Perry Hart K-theory seminar

Talk #10

October 24, 2018

## Abstract

We continue to look at low-dimensional K-theory, finishing our description of  $K_0(-)$  and then defining  $K_1(-)$ , and  $K_2(-)$  for rings. The main sources for this talk are the following.

- nLab.
- Charles Weibel's The K-book: an introduction to algebraic K-theory, Chapters II and III.
- Eric M. Friedlander's An Introduction to K-theory, Chapter 1.
- http://people.math.harvard.edu/~lurie/281notes/Lecture3-Whitehead.pdf.

## 1 $K_0$ of a Waldhausen category

**Definition 1.1.** Let  $\mathscr{C}$  be a category equipped with a "subcategory"  $co \mathscr{C}$  of morphisms called *cofibrations*. The pair  $(\mathscr{C}, co)$  is a *category with cofibrations* if the following conditions hold.

- 1. (W0) Every isomorphism in  $\mathscr{C}$  is a cofibration.
- 2. (W1) There is a base point 0 in  $\mathscr C$  such that the unique morphism  $0 \rightarrowtail A$  for every  $A \in \text{ob } \mathscr C$ .
- 3. (W2) We have

$$\begin{array}{ccc}
A & \longrightarrow & B \\
\downarrow & & \downarrow & \\
C & \longrightarrow & B \cup_A C
\end{array}$$

Note that  $B \coprod C$  always exists as the pushout  $B \cup_0 C$  and that the cokernel of any  $i : A \rightarrowtail B$  exists as  $B \cup_A 0$  along  $A \to 0$ . We call  $A \rightarrowtail B \twoheadrightarrow B/_A$  a cofibration sequence.

**Definition 1.2.** A Waldhausen category  $\mathscr{C}$  is a category with cofibrations together with a subcategory  $w(\mathscr{C})$  of morphisms called weak equivalences such that every isomorphism in  $\mathscr{C}$  is a w.e. and the following "glueing axiom" holds.

1. (W3) For any diagram

$$\begin{array}{cccc} C \longleftarrow & A \rightarrowtail & B \\ \sim & & \sim & & \sim \\ C' \longleftarrow & A' \rightarrowtail & B' \end{array},$$

the induced map  $B \cup_A C \to B' \cup_{A'} C'$  is a w.e.

**Definition 1.3.** Let  $\mathscr{C}$  be a Waldhausen category. Define  $K_0(\mathscr{C})$  as the abelian group generated by [C] for each object C of  $\mathscr{C}$  such that

1. [C] = [C'] if there some w.e. from C to C'

2. 
$$[C] = [B] + \begin{bmatrix} C/B \end{bmatrix}$$
 for every  $B \rightarrowtail C \twoheadrightarrow C/B$ 

3. The weak equivalence classes of objects in  $\mathscr C$  is a set.

Proposition 1.4.

- 1. [0] = 0.
- 2.  $[B \ ] \ [C] = [B] + [C]$ .
- 3.  $[B \cup_A C] = [B] + [C] [A]$ .
- 4. [C] = 0 whenever  $0 \simeq C$ .

**Example 1.5.** Let  $\mathcal{R}_f(*)$  denote the category of finite CW complexes. Here, cofibrations and weak equivalences correspond to cellular inclusions and weak homotopy equivalences, respectively. It is known that  $K_0(\mathcal{R}_f) \cong \mathbb{Z}$ .

**Definition 1.6.** if  $\mathscr{C}$  and  $\mathscr{D}$  are Waldhausen, then a functor  $F:\mathscr{C}\to\mathscr{D}$  is exact if

- (a) preserves base points, cofibrations, and weak equivalences and
- (b) for any  $A \rightarrow B$ ,  $FB \cup_{FA} FC \rightarrow F(B \cup_A C)$  is an isomorphism.

Note that F induces a group map  $K_0(F): K_0(\mathscr{C}) \to K_0(\mathscr{D})$ .

