

The class number formula

Theorem

Let $K/\mathbb{Q}$ a #-field, $[K:\mathbb{Q}] = d = r_1 + 2r_2$. Then

$$\left| \{ \mathfrak{a} \triangleleft \mathcal{O}_K : \text{Nr}(\mathfrak{a}) \leq X \} \right| = C_K h(K) \text{reg}(K) X + \mathcal{O}_K(X^{1-\frac{1}{d}})$$

We have seen last time that

$$\left| \{ \mathfrak{a} \triangleleft \mathcal{O}_K : \text{Nr}(\mathfrak{a}) \leq X \} \right| = \sum_{[\mathfrak{a}] = g \in \mathcal{C}(K)} \underbrace{\left| \{ a \in \mathfrak{a} - \{0\} : |\text{Nr}(a)| \leq X \text{Nr}(\mathfrak{a}) \} \right|}_{\substack{\cong \# \text{ of lattice points} \\ \text{in a (non-convex) domain} \\ \leadsto \text{counting problem.}}} / |\mathcal{O}_K^\times|$$

$\uparrow$
 sum of size $h(K)$

Some notation:

Recall that $K_\infty = \mathbb{R}^{r_1} \oplus \mathbb{C}^{r_2} \cong K \otimes_{\mathbb{Q}} \mathbb{R}$. Then $K_\infty^\times = \{(x_1, \dots, x_{r_1}, z_1, \dots, z_{r_2}) : x_1 \cdots x_{r_1} z_1 \cdots z_{r_2} \neq 0\}$.

Moreover, $\mathcal{O}_K^\times \curvearrowright K_\infty^\times$ by $z \cdot v := (G_1(z)x_1, \dots, G_{r_1}(z)x_{r_1}, G_{r_1+1}(z)z_1, \dots, G_{r_1+r_2}(z)z_{r_2})$

Definition:

Let $Nr: K_\infty^\times \rightarrow \mathbb{R}_{>0}$, $Nr(v) = \prod_{i=1}^{r_1+r_2} |v_i|^{d_i}$

Then • $Nr(G_\infty(z)) = |Nr_{K/\mathbb{Q}}(z)|$ for all $z \in K$.

• Nr is $\mathcal{O}_K^\times$ -invariant: $Nr(G_\infty(z)v) = Nr(v)$

• Homogeneous of degree $d = [K:\mathbb{Q}]$ (for $\lambda \in \mathbb{R}_{>0}$)

• $K_{\infty, X}^\times := \{v \in K_\infty^\times : Nr(v) = X\} = X^{\frac{1}{d}} K_{\infty, 1}^\times$ and

$$K_{\infty, \leq X}^\times := \bigcup_{0 < x' \leq X} K_{\infty, x'}^\times = X^{\frac{1}{d}} K_{\infty, \leq 1}^\times.$$

Recall: We want to determine

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$$\left| \underbrace{\{a \in \underline{a} - \{0\} : |N_{r_K/\mathbb{Q}}(a)| \leq X N_r(\underline{a})\}}_{\underline{a}_X} / \mathcal{O}_K^\times \right| \quad (\underline{a} \in \mathcal{I}).$$

Note that

$$\begin{aligned} \underline{a}_X &\longleftrightarrow \{v \in \mathcal{O}_\infty(\underline{a}) - \{0\} : N_r(v) \leq X N_r(\underline{a})\} \\ &= \mathcal{O}_\infty(\underline{a}) \cap (X N_r(\underline{a}))^{\frac{1}{d}} K_{\infty, \leq 1}^\times. \end{aligned}$$

The cardinality of the latter can be obtained by the Lipschitz principle; cf. last lecture.

