

# EXPLICIT SIEGEL THEORY: AN ALGEBRAIC APPROACH

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*To the memory of Martin Eichler*

Let  $Q$  be a positive definite quadratic form on a  $\mathbb{Z}$ -lattice  $L$  of even rank  $m \geq 6$ ; for convenience, assume  $Q(L) \subseteq 2\mathbb{Z}$ . To gain understanding of the representation numbers

$$r(L, 2n) = \#\{x \in L: Q(x) = 2n\},$$

we study the average representation numbers

$$r(\text{gen } L, 2n) = \frac{1}{\text{mass } L} \sum_{L' \in \text{gen } L} \frac{1}{o(L')} r(L', 2n),$$

since  $r(L, 2n)$  is asymptotic to  $r(\text{gen } L, 2n)$  as  $n \rightarrow \infty$ . Here  $L'$  runs over the distinct isometry classes within  $\text{gen } L$ , the genus of  $L$ ;  $o(L')$  denotes the order of the orthogonal group of  $L'$ ; and  $\text{mass } L = \sum_{L' \in \text{gen } L} (1/o(L'))$ .

In the 1930s Siegel used analytic methods to show that  $r(\text{gen } L, 2n)$  is a product of “ $p$ -adic densities” (see [5]; cf. [2]):

$$r(\text{gen } L, 2n) = c \prod_q \frac{A_q(L, 2n)}{q^{m-1}},$$

where  $c$  is an easily computed constant, the product is over all  $q = p^a$  with  $p$  prime and  $a$  sufficiently large, and  $A_q(L, 2n)$  is the number of solutions to  $Q(x) \equiv 2n \pmod{q}$ ,  $x \in L/qL$ . (Siegel actually shows that the average number of times a definite or indefinite quadratic form of arbitrary level and rank at least 4 represents another quadratic form is the product of  $p$ -adic densities.) One could use Hensel’s lemma to compute the  $p$ -adic densities  $((A_q(L, 2n))/(q^{m-1}))$ , but this gets extremely tedious when  $L$  is of arbitrary level.

We use algebraic considerations to obtain a new derivation of Siegel’s formula, obtaining a more explicit formula for average representation numbers. We first consider lattices  $K$  whose associated theta series  $\theta(K; \tau)$  have square-free, odd-level  $N$ , and quadratic character  $\chi$ . Using local considerations, we design

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operators on modular forms for which  $\theta(\text{gen } K; \tau)$  is an eigenform. We then consider the action of these operators on Eisenstein series, constructing the 1-dimensional simultaneous eigenspace for these operators. Since  $\theta(\text{gen } K; \tau)$  is known to lie in the space of Eisenstein series (see [5]; cf. [7]), this allows us to write  $\theta(\text{gen } K; \tau)$  as an explicit linear combination of Eisenstein series, giving us our initial formula for average representation numbers (Corollaries 2.6 and 2.7):

$$r(\text{gen } K, 2n) = \frac{\chi(2)}{a_0} \sum_{\substack{D|N \\ d|n}} \frac{\chi_{N/D}(d)\chi_D(n/d)}{c(D)} d^{m/2-1} = \rho_{K,\infty} \prod_{p \text{ prime}} \rho_{K,p}(n),$$

where  $\chi_D, \chi_{N/D}$  are the unique quadratic characters modulo  $D, N/D$  (respectively) so that  $\chi_D \chi_{N/D} = \chi$ ,  $a_0$  and  $\rho_{K,\infty}$  are explicit constants, the  $c(D)$  are given by simple formulas in terms of the genus invariants of  $K$ , and with  $N'$  the conductor of  $\chi$ ,

$$\rho_{K,p}(n) = \begin{cases} \frac{1 - (\chi(p)p^{m/2-1})^{e+1}}{1 - \chi(p)p^{m/2-1}} (1 - \chi(p)p^{-m/2}) & \text{if } p \nmid N, \\ (c_K(p) + \chi_p(n/p^e)\chi_{N/p}(p^e)p^{e(m/2-1)}) \frac{p^{m/2-2} - 1}{p^{m/2-1} - 1} & \text{if } p|N/N', \\ (c_K(p) + \chi_p(n/p^e)\chi_{N/p}(p^e)p^{e(m/2-1)})p^{-1/2} & \text{if } p|N'. \end{cases}$$

We also show that the average theta series attached to the genera within fam  $K$  are linearly independent (Corollary 2.8).

Next, given a lattice  $L$  whose theta series has arbitrary (odd) level  $N'$ , we use lattice constructions and combinatorial arguments to obtain a description of  $\theta(\text{gen } L; \tau)$  in terms of partial sums of  $\theta(\text{gen } K; \tau)$  where  $K$  has square-free level. Using the formulas for  $r(\text{gen } K, 2n)$ , we prove that  $r(\text{gen } L, 2n) = \rho_{L,\infty} \prod_q \rho_{L,q}(n)$  where, for each prime  $q$  with  $e = \text{ord}_q(n)$  and  $\varepsilon = ((n/q^e)/q)$ ,

$$\rho_{L,q}(n) = v_e(\varepsilon; L, q) + \sum_{0 \leq \ell < e} q^{(m/2-1)(e-\ell)} v_\ell(0; L, q);$$

here the quantities  $v_\ell$  are given by simple formulas in terms of the genus invariants of  $L$  at  $q$  (see Theorem 3.7).

Since it can be shown that the average theta series of a genus is also that of a spinor genus, these formulas describe the average representation numbers of the spinor genus of  $L$ .

The lattice techniques used herein are local; thus we can extend these results to lattices of arbitrary rank over totally real number fields (work in progress) and possibly to Siegel modular forms.

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**§1. Preliminaries.** We review some standard notation and terminology and state some basic results. The reader is referred to [4], [1], and [3].

Let  $V$  be an  $m$ -dimensional vector space over  $\mathbb{Q}$ ; assume  $m$  is even. Let  $Q$  be a positive definite quadratic form on  $V$  with associated symmetric bilinear form  $B$  (so  $Q(x) = B(x, x)$ ). Take  $L$  to be a lattice on  $V$  (i.e., a rank- $m$   $\mathbb{Z}$ -submodule of  $V$ ); for convenience, assume  $L$  is even integral, that is,  $Q(L) \subseteq 2\mathbb{Z}$ . Define the discriminant of  $L$  to be  $dL = \det(B(x_i, x_j))$ , where  $\{x_1, \dots, x_m\}$  is a  $\mathbb{Z}$ -basis for  $L$ . Let  $O(V)$  denote the orthogonal group of  $V$  (i.e., the collection of all (global) isometries of  $V$ ) and  $O(L)$  that of  $L$ . Since  $Q$  is positive definite,  $O(L)$  is finite. We say a lattice  $K$  is isometric to  $L$ , written  $K \simeq L$ , if there is an isometry  $\sigma \in O(V)$  so that  $\sigma K = L$ . For any prime  $q$ , let  $\mathbb{Z}_{(q)}$  denote the  $q$ -adic integers and  $L_{(q)} = L \otimes \mathbb{Z}_{(q)}$ .  $Q$  extends naturally to a quadratic form on  $L_{(q)}$ .

We say a lattice  $K$  is in the genus of  $L$ ,  $\text{gen } L$ , if  $K_{(q)} \simeq L_{(q)}$  at each prime  $q$  (i.e., there is a local isometry at each prime  $q$  taking  $K_{(q)}$  onto  $L_{(q)}$ ). There are a finite number of (global) isometry classes within  $\text{gen } L$ . A lattice  $K$  is in the family of  $L$ ,  $\text{fam } L$ , if  $K$  is a lattice on  $V^\alpha$  for some odd  $\alpha \in \mathbb{Z}_+$ , and for every prime  $q$  there is a  $q$ -adic unit  $u$  so that  $K_{(q)} \simeq L_{(q)}^u$  (see [7]). Here,  $V^\alpha$  denotes the vector space  $V$  scaled by  $\alpha$ , that is,  $V$  equipped with the quadratic form  $\alpha Q$ , and  $L_{(q)}^u$  denotes  $L_{(q)}$  scaled by  $u$ . As shown in Lemma 3.1 of [7], there are  $2^r$  genera in  $\text{fam } L$  for some  $r \in \mathbb{Z}_+$ ; in Lemma 1.3 below, we give a more precise count.

Say  $q$  is an odd prime. Then  $L_{(q)}$  can be diagonalized. That is, there is a  $\mathbb{Z}_{(q)}$ -basis  $\{x_1, \dots, x_m\}$  for  $L_{(q)}$  so that  $(B(x_i, x_j)) = \text{diag}\{Q(x_1), \dots, Q(x_m)\}$ ; we write  $L_{(q)} \simeq \langle \alpha_1, \dots, \alpha_m \rangle$  where  $\alpha_i = Q(x_i)$ . In fact,  $L_{(q)} = J_0 \perp \dots \perp J_s$  where each  $J_i$  is  $q^i$ -modular; that is,  $J_i \simeq q^i \langle 1, \dots, 1, \eta_i \rangle$ ,  $\eta_i \in \mathbb{Z}_{(q)}^\times$ . The  $J_i$  are called Jordan components of  $L_{(q)}$ . These are not uniquely determined by  $L$ , but their  $\mathbb{Z}_{(q)}$ -isometry classes are. Note that the  $\mathbb{Z}_{(q)}$ -isometry class of a  $q^i$ -modular lattice is determined by its rank and its discriminant (up to squares of  $q$ -adic units). Thus we have

$$L_{(q)} \simeq \langle 1, \dots, 1, \eta_0 \rangle \perp q \langle 1, \dots, 1, \eta_1 \rangle \perp \dots \perp q^s \langle 1, \dots, 1, \eta_s \rangle, \text{ and so}$$

$$L \simeq \langle 1, \dots, 1, \eta_0 \rangle \perp q \langle 1, \dots, 1, \eta_1 \rangle \perp \dots \perp q^s \langle 1, \dots, 1, \eta_s \rangle \pmod{q^t}$$

for any  $t \in \mathbb{Z}_+$ ; that is, relative to some  $\mathbb{Z}$ -basis  $\{x_1, \dots, x_m\}$  for  $L$ ,  $(B(x_i, x_j)) \equiv \langle 1, \dots, 1, \eta_0 \rangle \perp \dots \perp q^s \langle 1, \dots, 1, \eta_s \rangle \pmod{q^t}$ . From this we obtain the following technical lemma.

**LEMMA 1.1.** *Let  $L, L'$  be even integral  $\mathbb{Z}$ -lattices and  $q$  an odd prime. Write  $L_{(q)} \simeq \langle 1, \dots, 1, \eta_0 \rangle \perp \dots \perp q^s \langle 1, \dots, 1, \eta_s \rangle$ ,  $L'_{(q)} \simeq \langle 1, \dots, 1, \eta'_0 \rangle \perp \dots \perp q^{s'} \langle 1, \dots, 1, \eta'_{s'} \rangle$ .*

(1) *Suppose  $L \simeq L' \pmod{q^t}$  where  $t > s, s'$ . Then  $L_{(q)} \simeq L'_{(q)}$ .*

(2) *Suppose  $L_{(q)} \simeq L'_{(q)}$ . Then  $L \simeq L' \pmod{q^t}$  for any  $t \in \mathbb{Z}_+$ .*

Assume we have scaled  $L$  so that  $Q(L) \subseteq 2\mathbb{Z}$ ,  $Q(L) \not\subseteq 2n\mathbb{Z}$  for any  $n > 1$ . Then with notation as above,  $L/qL$  is a  $\mathbb{Z}/q\mathbb{Z}$ -vector space. Here we use  $Q$  and  $B$  to

denote the quadratic and bilinear forms naturally induced on  $L/qL$ ; the induced forms take values in  $\mathbb{Z}/q\mathbb{Z}$ . We call a nonzero vector  $\bar{x} \in L/qL$  isotropic if  $Q(\bar{x}) = 0$ ; we call  $\bar{x}$  anisotropic if  $Q(\bar{x}) \neq 0$ . (Note: When it will not cause confusion, we use  $\bar{x}$  freely to denote the image of  $x$  in various reduced lattices  $L'/qL'$ .) A subspace of  $L/qL$  is called totally isotropic if all its nonzero vectors are isotropic, and it is called anisotropic if it contains no (nonzero) isotropic vectors. We define the radical to be

$$\text{rad } L/qL = \{\bar{x} \in L/qL: B(\bar{x}, \bar{y}) = 0 \text{ for all } \bar{y} \in L/qL\}.$$

If  $\text{rad } L/qL = \{0\}$ , then we say  $L/qL$  is regular, and we have  $L/qL = H_1 \perp \cdots \perp H_k \perp A$ , where  $A$  is anisotropic of dimension 0, 1, or 2, and each  $H_i$  is a hyperbolic plane; that is,  $H_i \simeq \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \simeq \langle 1, -1 \rangle$ . Here  $k$  is called the Witt index of  $L/qL$ . When  $L/qL$  is not regular,  $L/qL = \bar{U} \perp \text{rad } L/qL$  for some regular subspace  $\bar{U}$  whose isometry class is uniquely determined by  $L/qL$ . We say the Witt index of  $L/qL$  is that of  $\bar{U}$ . More generally, we say a space of type  $(r; d, \mu)$  is a  $\mathbb{Z}/q\mathbb{Z}$ -quadratic space  $\bar{W} = \bar{U} \perp \text{rad } \bar{W}$  such that  $\dim \bar{W} = r$ ,  $\dim \bar{U} = d$ , and  $((-1)^\ell d\bar{U}/q) = \mu$ , where  $\ell = [d/2]$ ,  $d\bar{U}$  = the discriminant of  $\bar{U}$ , and  $(*/*)$  denotes the Legendre symbol. When  $r = d$ , we simply say the space is type  $(d, \mu)$ . (For instance, a hyperbolic plane is type  $(2, 1)$ .)

One easily verifies the next result.

**PROPOSITION 1.2.** *Let  $L$  be an even integral lattice and  $q$  an odd prime with*

$$L_{(q)} = J_0 \perp \cdots \perp J_s \quad \text{and} \quad J_i \simeq q^i \langle 1, \dots, 1, \eta_i \rangle$$

for some  $\eta_i \in \mathbb{Z}_{(q)}^\times$ .

(1) Say  $\bar{C}$  is a  $d$ -dimensional totally isotropic subspace of  $L/qL$  such that  $\bar{C} \cap \text{rad } L/qL = \{0\}$ . Thus  $L/qL = (\bar{C} \oplus \bar{D}) \perp \bar{U} \perp \text{rad } L/qL$ , where  $\bar{C} \oplus \bar{D}$  is hyperbolic (i.e., an orthogonal sum of hyperbolic planes) and  $\bar{U} \simeq \langle 1, \dots, 1, \eta' \rangle$  is an  $(r - d, \mu)$  space. Let  $M$  = preimage in  $L$  of  $\bar{C} \oplus \text{rad } L/qL$ , and  $M'$  = preimage in  $L$  of  $\bar{C}^\perp$ , where  $\bar{C}^\perp = \{\bar{x}: B(\bar{x}, \bar{C}) = 0\}$ . Then  $M_{(q')} = M'_{(q')} = L_{(q')}$  for every prime  $q' \neq q$ , and

$$M_{(q)} \simeq q \langle 1, -1, \dots, 1, -1 \rangle \perp J_1 \perp q^2 \langle 1, \dots, 1, \eta' \rangle \perp J_2 \perp \cdots \perp J_s,$$

$$M'_{(q)} \simeq \langle 1, \dots, 1, \eta' \rangle \perp q \langle 1, -1, \dots, 1, -1 \rangle \perp J_1 \perp J_2 \perp \cdots \perp J_s,$$

where  $\langle 1, -1, \dots, 1, -1 \rangle$  has rank  $2d$ ,  $\langle 1, \dots, 1, \eta' \rangle$  has rank  $-2d + \text{rank } J_0$ ,  $\eta' \in \mathbb{Z}_{(q)}^\times$ , and  $(\eta'/q) = ((-1)^d \eta_0/q)$ .

