

**Lecture slide No.4 for Math 207c**  
**Structure of the universal ring when  $k = 1$ .**

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We fix a theta series  $f = \sum_{\mathfrak{a}} \varphi(\mathfrak{a}) q^{N(\mathfrak{a})}$  of **weight  $k = 1$**  of a real quadratic field  $F$ . Here  $\varphi$  is a character of order  $a$   $\varphi : Cl_F^+(\mathfrak{f}) \rightarrow \mu_a(\overline{\mathbb{Q}})$  with conductor  $\mathfrak{f}_\infty$ , where  $\infty : F \hookrightarrow \mathbb{R}$  is a fixed embedding. In Case  $U_+$  with  $\mathfrak{p}^s \nmid \mathfrak{f}$ , the universal deformation ring  $\mathbb{T}$  is bigger than  $\Lambda$ . We try to determine the algebra as explicitly as possible. In this case,  $\rho = \rho_f = \text{Ind}_F^{\mathbb{Q}} \varphi$  regarding  $\varphi$  as a Galois character by class field theory. Let  $\overline{\varphi} = \overline{\varphi}_{\mathfrak{p}} = (\varphi \bmod \mathfrak{p})$  for each prime  $\mathfrak{p}$  of  $\mathbb{Z}[\mu_a] = \mathbb{Z}[f]$ . If  $\mathfrak{p} \nmid a$ , the order of  $\overline{\varphi}_{\mathfrak{p}}$  is equal to  $a$  and  $F(\overline{\rho}) = F(\rho)$ . We write  $G = \text{Gal}(F^{(p)}(\rho)/\mathbb{Q})$  and put  $H = \text{Gal}(F^{(p)}(\rho)/F)$ . Pick  $\varsigma \in G$  inducing a non-trivial automorphism of  $F/\mathbb{Q}$ . Define  $\phi_{\varsigma}(g) = \phi(\varsigma^{-1}g\varsigma)$  for any character  $\phi : H \rightarrow A^\times$ . By irreducibility of  $\rho$ ,  $\varphi \neq \varphi_{\varsigma}$  (Mackey's theorem). **We write  $\varepsilon$  for the fundamental unit of  $F$ .**

**§4.1. Decomposition of  $Ad(\text{Ind}_F^{\mathbb{Q}} \phi)$ .** In the standard form of  $\varrho = \text{Ind}_F^{\mathbb{Q}} \phi$  in §3.6,  $\varrho(g)$  is either diagonal or anti-diagonal; so, the diagonal subalgebra  $\mathfrak{t} := \{\text{diag}[x, -x] | x \in A\} \subset Ad(\varrho) = \mathfrak{sl}_2(A)$  and the subspace  $\mathfrak{a}$  of anti-diagonal matrices in  $Ad(\varrho)$  is stable under  $G$ . Thus  $Ad(\varrho) = \mathfrak{t} \oplus \mathfrak{a}$  as an  $A[G]$ -module. Plainly  $G$  acts on  $\mathfrak{t}$  by  $\alpha := \left(\frac{F/\mathbb{Q}}{\cdot}\right)$ . Since  $Ad(\varrho)|_H$  acts on the upper nilpotent matrices  $\mathfrak{n}_+$  by  $\varphi^- := \varphi\varphi_\varsigma^{-1}$ , by Shapiro's lemma,  $\text{Hom}_{A[H]}(\varphi^-, Ad(\varrho)) = \text{Hom}_{A[G]}(\text{Ind}_F^{\mathbb{Q}} \varphi^-, Ad(\varrho))$ , we find  $\mathfrak{a} = \text{Ind}_F^{\mathbb{Q}} \phi^-$ . Note that  $\phi_\varsigma^- = (\phi^-)^{-1}$ ; so, unless  $\phi^-$  has order  $\leq 2$ ,  $\mathfrak{a}$  is irreducible. If  $\phi^-$  is quadratic,  $\phi^- = \phi_\varsigma^-$  extends to a character  $\tilde{\phi}^- : G \rightarrow A^\times$  and  $\text{Ind}_F^{\mathbb{Q}} \phi^- = \tilde{\phi}^- \oplus \alpha\tilde{\phi}^-$ . In summary,

$$Ad(\text{Ind}_F^{\mathbb{Q}} \phi) = \begin{cases} \alpha \oplus \text{Ind}_F^{\mathbb{Q}} \phi^- & \text{if } (\phi^-)^2 \neq 1, \\ \alpha \oplus \tilde{\phi}^- \oplus \alpha\tilde{\phi}^- & \text{if } (\phi^-)^2 = 1. \end{cases}$$

## §4.2. Action of $\sigma$ on $\text{Sel}(Ad(\rho))$ .

Let  $\pi : R^{ord} \rightarrow A$  with  $\rho_A = \pi \circ \rho^{ord}$ . Suppose we have  $\sigma_A \in \text{Aut}(A)$  such that  $\sigma_A \circ \pi = \pi \circ \sigma$ . Recall  $j(\rho^{ord} \cdot \alpha)j^{-1} = (\rho^{ord})^\sigma$  for  $j := \begin{pmatrix} -1 & 0 \\ 0 & 1 \end{pmatrix}$ . For each 1-cocycle  $u : G \rightarrow Ad(\rho_A)^*$ , we define  $u^{[\sigma]}(g) = ju(g)^{\sigma_A}j^{-1}$ . From  $u(gh) = Ad(\rho_A)(g)u(h) + u(g)$ , we find

$$\begin{aligned} u^{[\sigma]}(gh) &= j\rho_A^{\sigma_A}(g)jjju(h)^{\sigma_A}jj\rho_A(g^{-1})^{\sigma_A}j + ju(g)^{\sigma_A}j \\ &= Ad(j\rho_A^{\sigma_A}j)(g)u^{[\sigma]}(h) + u^{[\sigma]}(g) = Ad(\rho_A \cdot \chi)(g)u^{[\sigma]}(h) + u^{[\sigma]}(g) \\ &= Ad(\rho_A)(g)u^{[\sigma]}(h) + u^{[\sigma]}(g). \end{aligned}$$

