

(preliminary part of)

but I think it's the part  
cited the most often

# "Serre-Tate local moduli"

by Katz

§ 1 "general" Serre-Tate theorem:

deformation of abelian schemes



deformation of the associated  $p$ -divisible groups

§ 2 "Serre-Tate coordinates" of the formal moduli of the deformations of ordinary abelian varieties

Not going to happen  
for non-ordinary cases

§ 3 - § 6 Coordinates interacts nicely with

Kodaira-Spencer map,

Gauss-Manin conn. on  $H_{\mathrm{dR}}$  (formal moduli),  
crystal structure (restated in many ways)

# § 1 "General" Serre - Tate theorem

$R$ : Comm. ring

Def  $G: \text{CRing}_R \rightarrow \text{Ab}$  is an  $R$ -group if  
it is an fppf-sheaf, i.e.

$$\left[ \begin{array}{l} \forall \{R \rightarrow R_\alpha\} \text{ fppf cover} \\ G(R) \rightarrow \prod G(R_\alpha) \xrightarrow{\sim} \prod G(R_\alpha \otimes_R R_\beta) : \text{exact} \end{array} \right]$$

$\begin{cases} R \rightarrow \prod R_\alpha \\ \text{faithfully flat} \\ R_\alpha: \text{fin pres}/R \end{cases}$

→ abelian category

$$R\text{-Grp} = \text{Shv}_{\text{Ab}}^{\text{fpqc}}(\text{CRing}_R^{\text{op}})$$

Def  $G: R\text{-group scheme}$  if  $\exists X \in \text{Sch}_R$

$$(\text{CRing}_R \xrightarrow{G} \text{Ab} \rightarrow \text{Set}) \cong \text{Hom}_{\text{Sch}}(\text{Spec}(-), X)$$

•  $G: \text{abelian scheme}/\text{Spec } R$  if moreover

$X$ : smooth proper with geom. conn. fibers

•  $G: \text{finite flat } R\text{-group}$  if

$X$ : locally free of finite rank /  $R$

( $\Leftrightarrow$  finite flat (ofp))

•  $G$  :  $p$ -divisible group /  $R$  if  
(Barsotti - Tate group)

$$G[p^n] := \ker(G \xrightarrow{p^n} G)$$

- (1)  $G \xrightarrow{p} G$  : epi
- (2)  $\underset{n}{\operatorname{colim}} G[p^n] \xrightarrow{\sim} G$
- (3)  $G[p^n]$  : finite flat

$$G_n = G[p^n]$$

$\operatorname{Colim}$

equivalently :  $\{G_n, i_n : G_n \rightarrow G_{n+1}\}_{n \in \mathbb{N}}$

- (i)  $\exists h : \operatorname{Spec} R \rightarrow \mathbb{Z}_{\geq 1}$  locally const  
"height"
- $G_n$  : finite flat of rk  $p^{nh}$ ,
- (ii)  $0 \rightarrow G_n \rightarrow G_{n+1} \xrightarrow{p^n} G_{n+1}$  : exact

Def  $A\operatorname{Var}(R), BT(R) \subset R\text{-Gp}$  full subcat of  
abelian schemes /  $p$ -div groups

(  $\begin{matrix} \uparrow & \uparrow \\ \text{stable under base change} & \\ \rightsquigarrow \text{functorial in } R \end{matrix}$  )

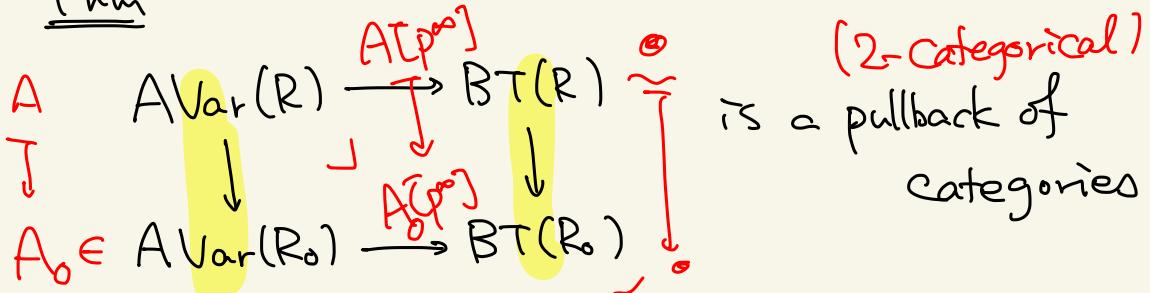
$$(-)[p^\infty] : A\operatorname{Var}(R) \longrightarrow BT(R)$$

$$A \xleftarrow{\psi} A[p^\infty] = \underset{\text{fin flat}}{\operatorname{colim}} A[p^n]$$

Setting  $R$ : ring  $\supseteq p$ : nilpotent.  $\xleftarrow{\text{"I: p-complete"}}$   $\xleftarrow{\text{"is enough"}}$

$I \triangleleft R$  nilpotent,  $R_0 = R/I$   
(say  $I^{n+1} = 0$ )

Thm



$$\left\{ \begin{array}{l} \text{i.e. } A\text{Var}(R) \xrightarrow{*} A\text{Var}(R_0) \times_{BT(R_0)} BT(R) \\ \Downarrow \qquad \Downarrow \\ A \longmapsto (A_0, A[p^\infty], A_0[p^\infty] \xrightarrow{\sim} A[p^\infty]_0) \\ \Downarrow \\ A_{R_0} \end{array} \right.$$

is an equivalence.

## §1.1 Preparation: $(N = p^n)$

$R: \mathbb{Z}/N\mathbb{Z} - \text{alg}, \quad N \geq 1$

$I \triangleleft R$  nilpotent,  $I^{v+1} = 0$ ,  $R_0 := R/I$ .