**Theorem 1.7.** Let  $F: \mathcal{A} \to \mathcal{B}$  be an exact functor. Assume the following.

- (1) A morphism f is a w.e. iff F(f) is a w.e.
- (2) For any morphism  $b: FA \to B$  in  $\mathcal{B}$ , there is some  $a: A \rightarrowtail A'$  in  $\mathcal{A}$  and a w.e.  $b': FA' \xrightarrow{\sim} B$  in  $\mathcal{B}$  such that  $b = b' \circ F(a)$ . Moreover, we may choose a to be a w.e. whenever b is a w.e.

Then F induces an isomorphism  $K_0(\mathscr{A}) \cong K_0(\mathscr{B})$ .

*Proof.* Apply condition (2) to any  $0 \rightarrow B$  to get  $FA' \xrightarrow{\sim} B$ . If this is a w.e., then there is some  $A \xrightarrow{\sim} A'$ . Hence there is a bijection between the set W of w.e. classes of objects of  $\mathscr A$  and that in  $\mathscr B$ .

The group  $K_0(\mathscr{B})$  is given by the free abelian group  $\mathbb{Z}[W]$  modulo the relation

$$[C] = [B] + \left[ \begin{array}{c} C \\ \end{array} \right].$$

Let  $FA \xrightarrow{\sim} B$ . Then applying condition (2) yields the diagram

Apply the glueing axiom to see that  $F\left(A'/A\right) \to C/B$  is a w.e. Hence  $[C] = [B] + \left[C/B\right]$  holds iff  $[A'] = [A] + \left[A'/A\right]$  holds.

## 2 $K_1$ for rings

Let R be a unital ring. Recall that direct limits in  $\mathbf{M}$ od $_R$  always exist. Let

$$K_1(R) = GL(R)^{ab}$$

where  $GL(R) \equiv \operatorname{colim}_{n \in \mathbb{N}} GL(n, R)$ .

Note 2.1 (Universal property of K). The universal property of ab :  $\mathbf{Grp} \to \mathbf{Ab}$  induces the universal property of  $K_1$  that any homomorphism  $f : \mathrm{GL}(R) \to H$  with H abelian has  $f = g \circ \pi$  for some unique  $g : K_1(R) \to H$ .

**Proposition 2.2.** Any ring map  $f: R \to S$  induces a natural map  $GL(R) \to GL(S)$ . Hence  $K_1$  is a functor  $\mathbf{Rng} \to \mathbf{Ab}$ .

Thanks to Whitehead, we know that the commutator subgroup [GL(R), GL(R)] is equal to  $E(R) = \bigcup_n E_n(R)$ , the group of elementary matrices  $E_{i,j}(r)$  where  $r \in R$  and  $i \neq j$ . Thus,  $K_1(R)$  can be viewed as the "stabilized" group of automorphisms of the trivial projective module modulo trivial automorphisms.

**Example 2.3.** If F is a field, then  $K_1(F) = F^{\times}$ .

*Proof.* It is each to check that  $E_n(F) \cong \mathrm{SL}_n(F)$  for any  $n \in \mathbb{N}$ . Therefore,  $E(F) \cong \mathrm{SL}(R)$ .

**Proposition 2.4.** Suppose R is commutative. Consider the sequence  $R^* \cong GL(1,R) \to GL(R) \to K_1(R)$ . This induces a natural split exact sequence.

$$1 \longrightarrow SK_1(R) \longrightarrow K_1(R) \xrightarrow{\det} R^{\times} \longrightarrow 1,$$

where  $SK_1(R)$  denotes  $\ker(\det)$ .

This means that  $K_1(R) \cong R^{\times} \times SK_1(R)$ .

**Example 2.5.** Suppose R is a Euclidean domain. Then  $SK_1(R) = 1$ , so that  $K_1(R) \cong R^{\times}$ .

**Lemma 2.6.** Let D be a division ring. Then  $K_1(D) \cong \operatorname{GL}_n(D)/E_n(D)$  for any  $n \geq 3$ .

Proof. Any invertible matrix over D is reducible (a la Gaussian elimination) to a diagonal matrix of the form (r, 1, ..., 1). Moreover,  $E_n(D) \subseteq \operatorname{GL}_n(D)$  for each n. In particular, Dieudonné (1943) showed that  $\operatorname{GL}_n(D)/E_n(D) \cong D^{\times}/(D^{\times})'$  for any  $n \neq 2$ .

