

# Number Theory

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# Part I

## Algebraic Number Theory

### 1 Ideal Factorization

**Definition 1.1.** For ideals  $\mathfrak{a}$  and  $\mathfrak{b}$  in a commutative ring, write  $\mathfrak{a} \mid \mathfrak{b}$  if  $\mathfrak{b} = \mathfrak{a}c$  for an ideal  $c$ .

If  $\mathfrak{a} \mid \mathfrak{b}$ , then  $\mathfrak{a} \supset \mathfrak{b}$ . The converse may fail in some rings, but in the ring of integers of a number field it will turn out that containment implies divisibility.

**Theorem 1.1.** In any commutative ring  $A$ , an ideal  $\mathfrak{p}$  is prime if and only if for all ideals  $\mathfrak{a}$  and  $\mathfrak{b}$  in  $A$ ,

$$\mathfrak{p} \supset \mathfrak{a}\mathfrak{b} \Rightarrow \mathfrak{p} \supset \mathfrak{a} \text{ or } \mathfrak{p} \supset \mathfrak{b}. \quad (1)$$

*Proof.* Suppose  $\mathfrak{p} \supset \mathfrak{a}\mathfrak{b}$  and  $\mathfrak{p} \not\supset \mathfrak{a}$ . Choose  $x \in \mathfrak{a}$  such that  $x \notin \mathfrak{p}$ . For every element  $y \in \mathfrak{b}$ ,  $xy \in \mathfrak{p}$ . Since  $\mathfrak{p}$  is prime and  $x \notin \mathfrak{p}$ , we must have  $y \in \mathfrak{p}$ , for every  $y \in \mathfrak{b}$ . So  $\mathfrak{p} \supset \mathfrak{b}$ . Conversely, suppose  $\mathfrak{p}$  is an ideal in  $A$  which satisfies the property (1) for all ideals  $\mathfrak{a}$  and  $\mathfrak{b}$  in  $A$ . If  $xy \in \mathfrak{p}$  for some  $x, y \in A$ , then  $\mathfrak{p} \supset (xy) = (x)(y)$ , and so  $\mathfrak{p}$  contains either  $(x)$  or  $(y)$ , which means either  $x$  or  $y$  is in  $\mathfrak{p}$ .  $\square$

**Corollary 1.** Let  $K$  be a number field. In  $\mathcal{O}_K$ , if  $\mathfrak{p} \supset \mathfrak{p}_1 \cdots \mathfrak{p}_r$  where all the ideals are nonzero and prime, then for some  $i$ ,  $\mathfrak{p} = \mathfrak{p}_i$ .

*Proof.* By Theorem 1.1,  $\mathfrak{p} \supset \mathfrak{p}_i$  for some  $i$ . Since nonzero prime ideals in  $\mathcal{O}_K$  are maximal,  $\mathfrak{p} = \mathfrak{p}_i$ .  $\square$

**Definition 1.2.** A **fractional ideal**  $I$  in  $K$  is a nonzero  $\mathcal{O}_K$ -submodule of  $K$  such that for some  $d \in \mathcal{O}_K \setminus \{0\}$ ,  $dI \subset \mathcal{O}_K$ . Such a  $d$  is called a **common denominator** for  $I$ .

**Theorem 1.2.** The following properties of an  $\mathcal{O}_K$ -submodule of  $K$  are equivalent:

1.  $I$  is a fractional ideal.
2.  $dI \subset \mathcal{O}_K$  for some  $d \in \mathbb{Z} \setminus \{0\}$ .
3.  $I = x\mathfrak{a}$  for some  $x \in K^\times$  and some nonzero ideal  $\mathfrak{a}$  in  $\mathcal{O}_K$ .
4.  $I$  is a nonzero finitely generated  $\mathcal{O}_K$ -submodule of  $K$ .

*Proof.* (1  $\Rightarrow$  2): Since  $I$  is a fractional ideal, there is a  $c \in \mathcal{O}_K \setminus \{0\}$  such that  $cI \subset \mathcal{O}_K$ . Set  $d = N_{K/\mathbb{Q}}(c) \in \mathbb{Z} \setminus \{0\}$ . Since  $c \mid d$ , we also have  $dI \subset \mathcal{O}_K$ . (2  $\Rightarrow$  3):  $dI$  is an  $\mathcal{O}_K$ -submodule of  $\mathcal{O}_K$ , thus it must be some nonzero ideal  $\mathfrak{a}$  in  $\mathcal{O}_K$ . Set  $x = \frac{1}{d}$ . Then  $x\mathfrak{a} = \frac{1}{d}(dI) = I$ . (3  $\Rightarrow$  4): Since  $\mathcal{O}_K$  is noetherian,  $\mathfrak{a}$  is finitely generated, which implies  $I$  is finitely generated too. (4  $\Rightarrow$  1): Write  $I = (\frac{a_1}{b_1}, \dots, \frac{a_n}{b_n})$  where  $a_i, b_i \in \mathcal{O}_K$  for  $1 \leq i \leq n$ . Set  $d = b_1 \cdots b_n$ . Then  $dI \subset \mathcal{O}_K$ .  $\square$

**Definition 1.3.** For a fractional ideal  $I$  in  $\mathcal{O}_K$ , set

$$\tilde{I} = \{x \in K \mid xI \subset \mathcal{O}_K\} = \mathcal{O}_K :_K I$$

$\tilde{I}$  is a fractional ideal in  $K$ . To see this, choose any  $y \in I$ , then  $y\tilde{I} \subset \mathcal{O}_K$ , so  $\tilde{I} \subset (1/y)\mathcal{O}_K$ . Therefore  $\tilde{I}$  is a submodule of a finite free  $\mathbb{Z}$ -module, so  $\tilde{I}$  is a finitely generated  $\mathbb{Z}$ -module, hence finitely generated as an  $\mathcal{O}_K$ -module too.

**Proposition 1.1.**  $\tilde{\tilde{I}} \cong \text{Hom}_{\mathcal{O}_K}(I, \mathcal{O}_K)$

*Proof.* Suppose  $c \in \tilde{I}$ . Then multiplication by  $c$  is an  $\mathcal{O}_K$ -linear map from  $I$  to  $\mathcal{O}_K$ . Conversely, suppose  $\varphi \in \text{Hom}_{\mathcal{O}_K}(I, \mathcal{O}_K)$ . We need to show that  $\varphi$  has the form  $\varphi(x) = cx$  for some  $c \in K$  and for all  $x \in I$ . In other words, we need to show that  $\varphi(x)/x$  is independent of  $x$ :

$$\frac{\varphi(x)}{x} \stackrel{?}{=} \frac{\varphi(y)}{y} \iff y\varphi(x) \stackrel{?}{=} x\varphi(y) \quad \forall x, y \in I.$$

We can't pull in the  $x$  and  $y$  inside  $\varphi$  yet since  $x$  and  $y$  may not lie in  $\mathcal{O}_K$ . Since  $I$  is a fractional ideal though, we know that there exists a nonzero  $d \in \mathcal{O}_K$  such that  $dx, dy \in \mathcal{O}_K$ . Choose such a  $d$ . Then since  $I$  is torsion-free, we have

$$y\varphi(x) - x\varphi(y) \stackrel{?}{=} 0 \iff d(y\varphi(x) - x\varphi(y)) \stackrel{?}{=} 0 \iff \varphi(dyx) - \varphi(dxy) \stackrel{\checkmark}{=} 0 \quad \forall x, y \in I.$$

$\square$

**Theorem 1.3.** Let  $I$  be a fractional ideal in the number field  $K$ . If  $I$  admits a fractional ideal inverse then the inverse must be  $\tilde{I}$ .

*Proof.* Let  $J$  be a multiplicative inverse of  $I$ . Certainly we have  $J \subset \tilde{I}$  since for each  $j \in J$ ,  $jI \subset \mathcal{O}_K$ . Conversely, since  $IJ = \mathcal{O}_K$ , we have  $i_1j_1 + \cdots + i_nj_n = 1$  where  $i_1, \dots, i_n \in I$  and  $j_1, \dots, j_n \in J$ . Then given  $x \in \tilde{I}$ , we have  $(xi_1)j_1 + \cdots (xi_n)j_n = x$ , where  $xi_1, \dots, xi_n \in \mathcal{O}_K$ , and so  $x \in J$ .  $\square$

**Proposition 1.2.** Let  $A$  be a Noetherian ring and let  $\mathfrak{a}$  be a nonzero ideal in  $A$ . Then  $\mathfrak{a}$  contains a product of prime ideals.

*Proof.* Assume for a contradiction that  $\mathfrak{a}$  does not contain a product of prime ideals. Let  $\mathcal{S}$  denote the set of all nonzero ideals in  $A$  which do not contain a product of prime ideals. Note that  $\mathcal{S}$  is nonempty since  $\mathfrak{a} \in \mathcal{S}$  and note that  $A \notin \mathcal{S}$  since every ring contains a prime ideal (let alone a product of prime ideals). Since  $A$  is a Noetherian ring, we see that  $\mathcal{S}$  has a maximal element. Choose  $\mathfrak{b} \in \mathcal{S}$  to be such a maximal element. Now  $\mathfrak{b}$  cannot be a prime ideal since it would then contain itself as a prime ideal. In particular, there exists  $a, b \in A$  such that  $ab \in \mathfrak{b}$  and neither  $a$  nor  $b$  is in  $\mathfrak{b}$ . By maximality of  $\mathfrak{b}$ , we see that  $\mathfrak{b} + \langle a \rangle \notin \mathcal{S}$  and  $\mathfrak{b} + \langle b \rangle \notin \mathcal{S}$ . In particular, both  $\mathfrak{b} + \langle a \rangle$  and  $\mathfrak{b} + \langle b \rangle$  contains a product of prime ideals respectively, say

$$\mathfrak{b} + \langle a \rangle = \mathfrak{p}_1 \cdots \mathfrak{p}_m \quad \text{and} \quad \mathfrak{b} + \langle b \rangle = \mathfrak{q}_1 \cdots \mathfrak{q}_n.$$

Then observe that

$$\begin{aligned} \mathfrak{p}_1 \cdots \mathfrak{p}_m \mathfrak{q}_1 \cdots \mathfrak{q}_n &= (\mathfrak{b} + \langle a \rangle)(\mathfrak{b} + \langle b \rangle) \\ &= \mathfrak{b}^2 + \mathfrak{b}\langle b \rangle + \langle a \rangle \mathfrak{b} + \langle ab \rangle \\ &\subseteq \mathfrak{b}. \end{aligned}$$

This contradicts the fact that  $\mathfrak{b} \in \mathcal{S}$ . □

**Lemma 1.4.** *Every nonzero ideal in  $\mathcal{O}_K$  contains a product of prime ideals.*

*Proof.* First, we show that every nonzero ideal of  $\mathcal{O}_K$  has finite index (this requires knowledge of finitely generated modules over PID's). Suppose  $\mathfrak{a}$  is a nonzero ideal of  $\mathcal{O}_K$ . Choose a nonzero element  $a \in \mathfrak{a}$ . Then we have inclusions

$$a\mathcal{O}_K \subset \mathfrak{a} \subset \mathcal{O}_K$$

$\mathcal{O}_K$  and  $a\mathcal{O}_K$  are both free  $\mathbb{Z}$ -modules of rank  $n$ , so  $\mathfrak{a}$  must be free of rank  $n$  as well. If  $\{e_1, \dots, e_n\}$  is a  $\mathbb{Z}$ -basis of  $\mathcal{O}_K$ , and  $\{f_1, \dots, f_n\}$  is a  $\mathbb{Z}$ -basis of  $\mathfrak{a}$ , where  $f_i = \sum a_{ji}e_j$ , then

$$|\mathcal{O}_K/\mathfrak{a}| = \det(a_{ji})$$

which is clearly finite. Now assume the lemma is false and let  $\mathfrak{a}$  be a nonzero ideal of least index which does not contain a product of primes. Then  $\mathfrak{a} \neq \mathcal{O}_K$  since  $\mathcal{O}_K$  contains nonzero prime ideals, so  $[\mathcal{O}_K : \mathfrak{a}] \geq 2$ . Since  $\mathfrak{a}$  is not a prime ideal, there exists  $x, y \in \mathcal{O}_K$  such that  $xy \in \mathfrak{a}$  and neither  $x$  nor  $y$  is in  $\mathfrak{a}$ . Then  $\mathfrak{a} + \langle x \rangle$  and  $\mathfrak{a} + \langle y \rangle$  have smaller indexes than  $\mathfrak{a}$ , and thus must each contain primes, say  $\mathfrak{a} + \langle x \rangle \supset \mathfrak{p}_1 \cdots \mathfrak{p}_r$  and  $\mathfrak{a} + \langle y \rangle \supset \mathfrak{q}_1 \cdots \mathfrak{q}_k$ . So

$$\mathfrak{p}_1 \cdots \mathfrak{p}_r \mathfrak{q}_1 \cdots \mathfrak{q}_k \subset (\mathfrak{a} + \langle x \rangle)(\mathfrak{a} + \langle y \rangle) = \mathfrak{a}^2 + \mathfrak{a}\langle y \rangle + \mathfrak{a}\langle x \rangle + \langle xy \rangle \subset \mathfrak{a}$$

Which is a contradiction. □

We can't say for sure yet that every nonzero ideal in  $\mathcal{O}_K$  is equal to a product of primes. We can only say it contains a product of primes.

**Theorem 1.5.** *For each nonzero prime ideal  $\mathfrak{p}$  of  $\mathcal{O}_K$ , the fractional ideal  $\tilde{\mathfrak{p}}$  satisfies the following properties*

1.  $\mathcal{O}_K \subset \tilde{\mathfrak{p}}$  and the containment is strict.
2.  $\mathfrak{p}\tilde{\mathfrak{p}} = \mathcal{O}_K$ .

*Proof.* We construct an  $\alpha \in \tilde{\mathfrak{p}}$  such that  $\alpha \notin \mathcal{O}_K$  as follows: Choose any  $x \in \mathfrak{p}$ . By Lemma 1.1,  $\langle x \rangle \supset \mathfrak{p}_1 \cdots \mathfrak{p}_r$  for some nonzero prime ideals  $\mathfrak{p}_1, \dots, \mathfrak{p}_r$  of  $\mathcal{O}_K$ . Choose  $r$  to be minimal. Since  $\mathfrak{p} \supset \langle x \rangle \supset \mathfrak{p}_1 \cdots \mathfrak{p}_r$ ,  $\mathfrak{p}$  must be equal to one of the  $\mathfrak{p}_1, \dots, \mathfrak{p}_r$ . Without loss of generality  $\mathfrak{p} = \mathfrak{p}_1$ . If  $r = 1$ , then  $\mathfrak{p} = \langle x \rangle$ . In which case  $(1/x)\mathfrak{p} \subset \mathcal{O}_K$ , so  $\alpha = 1/x$  works. So assume  $r \geq 2$ . Since  $r$  is minimal, there exists a  $y \in \mathfrak{p}_2 \cdots \mathfrak{p}_r$  such that  $y \notin \langle x \rangle$ . Then  $\alpha = y/x$  works since  $(y/x)\mathfrak{p} \subset (1/x)\mathfrak{p}_1 \cdots \mathfrak{p}_r \subset \mathcal{O}_K$  and  $y/x \notin \mathcal{O}_K$ .

Now we show the second part (which is more interesting) follows from the first part. Given  $\alpha \in \tilde{\mathfrak{p}}$  such that  $\alpha \notin \mathcal{O}_K$ , we claim  $\tilde{\mathfrak{p}} = \mathcal{O}_K + \alpha\mathcal{O}_K$ . We have  $\mathfrak{p}\tilde{\mathfrak{p}} = \mathfrak{p}\mathcal{O}_K + \alpha\mathfrak{p}\mathcal{O}_K \subset \mathcal{O}_K$ . Since  $\mathfrak{p} \subset \mathfrak{p}\mathcal{O}_K + \alpha\mathfrak{p}\mathcal{O}_K \subset \mathcal{O}_K$  and  $\mathfrak{p}$  is maximal, we must have  $\mathfrak{p}\mathcal{O}_K + \alpha\mathfrak{p}\mathcal{O}_K = \mathfrak{p}$  or  $\mathfrak{p}\mathcal{O}_K + \alpha\mathfrak{p}\mathcal{O}_K = \mathcal{O}_K$ . If  $\mathfrak{p}\mathcal{O}_K + \alpha\mathfrak{p}\mathcal{O}_K = \mathfrak{p}$ , then  $\alpha\mathfrak{p} \subset \mathfrak{p}$ , but this would mean  $\alpha$  is integral over  $\mathbb{Z}$ , and hence  $\alpha \in \mathcal{O}_K$ , which is a contradiction. □

*Remark 1.* In the proof above, we used the fact that if  $\alpha\mathfrak{p} \subset \mathfrak{p}$ , then  $\alpha \in \mathcal{O}_K$ . In fact, for any prime ideal  $\mathfrak{p}$  of  $\mathcal{O}_K$ ,  $\mathcal{O}_K$  is the set  $\{\alpha \in K \mid \alpha\mathfrak{p} \subset \mathfrak{p}\}$ . This is the key step to the proof above. Later on, when we study [orders](#), we will see that the proof that the above proof almost carries over. Given an order  $\mathcal{O}$ , there will be a special ideal  $\mathfrak{c}$  of  $\mathcal{O}$ , called the conductor, which has the following property: For any prime ideal  $\mathfrak{p}$  of  $\mathcal{O}$  such that  $\mathfrak{p}$  is relatively prime to the conductor, then  $\mathcal{O}$  is the set  $\{\alpha \in K \mid \alpha\mathfrak{p} \subset \mathfrak{p}\}$ . It will then follow that every prime ideal  $\mathfrak{p}$  of  $\mathcal{O}$  which is relatively prime to the conductor  $\mathfrak{c}$ , is invertible.

We are now ready to prove the main theorem:

**Theorem 1.6.** *Every nonzero proper ideal of  $\mathcal{O}_K$  is uniquely a product of nonzero prime ideals in  $\mathcal{O}_K$ .*

*Proof.* First, we prove existence. We will prove by induction on  $r \geq 1$  that if a nonzero proper ideal  $\mathfrak{a} \subset \mathcal{O}_K$  contains a product of  $r$  nonzero prime ideals then it equals a product of nonzero prime ideals. In the case  $r = 1$ , we have the inclusions

$$\mathfrak{p} \subset \mathfrak{a} \subset \mathcal{O}_K.$$

If  $\mathfrak{a}$  is a proper ideal in  $\mathcal{O}_K$ , then  $\mathfrak{a} = \mathfrak{p}$  since prime ideals are maximal in  $\mathcal{O}_K$ . Now assume the result is true for  $r$  and suppose

$$\mathfrak{a} \supset \mathfrak{p}_1 \mathfrak{p}_2 \cdots \mathfrak{p}_{r+1}.$$

Since  $\mathfrak{a}$  is a proper ideal, it is contained in some prime  $\mathfrak{p}$ , and by the usual argument, we conclude  $\mathfrak{p} = \mathfrak{p}_i$  for some  $1 \leq i \leq r+1$ . Without loss of generality,  $\mathfrak{p} = \mathfrak{p}_1$ . Now apply  $\mathfrak{p}^{-1}$  to the inclusion of ideals given by

$$\mathfrak{p} \supset \mathfrak{a} \supset \mathfrak{p}\mathfrak{p}_2 \cdots \mathfrak{p}_{r+1}$$

to obtain the inclusion of ideals given by

$$\mathcal{O}_K \supset \mathfrak{p}^{-1}\mathfrak{a} \supset \mathfrak{p}_2 \cdots \mathfrak{p}_{r+1}$$

This tells us that  $\mathfrak{p}^{-1}\mathfrak{a}$  is an ideal in  $\mathcal{O}_K$  which contains a product of  $r$  nonzero prime ideals. Therefore by induction,  $\mathfrak{p}^{-1}\mathfrak{a}$  is equal to a product of nonzero prime ideals, hence  $\mathfrak{a}$  is a product of nonzero prime ideals. This proves existence. To prove uniqueness, suppose for some ideal  $\mathfrak{a} \subset \mathcal{O}_K$  we have

$$\mathfrak{a} = \mathfrak{p}_1 \cdots \mathfrak{p}_r = \mathfrak{q}_1 \cdots \mathfrak{q}_s \quad \text{for prime ideals } \mathfrak{p}_1, \dots, \mathfrak{p}_r \text{ and } \mathfrak{q}_1, \dots, \mathfrak{q}_s.$$

We can cancel any common prime ideals on both sides and thus may suppose  $\mathfrak{p}_i \neq \mathfrak{q}_j$  for all  $i$  and  $j$ . Since  $\mathfrak{p}_1 \supset \mathfrak{p}_1 \cdots \mathfrak{p}_r = \mathfrak{q}_1 \cdots \mathfrak{q}_s$ ,  $\mathfrak{p}_1$  is equal to some  $\mathfrak{q}_j$ , which is a contradiction.  $\square$

### 1.1 Analogues in $F[X]$

Many properties of  $\mathbb{Z}$  can be carried over to  $F[x]$ , where  $F$  is a field. Both  $\mathbb{Z}$  and  $F[x]$  have division with remainder, and thus are PID's. The table below indicates some further similarities.

$\mathbb{Z}$	$F[x]$
Prime	Irreducible
$\pm 1$	$F^\times$
Positive	Monic
$\mathbb{Q}$	$F(x)$

Analogies are even strongest when  $F$  is a finite field, but here we allow any  $F$ . We want to adapt the methods from number fields to the “function field” case: if  $K$  is a finite extension of  $F(x)$ , does the integral closure of  $F[x]$  in  $K$  have unique factorization of ideals? A key idea running through the proofs in this section was induction on the index of nonzero ideals in a ring of integers. We can't directly use this idea for the integral closure of  $F[x]$  in  $K$ , since ideals in  $F[x]$  don't have finite index if  $F$  is an infinite field. For example, representatives in  $\mathbb{Q}[x]/(x^3 - 2)$  are  $a + bx + cx^2$  with rational  $a, b, c$  and there are infinitely many of these. However, there is something finite about this example: it is finite dimensional over  $\mathbb{Q}$  with dimension 3. More generally, if  $f(x)$  has degree  $d \geq 0$  in  $F[x]$  then  $F[x]/(f(x))$  has dimension  $d$  as an  $F$ -vector space (with basis  $\{1, x, x^2, \dots, x^{d-1}\}$ ). So if we count dimension over  $F$  rather than count index in  $F[x]$ , then  $F[x]/(f(x))$  has a finiteness property we can take advantage of.

Let  $K/F(x)$  be a finite separable extension of degree  $n$  and let  $A$  be the integral closure of  $F[x]$  in  $K$ . This is an analogue of the ring of integers of a number field. For any  $\alpha \in A$ ,  $\text{Tr}_{K/F(x)}(\alpha)$  and  $N_{K/F(x)}(\alpha)$  are in  $F[x]$ . More generally, the characteristic polynomial  $\chi_{K/F(x), \alpha}(t)$  is in  $F[x][t]$ .

**Example 1.1.** Suppose  $K = \mathbb{C}(x)$ ,  $B = \mathbb{C}[x]$ , and  $y = \sqrt{x^3 + 1}$ , then  $K(y)/K$  is a finite separable extension of degree 2. Indeed, the minimal polynomial for  $y$  is given by  $\pi(t) = t^2 - (x^3 + 1)$ , which is irreducible and separable of degree 2. The integral closure of  $B$  in  $K(y)$  is  $B[y]$ . Given  $\alpha \in B[y]$ , write  $\alpha = f(x) + g(x)y$ . The matrix representation of the multiplication by  $\alpha$  is given by

$$[m_\alpha] = \begin{pmatrix} f(x) & g(x)(x^3 + 1) \\ g(x) & f(x) \end{pmatrix}$$

So  $\text{Tr}_{K(y)/K}(\alpha) = 2f(x)$  and  $N_{K(y)/K}(\alpha) = f(x)^2 - g(x)^2(x^3 + 1)$ .

**Theorem 1.7.** *With the notation as above,  $A$  is a finite free  $F[x]$ -module of rank  $n$ , any nonzero ideal  $\mathfrak{a}$  in  $A$  is a finite free  $F[x]$ -module of rank  $n$ , and  $A/\mathfrak{a}$  is finite dimensional over  $F$ .*

*Proof.* The proof that a ring of integers is a finite free  $\mathbb{Z}$ -module uses the nonvanishing of discriminants and the fact that  $\mathbb{Z}$  is a PID. Specifically, if  $\{\alpha_1, \dots, \alpha_n\}$  is a  $\mathbb{Q}$ -basis of  $K$  consisting entirely of algebraic integers, then we can squeeze  $\mathcal{O}_K$  in between two  $\mathbb{Z}$ -modules of rank  $n$

$$\mathbb{Z}\alpha_1 + \cdots + \mathbb{Z}\alpha_n \subset \mathcal{O}_K \subset \frac{1}{\Delta}(\mathbb{Z}\alpha_1 + \cdots + \mathbb{Z}\alpha_n)$$

where  $\Delta = \text{disc}_{K/\mathbb{Q}}(\alpha_1, \dots, \alpha_n)$ , hence  $\mathcal{O}_K$  must be a free  $\mathbb{Z}$ -module of rank  $n$ . Let's discuss why

$$\mathcal{O}_K \subset \frac{1}{\Delta}(\mathbb{Z}\alpha_1 + \cdots + \mathbb{Z}\alpha_n)$$

since it is such a nice proof. Given  $\alpha \in \mathcal{O}_K$ , write

$$\alpha = a_1\alpha_1 + \cdots + a_n\alpha_n \quad \text{where } a_i \in \mathbb{Q} \text{ for } 1 \leq i \leq n.$$

We want to show that  $\Delta a_i \in \mathbb{Z}$  for all  $1 \leq i \leq n$ . The key is to use the elements  $\sigma_i \in \text{Gal}(K/\mathbb{Q})$ .

$$\begin{pmatrix} \sigma_1(\alpha_1) & \sigma_1(\alpha_2) & \cdots & \sigma_1(\alpha_n) \\ \sigma_2(\alpha_1) & \sigma_2(\alpha_2) & \cdots & \sigma_2(\alpha_n) \\ \vdots & \vdots & \ddots & \vdots \\ \sigma_n(\alpha_1) & \sigma_n(\alpha_2) & \cdots & \sigma_n(\alpha_n) \end{pmatrix} \begin{pmatrix} a_1 \\ a_2 \\ \vdots \\ a_n \end{pmatrix} = \begin{pmatrix} \sigma_1(\alpha) \\ \sigma_2(\alpha) \\ \vdots \\ \sigma_n(\alpha) \end{pmatrix}$$

By Cramer's rule,

$$a_i = \frac{\gamma_i}{\delta} \tag{2}$$

where  $\gamma_i \in \mathcal{O}_K^\times$  is the determinant of the matrix  $M \in \text{GL}_n(\mathcal{O}_K)$ , obtained by replacing the  $i$ 'th column of matrix  $(\sigma_i(\alpha_j))$  with the column vector  $(\alpha_i)$ , and  $\delta \in \mathcal{O}_K^\times$  is the determinant of the matrix  $(\sigma_i(\alpha_j))$ . Thus,  $\delta^2 = \Delta$ . Multiply both sides of equation (2) by  $\Delta$  to obtain

$$\Delta a_i = \delta \gamma_i \tag{3}$$

The left side of equation (3) is rational number, while the right side of equation (3) is an algebraic integer. Therefore since  $\mathcal{O}_K^\times \cap \mathbb{Q} = \mathbb{Z}$ , we have  $\Delta a_i \in \mathbb{Z}$ . Since  $F[x]$ , like  $\mathbb{Z}$ , is a PID, and  $K/F(x)$  is a separable extension, the proof that a ring of integers is a finite free  $\mathbb{Z}$ -module carries over to show  $A$  is a finite free  $F[x]$ -module. If  $K/F(x)$  were an inseparable extension, then  $\Delta = 0$  since there would be a repeated row in the matrix  $(\sigma_i(\alpha_j))$ . Similarly the proof which shows every nonzero ideal in  $\mathcal{O}_K$  is a free  $\mathbb{Z}$ -module of rank  $n$  carries over to show every nonzero ideal in  $A$  is a free  $F[x]$ -module of rank  $n$ . From the structure of finitely generated modules over a PID, given a nonzero ideal  $\mathfrak{a}$  of  $A$ , there is an  $F[x]$ -basis  $y_1, \dots, y_n$  of  $A$  and nonzero  $f_1, \dots, f_n$  in  $F[x]$  such that  $f_1 y_1, \dots, f_n y_n$  is an  $F[x]$ -basis of  $\mathfrak{a}$ , so

$$A/\mathfrak{a} = (\bigoplus_{i=1}^n F[x]y_i) / (\bigoplus_{i=1}^n F[x]f_i y_i) \cong \bigoplus_{i=1}^n (F[x]/(f_i))\bar{y}_i$$

Each  $F[x]/(f_i)$  has finite dimension over  $F$  and there are finitely many of these, so  $A/\mathfrak{a}$  is finite dimensional over  $F$ .  $\square$

**Corollary 2.** *Every nonzero prime ideal in  $A$  is a maximal ideal.*

*Proof.* For any nonzero prime ideal  $\mathfrak{p}$  of  $A$ ,  $A/\mathfrak{p}$  is a domain that is finite-dimensional over  $F$ . A domain that is finite-dimensional over a field is itself a field, so  $\mathfrak{p}$  is maximal.  $\square$

Define a fractional  $A$ -ideal  $I$  to be a nonzero  $A$ -module in  $K$  with a common denominator:  $aI \subset A$  for some nonzero  $a \in A$ . All of the theorems in the previous section carry over to fractional  $A$ -ideals in  $K$ . For instance, fractional  $A$ -ideals are precisely the nonzero finitely generated  $A$ -modules in  $K$  and each is a free  $F[x]$ -module of rank  $n = [K : F(X)]$ .

