

# GRM

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# 1 Groups

## 1.1 1.2

**Definition.** A homomorphism is called an *isomorphism* if it is a bijection. Say groups  $G$  and  $H$  are isomorphic if there exists an isomorphism  $\phi : G \rightarrow H$  between them, write  $G \cong H$ .

Exercise: If  $\phi$  is an isomorphism, then the inverse function  $\phi^{-1} : H \rightarrow G$  is also a homomorphism (so an isomorphism).

**Theorem.** (First isomorphism theorem)

Let  $\phi : G \rightarrow H$  be a homomorphism. Then  $\ker(\phi) \triangleleft G$ ,  $\text{im}(\phi) \leq H$ , and  $G/\ker(\phi) \cong \text{im}(\phi)$ .

*Proof.* We've done the first two parts.

Let  $f : G/\ker(\phi) \rightarrow \text{im}(\phi)$  by  $g\ker(\phi) \rightarrow \phi(g)$ .

$f$  is well-defined: if  $g\ker(\phi) = g'\ker(\phi)$  then  $g^{-1}g' \in \ker(\phi)$ . So  $e_H = \phi(g^{-1}g') = \phi(g^{-1}) \cdot \phi(g') = \phi(g)^{-1}\phi(g')$ . So  $\phi(g) = \phi(g')$ . So we have  $f(g\ker(\phi)) = f(g'\ker(\phi))$ .

$f$  is a homomorphism:  $f(g\ker(\phi) \cdot g'\ker(\phi)) = f(gg'\ker(\phi)) = \phi(gg') = \phi(g)\phi(g') = f(g\ker(\phi)) \cdot f(g'\ker(\phi))$ .

$f$  is surjective: Let  $h \in \text{im}(\phi)$ , i.e.  $h = \phi(g)$  for some  $g$ . So  $h = f(g\ker(\phi))$ .

$f$  is injective: Suppose  $f(g\ker(\phi)) = e_H$ , i.e.  $\phi(g) = e_H$ . Then  $g \in \ker(\phi)$ . So  $g\ker(\phi) = e_G\ker(\phi)$ .  $\square$

**Example.** Consider  $\phi : \mathbb{C} \rightarrow \mathbb{C} \setminus \{0\}$  by  $z \rightarrow e^z$ . Then  $\phi$  is a homomorphism from  $(\mathbb{C}, +, 0)$  to  $(\mathbb{C} \setminus \{0\}, \times, 1)$ .  $\phi$  is onto because  $\log$  exists (principal value). We have

$$\ker(\phi) = \{z \in \mathbb{C} | e^z = 1\} = \{2\pi ik \in \mathbb{C} | k \in \mathbb{Z}\} = 2\pi i\mathbb{Z}$$

So from first isomorphism theorem we get  $(\mathbb{C}/2\pi i\mathbb{Z}, +, 0) \cong (\mathbb{C} \setminus \{0\}, \times, 1)$ .

**Theorem.** (Second isomorphism theorem)

Let  $H \leq G$ ,  $K \triangleleft G$ . Then

$$HK = \{x = hk \in G | h \in H, k \in K\}$$

is a subgroup of  $G$ ,  $H \cap K \triangleleft H$ , and

$$HK/K \cong H/H \cap K$$

*Proof.* Let  $hk, h'k' \in HK$ . Then

$$h'k'(hk)^{-1} = h'k'k^{-1}h^{-1} = h'h^{-1}hk'k^{-1}h^{-1}$$

$h'h^{-1} \in H$ , and  $hk'k^{-1}h^{-1} \in K$  since  $K \triangleleft G$ . So  $h'k'(hk)^{-1} \in HK$ . So  $HK \leq G$ .

Then consider  $\phi : H \rightarrow G/K$  by  $h \rightarrow hK$ . This is a homomorphism (composition of  $H \rightarrow G \rightarrow G/K$ ). Then

$$\ker(\phi) = \{h \in H | hK = eK\} = H \cap K$$

so  $H \cap K$  is normal in  $H$  by first isomorphism theorem. Also

$$\text{im}(\phi) = \{gK \in G/K | gK = hK \text{ for some } h \in H\} = HK/K$$

So by first isomorphism theorem,  $H/H \cap K \cong HK/K$  as required.  $\square$

**Theorem.** (Subgroup correspondence)

Let  $K \triangleleft G$ . There is a bijection between subgroups of  $G/K$  and subgroups of  $G$  that contain  $K$  by:

$$\leftarrow: L/K \leq G/K \leftarrow K \triangleleft L \leq G \text{ and}$$

$$\rightarrow: U \leq G/K \rightarrow \{g \in G | gK \in U\}.$$

The same maps give a bijection between normal subgroups of  $G/K$  and normal subgroups of  $G$  that contain  $K$ .

**Theorem.** (Third isomorphism theorem)

Let  $K \triangleleft L$ ,  $L \triangleleft G$ . Then  $(G/K)/(L/K) \cong G/L$ .

*Proof.* Let  $\phi : G/K \rightarrow G/L$  by  $gK \rightarrow gL$ .

$\phi$  is well-defined: if  $gK = g'K$  then  $g^{-1}g' \in K \leq L$ . So  $gL = g(g^{-1}g')L = g'L$ .

$\phi$  is clearly surjective, and  $\ker(\phi) = \{gK \in G/K | gL = eL \iff g \in L\} = L/K$ .

So by first isomorphism theorem,  $(G/K)/(L/K) \cong G/L$ .  $\square$

**Definition.** A group  $G$  is *simple* if its only normal subgroups are  $\{e\}$  and  $G$ .

**Lemma.** An abelian group is simple iff it is isomorphic to  $C_p$  for prime  $p$ .

*Proof.* In an abelian group, every subgroup is normal. Now let  $g \in G$  be non-trivial and consider  $H = \{\dots, g^{-1}, e, g, \dots\}$ . This is a subgroup of  $G$ , so a normal subgroup of  $G$ . If  $G$  is simple, then since  $g$  is non-trivial, this must be equal to  $G$ . So  $G$  is a cyclic group.

If  $G$  is infinite, then it is isomorphic to  $(\mathbb{Z}, +, 0)$ . But  $2\mathbb{Z} \triangleleft \mathbb{Z}$ . So this is not simple.

So  $G \cong C_n$  for some  $n$ . If  $n = a \cdot b$  for some  $a, b \in \mathbb{Z}$  and  $a, b \neq 1$ , then  $G$  contains  $\langle \dots, g^{-a}, e, g^a, \dots \rangle \cong C_b$  as a proper subgroup. Contradiction.

So  $n$  must be a prime number.

Finally, note that  $C_p$  for prime  $p$  is indeed simple: by Lagrange theorem any subgroup of  $C_p$  must have order 1 or  $p$ .  $\square$

## 1.2 Actions and Permutations

**Theorem.** Let  $G$  be a non-abelian simple group, and  $H \leq G$  a subgroup of index  $n > 1$ . Then  $G$  is isomorphic to a subgroup of  $A_n$  for  $n \geq 5$ .

*Proof.* We let  $G$  act on  $X = G/H$ , giving  $\phi : G \rightarrow \text{Sym}(G/H)$ . Then  $\ker(\phi) \triangleleft G$ , so as  $G$  is simple, either  $\ker(\phi) = G$  or  $\ker(\phi) = \{e\}$ . But

$$\ker(\phi) = \bigcap_{g \in G} g^{-1}Hg \leq H$$

a proper subgroup of  $G$ ; so the first case cannot occur. So  $\ker(\phi) = \{e\}$ .

By 1st isomorphism theorem,

$$G \cong G/\{e\} \cong \text{im}(\phi) = G^X \leq \text{Sym}(G/H) \cong S_n$$

Apply 2nd isomorphism theorem to  $A_n \triangleleft S_n$ ,  $G^X \leq S_n$ . Then  $G^X \cap A_n \triangleleft G^X$ ,  $G^X/G^X \cap A_n = G^X A_n/A_n$ . As  $G^X \cong G$  is simple,  $G^X \cap A_n \triangleleft G^X$ , so  $G^X \cap A_n = \{e\}$  or  $G^X \cap A_n = \{e\}$ . But if the first case holds, then  $G^X \cong G^X A_n/A_n \leq S_n/A_n \cong C_2$ , contradicting  $G^X \cong G$  being non-abelian. Hence  $G^X \cap A_n = G^X$ , i.e.  $G^X \leq A_n$ .

$n \geq 5$  because  $A_2, A_3, A_4$  have no non-abelian simple subgroups. □

**Corollary.** If  $G$  is non-abelian simple,  $H \leq G$  is of index  $n$ , then  $|G| \mid \frac{n!}{2}$ .

**Definition.** If  $G$  acts on  $X$ , the *orbit* of  $x \in X$  is

$$G \cdot x = \{y = g * x \in X \mid g \in G\}$$

and the *stabiliser* of  $x \in X$  is

$$G_x = \{g \in G \mid g * x = x\} \leq G.$$

**Theorem.** (Orbit-stabiliser).

If  $G$  acts on  $X$ , then for any  $x \in X$ , there is a bijection between  $G \cdot x$  and  $G/G_x$  by  $g * x \rightarrow gG_x$ ,  $gG_x \leftarrow y = g * x$ .

## 1.3 Conjugacy classes, centralisers and normalisers

There is an action of  $G$  on the set  $X = G$  via  $g * x := g \cdot x \cdot g^{-1}$ .

This gives a map  $\phi : G \rightarrow \text{Sym}(G)$ . Note  $\phi(g)(x \cdot t) = g \cdot x \cdot t \cdot g^{-1} = gxg^{-1}gtg^{-1} = \phi(g)(x) \cdot \phi(g)(t)$ , i.e.  $\phi(g)$  is a group homomorphism. Also it's a bijection (in  $\text{Sym}(G)$ ), so it is an isomorphism.

Let  $\text{Aut}(G) = \{f : G \rightarrow G \mid f \text{ is a group isomorphism}\} \leq \text{Sym}(G)$ , called the automorphisms of  $G$ .

We have shown that  $\phi : G \rightarrow \text{Sym}(G)$  has image in  $\text{Aut}(G) \leq \text{Sym}(G)$ .

**Definition.** The *conjugacy class* of  $x \in G$  is  $G \cdot x = \text{Cl}_G(x) = \{g x g^{-1} | g \in G\}$ .  
 The *centraliser* of  $x \in G$  is  $G_x = C_G(x) = \{g \in G | g x g^{-1} = x \iff g x = x g\}$ .  
 The *centre* of  $G$  is  $Z(G) = G_X = \ker(\phi) = \{g \in G | g x g^{-1} = x \forall x \in G\}$ .  
 The *normaliser* of  $H \leq G$  is  $N_G(H) = \{g \in G | g H g^{-1} = H\}$ .

By Orbit-stabiliser theorem, there is a bijection between  $\text{Cl}_G(x)$  and  $G/C_G(x)$ .  
 So if  $G$  is finite, then  $|\text{Cl}_G(x)|$  equals the index of  $C_G(x) \leq G$  which divides  $|G|$ .

Recall (from IA groups) that in  $S_n$ ,

- (i) everything can be written as a product of disjoint cycles;
- (ii) permutations are conjugate iff they have the same cycle type.

**Theorem.**  $A_n$  is simple for  $n \geq 5$ .

*Proof.* First, claim  $A_n$  is generated by 3-cycles.

Need to show that a product of two transposition is a product of 3-cycles. We have  $(ab)(bc) = (abc)$ ,  $(ab)(cd) = (acb)(acd)$ .

Let  $H \triangleleft A_n$ . If  $H$  contains a 3-cycle, say  $(abc)$ .

In  $S_n$ , there is a  $\sigma$  so that  $(abc) = \sigma^{-1}(123)\sigma$ . If  $\sigma \in A_n$ , then  $(123) \in H$ .  
 Otherwise, let  $\sigma' = (45)\sigma \in A_n$ . Then  $\sigma(123)\sigma = (abc)$ .

So all 3-cycles are in  $H$  if one of them is in  $H$ . In that case we know  $H = A_n$ .

So it is enough to show that any  $\{e\} \neq H \triangleleft A_n$  contains a 3-cycle.

Case 1:  $H$  contains  $\sigma = (123\dots r)\tau$  in disjoint cycle notation for some  $r \geq 4$ . Let  $\delta = (123)$  and consider  $\sigma^{-1}\delta^{-1}\sigma\delta$ . This is in  $H$ . Evaluate it and we get

$$\begin{aligned} \sigma^{-1}\delta^{-1}\sigma\delta &= \tau^{-1}(r\dots 21)(132)(12\dots r)\tau(123) \\ &= (r\dots 21)(132)(12\dots r)(123) \\ &= (23r) \in H \end{aligned}$$

is a 3-cycle.

Case 2:  $H$  contains  $\sigma = (123)(456)\tau$  in disjoint cycle notation. Let  $\delta = (124)$  and calculate

$$\sigma^{-1}\delta^{-1}\sigma\delta = (132)(465)(142)(123)(456)(124) = (12436)$$

So we've reduced to the first case.

Case 3:  $H$  contains  $\sigma = (123)\tau$ , and  $\tau$  is a product of 2-cycles. Then  $\sigma^2 = (132) \in H$ .

Case 4:  $H$  contains  $\sigma = (12)(34)\tau$ , and  $\tau$  is a product of 2-cycles. Let  $\delta = (123)$ , then

$$u = \sigma^{-1}\delta^{-1}\sigma\delta = (12)(34)(132)(12)(34)(123) = (14)(23)$$

Now let  $v = (152)u(125) = (13)(45)$ . We have  $u \cdot v = (14)(23)(13)(45) = (12345)$ . So we've reduced to the first case.

So  $H$  contains a 3-cycle.

□

## 1.4 $p$ -groups

A finite group  $G$  is a  $p$ -group if  $|G| = p^n$  for some prime number  $p$ .

**Theorem.** If  $G$  is a finite  $p$ -group, then  $Z(G) \neq \{e\}$ .

*Proof.* The conjugacy classes partition  $G$ , and

$$|Cl(x)| = |G/C_G(x)| \mid |G|$$

by Orbit-Stabilizer and Lagrange's Theorem. So  $|Cl(x)|$  is a power of  $p$ .

We know  $|G|$  is the sum of sizes of conjugacy classes. We can write  $|G| =$  number of conjugacy classes of size 1 + size of all other conjugacy classes (which is divisible by  $p$ ). Since  $p \mid |G|$ , the number of conjugacy classes of size 1 is divisible by  $p$ . In particular,  $|Cl(e)| = 1$ , so there is at least  $p$  of such conjugacy classes.

Now note that  $Z(G)$  consider all the elements that commutes with all the elements in the group, i.e. they have conjugacy classes of size 1. So  $|Z(G)| \geq p$ . □

**Corollary.** A group of order  $p^n$ ,  $n > 1$ , is *never* simple.

**Lemma.** For any group  $G$ , if  $G/Z(G)$  is cyclic, then  $G$  is abelian.

*Proof.* Let the coset  $gZ(G)$  generate the cyclic group  $G/Z(G)$ . Then every coset is a of the form  $g^r Z(G)$ ,  $r \in \mathbb{Z}$ . So every element of  $G$  is of the form  $g^r \cdot z$  for  $z \in Z(G)$ . Now take

$$(g^r z) \cdot (g^{r'} z') = g^r g^{r'} z z' = g^{r'} g^r z' z = g^{r'} z' g^r z$$

So  $G$  is abelian. □

**Corollary.** If  $|G| = p^2$ ,  $p$  is prime, then  $G$  is abelian.

*Proof.* We know  $\{e\} \leq Z(G) \leq G$ , so  $|Z(G)| = p$  or  $p^2$ . If it's  $p^2$  then  $G = Z(G)$  is abelian.

If  $|Z(G)| = p$ , then  $|G/Z(G)| = p$ . So  $G/Z(G)$  is cyclic. So  $G$  is abelian. □

**Theorem.** If  $|G| = p^a$ , then  $G$  has a subgroup of order  $p^b$  for any  $0 \leq b \leq a$ .

*Proof.* Prove by induction on  $a$ . If  $a = 1$  then done. For  $a > 1$ , have  $\{e\} \leq Z(G)$ . Let  $e \neq x \in Z(G)$ . Then  $x$  has order a power of  $p$ , so we can take some power of  $p$  that has order  $p$ , say  $z$ . Let  $C = \langle z \rangle$ , a normal subgroup of  $G$  (since this is inside centre). Now  $G/C$  has order  $p^{a-1}$ . By induction hypothesis, we may find a subgroup  $H \leq G/C$  of order  $p^{b-1}$ . Now by subgroup correspondence, this  $H$  gives some  $L \leq G$  that contains  $C$  (by  $H = L/C$ ), and  $|L| = p^b$ .  $\square$

## 1.5 Finite abelian groups

**Theorem.** If  $G$  is a finite abelian group, then

$$G \cong C_{d_1} \times C_{d_2} \times \dots \times C_{d_k}$$

with  $d_{i+1} | d_i$  for all  $i$ .

We will prove this later, by considering an abelian group as a  $\mathbb{Z}$ -module.

**Example.** If  $|G| = 8$  and  $G$  is abelian, then  $G$  is either  $C_8$ , or  $C_4 \times C_2$ , or  $C_2 \times C_2 \times C_2$ .

**Lemma.** (Chinese Remainder Theorem)

If  $n, m$  are coprime, then  $C_{nm} \cong C_n \times C_m$ .

*Proof.* Let  $g \in C_n$  have order  $n$ ,  $h \in C_m$  has order  $m$ . Consider  $x = (g, h)$  in  $C_n \times C_m$ . Clearly  $x^{nm} = (e, e)$ .

Now if  $(e, e) = x^r = (g^r, h^r)$ , then  $n | r$  and  $m | r$ . So  $nm | r$ . So the order of  $x$  is  $nm$ . So  $\langle x \rangle \cong C_{nm}$ . Then by size we get the desired result.  $\square$

**Corollary.** If  $G$  is a finite abelian group, then

$$G \cong C_{n_1} \times C_{n_2} \times \dots \times C_{n_l}$$

with each  $n_i$  a power of a prime number.

*Proof.* If  $d = p_1 a^1 \dots p_r a^r$  for distinct prime  $p_i$ , the lemma shows

$$C_d \cong C_{p_1 a^1} \times C_{p_2 a^2} \times \dots \times C_{p_r a^r}$$

Apply this to the theorem.  $\square$

## 1.6 Sylow's Theorems

**Theorem.** (Sylow's)

Let  $|G| = p^a \cdot m$ , with  $(p, m) = 1$ , where  $p$  is prime. Then

(i) The set  $Syl_p(G) = \{P \leq G \mid |P| = p^a\}$  of Sylow  $p$ -subgroup is not empty.

