

Commutative Algebra



“南淮者，人间之胜境。无饥馑灾荒之属，里巷中常闻笑声，灯火彻夜夏不闭户，唯少年顽皮，是为一害……每春来之际，辄有窃花者、弹雀者、钓鱼者……”

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1 Some fundamental Results

To be completed

1.1 Rings and modules

In the appendix and all the note, the “ring” is always commutative and with identity. We denote by $\text{Spec } A$ the set of prime ideals of a ring A . We denote by $\text{mSpec } A$ the set of maximal ideals of A . Let

$I \subset A$ be an ideal of A . We define

$$V(I) := \{\mathfrak{p} \in \text{Spec } A : I \subset \mathfrak{p}\}.$$

Let $\mathfrak{a}, \mathfrak{b}$ be ideals of A . We define

$$(\mathfrak{a} : \mathfrak{b}) := \{a \in A : ab \subset \mathfrak{a}\}.$$

This is an ideal of A .

Let $\text{rad}(A)$ be the Jacobian radical of A , i.e., the intersection of all maximal ideals of A . Let $\text{nil}(A)$ be the nilradical of A , i.e., the ideal of A consisting of all nilpotent elements.

Proposition 1.1. Let A be a ring. Then we have

$$\text{nil}(A) = \bigcap_{\mathfrak{p} \in \text{Spec } A} \mathfrak{p}.$$

| *Proof.* To be completed. □

Proposition 1.2. Let A be a ring, $\mathfrak{p}, \mathfrak{p}_i$ prime ideals of A and $\mathfrak{a}, \mathfrak{a}_i$ ideals of A .

- (a) Suppose $\mathfrak{a} \subset \bigcup_{i=1}^n \mathfrak{p}_i$. Then there exists i such that $\mathfrak{a} \subset \mathfrak{p}_i$.
- (b) Suppose $\bigcap_{i=1}^n \mathfrak{a}_i \subset \mathfrak{p}$. Then there exists i such that $\mathfrak{a}_i \subset \mathfrak{p}$.

| *Proof.* To be completed. □

Let M be an A -module. We say that M is *finite* if there exists an exact sequence

$$A^n \rightarrow M \rightarrow 0.$$

We say that M is *finite presented* if there exists an exact sequence

$$A^m \rightarrow A^n \rightarrow M \rightarrow 0.$$

If A is a noetherian ring, then every finite A -module is finite presented.

Definition 1.3. Let A be a ring and M an A -module. The *support* of M is defined as

$$\text{Supp } M := \{\mathfrak{p} \in \text{Spec } A : M_{\mathfrak{p}} \neq 0\}.$$

The *annihilator* of M is defined as

$$\text{Ann } M := \{a \in A : aM = 0\}.$$

This is an ideal of A .

Proposition 1.4. Let A be a ring and M a finite A -module. Then $\text{Supp } M = V(\text{Ann } M)$. In particular, $\text{Supp } M$ is a closed subset of $\text{Spec } A$.

| *Proof.* To be completed. □

1.2 Localization

Definition 1.5. Let A be a ring and $S \subset A$ a multiplicative subset, i.e., $1 \in S$ and $s_1, s_2 \in S$ implies $s_1 s_2 \in S$. Let M be an A -module. The *localization* of M at S is defined as

$$S^{-1}M := M \times S / \sim,$$

where $(m, s) \sim (n, t)$ if there exists $u \in S$ such that $u(tm - sn) = 0$. We denote the equivalence class of (m, s) by $\frac{m}{s}$ or m/s .

The localization $S^{-1}A$ is still a ring and hence an A -algebra. The localization $S^{-1}M$ is an $S^{-1}A$ -module. If $M = B$ is an A -algebra, then $S^{-1}B$ is an $S^{-1}A$ -algebra.

Example 1.6. Let A be a ring, \mathfrak{p} a prime ideal of A and M an A -module. Then $S = A \setminus \mathfrak{p}$ is a multiplicative subset. The localization $S^{-1}M$ is denoted by $M_{\mathfrak{p}}$ and called the localization of M at \mathfrak{p} .

Let $f \in A$ be an element. Then $S = \{f^n : n \geq 0\}$ is a multiplicative subset. The localization $S^{-1}M$ is denoted by $M[1/f]$.

Proposition 1.7. The natural map $A \rightarrow S^{-1}A$ is injective if and only if S contains no zero divisors.

Proposition 1.8. Let A be a ring, $S \subset A$ a multiplicative subset and M an A -module. Then we have a natural isomorphism of $S^{-1}A$ -modules

$$S^{-1}M \cong M \otimes_A S^{-1}A.$$

Proposition 1.9. The localization $S^{-1}A$ is a flat A -algebra.

1.3 Chain conditions

Definition 1.10. Let A be a ring. We say that A is *noetherian* (resp. *artinian*) if every ascending (resp. descending) chain of ideals of A stabilizes.

Proposition 1.11. Let A be a ring. The following are equivalent:

- (a) A is noetherian.
- (b) Every ideal of A is finitely generated.
- (c) Every non-empty set of ideals of A has a maximal element (with respect to inclusion).

Proof. To be completed. □

Theorem 1.12 (Hilbert's Basis Theorem). If A is a noetherian ring, then $A[x]$ is noetherian.

Proof. To be completed. □

Remark 1.13. By a similar argument replacing $\deg f$ by $\text{ord } f$, we can show that if A is noetherian, then the formal power series ring $A[[x]]$ is also noetherian.

1.4 Nakayama's Lemma

Theorem 1.14 (Nakayama's Lemma). Let A be a ring and \mathfrak{M} be its Jacobi radical. Suppose M is a finitely generated A -module. If $\mathfrak{a}M = M$ for $\mathfrak{a} \subset \mathfrak{M}$, then $M = 0$.

Proof. Suppose M is generated by x_1, \dots, x_n . Since $M = \mathfrak{a}M$, formally we have $(x_1, \dots, x_n)^T = \Phi(x_1, \dots, x_n)^T$ for $\Phi \in M_n(\mathfrak{a})$. Then $(\Phi - \text{id})(x_1, \dots, x_n)^T = 0$. Note that $\det(\Phi - \text{id}) = 1 + a$ for $a \in \mathfrak{a} \subset \mathfrak{M}$. Then $\Phi - \text{id}$ is invertible and then $M = 0$. \square

The finiteness of M is crucial in Nakayama's Lemma. The followings are counterexamples when M is not finite.

Example 1.15. Let $\overline{\mathbb{Z}}$ be the ring of algebraic integers in $\overline{\mathbb{Q}}$. Choose a non-zero prime ideal \mathfrak{p} of $\overline{\mathbb{Z}}$. Then we have that $\mathfrak{p}\overline{\mathbb{Z}}_{\mathfrak{p}} = \mathfrak{p}^2\overline{\mathbb{Z}}_{\mathfrak{p}}$. Indeed, if $a \in \mathfrak{p}\overline{\mathbb{Z}}_{\mathfrak{p}}$, let $b = \sqrt{a} \in \overline{\mathbb{Z}}_{\mathfrak{p}}$. Then $b^2 = a \in \mathfrak{p}\overline{\mathbb{Z}}_{\mathfrak{p}}$ and whence $b \in \mathfrak{p}\overline{\mathbb{Z}}_{\mathfrak{p}}$ since \mathfrak{p} is prime. It follows that $a = b^2 \in \mathfrak{p}^2\overline{\mathbb{Z}}_{\mathfrak{p}}$.

Example 1.16. Let $A = \mathbf{k}[x]$ and $B = \mathbf{k}[t]$ with $t^2 = x$. Then B is a A -module. Let $\mathfrak{m} = (x-1) \subset A$ and $\mathfrak{n} = (t-1) \subset B$. Then $B_{\mathfrak{n}}$ is a $A_{\mathfrak{m}}$ -module which is not finite. Note that $\mathfrak{m}B_{\mathfrak{n}} = (t^2 - 1)B_{\mathfrak{n}} = (t-1)(t+1)B_{\mathfrak{n}} = \mathfrak{n}B_{\mathfrak{n}}$. Then $B_{\mathfrak{n}} \otimes_A \kappa(\mathfrak{m}) = \mathbf{k}$ is generated by 1. However, $B_{\mathfrak{n}}$ is not generated by 1 as a $A_{\mathfrak{m}}$ -module.

Proposition 1.17 (Geometric form of Nakayama's Lemma). Let $X = \text{Spec } A$ be an affine scheme, $x \in X$ a closed point and \mathcal{F} a coherent sheaf on X . If $a_1, \dots, a_k \in \mathcal{F}(X)$ generate $\mathcal{F}|_x = \mathcal{F} \otimes \kappa(x)$, then there is an open subset $U \subset X$ such that $a_i|_U$ generate $\mathcal{F}(U)$.

Proof. To be completed. \square

Corollary 1.18. Let X be a scheme and \mathcal{F} a coherent sheaf on X . Then the function $x \mapsto \dim_{\kappa(x)} \mathcal{F}|_x$ is upper semicontinuous.

Proof. To be completed. \square

1.5 Nullstellensatz

Let \mathbf{k} be a field and \mathbb{k} be its algebraic closure.

Theorem 1.19 (Noether's Normalization Lemma). Let A be a \mathbf{k} -algebra of finite type. Then there is an injection $\mathbf{k}[T_1, \dots, T_d] \hookrightarrow A$ such that A is finite over $\mathbf{k}[T_1, \dots, T_d]$.

Remark 1.20. Here A does not need to be integral. For example,

Theorem 1.21 (Hilbert's Nullstellensatz). Let A be a \mathbf{k} -algebra of finite type.

- (a) If \mathfrak{m} is a maximal ideal of A , then A/\mathfrak{m} is a finite extension of \mathbf{k} .
- (b) Suppose that \mathbf{k} is algebraically closed and $A = \mathbf{k}[x_1, \dots, x_n]/\mathfrak{a}$. Then there is a bijection between the set of maximal ideals of A and the set $\{(a_1, \dots, a_n) \in \mathbf{k}^n : f(a_1, \dots, a_n) = 0, \forall f \in \mathfrak{a}\}$.

2 Associated prime ideals and Primary Decomposition

2.1 Associated prime ideals

Definition 2.1 (Associated prime ideals). Let A be a noetherian ring and M an A -module. The *associated prime ideals* of M are the prime ideals \mathfrak{p} of form $\text{Ann}(x)$ for some $x \in M$. The set of associated prime ideals of M is denoted by $\text{Ass}(M)$.

Example 2.2. Let $A = \mathbb{k}[x, y]/(xy)$ and $M = A$. First we see that $(x) = \text{Ann}y, (y) = \text{Ann}x \in \text{Ass } M$. Then we check other prime ideals. For (x, y) , if $xf = yf = 0$, then $f \in (x) \cap (y) = (0)$. If $(x - a) = \text{Ann}f$ for some f , note that $y \in (x - a)$ for $a \in \mathbb{k}^*$, then $f \in (x)$. Hence $f = 0$. Therefore $\text{Ass } M = \{(x), (y)\}$.

Example 2.3. Let $A = \mathbb{k}[x, y]/(x^2, xy)$ and $M = A$. The underlying space of $\text{Spec } A$ is the y -axis since $\sqrt{(x^2, xy)} = (x)$. First note that $(x) = \text{Ann}y, (x, y) = \text{Ann}x \in \text{Ass } M$. For $(x, y - a)$ with $a \in \mathbb{k}^*$, easily see that $xf = (y - a)f = 0$ implies $f = 0$ since $A = \mathbb{k} \cdot x \oplus \mathbb{k}[y]$ as \mathbb{k} -vector space. Hence $\text{Ass } M = \{(x), (x, y)\}$.

Lemma 2.4. Let A be a noetherian ring and M an A -module. Then the maximal element of the set

$$\{\text{Ann}x : x \in M_{\mathfrak{p}}, x \neq 0\}$$

belongs to $\text{Ass } M$.

Proof. We just need to show that such $\text{Ann}x$ is prime. Otherwise, there exist $a, b \in A$ such that $ab \in \text{Ann}x$ but $a, b \notin \text{Ann}x$. It follows that $\text{Ann}x \subsetneq \text{Ann}ax$ since $b \in \text{Ann}ax \setminus \text{Ann}x$. This contradicts the maximality of $\text{Ann}x$. \square

An element $a \in A$ is called a zero divisor for M if $M \rightarrow aM, m \mapsto am$ is not injective.

Corollary 2.5. Let A be a noetherian ring and M an A -module. Then

$$\{\text{zero divisors for } M\} = \bigcup_{\mathfrak{p} \in \text{Ass } M} \mathfrak{p}.$$

Lemma 2.6. Let A be a noetherian ring and M an A -module. Then $\mathfrak{p} \in \text{Ass}_A M$ iff $\mathfrak{p}A_{\mathfrak{p}} \in \text{Ass}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}$.

Proof. Suppose $\mathfrak{p}A_{\mathfrak{p}} \in \text{Ass}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}$. Let $\mathfrak{p}A_{\mathfrak{p}} = \text{Ann}y_0/c$ with $y_0 \in M$ and $c \in A \setminus \mathfrak{p}$. For $a \in \text{Ann}y_0$, $ay_0 = 0$. Then $a/1 \in \mathfrak{p}A_{\mathfrak{p}}$. It follows that $a \in \mathfrak{p}$. Hence $\text{Ann}y_0 \subset \mathfrak{p}$.

Inductively, if $\text{Ann}y_n \subsetneq \mathfrak{p}$, then there exists $b_n \in A \setminus \mathfrak{p}$ such that $y_{n+1} := b_n y_n$, $\text{Ann}y_{n+1} \subset \mathfrak{p}$ and $\text{Ann}y_n \subsetneq \text{Ann}y_{n+1}$. To see this, choose $a_n \in \mathfrak{p} \setminus \text{Ann}y_n$. Then $(a_n/1)y_n = 0$ since $a_n/1 \in \mathfrak{p}A_{\mathfrak{p}}$. By definition, there exist $b_n \in A \setminus \mathfrak{p}$ such that $a_n b_n y_n = 0$. This process must terminate since A is noetherian. Thus $\text{Ann}y_n = \mathfrak{p}$ for some n . Hence $\mathfrak{p} \in \text{Ass}_A M$.

Conversely, suppose $\mathfrak{p} = \text{Ann}x \in \text{Ass } M$. If $(a/s)(x/1) = 0 \in M_{\mathfrak{p}}$, there exist $t \in A \setminus \mathfrak{p}$ such that $tax = 0$. It follows that $ta \in \mathfrak{p}$ and then $(a/s) \in \mathfrak{p}A_{\mathfrak{p}}$. Hence $\mathfrak{p}A_{\mathfrak{p}} \in \text{Ass}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}$. \square

Proposition 2.7. We have $\text{Ass } M \subset \text{Supp } M$. Moreover, if $\mathfrak{p} \in \text{Supp } M$ satisfies $V(\mathfrak{p})$ is an irreducible component of $\text{Supp } M$, then $\mathfrak{p} \in \text{Ass } M$.

Proof. For any $\mathfrak{p} = \text{Ann } x \in \text{Ass } M$, we have $A/\mathfrak{p} \cong A \cdot x \subset M$. Tensoring with $A_{\mathfrak{p}}$ gives $A_{\mathfrak{p}}/\mathfrak{p}A_{\mathfrak{p}} \hookrightarrow M_{\mathfrak{p}}$ since $A_{\mathfrak{p}}$ is flat. Hence $M_{\mathfrak{p}} \neq 0$ and $\mathfrak{p} \in \text{Supp } M$.

