# James E. Humphreys

# Linear Algebraic Groups

Corrected Second Printing



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## Preface to the Second Printing

For this printing, I have corrected some errors and made numerous minor changes in the interest of clarity. The most significant corrections occur in Sections 4.2, 4.3, 5.5, 30.3, 32.1, and 32.3. I have also updated the bibliography to some extent. Thanks are due to a number of readers who took the trouble to point out errors, or obscurities; especially helpful were the detailed comments of José Antonio Vargas.

James E. Humphreys

## Preface to the First Printing

Over the last two decades the Borel-Chevalley theory of linear algebraic groups (as further developed by Borel, Steinberg, Tits, and others) has made possible significant progress in a number of areas: semisimple Lie groups and arithmetic subgroups, p-adic groups, classical linear groups, finite simple groups, invariant theory, etc. Unfortunately, the subject has not been as accessible as it ought to be, in part due to the fairly substantial background in algebraic geometry assumed by Chevalley [8], Borel [4], Borel, Tits [1]. The difficulty of the theory also stems in part from the fact that the main results culminate a long series of arguments which are hard to "see through" from beginning to end. In writing this introductory text, aimed at the second year graduate level, I have tried to take these factors into account.

First, the requisite algebraic geometry has been treated in full in Chapter I, modulo some more-or-less standard results from commutative algebra (quoted in §0), e.g., the theorem that a regular local ring is an integrally closed domain. The treatment is intentionally somewhat crude and is not at all scheme-oriented. In fact, everything is done over an algebraically closed field K (of arbitrary characteristic), even though most of the eventual applications involve a field of definition k. I believe this can be justified as follows. In order to work over k from the outset, it would be necessary to spend a good deal of time perfecting the foundations, and then the only rationality statements proved along the way would be of a minor sort (cf. (34.2)). The deeper rationality properties can only be appreciated after the reader has reached Chapter X. (A survey of such results, without proofs, is given in Chapter XII.)

Second, a special effort has been made to render the exposition transparent. Except for a digression into characteristic 0 in Chapter V, the development from Chapter II to Chapter XI is fairly "linear", covering the foundations, the structure of connected solvable groups, and then the structure, representations and classification of reductive groups. The lecture notes of Borel [4], which constitute an improvement of the methods in Chevalley [8], are the basic source for Chapters II–IV, VI–X, while Chapter XI is a hybrid of Chevalley [8] and SGAD. From §27 on the basic facts about root systems are used constantly; these are listed (with suitable references) in the Appendix. Apart from §0, the Appendix, and a reference to a theorem of Burnside in (17.5), the text is self-contained. But the reader is asked to verify some minor points as exercises.

While the proofs of theorems mostly follow Borel [4], a number of improvements have been made, among them Borel's new proof of the normalizer theorem (23.1), which he kindly communicated to me.

I had an opportunity to lecture on some of this material at Queen Mary College in 1969, and at New York University in 1971–72. Several colleagues have made valuable suggestions after looking at a preliminary version of the manuscript; I especially want to thank Gerhard Hochschild, George Seligman, and Ferdinand Veldkamp. I also want to thank Michael J. DeRise for his help. Finally, I want to acknowledge the support of the National Science Foundation and the excellent typing of Helen Samoraj and her staff.

James E. Humphreys

## Conventions

 $K^* = \text{multiplicative group of the field } K$  char K = characteristic of K  $\text{char } \text{exp } K = \text{characteristic exponent of } K, \text{ i.e., } \max \{1, \text{ char } K\}$  det = determinant Tr = trace Card = cardinalityLL = direct sum

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## Chapter I

## **Algebraic Geometry**

#### 0. Some Commutative Algebra

Algebraic geometry is heavily dependent on commutative algebra, the study of commutative rings and fields (notably those arising from polynomial rings in many variables); indeed, it is impossible to draw a sharp line between the geometry and the algebra. For reference, we assemble in this section some basic concepts and results (without proof) of an algebraic nature. The theorems stated are in most cases "standard" and readily accessible in the literature, though not always encountered in a graduate algebra course.