(ii) All elements in  $Syl_p(G)$  are conjugate in  $G$ .

(iii) The number  $n_p = |Syl_p(G)|$  satisfies  $n_p \equiv 1 \pmod{p}$  and  $n_p \mid |G|$  (i.e.  $n_p \mid m$ ).



**Lemma.** If  $n_p = 1$ , then the unique Sylow  $p$ -subgroup is normal in  $G$ .

*Proof.* If  $g \in G$ ,  $P \leq G$  the Sylow subgroup, then  $g^{-1}Pg$  is a subgroup of order  $p^a$ . But  $P$  is the only such subgroup.  $\square$

Note that this tells that, if  $G$  is simple, then  $n_p \neq 1$ ; or conversely, if  $n_p = 1$  for some  $p$ , then  $G$  is not simple.

**Example.** Let  $|G| = 96 = 2^5 \cdot 3$ . So  $n_2 \equiv 1 \pmod{2}$  and  $n_2 \mid 3$ . So  $n_2 = 1$  or  $3$ . Also,  $n_3 \equiv 1 \pmod{3}$  and  $n_3 \mid 32$ . So  $n_3 = 1, 4, 16$ .

$G$  acts on the set  $Syl_p(G)$  by conjugation. So (ii) of the theorem says that this action has 1 orbit. The stabilizer of  $P \in Syl_p(G)$ , i.e. the normalizer  $N_G(P) \leq G$ , is of index  $n_p = |Syl_p(G)|$ .

**Corollary.** If  $G$  is non-abelian simple, then

$$|G| \mid \frac{(n_p)!}{2}.$$

and  $n_p \geq 5$ .

*Proof.*  $N_G(P)$  has index  $n_p$ . So apply the general result about subgroups of non-abelian simple groups (see section 1.2).  $\square$

Now in the above example,  $|G| \nmid \frac{3!}{2}$ , so the group  $G$  cannot be non-abelian simple. Also it cannot be abelian simple as 96 is not a prime.

**Example.** Suppose  $G$  is a simple group of order  $132 = 2^2 \times 3 \times 11$ .

We know  $n_{11} = 1 \pmod{11}$  and  $n_{11} \mid 12$ . As  $G$  is simple we can't have  $n_{11} = 1$ , so  $n_{11} = 12$ .

Each Sylow 11-subgroup has order 11, so is isomorphic to  $C_{11}$ , so contains  $10 = (11 - 1)$  elements of order 11. Such subgroups can only intersect in the identity element, so we have  $12 \cdot 10 = 120$  elements of order 11. We know  $n_3 \equiv 1 \pmod{3}$  and  $n_3 \mid 44$ , so  $n_3 = 1, 4$  or  $22$  but similarly  $n_3 \neq 1$ . If  $n_3 = 4$  then we need  $|G| \mid \frac{4!}{2}$  which is impossible. So  $n_3 = 22$ . But then by counting the number of elements we get a contradiction.

**Proof of Sylow's Theorems.** Let  $|G| = p^n \cdot m$ .

i) Let  $\Omega$  be the set of subsets of  $G$  of order  $p^n$ , and let  $G$  act on  $\Omega$  via  $g * \{g_1, \dots, g_{p^n}\} = \{gg_1, \dots, gg_{p^n}\}$ .

Let  $\varepsilon \subset \Omega$  be an orbit for this action. If  $\{g_1, \dots, g_{p^n}\} = \varepsilon$ , then

$$(gg_1^{-1}) * \{g_1, \dots, g_{p^n}\} = \varepsilon = \{g, gg_1^{-1}g_2, \dots, gg_1^{-1}g_{p^n}\}$$

So for any  $g \in G$ , there is an element of  $\varepsilon$  which contains  $g$ . So  $|\varepsilon| \geq \frac{|G|}{p^n} = m$ .

If there is some orbit  $\varepsilon$  with  $|\varepsilon| = m$ , then the stabilizer  $G_\varepsilon$  has order  $\frac{|G|}{|\varepsilon|} = \frac{p^n m}{m} = p^n$ , so  $G_\varepsilon$  is a Sylow  $p$ -subgroup. To show this happens, we must show that it is not possible for every orbit of  $G$  acting on  $\Omega$  to have size  $> m$ .

By orbit-stabilizer, for any orbit  $\varepsilon$ ,  $|\varepsilon| |p^n \cdot m$ , so if  $|\varepsilon| > m$ , then  $p || \varepsilon$ . So if all orbits of  $G$  acting on  $\Omega$  has size  $> m$ , then  $p$  divides all of them, so  $p || |\Omega|$ .

Let's calculate  $|\Omega|$ . We have

$$|\Omega| = \binom{p^n m}{p^n} = \prod_{j=0}^{p^n-1} \frac{p^n m \dots j}{p^n \dots j} (???)$$

The largest power of  $p$  dividing  $p^n m = j$  is the same as the largest power of  $p$  dividing  $j$ , which is the same as the largest power of  $p$  dividing  $p^n = j$ . So  $|\Omega|$  is not divisible by  $p$ .

ii) Let's show something stronger: if  $p \in \text{Syl}_p(G)$  and  $Q$  is a  $p$ -subgroup, then there is a  $g \in G$  s.t.  $g^{-1}Qg \in P$ .

Let  $G$  act on  $G/P$  by  $q * g^p = qg^p$ . By orbit-stabilizer, the size of an orbit divides  $|Q| = p^n$ , so is either 1 or divisible by  $p$ .

On the other hand,  $|G/P| = \frac{|G|}{|P|} = m$  is not divisible by  $p$ . So there must be an orbit of size 1, say  $\{g^p\}$ , i.e. for every  $q \in Q$ ,  $qg^p = g^p$  i.e.  $g^{-1}qg \in P \forall q \in Q$ , i.e.  $g^{-1}Qg \leq P$ .

(iii) By (ii),  $G$  acts on  $\text{Syl}_p(G)$  by conjugation with one orbit, so by orbit-stabilizer,  $n_p \equiv |\text{Syl}_p(G)| \mid |G|$ , which is the second part of (ii).

**Example.** Consider  $GL_2(\mathbb{Z}/p)$ . It has order  $(p^2 - 1)(p^2 - p) = p(p+1)(p-1)^2$ . Let  $l$  be an odd prime dividing  $p-1$  once only. Then  $l \nmid p$ . But also  $l \nmid p+1$ . So  $l^2$  is the largest power of  $l$  dividing  $|GL_2(\mathbb{Z}/p)|$ , i.e. there is at least a subgroup of order  $l^2$ . We have

$$\begin{aligned} (\mathbb{Z}/p)^X &= \{x \in \mathbb{Z}/p \mid \exists g \in \mathbb{Z}/p \text{ s.t. } xy = 1 \in \mathbb{Z}/p\} \\ &= \{x \in \mathbb{Z}/p \mid x \neq 0\} \end{aligned}$$

has size  $p-1$ . As a group under multiplication,  $(\mathbb{Z}/p)^X \cong C_{p-1}$ . So there is a subgroup  $C_l \leq C_{p-1}$ , i.e. we can find a  $1 \neq x \in (\mathbb{Z}/p)^X$  so that  $x^l = 1$ .

Now let

$$\begin{aligned} H &= \left\{ \begin{pmatrix} a & 0 \\ 0 & b \end{pmatrix} \mid a, b \in (\mathbb{Z}/p)^X \text{ has order } l \right\} \cong C_l \times C_l \\ &\leq GL_2(\mathbb{Z}/p) \end{aligned}$$

is a Sylow  $l$ -subgroup (order  $l^2$ ).

**Example.** Consider

$$SL_2(\mathbb{Z}/p) = \ker(\det : GL_2(\mathbb{Z}/p) \rightarrow (\mathbb{Z}/p)^X)$$

The determinant homomorphism is onto, so  $SL_2(\mathbb{Z}/p) \leq GL_2(\mathbb{Z}/p)$  has index  $(p-1)$ . So  $|SL_2(\mathbb{Z}/p)| = (p-1)p(p+1)$ .

Now consider

$$PSL_2(\mathbb{Z}/p) := SL_2(\mathbb{Z}/p) / \left\{ \begin{pmatrix} \lambda & 0 \\ 0 & \lambda \end{pmatrix} \in SL_2(\mathbb{Z}/p) \right\}$$

If  $\begin{pmatrix} \lambda & 0 \\ 0 & \lambda \end{pmatrix} \in SL_2(\mathbb{Z}/p)$  then  $\lambda^2 = 1 \in (\mathbb{Z}/p)^X \cong C_{p-1}$ . As long as  $p \geq 3$ , there are two such  $\lambda$ ,  $+1$  and  $-1$ . So  $|PSL_2(\mathbb{Z}/p)| = \frac{1}{2}(p-1)p(p+1)$ .

Let  $(\mathbb{Z}/p)_\infty = \mathbb{Z}/p \cup \{\infty\}$ . Then  $PSL_2(\mathbb{Z}/p)$  acts on  $(\mathbb{Z}/p)_\infty$  by Möbius maps:

$$\begin{bmatrix} a & b \\ c & d \end{bmatrix} * z := \frac{az + b}{cz + d}$$

with the usual convention that if  $cz + d = 0$  then we get  $\infty$ .

**Example.** Let  $p = 5$ , then this action gives a homomorphism  $\phi : PSL_2(\mathbb{Z}/p) \rightarrow \text{Sym}((\mathbb{Z}/5)_\infty) \cong S_6$ .

We have  $|PSL_2(\mathbb{Z}/5)| = \frac{1}{2} \cdot 4 \cdot 5 \cdot 6 = 60$ .

**Claim.**  $\phi$  is injective.

*Proof.* If  $\frac{az+b}{cz+d} = z \forall z \in (\mathbb{Z}/p)_\infty$ , set  $z = 0$  we get  $b = 0$ . Set  $z = \infty$  we get  $c = 0$ . Set  $z = 1$  we get  $a = d$ . So  $\begin{bmatrix} a & b \\ c & d \end{bmatrix} = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \in PSL_2(\mathbb{Z}/p)$ .  $\square$

**Claim.**  $\phi$  lands in  $A_6 \leq S_6$ .

*Proof.* Consider the composition

$$\psi : PSL_2(\mathbb{Z}/5) \rightarrow \text{Sym}((\mathbb{Z}/5)_\infty) \cong S_6 \rightarrow \{\pm 1\}$$

by  $\phi$  and  $\text{sgn}$  respectively. We need to show that  $\psi \begin{pmatrix} a & b \\ c & d \end{pmatrix} = +1$ .

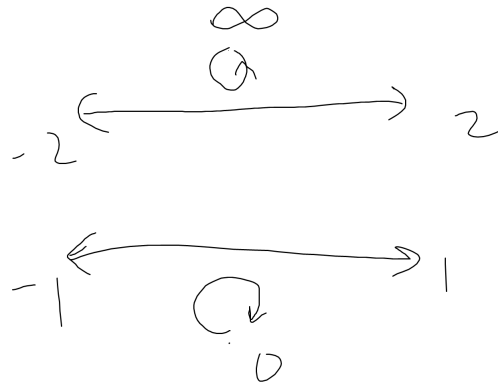
We know that elements of odd order in  $PSL_2(\mathbb{Z}/5)$  have to be sent to  $+1$ .

Note that  $H = \left\{ \begin{bmatrix} \lambda & 0 \\ 0 & \lambda^{-1} \end{bmatrix}, \begin{bmatrix} 0 & \lambda \\ -\lambda^{-1} & 0 \end{bmatrix} \in PSL_2(\mathbb{Z}/5) \mid \lambda \in (\mathbb{Z}/5)^X \right\}$  has order 4 (note that  $\lambda$  and  $-\lambda$  represent the same equivalence class as we are in  $PSL$ , so there are 2 of each kind), so is a Sylow 2-subgroup of  $PSL_2(\mathbb{Z}/5)$ . Any element of order 2 or 4 is conjugate to an element in  $H$ . We'll show that  $\psi(H) = \{+1\}$ .

$H$  is generated by  $\begin{bmatrix} 2 & 0 \\ 0 & -2 \end{bmatrix}, \begin{bmatrix} 0 & 1 \\ -1 & 0 \end{bmatrix}$ . Now consider

$$\begin{bmatrix} 2 & 0 \\ 0 & -2 \end{bmatrix}$$

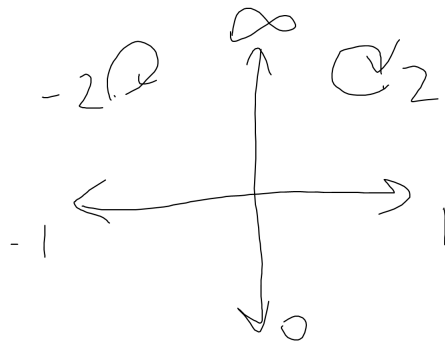
acting on  $(\mathbb{Z}/5)_\infty$ . This sends



so is an even permutation. Then

$$\begin{bmatrix} 0 & 1 \\ -1 & 0 \end{bmatrix}$$

sends



is also even. So they are both in  $A_6$ .

□

## 2 Rings

In this course we only consider commutative rings with a multiplicative identity. Many of the things we are going to prove in this course will not hold without these two properties.

### 2.1 Definitions

**Definition.** A *ring* is a quintuple  $(R, +, \cdot, 0_R, 1_R)$  s.t.

(R1)  $(R, +, 0_R)$  is an abelian group;

(R2) The operation  $\cdot: R \times R \rightarrow R$  is associative, and satisfies  $1_R \cdot r = r = r \cdot 1_R$ .

(R3)  $r \cdot (r_1 + r_2) = r \cdot r_1 + r \cdot r_2$ , and  $(r_1 + r_2) \cdot r = r_1 \cdot r + r_2 \cdot r$  (Distributivity).

A ring is *commutative* if in addition  $a \cdot b = b \cdot a \forall a, b \in R$ .

From now on every ring we discuss will by default be commutative and has a multiplicative identity.

**Definition.** If  $(R, +, \cdot, 0_R, 1_R)$  is a ring and  $S \subset R$  is a subset, then it is called a *subring* if  $0_R, 1_R \in S$  and  $+, \cdot$  make  $S$  into a ring in its own right.

**Example.** We have  $\mathbb{Z} \leq \mathbb{Q} \leq \mathbb{R} \leq \mathbb{C}$  as rings with the usual  $0, 1, +, \cdot$ .

**Example.**  $\mathbb{Z}[i] = \{a + ib \in \mathbb{C} \mid a, b \in \mathbb{Z}\} \leq \mathbb{C}$  is the subring called *Gaussian integers*.

**Example.**  $\mathbb{Q}[\sqrt{2}] = \{a + \sqrt{2} \cdot b \in \mathbb{R} \mid a, b \in \mathbb{Q}\} \leq \mathbb{R}$  is a subring.

**Definition.** An element  $r \in R$  is a *unit* if there is a  $s \in R$  s.t.  $sr = 1_R$ .

Note that this depends not only on the element but only on which ring we are talking about:  $2 \in \mathbb{Z}$  is not a unit, but  $2 \in \mathbb{Q}$  is.

If every  $r \in R$  with  $r \neq 0_R$  is a unit, then  $R$  is called a field.

**Notation.** If  $x \in R$ , write  $-x \in R$  for the inverse of  $x$  in  $(R, +, 0_R)$ . We will write  $y - x = y + (-x)$ .

**Example.**  $0_R + 0_R = 0_R$ , so  $r \cdot (0_R + 0_R) = r \cdot 0_R$ , i.e.  $r \cdot 0_R + r \cdot 0_R = r \cdot 0_R$ , so  $r \cdot 0_R = 0_R$ . So if  $R \neq \{0\}$ , then  $0_R \neq 1_R$ , and  $0_R$  is never a unit.

However,  $(\{0\}, +, \cdot, 0, 0)$  is a valid ring.

**Example.** If  $R, S$  are rings, then  $R \times S$  has the state of a ring via componentwise addition and multiplication, with  $1 = (1_R, 1_S)$ ,  $0 = (0_R, 0_S)$ .

Note that in this ring,  $e_1 = (1_R, 0_S)$ ,  $e_2 = (0_R, 1_S)$ , then  $e_1^2 = e_1$  and  $e_2^2 = e_2$ , and  $e_1 + e_2 = 1$ .

**Example.** Let  $R$  be a ring. A *polynomial*  $f$  over  $R$  is an expression

$$f = a_0 + a_1X + a_2X^2 + \dots + a_nX^n$$

with  $a_i \in R$ .  $X^i$  is just a symbol.

We will consider  $f$  and

$$a_0 + a_1X + \dots + a_nX^n + 0_R \cdot X^{n+1}$$

as equal. The *degree* of  $f$  is the largest  $n$  s.t.  $a_n \neq 0$ .

If in addition,  $a_n = 1_R$ , then we say  $f$  is *monic*.

We write  $R[X]$  for the set of all polynomials over  $R$ .

If  $g = b_0 + \dots + b_mX^m$ , then we define addition and multiplication by the usual way:

$$f + g = \sum_{i=0}^{\infty} (a_i + b_i)X^i$$

$$f \cdot g = \sum_i \left( \sum_0^i a_j b_{i-j} \right) X^i$$

Now consider  $R$  as a subring of  $R[X]$ , given by the polynomials of degree 0. In particular,  $1_R \in R$  gives the multiplicative identity element of  $R[X]$ .

**Example.** Write  $R[[x]]$  for the ring of *formal power series*, i.e.

$$f = a_0 + a_1X + a_2X^2 + \dots$$

with the same addition and multiplication.

Consider  $\mathbb{Z}/2[X]$  and an element  $f = X + X^2$ . Then

$$f(0) = 0 + 0 = 0, f(1) = 1 + 1 = 0$$

But definitely  $f \neq 0$ . So we see the reason why we don't think  $f$  as functions despite that they do give functions. They are just elements in a particular ring.

**Example.** The *Laurent polynomials*  $R[X, X^{-1}]$  is the set of

$$f = \sum_{i \in \mathbb{Z}} a_i X^i$$

s.t. only finitely many  $a_i$  are non-zero.

**Example.** The ring of *Laurent series* are those expressions

$$f = \sum_{i \in \mathbb{Z}} a_i X^i$$

with only finitely many  $i < 0$  s.t.  $a_i \neq 0$  (i.e. formal power series in the positive part and polynomial in the negative part). This is to make the sum in each coefficient a finite sum, as we didn't even define infinite sums in rings.

