



भारतीय विज्ञान संस्थान



SEMESTER NOTES

Irish Debbarma

Department of Mathematics  
Indian Institute of Science, Bangalore

December 2022

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**Part I.**

**Modular Forms**

# **1. Lecture-1 (3rd January): Introduction**

## **2. Lecture-2 (5th January, 2023):**

### 3. Lecture-3 (10th January, 2023): Valence formula and Eisenstein series

#### 3.1. Valence formula

Recall that  $M_k(\Gamma_1)$  is the space of modular forms of weight  $k$  and level 1. It is also a vector space over  $\mathbb{C}$ .

**Theorem 3.1.1.**

$$\dim M_k(\Gamma_1) = \begin{cases} [k/12] + 1 & k \not\equiv (\text{mod } 12) \\ [k/12] & k \equiv (\text{mod } 12) \end{cases}$$

**Proposition 3.1.2.**

Let  $f \in M_k(\Gamma_1)$ . Then,

$$\sum_{p \in \Gamma_1 \setminus \mathbb{H}} \frac{1}{n_p} \text{ord}_p(f) + \text{ord}_\infty(f) = \frac{k}{12}$$

*Proof.* Let  $\epsilon > 0$  be "small enough". Remove  $\epsilon$ -balls around  $\infty, i, \omega, \omega + 1$  in  $\mathcal{F}_1$ .  $\epsilon$  is small enough so that the removed balls are disjoint. Truncate  $\mathcal{F}_1$  at the line  $y = \epsilon^{-1}$  and call the enclosed region  $D$ .

By Cauchy's theorem

$$\int_{\partial D} d(\log f(z)) = 0$$

This integral on the two vertical strips (just the straight lines not the semicircle part) is 0 since the contribution of left is same as right but orientation is different. On the segment joining  $-1/2 + iY, 1/2 + iY$ , the integral is  $2\pi i \text{ord}_\infty(f)$ . Again, integral around each removed point in  $\mathcal{F}_1$  is  $\frac{1}{n_p} \text{ord}_p(f)$ . Next, divide the bottom arc into left and right parts and observe that

$$d(\log f(S \cdot z)) = d(\log f(z)) + k \frac{dz}{z}$$

$$\int_C d(\log f(z)) = \frac{k\pi i}{6}$$

□

**Corollary 3.1.3.**

$$\dim M_k(\Gamma_1) = \begin{cases} 0 & k < 0 \\ 0 & k \text{ is odd} \\ 1 & k = 0 \\ \begin{cases} [k/12] + 1 & k \not\equiv (\text{mod } 12) \\ [k/12] & k \equiv (\text{mod } 12) \end{cases} & \end{cases}$$

*Proof.* • If  $k < 0$ , then  $f$  has poles but is holomorphic.

• If  $k = 0$ , then  $f$  is the constant function.

• We have seen

• For  $m = [k/12] + 1$  let  $f_1, \dots, f_{m+1} \in M_k(\Gamma_1)$ . Let  $P_1, \dots, P_m$  be any points on  $\mathcal{F}_1$  not equal to  $i, \omega, \omega + 1$  and consider  $(f_i(P_j))_{i \in [m+1], j \in [m]}$ .

There exists a linear combination  $f = \sum_{i=1}^{m+1} c_i f_i$  not all  $c_i$  being zero, such that  $f(P_j) = 0$  for  $1 \leq j \leq m$ .

From the previous theorem we get  $f \equiv 0$  and this implies  $\{f_i\}$  is linearly independent and thus  $\dim_{\mathbb{C}} M_k(\Gamma_1) \leq m$ .

For  $k \equiv 2 \pmod{12}$ , the relation in previous theorem holds only if there is atleast a simple zero at  $p = i$  and atleast a double zero at  $p = \omega$ . This gives

$$\frac{k}{12} - \frac{7}{6} = m - 1$$

Repeat the argument above.

□

A slight notation. For  $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \text{SL}_2(\mathbb{Z})$  we set  $f|_{\gamma}(z) = (cz + d)^{-k} f(\gamma \cdot z)$ .

Thus,  $1|_{\gamma}(z) = (cz + d)^{-k}$ . If  $1|_{\gamma}(z) = 1 \Rightarrow c = 0$ . Conversely, if  $c = 0$ , then  $d^{-k} = 1$ . So,  $1|_{\gamma}(z) = 1 \Leftrightarrow c = 0$ .

$$\Gamma_{\infty} = \left\{ \begin{pmatrix} a & b \\ 0 & d \end{pmatrix} \in \text{SL}_2(\mathbb{Z}) \right\} = \text{stab}(\infty)$$

## 3.2. Eisenstein series

**Definition 3.2.1.**

The Eisenstein series  $E_k(z)$  is defined to be

$$E_k(z) = \sum_{\gamma \in \Gamma_{\infty} \backslash \Gamma_1} 1|_{\gamma}(z)$$

**Proposition 3.2.2.**



$$E_k(z) = \frac{1}{2} \sum_{(c,d) \in \mathbb{Z}^2 \setminus \{(0,0)\}, \gcd(c,d)=1} \frac{1}{(cz + d)^k}$$

*Proof.*

□

**Proposition 3.2.3.**

$$\sum_{(c,d) \in \mathbb{Z}^2 \setminus \{(0,0)\}, \gcd(c,d)=1} \frac{1}{(cz + d)^k}$$

converges absolutely for  $k > 2$

*Proof.*

□

**Theorem 3.2.4.**

$E_k(z) \in M_k(\Gamma_1)$  for  $k > 2$ .

*Proof.*

□

**Proposition 3.2.5.**

$E_k(z) \not\equiv 0$  for  $k > 2$ , even.

*Proof.* Observe that

$$\frac{1}{(cz + d)^k} \rightarrow 0, \Im(z) \rightarrow \infty, c \neq 0$$

and if  $c = 0$ , then  $c = \pm 1$ . Hence,  $E_k(z) = 1 +$  bounded term as  $\Im(z) \rightarrow \infty$ . This implies  $E_k(z) \not\equiv 0$  and

$$E_k(z) = 1 + \sum_{n=1}^{\infty} a_n e^{2\pi i z}$$

□

Another way of looking at Eisenstein series is a function on a lattice.

Consider  $G_k(z) = G_k(\mathbb{Z}z + \mathbb{Z}) = \frac{1}{2} \sum'_{(c,d) \in \mathbb{Z}^2} \frac{1}{(cz + d)^k}$

**Proposition 3.2.6.**

$G_k(z)$  converges absolutely for  $k > 2$ .

**Proposition 3.2.7.**

$G_k(z) = \zeta(k) E_k(z)$

**Proposition 3.2.8.**

$$\mathbb{G}_k(z) = \frac{(k-1)!}{(2\pi i)^k} G_k(z) = -\frac{B_k}{2k} + \sum_{n=1}^{\infty} \sigma_{k-1}(n) q^n \text{ for } k > 2, \text{ even.}$$

## 4. Lecture-4 (12th January, 2023): Eisenstein series

### 4.1. Eisenstein series contd..

Recall that

$$M_*(\Gamma_1) = \bigoplus_{k \in \mathbb{Z}} M_k(\Gamma_1)$$

is a graded ring.

#### **Proposition 4.1.1.**

The graded ring  $M_*(\Gamma_1)$  is freely generated by  $E_4, E_6$ . This means that the map

$$\begin{aligned} f : \mathbb{C}[X, Y] &\rightarrow M_*(\Gamma_1) \\ X &\mapsto E_4 \\ Y &\mapsto E_6 \end{aligned}$$

is an isomorphism of graded rings. Here,  $\deg X = 4, \deg Y = 6$ .

*Proof.* We want to show that  $E_4$  and  $E_6$  are algebraically independent. We start by showing that  $E_4^3$  and  $E_6^2$  are linearly independent over  $\mathbb{C}$ . Suppose  $E_6(z)^2 = \lambda E_4(z)^3$ . Consider  $f(z) = E_6(z)/E_4(z)$ . Now observe that  $f(z)^2 = \lambda E_4(z)$ . This means that  $f^2$  is holomorphic and thus  $f$  is also holomorphic. But  $f$  is weakly modular of weight 2 which is a contradiction. So, our claim is proven.

**Claim:** Let  $f_1, f_2$  be two nonzero modular forms of same weight. If  $f_1, f_2$  are linearly independent, then they are algebraically independent as well.

Let  $P(t_1, t_2) \in \mathbb{C}[t_1, t_2] \setminus \{0\}$  be such that  $P(f_1, f_2) = 0$ . Let  $P_d(t_1, t_2)$  be the  $d$  degree parts of  $P$ . Using the fact that modular forms of different weights are linearly independent, we get that  $P_d(f_1, f_2) = 0 \forall d \geq 0$ . If  $p_d(t_1/t_2) = P_d(t_1, t_2)/t_2^d$ , then  $p_d(f_1/f_2) = 0$ . But this means that  $f_1/f_2$  is a constant. But,  $f_1, f_2$  are linearly independent which implies that they are algebraically independent as well.

All of this implies that  $E_4, E_6$  are algebraically independent. Using □

#### **Corollary 4.1.2.**

$$\dim_{\mathbb{C}} M_k(\Gamma_1) = \begin{cases} [k/12] + 1 & k \not\equiv (\text{mod } 12) \\ [k/12] & k \equiv (\text{mod } 12) \end{cases}$$

#### 4.1.1. Fourier expansions of $E_k(z)$

**Proposition 4.1.3.**

$$\mathbb{G}_k(z) = \frac{(k-1)!}{(2\pi i)^k} G_k(z) = -\frac{B_k}{2k} + \sum_{n=1}^{\infty} \sigma_{k-1}(n) q^n$$

for  $k > 2$ , even and  $B_k$  are Bernoulli numbers.

