

Categories tannakiennes

P. Deligne

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1 Introduction

In [6], N. Saavedra described certain categories equipped with a tensor product, the Tannakian Categories, as the categories of representation of gerbes (in particular: representations of a group-scheme). His presentation is incomplete (cf. [2].3.15). Our goal is to complete it. I was not able to write a short presentation giving only the missing arguments: many ideas of the article are in [6], due to Saavedra and, through him, to A. Grothendieck

The paragraphs 2 to 5 do not claim to be original. They gather results which, in paragraph 6, allows us to complete Saavedra's presentation. In paragraph 7, we show that in characteristic 0, a tensor category (1.2), whose every object has dimension (7.1) an integer ≥ 0 is Tannakian. In paragraph 8, we apply the methods of paragraph 6 and 7 to tensor categories which are not necessarily Tannakian. As an application (8.19), we describe tensor categories on k , say perfect, equipped with an exact \otimes -functor with values in a supervector spaces over k (1.4).

Paragraph 9 gives an application of the formalism of Tannakian categories to Picard-Vessiot theory. Let (K, ∂) be a differential field with the field of constants $K_0 := \{x | \partial x = 0\}$ algebraically closed of characteristic 0 and $y^n + a_1 y^{n-1} + \dots + a_n = 0$ be a linear differential equation of order n with coefficients in K . We see that the existence of an extension (E, ∂) of (K, ∂) , with the same field of constants, in which the equation admits n linearly independent solutions on the constants. This application is the result of discussions with D. Bertrand. The result is a version of E.R. Kolchin ([3 VI 6 prop. 13]). At the end of this introduction, after indicating some terminological conventions, we describe the main result 1.12 of paragraphs 2 to 6.

1.1 Terminology. *A ring (or an algebra) always means a ring (algebra) with a unit and morphisms send units to units.*

In the article, k will mean a commutative rings, often considered to be a field. We only consider the schemes over k . Often, we say schemes for schemes over k and morphism of schemes for morphism of schemes over k . We denote by $X \times Y$, the product over k , $X \times_{\text{Spec } k} Y$ and $\text{Hom}(X, Y)$ the be the set of morphisms of schemes over k of X to Y .

We identify a representable functor with the object it represents.

1.2. Let k be a commutative field. In this article, we call simply a tensor category over k what in N. Saavedra [6] (resp. Deligne-Milne [2]) mean an abelian \otimes -category ACU (associative commutative unital) k -linear rigid, with $k \xrightarrow{\sim} \text{End}(1)$ (resp. an abelian tensor category, rigid, k -linear, with $k \xrightarrow{\sim} \text{End}(1)$). The axioms are recalled in 2.1. This is a k -linear abelian category \mathcal{T} equipped with a functor $\otimes : \mathcal{T} \times \mathcal{T} \rightarrow \mathcal{T}$ with the constraints of associativity and commutativity for \otimes (the functorial isomorphisms $(X \otimes Y) \otimes Z \xrightarrow{\sim} X \otimes (Y \otimes Z)$ and $X \otimes Y \xrightarrow{Y} \otimes X$) satisfying suitable axioms. Among the axioms is the existence of a unit object 1 .

1.3 Example. The category $\text{Vect}(k)$ of vector spaces of finite dimension over k , equipped with the tensor product evidently satisfies the constraints of associativity and commutativity.

1.4 Example. \mathcal{T} is the category of vector spaces of finite dimension over k , with a $\mathbb{Z}/2\mathbb{Z}$ -grading, \otimes the tensor product, with the obvious constraint of associativity and commutativity being given by the Koszul's rule: $a \otimes b \mapsto (-1)^{\deg a \deg b} b \otimes a$ for a and b homogeneous. This is the category of super vector spaces of finite dimension over k .

1.5 Example. Let G be an affine group scheme over k . We denote by \mathcal{T} , the category $\text{Rep}(G)$ of linear representations of finite dimension of G over k , with \otimes the tensor product of representations, with the usual constraints.

When G is trivial, we recover example 1.3.

1.6. A generalisation of example 1.5 will play an essential role for use. Before the generalisation, some preliminaries...

