

Integral models

§1

Def A K3 surface X over a field k is a smooth proper ^{geom. conn.} dim. 2 scheme $X \rightarrow \text{Spec } k$, st.

 $\omega_X \cong \mathcal{O}_X \quad H^1(X, \mathcal{O}_X) = 0.$

(\Rightarrow projective)

If $k = \bar{k}$, a (primitive) polarization is an ample line bundle L st. $L \neq \mathcal{E}^{\otimes n} \forall n > 1$

NB \mathcal{O} isn't connected by convention
[Stacks project, 004S]

Ryan Chen
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Thm (Tate conj. for K3's)

If k is f.g. over \mathbb{Q} or \mathbb{F}_p , X is K3

$$CH^i(X) \otimes_{\mathbb{Z}} \mathbb{Q}_{\ell} \xrightarrow{\sim} H_{\text{et}}^{2i}(X_{\bar{k}}, \mathbb{Q}_{\ell}(1))^{\text{Gal}(\bar{k}/k)}$$

for all i . ($\ell \neq p$)

(Madapusi ¹⁵, Kim-Madapusi, Maulik, Charles, André...)

$$CH^i(X) \cong \text{Pic}(X) \hookrightarrow \text{Pic}(X_{\bar{k}}) \text{ Kummer: } \text{Nygaard-Ogus}$$

$$1 \longrightarrow \mu_{\ell^n} \longrightarrow G_m \xrightarrow{x \mapsto x^{\ell^n}} G_m \longrightarrow 1$$

$$H_{\text{et}}^i(X_{\bar{k}}, G_m) \xrightarrow{x \mapsto x^{\ell^n}} H_{\text{et}}^i(X_{\bar{k}}, G_m) \xrightarrow{\text{cl}} H_{\text{et}}^2(X_{\bar{k}}, \mu_{\ell^n})$$

$\overset{\text{"}}{\text{Pic}}(X_{\bar{k}})$

$$\text{Pic}(X_{\bar{k}}) \otimes \mathbb{Z}_{\ell} \hookrightarrow H_{\text{et}}^2(X_{\bar{k}}, \mathbb{Z}_{\ell}(1))$$

X is "K3" $\Rightarrow \text{Pic}(X_{\bar{k}})$
is ℓ -torsion free
(Deligne)

Lift to char. 0 (say $k = \bar{k}$ in char. $p > 0$)

$\Rightarrow H_{\text{et}}^i(X_{\bar{k}}, \mathbb{Z}_{\ell})$ free over \mathbb{Z}_{ℓ}
rank 0, 22, 0, 1
0, 1, 2, 3, 4

See Rizov "Moduli stacks of polarized K3 surfaces..."

Lemma If X is K3 over any k ,
 $\exists k'/k$ fin. sep s.t. $\forall K/k'$,

$$\text{Pic}(X_{k'}) \xrightarrow{\sim} \text{Pic}(X_K)_{\mathbb{Q}}$$

Pf $\text{Pic}^{\circ}(X_{\bar{k}}) = 1$ $\text{Pic}(X_{\bar{k}}) = \text{NS}(X_{\bar{k}})$ is f.g.

Pic(X) is "discrete", locally fin. type
 \Rightarrow assume K/k finite

$$\left\{ \begin{array}{l} \text{Pic}(X_K)_{\mathbb{Q}} \xrightarrow{\sim} \text{Pic}(X_K)_{\mathbb{Q}} \\ \text{if } K/k \text{ purely insep.} \end{array} \right.$$

$(X_{k'} = X_K \text{ as top space})$

$\{f_{ij}\}$ cocycle over K for \mathcal{L}
 $\Rightarrow \{f_{ij}^{p^n}\}$ cocycle over k' for $\mathcal{L}^{\otimes p^n}, n \gg 0$

Fact For K/k finite Galois,

$$\text{Pic}(X)_{\mathbb{Q}} = \text{Pic}(X_K)_{\mathbb{Q}}^{\text{Gal}(K/k)}$$

(Hochschild-Serre)

See Huybrechts "Lectures on K3 surfaces"

$$\begin{array}{ccc} \text{Pic}(X)_{\mathbb{Q}_\ell} & \longrightarrow & H^2_{\text{et}}(X, \mathbb{Q}_\ell(1))^{\text{Gal}(K/k)} \\ \parallel & & \parallel \\ (\text{Pic}(X_K)_{\mathbb{Q}_\ell}) & \xrightarrow{\text{Gal}(K/k)} & (H^2_{\text{et}}(X, \mathbb{Q}_\ell(1))^{\text{Gal}(K/k)}) \end{array}$$

(surfaces, $\text{NS}(X)$...)

