

SHIMURA VARIETIES

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Due to the mistake and carelessness of the notetaker, it is missing parts and many references and is full of typos. Also, every sign has at least a 50% chance of being wrong.

If you know what this sentence means, the latest edited version by Sophie Morel of these notes will possibly be found at [Quatramaran](#) website (no guarantees though).

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1. LOCALLY SYMMETRIC SPACES AND SHIMURA VARIETIES

1.1. Locally symmetric spaces. Let G be a semisimple algebraic group over \mathbb{Q} , for example SL_n , Sp_{2n} , or $\mathrm{SO}(p, q)$. We would like to present some “nice enough” whose cohomology is related to automorphic representations of G . A good reference for locally symmetric spaces is the introductory paper [Ji06] by Ji.

To simplify the presentation, we will assume here that $G(\mathbb{R})$ is connected. Let K_∞ be a maximal compact subgroup of $G(\mathbb{R})$, and let $X = G(\mathbb{R})/K_\infty$. If Γ is a discrete subgroup of $G(\mathbb{R})$ such that $\Gamma \backslash G(\mathbb{R})$ (or equivalently $\Gamma \backslash X$) is compact and Γ acts properly and freely on X ,¹ then there is a classical connection between the cohomology of $\Gamma \backslash X$ and automorphic representations of $G(\mathbb{R})$, called **Matsushima’s formula** (see Matsushima’s paper [Mat67]). We will state a modern reformulation in Lecture 3, but roughly it relates the Betti numbers of $\Gamma \backslash X$ and the multiplicities of representations of $G(\mathbb{R})$ in $L^2(\Gamma \backslash G(\mathbb{R}))$.

In fact, Matsushima’s paper deals with semi-simple real Lie groups. Here, we have an algebraic group defined over \mathbb{Q} , so we have a particularly nice way to produce discrete subgroups of $G(\mathbb{R})$. Remember that a subgroup Γ of $G(\mathbb{Q})$ is called an **arithmetic subgroup** if there exists a closed embedding $G \subset \mathrm{GL}_N$ such that, setting $G(\mathbb{Z}) = G(\mathbb{Q}) \cap \mathrm{GL}_N(\mathbb{Z})$, we have that $\Gamma \cap G(\mathbb{Z})$ is of finite index in Γ and in $G(\mathbb{Z})$.² If Γ is small enough, then it acts properly and freely on X ([Ji06, Proposition 5.5]), so the quotient $\Gamma \backslash X$ is a real analytic manifold. Also, the quotient $\Gamma \backslash G(\mathbb{R})$ is compact if and only if G is anisotropic (over \mathbb{Q}), which means that G has no nontrivial parabolic subgroup defined over \mathbb{Q} ([Ji06, Theorem 5.10]). (A subgroup of G is parabolic if it contains a Borel subgroup B of G .) If $\Gamma \backslash X$ is not compact but $G(\mathbb{R})$ has a discrete series, then there is an extension of Matsushima’s formula, due to Borel and Casselman in [BC83], that involves L^2 cohomology of $\Gamma \backslash X$; see Lecture 3.

We actually would like to see automorphic representations of $G(\mathbb{A})$ (not just $G(\mathbb{R})$) in the cohomology of our spaces, so we will use adelic versions of $\Gamma \backslash X$. Let K be an open compact subgroup of $G(\mathbb{A}_f)$; for example, if we have chosen an embedding $G \subset \mathrm{GL}_N$, then we could take

$$K = G(\mathbb{A}_f) \cap \mathrm{Ker}(\mathrm{GL}_N(\widehat{\mathbb{Z}}) \rightarrow \mathrm{GL}_N(\mathbb{Z}/n\mathbb{Z})),$$

for some positive integer n (these are called **principal congruence subgroups**). Let

$$M_K = G(\mathbb{Q}) \backslash X \times G(\mathbb{A}_f) / K,$$

where the group K acts by right translations on the factor $G(\mathbb{A}_f)$, and the group $G(\mathbb{Q})$ acts by left translations on both factors simultaneously. Choose a system of representatives $(x_i)_{i \in I}$ of the (finite) quotient $G(\mathbb{Q}) \backslash G(\mathbb{A}_f) / K$, and set

$$\Gamma_i = G(\mathbb{Q}) \cap x_i K x_i^{-1}$$

for every $i \in I$. Then the Γ_i are arithmetic subgroups of $G(\mathbb{Q})$, and we have

$$M_K = \coprod_{i \in I} \Gamma_i \backslash X,$$

¹This holds for example if Γ is torsion free, which happens when Γ is small enough.

²We can check that this definition does not depend on the embedding $G \subset \mathrm{GL}_N$, see [Ji06, Proposition 4.2].

so M_K is a real analytic manifold if K is small enough. But now we have an action of $G(\mathbb{A}_f)$ on the projective system $(M_K)_{K \subset G(\mathbb{A}_f)}$, so we get an action on $\varinjlim_K H^*(M_K)$, where H^* is any “reasonable” cohomology theory, for example Betti cohomology. If G is anisotropic over \mathbb{Q} , then Matsushima’s result can be reformulated to give a description of this action in terms of irreducible representations of $G(\mathbb{A})$ appearing in $L^2(G(\mathbb{Q}) \backslash G(\mathbb{A}))$, and there is also a version of the Borel-Casselman generalization.

There is another way to think about the action of $G(\mathbb{A}_f)$ on $(M_K)_{K \subset G(\mathbb{A}_f)}$, which does not involve a limit on K . Fix a Haar measure on $G(\mathbb{A}_f)$ such that open compact subgroups of $G(\mathbb{A}_f)$ have rational volume (this is possible because these groups are all commensurable); then every open subset of $G(\mathbb{A}_f)$ has rational volume. The **Hecke algebra** of G is the space \mathcal{H}_G of locally constant functions with compact support from $G(\mathbb{A}_f)$ to \mathbb{Q} ; if $f, g \in \mathcal{H}_G$, then the convolution product $f * g$ still has rational values by the choice of Haar measure, so convolution defines a multiplication on \mathcal{H}_G . For every open compact subgroup K of $G(\mathbb{A}_f)$, the **Hecke algebra at level K** is the subalgebra $\mathcal{H}_{G,K}$ of bi- K -invariant functions in \mathcal{H}_G ; we have $\mathcal{H}_G = \bigcup_K \mathcal{H}_{G,K}$.

Fix K small enough. Then $H^*(M_K)$ is basically the set of K -invariant vectors:

$$H^*(M_K) = \varinjlim_{K' \subset G(\mathbb{A}_f)} H^*(M_{K'})^K,$$

so it has an action of $\mathcal{H}_{G,K}$.³ We can describe this action using Hecke correspondences: let $g \in G(\mathbb{A}_f)$, let K' be an open compact subgroup of $G(\mathbb{A}_f)$ such that $K' \subset K \cap gKg^{-1}$, then we have a **Hecke correspondence**

$$\begin{aligned} (T_1, T_g) : M_{K'} &\longrightarrow M_K \times M_K \\ (x, h) &\longmapsto ((x, h), (x, hg)), \end{aligned}$$

and T_1, T_g are both finite covering maps if K is small enough. Up to a scalar,⁴ the action $\mathbb{1}_{KgK}$ on $H^*(M_K)$ is given by pulling back cohomology classes along T_1 , then pushing them forward along T_g .

We can also ask whether there is more structure on the spaces $\Gamma \backslash X$ (or M_K). For example, suppose that $G = \mathrm{SL}_2$ and $K_\infty = \mathrm{SO}(2)$. Then, for Γ an arithmetic subgroup of $\mathrm{SL}_2(\mathbb{Z})$, the space $\Gamma \backslash X$ is a modular curve, so it is (the set of complex points of) an algebraic variety defined over a function field F , and we can use the commuting actions of Hecke correspondences and of the absolute Galois group of F on its étale cohomology to construct some instance of the global Langlands correspondence for SL_2 or GL_2 .

In order to generalize this picture, we first to know when the spaces $\Gamma \backslash X$ or M_K are the set of \mathbb{C} -points of an algebraic variety, and whether this algebraic variety is defined over a number field. As we will see later, another advantage over M_K over $\Gamma \backslash X$ is that, when the answer to the above question is “yes”, then the M_K for K varying tend to all be defined over the same field, while this is not the case for the $\Gamma \backslash X$.

Remark 1.1. The first step is to check whether $\Gamma \backslash X$ has the structure of a complex manifold, and there are obvious obstructions to that. For example, if $G = \mathrm{SL}_3$ and $K_\infty = \mathrm{SO}(3)$,

³In fact, we can recover the action of $G(\mathbb{A}_f)$ on $\varinjlim_{K' \subset G(\mathbb{A}_f)} H^*(M_{K'})$ from the action of $\mathcal{H}_{G,K}$ on M_K for every K small enough.

⁴Make scalar precise.

then $\Gamma \backslash X$ is 5-dimensional as a real manifold, so it cannot have the structure of a complex manifold. In fact, there is no structure of complex manifold on $\Gamma \backslash X$ for $G = \mathrm{GL}_d$ with $d \geq 3$, as we will now see.

Choose a $G(\mathbb{R})$ -invariant Riemannian metric on $X = G(\mathbb{R})/K_\infty$ (such a metric is unique up to rescaling on each irreducible factor). Then X is a **symmetric space**, that is, a Riemannian manifold such that:

- (a) The group of isometries of X acts transitively on X ;
- (b) For every $p \in X$, there exists a symmetry s_p of X (i.e. an involutive isometry) such that p is an isolated fixed point of s_p .

Moreover, the symmetric space X is of **noncompact type**, that is, it has negative curvature. For Γ a small enough arithmetic subgroup of $G(\mathbb{Q})$, the Riemannian manifold $\Gamma \backslash X$ is a **locally symmetric space**; in particular, it does not satisfy condition (a) anymore, and it satisfies a variant of condition (b) where we only ask for the symmetry to be defined in a neighborhood of the point. See Ji's notes [Ji06] for a review of locally symmetric spaces.

We say that X is a **Hermitian symmetric domain** if it admits a $G(\mathbb{R})$ -invariant Hermitian metric. See Section 1 of Milne's notes [Mil05] for a review of Hermitian symmetric domains.

Example 1.2 (Siegel upper half space). Let d be a positive integer. The **Siegel upper half space** \mathfrak{h}_d^+ is the set of symmetric $d \times d$ complex matrices in $Y \in M_d(\mathbb{C})$ such $\mathrm{Im}(Y)$ is positive definite; if $d = 1$, then this is just the usual upper half plane. Then the Siegel upper half space \mathfrak{h}_d^+ is a Hermitian symmetric domain. The proofs of the basic properties of \mathfrak{h}_d^+ can be found in Siegel's paper [Sie43].

We first need to see \mathfrak{h}_d^+ as a symmetric space. Let Sp_{2d} be the symplectic group of the symplectic form with matrix $\begin{pmatrix} 0 & I_d \\ -I_d & 0 \end{pmatrix}$, where $I_d \in \mathrm{GL}_d(\mathbb{Z})$ is the identity matrix. For every commutative ring R , we have

$$\mathrm{Sp}_{2d}(R) = \left\{ g \in \mathrm{GL}_{2d}(R) \mid {}^t g \begin{pmatrix} 0 & I_d \\ -I_d & 0 \end{pmatrix} g = \begin{pmatrix} 0 & I_d \\ -I_d & 0 \end{pmatrix} \right\}.$$

Note that $\mathrm{Sp}_2 = \mathrm{SL}_2$. We make $\mathrm{Sp}_{2g}(\mathbb{R})$ act on \mathfrak{h}_d^+ by the following formula:

$$\begin{pmatrix} A & B \\ C & D \end{pmatrix} \cdot Y = (AY + B)(CY + D)^{-1},$$

where A, B, C, D are $d \times d$ matrices such that $\begin{pmatrix} A & B \\ C & D \end{pmatrix} \in \mathrm{Sp}_{2d}(\mathbb{R})$ (see page 9 of [Sie43]). Then this action is transitive (see page 9 of [Sie43]). Let K_∞ be the stabilizer in $\mathrm{Sp}_{2d}(\mathbb{R})$ of $iI_d \in \mathfrak{h}_d^+$. Then $K_\infty = O(2d) \cap \mathrm{Sp}_{2d}(\mathbb{R})$ (this is easy to check directly), so it is a maximal

compact subgroup of $\mathrm{Sp}_{2d}(\mathbb{R})$,⁵ and we have

$$\mathfrak{h}_d^+ \simeq \mathrm{Sp}_{2d}(\mathbb{R})/K_\infty$$

as real analytic manifolds.

Also, the space \mathfrak{h}_d^+ is an open subset of the complex vector space of symmetric matrices in $M_d(\mathbb{C})$, so it has an obvious structure of complex manifold. It remains to construct a $\mathrm{Sp}_{2d}(\mathbb{R})$ -invariant Hermitian metric on \mathfrak{h}_d^+ . Let \mathcal{D}_d be the set of symmetric matrices $A \in M_d(\mathbb{C})$ such that $I_d - A^*A$ is positive definite; this is a bounded domain in the complex vector space of symmetric matrices in $M_d(\mathbb{C})$, hence is equipped with a canonical Hermitian metric called the **Bergman metric**, which has negative curvature (see for example, [Mil05, Theorem 1.3]); in particular, this metric is invariant by all holomorphic automorphisms of \mathcal{D}_d . Now note that we have an isomorphism

$$h_d^+ \xrightarrow{\sim} \mathcal{D}_d, \quad X \mapsto (iI_d - X)(iI_d + X)^{-1}$$

(whose inverse sends $A \in \mathcal{D}_d$ to $i(I_d - A)(I_d + A)^{-1}$), see [Sie43, pp. 8-9]. We can give a formula for the resulting Hermitian metric on h_d^+ : up to a positive scalar, it is given by

$$ds^2 = \mathrm{Tr}(\mathrm{Im}(Y)^{-2} dY \mathrm{Im}(Y)^{-1} d\bar{Y})$$

(see formula (28) on page 17 of [Sie43]).

The isomorphism $h_d^+ \simeq \mathcal{D}_d$ is called a **bounded realization** of h_d^+ .

We can give a complete classification of Hermitian symmetric domains (cf. [Mil05, Theorem 1.21]), in terms of real algebraic groups:

Theorem 1.3. *Suppose that $G(\mathbb{R})$ is connected and adjoint. The locally symmetric space X is a Hermitian symmetric domain if and only if there exists a morphism of real Lie groups $u : \mathrm{U}(1) \rightarrow G(\mathbb{R})$ such that:*

- (a) *The only characters of $\mathrm{U}(1)$ that appear in its representation $\mathrm{Ad} \circ u$ on $\mathrm{Lie}(G(\mathbb{R}))$ are 1, z , and z^{-1} ;*
- (b) *Conjugation by $u(i)$ is a Cartan involution of $G(\mathbb{R})$, which means that $\{g \in G(\mathbb{C}) \mid g = u(i)\bar{g}u(i)^{-1}\}$ is compact;*
- (c) *The projection of $u(i)$ to a simple factor of $G(\mathbb{R})$ is never equal to 1.*

Moreover, we can choose u such that K_∞ is the centralizer of u in $G(\mathbb{R})$, which means that X is isomorphic to set of conjugates of u by elements of $G(\mathbb{R})$.

We explain the construction of the morphism u . Suppose that X is a Hermitian symmetric domain, and let $p \in X$. For every $z \in \mathbb{C}$ with $|z| = 1$, multiplication by z on $T_p X$ preserves the Hermitian metric and sectional curvatures, so there exists a unique isometry $u_p(z)$ of D fixing p and such that $T_p u_p(z)$ is multiplication by z . The uniqueness implies that $u_p(z)u_p(z') = u_p(zz')$ if $|z| = |z'| = 1$, so we get a morphism of groups from $\mathrm{U}(1)$ to the group of isometries of X , which is equal to $G(\mathbb{R})_{\mathrm{ad}}^0$.

⁵In fact, we have an isomorphism (with $X, Y \in \mathrm{GL}_d(\mathbb{R})$):

$$\mathrm{U}(d) \xrightarrow{\sim} K_\infty, \quad X + iY \mapsto \begin{pmatrix} X & Y \\ -Y & X \end{pmatrix}.$$

Example 1.4. (1) If $G = \mathrm{Sp}_{2d}$, let $h : \mathbb{C}^\times \rightarrow G(\mathbb{R})$ be defined by

$$h(a + ib) = \begin{pmatrix} aI_d & -bI_d \\ bI_d & aI_d \end{pmatrix}.$$

Then we can take $u : \mathrm{U}(1) \rightarrow \mathrm{PSp}_{2d}(\mathbb{R})$ given by $u(z) = h(\sqrt{z})$. Note that u does not lift to a morphism from $\mathrm{U}(1)$ into $G(\mathbb{R})$.

- (2) If $G = \mathrm{PGL}_n$ with $n \geq 3$, then the centralizer of a character $u : \mathrm{U}(1) \rightarrow G(\mathbb{R})$ cannot be a maximal compact subgroup of $G(\mathbb{R})$ (exercise), so the locally symmetric space of maximal compact subgroups of $G(\mathbb{R})$ is not Hermitian.

Theorem 1.3 puts some pretty strong restrictions on the root systems of the simple factors of $G(\mathbb{R})$, see Theorem 1.25 of [Mil05] and the table following it. In particular, the type A simple factors of $G(\mathbb{R})$ must be of the form $\mathrm{PSU}(p, q)$, and $G(\mathbb{R})$ can have no simple factor of type E_8 , F_4 or G_2 .

The natural next step would be to wonder for which Hermitian symmetric domains X the quotients $\Gamma \backslash X$ are algebraic varieties, but in fact it turns out that the answer is “for all of them”, as was proved by Baily and Borel [BB66].

Theorem 1.5 (Baily-Borel). *Suppose that $X = G(\mathbb{R})/K_\infty$ is a Hermitian symmetric domain. Then, for any torsion free arithmetic subgroup Γ of $G(\mathbb{Q})$, the quotient $\Gamma \backslash X$ has a canonical structure of algebraic variety over \mathbb{C} .*

The very rough idea is that the sheaf of automorphic forms on $\Gamma \backslash X$ of sufficiently high weight will define an embedding of $\Gamma \backslash X$ into a projective space.

Remember that we did not just want the locally symmetric spaces $\Gamma \backslash X$ to be algebraic varieties, we also wanted them to be defined over a number field, and we would ideally like the number field in question to only depend on G and K_∞ . For this, it will actually be easier to work with reductive groups instead of semi-simple groups. As a motivation for this, and for the definition of Shimura varieties, we now spend some more time on the case of the symplectic group.

1.2. The Siegel modular variety. See the end of this subsection (1.3.5) for some background on abelian schemes.

1.3. The Siegel upper half space as a moduli space of abelian varieties over \mathbb{C} .

We use the notation of Example 1.2. It is well-known that \mathfrak{h}_1^+ parametrizes elliptic curves over \mathbb{C} : an element $\tau \in \mathfrak{h}_1^+$ is sent to the elliptic curve $E_\tau = \mathbb{C}/(\mathbb{Z} + \mathbb{Z}\tau)$, and $E_\tau \simeq E_{\tau'}$ if and only if $\tau, \tau' \in \mathfrak{h}_1^+$ they are conjugated under the action of $\mathrm{SL}_2(\mathbb{Z}) = \mathrm{Sp}_2(\mathbb{Z})$; so we can recover τ from E_τ and the data of a symplectic isomorphism $H_1(E_\tau, \mathbb{Z}) \simeq \mathbb{Z}^2$ where \mathbb{Z}^2 is equipped with the standard symplectic form. We want to give a similar picture for higher-dimensional abelian varieties; in fact, the analogy works best if we consider abelian varieties with a principal polarization (Definition 1.29).

