# The polynomial Szemerédi theorem and beyond 

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## Mean ergodic theorem

Let $(X, \mathcal{X}, \mu, T)$ be an ergodic measure-preserving dynamical system and $f \in L^{2}(\mu)$. Then

$$
\frac{1}{N} \sum_{n=1}^{N} T^{n} f \rightarrow \int_{X} f \quad \text { in } \quad L^{2}(\mu)
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What if we replace the iterate $n$ by $P(n)$ for some $P \in \mathbb{Z}[n]$ ? E.g. $2 n$ or $n^{2}$ ?

## Failure of mean ergodic theorem for polynomial iterates

Consider $P(n)=2 n, X=\mathbb{Z} / 2 \mathbb{Z}, T x=x+1 \bmod 2$.
Then $T^{2}=I d$, and so $T^{2 n} f=f$ for every $n$. Hence

Now take $X=\mathbb{Z} / 3 \mathbb{Z}, T x=x+1 \bmod 3$. Then $T^{2}$ is ergodic,
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\frac{1}{N} \sum_{n=1}^{N} T^{2 n} f \rightarrow \int_{X} f:=\frac{f(0)+f(1)+f(2)}{3}
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in $L^{2}(\mu)$.

## Failure of mean ergodic theorem for polynomial iterates

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Hence

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\frac{1}{N} \sum_{n=1}^{N} T^{n^{2}} f(x) \rightarrow \frac{f(x)+2 f(x+1)}{3}
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in $L^{2}(\mu)$.

Let $(X, \mathcal{X}, \mu, T)$ be totally ergodic, i.e. $T, T^{2}, T^{3}, \ldots$ are all ergodic.

For instance, an irrational translation on $\mathbb{T}$ is totally ergodic.
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## Multiple ergodic averages with polynomial iterates

We will study averages

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## Furstenberg's proof of Szemerédi theorem

## Theorem (Furstenberg 1977)

Let $k \in \mathbb{N},(X, \mathcal{X}, \mu, T)$ be a system and $A \in \mathcal{X}$ be a set with positive measure. Then

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\liminf _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} \mu\left(A \cap T^{-n} A \cap \cdots \cap T^{-k n} A\right)>0
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As a corollary, there exists $n>0$ such that

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\mu\left(A \cap T^{-n} A \cap \cdots \cap T^{-(k-1) n} A\right)>0 .
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## Theorem (Szemeredi 1975)

Let $k \geq 3$. Then each dense subset of $\mathbb{N}$ contains a $k$-term
arithmetic progression

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m, m+n, \ldots, m+(k-1) n
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## with $n \neq 0$

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## Polynomial Szemerédi theorem

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Let $P_{1}, \ldots, P_{k}$ be distinct integral polynomials and $(X, \mathcal{X}, \mu, T)$ be a system. Suppose that $A \in \mathcal{X}$ has positive measure. Then

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## Corollary

Let $P_{1}, \ldots, P_{k}$ be distinct integral polynomials. Then each dense subset of $\mathbb{N}$ contains a polynomial progression of the form

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## Convergence of multiple ergodic averages

Both Furstenberg as well as Bergelson and Leibman showed

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Does the limit exist?

Theorem (Host \& Kra 2005; Leibman 2005)
Let $(X, \mathcal{X}, \mu, T)$ be a system, $P_{1}, \ldots, P_{k}$ be distinct integral polynomials and $f_{1}, \ldots, f_{k} \in L^{\infty}(\mu)$. Then

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## Weak convergence

Strong convergence implies weak convergence, hence we have the following corollary.

## Corollary

Let $(X, \mathcal{X}, \mu, T)$ be a system, $P_{1}, \ldots, P_{k}$ be distinct integral polynomials and $f_{0}, \ldots, f_{k} \in L^{\infty}(\mu)$. Then

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\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} \int_{X} f_{0} \cdot T^{P_{1}(n)} f_{1} \ldots T^{P_{k}(n)} f_{k}
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If $f_{0}=\ldots=f_{k}=1_{A}$ for $A \in \mathcal{X}$, then we get that


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exists.

