma \le \frac{1}{2} + (\log k)^{-7/8}$, we have

$$
\frac{d}{d\sigma}\log|f(\sigma + iT_0)| = \text{Re}\left(\frac{f'(\sigma + iT_0)}{f(\sigma + iT_0)}\right)
$$

> logk.

Thus if σ_1 and σ_2 are in *I*, $\sigma_1 < \sigma_2$, then

$$
\left|\frac{f(\sigma_2 + iT_0)}{f(\sigma_1 + iT_0)}\right| > k^{\sigma_2 - \sigma_1}.\tag{21}
$$

In particular, $|f(\sigma + iT_0)|$ is strictly increasing on *I* and this gives the first part of Lemma 4. In order to derive the second part of the lemma, it is convenient to introduce the number

$$
\sigma_0 = \frac{1}{2} + \frac{\pi}{3 \log k} \tag{22}
$$

Then σ_0 is in *I*, and (21) therefore gives

$$
|f(\sigma_0 + iT_0)| > k^{\pi/(3 \log k)} |f(\frac{1}{2} + iT_0)|
$$

> 2 |f(\frac{1}{2} + iT_0)|. (23)

If $\sigma_0 \leq \sigma \leq \frac{1}{2} + (\log k)^{-7/8}$, then

$$
|f(\sigma + iT_0)| - |f(\frac{1}{2} + iT_0)| \ge |f(\sigma_0 + iT_0)| - |f(\frac{1}{2} + iT_0)|
$$

> $|f(\frac{1}{2} + iT_0)|$,

and hence

$$
|f(\sigma + iT_0)| - |f(\frac{1}{2} + iT_0)| > \frac{1}{2}|f(\sigma + iT_0)|.
$$

Therefore if $\sigma_0 \le \sigma \le \frac{1}{2} + (\log k)^{-7/8}$ and $t = T_0$, then

$$
|f(s) + f(1 - s)| \ge |f(s)| - |f(1 - s)|
$$

>
$$
|f(s)| - |f(\frac{1}{2} + iT_0)|
$$

>
$$
\frac{1}{2}|f(s)|.
$$
 (24)

 $\ddot{}$

We now derive the equivalent of equation (24) with σ in the interval $\frac{1}{2} \leq \sigma \leq \sigma_0$. If $1 - \sigma_0 \le \sigma_1 < \sigma_2 \le \sigma_0$ then, by Lemma 2,

$$
|\arg f(\sigma_2 + iT_0) - \arg f(\sigma_1 + iT_0)| = \left| \int_{\sigma_1}^{\sigma_2} \frac{d}{d\sigma} \arg f(\sigma + iT_0) d\sigma \right|
$$

$$
= \left| \int_{\sigma_1}^{\sigma_2} \text{Im} \left\{ \frac{f'(\sigma + iT_0)}{f(\sigma + iT_0)} \right\} d\sigma \right|
$$

$$
< (\sigma_2 - \sigma_1) \log k.
$$

Thus if $\frac{1}{2} \leq \sigma \leq \sigma_0$,

$$
|\arg f(\sigma + iT_0) - \arg f(\frac{1}{2} + iT_0)| < (\sigma_0 - \frac{1}{2}) \log k
$$
\n
$$
= \frac{\pi}{3}.
$$

Therefore, by the definition of T_0 in Lemma 3, if $\frac{1}{2} \leq \sigma \leq \sigma_0$ and $t = T_0$, then $\cos \{ \arg f(s) \} > \frac{1}{2}.$ (25)

In like manner, if $\frac{1}{2} \le \sigma \le \sigma_0$ and $t = T_0$,

$$
\cos\{\arg f(1-s)\} > \frac{1}{2}.\tag{26}
$$

Thus if $\frac{1}{2} \leq \sigma \leq \sigma_0$ and $t = T_0$ then

$$
|f(s) + f(1 - s)| \ge |Re\{f(s) + f(1 - s)\}|
$$

= |f(s)| cos {argf(s)} + |f(1 - s)| cos {argf(1 - s)}
> $\frac{1}{2}|f(s)|$. (27)