We first introduce some notation about symplectic spaces and recall the definition of the (general) symplectic group as a group scheme over \mathbb{Z} . If R is a commutative ring, we denote

by ψ_R the perfect symplectic pairing on R^{2d} with matrix $\begin{pmatrix} 0 & I_d \\ -I_d & 0 \end{pmatrix}$. So we have

$$\psi_R((x_1, \dots, x_d, y_1, \dots, y_d), (x'_1, \dots, x'_d, y'_1, \dots, y'_d)) = \sum_{i=1}^d x_i y'_i - \sum_{i=1}^d x'_i y_i.$$

The **general symplectic group** GSp_{2d} is the reductive group scheme over \mathbb{Z} whose points in a commutative ring R are given by

$$\mathrm{GSp}_{2d}(R) = \{g \in \mathrm{GL}_{2d}(R) \mid \exists c(g) \in R^\times, \forall v, v' \in R^{2d}, \psi_R(gv, gv') = c(g)\psi_R(v, v')\}.$$

The scalar $c(g)$ is called the **multiplier** of $g \in \mathrm{GSp}_{2d}(R)$. Sending g to $c(g)$ defines a morphism of group schemes $c : \mathrm{GSp}_{2d} \rightarrow \mathrm{GL}_1$, whose kernel Sp_{2d} is called the **symplectic group**.

Example 1.6. We have $\mathrm{GSp}_2 = \mathrm{GL}_2$ in which $c = \det$, and $\mathrm{Sp}_2 = \mathrm{SL}_2$.

1.3.1. Complex abelian variety. Let A be complex abelian variety of dimension d ; we identify A and its set of complex points. Then A is a connected complex Lie group of dimension d , so we have $A \simeq \mathrm{Lie}(A)/\Lambda$, with $\mathrm{Lie}(A) \simeq \mathbb{C}^d$ the universal cover of A and $\Lambda = \pi_1(A) = H_1(A, \mathbb{Z}) \simeq \mathbb{Z}^{2d}$ a lattice in the underlying \mathbb{R} -vector space. Let A^\vee be the dual abelian variety, i.e., the space of degree 0 line bundles on A (see Definition 1.27). We can identify $\mathrm{Lie}(A^\vee)$ with the space of antilinear forms on $\mathrm{Lie}(A)$ and $H_1(A^\vee, \mathbb{Z})$ with the subspace Λ^\vee of forms whose imaginary part takes integer values on Λ (see [Mum08, §9]). For every positive integer n , we have

$$A[n] = \frac{1}{n}\Lambda/\Lambda, \quad A^\vee[n] = \frac{1}{n}\Lambda^\vee/\Lambda^\vee,$$

and the canonical pairing $A[n] \times A^\vee[n] \rightarrow \mu_n(\mathbb{C})$ is given by

$$(v, u) \mapsto e^{-2i\pi n \mathrm{Im}(u(v))}$$

(see [Mum08, §24]). We then have a bijection between the set of polarizations on A and the set of positive definite Hermitian forms⁶ H on \mathbb{C}^{2d} such that the symplectic form $\mathrm{Im}(H)$ takes integer values on Λ ; given such a form H , the corresponding isogeny λ_H from A to A^\vee is given on \mathbb{C} -points by:

$$\begin{aligned} \lambda_H : \mathrm{Lie}(A)/\Lambda &\longrightarrow \mathrm{Lie}(A^\vee)/\Lambda^\vee \\ w &\longmapsto (v \mapsto H(v, w)). \end{aligned}$$

It follows that the Weil pairing (see Remark 1.30(2)) corresponding to λ_H is the map

$$\begin{aligned} A[n] \times A[n] &\longrightarrow \mu_n(\mathbb{C}) \\ (v, w) &\longmapsto e^{-2i\pi n \mathrm{Im}(H(v, w))}. \end{aligned}$$

Note that we have $v, w \in \frac{1}{n}\Lambda$, so $\mathrm{Im}(H(v, w)) \in \frac{1}{n^2}\mathbb{Z}$.

In particular, the polarization λ_H is principal if and only if Λ is self-dual with respect to the symplectic form $\mathrm{Im}(H)$, that is,

$$\Lambda = \{w \in \mathrm{Lie}(A) \mid \forall v \in \Lambda, \mathrm{Im}(H(v, w)) \in \mathbb{Z}\}.$$

In that case, the symplectic \mathbb{Z} -module $(\Lambda, \mathrm{Im}(H))$ is isomorphic to \mathbb{Z}^{2d} with the form $\psi_{\mathbb{Z}}$.

⁶We take Hermitian forms to be semi-linear in the first variable and linear in the second variable.

Let $\widetilde{\mathcal{M}}_d$ be the set of isomorphism classes of triples $(A, \lambda, \eta_{\mathbb{Z}})$, where A is a complex abelian variety of dimension d , λ is a principal polarization on A , and $\eta_{\mathbb{Z}}$ is an morphism of symplectic spaces from $H_1(A, \mathbb{Z})$ to $(\mathbb{Z}^{2d}, \psi_{\mathbb{Z}})$. We have an action of $\mathrm{Sp}_{2d}(\mathbb{Z})$ on $\widetilde{\mathcal{M}}_d$: if $c = (A, \lambda, \eta_{\mathbb{Z}}) \in \widetilde{\mathcal{M}}_d$ and $x \in \mathrm{Sp}_{2g}(\mathbb{Z})$, set $x \cdot c = (A, \lambda, x \circ \eta_{\mathbb{Z}})$.

If $(A, \lambda, \eta_{\mathbb{Z}}) \in \widetilde{\mathcal{M}}_d$, then $\Lambda = H_1(A, \mathbb{Z})$ is a lattice in the real vector space $\mathrm{Lie}(A)$, we have $A = \mathrm{Lie}(A)/\Lambda$ and we can recover the Hermitian form H_{λ} corresponding to λ from $\mathrm{Im}(H_{\lambda})|_{\Lambda}$, which is sent to the form $\psi_{\mathbb{Z}}$ on \mathbb{Z}^{2d} by the isomorphism $\eta_{\mathbb{Z}} : \Lambda \xrightarrow{\sim} \mathbb{Z}^{2d}$. If we see \mathbb{R}^{2d} as a complex vector space via the isomorphisms (of real vector spaces)

$$\mathrm{Lie}(A) \xrightarrow{\sim} \Lambda \otimes_{\mathbb{Z}} \mathbb{R} \xrightarrow{\sim} \mathbb{R}^{2d},$$

then the Hermitian form on \mathbb{R}^{2d} corresponding to H_{λ} is

$$(v, w) \longmapsto \psi_{\mathbb{R}}(iv, w) + i\psi_{\mathbb{R}}(v, w).$$

So $\eta_{\mathbb{Z}}$ determines all the data of the isomorphism class of $(A, \lambda, \eta_{\mathbb{Z}})$, except for the structure of complex vector space on \mathbb{R}^{2d} . This structure of complex vector space is equivalent to the data of an \mathbb{R} -linear endomorphism J of \mathbb{R}^{2d} such that $J^2 = -1$ (the endomorphism J corresponds to multiplication by i). We also need the \mathbb{R} -bilinear map $\mathbb{R}^{2d} \times \mathbb{R}^{2d} \rightarrow \mathbb{C}$ defined by $(v, w) \longmapsto \psi_{\mathbb{R}}(J(v), w) + i\psi_{\mathbb{R}}(v, w)$ to be a positive definite Hermitian form on \mathbb{R}^{2d} . This is equivalent to the following conditions:

- (a) $\psi_{\mathbb{R}}(J(v), J(w)) = \psi_{\mathbb{R}}(v, w)$ for all $v, w \in \mathbb{R}^{2d}$;
- (b) the \mathbb{R} -bilinear form $(v, w) \mapsto \psi_{\mathbb{R}}(J(v), w)$ on \mathbb{R}^{2d} (which is symmetric by (a)) is positive definite.

Conversely, if we have a complex structure J on \mathbb{R}^{2d} satisfying (a) and (b), then we get a positive definite Hermitian form H on \mathbb{R}^{2d} whose imaginary part takes integer values on the lattice \mathbb{Z}^{2d} , so the complex torus $\mathbb{R}^{2d}/\mathbb{Z}^{2d}$ has a polarization, hence is an abelian variety (for example by the Kodaira embedding theorem), and we get an element of $\widetilde{\mathcal{M}}_d$.

So we get a bijection from $\widetilde{\mathcal{M}}_d$ to the set X' of endomorphisms J of \mathbb{R}^{2d} such that $J^2 = -1$ and that J satisfies condition (a) and (b).

Now observe that, if W is a \mathbb{R} -vector space, then the data of an endomorphism J of W such that $J^2 = -1$ (i.e. of the structure of a \mathbb{C} -vector space on W) is equivalent to the data of a \mathbb{C} -linear endomorphism $J_{\mathbb{C}}$ of $W \otimes_{\mathbb{R}} \mathbb{C}$ such that

$$\mathrm{Ker}(J_{\mathbb{C}} - i \cdot \mathrm{id}) = \overline{\mathrm{Ker}(J_{\mathbb{C}} + i \cdot \mathrm{id})},$$

where $v \mapsto \bar{v}$ is the involution of $W \otimes_{\mathbb{R}} \mathbb{C}$ induced by complex conjugation on \mathbb{C} . This is equivalent to giving a \mathbb{C} -vector subspace E of $W \otimes_{\mathbb{R}} \mathbb{C}$ such that $W \otimes_{\mathbb{R}} \mathbb{C} = E \oplus \bar{E}$, i.e., a d -dimensional complex subspace E of $W \otimes_{\mathbb{R}} \mathbb{C}$ such that $E \cap \bar{E} = \{0\}$.⁷

⁷In fancy terms, we are saying that putting a structure of complex vector space on W is the same as putting a pure Hodge structure of type $\{(-1, 0), (0, -1)\}$ on it (or of type $\{(1, 0), (0, 1)\}$, depending on your normalization). When $W = \mathbb{R}^{2d}$ and the complex structure comes from an element $(A, \lambda, \eta_{\mathbb{Z}})$ of $\widetilde{\mathcal{M}}_d$, then this Hodge structure is the one induced by the isomorphism

$$H_1(A, \mathbb{R}) \xrightarrow{\eta_{\mathbb{Z}} \otimes \mathbb{R}} \mathbb{Z}^{2d} \otimes_{\mathbb{Z}} \mathbb{R} \xrightarrow{\sim} \mathbb{R}^{2d}.$$

We apply this to $W = \mathbb{R}^{2d}$. Let J be a complex structure on \mathbb{R}^{2d} , and let E be the corresponding \mathbb{C} -vector subspace of \mathbb{C}^{2d} . Then condition (a) on J is equivalent to the fact that:

$$(a') \quad \psi_{\mathbb{C}}(v, w) = 0 \text{ for all } v, w \in E,$$

(i.e., to the fact that E is a Lagrangian subspace⁸ of \mathbb{C}^{2d}), and condition (b) on J is equivalent to the fact that

$$(b') \quad -i\psi_{\mathbb{C}}(v, \bar{v}) \in \mathbb{R}_{>0} \text{ for all } v \in E \setminus \{0\}.$$

Note that these two conditions on a \mathbb{C} -vector subspace E of \mathbb{C}^{2d} imply that $E \cap \bar{E} = \{0\}$. So we get a bijection from X' to the set of Lagrangian subspaces E of $V_{\mathbb{C}}$ satisfying (b').

If we represent Lagrangian subspaces of \mathbb{C}^{2d} by their bases, seen as complex matrices of size $d \times 2d$, then the action of $\mathrm{Sp}_{2d}(\mathbb{R})$ is just left multiplication. For example, the subspace E_0 corresponding to $J_d \in X'$ is the one with basis $\begin{pmatrix} iI_d \\ I_d \end{pmatrix}$.

More generally, if $Y \in \mathfrak{h}_d^+$, the subspace of \mathbb{C}^{2d} with basis $\begin{pmatrix} Y \\ I_d \end{pmatrix}$ is a Lagrangian subspace satisfying condition (b'), and every such Lagrangian subspace is of that form. So we get bijections

$$\widetilde{\mathcal{M}}_d \simeq X' \simeq \mathfrak{h}_d^+,$$

and we can check that the second bijection is $\mathrm{Sp}_{2d}(\mathbb{R})$ -equivariant. Unraveling the definitions, we see that $Y \in \mathfrak{h}_d^+$ corresponds to the element $(A_Y, \lambda_Y, \eta_{\mathbb{Z}, Y})$ of $\widetilde{\mathcal{M}}_d$ such that $A_Y = \mathbb{C}^d / (\mathbb{Z}^d + Y\mathbb{Z}^d)$, λ_Y is the principal polarization given by the Hermitian form with matrix $\mathrm{Im}(Y)^{-1}$ on \mathbb{C}^d , and $\eta_{\mathbb{Z}, Y} : \mathbb{Z}^d + Y\mathbb{Z}^d \xrightarrow{\sim} \mathbb{Z}^{2d}$ is the isomorphism sending $a \in \mathbb{Z}^d$ to $(a, 0) \in \mathbb{Z}^d \times \mathbb{Z}^d = \mathbb{Z}^{2d}$ and $Ya \in Y\mathbb{Z}^d$ to $(0, a) \in \mathbb{Z}^d \times \mathbb{Z}^d = \mathbb{Z}^{2d}$.

Now we want an interpretation of the quotients $\Gamma \backslash \mathfrak{h}_d^+$, for Γ an arithmetic subgroup of $\mathrm{Sp}_{2d}(\mathbb{Q})$. We will do this for the groups $\Gamma(n) = \mathrm{Ker}(\mathrm{Sp}_{2d}(\mathbb{Z}) \rightarrow \mathrm{Sp}_{2d}(\mathbb{Z}/n\mathbb{Z}))$, where n is a positive integer (and $\Gamma(n)$ is called the **principal congruence subgroup** at level n). Note that any arithmetic group contains $\Gamma(n)$ for n divisible enough.

We will need the notion of a level structure; we give the general definition here.

Definition 1.7. Let S be a scheme, (A, λ) be a principally polarized abelian scheme of relative dimension d over S , and n be a positive integer. Then a **level n structure** on (A, λ) is a couple (η, φ) , where

$$\eta : A[n] \xrightarrow{\sim} \underline{\mathbb{Z}/n\mathbb{Z}}_S^{2g}, \quad \varphi : \underline{\mathbb{Z}/n\mathbb{Z}}_S \xrightarrow{\sim} \mu_{n,S}$$

are isomorphisms of group schemes such that $\varphi \circ \psi_{\mathbb{Z}/n\mathbb{Z}} \circ \eta$ is the Weil pairing associated to λ on $A[n]$.

Remark 1.8. A level n structure on (A, λ) can only exist if n is invertible on S and $\mu_{n,S}$ is a constant group scheme.

Note that isomorphisms $\varphi : \underline{\mathbb{Z}/n\mathbb{Z}}_S \xrightarrow{\sim} \mu_{n,S}$ correspond to sections $\zeta \in \mu_n(S)$ generating $\mu_{n,S}$ (i.e. to primitive n th roots of 1 over S), by sending φ to $\zeta = \varphi(1)$. So we will also see level structures as couples (η, ζ) , with $\zeta \in \mu_n(S)$ primitive.

⁸By definition, a maximal isotropic subspace.

Let $\zeta_n = e^{-2i\pi/n} \in \mu_n(\mathbb{C})$. If $Y \in \mathfrak{h}_d^+$, then $\frac{1}{n}\eta_{\mathbb{Z},Y}$ defines an isomorphism of groups $\eta_Y : A_Y[n] \xrightarrow{\sim} (\mathbb{Z}/n\mathbb{Z})^{2d}$, and it follows from formula

$$A[n] \times A[n] \rightarrow \mu_n(\mathbb{C}), \quad (v, w) \mapsto e^{-2i\pi n \operatorname{Im}(H(v,w))}$$

that (η, ζ_n) is a level n structure on (A_Y, η_Y) .

Using the fact that $\operatorname{Sp}_{2d}(\mathbb{Z}) \rightarrow \operatorname{Sp}_{2d}(\mathbb{Z}/n\mathbb{Z})$ is surjective for every $n \in \mathbb{N}$, which follows from strong approximation for Sp_{2d} ,⁹ we finally get:

Proposition 1.9. *Let n be a positive integer. The map $Y \mapsto (A_Y, \lambda_Y, \eta_Y)$ induces a bijection from $\Gamma(n) \backslash \mathfrak{h}_d^+$ to the set of isomorphism classes of triples (A, λ, η) , where (A, λ) is a principally polarized complex abelian variety of dimension d and $\eta : A[n] \xrightarrow{\sim} (\mathbb{Z}/n\mathbb{Z})^{2d}$ is an isomorphism of groups such that (η, ζ_n) is a level n structure on (A, λ) .*

Now there is an obvious way to make $\Gamma(n) \backslash \mathfrak{h}_d^+$ into an algebraic variety.

1.3.2. *The connected Siegel modular variety.* Let $\mathcal{O}_n = \mathbb{Z}[1/n][T]/(T^n - 1)$. If S is a scheme over \mathcal{O}_n , we denote by $\varphi_0 : \underline{\mathbb{Z}/n\mathbb{Z}}_S \xrightarrow{\sim} \mu_{n,S}$ the isomorphism sending 1 to the class of T .

Definition 1.10. Let $\mathcal{M}'_{d,n}$ be the functor from the category of \mathcal{O}_n -schemes to the category of sets sending S to the set of isomorphism classes of triples (A, λ, η) , where (A, η) is a principally polarized abelian scheme of relative dimension d over S and $\eta : A[n] \xrightarrow{\sim} \underline{\mathbb{Z}/n\mathbb{Z}}_S^{2g}$ is an isomorphism of group schemes such that (η, φ_0) is a level n structure on (A, λ) .

An isomorphism from (A, λ, η) to (A', λ', η') is an isomorphism of abelian varieties $u : A \xrightarrow{\sim} A'$ such that $\lambda' \circ u = u^\vee \circ \lambda$ and $\eta' = \eta \circ (u, u)$.

Theorem 1.11 (Mumford, cf. [FC90]). *Suppose that $n \geq 3$. Then the functor $\mathcal{M}'_{d,n}$ is representable by a smooth quasi-projective \mathcal{O}_n -scheme purely of dimension $d(d+1)/2$ and with connected geometric fibers, which we still denote by $\mathcal{M}'_{d,n}$ and call the **connected Siegel modular variety** of level n .*

Remark 1.12. If $n \in \{1, 2\}$, then triples (A, λ, η) as in Definition 1.10 may have automorphisms, so we should see $\mathcal{M}'_{d,n}$ as a stack. This stack will then be representable by a smooth Deligne-Mumford stack over \mathcal{O}_n that is a finite étale quotient of the scheme $\mathcal{M}'_{d,3n}$.

We can now reformulate Proposition 1.9 in the following way.

Proposition 1.13. *Let $n \geq 3$ be an integer. Then the map $Y \mapsto (A_Y, \lambda_Y, \eta_Y)$ induces an isomorphism of complex manifolds from $\Gamma(n) \backslash \mathfrak{h}_d^+$ to $\mathcal{M}'_{d,n}(\mathbb{C})$.*

The fact that this is an isomorphism of complex manifolds is clear on the explicit formula for the bijection $\Gamma(n) \backslash \mathfrak{h}_d^+ \rightarrow \mathcal{M}'_{d,n}(\mathbb{C})$.

In particular, we showed that $\Gamma(n) \backslash \mathfrak{h}_d^+$ is the set of complex points of an algebraic variety defined over the number field $\mathbb{Q}(\zeta_n)$. Unfortunately, this number field depends on the level n . The issue is that we need a fixed primitive n th root of 1 in order to define the moduli problem $\mathcal{M}'_{d,n}$, so we need to be over a basis where such a primitive n th root exists. To fix this problem, we will allow the primitive n th root of 1 to vary.