We shall give explicit references, usually by chapter and section, to the following books:

- L = S. Lang, Algebra, Reading, Mass.: Addison-Wesley 1965.
- ZS = O. Zariski, P. Samuel, Commutative Algebra, 2 vol., Princeton: Van Nostrand 1958, 1960.
- AM = M. F. Atiyah, I. G. Macdonald, Introduction to Commutative Algebra, Reading, Mass.: Addison-Wesley 1969.
- J = N. Jacobson, Basic Algebra II, San Francisco: W. H. Freeman 1980. There are of course other good sources for this material, e.g., Bourbaki or van der Waerden. We remark that [AM] is an especially suitable reference for our purposes, even though some theorems there are set up as exercises. All rings are assumed to be commutative (with 1).
- **0.1** A ring R is noetherian  $\Leftrightarrow$  each ideal of R is finitely generated  $\Leftrightarrow$  R has ACC (ascending chain condition) on ideals  $\Leftrightarrow$  each nonempty collection of ideals has a maximal element, relative to inclusion. Any homomorphic image of a noetherian ring is noetherian. [L, VI §1] [AM, Ch. 6, 7]. Hilbert Basis Theorem: If R is noetherian, so is R[T] (polynomial ring in one indeterminate). In particular, for a field K, K[T<sub>1</sub>, T<sub>2</sub>, ..., T<sub>n</sub>] is noetherian. [L, VI §2] [ZS, IV §1] [AM, 7.5].
- **0.2** If K is a field,  $K[T_1, ..., T_n]$  is a UFD (unique factorization domain). [L, V §6].
- **0.3** Weak Nullstellensatz: Let K be a field,  $L = K[x_1, ..., x_n]$  a finitely generated extension ring of K. If L is a field, then all  $x_i$  are algebraic over K. [L, X §2] [ZS, VII §3] [AM, 5.24; Ch. 5, ex. 18; 7.9].
- **0.4** Let L/K be a field extension. Elements  $x_1, \ldots, x_d \in L$  are algebraically independent over K if no nonzero polynomial  $f(T_1, \ldots, T_d)$  over K satisfies

 $f(x_1, \ldots, x_d) = 0$ . A maximal subset of  $\bot$  algebraically independent over K is called a **transcendence basis** of  $\bot/K$ . Its cardinality is a uniquely defined number, the **transcendence degree** tr.  $\deg_{K} \bot$ . If  $\bot = K(x_1, \ldots, x_n)$ , a transcendence basis can be chosen from among the  $x_i$ , say  $x_1, \ldots, x_d$ . Then  $K(x_1, \ldots, x_d)$  is **purely transcendental** over K and  $\bot/K(x_1, \ldots, x_d)$  is (finite) algebraic.  $[\bot, X \]$   $[ZS, II \]$   $[\bot, X]$   $[\bot, X]$ 

**Lüroth Theorem:** Let L = K(T) be a simple, purely transcendental extension of K. Then any subfield of L properly including K is also a simple, purely transcendental extension. [J, 8.13].

- **0.5** Let E/F be a finite field extension. There is a map  $N_{E/F}$ :  $E \to F$ , called the **norm**, which induces a homomorphism of multiplicative groups  $E^* \to F^*$ , such that  $N_{E/F}(a)$  is a power of the constant term of the minimal polynomial of a over F, and in particular,  $N_{E/F}(a) = a^{[E:F]}$  whenever  $a \in F$ . To define the norm, view E as a vector space over F. For each  $a \in E$ ,  $x \mapsto ax$  defines a linear transformation  $E \to E$ ; let  $N_{E/F}(a)$  be its determinant.  $[L, VIII \S 5]$   $[ZS, II \S 10]$ .
- **0.6** Let  $R \supset S$  be an extension of rings. An element  $x \in R$  is **integral** over  $S \Leftrightarrow x$  is a root of a monic polynomial over  $S \Leftrightarrow$  the subring S[x] of R is a finitely generated S-module  $\Leftrightarrow$  the ring S[x] acts on some finitely generated S-module V faithfully (i.e., y.V = 0 implies y = 0). R is **integral** over S if each element of R is integral over S. The **integral closure** of S in R is the set (a subring) of R consisting of all elements of R integral over S. If R is an integral domain, with field of fractions F, R is said to be **integrally closed** if R equals its integral closure in F. If R is integrally closed, so is the polynomial ring R[T].  $[L, IX \S 1]$   $[ZS, V \S 1]$  [AM, Ch. 5]
- **0.7** Noether Normalization Lemma: Let K be an arbitrary field,  $R = K[x_1, \ldots, x_n]$  a finitely generated integral domain over K with field of fractions F,  $d = \text{tr. deg.}_K$  F. Then there exist elements  $y_1, \ldots, y_d \in R$  such that R is integral over  $K[y_1, \ldots, y_d]$  (and the  $y_i$  are algebraically independent over K). [L, X §4] [ZS, V §4] [AM, Ch. 5, ex. 16].
  - **0.8** Let R/S be a ring extension, with R integral over S.