By Dirichlet's unit theorem we have

$$\mathcal{O}_K^\times \cong \mu_K \oplus U, \quad U \longleftrightarrow \log_\infty(U) \cdot \log_\infty(\mathcal{O}_K)$$

where U is free abelian generated by $r-1$ elements. As $\mathcal{O}_K^\times \curvearrowright K$ acts freely,

$$\text{we have } |\underline{a}_X / \mathcal{O}_K| = \frac{1}{|\mu_K|} |\underline{a}_X / U|.$$

Lemma:

Let $F_{\leq XNr(\underline{a})}$ be a fundamental domain for $U \backslash V_{\infty, \leq XNr(\underline{a})}^*$. Then

$$|\underline{a}_x / U| = |\mathfrak{G}_{\infty}(\underline{a}) \cap F_{\leq XNr(\underline{a})}|$$

Proof: Let $y \in \underline{a}_x / U$, i.e., $y = aU$ for some $a \in \underline{a}_x$. Then

$$a \in \underline{a}_x \Leftrightarrow \mathfrak{G}_{\infty}(a) \in \bigsqcup_{\xi \in U} \mathfrak{G}_{\infty}(\xi^{-1}) F_{\leq XNr(\underline{a})}$$

$$\Leftrightarrow \exists! \xi \in U \quad \mathfrak{G}_{\infty}(a\xi) \in F_{\leq XNr(\underline{a})}.$$

Hence $\mathfrak{G}_{\infty}(y) \cap F_{\leq XNr(\underline{a})}$ is a singleton and we obtain an injective map

$$\psi: \underline{a}_x / U \longrightarrow \mathfrak{G}_{\infty}(\underline{a}) \cap F_{\leq XNr(\underline{a})}$$

Now suppose $v \in \mathfrak{G}_{\infty}(\underline{a}) \cap F_{\leq XNr(\underline{a})}$. Let $a \in \underline{a}$ s.t. $v = \mathfrak{G}_{\infty}(a)$. Since

$$F_{\leq XNr(\underline{a})} \subseteq V_{\infty, \leq XNr(\underline{a})}^*$$

we obtain $a \neq 0$ and

$$|Nr_{K/Q}(a)| = Nr(\mathfrak{G}_{\infty}(a)) \leq XNr(\underline{a}),$$

i.e., $aU \in \underline{a}_x / U$ and, thus, $v \in \psi(\underline{a}_x / U)$, i.e., ψ is onto. $\square$

We compute a fundamental domain for $U \cap K_{\infty, \mathbb{R}}^{\times}$, $(z, v) \mapsto G_{\infty}(z)v$ (and then divide the output of Lipschitz by vol. of the f.d.) simplify notation

Suppose $B = (\xi_1, \dots, \xi_{r-1})$ is a set of fundamental units, i.e.

- $U = \langle \xi_1, \dots, \xi_{r-1} \rangle$, and
- $\text{Log}_{\infty} B = (\text{Log}_{\infty}(\xi_1), \dots, \text{Log}_{\infty}(\xi_{r-1}))$ is a basis of $\text{Log}_{\infty} \mathcal{O}_K^{\times} < H(\mathbb{R})$.

Let $\mathcal{P} = \mathcal{P}_{\text{Log}_{\infty} B} = \left\{ \sum_{i=1}^{r-1} t_i \text{Log}_{\infty}(\xi_i) : t_i \in [0, 1[\right\} \leftarrow \text{f.d. for } U \cap H(\mathbb{R}).$

Recall: $\text{Log}: K_{\infty}^{\times} \rightarrow \mathbb{R}^{r_1+r_2}$, $(x_1, \dots, x_{r_1}, z_1, \dots, z_{r_2}) \mapsto (\log|x_1|, \dots, \log|x_{r_1}|, 2\log|z_1|, \dots, 2\log|z_{r_2}|)$

Lemma:

$|F_1 := \text{Log}^{-1}(\mathcal{P})$ is a f.d. for $U \curvearrowright K_{\infty,1}^x$

Pf.:

$\sum \log(v)_i = 0$
 $\cdot v \in K_{\infty,1}^x \Rightarrow \text{Log}(v) \in H(\mathbb{R}) \rightarrow \text{Log}(v) = \text{Log}_{\infty}(\xi) + \omega$ for some $\omega \in \mathcal{P}$ and some $\xi \in U$

$$\Rightarrow v = G_{\infty}(\xi) \text{Log}^{-1}(\omega) \in G_{\infty}(\xi) F_1$$

$$\Rightarrow K_{\infty,1}^x = \bigcup_{\xi \in U} G_{\infty}(\xi) F_1.$$

$\cdot$ Let $\xi, \hat{\xi} \in U$, then $G_{\infty}(\xi) F_1 \cap G_{\infty}(\hat{\xi}) F_1 \neq \emptyset \Leftrightarrow G_{\infty}(\xi^{-1} \hat{\xi}) F_1 \cap F_1 \neq \emptyset.$