## Factors

A factor of a system $(X, \mathcal{X}, \mu, T)$ is a $T$-invariant sub- $\sigma$-algebra $\mathcal{Y}$.
Equivalently, a factor of $(X, \mathcal{X}, \mu, T)$ is a system $(Y, \mathcal{Y}, \nu, S)$ together with a factor map $\pi: X \rightarrow Y$ satisfying

(2) $\pi \circ T=S \circ \pi$.

For instance, the translation

is a factor of the system

$$
\begin{aligned}
& T: \mathbb{T}^{2} \rightarrow \mathbb{T}^{2} \\
& (x, y) \mapsto(x+a, y+x),
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and the factor map is given by $\pi(x, y)=x$.

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## The idea behind Host-Kra proof

## Theorem (Host \& Kra 2005)

Let $(X, \mathcal{X}, \mu, T)$ be a system, $P_{1}, \ldots, P_{k}$ be distinct integral polynomials and $f_{1}, \ldots, f_{k} \in L^{\infty}(\mu)$. Then the average

$$
\frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} f_{1} \cdots T^{P_{k}(n)} f_{k}
$$

converges in $L^{2}(\mu)$.

For distinct integral polynomials $P_{1}, \ldots, P_{k}$, we want to find a well-structured factor $\mathcal{Y}$ of $(X, \mathcal{X}, \mu, T)$ such that

$$
\begin{aligned}
& \lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} f_{1} \cdots T^{P_{k}(n)} f_{k} \\
& =\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} \mathbb{E}\left(f_{1} \mid \mathcal{Y}\right) \cdots T^{P_{k}(n)} \mathbb{E}\left(f_{k} \mid \mathcal{Y}\right)
\end{aligned}
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The tower of Host-Kra factors
For an ergodic system $(X, \mathcal{X}, \mu, T)$, Host and Kra constructed a tower of factors

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\mathcal{Z}_{0} \subseteq \mathcal{Z}_{1} \subseteq \mathcal{Z}_{2} \subseteq \cdots \subseteq \mathcal{X}
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with the following property.

## Theorem (Host \& Kra 2005)

Let $(X, \mathcal{X}, \mu, T)$ be ergodic, $f_{1}, \ldots, f_{k} \in L^{\infty}(\mu)$ and $\mathcal{P}=\left\{P_{1}\right.$, be a family of distinct integral polynomials. Then there exists $s \in \mathbb{N}$, such that the $L^{2}(\mu)$ limits agree


We say that the factor $\mathcal{Z}_{s}$ is characteristic for the family $\mathcal{P}$ and the system $(X, \mathcal{X}, \mu, T)$.

Importantly, s depends only on $P_{1}, \ldots, P_{k}$ but not on $X$ or $f_{1}, \ldots, f_{k}$.

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## The structure of Host-Kra factors

The factor $\mathcal{Z}_{0}$ of $(X, \mathcal{X}, \mu, T)$ is the $\sigma$-algebra of $T$-invariant sets.

The factor $\mathcal{Z}_{1}$ of an ergodic system is the Kronecker factor, i.e. the factor generated by eigenfunctions of $T$
Equivalently, it is the maximal factor of $X$ s.t. $\left(X, Z_{1}, \mu, T\right)$ is isomorphic to a rotation on a compact abelian group.

