Number Fields

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Book: Number Fields, Marcus

Course notes: www.dpmms.ac.uk/ jat58/nfl2018

0 Motivation

Theorem. If p is an odd prime, then $p = a^2 + b^2$ for $a, b \in \mathbb{Z} \iff p \equiv 1 \pmod 4$.

Proof. If $p = a^2 + b^2$, then $p \equiv 0, 1, 2 \pmod 4$. So this condition on p is necessary.
Suppose instead $p \equiv 1 \pmod 4$. Then $\left(\frac{-1}{p}\right) = 1$. Thus $\exists a \in \mathbb{Z}$ such that $a^2 \equiv -1 \pmod p$, or $p | a^2 + 1$. We can factor $a^2 + 1 = (a+i)(a-i)$ in the ring $\mathbb{Z}[i]$. Here we introduce a notation: if $R \subseteq S$ are rings and $\alpha \in S$, then

$$R[\alpha] = \{\sum_{i=0}^{n} a_i \alpha^i \in S | a_i \in R\}$$

, the smallest subring of S containing both R and α.

We know from IB GRM that $\mathbb{Z}[i]$ is a UFD. Now $p|(a+i)(a-i)$. If p is irreducible in $\mathbb{Z}[i]$ then $p|a+i$ or $p|a-i$, contradiction. Thus p is reducible in $\mathbb{Z}[i]$, hence $p = z_1 z_2$ with $z_1, z_2 \in \mathbb{Z}[i]$. If $z_1 = A + Bi$, $A, B \in \mathbb{Z}$, then $A^2 + B^2 = p$. $\square$

Another example is when p is an odd prime. Does the equation

$$x^p + y^p = z^p$$

have solutions with $x, y, z \in \mathbb{Z}$ and $xyz \neq 0$?

Theorem. (Kummer, 1850)
If $\mathbb{Z}[e^{2\pi i/p}]$ is a UFD, then there are no solutions.
Strategy: factor $x^p + y^p = \prod_{j=0}^{p-1}(x + e^{2\pi i j/p} y)$ in $\mathbb{Z}[e^{2\pi i/p}]$.

However, we now know $\mathbb{Z}[e^{2\pi i/p}]$ is a UFD $\iff p \leq 19$.

Theorem. (Kummer, 1850)
If p is a *regular* prime, then there are no solutions.
If $p < 100$, then p is regular $\iff p \neq 37, 59, 67$.

We have seen various examples such as $\mathbb{Z} \subseteq \mathbb{Q}$, $\mathbb{Z}[i] \subseteq \mathbb{Q}[i]$, $\mathbb{Z}[e^{2\pi i/p}] \subseteq \mathbb{Q}[e^{2\pi i/p}]$, or in general, $\mathcal{O}_L \subseteq L$, where a ring of "integers" lies in a number field.

1 Ring of integers

Recall: A field extension L/K is an inclusion $K \leq L$ of fields. The degree of L/K is $[L : K] = \dim_K L$. We say L/K is finite if $[L : K] < \infty$.

Definition. (1.1)
A number field is a finite extension $L/\mathbb{Q}$. Here are two ways to construct number fields:
(1) Let $\alpha \in \mathbb{C}$ be an algebraic number. Then $L = \mathbb{Q}(\alpha)$ is a number field;
(2) Let K be a number field, and let $f(X) \in K[X]$ be an irreducible polynomial. Then $L = K[X]/(f(X))$ is a number field.
(Recall Tower Law: $[L : Q] = [L : K][K : Q] < \infty$).

Definition. (1.2)
(1) Let L/K be a field extension. Then we say $\alpha \in L$ is algebraic over K if there exists a monic $f(X) \in K[X]$ such that $f(\alpha) = 0$;
(2) Let $L/\mathbb{Q}$ be a field extension. Then we say $\alpha \in L$ is an algebraic integer if there exists a monic $f(X) \in Z[X]$ such that $f(\alpha) = 0$.

Definition. (1.3)
Let L/K be a field extension, and let $\alpha \in L$ be algebraic over K. We call the minimal polynomial of α over K the monic polynomial $f_\alpha(X) \in K[X]$ of least degree such that $f_\alpha(\alpha) = 0$.

We recall why $f_\alpha(X)$ is well-defined: there exists some monic $f(X) \in K[X]$ with $f(\alpha) = 0$ as α is algebraic. If $f_\alpha(\alpha), f'_\alpha(\alpha) \in K[X]$ both satisfy the definition of minimal polynomial, then we apply the polynomial division algorithm to write

$$f_\alpha(X) = p(X)f'_\alpha(X) + r(X)$$

where $p(X), r(X) \in K[X]$, and $\deg r < \deg f'_\alpha$. Evaluate at $X = \alpha$, we have $0 = f_\alpha(\alpha) = p(\alpha)f'_\alpha(\alpha) + r(\alpha) = r(\alpha)$. By minimality of $\deg f'_\alpha$, we must have $r = 0$. Then $\deg f_\alpha = \deg f'_\alpha$, and $f_\alpha(X), f'(\alpha)$ are both monic, i.e. $p(X) = 1$ and $f_\alpha(X) = f'_\alpha(X)$.

Lemma. (1.4)
Let $L/\mathbb{Q}$ be a field extension, and let $\alpha \in L$ be an algebraic integer. Then:
(1) The minimal polynomial $f_\alpha(X)$ of α over $\mathbb{Q}$ lies in $\mathbb{Z}[X]$;
(2) If $g(X) \in \mathbb{Z}[X]$ satisfies $g(\alpha) = 0$, then there exists $q(X) \in \mathbb{Z}[X]$ such that $g(X) = f_\alpha(X)q(X)$;
(3) The kernel of the ring homomorphism $\mathbb{Z}[X] \to L$ by $f(X) \to f(\alpha)$ equals $(f_\alpha(X))$, the ideal generated by $f_\alpha(X)$.

