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# GIT AND AFFINE TORIC VARIETIES

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## CONTENTS

1. Introduction	1
1.1. Classical invariant theory	1
1.2. Geometric invariant theory	1
1.3. Goals of this project	2
1.4. Toric varieties	2
1.5. Directions for further research	2
1.6. Contents of this document	3
2. Affine varieties	4
2.1. Affine space and algebraic sets	4
2.2. Properties of the map $\mathbf{V}$	4
2.3. The Zariski topology	5
2.4. The map $\mathbf{I}$	5
2.5. The Nullstellensatz	6
2.6. Coordinate rings and regular functions	8
2.7. Polynomial maps between algebraic subsets	9
2.8. Affine varieties	11
2.9. Sheaf of $k$ -algebras	11
3. Affine GIT and $\mathfrak{g} // T$	12
3.1. The affine GIT quotient	12
3.2. A basis for $\mathbb{C}[\mathfrak{g}]^T$	14
3.3. Generators for $\mathbb{C}[\mathfrak{g}]^T$ when $G = \mathrm{GL}_3(\mathbb{C})$	15
3.4. Hilbert series for $\mathbb{C}[\mathfrak{g}]^T$	17
4. Affine toric varieties	18
4.1. Convex cones	18
4.2. Polyhedral cones	21
4.3. The semigroup of a cone	22
4.4. The semigroup algebra and affine toric varieties	23
4.5. $\mathbb{A}^n // T$ as a toric variety	24
References	26

## 1. INTRODUCTION

We study the affine GIT quotient  $\mathfrak{g} // T$ , where  $G$  is a connected complex algebraic group with Lie algebra  $\mathfrak{g}$  and maximal torus  $T$ . The variety  $\mathfrak{g} // T$  can be explicitly computed for  $G = \mathrm{GL}_2(\mathbb{C})$  or  $G = \mathrm{GL}_3(\mathbb{C})$ , but the problem is difficult for arbitrary  $G$ . For any torus acting on an affine space, the GIT quotient has the structure of a toric variety. We investigate toric varieties to use the toric variety structure of  $\mathfrak{g} // T$  to elucidate its properties.

**1.1. Classical invariant theory.** When a group  $G$  acts on a vector space  $V$ , there is an induced action of  $G$  on the space of polynomial functions on  $V$ . Specifically, if  $p \in \mathbb{C}[V]$  and  $g \in G$ ,

$$(g \cdot p)(v) := p(g^{-1} \cdot v), \text{ for all } v \in V.$$

The *ring of invariants* is then defined by

$$\mathbb{C}[V]^G := \{p \in \mathbb{C}[V] : g \cdot p = p \text{ for all } g \in G\}.$$

An important problem in classical invariant theory is to determine whether an invariant ring  $\mathbb{C}[V]^G$  is finitely generated. David Hilbert showed that when  $G$  is  $\mathrm{SL}_n(\mathbb{C})$  acting on  $V$  by a representation,  $\mathbb{C}[V]^G$  is indeed finitely generated [Hil90]. In Hilbert's influential list of 23 problems posed in 1900, the 14<sup>th</sup> asks whether certain polynomial algebras are finitely generated; a special case of the problem is whether  $\mathbb{C}[V]^G$  is finitely generated when  $G$  is an arbitrary algebraic group. In 1960, Masayoshi Nagata found an example where  $\mathbb{C}[V]^G$  is *not* finitely generated [Nag60]. However, when  $G$  is a *reductive* algebraic group,  $\mathbb{C}[V]^G$  is indeed finitely generated [Muk03, Theorem 4.51].

**1.2. Geometric invariant theory.** In the 1960s, David Mumford built on Hilbert's work and developed the theory of *geometric invariant theory* (GIT) [Mum65]. Given an algebraic group  $G$  acting on a variety  $X$ , the aim of GIT is to construct a quotient variety, i.e., a variety whose points are in bijection with the orbits  $X/G$ . Unfortunately, in general  $X/G$  does not have the structure of a variety. In the case when  $X$  is a complex affine variety and  $G$  a complex algebraic group, Mumford defined the affine GIT quotient, or categorical quotient,

$$X // G := \mathrm{Spec}(\mathbb{C}[X]^G).^1$$

This is a complex affine variety which has  $\mathbb{C}[X]^G$  as its coordinate ring—intuitively, the points of  $X // G$  are in bijection with the closed orbits of the action of  $G$  on  $X$ . For a  $\mathbb{C}$ -algebra  $R$  to be the coordinate ring of an affine variety, it is necessary that  $R$  is finitely generated. Thus Hilbert's work elucidating when  $\mathbb{C}[X]^G$  is finitely generated shows  $X // G$  is a variety when  $G$  is reductive.<sup>2</sup>

Let us consider an example of a GIT quotient which is well understood. Let  $G = \mathrm{GL}_n(\mathbb{C})$  and  $X = \mathfrak{g} = \mathfrak{gl}_n(\mathbb{C})$ . We can think of  $\mathfrak{g}$  as the affine space  $\mathbb{C}^{n \times n}$  by choosing a basis and identifying  $x \in \mathfrak{g}$  with its coordinates. Then  $G$  acts on  $X$  by conjugation, i.e., for  $g \in G$  and  $x \in \mathfrak{g}$ ,

$$g \cdot x := gxg^{-1}.$$

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<sup>1</sup>In this work,  $\mathrm{Spec}$  denotes the maximal spectrum instead of the prime spectrum, i.e., we consider affine varieties instead of affine schemes. See §2.8 for further discussion of our definition of a variety.

<sup>2</sup>Note that  $\mathrm{Spec}(\mathbb{C}[X]^G)$  can still be studied as a scheme even if  $\mathbb{C}[X]^G$  is not finitely generated, however, the finitely generated case is more manageable.

*Chevalley's restriction theorem* [Hum72, §23] implies that

$$\mathbb{C}[\mathfrak{g}]^G \cong \mathbb{C}[\mathfrak{h}]^W,$$

where  $\mathfrak{h}$  is the Cartan subalgebra of diagonal matrices and  $W = S_n$  is the Weyl group of  $G$ . Here  $W$  acts on  $\mathfrak{h}$  by permuting the diagonal entries of a matrix. The ring  $\mathbb{C}[\mathfrak{h}]^W$  is well-understood; by the *fundamental theorem of symmetric polynomials*, it is a free polynomial algebra with  $n$  generators. Specifically,  $\mathbb{C}[\mathfrak{h}]^W \cong \mathbb{C}[Y_1, \dots, Y_n]$ . Then, we have that

$$\mathfrak{g} // G = \text{Spec}(\mathbb{C}[\mathfrak{g}]^G) \cong \text{Spec}(\mathbb{C}[Y_1, \dots, Y_n]) = \mathbb{C}^n.$$

Note that  $\mathfrak{g} // G$  can be computed more generally when  $G$  is any connected complex reductive group acting on its Lie algebra by the adjoint action. Chevalley's restriction theorem again implies that  $\mathbb{C}[\mathfrak{g}]^G \cong \mathbb{C}[\mathfrak{h}]^W$ , and the *Chevalley-Shephard-Todd* theorem [Hum90, §3] says  $\mathbb{C}[\mathfrak{h}]^W$  is a free polynomial algebra; we can again conclude  $\mathfrak{g} // G$  is an affine space. The GIT quotient  $\mathfrak{g} // G$  is called the *adjoint quotient*.

**1.3. Goals of this project.** Given the adjoint quotient is well-understood, it is natural to ask about the quotient variety of  $\mathfrak{g}$  by subgroups of  $G$ . One choice of such a subgroup is a *maximal torus*, which is a subgroup isomorphic to  $(\mathbb{C}^\times)^r$  for some  $r \in \mathbb{Z}_{>0}$ . The goal of this project is to study the GIT quotient  $\mathfrak{g} // T$ .

To do this, we investigate the ring of invariants  $\mathbb{C}[\mathfrak{g}]^T$ . For a general connected algebraic group  $G$ , it may be out of reach to compute  $\mathbb{C}[\mathfrak{g}]^T$ , however, we can still study features of  $\mathfrak{g} // T$  such as its dimension and singularities.

The first steps in this project were to compute examples. In the cases when  $G = \text{GL}_2(\mathbb{C})$  or  $G = \text{GL}_3(\mathbb{C})$ , it is tractable to compute  $\mathbb{C}[\mathfrak{g}]^T$  by hand. However, even  $G = \text{Sp}_4(\mathbb{C})$  becomes difficult.

**1.4. Toric varieties.** Studying  $\mathfrak{g} // T$  can be generalised to investigating  $\mathbb{A}^n // T$ , where  $T$  is any algebraic torus acting on an affine space  $\mathbb{A}^n$ . One can prove that  $\mathbb{A}^n // T$  has the structure of an *affine toric variety*. These are affine varieties which are determined by a *cone* in a vector space. The convex geometry of the cone determines many properties of the toric variety. Given the difficulty of directly computing  $\mathbb{C}[\mathfrak{g}]^T$ , computing the toric variety structure and appealing to the many facts known about toric varieties may make the problem more manageable.

**1.5. Directions for further research.** We list some aims for the remainder of this project:

- (1) Write a complete introduction to affine GIT, including the related notions of stability and semi-stability; using this understanding, compute the stable and semi-stable points for the adjoint action of  $G$  on  $\mathfrak{g}$ .
- (2) Compute the cone of the affine toric variety  $\mathfrak{g} // T$ . Use this information to determine features of  $\mathfrak{g} // T$ , such as its dimension and singularities.
- (3) Compute the stable and semi-stable points for the action of  $T$  on  $\mathfrak{g}$ .
- (4) Investigate projective toric varieties. The *projective GIT quotient*  $\mathbb{A}^n //_\chi T$ , where  $\chi$  is a character of  $T$ , is an example of these.

**1.6. Contents of this document.** This document contains our progress so far in studying  $\mathfrak{g} // T$ .

We begin in §2 by introducing affine varieties. This chapter can be considered background material needed to understand the project. The majority of the chapter deals with algebraic subsets of affine space, and investigates the connection between these sets and ideals in polynomial rings. We conclude in §2.8 by discussing abstract affine varieties, which are defined as the maximal spectrum of a certain kind of  $k$ -algebra; this is necessary to define the affine GIT quotient.

In §3, we define the affine GIT quotient  $X // G$  and give examples. In particular, we investigate  $\mathfrak{g} // T$  in the cases when  $G = \mathrm{GL}_2(\mathbb{C})$  and  $G = \mathrm{GL}_3(\mathbb{C})$ ; in these cases we can compute the invariant ring explicitly. We compute a basis for  $\mathbb{C}[\mathfrak{g}]^T$  in the general case in §3.2.

The final chapter is an introduction to affine toric varieties. The prerequisite convex geometry is discussed, and in particular, we give a self-contained proof of an important fact (Theorem 28) for the theory of toric varieties, which is stated without proof in many texts on toric varieties such as [Ful93], [CLS11], and [Oda88]. After defining affine toric varieties in terms of their cones, we prove  $\mathfrak{g} // T$  is an affine toric variety.

## 2. AFFINE VARIETIES

In this chapter, we introduce affine varieties, which are the central object of study in this project. Algebraic geometry establishes a connection between spaces defined by zero sets of polynomials (geometric objects), and ideals in a polynomial ring (algebraic objects). We detail this connection, and explain how algebraic properties of rings and ideals inform properties of the corresponding geometric spaces.

**2.1. Affine space and algebraic sets.** Let  $k$  be a field. Affine  $n$ -space over  $k$ , denoted  $\mathbb{A}_k^n$  or  $\mathbb{A}^n$ , is the set

$$\mathbb{A}^n := \{(a_1, \dots, a_n) : a_i \in k\}.$$

Elements of  $\mathbb{A}^n$  are called points, and if  $P = (a_1, \dots, a_n) \in \mathbb{A}^n$  is a point, then the  $a_i$  are called the coordinates of  $P$ .

Let  $A := k[X_1, \dots, X_n]$ . We interpret a polynomial  $f \in A$  as a function on  $\mathbb{A}^n$  by evaluating  $f$  at the coordinates of a point  $P = (a_1, \dots, a_n)$ , i.e.,  $f(P) := f(a_1, \dots, a_n)$ . This allows us to talk about the zeros of the polynomial, which is the set

$$\mathbf{V}(f) := \{P \in \mathbb{A}^n : f(P) = 0\} \subseteq \mathbb{A}^n.$$

More generally, if  $T \subseteq A$  is a set of polynomials, define

$$\mathbf{V}(T) := \{P \in \mathbb{A}^n : f(P) = 0 \text{ for all } f \in T\}.$$

A set  $V \subseteq \mathbb{A}^n$  is called *algebraic* if  $V = \mathbf{V}(T)$  for some  $T \subseteq A$ .

Observe that if  $\langle T \rangle \subseteq A$  is the ideal generated by  $T$ , then  $\mathbf{V}(T) = \mathbf{V}(\langle T \rangle)$ . Moreover, Hilbert's famous Basis theorem tells us all ideals of  $A$  are finitely generated [Rei95, §3.6]. Therefore, if  $f_1, \dots, f_r$  generate  $\langle T \rangle$ , then

$$\mathbf{V}(T) = \mathbf{V}(\langle T \rangle) = \mathbf{V}(\{f_1, \dots, f_r\}).$$

We conclude that any algebraic set is the set of zeros of a *finite* number of polynomials.

**Example 1.** *We list some examples of algebraic sets:*

- (1)  $\mathbb{A}^n$  and  $\emptyset$  are algebraic, since  $\mathbb{A}^n = \mathbf{V}(0)$  and  $\emptyset = \mathbf{V}(1)$ . Here, by 0 and 1 we mean the constant polynomials in  $A$ .
- (2) Any line in  $\mathbb{A}^2$  has the form  $\mathbf{V}(aX + bY - c)$  for some  $a, b, c \in k$ , so lines are algebraic.
- (3) The parabola  $\mathbf{V}(Y - X^2)$  is an algebraic set.
- (4) The hyperbola  $\mathbf{V}(XY - 1)$  is an algebraic set.
- (5) The twisted cubic  $C = \{(t, t^2, t^3) \in \mathbb{A}^3 : t \in k\}$  is an algebraic set. We see this by noting  $C = \mathbf{V}(\{X^2 - Y, X^3 - Z\})$ .
- (6) The curve  $\mathbf{V}(Y^2 - X^3)$  is algebraic, and it is an example of a so-called *cuspidal cubic*.