Def  $G_I \subset \widehat{G} \subset G$  subfunctors defined by

$$G_I(A) := \underset{\cap}{\text{Ker}}(G(A) \rightarrow G(A/IA))$$

$\downarrow I \text{ nilpotent}$

$$\widehat{G}(A) := \text{Ker}(G(A) \rightarrow G(A^{\text{red}}))$$

Remark  $\text{Spec } R_0 \rightarrow \text{Spec } R$

$$\rightsquigarrow \varphi: \text{CRing}_{R_0}^{\text{op}} \xrightleftharpoons[\substack{- \otimes R_0 \\ \perp}]{} \text{CRing}_R^{\text{op}} \xrightleftharpoons[\substack{\text{forget} \\ \perp}]{} \text{Shv}_{\text{Ab}}^{\text{fppf}}(\text{Spec } R) \quad \begin{array}{l} \text{"Conti map"} \\ \text{of fppf sites} \end{array}$$

$$R_0\text{-Grp} = \text{Shv}_{\text{Ab}}^{\text{fppf}}(\text{Spec } R_0) \xrightleftharpoons[\substack{\perp \\ \varphi_* \\ \varphi_*}]{} \text{Shv}_{\text{Ab}}^{\text{fppf}}(\text{Spec } R) = R\text{-Grp}$$

unit is  $\eta_G: G \rightarrow \varphi_* \varphi^{-1} G : A \mapsto G(A/IA)$

$$\text{so } G_I = \ker \eta_G$$

Lemma  $G$  : (commutative) formal group /  $R$   
 $\Rightarrow N^\nu$  kills  $G_I$

proof choose coordinates Smooth Connected  
 $G \cong \text{Spf } R[[x_1, \dots, x_n]]$

group str:  $R[[x_1, \dots, x_n]] \rightarrow R[[x_1, \dots, x_n]] \hat{\otimes} R[[x_1, \dots, x_n]]$   
 $x_i \mapsto f_i(\vec{x}, \vec{y})$

$$\rightsquigarrow \begin{cases} \vec{f}(\vec{f}(\vec{x}, \vec{y}), \vec{z}) = \vec{f}(\vec{x}, \vec{f}(\vec{y}, \vec{z})) \\ \vec{f}(\vec{x}, 0) = \vec{x} = \vec{f}(0, \vec{x}) \\ \vec{f}(\vec{x}, \vec{y}) = \vec{f}(\vec{y}, \vec{x}) \end{cases}$$

$$\rightsquigarrow \vec{f}(\vec{x}, \vec{y}) = \vec{x} + \vec{y} + (\deg \geq 2)$$

$$[N]\vec{x} := \vec{f}(\vec{x}, \dots, \vec{x}) = N \vec{x} + \underset{\substack{\deg \geq 2 \\ \text{of } x_1, \dots, x_n}}{\cancel{+}} \quad N=0 \in R$$

$$[N^\nu]\vec{x} = (\deg \geq 2^\nu)$$

WTS:  $N^\nu = 0$  on  $G_I(A)$ ,  $\forall A \in \text{CRing}_R$

$$G_I(A) = \left\{ f \mid R[[\vec{x}]] \xrightarrow{f} A \xrightarrow{\text{cont}} A/A \right\}$$

$\searrow 0$

$$f(x_i) \in IA \quad \underbrace{\text{deg} \geq 2^v \geq v+1}$$

$$\leadsto N^v f(x_i) = f([N^v] x_i) \in I^{v+1} A = 0 \quad \square$$

$$\tilde{f}(\sum x^{\text{deg} \geq 2^v}) = \sum \underbrace{f(x)}_{\in IA}^{\text{deg} \geq 2^v}$$

Cor  $G \in R\text{-Grp}$  s.t.  $\hat{G}$ : fppf locally covered by formal groups  
 $\Rightarrow N^v$  kills  $G_I$

i.e.  $\left\{ \begin{array}{l} \exists \{R \rightarrow R_\alpha\} \text{ fppf cover,} \\ CRing_R \xrightarrow{\hat{G}} Ab \\ CRing_{R_\alpha} \xrightarrow{\hat{G}_\alpha} \text{formal group} \end{array} \right.$

Proof

- $(G_I)_I \subset (\hat{G})_I \subset G_I \rightsquigarrow (\hat{G})_I = G_I$
- $G_I(A/IA) = \ker(G(A/IA) \xrightarrow{\cong} G((A/IA)/(J \cdot A/IA)))$   
 $\stackrel{\text{is zero}}{\rightsquigarrow} 0$
- $\hat{G}_I$  is covered by  $(\hat{G}_\alpha)_I$  : killed by  $N^v$ .  
 $\rightsquigarrow \hat{G}_I$  : killed by  $N^v$  (by the sheaf property)

$\square$

Lemma A Let  $G, H \in R\text{-Grp}$ , suppose

- (a)  $G$  is  $N$ -divisible (i.e.,  $G \xrightarrow{N} G$  epi)
- (b)  $\hat{H}$  is fppf-covered by formal groups
- (c)  $H$  is formally smooth  
(i.e.,  $J \subset A$  nilpotent  $\Rightarrow H(A) \rightarrow H(A/J)$ )

Recall  $\varphi : R \rightarrow R/I = R_0$  "reduction mod I"  
 $\rightsquigarrow R_0\text{-Grp} \begin{array}{c} \xleftarrow{\varphi^{-1}} \\ \perp \\ \xrightarrow{\varphi_*} \end{array} R\text{-Grp}$   $\begin{cases} \varphi^{-1} : \text{res to } CAlg_{R_0} \\ \varphi_* G_0 = G_0(- \otimes R_0) \end{cases}$

Then (Set  $G_0 = \varphi^{-1}G$ ,  $H_0 = \varphi^{-1}H$ )

(1)  $\text{Hom}_{R\text{-Grp}}(G, H)$ ,  $\text{Hom}_{R_0\text{-Grp}}(G_0, H_0)$   
 $\varphi_{G,H}^{-1}$  have no  $N$ -torsion

(2)  $\text{Hom}_{R\text{-Grp}}(G, H) \xrightarrow{\theta} \text{Hom}_{R_0\text{-Grp}}(G_0, H_0)$  : injective

(3)  $\forall f_0 : G_0 \rightarrow H_0 \exists ! g : G \rightarrow H$  s.t.  $\theta(g) = N^\nu f_0$

(4)  $f_0 \in \text{Im } \theta \iff g|_{G[N^\nu]} = 0$   
 $\uparrow$   
 in (3)



Proof (1)  $\varphi^{-1}$  preserves colim  $\Rightarrow$  preserves epimorphisms

$\rightsquigarrow N: G_0 \rightarrow G_0$  epi by (a)

$\rightsquigarrow N \hookrightarrow \text{Hom}(G, H), \text{Hom}(G_0, H_0)$   
: mono.