Since the conjugation of  $j$  preserves the upper triangular  $p$ -decomposition subgroup and  $p$ -inertia subgroup of  $\text{Gal}(F(\rho^{ord})/\mathbb{Q})$ , in this way,  $\sigma$  acts on  $\text{Sel}(Ad(\rho_A))$ . In particular, if  $\sigma_A$  is trivial (i.e.,  $\rho_A = \text{Ind}_F^{\mathbb{Q}} \phi$ ),  $[\sigma]$  is just a conjugate action of  $j$ .

§4.3. **Decomposition theorem of  $\text{Sel}(Ad(\text{Ind}_F^{\mathbb{Q}} \phi))$ .**

Define, for  $\varrho_{\phi}^{-} := \text{Ind}_F^{\mathbb{Q}} \phi^{-}$  and  $M := F(\phi^{-})$ ,

$$\text{Sel}(\alpha_A) := \text{Hom}(Cl_F \otimes_{\mathbb{Z}} A, A^{\vee}) \cong (Cl_F \otimes_{\mathbb{Z}} A)^{\vee},$$

$$\text{Sel}(\varrho_{\phi}^{-}) := \text{Hom}(Cl_M(\wp^{\infty}) / \langle \wp^s \rangle \wp_{|\wp} \otimes_{\mathbb{Z}[H]} \phi^{-}, A^{\vee}).$$

**Theorem 4.3:** *We have  $\text{Sel}(Ad(\text{Ind}_F^{\mathbb{Q}} \phi)) \cong \text{Sel}(\alpha_A) \oplus \text{Sel}(\varrho_{\phi}^{-})$ .*

*Proof for the  $\alpha$ -factor:* Write  $\varrho := \text{Ind}_F^{\mathbb{Q}} \phi$ . Then  $H^1(G, Ad(\varrho))$  is isomorphic to

$$H^1(G, \alpha_A^*) \oplus H^1(G, (\varrho_{\phi}^{-})^*) = H^1(G, \alpha_A^*) \oplus H^1(H, (\phi^{-})^*).$$

The identity of the second factors is by Shapiro's lemma. Since  $\alpha_A$  is realized on the diagonal matrix, by the definition of  $\text{Sel}(Ad(\varrho))$ , it is unramified everywhere; so, it factors through  $Cl_F \otimes_{\mathbb{Z}} A$  over  $H$ . Since  $G/H$  has order 2, the restriction map to  $H$  is an isomorphism, and the result follows.  $\square$

§4.4. **Proof for the  $\text{Ind}_F^{\mathbb{Q}} \phi^-$ -factor.** Write  $\rho_A^- := \text{Ind}_F^{\mathbb{Q}} \phi^-$ . The Shapiro's isomorphism is realized by the restriction map

$$H^1(G, (\rho_A^-)^*) \xrightarrow[\sim]{\text{Res}} H^1(H, (\rho_A^-)^*)^G = (H^1(H, (\phi^-)^*) \oplus H^1(H, (\phi_\varsigma^-)^*))^G,$$

which is an isomorphism. In the last factor,  $G$  acts on cocycles  $u(g) \mapsto u_\varsigma(g) = \varsigma u(\varsigma^{-1}g\varsigma)$ ; so, interchanges the two factors. Therefore  $H^1(G, (\rho_A^-)^*) \cong H^1(H, (\phi^-)^*)$ . If  $U : G \rightarrow (\rho_A^-)^*$  is a Selmer cocycle, we have  $U(h) = \begin{pmatrix} 0 & u \\ u_\varsigma & 0 \end{pmatrix}$  for a cocycle  $u : H \rightarrow (\phi^-)^*$ . Note  $M = F(\text{Ad}(\rho_A)) = F(\phi^-)$ . By Selmer condition that  $U|_{D_{\wp^\varsigma}}$  is lower triangular, we have  $u|_{G_M}$  factors through  $Cl_M(\wp^\infty)/\langle \mathfrak{P}^\varsigma \rangle \mathfrak{p}|_{\wp}$ . Note that  $H^q(H/G_M, \phi^-) = 0$  as  $\phi^- \not\equiv 1 \pmod{\mathfrak{m}_A}$ . Since it is a  $\mathbb{Z}[H]$ -morphism into  $\phi^-$ , it actually factors through  $Cl_M(\wp^\infty)/\langle \mathfrak{P}^\varsigma \rangle \mathfrak{p}|_{\wp} \otimes_{\mathbb{Z}[H]} \phi^-$ . Reversing the argument, it is an isomorphism.  $\square$

## §4.5. $\pm$ -eigenspace of $\sigma$ in $\text{Sel}(\text{Ad}(\rho_A))$ .

**Lemma 4.5:** The involution  $\sigma$  acts on  $\text{Sel}(\text{Ind}_F^{\mathbb{Q}} \phi^-)$  (resp.  $\text{Sel}(\alpha_A)$ ) by  $-1$  (resp.  $+1$ ). Here  $\alpha_A$  is the character  $\alpha$  regarded to have values in  $A^\times$ .