**Going Up Theorem:** If P is a prime (resp. maximal) ideal of S, there exists a prime (resp. maximal) ideal Q of R for which  $Q \cap S = P$ . [L, IX §1] [ZS, V §2] [AM, 5.10, 5.11].

**Going Down Theorem:** Let S be integrally closed. If  $P_1 \supset P_2$  are prime ideals of S,  $Q_1$  a prime ideal of R for which  $Q_1 \cap S = P_1$ , there exists a prime ideal  $Q_2 \subset Q_1$  for which  $Q_2 \cap S \neq P_2$ . [ZS, V §3] [AM, 5.16].

**Extension Theorem:** Let R/S be an integral extension, K an algebraically closed field. Then any homomorphism  $\varphi: S \to K$  extends to a homomorphism  $\varphi': R \to K$ . If  $x \in R$ ,  $a \in K$ ,  $\varphi$  can first be extended to a homomorphism  $S[x] \to K$ 

- sending x to a (then be further extended to R, R being integral over S[x]), provided f(x) = 0 implies  $f_{\varphi}(a) = 0$  for  $f(T) \in S[T]$  ( $f_{\varphi}(T)$  the polynomial over K gotten by applying  $\varphi$  to each coefficient of f(T)). [L, IX §3] [AM, Ch. 5].
- **0.9** Let  $P_1, \ldots, P_n$  be prime ideals in a ring R. If an ideal lies in the union of the  $P_i$ , it must already lie in one of them. [ZS, IV §6, Remark p. 215].
- **0.10** Let S be a multiplicative set in a ring  $R(0 \notin S, 1 \in S, a, b \in S \Rightarrow ab \in S)$ . The generalized ring of quotients  $S^{-1}R$  is constructed using equivalence classes of pairs  $(r, s) \in R \times S$ , where  $(r, s) \sim (r', s')$  means that for some  $s'' \in S$ , s''(rs'-r's)=0. The (prime) ideals of  $S^{-1}R$  correspond bijectively to the (prime) ideals of R not meeting S. In case R is an integral domain, with field of fractions F,  $S^{-1}R$  may be identified with the set of fractions r/s in F. In general, the canonical map  $R \to S^{-1}R$  (sending r to the class of (r, 1)) is injective only when S contains no zero divisors. For example, take  $S = \{x^n | n \in \mathbb{Z}^+\}$  for x not nilpotent, to obtain  $S^{-1}R$ , denoted  $R_x$ ; R is a subring of  $R_x$  provided x is not a zero divisor. Or take S = R - P, P a prime ideal. Then  $S^{-1}R$  is denoted R<sub>P</sub> and is a local ring (i.e., has a unique maximal ideal PR<sub>P</sub>, consisting of the nonunits of  $R_P$ ). The prime ideals of  $R_P$  correspond naturally to the prime ideals of R contained in P. If R is an integrally closed domain, then so is Rp. If R is noetherian, so is  $R_P$ . If M is a maximal ideal, the fields R/M and  $R_M/MR_M$ are naturally isomorphic; the canonical map  $R \to R_M$  induces a vector space isomorphism of  $M/M^2$  onto  $MR_M/(MR_M)^2$ . [L, II §3] [AM, Ch. 3].
- **0.11 Nakayama Lemma:** Let R be a ring, M a maximal ideal, V a finitely generated R-module for which V = MV. Then there exists  $x \notin M$  such that xV = 0. In particular, if R is local (with unique maximal ideal M), x must be a unit and therefore V = 0. [AM, 2.5, 2.6] [L, IX §1].
- **0.12** If R is a (noetherian) local ring with maximal ideal M, the powers of M can be taken as a fundamental system of neighborhoods of 0 for a topology (the M-adic topology) on R. This topology is Hausdorff, since  $\bigcap M^n = 0$ . AM,  $0 \subseteq AM$ ,  $0 \subseteq AM$ ,
- **0.13** Let I be an ideal in a noetherian ring R, and let  $P_1, \ldots, P_t$  be the minimal prime ideals containing I. The image of  $P_1 \cap \cdots \cap P_t$  in R/I is the nilradical of R/I, a nilpotent ideal. In particular, for large enough n,  $P_1^n P_2^n \cdots P_t^n \subset (P_1 \cap \cdots \cap P_t)^n \subset I$ . [AM, 7.15] [L, VI §4].
- **0.14** A field extension E/F is **separable** if either char F = 0, or else char F = p > 0 and the  $p^{th}$  powers of elements  $x_1, \ldots, x_n \in E$  linearly independent over F are again so. This generalizes the usual notion when E/F is finite.

