

Talk 3 Control Theorems

§1 Iwasawa suitable specializations

- * Note that there are various formulation of Iwasawa suitable specializations (eg: [Fouquet-Wan], [Fouquet, 2024 Besançon], [Wan 2024 ICTS]), we take the one in [Fouquet's Besançon article].

Recall by Nakamura, we have a universal zeta morphism

$$z_{\Sigma}^{\text{univ}} : T_{\Sigma}^{\text{univ}}(-1)^+ \longrightarrow H_{\text{ét}}^1(\mathbb{Z}[\frac{1}{\Sigma}], T_{\Sigma}^{\text{univ}})$$

that interpolates Kato's zeta element.

Define : Let $\lambda : R_{\Sigma}(\bar{p}) \rightarrow A$ be a specialization to a reduced ring A , then it is called Iwasawa suitable if $\text{Cone}(z_{\Sigma, \lambda}) \otimes_A Q(A)$ is acyclic.

(A) Tamagawa number conjecture : We consider $M_{\chi}(r)$ is strictly critical then automatically for the specialization $\lambda_{X,r} : R_{\Sigma}(\bar{p}) \rightarrow Q_X$, the zeta morphism automatically gives an isomorphism between E_{χ} -vector spaces

$$z_{X,r} := z_{\lambda_{X,r}} : V_{\chi}^{(r-1)} \xrightarrow{\sim} H_{\text{ét}}^1(\mathbb{Z}[\frac{1}{\Sigma}], V_{\chi}^{(r)})$$

Hence $\text{Cone}(z_{X,r}) \otimes_{Q_X} E_{\chi}$ is acyclic. (recall : $\text{Cone}(f)$ is acyclic $\Leftrightarrow f$ is a qis.)

(B) Iwasawa main conjecture : Date back to the computation of $\text{Cone}(f)$, it suffices to check : (naively, they are torsion, so $-\otimes_{\Lambda_{Iw}} \text{Frac}(\Lambda_{Iw})$ kills them)

$$H_{\text{ét}}^1(\mathbb{Z}[\frac{1}{\Sigma}], T_{f,Iw}) / \text{im } z_{f,Iw}^{\text{Kato}} \quad \text{and} \quad H_{\text{ét}}^2(\mathbb{Z}[\frac{1}{\Sigma}], T_{f,Iw})$$

are torsion Λ_{Iw} -modules. The torsionness follows from [Kato, Astérisque, Theorem 12.4].

(1) Note : The cohomology of $R\Gamma_{\text{ét}}(\mathbb{Z}[\frac{1}{\Sigma}], T_{f,Iw})$ is concentrated in deg [1,2].

(2) To apply [Astérisque], one may need to note the difference that

here we're using Σ -imprimitive $H^i_{\text{ét}}$ but in loc.cit, Katz uses primitive ones. This difference should be taken care of!

(3) In [Astérisque], it is proved that $H^2_{\text{ét}}$ is a torsion Λ_{Iw} -module. For $H^1_{\text{ét}}$, if $p \neq 2$ and \bar{T}_f is irred, then $H^1_{\text{ét}}$ is a free Λ_{Iw} -mod of rank one. Since $\text{im } z_{f,Iw}^{\text{Katz}}$ is non-trivial, the quotient is then a torsion Λ_{Iw} -mod.

(c) Universal Iwasawa main conjecture : Similar to (B), it suffices to show

$$H^1_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}^{\text{univ}}\right) / \text{im } z_{\Sigma}^{\text{univ}} \quad \text{and} \quad H^2_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}^{\text{univ}}\right)$$

are torsion $R_{\Sigma}(\bar{p})$ -modules. The proof is by reducing to (B) : the canonical isomorphism

$$R\Gamma_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}\right) \underset{R_{\Sigma}(\bar{p}), \times}{\overset{\mathbb{L}}{\otimes}} \Lambda_{Iw} \xrightarrow{\text{can}} R\Gamma_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{f,Iw}\right) \quad \text{--- (x)}$$

case of (B)

By the result of (B) and "Nakayama's lemma", we see that :

- $R\Gamma_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}\right)$ is concentrated in degree $[1,2]$.
- $H^2_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}\right)$ is torsion
- $H^1_{\text{ét}}\left(\mathbb{Z}\left[\frac{1}{\Sigma}\right], T_{\Sigma}\right)$ is generated by at most one element.

