

Moduli of Abelian Varieties

Ching-Li Chai

Graduate Colloquium, March 15, 2017

Goal: survey the geometry of the moduli space
 of (principally polarized) abelian varieties,
 with emphasis in the case of positive characteristic
 $p > 0$, and the related rigidity phenomena

- history: elliptic curves $\xrightarrow{\text{curves of higher genera}} \dots \rightarrow$ moduli space of curves M_g
 $\xrightarrow{\text{abelian varieties}} \text{moduli space of abelian varieties } A_g$
- definitions, p -divisible groups
- phenomena and structures in characteristic $p > 0$.
 predictions (= conjectures)
- new tools/methods applicable to other problems

§1 From elliptic curves to abelian varieties and their moduli

1.1 What is an elliptic curve? several approaches

(a) algebra $E = \{y^2 = 4x^3 - g_2x - g_3\}$, $\Delta := g_2^3 - 27g_3^2 \neq 0$, $j := 1728 \frac{g_2^3}{\Delta}$

(b) geometry $E(\mathbb{C}) \xleftarrow{\sim} \text{Lie}(E)/H_1(E(\mathbb{C}); \mathbb{Z}) \cong \mathbb{C}/\mathbb{Z}\tau + \mathbb{Z}$ $\tau \in \mathfrak{H} = \{\tau \in \mathbb{C} \mid \text{Im}(\tau) > 0\}$

$$\begin{array}{ccc} P & \mapsto & \int_{\infty}^P \frac{dx}{y} \end{array}$$

$$\Lambda_{\tau} := \mathbb{Z}\tau + \mathbb{Z}$$

(c) analysis

$$f(z; \tau) = \frac{1}{z^2} + \sum_{\gamma \in \Lambda_{\tau} \setminus \{0\}} \left[\frac{1}{(z-\gamma)^2} - \frac{1}{\gamma^2} \right]$$

$$\Rightarrow \left(\frac{d}{dz} f(z, \tau) \right)^2 = 4 f(z, \tau)^3 - g_2(\Lambda_{\tau}) f(z, \tau) - g_3(\Lambda_{\tau})$$

where $g_2(\Lambda_{\tau}) = 60 \sum_{\gamma \in \Lambda_{\tau} \setminus \{0\}} \frac{1}{\gamma^4}$, $g_3(\Lambda_{\tau}) = 140 \sum_{\gamma \in \Lambda_{\tau} \setminus \{0\}} \frac{1}{\gamma^6}$

1.2. The origin of elliptic curves : Diophantine equations, elliptic integrals

- Fermat $x^4 - y^4 = z^2$ has no non-trivial rational solution (infinite descent)
- Gauss $E_{\text{aff}} := \{1=x^2+y^2+x^2y^2\}$ $(a+\sqrt{b}) \cdot \mathbb{Z}[\sqrt{d}]$: prime ideal s.t. $a+\sqrt{b} \equiv 1 \pmod{(1+\sqrt{d})^3}$
 (1814) $\# E(\mathbb{Z}[\sqrt{d}]/(a+\sqrt{b}) \cdot \mathbb{Z}[\sqrt{d}]) = (a-1)^2 + b^2$
- December 1751, paper by Fagnano reached Euler in Berlin

$\frac{dx}{\sqrt{1-x^4}} = \frac{dy}{\sqrt{1-y^4}}$ has rational solutions, i.e. $\int_0^x \frac{d\rho}{\sqrt{1-\rho^4}} = \int_0^y \frac{d\psi}{\sqrt{1-\psi^4}}$
admits solutions where
 $y = a$ rational function of x

Note: The elliptic curves involved in the above are all twists of
"the same" curve with CM by $\mathbb{Z}[\sqrt{d}]$, $j=1728$

1.3. Periods of compact Riemann surfaces/smooth projective algebraic curves

$S = C(\mathbb{C})$ compact Riemann surface; $\gamma_1, \dots, \gamma_{2g}$: \mathbb{Z} -basis of $H_1(S; \mathbb{Z})$

