

# Part II - Galois Theory

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## 0 Introduction

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Lecture 1

Galois Theory begins with polynomial equations and trying to solve them. Galois discovered certain **symmetries** of equations, which led to symmetries of fields (Steinitz, Artin).

Babylonians were able to solve the quadratic equation  $X^2 + bX + c$  thousands of years ago, and so can we - write it as  $(X + b/2)^2 + c - b^2/4$ , which leads to the quadratic formula, or use Vieta's formulas to get  $x_1x_2 = c, x_1 + x_2 = -b$ , from which we can solve for  $x_1$  by doing  $x_1 = \frac{1}{2}((x_1 + x_2) + (x_1 - x_2))$  and  $(x_1 - x_2)^2 = (x_1 + x_2)^2 - 4x_1x_2$ .

A lot later people figured out how to solve the cubic equation,  $X^3 + aX^2 + bX + c$ . We get  $x_1 + x_2 + x_3 = -a, x_1x_2 + x_2x_3 + x_3x_1 = b, x_1x_2x_3 = -c$ . If we replace  $X \mapsto X - a/3$ , we end up with a cubic equation without a quadratic term. Now

$$x_1 = \frac{1}{3} [(x_1 + x_2 + x_3) + (x_1 + \omega x_2 + \omega^2 x_3) + (x_1 + \omega^2 x_2 + \omega x_3)]$$

for  $\omega = e^{2\pi i/3}$  a cube root of unity. Let  $u = (x_1 + \omega x_2 + \omega^2 x_3), v = (x_1 + \omega^2 x_2 + \omega x_3)$ .

If we cyclically permute  $x_1, x_2, x_3$ , we find  $u \mapsto \omega u \mapsto \omega^2 u$  and  $v \mapsto \omega v \mapsto \omega^2 v$ , so  $u^3$  and  $v^3$  are invariant under cyclic permutations of the roots. Hence  $u^3 + v^3$  and  $u^3 v^3$  are invariant under permutations of the roots, so (as we prove in the next lecture) we can express them in terms of the coefficients of the polynomial.

In fact, they're given by  $u^3 + v^3 = -27c, u^3 v^3 = -27b^2$ , hence  $u^3, v^3$  are roots of  $Y^2 + 27cY - 27b^2$ , from which we can find  $u, v$  and hence  $x_1$ . This is **Cardano's formula**.

If we proceed similarly for quartics, we end up with a cubic equation which we can solve as above. Unfortunately, this doesn't work for quintics. The reason for this lies in group theory.

# 1 Polynomials

In this course, all rings will be commutative, with a one, and nonzero. For a ring  $R$ ,  $R[X]$  is the ring of polynomials over  $R$ , i.e. just the formal expressions  $\sum_{i=0}^n a_i X^i$  for  $a_i \in R$ .

A polynomial  $f \in R[X]$  determines a **function**  $R \rightarrow R$ . However, the polynomial  $r \mapsto f(r)$  isn't in general determined by the function. For example, if  $R = \mathbb{Z}/p\mathbb{Z}$  for  $p$  a prime, then  $\forall a \in R, a^p = a$ , so the polynomials  $X^p$  and  $X$  represent the same function, while being different polynomials.

In the case where  $R = K$  is a field, we know  $K[X]$  is a Euclidean domain, so it has a division algorithm: if  $f, g \in K[X]$  and  $g$  is nonzero, then there exist unique  $q, r$  such that  $f = gq + r$  and  $\deg(r) < \deg(g)$  (note that  $\deg(0) = -\infty$ ). If  $g = X - a$  is linear, then we get  $f = (X - a)q + f(a)$ , the **remainder theorem**.

$K[X]$  is also a PID and UFD, so every polynomial is a product of irreducible polynomials, and there are GCDs, which we can compute using Euclid's algorithm.

**Proposition 1.1.** If  $K$  is a field and  $f \in K[x]$  is nonzero, then  $f$  has at most  $\deg(f)$  roots in  $K$ .<sup>1</sup>

*Proof.* If  $f$  has no roots, we're done. Otherwise, let  $f(a) = 0$  and write  $f = (X - a)g$  with  $\deg(g) = \deg(f) - 1$ . But if  $b$  is a root of  $f$ , then  $f(b) = 0 \implies b = a$  or  $g(b) = 0$ , so  $f$  has at most  $(1 + \text{number of roots of } g)$  roots and the claim follows by induction.  $\square$

# 2 Symmetric polynomials

Let  $R$  be a ring and consider  $R[X_1, \dots, X_n]$  for some  $n \geq 1$ .

**Definition 2.1.** A polynomial  $f \in R[X_1, \dots, X_n]$  is **symmetric** if for every permutation  $\sigma \in S_n$ ,  $f(X_{\sigma(1)}, \dots, X_{\sigma(n)}) = f$ .

The set of symmetric polynomials is a subring of  $R[X_1, \dots, X_n]$ .

**Example 2.1.**  $X_1 + \dots + X_n$ , or more generally,  $P_k = \sum_{i=1}^n X_i^k$  are symmetric polynomials.

Alternative definition:

**Definition 2.2.** If  $f \in R[X_1, \dots, X_n]$ , define  $f\sigma = f(X_{\sigma(1)}, \dots, X_{\sigma(n)})$ . This is a (right) action on the group  $S_n$ . We say  $f$  is **symmetric** if  $f\sigma = f \forall \sigma \in S_n$ .

<sup>1</sup>Note that this is not true if  $K$  is a ring.

The **elementary symmetric polynomials** are

$$s_r(X_1, \dots, X_n) = \sum_{i_1 < \dots < i_r} X_{i_1} \dots X_{i_r}.$$

**Example 2.2.** For  $n = 3$ ,  $s_1 = X_1 + X_2 + X_3$ ,  $s_2 = X_1X_2 + X_1X_3 + X_2X_3$ ,  $s_3 = X_1X_2X_3$ .

**Theorem 2.1.** (i) Every symmetric polynomial over  $R$  can be expressed as a polynomial in  $\{s_r \mid 1 \leq r \leq n\}$  with coefficients in  $R$ .

(ii) There are no non-trivial relations between  $s_1, \dots, s_n$  - they're independent.

**Remarks.**

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Lecture 2

(a) Consider the homomorphism

$$\theta : R[Y_1, \dots, Y_n] \rightarrow R[X_1, \dots, X_n]$$

by  $\theta(Y_r) = S_r$  (and identity on  $R$ ). Then (i) says that the image of  $\theta$  is the set of symmetric polynomials, and (ii) says that  $\theta$  is injective.

(b) An equivalent definition of the  $\{s_r\}$  is

$$\prod_{i=1}^n (T + x_i) = T^n + s_1 T^{n-1} + \dots + s_{n-1} T + s_n.$$

(c) If we need to specify the number of variables, we write  $s_{r,n}$  instead of  $s_r$ .

*Proof of Theorem 2.1.* Terminology:

- A **monomial** is some  $X_I = X_1^{i_1} \dots X_n^{i_n}$  for some  $I \in \mathbb{Z}_{\geq 0}^n$ .
- Its **(total) degree** is  $\sum i_\alpha$ .
- A **term**  $\beta$  is some  $cX_I$ ,  $0 \neq c \in R$ , so a polynomial is uniquely a sum of terms.
- The total degree of  $f$  is the maximal degree of any of the terms.

Define a lexicographical ordering on monomials  $X_I$  as follows:  $X_I > X_J$  if either  $i_1 > j_1$  or for some  $1 \leq r < n$ ,  $i_1 = j_1, \dots, i_r = j_r$  and  $i_{r+1} > j_{r+1}$ . This is a **total ordering**: for each pair  $I \neq J$ , exactly one of  $X_I > X_J$  or  $X_J > X_I$  holds.

