# **Moduli Spaces**

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## $March\ 15,\ 2020$

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1	Thursday January 9th
So	<ul> <li>• Course Notes</li> <li>• Hilbert schemes/functors of points: Notes by Stromme</li> <li>- Slightly more detailed: Nitsure, Hilbert schemes, Fundamentals of Algebraic Geometry</li> <li>- Mumford, Curves on Surfaces</li> </ul>

• 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  $T \in \operatorname{Sch}/S$ ,

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

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:

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

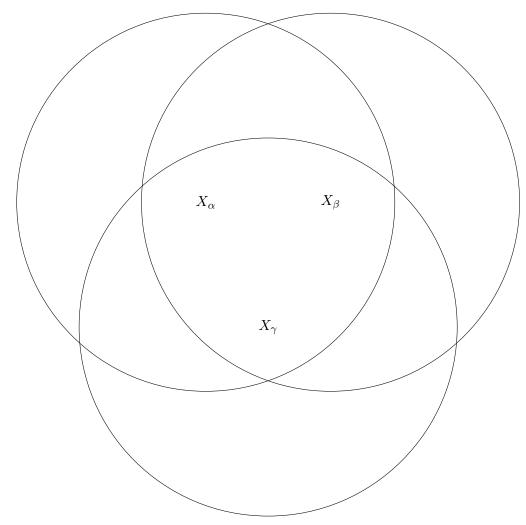
$$\coprod_{\alpha\beta} X_{\alpha\beta} \xrightarrow{f_{\alpha\beta}} \coprod_{\alpha} X_{\alpha} \longrightarrow X$$

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.

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

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  $\coprod_{\alpha\beta} X_{\alpha\beta} \rightrightarrows \coprod_{\alpha\beta} X_{\alpha} \to X$  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).

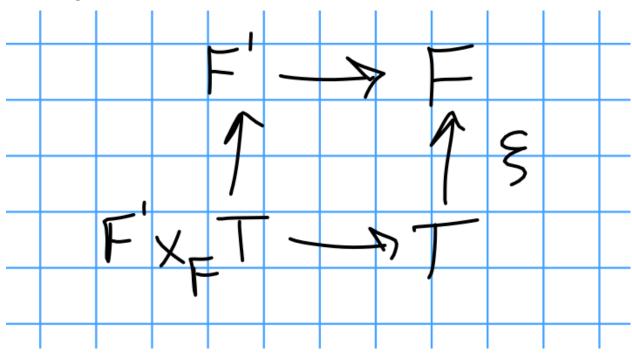
Suppose we have a morphism  $F' \longrightarrow F$  in the category Fun(Sch/S, Set).

- 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



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** (coverings).

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



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

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



## 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  $Gr(k,E) \longrightarrow \mathbb{P} \wedge^k E$ , then 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  $G_w \subset \operatorname{Gr}(k, V)$  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.