Proof. (1) Recall that if $f(X) = a_n X^n + ... + a_0 \in \mathbb{Z}[X]$, then we define from GRM, the content $c(f) = \gcd(a_n, ..., a_0)$. Recall Gauss' Lemma: If $f(X), g(X) \in \mathbb{Z}[X]$, then $c(fg) = c(f)c(g)$. Since $\alpha \in L$ is an algebraic integer, there exists monic $f(X) \in \mathbb{Z}[X]$ such that $f(\alpha) = 0$, i.e. $c(f) = 1$. Apply polynomial division in $\mathbb{Q}[X]$ to get $f(X) = p(X)f_\alpha(X) + r(X)$, where $p(X), r(X) \in \mathbb{Q}[X]$, $\deg r < \deg f_\alpha$. The definition of $f_\alpha(X)$ implies that $r(X) = 0$, hence $f(X) = p(X)f_\alpha(X)$. Now choose integers $n, m \geq 1$ such that $np(X) \in \mathbb{Z}[X]$, $c(np) = 1$, and $mf_\alpha(X) \in$

$\mathbb{Z}[x]$, $c(mf_\alpha) = 1$. Then $nmf(x) = (np(x))(mf_\alpha(x)) \implies c(nmf(x)) = nm = 1$. So $n = m = 1$, hence $f_\alpha(x) \in \mathbb{Z}[X]$.
(2) Let $g(X) \in \mathbb{Z}[X]$ be such that $g(\alpha) = 0$. WLOG $g(x) \neq 0$ and $c(g) = 1$. Now apply polynomial division to write $g(x) = q(x)f_\alpha(x) + s(x)$ where $q(x), s(x) \in \mathbb{Q}[x]$, $\deg s < \deg f_\alpha$. Again by definition we have $s(x) = 0$. Choose an integer $k \geq 1$ such that $kq(x) \in Z[x]$ and $c(kq) = 1$. Then $kg(x) = kq(x)f_\alpha(x) \implies k = c(kg) = c(kq)c(f_\alpha) = 1$. So $k = 1$, hence $q(x) \in \mathbb{Z}[x]$.
(3) is a reformulation of (2). □

Let $L/\mathbb{Q}$ be a field extension. Last time we said $\alpha \in L$ is an algebraic integer if $\exists$ monic polynomial $f(x) \in \mathbb{Z}[x]$ such that $f(\alpha) = 0$. We proved that if $\alpha \in L$ is an algebraic integer and $f_\alpha(x) \in \mathbb{Q}[x]$ is the minimal polynomial of α over $\mathbb{Q}$, then $f_\alpha(x) \in \mathbb{Z}[x]$. However there is a small problem, so we'll prove again.

Proof. Choose $f(x) \in \mathbb{Z}[x]$ monic with $f(\alpha) = 0$, and write

$$f(x) = q(x)f_\alpha(x) + r(x)$$

where $q(x), r(x) \in \mathbb{Q}[x]$, $\deg r < \deg f_\alpha$. Then $r(\alpha) = 0 \implies r(x) = 0$, by minimality of $\deg f_\alpha$. I said that we can find integer $n, m \geq 1$ s.t. $nf\alpha(x) \in \mathbb{Z}[x]$, $c(nf\alpha) = 1$, $mq(x) \in \mathbb{Z}[x]$, $c(mq) = 1$. However we need to explain why do they exist. Note $f_\alpha(x)$ and $q(x)$ are both monic. Choose integers $N, M \geq 1$ such that $Nf_\alpha(x) \in \mathbb{Z}[x]$, $Mq(x) \in \mathbb{Z}[x]$. Then $c(Nf_\alpha)|N$, $c(Mq)|M$ as those are the leading term of the polynomial. Now let $N/c(Nf\alpha) = n \in \mathbb{Z}$, $M/c(Mq) = m \in \mathbb{Z}$. Now $nmf(x) = (nf\alpha(x))(mq(x))$, so $c(nmf(x)) = nm = 1 \implies n = m = 1$. □

Corollary. (1.5)
If $\alpha \in \mathbb{Q}$, then α is an algebraic integer $\iff \alpha \in \mathbb{Z}$.

Proof. By lemma 1.4, α is an algebraic integer $\iff f_\alpha(x) \in \mathbb{Z}[x]$. But if $\alpha \in \mathbb{Q}$, then $f_\alpha(x) = x - \alpha$, and the first needs to divide the second polynomial. □

Notation. If $L/\mathbb{Q}$ is any field extension, we write $\mathcal{O}_L = \{\alpha \in L | \alpha \text{ is an algebraic integer}\}$.

Now we proceed to the first non-trivial result of the course:

Proposition. (1.6)
If $L/\mathbb{Q}$ is a field extension, $\mathcal{O}_L$ is a ring.

Proof. Clearly $0, 1 \in \mathcal{O}_L$. Now if $\alpha \in \mathcal{O}_L$, then $f_{-\alpha}(x) = (-1)^{\deg f_\alpha} f_\alpha(-x) \implies -\alpha \in \mathcal{O}_L$.
The hard part is to show that if $\alpha, \beta \in \mathcal{O}_L$, then $\alpha + \beta \in \mathcal{O}_L$ and $\alpha\beta \in \mathcal{O}_L$.
Observe that if $\alpha \in \mathcal{O}_L$, then $\mathbb{Z}[\alpha] \subseteq L$ is a finitely generated $\mathbb{Z}$-module. By definition, $\mathbb{Z}[\alpha]$ is generated by $1, \alpha, \alpha^2, \alpha^3, ...$ Let $f_\alpha(x) = x^d + a_1 x^{d-1} + ... + ad$, $a_i \in \mathbb{Z}$. Then $\alpha^d = -(a_1\alpha^{d-1} + ... + ad)$, so $\alpha^d \in \sum_{i=0}^{d-1} \mathbb{Z}\alpha^i$. By induction, we see that $\alpha^n \in \sum_{i=0}^{d-1} \mathbb{Z}\alpha^i$ for all $n \geq d$. Hence $\mathbb{Z}[\alpha] = \sum_{i=0}^{d-1} \mathbb{Z}\alpha^i$. Now take $\alpha, \beta \in \mathcal{O}_L$ and let $d = \deg f_\alpha$, $e = \deg f_\beta$.

