

New Computations Concerning the Cohen-Lenstra Heuristics

Herman te Riele and Hugh Williams

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Let $h(p)$ denote the class number of the real quadratic field formed by adjoining \sqrt{p} , where p is a prime, to the rationals. The Cohen-Lenstra heuristics suggest that the probability that $h(p) = k$ (a given odd positive integer) is given by $Cw(k)/k$, where C is an explicit constant and $w(k)$ is an explicit arithmetic function. For example, we expect that about 75.45% of the values of $h(p)$ are 1, 12.57% are 3, and 3.77% are 5. Furthermore, a conjecture of Hooley states that

$$H(x) := \sum_{p \leq x} h(p) \sim x/8,$$

where the sum is taken over all primes congruent to 1 modulo 4. In this paper, we develop some fast techniques for evaluating $h(p)$ where p is not very large and provide some computational results in support of the Cohen-Lenstra heuristics. We do this by computing $h(p)$ for all $p \equiv 1 \pmod{4}$ and $p < 2 \cdot 10^{11}$. We also tabulate $H(x)$ up to $2 \cdot 10^{11}$.

1. INTRODUCTION

Let D denote a square-free positive integer and let $\mathcal{K} = \mathbb{Q}(\sqrt{D})$ be the quadratic field formed by adjoining \sqrt{D} to the rationals \mathbb{Q} . Set

$$r = \begin{cases} 2 & \text{when } D \equiv 1 \pmod{4}, \\ 1 & \text{otherwise.} \end{cases}$$

If $\omega = (r - 1 + \sqrt{D})/r$, then $\mathcal{O} = \mathbb{Z} + \omega\mathbb{Z}$ is the maximal order (the ring of algebraic integers) of \mathcal{K} . Let ϵ (> 1) be the fundamental unit of \mathcal{K} , $R = \log \epsilon$ be the regulator of \mathcal{K} , and $h = h(D)$ be the class number of \mathcal{K} .

In [Cohen and Lenstra 84a, Cohen and Lenstra 84b], Cohen and Lenstra developed some heuristics to explain the distribution of the odd part of the class groups of quadratic fields. In particular, they gave reasons to expect that the probability that $h^*(D)$ (the odd part of $h(D)$) is equal to a given positive odd integer k is given by

$$\text{Prob}(h^*(D) = k) = Cw(k)/k := P(k), \quad (1-1)$$

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where $C = .754458173\dots$ and

$$w(k)^{-1} = \prod_{p^\alpha \parallel k} p^\alpha (1 - p^{-1}) (1 - p^{-2}) \dots (1 - p^{-\alpha}).$$

If D is a prime, then $h^*(D) = h(D)$. Also, it is not unreasonable to expect that quadratic fields with prime values of D behave like any others with respect to the odd part of the class group; thus, we would expect that

$$\text{Prob}(h(p) = 1) = C,$$

when p is a prime. This suggests that for at least 3/4 of all primes we have $h(p) = 1$; it must, however, be stressed here that it is not even known that there exists an infinitude of values of D for which $h(D) = 1$. Nevertheless, computations performed by Stephens and Williams [Stephens and Williams 88]; Jacobson, Lukes, and Williams [Jacobson et al. 95]; and Jacobson [Jacobson 98] provide much numerical evidence in support of the Cohen-Lenstra heuristics.

We also mention that with some additional assumptions, Cohen was able to show (assuming the Cohen-Lenstra heuristics) that

$$H(x) := \sum_{\substack{p \leq x \\ p \equiv 1 \pmod{4}}} h(p) \sim x/8,$$

a result conjectured by Hooley [Hooley 84]. This conjecture and (1-1) were tested for all primes $p \equiv 1 \pmod{4}$ up to 10^9 in [Jacobson et al. 95]. It was found that $H(x)/x$ seemed to be increasing at such a slow rate that it is hard to predict whether it would reach 1/8, but that for small values of k , (1-1) gives a quite accurate prediction of what actually happens for $p < 10^9$.

In van der Poorten, te Riele, and Williams [van der Poorten et al. 01], some very fast methods were developed for computing in real quadratic fields when D is not very large. These were used to verify the Ankeny-Artin-Chowla conjecture for all primes $p (\equiv 1 \pmod{4})$ such that $p < 10^{11}$. In this paper, we will show how these ideas can be extended to the problem of testing the Cohen-Lenstra heuristics for the same (and also larger) values of p and for testing Hooley's conjecture for these p . As there are 4 003 548 492 primes congruent to 1 modulo 4 up to $2 \cdot 10^{11}$, it was necessary to develop very fast methods to compute $h(p)$ for p in this range.

We make use of the analytic class number formula

$$2h(p)R = \sqrt{p} L(1, \chi_p), \tag{1-2}$$

where $L(1, \chi_p)$ is the Dirichlet L -function of the character χ_p evaluated at $s = 1$. We will let $R_2 = \log_2 \epsilon =$

$(\log_2 e)R$. We will also assume the truth of the Extended Riemann Hypothesis (ERH) for $L(s, \chi_p)$. Broadly speaking, our algorithm to compute $h(p)$ consists of two main components:

1. Computation of R_2 .

- (a) Find an integral multiple M of R_2 . This step is fully described in [van der Poorten et al. 01].
- (b) Compute R_2 from M or prove that $R_2 > M/P$, where P is some small prime (e.g. 11 or 13).
- (c) Given that $R_2 > M/P$, find R_2 .

2. Find $h = h(p)$.

- (a) We use the approximation $S(T, p)$ (for suitable T) of $\log L(1, \chi_p)$, computed in Step 1(a). This satisfies, on the assumption of the ERH,

$$|\log L(1, \chi_p) - S(T, p)| < A(T, p),$$

where $A(T, p)$ is an error bound discussed in Section 3.

Let $\text{Ne}(x)$ denote the nearest odd integer to x , and put

$$\tilde{h} := \text{Ne} \left(\frac{\sqrt{p} \exp(S(T, p))}{R_2 \log 4} \right) \in \mathbb{N},$$

$$\delta := \frac{\sqrt{p} \exp(S(T, p))}{R_2 \log 4} - \tilde{h} \quad (|\delta| < 1).$$

- (b) Try to compute h from \tilde{h} .

Put $h_1 = 1$.

Suppose $h_1 \geq |g - \delta|/2$, where $g \in \mathbb{Z}$.

If $\tilde{h} + g = h_1$ and

$$\exp(A(T, p)) < 3h_1/(\tilde{h} + \delta), \tag{1-3}$$

then $h = \tilde{h} + g$.

If $\tilde{h} + g \geq 3h_1$ and

$$\exp(A(T, p)) < \min \left\{ \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}, \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1} \right\}, \tag{1-4}$$

then $h = \tilde{h} + g$.

If this procedure does not find h , then find some $h_1 > 1$ such that $h_1 | \tilde{h} + g$, $h_1 | h$, $h_1 > |g - \delta|/2$ and try again.

- (c) If h cannot be found in Step 2(b), treat it as a separate case, to be dealt with later.

Evidently, this method is a variant of Lenstra's [Lenstra 82] algorithm for evaluating R and $h(p)$. This is of computational complexity $\mathcal{O}(p^{1/5+\epsilon})$ under the ERH. What we need to do here is make the process execute as rapidly as possible for values of p that are relatively small, in our case $p < 2 \cdot 10^{11}$.

2. DETERMINATION OF THE REGULATOR R_2 FROM AN INTEGRAL MULTIPLE M OF R_2

For the sake of brevity, we will make use of the same notation as that used in [van der Poorten et al. 01], as well as several results used there. If \mathfrak{b} is any reduced principal integral ideal of \mathcal{O} , we let

$$\mathfrak{b}_1 (= \mathfrak{b}), \mathfrak{b}_2, \mathfrak{b}_3, \dots, \mathfrak{b}_m, \dots \tag{2-1}$$

be the sequence of reduced principal ideals produced by applying the continued fraction algorithm to \mathfrak{b} (see [van der Poorten et al. 01]). We let $\Psi_1 = 1$ and

$$\Psi_j = \prod_{i=1}^{j-1} \psi_i$$

have the same meaning as that assumed in [van der Poorten et al. 01] and we have $\mathfrak{b}_j = (\Psi_j)\mathfrak{b}_1$. We define $\zeta_j = \zeta(\mathfrak{b}_j)$, $\rho_j = \rho(\mathfrak{b}_j)$ by

$$2^{\zeta_j-1} < \Psi_j < 2^{\zeta_j}, \rho_j = 2^{\zeta_j}/\Psi_j.$$

Lemma 2.1. $1 < \rho_j < 2$.

Proof: Follows easily from the definition of ρ_j . □

Lemma 2.2. *If $\mathfrak{b}_1 = (1)$ and m is the least positive integer (> 1) such that $\mathfrak{b}_m = (1)$, then*

$$R_2 = \zeta_m - \log_2 \rho_m.$$

Proof: Follows from the fact that $\Psi_m = \epsilon$ and the definition of ζ_j and ρ_j . □

If $x \geq 0$ is a real number, we define $\mathfrak{b}(x)$ to be that ideal in the sequence (2-1) such that $\Psi_j \leq 2^x$ and $\Psi_{j+1} > 2^x$. We also define $\rho(x) = 2^x/\Psi_j$.

Let $B = \lceil \log_2(2\sqrt{D}/r) \rceil$ and recall from [van der Poorten et al. 01] that $\log_2(L(\mathfrak{b}_i)\psi_i) < B$ and $\log_2(L(\mathfrak{b}(x))\rho(x)) < B$. Here, $L(\mathfrak{b})$ denotes the least positive rational integer in the ideal \mathfrak{b} . If \mathfrak{b} is a reduced ideal, then $L(\mathfrak{b}) = N(\mathfrak{b})$, where $N(\mathfrak{b})$ is the norm of \mathfrak{b} .

