

Banach rings

Contents

1. Introduction	4
2. Semi-normed Abelian groups	4
3. Semi-normed rings	5
4. Banach rings	7
5. Semi-normed modules	13
6. Berkovich spectra	16
7. Open mapping theorem	20
8. Maximum spectra	21
9. Bornology	24
Bibliography	25

1. Introduction

This section concerns the theory of Banach algebras. Our references are [Ber12] and [BGR84].

In this chapter, all rings are assumed to be commutative.

2. Semi-normed Abelian groups

Definition 2.1. Let A be an Abelian group. A *semi-norm* on A is a function $\|\bullet\| : A \rightarrow [0, \infty]$ satisfying

- (1) $\|0\| = 0$;
- (2) $\|f - g\| \leq \|f\| + \|g\|$ for all $f, g \in A$.

A semi-norm $\|\bullet\|$ on A is a *norm* if moreover the following conditions is satisfied:

- (0) if $\|f\| = 0$ for some $f \in A$, then $f = 0$.

We write

$$\ker \|\bullet\| = \{a \in A : \|a\| = 0\}.$$

A semi-norm $\|\bullet\|$ on A is *non-Archimedean* or *ultra-metric* if Condition (2) can be replaced by

$$(2') \quad \|f - g\| \leq \max\{\|f\|, \|g\|\} \text{ for all } f, g \in A.$$

Definition 2.2. A *semi-normed Abelian group* (resp. *normed Abelian group*) is a pair $(A, \|\bullet\|)$ consisting of an Abelian group A and a semi-norm (resp. norm) $\|\bullet\|$ on A . When $\|\bullet\|$ is clear from the context, we also say A is a semi-normed Abelian group (resp. normed Abelian group).

Definition 2.3. Let $(A, \|\bullet\|_A)$ be a semi-normed Abelian group and $B \subseteq A$ be a subgroup. Then we define the *quotient semi-norm* $\|\bullet\|_{A/B}$ on A/B as follows:

$$\|a + B\|_{A/B} := \inf\{\|a + b\|_A : b \in B\}$$

for all $a + B \in A/B$.

We define the *subgroup semi-norm* on B as follows:

$$\|b\|_B = \|b\|_A$$

for all $b \in B$.

Definition 2.4. Let A be an Abelian group and $\|\bullet\|, \|\bullet\|'$ be two seminorms on A . We say $\|\bullet\|$ and $\|\bullet\|'$ are *equivalent* if there is a constant $C > 0$ such that

$$C^{-1}\|f\| \leq \|f\|' \leq C\|f\|$$

for all $f \in A$.

Definition 2.5. Let $(A, \|\bullet\|_A), (B, \|\bullet\|_B)$ be semi-normed Abelian groups. A homomorphism $\varphi : A \rightarrow B$ is said to be

- (1) *bounded* if there is a constant $C > 0$ such that $\|\varphi(f)\|_B \leq C\|f\|_A$ for any $f \in A$;
- (2) *admissible* if the quotient semi-norm on $A/\ker \varphi$ is equivalent to the subspace semi-norm on $\text{Im } \varphi$.

Observe that an admissible homomorphism is always bounded.

Next we study the topology defined by a semi-norm.

Lemma 2.6. Let $(A, \|\bullet\|)$ be a semi-normed Abelian group. Define

$$d(a, b) = \|a - b\|$$

for $a, b \in A$. Then $\|\bullet\|$ is a pseudo-metric on A . This pseudo-metric is a metric if and only if $\|\bullet\|$ is a norm.

Let \hat{A} be the metric completion of A , then there is a norm $\|\bullet\|$ on \hat{A} inducing its metric. Moreover, the natural homomorphism $A \rightarrow \hat{A}$ is an isometric homomorphism with dense image.

PROOF. This is clear from the definitions. \square

We always endow A with the topology induced by the pseudo-metric d .

Proposition 2.7. Let $f : A \rightarrow B$ be a homomorphism between semi-normed Abelian groups. Assume that f is bounded, then it is continuous.

The converse is not true.

PROOF. Clear from the definition. \square

Proposition 2.8. Let $(A, \|\bullet\|)$ be a normed Abelian group and B be a subgroup of A . Assume that there is $\epsilon \in (0, 1)$ such that for each $a \in A$, there is $b \in B$ such that

$$\|a + b\| \leq \epsilon \|a\|.$$

Then B is dense in A .

PROOF. Assume to the contrary that there exists $a \in A$ so that

$$c := \inf_{b \in B} \|a - b\| > 0.$$

Choose $b_1 \in B$ so that

$$\|a + b_1\| < \epsilon^{-1}c.$$

By our hypothesis, there is $b_2 \in B$ such that

$$\|a + b_1 + b_2\| \leq \epsilon \|a + b_1\| < c.$$

This is a contradiction. \square

Definition 2.9. Let $(A, \|\bullet\|)$ be a semi-normed Abelian group. The normed Abelian group $(\hat{A}, \|\bullet\|)$ constructed in [Lemma 2.6](#) is called the *completion* of $(A, \|\bullet\|)$.

3. Semi-normed rings

Definition 3.1. Let A be a ring. A *semi-norm* $\|\bullet\|$ on A is a semi-norm $\|\bullet\|$ on the underlying additive group satisfying the following extra properties:

- (3) $\|1\| = 1$;
- (4) for any $f, g \in A$, $\|fg\| \leq \|f\| \cdot \|g\|$.

A semi-norm $\|\bullet\|$ on A is called *power-multiplicative* if $\|f\|^n = \|f^n\|$ for all $f \in A$ and $n \in \mathbb{N}$.

A semi-norm $\|\bullet\|$ on A is called *multiplicative* if $\|fg\| = \|f\|\|g\|$ for all $f, g \in A$.

Definition 3.2. A *semi-normed ring* (resp. *normed ring*) is a pair $(A, \|\bullet\|)$ consisting of a ring A and a semi-norm (resp. norm) $\|\bullet\|$ on A . When $\|\bullet\|$ is clear from the context, we also say A is a semi-normed ring (resp. normed ring).

Definition 3.3. Let $(A, \|\bullet\|)$ be a semi-normed ring. An element $a \in A$ is *multiplicative* if $a \notin \ker \|\bullet\|$ and for any $x \in A$,

$$\|ax\| = \|a\| \cdot \|x\|.$$

Definition 3.4. Let $(A, \|\bullet\|)$ be a normed ring. An element $a \in A$ is *power-bounded* if $\{|a^n| : n \in \mathbb{N}\}$ is bounded in \mathbb{R} . The set of power-bounded elements in A is denoted by \mathring{A} .

An element $a \in A$ is called *topologically nilpotent* if $a^n \rightarrow 0$ as $n \rightarrow \infty$. The set of topologically nilpotent elements in A is denoted by \check{A} .

Proposition 3.5. Let $(A, \|\bullet\|)$ be a non-Archimedean normed ring. Then \mathring{A} is a subring of A and \check{A} is an ideal in \mathring{A} . Moreover, \mathring{A} , \check{A} are open and closed in A .

PROOF. Choose $a, b \in \mathring{A}$, by definition, there is a constant $C > 0$ so that for any $n \in \mathbb{N}$,

$$\|a^n\| \leq C, \quad \|b^n\| \leq C.$$

It follows that

$$\|(ab)^n\| \leq \|a^n\| \cdot \|b^n\| \leq C^2$$

and

$$\|(a-b)^n\| \leq \max_{i=0, \dots, n} \|a^i b^{n-i}\| \leq C^2.$$

So \mathring{A} is a subring.

Next we show that \check{A} is an ideal in \mathring{A} . On the other hand, take $c \in \check{A}$, then

$$\|(ac)^n\| \leq \|a^n\| \cdot \|c^n\| \leq C\|c^n\|$$

But $\|c^n\| \rightarrow 0$ as $n \rightarrow \infty$, hence $ac \in \check{A}$.

On the other hand, consider $c, d \in \check{A}$, we need to show $c-d \in \check{A}$. Choose $C > 0$ so that

$$\|a^n\| \leq C, \quad \|b^n\| \leq C$$

for all $n \in \mathbb{N}$. Fix $\epsilon > 0$, then there is $m \in \mathbb{N}$ so that for any $k \geq m$,

$$\|a^k\| \leq \epsilon C^{-1}, \quad \|b^k\| \leq \epsilon C^{-1}.$$

In particular, for $k \geq 2m$, we have

$$\|(a-b)^k\| \leq \max_{i=0, \dots, k} \|a^i\| \cdot \|b^{k-i}\| \leq \epsilon.$$

It follows that $a-b \in \check{A}$. This proves that \check{A} is an ideal in \mathring{A} .

In order to see \check{A} is open and closed in A , observe that it is a subgroup of A , so it suffices to show that \check{A} is open in A . It suffices to show that

$$\{a \in A : \|a\| < 1\} \subseteq \check{A}.$$

But this is obvious, if $\|a\| < 1$, then $\|a^n\| \leq \|a\|^n$ for all $n \in \mathbb{N}$, it follows that $a^n \rightarrow 0$ as $n \rightarrow \infty$, namely, $a \in \check{A}$.