## 1.2 Totally ramified primes and Eisenstein polynomials

Let  $p$  be a prime and let  $f(T)$  be a monic polynomial in  $\mathbb{Z}[T]$  and expressed as

$$f = T^n + c_{n-1}T^{n-1} + \dots + c_1T + c_0.$$

We say  $f$  is  **$p$ -Eisenstein** if  $p \mid c_i$  for all  $i$  and  $p^2 \nmid c_0$ . Now suppose  $\alpha$  is a root of  $f$ . Note that since  $f$  is monic and irreducible (Eisenstein's criterion), we see that  $f$  is the minimal polynomial of  $\alpha$  over  $\mathbb{Q}$ . Let  $K = \mathbb{Q}(\alpha)$  and let  $\mathcal{O}_K$  be the corresponding ring of integers (that is, the integral closure of  $\mathbb{Z}$  in  $K$ ). Our goal in this subsection is to show that  $p \nmid [\mathcal{O}_K : \mathbb{Z}[\alpha]]$ .

**Lemma 1.8.** *For  $a_0, a_1, \dots, a_{n-1} \in \mathbb{Z}$ , if*

$$a_0 + a_1\alpha + \dots + a_{n-1}\alpha^{n-1} \equiv 0 \pmod{p\mathcal{O}_K}, \quad (4)$$

*then  $a_i \equiv 0 \pmod{p\mathbb{Z}}$  for all  $i$ .*

*Proof.* Assume for  $j \in \{0, 1, \dots, n-1\}$  that  $a_i \equiv 0 \pmod{p\mathbb{Z}}$  for  $i < j$  (this is an empty condition if  $j = 0$ ). We will prove  $a_j \equiv 0 \pmod{p\mathbb{Z}}$ . Since  $a_i \equiv 0 \pmod{p\mathbb{Z}}$  for  $i < j$ , (4) implies

$$a_j\alpha^j + a_{j+1}\alpha^{j+1} + \dots + a_{n-1}\alpha^{n-1} \equiv 0 \pmod{p\mathcal{O}_K}.$$

Multiply through this congruence by  $\alpha^{n-1-j}$ , making all but the first term  $a_j\alpha^{n-1}$  a multiple of  $\alpha^n$ . Since  $\alpha$  is the root of an Eisenstein polynomial at  $p$ , we have  $\alpha^n \equiv 0 \pmod{p\mathcal{O}_K}$ , so

$$a_j\alpha^{n-1} \equiv 0 \pmod{p\mathcal{O}_K}.$$

Write this congruence as an equation, say  $a_j\alpha^{n-1} = p\gamma$  with  $\gamma \in \mathcal{O}_K$ . Now take norms of both sides down to  $\mathbb{Z}$ :

$$(-1)^{n-1}a_j^n c_0^{n-1} = p^n N_{K/\mathbb{Q}}(\gamma).$$

The right side is an integral multiple of  $p^n$ . On the left side,  $c_0^{n-1}$  (the norm of  $\alpha^{n-1}$  up to a sign) is divisible by  $p$  exactly once (Eisenstein condition!). It follows that  $p \mid a_j$ . Thus  $a_i \equiv 0 \pmod{p\mathbb{Z}}$  for  $i < j+1$ . Repeat this for  $j = 1, 1, \dots, n-1$  to get  $p \mid a_i$  for all  $i$ .  $\square$

**Lemma 1.9.** *For  $r_0, r_1, \dots, r_{n-1} \in \mathbb{Q}$ , if*

$$r_0 + r_1\alpha + \dots + r_{n-1}\alpha^{n-1} \in \mathcal{O}_K, \quad (5)$$

*then  $r_i$  has no  $p$  in its denominator for all  $i$ .*

*Proof.* Assume some  $r_i$  has a  $p$  in its denominator. Let  $d$  be the least common denominator of the  $r_i$ 's, so  $p \mid d$ . Write  $r_i = a_i/d$  where  $a_i \in \mathbb{Z}$ , so some  $a_i$  is not divisible by  $p$  (otherwise  $d$ , being divisible by  $p$ , would not be the least common denominator). Then (5) implies

$$\frac{a_0 + a_1\alpha + \dots + a_{n-1}\alpha^{n-1}}{d} \in \mathcal{O}_K.$$

Multiply through by the integer  $d$  to get

$$a_0 + a_1\alpha + \dots + a_{n-1}\alpha^{n-1} \in d\mathcal{O}_K \subseteq p\mathcal{O}_K.$$

Then Lemma (1.8) tells us  $a_i \in p\mathbb{Z}$  for every  $i$ . This is a contradiction.  $\square$

**Theorem 1.10.** *We have  $p \nmid [\mathcal{O}_K : \mathbb{Z}[\alpha]]$ .*

*Proof.* Assume for a contradiction that  $p \mid [\mathcal{O}_K : \mathbb{Z}[\alpha]]$ . Then  $\mathcal{O}_K/\mathbb{Z}[\alpha]$ , viewed as a finite abelian group, has an element of order  $p$ : there is some  $\gamma \in \mathcal{O}_K$  such that  $\gamma \notin \mathbb{Z}[\alpha]$  but  $p\gamma \in \mathbb{Z}[\alpha]$ . Using the basis  $\{1, \alpha, \dots, \alpha^{n-1}\}$  for  $K/\mathbb{Q}$ , write

$$\gamma = r_0 + r_1\alpha + \dots + r_{n-1}\alpha^{n-1}$$

with  $r_i \in \mathbb{Q}$ . Since  $\gamma \notin \mathbb{Z}[\alpha]$ , some  $r_i$  is not in  $\mathbb{Z}$ . Since  $p\gamma \in \mathbb{Z}[\alpha]$  we have  $pr_i \in \mathbb{Z}$ . Hence  $r_i$  has a  $p$  in its denominator, which contradicts Lemma (1.9).  $\square$

**Example 1.2.** We show the ring of algebraic integers of  $\mathbb{Q}(\sqrt[3]{2})$  is  $\mathbb{Z}[\sqrt[3]{2}]$ . Let  $\mathcal{O}$  be the full ring of algebraic integers of  $\mathbb{Q}(\sqrt[3]{2})$ , so  $\mathbb{Z}[\sqrt[3]{2}] \subseteq \mathcal{O}$  and

$$\text{disc } \mathbb{Z}[\sqrt[3]{2}] = [\mathcal{O} : \mathbb{Z}[\sqrt[3]{2}]]^2 \text{disc } \mathcal{O}$$

By an explicit calculation,  $\text{disc } \mathbb{Z}[\sqrt[3]{2}] = -2^2 3^3$ , so 2 and 3 are the only primes that could divide  $[\mathcal{O} : \mathbb{Z}[\sqrt[3]{2}]]$ . Since the minimal polynomial of  $\sqrt[3]{2}$  over  $\mathbb{Q}$  is  $T^3 - 2$ , which is 2-Eisenstein, we see that 2 does not divide  $[\mathcal{O} : \mathbb{Z}[\sqrt[3]{2}]]$  by Theorem (1.10). The minimal polynomial of  $1 + \sqrt[3]{2}$  over  $\mathbb{Q}$  is given by

$$(T - 1)^3 - 2 = T^3 - 3T^2 + 3T - 3,$$

which is 3-Eisenstein, so 3 does not divide  $[\mathcal{O} : \mathbb{Z}[1 + \sqrt[3]{2}]]$ . The ring  $\mathbb{Z}[1 + \sqrt[3]{2}]$  equals  $\mathbb{Z}[\sqrt[3]{2}]$ , so  $[\mathcal{O} : \mathbb{Z}[\sqrt[3]{2}]]$  is not divisible by 3. Therefore this index is 1, and so  $\mathcal{O} = \mathbb{Z}[\sqrt[3]{2}]$ .

### 1.3 Eisenstein Polynomials in $\mathcal{O}_K[T]$

So far we've been discussing Eisenstein polynomials in  $\mathbb{Z}[T]$ . Let's generalize the concept to polynomials over other rings of integers.

**Definition 1.4.** Let  $K$  be a number field. A monic polynomial

$$f(T) = T^n + c_{n-1}T^{n-1} + \cdots + c_1T + c_0 \in \mathcal{O}_K[T]$$

is called **Eisenstein** at the nonzero prime ideal  $\mathfrak{p}$  when  $c_i \equiv 0 \pmod{\mathfrak{p}}$  for all  $i$  and  $c_0 \not\equiv 0 \pmod{\mathfrak{p}^2}$ .

**Theorem 1.11.** Any Eisenstein polynomial in  $\mathcal{O}_K[T]$  is irreducible in  $K[T]$ .

*Proof.* Let  $f(T) \in \mathcal{O}_K[T]$  be Eisenstein at some prime ideal. If  $f(T)$  is reducible in  $K[T]$  then  $f(T) = g(T)h(T)$  for some nonconstant  $g(T)$  and  $h(T)$  in  $K[T]$ .

We first show that  $g$  and  $h$  can be chosen in  $\mathcal{O}_K[T]$ . As  $f$  is monic, we can assume  $g$  and  $h$  are monic by rescaling if necessary. Every root of  $g$  or  $h$  is an algebraic integer (since their roots are roots of  $f(T)$ , so they're integral over  $\mathcal{O}_K$  and thus also over  $\mathbb{Z}$ ). Because  $g$  and  $h$  are monic, their coefficients are polynomials in their roots with  $\mathbb{Z}$ -coefficients, hence their coefficients are algebraic integers. Thus  $g$  and  $h$  both lie in  $\mathcal{O}_K[T]$ .

Let  $n = \deg f$ ,  $r = \deg g$ , and  $s = \deg h$ . All of these degrees are positive. Let  $\mathfrak{p}$  be a prime at which  $f$  is Eisenstein. Reduce the equation  $f = gh$  in  $\mathcal{O}_K[T]$  modulo  $\mathfrak{p}$  to get  $\bar{f} = \bar{g}\bar{h}$  in  $(\mathcal{O}_K/\mathfrak{p})[T]$ . As  $f, g$ , and  $h$  are all monic, their reductions modulo  $\mathfrak{p}$  have the same degree as the original polynomials ( $n, r$ , and  $s$  respectively). Since  $f$  is Eisenstein at  $\mathfrak{p}$ , we have  $\bar{f} = T^n$ . Therefore, by unique factorization in  $(\mathcal{O}_K/\mathfrak{p})[T]$ , we see that  $\bar{g}$  and  $\bar{h}$  are powers of  $T$  too, so  $\bar{g} = T^r$  and  $\bar{h} = T^s$ . But, because  $r$  and  $s$  are positive, we conclude that  $g$  and  $h$  each have constant term in  $\mathfrak{p}$ . Then the constant term of  $f$  is

$$\begin{aligned} f(0) &= g(0)h(0) \\ &\in \mathfrak{p}^2. \end{aligned}$$

This contradicts the definition of an Eisenstein polynomial. □

## 2 Class Group Calculations

Let  $K$  be a number field. Recall Minkowski's bound tells us that any ideal class contains an integral ideal with norm bounded above by

$$\frac{n!}{n^n} \left( \frac{4}{\pi} \right)^{r_2} \sqrt{|\Delta_K|}$$

where  $r_2$  is the number of conjugate pairs of complex embeddings,  $n = r_1 + 2r_2$  is the degree of the number field,  $r_1$  is the number of real embeddings, and  $\Delta_K$  is the discriminant of the field  $K$  (i.e. the determinant of the trace pairing matrix  $(\text{Tr}_{K/\mathbb{Q}}(e_i e_j))$  where the  $e_i$  form a  $\mathbb{Z}$ -basis of  $\mathcal{O}_K$ ). We will use this bound to calculate the class group for various  $K$ :

**Example 2.1.** Suppose  $K = \mathbb{Q}(\sqrt{-65})$ . We will show its class group is isomorphic to  $\mathbb{Z}/2\mathbb{Z} \times \mathbb{Z}/4\mathbb{Z}$ . The Minkowski bound is roughly 10.26, so we should factor 2, 3, 5, and 7 in  $\mathcal{O}_K = \mathbb{Z}[\sqrt{-65}]$ . From the following table, we see that the class group is generated by  $[\mathfrak{p}_2]$ ,  $[\mathfrak{p}_3]$ , and  $[\mathfrak{p}_5]$ .

$p$	$T^2 + 65 \pmod{p}$	$(p)$
2	$(T + 1)^2$	$\mathfrak{p}_2^2$
3	$(T + 1)(T + 2)$	$\mathfrak{p}_3 \mathfrak{p}_3'$
5	$T^2$	$\mathfrak{p}_5^2$
7	$T^2 + 2$	$(7)$

where

$$\begin{aligned} \mathfrak{p}_2 &= \langle 2, \sqrt{-65} + 1 \rangle \\ \mathfrak{p}_3 &= \langle 3, \sqrt{-65} + 1 \rangle \\ \mathfrak{p}_3' &= \langle 3, \sqrt{-65} + 2 \rangle \\ \mathfrak{p}_5 &= \langle 5, \sqrt{-65} \rangle. \end{aligned}$$



Note that the table already tells us that  $[\mathfrak{p}_2]^2 = 1 = [\mathfrak{p}_5]^2$  and  $[\mathfrak{p}'_3] = [\mathfrak{p}_3]^{-1}$ . In order to find more relations, we factor

$$N(a + \sqrt{-65}) = a^2 + 65$$

for small  $a$ , looking for only factors of 2, 3, 5, in the table below:

$a$	$a^2 + 65$
1	$2 \cdot 3 \cdot 11$
2	$3 \cdot 23$
3	$2 \cdot 37$
4	$3^4$
5	$2 \cdot 3^2 \cdot 5$

Since  $\langle 4 + \sqrt{-65} \rangle$  is not divisible by  $\langle 3 \rangle$ , we see that the ideal  $\langle 4 + \sqrt{-65} \rangle$  is divisible by only one of the prime factors of  $\langle 3 \rangle$ . In particular,  $\langle 4 + \sqrt{-65} \rangle$  is divisible by  $\mathfrak{p}_3$  since  $4 + \sqrt{-65} \equiv 0 \pmod{\mathfrak{p}_3}$ . Thus we see that

$$\langle 4 + \sqrt{-65} \rangle = \mathfrak{p}_3^4.$$

A similar argument shows that

$$\langle 5 + \sqrt{-65} \rangle = \mathfrak{p}_2 \mathfrak{p}_3'^2 \mathfrak{p}_5$$

which tells us that  $[\mathfrak{p}_5] = [\mathfrak{p}_2][\mathfrak{p}_3]^2$ . Finally, note that the ideal  $\mathfrak{p}_2$  is non-principal since there is no integral solution to the equation  $2 = x^2 + 65y^2$ . Similarly, the only integral solution to  $9 = x^2 + 65y^2$  is  $x = \pm 3$  and  $y = 0$ , so if  $\mathfrak{p}_3^2$  were principal then  $\mathfrak{p}_3^2 = \langle 3 \rangle = \mathfrak{p}_3 \mathfrak{p}'_3$  and that is false ( $\mathfrak{p}_3 \neq \mathfrak{p}'_3$ ). Can  $[\mathfrak{p}_3]^2 = [\mathfrak{p}_2]$ ? If so, then  $\mathfrak{p}_3^2 \mathfrak{p}_2$  is principal. But  $18 = x^2 + 65y^2$  has no integral solution.

## Ideal Class Group Motivation

Let  $R$  be an integral domain. Recall that  $R$  is a **Unique Factorization Domain (UFD)** if every nonzero nonunit element  $r \in R$  has the following two properties

1.  $r$  can be written as a product of irreducibles  $r = p_1 p_2 \cdots p_m$  where  $p_1, p_2, \dots, p_m$  are irreducible elements in  $R$  (repetitions of the  $p_i$  are allowed).
2. This decomposition is unique up to associates, i.e. if  $r = p_1 p_2 \cdots p_m = q_1 q_2 \cdots q_\ell$  where  $p_i$  and  $q_j$  are all irreducible elements in  $R$ , then  $m = \ell$  and (perhaps after reordering the factors)  $p_i = u_i q_i$  where  $u_i$  is a unit in  $R$  and  $1 \leq i \leq m$ .

Let's demonstrate the usefulness of UFD's. First we need a theorem.

**Theorem 2.1.** *Let  $R$  be a ring with unique factorization. If  $a, b, c \in R$  are nonzero,  $ab = c^n$ , and  $a$  and  $b$  are relatively prime, then there are units  $u$  and  $v$  in  $R$ , as well as elements  $a'$  and  $b'$  in  $R$ , such that  $a = ua'^n$  and  $b = vb'^n$ .*

*Proof.* Decompose  $a, b$  and  $c$  into irreducibles and collect together any irreducible factors which are equal up to unit multiple. This lets us write

$$a = up_1^{e_1} p_2^{e_2} \cdots p_r^{e_r}, \quad b = vp_1'^{f_1} p_2'^{f_2} \cdots p_s'^{f_s}, \quad c = wq_1^{g_1} q_2^{g_2} \cdots q_t^{g_t},$$

where  $p_i, p'_j$ , and  $q_k$  are all irreducibles and  $u, v$  and  $w$  are units. Since  $a$  and  $b$  are relatively prime, no  $p_i$  and  $p'_j$  are unit multiples. We have

$$ab = uv p_1^{e_1} p_2^{e_2} \cdots p_r^{e_r} p_1'^{f_1} p_2'^{f_2} \cdots p_s'^{f_s} \quad \text{and} \quad c^n = w^n q_1^{ng_1} q_2^{ng_2} \cdots q_t^{ng_t}.$$

Comparing the irreducible factorizations of  $ab$  and  $c^n$  shows from unique factorization that each  $p_i$  and  $p'_j$  has multiplicity divisible by  $n$ : each  $e_i$  and  $f_j$  is some  $ng_k$ . (Here is where we need relatively primality of  $a$  and  $b$ ). Since all the  $e_i$ 's are divisible by  $n$ ,  $a$  is  $u$  times an  $n$ th power. Similarly,  $b$  is  $v$  times an  $n$ th power.  $\square$

**Example 2.2.** Consider the equation  $X^3 = Y^2 + 4$ . Using unique factorization in  $\mathbb{Z}[i]$ , we can show that the only integral solutions to this equation are  $(5, \pm 11)$  or  $(2, \pm 2)$ . To show this, first re-express the equation as

$$X^3 = (Y + 2i)(Y - 2i). \tag{6}$$

Assume  $x$  and  $y$  are two integers which satisfy (6). We can view the equation  $x^3 = (y + 2i)(y - 2i)$  as an equation in  $\mathbb{Z}[i]$ , which is a UFD. Using Theorem (2.1), we conclude that  $y + 2i = u\alpha^3$  for some  $\alpha \in \mathbb{Z}[i]$ . The only units in  $\mathbb{Z}[i]$  are  $\pm 1$  and  $\pm i$ . In each case, we can swallow them into the cubed power:  $-\alpha^3 = (-\alpha)^3$ ,  $i\alpha^3 = (-i\alpha)^3$ , etc..), So we may assume that  $y + 2i = \alpha^3$  for some  $\alpha \in \mathbb{Z}[i]$ . Write  $\alpha = a + bi$ , then

$$\begin{aligned} y + 2i &= (a + bi)^3 \\ &= (a^3 - 3ab^2) + (3ab^2 - b^3)i, \end{aligned}$$

and therefore

$$y = a^3 - 3ab^2 \quad \text{and} \quad 2 = (3a^2 - b^2)b$$

The second of these equations forces  $b \in \{1, -1, 2, -2\}$ . Checking case by case

$b = 1$	$3a^2 - 1 = 2$	$a = \pm 1$ and $y = \pm 2$
$b = -1$	$3a^2 - 1 = -2$	No Solution
$b = 2$	$3a^2 - 4 = 1$	No Solution
$b = -2$	$3a^2 - 4 = -1$	$a = \pm 1$ and $y = \pm 11$

In summary, we've shown that if  $x^3 = y^2 + 4$ , then  $y$  must either be  $\pm 2$  or  $\pm 11$ .

In Algebraic Number Theory, we come across many instances of integral domains which fail to be a UFD. For instance, consider the ring  $R = \mathbb{Z}[\sqrt{-5}]$ . In this ring, we have two irreducible factorizations of 6:

$$(1 + \sqrt{-5})(1 - \sqrt{-5}) = 6 = 2 \cdot 3.$$

and there do not exist units  $u$  and  $v$  such that  $2 = u(1 + \sqrt{-5})$  or  $2 = v(1 - \sqrt{-5})$  (the only units in  $\mathbb{Z}[\sqrt{-5}]$  are  $\pm 1$ ). Therefore  $\mathbb{Z}[\sqrt{-5}]$  is not a UFD.

On the other hand, it's easy to show that  $\mathbb{Z}[i]$  is a UFD. Here's a consequence of this: Consider the equation  $X^3 = Y^2 + 4$ . Using unique factorization in  $\mathbb{Z}[i]$ , we can show that the only integral solutions to this equation are

$$(x, y) = (5, \pm 11) \quad \text{or} \quad (x, y) = (2, \pm 2)$$

To show this, first re-express the equation as

$$X^3 = (Y + 2i)(Y - 2i). \quad (7)$$

Now assume  $x$  and  $y$  are two integers which satisfy 7). We can view the equation  $x^3 = (y + 2i)(y - 2i)$  as in equation in  $\mathbb{Z}[i]$ . We want to conclude from this that  $y + 2i = \alpha^3$  for some  $\alpha \in \mathbb{Z}[i]$ , but we need to justify this. Let's express both sides as a product of primes in  $\mathbb{Z}[i]$

$$\left( \mathfrak{p}_2^{e_2} \mathfrak{p}_3^{e_3} \mathfrak{p}_5^{e_5} \mathfrak{p}'_5^{e'_5} \cdots \right)^3 = \left( \mathfrak{p}_2^{f_2} \mathfrak{p}_3^{f_3} \mathfrak{p}_5^{f_5} \mathfrak{p}'_5^{f'_5} \cdots \right) \left( \mathfrak{p}_2^{f_2} \mathfrak{p}_3^{f_3} \mathfrak{p}_5^{f_5} \mathfrak{p}'_5^{f'_5} \cdots \right) = \left( \mathfrak{p}_2^{2f_2} \mathfrak{p}_3^{2f_3} \mathfrak{p}_5^{f'_5 + f_5} \mathfrak{p}'_5^{f'_5 + f_5} \cdots \right)$$

Now let's show that  $f_i$  and  $f'_i$  can't both be nonzero, where  $i$  runs through the primes that split. If  $\pi|y + 2i$  and  $\pi|y - 2i$ , then  $\pi|(y + 2i) - (y - 2i) = 4i$ ; so  $\pi|2$ , which means  $(\pi) = (1 + i) = \mathfrak{p}_2$ . So without loss of generality, assume  $f'_i$  is zero. We also get from this  $f_j = 0$ , where  $j$  runs through the inert primes. This is already obvious here though. So the factorization of  $y + 2i$  really looks like this  $\left( \mathfrak{p}_2^{f_2} \mathfrak{p}_5^{f_5} \cdots \right)$ . Now we are led to the equations

Ramified	Split	Inert
$2f_2 = 3e_2$	$f_i = 3e_i$	$f_j = 0$

Thus,  $3|f_i$  for all primes  $i$ . Now we can conclude  $y + 2i = \alpha^3$ . This is where finiteness of the number of solutions comes in. Write  $\alpha = a + bi$ , then

$$y + 2i = (a + bi)^3 = (a^3 - 3ab^2) + (3ab^2 - b^3)i$$

Therefore

$$y = a^3 - 3ab^2 \quad 2 = (3a^2 - b^2)b$$

The second of these equations forces  $b \in \{1, -1, 2, -2\}$ . Checking case by case

$b = 1$	$3a^2 - 1 = 2$	$a = \pm 1$ and $y = \pm 2$
$b = -1$	$3a^2 - 1 = -2$	No Solution
$b = 2$	$3a^2 - 4 = 1$	No Solution
$b = -2$	$3a^2 - 4 = -1$	$a = \pm 1$ and $y = \pm 11$

**Example 2.3.** Consider the equation  $x^3 = y^2 + 20$ . We will show the only integral solutions to this equation are

$$(x, y) = (6, \pm 14)$$

As before, re-express the equation as

$$x^3 = (y + 2\sqrt{-5})(y - 2\sqrt{-5})$$

Again, we want to conclude from this that  $y + 2\sqrt{-5} = u \cdot \alpha^3$  for some unit  $u$  and  $\alpha \in \mathbb{Z}[\sqrt{-5}]$ , but we need to be more careful this time. First, if  $y + 2\sqrt{-5} \in \mathfrak{p}$  and  $y - 2\sqrt{-5} \in \mathfrak{p}$ , then  $4\sqrt{-5} \in \mathfrak{p}$ , which implies  $\mathfrak{p} = (2, 1 + \sqrt{-5})$  or  $\mathfrak{p} = (\sqrt{-5})$ . We are led to the equations

Ramified	Split	Inert
$2f_2 = 3e_2$ and $2f_5 = 3e_5$	$f_i = 3e_i$	$f_j = 0$

Thus,  $3|f_i$  for all primes  $i$ , but we can't conclude yet that  $y + 2\sqrt{-5} = u \cdot \alpha^3$  for some unit  $u$  and  $\alpha \in \mathbb{Z}[\sqrt{-5}]$ . We can only conclude the ideal equation  $(y + 2\sqrt{-5}) = \mathfrak{a}^3$ , for some ideal  $\mathfrak{a}$ . If  $\mathfrak{a}^3 = (\alpha)$ , then we can conclude that  $y + 2\sqrt{-5} = u \cdot \alpha^3$ . Because the class number of  $\mathbb{Z}[\sqrt{-5}]$  is 2,  $\mathfrak{a}^3 \sim 1$ , so  $\mathfrak{a}^3 = (\alpha)$ . Since the units of  $\mathbb{Z}[\sqrt{-5}]$  are just  $\{\pm 1\}$ , we get  $y + 2\sqrt{-5} = \pm \alpha^3 = (\pm \alpha)^3$ .

**Example 2.4.** Consider the equation  $x^3 = y^2 + 26$ . Doing everything as before, let's jump to the equation  $y + \sqrt{-26} = (a + b\sqrt{-26})^3$ . So we have

$$y + \sqrt{-26} = (a + b\sqrt{-26})^3 = (a^3 - 3 \cdot 26ab^2) + (3ab - 26b^2)b\sqrt{-26}$$

Therefore

$$y = a^3 - 3 \cdot 26ab^2 \quad 1 = (3ab - 26b^2)b$$

The second of these equations forces  $b \in \{1, -1\}$ . Checking case by case

$b = 1$	$3a^2 - 26 = 1$	$a = \pm 3$ and $y = \pm 207$
$b = -1$	$3a^2 - 26 = -1$	No Solution



Thus,  $(35, \pm 207)$  is a solution to the equation  $x^3 = y^2 + 26$ . Are these the only solutions? No!  $(3, 1)$  is another solution! How did we miss it? Proceeding as we did in the two examples above, we get everything up to the conclusion that  $(y + \sqrt{-26}) = \alpha^3$ . However we cannot conclude that for all  $y$ ,  $y + \sqrt{-26} = \alpha^3$  for some element  $\alpha$ . The reason is because  $\mathbb{Z}[\sqrt{-26}]$  has class number 6. The solution  $(3, 1)$  represents a “nontrivial” solution. We have

$$3^3 = (1 + \sqrt{-26})(1 - \sqrt{-26})$$

But  $1 + \sqrt{-26}$  is not a cube. However,  $(1 + \sqrt{-26}) = \mathfrak{p}_3^3$ , where  $\mathfrak{p}_3 = (3, 1 + \sqrt{-26})$ .

Let’s now shift our focus to a different kind of Dedekind domain, one with more geometric flavor. Consider the quadratic extension  $\mathbb{C}(T, \sqrt{T^3 + 1})/\mathbb{C}(T)$ . The table below compares this quadratic extension with the quadratic extension  $\mathbb{Q}(\sqrt{-26})/\mathbb{Q}$ .