 $E = F(x_1, ..., x_n)$  is separably generated over F if E is a finite separable extension of a purely transcendental extension of F. For finitely generated extensions E/F, "separably generated" is equivalent to "separable", and E/F is automatically separable when F is perfect. If  $F \subset L \subset E$ , E/F separable, then L/F is separable. If  $F \subset L \subset E$ , E/L and L/F separable, then E/F is separable [ZS, II §13] [L, X §6] [J, 8.14].

**0.15** A **derivation**  $\delta: E \to L$  (E a field, L an extension field of E), is a map which satisfies  $\delta(x + y) = \delta(x) + \delta(y)$  and  $\delta(xy) = x \delta(y) + \delta(x) y$ . If F is a subfield of E,  $\delta$  is called an F-**derivation** if in addition  $\delta(x) = 0$  for all  $x \in F$  (so  $\delta$  is F-linear). The space  $\operatorname{Der}_F(E, L)$  of all F-derivations  $E \to L$  is a vector space over L, whose dimension is tr.  $\deg_F E$  if E/F is separably generated. E/F is separable if and only if all derivations  $E \to L$  (L an extension field of E). If char E = p > 0, all derivations of E vanish on the subfield  $E^p$  of  $P^{th}$  powers. [ZS, II §17] [J, 8.15] [L, X §7].

## 1. Affine and Projective Varieties

In this section we consider subsets of affine or projective space defined by polynomial equations, with special attention being paid to the way in which geometric properties of these sets translate into algebraic properties of polynomial rings. K always denotes an algebraically closed field, of arbitrary characteristic.

#### 1.1. Ideals and Affine Varieties

The set  $K^n = K \times \cdots \times K$  will be called **affine n-space** and denoted  $A^n$ . By **affine variety** will be meant (provisionally) the set of common zeros in  $A^n$  of a finite collection of polynomials. Evidently we have in mind curves, surfaces, and the like. But the collection of polynomials defining a geometric configuration can vary quite a bit without affecting the geometry, so we aim for a tighter correspondence between geometry and algebra. As a first step, notice that the ideal in  $K[T] = K[T_1, \ldots, T_n]$  generated by a set of polynomials  $\{f_{\alpha}(T)\}$  has precisely the same common zeros as  $\{f_{\alpha}(T)\}$ . Moreover, the Hilbert Basis Theorem (0.1) asserts that each ideal in K[T] has a finite set of generators, so every ideal corresponds to an affine variety. Unfortunately, this correspondence is not 1-1: e.g., the ideals generated by T and by  $T^2$  are distinct, but have the same zero set  $\{0\}$  in  $A^1$ . We shall see shortly how to deal with this phenomenon.

