

## EXTENSIONS OF ABSOLUTE VALUES

## 1. Norm and Trace

Let  $k$  be a field and  $E$  a vector space of dimension  $N$  over  $k$ . We write  $\text{End}_k(E)$  for the ring of  $k$ -linear endomorphisms of  $E$  and  $\text{Aut}_k(E) = \text{End}_k(E)^\times$  for the multiplicative group of  $k$ -linear automorphisms of  $E$ . If  $\mathbf{b}_1, \mathbf{b}_2, \dots, \mathbf{b}_N$  is an ordered basis for  $E$  as a vector space over  $k$ , then this basis determines a unique ring isomorphism from  $\text{End}_k(E)$  onto the ring  $M(N, k)$  of  $N \times N$  matrices with elements in  $k$ . The restriction of this map to  $\text{Aut}_k(E)$  is an isomorphism from the multiplicative group  $\text{Aut}_k(E)$  onto  $GL(N, k) = M(N, k)^\times$ . In particular,  $T$  in  $\text{End}_k(E)$  is mapped to the matrix  $(t_{mn})$ , where

$$(1.1) \quad T(\mathbf{b}_n) = \sum_{m=1}^N t_{mn} \mathbf{b}_m \quad \text{for each } n = 1, 2, \dots, N.$$

If

$$\boldsymbol{\alpha} = \sum_{n=1}^N \alpha_n \mathbf{b}_n$$

is an element of  $E$  expressed as a linear combination of basis vectors, then we have

$$\begin{aligned} T\left\{ \sum_{n=1}^N \alpha_n \mathbf{b}_n \right\} &= \sum_{n=1}^N \alpha_n \left\{ \sum_{m=1}^N t_{mn} \mathbf{b}_m \right\} \\ &= \sum_{m=1}^N \left\{ \sum_{n=1}^N t_{mn} \alpha_n \right\} \mathbf{b}_m. \end{aligned}$$

This shows that the action of  $T$  on  $E$  corresponds to multiplication of the column vector  $\boldsymbol{\alpha}$  on the left by the matrix  $(t_{mn})$ . If  $U$  is a second element of  $\text{End}_k(E)$ , if

$$U(\mathbf{b}_n) = \sum_{m=1}^N u_{mn} \mathbf{b}_m \quad \text{for each } n = 1, 2, \dots, N,$$

then the matrix corresponding to the composition of endomorphisms  $T \circ U$  is the product matrix  $(t_{mn})(u_{mn})$ .

Let  $\mathbf{c}_1, \mathbf{c}_2, \dots, \mathbf{c}_N$  be a second ordered basis for  $E$  as a vector space over  $k$ . Then there exists a matrix  $V = (v_{mn})$  in  $GL(N, k)$  such that

$$\mathbf{c}_n = \sum_{m=1}^N v_{mn} \mathbf{b}_m \quad \text{for each } n = 1, 2, \dots, N.$$

With respect to the ordered basis  $\mathbf{c}_1, \mathbf{c}_2, \dots, \mathbf{c}_N$  the matrix of  $T$  is easily seen to be

$$(1.2) \quad V^{-1}(t_{mn})V.$$

Therefore we define

$$\det : \text{End}_k(E) \rightarrow k, \quad \text{and} \quad \text{trace} : \text{End}_k(E) \rightarrow k,$$

by

$$(1.3) \quad \det(T) = \det\{(t_{mn})\}, \quad \text{and} \quad \text{trace}(T) = \text{trace}\{(t_{mn})\}.$$

It follows from (1.2) that these maps do not depend on the choice of basis, hence they are well defined on  $\text{End}_k(E)$ . We also define a map

$$\chi : \text{End}_k(E) \rightarrow k[x]$$

as follows: if  $T$  is an element of  $\text{End}_k(E)$  then  $\chi_T(x)$  is the polynomial in  $k[x]$  given by

$$\chi_T(x) = \det(x\mathbf{1}_N - T),$$

where  $\mathbf{1}_N$  is the  $N \times N$  identity matrix. The polynomial  $\chi_T(x)$  is called the *characteristic polynomial* of  $T$ . By selecting a basis  $\mathbf{b}_1, \mathbf{b}_2, \dots, \mathbf{b}_N$  and using (1.1), we find that  $\chi_T(x)$  has the form

$$(1.4) \quad \chi_T(x) = x^N - \text{trace}(T)x^{N-1} + \dots + (-1)^N \det(T).$$

If  $T$  is in  $\text{End}_k(E)$  and  $f(x)$  is a polynomial in  $k[x]$  then we can form the element  $f(T)$  in  $\text{End}_k(E)$ . In particular, using the characteristic polynomial  $\chi_T(x)$  we can form the element  $\chi_T(T)$ . The map  $f(x) \rightarrow f(T)$  is clearly a ring homomorphism from  $k[x]$  into  $\text{End}_k(E)$ . It follows that  $E$  is a left  $k[x]$ -module with respect to the operation

$$(f(x), \mathbf{b}) \rightarrow f(x)\mathbf{b} = f(T)\mathbf{b}.$$

Also, it is clear that the annihilator

$$\text{Ann}(T) = \{f(x) \in k[x] : f(T)\mathbf{b} = \mathbf{0} \text{ for all } \mathbf{b} \in E\}$$

is a proper ideal in  $k[x]$ , and so generated by a unique monic polynomial  $\mu_T(x)$  of positive degree. The polynomial  $\mu_T(x)$  is called the *minimal polynomial* for the endomorphism  $T$ . We use these observations to prove the following classical result.

**THEOREM 1.1 (CAYLEY-HAMILTON).** *If  $T$  is an element of  $\text{End}_k(E)$  then  $\chi_T(T) = \mathbf{0}_N$ , where  $\mathbf{0}_N$  is the zero endomorphism in  $\text{End}_k(E)$ . Moreover, the minimal polynomial  $\mu_T(x)$  divides the characteristic polynomial  $\chi_T(x)$  in  $k[x]$ .*

**PROOF.** Let  $\delta_{mn} = 1_k$  if  $m = n$ , and  $\delta_{mn} = 0_k$  if  $m \neq n$ . Define

$$A = (a_{mn}(x)), \quad \text{where} \quad a_{mn}(x) = \delta_{mn}x - t_{mn},$$

so that  $A$  is an  $N \times N$  matrix with entries in the ring  $k[x]$ . Then the identity (1.1) can be written as

$$(1.5) \quad \mathbf{0} = \sum_{m=1}^N (\delta_{mn}T - t_{mn})\mathbf{b}_m = \sum_{m=1}^N a_{mn}(T)\mathbf{b}_m \quad \text{for} \quad n = 1, 2, \dots, N.$$

Let  $A_{rs}$  be the  $(N-1) \times (N-1)$  submatrix obtained from  $A$  by removing the  $r$ -th row and the  $s$ -th column. Define the  $N \times N$  matrix

$$A' = (a'_{rs}(x)) \quad \text{where} \quad a'_{rs}(x) = (-1)^{r+s} \det A_{sr}.$$

Then  $A$  and  $A'$  are  $N \times N$  matrices with entries in the ring  $k[x]$ , and satisfy

$$AA' = (\det A)\mathbf{1}_N = (\chi_T(x))\mathbf{1}_N.$$

That is, we have

$$\sum_{l=1}^N a_{ml}(x)a'_{ln}(x) = \delta_{mn}\chi_T(x)$$

for each pair of integers  $m = 1, 2, \dots, N$  and  $n = 1, 2, \dots, N$ . It follows that

$$(1.6) \quad \begin{aligned} \chi_T(x)\mathbf{b}_n &= \sum_{m=1}^N \delta_{mn}\chi_T(x)\mathbf{b}_m \\ &= \sum_{m=1}^N \left( \sum_{l=1}^N a_{ml}(x)a'_{ln}(x) \right) \mathbf{b}_m \\ &= \sum_{l=1}^N a'_{ln}(x) \left( \sum_{m=1}^N a_{ml}(x)\mathbf{b}_m \right) \end{aligned}$$

for each  $n = 1, 2, \dots, N$ . Combining (1.5) and (1.6) we get

$$\chi_T(T)\mathbf{b}_n = \sum_{l=1}^N a'_{ln}(T) \left( \sum_{m=1}^N a_{ml}(T)\mathbf{b}_m \right) = \mathbf{0},$$

in  $E$  for each  $n = 1, 2, \dots, N$ . That is,  $\chi_T(T)$  is the zero endomorphism on  $E$ . This shows that  $\chi_T(x)$  belongs to the annihilator  $\text{Ann}(T)$ . As the annihilator is a principal ideal generated by  $\mu_T(x)$ , the last assertion of the theorem is obvious.

Now assume that  $E$  is a field and so  $E/k$  is a finite extension of fields of degree  $N$ . Then each element  $\beta$  in  $E$  defines a  $k$ -linear endomorphism of  $E$  given by multiplication by  $\beta$ . That is, if  $\beta$  is in  $E$  then there exists a corresponding element  $T_\beta$  in  $\text{End}_k(E)$  such that

$$(1.7) \quad T_\beta(\gamma) = \beta\gamma \quad \text{for all } \gamma \in E.$$

If  $\beta \neq 0$  then  $T_\beta$  is in  $\text{Aut}_k(E)$ . Clearly the map  $\beta \rightarrow T_\beta$  is an embedding of the field  $E$  into the endomorphism ring  $\text{End}_k(E)$ , and  $\beta \rightarrow T_\beta$  is an injective homomorphism of the multiplicative group  $k^\times$  into the group  $\text{Aut}_k(E)$ . We define maps

$$\text{Norm}_{E/k} : E^\times \rightarrow k^\times \quad \text{and} \quad \text{Trace}_{E/k} : E \rightarrow k$$

by

$$(1.8) \quad \text{Norm}_{E/k}(\beta) = \det(T_\beta) \quad \text{and} \quad \text{Trace}_{E/k}(\beta) = \text{trace}(T_\beta).$$

It follows that  $\text{Norm}_{E/k}$  is a homomorphism of multiplicative groups, and  $\text{Trace}_{E/k}$  is a homomorphism of additive groups.

As  $E/k$  is a finite and therefore algebraic extension, each element  $\beta$  in  $E$  is a root of a unique, monic, irreducible polynomial  $f_\beta(x)$  in  $k[x]$ . The polynomial  $f_\beta(x)$  is the *minimal polynomial* of  $\beta$  over  $k$ . Then  $k \subseteq k(\beta) \subseteq E$  and the degree of the extension  $k(\beta)/k$  is also the degree of the polynomial  $f_\beta$ . We write  $[k(\beta) : k]$  for this degree, it is the dimension of  $k(\beta)$  as a vector space over  $k$ .

