

A GENERALIZATION OF GLOBAL CLASS FIELD THEORY

TAE KUN SEO AND G. WHAPLES

Introduction. Let R be a field of rational functions of one variable over a field of constants R_0 . Dock Sang Rim (6) has proved that the global reciprocity law in exactly the usual sense holds whenever R_0 is an absolutely algebraic quasi-finite field of characteristic not equal to 0: this was known before only when R_0 was a finite field. We shall give another proof of Rim's result by means of a noteworthy generalization of the usual global reciprocity law. Namely, let R_0 be a finite field and let F be the set of all fields k contained in some fixed $R^{\text{alg. clos.}}$ and of finite degree over R . The reciprocity law states that there exists a family $\{f_k\}$, $k \in F$, of functions $f_k: C_k \rightarrow G(k^{\text{abel. clos.}}/k)$ (where C_k is the idèle class group of k) enjoying certain properties such as the norm transfer law. Let F^* denote the set of all fields which are composite of a field in F and a quasi-finite algebraic extension of R_0 , possibly of infinite degree. We shall show that if the idèle class groups C_k are replaced by their closures \hat{C}_k under a certain topology, we can define a generalized norm $N_{L/k}: \hat{C}_L \rightarrow \hat{C}_k$ for all $k, L \in F^*$ with $k \subset L$, and a family $\{\hat{f}_k\}$, $k \in F^*$, of functions defined on the groups \hat{C}_k , such that the global reciprocity law holds for our much larger set of ground field F^* with the C_k replaced by the \hat{C}_k . Finally, let $k \in F^*$ and let $F(k)$ denote the set of finite extensions of k . The global reciprocity law in exactly the usual sense holds for the family $\{f_L\}$, $L \in F(k)$, of functions f_L obtained by restricting the \hat{f}_L to the subgroup $C_L \subset \hat{C}_L$; this proves Rim's result.

Since our proof uses only routine topological constructions, our results are in a certain sense trivial.

Several papers (the most recent being 3; 4; 5) have been written already on global reciprocity law over ground fields of infinite degree but they replace the usual idèle class group by something else.

1. Extended idèles. Let k be a local field (i.e., complete under a discrete rank 1 valuation) and call its residue class field \bar{k} *good* if it is quasi-finite, absolutely algebraic, and of characteristic $p \neq 0$. We shall consider only such local fields. Topologize the multiplicative group k^\times of k by taking the subgroups $\{k^{\times n} k_{(i)}^\times\}$, for all positive integers n and i , as a base for the open neighbourhoods of 1, where $k_{(i)}^\times$ denotes the group of elements congruent 1 mod π^i .

Received December 13, 1967.

PROPOSITION 1. *If \bar{k} is good, then k' is a Hausdorff space under this topology.*

Proof. We must show that $\bigcap_{n,i} k'^n k_{(i)} = \{1\}$. Let α be contained in this intersection. Its residue class $\bar{\alpha}$ is contained in $\bigcap_n \bar{k}^n$. Suppose that $\bar{\alpha} \neq 1$. Then since \bar{k} is good, $\bar{\alpha}$ is a primitive m th root of unity for some $m > 1$ and prime to p . Let q be a prime different from p and dividing m . If $\bar{\alpha}$ were a q^j th power for every j , then \bar{k} would contain primitive q^{j+1} th roots of unity for every j , the Steinitz degree of \bar{k} over \mathbf{Z}/p would be divisible by p^∞ , and \bar{k} would not be quasi-finite. Thus, $\bar{\alpha} = 1$, i.e., $\alpha \equiv 1 \pmod{\pi}$. Considering the neighbourhoods $k'^n k_{(i)}$ shows that $\alpha = 1$.

Let \hat{k} be the completion of k' under this topology. Proposition 1 shows that there is a monomorphism $k' \rightarrow \hat{k}$. We shall identify k' with its image in \hat{k} so that $k' \subset \hat{k}$. Artin (1) defined \hat{k} in the case when \bar{k} is finite: if that is so, then \hat{k} is compact and the local norm residue symbol can be extended to an isomorphism of \hat{k} onto the Galois group of $k^{\text{abel. clos.}}/k$; however, if \bar{k} is not finite, then \hat{k} is not compact and the local norm residue symbol can only be extended to a monomorphism into.