Formally, we can assign to each ideal I in K[T] the set  $\mathcal{V}(I)$  of its common zeros in  $A^n$ , and to each subset  $X \subset A^n$  the collection  $\mathcal{I}(X)$  of all polynomials vanishing on X. It is clear that  $\mathcal{I}(X)$  is an ideal, and that we have inclusions:

$$X \subset \mathscr{V}(\mathscr{I}(X)),$$
  
 $I \subset \mathscr{I}(\mathscr{V}(I)).$ 

Of course, neither of these need be an equality (examples?). Let us examine more closely the second inclusion. By definition, the **radical**  $\sqrt{I}$  of an ideal I is  $\{f(T) \in K[T] | f(T)^r \in I \text{ for some } r \ge 0\}$ . This is easily seen to be an ideal, including I. If f(T) fails to vanish at  $x = (x_1, \ldots, x_n)$ , then  $f(T)^r$  also fails to vanish at x for each  $r \ge 0$ . From this it follows that  $\sqrt{I} \subset \mathscr{I}(\mathscr{V}(I))$ , which refines the above inclusion. Indeed, we now get equality—a fact which is crucial but not at all intuitively obvious.

**Theorem (Hilbert's Nullstellensatz).** If I is any ideal in  $K[T_1, \ldots, T_n]$ , then  $\sqrt{I} = \mathcal{I}(\mathcal{V}(I))$ .

*Proof.* In view of the finite generation of I, the theorem is equivalent to the statement: "Given  $f(\mathsf{T}), f_1(\mathsf{T}), \ldots, f_s(\mathsf{T})$  in  $\mathsf{K}[\mathsf{T}]$ , such that  $f(\mathsf{T})$  vanishes at every commor zero of the  $f_i(\mathsf{T})$  in  $\mathsf{A}^n$ , there exist  $r \geq 0$  and  $g_1(T), \ldots, g_s(T) \in \mathsf{K}[\mathsf{T}]$  for which  $f(\mathsf{T})^r = \sum_{i=1}^s g_i(\mathsf{T}) f_i(\mathsf{T})$ ."

We show first that this statement follows from the assertion:

(\*) If 
$$\mathscr{V}(I) = \emptyset$$
 then  $I = \mathsf{K}[\mathsf{T}]$ .

(Notice that this is just a special case of the theorem, since only the ideal K[T] can have K[T] as radical!) Indeed, given f(T),  $f_1(T)$ , ...,  $f_s(T)$  as indicated, we can introduce a new indeterminate  $T_0$  and consider the collection of polynomials in n+1 indeterminates,  $f_1(T)$ , ...,  $f_s(T)$ ,  $1-T_0f(T)$ . These have no common zero in  $A^{n+1}$ , thanks to the original condition imposed on f(T), so (\*) implies that they generate the unit ideal. Find polynomials  $h_i(T_0, \ldots, T_n)$  and  $h(T_0, \ldots, T_n)$  for which  $1 = h_1(T_0, T)f_1(T) + \cdots + h_s(T_0, T)f_s(T) + h(T_0, T)(1 - T_0f(T))$ . Then substitute 1/f(T) for  $T_0$  throughout, and multiply both sides by a sufficiently high power f(T) to clear denominators. This yields a relation of the desired sort.

It remains to prove (\*), or equivalently, to show that a proper ideal in K[T] has at least one common zero in  $A^n$ . (In the special case n=1, this would follow directly from the fact that K is algebraically closed.) Let us attempt naively to construct a common zero. By Zorn's Lemma, I lies in some maximal ideal of K[T], and common zeros of the latter will serve for I as well; so we might as well assume that I is maximal. Then the residue class ring L = K[T]/I is a field; K may be identified with the residue classes of scalar polynomials. If we write  $t_i$  for the residue class of  $T_i$ , it is clear that  $L = K[t_1, \ldots, t_n]$  (the smallest subring of L containing L and the L in L is defined by construction a common zero of the polynomials in L if we could identify L with L is algebraically closed, so for this it would be enough to show that the L are algebraic over L which is precisely the content of (0.3).  $\square$ 

The Nullstellensatz ("zeros theorem") implies that the operators  $\mathscr{V}$ ,  $\mathscr{I}$  set up a 1-1 correspondence between the collection of all radical ideals in K[T] (ideals equal to their radical) and the collection of all affine varieties in  $A^n$ .