Now suppose $\mathfrak{p} \in \text{Supp } M$ and $V(\mathfrak{p})$ is an irreducible component of $\text{Supp } M$. First we show that $\mathfrak{p} \in \text{Ass}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}$. Let $x \in M_{\mathfrak{p}}$ such that $\text{Ann } x$ is maximal in the set

$$\{\text{Ann } x : x \in M_{\mathfrak{p}}, x \neq 0\}.$$

Then we claim that $\text{Ann } x = \mathfrak{p}A_{\mathfrak{p}}$. First, $\text{Ann } x$ is prime by Lemma 2.4. If $\text{Ann } x \neq \mathfrak{p}$, then $V(\text{Ann } x) \supset V(\mathfrak{p})$. This implies that $\text{Ann } x \notin \text{Supp } M_{\mathfrak{p}}$ since $\text{Supp } M_{\mathfrak{p}} = \text{Supp } M \cap \text{Spec } A_{\mathfrak{p}}$. This is a contradiction. Thus $\mathfrak{p}A_{\mathfrak{p}} \in \text{Ass}_{A_{\mathfrak{p}}} M_{\mathfrak{p}}$. By Lemma 2.6, we have $\mathfrak{p} \in \text{Ass } M$. \square

Remark 2.8. The existence of irreducible component is guaranteed by Zorn's Lemma.

Definition 2.9. A prime ideal $\mathfrak{p} \in \text{Ass } M$ is called *embedded* if $V(\mathfrak{p})$ is not an irreducible component of $\text{Supp } M$.

Example 2.10. For $M = A = \mathbb{k}[x, y]/(x^2, xy)$, the origin (x, y) is an embedded point.

Proposition 2.11. If we have exact sequence $0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3$, then $\text{Ass } M_2 \subset \text{Ass } M_1 \cup \text{Ass } M_3$.

Proof. Let $\mathfrak{p} = \text{Ann } x \in \text{Ass } M_2 \setminus \text{Ass } M_1$. Then the image $[x]$ of x in M_3 is not equal to 0. We have that $\text{Ann } x \subset \text{Ann}[x]$. If $a \in \text{Ann}[x] \setminus \text{Ann } x$, then $ax \in M_1$. Since $\text{Ann } x \subsetneq \text{Ann } ax$, there is $b \in \text{Ann } ax \setminus \text{Ann } x$. However, it implies $ba \in \text{Ann } x$, and then $a \in \text{Ann } x$ since $\text{Ann } x$ is prime, which is a contradiction. \square

Corollary 2.12. If M is finitely generated, then the set $\text{Ass } M$ is finite.

Proof. For $\mathfrak{p} = \text{Ann } x \in \text{Ass } M$, we know that the submodule M_1 generated by x is isomorphic to A/\mathfrak{p} . Inductively, we can choose M_n be the preimage of a submodule of M/M_{n-1} which is isomorphic to A/\mathfrak{q} for some $\mathfrak{q} \in \text{Ass } M/M_{n-1}$. We can take an ascending sequence $0 = M_0 \subset M_1 \subset \dots \subset M_n \subset \dots$ such that $M_i/M_{i-1} \cong A/\mathfrak{p}_i$ for some prime \mathfrak{p}_i . Since M is finitely generated, this is a finite sequence. Then the conclusion follows by Proposition 2.11. \square

2.2 Primary decomposition

Definition 2.13. An A -module is called *co-primary* if $\text{Ass } M$ has a single element. Let M be an A -module and $N \subset M$ a submodule. Then N is called *primary* if M/N is co-primary. If $\text{Ass } M/N = \{\mathfrak{p}\}$, then N is called \mathfrak{p} -primary.

Remark 2.14. This definition coincide with primary ideals in the case $M = A$. Recall an ideal $\mathfrak{q} \subset A$ is called *primary* if $\forall ab \in \mathfrak{p}, a \notin \mathfrak{q}$ implies $b^n \in \mathfrak{q}$ for some n .

Let \mathfrak{q} be a \mathfrak{q} -primary ideal. Since $\text{Supp } A/\mathfrak{q} = \{\mathfrak{p}\}$, $\mathfrak{p} \in \text{Ass } A/\mathfrak{q}$. Suppose $\text{Ann}[a] \in \text{Ass } A/\mathfrak{q}$. Then $\mathfrak{p} \subset \text{Ann}[a]$ since $V(\mathfrak{p}) = \text{Supp } A/\mathfrak{q}$. If $b \in \text{Ann}[a]$, then $ab \in \mathfrak{q}$ and $a \notin \mathfrak{q}$. Hence $b^n \in \mathfrak{q}$, and then $b \in \mathfrak{p}$. This shows that $\text{Ass } A/\mathfrak{q} = \{\mathfrak{p}\}$ and \mathfrak{q} is \mathfrak{p} -primary as an A -submodule.

Let $\mathfrak{q} \subset A$ be a \mathfrak{p} -primary A -submodule. First we have $\mathfrak{p} = \sqrt{\mathfrak{q}}$ since $V(\mathfrak{p})$ is the unique irreducible component of $\text{Supp } A/\mathfrak{q}$. Suppose $ab \in \mathfrak{q}$ and $a \notin \mathfrak{q}$. Then $b \in \text{Ann}[a] \subset \mathfrak{p}$ since \mathfrak{p} is the unique maximal element in $\{\text{Ann}[c] : c \in A \setminus \mathfrak{q}\}$. This implies that $b^n \in \mathfrak{q}$.

Definition 2.15. Let A be a noetherian ring, M an A -module and $N \subset M$ a submodule. A *minimal primary decomposition* of N in M is a finite set of primary submodules $\{Q_i\}_{i=1}^n$ such that

$$N = \bigcap_{i=1}^n Q_i,$$

no Q_i can be omitted and $\text{Ass } M/Q_i$ are pairwise distinct. For $\text{Ass } M/Q_i = \{\mathfrak{p}\}$, Q_i is called belonging to \mathfrak{p} .

Indeed, if $N \subset M$ admits a minimal primary decomposition $N = \bigcap Q_i$ with Q_i belonging to \mathfrak{p} , then $\text{Ass}(M/N) = \{\mathfrak{p}_i\}$. For given i , consider $N_i := \bigcap_{j \neq i} Q_j$, then $N_i/N \cong (N_i + Q_i)/Q_i$. Since $N_i \neq N$, $\text{Ass } N_i/N \neq \emptyset$. On the other hand, $\text{Ass } N_i/N \subset \text{Ass } M/Q_i = \{\mathfrak{p}\}$. It follows that $\text{Ass } N_i/N = \{\mathfrak{p}_i\}$, whence $\mathfrak{p}_i \in \text{Ass } M/N$. Conversely, we have an injection $M/N \hookrightarrow \bigoplus M/Q_i$, so $\text{Ass } M/N \subset \bigcup \text{Ass } M/Q_i$. Due to this, if Q_i belongs to \mathfrak{p} , we also say that Q_i is the \mathfrak{p} -component of N .

Proposition 2.16. Suppose $N \subset M$ has a minimal primary decomposition. If $\mathfrak{p} \in \text{Ass } M/N$ is not embedded, then the \mathfrak{p} component of N is unique. Explicitly, we have $Q = \nu^{-1}(N_{\mathfrak{p}})$, where $\nu : M \rightarrow M_{\mathfrak{p}}$.

Proof. First we show that $Q = \nu^{-1}(Q_{\mathfrak{p}})$. Clearly $Q \subset \nu^{-1}(Q_{\mathfrak{p}})$. Suppose $x \in \nu^{-1}(Q_{\mathfrak{p}})$. Then there exists $s \in A \setminus \mathfrak{p}$ such that $sx \in Q$. That is, $[sx] = 0 \in M/Q$. If $[x] \neq 0$, we have $s \in \text{Ann}[x] \subset \mathfrak{p}$. This contradiction enforces $Q = \nu^{-1}(Q_{\mathfrak{p}})$.

Then we show that $N_{\mathfrak{p}} = Q_{\mathfrak{p}}$. Just need to show that for $\mathfrak{p}' \neq \mathfrak{p}$ and the \mathfrak{p}' component Q' of N , $Q' = M_{\mathfrak{p}}$. Since \mathfrak{p} is not embedded, $\mathfrak{p}' \not\subset \mathfrak{p}$. Then $\mathfrak{p} \notin V(\mathfrak{p}') = \text{Supp } M/Q'$. So $M_{\mathfrak{p}}/Q' = 0$. \square

Example 2.17. If \mathfrak{p} is embedded, then its components may not be unique. For example, let $M = A = \mathbb{k}[x, y]/(x^2, xy)$. Then for every $n \in \mathbb{Z}_{\geq 1}$, $(x) \cap (x^2, xy, y^n)$ is a minimal primary decomposition of $(0) \subset M$.

Let A be a noetherian ring and $\mathfrak{p} \subset A$ a prime ideal. We consider the \mathfrak{p} component of \mathfrak{p}^n , which is called n -th symbolic power of \mathfrak{p} , denoted by $\mathfrak{p}^{(n)}$. We have $\mathfrak{p}^{(n)} = \mathfrak{p}^n A_{\mathfrak{p}} \cap A$. In general, $\mathfrak{p}^{(n)}$ is not equal to \mathfrak{p}^n ; see below example.

Example 2.18. Let $A = \mathbb{k}[x, y, z, w]/(y^2 - zx^2, yz - xw)$ and $\mathfrak{p} = (y, z, w)$. We have $z = y^2/x^2, w = yz/x \in \mathfrak{p}^2 A_{\mathfrak{p}}$, whence $\mathfrak{p}^2 A_{\mathfrak{p}} = (z, w) \neq \mathfrak{p}^2$.

Theorem 2.19. Let A be a noetherian ring and M an A -module. Then for every $\mathfrak{p} \in \text{Ass } M$, there is a \mathfrak{p} -primary submodule $Q(\mathfrak{p})$ such that

$$(0) = \bigcap_{\mathfrak{p} \in \text{Ass } M} Q(\mathfrak{p}).$$

Proof. Consider the set

$$\mathcal{N} := \{N \subset M : \mathfrak{p} \notin \text{Ass } N\}.$$

Note that $\text{Ass } \bigcup N_i = \bigcup \text{Ass } N_i$ by definition of associated prime ideals. Then it is easy to check that \mathcal{N} satisfies the conditions of Zorn's Lemma. Hence \mathcal{N} has a maximal element $Q(\mathfrak{p})$. We claim that $Q(\mathfrak{p})$ is \mathfrak{p} -primary. If there is $\mathfrak{p}' \neq \mathfrak{p} \in \text{Ass } M/Q(\mathfrak{p})$, then there is a submodule $N' \cong A/\mathfrak{p}$. Let N'' be the preimage of N' in M . We have $Q(\mathfrak{p}) \subsetneq N''$ and $N'' \in \mathcal{N}$. This is a contradiction. By the fact $\text{Ass } \bigcap N_i = \bigcap \text{Ass } N_i$, we get the conclusion. \square

Corollary 2.20. Let A be a noetherian ring and M a finite A -module. Then every submodule of M has a minimal primary decomposition.

3 Rings of Lower Dimension



Definition 3.1. Let A be a noetherian ring. The *height of a prime ideal* \mathfrak{p} in A is defined as the maximum length of chains of prime ideals contained in \mathfrak{p} , that is,

$$\text{ht}(\mathfrak{p}) := \sup\{n \mid \exists \text{ a chain of prime ideals } \mathfrak{p}_0 \subsetneq \mathfrak{p}_1 \subsetneq \cdots \subsetneq \mathfrak{p}_n = \mathfrak{p}\}.$$

The *Krull dimension* of A is defined as

$$\dim A := \max_{\mathfrak{p} \in \text{Spec } A} \text{ht}(\mathfrak{p}).$$

Example 3.2. Let A be a PID. For every two non-zero prime ideals \mathfrak{p}_1 and \mathfrak{p}_2 , if $\mathfrak{p}_1 = t_1 A \subset \mathfrak{p}_2 = t_2 A$, then $t_2 \mid t_1$ and hence $\mathfrak{p}_1 = \mathfrak{p}_2$. It follows that $\dim A = 1$. Consequently, the ring of integers \mathbb{Z} and the polynomial ring $\mathbf{k}[T]$ in one variable over a field have Krull dimension 1.

3.1 Artinian Rings and Length of Modules

Definition 3.3. Let A be a ring and M an A module. A *simple module filtration* of M is a filtration

$$M = M_0 \supsetneq M_1 \supsetneq \cdots \supsetneq M_n = 0$$

such that M_i/M_{i-1} is a simple module, i.e. it has no submodule except 0 and itself. If M has a simple module filtration as above, we define the *length* of M as n and say that M has *finite length*.

The following proposition guarantees the length is well-defined.

Proposition 3.4. Suppose M has a simple module filtration $M = M_{0,0} \supsetneq M_{1,0} \supsetneq \cdots \supsetneq M_{n,0} = 0$. Then for any other filtration $M = M_{0,0} \supset M_{0,1} \supset \cdots \supset M_{0,m} = 0$ with $m > n$, there exist $k < m$ such that $M_{0,k} = M_{0,k+1}$.

Proof. We claim that there are at least $0 \leq k_1 < \cdots < k_{m-n} < m$ satisfies that $M_{0,k_i} = M_{0,k_{i+1}}$. Let $M_{i,j} := M_{i,0} \cap M_{0,j}$. Inductively on n , we can assume that there exist k_1, \dots, k_{n-m+1} such that $M_{1,k} = M_{1,k+1}$. Consider the sequence

$$M_{0,0}/M_{1,0} \supset (M_{0,1} + M_{1,0})/M_{1,0} \supset \cdots \supset (M_{0,m} + M_{1,0})/M_{1,0} = 0$$

in $M_{0,0}/M_{1,0}$. Since $M_{0,0}/M_{1,0}$ is simple, there is at most one k_i with $M_{0,k_i} + M_{1,0} \neq M_{0,k_{i+1}} + M_{1,0}$.

And note that if $M_{0,k_i} + M_{1,0} = M_{0,k_i+1} + M_{1,0}$ and $M_{0,k_i} \cap M_{1,0} = M_{0,k_i} \cap M_{1,0}$, then $M_{0,k_i} = M_{0,k_i+1}$ by the Five Lemma. \square

Example 3.5. Let A be a ring and $\mathfrak{m} \in \text{mSpec } A$. Then A/\mathfrak{m} is a simple module. **To be completed.**

Proposition 3.6. Let A be a ring and M an A -module. Then M is of finite length iff it satisfies both a.c.c and d.c.c.

Proof. Note that if M has either a strictly ascending chain or a strictly descending chain, M is of infinite length. Conversely, d.c.c guarantee M has a simple submodule and a.c.c guarantee the sequence terminates. \square

Proposition 3.7. The length $l(-)$ is an additive function for modules of finite length. That is, if we have an exact sequence $0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3 \rightarrow 0$ with M_i of finite length, then $l(M_2) = l(M_1) + l(M_3)$.

Proof. The simple module filtrations of M_1 and M_3 will give a simple module filtration of M_2 . \square

Proposition 3.8. Let (A, \mathfrak{m}) be a local ring. Then A is artinian iff $\mathfrak{m}^n = 0$ for some $n \geq 0$.

Proof. Suppose A is artinian. Then the sequence $\mathfrak{m} \supset \mathfrak{m}^2 \supset \mathfrak{m}^3 \supset \dots$ is stable. It follows that $\mathfrak{m}^n = \mathfrak{m}^{n+1}$ for some n . By the Nakayama's Lemma 1.14, $\mathfrak{m}^n = 0$.

Conversely, we have

$$\mathfrak{m} \subset \mathfrak{N} \subset \bigcap_{\text{minimal prime ideal}} \mathfrak{p},$$

whence \mathfrak{m} is minimal. \square

Proposition 3.9. Let A be a ring. Then A is artinian iff A is of finite length.