(2) Say  $J_0 = C_0 \perp D_0$ ,  $J_1 = C_1 \perp D_1$  (so  $C_i, D_i$  are necessarily  $q^i$ -modular). Let  $M$  = preimage in  $L$  of  $\bar{C}_0 \perp \bar{C}_1 \subseteq L/qL$ . Then  $M_{(q')} = M'_{(q')} = L_{(q')}$  for every prime  $q' \neq q$ , and

$$M_{(q)} = C_0 \perp C_1 \perp qD_0 \perp J_2 \perp qD_1 \perp J_3 \perp \cdots \perp J_s.$$

(3) When  $R = \text{preimage in } L \text{ of } \text{rad } L/qL$ , we have  $R_{(q)} = J_1 \perp qJ_0 \perp J_2 \perp \cdots \perp J_s$ .

We define the theta series attached to  $L$  to be  $\theta(L; \tau) = \sum_{x \in L} e^{\pi i Q(x)\tau}$  where  $\tau \in \mathcal{H} = \{\tau' \in \mathbb{C} : \Im \tau' > 0\}$ . Since  $Q$  is positive definite,  $\theta(L; \tau)$  is a modular form of weight  $m/2$ , some level  $N$ , and character  $\chi_L$ , where  $\chi_L(d) = (\text{sgn } d)^{m/2}((-1)^{m/2} dL/|d|)$ , where  $(*/*)$  is the Kronecker symbol. We refer to the level of  $\theta(L; \tau)$  as the level of  $L$ . For odd primes  $q$ ,  $\text{ord}_q N = s$ , where  $s$  is as above in the Jordan decomposition of  $L_{(q)}$ .  $\chi_L$  is a quadratic character modulo  $N$ , and for odd primes  $p$  not dividing  $N$ ,  $\chi_L(p) = 1$  if and only if  $L/pL$  is hyperbolic. We will be assuming  $N = \text{level of } L$  is odd, so (cf. [6]) we necessarily have

$$L_{(2)} \simeq \begin{pmatrix} 2a_1 & 1 \\ 1 & 2c_1 \end{pmatrix} \perp \cdots \perp \begin{pmatrix} 2a_{m/2} & 1 \\ 1 & 2c_{m/2} \end{pmatrix}$$

and  $(-1)^{m/2} dL \equiv 1 \pmod{4}$ .

We say a lattice  $K$  has minimal level and discriminant at an odd prime  $q$  if, for some  $\eta, \eta' \in \mathbb{Z} - q\mathbb{Z}$ ,

$$K_{(q)} \simeq \begin{cases} \langle 1, \dots, 1, \eta \rangle & \text{or} \\ \langle 1, \dots, 1, \eta \rangle \perp q\langle \eta' \rangle & \text{or} \\ \langle 1, \dots, 1, \eta \rangle \perp q\langle 1, \eta' \rangle & \text{where } \left( \frac{(-1)^{m/2-1}\eta}{q} \right) = -1 = \left( \frac{-\eta'}{q} \right). \end{cases}$$

In the last case, the condition on Legendre symbols means that neither Jordan component of  $K$  is hyperbolic modulo  $q$  (where we consider the second Jordan component scaled by  $1/q$ ). When  $K$  has minimal (odd) level and discriminant at all odd primes, we simply say  $K$  has minimal level and discriminant.

**LEMMA 1.3.** *Suppose  $K$  has minimal, odd level  $N$  and minimal discriminant  $dK$ ; let  $q_1, \dots, q_h$  be the primes exactly dividing  $N$ . If  $h = 0$ , then  $\text{fam } K = \text{gen } K$ ; if  $h > 0$ , then there are  $2^{h-1}$  genera in  $\text{fam } K$ .*

*Proof.* As the case  $h = 0$  is trivial, we suppose  $h > 0$ ; take  $K' \in \text{fam } K$ , and define  $\chi(d) = (\text{sgn } d)^{m/2}((-1)^{m/2} dK/|d|)_K$ , where  $(*)_K$  denotes the Kronecker symbol. (So  $(*/d)_K$  is the Jacobi symbol  $(*/d)$  when  $d$  is positive and odd.) Note that our assumptions on  $K$  imply  $dK = q_1 \cdots q_h \ell^2$  for some  $\ell \in \mathbb{Z}$ , and  $(-1)^{m/2} q_1 \cdots q_h \equiv 1 \pmod{4}$  (cf. [6]). Then as described in the proof of Lemma 3.1 of [7],  $K' = J^{1/\alpha}$ , where  $J$  is “connected to  $K$  by a prime-sublattice chain.” That is,  $\alpha = p_1 \cdots p_r p_{r+1}^2 \cdots p_{r+s}^2$  where the  $p_j$  are odd primes (not necessarily distinct) with  $\chi(p_j) = 1$  if  $j \leq r$ , and there exist lattices  $J_0 = K$ ,  $J_1, \dots, J_{r+s-1}$ ,  $J_{r+s} = J$  such that  $J_j$  is a  $p_j$ -sublattice of  $J_{j-1}$  if  $j \leq r$ , and  $J_j$  is a  $p_j^2$ -sublattice of  $J_{j-1}$  if  $j > r$ . (A  $p$ -sublattice  $J'$  of  $J$  is the preimage in  $J$  of a maximal totally isotropic subspace of the quadratic space  $J/pJ$ . A  $p^2$ -sublattice  $J'$  of  $J$  is a

$p$ -sublattice of a  $p$ -sublattice of  $J$  with  $\dim J'/(J' \cap pJ)$  maximal; cf. [6].) Hence  $\chi(\alpha)$  must equal 1. Also (cf. [6] and [7]),  $K'_{(q)} \simeq K_{(q)}$  for all primes  $q \nmid q_1 \cdots q_h$  (for  $q = 2$ , refer to §82E and 93:16 of [4]) and  $K'_{(q_i)} \simeq K_{(q_i)}$  if and only if  $(\alpha/q_i) = 1$ . Thus we identify  $\text{gen } K'$  with the vector  $((\alpha/q_1), \dots, (\alpha/q_h))$ . As  $1 = \chi(\alpha) = (\alpha/N) = (\alpha/q_1 \cdots q_h)$ , the value of  $(\alpha/q_h)$  is determined by the values of  $(\alpha/q_j)$  for  $j < h$ . Hence there can be at most  $2^{h-1}$  genera within  $\text{fam } K$ .

On the other hand, choose  $\varepsilon_j = \pm 1$  for  $1 \leq j < h$  and set  $\varepsilon_h = \varepsilon_1 \cdots \varepsilon_{h-1}$ . Using the Chinese Remainder theorem, we can find an odd prime  $p$  such that  $(p/q_j) = \varepsilon_j$  for  $1 \leq j \leq h$ ; notice that quadratic reciprocity implies that  $\chi(p) = 1$ . Let  $J$  be a  $p$ -sublattice of  $K$  and set  $K' = J^{1/p}$ ; then  $K' \in \text{fam } K$  and  $\text{gen } K'$  corresponds to  $(\varepsilon_1, \dots, \varepsilon_h)$ . Hence  $\text{fam } K$  contains  $2^{h-1}$  genera.  $\square$

*Remark.* Consider the group  $S = \{(\varepsilon_1, \dots, \varepsilon_h) : \varepsilon_i = \pm 1, \varepsilon_1 \cdots \varepsilon_h = 1\}$ ; as in [8], let  $\{v_1, \dots, v_{h-1}\}$  be a set of generators of this group. For each  $j$ , we can find an odd prime  $p_j$  such that  $v_j = ((p_j/q_1), \dots, (p_j/q_h))$ . Notice that we necessarily have  $1 = (p_j/q_1 \cdots q_h) = \chi(p_j)$ . Let  $A = p_1 \cdots p_{h-1}$ . Then each divisor  $\alpha$  of  $A$  corresponds to  $((\alpha/q_1), \dots, (\alpha/q_h)) \in \mathcal{S}$ . Thus we may index the genera in  $\text{fam } K$  by the divisors of  $A$ .

**PROPOSITION 1.4.** *Let  $K$  be a lattice of level  $N$ , and let  $q$  be an odd prime such that  $K$  has minimal level and discriminant at  $q$ . Set  $R = \text{preimage in } K \text{ of } \text{rad}(K/qK)$ . Then  $O(R) = O(K)$  (where  $O(K)$  denotes the orthogonal group of  $K$ ).*

*Proof.* Take  $\sigma \in O(K)$ . Then for  $x \in R$ , we have

$$B(K, \sigma x) = B(\sigma K, \sigma x) = B(K, x) \equiv 0 \pmod{q}.$$

Hence  $\sigma x \in \text{rad } K/qK$ , so  $\sigma x \in R$ . Thus  $O(K) \subseteq O(R)$ . Since  $qK = \text{preimage in } R \text{ of } \text{rad } R/qR$  (where  $R$  is scaled by  $1/q$ ), we also have  $O(R) \subseteq O(qK) = O(K)$ .  $\square$

**PROPOSITION 1.5.** *Let  $K, R$  be as in the preceding proposition. As  $K'$  varies over the isometry classes in  $\text{gen } K$ , the corresponding  $R'$  varies over the classes in  $\text{gen } R$ .*

*Proof.* Suppose  $R' \in \text{gen } R$  with  $qK' = \text{preimage in } R' \text{ of } \text{rad } R'/qR'$  (where  $R'$  is scaled by  $1/q$ ). Thus  $R' = \text{preimage in } K' \text{ of } \text{rad } K'/qK'$ . One easily verifies that whenever a (local or global) isometry  $\sigma$  carries  $R$  to  $R'$ , then  $\sigma$  also carries  $qK$  to  $qK'$  and hence  $K$  to  $K'$ .  $\square$

Given any lattice  $L$ , the Fourier coefficients of  $\theta(L; \tau)$  are the representation numbers of  $L$ :

$$\theta(L; \tau) = \sum_{n \geq 0} r(L, 2n) e^{2\pi i n \tau}, \quad \text{where } r(L, 2n) = \# \{x \in L : Q(x) = 2n\}.$$

We define the average theta series to be  $\theta(\text{gen } L; \tau) = 1/\text{mass } L \sum_{L' \in \text{gen } L} \times (1/o(L'))\theta(L'; \tau)$ , where  $L'$  runs over the isometry classes in  $\text{gen } L$ ,  $o(L') = \#O(L')$  = the order of the orthogonal group of  $L'$ , and  $\text{mass } L = \sum_{L' \in \text{gen } L} (1/o(L'))$ . Thus

$$\theta(\text{gen } L; \tau) = \sum_{n \geq 0} r(\text{gen } L, n) e^{2\pi i n \tau},$$

where

$$r(\text{gen } L, n) = \frac{1}{\text{mass } L} \sum_{L' \in \text{gen } L} \frac{1}{o(L')} r(L', 2n).$$

In [7] we showed  $\theta(\text{gen } L; \tau)$  lies in the space of Eisenstein series by examining the action of Hecke operators  $T_p$ ,  $p \nmid 2N$ , on  $\theta(L; \tau)$ . Let  $q_1, \dots, q_h$ ,  $A$  be as in our discussion of fam  $L$  following Lemma 1.3. Given  $\alpha|A$  with corresponding genus  $\text{gen } K_\alpha$  and prime  $p$  such that  $\chi(p) = 1$ , we have

$$\theta(\text{gen } K_\alpha; \tau)|T_p = (p^{m/2-1} + 1)\theta(\text{gen } K_\beta; \tau),$$

where  $\beta|A$ ,  $\beta \equiv p\alpha \pmod{q_1 \cdots q_h}$  (see Lemma 3.3 of [7]).

In this paper we make use of some other standard operators on weight  $m/2$  modular forms. For  $q$  an odd prime dividing  $N$ , we let

$$B_q = q^{-m/4} \begin{pmatrix} q & 0 \\ 0 & 1 \end{pmatrix}, \quad U_q = q^{m/4-1} \sum_{b=1}^q \begin{pmatrix} 1 & b \\ 0 & q \end{pmatrix}, \quad R_q = \frac{1}{g_q} \sum_{a=1}^q \begin{pmatrix} a \\ \frac{a}{q} \end{pmatrix} \begin{pmatrix} 1 & a/q \\ 0 & 1 \end{pmatrix}$$

where  $g_q = \sum_{b \bmod q} (b/q) e^{2\pi i b/q}$ . So for a modular form  $f(\tau) = \sum_{n \geq 0} a(n) e^{2\pi i n \tau}$ , we have

$$f(\tau)|B_q = \sum_{n \geq 0} a(n) e^{2\pi i q n \tau}, \quad f(\tau)|U_q = \sum_{n \geq 0} a(qn) e^{2\pi i n \tau},$$

and

$$f(\tau)|R_q = \sum_{n \geq 0} \left(\frac{n}{q}\right) a(n) e^{2\pi i n \tau}.$$

Notice that for any lattice  $L$ ,  $\theta(L; \tau)|B_q^2 = \theta(qL; \tau)$ .

Let  $G(\tau; c, d; N)$  denote the Eisenstein series of weight  $m/2$ , odd, square-free level  $N$ , and quadratic character  $\chi$ , as defined in Chapter IV of [3]. As usual, we assume  $(-1)^{m/2} = \chi(-1)$ . For  $D|N$ , set

$$E_D(\tau) = \frac{D^{m/2-1} \Gamma(m/2)}{2(-2\pi i)^{m/2}} \sum_{\substack{a \bmod N \\ b \bmod N/D \\ c \bmod D}} \chi_{N/D}(b) \chi_D(c) e^{-2\pi i a c/D} G(\tau; bD, a; N).$$

Then by Theorem 15 in Chapter IV of [3], we find that each  $E_D$  is a simultaneous eigenform for the Hecke operators  $T_p$ ,  $p \nmid 2N$ , and  $\{E_D: D|N\}$  is a basis for the space of Eisenstein series of weight  $m/2$ , level  $N$ , and character  $\chi$ . From Proposition 17 in Chapter IV of [3], we see that  $E_D(\tau) = \sum_{n \geq 0} a_D(n) e^{2\pi i n \tau}$ , where

$$a_D(0) = \begin{cases} 0 & \text{if } D \neq N, \\ \frac{N^{m/2-1} \Gamma(m/2)}{2(2\pi i)^{m/2}} \sum_{\substack{n \geq 1 \\ b \bmod N}} \chi(b) e^{2\pi i n b / N} n^{-m/2} & \text{if } D = N, \end{cases}$$

and for  $n \geq 1$ ,

$$a_D(n) = \sum_{\substack{d|n \\ d > 0}} \chi_{N/D}(n/d) \chi_D(d) d^{m/2-1}.$$

Standard techniques for evaluating Gauss sums show that

$$a_N(0) = \frac{N^{m/2-1} \Gamma(m/2)}{(2\pi i)^{m/2}} G(\chi_{N'}, 1) \mu(N/N') L(\chi, m/2) \prod_{\substack{q|N/N' \\ q \text{ prime}}} \frac{1 - \chi_{N'}(q) q^{1-m/2}}{1 - \chi_{N'}(q) q^{-m/2}},$$

where  $N' = \text{cond } \chi$ ,  $G(\chi_{N'}, 1)$  is the standard Gauss sum (modulo  $N'$ ) and  $L(\chi, s) = \sum_{n \geq 1} \chi(n) n^{-s}$ , the standard Dirichlet series for  $\chi$  (modulo  $N$ ).

**§2. Lattices of minimal level and discriminant.** Throughout this section, let  $K$  be a lattice of odd level  $N$  and discriminant  $dK$ . We derive formulas for the average representation numbers of  $\text{gen } K$  when  $K$  has minimal level and discriminant.

*Convention.* When a lattice  $J$  has the property that the first Jordan component of  $J_{(q)}$  is  $q^k$ -modular, we use the quadratic form  $q^{-k}Q$  on the  $\mathbb{Z}/q\mathbb{Z}$ -space  $J/qJ$ .

The proofs of the following two propositions illustrate the main techniques used throughout the paper.