**Example.** If  $R$  is a ring and  $X$  is a set, the set  $R^X$  of all functions  $f : X \rightarrow R$  is a ring, with operations

$$(f + g)(X) = f(X) + g(X),$$

$$(fg)(X) = f(X) \cdot g(X).$$

The multiplicative identity element is the function  $1(X) = 1_R$  for all  $X$ , and the same for the zero element.

Observe  $\mathbb{R}^{\mathbb{R}} \supsetneq$  set of continuous  $f : \mathbb{R} \rightarrow \mathbb{R} \supset$  polynomials  $\mathbb{R} \rightarrow \mathbb{R} = \mathbb{R}[X]$ . So  $\mathbb{R}[X] \subsetneq \mathbb{R}^{\mathbb{R}}$ .

## 2.2 Homomorphisms, ideals, quotients, and isomorphisms

**Definition.** A function  $\phi : R \rightarrow S$  between rings is a *homomorphism* if

(H1)  $\phi(r_1 + r_2) = \phi(r_1) + \phi(r_2)$ , i.e.  $\phi$  is a group homomorphism between the additive groups of  $R$  and  $S$ ;

(H2)  $\phi(r_1 r_2) = \phi(r_1) \phi(r_2)$ ;

(H3)  $\phi(1_R) = 1_S$ .

If in addition,  $\phi$  is a bijection, then we say it is an *isomorphism*.

The *kernel* of  $\phi : R \rightarrow S$  is

$$\ker(\phi) = \{r \in R \mid \phi(r) = 0\}$$

**Lemma.**  $\phi : R \rightarrow S$  is injective if and only if  $\ker(\phi) = \{0\}$ .

*Proof.* Note that  $\phi : (R, +, 0_R) \rightarrow (S, +, 0_S)$  is a group homomorphism, and its kernel as a group homomorphism is also  $\ker(\phi)$ . So by theorems in groups we get the desired result.  $\square$

**Definition.** A subset  $I \subset R$  is an *ideal*, written  $I \triangleleft R$ , if

(I1)  $I$  is a subgroup of  $(R, +)$ ;

(I2) If  $x \in I$ ,  $r \in R$ , then  $x \cdot r \in I$  (strong multiplicative closure).

We say  $I \triangleleft R$  is proper if  $I \neq R$ .

**Lemma.** If  $\phi : R \rightarrow S$  is a homomorphism, then  $\ker(\phi) \triangleleft R$ .

*Proof.* (I1) holds for  $\ker(\phi)$  since  $\phi$  is a group homomorphism.

Now let  $x \in \ker(\phi)$ ,  $r \in R$ . Then

$$\phi(r \cdot x) = \phi(r) \cdot \phi(x) = \phi(r) \cdot 0_S = 0_S$$

So  $r \cdot x \in \ker(\phi)$ .  $\square$

**Example.** If  $I \triangleleft R$  and  $1_R \in I$ , then for any  $r \in R$ , we have

$$r = r \cdot 1 \in I,$$

so  $I = R$ . In short, proper ideals never include 1, so are never subrings.

**Example.** If  $R$  is a field, then  $\{0\}$  and  $R$  are the only ideals. This is reversible: If  $\{0\}$  and  $R$  are the only ideals, then  $R$  is a field.

**Example.** In the ring  $\mathbb{Z}$ , all ideals are of the form  $n\mathbb{Z}$  for some  $n \in \mathbb{Z}$ , where

$$n\mathbb{Z} = \{\dots, -2n, -n, 0, n, 2n, \dots\}$$

*Proof.*  $n\mathbb{Z}$  is certainly an ideal. Let  $I \triangleleft \mathbb{Z}$  be an ideal. Let  $n \in I$  be the smallest positive element. Then  $n\mathbb{Z} \subset I$ . If this is not an equality, choose  $m \in I \setminus n\mathbb{Z}$ . Then  $m = n \cdot q + r$  for some  $0 \leq r \leq n - 1$ . If  $r = 0$  then  $m \in n\mathbb{Z}$ , a contradiction. So

$$r = m - n \cdot q < n$$

is in the ideal  $I$ . Contradiction.  $\square$

**Definition.** For an element  $a \in R$ , write

$$(a) = \{a \cdot r \mid r \in R\}$$

the *ideal generated by  $a$* . More generally, for a list  $a_1, \dots, a_s$ , write

$$(a_1, \dots, a_s) = \left\{ \sum_i a_i r_i \mid r_i \in R \right\}$$

which somewhat resembles the linear combinations in a vector space.

Even more generally, if  $A \subseteq R$  is a subset, then the ideal generated by  $A$  is

$$(A) = \left\{ \sum_{a \in A} a \cdot r_a \mid r_a \in R, \text{ only finitely many } r_a \neq 0 \right\}.$$

since we have no definition of infinite sums in rings.

If an ideal  $I \triangleleft R$  is of the form  $(a)$ , then we say that  $I$  is a *principal ideal*.

**Example.** In  $\mathbb{Z}$  we have

$$n\mathbb{Z} = (n) \triangleleft \mathbb{Z}$$

is principal.

**Example.** In  $\mathbb{C}[X]$ , the polynomials with constant coefficient 0 forms an ideal, which is just  $(X)$  (check). This is also principal.

**Proposition.** Let  $I \triangleleft R$  be an ideal. Define the *quotient ring*  $R/I$  to be the set of cosets  $r + I$  (i.e.  $(R, +, 0)/\text{normal subgroup } I$ ), with addition and multiplication given by

- $(r_1 + I) + (r_2 + I) = r_1 + r_2 + I$ ,
  - $(r_1 + I)(r_2 + I) = r_1 r_2 + I$ ,
- and  $0_{R/I} = 0_R + I$ ,  $1_{R/I} = 1_R + I$ .

This is a ring, and the quotient map  $R \rightarrow R/I$  by  $r \rightarrow r + I$  is a ring homomorphism.

*Proof.* We already know that  $(R/I, +, 0)$  is an abelian group. And addition as described above is well-defined. If  $r_1 + I = r'_1 + I$ ,  $r_2 + I = r'_2 + I$ , then  $r'_1 - r_1 = a_1 \in I$ ,  $r'_2 - r_2 = a_2 \in I$ . So

$$r'_1 r'_2 = (r_1 + a_1)(r_2 + a_2) = r_1 r_2 + r_1 a_2 + a_1 r_2 + a_1 a_2 = r_1 r_2 + a$$



for some  $a \in I$ , i.e.  $r'_1 r'_2 + I = r_1 r_2 + I$ . So multiplication is well-defined. The ring axioms for  $R/I$  then follow from those of  $R$ .  $\square$

**Example.**  $n\mathbb{Z} \triangleleft \mathbb{Z}$ , so have a ring  $\mathbb{Z}/n\mathbb{Z}$ . This has elements  $0 + n\mathbb{Z}, 1 + n\mathbb{Z}, 2 + n\mathbb{Z}, \dots, (n-1) + n\mathbb{Z}$ , and addition and multiplication are modular arithmetic (mod  $n$ ).

**Example.**  $(X) \triangleleft \mathbb{C}[X]$ , so we have a ring  $\mathbb{C}[X]/(X)$ . Then

$$a_0 + a_1 X + a_2 X^2 + \dots + a_n X^n + (X) = a_0 + (X).$$

If  $a_0 + (X) = b_0 + (X)$ , then  $a_0 - b_0 \in (X)$ . So  $X|a_0 - b_0$ , i.e.  $a_0 = b_0$ .

So consider

$$\begin{aligned} \phi : \mathbb{C}[X]/(X) &\longleftarrow \mathbb{C} \\ a + (X) &\longleftarrow a \end{aligned}$$

is surjective and injective. So  $\phi$  is a bijection.

Observe that  $\phi$  is a ring homomorphism. The inverse is  $f + (X) \rightarrow f(0)$ .

**Proposition.** (Euclidean algorithm for polynomials)

Let  $F$  be a field and  $f, g \in F[X]$ , then we may write

$$f = g \cdot q + r$$

with  $\deg(r) < \deg(g)$ .

*Proof.* Let

$\deg(f) = n$ , so  $f = a_0 + a_1 X + \dots + a_n X^n$  with  $a_n \neq 0$ ;

$\deg(g) = m$ , so  $g = b_0 + b_1 X + \dots + b_m X^m$  with  $b_m \neq 0$ .

If  $n < m$ , let  $q = 0$  and  $r = f$ .

Suppose  $n \geq m$ , and proceed by induction on  $n$ . Let

$$f_1 = f - g \cdot X^{n-m} \cdot a_n b_m^{-1}$$

we can do this because  $F$  is a field, so  $b_m$  has an inverse.

This has degree smaller than  $n$ .

If  $n = m$ , then  $f = g X^{n-m} a_n b_m^{-1} + f_1$  where  $\deg(f_1) < n = m$ .

If  $n > m$ , by induction on degree, we have  $f_1 = g \cdot q_1 + r$  with  $\deg(r) < \deg(g)$ . So  $f = g X^{n-m} a_n b_m^{-1} + g \cdot q_1 + r = g(X^{n-m} b_m^{-1} + q_1) + r$  as required.  $\square$

**Example.** Consider  $(X^2 + 1) \triangleleft \mathbb{R}[X]$ , and  $R = \mathbb{R}[X]/(X^2 + 1)$ . Elements of  $R$  are of the form  $f + (X^2 + 1)$ . By Euclidean algorithm we have  $f = q \cdot (X^2 + 1) + r$  with  $\deg(r) < 2$ . So  $f + (X^2 + 1) = r + (X^2 + 1)$ . So every coset is represented by a polynomial  $r$  of degree at most 1.

If  $a_1 + b_1 X + (X^2 + 1) = a_2 + b_2 X + (X^2 + 1)$ , then

$$X^2 + 1 | (a_1 + b_1 X) - (a_2 + b_2 X)$$

But by degree we know that  $(a_1 + b_1X) - (a_2 + b_2X) = 0$ . So take

$$\begin{aligned}\phi : \mathbb{R}[x]/(X^2 + 1) &\rightarrow \mathbb{C} \\ a + bX + (X^2 + 1) &\rightarrow a + bi\end{aligned}$$

This is a bijection. It sends addition to addition, and multiplication satisfies

$$\begin{aligned}\phi((a + bX + (X^2 + 1)) \cdot (c + dX + (X^2 + 1))) \\ &= \phi(ac + (bc + ad)X + bdX^2 + (X^2 + 1)) \\ &= \phi(ac + (bc + ad)X + bd(-1) + bd(X^2 + 1) + (X^2 + 1)) \\ &= \phi((ac - bd) + (bc + ad)X + (X^2 + 1)) \\ &= (ac - bd) + (bc + ad)i \\ &= (a + ib)(c + id)\end{aligned}$$

So  $\phi$  is a homomorphism. So  $\mathbb{R}[x]/(X^2 + 1) \cong \mathbb{C}$ .

We also have  $\mathbb{Q}[x]/(X^2 - 2) = \mathbb{Q}[\sqrt{2}] \subseteq \mathbb{R}$ .

**Theorem.** (First isomorphism theorem)

Let  $\phi : R \rightarrow S$  be a ring homomorphism. Then  $\ker(\phi) \triangleleft R$ ,  $\text{im}(\phi) \leq S$ , and  $R/\ker(\phi) \cong \text{im}(\phi)$  by  $r + \ker(\phi) \rightarrow \phi(r)$ .

**Theorem.** (Second isomorphism theorem)

Let  $R \subset S$ ,  $J \triangleleft S$ . Then  $R \cap J \triangleleft R$ ,  $(R + J)/J = \{r + J | r \in R\} \leq S/J$ , and  $R/R \cap J = (R + J)/J$ .

**Theorem.** (Subring correspondence)

We have a bijection between subrings of  $R/I$  and subrings of  $R$  containing  $I$  by:

$S/I \leq R/I \leftarrow I \triangleleft S \leq R$   
 $L \leq R/I \rightarrow \{r \in R | r + I \in L\}$ , and the same map gives a bijection between ideals of  $R/I$  and ideals of  $R$  containing  $I$  by

$$J/I \triangleleft R/I \leftrightarrow I \triangleleft J \triangleleft R.$$

**Theorem.** (Third isomorphism theorem)

Let  $I, J \triangleleft R$ ,  $I \subset J$ . Then  $J/I \triangleleft R/I$  and  $(R/I)/(J/I) \cong R/J$ .

**Example.** Consider the homomorphism  $\phi : \mathbb{R}[X] \rightarrow \mathbb{C}$  by substituting in  $X = i$ , which is onto. We know

$$\ker(\phi) = \{f \in \mathbb{R}[x] | f(i) = 0\} = (X^2 + 1)$$

because real polynomials with  $i$  as a root also have  $-i$  as a root. So are divisible by  $(X - i)(X + i) = (X^2 + 1)$ . Then by first isomorphism theorem,

$$\mathbb{R}[X]/(X^2 + 1) \cong \mathbb{C}$$

(Compare with the previous proof).

**Definition.** For any ring  $R$ , there is a unique homomorphism

$$\begin{aligned}\iota : \mathbb{Z} &\rightarrow \mathbb{R} \\ 1 &\rightarrow 1_R \\ n > 0 &\rightarrow 1_R + 1_R + \dots + 1_R \text{ (} n \text{ times)} \\ n < 0 &\rightarrow -(1_R + 1_R + \dots + 1_R) \text{ (} -n \text{ times)}\end{aligned}$$

Note that  $\ker(\iota) \triangleleft \mathbb{Z}$ , so  $\ker(i) = n\mathbb{Z}$  for some  $n \geq 0$ . This  $n \geq 0$  is called the *characteristic* of the ring  $R$ .

**Example.**  $\mathbb{Z} \leq \mathbb{Q} \leq \mathbb{R} \leq \mathbb{C}$  all have characteristic 0, while  $\mathbb{Z}/n$  has characteristic  $n$ .

### 2.3 Integral domains, field of fractions, maximal and prime ideal

One thing to remember:

$$\text{Field} \implies \text{ED} \implies \text{PID} \implies \text{UFD} \implies \text{ID}.$$

The interesting bits start here.

**Definition.** A non-zero ring  $R$  is called an *integral domain (ID)* if for all  $a, b \in R$ ,  $a \cdot b = 0 \implies a = 0$  or  $b = 0$ .

We call  $x$  a *zero divisor* in  $R$  if  $x \neq 0$  but  $\exists y \neq 0$  s.t.  $xy = 0$ .

**Example.** All fields are integral domains. If  $xy = 0$  with  $y \neq 0$ , then  $xyy^{-1} = 0$  i.e.  $x = 0$ .

A subring of an integral domain is an integral domain, so  $\mathbb{Z} \leq \mathbb{Q}$  and  $\mathbb{Z}[i] \leq \mathbb{C}$  are integral domains.

**Definition.** A ring  $R$  is a *principal ideal domain (PID)* if it is an integral domain and every ideal is principal.

For example,  $\mathbb{Z}$  is a principal ideal domain.

**Lemma.** A finite integral domain is a field.

*Proof.* Let  $a \neq 0 \in R$ , and consider

$$\begin{aligned} a \cdot - : R &\rightarrow R \\ b &\rightarrow ab \end{aligned}$$

This is a homomorphism of abelian groups and its kernel is  $\{b \in R \mid ab = 0\} = \{0\}$ . So  $a \cdot -$  is injective. But  $R$  is finite. So  $a \cdot -$  is bijective. In particular,  $\exists b \in R$  s.t.  $ab = 1$ . So  $R$  is a field.  $\square$

**Lemma.** Let  $R$  be an integral domain, then  $R[X]$  is also an integral domain.

*Proof.* Let  $f = \sum_{i=0}^n a_i X^i$  and  $a_n \neq 0$ ,  $g = \sum_{i=0}^m b_i X^i$  and  $b_m \neq 0$  be non-zero polynomials. Then the largest power of  $X$  in  $fg$  is  $X^{n+m}$  and its coefficient is  $a_n b_m \neq 0$  as  $R$  is an ID. So  $fg \neq 0$ .  $\square$

Iterating this, we have

$$R[X_1, \dots, X_n] = (((R[X_1])[X_2])\dots[X_n])$$

is an integral domain.

**Theorem.** Let  $R$  be an ID. There is a *field of fractions*  $F$  of  $R$  with the following properties:

- (i)  $F$  is a field;
- (ii)  $R \leq F$ ;
- (iii) every element of  $F$  is of the form  $a \cdot b^{-1}$  for  $a, b \in R, b \neq 0$ .

*Proof.* Consider

$$S = \{(a, b) \in R \times R \mid b \neq 0\}$$

with the equivalence relation  $(a, b) \sim (c, d) \iff ad = bc \in R$ . This is reflexive and symmetric. For transitivity, if

$$(c, d) \sim (e, f)$$

Then  $(ad)f = (bc)f = b(cf) = b(ed) \implies d(af - be) = 0$ . But  $d \neq 0$ . So  $af - be = 0$ .

Let  $F = S / \sim$ . Write  $[(a, b)] = \frac{a}{b}$  and define

$$\begin{aligned} \frac{a}{b} + \frac{c}{d} &= \frac{ad + bc}{bd}, \\ \frac{a}{b} \cdot \frac{c}{d} &= \frac{ac}{bd}. \end{aligned}$$

and  $0 = \frac{0}{1}, 1 = \frac{1}{1}$ .

If  $\frac{a}{b} \neq 0$  then  $a \cdot 1 \neq 0 \cdot b$ , i.e.  $a \neq 0$ . Then  $\frac{b}{a} \in F$ , so  $\frac{a}{b} \cdot \frac{b}{a} = \frac{1}{1}$ . So  $\frac{a}{b}$  has an inverse, so  $F$  is a field.

We make  $R \leq F$  by  $\phi : R \rightarrow F$  by  $r \rightarrow \frac{r}{1}$ . □

**Example.** The field of fractions of  $\mathbb{Z}$  is  $\mathbb{Q}$ , and that of  $\mathbb{C}[z]$  is the rational polynomial fractions in  $z$ .

Note: the ring  $\{0\}$  is *not* a field.

**Lemma.** A (non-zero) ring is a field iff its only ideals are  $\{0\}$  and  $R$ .

*Proof.* If  $I \triangleleft R$  is a non-zero ideal, then it contains  $a \neq 0$ . But an ideal containing a unit must be the whole ring. On the other hand, let  $x \neq 0 \in R$ . Then  $(x)$  must be  $R$ , as it is *not* the zero ideal. So  $\exists y \in R$  s.t.  $xy = 1_R$ . So  $x$  is a unit. □

**Definition.** An ideal  $I \triangleleft R$  is *maximal* if there is no proper ideal which properly contains  $I$ .

**Lemma.** An ideal  $I$  is maximal iff  $R/I$  is a field.

*Proof.*  $R/I$  is a field  $\iff I/I$  and  $R/I$  are the only ideals in  $R/I \iff I, R$  triangleleft are the only ideals containing  $I$  by ideal correspondence.  $\square$

**Definition.** An ideal  $I \triangleleft R$  is *prime* if  $I$  is proper, and if  $a, b \in R$  are s.t.  $a \cdot b \in I$ , then  $a \in I$  or  $b \in I$ .