Field of Functions	Integral Closure	How Primes Split
$\mathbb{Q}(\sqrt{-26})$	$\mathbb{Z}[\sqrt{-26}]$	$(3) = (3, 1 + \sqrt{-26})(3, 1 - \sqrt{-26})$
$\mathbb{C}(T, \sqrt{T^3 + 1})$	$\mathbb{C}[T, \sqrt{T^3 + 1}]$	$(T) = (T, \sqrt{T^3 + 1} - 1)(T, \sqrt{T^3 + 1} + 1)$

$\mathbb{Q}(\sqrt{-26})$  is called an algebraic number field, whereas  $\mathbb{C}(T, \sqrt{T^3 + 1})$  is called an algebraic function field. The algebraic function field setting is more geometric for the following reasons

- There is a one-to-one correspondence between points in  $\{\alpha \mid \alpha \in \mathbb{C}\}$  and nonzero prime ideals in  $\mathbb{C}[T]$ :  $\alpha \mapsto (T - \alpha)$ .
- There is a one-to-one correspondence between points in  $\{(\alpha, \beta) \in \mathbb{C} \times \mathbb{C} \mid \beta^2 = \alpha^3 + 1\}$  and nonzero prime ideals in  $\mathbb{C}[T, \sqrt{T^3 + 1}]$ :  $(\alpha, \beta) \mapsto (T - \alpha, \sqrt{T^3 + 1} - \beta)$ .

Another useful aspect in the algebraic function field case is that we can change the field  $\mathbb{C}$  to  $\mathbb{F}_p$ , which makes the analogy even stronger.

**Example 2.5.** Let  $x, y, z$  be homogenous coordinates in  $\mathbb{P}^2$ . For the cubic curve  $V(y^2z - x^3 - xz^2)$ , let’s write the divisor  $\text{div}(\frac{y}{z})$  and  $\text{div}(\frac{x}{z})$ . For  $\text{div}(\frac{y}{z})$ , setting  $y = 0$  reduces the equation  $y^2z - x^3 - xz^2 = 0$  to  $-x(x + iz)(x - iz) = 0$ , which has solutions  $(0 : 0 : 1)$ ,  $(-i : 0 : 1)$ , and  $(i : 0 : 1)$ . Setting  $z = 0$  reduces the equation to  $y^2z - x^3 - xz^2 = 0$  to  $-x^3 = 0$ , which has solution  $(0 : 1 : 0)$  with multiplicity 3. Thus,

$$\text{div}\left(\frac{y}{z}\right) = (0 : 0 : 1) + (-i : 0 : 1) + (i : 0 : 1) - 3(0 : 1 : 0)$$

For  $\text{div}(\frac{x}{z})$ , setting  $x = 0$  reduces the equation  $y^2z - x^3 - xz^2 = 0$  to  $y^2z = 0$ , which has solutions  $(0 : 0 : 1)$  with multiplicity 2 and  $(0 : 1 : 0)$ . Setting  $z = 0$  reduces the equation to  $y^2z - x^3 - xz^2 = 0$  to  $-x^3 = 0$ , which has solution  $(0 : 1 : 0)$  with multiplicity 3. Thus,

$$\text{div}\left(\frac{x}{z}\right) = 2(0 : 0 : 1) - 2(0 : 1 : 0)$$

For  $\text{div}(\frac{x-z}{z})$ , setting  $x = z$  reduces the equation  $y^2z - x^3 - xz^2 = 0$  to  $z(y - \sqrt{2}z)(y + \sqrt{2}z) = 0$ , which has solutions  $(0 : 1 : 0), (1 : \sqrt{2} : 1)$ , and  $(1 : -\sqrt{2} : 1)$ . Setting  $z = 0$  reduces the equation to  $y^2z - x^3 - xz^2 = 0$  to  $-x^3 = 0$ , which has solution  $(0 : 1 : 0)$  with multiplicity 3. Thus,

$$\text{div}\left(\frac{x-z}{z}\right) = (1 : \sqrt{2} : 1) + (1 : -\sqrt{2} : 1) - 2(0 : 1 : 0)$$

### 3 Ideal classes and matrix conjugation over $\mathbb{Z}$

In this presentation, we will describe a relationship between conjugacy classes of matrices with integer coefficients and  $\mathcal{O}$ -ideal classes of fractional  $\mathcal{O}$ -ideals where  $\mathcal{O}$  is an order in a number field  $K$ . This presentation was inspired by Keith Conrad’s expository notes [?].

#### 3.0.1 Conjugacy Classes of Matrices in $M_n(\mathbb{Z})$

Let  $A$  and  $B$  be matrices in  $M_n(\mathbb{Z})$ . We say  $A$  is **conjugate** to  $B$ , denoted by  $A \sim_c B$ , if there exists a  $U \in \text{GL}_n(\mathbb{Z})$  such that  $UAU^{-1} = B$ . It is straightforward to check that  $\sim_c$  is an equivalence relation. We will denote by  $[A]_c$  to be the equivalence class which is represented by the matrix  $A \in M_n(\mathbb{Z})$ . We call these equivalence classes **conjugacy classes**. We denote by  $C_{\text{GL}_n(\mathbb{Z})}(\mathbb{Z})$  to be set of all conjugacy classes of matrices in  $M_n(\mathbb{Z})$ . Recall the characteristic polynomial of a matrix  $A \in M_n(\mathbb{Z})$  is defined by

$$\chi_A(T) = \det(TI_n - A).$$

If  $A \sim_c B$ , then there exists  $U \in \text{GL}_n(\mathbb{Z})$  such that  $UAU^{-1} = B$ , and hence

$$\begin{aligned} \chi_B(T) &= \det(TI_n - B) \\ &= \det(TI_n - UAU^{-1}) \\ &= \det(U(TI_n - A)U^{-1}) \\ &= \det(U) \det(TI_n - A) \det(U^{-1}) \\ &= \det(TI_n - A) \\ &= \chi_A(T). \end{aligned}$$

Therefore it makes sense to assign a characteristic polynomial to a conjugacy class of matrices in  $M_n(\mathbb{Z})$ . For any monic polynomial  $f(T) \in \mathbb{Z}[T]$  of degree  $n$ , we will denote by  $C_n(\mathbb{Z}, f)$  to be the set of all conjugacy classes of matrices in  $M_n(\mathbb{Z})$  with characteristic polynomial  $f$ .

### 3.0.2 Fractional $\mathcal{O}$ -Ideals

Let  $\mathcal{O}$  be an order in a number field  $K$ . That is,  $\mathcal{O}$  is a subring of  $K$  that is finitely generated as a  $\mathbb{Z}$ -module and contains a  $\mathbb{Q}$ -basis of  $K$ . A typical example of an order is  $\mathbb{Z}[\alpha]$  in  $\mathbb{Q}(\alpha)$  where  $\alpha$  is an algebraic integer over  $\mathbb{Q}$ . A **fractional  $\mathcal{O}$ -ideal** is a nonzero finitely generated  $\mathcal{O}$ -module in  $K$ . Let  $I$  and  $J$  be two fractional  $\mathcal{O}$ -ideals. We say  $I$  and  $J$  are **equivalent**, denoted  $I \sim J$ , if  $I = xJ$  for some  $x \in K^\times$ . It is straightforward to check that this is an equivalence relation. We will denote by  $[I]$  to be the equivalence class which is represented by the  $\mathcal{O}$ -fractional ideal  $I$ . We call these equivalence classes  **$\mathcal{O}$ -ideal classes**. We denote by  $\text{Cl}(\mathcal{O})$  to be the set of all  $\mathcal{O}$ -ideal classes. In fact, it is easy to show that  $\text{Cl}(\mathcal{O})$  is none other than the set of isomorphism classes of  $\mathcal{O}$ -fractional ideals. That is, the relation  $I \sim J$  is equivalent to saying  $I$  is isomorphic to  $J$  as  $\mathcal{O}$ -modules. Indeed, if  $I \sim J$ , then  $I = xJ$  for some  $x \in K^\times$ . Then the multiplication by  $x$  map  $m_x: I \rightarrow J$ , given by

$$m_x(y) = xy$$

for all  $y \in I$  is an  $\mathcal{O}$ -module isomorphism from  $I$  to  $J$ . Conversely, if  $\varphi: I \rightarrow J$  is an  $\mathcal{O}$ -module isomorphism, then we claim that  $\varphi(y)/y = \varphi(z)/z$  for all nonzero  $y, z \in I$ . To see this, first choose a nonzero  $\gamma \in \mathcal{O}$  such that  $\gamma y, \gamma z \in \mathcal{O}$  (such a choice is possible since  $I$  is a fractional  $\mathcal{O}$ -ideal). Then observe that

$$\begin{aligned} \gamma \left( \frac{\varphi(y)}{y} - \frac{\varphi(z)}{z} \right) &= \gamma \left( \frac{z\varphi(y) - y\varphi(z)}{yz} \right) \\ &= \frac{\gamma z\varphi(y) - \gamma y\varphi(z)}{yz} \\ &= \frac{\varphi(\gamma zy) - \varphi(\gamma yz)}{yz} \\ &= 0. \end{aligned}$$

This implies  $\varphi(y)/y = \varphi(z)/z$  since  $\mathcal{O}$  is an integral domain. Now write  $x = \varphi(y)/y$  for some nonzero  $y \in I$ . Then for any nonzero  $z \in I$ , we have

$$\begin{aligned} \varphi(z) &= \frac{\varphi(y)}{y} z \\ &= xz \\ &= m_x(z), \end{aligned}$$

and since clearly  $\varphi(0) = m_x(0)$ , we see that  $\varphi = m_x$ . Thus  $I \sim J$ .

### 3.1 Main Theorem

**Theorem 3.1.** *Let  $f(T) \in \mathbb{Z}[T]$  be a monic irreducible polynomial of degree  $n$  and let  $\alpha$  be a root of  $f(T)$ . Then we have a bijection*

$$C_n(\mathbb{Z}, f) \cong \text{Cl}(\mathbb{Z}[\alpha]).$$

*Proof.* We define  $\Psi: \text{Cl}(\mathbb{Z}[\alpha]) \rightarrow C_n(\mathbb{Z}, f)$  as follows: let  $\mathfrak{a}$  be a  $\mathbb{Z}[\alpha]$ -fractional ideal. From the structure of finitely-generated torsion-free modules over  $\mathbb{Z}$ , we know that  $\mathfrak{a}$  is a finitely-generated free  $\mathbb{Z}$ -module of rank  $n$ . Choose an ordered basis of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module, say  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$ . Let  $m_\alpha: \mathfrak{a} \rightarrow \mathfrak{a}$  be the multiplication by  $\alpha$  map, given by

$$m_\alpha(x) = \alpha x$$

for all  $x \in \mathfrak{a}$  and let  $[m_\alpha]_{\mathbf{a}}^{\mathbf{a}} \in M_n(\mathbb{Z})$  denote the matrix representation of  $m_\alpha$  with respect to the basis  $\mathbf{a}$ . That is, the  $(i, j)$ 'th entry in  $[m_\alpha]_{\mathbf{a}}^{\mathbf{a}}$  is given by  $a_{ji} \in \mathbb{Z}$  where

$$m_\alpha(\alpha_i) = \sum_{j=1}^n a_{ji} \alpha_j.$$

If  $\mathbf{a}' = (\alpha'_1, \dots, \alpha'_n)$  is another ordered basis of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module, then the change of basis matrix from  $\mathbf{a}$  to  $\mathbf{a}'$  is given by  $[1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} \in \text{GL}_n(\mathbb{Z})$ , and we have

$$\begin{aligned} [1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} [m_\alpha]_{\mathbf{a}'}^{\mathbf{a}'} ([1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}})^{-1} &= [1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} [m_\alpha]_{\mathbf{a}'}^{\mathbf{a}'} [1_{\mathfrak{a}}]_{\mathbf{a}}^{\mathbf{a}'} \\ &= [1_{\mathfrak{a}} \circ m_\alpha \circ 1_{\mathfrak{a}}]_{\mathbf{a}}^{\mathbf{a}} \\ &= [m_\alpha]_{\mathbf{a}}^{\mathbf{a}} \end{aligned}$$

Thus changing the basis from  $\mathbf{a}$  to  $\mathbf{a}'$  corresponds to conjugating the matrix  $[m_\alpha]_{\mathbf{a}'}^{\mathbf{a}'}$  to  $[m_\alpha]_{\mathbf{a}}^{\mathbf{a}}$ .

We are now ready to define  $\Psi$ . We set

$$\Psi([\mathfrak{a}]) = [[m_\alpha]_{\mathbf{a}}^{\mathbf{a}}]_{\mathfrak{c}}. \quad (8)$$

We must check that (8) is in fact well-defined. Our construction of  $\Psi$  involved two choices. One choice that we made was in the choice of a basis for  $\mathfrak{a}$  as free  $\mathbb{Z}$ -module (where we chose  $\mathbf{a}$ ). By what was mentioned above, changing this basis to another basis would result in a matrix which is conjugate to  $[m_\alpha]_{\mathbf{a}}^{\mathbf{a}}$  and hence would result in the same conjugacy class  $[[m_\alpha]_{\mathbf{a}}^{\mathbf{a}}]_{\mathfrak{c}}$ . The other choice that we made was in the choice of a representative of the  $\mathbb{Z}[\alpha]$ -ideal class  $[\mathfrak{a}]$  (where we chose  $\mathfrak{a}$ ). So let  $\mathfrak{b}$  be another coset representative of the coset  $[\mathfrak{a}]$ , so  $\mathfrak{b} \sim \mathfrak{a}$ . Choose  $x \in \mathbb{Q}(\alpha)^\times$  such that  $\mathfrak{b} = x\mathfrak{a}$ . Then observe that  $x\mathfrak{a}$  is a basis for  $\mathfrak{b}$  as a free  $\mathbb{Z}$ -module! Indeed, it clearly spans  $\mathfrak{b}$  as a  $\mathbb{Z}$ -module since  $\mathfrak{b} = x\mathfrak{a}$ . Also, it is  $\mathbb{Z}$ -linearly independent since it is  $\mathbb{Q}$ -linearly independent (since multiplication by  $x$  is a  $\mathbb{Q}$ -isomorphism). Furthermore, it is easy to check that since  $m_x m_\alpha = m_\alpha m_x$ , we have

$$\begin{aligned} [m_\alpha]_{\mathbf{a}}^{\mathbf{a}} &= [m_\alpha]_{x\mathbf{a}}^{x\mathbf{a}} \\ &= [m_\alpha]_{\mathbf{b}}^{\mathbf{b}}. \end{aligned}$$

Thus (8) is well-defined.

Now we show that  $\Psi$  is injective. Let  $[\mathfrak{a}]$  and  $[\mathfrak{a}']$  be two fractional  $\mathcal{O}$ -ideals and let  $\mathbf{a}$  and  $\mathbf{a}'$  be ordered bases for  $\mathfrak{a}$  and  $\mathfrak{a}'$  as free  $\mathbb{Z}$ -modules respectively. Suppose  $\Psi([\mathfrak{a}]) = \Psi([\mathfrak{a}'])$ , that is suppose

$$U[\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}'} U^{-1} = [\mathfrak{m}_\alpha]_{\mathbf{a}'}^{\mathbf{a}'}$$

for some  $U \in \mathrm{GL}_n(\mathbb{Z})$ . Let  $[\cdot]_{\mathbf{a}}: \mathfrak{a} \rightarrow \mathbb{Z}^n$  be the standard column representation map for  $\mathfrak{a}$ . That is  $[\cdot]_{\mathbf{a}}$  is the unique  $\mathbb{Z}$ -linear map which sends  $\alpha_i$  to  $e_i$  for all  $1 \leq i \leq n$ , where  $\mathbf{e} = (e_1, \dots, e_n)$  is the standard ordered column basis for  $\mathbb{Z}^n$  as a free  $\mathbb{Z}$ -module. Similarly, let  $[\cdot]_{\mathbf{a}'}: \mathfrak{a}' \rightarrow \mathbb{Z}^n$  be the standard column representation map for  $\mathfrak{a}'$ . Then observe that  $[\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}}: \mathfrak{a} \rightarrow \mathfrak{a}'$  gives us an isomorphism of  $\mathfrak{a}$  and  $\mathfrak{a}'$  as  $\mathbb{Z}$ -modules. In fact, this is a  $\mathbb{Z}[\alpha]$ -isomorphism since it commutes with  $\mathfrak{m}_\alpha$ . Indeed, we have

$$\begin{aligned} [\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}} \mathfrak{m}_\alpha &= [\cdot]_{\mathbf{a}'}^{-1} U [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}'} [\cdot]_{\mathbf{a}} \\ &= [\cdot]_{\mathbf{a}'}^{-1} [\mathfrak{m}_\alpha]_{\mathbf{a}'}^{\mathbf{a}'} U [\cdot]_{\mathbf{a}} \\ &= \mathfrak{m}_\alpha [\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}}. \end{aligned}$$

Isomorphic fractional  $\mathbb{Z}[\alpha]$ -ideals are scalar multiples of each other, so  $\mathfrak{a}' = x\mathfrak{a}$  for some  $x \in \mathbb{Q}(\alpha)^\times$ . In particular,  $[\mathfrak{a}] = [\mathfrak{a}']$ . Thus  $\Psi$  is injective.

Now let us show that  $\Psi$  is surjective. Let  $A = (a_{ij})$  be in  $M_n(\mathbb{Z})$  such that  $\chi_A(T) = f(T)$ . We will find a  $\mathbb{Z}[\alpha]$ -fractional ideal  $\mathfrak{a}$  and a ordered basis  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module such that  $A = [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}}$ . First, we make  $\mathbb{Q}^n$  into a  $\mathbb{Q}(\alpha)$ -vector space as follows: Let  $x \in \mathbb{Q}(\alpha)$  and let  $v \in \mathbb{Q}^n$ . Choose  $g(T) \in \mathbb{Q}[T]$  such that  $g(\alpha) = x$  (such a choice is possible since  $\mathbb{Q}(\alpha) = \mathbb{Q}[\alpha]$ ). We define scalar multiplication of  $\mathbb{Q}(\alpha)$  on  $\mathbb{Q}^n$  by

$$x \cdot v = g(A)v. \quad (9)$$

We need to check that (9) is well-defined. In our construction of (9), we made a choice, namely  $g(T) \in \mathbb{Q}[T]$  such that  $g(\alpha) = x$ , so suppose  $h(T) \in \mathbb{Q}[T]$  such that  $h(\alpha) = x$ . Then  $(g - h)(\alpha) = 0$  and this implies  $f \mid (g - h)$  (since  $f$  is the minimal polynomial of  $\alpha$  over  $\mathbb{Q}$  since it is monic and irreducible with root  $\alpha$ ) and therefore  $g(A) = h(A)$  as matrices, so  $g(A)v = h(A)v$  for all  $v \in \mathbb{Q}^n$ . Thus (9) is well-defined. It is straightforward to check that (9) gives  $\mathbb{Q}^n$  a  $\mathbb{Q}(\alpha)$ -vector space structure. By restricting scalars, (9) also gives  $\mathbb{Q}^n$  a  $\mathbb{Z}[\alpha]$ -module structure. In fact, if  $v \in \mathbb{Z}^n$ , then  $\alpha \cdot v = Av$  is in  $\mathbb{Z}^n$  since  $A$  has integral entries, so  $\mathbb{Z}^n$  is a  $\mathbb{Z}[\alpha]$ -submodule of  $\mathbb{Q}^n$ . Treating  $\mathbb{Q}^n$  as both a  $\mathbb{Q}$ -vector space and as a  $\mathbb{Q}(\alpha)$ -vector space, we have

$$\begin{aligned} n &= \dim_{\mathbb{Q}}(\mathbb{Q}^n) \\ &= [\mathbb{Q}(\alpha) : \mathbb{Q}] \dim_{\mathbb{Q}(\alpha)}(\mathbb{Q}^n) \\ &= n \dim_{\mathbb{Q}(\alpha)}(\mathbb{Q}^n), \end{aligned}$$

so  $\mathbb{Q}^n$  is 1-dimensional as a  $\mathbb{Q}(\alpha)$ -vector space. In particular, this means that for any nonzero  $v_0 \in \mathbb{Q}^n$ , the  $\mathbb{Q}(\alpha)$ -linear map  $\varphi_{v_0}: \mathbb{Q}(\alpha) \rightarrow \mathbb{Q}^n$  given by

$$\varphi_{v_0}(x) = x \cdot v_0$$

for all  $x \in \mathbb{Q}(\alpha)$  is an isomorphism of 1-dimensional  $\mathbb{Q}(\alpha)$ -vector spaces. Thus, letting  $\mathbf{e} = (e_1, \dots, e_n)$  denote the standard ordered column basis for  $\mathbb{Q}^n$  as a  $\mathbb{Q}$ -vector space, there exists unique  $\alpha_i \in \mathbb{Q}(\alpha)$  such that  $\varphi_{v_0}(\alpha_i) = e_i$  for all  $1 \leq i \leq n$ . In particular,  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  is an ordered basis for  $\mathbb{Q}(\alpha)$  as a  $\mathbb{Q}$ -vector space. Let

$$\mathfrak{a} = \bigoplus_{i=1}^n \mathbb{Z}\alpha_i.$$

Observe that  $\mathfrak{a}$  is a  $\mathbb{Z}[\alpha]$ -fractional ideal. Indeed, it suffices to show that  $\alpha\alpha_i \in \mathfrak{a}$  for all  $1 \leq i \leq n$ , and this follows from the fact that

$$\begin{aligned} \varphi_{v_0} \left( \alpha\alpha_i - \sum_{j=1}^n a_{ji}\alpha_i \right) &= \alpha \cdot \varphi_{v_0}(\alpha_i) - \sum_{j=1}^n a_{ji} \varphi_{v_0}(\alpha_i) \\ &= \alpha \cdot e_i - \sum_{j=1}^n a_{ji} e_i \\ &= Ae_i - Ae_i \\ &= 0, \end{aligned}$$

which implies

$$\alpha\alpha_i = \sum_{j=1}^n a_{ji}\alpha_i \quad (10)$$

since  $\varphi_{v_0}$  is injective. In fact, (10) also shows that  $A = [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}}$ . So we have realized  $A$  as a matrix representation for  $\mathfrak{m}_\alpha$  on a fractional  $\mathbb{Z}[\alpha]$ -ideal  $\mathfrak{a}$ . Thus  $\Psi$  is onto.  $\square$

### 3.2 Example

**Example 3.1.** Let  $f(T) = T^2 + 5$ . We will count  $\#C_2(\mathbb{Z}, f)$  and we will find a coset representative for each conjugacy class in  $C_2(\mathbb{Z}, f)$ . Note that  $f$  is a monic irreducible polynomial over  $\mathbb{Z}$  and  $\sqrt{-5}$  is a root of  $f$ . The ring  $\mathbb{Z}[\sqrt{-5}]$  has class number 2, and so by Theorem (4.1), we see that  $\#C_2(\mathbb{Z}, f) = 2$ . The ideal classes in  $\mathbb{Z}[\sqrt{-5}]$  can be represented by  $\mathbb{Z}[\sqrt{-5}] = \langle 1 \rangle$  and  $\mathfrak{p}_2 = \langle 2, 1 + \sqrt{-5} \rangle$ . An ordered basis for  $\mathbb{Z}[\sqrt{-5}]$  is given by  $\mathbf{a}_1 = (1, \sqrt{-5})$  and an ordered basis for  $\mathfrak{p}_2$  is given by  $\mathbf{a}_2 = (2, 1 + \sqrt{-5})$ . We calculate

$$\begin{aligned} \sqrt{-5} \cdot 1 &= 0 \cdot 1 + 1 \cdot \sqrt{-5} \\ \sqrt{-5} \cdot \sqrt{-5} &= -5 \cdot 1 + 0 \cdot \sqrt{-5}. \end{aligned}$$

Therefore  $[m_{\sqrt{-5}}]_{\mathbf{a}_1}^{\mathbf{a}_1} = \begin{pmatrix} 0 & -5 \\ 1 & 0 \end{pmatrix}$ . Similarly, we calculate

$$\begin{aligned}\sqrt{-5} \cdot 2 &= -1 \cdot 2 + 2 \cdot (1 + \sqrt{-5}) \\ \sqrt{-5} \cdot (1 + \sqrt{-5}) &= -3 \cdot 2 + 1 \cdot (1 + \sqrt{-5}).\end{aligned}$$

Therefore  $[m_{\sqrt{-5}}]_{\mathbf{a}_2}^{\mathbf{a}_2} = \begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix}$ . Thus if  $A \in M_2(\mathbb{Z})$  has characteristic polynomial  $f(T)$ , then  $A \sim_c \begin{pmatrix} 0 & -5 \\ 1 & 0 \end{pmatrix}$  or  $A \sim_c \begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix}$ . Now let  $\mathfrak{p}_7 = \langle 7, 3 + \sqrt{-5} \rangle$ . Then  $\mathfrak{p}_7 \sim \mathfrak{p}_2$  since

$$\mathfrak{p}_7 = \left( \frac{3 - \sqrt{-5}}{2} \right) \mathfrak{p}_2$$

An ordered basis for  $\mathfrak{p}_7$  is given by  $\mathbf{a}_7 = (7, 3 - \sqrt{-5})$ . By a straightforward calculation, we have  $[m_{\sqrt{-5}}]_{\mathbf{a}_7}^{\mathbf{a}_7} = \begin{pmatrix} 3 & 2 \\ -7 & -3 \end{pmatrix}$ . Thus  $\begin{pmatrix} -3 & -2 \\ 7 & 3 \end{pmatrix} \sim_c \begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix}$ . To find the matrix which conjugates  $\begin{pmatrix} -3 & -2 \\ 7 & 3 \end{pmatrix}$  to  $\begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix}$  we first change the ordered  $\mathbb{Z}$ -basis  $\mathbf{a}_2$  of  $\mathfrak{p}_2$  to the ordered  $\mathbb{Z}$ -basis  $\mathbf{a}'_2 = (2, 3 + \sqrt{-5})$ . The change of basis matrix from  $\mathbf{a}_2$  to  $\mathbf{a}'_2$  is given by  $[1_{\mathfrak{p}_2}]_{\mathbf{a}'_2}^{\mathbf{a}_2} = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}$ . Similarly, we change the ordered  $\mathbb{Z}$ -basis  $\mathbf{a}_7$  of  $\mathfrak{p}_7$  to the ordered  $\mathbb{Z}$ -basis  $\mathbf{a}'_7 = (3 - \sqrt{-5}, 7)$ . The change of basis matrix from  $\mathbf{a}_7$  to  $\mathbf{a}'_7$  is given by  $[1_{\mathfrak{p}_7}]_{\mathbf{a}'_7}^{\mathbf{a}_7} = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$ . Next we observe that

$$\begin{aligned}\left( \frac{3 - \sqrt{-5}}{2} \right) \mathbf{a}'_2 &= \left( \frac{3 - \sqrt{-5}}{2} \right) (2, 3 + \sqrt{-5}) \\ &= (3 - \sqrt{-5}, 7) \\ &= \mathbf{a}'_7.\end{aligned}$$

Therefore we have

$$\begin{aligned}\begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix} &= [m_{\sqrt{-5}}]_{\mathbf{a}_2}^{\mathbf{a}_2} \\ &= [1_{\mathfrak{p}_2}]_{\mathbf{a}'_2}^{\mathbf{a}_2} [m_{\sqrt{-5}}]_{\mathbf{a}'_2}^{\mathbf{a}'_2} [1_{\mathfrak{p}_2}]_{\mathbf{a}_2}^{\mathbf{a}'_2} \\ &= [1_{\mathfrak{p}_2}]_{\mathbf{a}'_2}^{\mathbf{a}_2} [m_{\sqrt{-5}}]_{\mathbf{a}'_7}^{\mathbf{a}'_7} [1_{\mathfrak{p}_2}]_{\mathbf{a}_2}^{\mathbf{a}'_2} \\ &= [1_{\mathfrak{p}_2}]_{\mathbf{a}'_2}^{\mathbf{a}_2} [1_{\mathfrak{p}_7}]_{\mathbf{a}'_7}^{\mathbf{a}_7} [m_{\sqrt{-5}}]_{\mathbf{a}'_7}^{\mathbf{a}_7} [1_{\mathfrak{p}_7}]_{\mathbf{a}'_7}^{\mathbf{a}_7} [1_{\mathfrak{p}_2}]_{\mathbf{a}_2}^{\mathbf{a}'_2} \\ &= \left( [1_{\mathfrak{p}_2}]_{\mathbf{a}'_2}^{\mathbf{a}_2} [1_{\mathfrak{p}_7}]_{\mathbf{a}'_7}^{\mathbf{a}_7} \right) [m_{\sqrt{-5}}]_{\mathbf{a}'_7}^{\mathbf{a}_7} \left( [1_{\mathfrak{p}_7}]_{\mathbf{a}'_7}^{\mathbf{a}_7} [1_{\mathfrak{p}_2}]_{\mathbf{a}_2}^{\mathbf{a}'_2} \right)^{-1} \\ &= \left( \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \right) \begin{pmatrix} 3 & 2 \\ -7 & -3 \end{pmatrix} \left( \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \right)^{-1} \\ &= \begin{pmatrix} 1 & 1 \\ 1 & 0 \end{pmatrix} \begin{pmatrix} 3 & 2 \\ -7 & -3 \end{pmatrix} \begin{pmatrix} 1 & 1 \\ 1 & 0 \end{pmatrix}^{-1}.\end{aligned}$$