Existence: Let  $d$  be the total degree of some symmetric polynomial  $f$  and let  $X_I$  be the lexicographically largest monomial in  $f$  with coefficient  $c \in R$ . As  $f$  is symmetric, we must have  $i_1 \geq i_2 \geq \dots \geq i_n$  (if not, say  $i_r < i_{r+1}$ , then

exchanging  $X_r$  and  $X_{r+1}$  gives a monomial occurring in  $f$  which is bigger than  $X_I$ ). So

$$X_I = X_1^{i_1-i_2} (X_1 X_2)^{i_2-i_3} \dots (X_1 \dots X_n)^{i_n}.$$

Consider  $g = s_1^{i_1-i_2} s_2^{i_2-i_3} \dots s_{n-1}^{i_{n-1}-i_n} s_n^{i_n}$ . The leading monomial (i.e. largest in lexicographical order) of  $g$  is  $X_I$ , and  $g$  is symmetric, so  $f - cg$  is also symmetric, of total degree  $\leq d$ , and its leading term is smaller (lexicographically) than  $X_I$ . As the set of monomials of degree  $\leq d$  is finite, this process terminates.

Uniqueness: By induction on  $n$ . Say  $G \in R[Y_1, \dots, Y_n]$  with

$$G(s_{n,1}, \dots, s_{n,n}) = 0.$$

We want to show  $G = 0$ . If  $n = 1$ , this is trivial ( $s_{1,1} = X_1$ ). If  $G = Y_n^k H$  with  $Y_n \nmid H$ , then  $s_{n,n}^k H(s_{n,1}, \dots, s_{n,n}) = 0$ . As  $s_{n,n} = X_1 \dots X_n$ ,  $s_{n,n}$  is not a zero divisor in  $R[X_1, \dots, X_n]$ , hence  $H(s_{1,n}, \dots, s_{n,n}) = 0$ . So we may assume WLOG that  $G$  is not divisible by  $Y_n$ .

Replace  $X_n$  by 0. Then

$$s_{n,r}(X_1, \dots, X_{n-1}, 0) = \begin{cases} s_{n-1,r}(X_1, \dots, X_{n-1}) & \text{if } r < n \\ 0 & \text{if } r = n \end{cases}$$

and so  $G(s_{n-1,1}, \dots, s_{n-1,n-1}, 0) = 0$ . So by induction,  $G(Y_1, \dots, Y_{n-1}, 0) = 0$ , so  $Y_n \mid G$ , contradiction and we're done.  $\square$

**Example 2.3.** Say  $f = \sum_{i \neq j} X_i^2 X_j$  for some  $n \geq 3$ . Its leading term is  $X_1^2 X_2 = X_1(X_1 X_2)$ . Then

$$s_1 s_2 = \sum_i \sum_{j < k} X_i X_j X_k = \sum_{i \neq j} X_i^2 X_j + 3 \sum_{i < j < k} X_i X_j X_k.$$

So  $f = s_1 s_2 - 3 s_3$ .

Computing, say  $\sum X_i^5$  by hand is tedious. But there are formulae for this! Recall  $p_k = \sum_{i=1}^n X_i^k$ .

**Theorem 2.2** (Newton's formulae). Let  $n \geq 1$ . Then  $\forall k \geq 1$ ,

$$p_k - s_1 p_{k-1} + \dots + (-1)^{k-1} s_{k-1} p_1 + (-1)^k k s_k = 0.$$

(By convention,  $s_0 = 1$  and  $s_r = 0$  if  $r > n$ ).

*Proof.* We may assume  $R = \mathbb{Z}$ . Consider the generating function

$$F(T) = \prod_{i=1}^n (1 - X_i T) = \sum_{r=0}^n (-1)^r s_r T^r.$$

Take the logarithmic derivative w.r.t  $T$ , i.e.

$$\frac{F'(T)}{F(T)} = \sum_{i=1}^n \frac{-X_i}{1 - X_i T} = -\frac{1}{T} \sum_{i=1}^n \sum_{r=1}^{\infty} X_i^r T^r = -\frac{1}{T} \sum_{r=1}^{\infty} p_r T^r.$$

Thus  $-TF'(T) = s_1 T - 2s_2 T^2 + \dots + (-1)^{n-1} n s_n T^n$  from our generating function above, but we also have (from the previous line) that

$$-TF'(T) = F(T) \sum_{r=1}^{\infty} p_r T^r = (s_0 - s_1 T + \dots + (-1)^n s_n T^n)(p_1 T + p_2 T^2 + \dots).$$

Comparing coefficients of  $T^k$  gives the identity.  $\square$

The **discriminant** polynomial is  $D(X_1, \dots, X_n) = \Delta(X_1, \dots, X_n)^2$  where  $\Delta = \prod_{i < j} (X_i - X_j)$ . (Recall from IA Groups that applying  $\sigma \in S_n$  to  $\Delta$  multiplies  $\Delta$  by  $\text{sgn}(\sigma)$ ). So  $D$  is symmetric. So  $D(X_1, \dots, X_n) = d(s_1, \dots, s_n)$  for some polynomial  $d$  (with coefficients in  $\mathbb{Z}$ ).

**Example 2.4.** If  $n = 2$ , then  $D = (X_1 - X_2)^2 = s_1^2 - 4s_2$ .

**Definition 2.3.** Let  $f = T^n + \sum_{i=0}^{n-1} a_{n-i} T^i \in R[T]$  be monic. Then its **discriminant** is  $\text{Disc}(f) = d(-a_1, a_2, -a_3, \dots, (-1)^n a_n) \in R$ .

Observe that if  $f = \prod_{i=1}^n (T - x_i)$ ,  $x_i \in R$ , then  $a_r = (-1)^r s_r(x_1, \dots, x_n)$ , so  $\text{Disc}(f) = \prod_{i < j} (x_i - x_j)^2 = D(x_1, \dots, x_n)$ . If moreover  $R = K$  is a field, then  $\text{Disc}(f) = 0$  if and only if  $f$  has a repeated root (i.e.  $x_i = x_j$  for some  $i \neq j$ ).

**Example 2.5.**  $\text{Disc}(T^2 + bT + c) = b^2 - 4c$ .

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Lecture 3

### 3 Fields

Recall that a **field** is a ring  $K$  (commutative, nonzero, with a 1) in which every nonzero element has a multiplicative inverse. The set of nonzero elements of  $K$  is then a **group**  $K^*$  (or  $K^\times$ ), called the multiplicative group of  $K$ .

The **characteristic** of  $K$  is the least positive integer  $p$  (if it exists) such that  $p \cdot 1_K = 0_K$ , or 0 if no such  $p$  exists. For example,  $\mathbb{Q}$  has characteristic 0, and  $\mathbb{F}_p = \mathbb{Z}/p\mathbb{Z}$  has characteristic  $p$ .

The characteristic  $\text{char}(K)$  of  $K$  is always either 0 or prime. Inside  $K$ , there is a smallest subfield, called the **prime subfield** of  $K$ , which is either isomorphic to  $\mathbb{Q}$  (if  $\text{char}(K) = 0$ ) or to  $\mathbb{F}_p$  (if  $\text{char}(K) = p$ ).

**Proposition 3.1.** Let  $\phi : K \rightarrow L$  be a homomorphism of fields. Then  $\phi$  is an injection.

*Proof.*  $\phi(1_K) = 1_L \neq 0_L$ , so  $\ker(\phi) \subset K$  is a proper ideal of  $K$ , so  $\ker(\phi) = (0)$ .  $\square$

**Definition 3.1.** Let  $K \subset L$  be fields (where the field operations on  $K$  are the same as those in  $L$ ). We say  $K$  is a **subfield** of  $L$ , and  $L$  is an **extension** of  $K$ , denoted  $L/K$ , " $L$  over  $K$ ".

**Remarks.** (i) This has nothing to do with quotients.

(ii): It is useful to be more general - if  $i : K \rightarrow L$  is a homomorphism of fields, then by Prop 3.1  $i$  is an isomorphism of  $K$  and the subfield  $i(K) \subset L$ . In this situation, we also say that " $L$  is an extension of  $K$ ".

**Example 3.1.** We have extensions  $\mathbb{C}/\mathbb{R}$ ,  $\mathbb{R}/\mathbb{Q}$ ,  $\mathbb{Q}[i] = \{a + bi \mid a, b \in \mathbb{Q}\}/\mathbb{Q}$ .