Lemma If X is K3 over any k ,
 $\text{Pic}(X) \xrightarrow{\sim} \text{NS}(X) \xrightarrow{\sim} \text{Num}(X)$
 $(\Rightarrow \text{Pic}^{\circ}(X_{\bar{k}}) = 1)$

Pf WTS $(\mathcal{L}, \varepsilon) = 0 \quad \forall \varepsilon \Rightarrow \mathcal{L} = \mathcal{O}_X$

If ε ample, $H^0(X, \mathcal{L}) = 0$.
 $\Rightarrow H^2(X, \mathcal{L}) = 0$.

$$0 \geq \chi(X, \mathcal{L}) := \frac{1}{2}(\mathcal{L}, \mathcal{L}) + 2 \\ \Rightarrow (\mathcal{L}, \mathcal{L}) < 0.$$

§2 Given $V = \bigoplus V^{p,q}$

$$V(1) := \bigoplus V(1)^{p,q}$$

$$V(1)^{p,q} = V^{p+1, q+1}$$

$$\text{Hom}(V_1, V_2) = \bigoplus \text{Hom}(V_1, V_2)^{p,q}$$

$$\text{Hom}(V_1, V_2)^{p,q} := \bigoplus_{\begin{array}{c} p_2 - p_1 = p \\ q_2 - q_1 = q \end{array}} \text{Hom}(V_1^{p_1, q_1}, V_2^{p_2, q_2})$$