As \check{A} is a subgroup of \mathring{A} , it follows that \mathring{A} is both open and closed. \square

Definition 3.6. Let $(A, \|\bullet\|)$ be a non-Archimedean normed ring. We define the *reduction* of A as $\tilde{A} = \mathring{A}/\check{A}$. The map $\mathring{A} \rightarrow \tilde{A}$ is called the *reduction map*. We usually denote the reduction map by $a \mapsto \tilde{a}$.

This definition makes sense thanks to [Proposition 3.5](#).

Definition 3.7. Let A be a ring. A *semi-valuation* on A is a multiplicative semi-norm on A . A semi-valuation on A is a *valuation* on A if its underlying semi-norm of Abelian groups is a norm.

Definition 3.8. A *semi-valued ring* (resp. *valued ring*) is a pair $(A, \|\bullet\|)$ consisting of a ring A and a semi-valuation (resp. valuation) $\|\bullet\|$ on A . When $\|\bullet\|$ is clear from the context, we also say A is a semi-valued ring (resp. valued ring).

A semi-valued ring (resp. valued ring) $(A, \|\bullet\|)$ is called a *semi-valued field* (resp. *valued field*) if A is a field.

4. Banach rings

Definition 4.1. A *Banach ring* is a normed ring that is complete with respect to the metric defined in [Lemma 2.6](#).

Definition 4.2. A Banach ring $(A, \|\bullet\|_A)$ is *uniform* if $\|\bullet\|_A$ is power-multiplicative.

Definition 4.3. Let A be a semi-normed ring. There is an obvious ring structure on the completion \hat{A} of A defined in [Definition 2.9](#). We call the resulting Banach ring the *completion* of A .

Proposition 4.4. Let $(A, \|\bullet\|)$ be a Banach ring and $f \in A$. Assume that $\|f\| < 1$, then $1 - f$ is invertible.

PROOF. Define

$$g = \sum_{i=0}^{\infty} f^i.$$

From our assumption, the series converges and $g \in A$. It is elementary to check that g is the inverse of $1 - f$. \square

In the non-Archimedean case, we have a stronger result:

Proposition 4.5. Let $(A, \|\bullet\|)$ be a non-Archimedean Banach ring and $f \in \check{A}$. Then $1 - f$ is invertible. Moreover, $(1 - f)^{-1}$ can be written as $1 + z$ for some $z \in \check{A}$.

PROOF. Define

$$g = \sum_{i=0}^{\infty} f^i.$$

From our assumption, the series converges and $g \in A$. It is elementary to check that g is the inverse of $1 - f$. Moreover, in view of [Proposition 3.5](#) as for any $i \geq 1$, $f^i \in \check{A}$, the same holds for their sum, we conclude the final assertion. \square

Corollary 4.6. Let $(A, \|\bullet\|)$ be a Banach ring. Then the set of invertible elements in A is open.

PROOF. Let $x \in A$ be an invertible element. It suffices to show that for any $y \in A$, $|y| < 1/(\|x^{-1}\|)$, $y + x$ is invertible. For this purpose, it suffices to show that $1 + x^{-1}y$ is invertible. But this follows from [Proposition 4.4](#). \square

Corollary 4.7. Let A be a Banach ring and \mathfrak{m} be a maximal ideal in A . Then \mathfrak{m} is closed.

PROOF. The closure $\bar{\mathfrak{m}}$ is obviously an ideal in A . We need to show that $\mathfrak{m} \neq \bar{\mathfrak{m}}$. Namely, 1 is not in the closure of \mathfrak{m} . But clearly, \mathfrak{m} is contained in the set of non-invertible elements, the latter being closed by [Corollary 4.6](#). So we conclude. \square

Lemma 4.8. Let A be a non-Archimedean Banach ring. An element $a \in \mathring{A}$ is a unit in \mathring{A} if and only if \tilde{a} is a unit in \tilde{A} .

PROOF. The direct implication is trivial. Conversely, assume that $a \in \mathring{A}$ and there is an element $b \in \mathring{A}$ such that

$$\tilde{a}\tilde{b} = 1.$$

Then $1 - ab \in \check{A}$. It follows from [Proposition 4.5](#) that ab is a unit in \mathring{A} and hence a is a unit in \mathring{A} . \square

Definition 4.9. Let $(A, \|\bullet\|)$ be a Banach ring. We define the *spectral radius* $\rho = \rho_A : A \rightarrow [0, \infty)$ as follows:

$$\rho(f) = \inf_{n \geq 1} \|f^n\|^{1/n}, \quad f \in A.$$

Lemma 4.10. Let $(A, \|\bullet\|)$ be a Banach ring. Then for any $f \in A$, we have

$$\rho(f) = \lim_{n \rightarrow \infty} \|f^n\|^{1/n}.$$

PROOF. This follows from the multiplicative version of Fekete's lemma. \square

Example 4.11. The ring \mathbb{C} with its usual norm $|\bullet|$ is a Banach ring. In fact, $(\mathbb{C}, |\bullet|)$ is a complete valued field.

Example 4.12. Let $\{(A_i, \|\bullet\|_i)\}_{i \in I}$ be a family of Banach rings. We define their *product* $\prod_{i \in I} A_i$ as the following Banach ring: as a set it consists of all elements $f = (f_i)_{i \in I}$ with

$$\|f\| := \sup_{i \in I} \|f_i\|_i < \infty.$$

The norm is given by $\|\bullet\|$. It is easy to verify that $\prod_{i \in I} A_i$ is indeed a Banach ring.

Example 4.13. For any Banach ring $(A, \|\bullet\|)$, any $n \in \mathbb{N}$ and any $r = (r_1, \dots, r_n) \in \mathbb{R}_{>0}^n$, we define $A\langle r^{-1}z \rangle = A\langle r_1^{-1}z_1, \dots, r_n^{-1}z_n \rangle$ as the subring of $A[[z_1, \dots, z_n]]$ consisting of formal power series

$$f = \sum_{\alpha \in \mathbb{N}^n} a_\alpha z^\alpha, \quad a_\alpha \in A$$

such that

$$\|f\|_r := \sum_{\alpha \in \mathbb{N}^n} \|a_\alpha\| r^\alpha < \infty.$$

We will verify in [Proposition 4.14](#) that $(A\langle r^{-1}z \rangle, \|\bullet\|_r)$ is a Banach ring.

When $r = (1, \dots, 1)$, we omit r^{-1} from our notations.

Proposition 4.14. In the setting of [Example 4.13](#), $(A\langle r^{-1}z \rangle, \|\bullet\|_r)$ is a Banach ring.

PROOF. By induction, we may assume that $n = 1$.

It is obvious that $\|\bullet\|_r$ is a norm on the underlying Abelian group. To see that $\|\bullet\|_r$ is a norm on the ring $A\langle r^{-1}z \rangle$, we need to verify the condition in [Definition 3.1](#). Condition (3) in [Definition 3.1](#) is obvious. Let us consider Condition (4). Let

$$f = \sum_{i=0}^{\infty} a_i z^i, \quad g = \sum_{j=0}^{\infty} b_j z^j$$

be two elements in $A\langle r^{-1}z \rangle$. Then

$$fg = \sum_{k=0}^{\infty} \left(\sum_{i+j=k} a_i b_j \right) z^k.$$

We compute

$$\|fg\|_r = \sum_{k=0}^{\infty} \left\| \sum_{i+j=k} a_i b_j \right\| r^k \leq \sum_{k=0}^{\infty} \left(\sum_{i+j=k} \|a_i\| \cdot \|b_j\| \right) r^k = \|f\|_r \cdot \|g\|_r.$$

It remains to verify that $A\langle r^{-1}z \rangle$ is complete.

For this purpose, take a Cauchy sequence

$$f^b = \sum_{i=0}^{\infty} a_i^b z^i \in A\langle r^{-1}z \rangle$$

for $b \in \mathbb{N}$. Then for each i , the coefficients $(a_i^b)_b$ is a Cauchy sequence in A . Let a_i be the limit of a_i^b as $b \rightarrow \infty$ and set

$$f = \sum_{i=0}^{\infty} a_i z^i \in A[[z]].$$

We need to show that $f \in A\langle r^{-1}z \rangle$ and $f^b \rightarrow f$.