(2)  $\text{Hom}(G, H) \xrightarrow{\theta} \text{Hom}(\varphi^* G, \varphi^* H)$

$$\begin{array}{ccc} & & \parallel S \\ & \searrow & \\ \gamma_H & \rightarrow & \text{Hom}(G, \varphi_* \varphi^* H) \end{array}$$

$$\ker \theta \cong \text{Hom}(G, \ker \gamma_H) \hookrightarrow N^\vee = 0$$

$\parallel$   
 $H_I$

by Lem  
&  
mono  
by (a) (b)

so  $\ker \theta = 0$ .

(3) Uniqueness: by (2)

explicitly construct g

by (c)

$$0 \rightarrow H_I(A) \rightarrow H(A) \rightarrow H(A/I_A) \rightarrow 0$$

$$0 \rightarrow H_I \rightarrow H \rightarrow \varphi_* \varphi^* H \rightarrow 0$$

$$\begin{array}{ccccc} & & & & \\ & \searrow & \downarrow N^\vee & \nearrow & \\ 0 & \rightarrow & H & \rightarrow & \varphi_* \varphi^* H \\ \text{by (b)} & & \text{by } \gamma_H & & \exists ! s \end{array}$$

Define

$$\begin{array}{ccccc}
 G & \xrightarrow{g} & H & & \\
 \eta_G \downarrow & \curvearrowright & \uparrow s & \nearrow \eta_H & \\
 \varphi_* \varphi^{-1} G & \xrightarrow{\varphi_* f_0} & \varphi_* \varphi^{-1} H & \xrightarrow{N^\nu} & \varphi_* \varphi^{-1} H \\
 G_0 & & H_0 & &
 \end{array}$$

$$\begin{array}{c}
 \left. \begin{array}{c} \eta_H \\ \curvearrowright \\ s \end{array} \right\} \xrightarrow{n} \left. \begin{array}{c} \eta_H \\ \curvearrowright \\ n \end{array} \right\} \xrightarrow{n} \eta_H
 \end{array}$$

then

$$\begin{array}{ccc}
 \varphi^{-1} G & \xrightarrow{\varphi^{-1} g} & \varphi^{-1} H \\
 \downarrow \varphi^{-1} \eta_G & \curvearrowright & \downarrow \varphi^{-1} \eta_H \\
 \varphi^{-1} \varphi_* \varphi^{-1} G & \xrightarrow{\varphi^{-1} \varphi_* N^\nu f_0} & \varphi^{-1} \varphi_* \varphi^{-1} H \\
 \Sigma_{\varphi^{-1} G} \downarrow & \curvearrowright & \downarrow \Sigma_{\varphi^{-1} H} \\
 \varphi^{-1} G & \xrightarrow{N^\nu f_0} & \varphi^{-1} H
 \end{array}$$

$$so \quad \theta(g) = N^\nu f_0.$$

$$(4) \theta: \text{inj} \rightsquigarrow \theta(f) = f_0 \iff N^\nu f = g$$

$$0 \rightarrow G[N^\nu] \rightarrow G \xrightarrow{N^\nu} G \rightarrow 0$$

$$\begin{array}{ccc}
 0 & \xrightarrow{g} & H \\
 \searrow & \swarrow f & \\
 & \exists f & \iff g|_{G[N^\nu]} = 0
 \end{array}$$

□

## §1.2 Proof of the theorem

$$N = P^h$$

Step 1 show  $\star$  is fully faithful, i.e.

$$f = g|_{P^\infty} \forall A, B \in \text{AVar}(R)$$

$$\begin{array}{ccc} \text{Hom}_{\text{AVar}(R)}(A, B) & \xrightarrow{\quad} & \text{Hom}_{BT(R)}(A[\rho^\infty], B[\rho^\infty]) \\ \downarrow \theta_1 & & \downarrow \theta_2 \\ \text{Hom}_{\text{AVar}(R)}(A_0, B_0) & \xrightarrow{\quad} & \text{Hom}_{BT(R)}(A_0[\rho^\infty], B_0[\rho^\infty]) \end{array}$$

$\xrightarrow{\quad}$

↑  $\xrightarrow{\quad}$

$\xrightarrow{\quad}$

algebraic &  $p$ -divgps satisfy (a) - (c)

of Lemma A

$\rightarrow \theta_1, \theta_2$  : injective.

$$\text{WTS } \forall f_0: A_0 \rightarrow B_0$$

$$\boxed{f_0[\rho^\infty] \in \text{Im } \theta_2 \Rightarrow f_0 \in \text{Im } \theta_1}$$

$$\exists! g: A \rightarrow B \text{ s.t. } g = P^{hv} f_0.$$

$$\text{Need } g|_{A[\rho^{hv}]} = 0.$$

$$\text{but } g[\rho^\infty]: A[\rho^\infty] \rightarrow B[\rho^\infty] \text{ lifts } P^{hv} \underline{f_0[\rho^\infty]} \in \text{Im } \theta_2$$

$$\Rightarrow g|_{A[\rho^{hv}]} = g[\rho^\infty]|_{A[\rho^{hv}]} = 0$$

□

## Step 2 essential surjectivity

$$\begin{array}{ccc}
 A\text{Var}(R) & \rightarrow & BT(R) \xrightarrow{\exists} G \\
 \downarrow B & & \downarrow \\
 A\text{Var}(R_0) & \rightarrow & BT(R_0) \xrightarrow{\exists} G_0 \\
 \downarrow A_0 & \xrightarrow{\exists} & A_0[p^\infty] \xrightarrow{\exists} \mathbb{Z}
 \end{array}$$

Fact  $A\text{Var}(R) \rightarrow A\text{Var}(R_0)$ : ess. surj.