Let t be any positive real such that $t \geq 2B + 1$ and let \mathcal{L} be the list of ideals

$$\{\mathfrak{b}_1, \mathfrak{b}_2, \dots, \mathfrak{b}_{m-1}\}, \tag{2-2}$$

where m is the least positive integer such that $\zeta_m > t + B + 1$. Assume that \mathfrak{b}_1 is the only ideal \mathfrak{b} in \mathcal{L} such that $\mathfrak{b} = (1)$. Under these circumstances, we have the following lemma and theorems.

Lemma 2.3. $\epsilon > 2^t$.

Proof: We know that $\epsilon = \Psi_r$ and $r \geq m$, so that $\epsilon = \Psi_r \geq \Psi_m > 2^{\zeta_m-1} > 2^{t+B}$. □

Theorem 2.4. *There must exist some $i \geq 1$ such that either $\mathfrak{b}(2it) \in \mathcal{L}$ or $\bar{\mathfrak{b}}(2it) \in \mathcal{L}$.*

Proof: Since $\epsilon > 2^t$, there is a unique $n \in \mathbb{Z}$ such that $n \geq 2$ and

$$2^{(n-1)t} < \epsilon < 2^{nt}.$$

If $2|n$, put $i = n/2$ and $\mathfrak{b}_k = \mathfrak{b}(nt) = \mathfrak{b}(2it)$. Here, we may assume that $\mathfrak{b}_k = (\Psi_k)$ where $\Psi_k \leq 2^{nt}$, $\Psi_{k+1} > 2^{nt}$. It follows that since $\epsilon = \Psi_r$ and $\Psi_r < 2^{nt}$, we must have $r \leq k$; hence, $\epsilon \leq \Psi_r$. If we consider $\theta = \Psi_k \epsilon^{-1}$, we have $\theta \geq 1$ and

$$\theta < 2^{-(n-1)t} 2^{nt} = 2^t.$$

Since \mathfrak{b}_k is a reduced ideal, so is $(\theta) (= \mathfrak{b}_k)$. Hence, $(\theta) = \mathfrak{b}_j$ and $\mathfrak{b}_j = (\Psi_j)$, where

$$1 \leq \Psi_j < 2^t \Rightarrow 2^{\zeta_j-1} < 2^t \Rightarrow \zeta_j < t + 1 \Rightarrow \mathfrak{b}_j \in \mathcal{L}.$$

If $2 \nmid n$, put $i = (n-1)/2$ and $\mathfrak{b}_k = \mathfrak{b}(2it)$. Now consider $\theta = \epsilon/|\bar{\Psi}_k|$. We know that $\Psi_k|\bar{\Psi}_k| = L(\mathfrak{b}(2it)) := L_k \in \mathbb{Z}^+$. Hence,

$$\theta = \epsilon L_k / \Psi_k > \frac{2^{(n-1)t} L_k}{2^{2it}} = L_k > 1.$$

Also,

$$\theta < \frac{2^{nt} L_k}{2^{2it}} \psi_k < 2^t (2\sqrt{D}/r), \quad (L_k \psi_k < 2\sqrt{D}/r).$$

Now $(\theta) = \bar{\mathfrak{b}}_k$ is reduced; thus, $(\theta) = \mathfrak{b}_j = (\Psi_j)$ and $1 < \Psi_j < 2^t (2\sqrt{D}/r)$. Also,

$$2^{\zeta_j-1} < \Psi_j \Rightarrow \zeta_j - 1 < t + B \Rightarrow \zeta_j < t + B + 1 \Rightarrow \mathfrak{b}_j \in \mathcal{L}. \tag{□}$$

Theorem 2.5. *Let i be the least integer (≥ 1) such that either $\mathfrak{b}(2it) \in \mathcal{L}$ or $\bar{\mathfrak{b}}(2it) \in \mathcal{L}$.*

If $\mathfrak{b}(2it) \in \mathcal{L}$ and $\mathfrak{b}(2it) = \mathfrak{b}_j$, then

$$R_2 = 2it - \zeta_j - \log_2(\rho(2it)/\rho_j).$$

If $\bar{\mathfrak{b}}(2it) \in \mathcal{L}$ and $\bar{\mathfrak{b}}(2it) = \mathfrak{b}_j$, then

$$R_2 = 2it + \zeta_j - \log_2(\rho(2it)\rho_j L(\mathfrak{b}(2it))).$$

Proof: As before, define n (≥ 2) by

$$2^{(n-1)t} < \epsilon < 2^{nt}.$$

We use the same notation as in Theorem 2.4. Put

$$i' = \begin{cases} n/2 & \text{if } 2|n \\ (n-1)/2 & \text{if } 2 \nmid n. \end{cases}$$

We know that either $\mathfrak{b}(2i't)$ or $\bar{\mathfrak{b}}(2i't) \in \mathcal{L}$ by Theorem 2.4. Hence, $i \leq i'$. If $i = i'$, then $\epsilon = \Psi_k/\Psi_j$ when $\mathfrak{b}(2i't) = \mathfrak{b}_j \in \mathcal{L}$, or $\epsilon = \Psi_k\Psi_j/L_k$ when $\bar{\mathfrak{b}}(2i't) = \mathfrak{b}_j \in \mathcal{L}$. Thus, we may assume that $i \leq i' - 1 \Rightarrow n - 1 \geq 2i$.

If $\mathfrak{b}(2it) \in \mathcal{L}$, then $\eta = \Psi_k/\Psi_j \leq 2^{2it}$ is a unit and

$$\begin{aligned} \eta &= \frac{\Psi_k}{\Psi_j} > \frac{2^{2it}}{\psi_k\Psi_j} > 2^{2it-B-\zeta_j} \\ &\geq 2^{2t-B-\zeta_j} > 2^{2t-B-(t+B+1)} = 2^{t-2B-1} \geq 1. \end{aligned}$$

Thus, $\eta = \epsilon^l$ ($l \geq 1$). If $l = 1$, we are done. If $l > 1$, then $\eta \geq \epsilon^2$ and

$$2^{2it} \geq 2^{2(n-1)t} \geq 2^{4it}, \text{ which is a contradiction.}$$

If $\bar{\mathfrak{b}}(2it) \in \mathcal{L}$, then $\eta = \Psi_k\Psi_j/L_k$ is a unit and

$$\eta = \Psi_k\Psi_j/L_k > \Psi_j 2^{2it}/L_k \psi_k > 2^{2it-B} > 1.$$

Again, we have $\eta = \epsilon^l$ ($l \geq 1$). If $l > 1$, then $\eta \geq \epsilon^2$ and

$$\Psi_j 2^{2it} \geq \eta \geq 2^{2(n-1)t} \geq 2^{4it}.$$

Since $\Psi_j < 2^{\zeta_j} < 2^{t+B+1}$, we get $t \leq B + 1$, a contradiction. Thus, in the first case, we get

$$\begin{aligned} \epsilon &= \Psi_k/\Psi_j = 2^{2it} \frac{1}{\rho(2it)} \Big/ 2^{\zeta_j} \frac{1}{\rho_j} \\ &\Rightarrow R_2 = 2it - \zeta_j - \log_2(\rho(2it)/\rho_j). \end{aligned}$$

In the second case, we get

$$\epsilon = \Psi_k\Psi_j/L_k \Rightarrow R_2 = 2it + \zeta_j - \log_2(\rho(2it)\rho_j L(\mathfrak{b}(2it))).$$

□

The following corollary to Theorem 2.5 will be useful in a subsequent section.

Corollary 2.6. *If n, i, i' are defined as in the theorem, then $i = i'$ when $2 \nmid n$, and $i = i'$ or $i' - 1$ if $2|n$.*

Proof:

Case 1. ($2|n$.) In this case, we have $n = 2i'$ and $\epsilon \geq 2^{(2i'-1)t}$. Now if $\epsilon = \Psi_k/\Psi_j$, we get

$$\epsilon \leq \Psi_k \leq 2^{2it}.$$

It follows that $2it \geq (2i' - 1)t$; hence,

$$2i \geq 2i' - 1 \Rightarrow i \geq i' \Rightarrow i = i';$$

recall that $i \leq i'$. If $\epsilon = \Psi_k\Psi_j/L_k$, then

$$\epsilon < 2^{2it+t+B+1}.$$

We get

$$\begin{aligned} \text{and } (2i' - 1)t &< (2i + 1)t + B + 1 \\ 2i' - 1 &< 2i + 1 + \frac{B + 1}{t} < 2i + 2. \end{aligned}$$

Thus,

$$2i' - 1 \leq 2i + 1$$

and

$$i' \leq i + 1 \Rightarrow i = i' \text{ or } i' - 1.$$

Case 2. ($2 \nmid n$.) In this case, we have $n = 2i' + 1$ and $\epsilon > 2^{2i't}$. If $\epsilon = \Psi_k\Psi_j/L_k$, then

$$2it + t + B + 1 > 2i't$$

and

$$2i + 2 > 2i' \Rightarrow i + 1 > i' \Rightarrow i \geq i' \Rightarrow i = i'.$$

If $\epsilon = \Psi_k/\Psi_j$, then

$$2^{2it} > \epsilon \geq 2^{2i't} \Rightarrow i \geq i' \Rightarrow i = i'. \quad \square$$

We can now make use of the following algorithms to find R_2 , given an integral multiple M of R_2 .