Fix a constant $\epsilon > 0$. There is $m = m(\epsilon) > 0$ such that for all $j \geq m$ and all $k \geq 0$, we have

$$\sum_{i=0}^{\infty} \|a_i^{j+k} - a_i^j\| r^i < \epsilon/2.$$

In particular, for any $s > 0$, we have

$$\sum_{i=0}^s \|a_i - a_i^j\| r^i \leq \sum_{i=0}^s \|a_i - a_i^{j+k}\| r^i + \sum_{i=0}^s \|a_i^j - a_i^{j+k}\| r^i \leq \sum_{i=0}^s \|a_i - a_i^{j+k}\| r^i + \epsilon/2.$$

When k is large enough, we can guarantee that

$$\sum_{i=0}^s \|a_i - a_i^{j+k}\| r^i < \epsilon/2.$$

So

$$\sum_{i=0}^s \|a_i - a_i^j\| r^i \leq \epsilon.$$

Let $s \rightarrow \infty$, we find

$$\|f - f^j\|_r \leq \sum_{i=0}^{\infty} \|a_i - a_i^j\| r^i \leq \epsilon.$$

In particular, $\|f\|_r < \infty$ and $f^j \rightarrow f$ as $j \rightarrow \infty$. \square

Example 4.15. For any non-Archimedean Banach ring $(A, \|\bullet\|)$, any $n \in \mathbb{N}$ and any $r = (r_1, \dots, r_n) \in \mathbb{R}_{>0}^n$, we define $A\{r^{-1}T\} = A\{r_1^{-1}T_1, \dots, r_n^{-1}T_n\}$ as the subring of $A[[T_1, \dots, T_n]]$ consisting of formal power series

$$f = \sum_{\alpha \in \mathbb{N}^n} a_{\alpha} T^{\alpha}, \quad a_{\alpha} \in A$$

such that $\|a_\alpha\|r^\alpha \rightarrow 0$ as $|\alpha| \rightarrow \infty$. We set

$$\|f\|_r := \max_{\alpha \in \mathbb{N}^n} \|a_\alpha\|r^\alpha.$$

We will verify in [Proposition 4.16](#) that $(A\langle r^{-1}T \rangle, \|\bullet\|_r)$ is a Banach ring.

The semi-norm $\|\bullet\|_r$ is called the *Gauss norm*.

Proposition 4.16. In the setting of [Example 4.15](#), $(A\{r^{-1}T\}, \|\bullet\|_r)$ is a Banach ring.

Moreover, if the norm $\|\bullet\|$ on A is a valuation, so is $\|\bullet\|_r$.

The second part is usually known as the *Gauss lemma*.

PROOF. By induction on n , we may assume that $n = 1$.

The proof of the fact that $\|\bullet\|_r$ is a norm is similar to that of [Proposition 4.14](#).

We leave the details to the readers.

Next we argue that $(A\{r^{-1}T\}, \|\bullet\|_r)$ is complete. Take a Cauchy sequence

$$f^b = \sum_{i=0}^{\infty} a_i^b T^i \in A\{r^{-1}T\}$$

for $b \in \mathbb{N}$. As

$$\|a_i^b - a_i^{b'}\|r^i \leq \|f^b - f^{b'}\|_r$$

for any $i, b, b' \geq 0$, it follows that for any $i \geq 0$, $\{a_i^b\}_b$ is a Cauchy sequence. Let $a_i \in A$ be its limit and set

$$f = \sum_{i=0}^{\infty} a_i T^i \in A[[T]].$$

We need to show that $f \in A\{r^{-1}T\}$ and $f^b \rightarrow f$.

Fix $\epsilon > 0$. We can find $m = m(\epsilon) > 0$ such that for all $j \geq m$ and all $k \geq 0$,

$$\|f^j - f^{j+k}\|_r \leq \epsilon.$$

It follows that $\|a_i^j - a_i^{j+k}\|r^i \leq \epsilon$ for all $i \geq 0$. Let $k \rightarrow \infty$, we find

$$\|a_i^j - a_i\|r^i \leq \epsilon$$

for all $i \geq 0$. Fix $j \geq 0$, take i large enough so that $|a_i^j|r^i < \epsilon$. Then $\|a_i\|r^i \leq \epsilon$. So we find $f \in A\{r^{-1}T\}$. On the other hand,

$$\|f - f^j\|_r = \max_i \|a_i^j - a_i\|r^i \leq \epsilon.$$

This proves that $f^j \rightarrow f$.

Now assume that $\|\bullet\|$ is a valuation, we verify that $\|\bullet\|_r$ is also a valuation. Again, we may assume that $n = 1$. Take two elements $f, g \in A\{r^{-1}T\}$:

$$f = \sum_{i=0}^{\infty} a_i T^i, \quad g = \sum_{j=0}^{\infty} b_j T^j.$$

As we have already shown $|fg|_r \leq |f|_r |g|_r$, it suffices to check the reverse inequality. For this purpose, choose the minimal indices i, j so that

$$\|f\|_r = \|a_i\|r^i, \quad \|g\|_r = \|b_j\|r^j.$$

Write

$$fg = \sum_{k=0}^{\infty} \left(\sum_{p+q=k} a_p b_q \right) T^k.$$

Then we claim that

$$\left\| \sum_{p+q=k} a_p b_q \right\| r^k = \|f\|_r \|g\|_r$$

when $k = i + j$. This implies the desired inequality. Of course, we may assume that $a_i \neq 0$ and $b_j \neq 0$ as otherwise there is nothing to prove. To verify our claim, it suffices to observe that for $(p, q) \neq (i, j)$, $r + s = i + j$, say $p < i$ and $q > j$, we have

$$\|a_p b_q\| r^k = \|a_p\| r^p \cdot \|b_q\| r^q < \|a_i\| r^i \cdot \|b_j\| r^j.$$

So

$$\|a_p b_q\| < \|a_i b_j\|.$$

Since the valuation on A is non-Archimedean, it follows that

$$\left\| \sum_{p+q=k} a_p b_q \right\| = \|a_i b_j\|.$$

Our claim follows. \square

Proposition 4.17. Let A, B be a non-Archimedean Banach ring and $f : A \rightarrow B$ be a continuous homomorphism. Then for any $b \in \mathring{B}$, there is a unique continuous homomorphism $F : A\{T\} \rightarrow B$ extending f and sending T to b .

PROOF. From the continuity and the fact that $A[T]$ is dense in $A\{T\}$, F is clearly unique. To prove the existence, we define F directly: consider $g = \sum_{i=0}^{\infty} a_i T^i \in A\{T\}$, we define

$$F(g) := \sum_{i=0}^{\infty} f(a_i) f^i.$$

As $f_i \in \mathring{A}$ and $a_i \rightarrow 0$, the right-hand side is well-defined. It is straightforward to check that F is a continuous homomorphism. \square

Proposition 4.18. For any non-Archimedean Banach ring $(A, \|\bullet\|)$, we have

$$(A\{T\})^\circ = \mathring{A}\{T\}, \quad (A\{T\})^\check{} = \check{A}\{T\}.$$

For the definitions of $\mathring{\bullet}$ and $\check{\bullet}$, we refer to [Definition 3.4](#).

PROOF. We first show that

$$\mathring{A}\{T\} \subseteq (A\{T\})^\circ.$$

Let $f \in \mathring{A}\{T\}$. We expand f as

$$f = \sum_{i=0}^{\infty} a_i T^i, \quad a_i \in \mathring{A}.$$

Then for each $i, j \in \mathbb{N}$, $\|a_i T^i\|_1^j = \|a_i\|^j$. So for each $i \in \mathbb{N}$, $a_i T^i \in (A\{T\})^\circ$. By [Proposition 3.5](#), it follows that $f \in (A\{T\})^\circ$.

Next we prove the reverse inclusion. Take $f \in (A\{T\})^\circ$, suppose by contrary that $f \notin \mathring{A}\{T\}$. Expand f as

$$f = \sum_{i=0}^{\infty} a_i T^i, \quad a_i \in A.$$

We can take a minimal $m \in \mathbb{N}$ so that $a_m \notin \mathring{A}$. Then $\sum_{i=0}^{m-1} a_i T^i \in \mathring{A}\{T\} \subseteq (A\{T\})^\circ$ by what we have proved. It follows that

$$g := f - \sum_{i=0}^{m-1} a_i T^i = \sum_{i=m}^{\infty} a_i T^i \in (A\{T\})^\circ.$$

Then it follows that

$$\|g^j\| \geq \|a_m^j\|$$

for any $j \in \mathbb{N}$. It follows that $a_m \in \mathring{A}$, which is a contradiction.

Next we show that

$$\check{A}\{T\} \subseteq (A\{T\})^\vee.$$

Let $f \in \check{A}\{T\}$. We expand f as

$$f = \sum_{i=0}^{\infty} a_i T^i, \quad a_i \in \check{A}.$$

Then for each $i, j \in \mathbb{N}$, $\|a_i T^i\|_1^j = \|a_i\|^j$. So for each $i \in \mathbb{N}$, $a_i T^i \in (A\{T\})^\vee$. By [Proposition 3.5](#), it follows that $f \in (A\{T\})^\vee$.

Conversely, take $f \in (A\{T\})^\vee$, suppose by contrary that $f \notin \check{A}\{T\}$. Expand f as

$$f = \sum_{i=0}^{\infty} a_i T^i, \quad a_i \in A.$$

We can take a minimal $m \in \mathbb{N}$ so that $a_m \notin \check{A}$. Then $\sum_{i=0}^{m-1} a_i T^i \in \check{A}\{T\} \subseteq (A\{T\})^\vee$ by what we have proved. It follows that

$$g := f - \sum_{i=0}^{m-1} a_i T^i = \sum_{i=m}^{\infty} a_i T^i \in (A\{T\})^\vee.$$

Then it follows that

$$\|g^j\| \geq \|a_m^j\|$$

for any $j \in \mathbb{N}$. It follows that $a_m \in \check{A}$, which is a contradiction. \square

Corollary 4.19. For any non-Archimedean Banach ring $(A, \|\bullet\|)$, we have a canonical isomorphism

$$\widetilde{A\{T\}} \cong \check{A}[T].$$

The natural map $A\{T\}^\circ \rightarrow \widetilde{A\{T\}}$ corresponds to a homomorphism $\mathring{A}\{T\} \rightarrow \check{A}[T]$ extending the homomorphism $\mathring{A} \rightarrow \check{A}$ and sending T to T .