Idea • lifting of the underlying scheme

exists by smoothness.  $f: A \rightarrow \text{Spec } R_0$   
 $(\text{obstruction} \in \text{Ext}^2(L_{A/R_0}, f^* I) = 0)$

• Prove: abelian group str. lifts uniquely  
 by deforming the graph of the  
 structure maps

$$\begin{array}{ccc}
 \rightsquigarrow & \exists B & \\
 & \downarrow & \\
 B_0 & \xrightarrow{\sim} & A_0 \quad \hookrightarrow B_0[p^\infty] \xrightarrow{\sim} A_0[p^\infty] \\
 & \alpha_0 & \alpha_0
 \end{array}$$

$$\begin{array}{ccccc}
 & & B[p^\infty] & & \\
 & \xrightarrow{g} & & \xleftarrow{h} & \\
 BT(R) & \downarrow & G \supseteq P^{2n\nu} & & \\
 & P^{2n\nu} \hookrightarrow & & & \\
 & & B_\circ[p^\infty] & \xrightarrow{\quad} & G_\circ \\
 & & \uparrow & \xleftarrow{P^{n\nu}\alpha_\circ^{-1}} & \uparrow \\
 BT(R_\circ) & & P^{2n\nu} & & P^{2n\nu}
 \end{array}$$

↑ unique lift

$\rightsquigarrow g, h : \text{isogeny}$

Consider

$$\begin{array}{ccccccc}
 0 \rightarrow & k = \ker g \rightarrow & B[p^\infty] & \xrightarrow{g} & G & \rightarrow & 0 \\
 & \downarrow & \parallel & & \downarrow h & & \\
 0 \rightarrow & B[p^{2n\nu}] \rightarrow & B[p^\infty] & \xrightarrow{P^{2n\nu}} & B[p^\infty] & \rightarrow & 0
 \end{array}$$

$g$ : flat by "fiberwise criterion"

$$\begin{array}{ccc}
 B[p^\infty] \rightarrow G & & B[p^\infty]_s \rightarrow G_s \\
 \text{flat} \swarrow \quad \downarrow \text{Spec } R & & \downarrow \text{fiber} \quad \searrow \{s\} \\
 \text{finitely generated?} & & \\
 \text{(ofp?)} & & \\
 & \curvearrowright B_\circ[p^\infty] \rightarrow G_\circ & \\
 & \downarrow & \\
 & \text{Spec } R_\circ &
 \end{array}$$

$\rightsquigarrow K \hookrightarrow B[p^{2uv}]$  finite flat subgroup

$$A = B/K \in \text{AVar}(R)$$

Then

AVar

BT

$$\begin{array}{ccc}
 R & \begin{array}{c} K \rightarrow B \rightarrow A \\ \downarrow \\ B_0[p^{uv}] \rightarrow B_0 \rightarrow A_0 \otimes_{\mathbb{Z}} R_0 \\ \downarrow \\ B_0/B_0[p^{uv}] \xrightarrow[p^{uv}]{} B_0 \xrightarrow{\sim} A_0 \end{array} & \begin{array}{c} K \rightarrow B[p^\infty] \rightarrow A[p^\infty] \\ \downarrow g \sim \\ B_0[N^v] \rightarrow B_0[p^\infty] \rightarrow A_0[p^\infty] \\ \downarrow p^{uv}, \alpha_0[p^\infty] \\ G_0 \end{array} \\
 R_0 & & 
 \end{array}$$

↑ Compatible

i.e.  $A$  lifts  $(A_0, G_0, \alpha: A_0[p^\infty] \rightarrow G_0)$



## § 2 Serre-Tate Coordinates for deformations of ordinary abelian varieties

### Notations

char

- $A \in \text{AVar}(k)$ ,  $k$ : field,  $g = \dim A$   
(Cartier)
- $(-)^t$ : the dual of ab sch / fin flat gp /  $p$ -div gp
- $T_p A(k) := \varprojlim_n A(k)[p^n]$  : the Tate module  
(a  $\mathbb{Z}_p$ -module)
- $k$ : field  $\rightsquigarrow \text{Art}_k$ : the cat of augmented  
 $(R, \mathfrak{m})$  artin local  $k$ -alg
- $\widehat{\mathcal{M}}_{A/k} : \text{Art}_k \longrightarrow \text{Cat} \xrightarrow{\pi_0} \text{Set}$   
 $R \longmapsto \begin{matrix} \{A\} \times \\ \text{AVar}(R) \\ \text{AVar}(k) \end{matrix}$ 
  - “the formal moduli space”
  - known to be prorepresentable by  $\text{Spf } R$ ,
  - $R \simeq W(k)[[t_{ij} \mid 1 \leq i, j \leq g]]$

Thm Setting:  $k$ : alg closed field  $\supset \mathbb{F}_p$

$A, B \in \text{AVar}(k)$  ordinary

(1)  $\exists$  natural isom

$$\widehat{\mathcal{M}}_{A/k}(R) \xrightarrow{\cong} \text{Hom}_{\mathbb{Z}_p}(T_p A(k) \otimes T_p A^t(k), \widehat{\mathbb{G}}_m(R))$$

$$A/R \mapsto g(A/R; -, -)$$

of functors  $\text{Art}_k \rightarrow \text{Set}$

(2) Compatible with the duality:

$$\widehat{\mathcal{M}}_{A/k}(R) \xrightarrow{\cong} \text{Hom}_{\mathbb{Z}_p}(T_p A(k) \otimes T_p A^t(k), \widehat{\mathbb{G}}_m(R))$$

$$(-)^t \downarrow \quad \text{C} \quad \downarrow \cong$$

$$\widehat{\mathcal{M}}_{A^t/k}(R) \xrightarrow{\cong} \text{Hom}_{\mathbb{Z}_p}(T_p A^t(k) \otimes T_p A^{tt}(k), \widehat{\mathbb{G}}_m(R))$$

(3)  $A, B$ : lifts of  $A, B$ , then  $A \xrightarrow{f} B$  lifts to  $\exists A \xrightarrow{f} B$

iff

$$\begin{array}{ccc} \text{id} \otimes f^t & \xrightarrow{\quad} & T_p A(k) \otimes T_p A^t(k) \xrightarrow{g(A/R; -, -)} \widehat{\mathbb{G}}_m(R) \\ & \text{C} & \\ T_p A(k) \otimes T_p B^t(k) & & \xrightarrow{\quad} \\ f \otimes \text{id} & \xrightarrow{\quad} & T_p B(k) \otimes T_p B^t(k) \xrightarrow{g(B/R; -, -)} \end{array}$$

# Some definitions & preliminaries (R: artin local)

- $X$ : fin flat R-group scheme is

- étale if  $X \rightarrow \text{Spec } R$  : étale

dual ↗

- of multiplicative type if étale-locally (on  $\text{Spec } R$ )

(isomorphic to  $\exists \bigoplus_i \mu_n$ :