**2.2. Properties of the map  $\mathbf{V}$ .** Our discussion above tells us that to study zero sets of polynomials, it suffices to study zero sets of ideals in  $A$ . The map

$$\mathbf{V} : \{\text{ideals } I \subseteq A\} \rightarrow \{\text{algebraic subsets } V \subseteq \mathbb{A}^n\}, \quad I \mapsto \mathbf{V}(I),$$

is our first link between algebra and geometry. The following result describes the behaviour of  $\mathbf{V}$ :

**Proposition 2.** (1) *If  $I \subseteq J$  are ideals, then  $\mathbf{V}(I) \supseteq \mathbf{V}(J)$ .*

(2) *If  $I_1, I_2$  are ideals, then  $\mathbf{V}(I_1) \cup \mathbf{V}(I_2) = \mathbf{V}(I_1 I_2)$ .*

(3) If  $\{I_\alpha\}_{\alpha \in \mathcal{A}}$  is an arbitrary collection of ideals, then  $\bigcap_{\alpha \in \mathcal{A}} \mathbf{V}(I_\alpha) = \mathbf{V}(\sum_{\alpha \in \mathcal{A}} I_\alpha)$ .<sup>3</sup>

*Proof.* (1) If  $P \in \mathbf{V}(J)$ , then we have  $f(P) = 0$  for all  $f \in J$ , and  $P \in \mathbf{V}(I)$ .

(2) Assume without loss of generality that  $P \in \mathbf{V}(I_1)$ . Then for all  $f \in I_1$  and  $g \in I_2$ , we have  $(fg)(P) = 0$ , implying all polynomials in  $I_1 I_2$  vanish at  $P$ . Conversely, if  $P \in \mathbf{V}(I_1 I_2)$  but  $P \notin \mathbf{V}(I_2)$ , there is  $g \in I_2$  with  $g(P) \neq 0$ . But for any  $f \in I_1$ , there holds  $(fg)(P) = 0$ , so  $f(P) = 0$ .

(3) Suppose  $P \in \bigcap_{\alpha \in \mathcal{A}} \mathbf{V}(I_\alpha)$ . Then for all  $\alpha \in \mathcal{A}$  and all  $f_\alpha \in I_\alpha$ , we have  $f_\alpha(P) = 0$ , implying every element of  $\sum_{\alpha} I_\alpha$  vanishes at  $P$ . Conversely, for each  $\alpha$ , part (1) tells us  $\mathbf{V}(I_\alpha) \supseteq \mathbf{V}(\sum_{\alpha} I_\alpha)$  and so  $\bigcap_{\alpha \in \mathcal{A}} \mathbf{V}(I_\alpha) \supseteq \mathbf{V}(\sum_{\alpha \in \mathcal{A}} I_\alpha)$ .  $\square$

**2.3. The Zariski topology.** Proposition 2 tells us arbitrary intersections and finite unions of algebraic sets are algebraic. In Example 1, we saw  $\emptyset$  and  $\mathbb{A}^n$  are algebraic. Together, these imply algebraic subsets of  $\mathbb{A}^n$  form the closed sets for a topology on  $\mathbb{A}^n$ ; this topology is called the *Zariski topology*.

**Example 3** (The Zariski topology on  $\mathbb{A}^1$ ). *Any nonconstant polynomial in one variable has finitely many roots. Then for any ideal  $I \subseteq A$ ,  $\mathbf{V}(I)$  is either finite or all of  $\mathbb{A}^1$ . In other words, any closed set is either finite or  $\mathbb{A}^1$ , so the Zariski topology on  $\mathbb{A}^1$  is the finite complement topology. When  $k$  is an infinite field, this topology is not Hausdorff; any two nonempty open sets have finite complements, so they must necessarily intersect.*

Example 3 shows us that the Zariski topology is a very coarse topology, in the sense that open sets are large. Nonetheless, the Zariski topology plays an important role in studying algebraic sets.

**2.4. The map  $\mathbf{I}$ .** The map  $\mathbf{V}$  gave us a map from ideals to algebraic subsets; this is our first link between algebra and geometry. There is another map  $\mathbf{I}$ , taking subsets of  $\mathbb{A}^n$  to ideals, defined as

$$\mathbf{I} : \{\text{subsets } V \subseteq \mathbb{A}^n\} \rightarrow \{\text{ideals } I \subseteq A\}, \quad V \mapsto \mathbf{I}(V) := \{f \in A : f(P) = 0 \text{ for all } P \in V\}.$$

In other words,  $\mathbf{I}(V)$  is the ideal of functions vanishing on  $V$ ;  $\mathbf{I}(V)$  is called the ideal of  $V \subseteq \mathbb{A}^n$ . The following result describes the behaviour of the map  $\mathbf{I}$ ;

**Proposition 4.** (1) If  $V \subseteq U \subseteq \mathbb{A}^n$ , then  $\mathbf{I}(V) \supseteq \mathbf{I}(U)$ .

(2) If  $V \subseteq \mathbb{A}^n$ , then  $V \subseteq \mathbf{V}(\mathbf{I}(V))$ , with equality if and only if  $V$  is algebraic.

(3) If  $I \subseteq A$ , then  $I \subseteq \mathbf{I}(\mathbf{V}(I))$ .

*Proof.* (1) If  $f \in \mathbf{I}(U)$ , then we have  $f(P) = 0$  for all  $P \in U$ , so  $f \in \mathbf{I}(V)$ .

(2) If  $P \in V$ , then  $f(P) = 0$  for all  $f \in \mathbf{I}(V)$  and so  $P \in \mathbf{V}(\mathbf{I}(V))$ . If  $V = \mathbf{V}(\mathbf{I}(V))$ , then  $V$  is algebraic by definition. Conversely, if  $V = \mathbf{V}(I)$  is algebraic, then the ideal of functions vanishing on  $V$  will contain  $I$ . Then  $\mathbf{V}(\mathbf{I}(V)) \subseteq \mathbf{V}(I) = V$  and  $V = \mathbf{V}(\mathbf{I}(V))$ .

(3) If  $f \in I$ , then for  $P \in \mathbf{V}(I)$ , we have  $f(P) = 0$ , and so  $f \in \mathbf{I}(\mathbf{V}(I))$ .  $\square$

Proposition 4 begs a question: do  $\mathbf{V}$  and  $\mathbf{I}$  give a bijection between algebraic sets and ideals? Unfortunately, the inclusion  $I \subseteq \mathbf{I}(\mathbf{V}(I))$  may be strict, so  $\mathbf{V}$  and  $\mathbf{I}$  are not always inverses of each other. We give two examples of when this is the case:

<sup>3</sup>Here  $\sum_{\alpha \in \mathcal{A}} I_\alpha = \{\sum_{\alpha \in C} r_\alpha : C \text{ is a finite subset of } \mathcal{A}, r_\alpha \in I_\alpha\}$  is the usual sum of ideals, which is defined even if  $\mathcal{A}$  is infinite.

**Example 5.** (1) Consider  $I = (X^2) \subseteq k[X]$ . Then  $\mathbf{V}(I) = \{0\}$  but  $\mathbf{I}(\mathbf{V}(I)) = (X) \supsetneq I$ .  
(2) Consider  $I = (X^2 + 1)$  as an ideal in  $\mathbb{R}[X]$ . Then since  $X^2 + 1$  never vanishes on  $\mathbb{A}_{\mathbb{R}}^1$ ,  $\mathbf{V}(I) = \emptyset$ , and it holds vacuously that  $\mathbf{I}(\mathbf{V}(I)) = \mathbb{R}[X] \supsetneq I$ .

Example 5 indicates two reasons why  $I \subseteq \mathbf{I}(\mathbf{V}(I))$  may be a strict inclusion: problems can occur when the equations defining an algebraic subset have “unwanted multiplicities,” or when  $k$  is not algebraically closed. In §2.5, we resolve these problems and make the maps  $\mathbf{V}$  and  $\mathbf{I}$  into bijections which are inverses of each other.

For the remainder of this section, we study the basic topological property of irreducibility, and explain how the map  $\mathbf{I}$  gives an algebraic characterisation of this property. We say a nonempty subset  $Y$  of a topological space  $X$  is *reducible* if  $Y = Y_1 \cup Y_2$ , where  $Y_1$  and  $Y_2$  are proper closed subsets of  $Y$  [Har77, Chapter I]. Otherwise, we say  $Y$  is *irreducible*. Then in the context of the Zariski topology, an algebraic set  $V \subseteq \mathbb{A}^n$  is irreducible if it is not a union of proper algebraic subsets.

**Proposition 6.** *Let  $V \subseteq \mathbb{A}^n$  be algebraic. Then  $V$  is irreducible if and only if  $\mathbf{I}(V)$  is prime.*

*Proof.* Suppose  $\mathbf{I}(V)$  is not prime. Then there exist  $f_1, f_2 \notin \mathbf{I}(V)$  such that  $f_1 f_2 \in \mathbf{I}(V)$ . Let  $I_i := (\mathbf{I}(V), f_i)$  for  $i = 1, 2$ . To see  $V$  is reducible, we show that  $V = \mathbf{V}(I_1) \cup \mathbf{V}(I_2)$  and each  $\mathbf{V}(I_i)$  is a strict subset of  $V$ . Since  $I_i \supsetneq \mathbf{I}(V)$ , we have  $\mathbf{V}(I_i) \subsetneq \mathbf{V}(\mathbf{I}(V)) = V$ , with strict inclusion because there is  $P \in V$  with  $f_i(P) \neq 0$ . Then we see  $\mathbf{V}(I_1) \cup \mathbf{V}(I_2) \subseteq V$ . On the other hand, if  $P \in V$ , then  $g(P) = 0$  for all  $g \in \mathbf{I}(V)$ , and also  $(f_1 f_2)(P) = 0$ . Thus,  $f_1(P) = 0$  or  $f_2(P) = 0$ , and  $P \in \mathbf{V}(I_1) \cup \mathbf{V}(I_2)$ .

Conversely, let  $V = V_1 \cup V_2$  be reducible. Since  $V_1, V_2 \neq V$ ,  $\mathbf{I}(V_i) \supsetneq \mathbf{I}(V)$ , and there exists  $f_i \in \mathbf{I}(V_i) \setminus \mathbf{I}(V)$  for  $i = 1, 2$ . But  $(f_1 f_2)(P) = 0$  for all  $P \in V$ , since if  $P \in V_j$ , then  $f_j(P) = 0$ . Thus,  $f_1 f_2 \in \mathbf{I}(V)$  and  $\mathbf{I}(V)$  is not prime.  $\square$

**Example 7.** (1) Let  $k$  be an infinite field. Proposition 6 implies that  $\mathbb{A}^n$  is irreducible, since  $\mathbf{I}(\mathbb{A}^n) = \{0\}$  is a prime ideal. We can also use Example 3 to see  $\mathbb{A}^1$  is irreducible without appealing to Proposition 6. Any proper closed subset of  $\mathbb{A}^1$  is finite, so  $\mathbb{A}^1$  cannot be a union two of proper closed subsets.

(2) Let  $k$  be finite. Since points are closed, a set is irreducible if and only if it is a singleton. In particular,  $\mathbb{A}^n$  is not irreducible in this case.

(3) An example of a reducible algebraic set is  $V = \mathbf{V}(XY) = \mathbf{V}(X) \cup \mathbf{V}(Y)$ , the union of the  $X$ - and  $Y$ -axes. Algebraically, we can see the reducibility of  $V$  since  $\mathbf{I}(V) = (XY)$  is not prime ( $X$  and  $Y$  do not lie in  $(XY)$ , but  $XY$  lies in  $(XY)$ ).

**2.5. The Nullstellensatz.** Our goal in this section is to upgrade the maps  $\mathbf{V}$  and  $\mathbf{I}$  to a bijection between algebraic sets and a particular class of ideals. This is achieved by Hilbert’s Nullstellensatz (Theorem 10). To state and prove the theorem, we need the following definition:

**Definition 8.** *Let  $I$  be an ideal of  $A$ . The radical of  $I$ , denoted  $\sqrt{I}$ , is defined as*

$$\sqrt{I} := \{f \in A : f^n \in I \text{ for some } n \in \mathbb{Z}_{>0}\}.$$

*We say an ideal is radical if  $I = \sqrt{I}$ .*

Observe that  $I \subseteq \sqrt{I}$  for any ideal  $I$ . We claim that prime ideals are radical. If  $I$  is prime and  $f \in \sqrt{I}$ , then  $f^n \in I$  for some  $n \in \mathbb{Z}_{>0}$ , which implies  $f \in I$  since  $I$  is prime.

To prove Theorem 10, we use the following fact from algebra without proof:



**Theorem 9** ([Rei88, §3.8]). *Let  $k$  be an infinite field, and  $B = k[a_1, \dots, a_n]$  a finitely generated  $k$ -algebra. If  $B$  is a field, then  $B$  is algebraic over  $k$ .*

**Theorem 10** (Hilbert's Nullstellensatz [Rei88, §3.10]). *Let  $k$  be an algebraically closed field.*

- (1) *Every maximal ideal of  $A = k[X_1, \dots, X_n]$  is of the form  $\mathfrak{m}_P = (X_1 - a_1, \dots, X_n - a_n)$  for some  $P = (a_1, \dots, a_n) \in \mathbb{A}^n$ .*
- (2) *If  $I$  is a proper ideal of  $A$ , then  $\mathbf{V}(I) \neq \emptyset$ .*
- (3) *For any ideal  $I$ ,  $\mathbf{I}(\mathbf{V}(I)) = \sqrt{I}$ .*

*Proof.* (1) Let  $\mathfrak{m} \subseteq A$  be a maximal ideal. Denote  $K := k[X_1, \dots, X_n]/\mathfrak{m}$ , and let  $\varphi$  be the composition of the natural inclusion and quotient maps

$$\varphi: k \xhookrightarrow{\iota} k[X_1, \dots, X_n] \xrightarrow{\pi} K.$$

Since  $K$  is a field and finitely generated by  $\pi(X_1), \dots, \pi(X_n)$  as a  $k$ -algebra, Theorem 9 implies  $K$  is algebraic over  $k$ . Then  $K/k$  is an algebraic field extension and  $\varphi$  is the inclusion of  $k$  into  $K$ ; since  $k$  is algebraically closed,  $\varphi$  is an isomorphism. For each  $i$ , let  $a_i = (\varphi^{-1} \circ \pi)(X_i)$ , and set  $P = (a_1, \dots, a_n)$ . Then  $\pi(X_i - a_i) = 0$  and  $\mathfrak{m}_P = (X_1 - a_1, \dots, X_n - a_n) \subseteq \ker \pi = \mathfrak{m}$ . But the map  $k[X_1, \dots, X_n] \rightarrow k$  defined by evaluation at  $P$  induces the isomorphism  $k[X_1, \dots, X_n]/\mathfrak{m}_P \cong k$ . Therefore  $\mathfrak{m}_P$  is maximal and  $\mathfrak{m}_P = \mathfrak{m}$ .

