Algebraic Geometry I

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Introduction

The lecture will mainly be about the concept of *schemes*. The topics include but are not limited to the category of (pre-)schemes, properties of schemes, morphisms of schemes, sheaves of \mathcal{O}_X -modules and cohomology of quasi-coherent sheaves.

Professor Franke said the lecture requires a firm knowledge of commutative algebra and affine and projective varieties. If you are not familiar with this terms you may want to think again about visiting this lecture. If you want to brush up your knowledge about these topics the following literature is recommended

- Matsumura, H.: Commutative Ring Theory,
- Hartshorne, R.: Algebraic Geometry,
- Mumford, D.: The Red Book of Varieties and Schemes,
- Schwab, N. & Wagner, F.: Algebra I by Jens Franke [1]¹.

Let it be said that the first three recommendations are from Professor Franke while the last one is from the (not so) humble authors of these notes.

¹https://github.com/Nicholas42/AlgebraFranke/tree/master/AlgebraI

1. Varieties and Schemes

Definition 1 (Sheaf and Presheaf). A **presheaf** \mathcal{F} of rings on a topological space X associates

- to any open subset $U \subseteq X$ a ring $\mathcal{F}(U)$ called the ring of sections of \mathcal{F} on U
- and to any inclusion of open subsets $V \subseteq U$ a ring homomorphism

$$(-)|_{V} \colon \mathcal{F}(U) \longrightarrow \mathcal{F}(V)$$

such that $f|_V = f$ for all $f \in \mathcal{F}(V)$ and $(f|_V)|_W = f|_W$ for any inclusion $W \subseteq V \subseteq U$ of open subsets.

Note that while this notation (intentionally) reminds of the restriction of functions, behaves similarly and often the restriction is indeed used for this homomorphism, the elements of the rings $\mathcal{F}(U)$ are not always functions.

A so defined presheaf is furthermore a **sheaf** if additionally, the following condition, called *sheaf axiom*, holds:

For every open covering $U = \bigcup_{i \in I} U_i$ of an open subset $U \subseteq X$ the map

$$\mathcal{F}(U) \longrightarrow \left\{ (f_i)_{i \in I} \in \prod_{i \in I} \mathcal{F}(U_i) \mid f_i|_{U_i \cap U_j} = f_j|_{U_i \cap U_j} \text{ for } i, j \in I \right\}$$
$$f \longmapsto (f|_{U_i})_{i \in I}$$

is bijective.

Remark 1. When $U = \emptyset$ one can take $I = \emptyset$ and obtains $\mathcal{F}(\emptyset) = \{0\}$.

Remark 2. Sheaves of groups, sets, etc. are defined in a similar way. A sheaf of rings \mathcal{R} on X defines two sheaves of groups on X, namely $U \mapsto (\mathcal{R}(U), +)$ and $U \mapsto (\mathcal{R}(U)^{\times}, \cdot)$.

Remark 3. Elements of $\mathcal{R}(U)$ are called *sections*, elements of $\mathcal{R}(X)$ are called *global sections*.

Example 1. Let R be a ring. The sheaf \mathcal{F}_X of R-valued functions on X associates to any open subset $U \subseteq X$ the ring of R-valued functions $f: U \to R$ with the inclusion morphism being the restriction of functions to subsets.

Remark. If \mathcal{G} is any (pre)sheaf on X and $U \subseteq X$ an open subset, we get a sheaf $\mathcal{G}|_U$ on U by $\mathcal{G}|_U(V) = \mathcal{G}(V)$ for the open subsets $V \subseteq U$ equipped with the same restriction morphisms.

Definition 2 (Algebraic Prevarieties). Let k be an algebraically closed field. An **algebraic prevariety** over k is a pair (X, \mathcal{O}_X) , where X is an irreducible Noetherian topological space together with a sheaf \mathcal{O}_X of rings on X such that the following property is satisfied.