Proof. First we show that A has only finite maximal ideal. Otherwise, consider the set $\{\mathfrak{m}_1 \cap \mathfrak{m}_2 \cap \dots \cap \mathfrak{m}_k\}$. It has a minimal element $\mathfrak{m}_1 \cap \dots \cap \mathfrak{m}_n$ and for any maximal ideal \mathfrak{m} , $\mathfrak{m}_1 \cap \dots \cap \mathfrak{m}_n \subset \mathfrak{m}$. It follows that $\mathfrak{m} = \mathfrak{m}_i$ for some i . Let $\mathfrak{M} = \mathfrak{m}_1 \cap \dots \cap \mathfrak{m}_n$ be the Jacobi radical of A . Consider the sequence $\mathfrak{M} \supset \mathfrak{M}^2 \supset \dots$ and by Nakayama's Lemma, we have $\mathfrak{M}^k = 0$ for some k . Consider the filtration

$$A \supset \mathfrak{m}_1 \supset \dots \supset \mathfrak{m}_1^k \supset \mathfrak{m}_1^k \mathfrak{m}_2 \supset \dots \supset \mathfrak{m}_1^k \dots \mathfrak{m}_n^k = (0).$$

We have $\mathfrak{m}_1^k \dots \mathfrak{m}_i^j / \mathfrak{m}_1^k \dots \mathfrak{m}_i^{j+1}$ is an A/\mathfrak{m}_i -vector space. It is artinian and then of finite length. Hence A is of finite length. \square

Theorem 3.10. Let A be a ring. Then A is artinian iff A is noetherian and of dimension 0.

Proof. Suppose A is artinian. Then A is noetherian by Proposition 3.9. Let $\mathfrak{p} \in \text{Spec } A$. Then A/\mathfrak{p} is an artinian integral domain. If there is $a \in A/\mathfrak{p}$ is not invertible, consider $(a) \supset (a^2) \supset \dots$, we see $a = 0$. Hence \mathfrak{p} is maximal and $\dim A = 0$.

Suppose that A is noetherian and of dimension 0. Then every maximal ideal is minimal. In particular, A has only finite maximal ideal $\mathfrak{p}_1, \dots, \mathfrak{p}_n$. Let \mathfrak{q}_i be the \mathfrak{p}_i -component of (0) . Then we have $A \hookrightarrow \bigoplus_i A/\mathfrak{q}_i$. We just need to show that A/\mathfrak{q}_i is of finite length as A -module. If $\mathfrak{q}_i \subset \mathfrak{p}_j$, take radical we get $\mathfrak{p}_i \subset \mathfrak{q}_j$ and hence $i = j$. So A/\mathfrak{q}_i is a local ring with maximal ideal $\mathfrak{p}_i A/\mathfrak{q}_i$. Then every element in $\mathfrak{p}_i A/\mathfrak{q}_i$ is nilpotent. Since \mathfrak{p}_i is finitely generated, $(\mathfrak{p}_i A/\mathfrak{q}_i)^k = 0$ for some k . Then A/\mathfrak{q}_i is artinian and then of finite length as A/\mathfrak{q}_i -module. Then the conclusion follows. \square

3.2 DVR and Dedekind Domain

Definition 3.11. A *valuation* on a field K is a function $\nu : K^\times \rightarrow \Gamma$, where Γ is a totally ordered abelian group, such that for all $x, y \in K^\times$:

- (i) $\nu(xy) = \nu(x) + \nu(y)$.
- (ii) $\nu(x+y) \geq \min(\nu(x), \nu(y))$ if $x+y \neq 0$.

We extend ν to K by setting $\nu(0) = +\infty$, where $+\infty$ is an element greater than all elements of Γ . If Γ is discrete with respect to the order topology, we say that ν is a *discrete valuation*.

Example 3.12. (a) Let $\mathbf{K} = \mathbb{Q}$ and p be a prime number. Let $\nu : \mathbb{Q}^\times \rightarrow \mathbb{Z}$ be defined by $\nu(a/b) = n$ if $a/b = p^n(c/d)$ with c, d coprime to p . Then ν is a discrete valuation on \mathbb{Q} .

(b) Let $\mathbf{K} = \mathbf{k}(T)$ be the field of rational functions over a field \mathbf{k} . For $f = x^n g \in \mathbf{k}(t)$ with $g(0) \in \mathbf{k}^\times$, let $\nu(f) = n$.

(c) Let $\mathbf{K} = \mathbb{C}_p$ the p -adic complex numbers. For $x \in \mathbb{C}_p^\times$, let $\nu(x) = -\log_p |x|_p$. Then ν is a valuation on \mathbb{C}_p which is not discrete.

Definition 3.13 (Discrete Valuation Ring). Let V be a domain with field of fractions \mathbf{K} . We say that V is a *discrete valuation ring (DVR)* if there exists a discrete valuation ν on \mathbf{K} such that $V = \{x \in \mathbf{K} \mid \nu(x) \geq 0\}$.

To be completed

4 Dimension and Depth

There are three numbers measuring the “size” of a local ring (A, \mathfrak{m}) :

- $\dim A$: the Krull dimension of A .
- $\operatorname{depth} A$: the depth of A .
- $\dim_{\kappa(\mathfrak{m})} T_{A,\mathfrak{m}}$: the dimension of Zariski tangent space $T_{A,\mathfrak{m}} := (\mathfrak{m}/\mathfrak{m}^2)^\vee$ as a $\kappa(\mathfrak{m})$ -vector space.

Somehow the Krull dimension is “homological” and the depth is “cohomological”.

Definition 4.1. Let A be a noetherian ring, $I \subset A$ an ideal and M a finitely generated A -module. A sequence $t_1, \dots, t_n \in I$ is called an *M -regular sequence in I* if t_i is not a zero divisor on $M/(t_1, \dots, t_{i-1})M$ for all i .

Example 4.2. Let $A = \mathbf{k}[x, y]/(x^2, xy)$ and $I = (x, y)$. Then $\operatorname{depth}_I A = 0$.

Definition 4.3. Let A be a noetherian ring. For every $\mathfrak{p} \in \operatorname{Spec} A$, $\mathfrak{p}/\mathfrak{p}^2$ is a vector space over $\kappa(\mathfrak{p})$. The *Zariski’s tangent space* $T_{A,\mathfrak{p}}$ of A at \mathfrak{p} is defined as $(\mathfrak{p}/\mathfrak{p}^2)^\vee$, the dual $\kappa(\mathfrak{p})$ -vector space of $\mathfrak{p}/\mathfrak{p}^2$.

4.1 Krull's Principal Ideal Theorem

Theorem 4.4 (Krull's Principal Ideal Theorem). Let A be a noetherian ring. Suppose $f \in A$ is not a unit. Let \mathfrak{p} be a minimal prime ideal among those containing f . Then $\text{ht}(\mathfrak{p}) \leq 1$.

Proof. By replacing A by $A_{\mathfrak{p}}$, we may assume A is local with maximal ideal \mathfrak{p} . Note that $A/(f)$ is artinian since it has only one prime ideal $\mathfrak{p}/(f)$.

Let $\mathfrak{q} \subsetneq \mathfrak{p}$. Consider the sequence $\mathfrak{q}^{(1)} \supset \mathfrak{q}^{(2)} \supset \dots$, its image in $A/(f)$ is stationary. Then there exists $n \in \mathbb{Z}_{\geq 0}$ such that $\mathfrak{q}^{(n)} + (f) = \mathfrak{q}^{(n+1)} + (f)$. For $x \in \mathfrak{q}^{(n)}$, we may write $x = y + af$ for $y \in \mathfrak{q}^{(n+1)}$. Then $af \in \mathfrak{q}^{(n)}$. Since $\mathfrak{q}^{(n)}$ is \mathfrak{q} -primary and $f \notin \mathfrak{q}$, $a \in \mathfrak{q}^{(n)}$. Then we get $\mathfrak{q}^{(n)} = \mathfrak{q}^{(n+1)} + f\mathfrak{q}^{(n)}$. That is, $\mathfrak{q}^{(n)}/\mathfrak{q}^{(n+1)} = f\mathfrak{q}^{(n)}/\mathfrak{q}^{(n+1)}$. Note that $f \in \mathfrak{p}$, by Nakayama's Lemma, $\mathfrak{q}^{(n)} = \mathfrak{q}^{(n+1)}$. That is, $\mathfrak{q}^n A_{\mathfrak{q}} = \mathfrak{q}^{n+1} A_{\mathfrak{q}}$. By Nakayama's Lemma again, $\mathfrak{q}^n A_{\mathfrak{q}} = 0$. It follows that $\mathfrak{q} A_{\mathfrak{q}}$ is minimal, whence $A_{\mathfrak{q}}$ is artinian. Therefore, \mathfrak{q} is minimal in A . \square

Corollary 4.5. Let A be a noetherian local ring. Suppose $f \in A$ is not a unit. Then $\dim A/(f) \geq \dim A - 1$. If f is not contained in a minimal prime ideal, the equality holds.

Proof. Let $\mathfrak{p}_0 \subsetneq \dots \subsetneq \mathfrak{p}_n$ be a sequence of prime ideals. By assumption, $f \in \mathfrak{p}_n$. If $f \in \mathfrak{p}_0$, we get a sequence of prime ideals in $A/(f)$ of length n . Now we suppose $f \notin \mathfrak{p}_0$. Then there exists $k \geq 0$ such that $f \in \mathfrak{p}_{k+1} \setminus \mathfrak{p}_k$.

Choose \mathfrak{q} be a minimal prime ideal among those containing (\mathfrak{p}_{k-1}, f) and contained in \mathfrak{p}_{k+1} . Then by Krull's Principal Ideal Theorem 4.4, $\mathfrak{q}_k \subsetneq \mathfrak{p}_{k+1}$. Replace \mathfrak{p}_k by \mathfrak{q}_k , we have $f \in \mathfrak{q}_k \setminus \mathfrak{p}_{k-1}$.

Repeat this process, we get a sequence $\mathfrak{p}'_0 \subsetneq \dots \subsetneq \mathfrak{p}'_n$ such that $f \in \mathfrak{p}'_1$. This gives a sequence $\mathfrak{p}'_1 \subsetneq \dots \subsetneq \mathfrak{p}'_n$ in $A/(f)$. Hence we get $\dim A/(f) \geq \dim A - 1$.

Since f is not contained in minimal prime ideal, preimage of a minimal prime ideal in $A/(f)$ has height 1. Hence a sequence of prime ideals in A/fA can be extended by a minimal prime ideal in A . It follows that $\dim A/(f) + 1 \leq \dim A$. \square

Proposition 4.6. Let (A, \mathfrak{m}) be a local noetherian ring with residue field \mathbf{k} . Then the following inequalities hold:

$$\text{depth } A \leq \dim A \leq \dim_{\mathbf{k}} T_{A, \mathfrak{m}}.$$

Proof. The first inequality is a direct corollary of Corollary 4.5.

Let t_1, \dots, t_n be a $\kappa(\mathfrak{m})$ -basis of $\mathfrak{m}/\mathfrak{m}^2$. Then we have $\mathfrak{m}/(t_1, \dots, t_n) + \mathfrak{m}^2 = 0$, whence $\mathfrak{m}/(t_1, \dots, t_n) = \mathfrak{m}(\mathfrak{m}/(t_1, \dots, t_n))$. It follows that $\mathfrak{m} = (t_1, \dots, t_n)$ by Nakayama's Lemma. By Corollary 4.5,

$$n + \dim A/(t_1, \dots, t_n) \geq n - 1 + \dim A/(t_1, \dots, t_{n-1}) \geq \dots \geq 1 + \dim A/(t_1) \geq \dim A.$$

We conclude the result. \square

Definition 4.7. Let X be a locally noetherian scheme and $k \in \mathbb{Z}_{\geq 0}$. We say that X verifies property (R_k) or is regular in codimension k if $\forall \xi \in X$ with $\text{codim } Z_{\xi} \leq k$,

$$\dim_{\kappa(\xi)} T_{X, \xi} = \dim \mathcal{O}_{X, \xi}.$$

We say that X verifies property (S_k) if $\forall \xi \in X$ with $\text{depth } \mathcal{O}_{X,\xi} < k$,

$$\text{depth } \mathcal{O}_{X,\xi} = \dim \mathcal{O}_{X,\xi}.$$

Example 4.8. Let A be a noetherian ring. Then A verifies (S_1) iff A has no embedded point.

Suppose A verifies (S_1) . If $\mathfrak{p} \in \text{Ass } A$, every element in \mathfrak{p} is a zero divisor. Then $\text{depth } A_{\mathfrak{p}} = 0$. It follows that $\dim A_{\mathfrak{p}} = 0$ and then \mathfrak{p} is minimal.

Suppose A has no embedded point. Let $\mathfrak{p} \in \text{Spec } A$ with $\text{depth } A_{\mathfrak{p}} = 0$. This means every element in $\mathfrak{p}A_{\mathfrak{p}}$ is a zero divisor. Then

$$\mathfrak{p} \subset \{\text{zero divisors in } A\} = \bigcup_{\text{minimal prime ideals}} \mathfrak{q}.$$

By Proposition 1.2, $\mathfrak{p} = \mathfrak{q}$ for some minimal \mathfrak{q} , whence $\dim A_{\mathfrak{p}} = 0$.

Example 4.9. Let A be a noetherian ring. Then A is reduced iff it verifies (R_0) and (S_1) .

Suppose A is reduced. Let $\mathfrak{p}_1, \dots, \mathfrak{p}_n$ be all minimal prime ideals of A . We have $\bigcap \mathfrak{p}_i = \mathfrak{N} = (0)$, where \mathfrak{N} is the nilradical of A . Hence A has no embedded point. Since $A_{\mathfrak{p}}$ is artinian, local and reduced, $A_{\mathfrak{p}}$ is a field and hence regular.

Conversely, let $\text{Ass } A$ be equal to $\{\mathfrak{p}_1, \dots, \mathfrak{p}_n\}$. Then every \mathfrak{p}_i is minimal by (S_1) . Let f be in \mathfrak{N} . Then the image of f in $A_{\mathfrak{p}_i}$ is 0 since by (R_0) , $A_{\mathfrak{p}_i}$ is a field. It follows that $f \in \mathfrak{q}_i$, where \mathfrak{q}_i is the \mathfrak{p}_i component of (0) in A . Hence $f \in \bigcap \mathfrak{q}_i = (0)$. That is, A is reduced.

4.2 Cohen-Macaulay rings

Definition 4.10 (Cohen-Macaulay). A noetherian local ring (A, \mathfrak{m}) is called *Cohen-Macaulay* if $\dim A = \text{depth } A$. A noetherian ring A is called *Cohen-Macaulay* if for every prime ideal $\mathfrak{p} \in \text{Spec } A$, the localization $A_{\mathfrak{p}}$ is Cohen-Macaulay. This is equivalent to that A verifies (S_k) for all $k \geq 0$.

Definition 4.11. Let (A, \mathfrak{m}) be a noetherian local ring of dimension d . A sequence $t_1, \dots, t_d \in \mathfrak{m}$ is called a *system of parameters* if To be completed.

Example 4.12 (Non Cohen-Macaulay rings). To be completed.

Corollary 4.13. Let A be a noetherian ring, M a finite A -module and $a \in A$ an M -regular element. Then $\text{depth } M = \text{depth } M/aM + 1$.

Corollary 4.14. Let A be a noetherian ring $a \in A$ a nonzero divisor. Then A verifies (S_d) iff A/aA verifies (S_{d-1}) .

Definition 4.15. An ideal I of a noetherian ring A is called *unmixed* if

$$\text{ht}(I) = \text{ht}(\mathfrak{p}), \quad \forall \mathfrak{p} \in \text{Ass}(A/I).$$

Here $\text{ht}(I)$ is defined as

$$\text{ht}(I) := \inf\{\text{ht}(\mathfrak{p}) : I \subset \mathfrak{p}\}.$$

We say that *the unmixedness theorem holds for a noetherian ring A* if any ideal $I \subset A$ generated

by $\text{ht}(I)$ elements is unmixed. We say that *the unmixedness theorem holds for a locally noetherian scheme X* if $\mathcal{O}_{X,\xi}$ is unmixed for any point $\xi \in X$.

Proposition 4.16. Let X be a locally noetherian scheme. Then the unmixedness theorem holds for X if and only if X is Cohen-Macaulay.

Proof. We can assume that $X = \text{Spec } A$ is affine.