**Example.** The ideal  $n\mathbb{Z} \triangleleft \mathbb{Z}$  is prime if and only if  $n$  is zero and a prime number: if  $p$  is prime and  $a \cdot b \in p\mathbb{Z}$ , then  $p|a \cdot b$ , so  $p|a$  or  $p|b$ , i.e.  $a \in p\mathbb{Z}$  or  $b \in p\mathbb{Z}$ .

Conversely, if  $n = uv$  is composite,  $u \cdot v \in n\mathbb{Z}$  but  $u, v \notin n\mathbb{Z}$ .

**Lemma.**  $I \triangleleft R$  is prime iff  $R/I$  is an integral domain.

Note that this shows that every maximal ideal is prime since fields are integral domains.

*Proof.* Suppose  $I$  is prime. Let  $a + I, b + I \in R/I$  be s.t.  $(a + I)(b + I) = 0$ , i.e.  $ab + I = 0$ , so  $ab \in I$ . But  $I$  is prime, so  $a \in I$  or  $b \in I$ . So  $a + I = 0 + I$  or  $b + I = 0 + I$  is the zero element in  $R/I$ . So  $R/I$  is an integral domain.

For the other direction, suppose  $R/I$  is an integral domain. Let  $ab \in I$ . Then  $ab + I = 0$ , so  $(a + I)(b + I) = 0$ . So  $a + I = 0 + I$  or  $b + I = 0 + I$ , i.e.  $a \in I$  or  $b \in I$ .  $\square$

**Lemma.** If  $R$  is an integral domain, then its characteristic is 0 or a prime number.

*Proof.* Let  $\iota : \mathbb{Z} \rightarrow R$  with  $1 \rightarrow 1_R$ . Consider  $\ker(\iota) = n\mathbb{Z}$ . By 1st isomorphism theorem,  $\mathbb{Z}/n\mathbb{Z} \cong \text{im}(\phi) \leq R$  as a subring of an integral domain is again an integral domain,  $\mathbb{Z}/n\mathbb{Z}$  is an integral domain, so  $n\mathbb{Z} \triangleleft \mathbb{Z}$  is prime. So  $n$  is zero or a prime number.  $\square$

## 2.4 Factorisation in integral domains

Suppose throughout this section that  $R$  is an integral domain.

**Definition.** 1) An element  $a \in R$  is a unit if there is  $b \in R$  s.t.  $ab = 1$ . Equivalently,  $(a) = R$ .

2)  $a$  divides  $b$  if there is  $c \in R$  s.t.  $b = a \cdot c$ . Equivalently,  $(b) \subset (a)$ .

3)  $a, b \in R$  are associates if  $a = b \cdot c$  with  $c$  a unit. Equivalently,  $(a) = (b)$ , or  $a|b$  and  $b|a$ .

4)  $a \in R$  is irreducible if it is not 0, not a unit, and if  $a = x \cdot y$  then  $x$  or  $y$  is a unit.

5)  $a \in R$  is prime if it is not 0, not a unit, and when  $a|x \cdot y$  then  $a|x$  or  $a|y$ .

Note that  $2 \in \mathbb{Z}$  is prime, but  $2 \in \mathbb{Q}$  is not.

$2x \in \mathbb{Q}[x]$  is irreducible,  $2x \in \mathbb{Z}[x]$  is not irreducible.

**Lemma.**  $(a)$  is a prime ideal in  $R \iff r = 0$  or  $r$  is prime in  $R$ .

*Proof.* 1) let  $(r)$  be a prime,  $r \neq 0$ . As  $(r) \neq R$ ,  $r$  is not a unit. Suppose  $r|a \cdot b$ . Then  $a \cdot b \in (r)$ , but  $(r)$  is prime. So  $a \in (r)$  or  $b \in (r)$ . So  $r|a$  or  $r|b$ . So  $r$  is prime in  $R$ .  
 2) if  $r = 0$  then  $(0)$  is a prime ideal since  $R$  is an integral domain. Now let  $r \neq 0$  and be prime in  $R$ . Let  $ab \in (r)$ . Then  $r|ab$ . So  $r|a$  or  $r|b$ . So  $a \in (r)$  or  $b \in (r)$ . So  $(r)$  is a prime ideal in  $R$ .  $\square$

**Lemma.** if  $r \in R$  is prime, then it is irreducible.

*Proof.* let  $r \in R$  be prime, and suppose  $r = a \cdot b$ . As  $r$  is prime,  $r|a$  or  $r|b$ . Suppose  $r|a$ . So  $a = r \cdot c$ . Then  $r = r \cdot c \cdot b$ . As  $R$  is an integral domain,  $r(c \cdot b - 1) = 0 \implies c \cdot b = 1$ . So  $b$  is a unit. So  $r$  is irreducible.  $\square$

**Example.** Let  $R = \mathbb{Z}[\sqrt{-5}] = \{a + b\sqrt{-5} | a, b \in \mathbb{Z}\} \subseteq \mathbb{C}$ .  $\mathbb{C}$  is a field and  $R$  is a subring, so  $R$  is an integral domain. Consider the "norm":

$$\begin{aligned} N : R &\rightarrow \mathbb{Z} \geq 0 \\ a + b\sqrt{-5} &\rightarrow a^2 + 5b^2 \\ z &\rightarrow z\bar{z} = |z|^2. \end{aligned}$$

This satisfies  $N(zw) = N(z) \cdot N(w)$ .  
 If  $r \cdot s = 1$  then  $1 = N(1) = N(r \cdot s) = N(r) \cdot N(s)$ .  
 So  $N(s) = N(r) = 1$ . So any unit has normal 1.  
 i.e.  $a^2 + 5b^2 = 1$ . Then  $a = \pm 1, b = 0$ : only  $\pm 1 \in R$  are units.

**Claim:**  $2 \in R$  is irreducible:

Suppose  $2 = ab$ . Then  $4 = N(a)N(b)$ .

Note that nothing in  $R$  has norm 2. So WLOG  $N(a) = 1, N(b) = 4$ . So  $a$  is a unit. So 2 is irreducible.

Similarly  $3, 1 + \sqrt{-5}, 1 - \sqrt{-5}$  are irreducible (no  $r$  with  $N(r) = 3$ ).

Note that  $(1 + \sqrt{-5})(1 - \sqrt{-5}) = 6 = 2 \cdot 3$ .

**Claim:** 2 does not divide  $1 \pm \sqrt{-5} \implies 2$  is not prime:

if  $2|1 + \sqrt{-5}$ , then  $N(2) | N(1 + \sqrt{-5})$ , i.e.  $4|6$ , contradiction.

**Lessons:** 1) irreducible doesn't imply prime in general.

2)  $(1 + \sqrt{-5})(1 - \sqrt{-5}) = 2 \cdot 3$ . So factorisation into irreducibles might not be unique.

**Definition.** an integral domain  $R$  is a *Euclidean domain*(ED) if there is a function  $\varphi : R \setminus \{0\} \rightarrow \mathbb{Z} \geq 0$ , a "Euclidean function", such that:

1)  $\varphi(a \cdot b) \geq \varphi(b)$  for all  $a, b \neq 0$ ;

2) if  $a, b \in R$  with  $b \neq 0$ , there are  $q, r \in R$  s.t.  $a = b \cdot q + r$ , such that  $r = 0$  or  $\varphi(r) < \varphi(b)$  ( $r$  is "strictly smaller than"  $b$ ).

**Example.** 1)  $\mathbb{Z}$  is a Euclidean domain with  $\varphi(n) = |n|$ .

2)  $F[x]$  with  $F$  a field is a Euclidean domain with  $\varphi(f) = \deg(f)$ .

3)  $\mathbb{Z}[i] = R$  is Euclidean domain, with  $\varphi(z) = N(z) = |z|^2 = z\bar{z}$ :

i)  $\varphi(zw) = \varphi(z)\varphi(w) \geq \varphi(z)$ , as  $\varphi(w) \in \mathbb{Z}^+$  for  $w \neq 0$ ;

ii) let  $a, b \in \mathbb{Z}[i]$ . Consider  $\frac{a}{b} \in \mathbb{C}$ .

We know that  $\exists q \in \mathbb{Z}[i]$  s.t.  $|\frac{a}{b} - q| < 1$ , i.e.  $\frac{a}{b} = q + c$  with  $|c| < 1$ .

Then take  $r = b \cdot c$ , so  $a = b \cdot q + b \cdot c = b \cdot q + r$ .

$r = a - bq$ , so  $r$  is in the ring  $\mathbb{Z}[i]$ ; and  $\varphi(r) = N(bc) = N(b)N(c) < N(b) = \varphi(b)$  since  $N(c) < 1$ .

**Proposition.** (ED  $\implies$  PID)

if  $R$  is a Euclidean domain, then it is a principal ideal domain.

*Proof.* Let  $R$  have Euclidean function  $\varphi : R \setminus \{0\} \rightarrow \mathbb{Z} \geq 0$ . Let  $I \triangleleft R$  be non-zero. Let  $b \in I \setminus \{0\}$  be an element with  $\varphi(b)$  minimal.

Then for  $a \in I$ , write  $a = bq + r$  with  $r = 0$ , or  $\varphi(r) < \varphi(b)$ . But  $r = a - bq \in I$ , so we can't have  $\varphi(r) < \varphi(b)$ . So  $r = 0$ .

Thus  $a \in (b)$ . Since  $a$  is arbitrary,  $I \subset (b)$ . But  $(b) \in I$  as well, so  $I = (b)$ . So  $R$  is a principal ideal domain.  $\square$

**Example.**  $\mathbb{Z}, F[X]$  ( $F$  field) are Principal ideal domains.

$\mathbb{Z}[i]$  is a PID. In  $\mathbb{Z}[X]$ ,  $(2, x) \triangleleft \mathbb{Z}[X]$  is not a principal ideal.

Otherwise suppose  $(2, x) = (f)$ , then  $2 = f \cdot g$  for some  $g$ . Then  $f$  has to have degree zero, so a constant, so  $f = \pm 1$  or  $\pm 2$ .

If  $f = \pm 1$  a unit, then  $(f) = \mathbb{Z}[x]$ , but  $1 \notin (2, x)$ . Contradiction. If  $f = \pm 2$ ,  $x \in (2, x) = (f)$  so  $\pm 2|x$ , a contradiction.

**Example.** Let  $A \in M_{n \times n}(F)$  be an  $n \times n$  matrix over a field  $F$ .

$I = \{f \in F[X] \mid f(A) = 0\}$ .

If  $f \cdot g \in I$ ,  $(f + g)(A) = f(A) + g(A) = 0 + 0 = 0$ .

If  $f \in I, g \in F[X]$  then  $(f \cdot g)(A) = f(A) \cdot g(A) = 0$

So  $I$  is an ideal.

So  $F[X]$  is a PID, have  $I = (m)$  for some  $m \in F[X]$ .

Suppose  $f \in F[X]$  s.t.  $f(A) = 0$ . Then  $f \in I$  so  $f = m \cdot g$ . So  $m$  is the minimal polynomial of  $A$ .

**Definition.** An integral domain is a unique factorization domain (UFD) if:

- 1) every non-unit may be written as a product of irreducible elements;
- 2) if  $p_1 p_2 \dots p_n = q_1 q_2 \dots q_m$  with  $p_i, q_i$  irreducible, then  $n = m$ , and they can be reordered such that  $p_i$  is an associate of  $q_i$ . (they generate the same ideal)

Goal: want to show that PID  $\implies$  UFD.

**Lemma.** Let  $R$  be a PID. If  $p \in R$  is irreducible, then it is prime.

(prime  $\implies$  irreducible in any integral domain)

*Proof.* Let  $p \in R$  be irreducible. Suppose  $p|a \cdot b$ . Suppose  $p \nmid a$ .

Consider the ideal  $(p, a) \triangleleft R$ , a PID so  $(p, a) = (d)$  for some  $d \in R$ .

So  $d|p$ , so  $p = q_1 \cdot d$  for some  $q_1$ .

We must have  $q_1$  a unit or  $d$  a unit.

If  $q_1$  a unit then  $d = q_1^{-1} \cdot p$  divides  $a$ . So  $a = q_1 \cdot p \cdot x$ , contradiction.

Thus  $d$  is a unit, so  $(p, a) = (d) = R$ .

So we have  $1_R = v \cdot p + s \cdot a$  for some  $r, s \in R$ .  
 So  $b = r \cdot p \cdot b + s \cdot a \cdot b$ . So  $p|b$ .  $\square$

**Lemma.** Let  $R$  be a PID, let  $I_1 \subseteq I_2 \subseteq \dots$  be a chain of ideals. Then there is a  $N \in \mathbb{N}$  s.t.  $I_n = I_{n+1} \forall n \geq N$ . (this is called the ascending chain condition (ACC), a ring satisfying this condition is called *Noetherian*.)

*Proof.* Let  $I = \cup_{n \geq 1} I_n$ , again an ideal. As  $R$  is a PID,  $I = (a)$  for some  $a \in R$ . This  $a \in I = \cup_{n=0}^{\infty} I_n$ , so  $a \in I_n$  for some  $n$ . Thus  $(a) \subseteq I_n \subseteq I = (a)$ . So they are all equal. So  $I_n = (a) = I$ , so  $I_n = I_N \forall n \geq N$ .  $\square$

**Proposition.** PID  $\implies$  UFD.

*Proof.* 1) Need to show any  $r \in R$  is a product of irreducibles.

Let  $r \in R$ . If  $r$  is irreducible then we are done.

Suppose not, then  $r = r_1 s_1$  with  $r_1, s_1$  both non-units.

If both  $r_1, s_1$  are reducible then we are done. Suppose not, WLOG write  $r_1 = r_2 s_2$  with  $r_2, s_2$  non-units.

Continue in this way. If the process doesn't end,  $(r) \subseteq (r_1) \subseteq \dots \subseteq (r_n) \subseteq \dots$

So by the ACC property,  $(r_n) = (r_{n+1}) = \dots$  for some  $n$ .

So  $r_n = r_{n+1} \cdot s_{n+1}$ , and  $(r_n) = (r_{n+1}) \implies s_{n+1}$  is a unit. Contradiction.

2) Let  $p_1 p_2 \dots p_n = q_1 q_2 \dots q_n$  with  $p_i, q_i$  irreducible.

So  $p_1 | q_1 \dots q_n$ . In a PID, irreducible  $\iff$  prime. So  $p_1$  divides some  $q_i$ , reorder to suppose  $p_1 | q_1$ . So  $q_1 = p_1 \cdot a$ . But as  $q_1$  is irreducible,  $a$  must be a unit. So  $p_1$  and  $q_1$  are associates.

Cancelling  $p_1$  gives:

$p_2 p_3 \dots p_n = (a q_2) q_3 \dots q_n$  and we continue.

This also shows  $n = m$ , else if  $n = m + k$  then get  $p_{k+1} \dots p_n = 1$  a contradiction.  $\square$

**Definition.**  $d$  is a greatest common divisor of  $a_1, a_2, \dots, a_n$  if  $d|a_i$  for all  $i$ , and if  $d'|a_i$  for all  $i$  then  $d'|d$ .

**Lemma.** If  $R$  is a UFD then the gcd exists, and is unique up to associates.

*Proof.* Every  $a$  is a product of irreducibles, so let  $p_1, p_2, \dots, p_m$  be a list of all the irreducibles which are factors of  $a_i$ , none of them is associate of each other.

Write  $a_i = u_i \prod_{j=1}^m p_j^{n_{ij}}$  for  $u_i$  units and  $n_{ij} \in \mathbb{N}$ .

Let  $m_j = \min_i (n_{ij})$  and  $d = \prod_{j=1}^m p_j^{m_j}$ . As  $m_j \leq n_{ij} \forall i$ ,  $d|a_i$  for all  $i$ .

If  $d'|a_i \forall i$ , let  $d' = v \prod_{j=1}^m p_j^{t_j}$ .

Then we must have  $t_j \leq n_{ij} \forall i$  so  $t_j \leq m_j \forall j$ . Then  $d'|d$ .  $\square$

## 2.5 Factorisation in polynomial rings

For  $F$  a field, we know  $F[x]$  is a Euclidean Domain (ED), so a PID, so a UFD. So

1)  $I \triangleleft F[x] \implies I = (f)$ .



- 2)  $f \in F[x]$  irreducible  $\iff f$  prime.  
 3) Let  $f \in F[x]$  be irreducible, and  $(f) \leq J \leq F[x]$ . Then  $J = (g)$  and  $(f) \subset (g)$  so  $f = g \cdot h$ . But  $f$  is irreducible, so  $g$  or  $h$  is a unit.  
 If  $g$  is a unit, then  $(g) = F[x]$ ;  
 If  $h$  is a unit, then  $(f) = (g)$ .  
 So  $(f)$  is a maximal ideal.  
 4)  $(f)$  prime ideal  $\implies f$  prime *implies*  $f$  reducible  $\implies (f)$  is maximal.  
 So in  $F[x]$ , prime ideals are the same as maximal ideals.  
 5)  $f$  is irreducible if and only if  $F[x]/(f)$  is a field.

**Definition.** Let  $R$  be a UFD and  $f = a_0 + a_1X + \dots + a_nX^n \in R[x]$  with  $a_n \neq 0$ . Let the *content*  $c(f)$  of  $f$  is the gcd of all the coefficients in  $R$ , unique up to associates. Say  $f$  is *primitive* if  $c(f)$  is a unit, i.e. the  $a_i$  are coprime.

**Lemma.** (Gauss') Let  $R$  be a UFD,  $f \in R[x]$  be a primitive polynomial. Then  $f$  is irreducible in  $R[x]$   $\iff f$  is irreducible in  $F[x]$ , where  $F$  is the field of fractions of  $R$ .

**Example.** Consider  $f = x^3 + x + 1 \in \mathbb{Z}[x]$ . This has content 1 so is primitive. Suppose  $f$  is reducible in  $\mathbb{Q}[x]$ . Then by Gauss' lemma  $f$  is reducible in  $\mathbb{Z}[x]$  too, so  $x^3 + x + 1 = g \cdot h$  for  $g, h \in \mathbb{Z}[x]$ , both  $g$  and  $h$  are not units. Neither  $g$  nor  $h$  can be constant, so they both have degree at least 1. So WLOG suppose  $g$  has degree 1 and  $h$  as degree 2.