LEMMA 1.2. *Assume that  $E/k$  is a finite extension of fields and let  $\beta$  be an element of  $E$ . Write  $f_\beta(x)$  for the minimal polynomial of  $\beta$  over  $k$  and let  $T_\beta$  be the unique element in  $\text{End}_k(E)$  that satisfies (1.7). Then the minimal polynomial for  $T_\beta$  is given by*

$$(1.9) \quad \mu_{T_\beta}(x) = f_\beta(x),$$

and the characteristic polynomial of  $T_\beta$  is given by

$$(1.10) \quad \chi_{T_\beta}(x) = \det(x\mathbf{1}_N - T_\beta) = f_\beta(x)^R,$$

where  $R = [E : k(\beta)]$ .

PROOF. We will prove (1.9) and leave the proof of (1.10) as an exercise. Because  $E$  is a field we have

$$\text{Ann}(T_\beta) = \{g(x) \in k[x] : g(\beta)\gamma = 0 \text{ for all } \gamma \in E\} = \{g(x) \in k[x] : g(\beta) = 0\}.$$

Therefore  $f_\beta(x)$  is a monic irreducible polynomial in  $\text{Ann}(T_\beta)$ . As  $\text{Ann}(T_\beta)$  is a principal ideal generated by the monic polynomial  $\mu_{T_\beta}(x)$ , the identity (1.9) clearly follows.

LEMMA 1.3. Assume that  $E/k$  is a finite extension of fields and let  $\beta$  be an element of  $E$ . Assume that the minimal polynomial  $f_\beta(x)$  splits into linear factors in a field extension  $K/k$ , where  $k \subseteq E \subseteq K$ , as

$$f_\beta(x) = \prod_{q=1}^Q (x - \beta_q).$$

Then we have

$$(1.11) \quad \text{Norm}_{E/k}(\beta) = \left\{ \prod_{q=1}^Q \beta_q \right\}^R = (-1)^{QR} f_\beta(0)^R,$$

and

$$(1.12) \quad \text{Trace}_{E/k}(\beta) = R \sum_{q=1}^Q \beta_q,$$

where  $R = [E : k(\beta)]$ .

PROOF. Because  $Q = [k(\beta) : k]$ , it is obvious that  $QR = [E : k] = N$ . Using (1.4) and (1.10) we find that

$$(1.13) \quad \begin{aligned} \chi_{T_\beta}(x) &= x^N - \text{Trace}_{E/k}(\beta)x^{N-1} + \cdots + (-1)^N \text{Norm}_{E/k}(\beta) \\ &= f_\beta(x)^R \\ &= x^{QR} - \left\{ R \sum_{q=1}^Q \beta_q \right\} x^{QR-1} + \cdots + (-1)^{QR} \left\{ \prod_{q=1}^Q \beta_q \right\}^R. \end{aligned}$$

Both identities (1.11) and (1.12) follow from (1.13) by equating coefficients.

### Exercises

- 1.1 Let  $T$  and  $U$  be elements of  $\text{End}_k(E)$ . Prove that  $\text{trace}(T + U) = \text{trace } T + \text{trace } U$  and  $\text{trace}(T \circ U) = \text{trace}(U \circ T)$ .
- 1.2 Prove the identity (1.4).
- 1.3 Let  $k = \mathbb{R}$  and  $E = \mathbb{C}$ . Find the matrix of an endomorphism  $T$  in  $\text{End}_{\mathbb{R}}(\mathbb{C})$  with respect to the basis  $\{1, i\}$ . If  $\beta = \beta_1 + \beta_2 i$  is in  $\mathbb{C}$ , find the matrix of  $T_\beta$  with respect to the basis  $\{1, i\}$ . Compute both  $\text{Norm}_{\mathbb{C}/\mathbb{R}}(\beta)$  and  $\text{Trace}_{\mathbb{C}/\mathbb{R}}(\beta)$ .
- 1.4 Prove the identity (1.10).

## 2. Norms on Vector Spaces over Complete Fields

We assume that  $K$  is a field with a nontrivial absolute value  $|\cdot|$ , that  $K$  is complete, and that  $E$  is a finite dimensional vector space over  $K$ . In this setting the absolute value on  $K$  can be extended to a vector space norm on  $E$ . More precisely, we say that a function  $\|\cdot\| : E \rightarrow [0, \infty)$  defines a *norm* on  $E$  with respect to the absolute value  $|\cdot|$  on  $K$  if it satisfies the following conditions:

- (i)  $\|\mathbf{x}\| = 0$  if and only if  $\mathbf{x} = \mathbf{0}$  in  $E$ ,
- (ii)  $\|\alpha\mathbf{x}\| = |\alpha|\|\mathbf{x}\|$  for scalars  $\alpha$  in  $K$  and vectors  $\mathbf{x}$  in  $E$ ,
- (iii)  $\|\mathbf{x} + \mathbf{y}\| \leq \|\mathbf{x}\| + \|\mathbf{y}\|$  for all  $\mathbf{x}$  and  $\mathbf{y}$  in  $E$ .

Obviously a *norm* in this context is different from the map defined in (1.8).

When we work with only one absolute value on  $K$  then such a function  $\|\cdot\|$  on  $E$  is called simply a norm. If  $\|\cdot\|$  is a norm on  $E$  then it follows immediately from the definition that

$$(\mathbf{x}, \mathbf{y}) \rightarrow \|\mathbf{x} - \mathbf{y}\|$$

defines a metric. Thus  $\|\cdot\|$  induces a metric topology in the vector space  $E$ .

**THEOREM 2.1.** *Suppose that both  $\|\cdot\|_1$  and  $\|\cdot\|_2$  are norms on  $E$  with respect to the nontrivial absolute value  $|\cdot|$  on  $K$ . Then there exist positive constants  $C_1$  and  $C_2$  such that*

$$(2.1) \quad C_1\|\mathbf{x}\|_1 \leq \|\mathbf{x}\|_2 \leq C_2\|\mathbf{x}\|_1$$

for all  $\mathbf{x}$  in  $E$ . Moreover, the norms  $\|\cdot\|_1$  and  $\|\cdot\|_2$  induce the same metric topology in  $E$ , and  $E$  is a complete metric space.

**PROOF.** We argue by induction on the dimension of  $E$  over  $K$ . The result is trivial for vector spaces of dimension 1 over  $K$ . Therefore we assume that the theorem holds for all vector spaces of dimension  $N - 1$ , and we assume that  $E$  has dimension  $N$  over  $K$ . Let  $\mathbf{b}_1, \mathbf{b}_2, \dots, \mathbf{b}_N$  be a basis for  $E$  as a vector space over  $K$ . Then define subspaces

$$E'_m = \text{span}_K\{\mathbf{b}_1, \mathbf{b}_2, \dots, \mathbf{b}_{m-1}, \mathbf{b}_{m+1}, \dots, \mathbf{b}_N\} \quad \text{for } m = 1, 2, \dots, N.$$

It follows that  $E'_m \subseteq E$  is an  $N - 1$  dimensional subspace for each  $m = 1, 2, \dots, N$ . Define a map  $\|\cdot\|_\infty : E \rightarrow [0, \infty)$  by

$$\left\| \sum_{n=1}^N x_n \mathbf{b}_n \right\|_\infty = \max\{|x_n| : n = 1, 2, \dots, N\}.$$

Then  $\|\cdot\|_\infty$  is clearly a norm on  $E$  with respect to the absolute value  $|\cdot|$  on  $K$ . Of course  $\|\cdot\|_\infty$ ,  $\|\cdot\|_1$  and  $\|\cdot\|_2$  are also norms when restricted to one of the subspaces  $E'_m$ . By

the inductive hypothesis, each subspace  $E'_m$  is complete in the common metric topology induced by  $\|\cdot\|_\infty$ ,  $\|\cdot\|_1$  and  $\|\cdot\|_2$ . In particular, each subspace  $E'_m \subseteq E$  is a closed subset of  $E$  when  $E$  is given the metric topology induced by  $\|\cdot\|_1$ . The translate  $E'_m + \mathbf{b}_m$  is also closed in  $E$  and does not contain the vector  $\mathbf{0}$ . Hence there exists a positive real number  $\delta_m$  such that

$$(E'_m + \mathbf{b}_m) \cap \{\mathbf{x} \in E : \|\mathbf{x}\|_1 < \delta_m\}$$

is empty.

Now define positive real numbers

$$A_1 = \min\{\delta_m : m = 1, 2, \dots, N\} \quad \text{and} \quad B_1 = \sum_{n=1}^N \|\mathbf{b}_n\|_1.$$

We note that  $A_1$  and  $B_1$  depend on  $\|\cdot\|_1$  and on the choice of basis. If

$$\mathbf{x} = \sum_{n=1}^N x_n \mathbf{b}_n \neq \mathbf{0}$$

we select  $m$  so that  $\|\mathbf{x}\|_\infty = |x_m|$ . Then the vector  $x_m^{-1}\mathbf{x}$  belongs to  $E'_m + \mathbf{b}_m$  and we have

$$(2.2) \quad A_1 \leq \delta_m \leq \|x_m^{-1}\mathbf{x}\|_1 = |x_m|^{-1} \|\mathbf{x}\|_1.$$

From (2.2) we conclude that

$$(2.3) \quad \begin{aligned} A_1 \|\mathbf{x}\|_\infty &= A_1 |x_m| \leq \|\mathbf{x}\|_1 \\ &= \left\| \sum_{n=1}^N x_n \mathbf{b}_n \right\|_1 \\ &\leq \sum_{n=1}^N |x_n| \|\mathbf{b}_n\|_1 \leq B_1 \|\mathbf{x}\|_\infty. \end{aligned}$$

Of course (2.3) is trivial if  $\mathbf{x} = \mathbf{0}$ . In a similar manner we find that there exist positive real numbers  $A_2$  and  $B_2$  such that

$$(2.4) \quad A_2 \|\mathbf{x}\|_\infty \leq \|\mathbf{x}\|_2 \leq B_2 \|\mathbf{x}\|_\infty$$

for all  $\mathbf{x}$  in  $E$ . We set  $C_1 = A_2 B_1^{-1}$  and  $C_2 = A_1^{-1} B_2$ . Then (2.1) follows easily from (2.3) and (2.4).