More generally, the factor $\mathcal{Z}_{s}$ is an inverse limit of s-step nilsystems, i.e. systems of the form $(G / \Gamma, \mathcal{Y}, \nu, S)$, where
(1) $G / \Gamma$ is an s-step nilmanifold, i.e. $G$ is an s-step nilpotent Lie group and $\Gamma$ is a cocompact lattice;
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## Examples of nilsystems

A translation $T x=x+a$ on $G / \Gamma=\mathbb{T}=\mathbb{R} / \mathbb{Z}$ defines a 1 -step nilsystem. An example of a 2 -step nilsystem is


This system can be realized as $G / \Gamma$ for


Then $T$ corresponds to the left multiplication by $g=\left(\begin{array}{lll}0 & 1 & a \\ 0 & 1 & a \\ 0 & 0 & 1\end{array}\right)$, which


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## Examples of nilsystems

A translation $T_{x}=x+a$ on $G / \Gamma=\mathbb{T}=\mathbb{R} / \mathbb{Z}$ defines a 1-step nilsystem.
An example of a 2-step nilsystem is

$$
\begin{aligned}
& T: \mathbb{T}^{2} \rightarrow \mathbb{T}^{2} \\
& (x, y) \mapsto(x+a, y+x)
\end{aligned}
$$

This system can be realized as $G / \Gamma$ for

$$
G=\left(\begin{array}{lll}
1 & \mathbb{Z} & \mathbb{R} \\
0 & 1 & \mathbb{R} \\
0 & 0 & 1
\end{array}\right) \quad \text { and } \quad \Gamma=\left(\begin{array}{ccc}
1 & \mathbb{Z} & \mathbb{Z} \\
0 & 1 & \mathbb{Z} \\
0 & 0 & 1
\end{array}\right)
$$

Then $T$ corresponds to the left multiplication by $g=\left(\begin{array}{lll}1 & 1 & 0 \\ 0 & 1 & a \\ 0 & 0 & 1\end{array}\right)$, which is:

$$
g\left(\begin{array}{lll}
1 & 0 & y \\
0 & 1 & x \\
0 & 0 & 1
\end{array}\right)=\left(\begin{array}{lll}
1 & 1 & 0 \\
0 & 1 & a \\
0 & 0 & 1
\end{array}\right)\left(\begin{array}{lll}
1 & 0 & y \\
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\end{array}\right)=\left(\begin{array}{ccc}
1 & 1 & y+x \\
0 & 1 & x+a \\
0 & 0 & 1
\end{array}\right) .
$$

## A proof of the existence of the limit

The proof of the existence of

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\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} f_{1} \ldots T^{P_{k}(n)} f_{k}
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would go as follows:
(1) Some Host-Kra factor $\mathcal{Z}_{s}$ is characteristic for the average, so we can assume that all the functions are $\mathcal{Z}_{s}$-measurable.
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## Host-Kra factors

Recall the equality

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& \lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} f_{1} \cdots T^{P_{k}(n)} f_{k} \\
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Recall that $\mathcal{Z}_{s}$ is a factor of $\mathcal{Z}_{s+1}$ for each $s \in \mathbb{N}$.
What is the smallest $s$ for which the equality holds?

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## Question

For the rest of the talk, we assume that $T$ is totally ergodic, i.e. $T, T^{2}, T^{3}, \ldots$ are all ergodic.

## Question

Let $\mathcal{P}=\left\{P_{1}, \ldots, P_{k}\right\}$ be a family of distinct integral polynomials. What is the smallest $s$ such that the factor $\mathcal{Z}_{s}$ is characteristic for $\mathcal{P}$ for all totally ergodic systems?
Thus, we look for the smallest s such that

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for all totally ergodic systems $(X, \mathcal{X}, \mu, T)$ and $f_{1}, \ldots, f_{k} \in L^{\infty}(\mu)$.
This smallest $s$ is called the complexity of $\mathcal{P}$.