*Proof:* In the decomposition of Theorem 4.3,  $\alpha_A$  is realized on the subspace  $\mathfrak{t}$  of diagonal matrices and  $\text{Ind}_F^{\mathbb{Q}} \phi^-$  is realized on anti-diagonal matrices  $\mathfrak{a} \subset \text{Ad}(\bar{\rho})$ . Since  $j$  acts by  $+1$  on  $\mathfrak{t}$  and  $-1$  on  $\mathfrak{a}$  and the action of  $\sigma$  on cocycle is conjugation by  $j$  as seen in §4.2, the action of  $\sigma$  on  $\text{Sel}(\alpha_A)$  is by  $+1$  and on  $\text{Sel}(\text{Ind}_F^{\mathbb{Q}} \phi^-)$  is by  $-1$ .  $\square$

§4.6. **Set-up.** Hereafter, we write  $M := F(\text{Ad}(\bar{\rho})) = F(\bar{\varphi}^-)$ .

Consider the following conditions:

(H0) the local character  $\bar{\varphi}^-|_{D_p}$  is non-trivial (irreducibility of  $\bar{\rho}$ ).

(H1)  $\bar{\rho}^s \nmid \mathfrak{f}$  (ordinarity in Case  $U_+$ ;  $C = N_{F/\mathbb{Q}}(\mathfrak{c})D$ ).

(H2) the  $p$ -quotient  $Cl_M \otimes_{\mathbb{Z}[H]} \bar{\varphi}^- = 0$  (this follows if the class number of  $M$  is prime to  $p$ ), and the local character  $\bar{\varphi}^-|_{\text{Gal}(\bar{\mathbb{Q}}_p/\mathbb{Q}_p)}$  is different from the reduction  $\bar{\omega}$  modulo  $p$  of the Teichmüller character  $\omega = \omega_p$  acting on  $\mu_p$ .

(H3)  $h_F = |Cl_F|$  is prime to  $p$  ( $Cl_M \otimes_{\mathbb{Z}[G]} \text{Ad}(\bar{\rho}) = 0 \Leftrightarrow (\text{H2-3})$ ).

Replacing  $\varphi$  by the Teichmüller lift of  $\bar{\varphi}$ , we assume the order of  $\varphi$  is prime to  $p$ .

In this real induced case, by J. Thorne, Taylor–Wiles condition is removed; so,  $R_{\mathfrak{p}}^{\text{ord}} \cong \mathbb{T}_{\mathfrak{p}}$  under (H0). We put  $\mathbb{T}_{\mathfrak{p}}^{\pm} = R_{\pm}^{\text{ord}}$ .

§4.7. **Presentation theorem again.** Assume (H0). Let  $r_+ := \dim_{\mathbb{F}} \text{Sel}(\bar{\alpha})$  for  $\bar{\alpha} = \alpha_{\mathbb{F}}$  and  $r_- = \text{Sel}(\text{Ind}_F^{\mathbb{Q}} \bar{\varphi})$ .

**Theorem 4.7:**  $\mathbb{T}_{\mathfrak{p}} \cong \Lambda[X_1^+, \dots, X_{r_+}^+, X_1^-, \dots, X_{r_-}^-] / (S_1, \dots, S_r)$   
*for  $r = r_+$  so that  $\sigma$  fixes the image of  $X_j^+$  in  $\mathbb{T}_{\mathfrak{p}}$  and acts by  $-1$  on the image in  $\mathbb{T}_{\mathfrak{p}}$  of  $X_j^-$ .*

*Proof:* Assuming  $r_+ = 0$  ( $\Leftrightarrow p \nmid h_F = |Cl_F|$ ) and  $r_- = 1$ , we now prove this fact. So  $\sigma$  acts on  $t_{\mathbb{T}/\mathbb{T}^+}^*$  by  $-1$ . We can choose a generator  $\Theta$  so that  $\sigma(\Theta) = -\Theta$ . Then  $x \mapsto \Theta x$  is a  $\Lambda$ -linear map of  $\mathbb{T} \cong \Lambda^e$ . Writing this map as a  $d \times d$  matrix form  $L$  and define  $D(X) = \det(X1_e - L)$ . Then  $\mathbb{T} = \Lambda[X]/D(X)$  and  $\mathbb{T}$  is a local complete intersection with  $2|e$  as  $\sigma$  acts non-trivially on  $\mathbb{T}/\Lambda$ .  $\square$

The principal ideal  $(\Theta)$  is the relative different  $\mathbb{T}(\sigma-1)T$  of  $\mathbb{T}/\mathbb{T}^+$ .