⁹See [Pla69] and [Pla70].

1.3.3. The Siegel modular variety.

Definition 1.14. Let n be a positive integer. The **Siegel modular variety** $\mathcal{M}_{d,n}$ is the functor from the category of $\mathbb{Z}/n\mathbb{Z}$ -schemes to the category of sets sending a scheme S to the set of isomorphism classes of triples $(A, \lambda, \eta, \varphi)$, where (A, λ) is a principally polarized abelian scheme of relative dimension d over S and (η, φ) is a level n structure on (A, λ) .

An isomorphism from (A, λ, η) to (A', λ', η') is an isomorphism of abelian varieties $u : A \xrightarrow{\sim} A'$ such that $\lambda' \circ u = u^\vee \circ \lambda$ and $\eta' = \eta \circ (u, u)$.

The group $\mathrm{GSp}_{2d}(\widehat{\mathbb{Z}})$ acts on $\mathcal{M}_{d,n}$: if $g \in \mathrm{GSp}_{2d}(\widehat{\mathbb{Z}})$ and $(A, \lambda, \eta, \varphi) \in \mathcal{M}_{d,n}(S)$, then

$$g \cdot (A, \lambda, \eta, \varphi) = (A, \lambda, g \circ \eta, c(g)^{-1} \varphi).$$

The kernel of this action is the group

$$K(n) = \mathrm{Ker}(\mathrm{GSp}_{2d}(\widehat{\mathbb{Z}}) \rightarrow \mathrm{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z})).$$

If n divides m , then we have a morphism $\mathcal{M}_{d,m} \rightarrow \mathcal{M}_{d,n}$ that forgets part of the level m structure; this morphism is (representable) finite étale, and in fact it is a torsor under the finite group $K(n)/K(m)$.

We have the following variant of Theorem 1.11.

Theorem 1.15 (Mumford, cf. [FC90]). *Suppose that $n \geq 3$. Then the functor $\mathcal{M}_{d,n}$ is representable by a smooth quasi-projective \mathcal{O}_n -scheme purely of dimension $d(d+1)/2$, which we will denote by $\mathcal{M}_{d,n}$ and call the **Siegel modular variety** of level n .*

Remark 1.16. Let $K(n) = \mathrm{Ker}(\mathrm{GSp}_{2d}(\widehat{\mathbb{Z}}) \rightarrow \mathrm{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z}))$. Then $\mathcal{M}_{d,n}$ is the Shimura variety for GSp_{2d} with level $K(n)$, or rather its integral model. If K is an open compact subgroup of $\mathrm{GSp}_{2d}(\mathbb{A}_f)$ that is small enough,¹⁰ then we can also define the Shimura variety $\mathcal{M}_{d,K,\mathbb{Q}}$ with level K : choose n such that $K(n) \subset K$. Then $K(n)$ is a normal subgroup of K , so the group $K/K(n) \subset \mathrm{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z})$ acts on $\mathcal{M}_{d,K,\mathbb{Q}}$, and we set $\mathcal{M}_{d,K,\mathbb{Q}} = \mathcal{M}_{d,n,\mathbb{Q}}/(K/K(n))$. It is easy to check that this does not depend on the choice of n .

In fact, for K an open compact subgroup of $\mathrm{GSp}_{2d}(\mathbb{A}_f)$, we have a direct definition of a level K structure on a principally polarized abelian scheme (see Section 5 of [Kot92b]). For K small enough, the scheme $\mathcal{M}_{d,K,\mathbb{Q}}$ is the moduli space of a principally polarized abelian schemes with level K structure. In general, this moduli space is representable by a Deligne-Mumford stack. We can also define this moduli schemes over a localization of \mathbb{Z} , but the primes that we invert depend on K ; see the discussion in Subsubsection 2.1.4.

Let us explain the relationship between $\mathcal{M}_{d,n}$ and $\mathcal{M}'_{d,n}$. We define a map

$$s : (\mathbb{Z}/n\mathbb{Z})^\times \longrightarrow \mathrm{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z}), \quad s(\alpha) = \begin{pmatrix} 0 & \alpha I_d \\ I_d & 0 \end{pmatrix};$$

note that s is a section of the multiplier $c : \mathrm{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z}) \rightarrow (\mathbb{Z}/n\mathbb{Z})^\times$, and that it is not a morphism of groups.

Proposition 1.17. *The morphism*

¹⁰For example, $K \subset K(n)$ with $n \geq 3$.

$$\begin{aligned} \mathcal{M}'_{d,n} \times (\mathbb{Z}/n\mathbb{Z})^\times &\longrightarrow \mathcal{M}_{d,n,\mathcal{O}_n} \\ ((A, \lambda, \eta), \alpha) &\longmapsto (A, \lambda, s(\alpha) \circ \eta, \varphi_0 \circ \alpha), \end{aligned}$$

where we see α as an automorphism of $\underline{\mathbb{Z}/n\mathbb{Z}}_S$ for any scheme S , is an isomorphism.

As a corollary, we get a description of the complex points of $\mathcal{M}_{d,n}$. Let $\mathfrak{h}_d = \mathfrak{h}_d^+ \cup (-\mathfrak{h}_d^+)$ be the set of symmetric matrices $Y \in M_d(\mathbb{C})$ such that $\text{Im}(Y)$ is positive definite or negative definite. The action of $\text{Sp}_{2d}(\mathbb{R})$ on \mathfrak{h}_d extends to a transitive action of $\text{GSp}_{2d}(\mathbb{R})$, given by the same formula. The stabilizer of $iI_d \in \mathfrak{h}_d$ in $\text{GSp}_{2d}(\mathbb{R})$ is $\mathbb{R}_{>0}K_\infty$, so $\mathfrak{h}_d \simeq \text{GSp}_{2d}(\mathbb{R})/\mathbb{R}_{>0}K_\infty$ as real analytic manifolds.

Corollary 1.18. *We have an isomorphism of complex manifolds*

$$\mathcal{M}_{d,n}(\mathbb{C}) \simeq \text{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)/K(n))$$

extending the isomorphism of Proposition 1.9, where $K(n) = \text{Ker}(\text{GSp}_{2d}(\widehat{\mathbb{Z}}) \rightarrow \text{GSp}_{2d}(\mathbb{Z}/n\mathbb{Z}))$ and $\text{GSp}_{2d}(\mathbb{Q})$ acts diagonally on $\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)$.

This follows from the fact that

$$\text{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)/K(n)) \simeq \text{GSp}_{2d}(\mathbb{Q})^+ \backslash (\mathfrak{h}_d^+ \times \text{GSp}_{2d}(\mathbb{A}_f)/K(n)),$$

where $\text{GSp}_{2d}(\mathbb{Q})^+ = \{g \in \text{GSp}_{2d}(\mathbb{Q}) \mid c(g) > 0\}$, and from strong approximation for Sp_{2d} ,¹¹ which implies that c induces a bijection

$$\text{GSp}_{2d}(\mathbb{Q})^+ \backslash \text{GSp}_{2d}(\mathbb{A}_f)/K(n) \xrightarrow{\sim} \mathbb{Q}_{>0} \backslash \mathbb{A}_f^\times / c(K(n)) \simeq \widehat{\mathbb{Z}}^\times (1 + n\widehat{\mathbb{Z}}) \simeq (\mathbb{Z}/n\mathbb{Z})^\times.$$

For every $i \in (\mathbb{Z}/n\mathbb{Z})^\times$, we choose $x_i \in \text{GSp}_{2d}(\mathbb{A}_f)$ lifting i and we set

$$\Gamma(n)_i = \text{GSp}_{2d}(\mathbb{Q})^+ \cap x_i K(n) x_i^{-1} = \text{Sp}_{2d}(\mathbb{Q}) \cap x_i K(n) x_i^{-1}.$$

Then the $\Gamma(n)_i$ are arithmetic subgroups of $\text{Sp}_{2d}(\mathbb{Q})$, and we have

$$\text{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)/K(n)) \simeq \coprod_{i \in (\mathbb{Z}/n\mathbb{Z})^\times} \Gamma(n)_i \backslash \mathfrak{h}_d^+$$

as complex manifolds.

In fact, for $i \in (\mathbb{Z}/n\mathbb{Z})^\times$, we are supposed to take $x_i = \begin{pmatrix} 0 & a_i I_d \\ I_d & 0 \end{pmatrix}$ with $a_i \in \widehat{\mathbb{Z}}^\times$ lifting i . In particular, we have $x_i \in \text{GSp}_{2d}(\widehat{\mathbb{Z}})$; as $K(n)$ is a normal subgroup of $\text{GSp}_{2d}(\widehat{\mathbb{Z}})$, we get $x_i K(n) x_i^{-1} = K(n)$, hence $\Gamma(n)_i = \Gamma(n)$, and finally

$$\text{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)/K(n)) \simeq \coprod_{i \in (\mathbb{Z}/n\mathbb{Z})^\times} \Gamma(n)_i \backslash \mathfrak{h}_d^+.$$

Remark 1.19. If K is a small enough open compact subgroup of $\text{GSp}_{2d}(\mathbb{A}_f)$, then we get an isomorphism of complex manifolds:

$$\mathcal{M}_{d,K}(\mathbb{C}) \simeq \text{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \text{GSp}_{2d}(\mathbb{A}_f)/K).$$

¹¹See [Pla69] and [Pla70].

1.3.4. *Hecke correspondence.* We can also descend the Hecke correspondences before to morphisms of schemes over $\mathbb{Z}[1/n]$.

We proceed as in Section 3 of [Lau05]. Let $g \in \mathrm{GSp}_{2d}(\mathbb{A}_f)$, and let K, K' be small enough open compact subgroups of $\mathrm{GSp}_{2d}(\mathbb{A}_f)$ such that $K' \subset K \cap gKg^{-1}$. We want to define finite étale morphisms $T_1, T_g : \mathcal{M}_{d,K'} \rightarrow \mathcal{M}_{d,K}$, and the Hecke correspondence associated to (g, K, K') is the couple (T_1, T_g) .

Choose $n \geq 3$ such that $K(n) \subset K'$; then $\mathcal{M}_{d,K'} = \mathcal{M}_{d,n}/(K'/K(n))$ and $\mathcal{M}_{d,K} = \mathcal{M}_{d,n}/(K/K(n))$. The morphism T_1 just forgets part of the level structure: as $K'/K(n) \rightarrow K/K(n)$, we have an obvious morphism $T_1 : \mathcal{M}_{d,K'} \rightarrow \mathcal{M}_{d,K}$.

To define T_g , we first consider the following special case: if $g \in \mathrm{GL}_{2d}(\widehat{\mathbb{Z}}) \cap \mathrm{GSp}_{2d}(\mathbb{A}_f)$, let $x = (A, \lambda, \eta, \varphi) \in \mathcal{M}_{d,n}(S)$. Let u be the endomorphism of $\mathbb{Z}/n\mathbb{Z}^{2d}$ with matrix g . Then T_g sends the class of x in $\mathcal{M}_{d,K'}(S)$ to the class of $(A', \lambda', \eta', \varphi) \in \mathcal{M}_{d,n}(S)$, where A' is the quotient of A by the finite flat subgroup scheme $\eta^{-1}(\mathrm{Ker} u)$ of $A[n]$ and λ', η' are the morphisms deduced from $\lambda, g \circ \eta$.

Note that, if $g = aI_{2d}$ with $a \in \widehat{\mathbb{Z}} \cap \mathbb{A}_f^\times$ and $K' = K$, then the morphisms $T_g : \mathcal{M}_{d,K} \rightarrow \mathcal{M}_{d,K}$ is an isomorphism.

Finally, for a general $g \in \mathrm{GSp}_{2d}(\mathbb{A}_f)$, we write $g = a^{-1}g_0$ with $a \in (\widehat{\mathbb{Z}} \cap \mathbb{A}_f^\times)I_{2d}$ and $g_0 \in \mathrm{GL}_{2d}(\widehat{\mathbb{Z}}) \cap \mathrm{GSp}_{2d}(\mathbb{A}_f)$, and we set $T_g = T_{g_0} \circ T_a^{-1}$.

Remark 1.20. If we use instead the general definition of a level K structure from Section 5 of [Kot92b], then it becomes much easier to define the Hecke correspondences; see Section 6 *ibid.*.

Remark 1.21. We have two ways to think of $\mathcal{M}_{d,n}(\mathbb{C})$: as an adelic double quotient or as finite disjoint union of spaces $\Gamma(n) \backslash \mathfrak{h}_d^+$, which are locally symmetric spaces associated to the semi-simple group Sp_{2d} . The first description is more convenient to see the action of adelic Hecke operators, and the second description is a bit more concrete and has simpler combinatorics. Note also that the complex manifold $\Gamma(n) \backslash \mathfrak{h}_d^+$ is isomorphic to the set of \mathbb{C} -points of the algebraic variety $\mathcal{M}'_{d,n}$, but this algebraic variety is defined over the field $\mathbb{Q}[T]/(T^n - 1)$, which depends on n . On the other hand, the adelic double quotient $\mathrm{GSp}_{2d}(\mathbb{Q}) \backslash (\mathfrak{h}_d \times \mathrm{GSp}_{2d}(\mathbb{A}_f)) / K(n)$ is isomorphic to the set of \mathbb{C} -points of the algebraic variety $\mathcal{M}_{d,n}$, which is defined over \mathbb{Q} . So if we want to consider Shimura varieties as a projective system of algebraic varieties over a number field, then it makes sense to use the adelic double quotients, because they are all defined on the same field.

1.3.5. *Background on abelian schemes.* Let S be a scheme. We denote by Sch/S the category of S -schemes.

Definition 1.22. (1) An **abelian scheme** over S is an S -group scheme $A \rightarrow S$ which is smooth and proper with geometrically connected fibers. If S is the spectrum of a field k , an abelian scheme over S is also called an **abelian variety** over k .
 (2) A **morphism of abelian schemes** over S is a morphism of S -group schemes between abelian schemes over S .

Proposition 1.23. *Let A be an abelian scheme over S . Then*

- (1) *The S -group scheme $A \rightarrow S$ is commutative;*

- (2) *The morphism $A \rightarrow S$ has connected fibers.*

Definition 1.24. Let A be an abelian scheme over S , and let $e : S \rightarrow A$ be its zero section. We consider the following two functors from $(\text{Sch}/S)^{\text{op}}$ to the category of sets:

- (a) The functor $\text{Pic}_{A/S,e}$ sending an S -scheme $T \rightarrow S$ to the set of isomorphism classes of couples (\mathcal{L}, φ) , where \mathcal{L} is an invertible sheaf on $A \times_S T$, $e_T = e \times_S T : T \rightarrow A \times_S T$, and $\varphi : \mathcal{O}_T \xrightarrow{\sim} e_T^* \mathcal{L}$ is an isomorphism. An isomorphism from (\mathcal{L}, φ) to (\mathcal{L}', φ') is an isomorphism of \mathcal{O}_T -modules $\alpha : \mathcal{L} \xrightarrow{\sim} \mathcal{L}'$ such that $(e_T^* \alpha) \circ \varphi = \varphi'$;
- (b) The subfunctor $\text{Pic}_{A/S,e}^0$ of $\text{Pic}_{A/S,e}$ sending an S -scheme $T \rightarrow S$ to the set of isomorphism classes of couples (\mathcal{L}, φ) as in (a) such that, for every point t of T , every smooth projective curve C over the residue field $\kappa(t)$ of t , and every morphism of $\kappa(t)$ -schemes $f : C \rightarrow A \times_S t$, the line bundle $f^*(\mathcal{L}|_{A \times_S t})$ is of degree 0 on C .

Remark 1.25. (1) The functor $\text{Pic}_{A/S,e}$ can be made into a functor into the category of abelian groups: if T is an S -scheme and $(\mathcal{L}, \varphi), (\mathcal{L}', \varphi')$ represent elements of $\text{Pic}_{A/S,e}(T)$, their product is represented by $(\mathcal{L} \otimes_{\mathcal{O}_T} \mathcal{L}', \varphi \otimes \varphi')$, where $\varphi \otimes \varphi'$ is the isomorphism

$$\mathcal{O}_T = \mathcal{O}_T \otimes_{\mathcal{O}_T} \mathcal{O}_T \xrightarrow[\varphi \otimes \varphi']{\sim} (e_T^* \mathcal{L}) \otimes_{\mathcal{O}_T} (e_T^* \mathcal{L}') = e_T^*(\mathcal{L} \otimes_{\mathcal{O}_T} \mathcal{L}').$$

Moreover, for every S -scheme T , the set $\text{Pic}_{A/S,e}^0(T)$ is a subgroup of $\text{Pic}_{A/S,e}(T)$.

- (2) If $X \rightarrow S$ is a scheme over S , then the relative Picard functor on Sch/S is the fppf sheafification of the functor $T \mapsto \text{Pic}(X \times_S T)$ (where, for Y a scheme, we denote by $\text{Pic}(Y)$ the set of isomorphism classes of line bundles on Y , that is an abelian group for the tensor product); see [Aut, Situation 0D25]. We can also define a subfunctor $\text{Pic}_{X/S}^0$ of $\text{Pic}_{X/S}$ as in Definition 1.24. By [Aut, Lemma 0D28], if A is an abelian scheme over S , then there is an isomorphism of functors in abelian groups $\text{Pic}_{A/S} \xrightarrow{\sim} \text{Pic}_{A/S,e}$, inducing an isomorphism $\text{Pic}_{A/S}^0 \xrightarrow{\sim} \text{Pic}_{A/S,e}^0$.
- (3) We can upgrade $A \mapsto \text{Pic}_{A/S,e}$ and $A \mapsto \text{Pic}_{A/S,e}^0$ to contravariant functors in A : if $f : A \rightarrow B$ is a morphism of abelian schemes over S , then it induces a natural transformation $f^* : \text{Pic}_{B/S,e} \rightarrow \text{Pic}_{A/S,e}$ sending (\mathcal{L}, φ) to $(f^*(\mathcal{L}), f^*(\varphi))$, and f^* sends $\text{Pic}_{B/S,e}^0$ to $\text{Pic}_{A/S,e}^0$.

Theorem 1.26. *Let A be an abelian scheme over S . Then $\text{Pic}_{A/S,e}^0$ is representable by an abelian scheme over S .*

Proof. We know that $\text{Pic}_{A/S,e}^0$ is representable by an algebraic space by a result of M. Artin (see [Art69] or [Aut, Lemma 0D2C]). We can check on the moduli problem that this algebraic space is proper and smooth, and its fibers over points of S are abelian varieties by the classical theory of the dual abelian variety (see sections II.8 and III.13 of Mumford's book [Mum08]). It remains to prove that the algebraic space representing $\text{Pic}_{A/S,e}^0$ is a scheme; this is due to Raynaud, and a proof is given in [FC90, Theorem 1.9]. \square

Definition 1.27. Let A be an abelian scheme over S . The abelian scheme over S representing $\text{Pic}_{A/S,e}^0$ is called the **dual abelian scheme** of A and denoted by A^\vee . In particular, we get a couple $(\mathcal{P}_A, \varphi_A)$ representing the element of $\text{Pic}_{A/S,e}^0(A^\vee)$ corresponding to id_{A^\vee} , with \mathcal{P}_A a line bundle on $A \times_S A^\vee$, called the **Poincaré line bundle**.

If $f : A \rightarrow B$ is a morphism of abelian schemes over S , we denote by $f^\vee : B^\vee \rightarrow A^\vee$ the morphism corresponding to the natural transformation $f^* : \text{Pic}_{B/S,e}^0 \rightarrow \text{Pic}_{A/S,e}^0$ of Remark 1.25.