**PROPOSITION 2.1.** *Suppose  $N \neq 1$ , where  $N$  denotes the level of  $K$ ; let  $q$  be an odd prime dividing  $N$ . Suppose  $K$  has minimal level and discriminant at  $q$ . Thus for any  $t \in \mathbb{Z}_+$ ,*

$$K \simeq \begin{cases} \langle 1, \dots, 1, \eta \rangle \perp q \langle \eta' \rangle \pmod{q^t} & \text{if } q \nmid dK, \\ \langle 1, \dots, 1, \eta \rangle \perp q \langle 1, \eta' \rangle \pmod{q^t} & \text{if } q^2 \mid dK; \end{cases}$$

recall that in the latter case our hypotheses on  $K$  imply  $((-1)^{m/2-1}\eta/q) = -1 = (-\eta'/q)$ . Let

$$R = \text{preimage in } K \text{ of } \text{rad } K/qK,$$

and let  $dK$  denote the discriminant of  $K$ . Let  $p$  be an odd prime not dividing the level of  $K$  such that

$$\chi_q(p) = \chi_q((-1)^{m/2-1}\eta\eta'), \quad \left(\frac{p}{q'}\right) = \left(\frac{q}{q'}\right)$$

for all primes  $q'|N$ ,  $q' \neq q$ . We refer to  $p$  as a prime associated to  $q$ . Then  $\chi_K(p) = 1$  and

$$\begin{aligned} \theta(\text{gen } R; \tau) &= \theta(\text{gen } K; \tau)|_{T_{K/R}(q)} \\ &= \theta(\text{gen } K; \tau) \left| \left[ \frac{q^{m/2-1} + 1}{q^{m/2-1}(p^{m/2-1} + 1)} B_q T_p - \frac{1}{q^{m/2-1}} U_q B_q \right] \right|. \end{aligned}$$

*Remark.* When  $q \nmid dK$ ,  $R = qK$ , and so  $\theta(\text{gen } R; \tau) = \theta(\text{gen } K; \tau)|_{B_q^2}$ . Also, this proposition extends easily to the case  $dK$  by imposing the extra condition  $p \equiv q \pmod{8}$ .

*Proof.* Let  $\bar{C}$  be a maximal totally isotropic subspace of  $K/qK$  (so  $\text{rad } K/qK \subseteq \bar{C}$ ), and let

$$K' = \text{preimage in } K \text{ of } \bar{C}.$$

By Proposition 1.2,

$$K' \simeq \begin{cases} q\langle 1, \dots, 1, (-1)^{m/2-1}\eta' \rangle \perp q^2\langle (-1)^{m/2-1}\eta \rangle \pmod{q^t} & \text{if } q \nmid dK, \\ q\langle 1, \dots, 1, \eta \rangle \perp q^2\langle 1, \eta' \rangle \pmod{q^t} & \text{if } q^2 \mid dK \end{cases}$$

for any  $t \in \mathbb{Z}_+$ . Also, for any prime  $q' \neq q$ ,  $K'_{(q')} = K_{(q')}$ .

Clearly these sublattices  $K'$  are in one-to-one correspondence with these subspaces  $\bar{C}$ . Using the formulas from [1, p. 146] (cf. Proposition 7.2 of [6]), we find there are

$$(q^{m/2-1} + 1)\beta = \begin{cases} (q^{m/2-1} + 1)(q^{m/2-2} + 1) \cdots (q + 1) & \text{if } q \nmid dK, \\ (q^{m/2-1} + 1)(q^{m/2-2} + 1) \cdots (q^2 + 1) & \text{if } q^2 \mid dK \end{cases}$$

ways to choose  $\bar{C}$ , and exactly  $\beta$  of these contain a given vector  $x \in K - R$  provided  $q \nmid Q(x)$ . When  $q \nmid Q(x)$ ,  $x \notin K'$  for every  $K'$ , and when  $x \in R$ , we have

$x \in K'$  for each choice of  $K'$ . Thus, we find that

$$\theta(K; \tau) | U_q B_q + q^{m/2-1} \theta(R; \tau) = \frac{1}{\beta} \sum_{K'} \theta(K'; \tau),$$

where  $K'$  varies over all the sublattices constructed as above.

For  $J, J'$  lattices on  $V$ , let  $f(J, J') = \# \{ \sigma \in O(V) : qJ \subset \sigma J' \subset J \}$ . So

$$\theta(K; \tau) | U_q B_q + q^{m/2-1} \theta(R; \tau) = \frac{1}{\beta} \sum_{M' \in \text{gen } K'} \frac{f(K, M')}{o(M')} \theta(M'; \tau),$$

where  $K'$  is any sublattice constructed above, and  $M'$  runs over the isometry classes in  $\text{gen } K'$ . Averaging over the isometry classes in  $\text{gen } K$  (and thus the corresponding isometry classes in  $\text{gen } R$ ; see Propositions 1.4 and 1.5), we get

$$\begin{aligned} & \theta(\text{gen } K; \tau) | U_q B_q + q^{m/2-1} \theta(\text{gen } R; \tau) \\ &= \frac{1}{\beta \cdot \text{mass } K} \sum_{M' \in \text{gen } K'} \left( \sum_{M \in \text{gen } K} \frac{f(M, M')}{o(M)} \right) \frac{1}{o(M')} \theta(M'; \tau) \\ &= \frac{1}{\beta \cdot \text{mass } K} \sum_{M' \in \text{gen } K'} \left( \sum_{M \in \text{gen } K} \frac{f(M', qM)}{o(qM)} \right) \frac{1}{o(M')} \theta(M'; \tau). \end{aligned}$$

Now,  $\sum_{M \in \text{gen } K} f(M', qM)/o(qM) = (q^{m/2-1} + 1)\beta$ , the number of maximal totally isotropic subspaces of  $M'/qM'$ , so

$$\theta(\text{gen } K; \tau) | U_q B_q + q^{m/2-1} \theta(\text{gen } R; \tau) = (q^{m/2-1} + 1) \frac{\text{mass } K'}{\text{mass } K} \theta(\text{gen } K'; \tau).$$

Comparing zeroth Fourier coefficients, we find that

$$\theta(\text{gen } K; \tau) | U_q B_q + q^{m/2-1} \theta(\text{gen } R; \tau) = (q^{m/2-1} + 1) \theta(\text{gen } K'; \tau).$$

If  $q' \nmid \text{cond } \chi$ , then  $K_{(q')}^q \simeq K_{(q')} \simeq K'_{(q')}$ , but if  $q' | \text{cond } \chi$ , then  $K_{(q')}^q \simeq K'_{(q')}$  only if  $(q/q') = 1$ . Thus, we do not necessarily have  $\theta(\text{gen } K'; \tau) = \theta(\text{gen } K; \tau) | B_q$ . However, we claim that

$$\theta(\text{gen } K'; \tau) = \frac{1}{p^{m/2-1} + 1} \theta(\text{gen } K; \tau) | B_q T_p = \frac{1}{p^{m/2-1} + 1} \theta(\text{gen } K; \tau) | T_p B_q.$$

To verify this claim, first note that

$$\chi(p) = \left( \frac{(-1)^{m/2} dK}{p} \right) = \left( \frac{(-1)^{m/2} q_1 \cdots q_h N_0^2}{p} \right),$$

where  $q_1, \dots, q_h$  are distinct primes and  $N_0 \in \mathbb{Z}_+$ . Since by assumption,  $\chi$  is a character of odd level  $N$ , we must have  $(-1)^{m/2} q_1 \cdots q_h \equiv 1 \pmod{4}$ , and  $\text{cond } \chi = q_1 \cdots q_h$ . Hence our constraints on  $p$  and quadratic reciprocity imply that  $\chi(p) = 1$ . Thus by Lemmas 5.2 of [6] and 3.3 of [7], we have

$$\theta(\text{gen } K; \tau)|_{T_p} = (p^{m/2-1} + 1) \frac{\text{mass } M}{\text{mass } K} \theta(\text{gen } M; \tau) = (p^{m/2-1} + 1) \theta(\text{gen } M; \tau),$$

where  $M$  is a lattice on  $V^{1/p}$ ,  $M_{(p)} \simeq K_{(p)}$ , for all primes  $q' \neq p$ ,  $M_{(q')} \simeq K_{(q')}^p$ , and the last equality follows from comparing zeroth Fourier coefficients. So for  $q' \neq p$ , our constraints on  $p$  imply that

$$M_{(q')}^q \simeq K_{(q')}^{pq} \simeq K_{(q')} \simeq K'_{(q')}.$$

Also, since  $p \nmid dK$ ,  $M_{(p)}^q \simeq K_{(p)}^q \simeq K_{(p)} \simeq K'_{(p)}$ . Hence,  $M^q \in \text{gen } K'$ , and

$$\theta(\text{gen } K; \tau)|_{T_p B_q} = (p^{m/2-1} + 1) \theta(\text{gen } K'; \tau).$$

The proposition now follows by solving our earlier equation for  $\theta(\text{gen } R; \tau)$ .  $\square$

Assume still that  $q$  is an odd prime dividing  $N$ ; let  $p$  be a prime associated to  $q$  as in Proposition 2.1. Define

$$T_K(q) = \begin{cases} U_q^2 - (q^{m/2} + q^{m/2-1}) U_q B_q + \frac{q^{m-2} + q^{m/2-1}}{p^{m/2-1} + 1} B_q T_p & \text{if } q^2 \mid dK, \\ U_q^2 - q^{m/2-1} U_q B_q + \frac{q^{m-2} + q^{m/2-1}}{p^{m/2-1} + 1} B_q T_p + \left( \frac{(-1)^{m/2-1} 2n}{q} \right) q^{m/2-1} R_q & \text{if } q \parallel dK, \end{cases}$$

$$\text{and set } \lambda_K(q) = \begin{cases} q^{m-2} - q^{m/2} + 1 & \text{if } q^2 \mid dK, \\ q^{m-2} + 1 & \text{if } q \parallel dK. \end{cases}$$

**PROPOSITION 2.2.** *Suppose  $K$  has minimal level and discriminant at the odd prime  $q$  dividing  $N$ . With notation as above,  $\theta(\text{gen } K; \tau)|_{T_K(q)} = \lambda_K(q) \theta(\text{gen } K; \tau)$ .*

*Proof.*

*Case 1.* Suppose  $q^2 \mid dK$ . We perform lattice constructions quite similar to those of the preceding proposition. This time, let  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  be a 3-dimensional totally isotropic subspace of  $K/qK$ , and let

$$K' = \text{preimage in } K \text{ of } \langle \bar{w} \rangle \oplus \text{rad } K/qK$$

$$\simeq q \langle 1, 1, 1, -\eta' \rangle \perp q^2 \langle 1, \dots, 1, -\eta \rangle \pmod{q^t}$$

for arbitrary  $t \in \mathbb{Z}_+$  (see Lemma 1.1). Let  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK'$  be an  $(m-3)$ -

dimensional totally isotropic subspace of  $K'/qK'$ , and set

$$\begin{aligned} K'' &= \text{preimage in } K' \text{ of } \langle \bar{y} \rangle \oplus \text{rad } K'/qK' \\ &\simeq q^2 \langle 1, \dots, 1, \eta \rangle \perp q^3 \langle 1, \eta' \rangle \pmod{q^t} \end{aligned}$$

for arbitrary  $t \in \mathbb{Z}_+$ . Clearly,  $K'$  and  $K''$  are in one-to-one correspondence with the subgroups  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  and  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK'$  (respectively). Using the formulas of [1], we see there are  $((q^{m/2-1} + 1)(q^{m/2-2} - 1))/(q - 1)$  choices for  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$ , and  $q^2 + 1$  choices for  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK'$  in each  $K'$ . Note that  $\bar{w} \notin \text{rad } K'/qK'$ .

Say  $x \in K - R$  with  $q^2 \nmid Q(x)$ ; then  $x \in K''$  if and only if  $\langle \bar{w} \rangle \oplus \text{rad } K/qK = \langle \bar{x} \rangle \oplus \text{rad } K/qK$  and  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK' = \langle \bar{x} \rangle \oplus \text{rad } K'/qK'$ .

If  $x \in R - qK$ , then  $q^2 \nmid Q(x)$  so  $x$  is never in  $K''$ . However,  $qR$  is in  $K''$  for all pairs  $(K', K'')$ .

Say  $x \in K - R$ ; then  $\bar{q}\bar{x} \in \text{rad } K'/qK'$  if and only if  $\bar{w} \in \langle \bar{x} \rangle^\perp$  in  $K/qK$ . If  $\bar{q}\bar{x} \in \text{rad } K'/qK'$ , then  $qx \in K''$  for each  $K''$  constructed from  $K'$ ; if  $\bar{q}\bar{x} \notin \text{rad } K'/qK'$ , then  $qx \in K''$  only when  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK' = \langle \bar{q}\bar{x} \rangle \oplus \text{rad } K'/qK'$ . When  $q \mid Q(x)$ ,  $\langle \bar{x} \rangle^\perp$  has dimension  $m - 1$ , radical  $\langle \bar{x} \rangle \oplus \text{rad } K/qK$ , and Witt index  $m/2 - 3$ . When  $q \nmid Q(x)$ ,  $K/qK \simeq \langle \bar{x} \rangle \oplus \langle \bar{x} \rangle^\perp$ , and so by Witt cancellation,  $\langle \bar{x} \rangle^\perp$  has dimension  $m - 1$  and radical  $\text{rad } K/qK$ . Thus, using the formulas from [1], the number of 3-dimensional totally isotropic subspaces  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  with  $\bar{w} \in \langle \bar{x} \rangle^\perp$  is

$$\begin{cases} \frac{q^{m-4} - 1}{q - 1} & \text{if } q \nmid Q(x), \\ \frac{q^{m-4} - q^{m/2-1} + q^{m/2-2} - 1}{q - 1} & \text{if } q \mid Q(x). \end{cases}$$

Note that if  $\bar{v} \in \text{rad } K'/qK'$ , then  $v \in K''$  for all  $K''$  constructed from  $K'$ , and otherwise  $v \in K''$  only when  $K'' = \text{preimage } \langle \bar{v} \rangle \oplus \text{rad } K'/qK'$ . Hence, for  $x \in K - R$ , the number of pairs  $(K', K'')$  with  $qx \in K''$  is

$$\begin{cases} \frac{(q^2 + 1)(q^{m-4} - q^{m/2-1} + q^{m/2-2} - 1)}{q - 1} + q^{m-4} & \text{if } q \mid Q(x), \\ \frac{(q^2 + 1)(q^{m-4} - 1)}{q - 1} + q^{m-4} - q^{m/2-2} & \text{if } q \nmid Q(x). \end{cases}$$

Thus we have

$$\begin{aligned} \theta(K; \tau) \left[ U_q^2 B_q^2 - q^{m/2} U_q B_q^3 + \frac{q^{m-2} + q^{m-3} - q^{m/2-1} + q^{m/2-2} - q^2 - q}{q - 1} B_q^2 \right] \\ + \theta(R; \tau) q^{m-2} B_q^2 = \sum_{(K', K'')} \theta(K''; \tau), \end{aligned}$$

where  $(K', K'')$  varies over all the pairs constructed as above. Averaging over  $\text{gen } K$  and using Proposition 2.1, we get

$$\theta(\text{gen } K; \tau) |T_K(q) B_q^2 = \lambda_K(q) \theta(\text{gen } qK; \tau) = \lambda_K(q) \theta(\text{gen } K; \tau) |B_q^2.$$

*Case 2.* Now suppose  $q^2 \nmid dK$ . Similar to case (1), let  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  be a 2-dimensional totally isotropic subspace of  $K/qK$ , and let

$$K' = \text{preimage in } K \text{ of } \langle \bar{w} \rangle \oplus \text{rad } K/qK$$

$$\simeq q \langle 1, 1, -\eta' \rangle \perp q^2 \langle 1, \dots, 1, -\eta \rangle \pmod{q^t}$$

for arbitrary  $t \in \mathbb{Z}_+$ . Let  $\langle \bar{y} \rangle \oplus \text{rad } K'/qK'$  be an  $(m-2)$ -dimensional totally isotropic subspace of  $K'/qK'$  (scaled by  $1/q$ ), and set

$$K'' = \text{preimage in } K' \text{ of } \langle \bar{y} \rangle \oplus \text{rad } K'/qK'$$

$$\simeq q^2 \langle 1, \dots, 1, \eta \rangle \perp q^3 \langle \eta' \rangle \pmod{q^t}.$$

Using Artin's formulas, we see there are  $(q^{m-2} - 1)/(q - 1)$  choices for  $K'$ , and  $q + 1$  choices for  $K''$  in each  $K'$ .

If  $x \in K - R$  with  $q^2 \mid Q(x)$ , then  $x \in K''$  for exactly one pair  $(K', K'')$ .

If  $x \in R - qK$ , then  $q^2 \nmid Q(x)$ , so  $x$  is never in  $K''$  but  $qx \in K''$  for all  $K''$ .