$$\mathbb{C}^\times G V_i, \quad \mathbb{C}^\times G \text{Hom}(V_1, V_2)$$

$$a \quad f \mapsto a \circ f \circ a^{-1}$$

Ex $(H^2(X_C, \mathbb{C})(1))^{\circ, \circ}$
 $\cong H^{1,1}(X_C, \mathbb{C})$

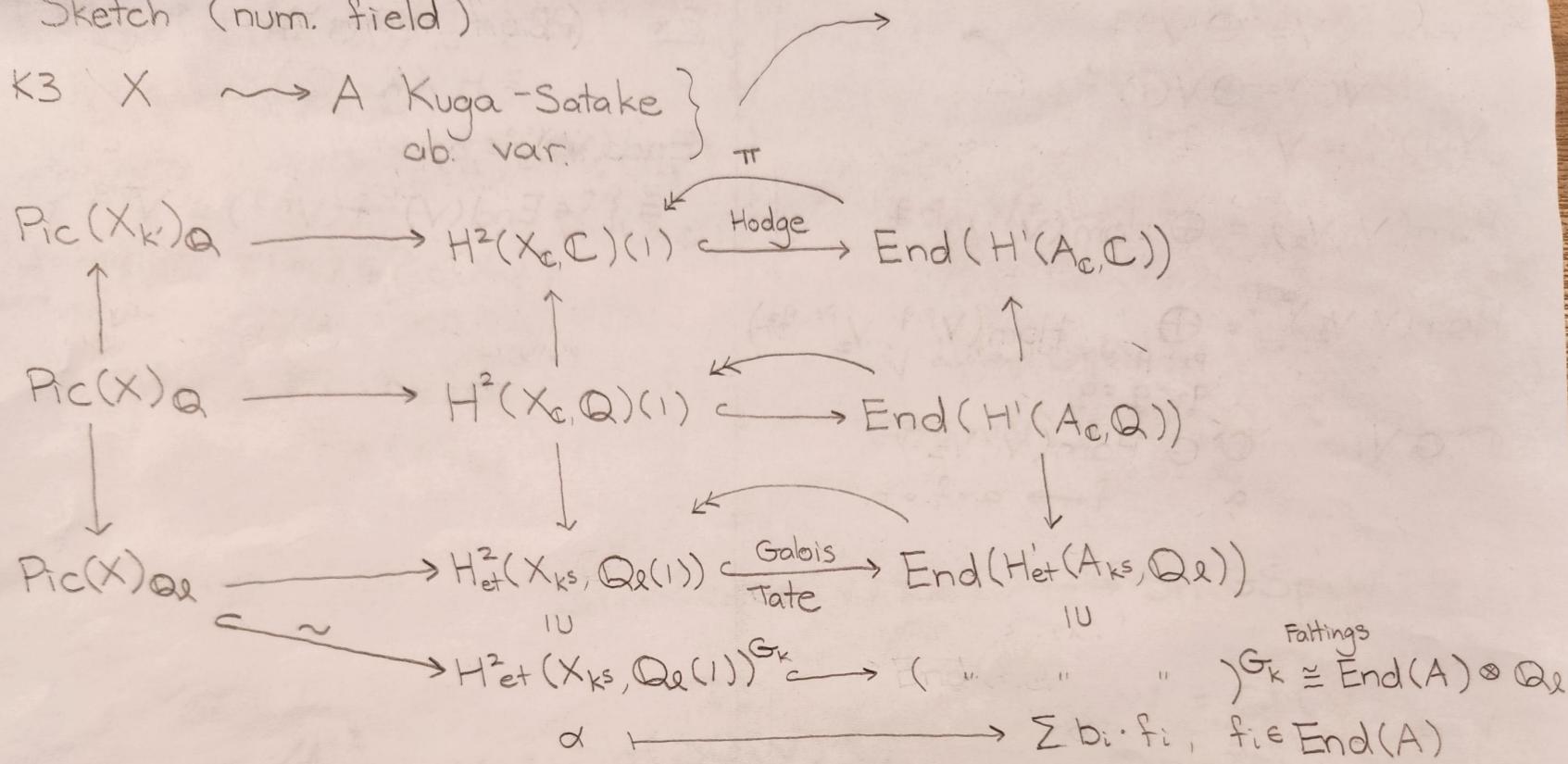
$$\text{End}(V)^{\circ, \circ}$$

$$\cong \{f \in \text{End}(V) : f(V^{p,q}) \subseteq V^{p,q}\}$$

8

8?
 (10) 9

Sketch (num. field)



See Huybrechts
§17

$$f_i \in \text{End}(H^1(X_C, \mathbb{Q}))^{\circ, \circ}$$

$$\pi(f_i) \in H^{1,1}(X_C, \mathbb{C})$$

$$\text{Lefschetz } (1,1) \Rightarrow \pi(f_i) \in \text{Pic}(X_C^{\text{an}})$$

$$\text{Lemma} \Rightarrow \pi(f_i) \in \text{Pic}(X_{k'})$$

k'/k sep.

$$\sum b_i \pi(f_i) \in \text{Pic}(X_{k'})_{\mathbb{Q}_\ell}^{\text{Gal}(k'/k)}$$

$$\mapsto \alpha \in \text{Pic}(X)_{\mathbb{Q}_\ell}$$

$$\text{Pic}(X_C)$$

$$V = L_d \otimes \mathbb{Q}$$

$$A = C_1(V_R)/C_1(L_d)$$

$$V \hookrightarrow C_1(V) = (\bigoplus T^{\otimes n}) / (v \otimes v - (v, v))$$

$$GSpin(V) \subseteq C_1(V) G$$

$$a \mapsto a \cdot x$$

$$Sh(GSpin(V), \Omega) \longrightarrow Sh(GSp(W), \mathcal{H}_g^\pm)$$



$$M^{K3} \longrightarrow Sh(SO(V), \Omega)$$

$$(X, \xi)/\mathbb{C}$$

$$\begin{aligned} V &= \langle \xi \rangle^\perp \subseteq H^2(X, \mathbb{Z}) \cong U^{\oplus 3} \oplus E_8(-1)^{\oplus 2} \\ &= PH^2(X, \mathbb{Q}) \quad \text{sig. } (2, 19) \end{aligned}$$

