

# Noise stability of functions with low influences: invariance and optimality

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## Abstract

*In this paper we study functions with low influences on product probability spaces. The analysis of boolean functions  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  with low influences has become a central problem in discrete Fourier analysis. It is motivated by fundamental questions arising from the construction of probabilistically checkable proofs in theoretical computer science and from problems in the theory of social choice in economics.*

*We prove an invariance principle for multilinear polynomials with low influences and bounded degree; it shows that under mild conditions the distribution of such polynomials is essentially invariant for all product spaces. Ours is one of the very few known non-linear invariance principles. It has the advantage that its proof is simple and that the error bounds are explicit. We also show that the assumption of bounded degree can be eliminated if the polynomials are slightly “smoothed”; this extension is essential for our applications to “noise stability”-type problems.*

*In particular, as applications of the invariance principle we prove two conjectures: the “Majority Is Stablest” conjecture [27] from theoretical computer science, which was the original motivation for this work, and the “It Ain’t Over Till It’s Over” conjecture [25] from social choice theory. The “Majority Is Stablest” conjecture and its generalizations proven here in conjunction with “Unique Games” and its variants imply a number of (optimal) inapproximability results for graph problems.*

## 1 Introduction

### 1.1 Harmonic analysis of boolean functions

The motivation for this paper is the study of *boolean functions*  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$ , where  $\{-1, 1\}^n$  is equipped with the uniform probability measure. This topic is of significant interest in theoretical computer science; it

also arises in other diverse areas of mathematics including combinatorics (e.g., sizes of set systems, additive combinatorics), economics (e.g., social choice), metric spaces (e.g., non-embeddability of metrics), geometry in Gaussian space (e.g., isoperimetric inequalities), and statistical physics (e.g., percolation, spin glasses).

Beginning with Kahn, Kalai, and Linial’s landmark paper “The Influence Of Variables On Boolean Functions” [22] there has been much success in analyzing questions about boolean functions using methods of harmonic analysis. Recall that KKL essentially shows the following (see also [34, 16]):

**KKL Theorem:** If  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  satisfies  $\mathbf{E}[f] = 0$  and  $\text{Inf}_i(f) \leq \tau$  for all  $i$ , then  $\sum_{i=1}^n \text{Inf}_i(f) \geq \Omega(\log(1/\tau))$ .

We have used here the notation  $\text{Inf}_i(f)$  for the *influence of the  $i$ th coordinate on  $f$* ,

$$\text{Inf}_i(f) = \mathbf{E}_{x \sim \mathcal{D}} [\text{Var}_{x_i}[f(x)]] = \sum_{S \ni i} \hat{f}(S)^2. \quad (1)$$

Although an intuitive understanding of the analytic properties of boolean functions is emerging, results in this area have used increasingly elaborate methods, combining random restriction arguments, applications of the Bonami-Beckner inequality, and classical tools from probability theory. See for example [34, 35, 16, 15, 4, 2, 5, 29, 8].

As in the KKL paper, some of the more refined problems studied in recent years have involved restricting attention to functions with low influences [2, 4, 8] (or, relatedly, “non-juntas”). There are several reasons for this. The first is that large-influence functions such as “dictators” — i.e., functions  $f(x_1, \dots, x_n) = \pm x_i$  — frequently trivially maximize or minimize quantities studied in boolean analysis. However this tends to obscure the truth about extremal behaviors among functions that are “genuinely” functions

of  $n$  bits. Another reason for analyzing only low-influence functions is that this subclass is often precisely what is interesting or necessary for applications. In particular, the analysis of low-influence boolean functions is crucial for proving hardness of approximation results in theoretical computer science and is also very natural for the study of social choice. Let us describe these two settings briefly.

In the economic theory of social choice, boolean functions  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  often represent voting schemes, mapping  $n$  votes between two candidates into a winner. In this case, it is very natural to exclude voting schemes that give any voter an undue amount of influence; see e.g. [24].

In the study of hardness of approximation and probabilistically checkable proofs (PCPs), the sharpest results often involve the following paradigm: One considers a problem that requires labeling the vertices of a graph using the label set  $[n]$ ; then one relaxes this to the problem of labeling the vertices by functions  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$ . In the relaxation one thinks of  $f$  as “weakly labeling” a vertex by the *set* of coordinates that have large influence on  $f$ . It then becomes important to understand the combinatorial properties of functions that weakly label with the empty set. There are by now quite a few results in hardness of approximation that use results on low-influence functions or require conjectured such results; e.g., [11, 26, 9, 28, 27].

In this paper we give a new framework for studying functions on product probability spaces with low influences. Our main tool is a simple invariance principle for low-influence polynomials; this theorem lets us take an optimization problem for functions on one product space and pass freely to other product spaces, such as Gaussian space. In these other settings the problem sometimes becomes simpler to solve. It is interesting to note that while in the theory of hypercontractivity and isoperimetry it is common to prove results in the Gaussian setting by proving them first in the  $\{-1, 1\}^n$  setting (see, e.g., [1]), here the invariance principle is actually used to go the other way around.

As applications of our invariance principle we prove two previously unconnected conjectures from boolean harmonic analysis; the first was motivated by hardness of approximation in computer science, the second by the theory of social choice from economics:

**Conjecture 1.1 (“Majority Is Stablest” conjecture [27])**

Let  $0 \leq \rho \leq 1$  and  $\epsilon > 0$  be given. Then there exists  $\tau > 0$  such that if  $f : \{-1, 1\}^n \rightarrow [-1, 1]$  satisfies  $\mathbf{E}[f] = 0$  and

$\text{Inf}_i(f) \leq \tau$  for all  $i$ , then

$$\mathbb{S}_\rho(f) \leq \frac{2}{\pi} \arcsin \rho + \epsilon.$$

Here we have used the notation  $\mathbb{S}_\rho(f)$  for  $\sum_S \rho^{|S|} \hat{f}(S)^2$ , the *noise stability* of  $f$ . This equals  $\mathbf{E}[f(x)f(y)]$  when  $(x, y) \in \{-1, 1\}^n \times \{-1, 1\}^n$  is chosen such that  $(x_i, y_i) \in \{-1, 1\}^2$  are independent random variables with  $\mathbf{E}[x_i] = \mathbf{E}[y_i] = 0$  and  $\mathbf{E}[x_i y_i] = \rho$ .