Let  $U \subseteq E$  be a nonempty open set in the  $\|\cdot\|_1$ -topology. Then for each point  $\boldsymbol{\xi}$  in  $U$  there exists a positive real number  $\epsilon$  such that

$$\{\mathbf{x} \in E : \|\boldsymbol{\xi} - \mathbf{x}\|_1 < \epsilon\} \subseteq U.$$

Using (2.1) we find that

$$\{\mathbf{x} \in E : \|\boldsymbol{\xi} - \mathbf{x}\|_2 < C_2^{-1}\epsilon\} \subseteq U.$$

Hence  $U$  is also an open set in the  $\|\cdot\|_2$ -topology. By symmetry the two metric topologies are the same.

Finally, we must show that  $E$  is a complete metric space. From what we have already established it suffices to show that  $E$  is complete with respect to the metric topology induced by  $\|\cdot\|_\infty$ . Let  $\{\mathbf{x}_m\}_{m=1}^\infty$  be a  $\|\cdot\|_\infty$ -Cauchy sequence and write

$$\mathbf{x}_m = \sum_{n=1}^N x_{mn} \mathbf{b}_n.$$

Then for each  $n$  we have

$$|x_{mn} - x_{ln}| \leq \|\mathbf{x}_m - \mathbf{x}_l\|_\infty.$$

It follows that for each  $n$  the sequence  $\{x_{mn}\}_{m=1}^\infty$  is  $|\cdot|$ -Cauchy in  $K$ . As  $K$  is complete, each of the limits

$$\lim_{m \rightarrow \infty} x_{mn} = y_n$$

exists in  $K$ . It follows that

$$\lim_{m \rightarrow \infty} \mathbf{x}_m = \lim_{m \rightarrow \infty} \sum_{n=1}^N x_{mn} \mathbf{b}_n = \sum_{n=1}^N y_n \mathbf{b}_n$$

in  $E$ . This proves the theorem.

Now suppose that  $E$  is a field and  $\|\cdot\|$  on  $E$  extends the absolute value  $|\cdot|$  on  $K$ . It follows that  $\|\cdot\|$  is also a norm on the vector space  $E$  over  $K$ . In this special case the conclusion (2.1) can be improved.

**COROLLARY 2.2.** *Assume that  $E$  is a field and so  $E/K$  is a finite extension of fields of degree  $N$ . If  $\|\cdot\|_1$  and  $\|\cdot\|_2$  are both absolute values on  $E$  that extend the absolute value  $|\cdot|$  on  $K$ , then*

$$\|\beta\|_1 = \|\beta\|_2 \quad \text{for all } \beta \in E.$$

**PROOF.** By Theorem 2.1 the absolute values  $\|\cdot\|_1$  and  $\|\cdot\|_2$  induce the same topology in  $E$ . By Theorem 1.1 of Chapter 2, there exists a positive constant  $\theta$  such that

$$\|\beta\|_1^\theta = \|\beta\|_2 \quad \text{for all } \beta \in E.$$

As  $\|\beta\|_1 = \|\beta\|_2 = |\beta|$  for  $\beta$  in  $K$ , and  $|\cdot|$  is not trivial on  $K$ , we conclude that  $\theta = 1$ .

### 3. Hensel's Lemma Revisited

In this section we assume that  $K$  is a field with a nontrivial, non-archimedean absolute value  $|\cdot|$  and we assume that  $(K, |\cdot|)$  is complete. We write

$$O_K = \{\alpha \in K : |\alpha| \leq 1\}$$

for the associated local ring, and

$$M_K = \{\alpha \in K : |\alpha| < 1\}$$

for its maximal ideal. Then we extend the absolute value  $|\cdot|$  on  $K$  to the polynomial ring  $K[x]$  as follows. If

$$f(x) = a_0x^N + a_{N-1}x^{N-1} + \cdots + a_N$$

is a polynomial in  $K[x]$  we define

$$(3.1) \quad |f| = \max\{|a_0|, |a_1|, \dots, |a_N|\}.$$

It will be convenient to write  $\varphi : O_K \rightarrow O_K/M_K$  for the canonical homomorphism. This extends to a homomorphism  $\varphi : O_K[x] \rightarrow (O_K/M_K)[x]$  by

$$\varphi(a_0x^N + a_{N-1}x^{N-1} + \cdots + a_N) = \varphi(a_0)x^N + \varphi(a_1)x^{N-1} + \cdots + \varphi(a_N).$$

We note that  $f$  in  $O_K[x]$  is in the kernel of  $\varphi$  if and only if  $|f| < 1$ . Our objective in this section is to establish the following algebraic form of Hensel's Lemma.

**THEOREM 3.1 (HENSEL'S LEMMA).** *Let  $f$  be a polynomial in  $O_K[x]$  such that  $|f| = 1$ . Suppose that  $\gamma(x)$  and  $\eta(x)$  are relatively prime polynomials in  $(O_K/M_K)[x]$ ,  $\gamma(x)$  is a monic polynomial, and*

$$(3.2) \quad \varphi(f)(x) = \gamma(x)\eta(x).$$

*Then there exist polynomials  $g(x)$  and  $h(x)$  in  $O_K[x]$  such that*

- (1)  $f(x) = g(x)h(x)$ ,
- (2)  $\varphi(g)(x) = \gamma(x)$  and  $\varphi(h)(x) = \eta(x)$ ,
- (3)  $\deg g = \deg \gamma$  and  $g(x)$  is monic.

**PROOF.** Select polynomials  $g_1(x)$  and  $h_1(x)$  in  $O_K[x]$  so that

$$(3.3) \quad \varphi(g_1)(x) = \gamma(x), \quad \deg g_1 = \deg \gamma, \quad \varphi(h_1)(x) = \eta(x), \quad \text{and} \quad \deg h_1 = \deg \eta.$$

As  $\gamma(x)$  is monic in  $(O_K/M_K)[x]$  and has the same degree as  $g_1(x)$ , it is obvious that  $g_1(x)$  is a monic polynomial. Because  $\gamma(x)$  and  $\eta(x)$  are relatively prime in  $(O_K/M_K)[x]$ , there exist polynomials  $r(x)$  and  $s(x)$  in  $O_K[x]$  such that

$$\varphi(r)(x)\gamma(x) + \varphi(s)(x)\eta(x) = 1 \quad \text{in } (O_K/M_K)[x].$$

It follows that the polynomials

$$f(x) - g_1(x)h_1(x) \quad \text{and} \quad r(x)g_1(x) + s(x)h_1(x) - 1$$

have coefficients in  $M_K$ , and therefore

$$(3.4) \quad \delta = \max\{|f - g_1h_1|, |rg_1 + sh_1 - 1|\} < 1.$$

If  $\delta = 0$  then  $f(x) = g_1(x)h_1(x)$  and the theorem is proved. Therefore we assume throughout the remainder of the proof that  $0 < \delta < 1$ .

Next we construct two sequences of polynomials  $\{g_n(x)\}_{n=1}^{\infty}$  and  $\{h_n(x)\}_{n=1}^{\infty}$  in the ring  $O_K[x]$  such that

$$(3.5) \quad |f - g_nh_n| \leq \delta^n \quad \text{for each } n = 1, 2, \dots,$$

$$(3.6) \quad |g_n - g_{n-1}| \leq \delta^{n-1} \quad \text{and} \quad |h_n - h_{n-1}| \leq \delta^{n-1} \quad \text{for each } n = 2, 3, \dots,$$

$$(3.7) \quad \varphi(g_n) = \gamma \quad \text{and} \quad \varphi(h_n) = \eta \quad \text{for each } n = 1, 2, \dots,$$

$$(3.8) \quad \deg g_n = \deg \gamma \quad \text{and} \quad \deg g_n + \deg h_n \leq \deg f \quad \text{for each } n = 1, 2, \dots$$

As  $g_1(x)$  and  $h_1(x)$  are already determined, we assume that  $g_m(x)$  and  $h_m(x)$  have been defined for  $m = 1, 2, \dots, n-1$  and satisfy the conditions (3.5), (3.6), (3.7) and (3.8). Then we define  $g_n(x)$  and  $h_n(x)$  inductively in terms of  $g_{n-1}(x)$  and  $h_{n-1}(x)$ . Toward this end we select  $\epsilon$  in  $M_K$  so that  $|\epsilon| = \delta$ . Then we set

$$(3.9) \quad g_n(x) = g_{n-1}(x) + \epsilon^{n-1}t_{n-1}(x) \quad \text{and} \quad h_n(x) = h_{n-1}(x) + \epsilon^{n-1}u_{n-1}(x),$$

where  $t_{n-1}(x)$  and  $u_{n-1}(x)$  are polynomials in  $O_K[x]$  to be determined. We note that (3.9) and the inductive hypothesis already imply that (3.6) and (3.7) hold. Then from (3.6) and the strong triangle inequality we get

$$(3.10) \quad |g_1 - g_{n-1}| \leq \delta \quad \text{and} \quad |h_1 - h_{n-1}| \leq \delta \quad \text{for each } n = 2, 3, \dots,$$

Also, by the inductive hypothesis the polynomial  $p_{n-1}(x)$ , defined by

$$f(x) - g_{n-1}(x)h_{n-1}(x) = \epsilon^{n-1}p_{n-1}(x),$$

belongs to  $O_K[x]$  and satisfies

$$\deg p_{n-1} \leq \deg f.$$

Using the division algorithm and the fact that  $g_1(x)$  is monic, there exist polynomials  $q_{n-1}(x)$  and  $t_{n-1}(x)$  in  $O_K[x]$  such that

$$p_{n-1}(x)s(x) = q_{n-1}(x)g_1(x) + t_{n-1}(x) \quad \text{and} \quad \deg t_{n-1} < \deg g_1.$$

Now write

$$p_{n-1}(x)r(x) + q_{n-1}(x)h_1(x) = c_0x^M + c_1x^{M-1} + \cdots + c_M,$$

so that  $|c_m| \leq 1$  for each  $m = 0, 1, \dots, M$ . We define

$$u_{n-1}(x) = \tilde{c}_0x^M + \tilde{c}_1x^{M-1} + \cdots + \tilde{c}_M,$$

where

$$(3.11) \quad \tilde{c}_m = \begin{cases} c_m & \text{if } \delta < |c_m|, \\ 0 & \text{if } |c_m| \leq \delta. \end{cases}$$

It follows that

$$|p_{n-1}r + q_{n-1}h_1 - u_{n-1}| \leq \delta,$$

and therefore

$$(3.12) \quad \begin{aligned} & |p_{n-1}(rg_1 + sh_1) - g_1u_{n-1} - h_1t_{n-1}| \\ &= |p_{n-1}rg_1 + q_{n-1}g_1h_1 + h_1t_{n-1} - g_1u_{n-1} - h_1t_{n-1}| \\ &= |(p_{n-1}r + q_{n-1}h_1 - u_{n-1})g_1| \\ &\leq \delta. \end{aligned}$$

