# **Moduli Spaces**

## D. Zack Garza

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So	me references:	
	• Course Notes	
	• Hilbert schemes/functors of points: Notes by Stromme	
	$-$ Slightly more detailed: Nitsure, $\dots$ Hilbert schemes, Fundamentals of Algebraic Geometrian Geometrian (Control of Control of Co	ry
	- Mumford, Curves on Surfaces	

• Harris-Harrison, Moduli of Curves (chatty and less rigorous)

## 1.1 Representability

Last time: Fix an S-scheme, i.e. a scheme over S.

Then there is a map

$$\operatorname{Sch}/S \longrightarrow \operatorname{Fun}(\operatorname{Sch}/S^{\operatorname{op}}, \operatorname{Set})$$
  
 $x \mapsto h_x(T) = \operatorname{hom}_{\operatorname{Sch}/S}(T, x).$ 

where  $T' \xrightarrow{f} T$  is given by

$$h_x(f): h_x(T) \longrightarrow h_x(T')$$
  
 $T \mapsto x \longrightarrow \text{triangles}$ 

of the form



Theorem 1.1(Yoneda).

$$hom_{Fun}(h_x, F) = F(x).$$

Corollary 1.2.

$$hom_{Sch/S}(x, y) \cong hom_{Fun}(h_x, h_y).$$

## Definition 1.2.1.

A moduli functor is a map

$$F: (\operatorname{Sch}/S)^{\operatorname{op}} \longrightarrow \operatorname{Set}$$
 
$$F(x) = \text{ "Families of something over } x\text{"}$$
 
$$F(f) = \text{ "Pullback"}.$$

#### Definition 1.2.2.

A moduli space for that "something" appearing above is an  $M \in \text{Obj}(\text{Sch}/S)$  such that  $F \cong h_M$ .

Now fix S = Spec (k).

 $h_m$  is the functor of points over M.

**Remark (1)**  $h_m(\operatorname{Spec}(k)) = M(\operatorname{Spec}(k)) \cong \text{"families over Spec } k" = F(\operatorname{Spec}(k)).$ 

**Remark (2)**  $h_M(M) \cong F(M)$  are families over M, and  $\mathrm{id}_M \in \mathrm{Mor}_{\mathrm{Sch}/S}(M,M) = \xi_{Univ}$  is the universal family

Every family is uniquely the pullback of  $\xi_{\text{Univ}}$  This makes it much like a classifying space.

For  $T \in Sch/S$ ,

$$\begin{split} h_M &\xrightarrow{\cong} F \\ f \in h_M(T) &\xrightarrow{\cong} F(T) \ni \xi = F(f)(\xi_{\text{Univ}}). \end{split}$$

where  $T \xrightarrow{f} M$  and  $f = h_M(f)(\mathrm{id}_M)$ .

**Remark (3)** If M and M' both represent F then  $M \cong M'$  up to unique isomorphism.

$$\xi_M \qquad \qquad \xi_{M'}$$

$$M \longrightarrow f \qquad M'$$

$$M' \longrightarrow g \qquad M$$

$$\xi_{M'}$$
  $\xi_{M}$ 

which shows that f, g must be mutually inverse by using universal properties.

#### Example 1.1.

A length 2 subscheme of  $\mathbb{A}^1_k$  then  $F(S) = \{V(x^2 + bx + c)\} \subset \mathbb{A}'_5$  where  $b, c \in \mathcal{O}_s(s)$ , which is functorially bijective with  $\{b, c \in \mathcal{O}_s(s)\}$  and F(f) is pullback.

Then F is representable by  $\mathbb{A}_k^2(b,c)$  and the universal object is given by

$$V(x^2 + bx + c) \subset \mathbb{A}^1(?) \times \mathbb{A}^2(b, c)$$

where  $b, c \in k[b, c]$ .

Moreover, F'(S) is the set of effective Cartier divisors in  $\mathbb{A}_5'$  which are length 2 for every geometric fiber. F''(S) is the set of subschemes of  $\mathbb{A}_5'$  which are length 2 on all geometric fibers. In both cases, F(f) is always given by pullback.

Problem: F'' is not a good moduli functor, as it is not representable. Consider Spec  $k[\varepsilon]$ .





We think of  $T_p F^{',''}$  as the tangent space at p.

If F is representable, then it is actually the Zariski tangent space.





