

GENUS FORMULAS FOR ABELIAN p -EXTENSIONS

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ABSTRACT. We apply a result of Kani relating genera and Hasse-Witt invariants of Galois extensions to a family of abelian p -extensions. Our formulas generalize the case of elementary abelian p -extensions found by Garcia and Stichtenoth.

1. Introduction. Kani proved in [2] that, if L/K is a finite Galois extension of function fields with Galois group G , then any relation among idempotents of subgroups of G in $\mathbb{Q}[G]$ implies the same relation among the *quotient genera*. The quotient genus for a subgroup H of G is the genus of the field $K_H := L^H$.

In the same paper, Kani proved that, if the field of constants k of K is a field of positive characteristic $p > 0$, then any relation among the subgroups H of G implies the same relation among the Hasse-Witt invariants of the fields K_H .

In this paper, we consider an arbitrary field k of characteristic $p > 0$, a function field K with field of constants k , and a Galois extension L/K with Galois group isomorphic to $(\mathbb{Z}/p^m\mathbb{Z})^n$, where m and n are natural numbers. We find two formulas relating the genus g_L of L and the genera of a family of subextensions. The first is the family of all cyclic subextensions of K and the second is the family of all subextensions E with L/E cyclic. The same relations hold for the Hasse-Witt invariants. Our results generalize the formula found by Garcia and Stichtenoth [1] for elementary abelian p -extensions.

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2. Results. Let k be any field of positive characteristic p , and let K be a function field with field of constants k . Let L/K be a Galois extension with Galois group isomorphic to $G = (\mathbb{Z}/p^m\mathbb{Z})^n$. Let \mathcal{G} be the set of all subgroups of G . For each $H \in \mathcal{G}$, let K_H be the subfield of L fixed by H , that is, $K_H := L^H$. Let g_H be the genus of K_H , and let τ_H be the Hasse-Witt invariant of K_H . For $H \in \mathcal{G}$, let ϵ_H be the norm idempotent of H :

$$\epsilon_H := \frac{1}{|H|} \sum_{h \in H} h \in \mathbb{Q}[G].$$

In [2], Kani proved the following result.

Theorem 2.1 ([2]). *Any relation*

$$\sum_{H \in \mathcal{G}} r_H \epsilon_H = 0 \quad \text{with } r_H \in \mathbb{Q},$$

among the norm idempotents yields the following two relations:

$$\sum_{H \in \mathcal{G}} r_H g_H = 0 \quad \text{and} \quad \sum_{H \in \mathcal{G}} r_H \tau_H = 0,$$

among the genera and among the Hasse-Witt invariants.

Let \mathcal{H}_i be the set of all subgroups of G isomorphic to $(\mathbb{Z}/p^m\mathbb{Z})^{n-1} \oplus (\mathbb{Z}/p^{m-i}\mathbb{Z})$, $0 \leq i \leq m$. The set of the fields fixed by $H \in \mathcal{H}_i$ is the set \mathcal{K}_i of all the subfields $K \subseteq E \subseteq L$ such that $\text{Gal}(E/K) \cong (\mathbb{Z}/p^i\mathbb{Z})$, that is, the collection of all of the cyclic extensions of K of degree p^i contained in L . Our main result is:

Theorem 2.2. *We have the following relations*

$$g_L = -p \binom{p^{n-1} - 1}{p - 1} g_K - (p^{n-1} - 1) \sum_{i=1}^{m-1} \sum_{E \in \mathcal{K}_i} g_E + \sum_{E \in \mathcal{K}_m} g_E,$$

and

$$\tau_L = -p \binom{p^{n-1} - 1}{p - 1} \tau_K - (p^{n-1} - 1) \sum_{i=1}^{m-1} \sum_{E \in \mathcal{K}_i} \tau_E + \sum_{E \in \mathcal{K}_m} \tau_E.$$

Corollary 2.3 ([1]). *If L/K is an elementary abelian p -extension of degree p^n , we have*

$$g_L = -p \left(\frac{p^{n-1} - 1}{p - 1} \right) g_K + \sum_{E \in \mathcal{K}_1} g_E.$$

Now, let \mathcal{T}_i be the set of cyclic subgroups of G of order p^i , $0 \leq i \leq m$. Let \mathcal{L}_i be the set of subextensions $K \subseteq E \subseteq L$ such that L/E is a cyclic extension of degree p^i . We have $\mathcal{L}_i = \{E \mid E = L^H \text{ with } H \in \mathcal{T}_i\}$. Then,