Combining (3.4) and (3.12) we get the inequality

$$(3.13) \quad \begin{aligned} & |p_{n-1} - g_1u_{n-1} - h_1t_{n-1}| \\ &\leq \max \{ |p_{n-1}(1 - rg_1 - sh_1)|, |p_{n-1}(rg_1 + sh_1) - g_1u_{n-1} - h_1t_{n-1}| \} \\ &\leq \delta. \end{aligned}$$

Using (3.9) and (3.13) we obtain the bound

$$(3.14) \quad |p_{n-1} - g_{n-1}u_{n-1} - h_{n-1}t_{n-1}| \leq \delta.$$

In order to verify (3.5) we use (3.14) and get

$$\begin{aligned} |f - g_n h_n| &= |f - g_{n-1}h_{n-1} - \epsilon^{n-1}(g_{n-1}u_{n-1} + h_{n-1}t_{n-1}) - \epsilon^{2n-2}t_{n-1}u_{n-1}| \\ &= |\epsilon^{n-1}(p_{n-1} - g_{n-1}u_{n-1} - h_{n-1}t_{n-1}) - \epsilon^{2n-2}t_{n-1}u_{n-1}| \\ &\leq \max \{ \delta^{n-1}|p_{n-1} - g_{n-1}u_{n-1} - h_{n-1}t_{n-1}|, \delta^{2n-2} \} \\ &\leq \delta^n. \end{aligned}$$

Finally, we must show that  $g_n(x)$  and  $h_n(x)$  satisfy (3.8). We have  $\deg g_{n-1} = \deg \gamma$  by the inductive hypothesis, and  $\deg g_n = \deg g_{n-1}$  holds because  $\deg t_{n-1} < \deg g_1 = \deg \gamma$ . It follows then that  $\deg g_n = \deg \gamma$ . Now assume that  $\deg h_n > \deg f - \deg g_n$ . From (3.9) and the inductive hypothesis we get  $\deg u_{n-1} > \deg f - \deg g_n$ . Hence we also have

$$\deg p_{n-1} \leq \deg f, \quad \deg f < \deg g_{n-1} + \deg u_{n-1} \quad \text{and} \quad \deg h_{n-1} + \deg t_{n-1} < \deg f.$$

As  $g_{n-1}(x)$  is monic, it follows that the leading coefficient of the polynomial

$$p_{n-1}(x) - g_{n-1}(x)u_{n-1}(x) - h_{n-1}(x)t_{n-1}(x)$$

is also the leading coefficient of  $-u_{n-1}(x)$ . Because the leading coefficient of  $-u_{n-1}(x)$  has absolute value greater than  $\delta$ , this plainly contradicts the inequality (3.14). We have shown that  $\deg h_n \leq \deg f - \deg g_n$ , and so we have verified (3.8).

Now write

$$g_n(x) = \sum_{l=0}^L a_l^{(n)} x^{L-l} \quad \text{and} \quad h_n(x) = \sum_{m=0}^M b_m^{(n)} x^{M-m},$$

where  $a_0^{(n)} = 1$  for each  $n = 1, 2, \dots$ . It follows from (3.6) that for each  $l$ ,  $0 \leq l \leq L$ , the sequence  $\{a_l^{(n)}\}_{n=1}^{\infty}$  is Cauchy. As  $K$  is complete, we define

$$\lim_{n \rightarrow \infty} a_l^{(n)} = A_l \quad \text{and} \quad g(x) = \sum_{l=0}^L A_l x^{L-l}.$$

We find that  $g(x)$  is a monic polynomial in  $O_K[x]$ ,  $\deg g = \deg \gamma$ , and  $\varphi(g)(x) = \gamma(x)$ . In a similar manner we define

$$\lim_{n \rightarrow \infty} b_m^{(n)} = B_m \quad \text{and} \quad h(x) = \sum_{m=0}^M B_m x^{M-m},$$

so that  $h(x)$  is a polynomial in  $O_K[x]$  and  $\varphi(h)(x) = \eta(x)$ . Then (3.5) implies that  $f(x) = g(x)h(x)$ , and this completes the proof.

COROLLARY 3.2. *Suppose that  $f(x)$  is an irreducible polynomial of degree  $N$  in  $K[x]$  and*

$$f(x) = a_0x^N + a_{N-1}x^{N-1} + \cdots + a_N.$$

*Then we have*

$$(3.15) \quad |f| = \max\{|a_0|, |a_1|, \dots, |a_N|\} = \max\{|a_0|, |a_N|\}.$$

PROOF. If (3.15) is false then there exists a smallest positive integer  $m$  such that

$$|f| = |a_m| > \max\{|a_0|, |a_N|\} \quad \text{where} \quad 1 \leq m \leq N-1.$$

It follows that  $a_m^{-1}f(x)$  belongs to  $O_K[x]$  and satisfies  $|a_m^{-1}f| = 1$ . Write  $\gamma(x) = \varphi(a_m^{-1}f)(x)$  and  $\eta(x) = 1$ . Then  $\gamma(x)$  is monic,  $\deg \gamma = m$  and

$$\varphi(a_m^{-1}f)(x) = \gamma(x)\eta(x) \quad \text{in } (O_K/M_K)[x].$$

By the theorem  $a_m^{-1}f(x)$  factors in  $O_K[x]$  as

$$a_m^{-1}f(x) = g(x)h(x) \quad \text{with} \quad \deg g = m.$$

This contradicts the assumption that  $f(x)$  is irreducible in  $K[x]$  and the statement of the corollary follows.

COROLLARY 3.3. *Suppose that  $f(x)$  is a monic, irreducible polynomial in  $O_K[x]$ . Then  $\varphi(f)(x)$  is a positive integer power of an irreducible polynomial in  $(O_K/M_K)[x]$ .*

PROOF. Because  $f(x)$  is monic the polynomial  $\varphi(f)(x)$  is also monic and has positive degree. Let

$$\varphi(f)(x) = \prod_{l=1}^L \psi_l(x)^{m_l}$$

be the factorization of  $\varphi(f)(x)$  in  $(O_K/M_K)[x]$ . That is,  $m_1, m_2, \dots, m_L$  are positive integers, and  $\psi_1(x), \psi_2(x), \dots, \psi_L(x)$  are distinct, monic, irreducible polynomials in  $(O_K/M_K)[x]$  having positive degree. If  $2 \leq L$  write

$$\gamma(x) = \psi_1(x)^{m_1} \quad \text{and} \quad \eta(x) = \prod_{l=2}^L \psi_l(x)^{m_l}.$$

Then we have the nontrivial factorization  $\varphi(f)(x) = \gamma(x)\eta(x)$  in  $(O_K/M_K)[x]$ . By the theorem there is a nontrivial factorization  $f(x) = g(x)h(x)$  in  $O_K[x]$  with  $1 \leq \deg g = \deg \gamma < \deg f$ . This contradicts the assumption that  $f(x)$  is irreducible and shows that  $L = 1$ .

**COROLLARY 3.4.** *Suppose that  $f(x)$  is a polynomial in  $O_K[x]$  such that  $\varphi(f)(x)$  has a simple root at the point  $\alpha$  in  $O_K/M_K$ . Then there exists a point  $\beta$  in  $O_K$  such that  $f(\beta) = 0$  and  $\varphi(\beta) = \alpha$ .*

**PROOF.** By hypothesis the polynomial  $\varphi(f)(x)$  factors in  $(O_K/M_K)[x]$  as

$$\varphi(f)(x) = (x - \alpha)\eta(x)$$

where  $(x - \alpha)$  and  $\eta(x)$  are relatively prime. By the theorem there exist polynomials  $g(x)$  and  $h(x)$  in  $O_K[x]$  such that  $f(x) = g(x)h(x)$ ,  $g(x)$  is monic, linear, and  $\varphi(g)(x) = (x - \alpha)$ . Writing  $g(x) = (x - \beta)$  we must have  $f(\beta) = 0$  and  $\varphi(\beta) = \alpha$ .

### Exercises

- 3.1 Let  $p$  be a prime number. Prove that the polynomial  $x^{p-1} - 1$  splits into linear factors in the field  $\mathbb{Q}_p$ , and show that the roots of  $x^{p-1} - 1$  in  $\mathbb{Q}_p^\times$  form a cyclic subgroup of order  $p - 1$ .
- 3.2 Let  $\mu_{p-1} \subseteq \mathbb{Q}_p^\times$  denote the set of roots of the polynomial  $x^{p-1} - 1$  in  $\mathbb{Q}_p^\times$ . Prove that the set  $\{0\} \cup \mu_{p-1}$  forms a complete set of distinct representatives for the residue class field  $\mathbb{Z}_p/M_p$ , where  $M_p \subseteq \mathbb{Z}_p$  is the unique maximal ideal.
- 3.3 Let  $\mu_{p-1} \subseteq \mathbb{Q}_p^\times$  be as in Exercise 1.2. Write  $\psi : \mathbb{Z}_p \rightarrow \mathbb{Z}_p/M_p$  for the canonical homomorphism. Prove that the restriction of  $\psi$  to the subgroup  $\mu_{p-1}$  is a group isomorphism from  $\mu_{p-1}$  onto the cyclic group  $(\mathbb{Z}_p/M_p)^\times$ .
- 3.4 Prove that if  $\alpha$  is in the ring  $\mathbb{Z}_p$ , then the limit

$$(3.16) \quad \lim_{m \rightarrow \infty} \alpha^{p^m} = T_p(\alpha)$$

exists, and so defines a map  $T_p : \mathbb{Z}_p \rightarrow \mathbb{Z}_p$ .

- 3.5 Let  $\mu_{p-1} \subseteq \mathbb{Q}_p^\times$  be as in Exercise 1.2, and let  $T_p : \mathbb{Z}_p \rightarrow \mathbb{Z}_p$  be the map defined by (3.16). Prove that  $T_p$  takes values in the subset  $\{0\} \cup \mu_{p-1}$ , and the restriction of  $T_p$  to the subset  $\{0\} \cup \mu_{p-1}$  is the identity map.
- 3.6 Assume that  $K$  is a field with a nontrivial, non-archimedean absolute value  $|\cdot|$  and assume that  $(K, |\cdot|)$  is complete. Let  $|\cdot|$  be extended to the polynomial ring  $K[x]$  by (3.1). Prove that  $f \rightarrow |f|$  is a map from  $K[x]$  to  $[0, \infty)$  that satisfies the three conditions
- (1)  $|f| = 0$  if and only if  $f = 0$ ,
  - (2)  $|fg| = |f||g|$  for all  $f$  and  $g$  in  $K[x]$ ,
  - (3)  $|f + g| \leq \max\{|f|, |g|\}$  for all  $f$  and  $g$  in  $K[x]$ .