Moreover,  $T_pM = (\mathfrak{m}_p/\mathfrak{m}_p^2)^{\vee}$ , and in particular this is a k-vector space. To see the scaling structure, take  $\lambda \in k$ .

$$\lambda: k[\varepsilon] \longrightarrow k[\varepsilon]$$

$$\varepsilon \mapsto \lambda \varepsilon$$

$$\lambda^*: \operatorname{Spec} (k[\varepsilon]) \longrightarrow \operatorname{Spec} (k[\varepsilon])$$

$$\lambda: M(\operatorname{Spec} (k[\varepsilon])) \longrightarrow M(\operatorname{Spec} (k[\varepsilon]))$$

$$\cup \qquad \cup$$

$$T_pM \longrightarrow T_pM.$$

**Conclusion**: If F is representable, for each  $p \in F(\text{Spec } k)$  there exists a unique point of  $T_pF$  that are invariant under scaling.

1. If  $F, F', G \in \text{Fun}((\text{Sch}/S)^{\text{op}}, \text{Set})$ , there exists a fiber product



where

$$(F \times_G F')(T) = F(T) \times_{G(T)} F'(T).$$

2. This works with the functor of points over a fiber product of schemes  $X \times_T Y$  for  $X, Y \longrightarrow T$ ,

where

$$h_{X \times_T Y} = h_X \times_{h_t} h_Y.$$

- 3. If F, F', G are representable, then so is the fiber product  $F \times_G F'$ .
- 4. For any functor

$$F: (\operatorname{Sch}/S)^{\operatorname{op}} \longrightarrow \operatorname{Set},$$

for any  $T \xrightarrow{f} S$  there is an induced functor

$$F_T: (\operatorname{Sch}/T) \longrightarrow \operatorname{Set}$$
  
 $x \mapsto F(x).$ 

5. F is representable by M/S implies that  $F_T$  is representable by  $M_T = M \times_S T/T$ .

## 1.2 Projective Space

Consider  $\mathbb{P}^n_{\mathbb{Z}}$ , i.e. "rank 1 quotient of an n+1 dimensional free module".

#### Proposition 1.3.

 $\mathbb{P}^n_{\mathbb{Z}}$  represents the following functor

$$\begin{split} F: \operatorname{Sch}^{\operatorname{op}} &\longrightarrow \operatorname{Set} \\ F(S) &= \mathcal{O}_s^{n+1} &\longrightarrow L \longrightarrow 0/\sim. \end{split}$$

where  $\sim$  identifies diagrams of the following form:

$$\mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0$$

$$\downarrow = \qquad \qquad \downarrow \cong \qquad \qquad \downarrow \cong \qquad \qquad \downarrow \cong \qquad \qquad \downarrow \cong \qquad \qquad \downarrow \qquad \qquad \qquad \downarrow \qquad \qquad \qquad \qquad \downarrow \qquad \qquad \qquad \qquad \downarrow \qquad \qquad$$

and F(f) is given by pullbacks.

**Remark**  $\mathbb{P}^n_S$  represents the following functor:

$$F_S: (\mathrm{Sch}/S)^\mathrm{op} \longrightarrow \mathrm{Set}$$

$$T \mapsto F_S(T) = \left\{ \mathcal{O}_T^{n+1} \longrightarrow L \longrightarrow 0 \right\} / \sim.$$

This gives us a cleaner way of gluing affine data into a scheme.

Proof (of Proposition).

Note:  $\mathcal{O}^{n+1} \longrightarrow L \longrightarrow 0$  is the same as giving n+1 sections  $s_1, \dots s_n$  of L, where surjectivity ensures that they are not the zero section.

So

$$F_i(S) = \left\{ \mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0 \right\} / \sim,$$

with the additional condition that  $s_i \neq 0$  at any point.

There is a natural transformation  $F_i \longrightarrow F$  by forgetting the latter condition, and is in fact a subfunctor.

$$F \leq G$$
 is a subfunctor iff  $F(s) \hookrightarrow G(s)$ .

**Claim:** It is enough to show that each  $F_i$  and each  $F_{ij}$  are representable, since we have natural transformations:

$$F_{i} \longrightarrow F$$

$$\uparrow \qquad \qquad \uparrow$$

$$F_{ij} \longrightarrow F_{i}$$

and each  $F_{ij} \longrightarrow F_i$  is an open embedding (on the level of their representing schemes).

