

ON NILPOTENT AUTOMORPHISM GROUPS OF FUNCTION FIELDS

Nurdagül Anbar
(joint work with Burçin Güneş)

Sabancı University, İstanbul

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K : an algebraically closed field

$\text{Char}(K)$: the characteristic of K

F/K : a function field with constant field K

$g(F)$: the genus of F

\mathbb{P}_F : the set of places of F

Definition: An automorphism σ of F/K is a field automorphism of F such that $\sigma(\alpha) = \alpha$ for all $\alpha \in K$. The automorphism group

$$\text{Aut}(F/K) = \{\sigma : \sigma \text{ is an automorphism of } F\}$$

Example: Rational Function Field, i.e., $F = K(x)$.

$\sigma : F \mapsto F$ defined by $x \mapsto \frac{ax+b}{cx+d}$ for some $a, b, c, d \in K$.

σ is an automorphism of $F \iff ad - bc \neq 0$

In fact, $\text{Aut}(F/K) \cong \text{PGL}(2, K)$

If $g(F) = 1$, then $\text{Cl}^0(F) \subseteq \text{Aut}(F/K)$.

That is, if $g(F) = 0$ or 1 , then $\text{Aut}(F/K)$ is infinite.

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KNOWN BOUNDS FOR THE CASE $g(F) \geq 2$

If $g(F) \geq 2$, then $\text{Aut}(F/K)$ is finite. (Hurwitz (1893) and Schmid (1938))

(I) (Hurwitz, 1893) If $K = \mathbb{C}$, then $|\text{Aut}(F/K)| \leq 84(g(F) - 1)$.

(II) (Roquette, 1970) If $p = \text{Char}(K) > 0$ and $p \nmid |\text{Aut}(F/K)|$, then $|\text{Aut}(F/K)| \leq 84(g(F) - 1)$.

(III) (Stichtenoth, 1973) If $p = \text{Char}(K) > 0$ and $p \mid |\text{Aut}(F/K)|$, then

$$|\text{Aut}(F/K)| \leq 16g(F)^4$$

with one exception: the Hermitian function fields \mathcal{H} defined by $y^{p^n} + y = x^{p^n+1}$.

$$g(\mathcal{H}) = \frac{p^{2n} - p^n}{2} \quad \text{and} \quad |\text{Aut}(\mathcal{H}/K)| = p^{3n}(p^{2n} - 1)(p^{3n} + 1).$$

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SPECIAL TYPES OF GROUPS

Let F/K be a function field of $g(F) \geq 2$ and G a subgroup of $\text{Aut}(F/K)$.

- (i) (Zomorrodian, 1985) If $K = \mathbb{C}$ and G is nilpotent, then $|G| \leq 16(g(F) - 1)$. Moreover, if the equality holds, then $g(F) - 1$ is a power of 2.

Conversely, if $g - 1$ is a power of 2, then there exists F/K of genus $g(F) = g$ with $|\text{Aut}(F/K)| = 16(g - 1)$.

- (ii) (Nakajima, 1987) If G is abelian, then $|G| \leq 4(g(F) + 1)$.
- (iii) (Korchmaros and Montanucci, 2020) If G has order power of a prime $\ell \geq 3$, with $\ell \neq \text{Char}(K)$, then $|G| \leq 9(g(F) - 1)$.

Question: Is there an upper bound for $|G|$ in terms of a linear polynomial in $g(F)$ when $\text{Char}(K) > 0$ and G is nilpotent?

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Theorem: (A., Güneş) Let K be an algebraically closed field of characteristic $p > 0$ and let F/K be a function field of genus $g \geq 2$. If G is a nilpotent subgroup of $\text{Aut}(F/K)$, then

$$|G| \leq 16(g - 1)$$

except the case that the fixed field F_0 of G is rational such that F_0 has a unique place ramified in F . Moreover, if the equality holds, then $g(F) - 1$ is a power of 2.

Remark: In the exceptional case, G is a p -group and the unique ramified place of F_0 is totally ramified in F . Then $|G| \leq \frac{4p}{(p-1)^2} g(F)^2$ by a result of Stichtenoth (1973).