- $X$ : p-divisible group /  $R$  is

- étale if  $X[p^n]$ : étale  $\forall n$

$$0 \rightarrow X_{\text{conn}} \rightarrow X \rightarrow X_{\text{ét}} \rightarrow 0$$

Connected - étale seq ← canonically splits  
if  $R$ : perfect field

Connected ↑    ↑  
component of the unit    maximal étale quotient

- connected if  $X_{\text{ét}} = 0$

- toric (toroidal) if  $X[p^n]$ : multiplicative type  
 $\Leftrightarrow X^t$ : étale

$$0 \rightarrow X_{\text{conn}}^t \rightarrow X^t \rightarrow X_{\text{ét}}^t \rightarrow 0$$

dual ↗  $0 \rightarrow (\tilde{X}_{\text{ét}}^t)^+ \rightarrow X \rightarrow (\tilde{X}_{\text{conn}}^t)^+ \rightarrow 0$

$= X_{\text{tor}}$

$$X_{\text{tor}} \hookrightarrow X_{\text{conn}}.$$

these are representable by formal groups / R

- ordinary if  $X_{\text{tor}} \xrightarrow{\cong} X_{\text{conn}}$ , i.e.

$$0 \rightarrow X_{\text{tor}} \rightarrow X \rightarrow X_{\text{et}} \rightarrow 0$$

- A: abelian variety

$\hookrightarrow A[p^\infty]_{\text{conn}} \cong \widehat{A}$  : the formal completion  
along the zero section  
 $\text{Spec } R \rightarrow A$

$$\left( \begin{array}{l} \widehat{A}(R) = \ker(A(R) \rightarrow A(R^{\text{red}})) \text{ for } \\ R: \text{artinian local} \end{array} \right)$$

- A is ordinary if  $A[p^\infty]$  is ordinary

$$\Leftrightarrow A[p^n] \cong (\mathbb{Z}/p^n\mathbb{Z})^g$$

$$\Leftrightarrow T_p A(k) \cong \mathbb{Z}_p^g$$

typical examples

fin flat X

		X / unip	mult
X / $X^t$	Conn	$\mathcal{E}t$	
Conn	$\alpha_p$	$\mu_{p^n}$	$\mu_{p^\infty}$
$\mathcal{E}t$	$\mathbb{Z}/p^n\mathbb{Z}$ "	$\mathbb{Z}/\ell$	$\mu_\ell$
	$\frac{1}{p^n}\mathbb{Z}/\mathbb{Z}$		dual
			$\underline{\Omega_p/\mathbb{Z}_p}$

$$\alpha_p = \ker(F_r : G_a \rightarrow G_a)$$

# Construction / Proof of (1)

$$A \in \prod_{\substack{\{A\} \times A\text{Var}(R) \\ A\text{Var}(k)}} \quad \downarrow \quad \cong \downarrow \text{ by } \S 1$$

$$A[p^\infty] \in \prod_{\substack{\{A[p^\infty]\} \times BT(R) \\ BT(k)}} \quad \downarrow \quad \cong \downarrow$$

$$\begin{array}{ccccc} 0 \rightarrow [Tor] \rightarrow A[p^\infty] \rightarrow [\oplus] \rightarrow 0 & \cong & ① & & \\ \uparrow & \nwarrow & \uparrow & & \\ \boxed{Tor} & \longrightarrow A[p^\infty] & \longrightarrow \boxed{\oplus} & & \boxed{Tor} \\ & & \uparrow & & \\ \Psi_A \uparrow & \longleftarrow \uparrow & & \cong & \uparrow \quad \cong \quad ② \\ T_p A(k) \rightarrow T_p A(k) \otimes \mathbb{Q}_p & & \text{Hom}_{R\text{-Grp}}^1(T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p, \text{Hom}_{\mathbb{Z}_p}(T_p A^t(k), \widehat{\mathbb{G}}_m)) & & \boxed{\oplus} \\ \Psi_{A/R} \leftarrow & & & & \boxed{Tor} \\ & & & & \cong \downarrow \\ & & & & R\text{-points \& tensor-hom} \end{array}$$

$$\text{Hom}_{\mathbb{Z}_p}(T_p A(k) \otimes T_p A^t(k), \widehat{\mathbb{G}}_m(R))$$

① Classifying the lift  $A[p^\infty]_R$  of  $A[p^\infty]_k$

$n \gg 0$  so that  $p^n$  kills  $\hat{A}$

$$\begin{array}{ccccccc} \rightsquigarrow & 0 & \longrightarrow & \hat{A} & \longrightarrow & A[p^n] & \longrightarrow A(k)[p^n] \\ & & & \downarrow & & \downarrow & \downarrow \\ & 0 & \longrightarrow & \hat{A} & \longrightarrow & A & \longrightarrow A(k) \longrightarrow 0 \\ & & & \downarrow \text{id} & & \downarrow p^n & \downarrow \\ & 0 & \longrightarrow & \hat{A} & \longrightarrow & A & \longrightarrow A(k) \longrightarrow 0 \\ & & & \downarrow & & & \\ & & & \hat{A} & & & \end{array}$$

vary  $n$

$$\begin{array}{ccccccc} \rightsquigarrow & 0 & \longrightarrow & \hat{A} & \longrightarrow & A[p^n] & \longrightarrow A(k)[p^n] \longrightarrow \hat{A} \\ & & & \downarrow \text{id} & & \downarrow & \downarrow \\ & 0 & \longrightarrow & \hat{A} & \longrightarrow & A[p^{n+1}] & \longrightarrow A(k)[p^{n+1}] \longrightarrow \hat{A} \\ & & & & & \downarrow & \downarrow \\ & & & & & \left. \begin{array}{c} \text{colim} \end{array} \right\} & \end{array}$$

$$0 \longrightarrow \hat{A} \longrightarrow A[p^\infty] \longrightarrow T_p A(k) \otimes \mathbb{Q}/\mathbb{Z}_p \longrightarrow 0$$

this reduces to the (canonically split) conn-ét seq /  $k$  :

$$0 \longrightarrow \hat{A} \longrightarrow A[p^\infty] \longrightarrow T_p A(k) \otimes \mathbb{Q}/\mathbb{Z}_p \longrightarrow 0$$

$$A: \text{ordinary} \iff \hat{A} \simeq ((A[p^\infty])^t_{et})^t$$

$$\xrightarrow{\sim} \begin{cases} \widehat{A}[p^n] \xrightarrow{\sim} \text{Hom}_{\mathbb{Z}_p}(A^t(k)[p^n], M_{p^n}) \\ \widehat{A} \xrightarrow{\sim} \text{Hom}_{\mathbb{Z}_p}(T_p A^t(k), \widehat{G}_n) \end{cases}$$

Conti ↗ ↖

Did I use  
any closed  
?

