Perry Hart
K-theory reading seminar
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Abstract

We begin low-dimensional K-theory, which consists of the groups $K_0(-)$, $K_1(-)$, and $K_2(-)$. Specifically, we describe K_0 for rings and for topological spaces. The main sources for this talk are the following.

- nLab.
- Charles Weibel's *The K-book: an introduction to algebraic K-theory*, Chapters I and II.
- Eric M. Friedlander's *An Introduction to K-theory*, Chapter 1.

1 K_0 for rings

The forgetful functor $U : \mathbf{Ab} \to \mathbf{CMon}$ admits a left adjoint $K : \mathbf{CMon} \to \mathbf{Ab}$, called the *group completion* functor. Specifically, for any commutative monoid $(C, +)$, we call the abelian group $K(C)$ the *Grothendieck group of C*, which is constructed as follows.

Consider $S := {C \times C}/{\sim}$ where $(a_1, b_1) \sim (a_2, b_2)$ if

$$a_1 + b_2 + k = b_1 + a_2 + k$$

for some $k \in C$. Note that $\sim = \sim'$ where $(a_1, b_1) \sim' (a_2, b_2)$ if

$$(a_1 + k_1, b_1 + k_1) = (a_2 + k_2, b_2 + k_2)$$

for some $(k_1, k_2) \in C \times C$. Now set $K(C) = (S, +)$, where $+$ is inherited from C and acts componentwise on equivalence classes. Our definition of $\sim'$ makes it clear that $[a_1, b_1]^{-1} = [b_1, a_1]$.

Proposition 1.1. *The inclusion $C \hookrightarrow K(C)$ given by $x \mapsto [x] := [x, 0]$ is injective iff C is a cancellation monoid.*

Lemma 1.2 (Universal property of $K(-)$). *Let B be an abelian group and $f : A \to B$ be a monoid homomorphism. Then we have a commutative diagram*

$$\begin{tikzcd} A \arrow[d, hook] \arrow[dr, "f"] & \\ K(A) \arrow[r, dashed, "\exists! \tilde{f}"'] & B \end{tikzcd}.$$

Proof. Define $\tilde{f}$ by $[a_1, b_1] \mapsto f(a_1) - f(b_1)$. ∎

Lemma 1.3. $K(C_1 \times C_2) \cong K(C_1) \times K(C_2)$.

Definition 1.4. A submonoid L of C is *cofinal* if for any $c \in C$, there is some $c' \in C$ such that $c + c' \in L$.

Proposition 1.5. *Let L be cofinal in a commutative monoid C.*

1. *Any element of $K(C)$ can be written as $[m]-[n]$ for some $m, n \in C$.*

2. *$K(L) \leq K(C)$.*

3. *Any element of $K(C)$ can be written as $[m]-[l]$ for some $m \in C$ and $l \in L$.*

4. *If $[m] = [m']$, then $m + l = m' + l$ for some $l \in L$.*

Example 1.6.

1. $K(\mathbb{N}) \cong \mathbb{Z}$ via the mapping $[a_1, b_1] \mapsto a_1 - b_1$.

2. $K(\mathbb{Z}^\times) \cong \mathbb{Q}^\times$ via the mapping $[a_1, b_1] \mapsto \frac{a_1}{b_1}$.

Let R be a unital ring. Let $(\mathbf{P}(R), \oplus, \otimes_R)$ denote the semiring of (isomorphism classes of) finitely generated projective R-modules. Let $K_0(R) = K(\mathbf{P}(R))$.

Lemma 1.7. $\mathbf{P}(R_1 \times R_2) \cong \mathbf{P}(R_1) \times \mathbf{P}(R_2)$.

Therefore, K_0 can be computed componentwise by Lemma 1.3.

Now, $K_0(-)$ defines a functor from **Ring** to **Ab**. Let $f : R \to S$ be a ring homomorphism and P be a finitely generated projective R-module. Define the group map $K_0(f)$ as follows.