Indeed, if  $X = \mathcal{V}(I)$ , then  $\mathcal{I}(X) = \mathcal{I}(\mathcal{V}(I)) = \sqrt{I}$ , so that X may be recovered as  $\mathcal{V}(\mathcal{I}(X))$  (I and  $\sqrt{I}$  having the same set of common zeros). On the other hand, if  $I = \sqrt{I}$ , then I may be recovered as  $\mathcal{I}(\mathcal{V}(I))$ . Notice that the correspondences  $X \mapsto \mathcal{I}(X)$  and  $I \mapsto \mathcal{V}(I)$  are inclusion-reversing. So the noetherian property of K[T] implies DCC (descending chain condition) on the collection of affine varieties in  $A^n$ .

Examples of radical ideals are *prime* (in particular, *maximal*) ideals. We shall examine in (1.3) the varieties corresponding to prime ideals. For the moment, just consider the case  $X = \mathcal{V}(I)$ , I maximal. The Nullstellensatz guarantees that X is nonempty, so let  $x \in X$ . Clearly  $I \subset \mathcal{I}(\{x\}) \subseteq K[T]$ , so  $I = \mathcal{I}(\{x\})$  by maximality, and  $X = \mathcal{V}(I) = \mathcal{V}(\mathcal{I}(\{x\})) = \{x\}$ . On the other hand, if  $x \in A^n$ , then  $f(T) \mapsto f(x)$  defines a homomorphism of K[T] onto K, whose kernel  $\mathcal{I}(\{x\})$  is maximal because K is a field. Thus the points of  $A^n$  correspond 1-1 to the maximal ideals of K[T].

A linear variety through  $x \in A^n$  is the zero set of linear polynomials of the form  $\sum a_i(T_i - x_i)$ . This is just a vector subspace of  $A^n$  if the latter is viewed as a vector space with origin x. From the Nullstellensatz (or linear algebra!) we deduce that any linear polynomial vanishing on such a variety is a K-linear combination of the given ones.

#### 1.2. Zariski Topology on Affine Space

If K were the field of complex numbers,  $A^n$  could be given the usual topology of complex n-space. Then the zero set of a polynomial f(T) would be closed, being the inverse image of the closed set  $\{0\}$  in C under the continuous mapping  $x \mapsto f(x)$ . The set of common zeros of a collection of polynomials would equally well be closed, being the intersection of closed sets. Of course, complex n-space has plenty of other closed sets which are unobtainable in this way, as is clear already in case n = 1.

The idea of topologizing affine *n*-space by decreeing that the **closed** sets are to be precisely the affine varieties turns out to be very fruitful. This is called the **Zariski topology**. Naturally, it has to be checked that the axioms for a topology are satisfied: (1)  $A^n$  and  $\emptyset$  are certainly closed, as the respective zero sets of the ideals (0) and K[T]. (2) If I, J are two ideals, then clearly  $\mathscr{V}(I) \cup \mathscr{V}(J) \subset \mathscr{V}(I \cap J)$ . To establish the reverse inclusion, suppose x is a zero of  $I \cap J$ , but not of I or J. Say  $f(T) \in I$ ,  $g(T) \in J$ , with  $f(x) \neq 0$ ,  $g(x) \neq 0$ . Since  $f(T)g(T) \in I \cap J$ , we must have f(x)g(x) = 0, which is absurd. This argument implies that finite unions of closed sets are closed. (3) Let  $I_{\alpha}$  be an arbitrary collection of ideals, so  $\sum_{\alpha} I_{\alpha}$  is the ideal generated by this collection. Then it is clear that  $\bigcap_{\alpha} \mathscr{V}(I_{\alpha}) = \mathscr{V}(\sum_{\alpha} I_{\alpha})$ , i.e., arbitrary intersections of closed sets are closed.

What sort of topology is this? Points are closed, since  $x = (x_1, \ldots, x_n)$  is the only common zero of the polynomials  $T_1 - x_1, \ldots, T_n - x_n$ . But the Hausdorff separation axiom fails. This is evident already in the case of  $A^1$ ,