Note:  $\widehat{\mathbb{G}}_m(R) \cong 1+m \cong \mu_{\text{pd}}(R)$

f.f. groups of multiplicative type / toroidal p-div GPS /  
 lifts uniquely to R

(Probably b/c taking the dual, by  $\check{E}_{t_K} \simeq \check{E}_{t_R}$  ?)

$$\rightsquigarrow \begin{cases} \widehat{A}(p^n) \xrightarrow{\sim} \text{Hom}_{\mathbb{Z}_p}(A^t(k)[p^n], \mu_{p^n}) \\ \widehat{A} \xrightarrow{\sim} \text{Hom}_{\mathbb{Z}_p}(T_p A^t(k), \widehat{\mathbb{G}}_m) \end{cases}$$

$$\sim \rightarrow 0 \rightarrow \hat{A} \rightarrow A[\mathbb{P}^\infty] \rightarrow T_p A(k) \otimes \mathbb{Q}_{\ell}/\mathbb{Z}_{\ell} \rightarrow 0$$

pre determined

$$\text{ned} \quad \begin{matrix} & \downarrow \\ 0 \rightarrow \hat{A} & \longrightarrow A[\rho^\infty] \rightarrow T_p A(k) \otimes \mathbb{Q}_p/\mathbb{Z}_p \rightarrow 0 \end{matrix}$$

foric

étale

classifying  $A(p^\infty)$   $\hookrightarrow$  classifying ext

2

In general

$$0 \rightarrow X \rightarrow Y \rightarrow Z \rightarrow 0 \quad \text{in } \mathcal{A} \text{ abelian}$$

( $X \rightarrow Y \rightarrow Z$  distinguished triangle in  $D(\mathcal{A})$ )

$$\rightsquigarrow \text{Hom}(Y, D) \xrightarrow{\text{@}} \text{Hom}(X, D) \xrightarrow{\text{b}} \text{Ext}^1(Z, D) \xrightarrow{\text{c}} \text{Ext}^1(Y, D)$$

- If  $\text{@}, \text{c} = 0$ , then  $\text{b}$  bijective

explicitly

$$\Omega Y \rightarrow \Omega Z \rightarrow X \rightarrow Y : \text{fiber seq.}$$

$$\text{Ext}^1(Z, D) \xrightarrow{\exists!} D \in \text{Hom}(X, D)$$

$$\begin{array}{ccccccc} \Omega Z & \rightarrow & X & \rightarrow & Y & \rightarrow & Z \\ \parallel & & \downarrow f & & \downarrow & & \parallel \\ \Omega Z & \xrightarrow{f} & D & \xrightarrow{\text{cofib}(f)} & \text{cofib}(f) & \rightarrow & Z \end{array}$$

Our case:  $\mathcal{A} = R\text{-Grp}$ 

$$0 \rightarrow T_p A(k) \xrightarrow{X} T_p A(k) \otimes \mathbb{Q}_p \xrightarrow{Y} T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p \xrightarrow{Z} 0$$

$$D = \text{Hom}_{\mathbb{Z}_p}(T_p A^f(k), \widehat{\mathbb{G}}_m) \simeq \widehat{A}$$

$$\bullet \text{Hom}_{R\text{-Grp}}(T_p A(k) \otimes \mathbb{Q}_p, \hat{A}) = 0 \Rightarrow \textcircled{a} = 0$$

mult. by  $p$  is  
surjective

formal group

→ killed by  $p$ -power

$$\bullet \text{Ext}_{R\text{-Grp}}^1(T_p A(k) \otimes \mathbb{Q}_p, \hat{A}) \rightarrow \text{Ext}_{R\text{-Grp}}^1(T_p A(k), \hat{A}) \text{ injective} \Rightarrow \textcircled{c} = 0$$

sketch  $T_p A(k) \cong \mathbb{Z}_p^{\oplus g}$ ,  $\hat{A} \cong \mu_{p^\infty}^{\oplus g}$  → enough to show

$$\text{Ext}_{R\text{-Grp}}^1(\mathbb{Q}_p, \mu_{p^\infty}) \rightarrow \text{Ext}_{R\text{-Grp}}^1(\mathbb{Z}_p, \mu_{p^\infty}) : \text{inj}$$

$\varprojlim \mathbb{Z}_p$

①

② pr

$$\varprojlim \text{Ext}_{R\text{-Grp}}^1(\mathbb{Z}_p, \mu_{p^\infty})$$

mult by  $p$

④ : inj

$$\pi_1 \varprojlim \text{Map}(\mathbb{Z}_p, \mu_{p^\infty}) \rightarrow \varprojlim \pi_1 \text{Map}(\mathbb{Z}_p, \mu_{p^\infty})$$

$$\text{Ker} = \varprojlim^2 \pi_0 \text{Map}(\mathbb{Z}_p, \mu_{p^\infty})$$

Mittag-Leffler condition ✓

② : inj

$$\text{follows from } H_{\text{et}}^1(\text{Spec } R, \mu_{p^\infty}) = 0$$

not sure how

$$\begin{array}{ccccccc} \mathbb{Z}_p & \xrightarrow{1} & \mathbb{Z}_p & \rightarrow & 0 \\ \parallel & & \downarrow p & & \downarrow \\ \mathbb{Z}_p & \xrightarrow{p} & \mathbb{Z}_p & \rightarrow & \mathbb{Z}/p \\ \parallel & & \downarrow p & & \downarrow \\ \mathbb{Z}_p & \xrightarrow{p^2} & \mathbb{Z}_p & \rightarrow & \mathbb{Z}/p^2 \\ \vdots & & \vdots & & \vdots \\ \mathbb{Z}_p & \rightarrow & \mathbb{Q}_p & \rightarrow & \mathbb{Q}_p/\mathbb{Z}_p \end{array}$$

$$\text{So } \mathcal{S}(\mathbb{T}_p A(k) \otimes_{\mathbb{Q}_p/\mathbb{Z}_p} \mathbb{A}[p^\infty]) \xrightarrow{\mathbb{A}[p^\infty]} \text{Hom}_{\mathbb{Z}_p}(\mathbb{T}_p A^t(k), \widehat{\mathbb{G}}_m)$$

