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### Publication Date

2018

Peer reviewed|Thesis/dissertation

**Deformations of overconvergent isocrystals on the projective line**

by

Shishir Agrawal

A dissertation submitted in partial satisfaction of the

requirements for the degree of

Doctor of Philosophy

in

Mathematics

in the

Graduate Division

of the

University of California, Berkeley

Committee in charge:

Professor David Nadler, Chair

Professor Martin Olsson

Professor Martin White

Spring 2018

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Shishir Agrawal

**Abstract**

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University of California, Berkeley

Professor David Nadler, Chair

Let  $k$  be an algebraically closed field and  $Z$  an effective Cartier divisor in the projective line over  $k$  with complement  $U$ . When  $k = \mathbb{C}$ , a local system on the analytification of  $U$  is said to be physically rigid when it is determined by the conjugacy classes of its monodromy operators around the points of  $Z$ . Katz proves a convenient cohomological characterization of irreducible physically rigid local systems. Roughly, it arises from the observation that irreducible physically rigid local systems are smooth isolated points in the moduli of local systems on  $U$  with fixed local monodromy data along  $Z$ .

In this dissertation, we consider the situation where  $\text{char}(k) > 0$  and local systems are replaced with overconvergent isocrystals on  $U$ . The “moduli of overconvergent isocrystals” is an elusive object, but we establish some results about the formal deformation theory of overconvergent isocrystals with fixed “local monodromy” along  $Z$ . These results bear strong resemblances to facts about the infinitesimal structure of the moduli of local systems with fixed monodromy.

En route, we establish a general result which shows that a Hochschild cochain complex governs deformations of a module over an arbitrary associative algebra. We also relate this Hochschild cochain complex to a de Rham complex in order to understand the deformations of a differential module over a differential ring.

हर कदम दूरी-म-गंजिल है नुमायाँ गुइसे  
मेरी रफ्तार से भागे है बयाबाँ गुइसे

— गालिब

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## Acknowledgments

It seems to me that there are many ways for a person to help you during your mathematical wanderings.

They could share with you the sweeping panoramas, the unifying philosophies, the analogies that tie everything together, the simplicity that underlies it all. I'd like to thank my advisor, David Nadler, for being that person for me. I'd also like to thank him for his constant encouragement: as lost as I might feel going into a conversation with him, I've always left feeling my confidence rejuvenated. I'm incredibly grateful to have been his student.

They could tell you about the wonderful particulars, the roses to seek out, the thorns to avoid, the tools you might find useful. I'd like to thank Matthias Strauch and Christine Huyghe for being those people for me. I couldn't have navigated some of the tortuous paths I've encountered without their technical expertise.

They could happen to be victims of a few of the same storms of mathematical confusion as you. I'd like to thank Harrison Chen for being that person for me. I have learned a great deal from all of our semi-coherent mathematical blatherings.

They could share occasional conversations with you and sow seeds of understanding in your mind. I'd like to thank Martin Olsson, H el ene Esnault, Adriano Marmora, Bhargav Bhatt, Richard Crew, and Andrea Pulita for everything I've discussed with them.

They could remind you from time to time that there is an infinitely broad world outside of mathematics, vibrant in its every dimension. Joon, Spring, Rick, Harrison, Shu, Eugenia, Anna, Ethan, Alvin, Padma, Kaku, Vasu, Rinku, Purva, Alex—I couldn't have done it without the beers, the laughs, the meals, the boardgames, the roadtrips, and the hikes that we've shared these past few years. Thanks.

They could be the friend you've had your entire life, the person who mocks you mercilessly but still agrees to go everywhere with you because you've just watched *The Ring* and are terrified of Samara coming after you, the person who innocently asks you "oh yeah, well, what's two algebra four?" and sets off some mysterious butterfly effect that leads to a dissertation in algebra. Thanks, Lipu.

They could support you, love you unconditionally, sacrifice their homes to make sure you have everything you could possibly want. They could sit with you day after day to teach you how to spell the word "is," to give you math problems on yellow legal pads, to make sure there isn't the slightest crack in the foundations of your education. They could teach you to draw, to be honest, to be kind, to work hard. It seems inadequate to say "thanks." I owe everything I am to my parents, Mukta and Vinod Agrawal.