“Majority Is Stablest” and its generalizations proven here imply the following hardness of approximation consequences. Assuming Khot’s Unique Games Conjecture [26] (UGC) we have:

- MAX-2LIN(2) and MAX-2SAT have  $(1 - \epsilon, 1 - O(\epsilon^{1/2}))$ -hardness. This improves upon [26], where a hardness of  $(1 - \epsilon, 1 - \epsilon^{1/2+o(1)})$  is proven. This follows from our results in conjunction with [26].
- MAX-CUT has .878-hardness, matching the Goemans-Williamson approximation factor. This follows from our result together with [27].
- For each  $\epsilon > 0$  there exists  $q = q(\epsilon)$  such that MAX-2LIN( $q$ ) has  $(1 - \epsilon, \epsilon)$ -hardness. Indeed, this statement is *equivalent* to UGC. Again, this follows from our results together with [27].
- The MAX- $q$ -CUT problem, has  $(1 - 1/q + q^{2+o(1)})$ -hardness factor. This asymptotically matches the approximation factor obtained by Frieze and Jerrum [18]. This follows from our results together with [27].

We would also like to mention that in a recent work [10] building on our results, it is proven that coloring a 3-colorable graph with any number of colors is NP-hard assuming a variant of UGC.

The second conjecture was made by E. Friedgut and G. Kalai [25].

**Conjecture 1.2 (“It Ain’t Over Till It’s Over”)** Let  $0 \leq \rho < 1$  and  $\epsilon > 0$  be given. Then there exists  $\delta > 0$  and  $\tau > 0$  such that if  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  satisfies  $\mathbf{E}[f] = 0$  and  $\text{Inf}_i(f) \leq \tau$  for all  $i$ , then  $f$  has the following property: If  $V$  is a random subset of  $[n]$  in which each  $i$  is included independently with probability  $\rho$ , and if the bits  $(x_i)_{i \in V}$  are chosen uniformly at random, then

$$\mathbf{P}_{V, (x_i)_{i \in V}} \left[ \left| \mathbf{E}[f \mid (x_i)_{i \in V}] \right| > 1 - \delta \right] \leq \epsilon.$$

(In words, the conjecture states that even if a random  $\rho$  fraction of voters’ votes are revealed, with high probability the election is still slightly undecided, provided  $f$  has low

influences.)

The truth of these results gives illustration to a recurring theme in the harmonic analysis of boolean functions: the extremal role played the Majority function. It seems this theme becomes especially prominent when low-influence functions are studied. To explain the connection of Majority to our applications: In the former case the quantity  $\frac{2}{\pi} \arcsin \rho$  is precisely  $\lim_{n \rightarrow \infty} \mathbb{S}_\rho(\text{Maj}_n)$ ; this explains the name of the Majority Is Stablest conjecture. In the latter case, we show that  $\delta$  can be taken to be on the order of  $\epsilon^{\rho/(1-\rho)}$  (up to  $o(1)$  in the exponent), which is the same asymptotics one gets if  $f$  is Majority on a large number of inputs.

## 1.2 Outline of the paper

We begin in Section 2 with an overview of the invariance principle for the special case of the uniform measure on the discrete cube, the two conjectures, and the consequences of their being true. In Section 3 we give the proof of the main invariance principle and outline the proof of “Majority is Stablest”. For lack of space, we omit all other proofs and some other results from this extended abstract. These can be found in [31].

## 1.3 Related work

Our multilinear invariance principle has some antecedents. For degree 1 polynomials it reduces to a version of the Berry-Esseen Central Limit Theorems. Indeed, our proof follows the same outlines as Lindeberg’s proof of the CLT [30] (see also [14]).

Since presenting our proof of the invariance principle, we have been informed by Oded Regev that related results were proved in the past by V. I. Rotar’ [33]. As well, a contemporary manuscript of Sourav Chatterjee [7] with an invariance principle of similar flavor has come to our attention. What is common to our work and to [33, 7] is a generalization of Lindeberg’s argument to the non-linear case. The result of Rotar’ is an invariance principle similar to ours where the condition on the influences generalizes Lindeberg’s condition. The setup is not quite the same, however, and the proof in [33] is of a rather qualitative nature. It seems that even after appropriate modification the bounds it gives would be weaker and less useful for our type of applications. (This is quite understandable; in a similar way Lindeberg’s CLT can be less precise than the Berry-Esseen inequality even though — indeed, because — it works under weaker assumptions.) The paper [7] is by contrast very clear and explicit. However it does not seem to be appropriate for many applica-

tions since it requires low “worst-case” influences, instead of the “average-case” influences used by this work and [33].

Finally, we would like to mention that some chaos-decomposition limit theorems have been proved before in various settings. Among these are limit theorems for U and V statistics and limit theorems for random graphs; see, e.g. [21].