Conclude using Lemma 1.6 of Chapter 2 that  $f \rightarrow |f|$  has a unique extension to a non-archimedean absolute value on the field of rational functions  $K(x)$ . Note that the restriction of this absolute value to the subfield  $K$  is not trivial.

#### 4. Extensions of Absolute Values on Complete Fields

In this section we assume that  $K$  is a field with a nontrivial absolute value  $|\cdot|$ , that  $(K, |\cdot|)$  is complete, and that  $L/K$  is a finite extension of fields. Then we define a map  $\|\cdot\| : L \rightarrow [0, \infty)$  by

$$(4.1) \quad \|\beta\| = |\text{Norm}_{L/K}(\beta)|^{1/N}, \quad \text{where } N = [L : K].$$

If  $\beta$  is in  $K$  then (1.11) implies that  $\|\beta\| = |\beta|$ . Thus  $\beta \rightarrow \|\beta\|$  extends the absolute value  $|\cdot|$  on  $K$  to a map on  $L$ .

**THEOREM 4.1.** *The map (4.1) defines an absolute value  $\|\cdot\|$  on  $L$  that extends the absolute value  $|\cdot|$  on  $K$ . Moreover,  $\|\cdot\|$  is the unique absolute value on  $L$  that extends  $|\cdot|$  on  $K$ , and  $L$  is complete in the metric topology induced by  $\|\cdot\|$ .*

**PROOF.** We may assume that  $N = [L : K] > 1$ . If  $|\cdot|$  is archimedean then by Theorem 2.2 of Chapter 2,  $(K, |\cdot|)$  is isometrically isomorphic to either  $(\mathbb{R}, |\cdot|_\infty^\theta)$  or  $(\mathbb{C}, |\cdot|_\infty^\theta)$  with  $0 < \theta \leq 1$ . However,  $\mathbb{C}$  is algebraically closed and does not have nontrivial finite extensions. We conclude that  $(K, |\cdot|)$  is isometrically isomorphic to  $(\mathbb{R}, |\cdot|_\infty^\theta)$ . As  $[\mathbb{C} : \mathbb{R}] = 2$  we also conclude that  $N = 2$  and  $L$  is isomorphic to  $\mathbb{C}$ . A basis for  $\mathbb{C}$  over  $\mathbb{R}$  is given by  $\{1, i\}$ . If  $\beta$  in  $\mathbb{C}$  is written with respect this basis as  $\beta = \beta_1 + i\beta_2$ , with  $\beta_1$  and  $\beta_2$  in  $\mathbb{R}$ , we find that

$$\text{Norm}_{\mathbb{C}/\mathbb{R}}(\beta) = \beta_1^2 + \beta_2^2.$$

It follows from (4.1) that

$$\|\beta\| = |\beta|_\infty^\theta,$$

where  $|\cdot|_\infty$  is the usual Hermitian absolute value on  $\mathbb{C}$ . By Corollary 2.2 this extension to an absolute value on  $\mathbb{C}$  is unique and Theorem 2.1 shows that  $\mathbb{C}$  is complete in the resulting metric topology. Of course these results about  $\mathbb{R}$  and  $\mathbb{C}$  are well known.

We assume throughout the remainder of the proof that  $|\cdot|$  is nontrivial and non-archimedean. The function  $\text{Norm}_{L/K} : L^\times \rightarrow K^\times$  is a homomorphism of multiplicative groups. From this observation we conclude that

$$\|\beta\| = 0 \quad \text{if and only if} \quad \beta = 0,$$

and

$$\|\alpha\beta\| = \|\alpha\| \|\beta\|.$$

It remains then to demonstrate that  $\beta \rightarrow \|\beta\|$  satisfies the strong triangle inequality. To accomplish this we will show that

$$(4.2) \quad \sup\{\|1 + \beta\| : \beta \in L, \|\beta\| \leq 1\} = 1.$$

Let  $\beta$  be in  $L$ ,  $\|\beta\| \leq 1$ , and let

$$f_\beta(x) = x^Q + a_1x^{Q-1} + \cdots + a_Q, \quad \text{where } Q = [K(\beta) : K],$$

be the minimal polynomial for  $\beta$  over  $K$ . As in (1.11) we have

$$\text{Norm}_{L/K}(\beta) = (-1)^{QR} f_\beta(0)^R, \quad \text{where } R = [L : K(\beta)],$$

and therefore

$$(4.3) \quad |a_Q| = |f_\beta(0)| = |\text{Norm}_{L/K}(\beta)|^{Q/N} = \|\beta\|^Q \leq 1.$$

As  $f_\beta(x)$  is a monic, irreducible polynomial in  $K[x]$ , Corollary 3.2 and (4.3) imply that  $f_\beta(x)$  is in  $O_K[x]$ . Plainly the minimal polynomial for  $1 + \beta$  is  $f_\beta(x - 1)$ . Applying (1.11) again we get

$$\text{Norm}_{L/K}(1 + \beta) = (-1)^{QR} f_\beta(-1)^R,$$

and then

$$\begin{aligned} \|1 + \beta\| &= |\text{Norm}_{L/K}(1 + \beta)|^{1/N} \\ &= |f_\beta(-1)|^{R/N} \\ &= |(-1)^Q + a_1(-1)^{Q-1} + \cdots + a_Q|^{1/Q} \\ &\leq \max\{1, |a_1|, |a_2|, \dots, |a_Q|\}^{1/Q} \\ &= 1. \end{aligned}$$

This verifies (4.2). Now if  $\alpha$  and  $\beta$  are in  $L$ , if  $\|\beta\| \leq \|\alpha\|$  then we have

$$\|\alpha + \beta\| = \|\alpha\| \|1 + \alpha^{-1}\beta\| \leq \|\alpha\| = \max\{\|\alpha\|, \|\beta\|\}.$$

We have shown that (4.1) defines an absolute value on  $L$  that extends the absolute value  $|\cdot|$  on  $K$ . It follows from Corollary 2.2 that this is the unique extension of  $|\cdot|$  on  $K$  to an absolute value on  $L$ . By Theorem 2.1  $L$  is complete in the induced metric topology.

It is not difficult to see that the extended absolute value defined by (4.1) depends on  $\beta$  but not otherwise on the finite extension  $L$ . To make this more precise, let  $\overline{K}$  be an algebraic closure of  $K$  and then let  $L_1$  and  $L_2$  be finite extensions of  $K$  such that

$$K \subseteq L_1 \subseteq \overline{K} \quad \text{and} \quad K \subseteq L_2 \subseteq \overline{K}.$$

Write  $N_1 = [L_1 : K]$  and  $N_2 = [L_2 : K]$ , so that

$$\|\alpha\|_1 = |\text{Norm}_{L_1/K}(\alpha)|^{1/N_1} \quad \text{and} \quad \|\beta\|_2 = |\text{Norm}_{L_2/K}(\beta)|^{1/N_2}$$

are the unique extensions of  $|\cdot|$  on  $K$  to  $L_1$  and  $L_2$ , respectively. Now assume that  $\beta$  belongs to  $L_1 \cap L_2$ . Let  $f_\beta$  be the minimal polynomial for  $\beta$  over  $K$  and assume that  $f_\beta$  has degree  $Q$ . Using (1.11) we find that

$$\text{Norm}_{L_1/K}(\beta) = (-1)^{QR_1} f_\beta(0)^{R_1} \quad \text{and} \quad \text{Norm}_{L_2/K}(\beta) = (-1)^{QR_2} f_\beta(0)^{R_2},$$

where  $R_1 = [L_1 : K(\beta)]$  and  $R_2 = [L_2 : K(\beta)]$ . It follows that  $N_1 = QR_1$ ,  $N_2 = QR_2$ , and therefore

$$(4.4) \quad \|\beta\|_1 = |f_\beta(0)|^{R_1/N_1} = |f_\beta(0)|^{R_2/N_2} = \|\beta\|_2.$$

This shows that the absolute value  $|\cdot|$  on  $K$  extends to a map  $|\cdot| : \overline{K} \rightarrow [0, \infty)$  as follows: if  $\beta$  is in  $\overline{K}$ , select a finite extension  $L/K$  such that  $\beta$  is in  $L$  and  $K \subseteq L \subseteq \overline{K}$ . Then define the absolute value of  $\beta$  by (4.1). In view of the identity (4.4) this is well defined. Therefore we will write simply

$$(4.5) \quad |\beta| = |\text{Norm}_{L/K}(\beta)|^{1/N}, \quad \text{where} \quad N = [L : K],$$

for the extended function  $|\cdot| : \overline{K} \rightarrow [0, \infty)$ . By Theorem 4.1 the restriction of  $|\cdot|$  to a finite extension  $L/K$  is an absolute value on  $L$ . We now show that (4.5) defines the unique extension of  $|\cdot|$  on  $K$  to an absolute value on  $\overline{K}$ .

**THEOREM 4.2.** *Assume that  $K$  is a field with a nontrivial absolute value  $|\cdot|$ , that  $(K, |\cdot|)$  is complete, and that  $\overline{K}$  is an algebraic closure of  $K$ . Then  $|\cdot|$  has a unique extension to  $\overline{K}$ . If  $\beta$  is a point in  $\overline{K}$ , if  $K \subseteq L \subseteq \overline{K}$  and  $L/K$  is a finite extension with  $\beta$  in  $L$ , then the extended absolute value of  $\beta$  is given by (4.5).*

**PROOF.** Let  $\alpha$  and  $\beta$  be elements of  $\overline{K}$ . Let  $L = K(\alpha, \beta)$  so that  $L/K$  is a finite extension of fields. By our previous remarks, the restriction of  $|\cdot|$  on  $\overline{K}$  to the subfield  $L$  is an absolute value on  $L$ . Hence the three conditions

- (i)  $|\alpha| = 0$  if and only if  $\alpha = 0$ ,
- (ii)  $|\alpha\beta| = |\alpha||\beta|$ ,
- (iii)  $|\alpha + \beta| \leq |\alpha| + |\beta|$ ,

required of an absolute value are satisfied. We have shown that (4.5) defines an absolute value on  $\overline{K}$ . The uniqueness of  $|\cdot|$  as an absolute value on  $\overline{K}$  follows because the restriction of  $|\cdot|$  to each finite extension of  $K$  is unique. This proves the theorem.