And then sometimes, you might just luck out and find someone who will be everything, everywhere, all the time. Someone who will spend the night roaming the streets of Paris with you, who will instinctively put themselves between you and a police baton, who will bear with your interminable yammering about murmured dental plosives. Someone who you can be invisible with in plain sight. Markus, I am thrilled to be on this adventure of life with you.

# Chapter 1

## Introduction

### 1.A Punctured Riemann sphere

Let  $Z$  be an effective Cartier divisor on the complex projective line  $\mathbb{P}^1$  and  $U = \mathbb{P}^1 \setminus Z$ . Then  $U^{\text{an}}$  is the Riemann sphere with finitely many punctures. We choose a numbering  $Z = \{z_1, \dots, z_m\}$  for the puncture points.

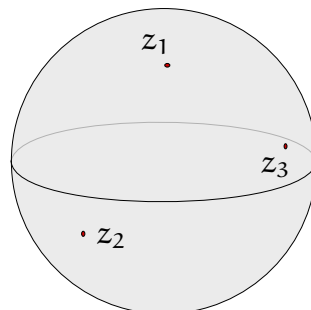


Figure 1.1: Punctured Riemann sphere

A *local system* of rank  $n$  on  $U$  is any of the following types of objects:

- (LS1) A locally constant sheaf of complex vector spaces on  $U^{\text{an}}$  of rank  $n$ .
- (LS2) An  $n$ -dimensional representation of the fundamental group  $\pi_1(U^{\text{an}}, *)$ , where  $*$  is a basepoint in  $U^{\text{an}}$ .
- (LS3) A list  $A_1, \dots, A_m$  of invertible  $n \times n$  matrices such that

$$A_1 \cdots A_m = 1.$$

More precisely, the groupoids defined by these three types of objects are all equivalent. Let us recount briefly how to go back and forth between these types of objects.

(LS1)  $\rightsquigarrow$  (LS2) If  $L$  is a locally constant sheaf on  $U^{\text{an}}$  of rank  $n$ , then the stalk  $L_*$  of  $L$  at the basepoint  $*$  is an  $n$ -dimensional vector space. Moreover, if we have a loop  $\gamma : [0, 1] \rightarrow U^{\text{an}}$  based at  $*$ , then the inverse image sheaf  $\gamma^{-1}L$  on  $[0, 1]$  is constant. In other words,

$$L_* = L_{\gamma(0)} = (\gamma^{-1}L)_0 \simeq (\gamma^{-1}L)_1 = L_{\gamma(1)} = L_*$$

is an automorphism of the vector space  $L_*$ . It depends only on the homotopy class of the loop  $\gamma$ , and this construction defines an action of  $\pi_1(U^{\text{an}}, *)$  on  $L_*$ . In other words,  $L_*$  is an  $n$ -dimensional representation of  $\pi_1(U^{\text{an}}, *)$ .

(LS2)  $\rightsquigarrow$  (LS1) See [Sza09, section 2.5].

(LS2)  $\rightsquigarrow$  (LS3) For each  $i = 1, \dots, m$ , choose a loop  $\gamma_i$  based at  $*$  that goes counterclockwise around  $z_i$  and only  $z_i$  (see figure 1.2). These loops generate  $\pi_1(U^{\text{an}}, *)$ .

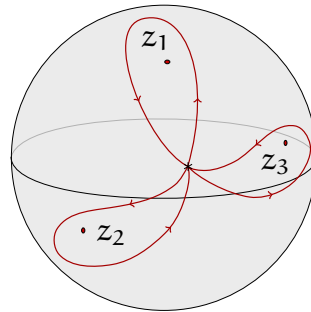


Figure 1.2: Loops around the punctures

Moreover, possibly after renumbering, the product loop  $\gamma_1 \cdots \gamma_m$  is null-homotopic (see figure 1.4). In fact, this turns out to be the only relation:

$$\pi_1(U^{\text{an}}, *) = \langle \gamma_1, \dots, \gamma_m \mid \gamma_1 \cdots \gamma_m = 1 \rangle. \quad (1.3)$$

It follows that  $\pi_1(U^{\text{an}}, *)$  is actually a free group on any  $m - 1$  of the generating loops.