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## 2 Our results

### 2.1 The invariance principle

In this subsection we present a simplified version of our invariance principle in the special case of the uniform measure on the discrete cube. Suppose that  $(\mathbf{X}_1, \dots, \mathbf{X}_n)$  is an  $n$ -bit string drawn from the uniform measure on  $\{-1, 1\}^n$ , so that  $\mathbf{X}_1, \dots, \mathbf{X}_n$  are independent  $p = 1/2$  Bernoulli random variables. Let  $Q(x_1, \dots, x_n) = \sum_{i=1}^n c_i x_i$  be a linear form where  $\sum c_i^2 = 1$ . The Berry-Esseen Central Limit Theorem implies that

$$\sup_t \left| \mathbf{P}[Q(\mathbf{X}_1, \dots, \mathbf{X}_n) \leq t] - \mathbf{P}[G \leq t] \right| \leq O\left(\sum_{i=1}^n |c_i|^3\right),$$

where  $G$  denotes a standard normal random variable. Note that a simple corollary of the above is

$$\sup_t \left| \mathbf{P}[Q(\mathbf{X}_1, \dots, \mathbf{X}_n) \leq t] - \mathbf{P}[Q(\mathbf{G}_1, \dots, \mathbf{G}_n) \leq t] \right| \leq O\left(\max_i |c_i|\right). \quad (2)$$

Here the  $\mathbf{G}_i$ ’s denote independent standard normals. We have upper-bounded the sum of  $|c_i|^3$  here by a maximum, for simplicity; more importantly though, we have suggestively replaced  $G$  by  $\sum_i c_i \mathbf{G}_i$ , which of course has the same distribution.

We would like to generalize (2) to *multilinear polynomials* in the  $\mathbf{X}_i$ ’s; i.e., functions of the form

$$Q(x_1, \dots, x_n) = \sum_{S \subseteq [n]} c_S \prod_{i \in S} x_i, \quad (3)$$

where the real constants  $c_S$  satisfy  $\sum c_S^2 = 1$ . Let  $d = \max_{c_S \neq 0} |S|$  denote the degree of  $Q$ . Unlike in

the  $d = 1$  case of the CLT, there is no single random variable  $G$  which always provides a limiting distribution. However one can still hope to prove, in light of (2), that the distribution of the polynomial applied to the variables  $X_i$  is close to the distribution of the polynomial applied to independent Gaussian random variables. This is indeed what our invariance principle shows.

It turns out that the appropriate generalization of the Berry-Esseen theorem (2) is to control the error by a function of  $d$  and of  $\max_i \sum_{S \ni i} c_S^2$  — i.e., the maximum of the influences of  $Q$  (as in (1)).

**Theorem 2.1** *Let  $(X_1, \dots, X_n)$  be an  $n$ -bit string drawn from the uniform measure on  $\{-1, 1\}^n$  and let  $Q$  be a degree  $d$  multilinear polynomial as in (3) with*

$$\text{Var}[Q] := \sum_{|S|>0} c_S^2 = 1,$$

$$\text{Inf}_i(Q) := \sum_{S \ni i} c_S^2 \leq \tau \quad \text{for all } i.$$

Then

$$\sup_t \left| \mathbf{P}[Q(X_1, \dots, X_n) \leq t] - \mathbf{P}[Q(G_1, \dots, G_n) \leq t] \right| \leq O(d\tau^{1/8d}),$$

where  $G_1, \dots, G_n$  are independent standard Gaussians.

Note that if  $d$  is fixed then the above bound tends to 0 with  $\tau$ . In fact the same result holds for a much wider family of random variables. For example the condition that  $(X_1, \dots, X_n)$  is drawn from the uniform measure on  $\{-1, 1\}^n$  may be replaced by the condition that  $X_1, \dots, X_n$  are i.i.d. random variables with  $\mathbf{E}[X_i] = 0$ ,  $\mathbf{E}[X_i^2] = 1$  and either

- $\mathbf{E}[X_i^3] \leq \beta < \infty$  for all  $i$ , in which case the error is bounded by  $O(d\beta^{1/3}\tau^{1/8d})$  or
- $X_i$  obtains only finitely many values, all with probability at least  $\alpha > 0$ . In this case the error is bounded by  $O(d\alpha^{-1/6}\tau^{1/8d})$ .

We call this theorem an “invariance principle” because it shows that  $Q(X_1, \dots, X_n)$  has essentially the same distribution no matter what the  $X_i$ ’s are.

An unavoidable deficiency of this sort of invariance principle is the dependence on  $d$  in the error bound. In applications such as Majority Is Stablest and It Ain’t Over Till It’s Over, the functions  $f$  may well have arbitrarily large degree. To overcome this, we introduce a supplement to the invariance principle: We show that if the polynomial  $Q$  is

“smoothed” slightly then the dependence on  $d$  in the error bound can be eliminated and replaced with a dependence on the smoothness. For “noise stability”-type problems such as ours, this smoothing is essentially harmless.

## 2.2 Majority Is Stablest

### 2.2.1 About the problem

The Majority Is Stablest conjecture, Conjecture 1.1, was first formally stated in [27]. However the notion of Hamming balls having the highest noise stability in various senses has always been widespread among the community studying discrete Fourier analysis. Indeed, already in KKL’s 1998 paper [22] there is the suggestion that Hamming balls and subcubes should maximize a certain noise stability-like quantity. In [2], it was shown that every “asymptotically noise stable” function is correlated with a weighted majority function; also, in [32] it was shown that the majority function asymptotically maximizes a high-norm analog of  $\mathbb{S}_\rho$ .

More concretely, strong motivation for getting sharp bounds on the noise stability of low-influence functions came from two 2002 papers, one by Kalai [23] on social choice and one by Khot [26] on PCPs and hardness of approximation. We briefly discuss these two papers below.