- (1) Select a prime P such that $P^2B < M$. In our computations, we used $P = 11$.
- (2) Put $K = M/P$, $t = fc$ (see [van der Poorten et al. 01, page 1325]).

Algorithm 2.7. (Compute R_2 or prove that $R_2 > K$.)

- (1) Compute the list \mathcal{L} (2-2). If $\mathfrak{b}_j = (1)$ for $\mathfrak{b}_j \in \mathcal{L}$, compute $R_2 = \zeta_j - \log_2 \rho_j$ and terminate.

- (2) For $i = 1, 2, \dots, \lceil (K + 2B + 1)/2t \rceil$, compute $\mathfrak{b}(2it)$.
 If $\mathfrak{b}(2it) = \mathfrak{b}_j \in \mathcal{L}$, then $R_2 = 2it - \zeta_j - \log_2(\rho(2it)/\rho_j)$ and terminate.
 If $\overline{\mathfrak{b}}(2it) = \mathfrak{b}_j \in \mathcal{L}$, then $R_2 = 2it + \zeta_j - \log_2(\rho(2it)\rho_j L(\mathfrak{b}(2it)))$ and terminate.
 End for
 $R_2 > K$.

Proof (of correctness): Clearly, when R_2 is computed, it is correct by Lemma 2.2 and Theorem 2.5. Suppose R_2 is not computed by the algorithm; we know that for some i , we must have either

$$R_2 = 2it - \zeta_j - \log_2(\rho(2it)/\rho_j)$$

or

$$R_2 = 2it + \zeta_j - \log_2(\rho(2it)\rho_j L(\mathfrak{b}(2it)))$$

and $i > \lceil (K + 2B + 1)/2t \rceil$. In the first case, we have

$$R_2 > \left(\frac{K + 2B + 1}{2t} \right) 2t + 2t - (t + B + 1) - B > K.$$

In the second,

$$R_2 > 2t \left(\frac{K + 2B + 1}{2t} \right) - B + 1 > K. \quad \square$$

We let $\{p_1 (= 3), p_2, p_3, \dots, p_j\}$ be the ordered set of all primes $< P$. Then $p_{j+1} = P$. We can now use the following algorithm to compute R_2 when Algorithm 2.7 fails to do so.

Algorithm 2.8. (Given that $R_2 > K$, find R_2 .)

(1) $\mathfrak{b}_1 = (1), i \leftarrow 1, M' \leftarrow M$.

- (2) while $i \leq j$
 compute $\mathfrak{b}(M'/p_i)$
 if $\mathfrak{b}(M'/p_i) = \mathfrak{b}_1$
 $M' \leftarrow M'/p_i$
 else
 $i \leftarrow i + 1$
 end if
 end while
 $R_2 = M'$.

Proof (of correctness): We first note that if M' is an integral multiple of R_2 , say $M' = sR_2$, and $\mathfrak{b}(M'/p) = \mathfrak{b}_1$ for some prime $p < P$, then $\mathfrak{b}_k = (\Psi_k) = \mathfrak{b}(M'/p)$, where $\Psi_k = \epsilon^t$ ($t \geq 0$), $\epsilon^t \geq 2^{M'/p}$ and $\epsilon^t < (2\sqrt{D}/r)2^{M'/p}$. It follows that $\epsilon^{pt} \geq 2^{M'} = \epsilon^s$ and $pt \geq s$. Furthermore,

since $\epsilon^{pt} < (2\sqrt{D}/r)^p \epsilon^s$, we get $(2\sqrt{D}/r)^p > \epsilon^{pt-s}$. If $pt - s \geq 1$, then $pB > R_2$ and $PB > K = M/P$, a contradiction. Thus, we must have $tp = s$, which means that M'/p is an integral multiple of R_2 .

We also note that at the end of the algorithm, we have $M' = sR_2, s \in \mathbb{Z}$ and $p_i \nmid s$ for all $i \leq j$. Then, $M' = R_2$ or $s \geq p_{j+1} = P$. Now,

$$M \geq M' = sR_2 \Rightarrow R_2 \leq M/P = K,$$

a contradiction. Thus, $R_2 = M'$. □

3. A MODIFICATION OF BACH'S RESULT

In [Bach 95], Bach provided (under the ERH) explicit constants A, B such that if

$$A'(T, p) = (A \log p + B)/(\sqrt{T} \log T), \quad (3-1)$$

then

$$\left| \log L(1, \chi_p) - \sum_{i=0}^{T-1} a_i \log B(T + i) \right| < A'(T, p),$$

where $a_i = (x + i) \log(x + i)/S(x)$, $S(x) = \sum_{i=0}^{x-1} (x + i) \log(x + i)$, and $B(x) = \prod_{q < x} (1 - \chi_p(q)/q)^{-1}$. This allows us to get an estimate for $L(1, \chi_p)$ which is very useful for determining $h(p)$ once R_2 has been computed. Since most of the values of $h(p)$ tend to be small, we found it useful to try to improve Bach's results. Our improvement is only a very slight one, but it proved to be very effective for determining $h(p)$ for many values of p . As the technique of deriving this improvement is analogous to the treatment given by Jacobson and Williams [Jacobson and Williams 03] for estimating $L(2, \chi)$, we will only sketch it here.

As in [Bach 95], we put

$$\overline{B}(x, \chi) = \prod_{q \geq x} \frac{q}{q - \chi(q)}, \quad B(x, \chi) = \prod_{q < x} \frac{q}{q - \chi(q)},$$

where the products are taken over prime values of q and χ is a nonprincipal character modulo m . Since

$$\begin{aligned} \log L(1, \chi) &= \sum_{i=0}^{x-1} a_i \log L(1, \chi) \\ &= \sum_{i=0}^{x-1} a_i B(x + i, \chi) + \sum_{i=0}^{x-1} a_i \overline{B}(x + i, \chi), \end{aligned}$$

we need to bound the value of

$$E(x, \chi) = \sum_{i=0}^{x-1} a_i \log \overline{B}(x + i, \chi).$$

As in [Bach 95], we get

$$|E(x, \chi)| \leq \left| \sum_{i=0}^{x-1} a_i \frac{\Psi(x+i-1, \chi)}{(x+i) \log(x+i)} \right| + \left| \sum_{i=0}^{x-1} a_i \frac{\Psi^1(x+i, \chi)(\log(x+i)+1)}{(x+i)^2(\log(x+i))^2} \right| + \left| \sum_{i=0}^{x-1} a_i \int_x^\infty \frac{\Psi^1(t, \chi)}{t^3} \left(\frac{2}{\log t} + \frac{3}{(\log t)^2} + \frac{2}{(\log t)^3} \right) dt \right| + \left| \sum_{i=0}^{x-1} a_i T(x+i, \chi) \right|.$$

The method of Lemma 5.1 of [Bach 95] can be used to prove that

$$|T(x, \chi)| \leq 2C \left(\frac{2}{x^{1/2} \log x} + \frac{3/2}{\log 2} x^{-2/3} \right),$$

where $C = 1.25506$. Hence,

$$\left| \sum_{i=0}^{x-1} a_i T(x+i, \chi) \right| \leq 4C \sum_{i=0}^{x-1} \frac{a_i}{(x+i)^{1/2} \log(x+i)} + \frac{3C}{\log 2} x^{-2/3} \leq \frac{4C}{S(x)} \sum_{i=0}^{x-1} (x+i)^{1/2} + \frac{3C}{\log 2} x^{-2/3}.$$

As noted in [Jacobson and Williams 03],

$$\sum_{i=0}^{x-1} (x+i)^{1/2} < \lambda x^{3/2},$$

where $\lambda = 2(2^{3/2} - 1)/3 \approx 1.2189514$; hence,

$$\left| \sum_{i=0}^{x-1} a_i T(x+i, \chi) \right| \leq \frac{4C}{S(x)} \lambda x^{3/2} + \frac{3C}{\log 2} x^{-2/3}.$$

Also,

$$S(x) > U(x) := \int_0^{x-1} (t+x) \log(t+x) dt = \frac{1}{2} \left[(2x-1)^2 \left(\log(2x-1) - \frac{1}{2} \right) - x^2 \left(\log x - \frac{1}{2} \right) \right].$$

Since, under the ERH, we have

$$\Psi^1(x, \chi) \leq c(m)x^{3/2} + h(x),$$

where

$$c(m) = \frac{2}{3} \left(\log m + \frac{5}{3} \right)$$

and

$$h(x) = x \log x + 2(c(m) + 1)x + 3c(m) + 1,$$

we can use the reasoning of [Bach 95] to find that

$$\left| \sum_{i=0}^{x-1} a_i \frac{\Psi(x+i-1, \chi)}{(x+i) \log(x+i)} \right| < \frac{(1+2^{3/2})c(m)x^{3/2}}{U(x)} + \frac{h(x) + h(2x)}{x^2 \log x},$$

$$\left| \sum_{i=0}^{x-1} a_i \frac{\Psi^1(x+i, \chi)(\log(x+i)+1)}{(x+i)^2(\log(x+i))^2} \right| \leq \frac{c(m)\lambda x^{3/2}}{U(x)} + \frac{c(m)\lambda}{x^{1/2}(\log x)^2} + \frac{h(x)(1+\log x)}{x^2(\log x)^2},$$

$$\left| \sum_{i=0}^{x-1} a_i \int_x^\infty \frac{\Psi^1(t, \chi)}{t^3} \left(\frac{2}{\log t} + \frac{3}{(\log t)^2} + \frac{2}{(\log t)^3} \right) dt \right| < \frac{2c(m)\lambda x^{3/2}}{U(x)} \left(2 + \frac{3}{\log x} + \frac{2}{(\log x)^2} \right) + \int_x^\infty \frac{h(t)}{t^3} \left(\frac{2}{\log t} + \frac{3}{(\log t)^2} + \frac{2}{(\log t)^3} \right) dt.$$