↓

$\mathbb{T}_p A(k)$  - - - -  $\exists! \varphi_{A/R}$

[ -1 ]  $\xrightarrow{\sim}$

$$0 \rightarrow \mathbb{Z}_p \rightarrow \mathbb{Q}_p \rightarrow \mathbb{Q}_p/\mathbb{Z}_p \rightarrow 0 \quad ((1) \square)$$

$\oplus \mathbb{T}_p A(k)$

Remark

More explicitly,  $\varphi_{A/R}$  is given as follows:

take  $n \gg 0$  so that  $M^{n+1} = 0$

( $p \in M$ , so  $p^n$  kills  $\widehat{A}$ )

$$\begin{array}{ccccccc}
 & & & \mathbb{T}_p A(k) & & & \\
 & & & \downarrow & & & \\
 & & \widehat{A} & \longrightarrow & \mathbb{A}[p^n] & \longrightarrow & A(k)[p^n] \\
 & & \downarrow & & \downarrow & & \downarrow \\
 0 & \rightarrow & \widehat{A} & \longrightarrow & A & \longrightarrow & A(k) \rightarrow 0 \\
 & & \downarrow 0 & & \downarrow p^n & & \downarrow p^n \\
 0 & \rightarrow & \widehat{A} & \longrightarrow & A & \longrightarrow & A(k) \\
 & & \downarrow & & & & \\
 & & \widehat{A} & & & &
 \end{array}$$

Proof

$$\begin{array}{ccccccc}
 & & T_p A(k) & \longrightarrow & T_p A(k) \otimes \mathbb{Q}_p & \longrightarrow & T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p \\
 & \swarrow p^n & \downarrow & & \downarrow p^n & & \downarrow p^n \\
 T_p A(k) & \longrightarrow & T_p A(k) \otimes \mathbb{Q}_p & \longrightarrow & T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p & \longrightarrow & T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p \\
 & & \downarrow & & \downarrow & & \downarrow \\
 & & \hat{A} & \xrightarrow{\quad} & A[\mathfrak{p}^\infty] & \xrightarrow{\quad} & T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p \\
 & \downarrow \varphi' & \downarrow \hat{A} & & \downarrow \text{id} & & \downarrow \text{id} \\
 A(k)[\mathfrak{p}^n] & \xleftarrow{\quad} & \hat{A} & \xrightarrow{\quad} & A[\mathfrak{p}^\infty] & \xrightarrow{\quad} & A(k)[\mathfrak{p}^n]
 \end{array}$$

$$A(k)[\mathfrak{p}^n] \xleftarrow{\text{id}} A(k)[\mathfrak{p}^n]$$

$$\begin{array}{ccc}
 \varphi' \downarrow & & \downarrow \text{id} \\
 \hat{A} & \xleftarrow{\quad} & A(k)[\mathfrak{p}^n]
 \end{array}$$

i.e.,  $\varphi'$  = (the connecting hom)

# Proof of (3)

$$\begin{array}{ccccc}
 A & \xrightarrow{\quad f \quad} & B & & A[p^\infty] \xrightarrow{\quad f[p^\infty] \quad} B[p^\infty] \\
 \downarrow & & \downarrow & \xleftarrow{\text{Serre-Tate}} & \downarrow \\
 A & \xrightarrow{\quad f \quad} & B & & A[p^\infty] \xrightarrow{\quad f[p^\infty] \quad} B[p^\infty]
 \end{array}$$

by construction of (1),  $f[p^\infty]$  is a morphism filling

$$\begin{array}{ccc}
 \underset{\mathbb{Z}_p}{\text{Hom}}(T_p A^t(k), \hat{\mathbb{G}}_m) & \longrightarrow & A[p^\infty] \longrightarrow T_p A(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p \\
 \text{Hom}(f^t, \text{id}) \downarrow & \downarrow f[p^\infty] & \downarrow \text{fid} \\
 \underset{\mathbb{Z}_p}{\text{Hom}}(T_p B^t(k), \hat{\mathbb{G}}_m) & \longrightarrow & B[p^\infty] \longrightarrow T_p B(k) \otimes \mathbb{Q}_p / \mathbb{Z}_p
 \end{array}$$

pre-determined by the unique liftability  
of toroidal / étale groups to nilpotent thickening

rotating the triangle :

$$\begin{array}{ccc} \Omega(T_p A(k) \otimes \mathbb{Q}_p/\mathbb{Z}_p) & \xrightarrow{\quad \text{At}(p^\infty) \quad} & \mathrm{Hom}_{\mathbb{Z}_p}^-(T_p A^t(k), \hat{\mathbb{G}}_m) \rightarrow A[\rho^\infty] \\ \downarrow f \otimes \text{id} & & \downarrow \mathrm{Hom}(f^t, \text{id}) \\ \Omega(T_p B(k) \otimes \mathbb{Q}_p/\mathbb{Z}_p) & \xrightarrow{\quad \text{B}[p^\infty] \quad} & \mathrm{Hom}_{\mathbb{Z}_p}^-(T_p B^t(k), \hat{\mathbb{G}}_m) \rightarrow B[\rho^\infty] \end{array}$$

$\exists f[\rho^\infty] \iff$  left square commutes

$$\begin{array}{ccccc} & T_p A(k) & \xrightarrow{\exists! \varphi_{A/R}} & & \\ \nearrow & & & & \\ \Omega(T_p A(k) \otimes \mathbb{Q}_p/\mathbb{Z}_p) & \xrightarrow{\quad f \quad} & \mathrm{Hom}_{\mathbb{Z}_p}^-(T_p A^t(k), \hat{\mathbb{G}}_m) & \rightarrow & A[\rho^\infty] \\ \downarrow f \otimes \text{id} & & \downarrow \mathrm{Hom}(f^t, \text{id}) & & \downarrow f[\rho^\infty] \\ \Omega(T_p B(k) \otimes \mathbb{Q}_p/\mathbb{Z}_p) & \xrightarrow{\quad} & \mathrm{Hom}_{\mathbb{Z}_p}^-(T_p B^t(k), \hat{\mathbb{G}}_m) & \rightarrow & B[\rho^\infty] \\ & T_p B(k) & \xrightarrow{\exists! \varphi_{B/R}} & & \end{array}$$