**Kalai ’02 — Arrow’s Impossibility Theorem:** Suppose  $n$  voters rank three candidates —  $A$ ,  $B$ , and  $C$  — and a social choice function  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  is used to aggregate the rankings, as follows:  $f$  is applied to the  $n$   $A$ -vs- $B$  preferences to determine whether  $A$  or  $B$  is globally preferred; then the same happens for  $A$ -vs- $C$  and  $B$ -vs- $C$ . The outcome is termed “non-rational” if the global ranking has  $A$  preferable to  $B$  preferable to  $C$  preferable to  $A$  (or if the other cyclic possibility occurs). Arrow’s Impossibility Theorem from the theory of social choice states that under some mild restrictions on  $f$  (such as  $f$  being odd; i.e.,  $f(-x) = -f(x)$ ), the only functions which never admit non-rational outcomes given rational voters are the dictator functions  $f(x) = \pm x_i$ .

Kalai [23] studied the probability of a rational outcome given that the  $n$  voters vote independently and at random from the 6 possible rational rankings. He showed that the probability of a rational outcome in this case is precisely  $3/4 + (3/4)\mathbb{S}_{1/3}(f)$ . Thus it is natural to ask which function  $f$  with small influences is most likely to produce a rational outcome. Instead of considering small influences, Kalai considered the essentially stronger assumption that  $f$  is “transitive-symmetric”; i.e., that for all

$1 \leq i < j \leq n$  there exists a permutation  $\sigma$  on  $[n]$  with  $\sigma(i) = j$  such that  $f(x_1, \dots, x_n) = f(x_{\sigma(1)}, \dots, x_{\sigma(n)})$  for all  $(x_1, \dots, x_n)$ . Kalai conjectured that Majority was the transitive-symmetric function that maximized  $3/4 + (3/4)\mathbb{S}_{1/3}(f)$ . He further observed that this would imply that in any transitive-symmetric scheme the probability of a rational outcome is at most  $3/4 + (3/2\pi) \arcsin(1/3) + o_n(1) \approx .9123$ ; however, Kalai could only prove the weaker bound .9192.

**Khot '02 — Unique Games and hardness of approximating 2-CSPs:** In computer science, many combinatorial optimization problems are NP-hard, meaning it is unlikely there are efficient algorithms that always find the optimal solution. Hence there has been extensive interest in understanding the complexity of *approximating* the optimal solution. Consider for example “ $k$ -variable constraint satisfaction problems” ( $k$ -CSPs) in which the input is a set of variables over a finite domain, along with some constraints on  $k$ -sets of the variables, restricting what sets of values they can simultaneously take. We say a problem has “ $(c, s)$ -hardness” if it is NP-hard, given a  $k$ -CSP instance in which the optimal assignment satisfies a  $c$ -fraction of the constraints, for an algorithm to find an assignment that satisfies an  $s$ -fraction of the constraints. In this case we also say that the problem is “ $s/c$ -hard to approximate”.

The PCP and Parallel Repetition theorems have led to many impressive results showing that it is NP-hard even to give  $\alpha$ -approximations for various problems, especially  $k$ -CSPs for  $k \geq 3$ . For example, letting  $\text{MAX-}k\text{LIN}(q)$  denote the problem of satisfying  $k$ -variable linear equations over  $\mathbb{Z}_q$ , it is known [20] that  $\text{MAX-}k\text{LIN}(q)$  has  $(1 - \epsilon, 1/q + \epsilon)$ -hardness for all  $k \geq 3$ , and this is sharp. However it seems that current PCP theorems are not strong enough to give sharp hardness of approximation results for 2-CSPs (e.g., constraint satisfaction problems on graphs). The influential paper of Khot [26] introduced the “Unique Games Conjecture” (UGC) in order to make progress on 2-CSPs; UGC states that a certain 2-CSP over a large domain has  $(1 - \epsilon, \epsilon)$ -hardness.

Interestingly, it seems that using UGC to prove hardness results for other 2-CSPs typically crucially requires strong results about influences and noise stability of boolean functions. For example, the analysis of  $\text{MAX-2LIN}(2)$  in Khot’s paper [26] required an upper bound on  $\mathbb{S}_{1-\epsilon}(f)$  for small  $\epsilon$  among balanced functions  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  with small influences; to get this, Khot used the following deep result of Bourgain [5] from 2001:

**Theorem 2.2 (Bourgain [5])** *If  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$*

*satisfies  $\mathbf{E}[f] = 0$  and  $\text{Inf}_i(f) \leq 10^{-d}$  for all  $i \in [n]$ , then*

$$\sum_{|S|>d} \hat{f}(S)^2 \geq d^{-1/2 - O(\sqrt{\log \log d / \log d})} = d^{-1/2 - o(1)}.$$

Note that Bourgain’s theorem has the following easy corollary:

**Corollary 2.3** *If  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  satisfies  $\mathbf{E}[f] = 0$  and  $\text{Inf}_i(f) \leq 2^{-O(1/\epsilon)}$  for all  $i \in [n]$ , then*

$$\mathbb{S}_{1-\epsilon}(f) \leq 1 - \epsilon^{1/2 + o(1)}.$$

This corollary enable Khot to show  $(1 - \epsilon, 1 - \epsilon^{1/2 + o(1)})$ -hardness for  $\text{MAX-2LIN}(2)$ , which is close to sharp (the algorithm of Goemans-Williamson [19] achieves  $1 - O(\sqrt{\epsilon})$ ). As an aside, we note that Khot and Vishnoi [?] recently used Corollary 2.3 to prove that negative type metrics do not embed into  $\ell_1$  with constant distortion.

Another example of this comes from the work of [27]. Among other things, [27] studied the  $\text{MAX-CUT}$  problem: Given an undirected graph, partition the vertices into two parts so as to maximize the number of edges with endpoints in different parts. The paper introduced the Majority Is Stablest Conjecture 1.1 and showed that together with UGC it implied  $(\frac{1}{2} + \frac{1}{2}\rho - \epsilon, \frac{1}{2} + \frac{1}{\pi} \arcsin \rho + \epsilon)$ -hardness for  $\text{MAX-CUT}$ . In particular, taking  $\rho \approx .69$  implies  $\text{MAX-CUT}$  is .878-hard to approximate, matching the groundbreaking algorithm of Goemans and Williamson [19].