$\omega_1, \dots, \omega_g$: \mathbb{C} -basis of $\Gamma(S, \Omega_S^1)$. $\Delta = (\gamma_i, \gamma_j) \in M_{2g}(\mathbb{Z})$

$$P = \left(\int_{\gamma_j} \omega_r \right)_{\substack{1 \leq r \leq g \\ 1 \leq j \leq 2g}} = (P_{r,j}) \in M_{g \times 2g}(\mathbb{C})$$

Riemann bilinear
relations

$$P \cdot \Delta^{-1} \cdot {}^t P = 0$$

$$- \sqrt{-1} \cdot P \cdot \Delta^{-1} \cdot \bar{P} \gg 0_g$$

$$C \hookrightarrow \text{Pic}^1(C)$$

$$\text{Pic}^0(C) = \text{Jac}(C) = \Gamma(C, \Omega^1)^\vee / H_1(C(\mathbb{C}), \mathbb{Z})$$

1.4. Abelian varieties

Defⁿ (i) (over \mathbb{C}) a compact complex torus $\mathbb{C}^g / Q \cdot \mathbb{Z}^{2g}$, $Q \in M_{g \times 2g}(\mathbb{C})$ is a complex abelian variety iff \exists a skew-symmetric $E \in M_{2g}(\mathbb{Z})$ with $\det(E) \neq 0$ s.t.

$$\begin{cases} Q \cdot E^{-1} \cdot {}^t Q = 0 \\ \sqrt{-1} \cdot Q \cdot E^{-1} \cdot {}^t \bar{Q} >> 0 \end{cases}$$

(i)' (equivalent to (i)) a compact complex torus is a complex abelian variety iff it admits a holomorphic embedding into $\mathbb{P}^N(\mathbb{C})$ for some N .

(ii) (Weil 1948) An irreducible algebraic group over a field k which is a complete (i.e. proper) over k is an abelian variety.

Defⁿ (polarization of abelian varieties)

- (i) A polarization of an abelian variety A is an algebraic equivalence class of an ample divisor on A .
- (ii) A polarization of an abelian variety A represented by an ample divisor D on A is a principal polarization if $D^g = g!$

Fact : (i) The polarization attached to an ample divisor D on A is uniquely determined by the algebraic homomorphism

$$\varphi_{[D]}: A \longrightarrow {}^tA = \text{Pic}^\circ(A) = \text{dual abelian variety, classifying line bundles on } A \text{ which are algebraically equivalent to } 0.$$

$$x \mapsto \mathcal{O}_A((D-x)-D)$$

(2) Over \mathbb{C} , $c(D) \in H^2(A(\mathbb{C}); \mathbb{Z}(1))$ corresponds to a non-singular skew-symmetric pairing $H_1(A(\mathbb{C}); \mathbb{Z}) \times H_1(A(\mathbb{C}); \mathbb{Z}) \rightarrow \mathbb{Z}(1)$

$[D]$ is a principal polarization \Leftrightarrow the above is a perfect pairing over \mathbb{Z}

↑
effective divisor on A

Over \mathbb{C}

1) Every principally polarized abelian variety of dimension g over \mathbb{C}
is isomorphic to $A_\Omega := \mathbb{C}^g / \Omega \cdot \mathbb{Z}^g + \mathbb{Z}^g$

for some $\Omega \in \mathfrak{H}_g := \{\Omega \in M_g(\mathbb{C}) \mid {}^t\Omega = \Omega, \text{Im}(\Omega) \gg 0_g\}$

2) $(A_{\Omega_1}, \lambda_{\Omega_1}) \cong (A_{\Omega_2}, \lambda_{\Omega_2})$ iff $\exists \begin{pmatrix} AB \\ CD \end{pmatrix} \in Sp_{2g}(\mathbb{Z})$

such that $\overset{\text{polarization}}{(A\Omega_1 + B) \cdot (C\Omega_1 + D)^{-1} = \Omega_2}$

$$\text{i.e. } \begin{pmatrix} AB \\ CD \end{pmatrix} \cdot \begin{pmatrix} {}^tD & -{}^tB \\ -{}^tC & {}^tA \end{pmatrix} = \begin{pmatrix} I_g & 0 \\ 0 & I_g \end{pmatrix}$$

Note: $Sp_{2g}(\mathbb{R})$ acts on \mathfrak{H}_g by

$$\begin{pmatrix} AB \\ CD \end{pmatrix} : \Omega \mapsto (A\Omega + B) \cdot (C\Omega + D)^{-1}$$