Any $x \in X$ has an open neighbourhood U such that there is a homeomorphism $U \xrightarrow{\sim}_{\varphi} V$ where $V \subseteq k^n$ is a Zariski-closed subset such that φ identifies $\mathcal{O}_X|_U$ with the structure sheaf \mathcal{O}_V of V. That is, if $W \subseteq V$ is open then any k-valued function $f \colon W \to k$ is regular (i.e. an element of $\mathcal{O}_V(W)$) if and only if

$$g \colon \varphi^{-1}(W) \longrightarrow k$$

 $x \longmapsto f(\varphi(x))$

is an element of $\mathcal{O}_X(\varphi^{-1}(W))$. One denotes $g = \varphi^* f$ in this case.

A morphism of prevarieties $(X, \mathcal{O}_X) \to (Y, \mathcal{O}_Y)$ is a continous map $X \xrightarrow{\varphi} Y$ such that for all $U \subseteq Y$ and $\lambda \in \mathcal{O}_Y(U)$ we have $\varphi^*\lambda \in \mathcal{O}(\varphi^{-1}(U))$. As above, $\varphi^*\lambda$ is defined as $(\varphi^*\lambda)(x) = \lambda(\varphi(x))$. In particular, φ^* induces a morphism of sheaves $\varphi^* \colon \mathcal{O}_Y \to \mathcal{O}_X$.

- **Remark.** (a) In fact, the $V \subseteq k^n$ in the above definition of varieties is even *irreducible*, as V is homeomorphic to an open (and hence irreducible) subset U of the irreducible space X. In particular, V is an *affine algebraic variety* (in the sense of [1, Definition 2.2.1]) and one can think of varieties as irreducible spaces which are locally isomorphic to (or glued together from) affine varieties.
 - (b) The n in the above definition is not required to be constant, not even for a single $x \in X$. In fact, this wouldn't be a sensible thing to ask for, as e.g. $k \subseteq k^1$ and $k \times \{0\} \subseteq k^2$ are isomorphic affine varieties. However, the Krull dimension dim X (in the sense of [1, Definition 2.1.4]) is a well-defined thing and one can show that dim $X = \dim V$ in the above situation (this is a consequence of [1, Theorem 6] and the locality of codimension, cf. [1, Remark 2.1.3]).

Example 2. Let $V \subseteq k^n$ be Zariski-closed, $W \subseteq V$ open. The ring $\mathcal{O}_V(W)$ of regular functions on W is the ring of functions $\lambda \colon W \to k$ such that for any $x \in W$ there is an open neighbourhood Ω of x and polynomials $p, q \in R = k[X_1, \ldots, X_n]$ such that q does

not vanish on $\Omega \cap W$ and such that we have $\lambda(y) = \frac{p(y)}{q(y)}$ for every $y \in \Omega \cap W$. (cf. [1, Definition 2.2.2]).

The sheaf \mathcal{O}_V defined by $W \mapsto \mathcal{O}_V(W)$ is called the *structure sheaf* on V. If W = V it can be shown that any $f \in \mathcal{O}_V(V)$ can be written as $f = p|_V$ where $p \in R$ (cf. [1, Proposition 2.2.2]).

Example 3. The *projective space* $\mathbb{P}(V)$, where V is a k-vector space, is the set of one-dimensional subspaces of V. Let $\mathbb{P}^n(k) = \mathbb{P}(k^{n+1})$. If $(x_0, \ldots, x_n) \in k^{n+1} \setminus \{0\}$, let $[x_0, \ldots, x_n]$ denote the subspace generated by (x_1, \ldots, x_n) .

Recall that an ideal $I \subseteq R = k[X_0, ..., X_n]$ is called *homogenous* if it is generated by homogenous elements (i.e. polynomials in which every monomial has the same total degree). Let I be homogenous, let $V(I) \subseteq \mathbb{P}^n(k)$ be the set of all $[x_0, ..., x_n] \in \mathbb{P}^n(k)$ such that $f(x_0, ..., x_n)$ vanishes for all $f \in I$. Call a subset $A \subseteq \mathbb{P}^n(k)$ Zariski-closed if there is a homogenous ideal I such that A = V(I). This turns $\mathbb{P}^n(k)$ into an irreducible, n-dimensional, Noetherian topological space.