**Notation/definition.** Suppose we have two field  $K \subset L$  and  $x \in L$ . Define  $K[x] = \{p(x) \mid p \in K[T]\}$ , the set of polynomials in  $x$ . This is a **subring** of  $L$ .

We also define  $K(x) = \{\frac{p(x)}{q(x)} \mid p, q \in K[T], q(x) \neq 0\}$ . This is a **subfield** of  $L$  (read " $K$  adjoin  $x$ ").

For  $x_1, \dots, x_n \in L$ , similarly define

$$K(x_1, \dots, x_n) = \left\{ \frac{p(x_1, \dots, x_n)}{q(x_1, \dots, x_n)} \mid p, q \in K[T_1, \dots, T_n], q(x) \neq 0 \right\}.$$

We can check that  $K(x_1, \dots, x_{n-1})(x_n) = K(x_1, \dots, x_n)$ , and likewise for  $K[x_1, \dots, x_n]$ .

If we have  $L/K$  a field extension, then  $L$  is naturally a vector space over its subfield  $K$  (just forget multiplication by elements of  $L$ ). We can ask whether this is a **finite-dimensional** vector space.

- If so, we say  $L/K$  is a **finite extension** and write  $[L : K] = \dim_K(L)$  for the dimension. We call this the **degree** of the extension.
- If not, write  $[L : K] = \infty$ .

$\dim_K$  is the dimension as a  $K$ -vector space. Since  $L$  is a vector space over  $L$ , we have  $\dim_L(L) = 1$ . As a  $K$ -vector space,  $L \cong K^{[L:K]}$ .

**Example 3.2.** (i)  $\mathbb{C}/\mathbb{R}$  is a finite extension with  $[\mathbb{C} : \mathbb{R}] = 2$ .

- (ii) Let  $K$  be any field,  $K(X)$  the field of rational functions in  $X$ , i.e. the field of fractions of the polynomial ring  $K[X]$ . Then  $[K(X) : K] = \infty$  since  $1, x, x^2, \dots$  are linearly independent.
- (iii)  $[\mathbb{R} : \mathbb{Q}] = \infty$  (use countability: every finite dimensional  $\mathbb{Q}$ -vector space is countable).

This course is largely about properties (and symmetries) of **finite** field extensions.

**Definition 3.2.** We say an extension  $L/K$  is **quadratic** if  $[L : K] = 2$ . Similarly for **cubic**, etc.

**Proposition 3.2.** Suppose  $K$  is a **finite** field (necessarily of characteristic  $p > 0$ ). Then the number of elements of  $K$  is a power of  $p$ .

*Proof.* Certainly  $K/\mathbb{F}_p$  is finite, so  $K \cong (\mathbb{F}_p)^n$  for  $n = [K : \mathbb{F}_p]$ , so  $|K| = p^n$ .  $\square$

Later we will show that for any prime power  $q = p^n$  there exists a finite field  $\mathbb{F}_q$  with  $q$  elements. We have  $\mathbb{F}_p = \mathbb{Z}/p\mathbb{Z}$ , but  $\mathbb{F}_{p^n} \neq \mathbb{Z}/p^n\mathbb{Z}$  if  $n > 1$ .

A simple, yet powerful fact:

**Theorem 3.3** (Tower law). Suppose we have two field extensions  $M/L$  and  $L/K$ . Then  $M/K$  is a finite extension if and only if both  $M/L$  and  $L/K$  are finite, and if so, then

$$[M : K] = [M : L][L : K].$$

In fact, a slightly more general statement by taking  $V = M$  in the above:

**Theorem 3.4.** Let  $L/K$  be a field extension,  $V$  a  $L$ -vector space. Then

$$\dim_K V = [L : K] \cdot \dim_L V$$

(with the obvious meaning if any of these are infinite).

**Example 3.3.**  $V = \mathbb{C}^n = \mathbb{R}^{2n}$ .

*Proof.* Let  $\dim_L V = d < \infty$ . Then  $V \cong L \oplus \dots \oplus L = L^d$  as a  $L$ -vector space, so also certainly as a  $K$ -vector space. If  $[L : K] = n < \infty$ , then  $L \cong K^n$  as a  $K$ -vector space, so  $V = K^n \oplus \dots \oplus K^n = K^{nd}$ , so  $\dim_K V = [L : K] \cdot \dim_L V$ .

If  $V$  is finite-dimensional over  $K$ , then a  $K$ -basis for  $V$  certainly spans  $V$  over  $L$ . So if  $\dim_L V = \infty$ , then  $\dim_K V = \infty$ . Likewise, if  $[L : K] = \infty$  and  $V \neq \emptyset$ , then  $V$  has a infinite linearly independent subst, so  $\dim_K V = \infty$ .  $\square$

Another important fact:

**Proposition 3.5.** (i) Let  $K$  be a field and  $G \subset K^\times$  a **finite** subgroup. Then  $G$  is **cyclic**.

(ii) If  $K$  is finite, then  $K^\times$  is cyclic.

*Proof.* (i): Write  $G \cong \mathbb{Z}/m_1\mathbb{Z} \times \dots \times \mathbb{Z}/m_k\mathbb{Z}$  as a product of cyclic groups such that  $1 < m_1 \mid m_2 \mid \dots \mid m_k = m$  (by GRM). So  $\forall x \in G, x^m = 1$ . As  $K$  is a field, the polynomial  $T^m - 1$  has at most  $m$  roots. So  $|G| \leq m$ , so  $k = 1$ , and hence  $G$  is cyclic.

(ii) is now obvious.  $\square$



**Remark.** If  $K = \mathbb{F}_p = \mathbb{Z}/p\mathbb{Z}$ , the above says  $\exists a \in \{1, \dots, p-1\}$  such that  $\mathbb{Z}/p\mathbb{Z} = \{0\} \cup \{a, a^2, \dots, a^{p-1} \pmod{p}\}$ . This  $a$  is called a **primitive root** mod  $p$ .

13 Oct 2022,  
Lecture 4

**Proposition 3.6.** Let  $R$  be a ring and  $p$  a prime such that  $p1_R = 0_R$  (e.g.  $R$  is a field of characteristic  $p$ ). Then the map

$$\phi_p : R \rightarrow R \text{ by } \phi_p(x) = x^p$$

is a **homomorphism** from  $R$  to itself, called the **Frobenius endomorphism** of  $R$ .

*Proof.* We have to show that  $\phi_p(1) = 1$ ,  $\phi_p(xy) = \phi_p(x)\phi_p(y)$  and  $\phi_p(x+y) = \phi_p(x) + \phi_p(y)$ . But the first two are obvious, and for the last one we get

$$\phi_p(x+y) = (x+y)^p = \sum_{i=0}^{p-1} \binom{p}{i} x^i y^{p-i} + y^p = x^p + y^p,$$

where all the terms  $\binom{p}{i}$  are divisible by  $p$  as  $p$  is a prime. □

**Remark.** This is a very important map. For example, this gives another proof of Fermat's little theorem  $x^p \equiv x \pmod{p}$ : induction on  $x$  and  $(x+1)^p \equiv x^p + 1 \pmod{p}$ .

## 4 Algebraic elements and extensions

Let  $L/K$  be an extension and  $x \in L$ .

**Definition 4.1.**  $x$  is **algebraic** over  $K$  if  $\exists$  a nonzero polynomial  $f \in K[T]$  such that  $f(x) = 0$ . If  $x$  is not algebraic, we say it is **transcendental** over  $K$ .

Suppose  $f \in K[T]$  with evaluation  $f(x) \in L$ . This gives a map

$$\text{ev}_x : K[T] \rightarrow L, f \mapsto f(x),$$

which is obviously a homomorphism of rings.

$I = \ker(\text{ev}_x) \subset K[T]$  is an ideal ( $= \{f \mid f(x) = 0\}$ ). As  $\text{Im}(\text{ev}_x)$  is a subring of  $L$ , it is an integral domain. So  $I$  is a **prime** ideal, so there are two possibilities:

- (i)  $I = \{0\} \implies$  the only  $f$  with  $f(x) = 0$  is  $f = 0$ , so  $x$  is transcendental over  $K$ .
- (ii)  $I \neq \{0\}$ . As  $K[T]$  is a PID, there exists a unique monic irreducible  $g \in K[T]$  such that  $I = (g)$ . So  $f(x) = 0 \iff f$  is a multiple of  $g$ .