If  $V$  is an  $n$ -dimensional representation of  $\pi_1(U^{\text{an}}, *)$  and we choose a basis  $(v_1, \dots, v_n)$ , then the action of each loop  $\gamma_i$  on  $V$  determines an  $n \times n$  invertible matrix  $A_i$ . The fact that  $\gamma_1 \cdots \gamma_m = 1$  then tells us that

$$A_1 \cdots A_m = 1.$$

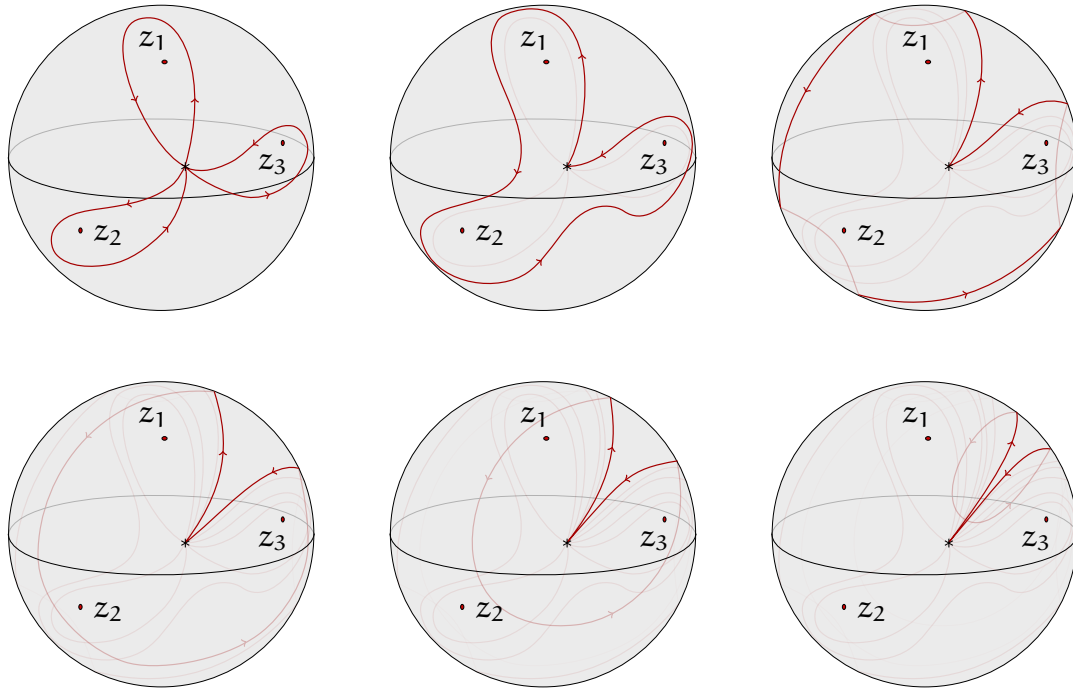


Figure 1.4: The product  $\gamma_1 \cdots \gamma_m$  is null-homotopic: we perturb the product to a loop encircling all of  $Z$ , and then pull the loop all the way around the sphere.

(LS3)  $\rightsquigarrow$  (LS2) Using the presentation of  $\pi_1(U^{\text{an}}, *)$  in equation (1.3), we see that any list  $A_1, \dots, A_m$  of  $n \times n$  invertible matrices such that  $A_1 \cdots A_m = 1$  defines a group homomorphism  $\pi_1(U^{\text{an}}, *) \rightarrow GL_n(\mathbb{C})$  given by  $\gamma_i \mapsto A_i$ . Since  $\mathbb{C}^n$  has a canonical action of  $GL_n(\mathbb{C})$  by left multiplication, we obtain an action of  $\pi_1(U^{\text{an}}, *)$  on  $\mathbb{C}^n$  via this homomorphism.

Suppose  $L$  is a local system on  $U$  of rank  $n$  which corresponds to the list of matrices  $A_1, \dots, A_m$ .

- $L$  is irreducible if and only if no subspace of  $\mathbb{C}^n$  is invariant under all of the  $A_i$ .
- If  $L'$  is another local system of rank  $n$  which corresponds to the list of matrices  $A'_1, \dots, A'_m$ . Then  $L \simeq L'$  if and only if the two lists  $A_1, \dots, A_m$  and  $A'_1, \dots, A'_m$  are *simultaneously* conjugate (that is, there exists a single matrix  $P \in GL_n(\mathbb{C})$  such that  $A'_i = P^{-1}A_iP$ ).

Let us also make the following (slightly non-standard) definition.