Let $V \subset \mathbb{P}^n(k)$ be closed, $W \subseteq V$ open and $\lambda \colon W \to k$ any function. We call λ regular on W, or $\lambda \in \mathcal{O}_V(W)$, if any $x \in W$ has an open neighbourhood Ω such that there are two polynomials $p, q \in k[X_0, \ldots, X_n]$ homogenous of the same degree such that $q(y_0, \ldots, y_n) \neq 0$ and

$$\lambda([y_0, \dots, y_n]) = \frac{p(y_0, \dots, y_n)}{q(y_0, \dots, y_n)}$$

for all $[y_0, \ldots, y_n] \in W \cap \Omega$.

The affine space $\mathbb{A}^n(k)$ is just good old k^n equipped with its Zariski topology. Consider the map

$$\mathbb{P}^{n}(k) \setminus V(X_{i}) \xrightarrow{\sim} \mathbb{A}^{n}(k)$$
$$[x_{0}, \dots, x_{n}] \longmapsto \left(\frac{x_{0}}{x_{i}}, \dots, \frac{x_{i-1}}{x_{i}}, \frac{x_{i+1}}{x_{i}}, \dots, \frac{x_{n}}{x_{i}}\right).$$

This is a homeomorphism and identifies the structure sheaves with each other. Hence, for any irreducible closed subset $A \subseteq \mathbb{P}^n(k)$ such that $Y := A \cap (\mathbb{P}^n(k) \setminus V(X_i)) \neq \emptyset$, $(Y, \mathcal{O}_A|_Y)$ is isomorphic to an affine algebraic variety. Thus, quasi-projective algebraic varieties (i.e. (U, \mathcal{O}_U) where $U \subseteq \mathbb{P}^n(k)$ is a non-empty open subset of an irreducible closed subset) are algebraic prevarieties in the sense of Definition 2.

Example 3a. When X is prevariety in the sense of Definition 2 and $U \subseteq X$ is open and $U \neq \emptyset$, then $(U, \mathcal{O}_X|_U)$ is a prevariety. Note that any non-empty open subset of an irreducible set is necessarily irreducible as well, so irreducibility of U is not required as an extra condition.

Example 3b. Let X be a prevariety, $A \subseteq X$ irreducible and closed. Then (A, \mathcal{O}_A) is a prevariety, wherein the structure sheaf \mathcal{O}_A is defined as follows: If $W \subseteq A$ is open, let

$$\mathcal{O}_A(W) = \left\{ f \colon W \to k \;\middle|\; \begin{array}{l} \text{every } x \in W \text{ has an open neighbourhood } x \in U \subseteq X \\ \text{and } \varphi \in \mathcal{O}_X(U) \text{ such that } f(y) = \varphi(y) \; \forall y \in U \cap W \end{array} \right\}.$$

Then one may check that (A, \mathcal{O}_A) is a prevariety. Note that \mathcal{O}_A is *not* given by the restriction $\mathcal{O}_{X|A}$ (which is only defined for open subsets $U \subseteq X$ anyway). If one prefers a more functorial definition of \mathcal{O}_A , the following will do: For each open subset $U \subseteq X$, let

$$I(U) = \{ \varphi \in \mathcal{O}_X(U) \mid \varphi \text{ lies in the maximal ideal of } \mathcal{O}_{A,a} \ \forall a \in U \cap A \}$$

(the stalk $\mathcal{O}_{A,a}$ is defined in [1, Definition 2.2.5]). Then

$$\mathcal{O}_A(W) = \varinjlim_U \mathcal{O}_X(U)/I(U) ,$$

where the colimit is taken over all open subsets $U \subseteq X$ such that $U \cap A = W$.

Remark. The following conditions on a topological space X are equivalent:

- (a) If $x \neq y$ are points of X, there are open neighbourhoods $V, W \subseteq X$ separating them, i.e. $x \in V, y \in W$ and $V \cap W = \emptyset$. This is the usual definition for X being Hausdorff.
- (b) The diagonal $\Delta = \{(x, x) \mid x \in X\} \subseteq X \times X$ is a closed subset.
- (c) If a and b are continous maps $T \to X$, then their equalizer $K = \{t \in T \mid a(t) = b(t)\}$ is closed in T.

Definition 3 (Variety). Let X be a prevariety over k in the sense of Definitions 2. We call X separated or a variety over k if and only if $\{t \in T \mid a(t) = b(t)\}$ is closed in T whenever a and b are a pair of morphisms of prevarieties $T \stackrel{a}{\Longrightarrow} X$.