*Proof.* Use

$$\frac{\pi}{\tan \pi z} = \sum_{n \in \mathbb{Z}} \frac{1}{z+n} = \lim_{M, N \rightarrow \infty, N-M < \infty} \sum_{-M}^N \frac{1}{z+n}$$

and

$$\frac{\pi}{\tan \pi z} = \frac{\pi \cos \pi z}{\sin \pi z} = \pi i \frac{e^{\pi i z} + e^{-\pi i z}}{e^{\pi i z} - e^{-\pi i z}} = -\pi i \frac{1+q}{1-q} = -2\pi i \left( \frac{1}{2} + \sum_{r=1}^{\infty} q^r \right)$$

This leads to the equality

$$\sum_{n \in \mathbb{Z}} \frac{1}{z+n} = -2\pi i \left( \frac{1}{2} + \sum_{r=1}^{\infty} q^r \right)$$

Differentiate both sides of equality  $k-1$  times and divide by  $(k-1)!$  to get

$$\sum_{n \in \mathbb{Z}} \frac{1}{(z+n)^k} = \frac{(-2\pi i)^k}{(k-1)!} \sum_{r=1}^{\infty} r^{k-1} q^r$$

Next, if we look at

$$\begin{aligned} G_k(z) &= \frac{1}{2} \sum' \frac{1}{(mz+n)^k} \\ &= \frac{1}{2} \sum_{n \in \mathbb{Z}, n \neq 0} \frac{1}{n^k} + \frac{1}{2} \sum_{(m,n) \in \mathbb{Z}^2, m \neq 0} \frac{1}{(mz+n)^k} \\ &= \zeta(k) + \sum_{m=1}^{\infty} \sum_{n=-\infty}^{\infty} \frac{1}{(mz+n)^k} \\ &= \zeta(k) + \frac{(2\pi i)^k}{(k-1)!} \sum_{m=1}^{\infty} \sum_{r=1}^{\infty} r^{k-1} q^{mr} \\ &= \zeta(k) + \frac{(2\pi i)^k}{(k-1)!} \sum_{m=1}^{\infty} \sum_{r=1}^{\infty} \sigma_{k-1}(n) q^n \end{aligned}$$

The expression of  $\mathbb{G}_k(z)$  is trivial after noting

$$\frac{(k-1)!}{(2\pi i)^k} \zeta(k) = B_k$$

□

- Remark 4.1.4.**
1.  $\mathbb{G}_4(z) = \frac{1}{240} + q + 9q^2 + 28q^3 + 73q^4 + \dots$
  2.  $\mathbb{G}_6(z) = -\frac{1}{504} + q + 33q^2 + 244q^3 + \dots$
  3.  $\mathbb{G}_8(z) = \frac{1}{480} + q + 129q^2 + 2188q^3 + \dots$

**Proposition 4.1.5.**

$$\sum_{m=1}^{n-1} \sigma_3(m) \sigma_3(n-m) = \frac{\sigma_7(n) - \sigma_3(n)}{120}$$

*Proof.*

□

#### 4.1.2. Weight 2 Eisenstein series

**Definition 4.1.6.**

$$\begin{aligned} \mathbb{G}_2(z) &= -\frac{1}{24} + \sum_{n=1}^{\infty} \sigma_1(n) q^n \\ &= -\frac{1}{24} + q + 3q^2 + 4q^3 + 7q^4 + \dots \end{aligned}$$

This converges rapidly on  $\mathbb{H}$  and defines a holomorphic function.

**Proposition 4.1.7.**

$$G_2(z) = -4\pi^2 \mathbb{G}_2(z)$$

*Proof.* Since we know that

$$G_2(z) = \sum_{(m,n) \in \mathbb{Z}^2 \setminus \{(0,0)\}} \frac{1}{(mz + n)^2}$$

does not converge absolutely, we define

$$G_2(z) = \frac{1}{2} \sum_{n \in \mathbb{Z}, n \neq 0} \frac{1}{n^2} + \frac{1}{2} \sum_{m \neq 0} \sum_{n \in \mathbb{Z}} \frac{1}{(mz + n)^2}$$

This sum converges absolutely and we can show that this satisfies the functional equation as required.  $\square$

**Proposition 4.1.8.**

For  $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \mathrm{SL}_2(\mathbb{Z})$  we have

$$G_2\left(\frac{az+b}{cz+d}\right) = (cz+d)^2 G_2(z) - \pi ic(cz+d)$$

$G_2$  is called a quasi modular form.

Introduce (due to Hecke):

$$G_{2,s}(z) = \frac{1}{2} \sum_{(m,n) \in \mathbb{Z}^2 \setminus \{(0,0)\}} \frac{1}{(mz+n)^2 |mz+n|^{2s}}, \Re(s) > 0$$

## 4.2. Modular forms of higher level

Let  $N \in \mathbb{Z}_{\geq 1}$

$$\mathrm{SL}_2(\mathbb{Z}/N\mathbb{Z}) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in M_2(\mathbb{Z}/N\mathbb{Z}) \mid ad - bc \equiv 1 \pmod{N} \right\}$$

**Lemma 4.2.1.**

The map

$$\begin{aligned} \mathrm{SL}_2(\mathbb{Z}) &\rightarrow \mathrm{SL}_2(\mathbb{Z}/N\mathbb{Z}) \\ \begin{pmatrix} a & b \\ c & d \end{pmatrix} &\mapsto \begin{pmatrix} \bar{a} & \bar{b} \\ \bar{c} & \bar{d} \end{pmatrix} \end{aligned}$$

is a group homomorphism.

**Definition 4.2.2.**

$$\Gamma(N) = \ker(\mathrm{SL}_2(\mathbb{Z}) \rightarrow \mathrm{SL}_2(\mathbb{Z}/N\mathbb{Z}))$$

is called the principal congruence subgroup.

**Definition 4.2.3.**

A subgroup  $\Gamma$  of  $\mathrm{SL}_2(\mathbb{Z})$  is called a congruence subgroup if there exists  $N$  such that  $\Gamma(N) \subseteq \Gamma$ .

4. *Lecture-4 (12th January, 2023): Eisenstein series*

$$\Gamma_0(N) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in M_2(\mathbb{Z}/N\mathbb{Z}) \mid c \equiv 0 \pmod{N} \right\}$$
$$\Gamma_1(N) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in M_2(\mathbb{Z}/N\mathbb{Z}) \mid c \equiv d \equiv 1 \pmod{N} \right\}$$

## **5. Lecture-5 (17th January, 2023):**



**Part II.**

**Elliptic Curves**

## **6. Lecture-1 (3rd January): Introduction**

## 7. Lecture-2 (5th January, 2023): Affine varieties

### 7.1. Affine Varieties

Suppose  $k$  is a perfect field (every extension is separable).

Let  $G(\bar{k}/k)$  be the Galois group of the extension. It can also be viewed as  $\varinjlim_{L/K \text{ Galois, } L \text{ finite}} \text{Gal}(L/K)$ .

## 8. Lecture-3 (10 January, 2023): Projective varieties

### 8.1. Projective varieties

#### Definition 8.1.1.

A Projective  $n$ -space over  $k$  denoted by  $\mathbb{P}^n$  or  $\mathbb{P}^n(\bar{k})$  is the set  $\mathbb{A}^{n+1} \setminus \{(0, \dots, 0)\} / \sim$  with

$$(x_0, \dots, x_n) \sim (y_0, \dots, y_n)$$

iff  $\exists \lambda \in \bar{k}^\times$  such that  $(y_0, \dots, y_n) = (\lambda x_0, \dots, \lambda x_n)$

The equivalence class  $(x_0, \dots, x_{n+1})$  is denoted by  $[x_0, \dots, x_n]$

The set of  $k$ -rational points of  $\mathbb{P}^n$  is

$$\mathbb{P}^n = \{[x_0, \dots, x_n] \mid x_i \in k\}$$

**Caution:** If  $p = [x_0, \dots, x_n] \in \mathbb{P}^n(k)$  and  $x_i \neq 0$  for some  $i$ , then  $x_j/x_i \in k \forall j$

#### Definition 8.1.2.

Let  $p = [x_0, \dots, x_n] \in \mathbb{P}^n(\bar{k})$ . The minimal field of definition for  $p$  is the field

$$k(p) = k(x_0/x_i, \dots, x_n/x_i) \text{ for any } i \text{ such that } x_i \neq 0$$

$k(p) \frac{x_i}{x_j} = k(x_0/x_j, \dots, x_n/x_j)$  is the same as  $k(p)$  as  $x_i/x_j \in k(p)$

For  $\sigma \in G(\bar{k}/k)$  and  $p = [x_0, \dots, x_n] \in \mathbb{P}^n$ , we have the following action

$$\sigma(p) = [\sigma(x_0), \dots, \sigma(x_n)]$$

This action is well defined as

$$\sigma(\lambda p) = [\sigma(\lambda)\sigma(x_0), \dots, \sigma(\lambda)\sigma(x_n)] \sim [\sigma(x_0), \dots, \sigma(x_n)]$$

#### Definition 8.1.3.

A polynomial  $f \in \bar{k}[X_0, \dots, X_n]$  is homogenous of degree  $d$  if

$$f(\lambda x_0, \dots, \lambda x_n) = \lambda^d f(x_0, \dots, x_n) \forall \lambda \in \bar{k}$$

**Definition 8.1.4.**

An ideal  $I \subseteq \bar{k}[X_0, \dots, X_n]$  is called a homogenous ideal if it is generated by homogenous polynomial.

**Definition 8.1.5.**

Let  $I \subseteq \bar{k}[X_0, \dots, X_n]$  be a homogenous ideal. Then,

$$V(I) = \{p \in \mathbb{P}^n(\bar{k}) \mid f(p) = 0 \forall f \in I\}$$

**Definition 8.1.6.** • A projective algebraic set is any set of the form  $V(I)$  for some homogenous ideal  $I$ .

- If  $V$  is a projective algebraic set, the homogenous ideal of  $V$ , denoted by  $I(V)$  is the ideal of  $\bar{k}[X_0, \dots, X_n]$  generated by  $\{f \in \bar{k}[X_0, \dots, X_n] \mid f \text{ is homogenous and } f(p) = 0 \forall p \in V\}$
- Such a  $V$  is defined over  $k$ , denoted by  $V/k$  if its ideal  $I(V)$  can be generated by homogenous polynomials  $k[X_0, \dots, X_n]$ .
- If  $V$  is defined over  $k$ , then the set of  $k$ -rational points of  $V$  is

$$V(k) = V \cap \mathbb{P}^n(k) = \{p \in V \mid \sigma(p) = p \forall \sigma \in G(\bar{k}/k)\}$$

**Example 8.1.7.**

A line in  $\mathbb{P}^2$  is given by the equation  $aX + bY + cZ = 0$  with  $a, b, c \in \bar{k}$  and not all 0 simultaneously.

If  $c \neq 0$ , then such a line is defined over a field containing  $a/c, b/c$ .

More generally, a hyperplane in  $\mathbb{P}^n$  is given by an equation  $a_0X_0 + \dots + a_nX_n = 0$  with all  $a_i \neq 0$  simultaneously.