PROOF. Let $f = \sum_{i=0}^{\infty} a_i T^i \in A\{T\}^\circ$. Then $a_i \in \mathring{A}$ by [Proposition 4.18](#). But $\|a_i\| \rightarrow 0$ as $i \rightarrow \infty$, so $a_i \in \check{A}$ for almost all i . It follows that the image of f in $\widetilde{A\{T\}}$ is the same as the image of an element from $\mathring{A}[T]$. On the other hand, for each $f \in \check{A}[T]$, we can expand $f = a_N T^N + \cdots + a_1 T^1 + a_0$ with $a_N \in \check{A}$. Lift each a_i to $b_i \in \mathring{A}$. Then the image of $b_N T^N + \cdots + b_1 T^1 + b_0$ under the reduction corresponds to f . The assertions follow. \square

Corollary 4.20. Let $(A, \|\bullet\|)$ be a non-Archimedean Banach ring. An element $f = \sum_{i=0}^{\infty} a_i T^i \in \mathring{A}\{T\}$ is a unit in $\mathring{A}\{T\}$ if and only if a_0 is a unit in \mathring{A} and $a_i \in \mathring{A}$ for all $i > 0$.

PROOF. By Proposition 4.16, we know that $A\{T\}$ is complete. By Lemma 4.8 and Proposition 4.18, f is a unit in $\mathring{A}\{T\}$ if and only if $\sum_{i=0}^{\infty} \tilde{a}_i T^i$ is a unit in $\tilde{A}[T]$. By Lemma 4.8 again, a_0 is a unit in A if and only if \tilde{a}_0 is a unit in \tilde{A} . So we are reduced to argue that units in $\tilde{A}[T]$ are exactly units in \tilde{A} . This follows from the general fact about units in polynomial rings over a reduced ring. \square

The lemma needs to be places elsewhere.

Lemma 4.21. Let R be a commutative ring. A polynomial $a_0 + a_1 X + \cdots + a_n X^n \in R[X]$ is a unit if and only if a_0 is a unit in R and a_1, \dots, a_n are nilpotents.

5. Semi-normed modules

Definition 5.1. Let $(A, \|\bullet\|_A)$ be a normed ring. A *semi-normed A -module* (resp. *normed A -module*) is a pair $(M, \|\bullet\|_M)$ consisting of a A -module M and a semi-norm (resp. norm) on the underlying Abelian group of M such that there is a constant $C > 0$ such that

$$\|fm\|_M \leq C\|f\|_A\|m\|_M$$

for all $f \in A$ and $m \in M$. In case $\|\bullet\|_A$ is non-Archimedean, we require that $\|\bullet\|_M$ is also non-Archimedean.

We say the semi-normed A -module (resp. normed A -module) M is faithful if we can take $C = 1$.

When $\|\bullet\|_M$ is clear from the context, we say M is a semi-normed A -module (resp. normed A -module).

An A -module homomorphism $\varphi : M \rightarrow N$ between two semi-normed A -modules M and N is *bounded* if the homomorphism of the underlying semi-normed Abelian groups is bounded in the sense of Definition 2.5.

A *Banach A -module* is a normed A -module which is complete with respect to the metric Lemma 2.6.

We denote by $\mathcal{B}an_A$ the category of Banach A -modules with bounded A -module homomorphisms as morphisms.

Definition 5.2. Let A be a Banach ring and $(M, \|\bullet\|_M), (N, \|\bullet\|_N)$ be two Banach A -modules. Define their *direct sum* as the Banach A -module $(M \oplus N, \|\bullet\|_{M \oplus N})$, where for $m \in M, n \in N$, we set

$$\|(m, n)\|_{M \oplus N} := \max\{\|m\|_M, \|n\|_N\}.$$

This definition extends immediately to finite direct sums of Banach A -modules.

Definition 5.3. Let A be a Banach ring. A Banach A -module M is said to be *finite* if there is $n \in \mathbb{N}$ and an admissible epimorphism $A^n \rightarrow M$.

A morphism between finite A modules M and N is a morphism $M \rightarrow N$ in $\mathcal{B}an_A$. We write $\mathcal{B}an_A^f$ for the category of finite Banach A -modules.

Definition 5.4. Let A be a semi-normed ring and M be a semi-normed A -module. There is an obvious \hat{A} -module structure on the completion \hat{M} of M defined in Definition 2.9. We call the resulting Banach module the *completion* of M .

Definition 5.5. Let A be a non-Archimedean semi-normed ring. Consider semi-normed A -modules $(M, \|\bullet\|_M)$ and $(N, \|\bullet\|_N)$. We define the *tensor product* of $(M, \|\bullet\|_M)$ and $(N, \|\bullet\|_N)$ as the semi-normed A -module $(M \otimes N, \|\bullet\|_{M \otimes N})$, where

$$\|x\|_{M \otimes N} = \inf \max_i (\|m_i\|_M \cdot \|n_i\|_N),$$

where the infimum is taken over all decompositions $x = \sum_i m_i \otimes n_i$.

Definition 5.6. Let A be a non-Archimedean Banach ring. Consider semi-normed A -modules M and N , we define the *complete tensor product* of M and N as the metric completion $M \hat{\otimes}_A N$ of the tensor product of M and N defined in [Definition 5.5](#).

Theorem 5.7. Let $(A, \|\bullet\|_A)$ be a normed ring. Then $\mathcal{B}an_A$ is a quasi-Abelian category.

PROOF. We first observe that $\mathcal{B}an_A$ is preadditive, as for any $M, N \in \mathcal{B}an_A$, $\text{Hom}_{\mathcal{B}an_A}(M, N)$ can be given the group structure inherited from the Abelian group $\text{Hom}_A(M, N)$. It is obvious that $\mathcal{B}an_A$ is preadditive.

Next we show that finite biproducts exist in $\mathcal{B}an_A$. Given $(M, \|\bullet\|_M), (N, \|\bullet\|_N) \in \mathcal{B}an_A$, we set

$$(5.1) \quad (M, \|\bullet\|_M) \oplus (N, \|\bullet\|_N) := (M \oplus N, \|\bullet\|_{M \oplus N}),$$

where $\|(m, n)\|_{M \oplus N} := \|m\|_M + \|n\|_N$ for $m \in M$ and $n \in N$. It is easy to verify that this gives the biproduct in $\mathcal{B}an_A$.

We have shown that $\mathcal{B}an_A$ is an additive category.

Next given a morphism $\varphi : (M, \|\bullet\|_M) \rightarrow (N, \|\bullet\|_N)$ in $\mathcal{B}an_A$, we construct its kernel $(\ker \varphi, \|\bullet\|_{\ker \varphi})$ as the kernel of the underlying homomorphism of A -modules of φ endowed with the subgroup semi-norm induced from $\|\bullet\|_M$ as in [Definition 2.3](#). It is easy to verify that $(\ker \varphi, \|\bullet\|_{\ker \varphi})$ is the kernel of φ in $\mathcal{B}an_A$.

We can similarly construct the cokernels. To be more precise, let $\varphi : (M, \|\bullet\|_M) \rightarrow (N, \|\bullet\|_N)$ be a morphism in $\mathcal{B}an_A$, then the coker $\varphi = \{N/\overline{\varphi(M)}\}$ with quotient norm.

We have shown that $\mathcal{B}an_A$ is a pre-Abelian category.

Observe that given a morphism $\varphi : (M, \|\bullet\|_M) \rightarrow (N, \|\bullet\|_N)$ in $\mathcal{B}an_A$, its image is given by $\text{Im } \varphi = \overline{\varphi(M)}$ with the subspace norm induced from N ; its coimage is $M/\ker \varphi$ with the residue norm. The morphism φ is admissible if the natural map

$$M/\ker \varphi \rightarrow \overline{\varphi(M)}$$

is an isomorphism in $\mathcal{B}an_A$.

It remains to show that pull-backs preserve admissible epimorphisms and pushouts preserve admissible monomorphisms. We first handle the case of admissible epimorphisms. Consider a Cartesian square in $\mathcal{B}an_A$:

$$\begin{array}{ccc} M & \xrightarrow{p} & U \\ \downarrow q & \square & \downarrow f \\ V & \xrightarrow{g} & W \end{array}$$

with g being an admissible epimorphism. We need to show that p is also an admissible epimorphism, namely $U \cong M/\ker p$.