**Definition 1.5** (Local monodromy). If  $L$  is the local system on  $U$  corresponding to a list of matrices  $A_1, \dots, A_m$ , the *local monodromy* of  $L$  at  $z_i$  is the conjugacy class of  $A_i$  (that is, “the” Jordan form of  $A_i$ ).

## 1.B Rigid local systems

**Definition 1.6** (Physical rigidity). A local system  $L$  on  $U$  is *physically rigid* if it is determined up to isomorphism by its local monodromies: that is, whenever there exists a local system  $L'$  on  $U$  such that the local monodromies of  $L$  and  $L'$  along  $Z$  are equal, then  $L$  and  $L'$  are isomorphic.

More concretely, the local system corresponding to a list of matrices  $A_1, \dots, A_m$  is physically rigid if and only if, whenever there is a list of matrices  $A'_1, \dots, A'_m$  such that  $A'_1 \cdots A'_m = 1$  and  $A_i$  is conjugate to  $A'_i$  for each  $i$  individually, then in fact the two lists  $A_1, \dots, A_m$  and  $A'_1, \dots, A'_m$  are simultaneously conjugate.

In practice, it is difficult to check physical rigidity directly from the definition. It turns out, however, that there is a simple characterization of irreducible and physically rigid local systems.

**Theorem 1.7** (Katz’s cohomological criterion for rigidity). *Suppose  $L$  is an irreducible local system on  $U$ . Then  $L$  is physically rigid if and only if  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L)) = 0$ .<sup>1</sup>*

It follows from the Euler-Poincaré formula that, if a local system  $L$  of rank  $n$  on  $U$  corresponds to the list of matrices  $(A_1, \dots, A_m)$  in  $GL_n(\mathbb{C})$ , then

$$\dim H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L)) = 2(1 - n^2) + \sum_{i=1}^m \text{codim}_3(A_i) \quad (1.8)$$

where  $3(A_i)$  is the centralizer of  $A_i$ , regarded as a subspace of  $\mathfrak{gl}_n$ . In this way, theorem 1.7 makes it very easy to check rigidity of irreducible local systems.

**Example 1.9.** We have  $\text{codim}_3(A) = 2$  for any non-scalar  $A \in GL_2(\mathbb{C})$ . Thus an irreducible local system of rank 2 on  $U$ , all of whose local monodromies are non-scalar, is physically rigid if and only if we have precisely  $m = 3$  punctures.

To explain where Katz’s cohomological criterion for rigidity comes from, let us first give a moduli theoretic reinterpretation of physical rigidity.

<sup>1</sup>Note that, for a local system  $L$  on  $U$ , we have  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} L) = H^1(\mathbb{P}^{1,\text{an}}, j_* L)$ , where  $j_*$  denotes the usual underived direct image functor.

## Deligne-Simpson map

Consider the functor  $H_n$  which sends a commutative  $\mathbb{C}$ -algebra  $R$  to the set

$$\mathrm{Hom}_{\mathrm{GRP}}(\pi_1(\mathcal{U}^{\mathrm{an}}, *), \mathrm{GL}_n(\mathbb{R})).$$

For each  $i = 1, \dots, m$ , we have a “image of  $\gamma_i$ ” morphism  $\pi_i : H_n \rightarrow \mathrm{GL}_n$ . The product  $(\pi_1, \dots, \pi_m)$  defines a closed embedding of  $H_n$  into the  $m$ -fold product  $\mathrm{GL}_n \times \dots \times \mathrm{GL}_n$ , with image the closed subscheme

$$R \mapsto \{A_1, \dots, A_m \in \mathrm{GL}_n(\mathbb{R}) \mid A_1 \cdots A_m = 1\}.$$

Thus  $H_n$  is an affine scheme.<sup>2</sup> Observe that  $\mathrm{GL}_n$  acts on  $H_n$  on the left by conjugation. The quotient stack

$$\mathrm{Loc}_n := [H_n/\mathrm{GL}_n]$$

is the moduli of local systems of rank  $n$  on  $\mathcal{U}$ .<sup>3</sup> Taking an infinite coproduct, we obtain the algebraic stack

$$\mathrm{Loc} := \coprod_{n \geq 1} \mathrm{Loc}_n$$

which parametrizes all local systems on  $\mathcal{U}$ .