(2) Proper ideals are contained in some maximal ideal, so  $I \subseteq \mathfrak{m}_P$  for some  $P \in \mathbb{A}^n$ . Then  $\mathbf{V}(I) \supseteq \mathbf{V}(\mathfrak{m}_P) = \{P\}$  and  $\mathbf{V}(I) \neq \emptyset$ .

(3) Let  $I$  be any ideal in  $A = k[X_1, \dots, X_n]$  and let  $f \in A$  be arbitrary. We introduce a new variable  $Y$  and define the new ideal

$$\tilde{I} := (I, fY - 1) \subseteq k[X_1, \dots, X_n, Y].$$

Intuitively,  $\mathbf{V}(\tilde{I}) \subseteq \mathbb{A}^{n+1}$  is the set of points  $P \in \mathbf{V}(I)$  with  $f(P) \neq 0$ . Specifically, if  $Q = (a_1, \dots, a_n, b) \in \mathbf{V}(\tilde{I})$ , then  $g(a_1, \dots, a_n) = 0$  for all  $g \in \mathbf{V}(I)$  and  $f(a_1, \dots, a_n) \cdot b = 1$  (i.e.,  $f(a_1, \dots, a_n) \neq 0$ ). Now assume that  $f \in \mathbf{I}(\mathbf{V}(I))$  so that  $f(P) = 0$  for all  $P \in \mathbf{V}(I)$ ; our previous discussion implies  $\mathbf{V}(\tilde{I}) = \emptyset$ . Then  $\tilde{I} = A$  by part (2). In particular,  $1 \in \tilde{I}$ , so there exist  $f_i \in I$  and  $g_0, g_i \in k[X_1, \dots, X_n, Y]$  such that

$$1 = \sum g_i f_i + g_0(fY - 1)$$

as a polynomial in  $k[X_1, \dots, X_n, Y]$ . Evaluating the above expression at  $Y = \frac{1}{f}$  yields

$$1 = \sum g_i(X_1, \dots, X_n, 1/f) f_i(X_1, \dots, X_n).$$

Each term in the sum is a rational function where the denominator is a power of  $f$ . Thus there is some  $N \in \mathbb{Z}_{>0}$  such that

$$f^N = \sum f^N g_i(X_1, \dots, X_n, 1/f) f_i(X_1, \dots, X_n)$$

lies in  $k[X_1, \dots, X_n]$ , and in particular, lies in  $I$ . So  $f \in \sqrt{I}$ , proving  $\sqrt{I} \supseteq \mathbf{I}(\mathbf{V}(I))$ . If  $f \in \sqrt{I}$ ,  $f^N \in I \subseteq \mathbf{I}(\mathbf{V}(I))$  for some  $N \in \mathbb{Z}_{>0}$ . But then for any  $P \in \mathbf{V}(I)$ , we must have  $f(P) = 0$ , so  $f \in \mathbf{I}(\mathbf{V}(I))$ .  $\square$

**Corollary 11.** *The maps*

$$\{\text{ideals } I \subseteq A\} \xrightleftharpoons[\mathbf{I}]{\mathbf{V}} \{\text{subsets } V \subseteq \mathbb{A}^n\}$$

induce bijections:

$$\begin{aligned} \{\text{radical ideals}\} &\longleftrightarrow \{\text{algebraic subsets}\}, \\ \{\text{prime ideals}\} &\longleftrightarrow \{\text{irreducible subsets}\}, \\ \{\text{maximal ideals}\} &\longleftrightarrow \{\text{points}\}. \end{aligned}$$

**2.6. Coordinate rings and regular functions.** Let  $V \subseteq \mathbb{A}^n$  be an algebraic set. The *coordinate ring* of  $V$  is defined as

$$k[V] := k[X_1, \dots, X_n]/\mathbf{I}(V).$$

This is a finitely generated  $k$ -algebra. In view of Proposition 6, the ring  $k[V]$  is an integral domain if and only if  $V$  is irreducible.

The coordinate ring is also a *reduced*  $k$ -algebra, meaning it has no non-zero nilpotent elements. Since  $\mathbf{I}(V)$  is radical, this follows from the following general fact:

**Proposition 12.** *Let  $I$  be an ideal in a ring  $R$ . Then  $R/I$  is reduced if and only if  $I$  is radical.*

*Proof.* The ring  $R/I$  is reduced if and only if for all  $n \in \mathbb{Z}_{>0}$ ,  $f^n + I = I$  implies  $f + I = I$ . As a statement about elements instead of cosets, this says that  $f^n \in I$  implies  $f \in I$ , which is equivalent to  $I = \sqrt{I}$ .  $\square$

We say a function  $\varphi: V \rightarrow k$  is *regular* if there exists  $f \in k[X_1, \dots, X_n]$  such that  $\varphi = f|_V$ . Two polynomials  $f, g \in k[X_1, \dots, X_n]$  define the same regular function on  $V$  if and only if  $(f - g)(P) = 0$  for all  $P \in V$ , equivalently, if  $f + \mathbf{I}(V) = g + \mathbf{I}(V)$ . Thus, we identify the ring of regular functions on  $V$  with  $k[V]$ .

Let  $\pi: k[X_1, \dots, X_n] \twoheadrightarrow k[V]$  be the quotient map. The correspondence theorem from ring theory tells us that there is a bijection

$$(1) \quad \left\{ \begin{array}{c} \text{ideals of} \\ k[V] = k[X_1, \dots, X_n]/\mathbf{I}(V) \end{array} \right\} \longleftrightarrow \left\{ \begin{array}{c} \text{ideals of } k[X_1, \dots, X_n] \\ \text{containing } \mathbf{I}(V) \end{array} \right\}.$$

In particular, any ideal of  $k[V]$  is of the form  $J/\mathbf{I}(V)$ , where  $J$  is an ideal of  $k[X_1, \dots, X_n]$  containing  $\mathbf{I}(V)$ . If  $J/\mathbf{I}(V)$  is an ideal in  $k[V]$ , define

$$\mathbf{V}(J/\mathbf{I}(V)) := \{P \in V : f(P) = 0 \text{ for all } f \in J/\mathbf{I}(V)\}.$$

If we think of elements of  $J$  and  $J/\mathbf{I}(V)$  as functions on  $V$ , they are equal as sets (the quotient  $J/\mathbf{I}(V)$  identifies elements of  $J$  if they define the same function). It then follows that

$$\mathbf{V}(J/\mathbf{I}(V)) = \mathbf{V}(J).$$

The following result extends Corollary 11 to a correspondence between ideals in  $k[V]$  and subsets of  $V$ .

**Corollary 13.** *There are bijections:*

$$\begin{aligned} \{\text{radical ideals in } k[V]\} &\longleftrightarrow \{\text{algebraic subsets of } V\}, \\ \{\text{prime ideals in } k[V]\} &\longleftrightarrow \{\text{irreducible subsets of } V\}, \\ \{\text{maximal ideals in } k[V]\} &\longleftrightarrow \{\text{points of } V\}. \end{aligned}$$

*Proof.* The crux of the proof is that whether an ideal is radical, prime or maximal is preserved by the bijection in Equation 1. Algebraic subsets  $W$  contained in  $V$  are in bijection with radical ideals  $\mathbf{I}(W)$  containing  $\mathbf{I}(V)$ . We have that

$$\frac{k[X_1, \dots, X_n]}{\mathbf{I}(W)} \cong \frac{k[X_1, \dots, X_n]/\mathbf{I}(V)}{\mathbf{I}(W)/\mathbf{I}(V)},$$

so in view of Proposition 12,  $\mathbf{I}(W)$  is radical if and only if  $\mathbf{I}(W)/\mathbf{I}(V)$  is. This establishes the first bijection, and the other two are analogous.  $\square$

**2.7. Polynomial maps between algebraic subsets.** Throughout this section, let  $V \subseteq \mathbb{A}^n$  and  $W \subseteq \mathbb{A}^m$  be algebraic sets. We write  $X_1, \dots, X_n$  for the coordinates on  $\mathbb{A}^n$  and  $Y_1, \dots, Y_m$  for the coordinates on  $\mathbb{A}^m$ .

**Definition 14.** We say a map  $\varphi : V \rightarrow W$  is polynomial if there exist  $m$  polynomials  $\varphi_1, \dots, \varphi_m \in k[X_1, \dots, X_n]$  such that

$$\varphi(P) = (\varphi_1(P), \dots, \varphi_m(P))$$

for all  $P \in V$ .

We claim a map  $\varphi : V \rightarrow W$  is polynomial if and only if  $Y_j \circ \varphi \in k[V]$  for all  $j$ . If  $\varphi$  is polynomial given by the components  $\varphi_1, \dots, \varphi_m$ ,  $Y_j \circ \varphi = \varphi_j$  is regular. Conversely, if  $\tilde{\varphi}_j := Y_j \circ \varphi \in k[V]$  and  $\varphi_j \in k[X_1, \dots, X_n]$  such that  $\varphi_j \equiv \tilde{\varphi}_j \pmod{\mathbf{I}(V)}$ ,  $\varphi = (\varphi_1, \dots, \varphi_m)$  and  $\varphi$  is polynomial.

We also claim that the composition of polynomial maps is polynomial. Let  $U \subseteq \mathbb{A}^l$  be algebraic, and let  $\varphi : V \rightarrow W$  and  $\psi : W \rightarrow U$  be polynomial maps. If  $\varphi_1, \dots, \varphi_m$  and  $\psi_1, \dots, \psi_l$  are the components of  $\varphi$  and  $\psi$ , respectively, the components of  $\psi \circ \varphi : V \rightarrow U$  are

$$\psi_1(\varphi_1, \dots, \varphi_m), \dots, \psi_l(\varphi_1, \dots, \varphi_m) \in k[X_1, \dots, X_n].$$

We say a polynomial map  $\varphi : V \rightarrow W$  is an *isomorphism* of algebraic sets if there exists a polynomial map  $\psi : W \rightarrow V$  such that  $\psi \circ \varphi = \text{id}_V$  and  $\varphi \circ \psi = \text{id}_W$ .

**Theorem 15.** Let  $V \subseteq \mathbb{A}^n$ ,  $W \subseteq \mathbb{A}^m$  and  $U \subseteq \mathbb{A}^l$  be algebraic sets.

- (1) A polynomial map  $\varphi : V \rightarrow W$  induces a  $k$ -algebra homomorphism  $\varphi^* : k[W] \rightarrow k[V]$ ,  $f \mapsto \varphi^* f := f \circ \varphi$ .
- (2) Any  $k$ -algebra homomorphism  $\Phi : k[W] \rightarrow k[V]$  is of the form  $\Phi = \varphi^*$  for a unique polynomial map  $\varphi : V \rightarrow W$ .
- (3) If  $\varphi : V \rightarrow W$  and  $\psi : W \rightarrow U$  are polynomial maps, then  $(g \circ f)^* = f^* \circ g^*$ .

**Remark 16.** Together, part (1) and (2) says that the map  $\varphi \mapsto \varphi^*$  induces a bijection

$$\left\{ \begin{array}{c} \text{polynomial maps} \\ V \rightarrow W \end{array} \right\} \longleftrightarrow \left\{ \begin{array}{c} k\text{-algebra homomorphisms} \\ k[W] \rightarrow k[V] \end{array} \right\}.$$

The map  $\varphi^*$  is called the *pullback* of  $\varphi$ .

*Proof.* (1) Since the composition of polynomial maps is polynomial,  $\varphi^* f = f \circ \varphi \in k[V]$  for all  $f \in k[W]$ . For  $f, g \in k[W]$ , we have

$$\begin{aligned} \varphi^*(f + g) &= (f + g) \circ \varphi = f \circ \varphi + g \circ \varphi = \varphi^* f + \varphi^* g, \text{ and} \\ \varphi^*(fg) &= (fg) \circ \varphi = (f \circ \varphi)(g \circ \varphi) = (\varphi^* f)(\varphi^* g), \end{aligned}$$

so  $\varphi^*$  is a  $k$ -algebra homomorphism.

(2) We first show there exists a polynomial map  $\varphi : V \rightarrow W$  with  $\Phi = \varphi^*$ . If  $g \in k[Y_1, \dots, Y_m]$ , we write  $\bar{g}$  for the coset of  $g$  in  $k[W]$ , e.g.,  $\bar{Y}_j = Y_j + \mathbf{I}(W)$ . Let  $\varphi_i := \Phi(\bar{Y}_i) \in k[V]$  for  $i = 1, \dots, m$ , and define the polynomial map  $\varphi : V \rightarrow \mathbb{A}^m$  by

$$\varphi(P) = (\varphi_1(P), \dots, \varphi_m(P)).$$

We need to show  $\varphi(V) \subseteq W$  and  $\varphi^* = \Phi$ . Since  $\Phi$  is a homomorphism, we have for any  $\bar{g} \in k[W]$  that

$$\Phi(\bar{g}) = \Phi(g(\bar{Y}_1, \dots, \bar{Y}_m)) = g(\Phi(\bar{Y}_1), \dots, \Phi(\bar{Y}_m)) = g(\varphi_1, \dots, \varphi_m).$$

Then for any  $v \in V$ ,

$$\Phi(\bar{g})(v) = g(\varphi_1(v), \dots, \varphi_m(v)) = g(\varphi(v)).$$

When  $g \in \mathbf{I}(W)$ ,  $\bar{g} = 0$  and the above equation implies that

$$g(\varphi(v)) = 0$$

for all  $v \in V$ , so  $\varphi(V) \subseteq W$ . To see  $\varphi^* = \Phi$ , note that  $\varphi^*(\bar{Y}_i) = \bar{Y}_i \circ \varphi = \varphi_i = \Phi(\bar{Y}_i)$ . To show the uniqueness of  $\varphi$ , we prove the map  $\varphi \mapsto \varphi^*$  is injective. If  $\varphi, \phi : V \rightarrow W$  are polynomial maps with components  $\varphi_i$  and  $\phi_i$ , respectively, and  $\varphi^* = \phi^*$ , then for each  $i$ ,

$$\varphi_i = \varphi^*(\bar{Y}_i) = \phi^*(\bar{Y}_i) = \phi_i.$$

Therefore,  $\varphi$  and  $\phi$  have the same components and  $\varphi = \phi$ .