Remark 1.28. Let $e : S \rightarrow A^\vee$ be the unit section. Then the pullback of \mathcal{P}_A by $A \times_S A$ $e : A = A \times_S A \rightarrow A \times_S A^\vee$ is the line bundle on A corresponding to the element e of $A^\vee(S) = \text{Pic}_{A/S,e}^0(S)$; in other words, it is isomorphic to the trivial line bundle \mathcal{O}_A . So \mathcal{P}_A defines an element of $\text{Pic}_{A/S,e}^0(A)$, that is, a morphism of S -schemes $A \rightarrow A^{\vee\vee}$, called the **biduality morphism**. The **biduality theorem** says that the biduality morphism is an isomorphism. For S the spectrum of a field, this is proved in Section III.13 of [Mum08], and the general case reduces to this by looking at the fibers of points of S .

Let A be an abelian scheme over S and let \mathcal{L} be a line bundle on A . We denote by $\mu, p_1, p_2, \varepsilon : A \times_S A \rightarrow A$ the addition morphism, the first projection, the second projection and the zero morphism respectively. Then the line bundle $(\mu^*\mathcal{L}) \otimes (p_1^*\mathcal{L}^{\otimes -1}) \otimes (p_2^*\mathcal{L}^{\otimes -1}) \otimes (\varepsilon^*\mathcal{L})$ on $A \times_S A$ is trivial when restricted to $S \times_S A$ via the zero section of A , hence it defines an element of $\text{Pic}_{A/S,e}^0(A)$, corresponding to a morphism of S -schemes $\lambda(\mathcal{L}) : A \rightarrow A^\vee$. Moreover, the theorem of the cube (see for example Section III.10 of [Mum08]).

Definition 1.29. Let A be an abelian scheme over S . A **polarization** on A is a morphism of abelian schemes $\lambda : A \rightarrow A^\vee$ such that, for every algebraically closed field k and every morphism $\text{Spec } k \rightarrow S$, the morphism $\lambda \times_S \text{Spec } k : A \times_S \text{Spec } k \rightarrow A^\vee \times_S \text{Spec } k = (A \times_S \text{Spec } k)^\vee$ is of the form $\lambda(\mathcal{L})$, for \mathcal{L} an ample line bundle on $A \times_S \text{Spec } k$. We say that a polarization is **principal** if it is an isomorphism.

A **principally polarized abelian scheme** over S is a pair (A, λ) , where A is an abelian scheme over S and λ is a principal polarization on A .

Remark 1.30. (1) A polarization on A is always an isogeny, i.e. finite and faithfully flat.
 (2) Let λ be a polarization on A , and let n be a positive integer. Then, composing $\lambda : A[n] \rightarrow A^\vee[n]$ with the canonical pairing $A[n] \times A^\vee[n] \rightarrow \mu_{n,S}$, we get a pairing $A[n] \times A[n] \rightarrow \mu_{n,S}$, called the **Weil pairing** associated to λ . If λ is principal, this is a perfect pairing.

1.4. Shimura varieties over \mathbb{C} . Remember the upshot of Subsection 1.2: if we want algebraic varieties that are all defined over the same number field, and Hecke correspondences that are also defined on this number field, it is better to work with adelic double quotient for a reductive group such as GSp_{2d} rather than with locally symmetric spaces for a semi-simple group such as Sp_{2d} . This (and Theorem 1.3) motivates the definition of Shimura data, due to Deligne in [Del71].

1.4.1. The Serre torus. Let \mathbb{S} be \mathbb{C}^\times seen as an algebraic group over \mathbb{R} ; this is called the **Serre torus**. In other words, the group \mathbb{S} is the Weil restriction of scalars from \mathbb{C} to \mathbb{R} of GL_1 , so that $\mathbb{S}(R) = (R \otimes_{\mathbb{R}} \mathbb{C})^\times$ for every \mathbb{R} -algebra R . We denote by w the injective morphism $\text{GL}_{1,\mathbb{R}} \rightarrow \mathbb{S}$ corresponding to the inclusion $\mathbb{R}^\times \subset \mathbb{C}^\times$.

We have $\mathbb{S}(\mathbb{C}) = (\mathbb{C} \otimes_{\mathbb{R}} \mathbb{C})^\times \xrightarrow{\sim} \mathbb{C}^\times \times \mathbb{C}^\times$, where the isomorphism sends $a \otimes 1 + b \otimes i$ to $(a + ib, a - ib)$. So the abelian group $\text{Hom}(\mathbb{S}_{\mathbb{C}}, \text{GL}_{1,\mathbb{C}})$ of characters of \mathbb{S} is free of rank 2 and generated by the characters z and \bar{z} corresponding to the two projections of $\mathbb{C}^\times \times \mathbb{C}^\times$ on

\mathbb{C}^\times . We denote by $r : \mathrm{GL}_{1,\mathbb{C}} \rightarrow \mathbb{S}_{\mathbb{C}}$ the injective morphism corresponding to the injection of the first factor in $\mathbb{C}^\times \times \mathbb{C}^\times$.

If V is a real vector space and $\rho : \mathbb{S} \rightarrow \mathrm{GL}(V)$ is a morphism of algebraic groups (i.e. a representation of \mathbb{S} on V), then we have $V_{\mathbb{C}} := V \otimes_{\mathbb{R}} \mathbb{C} = \bigoplus_{p,q \in \mathbb{Z}} V^{p,q}$, where $V^{p,q}$ is the subspace of $V_{\mathbb{C}}$ on which $\mathbb{S}_{\mathbb{C}}$ acts by the character $z^{-p}\bar{z}^{-q}$; moreover, as ρ is defined over \mathbb{R} , we have $\overline{V^{p,q}} = V^{q,p}$ for all $p, q \in \mathbb{Z}$. Let $m \in \mathbb{Z}$. We say that ρ is **of weight** m if $\rho \circ r : \mathrm{GL}_1 \rightarrow \mathrm{GL}(V)$ is equal to $x \mapsto x^m \mathrm{id}_V$.

Remark 1.31. If $\rho : \mathbb{S} \rightarrow \mathrm{GL}(V)$ is of weight m , we have $V^{p,q} = 0$ unless $p + q = m$, so the decomposition $V_{\mathbb{C}} = \bigoplus_{p,q} V^{p,q}$ is a pure Hodge structure of weight m on V . In fact, representations of weight m of \mathbb{S} on V are in bijection with pure Hodge structures of weight m on V .

1.4.2. Shimura data.

Definition 1.32. A **Shimura datum** is a couple (G, h) , where G is a connected reductive algebraic group over \mathbb{Q} and $h : \mathbb{S} \rightarrow G_{\mathbb{R}}$ is a morphism of real algebraic groups such that:

- (a) The image of $h \circ w : \mathrm{GL}_{1,\mathbb{R}} \rightarrow G_{\mathbb{R}}$ is central;
- (b) If $\mathfrak{g} = \mathrm{Lie}(G_{\mathbb{R}})$ and $\mathfrak{g}_{\mathbb{C}} = \bigoplus_{p,q \in \mathbb{Z}} \mathfrak{g}^{p,q}$ is the decomposition induced by the representation $\mathrm{Ad} \circ h : \mathbb{S} \rightarrow \mathrm{GL}(\mathfrak{g})$, then we have $\mathfrak{g}^{p,q} = 0$ unless $(p, q) \in \{(-1, 1), (0, 0), (1, -1)\}$;
- (c) Conjugation by $h(i)$ induces a Cartan involution of $G_{\mathrm{der}}(\mathbb{R})$ (see Theorem 1.3);
- (d) G_{der} has no normal subgroup (defined over \mathbb{Q}) whose group of \mathbb{R} -points is compact.¹²

Let (G, h) be a Shimura datum. We denote by K_{∞} the centralizer of h in $G(\mathbb{R})$ and by X the set of $G(\mathbb{R})$ -conjugates of h . Then K_{∞} contains the center of $G(\mathbb{R})$, and $K_{\infty} \cap G_{\mathrm{der}}(\mathbb{R})^0$ is equal to the centralizer of $h_0(i)$ in $G_{\mathrm{der}}(\mathbb{R})^0$, hence is a maximal compact subgroup of $G_{\mathrm{der}}(\mathbb{R})^0$ by condition (c). We have $X \simeq G(\mathbb{R})/K_{\infty}$, and Theorem 1.3 implies that there is a $G(\mathbb{R})$ -invariant complex structure on X such that the connected components of X are Hermitian symmetric domains.

Example 1.33. Take $G = \mathrm{GSp}_{2d}$. Up to conjugation, there exists a unique morphism $h : \mathbb{S} \rightarrow \mathrm{GSp}_{2d}$ satisfying conditions (a)–(c) of Definition 1.32 and such that $h \circ w = xI_{2d}$ for every $x \in \mathbb{R}^\times$. An element of that class is given by

$$h(a + ib) = \begin{pmatrix} aI_d & -bI_d \\ bI_d & aI_d \end{pmatrix}.$$

For this h , we have $K_{\infty} = \mathrm{GSp}_{2d}(\mathbb{R}) \cap \mathrm{GO}(2d)$, and we can check that the map $\mathrm{GU}(d) \rightarrow K_{\infty}$ sending $X + iY \in \mathrm{GU}(d)$ (with $X, Y \in M_d(\mathbb{R})$) to $\begin{pmatrix} X & Y \\ -Y & X \end{pmatrix}$ is an isomorphism of Lie groups. So $K_{\infty} = \mathbb{R}_{>0} K'_{\infty}$, where $K_{\infty} = \mathrm{Sp}_{2d}(\mathbb{R}) \cap \mathrm{O}(d)$ is the maximal compact subgroup of $\mathrm{Sp}_{2d}(\mathbb{R})$ that was called K_{∞} in Subsections 1.1 and 1.2. This implies that $X \simeq \mathfrak{h}_d$.

The couple (GSp_{2d}, h) is called a **Siegel Shimura datum**.

Let K be an open compact subgroup of $G(\mathbb{A}_f)$. We set

$$M_K(G, h)(\mathbb{C}) = G(\mathbb{Q}) \backslash X \times G(\mathbb{A}_f) / K,$$

¹²Note that $G_{\mathrm{der}}(\mathbb{R})$ could still have compact normal algebraic subgroups, as long as they are not defined over \mathbb{Q} .

where the group K acts by right translations on the factor $G(\mathbb{A}_f)$, and the group $G(\mathbb{Q})$ acts by left translations on both factors simultaneously. This is the **Shimura variety at level K** associated to the Shimura datum K .

As in Subsection 1.1, if $(x_i)_{i \in I}$ is a system of representatives of the (finite) quotient $G(\mathbb{Q}) \backslash G(\mathbb{A}_f) / K$, and if $\Gamma_i = G(\mathbb{Q}) \cap x_i K x_i^{-1}$ for every $i \in I$, then the Γ_i are arithmetic subgroups of $G(\mathbb{Q})$, and we have

$$M_K(G, h)(\mathbb{C}) = \coprod_{i \in I} \Gamma_i \backslash X.$$

Hence it follows from Theorem 1.5 that $M_K(G, h)(\mathbb{C})$ is (the set of complex points of) a quasi-projective algebraic variety over \mathbb{C} , smooth if K is small enough.

Again as in Subsection 1.1, we have Hecke correspondences between the $M_K(G, h)(\mathbb{C})$, which are finite maps, hence morphisms of algebraic varieties. This defines an action of $G(\mathbb{A}_f)$ on the projective system $(M_K(G, h)(\mathbb{C}))_{K \subset G(\mathbb{A}_f)}$, or on its limit

$$M(G, h)(\mathbb{C}) = \varprojlim M_K(G, h)(\mathbb{C}) = G(\mathbb{Q}) \backslash X \times G(\mathbb{A}_f),$$

and we have $M_K(G, h)(\mathbb{C}) = M(G, h)(\mathbb{C}) / K$ for every open compact subgroup K of $G(\mathbb{A}_f)$.

1.4.3. Morphisms of Shimura varieties. Let (G_1, h_1) and (G_2, h_2) be Shimura data, and let $u : G_1 \rightarrow G_2$ be a morphism of algebraic groups such that $u \circ h_1$ and h_2 are conjugated under $G_2(\mathbb{R})$; we say that u is a **morphism of Shimura data**. Then u induces a morphism of complex manifolds $X_1 \rightarrow X_2$, so, for all $K_1 \subset G_1(\mathbb{A}_f)$, $K_2 \subset G_2(\mathbb{A}_f)$ open compact subgroups such that $u(K_1) \subset K_2$, we get a morphism of quasi-projective varieties $u(K_1, K_2) : M_{K_1}(G_1, h_1)(\mathbb{C}) \rightarrow M_{K_2}(G_2, h_2)(\mathbb{C})$. We can also think of this as a morphism of \mathbb{C} -schemes $u : M(G_1, h_1)(\mathbb{C}) \rightarrow M(G_2, h_2)(\mathbb{C})$.

Proposition 1.34. [Del71, Proposition 1.15] *If G_1 is an algebraic subgroup of G_2 and u is the inclusion, then, for every open compact subgroup K_1 of $G_1(\mathbb{A}_f)$, there exists an open compact subgroup $K_2 \supset K_1$ of $G_2(\mathbb{A}_f)$ such that $u(K_1, K_2) : M_{K_1}(G_1, h_1)(\mathbb{C}) \rightarrow M_{K_2}(G_2, h_2)(\mathbb{C})$ is a closed immersion.*

1.4.4. Connected components. For (G, h) equal to the Shimura datum of Example 1.33 and $K = \text{Ker}(\text{GSp}_{2d}(\widehat{\mathbb{Z}}) \rightarrow \text{GSp}(\mathbb{Z}/n\mathbb{Z}))$, we have seen that the multiplier $c : \text{GSp}_{2d} \rightarrow \text{GL}_1$ induces a bijection

$$\pi_0(M_K(G, h)(\mathbb{C})) \xrightarrow{\sim} \mathbb{Q}_{>0} \backslash \mathbb{A}_f^\times / c(K) = \mathbb{Q}^\times \backslash \mathbb{A}^\times / c(K_\infty K).$$

In fact, it follows from real approximation and the Hasse principle that this works for many Shimura varieties:

Theorem 1.35 (Deligne, see [Del71, 2.7]). *Let $\nu : G \rightarrow T := G/G_{\text{der}}$ be the quotient morphism, and suppose that G_{der} is simply connected. Then, for every open compact subgroup K of $G(\mathbb{A}_f)$, the map ν induces an isomorphism of groups*

$$\pi_0(M_K(G, h)(\mathbb{C})) \xrightarrow{\sim} T(\mathbb{Q}) \backslash T(\mathbb{A}) / \nu(K_\infty K).$$

In other words, ν induces an isomorphism

$$\pi_0(M(G, h)(\mathbb{C})) \xrightarrow{\sim} \pi_0(T(\mathbb{A}) / T(\mathbb{Q})) / \pi_0(K_\infty).$$

1.5. Canonical models. In the situation of Example 1.33, we have seen that the algebraic varieties $M_K(G, h)(\mathbb{C})$ and all the Hecke correspondences are defined over \mathbb{Q} . We would like to generalize this kind of result to other Shimura varieties.

1.5.1. Model of a Shimura variety. First we need to say what we mean by a model.

Definition 1.36. Let (G, h) be a Shimura datum, and F be a subfield of \mathbb{C} . A **model** of the projective system $(M_K(G, h)(\mathbb{C}))_K$ over F is the data:

- for every open compact subgroup K of $G(\mathbb{A}_f)$, of a quasi-projective variety M_K over F and isomorphism $\iota_K : M_K \otimes_F \mathbb{C} \xrightarrow{\sim} M_K(G, h)(\mathbb{C})$;
- for every $g \in G(\mathbb{A}_f)$ and all open compact subgroups K, K' of $G(\mathbb{A}_f)$ such that $gK'g^{-1} \subset K$, of a morphism of F -varieties $T_{g, K, K'} : M_{K'} \rightarrow M_K$,

such that:

- (i) For all g, K, K' as above, the morphism $\iota_K \circ T_{g, K, K'} \circ \iota_{K'}^{-1} : M_{K'}(G, h)(\mathbb{C}) \rightarrow M_K(G, h)(\mathbb{C})$ sends the class of (x, h) in $M_{K'}(G, h)(\mathbb{C})$ to the class of (x, hg) in $M_K(G, h)(\mathbb{C})$;
- (ii) If K is an open compact subgroup of $G(\mathbb{A}_f)$ and $g \in K$, then $T_{g, K, K} = \text{id}_{M_K}$;
- (iii) If K, K', K'' are open compact subgroups of $G(\mathbb{A}_f)$ and $g, h \in G(\mathbb{A}_f)$ are such that $gK'g^{-1} \subset K$ and $hK''h^{-1} \subset K'$, then $T_{g, K, K'} \circ T_{h, K', K''} = T_{gh, K, K''}$;
- (iv) If K, K' are open compact subgroups of $G(\mathbb{A}_f)$ such that K' is a normal subgroup of K , then the morphism $T_{g, K', K'}$ for $g \in K$ define an action of K/K' on $M_{K'}$ (this follows from (ii) and (iii)), and $T_{1, K, K'} : M_{K'} \rightarrow M_K$ induces an isomorphism $M_{K'}/(K/K') \rightarrow M_K$.

If we have a model $(M_K)_K$ of $(M_K(G, h)(\mathbb{C}))_K$ over F , we write $M = \varprojlim_K M_K$ (where the transition morphisms are given by the $T_{1, K', K}$). This is an F -scheme with an action of $G(\mathbb{A}_f)$, and we have a $G(\mathbb{A}_f)$ -equivariant isomorphism $M \otimes_F \mathbb{C} \xrightarrow{\sim} M(G, h)(\mathbb{C})$.

In particular we get an action of $\text{Gal}(\overline{F}/F)$ on $\pi_0(M(G, h)(\mathbb{C})) \xrightarrow{\sim} \pi_0(M \otimes_F \overline{F})$, which must commute with the action of $G(\mathbb{A}_f)$. Under the hypothesis of Theorem 1.35, we have

$$\pi_0(M \otimes_F \overline{F}) \xrightarrow{\sim} \pi_0(T(\mathbb{A})/T(\mathbb{Q}))/\pi_0(K_\infty)$$

with $T = G/G^{\text{der}}$, and $G(\mathbb{A}_f)$ acts transitively on this set of connected components (Proposition 2.2 of [Del71]). So every element of $\text{Gal}(\overline{F}/F)$ acts by translation by an element of $\pi_0(T(\mathbb{A})/T(\mathbb{Q}))/\pi_0(K_\infty)$, and the action of $\text{Gal}(\overline{F}/F)$ comes from a morphism of groups $\text{Gal}(\overline{F}/F) \rightarrow \pi_0(T(\mathbb{A})/T(\mathbb{Q}))/\pi_0(K_\infty)$, that necessarily factors through the maximal abelian quotient $\text{Gal}(\overline{F}/F)^{\text{ab}}$.

Suppose that F is a number field. Then global class field theory¹³ gives an isomorphism

$$\text{Gal}(\overline{F}/F)^{\text{ab}} \xrightarrow{\sim} \pi_0(F^\times \backslash \mathbb{A}_F^\times)$$

where \mathbb{A}_F is the ring of adeles of F , so the action of $\text{Gal}(\overline{F}/F)$ on $\pi_0(M \otimes_F \overline{F})$ comes from a morphism of groups

$$\lambda_M : \pi_0(F^\times \backslash \mathbb{A}_F^\times) \rightarrow \pi_0(T(\mathbb{Q}) \backslash T(\mathbb{A}))/\pi_0(K_\infty),$$

called the **reciprocity law of the model**.

¹³Normalized so that local uniformizers correspond to geometric Frobenius elements.