We define $\alpha : U \oplus V \rightarrow W$, $\alpha = (f, -g)$, then there is a natural isomorphism $j : M \rightarrow \ker \alpha$. Let us write $i : \ker \alpha \rightarrow U \oplus V$ the natural morphism. Then

$$q = \pi_V \circ i \circ j, \quad p = \pi_U \circ i \circ j,$$

where $\pi_U : U \oplus V \rightarrow U$, $\pi_V : U \oplus V \rightarrow V$ are the natural morphisms. We may assume that $M = \ker \alpha$ and j is the identity. Then it is obvious that p is surjective on the underlying sets. In order to compute the quotient norm on $M/\ker p$, we need a more explicit description of $\ker p \subseteq \ker \alpha$. We know that

$$\ker \alpha = \{(u, v) \in U \oplus V : f(u) = g(v)\}$$

with the subspace norm induced from the product norm on $U \oplus V$ defined in (5.1). Then

$$\ker p = \{(u, v) \in U \oplus V : u = 0, g(v) = 0\}.$$

It follows that for $(u, v) \in \ker \alpha$,

$$\inf_{(u', v') \in \ker p} \|(u, v) + (u', v')\|_{U \oplus V} = \inf_{v' \in \ker g} (\|v + v'\|_V) + \|u\|_U,$$

where $\|\bullet\|_U$ and $\|\bullet\|_V$ denote the norms on U and V respectively. By our assumption that g is an admissible epimorphism, there is a constant $C > 0$ so that

$$\inf_{v' \in \ker g} (\|v + v'\|_V) \leq C\|g(v)\|_W$$

for any $v \in V$. As f is bounded, we can also find a constant $C' > 0$ so that for any $(u, v) \in \ker \alpha$,

$$\|g(v)\|_W = \|f(u)\|_W \leq C'\|u\|_U.$$

It follows that p is admissible epimorphism.

It remains to check that the pushforwards preserve admissible monomorphisms. Consider a co-Cartesian diagram

$$\begin{array}{ccc} W & \xrightarrow{g} & U \\ \downarrow f & & \downarrow q \\ V & \xrightarrow{p} & M \end{array}$$

with g being an admissible monomorphism. We need to show that p is an admissible monomorphism. This boils down to the following: p is injective with closed image and the norms on $p(V)$ obtained in the obvious ways are equivalent. As in the case of pull-backs, we may let $\alpha : W \rightarrow U \oplus V$ be the morphism $(g, -f)$ and assume that $M = \operatorname{coker} \alpha$. It is then easy to see that p is injective. The proof that the two norms on $p(V)$ are equivalent is parallel to the argument in the pull-back case and we omit it.

It remains to verify that $p(V)$ is closed in W . Consider the admissibly coexact sequence in $\mathcal{B}\text{an}_A$:

$$W \xrightarrow{\alpha} U \oplus V \xrightarrow{\pi} M \rightarrow 0.$$

It is also admissibly coexact in the category of semi-normed A -modules. **Include details later.** Let $x_n \in V$ be a sequence so that $p(x_n) \rightarrow y \in M$. We may write $y = \pi(u, v)$ for some $(u, v) \in U \oplus V$. Then

$$\pi(-u, x_n - v) \rightarrow 0$$

as $n \rightarrow \infty$. From the strict coexact sequence, we can find a sequence $w_n \in W$ so that

$$(-u - g(w_n), x_n - v + f(w_n)) \rightarrow 0$$

as $n \rightarrow \infty$. Then $g(w_n) \rightarrow -u$ in U and hence there is $w \in W$ so that $w_n \rightarrow w \in W$ and $g(w) = -u$. But then $x_n \rightarrow x$ and $p(x) = y$. \square

Definition 5.8. Let $(A, \|\bullet\|_A)$ be a normed ring. A *Banach A -algebra* is a pair $(B, \|\bullet\|_B)$ such that $(B, \|\bullet\|_B)$ is a Banach A -module and $(B, \|\bullet\|_B)$ is a Banach ring.

6. Berkovich spectra

Definition 6.1. Let $(A, \|\bullet\|_A)$ be a Banach ring. A semi-norm $|\bullet|$ on A is *bounded* if there is a constant $C > 0$ such that for any $f \in A$, $|f| \leq C\|f\|_A$.

We write $\mathrm{Sp} A$ for the set of bounded semi-valuations on A . We call $\mathrm{Sp} A$ the *Berkovich spectrum* of A .

We endow $\mathrm{Sp} A$ with the weakest topology such that for each $f \in A$, the map $\mathrm{Sp} A \rightarrow \mathbb{R}_{\geq 0}$ sending $\|\bullet\|$ to $\|f\|$ is continuous.

It is sometimes preferable to denote an element $\|\bullet\|$ in $\mathrm{Sp} A$ by a single letter x . In this case, we write $|f(x)| = \|f\|$ for any $f \in A$.

Given a bounded homomorphism $\varphi : A \rightarrow B$ of Banach rings, we define $\mathrm{Sp} \varphi : \mathrm{Sp} B \rightarrow \mathrm{Sp} A$ as follows: given a bounded semi-valuation $\|\bullet\|$ on B , we define $\mathrm{Sp} \varphi(\|\bullet\|)$ as the bounded semi-valuation on A sending $f \in A$ to $\|\varphi(f)\|$.

Observe that there is a natural map of sets:

$$(6.1) \quad \mathrm{Sp} A \rightarrow \{\mathfrak{p} \in \mathrm{Spec} A : \mathfrak{p} \text{ is closed.}\}$$

sending each bounded semi-valuation to its kernel. The fiber over a closed ideal $\mathfrak{p} \in \mathrm{Spec} A$ is identified with the set of bounded valuations on A/\mathfrak{p} . Here boundedness is with respect to the residue norm.

Remark 6.2. In the literature, it is more common to denote $\mathrm{Sp} A$ by $\mathcal{M}(A)$.

Lemma 6.3. Let $(A, \|\bullet\|_A)$ be a Banach ring. Then for any $x \in \mathrm{Sp} A$, we have

$$|f(x)| \leq \rho(f) \leq \|f\|_A.$$

PROOF. Let $\|\bullet\|_x$ be the bounded semi-valuation corresponding to x . Then there is a constant $C > 0$ such that

$$\|\bullet\|_x \leq C\|\bullet\|_A.$$

It follows that for any $n \in \mathbb{N}$,

$$\|f\|_x^n = \|f^n\|_x \leq C\|f^n\|_A.$$

Taking n -th root and letting $n \rightarrow \infty$, we find

$$\|f\|_x \leq \rho(f).$$

The inequality $\rho(f) \leq \|f\|_A$ follows from the definition of ρ . \square

Example 6.4. If $(k, |\bullet|)$ is a complete valuation field, then $\mathrm{Sp} k$ is a single point $|\bullet|$.

To see this, let $\|\bullet\| \in \mathrm{Sp} k$, then by [Lemma 6.3](#),

$$\|f\| \leq |f|$$

for any $f \in k$. If $f \neq 0$, the same inequality applied to f^{-1} implies that $\|f\| = |f|$. When $f = 0$, the equality is trivial.

Example 6.5. Let $\{K_i\}_{i \in I}$ be a family of complete valuation fields. Recall that $\prod_{i \in I} K_i$ is defined in [Example 4.12](#). Then $\mathrm{Sp} \prod_{i \in I} K_i$ is homeomorphic to the Stone–Čech compactification of the discrete set I .

To see this, we first identify the set of proper closed ideals in $\prod_{i \in I} K_i$ with the set of filters on I .

We first introduce a notation: for each $J \subseteq I$, we write $a_J \in \prod_{i \in I} K_i$ for the element

$$a_{J,i} = \begin{cases} 0, & \text{if } i \in J; \\ 1, & \text{if } i \notin J. \end{cases}$$

Given a proper closed ideal $\mathfrak{a} \subseteq \prod_{i \in I} K_i$, we define a filter $\Phi_{\mathfrak{a}} = \{J \subseteq I : a_J \in \mathfrak{a}\}$. Conversely, given a filter Φ on I , we denote by \mathfrak{a}_{Φ} the closed ideal of $\prod_{i \in I} K_i$ generated by a_J for all $J \in \Phi$. These maps are inverse to each other and order preserving. In particular, the maximal ideals of $\prod_{i \in I} K_i$ are identified with ultrafilters of I by [Corollary 4.7](#).

Next we show that all prime ideals of $\prod_{i \in I} K_i$ are maximal. In fact, take $\mathfrak{p} \in \mathrm{Spec} \prod_{i \in I} K_i$ and suppose that there is a maximal ideal \mathfrak{m} properly containing \mathfrak{p} . Let $J \in \Phi_{\mathfrak{m}} \setminus \Phi_{\mathfrak{p}}$ so that $a_J \in \mathfrak{m} \setminus \mathfrak{p}$. As $I \setminus J \notin \Phi_{\mathfrak{m}}$, we have $a_{I \setminus J} \notin \mathfrak{m}$. But $a_J \cdot a_{I \setminus J} = 0$. This contradicts the fact that $a_J \notin \mathfrak{p}$ and $a_{I \setminus J} \notin \mathfrak{p}$.

So we have shown that as a set $\mathrm{Spec} \prod_{i \in I} K_i$ is identified with the Stone–Čech compactification of I .