We can next deduce (again using the reasoning in [Bach 95]) that

$$\frac{h(x) + h(2x)}{x^2 \log x} + \frac{h(x)(1+\log x)}{x^2(\log x)^2} + \int_x^\infty \frac{h(t)}{t^3} \left(\frac{2}{\log t} + \frac{3}{(\log t)^2} + \frac{2}{(\log t)^3} \right) dt \leq c(m) \left[\frac{12}{x \log x} + \frac{8}{x(\log x)^2} + \frac{4}{x(\log x)^3} + \frac{12}{x^2 \log x} + \frac{15}{2x^2(\log x)^2} + \frac{3}{x^2(\log x)^3} \right] + \frac{6}{x} + \frac{10 + 2 \log 2}{x \log x} + \frac{6}{x(\log x)^2} + \frac{2}{x(\log x)^3} + \frac{4}{x^2 \log x} + \frac{5}{2x^2(\log x)^2} + \frac{1}{x^2(\log x)^3}.$$

On combining our previous results, we see that

$$\left| \log L(1, \chi) - \sum_{i=0}^{T-1} a_i \log B(T+i, \chi) \right| < A(T, m),$$

where

$$A(T, m) = c(m)G(T) + H(T), \tag{3-2}$$

$$G(x) = \frac{x^{3/2}}{U(x)} \left[1 + 2^{3/2} + 5\lambda + \frac{7\lambda}{\log x} + \frac{4\lambda}{(\log x)^2} \right] + \frac{12}{x \log x} + \frac{8}{x(\log x)^2} + \frac{4}{x(\log x)^3} + \frac{12}{x^2 \log x} + \frac{15}{2x^2(\log x)^2} + \frac{3}{x^2(\log x)^3},$$

$$H(x) = \frac{4C\lambda x^{3/2}}{U(x)} + \frac{3C}{(\log 2)x^{2/3}} + \frac{6}{x} + \frac{10 + 2 \log 2}{x \log x} + \frac{6}{x(\log x)^2} + \frac{2}{x(\log x)^3} + \frac{4}{x^2 \log x} + \frac{5}{2x^2(\log x)^2} + \frac{1}{x^2(\log x)^3},$$

and $U(x)$, C , λ , $c(m)$ have been defined above.

In our case, we have $m = p$ and we set

$$B(T+i) = B(T+i, \chi_p),$$

$$S(T, p) = \sum_{i=0}^{T-1} a_i \log B(T+i).$$

Putting $E(T, p) = \log L(1, \chi_p) - S(T, p)$, we get

$$|E(T, p)| < A(T, p).$$

Since

$$\exp(E(T, p) + S(T, p)) = L(1, \chi_p),$$

we have by (1-2)

$$e^{E(T, p)}(\tilde{h} + \delta) = h (= h(p)),$$

where

$$\tilde{h} = \text{Ne} \left(\frac{\sqrt{p} e^{S(T, p)}}{R_2 \log 4} \right)$$

and

$$\delta = \frac{\sqrt{p} e^{S(T, p)}}{R_2 \log 4} - \tilde{h}.$$

Suppose we suspect that $\tilde{h} + g$ (odd) is the value of h , where $|g|$ is a small even integer (we used $|g| \leq 4$). We also assume that we have an odd factor h_1 (≥ 1) of $\tilde{h} + g$ which must also divide h . This will be explained in the next section. Assume further that $h_1 \geq |g - \delta|/2$ and put $h_2 = h/h_1$. Evidently,

$$e^{E(T, p)} \left(\frac{\tilde{h} + \delta}{h_1} \right) = h_2. \tag{3-3}$$

We consider two cases.

Case 1. ($E(T, p) > 0$.) In this case, we see from (3-3) that

$$h_2 > \frac{\tilde{h} + \delta}{h_1} = \frac{\tilde{h} + g}{h_1} - \frac{g - \delta}{h_1}.$$

If

$$e^{A(T, p)} < \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta},$$

then

$$e^{E(T, p)} < \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}$$

and from (3-3)

$$h_2 < \frac{\tilde{h} + g}{h_1} + 2.$$

Since $(g - \delta)/h_1 \leq 2$, we get

$$\frac{\tilde{h} + g}{h_1} - 2 < h_2 < \frac{\tilde{h} + g}{h_1} + 2.$$

It follows that, because h_2 must be odd, $h_2 = (\tilde{h} + g)/h_1$ or $h = \tilde{h} + g$.

Case 2. ($E(T, p) < 0$.) In this case, we get

$$h_2 < \frac{\tilde{h} + g}{h_1} - \frac{g - \delta}{h_1}$$

from (3-3). Suppose $(\tilde{h} + g)/h_1 \geq 3$. If

$$e^{A(T, p)} < \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1},$$

then

$$e^{-A(T, p)} > \frac{\tilde{h} + g - 2h_1}{\tilde{h} + \delta}$$

and

$$\frac{\tilde{h} + g}{h_1} - 2 < e^{-A(T, p)} \frac{\tilde{h} + \delta}{h_1} < e^{E(T, p)} \frac{\tilde{h} + \delta}{h_1} = h_2.$$

Since $(g - \delta)/h_1 \geq -2$, we get

$$\frac{\tilde{h} + g}{h_1} - 2 < h_2 < \frac{\tilde{h} + g}{h_1} + 2$$

and $h = \tilde{h} + g$. If $(\tilde{h} + g)/h_1 < 3$, then $\tilde{h} + g = h_1$. If $h_2 \geq 3$, then

$$e^{E(T, p)} \geq \frac{3h_1}{\tilde{h} + \delta} = \frac{3h_1}{h_1 - g + \delta} \geq 1,$$

a contradiction. Hence, $h_2 = 1$ and $\tilde{h} + g = h$.

Recapitulating, we have shown that if $\tilde{h} + g \geq 3h_1$, $|g - \delta| \leq 2h_1$, and

$$e^{A(T, p)} < \min \left\{ \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}, \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1} \right\},$$

then $h = \tilde{h} + g$. Also, if $\tilde{h} + g = h_1$, $|g - \delta| \leq 2h_1$ and

$$e^{A(T, p)} < \frac{3h_1}{\tilde{h} + \delta},$$

then $h = \tilde{h} + g$. Thus, as long as we have some h_1 such that $2h_1 \geq |g - \delta|$ and some T such that $\exp(A(T, p))$ is sufficiently small, we can find the value of h . As we wish to limit the amount of work to evaluate $S(T, p)$ (that is, keep T as small as possible), it is important to be able to have the smallest possible bound on $E(T, p)$. Notice that while our formula for $A(T, p)$ is rather complicated, it is easy to compute because the values of $G(T)$ and $H(T)$ can be easily tabulated for various values of T in advance.

In Table 1, we compare our error bound $A(T, p)$ on $|\log L(1, \chi_p) - S(T, p)|$ (given below (3-2)) with Bach's error bound $A'(T, p)$ (given in (3-1) and in Table 3 of [Bach 95], with A and B taken from the third and fourth column of that table). The ratio $A(T, p)/A'(T, p)$ varies slowly (with p and T) near 0.78 so we conclude that our error bound is about 22% sharper than Bach's error bound.

p	T	$A'(T, p)$	$A(T, p)$	$A(T, p)/A'(T, p)$
9 999 999 937	100	4.5704	3.5820	0.7837
	500	1.3418	1.0476	0.7808
	1000	0.8256	0.6450	0.7813
	5000	0.2841	0.2224	0.7827
99 999 999 977	100	4.9685	3.8766	0.7802
	500	1.4596	1.1332	0.7764
	1000	0.8983	0.6978	0.7768
	5000	0.3094	0.2407	0.7779
199 999 999 949	100	5.0884	3.9653	0.7793
	500	1.4950	1.1590	0.7752
	1000	0.9201	0.7136	0.7756
	5000	0.3169	0.2462	0.7767

TABLE 1. Comparison of $A'(T, p)$ and $A(T, p)$.

In order to test the effect of this improvement on the efficiency of our algorithm, we compared the use of both bounds for the computation of the class numbers of the 157 987 primes $\equiv 1 \pmod 4$ in the interval $[5\,000\,000, 10\,000\,000]$. For $T = 1000$ and $f = 10$, in the case of our bound, our algorithm determined the class number $h(p) = 3$ with Step 2(b) (see Section 1), from $\tilde{h} = 3, h_1 = 1$ in 18 169 cases, because (1-4) was satisfied. For these 18 169 cases, this inequality was *not* satisfied with the use of Bach's error bound $A'(T, p)$. Most of these cases were handled in the follow-up of Step 2(b), namely where a *divisor* h_1 of h is found, but this increased the CPU time. In the case of our bound, our algorithm took 115 CPU seconds while 516 cases were left undetermined (those are treated with higher values of T and f ; see Section 5). In case of Bach's bound, our algorithm took 149 CPU seconds, while 3070 cases were

left undetermined. We conclude that the use of our error bound $A(T, p)$ increases the efficiency of our program with at least 20% compared with the use of Bach's error bound.

4. FINDING A DIVISOR OF h

In this section, we will explain how to find a divisor of the class number h when we have an expectation as to what h is. In order to do this, we must first derive a technique for detecting whether or not a given reduced ideal is principal.