Now, suppose that R is Noetherian of dimension d, so that  $E_n(R) \leq GL_n(R)$  for any  $n \geq d+2$ .

**Proposition 2.7 (Vaserstein).**  $K_1(R) \cong \operatorname{GL}_n(R) / E_n(R)$  for any  $n \geq d+2$ .

Let D be a d-dimensional division algebra over the field F := Z(D). We know that  $d = n^2$  for some integer n. By Zorn's lemma, there is some maximal subfield  $E \subset D$  such that [E : F] = n. Then  $D \otimes_F E \cong M_n(E)$ , where  $M_n$  denotes the n-dimensional matrix ring over E. Any field with this property is called a *splitting* field for D.

Let E' be a splitting field for D. For any  $r \in \mathbb{N}$ , the inclusions  $D \hookrightarrow M_n(E')$  and  $M_r(D) \hookrightarrow M_{nr}(E')$  induce maps  $D^{\times} \subset \operatorname{GL}_n(E') \xrightarrow{\operatorname{det}} (E')^{\times}$  and  $\operatorname{GL}_r(D) \to \operatorname{GL}_{nr}(E') \xrightarrow{\operatorname{det}} (E')^{\times}$  whose images are contained in  $F^*$ . The induced maps are called the *reduced norms*  $N_{\operatorname{red}}$  for D.

**Example 2.8.** If  $D = \mathbb{H}$ , then  $N_{\text{red}}$  is the square of the usual norm. It induces an isomorphism  $K_1(\mathbb{H}) \cong \mathbb{R}_+^{\times}$ .

Let R be a commutative Banach algebra over  $\mathbb{F} \in \{\mathbb{R}, \mathbb{C}\}$  (i.e., a Banach space equipped with a commutative bilinear multiplication map  $m: R \times R \to R$  such that  $\|m(a,b)\| \le \|a\| \cdot \|b\|$ ). Recall that both  $\mathrm{GL}_n(R)$  and  $\mathrm{SL}_n(R)$  are topological groups as subspaces of  $\mathbb{R}^{n^2}$ .

**Proposition 2.9.** We have that  $E_n(R)$  is the path component of the identity matrix  $I_n$  for any  $n \geq 2$ .

Corollary 2.10. We may identify  $SK_1(R)$  with the set  $\pi_0 SL(R)$ .

*Proof.* Note that  $E(R) \leq \operatorname{SL}(R)$ . By the third isomorphism theorem, we get

$$\operatorname{GL}(R)/\operatorname{SL}(R)/\operatorname{SL}(R)/\operatorname{E}(R) \cong \operatorname{GL}(R)/\operatorname{SL}(R).$$

Thus, we get the short exact sequence

$$1 \longrightarrow {}^{\mathrm{SL}(R)}/_{E(R)} \longrightarrow {}^{\mathrm{GL}(R)}/_{E(R)} \cong K_{1}(R) \longrightarrow {}^{\mathrm{GL}(R)}/_{\mathrm{SL}(R)} \cong R^{\times} \longrightarrow 1$$

By Proposition 2.9, we know that  $SL(R)/E(R) \cong \pi_0 SL(R)$ , yielding a short exact sequence.

$$1 \longrightarrow \pi_0 \operatorname{SL}(R) \longrightarrow K_1(R) \xrightarrow{\operatorname{det}} R^{\times} \longrightarrow 1$$
.

**Example 2.11.** If X is compact, then

$$SK_1(\mathbb{R}^X) \leftrightarrow [X, SL(\mathbb{R})] \cong [X, SO]$$
  
 $SK_1(\mathbb{C}^X) \leftrightarrow [X, SL(\mathbb{C})] \cong [X, SU].$ 

In particular,  $SK_1(\mathbb{R}^{S^1}) \leftrightarrow \pi_1 SO \cong C_2$ .

Let P be a finitely generated projective R-module. Any choice of isomorphism  $P \oplus Q \cong R^n$  induces a group map

$$\operatorname{Aut}(P) \to \operatorname{Aut}(P) \oplus \operatorname{Aut}(Q) \cong \operatorname{Aut}(R^n) \cong \operatorname{GL}(n, R).$$

The group map  $\operatorname{Aut}(P) \to \operatorname{GL}(R)$  is independent of our choice of isomorphism up to inner automorphism of  $\operatorname{GL}(R)$ . Therefore, there is a well-defined homomorphism  $\Phi: \operatorname{Aut}(R) \to K_1(R)$ .