$$\begin{aligned} W &= C_1(V) \\ 2g &= \dim W = 2^{\dim V} \end{aligned}$$

$X \rightsquigarrow A$ over any k

$$H^1_{\text{ét}}(A_{k_s}, \mathbb{Z}_\ell) \stackrel{?}{\cong} C_1(\text{PH}_{\text{ét}}^2(X_{k_s}, \mathbb{Z}_\ell(1)))$$

$$\text{PH}_{\text{ét}}^2(X_{k_s}, \mathbb{Z}_\ell(1)) \stackrel{?}{\hookrightarrow} \text{End}(H^1_{\text{ét}}(A_{k_s}, \mathbb{Z}_\ell))$$

Imagine: $k = \mathbb{F}_p$

$$\begin{array}{ccccc} \tilde{X} & \xrightarrow{\quad} & X & \xleftarrow{\text{lift}} & X \\ \downarrow & & \downarrow \pi & & \downarrow \\ \text{Spec } \mathbb{Q} & \longrightarrow & \text{Spec } \mathbb{Z}_{(p)} & \longleftarrow & \text{Spec } \mathbb{F}_p \end{array}$$

Deligne: over k perfect, can lift $K3$

to some W' finite ^{flat} over $W(k)$

Alternately: flatness of some moduli spaces...

$$\begin{array}{ccccc} \tilde{A}_{k_s} & \xrightarrow{\text{extend}} & A & \xleftarrow{\quad} & A \\ \downarrow & & \downarrow \pi_{k_s} & & \downarrow \\ \text{Spec } \mathbb{Q} & \longrightarrow & \text{Spec } \mathbb{Z}_{(p)} & \longleftarrow & \text{Spec } \mathbb{F}_p \end{array}$$

$$\text{PR}_{\text{ét}}^2 \pi_* \mathbb{Z}_\ell(1) \xrightarrow{?} \text{End}(R^1 \pi_* \mathbb{Z}_\ell) \text{ over } \mathbb{Z}_{(p)}$$

Equiv. to do over \mathbb{Q} :

finite loc. constant sheaves

finite étale schemes

Lemma $F\acute{\text{e}}t_{/\mathbb{Z}_{(p)}} \longrightarrow F\acute{\text{e}}t_{/\mathbb{Q}}$

$$y \longmapsto y_{\mathbb{Q}}$$

is fully faithful.

Pf $\left\{ \text{finite } \pi_1(\mathbb{Z}_{(p)}, \bar{\mathbb{Q}}) \text{-sets} \right\} \xrightarrow{\sim} \left\{ \text{"} \pi_1(\mathbb{Q}, \bar{\mathbb{Q}}) \text{-" sets} \right\}$
fully faithful b/c

$$\pi_1(\mathbb{Q}, \bar{\mathbb{Q}}) \longrightarrow \pi_1(\mathbb{Z}_{(p)}, \bar{\mathbb{Q}})$$

$$\text{Gal}(\bar{\mathbb{Q}}/\mathbb{Q}) \longrightarrow \text{Gal}(\mathbb{Q}^{\text{unif}, p}/\mathbb{Q}).$$

Rmk True for any Noeth. normal integral S , $\text{Spec } K(S) \longrightarrow S$.

[Stacks Project, OBQM]

Def A (primitively) polarized K3 K3 scheme (X, ξ) over S is

$X \xrightarrow{\pi} S$ proper smooth

$\xi \in \underline{\text{Pic}}_{X/S, \text{et}}(S)$ s.t. (X, ξ) is (prim.) polarized K3 surface in geom. fibers

Def $\deg(\xi) := (\xi, \xi) = 2d$, $d \in \mathbb{Z}$
(locally constant)

MathOverflow question 208839...
(Alg. spaces...)