This is a transitive action

1.5. The moduli space of g -dimensional principally polarized abelian varieties A_g

Idea/phenomenon

- The set of all isomorphism classes of g -dimensional abelian varieties (with level- n structure) has a natural structure as an algebraic variety
- A subvariety of A_g corresponds to a family of abelian varieties
↑
or more generally,
a morphism $S \rightarrow A_g$

Ex. $g=1$. The set of all isomorphism classes of elliptic curves is parametrized by $\mathbb{A}^1 : E \mapsto j(E)$

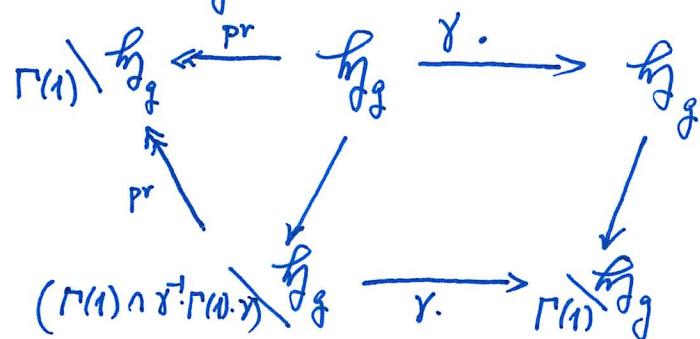
$$\text{Ex. } A_g(\mathbb{C}) \cong \frac{\mathbb{Sp}_{2g}(\mathbb{Z})}{\mathbb{H}_g}$$

- Existence of \mathcal{A}_g over \mathbb{Z} : Mumford 1965
- Fact : \mathcal{A}_g/k is irreducible \forall field k
 - case $k = \mathbb{C}$: immediate from complex uniformization $\mathcal{A}_g(\mathbb{C}) \cong \frac{\mathbb{H}^g}{\mathcal{O}_g}$
 - $\text{char}(k) = 0$: follows from the case $k = \mathbb{C}$
 - $\text{char}(k) = p > 0$ Faltings-C. 1984

§2 Hecke symmetry on \mathcal{A}_g

2.1 Definition

Complex version : (transcendental) $\forall \gamma \in Sp_{2g}(\mathbb{Q})$, $Sp_{2g}(\mathbb{Z}) \cdot \gamma \cdot \overline{Sp_{2g}(\mathbb{Z})}$ induces an algebraic correspondence on $\mathcal{F}_{2g}(\mathbb{Z})$:



(Think of



algebraic version:

$$p = \text{char } (\mathbb{F}_k)$$

- * $[(A_1, \lambda_1)], [(A_2, \lambda_2)] \in \mathcal{A}_g(\mathbb{F}_k)$ are in the same (prime-to- p) Hecke orbit
 if \exists an isogeny $\alpha: A_1 \rightarrow A_2$ and $n \in \mathbb{Z}_{>0}$ (with $\gcd(n, p) = 1$)
 such that $\alpha^*(\lambda_2) = n \cdot \lambda_1$

Adelic picture:

$$\begin{aligned} \mathcal{A}_{Sp_{2g}}(\mathbb{A}_f^{(p)}) &\hookrightarrow \tilde{\mathcal{A}}_g^{(p)} = \varprojlim_{\substack{\longleftarrow \\ \gcd(n, p) = 1}} \mathcal{A}_{g, n} \\ &\downarrow \text{Galois with group } Sp_{2g} \\ &\mathcal{A}_g \end{aligned}$$

$$\mathbb{A}_f^{(p)} = \left(\prod_{\ell \neq p} \mathbb{Z}_\ell \right) \otimes_{\mathbb{Z}} \hat{\mathbb{Z}}^{(p)}$$

$$\Gamma(n) \backslash \frac{\mathbb{H}_g}{\mathbb{Z}^{(p)}} \quad \text{when } \mathbb{F}_k = \mathbb{C}$$

prime-to- p Hecke orbits on \mathcal{A}_g \longleftrightarrow $Sp_{2g}(\mathbb{A}_f^{(p)})$ -orbits on $\tilde{\mathcal{A}}_g^{(p)}$

phenomenon: Every Hecke orbit is large ("as large as possible")