Let S be a scheme over k . Recall (SGA 3 V1) that a k -groupoid acting on S is a scheme G over k equipped with source and target morphisms: $b, s : G \rightarrow S$ and a composition law $\circ : G \times_{sS^b} G \rightarrow G$ which is a morphism of scheme over $S \times S$, such that for every scheme T over k , $S(T) := \text{Hom}(T, S)$, $G(T) := \text{Hom}(T, G)$, $s, b : G(T) \rightarrow S(T)$, \circ defines a category (objects: $S(T)$, arrows: $G(T)$) for which all arrows are invertible. This can also be expressed in terms of diagrams: associativity expressed by the equality of the compositions

$$G \times_{sS^b} G \times_{sS^b} G \xrightarrow[\text{Id} \times \circ]{\circ \times \text{Id}} G \times_{sS^b} G \longrightarrow G,$$

the identity arrow is an $S \times S$ morphism $\epsilon : S \rightarrow G$ (S is an $S \times S$ schemes via the diagonal) such that the compositions

$$G = G \times_{sS} S = S \times_{S^b} G \xrightarrow[\text{Id} \times \epsilon]{\epsilon \times \text{Id}} G \times_{sS^b} G \xrightarrow{\circ} G$$

are the identity morphism, the inverse by " -1 " : $G \rightarrow G$ with $s"-1" = "-1"b$,

$b'' - 1'' = '' - 1''s$, and the following diagrams commute

$$\begin{array}{ccc} G & \xrightarrow{''-1'' \times Id} & G \times_{sS^b} G \\ \downarrow s & & \downarrow \circ \\ S & \xrightarrow{\epsilon} & G \end{array} \quad \begin{array}{ccc} G & \xrightarrow{Id \times ''-1''} & G \times_{sS^b} G \\ \downarrow b & & \downarrow \circ \\ S & \xrightarrow{\epsilon} & G. \end{array}$$

The terminology of SGA 3 V1 is that (S, G) is a (schemes over k)-groupoid.

For $u : T \rightarrow S$, the pullback of G over $u \times u : T \times T \rightarrow S \times S$ is a k -groupoid over T : the induced groupoid G_T .

A representation of G is a quasi-coherent sheaf V over S equipped with an action ρ of G , i.e. every given k -scheme T and every $g \in G(T)$, there is a homomorphism $\rho(g) : V_{s(g)} \rightarrow V_{b(g)}$ between the two images of V by $s(g)$ and $b(g) : T \rightarrow S$. We require $\rho(g)$ to be compatible under base change $T' \rightarrow T$, $\rho(gh) = \rho(g)\rho(h)$ (for $s(g) = b(h)$) and the for every g , the identity automorphism $\epsilon(s)$ for $s \in S(T)$, $\rho(g)$ is the identity automorphism of V_s . Since G is a groupoid, $\rho(g)$ is an isomorphism. An action ρ is determined by $\rho(g)$ in the universal case $T = G$, $g = Id_G : G \rightarrow G$, i.e. for every morphism $u : s^*V \rightarrow b^*V$ between quasi-coherent sheaves on G . This morphism must satisfy:

1. Over $G \times_{sS^b} G$, the inverse image of u under $\circ : G \times_{sS^b} G \rightarrow G$ is the composition $pr_1^*(u) \circ pr_2^*(u)$;
2. $\epsilon^*(u)$ is identity.

We say that the groupoid G is transitive over S (in the fpqc sence) if the morphism $(b, s) : G \rightarrow S \times_k S$ is a cover in the sence of fpqc, i.e. there exists a T faithfully flat quasi-compact over $S \times S$ with $\text{Hom}_{S \times S}(T, G) \neq \emptyset$. If G is transitive, then

1. G is flat, so faithfully flat over $S \times S$ (3.6);
2. if G acts on quasi-coherent V and the fibers V_s are vector spaces of finite rank n over the residue field $k(s)$, so V is locally free of rank n (3.5).

1.7 Example. Let G be a k -groupoid acting transitively over a non-empty S over k . We take \mathcal{T} to be the category of locally free sheaves of finite rank over S equipped with an action of G and for the tensor product functor \otimes equipped with the obvious constraints. Notation: $\text{Rep}(S : G)$.

When S is a point $S = \text{Spec}(k)$, we recover 1.5.

