On the kissing numbers of ℓ_p -spheres in high dimensions

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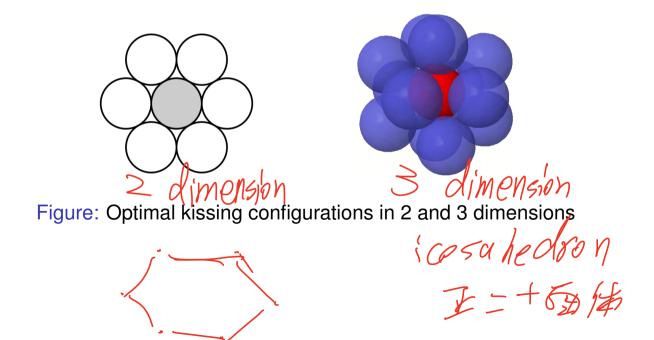
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The kissing number problem

Let S^{n-1} be the unit sphere in \mathbb{R}^n . The (translative) kissing number problem asks the maximum number of nonoverlapping translates $S^{n-1} + \mathbf{x}$ that can touch S^{n-1} at its boundary. It is an old and difficult problem in discrete geometry.



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Exact answer for kissing numbers

The exact answer is only known in dimensions

- *n* = 1;
- n = 2; • n = 3 (Schütte and van der Waerden, *Math. Ann.*, 1952);

• *n* = 4 (Musin, *Ann. of Math.*, 2008);

n = 8 and n = 24 (Levenšteřn, Soviet Math. Dokl., 1979, and independently Odlyzko and Sloane, J. Combin. Theory Ser. A, 1979).
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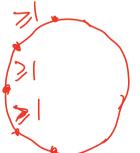
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The best known bounds for kissing numbers

Let $K_2(n)$ be the kissing number of S^{n-1} .

The best known upper bound is $K_2(n) \leq 2^{0.401n(1+o(1))}$ (Kabatjanskiĭ and Levenšteĭn, *Problemy Peredači Informacii*, 1978).

The best known lower bound is $K_2(n) \ge cn^{3/2}(2/\sqrt{3})^n$ (Jenssen et al., Adv. 2) Math., 2018). See also Fernández et al. (arXiv:2111.01255) for constant (1) factor improvement.







Bounds for the kissing numbers of ℓ_p -spheres

Rissing number

One can also consider the packing problem of other convex bodies. For instance, the ℓ_p -spheres (ℓ_p -balls):

$$S_p^{n-1}(R) := \left\{ oldsymbol{x} \in \mathbb{R}^n : \left(\sum_{j=1}^n |x_j|^p
ight)^{1/p} = R
ight\}.$$

We simply write $S_p^{n-1} = S_p^{n-1}(1)$, and let $K_p(n)$ be the kissing number of S_p^{n-1} .

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The best known upper bound:

- $1 \le p \le 2$, $K_p(n) \le 3^n 1$, the Minkowski-Hadwiger theorem, Arch. Math., 1957;
- $p \ge 2$, due to Sah et al., *Adv. Math.*, 2020. implicit

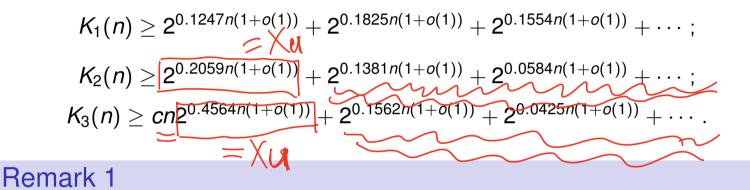
The best known lower bound is due to Xu, *Discrete Comput. Geom.*, 2007.

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Our result

We improve the results of Xu.

Since our result does not have an explicit formula, we list some numerical results here:



In the lower bound for $K_2(n)$, the $2^{0.2059n(1+o(1))}$ term is the same as the lower bound due to Xu, so we improve the lower bound by adding the remainder terms $2^{0.1381n(1+o(1))} + 2^{0.0584n(1+o(1))} + \cdots$.

In the lower bound for $K_3(n)$, the $2^{0.4564n(1+o(1))}$ term is the same as the lower bound due to Xu, so we improve the leading term by a factor of n and add some remainder terms.

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Our idea comes from coding theory.