**Example 8.1.8.**

Let  $V$  be the projective algebraic set in  $\mathbb{P}^2$  given by  $X^2 + Y^2 = Z^2$ .

$$\begin{aligned} \mathbb{P}^1 &\xrightarrow{\sim} V \\ [s, t] &\mapsto [s^2 - t^2 : 2st : s^2 + t^2] \end{aligned}$$

**Remark 8.1.9.**

For  $p \in \mathbb{P}^n(\mathbb{Q})$  you can clear the denominators and then divide by common factor so that  $x_i \in \mathbb{Z}$  and  $\gcd(x_0, \dots, x_n) = 1$ . So,  $I = (f_1, \dots, f_m)$  and finding a rational point of  $V_I$  is same as finding coprime integer solutions to  $f'_i s$ .

**Example 8.1.10.**

$V \subseteq \mathbb{P}^2$  such that  $X^2 + Y^2 = 3Z^2$  over  $\mathbb{Q}$ . To find  $V(\mathbb{Q})$ , we just need to find integers  $a, b, c$  such that  $a^2 + b^2 = 3c^2$

**Example 8.1.11.**

$V : 3X^3 + 4Y^3 + 5Z^3 = 0$ .  $V(\mathbb{Q}) = \emptyset$  but for all prime  $p$  we have  $V(\mathbb{Q}_p) \neq \emptyset$

**Definition 8.1.12.**

A projective algebraic set is called a projective variety if its homogenous ideal  $I(V)$  is prime  $\bar{k}[X_0, \dots, X_n]$

Relation between affine and projective varieties:

For  $0 \leq i \leq n$

$$\begin{aligned} \phi_i : \mathbb{A}^n &\rightarrow \mathbb{P}^n \\ (Y_1, \dots, Y_n) &\mapsto [Y_1, \dots, Y_{i-1}, 1, Y_{i+1}, \dots, Y_n] \end{aligned}$$

$\text{Im}(\phi) = U_i = \{p \in \mathbb{P}^n \mid p = [x_0 : \dots : x_n] \text{ with } x_i \neq 0\} = \mathbb{P}^n \setminus H_i$ .

This process can also be reversed by the following map :

$$\begin{aligned} \phi_i^{-1} : U_i &\rightarrow \mathbb{A}^n \\ [x_0 : \dots : x_n] &\mapsto [x_0/x_i, \dots, x_{i-1}/x_i, x_{i+1}/x_i, \dots, x_n/x_i] \end{aligned}$$

Let  $V$  be a projective algebraic set with homogenous ideal  $I(V) \subseteq \bar{k}[X_0, \dots, X_n]$ . Then,

$$V \cap \mathbb{A}^n = \phi_i^{-1}(V \cap U_i) \text{ for fixed } i$$

is an affine algebraic set with  $I(V \cap \mathbb{A}^n) \subset \bar{k}[X_0, \dots, X_{i-1}, X_{i+1}, \dots, X_n]$

**Definition 8.1.13.**

Let  $V \subseteq \mathbb{A}^n$  be an affine algebraic set with ideal  $I(V)$  and consider  $V \subseteq \mathbb{P}^n$  and  $\phi_i$  defined as before.

The projective closure of  $V$  is  $\bar{V}$  is the projective algebraic set whose homogenous ideal  $I(\bar{V})$  is generated by  $\{f^* \mid f \in I(V)\}$ .

Here, for  $f \in k[X_0, \dots, X_{i-1}, X_{i+1}, \dots, X_n]$  we define

$$f^*(X_0, \dots, X_n) = X_i^d(f(X_0/X_i, \dots, X_{i-1}/X_i, X_{i+1}/X_i, \dots, X_n/X_i))$$

with  $d = \deg(f)$ .

**Definition 8.1.14.**

Dehomogenization of  $f(X_0, \dots, X_n)$  with respect to  $i$  is  $f(X_0, \dots, X_{i-1}, 1, X_{i+1}, \dots, X_n)$

**Proposition 8.1.15.** 1. Let  $V$  be an affine variety. Then  $\bar{V}$  is a projective variety and  $V = \bar{V} \cap \mathbb{A}^n$ .

2. Let  $V$  be a projective variety. Then,  $V \cap \mathbb{A}^n$  is an affine variety and either  $V \cap \mathbb{A}^n = \emptyset$  or  $V = \bar{V} \cap \mathbb{A}^n$ .

3. If an affine (resp. projective) variety  $V$  is defined over  $k$ , then  $\bar{V}$  (resp.  $V \cap \mathbb{A}^n$ ) is also defined over  $k$ .

*Proof.* 1.

2.

3.

□

**Example 8.1.16.**

$V : Y^2 = X^3 + 17 \subseteq \mathbb{A}^2 \rightarrow \mathbb{P}^2$  with  $(X, Y) \mapsto [X : Y : 1]$ . Here,  $\bar{V} : Y^2Z = X^3 + 17Z^3$  and  $\bar{V} \setminus V = \{[0 : 1 : 0]\}$

## 9. Lecture-4 (12th January, 2023): Projective varieties and maps between varieties

### 9.1. Projective varieties contd..

**Definition 9.1.1.** • Let  $Y/k$  be a projective variety and choose  $\mathbb{A}^n \subseteq \mathbb{P}^n$  such that  $V \cap \mathbb{A}^n \neq \emptyset$ . The dimension of  $V$  is just dimension of  $V \cap \mathbb{A}^n$ .

- The function field of  $V$ ,  $\bar{k}(V) = \bar{k}(V \cap \mathbb{A}^n)$  is the function field for  $V \cap \mathbb{A}^n$  over  $\bar{k}$ .
- Similarly,  $k(V) = k(V \cap \mathbb{A}^n)$

$$\phi_i : \mathbb{A}^n \rightarrow \mathbb{P}^n \mathcal{I}(V \cap \mathbb{A}_i^n)$$

$$\phi_j : \mathbb{A}^n \rightarrow \mathbb{P}^n \mathcal{I}(V \cap \mathbb{A}_j^n)$$

For different  $\phi_i$  we obtain  $k(V)$ s but they are canonically isomorphic to each other. This is because we can just switch  $x_i, x_j$  are dehomogenise accordingly.

**Definition 9.1.2.**

Let  $V$  be a projective variety and  $p \in V$ . Choose  $\mathbb{A}^n \subseteq \mathbb{P}^n$  with  $p \in \mathbb{A}^n$ . Then,  $V$  is non-singular (or smooth) at  $p$  if  $V \cap \mathbb{A}^n$  is non-singular at  $p$ .

The local ring of  $V$  at  $p$ ,  $\bar{k}[V]_p$  is just the local ring of  $\bar{k}[V \cap \mathbb{A}^n]_p$

**Remark 9.1.3.**

Function field of a projective variety  $V$  is field of rational functions  $f(X)/g(X)$  such that

1.  $f, g$  are homogenous of same degree.
2.  $g \in \mathcal{I}(V)$ .
3.  $f_1/g_1 = f_2/g_2$  iff  $f_1g_2 - f_2g_1 \in \mathcal{I}(V)$



Equivalently, take  $f, g \in \bar{k}[X]/I(V)$  satisfying 1, 2.

Here,  $X$  is just a short form for  $(X_0, \dots, X_n)$

## 9.2. Maps between varieties

### Definition 9.2.1.

Let  $V_1, V_2 \in \mathbb{P}^n$  be projective varieties. A rational map

$$\phi : V_1 \rightarrow V_2$$

$\phi = [f_0 : \dots : f_n]$  where  $f_i \in \bar{k}(V_1)$  such that  $\forall p \in V_1$  at which  $f_i$  are defined, we have

$$\phi(p) = [f_0(p) : \dots : f_n(p)]$$

If  $V_1, V_2$  are defined over  $k$ , we have a Galois action. For  $\sigma \in G(\bar{k}/k)$  we have

$$\sigma(\phi)(p) = [\sigma(f_0) : \dots : \sigma(f_n)(p)]$$

We can check that  $\sigma(\phi(p)) = \sigma(\phi)(\sigma(p))$ .

### Definition 9.2.2.

If  $\exists \lambda \in \bar{k}^\times$  such that  $\lambda f_i \in k(V_1)$ , then  $\phi$  is said to be defined over  $k$ .

### Proposition 9.2.3.

$\phi$  is defined over  $k$  iff  $\phi = \sigma(\phi) \forall \sigma \in G(\bar{k}/k)$ .

### Definition 9.2.4.

A rational map  $\phi : V_1 \rightarrow V_2$  is said to be regular if there exists a function  $g \in \bar{k}(V_1)$  such that

1. Each  $gf_i$  is regular at  $p$ .
2. There exists some  $i$  such that  $(gf_i)(p) \neq 0$

If such a  $g$  exists, then we set

$$\phi(p) = [(gf_0)(p) : \dots : (gf_n)(p)]$$

### Definition 9.2.5.

A rational map is called a morphism if it is regular everywhere.

**Remark 9.2.6.**

Let  $V_1, V_2 \in \mathbb{P}^n$  be projective varieties.

$\bar{k}(V_1)$  = quotient of homogenous polynomials in  $\bar{k}[X]$  of same degree.

A rational map  $\phi = [f_0, \dots, f_n]$  can be multiplied by a homogenous polynomial to clear denominators and get  $\phi = [\phi_0, \dots, \phi_n]$  such that

1.  $\phi_i \in \bar{k}[X]$  homogenous polynomials not all in  $\mathcal{I}(V_1)$  and have same degree.
2. For all  $f \in \mathcal{I}(V_2)$  we have  $f(\phi_0(X), \dots, \phi_n(X)) \in \mathcal{I}(V_1)$ .

**Definition 9.2.7.**

A rational map  $\phi = [\phi_0, \dots, \phi_n] : V_1 \rightarrow V_2$  as above is regular at  $p \in V_1$  if there exists homogenous polynomials  $\psi_0, \dots, \psi_n \in \bar{k}[X]$  such that

1.  $\psi_i$ s have the same degree
2.  $\phi_i \psi_j \equiv \phi_j \psi_i \pmod{\mathcal{I}(V_1)}$  for all  $0 \leq i, j \leq n$
3.  $\psi_i(p) \neq 0$  for some  $i$ .

If this happens, we set

$$\phi(p) = [\psi_0(p), \dots, \psi_n(p)]$$

**Remark 9.2.8.**

Let  $\phi = [\phi_0, \dots, \phi_n] : \mathbb{P}^m \rightarrow \mathbb{P}^n$  be a rational map.  $\phi_i$ s are homogenous polynomials having same degree. We can cancel common factors to assume  $\gcd(\phi_0, \dots, \phi_n) = 1$ .