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Main Tool: Galois extensions of function fields.

Setting:

$$G \leq \text{Aut}(F/K)$$

$$F^G := \{\beta \in F \mid \sigma(\beta) = \beta \text{ for all } \sigma \in G\} \subseteq F$$

F^G is a function field over K .

F/F^G is a Galois extension of degree $|G|$.

By the Hurwitz genus formula,

$$2g(F) - 2 = |G|(2g(F^G) - 2) + \deg(\text{Diff}(F/F^G))$$

That is, $|G|$ is closely related to genus and the ramification.

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PROPERTIES OF GALOIS EXTENSIONS

Let F/E be a Galois extension of function fields. For $Q \in \mathbb{P}_E$ and $P \in \mathbb{P}_F$ such that $P \supseteq Q$, we write $P|Q$ and denote by

$e(P|Q)$ the ramification index of $P|Q$,

$d(P|Q)$ the different exponent of $P|Q$.

$G = \text{Gal}(F/E)$

(i) Let $Q \in \mathbb{P}_E$ and $\mathcal{T} = \{P \in \mathbb{P}_F : P|Q\} = \{P_1, \dots, P_r\}$.

G acts transitively on \mathcal{T} . Hence, for all $i, j \in \{1, \dots, r\}$, we have

$$e(P_i|Q) = e(P_j|Q) =: e(Q) \quad d(P_i|Q) = d(P_j|Q) =: d(Q)$$

(ii) By the “Fundamental Equality”, $|G| = re(Q)$, i.e., $e(Q) \mid |G|$ and $r \mid |G|$.

(iii) By the Hurwitz genus formula,

$$2g(F) - 2 = |G| \left(2g(E) - 2 + \sum_{Q \in \mathbb{P}_E} \frac{d(Q)}{e(Q)} \right).$$

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Dedekind's Different Theorem: Let F/E be a Galois extension of function fields. For $Q \in \mathbb{P}_E$

$$(I) \quad d(Q) \geq e(Q) - 1$$

$$(II) \quad d(Q) = e(Q) - 1 \text{ if and only if } p \nmid e(Q).$$

Definition: We say, Q is “tamely ramified” if $p \nmid e(Q)$. Otherwise, it is called “wildly ramified”.

Observation:

$$(I) \quad \text{If } Q \text{ is tamely ramified then } \frac{d(Q)}{e(Q)} = \frac{e(Q)-1}{e(Q)} \geq \frac{1}{2}.$$

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Recall: F/K is a function field of genus $g \geq 2$ and $G \leq \text{Aut}(F/K)$ nilpotent subgroup. Set $F_0 = F^G$ and $g_0 = g(F_0)$. By the Hurwitz genus formula,

$$2g - 2 = |G| \left(2g_0 - 2 + \sum_{Q \in \mathbb{P}_{F_0}} \frac{d(Q)}{e(Q)} \right).$$

Simple Case $g_0 \geq 1$:

$$(I) \quad g_0 \geq 2 \implies 2g - 2 \geq |G|(2g_0 - 2) \geq 2|G| \implies |G| \leq (g - 1)$$

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We investigate $g_0 = 0$ with respect to the number of ramified places.

Definition: Let Q_1, \dots, Q_r be all the ramified places of F_0 in F/F_0 with ramification indices e_1, \dots, e_r , respectively. W.l.o.g., we assume that $e_1 \leq \dots \leq e_r$. We say that F is of type (e_1, \dots, e_r) .

Case $r \geq 5$: Set $d_i := d(Q_i)$. By the Hurwitz genus formula,

$$2g - 2 = |G| \left(-2 + \sum_{i=1}^r \frac{d_i}{e_i} \right) \geq |G| \left(-2 + 5 \cdot \frac{1}{2} \right) = \frac{|G|}{2},$$

i.e., $|G| \leq 4(g - 1)$.

Therefore, we need to investigate $1 \leq r \leq 4$. That is, we investigate function fields of type (e_1, e_2, e_3, e_4) , (e_1, e_2, e_3) , (e_1, e_2) and (e_1) .