Suppose X is Cohen-Macaulay. Let $I \subset A$ be an ideal generated by a_1, \dots, a_r with $r = \text{ht}(I)$. We claim that a_1, \dots, a_r is an A -regular sequence. If so, we get that the unmixedness theorem holds for A by applying Example 4.8 on A/I . Since $\text{ht}(a_1, \dots, a_{r-1}) \leq r-1$ by Krull's Principal Ideal Theorem 4.4 and $\text{ht}(a_1, \dots, a_r) = r \leq \text{ht}(a_1, \dots, a_{r-1}) + 1$, we have $\text{ht}(a_1, \dots, a_{r-1}) = r-1$. By induction on r , we can assume that a_1, \dots, a_{r-1} is an A -regular sequence. Hence any prime ideal $\mathfrak{p} \in \text{Ass } A/(a_1, \dots, a_{r-1})$ has height $r-1$. Now suppose a_r is a zero divisor in $A/(a_1, \dots, a_{r-1})$. Then there exists a prime ideal $\mathfrak{p} \in \text{Ass } A/(a_1, \dots, a_{r-1})$ such that $a_r \in \mathfrak{p}$. Then $I \subset \mathfrak{p}$ and $\text{ht}(I) \leq r-1$. This contradicts that $\text{ht}(I) = r$.

Suppose the unmixedness theorem holds for A . Let $\mathfrak{p} \in \text{Spec } A$ be a prime ideal with $\text{ht}(\mathfrak{p}) = r$. Then $\mathfrak{p} \in \text{Ass } A$ if and only if $\text{ht}(\mathfrak{p}) = 0$. If $r > 0$, there is a nonzero divisor $a \in \mathfrak{p}$. By Krull's Principal Ideal Theorem 4.4, $\text{ht}(\mathfrak{p}A/aA) = r-1$. Inductively, we can find a regular sequence a_1, \dots, a_r in \mathfrak{p} . Then $\text{depth } A_{\mathfrak{p}} = r$. \square

Theorem 4.17. Let A be a noetherian ring of dimension d . The following are equivalent: To be completed.

Proof. To be completed. \square

4.3 Regular rings

Definition 4.18. A noetherian ring A is said to be *regular at $\mathfrak{p} \in \text{Spec } A$* if we have

$$\dim_{\kappa(\mathfrak{p})} T_{A,\mathfrak{p}} = \dim A_{\mathfrak{p}},$$

where $\dim A_{\mathfrak{p}}$ is the Krull dimension of the local ring $A_{\mathfrak{p}}$.

A noetherian ring A is said to be *regular* if it is regular at every prime ideal $\mathfrak{p} \in \text{Spec } A$. This is equivalent to the condition that A verifies (R_k) for all $k \geq 0$.

Remark 4.19. A noetherian ring A is regular if and only if it is regular at every maximal ideal $\mathfrak{m} \in \text{mSpec } A$. The proof uses homological tools; see Theorem ?? and Corollary ??.

Definition 4.20. Let A be a noetherian ring that is regular at $\mathfrak{p} \in \text{Spec } A$. A sequence $t_1, \dots, t_n \in \mathfrak{p}$ is called a *regular system of parameters* at \mathfrak{p} if their images form a basis of the $\kappa(\mathfrak{p})$ -vector space $\mathfrak{p}/\mathfrak{p}^2$.

Proposition 4.21. Let (A, \mathfrak{m}) be a noetherian local ring that is regular at \mathfrak{m} . Let t_1, \dots, t_n be a regular system of parameters at \mathfrak{m} , $\mathfrak{p}_i = (t_1, \dots, t_i)$ and $\mathfrak{p}_0 = (0)$. Then \mathfrak{p}_i is a prime ideal of height i , and A/\mathfrak{p}_i is a regular local ring for all i . In particular, regular local ring is integral, and the regular

system of parameters t_1, \dots, t_n is a regular sequence in A .

Proof. By the Krull's Principal Ideal Theorem 4.4, we have

$$n - 1 = \dim A - 1 \leq \dim A/(t_1) \leq \dim_{\kappa(\mathfrak{m}/(t_1))} T_{A/(t_1), \mathfrak{m}/(t_1)} \leq n - 1.$$

Hence $\dim A/(t_1) = n - 1$ and $\text{ht}(t_1) = 1$. Since t_2, \dots, t_n generate $\mathfrak{m}/(t_1)$, we have that $A/(t_1)$ is regular at $\mathfrak{m}/(t_1)$ and the images of t_2, \dots, t_n form a regular system of parameters.

For integrality, we induct on the dimension of A . If $\dim A = 0$, then A is a field and hence integral. Suppose $\dim A > 0$, let \mathfrak{q} be a minimal prime ideal of A . Then $t_1 \notin \mathfrak{q}$. We have

$$n - 1 = \dim A - 1 \leq \dim A/(\mathfrak{q} + t_1 A) \leq \dim_{\kappa(\mathfrak{q}/(t_1))} T_{A/(\mathfrak{q} + t_1 A), \mathfrak{q}/(t_1)} \leq n - 1.$$

By similar arguments, we have $A/(\mathfrak{q} + t_1 A)$ is regular at $\mathfrak{m}/(\mathfrak{q} + t_1 A)$. By induction hypothesis, both of $A/t_1 A$ and $A/(\mathfrak{q} + t_1 A)$ are integral and of dimension $n - 1$. Hence $t_1 A = t_1 A + \mathfrak{q}$, i.e. $\mathfrak{q} \subset t_1 A$. For every $a = bt_1 \in \mathfrak{q}$, we have $b \in \mathfrak{q}$ since $t_1 \notin \mathfrak{q}$. Then $\mathfrak{q} \subset t_1 \mathfrak{q} \subset \mathfrak{m}\mathfrak{q}$. By Nakayama's Lemma, $\mathfrak{q} = 0$, whence A is integral. \square

Corollary 4.22. A regular noetherian ring is Cohen-Macaulay.

Corollary 4.23. A regular noetherian ring is normal.

Remark 4.24. Indeed we can show a stronger result: a noetherian regular local ring is a UFD; see [ref](#).

5 Finite Algebra and Normality

Let R be a ring and A be an R -algebra. We say that A is *of finite type* over R if there exists a surjective R -algebra homomorphism $R[T_1, \dots, T_n] \rightarrow A$ for some $n \geq 0$. We say that A is finite over R if it is finite as an R -module.

5.1 Finite algebra

Let A be a ring and B a finite A -algebra.

Example 5.1. Let K be a number field. Then \mathcal{O}_K is a finite \mathbb{Z} -algebra. [To be completed.](#)

Lemma 5.2. Let $A \subset B$ be noetherian rings such that B is finite over A . Then the induced morphism $\text{Spec } B \rightarrow \text{Spec } A$ is surjective.

Proof. For $\mathfrak{p} \in \text{Spec } A$, let $S := A - \mathfrak{p}$ and denote $S^{-1}B$ by $B_{\mathfrak{p}}$. Then we have $A_{\mathfrak{p}} \hookrightarrow B_{\mathfrak{p}}$ and $B_{\mathfrak{p}}$ is finite over $A_{\mathfrak{p}}$. Let $\mathfrak{P}B_{\mathfrak{p}}$ be a maximal ideal of $B_{\mathfrak{p}}$. We claim that $\mathfrak{P}B_{\mathfrak{p}} \cap A_{\mathfrak{p}}$ is maximal. Indeed, consider $A_{\mathfrak{p}}/(\mathfrak{P} \cap A_{\mathfrak{p}}) \hookrightarrow B_{\mathfrak{p}}/\mathfrak{P}B_{\mathfrak{p}}$, the latter is finite over the former. This enforces $A_{\mathfrak{p}}/(\mathfrak{P}B_{\mathfrak{p}} \cap A_{\mathfrak{p}})$ be a field. Hence $\mathfrak{P}B_{\mathfrak{p}} \cap A_{\mathfrak{p}} = \mathfrak{p}A_{\mathfrak{p}}$, and then $\mathfrak{P} \cap A = \mathfrak{p}$. \square

Proposition 5.3. Let $A \subset B$ be noetherian rings such that B is finite over A . Then $\dim A = \dim B$.

Proof. If we have a sequence $\mathfrak{P}_1 \subsetneq \mathfrak{P}_2$ of prime ideals in B , then there exists $f \in \mathfrak{P}_2 \setminus \mathfrak{P}_1$. Since B is finite over A , there exist $a_1, \dots, a_n \in A$ such that

$$f^n + a_1 f^{n-1} + \dots + a_n = 0.$$

Then $a_n \in \mathfrak{P}_2 \cap A$. If $a_n \in \mathfrak{P}_1$, $f^{n-1} + \dots + a_{n-1} \in \mathfrak{P}_1$ since $f \notin \mathfrak{P}_1$. Then $a_{n-1} \in \mathfrak{P}_2$. Repeat the process, it will terminate, whence $\mathfrak{P}_1 \cap A \subsetneq \mathfrak{P}_2 \cap A$. Otherwise, we have $f^n \in a_1 B + \dots + a_n B \subset \mathfrak{P}_1$.

Conversely, suppose we have $\mathfrak{p}_1, \mathfrak{p}_2 \in \text{Spec } A$ with $\mathfrak{p}_1 \subsetneq \mathfrak{p}_2$. Choose $\mathfrak{P}_1 \in \text{Spec } B$ such that $\mathfrak{P}_1 \cap A = \mathfrak{p}_1$, then we have $A/\mathfrak{p}_1 \subset B/\mathfrak{P}_1$. Let \mathfrak{P}_2 be the preimage of the prime ideal in B/\mathfrak{P}_1 which is over image of \mathfrak{p}_2 in A/\mathfrak{p}_1 . Proposition 5.2 guarantees that such \mathfrak{P}_2 exists. Then we get $\mathfrak{P}_1 \subsetneq \mathfrak{P}_2$. Repeat this progress, we get $\dim B \geq \dim A$. \square

To be completed

Definition 5.4. An integral domain A is called *normal* if it is integrally closed in its field of fractions $\text{Frac}(A)$.

Lemma 5.5. Let $A \subset C$ be rings and B the integral closure of A in C , S a multiplicatively closed subset of A . Then the integral closure of $S^{-1}A$ in $S^{-1}C$ is $S^{-1}B$.

Proof. For every $b \in B$ and $\forall s \in S$, there exists $a_i \in A$ s.t.

$$b^n + a_1 b^{n-1} + \dots + a_n = 0.$$

Then

$$\left(\frac{b}{s}\right)^n + \frac{a_1}{s^1} \left(\frac{b}{s}\right)^{n-1} + \dots + \frac{a_n}{s^n} = 0.$$

Hence b/s is integral over $S^{-1}A$, $S^{-1}B$ is integral over $S^{-1}A$.

If $c/s \in S^{-1}C$ is integral over $S^{-1}A$, then $\exists a_i \in S^{-1}A$ s.t.

$$\left(\frac{c}{s}\right)^n + a_1 \left(\frac{c}{s}\right)^{n-1} + \dots + a_n = 0.$$

Then

$$c^n + a_1 sc^{n-1} + \dots + a_n s^n = 0 \in S^{-1}C$$

Then $\exists t \in S$ s.t.

$$t(c^n + a_1 sc^{n-1} + \dots + a_n s^n) = 0 \in C.$$

Then

$$(ct)^n + a_1 st(ct)^{n-1} + \dots + a_n s^n t^n = t^n(c^n + a_1 sc^{n-1} + \dots + a_n s^n) = 0.$$

Hence ct is integral over A , then $ct \in B$. Then $c/s = (ct)/(st) \in S^{-1}B$. This completes the proof. \square

Proposition 5.6. Normality is a local property. That is, for an integral domain A , TFAE:

- (i) A is normal.
- (ii) For any prime ideal $\mathfrak{p} \in \text{Spec } A$, the localization $A_{\mathfrak{p}}$ is normal.

(iii) For any maximal ideal $\mathfrak{m} \in \mathrm{mSpec} A$, the localization $A_{\mathfrak{m}}$ is normal.

Proof. When A is normal, $A_{\mathfrak{p}}$ is normal by Lemma 5.5.

Assume that $A_{\mathfrak{m}}$ is normal for every $\mathfrak{m} \in \mathrm{mSpec} A$. If A is not normal, let \tilde{A} be the integral closure of A in $\mathrm{Frac} A$, \tilde{A}/A is a nonzero A -module. Suppose $\mathfrak{p} \in \mathrm{Supp} \tilde{A}/A$ and $\mathfrak{p} \subset \mathfrak{m}$. We have $\tilde{A}_{\mathfrak{m}}/A_{\mathfrak{m}} = 0$ and $\tilde{A}_{\mathfrak{p}}/A_{\mathfrak{p}} = (\tilde{A}_{\mathfrak{m}}/A_{\mathfrak{m}})_{\mathfrak{p}} \neq 0$. This is a contradiction. \square

Proposition 5.7. Let A be a normal ring. Then $A[X]$ is also normal.

Definition 5.8. A scheme X is called *normal* if the local ring $\mathcal{O}_{X,\xi}$ is normal for any point $\xi \in X$. A ring A is called *normal* if $\mathrm{Spec} A$ is normal.

Remark 5.9. For a general ring A , let $S := A \setminus (\bigcup_{\mathfrak{p} \in \mathrm{Ass} A} \mathfrak{p}) = \bigcap_{\mathfrak{p} \in \mathrm{Ass} A} A \setminus \mathfrak{p}$. Then S is a multiplicative set. The localization $S^{-1}A$ is called *the total ring of fractions* of A .

Suppose A is reduced and $\mathrm{Ass} A = \{\mathfrak{p}_1, \dots, \mathfrak{p}_n\}$. Denote its total ring of fractions by Q . Note that elements in Q are either unit or zero divisor. Hence any maximal ideal \mathfrak{m} is contained in $\bigcup \mathfrak{p}_i Q$, whence contained in some $\mathfrak{p}_i Q$. Thus $\mathfrak{p}_i Q$ are maximal ideals. And we have $\bigcap \mathfrak{p}_i Q = 0$. By the Chinese Remainder Theorem, we have $Q = \prod Q/\mathfrak{p}_i Q = \prod A_{\mathfrak{p}_i}$.

Let A be a reduced ring with total ring of fractions Q . Then A is normal iff A is integral closed in Q . If A is normal, then for every $\mathfrak{p} \in \mathrm{Spec} A$, $A_{\mathfrak{p}}$ is integral. Then there is unique minimal prime ideal $\mathfrak{p}_i \subset \mathfrak{p}$. In particular, any two minimal prime ideal are relatively prime. By the Chinese Remainder Theorem, $A = \prod A/\mathfrak{p}_i$. Just need to check A/\mathfrak{p}_i is integral closed in $A_{\mathfrak{p}_i}$. This is clear by check pointwise.

Conversely, suppose A is integral closed in Q . Let e_i be the unit element of $A_{\mathfrak{p}_i}$. It belongs to A since $e_i^2 - e_i = 0$. Since $1 = e_1 + \dots + e_n$ and $e_i e_j = \delta_{ij}$, we have $A = \prod A e_i$. Since $A e_i$ is integral closed in $A_{\mathfrak{p}_i}$, it is normal. Hence A is normal.

Lemma 5.10. Let A be a normal ring. Then A verifies (R_1) and (S_2) .

Proof. Since all properties are local, we can assume A is integral and local.

For (S_2) , by Example ??, we only need to show that $\mathrm{Ass}_A A/f$ has no embedded point. Let $\mathfrak{p} = (f : g) \in \mathrm{Ass}_A A/fA$ and $t := f/g \in \mathrm{Frac} A$. After Replacing A by $A_{\mathfrak{p}}$, we can assume that \mathfrak{p} is maximal. By definition, $t^{-1}\mathfrak{p} \subset A$. If $t^{-1}\mathfrak{p} \subset \mathfrak{p}$, suppose \mathfrak{p} is generated by (x_1, \dots, x_n) and $t^{-1}(x_1, \dots, x_n)^T = \Phi(x_1, \dots, x_n)^T$ for $\Phi \in M_n(A)$. There is a monic polynomial $\chi(T) \in A[T]$ vanishing Φ . Then $\chi(t^{-1}) = 0$ and $t^{-1} \in A$. This is impossible by definition of t . Then $t^{-1}\mathfrak{p} = A$, and $\mathfrak{p} = (t)$ is principal. By Krull's Principal Ideal Theorem 4.4, $\mathrm{ht}(\mathfrak{p}) = 1$.