**§4.8. Structure theorem.** Assume (H0–3). Write  $A = \mathbb{T}_p$  or  $\mathbb{T}_p^+$ . Let  $e = \text{rank}_\Lambda \mathbb{T}$ . Then the following four assertions hold:

(1) If  $\langle \varepsilon \rangle - 1$  is a prime in  $\Lambda$ , then the ring  $A$  is isomorphic to a power series ring  $W[[x]]$  of one variable over  $W$ ; hence,  $A$  is a regular local domain and is factorial;

(2) The ring  $A$  is an integral domain fully ramified at  $(\langle \varepsilon \rangle - 1)$ ;

(3) If  $p$  is prime to  $e = \text{rank}_\Lambda A$ , the ramification locus of  $A/\Lambda$  is given by  $\text{Spec}(\Lambda_\varepsilon)$  for  $\Lambda_\varepsilon := \Lambda/(\langle \varepsilon \rangle - 1)$ , the different for  $A/\Lambda$  is principal and generated by  $\Theta^{e-1}$  and  $A$  is a normal integral domain of dimension 2 unramified outside  $(\langle \varepsilon \rangle - 1)$  over  $\Lambda$ ;

(4) If  $p|e$ ,  $\mathbb{T} \otimes_{\mathbb{Z}} \mathbb{Q}$  is a Dedekind domain unramified outside  $(\langle \varepsilon \rangle - 1)$  over  $\Lambda \otimes_{\mathbb{Z}} \mathbb{Q}$ , and the relative different for  $\mathbb{T} \otimes_{\mathbb{Z}} \mathbb{Q} / \Lambda \otimes_{\mathbb{Z}} \mathbb{Q}$  is principal and generated by  $\Theta^{e-1}$ ;

(5) If  $e = 2$ ,  $\mathbb{T}^+ = \Lambda$  and  $\mathbb{T} = \Lambda[\sqrt{1 - \langle \varepsilon \rangle}]$ .

**Conjecture:**  $e = 2$  under (H0–3)?

**§4.9. Wall–Sun–Sun primes.** If  $\langle \varepsilon \rangle - 1$  is not a prime ( $\Leftrightarrow \varepsilon^{p-1} \equiv 1 \pmod{\wp^2}$ ), by the existence of ambiguous classes,  $\mathbb{T}$  **cannot be factorial**. Perhaps there is no example known of a prime  $p \geq 5$  split in  $F = \mathbb{Q}[\sqrt{5}]$  such that  $\langle \varepsilon \rangle - 1$  is not a prime in  $\mathbb{Z}_p[[T]]$ . Consider  $F = \mathbb{Q}[\sqrt{d}]$  with square-free  $0 < d \in \mathbb{Z}$  and describe how to decide if  $\wp^2 \mid \varepsilon^{k-1} - 1$ . Since  $p > 2$ ,  $\wp^2 \mid (\varepsilon^{p-1} - 1) \Leftrightarrow \wp^2 \mid (\varepsilon^{2(p-1)} - 1)$ . On the other hand,  $\varepsilon^{2(p-1)} - 1 = \varepsilon^{2(p-1)} - \varepsilon^{p-1} \varepsilon^{\varsigma(p-1)} = \varepsilon^{p-1}(\varepsilon^{p-1} - \varepsilon^{\varsigma(p-1)})$ . Define  $\alpha \in \mathbb{Z}$  so that  $\varepsilon^2 - \alpha\varepsilon \pm 1 = 0$ . Consider the corresponding Fibonacci type recurrence relation  $f_n = \alpha f_{n-1} \mp f_{n-2}$ . For the solution  $f_n$  with initial values  $f_0 = 0$  and  $f_1 = 1$ , we have  $f_n = \frac{\varepsilon^n - \varepsilon^{n\varsigma}}{\varepsilon - \varepsilon^\varsigma}$ . Thus we have  $\frac{\varepsilon^{p-1} - \varepsilon^{\varsigma(p-1)}}{\sqrt{d}} = f_{p-1}C$  for  $C = \frac{\varepsilon - \varepsilon^\varsigma}{\sqrt{d}}$ . If  $d = 5$ , we have  $C = 1$ .

$\langle \varepsilon \rangle - 1$  is not a prime in  $\Lambda \Leftrightarrow p^2 \mid f_{p-1}C$ . (Wall–Sun–Sun primes)  
 For  $F = \mathbb{Q}[\sqrt{1}]$ ,  $p = 191, 643$  are such primes. **It is conjectured infinity?** of Wall-Sun-Sun primes (perhaps density 0).

**§4.10. Proof of (1).** Put  $\mathcal{J} = \Theta\mathbb{T}$  and  $\mathcal{J}^0 = \mathbb{T}$ . For all  $0 \neq u \in \mathbb{T}$ ,  $[u] : x \mapsto ux$  induces the linear endomorphism  $\text{gr}(u)$  of the corresponding graded algebra  $\text{gr}_{\mathcal{J}}(\mathbb{T}) := \bigoplus_{n=0}^{\infty} \mathcal{J}^n / \mathcal{J}^{n+1}$  (with  $\mathcal{J}^0 = \mathbb{T}$ ). Then  $[u]$  is injective if  $\text{gr}(u)$  is injective [BCM, III.2.8, Corollary 1]. We have  $\text{gr}_{\mathcal{J}}(\mathbb{T}) \cong \Lambda_{\varepsilon}[x]$  for the polynomial ring  $\Lambda_{\varepsilon}[x]$  where the variable  $x$  corresponds to the image  $\overline{\Theta}$  of  $\Theta$  in the first graded piece  $\mathcal{J}/\mathcal{J}^2$ . Take  $n$  so that  $u \in \mathcal{J}^n$  but  $u \notin \mathcal{J}^{n+1}$ . Then  $\text{gr}(u) : \text{gr}_{\mathcal{J}}(\mathbb{T}) \rightarrow \text{gr}_{\mathcal{J}}(\mathbb{T})$  is multiplication by a polynomial of degree  $n$ . Assume that  $\langle \varepsilon \rangle - 1$  is a prime; so,  $(\langle \varepsilon \rangle - 1) = (T)$  in  $\Lambda$  and  $\Lambda_{\varepsilon} = W$ . Then  $\text{gr}_{\mathcal{J}}(\mathbb{T})$  is an integral domain isomorphic to the polynomial ring  $W[x]$ ; so, if  $u \neq 0$ ,  $\text{gr}(u)$  is injective, and hence,  $[u]$  is injective; so,  $u$  is not a zero divisor. We conclude that  $\mathbb{T}$  is an integral domain and  $\mathbb{T} = \varprojlim_n \mathbb{T}/\mathcal{J}^n \cong W[[x]]$  by sending  $\Theta$  to  $x$ . A power series ring over a discrete valuation ring is a unique factorization domain and is regular; so, we get the assertion (1).