$$\Rightarrow \exists f \in F_1 \text{ s.t. } \text{Log}_{\infty}(\xi^{-1} \hat{\xi}) + \text{Log} f \in \mathcal{P}$$

$$\Rightarrow \text{Log}_{\infty}(\xi^{-1} \hat{\xi}) + \mathcal{P} \cap \mathcal{P} \neq \emptyset \Rightarrow \text{Log}_{\infty}(\xi^{-1} \hat{\xi}) = 0 \Rightarrow \xi = \hat{\xi}$$

$$\Rightarrow K_{\infty,1}^x = \bigsqcup_{\xi \in U} G_{\infty}(\xi) F_1$$

Corollary:

The cone $F_{\leq X} :=]0, X^{1/d}] \cdot F_1 = \{tf : f \in F_1, 0 < t \leq X^{1/d}\}$ is an f.d. for $U \curvearrowright K_{\infty, \leq X}^*$

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Moreover, $F_{\leq X} \subseteq K_{\infty}$ is precompact with Lipschitz-boundary

Pf.: f.d.-property:

$K_{\infty, \leq X}^* = \bigsqcup_{0 < t \leq X} K_{\infty, t}^*$ and as U preserves $K_{\infty, t}^*$, we have

$$K_{\infty, \leq X}^* / G_{\infty}(U) = \bigsqcup_{0 < t \leq X} K_{\infty, t}^* / G_{\infty}(U).$$

Using homogeneity, $K_{\infty, t}^* = t^{\frac{1}{d}} K_{\infty, 1}^*$ and thus $t^{\frac{1}{d}} F_1$ is an f.d. for $U \curvearrowright K_{\infty, t}^*$.

Precompactness:

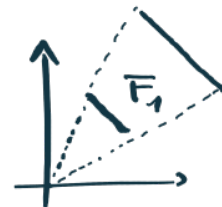
By Heine-Borel, it suffices to show that $F_{\leq X}$ is bdd. This follows if we can show that F_1 is bounded.

$\overline{F_1} = \overline{\text{Log}^{-1}(\mathcal{P})} \subseteq \overline{\text{Log}^{-1}(\overline{\mathcal{P}})} = \text{Log}^{-1}(\overline{\mathcal{P}})$ is cpt. by continuity of $\text{Log}^{-1}: \mathbb{R}^r \rightarrow K_{\infty}$ and compactness of $\overline{\mathcal{P}}$, thus F_1 is bounded.

Lipschitz boundary:

$\partial F_{\leq X} = X^{\frac{1}{d}} F_1 \cup \{0\} \cup \{[0, X^{\frac{1}{d}}] \text{Log}^{-1}(\Phi) : \Phi \text{ a face of } \mathcal{P}\}.$

All of these are images under Lipschitz maps.



$$t^d = X \Rightarrow t^{d-1} = X \cdot X^{-\frac{1}{d}} = X^{1-\frac{1}{d}}$$

Corollary

Let $\underline{a} \in \mathcal{I}$, then

$$|\mathcal{O}_\infty(\underline{a}) \cap \mathcal{F}_{\leq X \text{Nr}(\underline{a})}| = \frac{2^{r_2} \text{vol}(\mathcal{F}_{\leq 1})}{|\text{disc}(\mathcal{O}_K)|^{1/2}} X + \mathcal{O}_{\underline{a}, \mathcal{F}_{\leq 1}}(X^{1-\frac{1}{d}})$$

Pf: Apply Lipschitz principle with $\Lambda = \mathcal{O}_\infty(\underline{a})$ and $\Omega := \mathcal{F}_{\leq 1}$ (note: $\Omega_t = t\Omega = \mathcal{F}_{\leq t^d}$) $\square$