#### Example.

For n = 1, we can glue along open subschemes



For n=2, we get overlaps of the following form:



This claim implies that we can glue together  $F_i$  to get a scheme M. We want to show that M represents F. F(s) (LHS) is equivalent to an open cover  $U_i$  of S and sections of  $F_i(U_i)$  satisfying the gluing (RHS).

Going from LHS to RHS isn't difficult, since for  $\mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0$ ,  $U_i$  is the locus where  $s_i \neq 0$  and by surjectivity, this gives a cover of S.

RHS to LHS comes from gluing.

Proof (of Claim).

$$F_i(S) = \left\{ \mathcal{O}_S^{n+1} \longrightarrow L \cong \mathcal{O}_s \longrightarrow 0, s_i \neq 0 \right\},$$

but there are no conditions on the sections other than  $s_i$ .

So specifying  $F_i(S)$  is equivalent to specifying n-1 functions  $f_1 \cdots \widehat{f_i} \cdots f_n \in \mathcal{O}_S(s)$  with  $f_k \neq 0$ . We know this is representable by  $\mathbb{A}^n$ .

We also know  $F_{ij}$  is obviously the same set of sequences, where now  $s_j \neq 0$  as well, so we need to specify  $f_0 \cdots \widehat{f_i} \cdots f_j \cdots f_n$  with  $f_j \neq 0$ . This is representable by  $\mathbb{A}^{n-1} \times \mathbb{G}_m$ , i.e. Spec  $k[x_1, \cdots, \widehat{x_i}, \cdots, x_n, x_j^{-1}]$ . Moreover,  $F_{ij} \hookrightarrow F_i$  is open.

What is the compatibility we are using to glue? For any subset  $I \subset \{0, \dots, n\}$ , we can define

$$F_I = \left\{ \mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0, s_i \neq 0 \text{ for } i \in I \right\} = \underset{i \in I}{\times} F_i,$$

and  $F_I \longrightarrow F_J$  when  $I \supset J$ .

## 2 Tuesday January 14th

Last time: Representability of functors, and specifically projective space  $\mathbb{P}^n_{\mathbb{Z}}$  constructed via a functor of points, i.e.

$$h_{\mathbb{P}^n_{\mathbb{Z}}} : \mathbb{P}^n_{\mathbb{Z}} \operatorname{Sch}^{\operatorname{op}} \longrightarrow \operatorname{Set}$$

$$s \mapsto \mathbb{P}^n_{\mathbb{Z}}(s) = \left\{ \mathcal{O}^{n+1}_s \longrightarrow L \longrightarrow 0 \right\}.$$

for L a line bundle, up to isomorphisms of diagrams:

That is, line bundles with n+1 sections that globally generate it, up to isomorphism.

The point was that for  $F_i \subset \mathbb{P}^n_{\mathbb{Z}}$  where

$$F_i(s) = \left\{ \mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0 \mid s_i \text{invertible} \right\}$$

are representable and can be glued together, and projective space represents this functor.

**Remark** Because projective space represents this functor, there is a universal object:



and other functors are pullbacks of the universal one.

**Exercise** Show that  $\mathbb{P}^n_{\mathbb{Z}}$  is proper over Spec  $\mathbb{Z}$ . Use the evaluative criterion, i.e. there is a unique lift



## Definition 2.0.1 (Equalizer).

For a category C, we say a diagram  $X \longrightarrow Y \rightrightarrows Z$  is an equalizer iff it is universal with respect to the property:



Note that X is the universal object here.

## Example 2.1.

For sets, 
$$X = \left\{ y \mid f(y) = g(y) \right\}$$
 for  $Y \xrightarrow{f,g} Z$ .

## Definition 2.0.2 (Coequalizer).

A coequalizer is the dual notion,



#### Example 2.2.

Take  $C = \operatorname{Sch}/S$ , X/S a scheme, and  $X_{\alpha} \subset X$  an open cover. We can take two fiber products,  $X_{\alpha\beta}, X_{\beta,\alpha}$ :





These are canonically isomorphic.

In Sch/S, we have

$$\coprod_{\alpha\beta} X_{\alpha\beta} \xrightarrow{f_{\alpha\beta}} \coprod_{\alpha} X_{\alpha} \longrightarrow X$$

where

$$f_{\alpha\beta}: X_{\alpha\beta} \longrightarrow X_{\alpha}$$
  
 $g_{\alpha\beta}: X_{\alpha\beta} \longrightarrow X_{\beta};$ 

this is a coequalizer.