Hence to see $H^1_{\text{ét}}/\text{im } z_{\Sigma}$ is torsion, it suffices to a modular point $\lambda_{f,Iw}$, where the result follows.

Question : How many Iwasawa suitable specializations are there ?

Theorem ([FW, Prop.2.6 & 3.16])

The set of specializations $\lambda : R_{\Sigma}(\bar{P}) \rightarrow \mathcal{O}$ such that

- one of the points on the fibre of λ is not Iwasawa suitable , or
- $\mathrm{Spec} R_{\Sigma}(\bar{P})$ is not étale over Λ at λ

is of large codimension . (understand as : there are very few bad specializations .)

We shall see from §2.2 that étaleness is crucial , but our original point of interest may not be étale . This does not matter because of Theorem : we can approximate the original point by "good specializations" though itself maybe bad .

§2 Control theorem

We start with a warm up :

§2.0 Warm up

We prove the following :

Theorem : INC for f implies TNC for all integers $1 \leq r \leq k-1$ and $\chi \in \widehat{G_n}$ such that $M_\chi(r)$ is strictly critical. (In [Fouquet 24, Prop. 3.9], this condition is missed)

Proof : This boils down (chasing diagram) to the commutativity of the diagram

$$\begin{array}{ccc} \Delta(T_{f, Iw}) & \xrightarrow{\sim z_{f, Iw}} & \Lambda_{Iw} \\ - \otimes_{\Lambda_{Iw}, \chi} \mathcal{O}_X \downarrow & & \downarrow \chi \\ \Delta(T_{f, \chi, r}) & \xrightarrow{\text{?} \cong z_{f, \chi(r)}} & \mathcal{O}_X \end{array}$$

INC

TNC

with the left-hand-side vertical arrow being the isomorphism

$$\Delta(T_{f, Iw}) \otimes_{\Lambda_{Iw}, \chi} \mathcal{O}_X \xrightarrow{\sim \text{can}} \Delta(T_{f, \chi, r}).$$

induced from the canonical isomorphism of complexes

$$R\Gamma_{\text{\'et}}(\mathbb{Z}[\frac{1}{\Sigma}], T_{f, Iw}) \otimes_{\Lambda_{Iw}, \chi} \mathcal{O}_X \xrightarrow{\sim} R\Gamma_{\text{\'et}}(\mathbb{Z}[\frac{1}{\Sigma}], T_{f, \chi}(r))$$

This latter " $\xrightarrow{\sim}$ " comes from the universal coefficient theorem of étale cohomology. (To apply UCT here, we crucially use that $T_{f, Iw}$ is a perfect complex of étale sheaves of Λ_{Iw} -modules on $\text{Spec } \mathbb{Z}[\frac{1}{\Sigma}]$.) \square

This plays no role in the proof of Thm A actually, but it shows a prototype of the technique. This can be regarded as a "control theorem", and we want to formulate and generalize it to the universal deformation spaces.

§ 2.1 Fouquet-Wan control theorem

Definition: Let $\lambda: R_{\Sigma(\bar{P})} \rightarrow A$ and $\psi: R_{\Sigma(\bar{P})} \rightarrow B$ be two specializations.

We say λ contains ψ (write $\lambda \geq \psi$) if \exists a morphism of local rings $\psi: A \rightarrow B$ s.t. the diagram

$$\begin{array}{ccc} R_{\Sigma(\bar{P})} & \xrightarrow{\quad \psi \quad} & B \\ \downarrow \lambda & \nearrow & \\ A & & \end{array}$$

(sometimes we denote $\psi: A \rightarrow B$ and do not assign a notation for $R_{\Sigma(\bar{P})} \rightarrow B$.)

commutes.