Let $\hat{\mathbf{Z}}$ denote the product over all primes p of the rings \mathbf{Z}_p of p -adic integers with p -adic topology on the \mathbf{Z}_p and product space topology on $\hat{\mathbf{Z}}$. There is an obvious injection $\mathbf{Z} \rightarrow \hat{\mathbf{Z}}$: namely, $n \in \mathbf{Z}$ goes into the element of $\hat{\mathbf{Z}}$ whose p -component is n at every prime p . We identify \mathbf{Z} with its image under this injection and consider $\mathbf{Z} \subset \hat{\mathbf{Z}}$. Then (1) the topology on $\hat{\mathbf{Z}}$ induces on \mathbf{Z} the topology defined by taking the subsets $\{m\mathbf{Z}\}$, $m \in \mathbf{Z}$, $m \neq 0$, as base for the open neighbourhoods of 0, and $\hat{\mathbf{Z}}$ is the completion of \mathbf{Z} under this topology. The natural definition of k' as \mathbf{Z} -module can be uniquely extended to a definition of \hat{k} as $\hat{\mathbf{Z}}$ -module.

Let k be a product formula field for a set of non-archimedean valuations $M(k)$ (i.e., a field of algebraic functions of one variable). Assume that the field of constants k_0 of k is good. Define the group \hat{J}_k of *extended k -idèles* by replacing the $k_{\mathfrak{p}}$ in the definition of idèles by the groups $\hat{k}_{\mathfrak{p}}$. That is, \hat{J}_k is the subgroup of $\prod_{\mathfrak{p} \in M(k)} \hat{k}_{\mathfrak{p}}$ consisting of the elements which are units at all but finitely many primes. (Unit in $\hat{k}_{\mathfrak{p}}$ = limit of units of $k_{\mathfrak{p}}$.) We do not consider J_k or \hat{J}_k as topological groups. Under natural identifications we consider $k' \subset J_k \subset \hat{J}_k$; since \hat{J}_k is a $\hat{\mathbf{Z}}$ -module, this defines an action of $\hat{\mathbf{Z}}$ on k' ; let \hat{k} denote the group of all α^n , $\alpha \in k'$, $n \in \hat{\mathbf{Z}}$; it is a $\hat{\mathbf{Z}}$ -module contained in \hat{J}_k . Define $\hat{C}_k = \hat{J}_k/\hat{k}$: it is a $\hat{\mathbf{Z}}$ -module and there is a natural homomorphism of C_k into \hat{C}_k .

PROPOSITION 2. *If k_0 is good, this homomorphism $C_k \rightarrow \hat{C}_k$ is a monomorphism; i.e., $J_k \cap \hat{k} = k'$.*

Proof. Suppose that $\mathfrak{a} = \alpha^m$ with $\mathfrak{a} \in J_k$, $\alpha \in k'$, $m \in \hat{\mathbf{Z}}$. Proposition 1 shows that \mathfrak{a} is uniquely determined by α and m . If $m \in \mathbf{Z}$, then $\mathfrak{a} \in k$, and the proof is complete; thus, assume that $m \notin \mathbf{Z}$. If $|\alpha|_{\mathfrak{p}} \neq 1$ for any $\mathfrak{p} \in M_k$ we easily see that an equation $\alpha_{\mathfrak{p}} = \alpha^m$ with $\alpha_{\mathfrak{p}} \in k_{\mathfrak{p}}$ is impossible; therefore,

$|\alpha|_{\mathfrak{p}} = 1$ for all \mathfrak{p} , i.e., α is in k_0 ; hence, α is a root of unity, and hence α^m is also in k_0 , and this completes the proof.

2. Fake degrees and fake norms. If k is any subfield of a field K , let $\text{deg } K/k$ mean the Steinitz number $\prod p^{\nu(p)}$ (product taken over all positive prime integers p with $\nu(p)$ a non-negative integer or ∞) which is the l.c.m. of the degrees of all finite algebraic extensions K' of k with $K' \subset k$. We shall use this notion only when K/k is algebraic or when k is complete under a non-archimedean valuation and K is the completion of an algebraic extension of k . In these cases one can show that $k \subset L \subset K$ implies

$$(1) \quad \text{deg } K/k = (\text{deg } L/k)(\text{deg } K/L).$$

Call a Steinitz number $\prod p^{\nu(p)}$ *quasi-finite* if $\nu(p) \neq \infty$ for every p . If k is any quasi-finite field and K/k algebraic, then K is quasi-finite if and only if $\text{deg } K/k$ is quasi-finite.