And,  $\phi$  is regular at a point  $p \in \mathbb{P}^n$  iff  $\phi_i(p) \neq 0$  for some  $i$ .

So,  $\phi$  is a morphism if  $\phi_i$ s have no common zeros in  $\mathbb{P}^n$ .

**Definition 9.2.9.**

Let  $V_1, V_2$  be two projective varieties. We say that  $V_1, V_2$  are isomorphic if there are morphisms

$$\phi : V_1 \rightarrow V_2, \psi : V_2 \rightarrow V_1$$

such that  $\phi \circ \psi = \text{id}_{V_2}, \psi \circ \phi = \text{id}_{V_1}$ .

$V_1/k$  and  $V_2/k$  are isomorphic over  $k$  if both maps are defined over  $k$ .

**Example 9.2.10.**

$\text{char}(k) \neq 2, V : X^2 + Y^2 = Z^2$ .

$$\begin{aligned} \phi : V &\rightarrow \mathbb{P}^2 \\ [X : Y : Z] &\mapsto [X + Z : Y] \end{aligned}$$

$\phi$  is regular everywhere except  $[1 : 0 : 1]$

Since  $(X+Z)(X-Z) \equiv -Y^2 \equiv (\text{mod } \mathcal{I}(V))$ , we have  $[X+Z : Y] = [X^2 - Z^2 : Y(X-Z)] = [-Y^2 : Y(X-Z)] = [-Y : X-Z] = \psi$

$$\begin{aligned}\psi : \mathbb{P}^1 &\rightarrow V \\ [s : t] &\rightarrow [s^2 - t^2 : 2st : s^2 + t^2]\end{aligned}$$

$\psi \circ \phi$  and  $\phi \circ \psi$  are both identity maps.

**Example 9.2.11.**

$$\begin{aligned}\phi : \mathbb{P}^2 &\rightarrow \mathbb{P}^2 \\ [X : Y : Z] &\mapsto [X^2 : YZ : Z^2]\end{aligned}$$

is regular everywhere but  $[0 : 1 : 0]$  and this cannot be salvaged.

**Example 9.2.12.**

$$V : Y^2Z = X^3 + X^2Z$$

$$\begin{aligned}\psi : \mathbb{P}^1 &\rightarrow V \\ [s : t] &\mapsto [(s^2 - t^2)t : (s^2 - t^2)s : t^3] \\ [X : Y : Z] &\mapsto [X : Y]\end{aligned} \quad \phi : V \rightarrow \mathbb{P}^1$$

$\phi$  is not regular at  $[0 : 0 : 1]$ .  $[0 : 0 : 1]$  is a singular point of  $V$  which implies  $\phi$  cannot be extended. So  $\phi \circ \psi$  and  $\psi \circ \phi$  are identities when they are defined.

**Example 9.2.13.**

$V_1 : X^2 + Y^2 = Z^2, V_2 : X^2 + Y^2 = 3Z^2$ .  $V_1 \not\cong V_2$  over  $\mathbb{Q}$  but  $V_1 \cong V_2$  over  $\mathbb{Q}(\sqrt{3})$ .

## **10. Lecture-5 (17th January, 2023):**

## **Part III.**

# **Basic Algebraic Geometry**

## **11. Lecture-1 (5th January): Introduction**

## 12. Lecture-2 (10 January, 2023): Ideals and Zariski topology

### 12.1. Ideals

For  $I, J$  ideals

$$I + J = \{x + y \mid x \in I, y \in J\}$$

$$IJ = \{\sum x_i y_i \mid x_i \in I, y_i \in J\}$$

- $IJ \subseteq I \cap J$ .
- If  $I + J = R$ , then  $I^2 + J^2 = R$ . This is because, say  $I^2 + J^2 \neq R$ , then there is a maximal ideal  $\mathfrak{m}$  such that  $I^2 + J^2 \subseteq \mathfrak{m}$ . This means  $I^2, J^2 \subseteq \mathfrak{m}$ . But  $\mathfrak{m}$  is prime ideal, therefore  $I, J \subseteq \mathfrak{m} \Rightarrow I + J \subseteq \mathfrak{m}$  which is a contradiction. Thus, we are done.
- If  $\mathfrak{p}$  is a prime ideal and  $IJ \subseteq \mathfrak{p}$ . Then,  $I \subseteq \mathfrak{p}$  or  $J \subseteq \mathfrak{p}$ . Suppose not, then there exists  $x \in I \setminus \mathfrak{p}, y \in J \setminus \mathfrak{p}$ . But then  $xy \in IJ \subseteq \mathfrak{p}$ .
- $\mathfrak{p} \supseteq I \cap J \Leftrightarrow IJ \subseteq \mathfrak{p}$ .

### 12.2. Zariski topology

**Definition 12.2.1.** • For an ideal  $I$ , let

$$V(I) = \{\mathfrak{p} \text{ prime ideal} \mid I \subseteq \mathfrak{p}\}$$

- $\text{Spec}(R) = \{\text{collection of all prime ideals of } R\}$

**Definition 12.2.2 (Zariski Topology).**

It is the topology defined on  $\text{Spec}(R)$  such that the closed sets are  $V(I)$ .

Verification that this indeed is a topology.

1.  $V(0) = \text{Spec}(R), V(R) = \emptyset$ .
2.  $V(I) \cup V(J) = V(I \cap J) = V(IJ)$ .
3.  $\bigcap_{k \in K} V_k = V(\sum_{k \in K} I_k)$ . This is because  $\mathfrak{p} \supseteq I_k \Leftrightarrow \mathfrak{p} \supseteq \sum_{k \in K} I_k$

Let us now look at the open sets of this topology. The basis for the open sets is given by

$$D(f \in R) = \{ \text{all prime ideals not containing } f \}$$

Clearly,

$$(V(I))^c = \bigcup_{f \in I} D(f)$$

and moreover, each  $D(f)$  is open since  $D(f) = (V(\langle f \rangle))^c$

**Theorem 12.2.3.**

$\text{Spec}(R)$  is quasi-compact.

*Proof.* We wish to prove that every open cover has a finite subcover. This is equivalent to saying every cover by  $D(f_i)$  has a finite subcover. Say

$$\text{Spec}(R) = \bigcup_{i \in I} D(f_i)$$

Take  $J$  to be the ideal generated by  $f_i$ 's. Either  $J = R$  or  $J \subseteq \mathfrak{m}$ . Suppose  $J \subseteq \mathfrak{m}$ , then  $f_i \in \mathfrak{m} \in \text{Spec}(R) \Rightarrow \mathfrak{m} \notin D(f_i) \forall i \Rightarrow D(f_i)$  does not cover  $\mathfrak{m}$ . A contradiction. Therefore,  $J = R$  and this implies  $1 = \text{some linear combination of } f_i$  and notice that this sum is finite. So, just consider these finitely many  $f_i$ 's (say the indexing set is  $K$ ). These cover  $J$ . Suppose that  $\{D(f_k), k \in K\}$  do not cover  $\text{Spec}(R)$ . Then, there is a prime ideal  $\mathfrak{p} \notin \bigcup_{k \in K} D(f_k) \Rightarrow \mathfrak{p} \ni f_k \forall k \in K \Rightarrow R \subseteq \mathfrak{p} \Rightarrow \Leftarrow$ . Hence, it covers all of  $\text{Spec}(R)$  as required.

**Another proof:**

Suppose  $\text{Spec}(R) = \bigcup_{j \in J} U_j = \bigcup_{j \in J} \text{Spec}(R) \setminus \mathcal{V}(I_j) = \text{Spec}(R) \setminus \bigcap_{j \in J} \mathcal{V}(I_j) = \text{Spec}(R) \setminus \mathcal{V}(\sum_{j \in J} I_j)$ . This is equivalent to saying that  $\mathcal{V}(\sum_{j \in J} I_j) = \emptyset$ . So, we conclude that  $\sum_{j \in J} I_j = R \Rightarrow \sum_{k \in K} a_k = 1$  for some finite set  $K$ . We claim that  $\{U_k : k \in K\}$  covers  $\text{Spec}(R)$ . This is because

$$\begin{aligned} \mathcal{V}(\sum_{k \in K} I_k) &= \emptyset \\ \Rightarrow \text{Spec}(R) &= \text{Spec}(R) \setminus \mathcal{V}(\sum_{k \in K} I_k) \\ &= \bigcup_{k \in K} \text{Spec}(R) \setminus \mathcal{V}(I_k) \\ &= \bigcup_{k \in K} U_k \end{aligned}$$

This completes the proof. □

**Proposition 12.2.4.**

Each  $D(f)$  is quasi-compact.



*Proof.* Suppose

$$D(f) = \bigcup D(g_i)$$

and let  $J$  be the ideal generated by  $g_i$ 's. Take  $\mathfrak{p} \supseteq J$ . Then, each  $g_i \in J \subseteq \mathfrak{p} \Rightarrow \mathfrak{p} \not\subseteq D(g_i) \Rightarrow \mathfrak{p} \not\subseteq D(f) \Rightarrow f \in \mathfrak{p} \Rightarrow f \in \bigcap_{\mathfrak{p} \supseteq J} \mathfrak{p}$ . **Before completing this proof, we need to understand this intersection much better. Refer to following content on nilpotent elements and come back.**

Now, we know that  $f \in \text{rad}(J)$  which implies  $\exists n$  such that  $f^n \in J$ . We get

$$f^n = \sum_{\text{finite}} r_i g_i$$

Finally, we claim that these  $D(g_i)$ s cover  $D(f)$ . □

**Definition 12.2.5.**

$x \in R$  is nilpotent if  $x^n = 0$  for some  $n \in \mathbb{N}$ .

