

Divisors and Riemann-Roch Spaces

Unit 10

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Overview

- 1 Overview
- 2 Prime divisors
- 3 Pseudo divisors
- 4 Divisors
- 5 Principal divisors
- 6 Riemann-Roch spaces

Prime divisors

Definition 1

Let F/K be a function field. A **prime divisor** \mathfrak{p} of F/K is a congruence class of places of F/K .

We denote

$$\mathbb{P} = \mathbb{P}_{F/K} = \{\mathfrak{p} \mid \mathfrak{p} \text{ is a prime divisor of } F/K\}.$$

So

$$\mathfrak{p} = [\varphi] \iff \mathcal{O}_{\mathfrak{p}} \iff \mathfrak{m}_{\mathfrak{p}} \iff [v]_{\mathfrak{p}}.$$

We proved that all valuations in $[v]_{\mathfrak{p}}$ are discrete. Further, every $v_1, v_2 \in [v]_{\mathfrak{p}}$ are equal up to a proper normalization. Thus, we pick the unique valuation in $[v]_{\mathfrak{p}}$ that is onto and denote it by

$$v_{\mathfrak{p}} : F \rightarrow \mathbb{Z} \cup \{\infty\}.$$

Overview

- 1 Overview
- 2 Prime divisors
- 3 Pseudo divisors**
- 4 Divisors
- 5 Principal divisors
- 6 Riemann-Roch spaces

Definition 2

Let F/K be a function field. We denote by $\tilde{\mathcal{D}}_{F/K}$ the set of formal expressions of the form

$$\sum_{\mathfrak{p} \in \mathbb{P}_{F/K}} n_{\mathfrak{p}} \mathfrak{p},$$

where $n_{\mathfrak{p}} \in \mathbb{Z}$ for all $\mathfrak{p} \in \mathbb{P}_{F/K}$.

Alternatively, $\tilde{\mathcal{D}}$ is the set of functions $\mathbb{P} \rightarrow \mathbb{Z}$.

The elements of $\tilde{\mathcal{D}}$ are called **pseudo divisors**.

In some parts of the literature, one writes this in multiplicative form

$$\prod_{\mathfrak{p} \in \mathbb{P}} \mathfrak{p}^{n_{\mathfrak{p}}}$$

to make the resemblance to factorization more explicit.

Pseudo divisors

Note that $\tilde{\mathcal{D}}$ is a group via the component-wise addition rule

$$\sum_{\mathfrak{p} \in \mathbb{P}} n_{\mathfrak{p}} \mathfrak{p} + \sum_{\mathfrak{p} \in \mathbb{P}} m_{\mathfrak{p}} \mathfrak{p} = \sum_{\mathfrak{p} \in \mathbb{P}} (n_{\mathfrak{p}} + m_{\mathfrak{p}}) \mathfrak{p}.$$

For $\mathfrak{q} \in \mathbb{P}$ we define $v_{\mathfrak{q}} : \tilde{\mathcal{D}} \rightarrow \mathbb{Z}$ by

$$v_{\mathfrak{q}} \left(\sum_{\mathfrak{p} \in \mathbb{P}} n_{\mathfrak{p}} \mathfrak{p} \right) = n_{\mathfrak{q}}.$$

Note that $v_{\mathfrak{q}}$ is a group homomorphism.

Partial order on pseudo divisors

We define a partial order on $\tilde{\mathcal{D}}$ by

$$\mathbf{a} \leq \mathbf{b} \iff \forall \mathbf{p} \in \mathbb{P} \quad v_{\mathbf{p}}(\mathbf{a}) \leq v_{\mathbf{p}}(\mathbf{b}).$$

We define

$$\max(\mathbf{a}, \mathbf{b}) = \sum_{\mathbf{p} \in \mathbb{P}} \max(v_{\mathbf{p}}(\mathbf{a}), v_{\mathbf{p}}(\mathbf{b})) \mathbf{p} \in \tilde{\mathcal{D}},$$

$$\min(\mathbf{a}, \mathbf{b}) = \sum_{\mathbf{p} \in \mathbb{P}} \min(v_{\mathbf{p}}(\mathbf{a}), v_{\mathbf{p}}(\mathbf{b})) \mathbf{p} \in \tilde{\mathcal{D}}.$$