(3) Note  $\psi \circ \varphi : V \rightarrow U$ . For any  $f \in k[U]$ , we have

$$(\psi \circ \varphi)^* f = f \circ (\psi \circ \varphi) = (f \circ \psi) \circ \varphi = \varphi^*(\psi^* f),$$

so  $(\psi \circ \varphi)^* = \varphi^* \circ \psi^*$ . □

**Corollary 17.** *A polynomial map  $\varphi : V \rightarrow W$  is an isomorphism of algebraic sets if and only if  $\varphi^* : k[W] \rightarrow k[V]$  is an isomorphism of  $k$ -algebras.*

**Example 18.** *We give examples of polynomial maps between algebraic sets and their pullbacks.*

- (1) Let  $C = \mathbf{V}(\{X^2 - Y, X^3 - Z\})$  be the twisted cubic. Consider the map  $\varphi : \mathbb{A}^1 \rightarrow C$  defined by  $t \mapsto (t, t^2, t^3)$ . Note that  $X \in k[C] = k[X, Y, Z]/(X^2 - Y, X^3 - Z)$  generates  $k[C]$ . We write  $k[T]$  for the coordinate ring of  $\mathbb{A}^1$ . Then the pullback  $\varphi^* : k[C] \rightarrow k[T]$  is given by

$$X \mapsto X \circ \varphi = T.$$

Then  $\varphi^*$  is a  $k$ -algebra isomorphism, and  $C$  and  $\mathbb{A}^1$  are isomorphic as algebraic sets.

- (2) Let  $V = \mathbf{V}(Y^2 - X^3) \subseteq \mathbb{A}^2$ . Consider  $\varphi : \mathbb{A}^1 \rightarrow V$  given by  $t \mapsto (t^2, t^3)$ . Note  $k[V] = k[X, Y]/(Y^2 - X^3)$  is generated by  $X, Y \in k[V]$ . The pullback is  $\varphi^* : k[V] \rightarrow k[T]$ , given by

$$X \mapsto T^2, \quad Y \mapsto T^3.$$

Then  $\varphi^*(k[C]) = k[T^2, T^3] \neq k[T]$ .

- (3) Consider  $\varphi : \mathbb{A}^2 \rightarrow \mathbb{A}^2$ , given by  $(x, y) \mapsto (xy, y)$ . The image is

$$\varphi(\mathbb{A}^2) = \{(x, y) \in \mathbb{A}^2 : x = y = 0 \text{ or } y \neq 0\}.$$

This set is not algebraic, so the image of a polynomial map is not necessarily an algebraic set.

**2.8. Affine varieties.** So far, we have studied algebraic subsets embedded in some affine space. For any algebraic subset  $V \subseteq \mathbb{A}^n$ , there is a corresponding reduced finitely generated  $k$ -algebra,  $k[V]$ . Conversely, suppose we have a reduced finitely generated  $k$ -algebra  $A$ . Choose generators  $a_1, \dots, a_n$  for  $A$ , so that  $A = k[a_1, \dots, a_n]$ . The  $k$ -algebra homomorphism  $\varphi : k[X_1, \dots, X_n] \rightarrow A$  given by  $X_i \mapsto a_i$  induces an isomorphism  $k[X_1, \dots, X_n]/\ker \phi \cong A$ . Then  $\ker \phi$  is radical, so that  $\mathbf{V}(\ker \phi)$  is an algebraic subset of  $\mathbb{A}^n$  with coordinate ring  $A$ . In view of Corollary 17, isomorphic  $k$ -algebras correspond to isomorphic algebraic sets.

An *affine variety* is an algebraic subset of  $\mathbb{A}^n$ , defined up to isomorphism. In particular, we don't want to have to choose a specific embedding of our algebraic set into affine space (this is analogous to how a smooth manifold is defined intrinsically as a topological space, without needing to be embedded in some Euclidean space). Following [Rei88, §4.6], an affine variety over  $k$  can be defined as a set  $V$  with a ring  $k[V]$  of  $k$ -valued functions  $V \rightarrow k$  such that

- (1)  $k[V]$  is a finitely generated  $k$ -algebra, and
- (2) for some choice  $a_1, \dots, a_n$  of generators of  $k[V]$  over  $k$ , the map  $V \rightarrow \mathbb{A}^n$  given by  $P \mapsto (a_1(P), \dots, a_n(P))$  embeds  $V$  as an algebraic set.

A more sophisticated definition is that an affine variety is the *maximal spectrum*,  $\text{Spec}(A)$ , of a reduced finitely generated  $k$ -algebra  $A$ . The maximal spectrum  $\text{Spec}(A)$  is a topological space with a certain class of functions defined on it. This construction is technical so we omit it in this document, but the details can be found in [Mil13, Chapter 3].

For the remainder of the document, we will use  $\text{Spec}(A)$  to denote the affine variety which has  $A$  as its coordinate ring. The algebra  $A$  will usually be defined in terms of generators and relations so that  $A \cong k[X_1, \dots, X_n]/I$  for some radical ideal  $I$ ; then we can think of  $\text{Spec}(A)$  as  $\mathbf{V}(I) \subseteq \mathbb{A}^n$ .

## 2.9. Sheaf of $k$ -algebras.

**Definition 19.** Let  $V$  be a topological space and  $k$  a field. Suppose that for every open subset  $U \subseteq V$ , we have a set  $\mathcal{O}_V(U)$  of functions  $U \rightarrow k$ . We say the assignment  $U \mapsto \mathcal{O}_V(U)$  is a *sheaf of  $k$ -algebras* if the following hold for every open subset  $U \subseteq V$ :

- (1)  $\mathcal{O}_V(U)$  is a  $k$ -subalgebra of all  $k$ -valued functions on  $U$ , i.e.,  $\mathcal{O}_V(U)$  contains the constant functions and is closed under addition and multiplication;
- (2) if  $f \in \mathcal{O}_V(U)$  and  $U' \subseteq U$  is an open subset, then  $f|_{U'} \in \mathcal{O}_V(U')$ ; and,
- (3) if  $\{U_i\}$  is an open cover of  $U$  and  $f_i \in \mathcal{O}_V(U_i)$  satisfy  $f_i|_{U_i \cap U_j} = f_j|_{U_i \cap U_j}$  for all  $i$  and  $j$ , then there exists a unique  $f \in \mathcal{O}_V(U)$  such that  $f|_{U_i} = f_i$  for each  $i$ .

A pair  $(V, \mathcal{O}_V)$  consisting of a topological space  $V$  and a sheaf of  $k$ -algebras on  $V$  is called a  *$k$ -ringed space*, or just a *ringed space* when  $k$  is understood. The  $k$ -algebra  $\mathcal{O}_V(U)$  is sometimes denoted  $\Gamma(U, \mathcal{O}_V)$ , and its elements are called the *sections of  $\mathcal{O}_V$  over  $U$* .

**Definition 20.** A *morphism of  $k$ -ringed spaces*  $(V, \mathcal{O}_V) \rightarrow (W, \mathcal{O}_W)$  is a continuous map  $\varphi : V \rightarrow W$  such that for all open subsets  $U \subseteq W$ , if  $f \in \mathcal{O}_W(U)$ , then  $f \circ \varphi \in \mathcal{O}_V(\varphi^{-1}(U))$ .

For every pair of open subsets  $U \subseteq V$  and  $U' \subseteq W$  satisfying  $\varphi(U) \subseteq U'$ , we have a homomorphism of  $k$ -algebras,  $\varphi^* : \mathcal{O}_W(U') \rightarrow \mathcal{O}_V(U)$ , given by  $f \mapsto \varphi^* f := f \circ \varphi$ .

Let  $V \subseteq \mathbb{A}^n$  be an algebraic set. Let us see how to endow  $V$  with the structure of a ringed space. Recall that the basic open subsets of  $V$  are  $\{D(h) : h \in k[V]\}$ , where  $D(h) := \{P \in V : h(P) \neq 0\}$ . A pair of polynomials  $g, h \in k[V]$  with  $h \neq 0$  defines the function  $\varphi : D(h) \rightarrow k$ , given by  $P \mapsto \frac{g(P)}{h(P)}$ .

### 3. AFFINE GIT AND $\mathfrak{g} // T$

In this chapter, we introduce the affine GIT quotient and give examples. One example we give is  $\mathfrak{g} // T$  for  $G = \mathrm{GL}_2(\mathbb{C})$ . We then compute a basis of  $\mathbb{C}[\mathfrak{g}]^T$  for general  $G$ . Finally, we find generators for the invariant ring  $\mathbb{C}[\mathfrak{g}]^T$  when  $G = \mathrm{GL}_3(\mathbb{C})$ . Throughout this chapter, many technical details may be missing; our focus is on understanding specific examples which can guide our investigation of  $\mathfrak{g} // T$  for general  $G$ .

**3.1. The affine GIT quotient.** Let  $G$  be an affine algebraic group over  $\mathbb{C}$  and  $X = \mathrm{Spec}(A)$  a complex affine variety with coordinate ring  $A$ . Suppose that  $G$  acts on  $X$ . Recall that the  $G$ -invariant functions on  $X$  are

$$A^G := \{f \in A : f(g \cdot P) = f(P) \text{ for all } g \in G \text{ and } P \in X\}.$$

**Definition 21.** *The GIT quotient is defined as*

$$X // G := \mathrm{Spec}(A^G).$$

Note that points in  $X // G$  are not necessarily in bijection with the orbits  $X/G$ , but the GIT quotient defines a quotient variety even when  $X/G$  does not have the structure of an affine variety. Let us see some examples of GIT quotients:

**Example 22.** (1) *Consider the group  $\mathbb{C}^\times$  acting on the affine space  $\mathbb{C}^2$  by*

$$t \cdot (x, y) = (tx, t^{-1}y), \quad t \in \mathbb{C}^\times, (x, y) \in \mathbb{C}^2.$$

*Suppose a polynomial  $p$  has coefficients  $a_{ij} \in \mathbb{C}$  such that*

$$p(X, Y) = \sum_{i,j} a_{ij} X^i Y^j.$$

*Then  $p$  is  $\mathbb{C}^\times$  invariant if and only if for all  $t \in \mathbb{C}^\times$ ,*

$$\sum_{i,j} a_{ij} X^i Y^j = \sum_{i,j} a_{ij} t^{i-j} X^i Y^j.$$

*This is equivalent to having  $a_{ij} \neq 0$  if and only if  $i = j$ . Thus, we have that*

$$\mathbb{C}[X, Y]^{\mathbb{C}^\times} = \mathbb{C}[XY], \quad \text{and} \quad \mathbb{C}^2 // \mathbb{C}^\times = \mathrm{Spec}(\mathbb{C}[XY]) \cong \mathbb{C}.$$

(2) *Let  $G$  be  $\mathrm{GL}_2(\mathbb{C})$  and  $T$  the maximal torus of invertible diagonal matrices in  $G$ . The action of  $G$  on its Lie algebra  $\mathfrak{g} = \mathfrak{gl}_2(\mathbb{C})$  by conjugation induces an action of  $T$  on  $\mathfrak{g}$ . Specifically, if  $\begin{pmatrix} a & 0 \\ 0 & b \end{pmatrix} \in T$  and  $\begin{pmatrix} x & y \\ z & w \end{pmatrix} \in \mathfrak{g}$ ,*

$$\begin{pmatrix} a & 0 \\ 0 & b \end{pmatrix} \cdot \begin{pmatrix} x & y \\ z & w \end{pmatrix} = \begin{pmatrix} a & 0 \\ 0 & b \end{pmatrix} \begin{pmatrix} x & y \\ z & w \end{pmatrix} \begin{pmatrix} a & 0 \\ 0 & b \end{pmatrix}^{-1} = \begin{pmatrix} x & ab^{-1}y \\ a^{-1}bz & w \end{pmatrix}.$$

*Let  $X \in \mathbb{C}[\mathfrak{g}]$  be the coordinate function defined by  $X\left(\begin{pmatrix} x & y \\ z & w \end{pmatrix}\right) := x$ , and define  $Y, W, Z \in \mathbb{C}[\mathfrak{g}]$  analogously. Then  $\mathbb{C}[\mathfrak{g}] = \mathbb{C}[X, Y, Z, W]$ . Since  $T$  acts trivially on the diagonal entries of an element in  $\mathfrak{g}$ ,  $X, W \in \mathbb{C}[\mathfrak{g}]^T$ . The action on the off-diagonal entries is analogous to the action in part (1); by the same argument that we used*

in part (1), a polynomial  $p$  is invariant if and only if for each monomial in  $p$ , the exponent of  $Y$  is equal to the exponent of  $Z$ . Therefore,

$$\mathbb{C}[\mathfrak{g}]^T = \mathbb{C}[X, W, YZ], \quad \text{and} \quad \mathfrak{g} // T = \text{Spec}(\mathbb{C}[X, W, YZ]) \cong \mathbb{C}^3.$$

(3) Let  $S_2 = \langle \sigma \mid \sigma^2 = 1 \rangle$  act on  $\mathbb{C}^2$  by

$$\sigma \cdot (x, y) = (y, x).$$

Polynomials which are invariant under the induced action on  $\mathbb{C}[X, Y]$  are called symmetric polynomials. We compute  $\mathbb{C}[X, Y]^{S_2}$ , i.e., the ring of symmetric polynomials in two variables; this computation is a special case of the fundamental theorem of symmetric polynomials, which characterises  $\mathbb{C}[X_1, \dots, X_n]^{S_n}$  when  $S_n$  acts on  $\mathbb{C}^n$  by permuting coordinates (see [Lan02, Chapter IV, §6] for a proof of the general theorem).