The table below summarizes our calculations

Fractional Ideal	$[m_{\sqrt{-5}}]$	Ordered $\mathbb{Z}$ -Basis	$\sim$
$\langle 1 \rangle = \mathbb{Z}[\sqrt{-5}]$	$\begin{pmatrix} 0 & -5 \\ 1 & 0 \end{pmatrix}$	$\mathbf{a}_1 = (1, \sqrt{-5})$	$\langle 1 \rangle = \langle 1 \rangle$
$\mathfrak{p}_2 = \langle 2, 1 + \sqrt{-5} \rangle$	$\begin{pmatrix} -1 & -3 \\ 2 & 1 \end{pmatrix}$	$\mathbf{a}_2 = (2, 1 + \sqrt{-5})$	$\mathfrak{p}_2 = \left( \frac{2}{3 - \sqrt{-5}} \right) \mathfrak{p}_7$
$\mathfrak{p}_7 = \langle 7, 3 - \sqrt{-5} \rangle$	$\begin{pmatrix} 3 & 2 \\ -7 & -3 \end{pmatrix}$	$\mathbf{a}_7 = (7, 3 - \sqrt{-5})$	$\mathfrak{p}_7 = \left( \frac{3 - \sqrt{-5}}{2} \right) \mathfrak{p}_2$

## 4 Generalizations

We now would like to generalize our results in Theorem (4.1). Let us consider the following example. Let  $f(T) = T^2 + 2$ . Then  $f$  is monic irreducible polynomial over  $\mathbb{Q}$  and  $\sqrt{-2}$  is a root of  $f$ . We compute a table similar to the one in Example (3.1):

Fractional Ideal	$[m_{\sqrt{-2}}]$	Ordered $\mathbb{Z}$ -Basis
$\mathbb{Z}[\sqrt{-2}]$	$\begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}$	$\mathbf{a} = \{1, \sqrt{-2}\}$
$\mathbb{Z}[\sqrt{-2}]$	$\begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix}$	$\bar{\mathbf{a}} = (1, -\sqrt{-2})$

Now  $\mathbb{Z}[\sqrt{-2}]$  has class number 1, so Theorem (4.1) tells us that the matrices  $\begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}$  and  $\begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix}$  are conjugate. However, more specifically, when we say conjugate, we mean they are  $\text{GL}_2(\mathbb{Z})$ -conjugate. In fact, the matrix  $\begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \in \text{GL}_2(\mathbb{Z})$  conjugates  $\begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix}$  to  $\begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}$ . Indeed, we have

$$\begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}^{-1} = \begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}.$$

However note that  $\det \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} = -1$ , and so  $\begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix} \notin \text{SL}_2(\mathbb{Z})$ . It's natural wonder if  $\begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}$  and  $\begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix}$  are  $\text{SL}_2(\mathbb{Z})$ -conjugate. It turns out that they are not even conjugate by an element of  $\text{SL}_2(\mathbb{Q})$ . However, they are  $\text{SL}_2(\mathbb{Z}[i])$ -conjugate. The matrix  $\begin{pmatrix} i & 0 \\ 0 & -i \end{pmatrix} \in \text{SL}_2(\mathbb{Z}[i])$  conjugates  $\begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix}$  to  $\begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}$ . Indeed, we have

$$\begin{pmatrix} i & 0 \\ 0 & -i \end{pmatrix} \begin{pmatrix} 0 & 2 \\ -1 & 0 \end{pmatrix} \begin{pmatrix} i & 0 \\ 0 & -i \end{pmatrix}^{-1} = \begin{pmatrix} 0 & -2 \\ 1 & 0 \end{pmatrix}.$$

#### 4.1 $\mathrm{SL}_n(\mathbb{Z})$ -Conjugacy Classes of Matrices in $\mathrm{M}_n(\mathbb{Z})$

To improve Theorem (4.1), we introduce the following notation. We denote by  $\mathrm{C}_{\mathrm{SL}_n(\mathbb{Z})}(\mathbb{Z}, f)$  to be the set of all  $\mathrm{SL}_n(\mathbb{Z})$ -conjugacy classes of matrices in  $\mathrm{M}_n(\mathbb{Z})$ . Similarly, if  $f(T) \in \mathbb{Z}[T]$  is a nonzero monic polynomial, then we denote by  $\mathrm{C}_{\mathrm{SL}_n(\mathbb{Z})}(\mathbb{Z}, f)$  to be the set of all  $\mathrm{SL}_n(\mathbb{Z})$ -conjugacy classes of matrices in  $\mathrm{M}_n(\mathbb{Z})$  with characteristic polynomial  $f$ .

##### 4.1.1 Orientations

Let  $V$  be a nonzero  $\mathbb{R}$ -vector space with  $n$  and let  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  be an ordered basis of  $V$ . This gives rise to a nonzero vector

$$\wedge(\mathbf{a}) = \alpha_1 \wedge \dots \wedge \alpha_n \in \Lambda^n(V)$$

in the line  $\Lambda^n(V)$ . If  $\mathbf{a}' = (\alpha'_1, \dots, \alpha'_n)$  is a second ordered basis, then  $\wedge(\mathbf{a}')$  is another nonzero vector in the same line  $\Lambda^n(V)$ , so  $\wedge(\mathbf{a}') = c \wedge(\mathbf{a})$  for a unique  $c \in \mathbb{R}^\times$ . Concretely, if  $T_{\mathbf{a}, \mathbf{a}'}: V \rightarrow V$  is the unique linear automorphism satisfying  $\alpha'_i = T(\alpha_i)$  for all  $i$  (it is the “change of basis matrix” from  $\mathbf{a}'$ -coordinates to  $\mathbf{a}$ -coordinates), then  $c = \det T_{\mathbf{a}, \mathbf{a}'}$  and  $1/c = \det T_{\mathbf{a}', \mathbf{a}}^{-1}$ . Hence  $c > 0$  if and only if  $\wedge(\mathbf{a})$  and  $\wedge(\mathbf{a}')$  lie in the same connected component of  $\Lambda^n(V) \setminus \{0\}$ .

**Definition 4.1.** An **orientation**  $\mu$  on  $V$  is a choice of connected component of  $\Lambda^n(V) \setminus \{0\}$ , called the **positive component** with respect to  $\mu$ . An **oriented vector space** is a nonzero vector space  $V$  equipped with a choice of orientation  $\mu$ .

**Definition 4.2.** Let  $V$  be a  $\mathbb{Q}$ -vector space and let  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  and  $\mathbf{a}' = (\alpha'_1, \dots, \alpha'_n)$  be two ordered bases of  $V$ . We say  $\mathbf{a}$  and  $\mathbf{a}'$  are **similarly oriented**, denoted  $\mathbf{a} \sim_+ \mathbf{a}'$ , if the change of basis matrix from  $\mathbf{a}$  to  $\mathbf{a}'$  has positive determinant, that is if

$$\det[1_V]_{\mathbf{a}'}^{\mathbf{a}} > 0.$$

It is straightforward to check that  $\sim_+$  is an equivalence relation. Indeed, reflexivity and symmetry of  $\sim_+$  are clear. For transitivity, suppose  $\mathbf{a} \sim_+ \mathbf{a}'$  and  $\mathbf{a}' \sim_+ \mathbf{a}''$ . Then

$$\begin{aligned} \det[1_V]_{\mathbf{a}''}^{\mathbf{a}} &= \det\left([1_V]_{\mathbf{a}'}^{\mathbf{a}} [1_V]_{\mathbf{a}''}^{\mathbf{a}'}\right) \\ &= \det[1_V]_{\mathbf{a}'}^{\mathbf{a}} \det[1_V]_{\mathbf{a}''}^{\mathbf{a}'} \\ &> 0 \end{aligned}$$

implies  $\mathbf{a} \sim_+ \mathbf{a}''$ . We shall denote by  $[\mathbf{a}]_{\circ}$  to be the  $\sim_+$ -equivalence class which is represented by the ordered basis  $\mathbf{a}$ . Clearly, there are just two  $\sim_{\circ}$ -equivalence classes. An oriented  $\mathbb{Q}$ -vector space  $(V, \mu_+)$  is a  $\mathbb{Q}$ -vector space  $V$  equipped with the choice of a  $\sim_{\circ}$ -equivalence class, which we shall call the **positive orientation**. We shall also denote this equivalence class by  $\mu_+$ . In this case, the other  $\sim_{\circ}$ -equivalence class will be denoted by  $\mu_-$ . Note that if  $[\mathbf{a}]_{\circ} = \mu_+$ , then  $[-\mathbf{a}]_{\circ} = \mu_-$ . If an ordered basis represents  $\mu_+$ , then we say it is **positively oriented**. If an ordered basis represents  $\mu_-$ , then we say it is **negatively oriented**. If  $(V, \mu_+)$  and  $(W, \nu_+)$  are two oriented  $n$ -dimensional  $\mathbb{Q}$ -vector spaces and  $T: V \rightarrow W$  is a linear isomorphism, then we say  $T$  is **orientation-preserving** if  $\det[T]_{\mathbf{b}}^{\mathbf{a}} > 0$ , where  $\mathbf{a}$  represents  $\mu_+$  and  $\mathbf{b}$  represents  $\nu_+$ .

##### 4.1.2 Generalized Theorem

**Theorem 4.1.** Let  $f(T) \in \mathbb{Z}[T]$  be a monic irreducible polynomial of degree  $n$  and let  $\alpha$  be a root of  $f(T)$ . Then we have a bijection

$$\mathrm{C}_{\mathrm{SL}_n(\mathbb{Z})}(\mathbb{Z}, f) \cong \mathrm{Cl}_+(\mathbb{Z}[\alpha]).$$

*Proof.* We define  $\Psi: \mathrm{Cl}_+(\mathbb{Z}[\alpha]) \rightarrow \mathrm{C}_{\mathrm{SL}_n(\mathbb{Z})}(\mathbb{Z}, f)$  as follows: let  $\mathfrak{a}$  be a  $\mathbb{Z}[\alpha]$ -fractional ideal. From the structure of finitely-generated torsion-free modules over  $\mathbb{Z}$ , we know that  $\mathfrak{a}$  is a finitely-generated free  $\mathbb{Z}$ -module of rank  $n$ . Choose a positive ordered basis of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module, say  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$ . Let  $m_{\alpha}: \mathfrak{a} \rightarrow \mathfrak{a}$  be the multiplication by  $\alpha$  map and let  $[m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}} \in \mathrm{M}_n(\mathbb{Z})$  denote the matrix representation of  $m_{\alpha}$  with respect to  $\mathbf{a}$ . If  $\mathbf{a}' = (\alpha'_1, \dots, \alpha'_n)$  is another positive ordered basis of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module, then the change of basis matrix from  $\mathbf{a}$  to  $\mathbf{a}'$  is given by  $[1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} \in \mathrm{SL}_n(\mathbb{Z})$  since both  $\mathbf{a}$  and  $\mathbf{a}'$  are positive, and hence  $\det[1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} > 0$  which implies  $\det[1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} = 1$ . Furthermore, we have

$$\begin{aligned} [1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} [m_{\alpha}]_{\mathbf{a}'}^{\mathbf{a}'} ([1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}})^{-1} &= [1_{\mathfrak{a}}]_{\mathbf{a}'}^{\mathbf{a}} [m_{\alpha}]_{\mathbf{a}'}^{\mathbf{a}'} [1_{\mathfrak{a}}]_{\mathbf{a}}^{\mathbf{a}'} \\ &= [1_{\mathfrak{a}} \circ m_{\alpha} \circ 1_{\mathfrak{a}}]_{\mathbf{a}}^{\mathbf{a}} \\ &= [m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}}. \end{aligned}$$

Thus changing the positive basis from  $\mathbf{a}$  to  $\mathbf{a}'$  corresponds to a  $\mathrm{SL}_n(\mathbb{Z})$ -conjugate matrix of  $[m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}}$ .

We are now ready to define  $\Psi$ . We set

$$\Psi([\mathfrak{a}]) = [[m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}}]_{\mathbf{c}}. \quad (11)$$

We must check that (8) is in fact well-defined. Our construction of  $\Psi$  involved two choices. One choice that we made was in the choice of a positive ordered basis for  $\mathfrak{a}$  as free  $\mathbb{Z}$ -module (where we chose  $\mathbf{a}$ ). By what was mentioned above, changing this basis to another basis would result in a matrix which is  $\mathrm{SL}_n(\mathbb{Z})$ -conjugate to  $[m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}}$  and hence would result in the same conjugacy class  $[[m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}}]_{\mathbf{c}}$ . The other choice that we made was in the choice of a representative of the  $\mathbb{Z}[\alpha]$ -ideal class  $[\mathfrak{a}]$  (where we chose  $\mathfrak{a}$ ). So let  $\mathfrak{b}$  be another another coset representative of the coset  $[\mathfrak{a}]$ , so  $\mathfrak{b} \sim \mathfrak{a}$ . Choose  $x \in \mathbb{Q}(\alpha)^\times$  such  $N_{\mathbb{Q}(\alpha)/\mathbb{Q}}(x) > 0$  and  $\mathfrak{b} = x\mathfrak{a}$ . Then observe that  $x\mathbf{a}$  is a positively oriented ordered basis for  $\mathfrak{b}$  as a free  $\mathbb{Z}$ -module! Indeed, it clearly spans  $\mathfrak{b}$  as a  $\mathbb{Z}$ -module since  $\mathfrak{b} = x\mathfrak{a}$ . Also, it is  $\mathbb{Z}$ -linearly independent since it is  $\mathbb{Q}$ -linearly independent (since multiplication by  $x$  is a  $\mathbb{Q}$ -isomorphism). It is also positively oriented precisely because  $N_{\mathbb{Q}(\alpha)/\mathbb{Q}}(x) > 0$ . Furthermore, it is easy to check that since  $m_x m_{\alpha} = m_{\alpha} m_x$ , we have

$$\begin{aligned} [m_{\alpha}]_{\mathbf{a}}^{\mathbf{a}} &= [m_{\alpha}]_{x\mathbf{a}}^{x\mathbf{a}} \\ &= [m_{\alpha}]_{\mathbf{b}}^{\mathbf{b}}. \end{aligned}$$

Thus (8) is well-defined.

Now we show that  $\Psi$  is injective. Let  $[\mathfrak{a}]$  and  $[\mathfrak{a}']$  be two fractional  $\mathcal{O}$ -ideals and let  $\mathbf{a}$  and  $\mathbf{a}'$  be ordered bases for  $\mathfrak{a}$  and  $\mathfrak{a}'$  as free  $\mathbb{Z}$ -modules respectively. Suppose  $\Psi([\mathfrak{a}]) = \Psi([\mathfrak{a}'])$ , that is suppose

$$U[\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}'} U^{-1} = [\mathfrak{m}_\alpha]_{\mathbf{a}'}^{\mathbf{a}'}$$

for some  $U \in \mathrm{SL}_n(\mathbb{Z})$ . Let  $[\cdot]_{\mathbf{a}}: \mathfrak{a} \rightarrow \mathbb{Z}^n$  be the standard column representation map for  $\mathfrak{a}$ . That is  $[\cdot]_{\mathbf{a}}$  is the unique  $\mathbb{Z}$ -linear map which sends  $\alpha_i$  to  $e_i$  for all  $1 \leq i \leq n$ , where  $\mathbf{e} = (e_1, \dots, e_n)$  is the standard ordered column basis for  $\mathbb{Z}^n$  as a free  $\mathbb{Z}$ -module. Similarly, let  $[\cdot]_{\mathbf{a}'}: \mathfrak{a}' \rightarrow \mathbb{Z}^n$  be the standard column representation map for  $\mathfrak{a}$ . Then observe that  $[\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}}: \mathfrak{a} \rightarrow \mathfrak{a}'$  gives us an isomorphism of  $\mathfrak{a}$  and  $\mathfrak{a}'$  as  $\mathbb{Z}$ -modules. In fact, this is a  $\mathbb{Z}[\alpha]$ -isomorphism since it commutes with  $\mathfrak{m}_\alpha$ . Indeed, we have

$$\sigma[\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}} \sigma^{-1} = [\cdot]_{\sigma \mathbf{a}'}^{-1} [\sigma]_{\mathbf{a}'}^{\sigma \mathbf{a}'} U [\sigma^{-1}]_{\sigma \mathbf{a}}^{\mathbf{a}} [\cdot]_{\sigma \mathbf{a}}$$

$$\begin{aligned} [\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}} \mathfrak{m}_\alpha &= [\cdot]_{\mathbf{a}'}^{-1} U [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}} [\cdot]_{\mathbf{a}} \\ &= [\cdot]_{\mathbf{a}'}^{-1} [\mathfrak{m}_\alpha]_{\mathbf{a}'}^{\mathbf{a}'} U [\cdot]_{\mathbf{a}} \\ &= \mathfrak{m}_\alpha [\cdot]_{\mathbf{a}'}^{-1} U [\cdot]_{\mathbf{a}}. \end{aligned}$$

Isomorphic fractional  $\mathbb{Z}[\alpha]$ -ideals are scalar multiples of each other, so  $\mathfrak{a}' = x\mathfrak{a}$  for some  $x \in \mathbb{Q}(\alpha)^\times$ . In particular,  $[\mathfrak{a}] = [\mathfrak{a}']$ . Thus  $\Psi$  is injective.

Now let us show that  $\Psi$  is surjective. Let  $A = (a_{ij})$  be in  $M_n(\mathbb{Z})$  such that  $\chi_A(T) = f(T)$ . We will find a  $\mathbb{Z}[\alpha]$ -fractional ideal  $\mathfrak{a}$  and a ordered basis  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  of  $\mathfrak{a}$  as a free  $\mathbb{Z}$ -module such that  $A = [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}}$ . First, we make  $\mathbb{Q}^n$  into a  $\mathbb{Q}(\alpha)$ -vector space as follows: Let  $x \in \mathbb{Q}(\alpha)$  and let  $v \in \mathbb{Q}^n$ . Choose  $g(T) \in \mathbb{Q}[T]$  such that  $g(\alpha) = x$  (such a choice is possible since  $\mathbb{Q}(\alpha) = \mathbb{Q}[\alpha]$ ). We define scalar multiplication of  $\mathbb{Q}(\alpha)$  on  $\mathbb{Q}^n$  by

$$x \cdot v = g(A)v. \quad (12)$$

We need to check that (9) is well-defined. In our construction of (9), we made a choice, namely  $g(T) \in \mathbb{Q}[T]$  such that  $g(\alpha) = x$ , so suppose  $h(T) \in \mathbb{Q}[T]$  such that  $h(\alpha) = x$ . Then  $(g - h)(\alpha) = 0$  and this implies  $f \mid (g - h)$  (since  $f$  is the minimal polynomial of  $\alpha$  over  $\mathbb{Q}$  since it is monic and irreducible with root  $\alpha$ ) and therefore  $g(A) = h(A)$  as matrices, so  $g(A)v = h(A)v$  for all  $v \in \mathbb{Q}^n$ . Thus (9) is well-defined. It is straightforward to check that (9) gives  $\mathbb{Q}^n$  a  $\mathbb{Q}(\alpha)$ -vector space structure. By restricting scalars, (9) also gives  $\mathbb{Q}^n$  a  $\mathbb{Z}[\alpha]$ -module structure. In fact, if  $v \in \mathbb{Z}^n$ , then  $\alpha \cdot v = Av$  is in  $\mathbb{Z}^n$  since  $A$  has integral entries, so  $\mathbb{Z}^n$  is a  $\mathbb{Z}[\alpha]$ -submodule of  $\mathbb{Q}^n$ . Treating  $\mathbb{Q}^n$  as both a  $\mathbb{Q}$ -vector space and as a  $\mathbb{Q}(\alpha)$ -vector space, we have

$$\begin{aligned} n &= \dim_{\mathbb{Q}}(\mathbb{Q}^n) \\ &= [\mathbb{Q}(\alpha) : \mathbb{Q}] \dim_{\mathbb{Q}(\alpha)}(\mathbb{Q}^n) \\ &= n \dim_{\mathbb{Q}(\alpha)}(\mathbb{Q}^n), \end{aligned}$$

so  $\mathbb{Q}^n$  is 1-dimensional as a  $\mathbb{Q}(\alpha)$ -vector space. In particular, this means that for any nonzero  $v_0 \in \mathbb{Q}^n$ , the  $\mathbb{Q}(\alpha)$ -linear map  $\varphi_{v_0}: \mathbb{Q}(\alpha) \rightarrow \mathbb{Q}^n$  given by

$$\varphi_{v_0}(x) = x \cdot v_0$$

for all  $x \in \mathbb{Q}(\alpha)$  is an isomorphism of 1-dimensional  $\mathbb{Q}(\alpha)$ -vector spaces. Thus, letting  $\mathbf{e} = (e_1, \dots, e_n)$  denote the standard ordered column basis for  $\mathbb{Q}^n$  as a  $\mathbb{Q}$ -vector space, there exists unique  $\alpha_i \in \mathbb{Q}(\alpha)$  such that  $\varphi_{v_0}(\alpha_i) = e_i$  for all  $1 \leq i \leq n$ . In particular,  $\mathbf{a} = (\alpha_1, \dots, \alpha_n)$  is an ordered basis for  $\mathbb{Q}(\alpha)$  as a  $\mathbb{Q}$ -vector space. Let

$$\mathfrak{a} = \bigoplus_{i=1}^n \mathbb{Z}\alpha_i.$$

Observe that  $\mathfrak{a}$  is a  $\mathbb{Z}[\alpha]$ -fractional ideal. Indeed, it suffices to show that  $\alpha\alpha_i \in \mathfrak{a}$  for all  $1 \leq i \leq n$ , and this follows from the fact that

$$\begin{aligned} \varphi_{v_0} \left( \alpha\alpha_i - \sum_{j=1}^n a_{ji}\alpha_i \right) &= \alpha \cdot \varphi_{v_0}(\alpha_i) - \sum_{j=1}^n a_{ji} \varphi_{v_0}(\alpha_i) \\ &= \alpha \cdot e_i - \sum_{j=1}^n a_{ji} e_i \\ &= Ae_i - Ae_i \\ &= 0, \end{aligned}$$

which implies

$$\alpha\alpha_i = \sum_{j=1}^n a_{ji}\alpha_i \quad (13)$$

since  $\varphi_{v_0}$  is injective. In fact, (10) also shows that  $A = [\mathfrak{m}_\alpha]_{\mathbf{a}}^{\mathbf{a}}$ . So we have realized  $A$  as a matrix representation for  $\mathfrak{m}_\alpha$  on a fractional  $\mathbb{Z}[\alpha]$ -ideal  $\mathfrak{a}$ . Thus  $\Psi$  is onto.  $\square$

## 5 Galois extensions, Frobenius elements, and the Artin map

Let  $A$  be a Dedekind domain with fraction field  $K$ , let  $L/K$  a finite separable extension, let  $B$  be the integral closure of  $A$  in  $L$ . We use  $AKLB$  to denote this setup. Furthermore, suppose  $L/K$  is also normal, hence Galois, and let  $G := \mathrm{Gal}(L/K)$  to denote the Galois group; we will use  $AKLBG$  to denote this setup.



## 5.1 Splitting primes in Galois extensions

Unless otherwise specified, we assume the *AKLBG* setup.

**Theorem 5.1.** *For each fractional ideal  $\mathfrak{b}$  of  $B$  and  $\sigma \in G$  define*

$$\sigma\mathfrak{b} = \{\sigma(y) \mid y \in \mathfrak{b}\}.$$

*The set  $\sigma\mathfrak{b}$  is a fractional ideal of  $B$ , and this defines a group action on  $\mathcal{I}_B$  that makes it into a left  $G$ -module. Moreover, the restriction of this action to  $\text{Spec } B$  makes it a  $G$ -set.*

*Proof.* First let's recall why  $\sigma B = B$  for all  $\sigma \in G$ . If  $b \in B$ , then it is a root of a monic polynomial  $f \in A[x]$ , that is,  $f(b) = 0$ . Then  $f(\sigma b) = \sigma f(b) = 0$  implies  $\sigma b$  is also a root of the monic polynomial  $f$ . Thus  $\sigma b$  is integral over  $A$ , hence an element of  $B$ . This proves  $\sigma B \subseteq B$ , and the same argument shows  $\sigma^{-1}B \subseteq B$ , hence  $B \subseteq \sigma B$ . It follows that  $\sigma B = B$ .

Now let  $\mathfrak{b} \in \mathcal{I}_B$ . Then  $\mathfrak{b}$  is a finitely generated  $B$ -module contained  $L$ , say  $\mathfrak{b} = \langle y_1, \dots, y_n \rangle$ . But then  $\sigma\mathfrak{b} = \langle \sigma y_1, \dots, \sigma y_n \rangle$  is a finitely generated  $\sigma B$ -module contained in  $L$ . Since  $\sigma B = B$ , it follows that  $\sigma\mathfrak{b}$  is a finitely generated  $B$ -module contained in  $L$ , hence a fractional ideal of  $B$ . Note that if  $\mathfrak{b}_1, \mathfrak{b}_2 \in \mathcal{I}_B$ , then

$$\sigma(\mathfrak{b}_1\mathfrak{b}_2) = (\sigma\mathfrak{b}_1)(\sigma\mathfrak{b}_2),$$

since  $\sigma$  preserves addition and multiplication. Since we already obviously have  $(\sigma\tau)\mathfrak{b} = \sigma(\tau\mathfrak{b})$  where  $\tau \in G$ , it follows that  $\mathcal{I}_B$  is a left  $G$ -module.

Finally, let  $\mathfrak{q}$  be a prime of  $B$  and let  $\sigma\mathfrak{q} = \mathfrak{q}_1^{e_1} \cdots \mathfrak{q}_n^{e_n}$  be the unique factorization of  $\sigma\mathfrak{q}$  in  $B$ . Applying  $\sigma^{-1}$  to both sides yields  $\mathfrak{q} = (\sigma^{-1}\mathfrak{q}_1)^{e_1} \cdots (\sigma^{-1}\mathfrak{q}_n)^{e_n}$ , and therefore  $n = 1$  and  $e_1 = 1$ , since  $\mathfrak{q}$  is prime, thus  $\sigma\mathfrak{q} = \mathfrak{q}_1$  is prime and the  $G$ -action on  $\mathcal{I}_B$  restricts to a  $G$ -action on  $\text{MaxSpec } B$ , and on  $\text{Spec } B$ , since  $G$  fixes the zero ideal.  $\square$

**Corollary 3.** *For each prime  $\mathfrak{p}$  of  $A$  the group  $G$  acts transitively on the set  $\{\mathfrak{q}|\mathfrak{p}\}$ . In other words, the orbits of the  $G$ -action on  $\text{Spec } B$  are the fibers of the contraction map  $\text{Spec } B \rightarrow \text{Spec } A$ .*

*Proof.* Let  $\sigma \in G$ . For  $\mathfrak{q}|\mathfrak{p}$  we have  $\mathfrak{p}B \subseteq \mathfrak{q}$  and  $\sigma(\mathfrak{p}B) \subseteq \sigma\mathfrak{q}$ . Thus  $\{\mathfrak{q}|\mathfrak{p}\}$  is closed under the action of  $G$ , so we just need to show that it consists of a single orbit. Let  $\{\mathfrak{q}|\mathfrak{p}\} = \{\mathfrak{q}_1, \dots, \mathfrak{q}_n\}$  and suppose that  $\mathfrak{q}_1$  and  $\mathfrak{q}_2$  lie in distinct  $G$ -orbits. The primes  $\mathfrak{q}_1, \dots, \mathfrak{q}_n$  are maximal ideals, hence pairwise coprime, so by the CRT we have a ring isomorphism

$$B/\mathfrak{q}_1 \cdots \mathfrak{q}_n \simeq B/\mathfrak{q}_1 \times \cdots \times B/\mathfrak{q}_n,$$

and we may choose  $b \in B$  such that  $b \equiv 0 \pmod{\mathfrak{q}_2}$  and  $b \equiv 1 \pmod{\sigma^{-1}\mathfrak{q}_1}$  for all  $\sigma \in G$ . Then  $b \in \mathfrak{q}_2$  and

$$N_{L/K}(b) = \prod_{\sigma \in G} \sigma(b) \equiv 1 \pmod{\mathfrak{q}_1},$$

hence  $N_{L/K}(b) \notin A \cap \mathfrak{q}_1 = \mathfrak{p}$ . However  $N_{L/K}(b) \in N_{L/K}(\mathfrak{q}_2) = \mathfrak{p}^{f_{\mathfrak{q}_2}} \subseteq \mathfrak{p}$ , a contradiction.  $\square$

As shown in the proof of Theorem (5.1), we have  $\sigma B = B$  for all  $\sigma \in G$ , thus each  $\sigma \in G$  restricts to a ring automorphism of  $B$  that fixes every element of the subring  $A = B \cap K$ , and thus every element of any prime  $\mathfrak{p}$  of  $A$ . It follows that  $\sigma$  induces an isomorphism of residue field extensions  $\bar{\sigma} \in \text{Hom}_{A/\mathfrak{p}}(B/\mathfrak{q}, B/\sigma\mathfrak{q})$  defined by  $\bar{\sigma}(b + \mathfrak{q}) = \sigma b + \sigma\mathfrak{q}$  for all  $b \in B$ , which we may write more compactly as  $\bar{\sigma}(\bar{b}) = \overline{\sigma(b)}$ .