So  $g = b_0 + b_1x$ ,  $h = c_0 + c_1x + c_2x^2$ .

Multiplying them gives  $b_0c_0 = 1$ ,  $c_2b_1 = 1$  so  $b_0$  and  $b_1$  are both  $\pm 1$ . So  $g$  is  $1 + x$  or  $1 - x$  or  $-1 + x$  or  $-1 - x$ , so has  $\pm 1$  as a root. But  $f$  doesn't have  $\pm 1$  as a root. Contradiction.

Note that from this we can know that  $f$  has not no root in  $\mathbb{Q}$ .

**Lemma.** Let  $R$  be a UFD. If  $f, g \in R[x]$  are primitive, then  $f \cdot g$  is primitive too (Note that we don't know whether  $R[x]$  is a UFD or not).

*Proof.* Let  $f = a_0 + a_1x + \dots + a_nx^n$  with  $a_n \neq 0$ ,

$g = b_0 + b_1x + \dots + b_mx^m$  with  $b_m \neq 0$  be both primitive.

Suppose  $f \cdot g$  is not primitive. Then  $c(fg)$  is not a unit, so let  $p$  be an irreducible which divides  $c(fg)$ .

By assumption  $c(f)$  and  $c(g)$  are units, so  $p \nmid c(f)$  and  $p \nmid c(g)$ .

Suppose  $p|a_0, p|a_1, \dots, p|a_{k-1}$ , but  $p \nmid a_k$ ;

$p|b_0, \dots, p|b_{l-1}$ , but  $p \nmid b_l$ .

Look at coefficient of  $x^{k+l}$  in  $f \cdot g$ :

$$\dots + a_{k+1}b_{l-1} + a_k b_l + a_{k-1}b_{l+1} + \dots = \sum_{i+j=k+l} a_i b_j.$$

As  $p|c(fg)$ , we have  $p|\sum_{i+j=k+l} a_i b_j$ .

We see that the only term that might not be divisible by  $p$  is  $a_k b_l$ .

So  $p|a_k b_l$ .  $p$  is irreducible (so prime), so  $p|a_n$  or  $p|b_l$ . Contradiction.

So  $f \cdot g$  is primitive. □

**Corollary.** let  $R$  be a UFD. Then for  $f, g \in R[x]$  we have that  $c(f \cdot g)$  is an associate of  $c(f)c(g)$ .

*Proof.* We can always write  $f = c(f) f_1, g = c(g) g_1$  with  $f_1, g_1$  being primitive. Then  $f \cdot g = c(f) c(g) (f_1 \cdot g_1)$ . So  $c(f) c(g)$  is a gcd of coefficients  $f \cdot g$ , so is  $c(fg)$  (up to associates).  $\square$

*Proof.* (Gauss' lemma)

We will show that a primitive  $f \in R[x]$  is reducible in  $R[x] \iff$  it is reducible in  $F[x]$ .

1) Let  $f = g \cdot h$  be a product in  $R[x]$ ,  $g, h$  not units. As  $f$  is primitive, so are  $g$  and  $h$ . So both have degree at least 1.

So  $g, h$  are not units in  $F[x]$  either, so  $f$  is reducible in  $F[x]$ .

2) Let  $f = g \cdot h$  in  $F[x]$ ,  $g$  and  $h$  not units. So  $g$  and  $h$  have degree at least 1. We can find  $a, b \in R$  s.t.  $a \cdot g \in R[x]$  and  $b \cdot h \in R[x]$  (clear the denominators). Then  $a \cdot b \cdot f = (a \cdot g) (b \cdot h)$  is a factorisation in  $R[x]$ .

Let  $(a \cdot g) = c(a \cdot g) \cdot g_1$  with  $g_1$  primitive,  $(b \cdot h) = c(b \cdot h) \cdot h_1$  with  $h_1$  primitive. So

$$\begin{aligned} a \cdot b \cdot f &= c(a \cdot b \cdot f) \\ &= c((a \cdot g) (b \cdot h)) \\ &= u \cdot c(a \cdot g) \cdot c(b \cdot h) \end{aligned}$$

by the previous corollary, where  $u \in R$  is a unit.

But also  $a \cdot b \cdot f = c(a \cdot g) \cdot c(b \cdot h) \cdot g_1 \cdot h_1$ .

So cancelling  $a \cdot b$  gives  $f = u^{-1} g_1 h_1 \in R[x]$ , so  $f$  is reducible in  $R[x]$ .  $\square$

**Proposition.** Let  $R$  be a UFD,  $g \in R[x]$  be primitive.

Let  $J = (g) \triangleleft R[x]$ ,  $I = (g) \triangleleft F[x]$ .

Then  $J = I \cap R[x]$ .

(More plainly, if  $f = g \cdot h \in R[x]$  with  $h \in F[x]$  then  $f = g \cdot h'$  with  $h' \in R[x]$ .)

*Proof.* Certainly  $J \subseteq I \cap R[x]$ . Let  $f \in I \cap R[x]$ , so  $f = g \cdot h$  with  $h \in F[x]$ . Choose  $b \in R$  s.t.  $b \cdot h \in R[x]$  (clear denominators).

Then  $b \cdot f = g \cdot (bh) \in R[x]$ .

Let  $(b \cdot h) = c(b \cdot h) \cdot h_1$  for  $h_1$  primitive. Then

$b \cdot f = c(b \cdot h) \cdot g \cdot h_1$ . So  $c(bf) = u \cdot c(bh)$  for  $u$  a unit since  $g \cdot h_1$  is primitive.

But  $c(b \cdot f) = b \cdot c(f)$ . So  $b|c(bh)$ .

$c(bh) = b \cdot c \in R$ .

So  $b \cdot f = b \cdot cgh_1$ , cancelling  $b$  gives  $f = g(ch_1)$ . So  $g$  divides  $f$  in  $R[x]$ .  $\square$

**Theorem.** If  $R$  is a UFD, then  $R[x]$  is a UFD.

*Proof.* Let  $f \in R[x]$ . We can write  $f = c(f) \cdot f_1$  with  $f_1$  primitive.

Firstly, As  $R$  is a UFD, we may factor  $c(f) = p_1 p_2 \dots p_n$  for  $p_i \in R$  irreducible, (so also irreducible in  $R[x]$ ).

If  $f_1$  is not irreducible, write  $f_1 = f_2 f_3$  with  $f_2$  and  $f_3$  both not units, so  $f_2$  and  $f_3$  must both have non-zero degree (since  $f_1$  is primitive, they can't be constant). Also  $\deg(f_2), \deg(f_3) < \deg(f_1)$ .

If  $f_2, f_3$  are irreducible then done. Else continue factoring. At each stage the degree of factors strictly decreases, so we must finish:  $f_1 = q_1 q_2 \dots q_m$  with  $q_i$  irreducible.

So  $f = p_1 p_2 \dots p_n q_1 q_2 \dots q_m$  is a product of irreducibles.

For uniqueness, first note that  $c(f) = p_1 p_2 \dots p_n$  is a unique factorisation up to reordering and associates, as  $R$  is a UFD. So cancel this off to obtain  $f_1 = q_1 \dots q_m$ . So suppose  $q_1 q_2 \dots q_m = r_1 r_2 \dots r_l$  is another factorisation of  $f_1$ .

Note that each  $q_i$  and each  $r_i$  is a factor of the primitive polynomial  $f_1$ , so each of them must be also primitive.

Let  $F$  be the field of fractions of  $R$ , and consider  $q_i, r_i \in F[x]$  instead. Now  $F[x]$  is a ED, hence PID, hence UFD. By Gauss' lemma, the  $q_i$  and  $r_i$  are irreducible in  $F[x]$ . As  $F[x]$  is a UFD we find that  $l = m$ ; and after reordering  $r_i = u_i q_i$  with  $u_i \in F[x]$  a unit.

Firstly  $u_i \in F$  since it is a unit.

Clear denominators of  $u_i$ , we find that  $a_i r_i = b_i q_i \in R[x]$ .

So taking contents shows that  $a_i$  and  $b_i$  are associates. So  $b_i = v_i a_i$  with  $v_i \in R$  a unit.

Cancelling  $a_i$  gives  $r_i = v_i q_i$  as required.  $\square$

**Example.**  $\mathbb{Z}[x]$  is a UFD.

$R$  is a UFD  $\implies R[x_1, x_2, \dots, x_n]$  is a UFD.

**Theorem.** (Eisenstein's criterion) Let  $R$  be a UFD, let

$$f = a_0 + a_1 x + \dots + a_n x^n \in R[x]$$

have  $a_n \neq 0$  and  $f$  primitive. Let  $p \in R$  be irreducible (=prime, since  $R$  is a UFD) such that:

- 1)  $p \nmid a_n$ ;
- 2)  $p \mid a_i$  for  $0 \leq i \leq n-1$ ;
- 3)  $p^2 \nmid a_0$ .

Then  $f$  is irreducible in  $R[x]$ , so also irreducible in  $F[x]$  by Gauss' lemma.

*Proof.* Suppose  $f = g \cdot h$  with

$$g = r_0 + r_1 x + \dots + r_k x^k \text{ with } r_k \neq 0,$$

$$h = s_0 + s_1 x + \dots + s_l x^l \text{ with } s_l \neq 0.$$

Now  $r_k s_l = a_n$ , and  $p \nmid a_n$  so  $p \nmid r_k$  and  $p \nmid s_l$ .

Also  $r_0 s_0 = a_0$ , and  $p \mid a_0$  but  $p^2 \nmid a_0$ . So WLOG let  $p \mid r_0$  but  $p \nmid s_0$ .

Let  $j$  be such that  $p \mid r_0, p \mid r_1, \dots, p \mid r_{j-1}, p \nmid r_j$ .

Then  $a_j = r_0 s_j + r_1 s_{j-1} + \dots + r_{j-1} s_1 + r_j s_0$ . All but the last term are divisible by  $p$ , and  $r_j s_0$  is not divisible by  $p$  since both  $r_j$  and  $s_0$  are not divisible by  $p$ .

So  $p \nmid a_j$ . By condition (1) and (2) we must have  $j = n$ . Also we have  $j \leq k \leq n$ , so  $j = k = n$ . That means  $l = n - k = 0$ , so  $h$  is a constant.

But  $f$  is primitive, it follows that  $h$  must be a unit. So  $f$  is irreducible.  $\square$

**Example.** Consider  $x^n - p \in \mathbb{Z}[x]$  for  $p$  prime. Apply Eisenstein's criterion with  $p$ , we find that all the conditions hold. So  $x^n - p$  is irreducible in  $\mathbb{Z}[x]$ , and so in  $\mathbb{Q}[x]$  as well by Gauss' lemma.

This implies that  $x^n - p$  has no roots in  $\mathbb{Q}$ . So  $\sqrt[n]{p} \notin \mathbb{Q}$ .

**Example.** Consider  $f = x^{p-1} + x^{p-2} + \dots + x^2 + x + 1 \in \mathbb{Z}[x]$  with  $p$  a prime number.

Note  $f = \frac{x^p - 1}{x - 1}$ , so let  $y = x - 1$ . Then

$$\hat{f}(y) = \frac{(y+1)^p - 1}{y} = y^{p-1} + \binom{p}{1} y^{p-2} + \dots + \binom{p}{p-1}.$$

Now  $p \mid \binom{p}{i}$  for  $1 \leq i \leq p-1$ , but  $p^2 \nmid \binom{p}{p-1} = p$ .

So by Eisenstein's criterion,  $\hat{f}$  is irreducible in  $\mathbb{Z}[x]$ .

Now if  $f(x) = g(x) \cdot h(x) \in \mathbb{Z}[x]$ , then get  $\hat{f}(y) = g(y+1) \cdot h(y+1)$  a factorisation in  $\mathbb{Z}[y]$ . So  $f$  is irreducible.

## 2.6 Gaussian integers

Recall  $\mathbb{Z}[i] = \{a + bi \mid a, b \in \mathbb{Z}\} \subseteq \mathbb{C}$  is the *Gaussian integers*.

The *norm*  $N(a + ib) = a^2 + b^2$  serves as a Euclidean function for  $\mathbb{Z}[i]$ . So it is a ED, so a PID, so a UFD.

The units are precisely  $\pm 1$  and  $\pm i$ .

**Example.** 1)  $2 = (1 + i)(1 - i)$ , so not irreducible, so not prime.

2) 3:  $N(3) = 9$ , so if  $3 = u \cdot v$  with  $u, v$  not units, then  $9 = N(u)N(v)$  with  $N(u) \neq 1 \neq N(v)$ . So  $N(u) = N(v) = 3$ . But  $3 = u^2 + v^2$  has no solutions with  $a, b \in \mathbb{Z}$ . So 3 is irreducible, so a prime.

3)  $5 = (1 + 2i)(1 - 2i)$  is not irreducible, so not prime.

**Proposition.** A prime number  $p \in \mathbb{Z}$  is prime in  $\mathbb{Z}[i] \iff p \neq a^2 + b^2$  for  $a, b \in \mathbb{Z} \setminus \{0\}$ .

*Proof.* If  $p = a^2 + b^2 = (a + ib)(a - ib)$  then it is not irreducible, so not prime. If  $p = u \cdot v$ , then  $p^2 = N(u)N(v)$ . So if  $u, v$  are not units, then  $N(u) = N(v) = p$  since  $p$  is prime in  $\mathbb{Z}$ . Writing  $u = a + ib$ , this says  $a^2 + b^2 = p$ .  $\square$

**Lemma.** Let  $p$  be a prime number,  $F_p = \mathbb{Z}/p\mathbb{Z}$  a field with  $p$  elements.

Let  $F_p^* = F_p \setminus \{0\}$  be the group of invertible elements under multiplication.

Then  $F_p^* \cong C_{p-1}$ .

*Proof.* Certainly  $F_p^*$  has order  $p - 1$ , and is abelian.

Know classification of finite abelian groups, it follows that if  $F_p^*$  is not cyclic, then it must contain a subgroup  $C_m \times C_m$  for  $m > 1$ .

Consider the polynomial  $X^m - 1 \in F_p[x]$ , a UFD. At best this factors into  $m$  linear factors, so  $X^m - 1$  has at most  $m$  distinct roots.

If  $C_m \times C_m \leq F_p^*$ , then we have  $m^2$  elements of  $F_p$  which are roots of  $X^m - 1$ . But  $m^2 > m$ , contradiction. So  $F_p^*$  is cyclic.  $\square$

**Proposition.** The primes in  $\mathbb{Z}[i]$  are, up to associates,

1) prime numbers  $p \leq \mathbb{Z} \subseteq \mathbb{Z}[i]$  s.t.  $p \equiv 3 \pmod{4}$ ;

2)  $z \in \mathbb{Z}[i]$  with  $N(z) = z\bar{z} = p$  for  $p$  prime,  $p = 2$  or  $p \equiv 1 \pmod{4}$ .

*Proof.* 1) If  $p \equiv 3 \pmod{4}$  then  $p \neq a^2 + b^2$ .

By the previous proposition,  $p \in \mathbb{Z}[i]$  is prime.

2) If  $N(z) = p$  and  $z = uv$ , then  $N(u)N(v) = p$ . So  $N(u) = 1$  or  $N(v) = 1$ , so  $u$  or  $v$  is a unit.

Let  $z \in \mathbb{Z}[i]$  be irreducible (also prime). Then  $\bar{z}$  is irreducible, so  $N(z) = z\bar{z}$  is a factorisation of  $N(z)$  into irreducibles.

Let  $p \in \mathbb{Z}$  be a prime number dividing  $N(z)$ . ( $N(z) \neq 1$  so such  $p$  exists).

• Case 1:  $p \equiv 3 \pmod{4}$ . Then  $p \in \mathbb{Z}[i]$  is prime by the first part of the proof.  $p|N(z) = z\bar{z}$  so  $p|z$  or  $p|\bar{z}$ . So perhaps conjugating, get  $p|z$ . But both are irreducible, so  $p$  and  $z$  are associates.

• Case 2:  $p = 2$  or  $p \equiv 1 \pmod{4}$ .

If  $p \equiv 1 \pmod{4}$  then  $p - 1 = 4k$  for some  $k$ . As  $F_p^* \cong C_{p-1} = C_{4k}$ , there is a unique element of order 2, which must be  $[-1] \in F_p$ .

Let  $[a] \in F_p^*$  be an element of order 4. Then  $[a^2] = [-1]$ .

So  $a^2 + 1$  is divisible by  $p$ . So  $p|(a+i)(a-i)$ .

Also  $2|(1+i)(1-i)$ .

So deduce that  $p$  (or 2) is not prime, so not irreducible, as it clearly does not divide  $a+i$  or  $a-i$ .

So  $p = z_1 z_2$  for  $z_1, z_2 \in \mathbb{Z}[i]$ . So

$$p^2 = N(p) = N(z_1)N(z_2).$$

So as  $z_i$  are not units,  $N(z_1) = N(z_2) = p$ . So  $p = z_1 \bar{z}_2 (= z_2 \bar{z}_1)$ . So  $\bar{z}_1 = z_2$ .

So  $p = z_1 \bar{z}_1 | N(z) = z\bar{z}$ . So  $z$  is an associate of  $z_1$  or  $\bar{z}_1$ , as  $z$  and  $z_1$  are irreducible.  $\square$

**Corollary.** An integer  $n \in \mathbb{Z}^+$  may be written as  $x^2 + y^2$  (the sum of two squares) if and only if, when we write  $n = p_1^{n_1} p_2^{n_2} \dots p_k^{n_k}$  as a product of distinct primes, if  $p_i \equiv 3 \pmod{4}$  then  $n_i$  is even.

*Proof.* Let  $n = x^2 + y^2 = (x + iy)(x - iy) = N(x + iy)$ . Let  $z = x + iy$ , so  $z = \alpha_1 \alpha_2 \dots \alpha_q$  a product of irreducibles in  $\mathbb{Z}[i]$ .

By the proposition, each  $\alpha_i$  is either  $\alpha_i = p$  prime number with  $p \equiv 3 \pmod{4}$ , or  $N(\alpha_i) = p$  a prime number which is either 2 or  $\equiv 1 \pmod{4}$ .

$$n = x^2 + y^2 = N(z) = N(\alpha_1)N(\alpha_2) \dots N(\alpha_q)$$

Each  $N(\alpha_i)$  satisfies: either

- $N(\alpha_i) = p^2$  with  $p \equiv 3 \pmod{4}$  prime, or
- $N(\alpha_i) = p$  with  $p = 2$  or  $p \equiv 1 \pmod{4}$  prime.