Now  $\mathrm{GL}_n$  also acts on itself by conjugation, and the “image of  $\gamma_i$ ” map  $\pi_i : H_n \rightarrow \mathrm{GL}_n$  is  $\mathrm{GL}_n$ -equivariant. It therefore induces a morphism

$$\mathrm{Loc}_n \longrightarrow J_n := [\mathrm{GL}_n/\mathrm{GL}_n]$$

which we abusively denote  $\pi_i$  again. The tuple  $(\pi_1, \dots, \pi_m)$  defines a morphism

$$\mathrm{Loc}_n \longrightarrow (J_n)^m. \tag{1.10}$$

Now let  $J := \coprod_{n \geq 1} J_n$  and take the infinite disjoint union of these maps as  $n$  varies.

**Definition 1.11.** The *Deligne-Simpson map* is the morphism

$$\mathrm{Loc} \xrightarrow{\pi} J^m$$

defined by taking the infinite disjoint union of the map (1.10) over all  $n \geq 1$ . If  $L$  is a local system of rank  $n$  on  $\mathcal{U}$ , then  $\pi(L)$  is the local monodromy data of  $L$  along  $Z$ .

<sup>2</sup>Note that the projection  $(\pi_1, \dots, \pi_m)$  defines an isomorphism of  $H_n$  onto the  $(m-1)$ -fold product  $\mathrm{GL}_n \times \dots \times \mathrm{GL}_n$ . In particular,  $H_n$  is smooth.

<sup>3</sup>The algebraic stack  $\mathrm{Loc}_n$  is quasi-separated of finite type over  $\mathbb{C}$ , because  $H_n$  and  $\mathrm{GL}_n$  are both affine of finite type over  $\mathbb{C}$ . In fact, it is even smooth, since  $H_n$  is smooth.

When  $M$  is a finite type point of  $J^m$ , we let  $\Gamma_M$  be the residual gerbe of  $J$  at  $M$  and we define  $\text{Loc}^M := \pi^{-1}(\Gamma_M)$ .

$$\begin{array}{ccc} \text{Loc}^M & \hookrightarrow & \text{Loc} \\ \downarrow & & \downarrow \pi \\ \Gamma_M & \hookrightarrow & J^m \end{array} \quad (1.12)$$

This is a quasi-separated algebraic stack of finite type over  $\mathbb{C}$ .<sup>4</sup> Roughly speaking,  $M$  is an  $m$ -tuple of conjugacy classes invertible matrices over  $\mathbb{C}$ , and  $\text{Loc}^M$  is the moduli of local systems on  $U$  whose local monodromy along  $Z$  is  $M$ .

**Theorem 1.13.** *Let  $L$  be a local system on  $U$  and  $M := \pi(L)$  its local monodromy data. Then we have*

$$\text{Inf}_L(\text{Loc}^M) = \text{End}_{\mathbb{C}}(L) \text{ and } T_L(\text{Loc}^M) = H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L)),$$

where  $j$  denotes the open embedding  $U^{\text{an}} \hookrightarrow \mathbb{P}^{1,\text{an}}$ . The tangent space  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L))$  carries a natural symplectic form. Moreover, if  $L$  is irreducible, then  $\text{Loc}^M$  is smooth at  $L$ .

One can prove theorem 1.13 roughly as follows. We produce an exact sequence [Stacks, 07X2] using the cartesian diagram (1.12). This exact sequence identifies  $\text{Inf}_L(\text{Loc}^M)$  with  $\text{End}_{\mathbb{C}}(L)$  and  $T_L(\text{Loc}^M)$  with  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L))$ .<sup>5</sup> The trace pairing on  $\text{End}(L)$  induces a symplectic form on this vector space.<sup>6</sup> Obstructions to smoothness live in  $H_{\mathbb{C}}^2(U^{\text{an}}, \text{End}(L))$ , and the obstruction classes vanish when  $L$  is irreducible.<sup>7</sup>

## Sketch of a proof of Katz's cohomological criterion

Let  $L$  be an irreducible local system on  $U$  and  $M = \pi(L)$  its monodromy data. The proof that  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L)) = 0$  implies physical rigidity is an application of the Euler-Poincaré formula; see the first part of the proof of [Kat96, theorem 1.1.2] for details.