**Corollary 4.** *Let  $\mathfrak{p}$  be a prime of  $A$ . The residue field degrees  $f_{\mathfrak{q}} := [B/\mathfrak{q} : A/\mathfrak{p}]$  are the same for every  $\mathfrak{q}|\mathfrak{p}$ , as are the ramification indices  $e_{\mathfrak{q}} := v_{\mathfrak{q}}(\mathfrak{p}B)$ .*

*Proof.* For each  $\sigma \in G$  we have an isomorphism of the residue fields  $B/\mathfrak{q}$  and  $B/\sigma\mathfrak{q}$  that fixes  $A/\mathfrak{p}$ , so they clearly have the same degree  $f_{\mathfrak{q}} = f_{\sigma\mathfrak{q}}$ , and  $G$  acts transitively on  $\{\mathfrak{q}|\mathfrak{p}\}$ , thus by the previous corollary, the function  $\mathfrak{q} \mapsto f_{\mathfrak{q}}$  must be constant on  $\{\mathfrak{q}|\mathfrak{p}\}$ . Furthermore, we have

$$\begin{aligned} e_{\mathfrak{q}} &= v_{\mathfrak{q}}(\mathfrak{p}B) \\ &= v_{\mathfrak{q}}(\sigma(\mathfrak{p}B)) \\ &= v_{\mathfrak{q}}\left(\sigma \prod_{\mathfrak{r}|\mathfrak{p}} \mathfrak{r}^{e_{\mathfrak{r}}}\right) \\ &= v_{\mathfrak{q}}\left(\prod_{\mathfrak{r}|\mathfrak{p}} (\sigma\mathfrak{r})^{e_{\mathfrak{r}}}\right) \\ &= v_{\mathfrak{q}}\left(\prod_{\mathfrak{r}|\mathfrak{p}} \mathfrak{r}^{e_{\sigma^{-1}\mathfrak{r}}}\right) \\ &= e_{\sigma^{-1}\mathfrak{r}}. \end{aligned}$$

The transitivity of the  $G$ -action on  $\{\mathfrak{q}|\mathfrak{p}\}$  again implies that  $\mathfrak{q} \mapsto e_{\mathfrak{q}}$  is constant on  $\{\mathfrak{q}|\mathfrak{p}\}$ .  $\square$

**Corollary 5.** *For each prime  $\mathfrak{p}$  of  $A$  we have  $e_{\mathfrak{p}}f_{\mathfrak{p}}g_{\mathfrak{p}} = [L : K]$ .*

**Proposition 5.1.** *Let  $\mathfrak{q}|\mathfrak{p}$  be a prime of  $B$ . The group homomorphism  $\pi_{\mathfrak{q}}: D_{\mathfrak{q}} \rightarrow \text{Aut}_{A/\mathfrak{p}}(B/\mathfrak{q})$  defined by  $\sigma \mapsto \bar{\sigma}$  is surjective and  $B/\mathfrak{q}$  is normal over  $A/\mathfrak{p}$ .*

*Proof.* Let  $F$  be the separable closure of  $A/\mathfrak{p}$  in  $B/\mathfrak{q}$  and for  $\bar{b} \in F$ , pick  $b \in B$  such that  $b \equiv \bar{b} \pmod{\mathfrak{q}}$  and  $b \equiv 0 \pmod{\sigma^{-1}\mathfrak{q}}$  (so  $\sigma(b) \equiv 0 \pmod{\mathfrak{q}}$ ) for all  $\sigma \in G \setminus D_{\mathfrak{q}}$ ; the CRT implies that such a  $b$  exists, since for  $\sigma \in G \setminus D_{\mathfrak{q}}$  the ideals  $\mathfrak{q}$  and  $\sigma\mathfrak{q}$  are distinct and therefore coprime (since they are maximal ideals). Now define

$$g(x) := \prod_{\sigma \in G} (x - \sigma(b)) \in A[x],$$

and let  $\bar{g}$  denote the image of  $g$  in  $(A/\mathfrak{p})[x]$ . Observe that  $\bar{b}$  is the root of a polynomial  $\bar{g} \in (A/\mathfrak{p})[x]$  that splits completely in  $(B/\mathfrak{q})[x]$ , and our choice of  $\bar{b}$  was arbitrary, so this applies to every  $\bar{b} \in F^\times$ . It follows that  $F$  is a normal (hence Galois) extension of  $A/\mathfrak{p}$ , and we have

$$\mathrm{Gal}(F/(A/\mathfrak{p})) \simeq \mathrm{Aut}_{A/\mathfrak{p}}(B/\mathfrak{q}),$$

since  $F$  is the separable closure of  $A/\mathfrak{p}$  in  $B/\mathfrak{q}$ .

Now observe that in  $(B/\mathfrak{q})[x]$ , we have

$$\bar{g}(x) = \prod_{\sigma \in G} (x - \sigma \bar{b}) = x^m \prod_{\sigma \in D_{\mathfrak{q}}} (x - \sigma \bar{b})$$

where we set  $m = \#(G \setminus D_{\mathfrak{q}})$ . So 0 is a root of  $\bar{g}(x)$  with multiplicity at least  $m$  and the remaining roots are  $\sigma \bar{b}$  for  $\sigma \in D_{\mathfrak{q}}$ , all of which are  $\mathrm{Gal}(F/(A/\mathfrak{p}))$ -conjugates of  $\bar{b}$ . It follows that  $\bar{g}(x)/x^m$  divides a power of the minimal polynomial  $f(x)$  of  $\bar{b}$ , but  $f(x)$  is irreducible in  $(A/\mathfrak{p})[x]$ , so  $\bar{g}(x)/x^m$  is a power of  $f(x)$  and every  $\mathrm{Gal}(F/(A/\mathfrak{p}))$ -conjugate of  $\bar{b}$  has the form  $\sigma \bar{b}$  for some  $\sigma \in D_{\mathfrak{q}}$ . Applying this to  $\bar{b}$  chosen such that  $F = (A/\mathfrak{p})(\bar{b})$  (by the primitive element theorem) shows that the map

$$\pi_{\mathfrak{q}}: D_{\mathfrak{q}} \rightarrow \mathrm{Aut}_{A/\mathfrak{p}}(B/\mathfrak{q}) \simeq \mathrm{Gal}(F/(A/\mathfrak{p}))$$

is surjective.

To show that  $B/\mathfrak{q}$  is a normal extension of  $A/\mathfrak{p}$  we proceed as we did for  $F$ : for each  $b \in B$  define  $g \in A[x]$  and  $\bar{g} \in (A/\mathfrak{p})[x]$  as above to show that every  $b \in B/\mathfrak{q}$  is the root of a polynomial in  $(A/\mathfrak{p})[x]$  that splits completely in  $(B/\mathfrak{q})[x]$ .  $\square$

**Definition 5.1.** Let  $\mathfrak{q}|\mathfrak{p}$  be a prime of  $B$ . The kernel of the surjective homomorphism  $\pi_{\mathfrak{q}}: D_{\mathfrak{q}} \rightarrow \mathrm{Aut}_{A/\mathfrak{p}}(B/\mathfrak{q})$  is the **inertia group**  $I_{\mathfrak{q}}$  of  $\mathfrak{q}$ .

**Corollary 6.** We have an exact sequence

$$1 \rightarrow I_{\mathfrak{q}} \rightarrow D_{\mathfrak{q}} \rightarrow \mathrm{Aut}_{A/\mathfrak{p}}(B/\mathfrak{q}) \rightarrow 1$$

and  $\#I_{\mathfrak{q}} = e_{\mathfrak{p}}[B/\mathfrak{q} : A/\mathfrak{p}]_i$ .

## 5.2 Frobenius elements

We now add the further assumption that the residue fields  $A/\mathfrak{p}$  (and therefore  $B/\mathfrak{q}$ ) are finite for all primes  $\mathfrak{p}$  of  $A$ . This holds, for example, whenever  $K$  is a global field (a finite extension of  $\mathbb{Q}$  or  $\mathbb{F}_q(t)$ ). In this situation  $B/\mathfrak{q}$  is necessarily a Galois extension of  $A/\mathfrak{p}$ . Indeed, recall that every finite extension of a finite field  $\mathbb{F}$  has a cyclic Galois group generated by the  $\#\mathbb{F}$ -power Frobenius automorphism  $x \mapsto x^{\#\mathbb{F}}$ .

In order to simplify notation, when working with finite residue fields we may write  $\mathbb{F}_{\mathfrak{q}} := B/\mathfrak{q}$  and  $\mathbb{F}_{\mathfrak{p}} := A/\mathfrak{p}$ ; these are finite fields of  $p$ -power order, where  $p$  is the characteristic of  $\mathbb{F}_{\mathfrak{p}}$  (and of  $\mathbb{F}_{\mathfrak{q}}$ ). Note that the field  $K$  (and  $L$ ) need not have characteristic  $p$  (consider the case of number fields), but if the characteristic of  $K$  is positive then it must be  $p$  (consider the homomorphism  $A \rightarrow A/\mathfrak{p}$  from the integral domain  $A$  to the field  $A/\mathfrak{p}$ ).

Let  $\mathfrak{q}|\mathfrak{p}$  be a prime of  $B$ . We have a short exact sequence

$$1 \rightarrow I_{\mathfrak{q}} \rightarrow D_{\mathfrak{q}} \xrightarrow{\pi_{\mathfrak{q}}} \mathrm{Gal}(\mathbb{F}_{\mathfrak{q}}/\mathbb{F}_{\mathfrak{p}}) \rightarrow 1.$$

If  $\mathfrak{p}$  (equivalently,  $\mathfrak{q}$ ) is unramified, then  $e_{\mathfrak{p}} = e_{\mathfrak{q}} = 1$  and  $I_{\mathfrak{q}}$  is trivial. In this case we have an isomorphism

$$\pi_{\mathfrak{q}}: D_{\mathfrak{q}} \xrightarrow{\simeq} \mathrm{Gal}(\mathbb{F}_{\mathfrak{q}}/\mathbb{F}_{\mathfrak{p}}).$$

The Galois group  $\mathrm{Gal}(\mathbb{F}_{\mathfrak{q}}/\mathbb{F}_{\mathfrak{p}})$  is the cyclic group of order  $f_{\mathfrak{p}} = [\mathbb{F}_{\mathfrak{q}} : \mathbb{F}_{\mathfrak{p}}]$  generated by the Frobenius automorphism

$$x \mapsto x^{\#\mathbb{F}_{\mathfrak{p}}}.$$

Note that the cardinality of the finite field  $\mathbb{F}_{\mathfrak{p}}$  is necessarily a power of its characteristic  $p$ .

**Definition 5.2.** Assume AKLBG with finite residue fields and  $\mathfrak{q}|\mathfrak{p}$  unramified. The inverse image of the Frobenius automorphism of  $\mathrm{Gal}(\mathbb{F}_{\mathfrak{q}}/\mathbb{F}_{\mathfrak{p}})$  under  $\pi_{\mathfrak{q}}$  is the **Frobenius element**  $\sigma_{\mathfrak{q}} \in D_{\mathfrak{q}} \subseteq G$ .

**Proposition 5.2.** Assume AKLBG with finite residue fields and  $\mathfrak{q}|\mathfrak{p}$  unramified. The Frobenius element  $\sigma_{\mathfrak{q}}$  is the unique  $\sigma \in G$  such that for all  $b \in B$  we have

$$\sigma b \equiv b^{\#\mathbb{F}_{\mathfrak{p}}} \pmod{\mathfrak{q}}.$$

**Proposition 5.3.** Assume AKLBG with finite residue fields and  $\mathfrak{q}|\mathfrak{p}$  unramified. For all  $\mathfrak{q}'|\mathfrak{p}$  the Frobenius elements  $\sigma_{\mathfrak{q}}$  and  $\sigma_{\mathfrak{q}'}$  are conjugate in  $G$ .

**Definition 5.3.** The conjugacy class of the Frobenius element  $\sigma_{\mathfrak{q}} \in G$  is the **Frobenius class** of  $\mathfrak{p}$ , denoted  $\mathrm{Frob}_{\mathfrak{p}}$ .

## 5.3 Artin symbols

There is another notation commonly used to denote Frobenius elements that includes the field extension in the notation.

**Definition 5.4.** Assume AKLBG with finite residue fields. For each unramified prime  $\mathfrak{q}$  of  $B$  we define the **Artin symbol**

$$\left( \frac{L/K}{\mathfrak{q}} \right) := \sigma_{\mathfrak{q}}.$$

When  $L/K$  is abelian, the Artin symbol takes the same value for all  $\mathfrak{q}|\mathfrak{p}$  and we may write

$$\left( \frac{L/K}{\mathfrak{p}} \right) := \sigma_{\mathfrak{p}}.$$

instead. In this setting we now view the Artin symbol as a function mapping unramified primes  $\mathfrak{p}$  to Frobenius elements  $\sigma_{\mathfrak{p}} \in G$ . We wish to extend this map to a multiplicative homomorphism from the ideal group  $\mathcal{I}_A$  to the Galois group  $G = \text{Gal}(L/K)$ , but ramified primes  $\mathfrak{q}|\mathfrak{p}$  cause problems: the homomorphism  $\pi_{\mathfrak{q}}: D_{\mathfrak{q}} \rightarrow \text{Gal}(\mathbb{F}_{\mathfrak{q}}/\mathbb{F}_{\mathfrak{p}})$  is not a bijection when  $\mathfrak{p}$  is ramified (it has nontrivial kernel  $I_{\mathfrak{q}}$  of order  $e_{\mathfrak{q}} = e_{\mathfrak{p}} > 1$ ). For any set  $S$  of primes of  $A$ , let  $\mathcal{I}_A^S$  denote the subgroup of  $\mathcal{I}_A$  generated by the primes of  $A$  that do not lie in  $S$ .

**Definition 5.5.** Let  $A$  be a Dedekind domain with finite residue fields. Let  $L$  be a finite abelian extension of  $K = \text{Frac } A$ , and let  $S$  be the set of primes of  $A$  that ramify in  $L$ . The **Artin map** is the homomorphism

$$\left( \frac{L/K}{\cdot} \right) : \mathcal{I}_A^S \rightarrow \text{Gal}(L/K)$$

defined by

$$\prod_{i=1}^m \mathfrak{p}_i^{e_i} \mapsto \prod_{i=1}^m \left( \frac{L/K}{\mathfrak{p}_i} \right)^{e_i}.$$

One of the main results of class field theory is that the Artin map is surjective (this is part of what is known as Artin reciprocity). This is a deep theorem that we are not yet ready to prove, but we can verify that it holds in some simple examples.

**Example 5.1.** Let  $K = \mathbb{Q}$  and  $L = \mathbb{Q}(\sqrt{d})$  for some square-free integer  $d \neq 1$ . Then  $\text{Gal}(L/K)$  has order 2 and is certainly abelian. Furthermore, the only ramified primes  $\mathfrak{p} = (p)$  of  $A = \mathbb{Z}$  are those that divide the discriminant

$$D := \text{disc}(L/K) = \begin{cases} d & \text{if } d \equiv 1 \pmod{4}, \\ 4d & \text{if } d \not\equiv 1 \pmod{4}. \end{cases}$$

If we identify  $\text{Gal}(L/K)$  with the multiplicative group  $\{\pm 1\}$ , then

$$\left( \frac{L/K}{\mathfrak{p}} \right) = \left( \frac{\mathbb{Q}(\sqrt{d})/\mathbb{Q}}{(p)} \right) = \left( \frac{D}{p} \right) = \pm 1,$$

where  $\left( \frac{D}{p} \right)$  is the **Kronecker symbol**. For odd primes  $p \nmid D$  we have

$$\left( \frac{D}{p} \right) = \begin{cases} 1 & \text{if } D \text{ is a nonzero square modulo } p, \\ -1 & \text{if } D \text{ is not a square modulo } p, \end{cases}$$

and for  $p = 2$  not dividing  $D$  (in which case  $D = d \equiv 1 \pmod{4}$ ) we have

$$\left( \frac{D}{2} \right) = \begin{cases} 1 & \text{if } D \equiv 1 \pmod{8}, \\ -1 & \text{if } D \equiv 5 \pmod{8}. \end{cases}$$

## 6 Weil Cohomology

Let  $K$  be a number field. The **Dedekind zeta function** of  $K$  is defined to be the formal expression

$$\zeta_K(s) := \prod_{\mathfrak{p}} \frac{1}{1 - N_{K/\mathbb{Q}}(\mathfrak{p})^{-s}},$$

where  $s \in \mathbb{C}$  and where the product runs over of all primes  $\mathfrak{p}$  of  $\mathcal{O}_K$ . The product converges absolutely for  $\text{Re}(s) > 1$  and hence defines a holomorphic function without zeroes in that region. By unique factorization, we can rewrite the product as a sum

$$\zeta_K(s) = \sum_I N_{K/\mathbb{Q}}(I)^{-s}$$

where the sum runs over all nonzero ideals  $I$  of  $\mathcal{O}_K$ .

**Theorem 6.1.** *The function  $\zeta_K(s)$  extends meromorphically to  $\mathbb{C}$ , with a simple pole at  $s = 1$  and with no other poles.*

## Part II

# Elliptic Curves

**Definition 6.1.** Let  $\mathbb{k}$  be a field. An **elliptic curve**  $E/\mathbb{k}$  is a smooth projective curve of genus 1 defined over  $\mathbb{k}$  with a distinguished  $\mathbb{k}$ -rational point  $O$ .

Let  $C = V(f) \subseteq \mathbb{P}^2$  where

$$f = c_1x^3 + c_2x^2y + c_3x^2z + c_4xy^2 + c_5xyz + c_6xz^2 + c_7y^3 + c_8y^2z + c_9yz^2 + c_{10}z^3 \quad (14)$$

where  $c_1, \dots, c_{10} \in \overline{\mathbb{k}}$  (if  $c_1, \dots, c_{10} \in \mathbb{k}$ , then we say  $C$  is **defined** over  $\mathbb{k}$ ). Let  $C_{\infty} = C \cap V(z)$  be the points of  $C$  which lie on the line at infinity  $V(z)$ . Thus the points of  $C_{\infty}$  are given by  $\{(x : y : 0) \mid f_{z=0}(x, y) = 0\}$  where

$$f_{z=0} = c_1x^3 + c_2x^2y + c_4xy^2 + c_7y^3.$$

The the points of  $C_{\infty}$  are in bijection with  $V(f_{z=0}) \subseteq \mathbb{P}^1$ . Since  $f_{z=0}$  is a cubic, there are exactly three points of  $V(f_{z=0})$ , counting multiplicity. We want  $O = [0 : 1 : 0]$  to be the *only* point in  $C_{\infty}$  (which would also mean that  $O$  has multiplicity three). In order for this to happen, we must have  $c_2 = c_4 = c_7 = 0$  and  $c_1 \neq 0$ . With this in mind, we can rewrite (14) as

$$f = c_1x^3 + c_3x^2z + c_5xyz + c_6xz^2 + c_8y^2z + c_9yz^2 + c_{10}z^3.$$

By re-scaling if necessary, we may assume that  $c_1 = 1$ . Next, we want  $C$  to be a smooth curve, so in particular we want it to be smooth at  $O$ . A calculation gives us

$$\begin{aligned}(\partial_x f)(O) &= 0 \\ (\partial_y f)(O) &= 0 \\ (\partial_z f)(O) &= c_8.\end{aligned}$$

Thus in order for  $C$  to be smooth at  $O$ , it is necessary that  $c_8 \neq 0$ . Then by replacing  $z$  with  $-z/c_8$ , we obtain a curve which is projectively equivalent  $C$  whose equation has the form

$$y^2z + a_1xyz + a_3yz^2 = x^3 + a_2x^2z + a_4xz^2 + a_6z^3, \quad (15)$$

where  $a_1, \dots, a_6 \in \mathbb{k}$  (it will become clear why the coefficients are labeled this way). We generally work in the affine open  $D(z)$  which corresponds to setting  $z = 1$  in (15):

$$y^2 + a_1xy + a_3y = x^3 + a_2x^2 + a_4x + a_6.$$

If  $\text{char}(\mathbb{k}) \neq 2$ , then we can simplify the equation by completing the square. Thus the substitution  $y \mapsto \frac{1}{2}(y - a_1x - a_3)$  yields the equation

$$y^2 = x^3 + ax + b,$$

where  $a, b \in \mathbb{k}$ .

## 6.1 Weierstrass Equations

Recall that elliptic curves are curves of genus one having a specified base point. We shall see that every such curve can be written as the locus in  $\mathbb{P}^2$  of a cubic equation with only one point, the base point, on the line at  $\infty$ . Then, after  $X$  and  $Y$  are scaled appropriately, an elliptic curve has an equation of the form

$$Y^2Z + a_1XYZ + a_3YZ^2 = X^3 + a_2X^2Z + a_4XZ^2 + a_6Z^3.$$

Here  $O = [0 : 1 : 0]$  is the base point and  $a_1, \dots, a_6 \in \overline{\mathbb{k}}$ .

## 6.2 Group Law in Algebraic Terms

Let  $E/\mathbb{k}$  be an elliptic curve defined by the Weierstrass equation

$$y^2 = x^3 + ax + b,$$

and let  $P$  and  $Q$  be two points on  $E$ . We want to compute the point  $R = P + Q$  by expressing the coordinates of  $R$  as rational functions of the coordinates of  $P$  and  $Q$ . If either  $P$  or  $Q$  is the point  $O$  at infinity, then  $R$  is the other point, so we may assume that  $P$  and  $Q$  are affine points  $P = (x_1, y_1)$  and  $Q = (x_2, y_2)$ . There are two cases to consider:

**Case 1:** Suppose  $x_1 \neq x_2$ . The line  $\overline{PQ}$  has slope  $m = (y_2 - y_1)/(x_2 - x_1)$ , which yields the linear equation  $y - y_1 = m(x - x_1)$  for  $\overline{PQ}$ . This line is not vertical, so it intersects the curve  $E$  in a third affine point  $-R = (x_3, -y_3)$ . Plugging the equation for the line  $\overline{PQ}$  into the equation for the curve  $E$  yields

$$(m(x - x_1) + y_1)^2 = x^3 + ax + b.$$

Expanding the LHS and moving every term to the RHS yields a cubic equation

$$g(x) := x^3 - m^2x^2 + \dots = 0,$$

where the ellipsis hides lower order terms in  $x$ . The monic cubic polynomial  $g(x)$  has two roots  $x_1, x_2 \in \mathbb{k}$  and therefore factors in  $\mathbb{k}[x]$  as

$$g(x) = (x - x_1)(x - x_2)(x - x_3),$$

where  $x_3 \in \mathbb{k}$  is the  $x$ -coordinate of the third point  $-R$  on the intersection  $\overline{PQ}$  and  $E$ . Comparing the coefficient of  $x^2$  in the two expressions for  $g(x)$  shows that  $x_1 + x_2 + x_3 = m^2$ , and therefore  $x_3 = m^2 - x_1 - x_2$ . We can then compute the  $y$ -coordinate  $-y_3$  of  $-R$  by plugging this expression for  $x_3$  into the equation for  $\overline{PQ}$ , and we have

$$\begin{aligned}m &= (y_2 - y_1)/(x_2 - x_1) \\ x_3 &= m^2 - x_1 - x_2 \\ y_3 &= m(x_1 - x_3) - y_1,\end{aligned}$$

which expresses the coordinates of  $R = P + Q$  as rational functions of the coordinates of  $P$  and  $Q$  as desired.

**Case 2:** Suppose  $x_1 = x_2$ . We must have  $y_1 = \pm y_2$ . If  $y_1 = -y_2$ , then  $Q = -P$  and  $P + Q = R = O$ . Otherwise  $P = Q$  and  $R = 2P$ , and the line  $\overline{PQ}$  is the tangent to  $P$  on the equation for  $E$ , whose slope we can compute by implicit differentiation. This yields

$$2ydy = 3x^2dx + adx,$$

so at the point  $P = (x_1, y_1)$  the slope of the tangent line is

$$m = \frac{dy}{dx} = \frac{3x_1^2 + a}{2y_1},$$

and once we know  $m$  we can compute  $x_3$  and  $y_3$  as above.

*Remark 2.* These equations can be converted to projective coordinates by replacing  $x_1, y_1, x_2$ , and  $y_2$  with  $x_1/z_1, y_1/z_1, x_2/z_2$ , and  $y_2/z_2$  respectively, and then writing the resulting expressions for  $x_3/z_3$  and  $y_3/z_3$  with a common denominator. When  $P \neq Q$  we obtain

$$\begin{aligned} x_3 &= (x_2z_1 - x_1z_2) \left( (y_2z_1 - y_1z_2)^2 z_1 z_2 - (x_2z_1 - x_1z_2)^2 (x_2z_1 + x_1z_2) \right) \\ y_3 &= (y_2z_1 - y_1z_2) \left( (x_2z_1 - x_1z_2)^2 (x_2z_1 + 2x_1z_2) - (y_2z_1 - y_1z_2)^2 z_1 z_2 \right) - (x_2z_1 - x_1z_2)^3 y_1 z_2 \\ z_3 &= (x_2z_1 - x_1z_2)^3 z_1 z_2 \end{aligned}$$

and for  $P = Q$  we obtain

$$\begin{aligned} x_3 &= 2y_1z_1(a^2(z_1^2 + 3x_1^2)^2 - 8x_1y_1^2z_1) \\ y_3 &= a(z_1^2 + 3x_1^2)(12x_1y_1^2z_1 - a^2(z_1^2 + 3x_1^2)^2) - 8y_1^4z_1^2 \\ z_3 &= (2y_1z_1)^3. \end{aligned}$$

These formulas are more complicated, but they have the advantage of avoiding inversions which are more costly than multiplications.

### 6.3 Elliptic Curves as Abelian Groups

#### 6.4 Isogenies

As abelian varieties, elliptic curves have both an algebraic structure (as an abelian group) and a geometric structure (as a smooth projective curve).

**Definition 6.2.** Let  $C/\mathbb{k}$  be a plane projective curve  $f(x, y, z) = 0$  with  $f$  a nonconstant homogeneous polynomial in  $\mathbb{k}[x, y, z]$  that is irreducible in  $\overline{\mathbb{k}}[x, y, z]$ . The **function field**  $k(C)$  is the set of equivalence classes of rational functions  $g/h$  such that

1.  $g$  and  $h$  are homogeneous polynomials in  $k[x, y, z]$  of the same degree;
2.  $h$  is not divisible by  $f$ , equivalently,  $h$  is not an element of the ideal  $\langle f \rangle$ ;
3.  $g_1/h_1$  and  $g_2/h_2$  are considered equivalent whenever  $g_1h_2 - g_2h_1 \in \langle f \rangle$ .

If  $L$  is any algebraic extension of  $k$ , the function field  $L(C)$  is similarly defined with  $g, h \in L[x, y, z]$ .

*Remark 3.* The function field  $k(X)$  of an irreducible projective variety  $X/k$  given by homogeneous polynomials  $f_1, \dots, f_m \in k[x_0, \dots, x_n]$  is defined similarly: just replace the homogeneous ideal  $\langle f \rangle$  with the homogeneous ideal  $\langle f_1, \dots, f_m \rangle$ .

*Remark 4.* The field  $k(C)$  contains  $k$  as a subfield (take  $g$  and  $h$  with degree 0), but it is not an algebraic extension of  $k$ , it is transcendental. Indeed, it has transcendence degree 1, consistent with the fact that  $C$  is a projective variety of dimension 1.

The fact that  $g$  and  $h$  have the same degree allows us to meaningfully assign a value to the function  $g/h$  at a projective point  $P = (x_0 : y_0 : z_0)$  on  $C$ , so long as  $h(P) \neq 0$ . Thus assuming the denominators involved are all nonzero, for  $\alpha \in k(C)$  the value of  $\alpha(P)$  does not depend on how we choose to represent either  $\alpha$  or  $P$ . If  $\alpha = g_1/h_1$  with  $h_1(P) = 0$ , it may happen that  $g_1/h_1$  is equivalent to  $g_2/h_2$  with  $h_2(P) \neq 0$ . This is a slightly subtle point. It may not be immediately obvious whether or not such a  $g_2/h_2$  exists, since it depends on equivalence modulo  $f$ ; in general there may be no canonical way to write  $g/h$  in “lowest terms”, because the ring  $k[x, y, z]/\langle f \rangle$  is typically not a UFD.