Therefore:

$$\sum_{m \leq X} |\{\underline{a} \in \mathcal{I} : \text{Nr}(\underline{a}) = m\}| = \sum_{[\underline{a}] \in \mathcal{CL}(K)} |\{\underline{a} \in \underline{a} \cdot \{0\} : |\text{Nr}(\underline{a})| \leq X \text{Nr}(\underline{a})\} / \mathcal{O}_K^\times \}|$$

$$= \sum_{[\underline{a}] \in \mathcal{CL}(K)} \left(\frac{2^{r_2} \text{vol}(\mathcal{F}_{\leq 1})}{|\mu_K| |\text{disc}(\mathcal{O}_K)|^{1/2}} X + \mathcal{O}_{\underline{a}, \mathcal{F}_{\leq 1}}(X^{1-\frac{1}{d}}) \right)$$

$$= \frac{2^{r_2} \text{vol}(\mathcal{F}_{\leq 1}) h(K)}{|\mu_K| |\text{disc}(\mathcal{O}_K)|^{1/2}} X + \mathcal{O}_K(X^{1-\frac{1}{d}})$$

Lemma:

$$|\text{vol}(F_{\leq 1})| = 2^{r_1} \pi^{r_2} \text{reg}(\mathcal{O}_K)$$

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Pf: Let $z \in K_\infty^\times$. We use polar coordinates:

$$z = (\pm x_1, \dots, \pm x_{r_1}, s_1 e(\vartheta_1), \dots, s_{r_2} e(\vartheta_{r_2})) \text{ w/ } x_i, s_i \in \mathbb{R}_{>0} \text{ and } \vartheta_i \in [0, 1[.$$

Let $|\cdot|: K_\infty^\times \rightarrow \mathbb{R}_{>0}^r$, $|z| = (x_1, \dots, x_{r_1}, s_1, \dots, s_{r_2})$ and let $\text{Log}_{\text{abs}}: \mathbb{R}_{>0}^r \xrightarrow{\sim} \mathbb{R}^r$ be given by

$$\text{Log}_{\text{abs}}(v_i)_{i=1}^{r_1+r_2} := (d_i \log v_i)_{i=1}^{r_1+r_2}.$$

Then the fibers of $|\cdot|$ are $\simeq \{\pm 1\}^{r_1} \times (\mathbb{S}^1)^{r_2}$ and $\text{Log} = \text{Log}_{\text{abs}} \circ |\cdot|$, i.e. $\text{Log}(z) = \text{Log}_{\text{abs}}(|z|)$.

We let $N_{r_{\text{abs}}}: \mathbb{R}_{>0}^r \rightarrow \mathbb{R}$, $(x_1, \dots, x_{r_1}, s_1, \dots, s_{r_2}) \mapsto \prod_{i=1}^{r_1} x_i \prod_{j=1}^{r_2} s_j^2$

Claim: $z \in F_{\leq 1} \Leftrightarrow N_r(z) \leq 1$ and $\text{Log}(N_r(z)^{\frac{1}{d}} z) \in \mathcal{P}$

Pf: Exercise.

$$\begin{aligned} \Rightarrow " z \in F_{\leq 1} &\Leftrightarrow z \in]0, 1] F_1 \Leftrightarrow \exists t \in]0, 1] \text{ s.t. } t^{-1} z \in F_1 \stackrel{= \text{Log}^{-1}(\mathcal{P})}{\Leftrightarrow} \exists t \in]0, 1] \exists p \in \mathcal{P} \text{ s.t. } \text{Log}(t^{-1} z) = p \\ &\Rightarrow N_r(z) = t^d N_r(t^{-1} z) = t^d \exp\left(\sum_i \text{Log}(t^{-1} z)_i\right) = t^d \exp\left(\sum_i p_i\right) = t^d \leq 1 \\ &\text{and } \text{Log}(N_r(z)^{\frac{1}{d}} z) = \text{Log}((t^d)^{-\frac{1}{d}} z) = \text{Log}(t^{-1} z) = p \in \mathcal{P}. \quad \stackrel{\substack{\text{---} \\ =0}}{\leftarrow} \mathcal{P} \subseteq H(\mathbb{R}) \\ \Leftarrow " p = \text{Log}(N_r(z)^{\frac{1}{d}} z) \in \mathcal{P} &\Rightarrow N_r(z)^{\frac{1}{d}} z \in F_1 \rightarrow z \in \underbrace{N_r(z)^{\frac{1}{d}} F_1}_{N_r(z) \leq 1} \subseteq]0, 1] F_1. \end{aligned}$$

Claim: $|F_{\leq 1}| =]0, 1] \text{Log}_{\text{abs}}^{-1}(\mathcal{P})$

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Pf: Exercise.