Theorem 2.4. *We have the following relations:*

$$p \left(\frac{p^{n-1} - 1}{p - 1} \right) g_L = -p^{nm} g_K - (p^{n-1} - 1) \sum_{i=1}^{m-1} p^i \sum_{E \in \mathcal{L}_i} g_E + p^m \sum_{E \in \mathcal{L}_m} g_E,$$

and

$$p \left(\frac{p^{n-1} - 1}{p - 1} \right) \tau_L = -p^{nm} \tau_K - (p^{n-1} - 1) \sum_{i=1}^{m-1} p^i \sum_{E \in \mathcal{L}_i} \tau_E + p^m \sum_{E \in \mathcal{L}_m} \tau_E.$$

Remark 2.5. The genera of the subfields considered in Theorem 2.2 can be computed using the results of Schmid [3].

It is not easy to use Theorem 2.4 in applications since the family of fields considered is in the top of the extension; thus, the genera is difficult to find.

3. Proofs. First, we consider

$$(3.1) \quad M_i := \sum_{H \in \mathcal{H}_i} \epsilon_H, \quad 0 \leq i \leq m.$$

Note that $M_0 = \sum_{H \in \mathcal{H}_0} \epsilon_H = \epsilon_G = (1/p^{nm}) \sum_{\sigma \in G} \sigma$.

Fix an element $\sigma \in G$. Let $T(i, \sigma)$ be the number of distinct subgroups $H \in \mathcal{H}_i$ such that $\sigma \in H$, that is,

$$T(i, \sigma) := |\{H \in \mathcal{H}_i \mid \sigma \in H\}|.$$

Let s be a natural number $1 \leq s \leq m$, and let

$$G_s := \{\sigma \in G \mid o(\sigma) = p^s\}.$$

Note that, given any element $\sigma \in G_s$, there exists an element $\tau \in G$ of order p^m such that $\tau^{p^{m-s}} = \sigma$. If θ and σ are two elements of G_s , then there exists an automorphism $\Phi \in \text{Aut}(G)$ such that $\Phi(\theta) = \sigma$. Thus, $T(i, \sigma) = T(i, \theta)$. Therefore, it makes sense to define

$$(3.2) \quad T(i, s) := T(i, \sigma),$$

where σ is any element of G_s .

Let $C_s := \sum_{\sigma \in G_s} \sigma \in \mathbb{Q}[G]$. Then,

$$\begin{aligned} M_i &= \sum_{H \in \mathcal{H}_i} \frac{1}{|H|} \sum_{h \in H} h \\ &= \frac{1}{p^{m(n-1)+(m-i)}} \sum_{s=0}^m T(i, s) \sum_{\sigma \in G_s} \sigma \\ &= \frac{1}{p^{nm-i}} \sum_{s=0}^m T(i, s) C_s. \end{aligned}$$

We must compute $T(i, s)$ for all $0 \leq i, s \leq m$. Towards this end, let e_s be the number of elements of G of order p^s . We have

$$e_s = q^s - q^{s-1}, \quad 1 \leq s \leq m, \text{ and } e_0 = 1,$$

where $q = p^n$. In particular, if h_i is the number of distinct cyclic subgroups of G of order p^i , it follows that

$$h_i = \frac{q^i - q^{i-1}}{p^i - p^{i-1}}, \quad 1 \leq i \leq m, \text{ and } h_0 = 1.$$

Since, in an abelian group, its lattice of subgroups is symmetric, that is, if B is a subgroup of a finite abelian group A , then A contains a subgroup isomorphic to A/B . It follows that

$$h_i = |\mathcal{H}_i|.$$

Let $H \in \mathcal{H}_i$, and let $L(H, s) = |H \cap G_s|$. Since all of the subgroups in the collection \mathcal{H}_i are isomorphic, it makes sense to define

$$L(i, s) := L(H, s),$$

where H is any subgroup in \mathcal{H}_i .

Let $\mathcal{F} \subseteq \mathcal{H}_i \times G_s$ be defined by

$$\mathcal{F} := \{(H, \sigma) \mid \sigma \in H\}.$$

We can compute $|\mathcal{F}|$ either column-by-column or row-by-row, which gives us:

$$(3.3) \quad |\mathcal{F}| = h_i L(i, s) = T(i, s) e_s,$$

respectively, that is, to find $T(i, s)$, it suffices to find $L(i, s)$.