The theorem in § 2.0 is a typical example : $\lambda_{f, Iw}$ contains $\lambda_{f, \chi, r}$, then the validity of INC implies TNC. Other examples are :

- universal specialization $\text{id}: R_{\Sigma(\bar{P})} \rightarrow R_{\Sigma(\bar{P})}$ contains any specialization.
- Iwasawa-theoretic specialization $\lambda_{f, Iw}: R_{\Sigma(\bar{P})} \rightarrow A_{Iw}$ contains the modular point $\lambda_f: R_{\Sigma(\bar{P})} \rightarrow \mathbb{O}$.

For such containment, we have the following control theorem :

Theorem : Let $\lambda \geq \psi$ be two Iwasawa suitable specializations.

Let $\cdot (x, y) \in A^2$ be such that the image of triv_{z_λ} is equal to $\frac{x}{y}A$

$\cdot (x', y') \in B^2$ $\xrightarrow{\text{triv}_{z_\lambda}} \frac{x}{y}A \xrightarrow{\text{triv}_{z_\psi}} \frac{x'}{y'}B$

Then the canonical isomorphism

$$\Delta_{\Sigma(T_\lambda)} \otimes_{A, \psi} B \xrightarrow{\sim} \Delta_{\Sigma(T_\psi)}$$

fits into the commutative diagram :

$$\begin{array}{ccc} \Delta_{\Sigma(T_\lambda)} & \xrightarrow{\text{triv}_{z_\lambda}} & \frac{x}{y}A \\ - \otimes_{A, \psi} B \downarrow & & \downarrow \psi \\ \Delta_{\Sigma(T_\psi)} & \xrightarrow{\text{triv}_{z_\psi}} & \frac{x'}{y'}B \end{array}$$

In particular, the morphism ψ extends to $\frac{x}{y}A \rightarrow \frac{x'}{y'}B$.

Proof : Let $p := \ker(A \xrightarrow{\psi} B)$. $\text{Frac}(A) = \text{Frac}(A_p) = A_p/pA_p =: k(p)$.

(i) The complex $R\Gamma_{\text{ét}}(\mathbb{Z}[\frac{1}{\Sigma}], T_\lambda \otimes_A A_p)$ is perfect & commutes with $- \otimes_A k(p)$.

(ii) The complex

$$\left(\text{Cone}\left((T_\lambda \otimes_A k(p))(-1)^+ \xrightarrow{z_\lambda} R\Gamma_{\text{ét}}\left(\mathbb{Z}[\frac{1}{\Sigma}], T_\lambda \otimes_A k(p)\right) \right) \right)$$

is acyclic since λ is Iwasawa suitable. By (i), and Nakayama's lemma,

$$\left(\text{Cone}\left((T_\lambda \otimes_A A_p)(-1)^+ \xrightarrow{z_\lambda} R\Gamma_{\text{ét}}\left(\mathbb{Z}[\frac{1}{\Sigma}], T_\lambda \otimes_A A_p\right) \right) \right)$$

is acyclic.

Then by the functoriality of Det , (i) & (ii) give the commutative diagram

$$\begin{array}{ccc}
 (?) \quad \Delta_A(T_\lambda) & \hookrightarrow & \boxed{\begin{array}{ccc}
 \Delta_A(T_\lambda \otimes_A A_p) & \xrightarrow{\cong} & A_p \\
 \downarrow \otimes_{A_p} k(p) & \text{acyclic property} & \downarrow - \otimes_{A_p} k(p) \\
 \Delta_A(T_A \otimes_A k(p)) & \longrightarrow & k(p) \\
 \downarrow \psi & & \downarrow \psi \\
 \Delta_{Q(B)}(T_\psi \otimes Q(B)) & \xrightarrow{\cong} & Q(B)
 \end{array}}
 \end{array}$$

(ii)

ψ is Iwasawa suitable functoriality of Det .

In particular, if $\text{triv}_{\mathbb{Z}_\lambda}(\Delta_A(T_\lambda))$ is generated by $\frac{x}{y}$, then y maybe chosen such that $y \notin p$, so $\psi(x)/\psi(y)$ generates $\text{triv}_{\mathbb{Z}_\psi}(\Delta_B(T_\psi))$. \square

Remark : The commutative diagram above is not exactly the one in the proof of [Fouquet, Besançon, Prop.3.15], we adapt the diagram following the proof of [F-W, Prop.3.22].