$\iff$  blue square commutes

$$\begin{array}{ccccc} \iff & f \otimes \text{id} & T_p A(k) \otimes T_p A^t(k) & \xrightarrow{g(A/R; -, -)} & \hat{\mathbb{G}}_m \\ & \swarrow & & & \uparrow \\ T_p A(k) \otimes T_p B^t(k) & \curvearrowright & & & \\ & \searrow & & & \\ & \text{id} \otimes f^t & T_p B(k) \otimes T_p B^t(k) & \xrightarrow{g(B/R; -, -)} & \end{array}$$

(2)

Proof of (2) is technical and unenlightening  
contrary to its formal appearance ---

### § 3

$$\widehat{M}_{A/k} : \text{Art}_k \longrightarrow \text{Set}$$

canonically an  
 $w(k)$ -alg  
 ↓

representable by a complete local alg  $(R, m)$

$$\widehat{M}_{A/k} \simeq \text{Spf } R \curvearrowright \underline{\text{formal } w(k)\text{-group}}$$

(e.g. by Schlessinger's representability thm.)

$$\left. \text{Since } \widehat{M}_{A/k} \xrightarrow{g} \text{Hom}_{\mathbb{Z}_p}(T_p A(k) \otimes T_p A^t(k), \widehat{\mathbb{G}}_m) \right\}$$

$$\begin{matrix} \text{is} \\ \widehat{\mathbb{G}}_m^{g^2} \end{matrix}$$

by picking  $\mathbb{Z}_p$ -basis  $\alpha_1, \dots, \alpha_g$  of  $T_p A$   
 $\beta_1, \dots, \beta_g$  of  $T_p A^t$

and setting

$$T_{ij} = g(\alpha_i, \alpha_j) - 1 \in R$$

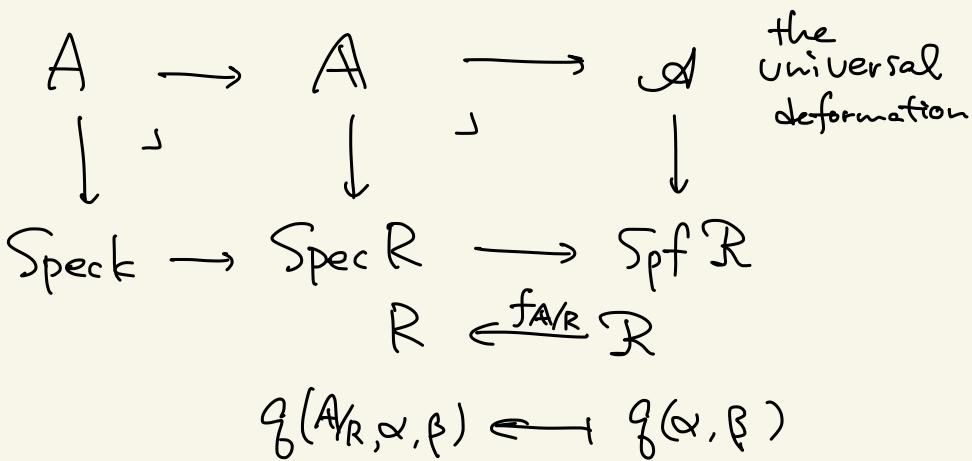
$$\leadsto w(k)[[T_{ij}]] \xrightarrow{\sim} R$$

passing to the limit

$$\widehat{M}_{A/k} \xrightarrow{\sim} \text{Hom}_{\mathbb{Z}_p}(T_p A(k) \otimes T_p A^t(k), \widehat{\mathbb{G}}_m)$$

---


$$g : T_p A(k) \otimes T_p A^t(k) \xrightarrow{\sim} \text{Hom}_{w(k)\text{-Grp}}(\widehat{M}, \widehat{\mathbb{G}}_m)$$



$$KS : \underline{\omega}_{A/R} \rightarrow \text{Lie}(A^t/R) \otimes_R \Omega_{R/W}^1$$

$$\xrightarrow{\text{init}} KS : \underline{\omega}_{A/R} \rightarrow \text{Lie}(A^t/R) \otimes_R \Omega_{R/W}^1 \quad \text{cont 1-forms}$$

## The main theorem

$$\begin{array}{ccc}
 (\alpha, \beta) \in T_p A^{tt}(k) \otimes T_p A(k) & \xrightarrow{g} & \text{Hom}_{R\text{-Grp}}(\hat{A}, \hat{\mathbb{G}}_m) \\
 \downarrow & \downarrow & \downarrow \text{dlog} \\
 (\omega(\alpha), \omega(\beta)) \in \underline{\omega}_{A^t/R} \otimes \underline{\omega}_{A/R} & \curvearrowright & \\
 \downarrow \text{id} \times KS & & \downarrow \\
 \underline{\omega}_{A^t/R} \otimes \text{Lie}(A^t/R) \otimes \Omega_{R/W}^1 & \xrightarrow{\text{pairing} \otimes \text{id}} & \Omega_{R/W}^1
 \end{array}$$

where  $\omega(\beta)$  is (the limit of)

$$\begin{array}{c}
 T_p A^t(k) \xrightarrow{\sim} \text{Hom}_{R\text{-Grp}}(\hat{A}, \hat{\mathbb{G}}_m) \\
 \downarrow \text{Lie} \\
 \text{Hom}_{R\text{-Grp}}(\text{Lie}(A/R), \mathbb{G}_a) \\
 \downarrow \parallel \\
 \underline{\omega}_{A/R}
 \end{array}$$

$\omega$

## Restatement (§4)

Hodge - de Rham

$$0 \rightarrow \underline{\omega}_{\mathcal{A}/R} \rightarrow H^1_{dR}(\mathcal{A}/R) \rightarrow \text{Lie}(\mathcal{A}^t/R) \rightarrow 0$$

Gauss - Manin connection

$$\nabla : H_{\mathcal{A}} \rightarrow H_{\mathcal{A}} \otimes \Omega^1_{R/w(k)}$$