§4.11. **Proof of (2–4).**  $(D(0)) = (\langle \varepsilon \rangle - 1)$  follows from

$$\Lambda / (\langle \varepsilon \rangle - 1) \cong \mathbb{T} / (\Theta) = \Lambda[[X]] / (X, D) = \Lambda / (D(0)) \quad (\S 3.27),$$

Thus  $(D(0))$  is square-free. Let  $P | (\langle \varepsilon \rangle - 1)$  be a prime factor; so, the localization  $\Lambda_P$  and its completion  $\hat{\Lambda}_P = \varprojlim_n \Lambda_P / P^n \Lambda_P$  are discrete valuation rings. Then  $\hat{\mathbb{T}}_P = \mathbb{T} \otimes_{\Lambda} \hat{\Lambda}_P = \hat{\Lambda}_P[[X]] / (D(X))$ , and by Weierstrass preparation theorem  $D(X) = D_P(X)U_P(X)$  for a distinguished polynomial  $D_P(X) \in \hat{\Lambda}_P[X]$  with respect to  $P$  and a unit  $U_P(X) \in \hat{\Lambda}_P[[X]]$ . Since  $\deg(D_P(X)) = \text{rank}_{\hat{\Lambda}_P} \hat{\mathbb{T}}_P = \text{rank}_{\Lambda} \mathbb{T} = \deg(D(X))$ , we have  $D(X) = D_P(X)$ ; so,  $D(X)$  is an Eisenstein polynomial. Then  $\hat{\mathbb{T}}_P$  (resp.  $\mathbb{T}_P$ ) is a discrete valuation rings fully ramified over  $\hat{\Lambda}_P$  (resp.  $\Lambda_P$ ). Since  $\mathbb{T} \hookrightarrow \mathbb{T}_P$ ,  $\mathbb{T}$  is an integral domain. Writing  $D(X) = X^e + a_1 X^{e-1} + \cdots + a_0$ , we have  $(a_0) = (\langle \varepsilon \rangle - 1)$  and  $(\langle \varepsilon \rangle - 1) | a_i$ . Thus for  $D'(X) = \frac{dD}{dX} = eX^{e-1} + \cdots + a_1$ , we find  $D'(\Theta)\mathbb{T} = \Theta^{e-1}\mathbb{T}$ , and for the relative different  $\mathfrak{d} = (D'(\Theta))$  we have  $e\Theta^{e-1}\mathbb{T} \subset \mathfrak{d} \subset \Theta^{e-1}\mathbb{T}$ , which shows (3–4). The proof of (5) is an exercise.

## §4.12. Local indecomposability conjecture.

**Conjecture G (R. Greenberg):** For a  $p$ -ordinary Hecke eigenform  $f$  of weight  $k \geq 2$ , if  $f$  has no CM (not induced from a quadratic field), then  $\rho_{f,p}|_{I_p}$  is indecomposable.

For a cusp form  $f = \sum_{n=1}^{\infty} a_n q^n \in S_k(N, \psi)_W$ , we define  $\theta := q \frac{d}{dq}$  as a differential operator on  $W[[q]]$ . It is well known that  $\theta^m f$  is a  $p$ -adic limit of classical cusp forms (why?). Assume  $p \nmid N$ . If  $f$  is a  $p$ -ordinary Hecke eigenform with  $f|T(n) = \lambda(T(n))f$ , then we can distinguish two roots  $\alpha, \beta$  of  $X^2 - \lambda(T(p))X + \chi(p) = 0$  so that  $|\alpha|_p = 1$  and  $|\beta|_p = p^{1-k}$  (i.e.,  $p^{k-1} \parallel \beta$ ). We have two  $p$ -stabilizations  $f^{ord}|U(p) = \alpha f^{ord}$  and  $f^{crit}|U(p) = \beta f^{crit}$ .

**Conjecture C (R. Coleman):**  $f^{crit} = \theta^{k-1}g$  for a  $p$ -adic limit  $g \in W[[q]]$  of cusp forms if and only if  $f$  has CM.

It is known that  $G \Leftrightarrow C$  by Breuil–Emerton (Asterisque, (331):255–315, 2010). Try prove “ $\Leftarrow$ ” of Conjecture C.