1.5.2. *The case of tori.* We consider the case where $G = T$ is a torus. Let $h : \mathbb{S} \rightarrow T_{\mathbb{R}}$ be any morphism of real algebraic groups. Then h trivially satisfies the conditions of Definition 1.32, so we get a Shimura datum (T, h) , and $X = T(\mathbb{R})/\text{Cent}_{T(\mathbb{R})}(h)$ is a singleton. For every open compact subgroup K of $T(\mathbb{A}_f)$,

$$M_K(T, h)(\mathbb{C}) = T(\mathbb{Q}) \backslash T(\mathbb{A}_f) / K$$

is a finite set, and we have

$$M(T, h)(\mathbb{C}) = T(\mathbb{Q}) \backslash T(\mathbb{A}_f),$$

which is a profinite set. Giving a model of the Shimura variety of (T, h) over a subfield F of \mathbb{C} is the same as giving an action of $\text{Gal}(\overline{F}/F)$ over $T(\mathbb{Q}) \backslash T(\mathbb{A}_f)$ (commuting with the action of $T(\mathbb{A}_f)$ by translation), i.e. a morphism of groups $\text{Gal}(\overline{F}/F) \rightarrow T(\mathbb{Q}) \backslash T(\mathbb{A}_f)$. If F is a number field, this is equivalent to giving a morphism of groups

$$\lambda : \pi_0(F^\times \backslash \mathbb{A}_F^\times) \rightarrow \pi_0(T(\mathbb{Q}) \backslash T(\mathbb{A})).$$

It is natural to construct such a morphism from a morphism of algebraic groups $F^\times \rightarrow T$, where F^\times is seen as an algebraic group over \mathbb{Q} (so that, for example, we have $F^\times(\mathbb{A}) = (\mathbb{A} \otimes_{\mathbb{Q}} F)^\times = \mathbb{A}_F^\times$). We already have a morphism $h : \mathbb{S} \rightarrow T_{\mathbb{R}}$, which gives a morphism of complex algebraic groups $h_{\mathbb{C}} : \mathbb{S}_{\mathbb{C}} \rightarrow T_{\mathbb{C}}$. Remember that $\mathbb{S}_{\mathbb{C}} \simeq \text{GL}_{1, \mathbb{C}} \times \text{GL}_{1, \mathbb{C}}$, and that we denoted by $r : \text{GL}_{1, \mathbb{C}} \rightarrow \mathbb{S}_{\mathbb{C}}$ the embedding of the first factor (see Subsubsection 1.4.1). We get a morphism $h_{\mathbb{C}} \circ r : \text{GL}_{1, \mathbb{C}} \rightarrow T_{\mathbb{C}}$. As T is an algebraic group over \mathbb{Q} , this morphism is defined over a finite extension of \mathbb{Q} in \mathbb{C} , and we call this extension F . We get a morphism of F -algebraic groups $\text{GL}_{1, F} \rightarrow T_F$, hence a morphism of \mathbb{Q} -algebraic groups $F^\times \rightarrow \text{Res}_{F/\mathbb{Q}} T_F$, where $\text{Res}_{F/\mathbb{Q}} T_F$ is the algebraic group that sends a \mathbb{Q} -algebra R to $T(R \otimes_{\mathbb{Q}} F)$. Composing this with the norm $N_{F/\mathbb{Q}} : \text{Res}_{F/\mathbb{Q}} T_F \rightarrow T$, we finally get a morphism $r(h) : F^\times \rightarrow T$, called the **reciprocity morphism for (T, h)** . We take λ_M to be induced by $r(h)$.

So if (G, h) is a Shimura datum with G a torus, we get a canonically defined model of the associated Shimura variety over the field of definition of $h_{\mathbb{C}} \circ r$.

1.5.3. *The reflex field.* Let (G, h) be a Shimura datum satisfying the hypothesis of Theorem 1.35, and let $\nu : G \rightarrow T := G/G_{\text{der}}$ be the quotient morphism. We have an isomorphism, induced by ν :

$$\pi_0(M(G, h))(\mathbb{C}) \xrightarrow{\sim} \pi_0(T(\mathbb{A})/T(\mathbb{Q}))/\pi_0(K_{\infty}).$$

Suppose that we have a model $(M_K)_K$ of the Shimura variety of (G, h) over a number field $F \subset \mathbb{C}$. We would expect the Shimura variety of $(T, \nu \circ h)$ to also have a model over F , and the isomorphism above to be $\text{Gal}(\overline{F}/F)$ -equivariant, where the action on the right hand side is given by the morphism $r(\nu \circ h) : F^\times \rightarrow T$ constructed in Subsubsection 1.5.2.

Remember that $r : \text{GL}_{1, \mathbb{C}} \rightarrow \mathbb{S}_{\mathbb{C}} \simeq \text{GL}_{1, \mathbb{C}} \times \text{GL}_{1, \mathbb{C}}$ is the embedding of the first factor (see 1.4.1 again). By the previous paragraph, we would expect F to contain the field of definition of $\nu \circ h \circ r$. In fact it would make sense to take F to be the field of definition of $h_{\mathbb{C}} \circ r : \text{GL}_{1, \mathbb{C}} \rightarrow G_{\mathbb{C}}$, except that h is only significant up to conjugation. This motivates the following definition.

Definition 1.37. Let (G, h) be a Shimura datum. The **reflex field** $F(G, h)$ of (G, h) is the field of definition of the conjugacy class of $h_{\mathbb{C}} \circ r : \text{GL}_{1, \mathbb{C}} \rightarrow G_{\mathbb{C}}$.

Let $F = F(G, h)$. Then F is a finite extension of \mathbb{Q} in \mathbb{C} , and, for every morphism ρ of G into a commutative algebraic group, the morphism $\rho_{\mathbb{C}} \circ h_{\mathbb{C}} \circ r$ is defined over F . Note that $h_{\mathbb{C}} \circ r$ itself is not necessarily defined over F .

Example 1.38. Let $E = \mathbb{Q}[\sqrt{-d}]$ be an imaginary quadratic extension of \mathbb{Q} , let $p \geq q \geq 1$ be integers, and set $n = p + q$. Let

$$J = \begin{pmatrix} I_p & 0 \\ 0 & -I_q \end{pmatrix} \in \mathrm{GL}_n(\mathbb{Z}).$$

For every commutative ring R , we denote by $x \mapsto \bar{x}$ the involution of $R \otimes_{\mathbb{Z}} \mathcal{O}_E$ induced by the nontrivial element of $\mathrm{Gal}(E/\mathbb{Q})$, and, for every $Y \in M_n(R \otimes_{\mathbb{Z}} \mathcal{O}_E)$, we write $Y^* = {}^t\bar{Y}$.

The general unitary group $\mathrm{GU}(p, q)$ is the \mathbb{Z} -group scheme defined by

$$\mathrm{GU}(p, q)(R) = \{g \in \mathrm{GL}_n(R \otimes_{\mathbb{Z}} \mathcal{O}_E) \mid \exists c(g) \in R^\times, g^* J g = c(g) J\}$$

for every commutative ring R . Then $\mathrm{GU}(p, q)_{\mathbb{Q}}$ is a connected reductive algebraic group, and we have a morphism of group schemes $c : \mathrm{GU}(p, q) \rightarrow \mathrm{GL}_1$, whose kernel is the unitary group $\mathrm{U}(p, q)$.

Let $h : \mathbb{S} \rightarrow \mathrm{GU}(p, q)_{\mathbb{R}}$ be the morphism defined by

$$h(z) = \begin{pmatrix} zI_p & 0 \\ 0 & \bar{z}I_q \end{pmatrix} \in \mathrm{GU}(p, q)(\mathbb{R}).$$

Then (G, h) is a Shimura datum, and K_{∞} is the set of matrices $\begin{pmatrix} g_1 & 0 \\ 0 & g_2 \end{pmatrix}$ such that $g_1 \in \mathrm{GL}_p(\mathbb{C})$, $g_2 \in \mathrm{GL}_q(\mathbb{C})$ and there exists $c \in \mathbb{R}$ with $g_1^* g_1 = cI_p$ and $g_2^* g_2 = cI_q$. We use the isomorphism $\mathbb{C} \otimes_{\mathbb{Q}} E \xrightarrow{\sim} \mathbb{C} \times \mathbb{C}$ sending $x \otimes 1 + y \otimes \sqrt{-d}$ to $(x + \sqrt{-d}y, x - \sqrt{-d}y)$ to identify $\mathrm{GU}(p, q)(\mathbb{C})$ to a subgroup of $\mathrm{GL}_n(\mathbb{C}) \times \mathrm{GL}_n(\mathbb{C})$; note that the involution $g \mapsto \bar{g}$ of $\mathrm{GU}(p, q)(\mathbb{C})$ corresponds to switching of the two factors. With this convention, we have for every $z \in \mathbb{C}^\times$ that

$$h_{\mathbb{C}} \circ r(z) = \left(\begin{pmatrix} zI_p & 0 \\ 0 & I_q \end{pmatrix}, \begin{pmatrix} I_p & 0 \\ 0 & zI_q \end{pmatrix} \right).$$

It is easy to check that $h_{\mathbb{C}} \circ r$ is defined over E but not over \mathbb{Q} . On the other hand, the reflex field of (G, h) is E if $p > q$ and \mathbb{Q} if $p = q$.

Example 1.39. Let (G, h) be the Shimura datum of Example 1.33 (so that $G = \mathrm{GSp}_{2d}$). For every $z \in \mathbb{C}^\times$, we have

$$h_{\mathbb{C}} \circ r(z) = \begin{pmatrix} \frac{1}{2}(z+1)I_d & -\frac{1}{2i}(z-1)I_d \\ \frac{1}{2i}(z-1)I_d & \frac{1}{2}(z+1)I_d \end{pmatrix} = P \begin{pmatrix} zI_d & 0 \\ 0 & I_d \end{pmatrix} P^{-1},$$

where

$$P = \begin{pmatrix} \frac{1}{\sqrt{2}}I_d & \frac{i}{\sqrt{2}}I_d \\ \frac{i}{\sqrt{2}}I_d & \frac{1}{\sqrt{2}}I_d \end{pmatrix}.$$

So the reflex field of (G, h) is \mathbb{Q} .

1.5.4. *Canonical models.* We are now ready to define canonical models.

Definition 1.40. Let (G, h) be a Shimura datum and let $F = F(G, h)$. A **canonical model** of $M(G, h)(\mathbb{C})$ is a model $(M_K)_K$ over F such that, for every torus $u : H \subset G$ and every $h' : \mathbb{S} \rightarrow H_{\mathbb{R}}$ such that $u \circ h'$ and h are $G(\mathbb{R})$ -conjugated (i.e. such that u induces a morphism of Shimura data from (H, h') to (G, h)), the morphism

$$u : M(H, h')(\mathbb{C}) \rightarrow M(G, h)(\mathbb{C})$$

is defined over the compositum $F \cdot F(H, h') \subset \mathbb{C}$, where we use as model of $M(H, h')(\mathbb{C})$ over $F(H, h')$ the one defined in Subsubsection 1.5.2.

Example 1.41. (1) If G is a torus, then the model of Subsubsection 1.5.2 is a canonical model of $M(G, h)(\mathbb{C})$.
 (2) If (G, h) is the Shimura datum of Example 1.33 (so that $G = \mathrm{GSp}_{2d}$), then the schemes $(\mathcal{M}_{d, K, \mathbb{Q}})_{K \subset \mathrm{GSp}_{2d}(\mathbb{A}_f)}$ of Subsubsection 1.3.3 form a canonical model of $M(G, h)(\mathbb{C})$. This is not obvious but follows from the main theorem of complex multiplication; see Section 4 of [Del71].

At the time of Deligne's paper [Del71], it was not known whether all Shimura varieties has canonical models (spoiler: this is now known to be true, see Theorem ??), but it was possible to prove their uniqueness. If $u : (H, h') \rightarrow (G, h)$ is a morphism of Shimura varieties as in Definition 1.40 (so that H is a subtorus of G), the image in $M(G, h)(\mathbb{C})$ of the points of $M(H, h')(\mathbb{C})$ are called **special points**. The fact that canonical models are uniquely characterized relies on the following two points:

- (i) Special points are dense in $M(G, h)(\mathbb{C})$;
- (ii) For every finite extension $F' \subset \mathbb{C}$ of $F(G, h)$, there exists $u : (H, h') \rightarrow (G, h)$ as above such that $F(H, h')$ and F' are linearly disjoint over $F(G, h)$ (Théorème 5.1 of [Del71]).

From this, we can deduce:

Theorem 1.42 (Corollaire 5.4 of [Del71]). *Let $u : (G_1, h_1) \rightarrow (G_2, h_2)$ be a morphism of Shimura data. Then the corresponding morphism $M(G_1, h_1)(\mathbb{C}) \rightarrow M(G_2, h_2)(\mathbb{C})$ of Shimura is defined over any common extension F of $F(G_1, h_1)$ and $F(G_2, h_2)$ in \mathbb{C} .*

Corollary 1.43. *Let (G, h) be a Shimura datum. Then a canonical model of $M(G, h)(\mathbb{C})$ is unique up to unique isomorphism if it exists.*

Corollary 1.44. *Let (G, h) be a Shimura datum satisfying the hypothesis of Theorem 1.35, let $\nu : G \rightarrow T := G/G_{\mathrm{der}}$ be the quotient morphism, and let $F = F(G, h)$. Then the action of $\mathrm{Gal}(\overline{F}/F)$ on $\pi_0(M(G, h)(\mathbb{C})) \xrightarrow{\sim} \pi_0(T(\mathbb{Q}) \backslash T(\mathbb{A})) / \pi_0(K_{\infty})$ is given by the inverse of the reciprocity morphism for $(T, \nu \circ h)$.*

Apply Theorem 1.42 to $\nu : (G, h) \rightarrow (T, \nu \circ h)$. Using the same techniques as for Theorem 1.42, we also get the following very useful result.

Proposition 1.45 (Corollaire 5.7 of [Del71]). *Let $u : (G_1, h_1) \rightarrow (G_2, h_2)$ be a morphism of Shimura data such that the underlying morphism of algebraic groups is a closed immersion and that $F(G_1, h_1) \subset F(G_2, h_2)$. If $M(G_2, h_2)(\mathbb{C})$ has a canonical model, then so does $M(G_1, h_1)(\mathbb{C})$.*

2. ARITHMETIC SHIMURA VARIETIES

In Section 1, we have defined Shimura varieties over \mathbb{C} and introduced the notion of canonical model of a Shimura variety. We also discussed in some detail the example of the Siegel modular varieties, who have canonical models coming from their modular interpretation. In this lecture, we first want to present different types of Shimura varieties, which *each type being contained in the next one*:

- (1) **The Siegel modular variety:** It is a moduli space of principally polarized abelian schemes with some level structure;
- (2) **PEL type Shimura varieties:** They have an interpretation as moduli spaces of polarized abelian schemes with multiplication by the ring of integers \mathcal{O} of some number field and some level structure (here “P” means “polarization”, “E” means “endomorphisms” in reference to the action of \mathcal{O} and “L” means “level structure”);
- (3) **Hodge type Shimura varieties:** They come from Shimura data (G, h) that have an injective morphism into a Siegel Shimura datum (Example 1.33);
- (4) **Abelian type Shimura varieties:** Their Shimura datum is “isogenous” to a Hodge type Shimura datum (in a way to be made precise later);
- (5) **General Shimura varieties:** All Shimura varieties.

The further we go down in the list, the less is known about the geometry of the Shimura variety (and the higher the price for what we know), because many of the techniques we have rely on the interpretation of the Shimura varieties as moduli problems of abelian schemes, and this is only really available for PEL type Shimura varieties (there is something for Hodge type Shimura varieties, but it is harder to use).

For example, PEL type Shimura variety naturally come with an integral model defined over a localization of the ring of integers of their reflex field, but it took a lot of effort¹⁴ to construct integral models for Hodge type and abelian type Shimura varieties, and to formulate their properties; as far as we know, nothing is known for general Shimura varieties.

We are not claiming that the classification above is the only measure of the complexity of a Shimura variety, whatever that means. For example, as we will discuss in Section 3, if one wants to study the cohomology of Shimura varieties and their zeta functions, then the simplest case is not the Siegel modular varieties, but rather compact PEL type Shimura varieties whose group has no endoscopy and a simply connected derived subgroup; we will introduce some examples of these, known as **Kottwitz’s simple Shimura varieties**.

2.1. PEL type Shimura varieties. These Shimura varieties were introduced by Kottwitz in [Kot92b], but we will follow the presentation of Lan for the moduli problems (cf. [Lan13, 1.4.1]), which is closer to our definition of the Siegel moduli problem. The equivalence between the two definitions is proved in [Lan13, 1.4.3].

2.1.1. PEL data.

Definition 2.1 (see [Lan20, 5.1] or [Lan13, Definition 1.2.13]). An **(integral) PEL datum** is a quintuple $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$, where

¹⁴Add references (?)

- (1) \mathcal{O} is an order in a finite-dimensional semisimple \mathbb{Q} -algebra B (that is, \mathcal{O} is a subring of B that is a free \mathbb{Z} -module and spans the \mathbb{Q} -vector space \mathbb{Q});
- (2) $*$ is a **positive involution** of \mathcal{O} , i.e. an anti-automorphism of rings of order 2 such that, for every $x \in \mathcal{O} \setminus \{0\}$, we have $\text{Tr}_{(B \otimes_{\mathbb{Q}} \mathbb{R})/\mathbb{R}}(xx^*) > 0$;
- (3) Λ is an \mathcal{O} -module that is finitely generated and free as a \mathbb{Z} -module;
- (4) $\langle \cdot, \cdot \rangle : \Lambda \times \Lambda \rightarrow \mathbb{Z}$ is an alternating bilinear map such that, for all $x, y \in \Lambda$ and $b \in \mathcal{O}$, we have

$$\langle bx, y \rangle = \langle x, b^* y \rangle;$$

- (5) $h : \mathbb{C} \rightarrow \text{End}_{B \otimes_{\mathbb{Q}} \mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R})$ is an \mathbb{R} -algebra morphism such that:

- (a) For $z \in \mathbb{C}$ and $x, y \in \Lambda \otimes_{\mathbb{Z}} \mathbb{R}$, we have

$$\langle h(z)(x), y \rangle = \langle x, h(\bar{z})(y) \rangle;$$

- (b) The \mathbb{R} -bilinear pairing $\langle \cdot, h(i)(\cdot) \rangle$, which is symmetric by (a), is also definite positive.

Let $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$ be a PEL datum. We define a group scheme G over \mathbb{Z} by

$$G(R) = \{g \in \text{End}_{\mathcal{O} \otimes_{\mathbb{Z}} R}(\Lambda \otimes_{\mathbb{Z}} R) \mid \exists c(g) \in R^\times, \langle g(\cdot), g(\cdot) \rangle = \langle \cdot, \cdot \rangle\}$$

for every commutative ring R . We also get a morphism of group schemes $c : G \rightarrow \text{GL}_1$. The morphism of \mathbb{R} -algebras $h : \mathbb{C} \rightarrow \text{End}_{B \otimes_{\mathbb{Q}} \mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R})$ induces a morphism of \mathbb{R} -algebraic groups $h : \mathbb{S} \rightarrow G_{\mathbb{R}}$.