We claim that  $\mathbb{C}[X, Y]^{S_2} = \mathbb{C}[XY, X + Y]$ . It is clear that  $XY$  and  $X + Y$  are symmetric, so we just need to show any symmetric polynomial lies in  $\mathbb{C}[XY, X + Y]$ . A polynomial can be written uniquely as a sum of homogeneous polynomials, and the polynomial is symmetric if and only if each homogeneous part is. In turn, each homogeneous part is symmetric if and only if it is a  $\mathbb{C}$ -linear combination of terms of the form  $X^i Y^j + X^j Y^i$  for some  $i, j \in \mathbb{Z}_{\geq 0}$ . If  $i = j$ , then clearly  $X^i Y^j + X^j Y^i = 2(XY)^i \in \mathbb{C}[XY, X + Y]$ . Otherwise, we can assume without loss of generality  $i < j$ . Then  $X^i Y^j + X^j Y^i = (XY)^i (Y^{j-i} + X^{j-i})$ , and it suffices to show  $X^n + Y^n \in \mathbb{C}[XY, X + Y]$  for all  $n \geq 1$  to prove our claim. We proceed by induction on  $n$ ; clearly  $X + Y$  and  $X^2 + Y^2 = (X + Y)^2 - 2XY$  lie in  $\mathbb{C}[XY, X + Y]$ , so the  $n = 1$  and  $n = 2$  cases hold. Then for  $n \geq 3$ ,

$$X^n + Y^n = (X^{n-1} + Y^{n-1})(X + Y) - XY(X^{n-2} + Y^{n-2}) \in \mathbb{C}[XY, X + Y],$$

which completes the induction. It can be shown that  $XY$  and  $X + Y$  are algebraically independent [Lan02, Chapter IV, §6]. We then have that

$$\mathbb{C}^2 // S_2 = \text{Spec}(\mathbb{C}[XY, X + Y]) \cong \mathbb{C}^2.$$

(4) This example is studied in [Kam21]. Consider the group  $G = \text{GL}_2(\mathbb{C})$  acting on its Lie algebra  $\mathfrak{g} = \mathfrak{gl}_2(\mathbb{C})$  by conjugation. We use the same notation as part (2) for coordinate functions so that  $\mathbb{C}[\mathfrak{g}] = \mathbb{C}[X, Y, Z, W]$ . A polynomial is invariant if and only if it is constant on the orbits of the action. Then  $f \in \mathbb{C}[\mathfrak{g}]^G$  is determined by its values on the orbit representatives which, by Jordan normal form, we can take to be

$$\begin{pmatrix} \lambda & 0 \\ 0 & \lambda \end{pmatrix}, \begin{pmatrix} \lambda & 0 \\ 0 & \mu \end{pmatrix}, \begin{pmatrix} \lambda & 1 \\ 0 & \lambda \end{pmatrix}, \quad \lambda, \mu \in \mathbb{C}.$$

We claim that  $f\left(\begin{pmatrix} \lambda & 0 \\ 0 & \lambda \end{pmatrix}\right) = f\left(\begin{pmatrix} \lambda & 1 \\ 0 & \lambda \end{pmatrix}\right)$  for  $f \in \mathbb{C}[\mathfrak{g}]^G$ . Indeed, since  $f$  is continuous and invariant,

$$\begin{aligned} f\left(\begin{pmatrix} \lambda & 0 \\ 0 & \lambda \end{pmatrix}\right) &= f\left(\lim_{t \rightarrow 0} \begin{pmatrix} \lambda & t \\ 0 & \lambda \end{pmatrix}\right) = \lim_{t \rightarrow 0} f\left(\begin{pmatrix} t^{-1} & 0 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} \lambda & t \\ 0 & \lambda \end{pmatrix} \begin{pmatrix} t^{-1} & 0 \\ 0 & 1 \end{pmatrix}^{-1}\right) \\ &= \lim_{t \rightarrow 0} f\left(\begin{pmatrix} \lambda & 1 \\ 0 & \lambda \end{pmatrix}\right) = f\left(\begin{pmatrix} \lambda & 1 \\ 0 & \lambda \end{pmatrix}\right). \end{aligned}$$

Then  $f \in \mathbb{C}[\mathfrak{g}]^G$  is in fact determined by its restriction  $f|_{\mathfrak{h}}$ , where  $\mathfrak{h}$  is the Cartan subalgebra of diagonal matrices in  $\mathfrak{g}$ . Note that since  $\text{diag}(\lambda, \mu)$  and  $\text{diag}(\mu, \lambda)$  are in the same orbit,  $f|_{\mathfrak{h}}$  is a symmetric polynomial in the variables  $X$  and  $W$ . We then have an inclusion

$$\mathbb{C}[\mathfrak{g}]^G \hookrightarrow \mathbb{C}[X, W]^{S_2} = \mathbb{C}[XW, X + W], \quad f \mapsto f|_{\mathfrak{h}}.$$

We know from linear algebra that  $\text{tr}, \det \in \mathbb{C}[\mathfrak{g}]^G$ . Noting  $\det|_{\mathfrak{h}} = XW$  and  $\text{tr}|_{\mathfrak{h}} = X + W$ , we see the inclusion  $\mathbb{C}[\mathfrak{g}]^G \hookrightarrow \mathbb{C}[X, W]^{S_2}$  is surjective. Thus we have an isomorphism  $\mathbb{C}[\mathfrak{g}]^G \cong \mathbb{C}[X, W]^{S_2}$ . Therefore,

$$\mathfrak{g} // G = \text{Spec}(\mathbb{C}[\mathfrak{g}]^G) \cong \text{Spec}(\mathbb{C}[X, W]^{S_2}) \cong \mathbb{C}^2.$$

**3.2. A basis for  $\mathbb{C}[\mathfrak{g}]^T$ .** We now determine a basis of the invariant ring  $\mathbb{C}[\mathfrak{g}]^T$  for a general  $G$ . Specifically, let  $G$  be a connected complex reductive group and  $T$  a maximal torus of  $G$ . The adjoint representation of  $G$  on  $\mathfrak{g}$  induces an action of  $T$  on  $\mathfrak{g}$ , given by  $t \cdot x := \text{Ad}(t)x$  for  $t \in T$  and  $x \in \mathfrak{g}$ . If  $\alpha : T \rightarrow \mathbb{C}^\times$  is a character of  $T$ , the eigenspace associated with  $\alpha$  is

$$\mathfrak{g}_\alpha := \{x \in \mathfrak{g} : \text{Ad}(t)x = \alpha(t)x \text{ for all } t \in T\}.$$

The nonzero characters  $\alpha$  such that  $\mathfrak{g}_\alpha$  is nonzero are called the *roots* of  $G$  with respect to  $T$ . Let  $\Phi$  denote the set of roots. We have the *root space decomposition*,

$$\mathfrak{g} = \mathfrak{t} \oplus \bigoplus_{\alpha \in \Phi} \mathfrak{g}_\alpha,$$

where  $\mathfrak{t}$  is the Lie algebra of  $T$ . In particular,  $\dim \mathfrak{g}_\alpha = 1$  for all  $\alpha \in \Phi$ . See [Mil13, II, §5] for a detailed account of the root space decomposition; for this document, we take for granted that we have the above decomposition of  $\mathfrak{g}$ .

Let  $\{y_i : i = 1, \dots, r\}$  be a basis for  $\mathfrak{t}$ . For each  $\alpha \in \Phi$ , fix a nonzero element  $x_\alpha$  in  $\mathfrak{g}_\alpha$ . Then  $\{x_\alpha : \alpha \in \Phi\} \cup \{y_i : i = 1, \dots, r\}$  is a basis for  $\mathfrak{g}$ . Let  $\{X_\alpha : \alpha \in \Phi\} \cup \{Y_i : i = 1, \dots, r\}$  be the dual basis. Then

$$\mathbb{C}[\mathfrak{g}] = \mathbb{C}[X_\alpha, Y_i : \alpha \in \Phi, i = 1, \dots, r].$$

Let us introduce notation to represent polynomials in  $\mathbb{C}[\mathfrak{g}]$ . If  $\eta = (\eta_\alpha)_{\alpha \in \Phi} \in (\mathbb{Z}_{\geq 0})^\Phi$  and  $\mu = (\mu_i)_{i=1}^r \in (\mathbb{Z}_{\geq 0})^r$ , we have the following notation for monomials:

$$X^\eta := \prod_{\alpha \in \Phi} X_\alpha^{\eta_\alpha}, \quad Y^\mu := \prod_{i=1}^r Y_i^{\mu_i}.$$

Then we can write  $p \in \mathbb{C}[\mathfrak{g}]$  as

$$p = \sum_{(\eta, \mu)} p_{\eta, \mu} X^\eta Y^\mu, \quad p_{\eta, \mu} \in \mathbb{C},$$

with the understanding that the sum is over finitely many tuples  $(\eta, \mu)$ .

For  $x = \sum_{\alpha \in \Phi} X_\alpha(x)x_\alpha + \sum_{i=1}^r Y_i(x)y_i \in \mathfrak{g}$ , the action of  $t \in T$  on  $x$  is given by

$$t \cdot x = \sum_{\alpha \in \Phi} \alpha(t) X_\alpha(x) x_\alpha + \sum_{i=1}^r Y_i(x) y_i.$$

Then  $t \in T$  acts on the generator  $X_\alpha \in \mathbb{C}[\mathfrak{g}]$  by

$$(t \cdot X_\alpha)(x) = X_\alpha(t^{-1} \cdot x) = \alpha(t^{-1}) X_\alpha(x) = (-\alpha)(t) X_\alpha(x), \quad x \in \mathfrak{g}.$$



The action of  $t \in T$  on  $Y_i \in \mathbb{C}[\mathfrak{g}]$  is trivial. It follows that

$$t \cdot p = \sum_{(\nu, \eta)} p_{\eta, \mu} \left( \sum_{\alpha \in \Phi} (-\eta_\alpha \alpha)(t) \right) X^\eta Y^\mu,$$

since characters are written additively, i.e.,  $(-\alpha(t))^{\eta_\alpha} = (-\eta_\alpha \alpha)(t)$ .

**Lemma 23.** *A polynomial  $p \in \mathbb{C}[\mathfrak{g}]$  is invariant for the action of  $T$  if and only if for each monomial  $X^\eta Y^\mu$  in  $p$ , it holds that*

$$\sum_{\alpha \in \eta} \eta_\alpha \alpha = 0.$$

*Proof.* By definition,  $p \in \mathbb{C}[\mathfrak{g}]$  is invariant if and only if for all  $t \in T$ ,

$$\sum_{(\eta, \mu)} p_{\eta, \mu} \left( \sum_{\alpha \in \Phi} (-\eta_\alpha \alpha)(t) \right) X^\eta Y^\mu = t \cdot p = p = \sum_{(\eta, \mu)} p_{\eta, \mu} X^\eta Y^\mu.$$

But since the set  $\{X^\eta Y^\mu : \eta \in (\mathbb{Z}_{\geq 0})^\Phi, \mu \in (\mathbb{Z}_{\geq 0})^r\}$  is a basis for  $\mathbb{C}[\mathfrak{g}]$ , the above equality is equivalent to having  $\sum_{\alpha \in \Phi} (-\eta_\alpha \alpha)(t) = 1$  for all  $t \in T$ . In other words,  $p$  being invariant is equivalent to having  $\sum_{\alpha \in \Phi} \eta_\alpha \alpha = 0$  for every monomial  $X^\eta Y^\mu$  in  $p$ .  $\square$

The lemma implies the following theorem:

**Theorem 24.** *The invariant ring  $\mathbb{C}[\mathfrak{g}]^T$  has the following basis:*

$$\left\{ X^\eta Y^\mu : \eta \in (\mathbb{Z}_{\geq 0})^\Phi, \mu \in (\mathbb{Z}_{\geq 0})^r \text{ and } \sum_{\alpha \in \Phi} \eta_\alpha \alpha = 0 \right\}.$$

**3.3. Generators for  $\mathbb{C}[\mathfrak{g}]^T$  when  $G = \text{GL}_3(\mathbb{C})$ .** Our goal in this section is to use Theorem 24 to find a minimal set of generators for  $\mathbb{C}[\mathfrak{g}]^T$  when  $G = \text{GL}_3(\mathbb{C})$ . Specifically, if

$$\mathcal{A} := \left\{ \eta \in (\mathbb{Z}_{\geq 0})^\Phi : \sum_{\alpha \in \Phi} \eta_\alpha \alpha = 0 \right\},$$

we want to find  $\{\eta_1, \dots, \eta_m\} \subseteq (\mathbb{Z}_{\geq 0})^\Phi$  such that  $\mathcal{A} = \text{span}_{\geq 0}\{\eta_1, \dots, \eta_m\}$ . Then since  $X^\eta \cdot X^\nu = X^{\eta+\nu}$ , we get

$$\mathbb{C}[\mathfrak{g}]^T = \mathbb{C}[X^\eta Y^\mu : \eta \in \mathcal{A}, \mu \in (\mathbb{Z}_{\geq 0})^r] = \mathbb{C}[X^{\eta_1}, \dots, X^{\eta_m}, Y_1, \dots, Y_r].$$

With the goal of finding generators for  $\mathbb{C}[\mathfrak{g}]^T$  in mind, let us determine the root space decomposition for  $\mathfrak{g}$ . Let  $T$  be the maximal torus of diagonal matrices in  $\text{GL}_3(\mathbb{C})$ ,

$$T = \{\text{diag}(t_1, t_2, t_3) : t_i \in \mathbb{C}^\times\}.$$

Then  $T$  has rank  $r = 3$ . We have that  $\mathfrak{g} = \mathfrak{gl}_3(\mathbb{C}) = \{(x_{ij})_{i,j=1,2,3} : x_{ij} \in \mathbb{C}\}$ . The action of  $t = \text{diag}(t_1, t_2, t_3) \in T$  on  $x = (x_{ij})_{i,j=1,2,3} \in \mathfrak{g}$  is given by

$$t \cdot x = \begin{pmatrix} t_1 & 0 & 0 \\ 0 & t_2 & 0 \\ 0 & 0 & t_3 \end{pmatrix} \begin{pmatrix} x_{11} & x_{12} & x_{13} \\ x_{21} & x_{22} & x_{23} \\ x_{31} & x_{32} & x_{33} \end{pmatrix} \begin{pmatrix} t_1 & 0 & 0 \\ 0 & t_2 & 0 \\ 0 & 0 & t_3 \end{pmatrix}^{-1} = \begin{pmatrix} x_{11} & t_1 t_2^{-1} x_{12} & t_1 t_3^{-1} x_{13} \\ t_1^{-1} t_2 x_{21} & x_{22} & t_2 t_3^{-1} x_{23} \\ t_1^{-1} t_3 x_{31} & t_2^{-1} t_3 x_{32} & x_{33} \end{pmatrix}.$$