From now on, let R be the field of rational functions of one variable over a finite field of constants R_0 : one may take $R_0 = \mathbf{Z}/p$. Let F^* denote the set of all subfields k of some fixed $R^{\text{alg.clos.}}$ such that $R \subset k' \subset k$ with k'/R of finite degree and k/k' a constant field extension of quasi-finite degree. It is easy to see that F^* is closed under finite algebraic extension and quasi-finite constant field extension.

The field R is of course a product formula field for the set M_R of all primes (= equivalence classes of valuations) of R . If $k \in F^*$, then k is a product formula field for the set M_k of all its primes. Its field of constants k_0 is "good" in the sense of § 1. Every prime in M_R has only finitely many extensions to a $\mathfrak{p} \in M_k$: the ramification number of \mathfrak{p} in k/R will be finite but the residue class degree will be a quasi-finite Steinitz number, not finite unless $\text{deg } k/R$ is finite.

If $L, K \in F^*$, define $L \sim K$ to mean that $\text{deg } LK/K$ and $\text{deg } LK/L$ are finite. It is an equivalence relation.

PROPOSITION 3. *Let $L, K \in F^*$, let $\mathfrak{P} \in M_{LK}$, and let $K_{\mathfrak{P}}, L_{\mathfrak{P}}$, and $R_{\mathfrak{P}}$ be the completions of L, K , and R at \mathfrak{P} . Then*

$$\begin{aligned} L \sim K &\Leftrightarrow (\text{deg } K/R)/(\text{deg } (L/R)) \text{ is rational} \\ &\Leftrightarrow (\text{deg } K_{\mathfrak{P}}/R_{\mathfrak{P}})/(\text{deg } L_{\mathfrak{P}}/R_{\mathfrak{P}}) \text{ is rational} \\ &\Leftrightarrow L_{\mathfrak{P}} \sim K_{\mathfrak{P}}. \end{aligned}$$

Proof. These quotients of Steinitz numbers make sense since none of the exponents is ∞ . Of course, such a quotient is rational if and only if the exponents in numerator and denominator are equal at all but finitely many p .

If $L \sim K$, then $(\text{deg } K/R)/(\text{deg } L/R) = (\text{deg } LK/L)/(\text{deg } LK/K)$ by (1); thus, it is rational. Let $R \subset L' \subset L$ and $R \subset K' \subset K$ with $L'/R, K'/R$ finite and $L/L', K/K'$ constant extensions. If $(\text{deg } K/R)/\text{deg}(L/R)$ is rational, then $\text{deg}(KL'/K'L')/\text{deg}(K'L'/K'L')$ is rational; thus, $\text{deg } KL/KL'$ and $\text{deg } KL'/K'L'$ are finite since a constant extension is completely deter-

mined by its degree, therefore, $\text{deg } KL/K$ and $\text{deg } KL/L$ are finite. This proves the first “ \Leftrightarrow ” and the last “ \Leftrightarrow ” follows in the same way.

To prove the middle “ \Leftrightarrow ”, notice that the residue class field of K' is of finite degree over the field of constants of K' and if d is the g.c.d. of this degree and $\text{deg } K/K'$, then $\text{deg } K/K' = d \cdot \text{deg } K_{\mathfrak{P}}/K_{\mathfrak{P}'}$, where d is an ordinary integer; similarly for $\text{deg } L/L'$. Therefore, the middle “ \Leftrightarrow ” holds.

If $a \in \hat{\mathbf{Z}}$ and p is any prime, define $v(a, p)$ by $|a|_p = |p|_p^{v(a,p)}$, where $|a|_p$ is the p -adic value of the p -component of a ($v(a, p) = \infty$ if this p -component is 0). The function $h: a \rightarrow \prod p^{v(a,p)}$ is a homomorphism, under multiplication, of $\hat{\mathbf{Z}}$ onto the Steinitz numbers: its kernel is the group of units of $\hat{\mathbf{Z}}$, it maps the set of non-0-divisors of $\hat{\mathbf{Z}}$ onto the quasi-finite Steinitz numbers, and it reduces to the identity on the positive integers.