Combining (24) and (27), if $\frac{1}{2} \le \sigma \le \frac{1}{2} + (\log k)^{-7/8}$ and $t = T_0$, then

$$
|f(s) + f(1 - s)| > \frac{1}{2}|f(s)|
$$

= $\frac{1}{2}|b(s)| \cdot |\zeta(2s)|$
> $\frac{1}{2}|b(s)|(\log T)^{-1}$
> $|b(s)| \cdot \frac{1}{k}$
> $|g(s)|$,

which is the second assertion of Lemma 4.

LEMMA 5. Let R be the interior of the rectangle with corners at $2 \pm iT_0$, $-1 \pm i T_0$. Then the number of zeros of $\alpha(s)$ (multiple zeros counted according to *their multiplicity) in R is exactly*

$$
2+\frac{2}{\pi}\arg f(\tfrac{1}{2}+iT_0).
$$

Proof. Let C_1 be the boundary of R. Since C_1 is symmetric about the lines $\sigma = \frac{1}{2}$ and $t = 0$, we see from (12) and Lemmas 1 and 4 that for *s* on C_1

$$
|f(s) + f(1 - s)| > |g(s)|.
$$

Let N and P denote the number of zeros and poles of $\alpha(s)$ in R. Rouché's theorem then tells us that

$$
N - P = \frac{1}{2\pi} \Delta_{C_1} \arg \{ f(s) + f(1 - s) \},\
$$

the change in argument being calculated once around C_1 in the positive direction. If we let *C* be the curve consisting of the two straight line segments from 2 to $2 + iT_0$ and then to $\frac{1}{2} + iT_0$, then due to symmetry

$$
N - P = \frac{2}{\pi} \Delta_C \arg \{ f(s) + f(1 - s) \},\tag{28}
$$

the change in argument now being calculated on C. But now, $|f(1-s)| < |f(s)|$ on C except at $\frac{1}{2} + iT_0$, and

$$
\arg\{f(2) + f(-1)\} \equiv \arg f(2) \equiv 0 \pmod{2\pi},
$$

$$
\arg\{f(\frac{1}{2}+iT_0)+f(\frac{1}{2}-iT_0)\}\equiv\arg f(\frac{1}{2}+iT_0)\equiv 0\ (\text{mod}\ 2\pi).
$$

Therefore,

$$
N - P = \frac{2}{\pi} \Delta_C \arg f(s)
$$

$$
= \frac{2}{\pi} \arg f(\frac{1}{2} + iT_0)
$$

n Since $\alpha(s)$ has first order poles at 0 and 1 and is analytic elsewhere,

$$
N = 2 + \frac{2}{\pi} \arg f(\frac{1}{2} + iT_0).
$$

4. *Proof of Theorem* 1. The zeros of *((s, Q)* in *R* are exactly the same as the zeros of $\alpha(s)$ in *R*. We now locate these zeros. As $\varepsilon \to 0$,

$$
f(\frac{1}{2} + \varepsilon) = \sqrt{\frac{k}{\pi}} \left[1 + O(|\varepsilon| \log k) \right] \left[\sqrt{\pi} + O(|\varepsilon|) \right] \left[\frac{1}{2\varepsilon} + O(1) \right]
$$

$$
= \frac{\sqrt{k}}{2\varepsilon} + O(\sqrt{k} \cdot \log k).
$$

Thus

$$
\arg f(\frac{1}{2}+i0^+) = -\frac{\pi}{2}.
$$

Let
$$
n = \frac{1}{\pi} \arg f(\frac{1}{2} + i T_0),
$$
 (29)

so that *n* is an integer. Since $\arg f(\frac{1}{2} + it)$ is continuous for $t > 0$, there exist numbers $0 < t_0 < t_1 < ... < t_n = T_0$ such that

$$
\arg f(\frac{1}{2} + it_j) = \pi j \quad (j = 0, 1, ..., n). \tag{30}
$$

Thus $f(\frac{1}{2} + it_j)$ is real valued, positive if j is even, negative if j is odd. From (7) we see that for $\frac{3}{2} \leq t \leq T_0$,

$$
|\zeta(1+2it)|>\frac{1}{k},
$$

and this is clearly true for $0 < t < \frac{3}{2}$. Thus for $0 < t \leq T_0$,

$$
|f(\frac{1}{2} + it)| = |b(\frac{1}{2} + it)| \cdot |\zeta(1 + 2it)|
$$

> $|g(\frac{1}{2} + it)|$.