We define, as before,

$$\mathcal{L} = \{b_1(= (1)), b_2, \dots, b_{m-1}\},$$

where $\zeta_m > t + B + 1$ and $\zeta_{m-1} \leq t + B + 1$. Suppose \mathfrak{a} is any reduced ideal. We define

$$\mathcal{L}(\mathfrak{a}) = \{a_1(= (\mathfrak{a})), a_2, \dots, a_{m'-1}\}$$

where a_{i+1} is obtained from a_i by the continued fraction algorithm. Here, $\zeta'_{m'} > 2t + B + 1, \zeta'_{m'-1} \leq 2t + B + 1$.

Lemma 4.1. *If \mathfrak{a} is a reduced principal ideal and $\mathfrak{a} = (\alpha)$ with $1 \leq \alpha < \epsilon$, then if $b_1 \notin \mathcal{L}(\mathfrak{a})$, we have $\epsilon > \alpha 2^{2t}$.*

Proof: We have $a_i = (\Psi'_i)\mathfrak{a}_1$, where $\mathfrak{a}_1 = \mathfrak{a} = (\alpha)$ with $1 \leq \alpha < \epsilon$. Since \mathfrak{a} is principal and reduced, so are all the ideals in $\mathcal{L}(\mathfrak{a})$,

$$\Rightarrow a_1 = b_k, a_2 = b_{k+1}, \dots, a_{m'-1} = b_{k+m'-2},$$

for some $k \in \mathbb{Z}^+$. If $\epsilon = \Psi'_i \alpha$, we must have $a_i = b_1 = (\epsilon) = (1)$. Since $b_1 \notin \mathcal{L}(\mathfrak{a})$, it follows that $i > m' - 1$ and

$$\begin{aligned} \epsilon > \alpha \Psi'_{m'-1} &= \alpha \Psi_{m'}/\psi'_{m'-1} \geq \alpha 2^{\zeta'_{m'}-1}/\psi'_{m'-1} \\ &> \alpha 2^{2t+B}/\psi'_{m'-1} > \alpha 2^{2t} \end{aligned}$$

$(\psi'_{m'-1} < 2^B)$. □

Now suppose that \mathfrak{a} is principal. Without loss of generality, $\mathfrak{a} = (\alpha)$ ($1 \leq \alpha < \epsilon$). Suppose also that $\mathfrak{a} \notin \mathcal{L}$. In this case, we must have $\alpha > 2^t$. We can define $k \in \mathbb{Z}$ ($k \geq 2$) by

$$2^{(k-1)t} \leq \alpha < 2^{kt}.$$

Since

$$2^{(n-1)t} \leq \epsilon < 2^{nt},$$

we get

$$2^{(n-k-1)t} < \epsilon/\alpha < 2^{(n-k+1)t}.$$

If $b_1 \notin \mathcal{L}(\mathfrak{a})$, we see by Lemma 4.1 that $\epsilon/\alpha > 2^{2t}$; hence,

$$2t < (n - k + 1)t \Rightarrow n - k + 1 > 2 \Rightarrow k \leq n - 1.$$

Theorem 4.2. *If $j = \lceil \frac{k}{2} \rceil$, then $b(2jt) \in \mathcal{L}(\mathfrak{a})$.*

Proof: Let $\mathfrak{b}(2jt) = (\Psi_l)$, where

$$\Psi_l \leq 2^{2jt}, \quad \Psi_{l+1} > 2^{2jt}.$$

Consider Ψ_l/α . We know that $\alpha = \Psi_q$ for some q (we are assuming that \mathfrak{a} is principal and reduced) and since

$$2^{(k-1)t} < \alpha < 2^{kt} \leq 2^{2jt},$$

we see that

$$\Psi_q \leq 2^{2jt} \Rightarrow q \leq l \Rightarrow \Psi_l/\alpha = \Psi_l/\Psi_q \geq 1.$$

Also,

$$\Psi_l/\alpha \leq 2^{2jt}/2^{(k-1)t} = 2^{(2j-k)t+t} < 2^{2t}.$$

Now $\Psi_l = \alpha\Psi'_s$ and $1 \leq \Psi'_s < 2^{2t}$; consequently,

$$\mathfrak{a}_s = (\Psi'_s)\mathfrak{a}_1 = (\Psi'_s\alpha) = (\Psi_l) = \mathfrak{b}(2jt).$$

Also, since $1 \leq \Psi'_s < 2^{2t}$, we have $\mathfrak{a}_s \in \mathcal{L}(\mathfrak{a})$. \square

We note that if $2|n$, then $k = n - 2$ means that k is even; thus,

$$j = \left\lfloor \frac{k}{2} \right\rfloor = \frac{n}{2} - 1 = i' - 1 \leq i,$$

by Corollary 2.6. If $k < n - 2$, then $k \leq n - 3$; hence,

$$\frac{k}{2} + \frac{1}{2} \leq \frac{n}{2} - 1$$

and

$$j = \left\lfloor \frac{k}{2} \right\rfloor \leq \frac{n}{2} - 1 \leq i.$$

If $2 \nmid n$, then $k \leq n - 2 = 2i' - 1$ so we get

$$\frac{k}{2} \leq i' - \frac{1}{2} \Rightarrow j = \left\lfloor \frac{k}{2} \right\rfloor \leq \frac{k}{2} + \frac{1}{2} \leq i' = i,$$

by Corollary 2.6. Thus, if we put $\mathcal{B} = \{\mathfrak{b}_1 (= \mathfrak{b}(0)), \mathfrak{b}(2t), \mathfrak{b}(4t), \dots, \mathfrak{b}(2it)\}$, we have Theorem 4.3.

Theorem 4.3. *If \mathfrak{a} is any reduced ideal and $\mathfrak{a} \notin \mathcal{L}$, then \mathfrak{a} is principal if and only if*

$$\mathcal{B} \cap \mathcal{L}(\mathfrak{a}) \neq \emptyset.$$

Proof: Certainly, if \mathfrak{a} is not principal, then $\mathcal{B} \cap \mathcal{L}(\mathfrak{a}) = \emptyset$. If \mathfrak{a} is principal and $\mathfrak{a} \notin \mathcal{L}$, we have seen already that $\mathfrak{b}(2jt) \in \mathcal{L}(\mathfrak{a})$ for some j such that $0 \leq j \leq i$. Hence, $\mathcal{B} \cap \mathcal{L}(\mathfrak{a}) \neq \emptyset$. \square

We now have our algorithm for principality testing.

Algorithm 4.4. (Determine whether or not a given reduced ideal \mathfrak{a} is principal.)

1. If $\mathfrak{a} \in \mathcal{L}$, then \mathfrak{a} is principal and the algorithm terminates.
2. Compute $\mathfrak{a}_1, \mathfrak{a}_2, \dots$ and check whether $\mathfrak{a}_q \in \mathcal{B}$ ($q = 1, 2, \dots, m' - 1$). (Note that when we need to execute this algorithm, we usually have $R_2 < M/P$; hence \mathcal{B} has been computed previously in Algorithm 2.7.)
3. If $\mathfrak{a}_q \in \mathcal{B}$, then \mathfrak{a} is principal. If $\mathcal{B} \cap \mathcal{L}(\mathfrak{a}) = \emptyset$, then \mathfrak{a} is nonprincipal.

Suppose q is a prime and $q^\alpha \parallel \tilde{h} + g$. We can produce an algorithm which often determines a nontrivial divisor of h .

Algorithm 4.5. (Determine that $\tilde{h} + g \neq h$ or find a nontrivial divisor of h .)

1. Select a new ideal \mathfrak{s} from a stock \mathcal{S} (to be described later) of reduced ideals.
2. Test if \mathfrak{s} is principal. If so, return to Step 1. If a reduced ideal \mathfrak{t} equivalent to $\mathfrak{s}^{\tilde{h}+g}$ is not principal, we know that $h \neq \tilde{h} + g$ and we terminate the algorithm. (Of course, if $\mathfrak{s}^{\tilde{h}+g}$ is principal, this causes us to suspect even more that $h = \tilde{h} + g$.)
3. If $\mathfrak{s}^{(\tilde{h}+g)/q^\alpha}$ is principal, go back to Step 1.
4. Compute the least value of $\beta (> 0)$ such that $\mathfrak{s}^{(\tilde{h}+g)/q^\beta}$ is not principal. Then $q^{\alpha-\beta+1}$ is a nontrivial divisor of h .

Proof (of correctness): Clearly, if \mathfrak{t} is not principal, then $h \neq \tilde{h} + g$. If $\mathfrak{s}^{\tilde{h}+g}$ is principal, we let ω be the least positive integer such that \mathfrak{s}^ω is principal ($\omega > 1$). We know that since \mathfrak{s}^h is principal, we must have $\omega|h$. Now $\omega|(\tilde{h} + g)/q^{\beta-1}$ and $\omega \nmid (\tilde{h} + g)/q^\beta$. Hence, $q^\gamma \parallel \omega$, where $q^\gamma \parallel (\tilde{h} + g)/q^{\beta-1}$. Since $\gamma \geq \alpha - \beta + 1$ and $\alpha \geq \beta$, we have proved the correctness of Algorithm 4.5. \square

The ideals in the stock \mathcal{S} can be easily developed from a table of small odd primes $\mathcal{R} = \{r_1, r_2, \dots, r_n\}$, $r_1 = 3, r_2 = 5, \dots$ (In the computations described in Section 5, we used $n = 34$.) For each $r \in \mathcal{R}$, the table should contain a list of all the quadratic residues a of r and the odd square root x of $a \pmod r$ which is between 0 and r . To create \mathcal{S} for a given p , we need only find the value of r such that $p \equiv a \pmod r$. Then $\mathfrak{s} = \left[r, \frac{x + \sqrt{p}}{2} \right]$ is an ideal of $\mathbb{Q}(\sqrt{p})$ and since $r < \sqrt{p}/2$, \mathfrak{s} is reduced already.