Example 4 (Line with two origins). Let n > 0 and $X = (\mathbb{A}^n(k) \setminus \{0\}) \cup \{0_+\} \cup \{0_-\}$. Consider two morphisms $\iota_+, \iota_- : \mathbb{A}^n(k) \to X$ defined by

$$\iota_{\pm}(x) = \begin{cases} x & \text{if } x \neq 0\\ 0_{+} & \text{if } x = 0 \end{cases}$$

Let $U \subseteq X$ be open iff both $\iota_+^{-1}(U)$ and $\iota_-^{-1}(U)$ are both open in $\mathbb{A}^n(k)$, and let

$$\mathcal{O}_X(U) = \left\{ f \colon U \to k \ \middle| \ \iota_{\pm}^* f = f \iota_{\pm} \in \mathcal{O}_{\mathbb{A}^n(k)} \left(\iota_{\pm}^{-1}(U) \right) \right\}.$$

Then $U_{\pm} = \iota_{\pm}^{-1}(\mathbb{A}^n(k))$ are both open and $\mathbb{A}^n(k) \xrightarrow{\iota_{\pm}} U_{\pm}$ is a homeomorphism identifying the respective structure sheaves. Thus, X is a prevariety, but not a variety in the sense of Definition 3 as we may take $T = \mathbb{A}^n(k) \xrightarrow{\iota_{\pm}} X$ in Definition 3 and obtain $K = \{x \in \mathbb{A}^n(k) \mid \iota_{+}(x) = \iota_{-}(x)\} = \mathbb{A}^n \setminus \{0\}$, which is not closed.

Example 5. (a) Any affine algebraic variety is a variety in the sense of Definition 3.

- (b) In particular, $\mathbb{A}^0 = \{0\}$ is a variety, as is any one-point prevariety.
- (c) Non-empty open and irreducible closed subsets Y of varieties X are varieties
- *Proof.* (c) The inclusion $Y \xrightarrow{\iota} X$ (together with $\iota^* \colon \mathcal{O}_X \to \mathcal{O}_Y$) is a morphism of prevarieties, and for a pair $a, b \colon T \to A$ of morphisms of prevarieties we have $\{t \in T \mid a(t) = b(t)\} = \{t \in T \mid (\iota a)(t) = (\iota b)(t)\}$. The latter is closed in T because X is a variety.
 - (a) Let $X \subseteq k^n$ be closed, irreducible and $a, b \colon T \to X$ morphisms of prevarieties and $K = \{t \in T \mid a(t) = b(t)\}$. To show that K is closed in T, it is sufficient to show that any $t \in T$ has a neighbourhood Ω such that $K \cap \Omega$ is closed in Ω . Choosing Ω such that it is isomorphic to an affine algebraic variety, which is possible because T is a prevariety, we may assume without loss of generality that $T \subseteq k^n$ is an affine algebraic variety in (i.e. an irreducible subset of) k^n . Let

$$X_i \colon X \longrightarrow k$$

 $(x_1, \dots, x_n) \longmapsto x_i$

denote the projection to the i^{th} coordinate. Then $X_i \in \mathcal{O}_X(X)$, hence $\alpha_i = a^*X_i$ and $\beta_i = b^*X_i$ are in $\mathcal{O}_T(T)$ and

$$K = \{t \in T \mid \alpha_i(t) = \beta_i(t) \ \forall i\} = \bigcap_{i=1}^n V(\alpha_i - \beta_i) \ . \tag{1}$$

But we proved in Algebra I that $V(\varphi)$ is closed in T whenever T is an affine algebraic variety and $\varphi \in \mathcal{O}_T(T)$ (cf. [1, Proposition 2.2.1]).

• Trivial from (a).

q.e.d.

Remark. (a) $K \subseteq T$ is closed iff for all $t \in T$ there is an open neighbourhood Ω_t such that $\Omega_t \cap K$ is closed in Ω_t , since

$$T \setminus K = \bigcup_{t \in T} \left(\Omega_t \setminus (K \cap \Omega_t) \right)$$

is open as a union of open subsets.