Application : The universal INC implies the INC at modular points.

Proof : We take :

$$\begin{array}{ccc}
 R_{\Sigma}(\bar{p}) & \xrightarrow{\mathcal{Z}_{f,Iw}^{\text{Kato}}} & \Lambda_{Iw} \\
 \downarrow \lambda := \text{id} & \nearrow \downarrow \psi & \Rightarrow \\
 R_{\Sigma}(\bar{p}) & &
 \end{array}
 \quad
 \begin{array}{ccc}
 \Delta_{\Sigma}(T_{\Sigma}^{\text{uni}}) & \xrightarrow[\sim]{\text{triv}_{z_{\Sigma}^{\text{uni}}}} & R_{\Sigma}^{\text{uni}}(\bar{p}) \quad (x=y=1) \\
 \downarrow - \otimes_{\bar{p}} \Lambda_{Iw} & \curvearrowright & \downarrow \psi \\
 \boxed{\Delta_{\Sigma}(T_{f,Iw})} & \xrightarrow[\sim]{\text{triv}_{z_f}} & \frac{x'}{y'} \Lambda_{Iw} = \Lambda_{Iw}
 \end{array}$$

The bottom red box is precisely the INC of f .

□

However, this is NOT the UINC we mean in Theorem A. The UINC is the "universal INC in families" involving Λ as the "weight algebra".

§2.2. Proof of Theorem A

Now we prove Theorem A. Recall:

Theorem A : There exists a Zariski-dense open subset $\mathcal{X}_{\Sigma}^{\text{sm}}(\bar{P}) \subseteq \mathcal{X}_{\Sigma}(\bar{P})$

st. TFAE:

(i) The "universal IMC for families" is true.

(ii) INC is true for all modular points in $\mathcal{X}_{\Sigma}(\bar{P})$.

(iii) $\underline{\quad}$ // $\underline{\quad}$ in $\mathcal{X}_{\Sigma}^{\text{sm}}(\bar{P})$

(iv) INC is true for the points in a single fiber of a modular point of $\mathcal{X}_{\Sigma}^{\text{sm}}(\bar{P})[\frac{1}{p}]$.

We divide it into three steps:

(1) π_{Σ} sends Δ_{Λ}^{-1} inside Λ . ("upper bound of UIMC in families")

(2) Prove: (iv) \Rightarrow (i), so we only need to show the lower bound.

(3) Prove: (i) \Rightarrow (ii).

Step 1 Assumes by contradiction that this is not the case. Let $\lambda: R_{\Sigma}(\bar{P}) \rightarrow \Lambda_{\text{Iw}}$

[Prop. 5.5] be an Iwasawa suitable specialization. By control theorem:

$$\begin{array}{ccc} \Delta_{\Lambda}^{-1} & \xrightarrow{\text{triv}_{\Sigma}} & \frac{x}{y} \Lambda, \quad \frac{x}{y} \notin \Lambda \\ \downarrow \otimes_{\Lambda} \Lambda_{\text{Iw}} & & \downarrow \\ \Delta_{\Lambda}(\tau_{\lambda})^{-1} & \xrightarrow{\text{triv}_{\lambda}} & \frac{x}{y} \Lambda_{\text{Iw}} \end{array}$$

- Λ is a UFD, so $\exists p \in \text{Spec} \Lambda$ of height one s.t. $y \in p$, $x \notin p$.

Since Λ is regular, we can take $p = (y_0)$ be principal.

- Further adjust λ in two steps:

▫ st. $\lambda(y_0) \in \mu_{\Lambda_{\text{Iw}}}^n$ but $\lambda(x) \notin \mu_{\Lambda_{\text{Iw}}}^n$. — ①

4 st. $\mathrm{Spec} \mathbb{T}_{\mu_p^\Sigma}$ is étale over $\mathrm{Spec} \Lambda$ at λ , — ② and
every point in the fiber of λ are Iwasawa suitable ③

This second adjustment is by Theorem*.