$$(x, s) \in |F_{\leq 1}| \Leftrightarrow \exists z \in F_{\leq 1} \text{ s.t. } (x, s) = |z|$$

$$\Leftrightarrow \exists p \in \mathcal{P} \exists t \in]0, 1] \text{ s.t. } (x, s) = |t \text{Log}^{-1}(p)| = t |\text{Log}^{-1}(p)|$$

Hence it suffices to show that $|\text{Log}^{-1}(\mathcal{P})| = \text{Log}_{\text{abs}}^{-1}(\mathcal{P})$.

$$\begin{aligned} \text{"} \subseteq \text{" } (x, s) \in |\text{Log}^{-1}(\mathcal{P})| &\Leftrightarrow \exists z \in F_{\leq 1} \text{ s.t. } (x, s) = |z| \Rightarrow \text{Log}_{\text{abs}}((x, s)) = \text{Log}_{\text{abs}}(|z|) = \text{Log}(z) \in \mathcal{P} \\ &\Rightarrow (x, s) \in \text{Log}_{\text{abs}}^{-1}(\mathcal{P}) \end{aligned}$$

$$\begin{aligned} \text{"} \supseteq \text{" } \text{Suppose } (x, s) \in \text{Log}_{\text{abs}}^{-1}(\mathcal{P}). \text{ } |\cdot| \text{ is onto, thus let } z \in K_{\infty}^{\times} \text{ s.t. } (x, s) = |z|. \text{ Then} \\ \text{Log}(z) = \text{Log}_{\text{abs}}(|z|) \in \mathcal{P} \\ \Rightarrow (x, s) \in |\text{Log}^{-1}(\mathcal{P})|. \end{aligned}$$

Claim: $z \in F_{\leq 1} \Leftrightarrow \text{Nr}_{\text{abs}}(|z|) \leq 1 \text{ and } \text{Log}_{\text{abs}}(\text{Nr}(|z|)^{-\frac{1}{d}} |z|) \in \mathcal{P} \Leftrightarrow |z| \in |F_{\leq 1}|$

Pf: Exercise.

$$\begin{aligned} \text{Nr}(z) = \text{Nr}(|z|) \text{ and thus } \text{Log}(\text{Nr}(z)^{-\frac{1}{d}} z) &= \text{Log}_{\text{abs}}(|\text{Nr}(z)^{-\frac{1}{d}} z|) = \text{Log}_{\text{abs}}(\text{Nr}(z)^{-\frac{1}{d}} |z|) \\ &= \text{Log}_{\text{abs}}(\text{Nr}(|z|)^{-\frac{1}{d}} |z|). \end{aligned}$$

Hence the first equivalence.

For the 2nd equivalence, we only need to check $|z| \in |F_{\leq 1}| \Rightarrow z \in F_{\leq 1}$ ($z \in F_{\leq 1} \Rightarrow |z| \in |F_{\leq 1}|$ is obvious).

$$\text{Supp. } |z| \in |F_{\leq 1}| \Rightarrow |z| \in]0, 1] \text{Log}_{\text{abs}}^{-1}(\mathcal{P}) \Rightarrow \exists t \in]0, 1] \text{ s.t. } t^{-1} |z| \in \text{Log}_{\text{abs}}^{-1}(\mathcal{P})$$

$$\Rightarrow \exists t \in]0, 1] \text{ s.t. } \text{Log}_{\text{abs}}(t^{-1} |z|) = \text{Log}_{\text{abs}}(|t^{-1} z|) = \text{Log}(t^{-1} z) \in \mathcal{P}$$

$$\Rightarrow z \in]0, 1] \text{Log}^{-1}(\mathcal{P}) = F_{\leq 1}.$$

Therefore

$$\text{vol}(F_{\leq 1}) = \sum_{(\underline{z}_1, \dots, \underline{z}_{r_1}) \in \{\pm 1\}^{r_1}} \int_{\mathbb{R}_{>0}^{r_1, r_2}} (2\pi)^{r_2} \int_{[0,1]^{r_2}} \underbrace{\mathbb{1}_{F_{\leq 1}}((-1)^{z_1} x_1, \dots, (-1)^{z_{r_1}} x_{r_1}, s_1 e(\vartheta_1), \dots, e(\vartheta_{r_2})) s_1 \dots s_{r_2}}_{= \mathbb{1}_{F_{\leq 1}}(x_1, \dots, x_{r_1}, s_1, \dots, s_{r_2})} d\underline{z} d(\underline{x}, \underline{s})$$