Hence, if we put

$$
s_j = \frac{1}{2} + it_j \quad (j = 0, 1, ..., n), \tag{31}
$$

then we see from

$$
\alpha(s_j) = f(s_j) + f(1 - s_j) + g(s_j)
$$

$$
= 2f(s_j) + g(s_j)
$$

that $\alpha(s_j)$ and $f(s_j)$ have the same sign. Therefore the sequence of numbers $\alpha(s_0)$, $\alpha(s_1), \ldots, \alpha(s_n)$ alternates in sign. Thus there exist *n* distinct points $\frac{1}{2} + iv_j$ with

 $0 < t_{j-1} < v_j < t_j$

and

$$
\alpha(\frac{1}{2} + iv_j) = 0 \quad (j = 1, 2, ..., n).
$$

The *n* points $\frac{1}{2} - iv_j$ are also zeros of $\alpha(s)$. Bateman and Grosswald [1] have shown that $\alpha(s)$ has a real zero between $\frac{1}{2}$ and 1 and hence also one between 0 and $\frac{1}{2}$. Thus we have found $2n + 2$ distinct points in *R* where $\alpha(s) = 0$. But Lemma 5 tells us that there are exactly $2n + 2$ zeros of $\alpha(s)$ in R (multiplicity included). This concludes the proof of Theorem 1.

5. *Proof of Theorem* 2. Now we see that v_j is unique; that is, there is exactly one zero of $\alpha(s)$ between s_{j-1} and s_j . As a result, if $t_{j-1} < t \leq t_j$ ($j = 0, 1, ..., n$ and we let $t_{-1} = 0$, then

$$
|\arg f(\tfrac{1}{2} + it_j) - \arg f(\tfrac{1}{2} + it)| < 2\pi.
$$

Therefore, if $0 < T \leq T_0$, then

$$
N(T, Q) = \frac{1}{\pi} \arg f(\frac{1}{2} + iT) + O(1). \tag{32}
$$

But,
\n
$$
\arg f(\frac{1}{2} + iT) = \arg \left(\frac{k}{\pi}\right)^{\frac{1}{2} + iT} + \arg \Gamma(\frac{1}{2} + iT) + \arg \zeta(1 + 2iT)
$$
\n
$$
= T \log \left(\frac{k}{\pi}\right) + T \log T - T + \arg \zeta(1 + 2iT) + O(1). \quad (33)
$$

It remains to estimate $\arg \zeta(1 + 2iT)$.

For convenience, when $T > 3$ put

$$
\delta = \log^{-1/3} T (\log \log T)^{-1/6}.
$$

Now, for $T > 3$, we have

$$
|\arg \zeta (1 + \delta + 2iT)| \leq |\log \zeta (1 + \delta + 2iT)|
$$

$$
\leq \sum_{p} \sum_{m=1}^{\infty} \frac{1}{m} p^{-m(1+\delta)}
$$

$$
\leq 1/\delta,
$$

and by (6) we also have

$$
|\arg \zeta(1+\delta+2iT)-\arg \zeta(1+2iT)|\ll 1/\delta.
$$

For $0 < T \le 3$, we clearly have

$$
|\arg \zeta(1+2iT)| \ll 1.
$$

Thus for all *T > 0,*

$$
\arg \zeta (1 + 2iT) = O\{\log^{1/3} (T+3) [\log \log (T+3)]^{1/6}\}.
$$
 (34)

Theorem 2 follows from (32), (33) and (34).

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