**§4.13. A theorem of Iwasawa.** Let  $k = M_\varphi$  with  $\overline{D} = \text{Gal}(k/\mathbb{Q}_p)$ ,  $k_\infty/k$  be the unramified  $\mathbb{Z}_p$ -extension and  $F_\infty/k$  be the cyclotomic  $\mathbb{Z}_p$ -extension  $\subset k_\infty[\mu_{p^\infty}]$  with  $\Gamma := \text{Gal}(F_\infty/k) = \gamma^{\mathbb{Z}_p}$ . Let  $\mathcal{L}$  be the maximal abelian  $p$ -extension of  $\mathcal{F}_\infty := F_\infty k_\infty$ . Set  $\mathcal{X} := \text{Gal}(\mathcal{L}/\mathcal{F}_\infty)$  and  $\Upsilon := \text{Gal}(k_\infty F_\infty/F_\infty) = v^{\mathbb{Z}_p}$ . Take  $\tilde{\gamma} \in \text{Gal}(\mathcal{L}/k)$  with  $\tilde{\gamma}|_{F_\infty} = \gamma$ . The commutator  $\tau := [v, \tilde{\gamma}]$  acts on  $\mathcal{X}$  by conjugation, and  $(\tau - 1)x := [\tau, x] = \tau x \tau^{-1} x^{-1}$  for  $x \in \mathcal{X}$  is independent of the choice of  $\tilde{\gamma}$  and  $v$ . Define  $L \subset \mathcal{L}$  by the fixed field of  $(\tau - 1)\mathcal{X}$ . Let  $X = \text{Gal}(L/\mathcal{F}_\infty) = \mathcal{X}/(\tau - 1)\mathcal{X}$ . Note  $p \nmid [k : \mathbb{Q}_p]$ .

**Theorem 4.13;** For the character  $\eta : \text{Gal}(k/\mathbb{Q}_p) \rightarrow \mathbb{Z}_p[\eta]^\times$ ,  $X[\eta] = X \otimes_{\mathbb{Z}_p[\overline{D}]} \eta$  is a cyclic  $\mathbb{Z}_p[\eta][[\Gamma \times \Upsilon]]$ -module, where  $\overline{D}$  acts on  $\mathbb{Z}_p[\eta]$  by  $\eta$ .

This is essentially a theorem of Iwasawa; see, Proposition A.4.1 in a paper posted in Hida's web page ([CWE]: Appendix to a joint work with Castella and Wang-Erickson).

**§4.14. Some notation.** Pick  $\phi_0 \in D_\wp$  so that  $\bar{\rho}(\phi_0) = \begin{pmatrix} \bar{a} & 0 \\ 0 & \bar{b} \end{pmatrix}$  with  $\bar{a} \neq \bar{b}$ . Define  $\phi = \lim_{n \rightarrow \infty} \phi_0^{q^n}$  ( $q = |\mathbb{F}|$ ). We can normalize  $\rho_{\mathbb{T}}$  so that  $j(\rho_{\mathbb{T}} \cdot \chi)j^{-1} = \rho_{\mathbb{T}}^\sigma$  (an exercise [CWE, A.3.1]),  $\rho_H := \rho_{\mathbb{T}}|_H$  has values in  $E := \begin{pmatrix} \mathbb{T}^+ & \mathbb{T}^- \\ \mathbb{T}^- & \mathbb{T}^+ \end{pmatrix}$ , which is a  $\mathbb{T}^+$ -subalgebra of  $M_2(\mathbb{T})$ . Here  $\rho_{\mathbb{T}}(\phi)$  is diagonal and by conjugation, it acts on upper (resp. lower) nilpotent part of  $E$  by  $ab^{-1}$  (resp.  $a^{-1}b$ ). Let  $I = \bar{I}_\wp$  (resp.  $D = \bar{D}_\wp$ ) be the wild  $\wp$ -inertia (resp.  $\wp$ -decomposition) subgroup of  $\text{Gal}(F(\rho_{\mathbb{T}})/F(\bar{\rho}))$  for  $\wp$ .

Note  $\kappa([p, \mathbb{Q}_p]) = \det(\rho_{\mathbb{T}}([p, \mathbb{Q}_p])) = 1$  since  $\kappa(g) = t^{\log_p \nu_p(g) / \log_p(\gamma)}$ . Regard  $v := [p, \mathbb{Q}_p]^f \in D$  for the residual degree  $f$  of  $\mathfrak{P} = \wp \cap K(\bar{\rho})$ , and recall  $\varphi' := \rho_{\mathbb{T}}([p, \mathbb{Q}_p]^f) = \begin{pmatrix} u^{-f} & * \\ 0 & u^f \end{pmatrix}$  with  $u^f \in \mathbb{T}_+$ . Let  $W_1$  be the subalgebra of  $\bar{\mathbb{Q}}_p$  generated by the values of  $\varphi$  over  $D_\wp$ . Put  $\Lambda_0 := \mathbb{Z}_p[[T]] \subset \Lambda_1 := W_1[[T, a]] \subset \mathbb{T}$  for  $a = u^{2f} - 1 \in \mathfrak{m}_{\Lambda_1}$ , which is the image of  $W_1[[\Gamma \times \Upsilon]]$  for  $k = M_\wp$ . Note  $\Upsilon = v^{\mathbb{Z}_p}$ .

## §4.15. Inertia theorem:

Suppose (H0) and minimality of  $\mathbb{T}$ . Then,

(1) *after choosing  $I$  suitably in its conjugacy class, we have an exact sequence  $\mathcal{U} \hookrightarrow I \twoheadrightarrow t^{\mathbb{Z}_p}$  with  $\rho_{\mathbb{T}}(\mathcal{U})$  made of unipotent matrices,*

(2) *there exists a non-zero divisor  $\theta \in \mathbb{T}^-$  satisfying  $\theta^\sigma = -\theta$  and  $\mathcal{U} = \Lambda_1 \theta$ ; in other words, we have  $\rho_{\mathbb{T}}(I) = \left\{ \begin{pmatrix} a & b \\ 0 & 1 \end{pmatrix} \mid a \in t^{\mathbb{Z}_p}, b \in \theta \Lambda_1 \right\}$ .*

We are going to show  $\theta \doteq \Theta$  for  $\Theta$  in §4.7 after proving this theorem.