Conversely, we can glue schemes. Given  $X_{\alpha} \longrightarrow X_{\alpha\beta}$  (schemes over open subschemes), we need to check triple intersections:



Then  $\phi_{\alpha\beta}:X_{\alpha\beta}\xrightarrow{\cong}X_{\beta\alpha}$  must satisfy the cocycle condition:

1.

$$\phi_{\alpha\beta}^{-1}(X_{\beta\alpha} \cap X_{\beta\gamma}) = X_{\alpha\beta} \cap X_{\alpha\gamma},$$

noting that the intersection is exactly the fiber product  $X_{\beta\alpha} \times_{X_{\beta}} X_{\beta\gamma}$ .

2. The following diagram commutes:



Then there exists a scheme X/S such that  $\coprod_{\alpha\beta} X_{\alpha\beta} \rightrightarrows \coprod_{\alpha\beta} X_{\alpha} \longrightarrow X$  is a coequalizer; this is the gluing.

Subfunctors satisfy a patching property because morphisms to schemes are locally determined. Thus representable functors (e.g. functors of points) have to be (Zariski) sheaves.

#### Definition 2.0.3 (Zariski Sheaf).

A functor  $F: (\mathrm{Sch}/S)^{\mathrm{op}} \longrightarrow \mathrm{Set}$  is a Zariski sheaf iff for any scheme T/S and any open cover  $T_{\alpha}$ , the following is an equalizer:

$$F(T) \longrightarrow \prod F(T_{\alpha}) \Longrightarrow \prod_{\alpha\beta} F(T_{\alpha\beta})$$

where the maps are given by restrictions.

#### Example 2.3.

Any representable functor is a Zariski sheaf precisely because the gluing is a coequalizer. Thus if you take the cover

$$\coprod_{\alpha\beta} T_{\alpha\beta} \longrightarrow \coprod_{\alpha} T_{\alpha} \longrightarrow T,$$

since giving a local map to X that agrees on intersections if enough to specify a map from  $T \longrightarrow X$ .

Thus any functor represented by a scheme automatically satisfies the sheaf axioms.

## **Definition 2.0.4** (Subfunctors, Open/Closed Functors).

Suppose we have a morphism  $F' \longrightarrow F$  in the category Fun(Sch/S, Set).

- This is a **subfunctor** if  $\iota(T)$  is injective for all T/S.
- $\iota$  is **open/closed/locally closed** iff for any scheme T/S and any section  $\xi \in F(T)$  over T, then there is an open/closed/locally closed set  $U \subset T$  such that for all maps of schemes  $T' \xrightarrow{f} T$ , we can take the pullback  $f^*\xi$  and  $f^*\xi \in F'(T')$  iff f factors through U.

I.e. we can test if pullbacks are contained in a subfunctors by checking factorization.

**Note** This is the same as asking if the subfunctor F', which maps to F (noting a section is the same as a map to the functor of points), and since  $T \longrightarrow F$  and  $F' \longrightarrow F$ , we can form the fiber product  $F' \times_F T$ :



and  $F' \times_F T \cong U$ .

Note: this is almost tautological!

Thus  $F' \longrightarrow F$  is open/closed/locally closed iff  $F' \times_F T$  is representable and g is open/closed/locally closed.

I.e. base change is representable, and (?).

#### **Exercise (Tautologous)**

- 1. If  $F' \longrightarrow F$  is open/closed/locally closed and F is representable, then F' is representable as an open/closed/locally closed subscheme
- 2. If F is representable, then open/etc subschemes yield open/etc subfunctors

Mantra: Treat functors as spaces. We have a definition of open, so now we'll define coverings.

## **Definition 2.0.5** (Open Covers).

A collection of open subfunctors  $F_{\alpha} \subset F$  is an **open cover** iff for any T/S and any section  $\xi \in F(T)$ , i.e.  $\xi : T \longrightarrow F$ , the  $T_{\alpha}$  in the following diagram are an open cover of T:



## Example 2.4.

Given

$$F(s) = \left\{ \mathcal{O}_s^{n+1} \longrightarrow L \longrightarrow 0 \right\}$$

and  $F_i(s)$  given by those where  $s_i \neq 0$  everywhere, the  $F_i \longrightarrow F$  are an open cover. Because the sections generate everything, taking the  $T_i$  yields an open cover.

## Proposition 2.1.

A Zariski sheaf  $F: (Sch/S)^{op} \longrightarrow Set$  with a representable open cover is representable.