So  $x$  is algebraic over  $K$  and we call  $g$  the **minimal polynomial** of  $x$  over  $K$ , which we might write as  $m_{x,K}$ . It is the unique irreducible monic polynomial with  $x$  as a root (and is the monic polynomial of least degree with  $x$  as a root - this depends on  $K$  as well as  $x$ ).

Some examples:

- $x \in K$ ,  $m_{x,K} = T - x$ .
- $p$  a prime,  $d \geq 1$ . Then  $T^d - p \in \mathbb{Q}[T]$  is irreducible by Eisenstein's criterion, so it is the min. poly. of  $\sqrt[d]{p} = x$  over  $\mathbb{Q}$ .
- $z = e^{2\pi i/p}$  for  $p$  a prime is a root of  $T^p - 1$  and

$$\frac{T^p - 1}{T - 1} = g(T) = T^{p-1} + \dots + T + 1 \in \mathbb{Q}[T].$$

As  $g(T + 1) = \frac{(T+1)^p - 1}{T} = T^{p-1} + \binom{p}{1}T^{p-2} + \dots + pT + p$ , this is also irreducible by Eisenstein and hence  $g$  is the min. poly. of  $z$  over  $\mathbb{Q}$ .

**Terminology.** We say **the degree of  $x$  over  $K$**  (where  $x$  is algebraic over  $K$ ) is the degree of  $m_{x,K}$ , written  $\deg_K(x)$  or  $\deg(x/K)$ .

A ring/field-theoretic characterization of the notion of being algebraic:

**Proposition 4.1.** Let  $L/K, x \in L$ . The following are equivalent:

- (i)  $x$  is algebraic over  $K$ .
- (ii)  $[K(x) : K] < \infty$ .
- (iii)  $\dim_K K[x] < \infty$ .
- (iv)  $K[x] = K(x)$ .
- (v)  $K[x]$  is a field.

If these hold, then  $\deg_K(x) = [K(x) : K]$ .

Recall  $K[X] = \{p(x)\}$  and  $K(x) = \{\frac{p(x)}{q(x)} \mid q(x) \neq 0\}$  for  $p, q \in K[T]$ . The most important results here are (i)  $\iff$  (ii) and the degree formula. (This is a part of a series of results relating properties of  $x$  and  $K(x)$ ).

*Proof.* (ii)  $\implies$  (iii) and (iv)  $\iff$  (v) are trivial.

(iii)  $\implies$  (iv) and (ii): Let  $0 \neq y = g(x) \in K[x]$ . Consider  $K[x] \rightarrow K[x]$  by  $z \mapsto yz$ . It is a  $K$ -linear transformation, it is injective as  $y \neq 0$ . As  $\dim_K K[X] < \infty$ , it is bijective. So  $\exists$  s.t.  $yz = 1$ . So  $K[x]$  is a field, equal to  $K(x)$ , and  $[K(x) : K]$  is finite-dimensional.

(v)  $\implies$  (i): WLOG  $x \neq 0$ , then  $x^{-1} = a_0 + a_1x + \dots + a_nx^n \in K[X]$  for  $a_i$  not all equal to 0, so  $a_nx^{n+1} + \dots + a_0x - 1 = 0$ , so  $x$  is algebraic over  $K$ .

(i)  $\implies$  (iii) and the degree formula: The image of  $\text{ev}_x : K[T] \rightarrow L$  is  $K[X] \subset L$ .  $x$  is algebraic over  $K \implies \ker(\text{ev}_x) = (m_{x,K})$  is a maximal ideal (GRM, because  $m$  is irreducible), so by the first isomorphism theorem,  $K[T]/(m_{x,K}) \cong K[x]$ . The LHS is a field, so  $K[X]$  is a field.  $m_{x,K}$  is monic of degree  $d = \deg_K(x)$ , so  $K[T]/(m_{x,K})$  has a  $K$ -basis  $1, T, \dots, T^{d-1}$ . Hence  $\dim_K K[x] = d < \infty$  (this gives (iii)) and so  $[K(x) : K] = d$  as well.  $\square$

**Corollary 4.2.** (i) The elements  $x_1, \dots, x_n$  are all algebraic over  $K$  if and only if  $L = K(x_1, \dots, x_n)$  is a finite extension of  $K$ . If so, then **every** element of  $L$  is algebraic over  $K$ .

(ii) If  $x, y$  are algebraic over  $K$ , then so are  $x + y$ ,  $xy$ , and  $1/x$  (if  $x \neq 0$ ).

(iii) Let  $L/K$  be any extension. Then  $\{x \in L \mid x \text{ algebraic over } K\}$  is a subfield of  $L$ .

*Proof.* (i) If  $x_n$  is algebraic over  $K$ , it is certainly algebraic over  $K(x_1, \dots, x_{n-1})$ , so  $[L : K(x_1, \dots, x_{n-1})] < \infty$ . So by tower law and induction on  $n$ ,  $[L : K] < \infty$ . Conversely, if  $[L : K] < \infty$ , then the subfield  $K(y)$  is finite over  $K$  for all  $y$  in  $L$ . So  $y$  is algebraic over  $K$  by the previous proposition.

(ii)  $x \pm y, xy, \frac{1}{x} \in K(x, y)$ , so by (i), every element of this field is algebraic.

(iii) This clearly follows from (ii).  $\square$

**Remark.** The key ingredient here is the tower law.

15 Oct 2022,  
Lecture 5

**Example 4.1.** We saw earlier that  $z = e^{2\pi i/p}$  for  $p$  an odd prime has min. poly. of degree  $p - 1$ .

Consider now  $x = 2 \cos \frac{2\pi}{p} = z + z^{-1} \in \mathbb{Q}(z)$  (so  $x$  is algebraic over  $\mathbb{Q}$ ).

We have  $\mathbb{Q}(z) \supset \mathbb{Q}(x) \supset \mathbb{Q}$ , and  $z^2 - xz + 1 = 0$ . So  $\deg_{\mathbb{Q}(x)}(z) \leq 2$ , and we know  $[\mathbb{Q}(z) : \mathbb{Q}] = p - 1$ , so  $[\mathbb{Q}(z) : \mathbb{Q}(x)]$  is either 1 or 2.

But  $z \notin \mathbb{Q}(x) \subset \mathbb{R}$ , so  $[\mathbb{Q}(z) : \mathbb{Q}(x)] = 2$  and hence  $\deg_{\mathbb{Q}}(x) = \frac{p-1}{2}$ .

To actually find this polynomial, write

$$z^{\frac{p-1}{2}} + z^{\frac{p-3}{2}} + \dots + z^{\frac{-(p-1)}{2}} = 0,$$

which remains unchanged under  $z \mapsto \frac{1}{z}$ , and hence we can express the above polynomial in terms of  $z + \frac{1}{z} = x$  as a polynomial of degree  $\frac{p-1}{2}$ .

**Example 4.2.**  $x = \sqrt{m} + \sqrt{n}$  for  $m, n \in \mathbb{Z}$ ,  $m, n, mn$  not squares. We have

$$n = (x - \sqrt{m})^2 \stackrel{*}{=} x^2 - 2\sqrt{m}x + m,$$

so  $[\mathbb{Q}(x) : \mathbb{Q}(\sqrt{m})] \leq 2$ . Similarly,  $[\mathbb{Q}(x) : \mathbb{Q}(\sqrt{n})] \leq 2$ . Also note that  $\star$  implies that  $\sqrt{m} \in \mathbb{Q}(x)$ .