2.2. p -divisible groups Tate 1967

Definition: A p -divisible group $X \rightarrow S$ is an inductive system of commutative finite locally free group schemes

$$\left((X_n \rightarrow S)_{n \in \mathbb{N}}, i_{n+1,n} : X_n \hookrightarrow X_{n+1} \right)$$

together with faithfully flat homomorphisms

$$\pi_{n,n+1} : X_{n+1} \longrightarrow X_n$$

such that $i_{n+1,n} \circ \pi_{n,n+1} = [p]_{X_{n+1}} \cdot \pi_{n,n+1} \circ i_{n+1,n} = [p]_{X_n} \quad \forall n$

Fact: $\exists!$ locally constant function $h : S \rightarrow \mathbb{N}$ such that $\text{rk}(X_n/S) = p^{nh} \quad \forall n$
 ↑ height of X_S

Main Example: $A \rightarrow S$ abelian scheme $\rightsquigarrow A[p^\infty] := \left(\varprojlim_n A[p^n] \right)_{n \in \mathbb{N}}$
 is a p -divisible group of rank $2 \cdot \dim(A/S)$ ↑
 a substitute for Lie algebra
 in char. $p > 0$

2.3 p-adic invariants of abelian varieties

- All p-adic invariants of an abelian variety A/\mathbb{F}_p , $\mathbb{F}_p \supseteq k \supseteq \mathbb{F}_p$, come from the p-divisible group $A[p^\infty]$
- Every prime-to-p Hecke symmetry / symplectic isogeny between principally polarized abelian varieties over $k \supseteq \mathbb{F}_p$ preserves all p-adic invariants

Examples of p-adic invariants

(a) slopes / Newton polygon of a p-divisible group X/\mathbb{F}_p

idea :- compare $Fr_{X/\mathbb{F}_p}^{(p)}$: $X \rightarrow X^{(p)}$ with $X[p^\infty]$

- slopes = p-adic valuation of "eigenvalues" of $Fr_{X/\mathbb{F}_p}^{(p)}$
↑ does not quite make sense unless k is finite

Every g-dim^t abelian variety has 2g slopes

$$0 \leq \lambda_1 \leq \lambda_2 \leq \dots \leq \lambda_{2g} \leq 1, \quad \lambda_i \in \mathbb{Q} \quad \forall i, \quad \lambda_i + \lambda_{g+1-i} = 1 \quad \forall i.$$

denominator (λ_i) | multiplicity (λ_i) $\forall i$

- A is ordinary \Leftrightarrow slopes are 0 or 1

A is supersingular \Leftrightarrow all slopes are $\frac{1}{2}$

ordinary abelian varieties in \mathcal{A}_g form an open dense subset of \mathcal{A}_g/k

Example (b) $(A, \lambda) \mapsto$ isom. class of $(A[p], \lambda[p])$

(c) $(A, \lambda) \mapsto$ isom class of $(A[p^\infty], \lambda[p^\infty])$

Thm (C. 1995) $\forall x = [(A, \lambda)] \in \mathcal{A}_g(k)$ with A ordinary, the prime-to- p Hecke orbit of x is Zariski dense in \mathcal{A}_g

§3 Leaves in $A_g / \mathbb{F}_p = \mathbb{F}_p$, $\mathbb{F} = \mathbb{F}_p$

Defⁿ (Oort, 1999) Given $x = [(A, \lambda)] \in A(\mathbb{F}_p)$, the leaf $C(x)$ through x is the locally closed subvariety of A_g s.t.

$$C(x)(\mathbb{F}_p) = \left\{ [(B, \mu)] \in A_g(\mathbb{F}_p) \mid (B[\mathbb{F}_p^\infty], \mu[\mathbb{F}_p^\infty]) \cong (A[\mathbb{F}_p^\infty], \lambda[\mathbb{F}_p^\infty]) \right\}$$

Fact: Every leaf in A_g is smooth, and stable under all prime-to- p Hecke correspondences

Conjecture (Oort) Given a leaf $C \subset A_g$ and $x \in C(\mathbb{F}_p)$, the prime-to- p Hecke orbit of x is Zariski dense in C

Ans. True (Oort+C. 2006)

proof uses a special property of A_g ("Hilbert trick")