Fact: If G is a finite nilpotent group, then G has a normal subgroup of order n for each divisor n of $|G|$.

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THE CASE $(2, 4, e_3)$

Lemma: Let ℓ be a prime number. Then $\ell \mid |G|$ if and only if $\ell \mid e_i$ for some i .

Proof. Suppose that $\ell \mid |G|$ and $\ell \nmid e_i$ for any i . Let $H \triangleleft G$ such that $[G : H] = \ell$.

$$\begin{array}{c}
 F \\
 \left. \begin{array}{c} \text{deg} = |H| \\ \left| \right. \end{array} \right\} \\
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$\implies F^H / F_0$ is an unramified Galois extension of degree ℓ

$\implies 2g(F^H) - 2 = -2\ell$

$\implies g(F^H) = -\ell + 1 < 0$, a contradiction.

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IN FACT, if ℓ is a prime number, which divides **exactly** one of e_i , then $\ell = \text{char}(K)$.

Lemma: Let $p = \text{char}(K)$ and $|G| = p^a N$ with $a, N \geq 1$ and $\gcd(p, N) = 1$. Let $e(Q) = p^t n$ such that $\gcd(p, n) = 1$. Then $d(Q) \geq (e(Q) - 1) + n(p^t - 1)$.

Proof. Let $H \trianglelefteq G$ of index p^a . Set $P' = P \cap F^H$.

$$\begin{array}{ccc}
 F & & P \\
 \text{deg}=N \Big\downarrow & & \Big\downarrow e_1=n, d_1=n-1 \\
 F^H & & P' \\
 \text{deg}=p^a \Big\downarrow & & \Big\downarrow e_2=p^t, d_2 \geq 2(p^t-1) \\
 F_0 & & Q
 \end{array}$$

By the transitivity of different exponent,

$$d(Q) = e_1 d_2 + d_1 \geq 2n(p^t - 1) + n - 1 = (e(Q) - 1) + n(p^t - 1)$$

The case $(2, 4, e_3)$:

(I) $\text{char}(K) = 2 \implies Q_1$ and Q_2 are wildly ramified \implies
 $d_1/e_1, d_2/e_2 \geq 1$ and $d_3/e_3 \geq 1/2 \implies |G| \leq 4(g-1)$

(II) $\text{char}(K) \neq 2 \implies e_3 = 2^a \ell^b$ for a prime $\ell > 2$ and $a, b \geq 0$

- $b > 0 \implies \ell = \text{Char}(K)$ and $d_3 \geq (2^a \ell^b - 1) + 2^a(\ell^b - 1) \implies |G| < 3(g-1)$
- Suppose that $b = 0$. Since $\text{char}(K) \neq 2$,

$$2g - 2 = |G| \left(-2 + \frac{1}{2} + \frac{3}{4} + \frac{2^a - 1}{2^a} \right) = |G| \left(\frac{1}{4} - \frac{1}{2^a} \right).$$

Then the fact that $g \geq 2$ implies that $a \geq 3$; hence, $|G| \leq 16(g-1)$.

Remark:

$|G| = 16(g-1) \iff a = 3$, i.e., F is of type $(2, 4, 8)$.

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Theorem (A.-Güneş):

Let F/K be a function field of genus $g \geq 2$ and G a nilpotent subgroup of $\text{Aut}(F/K)$. Suppose that $F_0 := F^G$ is rational.

- (I) If there are exactly 4 ramified places of F_0 in F/F_0 , then $|G| \leq 8(g-1)$. Moreover, the equality holds when $\text{Char}(K) \neq 2$, F is of type $(2, 2, 2, 4)$ and G is a 2-group.
- (II) If there are exactly 3 ramified places of F_0 in F/F_0 , then $|G| \leq 16(g-1)$. Moreover, the equality holds when $\text{Char}(K) \neq 2$, F is of type $(2, 4, 8)$ and G is a 2-group.
- (III) If there are exactly 2 ramified places of F_0 in F/F_0 , then $|G| \leq 10(g-1)$. Moreover, the equality holds when F is either of type $(2, 10)$ or $(5, 10)$ and G is cyclic of order 10.
- (IV) If there is exactly 1 ramified place of F_0 in F/F_0 , then G is a p -group and $|G| \leq \frac{4p}{(p-1)^2} g^2$, where $p = \text{Char}(K)$.