So (by the tower law), either  $[\mathbb{Q}(x) : \mathbb{Q}] = 4$ , or  $[\mathbb{Q}(x) : \mathbb{Q}] = 2$  and  $\mathbb{Q}(x) = \mathbb{Q}(m) = \mathbb{Q}(n)$  (since  $m, n$  not squares implies  $[\mathbb{Q}(m) : \mathbb{Q}] = [\mathbb{Q}(n) : \mathbb{Q}] = 2$ ). But then  $\mathbb{Q}(m) = \mathbb{Q}(n) \implies \sqrt{m} = a + b\sqrt{n}$  for  $a, b \in \mathbb{Q} \implies m = a^2 + b^2n + 2ab\sqrt{n}$ . So  $ab = 0$ , whence either  $b = 0$ , so  $m = a^2$  is a square, or  $a = 0$ , so  $mn = b^2n^2$  is a square. This forces  $[\mathbb{Q}(x) : \mathbb{Q}] = 4$ .

**Definition 4.2.** An extension  $[L : K]$  is **algebraic** if every  $x \in L$  is algebraic over  $K$ .

**Proposition 4.3.** (i) Finite extensions are algebraic.

(ii)  $K(x)$  is algebraic over  $K$  if and only if  $x$  is algebraic over  $K$ .

(iii) If  $M/L/K$ , then  $M/K$  is algebraic if and only if both  $M/L$  and  $L/K$  are algebraic.

*Proof.* (i)  $[L : K] < \infty \implies \forall x \in L, [K(x) : K] < \infty \implies x$  is algebraic over  $K$ .

(ii)  $\implies$  follows by definition,  $\Leftarrow$  follows by (i).

(iii) Assume  $M/K$  is algebraic. Then  $\forall x \in M$ ,  $x$  is algebraic over  $K$ , so it is certainly algebraic over  $L$ . So  $M/L$  is algebraic. As  $L \subset M$ ,  $L$  is algebraic over  $K$ .

The other direction follows from the following lemma:

**Lemma 4.4.** Suppose we have  $M/L/K$  with  $L/K$  algebraic. Let  $x \in M$ , and suppose  $x$  is algebraic over  $L$ . Then  $x$  is algebraic over  $K$ .

*Proof.*  $\exists f = T^n + a_{n-1}T^{n-1} + \dots + a_0 \in L[T]$  with  $f \neq 0$  and  $f(x) = 0$ . Let  $L_0 = K(a_0, \dots, a_{n-1})$ . As each  $a_i$  is algebraic over  $K$ , by Corollary 4.2,  $[L_0 : K]$  is finite. As  $f \in L_0[T]$ ,  $x$  is algebraic over  $L_0$ . So  $[L_0(x) : L_0] < \infty$ , so  $[L_0(x) : K] < \infty$  by the tower law, so  $[K(x) : K] < \infty$  and we're done.  $\square$

$\square$

**Example 4.3.** Say  $K = \mathbb{Q}$ ,  $L = \{x \in \mathbb{C} \mid x \text{ is algebraic over } \mathbb{Q}\}$ , usually written  $\overline{\mathbb{Q}}$ . Obviously  $L/\mathbb{Q}$  is algebraic, but it is not finite - for every  $n \geq 1$ ,  $\sqrt[n]{2} \in L$ , and so  $[\mathbb{Q}(\sqrt[n]{2}) : \mathbb{Q}] = n$  (as  $T^n - 2$  is irreducible over  $\mathbb{Q}$ ). So as this holds for all  $n$ ,  $L$  cannot be finite over  $\mathbb{Q}$ .

We will see other fields like  $\overline{\mathbb{Q}}$  later on. They are called **algebraically closed fields**.

## 5 Algebraic numbers in $\mathbb{R}$ and $\mathbb{C}$

Traditionally, we say that  $x \in \mathbb{C}$  is **algebraic** if it is algebraic over  $\mathbb{Q}$ . Otherwise, we say it's transcendental.  $\overline{\mathbb{Q}} = \{\text{algebraic } x\}$  is a subfield of  $\mathbb{C}$ . It is easy to see that  $\overline{\mathbb{Q}} \subsetneq \mathbb{C}$ , as  $\mathbb{Q}[T]$  and hence  $\overline{\mathbb{Q}}$  are countable, while  $\mathbb{C}$  is uncountable. So in a sense, basically all complex numbers are transcendental. However, it is a lot harder to write one down explicitly, or to show that some given number is transcendental.

Aside: some history. Liouville showed that  $\sum_{n \geq 1} \frac{1}{10^{n!}}$  is transcendental ("algebraic numbers can't be very well approximated by rationals").

Hermite, Lindemann:  $e$  and  $\pi$  are transcendental.

Gelfond-Schneider (20<sup>th</sup> century): if  $x, y$  are algebraic ( $x \neq 0, 1$ ), then  $x^y$  is algebraic if and only if  $y$  is rational (e.g.  $\sqrt{2}^{\sqrt{3}}$  is transcendental, and  $e^\pi = (-1)^{-i/2}$  is transcendental). End of aside.

18 Oct 2022,  
Lecture 6

### 5.1 Ruler and compass constructions

We have three basic geometric operations.

- (A) Given  $P_1, P_2, Q_1, Q_2 \in \mathbb{R}^2$  with  $P_i \neq Q_i$ , we can construct the intersection of the lines  $P_1Q_1$  and  $P_2Q_2$  (assuming they intersect properly).
- (B) Given  $P_1, P_2, Q_1, Q_2$  with  $P_i \neq Q_i$ , we can construct the intersection points of the circles with centers  $P_i$  passing through  $Q_i$  (assuming they intersect properly).
- (C) Similarly, we can construct line  $\cap$  circle.

We say that a point  $(x, y) \in \mathbb{R}^2$  is **constructible from**  $(x_1, y_1), \dots, (x_n, y_n)$  if it can be obtained by a finite sequence of the above operations A, B, C, each using only  $\{(x_i, y_i)\}$  and any points produced in previous steps.

We say a real number  $x \in \mathbb{R}$  is constructible if  $(x, 0)$  is constructible from  $\{(0, 0), (1, 0)\}$ . For example, every  $x \in \mathbb{Q}$  is constructible, as is  $\sqrt{2}$ .

Now a purely algebraic notion:

**Definition 5.1.** Suppose  $K \subset \mathbb{R}$  is a subfield. Say  $K$  is **constructible** if  $\exists n \geq 0$  and a sequence of fields  $\mathbb{Q} = F_0 \subset F_1 \subset \dots \subset F_n \subset \mathbb{R}$  and  $a_i \in F_i$  such that

- (i)  $K \subset F_n$
- (ii)  $F_i = F_{i-1}(a_i)$
- (iii)  $a_i^2 \in F_{i-1}$ .

**Note.** (ii) and (iii) tell us that  $[F_i : F_{i-1}] \leq 2$ . So by tower law,  $[K : \mathbb{Q}]$  is finite, and it is a power of two.

**Theorem 5.1.** If  $x \in \mathbb{R}$  is constructible, then  $K = \mathbb{Q}(x)$  is constructible.

**Corollary 5.2.** If  $x \in \mathbb{R}$  is constructible, then  $x$  is algebraic over  $\mathbb{Q}$  and  $\deg_{\mathbb{Q}}(x)$  is a power of two (this follows from the note above).

*Proof.* Induction on  $k \geq 1$ : we prove that if  $(x, y) \in \mathbb{R}^2$  can be constructed with  $k$  ruler and compass constructions, then  $\mathbb{Q}(x, y)$  is a constructible extension of  $\mathbb{Q}$ .

So assume we have  $\mathbb{Q} = F_0 \subset \dots \subset F_n$  satisfying (ii) and (iii) and such that the coordinates of all points obtained after  $k - 1$  constructions lie in  $F_n$ . But elementary analytic geometry tells us that the intersection point of two lines has coordinates that are rational functions of the coordinates of  $(P_i, Q_i)$  with rational coefficients. So if the  $k^{\text{th}}$  construction is of type A, then  $x, y$ , the coordinates of the  $k^{\text{th}}$  construction point, lie in  $F_n$ .

For B and C, the coordinates of the two intersections can be written as  $a \pm b\sqrt{e}, c \pm d\sqrt{e}$ , where  $a, e$  are rational functions of the coordinates of  $\{P_i, Q_i\}$ . So for the two newly constructed points,  $x, y \in F_n(\sqrt{e})$ , which is a constructible extension of  $\mathbb{Q}$ .  $\square$

**Remark.** It is not hard to show that the converse is true: if  $\mathbb{Q}(x)$  is a constructible extension of  $\mathbb{Q}$ , then  $x$  is constructible.