Now we show that A verifies (R_1) . Suppose (A, \mathfrak{m}) is local of dimension 1. Choosing $a \in \mathfrak{m}$, A/a is of dimension 0. Then by 3.8, $\mathfrak{m}^n \subset aA$ for some $n \geq 1$. Suppose $\mathfrak{m}^{n-1} \not\subset aA$. Choose $b \in \mathfrak{m}^{n-1} \setminus aA$ and let $t = a/b$. By construction, $t^{-1} \notin A$ and $t^{-1}\mathfrak{m} \subset A$. After similar argument, we see that $\mathfrak{m} = tA$, whence A is regular. \square

Lemma 5.11. Let (A, \mathfrak{m}) be a noetherian local ring of dimension 1. Then A is normal iff A is regular.

Proof. By lemma 5.10, we just need to show that regularity implies normality.

Let $t \in \mathfrak{m} \setminus \mathfrak{m}^2$. Since A is regular, $\mathfrak{m} = (t)$. Let $I \subset \mathfrak{m}$ be an ideal. If $I \subset \bigcap_n \mathfrak{m}^n$, then for every

$a \in I$, there exists a_n such that $a = a_n t^n$. Then we get an ascending chain of ideals $(a_1) \subset (a_2) \subset \dots$. Hence $a = 0$ by Nakayama's Lemma. Suppose I is not zero. Then there is some n such that $I \subset \mathfrak{m}^n$ and $I \not\subset \mathfrak{m}^{n+1}$. For every $at^n \in I \setminus \mathfrak{m}^{n+1}$, $a \notin \mathfrak{m}$, whence a is a unit in A . Then $I = (t^n)$. Hence A is PID and hence normal. \square

Proposition 5.12. Let A be a noetherian integral domain of dimension ≥ 1 verifying (S_2) . Then

$$A = \bigcap_{\mathfrak{p} \in \text{Spec } A, \text{ht}(\mathfrak{p})=1} A_{\mathfrak{p}}.$$

Proof. Clearly $A \subset \bigcap A_{\mathfrak{p}}$. Let $t = f/g \in \bigcap A_{\mathfrak{p}}$. Since $f \in gA_{\mathfrak{p}}$ and we have $gA = \bigcap(gA_{\mathfrak{p}} \cap A)$, $f \in gA$. It follows that $t \in A$. \square

Theorem 5.13 (Serre's criterion for normality). Let X be a locally noetherian scheme. Then X is normal if and only if it verifies (R_1) and (S_2) .

Proof. One direction has been proved in Lemma 5.10. Suppose X verifies (R_1) and (S_2) . Again we can assume $X = \text{Spec } A$ is affine and A is local. By Remark 5.9, we just need to show that A is integral closed in its total ring of fractions Q . Suppose we have

$$\left(\frac{a}{b}\right)^n + c_1 \left(\frac{a}{b}\right)^{n-1} + \dots + c_n = 0 \in Q.$$

Since A verifies (S_2) , $bA = \bigcap \nu_{\mathfrak{p}}^{-1}(b_{\mathfrak{p}} A_{\mathfrak{p}})$. So it is sufficient to show that $a_{\mathfrak{p}} \in b_{\mathfrak{p}} A_{\mathfrak{p}}$ with $\text{ht}(\mathfrak{p}) = 1$. Note that $A_{\mathfrak{p}}$ is regular and hence normal by Lemma 5.11. Then above equation gives us desired result. \square

6 Smoothness

6.1 Modules of differentials and derivations

In this subsection, let R be a ring and A an R -algebra.

Definition 6.1 (Derivation). A *derivation* of A over R is an R -linear map $\partial : A \rightarrow M$ with an A -module such that for all $a, b \in A$, we have

$$\partial(ab) = a\partial(b) + b\partial(a).$$

Given the module M , the set of all derivations of A over R into M forms an A -module, denoted by $\text{Der}_R(A, M)$.

Given a module homomorphism $f : M \rightarrow N$ of A -modules and a derivation $\partial \in \text{Der}_R(A, M)$, the map $f \circ \partial$ is a derivation of A over R into N .

Proposition 6.2. The functor $\text{Der}_R(A, -)$ is representable. The representing object is denoted by $\Omega_{A/R}$, which is called the *module of differentials* of A over R .

Proof. First suppose A is a free R -algebra with a set of generators $a_{\lambda}, \lambda \in \Lambda$. Then an R -derivation

$\partial \in \text{Der}_R(A, M)$ is uniquely determined by its values on the generators a_λ . Let

$$\Omega_{A/R} := \bigoplus_{\lambda \in \Lambda} A \cdot da_\lambda$$

and $d : A \rightarrow \Omega_{A/R}$ be the R -derivation defined by $a_\lambda \mapsto da_\lambda$. For any R -derivation $\partial \in \text{Der}_R(A, M)$, we can define a unique A -module homomorphism $\Phi_\partial : \Omega_{A/R} \rightarrow M$ by sending da_λ to $\partial(a_\lambda)$ such that $\partial = \Phi_\partial \circ d$. This gives a bijection

$$\text{Der}_R(A, M) \cong \text{Hom}_A(\Omega_{A/R}, M), \quad \partial \mapsto \Phi_\partial.$$

Now suppose $A = F/I$ is an arbitrary R -algebra, where F is a free R -algebra and I is an ideal of F . Then we can define the module of differentials

$$\Omega_{A/R} := (\Omega_{F/R} \otimes_F A) / \sum_{f \in I} A \cdot df.$$

The R -linear map $d_A : F \otimes_F A \xrightarrow{d_F} \Omega_{F/R} \otimes_F A \rightarrow \Omega_{A/R}$ is a derivation of A over R .

For any R -derivation $\partial \in \text{Der}_R(A, M)$, note that $F \rightarrow A \xrightarrow{\partial} M$ is an R -derivation of F over R into M . Then we get an F -module homomorphism $\Omega_F \rightarrow M$. It gives an A -module homomorphism $\Omega_F \otimes_F A \rightarrow M, df \otimes 1 \mapsto \partial f$. This map factors into $\Omega_{F/R} \otimes_F A \rightarrow \Omega_{A/R}$ and $\Phi_\partial : \Omega_{A/R} \rightarrow M$. Since Φ_∂ is A -linear and $\Omega_{A/R}$ is generated by da_λ as A -module, such Φ_∂ is unique. \square

Corollary 6.3. Suppose A is of finite type over R . Then the module of differentials $\Omega_{A/R}$ is a finitely generated A -module.

Remark 6.4. Let B be an A -algebra, M an A -module and N a B -module. If there is a homomorphism of A -modules $M \rightarrow N$, then we can extend it to a homomorphism of B -modules $M \otimes_A B \rightarrow N$ by sending $m \otimes b$ to $m \cdot b$. And such extension is unique in the sense of following commutative diagram:

$$\begin{array}{ccc} M & \longrightarrow & N \\ \downarrow & \nearrow \exists! & \\ M \otimes_A B & & \end{array}$$

Hence we get a natural bijection

$$\text{Hom}_A(M, N) \cong \text{Hom}_B(M \otimes_A B, N).$$

Proposition 6.5. Let A, R' be R -algebras and $A' := A \otimes_R R'$. Then the module of differentials $\Omega_{A'/R'}$ is isomorphic to $\Omega_{A/R} \otimes_A A'$.

Proof. We check the universal property of $\Omega_{A/R} \otimes_A A'$. First, the map

$$d_{A'} : A \otimes_R R' \rightarrow \Omega_{A/R} \otimes_R R' \cong \Omega_{A/R} \otimes_A A', \quad a \otimes r \mapsto da \otimes r$$

is an R' -derivation of A' into $\Omega_{A/R} \otimes_A A'$. For any R' -derivation $\partial' : A' \rightarrow M$ into an A' -module M , we can compose it with the homomorphism $A' \rightarrow A$ and get an R -derivation $\partial : A \rightarrow M$. By the universal property of $\Omega_{A/R}$, there is a unique A -module homomorphism $\Phi : \Omega_{A/R} \rightarrow M$ such that $\partial = \Phi \circ d_A$. Then we can extend it to an A' -module homomorphism $\Phi' : \Omega_{A/R} \otimes_A A' \rightarrow M$ by

Remark 6.4. By the construction, we have $\Phi' \circ d_{A'} = \partial'$. \square

Proposition 6.6. Let A be an R -algebra and S a multiplicative set of A . Then we have an isomorphism

$$\Omega_{S^{-1}A/R} \cong S^{-1}\Omega_{A/R}.$$

Proof. Let

$$d_{S^{-1}A} : S^{-1}A \rightarrow S^{-1}\Omega_{A/R}, \quad \frac{a}{s} \mapsto \frac{sda - ads}{s^2}.$$

By direct computation, $d_{S^{-1}A}$ is an R -derivation of $S^{-1}A$ over R into $S^{-1}\Omega_{A/R}$. For any R -derivation $\partial : S^{-1}A \rightarrow M$ into an $S^{-1}A$ -module M , we can get an $S^{-1}A$ -module homomorphism $\Phi' : S^{-1}\Omega_{A/R} \rightarrow M$ as proof of Proposition 6.5. We have

$$\partial(s \cdot \frac{a}{s}) = s\partial(\frac{a}{s}) + \frac{a}{s}\partial s.$$

It follows that

$$\partial(\frac{a}{s}) = \frac{s\partial a - a\partial s}{s^2} = \frac{s\Phi'(da) - a\Phi'(ds)}{s^2} = \Phi'\left(\frac{sda - ads}{s^2}\right).$$

Thus, $\Phi' \circ d_{S^{-1}A} = \partial$. \square

Theorem 6.7. Let A be an R -algebra and B an A -algebra. Then there is a natural short exact sequence

$$\Omega_{A/R} \otimes_A B \rightarrow \Omega_{B/R} \rightarrow \Omega_{B/A} \rightarrow 0$$

of B -modules.

Proof. Let $d_{A/R} : A \rightarrow \Omega_{A/R}$ be the R -derivation of A over R . The map $A \rightarrow B \xrightarrow{d_{B/R}} \Omega_{B/R}$ induces a B -linear map

$$u : \Omega_{A/R} \otimes_A B \rightarrow \Omega_{B/R}, \quad d_{A/R}(a) \otimes b \mapsto bd_{B/R}(a).$$

The map $d_{B/A}$ is an A -derivation and hence R -derivation. Then it induces a B -linear map

$$v : \Omega_{B/R} \rightarrow \Omega_{B/A}, \quad d_{B/R}(b) \mapsto d_{B/A}(b).$$

Since $\Omega_{B/A}$ is generated by elements of the form $d_{B/A}(b)$ for $b \in B$, the map v is surjective. And clearly $d_{B/A}(a) = ad_{B/A}(1) = 0$ for $a \in A$.

Consider the composition $B \xrightarrow{d_{B/R}} \Omega_{B/R} \rightarrow \Omega_{B/R}/\text{Im } u$. For every $a \in A, b \in B$, we have

$$[d_{B/R}(ab)] = [bd_{B/R}(a) + ad_{B/R}(b)] = [bd_{B/R}(a)] + [ad_{B/R}(b)] = [ad_{B/A}(b)].$$

Hence it is indeed an A -derivation of B . Then it induces a B -linear map

$$\varphi : \Omega_{B/A} \rightarrow \Omega_{B/R}/\text{Im } u, \quad d_{B/A}(b) \mapsto [d_{B/R}(b)].$$

The map φ is surjective since $\Omega_{B/R}$ is generated by elements of the form $d_{B/R}(b)$ for $b \in B$. Note that the composition

$$\Omega_{B/A} \xrightarrow{\varphi} \Omega_{B/R}/\text{Im } u \rightarrow \Omega_{B/A}/\text{Ker } v$$

is the identity map. Thus, φ is injective and hence an isomorphism. In particular, we have $\text{Ker } v = \text{Im } u$. \square

Remark 6.8. The exact sequence in Theorem 6.7 is left exact if and only if every R -derivation of A into B -module extends to an R -derivation of B into B -module.

To be completed.

Theorem 6.9. Let A be an R -algebra and I an ideal of A . Set $B := A/I$. Then there is a natural short exact sequence

$$I/I^2 \rightarrow \Omega_{A/R} \otimes_A B \rightarrow \Omega_{B/R} \rightarrow 0$$

of B -modules.

Proof. Suppose $A = F/\mathfrak{b}$ for some free R -algebra F and an ideal \mathfrak{b} of F . Let \mathfrak{a} be the preimage of I in F . Let $d\mathfrak{b}$ (resp. $d\mathfrak{a}$) denote the image of \mathfrak{b} (resp. \mathfrak{a}) in $\Omega_{F/R}$. Then we have

$$\Omega_{A/R} \otimes_A B = \Omega_{F/R} \otimes_F B / (d\mathfrak{b} \otimes_F B), \quad \Omega_{B/R} = \Omega_{F/R} \otimes_F B / (d\mathfrak{a} \otimes_F B).$$

Clearly

$$I/I^2 \cong (\mathfrak{a}/\mathfrak{b}) \otimes_F B \rightarrow (d\mathfrak{a} \otimes_F B) / (d\mathfrak{b} \otimes_F B)$$

is surjective. Then the exact sequence follows. \square

Definition 6.10. Let \mathbf{k} be a field and A an integral \mathbf{k} -algebra of finite type of dimension n . We say A is *smooth at* $\mathfrak{p} \in \text{Spec } A$ if the module of differentials $\Omega_{A,\mathfrak{p}}$ is a free $A_{\mathfrak{p}}$ -module of rank n .

Example 6.11. Let \mathbf{K}/\mathbf{k} be a finite generated field extension and \mathbf{k}' be the algebraic closure of \mathbf{k} in \mathbf{K} . Then

$$\dim_{\mathbf{k}} \Omega_{\mathbf{K}/\mathbf{k}} = \text{trdeg}(\mathbf{K}/\mathbf{k}) + \dim_{\mathbf{k}'} \Omega_{\mathbf{k}'/\mathbf{k}},$$

and $\dim_{\mathbf{k}'} \Omega_{\mathbf{k}'/\mathbf{k}} = 0$ if and only if \mathbf{k}' is separable over \mathbf{k} .

First suppose $\mathbf{K} = \mathbf{k}'$ is algebraic over \mathbf{k} . Suppose \mathbf{k}'/\mathbf{k} is separable. For every $\alpha \in \mathbf{k}'$, suppose $f(\alpha) = 0$ for $f \in \mathbf{k}[T]$. Then $df(\alpha) = f'(\alpha)d\alpha = 0$. By the separability of \mathbf{k}'/\mathbf{k} , we have $f'(\alpha) \neq 0$. It follows that $d\alpha = 0$. Conversely, let $\alpha \in \mathbf{k}'$ be a inseparable element over \mathbf{k} . Since $\mathbf{k}[\alpha] \rightarrow \mathbf{k}[\alpha], \alpha^n \mapsto n\alpha^{n-1}$ is a non-zero R -derivation, we have $\Omega_{\mathbf{k}[\alpha]/\mathbf{k}} \neq 0$. By induction on number of generated elements, choosing a middle field $\mathbf{k} \subset \mathbf{k}'' \subset \mathbf{k}'$, at least one of $\Omega_{\mathbf{k}''/\mathbf{k}}$ and $\Omega_{\mathbf{k}'/\mathbf{k}''}$ is non-zero. Then $\Omega_{\mathbf{K}/\mathbf{k}} \neq 0$ by Theorem 6.7.

Then suppose $\mathbf{k}' = \mathbf{k}$. By the Noether's Normalization Lemma, we can find a finite set of elements $T_1, \dots, T_n \in \mathbf{K}$ such that \mathbf{K} is algebraic over $\mathbf{k}'(T_1, \dots, T_n)$. Note that we can choose T_i such that $\mathbf{K}/\mathbf{k}'(T_1, \dots, T_n)$ is separable. To see this, if $\alpha \in \mathbf{K}$ is an inseparable element over $\mathbf{k}'(T_1, \dots, T_n)$, then by replacing a suitable T_i with α , we reduce the inseparable degree of $\mathbf{K}/\mathbf{k}'(T_1, \dots, T_n)$.