(1) Construct the base extension $S \otimes_R P$ of P. This is the *unique* S-module compatible with the R-module structure on S induced by f, and its action is given by

$$(s', s \otimes p) \mapsto s's \times p.$$

This is also an R-module with $f(r) \cdot t := r \cdot t$ for $t \in S \otimes_R P$. We know that $P \oplus Q$ is free for some R-module Q. Since

$$S \otimes_R (P \oplus Q) \cong_S (S \otimes_R P) \oplus (S \otimes_R Q)$$

and $P \oplus Q$ is free over S via f, it follows that $S \otimes_R P$ is a finitely generated projective S-module.

(2) We've just defined a monoid homomorphism $\tilde{f} : \mathbf{P}(R) \to \mathbf{P}(S)$.

(3) Apply the universal property of K to find the filler

$$\begin{tikzcd}
\mathbf{P}(R) \arrow[r, "\tilde{f}"] \arrow[d, hook] & \mathbf{P}(S) \arrow[d, hook] \\
K(\mathbf{P}(R)) \arrow[r, dotted, "f_*"'] & K(\mathbf{P}(S))
\end{tikzcd},$$

and set $K_0(f) = f_*$.

Theorem 1.8 (Eilenberg swindle). *Suppose $P \oplus Q = R^n$ as R-modules. Then*

$$P \oplus R^\infty \cong P \oplus (Q \oplus P) \oplus (Q \oplus P) \oplus \cdots \cong (P \oplus Q) \oplus (P \oplus Q) \oplus \cdots \cong R^\infty.$$

Therefore, if we added R^∞ to $\mathbf{P}(R)$, then we would have $[P] = 0$ for each finitely generated projective P.

Example 1.9. If R is a field, then $\mathbf{P}(R) \cong \mathbb{N}$ and, by Example 1.6, $K_0(R) \cong \mathbb{Z}$.

We can generalize this phenomenon a bit.

Definition 1.10. A ring R has the *invariant basis property (IBP)* if $R^n \ncong R^m$ whenever $n \neq m$.

Note that any commutative ring has the IBP.

Definition 1.11. An R-module P is *stably free of rank $n - m$* if $P \oplus R^m \cong R^n$.

Lemma 1.12. *The map $f : \mathbb{N} \to \mathbf{P}(R)$ defined by $n \mapsto R^n$ induces a homomorphism $\phi : \mathbb{Z} \to K_0(R)$.*

1. *ϕ is injective iff R has the IBP.*

2. *Suppose R has the IBP. Then $K_0(R) \cong \mathbb{Z}$ iff every finitely generated projective R-module is stably free.*

Proof.

1. By Proposition 1.5(4), we know that $[P] = [Q]$ in $K_0(R)$ iff $P \oplus R^m \cong Q \oplus R^m$ for some m.

2. $[P] = [R^n]$ iff P is stably free.

$\square$

Example 1.13. Suppose that R is commutative. There is a ring homomorphism $R \to F$ with F a field. Then the induced map $K_0(R) \to K_0(F) \cong \mathbb{Z}$ sends $[R]$ to 1. Also, the map $\phi : \mathbb{Z} \to K_0(R)$ is injective by Lemma 1.12. Letting $K = \ker(K_0(R) \to \mathbb{Z})$, we get a split exact sequence of abelian groups

$$1 \longrightarrow K \longrightarrow K_0(R) \longrightarrow \mathbb{Z} \longrightarrow 1 ,$$

so that $K_0(R) \cong \mathbb{Z} \oplus K$.

Example 1.14. A ring R is a *flasque* if there exist an R-bimodule M which is also a finitely generated projective on one side and a bimodule isomorphism $R \oplus M \cong M$. In this case, since

$$P \oplus (P \otimes_R M) \cong P \otimes_R (R \oplus M) \cong P \otimes_R M,$$

we see that $K_0(R) = 0$.