We further note that

$$\mathbf{a} \leq \mathbf{b} \implies \mathbf{a} + \mathbf{c} \leq \mathbf{b} + \mathbf{c}.$$

Overview

- 1 Overview
- 2 Prime divisors
- 3 Pseudo divisors
- 4 Divisors**
- 5 Principal divisors
- 6 Riemann-Roch spaces

Definition 3 (Divisors)

Let F/K be a function field, and $\tilde{\mathcal{D}} = \tilde{\mathcal{D}}_{F/K}$. An element $\mathfrak{a} \in \tilde{\mathcal{D}}$ is called a **divisor** if $v_{\mathfrak{p}}(\mathfrak{a}) = 0$ for all but finitely many $\mathfrak{p} \in \mathbb{P}$. In this case, we say that $v_{\mathfrak{p}}(\mathfrak{a}) = 0$ **almost always**.

The set of divisors of F/K is denoted by $\mathcal{D} = \mathcal{D}_{F/K}$.

Note that \mathcal{D} is a subgroup of $\tilde{\mathcal{D}}$.

Degree of divisors

Definition 4

Let F/K be a function field. The **degree** of a prime divisor $\mathfrak{p} \in \mathbb{P}$, denoted $\deg \mathfrak{p}$, is defined to be $\deg \varphi$ where $\varphi : F \rightarrow L \cup \{\infty\}$ is any place that corresponds to \mathfrak{p} . That is,

$$\deg \mathfrak{p} = [\mathcal{O}_{\mathfrak{p}} / \mathfrak{m} : K].$$

We extend this definition to a general divisor $\mathfrak{a} \in \mathcal{D}$ by setting

$$\deg(\mathfrak{a}) = \sum_{\mathfrak{p} \in \mathbb{P}} v_{\mathfrak{p}}(\mathfrak{a}) \deg \mathfrak{p}.$$

Observe that $\deg : \mathcal{D} \rightarrow \mathbb{Z}$ is a group homomorphism that preserves the partial order, that is,

$$\mathfrak{a} \leq \mathfrak{b} \quad \implies \quad \deg \mathfrak{a} \leq \deg \mathfrak{b}.$$

Overview

- 1 Overview
- 2 Prime divisors
- 3 Pseudo divisors
- 4 Divisors
- 5 Principal divisors**
- 6 Riemann-Roch spaces

Principal divisors

For $x \in F^\times$ we define

$$(x) = \sum_{\mathfrak{p} \in \mathbb{P}} v_{\mathfrak{p}}(x) \mathfrak{p}.$$

Recall that a valuation of F/K is trivial on K and is non-trivial on F . Thus,

$$x \in K^\times \iff (x) = 0.$$

In the rational function field $K(x)/K$,

$$(x) = \mathfrak{p}_0 - \mathfrak{p}_\infty,$$
$$\left(\frac{x^3}{x-1} \right) = 3\mathfrak{p}_0 - \mathfrak{p}_1 - 2\mathfrak{p}_\infty.$$

Principal divisors

In our ongoing example $y^2 = x^3 - x$, for characteristic $\neq 2$,

$$(x) = 2p_{0,0} - 2p_{\infty},$$

$$(y) = p_{0,0} + p_{1,0} + p_{-1,0} - 3p_{\infty},$$

$$\left(\frac{x}{y}\right) = p_{0,0} + p_{\infty} - p_{1,0} - p_{-1,0},$$

whereas in characteristic 2,

$$(y) = p_{0,0} + 2p_{1,0} - 3p_{\infty}.$$

Overview

- 1 Overview
- 2 Prime divisors
- 3 Pseudo divisors
- 4 Divisors
- 5 Principal divisors
- 6 Riemann-Roch spaces**

Riemann-Roch spaces

Let $S \subseteq \mathbb{P}$. For $\mathfrak{a} \in \tilde{\mathcal{D}}$ we define $\mathfrak{a}_S \in \tilde{\mathcal{D}}$ by

$$v_{\mathfrak{p}}(\mathfrak{a}_S) = \begin{cases} v_{\mathfrak{p}}(\mathfrak{a}), & \mathfrak{p} \in S; \\ 0, & \text{otherwise.} \end{cases}$$