**COROLLARY 4.3.** *Assume that  $K$  is a field with a nontrivial absolute value  $|\cdot|$ , that  $(K, |\cdot|)$  is complete, and that  $\overline{K}$  is an algebraic closure of  $K$ . If  $L/K$  is a finite extension of fields, and  $\|\cdot\|$  on  $L$  extends the absolute value  $|\cdot|$  on  $K$ , then there exists an isometric*

embedding  $\sigma : L \rightarrow \overline{K}$  that fixes  $K$ , and satisfies the identity  $\|\beta\| = |\sigma(\beta)|$  for all  $\beta$  in  $L$ .

PROOF. Because  $L/K$  is an algebraic extension of fields, and  $\overline{K}$  is an algebraic closure of  $K$ , there exists a field embedding  $\sigma : L \rightarrow \overline{K}$  that fixes  $K$ . It follows that the map  $\beta \rightarrow |\sigma(\beta)|$  defines an absolute value on  $L$ , and this absolute value extends  $|\cdot|$  on  $K$ . By Theorem 4.1 an extension of  $|\cdot|$  on  $K$  to an absolute value on  $L$  is unique, and therefore we have  $\|\beta\| = |\sigma(\beta)|$  for all  $\beta$  in  $L$ .

We recall that two points  $\beta_1$  and  $\beta_2$  in  $\overline{K}$  are *conjugate* over  $K$  if they have the same minimal polynomial over  $K$ . In this case, if  $f_{\beta_1}(x) = f_{\beta_2}(x)$  is the common minimal polynomial with degree  $N$ , we have

$$(4.6) \quad |\beta_1| = |f_{\beta_1}(0)|^{1/N} = |f_{\beta_2}(0)|^{1/N} = |\beta_2|.$$

We now prove a useful generalization of (4.6).

LEMMA 4.4 (KRASNER'S LEMMA). *Assume that  $K$  is a field with a nontrivial, non-archimedean absolute value  $|\cdot|$ , that  $(K, |\cdot|)$  is complete, and that  $\overline{K}$  is an algebraic closure of  $K$ . Suppose that  $\beta_1$  and  $\beta_2$  are in  $\overline{K}$  and conjugate over  $K$ . Then each point  $\gamma$  in  $K$  satisfies*

$$(4.7) \quad |\beta_1 - \beta_2| \leq |\beta_1 - \gamma| = |\beta_2 - \gamma|.$$

PROOF. We have

$$|\beta_1 - \beta_2| = |(\beta_1 - \gamma) + (\gamma - \beta_2)| \leq \max\{|\beta_1 - \gamma|, |\beta_2 - \gamma|\}.$$

Now  $\beta_1 - \gamma$  and  $\beta_2 - \gamma$  are both roots of the monic irreducible polynomial  $f_{\beta_1}(x + \gamma) = f_{\beta_2}(x + \gamma)$  in  $K[x]$ . Hence  $\beta_1 - \gamma$  and  $\beta_2 - \gamma$  are conjugate over  $K$ . Then (4.6) implies that

$$|\beta_1 - \gamma| = |\beta_2 - \gamma|,$$

and this verifies (4.7).

We note that Lemma 4.4 has an obvious archimedean analogue. If  $\beta_1$  and  $\beta_2$  are complex numbers, conjugate over  $\mathbb{R}$ , and  $\gamma$  is in  $\mathbb{R}$ , then

$$(4.8) \quad \frac{1}{2}|\beta_1 - \beta_2|_\infty \leq |\beta_1 - \gamma|_\infty = |\beta_2 - \gamma|_\infty.$$

### 5. Extensions of Absolute Values on Incomplete Fields

We assume that  $l/k$  is a finite, separable extension of fields, and  $|\cdot|$  is a nontrivial absolute value on  $k$ . In this section we do not assume that  $k$  is complete. Our objective is to determine how  $|\cdot|$  on  $k$  can be extended to an absolute value on  $l$ .

Let  $(K, |\cdot|)$  be a completion of  $(k, |\cdot|)$ , and write  $\overline{K}$  for an algebraic closure of  $K$ . Because  $l/k$  is a finite extension and  $\overline{K}$  is an algebraically closed field containing  $k$ , there exist  $N$  distinct field embeddings  $\sigma_n : l \rightarrow \overline{K}$  that fix  $k$ , where  $n = 1, 2, \dots, N$ , and  $N = [l : k]$ . To determine these embeddings let  $\alpha$  in  $l$  generate  $l$  as a simple extension of  $k$ , and let  $f_\alpha(x)$  in  $k[x]$  be the minimal polynomial of  $\alpha$ . Write  $\beta_1, \beta_2, \dots, \beta_N$  for the roots of  $f_\alpha$  in  $\overline{K}$ . As  $l/k$  is a separable extension, the polynomial  $f_\alpha$  has  $N$  distinct roots in  $\overline{K}$ . Each root  $\beta_n$  determines an embedding  $\sigma_n : l \rightarrow \overline{K}$  that fixes  $k$  by  $\sigma_n(\alpha) = \beta_n$ , and in general by

$$(5.1) \quad \begin{aligned} \sigma_n(b_{N-1}\alpha^{N-1} + b_{N-2}\alpha^{N-2} + \dots + b_0) \\ = b_{N-1}\beta_n^{N-1} + b_{N-2}\beta_n^{N-2} + \dots + b_0, \end{aligned}$$

where  $b_0, b_1, \dots, b_{N-1}$  are elements of  $k$ . Then each map  $\gamma \rightarrow |\sigma_n(\gamma)|$  determines an absolute value on  $l$  that extends  $|\cdot|$  on  $k$ . In this section we will show that every absolute value on  $l$  that extends  $|\cdot|$  on  $k$  has this form. We will also show that the maps  $\gamma \rightarrow |\sigma_m(\gamma)|$  and  $\gamma \rightarrow |\sigma_n(\gamma)|$  determine exactly the same absolute value on  $l$  if and only if  $\beta_m$  and  $\beta_n$  are conjugate over  $K$ . In particular, suppose that  $f_\alpha$  factors in  $K[x]$  as

$$(5.2) \quad f_\alpha(x) = \prod_{r=1}^R \varphi_r(x),$$

where each factor  $\varphi_r$  is a monic irreducible polynomial in  $K[x]$  with positive degree. Then  $\beta_m$  and  $\beta_n$  are conjugate over  $K$  if and only if they are both roots of the same irreducible factor. Thus there are exactly  $R$  different extensions of the absolute value  $|\cdot|$  on  $k$  to an absolute value on  $l$ .

**LEMMA 5.1.** *Assume that  $l/k$  is a finite, separable extension of fields, and  $|\cdot|$  is a nontrivial absolute value on  $k$ . Let  $(K, |\cdot|)$  be a completion of  $(k, |\cdot|)$ , and write  $\overline{K}$  for an algebraic closure of  $K$ . For  $n = 1, 2, \dots, N$  let  $\sigma_n : l \rightarrow \overline{K}$  be the embedding defined by (5.1). Then the maps  $\gamma \rightarrow |\sigma_m(\gamma)|$  and  $\gamma \rightarrow |\sigma_n(\gamma)|$  determine the same absolute value on  $l$  if and only if  $\beta_m$  and  $\beta_n$  are conjugate over  $K$ .*

**PROOF.** Suppose that  $\beta_m$  and  $\beta_n$  are conjugate over  $K$ , and let

$$\gamma = b_{N-1}\alpha^{N-1} + b_{N-2}\alpha^{N-2} + \dots + b_0$$

be an element of  $l$ , where  $b_0, b_1, \dots, b_{N-1}$  are elements of  $k$ . Then

$$b_{N-1}\beta_m^{N-1} + b_{N-2}\beta_m^{N-2} + \dots + b_0 \quad \text{and} \quad b_{N-1}\beta_n^{N-1} + b_{N-2}\beta_n^{N-2} + \dots + b_0$$

are conjugate over  $K$ . It follows using (4.6) that

$$\begin{aligned} |\sigma_m(\gamma)| &= |b_{N-1}\beta_m^{N-1} + b_{N-2}\beta_m^{N-2} + \dots + b_0| \\ &= |b_{N-1}\beta_n^{N-1} + b_{N-2}\beta_n^{N-2} + \dots + b_0| \\ &= |\sigma_n(\gamma)|. \end{aligned}$$

Now assume that  $\beta_m$  and  $\beta_n$  are not conjugate over  $K$ , and let

$$\varphi(x) = x^J + c_1x^{J-1} + \dots + c_J$$

be the minimal polynomial for  $\beta_m$  in  $K[x]$ . Then we have  $\varphi(\beta_n) \neq 0$ . Select  $\delta > 0$  so that

$$(5.3) \quad \delta \max\{1, |\beta_m|\}^{J-1} < |\varphi(\beta_n)| - \delta \max\{1, |\beta_n|\}^{J-1}.$$

Because  $k$  is dense in  $K$ , there exist  $a_1, a_2, \dots, a_J$  in  $k$  such that

$$(5.4) \quad \sum_{j=1}^J |a_j - c_j| < \delta.$$

Then let

$$\psi(x) = x^J + a_1x^{J-1} + \dots + a_J$$

be the corresponding polynomial in  $k[x]$ . It follows using (5.4) that

$$\begin{aligned} |\psi(\beta_m)| &= |\psi(\beta_m) - \varphi(\beta_m)| \\ (5.5) \quad &\leq \sum_{j=1}^J |a_j - c_j| \max\{1, |\beta_m|\}^{J-j} \\ &\leq \delta \max\{1, |\beta_m|\}^{J-1}, \end{aligned}$$

and similarly,

$$\begin{aligned} (5.6) \quad |\varphi(\beta_n)| &\leq |\varphi(\beta_n) - \psi(\beta_n)| + |\psi(\beta_n)| \\ &\leq \delta \max\{1, |\beta_n|\}^{J-1} + |\psi(\beta_n)|. \end{aligned}$$

Combining (5.3), (5.5) and (5.6) leads to the inequality

$$|\psi(\beta_m)| < |\psi(\beta_n)|.$$

It follows that if  $\eta$  in  $l$  is given by

$$\eta = \alpha^J + a_1\alpha^{J-1} + \cdots + a_J,$$

then

$$|\sigma_m(\eta)| = |\psi(\beta_m)| < |\psi(\beta_n)| = |\sigma_n(\eta)|.$$

This proves the lemma.