Since $\mathbf{K}/\mathbf{k}'(T_1, \dots, T_n)$ is finite, every \mathbf{k} -derivation of $\mathbf{k}'(T_1, \dots, T_n)$ into \mathbf{K} -module extends to a \mathbf{k} -derivation of \mathbf{K} into \mathbf{K} -module. Then by Remark 6.8, we have

$$0 \rightarrow \Omega_{\mathbf{k}'(T_1, \dots, T_n)/\mathbf{k}} \otimes_{\mathbf{k}'(T_1, \dots, T_n)} \mathbf{K} \rightarrow \Omega_{\mathbf{K}/\mathbf{k}} \rightarrow \Omega_{\mathbf{K}/\mathbf{k}'(T_1, \dots, T_n)} \rightarrow 0.$$

Finally, note that every \mathbf{k} -derivation ∂ of \mathbf{k}' into \mathbf{K} -module can be extended to $\mathbf{k}'[T_1, \dots, T_n]$ by setting $\partial T_i = 0$. Thus, we have

$$0 \rightarrow \Omega_{\mathbf{k}'/\mathbf{k}} \otimes_{\mathbf{k}'} \mathbf{k}'[T_1, \dots, T_n] \rightarrow \Omega_{\mathbf{k}'[T_1, \dots, T_n]/\mathbf{k}} \rightarrow \Omega_{\mathbf{k}'[T_1, \dots, T_n]/\mathbf{k}'} \rightarrow 0.$$

This follows that

$$\dim_{\mathbf{k}} \Omega_{\mathbf{K}/\mathbf{k}} = \dim_{\mathbf{k}} \Omega_{\mathbf{k}'/\mathbf{k}} + \dim_{\mathbf{k}'} \Omega_{\mathbf{k}'/\mathbf{k}}.$$

6.2 Applications to affine varieties

Let \mathbf{k} be arbitrary field, $A = \mathbf{k}[T_1, \dots, T_n]$ and \mathfrak{m} a maximal ideal of A such that $\kappa(\mathfrak{m})$ is separable over \mathbf{k} . We try to give an explanation of Zariski's tangent space at \mathfrak{m} using the language of derivation. We know that $\Omega_{A/\mathbf{k}} = \bigoplus_{i=1}^n A dT_i$, thus $\Omega_{A_{\mathfrak{m}}/\mathbf{k}} \cong \bigoplus_{i=1}^n A_{\mathfrak{m}} dT_i$. Then

$$\text{Der}_{\mathbf{k}}(A_{\mathfrak{m}}, A_{\mathfrak{m}}) \cong \text{Hom}_{\mathbf{k}}(\Omega_{A_{\mathfrak{m}}/\mathbf{k}}, A_{\mathfrak{m}}) \cong \bigoplus_{i=1}^n A_{\mathfrak{m}} \partial_i,$$

where $\partial_i \in \text{Der}_{\mathbf{k}}(A_{\mathfrak{m}}, A_{\mathfrak{m}})$ is the derivation defined by $dT_i \mapsto 1$ and $dT_j \mapsto 0$ for $j \neq i$. It coincides with the usual derivation $f \mapsto \partial f / \partial T_i$. Consider the restriction of ∂_i to \mathfrak{m} and take values in the residue field $\kappa(\mathfrak{m})$, we get

$$\Phi : \mathfrak{m} \xrightarrow{(\partial_1, \dots, \partial_n)^T} A_{\mathfrak{m}}^n \rightarrow \kappa(\mathfrak{m})^n.$$

Since $\kappa(\mathfrak{m})$ is separable over \mathbf{k} , we claim that $\text{Ker } \Phi = \mathfrak{m}^2$. Indeed, by Remark 6.12, we can write every $f \in \mathfrak{m} \setminus \mathfrak{m}^2$ as $\sum_i a_i g_i$. Then

$$\frac{\partial f}{\partial T_i} = a_i \frac{\partial g_i}{\partial T_i} + g_i \frac{\partial a_i}{\partial T_i}.$$

Since g_i is separable, the image of $\partial g_i / \partial T_i$ in $\kappa(\mathfrak{m})$ is not zero. Hence $\Phi(f) \neq 0$. By the claim, Φ induces an isomorphism $\mathfrak{m}/\mathfrak{m}^2 \cong \kappa(\mathfrak{m})^n$ of $\kappa(\mathfrak{m})$ -vector spaces. Then we get

$$T_{A_{\mathfrak{m}}} = (\mathfrak{m}/\mathfrak{m}^2)^\vee \cong \bigoplus_{i=1}^n \kappa(\mathfrak{m}) \cdot \partial_i|_x,$$

where $x \in \mathbf{a}_{\mathbf{k}}^n$ is the point corresponding to \mathfrak{m} . This coincides with the usual tangent space at x in language of differential geometry.

Remark 6.12. Let \mathbf{k} be arbitrary field, $A = \mathbf{k}[T_1, \dots, T_n]$ and g_i irreducible polynomials in one variable T_i over \mathbf{k} . Then for every $f \in A$, we can write

$$f = \sum_{I=(i_1, \dots, i_n) \in \mathbf{z}_{\geq 0}^n} a_I g_1^{i_1} \cdots g_n^{i_n}, \quad a_I \in A, \quad \deg_{T_i} a_I \leq \deg g_i.$$

This is called the *Taylor expansion of f with respect to g_1, \dots, g_n* .

When $n = 1$, it follows from division algorithm. For $n > 1$, we can use induction on n . Let $\mathbf{K} = \mathbf{k}(T_1, \dots, T_{n-1})$. Then we can write f as

$$f = \sum_{i=0}^r a_i g_n^i, \quad a_i \in \mathbf{K}[T_n], \quad \deg a_i < \deg g_n.$$

Comparing the coefficients of two sides from the highest degree of T_n to the lowest degree, we see that

$$a_i \in \mathbf{k}[T_1, \dots, T_{n-1}].$$

By induction hypothesis, the conclusion follows.

Let $B = A/I$ be a \mathbf{k} of finite type, $I = (F_1, \dots, F_m) \subset \mathfrak{m}$ and \mathfrak{n} the image of \mathfrak{m} in B . We have an exact sequence of $\kappa(\mathfrak{m})$ -vector spaces

$$0 \rightarrow I/(I \cap \mathfrak{m}^2) \rightarrow \mathfrak{m}/\mathfrak{m}^2 \rightarrow \mathfrak{n}/\mathfrak{n}^2 \rightarrow 0.$$

It induces an isomorphism

$$T_{B,\mathfrak{n}} \cong \{\partial \in T_{A,\mathfrak{m}} : \partial(f) = 0, \forall f \in I\}.$$

The *Jacobian matrix* of F_1, \dots, F_m is the $m \times n$ matrix

$$J(F_1, \dots, F_m) := \left(\frac{\partial F_i}{\partial T_j} \right)_{1 \leq i \leq m, 1 \leq j \leq n}$$

with entries in B .

Theorem 6.13. Setting as above. Then B is regular at \mathfrak{n} if and only if the Jacobian matrix J has maximal rank $n - \dim B_{\mathfrak{n}}$ after taking values in the residue field $\kappa(\mathfrak{m})$.

Proof. We have an exact sequence

$$0 \rightarrow T_{B,\mathfrak{n}} \rightarrow T_{A,\mathfrak{m}} \xrightarrow{\Psi} \kappa^m \rightarrow 0,$$

where Ψ sends $\partial \in T_{A,\mathfrak{m}}$ to $(\partial(F_1), \dots, \partial(F_m))^T$. Note that the matrix of Ψ is just J^T , the transpose of the Jacobian matrix. Hence

$$\text{rank } J = n - \dim_{\kappa} T_{B,\mathfrak{n}} \leq n - \dim B_{\mathfrak{n}}$$

and the equality holds if and only if B is regular at \mathfrak{n} . □

Remark 6.14. If $\kappa(\mathfrak{m})$ is not separable over \mathbf{k} , then we still have the inequality

$$\text{rank } J \leq n - \dim B_{\mathfrak{n}}.$$

Indeed, in any case, we have an exact sequence

$$0 \rightarrow I/(I \cap \mathfrak{m}^2) \rightarrow \mathfrak{m}/\mathfrak{m}^2 \rightarrow \mathfrak{n}/\mathfrak{n}^2 \rightarrow 0.$$

Hence $\dim_{\kappa} I/(I \cap \mathfrak{m}^2) = n - \dim B_{\mathfrak{n}}$. There is a $\kappa(\mathfrak{m})$ -linear map

$$I/(I \cap \mathfrak{m}^2) \rightarrow \kappa(\mathfrak{m})^n, \quad [f] \mapsto (\partial_1(f), \dots, \partial_n(f))^T,$$

and every row of the Jacobian matrix J is in the image of this map. Thus, the rank of J is at most $n - \dim B_{\mathfrak{n}}$.

Hence if $\text{rank } J = n - \dim B_{\mathfrak{n}}$, we can still see that B is regular at \mathfrak{n} . However, the converse does not hold in general.

Proposition 6.15. Let \mathbf{k} be a field, \mathbb{k} the algebraic closure of \mathbf{k} , A a \mathbf{k} -algebra of finite type and $A_{\mathbb{k}} := A \otimes_{\mathbf{k}} \mathbb{k}$. Suppose $A_{\mathbb{k}}$ is integral. Let $\mathfrak{m} \in \text{mSpec } A$ and \mathfrak{m}' be a maximal ideal of $A_{\mathbb{k}}$ lying over \mathfrak{m} . Then

- (a) If $A_{\mathbb{k}}$ is regular at \mathfrak{m}' , then A is regular at \mathfrak{m} ;
- (b) suppose $\kappa(\mathfrak{m})$ is separable over \mathbf{k} , the converse holds.

Proof. Regarding $J_{\mathfrak{m}}$ and $J_{\mathfrak{m}'}$ as matrices with entries in \mathbb{k} , they are the same and hence have the same rank. If $A_{\mathbb{k}}$ is regular at \mathfrak{m}' , since $\kappa(\mathfrak{m}) = \mathbb{k}$, then $\text{rank } J_{\mathfrak{m}'} = n - \dim A_{\mathbb{k}, \mathfrak{m}'}$. Note that $\dim A_{\mathbb{k}, \mathfrak{m}'} = \text{trdeg}(\mathcal{K}(A_{\mathbb{k}})/\mathbb{k}) = \text{trdeg}(\mathcal{K}(A)/\mathbf{k}) = \dim A_{\mathfrak{m}}$, we have $\text{rank } J_{\mathfrak{m}} = n - \dim A_{\mathfrak{m}}$. Hence A is

regular at \mathfrak{m} .

Conversely, suppose A is regular at \mathfrak{m} and $\kappa(\mathfrak{m})$ is separable over \mathbf{k} . Then $\text{rank } J_{\mathfrak{m}} = n - \dim A_{\mathfrak{m}}$. Hence $A_{\mathbf{k}}$ is regular at \mathfrak{m}' . To be modified. \square

Proposition 6.16. Let \mathbf{k} be a field and A an integral \mathbf{k} -algebra of finite type and of dimension n . Let \mathbb{k} be the algebraic closure of \mathbf{k} and $A_{\mathbb{k}} := A \otimes_{\mathbf{k}} \mathbb{k}$. Then A is smooth at $\mathfrak{p} \in \text{Spec } A$ if and only if $A_{\mathbb{k}}$ is regular at every \mathfrak{m}' over \mathfrak{m} .

Proof. Since $\Omega_{A_{\mathbb{k}}/\mathbb{k}} \cong \Omega_{A/\mathbf{k}} \otimes_A A_{\mathbb{k}}$ is free of rank n if and only if $\Omega_{A/\mathbf{k}}$ is free of rank n , we can assume that $\mathbf{k} = \mathbb{k}$. If A is smooth at \mathfrak{p} , then $\Omega_{A_{\mathfrak{p}}/\mathbf{k}} \cong \bigoplus A_{\mathfrak{p}} df_i$ is free of rank n . Let $\mathfrak{P}_i \in \text{Der}_{\mathbb{k}}(A_{\mathfrak{m}}, A_{\mathfrak{m}})$ be the derivation defined by $df_i \mapsto 1$ and $dT_j \mapsto 0$ for $j \neq i$. Then we have $\partial_i f_j = \delta_{ij}$ for $1 \leq i, j \leq n$. Then similar to above argument, we have an isomorphism

$$\mathfrak{m}/\mathfrak{m}^2 \xrightarrow{(\partial_1, \dots, \partial_n)^T} \mathbb{k}^n.$$

This shows that $A_{\mathbb{k}}$ is regular at \mathfrak{m} .

Conversely, suppose $A_{\mathbb{k}}$ is regular at \mathfrak{m} . Note that $\mathfrak{m}/\mathfrak{m}^2 \rightarrow \Omega_{A_{\mathbb{k}}/\mathbb{k}} \otimes_{\mathbb{k}} \mathbb{k}$ is surjective since $\Omega_{A_{\mathbb{k}}/\mathbb{k}} = 0$. Then by Nakayama's lemma, $\Omega_{A_{\mathfrak{m}}/\mathbb{k}}$ is generated by n elements as an $A_{\mathfrak{m}}$ -module.

Note that $\dim_{\mathcal{K}(A)} \Omega_{\mathcal{K}(A)/\mathbf{k}} = \text{trdeg}(\mathcal{K}(A)/\mathbf{k}) = \dim A_{\mathfrak{m}} = n$. By induction on transcendental degree.

By Nakayama's Lemma, $\Omega_{A_{\mathfrak{m}}/\mathbf{k}}$ is free of rank n as an $A_{\mathfrak{m}}$ -module.

To be completed. \square

Example 6.17. Let \mathbf{k} be an imperfect field of characteristic $p > 2$. Suppose $\alpha = \beta^p \in \mathbf{k}$ and β is not in \mathbf{k} . Let $A = \mathbf{k}[x, y]/(x^2 - y^p - \alpha)$ and $\mathfrak{m} = (x, y^p - \alpha) = (x)$. Note that \mathfrak{m} is principal, so A is regular at \mathfrak{m} . However,

$$J_{\mathfrak{m}} = \left(\frac{\partial}{\partial x}(x^2 - y^p - \alpha), \frac{\partial}{\partial y}(y^p - \alpha) \right) = (2x, 0) = (0, 0) \in M_{1 \times 2}(\kappa(\mathfrak{m})).$$

Thus, A is not smooth at \mathfrak{m} . From the view of differentials, we have

$$\Omega_{A_{\mathfrak{m}}/\mathbf{k}} = A_{\mathfrak{m}} dx \oplus A_{\mathfrak{m}} dy / A_{\mathfrak{m}} \cdot x dx = \kappa(\mathfrak{m}) dx \oplus A_{\mathfrak{m}} dy,$$

which is not free as an $A_{\mathfrak{m}}$ -module.

7 Formal Completion

7.1 Formal completion of rings and modules

Definition 7.1. Let A be a ring and \mathcal{T} a topology on A . We say that (A, \mathcal{T}) is a *topological ring* if the operations of addition and multiplication are continuous with respect to the topology \mathcal{T} .

Given a topological ring A . A *topological A -module* is a pair (M, \mathcal{T}_M) where M is an A -module and \mathcal{T}_M is a topology on M such that the addition and scalar multiplication is continuous. The morphisms of topological A -modules are the continuous A -linear maps. They form a category denoted by \mathbf{TopMod}_A .

Definition 7.2. Let A be a ring, I an ideal of A and M an A -module. The I -adic topology on M is the topology defined by the basis of open sets $x + I^k M$ for all $x \in M, k \geq 0$.

Example 7.3. Let $A = \mathbb{Z}$ be the ring of integers and p a prime number. The p -adic topology on \mathbb{Z} is defined by the metric

$$d(x, y) := \|x - y\|_p := p^{-v(x-y)},$$

where v is the valuation defined by the ideal $p\mathbb{Z}$.