By definition, $\mathbb{Z}[\alpha,\beta]=\mathbb{Z}[\alpha][\beta]$ is generated as a $\mathbb{Z}$-module by $\{\alpha^i\beta^j\}_{i,j\in\mathbb{N}}$. The same argument show that in fact this ring is generated as a $\mathbb{Z}$-module by $\{\alpha^i\beta^j\}$ for $0\leq i\leq d-1, 0\leq j\leq e-1$. So $\mathbb{Z}[\alpha,\beta]$ is finitely generated. From GRM we know the classification of finitely generated $\mathbb{Z}$-modules implies that there's an isomorphism $\mathbb{Z}[\alpha,\beta]\cong\mathbb{Z}^r\oplus T$ for some $r\geq 1$ and finite abelian group T. In fact, $T=0$: if $\gamma\in T$, then $|T|\gamma=0$, by Lagrange's theorem. But $\mathbb{Z}[\alpha,\beta]\subseteq L$, a $\mathbb{Q}$-vector space, so this forces $\gamma=0$. Now we can therefore fix an isomorphism $\mathbb{Z}[\alpha,\beta]\cong\mathbb{Z}^r$ ($r\geq 1$. There's an endomorphism $m_{\alpha\beta}:\mathbb{Z}[\alpha,\beta]\to\mathbb{Z}[\alpha,\beta]$ by $\gamma\to\alpha\beta\gamma$ (as a $\mathbb{Z}$-module). $m_{\alpha\beta}$ corredponds to an $r\times r$ matrx $A_{\alpha\beta}\in M_{r\times r}(\mathbb{Z})$. Let $F_{\alpha\beta}(x)=\det(x\cdot 1_r-A_{\alpha\beta})\in\mathbb{Z}[x]$, a monic polynomial. By the Cayley-Hamilton theorem, $F_{\alpha\beta}(m_{\alpha\beta})=0$ as endomorphisms of $\mathbb{Z}[\alpha,\beta]$. Write $F_{\alpha\beta}(x)=x^r+b_1x^{r-1}+...+b_r$ for $b_i\in\mathbb{Z}$. Thus $m_{\alpha\beta}^r+b_1m_{\alpha\beta}^{r-1}+...+b_r\cdot 1_r=0$ as endomorphisms of $\mathbb{Z}[\alpha,\beta]$.
Now the image of 1 is $(\alpha\beta)^r+b_1(\alpha\beta)^{r-1}+...+b_r=F_{\alpha\beta}(\alpha\beta)=0$. So $\alpha\beta\in\mathcal{O}_L$. The argument to show $\alpha+\beta\in\mathcal{O}_L$ is identical, replacing $m_{\alpha\beta}$ by $m_{\alpha+\beta}:\mathbb{Z}[\alpha,\beta]\to\mathbb{Z}[\alpha,\beta]$ by $\gamma\to(\alpha+\beta)\gamma$. The detail is omitted here. □

We call $\mathcal{O}_L$ the ring of algebraic integers of L.

Lemma. (1.7)
Let $L/\mathbb{Q}$ be a number field, and let $\alpha\in L$. Then $\exists n\geq 1$ an integer such that $n\alpha\in\mathcal{O}_L$.

Proof. Let $f(x)\in\mathbb{Q}[x]$ be a monic polynomial such that $f(\alpha)=0$. Then $\exists n\in\mathbb{Z}, n\geq 1$ such that $g(x)=n^{\deg f}f(x/n)\in\mathbb{Z}[x]$ is monic. But then $g(n\alpha)=n^{\deg f}f(\alpha)=0$. So $n\alpha\in\mathcal{O}_L$. □

2 Complex embeddings

Let L be a number field.

Definition. (2.1)
A *complex embedding* of L is a field homomorphism $\sigma : L \to \mathbb{C}$. Note: in this case, σ is injective, and $\sigma|_{\mathbb{Q}}$ is the usual embedding $\mathbb{Q} \to \mathbb{C}$.

Proposition. (2.2)
Let L/K be an extension of number fields, and let $\sigma_0 : K \to \mathbb{C}$ be a complex embedding. Then there exist exactly $[L : K]$ embeddings $\sigma : L \to \mathbb{C}$ which extends σ_0 ($\sigma|_K = \sigma_0$).

Proof. Induction on $[L : K]$. If $[L : K] = 1$, then $L = K$, so σ_0 determines σ. In general, choose $\alpha \in L - K$ and consider $L/K(\alpha)/K$. By the Tower law, $[L : K] = [L : K(\alpha)][K(\alpha) : K]$ and $[K(\alpha) : K] > 1$. By induction, it's enough to show there are exactly $[K(\alpha) : K]$ embeddings $\sigma : K(\alpha) \to \mathbb{C}$ extending σ_0. Let $f_\alpha(x) \in K[x]$ be the minimal polynomial of α over K. Observe there's an isomorphism $K[x]/(f_\alpha(x)) \to K(\alpha)$ by sending $x \to \alpha$. To give a complex embedding $\sigma : K(\alpha) \to \mathbb{C}$ extending σ_0, it's equivalent to give a root β of $(\sigma_0 f)(x)$ in $\mathbb{C}$ ($\sigma_0 f(x) \in \mathbb{C}[x]$ means apply σ_0 to the coefficients of $f(x)$). Dictionary: $\sigma \to \beta = \sigma(\alpha)$. We have $[K(\alpha) : K] = \deg f_\alpha = \deg \sigma_0 f_\alpha$. It's enough to show $\sigma_0 f_\alpha$ has distinct roots in $\mathbb{C}$. The polynomial $f_\alpha(x) \in K[x]$ is irreducible, so is prime to its derivative $f'_\alpha(x)$ (*char* $K = 0$). So α is separable over K. $\square$

Recall from last lecture, let L be a number field, a complex embedding is a field homomorphism $\sigma : L \to \mathbb{C}$. The number of such embeddings is $[L : \mathbb{Q}]$. If $L = \mathbb{Q}(\alpha)$, and $f_\alpha(x) \in \mathbb{Q}[x]$ is the minimal polynomial, then there is a bijection $\{\sigma : L \to \mathbb{C}\} \leftrightarrow \{$ roots $\beta \in \mathbb{C}$ of $f_\alpha(x)\}$ by sending $\sigma \to \beta = \sigma(alpha)$.