Then  $\mathfrak{g} = \mathfrak{t} \oplus \bigoplus_{\alpha \in \Phi} \mathfrak{g}_\alpha$ , where  $\mathfrak{t} = \{\text{diag}(x_{11}, x_{22}, x_{33}) : x_{ii} \in \mathbb{C}\}$  is the Cartan subalgebra of diagonal matrices and  $\Phi = \{\varepsilon_1, \varepsilon_2, \varepsilon_1 + \varepsilon_2, -\varepsilon_1, -\varepsilon_2, -\varepsilon_1 - \varepsilon_2\}$ . Here  $\varepsilon_1$  and  $\varepsilon_2$  are the roots given by

$$\varepsilon_1(\text{diag}(t_1, t_2, t_2)) = t_1 t_2^{-1}, \quad \text{and} \quad \varepsilon_2(\text{diag}(t_1, t_2, t_2)) = t_2 t_3^{-1}.$$

We have the following basis elements for the root spaces

$$x_{\varepsilon_1} := E_{12}, \quad x_{\varepsilon_2} := E_{23}, \quad x_{\varepsilon_1 + \varepsilon_2} := E_{13}, \quad x_{-\varepsilon_1} := E_{21}, \quad x_{-\varepsilon_2} := E_{32}, \quad x_{-\varepsilon_1 - \varepsilon_2} := E_{31},$$

where  $E_{ij}$  is the standard basis matrix for  $\mathfrak{gl}_3(\mathbb{C})$  which has a 1 in the  $i, j$  entry and zeros elsewhere. Then  $\mathfrak{g}_\alpha = \text{span}\{x_\alpha\}$  for each  $\alpha \in \Phi$ . Let  $y_i := E_{ii}$  for  $i = 1, 2, 3$ . Then  $\{y_1, y_2, y_3\} \cup \{x_\alpha : \alpha \in \Phi\}$  is a basis for  $\mathfrak{g}$ . If  $\{Y_1, Y_2, Y_3\} \cup \{X_\alpha : \alpha \in \Phi\}$  denotes the dual basis,  $\mathbb{C}[\mathfrak{g}] = \mathbb{C}[X_\alpha, Y_i : \alpha \in \Phi, i = 1, 2, 3]$ .

We claim that the set  $\{\eta_1, \dots, \eta_5\}$ , where

$$\eta_1 := (1, 0, 0, 1, 0, 0), \quad \eta_2 := (0, 1, 0, 0, 1, 0), \quad \eta_3 := (0, 0, 1, 0, 0, 1),$$

$$\eta_4 := (1, 1, 0, 0, 0, 1), \quad \eta_5 := (0, 0, 1, 1, 1, 0),$$

generates  $\mathcal{A}$  over  $\mathbb{Z}_{\geq 0}$ . Here we write  $\eta_i \in (\mathbb{Z}_{\geq 0})^\Phi$  as an ordered tuple

$$\eta_i = (\eta_{i, \varepsilon_1}, \eta_{i, \varepsilon_2}, \eta_{i, \varepsilon_1 + \varepsilon_2}, \eta_{i, -\varepsilon_1}, \eta_{i, -\varepsilon_2}, \eta_{i, -\varepsilon_1 - \varepsilon_2}).$$

It is straightforward to check that  $\sum_{\alpha \in \Phi} \eta_{i, \alpha} \alpha = 0$  for each  $i$ . To see  $\{\eta_1, \dots, \eta_5\}$  indeed generates  $\mathcal{A}$ , take any  $\nu = (\nu_{\varepsilon_1}, \dots, \nu_{-\varepsilon_1 - \varepsilon_2}) \in \mathcal{A}$ . We want to find  $k_1, \dots, k_5 \in \mathbb{Z}_{\geq 0}$  such that  $\nu = \sum_{i=1}^5 k_i \eta_i$ . Since  $\nu \in \mathcal{A}$ , we have

$$0 = \sum_{\alpha \in \Phi} \nu_\alpha \alpha = (\nu_{\varepsilon_1} + \nu_{\varepsilon_1 + \varepsilon_2} - \nu_{-\varepsilon_1} - \nu_{-\varepsilon_1 - \varepsilon_2}) \varepsilon_1 + (\nu_{\varepsilon_2} + \nu_{\varepsilon_1 + \varepsilon_2} - \nu_{-\varepsilon_2} - \nu_{-\varepsilon_1 - \varepsilon_2}) \varepsilon_2,$$

which implies that

$$(2) \quad \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} = \nu_{-\varepsilon_1 - \varepsilon_2} - \nu_{\varepsilon_1 + \varepsilon_2} = \nu_{\varepsilon_2} - \nu_{-\varepsilon_2}.$$

For any  $k_5 \in \mathbb{Z}$ , one can use Equation 2 to check that

$$k_1 := \nu_{-\varepsilon_1} - k_5, \quad k_2 := \nu_{-\varepsilon_2} - k_5, \quad k_3 := \nu_{\varepsilon_1 + \varepsilon_2} - k_5, \quad \text{and} \quad k_4 := \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} + k_5$$

satisfy  $\sum_{i=1}^5 k_i \eta_i = \nu$ . Then to prove the claim, we just need to find  $k_5 \in \mathbb{Z}_{\geq 0}$  such that  $k_1, k_2, k_3, k_4 \geq 0$ . We claim that  $k_5 := \min\{\nu_{\varepsilon_1 + \varepsilon_2}, \nu_{-\varepsilon_1}, \nu_{-\varepsilon_2}\}$  works. It is clear  $k_1, k_2, k_3 \geq 0$ . Using Equation 2,

$$k_4 = \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} + k_5 = \begin{cases} \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} + \nu_{\varepsilon_1 + \varepsilon_2} = \nu_{-\varepsilon_1 - \varepsilon_2} & \text{if } k_5 = \nu_{\varepsilon_1 + \varepsilon_2}, \\ \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} + \nu_{-\varepsilon_1} = \nu_{\varepsilon_1} & \text{if } k_5 = \nu_{-\varepsilon_1}, \\ \nu_{\varepsilon_1} - \nu_{-\varepsilon_1} + \nu_{-\varepsilon_2} = \nu_{\varepsilon_2} & \text{if } k_5 = \nu_{-\varepsilon_2}, \end{cases}$$

and  $k_4 \geq 0$  in all cases, as required. This proves  $\mathcal{A} = \text{span}_{\mathbb{Z}_{\geq 0}}\{\eta_1, \dots, \eta_5\}$ .

We now have that

$$\begin{aligned} \mathbb{C}[\mathfrak{g}]^T &= \mathbb{C}[X^{\eta_1}, \dots, X^{\eta_5}, Y_1, Y_2, Y_3] \\ &= \mathbb{C}[X_{12}X_{21}, X_{23}X_{32}, X_{13}X_{31}, X_{12}X_{23}X_{31}, X_{13}X_{21}X_{32}, Y_1, Y_2, Y_3] \\ &\cong \mathbb{C}[A, B, C, D, E, F, G, H]/(ABC - DE). \end{aligned}$$

Therefore,

$$\mathfrak{g} // T = \text{Spec}(\mathbb{C}[\mathfrak{g}]^T) \cong \mathbf{V}(ABC - DE) \times \mathbb{C}^3.$$

**3.4. Hilbert series for  $\mathbb{C}[\mathfrak{g}]^T$ .** We give the general definition of the Hilbert series following [Muk03, §1.2]. Let  $R = \mathbb{C}[X_1, \dots, X_n]$  and suppose  $G$  acts on  $\mathbb{A}^n$  linearly, so that we get the action  $(g \cdot f)(X) = f(g^{-1} \cdot X)$  on  $R$ . Any polynomial  $f(X) = f(X_1, \dots, X_n)$  can be written uniquely as a sum of homogenous polynomials,

$$f(X) = f_0 + f_1(X) + \dots + f_d(X),$$

where  $d$  is the degree of  $f$  and  $\deg f_i = i$ . Since the action is linear,  $\deg(g \cdot f_i) = i$ , and  $f$  is invariant for the action of  $G$  if and only if each summand  $f_i$  is invariant. Letting  $R_d$  denote the subspace of homogeneous polynomials of degree  $d$ , we can decompose  $R$  and  $R^G$  as

$$R = \bigoplus_{d \geq 0} R_d, \quad R^G = \bigoplus_{d \geq 0} R^G \cap R_d.$$

The *Hilbert series*  $\text{Hil}(R^G, t)$  of  $R^G$  is the generating function for the dimensions of each homogeneous component of  $R^G$ . That is,

$$\text{Hil}(R^G, t) := \sum_{d \geq 0} \dim(R^G \cap R_d) t^d \in \mathbb{Z}[[t]].$$

The Hilbert series is a useful invariant of  $R^G$ , measuring its “size and shape.”

For an example, consider  $G = \langle \sigma \mid \sigma^2 = 1 \rangle$  acting on  $R = \mathbb{C}[X_1, X_2]$  by  $\sigma \cdot X_i = -X_i$ . Then a homogeneous polynomial is invariant if and only if it has even degree. In particular,  $R^G$  is generated by  $X_1^2, X_1X_2$  and  $X_2^2$ . The subspace  $R^G \cap R_{2d}$  is spanned by monomials  $(X_1^2)^{k_1}(X_1X_2)^{k_2}(X_2^2)^{k_3}$  such that  $k_1 + k_2 + k_3 = d$ , and there are  $\binom{d+3-1}{3-1} = \binom{d+2}{2}$  solutions for  $(k_1, k_2, k_3)$ . So then

$$\text{Hil}(R^G, t) = \sum_{d \geq 0} \binom{d+2}{2} t^{2d}.$$

#### 4. AFFINE TORIC VARIETIES

Affine toric varieties are a class of algebraic varieties which are determined by a *cone* in a vector space. The interplay between the variety and its cone leads to a rich theory combining the algebraic geometry of the variety and the convex geometry of the cone. Moreover, computations with the cone can often be done explicitly, which means toric varieties are useful to study as examples.

The most succinct definition of a toric variety  $X$  is the following:  $X$  is a normal variety with an algebraic torus  $T$  as a dense open subset, and  $T$  acts on  $X$  by an action which extends the natural action of  $T$  on itself. However, this description doesn't indicate the relationship with convex geometry. In this chapter, we will define and study toric varieties; we will also see how the GIT quotient of an affine space by a torus has the structure of an affine toric variety. We start by discussing the prerequisite convex geometry.

**4.1. Convex cones.** Let  $N$  be a lattice, i.e., a free abelian group of finite rank  $n$ . Let  $M = \text{Hom}(N, \mathbb{Z})$  denote the dual lattice, with dual pairing  $\langle \cdot, \cdot \rangle : M \times N \rightarrow \mathbb{Z}$ . We can consider  $N$  and  $M$  as subsets of the  $n$ -dimensional vector spaces  $N_{\mathbb{R}} = N \otimes_{\mathbb{Z}} \mathbb{R}$  and  $M_{\mathbb{R}} = M \otimes_{\mathbb{Z}} \mathbb{R}$ , respectively. Note that  $N_{\mathbb{R}}$  and  $M_{\mathbb{R}}$  are dual vector spaces, and we retain the notation  $\langle \cdot, \cdot \rangle$  for the dual pairing  $M_{\mathbb{R}} \times N_{\mathbb{R}} \rightarrow \mathbb{R}$ .

A subset  $\sigma \subseteq N_{\mathbb{R}}$  is a *cone* if it is closed under nonnegative scalar multiplication, i.e.,  $\lambda x \in \sigma$  for all  $x \in \sigma$  and all  $\lambda \in \mathbb{R}_{\geq 0}$ . A set  $\sigma \subseteq N_{\mathbb{R}}$  is *convex* if for any two points in  $\sigma$ , the line segment joining them is contained in  $\sigma$ , i.e.,  $x, y \in \sigma$  implies  $\lambda x + (1 - \lambda)y \in \sigma$  for all  $\lambda \in [0, 1]$ . Since cones are closed under positive scalar multiplication by assumption, a cone  $C$  is convex if and only if it is closed under addition.

**Example 25.** *The union of rays*

$$\sigma_1 = \{(x, x/\sqrt{3}) \in \mathbb{R}^2 : x \in \mathbb{R}_{\geq 0}\} \cup \{(x, \sqrt{3}x) \in \mathbb{R}^2 : x \in \mathbb{R}_{\geq 0}\}$$

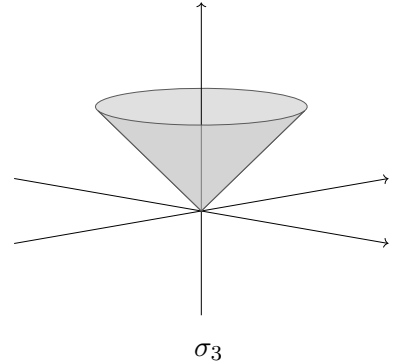
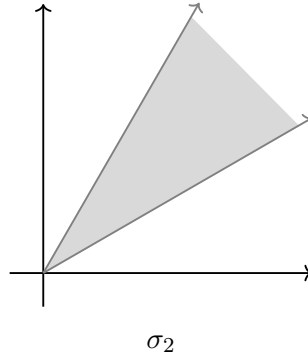
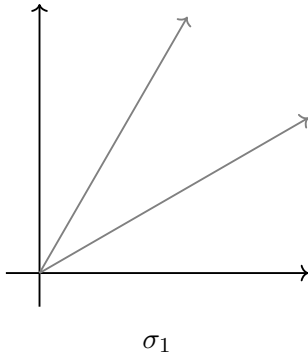
*is cone but not convex. We can “fill in”  $\sigma_1$  to get the convex cone*

$$\sigma_2 = \{(x, y) \in \mathbb{R}^2 : x \in \mathbb{R}_{\geq 0}, x/\sqrt{3} \leq y \leq \sqrt{3}x\}.$$

*The set*

$$\sigma_3 = \{(x, r) \in \mathbb{R}^2 \times \mathbb{R} : \|x\| \leq r\}$$

*is a convex cone in  $\mathbb{R}^3$ .*



**Definition 26.** Let  $\sigma$  be a cone. The dual cone  $\sigma^\vee$  is

$$\sigma^\vee = \{u \in M_{\mathbb{R}} : \langle u, v \rangle \geq 0 \text{ for all } v \in \sigma\}.$$

**Example 27.** In the following examples, we let  $N = \mathbb{Z}^n \subseteq \mathbb{R}^n \cong N_{\mathbb{R}}$ . Let  $e_1, \dots, e_n$  be the standard basis for  $N$  and  $e_1^*, \dots, e_n^*$  the dual basis for  $M$ .