Example 1.15. A module is *semisimple* if it is the direct sum of simple modules. A ring R is *semisimple* if it a semisimple R-module. Notice that any semisimple module is both Noetherian and Artinian and that any module over a semisimple ring is semisimple.

Suppose R is semisimple with summands $V_1, \ldots, V_m$. Then any finitely generated R-module has the form $\bigoplus_{i=1}^m V_i^{l_i}$, where each integer l_i is uniquely determined thanks to the Krull-Remak-Schmidt theorem. Hence $\mathbf{P}(R) \cong \mathbb{N}^m$, and $K_0(R) \cong \mathbb{Z}^m$.

Example 1.16. ?? A ring R is *von Neumann regular* if for any $r \in R$, there exists $x_r \in R$ such that $r x_r r = r$.

As it turns out, any one-sided ideal in R is generated by an idempotent element. Let $E/\sim$ denote the set of idempotent elements in R modulo the equivalence relation where $e_1 \sim e_2$ if the two generate the same ideal. Then $E/\sim$ forms a lattice where the join and meet correspond to the addition and intersection of ideals, respectively.

Kaplansky (1998) proved that any projective R-module is some direct sum of (e) with e idempotent. It follows that $E/\sim$ determines $K_0(R)$.

Proposition 1.17. *Let R be a commutative ring. TFAE*

1. $R_{\text{red}} \coloneqq R/\text{nilradical}(R)$ *is a commutative von Neumann regular ring.*

2. *R has (Krull) dimension* 0*.*

3. $\operatorname{Spec}(R)$ *is compact, Hausdorff, and totally disconnected.*

Lemma 1.18. *If $I \subset R$ is nilpotent, then it's not hard to show that $\mathbf{P}\left(R/I\right) \cong \mathbf{P}(R)$, hence $K_0(R) \cong K_0\left(R/I\right)$.*

Definition 1.19. Let R be a commutative ring. The *rank* of a finitely generated projective R-module P at a prime ideal $\mathfrak{p}$ is the function

$$\operatorname{rk} : \operatorname{Spec}(R) \to \mathbb{N}, \qquad \mathfrak{p} \mapsto \dim_{R_{\mathfrak{p}}}(P \otimes R_{\mathfrak{p}}).$$

Proposition 1.20. *The rank of a finitely generated projective module is*

(a) continuous and

(b) a semiring homomorphism.

Definition 1.21. An R-module M is a *componentwise free module* if we have $R = \prod_{i=1}^{n} R_i$ and $M \cong \prod_{i=1}^{n} R_i^{c_i}$ for some integers c_i.

Note that M must be projective in this case.

Lemma 1.22. *Let R be a commutative ring. The monoid L of finitely generated componentwise free R-modules is isomorphic to* $[\operatorname{Spec}(R), \mathbb{N}]$.

Proof. Let $f : \operatorname{Spec}(R) \to \mathbb{N}$ be continuous. By some point-set topology, we see that $\operatorname{im} f$ is finite, say $\{n_1, \dots, n_c\}$. It's also possible to write $R = R_1 \times \cdots \times R_c$. Then $R^f \coloneqq R_1^{n_1} \times \cdots \times R_c^{n_c}$ is a finitely generated componentwise free R-module. Moreover, $f \mapsto R^f$ has inverse rk restricted to componentwise free modules. □

Theorem 1.23 (Pierce). *If R is a 0-dimensional commutative ring, then $K_0(R) \cong [\operatorname{Spec}(R), \mathbb{Z}]$ where $[X, Y]$ denotes the semiring of continuous maps $f : X \to Y$.*

Proof. We see that R_{red} is a commutative von Neumann regular ring by Proposition 1.17. Any ideal (d) in R_{red} where d is idempotent is componentwise free. By **??**, every object X of $\mathbf{P}(R)$ is therefore componentwise free. Therefore,

$$\mathbf{P}(R_{\text{red}}) \cong [\operatorname{Spec}(R_{\text{red}}), \mathbb{N}]$$
$$\Downarrow$$
$$K_0(R_{\text{red}}) \cong [\operatorname{Spec}(R_{\text{red}}), \mathbb{Z}]$$