- By étaleness (? étale 起这样作用, 尚不很明白), we have ②

T_λ is a lattice inside $\bigoplus_{r=1}^d V_{\lambda,r}$ along the fibre of λ .

of $\mathrm{Gal}_{\mathbb{Q}, \Sigma}$ -reps $V_{\lambda,r}$ which are free modules of rank 2 over $\mathrm{Free}(\Lambda_{Iw})$.

↪ a SES: $0 \rightarrow T_\lambda \rightarrow \bigoplus_{r=1}^d T_{\lambda,r} \rightarrow C \rightarrow 0$ ↪ torsion Λ_{Iw} -module

Then apply Det-functor:

$$\bigotimes_{r=1}^d \Delta_{\Lambda_{Iw}}(T_{\lambda,r}) \xrightarrow{\sim} \Delta_{\Lambda_{Iw}}(T_\lambda) \otimes_{\Lambda_{Iw}} \Delta_{\Lambda_{Iw}}(C)$$

= unit object $\approx \Lambda_{Iw}$.

Hence by our hypothesis:

$$\mathrm{triv}_{z_\lambda} \left(\bigotimes_{r=1}^d \Delta_{\Lambda_{Iw}}^{-1}(T_{\lambda,r}) \right) \notin \Lambda_{Iw} \quad (\text{by } ①)$$

So $\exists r_0$ st. $z_\lambda(\Delta_{\Lambda_{Iw}}^{-1}(T_{\lambda,r_0})) \notin \Lambda_{Iw}$.

- But ③ says λ_{r_0} is Iwasawa suitable, this contradicts to [FW, Prop. 3.29].

Actually one understands this via:

the image $\mathrm{triv}_{z_\lambda}(\Delta_{\Lambda_{Iw}}^{-1}(T_{\lambda,r_0}))$
is contained inside Λ_{Iw}

↔

One divisibility
 $\mathrm{char}_{\Lambda_{Iw}} H_{\mathrm{ét}}^2(\mathbb{Z}[\frac{1}{\Sigma}], T_{\lambda, Iw}) \mid \mathrm{char}_{\Lambda_{Iw}} H_{\mathrm{ét}}^1/\mathrm{im}(z_{\lambda, Iw}^{\mathrm{kato}})$

and the RHS divisibility is precisely the one proved by Kato! □

Step 2

By assumption, \exists a fibre $S_x := \{x_i : 1 \leq i \leq d\}$ of a point $x \in \mathcal{X}_{\Sigma}^{\text{sm}}(\bar{P})$

[Prop. 5.8, Thm 5.2] S.t. INC is true at all classical points x_i . By étaleness (missing in Tanguet Besançon article, that should be essential!), control theorem and Step 1,

$\exists \alpha \in \Delta$ s.t. diagram commutes

$$\begin{array}{ccc} \Delta_{\Lambda}^{-1} & \xrightarrow{\text{triv}_{Z_{\Sigma}}} & \alpha \Delta \\ - \otimes_{\Lambda, x} \Lambda_{Iw} \downarrow & & \downarrow \lambda \\ \bigotimes_{\lambda_i \in S_x} \Delta_{\Lambda_{Iw}} (\tau_{\lambda_i})^{-1} & \xrightarrow{\sim} & \Lambda_{Iw} \\ & \otimes_{\lambda_i \in S_x} \text{triv}_{Z_{\lambda_i}} & \end{array}$$

Use the equalities of INC on the fibre to obtain the "lower bound" of $\text{triv}_{Z_{\Sigma}}$

This implies α is a unit in Δ hence $\text{triv}_{Z_{\Sigma}} : \Delta \rightarrow \Delta$ is an isomorphism, as desired!