The translative kissing number $K_p(n)$ is equal to the largest size of an ℓ_p -spherical code with minimum distance 1 (see Lemma 2 below). We choose a discrete set X from S_p^{n-1} . Applying ideas from coding theory, we are able to find a large subset of X, in which points have pairwise distance larger than or equal to 1. This gives a lower bound for $K_p(n)$.

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Let $A_p(n, d)$ be the maximum size of a subset of S_p^{n-1} in which the points have pairwise ℓ_p -distance at least 2*d*; that is,

$$A_{
ho}(n,d):=\max\{|\mathcal{C}|:\mathcal{C}\subseteq \mathcal{S}_{
ho}^{n-1} ext{ and } d_{
ho}(\boldsymbol{x},\boldsymbol{y})\geq 2d, orall \boldsymbol{x}, \boldsymbol{y}\in \mathcal{C}\},$$

where $d_p(\mathbf{x}, \mathbf{y}) := ||\mathbf{x} - \mathbf{y}||_p$ is the ℓ_p -distance between \mathbf{x} and \mathbf{y} . In other words, $A_p(n, d)$ is the largest size of an ℓ_p -spherical code with minimum distance 2*d*.

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The following lemma is an easy observation.

Lemma 2

$$\langle p(n) = / - | p(n, \frac{1}{2})$$

The translative kissing number $K_p(n)$ of S_p^{n-1} is equal to $A_p(n, 1/2)$.

Sketch of proof:

For convenience, let $k_1 = K_p(n)$ and $k_2 = A_p(n, 1/2)$.

If S_p^{n-1} , $S_p^{n-1} + \mathbf{x}_1$, $S_p^{n-1} + \mathbf{x}_2$, ..., $S_p^{n-1} + \mathbf{x}_{k_1}$ form a kissing configuration, then $\{\frac{1}{2}\mathbf{x}_1, \frac{1}{2}\mathbf{x}_2, \dots, \frac{1}{2}\mathbf{x}_{k_1}\}$ is an ℓ_p -spherical code with minimum distance 1, i.e. $k_2 \ge k_1$.

Conversely, if $\{\boldsymbol{x}_1, \boldsymbol{x}_2, \dots, \boldsymbol{x}_{k_2}\}$ is an ℓ_p -spherical code with minimum distance 1, then $S_p^{n-1}, S_p^{n-1} + 2\boldsymbol{x}_1, S_p^{n-1} + 2\boldsymbol{x}_2, \dots, S_p^{n-1} + 2\boldsymbol{x}_{k_2}$ form a kissing configuration. So $k_1 \ge k_2$.

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Constructions

For a positive integer $m \le n$, which will be determined later, we define a family $\mathcal{J}(m, n)$ of subsets of \mathbb{R}^n recursively. Define $m_1 := m$ and

$$J_1(m,n) := \left\{ \boldsymbol{u} = (u_1, u_2, \dots, u_n) \in \{0, \pm 1\}^n : \sum_{i=1}^n |u_i|^p = m \right\}.$$

Suppose we have defined m_i and $J_i(m, n)$. Then we define

$$m_{i+1} := \lfloor m_i/2^p \rfloor \tag{1}$$

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and

$$J_{i+1}(m,n) := \left\{ \boldsymbol{u} = (u_1, u_2, \dots, u_n) \in \{0, \pm (m/m_{i+1})^{1/p}\}^n : \sum_{i=1}^n |u_i|^p = m \right\}.$$

This process terminates when $m_r < 2^p$ for some r ($r = \lfloor \log_{2^p} m \rfloor + 1$ or $\lfloor \log_{2^p} m \rfloor$). So we obtain $\{m_1 > m_2 > \ldots > m_r\}$ and $\mathcal{J}(m, n) = \{J_1(m, n), J_2(m, n), \ldots, J_r(m, n)\}.$

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The following proposition is easy to verify.

Proposition 3

For $\mathcal{J}(m, n)$ defined above, the following statements hold.

- If $i \neq j$, then $J_i(m, n) \cap J_j(m, n) = \emptyset$.
- Por every 1 ≤ i ≤ r and for every u ∈ J_i(m, n), u has exactly n − m_i zero coordinates.