1.8 Remark. Let G be a groupoid acting transitively on S , $u : T \rightarrow S$ and G_T is the induced groupoid (1.6). We verify (3.5) that if $T \neq \emptyset$, $u^* : \text{Rep}(S : G) \rightarrow \text{Rep}(T : G_T)$ is an equivalence of categories. In particular, if $S(k) \neq \emptyset$, so $x \in S(k)$ and G_x is an algebraic group over k over fixed x (the fiber of G over (x, x)), we have $\text{Rep}(S : G) \rightarrow \text{Rep}(G_x)$

1.9. Let \mathcal{T} be a tensor category over k and S be a k -scheme. A fiber functor of \mathcal{T} over S is a k -linear exact functor ω of \mathcal{T} to the category of quasi-coherent sheaves on S , equipped with a natural isomorphism $\omega(X) \otimes \omega(Y) \xrightarrow{\sim} \omega(X \otimes Y)$ ACU, i.e. compatible with the constraints of associativity, commutativity and having a unit (2.7). The axioms imposed on \mathcal{T} imply that ω takes values in locally free sheaves of finite rank (2.8). For $S = \text{Spec}(B)$, ω is identified by a functor of \mathcal{T} to the category of finite-type projective B -modules. We again call ω a fiber functor over B .

Let ω_1 and ω_2 be two fiber functors over S . A \otimes -isomorphism, or an isomorphism of fiber functors $u : \omega_1 \rightarrow \omega_2$ is an isomorphism of functors such that the diagram commutes

$$\begin{array}{ccc} \omega_1(X) \otimes \omega_1(Y) & \longrightarrow & \omega_1(X \otimes Y) \\ \downarrow u \otimes u & & \downarrow u \\ \omega_2(X) \otimes \omega_2(Y) & \longrightarrow & \omega_2(X \otimes Y) \end{array}$$

and such that $u : \omega_1(1) \rightarrow \omega_2(1)$ is the identity automorphism of \mathcal{O}_S .

1.10. In [6], Saavedra claims with insufficient demonstration (cf. [2] 3.15) that: (*) two fiber functors of \mathcal{T} over $\text{Spec}(B)$ are locally isomorphic for the fpqc topology, i.e. there exists B' over B , faithfully flat, such that ω_1 and ω_2 after extension of scalars from B to B' .

Our first goal is to show that the assertion (*) is true (with the additional necessary hypothesis, $k \xrightarrow{\sim} \text{End}(1)$ that Saavedra had forgotten) and justify all the results of [6].

1.11. If ω_1 and ω_2 are two fiber functors over S , we denote by $\underline{\text{Isom}}_k^\otimes(\omega_1, \omega_2)$ the functor that takes T over $S : u : T \rightarrow S$ to the set of isomorphism of fiber functors $u^*\omega_1$ with $u^*\omega_2$. The functor is representable by an affine scheme over S . If ω_i is a fiber functor over S_i ($i=1,2$), we write

$$\underline{\text{Isom}}_k^\otimes(\omega_2, \omega_1) := \underline{\text{Isom}}_{S_1 \times S_2}^\otimes(pr_2^*\omega_2, pr_1^*\omega_1)$$

For a fiber functor ω over S , we write $\underline{\text{Aut}}_S^\otimes(\omega) = \underline{\text{Isom}}_S^\otimes(\omega, \omega)$ and

$$\underline{\text{Aut}}_k^\otimes(\omega) = \underline{\text{Isom}}_k^\otimes(\omega, \omega)$$

Following conventions (1.1), we identify the functors with the schemes they represent. The scheme $\underline{\text{Aut}}_k^\otimes(\omega)$ is a k -groupoid acting over S . The target morphism b (resp. source s) is the composition of pr_1 (resp. pr_2) with the projections over $S \times S$. We prove in 1.13(b), 6.8, 6.14 and 6.15 the following result.

1.12 Theorem. Let \mathcal{T} be a tensor category over k and ω be a fiber functor of \mathcal{T} over a k -scheme $S \neq \emptyset$.

1. The groupoid $\underline{\text{Aut}}_k^\otimes(\omega)$ is faithfully flat over $S \times S$;

2. ω induces an equivalence of \mathcal{T} with the category $\text{Rep}(S : \underline{\text{Aut}}_k^\otimes(\omega))$ of representations of the groupoid $\underline{\text{Aut}}_k^\otimes(\omega)$

Conversely, let G be a k -groupoid acting on affine $S \neq \emptyset$ and faithfully flat over $S \times S$ and ω is a fiber functor of $\text{Rep}(S : G)$ over S "forgetting the action of G ." We have

3.

$$G \xrightarrow{\sim} \underline{\text{Aut}}_k^\otimes(\omega)$$

The theorem provides a dictionary of tensor category over k equipped with a fiber functor over S and k -groupoids acting transitively over S and affine over $S \times S$.