#### Classical problems:

- "Square the circle" – construct a square with area equal to that of a given circle, i.e. construct  $\sqrt{\pi}$ . But since  $\pi$  is transcendental,  $\sqrt{\pi}$  is not constructible.
- "Duplicate the cube" – Construct a cube with volume twice that of a given cube, i.e. construct  $\sqrt[3]{2}$ . But  $[\mathbb{Q}(\sqrt[3]{2}) : \mathbb{Q}] = 3$ , which is not a power of 2, so  $\mathbb{Q}[\sqrt[3]{2}]$  and therefore  $\sqrt[3]{2}$  is not constructible.
- "Trisect the angle". Say we are trying to trisect  $\frac{2\pi}{3}$ , which is certainly constructible. So if we can trisect  $\frac{2\pi}{3}$ , the angle  $\frac{2\pi}{9}$  is constructible, i.e. the real numbers  $\cos(\frac{2\pi}{9})$  and  $\sin(\frac{2\pi}{9})$  are constructible. By the formula  $\cos 3\theta = 4\cos^3 \theta - 3\cos \theta$ ,  $\cos(\frac{2\pi}{9})$  is a root of  $8X^3 - 6X + 1$  and  $2\cos(\frac{2\pi}{9}) - 2$  is a root of  $X^3 + 6X^2 + 9X + 3$ . This is irreducible by Eisenstein, so  $\deg_{\mathbb{Q}}(\cos(\frac{2\pi}{9})) = 3$ . So a regular 9-gon is not constructible.

Later, Gauss proved that a regular  $n$ -gon is constructible if and only if  $n$  is the product of a power of 2 and distinct primes of the form  $2^{2^k} + 1$  (Fermat primes).

## 6 Splitting fields

**Problem:** Given  $K$  a field,  $f \in K[T]$ , find an extension  $L/K$  (preferably as small as possible) such that  $f$  factors in  $L[T]$  as a product of linears.

For example, if  $F = \mathbb{Q}$ , then the Fundamental Theorem of Algebra says that we can factor a monic  $f \in \mathbb{Q}[T]$  as  $f = \prod (T - x_i)$ ,  $x_i \in \mathbb{C}$ . Later we will give another slick proof. So in this case, the best  $L$  would be  $\mathbb{Q}(x_1, \dots, x_n)$ , a finite extension of  $\mathbb{Q}$ .

**Example 6.1.** Take  $K = \mathbb{F}_p$  and  $f$  irreducible of degree  $d > 1$ . How to find  $L$ ? The first step is to find an extension in which  $f$  has at least one root.

The **key construction**: suppose  $f \in K[T]$  is irreducible (and monic). Let  $L_f = K[T]/(f)$ . As  $f$  is irreducible,  $(f)$  is maximal, so  $L_f$  is a field. By construction, if  $x = T \pmod{(f)} \in L_f$  (i.e. just the coset  $T + (f)$ ), then  $f(x) = 0$ , i.e.  $L_f/K$  is a field extension in which  $f$  has a root.

Questions: Is  $L_f$  unique? How do we find the remaining roots?

20 Oct 2022,

We start off by redoing what we did last time.

Lecture 7

**Theorem 6.1.** Let  $f \in K[T]$  be irreducible and monic. Let  $L_f = K[T]/(f)$  and  $t \in L_f$  the residue class  $T \pmod{(f)}$ . Then  $L_f/K$  is a finite extension of fields,  $[L_f : K] = \deg(f)$  and  $f$  is the minimal polynomial of  $t$  over  $K$ .

So we have an extension of  $K$  in which  $f$  has at least one root. To what extent is this unique?

Also recall that if  $x$  is algebraic over  $K$ , then  $K(x) \cong K[T]/(m_{x,K})$ , where  $m_{x,K}$  is the minimal polynomial.

**Definition 6.1.** Let  $K$  be a field and  $M/K$ ,  $L/K$  two extensions of  $K$ . Then a  **$K$ -homomorphism** from  $L$  to  $M$  is a field homomorphism  $\sigma : L \rightarrow M$  which is the identity on  $K$ . (We might also call this a  **$K$ -embedding**, since  $\sigma$  is an injection.)

**Theorem 6.2.** Let  $f \in K[T]$  be irreducible and  $L/K$  an arbitrary extension. Then

- (i) If  $x \in L$  is a root of  $f$ , then there exists a unique  $K$ -homomorphism  $\sigma : L_f = K[T]/(f) \rightarrow L$  sending  $T \pmod{(f)} \mapsto x$ .
- (ii) Every  $K$ -homomorphism  $L_f \rightarrow L$  arises as in (i). So there is a bijection between

$$\{K\text{-homomorphisms } L_f \xrightarrow{\sigma} L\} \cong \{\text{roots of } f \text{ in } L\}$$

In particular, there are at most  $\deg(f)$  such  $\sigma$ .

*Proof.*  $f(x) = 0 \iff \text{ev}_x(f) = 0$ , where  $\text{ev}_x : K[T] \rightarrow L$  is the homomorphism  $g \mapsto g(x)$ , i.e. "evaluate at  $x$ "  $\iff \ker(\text{ev}_x) = (f) \iff \text{ev}_x$  comes from a homomorphism  $\sigma : K[T]/(f) \rightarrow L$  which is identity on  $K$ .  $\square$

**Corollary 6.3.** If  $L = K(x)$  for  $x$  algebraic over  $K$ , then there exists a unique **isomorphism**  $\sigma : L_f \rightarrow K(x)$  such that  $\sigma(t) = x$ , where  $f = m_{x,K}$ .

*Proof.* Take  $L = K(x)$  in the above theorem.  $\square$

**Definition 6.2.** Let  $x, y$  be algebraic over  $K$ . Say  $x, y$  are  **$K$ -conjugate** if they have the same minimal polynomial.

Then both  $K(x)$  and  $K(y)$  are isomorphic to  $L_f$  (with  $f = m_{x,K} = m_{y,K}$ ), and more precisely:

**Corollary 6.4.**  $x, y$  are  $K$ -conjugate if and only there exists a  $K$ -isomorphism  $\sigma : K(x) \rightarrow K(y)$  with  $\sigma(x) = y$ .

*Proof.* By Corollary 6.3,  $\Leftarrow$  follows since  $\forall g \in K[T], \sigma(g(x)) = g(\sigma(x))$ , so  $x, y$  have the same minimal polynomial.  $\square$

So the roots of an irreducible polynomial are algebraically indistinguishable.

It is useful for inductive arguments to have a generalization of Theorem 6.2:

**Definition 6.3.** Let  $L/K$  and  $L'/K'$  be field extensions, and let  $\sigma : K \rightarrow K'$  a field homomorphism. If  $\tau : L \rightarrow L'$  is a homomorphism such that  $\tau(x) = \sigma(x) \forall x \in K$ , we say  $\tau$  a  **$\sigma$ -homomorphism** from  $L$  to  $L'$ .

We also say  $\tau$  **extends**  $\sigma$ , or that  $\sigma$  is the **restriction** of  $\tau$  onto  $K$ , and write  $\sigma = \tau|_K$ .

**Theorem 6.5** (Variant of Theorem 6.2). Let  $f \in K[T]$  be irreducible, and  $\sigma : K \rightarrow L$  any homomorphism of fields. Let  $\sigma f$  be the polynomial given by applying  $\sigma$  to all the coefficients of  $f$ . Then

- (i) If  $x \in L$  is a root of  $\sigma f$ , then there exists a unique  $\sigma$ -homomorphism  $\tau : L_f \rightarrow L$  such that  $\tau(t) = x$ .
- (ii) Every  $\sigma$ -homomorphism  $L_f \rightarrow L$  is of this form and we have a bijection

$$\{\sigma\text{-homomorphisms } L_f \rightarrow L\} \cong \{\text{roots of } \sigma f \text{ in } L\}.$$

**Example 6.2.**  $\sigma$  might not be the obvious homomorphism. Take  $K = \mathbb{Q}(\sqrt{2}) \subset \mathbb{R}$  and  $L = \mathbb{C}$ . There is a homomorphism  $\sigma : K \rightarrow \mathbb{C}$  by  $\sqrt{2} \mapsto -\sqrt{2}$ . So if we take  $f = T^2 - (1 + \sqrt{2})$ , so the map  $L_f \xrightarrow{\tau} \mathbb{C}$  must take  $t$  to  $\pm\sqrt{1 - \sqrt{2}} = \pm i\sqrt{\sqrt{2} - 1} \in \mathbb{C}$ .