Example: $r = 3$

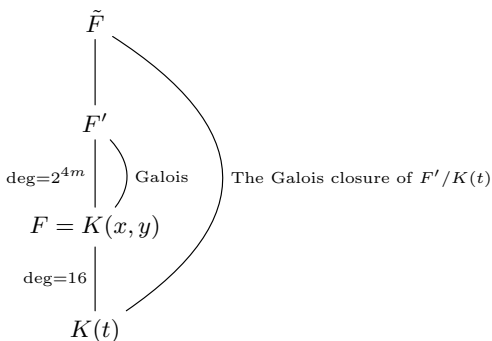
Let $p \neq 2$ and $F = K(x, y)$ of $g(F) = 2$ defined by $y^2 = x(x^4 - 1)$. For ζ primitive 8-th root of unity

$$\sigma : \begin{cases} x \mapsto \zeta^2 x \\ y \mapsto \zeta y \end{cases} \quad \text{and} \quad \tau : \begin{cases} x \mapsto -1/x \\ y \mapsto y/x^3 \end{cases} \quad \text{are in } \text{Aut}(F/K).$$

- $G = \langle \sigma, \tau \rangle \leq \text{Aut}(F/K)$ is a group of order 16, i.e., $|G| = 16(g(F) - 1)$.
- $F^G = K(t)$, where $t = (x^8 + 1)/2x^4$.
- $(t = -1)$, $(t = 1)$ and $(t = \infty)$ with ramification indices are 2, 4, 8, respectively.

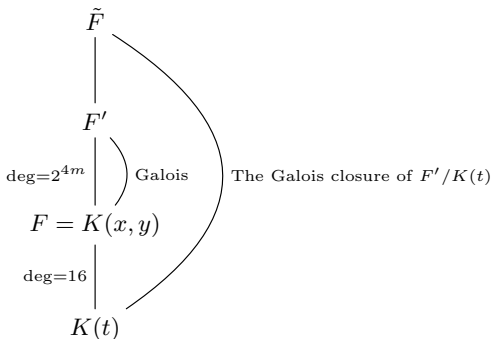
$$\begin{array}{c} F = K(x, y) \\ \left. \begin{array}{l} y^2 = x(x^4 - 1) \\ \text{deg} = 2 \end{array} \right| \\ K(x) \\ \left. \begin{array}{l} t = \frac{x^8 + 1}{2x^4} \\ \text{deg} = 8 \end{array} \right| \\ K(t) \end{array}$$

For $m \geq 1$, the field F has a unique maximal unramified abelian extension F' such that $[F' : F] = 2^{4m}$.

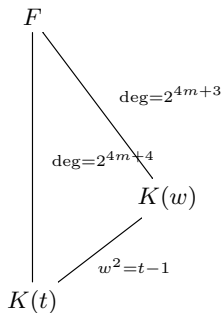


- $\tilde{F} = F'$, i.e., $F'/K(t)$ is Galois.
- $[F' : K(t)] = 2^{4m+4}$ and $g(F') = 2^{4m} + 1$, i.e.,
 $\text{Gal}(F'/K(t)) = 16(g(F') - 1)$
- $(t = -1)$, $(t = 1)$ and $(t = \infty)$ are the only ramified places of
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Example: $r = 4$ 