As $\operatorname{Spec}(R_{\text{red}})$ is homeomorphic to $\operatorname{Spec}(R)$, it follows by Lemma 1.18 that

$$K_0(R) \cong [\operatorname{Spec}(R_{\text{red}}), \mathbb{Z}] \cong [\operatorname{Spec}(R), \mathbb{Z}]\,.$$

□

When R is commutative, let $H_0(R) = [\mathrm{Spec}(R), \mathbb{Z}]$. If R is Noetherian, then $H_0(R) \cong \mathbb{Z}^c$ where $c < \infty$ denotes the number of components of $H_0(R)$. If R is a domain, then $H_0(R)$ is connected, implying $H_0(R) \cong \mathbb{Z}$.

The submonoid $L \subset \mathbf{P}(R)$ of componentwise free modules is cofinal, so that $K(L) \leq K_0(R)$. Moreover, $K(L) \cong H_0(R)$ by Lemma 1.22.

The rank of a projective module induces a homomorphism $\mathrm{rank} : K_0(R) \to H_0(R)$. Since $\mathrm{rank}(R^f) = f$ for any $R^f \in L$, we see that

$$1 \longrightarrow H_0(R) \cong K(L) \hookrightarrow K_0(R) \xrightarrow{\mathrm{rank}} H_0(R) \longrightarrow 1$$

splits. This implies that

$$K_0(R) \cong H_0(R) \oplus \widetilde{K}_0(R),$$

where $\widetilde{K}_0(R)$ denotes $\ker(\mathrm{rank})$.

Example 1.24. The *Whitehead group* of a group G is the quotient

$$\mathrm{Wh}_0(G) \equiv {K_0(\mathbb{Z}[G])}/{\mathbb{Z}},$$

where $\mathbb{Z}[G]$ denotes the group ring of G over $\mathbb{Z}$. The augmentation map $f : \mathbb{Z}[G] \to \mathbb{Z}$ induces a split exact sequence

$$1 \longrightarrow \mathrm{Wh}_0(G) \longrightarrow K_0(\mathbb{Z}[G]) \longrightarrow \underbrace{K_0(\mathbb{Z})}_{\mathbb{Z}} \longrightarrow 1\ .$$

Hence $K_0(\mathbb{Z}[G]) \cong \mathbb{Z} \oplus \mathrm{Wh}_0(G)$. Due to Theorem 2.11, if G is finite, then $\mathrm{Wh}_0(G) \cong \widetilde{K}_0(\mathbb{Z}[G])$ and $\mathbb{Z} \cong H_0(\mathbb{Z})$.

Definition 1.25.

1. A category $\mathscr{C}$ is *preadditive* if each of its hom-sets is an abelian group.

2. A functor $F : \mathscr{C} \to \mathscr{D}$ of preadditive categories is *additive* if $F : \mathscr{C}(X, Y) \to \mathscr{D}(FX, FY)$ is a group homomorphism for any $X, Y \in \mathrm{ob}\,\mathscr{C}$.

Definition 1.26. The rings R and S are *Morita equivalent* if there exists an additive equivalence between $\mathbf{Mod}_R$ and $\mathbf{Mod}_S$.

Theorem 1.27. *If R and S are Morita equivalent, then $K_0(R) \cong K_0(S)$.*

Our results thus far can be extended to symmetric monodical categories because these come equipped with a notion of direct sum that enabled our Grothendieck construction.

Definition 1.28. A *symmetric monoidal category* S is equipped with a functor $\square : S \times S \to S$, a base object e, and four natural isomorphisms expressing commutativity, associativity, and the property that e acts as an identity. These four isomorphisms must also satisfy certain coherence properties.