**Lemma 2.12.** Suppose that R is commutative and T is an R-algebra. Then  $K_1(T)$  has a natural module structure over  $K_0(R)$ .

*Proof.* For any  $P \in \mathbf{P}(R)$  and  $m \in \mathbb{N}$ , consider the homomorphism  $\Phi : \operatorname{Aut}(P \otimes T^m) \to K_1(R \otimes T)$ . For any  $\beta \in \operatorname{GL}_m(T)$ , let

$$[P] \cdot \beta = \Phi(1_P \otimes \beta).$$

This action factors through  $K_0(R)$  and  $K_1(T)$ , inducing an operation  $K_0(R) \times K_1(T) \to K_1(R \otimes S)$ . Now, since T is an R-algebra, there is a ring map  $R \otimes T \to T$ . The induced composite  $K_0(R) \times K_1(T) \to K_1(R \otimes T) \to K_1(T)$  is the desired module structure.

As it turns out,  $K_1(R)$  is completely determined by the category  $\mathbf{P}(R)$ . This means that  $K_1$  is invariant under Morita equivalence, just as  $K_0$  is.

**Theorem 2.13.** if R and S are Morita equivalent, then  $K_1(R) \cong K_1(R)$ .

For an application of  $K_1$  to manifold theory, let  $\pi$  be a finitely generated group. Define the Whitehead group Wh( $\pi$ ) of  $\pi$  as the cokernel of the map  $\pi \times \{\pm 1\} \to K_1(\mathbb{Z}\pi)$  given by  $(g, \pm 1) \mapsto \left[\pm g\right]$ .

**Definition 2.14.** Suppose that W, M, and N are compact manifolds (possibly smooth or piecewise-linear). Suppose that M and N are without boundary. Let  $\dim(M) = \dim(N) = n$  and  $\dim(W) = n + 1$ .

- 1. We say that W is a cobordism of M and N if  $\partial W \cong M \coprod N$ .
- 2. We say that W is an h-cobordism of M and N if it is a cobordism of M and N and the inclusion maps  $i_M: M \hookrightarrow \partial W$  and  $i_N: N \hookrightarrow \partial W$  are homotopy equivalences.

Let R be a ring. A based chain complex over R is a bounded chain complex

$$\cdots \longrightarrow F_{n+1} \xrightarrow{d_{n+1}} F_n \xrightarrow{d_n} F_{n-1} \longrightarrow \cdots$$

of finitely generated free R-modules together with a choice  $B_n$  of basis (ordered in a predetermined way) for each  $F_n$ . The Euler characteristic of  $(F_*, d_n)$  is the finite sum

$$\chi(F_*) \equiv \sum_n (-1)^n |B_n|.$$

If  $F_*$  is acyclic, then it is contractible, so that there is some map  $h: F_* \to F_{*+1}$  such that  $dh + hd = \mathrm{Id}_{F_*}$ . In this case, one can check that

$$d+h: \bigoplus_{n} F_{2n} \to \bigoplus_{n} F_{2n+1}.$$

is an isomorphism of free R-modules. If  $\chi(F_*)=0$ , then this yields an element  $\underbrace{\rho(F_*)\coloneqq[d+h]}_{Reidemeister\ torsion}$  of  $K_1(R)_{\{+1\}}$ , which is independent of our choice of null-homotopy h.

Suppose that  $f: X_* \to Y_*$  is a quasi-isomorphism of based chain complexes over R. Then  $\operatorname{cone}(f)$  is an acyclic based chain complex over R. Further, if  $\chi(X_*) = \chi(Y_*)$ , then  $\chi(\operatorname{cone}(f)) = 0$ , in which case we may define the *torsion of* f as the element  $\rho(\operatorname{cone}(f))$  of  $K_1(R)/\{+1\}$ .