**Remark 12.2.6.**

Any nilpotent element ( $x^n = 0$  for some  $n$ ) is clearly in every prime ideal ( $0 \in \mathfrak{p}$ ) and thus in the intersection of all prime ideals. This can be recorded as

$$\bigcap_{\mathfrak{p} \in \text{Spec}(R)} \mathfrak{p} \supseteq \text{Nil}(R)$$

**Proposition 12.2.7.**

$$\bigcap_{\mathfrak{p} \in \text{Spec}(R)} \mathfrak{p} \subseteq \text{Nil}(R)$$

*Proof.* Take an element  $x \in R \setminus \text{Nil}(R)$  (not nilpotent) and consider the set

$$\Sigma = \{I \trianglelefteq R \mid x^n \notin I \forall n > 0\}$$

Notice that  $\Sigma$  is a poset with respect to inclusion. And every chain  $I_1 \subseteq I_2 \subseteq I_3 \subseteq \dots$  has an upper bound (union of all the ideals). Thus, we can apply Zorn's lemma to get a maximal element  $\mathfrak{p}$  which we claim is prime. Indeed, if  $ab \in \mathfrak{p}$  but  $a \notin \mathfrak{p}, b \notin \mathfrak{p}$  then  $\mathfrak{p} + \langle a \rangle, \mathfrak{p} + \langle b \rangle$  are ideals strictly containing  $\mathfrak{p}$  contradicting maximality of  $\mathfrak{p}$ . Therefore, we can conclude that  $x \notin \mathfrak{p} \Rightarrow x \notin \bigcap_{\mathfrak{p} \supseteq J} \mathfrak{p}$  or rather not nilpotent implies not in intersection and hence we have proved the required inclusion. □

$$\text{Nil}(R) = \bigcap_{\mathfrak{p} \in \text{Spec}(R)} \mathfrak{p} = \bigcap_{\mathfrak{p} \subseteq \{0\}} \mathfrak{p}$$

$$\{x \mid x^n \in J\} = \text{rad}(J) = \bigcap_{\mathfrak{p} \supseteq J} \mathfrak{p}$$

# 13. Lecture-3 (12th January): Zariski topology

## 13.1. Zariski topology contd..

### Definition 13.1.1.

If  $J = \text{rad}(J)$ , then  $J$  is called radical ideal.

#### Properties:

1. Every radical ideal is an intersection of prime ideals.
2.  $\mathcal{V}(J) = \mathcal{V}(\text{rad}(J))$
3.  $\mathcal{V}(J) = \mathcal{V}(J')$  implies  $\text{rad}(J) = \text{rad}(J')$

Suppose  $S \subseteq R$  such that

- $1 \in S, 0 \notin S$
- If  $x, y \in S \Rightarrow xy \in S$

### Proposition 13.1.2.

Take an ideal maximal wrt not intersecting  $S$ . Then, it is prime.

*Proof.* Suppose  $\mathfrak{m}$  is the ideal in question. Next, suppose  $\mathfrak{m}$  is not prime which implies  $\exists a, b \in R$  such that  $ab \in \mathfrak{m}$  but  $a, b \notin \mathfrak{m}$ . Then,  $\mathfrak{m} + \langle a \rangle \supsetneq \mathfrak{m}, \mathfrak{m} + \langle b \rangle \supsetneq \mathfrak{m}$ . But, this means  $(\mathfrak{m} + \langle a \rangle) \cap S \neq \emptyset \Rightarrow m + ra \in S$  for some  $m \in \mathfrak{m}, r \in R$ . Similarly,  $n + sb \in S$  for some  $n \in \mathfrak{m}, s \in R$ . But,  $S$  is multiplicative therefore  $(m + ra)(n + sb) \in S \Rightarrow mn + ran + msb + rsab \in S \Rightarrow ((\langle ab \rangle + \mathfrak{m}) = \mathfrak{m}) \cap S \neq \emptyset$ . This is a contradiction. Hence, we are done.  $\square$

### Proposition 13.1.3.

Say  $J$  is maximal wrt not being principal. Then,  $J$  is prime.

*Proof.* Suppose  $\mathfrak{m}$  is the ideal in question. Next, suppose  $\mathfrak{m}$  is not prime which implies  $\exists a, b \in R$  such that  $ab \in \mathfrak{m}$  but  $a, b \notin \mathfrak{m}$ . Next, we can consider the ideal  $I = \mathfrak{m} + \langle a \rangle$ .

By maximality of  $\mathfrak{m}$ , we have  $I = \langle c \rangle$  for some  $c \in R$ . Now, consider  $J = \{x \in R \mid xc \in \mathfrak{m}\}$ . Clearly,  $I \subseteq J$ . Notice that  $c = m + ar$  for some  $m \in \mathfrak{m}, r \in R$ .

$$\begin{aligned} bc &= b(m + ar) \\ &= bm + (ba)r \\ \Rightarrow bc &\in \mathfrak{m} \\ \Rightarrow b &\in J \end{aligned}$$

This means  $b \in J \setminus \mathfrak{m}$ . Therefore  $V$  is also principal and hence  $V = \langle d \rangle$ . Since  $\mathfrak{m} \in I$ , therefore  $m = cr$  for some  $r \in R$ . But this means that  $r \in V \Rightarrow r = r'd$  for some  $r' \in R$ . Hence,  $m = cdr' \in \langle cd \rangle \Rightarrow \mathfrak{m} \subseteq \langle cd \rangle$ . For the other direction, since  $d \in V \Rightarrow cd \in U$ . All of these tells us that  $\mathfrak{m} = \langle cd \rangle$  a contradiction to our assumption. Therefore,  $\mathfrak{m}$  must be prime.  $\square$

**Proposition 13.1.4.**

Say  $J$  is maximal wrt not being finitely generated. Then,  $J$  is prime.

*Proof.* Suppose  $\mathfrak{m}$  is the ideal in question. Next, suppose  $\mathfrak{m}$  is not prime which implies  $\exists a, b \in R$  such that  $ab \in \mathfrak{m}$  but  $a, b \notin \mathfrak{m}$ .

If we now look at  $\mathfrak{m} + \langle a \rangle$ , by our assumption, this ideal is finitely generated by say  $u_1, \dots, u_m$ .  $\square$

**Exercise 13.1.5.** Suppose  $J$  is maximal wrt not being generated by a cardinal number of generators. Then,  $J$  is prime.

**Definition 13.1.6.**

A topological space  $X$  is said to be irreducible if it cannot be written as the union of proper closed subsets of  $X$

## 13.2. Identify closed irreducible subsets of $\text{Spec}(R)$

**Proposition 13.2.1.**

The sets  $\mathcal{V}(\mathfrak{p})$  are exactly the irreducible components of  $\text{Spec}(R)$ .

**Lemma 13.2.2.**

Let  $I \subseteq R$  be a radical ideal. If  $\mathcal{V}(I)$  is irreducible, then  $I$  is prime.

*Proof.* Suppose  $I$  is not prime. Then there exists  $a, b$  such that  $ab \in I$  but  $a \notin I$  and  $b \notin I$ . Consider a prime ideal  $\mathfrak{p}$  that contains  $I$ , it will also contain  $ab$  and thus  $\mathfrak{p}$  contains either  $a$  or  $b$ . This is summarised as

$$\mathcal{V}(I) = (\mathcal{V}(I) \cap \mathcal{V}(a)) \cup (\mathcal{V}(I) \cap \mathcal{V}(b))$$

Thus  $\mathcal{V}(I)$  is union of closed sets. It remains to be shown that the sets are proper in order to conclude that  $\mathcal{V}(I)$  is not irreducible. Since  $\mathcal{V}(I) \cap \mathcal{V}(a) = \mathcal{V}(I + \langle a \rangle)$  and  $a \notin I$  therefore  $\mathcal{V}(I + \langle a \rangle)$  is a proper closed subset of  $I$  and same for  $b$ . This is a contradiction to our hypothesis. So, we are done.  $\square$

**Lemma 13.2.3.**

$\mathcal{V}(\mathfrak{p})$  is an irreducible closed subset for  $\mathfrak{p}$  prime.

*Proof.* Suppose  $\mathcal{V}(\mathfrak{p}) = V_1 \cup V_2$  with  $V_1, V_2$  proper closed subsets of  $\mathcal{V}(\mathfrak{p})$ . Then there exists ideals  $I, J$  such that  $\mathcal{V}(\mathfrak{p}) = \mathcal{V}(I) \cup \mathcal{V}(J)$ . Since  $\mathfrak{p} \in \mathcal{V}(\mathfrak{p})$  this implies  $\mathfrak{p} \in \mathcal{V}(I)$  or  $\mathfrak{p} \in \mathcal{V}(J)$ . Suppose  $\mathfrak{p} \in \mathcal{V}(I)$ , then  $I \subseteq \mathfrak{p} \Rightarrow \mathcal{V}(\mathfrak{p}) \subseteq \mathcal{V}(I) \Rightarrow \mathcal{V}(\mathfrak{p}) = \mathcal{V}(I)$ . This is a contradiction to our assumption and hence we are done.  $\mathcal{V}(\mathfrak{p})$  is irreducible.  $\square$

**Proposition 13.2.4.**

Every irreducible closed subset of  $\text{Spec}(R)$  has an unique generic point.

*Proof.* Notice that any irreducible closed subset is of the form  $\mathcal{V}(\mathfrak{p})$ . Now,  $\mathcal{V}(\mathfrak{p})$  is the closure of  $\mathfrak{p}$ . This is because  $\text{cl}(\mathfrak{p})$  is a closed set and hence of the form  $\mathcal{V}(I)$  for some ideal  $I$ . Moreover  $\mathfrak{p} \supseteq I$ . The biggest ideal  $I$  such that  $I \subseteq \mathfrak{p}$  is  $\mathfrak{p}$  and this gives us what we want because  $\mathcal{V}$  reverses inclusions. Therefore,  $\text{cl}(\mathfrak{p}) = \mathcal{V}(\mathfrak{p})$ . And, such a generic point is unique for suppose  $\mathcal{V}(\mathfrak{p}) = \mathcal{V}(\mathfrak{q})$  then clearly  $\mathfrak{p} \subseteq \mathfrak{q}$  and  $\mathfrak{q} \subseteq \mathfrak{p}$ . So, we are done.  $\square$

To summarise, Zariski topology has the following properties:

1.  $\text{Spec}(R)$  is quasi-compact
2.  $\text{Spec}(R)$  has a basis of quasi-compact opens which is closed under intersection.
3. Every irreducible closed subset has a generic point.

**Theorem 13.2.5 (Hochster).**

Any topological space with the 3 properties is the spectrum of some commutative ring.

Suppose  $X$  is spectral. Define a new space  $X^*$  with open sets as finite union of quasi-compact open sets in  $X$ . This new space is called the Hochster dual.

**Theorem 13.2.6.**

$X^*$  is also spectral.

*Proof.*

$\square$

## **14. Lecture-5 (17th January, 2023):**

**Part IV.**

**Algebraic Geometry I**

# 15. Lecture-1 (9th January, 2023): Topological properties and Zariski Topology

## 15.1. Topological properties

Consider a topological space  $X$ .