**Example 6.1.** Suppose  $C/k$  is defined by  $f(x, y, z) = zy^2 - x^3 - z^2x = 0$ , and consider the point  $P = (0 : 0 : 1) \in C(k)$ . We can’t evaluate  $\alpha = 3xz/y^2 \in k(C)$  at  $P$  as written since its denominator vanishes at  $P$ , but we can use the equivalence relation in  $k(C)$  to write

$$\alpha = \frac{3xz}{y^2} = \frac{3xz^2}{x^3 + z^2x} = \frac{3z^2}{x^2 + z^2},$$

and we then see that  $\alpha(P) = 3$ .

**Definition 6.3.** Let  $C/k$  be a projective curve with  $\alpha \in k(C)$ . We say that  $\alpha$  is **defined** (or **regular**) at a point  $P \in C(\bar{k})$  if  $\alpha$  can be represented as  $g/h$  for some  $g, h \in k[x, y, z]$  with  $h(P) \neq 0$ .

*Remark 5.* If  $C$  is the projective closure of an affine curve  $f(x, y) = 0$ , one can equivalently define  $k(C)$  as the fraction field of  $k[x, y]/\langle f \rangle$ ; this ring is known as the **coordinate ring** of  $C$ , denoted  $k[C]$ , and it is an integral domain provided that  $\langle f \rangle$  is a prime ideal (which holds in our case since we assume  $f$  is irreducible). In this case one needs to homogenize the rational functions  $r(x, y) = g(x, y)/h(x, y)$  in order to view them as functions defined on projective space.

**Definition 6.4.** Let  $C_1$  and  $C_2$  be plane projective curves defined over  $k$ . A **rational map**  $\phi: C_1 \rightarrow C_2$  is a projective triple  $(\phi_x : \phi_y : \phi_z) \in \mathbb{P}^2(k(C_1))$ , such that for every  $P \in C_1(\bar{k})$  where  $\phi_x, \phi_y$ , and  $\phi_z$  are defined and not all zero, the projective point  $(\phi_x(P) : \phi_y(P) : \phi_z(P))$  lies in  $C_2(\bar{k})$ . The map  $\phi$  is **defined** (or **regular**) at  $P$  if there exists  $\lambda \in k(C_1)^\times$  such that  $\lambda\phi_x, \lambda\phi_y$ , and  $\lambda\phi_z$  are all defined at  $P$  and not all zero at  $P$ .

We should note that a rational map is not simply a function from  $C_1(k)$  to  $C_2(k)$  defined by rational functions, for two reasons. First, it might not be defined everywhere (although for smooth projective curves this does not happen). Second, it is required to map  $C_1(\bar{k})$  to  $C_2(\bar{k})$ , which does not automatically hold for every rational map that carries  $C_1(k)$  to  $C_2(k)$ ; indeed, in general  $C_1(k)$  could be the empty set (if  $C_1$  is an elliptic curve then  $C_1(k)$  is nonempty, but it could contain just a single point).

It is important to remember that a rational map  $\phi = (\phi_x : \phi_y : \phi_z)$  is defined only up to scalar equivalence by functions in  $k(C)^\times$ . There may be points  $P \in C_1(\bar{k})$  where one of  $\phi_x(P), \phi_y(P), \phi_z(P)$  is not defined or all three are zero, but it may still be possible to evaluate  $\phi(P)$  after rescaling  $\lambda \in k(C)^\times$ ; we will see an example of this shortly. The value of  $\phi(P)$  is unchanged if we clear denominators in  $(\phi_x : \phi_y : \phi_z)$  by multiplying through by an appropriate homogeneous polynomial (note: this is not the same as rescaling by an element of  $\lambda \in k(C)^\times$ ). This yields a triple  $(\psi_x : \psi_y : \psi_z)$  of homogeneous polynomials of equal degree that we view as a representing any of

the three equivalent rational maps

$$(\psi_x/\psi_z : \psi_y/\psi_z : 1), \quad (\psi_x/\psi_y : 1 : \psi_z/\psi_y), \quad (1 : \psi_y/\psi_x : \psi_z/\psi_x)$$

all of which are equivalent to  $\phi$ . We then have  $\phi(P) = (\psi_x(P) : \psi_y(P) : \psi_z(P))$  whenever any of  $\psi_x, \psi_y, \psi_z$  is nonzero at  $P$ . Of course it can still happen that  $\psi_x, \psi_y, \psi_z$  all vanish at  $P$ , in which case we might need to look for an equivalent tuple of homogeneous polynomials that represents  $\phi$ . The tuples  $(\psi_x : \psi_y : \psi_z)$  and  $(\psi'_x : \psi'_y : \psi'_z)$  represent the same rational map whenever the polynomials  $\psi_x\psi'_y - \psi'_x\psi_y$  and  $\psi_x\psi'_z - \psi'_x\psi_z$  and  $\psi_y\psi'_z - \psi'_y\psi_z$  all lie in the ideal  $\langle f \rangle$  defining  $C_1$ .

## 6.5 Isogenies of Elliptic Curves

**Definition 6.5.** An **isogeny**  $\phi: E_1 \rightarrow E_2$  of elliptic curves defined over  $k$  is a surjective morphism of curves that induces a group homomorphism  $E_1(\bar{k}) \rightarrow E_2(\bar{k})$ . The elliptic curves  $E_1$  and  $E_2$  are then said to be **isogeneous**.

### 6.5.1 Standard Form for Isogenies

To facilitate our work with isogenies, it will be convenient to put them in a standard form. In order to do so we will assume throughout that we are working with elliptic curves of the form  $y^2 = f(x)$ , and when it is convenient we will further assume  $f(x) = x^3 + Ax + B$  so that our curves are in short Weierstrass form. Implicit in this assumption is that our elliptic curves are defined over a field  $k$  whose characteristic is not 2, and when we assume  $f(x) = x^3 + Ax + B$  we eliminate some elliptic curves in characteristic 3.

**Lemma 6.2.** Let  $E_1 : y^2 = f_1(x)$  and  $E_2 : y^2 = f_2(x)$  be elliptic curves over  $k$ , and let  $\alpha: E_1 \rightarrow E_2$  be an isogeny. Then  $\alpha$  can be defined by an affine rational map of the form

$$\alpha(x, y) = \left( \frac{u(x)}{v(x)}, \frac{s(x)}{t(x)}y \right),$$

where  $u, v, s, t \in k[x]$  are polynomials in  $x$  with  $u \perp v$  and  $s \perp t$ .

*Proof.* Suppose  $\alpha$  is defined by the rational map  $(\alpha_x : \alpha_y : \alpha_z)$ . Then for any affine point  $(x : y : 1) \in E_1(\bar{k})$  we can write

$$\alpha(x, y) = (r_1(x, y), r_2(x, y)),$$

with  $r_1(x, y) = \alpha_x(x, y, 1)/\alpha_z(x, y, 1)$  and  $r_2(x, y) = \alpha_y(x, y, 1)/\alpha_z(x, y, 1)$ . By repeatedly using the curve equation  $y^2 = f_1(x)$  for  $E_1$  to replace  $y^2$  with  $f_1(x)$ , we can assume that both  $r_1$  and  $r_2$  have degree at most 1 in  $y$ . We then have

$$r_1(x, y) = \frac{p_1(x) + p_2(x)y}{p_3(x) + p_4(x)y}$$

for some  $p_1, p_2, p_3, p_4 \in k[x]$ . We now multiply the numerator and denominator of  $r_1(x, y)$  by  $p_3(x) - p_4(x)y$ , and use the curve equation for  $E_1$  to replace the  $y^2$  in the denominator with  $f_1(x)$ , putting  $r_1$  in the form

$$r_1(x, y) = \frac{q_1(x) + q_2(x)y}{q_3(x)}$$

for some  $q_1, q_2, q_3 \in k[x]$ .

We now use the fact that  $\alpha$  is a group homomorphism and must therefore satisfy  $\alpha(-P) = -\alpha(P)$  for any  $P \in E_1(\bar{k})$ . Recall that the inverse of an affine point  $(x, y)$  on a curve in short Weierstrass form is  $(x, -y)$ . Thus  $\alpha(x, -y) = -\alpha(x, y)$ , and we have

$$(r_1(x, -y), r_2(x, -y)) = (r_1(x, y), -r_2(x, y)).$$

Thus  $r_1(x, y) = r_1(x, -y)$ , and this implies that  $q_2$  is the zero polynomial. After eliminating any common factors from  $q_1$  and  $q_3$ , we obtain  $r_1(x, y) = u(x)/v(x)$  for some  $u, v \in k[x]$  with  $u \perp v$ , as desired. The argument for  $r_2(x, y)$  is similar, except now we use  $r_2(x, -y) = -r_2(x, y)$  to show that  $q_1$  must be zero, yielding  $r_2(x, y) = s(x)y/t(x)$  for some  $s, t \in k[x]$  with  $s \perp t$ .  $\square$

We shall refer to the expression  $\alpha(x, y) = \left( \frac{u(x)}{v(x)}, \frac{s(x)}{t(x)}y \right)$  given by Lemma (6.2) as the **standard form** of an isogeny  $\alpha: E_1 \rightarrow E_2$ . The fact that the rational functions  $u/v$  and  $s/t$  are in lowest terms implies that the polynomials  $u, v, s$ , and  $t$  are uniquely determined up to a scalar in  $k^\times$ .

**Lemma 6.3.** Let  $E_1 : y^2 = f_1(x)$  and  $E_2 : y^2 = f_2(x)$  be elliptic curves over  $k$  and let  $\alpha(x, y) = \left( \frac{u(x)}{v(x)}, \frac{s(x)}{t(x)}y \right)$  be an isogeny from  $E_1$  to  $E_2$  in standard form. Then  $v^3$  divides  $t^2$  and  $t^2$  divides  $v^3 f_1$ . Moreover,  $v(x)$  and  $t(x)$  have the same set of roots in  $\bar{k}$ .

*Proof.* Substituting  $(\frac{u}{v}, \frac{s}{t}y)$  for  $(x, y)$  in the equation for  $E_2$  gives  $((s/t)y)^2 = f_2(u/v)$ , and using the equation for  $E_1$  to replace  $y^2$  with  $f_1(x)$  yields

$$(s/t)^2 f_1 = f_2(u/v)$$

as an identity involving polynomials  $f_1, f_2, s, t, u, v \in k[x]$ . If we put  $w = v^3 f_2(u/v)$  and clear denominators we obtain

$$v^3 s^2 f_1 = t^2 w.$$

Note that  $u \perp v$  implies  $v \perp w$ , since any common factor of  $v$  and  $w$  must divide  $u$ . It follows that  $v^3 \mid t^2$  and  $t^2 \mid v^3 f_1$ . This implies that  $v$  and  $t$  have the same roots in  $\bar{k}$ : every root of  $v$  is clearly a root of  $t$  (since  $v^3 \mid t^2$ ), and every root  $x_0$  of  $t$  is a double root of  $v^3 f_1$  since  $t^2 \mid v^3 f_1$ , and since  $f_1$  has no double roots (because  $E_1$  is not singular),  $x_0$  must be a root of  $v$  (and possibly also a root of  $f_1$ ).  $\square$

**Corollary 7.** Let  $\alpha(x, y) = \left( \frac{u(x)}{v(x)}, \frac{s(x)}{t(x)}y \right)$  be an isogeny  $E_1 \rightarrow E_2$  in standard form. The affine points  $(x_0 : y_0 : 1) \in E_1(\bar{k})$  in the kernel of  $\alpha$  are precisely those for which  $v(x_0) = 0$ .



*Proof.* If  $v(x_0) \neq 0$ , then  $t(x_0) \neq 0$ , and  $\alpha(x_0, y_0) = \left(\frac{u(x_0)}{v(x_0)}, \frac{s(x_0)}{t(x_0)}y\right)$  is an affine point and therefore not 0 (the point at infinity), hence not in the kernel of  $\alpha$ .

By homogenizing and putting  $\alpha$  into projective form, we can write  $\alpha$  as

$$\alpha = (ut : vsy : vt),$$

where  $ut, vsy$ , and  $vt$  are now homogeneous polynomials of equal degree ( $s, t, u, v \in k[x, z]$ ).

Suppose  $y_0 \neq 0$ . By the previous lemma, if  $v(x_0, 1) = 0$ , then  $t(x_0, 1) = 0$ , and since  $v^3 \mid t^2$ , the multiplicity of  $(x_0, 1)$  as a root of  $t$  is strictly greater than its multiplicity as a root of  $v$ . This implies that, working over  $\bar{k}$ , we can renormalize  $\alpha$  by dividing by a suitable power of  $x - x_0z$  so that  $\alpha_y$  does not vanish at  $(x_0 : y_0 : 1)$  but  $\alpha_x$  and  $\alpha_z$  both do. Then  $\alpha(x_0 : y_0 : 1) = (0 : 1 : 0) = 0$ , and  $(x_0 : y_0 : 1)$  lies in the kernel of  $\alpha$  as claimed.

If  $y_0 = 0$ , then  $x_0$  is a root of the cubic  $f(x)$  in the equation  $y^2 = f_1(x)$  for  $E_1$ , and it is not a double root, since  $E_1$  is not singular. In this case we can renormalize  $\alpha$  by multiplying by  $yz$  and then replacing  $y^2z$  with  $f_1(x, z)$ . Because  $(x_0, 1)$  only has multiplicity 1 as a root of  $f_1(x, z)$ , its multiplicity as a root of  $vf_1$  is no greater than its multiplicity as a root of  $t$  (here again we use  $v^3 \mid t^2$ ), and we can again renormalize  $\alpha$  by dividing by a suitable power of  $x - x_0z$  so that  $\alpha_y$  does not vanish at  $(x_0 : y_0 : 1)$ , but  $\alpha_x$  and  $\alpha_z$  both do (since they are now both divisible by  $y_0 = 0$ ). Thus  $(x_0 : y_0 : 1)$  is again in the kernel of  $\alpha$ .  $\square$

## 7 Elliptic Curves over $\mathbb{C}$

We now consider elliptic curves over the complex numbers

### 7.1 Elliptic Functions

Let  $\Lambda \subseteq \mathbb{C}$  be a lattice, that is,  $\Lambda$  is a discrete subgroup of  $\mathbb{C}$  that contains an  $\mathbb{R}$ -basis for  $\mathbb{C}$ . In this section, we study meromorphic functions on the quotient space  $\mathbb{C}/\Lambda$ , or equivalently, meromorphic functions on  $\mathbb{C}$  that are periodic with respect to the lattice  $\Lambda$ .

**Definition 7.1.** We make the following definitions

1. A **fundamental parallelogram** for  $\Lambda$  is a set of the form

$$D = \{a + t_1\omega_1 + t_2\omega_2 \mid 0 \leq t_1, t_2 < 1\},$$

where  $a \in \mathbb{C}$  and  $\{\omega_1, \omega_2\}$  is a basis for  $\Lambda$ . Note that the definition of  $D$  implies that the natural map  $D \rightarrow \mathbb{C}/\Lambda$  is bijective. We denote the closure of  $D$  in  $\mathbb{C}$  by  $\overline{D}$ .

2. An **elliptic function** (relative to the lattice  $\Lambda$ ) is a meromorphic function  $f(z)$  on  $\mathbb{C}$  that satisfies

$$f(z + \omega) = f(z)$$

for all  $\omega \in \Lambda$ .

**Proposition 7.1.** Let  $f(z)$  be an elliptic function. If  $f$  has no poles (i.e. if  $f$  is holomorphic), then  $f$  is constant. Similarly, if  $f$  has no zeros, then  $f$  is constant.

*Proof.* Let  $D$  be a fundamental parallelogram for  $\Lambda$ . The periodicity of  $f$  implies  $\|f\|_{\mathbb{C}} = \|f\|_{\overline{D}}$ . The function  $f$  is continuous and the set  $\overline{D}$  is compact, so  $|f|$  is bounded on  $\overline{D}$ . Therefore  $|f|$  is bounded on all of  $\mathbb{C}$ . It follows by Liouville's theorem that  $f$  is constant. Similarly, if  $f$  has no zeros, then  $1/f$  has no poles, hence constant.  $\square$

Let  $f$  be an elliptic function and let  $w \in \mathbb{C}$ . Then just as for any meromorphic function, we can look at its order of vanishing at  $w$ , denoted  $\text{ord}_w(f)$ , and its residue at  $w$ , denoted  $\text{res}_w(f)$ . Let's briefly

**Definition 7.2.** Let  $C$  be a curve and  $P \in C$  a smooth point. The **normalized valuation** on  $\overline{K}[C]_P$  is given by

$$\text{ord}_P(f) = \sup\{d \in \mathbb{Z} \mid f \in \mathfrak{m}_P^d\}.$$

Using  $\text{ord}_P(f/g) = \text{ord}_P(f) - \text{ord}_P(g)$ , we extend  $\text{ord}_P$  to  $\overline{K}(C)$ .

**Definition 7.3.** A **lattice**  $L = [\omega_1, \omega_2]$  is an additive subgroup  $\omega_1\mathbb{Z} + \omega_2\mathbb{Z}$  of  $\mathbb{C}$  generated by complex numbers  $\omega_1$  and  $\omega_2$  that are linearly independent over  $\mathbb{R}$ . If we take the quotient of the complex plane  $\mathbb{C}$  modulo a lattice  $L$ , we get a torus  $\mathbb{C}/L$ . Note that this quotient makes sense not just as a quotient of abelian groups, but also as a quotient of topological spaces (where  $\mathbb{C}$  has its usual Euclidean topology and  $L$  has the discrete topology); the torus  $\mathbb{C}/L$  is a compact topological group. A **fundamental parallelogram** for  $L$  is any set of the form

$$\mathcal{F}_\alpha = \{\alpha + t_1\omega_1 + t_2\omega_2 \mid \alpha \in \mathbb{C} \text{ and } 0 \leq t_1, t_2 \leq 1\}.$$

We can identify the points in a fundamental parallelogram with the points of  $\mathbb{C}/L$ .

A **lattice** is an additive subgroup  $L$  of  $\mathbb{C}$  which is generated by two complex numbers  $\omega_1$  and  $\omega_2$  that are linearly independent over  $\mathbb{R}$ . We express this by writing  $L = [\omega_1, \omega_2]$ . An **elliptic function** for  $L$  is a function  $f(z)$  defined on  $\mathbb{C}$ , except for isolated singularities, which satisfies the following two conditions:

1.  $f(z)$  is meromorphic on  $\mathbb{C}$ .
2.  $f(z + \omega) = f(z)$  for all  $\omega \in L$ .

If  $L = [\omega_1, \omega_2]$ , then note that the second condition is equivalent to

$$f(z + \omega_1) = f(z + \omega_2) = f(z).$$

Elements in  $L$  are often referred to as **periods**.

## 7.2 Weierstrass $\wp$ -function

**Definition 7.4.** Let  $L$  be a lattice. The **Weierstrass  $\wp$ -function** is defined as follows: given a complex number  $z$  not in the lattice  $L$ , we set

$$\wp(z; L) = \frac{1}{z^2} + \sum_{\omega \in L \setminus \{0\}} \left( \frac{1}{(z - \omega)^2} - \frac{1}{\omega^2} \right).$$

When working with a fixed lattice  $L$ , we will usually write  $\wp(z)$  instead of  $\wp(z; L)$ .

### 7.2.1 Eisenstein Series

**Definition 7.5.** Let  $\Lambda$  be a lattice in  $\mathbb{C}$  and let  $k > 2$  be an integer. The **weight- $k$  Eisenstein series** for  $\Lambda$  is the sum

$$G_k(L) = \sum_{\omega \in L^*} \frac{1}{\omega^k} = \sum_{\substack{m_1, m_2 \in \mathbb{Z} \\ (m_1, m_2) \neq (0, 0)}} \frac{1}{(m_1\omega_1 + m_2\omega_2)^k}$$

where  $L^* = L - \{0\}$ .

*Remark 6.*  $G_k(L)$  is a function of the lattice  $L$ . In particular, if the lattice  $L$  is fixed, then  $G_k = G_k(L)$  is a constant. For lattices of the form  $L = [1, \tau]$  where  $\text{Im}(\tau) > 0$ , we often think of  $G_k$  as a function of  $\tau$  via the formula:

$$G_k(\tau) := G_k([1, \tau]) = \sum_{\substack{m, n \in \mathbb{Z} \\ (m, n) \neq (0, 0)}} \frac{1}{(m + n\tau)^k}.$$

Because it comes from a function defined over a lattice, the function  $G_k(\tau)$  has some very nice properties. In particular we have

$$G_k(\tau + 1) = G_k(\tau) \quad \text{and} \quad G_k(-1/\tau) = \tau^k G_k(\tau)$$

for all  $\tau \in \mathcal{H}$ . Eisenstein series are the simplest example of **modular forms**, which we will learn about later on.

*Remark 7.* If  $k$  is odd, then  $G_k(L) = 0$  for any lattice  $L$ , since the terms  $1/\omega^k$  and  $1/(-\omega)^k$  in the sum cancel. Thus the only interesting Eisenstein series are those of even weight.

**Lemma 7.1.** For any lattice  $\Lambda$ , the series  $G_k(\Lambda)$  converges absolutely for all  $k > 2$ .

*Proof.* Suppose  $\Lambda = [\omega_1, \omega_2] = [\omega]$  where we write  $\omega = (\omega_1, \omega_2) \in \mathbb{C}^2$ . We let  $\langle \cdot, \cdot \rangle$  and  $\|\cdot\|$  denote the usual inner-product and norm on  $\mathbb{C}^2$ . In what follows, we think of  $\omega = (\omega_1, \omega_2)$  as being fixed, we write  $x = (x_1, x_2)$  for an arbitrary element in  $\mathbb{R}^2$ , and we write  $m = (m_1, m_2)$  for an arbitrary element in  $\mathbb{Z}^2$ . Using this notation, we can re-express the series  $G_k(\Lambda)$  as

$$G_k(\Lambda) = \sum_m \frac{1}{|\langle m, \omega \rangle|^k},$$

where it is understood that we are summing over  $m \in \mathbb{Z}^2 \setminus \{0\}$ . The map  $\langle \cdot, \omega \rangle: \mathbb{R}^2 \rightarrow \mathbb{C}$ , given by  $x \mapsto \langle x, \omega \rangle$ , is a bounded linear map. Furthermore,  $\langle \cdot, \omega \rangle$  is injective since  $\langle x, \omega \rangle = 0$  if and only if  $x_1\omega_1 + x_2\omega_2 = 0$  if and only if  $x_1 = 0 = x_2$  since  $\{\omega_1, \omega_2\}$  is linearly independent over  $\mathbb{R}$ . Therefore if we set  $C = \inf\{|\langle x, \omega \rangle| \mid \|x\| = 1\}$ , then  $C > 0$  and  $|\langle x, \omega \rangle|^k \geq C^k \|x\|^k$ . It follows that

$$\begin{aligned} G_k(\Lambda) &= \sum_m \frac{1}{|\langle m, \omega \rangle|^k} \\ &\leq \frac{1}{C^k} \sum_m \frac{1}{\|m\|^k} \\ &= \frac{1}{C^k} \sum_m \frac{1}{(\|m\|^2)^{k/2}}. \end{aligned}$$

Thus in order to show the sum  $G_k(\Lambda)$  converges absolutely, it suffices to show that the series  $\sum_m \frac{1}{(\|m\|^2)^{k/2}}$  converges. Indeed, this follows from the integral comparison test. We have

$$\begin{aligned} \int_{\|x\|^2 \geq 1} \frac{1}{(\|x\|^2)^{k/2}} dx &= \int_0^{2\pi} \int_0^\infty \frac{1}{r^k} r dr d\theta \\ &= \int_0^{2\pi} \int_0^\infty r^{1-k} dr d\theta \\ &= \int_0^{2\pi} \left( \frac{1}{2-k} r^{2-k} \right) \Big|_0^\infty d\theta \\ &= \int_0^{2\pi} \frac{1}{k-2} d\theta \\ &= \frac{2\pi}{k-2} \\ &< \infty. \end{aligned}$$

where we used the fact that  $k > 2$  to get from the third line to the fourth line as well as from the sixth line to the seventh line. □

**Lemma 7.2.** If  $z, w \notin L$ , then  $\wp(z) = \wp(w)$  if and only if  $z \equiv \pm w \pmod{L}$ .

*Proof.* One direction is trivial since  $\wp(z)$  is an even function. To argue the other way, suppose  $L = [\omega_1, \omega_2]$ , and fix a number  $-1 < \delta < 0$ . Let  $P$  denote the parallelogram  $\{s\omega_1 + t\omega_2 \mid \delta \leq s, t \leq \delta + 1\}$ , and let  $\Gamma$  be its boundary oriented counterclockwise. Note that every complex number is congruent modulo  $L$  to a number in  $P$ .

Fix  $w$  and consider the function  $f(z) = \wp(z) - \wp(w)$ . By adjusting  $\delta$ , we can arrange that  $f(z)$  has no zeros or poles on  $\Gamma$ . Then it is well known that

$$\frac{1}{2\pi i} \int_{\Gamma} \frac{f'(z)}{f(z)} dz = Z - P$$

where  $Z$  is the number of zeros of  $f(z)$  in  $P$  and  $P$  is the number of poles of  $f(z)$  in  $P$ , each counting multiplicity. Since  $f'(z)/f(z)$  is periodic, the integrals on opposite sides of  $\Gamma$  cancel, and thus  $\int_{\Gamma} (f'(z)/f(z)) dz = 0$ . This shows that  $Z = P$ . However,  $P$  is easy to compute: from the definition of  $P$ , it's obvious that 0 is the only pole of  $f(z) = \wp(z) - \wp(w)$  in  $P$ . It's a double pole, and thus  $Z = P = 2$ , so that  $f(z)$  has two zeros (counting multiplicity) in  $P$ .

There are now two cases to consider. If  $w \not\equiv -w \pmod{L}$ , then modulo  $L$ ,  $w$  and  $-w$  give rise to two distinct points of  $P$ , both of which are zeros of  $f(z) = \wp(z) - \wp(w)$ . Since  $Z = 2$ , these are all of the zeros, and their multiplicity is one, that is  $\wp'(w) \neq 0$ . If  $w \equiv -w \pmod{L}$ , then  $2w \in L$ . Since  $\wp'(z)$  is an odd function, we obtain

$$\wp'(w) = \wp'(w - 2w) = \wp'(-w) = -\wp'(w),$$

which forces  $\wp'(w) = 0$ . Thus modulo  $L$ ,  $w$  gives rise to a zero of  $f(z)$  of multiplicity  $\geq 2$  in  $P$ , and again  $Z = 2$  implies that these are all. This proves the lemma.  $\square$

**Proposition 7.2.** *Let  $\wp(z)$  be the Weierstrass  $\wp$ -function for the lattice  $L$ .*

1.  $\wp(z)$  is an elliptic function for  $L$  whose singularities consist of double poles at the points of  $L$ .
2.  $\wp(z)$  satisfies the differential equation

$$\wp'(z)^2 = 4\wp(z)^3 - g_2(L)\wp(z) - g_3(L),$$

where the constants  $g_2(L)$  and  $g_3(L)$  are defined by

$$g_2(L) = 60 \sum_{\omega \in L \setminus \{0\}} \frac{1}{\omega^4}$$

$$g_3(L) = 140 \sum_{\omega \in L \setminus \{0\}} \frac{1}{\omega^6}$$

3.  $\wp(z)$  satisfies the addition law

$$\wp(z+w) = -\wp(z) - \wp(w) + \frac{1}{4} \left( \frac{\wp'(z) - \wp'(w)}{\wp(z) - \wp(w)} \right)^2$$

whenever  $z, w \notin L$  and  $z+w \notin L$ .

*Proof.* 1. We first show  $\wp(z)$  is holomorphic outside  $L$ . Let  $\Omega$  be a compact subset of  $\mathbb{C}$  missing  $L$ . It suffices to show that the sum

$$\wp(z; L) = \frac{1}{z^2} + \sum_{\omega \in L \setminus \{0\}} \left( \frac{1}{(z-\omega)^2} - \frac{1}{\omega^2} \right)$$

converges absolutely and uniformly on  $\Omega$ . Choose  $R > 0$  such that  $|z| \leq R$  for all  $z \in \Omega$ . Now suppose that  $z \in \Omega$  and that  $\omega \in L$  satisfies  $|\omega| \geq 2R$ . Then  $|z - \omega| \geq |\omega|/2$ , and one sees that

$$\begin{aligned} \left| \frac{1}{(z-\omega)^2} - \frac{1}{\omega^2} \right| &= \left| \frac{z(2\omega - z)}{\omega^2(z-\omega)^2} \right| \\ &\leq \frac{R(2|\omega| + |\omega|/2)}{|\omega|^2(|\omega|^2/2)} \\ &= \frac{10R}{|\omega|^3}. \end{aligned}$$

Since the inequality  $|\omega| \geq 2R$  holds for all but finitely many elements of  $L$ , it follows from Lemma (7.1) that the sum in the  $\wp$ -function converges absolutely and uniformly on  $\Omega$ . Thus  $\wp(z)$  is holomorphic on  $\mathbb{C} \setminus L$  and has a double pole at the origin.