Notation: if $\sigma : L \to \mathbb{C}$ is a complex embedding, then $\bar{\sigma} : L \to \mathbb{C}$ is also a complex embedding, where $\bar{\sigma}(\alpha) = \overline{\sigma(\alpha)}$ (complex conjugation). If $\sigma = \bar{\sigma}$, then $\sigma(L) \subseteq \mathbb{R}$. Otherwise $\sigma \neq \bar{\sigma}$ and $\sigma(L) \not\subseteq \mathbb{R}$.

We write r for the number of complex embedding σ such that $\sigma = \bar{\sigma}$, s for the number of pairs of embeddings $\{\sigma, \bar{\sigma}\}$ where $\sigma \neq \bar{\sigma}$. Then $r + 2s = [L : \mathbb{Q}]$.

Example. Let $d \in \mathbb{Z}$ be square-free, $d \neq 0, 1$. Let $\mathbb{Q}(\sqrt{d}) = \mathbb{Q}[x]/(x^2 - d)$. If $d > 0$, then $r = 2, s = 0$ (real quadratic field).
If $d < 0$, then $r = 0, s = 1$ (imaginary quadratic field).

Example. Let $m \in \mathbb{Z}$ cube-free, $m \neq 0, 1, -1$. Let $\mathbb{Q}(\sqrt[3]{m}) = \mathbb{Q}[x]/(x^3 - m)$. Then $r = 1, s = 1$, since $x^3 - m$ has one real and two complex roots.

Definition. (2.3)
Let L/K be an extension of number fields, and let $\alpha \in L$. Let $m_\alpha : L \to L$ be the K-linear map defined by $m_\alpha(\beta) = \alpha\beta$. Then we define

$$\operatorname{tr}_{L/K}(\alpha) = \operatorname{tr} m_\alpha \in K$$
$$N_{L/K}(\alpha) = \det m_\alpha \in K$$

the trace and norm of α respectively.

Lemma. (2.4)
If L/K is an extension of number fields and $\alpha \in L$, then

$$\begin{aligned}\operatorname{tr}_{L/K}(\alpha) &= [L : K(\alpha)] \operatorname{tr}_{K(\alpha)/K}(\alpha)\\ N_{L/K}(\alpha) &= N_{K(\alpha)/K}(\alpha)^{[L:K(\alpha)]}\end{aligned}$$

Proof. There's an isomorphism $L \cong K(\alpha)^{[L:K(\alpha)]}$ of $K(\alpha)$-vector spaces(?). □

Lemma. (2.5)
Let L/K be an extension of number fields and let $\alpha \in L$. Let $\sigma_0 : K \to \mathbb{C}$ be a complex embedding, and let $\sigma_1, ..., \sigma_n : L \to \mathbb{C}$ be the embeddings of L extending σ_0.
Then

$$\begin{aligned}\sigma_0(\operatorname{tr}_{L/K}(\alpha)) &= \sigma_1(\alpha) + ... + \sigma_n(\alpha)\\ \sigma_0(N_{L/K}(\alpha)) &= \sigma_1(\alpha)...\sigma_n(\alpha).\end{aligned}$$

Proof. WLOG let $L = K(\alpha)$. Let $f_\alpha(x) \in K[x]$ be the minimal polynomial of α over K. Then

$$(\sigma_0 f_\alpha)(x) = (x - \sigma_1(\alpha))(x - \sigma_2(\alpha))...(x - \sigma_n(\alpha))$$

If $f(\alpha) = x^n + a_1 x^{n-1} + ... + a_n$, then $\sigma_0(a_1) = -(\sigma_1(\alpha) + ... + \sigma_n(\alpha))$, $\sigma_0(a_n) = (-1)^n \sigma_1(\alpha)...\sigma_n(\alpha)$.
Let $g(x) \in K[x]$ be the characteristic polynomial of m_α. If $g(x) = x^n + b_1 x^{n-1} + ... + b_n$, then $b_1 = -\operatorname{tr} m_\alpha = -\operatorname{tr}_{L/K}(\alpha)$, $b_n = (-1)^n \det m_\alpha = (-1)^n N_{L/K}(\alpha)$.By Cayley-Hamilton, $g(m_\alpha) = 0 \implies g(\alpha) = 0 \implies f_\alpha(x) = g(x)$. □

Corollary. (2.6)
If $\alpha \in \mathcal{O}_L$, then $\operatorname{tr}_{L/K}(\alpha)$, $N_{L/K}(\alpha) \in \mathcal{O}_K$.

Proof. If $\beta \in K$ then $\beta \in \mathcal{O}_K \iff \sigma_0(\beta) \in \mathcal{O}_\mathbb{C}$ (as $\forall f(x) \in \mathbb{Z}[x], f(\beta) = 0 \iff f(\sigma_0(\beta)) = 0$).
By the lemma, $\sigma_0 \operatorname{tr}_{L/K}(\alpha) = \sigma_1(\alpha)+...+\sigma_n(\alpha)$. If $\alpha \in \mathcal{O}_L$, then $\sigma_1(\alpha), ..., \sigma_n(\alpha) \in \mathcal{O}_\mathbb{C} \implies \sigma_1(\alpha) + ... + \sigma_n(\alpha) \in \mathcal{O}_\mathbb{C} \implies \sigma_0 \operatorname{tr}_{L/K}(\alpha) \in \mathcal{O}_\mathbb{C} \implies \operatorname{tr}_{L/K}(\alpha) \in \mathcal{O}_K$.

The same argument works for the norm. □

Proposition. (2.7)
Let $d \in \mathbb{Z}$ be squarefree, $d \neq 0, 1$, and let $L = \mathbb{Q}(\sqrt{d})$. Then

$$\mathcal{O}_L = \begin{cases} \mathbb{Z}[\sqrt{d}] & d \equiv 2, 3 \pmod 4 \\ \mathbb{Z}[\frac{1+\sqrt{d}}{2} & d \equiv 1 \pmod 4 \end{cases}$$

Proof. If $\alpha \in L$, then $\alpha \in \mathcal{O}_L$ if and only if both trace and norm (over $L/\mathbb{Q}$) of α is in $\mathbb{Z}$. Why? Forward direction is the previous corollary; if $\alpha \in L$, then $f(\alpha) = 0$, where $f(x) = (x - \sigma_1(\alpha))(x - \sigma_2(\alpha)) = x^2 - \operatorname{tr}_{L/\mathbb{Q}}(\alpha)x + N_{L/\mathbb{Q}}(\alpha) \in \mathbb{Q}[x]$, where σ_1, σ_2 are complex embeddings of L. So backward holds too.