## 2.2.2 Consequences of confirming the conjecture

We confirm a generalization of the Majority Is Stablest conjecture. In particular,

**Theorem 2.4** *Let  $f : \{-1, 1\}^n \rightarrow [0, 1]$  and assume that  $\text{Inf}_i(f) \leq \tau$  for all  $i$ . Let  $\mu = \mathbf{E}[f]$ . Then for any  $0 \leq \rho < 1$ ,*

$$\mathbb{S}_\rho(f) \leq \lim_{n \rightarrow \infty} \mathbb{S}_\rho(\text{Thr}_n^{(\mu)}) + O\left(\frac{\log \log(1/\tau)}{\log(1/\tau)}\right),$$

where  $\text{Thr}_n^{(\mu)} : \{-1, 1\}^n \rightarrow \{0, 1\}$  denotes the symmetric threshold function with expectation closest to  $\mu$ , and the  $O(\cdot)$  hides a constant depending only on  $1 - \rho$ .

We remark that Theorem 2.11 in fact only needs  $f$  to have small “low-degree influences”, a distinction crucial for PCP applications.

We now give some consequences of this theorem:

**Theorem 2.5** *In the setting of Kalai [23], any odd, balanced social choice function  $f$  with  $o_n(1)$  influences has probability at most  $3/4 + (3/2\pi) \arcsin(1/3) + o_n(1) \approx .9123$  of producing a rational outcome. The majority function on  $n$  inputs achieves this bound,  $3/4 + (3/2\pi) \arcsin(1/3) + o_n(1)$ .*

By looking at the series expansion of  $\frac{2}{\pi} \arcsin(1 - \epsilon)$  we obtain the following strengthening of Corollary 2.3.

**Corollary 2.6** *If  $f : \{-1, 1\}^n \rightarrow \{-1, 1\}$  satisfies  $\mathbf{E}[f] = 0$  and  $\text{Inf}_i(f) \leq \epsilon^{-O(1/\epsilon)}$  for all  $i \in [n]$ , then*

$$\mathbb{S}_{1-\epsilon}(f) \leq 1 - \left(\frac{\sqrt{8}}{\pi} - o(1)\right)\epsilon^{1/2}.$$

Using Corollary 2.6 instead of Corollary 2.3 in Khot [26] we obtain

**Corollary 2.7** *Assuming UGC, MAX-2LIN(2) and MAX-2SAT have  $(1 - \epsilon, 1 - O(\epsilon^{1/2}))$ -hardness.*

More generally, [27] now implies

**Corollary 2.8** *MAX-CUT has  $(\frac{1}{2} + \frac{1}{2}\rho - \epsilon, \frac{1}{2} + \frac{1}{\pi} \arcsin \rho + \epsilon)$ -hardness for each  $\rho$  and all  $\epsilon > 0$ , assuming UGC only. In particular, the Goemans-Williamson .878-approximation algorithm is best possible, assuming UGC only.*

The following two results are consequences of the generalization of ‘‘Majority Is Stablest’’ we prove here. The details of the construction are given in [27]:

**Theorem 2.9** *UGC implies that for each  $\epsilon > 0$  there exists  $q = q(\epsilon)$  such that MAX-2LIN( $q$ ) has  $(1 - \epsilon, \epsilon)$ -hardness. Indeed, this statement is equivalent to UGC.*

**Theorem 2.10** *The MAX- $q$ -CUT problem, has  $(1 - 1/q + q^{2+o(1)})$ -hardness factor, assuming UGC only. This asymptotically matches the approximation factor obtained by Frieze and Jerrum [18].*

### 2.3 It Ain’t Over Till It’s Over

The It Ain’t Over Till It’s Over conjecture was originally made by Kalai and Friedgut [25] in studying social indeterminacy [17, 24]. The setting here is similar to the setting of Arrow’s Theorem from Section 2.2.1 except that there are an arbitrary finite number of candidates. Let  $R$  denote the (asymmetric) relation given on the candidates when the *monotone* social choice function  $f$  is used. Kalai showed that if  $f$  has small influences, then the It Ain’t Over Till It’s Over Conjecture implies that *every* possible relation  $R$  is achieved with probability bounded away from 0. Since its introduction in 2001, the It Ain’t Over Till It’s Over problem has circulated widely in the community studying harmonic analysis of boolean functions. The conjecture was given as one of the top unsolved problems in the field at a workshop at Yale in late 2004.

We confirm the It Ain’t Over Till It’s Over conjecture and generalize it to functions on arbitrary finite product probability spaces with means bounded away from 0 and 1. Further, the asymptotics we give show that symmetric threshold functions (e.g., Majority in the case of mean 1/2) are the ‘‘worst’’ examples. In particular,

**Theorem 2.11** *The Ain’t Over Till It’s Over Conjecture, Conjecture 1.2 is true.*

## 3 Proof Sketches

### 3.1 The Invariance principle

The proof of the invariance principle follows Lindeberg’s proof of the CLT [30] (see also [14]). Below we will denote by  $\mathcal{X}$  the vector  $(\mathbf{X}_1, \dots, \mathbf{X}_n)$  drawn uniformly from  $\{-1, 1\}^n$  and by  $\mathcal{G}$  a vector  $(\mathbf{G}_1, \dots, \mathbf{G}_n)$  of  $n$  independent Gaussian random variables. One standard method in probability theory to show that two distributions are close is the following: show that for any sufficiently smooth function, its expectation under the first distribution is close to its expectation under the second distribution. (One then applies this for smoothed versions of indicator functions of intervals.) In particular, in order to prove Theorem 2.1 it is sufficient to prove the following (details of the proof of Theorem 2.1 are omitted in this extended abstract):