#### Proof

Let  $F_{\alpha} \subset F$  be an open cover, say each  $F_{\alpha}$  is representable by  $x_{\alpha}$ . Form the fiber product  $F_{\alpha\beta} = F_{\alpha} \times_F F_{\beta}$ . Then  $x_{\beta}$  yields a section (plus some openness condition?), so  $F_{\alpha\beta} = x_{\alpha\beta}$ 

representable. Because  $F_{\alpha} \subset F$ , the  $F_{\alpha\beta} \longrightarrow F_{\alpha}$  have the correct gluing maps.

This follows from Yoneda (schemes embed into functors), and we get maps  $x_{\alpha\beta} \longrightarrow x_{\alpha}$  satisfying the gluing conditions. Call the gluing scheme x; we'll show that x represents F. First produce a map  $x \longrightarrow F$  from the sheaf axioms. We have a map  $\xi \in \prod_{\alpha} F(x_{\alpha})$ , and because we can pullback, we get a unique element  $\xi \in F(X)$  coming from the diagram

$$F(x) \longrightarrow \prod F(x_{\alpha}) \rightrightarrows \prod_{\alpha\beta} F(x_{\alpha\beta}).$$

#### Lemma 2.2.

If  $E \longrightarrow F$  is a map of functors and E, F are zariski sheaves, where there are open covers  $E_{\alpha} \longrightarrow E, F_{\alpha} \longrightarrow F$  with commutative diagrams

$$E \longrightarrow F$$

$$\uparrow \qquad \uparrow$$

$$E_{\alpha} \stackrel{\cong}{\longrightarrow} F_{\alpha}$$

(i.e. these are isomorphisms locally) then the map is an isomorphism.

With the following diagram, we're done by the lemma:

$$\begin{array}{ccc} X & \longrightarrow & F \\ \uparrow & & \uparrow \\ \downarrow & & \downarrow \\ X_{\alpha} & \stackrel{\cong}{\longrightarrow} & F_{\alpha} \end{array}$$

#### Example 2.5.

For S and E a locally free coherent  $\mathcal{O}_s$  module,

$$\mathbb{P}E(T) = \{f^*E \longrightarrow L \longrightarrow 0\} / \sim$$

is a generalization of projectivization, then S admits a cover  $U_i$  trivializing E.

Then the restriction  $F_i \longrightarrow \mathbb{P}E$  were  $F_i(T)$  is the above set if f factors through  $U_i$  and empty otherwise. On  $U_i$ ,  $E \cong \mathcal{O}_{U_i}^{n_i}$ , so  $F_i$  is representable by  $\mathbb{P}_{U_i}^{n_i-1}$  by the proposition. (Note that this is clearly a sheaf.)

#### Example 2.6.

For E locally free over S of rank n, take r < n and consider the functor  $Gr(k, E)(T) = \{f^*E \longrightarrow Q \longrightarrow 0\} / \sim$  (a Grassmannian) where Q is locally free of rank k.

#### **Exercise**

- a. Show that this is representable
- b. For the Plucker embedding

$$Gr(k, E) \longrightarrow \mathbb{P} \wedge^k E$$
,

a section over T is given by  $f^*E \longrightarrow Q \longrightarrow 0$  corresponding to

$$\wedge^k f^* E \longrightarrow \wedge^k Q \longrightarrow 0,$$

noting that the left-most term is  $f^* \wedge^k E$ .

Show that this is a closed subfunctor. (That it's a functor is clear, that it's closed is not.)

Take  $S = \operatorname{Spec} k$ , then E is a k-vector space V, then sections of the Grassmannian are quotients of  $V \otimes \mathcal{O}$  that are free of rank n.

Take the subfunctor  $G_w \subset Gr(k, V)$  where

$$G_w(T) = \{ \mathcal{O}_T \otimes V \longrightarrow Q \longrightarrow 0 \} \text{ with } Q \cong \mathcal{O}_t \otimes W \subset \mathcal{O}_t \otimes V.$$

If we have a splitting  $V = W \oplus U$ , then  $G_W = \mathbb{A}(\text{hom}(U, W))$ . If you show it's closed, it follows that it's proper by the exercise at the beginning.

Thursday: Define the Hilbert functor, show it's representable. The Hilbert scheme functor gives e.g. for  $\mathbb{P}^n$  of all flat families of subschemes.