To show that  $\wp(z)$  is periodic, first note that differentiating the series for  $\wp(z)$  gives us

$$\wp'(z) = -2 \sum_{\omega \in L} \frac{1}{(z-\omega)^3}.$$

Arguing as above, the series converges absolutely, and it follows easily that  $\wp'(z)$  is an elliptic function for  $L$ . Now suppose that  $L = [\omega_1, \omega_2]$ . The functions  $\wp(z)$  and  $\wp(z + \omega_i)$  have the same derivative since  $\wp'(z)$  is periodic, and hence they differ by a constant, say  $\wp(z) = \wp(z + \omega_i) + C$ . Evaluating this at  $-\omega_i/2$ , we obtain

$$\begin{aligned} \wp(-\omega_i/2) &= \wp(-\omega_i/2 + \omega_i) + C \\ &= \wp(\omega_i/2) + C. \end{aligned}$$

Since  $\wp(z)$  is an even function (check!), it follows that  $C = 0$ , and hence periodicity is proved. It follows that the poles of  $\wp(z)$  are all double poles and lie exactly on the points of  $L$ .

2. To prove this, we first calculate the Laurent expansion of  $\wp(z)$  about the origin: we claim that

$$\wp(z) = \frac{1}{z^2} + \sum_{n=1}^{\infty} (2n+1)G_{2n+2}(L)z^{2n}.$$

Indeed, for  $|x| < 1$ , we have the series expansion

$$\frac{1}{(1-x)^2} = 1 + \sum_{n=1}^{\infty} (n+1)x^n.$$

Thus if  $|z| < |\omega|$ , then we can put  $x = z/\omega$  in the above series, and it follows easily that

$$\frac{1}{(z-\omega)^2} - \frac{1}{\omega^2} = \sum_{n=1}^{\infty} \frac{n+1}{\omega^{n+2}} z^n.$$

Summing over all  $\omega \in L \setminus \{0\}$  and using absolute convergence gives us

$$\wp(z) = \frac{1}{z^2} + \sum_{n=1}^{\infty} (n+1)G_{n+2}(L)z^{2n}.$$

Since  $\wp(z)$  is an even function, all of the odd coefficients must vanish, giving us the desired Laurent expansion.

From this, we see that

$$\wp'(z) = \frac{-2}{z^3} + \sum_{n=1}^{\infty} 2n(2n+1)G_{2n+2}(L)z^{2n-1},$$

and then one computes the first few terms of  $\wp(z)^3$  and  $\wp'(z)^2$  as follows:

$$\begin{aligned}\wp(z)^3 &= \frac{1}{z^6} + \frac{9G_4(L)}{z^2} + 15G_6(L) + \cdots \\ \wp'(z)^2 &= \frac{4}{z^6} - \frac{24G_4(L)}{z^2} - 80G_6(L) + \cdots.\end{aligned}$$

Now consider the elliptic function

$$F(z) = \wp'(z)^2 - 4\wp(z)^3 + 60G_4(L)\wp(z) + 140G_6(L).$$

Using the above expansions, it's easy to see that  $F(z)$  vanishes at the origin, and then by periodicity,  $F(z)$  vanishes at all points of  $L$ . But it is also holomorphic on  $\mathbb{C} \setminus L$ , so that  $F(z)$  is holomorphic on all of  $\mathbb{C}$ . An easy argument using Liouville's Theorem shows that  $F(z)$  is constant, so that  $F(z)$  is identically zero. Since  $g_2(L)$  and  $g_3(L)$  were defined to be  $60G_4(L)$  and  $140G_6(L)$  respectively, we are done.

3.

□

$$\begin{aligned}\wp(z + \omega_1; L) &= \frac{1}{(z + \omega_1)^2} + \sum_{\omega \in L \setminus \{0\}} \left( \frac{1}{(z + \omega_1 - \omega)^2} - \frac{1}{\omega^2} \right) \\ &= \frac{1}{(z + \omega_1)^2} + \sum_{\omega' \in L \setminus \{0\}} \left( \frac{1}{(z - \omega')^2} - \frac{1}{(\omega' + \omega_1)^2} \right) \quad \omega' = \omega - \omega_1\end{aligned}$$

$$\wp(z; L) = \frac{1}{z^2} + \sum_{\omega \in L \setminus \{0\}} \left( \frac{1}{(z - \omega)^2} - \frac{1}{\omega^2} \right).$$

### 7.3 Differentials

**Definition 7.6.** Let  $C$  be a curve. The **space of (meromorphic) differential forms** on  $C$ , denoted  $\Omega_C$ , is the  $\overline{K}(C)$ -vector space generated by symbols of the form  $dx$  for  $x \in \overline{K}(C)$ , subject to the relations

1.  $d(x + y) = dx + dy$  for all  $x, y \in \overline{K}(C)$ ;
2.  $d(xy) = xdy + ydx$  for all  $x, y \in \overline{K}(C)$ ;
3.  $dc = 0$  for all  $c \in \overline{K}$ .

Let  $\phi: C_1 \rightarrow C_2$  be a nonconstant map of curves. The associated function field map  $\phi^*: \overline{K}(C_2) \rightarrow \overline{K}(C_1)$  induces a map of differentials  $\phi^*: \Omega_{C_2} \rightarrow \Omega_{C_1}$  defined by

$$\phi^*\left(\sum f_i dx_i\right) = \sum (\phi^* f_i) d(\phi^* x_i).$$

This map provides a useful criterion for determining when  $\phi$  is separable.

## Part III

# Analytic Number Theory

Let  $r > 0$  and let  $z \in \mathbb{C}$ . We use the following notation throughout these notes:

$$\begin{aligned}B_r(z) &= \{s \in \mathbb{C} \mid |s - z| < r\} \\ B_r[z] &= \{s \in \mathbb{C} \mid |s - z| \leq r\} \\ B_r(\infty) &= \{s \in \mathbb{C} \mid \operatorname{Re}(s) > r\} \\ B_r[\infty] &= \{s \in \mathbb{C} \mid \operatorname{Re}(s) \geq r\}\end{aligned}$$

## 8 Riemann Zeta Function

The **Riemann zeta function** is the complex function defined by the series

$$\zeta(s) := \sum_{n \geq 1} n^{-s} \quad (16)$$

for  $\operatorname{Re}(s) > 1$ , where  $n$  varies over positive integers. More generally, for any  $S \subseteq \mathbb{N}$  we define the **partial Riemann zeta function** with respect to  $S$  to be the complex function defined by the series

$$\zeta_S(s) := \sum_{n \in S} n^{-s} \quad (17)$$

for  $\operatorname{Re}(s) > 1$ . In particular,  $\zeta_{\mathbb{N}}(s) = \zeta(s)$ .

**Proposition 8.1.** *The series (17) converges absolutely and locally uniformly on  $B_1(\infty)$ .*

*Proof.* Let  $\delta > 0$ . Then for any  $s \in B_{1+\delta}(\infty)$ , we have

$$\begin{aligned} \sum_{n \in S} |n^{-s}| &= \sum_{n \in S} n^{-\operatorname{Re}(s)} \\ &\leq \sum_{n \in S} n^{-1-\delta} \\ &\leq \sum_{n \geq 1} n^{-1-\delta} \\ &\leq \int_1^\infty x^{-1-\delta} dx \\ &= \left( \frac{x^{-\delta}}{-\delta} \right) \Big|_1^\infty \\ &= \frac{1}{\delta}. \end{aligned}$$

It follows that the series (17) converges absolutely on  $B_{1+\delta}(s)$  (and hence on  $B_1(s)$  since  $\delta > 0$  was arbitrary). Furthermore, it converges uniformly on  $B_{1+\delta}(\infty)$  (and even on  $B_{1+\delta}[\infty]$ ). Indeed, this follows from an easy application of the Weierstrass  $M$ -test with  $M_n = n^{-1-\delta}$ .  $\square$

It now follows from a basic theorem in complex analysis (which we will state below) that  $\zeta_S(s)$  is holomorphic on  $B_1(\infty)$ . Furthermore, we can express its derivative in terms of the series

$$\zeta'_S(s) = - \sum_{n \in S} (\log n) n^{-s}$$

which again converges absolutely and uniformly on  $B_{1+\delta}(\infty)$  for all  $\delta > 0$ . Here's the theorem:

**Theorem 8.1.** *A sequence or series of holomorphic functions  $f_n$  that converges locally uniformly on an open set  $U$  converges to a holomorphic function  $f$  on  $U$ , and the sequence or series of derivative  $f'_n$  then converges locally uniformly to  $f'$  (and if none of the  $f_n$  has a zero in  $U$  and  $f \neq 0$ , then  $f$  has no zeros in  $U$ ).*

### 8.0.1 Measure Theory Interpretation of the Riemann Zeta Function

Let  $(X, \mathcal{M}, \mu)$  be a  $\sigma$ -finite measure space and let  $f: X \rightarrow \mathbb{C}$  be an integrable function. We can construct a finite complex measure on  $\mathcal{M}$ , denoted  $\mu_f$ , by defining  $\mu_f(A) = \int_A f d\mu$  for all  $A \in \mathcal{M}$ . Furthermore, we can also construct a pseudometric  $d_f$  on  $\mathcal{M}$  giving it the structure of a pseudometric space, where  $d_f$  is defined by  $d_f(A, B) = |\mu_f|(A \Delta B)$  for all  $A, B \in \mathcal{M}$  where  $|\mu_f|$  is the total variation of  $\mu_f$  (so  $|\mu_f|(A) = \int_A |f| d\mu$ ). This pseudometric space induces a metric space (which we denote by  $\mathcal{M}$  again) with the understanding that two sets  $A, B \in \mathcal{M}$  are identified if  $\mu(A \Delta B) = 0$ . With this in mind, let us focus on the case where  $X = \mathbb{R}_{>0}$ ,  $\mathcal{M} = \mathbb{B}(\mathbb{R}_{>0})$ , and  $\mu$  is the usual Borel measure on  $\mathcal{M}$ .

**Proposition 8.2.** *Let  $f: X \rightarrow \mathbb{C}$  be an integrable function such that  $|f|$  is decreasing and let  $(A_m)$  be a sequence of measurable sets. Then we have  $A_m \xrightarrow{d_f} \mathbb{R}_{>0}$  if and only if  $A_m \supseteq (0, k]$  eventually in  $m$  for all  $k \in \mathbb{N}$ .*

*Proof.* Observe that  $A_m \xrightarrow{d_f} X$  if and only if  $|\mu_f|(A_m^c) \rightarrow 0$  if and only if  $\int_{A_m^c} |f| d\mu \rightarrow 0$ . If  $A_m \supseteq (0, k]$  eventually in  $m$ , then  $A_m^c \subseteq (k, \infty)$  eventually in  $m$ , and thus for all  $m$  sufficiently large we have

$$\int_{A_m^c} |f| d\mu \leq \int_k^\infty |f| d\mu.$$

The integral on the right goes to 0 as  $k \rightarrow \infty$  since  $f$  is integrable. It follows that  $\int_{A_m^c} |f| d\mu \rightarrow 0$  as  $m \rightarrow \infty$ , and hence  $A_m \xrightarrow{d_f} X$ .

Conversely, suppose  $A_m \xrightarrow{d_f} X$ . Then  $\int_{A_m^c} |f| d\mu \rightarrow 0$  as  $m \rightarrow \infty$ . Assume for a contradiction that there exists a  $k$  such that  $A_m \not\supseteq (0, k]$  frequently in  $m$ . Then there exists a subsequence  $(A_{\pi(m)})$  of  $(A_m)$  such that  $B_m = A_{\pi(m)} \cap (0, k]$  has  $\mu_f$  measure nonzero:

$$\mu_f(B_m) = \int$$

$(B_m)$  of measurable sets such that

$$\int_{A_m^c} |f| d\mu \leq \int_k^\infty$$

$$\begin{aligned}\infty &> \int_0^\infty |f| \mathrm{d}\mu \\ &= \int_0^m |f| \mathrm{d}\mu + \int_m^\infty |f| \mathrm{d}\mu\end{aligned}$$

if and only if for all  $\varepsilon > 0$  there exists  $M_\varepsilon \in \mathbb{N}$  such that  $m \geq M_\varepsilon$  implies  $\int_{A_m^c} |f| \mathrm{d}\mu < \varepsilon$ . If  $A_m \not\supseteq (0, k]$  eventually in  $m$ , then  $A_m^c \supseteq (0, k]$  frequently in  $m$ , which means  $\int_{A_m^c} |f| \mathrm{d}\mu \geq \int_{(0, k]} |f| \mathrm{d}\mu$  frequently in  $m$ . Thus if  $A_m \xrightarrow{\mathrm{d}_f} \mathbb{N}$ , then it must be the case that  $A_m \supseteq (0, k]$  eventually in  $m$ .

Conversely, suppose  $A_m \supseteq (0, k]$  eventually in  $m$ . By passing to a subsequence if necessary, we may assume that  $A_m \supseteq (0, m]$  for all  $m$ . Then observe that

$$\begin{aligned}\int_{A_m^c} |f| \mathrm{d}\mu &\leq \int_m^\infty |f| \mathrm{d}\mu \\ &\rightarrow 0\end{aligned}$$

as  $m \rightarrow \infty$ .

$$\begin{aligned}\infty &> \int_0^\infty |f| \mathrm{d}\mu \\ &= \int_0^m |f| \mathrm{d}\mu + \int_m^\infty |f| \mathrm{d}\mu\end{aligned}$$

$$\begin{aligned}\infty &> \int_0^\infty |f| \mathrm{d}\mu \\ &= \int_{A_m} |f| \mathrm{d}\mu + \int_{A_m^c} |f| \mathrm{d}\mu \\ &\geq \int_0^m |f| \mathrm{d}\mu + \int_{A_m^c} |f| \mathrm{d}\mu \\ &\geq m|f(m)| + \int_{A_m^c} |f| \mathrm{d}\mu.\end{aligned}$$

$$\int_{A_m^c} |f| \mathrm{d}\mu$$

: there exists  $\pi(k) \in \mathbb{N}$  such that  $m \geq \pi(k)$  implies  $A_m \supseteq \mathbb{N}_{\leq k}$ . Conversely, if  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ , then  $A_m \xrightarrow{\mathrm{d}_s} \mathbb{N}$  since  $\limsup A_m = \mathbb{N} = \liminf A_n$ .  $\square$

For each  $s \in B_1(\infty)$ , define  $f_s: \mathbb{R}_{>0} \rightarrow \mathbb{R}$  by

$$f_s(x) = \sum_{n=1}^\infty n^{-s} 1_{[n, n+1]}(x).$$

Since  $\operatorname{Re}(s) > 1$  this function is integrable, so as noted above, we obtain a complex measure  $\mu_s = \mu_{f_s}$  defined by

$$\mu_s(A) = \sum_{n=1}^\infty \mu(A_{[n]}) n^{-s} = \zeta_A(s).$$

for all  $A \in \mathcal{M}$  where  $A_{[n]} = A \cap [n, n+1]$ . We also obtain a pseudometric  $\mathrm{d}_s$  on  $\mathcal{M}$  defined by

$$\begin{aligned}\mathrm{d}_s(A, B) &= |\mu_s|(A \Delta B) \\ &= \int_{A \Delta B} |f_s| \mathrm{d}\mu \\ &= \int_{A \Delta B} \left| \sum_{n=1}^\infty n^{-s} 1_{[n, n+1]} \right| \mathrm{d}\mu \\ &= \int_{A \Delta B} \left( \sum_{n=1}^\infty n^{-\operatorname{Re}(s)} 1_{[n, n+1]} \right) \mathrm{d}\mu \\ &= \sum_{n=1}^\infty \mu((A \Delta B)_{[n]}) n^{-\operatorname{Re}(s)}.\end{aligned}$$

In particular, observe that  $A_m \rightarrow A$  if and only if  $\mu((A_m \Delta A)_{[n]}) \rightarrow 0$  as  $m \rightarrow \infty$  for each  $n \in \mathbb{N}$ . For each  $s \in B_1(\infty)$ , define  $g_s: \mathbb{R}_{>0} \rightarrow \mathbb{R}$  by

$$g_s(x) = x^{s-1} e^{-x}.$$

We obtain a complex measure  $\nu_s$  defined by

$$\nu_s(A) = \int_A x^{s-1} e^{-x} \mathrm{d}\mu = \Gamma_A(s).$$



We also obtain a pseudometric  $d_s$  on  $\mathcal{M}$  defined by

$$\begin{aligned} d_s(A, B) &= |\nu_s|(A \Delta B) \\ &= \int_{A \Delta B} |f_s| d\mu \\ &= \int_{A \Delta B} |x^{s-1} e^{-x}| dx \\ &= \int_{A \Delta B} x^{\operatorname{Re}(s)-1} |e^{-x}| dx \end{aligned}$$

In particular, observe that  $A_m \rightarrow A$  if and only if  $\int_{A_m \Delta A} x^{\operatorname{Re}(s)-1} |e^{-x}| dx \rightarrow 0$  if and only if  $\mu((A_m \Delta A)_{[n]}) \rightarrow 0$  as  $m \rightarrow \infty$  for each  $n \in \mathbb{N}$ .

**Proposition 8.3.** *We have  $A_m \xrightarrow{d_s} \mathbb{N}$  if and only if  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ .*

*Proof.* Observe that  $A_m \xrightarrow{d_s} \mathbb{N}$  if and only if for all  $\varepsilon > 0$  there exists  $M_\varepsilon \in \mathbb{N}$  such that  $m \geq M_\varepsilon$  implies  $\sum_{n \notin A_m} n^{-s} < \varepsilon$ . If  $k \notin A_m$  frequently in  $m$ , then  $\sum_{n \notin A_m} n^{-s} \geq k^{-s}$  frequently in  $m$ . Thus if  $A_m \xrightarrow{d_s} \mathbb{N}$ , then it must be the case that  $k \in A_m$  eventually: there exists  $\pi(k) \in \mathbb{N}$  such that  $m \geq \pi(k)$  implies  $A_m \supseteq \mathbb{N}_{\leq k}$ . Conversely, if  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ , then  $A_m \xrightarrow{d_s} \mathbb{N}$  since  $\limsup A_m = \mathbb{N} = \liminf A_m$ .  $\square$

**Proposition 8.4.** *We have  $A_m \xrightarrow{d_s} \mathbb{N}$  if and only if  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ .*

*Proof.* Observe that  $A_m \xrightarrow{d_s} \mathbb{N}$  if and only if for all  $\varepsilon > 0$  there exists  $M_\varepsilon \in \mathbb{N}$  such that  $m \geq M_\varepsilon$  implies  $\sum_{n \notin A_m} n^{-s} < \varepsilon$ . If  $k \notin A_m$  frequently in  $m$ , then  $\sum_{n \notin A_m} n^{-s} \geq k^{-s}$  frequently in  $m$ . Thus if  $A_m \xrightarrow{d_s} \mathbb{N}$ , then it must be the case that  $k \in A_m$  eventually: there exists  $\pi(k) \in \mathbb{N}$  such that  $m \geq \pi(k)$  implies  $A_m \supseteq \mathbb{N}_{\leq k}$ . Conversely, if  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ , then  $A_m \xrightarrow{d_s} \mathbb{N}$  since  $\limsup A_m = \mathbb{N} = \liminf A_m$ .  $\square$

**Proposition 8.5.** *If  $A_m \xrightarrow{d_s} \mathbb{N}$ , then  $\zeta_{A_m}(s)$  converges to  $\zeta(s)$  uniformly on  $B_{1+\delta}(\infty)$  for all  $\delta > 0$ .*

*Proof.* By Proposition (8.4), we know that  $k \in A_m$  eventually in  $m$  for all  $k \in \mathbb{N}$ . By passing to a subsequence if necessary, we may assume that  $A_m \supseteq \mathbb{N}_{\leq m}$ . Let  $\varepsilon, \delta > 0$  and choose  $M$  such that  $M^{-\delta}/\delta < \varepsilon$ . Then observe that  $m \geq M$  implies

$$\begin{aligned} |\zeta(s) - \zeta_A(s)| &= \left| \mu_{f_s}(\mathbb{R}_{>0}) - \mu_{f_s}(A) \right| \\ &= |\mu_{f_s}(A^c)| \\ &= \left| \sum_{n=1}^{\infty} \mu(A^c \cap [n, n+1]) n^{-s} \right| \\ &\leq \sum_{n=1}^{\infty} \mu(A^c \cap [n, n+1]) n^{-1-\delta} \\ &= \\ &\leq \int_m^{\infty} x^{-1-\delta} dx \\ &= \frac{1}{\delta} m^{-\delta} \\ &< \varepsilon \end{aligned}$$

$$\begin{aligned} |\zeta(s) - \zeta_{A_m}(s)| &= |\mu_s(\mathbb{N}) - \mu_s(A_m)| \\ &= \mu_s(\mathbb{N} \setminus A_m) \\ &\leq \mu_s(\mathbb{N}_{\geq m}) \\ &\leq \mu_{1+\delta}(\mathbb{N}_{\geq m}) \\ &= \sum_{n \geq m} n^{-1-\delta} \\ &\leq \int_m^{\infty} x^{-1-\delta} dx \\ &= \frac{1}{\delta} m^{-\delta} \\ &< \varepsilon \end{aligned}$$

for all  $s \in B_{1+\delta}(\infty)$ .  $\square$

### 8.0.2 Euler Product

**Lemma 8.2.** *For each  $m \in \mathbb{N}$ , let  $(\mathcal{N}_m)$  be a sequence of subsets of  $\mathbb{N}$  such that be the set of  $m$ -smooth integers (those with no prime factors  $p > m$ ) and set  $\zeta_m(s) = \zeta_{\mathcal{N}_m}(s)$ . The sequence  $(\zeta_m(s))$  converges uniformly to  $\zeta(s)$  on  $B_{1+\delta}(\infty)$  for all  $\delta > 0$ .*

*Proof.* Let  $\varepsilon, \delta > 0$ . Then observe that for any  $m \in \mathbb{N}$ , we have

$$\begin{aligned}
 |\zeta_A(s) - \zeta_B(s)| &= \left| \sum_{n \in A} n^{-s} - \sum_{n \in B} n^{-s} \right| \\
 &= \left| \sum_{n \in A \setminus B} n^{-s} - \sum_{n \in B \setminus A} n^{-s} \right| \\
 &\leq \left| \sum_{n \in A \setminus B} n^{-s} \right| + \left| \sum_{n \in B \setminus A} n^{-s} \right| \\
 &\leq \sum_{n \in A \setminus B} |n^{-s}| + \sum_{n \in B \setminus A} |n^{-s}| \\
 &= \sum_{n \in A \Delta B} |n^{-s}| \\
 &= \sum_{n \in A \Delta B} n^{-\operatorname{Re}(s)} \\
 &\leq \sum_{n \in A \Delta B} n^{-1-\delta}
 \end{aligned}$$

$$\begin{aligned}
 |\zeta_A(s) - \zeta_B(s)| &\leq \left| \sum_{n \geq m} n^{-s} \right| \\
 &\leq \sum_{n \geq m} |n^{-s}| \\
 &= \sum_{n \geq m} n^{-\operatorname{Re}(s)} \\
 &\leq \int_m^\infty x^{-1-\delta} dx \\
 &\leq \frac{1}{\delta} m^{-\delta}.
 \end{aligned}$$

$$\begin{aligned}
 |\zeta(s) - \zeta_{A_m}(s)| &= |\mu_s(\mathbb{N}) - \mu_s(A_m)| \\
 &= \mu_s(\mathbb{N} \setminus A_m) \\
 &\leq \mu_s(\mathbb{N}_{\geq m}) \\
 &\leq \mu_{1+\delta}(\mathbb{N}_{\geq m}) \\
 &= \sum_{n \geq m} n^{-1-\delta} \\
 &\leq \int_m^\infty x^{-1-\delta} dx \\
 &= \frac{1}{\delta} m^{-\delta} \\
 &< \varepsilon
 \end{aligned}$$

$$\begin{aligned}
 |\zeta_m(s) - \zeta(s)| &\leq \left| \sum_{n \geq m} n^{-s} \right| \\
 &\leq \sum_{n \geq m} |n^{-s}| \\
 &= \sum_{n \geq m} n^{-\operatorname{Re}(s)} \\
 &\leq \int_m^\infty x^{-1-\delta} dx \\
 &\leq \frac{1}{\delta} m^{-\delta}.
 \end{aligned}$$

for all sufficiently large  $m$ . It follows that the sequence  $\zeta_m(s)$  converges locally uniformly to  $\zeta(s)$  on  $\operatorname{Re}(s) > 1$ . □

**Theorem 8.3.** For  $\operatorname{Re}(s) > 1$ , we have

$$\zeta(s) = \sum_{n \geq 1} n^{-s} = \prod_p (1 - p^{-s})^{-1},$$

where the product converges absolutely. In particular,  $\zeta(s) \neq 0$  for  $\operatorname{Re}(s) > 1$ .

The product in the theorem above ranges over primes  $p$ . This is a standard practice in analytic number theory that we will follow: the symbol  $p$  always denotes a prime, and any sum or product over  $p$  is understood to be over primes, even if this is not explicitly stated.

*Proof.* We have

$$\begin{aligned}\sum_{n \geq 1} n^{-s} &= \sum_{n \geq 1} \prod_p p^{-v_p(n)s} \\ &= \prod_p \sum_{e \geq 0} p^{-es} \\ &= \prod_p (1 - p^{-s})^{-1}.\end{aligned}$$

To justify the second equality, consider the **partial zeta function**  $\zeta_m(s)$ , which restricts the summation in  $\zeta(s)$  to the set  $S_m$  of  $m$ -smooth integers (those with no prime factors  $p > m$ ). If  $p_1, \dots, p_k$  are the primes up to  $m$ , then absolute convergence implies

$$\begin{aligned}\zeta_m(s) &:= \sum_{n \in S_m} n^{-s} \\ &= \sum_{e_1, \dots, e_k \geq 0} (p_1^{e_1} \cdots p_k^{e_k})^{-s} \\ &= \prod_{1 \leq i \leq k} \sum_{e_i \geq 0} (p_i^{-s})^{e_i} \\ &= \prod_{p \leq m} (1 - p^{-s})^{-1} \\ &:= P_m(s),\end{aligned}$$

where we denoted  $P_m(s) := \prod_{p \leq m} (1 - p^{-s})^{-1}$ . For any  $\delta > 0$ , the sequence of functions  $\zeta_m(s)$  converges uniformly on  $B_{1+\delta}(\infty)$  to  $\zeta(s)$ . The sequence of functions clearly converges locally uniformly to  $\prod_p (1 - p^{-s})^{-1}$  on any region in which the latter function is absolutely convergent (or even just convergent). For any  $s$  in  $B_1(\infty)$ , we have

$$\begin{aligned}\sum_p \left| \log(1 - p^{-s})^{-1} \right| &= \sum_p \left| \sum_{e \geq 1} \frac{1}{e} p^{-es} \right| \\ &\leq \sum_p \sum_{e \geq 1} |p^{-s}|^e \\ &= \sum_p (|p^s| - 1)^{-1} \\ &\leq \sum_n (n^{\operatorname{Re}(s)} - 1)^{-1} \\ &< \infty,\end{aligned}$$

where we have used the identity  $\log(1 - z) = -\sum_{n \geq 1} \frac{1}{n} z^n$ , valid for  $|z| < 1$ . It follows that  $\prod_p (1 - p^{-s})^{-1}$  is absolutely convergent (and in particular, nonzero) on  $\operatorname{Re}(s) > 1$ . If  $D$  is a disk contained in  $\operatorname{Re}(s) > 1$ , then there exists  $M \geq 0$  such that  $\left| \prod_p (1 - p^{-s})^{-1} \right| \leq M$  for all  $s \in D$ . Thus, given  $\varepsilon > 0$  we have

$$\begin{aligned}\left| \prod_{p \leq m} (1 - p^{-s})^{-1} - \prod_p (1 - p^{-s})^{-1} \right| &= \left| \prod_{p \leq m} (1 - p^{-s})^{-1} \left( 1 - \prod_{p > m} (1 - p^{-s})^{-1} \right) \right| \\ &\leq M \left( 1 - \prod_{p > m} (1 - p^{-s})^{-1} \right) \\ &< \varepsilon\end{aligned}$$

for all sufficiently large  $m$ . □

### 8.0.3 Analytic Continuation

**Theorem 8.4.** (*Analytic Continuation I*) For  $\operatorname{Re}(s) > 1$  we have

$$\zeta(s) = \frac{1}{1-s} + \phi(s),$$

where  $\phi(s)$  is a holomorphic function on  $\operatorname{Re}(s) > 0$ . Thus  $\zeta(s)$  extends to a meromorphic function on  $\operatorname{Re}(s) > 0$  that has a simple pole at  $s = 1$  with residue 1 and no other poles.