Proposition 2.2. *The couple $(G_{\mathbb{Q}}^0, h)$ satisfies conditions (a)–(c) in Definition 1.32 of a Shimura datum.*

Let us explain why this proposition is true. Condition (a) of Definition 1.32 follows from the fact that $h : \mathbb{C}^\times \rightarrow \text{End}_{B \otimes_{\mathbb{Q}} \mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R})$ is a morphism of \mathbb{R} -algebra, and Condition (c) follows from Condition (5)(b) of Definition 2.1. We have to show how to prove Condition (b), on the decomposition of $\text{Lie}(G_{\mathbb{C}})$ into eigenspaces for the action of $\text{Ad} \circ h_{\mathbb{C}}$. Let $V = \Lambda \otimes_{\mathbb{Z}} \mathbb{R}$, a finite-dimensional \mathbb{R} -vector space. Then $h : \mathbb{C} \rightarrow \text{End}_{\mathbb{R}}(V)$ defines a structure of \mathbb{C} -vector space on V , so $A := V/\Lambda$ is a complex torus. We would like this torus to be an abelian variety, so we need a polarization on it, that is, a positive definite Hermitian form H on V such that $\text{Im}(H)$ takes integer values on Λ . But we already have an alternating form on Λ , so we are already know from Subsubsection 1.3.1 how to proceed: define H by

$$H(v, w) = \langle h(i)(v), w \rangle + i \langle v, w \rangle.$$

The fact that $\text{Im}(H)$ takes integral values on Λ is clear, the pairing H is Hermitian by condition (5)(a) and positive definite by condition (5)(b). So the torus A is an abelian variety, with dual abelian variety $A^\vee = V/\Lambda^\vee$, where $\Lambda^\vee = \{v \in V \mid \forall w \in \Lambda, \langle v, w \rangle \in \mathbb{Z}\}$ is the dual lattice of Λ . The polarization $\lambda : A \rightarrow A^\vee$ defined by H is then just the map induced by $\Lambda \subset \Lambda^\vee$. We can see h as a morphism of algebraic groups $\mathbb{S} \rightarrow \text{GL}(V)$, and the decomposition $V \otimes_{\mathbb{R}} \mathbb{C} = \bigoplus_{p,q \in \mathbb{Z}} V^{p,q}$ induced by this morphism (see Subsubsection 1.4.1) is the same as the Hodge structure coming from the isomorphism $V \simeq H_1(A, \mathbb{R})$. As A is an abelian variety, we have $V^{p,q} = 0$ unless $(p, q) \in \{(0, -1), (-1, 0)\}$. As $\mathfrak{g} := \text{Lie}(G_{\mathbb{R}}) \subset \text{End}_{\mathbb{R}}(V)$, for the decomposition $\mathfrak{g} \otimes_{\mathbb{R}} \mathbb{C} = \bigoplus_{p,q \in \mathbb{Z}} \mathfrak{g}^{p,q}$ induced by $\text{Ad} \circ h$, we have $\mathfrak{g}^{p,q} = 0$ unless $(p, q) \in \{(0, 0), (1, -1), (-1, 1)\}$, as desired.

Note also that the action of \mathcal{O} on Λ defines a morphism of rings $\iota : \mathcal{O} \rightarrow \text{End}_{\mathbb{C}}(A)$ satisfying the **Rosati condition**, which says that, for every $b \in \mathcal{O}$, we have

$$\lambda \circ i(b^*) = i(b)^{\vee} \circ \lambda.$$

Remark 2.3 ([Kot92b], sections 5 and 7). Let $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$ be a PEL datum, and let G be the associated group scheme. If the \mathbb{Q} -algebra $B = \mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ is simple, then all the simple factors of $G(\mathbb{C})^{\text{der}}$ are of the same type, which is A , C or D . If we are in type A or C , then $G_{\mathbb{Q}}$ is connected and reductive. In type D , the group $G_{\mathbb{Q}}$ is reductive and has $2^{[F_0:\mathbb{Q}]}$ connected components, where F_0 is the field of the fixed points of $*$ in the center of $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$, so it is never connected.

We now give an example of each type.

Example 2.4. Take $\mathcal{O} = \mathbb{Z}$, $*$ the trivial involution, $\Lambda = \mathbb{Z}^{2d}$, $\langle \cdot, \cdot \rangle$ the perfect symplectic pairing with matrix $\begin{pmatrix} 0 & I_d \\ I_d & 0 \end{pmatrix}$ in the canonical basis of \mathbb{Z}^{2d} , and $h : \mathbb{C} \rightarrow M_{2d}(\mathbb{R})$ defined by

$$h(a + ib) = \begin{pmatrix} aI_d & -bI_d \\ bI_d & aI_d \end{pmatrix}.$$

Then we get a PEL datum, and the couple (G, h) is the Siegel Shimura datum of Example 1.33.

Example 2.5. Let $B = E \subset \mathbb{C}$ be an imaginary quadratic extension of \mathbb{Q} , \mathcal{O} be an order in E (for example the ring of integers), $*$ be the restriction to \mathcal{O} of complex conjugation,¹⁵ $\Lambda = \mathcal{O}^{p+q}$ with $p \geq q \geq 0$. Choose $\varepsilon \in \mathcal{O}$ such that $-i\varepsilon \in \mathbb{R}_{>0}$, let H be the Hermitian pairing on Λ with matrix $\begin{pmatrix} I_p & 0 \\ 0 & -I_q \end{pmatrix}$ and $\langle \cdot, \cdot \rangle$ be the alternating pairing $\text{Tr}_{\mathcal{O}/\mathbb{Z}}(\varepsilon H)$ on Λ .

Finally, define $h : \mathbb{C} \rightarrow \text{End}_{\mathbb{C}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R}) = M_{p+q}(\mathbb{C})$ by $h(z) = \begin{pmatrix} zI_p & 0 \\ 0 & \bar{z}I_q \end{pmatrix}$. Then we get a PEL datum, and the couple (G, h) is the Shimura datum of Example 1.38.

If $p = q$, then (G, h) does not satisfy condition (d) of Definition 1.32.

Example 2.6. Let B be a quaternion algebra over \mathbb{Q} such that $B \otimes_{\mathbb{Q}} \mathbb{R} \simeq \mathbb{H}$, and let \mathcal{O} be an order in B that is stable by the involution of \mathbb{H} defined by $(x + iy + jz + kt)^* = x - iy - jz - kt$. Let $\Lambda = \mathcal{O}^{2n}$, let $\langle \cdot, \cdot \rangle$ be $\text{Tr}_{\mathcal{O}/\mathbb{Z}} \circ H$, where H is the skew-Hermitian pairing on Λ with matrix $\begin{pmatrix} 0 & I_n \\ -I_n & 0 \end{pmatrix}$. Define $h : \mathbb{C} \rightarrow \text{End}_{B \otimes_{\mathbb{Q}} \mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R}) = M_n(\mathbb{H})$ by $h(a + ib) = \begin{pmatrix} aI_n & -bI_n \\ bI_n & aI_n \end{pmatrix}$.

The group $G_{\mathbb{R}, \text{der}}$ is often denoted by SO_{2n}^* ; it is a quasi-split outer form of the split orthogonal group SO_{2n} , hence is of type D_n . But note that the algebraic group $G_{\mathbb{Q}}$ is not connected.

Definition 2.7. We say that a Shimura datum is of **PEL type** if it is of the form $(G_{\mathbb{Q}}^0, h)$, where (G, h) comes from a PEL datum. The corresponding Shimura varieties are called **PEL type Shimura varieties**.

¹⁵If $(1, a)$ is a \mathbb{Z} -basis of \mathcal{O}_E , then every order \mathcal{O} of E is contained in \mathcal{O}_E and of the form $\mathbb{Z} \oplus f a \mathbb{Z}$, where $f = [\mathcal{O}_E : \mathcal{O}]$ is the **conductor** of \mathcal{O} . In particular, the order \mathcal{O} is stable by the nontrivial element of $\text{Gal}(E/\mathbb{Q})$.

2.1.2. *PEL moduli problems.* Just as in the case of the Siegel modular variety, PEL type Shimura varieties are the solution of a moduli problem,¹⁶ known as a PEL moduli problem. We now discuss these.

Let $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$ be a PEL datum, and let (G, h) be defined as before. If $V = \Lambda \otimes_{\mathbb{Z}} \mathbb{R}$, then we saw the morphism $h : \mathbb{C}^{\times} \rightarrow \text{End}_{\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{R}}(V)$ defines a decomposition $V \otimes_{\mathbb{R}} \mathbb{C} = V^{-1,0} \oplus V^{0,-1}$. The **reflex field** F of the PEL datum is the field of definition of the isomorphism class of $V^{-1,0}$ as an $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{C}$ -module, that is, the subfield of \mathbb{C} generated by the $\text{Tr}(b, V^{1,0})$, for $b \in \mathcal{O}$. It is also equal to the reflex field of (G, h) .

Definition 2.8. We say that a prime number p is **good** for the PEL datum if:

- p is unramified in \mathcal{O} (i.e. it does not divide the discriminant of \mathcal{O}/\mathbb{Z});
- p does not divide $[\Lambda^{\vee} : \Lambda]$, where Λ^{\vee} is as before the lattice $\{v \in V \mid \forall w \in \Lambda, \langle v, w \rangle \in \mathbb{Z}\}$;
- $p \neq 2$ if the PEL datum has a factor of type D (i.e. if $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{R}$ has a simple factor isomorphic to an algebra $M_n(\mathbb{H})$ with its canonical positive involution).

If p is not good we say that it is **bad**. Note that, if p is good, then F and $G_{\mathbb{Q}}$ are unramified at p ; in fact, the group $G(\mathbb{Z}_p)$ is then a hyperspecial maximal compact subgroup of $G(\mathbb{Q}_p)$.

Let T be a set of good primes (finite or infinite), and let $\mathcal{O}_{F,T}$ be the localization $\mathcal{O}_F[1/p, p \notin T]$.

Definition 2.9 (PEL moduli problem). Let n be a positive integer that is prime to all the elements of T . Then the PEL moduli problem at level n defined by the fixed PEL datum is the functor \mathcal{M}_n from the category of $\mathcal{O}_{F,T}$ -schemes to the category of sets sending an $\mathcal{O}_{F,T}$ -scheme S to the set of isomorphism classes of quadruples $(A, \lambda, \iota, (\eta, \varphi))$, where

- A is an abelian scheme over S ;
- $\lambda : A \rightarrow A^{\vee}$ is a polarization whose degree is prime to nN ;
- $\iota : \mathcal{O} \rightarrow \text{End}_S(A)$ is a morphism of rings satisfying the Rosati condition: for every $b \in \mathcal{O}$, we have $\lambda \circ \iota(b^*) = \iota(b)^{\vee} \circ \lambda$;
- (η, φ) is a level n structure on A , i.e., $\eta : A[n] \xrightarrow{\sim} (\Lambda/n\Lambda)_S$ is an \mathcal{O} -equivariant isomorphism of group schemes and $\varphi : \mathbb{Z}/n\mathbb{Z}_S \xrightarrow{\sim} \mu_{n,S}$ is an isomorphism of group schemes such that $\varphi \circ \langle \cdot, \cdot \rangle \circ \eta$ is the Weil pairing defined by λ on $A[n]_S$, and moreover (η, φ) are liftable to level m structures for every prime-to- T multiple m of n , in the sense of [Lan13] Definition 1.3.6.2.

We furthermore require that this quadruple satisfy the following **determinant condition** (see Definition 1.3.4.1 of [Lan13]): let $\alpha_1, \dots, \alpha_t$ be a basis of the \mathbb{Z} -module \mathcal{O} , and let X_1, \dots, X_t be indeterminates. Then $\det(\iota(\alpha_1)X_1 + \dots + \iota(\alpha_t)X_t, \text{Lie}(A))$ is a polynomial in $\mathcal{O}_S[X_1, \dots, X_t]$, and the condition says that this polynomial is equal to the image by the map $\mathcal{O}_{F,T} \rightarrow \mathcal{O}_S$ of the polynomial $\det(\alpha_1 X_1 + \dots + \alpha_t X_t, V^{1,0}) \in \mathcal{O}_{F,T}[X_1, \dots, X_t]$.¹⁷

Remark 2.10. (1) We did not specify the relative dimension of the abelian scheme A in the moduli problem, because it is already determined by the determinant condition.

¹⁶Well, almost. See below for a more precise statement.

¹⁷It is not totally obvious that the second polynomial, which is a priori in $F[X_1, \dots, X_t]$, has its coefficients in $\mathcal{O}_{F,T}$. But it is also not too hard to check. See for example pages 389-390 of [Kot92b].

- (2) For $n \in \{1, 2\}$, the objects of the moduli problem \mathcal{M}_n can have nontrivial automorphisms, so it would make more sense to see \mathcal{M}_n as a functor with values in groupoids, i.e. as a stack. See Remark 1.12.
- (3) As in Remark 1.16, it is also possible to define the moduli problem \mathcal{M}_K for more general levels K , i.e. for open compact subgroups K of $G(\mathbb{A}_f)$, though there is a condition on K corresponding to the condition that n be prime to T . Let \mathbb{A}_f^T be the ring of prime-to- T adeles of \mathbb{Q} , i.e. the restricted product of the \mathbb{Q}_p for $p \notin T$, and \mathbb{A}_T be the restricted product of the \mathbb{Q}_p for $p \in T$. We have $\mathbb{A}_f = \mathbb{A}_T \times \mathbb{A}_f^T$, and the condition on K is that $K = K_T K^T$, where $K^T \subset G(\mathbb{A}_f^T)$ and $K_T = \prod_{p \in T} K_p$ with $K_p = G(\mathbb{Z}_p)$ for every $p \in T$.

Theorem 2.11 (Kottwitz and Lan, see Corollaries 1.4.1.12 and 7.2.3.10 of [Lan13]). *If $n \geq 3$, then the functor \mathcal{M}_n is representable by a smooth quasi-projective scheme over $\mathcal{O}_{F,T}$.*

In fact, by Theorem 1.4.1.11 and Corollary 7.2.3.10 of [Lan13], the functor \mathcal{M}_K is also representable by a smooth quasi-projective scheme for K small enough.

Remark 2.12. We also have an action of the Hecke operators defined by elements $g \in G(\mathbb{A}_f^T)$ (i.e. the Hecke operators that are trivial at primes of T) on the tower (\mathcal{M}_K) ; as for the Siegel moduli problem, the element g acts on the level structure. See Remark 1.4.3.11 of [Lan13] (and the comparison result of Proposition 1.4.3.4 *ibid.*).

2.1.3. PEL moduli problems and canonical models. Consider the PEL datum of Example 2.4. The associated couple (G, h) is the Siegel Shimura datum of Example 1.33, and we have seen in Example 1.41(2) that the associated moduli problem, with $T = \emptyset$, defines a canonical model of the Shimura variety of (G, h) .

We would like something like this to be true for general PEL data. One obstacle is that the moduli problem only depends on the group $G(\mathbb{A})$; this is not obvious on Definition 2.9, but it becomes so if we use the moduli problem of Definition 1.4.2.1 of [Lan13] or of Section 5 of [Kot92b] (the equivalence of the two moduli problems is proved in [Lan13, 1.4.3]). So, if we have another reductive algebraic group G' over \mathbb{Q} such that $G'_{\mathbb{Q}_v} \simeq G_{\mathbb{Q}_v}$ for every place v of \mathbb{Q} , we get a Shimura datum (G', h') by taking $h' = h : \mathbb{S} \rightarrow G_{\mathbb{R}} \simeq G'_{\mathbb{R}}$, and we should also see the canonical models for the Shimura variety of (G', h') in the PEL moduli problem. In fact, we have the following result.

Proposition 2.13. *Suppose that the semisimple \mathbb{Q} -algebra $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ has no simple factor of type D (see Definition 2.8). Then:*

- (i) [Lan13, Remark 1.4.4.4]. *Let $T \subset T'$ be two sets of good prime numbers, let $K^{T'}$ be an open compact subgroup of $G(\mathbb{A}_f^{T'})$, and let $K = K^{T'} \prod_{p \in T'} G(\mathbb{Z}_p)$. Let \mathcal{M}_K (resp. \mathcal{M}'_K) be the moduli problem over $\text{Spec}(\mathcal{O}_{F,T})$ (resp. $\text{Spec}(\mathcal{O}_{F,T'})$) from Definition 2.9, where we take the set of good primes to be T (resp. T'). Then the forgetful functor $\mathcal{M}_K \rightarrow \mathcal{M}'_K \times_{\text{Spec}(\mathcal{O}_{F,T'})} \text{Spec}(\mathcal{O}_{F,T})$ is an isomorphism.*
- (ii) [Kot92b, Sections 7-8]. *Let $\text{Ker}^1(\mathbb{Q}, G)$ be the kernel of the diagonal map $H^1(\mathbb{Q}, G) \rightarrow \prod_v H^1(\mathbb{Q}_v, G)$, where we take the product over all places v of \mathbb{Q} ; this is a finite set. Suppose that every $(G_{\mathbb{Q}}, h)$ is a Shimura datum, and use $T = \emptyset$ to define the moduli*

problems of Definition 2.9, so that they are moduli problems over $\text{Spec}(F)$.¹⁸ Then the projective system $(\mathcal{M}_K)_{K \subset G(\mathbb{A}_f)}$ is a disjoint union indexed by $i \in \text{Ker}^1(\mathbb{Q}, G)$ of projective systems $(\mathcal{M}_K^{(i)})_{K \subset G(\mathbb{A}_f)}$, and each $(\mathcal{M}_K^{(i)})_{K \subset G_i(\mathbb{A}_f)}$ is the canonical model of the Shimura variety of $(G_{\mathbb{Q}}, h)$.

- Remark 2.14.* (1) For every $i \in \text{Ker}^1(\mathbb{Q}, G)$, let G_i be the corresponding inner form of $G_{\mathbb{Q}}$; we have $G_{i,v} \simeq G_v$ for every place v of \mathbb{Q} , and we denote by h_i the morphism $\mathbb{S} \xrightarrow{h} G_{\mathbb{R}} \simeq G_{i,\mathbb{R}}$. If $(G_{\mathbb{Q}}, h)$ is a Shimura datum, then all (G_i, h_i) are, and the projective system of projective systems $(\mathcal{M}_K^{(i)})_{K \subset G(\mathbb{A}_f)}$ in (ii) of the proposition is really a canonical model of the Shimura variety of (G_i, h_i) (note that $G_i(\mathbb{A}_f) \simeq G(\mathbb{A}_f)$). But, as noted by Kottwitz at the end of Section 8 of [Kot92b], under our hypothesis that $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ has no factor of type D , all the groups G_i are isomorphic to $G_{\mathbb{Q}}$.
- (2) There is some information about $\text{Ker}^1(\mathbb{Q}, G)$ in Section 7 of [Kot92b], and ways to calculate it. For example, if $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ is simple of type C , we have $\text{Ker}^1(\mathbb{Q}, G) = \{1\}$, which explains why the moduli problem of Definition 1.14 gives a canonical model of the Siegel Shimura variety and not of a finite disjoint union of copies of it. If $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ is simple of type A , then $\text{Ker}^1(\mathbb{Q}, G)$ is automatically trivial “half” of the cases, and it is always isomorphic to $\text{Ker}^1(\mathbb{Q}, Z(G))$; for example, it is trivial for the Shimura datum of Example 1.38.
- (3) Kottwitz doesn’t say much about the case where $\mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ has simple factors of type D . The situation is complicated for many reasons: the group $G_{\mathbb{Q}}$ is not connected, $\text{Ker}(\mathbb{Q}, G)$ is not trivial, and point (i) of Proposition 2.13 is not true in general, so we must also be careful about the choice of T . In any case, it is still true that the Shimura varieties $M_K(G^0, h)(\mathbb{C})$ are open and closed subschemes of $\mathcal{M}_{K,\mathbb{C}}$ (see [Lan12, 2.5]), and we might even canonical models out of this, but we won’t pursue that here because there are other ways to get canonical models for these Shimura data (see Subsubsection 2.2.1).
- (4) If we want (G, h) to be a PEL Shimura datum, then this puts pretty strict conditions on the center of G . For example, if F is a nontrivial totally real extension of \mathbb{Q} , then the group $\text{Res}_{F/\mathbb{Q}} \text{GL}_2$ (defined by $\text{Res}_{F/\mathbb{Q}} \text{GL}_2(R) = \text{GL}_2(R \otimes_{\mathbb{Q}} F)$) is part of a Shimura datum, but this Shimura datum cannot be PEL; more generally, we have the issue with the group $\text{Res}_{F/\mathbb{Q}} \text{GSp}_{2d}$. This is somewhat annoying, as sometimes we really do want to consider the Shimura varieties for these precise groups (see for example Nekovar and Scholl’s [NS16]). Fortunately, these Shimura data are of Hodge type (see Subsubsection 2.2.1), so their Shimura varieties are still understood reasonably well.