Now suppose  $x \in K - R$ . Again,  $q\bar{x} \in \text{rad } K'/qK'$  if and only if  $\bar{w} \in \langle \bar{x} \rangle^\perp$  in  $K/qK$ . When  $q \mid Q(x)$ ,  $\langle \bar{x} \rangle^\perp$  has dimension  $m-1$ , radical  $\langle \bar{x} \rangle \oplus \text{rad } K/qK$ , and Witt index  $m/2 - 2$ ; hence there are  $(q^{m-3} - 1)/(q - 1)$  ways to choose  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  with  $\bar{w} \in \langle \bar{x} \rangle^\perp$ . Say  $q \nmid Q(x)$ ; then  $\langle \bar{x} \rangle^\perp \simeq \langle 1, \dots, 1, Q(x)\eta \rangle \perp \langle 0 \rangle$  with Witt index  $m/2 - 1$  if  $(Q(x)/q) = ((-1)^{m/2-1}\eta/q)$ , and  $m/2 - 2$  otherwise. Thus the number of 2-dimensional totally isotropic subspaces  $\langle \bar{w} \rangle \oplus \text{rad } K/qK$  with  $\bar{w} \in \langle \bar{x} \rangle^\perp$  is

$$\begin{cases} \frac{(q^{m/2-1} - 1)(q^{m/2-2} + 1)}{q - 1} & \text{if } \left(\frac{Q(x)}{q}\right) = \left(\frac{(-1)^{m/2-1}\eta}{q}\right), \\ \frac{(q^{m/2-1} + 1)(q^{m/2-2} - 1)}{q - 1} & \text{if } \left(\frac{Q(x)}{q}\right) \neq \left(\frac{(-1)^{m/2-1}\eta}{q}\right). \end{cases}$$

Hence the number of pairs  $(K', K'')$  with  $qx \in K''$  is

$$\begin{cases} \frac{2q^{m-2} - q - 1}{q - 1} & \text{if } q|Q(x), \\ \frac{2q^{m-2} - q - 1}{q - 1} + q^{m/2-1} & \text{if } \left(\frac{Q(x)}{q}\right) = \left(\frac{(-1)^{m/2-1}\eta}{q}\right), \\ \frac{2q^{m-2} - q - 1}{q - 1} - q^{m/2-1} & \text{if } \left(\frac{Q(x)}{q}\right) \neq \left(\frac{(-1)^{m/2-1}\eta}{q}\right). \end{cases}$$

Recall that the  $n$ th coefficient of  $\theta(K; \tau)$  is  $r(K, 2n)$ , so

$$\theta(K; \tau)|R_q = \sum_{n \geq 0} \left(\frac{n}{q}\right) r(K, 2n) e\{2n\tau\} = \sum_{x \in K} \left(\frac{2Q(x)}{q}\right) e\{Q(x)\tau\}.$$

Thus

$$\begin{aligned} \theta(K; \tau) & \left[ U_q^2 + \left(\frac{(-1)^{m/2-1}2\eta}{q}\right) q^{m/2-1} R_q + \frac{2q^{m-2} - 2q}{q - 1} B_q^2 + \theta(R; \tau) | q^{m-2} B_q^2 \right] \\ & = \sum_{(K', K'')} \theta(K''; \tau), \end{aligned}$$

where the sum is over all pairs  $(K', K'')$ . Averaging over  $\text{gen } K$  and applying Proposition 2.1 yields the desired formula.  $\square$

For  $q$  an odd prime dividing  $N$ , the level of  $K$ , let  $\mathcal{E}_K(q)$  denote the subspace of Eisenstein series  $E$  of level  $N$ , weight  $m/2$ , character  $\chi$ , such that  $E|T_K(q) = \lambda_K(q)E$ .

**LEMMA 2.3.** *For any prime  $q|N$ ,  $\text{span}\{E_D: D|N/q\} \cap \mathcal{E}_K(q) = \{0\}$ , where the  $E_D$  are the Eisenstein series with character  $\chi$ , level  $N$ , and weight  $m/2$  (as defined in §1).*

*Proof.* We simply examine the action of  $T_K(q)$  on the Fourier coefficients of  $E_D$ ,  $D|N/q$ . Let  $b_D(n)$  denote the  $n$ th coefficient of  $E_D|T_K(q)$ . Thus

$$b_D(n) = \begin{cases} \lambda_K(q) a_D(n) & \text{if } q|n, \\ q^{m-2} a_D(n) & \text{if } q \nmid n, q^2|dK, \\ \left( q^{m-2} + \left(\frac{(-1)^{m/2-1}\eta}{q}\right) \left(\frac{2n}{q}\right) q^{m/2-1} \right) a_D(n) & \text{if } q \nmid n, q||dK. \end{cases}$$

Notice that  $q^{m-2} \pm q^{m/2-1}$  is never  $\lambda_K(q)$ . Thus for each  $n|N/q$ ,

$$0 = \sum_{D|N/q} \alpha_D a_D(n^2) = \sum_{D|N/q} \alpha_{N/qD}(n, D)^{m-2}.$$

We represent these equations with matrices as follows. Let  $q_1, \dots, q_h$  be the primes dividing  $N/q$ ; order the divisors of  $N/q$  according to their order in the tensor product

$$(1 \ q_1) \otimes (1 \ q_2) \otimes \cdots \otimes (1 \ q_h).$$

Let  $\bar{\alpha}$  be the vector whose entries are indexed by the divisors  $D$  of  $N/q$  and whose  $D$ -entry is  $\alpha_{N/qD}$ . Then the above equation implies

$$\bar{\alpha}A = 0,$$

where

$$A = \begin{pmatrix} 1 & 1 \\ 1 & q_1 \end{pmatrix} \otimes \begin{pmatrix} 1 & 1 \\ 1 & q_2 \end{pmatrix} \otimes \cdots \otimes \begin{pmatrix} 1 & 1 \\ 1 & q_h \end{pmatrix}.$$

Since each matrix in the tensor product defining  $A$  is invertible,  $A$  is invertible as well. Hence,  $\bar{\alpha} = 0$  and  $\sum_{D|N/q} \alpha_D E_D = 0$ .  $\square$

Set

$$c_K(q) = \begin{cases} \frac{q^{m/2} - 1}{q^{m-2} - q^{m/2}} & \text{if } q^2 | dK, \\ \left( \frac{(-1)^{m/2-1} \eta}{q} \right) q^{1-m/2} & \text{if } q \nmid dK, \end{cases}$$

and extend  $c_K(*)$  multiplicatively.

**PROPOSITION 2.4.** *Suppose  $q \nmid N$ . Then  $\mathcal{C}_K(q) = \text{span}\{E_D + \chi_q(2)c_K(q)E_{Dq} : D|N/q\}$ .*

*Proof.* By looking at Fourier coefficients, one easily verifies that  $E_D + \chi_q(2)c_K(q)E_{Dq} \in \mathcal{C}_K(q)$  for all  $D|N/q$ . The proposition now follows from the preceding lemma.  $\square$

**THEOREM 2.5.** *Suppose  $N$  is square-free and odd. Let  $E = \sum_{D|N} \chi_D(2)c_K(D)E_D$ . Then  $\cap_{q|N} \mathcal{C}_K(q) = \mathbb{C}E$ .*

*Proof.* Write  $N = q_1 \cdots q_\ell$ . Using induction on  $r \leq \ell$ , we argue that

$$\cap_{1 \leq i \leq r} \mathcal{C}_K(q_i) = \text{span} \left\{ \sum_{d|q_1 \cdots q_r} \chi_d(2)c_K(d)E_{Dd} : D|N/q_1 \cdots q_r \right\}.$$

This is clearly true for  $r = 0$ . Take  $r \geq 0$  and  $f \in \cap_{1 \leq i \leq r+1} \mathcal{C}_K(q_i)$ . The induction hypothesis tells us that

$$\begin{aligned} f &= \sum_{D|N/q_1 \cdots q_r} \alpha_D \left( \sum_{d|q_1 \cdots q_r} \chi_d(2) c_K(d) E_{Dd} \right) \\ &= \sum_{\substack{D|N/q_1 \cdots q_{r+1} \\ d|q_1 \cdots q_r}} \chi_d(2) c_K(d) (\alpha_D E_{Dd} + \alpha_{Dq_{r+1}} E_{Dd q_{r+1}}). \end{aligned}$$

Since  $f \in \mathcal{C}_K(q_{r+1})$ , Proposition 2.4 implies that  $\alpha_{Dq_{r+1}} = \chi_{q_{r+1}}(2) c_K(q_{r+1}) \alpha_D$ . Hence

$$f = \sum_{D|N/q_1 \cdots q_{r+1}} \alpha_D \left( \sum_{d|q_1 \cdots q_{r+1}} \chi_d(2) c_K(d) E_{Dd} \right). \quad \square$$

Since the zeroth Fourier coefficient of  $\theta(\text{gen } K; \tau)$  is 1, and the zeroth coefficient of  $E$  is  $\chi(2) c_K(N) a_N(0)$  (where  $a_N(0)$  is defined in §1), Proposition 2.2 and Theorem 2.5 immediately give us the following result.

**COROLLARY 2.6.** *Suppose  $K$  has minimal level and discriminant. Then  $\theta(\text{gen } K; \tau) = (1/c_K(N) a_N(0)) \cdot E$ . Thus for  $n \in \mathbb{Z}_+$*

$$r(\text{gen } K, n) = \frac{\chi(2)}{c_K(N) a_N(0)} \sum_{\substack{D|N \\ d|n}} c_K(D) \chi_D(d) \chi_{N/D}(2n/d) d^{m/2-1},$$

where  $\chi_D, \chi_{N/D}$  are the unique characters modulo  $D, N/D$  (respectively) so that  $\chi_D \chi_{N/D} = \chi$ . As in §1,

$$a_N(0) = \frac{N^{m/2-1} \Gamma(m/2)}{(2\pi i)^m / 2} G(\chi_{N'}, 1) \mu(N/N') L\left(\chi, \frac{m}{2}\right) \prod_{\substack{q|N/N' \\ q \text{ prime}}} \frac{1 - \chi_{N'}(q) q^{1-m/2}}{1 - \chi_{N'} q^{2-m/2}},$$

with  $N' = \text{cond } \chi$ .

Suppose  $K$  has minimal level and discriminant. Say  $q|N/N'$ ; then  $K_{(q)} \simeq \langle 1, \dots, 1, \eta \rangle \perp q \langle 1, \eta' \rangle$ , where  $((-1)^{m/2-1} \eta/q) = (-\eta'/q) = -1$ . Thus

$$\chi_{N'}(q) = \left( \frac{(-1)^{m/2} N'}{q} \right) = \left( \frac{(-1)^{m/2} dK/q^2}{q} \right) = \left( \frac{(-1)^{m/2} \eta \eta'}{q} \right) = 1.$$

Also the first Fourier coefficient of  $\theta(\text{gen } K; \tau)$  is nonnegative, and (from Corol-

lary 2.6) it is equal to

$$\frac{\chi(2)}{c_K(N)a_N(0)} \prod_{q|N} (1 + c_K(q)).$$

Since  $|c_K(q)| < 1$  for all  $q$ , we must have  $c_K(N)a_N(0) > 0$ . Thus

$$\frac{\chi(2)}{c_K(N)a_N(0)} = \frac{(2\pi)^{m/2}}{\Gamma(m/2)} \prod_{p, \text{prime}} f(p),$$

where

$$f(p) = \begin{cases} 1 - \chi(p)p^{-m/2} & \text{if } p \nmid N, \\ \frac{p^{m/2-2} - 1}{p^{m/2-1} - 1} & \text{if } p|N/N', \\ p^{-1/2} & \text{if } p|N'. \end{cases}$$

To write  $r(\text{gen } K, 2n)$  as a product, we set

$$\rho_{K,\infty} = \frac{(2\pi)^{m/2}}{\Gamma(m/2)},$$

and for  $n \in \mathbb{Z}_+$  with  $e = \text{ord}_p(n)$ ,

$$\rho_{K,p}(n) = \begin{cases} \frac{p^{(m/2-1)(e+1)} - \chi(p^{e+1})}{p^{m/2-1} - \chi(p)} f(p) & \text{if } p \nmid N, \\ (p^{(m/2-1)e} + \chi_p(2n/p^e)\chi_{N/p}(p^e)c_K(p))f(p) & \text{if } p|N. \end{cases}$$

Then one easily verifies the next result.

**COROLLARY 2.7.** *Suppose  $K$  has minimal level and discriminant. With  $\rho_{K,p}(n)$  as above,*

$$r(\text{gen } K, 2n) = \rho_{K,\infty} \prod_{p \text{ prime}} \rho_{K,p}(n).$$

**COROLLARY 2.8.** *The average theta series attached to the genera within fam  $K$  are linearly independent.*

*Proof.* Let  $\{K_\alpha: \alpha|A\}$  be a set of representatives for the genera in fam  $K$

where  $A$  is as in the remark following Lemma 1.3. First notice that for  $\alpha|A$ ,  $D|N$ ,  $c_{K_\alpha}(D) = (\alpha/D)c_K(D)$ . Take  $d|N$ ; then

$$\begin{aligned} \sum_{\alpha|A} \left(\frac{\alpha}{d}\right) \theta(\text{gen } K_\alpha; \tau) &= \frac{1}{a_N(0)c_K(N)} \sum_{D|N} \left( \sum_{\alpha|A} \left(\frac{\alpha}{Dd}\right) \right) c_K(D) E_D \\ &= 2^h \frac{1}{a_N(0)c_K(N)} (c_K(d)E_d + c_K(N/d)E_{N/d}). \end{aligned}$$

Note that  $\{E_d: d|N, 0 < d < N\}$  is a linearly independent set.  $\square$

**§3. Lattices of descent.** Now we fix an integral  $\mathbb{Z}$ -lattice  $L$  of even rank  $m$  and odd level  $N'$ . For convenience, assume  $L$  is scaled so that  $Q(L) \subseteq 2\mathbb{Z}$ ,  $Q(L) \not\subseteq 2n\mathbb{Z}$  for any  $n > 1$ . We show that  $L$  descends from a lattice of minimal level and discriminant, then we construct chains of lattices from the minimal lattice to lattices  $K_0$  in  $\text{gen } L$ ; by counting how often an element of the minimal lattice lies in these lattices  $K_0$ , we obtain formulas for  $r(\text{gen } L, 2n)$ .

*Notation.* Fix a prime  $q|N'$  and set  $s = s(L, q) = [\text{ord}_q N'/2]$ . Fix  $t > 2s + 1$ ; then by Lemma 1.2,

$$L = L_0 \oplus \cdots \oplus L_{2s+1} \simeq \langle 1, \dots, 1, \varepsilon_0 \rangle \perp \cdots \perp q^{2s+1} \langle 1, \dots, 1, \varepsilon_{2s+1} \rangle \pmod{q^t},$$

where the  $\varepsilon_i \in \mathbb{Z} - q\mathbb{Z}$ , and the  $i$ th component,  $L_i \simeq q^i \langle 1, \dots, 1, \varepsilon_i \rangle$ , has rank  $m_i \geq 0$ . Let  $H_{2i} = q^{-i}L_{2i}$ ,  $H_{2i+1} = q^{-i}L_{2i+1}$ . Thus

$$L = H_0 \oplus H_1 \oplus qH_2 \oplus qH_3 \oplus \cdots \oplus q^s H_{2s} \oplus q^s H_{2s+1},$$

where the  $H_{2i}$  are unimodular  $\pmod{q^t}$ , and the  $H_{2i+1}$  are  $q$ -modular  $\pmod{q^t}$ . Let

$$\begin{aligned} \mathcal{H}_i &= \bigoplus_{\substack{0 \leq \ell \leq i \\ \ell \equiv i \pmod{2}}} H_\ell, & r_i &= r_i(L, q) = \text{rank } \mathcal{H}_i, & \eta_{2i} &= \eta_{2i}(L, q) = \text{disc } \mathcal{H}_{2i}, \\ q^{r_{2i+1}} \eta_{2i+1} &= q^{r_{2i+1}} \eta_{2i+1}(L, q) = \text{disc } \mathcal{H}_{2i+1}, & \mu_i &= \mu_i(L, q) = \left( \frac{(-1)^{\ell_i} \eta_i}{q} \right), \end{aligned}$$

where  $\ell_i = [r_i/2]$ . (When  $r_i = 0$ , set  $\mu_i = 1$ .) Note that  $s, r_i, \mu_i$  are invariants of  $\text{gen } L$ , and when  $r_i$  is even,  $\mu_i = 1$  exactly when  $\mathcal{H}_i$  is hyperbolic modulo  $q$ . (Here  $\mathcal{H}_i$  is scaled by  $1/q$  when  $i$  is odd.)