*Proof.* For  $\operatorname{Re}(s) > 1$  we have

$$\begin{aligned}\zeta(s) - \frac{1}{1-s} &= \sum_{n \geq 1} n^{-s} - \int_1^\infty x^{-s} dx \\ &= \sum_{n \geq 1} \int_n^{n+1} (n^{-s} - x^{-s}) dx \\ &= \sum_{n \geq 1} \phi_n(s),\end{aligned}$$

where we set  $\phi_n(s) := \int_n^{n+1} (n^{-s} - x^{-s}) dx$ . Note that  $\phi_n$  is holomorphic on  $\operatorname{Re}(s) > 0$ . We will show series  $\sum_n \phi_n$  converges locally normally on  $\operatorname{Re}(s) > 0$ , and this in turn will imply  $\zeta(s) - (1-s)^{-1}$  is holomorphic on  $\operatorname{Re}(s) > 0$ . For each fixed  $s$  in  $\operatorname{Re}(s) > 0$  and

$x \in [n, n+1]$  we have

$$\begin{aligned} |n^{-s} - x^{-s}| &= \left| \int_n^x st^{-s-1} dt \right| \\ &\leq \int_n^x \frac{|s|}{|t^{s+1}|} dt \\ &= \int_n^x \frac{|s|}{t^{1+\operatorname{Re}(s)}} dt \\ &\leq \frac{|s|}{n^{1+\operatorname{Re}(s)}}, \end{aligned}$$

In particular, this implies  $|\phi_n(s)| \leq |s|/n^{1+\operatorname{Re}(s)}$ . For any  $s_0$  with  $\operatorname{Re}(s_0) > 0$ , if we put  $\varepsilon := \operatorname{Re}(s_0)/2$  and  $U := B_\varepsilon(s_0)$ , then for each  $n \geq 1$ ,

$$\sup_{s \in U} |\phi_n(s)| \leq \frac{|s_0| + \varepsilon}{n^{1+\varepsilon}} := M_n,$$

and  $\sum_n M_n = (|s_0| + \varepsilon)\zeta(1 + \varepsilon)$  converges. By the Weierstarss  $M$ -test,  $\sum_n \phi_n$  converges locally uniformly to a function  $\phi(s) = \zeta(s) - \frac{1}{s-1}$  that is holomorphic on  $\operatorname{Re}(s) > 0$ .  $\square$

#### 8.0.4 Location of Zeros

We now show that  $\zeta(s)$  has no zeros on  $\operatorname{Re}(s) = 1$ ; this fact is crucial to the prime number theorem. For this we use the following ingenious lemma, attributed to Mertens.

**Lemma 8.5.** (Mertens) For  $x, y \in \mathbb{R}$  with  $x > 1$  we have  $|\zeta(x)^3 \zeta(x + iy)^4 \zeta(x + 2iy)| \geq 1$ .

*Proof.* From the Euler product  $\zeta(s) = \prod_p (1 - p^{-s})^{-1}$ , we see that  $\operatorname{Re}(s) > 1$  we have

$$\begin{aligned} \log |\zeta(s)| &= - \sum_p \log |1 - p^{-s}| \\ &= - \sum_p \operatorname{Re} \log(1 - p^{-s}) \\ &= \sum_p \sum_{n \geq 1} \frac{\operatorname{Re}(p^{-ns})}{n}, \end{aligned}$$

since  $\log |z| = \operatorname{Re} \log z$  and  $\log(1 - z) = - \sum_{n \geq 1} \frac{z^n}{n}$  for  $|z| < 1$ . Plugging in  $s = x + iy$  yields

$$\log |\zeta(x + iy)| = \sum_p \sum_{n \geq 1} \frac{\cos(ny \log p)}{np^{nx}},$$

since

$$\begin{aligned} \operatorname{Re}(p^{-ns}) &= p^{-ns} \operatorname{Re}(e^{-iny \log p}) \\ &= p^{-nx} \cos(-ny \log p) \\ &= p^{-nx} \cos(ny \log p). \end{aligned}$$

Thus

$$\log |\zeta(x)^3 \zeta(x + iy)^4 \zeta(x + 2iy)| = \sum_p \sum_{n \geq 1} \frac{3 + 4 \cos(ny \log p) + \cos(2ny \log p)}{np^{nx}}.$$

We now note that the trigonometric identity  $\cos(2\theta) = 2 \cos^2 \theta - 1$  implies

$$3 + 4 \cos \theta + \cos(2\theta) = 2(1 + \cos \theta)^2 \geq 0.$$

Taking  $\theta = ny \log p$  yields  $\log |\zeta(x)^3 \zeta(x + iy)^4 \zeta(x + 2iy)| \geq$ , which proves the lemma.  $\square$

**Corollary 8.**  $\zeta(s)$  has no zeros on  $\operatorname{Re}(s) \geq 1$ .

*Proof.* We know from Theorem (8.3) that  $\zeta(s)$  has no zeros on  $\operatorname{Re}(s) > 1$ , so suppose  $\zeta(1 + iy) = 0$  for some  $y \in \mathbb{R}$ . Then  $y \neq 0$ , since  $\zeta(s)$  has a pole at  $s = 1$ , and we know that  $\zeta(s)$  does not have a pole at  $1 + 2iy \neq 1$  by Theorem (8.4). We therefore must have

$$\lim_{x \rightarrow 1} |\zeta(x)^3 \zeta(x + iy)^4 \zeta(x + 2iy)| = 0,$$

since  $\zeta(s)$  has a simple pole at  $s = 1$ , a zero at  $1 + iy$ , and no pole at  $1 + 2iy$ . But this contradicts Lemma (8.5)  $\square$

## 8.1 The Prime Number Theorem

The prime counting function  $\pi: \mathbb{R} \rightarrow \mathbb{Z}_{\geq 0}$  is defined by

$$\pi(x) := \sum_{p \leq x} 1;$$

it counts the number of primes up to  $x$ . The prime number theorem (PNT) states that

$$\pi(x) \sim \frac{x}{\log x}.$$

The notation  $f(x) \sim g(x)$  means  $\lim_{x \rightarrow \infty} f(x)/g(x) = 1$ ; one says that  $f$  is **asymptotic** to  $g$ . This conjectured growth rate for  $\pi(x)$  dates back to Gauss and Legendre in the 18th century. In fact Gauss believed the asymptotically equivalent but more accurate statement

$$\pi(x) \sim \text{Li}(x) := \int_2^x \frac{dt}{\log t}.$$

Rather than work directly with  $\pi(x)$ , it is more convenient to work with the log-weighted prime-counting function by Chebyshev:

$$\vartheta(x) := \sum_{p \leq x} \log p,$$

whose growth rate differs from that of  $\pi(x)$  by a logarithmic factor.

**Theorem 8.6.** (Chebyshev)  $\pi(x) \sim x / \log x$  if and only if  $\vartheta(x) \sim x$ .

*Proof.* We clearly have  $0 \leq \vartheta(x) \leq \pi(x) \log x$ , thus

$$\frac{\vartheta(x)}{x} \leq \frac{\pi(x) \log x}{x}.$$

For every  $\varepsilon \in (0, 1)$ , we have

$$\begin{aligned} \vartheta(x) &\geq \sum_{x^{1-\varepsilon} < p \leq x} \log p \\ &\geq \log(x^{1-\varepsilon}) (\pi(x) - \pi(x^{1-\varepsilon})) \\ &= (1-\varepsilon)(\log x)(\pi(x) - \pi(x^{1-\varepsilon})) \\ &\geq (1-\varepsilon)(\log x)(\pi(x) - x^{1-\varepsilon}), \end{aligned}$$

and therefore

$$\pi(x) \leq \left( \frac{1}{1-\varepsilon} \right) \frac{\vartheta(x)}{\log x} + x^{1-\varepsilon}.$$

Thus for all  $\varepsilon \in (0, 1)$  we have

$$\frac{\vartheta(x)}{x} \leq \frac{\pi(x) \log x}{x} \leq \left( \frac{1}{1-\varepsilon} \right) \frac{\vartheta(x)}{x} + \frac{\log x}{x^\varepsilon}.$$

The second term on the RHS tends to 0 as  $x \rightarrow \infty$ , and the lemma follows: by choosing  $\varepsilon$  sufficiently small we can make the ratios  $\vartheta(x)$  to  $x$  and  $\pi(x)$  to  $x / \log x$  arbitrarily close together as  $x \rightarrow \infty$ , so if one of them tends to 1, so must the other.  $\square$

In view of Chebyshev's result, the prime number theorem is equivalent to  $\vartheta(x) \sim x$ . We thus want to prove  $\lim_{x \rightarrow \infty} \vartheta(x)/x = 1$ . Let us first show that  $\lim_{x \rightarrow \infty} \vartheta(x)/x$  is bounded, which is indicated by the asymptotic notation  $\vartheta(x) = O(x)$ .

**Lemma 8.7.** (Chebyshev). For  $x \geq 1$  we have  $\vartheta(x) \leq (4 \log 2)x$ , thus  $\vartheta(x) = O(x)$ .

*Proof.* For any integer  $n \geq 1$ , the binomial theorem implies

$$\begin{aligned} 2^{2n} &= (1+1)^{2n} \\ &= \sum_{m=0}^{2n} \binom{2n}{m} \\ &\geq \binom{2n}{n} \\ &= \frac{(2n)!}{n!n!} \\ &\geq \prod_{n < p \leq 2n} p \\ &= \exp(\vartheta(2n) - \vartheta(n)), \end{aligned}$$

since  $(2n)!$  is divisible by every prime  $p \in (n, 2n]$  but  $n!$  is not divisible by any such  $p$ . Taking logarithms on both sides yields

$$\vartheta(2n) - \vartheta(n) \leq 2n \log 2,$$

valid for all integers  $n \geq 1$ . For any integer  $m \geq 1$  we have

$$\begin{aligned} \vartheta(2^m) &= \sum_{n=1}^m (\vartheta(2^n) - \vartheta(2^{n-1})) \\ &\leq \sum_{n=1}^m 2^n \log 2 \\ &\leq 2^{m+1} \log 2. \end{aligned}$$

For any real  $x \geq 1$  we can choose an integer  $m \geq 1$  so that  $2^{m-1} \leq x < 2^m$ , and then

$$\begin{aligned} \vartheta(x) &\leq \vartheta(2^m) \\ &\leq 2^{m+1} \log 2 \\ &= (4 \log 2) 2^{m-1} \\ &\leq (4 \log 2)x, \end{aligned}$$

as claimed.  $\square$

In order to prove  $\vartheta(x) \sim x$ , we will use a general analytic criterion applicable to any non-decreasing real function  $f(x)$ .

**Lemma 8.8.** *Let  $f: \mathbb{R}_{\geq 1} \rightarrow \mathbb{R}$  be a nondecreasing function. If the integral  $\int_1^\infty \frac{f(t)-t}{t^2} dt$  converges, then  $f(x) \sim x$ .*

*Proof.* Let  $F(x) := \int_1^x \frac{f(t)-t}{t^2} dt$ . The hypothesis is that  $\lim_{x \rightarrow \infty} F(x)$  exists. This implies that for all  $\lambda > 1$  and all  $\varepsilon > 0$  we have  $|F(\lambda x) - F(x)| < \varepsilon$  for all sufficiently large  $x$ . Fix  $\lambda > 1$  and suppose there is an unbounded sequence  $(x_n)$  such that  $f(x_n) \geq \lambda x_n$  for all  $n \geq 1$ . For each  $x_n$  we have

$$\begin{aligned} F(\lambda x_n) - F(x_n) &= \int_{x_n}^{\lambda x_n} \frac{f(t)-t}{t^2} dt \\ &\geq \int_{x_n}^{\lambda x_n} \frac{\lambda x_n - t}{t^2} dt \\ &= \int_1^\lambda \frac{\lambda - u}{u^2} du \quad u = tx_n \\ &= c, \end{aligned}$$

for some  $c > 0$ , where we used the fact that  $f$  is nondecreasing to get the middle inequality. Taking  $\varepsilon < c$ , we have  $|F(\lambda x_n) - F(x_n)| = c > \varepsilon$  for arbitrarily large  $x_n$ , a contradiction. Thus  $f(x) < \lambda x$  for all sufficiently large  $x$ . A similar argument shows  $f(x) > x/\lambda$  for all sufficiently large  $x$ . These inequalities hold for all  $\lambda > 1$ , so  $\lim_{x \rightarrow \infty} f(x)/x = 1$ , or equivalently,  $f(x) \sim x$ .  $\square$

In order to show that the hypothesis of Lemma (8.8) is satisfied for  $f = \vartheta$ , we will work with the function  $H(t) = \vartheta(e^t)e^{-t} - 1$ ; the change of variables  $t = e^u$  shows that

$$\int_1^\infty \frac{\vartheta(t)-t}{t^2} dt \text{ converges} \iff \int_0^\infty H(u) du \text{ converges.}$$

We now recall the Laplace transform:

**Definition 8.1.** Let  $h: \mathbb{R}_{>0} \rightarrow \mathbb{R}$  be a piecewise continuous function. The **Laplace transform**  $\mathcal{L}h$  of  $h$  is the complex function defined by

$$\mathcal{L}h(x) := \int_0^\infty e^{-st} h(t) dt,$$

which is holomorphic on  $\operatorname{Re}(s) > c$  for any  $c \in \mathbb{R}$  for which  $h(t) = O(e^{ct})$ .

The following properties of the Laplace transform are easily verified:

- $\mathcal{L}(g + h) = \mathcal{L}g + \mathcal{L}h$  and for any  $a \in \mathbb{R}$  we have  $\mathcal{L}(ah) = a\mathcal{L}h$ .
- If  $h(t) = a \in \mathbb{R}$  is constant then  $\mathcal{L}h(s) = a/s$ .
- $\mathcal{L}(e^{at}h(t))(s) = \mathcal{L}(h)(s - a)$  for all  $a \in \mathbb{R}$ .

We now define the auxiliary function

$$\Phi(s) := \sum_p p^{-s} \log p,$$

which is related to  $\vartheta(x)$  by the following lemma.

**Lemma 8.9.**  $\mathcal{L}(\vartheta(e^t))(s) = \Phi(s)/s$  is holomorphic on  $\operatorname{Re}(s) > 1$ .

## 8.2 Functional Equation

**Definition 8.2.** The **Fourier transform** of a Schwartz function  $f \in \mathcal{S}(\mathbb{R})$  is the function

$$\widehat{f}(y) := \int_{\mathbb{R}} f(x) e^{-2\pi i xy} dx,$$

which is also a Schwartz function. We can recover  $f(x)$  from  $\widehat{f}(y)$  via the inverse transform

$$f(x) = \int_{\mathbb{R}} \widehat{f}(y) e^{2\pi i xy} dy.$$

The maps  $f \mapsto \widehat{f}$  and  $\widehat{f} \mapsto f$  are thus linear operators on  $\mathcal{S}(\mathbb{R})$ .

**Lemma 8.10.** For all  $t \in \mathbb{R}_{>0}$  and  $f \in \mathcal{S}(\mathbb{R})$  we have

$$\widehat{f(tx)}(y) = \frac{1}{t} \widehat{f}(y/t).$$

*Proof.* Indeed, we have

$$\begin{aligned} \widehat{f(tx)}(y) &= \int_{\mathbb{R}} f(tx) e^{-2\pi i xy} dx \\ &= \int_{\mathbb{R}} f(u) e^{-2\pi i uy/t} \frac{du}{t} \quad u = tx \\ &= \frac{1}{t} \widehat{f}(y/t). \end{aligned}$$

$\square$



### 8.2.1 Jacobi's theta function

We now define the **theta function**

$$\Theta(\tau) := \sum_{n \in \mathbb{Z}} e^{\pi i n^2 \tau} = 1 + 2 \sum_{n \geq 1} e^{\pi i n^2 \tau}. \quad (18)$$

The series converges absolutely and locally uniformly on  $\operatorname{im} \tau > 0$ . Indeed, let  $\delta > 0$  and  $\tau = r + it$ . Then for  $\operatorname{im} \tau > \delta$ , we have

$$\begin{aligned} \sum_{n \in \mathbb{Z}} |e^{\pi i n^2 \tau}| &= \sum_{n \in \mathbb{Z}} e^{-\pi n^2 t} \\ &= 1 + 2 \sum_{n \geq 1} (e^{-\pi t})^{n^2} \\ &\leq 1 + 2 \sum_{n \geq 0} (e^{-\pi t})^n \\ &\leq 1 + 2 \sum_{n \geq 0} (e^{-\pi \delta})^n \\ &\leq 1 + \frac{2}{1 - e^{-\pi \delta}}. \end{aligned}$$

It follows that the series (18) converges absolutely on  $\operatorname{im} \tau > \delta$ . Furthermore, it converges uniformly on  $\operatorname{im} \tau > \delta$  by an easy application of the Weierstrass  $M$ -test with  $M_n = 2e^{-\pi n t}$ .

It is easy to check that  $\Theta(\tau)$  is periodic modulo 2, that is,

$$\Theta(\tau + 2) = \Theta(\tau),$$

but it also satisfies another functional equation.

**Lemma 8.11.** *For all  $t \in \mathbb{R}_{>0}$  we have  $\Theta(it) = t^{-1/2} \Theta(i/t)$ .*

*Proof.* Put  $g(x) := e^{-\pi x^2}$  and  $h(x) := g(t^{1/2}x) = e^{-\pi x^2 t}$ . Then observe that

$$\begin{aligned} \widehat{h}(y) &= \widehat{g(t^{1/2}x)}(y) \\ &= t^{-1/2} \widehat{g}(t^{-1/2}y) \\ &= t^{-1/2} g(t^{-1/2}y). \end{aligned}$$

Plugging in  $\tau = it$  into  $\Theta(\tau)$  and applying Poisson summation yields

$$\begin{aligned} \Theta(it) &= \sum_{n \in \mathbb{Z}} e^{\pi i n^2 \tau} \\ &= \sum_{n \in \mathbb{Z}} h(n) \\ &= \sum_{n \in \mathbb{Z}} \widehat{h}(n) \\ &= \sum_{n \in \mathbb{Z}} t^{-1/2} g(t^{-1/2}n) \\ &= t^{-1/2} \Theta(i/t). \end{aligned}$$

□

## 9 Modular Forms

The notion of modularity can be set in quite a general context, but for now we consider functions defined on the upper half plane

$$\mathfrak{h} = \{\tau \in \mathbb{C} \mid \operatorname{Im}(\tau) > 0\}.$$

We denote by  $SL_2(\mathbb{R})$  the group of  $2 \times 2$  real matrices  $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$  with determinant 1. This group acts on  $\mathfrak{h}$  via **Möbius transformations**: if  $\tau \in \mathfrak{h}$ , then  $\gamma(\tau)$  is defined as  $(a\tau + b)/(c\tau + d)$ . Observe that  $\gamma$  and  $-\gamma$  gives the same action, thus it is more natural to consider the group  $PSL_2(\mathbb{R})$ .

**Exercise 1.** . Check that  $\operatorname{Im}(\gamma(\tau)) = \operatorname{Im}(\gamma(\tau))/|c\tau + d|^2$ . **Solution**

The functional equations defining modularity are of the type  $f(\gamma(\tau)) = f(\tau)$ . We will see below that it is essential to consider more general functional equations  $f(\gamma(\tau)) = \nu(\gamma, \tau)f(\tau)$  for some **simple** and fixed function  $\nu$  of  $\gamma$  and  $\tau$ .

Modularity means the existence of a functional equation of the type  $f(\gamma(\tau)) = \nu(\gamma, \tau)f(\tau)$ . From the law  $\gamma_1(\gamma_2(\tau)) = (\gamma_1\gamma_2)(\tau)$ , we see that

$$\nu(\gamma_1\gamma_2, \tau)f(\tau) = f((\gamma_1\gamma_2)(\tau)) = f(\gamma_1(\gamma_2(\tau))) = \nu(\gamma_1, \gamma_2(\tau))\nu(\gamma_2, \tau)f(\tau)$$

implies the *cocycle condition*  $\nu(\gamma_1\gamma_2, \tau) = \nu(\gamma_1, \gamma_2(\tau))\nu(\gamma_2, \tau)$ . If we want  $\nu$  to be independent of  $\tau$ , then this reduces to  $\nu(\gamma_1\gamma_2) = \nu(\gamma_1)\nu(\gamma_2)$ ; in other words,  $\nu$  must be a character of  $G$ .

We note that by the differentiation rule for composition of functions we have

$$(d/d\tau)(\gamma_1(\gamma_2(\tau))) = ((d/d\tau)\gamma_1)(\gamma_2(\tau))(d/d\tau)\gamma_2(\tau),$$

so the function  $\nu(\gamma, \tau) = (d/d\tau)\gamma(\tau)$  satisfies the cocycle condition. If  $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix}$ , we have  $(d/d\tau)\gamma(\tau) = \det(\gamma)/(c\tau + d)^2$ , which is therefore our basic building block for **automorphy factors**, as functions  $\nu$  satisfying the cocycle condition are called.

Observe that the cocycle condition is preserved under products or powers of functions. For instance, if  $\nu_1$  and  $\nu_2$  are two functions which satisfy the cocycle condition, then

$$\begin{aligned}(\nu_1\nu_2)(\gamma_1\gamma_2, \tau) &= \nu_1(\gamma_1\gamma_2, \tau)\nu_2(\gamma_1\gamma_2, \tau) \\ &= \nu_1(\gamma_1, \gamma_2(\tau))\nu_1(\gamma_2, \tau)\nu_2(\gamma_1, \gamma_2(\tau))\nu_2(\gamma_2, \tau) \\ &= \nu_1(\gamma_1, \gamma_2(\tau))\nu_2(\gamma_1, \gamma_2(\tau))\nu_1(\gamma_2, \tau)\nu_2(\gamma_2, \tau) \\ &= (\nu_1\nu_2)(\gamma_1, \gamma_2(\tau))(\nu_1\nu_2)(\gamma_2, \tau).\end{aligned}$$

Notice that we needed to use the fact that  $\nu(\gamma, \tau)$  is just a complex number so it belongs to an abelian group. Similarly for  $n \in \mathbb{Z}$ ,

$$\begin{aligned}(\nu^n)(\gamma_1\gamma_2, \tau) &= (\nu(\gamma_1\gamma_2, \tau))^n \\ &= \nu(\gamma_1, \gamma_2(\tau))^n\nu(\gamma_2, \tau)^n \\ &= (\nu^n)(\gamma_1, \gamma_2(\tau))(\nu^n)(\gamma_2, \tau).\end{aligned}$$

Again, this calculation depended on the fact that  $\mathbb{C}^\times$  is abelian. So the set of all functions  $\nu$  which satisfy the cocycle condition form an abelian group.

We have shown that  $\nu(\gamma, \tau) = (c\tau + d)^{-2}$  satisfies the cocycle condition.

$$e^{i\tau} = e^{i(r+it)} = e^{-t}e^{ir}$$

## Upper Half Plane

Let  $\mathfrak{h} = \{z \in \mathbb{C} \mid \text{Im}(z) > 0\}$  be the upper half-plane. Then  $\mathfrak{h}$  is a model of the hyperbolic plane when endowed with the metric

$$ds = \frac{1}{y} \sqrt{dx^2 + dy^2}.$$

The group  $\text{PSL}_2(\mathbb{R})$  acts on  $\mathfrak{h}$  by linear fractional transformations:

$$\begin{pmatrix} a & b \\ c & d \end{pmatrix} \cdot z = \frac{az + b}{cz + d}.$$

In fact  $\text{PSL}_2(\mathbb{R})$  is isomorphic to the group of all orientation-preserving isometries of  $\mathfrak{h}$ .

**Definition 9.1.** Throughout these notes, we will denote  $\Gamma = \text{SL}_2(\mathbb{Z})$  the subgroup of  $\text{SL}_2(\mathbb{R})$  consisting of matrices with integer coefficients and write  $\bar{\Gamma}$  for the full modular group,  $\text{PSL}_2(\mathbb{Z})$ . The groups that we will consider will always be finite index subgroups of  $\Gamma$ , which are evidently Fuchsian groups of the first kind.

**Definition 9.2.** Let  $f$  be a function from  $\mathfrak{h}$  to  $\mathbb{C}$ , let  $G \subset \text{SL}_2(\mathbb{R})$  be a cofinite Fuchsian group of the first kind, and let  $\nu$  be a homomorphism from  $G$  to the group of complex numbers of modulus 1. We say that  $f$  is **weakly modular** of weight  $k$  with multiplier system  $\chi$  if for all  $\gamma = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in G$  we have

$$f|_k \gamma(\tau) := j(\gamma, \tau)^{-k} f(\gamma\tau) = \chi(\gamma) f(\tau),$$

where  $j(\gamma, \tau) = c\tau + d$ , and we use  $M_k^\omega(G, \nu)$  to denote the space of all such functions. We will say that a weakly modular function  $f$  of nonzero weight  $k$  is

1. a **weakly holomorphic modular form** if  $f$  in addition is holomorphic in  $\mathfrak{h}$ ,
2. a **holomorphic modular form** if  $f$  extends holomorphically to the so-called **cusps** of  $G$  in  $\partial\mathfrak{h}$ ,
3. a **cusp form** if  $f$  also vanishes at the cusps of  $G$ .

The spaces of functions defined above are denoted by  $M_k^!(G, \nu)$ ,  $M_k(G, \nu)$ , and  $S_k(G, \nu)$  respectively. We will reserve the term **modular function** for weight 0. The reason for this convention is that the weight 0 functions correspond to functions on the quotient  $G \backslash \mathfrak{h}$  while nonzero weight functions correspond to **differential forms**. To be precise, if  $f$  is a holomorphic modular form of weight  $2k$  and trivial multiplier, then  $f(z)(dz)^k$  is invariant under  $G$ ; that is, it defines a holomorphic differential on  $G \backslash \mathfrak{h}$ . For instance,  $f$  being a modular form of weight  $2k$  means

$$f(\gamma\tau) = j(\gamma, \tau)^{2k} f(\tau)$$

for all  $\gamma \in G$  and  $\tau \in \mathfrak{h}$ . Also,

$$d(\gamma\tau)^k = \det(\gamma)^k j(\gamma, \tau)^{-2k} d\tau^k$$

So

$$f(\gamma\tau) d(\gamma\tau)^k = f(\tau) d\tau^k$$

**Example 9.1.** Here is an example of a homomorphism  $\chi : \text{SL}_2(\mathbb{Z}) \rightarrow \mathbb{C}^\times$  whose image is all the 12th roots of unity:

$$\chi \begin{pmatrix} a & b \\ c & d \end{pmatrix} = e^{\frac{2\pi i}{12}((1-c^2)(bd+3(c-1)d+c+3)+c(a+d-3))}.$$

The function  $\Delta(\tau) = e^{2\pi i \tau} \prod_{n \geq 1} (1 - e^{2\pi i n \tau})^{24}$  satisfies  $\Delta(\gamma\tau) = j(\gamma, \tau)^{12} \Delta(\tau)$  for all  $\gamma \in \text{SL}_2(\mathbb{Z})$  and its 12th root  $f(\tau) = e^{2\pi i \tau / 12} \prod_{n \geq 1} (1 - e^{2\pi i n \tau})^2$  satisfies  $f(\gamma\tau) = \chi(\gamma) j(\gamma, \tau) f(\tau)$  for all  $\gamma \in \text{SL}_2(\mathbb{Z})$ :  $\chi$  is a multiplying factor here.

There are two group actions we are considering.

$$(\gamma, \tau) \mapsto \gamma\tau \quad \text{and} \quad (\gamma, \tau) \mapsto j(\gamma, \tau)^k$$

The first one is obviously a group action. The second one is a group action because  $j(\gamma, \tau)$  satisfies the cocycle relation:

$$\begin{aligned}(\gamma_1\gamma_2, \tau) &\mapsto j(\gamma_1\gamma_2, \tau)^k \\ &= j(\gamma_1, \gamma_2(\tau))^k j(\gamma_2, \tau)^k\end{aligned}$$

Note that

$$\gamma\tau + 1 = (e_{12}\gamma)\tau$$

## Solutions

Exercise (1) Write  $\tau = r + is$ . Then

$$\begin{aligned}\gamma(\tau) &= \frac{a\tau + b}{c\tau + d} \\ &= \frac{a(r + it) + b}{c(r + it) + d} \\ &= \frac{(ar + b) + iat}{(cr + d) + ict} \\ &= \frac{(ar + b)(cr + d) + act^2 + i(at(cr + d) - ct(ar + b))}{(cr + d)^2 + (ct)^2}.\end{aligned}$$

Therefore

$$\begin{aligned}\operatorname{Im}(\gamma(\tau)) &= \frac{at(cr + d) - ct(ar + b)}{(cr + d)^2 + (ct)^2} \\ &= \frac{t(a(cr + d) - c(ar + b))}{|c\tau + d|^2} \\ &= \frac{t}{|c\tau + d|^2}.\end{aligned}$$