- (1) Let  $\sigma := \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, \dots, e_n\}$ . Observe that a functional  $\sum_{i=1}^n a_i e_i^*$  is in the dual cone if and only if  $a_i \geq 0$  for all  $i$ . Then  $\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1^*, \dots, e_n^*\}$ .
- (2) Let  $n = 2$  and let  $\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, -e_1 + 2e_2\}$ . If  $u \in M_{\mathbb{R}}$ , checking  $\langle u, v \rangle \geq 0$  for all  $v \in \sigma$  is equivalent to checking for the generators  $v = e_1$  and  $v = -e_1 + 2e_2$ . So then  $u = ae_1^* + be_2^* \in M_{\mathbb{R}}$  is in  $\sigma^\vee$  exactly when the following two inequalities hold:

$$\langle u, e_1 \rangle = a \geq 0, \quad \langle u, -e_1 + 2e_2 \rangle = -a + 2b \geq 0.$$

Below we have a sketch of  $\sigma$  and  $\sigma^\vee$ :



Then we can see that  $\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}}\{2e_1 + e_2, e_2\}$ .

The following theorem relates a cone to its dual and has many important consequences (which we will see in §4.2):

**Theorem 28** ([Ful93, §1.2]). Let  $\sigma$  be a closed convex cone in  $N_{\mathbb{R}}$ . If  $v_0 \notin \sigma$ , then there exists  $u_0 \in \sigma^\vee$  such that  $\langle u_0, v_0 \rangle < 0$ .

Theorem 28 is a foundational result for the theory of toric varieties. References such as [Ful93], [CLS11], and [Oda88] omit a proof, but we present one for completeness. We begin with a lemma from analysis.

**Lemma 29.** Let  $A$  and  $B$  be disjoint closed subsets of a finite-dimensional normed vector space  $(V, \|\cdot\|)$ , and assume  $A$  is compact. Then there exist  $a_0 \in A$  and  $b_0 \in B$  which minimise the distance  $\|a - b\|$  over all  $a \in A$  and  $b \in B$ .

*Proof.* Take arbitrary  $a \in A$  and  $b \in B$  and set  $r_1 = \|a - b\| > 0$ . Since  $A$  is compact, there exists  $r_2 > 0$  such that  $A \subseteq \overline{B_{r_2}(a)}$ . Let  $S = B \cap \overline{B_{r_1+r_2}(a)}$ , which is nonempty since  $b \in S$ . Since the distance function is continuous and  $A \times S$  is compact, there exist  $(a_0, b_0) \in A \times S$  minimising the distance  $\|a_0 - b_0\|$  for all pairs of points in  $A \times S$ . We claim that this is in fact the minimum for all pairs of points in  $A \times B$ ; suppose to the contrary that there is  $(a', b') \in A \times B$  with  $\|a' - b'\| < \|a_0 - b_0\|$ . In particular, since  $\|a_0 - b_0\| \leq r_1$ ,  $\|a' - b'\| < r_1$  and so  $\|a - b'\| \leq \|a - a'\| + \|a' - b'\| < r_2 + r_1$ . This implies  $b' \in S$ , contradicting that  $\|a_0 - b_0\|$  attained the minimum distance for pairs in  $A \times S$ .  $\square$

**Theorem 30** (Hyperplane Separation Theorem [BV04, §2.5.1]). Let  $A$  and  $B$  be nonempty disjoint closed convex sets in a Euclidean vector space  $(V, (\cdot, \cdot))$ , and assume  $A$  is compact. Then there exists  $v \in V \setminus \{0\}$  and  $\lambda \in \mathbb{R}$  such that for all  $a \in A$ ,  $(v, a) \leq \lambda$ , and for all

$b \in B$ ,  $(v, b) \geq \lambda$ . In other words, there is an affine hyperplane such that  $A$  is contained in the negative halfspace and  $B$  is contained in the positive halfspace.

*Proof.* Lemma 29 yields  $a_0 \in A$  and  $b_0 \in B$  minimising the distance between points in  $A$  and points in  $B$ . Define

$$v := b_0 - a_0, \quad \lambda := \frac{\|b_0\|^2 - \|a_0\|^2}{2} = \frac{1}{2}(b_0 - a_0, b_0 + a_0).$$

The set of  $x \in V$  satisfying  $(v, x) = \lambda$  is the hyperplane orthogonal to the line segment joining  $a_0$  and  $b_0$ , and passing through its midpoint. Let us prove that  $(v, b) \geq \lambda$  for all  $b \in B$  (a similar argument shows  $(v, a) \leq \lambda$  for all  $a \in A$ ). Assume for a contradiction that there exists  $u \in B$  with  $(v, u) < \lambda$ . Then,

$$(v, u) - \frac{1}{2}(v, b_0 + a_0) < 0 \implies (v, u - b_0 + \frac{1}{2}(b_0 - a_0)) < 0 \implies (v, u - b_0) + \frac{1}{2}\|v\|^2 < 0.$$

Thus  $(v, u - b_0) < 0$ . Using the Leibniz rule for differentiating inner products, we see

$$\left. \frac{d}{dt} \|v + t(u - b_0)\|^2 \right|_{t=0} = 2(v + t(u - b_0), u - b_0)|_{t=0} = 2(v, u - b_0) < 0,$$

so for small  $t > 0$ , we have

$$\|b_0 + t(u - b_0) - a_0\| = \|v + t(u - b_0)\| < \|v\| = \|b_0 - a_0\|.$$

But  $B$  is convex and  $b_0, u \in B$ , so  $(b_0 + t(u - b_0)) \in B$  when  $t$  is sufficiently small. This contradicts the minimality of  $\|b_0 - a_0\|$ .  $\square$

*Proof of Theorem 28* ([BV04, Example 2.20]). Fix a basis  $e_1, \dots, e_n$  for  $N_{\mathbb{R}}$  and endow  $N_{\mathbb{R}}$  with the Euclidean inner product which makes the basis orthonormal (i.e.,  $(e_i, e_j) = \delta_{ij}$ ). Since  $\sigma$  is closed and  $v_0 \notin \sigma$ , there exists  $\varepsilon > 0$  such that  $\overline{B_\varepsilon(v_0)}$  does not intersect  $\sigma$ . By Theorem 30, there exist  $v \in N_{\mathbb{R}}$  and  $\lambda \in \mathbb{R}$  such that

$$(v, x) \geq \lambda \quad \text{and} \quad (v, y) \leq \lambda$$

for all  $x \in \sigma$  and all  $y \in \overline{B_\varepsilon(v_0)}$ . Since  $x = 0 \in \sigma$ ,  $\lambda \leq 0$ . In fact, we claim that  $(v, x) \geq 0$  for all  $x \in \sigma$  and  $(v, v_0) < 0$ , which completes the proof as then  $u_0 := (x \mapsto (v, x))$  is a linear form in  $\sigma^\vee$  with  $\langle u_0, v_0 \rangle < 0$ . Suppose there exists  $x \in \sigma$  with  $(v, x) = \lambda_0 < 0$ . Then for any  $s \in \mathbb{R}_{\geq 0}$ ,  $sx \in \sigma$  and  $(v, sx) = s\lambda_0$ , contradicting that  $\{(v, x) : x \in \sigma\}$  is bounded from below. Assume for a contradiction  $(v, v_0) = 0$ . We have  $y = v_0 + \frac{\varepsilon v}{\|v\|} \in \overline{B_\varepsilon(v_0)}$  and

$$0 \geq \lambda \geq (v, y) = (v, v_0 + \frac{\varepsilon v}{\|v\|}) = \varepsilon \|v\| > 0,$$

a contradiction.  $\square$

**Corollary 31.** *Let  $\sigma$  be a closed cone in  $N_{\mathbb{R}}$ . Then  $(\sigma^\vee)^\vee = \sigma$ .*

*Proof.* If  $v \in \sigma$ ,  $\langle u, v \rangle \geq 0$  for all  $u \in \sigma^\vee$ , so  $v \in (\sigma^\vee)^\vee$ . If  $v \notin \sigma$ , Theorem 28 implies there exists  $u \in \sigma^\vee$  with  $\langle u, v \rangle < 0$  and hence  $v \notin (\sigma^\vee)^\vee$ .  $\square$

**4.2. Polyhedral cones.** In the study of toric varieties, we are interested in the following class of closed convex cones:

**Definition 32.** A subset  $\sigma \subseteq N_{\mathbb{R}}$  is called a *convex polyhedral cone* if

$$\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{v_1, \dots, v_s\}$$

for a (finite) set of generators  $v_1, \dots, v_s \in N_{\mathbb{R}}$ .

It follows from the definition that convex polyhedral cones are indeed convex cones. Every example of a cone we have seen so far has been polyhedral, except for  $\sigma_3 = \{(x, r) \in \mathbb{R}^2 \times \mathbb{R} : \|x\| \leq r\}$  in Example 25. As given, a more apt name for this definition would be “finitely-generated cone”; the name polyhedral is justified by the fact that a cone satisfies Definition 32 if and only if it is a finite intersection of closed halfspaces with 0 on their boundary (i.e., is polyhedral)—see [DLHK13, §1.3] for a proof.

Fulton [Ful93, §1.2] states and proves many important consequences of Theorem 28 for convex polyhedral cones. We explain a few of these now.

Any  $u \in M_{\mathbb{R}}$  defines a hyperplane  $u^{\perp}$  and corresponding nonnegative halfspace  $u^{\vee}$ . These are defined as

$$u^{\perp} := \{v \in N_{\mathbb{R}} : \langle u, v \rangle = 0\}, \quad u^{\vee} := \{v \in N_{\mathbb{R}} : \langle u, v \rangle \geq 0\}.$$

A face  $\tau$  of  $\sigma$  is the intersection of  $\sigma$  with a hyperplane which is nonnegative on  $\sigma$ :

$$\tau = \sigma \cap u^{\perp} = \{v \in \sigma : \langle u, v \rangle = 0\}, \text{ for some } u \in \sigma^{\vee}.$$

A facet is a codimension one face. Any proper face is the intersection of all facets containing it. When  $\sigma$  spans  $N_{\mathbb{R}}$  and  $\tau$  is a facet of  $\sigma$ , there exists  $u \in \sigma^{\vee}$ , which is unique up to multiplication by a positive scalar, such that

$$\tau = \sigma \cap u^{\perp}.$$

We denote such a vector by  $u_{\tau}$ , which gives the equation for the hyperplane spanned by  $\tau$ . The face  $\sigma \cap u^{\perp}$  is generated by the vectors  $v_i$  in the generating set for  $\sigma$  such that  $\langle u, v_i \rangle = 0$ . If  $\sigma$  spans  $N_{\mathbb{R}}$ , the dual cone is generated by  $\{u_{\tau} : \tau \text{ is a facet}\}$ . This implies the dual of a convex polyhedral cone is also a convex polyhedral cone (this result is true without assuming  $\sigma$  spans  $N_{\mathbb{R}}$ ). Example 33 below gives an example of computing facets and dual cone generators.

**Example 33.** Let  $N = \mathbb{Z}^3$  and let  $\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, e_2, e_1 + e_3, e_2 + e_3\} \subseteq N_{\mathbb{R}} \cong \mathbb{R}^3$ . Observe that

$$u_{\tau_1} = e_1^*, \quad u_{\tau_2} = e_2^*, \quad u_{\tau_3} = e_3^*, \quad u_{\tau_4} = e_1^* + e_2^* - e_3^*$$

are all nonnegative on  $\sigma$  and hence lie in  $\sigma^{\vee}$ . For each  $u_{\tau_i}$ , there is the corresponding facet  $\tau_i = \sigma \cap u_{\tau_i}^{\perp}$ . These are:

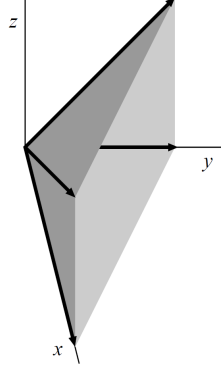
$$\begin{aligned} \tau_1 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_2, e_2 + e_3\}, & \tau_2 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, e_1 + e_3\}, \\ \tau_3 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, e_2\}, & \tau_4 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_1 + e_3, e_2 + e_3\}. \end{aligned}$$

The other faces in  $\sigma$  are the rays

$$\begin{aligned} \tau_1 \cap \tau_3 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_2\}, & \tau_1 \cap \tau_4 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_2 + e_3\}, \\ \tau_2 \cap \tau_3 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_1\}, & \tau_2 \cap \tau_4 &= \text{span}_{\mathbb{R}_{\geq 0}}\{e_1 + e_3\}, \end{aligned}$$

and the origin  $\bigcap_{i=1}^4 \tau_i = \{0\}$ . The dual cone is generated by  $\{u_{\tau_i}\}_{i=1}^4$ , so

$$\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}} \{e_1^*, e_2^*, e_3^*, e_1^* + e_2^* - e_3^*\}.$$



A diagram of  $\sigma$  [CLS11, Figure 2]

**4.3. The semigroup of a cone.** Recall that a semigroup is a set with an associative binary operation. For each cone  $\sigma$ , the points of the dual lattice which are contained in  $\sigma^\vee$  form a semigroup,

$$S_\sigma := \sigma^\vee \cap M.^4$$

A convex polyhedral cone  $\sigma \subseteq N_{\mathbb{R}}$  is called *rational* if it can be generated by elements in the lattice  $N$ . When  $\sigma$  is rational,  $\sigma^\vee$  is also rational [Ful93, §1.2]. Gordan's lemma tells us that the semigroup of a rational cone is finitely generated:

**Theorem 34** (Gordan's lemma [Ful93, §1.2]). *If  $\sigma$  is a rational convex polyhedral cone, then  $S_\sigma$  is a finitely generated semigroup.*

*Proof.* Let  $u_1, \dots, u_s \in \sigma^\vee \cap M$  generate  $\sigma^\vee$  as a cone. Define

$$K = \left\{ \sum t_i u_i : 0 \leq t_i \leq 1 \right\}.$$

Since  $K$  is compact and  $M$  is discrete, the intersection  $K \cap M$  is finite. We claim  $K \cap M$  generates  $S_\sigma$ . Suppose that  $u \in S_\sigma$ . Then  $u = \sum r_i u_i$  for some  $r_i \in \mathbb{R}_{\geq 0}$  since  $\{u_i\}$  generates  $\sigma^\vee$ . Write each  $r_i$  as  $m_i + t_i$  for  $m_i \in \mathbb{Z}_{\geq 0}$  and  $0 \leq t_i \leq 1$ , so  $u = \sum m_i u_i + \sum t_i u_i$ . Clearly  $\sum t_i u_i \in K$ . Also,  $\sum t_i u_i = u - \sum m_i u_i \in M$  since  $u$  and  $\sum m_i u_i$  lie in  $M$  and  $M$  is a group. Then  $\sum t_i u_i \in K \cap M$ , and since  $u_1, \dots, u_s \in K \cap M$ , we have that  $u = \sum m_i u_i + \sum t_i u_i \in \text{span}_{\mathbb{Z}_{\geq 0}} K \cap M$ .  $\square$

<sup>4</sup>We have  $0 \in S_\sigma$  for any convex polyhedral cone  $\sigma$ . Then  $S_\sigma$  is always a semigroup with identity, i.e., a monoid. In the toric varieties literature, it is conventional to call  $S_\sigma$  a semigroup, even though calling it a monoid would be more precise; we follow the convention and refer to  $S_\sigma$  as a semigroup.