**Theorem 3.1** *Let  $Q$  be a multilinear polynomial as in (3). Assume further that  $Q$  satisfies  $\text{Var}[Q] \leq 1$ ,  $\deg(Q) \leq d$ , and  $\text{Inf}_i(Q) \leq \tau$  for all  $i$ . Let  $\Psi : \mathbb{R} \rightarrow \mathbb{R}$  be a  $C^4$  function with  $|\Psi^{(4)}| \leq B$  uniformly. Then*

$$\left| \mathbf{E}[\Psi(Q(\mathcal{X}))] - \mathbf{E}[\Psi(Q(\mathcal{G}))] \right| \leq B d 9^d \tau.$$

**Proof:** We begin by defining intermediate sequences between  $\mathcal{X}$  and  $\mathcal{G}$ . For  $i = 0, 1, \dots, n$ , let  $\mathcal{Z}^{(i)}$  denote the sequence of random variables  $(\mathbf{G}_1, \dots, \mathbf{G}_i, \mathbf{X}_{i+1}, \dots, \mathbf{X}_n)$  and let  $Q^{(i)} = Q(\mathcal{Z}^{(i)})$ . Our goal will be to show

$$\left| \mathbf{E}[\Psi(Q^{(i-1)})] - \mathbf{E}[\Psi(Q^{(i)})] \right| \leq B 9^d \text{Inf}_i(Q)^2 \quad (4)$$

for each  $i \in [n]$ . Summing this over  $i$  will complete the proof since  $\mathcal{Z}^{(0)} = \mathcal{X}$ ,  $\mathcal{Z}^{(n)} = \mathcal{G}$  and

$$\sum_{i=1}^n \text{Inf}_i(Q)^2 \leq \tau \cdot \sum_{i=1}^n \text{Inf}_i(Q) \leq d\tau.$$

Let us fix a particular  $i \in [n]$  and proceed to prove (4). Write

$$\begin{aligned} R &= \sum_{S:i \notin S} c_S \prod_{j \in S} \mathbf{z}_j^{(i)}, \\ S &= \sum_{S:i \in S} c_S \prod_{j \in S \setminus \{i\}} \mathbf{z}_j^{(i)}. \end{aligned}$$

Note that  $R$  and  $S$  are independent of the variables  $\mathbf{X}_i$  and  $\mathbf{G}_i$ , and that  $Q^{(i-1)} = R + \mathbf{X}_i S$  and  $Q^{(i)} = R + \mathbf{G}_i S$ .

To bound the left side of (4) — i.e.,

$$\left| \mathbf{E}[\Psi(\mathbf{R} + \mathbf{X}_i \mathbf{S}) - \Psi(\mathbf{R} + \mathbf{G}_i \mathbf{S})] \right|$$

— we use Taylor's theorem: for all  $x, y \in \mathbb{R}$ ,

$$\left| \Psi(x + y) - \sum_{k=0}^3 \frac{\Psi^{(k)}(x) y^k}{k!} \right| \leq \frac{B}{24} y^4.$$

In particular,

$$\begin{aligned} \left| \mathbf{E}[\Psi(\mathbf{R} + \mathbf{X}_i \mathbf{S})] - \sum_{k=0}^3 \mathbf{E} \left[ \frac{\Psi^{(k)}(\mathbf{R}) \mathbf{X}_i^k \mathbf{S}^k}{k!} \right] \right| \\ \leq \frac{B}{24} \mathbf{E}[\mathbf{X}_i^4 \mathbf{S}^4] = \frac{B}{24} \mathbf{E}[\mathbf{S}^4], \end{aligned} \quad (5)$$

(where we used independence of  $\mathbf{X}_i$  from  $\mathbf{S}$  and also  $\mathbf{E}[\mathbf{X}_i^4] = 1$  in the last step), and similarly,

$$\begin{aligned} \left| \mathbf{E}[\Psi(\mathbf{R} + \mathbf{G}_i \mathbf{S})] - \sum_{k=0}^3 \mathbf{E} \left[ \frac{\Psi^{(k)}(\mathbf{R}) \mathbf{G}_i^k \mathbf{S}^k}{k!} \right] \right| \\ \leq \frac{B}{24} \mathbf{E}[\mathbf{G}_i^4 \mathbf{S}^4] = \frac{B}{24} \cdot 3 \mathbf{E}[\mathbf{S}^4]. \end{aligned} \quad (6)$$

Since  $\mathbf{X}_i$  and  $\mathbf{G}_i$  are independent of  $\mathbf{R}$  and  $\mathbf{S}$  and since the first 3 moments of  $\mathbf{X}_i$  equal those of  $\mathbf{G}_i$  it follows that for  $k = 0, 1, 2, 3$ :

$$\begin{aligned} \mathbf{E}[\Psi^{(k)}(\mathbf{R}) \mathbf{X}_i^k \mathbf{S}^k] &= \mathbf{E}[\Psi^{(k)}(\mathbf{R}) \mathbf{S}^k] \cdot \mathbf{E}[\mathbf{X}_i^k] \\ &= \mathbf{E}[\Psi^{(k)}(\mathbf{R}) \mathbf{S}^k] \cdot \mathbf{E}[\mathbf{G}_i^k] \\ &= \mathbf{E}[\Psi^{(k)}(\mathbf{R}) \mathbf{G}_i^k \mathbf{S}^k]. \end{aligned} \quad (7)$$