(b) It is not sufficient to require this just for all $t \in K$.

Proposition 1. Let X be any prevariety such that for arbitrary $x, y \in X$ there is a common open neighbourhood U of x and y which is affine (that is, isomorphic as a prevariety to an affine variety in some k^n). Then X is a variety.

Proof. Let $a, b \colon T \to X$ as in Definition 3 and $t \in T$ and let $U \subseteq X$ be an affine open subset of X containing both a(t) and b(t). Let $V = a^{-1}(U) \cap b^{-1}(U) \subseteq T$. This is an open subset of T containing t. It is easily seen that $a|_V$ and $b|_V$ are morphisms $V \to U$. By the previous example, $K \cap V = \{t \in U \mid a(t) = b(t)\}$ is closed in V. Because such a neighbourhood can be found for any $t \in T$, K is closed in T by the previous remark.

Corollary 1. Quasi-projective and quasi-affine algebraic varieties are varieties.

Proof. Step 1. Let $X \subseteq k^n$ be irreducible and closed. Recall that for any $f \in \mathcal{O}_X(X) \setminus \{0\}$, $X \setminus V(f)$ is affine: Let $X = V(\mathfrak{p})$ for some prime ideal $\mathfrak{p} \in R = k[X_1, \ldots, X_n]$. We identify $f \in \mathcal{O}_X(X) = R/\mathfrak{p}$ with an arbitrary representative $f \in R$. Now consider the ideal $\mathfrak{q} \subseteq k[X_1, \ldots, X_n, T]$ generated by \mathfrak{p} and $1 - T \cdot f$. One can show that

$$V(\mathfrak{q}) \xrightarrow{\sim} X \setminus V(f)$$
$$(x,t) \longmapsto x$$
$$(x,f(x)^{-1}) \longleftrightarrow x$$

is a homeomorphism topological spaces. Then $V(\mathfrak{q})$ is irreducible (as $X \setminus V(f)$ is), hence an affine variety, which proves that $X \setminus V(f)$ must be affine as well (cf. [1, Proposition 2.2.4]).

Let $U \subseteq X$ be open and $F \subseteq U$ be finite. Let $X \setminus U = V(I)$ with $I \subseteq R$ an ideal. If n = 0, $U = \{0\}$ is affine and we have nothing to prove. Let $n \ge 1$. Because k is infinite, the k-vector space I cannot be the union of its finitely many codimension one subspaces $I_x = \{p \in I \mid p(x) = 0\}$ for $x \in F$. Therefore, there is $p \in I$ such that $F \subseteq X \setminus V(p)$. By our initial remark, $X \setminus V(p)$ is affine. As $p \in I$, $X \setminus V(p) \subseteq U$ and the claim follows.

Step 2. Let $X \subseteq \mathbb{P}^n(k)$ be quasi-projective and let $F \subseteq X$ be finite. We can write

$$F = \left\{ [f_0^{(i)}, \dots, f_n^{(i)}] \mid 1 \le i \le N \right\} .$$

As k^{n+1} is larger than the union of the N codimension one subspaces

$$V_i = \left\{ (\xi_j)_{j=0}^n \mid \sum_{j=0}^n \xi_j f_j^{(i)} = 0 \right\} \quad \text{for } i = 1, \dots, N ,$$

there is a homogenous polynomial $p \neq 0$ of degree 1 such that $p(f_0^{(i)}, \ldots, f_n^{(i)}) \neq 0$ for all $1 \leq i \leq N$. Then $F \subseteq X \setminus V(p)$. But $\mathbb{P}^n(k) \setminus V(p)$ is isomorphic to k^n as this is the case when $p = X_0$ and $\mathrm{GL}_{n+1}(k)$ transitively acts on $k^{n+1} \setminus \{0\}$. Thus, $F \subseteq X \setminus V(p)$ and $X \setminus V(p)$ is isomorphic to a quasi-affine variety. The assertion now follows from Step 1.

Remark. • Let X be a prevariety. If two arbitrary points have a common neighbourhood which is a variety, then X is a variety.