**LEMMA 3.1.** Fix a prime  $q$  dividing the level of  $L$  and let  $\mu_j, r_j$  be as above.

(a) If  $r_{2s}$  is odd or  $\mu_{rs} = -1$ , then there is a lattice  $K$  on  $V$  with  $q^{s+1}K \subseteq L \subseteq K$ ,  $K_{(p)} \simeq L_{(p)}$  for all primes  $p \neq q$ , and  $K$  has minimal level and discriminant at  $q$ .

(b) If  $r_{2s}$  is even and  $\mu_{2s} = 1$ , then there is a lattice  $K^q$  on  $V$  so that  $q^{s+1}K^q \subseteq L \subseteq K^q$ ,  $K_{(p)} \simeq L_{(p)}^q$  for all primes  $p \neq q$ , and  $K^q$  has minimal level and discriminant at  $q$ .

Furthermore, if  $r_{2s}$  is even,  $\mu_{2s} = -1$  and  $\mu_{2s+1} = 1$ , then

$$K_{(q)} \simeq \langle 1, \dots, 1, \varepsilon_K \rangle, \quad \left( \frac{(-1)^{m/2} \varepsilon_K}{q} \right) = -1.$$

If  $r_{2s}$  is even,  $\mu_{2s} = -1 = \mu_{2s+1}$ , then

$$K_{(q)} \simeq \langle 1, \dots, 1, \varepsilon_K \rangle \perp q \langle 1, \varepsilon'_K \rangle, \quad \left( \frac{(-1)^{m/2-1} \varepsilon_K}{q} \right) = -1 = \left( \frac{-\varepsilon'_K}{q} \right).$$

If  $r_{2s}$  is even and  $\mu_{2s} = 1$ , then

$$K_{(q)}^q \simeq \langle 1, \dots, 1, \varepsilon_K \rangle, \quad \left( \frac{(-1)^{m/2} \varepsilon_K}{q} \right) = \mu_{2s+1}.$$

Note that  $\text{gen } K$  is determined by  $\text{gen } L$ .

*Remark.* Since  $dL$ ,  $dK$ , and  $dK^q$  differ by squares, their theta series are associated with the same character  $\chi$  (although the modulus may differ between the theta series).

*Proof.* Set  $L_0 = L$ . For  $0 \leq i \leq s$ , set

$$L_{2i+1} = \text{preimage in } L_{2i} \text{ of rad } L_{2i}/qL_{2i}, \text{ and}$$

$$qL_{2i+2} = \text{preimage in } L_{2i} \text{ of rad } L_{2i+1}/qL_{2i+1}.$$

One easily verifies that  $L_i$  is a  $\mathbb{Z}$ -lattice with  $q^s L_{2s} \subseteq L$  and that

$$L_{2i} = \mathcal{H}_{2i} \oplus \mathcal{H}_{2i+1} \oplus \sum_{k=2}^{2s+1-2i} q^{[k/2]} H_{2i+k},$$

$$L_{2i+1} = \mathcal{H}_{2i+1} \oplus q\mathcal{H}_{2i+2} \oplus \sum_{k=3}^{2s+1-2i} q^{[k/2]} H_{2i+k}.$$

Notice that  $L_{2s} = \mathcal{H}_{2s} \oplus \mathcal{H}_{2s+1} \simeq \langle 1, \dots, 1, \eta_{2s} \rangle \perp q \langle 1, \dots, 1, \eta_{2s+1} \rangle \pmod{q^t}$ .

Constructing the lattice  $K$  is a bit more complicated.

Case (a). Say  $r_{2s}$  is odd or  $\mu_{2s} = -1$ . So

$$L_{2s+1} = \mathcal{H}_{2s+1} \oplus q\mathcal{H}_{2s},$$

where  $\mathcal{H}_{2s}$  is unimodular (but not hyperbolic) modulo  $q^t$ , and  $\mathcal{H}_{2s+1}$  is  $q$ -modular modulo  $q^t$ . Let  $\bar{C}$  be a maximal totally isotropic subspace of the space  $L_{2s+1}/qL_{2s+1}$ , and set

$$qK = \text{preimage in } L_{2s+1} \text{ of } \bar{C}.$$

Then  $K$  is as described in the lemma.

Case (b). Say  $r_{2s}$  is odd and  $\mu_{2s} = 1$ . So

$$L_{2s} = \mathcal{H}_{2s} \oplus \mathcal{H}_{2s+1},$$

where  $\mathcal{H}_{2s}$  is unimodular and hyperbolic modulo  $q^t$ , and  $\mathcal{H}_{2s+1}$  is  $q$ -modular modulo  $q^t$ . Let  $\bar{C}$  be a maximal totally isotropic subspace of  $L_{2s}/qL_{2s}$ , and set

$$qK = \text{preimage in } L_{2s+1} \text{ of } \bar{C}.$$

Then  $K^q$  is as described in the lemma.  $\square$

We construct descending chains of lattices  $K, K_{2s}, \dots, K_0$  such that  $K_i \in \text{gen } L_i$ . We count how many  $K_0$  contain a given vector  $x \in K$ , thereby obtaining formulas for  $r(\text{gen } L, 2n)$ .

*More notation.* For  $q$  fixed and  $r_i, \mu_i$  as above, set  $\mu = \mu_{2s}, \mu' = \mu_{2s+1}$ ,

$$d = \begin{cases} r_{2s}/2 & \text{if } 2|r_{2s}, \mu = 1, \\ r_{2s+1}/2 & \text{if } 2|r_{2s}, \mu_{2s} = -1, \mu' = 1, \\ (r_{2s+1} - 1)/2 & \text{if } 2 \nmid r_{2s}, \\ r_{2s}/2 - 1 & \text{if } 2|r_{2s}, \mu = -1 = \mu'; \end{cases}$$

$$\alpha = \alpha_{L,q} = \begin{cases} (q^d - 1)/[(q^{m/2} - 1 + 1)(q^{m/2-2} - 1)] & \text{if } 2|r_{2s}, \mu = -1 = \mu', \\ (q^d - 1)/(q^{m-2} - 1) & \text{if } 2 \nmid r_{2s}, \\ (q^d - 1)/[(q^{m/2} - \mu\mu')(q^{m/2-1} + \mu\mu')] & \text{otherwise;} \end{cases}$$

$$\beta = \beta_{L,q} = \begin{cases} q^d(q^{m/2-d-1} + 1)(q^{m/2-d-2} - 1)/[(q^{m/2-1} + 1)(q^{m/2-2} - 1)] & \text{if } 2|r_{2s}, \mu = -1 = \mu', \\ q^d(q^{m-2d-2} - 1)/(q^{m-2} - 1) & \text{if } 2 \nmid r_{2s}, \\ q^d(q^{m/2-d} - \mu\mu')(q^{m/2-1} + \mu\mu')/[(q^{m/2} - \mu\mu')(q^{m/2-d-1} + \mu\mu')] & \text{otherwise;} \end{cases}$$

and for  $\omega = \pm 1$ ,

$$\gamma(\omega) = \gamma_{L,q}(\omega) = \begin{cases} (q^{m/2-d-1} + 1)/(q^{m/2-1} + 1) & \text{if } 2|r_{2s}, \mu = -1 = \mu', \\ (q^{m/2-d-1} + \omega\mu)/(q^{m/2-1} + \omega\mu) & \text{if } 2 \nmid r_{2s}, \\ (q^{m/2-d} - \mu\mu')/(q^{m/2} - \mu\mu') & \text{otherwise.} \end{cases}$$

**LEMMA 3.2.** *Let the notation be as above, and let  $\chi$  denote the (primitive) character associated to  $\theta(K; \tau)$  and to  $\theta(L; \tau)$ . We can construct sublattices  $K_{2s}$  of  $K$  such that  $qK \subseteq K_{2s} \subseteq K$ , and for all  $t \in \mathbb{Z}_+$ ,*

$$K_{2s} \simeq \langle 1, \dots, 1, \eta_{2s} \rangle \perp q \langle 1, \dots, 1, \eta_{2s+1} \rangle \pmod{q^t},$$

where the first component has rank  $r_{2s}$  and the second component has rank  $r_{2s+1}$ . (So  $K_{2s} \in \text{gen } L_{2s}$ .) Set  $R = \text{preimage in } K \text{ of } \text{rad } K/qK$ ,  $R_{2s} = \text{preimage in } K_{2s} \text{ of } \text{rad } K_{2s}/qK_{2s}$ . (Here we scale  $R_{2s}$  by  $1/q$  in the case  $2|r_{2s}$ ,  $\mu_{2s} = 1$ .) Take  $x \in K - R$ .

- (a) Say  $r_{2s}$  is odd or  $\mu_{2s} = -1$ . If  $q \nmid Q(x)$ , then  $x \notin R_{2s}$ , and the proportion of  $K_{2s}$  such that  $x \in K_{2s} - R_{2s}$  is  $\gamma(\omega)$ , where  $\omega = \chi_q(Q(x))$ . If  $q|Q(x)$ , then the proportion of  $K_{2s}$  such that  $x \in R_{2s}$  is  $\alpha$ , and the proportion of  $K_{2s}$  such that  $x \in K_{2s} - R_{2s}$  is  $\beta$ .
- (b) Say  $r_{2s}$  is even and  $\mu_{2s} = 1$ . If  $q \nmid Q(x)$ , then  $x$  is in none of the lattices  $K_{2s}$ , and the proportion of  $K_{2s}$  such that  $qx \in R_{2s} - qK_{2s}$  is  $\gamma(\pm 1)$ . If  $q|Q(x)$ , then the proportion of  $K_{2s}$  such that  $x \in K_{2s} - R_{2s}$  is  $\alpha$ .

Notice that when  $x \in K_{2s}$ , we necessarily have  $qx \in R_{2s}$ .

*Proof.* Set  $\mu = \mu_{2s}$ ,  $\mu' = \mu_{2s+1}$ .

- (a) Say  $r_{2s}$  is odd or  $\mu = -1$ . Let  $r = \dim(\text{rad } K/qK)$ ; so

$$r = \begin{cases} 0 & \text{if } r_{2s} \text{ is even, } \mu' = 1, \\ 1 & \text{if } r_{2s} \text{ is odd,} \\ 2 & \text{if } r_{2s} \text{ is even, } \mu' = -1, \end{cases}$$

and  $d = (1/2)(r_{2s+1} - r)$ . To construct  $K_{2s}$ , we take a totally isotropic subspace  $\bar{C}$  of  $K/qK$  such that  $\dim \bar{C} = d + r$  and  $\text{rad } K/qK \subseteq \bar{C}$ . Set

$$K' = \text{preimage in } K \text{ of } \bar{C},$$

$$qK_{2s} = \text{preimage in } K' \text{ of } \text{rad } K'/qK'.$$

Thus (using formulas from [1]), the number of choices we have for  $K_{2s}$  is

$$\begin{cases} \prod_{i=1}^d (q^{m/2-i+1} + 1)(q^{m/2-i} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = 1, \\ \prod_{i=1}^d (q^{m-2i} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is odd,} \\ \prod_{i=1}^d (q^{m/2-i} + 1)(q^{m/2-i-1} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = -1. \end{cases}$$

Take  $x \in K - R$ . We have  $x \in R_{2s}$  if and only if  $\bar{x} \in \bar{C}$ , and  $x \in K_{2s} - R_{2s}$  if and only if  $\bar{x} \in \bar{C}^\perp$ ,  $\bar{x} \notin \bar{C}$ . When  $\bar{x} \notin \bar{C}^\perp$  we have  $qx \in K_{2s} - R_{2s}$ . Also,  $R \subseteq R_{2s}$ . Thus the number of  $K_{2s}$  such that  $x \in R_{2s}$  is

$$\begin{cases} \prod_{i=2}^d (q^{m/2-i+1} + 1)(q^{m/2-i} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = 1, \\ \prod_{i=2}^d (q^{m-2i} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is odd,} \\ \prod_{i=2}^d (q^{m/2-i} + 1)(q^{m/2-i-1} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = -1. \end{cases}$$

Now  $\bar{x} \in \bar{C}^\perp$  if and only if  $\bar{C} \subseteq \langle \bar{x} \rangle^\perp$  where  $\langle \bar{x} \rangle$  denotes the space spanned by  $\bar{x}$ . When  $q \nmid Q(x)$ ,  $\langle \bar{x} \rangle^\perp = \bar{U} \perp \bar{R}$ , where  $\bar{U}$  is a regular space of dimension  $m - r - 1$  and discriminant  $Q(x)(-1)^d \eta_{2s}$ . When  $q \mid Q(x)$ ,  $\langle \bar{x} \rangle^\perp = \langle \bar{x} \rangle \perp \bar{U} \perp \bar{R}$ , where  $\bar{U}$  is a regular space of dimension  $m - r - 2$  and discriminant  $(-1)^{d-1} \eta_{2s}$ . Hence given our assumption that  $\mu = -1$  when  $r_{2s}$  is even,  $\bar{U}$  is never hyperbolic. So when  $q \nmid Q(x)$  and  $\omega = \chi_q(Q(x))$ , the number of  $\bar{C} \subseteq \langle \bar{x} \rangle^\perp$  is

$$\begin{cases} \prod_{i=1}^d (q^{m-2i} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = 1, \\ \prod_{i=1}^d (q^{m/2-i} - \omega\mu)(q^{m/2-i-1} + \omega\mu)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is odd, } \mu = \mu', \\ \prod_{i=1}^d (q^{m-2i-2} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu = -1 = \mu'. \end{cases}$$

When  $q|Q(x)$ , the number of  $\bar{C} \subseteq \langle \bar{x} \rangle^\perp$  such that  $\bar{x} \notin \bar{C}^\perp$  is

$$\begin{cases} \prod_{i=1}^d q(q^{m/2-i} + 1)(q^{m/2-i-1} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = 1, \\ \prod_{i=1}^d q(q^{m-2i-2} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is odd,} \\ \prod_{i=1}^d q(q^{m/2-i-1} + 1)(q^{m/2-i-2} - 1)/(q^{d-i+1} - 1) & \text{if } r_{2s} \text{ is even, } \mu' = -1. \end{cases}$$

(b) Say  $r_{2s}$  is even,  $\mu = 1$ . So  $K_{(q)}^q \simeq \langle 1, \dots, 1, \varepsilon \rangle$ , and  $K^q/qK^q$  is hyperbolic if and only if  $\mu' = 1$ . To construct  $K_{2s}$  from  $K$ , we take a totally isotropic subspace  $\bar{C}$  of  $K^q/qK^q$  of dimension  $d$  where  $d = r_{2s}/2$ , and set

$$K_{2s}^q = \text{preimage in } K^q \text{ of } \bar{C}.$$

Thus the number of choices we have for  $K_{2s}$  is

$$\prod_{i=1}^d (q^{m/2-i+1} - \mu')(q^{m/2-i} + \mu')(q^{d-i+1} - 1).$$

Take  $x \in K - R$ . We have  $x \in K_{2s} - R_{2s}$  if and only if  $\bar{x} \in \bar{C}$ , and  $qx \in R_{2s} - qK_{2s}$  if and only if  $\bar{x} \in \bar{C}^\perp$ ,  $\bar{x} \notin \bar{C}$ . When  $\bar{x} \notin \bar{C}^\perp$ , we have  $x \notin K_{2s}$ ,  $qx \in K_{2s} - R_{2s}$ . Thus the number of  $K_{2s}$  such that  $x \in K_{2s} - R_{2s}$  is

$$\begin{cases} \prod_{i=2}^d (q^{m/2-i+1} - \mu')(q^{m/2-i} + \mu')(q^{d-i+1} - 1) & \text{if } q|Q(x), \\ 0 & \text{if } q \nmid Q(x). \end{cases}$$

The number of  $K_{2s}$  such that  $qx \in R_{2s} - qK_{2s}$  is

$$\begin{cases} \prod_{i=1}^d q(q^{m/2-i} - \mu')(q^{m/2-i-1} + \mu')/(q^{d-i+1} - 1) & \text{if } q|Q(x), \\ \prod_{i=1}^d (q^{m-2i} - 1)/(q^{d-i+1} - 1) & \text{if } q \nmid Q(x). \end{cases}$$

The lemma now follows.  $\square$

LEMMA 3.3. *Let  $K_{2s}$  be as in Lemma 3.2. We can construct descending chains of lattices  $K_{2s}, \dots, K_0$  so that  $K_0 \in \text{gen } L$ , and  $q^s K_{2s} \subseteq K_0$ . Fix such a chain and let*

$$R_{2i} = \text{preimage in } K_{2i} \text{ of } \text{rad } K_{2i}/qK_{2i},$$

$$qR_{2i+1} = \text{preimage in } K_{2i+1} \text{ of } \text{rad } K_{2i+1}/qK_{2i+1}.$$

Take  $x \in K_{2s} - qK_{2s}$  and fix  $\ell$ ,  $0 \leq \ell \leq s$ . The chain of lattices has the following properties.