Step 3 Let λ_f be a modular point, then we know KINC holds for Kato's [Prop. 5.8, Thm 5.2] inclusion, i.e. there is an inclusion :

$$\text{triv}_{Z_{f, Iw}} (\Delta_{\Lambda_{Iw}} (\tau_{f, Iw})^{-1}) \subseteq \Lambda_{Iw}$$

$$\text{so } \exists \gamma \in \Lambda_{Iw} \text{ s.t. } \text{triv}_{Z_{f, Iw}} : \Delta_{\Lambda_{Iw}} (\tau_{f, Iw})^{-1} \xrightarrow{\sim} \frac{1}{\gamma} \Lambda_{Iw}.$$

• By control theorem, there is a commutative diagram

$$\begin{array}{ccc} \Delta_{\Sigma} & \xrightarrow{Z_{\Sigma}^{\text{uni}}} & \frac{\alpha}{\beta} R_{\Sigma}(\bar{P}) \\ - \otimes_{\lambda_f, Iw} \Lambda_{Iw} \downarrow & & \downarrow \lambda_{f, Iw} \\ \Delta_{\Lambda_{Iw}} (\tau_{f, Iw})^{-1} & \xrightarrow{\text{triv}_{Z_{f, Iw}}} & \frac{1}{\gamma} \Lambda_{Iw} \end{array}$$

in which we can choose β s.t. $\lambda_{f, Iw}(\beta) \neq 0$.

• Let $Z :=$ set of specializations sending β to zero. Then by Theorem 8, a specialization $\chi : \mathbb{H}_{\bar{P}}^{\Sigma} \rightarrow \mathcal{O}$ not in Z above $x \in \text{Spec } \Lambda$, s.t. $\text{Spur}_{\mathbb{H}_{\bar{P}}^{\Sigma}}$ is étale over x on Λ and all specializations above x is IS.

$$\begin{array}{ccc}
 \Rightarrow & \boxed{\Delta_{\Sigma}(\mathbb{T}_{\Sigma}) \xrightarrow{Z_{\Sigma, \lambda}} \mathbb{A}} & \leftarrow \text{universal IMC for families} \\
 & \downarrow - \otimes_{\mathbb{A}, X_{Iw}} \Lambda_{Iw} & \text{by control theorem} \\
 & \text{---} & \\
 & \psi \in S_x \otimes \Delta_{\Lambda_{Iw}}(\mathbb{T}_{\psi, Iw}) \xrightarrow{\otimes Z_{\Sigma, \lambda}^{-1} \psi \in S_x} \left(\prod_{\psi \in S_x} \frac{1}{\gamma_{\psi}} \right) \Lambda_{Iw} &
 \end{array}$$

Hence γ_{ψ} is a unit, and the diagram becomes

$$\begin{array}{ccc}
 \Delta_{\Sigma}(\mathbb{T}_{\Sigma}) & \xrightarrow{Z_{\Sigma, \lambda}} & \mathbb{A} \\
 \downarrow - \otimes_{\mathbb{A}, X_{Iw}} \Lambda_{Iw} & \text{---} & \downarrow \times \\
 & \psi \in S_x \otimes \Delta_{\Lambda_{Iw}}(\mathbb{T}_{\psi, Iw}) & \xrightarrow{\otimes Z_{\Sigma, \lambda}^{-1} \psi \in S_x} \Lambda_{Iw}
 \end{array}$$

- So this holds particular for λ and because $\lambda \notin \mathbb{Z}$, we have a commutative diagram

$$\begin{array}{ccc}
 \Delta_{\Sigma} & \xrightarrow{Z_{\Sigma}^{\text{uni}}} & \frac{\alpha}{\beta} R_{\Sigma}(\bar{p}) \\
 \downarrow - \otimes_{\lambda, Iw} \Lambda_{Iw} & & \downarrow \lambda_{Iw} \\
 \Delta_{\Lambda_{Iw}}(\mathbb{T}_{\lambda, Iw})^{-1} & \xrightarrow{\text{triv}_{\lambda, Iw}} & \Lambda_{Iw}
 \end{array}
 \Rightarrow \lambda_{Iw} \left(\frac{\alpha}{\beta} \right) \text{ is a unit.}$$

As we can choose $\lambda \in \mathcal{X}_{\Sigma}^{\text{sm}}(\bar{p})$ arbitrarily p -adically close to $\lambda(f)$, this entails $\lambda \left(\frac{1}{\gamma} \right)$ is a unit, hence γ is a unit. This gives the INC for f . □