Now, fix $H \in \mathcal{H}_i$, and let $B_s := \{x \in H \mid x^{p^s} = \text{Id}_G\} = \{x \in H \mid o(x) \text{ divides } p^s\}$. Then, $L(i, s) = |B_s| - |B_{s-1}|$ for $1 \leq s \leq m$ and $L(i, 0) = |B_0| = 1$. Now, to find B_s , note that $B_s = \ker \Psi$, where $\Psi : H \rightarrow H$, $\Psi(x) = x^{p^s}$. The image of Ψ is H^{p^s} . Hence,

$$|B_s| = \frac{|H|}{|H^{p^s}|}.$$

Since $H \cong (\mathbb{Z}/p^m\mathbb{Z})^{n-1} \oplus (\mathbb{Z}/p^{m-i}\mathbb{Z})$, we have $H^{p^s} \cong (\mathbb{Z}/p^{m-s}\mathbb{Z})^{n-1} \oplus A$, where

$$A \cong \begin{cases} (\mathbb{Z}/p^{m-i-s}\mathbb{Z}) & \text{if } 1 \leq s \leq m-i \\ 0 & \text{if } m-i < s \leq m. \end{cases}$$

Therefore, we have

$$(3.4) \quad L(i, s) = \begin{cases} 1 & \text{if } s = 0, 0 \leq i \leq m, \\ p^{n(s-1)}(p^n - 1) & \text{if } 1 \leq s \leq m-i \\ & (0 \leq i \leq m-1), \\ p^{(n-1)(s-1)+(m-i)}(p^{n-1} - 1) & \text{if } m-i+1 \leq s \leq m \\ & (1 \leq i \leq m). \end{cases}$$

From (3.3) and (3.4), we obtain

$$(3.5) \quad T(i, s) = \begin{cases} 1 & \text{if } i = 0, 0 \leq s \leq m, \\ h_i & \text{if } s = 0, 0 \leq i \leq m, \\ \left(\frac{p^n - 1}{p - 1}\right) p^{(n-1)(i-1)} & \text{if } 1 \leq s \leq m-i, \\ & (1 \leq i \leq m-1), \\ \left(\frac{p^{n-1} - 1}{p - 1}\right) p^{(n-2)(i-1)+(m-s)} & \text{if } m-i+1 \leq s \leq m, \\ & (1 \leq i \leq m). \end{cases}$$

Thus, from (3.5), we obtain

$$M_i = \frac{p^i}{p^{nm}} h_i \text{Id}_G + \frac{p^i}{p^{nm}} \sum_{s=1}^{m-i} \left(\frac{p^n - 1}{p - 1} \right) p^{(n-1)(i-1)} C_s + \frac{p^i}{p^{nm}} \sum_{s=m-i+1}^m \left(\frac{p^{n-1} - 1}{p - 1} \right) p^{(n-2)(i-1)+(m-s)} C_s,$$

for $1 \leq i \leq m$ and $M_0 = \epsilon_G$.

Now, in order to obtain a relation among the norm idempotents, since $M_0 = \epsilon_G$ and $\text{Id}_G = \epsilon_{\text{Id}_G}$, what we need is to find $x_1, \dots, x_m \in \mathbb{Q}$ such that

$$\sum_{i=1}^m x_i M_i = y_0 \text{Id}_G + \sum_{s=1}^m y_s C_s,$$

with $y_0 \in \mathbb{Q}$ and $y_1 = y_2 = \dots = y_m \neq 0$.

Let $x_1, \dots, x_m \in \mathbb{Q}$, and

$$\sum_{i=1}^m x_i M_i = \underbrace{\left(\sum_{i=1}^m \frac{p^i}{p^{nm}} x_i h_i \right)}_{y_0} \text{Id}_G + \left(\frac{p^n - 1}{p - 1} \right) \sum_{i=1}^{m-1} \sum_{s=1}^{m-i} x_i \frac{p^{(n-1)(i-1)+i}}{p^{nm}} C_s + \left(\frac{p^{n-1} - 1}{p - 1} \right) \sum_{i=1}^m \sum_{s=m-i+1}^m x_i \frac{p^{(n-2)(i-1)+(m-s)+i}}{p^{nm}} C_s.$$

Changing the summation order (Fubini's Theorem), we obtain

$$\sum_{i=1}^m x_i M_i = y_0 \text{Id}_G + \left(\frac{p^n - 1}{p - 1} \right) \sum_{s=1}^{m-1} \sum_{i=1}^{m-s} x_i \frac{p^{(n-1)(i-1)+i}}{p^{nm}} C_s + \left(\frac{p^{n-1} - 1}{p - 1} \right) \sum_{s=1}^m \sum_{i=m-s+1}^m x_i \frac{p^{(n-2)(i-1)+(m-s)+i}}{p^{nm}} C_s = \sum_{s=0}^m y_s C_s.$$