PROPOSITION 4. *Let S^* denote the set of quasi-finite Steinitz numbers, \mathbf{P} the positive integers. There exist functions $\phi: S^* \rightarrow \hat{\mathbf{Z}}$ such that*

- (4.1) $h \circ \phi = \text{identity on } S^*$;
- (4.2) $\phi(a) = a$ for $a \in \mathbf{P}$;
- (4.3) $a|b \Rightarrow \phi(a)|\phi(b)$ for $a, b \in S^*$;
- (4.4) *If a/b is rational, then $a/b = \phi(a)/\phi(b)$.*

Proof. Call two elements of S^* equivalent if their quotient is rational, choose representatives of the equivalence classes and define $\phi(r)$ so that $h\phi(r) = r$ for all representatives r ; then define $\phi(r\rho) = \rho\phi(r)$ if ρ is rational and $r\rho \in S^*$.

Remark 1. It is an interesting problem, unsolved so far by us, whether ϕ can be chosen to be a homomorphism $S^* \rightarrow \hat{\mathbf{Z}}$.

Choose a particular fixed ϕ satisfying Proposition 4 and for $k \in F^*$ define the fake degree $\partial(k/R)$ to be $\phi(\text{deg } k/R)$. If $k \subset K \in F^*$, define $\partial(K/k) = \partial(K/R)/\partial(k/R)$: this implies that $\partial(K/k) = \partial(L/k) \cdot \partial(K/L)$ whenever $k \subset L \subset K$, and $\partial(K/k)$ is the ordinary degree whenever this is finite. Similarly, for each prime spot \mathfrak{P} of K define fake local degree $\partial(K_{\mathfrak{P}}/k_{\mathfrak{P}})$ to be $\phi(\text{deg}(K_{\mathfrak{P}}/R_{\mathfrak{P}}))/\phi(\text{deg}(k_{\mathfrak{P}}/R_{\mathfrak{P}}))$.

PROPOSITION 5. *Let $k, K \in F^*$ with $k \subset K$; then for all $\mathfrak{p} \in M_k$,*

$$(2) \quad \partial(K/k) = \sum_{\mathfrak{P}|\mathfrak{p}} \partial(K_{\mathfrak{P}}/k_{\mathfrak{P}}),$$

where the sum is taken over all $\mathfrak{P} \in M_K$ which divide \mathfrak{p} .

Proof. Since \mathfrak{p} has only finitely many extensions to K we can find K' with K'/k finite and K/K' a constant extension such that each $\mathfrak{P}' \in M_{K'}$ which divides \mathfrak{p} has only one extension \mathfrak{P} to M_K ; then $\partial(K_{\mathfrak{P}}/K_{\mathfrak{P}'}) = \partial(K/K')$ for each $\mathfrak{P}|\mathfrak{p}$ and (2) holds for K/k since it holds for the finite extension K'/k .

Now we define fake norms. Let $k, K \in F^*$ with $k \subset K$ and let $\mathfrak{P} \in M_K$. To simplify printing we shall sometimes denote completions at \mathfrak{P} by k^* and K^* instead of $k_{\mathfrak{P}}$ and $K_{\mathfrak{P}}$. If A is any element of $K_{\mathfrak{P}}$ which is algebraic over $k_{\mathfrak{P}}$, then its fake local norm $N_{K/k, \mathfrak{P}} A$ is defined to be $(N_{K'/k^*} A)^{\partial(K^*/K')}$, where K'

is any finite algebraic extension of k^* containing A and contained in K^* and $N_{K'/k}A$ is the ordinary norm. This is independent of the choice of K' and defines $N_{K/k, \mathfrak{P}}$ on an everywhere dense subset of $\hat{K}_{\mathfrak{P}}$: extend it by continuity to a homomorphism $N_{K/k, \mathfrak{P}}: \hat{K}_{\mathfrak{P}} \rightarrow \hat{k}_{\mathfrak{P}}$.