3 For every
$$1 \le i \le r$$
,

$$|J_i(m,n)| = \binom{n}{m_i} 2^{m_i}.$$
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General For every 1 ≤ i ≤ r and for every u ∈ J_i(m, n), the ℓ_p-norm of u is m^{1/p}.
 If i ≠ j, then for every u ∈ J_i(m, n) and v ∈ J_j(m, n), d_p(u, v) ≥ m^{1/p}.

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For every *i*, let $J'_i(m, n)$ be a largest subset of $J_i(m, n)$ with the property that $d_p(\boldsymbol{u}, \boldsymbol{v}) \ge m^{1/p}$ for every $\boldsymbol{u}, \boldsymbol{v} \in J'_i(m, n)$. Since we have proved that $d_p(\boldsymbol{u}, \boldsymbol{v}) \ge m^{1/p}$ if $\boldsymbol{u} \in J'_i(m, n) \subseteq J_i(m, n)$ and $\boldsymbol{v} \in J'_j(m, n) \subseteq J_j(m, n)$ for $i \ne j$, the set $\frac{1}{m^{1/p}} \bigcup_{i=1}^r J'_i(m, n) := \left\{ \boldsymbol{x} \in \mathbb{R}^n : m^{1/p} \boldsymbol{x} \in \bigcup_{i=1}^r J'_i(m, n) \right\}$

is an ℓ_p -spherical code with minimum distance 1. So

$$A_{p}(n,1/2) \geq \left| \frac{1}{m^{1/p}} \bigcup_{i=1}^{r} J_{i}'(m,n) \right| = \left| \bigcup_{i=1}^{r} J_{i}'(m,n) \right| = \sum_{i=1}^{r} |J_{i}'(m,n)|.$$
(3)

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A Gilbert-Varshamov type bound

For 1 < i < r and $\boldsymbol{u} \in J_i(m, n)$, define

$$B_{i,n}(\boldsymbol{u},m) := \left\{ \boldsymbol{v} \in J_i(m,n) : d_p(\boldsymbol{u},\boldsymbol{v}) < m^{1/p} \right\}$$

Note that the size of $B_{i,n}(\boldsymbol{u},m)$ is independent of \boldsymbol{u} . If we write $B_{i,n}(m)$ for the size of $B_{i,n}(\boldsymbol{u},m)$, then

$$B_{i,n}(m) = \sum_{2t+2^{p}x < m_{i}} {m_{i} \choose t} {n-m_{i} \choose t} {m_{i}-t \choose x} 2^{t}.$$
(4)

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Using the above notations, we have the following theorem.

Theorem 4

For every $1 \le i \le r$, we have

$$|J_i'(m,n)| \geq \left\lceil \frac{|J_i(m,n)|}{B_{i,n}(m)}
ight
ceil = \left\lceil \frac{\binom{n}{m_i} 2^{m_i}}{B_{i,n}(m)}
ight
ceil.$$

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(5)

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Main result

The following corollary is immediate and it is our main result.

Remark 6

In the previous result due to Xu (2007), the lower bound for $A_p(n, 1/2)$ is given by $\max_{1 \le m \le n} \left\lceil \frac{\binom{n}{m_1} 2^{m_1}}{B_{1,n}(m)} \right\rceil$. So Corollary 5 gives an improvement.

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Sketch of proof of Theorem 4:

Let *i* be given and $J = \left[\frac{|J_i(m,n)|}{B_{i,n}(m)}\right]$. We choose points from $J_i(m, n)$ recursively. At first, we arbitrarily choose u_1 in $J_i(m, n)$. If we have chosen u_1, u_2, \ldots, u_k for some k < J, then the set

$$J_i(m,n)\setminus \left(igcup_{j=1}^k B_{i,n}(oldsymbol{u}_j,m)
ight)$$

is nonempty and we can choose \boldsymbol{u}_{k+1} from $J_i(m, n) \setminus \left(\bigcup_{j=1}^k B_{i,n}(\boldsymbol{u}_j, m)\right)$. And hence $|J'_i(m, n)| \ge J$.