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## Linearly independent polynomials

## Theorem (Frantzikinakis \& Kra 2005)

The factor $\mathcal{Z}_{0}$ is characteristic for linearly independent families such as $\left\{n, n^{2}, \ldots, n^{k}\right\}$. Thus,

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$$

and so

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## Summary of known results

(1) Linearly independent families have complexity 0 (Frantzikinakis \& Kra 2005).
(3) The linear family $\{n, 2 n \ldots, k n\}$ has complexity $k-1$ (Host \& Kra 2005; Ziegler 2007).
© For any nonconstant integral polynomial $P$, the family $\{P(n), 2 P(n), \ldots, k P(n)\}$ has complexity $k-1$ (Frantzikinakis 2008)
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The complexity of $\mathcal{P}=\left\{P_{1}, \ldots, P_{k}\right\}$ is related to algebraic relations

$$
Q_{0}(m)+Q_{1}\left(m+P_{1}(n)\right)+\ldots+Q_{k}\left(m+P_{k}(n)\right)=0
$$

satisfied by the polynomial progression

$$
m, m+P_{1}(n), \ldots, m+P_{k}(n)
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## Algebraic relations

An algebraic relation of degree $s$ satisfied by $\left\{P_{1}, \ldots, P_{k}\right\}$ is a relation of the form

$$
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where $\max _{i} \operatorname{deg} Q_{i}=s$.

For instance, the family $\left\{n, n^{2}, n+n^{2}\right\}$ satisfies one linear relation (up to scaling)

$$
m-(m+n)-\left(m+n^{2}\right)+\left(m+n+n^{2}\right)=0 .
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The family $\left\{n, 2 n, n^{2}\right\}$ satisfies any linear combination of the relations:

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## Complexity conjecture

## Conjecture

Let $\mathcal{P}=\left\{P_{1}, \ldots, P_{k}\right\}$ be a family of distinct integral polynomials. The factor $\mathcal{Z}_{s}$ is characteristic for $\mathcal{P}$ iff $\mathcal{P}$ satisfies no relation of degree $s+1$ or higher.

## E.g., the conjecture is saying:

(1) $\mathcal{Z}_{1}$ is characteristic for $\left\{n, n^{2}, n+n^{2}\right\}$ because of the relation
$m-(m+n)-\left(m+n^{2}\right)+\left(m+n+n^{2}\right)=0$.
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## Why do algebraic relations matter?

It suffices to find the characteristic factor for the weak convergence, i.e. the smallest $s$ for which

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Consider the family $\mathcal{P}=\{n, 2 n, 3 n\}$ and note the algebraic relation

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m^{2}-3(m+n)^{2}+3(m+2 n)^{2}-(m+3 n)^{2}=0 .
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> Take nonzero $a \in \mathbb{T}$, let $e(y)=e^{2 \pi i y}$ and consider the expressions

Morally, we can express these exponentials as functions
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T(x, y)=(x+a, y+2 x+a) \quad \text { on } \quad \mathbb{T}^{2} .
$$

Thus,

$$
T^{m} f_{1} \cdot T^{m+n} f_{2} \cdot T^{m+2 n} f_{3} \cdot T^{m+3 n} f_{4}=1,
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but


## Why do algebraic relations matter?

Consider the family $\mathcal{P}=\{n, 2 n, 3 n\}$ and note the algebraic relation

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m^{2}-3(m+n)^{2}+3(m+2 n)^{2}-(m+3 n)^{2}=0 .
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Take nonzero $a \in \mathbb{T}$, let $e(y)=e^{2 \pi i y}$ and consider the expressions

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e\left(a m^{2}\right), e\left(-3 a(m+n)^{2}\right), e\left(3 a(m+2 n)^{2}\right), e\left(-a(m+3 n)^{2}\right)
$$

Morally, we can express these exponentials as functions

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## Easy direction in the complexity conjecture

## Conjecture

Let $\mathcal{P}=\left\{P_{1}, \ldots, P_{k}\right\}$ be a family of distinct integral polynomials. The factor $\mathcal{Z}_{s}$ is characteristic for $\mathcal{P}$ iff $\mathcal{P}$ satisfies no relation of degree $s+1$ or higher.