PROPOSITION 6. *If $k \subset L \subset K \in F^*$ and $\mathfrak{P} \in M_K$, then*

$$N_{K/k, \mathfrak{P}} = N_{L/k, \mathfrak{P}} \circ N_{K/L, \mathfrak{P}}.$$

Proof. Let $L^* = L_{\mathfrak{P}}$. Suppose that A is in K^* and is algebraic over k^* . Let $f(x)$ be the monic irreducible polynomial with coefficients in L^* satisfied by A and let L' be the finite extension of k^* generated by the coefficients of $f(x)$. Then

$$\begin{aligned} N_{K/k, \mathfrak{P}}A &= (N_{L'(A)/k^*}A)^{\partial(K^*/L'(A))} \\ &= N_{L'/k^*}((N_{L^*(A)/L^*}A)^{\partial(K^*/L^*(A))})^{\partial(L^*/L')} \end{aligned}$$

since $N_{L^*(A)/L^*}A = N_{L'(A)/L^*}A = \pm f(0)$ and

$$\begin{aligned} \partial(K^*/L'(A)) &= \partial(K^*/L^*)\partial(L'(A)/L')^{-1}\partial(L^*/L') \\ &= \partial(K^*/L^*)\partial(L^*(A)/L^*)^{-1}\partial(L^*/L') = \partial(K^*/L^*(A))\partial(L^*/L'). \end{aligned}$$

Now define $N_{K/k}: \hat{J}_K \rightarrow \hat{J}_k$ as follows: the \mathfrak{p} -component of $N_{K/k} \mathfrak{A}$ shall be $\prod_{\mathfrak{P}|\mathfrak{p}} I_{\mathfrak{P}/\mathfrak{p}} N_{K/k, \mathfrak{P}} A_{\mathfrak{P}}$, where $A_{\mathfrak{P}}$ denotes the \mathfrak{P} -component of \mathfrak{A} and $I_{\mathfrak{P}/\mathfrak{p}}$ the canonical isomorphism $\hat{k}_{\mathfrak{P}} \rightarrow \hat{k}_{\mathfrak{p}}$. This is exactly like the usual definition of norm of an idèle and it defines a homomorphism, also called $N_{K/k}$, of \hat{C}_K into \hat{C}_k . Our fake norm satisfies the transitivity law by Proposition 6.

Remark 2. Our fake degrees and fake norms have the following disadvantage: if K/k is normal separable and $K \cap L = k$, then $\deg LK/L = \deg K/k$ and $N_{LK/L} = N_{K/k}$ need not hold for fake degree and norm, unless $\deg K/k$ is finite. If we could construct a ϕ which was a homomorphism (see Remark 1) we could remove this disadvantage.

3. Generalized reciprocity law. For $k \in F$ the usual norm residue function f_k can be uniquely extended by continuity to a \hat{Z} -homomorphism $\hat{f}_k: \hat{J}_k \rightarrow G(\hat{k}^{\text{abel. clos.}}/k)$. Let $k \in F^*$ and let K/k be abelian of finite degree n . We can find $k', K' \in F$ with $k' \subset k$, $\partial(k/k')$ prime to n , $K = K'k$, K'/k' finite abelian and $G(K/k) \cong G(K'/k')$ under restriction.

Let $\alpha \in \hat{J}_k$. We can find $\alpha_1 \in J_k$ such that $\alpha \in \hat{J}_k^n \alpha_1$. There is a finite $S \subset M_k$ such that K/k is unramified and α_1 is a local unit at all primes outside S . At each $\mathfrak{p} \in S$ the \mathfrak{p} -component of α_1 is congruent modulo the local conductor of K/k to a finite linear combination of powers of the local prime element times elements of local field of constants. Therefore, we can further assume that there is an $\alpha' \in J_{k'}$ with $\alpha \equiv C_{k/k'} \alpha' \pmod{N_{K/k} \hat{J}_K}$.

There is a unique $\sigma_K \in G(K/k)$ with $\sigma_K = \hat{f}_{k'}(N_{k'/k} C_{k/k'} \alpha')$ on K' . It is independent of the choice of k', K', S , and α' . Define $\hat{f}_k: \hat{J}_k \rightarrow G(\hat{k}^{\text{abel. clos.}}/k)$ by requiring that $\hat{f}_k(\alpha) = \sigma_K$ for all $\alpha \in \hat{J}_k$, all finite abelian K/k : this is possible in a unique way because of the compactness of the Galois group.