Although, in principle, Algorithm 4.5 might not find a divisor of h (this would certainly be the case if $\tilde{h} + g \neq h$); in practice, we found that it worked very well. Thus, if we know the primes that divide $\tilde{h} + g$, we can often find a nontrivial divisor h_1 of h . If we are unsuccessful in this effort, we change the value of g and try again. If this fails for all even $|g| \leq 4$, we put the prime p into a special set of primes \mathcal{P} and deal with them separately.

5. IMPLEMENTATION AND COMPUTATIONAL RESULTS

5.1 Implementation

We implemented our algorithm for computing $h(p)$ for primes $p \equiv 1 \pmod{4}$ in Fortran 77¹ and we tested and ran it on one processor of CWI's SGI Origin 2000 computer system.² Here, we describe the six different steps.

- Step 1(a). (Find an integral multiple M of R_2 .)
This step is fully described in [van der Poorten et al. 01]. First, an approximation $S(T, p)$ of $L(1, \chi_p)$ is computed, for suitable T , and then an approximation of a multiple of R_2 using the analytic class number formula (1–2). Next, with Algorithm 5.4 of [van der Poorten et al. 01], an integral multiple M of R_2 is computed from this approximation.
- Step 1(b). (Compute R_2 from M or prove that $R_2 > M/P$, where P is some small prime.)
This step is carried out with help of Algorithm 2.7 as given in Section 2, for suitable f . Some experiments revealed that $P = 11$ was sufficient for our purpose.
- Step 1(c). (Given that $R_2 > M/11$, find R_2 .)
This step is carried out with help of Algorithm 2.8 as given in Section 2.
- Step 2(a). (Compute an approximation \tilde{h} of h .)
This is done with the help of the approximation $S(T, p)$ of $\log L(1, \chi_p)$ as computed in Step 1(a), and the class number formula (1–2). We take \tilde{h} to be the nearest odd integer to $\sqrt{p} \exp(S(T, p)) / (R_2 \log 4)$ and δ to be the difference $\sqrt{p} \exp(S(T, p)) / (R_2 \log 4) - \tilde{h}$, with $|\delta| \leq 1$.
- Step 2(b). (Try to compute h from \tilde{h} .)
This is the crucial step in our algorithm. We start to

carry out this step, as described in Section 1, with $g = 0$. If this does not lead to the conclusion that $h = \tilde{h} + g$, we repeat Step 2(b) with $g = 2$. The next tries, as long as we do not find the value of h , are done for, successively, $g = -2$, $g = 4$, and $g = -4$. If unsuccessful at this stage, we turn to Step 2(c). In Step 2(b), an odd divisor $h_1 > 1$ of $\tilde{h} + g$ has to be found. This is done with the help of Algorithm 4.5, described in Section 4. This, in turn, needs to test whether a given reduced ideal is principal. Algorithm 4.5, described in Section 4, does this job.

- Step 2(c). (Treat the remaining primes.)
For these “stubborn” cases, we resort to the PARI-GP package, namely, the function `quadclassunit`. This is much slower than our algorithm, but the number of primes left to be treated here is so small compared with those for which our algorithm could compute the class number, that the total CPU time needed for Step 2(c) remains small compared with the CPU time needed for our algorithm.

5.2 Results

5.2.1 Class Number Computations. We computed $h(p)$ for all the primes $p \equiv 1 \pmod{4}$ below the bound $2 \cdot 10^{11}$. We made 200 runs, each covering an interval of length 10^9 . In each run, we first applied our algorithm with $T = 3000$, $f = 3$. For the 200 intervals which we checked, this was always successful for more than 99% of the primes and consumed a corresponding portion of the total CPU time for this run. For the remaining primes, we repeated our algorithm nine times with increasing values of T and f , namely with $T = 3000 + 500j$, $f = 3 + 5j$, for $j = 1, 2, \dots, 9$. This further decreased the number of primes for which our algorithm could *not* compute the class number. For example, the interval $[199 \cdot 10^9, 200 \cdot 10^9]$ contains 19 217 740 primes which are $\equiv 1 \pmod{4}$. The numbers of primes left after each of the above ten steps was: 99 309, 35 016, 31 396, 28 690, 25 193, 23 366, 21 808, 20 566, 16 060, and 3 677, respectively. The CPU times for these ten steps were: 63 663, 590, 319, 362, 410, 415, 441, 468, 483, and 1 116 seconds, respectively. The 3 677 primes left after the tenth step were treated with the PARI-GP package and this required 2 650 CPU seconds.

The total CPU time per run varied between 10 CPU hours for the 25 423 491 primes which are $\equiv 1 \pmod{4}$ in the interval $[1, 10^9]$ and 20 CPU hours for the 19 217 740 primes which are $\equiv 1 \pmod{4}$ in the interval $[199 \cdot 10^9, 200 \cdot 10^9]$. Total CPU time was about 3000 CPU hours. Usually, we executed four runs in parallel on four proces-

¹This program is available via <ftp://ftp.cwi.nl/pub/herman/CLheuristics/program.f>.

²This system consists of 16 R10000/250 MHz processors and 16 R12000/300 MHz processors. In our runs, we did not distinguish between the two types of processors so fluctuations of about 20% in CPU times in comparable jobs were accepted as being caused by the two different types of processors.

x	$\pi_{4,1}(x)$	$r_1(x)$	$r_3(x)$	$r_5(x)$	$r_7(x)$	$r_9(x)$	$r_{11}(x)$
10^9	25423491	1.00976	0.95830	1.00239	1.00646	0.93604	1.00508
$2 \cdot 10^9$	49109660	1.00865	0.96285	1.00125	1.00561	0.94171	1.00521
$5 \cdot 10^9$	117474981	1.00739	0.96765	1.00110	1.00501	0.94989	1.00530
10^{10}	227523275	1.00654	0.97103	1.00108	1.00426	0.95473	1.00472
$2 \cdot 10^{10}$	441101890	1.00578	0.97417	1.00128	1.00371	0.95981	1.00415
$5 \cdot 10^{10}$	1059822165	1.00494	0.97768	1.00128	1.00317	0.96569	1.00363
10^{11}	2059020280	1.00437	0.98001	1.00139	1.00319	0.96930	1.00303
$2 \cdot 10^{11}$	4003548492	1.00387	0.98214	1.00143	1.00289	0.97265	1.00306

$r_{13}(x)$	$r_{15}(x)$	$r_{17}(x)$	$r_{19}(x)$	$r_{21}(x)$	$r_{23}(x)$	$r_{25}(x)$	$r_{27}(x)$	$r_{29}(x)$
1.00583	0.95228	1.00483	1.01174	0.95320	1.00873	0.99246	0.92706	1.01402
1.00835	0.95546	1.00647	1.01194	0.95647	1.00717	0.99228	0.93598	1.01220
1.00554	0.96120	1.00602	1.00765	0.96160	1.00750	0.99597	0.94677	1.01042
1.00515	0.96590	1.00650	1.00676	0.96732	1.00639	0.99816	0.95184	1.01074
1.00503	0.96923	1.00535	1.00444	0.97047	1.00575	0.99828	0.95707	1.00800
1.00420	0.97349	1.00465	1.00396	0.97573	1.00488	0.99909	0.96238	1.00642
1.00411	0.97681	1.00434	1.00410	0.97814	1.00506	0.99937	0.96578	1.00434
1.00362	0.97972	1.00368	1.00382	0.98074	1.00403	1.00019	0.96932	1.00348

TABLE 2. Comparison of class number frequencies with the Cohen-Lenstra heuristics.

sors of CWI's Origin 2000 system. The number of primes treated in Step 2(c) with the PARI-GP function `quadclassunit` was about 2000 for the (first) interval $[1, 10^9]$ and about 3700 for the (last) interval $[199 \cdot 10^9, 200 \cdot 10^9]$. The CPU times for these primes varied between 500 and 2700 CPU seconds. Total CPU time with PARI-GP for Step 2(c) was about 120 CPU hours. For the last interval $[199 \cdot 10^9, 200 \cdot 10^9]$, the average CPU time per prime for the primes treated in Steps 1(a)–2(b) was 3.5 msec. and the average CPU time per prime treated in Step 2(c) (with PARI-GP) was 0.72 seconds (slower by a factor of about 200).

5.2.2 Comparison with the Cohen-Lenstra Heuristics. Let

$$\pi_{4,1}(x) = \#\{p \leq x \mid p \equiv 1 \pmod{4}, p \text{ prime}\}$$

and

$$\pi_{4,1,n}(x) = \#\{p \leq x \mid p \equiv 1 \pmod{4}, p \text{ prime}, h(p) = n\}.$$

For the class numbers $h(p) \leq 29$, in Table 2, we compare their frequencies of occurrence with those “predicted” by the Cohen-Lenstra heuristics, namely, by listing the values of

$$\pi_{4,1}(x) \text{ and } r_h(x) := \frac{\pi_{4,1,h}(x)}{\pi_{4,1}(x)} / P(h),$$

for various choices of x (where $P(h)$ is defined in (1–1)).