Note that for I -adic topology, any homomorphism $f : M \rightarrow N$ of A -modules is continuous since $f(x + I^k N) \subset f(x) + I^k M$ for all $x \in M$ and $k \geq 0$. Hence the forgotten functor $\mathbf{TopMod}_A \rightarrow \mathbf{Mod}_A$ gives an equivalence of categories.

Let M be an A -module equipped with the I -adic topology. Note that M is Hausdorff as a topological space if and only if $\bigcap_{n \geq 0} I^n M = \{0\}$. In this case, we say that M is I -adically separated.

When M is I -adically separated, we can see that M is indeed a metric space. Fix $r \in (0, 1)$. For every $x \neq y \in M$, there is a unique $k \geq 0$ such that $x - y \in I^k M$ but $x - y \notin I^{k+1} M$. We can define a metric on M by

$$d(x, y) := r^k.$$

This metric induces the I -adic topology on M .

To analyze the I -adic separation property of M , the following Artin-Rees Lemma is particularly useful.

Theorem 7.4 (Artin-Rees Lemma). Let A be a noetherian ring, I an ideal of A , M a finite A -module and N a submodule of M . Then there exists an integer r such that for all $n \geq 0$, we have

$$(I^{r+n} M) \cap N = I^n (I^r M \cap N).$$

Proof. Let

$$A' := A \oplus IX \oplus I^2 X^2 \oplus \dots \subset A[X]$$

be a graded A -algebra. Note that if $I = (a_1, \dots, a_k)$, then $A' = A[a_1 X, \dots, a_k X]$. Hence A' is a noetherian ring. Let

$$M' := M \oplus IMX \oplus I^2 MX^2 \oplus \dots$$

be a graded A' -module. Then M' is a finite A' -module since it is generated by M and M is finite over A . Let

$$N' := N \oplus (IM \cap N)X \oplus (I^2 M \cap N)X^2 \oplus \dots$$

be a graded submodule of M' . Then N' is finite over A' . Suppose $N' = \sum A' x_i$ with $x_i \in I^{d_i} M \cap N$. Choose $r \geq d_i$ for all i . Then the degree $n+r$ part of N' is equal to degree n part of A' timing the degree r part of N' . That is, for all $n \geq 0$, $I^{n+r} M \cap N = I^n (I^r M \cap N)$. \square

Corollary 7.5. Let A be a noetherian ring, I an ideal of A , M a finite A -module and N a submodule of M . Then the subspace topology on N induced by $N \subset M$ coincides with the I -adic topology on N .

Proof. This is a direct consequence of the Artin-Rees Lemma. \square

Corollary 7.6. Let A be a noetherian ring, I an ideal of A , and M a finite A -module. Let $N = \bigcap_{n \geq 0} I^n M$. Then $IN = N$. In particular, if $I \subset \text{rad}(A)$, then M is I -adically separated.

Proof. We have that

$$N = I^{n+r}M \cap N = I^n(I^rM \cap N) = I^nN \subset IN \subset N.$$

The latter conclusion follows from the Nakayama's Lemma. \square

Definition 7.7. Let A be a ring, I an ideal of A and M an A -module. We say that M is *complete* (with respect to I -adic topology) if M is I -adically separated and complete as a metric space with respect to the metric induced by the I -adic topology.

Lemma 7.8. Let A be a ring, I an ideal of A and M an A -module. Then the inverse limit

$$\widehat{M} := \varprojlim(\cdots \rightarrow M/I^nM \rightarrow M/I^{n-1}M \rightarrow \cdots \rightarrow M/IM)$$

exists in the category of A -modules. Moreover, \widehat{A} is an A -algebra and \widehat{M} is an \widehat{A} -module.

Proof. Let

$$\widehat{M} := \left\{ (x_n) \in \prod_{n \geq 0} M/I^nM \mid x_{n+1} \mapsto x_n \right\}.$$

We claim that \widehat{M} is that we desired. To be completed. \square

Definition 7.9 (Formal Completion). Let A be a ring, I an ideal of A and M an A -module. The *formal completion* of M with respect to I , denoted by \widehat{M} , is defined as

$$\widehat{M} := \varprojlim(\cdots \rightarrow M/I^nM \rightarrow M/I^{n-1}M \rightarrow \cdots \rightarrow M/IM),$$

where the maps are the natural projections $M/I^nM \rightarrow M/I^{n-1}M$.

Example 7.10. Let $A = \mathbf{z}$ be the ring of integers and $I = p\mathbf{z}$. The formal completion of \mathbf{z} with respect to $p\mathbf{z}$ is the ring of p -adic integers, denoted by \mathbf{z}_p . The elements of \mathbf{z}_p can be represented as infinite series of the form

$$a_0 + a_1p + a_2p^2 + \cdots,$$

where $a_i \in \{0, 1, \dots, p-1\}$.

Example 7.11. Let R be a ring, $A = R[X_1, \dots, X_n]$ and $I = (X_1, \dots, X_n)$. The formal completion of A with respect to I is the ring of formal power series $R[[X_1, \dots, X_n]]$. The elements of $R[[X_1, \dots, X_n]]$ can be represented as infinite series of the form

$$\sum_{i_1, \dots, i_n} a_{i_1, \dots, i_n} X_1^{i_1} \cdots X_n^{i_n},$$

where $a_{i_1, \dots, i_n} \in R$ and the multi-index (i_1, \dots, i_n) runs over all non-negative integers.

Proposition 7.12. The formal completion \widehat{M} of a A -module M is complete, and image of M is dense in \widehat{M} . Moreover, \widehat{M} is uniquely characterized by above properties.

| *Proof.* To be completed. □

By the universal property of the inverse limit, we get a covariant functor from the category of A -modules to the category of topological \widehat{A} -modules, which sends an A -module M to \widehat{M} and a morphism $f : M \rightarrow N$ to the induced morphism $\widehat{f} : \widehat{M} \rightarrow \widehat{N}$.

Lemma 7.13. Let

$$0 \rightarrow M_1 \rightarrow M_2 \rightarrow M_3 \rightarrow 0$$

be an exact sequence of finite A -modules. Then the sequence of \widehat{A} -modules

$$0 \rightarrow \widehat{M}_1 \rightarrow \widehat{M}_2 \rightarrow \widehat{M}_3 \rightarrow 0$$

is still exact.

| *Proof.* To be completed. □

Proposition 7.14. Let \widehat{A} be completion of a noetherian ring A with respect to an ideal I and M a finite A -module. Then the natural map $M \otimes_A \widehat{A} \rightarrow \widehat{M}$ is an isomorphism.

Proof. Since A is noetherian and M is finite, we have an exact sequence

$$A^m \rightarrow A^n \rightarrow M \rightarrow 0.$$

By Lemma 7.13, we have an exact sequence

$$\widehat{A}^m \rightarrow \widehat{A}^n \rightarrow \widehat{M} \rightarrow 0.$$

On the other hand, we have

$$A^m \otimes_A \widehat{A} \rightarrow A^n \otimes_A \widehat{A} \rightarrow M \otimes_A \widehat{A} \rightarrow 0$$

by right exactness of the tensor product. Since the inverse limit commutes with finite direct sums, we complete the proof by the Five Lemma. □

Proposition 7.15. Let A be a noetherian ring and I an ideal of A . Then the formal completion \widehat{A} of A with respect to I is a flat A -module.

| *Proof.* This is a direct consequence of Lemma 7.13 and Proposition 7.14. □

Lemma 7.16. Let \widehat{A} be the formal completion of a noetherian ring A with respect to an ideal I . Suppose that I is generated by a_1, \dots, a_n . Then we have an isomorphism of topological rings

$$\widehat{A} \cong A[[X_1, \dots, X_n]]/(X_1 - a_1, \dots, X_n - a_n).$$

| *Proof.* To be completed. □

Proposition 7.17. Let A be a noetherian ring and I an ideal of A . Then the formal completion \widehat{A} of A with respect to I is a noetherian ring.

Proof. Note that $A[[X_1, \dots, X_n]]$ is noetherian by Hilbert's Basis Theorem. Then the conclusion follows from Lemma 7.16. \square

Proposition 7.18. Let A be a noetherian ring and \mathfrak{m} a maximal ideal of A . Then the formal completion \widehat{A} of A with respect to \mathfrak{m} is a local ring with maximal ideal $\mathfrak{m}\widehat{A}$.

Proof. To be completed. \square

7.2 Complete local rings

Let $(A, \mathfrak{m}, \mathbf{k})$ be a noetherian complete local ring with respect to the \mathfrak{m} -adic topology. We say that A is *of equal characteristic* if $\text{char } A = \text{char } \mathbf{k}$, and *of mixed characteristic* if $\text{char } A \neq \text{char } \mathbf{k}$. In latter case, $\text{char } \mathbf{k} = p$ and $\text{char } A = 0$ or $\text{char } A = p^k$.

The goal of this subsection is the following structure theorem for noetherian complete local rings due to Cohen.

Theorem 7.19 (Cohen Structure Theorem). Let $(A, \mathfrak{m}, \mathbf{k})$ be a noetherian complete local ring of dimension d . Then

- (a) A is a quotient of a noetherian regular complete local ring;
- (b) if A is regular and of equal characteristic, then $A \cong \mathbf{k}[[X_1, \dots, X_d]]$;
- (c) if A is regular, of mixed characteristic $(0, p)$ and $p \notin \mathfrak{m}^2$, then $A \cong D[[X_1, \dots, X_{d-1}]]$, where (D, p, \mathbf{k}) is a complete DVR;
- (d) if A is regular, of mixed characteristic $(0, p)$ and $p \in \mathfrak{m}^2$, then $A \cong D[[X_1, \dots, X_d]]/(f)$, where (D, p, \mathbf{k}) is a complete DVR and f a regular parameter.

To prove the Cohen Structure Theorem, we first list some preliminary results on complete local rings. They are independently important and can be used in other contexts.

Theorem 7.20 (Hensel's Lemma). Let $(A, \mathfrak{m}, \mathbf{k})$ be a complete local ring, $f \in A[X]$ a monic polynomial and $\bar{f} \in \mathbf{k}[X]$ its reduction modulo \mathfrak{m} . Suppose that $\bar{f} = \bar{g} \cdot \bar{h}$ for some monic polynomials $\bar{g}, \bar{h} \in \mathbf{k}[X]$ such that $\text{gcd}(\bar{g}, \bar{h}) = 1$. Then the factorization lifts to a unique factorization $f = g \cdot h$ in $A[X]$ such that g and h are monic polynomials.

Proof. Lift \bar{g} and \bar{h} to monic polynomials $g_1, h_1 \in A[X]$. We inductively construct a sequence of monic polynomials $g_n, h_n \in A[X]$ such that $\Delta_n = f - g_n h_n \in \mathfrak{m}^n[X]$ and $g_n - g_{n+1}, h_n - h_{n+1} \in \mathfrak{m}^n[X]$ for all $n \geq 1$. Suppose that g_n and h_n are constructed. Let $g_{n+1} = g_n + \varepsilon_n$ and $h_{n+1} = h_n + \eta_n$ for $\varepsilon_n, \eta_n \in \mathfrak{m}^n[X]$. Then we have

$$f - g_{n+1} h_{n+1} = \Delta_n - (\varepsilon_n h_n + \eta_n g_n) + \varepsilon_n \eta_n.$$

Hence we just need to choose ε_n and η_n such that

$$\varepsilon_n h_n + \eta_n g_n \equiv \Delta_n \pmod{\mathfrak{m}^{n+1}}, \quad \deg \varepsilon_n < \deg g_n, \quad \deg \eta_n < \deg h_n.$$

Since $\text{gcd}(\bar{g}, \bar{h}) = 1$, there exist $\bar{u}, \bar{v} \in \mathbf{k}[X]$ such that $\bar{u}\bar{g} + \bar{v}\bar{h} = 1$ and $\deg \bar{u} < \deg \bar{g}$, $\deg \bar{v} < \deg \bar{h}$. Lift \bar{u} and \bar{v} to $u, v \in A[X]$ preserving the degrees. Then we have $ug_n + vh_n \equiv 1 \pmod{\mathfrak{m}}$. Let

$\varepsilon_n = u\Delta_n$ and $\eta_n = v\Delta_n$. Then we get the desired equation. \square

Proposition 7.21. Let $(A, \mathfrak{m}, \mathbf{k})$ be a noetherian complete local ring and M an A -module that is \mathfrak{m} -adically separated. Suppose $\dim_{\mathbf{k}} M/\mathfrak{m}M < \infty$. Then the basis of $M \otimes_A \mathbf{k}$ as \mathbf{k} -vector space can be lifted to a generating set of M as an A -module.

Proof. Let $t_1, \dots, t_n \in M$ such that their images in $M/\mathfrak{m}M$ form a basis of $M/\mathfrak{m}M$ as a \mathbf{k} -vector space. Then $M = t_1A + \dots + t_nA + \mathfrak{m}M$. For every $x \in M$, we can write

$$x = a_{0,1}t_1 + \dots + a_{0,n}t_n + m_1$$

for some $a_{0,i} \in A$ and $m_1 \in \mathfrak{m}M$. Inductively, we have $\mathfrak{m}^kM = t_1\mathfrak{m}^k + \dots + t_n\mathfrak{m}^k + \mathfrak{m}^{k+1}M$. Suppose that we have constructed $m_k \in \mathfrak{m}^kM$. Then we can write

$$m_k = a_{k,1}t_1 + \dots + a_{k,n}t_n + m_{k+1}.$$

Note that $\sum_{k \geq 0} a_{k,i}$ converges in A , denote its limit by a_i . Then we have

$$x - a_1t_1 - \dots - a_nt_n = \sum_{i=1}^n \sum_{r \geq k} a_{r,i}t_i + m_k \in \mathfrak{m}^kM$$

for all k . Since M is \mathfrak{m} -adically separated, $x = a_1t_1 + \dots + a_nt_n$. It follows that $M = \sum At_i$. \square

The key to prove the Cohen Structure Theorem is the existence of coefficient rings.

Definition 7.22 (Coefficient rings). Let $(A, \mathfrak{m}, \mathbf{k})$ be a noetherian complete local ring.

When A is equal-characteristic, the coefficient ring (or coefficient field) is a homomorphism of rings $\mathbf{k} \rightarrow A$ such that $\mathbf{k} \rightarrow A \rightarrow A/\mathfrak{m}$ is an isomorphism.

When A is mixed-characteristic, the coefficient ring is a complete local ring (R, pR, \mathbf{k}) with a local homomorphism of rings $R \hookrightarrow A$ such that the induced homomorphism $R/pR \rightarrow A/\mathfrak{m}$ is an isomorphism.

Remark 7.23. Recall that a homomorphism of local rings $f : (A, \mathfrak{m}_A) \rightarrow (B, \mathfrak{m}_B)$ is said to be local if $f^{-1}(\mathfrak{m}_B) = \mathfrak{m}_A$.

Theorem 7.24. Every noetherian complete local ring $(A, \mathfrak{m}, \mathbf{k})$ has a coefficient ring.

Assume the existence of coefficient rings, we can prove the Cohen Structure Theorem.

Proof of Cohen Structure Theorem. Let R be a coefficient ring of A and $\mathfrak{m} = (f_1, \dots, f_d)$ a minimal generating set of \mathfrak{m} . Then we have a homomorphism of complete local rings

$$\Phi : R[[X_1, \dots, X_d]] \rightarrow A, \quad X_i \mapsto f_i.$$

Let \mathfrak{n} be the maximal ideal of $R[[X_1, \dots, X_d]]$. Then $\mathfrak{n}A = \mathfrak{m}$. By Proposition 7.21, A is generated by 1 as an $R[[X_1, \dots, X_d]]$ -module. This implies that Φ is surjective and (a) follows.

If A is regular of equal characteristic, then \mathfrak{m} is generated by a regular sequence. By consider the dimension of $R[[X_1, \dots, X_d]]$ and A , we have that Φ is an isomorphism. This proves (b).