- Definition 15.1.1.**
1. We say  $X$  is quasi-compact if every open cover of  $X$  admits a finite subcover.
  2. If  $f : X \rightarrow Y$  is continuous, we call  $f$  quasi-compact if  $f^{-1}(V)$  is quasi-compact for all quasi-compact open  $V \subseteq Y$ .

**Exercise 15.1.2.** *Composition of quasi-compact maps is quasi-compact.*

Consider the two maps  $f : X \rightarrow Y$  and  $g : Y \rightarrow Z$ . Next, look at the composition  $g \circ f : X \rightarrow Z$ . For all quasi-compact open  $V \subseteq Z$ ,  $(g \circ f)^{-1}(V) = f^{-1} \circ g^{-1}(V)$ . Since  $g$  is quasi-compact and continuous,  $g^{-1}(V)$  is also quasi-compact and open. Similarly,  $f$  is also quasi-compact and continuous, therefore  $f^{-1}(g^{-1}(V))$  is also quasi-compact and we are done.

**Lemma 15.1.3.**

$X$  quasi-compact and  $Y \subseteq X$  is closed implies  $Y$  is quasi-compact.

*Proof.* Let  $\{U_i\}_{i \in I}$  be an open cover of  $Y$ . Set  $U = X - Y$ . Since  $U_i$  is open in  $Y$ , we have  $U_i = Y \cap V_i$  where  $V_i$  is open in  $X$ . Now we note that  $\{V_i\}_{i \in I} \cup U$  covers  $X$  but  $X$  is quasi-compact and we obtain a finite subcover  $\{V_i\}_{i \in J} \cup U$  where  $J$  is finite. The corresponding  $U_i, i \in J$  must therefore cover  $Y$  and we are done.  $\square$

**Proposition 15.1.4.**

If  $X$  is quasi-compact and Hausdorff, then  $E \subseteq X$  is quasi-compact iff  $E$  is closed.

*Proof.*  $\Leftarrow$  direction is done.

$\Rightarrow$  direction is what we need to prove.

Take  $x \in X \setminus E$ . For each  $y \in E$ , due to Hausdorff-ness we have two disjoint open sets  $U_y$  and  $U_x$  containing  $x$  and  $y$  respectively. Do this for all  $y \in E$ . The collection

$\{U_y\}_{y \in E}$  covers  $E$  but it is quasi-compact thus we get a finite subcover  $\{U_{y_i}\}_{i \in I}$  with  $I$  finite. Now, let

$$U = \bigcap_{i \in I} U_{y_i}$$

$U$  is clearly open, contains  $x$  and is disjoint from  $E$ . Since  $x$  was chosen arbitrarily,  $X \setminus E$  must be open.  $\square$

**Lemma 15.1.5.**

Any finite union of quasi-compact spaces is quasi-compact.

*Proof.* Suppose  $X_i, i = 1, 2, \dots, n$  are the spaces in question. We want to show that

$$X = \bigcup_{i=1}^n X_i$$

is also quasi-compact. Take any cover  $\{U_i\}_{i \in I}$  be an open cover of  $X$ . Then for each  $i = 1, 2, \dots, n$  it is clear that  $\{U_i\}_{i \in I}$  also covers  $X_i$ . Using quasi-compactness of  $X_i$  we can get a finite subcollection  $\{U_{i_j} : j = 1, \dots, n_i\}$ . This can be done for all  $i$ . Now, consider  $\bigcup_{i=1}^n \bigcup_{j=1}^{n_i} U_{i_j}$ . This union covers  $X$  and is finite. So, we are done.  $\square$

**Lemma 15.1.6.**

Suppose  $f : X \rightarrow Y$  is continuous, if  $X$  is quasi-compact then so is  $f(X)$ .

*Proof.* Let  $\{U_i\}_{i \in I}$  be an open cover of  $f(X)$ . Now,  $\{f^{-1}(U_i)\}_{i \in I}$  covers  $X$  and by continuity, each of them are open. Use quasi-compactness of  $X$  to get a finite subcover that covers  $X$ .

$$\begin{aligned} X &= \bigcup_{i=1}^n f^{-1}(U_i) \\ \because f(f^{-1}(U_i)) &\subseteq U_i \\ \therefore f(X) &\subseteq \bigcup_{i=1}^n U_i \end{aligned}$$

$\square$

Suppose  $\Sigma$  is a poset.  $\Sigma$  satisfies acc if every ascending chain

$$x_1 \leq x_2 \leq \dots$$

is stationary.

**Lemma 15.1.7.**

The following are equivalent:

1.  $\Sigma$  satisfies acc.



2. Every non-empty subset of  $\Sigma$  has maximal element.

*Proof.*  $1 \Rightarrow 2$ . Suppose  $S \subseteq \Sigma$  has no maximal element.

Then choose  $x_0 \in S$  non-maximal, then we can find a  $x_1$  such that  $x_0 \leq x_1$ . By induction we can construct an infinite chain  $x_0 \leq x_1 \leq \dots \leq x_i \leq \dots$  which does not terminate which is a contradiction to our hypothesis. Thus,  $S$  must have a maximal element.

$2 \Rightarrow 1$ . Suppose  $x_1 \leq x_2 \leq \dots \leq x_i \leq \dots$  is an infinite ascending chain, then  $S = \{x_i \mid i \geq 1\}$  has no maximal element.  $\square$

**Definition 15.1.8.**

A topological space is called Noetherian if set of all closed subsets of  $X$  satisfies dcc.

**Lemma 15.1.9.**

$X$  Noetherian implies  $X$  is quasi-compact.

*Proof.* Let  $\mathcal{U} = \{U_i\}_{i \in I}$  be an open cover of  $X$  that does not have a finite subcover. Consider the collection  $\mathcal{F}$  of union of finite number of elements of  $\mathcal{U}$ . Since being Noetherian is equivalent to saying any finite subset of open subsets has a maximal element, we know that  $\mathcal{F}$  has a maximal element. Suppose that maximal element is  $U_{i_1} \cup \dots \cup U_{i_n}$ . If this does not cover  $X$ , take an element  $x$  in the complement of the maximal element. Since  $\mathcal{U}$  covers  $X$ , there is an  $i \in I$  such that  $x \in U_i$ . Notice that now  $U_{i_1} \cup \dots \cup U_{i_n} \subseteq U_{i_1} \cup \dots \cup U_{i_n} \cup U_i$  which contradicts the maximality. Thus, we are done.  $\square$

**Remark 15.1.10.**

The converse need not be true. Consider  $[0, 1]$  covered by  $[1/2^n, 1]$ .

**Lemma 15.1.11.**

If  $X_1, \dots, X_n$  are Noetherian subspaces of  $X$ , then so is  $X = X_1 \cup X_2 \cup \dots \cup X_n$

*Proof.* Let  $Y_i$ s be closed in  $X$  that forms the chain

$$X \supseteq Y_1 \supseteq Y_2 \supseteq Y_3 \supseteq \dots$$

For each  $i$ , we get a chain of closed sets in  $X_i$  by intersecting with  $X_i$ . This gives us

$$X_i \supseteq Y_1 \cap X_i \supseteq Y_2 \cap X_i \supseteq Y_3 \cap X_i \supseteq \dots$$

Since  $X_i$  is Noetherian, this chain terminates at say  $r_i$ . Now, take  $r = \max_i r_i$ . The original chain will terminate after this point. Suppose  $y \in Y_i$  with  $i \leq r$ , there is an  $j$  such that  $y \in X_j$ . This means  $y \in X_j \cap Y_i = X_j \cap Y_r$ . Hence,  $y \in Y_r$  and we are done.  $\square$

**Definition 15.1.12.**

Locally Noetherian means every point  $x \in X$  has a neighbourhood  $U$  which is Noetherian wrt subspace topology.

**Lemma 15.1.13.**

Quasi-compact and locally Noetherian implies Noetherian.

*Proof.* Since  $X$  is locally Noetherian, for each  $x \in X$  we have a nbd.  $U_x$  that is Noetherian.  $\{U_x\}_{x \in X}$  is an open cover of  $X$ . Quasi-compactness gives us a finite subcover  $\{U_{x_i}\}_{i=1}^n$ , i.e.,

$$X = \bigcup_{i=1}^n U_{x_i}$$

$X$  is Noetherian from previous lemma. □

**Exercise 15.1.14.** Give an example of a ring  $R$  such that  $\text{Spec}(R)$  is Noetherian but  $R$  is not.

Consider the ring  $R = k[X_1, X_2, \dots]$  and the ideal  $I = \langle X_1^2, X_2^2, \dots \rangle$ . Now, look at  $R' = R/I$ .  $\text{Spec}(R')$  is a singleton.

**Definition 15.1.15.**

A topological space  $X$  is called irreducible if it cannot be written as finite union of proper closed subsets.

A closed subset  $Y \subseteq X$  is called irreducible component of  $X$  if it is a maximal irreducible closed subset of  $X$ .

**Lemma 15.1.16.**

If  $X$  is Noetherian and  $Y \subseteq X$  is a subspace, then  $Y$  is Noetherian.

*Proof.* Let  $Y_i$ s be closed in  $Y$  that forms the chain

$$Y \supseteq Y_1 \supseteq Y_2 \supseteq Y_3 \supseteq \dots$$

For each  $i$ , we have a closed set in  $X$  such that  $Y_i = Y \cap X_i$ . This gives us

$$Y \supseteq X_1 \cap Y \supseteq X_2 \cap Y \supseteq X_3 \cap Y \supseteq \dots$$

□

**Lemma 15.1.17.**

Let  $X$  be Noetherian. Then,  $X$  has finitely many irreducible components.

*Proof.* More generally, we will show that every closed subset for  $X$  has finitely many irreducible components.

Suppose that this is false. Let  $\Sigma$  be the collection of closed subsets of  $X$  that does not satisfy our condition. Order this as follows:  $A \leq B$  if  $A \supseteq B$ . If  $\{C_i\}$  is a chain in  $\Sigma$ , then it must eventually stabilise since  $X$  is Noetherian. This  $C_\alpha$  is an upper bound for this chain. Therefore, by Zorn's lemma, there is a maximal element  $Y$ . Since  $Y \in \Sigma$ , therefore it is not irreducible. Suppose  $Y = Y_1 \cup Y_2$  with  $Y_1, Y_2$  proper closed subsets of  $Y$ .  $Y \leq Y_1, Y \leq Y_2$ . Since  $Y \in \Sigma$ ,  $Y$  is not a finite union of irreducible components. Hence, either  $Y_1$  or  $Y_2$  is not irreducible. If  $Y_1$  is not irreducible but  $Y_1 \in \Sigma$ , since  $Y$  is maximal in  $\Sigma$  and  $Y \leq Y_1$ , therefore  $Y = Y_1$  a contradiction that  $Y_1$  is a proper subset of  $Y$ . Thus,  $\Sigma$  must be empty and the claim is proven.  $\square$

**Lemma 15.1.18.**

$X$  is Noetherian implies there exists a unique expression  $X = X_1 \cup \dots \cup X_n$  where  $X_i$ 's are irreducible components of  $X$ .