Some numerical results for small p

It seems that there does not exist an explicit formula for the lower bound in $\frac{\left| J_{i}(m,n) \right|}{B_{in}(m)}$ Corollary 5. So we give some numerical results. Define

$$F_{\rho}(\sigma) = \frac{\binom{n}{\lfloor \sigma n \rfloor} 2^{\lfloor \sigma n \rfloor}}{\sum_{2t+2^{p}x < \lfloor \sigma n \rfloor} \binom{\lfloor \sigma n \rfloor}{t} \binom{n-\lfloor \sigma n \rfloor}{t} \binom{\lfloor \sigma n \rfloor - t}{t} 2^{t}}, \sigma \in (0, 1).$$

Then by equations (1)-(4) and inequality (6), we have

$$A_p(n, 1/2) \ge \max_{0 < \sigma < 1} \sum_{i=1}^r F_p\left(rac{\sigma}{2^{(i-1)p}}
ight).$$

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The behavior of $F_{\rho}(\sigma)$

Let $H(\sigma)$ be the entropy function defined as

$$H(\sigma) = \begin{cases} 0, & \text{if } \sigma = 0 \text{ or } \sigma = 1; \\ -\sigma \log_2 \sigma - (1 - \sigma) \log_2 (1 - \sigma), & \text{if } 0 < \sigma < 1. \end{cases}$$

We have the following theorem.

Theorem 7 (Xu, *Discrete Comput. Geom.*, 2007) We have $\lim_{n \to \infty} \frac{1}{n} \log_2 F_p(\sigma) \ge \min_{0 \le y \le \min\{\sigma/2, 1-\sigma\}} f_p(\sigma, y),$

where

$$f_{p}(\sigma, y) = (\sigma - y) \left(1 - H\left(\frac{\sigma - 2y}{2^{p}(\sigma - y)}\right) \right) + H(\sigma) - \sigma H\left(\frac{y}{\sigma}\right) - (1 - \sigma)H\left(\frac{y}{1 - \sigma}\right).$$

Let $g_p(\sigma) = \min_{0 \le y \le \min\{\sigma/2, 1-\sigma\}} f_p(\sigma, y)$. We list some numerical results for special values of p.

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For p = 1, $g_1(\sigma)$ attains its maximum 0.1825 at $\sigma_0 = 0.2605$. So

$$\begin{aligned} A_{1}(n, 1/2) &\geq \max_{0 \leq \sigma \leq 1} \sum_{i=1}^{r} F_{1}\left(\frac{\sigma}{2^{i-1}}\right) & \text{Gold} \quad \mathcal{O}_{0} \leq \mathcal{O}_{0} \\ &\geq \sum_{i=1}^{r} F_{1}\left(\frac{2\sigma_{0}}{2^{i-1}}\right) \quad \text{add} \quad \mathcal{F}_{1}(2\mathcal{O}_{0}) \quad \text{for a detter baund} \\ &\geq F_{1}(2\sigma_{0}) + F_{1}(\sigma_{0}) + F_{1}\left(\frac{\sigma_{0}}{2}\right) + \cdots \\ &\geq 2^{g_{1}(2\sigma_{0}) \cdot n(1+o(1))} + 2^{g_{1}(\sigma_{0}) \cdot n(1+o(1))} + 2^{g_{1}(\sigma_{0}/2) \cdot n(1+o(1))} + \cdots \\ &= 2^{0.1247n(1+o(1))} + 2^{0.1825n(1+o(1))} + 2^{0.1554n(1+o(1))} + \cdots \end{aligned}$$

Remark 8

Although $2^{0.1247n(1+o(1))} + 2^{0.1554n(1+o(1))} + \cdots = o(2^{0.1825n(1+o(1))})$, we still write them explicitly since they improve the previous bound. Talata (Combinatorica, 2000) obtained $A_1(n, 1/2) \ge 2^{0.1825n(1+o(1))}$ as well.

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For p = 2, $g_2(\sigma)$ attains its maximum 0.2059 at $\sigma_0 = 0.3881$. So

$$\begin{aligned} A_{2}(n, 1/2) &\geq \max_{0 \leq \sigma \leq 1} \sum_{i=1}^{r} F_{2} \left(\frac{\sigma}{2^{2(i-1)}} \right) & 4 \int_{\sigma} > 1 \\ &\geq \sum_{i=1}^{r} F_{2} \left(\frac{\sigma_{0}}{4^{i-1}} \right) & \text{(a) Not add} \quad F(4 \int_{\sigma}) \\ &\geq F_{2} \left(\frac{\sigma_{0}}{4} \right) + F_{2} \left(\frac{\sigma_{0}}{4} \right) + F_{2} \left(\frac{\sigma_{0}}{4^{2}} \right) + \cdots \\ &\geq 2^{g_{2}(\sigma_{0}) \cdot n(1+o(1))} + 2^{g_{2}(\sigma_{0}/4) \cdot n(1+o(1))} + 2^{g_{2}(\sigma_{0}/16) \cdot n(1+o(1))} + \cdots \\ &= 2^{0.2059n(1+o(1))} + 2^{0.1381n(1+o(1))} + 2^{0.0584n(1+o(1))} + \cdots \end{aligned}$$