1.13 Remark. 1. If ω_1 and ω_2 are fiber functors over S_1 and S_2 , there exists a disjoint union $T := S_1 \amalg S_2$ and a fiber functor ω , unique upto a unique isomorphism, equipped with isomorphisms $\omega|_{S_j} = \omega_j$ ($j=1,2$). We apply 1.12.1 to ω . The pullback over $S_2 \times S_1$ of the scheme $\underline{\text{Aut}}_k^\otimes(\omega)$ to $T \times T$ is $\underline{\text{Isom}}_k^\otimes(\omega_1, \omega_2)$. According to 1.12.1, $\underline{\text{Isom}}_k^\otimes(\omega_1, \omega_2)$ is faithfully flat over $S_2 \times S_1$.

For $S_1 = S_2 = S$, the restriction to the diagonal of $\underline{\text{Isom}}_k^\otimes(\omega_1, \omega_2)$ is $\underline{\text{Isom}}_S^\otimes(\omega_1, \omega_2)$. The S -scheme $\underline{\text{Isom}}_S^\otimes(\omega_1, \omega_2)$ is hence faithfully flat over S . This justifies 1.10(*).

2. If 1.12 is true over affine S , then it is true in general. For the assertion 1, if S_i is an open affine covering of S , the pullback of $\underline{\text{Aut}}_k^\otimes(\omega)$ over $S_i \times S_j$ is $\underline{\text{Isom}}_k^\otimes(\omega|_{S_i}, \omega|_{S_j})$ and, applying 1.13.1, we conclude that 1.12.1 applies to $S_i \amalg S_j$. For 2, observe that for U an non-empty affine open over S , we have by 1.8 $\text{Rep}(S : \underline{\text{Aut}}_k^\otimes(\omega)) \xrightarrow{\sim} \text{Rep}(U : \underline{\text{Aut}}_k^\otimes(\omega(U)))$. We conclude by 1.12.2 for U . For 3. If U_1 and U_2 are non-empty open affine of S_x and that G_U is the induced groupoid over $U = U_1 \amalg U_2$, we have $\text{Rep}(S : G) \xrightarrow{\sim} \text{Rep}(U : G_U)$ and by 1.12.3 applied to U , the morphism $G \rightarrow \underline{\text{Aut}}_k^\otimes(\omega)$ is an isomorphism by above on $U_1 \times U_2$.

1.14. Let G be a groupoid acting on $S = \text{Spec}(B)$. Suppose G is affine over $S \times S$, i.e. affine: $G = \text{Spec}(L)$. Since (b, s) makes G a scheme over $S \times S := S \times_{\text{Spec}(k)} S$ (1.1), L is a $B \otimes_k B$ -module, i.e. a B, B -bimodule such that the two structures induce coinciding k -modules. We write to the left (resp. to the right) the structure of B -module defined by b (resp. s).

The B, B -bimodule L is equipped with the following structure:

1. L is a commutative $B \otimes_k B$ -algebra, with the product

$$p : L \otimes_{B \otimes B} L \rightarrow L.$$

2. The law of composition $G \times_{sS^b} G \rightarrow G$ corresponds to

$$c : L \rightarrow L \otimes_B L$$

and identity $\epsilon : S \rightarrow G$ to $e : L \rightarrow B$.

Let M be a B -module (= a quasi-coherent sheaf over S). An action of G over M is a morphism of L -modules

$$L \otimes_{sB} M \rightarrow M \otimes_{B^b} L$$

or, which again amounts to a morphism of B -modules

$$r : M \rightarrow M \otimes_{B^b} L$$

(to the right, the structure of B -module defined by the right structure on L), with the compatibility of the composition to the neutral elements. The compatibility translates by 1.14.1, the equality of the following compositions

$$M \xrightarrow{r} M \otimes L \xrightleftharpoons[L \otimes c]{r \otimes L} M \otimes L \otimes L,$$

and the equality of the composition $M \xrightarrow{r} M \otimes L \xrightarrow{M \otimes e} M$ to the identity.