Further define

$$\begin{aligned} \mathcal{L}(\mathfrak{a}, S) &= \{x \in F \mid \forall \mathfrak{p} \in S \ v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0\} \\ &= \{x \in F^\times \mid (x)_S + \mathfrak{a}_S \geq 0\} \cup \{0\}, \end{aligned}$$

and

$$\begin{aligned} \mathcal{L}(\mathfrak{a}) &= \mathcal{L}(\mathfrak{a}, \mathbb{P}) = \{x \in F \mid \forall \mathfrak{p} \in \mathbb{P} \ v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0\} \\ &= \{x \in F^\times \mid (x) + \mathfrak{a} \geq 0\} \cup \{0\}. \end{aligned}$$

Definition 5

If $\mathfrak{a} \in \mathcal{D}$ we call $\mathcal{L}(\mathfrak{a})$ a **Riemann-Roch space**.

Claim 6

Let F/K be a function field. Let $\mathfrak{a} \in \widetilde{\mathcal{D}}$ and $S \subseteq \mathbb{P}$. Then, $\mathcal{L}(\mathfrak{a}, S)$ is a K -vector space, a subspace of F .

Proof.

$0 \in \mathcal{L}(\mathfrak{a}, S)$ by definition.

Now, if $x, y \in \mathcal{L}(\mathfrak{a}, S)$ then

$$\forall \mathfrak{p} \in \mathbb{P} \quad v_{\mathfrak{p}}(x), v_{\mathfrak{p}}(y) \geq -v_{\mathfrak{p}}(\mathfrak{a}),$$

and so

$$\forall \mathfrak{p} \in \mathbb{P} \quad v_{\mathfrak{p}}(x + y) \geq \min(v_{\mathfrak{p}}(x), v_{\mathfrak{p}}(y)) \geq -v_{\mathfrak{p}}(\mathfrak{a}).$$

Thus, $x + y \in \mathcal{L}(\mathfrak{a}, S)$.

Since $v_{\mathfrak{p}}(x) = 0$ for every $x \in K^{\times}$, $\mathcal{L}(\mathfrak{a}, S)$ is closed under multiplication by a scalar. □

Definition 7

For a divisor $\mathfrak{a} \in \mathcal{D}$ we denote

$$\dim \mathfrak{a} = \dim_{\mathbb{K}} \mathcal{L}(\mathfrak{a}).$$

Claim 8

For every $\mathfrak{a} \in \widetilde{\mathcal{D}}$ and $S_1, S_2 \subseteq \mathbb{P}$,

$$S_1 \subseteq S_2 \implies \mathcal{L}(\mathfrak{a}, S_2) \subseteq \mathcal{L}(\mathfrak{a}, S_1).$$

In particular, $\mathcal{L}(\mathfrak{a}) \subseteq \mathcal{L}(\mathfrak{a}, S)$.

The proof is straightforward by the definitions.

Riemann-Roch spaces

Note that for every $x \in F^\times$, the map $F \rightarrow F$ mapping $y \mapsto xy$ is K -linear.

Claim 9

For every $\mathfrak{a} \in \tilde{\mathcal{D}}$, $S \subseteq \mathbb{P}$, and $x \in F^\times$,

$$x\mathcal{L}(\mathfrak{a}, S) = \mathcal{L}(\mathfrak{a} - (x), S).$$

Proof.

$$\begin{aligned} y \in x\mathcal{L}(\mathfrak{a}, S) &\iff \frac{y}{x} \in \mathcal{L}(\mathfrak{a}, S) \\ &\iff \forall \mathfrak{p} \in S \quad v_{\mathfrak{p}}(y/x) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0 \\ &\iff \forall \mathfrak{p} \in S \quad v_{\mathfrak{p}}(y) - v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0 \\ &\iff \forall \mathfrak{p} \in S \quad v_{\mathfrak{p}}(y) - v_{\mathfrak{p}}((x)) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0 \\ &\iff \forall \mathfrak{p} \in S \quad v_{\mathfrak{p}}(y) + v_{\mathfrak{p}}(\mathfrak{a} - (x)) \geq 0 \\ &\iff y \in \mathcal{L}(\mathfrak{a} - (x), S). \end{aligned}$$