$$z \in F_{\leq 1} \Leftrightarrow |z| \in]0,1] \log_{\text{abs}}^{-1}(P)$$

$$\downarrow = 2^{r_1} (2\pi)^{r_2} \int_{\mathbb{R}_{>0}^r} \mathbb{1}_{]0,1] \log_{\text{abs}}^{-1}(P)}(\underline{x}, \underline{s}) s_1 \dots s_{r_2} d(\underline{x}, \underline{s})$$

$$\log_{\text{abs}}^{-1}(v)_i = \begin{cases} e^{v_i} & i=1, \dots, r_1 \\ e^{\frac{1}{2} v_i} & i=r_1+1, \dots, r_2 \end{cases}$$

Substitution

$$= 2^{r_1} (2\pi)^{r_2} \int_{\mathbb{R}^r} \mathbb{1}_{]0,1] \log_{\text{abs}}^{-1}(P)}(\log_{\text{abs}}^{-1}(v)) \exp\left(\frac{1}{2} \sum_{i=r_1+1}^{r_2} v_i\right) \mathcal{J}_v(\log_{\text{abs}}^{-1}) dv$$

$$\mathcal{J}_v(\log_{\text{abs}}^{-1}) = 2^{-r_2} \exp\left(\sum_{i=1}^{r_1} v_i + \frac{1}{2} \sum_{i=r_1+1}^{r_2} v_i\right)$$

$$= 2^{r_1} \pi^{r_2} \int_{\mathbb{R}^r} \mathbb{1}_{\log_{\text{abs}}([0,1] \log_{\text{abs}}^{-1}(P))}(v) \exp(Tv) dv$$

$Tv = \sum_{i=1}^r v_i$

Claim: $v \in \text{Log}_{\text{abs}}([0,1] \text{Log}_{\text{abs}}^{-1}(\mathcal{P})) \Leftrightarrow T_v \leq 0$ and $v - \frac{T(v)}{d}(1, \dots, 1) \in \mathcal{P}$

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Pf: " $\Rightarrow$ " Let $p \in \mathcal{P}$ and $t \in [0,1]$. Then

$$\text{Log}_{\text{abs}}(t \text{Log}_{\text{abs}}^{-1}(p)) = (\log t)(1, \dots, 1) + p.$$

Thus

$$T_v = \sum (\log t + p_i) \stackrel{p_i \in H(\mathbb{R})}{=} d(\log t) \leq 0$$

and

$$\text{Log}_{\text{abs}}(t \text{Log}_{\text{abs}}^{-1}(p)) - \frac{T_v}{d}(1, \dots, 1) = p \in \mathcal{P}$$

" $\Leftarrow$ " Let $p = v - \frac{T(v)}{d}(1, \dots, 1)$, then

$$v = \frac{T(v)}{d}(1, \dots, 1) + p = \text{Log}_{\text{abs}}(e^{\overbrace{T(v)/d}^{\in (0,1]}} \text{Log}_{\text{abs}}^{-1}(p)) \\ \in \text{Log}_{\text{abs}}([0,1] \text{Log}_{\text{abs}}^{-1}(\mathcal{P}))$$

$$\begin{aligned}
 \text{vol}(F_{\leq 1}) &= 2^{r_1} \pi^{r_2} \int_{\mathbb{R}^r} \mathbb{1}_{[-\infty, 0]}(T(v)) \mathbb{1}_{\mathcal{P}}\left(v - \frac{T(v)}{\sqrt{d}} \omega\right) e^{T(v)} dv \\
 &= 2^{r_1} \pi^{r_2} \int_{-\infty}^0 e^t \left(\int_{H(\mathbb{R})} \mathbb{1}_{\mathcal{P}}\left(\underbrace{t\omega + h - \frac{T(t\omega + h)}{\sqrt{d}} \omega}_{=h}\right) dh \right) dt \\
 &= 2^{r_1} \pi^{r_2} \text{vol}_{H(\mathbb{R})}(\mathcal{P}) \int_{-\infty}^0 e^t dt = 2^{r_1} \pi^{r_2} \text{reg}(K)
 \end{aligned}$$

$T(t\omega) = t\sqrt{d}$