Next we show that if $\mathfrak{m} \in \mathrm{Spec} \prod_{i \in I} K_i$, then the residue norm on $\prod_{i \in I} K_i / \mathfrak{m}$ is multiplicative. In fact, for each $f \in \prod_{i \in I} K_i$, we have

$$\|\pi(f)\|_{\prod_{i \in I} K_i / \mathfrak{m}} = \inf_{J \in \Phi_{\mathfrak{m}}} \sup_{i \in J} \|f\|.$$

Here $\pi : \prod_{i \in I} K_i \rightarrow \prod_{i \in I} K_i / \mathfrak{m}$ is the natural map and $\|\bullet\|$ denotes the norm on $\prod_{i \in I} K_i$ defined in [Example 4.12](#). It follows immediately that the residue norm on $\prod_{i \in I} K_i / \mathfrak{m}$ is multiplicative. In particular, by [Example 6.4](#), $\mathrm{Sp} \prod_{i \in I} K_i$ and $\mathrm{Spec} \prod_{i \in I} K_i$ are identified as sets under the natural map [\(6.1\)](#).

It remains to identify the topologies. But this is easy: for any ultrafilter Φ on I , let $\mathfrak{m} = \mathfrak{m}_{\Phi}$, then $\|\pi(a_J)\| = 0$ for $J \in \Phi$ and $\|\pi(a_J)\| = 1$ otherwise.

Proposition 6.6. Let $\varphi : A \rightarrow B$ be a bounded homomorphism of Banach rings, then $\mathrm{Sp} \varphi : \mathrm{Sp} B \rightarrow \mathrm{Sp} A$ is continuous.

PROOF. For each $f \in A$, we define $\mathrm{ev}_f : \mathrm{Sp} A \rightarrow \mathbb{R}$ by sending $\|\bullet\|$ to $\|f\|$. It suffices to show that for any $f \in A$, the map $\mathrm{Sp} \varphi \circ \mathrm{ev}_f$ is continuous. But the composition is just the map sending $\|\bullet\| \in \mathrm{Sp} B$ to $\|\varphi(f)\|$. It is continuous by definition of the topology on $\mathrm{Sp} B$ as φ is bounded. \square

Definition 6.7. Let $(A, \|\bullet\|_A)$ be a Banach ring. For each $x \in \mathrm{Sp} A$ corresponding to a bounded semi-valuation $\|\bullet\|_x$ on A , there is a natural induced valuation on $\mathrm{Frac} \ker \|\bullet\|_x$. We write $\mathcal{H}(x)$ for the completion of $\mathrm{Frac} \ker \|\bullet\|_x$ with the induced valuation. The complete valuation field $\mathcal{H}(x)$ is called the *complete residue field* of A at x .

We will write $f(x)$ for the residue class of f in $\mathcal{H}(x)$.

Observe that for any $f \in A$, $|f(x)|$ is exactly the valuation of $f(x)$ with respect to the valuation on $\mathcal{H}(x)$.

Definition 6.8. Let A be a Banach ring. The *Gelfand transform* of A is the homomorphism

$$A \rightarrow \prod_{x \in \operatorname{Sp} A} \mathcal{H}(x).$$

Here the product is defined in [Example 4.12](#).

We will denote the Gelfand transform as $f \mapsto \hat{f} = (f(x))_{x \in \operatorname{Sp} A}$.

By [Lemma 6.3](#), the Gelfand transform is well-defined.

Proposition 6.9. Let $(A, \|\bullet\|_A)$ be a Banach ring. Then the Gelfand transform

$$A \rightarrow \prod_{x \in \operatorname{Sp} A} \mathcal{H}(x).$$

is bounded. In fact, the Gelfand transform is contractive.

PROOF. This follows simply from [Lemma 6.3](#). \square

Proposition 6.10. Let $(A, \|\bullet\|)$ be a Banach ring. Then $\operatorname{Sp} A$ is empty if and only if $A = 0$.

PROOF. If $A = 0$, $\operatorname{Sp} A$ is clearly empty. Conversely, suppose that $\operatorname{Sp} A$ is empty. Assume that $A \neq 0$. For any maximal ideal \mathfrak{m} , by [Corollary 4.7](#), A/\mathfrak{m} is a Banach ring and $\operatorname{Sp} A/\mathfrak{m}$ is a subset of $\operatorname{Sp} A$. So we may assume that A is a field. Let S be the set of bounded semi-norms on A . Then S is non-empty as $\|\bullet\| \in S$. By Zorn's lemma, we can take a minimal element $|\bullet| \in S$. Up to replacing A by the completion with respect to $|\bullet|$, we may assume that $|\bullet|$ is a norm on A . As A is a field, we may further assume that $|\bullet| = \|\bullet\|$.

We claim that $\|\bullet\|$ is multiplicative. As A is a field, it suffices to show that $\|f^{-1}\| = \|f\|^{-1}$ for any non-zero $f \in A$. We may assume that $\|f\|^{-1} < \|f^{-1}\|$.

Let r be a positive real number. Let $\varphi : A \rightarrow A\{r^{-1}T\}/(T - f)$ be the natural map. The map is injective as A is a field. We endow $A\{r^{-1}T\}/(T - f)$ with the quotient semi-norm induced by $\|\bullet\|_r$. We still denote this semi-norm by $\|\bullet\|_r$.

We claim that $f - T$ is not invertible in $A\{r^{-1}T\}$ for the choice $r = \|f^{-1}\|^{-1}$. From this, it follows that

$$\|\varphi(f)\|_r = \|T\|_r \leq r < \|f\|.$$

The last step is our assumption. This contradicts our choice of $\|\bullet\|$.

In order to prove the claim, we need to show that $\|\bullet\|$ is power multiplicative first. Assuming this, it is obvious that

$$\sum_{i=0}^{\infty} \|f^{-i}\| r^i = \sum_{i=0}^{\infty} \|f^{-1}\|^i \|f^{-1}\|^{-i}$$

diverges.

It remains to show that $\|\bullet\|$ is power multiplicative. Suppose that is $f \in A$ so that $\|f^n\| < \|f\|^n$ for some $n > 1$. We claim that $f - T$ is not invertible in $A\{r^{-1}T\}$ for the choice $r = \|f^n\|^{1/n}$. From this,

$$\|\varphi(f)\|_r = \|T\|_r \leq r < \|f\|.$$

This contradicts our choice of $\|\bullet\|$. The claim amounts to the divergence of

$$\sum_{i=0}^{\infty} \|f^{-i}\| r^i.$$

For a general $i \geq 0$, we write $i = pn + q$ for $p, q \in \mathbb{N}$ and $q \leq n - 1$. Then $\|f^i\| \leq \|f^n\|^p \|f^q\|$. So

$$\|f^{-i}\| r^i \geq \|f^i\|^{-1} \|f^n\|^{p+n^{-1}q} \geq \|f^n\|^{n^{-1}q} \|f^q\|^{-1}.$$

It therefore follows that $|f^{-i}| r^i$ admits a positive lower bound, and we conclude. \square

Corollary 6.11. Let A be a Banach ring. Then an element $f \in A$ is invertible if and only if $f(x) \neq 0$ for all $x \in \operatorname{Sp} A$.

PROOF. The direct implication is trivial. Assume that $f(x) \neq 0$ for all $x \in \operatorname{Sp} A$. We claim that $f \notin \mathfrak{m}$ for any maximal ideal \mathfrak{m} in A . From this, it follows that f is invertible in A .

By [Corollary 4.7](#), A/\mathfrak{m} is a Banach ring. It follows from [Proposition 6.10](#) that there is a non-trivial bounded semi-valuation on A/\mathfrak{m} , which lifts to a bounded semi-valuation on A . \square

Corollary 6.12. Let $(A, \|\bullet\|_A)$ be a Banach ring. Then for any $f \in A$, we have

$$\rho(f) = \sup_{x \in \operatorname{Sp} A} |f(x)|.$$

PROOF. We have already shown $\rho(f) \geq \sup_{x \in \operatorname{Sp} A} |f(x)|$ in [Lemma 6.3](#). To verify the reverse inequality, take $f \in A$ and $r \in \mathbb{R}_{>0}$, it suffices to show that if $|f(x)| < r$ for all $x \in \operatorname{Sp} A$, then $\rho(f) \leq r$.

Consider the Banach ring $B = A\{rT\}$. By [Lemma 6.3](#) again, $|T(x)| \leq \|T\|_{r^{-1}} = r^{-1}$ for all $x \in \operatorname{Sp} B$. Therefore, for any $x \in \operatorname{Sp} B$, $|(fT)(x)| < 1$. Hence, $(1 - fT)(x) \neq 0$ for all $x \in \operatorname{Sp} B$. By [Corollary 6.11](#), $1 - fT$ is invertible in B . But this happens exactly when

$$\sum_{i=0}^{\infty} \|f^i\|_A r^{-i}$$

is convergent. It follows that $\rho(f) \leq r$. \square

Theorem 6.13. Let $(A, \|\bullet\|)$ be a Banach ring. Then $\operatorname{Sp} A$ is a compact Hausdorff space.

PROOF. We first show that $\operatorname{Sp} A$ is Hausdorff. Take $x_1, x_2 \in A$, $x_1 \neq x_2$. In other words, we can find $f \in A$ so that $|f(x_1)| \neq |f(x_2)|$. We may assume that $|f(x_1)| < |f(x_2)|$. Take a real number $r > 0$ so that

$$|f(x_1)| < r < |f(x_2)|.$$

Then $\{x \in \operatorname{Sp} A : |f(x)| < r\}$ and $\{x \in \operatorname{Sp} A : |f(x)| > r\}$ are disjoint neighbourhoods of x_1 and x_2 .