So if  $p^m$  is the largest power of  $p$  dividing  $n$ , we find that  $m$  must be even if  $p \equiv 3 \pmod{4}$ .

Conversely, let  $n = p_1^{n_1} p_2^{n_2} \dots p_k^{n_k}$  be a product of distinct primes.

For each  $p_i$ , either  $p_i \equiv 3 \pmod{4}$  and  $n_i$  is even, so  $p_i^{n_i} = (p_i^2)^{\frac{n_i}{2}} = N\left(p_i^{\frac{n_i}{2}}\right)$ , or  $p_i = 2$  or  $p_i \equiv 1 \pmod{4}$ , then  $p_i = N(\alpha_i)$  for some  $\alpha_i \in \mathbb{Z}[i]$ . So  $p_i^{n_i} = N(\alpha_i^{n_i})$ . So  $n$  is the norm of some  $z \in \mathbb{Z}[i]$ , so  $n = N(z) = N(x + iy) = x^2 + y^2$  is a sum of squares.  $\square$

**Example.**  $65 = 5 \cdot 13$ .

Then  $5 = (2 + i)(2 - i)$

$13 = (2 + 3i)(2 - 3i)$ .

So  $65 = N((2 + i)(2 + 3i)) = N(1 + 8i) = 1^2 + 8^2$ .

Also  $65 = N((2 + i)(2 - 3i)) = N(7 - 4i) = 7^2 + 4^2$ .

## 2.7 Algebraic integers

**Definition.**  $\alpha \in \mathbb{C}$  is called an *algebraic integer* if it is a root of a monic polynomial in  $\mathbb{Z}[x]$ , i.e.  $\exists$  monic  $f \in \mathbb{Z}[x]$  s.t.  $f(\alpha) = 0$ .

Write  $\mathbb{Z}[\alpha] \leq \mathbb{C}$  for the smallest subring containing  $\alpha$ .

In other words,  $\mathbb{Z}[\alpha] = \text{Im}(\varphi)$  where  $\varphi$  is defined as:

$$\begin{aligned} \varphi : \mathbb{Z}[x] &\rightarrow \mathbb{C} \\ g &\rightarrow g(\alpha) \end{aligned}$$

So also  $\mathbb{Z}[\alpha] \cong \mathbb{Z}[x]/I$ ,  $I = \ker(\varphi)$ .

**Proposition.** If  $\alpha \in \mathbb{C}$  is an algebraic integer then

$$I = \ker \left( \begin{array}{ccc} \mathbb{Z}[x] & \rightarrow & \mathbb{C} \\ \varphi : f & \rightarrow & f(\alpha) \end{array} \right)$$

is a principal ideal and is generated by a monic irreducible polynomial  $f_\alpha \in \mathbb{Z}[x]$ , called the *minimal polynomial* of  $\alpha$ .

*Proof.* By definition there is a monic  $f \in \mathbb{Z}[x]$  s.t.  $f(\alpha) = 0$ . So  $f \in I$  so  $I \neq 0$ . Let  $f_\alpha \in I$  be a polynomial of minimal degree. We may suppose that  $f_\alpha$  is primitive by dividing by its content.

We want to show that  $I = (f_\alpha)$  and that  $f_\alpha$  is irreducible.

Let  $h \in I$ . In  $\mathbb{Q}[x]$  we have a Euclidean algorithm, so we may write  $h = f_\alpha \cdot q + r$  with  $r = 0$  or  $\deg(r) < \deg(f_\alpha)$ .

We may multiply by some  $a \in \mathbb{Z}$  to clear denominators and get

$$a \cdot h = f_\alpha \cdot (aq) + (ar)$$

with  $aq$  and  $ar$  in  $\mathbb{Z}[x]$ .

Evaluate at  $\alpha$  gives

$$\begin{aligned} ah(\alpha) &= f_\alpha(\alpha)(aq)(\alpha) + (ar)(\alpha) \\ \implies 0 &= (ar)(\alpha) \end{aligned}$$

So  $(ar) \in I$ .

As  $f_\alpha \in I$  has minimal degree, we cannot have  $\deg(r) = \deg(ar) < \deg(f_\alpha)$ . So instead must have  $r = 0$ .

So  $ah = f_\alpha \cdot (aq) \in \mathbb{Z}[x]$ .

Take contents of everything, get

$$a \cdot c(h) = c(ah) = c(f_\alpha(aq)) = c(aq)$$

as  $f_\alpha$  is primitive.

So  $a|c(aq)$ , so  $aq = a\bar{q}$  with  $\bar{q} \in \mathbb{Z}[x]$  and cancelling  $a$  shows  $q = \bar{q} \in \mathbb{Z}[x]$ .

So  $h = f_\alpha \cdot q \in (f_\alpha) \triangleleft \mathbb{Z}[x]$ . So  $I = (f_\alpha)$ .

Now we want to show that  $f_\alpha$  is irreducible. We have

$$\mathbb{Z}[x]/(f_\alpha) = \mathbb{Z}[x]/\ker(\varphi) \cong \text{Im}(\varphi) = \mathbb{Z}[\alpha] \leq \mathbb{C}$$

$\mathbb{C}$  is an integral domain, so  $\text{Im}(\varphi)$  is an integral domain, so  $\mathbb{Z}[x]/(f_\alpha)$  is an integral domain.

So  $(f_\alpha)$  is prime. So  $f_\alpha$  is prime, so irreducible.  $\square$

**Example.**  $\alpha = i$  is an algebraic integer with  $f_\alpha = x^2 + 1$ .

$\alpha = \sqrt{2}$  is an algebraic integer with  $f_\alpha = x^2 - 2$ .

$\alpha = \frac{1}{2}(1 + \sqrt{-3})$  is an algebraic integer with  $f_\alpha = x^2 - x + 1$ .

The polynomial  $x^5 - x + d \in \mathbb{Z}[x]$  with  $d \in \mathbb{Z}$  has precisely one real root  $\alpha$ , which is an algebraic integer.

**Remark.** (Galois theory)

This  $\alpha$  cannot be constructed from  $\mathbb{Z}$  using  $+$ ,  $-$ ,  $\times$ ,  $/$ ,  $\sqrt{\quad}$ .

**Lemma.** If  $\alpha \in \mathbb{Q}$  is an algebraic integer, then  $\alpha \in \mathbb{Z}$ .

*Proof.* Let  $f_\alpha \in \mathbb{Z}[x]$  be the minimal polynomial, which is irreducible.

In  $\mathbb{Q}[x]$ ,  $x - \alpha$  must divide  $f_\alpha$ , but by Gauss' lemma,  $f_\alpha \in \mathbb{Q}[x]$  must be irreducible.

So must have  $f_\alpha = x - \alpha \in \mathbb{Z}[x]$  (else there is a proper decomposition). So  $\alpha \in \mathbb{Z}$ .  $\square$

## 2.8 Hilbert basis theorem

A ring  $R$  satisfies the *ascending chain condition (ACC)* if whenever

$$I_1 \subset I_2 \subset \dots$$

is an increasing sequence of ideals, then we have

$$I_n = I_{n+1} = I_{n+2} = \dots$$

for some  $n \in \mathbb{N}$ .

A ring satisfying this condition is called Noetherian.

**Example.** Any finite ring, any field, and  $\mathbb{Z}$  or any other PID is Noetherian (see next proposition).

Consider  $\mathbb{Z}[x_1, x_2, \dots]$ . Note that

$$(x_1) \subset (x_1x_2) \subset (x_1x_2x_3) \subset \dots$$

while none of the ideals are equal. Thus  $\mathbb{Z}[x_1, x_2, \dots]$  is not Noetherian.

**Proposition.** A ring  $R$  is Noetherian  $\iff$  every ideal of  $R$  is finitely generated, i.e.  $I = (r_1, \dots, r_n)$  for some  $r_1, \dots, r_n \in R$  for every ideal  $I \subset R$ .

*Proof.* Suppose every ideal of  $R$  is finitely generated. Given  $I_1 \subset I_2 \subset \dots$ , consider the ideal

$$I = I_1 \cup I_2 \cup \dots$$

We have  $I = (r_1, \dots, r_n)$ , with WLOG  $r_i \in I_{k_i}$ .

Now let  $k = \max(k_1, \dots, k_n)$ .

Then  $r_1, \dots, r_n \in I_k$ , hence  $I_k = I$ .

On the other hand, suppose an ideal  $I$  is not finitely generated.

Choose  $r_1 \in I$ . Then  $(r_1) \neq I$  as  $I$  is not finitely generated. Then choose  $r_2 \in I \setminus (r_1)$ . Then  $(r_1, r_2) \neq I$ . Then choose  $r_3, r_4, \dots$  similarly. But now we get a chain of ideals

$$(r_1) \subset (r_1, r_2) \subset \dots$$

while none of them is equal to any other. Contradiction. So  $I$  must be finitely generated.

Alternative proof for second part (2017 Lent): conversely, suppose  $R$  is Noetherian. Let  $I$  be an ideal.

Choose  $a_1 \in I$ . If  $I = (a_1)$  then done, so suppose not. Then choose  $a_2 \in I \setminus (a_1)$ ; if  $I = (a_1, a_2)$  then done, so suppose not... If we can't be finished by this process, then we get

$$(a_1) \subsetneq (a_1, a_2) \subsetneq (a_1, a_2, a_3) \subsetneq \dots$$

which is impossible as  $R$  is Noetherian. So  $I = (a_1, a_2, \dots, a_r)$  for some  $r$ .  $\square$

**Theorem.** (Hilbert's basis theorem)

$R$  is Noetherian  $\implies R[x]$  is Noetherian.

(hence e.g.  $Z[x]$  is Noetherian, whence  $Z[x, y]$  is Noetherian, etc.)

*Proof.* (Lent 2017)

Let  $J \triangleleft R[x]$ . Let  $f_1 \in J$  be a polynomial of minimal degree. If  $J = (f_1)$  then done, else choose  $f_2 \in J \setminus (f_1)$  of minimal degree. If  $J = (f_1, f_2)$  then done... Suppose this never terminates, i.e. we have  $(f_1) \subsetneq (f_1, f_2) \subsetneq \dots \subsetneq (f_1, f_2, f_3) \subsetneq \dots$

Let  $0 \neq a_i \in R$  be the coefficient of the largest power of  $X$  in  $f_i$ , and consider the chain of ideals  $(a_1) \subset (a_1, a_2) \subset (a_1, a_2, a_3) \subset \dots \triangleleft R$ . As  $R$  is Noetherian, this chain stabilizes, i.e. there exist  $m$  s.t. all  $a_i$  lie in  $a_1, \dots, a_m$ . In particular,  $a_{m+1} = \sum_{i=1}^m a_i b_i$  for some  $b_i \in R$ .

Let  $g = \sum_{i=1}^m b_i f_i X^{\deg(f_{m+1}) - \deg(f_i)}$  has top term  $\sum_{i=1}^m b_i a_i X^{\deg(f_{m+1})}$ , i.e.  $a_{m+1} X^{\deg(f_{m+1})}$ .

Note that  $f_{m+1} - g$  has degree strictly smaller than that of  $f_{m+1}$ . But  $g \in (f_1, \dots, f_m)$ , while  $f_{m+1} \notin (f_1, \dots, f_m)$ . So  $f_{m+1} - g \notin (f_1, \dots, f_m)$ , contradicting with the fact that we have chosen  $f_{m+1}$  to be the minimal degree each time.  $\square$

*Proof.* (Lent 2016)

Let  $I$  be an ideal in  $R[x]$ . For  $n = 0, 1, 2, \dots$ , let

$$I_n = \{r \in R : \exists f \in I \text{ with } f = rx^n + \dots\} \cup \{0\}$$

Then each  $I_n$  is an ideal of  $R$ .

Also  $I_n \subset I_{n+1} \forall n$  since  $f \in I \implies xf \in I$  (as  $I$  is an ideal in  $R[x]$ ).

Thus  $I_N = I_{N+1} = \dots$  for some  $N$  since  $R$  is Noetherian.

For each  $0 \leq n \leq N$ , we have

$$I_n = \left( r_1^{(n)}, r_2^{(n)}, \dots, r_{k(n)}^{(n)} \right)$$



As  $R$  is Noetherian.

For each  $r_i^{(n)}$ , choose a  $f_i^{(n)}$  with  $f_i^{(n)} = r_i^{(n)}x^n + \dots$

• Claim: The polynomials  $f_i^{(n)}$  ( $0 \leq n \leq N, 1 \leq i \leq k(n)$ ) generate  $I$ .

Proof of claim: Suppose not. Then choose  $g \in I$  of minimum degree that is not generated by the above polynomials  $f_i^{(n)}$ .

• If  $\deg(g) = n \leq N$ : have  $g = rx^n + \dots$ . But  $r \in I_n$ . So  $r = \sum_i \lambda_i r_i^{(n)}$  for some  $\lambda_i \in R$ .

So  $\sum_i \lambda_i f_i^{(n)} = rx^n + \dots$ , whence  $g - \sum_i \lambda_i f_i^{(n)}$  has smaller degree than  $g$  (or it's zero) and is also not in  $I$ , contradicting with the fact that  $g$  has the minimum degree.

• If  $\deg(g) = n > N$ : Have  $g = rx^n + \dots$ . But  $r \in I_n = I_N$ , so  $r = \sum_i \lambda_i r_i^{(N)}$  for some  $\lambda_i \in R$ .

So  $x^{n-N} \sum_i \lambda_i r_i^{(N)} = rx^n + \dots$  is in the ideal, whence  $g - x^{n-N} \sum_i \lambda_i r_i^{(N)}$  has smaller degree than  $g$  (or it's zero) and is also not in  $I$ . Contradiction.  $\square$

Does  $R$  Noetherian imply every subring of  $R$  is Noetherian?

The answer is NO – e.g. take  $\mathbb{Z}[x_1, x_2, \dots]$  (an integral domain) and let  $R$  be its field of fractions, while the latter is a field so Noetherian, but the first one isn't Noetherian.

**Proposition.** Let  $R$  be Noetherian,  $I$  be an ideal in  $R$ . Then  $R/I$  is Noetherian.

*Proof.* Let

$$\begin{aligned} \varphi : R &\rightarrow R/I \\ x &\rightarrow x + I \end{aligned}$$

Given an ideal  $J$  in  $R/I$ , have  $\varphi^{-1}(J)$  an ideal in  $R$  (by ideal correspondence). So  $\varphi^{-1}(J) = (r_1, \dots, r_n)$  for some  $r_1, \dots, r_n \in R$  (since  $R$  is Noetherian so  $I$  is finitely generated).

Thus  $J = (\varphi(r_1), \varphi(r_2), \dots, \varphi(r_n))$  is finitely generated. So  $R/I$  is Noetherian.  $\square$

What about  $\mathbb{Z}[x]$ ? (recall that it's not a pid since  $(2, x)$  is not principal)

**Remark.** Let  $E \subset F[x_1, x_2, \dots, x_n]$  be any set of polynomial equations.

Consider  $(E) \triangleleft F[x_1, x_2, \dots, x_n]$ . By Hilbert's basis theorem, there is a finite list  $f_1, \dots, f_k$  s.t.  $(E) = (f_1, \dots, f_k)$ .

Given  $(\alpha_1, \alpha_2, \dots, \alpha_n) \in F^n$ , consider

$$\varphi_\alpha : \begin{pmatrix} F[x_1, \dots, x_n] & \rightarrow & F \\ x_i & \rightarrow & \alpha_i \end{pmatrix}$$

a ring homomorphism.

$(\alpha_1, \dots, \alpha_n) \in F^n$  is a solution to the equations  $E \iff (E) \subset \ker(\varphi_\alpha) \iff (f_1, \dots, f_k) \triangleleft \ker(\varphi_\alpha) \iff (\alpha_1, \dots, \alpha_n)$  is a common solution to  $f_1, \dots, f_k$ .

### 3 Modules

#### 3.1 Definitions and examples

**Definition.** Let  $R$  be a commutative ring. A quadruple  $(M, +, 0_M, \cdot)$  is a  $R$ -module if:

- (M1)  $(M, +, 0_M)$  is an abelian group;
- (M2) The operation  $\cdot : R \times M \rightarrow M$  satisfies

$$\begin{aligned}(r_1 + r_2) \cdot m &= (r_1 \cdot m) + (r_2 \cdot m) \\ r \cdot (m_1 + m_2) &= (r \cdot m_1) + (r \cdot m_2) \\ r_1 \cdot (r_2 \cdot m) &= (r_1 \cdot r_2) \cdot m \\ 1_R \cdot m &= m\end{aligned}$$

**Example.** 1) Let  $F$  be a field. An  $F$ -module is precisely the same as a vector space over  $F$ .

2) For any ring  $R$ ,  $R^n = R \times R \times \dots \times R$  is a  $R$ -module via

$$r \cdot (r_1, r_2, \dots, r_n) = (r \cdot r_1, r \cdot r_2, \dots, r \cdot r_n)$$

3) If  $I \triangleleft R$  is an ideal, then it is an  $R$ -module via

$$r \cdot_M a = r \cdot_R a$$

Also,  $R/I$  is a  $R$ -module via

$$r \cdot (a + I) = r \cdot a + I$$

4) A  $\mathbb{Z}$ -module is precisely the same as an abelian group. For  $A$  an abelian group,

$$\left( \begin{array}{l} \mathbb{Z} \times A \rightarrow A \\ (n, a) \rightarrow \begin{cases} a + a + \dots + a \text{ (n times)} & a > 0 \\ 0 & a = 0 \\ (-a) + (-a) + \dots + (-a) \text{ (n times)} & a < 0 \end{cases} \end{array} \right)$$

5) Let  $F$  be a field,  $V$  a vector space on  $F$ , and  $\alpha : V \rightarrow V$  be a linear map. Then  $V$  is a  $F[x]$ -module via

$$\left( \begin{array}{l} F[x] \times V \rightarrow V \\ (f, v) \rightarrow (f(\alpha))(v) \end{array} \right)$$

i.e. Substitute  $\alpha$  in the polynomial  $f$ , then act on  $v$ .

Different choices of  $\alpha$  make  $V$  into different  $F[x]$ -modules, so this is a module structure.

6) If  $\varphi : R \rightarrow S$  is a ring homomorphism, then any  $S$ -module  $M$  may be considered as a  $R$ -module via

$$\left( \begin{array}{l} R \times M \rightarrow M \\ (r, m) \rightarrow \varphi(r) \cdot m \end{array} \right)$$

**Definition.** If  $M$  is a  $R$ -Module, a subset  $N \subset M$  is a  $R$ -submodule if it is a subgroup of  $(M, +, 0_M)$  and if  $n \in N$  and  $r \in R$  then  $r \cdot n \in N$ .