**4.4. The semigroup algebra and affine toric varieties.** Given a cone  $\sigma$ , we have seen how to construct a semigroup  $S_\sigma = \sigma^\vee \cap M$ . There is a corresponding semigroup algebra  $\mathbb{C}[S_\sigma]$ , which is a finitely generated commutative  $\mathbb{C}$ -algebra.

**Definition 35.** Let  $\sigma$  be a rational cone in  $N$ . We define the affine toric variety corresponding to  $\sigma$  to be

$$U_\sigma := \text{Spec}(\mathbb{C}[S_\sigma]).$$

Let us explain the details of the construction. Given the semigroup  $S_\sigma = \sigma^\vee \cap M$ , the semigroup algebra  $\mathbb{C}[S_\sigma]$  is defined as having a basis of formal symbols

$$\{\chi^u : u \in S_\sigma\},$$

with multiplication determined by addition in  $S_\sigma$ ,

$$\chi^u \cdot \chi^{u'} = \chi^{u+u'}.$$

Note the multiplication is commutative since  $S_\sigma$  is. We have the unit  $\chi^0 \in \mathbb{C}[S_\sigma]$  corresponding to  $0 \in S_\sigma$ . Since  $S_\sigma$  is finitely generated,  $\mathbb{C}[S_\sigma]$  is a finitely generated  $\mathbb{C}$ -algebra.

Consider the semigroup algebra corresponding to the full dual lattice,  $\mathbb{C}[M]$ . If  $e_1, \dots, e_n$  is a basis for  $N$  and  $e_1^*, \dots, e_n^*$  is the dual basis for  $M$ , denote

$$X_i := \chi^{e_i^*} \in \mathbb{C}[M].$$

As a semigroup,  $M$  is generated by  $\pm e_1^*, \dots, \pm e_n^*$ , so

$$\mathbb{C}[M] = \mathbb{C}[X_1^\pm, \dots, X_n^\pm],$$

and  $\mathbb{C}[M]$  can be identified with the ring of Laurent polynomials. For any cone  $\sigma$ ,  $S_\sigma$  is contained in  $M$ , so  $\mathbb{C}[S_\sigma] \subseteq \mathbb{C}[M]$ . Then any semigroup algebra  $\mathbb{C}[S_\sigma]$  can be thought of as a subalgebra of the Laurent polynomials.

As  $\mathbb{C}[S_\sigma]$  is a finitely generated and nilpotent free  $\mathbb{C}$ -algebra,  $U_\sigma = \text{Spec}(\mathbb{C}[S_\sigma])$  is a complex affine variety. For example, if  $\sigma = \{0\}$ , then  $S_{\{0\}} = M$ , and we have

$$U_{\{0\}} = \text{Spec}(\mathbb{C}[X_1^\pm, \dots, X_n^\pm]) = (\mathbb{C}^\times)^n.$$

**Example 36.** Let us see more examples arising from the cones we have seen previously.

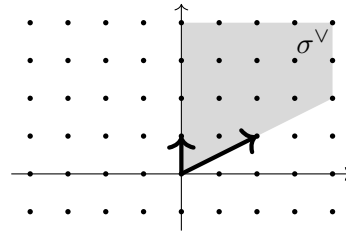
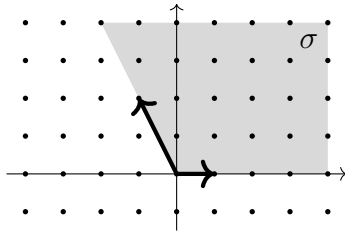
- (1) If  $\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, \dots, e_n\}$ , then  $\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1^*, \dots, e_n^*\}$ . The vectors  $e_1^*, \dots, e_n^*$  generate  $S_\sigma$  as a semigroup, so

$$\mathbb{C}[S_\sigma] = \mathbb{C}[\chi^{e_1^*}, \dots, \chi^{e_n^*}] = \mathbb{C}[X_1, \dots, X_n],$$

and

$$U_\sigma = \text{Spec}(\mathbb{C}[X_1, \dots, X_n]) = \mathbb{C}^n.$$

- (2) Recall that for  $\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, -e_1 + 2e_2\}$ , we have  $\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}}\{2e_1^* + e_2^*, e_2^*\}$ .



Observe that while  $\{2e_1^* + e_2^*, e_2^*\}$  generates  $\sigma^\vee$  as a cone, it does not generate  $S_\sigma$  as a semigroup. For example,  $e_1^* + e_2^* \in S_\sigma$ , but  $e_1^* + e_2^* \notin \text{span}_{\mathbb{Z}_{\geq 0}}\{2e_1^* + e_2^*, e_2^*\}$ . However,  $\{2e_1^* + e_2^*, e_2^*, e_1^* + e_2^*\}$  does generate  $S_\sigma$ . Then

$$\mathbb{C}[S_\sigma] = \mathbb{C}[\chi^{e_2^*}, \chi^{2e_1^* + e_2^*}, \chi^{e_1^* + e_2^*}] = \mathbb{C}[X_2, X_1^2 X_2, X_1 X_2] \cong \mathbb{C}[X, Y, Z]/(XY - Z^2),$$

and

$$U_\sigma \cong \text{Spec}(\mathbb{C}[X, Y, Z]/(XY - Z^2)) = \mathbf{V}(XY - Z^2).$$

(3) For  $\sigma = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1, e_2, e_1 + e_3, e_2 + e_3\}$ , we saw  $\sigma^\vee = \text{span}_{\mathbb{R}_{\geq 0}}\{e_1^*, e_2^*, e_3^*, e_1^* + e_2^* - e_3^*\}$ . We have

$$\begin{aligned} \mathbb{C}[S_\sigma] &= \mathbb{C}[\chi^{e_1^*}, \chi^{e_2^*}, \chi^{e_3^*}, \chi^{e_1^* + e_2^* - e_3^*}] = \mathbb{C}[X_1, X_2, X_3, X_1 X_2 X_3^{-1}] \\ &\cong \mathbb{C}[X, Y, Z, W]/(XY - ZW), \end{aligned}$$

and so

$$U_\sigma \cong \text{Spec}(\mathbb{C}[X, Y, Z, W]/(XY - ZW)) = \mathbf{V}(XY - ZW).$$

In all the examples of cones that we have seen so far, the origin is a face of the cone. The following proposition gives equivalent conditions for the origin to be face:

**Proposition 37** ([Ful93, §1.2, Proposition 3]). *For a convex polyhedral cone  $\sigma$ , the following conditions are equivalent:*

- (1)  $\sigma \cap (-\sigma) = \{0\}$ ;
- (2)  $\sigma$  contains no nonzero linear subspace;
- (3) there is  $u \in \sigma^\vee$  with  $\sigma \cap u^\perp = \{0\}$ ;
- (4)  $\sigma^\vee$  spans  $M_{\mathbb{R}}$ .

A cone is called *strongly convex* if it satisfies the conditions of Proposition 37. We are usually interested in studying toric varieties arising from strongly convex cones. This assumption implies that when  $N$  is a rank  $n$  lattice, the dimension of the variety  $U_\sigma$  is also  $n$ . Specifically, when  $\sigma$  is strongly convex,  $U_\sigma$  has an  $n$ -dimensional torus as an open subset [CLS11, Theorem 1.2.18]. Then the affine toric variety  $U_\sigma$  defined in terms of the cone  $\sigma$  satisfies the definition of a toric variety from the introduction to this chapter, i.e.,  $U_\sigma$  has a torus as a dense open subset.

**4.5.  $\mathbb{A}^n // T$  as a toric variety.** In this section, we will study how the GIT quotient of a torus acting on affine space has the structure of a toric variety. We follow [Dol03, §12].

Let  $T = (\mathbb{C}^\times)^r$  act linearly on  $\mathbb{A}^n = \mathbb{C}^n$  by

$$t \cdot (z_1, \dots, z_n) = (t^{\mathbf{a}_1} z_1, \dots, t^{\mathbf{a}_n} z_n),$$

where if  $t = (t_1, \dots, t_r)$  and  $\mathbf{a}_j = (a_{1j}, \dots, a_{rj}) \in \mathbb{Z}^r$ ,

$$t^{\mathbf{a}_j} := t_1^{a_{1j}} \dots t_r^{a_{rj}}.$$

Note that any representation of  $T$  can be written this way, after diagonalising the action. For a vector  $\mathbf{m} = (m_1, \dots, m_n) \in (\mathbb{Z}_{\geq 0})^n$ , let  $Z^{\mathbf{m}} := Z_1^{m_1} \dots Z_n^{m_n}$ . If  $F \in \mathbb{C}[Z_1, \dots, Z_n]$  is given by a finite sum  $\sum_{\mathbf{m}} a_{\mathbf{m}} Z^{\mathbf{m}}$ , for some coefficients  $a_{\mathbf{m}} \in \mathbb{C}$ ,  $F \in \mathbb{C}[Z_1, \dots, Z_n]^T$  if and only if for all  $t \in T$  and all  $z = (z_1, \dots, z_n) \in \mathbb{A}^n$ ,

$$F(z) = \sum_{\mathbf{m}} a_{\mathbf{m}} z^{\mathbf{m}} = \sum_{\mathbf{m}} a_{\mathbf{m}} t^{m_1 \mathbf{a}_1 + \dots + m_n \mathbf{a}_n} Z^{\mathbf{m}} = F(t \cdot z).$$

Then we see a polynomial  $F \in \mathbb{C}[Z_1, \dots, Z_n]$  is invariant under the action of  $T$  if and only if it is a linear combination of monomials  $Z^{\mathbf{m}}$  satisfying

$$(3) \quad m_1 \mathbf{a}_1 + \dots + m_n \mathbf{a}_n = A \cdot \mathbf{m} = 0.$$

Here  $A = (a_{ij})$  is the  $r \times n$  matrix of the exponents of the characters that  $T$  acts by. Let  $\mathcal{M}$  be the semigroup of vectors  $\mathbf{m} \in (\mathbb{Z}_{\geq 0})^n$  satisfying equation 3. Since these  $\mathbf{m}$  are precisely the exponents of invariant monomials for the action of  $T$  on  $\mathbb{A}^n$ , we have the isomorphism

$$\mathbb{C}[Z_1, \dots, Z_n]^T = \mathbb{C}[Z^{\mathbf{m}} : \mathbf{m} \in (\mathbb{Z}_{\geq 0})^n \text{ and } A \cdot \mathbf{m} = 0] \cong \mathbb{C}[\mathcal{M}].$$

To see  $\mathbb{A}^n // T$  has the structure of a toric variety, we need to find a lattice  $N$  and a cone  $\sigma$  in  $N_{\mathbb{R}}$  such that  $\mathcal{M} \cong \sigma^{\vee} \cap M$ . To this end, let  $\mathbb{Z}^n \rightarrow \mathbb{Z}^r$  be the map given by the matrix  $A$ , and let  $M = N^*$  be the kernel of this map. Then  $M$  is a free abelian group of rank  $l = n - \text{rank}(A)$ . Let  $(\mathbb{Z}^n)^* \rightarrow N = M^*$  be the map given by restriction of linear functions to  $M$ . Let  $e_1^*, \dots, e_n^*$  be the dual basis of the standard basis  $e_1, \dots, e_n$  for  $\mathbb{Z}^n$ , and let  $\bar{e}_1^*, \dots, \bar{e}_n^*$  be the image of these vectors in  $M^*$ . We define  $\sigma$  to be the convex cone in  $N_{\mathbb{R}}$  generated by the vectors  $\bar{e}_1^*, \dots, \bar{e}_n^*$ , i.e.,

$$\sigma = \text{span}_{\mathbb{R}_{\geq 0}} \{\bar{e}_1^*, \dots, \bar{e}_n^*\}.$$

**Lemma 38.** *We have that  $\sigma^{\vee} \cap M = \mathcal{M}$ .*

*Proof.* Note that  $\mathcal{M} = M \cap (\mathbb{Z}_{\geq 0})^n$ . Then

$$\begin{aligned} \mathcal{M} &= \{m \in M : \bar{e}_i^*(m) \geq 0 \text{ for all } i = 1, \dots, n\} \\ &= \{m \in M : n(m) \geq 0 \text{ for all } n \in \sigma\} \\ &= \sigma^{\vee} \cap M. \end{aligned}$$

□

**Corollary 39.** *The GIT quotient  $\mathbb{A}^n // T$  is isomorphic to the affine toric variety  $U_{\sigma}$ .*

*Proof.* We already know  $\mathbb{C}[Z_1, \dots, Z_n]^T \cong \mathbb{C}[\mathcal{M}]$ . The lemma implies  $\mathbb{C}[\mathcal{M}] = \mathbb{C}[\sigma^{\vee} \cap M]$ , so that  $\mathbb{A}^n // T = \text{Spec}(\mathbb{C}[Z_1, \dots, Z_n]^T) \cong \text{Spec}(\mathbb{C}[\sigma^{\vee} \cap M]) = U_{\sigma}$ . □

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