The function \hat{f}_k could have been defined in many other equivalent ways:

$$(3) \quad \hat{f}_k(\mathfrak{a}) = \hat{f}_{k'}(\mathfrak{a}'^{\partial(k'/k)}) = f_{k'}(\mathfrak{a}')^{\partial(k'/k)}$$

for \mathfrak{a}' , k' , K' as above. Also, \hat{f}_k equals the product of the extended local norm residue functions. Its definition involves one arbitrary choice, namely the function ϕ satisfying Proposition 4.

THEOREM 1. *The family $\{\hat{f}_k\}$, $k \in F^*$, has the following properties:*

- (a) $k \subset L \in F^* \Rightarrow \text{rst}_{k^{\text{abel. clos.}}} \circ \hat{f}_L = \hat{f}_k \circ N_{L/k}$ ("rst" denotes the restriction);
- (b) For $\sigma \in G(R^{\text{alg. clos.}}/R)$, $\sigma_G \circ \hat{f}_k = \hat{f}_{k\sigma} \circ \sigma$, where $\sigma_G(\rho) = \sigma\rho\sigma^{-1}$ for $\rho \in G(R^{\text{alg. clos.}}/R)$;
- (c) For K/k finite abelian, the kernel of $\text{rst}_K \circ \hat{f}_k$ is exactly $k'N_{K/k}\hat{J}_K$.

Proof. (a) and (b) follow by routine constructions like those used to prove Proposition 6. From (a), it follows that if K/k is finite abelian, then $k'N_{K/k}\hat{J}_K$ is contained in the kernel of $\text{rst}_K \circ \hat{f}_k$. Let \mathfrak{a} be contained in this kernel. Then for K' , k' , \mathfrak{a}' as above, we see that $\mathfrak{a} \equiv C_{k'/k}\mathfrak{a}' \pmod{N_{K/k}\hat{J}_K}$ and (3) yields $\hat{f}_k(\mathfrak{a}) = f_{k'}(\mathfrak{a}')^{\partial(k'/k)} = 1$ on K' with $\partial(k'/k)$ prime to degree K'/k' . Therefore, $f_{k'}(\mathfrak{a}') = 1$ on K' and by the ordinary reciprocity law, $\mathfrak{a}' = \alpha'N_{K'/k'}\mathfrak{B}'$ with $\mathfrak{B}' \in J_{K'}$. We easily see that $\mathfrak{a} \equiv \alpha'N_{K/k}C_{K'/k}\mathfrak{B}' \pmod{N_{K/k}\hat{J}_K}$, completing the proof of (c).

COROLLARY. *Let $k \in F^*$, let $F(k)$ be the family of finite extensions of k , and let $\{f_L\}$, $L \in F(k)$, be the restrictions to the ordinary idèle class groups C_L of the functions \hat{f}_L . Then the global reciprocity law over k holds for this family.*

REFERENCES

1. E. Artin, *Algebraic numbers and algebraic functions*. I, Mimeographed lecture notes, Princeton University, Princeton, N.J.; New York University, New York, 1951 (printed ed., Gordon and Breach, New York, 1967).
2. E. Artin and J. Tate, *Class field theory*, Lecture notes, Harvard University, Cambridge, Massachusetts, 1961 (W. A. Benjamin, New York, 1968).
3. Y. Kawada, *On the class field theory on algebraic number fields with infinite degree*, J. Math. Soc. Japan 3 (1951), 104–115.
4. ——— *Class formations*. IV (infinite extension of ground field), J. Math. Soc. Japan 9 (1957), 395–405.
5. M. Mori, *Ueber Klassenkörpertheorie für unendliche Erweiterungen von einem p-adischen Zahlkörper*, Proc. Japan Acad. 33 (1957), 376–379.
6. D. S. Rim and G. Whaples, *A remark on quasi-finite field*, Nagoya Math. J. 27 (1966), 323–329.
7. Tae Kun Seo, *A generalization of global class field theory*, Ph.D. Thesis, Indiana University, Bloomington, Indiana, 1965.
8. G. Whaples, *Lecture notes on class field theory*, Bowdoin College, Summer, 1966.

Indiana University,
 Bloomington, Indiana;
 University of Kentucky,
 Lexington, Kentucky;
 University of Massachusetts,
 Boston, Massachusetts