Def Moduli stack (prim. polar.)

$$M_{2d}^{K3}(S) = \{ (X, \xi) \mid K3 \text{ over } S, \deg \xi = 2d \}$$

Fact $M^{K3} \rightarrow \text{Spec } \mathbb{Z}$

is separated, Deligne - Mumford,
finite type,
smooth over $\text{Spec } \mathbb{Z}[1/(2d)]$

If $L \in \text{Pic}(X)$ is ample
 $\Rightarrow L^{\otimes 3}$ rel. very ample
 $\pi^* L^{\otimes 3}$ loc. free rank $9d+2$

Rmk "K3 surface" is open property:

Given any proper flat $X \rightarrow S$

of finite presentation, if X_s is

K3 for some $s \in S$

$\Rightarrow X_U \rightarrow U$ is K3 for some nbhd U

Pf Smooth locus is open on X , const.

$$h^0(X_{s'}, \mathcal{O}_{X_{s'}}) = 1 \quad \begin{matrix} \text{upper} \\ \text{nearby} \end{matrix} \quad \text{semi-cont.}$$

$$h^1(X_{s'}, \mathcal{O}_{X_{s'}}) = 0$$

$$h^0(X_{s'}, \omega_{X_{s'}}) = h^0(X_{s'}, \omega_{X_{s'}}^\vee)$$

$$= h^2(X_{s'}, \mathcal{O}_{X_{s'}}) = h^2(X_{s'}, \omega_{X_{s'}}^{\otimes 2}) = 1$$

nearby (cohom. and base change)

See Huybrechts §5

$\Rightarrow H' \subseteq \text{Hilb}_{\mathbb{P}^n}$ open locus of K3 surfaces, $H \subseteq H'$ open " $\mathcal{O}(1)|_X \cong L^{\otimes 3}$ "

$$H(S) = \left\{ (Z \xrightarrow{i} \mathbb{P}_s^N) \in H'(S) : \begin{array}{l} 1) i^*\mathcal{O}(1) \cong L^{\otimes 3} \in \text{Pic}(Z)/\pi^*\text{Pic}(S) \\ 2) L \text{ is prim. in geom. fibers} \\ 3) H^0(\mathbb{P}_{k(S)}^N, \mathcal{O}(1)) \xrightarrow{\sim} H^0(Z_S, L_S^{\otimes 3}) \end{array} \right\}$$

$$[H / \text{PGL}_N] \xrightarrow{\sim} \mathcal{M}_{2d}^{K3}$$

$$N = 9d + 3$$

See Huybrechts

§4 Def Moduli stack

$$\mathcal{A}_g(S) = \left\{ (A, \lambda) : A \rightarrow S \begin{array}{l} \text{dim. } g \\ \text{ab. sch.} \\ \lambda : A \rightarrow A^\vee \\ \text{princ. pol.} \end{array} \right\}$$

Fact $\mathcal{A}_g \rightarrow \text{Spec } \mathbb{Z}$

is separated, Deligne-Mumford, finite type, smooth

Ex Level N over $\text{Spec } \mathbb{Z}[1/N]$

$$A[N] \xleftarrow{\sim} (\mathbb{Z}/N\mathbb{Z})^{2g}$$

symplectic up to scalar.

△ rank $2g$ \mathbb{Z} -lattice,
self-dual symplectic $(\begin{smallmatrix} & 1 \\ -1 & \end{smallmatrix})$

$$GSp := GSp(\Lambda) \longrightarrow \text{Spec } \mathbb{Z}$$

$$K(N) := \ker(GSp(\hat{\mathbb{Z}}) \rightarrow GSp(\mathbb{Z}/N\mathbb{Z}))$$

For $S/\text{Spec}[\mathbb{V}N]$, conn., $\bar{s} \rightarrow S$ char. p

Def Level K on $A \rightarrow S$:

{ K -orbit of $\eta: T^p(A_{\bar{s}}) \xleftarrow{\sim} \Lambda \otimes \hat{\mathbb{Z}}^p$
(sympl up to scalar
 $\pi_*(S, \bar{s})$ -stable)}

$$(\text{say } K = \pi K_{\ell})$$

For $K_{\ell} \neq GSp(\mathbb{Z}_{\ell})$,
 $S \rightarrow \text{Spec}[\mathbb{V}/\ell]$)

$$\eta \otimes \mathbb{Z}/N\mathbb{Z} \Leftrightarrow A[N] \xleftarrow{\sim} \Lambda \otimes \mathbb{Z}/N\mathbb{Z}$$

$$A[N] \longleftrightarrow T^p(A_{\bar{s}}) \otimes \mathbb{Z}/N\mathbb{Z}$$

$$F\acute{e}t/S \longleftrightarrow \left\{ \begin{array}{l} \text{finite} \\ \pi_*(S, \bar{s}) - \text{sets} \end{array} \right\}$$

Def {For $K \subseteq K(1)$ open compact,

$$Ag_{\eta, K}(S) := \left\{ (A, \lambda, \eta) : \begin{array}{l} (A, \lambda) \in Ag_{\eta}(S) \\ \eta \text{ level } K \text{ structure} \end{array} \right\}$$

Fact: If $K \subseteq K(N)$, $N \geq 3$,

$Ag_{\eta, K} \rightarrow \text{Spec } \mathbb{Z}[\mathbb{V}/N]$
is smooth, quasi-proj.

Can be deduced from
Mumford GIT book, Thm 7.9
cf. MathOverflow Question 6482

For $K \in K(N)$, $N \geq 3$

$\xrightarrow{(A, \eta, \varphi)}$ $\sim \rightarrow \mathcal{H}_g^\pm \times G(\mathbb{A}_f)/K$

A_g, X, C, framed

\downarrow^{an}

$$A_g, X, C \xrightarrow{\sim} G(\mathbb{Q}) \backslash (\mathcal{H}_g^\pm \times G(\mathbb{A}_f)/K) = \text{Sh}_K(GSp, \mathcal{H}_g^\pm)$$

$$(A, \eta) \mapsto (J, (\varphi \otimes \mathbb{A}_f) \circ \eta)$$

$$\varphi: H_*(A, \mathbb{Q}) \xrightarrow{\sim} \Lambda \otimes \mathbb{Q}$$

sympl. up \circ scalar

$$\mathcal{H}_g^\pm = \left\{ z \in \text{Sym}_{g \times g}(\mathbb{C}): \begin{array}{l} \text{im}(z) > 0 \\ \text{or } \text{im}(z) < 0 \end{array} \right\}$$

holomorphic bijection

(\Rightarrow holo. iso.)

$G = GSp$

Level for \mathcal{M}_{2d}^{K3} :

$$L := \bigcup_{i=0}^{\oplus 3} E_8(-1)^{\oplus 2}$$

$$L_d = \langle e_d \rangle^\perp, e_d \in L$$

$$(e_d, e_d) = 2d$$

For $K \in SO(L_d)(A_f)$

open compact open w/ admissible
 $L \# K$ -stable $(SO(L_d) \hookrightarrow SO(L))$

$S/\text{Spec } \mathbb{Z}_{(p)}$ conn., $\bar{s} \rightarrow S$ char. $p \neq 2$

Def Level K on $(X, \xi) \in \mathcal{M}_{2d}^{K3}$:

$\{K\text{-orbit of } \eta : L \otimes \hat{\mathbb{Z}}^p \xrightarrow{\sim} H^2_{\text{et}}(X_{\bar{s}}, \hat{\mathbb{Z}}^p(1))\}$
isometry w/ $\eta(e_d) = c_1(\xi)$
 $\pi_*(S, \bar{s})$ -stable

(Some $S \rightarrow \text{Spec } \mathbb{Z}_{(p)}$ condition
like before)

Def Moduli stack $M_{2d,K}^{K^3}$ w/ level K
(admissible)

Fact For $p \nmid 2d$, $K_p = SO(L_d)(\mathbb{Z}_p)$
 $K^p \subseteq SO(L_d)(A_f^\circ)$

$K = K_p K^p$ admissible, neat

$M_{2d,K}^{K^3} \rightarrow \text{Spec } \mathbb{Z}_{(p)}$

smooth scheme

separated finite type

$M_{2d,K}^{K^3} \rightarrow M_{2d}^{K^3}$ finite étale

(after inverting ℓ where K^p isn't "standard")