Let $\alpha \in L$. Write $\alpha = \frac{u}{2} + \frac{v}{2}\sqrt{d}$ where $u, v \in \mathbb{Q}$. If $\alpha \in \mathcal{O}_L$, then $\mathrm{tr}_{L/\mathbb{Q}}(\alpha) = u \in \mathbb{Z}$, and $N_{L/\mathbb{Q}}(\alpha) = \frac{1}{4}(u + \sqrt{d}v)(u - \sqrt{d}v) = \frac{1}{4}(u^2 - dv^2) \in \mathbb{Z} \implies u^2 - dv^2 \in 4\mathbb{Z} \implies dv^2 \in \mathbb{Z}$.
Write $v = \frac{r}{s}$ where $r, s \in \mathbb{Z}, s \neq 0, (r,s) = 1$. Then we get $dr^2 \in s^2\mathbb{Z} \implies s^2 | dr^2$. If p is a prime and $p|s$ then $p^2|d$. But we assumed d is square-free. So $s = 1$, so $v \in \mathbb{Z}$.

We've shown if $\alpha \in \mathcal{O}_L$, then $\alpha = \frac{u}{2} + \frac{v}{2}\sqrt{d}$ where $u, v \in \mathbb{Z}$ and $u^2 \equiv d^2 \pmod 4$.

Case 1: $d \equiv 2, 3 \pmod 4$. Then $u^2, v^2 \equiv 0, 1 \pmod 4$. Considering the congruence $u^2 \equiv dv^2 \pmod 4$ shows that both $u, v \in 2\mathbb{Z}$. Hence $\alpha \in \mathbb{Z}[\sqrt{d}] = \{a + b\sqrt{d} | a, b \in \mathbb{Z}\}$, and $\mathcal{O}_L = \mathbb{Z}[\sqrt{d}]$.

Case 2: $d \equiv 1 \pmod 4$. Hence $u^2 \equiv v^2 \pmod 4$, so $u \equiv v \pmod 2$. Hence $\mathcal{O}_L \subseteq \{\frac{u}{2} + \frac{v}{2}\sqrt{d} | u, v \in \mathbb{Z}, u \equiv 1 \pmod 2\} = \mathbb{Z} \oplus \mathbb{Z}(\frac{1+\sqrt{d}}{2})$. It remains to show that $\frac{1+\sqrt{d}}{2}$ is an algebraic integer.
We have $\mathrm{tr}_{L/\mathbb{Q}}(\frac{1+\sqrt{d}}{2}) = 1$, $N_{L/\mathbb{Q}}(\frac{1+\sqrt{d}}{2}) = \frac{1-d}{4} \in \mathbb{Z}$. □

Recall that if R is a ring, then a unit in R is an element $u \in R$ such that there exists $v \in R$ such that $uv = 1$.

The set $\mathbb{R}^* = \{u \in R | u \text{ is a unit}\}$ forms a group under multiplication.

Lemma. (2.8)
If L is a number field, then the units in $\mathcal{O}_L$ are $\mathcal{O}_L^* = \{\alpha \in \mathcal{O}_L | N_{L/\mathbb{Q}}(\alpha) = \pm 1\}$.

Proof. next time.

It's next time now! Let's prove this lemma.
$N_{L/\mathbb{Q}}(\alpha\beta) = N_{L/\mathbb{Q}}(\alpha)N_{L/\mathbb{Q}}(\beta)$ for any $\alpha, \beta \in L$.
If $\alpha \in \mathcal{O}_L^*$, then $\exists \beta \in \mathcal{O}_L$ such that $\alpha\beta = 1 \implies N_{L/\mathbb{Q}}(\alpha)N_{L/\mathbb{Q}}(\beta) = 1$. Since $N_{L/\mathbb{Q}}(\alpha), N_{L/\mathbb{Q}}(\beta) \in \mathbb{Z}$, we get $N_{L/\mathbb{Q}}(\alpha) \in \{\pm 1\}$.
Conversely, suppose $\alpha \in \mathcal{O}_L$ and $N_{L/\mathbb{Q}}(\alpha) = \pm 1$. Then $\alpha^{-1} \in L$. Let $\sigma_1, ..., \sigma_n : L \to \mathbb{C}$ be the distinct complex embeddings of L. Then

$$\begin{aligned} N_{L/\mathbb{Q}}(\alpha) &= \sigma_1(\alpha)...\sigma_n(\alpha) = \pm 1 \\ \implies \sigma_1(\alpha^{-1}) &= \pm\sigma_2(\alpha)...\sigma_n(\alpha) \in \mathcal{O}_{\mathbb{C}} \\ &\implies \alpha^{-1} \in \mathcal{O}_L \end{aligned}$$

□

Remark. We'll prove later in the course that $\mathcal{O}_L^*$ is a finite group $\iff$ either $L = \mathbb{Q}$ or L is an imaginary quadratic field.

3 Discriminants and integral bases

Let L be a number field, $n = [L : \mathbb{Q}]$, $\sigma_1, ..., \sigma_n : L \to \mathbb{C}$ be distinct complex embeddings.

Definition. (3.1)
Let $\alpha_1, ..., \alpha_n \in L$. Then their discriminant is $disc(\alpha_1, ..., \alpha_n) = \det(D)^2$, where $D = M_{n\times n}(F)$ is $D_{ij} = \sigma_i(\alpha_j)$. Note: this is independent of the choice of ordering of $\sigma_1, ..., \sigma_n$ and $\alpha_1, ..., \alpha_n$, as that's just permuting the rows or columns, hence changing only possibly signs; but we took a square in the definition.