Next we show that $\operatorname{Sp} A$ is compact. By [Proposition 6.9](#) and [Proposition 6.6](#), we can define a continuous map

$$\operatorname{Sp} \prod_{x \in \operatorname{Sp} A} \mathcal{H}(x) \rightarrow \operatorname{Sp} A.$$

The map is clearly surjective: for any $x \in \operatorname{Sp} A$, the valuation on $\mathcal{H}(x)$ induces a semi-valuation on $\prod_{x \in \operatorname{Sp} A} \mathcal{H}(x)$, which is clearly bounded. The image of this semi-valuation in $\operatorname{Sp} A$ is just x .

So it suffices to show that $\operatorname{Sp} \prod_{x \in \operatorname{Sp} A} \mathcal{H}(x)$ is compact. This follows from [Example 6.5](#). \square

7. Open mapping theorem

Let $(k, |\cdot|)$ be a complete non-trivially valued field. All results in this section fail when k is trivially valued.

Proposition 7.1. Let A be a normed k -algebra and $f : (M, \|\bullet\|_M) \rightarrow (N, \|\bullet\|_N)$ be an A -homomorphism of normed A -modules. Then f is bounded if and only if f is continuous.

PROOF. The direct implication follows from [Proposition 2.7](#). Assume that f is continuous. We may assume that $A = k$.

Assume that f is not bounded. Fix $a \in k$ with $|a| \in (0, 1)$. This is possible as k is non-trivially valued. Then we can find a sequence $m_i \in M$ such that $\|f(m_i)\|_N > |a|^{-i} \|m_i\|_M$. Up to replace m_i by a scalar multiple, we may assume that $\|m_i\|_M \in [1, |a|^{-1}]$: if $\|m_i\|_M \geq 1$, choose $n \in \mathbb{N}$ such that $|a|^{-n} \leq \|m_i\|_M < |a|^{-n-1}$, then replace m_i with $a^n m_i$. The case $|x| < 1$ is similar. Then $\|f(a^i m_i)\|_N > \|m_i\|_M \geq 1$ while $\|a^i m_i\|_M < |a|^n |a|^{-1} \rightarrow 0$. This is a contradiction. \square

Theorem 7.2 (Open mapping theorem). Let $(V, \|\bullet\|_V), (W, \|\bullet\|_W)$ be k -Banach spaces and $L : V \rightarrow W$ be a bounded and surjective k -homomorphism. Then L is open.

PROOF. We write $V_0 = \{v \in V : \|v\|_V < 1\}$. Similarly define W_0 .

Step 1. We claim that there is a constant $C > 0$ such that for all $w' \in W$, there is $v' \in V$ such that

$$\|v'\|_V \leq C \|w'\|_W, \quad \|w' - L(v')\|_W < 1/2.$$

As k is non-trivially valued, we can take $c \in k$ with $|c| \in (0, 1)$, so

$$V = \bigcup_{n \in \mathbb{N}} c^n V_0.$$

As L is surjective, we have

$$W = \bigcup_{n \in \mathbb{N}} c^n L(V_0).$$

By Baire's category theorem, we may assume that $\overline{L(V_0)}$ has non-empty interior. Take $w \in W$ and $r > 0$ so that

$$\{w' \in W : \|w - w'\|_W < r\} \subseteq \overline{L(V_0)}.$$

Take $d \in W_0$ and $c' \in k^\times$ so that $|c'| < r$, then $w + c'd \in \overline{L(V_0)}$. It follows that

$$c'd \in \overline{L(V_0)} + \overline{L(V_0)} \subseteq \overline{L(V_0) + L(V_0)} = \overline{L(V_0)}.$$

So

$$W_0 \subseteq \overline{L(c'^{-1}V_0)}.$$

It suffices to take $C = |c'^{-1}|$.

Step 2. Now given $w \in W_0$, we want to show that $w \in L(\{v \in V : \|v\|_V < C\})$. This will finish the argument: as k is non-trivially valued, this implies that $L(V_0)$ contains an open neighbourhood of 0.

From Step 1, we can construct $v_1 \in V$ with $\|v_1\|_V < C$ and $\|w - L(v_1)\|_W < 1/2$. Repeat this process, we can $v_n \in V$ inductively so that

$$\|v_n\|_V < 2^{1-n}C, \quad \|w - L(v_1 + \cdots + v_n)\|_W < 2^{-n}.$$

We set $v = \sum_{i=1}^{\infty} v_i$. Then $v \in V$ and $Av = w$ by continuity. Moreover,

$$\|v\|_V \leq \max_n \|v_n\|_V < C.$$

□

Corollary 7.3. Let A be a k -Banach algebra and M be a normed A -module. Assume that \hat{M} is a finite A -module, then M is complete.

PROOF. Take $x_1, \dots, x_n \in \hat{M}$ so that $\pi : A^n \rightarrow \hat{M}$ sending (a_1, \dots, a_n) to $\sum_{i=1}^n a_i x_i$ is surjective. By open mapping theorem [Theorem 7.2](#), $\sum_{i=1}^n \check{A}x_i$ is a neighbourhood of 0 in \hat{M} . So

$$x_j \in M + \sum_{i=1}^n \check{A}x_i.$$

It follows from (a version of) Nakayama's lemma that $M = \hat{M}$. □

Corollary 7.4. Let A be a k -Banach algebra and M be a Noetherian Banach A -module. Let N be a submodule of M . Then N is closed in M .

In particular, if A is Noetherian, then all ideals of A are closed.

PROOF. As M is noetherian, \bar{N} is a finite A -module. In particular, N is complete by [Corollary 7.3](#). Hence, N is closed in M . □

Corollary 7.5. A bounded epimorphism of k -Banach algebras $f : A \rightarrow B$ is admissible.

PROOF. Replacing A by $A/\ker f$, we may assume that f is bijective. It follows from [Theorem 7.2](#) that f is a homeomorphism. The inverse of f is therefore continuous, and hence bounded by [Proposition 7.1](#). □

8. Maximum spectra

Let $(k, |\bullet|)$ a complete non-Archimedean valued field.

Definition 8.1. For any k -algebra A , we write

$$\mathrm{Spm}_k A := \{\mathfrak{m} \in \mathrm{Spm} A : A/\mathfrak{m} \text{ is algebraic over } k\}.$$

For any $x \in \mathrm{Spm}_k A$ and any $f \in A$, we write $f(x)$ for the residue of f in A/\mathfrak{m}_x , where \mathfrak{m}_x is the maximal ideal corresponding to x . We write $|f(x)|$ for the valuation of $f(x)$ with respect to the extended valuation induced from the given valuation on k .

Definition 8.2. Let A be a k -algebra. For each $f \in A$, we write $|f|_{\mathrm{sup}}$ for the supremum of $|f(x)|$ for all $x \in \mathrm{Spm}_k A$ if $\mathrm{Spm}_k A$ is non-empty and 0 otherwise.

Definition 8.3. Let f be a monic polynomial in $k[X]$, we expand $f = X^n + a_1 X^{n-1} + \dots + a_n \in k[X]$, then we define $\sigma(f) := \max_{i=1, \dots, n} |a_i|^{1/i}$.

Definition 8.4. Let L be a reduced integral k -algebra. We define the *spectral norm* $|\bullet|_{\mathrm{sp}}$ on L as follows: given a non-zero $x \in L$, take a minimal polynomial $X^n + a_1 X^{n-1} + \dots + a_n \in k[X]$ of x over k . Then we set

$$|x|_{\mathrm{sp}} := \max_{i=1, \dots, n} |a_i|^{1/i}.$$

Proposition 8.5. Let f, g be monic polynomials in $k[X]$, then

$$\sigma(fg) = \max\{\sigma(f), \sigma(g)\}.$$

PROOF. Replacing k by a finite extension, we may assume that f and g split into linear factors a_i and b_j . Then it is straightforward to show that

$$\sigma(f) = \prod_i a_i, \quad \sigma(g) = \prod_j b_j, \quad \sigma(fg) = \prod_i a_i \cdot \prod_j b_j.$$

The assertion follows. \square

Proposition 8.6. Let L be a reduced integral k -algebra. Then $|\bullet|_{\text{sp}}$ is a power-multiplicative norm on L , and it extends the norm on k .