Now, suppose that  $f: X \to Y$  is a homotopy equivalence of finite connected CW complexes. Since these are locally contractible, they admit respective universal covering spaces  $\widetilde{X}$  and  $\widetilde{Y}$ . If f is a cellular map, then it induces a map

$$\lambda_f: C_*(\widetilde{X}; \mathbb{Z}) \to C_*(\widetilde{Y}; \mathbb{Z})$$

of cellular chain complexes, which must be a quasi-isomorphism since f is assumed to be a homotopy equivalence. Note that  $C_*(\widetilde{X}; \mathbb{Z})$  and  $C_*(\widetilde{Y}; \mathbb{Z})$  may be viewed as based chain complexes over  $\mathbb{Z}\pi_1(Y)$ . In this case, the Whitehead torsion  $\tau(f)$  of f is the image of the torsion of  $\lambda_f$  under the natural projection  $K_1(\mathbb{Z}\pi_1(Y))/\{\pm 1\}$   $\xrightarrow{}$  Wh( $\mathbb{Z}\pi_1(Y)$ ).

**Theorem 2.15 (s-cobordism).** Suppose that W, M, and N are compact manifolds and that W is an h-cobordism of M and N. If  $\dim(M) \geq 5$ , then  $(W, M, N) \cong (M \times [0, 1], M \times [0, M])$  iff  $\tau(i_M)$  vanishes.

Corollary 2.16 (Generalized Poincaré conjecture). Let M be an n-manifold that is homotopy equivalent to  $S^n$ . If  $n \geq 5$ , then M is homeomorphic to  $S^n$ .

**Definition 2.17.** Let I be an ideal in R. Define GL(I) as the kernel of the map  $GL(R) \to GL\left(\frac{R}{I}\right)$ . Moreover, define E(R,I) as the smallest normal subgroup of E(R) that contains  $E_{i,j}(r)$  for any  $r \in I$  and  $i \neq j$ .

**Proposition 2.18.**  $[GL(I), GL(I)] \subset E(R, I) \subseteq GL(I)$ 

**Definition 2.19.** The relative group  $K_1(R,I)$  is the the abelian group  $\mathrm{GL}(I)/E(R,I)$ .

Remark 2.20. Swan has shown that a ring homomorphism  $f: R \to S$  mapping the ideal I isomorphically to the ideal J need not induce an isomorphism  $K_1(R, I) \to K_1(S, J)$ .

Proposition 2.21. We have an exact sequence

$$K_1(R,I) \longrightarrow K_1(R) \longrightarrow K_1\left(R/I\right) \longrightarrow K_0(I) \longrightarrow K_0(R) \longrightarrow K_0\left(R/I\right)$$
.

## 3 $K_2$ for rings

**Definition 3.1.** Let  $n \geq 3$  and R be a ring. The *Steinberg group*  $\operatorname{St}_n(R)$  is the group generated by the symbols  $x_{ij}(r)$  with  $1 \leq i \neq j \leq n$  and  $r \in R$  that satisfy the following relations.

(i) 
$$x_{ij}(r)x_{ij}(s) = x_{ij}(r+s)$$

(ii) 
$$[x_{ij}(r), x_{kl}(s)] = \begin{cases} 1 & j \neq k, & i \neq l \\ x_{il}(rs) & j = k, & i \neq l \\ x_{kj}(-sr) & j \neq k, & i = l \end{cases}$$

We have a natural group surjection  $\phi_n : \operatorname{St}_n(R) \to E_n(R)$  given by  $x_{ij}(r) \mapsto E_{ij}(r)$ . Moreover, there is a group map  $\operatorname{St}_n(R) \hookrightarrow \operatorname{St}_{n+1}(R)$ . Since  $\operatorname{St}(R) := \operatorname{colim}_n \operatorname{St}_n(R)$  exists, the  $\phi_n$  form a group epimorphism  $\phi : \operatorname{St}(R) \to E(R)$ . Let

$$K_2(n,R) = \ker \phi_n$$
  
 $K_2(R) = \ker \phi.$ 

Note that  $K_2(-)$  is a functor  $\mathbf{Rng} \to \mathbf{Ab}$ . Furthermore, we have an exact sequence

$$1 \longrightarrow K_2(R) \longrightarrow \operatorname{St}(R) \stackrel{\phi}{\longrightarrow} \operatorname{GL}(R) \longrightarrow K_1(R) \longrightarrow 1$$
.