The ratios $r_h(x)$ seem to tend to 1 with growing x , so Table 2 provides numerical support for the Cohen-Lenstra heuristics. Notice that for values of h which are not a multiple of 3 (except for $h = 25$), the frequencies $\pi_{4,1,h}(x)/\pi_{4,1}(x)$ seem to tend to their Cohen-Lenstra limit $P(h)$ from above, whereas for the other values of h in Table 2, this pattern is reversed. Moreover, the speed of convergence is notably slower for values of h which are divisible by 3 than for the other values of h in Table 2. However, we should mention that this slower rate of convergence measured by $r_k(x)$ does not take into consideration the number of values of p for which $h < k$. For example, if we take $x = 2 \cdot 10^{11}$, we have $\pi_{4,1}(x) = 4003548492$, $\pi_{4,1,1}(x) = 3032210141$, and $\pi_{4,1,3}(x) = 494428047$. Now the predicted value of $\pi_{4,1,3}$, given the value of $\pi_{4,1,1}$, would be

$$\frac{P(3)}{1 - P(1)} (\pi_{4,1}(x) - \pi_{4,1,1}(x)) = 497426558.277 \dots$$

When we compute $\pi_{4,1,3}(x)/497426558.227$, we get 0.99397, a result which is closer to 1 than the value 0.98217 we get for $r_3(x)$. The authors are indebted to Carl Pomerance for this observation.³

³Extending this to values of $\pi_{4,1,h}$ for $h > 3$, we find better ratios (i.e., closer to 1) for values of h divisible by 3 but worse ratios for values of h which are not divisible by 3. For example, for the quotient of the actual number of primes p for which $h(p) = k$ and the predicted number, we find 1.00712, 1.01190, and 0.98467 for $k = 5, 7, 9$, respectively, whereas Table 2 gives $r_k(x) = 1.00143, 1.00289$, and 0.97265, respectively.

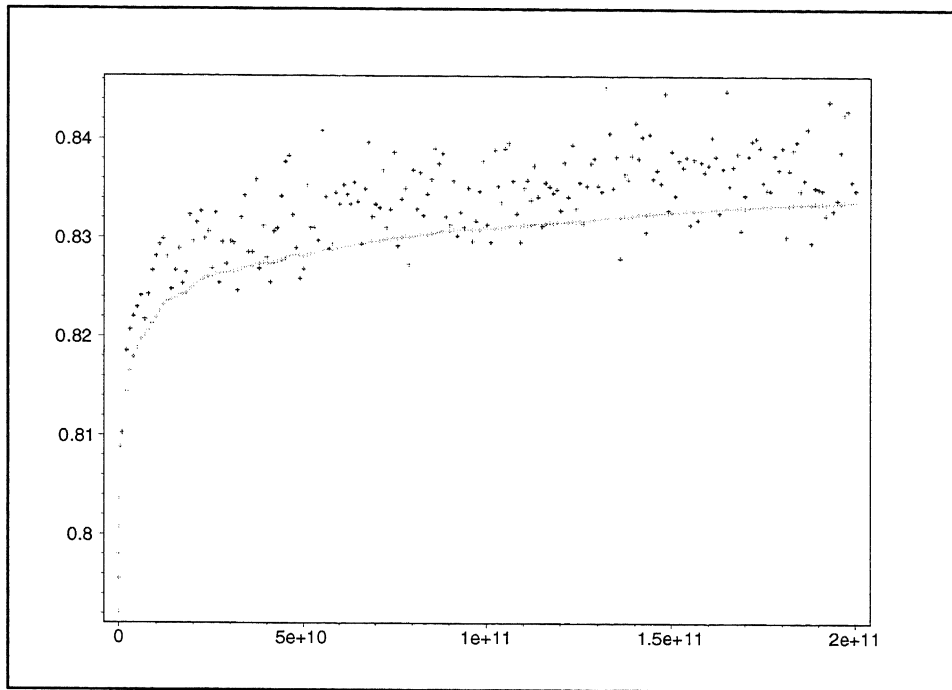


FIGURE 1. Plot of $8H(x)/x$ and its local contributions for $x = i \cdot 10^9, i = 1, 2, \dots, 200$.

As suggested by the referee, we have made a least squares approximation of the r_1 - and the r_3 -data in Table 2 with a function of $\log x$ with basis $\{1, 1/x\}$. For the constants in these approximations, we found 0.9807 and 1.076 for r_1 and r_3 , respectively (which are the limits of these approximations for $x \rightarrow \infty$).

5.2.3 Comparison with Hooley's Conjecture. Together with the class numbers, we computed the function $H(x)$. Table 3 tabulates $H(x)$ for various values of x , together with $8H(x)/x$, which should tend to 1, according to Hooley's conjecture. Figure 1 plots the function $8H(x)/x$ for $x = i \cdot 10^9, i = 1, 2, \dots, 200$. The scattered points show the "local contributions" to this function, namely the values

$$8 \frac{H(i \cdot 10^9) - H((i-1)10^9)}{10^9}, \text{ for } i = 1, \dots, 200.$$

Table 3 and Figure 1 confirm that the function $8H(x)/x$ increases on the interval where we have computed it. The majority of the local contributions lie *above* the "average" $8H(x)/x$, and Figure 1 does not give any clue that this "behaviour" would change after our bound $2 \cdot 10^{11}$. Figure 1 also illustrates that if the function $8H(x)/x$ converges to 1, it converges extremely slowly. A least squares approximation to the $8H(x)/x$ -data in Table 3, similar to the one which we computed for r_1 and r_3 in Table 2, yielded a constant term 0.9233.

To give some explanation of why $H(x)/x$ seems to converge so slowly to $1/8$, we first note that we can write

$$H(x) = \sum_{\substack{k=1 \\ k \text{ odd}}}^{M(x)} k\pi_{4,1,k}(x)$$

where $M(x) = \max\{h(p) : p \leq x\}$. By the Cohen-Lenstra heuristics, we have

$$\pi_{4,1,k}(x) \sim \pi_{4,1}(x)P(k) \sim \frac{x}{2 \log x} P(k).$$

Also, it is not difficult to show (Theorem 4.1 of Jacobson [Jacobson 95]) that

$$\sum_{\substack{k=1 \\ k \text{ odd}}}^y w(k) \sim \frac{1}{2C} \log y;$$

x	$H(x)$	$8H(x)/x$
10^9	101284007	0.81027
$2 \cdot 10^9$	203601670	0.81441
$5 \cdot 10^9$	511808671	0.81889
10^{10}	1027420829	0.82194
$2 \cdot 10^{10}$	2062604790	0.82504
$5 \cdot 10^{10}$	5175931981	0.82815
10^{11}	10386588068	0.83093
$2 \cdot 10^{11}$	20841205517	0.83365

TABLE 3. Some values of $H(x)$ and $8H(x)/x$.

hence,

$$\sum_{\substack{k=1 \\ k \text{ odd}}}^y kP(k) \sim \frac{1}{2} \log y,$$

and therefore,

$$H(x) \sim \frac{x}{4 \log x} \log M(x).$$

We now need to investigate the mysterious $M(x)$. By a result of Le [Le 94], we know that $M(x) < \sqrt{x}/2$, but how large can $M(x)$ become? By the Siegel-Brauer theorem, we know that

$$\log(h(p)R) \sim \frac{1}{2} \log p.$$

Furthermore, for certain values of p such as $p = t^2 + 1$ or $p = t^2 + 4$, we have $R = \mathcal{O}(\log p)$.

Let $p(x)$ denote the number of primes of the form $t^2 + 1 \leq x$. By the long-standing conjecture E of Hardy and Littlewood [Hardy and Littlewood 23], we would have

$$p(x) \sim c \frac{\sqrt{x}}{\log x}$$

for an absolute constant c . It follows that for x large enough, we must have

$$p(x) - p(x/2) > 1.$$

That is, there must exist some prime $p \equiv 1 \pmod{4}$ such that

$$x/2 < p \leq x$$

and $R = \mathcal{O}(\log p) = \mathcal{O}(\log x)$. Since $M(x) \geq h(p)$ and $p > x/2$, we get

$$\frac{\log M(x)}{\log x} > \left(1 - \frac{\log 2}{\log x}\right) \frac{\log h(p)}{\log p}.$$

Also, since

$$\frac{\log M(x)}{\log x} < \frac{1}{2} - \frac{\log 2}{\log x},$$

we see that under Conjecture E we have

$$\frac{\log M(x)}{\log x} \sim \frac{1}{2},$$

providing further evidence for Hooley's conjecture. It is important to notice then that the speed of convergence of $H(x)/x$ to $1/8$ appears to depend upon the frequency of values of p such that $h(p)$ is large; however, according to the Cohen-Lenstra heuristics (see Conjecture 4.2 of [Jacobson 95]) we know that

$$\text{Prob}(h(p) > k) = \frac{1}{2k} + \mathcal{O}\left(\frac{\log k}{k^2}\right).$$

Hence, the large class numbers that push the value of $\log M(x)/\log x$ to $1/2$ become increasingly less frequent as x increases, accounting for the slow convergence of $H(x)/x$ to $1/8$ indicated in Figure 1.

5.3 Examples

Example 5.1. We take $p = 97\,843\,343\,893$ as in [van der Poorten et al. 01] with $T = 1000$ and $f = 10$.

Step 1(a) finds $S(T, p) = 0.3765342$ and

$$M = 329944.5389420387$$

for the integral multiple of R_2 .⁴

In Step 1(b), Algorithm 2.7 is carried out, i.e., first the list \mathcal{L} is computed. In Step 2 of Algorithm 2.7, we did not find a match of $\mathfrak{b}(2it)$ neither of $\bar{\mathfrak{b}}(2it)$ with some element of \mathcal{L} , for $i = 1, 2, \dots, \lceil (K + 2B + 1)/2t \rceil$, so this shows that $R_2 > K$ with $K = M/11 = 29994.9580856399$.