- (a) *First suppose  $x \in R_{2s}$ . Then  $q^\ell x \in K_0$  if and only if  $x \in K_{2i-1}$  for all  $i$ ,  $\ell < i \leq s$ . Also, when  $x \in R_{2i} \cap K_{2i-1}$ , we necessarily have  $x \in R_{2i-2} \subseteq K_{2i-2}$ .*
- (b) *Suppose now  $x \notin R_{2s}$ . Then  $q^\ell x \in K_0$  if and only if  $x \in K_{2i-2}$  for all  $i$ ,  $\ell < i \leq s$ . Also, when  $x \in K_{2i}$  but  $x \notin R_{2i}$ , we necessarily have  $x \in R_{2i-1}$ .*

*Proof.* With  $K_{2s}$  as above and  $s > 0$ , we inductively define lattices  $K_j, R_j$ ,  $0 \leq j < 2s$ , as follows. Suppose that for  $i \leq s$ ,

$$\begin{aligned} K_{2i} &= \tilde{J}_{2i} \oplus \tilde{J}_{2i+1} \oplus J' \\ &\simeq \langle 1, \dots, 1, \eta_{2i} \rangle \perp q \langle 1, \dots, 1, \eta_{2i+1} \rangle \perp q^2 \langle \alpha_1, \alpha_2, \dots \rangle \pmod{q^t}, \end{aligned}$$

with  $\eta_{2i}, \eta_{2i+1} \in \mathbb{Z} - q\mathbb{Z}$ ,  $\alpha_j \in \mathbb{Z}$ . Set

$$R_{2i} = \text{preimage in } K_{2i} \text{ of } \text{rad } (K_{2i}/qK_{2i}) = \tilde{J}_{2i+1} \oplus q\tilde{J}_{2i} \oplus J'.$$

Let  $\bar{M}$  be an  $(r_{2i-1}, \mu_{2i-1})$ -subspace of  $R_{2i}/qR_{2i}$ , and let

$$K_{2i-1} = \text{preimage in } R_{2i} \text{ of } \bar{M} + \overline{qK_{2i}} = \tilde{J}_{2i-1} \oplus q\tilde{J}_{2i} \oplus qJ_{2i+1} \oplus qJ',$$

where  $\tilde{J}_{2i-1} \oplus J_{2i+1} = \tilde{J}_{2i+1}$ , and  $\tilde{J}_{2i-1} \simeq \langle 1, \dots, 1, \eta_{2i-1} \rangle \pmod{q}$ . Since we know that  $(\eta_{2i+1}/q) = (\eta_{2i-1}\varepsilon_{2i+1}/q)$ ,  $\tilde{J}_{2i+1} \simeq \langle 1, \dots, 1, \varepsilon_{2i+1} \rangle \pmod{q}$ . So by Lemma 1.1, we have

$$\begin{aligned} K_{2i-1} &= \tilde{J}_{2i-1} \oplus q\tilde{J}_{2i} \oplus qJ_{2i+1} \oplus qJ' \\ &\simeq q \langle 1, \dots, 1, \eta_{2i-1} \rangle \perp q^2 \langle 1, \dots, 1, \eta_{2i} \rangle \\ &\quad \perp q^3 \langle 1, \dots, 1, \varepsilon_{2i+1} \rangle \perp q^4 \langle \alpha_1, \alpha_2, \dots \rangle \pmod{q^t} \end{aligned}$$

(where  $t > 2s + 1$ ). Now set

$$\begin{aligned} qR_{2i-1} &= \text{preimage in } K_{2i-1} \text{ of } \text{rad } (K_{2i-1}/qK_{2i-1}) \\ &= q\tilde{J}_{2i} \oplus q^2\tilde{J}_{2i-1} \oplus q^2J_{2i+1} \oplus q^2J'. \end{aligned}$$

Let  $\overline{M}'$  be an  $(r_{2i-2}, \mu_{2i-2})$ -subspace of  $R_{2i-1}/qR_{2i-1}$ , and let

$K_{2i-2}$  = preimage in  $R_{2i-1}$  of  $\overline{M}' + \overline{K_{2i-1}} = \tilde{J}_{2i-2} \oplus \tilde{J}_{2i-1} \oplus qJ_{2i} \oplus J_{2i+1} \oplus qJ'$ ,  
where

$$\begin{aligned}\tilde{J}_{2i-2} \oplus J_{2i} &= \tilde{J}_{2i}, \quad \tilde{J}_{2i-2} \simeq \langle 1, \dots, 1, \eta_{2i-2} \rangle \pmod{q}, \\ J_{2i} &\simeq \langle 1, \dots, 1, \varepsilon_{2i} \rangle \pmod{q}.\end{aligned}$$

Thus, by Lemma 1.1,

$$\begin{aligned}K_{2i-2} &\simeq \langle 1, \dots, 1, \eta_{2i-2} \rangle \perp q \langle 1, \dots, 1, \eta_{2i-1} \rangle \perp q^2 \langle 1, \dots, 1, \varepsilon_{2i} \rangle \\ &\perp q^3 \langle 1, \dots, 1, \varepsilon_{2i+1} \rangle \perp q^4 \langle \alpha_1, \alpha_2, \dots \rangle \pmod{q^4}.\end{aligned}$$

One easily verifies that the choices of  $K_{2i-1}$  and  $K_{2i-2}$  are uniquely determined by the subspaces  $\overline{M} + q\overline{K_{2i}} \subseteq R_{2i}/qR_{2i}$  and  $\overline{M}' + \overline{K_{2i-1}} \subseteq R_{2i-1}/qR_{2i-1}$ . In fact, given a Jordan decomposition of  $(K_{2i})_{(q)}$  (and hence of  $(R_{2i})_{(q)}$ ) as above,  $K_{2i-1}$  is uniquely determined by the subspace  $\overline{M}$  of  $\tilde{J}_{2s+1}/q\tilde{J}_{2s+1}$ ; similarly,  $K_{2i-2}$  is uniquely determined by the subspace  $\overline{M}'$  of  $\tilde{J}_{2s}/q\tilde{J}_{2s}$ .

To summarize, we have

$$\begin{aligned}K_{2i} &= \tilde{J}_{2i} \oplus \tilde{J}_{2i+1} \oplus \sum_{\ell=1}^{s-i} q^\ell (J_{2i+2\ell} \oplus J_{2i+2\ell+1}), \\ R_{2i} &= \tilde{J}_{2i+1} \oplus q\tilde{J}_{2i} \oplus \sum_{\ell=1}^{s-i} q^\ell (J_{2i+2\ell} \oplus J_{2i+2\ell+1}), \\ K_{2i-1} &= \tilde{J}_{2i-1} \oplus q\tilde{J}_{2i} \oplus qJ_{2i+1} \oplus \sum_{\ell=1}^{s-i} q^{\ell+1} (J_{2i+2\ell} \oplus J_{2i+2\ell+1}), \\ R_{2i-1} &= \tilde{J}_{2i} \oplus \tilde{J}_{2i-1} \oplus J_{2i+1} \oplus \sum_{\ell=1}^{s-i} q^\ell (J_{2i+2\ell} \oplus J_{2i+2\ell+1}), \\ K_{2i-2} &= \tilde{J}_{2i-2} \oplus \tilde{J}_{2i-1} \oplus \sum_{\ell=1}^{s-i+1} q^\ell (J_{2i+2\ell-2} \oplus J_{2i+2\ell-1}).\end{aligned}$$

Notice that  $q^\ell K_{2s} \cap K_0 = q^\ell K_{2\ell}$  and  $K_{2\ell} \subseteq K_{2\ell+2} \subseteq \dots \subseteq K_{2s}$ . Hence  $q^\ell x \in K_0$  if and only if  $K_{2i}$  for all  $i$ ,  $\ell < i \leq s$ . Also  $R_{2i} \cap K_{2i-2} = K_{2i-1} = R_{2i-2}$  (proving (a)). When  $x \notin R_{2i}$ , we necessarily have  $x \notin K_{2i-1}$ , but  $x \in R_{2i-1}$  and  $r_{2i-1} = R_{2i} \supseteq K_{2i-2}$ .  $\square$

To help us more easily count how many choices of  $K_{j-1}$  contain a given vector  $x \in K_j - qK_j$ , we introduce an auxiliary counting function and establish some basic identities.

*Definition.* Let  $\bar{M}$  be a regular  $\mathbb{Z}/q\mathbb{Z}$ -quadratic space of type  $(c, \varepsilon)$ . An ordered basis  $(\bar{x}_1, \dots, \bar{x}_c)$  for  $\bar{M}$  is an alternating basis if

- (i)  $\bar{x}_{2i}$  is isotropic for  $1 \leq i < c/2$  and, if  $2|c$  and  $\varepsilon = 1$ , for  $i = c/2$ ,
- (ii)  $\bar{x}_{2i-1}$  is anisotropic ( $1 \leq i \leq c/2$ ), and
- (iii) relative to this basis,

$$\bar{M} \simeq \begin{pmatrix} * & * \\ * & 0 \end{pmatrix} \perp \cdots \perp \begin{pmatrix} * & * \\ * & 0 \end{pmatrix} \perp \bar{A}$$

where  $\bar{A}$  is anisotropic and diagonal of dimension 0, 1, or 2.

Let  $\Psi[(c, \varepsilon): (d, \mu)]$  be the number of ways to choose  $\bar{x}_1, \dots, \bar{x}_c$  such that  $(\bar{x}_1, \dots, \bar{x}_c)$  is an alternating basis for some  $(c, \varepsilon)$  subspace of a fixed  $(d, \mu)$  space. Let  $\Psi_{\bar{x}}[(c, \varepsilon): (d, \mu)]$  be the number of such subspace bases  $(\bar{x}_1, \dots, \bar{x}_c)$  with  $\bar{x}_1 = \bar{x}$  if  $\bar{x}$  is anisotropic, and  $\bar{x}_2 = \bar{x}$  if  $\bar{x}$  is isotropic. Note that if  $\bar{x}$  is a basis vector for a  $(c, \varepsilon)$  subspace of an  $(d, \mu)$  space  $\bar{W}$ , we have  $\bar{x} \notin \text{rad } \bar{W}$ .

**LEMMA 3.4.** Suppose  $\bar{W}$  is a  $(d, \mu)$ -space,  $d > 1$ . Given  $\omega \neq 0$ , the number of solutions to  $Q(\bar{w}) = \omega$  with  $\bar{w} \in \bar{W}$  is

$$\begin{cases} q^{d/2-1}(q^{d/2} - \mu) & \text{if } 2|d, \\ q^{(d-1)/2} \left( q^{(d-1)/2} + \left( \frac{\omega}{q} \right) \mu \right) & \text{otherwise.} \end{cases}$$

*Proof.* First suppose  $\bar{W}$  is a  $(2, \mu)$ -space. As described in [1], there are  $q - \mu$  symmetries of  $\bar{W}$ . Given anisotropic  $\bar{x} \in \bar{W}$ , one easily verifies that only the trivial symmetry fixes  $\bar{x}$ , and the action of a symmetry on  $\bar{x}$  determines its action on  $\bar{W}$ . Thus, if  $Q(\bar{w}) = \omega$  has any solutions, it has exactly  $q - \mu$  solutions. We know there are  $(q - \mu)(1 + \mu)$  (nonzero) isotropic vectors in  $\bar{W}$ ; consequently, there must be  $q - \mu$  solutions to  $Q(\bar{w}) = \omega$  for any  $\omega \neq 0$ .

Next suppose  $d > 2$ ; set  $\ell = [(d - 1)/2]$ . Write  $\bar{W} = \bar{U} \perp \bar{A}$ , where  $\bar{U}$  is a  $(2\ell, 1)$ -space and  $\bar{A}$  is a  $(d - 2\ell, \mu)$ -space. Using induction on  $\ell$ , we count the number of solutions to  $Q(\bar{u}) + Q(\bar{a}) = \omega$  with  $\bar{u} \in \bar{U}$ ,  $\bar{a} \in \bar{A}$ .  $\square$

**LEMMA 3.5.** (1) Suppose that  $d > c > 2$ , or that  $d > c = 2$  and  $\mu = \varepsilon$ . Letting  $\Psi_*$  denote  $\Psi$  or  $\Psi_{\bar{x}}$ , we have

$$\Psi_*[(c, \varepsilon): (d, \mu)] = \Psi_*[(2, 1): (d, \mu)] \cdot \Psi[(c - 2, \varepsilon): (d - 2, \mu)].$$

(2) With  $\varepsilon = \pm 1$ ,

$$\Psi[(1, \varepsilon): (d, \mu)] = \begin{cases} q^{d/2-1}(q-1)(q^{d/2} - \mu) & \text{if } 2|d, \\ q^{(d-1)/2}(q-1)(q^{(d-1)/2} + \varepsilon\mu) & \text{otherwise;} \end{cases}$$

$$\Psi_{\bar{x}}[(1, \varepsilon): (d, \mu)] = \begin{cases} 1 & \text{if } \left(\frac{Q(x)}{q}\right) = \varepsilon, \\ 0 & \text{otherwise.} \end{cases}$$

(3) Suppose  $d > 2$ , or  $d = 2, \mu = 1$ . Then

$$\Psi[(2, 1): (d, \mu)] = \begin{cases} q^{d-2}(q-1)^2(q^{d/2} - \mu)(q^{d/2-1} + \mu) & \text{if } 2|d, \\ q^{d-2}(q-1)^2(q^{d-1} - 1) & \text{otherwise;} \end{cases}$$

$$\Psi_{\bar{x}}[(2, 1): (d, \mu)] = \begin{cases} q^{d/2-1}(q-1)(q^{d/2-1} + \mu) & \text{if } 2|d, Q(\bar{x}) \neq 0, \\ q^{(d-3)/2}(q-1)\left(q^{(d-1)/2} - \left(\frac{Q(x)}{q}\right)\mu\right) & \text{if } 2 \nmid d, Q(\bar{x}) \neq 0, \\ q^{d-2}(q-1)^2 & \text{if } Q(\bar{x}) = 0. \end{cases}$$

(4) Suppose  $d > 2$ , or  $d = 2, \mu = -1$ . Then assuming  $Q(\bar{x}) \neq 0$ ,

$$\Psi[(2, -1): (d, \mu)] = \begin{cases} \frac{1}{2}q^{d-1}(q-1)^2(q^{d/2} - \mu)(q^{d/2-1} - \mu) & \text{if } 2|d, \\ \frac{1}{2}q^{d-1}(q-1)^2(q^{d-1} - 1) & \text{otherwise;} \end{cases}$$

$$\Psi_{\bar{x}}[(2, -1): (d, \mu)] = \begin{cases} \frac{1}{2}q^{d/2}(q-1)(q^{d/2-1} - \mu) & \text{if } 2|d, \\ \frac{1}{2}q^{(d-1)/2}(q-1)\left(q^{(d-1)/2} - \left(\frac{Q(x)}{q}\right)\mu\right) & \text{otherwise.} \end{cases}$$

*Proof.* The proof of (1) follows from the observation that  $\bar{U}^\perp$  is a  $(d-2, \mu)$ -space whenever  $\bar{U}$  is a  $(2, 1)$ -subspace of a  $(d, \mu)$ -space.

(2) follows immediately from the preceding lemma.