Lemma 3.2.  $K_2(R) \cong Z(\operatorname{St}(R))$ .

<sup>&</sup>lt;sup>1</sup>Section III.2.3 (Weibel).

*Proof.* The fact that  $K_2(R) \supset Z(St(R))$  follows from the fact that Z(E(R)) is trivial. The reverse containment is easy but more tedious to prove. See III.5.2.1 (Weibel).

**Example 3.3.** A certain sort of Euclidean algorithm yields the following computations.

- 1.  $K_2(\mathbb{Z}) \cong C_2$
- 2.  $K_2(\mathbb{Z}[i]) = 1$
- 3.  $K_2(F) \cong K_2(F[t])$  when F is a field

**Theorem 3.4.** Suppose that R is Noetherian of dimension d. Then  $K_2(n,R) \cong K_2(R)$  for any  $n \geq d+3$ .

**Theorem 3.5.** If R and S are Morita equivalent, then  $K_2(R) \cong K_2(R)$ .

**Example 3.6.** Let  $n \in \mathbb{Z}_{\geq 1}$ . Let R be any ring and let  $S = M_n(R)$ . These are Morita equivalent, so that

$$K_i(R) \cong K_i(M_n(R))$$

for each i=0,1,2. Indeed, in one direction, define  $F:M\mapsto M^n$ . In the other direction, define  $G:M\mapsto e_{11}M$  where  $e_{1}1$  denotes the matrix with 1 in position (1,1) and 0 elsewhere. Define the natural isomorphism  $\mathrm{Id}_{\mathbf{Mod}_R}\Rightarrow G\circ F$  by the components  $f_M:M\to \{(m,0,\ldots,0):m\in M\}$ . Further, define the natural isomorphism  $\mathrm{Id}_{\mathbf{Mod}_S}\Rightarrow F\circ G$  by the components  $g_M:M\to (e_{11}M)^n$  given by  $m\mapsto (e_{11}m,\ldots,e_{1n}m)$ . Hence  $\mathbf{Mod}_R$  and  $\mathbf{Mod}_S$  are equivalent, hence Morita equivalence as they are preadditive.

**Lemma 3.7.** Let R be a commutative Banach algebra. Then there is a surjection from  $K_2(R)$  onto  $\pi_1\operatorname{SL}(R)$ .

**Example 3.8.** There is a surjection  $K_2(\mathbb{R}) \to \pi_1 \operatorname{SL}_{\ell}(\mathbb{R}) \cong \pi_1 \operatorname{SO} \cong C_2$ . Hence  $K_2(\mathbb{R})$  is nontrivial.

**Theorem 3.9 (Matsumoto 1969).** Let F be a field. Then  $K_2(F)$  is isomorphic to the free abelian group with system of generators  $\{a,b\}$  satisfying the following relations.

- (i)  $\{ac, b\} = \{a, b\}\{c, b\}$
- (ii)  $\{a, bd\} = \{a, b\}\{a, d\}$
- (iii)  $\{a, 1-a\} = 1$  when  $a \neq 1 \neq 1-a$ .

Terminology. The  $\{a,b\}$  are called Steinberg symbols.

Suppose that  $A, B \in E(F)$  commute. Write  $\phi(a) = A$  and  $\phi(b) = B$ . Then define

$$A \bigstar B = [a, b] \in K_2(R).$$

If  $a, b \in F$ , then we can alternatively define the Steinberg symbol

$$\{a,b\} = \begin{bmatrix} r & & \\ & r^{-1} & \\ & & 1 \end{bmatrix} \bigstar \begin{bmatrix} s & & \\ & 1 & \\ & & s^{-1} \end{bmatrix}.$$

Corollary 3.10.  $K_2(\mathbb{F}_p^n) = 1$  for any prime p and any integer  $n \geq 1$ .

*Proof.* The proof is entirely computational. See III.6.1.1 (Weibel).

**Proposition 3.11.** If  $F \supset \mathbb{Q}(t)$ , then  $|K_2(F)| = |F|$ .

<sup>&</sup>lt;sup>2</sup>III.5.9 (Weibel).