If instead we take  $\sigma$  to be the inclusion, then  $\tau$  takes  $t$  to  $\sqrt{\sqrt{2} + 1}$ .



What about all roots?

**Definition 6.4.** Suppose  $f \in K[T]$  is a nonzero polynomial. We say an extension  $L/K$  is a **splitting field** for  $f$  over  $K$  if:

- (i)  $f$  splits into linear factors in  $L[T]$ ,
- (ii)  $L = K(x_1, \dots, x_n)$ , where the  $x_i$  are the roots of  $f$  in  $L$ .

**Remark.** (ii) says that  $f$  doesn't split into linear factors over any field  $L'$  with  $K \subset L' \subsetneq L$ .

**Remark.** A splitting field is necessarily finite over  $K$  (all  $x_i$  are algebraic).

**Theorem 6.6.** Every nonzero polynomial in  $K[T]$  has a splitting field.

*Proof.* By induction on  $\deg(f)$  (for all  $K$ ). If  $\deg(f)$  is 0 or 1, then  $K$  is a splitting field, so we're done. So assume that for all fields  $K'$  and all polynomials of degree  $< \deg(f)$  there is a splitting field.

Consider  $g$ , an irreducible factor of  $f$ . Consider  $K' = L_g = K[T]/(g)$  and let  $x_1 = T \bmod (g)$ . Then  $g(x_1) = 0$ , so  $f = (T - x_1)f_1$  for  $f_1 \in K'[T]$  and  $\deg(f_1) < \deg(f)$ . So by induction,  $\exists$  a splitting field  $L$  for  $f_1$  over  $K'$ . Let  $x_2, \dots, x_n \in L$  be the roots of  $f_1$  in  $L$ . Then  $f$  splits into linear factors in  $L$  with roots  $x_1, \dots, x_n$ , and  $L = K'(x_2, \dots, x_n) = K(x_1, \dots, x_n)$ . So  $L$  is a splitting field for  $f$  over  $K$ .  $\square$

**Remark.** If  $K \subset \mathbb{C}$ , this is no big deal, since we can take  $x_1, \dots, x_n \in \mathbb{C}$  to be the roots of  $f$  in  $\mathbb{C}$  (by FTA), then  $K(x_1, \dots, x_n) \subset \mathbb{C}$  is a splitting field.

Our next result is nontrivial, even for subfields of  $\mathbb{C}$ .

**Theorem 6.7** (Splitting fields are unique). Let  $f \in K[T]$  be nonzero,  $L/K$  be a splitting field for  $f$ , and let  $\sigma : K \rightarrow M$  be an extension (homomorphism) such that  $\sigma f$  splits (into linear factors) in  $M[T]$ . Then

- (i)  $\sigma$  can be extended to a homomorphism  $\tau : L \rightarrow M$ .
- (ii) If  $M$  is a splitting field for  $f$  over  $\sigma K$ , then any  $\tau$  is an isomorphism. In particular, any two splitting fields for  $f$  are  $K$ -isomorphic.

**Remark.** It is not obvious (without this theorem) that two splitting fields have the same degree, because of the choices we make.

**Remark.** Typically there will be more than one  $\tau$ .

*Proof.* (i) Induction on  $n = [L : K]$ . If  $n = 1$ , then  $L = K$  and we're done.

Now let  $x \in L \setminus K$  be some root of an irreducible factor  $g \in K[T]$  of  $f$  with  $\deg(g) > 1$ . Let  $y \in M$  be a root of  $\sigma g \in M[T]$ . By Theorem 6.5, there exists  $\sigma_1 : K(x) \rightarrow M$  such that  $\sigma_1(x) = y$  and  $\sigma_1$  extends  $\sigma$ . Now,

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$[L : K(x)] < [L : K]$ , and  $L$  is certainly a splitting field for  $f$  over  $K(x)$ , and  $\sigma_1 f = \sigma f$  splits in  $M$ . So by induction, we can extend  $\sigma_1 : K(x) \rightarrow M$  to a homomorphism  $\tau : L \rightarrow M$ .

- (ii) Assume  $M$  is a splitting field for  $\sigma f$  over  $\sigma K$ . Let  $\tau$  be as in (i), and  $\{x_i\}$  the roots of  $f$  in  $L$ . Then the roots of  $\sigma f$  in  $M$  are just  $\{\tau(x_i)\}$ . So  $M = \sigma K(\tau(x_1), \dots, \tau(x_n)) = \tau L$  as  $L = K(x_1, \dots, x_n)$ . So  $\tau$  is an isomorphism. If  $K \subset M$  and  $\sigma$  is the inclusion map, then  $\tau$  is a  $K$ -isomorphism  $L \rightarrow M$ . □

**Example 6.3.** (i)  $f = T^3 - 2 \in \mathbb{Q}[T]$ . In  $\mathbb{C}$ , we have

$$f = (T - \sqrt[3]{2})(T - \omega \sqrt[3]{2})(T - \omega^2 \sqrt[3]{2}),$$

where  $\omega = e^{2\pi i/3}$ . So a splitting field for  $f$  over  $\mathbb{Q}$  is  $L = \mathbb{Q}(\sqrt[3]{2}, \omega) \subset \mathbb{C}$ .

We have  $[\mathbb{Q}(\sqrt[3]{2}) : \mathbb{Q}] = 3$ , and  $\mathbb{Q}(\sqrt[3]{2}) \subset \mathbb{R}$  but  $\omega \notin \mathbb{R}$ ,  $\omega^2 + \omega + 1 = 0$ , so  $[L : \mathbb{Q}(\sqrt[3]{2})] = 2$  and  $[L : \mathbb{Q}] = 6$ . In particular,  $f/(T - \sqrt[3]{2})$  is irreducible in  $\mathbb{Q}(\sqrt[3]{2})[T]$ .

- (ii)  $f = \frac{T^5 - 1}{T - 1} = T^4 + T^3 + T^2 + T + 1 \in \mathbb{Q}[T]$ . Let  $z = e^{2\pi i/5}$ . Then  $f = \prod_{1 \leq a \leq 4} (T - z^a)$ . So  $\mathbb{Q}(z)$  is already a splitting field for  $f$  over  $\mathbb{Q}$ , and  $[\mathbb{Q}(z) : \mathbb{Q}] = 4$ .
- (iii)  $f = T^3 - 2 \in \mathbb{F}_7[T]$ . This is irreducible, as 2 is not a cube mod 7. Consider  $L = \mathbb{F}_7[X]/(X^3 - 2) = \mathbb{F}_7(x)$ , where  $x^3 = 2$ . Now  $2^3 = 1 = 4^3$  in  $\mathbb{F}_7$ , so  $(2x)^3 = (4x)^3 = 2$  and so  $f = (T - 2)(T - 2x)(T - 4x) \in L[T]$ . Note that joining one root is not enough to get a splitting field.

## 7 Normal extensions

We have this nice philosophy to pass from polynomials and their properties to fields generated by the roots of polynomials. Here we'll give an "intrinsic" characterization of splitting fields.

**Definition 7.1.**  $L/K$  is a **normal** extension if  $L/K$  is algebraic, and for every  $x \in L$ ,  $m_{x,K}$  splits into linear factors over  $L$ .

**Remark.** The condition is equivalent to: for every  $x \in L$ ,  $L$  contains a splitting field for  $m_{x,K}$ . Or again, for every irreducible  $f \in K[T]$ , if  $f$  has a root in  $L$ , then it splits in  $L[T]$ .