Lemma. (3.2)
Let $\alpha_1, ..., \alpha_n \in L$. Then $disc(\alpha_1, ..., \alpha_n) = \det(T)$, where $T \in M_{n\times n}(\mathbb{Q})$ is $T_{ij} = \mathrm{tr}_{L/\mathbb{Q}}(\alpha_i\alpha_j)$.

Proof. $T_{ij} = \sum_{k=1}^n \sigma_k(\alpha_i\alpha_j) = \sum_{k=1}^n D_{ki}D_{kj} = (D^T D)_{ij}$. □

Corollary. (3.3)
$disc(\alpha_1, ..., \alpha_n) \in \mathbb{Q}$. If $\alpha_1, ..., \alpha_n \in \mathcal{O}_L$, then $disc(\alpha_1, ..., \alpha_n) \in \mathbb{Z}$.

Proof. $disc(\alpha_1, ..., \alpha_n) = \det(T)$, and entries of T is trace of some elements of L (over $\mathbb{Q}$) so is in the base field $\mathbb{Q}$ (think a bit). So this must be rational. If $\alpha_1, ..., \alpha_n \in \mathcal{O}_L$, then $\forall i, j$, $D_{ij} \in \mathcal{O}_\mathbb{C} \implies disc(\alpha_1, ..., \alpha_n) \in \mathcal{O}_\mathbb{C} \cap \mathbb{Q} = \mathbb{Z}$. □

Proposition. (3.4)
Let $\alpha_1, ..., \alpha_n \in L$. Then $disc(\alpha_1, ..., \alpha_n) \neq 0 \iff \alpha_1, ..., \alpha_n$ form a basis of L as $\mathbb{Q}$-vector space.

Proof. First suppose $\alpha_1, ..., \alpha_n$ are linearly dependent. Then the columns of the matrix $D_{ij} = \sigma_i(\alpha_j)$ are linearly depnedent $\implies disc(\alpha_1, ..., \alpha_n) = 0$ (determinant is 0).
Now suppose $\alpha_1, ..., \alpha_n$ are linearly independent. Then $disc(\alpha_1, ..., \alpha_n) \neq 0$ $\iff \det(T) \neq 0 \iff$ the symmetric bilinear form $\phi : L \times L \to \mathbb{Q}$ by $\phi(\alpha, \beta) = \mathrm{tr}_{L/\mathbb{Q}}(\alpha\beta)$ is non-degenerate, i.e. $\forall \alpha \in L^*, \exists \beta \in L$ such that $\phi(\alpha, \beta) \neq 0$.
If $\alpha \in L^*$, then $\phi(\alpha, \alpha^{-1}) = \mathrm{tr}_{L/\mathbb{Q}}(1) = n \neq 0$. □

Definition. (3.5)
We say elements $\alpha_1, ..., \alpha_n \in L$ form an *integral basis for* $\mathcal{O}_L$, if:
(i) $\alpha_1, ..., \alpha_n \in \mathcal{O}_L$;
(ii) $\alpha_1, ..., \alpha_n$ generate $\mathcal{O}_L$ as a $\mathbb{Z}$-module.

Lemma. (3.6)
If $\alpha_1, ..., \alpha_n$ form an integral basis for $\mathcal{O}_L$, then the function

$$f : \mathbb{Z}^n \to \mathcal{O}_L$$
$$(m_1, ..., m_n) \to \sum_{i=1}^n m_i\alpha_i$$

is an isomorphism of $\mathbb{Z}$-module.

Proof. f is a homomorphism, we must show it's bijective. Observe that $\alpha_1, ..., \alpha_n$ form a basis of L as $\mathbb{Q}$-vector space. We know that if $\beta \in L$, then $\exists N \in \mathbb{Z}^+$ such that $N\beta \in \mathcal{O}_L$ (I think (1.7)). So we can write $N\beta = \sum_{i=1}^n m_i\alpha_i$ for some $m_1 \in \mathbb{Z} \implies \beta = \sum_{i=1}^n \frac{m_i}{N}\alpha_i$. Hence $\alpha_1, ..., \alpha_n$ span L, so they form a basis of L.
If $f(m_1, ..., m_n) = 0$, then $\sum_{i=1}^n m_i\alpha_i = 0 \implies (m_1, ..., m_n) = (0, ..., 0)$, as $\alpha_1, ..., \alpha_n$ are independent over $\mathbb{Q}$. This shows f is injective. It's surjecitve by definition. □

Lemma. (3.7, sandwich lemma)
(i) If $H \leq G$ are groups and $G \cong \mathbb{Z}^a$ for some $a \geq 0$, then $H \cong \mathbb{Z}^b$ for some $b \leq a$.
(ii) If $K \leq H \leq G$ are groups and $K \cong \mathbb{Z}^a$, $G \cong \mathbb{Z}^a$ for some $a \geq 0$, then $H \cong \mathbb{Z}^a$.
(iii) If $H \leq G$ are groups and $H \cong \mathbb{Z}^a$, $G \cong \mathbb{Z}^a$ for some $a \geq 0$, then G/H is finite.

Proof. (i) $H \leq G$, $G \cong \mathbb{Z}^a$. Then G/H is f.g abelian group. By the classification, there's an isomorphism $G/H \cong \mathbb{Z}^N \oplus A$, A finite abelian group. Choose p prime, $p \not| |A|$. Then the map $f : G/H \to G/H$ by $x + H \to px + H$ is injective, so $f' : H/pH \to G/pG$ by $x + pH \to x + pG$ is injecitve − why? If $x \in H, x \in pG$, then $x = py$ for some $y \in G$; then $y + H \in \ker(f) = H$. Hence $x \in pH$. So indeed f' is injective. By the classification, $H \cong \mathbb{Z}^b$. f' injective $\implies |H/pH| \leq |G/pG|$, i.e. $p^b \leq p^a$ so $b \leq a$.
(ii) Apply (i) to $K \leq H$ and $H \leq G$ to get $H \cong \mathbb{Z}^b$ where $a \leq b \leq a$.
(iii) $H \leq G$, $H \cong \mathbb{Z}^a, G \cong \mathbb{Z}^a$. Again G/H is finitely generated, so by the classification $G/H \cong \mathbb{Z}^N \oplus A$ where A is a finite abelian group.
Let p be a prime, $p \not| |A|$. same proof as in (i) shows that $f' : H/pH \to G/pG$ is injecitve. Since $|H/pH| = |G/pG| = p^a$, f' is a group isomorphism $G/H + pG \cong (\mathbb{Z}/p\mathbb{Z})^N$. There's a surjective homomorphism $G/pG \to G/H + pG$ which has kernel containing the image of f'. Hence $G/pG \to G/H + pG$ is surjective with kernel G/pG. This forces $N = 0$. □