- We have actually seen that arbitrary finite subsets of quasi-projective algebraic varieties have open neighbourhoods which are affine. This is usefull, e.g., when forming quotients by finite groups.
- Hironaka (see Hartshorne for examples of a non-quasi-projective variety) has an example of a variety where there are two points without a common affine neighbourhood.

A. Appendix

A.1. Things you should know about categories

A category \mathcal{A} is a class $Ob(\mathcal{A})$ of *objects* of \mathcal{A} together with:

- (a) For two arbitrary $X, Y \in \text{Ob}(\mathcal{A})$, a set $\text{Hom}_{\mathcal{A}}(X, Y)$ of morphisms from X to Y in \mathcal{A} .
- (b) For $X, Y, Z \in Ob(A)$, a map

$$\operatorname{Hom}_{\mathcal{A}}(X,Y) \times \operatorname{Hom}_{\mathcal{A}}(Y,Z) \longrightarrow \operatorname{Hom}_{\mathcal{A}}(X,Z)$$

 $(f,g) \longmapsto g \circ f$

called the *composition of morphisms* in A.

The following assumptions must be satisfied:

- (i) If $A \xrightarrow{f} B \xrightarrow{g} C \xrightarrow{h} D$ are morphisms in A, then $h \circ (g \circ f) = (h \circ g) \circ f$.
- (ii) For any $A \in \mathrm{Ob}(\mathcal{A})$ there is a unique morphism $A \xrightarrow{\mathrm{id}_A} A$ in $\mathrm{Hom}_{\mathcal{A}}(A,A)$ such that $\mathrm{id}_A \circ f = f$ and $g \circ \mathrm{id}_A = g$ for any $f \in \mathrm{Hom}_{\mathcal{A}}(B,A)$ and any $g \in \mathrm{Hom}_{\mathcal{A}}(A,C)$ for arbitrary $B, C \in \mathrm{Ob}(\mathcal{A})$.
- **Example 1.** The category (Set) of sets where Ob(A) is the class of sets, $Hom_A(X, Y)$ is the set of maps from X to Y and the composition of morphism is the composition of maps.
 - The category (Grp) of groups where Ob(A) is the class of groups, $Hom_A(X, Y)$ is the set of group morphisms from X to Y and the composition of morphisms is the composition of maps.
 - The categories of rings (Ring), commutative rings (CRing) and abelian groups (Ab) are all similar.
 - The topological spaces with the continuous maps (*Top*).

- The Banach spaces with bounded (continous) maps.
- The k-vector spaces with k-linear maps ($Vect_K$) or R-modules with R-linear maps (R-Mod).

A category is called *small* if its class of objects is a set.

A subcategory \mathcal{B} of \mathcal{A} has $\mathrm{Ob}(\mathcal{B}) \subseteq \mathrm{Ob}(\mathcal{A})$ and $\mathrm{Hom}_{\mathcal{B}}(X,Y) \subseteq \mathrm{Hom}_{\mathcal{A}}(X,Y)$ and for arbitrary objects X,Y of \mathcal{B} , the identity id_X of X in \mathcal{A} is a morphism in $\mathrm{Hom}_{\mathcal{B}}(X,X)$.

We call \mathcal{B} a full subcategory of \mathcal{A} if $\operatorname{Hom}_{\mathcal{A}}(X,Y) = \operatorname{Hom}_{\mathcal{B}}(X,Y)$ for arbitrary objects $X,Y \in \operatorname{Ob}(\mathcal{B})$.

We call \mathcal{B} a equivalent subcategory of \mathcal{A} if it is a full subcategory and every object $X \in \mathrm{Ob}(\mathcal{A})$ is isomorphic to some $Y \in \mathrm{Ob}(\mathcal{B})$ (where a morphism $X \xrightarrow{f} Y$ is an isomorphism iff there is a (unique) $Y \xrightarrow{g} X$ such that $f \circ g = \mathrm{id}_Y$ and $g \circ f = \mathrm{id}_X$.

A further example is the category of prevarieties (with morphisms according to Definition 1.0.2) and its full subcategory of varieties, containing all varieties as objects.

Bibliography

[1] Nicholas Schwab; Ferdinand Wagner. Algebra I by Jens Franke (lecture notes). GitHub: https://github.com/Nicholas42/AlgebraFranke/tree/master/AlgebraI.