It will be convenient now to index the roots  $\beta_1, \beta_2, \dots, \beta_N$  of  $f_\alpha$  in  $\overline{K}$  so that  $\beta_r$  is a root of the irreducible factor  $\varphi_r(x)$  for  $r = 1, 2, \dots, R$ . Then each of the maps

$$(5.7) \quad \gamma \rightarrow |\gamma|_r = |\sigma_r(\gamma)|, \quad \text{where } r = 1, 2, \dots, R,$$

defines an absolute on  $l$  that extends the absolute value  $|\cdot|$  on  $k$ . By Lemma 5.1, the absolute values  $|\cdot|_r$  are distinct for  $r = 1, 2, \dots, R$ , and account for all the absolute values on  $l$  that are defined by the maps  $\gamma \rightarrow |\sigma_n(\gamma)|$  for  $n = 1, 2, \dots, N$ .

**LEMMA 5.2.** *Assume that  $l/k$  is a finite, separable extension of fields, and  $|\cdot|$  is a nontrivial absolute value on  $k$ . Let  $(K, |\cdot|)$  be a completion of  $(k, |\cdot|)$ , and write  $\overline{K}$  for an algebraic closure of  $K$ . Let  $\|\cdot\|$  be an absolute value on  $l$  that extends the absolute value  $|\cdot|$  on  $k$ , and write  $(L, \|\cdot\|)$  for a completion of  $(l, \|\cdot\|)$ . Then there exists an isometric embedding  $\tau : L \rightarrow \overline{K}$  that fixes  $k$ , and satisfies the identity  $\|\gamma\| = |\tau(\gamma)|$  for all  $\gamma$  in  $L$ .*

**PROOF.** Let  $K'$  be the closure of  $k$  in  $L$ . By Exercise 2.4 in Chapter 2, the set  $K'$  is a subfield of  $L$  and  $(K', \|\cdot\|)$  is a completion of  $(k, \|\cdot\|) = (k, |\cdot|)$ . Because  $l/k$  is a finite, separable extension, there exists  $\alpha$  in  $l$  such that  $l = k(\alpha)$ . Obviously  $\alpha$  is algebraic over  $k$ , and therefore  $\alpha$  is algebraic over  $K'$ . It follows from Theorem 4.1 that  $K'(\alpha)$  is complete. As

$$l \subseteq K'(\alpha) \subseteq L,$$

we conclude that  $K'(\alpha) = L$ .

Since  $(K', \|\cdot\|)$  and  $(K, |\cdot|)$  are both completions of  $(k, \|\cdot\|) = (k, |\cdot|)$ , it follows from Theorem 2.1 that there exists a unique isometric isomorphism  $\tau : K' \rightarrow K$  such that  $\tau \circ \sigma_{K'} = \sigma_K$ , where  $\sigma_{K'} : k \rightarrow K'$  and  $\sigma_K : k \rightarrow K$  are isometric embeddings. As  $k \subseteq K'$  and  $k \subseteq K$ , we find that  $\tau$  fixes  $k$ . Obviously  $\tau$  extends to a ring isomorphism  $\tau : K'[x] \rightarrow K[x]$  by letting  $\tau$  act on the coefficients of polynomials. In particular, let

$$g_\alpha(x) = x^Q + a_1x^{Q-1} + \cdots + a_Q$$

be the minimal polynomial of  $\alpha$  in  $K'[x]$ . Write

$$\tau(g_\alpha)(x) = x^Q + \tau(a_1)x^{Q-1} + \cdots + \tau(a_Q)$$

for the image of  $g_\alpha$  in  $K[x]$ . Clearly,  $\tau(g_\alpha)$  is a monic, irreducible polynomial in  $K[x]$ . Let  $\beta$  be a root of  $\tau(g_\alpha)$  in  $\overline{K}$ . Then  $\tau : K' \rightarrow K$  extends to an isomorphism

$$\tau : K'(\alpha) \rightarrow K(\beta)$$

given by

$$\begin{aligned} \tau(c_{Q-1}\alpha^{Q-1} + c_{Q-2}\alpha^{Q-2} + \cdots + c_0) \\ = \tau(c_{Q-1})\beta^{Q-1} + \tau(c_{Q-2})\beta^{Q-2} + \cdots + \tau(c_0). \end{aligned}$$

It follows that the map  $\gamma \rightarrow |\tau(\gamma)|$  determines an absolute value on  $K'(\alpha)$  that extends the absolute value  $\|\cdot\|$  on  $K'$ . By Theorem 4.1 the extension of  $\|\cdot\|$  on  $K'$  to an absolute value on  $K'(\alpha)$  is unique, and therefore we have  $\|\gamma\| = |\tau(\gamma)|$  for all  $\gamma$  in  $K'(\alpha) = L$ .

We are now in position to combine Lemma 5.1 and Lemma 5.2 and so determine all absolute values on  $l$  that extend  $\|\cdot\|$  on  $k$ .

**THEOREM 5.3.** *Assume that  $l/k$  is a finite, separable extension of fields, and  $\|\cdot\|$  is a nontrivial absolute value on  $k$ . Let  $\alpha$  in  $l$  generate  $l$  as a simple extension of  $k$ , and let  $f_\alpha(x)$  in  $k[x]$  be the minimal polynomial of  $\alpha$ . Assume that  $f_\alpha$  factors into monic, irreducible factors in  $K[x]$  as in (5.2), and let  $|\cdot|_r$ , for  $r = 1, 2, \dots, R$ , be the distinct absolute values on  $l$  defined by (5.7).*

- (1) *If  $\|\cdot\|$  is an absolute value on  $l$  that extends the absolute value  $\|\cdot\|$  on  $k$ , then  $\|\cdot\| = |\cdot|_r$  for some  $r$ .*
- (2) *If  $(L_r, |\cdot|_r)$  is a completion of  $(l, |\cdot|_r)$ , and  $K_r$  is the closure of  $k$  in  $L_r$ , then  $(K_r, |\cdot|_r)$  is a completion of  $(k, |\cdot|_r) = (k, \|\cdot\|)$ .*
- (3) *For each  $r = 1, 2, \dots, R$ , we have  $[L_r : K_r] = \deg \varphi_r$ , and therefore*

$$(5.8) \quad \sum_{r=1}^R [L_r : K_r] = [l : k].$$

**PROOF.** Let  $(K, \|\cdot\|)$  be a completion of  $(k, \|\cdot\|)$ , write  $\overline{K}$  for an algebraic closure of  $K$ , and write  $(L, \|\cdot\|)$  for a completion of  $(l, \|\cdot\|)$ . By Lemma 5.2 there exists an isometric embedding  $\tau : L \rightarrow \overline{K}$  that fixes  $k$ , and satisfies the identity  $\|\gamma\| = |\tau(\gamma)|$  for all  $\gamma$  in  $L$ . Hence the restriction of  $\tau$  to  $l$  maps the generator  $\alpha$  to one of the roots  $\beta_n$  in  $\overline{K}$ .

That is,  $\tau$  restricted to  $l$  is one of the maps  $\sigma_n : l \rightarrow \overline{K}$  defined by (5.1). Select  $r$  in  $\{1, 2, \dots, R\}$  so that  $\beta_n$  and  $\beta_r$  are conjugate over  $K$ . By Lemma 5.1 we have

$$\|\gamma\| = |\tau(\gamma)| = |\sigma_n(\gamma)| = |\sigma_r(\gamma)| = |\gamma|_r$$

for each  $\gamma$  in  $l$ . This verifies (1).

The assertion (2) follows from Exercise 2.4 in Chapter 2.

For each  $r$  in  $\{1, 2, \dots, R\}$  we apply Lemma 5.2 to the absolute value  $|\cdot|_r$  on  $l$ . Thus there exists an isometric embedding  $\tau_r : L_r \rightarrow K$  such that  $|\gamma|_r = |\tau_r(\gamma)|$  for all  $\gamma$  in  $L_r$ . By Theorem 2.1 the restriction of  $\tau_r$  to  $K_r$  is an isometric isomorphism from  $K_r$  onto  $K$ . It follows that

$$[L_r : K_r] = [K(\beta_r) : K] = \deg \varphi_r$$

for each  $r$ , and then

$$\sum_{r=1}^R [L_r : K_r] = \sum_{r=1}^R \deg \varphi_r = \deg f_\alpha = [l : k].$$

This proves (3).

**THEOREM 5.4.** *Assume that  $l/k$  is a purely inseparable extension of fields, and  $|\cdot|$  is a nontrivial absolute value on  $k$ . Then  $|\cdot|$  has a unique extension to an absolute value on  $l$ .*

**PROOF.** Clearly we may assume that  $k$  is a field of characteristic  $p > 0$  and therefore  $|\cdot|$  is a non-archimedean absolute value on  $k$ . It will be convenient to use a corresponding nontrivial valuation  $v : k \rightarrow \mathbb{R} \cup \{\infty\}$ , which we define by  $v(a) = -\log |a|$  for all  $a$  in  $k$ . Thus we must show that  $v$  has a unique extension to a valuation on  $l$ .

If  $\alpha \neq 0$  is in  $l$  then there exists a nonnegative integer  $m$  such that  $\alpha^{p^m} = a$  is in  $k$ . Suppose that  $n$  is also a positive integer such that  $\alpha^{p^n} = b$  is in  $k$ . We may assume that  $1 \leq m < n$  and then conclude that

$$(5.9) \quad b = \alpha^{p^n} = (\alpha^{p^m})^{p^{n-m}} = a^{p^{n-m}}.$$

Now (5.9) implies that

$$(5.10) \quad p^{-m}v(a) = p^{-n}v(b).$$

Therefore we extend  $v$  to a map  $w : l \rightarrow \mathbb{R} \cup \{\infty\}$  by setting  $w(0) = \infty$  and

$$(5.11) \quad w(\alpha) = p^{-m}v(a).$$

The identity (5.10) shows that the extended map  $w$  is well defined. If  $\alpha$  is in  $k$  then we may use (5.11) with  $m = 0$ . It follows that  $w$  on  $l$  extends the map  $v$  on  $k$ .

Suppose that  $\alpha \neq 0$  and  $\beta \neq 0$  belong to  $l$ . Let  $m$  and  $n$  be nonnegative integers such that both  $\alpha^{p^m} = a$  and  $\beta^{p^n} = b$  belong to  $k$ . If  $0 \leq m \leq n$  then we have

$$(5.12) \quad (\alpha\beta)^{p^n} = (\alpha^{p^m})^{p^{n-m}} (\beta)^{p^n} = a^{p^{n-m}} b.$$

Using (5.12) we get

$$(5.13) \quad w(\alpha\beta) = p^{-n}v(a^{p^{n-m}} b) = p^{-m}v(a) + p^{-n}v(b) = w(\alpha) + w(\beta).$$

As  $l$  has characteristic  $p$  we also have

$$(\alpha + \beta)^{p^n} = \alpha^{p^n} + \beta^{p^n} = a^{p^{n-m}} + b,$$

and therefore

$$(5.14) \quad \begin{aligned} w(\alpha + \beta) &= p^{-n}v(a^{p^{n-m}} + b) \\ &\geq p^{-n} \min \{p^{n-m}v(a), v(b)\} \\ &= \min \{p^{-m}v(a), p^{-n}v(b)\} \\ &= \min \{w(\alpha), w(\beta)\}. \end{aligned}$$

Then it follows from (5.13) and (5.14) that  $w$  defines a valuation on  $l$ .