We write  $n \leq M$ .

**Example.** A subset of the  $R$  is a submodule of the  $R$ -module  $R$  *precisely* if it is an ideal.

A subset of an  $F$ -module  $V$  for  $F$  a field is a submodule *precisely* if it is a vector subspace.

**Definition.** If  $N \subseteq M$  is a  $R$ -submodule, the *quotient module*  $M/N$  is the set of  $N$ -cosets in the abelian group  $(M, +, 0_M)$  with

$$r \cdot (m + N) = r \cdot m + N$$

This is well defined as, if any two different  $m$  represent the same coset then they differ by some  $n \in N$ .

**Definition.** A function  $f : M \rightarrow N$  between  $R$ -modules is an  *$R$ -module homomorphism* if it is a homomorphism of abelian groups, and satisfies

$$f(r \cdot m) = r \cdot f(m)$$

**Example.** If  $F$  is a field and  $V, W$  are  $F$ -modules (vector spaces over  $F$ ), then an  $F$ -module homomorphism is precisely an  $F$ -linear map.

**Theorem.** (First isomorphism theorem)

Let  $f : M \rightarrow N$  be a  $R$ -module homomorphism. Then

$$\ker(f) = \{m \in M \mid f(m) = 0\} \leq M$$

(submodule),

$$\text{Im}(f) = \{n \in N \mid \exists m \in M \text{ s.t. } n = f(m)\} \leq N$$

Moreover,  $M/\ker(f) \cong \text{Im}(f)$ .

**Theorem.** (Second isomorphism theorem)

Let  $A, B \leq M$ . Then

$$A + B = \{m \in M \mid \exists a \in A, b \in B \text{ s.t. } m = a + b\} \leq M$$

(a submodule), and

$$A \cap B \leq M$$

and

$$A + B/A \cong B/(A \cap B).$$

**Theorem.** (Third isomorphism theorem)

If  $N \leq L \leq M$ , then

$$M/L \cong (M/N)/(L/N).$$

In addition, there is a submodule correspondence between submodules of  $M/N$  and submodules of  $M$  which contain  $N$ .

**Definition.** Let  $M$  be a  $R$ -module,  $m \in M$ . The *annihilator* of  $m$  is

$$\text{Ann}(m) = \{r \in R \mid r \cdot m = 0\}$$

The annihilator of  $M$  is

$$\text{Ann}(M) = \bigcap_{m \in M} \text{Ann}(m) = \{r \in R \mid r \cdot m = 0 \forall m \in M\}$$

**Remark.**  $\text{Ann}(m)$  is an ideal of  $R$  (so  $\text{Ann}(M)$  is too).

**Definition.** If  $M$  is a  $R$ -module and  $m \in M$ , the *submodule generated by  $m$*  is

$$R_m = \{r \cdot m \in M \mid r \in R\}$$

Consider the  $R$ -module homomorphism

$$\varphi : \begin{pmatrix} R & \rightarrow & M \\ r & \rightarrow & r \cdot m \end{pmatrix}$$

Here

$$\begin{aligned} R_m &= \text{Im}(\varphi) \\ \text{Ann}(m) &= \ker(\varphi) \end{aligned}$$

So

$$R_m \cong R / \text{Ann}(m)$$

**Definition.** Say an  $R$ -module  $M$  is *finitely generated* if there are elements  $m_1, \dots, m_k$  s.t.

$$\begin{aligned} M &= R_{m_1} + R_{m_2} + \dots + R_{m_k} \\ &= \{r_1 m_1 + r_2 m_2 + \dots + r_k m_k \mid r_1, r_2, \dots, r_k \in R\} \end{aligned}$$

**Lemma.** A  $R$ -module  $M$  is finitely generated if and only if there is a surjective  $R$ -module homomorphism

$$f : R^k \rightarrow M$$

*Proof.* If  $M = R_{m_1} + \dots + R_{m_k}$ , define

$$f : \begin{pmatrix} R^k & \rightarrow & M \\ (r_1, \dots, r_k) & \rightarrow & r_1 m_1 + r_2 m_2 + \dots + r_k m_k \end{pmatrix}$$

This is a  $R$ -module map. This *is* surjective by the definition of  $M$ .

Conversely, given a surjection  $f : R^k \rightarrow M$ , let

$$M_i = f(0, 0, \dots, 0, 1, 0, \dots, 0)$$

where the 1 is in the  $i^{\text{th}}$  position.

Let  $m \in M$ . As  $f$  is surjective,  $m = f(r_1, r_2, \dots, r_k)$  for some  $r_1, \dots, r_k$ .

Then write

$$\begin{aligned} f(r_1, \dots, r_k) &= f((r_1, 0, \dots, 0) + (0, r_2, 0, \dots, 0) + \dots + (0, 0, \dots, 0, r_k)) \\ &= f(r_1 \cdot 1, 0, \dots, 0) + f(0, r_2 \cdot 1, 0, \dots, 0) + \dots + f(0, \dots, 0, r_k \cdot 1) \\ &= r_1 f(1, 0, \dots, 0) + r_2 f(0, 1, 0, \dots, 0) + \dots + r_k f(0, \dots, 0, 1) \\ &= r_1 m_1 + r_2 m_2 + \dots + r_k m_k \end{aligned}$$

So the  $m_i$ 's generate  $M$ . □

**Corollary.** If  $N \leq M$  and  $M$  is finitely generated, then  $M/N$  is finitely generated.

*Proof.*  $m$  is finitely generated

$\implies$  there is a surjection  $f : R^k \rightarrow M$

$\implies R^k \rightarrow M \rightarrow M/N$  (by  $m \rightarrow m + N$ ) (surjection) □

**Example.** A submodule of a finitely generated module need not be finitely generated.

Let

$$R = \mathbb{C}[x_1, x_2, x_3, \dots]$$

Let  $M = R$  be finitely generated (by 1). The submodule  $I = (x_1, x_2, \dots) \triangleleft R$  is not finitely generated (because finitely generated as a module implies finitely generated as an ideal, which it isn't).

**Example.** For  $\alpha \in \mathbb{C}$ ,  $\mathbb{Z}[\alpha]$  is a finitely generated  $\mathbb{Z}$ -module  $\iff \alpha$  is an algebraic integer (see example sheet).

### 3.2 Direct sums and free modules

**Definition.** If  $M_1, M_2, \dots, M_k$  are  $R$ -modules, the *direct sum*

$$M_1 \oplus M_2 \oplus \dots \oplus M_k$$

is the set

$$M_1 \times M_2 \times \dots \times M_k$$

with addition

$$(m_1, m_2, \dots, m_k) + (m'_1, m'_2, \dots, m'_k) = (m_1 + m'_1, \dots, m_k + m'_k)$$

and  $R$ -module structure

$$r \cdot (m_1, \dots, m_k) = (r \cdot m_1, r \cdot m_2, \dots, r \cdot m_k)$$

**Example.** What we have been calling  $R^n$  is  $R \oplus R \oplus \dots \oplus R$  ( $n$  times).

**Definition.** Let  $m_1, m_2, \dots, m_k \in M$ . The set  $\{m_1, \dots, m_k\}$  is *independent* if

$$\sum_{i=1}^k r_i m_i = 0 \implies r_1 = r_2 = \dots = r_k = 0$$

**Definition.** A subset  $S \subset M$  *generates  $M$  freely* if

1)  $S$  generates  $M$ ;

2) Any function  $\psi : S \rightarrow N$  to a  $R$ -module extends to a  $R$ -module map  $\theta : M \rightarrow N$ .

If  $\theta_1$  and  $\theta_2$  are two of such extensions, consider  $\theta_1 - \theta_2 : M \rightarrow N$ . Then  $S \subseteq \ker(\theta_1 - \theta_2) \leq M$ . So the submodule generated by  $S$  lies in  $\ker(\theta_1 - \theta_2)$  too. But 1) says  $S$  generates  $M$ . So  $M = \ker(\theta_1 - \theta_2)$ . So  $\theta_1 = \theta_2$ .

A  $R$ -module freely generated by some subset  $S \subset M$  is called *free*, and  $S$  is called a *basis*.

**Proposition.** For a subset  $\{m_1, m_2, \dots, m_k\} \subset M$ , the following are equivalent:

- 1)  $S$  generates  $M$  freely;
- 2)  $S$  generates  $M$  and the set  $S$  is independent;
- 3) Every element of  $M$  is *uniquely* expressible as

$$r_1 m_1 + r_2 m_2 + \dots + r_k m_k$$

for some  $r_i \in R$ .

*Proof.* • 1)  $\implies$  2):

Let  $S$  generate  $M$  freely.

If  $S$  is *not* independent, we have

$$0 = r_1 m_1 + \dots + r_k m_k$$

with some  $r_j \neq 0$ .

Let

$$\psi : \begin{pmatrix} S \rightarrow & R \\ m_j \rightarrow & 1_R \\ m_i \rightarrow & 0 \ (i \neq j) \end{pmatrix}$$

a function.

As  $S$  generates  $M$  freely, this extends to a  $R$ -module homomorphism  $\theta : M \rightarrow R$ .

Thus

$$\begin{aligned} 0 &= \theta(0) = \theta(r_1 m_1 + r_2 m_2 + \dots + r_k m_k) \\ &= r_1 \theta(m_1) + \dots + r_k \theta(m_k) \\ &= r_j \cdot 1_R \in R \end{aligned}$$

a contradiction as we supposed  $r_j \neq 0$ .

The remaining steps are just as in Linear Algebra. □

**Example.** The set  $\{2, 3\} \in \mathbb{Z}$  generates  $\mathbb{Z}$ , but *not* freely, as  $3 \cdot 2 + (-2) \cdot 3 = 0$ . So  $S$  is not independent. So  $S$  doesn't generate  $\mathbb{Z}$  freely. Also  $\{2\}$  and  $\{3\}$  do *not* generate  $\mathbb{Z}$ .

**Example.** The  $\mathbb{Z}$ -module  $\mathbb{Z}/2$  is not free.

Generating set:  $\{1\}, \{0, 1\}$ .

1) for  $\{1\}$ : Let

$$\psi : \begin{pmatrix} \{1\} & \rightarrow \mathbb{Z} \\ 1 & \rightarrow 1 \end{pmatrix}$$

this extends to

$$\theta : \begin{pmatrix} \mathbb{Z}/2 & \rightarrow \mathbb{Z} \\ 1 & \rightarrow 1 \\ 0 = 1 + 1 & \rightarrow 1 + 1 \end{pmatrix}$$

which is a contradiction since it's not a homomorphism.

For the second case is generally the same.

**Lemma.** If  $S = \{m_1, \dots, m_k\} \subset M$  is freely generated, then  $M \cong R^k$  as an  $R$ -module.

*Proof.* Let  $f : R^k \rightarrow M$  by  $(r_1, \dots, r_k) \rightarrow \sum r_i m_i$  as  $R$ -module map. It is surjective as  $\{m_i\}$  generate  $M$ , and is injective as the  $m_i$  are independent.  $\square$

**Definition.** If  $M$  is a finitely generated  $R$ -module, we have shown that there is a surjective  $R$ -module homomorphism  $\varphi : R^k \rightarrow M$ .

We call  $\ker(\varphi)$  the *relation module* for these generators.

Now As  $M \cong R^k / \ker(f)$ , knowing  $M$  is equivalent of knowing the relation module.

We say  $M$  is *finitely presented* if, in addition,  $\ker(\varphi)$  is finitely generated.

More precisely, if  $\{m_1, m_2, \dots, m_k\}$  generate  $M$  and  $\{n_1, n_2, \dots, n_l\}$  generate  $\ker(\varphi)$ , then each  $n_i = (r_{i1}, r_{i2}, \dots, r_{ik})$  corresponds to the relation

$$r_{i1}m_1 + r_{i2}m_2 + \dots + r_{ik}m_k = 0$$

in  $M$ .

**Proposition.** (Invariance of dimension (rank))

Let  $R$  be a non-zero ring. Then if  $R^n \cong R^m$  as a  $R$ -module, we must have  $n = m$ .

*Proof.* We know this is true if  $R$  is a field (since they are vector spaces).

General construction: let  $I \triangleleft R$  be an ideal and  $M$  a  $R$ -module. Define

$$IM = \{a \cdot m \in M \mid a \in I, m \in M\}$$

a submodule of  $M$ , so  $M/IM$  is a  $R$ -module.

If  $b \in I$  then  $b \cdot (m + IM) = b \cdot m + IM = 0 + IM$ .

So  $M/IM$  is a  $R/I$ -module via

$$(r + I) \cdot (m + IM) = r \cdot m + IM$$

General property: every non-zero ring has a maximal ideal.

Observation: an ideal  $I \triangleleft R$  is proper  $\iff 1_R \notin I$ .

So an increasing union of proper ideals is proper.

(Fact: (Zorn's lemma applies) so there is a maximal ideal)

Back to the proof: choose a maximal ideal  $I \triangleleft R$ .

If  $R^n \cong R^m$ , then  $R^n/IR^n \cong R^m/IR^m$ , i.e.  $(R/I)^n \cong (R/I)^m$ . But  $I$  is maximal, so  $R/I$  is a field. So this is an isomorphism between vector spaces over the spaces  $R/I$ . So  $n = m$  by usual dimension theory from linear algebra.  $\square$

### 3.3 Matrices over Euclidean domains

Until further notice,  $R$  is a Euclidean domain, and write  $\phi : R \setminus \{0\} \rightarrow \mathbb{Z} \geq 0$  for its Euclidean function.

We know what  $\gcd(a, b)$  is for  $a, b \in R$  and is unique up to associates. The Euclidean algorithm using  $\phi$  shows that  $\gcd(a, b) = ax + by$  for some  $x, y \in R$ .

**Definition.** *Elementary row operations* on a  $m \times n$  matrix  $A$  with entries in  $R$  are

(ER1) Add  $c \in R$  times the  $i^{th}$  row to the  $j^{th}$ . This may be done by multiplying  $A$  on the left by

$$\begin{pmatrix} 1 & & & & \\ & 1 & & c & \\ & & 1 & & \\ & & & \cdots & \\ & & & & 1 \end{pmatrix}$$

Where  $c$  is in the  $j^{th}$  row and the  $i^{th}$  column.

(ER2) Swap the  $i^{th}$  and the  $j^{th}$  rows. This is done using

$$\begin{pmatrix} 1 & & & & \\ & 0 & & 1 & \\ & & 1 & & \\ & 1 & & 0 & \\ & & & \cdots & \\ & & & & 1 \end{pmatrix}$$

Where the two 1 are in the  $(i, j)$  entry and the  $(j, i)$  entry.

(ER3) Multiply the  $i^{th}$  row by a *unit*  $c \in R$ , using

$$\begin{pmatrix} 1 & & & & \\ & 1 & & & \\ & & c & & \\ & & & \cdots & \\ & & & & 1 \end{pmatrix}$$

Where  $c$  is in the  $(i, i)$  entry.

We have analogues for column operations, called (EC1),(EC2),(EC3).

**Definition.**  $A$  and  $B$  are *equivalent* if they differ by a sequence of elementary row or column operations.

If  $A$  and  $B$  are equivalent, there are invertible (square) matrices  $P, Q$  s.t.  $B = QAP^{-1}$ .

**Theorem.** (Smith normal form)

A  $m \times n$  matrix  $A$  on a ED  $R$  is equivalent to  $\text{Diag}(d_1, d_2, \dots, d_r, 0, \dots, 0)$  with the  $d_i$  all non-zero and

$$d_1 | d_2 | \dots | d_r$$

The  $d_k$  are called *invariant factors* of  $A$ .

*Proof.* if  $A = 0$  we are done. So suppose  $A \neq 0$ .

So some entry  $A_{ij} \neq 0$ . Swapping the  $i^{th}$  and first row then  $j^{th}$  and first column, we arrange that  $A_{11} \neq 0$ .

Try to reduce  $\varphi(A_{11})$  as much as possible:

Case 1) If there is a  $A_{1j}$  not divisible by  $A_{11}$ , use Euclidean algorithm to write

$$A_{1j} = q \cdot A_{11} + r$$

with  $\varphi(r) < \varphi(A_{11})$ .

Subtract  $q$  times the first column from the  $j^{th}$  column. In position  $(1, j)$ , we



now have  $r$ . Swapping  $j^{\text{th}}$  and  $1^{\text{st}}$  columns puts  $r$  in position  $(1, 1)$ , and so  $\varphi(r) < \varphi(A_{11})$ .

Case 2) If there is a  $A_{i1}$  not divisible by  $A_{11}$ , do the analogous thing to reduce  $\varphi(A_{11})$ .

After finitely many applications of Case 1 and Case 2, we get that  $A_{11}$  divides all  $A_{ij}$  and all  $A_{i1}$ .

Then subtracting appropriate multiples of the first column from all others makes  $A_{1j} = 0$  for all  $j$  apart from the first one. Do the same with rows. Then we have

$$\begin{pmatrix} d & 0 & 0 & \dots & 0 \\ 0 & & & & \\ 0 & & & & \\ \dots & & C & & \\ 0 & & & & \end{pmatrix}$$

Case 3) if there is an entry of  $C$  not divisible by  $d$ , say  $A_{ij}$  with  $i > 1, j > 1$ . Then write  $A_{ij} = qd + r$ , with  $\varphi(r) < \varphi(d)$ .

Now add column 1 to column  $j$ , subtract  $q$  times row 1 from row  $i$ , swap row  $i$  with row 1, and swap column  $j$  with column 1. Then the  $(1, 1)$  entry is  $r$ , and  $\varphi(r) < \varphi(d)$ .

But now the zeroes are messed up. So do case 1 and case 2 if necessary to get

$$\begin{pmatrix} d' & 0 & 0 & \dots & 0 \\ 0 & & & & \\ 0 & & & & \\ \dots & & C' & & \\ 0 & & & & \end{pmatrix}$$

But now with  $\varphi(d') \leq \varphi(r) < \varphi(d)$ .

Since case 3 strictly decreases  $\varphi(d)$ , it can only happen for finitely many times.

Therefore, we arrive at

$$\begin{pmatrix} d & 0 & 0 & \dots & 0 \\ 0 & & & & \\ 0 & & & & \\ \dots & & C & & \\ 0 & & & & \end{pmatrix}$$

Such that  $d$  divides *every* entry of  $C$  (this is because case 3 stops only if there is no entry of  $C$  not divisible by  $d$ , by the condition).