Example 1.29. The following are examples of a symmetric monoidal category. .

1. Any k-vector space where $\square \coloneqq \otimes_k$.

2. Any category with finite coproducts where $s \Box t := s \amalg t$.

3. The category of pointed topological spaces where $s \Box t := s \wedge t$ and $e := S^0$.

Suppose that the class of isomorphism classes of objects of a category S is a set and denote it by S^{iso}. If S is symmetric monoidal, then $\left(S^{\text{iso}}, \Box\right)$ is an abelian monoid with identity element e. In this case, we define the *Grothendieck group of S* as $K_0(S)$.

2 Topological K-theory

Notation. $\mathbb{F}$ stands for either $\mathbb{R}$ or $\mathbb{C}$.

Definition 2.1. Let $f : F \to X$ and $g : G \to X$ be vector bundles.

1. The *Whitney sum* of f and g is the vector bundle $F \oplus G$ on X whose fiber at $x \in X$ is precisely $F_x \oplus G_x$.

2. The *tensor product bundle* $F \otimes G$ is defined similarly.

Definition 2.2. A *vector bundle homomorphism* from $\phi : E_1 \to X_1$ to $\psi : E_2 \to X_2$ is a pair of maps $f : E_1 \to E_2$ and $g : X_1 \to X_2$ such that

(i) the square

$$\begin{tikzcd} E_1 \arrow[r, "f"] \arrow[d, "\phi"'] & E_2 \arrow[d, "\psi"] \\ X_1 \arrow[r, "g"'] & X_2 \end{tikzcd}$$

commutes and

(ii) for each $x \in X_1$, the map $f \restriction_{\phi^{-1}(x)} : \phi^{-1}(x) \to \psi^{-1}(g(x))$ is linear.

Definition 2.3 (Topological K-groups). Let $(\mathbf{Vect}_{\mathbb{F}}(X), \oplus)$ denote the abelian monoid of (isomorphism classes of) $\mathbb{F}$-vector bundles on a paracompact space X.

- $KU(X) \equiv K(\mathbf{Vect}_{\mathbb{C}}(X))$
- $KO(X) \equiv K(\mathbf{Vect}_{\mathbb{R}}(X))$.

Note that these are commutative rings with identity.

We apply the notation $K_{\text{top}}(-)$ to topological spaces when we wish to omit the base field.

Both $KU(-)$ and $KO(-)$ define contravariant functors $\mathbf{Top} \to \mathbf{Ab}$. Let $f : Y \to X$ be a map of spaces and $\phi : E \to X$ be a vector bundle. Recall the pullback $f^*E = \{(y, e) \in Y \times E : f(y) = \phi(e)\}$ of E in $\mathbf{Top}$. Define the vector bundle $f^*(\phi) : f^*E \to Y$ as the appropriate restriction of the projection map $\pi : Y \times E \to Y$. The assignment $\phi \mapsto f^*(\phi)$ defines a morphism $\mathbf{Vect}_{\mathbb{F}}(X) \to \mathbf{Vect}_{\mathbb{F}}(Y)$ of monoids. In turn, the universal property of K induces a unique morphism $f^* : K_{\text{top}}(X) \to K_{\text{top}}(Y)$.

Lemma 2.4. *If X and Y are homotopy equivalent, then $K(X) \cong K(Y)$.*

Proof. Apply the homotopy invariance theorem (HIT), which states that if Y is paracompact and $f, g : Y \to X$ are homotopic, then $f^*E \cong g^*E$ for any vector bundle E over X. $\square$

Example 2.5.

1. $K_{\text{top}}(*) = \mathbb{Z}$.