(3) Choosing an alternating basis  $\{\bar{x}, \bar{y}\}$  for a  $(2, 1)$ -subspace, we have

$$\Psi[(1, 1): (d, \mu)] + \Psi[(1, -1): (d, \mu)]$$

choices for  $\bar{x}$ . Set  $\mu' = (-1/q)\mu$  if  $2|d$ , and  $\mu' = \mu$  otherwise. Then  $\langle \bar{x} \rangle^\perp$  is a

$$\left(d-1, \left(\frac{Q(x)}{q}\right)\mu'\right)$$

space, so we can use the formulas of [1] to count isotropic  $\bar{y} \notin \langle \bar{x} \rangle^\perp$ . Given isotropic  $\bar{y}$  (not in the radical),  $\langle \bar{y} \rangle^\perp$  is a  $(d-1; d-2, \mu)$ -space, so we can count anisotropic  $\bar{x} \notin \langle \bar{y} \rangle^\perp$ .

(4) Choosing an orthogonal basis  $\{\bar{x}, \bar{y}\}$  for a  $(2, -1)$ -subspace, we have

$$\Psi[(1, 1): (d, \mu)] + \Psi[(1, -1): (d, \mu)]$$

choices for  $\bar{x}$ . We choose  $\bar{y} \in \langle \bar{x} \rangle^\perp$  such that  $(-Q(x)Q(y)/q) = -1$ ; thus we have

$$\Psi_{\bar{x}}[(2, -1): (d, \mu)] = \Psi\left[\left(1, -\left(\frac{-Q(x)}{q}\right)\right): \left(d-1, \left(\frac{Q(x)}{q}\right)\mu'\right)\right]$$

choices for  $\bar{y}$  (where  $\mu'$  is as in (3)).  $\square$

LEMMA 3.6. For  $0 \leq j \leq 2s+1$ ,  $\omega = 0, \pm 1$ , set

$$r'_j = \begin{cases} m + r_{2s} & \text{if } j \text{ is even,} \\ m + r_{2s+1} & \text{if } j \text{ is odd,} \end{cases}$$

and set

$$v_j = v_j(\omega; L, q) = \begin{cases} q^{(r_j - r'_j)/2} (q^{r_j/2} - \mu_j) & \text{if } 2|r_j, \omega \neq 0, \\ q^{(r_j - r'_j + 1)/2} (q^{(r_j - 1)/2} + \omega\mu_j) & \text{if } 2 \nmid r_j, \omega \neq 0, \\ q^{1 - r'_j/2} (q^{r_j/2} - \mu_j) (q^{r_j/2 - 1} + \mu_j) & \text{if } 2|r_j, \omega = 0, \\ q^{1 - r'_j/2} (q^{r_j - 1} - 1) & \text{if } 2 \nmid r_j, \omega = 0. \end{cases}$$

For  $j > s$ , let  $v_{2j}(\omega) = v_{2s}(\omega)$ ,  $v_{2j+1}(\omega) = v_{2s+1}(\omega)$ . Choose  $x \in K_{2s} - qK_{2s}$ ; fix  $\ell \geq 0$ .

(a) Say  $x \in R_{2s}$ ; set  $\omega = \chi_q(Q(x)/q)$ . The proportion of chains  $K_{2s}, \dots, K_0$  such that  $q^\ell x \in K_0$  is  $(v_{2\ell+1}(\omega))/(v_{2s+1}(\omega))$ .

(b) Say  $x \notin R_{2s}$ ; set  $\omega = \chi_q(Q(x))$ . The proportion of chains  $K_{2s}, \dots, K_0$  such that  $q^\ell x \in K_0$  is  $v_{2\ell}(\omega)/v_{2s}(\omega)$ .

*Proof.* First notice that if  $r_{2s+1} = 1$ , or if  $r_{2s+1} = 2$  and  $\mu_{2s+1} = -1$ , then  $q^2 \nmid Q(x)$  for  $x \in R_{2s} - qK_{2s}$ ; similarly, if  $r_{2s} = 1$ , or if  $r_{2s} = 2$  and  $\mu_{2s} = -1$ , then

$q \nmid Q(x)$  for  $x \in K_{2s} - R_{2s}$ . Thus  $v_{2s+1}(\omega)$ ,  $v_{2s}(\omega)$  are never zero, where

$$\omega = \begin{cases} \chi_q(Q(x)/q) & \text{if } x \in R_{2s} - qK_{2s}, \\ \chi_q(Q(x)) & \text{if } x \in K_{2s} - r_{2s}. \end{cases}$$

As argued in the proof of Lemma 3.3,  $K_j$  is determined by the choice of the  $(r_j, \mu_j)$ -subspace  $\bar{M}$  of the  $(r_{j+2}, \mu_{j+2})$ -space  $R_{j+1}/qR_{j+1}$ . Now the number of alternative bases for an  $(r, \mu)$ -space is  $\Psi[(r, \mu): (r, \mu)]$ . Hence, having chosen  $K_i$  for  $j < i \leq 2s$ , the number of choices for  $K_j$  is

$$\frac{\Psi[(r_j, \mu_j): (r_{j+2}, \mu_{j+2})]}{\Psi[(r_j, \mu_j): (r_j, \mu_j)]},$$

and the number of choices of  $K_j$  containing a given vector  $x$  is

$$\frac{\Psi_{\bar{x}}[(r_j, \mu_j): (r_{j+2}, \mu_{j+2})]}{\Psi_{\bar{x}}[(r_j, \mu_j): (r_j, \mu_j)]}.$$

By Lemma 3.5,

$$\frac{\Psi_{\bar{x}}[(r_j, \mu_j): (r_{j+2}, \mu_{j+2})]\Psi[(r_j, \mu_j): (r_j, \mu_j)]}{\Psi_{\bar{x}}[(r_j, \mu_j): (r_j, \mu_j)]\Psi[(r_j, \mu_j): (r_{j+2}, \mu_{j+2})]} = \frac{v_j(\omega)}{v_{j+2}(\omega)}.$$

Thus, for  $x \in K_{2s}$ , the proportion of chains with  $q^\ell x \in K_0$  is

$$\begin{cases} \prod_{\ell < i \leq s} \frac{v_{2i-1}(\omega)}{v_{2i+1}(\omega)} & \text{if } x \in R_{2s} - qK_{2s}, \\ \prod_{\ell < i \leq s} \frac{v_{2i-2}(\omega)}{v_{2i}(\omega)} & \text{if } x \in K_{2s} - R_{2s}. \end{cases}$$

Thus, by Lemma 3.3, if  $x \in R_{2s} - qK_{2s}$ , then the proportion of chains with  $q^\ell x \in K_0$  is

$$\prod_{\ell \leq i < s} \frac{v_{2i+1}(\omega)}{v_{2i+3}(\omega)} = \frac{v_{2\ell+1}(\omega)}{v_{2s+1}(\omega)}.$$

Similarly, if  $x \in K_{2s} - R_{2s}$ , then the proportion of chains with  $q^\ell x \in K_0$  is

$$\prod_{\ell \leq i < s} \frac{v_{2i}(\omega)}{v_{2i+2}(\omega)} = \frac{v_{2\ell}(\omega)}{v_{2s}(\omega)}. \quad \square$$

**THEOREM 3.7.** Suppose  $m = \text{rank } L$  is even,  $m \geq 6$ , and  $(-1)^{m/2} dL \equiv 1 \pmod{4}$ . For  $n \in \mathbb{Z}$ , the average representation number is

$$r(\text{gen } L, 2n) = \rho_{L,\infty} \prod_{q'} \rho_{L,q}(n),$$

where  $\rho_{L,\infty} = (2\pi)^{m/2} / \Gamma(m/2)$ , and for fixed  $q$ ,  $\rho_{L,q}(n)$  is defined as follows.

Write  $dL = NN_1^2$ , where  $N$  is square-free; define  $\chi$  by

$$\chi(d) = \text{sgn}(d)^{m/2} \left( \frac{(-1)^{m/2} dL}{d} \right),$$

where  $(*)$  denotes the Kronecker symbol. Thus  $\chi$  is a character with conductor  $N$ . Let  $v_j(\varepsilon) = v_j(\varepsilon; L, q)$  be as defined in Lemma 3.6. Then for  $e = \text{ord}_q(n)$ ,  $\varepsilon = ((n/q^e)/q)$ ,

$$\rho_{L,q}(n) = v_e(\varepsilon; L, q) + \sum_{0 \leq \ell \leq e-1} q^{(m/2-1)(e-\ell)} v_\ell(0; L, q).$$

*Proof.* If  $L$  has minimal level and discriminant, then the theorem follows immediately from Corollary 2.7. Thus, we argue by induction on the number of primes  $q$  at which  $L$  does not have minimal level and discriminant at  $q$ .

The induction hypothesis is that the theorem holds for all lattices which have fewer than  $h$  primes at which the lattice does not have minimal level and discriminant. Let  $L$  be a lattice with  $h$  such primes. Fix such a prime  $q$ , and let  $K$  be as in Lemma 3.1. If  $r_{2s}$  is odd or  $\mu_{2s} = -1$ , then  $K$  has minimal level and discriminant at  $q$ , and the induction hypothesis (and the fact that the local structures of  $K$  and  $L$  agree for primes  $p \neq q$ ) implies that

$$r(\text{gen } K, 2n) = \rho_{K,q}(n) \rho_{L,\infty} \cdot \prod_{p \neq q} \rho_{L,p}(n),$$

where  $\rho_{K,q}(n)$  is as in Corollary 2.7, and  $\rho_{L,p}(n)$  is as in the statement of the theorem to be proved. If  $r_{2s}$  is even and  $\mu_{2s} = 1$ , then  $K^q$  has minimal level and discriminant at  $q$ , and the induction hypothesis again implies that

$$r(\text{gen } K^q, 2n) = \rho_{K^q,q}(n) \rho_{L,\infty} \cdot \prod_{p \neq q} \rho_{L,p}(qn) = \chi_N(q) \rho_{K^q,q}(n) \cdot \prod_{p \neq q} \rho_{L,p}(n),$$

where  $\rho_{K^q,q}(n)$  is as in Corollary 2.7, and  $\rho_{L,p}(n)$  is as in the theorem to be proved.

*Case 1.* First consider the case that either  $2 \nmid r_{2s}$  or  $\mu_{2s} = -1$ ; so  $K, L$  lie in the same quadratic space. Assume  $s \geq 1$ . For  $\varepsilon = \pm 1$ ,  $\omega = 0, \pm 1$ , set

$$B_\ell(\varepsilon) = \gamma(\varepsilon) \frac{v_{2\ell}(\varepsilon)}{v_{2s}(\varepsilon)} + (1 - \gamma(\varepsilon)) \frac{v_{2\ell-1}(0)}{v_{2s+1}(0)},$$

$$A_\ell(\omega) = \alpha \frac{v_{2\ell+1}(\omega)}{v_{2s+1}(\omega)} + \beta \frac{v_{2\ell}(0)}{v_{2s}(0)} + (1 - \alpha - \beta) \frac{v_{2\ell-1}(0)}{v_{2s+1}(0)}.$$

(Here the notation is as in Lemmas 3.2 and 3.6; we take  $v_{-1}(\ast) = 0$ .) Fix  $\ell \geq 0$ , and let  $R = \text{preimage in } K \text{ of } \text{rad } K/qK$ . Then from Lemmas 3.2 and 3.6, we have the following.

- (a) For  $x \in K - R$  and  $q \mid Q(x)$ , the proportion of  $K_0$  in  $K$  containing  $q^\ell x$  is  $A_\ell(\omega)$ , where  $\omega = ((Q(x)/q)/q)$ .
- (b) For  $x \in K - R$  and  $q \nmid Q(x)$ , the proportion of  $K_0$  in  $K$  containing  $q^\ell x$  is  $B_\ell(\varepsilon)$ , where  $\varepsilon = (Q(x)/q)$ .
- (c) For  $x \in R - qK$  and  $q \mid Q(x)$ , the proportion of  $K_0$  in  $K$  containing  $q^\ell x$  is  $v_{2\ell+1}(\varepsilon)/v_{2s+1}(\varepsilon)$ , where  $\varepsilon = ((Q(x)/q)/q)$ .

If  $q \nmid N$ ,  $R = qK$ . So suppose  $q \mid N$ . Let  $q'$  be a prime associated to  $q$  as in Proposition 2.1. Then, as discussed in the proof of Proposition 2.1, we know that

$$\theta(\text{gen } K; \tau) \mid \frac{1}{(q')^{m/2-1} + 1} T_{q'} = \theta(\text{gen } M; \tau),$$

where  $M_{(p)} \simeq K_{(p)}^{q'}$  for all primes  $p \neq q'$ , and  $M_{(q')} \simeq K_{(q')}$ . Thus, the  $n$ th Fourier coefficient of  $\theta(\text{gen } M; \tau)$  is  $r(\text{gen } M, 2n) = \rho_{K,\infty} \prod_p \rho_{M,p}(n)$ , where our conditions on  $q'$  give us

$$\rho_{M,p}(n) = \begin{cases} \rho_{K,p}(n) & \text{for } p \nmid N \\ \rho_{K,p}(q'n) & \text{for } p \mid N \end{cases} = \begin{cases} \rho_{K,p}(qn) & \text{for } p \neq q, \\ \rho_{K,q}(q'n) & \text{for } p = q. \end{cases}$$

Then, Proposition 2.1 implies that the  $n$ th Fourier coefficient of  $\theta(\text{gen } R; \tau)$  is

$$r(\text{gen } R, 2n) = \begin{cases} 0 & \text{if } q \nmid n, \\ \frac{q^{m/2-1} + 1}{q^{m/2-1}} r(\text{gen } M, 2n/q) - \frac{1}{q^{m/2-1}} r(\text{gen } K, 2n) & \text{if } q \mid n, \end{cases}$$

so

$$r(\text{gen } R, 2n) = \frac{r(\text{gen } K, 2n)}{\rho_{K,q}(n)} \rho_{R,q}(n),$$

where  $\rho_{R,q}(n) = 0$  if  $q \nmid n$ , and for  $e = \text{ord}_q(n) \geq 1$ ,

$$\begin{aligned}
 \rho_{R,q}(n)/f(q) &= \left( \frac{q^{m/2-1} + 1}{q^{m/2-1}} \rho_{K,q}(q'n/q) - \frac{1}{q^{m/2-1}} \rho_{K,q}(n) \right) / f(q) \\
 &= c_K(q) + \frac{q^{m/2-1} + 1}{q^{m/2-1}} \chi_q(2q'n/q^e) \chi_{N/q}(q^{e-1}) q^{(m/2-1)(e-1)} \\
 &\quad - \frac{1}{q^{m/2-1}} \chi_q(2n/q^e) \chi_{N/q}(q^e) q^{(m/2-1)e} \\
 &= c_K(q) + \chi_q(2n/q^e) \chi_{N/q}(q^e) q^{(m/2-1)(e-1)} \\
 &\quad \times \left( \frac{q^{m/2-1} + 1}{q^{m/2-1}} \chi_q(q') \chi_{N/q}(q) - \frac{1}{q^{m/2-1}} \right).
 \end{aligned}$$

Now, by our conditions on  $q'$ , we have

$$\chi_q(q') \chi_{N/q}(q) = \chi_q(q') \chi_{N/q}(q') = \chi(q') = 1;$$

so for  $e \geq 1$ ,

$$\rho_{R,q}(n) = (c_K(q) + \chi_q(2n/q^e) \chi_{N/q}(q^e) q^{(m/2-1)(e-2)}) f(q).$$

Notice that for  $e \geq 2$ ,  $\rho_{R,q}(n) = \rho_{K,q}(n/q^2) = \rho_{qK,q}(n)$ .