Let L be a number field, $n = [L : \mathbb{Q}]$, $\sigma_1, ..., \sigma_n : L \to \mathbb{C}$ be distinct complex embeddings; $\alpha_1, ..., \alpha_n \in L$, we defined $disc(\alpha_1, ..., \alpha_n) = \det(\sigma_i(\alpha_j))^2$. An alternative notation is $\Delta(\alpha_1, ..., \alpha_n)$. We also said $\alpha_1, ..., \alpha_n$ form an integral basis for $\mathcal{O}_L$ if they generate $\mathcal{O}_L$ as a $\mathbb{Z}$-module.

Proposition. (3.8)
There exists an integral basis for $\mathcal{O}_L$.

Proof. Let $\beta_1, ..., \beta_n \in L$ be a basis for L as $\mathbb{Q}$-vector space. WLOG, $\beta_1, ..., \beta_n \in \mathcal{O}_L$. Then $\mathcal{O}_L \supset \oplus_{i=1}^n \mathbb{Z}\beta_i$.
Recall $\phi : L \times L \to \mathbb{Q}$ by sending $(\alpha, \beta) \to \operatorname{tr}_{L/\mathbb{Q}}(\alpha\beta)$ is a non-degenerate symmetric bilinear form (we showed that last time). Let $\beta_1^*, ..., \beta_n^*$ be the dual basis. Then $\operatorname{tr}_{L/\mathbb{Q}(\beta_i\beta_j^*)} = \delta_{ij}$ (why?).
If $\alpha \in \mathcal{O}_L$, then we can write $\alpha = \sum_{i=1}^n a_i\beta_i^*$ where $a_i \in \mathbb{Q}$. We know $\alpha\beta_i \in \mathcal{O}_L$, hence $\operatorname{tr}_{L/\mathbb{Q}}(\alpha\beta) \in \mathbb{Z}$. However LHS $= \sum_{j=1}^n \operatorname{tr}_{L/\mathbb{Q}}(a_j\beta_j^*\beta_i) =$

$\sum_{j=1}^{n} a_j \operatorname{tr}_{L/\mathbb{Q}}(\beta_j^* \beta_i) = a_j$. So $\mathcal{O}_L \subseteq \oplus_{i=1}^{n} \mathbb{Z}\beta_i^*$. By sandwich lemma there is an isomorphism between $\mathbb{Z}^n$ and $\mathcal{O}_L$. □

If $\alpha_1, ..., \alpha_n$, $\beta_1, ..., \beta_n$ are both integral bases for $\mathcal{O}_L$, then there exists $A \in M_{n\times n}(\mathbb{Z})$ such that $\beta_j = \sum_{i=1}^{n} A_{ij}\alpha_i$ for each $j = 1, ..., n$. Moreover, we must have $\det(A) \in \{\pm 1\}$, and $A \in GL_n(\mathbb{Z})$. Then $disc(\beta_1, ..., \beta_n) = \det(D')^2$, where $D'_{ij} = \sigma_i(\beta_j), D_{ij} = \sigma_i(\alpha_j)$. We have $D'_{ij} = \sum_{k=1}^{n} \sigma_i(A_{kj}\alpha_k) = \sum_{k=1}^{n} \sigma_i(\alpha_k)A_{kj} = (DA)_{ij}$.

We find $disc(\beta_1, ..., \beta_n) = \det(D')^2 = \det(DA)^2 = \det(D)^2 = disc(\alpha_1, ..., \alpha_n)$. Therefore we could define:

Definition. (3.9)
The discriminant D_L of the number field L is $disc(\alpha_1, ..., \alpha_n)$, where $\alpha_1, ..., \alpha_n$ is any integral basis for $\mathcal{O}_L$.

Proposition. (3.10)
Let $L = \mathbb{Q}(\alpha)$, and let $f(x) \in \mathbb{Q}[x]$ be the minimal polynomial of α over $\mathbb{Q}$. Then

$$disc(1, \alpha, \alpha^2, ..., \alpha^{n-1}) = \prod_{i<j} (\sigma_i(\alpha) - \sigma_j(\alpha))^2 = (-1)^{n(n-1)/2} N_{L/\mathbb{Q}}(f'(\alpha))$$

In part II Galois theory, we defined the discrimant of a polynomial, $discf = \prod_{i<j}(\sigma_i(\alpha) - \sigma_j(\alpha))^2$ where α_i's are the roots of f.

Proof. If $D_{ij} = \sigma_i(\alpha^{j-1})$, $D \in M_{n\times n}(\mathbb{C})$, then $disc(1, \alpha, ..., \alpha^{n-1}) = \det(D)^2$. D is a Vandermonde matrix, so we know $\det(D) = \prod_{i<j}(\sigma_j(\alpha) - \sigma_i(\alpha))$.
On the other hand, $N_{L/\mathbb{Q}}(f'(\alpha)) = \prod_{i=1}^{n} \sigma_i(f'(\alpha)) = \prod_{i=1}^{n} f'(\sigma_i(\alpha))$.
Using $f(x) = \prod_{j=1}^{n}(x - \sigma_j(\alpha))$, we get RHS $= \prod_{i=1}^{n} \prod_{j\neq i}(\sigma_i(\alpha) - \sigma_j(\alpha)) = (-1)^{\binom{n}{2}} \prod_{i<j}(\sigma_i(\alpha) - \sigma_j(\alpha))^2$. □

Note: if $\alpha \in \mathcal{O}_L$ and $\mathbb{Z}[\alpha] = \mathcal{O}_L$, then $1, \alpha, ..., \alpha^{n-1}$ is an integral basi for $\mathcal{O}_L$. We can then use proposition to calculate D_L.