Note that if A is regular of mixed characteristic $(0, p)$ and $p \notin \mathfrak{m}^2$, then \mathfrak{m} is generated by

p, f_1, \dots, f_{d-1} . Then consider the homomorphism of complete local rings

$$R[[X_1, \dots, X_{d-1}]] \rightarrow A, \quad X_i \mapsto f_i.$$

By the same argument as above, we have that it is an isomorphism. This proves (c).

For (d), we have that $\ker \Phi$ is of height 1 by the dimension argument. Since regular local rings are UFDs, we can write $\ker \Phi = (f)$ for some $f \in R[[X_1, \dots, X_d]]$. Then we finish. \square

7.2.1 Existence of coefficient rings

Proof of Theorem 7.24 in characteristic 0. Note that for any $n \in \mathbb{Z}$, $n \notin \mathfrak{m}$. Hence $\mathfrak{q} \subset A$. Let $\Sigma := \{\text{subfield in } A\}$ and K a maximal element in Σ with respect to the inclusion. The set Σ is non-empty since $\mathfrak{q} \in \Sigma$. By Zorn's Lemma, K exists. Then K is a subfield of \mathbf{k} by $K \hookrightarrow A \Rightarrow A/\mathfrak{m} \cong \mathbf{k}$. We claim that K is a coefficient field of A .

Suppose there is $\bar{t} \in \mathbf{k} \setminus K$. If \bar{t} is transcendent over K , lift \bar{t} to an element $t \in A$. Then for any polynomial $f \neq 0 \in K[T]$, we have $f(\bar{t}) \neq 0 \in \mathbf{k}$. Hence $f(t) \notin \mathfrak{m}$. This implies that $1/f(t) \in A$, whence $K(t) \subset A$. This contradicts the maximality of K . If \bar{t} is algebraic over K , let $f \in K[T]$ be the minimal polynomial of \bar{t} . Then f is irreducible in $K[T]$ and $f(\bar{t}) = 0$. Regard f as a polynomial in $A[T]$ by $K \hookrightarrow A$. Note that $\text{char } A = 0$ implies that f is separable. By Hensel's Lemma (Theorem 7.20), we can lift the root \bar{t} to an element $t \in A$ such that $f(t) = 0$. Then $K(t)$ is a field extension of K and $K(t) \subset A$. This contradicts the maximality of K again. \square

The same strategy does not work when $\text{char } \mathbf{k} = p > 0$ since there might be inseparable extensions. To fix this, we need to introduce the notion of p -basis.

Definition 7.25. Let \mathbf{k} be a field of characteristic p . A finite set $\{t_1, \dots, t_n\} \subset \mathbf{k} \setminus \mathbf{k}^p$ is called p -independent if $[\mathbf{k}(t_1, \dots, t_n) : \mathbf{k}] = p^n$. A set $\Theta \subset \mathbf{k} \setminus \mathbf{k}^p$ is called a p -independent if its any finite subset is p -independent. A p -basis for \mathbf{k} is a maximal p -independent set $\Theta \subset \mathbf{k} \setminus \mathbf{k}^p$.

By definition, we have that $\mathbf{k} = \mathbf{k}^p[\Theta]$ for any p -basis Θ of \mathbf{k} . For any $a \in \mathbf{k}$ and $\theta \in \Theta$, we can write a as a polynomial in Θ with coefficients in \mathbf{k}^p . The degree of θ in such polynomial representation is at most $p - 1$. Such polynomial representation is unique by definition of p -independence.

Applying the Frobenius map n times, we have that $\mathbf{k}^{p^n} = \mathbf{k}^{p^{n+1}}[\Theta^{p^n}]$. This follows that $\mathbf{k} = \mathbf{k}^{p^n}[\Theta]$ for all n . Moreover, for any $a \in \mathbf{k}$ and $\theta \in \Theta$, we can write a as a polynomial in Θ with coefficients in \mathbf{k}^{p^n} and the degree of θ is at most $p^n - 1$. Such polynomial representation is unique.

Let \mathbf{k} be a perfect field of characteristic p . If there is $a \in \mathbf{k} \setminus \mathbf{k}^p$, then $\mathbf{k}(a^{1/p})/\mathbf{k}$ is an inseparable extension. This contradicts the perfectness of \mathbf{k} . Hence $\mathbf{k} = \mathbf{k}^p$ and \mathbf{k} has no nonempty p -basis.

Example 7.26. Let $\mathbf{k} = \mathbb{F}_p(t_1, \dots, t_n)$. Then $\mathbf{k}^p = \mathbb{F}_p(t_1^p, \dots, t_n^p)$. The set $\{t_1, \dots, t_n\}$ is a p -basis for \mathbf{k} .

Proof of Theorem 7.24 in characteristic p . Choose $\Theta \subset A$ such that its image in A/\mathfrak{m} is a p -basis for \mathbf{k} . Let $A_n := A^{p^n} = \{a^{p^n} : a \in A\}$ and $K := \bigcap_{n \geq 0} (A_n[\Theta])$. Then we claim that K is a coefficient field of A .

First we show that $A_n[\Theta] \cap \mathfrak{m} \subset \mathfrak{m}^{p^n}$. For every $a \in A_n[\Theta]$, if the degree of θ in the polynomial representation of a is more than $p^n - 1$, we can write $\theta^k = \theta^{ap^n} \cdot \theta^b$ for some $b < p^n$. Regard $\theta^{ap^n} \in A^{p^n}$ as coefficients. Now assume that $a \in A_n[\Theta] \cap \mathfrak{m}$. Then consider the image of a in A/\mathfrak{m} . The image of a equals 0 implies every coefficient of a is in \mathfrak{m} . Such coefficients are of form b^{p^n}

for some $b \in A$, whence $b \in \mathfrak{m}$. Hence $a \in \mathfrak{m}^{p^n}$. This implies that $K \cap \mathfrak{m} = \bigcap_{n \geq 0} (A_n[\Theta] \cap \mathfrak{m}) \subset \bigcap_{n \geq 0} \mathfrak{m}^{p^n} = \{0\}$. Then K is a field and hence a subfield of \mathbf{k} .

For any $\bar{a} \in \mathbf{k}$, note that $\mathbf{k} = \mathbf{k}^p[\bar{\Theta}] = \mathbf{k}^{p^2}[\bar{\Theta}] = \cdots = \mathbf{k}^{p^n}[\bar{\Theta}] = \cdots$. For every n , write

$$\bar{a} = \sum_{\mu_n} \bar{c}_{\mu_n}^{p^n} \mu_n =: P_{\bar{a},n}(\bar{c}_{\mu_n}),$$

where μ_n runs over all monomials in $\bar{\Theta}$ with degree at most $p^n - 1$ and $\bar{c}_{\mu_n} \in \mathbf{k}$. We call this representation the p^n -development of \bar{a} with respect to $\bar{\Theta}$. Plug the p^m -development of c_{μ_n} into $P_{\bar{a},n}$, we get the p^{n+m} -development of \bar{a} . In formula, that is,

$$P_{\bar{a},n}(P_{\bar{a},m}(\bar{c}_{\mu_{n+m}})) = P_{\bar{a},n+m}(\bar{c}_{\mu_{n+m}}).$$

Lift \bar{c}_{μ_n} to $c_{\mu_n} \in A$ for all μ_n . Let $a_n := P_{\bar{a},n}(c_{\mu_n}) = \sum_{\mu_n} c_{\mu_n}^{p^n} \mu_n \in A_n[\Theta]$. For $m \geq n$, we have $a_n - a_m \in A_n[\Theta] \cap \mathfrak{m} \subset \mathfrak{m}^{p^n}$. Hence a_n converges to an element $a \in A$. Now we show that $a \in K$. For every μ_k , let $b_{\mu_k,n} \in A$ be the element getting by plugging $c_{\mu_{n+k}}$ into the $P_{\bar{a},n}$. Then $b_{\mu_k,n}$ converges to an element $b_{\mu_k} \in A$. By construction, we have

$$a = \lim_{n \rightarrow \infty} P_{\bar{a},n+k}(c_{\mu_{n+k}}) = \lim_{n \rightarrow \infty} P_{\bar{a},k}(b_{\mu_k,n}) = P_{\bar{a}}(b_{\mu_k}) = \sum_{\mu_k} b_{\mu_k}^{p^k} \mu_k \in A_k[\Theta], \quad \forall k.$$

It follows that $a \in K$. □

Lemma 7.27. Let $(A, \mathfrak{m}, \mathbf{k})$ be a noetherian complete local ring of mixed characteristic. Suppose that $\mathfrak{m}^n = 0$ for some $n \geq 1$. Then there exists a complete local ring (R, pR, \mathbf{k}) with $R \subset A$.

Proof. Fix a p -basis of \mathbf{k} and lift it to $\Theta \subset R$. Let $q = p^{n-1}$ and

$$m := \left\{ \theta_1^{k_1} \cdots \theta_d^{k_d} \mid \theta_i \in \Theta, k_i \leq q-1 \right\}, \quad S := \left\{ \sum_{\mu \in m, \text{ finite}} a_\mu \mu \mid a_\mu \in R^q \right\}.$$

For any $a, b \in A$, we claim that $a \equiv b \pmod{\mathfrak{m}}$ if and only if $a^q \equiv b^q \pmod{\mathfrak{m}^n}$. If $a \equiv b \pmod{\mathfrak{m}}$, write $a = b + m$ for some $m \in \mathfrak{m}$. Then $a^p = b^p + pb^{q-1}m + \cdots + m^q$. Hence $a^p \equiv b^p \pmod{\mathfrak{m}^2}$. Inductively, we have $a^q \equiv b^q \pmod{\mathfrak{m}^n}$. Conversely, if $a^q \equiv b^q \pmod{\mathfrak{m}^n}$, then $a^q - b^q \in \mathfrak{m}^n \subset \mathfrak{m}$. Note that the Frobenius map $x \mapsto x^q$ is injective on A/\mathfrak{m} . It follows that $a \equiv b \pmod{\mathfrak{m}}$. By the claim, S maps to $\mathbf{k}^q[\Theta] = \mathbf{k}$ bijectively.

Let

$$R := S + pS + p^2S + \cdots + p^{n-1}S.$$

We claim that R is a subring of A . If so, $R/pR \cong \mathbf{k}$ and we get a complete local ring (R, pR, \mathbf{k}) .

Take $a, b \in A$. We have

$$a^q + b^q = (a + b)^q + pc \in A^q + pA.$$

Inductively, we have

$$a^q + b^q \in A^q + pA^q + \cdots + p^{n-1}A^q.$$

This implies that R is closed under addition. Note that $\theta^\alpha = \theta^{\alpha q} \cdot \theta^b$ with $b < q$. Then for any $\mu, \nu \in m$, we have $\mu\nu \in S$. Hence R is closed under multiplication. □

Lemma 7.28. Let \mathbf{k} be a field of characteristic p . Then there exists a DVR (D, p, \mathbf{k}) of mixed characteristic $(0, p)$.

Proof. Fix a well order \leq on \mathbf{k} and for any $a \in \mathbf{k}$, set \mathbf{k}_a be the subfield of \mathbf{k} generated by all elements $b \in \mathbf{k}$ such that $b \leq a$. Then $\mathbf{k} = \bigcup_{a \in \mathbf{k}} \mathbf{k}_a$. We construct DVRs D_a with residue field \mathbf{k}_a such that $D_a \subset D_b$ for $a \leq b$. Begin from $\mathbf{k}_0 = \mathbf{f}_p$ and let $D_0 = \mathbf{z}_{(p)}$. Suppose that D_a is constructed for all $a < b$. If $\mathbf{k}_b/\mathbf{k}_a$ is transcendental, then let D_b be the localization of $D_a[b]$ at the prime ideal generated by p .

If $\mathbf{k}_b/\mathbf{k}_a$ is algebraic, then let $\bar{f} \in \mathbf{k}_a[T]$ be the monic minimal polynomial of b . Let $\mathbf{K}_a = \text{Frac}(D_a)$ and $K_b = \mathbf{K}_a[T]/(\bar{f})$, where f is a monic lift of \bar{f} to $D_a[T]$. Note that f is irreducible since \bar{f} is irreducible. Let D_b be the integral closure of D_a in K_b . In general, D_b is a Dedekind domain. Consider the prime factorization $pD_b = \mathfrak{p}_1^{e_1} \cdots \mathfrak{p}_k^{e_k}$ in D_b . For every i , D_b/\mathfrak{p}_i is a field extension of \mathbf{k}_a and \bar{f} has a root in D_b/\mathfrak{p}_i . Suppose $\deg \bar{f} = \deg f = d$. It follows that $[(D_b/\mathfrak{p}_i) : \mathbf{k}_a] = d$. Note that we have $\sum_{i=1}^k e_i f_i = [\mathbf{K}_b : \mathbf{K}_a] = d$. Hence $k = 1$ and $e_1 = 1$. It follows that pD_b is prime and D_b is a DVR with residue field \mathbf{k}_b .

Let $D = \bigcup_{a \in \mathbf{k}} D_a$. Then (D, pD, \mathbf{k}) is the desired DVR. \square

Example 7.29. Let $\mathbf{k} = \mathbf{f}_p(t)$. Then $D = \mathbf{z}[t]_{(p)}$ is a DVR satisfying the condition in Lemma 7.28.

Let $\mathbf{k} = \overline{\mathbf{f}_p}$. For any $n \geq 1$, let $K_n = K_{n-1}(\zeta_{p^n-1})$ and $K_0 = \mathbf{q}$. Let $D_n := \sigma_{K_n, \mathfrak{p}_n}$ be the localization of the ring of integers of K_n at the prime \mathfrak{p}_n lying above \mathfrak{p}_{n-1} . Then $D := \bigcup_n D_n$ is a DVR with residue field \mathbf{k} .

Lemma 7.30. Given \mathbf{k} a field of characteristic p , there exists a unique complete local ring (R, pR, \mathbf{k}) of mixed characteristic (p^n, p) .

Proof. The existence follows from Lemma 7.28. To show the uniqueness, suppose that (R', pR', \mathbf{k}) is another complete local ring of mixed characteristic (p^n, p) . Fix a p -basis of \mathbf{k} and lift it to $\Theta \subset R$ and $\Theta' \subset R'$ relatively. Let $q = p^{n-1}$ and

$$m := \left\{ \theta_1^{k_1} \cdots \theta_d^{k_d} \mid \theta_i \in \Theta, k_i \leq q-1 \right\}, \quad S := \left\{ \sum_{\mu \in m, \text{ finite}} a_\mu \mu \mid a_\mu \in R^q \right\}.$$

Define m', S' similarly with Θ' and R' . Since $S \rightarrow R \rightarrow \mathbf{k}$ and $S' \rightarrow R' \rightarrow \mathbf{k}$ are bijections, we can define a bijective map $\Phi : S \rightarrow S'$.

Note that any element in S can be written as $s + pr$ with $s \in S$ and $r \in R$ uniquely since $S \rightarrow \mathbf{k}$ is bijective. Inductively, we can write any element in R as

$$r = s + ps_1 + p^2 s_2 + \cdots + p^{n-1} s_{n-1},$$

where $s_i \in S$. The similarly for R' . Extend Φ to R and we get a bijection between R and R' . Note that by construction, Φ preserves addition and multiplication. Hence we get a ring isomorphism $\Phi : R \rightarrow R'$. \square

Proof of Theorem 7.24 in mixed characteristic. Since A is complete, we have $A = \varprojlim_n A/\mathfrak{m}^n$. By Lemma 7.27, there is a complete local ring (R_n, pR_n, \mathbf{k}) with $R_n \subset A/\mathfrak{m}^n$. By Lemma 7.30, such R_n

is unique up to isomorphism. It follows that $R_n \cong R_m/p^{k_n}$ for $m \geq n$. We get an inverse system

$$\cdots \rightarrow R_n \rightarrow R_{n-1} \rightarrow \cdots \rightarrow R_1 \cong \mathbf{k}.$$

Let $R := \varprojlim_n R_n$. Then (R, pR, \mathbf{k}) is a complete local ring. The homomorphisms $R_n \hookrightarrow A/\mathfrak{m}^n$ induce a homomorphism of complete local rings $R \hookrightarrow A$. This concludes the proof. \square

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