We have, for $1 \leq s \leq m - 1$,

$$(3.6) \quad y_s = \left(\frac{p^n - 1}{p - 1} \right) \sum_{i=1}^{m-s} x_i \frac{p^{(n-1)(i-1)+i}}{p^{nm}}$$

$$+ \left(\frac{p^{n-1} - 1}{p - 1} \right) \sum_{i=m-s+1}^m x_i \frac{p^{(n-2)(i-1)+(m-s)+i}}{p^{nm}}$$

and

$$(3.7) \quad y_m = \left(\frac{p^{n-1} - 1}{p - 1} \right) \sum_{i=1}^m x_i \frac{p^{(n-2)(i-1)+i}}{p^{nm}}.$$

Consider $1 \leq s \leq m - 2$. Our goal is to show that x_1, \dots, x_m can be chosen so that $y_s = y_{s+1}$. From (3.6), we obtain

$$(3.8) \quad x_{m-s} = -\frac{p^{ns}(p^{n-1} - 1)}{p^{nm}} \sum_{i=m-s+1}^m p^{(n-1)(i-1)+(m-s)} x_i, \quad 1 \leq s \leq m-2.$$

Similarly, for $s = m - 1$, we obtain from $y_{m-1} = y_m$, (3.6) and (3.7),

$$(3.9) \quad x_1 = -(p^{n-1} - 1) \sum_{i=2}^m p^{(n-1)(i-2)} x_i.$$

Taking $s = 1$ in (3.8), we obtain

$$(3.10) \quad x_{m-1} = -(p^{n-1} - 1)x_m.$$

From (3.10), taking $s = 2$ in (3.8), we obtain $x_{m-2} = -(p^{n-1} - 1)x_m$. By induction, we obtain

$$(3.11) \quad x_2 = \dots = x_{m-1} = -(p^{n-1} - 1)x_m.$$

Finally, from (3.11) and (3.9), we get $x_1 = -(p^{n-1} - 1)x_m$.

We let $x_m = 1$ and obtain $x_i = -(p^{n-1} - 1)$ for $1 \leq i \leq m - 1$. Then, from (3.6) and (3.7), we have

$$y_1 = \dots = y_m = \left(\frac{p^{n-1} - 1}{p - 1} \right) \frac{1}{p^{nm-1}}.$$

Therefore,

$$(3.12) \quad - \sum_{i=1}^{m-1} \sum_{H \in \mathcal{H}_i} (p^{n-1} - 1)\epsilon_H + \sum_{H \in \mathcal{H}_m} \epsilon_H \\ = -(p^{n-1} - 1) \sum_{i=1}^{m-1} M_i + M_m$$

$$\begin{aligned}
 &= y_0 \text{Id}_G + \frac{1}{p^{nm-1}} \left(\frac{p^{n-1} - 1}{p - 1} \right) \sum_{s=1}^m C_s \\
 &= z_0 \epsilon_{\text{Id}_G} + \frac{1}{p^{nm-1}} \left(\frac{p^{n-1} - 1}{p - 1} \right) p^{nm} \epsilon_G \\
 &= z_0 \epsilon_{\text{Id}_G} + p \left(\frac{p^{n-1} - 1}{p - 1} \right) \epsilon_G,
 \end{aligned}$$

where

$$z_0 = y_0 - \left(\frac{p^{n-1} - 1}{p - 1} \right) \frac{1}{p^{nm-1}}.$$

Since $y_0 = \sum_{i=1}^m (p^i/p^{nm}) x_i h_i$ with x_i as in (3.10) and (3.11) with $x_m = 1$, we obtain $z_0 = 1$. Theorem 2.2 is now a consequence of Theorem 2.1 and (3.12).

In order to prove Theorem 2.4, we now consider \mathcal{T}_i , $0 \leq i \leq m$. We have $|\mathcal{T}_i| = h_i$. Let

$$Q_i := \sum_{H \in \mathcal{T}_i} \epsilon_H.$$

Consider an element $\sigma \in G_s$. Let $N(i, \sigma)$ be the number of cyclic subgroups of G of order p^i containing σ . Since, for any two elements of G_s , there exists an automorphism of G sending one into the other, as in (3.2), it makes sense to define

$$N(i, s) := N(i, \sigma),$$

where σ is any element of G_s . Then,

$$\begin{aligned}
 (3.13) \quad Q_i &= \frac{1}{p^i} \sum_{H \in \mathcal{T}_i} \sum_{\sigma \in H} \sigma \\
 &= \frac{1}{p^i} \sum_{s=0}^m N(i, s) \sum_{\sigma \in G_s} \sigma \\
 &= \frac{1}{p^i} \sum_{s=0}^m N(i, s) C_s.
 \end{aligned}$$