$$e(w = \pm\alpha) = 2$$

$$\left| \begin{array}{c} \alpha^2 = -2 \end{array} \right.$$

$$e(t = -1) = 2$$

$$e(w = 0) = 2$$

$$\left| \begin{array}{c} e=2 \end{array} \right.$$

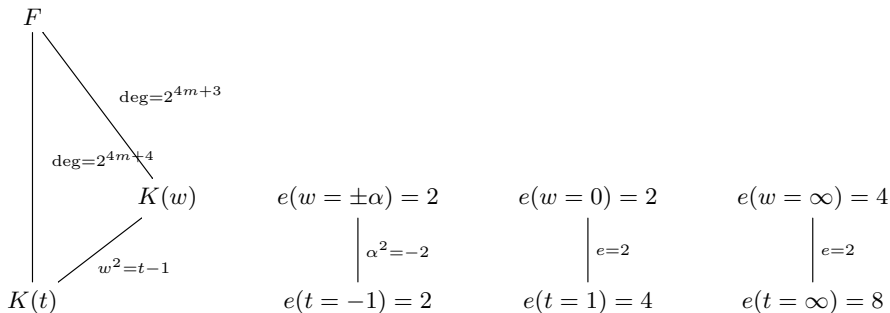
$$e(t = 1) = 4$$

$$e(w = \infty) = 4$$

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$$e(t = \infty) = 8$$

- F is of type $(2, 2, 2, 4)$.
- $g(F) = 2^{4m} + 1$ and $|G| = |\text{Gal}(F/K(w))| = 2^{4m+3}$, i.e., $|G| = 8(g(F) - 1)$.

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Example: $r = 2$

- (I) $p = 5$ and $F = K(x, y)$ of genus 2 defined by $y^5 - y = x^2$. Let $G = \langle \sigma \rangle$, where $\sigma(x) = -x$ and $\sigma(y) = y + 1$. Then $|G| = 10$ and $F^G = K(t)$ with $t = x^2$. $(t = 0)$ and $(t = \infty)$ are the only ramified places with ramification indices 2, 10 respectively. Therefore, F is of type $(2, 10)$ with $|G| = 10(g(F) - 1)$.
- (II) $p = 2$ and $F = K(x, y)$ of genus 2 defined by $y^2 - y = x^5$. Let $G = \langle \sigma \rangle$, where $\sigma(x) = \zeta x$ and $\sigma(y) = y + 1$, where ζ is a primitive 5-th root of unity. Then $|G| = 10$ and $F^G = K(t)$ with $t = x^5$. Similarly, $(t = 0)$ and $(t = \infty)$ are the only ramified places with ramification indices 5, 10, respectively. Therefore, F is of type $(5, 10)$ with $|G| = 10(g(F) - 1)$.

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Example: $r = 1$, Stichtenoth (1973)

Let $F = K(x, y)$ defined by $y^p + y = x^{p^n+1}$ where $p = \text{Char}(K)$ and $n \geq 1$. Then $g(F) = \frac{p^n(p-1)}{2}$.

Let G be the automorphism group fixing the unique pole P of x and y . G consists of automorphisms

$$\sigma : \begin{cases} x \mapsto x + d, \\ y \mapsto y + Q(x), \end{cases}$$

where $d \in K$, $\deg Q(x) \leq p^{n-1}$ such that $Q(x)^p + Q(x) = (x + d)^{p^n+1} - x^{p^n+1}$.

$$\implies |G| = p^{2n+1}$$

$$\implies |G| = \frac{4p}{(p-1)} g(F)^2.$$

OPEN PROBLEM: If $g - 1$ is an integer of power 2, then is there F/K of genus g with automorphism group of order $16(g - 1)$?

Example: $r = 1$, Stichtenoth (1973)

Let $F = K(x, y)$ defined by $y^p + y = x^{p^n+1}$ where $p = \text{Char}(K)$ and $n \geq 1$. Then $g(F) = \frac{p^n(p-1)}{2}$.

Let G be the automorphism group fixing the unique pole P of x and y . G consists of automorphisms

$$\sigma : \begin{cases} x \mapsto x + d, \\ y \mapsto y + Q(x), \end{cases}$$

where $d \in K$, $\deg Q(x) \leq p^{n-1}$ such that $Q(x)^p + Q(x) = (x + d)^{p^n+1} - x^{p^n+1}$.

$$\implies |G| = p^{2n+1}$$

$$\implies |G| = \frac{4p}{(p-1)} g(F)^2.$$

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We wish you healthy days!