From (5), (6) and (7) it follows that

$$\begin{aligned} \left| \mathbf{E}[\Psi(\mathbf{R} + \mathbf{X}_i \mathbf{S}) - \Psi(\mathbf{R} + \mathbf{G}_i \mathbf{S})] \right| \\ \leq \frac{B}{24} (1 + 3) \mathbf{E}[\mathbf{S}^4] \leq B \mathbf{E}[\mathbf{S}^4]. \end{aligned} \quad (8)$$

We now use hypercontractivity. By Lemma 3.2 below,

$$\mathbf{E}[\mathbf{S}^4] \leq 9^d \mathbf{E}[\mathbf{S}^2]^2. \quad (9)$$

But using orthonormality of  $\mathbf{Z}_j$ 's we have

$$\mathbf{E}[\mathbf{S}^2] = \sum_{S:i \in S} c_i^2 = \text{Inf}_i(Q). \quad (10)$$

Combining (8), (9) and (10) it follows that

$$\left| \mathbf{E}[\Psi(\mathbf{R} + \mathbf{X}_i \mathbf{S}) - \Psi(\mathbf{R} + \mathbf{G}_i \mathbf{S})] \right| \leq B 9^d \text{Inf}_i(Q)^2,$$

confirming (4) and completing the proof.  $\square$

The hypercontractivity result we needed is a special case of the Bonami-Beckner theorem [?, ?]. We include a very short proof for completeness.

**Lemma 3.2** *Let  $Q$  be a multilinear polynomial as in (3) of degree  $d$ . Let  $\mathbf{Z}_1, \dots, \mathbf{Z}_n$  be independent real random variables with  $\mathbf{E}[\mathbf{Z}_i] = \mathbf{E}[\mathbf{Z}_i^3] = 0$ ,  $\mathbf{E}[\mathbf{Z}_i^2] = 1$  and  $\mathbf{E}[\mathbf{Z}_i^4] \leq 9$  for  $i = 1, 2, \dots, n$ . Let  $\mathbf{Q} = Q(\mathbf{Z}_1, \dots, \mathbf{Z}_n)$ . Then  $\mathbf{E}[\mathbf{Q}^4] \leq 9^d \mathbf{E}[\mathbf{Q}^2]^2$ .*

**Proof:** The proof is by induction on the number of variables  $n$ . The case  $n = 0$  is trivial, as  $Q$  is just a constant. So assume  $n > 0$ . We can express  $Q(x_1, \dots, x_n)$  as  $R(x_1, \dots, x_{n-1}) + x_n S(x_1, x_2, \dots, x_{n-1})$  where  $R$  and  $S$  are multilinear polynomials in at most  $n - 1$  variables,  $\deg(R) \leq d$  and  $\deg(S) \leq d - 1$ . Let

$$\mathbf{R} = R(\mathbf{Z}_1, \dots, \mathbf{Z}_{n-1})$$

and

$$\mathbf{S} = S(\mathbf{Z}_1, \dots, \mathbf{Z}_{n-1}).$$

Clearly,  $\mathbf{R}$  and  $\mathbf{S}$  are independent of  $\mathbf{Z}_n$ . We have

$$\begin{aligned} \mathbf{E}[\mathbf{Q}^4] &= \mathbf{E}[(\mathbf{R} + \mathbf{Z}_n \mathbf{S})^4] \\ &= \mathbf{E}[\mathbf{R}^4] + 4\mathbf{E}[\mathbf{Z}_n] \cdot \mathbf{E}[\mathbf{R}^3 \mathbf{S}] + \\ &\quad 6\mathbf{E}[\mathbf{Z}_n^2] \cdot \mathbf{E}[\mathbf{R}^2 \mathbf{S}^2] \\ &\quad + 4\mathbf{E}[\mathbf{Z}_n^3] \cdot \mathbf{E}[\mathbf{R} \mathbf{S}^3] + \mathbf{E}[\mathbf{Z}_n^4] \cdot \mathbf{E}[\mathbf{S}^4] \\ &\leq \mathbf{E}[\mathbf{R}^4] + 6\mathbf{E}[\mathbf{R}^2 \mathbf{S}^2] + 9\mathbf{E}[\mathbf{S}^4] \\ &\leq \left( \sqrt{\mathbf{E}[\mathbf{R}^4]} + 3\sqrt{\mathbf{E}[\mathbf{S}^4]} \right)^2 \\ &\leq (3^d \mathbf{E}[\mathbf{R}^2] + 3 \cdot 3^{d-1} \mathbf{E}[\mathbf{S}^2])^2 \\ &= 9^d (\mathbf{E}[\mathbf{R}^2] + \mathbf{E}[\mathbf{S}^2])^2 \\ &= 9^d \mathbf{E}[\mathbf{Q}^2]^2. \end{aligned}$$

where the first inequality used the conditions on  $\mathbf{Z}_n$ 's moments, the second inequality used Cauchy-Schwartz, the third inequality used the induction hypothesis for  $\mathbf{R}$  and  $\mathbf{S}$ , and the final inequality uses  $\mathbf{E}[\mathbf{Z}_n] = 0$  and  $\mathbf{E}[\mathbf{Z}_n^2] = 1$ .  $\square$

### 3.2 Majority Is Stablest

In this subsection we briefly sketch the main steps of the proof of the ‘‘Majority Is Stablest’’ Conjecture, Theorem 2.11. The basic idea is to use the invariance principle in order to translate the Boolean stability problem into a Gaussian one.

As noted before, what is needed here is a variant of the invariance principle for smoothed functions of unbounded degree. We proceed by formulating this invariance principle. The proof of this invariance principle follows from Theorem 2.1 by standard arguments.