The conjecture for general PEL-type moduli spaces remains open

§3 New tools, structures and conjectures/predictions/phenomena related to Hecke symmetry

3.1 Monodromy and irreducibility results

Prop A. (reducing irreducibility to Hecke transitivity)
_(C)

Let $Z \subseteq A_g$ be a positive dimensional locally closed subvariety stable under all prime-to- p Hecke correspondences. If Hecke symmetries are transitive on $\pi_0(Z)$, then Z is irreducible

Prop. B. Let $C \subseteq A_g$ be a positive-dimensional leaf on A_g
_(cont'd. C.)
 (equivalently, C is not supersingular), then the naive p -adic monodromy of C is maximal, so is the l -adic monodromy of $C \quad \forall l \neq p$.

Prop. C Every non-supersingular Newton stratum in \mathcal{A}_g is irreducible
(Cont'd.)

Prop. D Every non-supersingular leaf in \mathcal{A}_g is irreducible

Note Prop. A is used in the proof of B-D.

i.e. the maximality/irreducibility results in B-D are proved
using Hecke symmetry.

3.2. Local structure of leaves (the 2-slope case) $k = \bar{k} \geq |\mathbb{F}_p|$

$$A_g \supseteq C \ni x_0 = [(A_0, \lambda_0)] \quad \text{slope of } A_0 = \{\lambda, 1-\lambda\} \quad \lambda < \frac{1}{2}$$

\uparrow
a leaf

Prop. $C^{x_0} =$ the formal completion of C at x_0 has a natural structure as a (trivial torsor for) an isoclinic p -divisible formal group with slope $1-2\lambda$ and height $\dim_{\mathbb{F}_p} A_g$

\uparrow
 $(1-\lambda) - \lambda$

\uparrow
 $\dim_{\mathbb{F}_p} A_g$

3.3. Local stabilizer principle $k = \bar{k} \cong \mathbb{F}_p$

Prop. Let $Z \subseteq A_g$ be a locally closed subvariety stable under all prime-to-p Hecke correspondences, $x_0 = [A_0, \lambda_0] \in Z(k)$.

Then $Z'^{x_0} \subseteq A_g'^{x_0}$ is stable under the natural action of an open subgroup of $\overset{\text{unitary group}}{\underset{\text{semisimple algebra with involution}}{\underset{\uparrow}{U}(\underset{\lambda_0}{\text{End}(A_0)}, *_{\lambda_0})}}(\mathbb{Z}_p)$ on $A_g'^{x_0}$.

Explanation:

$\text{Aut}(A_0[p^\infty], \lambda_0[p^\infty])$ acts on $A_g'^{x_0} = \text{Def}(A_0, \lambda_0) \xrightarrow{\text{Serre-Tate}} \text{Def}(A_0[p^\infty], \lambda_0[p^\infty])$

$$\overset{\cup}{U}(\text{End}(A_0), *_{\lambda_0})$$

"locally stabilizer subgroup
at x_0 ", corresponding to
Hecke symmetries fixing x_0

3.4. Rigidity phenomena $k = \bar{k} = \mathbb{F}_p$, X/k : p -divisible formal group

Theorem (C., local rigidity for p -divisible groups)

$Z \subseteq X$ irreducible formal subvariety.

$G \subseteq \text{Aut}(X)$. a p -adic Lie group acting on X

- Assume :
- No open subgroup of G operates trivially on any non-zero quotient of X (G operates "strongly non-trivially" on X)
 - Z is stable under G

Then Z is a p -divisible formal subgroup of X

Remark: (recent progress: local rigidity holds for bi-extensions of p -divisible groups)

"Exercise" Case $X = \hat{\mathbb{G}}_m^h = \text{Spf}(\bar{\mathbb{F}_p}[[T_1, \dots, T_h]])$

group law: $\psi: \bar{\mathbb{F}_p}[[T_1, \dots, T_h]] \rightarrow \bar{\mathbb{F}_p}[[u_1, \dots, u_h, v_1, \dots, v_h]]$

$$T_i \mapsto u_i + v_i + u_i v_i$$

$$(1+u) \cdot (1+v) = 1 + u + v + uv$$

$G = 1 + p^2 \mathbb{Z}_p \subset \mathbb{Z}_p^\times$ operates on $\bar{\mathbb{F}_p}[[T_1, \dots, T_h]]$
 $= \langle 1+p^2 \rangle$

$$[1+p^2]^*: f(T_1, \dots, T_h) \mapsto f((1+T_1)^{\frac{1}{1+p^2}} - 1, \dots, (1+T_h)^{\frac{1}{1+p^2}} - 1)$$