We also write the $2^{0.1381n(1+o(1))} + 2^{0.0584n(1+o(1))} + \cdots = o(2^{0.2059n(1+o(1))})$ terms explicitly.

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Some numerical results for large p

There exists a threshold $p_0 \approx 2.1$ (we do not attempt to calculate the exact value of p_0) such that when $p > p_0$, $F_p(\sigma)$ attains its maximum at $\sigma = 1$. For $\sigma = 1$, i.e. m = n, we have another lower bound. Let m = n, and recall inequalities (3) and (5). We have

Indeed, we can improve the lower bound for $|J'_1(n, n)|$ slightly.

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Relation between the ℓ_p distance and the Hamming distance

Recall the definition of $J_1(n, n)$ and $J'_1(n, n)$. $J_1(n, n) = \{\pm 1\}^n$ and $J'_1(n, n)$ is a largest subset of $\{\pm 1\}^n$ in which points have pairwise distance larger than or equal to $n^{1/p}$. For $\boldsymbol{u}, \boldsymbol{v} \in \{\pm 1\}^n$, let $d_H(\boldsymbol{u}, \boldsymbol{v}) := |\{i : u_i \neq v_i\}|$ be the Hamming distance between them. The following lemma is an easy observation.

Lemma 9

For every $\boldsymbol{u}, \boldsymbol{v} \in \{\pm 1\}^n$, we have

$$(d_{\rho}(\boldsymbol{u},\boldsymbol{v}))^{\rho}=2^{\rho}\cdot d_{H}(\boldsymbol{u},\boldsymbol{v}).$$

$$X = [only valid for J_{(n,n)}]$$

 $u \in J_{(n,n)}$, the coordinates of u is $m_{2}, -m_{2}, 0$,

By this lemma, it suffices to find a largest subset of $\{\pm 1\}^n$, in which points have pairwise Hamming distance larger than or equal to $\lceil n/2^p \rceil$. Recall the definition of $B_{1,n}(\boldsymbol{u}, n)$ and we have

$$B_{1,n}(\boldsymbol{u}, n) = \left\{ \boldsymbol{v} \in \{\pm 1\}^n : d_p(\boldsymbol{u}, \boldsymbol{v}) < n^{1/p} \right\}$$

= $\{ \boldsymbol{v} \in \{\pm 1\}^n : 2^p \cdot d_H(\boldsymbol{u}, \boldsymbol{v}) < n \}$
= $\{ \boldsymbol{v} \in \{\pm 1\}^n : d_H(\boldsymbol{u}, \boldsymbol{v}) \le \lceil n/2^p \rceil - 1 \}$

So
$$B_{1,n}(n) = |B_{1,n}(\boldsymbol{u},n)| = \sum_{k=0}^{\lceil n/2^p \rceil - 1} \binom{n}{k}.$$

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Improving the G-V bound by a factor of *n*

We have the following theorem, which gives a better lower bound for $|J'_1(n, n)|$ than that in inequality (5).

Theorem 10 (Jiang and Vardy, IEEE Trans. Inform. Theory, 2004)There exists a positive constant c such that $|J'_{1}(n,n)| \ge c \frac{2^{n}}{B_{1,n}(n)} \log_{2} B_{1,n}(n), \quad \text{of } G-V \text{ bound}.$ Note that $\lim_{n\to\infty}\frac{1}{n}\log_2 B_{1,n}(n) = H\left(\frac{1}{2^p}\right),$ by Stirling's formula. So $|J'_1(n,n)| \ge c \frac{n^{2^n}}{B_{1,p}(n)} = cn 2^{n(1-H(2^{-p})+o(1))},$

for some constant c (maybe depends on p).