Riemann-Roch spaces

Lemma 10

Let $S \subseteq \mathbb{P}$ finite and $\mathfrak{a}, \mathfrak{b} \in \tilde{\mathcal{D}}$ s.t. $\mathfrak{a} \leq \mathfrak{b}$ ($\implies \mathcal{L}(\mathfrak{a}, S) \subseteq \mathcal{L}(\mathfrak{b}, S)$). Then,

$$\dim_K \mathcal{L}(\mathfrak{b}, S) / \mathcal{L}(\mathfrak{a}, S) = \deg \mathfrak{b}_S - \deg \mathfrak{a}_S.$$

Proof.

First, we may assume that $\mathfrak{a} = \mathfrak{a}_S$, $\mathfrak{b} = \mathfrak{b}_S$ since $\mathcal{L}(\mathfrak{a}, S) = \mathcal{L}(\mathfrak{a}_S, S)$.

It suffices to consider the case $\mathfrak{b} = \mathfrak{a} + \mathfrak{p}$ for some prime divisor $\mathfrak{p} \in \mathbb{P}$.

To see this, recall that by the third isomorphism theorem, if

$V_1 \subseteq V_2 \subseteq V_3$ are K -vector spaces then

$$\dim_K V_3 / V_1 = \dim_K V_3 / V_2 + \dim_K V_2 / V_1.$$

Thus, it suffices to prove that for $\mathfrak{p} \in S$ s.t. $\mathfrak{a} \leq \mathfrak{a} + \mathfrak{p} \leq \mathfrak{b}$ we have

$$\dim_K \mathcal{L}(\mathfrak{a} + \mathfrak{p}, S) / \mathcal{L}(\mathfrak{a}, S) = \deg \mathfrak{p}.$$

Proof.

By the weak approximation theorem (WAT), $\exists x \in F$ s.t.

$$\forall q \in S \quad v_q(x) = v_q(\mathfrak{a} + \mathfrak{p}).$$

Equivalently,

$$(x)_S = (\mathfrak{a} + \mathfrak{p})_S.$$

By Claim 9,

$$\begin{aligned} x\mathcal{L}(\mathfrak{a} + \mathfrak{p}, S) &= \mathcal{L}(\mathfrak{a} + \mathfrak{p} - (x), S) = \mathcal{L}(0, S), \\ x\mathcal{L}(\mathfrak{a}, S) &= \mathcal{L}(\mathfrak{a} - (x), S) = \mathcal{L}(-\mathfrak{p}, S). \end{aligned}$$

Thus, it suffices to prove that

$$\dim_{\mathbb{K}} \mathcal{L}(0, S) / \mathcal{L}(-\mathfrak{p}, S) = \deg \mathfrak{p}.$$

Riemann-Roch spaces

Proof.

To summarize, we wish to prove

$$\dim_K \mathcal{L}(0, S) / \mathcal{L}(-p, S) = \deg p.$$

Note that as $p \in S$,

$$\mathcal{L}(0, S) \subseteq \mathcal{L}(0, \{p\}) = \mathcal{O}_p.$$

Denote $F_p = \mathcal{O}_p / \mathfrak{m}_p$. We will show that restricting the projection map $\mathcal{O}_p \rightarrow F_p$ to $\mathcal{L}(0, S)$, namely,

$$\begin{aligned} \varphi : \mathcal{L}(0, S) &\rightarrow F_p \\ x &\mapsto x + \mathfrak{m}_p \end{aligned}$$

is onto with $\ker \varphi = \mathcal{L}(-p, S)$. This will complete the proof as, recall,

$$\deg p = [F_p : K] = \dim_K F_p.$$

Proof.

We start by proving that

$$\begin{aligned}\varphi : \mathcal{L}(0, S) &\rightarrow F_p \\ x &\mapsto x + \mathfrak{m}_p\end{aligned}$$

is onto. Take $\bar{x} \in F_p$ and $x \in \mathcal{O}_p$ s.t. $\varphi(x) = \bar{x}$. By WAT, $\exists y \in F$ s.t.

$$\begin{aligned}v_p(y - x) &> 0, \\ v_q(y) &\geq 0 \quad \forall q \in S \setminus \{p\}.\end{aligned}$$

Thus,

$$v_p(y) \geq \min(v_p(x), v_p(y - x)) \geq 0,$$

and so $y \in \mathcal{L}(0, S)$. As $\varphi(y - x) = 0$,

$$\varphi(y) = \varphi(x) = \bar{x}.$$

φ is therefore onto.