Now apply the entire process to  $C$ . We end up with a diagonal matrix with the claimed divisibility.  $\square$

**Example.**

$$\begin{pmatrix} 3 & 7 & 4 \\ 1 & -1 & 2 \\ 3 & 5 & 1 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & -1 & 2 \\ 3 & 7 & 4 \\ 3 & 5 & 1 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & 0 & 0 \\ 3 & 10 & -2 \\ 3 & 8 & -5 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & 0 & 0 \\ 0 & 10 & -2 \\ 0 & 8 & -5 \end{pmatrix} \rightarrow$$

$$\begin{pmatrix} 1 & 0 & 0 \\ 0 & 2 & 10 \\ 0 & 5 & 8 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & 0 & 0 \\ 0 & 2 & 10 \\ 0 & 1 & -12 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & -12 \\ 0 & 2 & 10 \end{pmatrix} \rightarrow \begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 34 \end{pmatrix}$$

To study the uniqueness of the invariant factors (the  $d_k$ 's) of a matrix  $A$ , we will consider *minors*:

**Definition.** A  $k \times k$  *minor* of a matrix  $A$  is the determinant of a  $k \times k$  sub-matrix of  $A$  (a matrix found by removing all but  $k$  rows and all but  $k$  columns).

For a matrix  $A$ , the  $k^{\text{th}}$  *fitting ideal* called  $\text{Fit}_k(A) \triangleleft R$  is the ideal generated by the set of all  $k \times k$  minors of  $A$ .

**Lemma.** If  $A$  and  $B$  are equivalent matrices, then

$$\text{Fit}_k(A) = \text{Fit}_k(B)$$

for all  $k$ .

*Proof.* We just show that changing  $A$  by the elementary row operations (or the column versions) doesn't change  $\text{Fit}_k(A)$ . We just need to consider the row operations as  $\text{Fit}_k(A) = \text{Fit}_k(A^T)$ .

For (ER1): Fix  $C$  a  $k \times k$  minor of  $A$ . Let  $B$  be the result of adding  $c$  times the  $i^{\text{th}}$  row to the  $j^{\text{th}}$  row.

If the  $j^{\text{th}}$  row is outside of  $C$ , then the minor is unchanged.

If  $i^{\text{th}}$  and  $j^{\text{th}}$  row are *in*  $C$ , then the sub-matrix changes by a row operation. But we know from linear algebra that a row operation doesn't change the determinant.

If  $j^{\text{th}}$  row is in  $C$  but the  $i^{\text{th}}$  row is not, then  $C$  is changed to  $C'$  with  $j^{\text{th}}$  row equal to

$$(C_{j1} + cf_1, C_{j2} + cf_2, \dots, c_{jk} + cf_k)$$

Where  $f_1, f_2, \dots, f_k$  are the  $i^{\text{th}}$  row.

Computing  $\det(C')$  using this row, we get  $\det(C') = \det(C) + c \det(\text{matrix obtained by replacing the } j^{\text{th}} \text{ row of } C \text{ with } f_1, f_2, \dots, f_k)$  also a minor of  $A$ .

So  $\det(C') \in \text{Fit}_k(A)$ .

(ER2) and (ER3) follow by standard properties of swapping rows or multiplying rows on determinants.

So  $\text{Fit}_k(B) \leq \text{Fit}_k(A)$ . But this also follows in the opposite direction as row operations are invertible. So they are equal.  $\square$

**Remark.** if  $B = \text{Diag}(d_1, d_2, \dots, d_r, 0, \dots, 0)$  is a matrix in its Smith Normal Form, then

$$\text{Fit}_k(B) = (d_1 d_2 \dots d_k)$$

**Corollary.** If  $A$  has Smith Normal Form  $\text{Diag}(d_1, d_2, \dots, d_r, 0, \dots, 0)$  then  $(d_1 d_2 \dots d_k) = \text{Fit}_k(A)$ , so  $d_k$  is unique up to associates.

**Example.** Consider

$$\begin{pmatrix} 2 & 0 \\ 0 & 3 \end{pmatrix} = A$$

Then

$$\text{Fit}_1(A) = (2, 3) = (1)$$

So  $d_1 = \pm 1$ ,

$$\text{Fit}_2(A) = (6)$$

So

$$d_1 d_2 = \pm 6 \implies d_2 = \pm 6$$

So

$$\begin{pmatrix} 1 & 0 \\ 0 & 6 \end{pmatrix}$$

is a Smith Normal Form for  $A$ .

**Lemma.** Let  $R$  be a Euclidean Domain. Any submodule of  $R^m$  is generated by at most  $m$  elements.

*Proof.* Let  $N \leq R^m$  be a submodule. Consider the ideal

$$I = \{r \in R \mid (r, r_2, \dots, r_m) \in N \text{ for some } r_2, \dots, r_m \in R\}$$

As  $R$  is a ED, it is also a PID. So  $I = (a)$  for some  $a \in R$ .

Choose a  $n = (a_1, a_2, \dots, a_m) \in N$ .

For a  $(r_1, r_2, \dots, r_m) \in N$ , we know  $a \mid r_1$ , so  $r_1 = r \cdot a_1$ , and

$$(r_1, r_2, \dots, r_m) - r(a_1, a_2, \dots, a_m) = (0, r_2 - ra_2, \dots, r_m - ra_m)$$

This lies in  $N' = N \cap (\{0\} \times R^{m-1}) \leq R^{m-1}$ .

Then by induction we can suppose that there are  $n_2, \dots, n_m \in N'$  generating  $N'$ .

Thus

$$(r_1, \dots, r_m)$$

lies in the submodule generated by  $n, n_2, \dots, n_m$ . Since  $r_1, \dots, r_m$  are arbitrary, we know that  $n, n_2, \dots, n_m$  generate  $N$ .  $\square$

(missing 0.5 lecture?)

**Example.** Let  $R = \mathbb{Z}$  (a ED), and let  $A$  be the abelian group ( $=\mathbb{Z}$ -module) generated by  $a, b, c$ , subject to  $2a + 3b + c = 0$ ,  $a + 2b = 0$  and  $5a + 6b + 7c = 0$ .

Thus  $A = \mathbb{Z}^3/N$  where  $N \leq \mathbb{Z}^3$  generated by  $(2, 3, 1)^T, (1, 2, 0)^T, (5, 6, 7)^T$ .

Now put  $M = \begin{pmatrix} 2 & 1 & 5 \\ 3 & 2 & 6 \\ 1 & 0 & 7 \end{pmatrix}$  into Smith Normal form we get  $(1, 1, 3)$ . To show

that, we just have to calculate the fitting ideals:  $\text{Fit}_1(M) = (1)$ ,  $\text{Fit}_2(M) = (1)$  and  $\text{Fit}_3(M) = \det(M) = 3$ .

After changing basis,  $N$  is generated by  $(1, 0, 0), (0, 1, 0), (0, 0, 3)$ . So  $A \cong \mathbb{Z}/3$ .

### 3.3.1 Structure theorem for finitely-generated abelian groups

Any f.g. abelian group is isomorphic to

$$C_{d_1} \times C_{d_2} \times \dots \times C_{d_r} \times C_\infty \times C_\infty \times \dots \times C_\infty$$

with  $d_1 \mid d_2 \mid \dots \mid d_r$ .

*Proof.* Apply classification of f.g. modules to the ED  $R = \mathbb{Z}$ , and note  $\mathbb{Z}/(d) = C_d$  and  $\mathbb{Z}/(0) = C_\infty$ .  $\square$

**Lemma.** Let  $R$  be a ED,  $a, b \in R$  with  $\gcd(a, b) = 1$ . Then  $R/(ab) \cong R/(a) \oplus R/(b)$ .

*Proof.* Consider the  $R$ -module homomorphism

$$\begin{aligned} \phi : R/(a) \oplus R/(b) &\rightarrow R/(ab) \\ (r_1 + (a), r_2 + (b)) &\rightarrow (br_1 + ar_2 + (ab)) \end{aligned}$$

As  $\gcd(a, b) = 1$ ,  $(a, b) = (1)$ . So  $1 = xa + yb$  for some  $x, y \in \mathbb{Z}$ . So for  $r \in R$ , we get  $r = rxa + ryb$ . So

$$r + (ab) = rxa + ryb + (ab) = \phi(ry + (a), rx + (b))$$

So  $\phi$  is onto.

Now we also have to deal with injectivity (since  $R/(ab)$  is not necessarily finite). If  $\phi(r_1 + (a), r_2 + (b)) = 0 + (ab)$ , then  $br_1 + ar_2 \in (ab)$ . Thus  $a|br_1 + ar_2$ , so  $a|br_1$ , but  $\gcd(a, b) = 1$ , so  $a|r_1$ , so  $r_1 + (a) = 0 + (a)$ .  $\square$

### 3.3.2 Primary decomposition theorem

Let  $R$  be a ED,  $M$  a f.g.  $R$ -module. Thus  $M \cong N_1 \oplus \dots \oplus N_t$  with each  $N_i$  either equal to  $R$ , or  $R/(p^n)$  for some prime  $p \in R$  and some  $n \geq 1$ .

*Proof.* Note that if  $d = p_1^{n_1} \dots p_k^{n_k}$  with  $p_i \in R$  distinct primes, then the previous lemma shows that  $R/(d) \cong R/(p_1^{n_1}) \oplus \dots \oplus R/(p_k^{n_k})$ . Plug this into the usual classification of f.g. modules we get the result.  $\square$

## 3.4 Modules over $F[X]$ , and normal forms for matrices

For any field  $F$ ,  $F[X]$  is a ED. So the results of the last section apply.

If  $V$  is a vector space over  $F$  and  $\alpha : V \rightarrow V$  an endomorphism, then we have

$$\begin{aligned} F[X] \times V &\rightarrow V \\ (f, v) &\rightarrow f(\alpha)(v) \end{aligned}$$

which makes  $V$  into a  $F[X]$ -module, call it  $V_\alpha$  (see section 3.1).

Lemma: if  $V$  is finite-dimensional, then  $V_\alpha$  is finitely-generated as a  $F[X]$ -module.

**Example.** 1) Suppose  $V_\alpha \cong F[X]/(X^r)$  as a  $F[X]$ -module. This has  $F$ -basis  $1, X, X^2, \dots, X^{r-1}$ , and the action of  $\alpha$  on  $V$  corresponds to multiplication by  $X$ .

So in this basis,  $\alpha$  has matrix with  $A_{(i+1),i} = 1$  and all other entries 0.

2) Suppose  $V_\alpha \cong F[X]/(X - \lambda)^r$  is a  $F[X]$ -module. Consider  $\beta = \alpha - \lambda Id$ , then

$$V_\beta \cong F[Y]/(Y^n)$$

as a  $F[Y]$ -module. So by (1),  $V$  has a basis so that  $\beta$  is given by the above matrix. So  $\alpha$  is given by  $\text{Diag}(\lambda) + A$  where  $A_{(i+1),i} = 1$ .

3) Suppose  $v_\alpha \cong F[X]/(f)$  with  $f = a_0 + a_1X + \dots + a_{r-1}X^{r-1} + X^r$ . Then  $1, X, \dots, X^{r-1}$  is a  $F$ -basis, and in this basis,  $\alpha$  is given by the  $A$  in example (1) with an additional column  $-a_0, -a_1, \dots, -a_{r-1}$  added rightmost. This matrix is called the *companion matrix* for  $f_1$  and is written  $C(f)$ .

### 3.4.1 Rational canonical form theorem

Let  $\alpha : V \rightarrow V$  be a linear map,  $V$  finite-dimensional vector space over  $F$ . Regards  $V$  as a  $F[X]$ -module  $V_\alpha$ , we have

$$V_\alpha \cong F[X]/(d_1) \oplus \dots \oplus F[X]/(d_r)$$

with  $d_1|d_2|\dots|d_r$ . This there is a basis of  $V$  for which  $\alpha$  is given by  $\text{Diag}(c(d_1), c(d_2), \dots, c(d_r))$ . To prove this we can simply apply classification of f.g. modules over  $F[X]$ , an ED, and note that is(?) copies of  $F[X]$  appear, as this has  $\infty$  dimension over  $F$ .

Observations:

- 1) If  $\alpha$  is represented by a matrix  $A$  in some basis, then  $A$  is conjugate to  $(\text{Diag}(c(d_1), \dots, c(d_r)))$ .
- 2) The minimal polynomial for  $\alpha$  is  $d_r \in F[X]$ .
- 3) The characteristic polynomial of  $\alpha$  is  $d_1 d_2 \dots d_r$ .

**Lemma.** The primes in  $\mathbb{C}[X]$  are  $X - \lambda$  for  $\lambda \in \mathbb{C}$ , up to associates.

*Proof.* If  $f \in \mathbb{C}[X]$  is irreducible, Fundamental theorem of algebra says that  $f$  has a root  $\lambda$ , or  $f$  is a constant. If it is constant it is 0 or a unit  $X$ , so  $X - \lambda|f$ , so  $f = (X - \lambda)g$ . But  $f$  is irreducible. So  $g$  is a unit, so  $f$  is an associate of  $X - \lambda$ .  $\square$

The conjugacy classes in  $GL_2(\mathbb{Z}/3)$  are

$$\begin{pmatrix} 0 & 2 \\ 1 & 0 \end{pmatrix}, \begin{pmatrix} 0 & 1 \\ 1 & 2 \end{pmatrix}, \begin{pmatrix} 0 & 1 \\ 1 & 1 \end{pmatrix}, \begin{pmatrix} \lambda & 0 \\ 1 & \lambda \end{pmatrix}, \begin{pmatrix} \lambda & 0 \\ 0 & \mu \end{pmatrix}$$

for non-zero  $\lambda$  and  $\mu$ .

Recall

$$|GL_2(\mathbb{Z}/3)| = (9 - 1)(9 - 3) = 2^4 \cdot 3$$

so Sylow 2-subgroup has order  $16 = 2^4$ . The first matrix among the above 5 has order 4, the second and third have order 8, while for the fourth one,  $\lambda = 1$  has order 3 and  $\lambda = 2$  has order 6, and the diagonal matrices has order 2. So Sylow 2-subgroup cannot be cyclic (order 16).

Now let  $A, B$  be the first and the second matrix respectively. Then

$$A^{-1}BA = \begin{pmatrix} 2 & 2 \\ 2 & 0 \end{pmatrix}$$

This have to be some power of  $B$  (since it's in the same conjugacy class as  $B$ ). In fact it is equal to  $B^3$ .

So  $\langle B \rangle \leq \langle A, B \rangle \leq GL_2(\mathbb{Z}/3)$ , and  $\langle B \rangle \triangleleft \langle A, B \rangle$ .

By the second isomorphism theorem is  $\frac{\langle A, B \rangle}{\langle B \rangle} = \frac{\langle A \rangle}{\langle A \rangle \cap \langle B \rangle}$ . But

$$\langle A \rangle \cap \langle B \rangle = \left\langle \begin{pmatrix} 2 & 0 \\ 0 & 2 \end{pmatrix} \right\rangle$$

is a group of order 2. But  $\langle A \rangle$  has order 4. So

$$|\langle A, B \rangle / \langle B \rangle| = |\langle A \rangle / (\langle A \rangle \cap \langle B \rangle)| = 4/2 = 2$$

so  $|\langle A, B \rangle| = 2 \cdot 8 = 16$ . So this is a Sylow 2-subgroup of  $GL_2(\mathbb{Z}/3)$ . It is

$$\langle A, B | A^4 = I, B^8 = I, A^{-1}BA = B^3 \rangle$$

a *semidihedral group of order 16*.

**Example.** Let  $R = \mathbb{Z}[X]/(X^2 + 5)$ , which we wish to show, that it is equal to  $\mathbb{Z}[-5] \leq \mathbb{C}$ . Then

$$(1 + X)(1 - X) = 1 - X^2 = 1 + 5 = 6 = 2 \cdot 3$$

while  $1 \pm X, 2, 3$  are all irreducible, so  $R$  is *not* a UFD. Let

$$I_1 = (3, 1 + X), I_2 = (3, 1 - X)$$

be ideals (submodules) of  $R$ . Consider

$$\begin{aligned} \phi : I_1 \oplus I_2 &\rightarrow R \\ (a, b) &\rightarrow a + b \end{aligned}$$

an  $R$ -module map. Then

$$\text{im}(\phi) = (3, 1 + X, 1 - X)$$

But  $3 - ((1 + X) + (1 - X)) = 1$ . So this is the whole ring.

Also  $\ker(\phi) = \{(a, b) \in I_1 \oplus I_2 | a + b = 0\} \cong I_1 \cap I_2$  by sending  $x$  back to  $(x, -x)$ . Hence

$$(3) \subset I_1 \cap I_2$$

Let  $s \cdot 3 + t(1 - x) \in (3, 1 - X) \subset R = \mathbb{Z}[X]/(X^2 + 5)$ .

Working module (3) as well, get

$$t(1 + X) = (1 - X)p \pmod{(3, X^2 + 5)} = (3, X^2 - 1) = (3, (X - 1)(X + 1)).$$

So  $1 - X | t$ , so  $(1 + X)(1 - X) | t(1 + X)$ , so  $t(1 + X) = q(X^2 - 1) = q(X^2 + 5 - 6)$   
 i.e.  $t(1 + X) = 3(-2q)$ .

Therefore  $s \cdot 3 + t(1 + X)$  is divisible by 3, so  $I_1 \cap I_2 \subset (3)$ , so equality.

By Example sheet 4 Q1(iii), if we have module  $N \leq M$  and  $M/N \cong \mathbb{R}^n$ , then  $M \cong N \oplus R^n$ .

So hence,  $I_1 \oplus I_2 / \ker(\phi) \cong \text{im}(\phi) = R$ , so  $I_1 \oplus I_2 \cong R \oplus \ker(\phi) = R \oplus (3)$ .

Consider

$$\begin{aligned} \psi : R &\rightarrow (3) \\ x &\rightarrow 3x \end{aligned}$$

$\ker(\psi) = \{x \in R | 3x = 0\} = 0$  as  $R$  is an integral domain. So  $\psi$  is an isomorphism.  
 So  $I_1 \oplus I_2 \cong R \oplus R$ .

We claim that  $I_1$  is not principal. If  $I_1 = (a + bX)$ , then  $I_2 = (a - bX)$ . Then

$$(3) = I_1 \cap I_2 = ((a + bX)(a - bX)) = (a^2 - bX^2) = (a^2 + 5b^2)$$

so  $3 \in (a^2 + 5b^2)$ , so  $3 = (a^2 + 5b^2)(c + dX)$ , so  $a^2 + 5b^2 | 3$ . Contradiction. So  $I_1$   
 cannot be principal, so  $I_2$  cannot be as well. But now:

- $I_1$  need 2 elements to generate it, but it is not the free module  $R^2$ ;
- $I_1$  is a direct summand of  $R^2$ .