In Step 1(c), Algorithm 2.8 is carried out, i.e., it is verified that $\mathfrak{b}(M/p) \neq \mathfrak{b}_1$, for $p = 3, 5, 7$. It follows that

$$R_2 = R/\log(2) = M = 329944.5389420387.$$

In Step 2(a), we compute

$$\sqrt{p} \exp(S(T, p))/(R_2 \log 4) = 0.9965428,$$

so that $\tilde{h} = 1$ and $\delta = -0.0034572$.

In Step 2(b), with $g = 0$, for the function $A(T, m)$ described in Section 3, we find that $A(1000, p) = 0.6972602$, so that $\exp(A(1000, p)) = 2.008243$. With $h_1 = 1$, we have $3h_1/(\tilde{h} + \delta) = 3.010407$ so that $\exp(A(T, p)) < 3h_1/(\tilde{h} + \delta)$ and we conclude that $h(97\,843\,343\,893) = \tilde{h} = 1$.

Example 5.2. We take $p = 990\,000\,388\,129$ with $T = 1000$ and $f = 10$.

Step 1(a) finds $S(T, p) = 1.895771$ and

$$M = 4729385.900492189.$$

⁴The value of kR_2 reported in [van der Poorten et al 01] is three times the value given here, because of a mistake HtR made in [van der Poorten et al 01] in the programming of the Kronecker symbol. This is explained and corrected in [te Riele and Williams 03]. The consequence of this mistake is that for all the primes which are $\equiv 5 \pmod{8}$, our computed value of kR_2 in [van der Poorten et al 01] is too large by a factor of 3. Fortunately, this does not affect the result of [van der Poorten et al 01], namely that the Ankeny-Artin-Chowla conjecture is true for all the primes $p \equiv 1 \pmod{4}$ below 10^9 since for the verification of this conjecture any multiple of R_2 will suffice, as long as this does not exceed $8p$.

In Step 1(b), Algorithm 2.7 computes the list \mathcal{L} , and no match is found of $\mathfrak{b}(2it)$ nor of $\bar{\mathfrak{b}}(2it)$ with some element in this list, for $i = 1, 2, \dots, \lceil (K + 2B + 1)/2t \rceil$, so this shows that $R_2 > M/11$.

In Step 1(c), it is verified that $\mathfrak{b}(M/p) \neq \mathfrak{b}_1$ for $p = 3, 7$, but $\mathfrak{b}(M/5) = \mathfrak{b}_1$ and $\mathfrak{b}(M/25) \neq \mathfrak{b}_1$. It follows that

$$R_2 = R/\log(2) = M/5 = 945877.1800984377.$$

Step 2(a) computes $\sqrt{p} \exp(S(T, p))/(R_2 \log 4) = 5.0518490$, so that $\tilde{h} = 5$ and $\delta = 0.0518490$.

In Step 2(b), with $g = 0$, we find $\exp(A(1000, p)) = 2.117520$. For $h_1 = 1$, $\tilde{h} + g \geq 3h_1$ and

$$\min \left\{ \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}, \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1} \right\} = 1.385631,$$

so no conclusion for h is possible and we try to find a divisor of h with Algorithm 4.5. We try the divisor $q = 5$ of $\tilde{h} + g$ (of course). For the first ideal $\mathfrak{s} = [6/2, (1 + \sqrt{p})/2]$ from the stock \mathcal{S} , Algorithm 4.4 finds that it is not principal. Step 2 of Algorithm 4.5 now finds a reduced ideal $\mathfrak{t} = [486/2, (61 + \sqrt{p})/2]$ which is equivalent to $\mathfrak{s}^{\tilde{h}+g} = \mathfrak{s}^5$. This ideal \mathfrak{t} is found to be principal with help of Algorithm 4.4. For $\beta = 1$, $\mathfrak{s}^{(\tilde{h}+g)/q^\beta} = \mathfrak{s}$ is not principal, as we already know, and we conclude that $q^{\alpha-\beta+1} = 5$ is a nontrivial divisor of h .

Now we repeat Step 2(b) with $h_1 = 5$ (and still $g = 0$). We have $\tilde{h} + g = h_1 = 5$ and $3h_1/(\tilde{h} + \delta) = 2.969210$, so that $\exp(A(1000, p)) < 3h_1/(\tilde{h} + \delta)$ and we conclude that $h(990\,000\,388\,129) = \tilde{h} = 5$.

Example 5.3. $p = 199\,999\,913\,213$, the largest prime $< 2 \cdot 10^{11}$ for which our algorithm could compute the class number, with $T = 7500$, $f = 48$.

Step 1(a) finds $S(T, p) = -0.4557187$ and $M = 211269.9174290152$.

In Step 1(b), Algorithm 2.7 then finds that

$$R_2 = R/\log(2) = 454.3439084494522.$$

In Step 2(a), we compute

$$\sqrt{p} \exp(S(T, p))/(R_2 \log 4) = 450.1514159,$$

so that $\tilde{h} = 451$ and $\delta = -0.80966325$.

In Step 2(b), with $g = 0$, we find $\exp(A(7500, p)) = 1.209404$. For $h_1 = 1$, $\tilde{h} + g \geq 3h_1$ and

$$\min \left\{ \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}, \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1} \right\} = 1.002564,$$

so no conclusion for h is possible. Therefore, we try to find a divisor of h with Algorithm 4.5. We start with $q = 11$, the smallest prime divisor of $\tilde{h} + g = 451$. For the first ideal $\mathfrak{s} = [14/2, (3 + \sqrt{p})/2]$ in the stock \mathcal{S} , Algorithm 4.4 finds that it is not principal, so Step 2 of Algorithm 4.5 now finds a reduced ideal $\mathfrak{t} = [11738/2, (439771 + \sqrt{p})/2]$ which is equivalent to $\mathfrak{s}^{\tilde{h}+g} = \mathfrak{s}^{451}$. With the help of Algorithm 4.4, this ideal is found to be nonprincipal, so we conclude that $h \neq \tilde{h} + g$.

Step 2(b) is repeated now with $g = -2$ so $\tilde{h} + g = 449$. With $h_1 = 1$, (1-4) is not satisfied, so no conclusion for h can be drawn. Therefore, we try to find a divisor of h . Since 449 is prime, we try $q = 449$ in Algorithm 4.5. For the first ideal $\mathfrak{s} = [14/2, (3 + \sqrt{p})/2]$ in the stock \mathcal{S} , Algorithm 4.4 finds that it is not principal, so Step 2 of Algorithm 4.5 now finds a reduced ideal $\mathfrak{t} = [380938/2, (367115 + \sqrt{p})/2]$ which is equivalent to $\mathfrak{s}^{\tilde{h}+g} = \mathfrak{s}^{449}$. With the help of Algorithm 4.4, this ideal is found to be principal. For $\beta = 1$, $\mathfrak{s}^{(\tilde{h}+g)/q^\beta} = \mathfrak{s}$ is not principal, as we already know, and we may conclude that $q^{\alpha-\beta+1} = 449$ is a nontrivial divisor of h .

Now we repeat Step 2(b) with $h_1 = 449$ (and still $g = -2$). We have $\tilde{h} + g = h_1 = 449$ and $3h_1/(\tilde{h} + \delta) = 2.992068$, so that $\exp(A(7500, p)) < 3h_1/(\tilde{h} + \delta)$ and we conclude that $h(199\,999\,913\,213) = \tilde{h} + g = 449$.

Example 5.4. $p = 199\,999\,649\,533$ (the largest prime $< 2 \cdot 10^{11}$ for which our algorithm could not compute the class number) with $T = 7500$, $f = 48$.

Step 1(a) finds $S(T, p) = -0.3602558$ and $M = 228674.1622363300$.

In Step 1(b), Algorithm 2.7 then finds that

$$R_2 = R/\log(2) = 47.12987680055535.$$

In Step 2(a), we compute

$$\sqrt{p} \exp(S(T, p))/(R_2 \log 4) = 4774.2565225,$$

so that $\tilde{h} = 4775$ and $\delta = -0.74347755$.

In Step 2(b), with $g = 0$, we find $\exp(A(7500, p)) = 1.209404$. For $h_1 = 1$, $\tilde{h} + g \geq 3h_1$ and

$$\min \left\{ \frac{\tilde{h} + g + 2h_1}{\tilde{h} + \delta}, \frac{\tilde{h} + \delta}{\tilde{h} + g - 2h_1} \right\} = 1.000263,$$

so no conclusion for h is possible. Therefore, we try to find a divisor of h with Algorithm 4.5. We start with $q = 5$, the smallest prime divisor of $\tilde{h} + g = 4775$. For the first ideal $\mathfrak{s} = [6/2, (1 + \sqrt{p})/2]$ in the stock \mathcal{S} , Algorithm 4.4

finds that it is not principal, so Step 2 of Algorithm 4.5 now finds a reduced ideal $t = [60238/2, (430595 + \sqrt{p})/2]$ which is equivalent to $s^{\tilde{h}+g} = s^{4775}$. With the help of Algorithm 4.4, this ideal is found to be nonprincipal, so we conclude that $h \neq \tilde{h} + g$.

Step 2(b) is repeated now with, successively, $g = -2, 2, -4, 4$, but similarly as for $g = 0$, this leads to the conclusion that $h \neq 4773, 4777, 4771, 4779$.

Step 2(c) now resorts to PARI-GP's function `quadclassunit` which returns $h(199\,999\,649\,533) = 4785$.

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Herman te Riele, CWI, P.O. Box 94079, 1090 GB Amsterdam, The Netherlands (herman@cwi.nl)

Hugh Williams, Department of Mathematics and Statistics, University of Calgary, Calgary, Alberta, Canada T2N 1N4 (williams@math.ucalgary.ca)

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