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For
$$p = 3$$
, we have

$$A_3(n, 1/2) \ge |J_1'(n, n)| + \sum_{i=2}^r F_3\left(\frac{1}{2^{3(i-1)}}\right)$$

$$\ge cn2^{n(1-H(2^{-3})+o(1))} + F_3(0.1250) + F_3(0.0156) + \cdots$$

$$\ge cn2^{n(1-H(2^{-3})+o(1))} + 2^{g_3(0.1250)\cdot n(1+o(1))} + 2^{g_3(0.0156)\cdot n(1+o(1))} + \cdots$$

$$= cn2^{0.4564n(1+o(1))} + 2^{0.1562n(1+o(1))} + 2^{0.0425n(1+o(1))} + \cdots$$

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For p = 4, we have

$$\begin{aligned} A_4(n, 1/2) &\geq |J_1'(n, n)| + \sum_{i=2}^r F_4\left(\frac{1}{2^{4(i-1)}}\right) \\ &\geq cn 2^{n(1-H(2^{-4})+o(1))} + F_4\left(0.0625\right) + F_4\left(0.0039\right) + \cdots \\ &\geq cn 2^{n(1-H(2^{-4})+o(1))} + 2^{g_4(0.0625) \cdot n(1+o(1))} + 2^{g_4(0.0039) \cdot n(1+o(1))} + \cdots \\ &= cn 2^{0.6627n(1+o(1))} + 2^{0.1083n(1+o(1))} + 2^{0.0145n(1+o(1))} + \cdots \end{aligned}$$

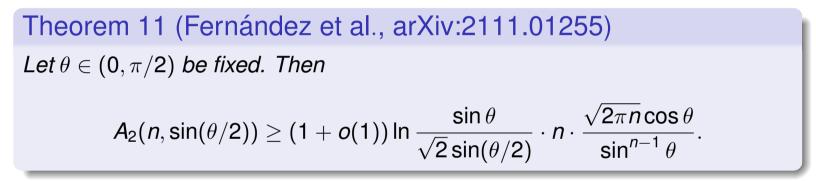
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Sah et al. (*Adv. Math.*, 2020) obtained an inequality between ℓ_p -spherical codes for different p; that is, $A_p(n, d) \leq A_q(n, d^{p/q})$ for all $1 \leq q \leq p$ and *d* ∈ (0, 1]. So $A_2(n,d) \le A_p(n,d^{2/p}), \text{ if } 1 \le p \le 2,$ (7)and $A_p(n, d) \leq A_2(n, d^{p/2}), \text{ if } p \geq 2.$ (8)Sah et al. used inequality (8) to obtain an upper bound for $A_p(n, d)$ $(p \ge 2)$. > Coverbound for Az => Coverbound for Ap, upper bound for Az => bupper bound for Ap,

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On the other hand, we can use inequality (7) to obtain a lower bound for $A_p(n, 1/2)$ ($p \le 2$) before. We need the following theorem, which is the best known lower bound for $A_2(n, d)$ ($d \in (0, 1)$).



For 1 , we have

$$A_p(n, 1/2) \ge A_2(n, (1/2)^{p/2}).$$

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Let $\sin(\theta/2) = 2^{-p/2}$. Then $\cos(\theta/2) = \sqrt{1 - 2^{-p}}$, $\sin \theta = 2^{1-p/2}\sqrt{1 - 2^{-p}}$, and $\cos \theta = 1 - 2^{1-p}$. So

$$\begin{aligned} A_{p}(n, 1/2) &\geq A_{2}(n, (1/2)^{p/2}) \\ &= A_{2}(n, \sin(\theta/2)) \\ &\geq (1 + o(1)) \ln \sqrt{2 - 2^{1-p}} \cdot n \cdot \frac{\sqrt{2\pi n}(1 - 2^{1-p})}{(2^{1-p/2}\sqrt{1 - 2^{-p}})^{n-1}}. \end{aligned}$$
(9)

After some numerical calculations, when $p \in (1.9948, 2]$, the lower bound in inequality (9) is better than that in inequality (6).

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Open problems

- Determine the kissing number of spheres for a specific dimension (e.g. n = 5). Find brev and where on Wiki, $40 \leq 444$
- Shrink the gap between the lower and the upper bound for high dimensions. sphere: [1.15., 1.3.,]
- Find the bounds for kissing numbers of other convex bodies (e.g. the standard simplex). This is open for almost all convex bodies.

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Thank you for your attention!

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