**§4.16. Proof of (1):** From the definition of  $\Lambda$ -algebra structure of  $\mathbb{T}$  and  $p$ -ordinarity, we know  $\rho_{\mathbb{T}}(I) \subset M(\mathbb{T}) \cap E$  for the mirabolic subgroup  $M(\mathbb{T}) := \left\{ \begin{pmatrix} a & b \\ 0 & 1 \end{pmatrix} \mid a \in \mathbb{T}^\times, b \in \mathbb{T} \right\}$ . Since  $\text{Gal}(\mathbb{Q}_p^{ab}/\mathbb{Q}_p) = [p, \mathbb{Q}_p]^{\widehat{\mathbb{Z}}} \rtimes \mathbb{Z}_p^\times$  for the maximal abelian extension  $\mathbb{Q}^{ab}/\mathbb{Q}$  and the local Artin symbol  $[p, \mathbb{Q}_p]$ , we find

$$\rho_{\mathbb{T}}(I) \subset \left\{ \begin{pmatrix} a & b \\ 0 & 1 \end{pmatrix} \mid a \in t^{\mathbb{Z}_p}, b \in \mathbb{T}_- \right\},$$

and  $\det(\rho_{\mathbb{T}}(I)) = \mathcal{T} := t^{\mathbb{Z}_p} \subset \Lambda^\times$ . Thus we have an extension  $1 \rightarrow \mathcal{U} \rightarrow \rho_{\mathbb{T}}(I) \rightarrow \mathcal{T} \rightarrow 1$ . Recall  $\phi_0 \in D_{\wp}$  with  $\bar{\rho}(\phi_0) = \begin{pmatrix} \bar{a} & 0 \\ 0 & \bar{b} \end{pmatrix}$  ( $\bar{a} \neq \bar{b}$ ) and  $\phi = \lim_{n \rightarrow \infty} \phi_0^{q^n}$  inside  $\text{Gal}(F(\rho_{\mathbb{T}})/F)$ . This extension is split by the conjugation action of  $\phi_0$  with  $\mathcal{U}$  characterized to be an eigenspace on which  $\phi_0$  acts by  $ab^{-1}$  for the Teichmüller lift  $a, b$  of  $\bar{a}, \bar{b}$ ; so, we may assume to have a section  $s : \mathcal{T} \hookrightarrow \rho_{\mathbb{T}}(I)$  identifying  $\mathcal{T}$  with  $\left\{ \begin{pmatrix} a & 0 \\ 0 & 1 \end{pmatrix} \mid a \in t^{\mathbb{Z}_p} \right\}$ . Thus  $\mathcal{U}$  is made of unipotent matrices. Here we used the assumption (H0).  $\square$

### §4.17. Known facts: non-triviality of $\mathcal{U}$ .

Since  $\Lambda \hookrightarrow \mathbb{T}$ ,  $\Gamma \subset \mathbb{T}^\times$ . Two known facts:

(a) For a  $W$ -algebra homomorphism  $\lambda : \mathbb{T} \rightarrow \overline{\mathbb{Q}}_p$ , if  $\lambda|_\Gamma : \Gamma \rightarrow \overline{\mathbb{Q}}_p^\times$  coincides with  $\nu_p$  up to a finite order character  $\epsilon$ ,  $f := \sum_{n=1}^{\infty} \lambda(T(n))q^n$  is a weight 2 cusp form in  $S_2(Cp^r, \psi_2\epsilon)$  [LFE, §7.3];

(b) The Galois representation  $\rho_{\lambda,p} = \rho_{f,p}$  is locally indecomposable (Bin Zhao, Ann. L'inst. Fourier **64** (2014), 1521–1560).

By (b) and  $\bigcap_\lambda \text{Ker}(\lambda) = 0$ ,  $\mathcal{U}$  contains non-zero divisor of  $\mathbb{T}^-$ . Thus it is “highly” non-zero.

**§4.18. Proof of (2):** We have  $\mathcal{U} \subset \mathbb{T}_-$  and regard  $\varphi^-$  as an abelian irreducible  $\mathbb{Z}_p$ -representation acting on  $W$  regarded as a  $\mathbb{Z}_p$ -module.

Apply Iwasawa's theorem to the splitting field  $k$  of  $\varphi^-|_{D_p}$  under the notation in §4.13. Then the Galois group  $X'[\varphi^-]$  is cyclic over  $W_1[[\Gamma \times \Upsilon]]$  ( $\Gamma = \gamma^{\mathbb{Z}_p} \cong t^{\mathbb{Z}_p}$ ) and surjects onto  $\mathcal{U}$ . Since the action of  $W_1[[\Gamma \times \Upsilon]]$  factors through  $\Lambda_1$ ,  $\mathcal{U}$  is **cyclic** over  $\Lambda_1$ ; so, we have  $\mathcal{U} \cong \Lambda_1$ . Thus we conclude  $\rho_H(I_1) = \mathcal{U} = \left\{ \begin{pmatrix} 1 & a \\ 0 & 1 \end{pmatrix} \mid a \in \theta\Lambda_1 \right\}$  inside  $\rho_H(H)$  (for a suitable choice of  $\theta \in \mathbb{T}_-$ ).