Here, let us focus on the converse; let us give a slightly different argument than that given in [Kat96, theorem 1.1.2]. More specifically, we will see that the fact that physical rigidity implies  $H^1(\mathbb{P}^{1,\text{an}}, j_{!+} \text{End}(L)) = 0$  is a relatively formal consequence of the infinitesimal structure of  $\text{Loc}^M$  near  $L$  as described by theorem 1.13, plus the fact that  $\text{Loc}^M$  is a quasi-separated algebraic stack of finite type over  $\mathbb{C}$ .

Notice that

$$\text{Inf}_L(\text{Loc}^M) = \text{End}_{\mathbb{C}}(L) = \mathbb{C}$$

since  $L$  is irreducible. We know from theorem 1.13 that  $\text{Loc}^M$  is smooth at  $L$ , so  $\dim_L(\text{Loc}^M)$  coincides with the Euler characteristic of the tangent complex at  $L$ . In other

<sup>4</sup>Observe that  $\text{Loc}^M$  is empty unless  $M$  is a point of  $(J_n)^m$  for some  $n$ , in which case the finite type monomorphism  $\text{Loc}^M \hookrightarrow \text{Loc}$  factors through  $\text{Loc}_n$ , which is quasi-separated of finite type over  $\mathbb{C}$ .

<sup>5</sup>Cf. [BE04, theorem 4.10], [EG18, proposition 2.3 and remark 2.4], and theorem 6.1 below.

<sup>6</sup>Cf. [Kat96, page 3] and theorem 6.1 below.

<sup>7</sup>Cf. [BE04, theorem 4.10] and theorem 6.2 below.

words, we have

$$\begin{aligned} \dim_{\mathbb{L}}(\mathrm{Loc}^M) &= -\dim \mathrm{Inf}_{\mathbb{L}}(\mathrm{Loc}^M) + \dim T_{\mathbb{L}}(\mathrm{Loc}^M) \\ &= -1 + \dim H^1(\mathbb{P}^{1,\mathrm{an}}, j_{!+} \mathrm{End}(L)). \end{aligned}$$

Since  $H^1(\mathbb{P}^{1,\mathrm{an}}, j_{!+} \mathrm{End}(L))$  carries a symplectic form, its dimension must be even. We conclude that  $H^1(\mathbb{P}^{1,\mathrm{an}}, j_{!+} \mathrm{End}(L)) = 0$  if and only if  $\dim_{\mathbb{L}}(\mathrm{Loc}^M) \leq 0$ .

By definition,  $L$  is physically rigid if and only if  $L$  is the unique finite type point of  $\mathrm{Loc}^M$ . Equivalently,  $L$  is physically rigid if and only if  $L$  is the unique point of  $\mathrm{Loc}^M$  (cf. lemma A.3), and this implies that  $\dim_{\mathbb{L}}(\mathrm{Loc}^M) \leq 0$  (cf. lemma A.4).

## 1.C Simpson's conjecture

Example 1.9 suggests that the physically rigid local systems form a somewhat sparse class of local systems. Despite this, interest in this class of local systems stems in part from the following result.

**Theorem 1.14** ([Kat96, theorem 8.4.1]). *Suppose  $L$  is an irreducible local system on  $U$  such that  $\pi(L)$  is quasi-unipotent. If  $L$  is physically rigid, then it is motivic.*

**Example 1.15.** Let  $U = \mathbb{P}^1 \setminus \{0, 1, \infty\}$  and consider the local system on  $U$  whose sections are local solutions on  $U^{\mathrm{an}}$  to the hypergeometric differential equation

$$z(z-1)f'' + (2z-1)f' + \frac{f}{4} = 0.$$

It turns out that, up to simultaneous conjugation,

$$A_0 = \begin{pmatrix} 2 & 1 \\ -1 & 0 \end{pmatrix}, \quad A_1 = \begin{pmatrix} 1 & 0 \\ -3 & 1 \end{pmatrix}, \quad \text{and} \quad A_\infty = \begin{pmatrix} 0 & -1 \\ 1 & -2 \end{pmatrix}.$$

All of these matrices are conjugate to Jordan blocks of size 2; the first two have eigenvalue 1, and the third has eigenvalue  $-1$ . The only nontrivial subspace that is invariant under  $A_0$  is the one spanned by the eigenvector  $(-1, 1)$ . This is not stable under either  $A_1$  or  $A_\infty$ , so  $L$  is irreducible. It follows from example 1.9 that  $L$  is physically rigid, so Katz's motivicity theorem 1.14 guarantees that  $L$  is motivic.