2. If X is contractible, then the HIT implies that $KO(X) = KU(X) = \mathbb{Z}$

3. According to I.4.9 of *The K-book*, we have

$$\begin{aligned} &KO(S^1) \cong \mathbb{Z} \times C_2 \\ &KU(S^1) \cong \mathbb{Z} \\ &KO(S^2) \cong \mathbb{Z} \times C_2 \\ &KU(S^2) \cong \mathbb{Z} \times \mathbb{Z} \\ &KO(S^3) \cong KU(S^3) \cong \mathbb{Z} \\ &KO(S^4) \cong KU(S^4) \cong \mathbb{Z} \times \mathbb{Z} \end{aligned}$$

Definition 2.6. The *dimension* of a vector bundle E over X is the continuous homomorphism $\widehat{\dim}(E) : X \to \mathbb{N}$ given by $x \mapsto \dim(E_x)$.

Definition 2.7. A vector bundle $p : E \to X$ is a *componentwise trivial bundle* if $X = \coprod_{i \in S} X_i$ where S is a set, each X_i is a clopen component of X, and $p \restriction_{p^{-1}(X_i)}$ is trivial. In this case, if S is finite, then we say that E has *finite type*.

Lemma 2.8. *The submonoid of componentwise trivial bundles over X is isomorphic to $[X, \mathbb{N}]$.*

Proof. Send a given map $f : X \to \mathbb{N}$ to $T^f \coloneqq \coprod_{i \in \mathbb{N}} \left(f^{-1}(i) \times \mathbb{F}\right)$. Conversely, if E is a componentwise trivial bundle, then $E \cong T^{\widehat{\dim}(E)}$. $\square$

Thus, the submonoid of trivial bundles and the submonoid of componentwise trivial bundles are naturally isomorphic to $\mathbb{N}$ and $[X, \mathbb{N}]$, respectively. When X is compact, these are cofinal in $\mathbf{Vect}_{\mathbb{F}}(X)$ thanks to the following theorem (proven using Riemannian geometry).

Theorem 2.9 (Subbundle). *Let $p : E \to X$ be a vector bundle such that X is paracompact.*

(a) For any subbundle F of E, there is a subbundle $F^\perp$ of E such that $E \cong F \oplus F^\perp$.

(b) E has finite type if and only if there is another bundle E' such that $E \oplus E'$ is trvial.

We now can deduce that

$$\mathbb{Z} \leq [X, \mathbb{Z}] \leq K_{\text{top}}(X).$$

Note 2.10.

1. We have a split exact sequence.

$$\begin{tikzcd} 1 \arrow[r] & \widetilde{K}_{\text{top}}(X) \arrow[r] & K_{\text{top}}(X) \arrow[r, "\widehat{\dim}"'] & {[X, \mathbb{Z}]} \arrow[l, bend right] \arrow[r] & 1 \end{tikzcd},$$

where $\widetilde{K}_{\text{top}}(X)$ denotes $\ker\left(\widehat{\dim}\right)$.

2. The map of monoids $\mathbf{Vect}_{\mathbb{R}}(X) \to \mathbf{Vect}_{\mathbb{C}}(X)$ given by $[E] \mapsto [E \otimes \mathbb{C}]$ extends by universality to a homomorphism $KO(X) \to KU(X)$. Likewise, the forgetful functor $\mathbf{Vect}_{\mathbb{C}}(X) \to \mathbf{Vect}_{\mathbb{R}}(X)$ extends to a homomorphism $KU(X) \to KO(X)$.

Finally, to state a nice early connection between algebraic and topological K-theory, let X be a compact Hausdorff space and $\mathcal{C}(X, \mathbb{F})$ denote the ring of continuous functions $X \to \mathbb{F}$. For any vector bundle $p : E \to X$ over $\mathbb{F}$, set

$$\Gamma(X, E) = \{s : X \to E : p \circ s = \mathrm{Id}_X\},$$

the vector space of global sections of E.

Theorem 2.11 (Swan). *The mapping $E \mapsto \Gamma(X, E)$ induces isomorphisms $KO(X) \cong K_0(\mathcal{C}(X, \mathbb{R}))$ and $KU(X) \cong K_0(\mathcal{C}(X, \mathbb{C}))$.*