Example. Let $d \in \mathbb{Z}$ square-free, $d \neq 0, 1$, $L = \mathbb{Q}(\sqrt{d})$. Then

$$D_L = \begin{cases} 4d & d \equiv 2, 3 \pmod 4 \\ d & d \equiv 1 \pmod 4 \end{cases}$$

To see this, if $d \equiv 2, 3 \pmod 4$, then $\mathcal{O}_L = \mathbb{Z}[\sqrt{d}]$ (shown previously). Apply proposition to $x^2 - d = f(x)$, we get $D_L = disc(1, \sqrt{d}) = -N_{L/\mathbb{Q}}(2\sqrt{d}) = 4d$.
On the other hand, if $d \equiv 1 \pmod 4$, then $\mathcal{O}_L = \mathbb{Z}[\frac{1+\sqrt{d}}{2}]$. Apply proposition to the minimal polynomial of this element, $f(x) = x^2 - x + \frac{1-d}{4}$, so $f'(x) = 2x - 1$, so $f'(\alpha) = \sqrt{d}$. Therefore $D_L = -N_{L/\mathbb{Q}}(\sqrt{d}) = \sqrt{d}$.

Proposition. If $\alpha_1, ..., \alpha_n \in \mathcal{O}_L$ are such that $disc(\alpha_1, ..., \alpha_n)$ is a non-zero square-free integer, then $\alpha_1, ..., \alpha_n$ form an integral basis for $\mathcal{O}_L$.
Note: this is a sufficient condition, but is not necessary (the previous example).

Proof. Let $\beta_1, ..., \beta_n$ be an integral basis for $\mathcal{O}_L$. There exists $A \in M_{n\times n}(\mathbb{Z})$ such that $\alpha_j = \sum_{i=1}^n A_{ij}\beta_i \; \forall j = 1, ..., n$. Then $disc(\alpha_1, ..., \alpha_n) = \det(A)^2 disc(\beta_1, ..., \beta_n)$ (we proved this in the beginning of lecture: $D' = DA$). In particular, if this is square-free and non-zero, then $\det(A)$ must be $\{\pm 1\}$. So $A \in GL_n(\mathbb{Z})$. Hence $\alpha_1, ..., \alpha_n$ generate $\mathcal{O}_L$ (as they can generate β_i) and form an integral basis. $\square$

This could save a lot of calculation if we are lucky.

Example. Let $f(x) = x^3 - x - 1$. Then $discf = -4a^3 - 27b^2 = -23$. This is square-free! If $L = \mathbb{Q}(\alpha)$, α a root of $f(x)$, then $\mathcal{O}_L = \mathbb{Z}[\alpha]$.

Definition. (3.12)
Let $I \subseteq \mathcal{O}_L$ be a no-zero ideal. Then elements $\alpha_1, ..., \alpha_n \in L$ form an integral basis for I if:
(i) $\alpha_1, ..., \alpha_n \in I$;
(ii) $\alpha_1, ..., \alpha_n$ generate I as a $\mathbb{Z}$-module.

Proposition. (3.13)
Let $I \subseteq \mathcal{O}_L$ be a non-zero ideal. Then there exists an integral basis for I.

Definition. By definition, $I \subseteq \mathcal{O}_L \cong \mathbb{Z}^n$. Let $\alpha_1, ..., \alpha_n \in \mathcal{O}_L$ be an integral basis for $\mathcal{O}_L$. Let $\alpha \in I$ be non-zero. Then $(\alpha) \subseteq I$, hence $\oplus_{i=1}^n \mathbb{Z}\alpha\alpha_i \subseteq I \subseteq \mathcal{O}_L$. So by sandwich lemma, there is an isomorphism between I and $\mathbb{Z}^n$ as $\mathbb{Z}$-module. Hence there exists an integral basis for I.

An interesting consequence of the proof:

Definition. (3.14)
If $I \subseteq \mathcal{O}_L$ is a non-zero ideal, then we define its norm

$$N(I) = [\mathcal{O}_L : I]$$

which is finite by the sandwich lemma.

Definition. (3.15)
If $I \subset \mathcal{O}_L$ is a non-zero ideal then we define $disc(I) = disc(\alpha_1, ..., \alpha_n)$ where $\alpha_1, ..., \alpha_n$ is an integral basis for I. (same argument shows $disc(I)$ depends only on I).

Lemma. (3.16)
If $I \subseteq \mathcal{O}_L$ is a no-zero ideal, then $disc(I) = disc(\mathcal{O}_L)N(I)^2$.

Proof. Let $\alpha_1, ..., \alpha_n$, $\beta_1, ..., \beta_n$ be integral bases for $\mathcal{O}_L$ and I respectively. Then $\exists A \in M_{n\times n}(\mathbb{Z})$ such that $\beta_j = \sum_{i=1}^n A_{ij}\alpha_i \; \forall j = 1, ...n$, and $disc(\alpha_1, ..., \alpha_n)\det(A)^2 = disc(\beta_1, ..., \beta_n)$. We must show $\det(A)^2 = [\mathcal{O}_L : I]^2$.

In fact, we'll show if $B \in M_{n\times n}(\mathbb{Z})$ and $\det(B) \neq 0$, then $|\mathbb{Z}^n/B\mathbb{Z}^n| = |\det(B)|$. This suffices after identify $\mathcal{O}_L \cong \mathbb{Z}^n$.

Recall: $\exists P, Q \in GL_n(\mathbb{Z})$ such that $PBQ = D = Diag(d_1, ..., d_n)$, $d_i \in \mathbb{Z}$ (Smith normal form). Hence we have $\mathbb{Z}^n/B\mathbb{Z}^n \cong \mathbb{Z}^n/D\mathbb{Z}^n \cong \oplus_{i=1}^n \mathbb{Z}/d_i\mathbb{Z} \implies |\mathbb{Z}^n/B\mathbb{Z}^n| = |\mathbb{Z}^n/D\mathbb{Z}^n| = \prod_{i=1}^n |d_i|$.
On the other hand, $|\det(B)| = |\det(D)| = \prod_{i=1}^n |d_i|$. $\square$