Extending the previous example, we can show that if $\mathcal{P}$ satisfies an algebraic relation of degree $s+1$, then there is a system $(X, \mathcal{X}, \mu, T)$ and functions $f_{0}, \ldots, f_{k} \in L^{\infty}(\mu)$ such that

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T^{m} f_{0} \cdot T^{m+P_{1}(n)} f_{1} \cdots T^{m+P_{k}(n)} f_{k}=1
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## Homogeneity

A homogeneous relation of degree $s$ is a relation of the form

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A family $\left\{P_{1}, \ldots, P_{k}\right\}$ is homogeneous if all the relations that it satisfies are sums of homogeneous relations.

For instance, the family $\left\{n, n^{2}, n+n^{2}\right\}$ satisfies only the relation $m-(m+n)-\left(m+n^{2}\right)+\left(m+n+n^{2}\right)=0$
(up to scaling), hence it is homogeneous.
The family $\left\{n, 2 n, n^{2}\right\}$ satisfies the nonhomogeneous relation $\left(m^{2}+2 m\right)-2(m+n)^{2}+(m+2 n)^{2}-2\left(m+n^{2}\right)=0$,

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hence it is not homogeneous.

## Complexity conjecture holds for homogeneous families

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## Theorem (K. 2021)

The conjecture holds for all homogeneous families $\mathcal{P}$

## Examples:

(1) $\mathcal{Z}_{1}$ (Kronecker factor) is characteristic for $\mathcal{P}=\left\{n, n^{2}, n+n^{2}\right\}$ because it satisfies one homogeneous relation up to scaling:

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m-(m+n)-\left(m+n^{2}\right)+\left(m+n+n^{2}\right)=0
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(this example was previously proved by Frantzikinakis)
(2) $\mathcal{Z}_{1}$ (Kronecker factor) is characteristic for $\mathcal{P}=\left\{n, 2 n, n^{3}, 2 n^{3}\right\}$
because it only satisfies linear combinations of two homogeneous relations
$m-2(m+n)-(m+2 n)=0$ and $\quad m-2\left(m+n^{3}\right)-\left(m+2 n^{3}\right)=0$.

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## More examples of homogeneous families

(1) Linear families $\left\{a_{1} n, \ldots, a_{k} n\right\}$;
(2) Families $\left\{a_{1} P(n), \ldots, a_{k} P(n)\right\}$;
(3) Linearly independent families such as $\left\{n, n^{2}, \ldots, n^{k}\right\}$
(C) Families satisfying only linear relations
$a_{0} m+a_{1}\left(m+P_{1}(n)\right)+\ldots+a_{k}\left(m+P_{k}(n)\right)=0$
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and no higher relations, such as $\left\{n, 2 n, n^{3}, 2 n^{3}\right\}$.

## Families satisfying only linear relations

## Corollary (K. 2021)

Suppose that a family $\mathcal{P}$ satisfies only linear relations

$$
a_{0} m+a_{1}\left(m+P_{1}(n)\right)+\ldots+a_{k}\left(m+P_{k}(n)\right)=0
$$

and no higher order relations. Then the Kronecker factor $\mathcal{Z}_{1}$ is characteristic for $\mathcal{P}$, i.e.

$$
\begin{aligned}
& \lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} f_{1} \cdots T^{P_{k}(n)} f_{k} \\
& =\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{P_{1}(n)} \mathbb{E}\left(f_{1} \mid \mathcal{Z}_{1}\right) \cdots T^{P_{k}(n)} \mathbb{E}\left(f_{k} \mid \mathcal{Z}_{1}\right) \quad \text { in } \quad L^{2}(\mu)
\end{aligned}
$$

for every totally ergodic system $(X, \mathcal{X}, \mu, T)$ and $f_{1}, \ldots, f_{k} \in L^{\infty}(\mu)$.