Finally, we assume that  $\widehat{w}$  is also an extension of  $v$  to a valuation on  $l$ . If  $\alpha \neq 0$  is in  $l$  and  $m$  is a nonnegative integer such that  $\alpha^{p^m} = a$  is in  $k$ , then we have

$$w(\alpha) = p^{-m}v(a) = p^{-m}\widehat{w}(\alpha^{p^m}) = \widehat{w}(\alpha).$$

This shows that  $w$  is the unique extension of  $v$  to a valuation on  $k$ .

## Exercises

- 5.1 Assume that  $l/k$  is a finite extension of fields, and let  $|\cdot|_0$  denote the trivial absolute value on  $k$ . Prove that the only absolute value on  $l$  that extends  $|\cdot|_0$  on  $k$  is the trivial absolute value on  $l$ . (Recall that we showed in section 7 of Chapter 2 that there exist nontrivial absolute values on  $k(x)$  that extend the trivial absolute value on  $k$ .)

## 6. Absolute Values on Algebraic Number Fields

By an *algebraic number field* we understand a finite extension  $k$  of the rational field  $\mathbb{Q}$ . If  $\|\cdot\|$  is a nontrivial absolute value on  $k$ , then by Exercise 5.1 the restriction of  $\|\cdot\|$  to an absolute value on  $\mathbb{Q}$  is also nontrivial. Hence the restriction of  $\|\cdot\|$  to an absolute value on  $\mathbb{Q}$  is equivalent to exactly one of the absolute values in the set

$$\{|\cdot|_\infty, |\cdot|_2, |\cdot|_3, |\cdot|_5, |\cdot|_7, \dots\},$$

as discussed in Theorem 5.1 of Chapter 2. Then Theorem 5.3 of the present chapter enables us to determine all the absolute values on  $k$  that extend one of the nontrivial absolute values on  $\mathbb{Q}$ .

It will be convenient to reformulate these observations in terms of the places of  $k$  and  $\mathbb{Q}$ . Let  $v$  denote a place of  $k$ , and write  $k_v$  for the completion of  $k$  at the place  $v$ . If the restriction of an absolute value from the place  $v$  to the subfield  $\mathbb{Q}$  is equivalent to  $|\cdot|_\infty$ , then  $v$  is an archimedean place and we write  $v|\infty$ . In this case the completion  $k_v$  is isomorphic to either  $\mathbb{R}$  or  $\mathbb{C}$ , and so the *local degree*  $[k_v : \mathbb{Q}_\infty]$  is either 1 or 2. If the restriction of an absolute value from the place  $v$  to the subfield  $\mathbb{Q}$  is equivalent to  $|\cdot|_p$  for some prime number  $p$ , then  $v$  is a non-archimedean place and we write  $v|p$ . In this case the *local degree*  $[k_v : \mathbb{Q}_p]$  is finite. By (5.8) the local degrees and the *global degree*  $[k : \mathbb{Q}]$  are related by the basic identities

$$(6.1) \quad \sum_{v|\infty} [k_v : \mathbb{Q}_\infty] = [k : \mathbb{Q}] \quad \text{and} \quad \sum_{v|p} [k_v : \mathbb{Q}_p] = [k : \mathbb{Q}],$$

where the sums run over the (finite) set of all places  $v$  of  $k$  such that  $v|\infty$  and  $v|p$ , respectively.

### Exercises

- 6.1 Prove that for each positive integer  $N$  and prime number  $p$  the ring  $\mathbb{Z}[x]$  contains a polynomial of degree  $N$  that is irreducible in  $\mathbb{Q}_p[x]$ .

## 7. The field $\Omega_p$

Let  $p$  be a prime number and  $\mathbb{Q}_p$  the field of  $p$ -adic numbers. By Theorem 4.2 the  $p$ -adic absolute value  $|\cdot|_p$  on  $\mathbb{Q}_p$  has a unique extension to an algebraic closure  $\overline{\mathbb{Q}_p}$ . Then by Theorem 2.1 of Chapter 2,  $|\cdot|_p$  has a further extension to a completion of  $\overline{\mathbb{Q}_p}$ . Let  $\Omega_p$  denote the completion of  $\overline{\mathbb{Q}_p}$  with respect to  $|\cdot|_p$ . Obviously  $(\Omega_p, |\cdot|_p)$  is a complete metric space. Evidently we can now form an algebraic closure of  $\Omega_p$ , but in fact we will show that  $\Omega_p$  is already algebraically closed. This is the  $p$ -adic analogue of the fundamental theorem of algebra, which asserts that the field  $\mathbb{C}$  is algebraically closed.

**THEOREM 7.1.** *Let  $\overline{\mathbb{Q}_p}$  be an algebraic closure of  $\mathbb{Q}_p$ , and let  $\Omega_p$  be the completion of  $\overline{\mathbb{Q}_p}$  with respect to  $|\cdot|_p$ . Then the field  $\Omega_p$  is algebraically closed.*

**PROOF.** Write

$$O_p = \{\alpha \in \Omega_p : |\alpha|_p \leq 1\}$$

for the local ring in  $\Omega_p$ . Then let

$$(7.1) \quad f(x) = x^N + a_1x^{N-1} + a_2x^{N-2} + \cdots + a_N$$

be a monic, irreducible polynomial in  $O_p[x]$ . Write  $\text{Disc}(f)$  for the discriminant of  $f(x)$ . Because  $\Omega_p$  has characteristic zero and the coefficients of  $f(x)$  belong to  $O_p$ , we find that

$$0 < |\text{Disc}(f)|_p \leq 1.$$

Let

$$g(x) = x^N + b_1x^{N-1} + b_2x^{N-2} + \cdots + b_N$$

be a monic polynomial in  $\overline{\mathbb{Q}_p}[x]$ . Because  $\overline{\mathbb{Q}_p}$  is dense in  $\Omega_p$  we can select the coefficients  $b_1, \dots, b_N$  so that

$$|a_n - b_n|_p < |\text{Disc}(f)|_p^2 \quad \text{for each } n = 1, 2, \dots, N.$$

As  $\overline{\mathbb{Q}_p}$  is algebraically closed there exists a point  $\beta$  in  $\overline{\mathbb{Q}_p}$  such that  $g(\beta) = 0$ . Clearly we must have  $|b_n|_p \leq 1$  and therefore  $|\beta|_p \leq 1$ . It follows that

$$(7.2) \quad \begin{aligned} |f(\beta)|_p &= |f(\beta) - g(\beta)|_p \\ &= |(a_1 - b_1)\beta^{N-1} + (a_2 - b_2)\beta^{N-2} + \cdots + (a_N - b_N)|_p \\ &\leq \max\{|a_1 - b_1|_p, |a_2 - b_2|_p, \dots, |a_N - b_N|_p\} \\ &< |\text{Disc}(f)|_p^2. \end{aligned}$$

Using the fact that the discriminant of  $f(x)$  can be expressed as the resultant of  $f(x)$  and  $f'(x)$ , we find (see [2], Theorem 2, section 7.4, or [3], Exercise 30, section 14.6) that there exist polynomials  $r(x)$  and  $s(x)$  in  $O_p[x]$  such that

$$r(x)f(x) + s(x)f'(x) = \text{Disc}(f).$$

As

$$|r(\beta)f(\beta)|_p \leq |f(\beta)|_p < |\text{Disc}(f)|_p^2 \leq |\text{Disc}(f)|_p,$$

we conclude that

$$(7.3) \quad |\text{Disc}(f)|_p = |s(\beta)f'(\beta)|_p \leq |f'(\beta)|_p.$$

Combining (7.2) and (7.3) leads to the inequality

$$|f(\beta)|_p < |f'(\beta)|^2.$$

Thus we may apply Theorem 3.1 of Chapter 2, and conclude that  $f(\alpha) = 0$  at some point  $\alpha$  in  $O_p$ . We have shown that the monic, irreducible polynomial  $f(x)$  in  $O_p[x]$  must be linear.

Now suppose that  $f(x)$  is a monic irreducible polynomial in  $\Omega_p[x]$  given by (7.1). For nonnegative integers  $m$  define

$$F_m(x) = p^{mN} f(p^{-m}x) = x^N + a_1 p^m x^{N-1} + a_2 p^{2m} x^{N-2} + \cdots + a_N p^{Nm}.$$

If  $m$  is sufficiently large then  $F_m(x)$  is a monic polynomial in  $O_p[x]$ . We also have

$$f(x) = p^{-mN} F_m(p^m x).$$

Thus  $F_m(x)$  is irreducible in  $\Omega_p[x]$  because  $f(x)$  is irreducible in  $\Omega_p[x]$ . By the case already considered  $F_m(x)$  is linear, and therefore  $f(x)$  is also linear. This shows that  $\Omega_p$  is algebraically closed.

## Exercises

1.1 Let  $p$  be a prime number. Write  $O_p$  for the local ring in  $\Omega_p$  and

$$M_p = \{\alpha \in \Omega_p : |\alpha|_p < 1\}$$

for its unique maximal ideal. Let  $\mathbb{F}_p$  denote the finite field with  $p$  elements and write  $\overline{\mathbb{F}_p}$  for an algebraic closure of  $\mathbb{F}_p$ . Prove that the residue class field  $O_p/M_p$  is isomorphic to  $\overline{\mathbb{F}_p}$ .

## References for Chapter 3

1. J. W. S. Cassels, *Local Fields*, London Math. Soc. Student Texts 3, Cambridge University Press, 1986.
2. P. M. Cohn, *Classic Algebra*, Wiley, Chichester, England, 2000.
3. D. S. Dummit and R. F. Foote, *Abstract Algebra*, second edition, Prentice Hall, Saddle River, New Jersey, 1999.
4. S. Lang, *Algebra*, third edition, Addison Wesley, New York.
5. P. Ribenboim, *The Theory of Classical Valuations*, Springer-Verlag, New York, 1999.
6. A. Weil, *Basic Number Theory*, Springer-Verlag, New York, 1974.

1227, September 17, 2007