**Theorem 7.1** (Splitting fields are normal). Let  $L/K$  be a finite extension. Then  $L/K$  is normal if and only if  $L$  is the splitting field for some  $f \in K[T]$  (not necessarily irreducible).

*Proof.*  $\implies$  : Suppose  $L/K$  is normal, and write  $L = K(x_1, \dots, x_n)$ . Then  $m_{x_i, K}$  splits in  $L$ , and  $L$  is generated by the roots of  $f = \prod_i m_{x_i, K}$ . So  $L$  is a splitting field for  $f$  over  $K$ .

$\impliedby$  : Suppose  $L$  is a splitting field for  $f \in K[T]$ . Let  $x \in L$  and let  $g = m_{x, K}$  be its minimal polynomial. We want to show that  $g$  splits in  $L$ . Let  $M$  be a splitting field for  $g$  over  $L$  and  $y \in M$  a root of  $g$ . We want to show that  $y \in L$ . Since  $L$  is a splitting field for  $f$  over  $K$ :

- $L$  is a splitting field for  $f$  over  $K(x)$ .
- $L(y)$  is a splitting field for  $f$  over  $K(y)$ .

Now there exists a  $K$ -isomorphism  $K(x) \cong K(y)$ , as  $x, y$  are roots of the irreducible polynomial  $g \in K[T]$ . So by the uniqueness of splitting fields,  $[L : K(x)] = [L(y) : K(y)]$ . Multiply by  $[K(x) : K] = [K(y) : K] = \deg(g)$  and use the tower law to get that  $[L : K] = [L(y) : K]$ . So  $L = L(y)$ , i.e.  $y \in L$ .  $\square$

A "field-theoretic" version of splitting fields:

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**Corollary 7.2** (Normal closure). Let  $L/K$  be an extension. Then there exists a finite extension  $M/L$  such that

- (i)  $M/K$  is a normal extension,
- (ii) If  $L \subset M' \subset M$  and  $M'/K$  is normal, then  $M' = M$ .

Moreover, any two such extensions are  $L$ -isomorphic.

$M$  is said to be a **normal closure** of  $L/K$ .

*Proof.* Let  $L = K(x_1, \dots, x_k)$  and let  $f = \prod_i m_{x_i, K}$ . Let  $M$  be a splitting field for  $f$  over  $L$ . Then, as the  $x_i$  are roots of  $f$ ,  $M$  is also a splitting field for  $f$  over  $K$ , so it is normal.

Let  $M'$  be as in (ii), then as  $x_i \in M'$ ,  $m_{x_i, K}$  splits in  $M'$  (as  $M'/K$  is normal). So  $M' = M$ .

For uniqueness: any  $M$  satisfying (i) must contain a splitting field for  $f$ , and by the above, (ii) implies that  $M$  is a splitting field for  $f$ , so the result follows from uniqueness of splitting fields.  $\square$

## 8 Separability

Over  $\mathbb{C}$ , we can tell if a polynomial has a multiple zero by looking at its derivative  $f'$ . Over arbitrary fields, it turns out that the same is true, if we replace analysis by algebra.

**Definition 8.1.** The **formal derivative** of  $f = \sum_{0 \leq i \leq d} a_i T^i \in K[T]$  is

$$f' = \sum_{1 \leq i \leq d} i a_i T^{i-1}.$$

**Exercise :** Check from the definition that  $(f+g)' = f' + g'$ ,  $(fg)' = fg' + f'g$  and  $(f^n)' = n f' f^{n-1}$ .

**Example 8.1.** In  $K$  of characteristic  $p > 0$ ,  $f = T^p + a_0 \implies f' = p T^{p-1} = 0$ .

**Proposition 8.1.** Let  $f \in K[T]$ ,  $L/K$  an extension and  $x \in L$  a root of  $f$ . Then  $x$  is a simple root if and only if  $f'(x) \neq 0$ .

*Proof.* Write  $f = (T - x)g \in L[T]$ . Then  $f' = g + (T - x)g'$ , so  $f'(x) = g(x)$  and  $g(x) \neq 0$  if and only if  $(T - x) \nmid g$ , i.e.  $f$  has a simple zero at  $x$ .  $\square$

**Definition 8.2.** Say  $f \in K[T]$  is **separable** if it splits into distinct linear factors (times a constant) in a splitting field (i.e. has  $\deg(f)$  distinct roots).

**Corollary 8.2.**  $f$  is separable if and only if  $\gcd(f, f') = 1$ .

Aside: we'll take  $\gcd(f, g)$  to be the unique monic  $h$  such that  $\gcd(f, g) = h$ . Then  $h = af + bg$ , and Euclid's algorithm allows us to compute  $h, a, b$ . End of aside.

Observe that  $\gcd(f, g)$  is the same in  $K[T]$  as in  $L[T]$  for any  $K \subset L$ , since Euclid's algorithm gives the same result in  $K[T]$  and  $L[T]$ .

*Proof.* Replace  $K$  by a splitting field for  $f$ , so we may assume  $f$  has all its roots in  $K$ . It is separable if  $f, f'$  have no common root, which is true if and only if  $\gcd(f, f') = 1$ .  $\square$

**Example 8.2.**  $\text{char}(K) = p > 0$ ,  $f = T^p - b, b \in K$ . Then  $f' = 0$ , so  $\gcd(f, f') = f \neq 1$ . So  $f$  is inseparable. Let  $L$  be any extension of  $K$  containing  $a \in L, a^p = b$ . Then  $f = (T - a)^p = T^p + (-a)^p = T^p - b$ .

So  $f$  has only one root in a splitting field. In fact, if  $b$  isn't a  $p^{\text{th}}$  power in  $K$ , then  $f$  is irreducible (exercise!)

**Theorem 8.3.** (i) Let  $f \in K[T]$  be irreducible. Then  $f$  is separable if and only if  $f' \neq 0$ .

(ii) If  $\text{char}(K) = 0$ , then every irreducible polynomial in  $K[T]$  is separable.

(iii) If  $\text{char}(K) = p > 0$ , then an irreducible  $f \in K[T]$  is **inseparable** (i.e. not separable) if and only if  $f = g(T^p)$  for some  $g \in K[T]$ .

- Proof.* (i) Assume WLOG that  $f$  is monic. Then, as  $f$  is irreducible, we have  $\gcd(f, f') = f$  or 1. If  $\gcd(f, f') = f$ , then as  $\deg(f') < \deg(f)$ , we must have  $f' = 0$  (and the converse is obvious - if the gcd is 1, then  $f$  is separable).
- (ii) Write  $f = \sum_{i=0}^d a_i T^i$ , so  $f' = \sum_{i=1}^d i a_i T^{i-1}$ , so  $f' = 0 \iff i a_i = 0$  for all  $1 \leq i \leq d$ . If  $\text{char}(K) = 0$ , then  $a_i = 0 \forall i \implies f = a_0$  is a constant, so not irreducible.
- (iii) Analogously to above, if  $\text{char}(K) = p > 0$ , then  $f' = 0 \iff a_i = 0$  for all  $i$  not divisible by  $p \iff f = g(T^p) = \sum a_{pi} T^i$ . □

We now go from polynomials to fields.

**Definition 8.3.** Let  $L/K$  be an extension. We say  $x \in L$  is **separable** over  $K$  if  $x$  is algebraic over  $K$  and its minimal polynomial  $m_{x,K}$  is separable. We say  $L/K$  is **separable** if  $\forall x \in L$ ,  $x$  is separable over  $K$ .

We say an extension is inseparable if it is not separable, i.e. some element is not separable over  $K$ .

**Theorem 8.4.** Let  $x$  be algebraic over  $K$ , and  $L/K$  any extension in which  $m_{x,K}$  splits. Then  $x$  is separable over  $K$  if and only if there are exactly  $\deg_K(x)$   $K$ -homomorphisms from  $K(x) \rightarrow L$ .

*Proof.* Recall from Theorem 6.2 that the number of such homomorphisms is the number of roots of  $m_{x,K}$  in  $L$ . This is equal to the degree of  $x$  if and only if  $x$  is separable, because the minimal polynomial splits. □