## Proof: reduction to nilsystems

(1) We use Host-Kra's result to replace

$$
\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} \int_{X} T^{m} f_{0} \cdot T^{m+P_{1}(n)} f_{1} \cdots T^{m+P_{k}(n)} f_{k}
$$

by
$\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} \int_{X} T^{m} \mathbb{E}\left(f_{0} \mid \mathcal{Z}_{s}\right) \cdot T^{m+P_{1}(n)} \mathbb{E}\left(f_{1} \mid \mathcal{Z}_{s}\right) \cdots T^{m+P_{k}(n)} \mathbb{E}\left(f_{k} \mid \mathcal{Z}_{s}\right)$
for some $s \in \mathbb{N}$.
(2) We approximate the system by a totally ergodic nilsystem $G / \Gamma$.
(3) For an ergodic element $a \in G$, we find the closures of

$$
\left(a^{m} x, a^{m+P_{1}(n)} x, \ldots, a^{m+P_{k}(n)} x\right)_{n, m \in \mathbb{N}}
$$

inside $G^{k+1} / \Gamma^{k+1}$ for $x \in G / \Gamma$.

## Closure of polynomial sequences

Let $G / \Gamma$ be a nilmanifold and $g(n)=g_{0} g_{1}^{n} g_{2}^{n^{2}} \cdots g_{s}^{n^{s}}$ be a polynomial sequence on $G$ which is irrational.

Let $\mathcal{P}=\left\{P_{1}, \ldots, P_{k}\right\}$ be a homogeneous family and

$$
g^{D}(m, n)=\left(g(m), g\left(m+P_{1}(n)\right), \ldots, g\left(m+P_{k}(n)\right)\right)
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My main result gives an explicit description of the closure of $g^{P}$ inside the product nilmanifold $(G / \Gamma)^{k+1}$

This result works if and only if $\mathcal{P}$ is homogeneous.

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## Application: equality of limits

## Corollary (K. 2021)

Let $(X, \mathcal{X}, \mu, T)$ be a totally ergodic system and $f_{1}, \ldots, f_{4} \in L^{\infty}(\mu)$. Then

$$
\begin{aligned}
& \lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{n} f_{1} \cdot T^{2 n} f_{2} \cdot T^{n^{3}} f_{3} \cdot T^{2 n^{3}} f_{4} \\
& =\lim _{N \rightarrow \infty} \frac{1}{N} \sum_{n=1}^{N} T^{n} f_{1} \cdot T^{2 n} f_{2} \cdot \underset{r \in[N]}{\mathbb{E}} T^{r} f_{3} \cdot T^{2 r} f_{4}
\end{aligned}
$$

## Application: Multiple recurrence

Khintchine's recurrence theorem says that for every $\varepsilon>0$, the set

$$
\left\{n \in \mathbb{N}: \mu\left(A \cap T^{-n} A\right)>\mu(A)^{2}-\varepsilon\right\}
$$

is syndetic (i.e. it has bounded gaps).
It was proved by Bergelson, Host, Kra \& Ruzsa that for ergodic systems, the set
is syndetic for $k \leq 3$, but this can fail for higher $k$.
A similar multiple recurrence property has been proved e.g. for: (1) $\left\{n, n^{2}, \ldots, n^{k}\right\}$ (Frantzikinakis \& Kra 2005);
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## Multiple recurrence for families of complexity 1

## Corollary (K. 2021)

Let $P_{1}, \ldots, P_{k}$ be integral polynomials satisfying only linear relations (and some technical assumptions on the coefficients).
Let $(X, \mathcal{X}, \mu, T)$ be an ergodic system and $A \in \mathcal{X}$ have positive measure.
For every $\varepsilon>0$, the set

$$
\left\{n \in \mathbb{N}: \mu\left(A \cap T^{-P_{1}(n)} A \cap \cdots \cap T^{-P_{k}(n)} A\right)>\mu(A)^{k+1}-\varepsilon\right\}
$$

is syndetic.

## Open questions

(1) Does the complexity conjecture hold for nonhomogeneous families?
(2) Is it true that the complexity of a family of $k$ polynomials is at most $k-1$ ?

then is it true that max $\operatorname{deg} Q_{i} \leq k-1$ ?

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