*Proof.* Suppose

$$X = X_1 \cup \dots \cup X_n = X'_1 \cup \dots \cup X'_m$$

Clearly  $X'_1 \subseteq X$ , this means  $X'_1 = \bigcup_{i=1}^n X'_1 \cap X_i$ . Since  $X'_1$  is irreducible, there must be a  $i_1$  such that  $X'_1 = X_{i_1} \cap X'_1$ . Thus,  $X'_1 \subseteq X_{i_1}$ . We can choose  $i_1$  to be 1 to get  $X'_1 \subseteq X_1$ . Similarly,  $X_1 \subseteq X'_{j_1}$ . Since  $X'_1 \subseteq X'_{j_1}$  and our assumption that  $X_i \not\subseteq X_j$  for  $i \neq j$  we conclude that  $j_1 = 1$ . Finally, we conclude that  $X_1 = X'_1$ . Let  $Z$  be the closure of  $X - X_1$ , then  $Z = X_2 \cup \dots \cup X_n = X'_2 \cup \dots \cup X'_m$ . We can argue inductively and conclude that  $X_i = X'_i$  and  $n = m$ .  $\square$

**Lemma 15.1.19.**

Suppose  $X$  is Noetherian and  $X_1 \subseteq X$  an irreducible component. Then,  $X_1$  contains a non-empty open set in  $X$ .

*Proof.* Consider  $U = X \setminus X_2 \cup \dots \cup X_n$ . Clearly,  $U$  is non-empty and open. Moreover,  $U \subseteq X_1$  and we are done.  $\square$

**Definition 15.1.20.**

Let  $X$  be a topological space. We say that  $X$  is a spectral space if the following holds:

1.  $X$  is quasi-compact.
2.  $X$  is  $T_0$ .
3.  $X$  has a basis of quasi-compact open sets.

4. Every irreducible closed subset of  $X$  has a generic point ( $\exists x \in Y$  such that  $\overline{\{x\}} = X$ )

## 15.2. Zariski Topology

Let  $A$  be a commutative ring with identity and  $X = \text{Spec}(A)$ .

Zariski topology is the unique topology such that a subset  $Y \subseteq X$  is closed iff  $Y = \mathcal{V}(I)$  for some ideal  $I \subseteq A$ . Here,

$$\mathcal{V}(I) = \{\mathfrak{p} \in X \mid \mathfrak{p} \supseteq I\}$$

### Theorem 15.2.1.

$\text{Spec}(A)$  is always spectral.

*Proof.* 1.  $X$  is  $T_0$

For all  $f \neq 0$  in  $A$ , let  $A_f = S^{-1}A$  be the localisation of  $A$  at  $f$  where  $A_f = \{f^n \mid n \geq 0\}$ . Next, let  $V_f = X \setminus V(f) = \text{Spec}(A_f)$ . This forms a basis for the Zariski topology.

Now, let  $\mathfrak{p}, \mathfrak{P}$  be two distinct primes.

- Suppose  $\mathfrak{p} \not\subseteq \mathfrak{P}$ .  
 $Y = V(\mathfrak{p})$  is closed set and  $\mathfrak{P} \notin V(\mathfrak{p})$ . Take  $Y^c$ . Then  $\mathfrak{P} \in Y^c$  and  $\mathfrak{p} \notin Y^c$ .
- If  $\mathfrak{p} \subseteq \mathfrak{P}$   
 Then consider  $\mathcal{V}(\mathfrak{P})$ . Clearly,  $\mathfrak{p} \notin \mathcal{V}(\mathfrak{P})$ . Take  $U = \mathcal{V}(\mathfrak{P})^c$ , then  $\mathfrak{p} \in U$  but  $\mathfrak{P} \notin U$ .

2.  $X$  is quasi-compact.

Let  $\{U_i\}$  be an open cover of  $X$ . WLOG, we can assume that  $U_i = \text{Spec}(A_{f_i})$ ,  $f_i \neq 0$ . Let  $I$  be the ideal generated by these  $f_i$ s.

**Case-1:** Suppose that  $I \neq A$ . Then there exists a maximal ideal  $\mathfrak{m} \supseteq I \Rightarrow \mathcal{V}(\mathfrak{m}) \subseteq \mathcal{V}(I) \Rightarrow X \setminus \mathcal{V}(\mathfrak{m}) \supseteq X \setminus \mathcal{V}(I) = X \setminus \bigcap_{i \in I} \mathcal{V}(f_i) = \bigcup U_i = X$  which is absurd. Hence, we conclude that  $I = A$ . Next,

$$1 = \sum_{i=1}^n a_i f_i \quad \text{for some } a_i \in A$$

$$\Rightarrow \bigcup_{i=1}^n U_i = \bigcup_{i=1}^n X \setminus \mathcal{V}(f_i)$$

And, we get the required refinement.

3.  $X$  has a basis of quasi-compact open sets follows from the above.

4. Let  $Y \subseteq X$  be an irreducible closed subset. Then,  $Y = \text{Spec}(A/I)$ . WLOG, we can assume  $X$  is irreducible. Next, observe that  $\text{Spec}(A) = \text{Spec}(A_{\text{red}}) = \text{Spec}(A/\text{Nil}(A))$ .

□

# 16. Lecture-2 (11th January, 2023): Zariski topology and affine schemes

## 16.1. Zariski topology contd..

**Theorem 16.1.1** (Hochster).

Every spectral space is homeomorphic to  $\text{Spec}(A)$  for some commutative ring  $A$ .

**Notation:**  $\mathbf{Ring}$  be the category of commutative rings,  $\mathbf{Top}$  be the category of topological spaces.

**Theorem 16.1.2.**

There is a contravariant functor

$$\begin{aligned} sp : \mathbf{Ring} &\rightarrow \mathbf{Top} \\ \text{Spec}(B) &\mapsto \text{Spec}(A) \end{aligned}$$

*Proof.* Consider  $f : A \rightarrow B$ . This induces a map

$$f_{\#} : \text{Spec}(B) \rightarrow \text{Spec}(A)$$

such that  $f_{\#}(\mathfrak{p}) = f^{-1}(\mathfrak{p})$ .

**Well-defined:** Suppose  $xy \in f^{-1}(\mathfrak{p}) \Rightarrow f(xy) = f(x)f(y) \in \mathfrak{p} \Rightarrow$  either  $x$  or  $y$  lies in  $f^{-1}(\mathfrak{p})$  which completes our check.

We claim that  $f_{\#}$  is continuous. This can be seen as follows:

Take a basic open set  $D(a), a \in A$ . Enough to show for these sets since  $D(a)$  forms a basis for the topology on  $\text{Spec}(A)$ . Now,

$$\mathfrak{p} \in f_{\#}^{-1}(D(a)) \Leftrightarrow f_{\#}(\mathfrak{p}) \in D(a) \Leftrightarrow a \notin f^{-1}(\mathfrak{p})$$

But this means

$$a \notin f^{-1}(\mathfrak{p}) \Leftrightarrow f(a) \notin \mathfrak{p} \Leftrightarrow \mathfrak{p} \in D(f(a))$$

□

## 16.2. Affine schemes

**Definition 16.2.1.**

$\text{Spec}(A)$  will be called an affine "scheme" (we will see this properly later on).

**Definition 16.2.2.**

Let  $X = \text{Spec}(A), Y = \text{Spec}(B)$ . Let  $f : Y \rightarrow X$  be a continuous map. We call such a map  $f$  regular (holomorphic) if there is a ring homomorphism  $g : A \rightarrow B$  such that  $f = g_{\#}$

**Example 16.2.3.**

Take  $\text{Spec}(\mathbb{Z})$  and consider the constant map. This cannot be regular because any ring homomorphism must take 1 to 1 and as a consequence fixes every element.

**Proposition 16.2.4.**

If  $X = \text{Spec}(A)$ . A regular function on  $X$  is a regular map from  $X$  to  $\text{Spec}(\mathbb{Z}[t])$ .

*Proof.*

□

**Remark 16.2.5.**

On an affine scheme, the set of all regular maps is the ring  $A$  itself since, the map  $\mathbb{Z}[t] \rightarrow A$  is determined by where  $t$  is sent to.

**Lemma 16.2.6.**

Every affine scheme has a closed point.

*Proof.* Every commutative ring has a maximal ideal.

□

**Definition 16.2.7.**

Open in affine is called quasi-affine.

**Example 16.2.8.**

Take  $A$  a local integral domain with  $\mathfrak{m}$  the maximal ideal. Suppose that all prime ideals of  $A$  are of the form

$$\langle 0 \rangle \subset \mathfrak{p}_1 \subset \mathfrak{p}_2 \subset \cdots \subset \{\mathfrak{m}\}$$

Consider  $X = \text{Spec}(A) \setminus \mathfrak{m}$ .  $X$  is open in affine scheme but has no closed point.

An example of such a ring is

$$\Gamma = \mathbb{Z}x_1 \oplus \mathbb{Z}x_2 \oplus \cdots$$

Give an ordering:  $\sum a_i x_i \geq 0$  if the first nonzero term is  $> 0$  or all  $a_i = 0$

**Exercise 16.2.9.** Let  $A = k[X_1, X_2, \dots]$ ,  $B = A_{\mathfrak{m}}$ ,  $X = \text{Spec}(B) \setminus \{\mathfrak{m}\}$ ,  $\mathfrak{m} = \langle X_1, X_2, \dots \rangle$ . Claim is that  $X$  has no closed point.