Proof.

$$\begin{aligned}\varphi : \mathcal{L}(0, S) &\rightarrow F_p \\ x &\mapsto x + \mathfrak{m}_p\end{aligned}$$

We turn to prove that $\ker \varphi = \mathcal{L}(-p, S)$.

To see this, take $x \in \mathcal{L}(0, S)$ and note that

$$\begin{aligned}\varphi(x) = 0 &\iff v_p(x) > 0 \\ &\iff x \in \mathcal{L}(-p, S).\end{aligned}$$

Claim 11

Let $\mathfrak{a} \in \mathcal{D}$, $\mathfrak{a} < 0$. Then, $\mathcal{L}(\mathfrak{a}) = 0$.

Proof.

To prove the claim, recall that for every $x \in F \setminus K$ there are valuations v, v' of F/K s.t. $v(x) > 0$ yet $v'(x) < 0$.

Take $x \in \mathcal{L}(\mathfrak{a})$. Then,

$$\forall \mathfrak{p} \in \mathbb{P} \quad v_{\mathfrak{p}}(x) \geq -v_{\mathfrak{p}}(\mathfrak{a}) \geq 0 \quad \implies \quad x \in K.$$

However, $\mathfrak{a} < 0$ and so $\exists \mathfrak{q} \in \mathbb{P}$ s.t. $v_{\mathfrak{q}}(\mathfrak{a}) < 0$ and so $v_{\mathfrak{q}}(x) > 0$, whereas $v_{\mathfrak{q}}(K^{\times}) = 0$. Thus, $x = 0$.

Claim 12

$$\mathcal{L}(0) = K.$$

Proof.

All valuations of F/K are trivial on K and so $K \subseteq \mathcal{L}(0)$.

On the other hand, if $x \in \mathcal{L}(0)$ then $v_{\mathfrak{p}}(x) \geq 0$ for all $\mathfrak{p} \in \mathbb{P}$, and so $x \in K$.

Claim 13

Let $\mathfrak{a} \leq \mathfrak{b}$ be divisors, and let $S \subseteq \mathbb{P}$ be the set of all prime divisors appearing in $\mathfrak{a}, \mathfrak{b}$. Then,

$$\mathcal{L}(\mathfrak{b}) \cap \mathcal{L}(\mathfrak{a}, S) = \mathcal{L}(\mathfrak{a}).$$

Proof.

Clearly, $\mathcal{L}(\mathfrak{a}) \subseteq \mathcal{L}(\mathfrak{b})$ and $\mathcal{L}(\mathfrak{a}) \subseteq \mathcal{L}(\mathfrak{a}, S)$.

For the other direction, take $x \in \mathcal{L}(\mathfrak{b}) \cap \mathcal{L}(\mathfrak{a}, S)$. Then,

$$\forall \mathfrak{p} \in S \quad v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{a}) \geq 0.$$

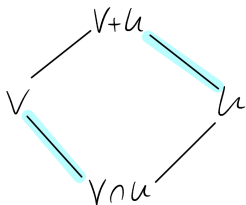
It remains to argue about $\mathfrak{p} \notin S$. But, then $v_{\mathfrak{p}}(\mathfrak{a}) = v_{\mathfrak{p}}(\mathfrak{b}) = 0$ and since $x \in \mathcal{L}(\mathfrak{b})$ we have

$$v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{a}) = v_{\mathfrak{p}}(x) + 0 = v_{\mathfrak{p}}(x) + v_{\mathfrak{p}}(\mathfrak{b}) \geq 0.$$

Recall: the second isomorphism theorem for vector spaces

Let U, V be K -vector spaces. Then, $U + V$ and $U \cap V$ are also K -vector spaces, and

$$(V + U)/U \cong V/V \cap U.$$



Lemma 14

For divisors $a \leq b$,

$$\dim_K \mathcal{L}(b) / \mathcal{L}(a) \leq \deg b - \deg a.$$

Proof.