Let  $\mathbf{Y} = (\mathbf{Y}_1, \dots, \mathbf{Y}_n)$  be a sequence of i.i.d. random variables with  $\mathbf{E}[\mathbf{Y}_i] = 0$  and  $\mathbf{E}[\mathbf{Y}_i^2] = 1$ . Given  $0 \leq \rho \leq$

1, and a multilinear polynomial  $Q$  as in (3) we define

$$T_\rho Q(x_1, \dots, x_n) = \sum_S c_S \rho^{|S|} \prod_{i \in S} x_i,$$

and

$$\mathbb{S}_\rho(Q) = \sum_S \rho^{|S|} c_S^2 = \mathbf{E}[Q(\mathcal{Y})T_\rho Q(\mathcal{Y})].$$

Note that the value of  $\mathbb{S}_\rho(Q)$  does not depend on the sequence  $\mathcal{Y}$ .

The smoothed invariance principle is stated for  $T_\rho Q$  for an arbitrary multilinear polynomial  $Q$ . It states that in the setting of Theorem 2.1 and for  $0 < \rho < 1$ , if  $Q$  is a multilinear polynomial of arbitrary degree then the distribution of  $T_\rho Q(\mathbf{X}_1, \dots, \mathbf{X}_n)$  is close to that of  $T_\rho(\mathbf{G}_1, \dots, \mathbf{G}_n)$ . The distance between the two distributions is bounded by  $\tau^{\Omega(1-\rho)}$ .

### Elchanan: I got up to here.

When  $\mathcal{Y} = \mathcal{G} = (\mathbf{G}_1, \dots, \mathbf{G}_n)$  is a sequence of independent Gaussians, the operator  $T_\rho$  is identical with the Ornstein-Uhlenbeck operator which acts on  $L^2(\mathbb{R}^n, \gamma_n)$ , where  $\gamma_n$  is the  $n$ -dimensional Gaussian measure, by

$$(U_\rho f)(x) = \mathbf{E}[f(\rho x + \sqrt{1 - \rho^2} y)],$$

where the integration on  $y$  is with respect to  $\gamma_n$ . The operator  $U_\rho$  is central in the study of the heat equation and Brownian motion in  $n$  dimensions. Since it extends the definition of  $T_\rho$ , it is natural to define  $\mathbb{S}_\rho(f) = \mathbf{E}[fU_\rho f]$  for all  $f \in L^2(\mathbb{R}^n)$ .

We now discuss Borell's results [3] on the Ornstein-Uhlenbeck operator. For this, recall that given any function  $f : \mathbb{R}^n \rightarrow \mathbb{R}$ , its (Gaussian) *nonincreasing spherical rearrangement* is defined to be the upper semicontinuous non-decreasing function  $f^* : \mathbb{R} \rightarrow \mathbb{R}$  which is equimeasurable with  $f$ ; i.e., for all  $t \in \mathbb{R}$ ,  $f^*$  satisfies  $\mathbf{P}[f > t] = \mathbf{P}[f^* > t]$  under the Gaussian measure. Borell uses Ehrhard symmetrization to show the following (see also Ledoux's Saint-Flour lecture notes [12]).

**Theorem 3.3** (Borell [3]) *Let  $f, g \in L^2(\mathbb{R}^n)$ . Then for all  $0 \leq \rho \leq 1$  and all  $q \geq 1$ ,*

$$\mathbf{E}[(U_\rho f)^q \cdot g] \leq \mathbf{E}[(U_\rho f^*)^q \cdot g^*].$$

Borell's result is more general and is stated for Lipschitz functions, but standard density arguments immediately imply the validity of the statement above. One immediate consequence of the theorem is that  $\mathbb{S}_\rho(f) \leq \mathbb{S}_\rho(f^*)$ .

Note that the fact that  $U_{\sqrt{\rho}}$  is positivity-preserving and linear imply that  $\sqrt{\mathbb{S}_\rho}$  defines an  $L^2$  norm on  $L^2(\mathbb{R}^n)$ , dominated by the usual  $L^2$  norm, so that it is a continuous convex functional on  $L^2(\mathbb{R}^n)$ . The set of all  $[0, 1]$ -valued functions from  $L^2(\mathbb{R}^n)$  having the same mean as  $f$  is closed and bounded in the standard  $L^2$  norm and one can easily check that its extremal points are indicator functions; hence by the Edgar-Choquet theorem (see [13]; clearly  $L^2(\mathbb{R}^n)$  is separable and it has a Radon-Nikodym property since it is a Hilbert space):

$$\sqrt{\mathbb{S}_\rho}(f) \leq \sup_\chi \sqrt{\mathbb{S}_\rho}(\chi),$$

where the supremum is taken over all functions  $\chi : \mathbb{R}^n \rightarrow \{0, 1\}$  with  $\mathbf{E}[\chi] = \mathbf{E}[f]$ . Since by Borell's result  $\mathbb{S}_\rho(\chi) \leq \mathbb{S}_\rho(\chi^*)$ , we have  $\mathbb{S}_\rho(f) \leq \mathbb{S}_\rho(\chi_\mu)$  where  $\chi_\mu : \mathbb{R} \rightarrow \{0, 1\}$  is the indicator function of a halfline with measure  $\mu = \mathbf{E}[f]$ . Summarizing the above discussion, we obtain:

**Theorem 3.4** *Let  $f : \mathbb{R}^n \rightarrow [0, 1]$  be a measurable function on Gaussian space with  $\mathbf{E}[f] = \mu$ . Then for all  $0 \leq \rho \leq 1$  we have  $\mathbb{S}_\rho(f) \leq \mathbb{S}_\rho(\chi_\mu)$ , where  $\chi_\mu : \mathbb{R} \rightarrow \{0, 1\}$  is the indicator function of the interval  $(-\infty, t]$ , where  $t$  is chosen so that  $\mathbf{E}[\chi_\mu] = \mu$ .*

This Gaussian result in conjunction with the smoothed invariance principle imply that "Majority Is Stablest".

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