The statement is: If $P \subseteq \bar{\mathbb{F}_p}[[T_1, \dots, T_h]]$ is a prime ideal s.t.

$$[1+p^2]^*(P) \subseteq P, \text{ then } \psi(P) \subseteq (\text{pr}_1^*(P), \text{pr}_2^*(P))$$

where $\text{pr}_1^*(f(T_1, \dots, T_h)) := f(u_1, \dots, u_h)$
 $\text{pr}_2^*(f(T_1, \dots, T_h)) := f(v_1, \dots, v_h)$

Application (Exercise + local stabilizer principle)

E_0 = an ordinary elliptic curve over $\bar{\mathbb{F}_p}$

$A_0 = E_0 \times \dots \times E_0$, λ_0 = product polarization on A_0 $x_0 = [(A_0, \lambda_0)] \in A_g(\bar{\mathbb{F}_p})$
g-times

Then the prime-to- p Hecke orbit of x_0 is Zariski dense in A_g

Pf. $A_g^{x_0} \cong \widehat{\mathbb{G}_m}^{g(g+1)/2}$, $U(\text{End}(A_0), *_{\lambda_0})(\mathbb{Z}_p) \cong GL_g(\mathbb{Z}_p)$

The action of $GL_g(\mathbb{Z}_p)$ on $X^*(\widehat{\mathbb{G}_m}^{g(g+1)/2}) \cong \mathbb{Z}_p^{g(g+1)/2}$

$\cong S^2$ (standard representation of $GL_g(\mathbb{Z}_p)$ on \mathbb{Z}_p^g)

3.5 Global rigidity Conjecture

Conj.: Suppose $Z \subseteq A_g^{\text{ord}}$, $x_0 = [(A_0, \lambda_0)] \in A_g^{\text{ord}}(\overline{\mathbb{F}_p})$.

Assume that $Z^{x_0} \subseteq A_g^{x_0}$ ($=$ Serre-Tate formal torus) is a formal subtorus.

Then Z is the reduction of a Shimura subvariety of A_g

Remark: True if $Z \subset$ a Hilbert modular subvariety (C.)

This is the main geometric ingredient of Hida's proof
(together with the local rigidity for p -divisible groups)

of the non-vanishing of the μ -invariant for Katz p -adic
L-functions (Ann. Math. 2012)

3.6 A (special case of a) local rigidity conjecture

G_0 = a 1-dim^l smooth formal group over $\overline{\mathbb{F}_p}$, ht(G_0) = h

M = equi-characteristic p deformation space of G_0 (so slope(G_0) = $\frac{1}{h}$)
 $\xrightarrow[\text{Lubin-Tate}]{\cong} \text{Spf}(\overline{\mathbb{F}_p}[[x_1, \dots, x_{n-1}]])$ $x_i = \text{Hasse invariant}$
 1966

Conj. Suppose $Z \subseteq M$ is an irreducible formal subvariety such that
 $x_i|_Z \neq 0$ (i.e. Z is generically ordinary), and Z is stable under
 the action of an open subgroup of $\text{Aut}(G_0)$,

then $Z = M$

↑ group of units in a central
 division algebra over \mathbb{Q}_p , $\dim_{\mathbb{Q}_p} = h^2$,
 with Brauer invariant γ_h

3.7. New/better definition of leaves

Definition. Let $\kappa = \text{a field of characteristic } p > 0$

$X_0/\kappa = \text{a } p\text{-divisible group over } \kappa$

$S/\kappa = \text{a } \kappa\text{-scheme}$

A p -divisible group $X \rightarrow S$ is strongly κ -sustained modeled on X_0

if

$\underline{\text{Isom}}_S(X_0[p^n]_{\text{Spec } \kappa} \times_S S, X[p^n]) \rightarrow S$ is faithfully flat $\forall n \in S$