First, we compute $N(m, s)$. Let $\{\tau_1, \dots, \tau_n\}$ be a basis of G over $\mathbb{Z}/p^m\mathbb{Z}$. More precisely, $G = \langle \tau_1, \dots, \tau_n \rangle$ and $o(\tau_j) = p^m$ for $1 \leq j \leq n$. Let $\mu \in G$, say $\mu = \tau_1^{\alpha_1} \cdots \tau_n^{\alpha_n}$. Then, $o(\mu) = p^m$ if and only if there

Next, we consider $s \geq 1$. Let $1 \leq t \leq m$ and $\phi_t: G \rightarrow G$, $\phi(x) = x^{p^t}$. Then, $\ker \phi_t = \{x \in G \mid x^{p^t} = 1\} = \{x \in G \mid o(x) \text{ divides } p^t\}$, and the image of ϕ_t is G^{p^t} . In particular, if $t = i$, then any $H \in \mathcal{T}_i$ satisfies $H \subseteq \ker \phi_i$. It is easy to see that $\ker \phi_i = G^{p^{m-i}} \cong (\mathbb{Z}/p^i\mathbb{Z})^n$. Therefore, from the case $i = m$, we have $N(i, s) = p^{(i-s)(n-1)}$ for $s \neq 0$ and $N(i, 0) = h_i$. From (3.14), we obtain

$$(3.15) \quad N(i, s) = \begin{cases} h_i & \text{if } s = 0 \text{ and } 0 \leq i \leq m, \\ p^{(i-s)(n-1)} & \text{if } 1 \leq s \leq i \leq m, \\ 0 & \text{if } 0 \leq i < s \leq m. \end{cases}$$

From (3.13) and (3.15), we obtain

$$Q_i = \frac{1}{p^i} \sum_{s=0}^i N(i, s) C_s = \frac{1}{p^i} h_i \text{Id}_G + \sum_{s=1}^i p^{(i-s)(n-1)-i} C_s.$$

Equivalently, we have

$$(3.16) \quad p^i Q_i = h_i \text{Id}_G + \sum_{s=1}^i p^{(i-s)(n-1)} C_s, \quad 0 \leq i \leq m, \quad Q_0 = \text{Id}_G.$$

Let $x_1, \dots, x_n \in \mathbb{Q}$ be such that $\sum_{i=1}^m x_i p^i Q_i = y_0 \text{Id}_G + \sum_{s=1}^m y_s C_s$ with $y_0 \in \mathbb{Q}$ and $y_1 = y_2 = \dots = y_m \neq 0$. Then, from (3.16), we have

$$\begin{aligned} \sum_{i=1}^m x_i p^i Q_i &= \left(\sum_{i=1}^m x_i h_i \right) \text{Id}_G + \sum_{i=1}^m \sum_{s=1}^i x_i p^{(i-s)(n-1)} C_s \\ &= y_0 \text{Id}_G + \sum_{s=1}^m \sum_{i=s}^m x_i p^{(i-s)(n-1)} C_s \\ &= y_0 \text{Id}_G + \sum_{s=1}^m y_s C_s, \end{aligned}$$

where $y_0 = \sum_{i=1}^m x_i h_i$ and, for $s \geq 1$,

$$y_s = \sum_{i=s}^m x_i p^{(i-s)(n-1)} = x_s + \sum_{i=s+1}^m x_i p^{(i-s)(n-1)}.$$

From the condition $y_1 = \dots = y_m$, we obtain, by induction on s , that

$$x_1 = x_2 = \dots = x_{m-1} = -(p^{n-1} - 1)x_m.$$

We take $x_m = 1$ and get $x_i = -(p^{n-1} - 1)$, $1 \leq i \leq m - 1$. With these values, we obtain $y_1 = y_2 = \cdots = y_m = 1$ and $y_0 = (p^n - 1)/(p - 1)$.

Then, we finally obtain a relation among idempotents of \mathcal{T}_i , $0 \leq i \leq m$:

$$\begin{aligned} & - (p^{n-1} - 1) \sum_{i=1}^{m-1} \sum_{H \in \mathcal{T}_i} p^i \epsilon_H + \sum_{H \in \mathcal{T}_m} p^m \epsilon_H \\ & = \left(\left(\frac{p^n - 1}{p - 1} \right) - 1 \right) \epsilon_{\text{Id}_G} + p^{nm} \epsilon_G \\ & = p \left(\frac{p^{n-1} - 1}{p - 1} \right) \epsilon_{\text{Id}_G} + p^{nm} \epsilon_G. \end{aligned}$$

Theorem 2.4 follows from Kani's theorem (Theorem 2.1).

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