Thm (Kisin '10, Vasiu) $p \nmid 2d$

For $G = GSpin(L_d)$
or $SO(L_d)$

$K_p = G(\mathbb{Z}_p)$

$K^p \subseteq G(A_f^\circ)$ small

$Sh_K(G, \Omega)$ has a
smooth integral canonical model

$\mathcal{S}_K(G, \Omega)$ over $\text{Spec } \mathbb{Z}_{(p)}$

Kisin09 - "Integral canonical models
of Shimura varieties"

Kisin10 - "Integral models ... abelian type"

cf. [Mad16, Lemma 2.6] also

and intro to [Mad15], cf. Tom Lovering

Mad16 = Madapusi - "Integral canonical
models ..."

Mad15 = " " - "Tate conjecture..." 30

(cont...) When $G = G\text{Spin}$,

$\mathcal{S}_K(G, \Omega)$ is normalization

of closure $\text{Sh}_K(G, \Omega) \hookrightarrow \text{Sh}_{K'}(G\text{Sp},$
for some K'

Xu '20 \Rightarrow normalization redundant
(Yujie)

Milne's idea: require

$$\mathcal{S}_{K_p} := \varprojlim_{K_p} \mathcal{S}_{K_p K_p}(G, \Omega)$$

H^{\pm}_{fg}) to have univ. property:
for any $S \rightarrow \text{Spec } \mathbb{Z}_{(p)}$
regular, formally smooth,

$$S \otimes \mathbb{Q} \longrightarrow \mathcal{S}_{K_p} \otimes \mathbb{Q} = \text{Sh}_{K_p}$$

extends to

$$S \longrightarrow \mathcal{S}_{K_p}$$

(supposed to characterize \mathcal{S}_{K_p})

(extension is unique
at least w/ some separated
hypotheses)

This is the meaning of "integral
canonical model"

Then "take quotient of tower"
to recover finite level...

reduced + formally smooth over $\mathbb{Z}_{(p)}$
 \Rightarrow scheme-theoretic closure of
generic fiber
 \Leftrightarrow flat

(e.g. $GSpin$), transition maps
in $\varprojlim_{K_p} \mathcal{S}_{K_p K_p}$ are finite étale

$\Rightarrow \mathcal{S}_{K_p}$ is formally smooth scheme

Milne $\Rightarrow S_w$ has all local rings
regular

("global" Noetherianity...?)

can have non-Noetherian
rings w/ all local rings
regular Noetherian, e.g.

$$\underbrace{\mathbb{F}_p \times \mathbb{F}_p \times \dots}_{\infty}$$

Milne "Points on a Shimura variety
modulo a prime of good
reduction"

Ex $K_p = GSp(\mathbb{Z}_p)$

$W = \mathbb{Z}_p^{\text{unr}}$ $F = \mathbb{Q}_p^{\text{unr}}$

$(\varprojlim_{K_p} \mathcal{A}_{g, K_p K_p})(F) = (\varprojlim_{K_p} \text{" })(W)$

" $\eta: T^P(A_{\mathbb{F}}) \xrightarrow{\sim} \Lambda \otimes \hat{\mathbb{Z}}^P$ "
symp. up to scalar

$\pi_{\mathbb{F}, F}$ -stable

$\text{Gal}(\bar{\mathbb{Q}}_p / \mathbb{Q}_p^{\text{unr}})$

Descend to $(\tilde{A}, \tilde{\eta})$ over E / \mathbb{Q}_p finite unr.

$\text{Gal}(\bar{\mathbb{Q}}_p / \mathbb{Q}_p^{\text{unr}})$ acts trivially on
 $T_{\mathbb{F}}(\tilde{A})$

Néron - Ogg - Shafarevich

$\Rightarrow \tilde{A}$ has good reduction

so (A, η) extends to W .

To be updated; I would like to
change \mathbb{Z}_p to $\mathbb{Z}_{(p)}$

(Is $\text{Spec } \mathbb{Z}_p \rightarrow \text{Spec } \mathbb{Z}_{(p)}$
formally smooth?)