Let  $\delta$  denote the number of  $K_0$  in  $K$ ; we have

$$\begin{aligned}
 \frac{1}{\delta} \sum_{K_0 \subseteq K} \theta(K_0; \tau) &= \theta(q^{s+1}K; \tau) + \sum_{\substack{x \in K-R \\ q \nmid Q(x)}} \sum_{0 \leq \ell \leq s} A_\ell \left( \left( \frac{Q(x)/q}{q} \right) \right) e\{Q(q^\ell x)\tau\} \\
 &\quad + \sum_{\substack{x \in K \\ q \nmid Q(x)}} \sum_{0 \leq \ell \leq s} B_\ell \left( \left( \frac{Q(x)}{q} \right) \right) e\{Q(q^\ell x)\tau\} \\
 &\quad + \sum_{x \in R-qK} \sum_{0 \leq \ell \leq s} \frac{v_{2\ell+1} \left( \left( \frac{Q(x)/q}{q} \right) \right)}{v_{2s+1} \left( \left( \frac{Q(x)/q}{q} \right) \right)} e\{Q(q^\ell x)\tau\} \\
 &= \theta(q^t K; \tau) + \sum_{\substack{x \in K-R \\ q \nmid Q(x)}} \sum_{0 \leq \ell \leq t-1} A_\ell \left( \left( \frac{Q(x)/q}{q} \right) \right) e\{Q(q^\ell x)\tau\}
 \end{aligned}$$

$$\begin{aligned}
& + \sum_{\substack{x \in K \\ q \nmid Q(x)}} \sum_{0 \leq \ell \leq t-1} B_\ell \left( \left( \frac{Q(x)}{q} \right) \right) e\{Q(q^\ell x)\tau\} \\
& + \sum_{x \in R-qK} \sum_{0 \leq \ell \leq t-1} \frac{v_{2\ell+1} \left( \left( \frac{Q(x)/q}{q} \right) \right)}{v_{2s+1} \left( \left( \frac{Q(x)/q}{q} \right) \right)} e\{Q(q^\ell x)\tau\}
\end{aligned}$$

for any  $t > s$ . So with  $e = \text{ord}_q(n)$  and  $\varepsilon = ((2n/q^e)/q)$ , the  $n$ th coefficient of  $1/\delta \sum_{K_0 \subseteq K} \theta(K_0; \tau)$  is

$$\left\{ \begin{aligned}
& A_t(\varepsilon)(a(K, n/q^{2t}) - a(R, n/q^{2t})) \\
& + \frac{v_{2t+1}(\varepsilon)}{v_{2s+1}(\varepsilon)}(a(R, n/q^{2t}) - a(qK, n/q^{2t})) \\
& + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(a(K, n/q^{2\ell}) - a(R, n/q^{2\ell})) \\
& + \sum_{0 \leq \ell \leq t-1} \frac{v_{2\ell+1}(0)}{v_{2s+1}(0)}(a(R, n/q^{2\ell}) - a(qK, n/q^{2\ell})) \quad \text{if } e = 2t+1, \\
& B_t(\varepsilon)a(K, n/q^{2t}) \\
& + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(a(K, n/q^{2\ell}) - a(R, n/q^{2\ell})) \\
& + \sum_{0 \leq \ell \leq t-1} \frac{v_{2\ell+1}(0)}{v_{2s+1}(0)}(a(R, n/q^{2\ell}) - a(qK, n/q^{2\ell})) \quad \text{if } e = 2t.
\end{aligned} \right.$$

Note that  $a(qK, n/q^{2\ell}) = a(K, n/q^{2\ell+2})$ ; so  $a(qK, n/q^{2t}) = 0$  when  $q^{2t+1} \parallel n$ . Now

$$\frac{1}{\delta} \sum_{K_0 \subseteq K} \theta(K_0; \tau) = \frac{1}{\delta} \sum_{L' \in \text{gen } L} \frac{\#\{\sigma \in O(V) : \{K : \sigma L'\} = \{K : L\}\}}{o(L')} \theta(L'; \tau),$$

where  $\{K : L\}$  denotes the invariant factors of  $L$  in  $K$  (see [4]), and  $o(L')$  denotes the order of the orthogonal group of  $L'$ ; thus

$$\begin{aligned}
& \sum_{\substack{M \in \text{gen } K \\ K_0 \subseteq M}} \frac{1}{o(M)} \theta(K_0; \tau) \\
& = \sum_{L' \in \text{gen } L} \sum_{M \in \text{gen } K} \frac{\#\{\sigma \in O(V) : \{L' : \sigma q^{s+1}M\} = \{L : q^{s+1}K\}\}}{o(q^{s+1}M)} \frac{1}{o(L')} \theta(L'; \tau).
\end{aligned}$$

Since the invariant factors  $\{L: q^{s+1}K\}$  are all powers of  $q$ ,

$$\delta' = \sum_{M \in \text{gen } K} \frac{\#\{\sigma \in O(V): \{L': \sigma q^{s+1}M\} = \{L: q^{s+1}K\}\}}{o(q^{s+1}M)}$$

is determined by the structure of  $L_{(q)}$ ; hence  $\delta'$  is independent of the choice of  $L' \in \text{gen } L$ . So

$$\frac{\delta' \text{ mass } L}{\delta \text{ mass } K} \theta(\text{gen } L; \tau) = \frac{1}{\delta \text{ mass } K} \sum_{\substack{M \in \text{gen } K \\ K_0 \subseteq M}} \frac{1}{o(M)} \theta(K_0; \tau),$$

and for  $n \neq 0$ , the  $n$ th Fourier coefficient of  $1/(\delta \text{ mass } K) \sum_{\substack{M \in \text{gen } K \\ K_0 \subseteq M}} (1/o(M)) \theta(K_0; \tau)$  is

$$\left\{ \begin{aligned} & A_t(\varepsilon)(r(\text{gen } K, 2n/q^{2t}) - r(\text{gen } R, 2n/q^{2t})) \\ & + \frac{v_{2t+1}(\varepsilon)}{v_{2s+1}(\varepsilon)} r(\text{gen } R, 2n/q^{2t}) \\ & + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(r(\text{gen } K, 2n/q^{2\ell}) - r(\text{gen } R, 2n/q^{2\ell})) \\ & + \sum_{0 \leq \ell \leq t-1} \frac{v_{2\ell+1}(0)}{v_{2s+1}(0)} (r(\text{gen } R, 2n/q^{2\ell}) - r(\text{gen } K, 2n/q^{2\ell+2})) \quad \text{if } e = 2t+1, \\ & B_t(\varepsilon)r(\text{gen } K, 2n/q^{2t}) \\ & + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(r(\text{gen } K, 2n/q^{2\ell}) - r(\text{gen } R, 2n/q^{2\ell})) \\ & + \sum_{0 \leq \ell \leq t-1} \frac{v_{2\ell+1}(0)}{v_{2s+1}(0)} (r(\text{gen } R, 2n/q^{2\ell}) - r(\text{gen } K, 2n/q^{2\ell+2})) \quad \text{if } e = 2t. \end{aligned} \right.$$

Note that the zeroth coefficients of  $\theta(\text{gen } L; \tau)$  and  $1/(\delta \text{ mass } K) \sum_{\substack{M \in \text{gen } K \\ K_0 \subseteq M}} (1/o(M)) \times \theta(K_0; \tau)$  are both 1, so  $\delta' \text{ mass } L/(\delta \text{ mass } K) = 1$ . Note also that when  $q^2|n'$ ,  $\rho_{R,q}(n') = \rho_{K,q}(n'/q^2)$ . Our induction hypothesis now gives us

$$r(\text{gen } L, 2n) = \rho_{K,\infty} \prod_p \rho_{K,p}(n),$$

where

$$\rho_{L,q}(n) = \begin{cases} A_t(\varepsilon)(\rho_{K,q}(n/q^{2t}) - \rho_{R,q}(n/q^{2t})) \\ \quad + \frac{v_{2t+1}(\varepsilon)}{v_{2s+1}(\varepsilon)} \rho_{R,q}(n/q^{2t}) \\ \quad + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(\rho_{K,q}(n/q^{2^\ell}) - \rho_{K,q}(n/q^{2^\ell+2})) & \text{if } e = 2t + 1, \\ B_t(\varepsilon) \rho_{K,q}(n/q^{2t}) \\ \quad + \sum_{0 \leq \ell \leq t-1} A_\ell(0)(\rho_{K,q}(n/q^{2^\ell}) - \rho_{K,q}(n/q^{2^\ell+2})) & \text{if } e = 2t. \end{cases}$$

For  $q^{2^\ell+2} | n$ ,

$$\rho_{K,q}(n/q^{2^\ell}) - \rho_{K,q}(n/q^{2^\ell+2}) = \begin{cases} (\chi(q)q^{m/2-1})^{e-1-2^\ell} (1 + \chi(q)q^{m/2-1}) f(q) & \text{if } q \nmid dK, \\ \chi_q(2n/q^e) \chi_{N/q}(q^e) q^{(m/2-1)(e-2-2^\ell)} (q^{m-2}-1) f(q) & \text{if } q | dK. \end{cases}$$

Also if  $q \nmid dK$ , then  $R = qK$ ; so for  $e = 2t$  or  $2t + 1$ ,

$$\rho_{K,q}(n/q^{2t}) - \rho_{R,q}(n/q^{2t}) = \rho_{K,q}(n/q^{2t}) = \begin{cases} f(q) & \text{if } e = 2t, \\ (1 + \chi(q)q^{m/2-1}) f(q) & \text{if } e = 2t + 1. \end{cases}$$

Next, for  $e = 2t + 1$  and  $q | dK$ ,

$$\alpha \rho_{K,q}(n/q^{2t}) + (1 - \alpha) \rho_{R,q}(n/q^{2t}) = \begin{cases} (\mu_{2s} q^{1-m/2} + q^{d+1-m/2} \varepsilon(\mu_{2s} \mu_{2s+1})^e) f(q) & \text{if } q \parallel dK, \\ \frac{q^{-m/2}(q^{d+1} + 1)(q^{m/2-1} - 1)}{q^{m/2-2} - 1} f(q) & \text{if } q^2 | dK. \end{cases}$$

Note that when  $q \nmid dK$ , we must have  $r_{2s}$  even,  $\mu_{2s} = -1$ ,  $\mu_{2s+1} = 1$ , and  $\chi_q = 1$ ; hence  $\chi(q) = \mu_{2s} \mu_{2s+1} = -1$ . When  $q \parallel dK$ , we have  $\chi_q(2n/q^e) = ((2n/q^e)/q)$  and

$$\chi_{N/q}(q) = \left( \frac{q}{N_0/q} \right) = \left( \frac{(-1)^{m/2-1} N_0/q}{q} \right) = \left( \frac{(-1)^{m/2-1} dK/q}{q} \right) = \mu_{2s} \mu_{2s+1},$$

where  $N = N_0 N_1^2$  with  $N_0$  square-free (recall that  $(-1)^{m/2} N \equiv 1 \pmod{4}$ ). Similarly, when  $q^2 \mid dK$ ,  $\chi_q = 1$  and

$$\chi_{N/q}(q) = \left( \frac{q}{N_0} \right) = \left( \frac{(-1)^{m/2} N_0}{q} \right) = \left( \frac{(-1)^{m/2} dK/q^2}{q} \right) = \mu_{2s} \mu_{2s+1} = 1.$$

Then straightforward computations show that  $\rho_{L,q}(n)$  is as claimed.

*Case 2.* Now, suppose  $r_{2s}$  is even and  $\mu_{2s} = 1$ ; so  $K^q$  is an integral lattice on  $V^q$ . Set

$$A_\ell(\omega) = \alpha \frac{v_{2\ell}(\omega)}{v_{2s}(\omega)} + \beta \frac{v_{2\ell-1}(0)}{v_{2s+1}(0)} + (1 - \alpha - \beta) \frac{v_{2\ell-2}(0)}{v_{2s}(0)},$$

and

$$B_\ell(\varepsilon) = \gamma(\varepsilon) \frac{v_{2\ell-1}(\varepsilon)}{v_{2s+1}(\varepsilon)} + (1 - \gamma(\varepsilon)) \frac{v_{2\ell-2}(0)}{v_{2s}(0)}.$$

As in the preceding case, for  $\ell \geq 0$ , Lemmas 3.2 and 3.6 give us the following.

(a) For  $x \in K - qK$ ,  $q \mid qQ(x)$ , the proportion of  $K_0$  in  $K$  containing  $q^\ell x$  ( $\ell \geq 0$ ) is  $A_\ell(\omega)$ , where  $\omega = (Q(x)/q)$ .

(b) For  $x \in K - qK$ ,  $q \nmid qQ(x)$ , the proportion of  $K_0$  in  $K$  containing  $q^\ell x$  ( $\ell \geq 1$ ) is  $B_\ell(\varepsilon)$ , where  $\varepsilon = (qQ(x)/q)$ . Thus

$$\begin{aligned} \frac{1}{\delta} \sum_{K_0 \subseteq K} \theta(K_0^q; \tau) &= \theta(q^{s+1}K^q; \tau) + \sum_{\substack{x \in K^q/qK^q \\ q \mid qQ(x)}} \sum_{0 \leq \ell \leq s} A_\ell \left( \left( \frac{Q(x)}{q} \right) \right) e\{qQ(q^\ell x)\tau\} \\ &\quad + \sum_{\substack{x \in K^q \\ q \nmid qQ(x)}} \sum_{1 \leq \ell \leq s} B_\ell \left( \left( \frac{qQ(x)}{q} \right) \right) e\{qQ(q^\ell x)\tau\}, \end{aligned}$$

where  $\delta$  is the number of  $K_0$  in  $K$ . We have  $L \in \text{gen } K_0$ , so an argument similar to that when  $r_{2s}$  is odd or  $\mu_{2s} = -1$  gives us

$$r(\text{gen } L_0^q, n) = \begin{cases} A_t(\varepsilon) r(\text{gen } K^q, 2n/q^{2t}) \\ \quad + \sum_{0 \leq \ell < t} A_\ell(0) (r(\text{gen } K^q, 2n/q^{2\ell}) - r(\text{gen } K^q, 2n/q^{2\ell+2})) \\ \quad \quad \quad \text{if } q^{2t+1} \parallel n, \\ B_t(\varepsilon) r(\text{gen } K^q, 2n/q^{2t}) \\ \quad + \sum_{0 \leq \ell < t} A_\ell(0) (r(\text{gen } K^q, 2n/q^{2\ell}) - r(\text{gen } K^q, 2n/q^{2\ell+2})) \\ \quad \quad \quad \text{if } q^{2t} \parallel n, t \geq 1, 0 \quad \text{otherwise,} \end{cases}$$

where  $e = \text{ord}_q(n)$  and  $\varepsilon = ((n/q^e)/q)$ . By hypothesis,

$$r(\text{gen } K^q, 2n) = \chi_N(q) \rho_{K^q, q}(n) \rho_{L, \infty} \prod_{p \neq q} \rho_{L, p}(n/q).$$

So, as in Case 1,

$$r(\text{gen } L^q, 2qn) = r(\text{gen } K_0^q, 2qn) = \rho_{L, \infty} \cdot \prod_p \rho_{L^q, p}(qn),$$

where

$$\rho_{L^q, q}(qn) = \begin{cases} A_t(\varepsilon) \rho_{K^q, q}(qn/q^{2t}) \\ \quad + \sum_{0 \leq \ell < t} A_\ell(0) (\rho_{K^q, q}(qn/q^{2\ell}) - \rho_{K^q, q}(qn/q^{2\ell+2})) & \text{if } e = 2t, \\ B_t(\varepsilon) \rho_{K^q, q}(qn/q^{2t}) \\ \quad + \sum_{0 \leq \ell < t} A_\ell(0) (\rho_{K^q, q}(qn/q^{2\ell}) - \rho_{K^q, q}(qn/q^{2\ell+2})) & \text{if } e = 2t - 1, t \geq 1, \\ 0 & \text{otherwise.} \end{cases}$$

We know that

$$\rho_{K^q, q}(n) = \frac{1 - (\chi(q)q^{m/2-1})^{e+1}}{1 - \chi(q)q^{m/2-1}} (1 - \chi(q)q^{-m/2})$$

and

$$\begin{aligned} & \rho_{K^q, q}(n/q^{2\ell}) - \rho_{K^q, q}(n/q^{2\ell+2}) \\ &= \chi(q)^e q^{(m/2-1)(e-1-2\ell)} (q^{m/2-1} + \chi(q)) (1 - \chi(q)q^{-m/2}), \end{aligned}$$

where  $\chi(q) = \mu_{2s}\mu_{2s+1} = \mu_{2s+1}$ . Also, one easily verifies that  $r(\text{gen } L^q, 2qn) = r(\text{gen } L, 2n)$ . Thus

$$\begin{aligned} r(\text{gen } L, 2n) &= r(\text{gen } L^q, 2qn) = \rho_{L^q, q}(qn) \cdot \rho_{L, \infty} \prod_{p \neq q} \rho_{L, p}(qn) \\ &= \chi(q) \rho_{L^q, q}(qn) \cdot \rho_{L, \infty} \prod_{p \neq q} \rho_{L, p}(n) = \rho_{L, \infty} \prod_p \rho_{L, p}(n), \end{aligned}$$

where  $\rho_{L, q}(n)$  is as claimed in the theorem.  $\square$

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