2.1.4. Canonical integral models. PEL moduli problems don’t just give canonical models of Shimura varieties, they also give models over various localizations of the ring of integers of the reflex field, at least when $\text{Ker}^1(\mathbb{Q}, G)$ is trivial. Here are some things that we can learn from this example:

¹⁸By (i), these moduli problems are the generic fibers of the moduli problems defined by nonempty sets T .

- (1) The ring of integers over which we can expect to have a “good” integral model depends on the level K . More precisely, to have a good integral model defined over $\mathcal{O}_{F,(p)}$, we need K to be of the form $K^p K_p$, where $K^p \subset G(\mathbb{A}_f^p)$ and K_p is a hyperspecial maximal compact subgroup of $G(\mathbb{Q}_p)$. Likewise, the Hecke correspondences that will extend to finite étale morphisms between integral models over $\mathcal{O}_{F,(p)}$ are the ones that are trivial at p , i.e. defined by elements of $G(\mathbb{A}_f^p)$.
- (2) We need a notion of what a “good” integral model is. If the Shimura varieties for (G, h) are compact, then we can just ask for the integral model to be projective smooth over the localization of \mathcal{O}_F that are using, and to have a dense generic fiber. But this does not suffice in the noncompact case.

To fix problem (2), Milne suggested only looking at models with a certain extension property. Let (G, h) be a Shimura datum, let $F = F(G, h)$, let p be a prime number at which G is unramified, and let $K_p \subset G(\mathbb{Q}_p)$ be a hyperspecial maximal compact subgroup.¹⁹ For every level K , write $M_K = M_K(G, h)$. We want to say what a canonical integral model \mathcal{M}_{K_p} over $\mathcal{O}_{F,(p)}$ of the projective system $(M_{K^p K_p})_{K^p \subset G(\mathbb{A}_f^p)}$, or of its limit M_{K_p} . The idea, first suggested by Milne in [Mil92] (see also Moonen’s paper [Moo98]), is to require that, for every S in a class of “admissible test schemes” over $\mathcal{O}_{F,(p)}$, any morphism $S \otimes_{\mathcal{O}_{F,(p)}} F \rightarrow M_{K_p}$ should extend to a morphism $S \rightarrow \mathcal{M}_{K_p}$. The problem is to decide what class of admissible test schemes one should use. We will follow Kisin’s presentation in [Kis10].

Definition 2.15 (See [Kis10, 2.3.7]). A **canonical integral model** of $(M_{K_p K^p})_{K^p \subset G(\mathbb{A}_f^p)}$ or of M_{K_p} over $\mathcal{O}_{F,(p)}$ is a projective system $(\mathcal{M}_{K_p K^p})_{K^p \subset G(\mathbb{A}_f^p)}$ of smooth $\mathcal{O}_{F,(p)}$ -schemes with finite étale transition maps, with finite étale morphisms $T_{g, K^p, K'^p} : \mathcal{M}_{K_p K'^p} \rightarrow \mathcal{M}_{K_p K^p}$ for all $g \in G(\mathbb{A}_f^p)$ and K^p, K'^p open compact subgroups of $G(\mathbb{A}_f^p)$ such that $K'^p \subset K^p \cap g K^p g^{-1}$, and with an isomorphism of projective systems $\iota : (\mathcal{M}_{K_p K^p}) \otimes_{\mathcal{O}_{F,(p)}} F \xrightarrow{\sim} (M_{K_p K^p})$, such that:

- (a) The morphisms T_{g, K^p, K'^p} satisfy the analogue of conditions (ii), (iii) and (iv) of Definition 1.36, and they correspond to the morphisms $T_{g, K_p K^p, K_p K'^p}$ between canonical models by the isomorphism ι (in other words, ι is $G(\mathbb{A}_f^p)$ -equivariant);
- (b) The scheme $\mathcal{M}_{K_p} := \varprojlim_{K^p} \mathcal{M}_{K_p K^p}$ satisfies the following extension property: if S is a regular formally smooth $\mathcal{O}_{F,(p)}$ -scheme, then any morphism $S \otimes_{\mathcal{O}_{F,(p)}} F \rightarrow M_{K_p}$ extends to a morphism $S \rightarrow \mathcal{M}_{K_p}$.

In particular, by applying the extension property with $S = \mathcal{M}_{K_p}$, we see that integral canonical models are unique up to unique isomorphism. Now the problem is existence. For PEL type Shimura varieties of type A or C (satisfying the condition that $\text{Ker}^1(\mathbb{Q}, G)$ is trivial), the PEL moduli problem will give some a canonical integral model. But what about other Shimura varieties?

2.2. Hodge type and abelian type Shimura varieties.

¹⁹The condition on p means that G extends to a reductive group scheme \mathcal{G} over \mathbb{Z}_p , and then we can take $K_p = \mathcal{G}(\mathbb{Z}_p)$.

2.2.1. *Hodge type Shimura varieties.* For every $d \geq 1$, we denote by (GSp_{2d}, h_d) the Siegel Shimura datum of Example 1.33.

The following condition was introduced in Deligne's paper [Del79] (Section 2.3) and named in Milne's paper [Mil90] (at the end of Section 3).

Definition 2.16. A Shimura datum (G, h) is of **Hodge type** if there exists an integer $d \geq 1$ and a morphism of Shimura data $u : (G, h) \rightarrow (\mathrm{GSp}_{2d}, h_d)$ such that the underlying morphism of algebraic groups $G \rightarrow \mathrm{GSp}_{2d}$ is injective. We also say that the corresponding Shimura variety is of Hodge type.

Example 2.17. (1) Every Shimura datum of PEL type is of Hodge type, pretty much by definition (or by Proposition 2.3.2 of [Del79]): if $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$ is a PEL datum and G is the corresponding group scheme, then G embeds into the group scheme H defined by

$$H(R) = \{g \in \mathrm{End}_R(\Lambda \otimes_{\mathbb{Z}} R) \mid \exists c(g) \in R^\times, \langle g(\cdot), g(\cdot) \rangle = c(g) \langle \cdot, \cdot \rangle\}$$

for every commutative ring R . As the alternating pairing $\langle \cdot, \cdot \rangle$ is nondegenerate by condition (5)(b) of Definition 2.1, and as all nondegenerate alternating pairing on $\Lambda \otimes_{\mathbb{Z}} \mathbb{Q}$ are equivalent, we have $H_{\mathbb{Q}} \simeq \mathrm{GSp}_{2d, \mathbb{Q}}$ for $2d = \dim_{\mathbb{Q}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{Q})$. Let h' be the composition of $h : \mathbb{S} \rightarrow G_{\mathbb{R}}$ and of the embedding $G_{\mathbb{R}} \rightarrow H_{\mathbb{R}} = \mathrm{GSp}_{2d, \mathbb{R}}$. We have seen in the discussion after Proposition 2.2 that $h : \mathbb{C} \rightarrow \mathrm{End}_{\mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R})$ induces a Hodge structure of type $\{(-1, 0), (0, -1)\}$ on $\Lambda \otimes_{\mathbb{Z}} \mathbb{C}$,²⁰ so h' satisfies condition (b) of Definition 1.32. It also satisfies condition (c) of Definition 1.32 because the \mathbb{R} -bilinear pairing $\langle \cdot, h(i)(\cdot) \rangle$ on $\Lambda \otimes_{\mathbb{Z}} \mathbb{R}$ is symmetric definite positive. Finally, for every $a \in \mathbb{R}^\times$, the element $h(a)$ of $\mathrm{End}_{\mathbb{R}}(\Lambda \otimes_{\mathbb{Z}} \mathbb{R})$ is $a \cdot \mathrm{id}$ (because h is a morphism of \mathbb{R} -algebras), so $h'(a) = aI_{2d} \in \mathrm{GSp}_{2d}(\mathbb{R})$. This implies that h' and h_d are conjugated by $\mathrm{GSp}_{2d}(\mathbb{R})$.

- (2) The list of groups G that have Shimura data of Hodge type is given (at least in theory) in Section 2.3 of [Del79]. For example, the group G can be of type B , while that is not possible for PEL type Shimura data.

The following result is due to Deligne; it follows from Corollaire 5.7 of [Del71]), which was already cited as Proposition 1.45.

Proposition 2.18. *Every Shimura variety of Hodge type admits a canonical model.*

Remark 2.19. There is a general philosophy that Shimura varieties should be moduli spaces of motives (the conditions that we put on a Shimura datum (G, h) are basically there to force the $G(\mathbb{R})$ -conjugacy class of h to be a parameter space of Hodge structures); see Section 3 of [Mil90] for more precise hopes.

For (G, h) , we are a bit closed to that hope: we can prove that $M_K(G, h)(\mathbb{C})$ is a moduli space of abelian varieties with Hodge cycles of a certain type and level structure (see Theorem 3.11 of [Mil90]). As Hodge cycles on complex abelian varieties are absolute by a theorem of Deligne (see Theorem 2.11 of Chapter I of [DMOS82]), we can also see the action of

²⁰Which means that, in the decomposition $\Lambda \otimes_{\mathbb{Z}} \mathbb{C} = \bigoplus_{p, q \in \mathbb{Z}} V^{p, q}$ induced by h , we have $V^{p, q} = 0$ unless $(p, q) \in \{(-1, 0), (0, -1)\}$.

$\text{Aut}(\mathbb{C}/F)$ (where $F = F(G, h)$) on this modular interpretation. So far, this has not allowed people to give a moduli interpretation of the integral models of the Shimura variety of (G, h) , but it does help with the construction of integral models, that we now discuss.

Let (G, h) be a Shimura datum of Hodge type, and let $u : G \rightarrow \text{GSp}_{2d}$ be an injective morphism inducing a morphism of Shimura data $(G, h) \rightarrow (\text{GSp}_{2d}, h_d)$. Let $F = F(G, h)$ be the reflex field of (G, h) . We fix a prime number p such that $G_{\mathbb{Q}_p}$ extends to a reductive group scheme \mathcal{G} over \mathbb{Z}_p . To simplify the presentation, we will assume that the embedding $G_{\mathbb{Q}_p} \rightarrow \text{GSp}_{2d, \mathbb{Q}_p}$ extends to an embedding $\mathcal{G} \rightarrow \text{GSp}_{2d, \mathbb{Z}_p}$, though that is not necessary. We set $K_p = \mathcal{G}(\mathbb{Z}_p)$ and $K'_p = \text{GSp}_{2d}(\mathbb{Z}_p)$.

For each sufficiently small open compact subgroup K^p of $G(\mathbb{A}_f^p)$, we fix an open compact subgroup K'^p of $\text{GSp}_{2d}(\mathbb{A}_f^p)$ such that, setting $K = K_p K^p$ and $K' = K'_p K'^p$, the morphism u defines a closed immersion $M_K(G, h) \rightarrow M_{K'}(\text{GSp}_{2d}, h_d)_F$ (this is possible by Proposition 1.15 of [Del71]).

Let $\mathcal{M}_{K'}$ be the integral model of $M_{K'}(G, h)$ over $\mathcal{O}_{F, (p)}$ given by base change from its canonical integral model. We denote by \mathcal{M}_K the normalization of the closure of the image of $M_K(G, h)$ in $\mathcal{M}_{K'} \supset M_{K'}(G, h)_F$. Kisin proved the following result.

Theorem 2.20 (Theorem 2.3.8 of [Kis10]). *Suppose that $p > 2$. The limit $\varprojlim_{K^p} \mathcal{M}_{K_p K^p}$ is a canonical integral model of the Shimura variety of (G, h) .*

In particular, the schemes \mathcal{M}_K do not depend on the choice of K'^p or on the embedding $G \rightarrow \text{GSp}_{2d}$.

Remark 2.21. In fact, Theorem 2.3.8 of [Kis10] is more general, and gives a construction of a canonical integral model without the assumption on the embedding $G_{\mathbb{Q}_p} \rightarrow \text{GSp}_{2d, \mathbb{Q}_p}$. It even allows the case $p = 2$ under some conditions.

2.2.2. Abelian type Shimura varieties.

Definition 2.22. Let (G, h) be a Shimura datum. We say that (G, h) is of **abelian type** if there exists a Shimura datum of Hodge type (G_1, h_1) and a central isogeny $G_1^{\text{der}} \rightarrow G_{\text{der}}$ that induces an isomorphism of Shimura data $(G_{1, \text{ad}}, h_{1, \text{ad}}) \xrightarrow{\sim} (G_{\text{ad}}, h_{\text{ad}})$, where $h_{1, \text{ad}}$ (resp. h_{ad}) is the composition of h_1 (resp. h) and of the quotient morphism $G_1 \rightarrow G_{1, \text{ad}}$ (resp. $G \rightarrow G_{\text{ad}}$). In that case, we also say that the corresponding Shimura varieties are of the abelian type.

Another way to formulate the definition is to say that a Shimura variety $M_K(G, h)(\mathbb{C})$ is of abelian type if all its connected components are finite quotients of connected components of Shimura varieties of Hodge type (see Section 9 of [Del79]). Deligne has classified all connected Shimura varieties of abelian type in [Del79, 2.3]. The very rough upshot is that all Shimura data (G, h) with G of type A , B and C are of abelian type; if G is of type D , it is complicated, and if G is of type E_6 or E_7 , then the Shimura datum is never of abelian type. See page 61 of [Lan20] for more details.

Theorem 2.23 (Deligne, see Corollaire 2.7.21 of [Del79]). *Let (G, h) be a Shimura datum of abelian type. Then the Shimura variety of (G, h) admits a canonical model.*

In fact, Deligne reduces the construction of a canonical model of $M_K(G, h)(\mathbb{C})$ to that of canonical models of its connected components (over finite extensions of $F(G, h)$). See for example Corollaire 2.7.18 of [Del79].

Remark 2.24. Shimura varieties of abelian type are *not* moduli spaces of abelian varieties in general. However, Milne proved in [Mil94] that they are moduli spaces of motives if $h \circ w : \mathrm{GL}_{1, \mathbb{R}} \rightarrow G_{\mathbb{R}}$ is defined over \mathbb{Q} , and this leads to a more direct proof of existence of their canonical models even without that condition.

Theorem 2.25 (Milne, see Theorem 3.31 of [Mil94]; see also Brylinski's paper [Bry83]). *Let (G, h) be a Shimura datum of abelian type such that $h \circ w : \mathrm{GL}_{1, \mathbb{R}} \rightarrow G_{\mathbb{R}}$ is defined over \mathbb{Q} . Then each $M_K(G, h)$ is a moduli space of abelian motives (over the reflex field of (G, h)).*

By reducing to the case of Shimura varieties of Hodge type, Kisin is able to prove the existence of canonical integral models of Shimura varieties of abelian type.

Theorem 2.26 (Corollary 3.4.14 of [Kis10]). *Let (G, h) be a Shimura datum of abelian type, let $p > 2$ be a prime number such that $G_{\mathbb{Q}_p}$ extends to a reductive group scheme \mathcal{G} over \mathbb{Z}_p , and let $K_p = G(\mathbb{Z}_p)$. Then $M_{K_p} := \varprojlim_{K^p \subset G(\mathbb{A}_f^p)} M_{K_p K^p}(H, h)$ admits a canonical integral model over $\mathcal{O}_{F, (p)}$, where $F = F(G, h)$.*

2.3. General Shimura varieties. Let (G, h) be a Shimura datum that is not of abelian type. Then we know very little, but we do know that canonical models exist. This results was first claimed in the paper [Mil83] of Milne (based on earlier results of Kazhdan and Borovoi), but there was a gap in the proof, which was fixed by Moonen in Section 2 of [Moo98].

Theorem 2.27 (Milne-Moonen, cf. [Moo98, Section 2]). *Let (G, h) be a Shimura datum. Then the Shimura variety of (G, h) admits a canonical model.*

In fact, Section 2 of [Moo98] contains a good summary of the different construction methods of canonical models. The proof in the general case does not proceed by reduction to the case of Siegel modular varieties (unlike the previous proofs in the abelian type case), but uses results of Borovoi, Deligne, Milne and Shih on a conjecture of Langlands, that says that a conjugate of a Shimura variety over \mathbb{C} by an automorphism of \mathbb{C} is still a Shimura variety (Langlands's conjecture is much more precise than this, see for example Theorem 2.4 of [Moo98]).

2.4. Kottwitz's simple Shimura varieties. After considering more and more complicated Shimura varieties in the previous subsections, we will now introduce a very simple PEL case, that has been studied by Kottwitz in [Kot92a]. These Shimura varieties are simple for several reasons:

- they are compact;
- they are PEL of type A, hence moduli spaces of abelian schemes with extra structures;
- their reductive group has no endoscopy (see below for a more precise statement).

2.4.1. *Inner forms of unitary groups.* We fix a totally real extension F_0 of \mathbb{Q} and a totally imaginary quadratic extension F of F_0 . Such an extension F of \mathbb{Q} is called a **CM extension**. We denote by $z \mapsto \bar{z}$ the nontrivial element of $\text{Gal}(F/F_0)$.

Let n be a positive integer. The quasi-split unitary group $U^*(n)$ over F_0 is defined to be the unitary group of the Hermitian F_0 -space F^n , with the form

$$((x_1, \dots, x_n), (y_1, \dots, y_n)) \mapsto \sum_{i=1}^n x_i \overline{y_{n+1-i}}.$$

In other words, for every commutative F_0 -algebra R , we have

$$U^*(n) = \{g \in \text{GL}_n(F \otimes_{F_0} R) \mid {}^t \bar{g} J g = J\},$$

where J is the $n \times n$ anti-diagonal matrix with nonzero coefficients equal to 1.

We want to describe all inner forms of $U^*(n)$. Remember that, if G and H are algebraic groups over a field k , we say that they are **inner forms** of each other if there exists an isomorphism $\varphi : G_{\bar{k}} \xrightarrow{\sim} H_{\bar{k}}$ such that, for every $\sigma \in \text{Gal}(\bar{k}/k)$, the automorphism $\varphi^{-1} \circ \sigma \varphi$ of $G(\bar{k})$ is inner (where $\sigma \varphi$ is the isomorphism $\sigma \circ \varphi : G_{\bar{k}} \xrightarrow{\sim} H_{\bar{k}}$). Inner forms of G are in bijection with elements of $H^1(k, G_{\text{ad}}) := H^1(\text{Gal}(\bar{k}/k), G_{\text{ad}})$, where $G_{\text{ad}} = G/Z(G)$ with $Z(G)$ the center of G .

Here, observing that $U^*(n)_{\text{ad}}$ is the group of automorphisms of the couple formed by the central simple algebra $M_n(F)$ over F with the positive involution $g \mapsto Jg^*J$,²¹ we see that inner forms of $U^*(n)$ are exactly the groups $U(B, *)$, where B is a central simple algebra over F and $*$ is a positive involution on B extending the involution $z \mapsto \bar{z}$ on F , and $U(B, *)$ is the F_0 -group defined by

$$G(R) = \{g \in B \otimes_{F_0} R \mid gg^* = 1\},$$

for R a commutative F_0 -algebra.