PROOF. It is clear that $|\bullet|_{\text{sp}}$ extends the valuation on k . In order to show that $|\bullet|_{\text{sp}}$ is a power-multiplicative norm on L , we may assume that L is finite dimensional over k . Then we can find finite field extensions L_1, \dots, L_t of k such that $L = \bigoplus_{i=1}^t L_i$. By [Proposition 8.5](#), we can immediately reduce to the case where L/k is a finite field extension. In this case, the result is well-known. [Expand](#). \square

Proposition 8.7. Let L be a reduced integral k -algebra. For any $\mathfrak{p} \in \text{Spec } L$, write $\pi_{\mathfrak{p}} : L \rightarrow L/\mathfrak{p}$ the residue map. Then for any $y \in L$,

$$|y|_{\text{sp}} = \max_{\mathfrak{p} \in \text{Spec } L} |\pi_{\mathfrak{p}}(y)|_{\text{sp}}.$$

PROOF. Fix $y \in L$. For any $\mathfrak{p} \in \text{Spec } L$, let $q_{\mathfrak{p}} \in k[X]$ be the minimal polynomial of $\pi_{\mathfrak{p}}(y)$ over k . Let $q \in k[X]$ be the minimal polynomial of y over k . Then clearly $q_{\mathfrak{p}}$ divides q for all $\mathfrak{p} \in \text{Spec } L$. In particular, there are only finitely many different polynomials among $q_{\mathfrak{p}}$ ($\mathfrak{p} \in \text{Spec } L$), say q_1, \dots, q_r . Define $q' = q_1 \cdots q_r \in k[X]$. Then for $f \in k[X]$, $f(y) = 0$ if and only if $\pi_{\mathfrak{p}}(f(y)) = 0$ for all $\mathfrak{p} \in \text{Spec } L$ as L is reduced. The latter condition is equivalent to that $q' | f$. It follows that $q' = q$. Now by [Proposition 8.5](#),

$$|y|_{\text{sp}} = \sigma(q) = \max_{i=1, \dots, r} \sigma(q_i) = \max_{\mathfrak{p} \in \text{Spec } L} |\pi_{\mathfrak{p}}(y)|_{\text{sp}}.$$

\square

Proposition 8.8. Let $\varphi : B \rightarrow A$ be a homomorphism of commutative k -algebras. Then for any $f \in B$,

$$|\varphi(f)|_{\text{sup}} \leq |f|_{\text{sup}}.$$

PROOF. Of course, we can assume that $\text{Spm}_k A \neq \emptyset$. Let $x \in \text{Spm}_k A$, then $\varphi^{-1}x \in \text{Spm}_k B$. But for any $f \in B$, $|\varphi(f)(x)| = |f(\varphi^{-1}x)|$. We conclude. \square

Proposition 8.9. Let A be a k -algebra. Let \mathfrak{M} be the set of minimal prime ideals in A and let $\pi_{\mathfrak{p}} : A \rightarrow A/\mathfrak{p}$ be the canonical residue map for all $\mathfrak{p} \in \mathfrak{M}$. Then for any $f \in A$,

$$(8.1) \quad |f|_{\text{sup}} = \sup_{\mathfrak{p} \in \mathfrak{M}} |\pi_{\mathfrak{p}}(f)|_{\text{sup}}.$$

In particular, if A be a reduced integral k -algebra. Then $|\bullet|_{\text{sup}} = |\bullet|_{\text{sp}}$ on A .

PROOF. By [Proposition 8.8](#),

$$\sup_{\mathfrak{p} \in \mathfrak{M}} |\pi_{\mathfrak{p}}(f)|_{\text{sup}} \leq |f|_{\text{sup}}.$$

In order to show the reverse inequality, let $x \in \text{Spm}_k A$. Take $\mathfrak{p} \in \mathfrak{M}$ such that $x \supseteq \mathfrak{p}$. Clearly, $\pi_{\mathfrak{p}}(x) \in \text{Spm}_k A/\mathfrak{p}$ and

$$|f(x)| = |\pi_{\mathfrak{p}}(f)(\pi_{\mathfrak{p}}(x))|.$$

In particular,

$$|f(x)| \leq |\pi_{\mathfrak{p}}(f)|_{\text{sup}} \leq \sup_{\mathfrak{p} \in \mathfrak{M}} |\pi_{\mathfrak{p}}(f)|_{\text{sup}}.$$

Take sup with respect to x , we conclude [\(8.1\)](#).

When A is a reduced and integral k -algebra, all prime ideals of A are minimal. The final assertion follows from [Proposition 8.7](#). \square

Proposition 8.10. Let $\varphi : B \rightarrow A$ be an injective integral homomorphism of k -algebras. Assume that B is a normal integral domain. Fix $f \in A$. Let $f^n + \varphi(b_1)f^{n-1} + \dots + \varphi(b_n) = 0$ be the minimal equation of f over A . Then

$$|f|_{\text{sup}} = \max_{i=1, \dots, n} |b_i|_{\text{sup}}^{1/i}.$$

PROOF. We first show the inequality

$$|f|_{\text{sup}} \leq \max_{i=1, \dots, n} |b_i|_{\text{sup}}^{1/i}.$$

Of course, we can assume that $\text{Spm}_k A \neq \emptyset$. For all $x \in \text{Spm}_k A$, we have

$$0 = f(x)^n + \varphi(b_1)f(x)^{n-1} + \dots + \varphi(b_n) = f(x)^n + b_1(\varphi^{-1}x)f(x)^{n-1} + \dots + b_n(\varphi^{-1}x).$$

Then we in fact have that

$$|f(x)| \leq \max_{i=1, \dots, n} |b_i(\varphi^{-1}x)|_{\text{sup}}^{1/i}.$$

Assume that to the contrary that

$$|f(x)|^i > |b_i(\varphi^{-1}x)|$$

for all $i = 1, \dots, n$. Then

$$|b_i(\varphi^{-1}x)f(x)^{n-i}| < |f(x)|^n = |f(x)^n|.$$

It follows that

$$|b_1(\varphi^{-1}x)f(x)^{n-1} + \dots + b_n(\varphi^{-1}x)| < |f(x)^n|.$$

This is a contradiction.

It remains to argue that

$$(8.2) \quad |f|_{\text{sup}} \geq \max_{i=1, \dots, n} |b_i|_{\text{sup}}^{1/i}.$$

Next let $A' = B[f]$. We argue that $A' \rightarrow A$ is an isometry with respect to $|\bullet|_{\text{sup}}$. If $\text{Spm}_k A'$ is empty, then the assertion follows from [Proposition 8.8](#). Assume that $\text{Spm}_m A'$ is non-empty. Take $y \in \text{Spm}_k A'$. By [\[Stacks, Tag 00GQ\]](#), there is a maximal ideal $x \in \text{Spm } A$ lying over y . As the induced map $A'/y \rightarrow A/x$ is integral, we find $x \in \text{Spm}_k A$. So the map $\text{Spm}_k A \rightarrow \text{Spm}_k A'$ is surjective. It follows that $A' \rightarrow A$ is an isometry with respect to $|\bullet|_{\text{sup}}$.

In order to argue [\(8.2\)](#), we may assume that $A = B[f]$. Let $q \in B[X]$ denote the minimal polynomial of f over A . Then $A = B[X]/(q)$. Let $y \in \text{Spm}_k B$, we write f_y for the residue class of f in A/yA and write f_y for the residue class in $(A/yA)^{\text{red}}$.

Similarly, let q_y denote the residue class of q in $B/y[X]$. As y is contained in some $\text{Spm}_k A$, we see that

$$|f|_{\text{sup}} = \sup_{y \in \text{Spm}_k B} |f_y|_{\text{sup}} = \sup_{y \in \text{Spm}_k B} |\bar{f}_y|_{\text{sup}}.$$

For $y \in \text{Spm}_k B$, we decompose q_y into prime factors $q_1^{n_1} \cdots q_r^{n_r}$ in $B/y[X]$. Then

$$A/yA \cong B/y[X]/(q_y)$$

and

$$(A/yA)^{\text{red}} \cong \bigoplus_{i=1}^r B/y[X]/(q_i).$$

We endow $\bigoplus_{i=1}^r B/y[X]/(q_i)$ with the spectral norm over B/y . If \bar{f}_i denotes the residue class of \bar{f}_y in $B/y[X]/(q_i)$, by [Proposition 8.9](#) and [Proposition 8.5](#),

$$|\bar{f}_y|_{\text{sup}} = \max_{i=1, \dots, r} |\bar{f}_i|_{\text{sp}} = \max_{i=1, \dots, r} \sigma(q_i) = \sigma(q_y).$$

Therefore,

$$|f|_{\text{sup}} = \sup_{y \in \text{Spm}_k B} \sigma(q_y) = \max_{i=1, \dots, n} |b_i|_{\text{sup}}^{1/n}.$$

□

9. Bornology

[This section may be placed elsewhere.](#)

Definition 9.1. Let X be a set. A *bornology* on X is a collection \mathcal{B} of subsets of X such that

- (1) For any $x \in X$, there is $B \in \mathcal{B}$ such that $x \in B$;
- (2) For any $B \in \mathcal{B}$ and any subset $A \subseteq B$, $A \in \mathcal{B}$;
- (3) \mathcal{B} is stable under finite union.

The pair (X, \mathcal{B}) is called a *bornological set*. The elements of \mathcal{B} are called the *bounded subsets* of (X, \mathcal{B}) . When \mathcal{B} is obvious from the context, we omit it from the notations.

A morphism between bornological sets (X, \mathcal{B}_X) and (Y, \mathcal{B}_Y) is a map of sets $f : X \rightarrow Y$ such that for any $A \in \mathcal{B}_X$, $f(A) \in \mathcal{B}_Y$. Such a map is called a *bounded map*.

Definition 9.2. Let (X, \mathcal{B}) be a bornological set. A *basis* for \mathcal{B} is a subset $\mathcal{A} \subseteq \mathcal{B}$ such that for any $B \in \mathcal{B}$, there are $A_1, \dots, A_n \in \mathcal{A}$ such that $B \subseteq A_1 \cup \cdots \cup A_n$.

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