We see that only structure (2) was used on L .

1.15. Inspired by this remark, for every ring B not necessarily commutative, we define a co-algebra L to be a bimodule over B equipped with a bimodule morphism $c : L \rightarrow L \otimes_B L$ satisfying the axioms of coassociativity: c equalizes the double arrow $(c \otimes 1, 1 \otimes c)$

$$L \xrightarrow{c} L \otimes_B L \xrightleftharpoons[1 \otimes c]{c \otimes 1} L \otimes_B L \otimes_B L$$

and admits a counit $e : L \rightarrow B$: a morphism of bimodules such the the compositions

$$L \xrightarrow{c} L \otimes_B L \xrightleftharpoons[1 \otimes e]{e \otimes 1} L$$

are identity. Note that if c admits a counit, then it is unique. We will need only the case in which B is commutative, but not assuming it helps in not mixing up the left and the right.

If B is commutative and that the two structures of B -module over L coincide, we retrieve the co-algebra over B , hence the terminology. If k is a commutative ring and B is a k -algebra, we define a k -co-algebra L to be a co-algebra L such that the two structures of k -modules induced by the structures of B -modules coincide.

A representation of L is a right B -module M equipped with a coaction of L , i.e. a morphism of right B -modules $r : M \rightarrow M \otimes_B L$ satisfying (1.14.1) (1.14.2).

If L is a flat left B -module, the category of representations of L is abelian and the forgetful functor of the coaction is exact.

1.16. Let \mathcal{T} be a tensor category over k , $S = \text{Spec}(B)$ be an affine scheme over k and ω be a fiber functor of \mathcal{T} over S . Imitating Saavedra, we begin by forgetting the tensor product and construct a k -co-algebra L acting on B such that ω factors through an equivalence of categories of \mathcal{T} and the category of locally free sheaves of finite rank over S equipped with a coaction of L . The proof (6.1, 6.2) is an application of the theorem of Barr-Beck (4.1). It is similar the the theorem of faithfully flat descent SGA 1 VIII 1. The compatibility of ω with the tensor product equips L with a product and we verify that $G := \text{Spec}(L)$ is the groupoid $\underline{\text{Aut}}_k(\omega)$ acting on S (6.3 - 6.6).

It remains to show that G is faithfully flat over $S \times S$. We construct a tensor category $\mathcal{T} \otimes \mathcal{T}$ with suitable properties - in particular that a fiber functor ω of \mathcal{T} defines a fiber functor $\omega \times \omega$ of $\mathcal{T} \otimes \mathcal{T}$ over $S \times S$. The $B \otimes B$ -module L will be faithfully flat as the image under $\omega \times \omega$ is an Ind-object containing 1 of $\mathcal{T} \otimes \mathcal{T}$.

We give two proofs of the existence of the tensor category $\mathcal{T} \otimes \mathcal{T}$. The first uses a theorem of passing to generic quotient (3.11) and the hypothesis $\text{End}(1) = k$ for seeing the if \mathcal{T} is finitely \otimes -generated, there exists a fiber functor ω_1 over the scheme S_1 , which is the spectrum of a finite extension of k with $G_1 = \underline{\text{Aut}}_k^\otimes(\omega_1)$ faithfully flat over $S_1 \times S_1$. From the structure theorem $\mathcal{T} \sim \text{Rep}(S_1 : G_1)$ we deduce the existence of the required tensor category $\mathcal{T} \otimes \mathcal{T}$ (5.21). The second proof relies on a direct construction. It only applies when k is perfect.

2 Reminders and complements: tensor categories

Let k be a commutative field.

2.1. The axioms of tensor categories over k (in our sense, see 1.2) are as follows.

(2.1.1) The category \mathcal{T} is equipped with a tensor product functor $\otimes : \mathcal{T} \times \mathcal{T} \rightarrow \mathcal{T}$, satisfying the constraints of associativity and commutativity compatible for \otimes ([4], [5] VII 7, where the terminology is "symmetric monoidal category", [6] I §1.2 or [2] §1 p.104) and there exists a unit object 1 ([6] I 1.3.2; the unit object is unique upto isomorphism; it is equipped with the constraint $X \otimes 1 \xrightarrow{\sim} X$ and $1 \otimes X \xrightarrow{\sim} X$).