### 16.2.1. Fiber products of affine schemes

Suppose  $A$  is a commutative ring,  $B, C$  are  $A$ -algebras. Let  $X = \text{Spec}(A)$ ,  $Y = \text{Spec}(B)$ ,  $Z = \text{Spec}(C)$ . Next, suppose we have

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ g \downarrow & & \\ C & & \end{array}$$

**Universal property of fiber products:**

$$\begin{array}{ccccc} W' & & & & \\ & \searrow \exists! & & \searrow & \\ & Y \times_X Z & \longrightarrow & Z & \\ & \downarrow & & \downarrow g_{\#} & \\ & Y & \xrightarrow{f_{\#}} & X & \end{array}$$

#### Definition 16.2.10.

If a  $W$  exists such that the universal property is satisfied, then  $W$  is called the fiber product of  $Y, Z$  over  $X$  and we write  $W = Y \times_X Z$

#### Theorem 16.2.11.

$\mathbf{Aff}_{\mathbb{Z}}$  = category of affine schemes admits fiber products.

*Proof.* Consider the following data:

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ g \downarrow & & \\ C & & \end{array}$$

Let  $D = B \otimes_A C$ . We have the natural maps  $f_1 : B \rightarrow B \otimes_A C$  sending  $b \mapsto b \otimes 1$  and  $f_2 : C \rightarrow B \otimes_A C$  sending  $c \mapsto 1 \otimes c$ . Both are ring homomorphisms and fit into the following diagram due to the nature of tensor product

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ g \downarrow & & \downarrow f_1 \\ C & \xrightarrow{g_1} & B \otimes_A C \end{array}$$

Now, let  $W = \text{Spec}(B \otimes_A C)$  and we claim that this satisfies the universal property of fibre product. Apply  $\text{Spec}(-)$  functor to the diagram to get

$$\begin{array}{ccc} A & \xleftarrow{f_{\#}} & B \\ \uparrow g_{\#} & & \uparrow f_{1\#} \\ C & \xleftarrow{g_{1\#}} & \text{Spec}(B \otimes_A C) \end{array}$$

From the universal property of tensor product we have the following diagram

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ \downarrow g & & \downarrow f_1 \\ C & \xrightarrow{g_1} & B \otimes_A C \end{array} \quad \begin{array}{c} \searrow \\ \text{---} \exists! \text{---} \\ \downarrow \\ U \end{array}$$

Again, apply the  $\text{Spec}(-)$  functor.

$$\begin{array}{ccc} X & \xleftarrow{f_{\#}} & Y \\ \uparrow g_{\#} & & \uparrow f_{1\#} \\ Z & \xleftarrow{g_{1\#}} & \text{Spec}(B \otimes_A C) \end{array} \quad \begin{array}{c} \searrow \\ \text{---} \exists! \text{---} \\ \downarrow \\ \text{Spec}(U) \end{array}$$

This completes the proof. □



## **17. Lecture-3 (16th January, 2023): Category theory brushup**

## **Part V.**

# **Topics in Analytic Number Theory**

**18. Lecture-1: Hardy-Littlewood proof  
of infinitely many zeros on the line  
 $\Re(s) = 1/2$**

## **19. Lecture-2:**

## 20. Lecture-3 (10th January, 2023): Siegel's theorem

**Theorem 20.0.1** (Siegel).

Let  $\chi(q)$  be a real Dirichlet character modulo  $q \geq 3$ . Given any  $\epsilon > 0$ , we have

$$L(1, \chi) \geq \frac{C_\epsilon}{q^\epsilon}$$

A trivial lower bound:  $L(1, \chi) \gg q^{-1/2}$

*Goldfeld's proof.* Consider

$$f(s) = \zeta(s)L(s, \chi_1)L(s, \chi_2)L(s, \chi_1\chi_2)$$

with  $\chi_i, i = 1, 2$  primitive quadratic characters. Notice that  $f(s) = \sum_n b_n n^{-s}$  with  $b_1 = 1, b_n \geq 0$ . Let  $\lambda = \text{Res}_{s=1} f(s) = L(1, \chi_1)L(1, \chi_2)L(1, \chi_1\chi_2)$

**Lemma 20.0.2.**

Given any  $\epsilon > 0$ , one can find  $\chi_1(q_1)$  and  $\beta$  with  $1 - \epsilon < \beta < 1$  such that  $f(\beta) \leq 0$ , independent of what  $\chi_2(q_2)$  is.

*Proof. Case-1:* If there are no real zeros of  $L(s, \psi)$  for any primitive quadratic character in  $(1 - \epsilon, 1)$ , then  $f(\beta) < 0$  for any  $\beta \in (1 - \epsilon, 1)$ . This is because

$$f(\beta) = \underbrace{\zeta(\beta)}_{<0} \underbrace{L(s, \chi_1)L(s, \chi_2)L(s, \chi_1\chi_2)}_{>0}$$

as  $L(1, \chi) > 0$  and  $L$  is continuous so any change of sign will lead to a zero which is a contradiction.

**Case-2:** If we cannot find such a  $\psi$ , then just set  $\chi_1 = \chi$  and let  $\beta$  be the real zero. Then,  $f(\beta) = 0$ . We are done.  $\square$

Next, consider the integral  $\square$

**Corollary 20.0.3.**

$$\begin{aligned} h(-d) &= \frac{L(1, \chi_d) \sqrt{|d|} \omega}{2\pi} \\ &= \frac{L(1, \chi_d)}{\log \epsilon_d} \end{aligned}$$

**Theorem 20.0.4** (Y. Zhang).

$$L(1, \chi) \geq \frac{c}{(\log q)^{2022}}$$

**Theorem 20.0.5.**

If  $\chi(q)$  does not have a Siegel zero, then  $L(1, \chi) \gg \frac{1}{\log q}$

## 21. Lecture-4 (12th January, 2023): PNT for Dirichlet characters and APs

### Lemma 21.0.1.

If  $\rho = \beta + i\gamma$  runs through nontrivial zeros of  $L(s, \chi)$ , then

$$\sum_{\rho} \frac{1}{1 + (T - \gamma)^2} = \mathcal{O}(\log q(|T| + 2)) \forall T \in \mathbb{R}$$

### Lemma 21.0.2.

$$N(T + 1, \chi) - N(T, \chi) = \mathcal{O}(\log q(|T| + 2))$$

### Lemma 21.0.3.

$$\sum_{\rho: |\gamma - t| \leq 1} \frac{1}{s - \rho} + \mathcal{O}(\log qt) = \frac{L'}{L}(s, \chi)$$

for  $-1 \leq \sigma \leq 2, |t| \geq 2, L(s, \chi) \neq 0$

### Lemma 21.0.4.

Let  $\chi(q)$  be primitive,  $q \geq 3, T \geq 2$ . Then, there exists  $T_1 \in [T, T + 1]$  such that  $\frac{L'}{L}(\sigma \pm iT_1, \chi) \ll (\log qT)^2, -1 \leq \sigma \leq 2$ .

### Lemma 21.0.5.

Put  $a = 1$  if  $\chi$  is even and 0 otherwise.

$$\mathcal{A}(a) := \{s \in \mathbb{C} \mid \sigma \leq -1, |s + 2n - a| \geq \frac{1}{4} \forall n \geq 1\}$$

Then,

$$\frac{L'}{L}(s, \chi) \ll \log(q(|s| + 1))$$

on  $\mathcal{A}(a)$

These are all the ingredients needed to prove the explicit formula for  $\psi_0(x, \chi)$ .

**Theorem 21.0.6.**

$$\psi(s, \chi) = \sum_{n \leq x} \Lambda(n) \chi(n)$$

$$\psi_0(x, \chi) = \frac{1}{2}(\psi(x^+, \chi) + \psi(x^-, \chi)) = - \sum_{\rho: |\gamma| \leq t} \frac{x^\rho}{\rho} - \frac{1}{2} \log(x-1) - \frac{\chi(-1)}{2} \log(x+1) + C_\chi + R_\chi(T)$$

where  $C_\chi = \frac{L'}{L}(1, \bar{\chi}) + \log \frac{q}{2\pi} - \gamma$  and  $R_\chi(T) \ll (\log x) \min(1, x/T < x >) + \frac{x}{T} (\log(qxT))^2$ . Letting  $T \rightarrow \infty$  we see that  $R_\chi(T) \rightarrow 0$ .

**Theorem 21.0.7** (Brun-Titsmarsh inequality).

Let  $x \geq 0, y \geq 2q$ . Then,

$$\pi(x+y; q, a) - \pi(x; q, a) \leq \frac{2y}{\phi(q) \log(\frac{y}{q})} \left( 1 + \mathcal{O}\left(\frac{1}{\log(\frac{y}{q})}\right) \right)$$

Remind him to prove this later; uses Sieve theoretic methods

**Theorem 21.0.8** (PNT for Dirichlet characters).

There exists a  $c_1 \geq 0$  such that for all  $q \leq \exp(c_1 \sqrt{\log x})$ , we have

$$\psi(x, \chi) = \sum_{n \leq x} \Lambda(n) \chi(n) = \begin{cases} E_0(x) + \mathcal{O}(x \exp(-c_1 \sqrt{\log x})) & \chi \text{ has no Siegel zero} \\ -\frac{x^{\beta_1}}{\beta_1} + \mathcal{O}(x \exp(-c_1 \sqrt{\log x})) & \chi \text{ has Siegel zero} \end{cases}$$

Here,  $E_0(\chi) = 1$  if  $\chi = \chi_0$  and 0 otherwise.

Recall from MA317 that  $L(x, \chi) \neq 0$  when  $\sigma \geq 1 - \frac{c}{\log q\tau}$  for some constant  $c > 0$  with the exception of atmost one real zero ( $\beta_1$  the Siegel zero)

**Proposition 21.0.9.**

Let  $c$  be as above and assume that  $\sigma \geq 1 - \frac{c}{2 \log q\tau}$ . Then,

1. If  $L(s, \chi)$  has no Siegel zero or if  $\beta_1$  is a Siegel zero (thus  $\chi$  quadratic) but  $|s - \beta_1| \geq \frac{1}{\log q}$ , then

$$\frac{L'}{L}(s, \chi) \ll \log q\tau$$

$$|\log L(s, \chi)| \ll \log \log q\tau + \mathcal{O}(1)$$

$$\frac{1}{L(s, \chi)} \ll \log q\tau$$

2. If  $\beta_1$  is a Siegel zero and  $|s - \beta_1| \leq \frac{1}{\log q}$ , then

$$\frac{L'}{L}(s, \chi) = \frac{1}{s - \beta_1} + \mathcal{O}(\log q)$$



$$\begin{aligned} |\arg L(s, \chi)| &\leq \log \log q + \mathcal{O}(1) \\ |s - \beta_1| &\ll |L(s, \chi)| \ll |s - \beta_1|(\log q)^2 \end{aligned}$$