By the facts in §4.17,  $\theta$  is a **non-zero divisor**. □

By (H2),  $\mathbb{T}_- = \Theta\mathbb{T}^+$ . Since  $\theta \in \mathbb{T}^-$ , we can write  $\theta = u\Theta$  ( $u \in \mathbb{T}$ ).

**§4.19. Theorem:**  $\Theta/\theta$  is a unit under (H0–2).

*Proof:* We have an exact sequence  $\mathfrak{d} \hookrightarrow \mathbb{T} \twoheadrightarrow W[C_p]$  in §3.27. Taking  $\sigma$ -invariant subspace (indicated superscript “+”),  $\mathbb{T}^+/\mathfrak{d}^+ \cong W[C_p]$ . Recall the universal character  $\Phi : \text{Gal}(H_p/F) \rightarrow W[C_p] = \mathbb{T}^+/\mathfrak{d}^+$ . Write  $\rho_H = \begin{pmatrix} A & B \\ C & D \end{pmatrix}$  and put  $a = A \bmod \mathfrak{d}^+ = \Phi$ ,  $d = D \bmod \mathfrak{d}^+ = \Phi_\varsigma$ ,  $b = B \bmod \mathfrak{d}^+ : H \rightarrow \mathbb{T}^-/\mathfrak{d}^+\mathbb{T}^-$  and  $c = C \bmod \mathfrak{d}^+ : H \rightarrow \mathbb{T}^-/\mathfrak{d}^+\mathbb{T}^-$ . If  $b$  has image in  $\mathfrak{m}_{\mathbb{T}^+}(\mathbb{T}^-/\mathfrak{d}^+\mathbb{T}^-)$ , by  $c(g) = \varphi(\varsigma^2)b(\varsigma^{-1}g\varsigma)$ ,  $c$  has also. This implies  $\rho_H \bmod \mathfrak{m}_{\mathbb{T}^+}\mathfrak{d}^+$  is diagonal; so,  $\rho_H^\sigma = j\rho_H j^{-1}$  which implies  $\rho_{\mathbb{T}}^\sigma \bmod \mathfrak{m}_{\mathbb{T}}\mathfrak{d} \cong \rho_{\mathbb{T}} \otimes \chi$ , a contradiction as  $\mathfrak{d}$  is the maximal ideal for which the identity holds. Thus  $b$  is onto. Replacing  $\rho_H$  by  $\rho' := \xi^{-1}\rho_H\xi$  for  $\xi := \begin{pmatrix} \Theta & 0 \\ 0 & 1 \end{pmatrix}$ ,  $\rho'$  has values in  $\text{GL}_2(\mathbb{T}^+)$  and  $\rho' \bmod \mathfrak{m}_{\mathbb{T}^+} = \begin{pmatrix} \bar{\varphi} & \bar{b} \\ 0 & \bar{\varphi}_\varsigma \end{pmatrix}$  with  $\bar{b} = b/\Theta \bmod \mathfrak{m}_{\mathbb{T}^+} \neq 0$ . If  $u$  is a non-unit,  $b$  is unramified at  $\wp$  (which is unramified also at  $\wp^\varsigma$ ); so, everywhere unramified over  $F(\bar{\varphi}^-)$ , contradicting  $Cl_{F(\bar{\varphi}^-)} \otimes_{\mathbb{Z}[H]} \bar{\varphi}^- = 0$ .  $\square$

## §4.20. Local indecomposability.

**Corollary 4.20:** If  $f$  is a Hecke eigenform belonging to  $\mathbb{T}$  of weight  $k \geq 2$ ,  $\rho_{f,p}$  is indecomposable over  $I_p$  under (H0-2).

This follows from the fact that  $(\Theta)$  is exactly over  $(\langle \varepsilon \rangle - 1)$ , and hence for any height 1 prime  $P$  outside  $(\langle \varepsilon \rangle - 1)$ ,  $\Theta \pmod{P} \neq 0$ , and hence  $\theta \pmod{P} \neq 0$  by Theorem 4.19.

For the companion form case, the exceptional Artin representations and induced representations in Cases U<sub>-</sub> and D,  $p$ -local indecomposability question is still open.

### §4.21. Concluding remarks.

- Actually we can prove  $\Lambda[\theta] \subset \mathbb{T}$  is an integral domain fully ramified over  $(\langle \varepsilon \rangle - 1)$  similar to the structure theorem in §4.8 under (H0–1).
- Indecomposability as in Corollary 4.20 also holds under (H0–1) when  $F$  is real. Without assuming (H2),  $\mathbb{T}^-$  is generated more than one element over  $\mathbb{T}_+$ ; so, no single  $\Theta$ . Obviously, the key point is to show  $(\theta) \cap \Lambda = (\langle \varepsilon \rangle - 1)$ .
- When  $F$  is an imaginary quadratic field, in Case  $U_+$  in the imaginary version, under (H0–2), local indecomposability holds for  $\rho_{f,p}$  as long as  $f$  does not have CM (this is the main result of [CWE]).
- The inertia theorem is always true unless all  $f$  belonging to  $\mathbb{T}$  have CM, though  $\theta$  could be a zero-divisor if  $\bar{\rho}$  is induced from an imaginary quadratic field.