These axioms allow us to define the product \otimes over a finite family $(X_i)_{i \in I}$ of object of \mathcal{T} .

(2.1.2) For every X , there exists X^\vee and morphism $\text{ev} : X \otimes X^\vee \rightarrow 1$ and $\delta : 1 \rightarrow X^\vee \otimes X$ such the the compositions

$$X \xrightarrow{X \otimes \delta} X \otimes X^\vee \otimes X \xrightarrow{\text{ev} \otimes X} X$$

$$X^\vee \xrightarrow{\delta \otimes X^\vee} X^\vee \otimes X \otimes X^\vee \xrightarrow{X^\vee \otimes \text{ev}} X^\vee$$

are identity.

(2.1.3) The category is abelian.

(2.1.4) An isomorphism $k \xrightarrow{\sim} \text{End}(1)$ of k with the endomorphism ring of 1 is given.

2.2. Let \mathcal{M} be a monoidal category ([5] VII 1), i.e. equipped with $\otimes : \mathcal{M} \times \mathcal{M} \rightarrow \mathcal{M}$, satisfying the constraints of associativity ([6 I 1.1.1]) and admitting a unit object 1. The functor sending \mathcal{M} in the category $\underline{\text{Hom}}(\mathcal{M}, \mathcal{M})$ of functors of \mathcal{M} to $\mathcal{M} : X \mapsto$ (the functor $s_X : Z \mapsto X \otimes Z$) is faithful. It admits a retraction $s \mapsto s(1)$. It is equipped with a natural isomorphism $s_X \circ s_Y \xrightarrow{\sim} s_{X \otimes Y} : X \otimes (Y \otimes Z) \xrightarrow{\sim} (X \otimes Y) \otimes Z$. This isomorphism is AU: compatible with the constraints of associativity and admits $s_1 \xrightarrow{\sim} \text{Id}_{\mathcal{M}}$, compatible with the constraints of being a unit. After applying the functor s, X, X^\vee, ev and δ as in (2.1.2), provide an adjunction of functors: s_X is left adjoint of s_{X^\vee} . Let d be the functor

2.3 Proposition.

Proof.

□

2.4.

2.5.

2.6 Proposition.

Proof.

□

2.7.

2.8.

2.9.

2.10 Corollary.

Proof.

□

2.11 Remark.

2.12.

2.13 Proposition.

Proof.

□

2.14 Proposition.

Proof.

□

2.15 Lemma.

Proof.

□

2.16.

2.17 Corollary.

2.18.

2.19.

3 Reminders and complements: groupoids

3.1.

3.2.

3.3 Proposition.

Proof.

□

3.4.

3.5.

3.6.

3.7 Proposition.

Proof.

□

3.8 Corollary.

3.9 Corollary.

Proof.

□

3.10.

3.11 Proposition.

Proof.

□

4

4.1.

4.2.

4.3.

4.4 Proposition.

4.5 Proposition.

Proof.

□

4.6 Remark.

4.7.

4.8 Example.

4.9.

4.10.

4.11.

4.12.

4.13 Proposition.

Proof.

□

5 Tensor product of abelian categories

5.1.

5.2.

5.3 Proposition.

5.4 Corollary.

Proof.

□

5.5 Proposition.

Proof.

□

5.6.

5.7 Proposition.

Proof.

□

5.8. *This section is missing*

5.9 Lemma.

Proof.

□

5.10.

5.11 Proposition.

Proof.

□

5.12.

5.13 Proposition.

5.14 Proposition.

Proof.

□

5.15.

5.16.

5.17 Proposition.

Proof.

□

5.18.

5.19.

5.20 Lemma.

Proof.

□

5.21 Lemma.

Proof.

□

6 The main theorem

6.1.

6.2 Proposition.

6.3.

6.4 Proposition.

Proof.

□

6.5.

6.6 Proposition.

Proof.

□

6.7.

6.8.

6.9 Lemma.

6.10.

6.11 Lemma.

Proof.

□

6.12.

6.13 Lemma.

Proof.

□

6.14.

6.15.

6.16.

6.17 Lemma.

6.18 Lemma.

Proof.

□

6.19 Proposition.

Proof.

□

6.20 Corollary.

Proof.

□

6.21.