Let $S \subseteq \mathbb{P}$ be the set of all prime divisors appearing in a, b . Note $|S| < \infty$.

By Lemma 10,

$$\dim_K \mathcal{L}(b, S) / \mathcal{L}(a, S) = \deg b_S - \deg a_S.$$

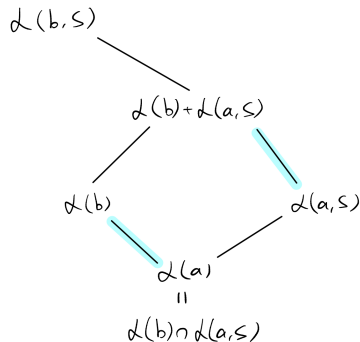
Riemann-Roch spaces

Proof.

$$\dim_K \mathcal{L}(b, S) / \mathcal{L}(a, S) = \deg b_S - \deg a_S.$$

The proof then follows as the diagram shows that

$$\mathcal{L}(b) / \mathcal{L}(a) \leq \mathcal{L}(b, S) / \mathcal{L}(a, S).$$



Riemann-Roch spaces

We are now in a position to prove that Riemann-Roch spaces are of finite dimension as K -vector spaces.

Corollary 15

For every $\mathfrak{a} \in \mathcal{D}$, $\dim \mathfrak{a} < \infty$.

Proof.

Let $\mathfrak{b} < 0$ a divisor. By Lemma 14,

$$\dim_K \mathcal{L}(\mathfrak{a}) / \mathcal{L}(\min(\mathfrak{a}, \mathfrak{b})) \leq \deg \mathfrak{a} - \deg \min(\mathfrak{a}, \mathfrak{b}).$$

But Claim 11 implies

$$\mathcal{L}(\min(\mathfrak{a}, \mathfrak{b})) \subseteq \mathcal{L}(\mathfrak{b}) = 0.$$

Thus,

$$\dim \mathfrak{a} = \dim_K \mathcal{L}(\mathfrak{a}) \leq \deg \mathfrak{a} - \deg \min(\mathfrak{a}, \mathfrak{b}) < \infty.$$



Another corollaries of Lemma 14 is

Corollary 16

For every $\mathfrak{a}, \mathfrak{b} \in \mathcal{D}$,

$$\mathfrak{a} \leq \mathfrak{b} \implies \deg \mathfrak{a} - \dim \mathfrak{a} \leq \deg \mathfrak{b} - \dim \mathfrak{b}.$$

We will soon prove that

$$\sup_{\mathfrak{a} \in \mathcal{D}_{F/K}} (\deg \mathfrak{a} - \dim \mathfrak{a}) < \infty.$$

This will lead to the definition of the **genus** of a function field.

Based on Lemma 14 we can strengthen Corollary 15 for non-negative divisors.

Corollary 17

For every $\alpha \in \mathcal{D}$, $\alpha \geq 0$ we have

$$\dim \alpha \leq \deg \alpha + 1.$$

The proof is left as an exercise.

Example

Consider the rational function field $F = \mathbb{F}_q(x)/\mathbb{F}_q$.

For $r \in \mathbb{N}$, $\mathcal{L}(r\mathfrak{p}_\infty)$ consists of all $f(x) \in \mathbb{F}_q(x)$ s.t.

$$\begin{aligned}v_\infty(f(x)) &\geq -r, \\v_{\mathfrak{p}}(f(x)) &\geq 0 \quad \forall \mathfrak{p} \in \mathbb{P} \setminus \{\mathfrak{p}_\infty\}.\end{aligned}$$

The second condition implies that $f(x) \in \mathbb{F}_q[x]$.

The first condition then implies $\deg f(x) \leq r$.

Hence, $\mathcal{L}(r\mathfrak{p}_\infty)$ is the \mathbb{F}_q -vector space of polynomials of degree $\leq r$.

Exercise. Prove that for every $\mathfrak{a} \in \mathcal{D}$, $\mathfrak{a} \geq 0$, and $k \geq 1$ integer,

$$\dim((k-1)\mathfrak{a}) \leq \dim(k\mathfrak{a}) \leq \dim((k-1)\mathfrak{a}) + \deg \mathfrak{a}.$$