On the other hand, if G is an inner form of $U^*(n)$, then $G_{F_{0,v}}$ is an inner form of $U^*(n)_{F_{0,v}}$, for every place v of F_0 , which is isomorphic to $U^*(n)_{F_{0,v}}$ itself for all but finitely many v . Inner forms over local fields are easier to classify (because the absolute Galois groups of local fields are simpler); but then we must be able to decide when a family of inner forms of the $U^*(n)_{F_{0,v}}$ comes from a “global” inner form of $U^*(n)$ (defined over F_0). Using Galois cohomology calculations or the calculation of the Brauer groups of local and global fields, we get the following results (see for example Section 2 of Clozel’s paper [Clo91]):

Proposition 2.28. *Let v be a place of F_0 .*

- *Suppose that v is finite and does not split in F . If n is odd, then the only inner form of $U^*(n)_{F_{0,v}}$ is $U^*(n)_{F_{0,v}}$ itself (up to isomorphism). If n is even, then there are two isomorphism classes of inner forms of $U^*(n)_{F_{0,v}}$.*
- *Suppose that v splits in F (in particular, v is finite), and let w be a place of F above v . Then $U^*(n)_{F_{0,v}} \simeq \text{GL}_{n, F_{0,v}} \simeq \text{GL}_{n, F_w}$, and its inner forms are (up to isomorphism) the groups $\text{GL}_m(D)$, for m dividing n and D a central division algebra over F_w of dimension $(n/m)^2$.*

²¹See Definition 2.1 for the definition of a positive involution.

- Suppose that v is infinite, hence a real place of F_0 . Then the inner forms of $U^*(n)_{F_{0,v}}$ are (up to isomorphism) the real unitary groups $U_{p,q}$ of signature (p, q) , for $p+q = n$, and we have $U_{p,q} \simeq U_{r,s}$ if and only if $(r, s) = (p, q)$ or (q, p) .

Suppose that n is even, let v be a place of F_0 and let G be an inner form of $U^*(n)_{F_{0,v}}$.

- If v is finite and does not split in F , set $\epsilon(G) = 1$ if $G \simeq U^*(n)_{F_{0,v}}$ and $\epsilon(G) = -1$ otherwise;
- If v is finite and splits in F , set $\epsilon(G) = (-1)^m$ if $G \simeq GL_m(D)$ with m dividing n and D a central division algebra over F_w of dimension $(n/m)^2$;
- If v is infinite, set $\epsilon(G) = (-1)^{n/2-p}$ if $G \simeq U_{p,q}$.

Proposition 2.29. *Consider a family $(G_v)_v$ place of F_0 , where G_v is an inner form of $U^*(n)_{F_{0,v}}$ for every place v of F_0 . Suppose that $G_v \simeq U^*(n)_{F_{0,v}}$ for all but finitely many places v .*

- If n is odd, there exists an inner form G of $U^*(n)$ such that $G_{F_{0,v}} \simeq G_v$ for every v .
- If n is even, there exists an inner form G of $U^*(n)$ such that $G_{F_{0,v}} \simeq G_v$ for every v if and only if $\prod_v \epsilon(G_v) = 1$.

Remark 2.30. Let G be an inner form of $U^*(n)$. We know that $G \simeq U(B, *)$, with B a central simple algebra over F and $*$ a positive involution on B extending the involution $z \mapsto \bar{z}$ on F . In the next subsection, it will be of interest to us to know when B is a division algebra. Let v be a place of F_0 , and let $G_v = G_{F_{0,v}}$.

- If v does not split in F , and let w be a place of F above v . The group G_v is a unitary group over $F_{0,v}$, so we have $G_v \simeq U(B_v, *_v)$, with B a central simple algebra over F_w and $*$ a positive involution on B extending the nontrivial element of $\text{Gal}(F_w/F_{0,v})$. Also, we can write $B_v = M_{m_v}(D_v)$, with m_v dividing n and D_v a central division algebra of dimension $(n/m_v)^2$ over F_w .
- If v splits in F , then we have $G_v \simeq M_{m_v}(D_v)$, with m_v dividing n and D_v a central division algebra of dimension $(n/m_v)^2$ over $F_{0,v}$.

We can now deduce from the classification of central simple algebras over F that B is a division algebra if and only if the gcd of the family (m_v) is equal to 1. The simplest way to make sure that this condition is satisfied is to take one of the m_v equal to 1, for example to take G_v of the form D_v^\times for a place of F_0 split in F , where D_v is a central division algebra over $F_{0,v}$.

2.4.2. Simple Shimura varieties.

Definition 2.31 (See §1 of [Kot92a]). A **Kottwitz simple Shimura variety** is a Shimura variety defined by the Shimura datum (G, h) associated to a PEL datum $(\mathcal{O}, *, \Lambda, \langle \cdot, \cdot \rangle, h)$ such that:

- $D := \mathcal{O} \otimes_{\mathbb{Z}} \mathbb{Q}$ is a division algebra with center a CM extension F of \mathbb{Q} ;
- $*$ extends the nontrivial automorphism of F/F_0 , where F_0 is the maximal totally real subextension of F ;
- $\Lambda = \mathcal{O}$;
- $\langle x, y \rangle = \text{Tr}_{\mathcal{O}/\mathbb{Z}}(x^*y)$ for all $x, y \in \Lambda$.

We have $\text{End}_{\mathcal{O}}(\Lambda) = \mathcal{O}^{\text{op}}$ (acting by right multiplication), so, for every commutative ring R ,

$$G(R) = \{g \in (\mathcal{O}^{\text{op}} \otimes_{\mathbb{Z}} R)^{\times} \mid gg^* \in R^{\times}\}.$$

We have a morphism $c : G \rightarrow \text{GL}_1$ sending $g \in G(R)$ to $gg^* \in \text{GL}_1(R)$, and we denote its kernel by G_0 .

Denote by $\text{Res}_{F_0/\mathbb{Q}}$ **the foncteur of Weil restriction of scalars**²² from F_0 to \mathbb{Q} ; in particular, if H is an algebraic group over F_0 , then $\text{Res}_{F_0/\mathbb{Q}} H$ is the algebraic group over \mathbb{Q} defined by $\text{Res}_{F_0/\mathbb{Q}} H(R) = H(R \otimes_{\mathbb{Q}} F_0)$ for every commutative \mathbb{Q} -algebra R . Then

$$G_{0,\mathbb{Q}} = \text{Res}_{F_0/\mathbb{Q}} U,$$

with U the algebraic group over F_0 defined by

$$U(R) = \{g \in (D^{\text{op}} \otimes_{F_0} R)^{\times} \mid gg^* = 1\}$$

for every F_0 -algebra R .

The dimension of D over F is of the form n^2 with $n \in \mathbb{N}$, and U is an inner form of the quasi-split unitary group $U^*(n)$ over F_0 defined by the extension F/F_0 . By Propositions 2.28 and 2.29 and Remark 2.30, we have a description of such inner forms. In particular, we know that

$$G_{0,\mathbb{R}} \simeq \prod_{\tau \in \Phi} U_{p_{\tau}, q_{\tau}},$$

where Φ is the set of real places of F_0 and, for every $\tau \in \Phi$, p_{τ} and q_{τ} are nonnegative integers such that $p_{\tau} + q_{\tau} = n$. Note that Definition 2.31 says nothing about $h : \mathbb{S} \rightarrow G_{\mathbb{R}}$, but we now know what morphism h to choose: if $z \in \mathbb{C}^{\times}$ is of norm 1, we take

$$h(z) = \left(\begin{pmatrix} zI_{p_{\tau}} & 0 \\ 0 & \bar{z}I_{q_{\tau}} \end{pmatrix} \right)_{\tau \in \Phi} \in \prod_{\tau \in \Phi} U_{p_{\tau}, q_{\tau}} \simeq G_0(\mathbb{R}).$$

Then there is a unique extension h to a morphism $h : \mathbb{C}^{\times} \rightarrow G(\mathbb{R})$ such that $h(a) = a \cdot \text{id}$ if $a \in \mathbb{R}^{\times}$.

Note that we can choose the signatures of $G_{0,\mathbb{R}}$ arbitrarily, by manipulating what happens at finite places. On the other hand, the Shimura varieties of (G, h) are always compact, thanks to the following lemma.

Lemma 2.32. *The group G^{der} is of \mathbb{Q} -rank 0.*

Proof. We have $G^{\text{der}} = G_0$, so $G_F^{\text{der}} \simeq D^{\times}$. Let T be a maximal torus of G_0 . Then T_F is a maximal torus in D^{\times} (seen as an algebraic group over F). As D is a division algebra, there exists a degree n extension F' of F such that $T_F = F'^{\times}$, i.e. $T_F = \text{Res}_{F'/F} \text{GL}_{1,F'}$. This shows that the maximal split subtorus of T_F is $\{1\}$, so the maximal split subtorus of T is also $\{1\}$. \square

We now discuss endoscopy.

²²Say “foncteur” is the French word for “functor” in English.

2.4.3. Endoscopy. In its simplest form, endoscopy is the following phenomenon: let G be an algebraic group over a field k . Then the $G(\bar{k})$ -conjugacy classes in $G(k)$ can be larger than the $G(k)$ -conjugacy classes. Some vocabulary: $G(\bar{k})$ -conjugacy classes in $G(k)$ are often called the **stable conjugacy classes**, and $G(\bar{k})$ -conjugate elements are called **stably conjugate** (sometimes this terminology is only used for regular semisimple elements).

- Example 2.33.** (1) Suppose that $G = \mathrm{GL}_n$. It is then a classical exercise that any two elements of $G(k)$ that are $G(\bar{k})$ -conjugate are actually $G(k)$ -conjugate. We say that GL_n has no endoscopy.
- (2) We can generalize (1) to inner forms of GL_n , i.e. algebraic groups of the form B^\times , where B is a central simple algebra over k .
- (3) Take $k = \mathbb{R}$ and $G = \mathrm{SL}_2$. As $\mathrm{GL}_2(\mathbb{C}) = \mathbb{C}^\times \cdot \mathrm{SL}_2(\mathbb{C})$, elements of $G(\mathbb{R})$ are $G(\mathbb{C})$ -conjugate if and only if they are $\mathrm{GL}_2(\mathbb{C})$ -conjugate. For example, the matrices $\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}$ and $\begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix}$ are in the same $\mathrm{SL}_2(\mathbb{C})$ -conjugacy class, but we can check by a direct calculation that they are not in the same $\mathrm{SL}_2(\mathbb{R})$ -conjugacy class. So SL_2 has endoscopy, and we can generalize that example to SL_n for $n \geq 2$.
- (4) If $k = \mathbb{R}$ and $G = \mathrm{U}_n := \{g \in \mathrm{GL}_n(\mathbb{C}) \mid g^*g = I_n\}$, then again it is a classical exercise to check that $\mathrm{U}_n(\mathbb{C})$ -conjugacy classes in $\mathrm{U}_n(\mathbb{R})$ coincide with $\mathrm{U}_n(\mathbb{R})$ -conjugacy classes.

Remark 2.34. We care about stable conjugacy classes because, in the Langlands philosophy, groups are related via their L -groups (see ?? and ??). As inner forms have the same L -groups, this means that we should be able to move information between inner forms; but we can compare conjugacy classes in two inner forms, only stable conjugacy classes. More generally, if G and H are algebraic groups over k and there is a morphism ${}^L H \rightarrow {}^L G$ between their L -groups, then we can use this to transport stable conjugacy classes of semisimple elements from H to G .

It quickly becomes tiring to calculate conjugacy classes by hand, so we need more efficient methods to check for endoscopy. Let $\gamma \in G(k)$, and let $G_\gamma \subset G$ be the centralizer of γ .

Let $\delta \in G(k)$ be stably conjugate to γ , and let $g \in G(\bar{k})$ such that $\delta = g\gamma g^{-1}$. For every $\sigma \in \mathrm{Gal}(\bar{k}/k)$, we have

$$g\gamma g^{-1} = \delta = \sigma(\delta) = \sigma(g)\sigma(\gamma)\sigma(g)^{-1} = \sigma(g)\gamma\sigma(g)^{-1},$$

hence $\sigma(g)^{-1}g \in G_\gamma(\bar{k})$. So we get a 1-cocycle $c : \mathrm{Gal}(\bar{k}/k) \rightarrow G_\gamma(\bar{k})$, $\sigma \mapsto \sigma(g)^{-1}g$, and we can check that the image $\mathrm{inv}(\gamma, \delta)$ of this 1-cocycle in $H^1(k, G_\gamma)$ does not depend on the choice of g . Moreover, the image of $\mathrm{inv}(\gamma, \delta)$ in $H^1(k, G)$ is trivial.

Proposition 2.35. *Suppose that γ is semisimple. Then the map $\delta \mapsto \mathrm{inv}(\gamma, \delta)$ gives a bijection from the set of stable conjugacy classes in the $G(k)$ -conjugacy class of γ to $\mathrm{Ker}(H^1(k, G_\gamma) \rightarrow H^1(k, G))$.*

This is particularly useful when G^{der} is simply connected and γ is regular and semisimple, because then the centralizer of γ is a maximal torus.

Example 2.36. (1) Take $k = \mathbb{R}$ and $G = U_{p,q}$, the unitary group of a form with signature (p, q) . Any maximal torus T of G is isomorphic to $\mathbb{S}^r \times U_1^s$, with $2r + s = p + q$. (Remember that $\mathbb{S} = \text{Res}_{\mathbb{C}/\mathbb{R}} \text{GL}_{1,\mathbb{C}}$, i.e. it is \mathbb{C}^\times seen as an algebraic group over \mathbb{R} .) By Shapiro's lemma and Hilbert's theorem 90, we have

$$H^i(\mathbb{R}, \mathbb{S}) = H^i(\mathbb{C}, \text{GL}_{1,\mathbb{C}}) = 0$$

and

$$H^i(\mathbb{R}, \text{GL}_{1,\mathbb{R}}) = 0$$

for every $i \geq 1$. Using the exact sequence

$$1 \rightarrow U_1 \rightarrow \mathbb{S} \xrightarrow{\text{Nm}} \text{GL}_{1,\mathbb{R}} \rightarrow 1$$

where $\text{Nm} : \mathbb{C}^\times \rightarrow \mathbb{R}^\times$ is the map $z \mapsto z\bar{z}$, we see that $H^i(\mathbb{R}, U_1) = 0$ if $i \geq 2$, and $H^1(\mathbb{R}, U_1) = \mathbb{R}^\times / \text{Nm}(\mathbb{C}^\times) = \mathbb{Z}/2\mathbb{Z}$. So

$$H^1(\mathbb{R}, T) = (\mathbb{Z}/2\mathbb{Z})^s.$$

On the other hand, by the main result of Borovoi's paper [Bor14, Theorem 9], we have

$$H^1(\mathbb{R}, G) = H^1(\mathbb{R}, T_0)/W_0,$$

where T_0 is a maximal torus of G with minimal \mathbb{R} -rank, i.e. $T_0 \simeq U_1^{p+q}$, and W_0 is the group of \mathbb{R} -points of the Weyl group scheme W_{T_0} . As T_0 is anisotropic, the group scheme W_{T_0} is constant, so $W_0 = \mathfrak{S}_{p+q}$. We finally get that

$$H^1(\mathbb{R}, G) = (\mathbb{Z}/2\mathbb{Z})^{p+q} / \mathfrak{S}_{p+q},$$

where \mathfrak{S}_{p+q} acts by permuting the entries. We still need to check that the map $H^1(\mathbb{R}, T) \rightarrow H^1(\mathbb{R}, G)$ is the obvious one, i.e. induced by the map $(\mathbb{Z}/2\mathbb{Z})^s \rightarrow (\mathbb{Z}/2\mathbb{Z})^{p+q}$ adding $p + q - s$ entries equal to 0 (it does not matter which ones, as we are taking the quotient by \mathfrak{S}_{p+q}), but this is not hard. We conclude that $\text{Ker}(H^1(\mathbb{R}, T) \rightarrow H^1(\mathbb{R}, G))$ is trivial. Hence $G(\mathbb{R})$ -conjugacy classes of regular semisimple elements coincide with $G(\mathbb{C})$ -conjugacy classes.

Note that in the previous paragraph, although $\text{Ker}(H^1(\mathbb{R}, T) \rightarrow H^1(\mathbb{R}, G))$ is trivial, the map $H^1(\mathbb{R}, T) \rightarrow H^1(\mathbb{R}, G)$ is not injective. This happens because $H^1(\mathbb{R}, G)$ is just a pointed set and not a group (unlike $H^1(\mathbb{R}, T)$).

- (2) We now take k to be a finite extension of \mathbb{Q}_p , E be an unramified quadratic extension of k , and $G = U^*(n)_{E/k}$ to be the quasi-split unitary group defined by that extension, i.e. the unitary group of the Hermitian k -space E^n , with the form

$$((x_1, \dots, x_n), (y_1, \dots, y_n)) \mapsto \sum_{i=1}^n x_i \overline{y_{n+1-i}},$$

where $x \mapsto \bar{x}$ is the nontrivial element of $\text{Gal}(E/k)$. Any maximal torus T of G is isomorphic to $(\text{Res}_{E/k} \text{GL}_1)^r \times U(1)_{E/k}^s$, where $U(1)_{E/k}$ is the subgroup of norm elements in $\text{Res}_{E/k} \text{GL}_1$ and $2r + s = n$. As before, we have $H^1(k, \text{Res}_{E/k} \text{GL}_1) = 0$ and $H^1(k, U(1)_{E/k}) = k^\times / \text{Nm}_{E/k}(E^\times) = \mathbb{Z}/2\mathbb{Z}$.

But now we have $H^1(k, G) = \mathbb{Z}/2\mathbb{Z}$. Indeed, the derived group $G^{\text{der}} = \text{SU}^*(n)_{E/k}$ of G is simply connected, so $H^1(k, G^{\text{der}}) = 0$ by a theorem of Kneser (see [Kne65]),

and then we use the fact that $G = G^{\text{der}} \rtimes \text{U}(1)_{E/k}$. The map $H^1(k, T) \rightarrow H^1(k, G)$ is then just the sum map.

So we see that, for some maximal tori T , the set $\text{Ker}(H^1(k, T) \rightarrow H^1(k, G))$ is not a singleton, hence there are stable conjugacy classes containing more than one conjugacy class. As in (1), the more anisotropic factors the torus T has, the bigger its H^1 is.

The second example shows that, if G is the general unitary group of a Kottwitz simple Shimura variety as in Definition 2.31, then it is not reasonable to expect that G will behave as GL_n and have absolutely no endoscopy over any field. In fact, what Kottwitz actually proved about these groups is the following:

Proposition 2.37 ([Kot92a, Lemma 2] and [Kot86, Theorem 6.6]). *Let $\overline{\mathbb{A}}$ be the restricted product of the $\overline{\mathbb{Q}}_v$, for v a place of \mathbb{Q} . Let γ be a semisimple element of $G(\mathbb{Q})$, and δ be an element of $G(\mathbb{A})$ that is $G(\overline{\mathbb{A}})$ -conjugate to γ . Then there exists an element of $G(\mathbb{Q})$ that is $G(\mathbb{A})$ -conjugate to δ .²³*

This implies that in the trace formula for G (see ??), we will be able to group the orbital integrals on the geometric side by stable conjugacy class and obtain an expression that is easier to transfer between groups. See Section 4 of [Kot92a].

The proof of Proposition 2.37 is a more complicated global version of the Galois cohomology calculations of Example 2.36. First Kottwitz reduces to the case of $G^{\text{der}} = \text{Res}_{F_0/\mathbb{Q}} \text{U}$, where U is the unitary group (over F_0) given by $\text{U}(R) = \{g \in (D \otimes_{F_0} R)^\times \mid gg^* = 1\}$. Then he reduces to a similar result for U , now involving F_0 -rational points and the ring of adeles of F_0 . The main point is that, if T is a maximal torus of U , then T_F is a maximal torus of D^\times , and maximal tori of D^\times are all of the form $\text{Res}_{K/F} \text{GL}_1$, for K a degree n extension of F . This allows us to control the Galois cohomology of T .

2.5. p -adic uniformization and local Shimura varieties.

²³Note however that this new element of $G(\mathbb{Q})$ may not be $G(\mathbb{Q})$ -conjugate to γ .

3. THE COHOMOLOGY OF SHIMURA VARIETIES

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