In fact, this is recovering a classical result. Let  $f : E \rightarrow U$  be the Legendre family of elliptic curves: the fiber above any closed point  $u \in U$  is the projective closure of the affine curve on  $U$  defined by the Weierstrass equation

$$y^2 = x(x-1)(x-u).$$

Then  $L \simeq R^1 f_* \mathbb{C}_{E^{\mathrm{an}}}$ .



Suppose now that  $X$  is any smooth, connected, and projective scheme over  $\mathbb{C}$ . Let  $Z$  be a strict normal crossings divisor in  $X$  with irreducible components  $Z_1, \dots, Z_m$  and let  $U = X \setminus Z$ . We can then form the algebraic stack  $\text{Loc}$  of local systems on  $U$ . Fix a rank 1 local system  $D$  and let  $\text{Loc}_D$  be the moduli of local systems  $L$  on  $U$  equipped with an isomorphism  $D \simeq \det(L)$ . As before, there is a monodromy map

$$\text{Loc}_D \xrightarrow{\pi} J^m.$$

Choosing a finite type point  $M$  of  $J^m$ , the inverse image of the residual gerbe of  $J^m$  at  $M$  defines a substack  $\text{Loc}_D^M \subseteq \text{Loc}_D$ .

**Conjecture 1.16** (Simpson). *Suppose  $L$  is an irreducible local system on  $U$  such that  $D := \det(L)$  is torsion and  $M := \pi(L)$  is quasi-unipotent. If  $L$  is isolated in  $\text{Loc}_D^M$ , then it is motivic.*

Katz's motivicity theorem 1.14 is precisely the  $X = \mathbb{P}^1$  case of Simpson's conjecture; it was not necessary to fix determinants in this case roughly because  $\mathbb{P}^{1, \text{an}}$  is simply connected. Some evidence towards the general conjecture is provided in [EG18], where it is proved that, under the same hypotheses as conjecture 1.16,  $L$  must be integral.<sup>8</sup>

## 1.D Positive characteristic

Suppose now that  $k$  is an algebraically closed field of characteristic  $p > 0$ . Let  $\mathbb{P}^1$  be the projective line over  $k$  and let  $Z = \{z_1, \dots, z_m\}$  be an effective Cartier divisor in  $\mathbb{P}^1$  with complement  $U = \mathbb{P}^1 \setminus Z$ . There are now several kinds of objects living on  $U$  that can rightfully be called analogs of local systems, indexed by an auxiliary prime  $\ell$ .

For any  $\ell \neq p$  we can consider  $\ell$ -adic local systems on  $U$  for some prime  $\ell \neq p$ , by which we mean continuous finite dimensional representations of the étale fundamental group  $\pi_1^{\text{ét}}(U, *)$  over  $\overline{\mathbb{Q}}_\ell$ , where  $*$  is a fixed basepoint in  $U$ . For every  $z \in Z$ , there is a natural group homomorphism

$$G_z := \text{Gal}(\text{Frac } \hat{\mathcal{O}}_{\mathbb{P}^1, z}) \longrightarrow \pi_1^{\text{ét}}(U, *).$$

If  $L$  is a  $\ell$ -adic local system on  $U$ , the isomorphism class of the continuous representation of  $G_z$  obtained by restricting along the above homomorphism plays the role of the *local monodromy* of  $L$  around  $z$ . This lets us formulate a notion of *physical rigidity* for  $\ell$ -adic local systems on  $U$ . Katz proved that physical rigidity of an irreducible  $\ell$ -adic local system  $L$  is implied by the vanishing of  $H^1(\mathbb{P}^1, j_{!+} \text{End}(E))$  [Kat96, theorem 5.0.2]. The role of the Euler-Poincaré formula in this situation is played by the Grothendieck-Ogg-Shafarevich formula. More recent work of Fu proves that the converse implication is true as well [Fu17].

<sup>8</sup>A local system  $L$  being integral means that  $L$  comes from base changing a local system of finite projective modules over the ring of integers in a number field.

When  $\ell = p$ , there are “too many” continuous finite dimensional representations of  $\pi_1^{\text{ét}}(\mathcal{U}, *)$  over  $\bar{\mathbb{Q}}_p$ , because the image in  $\text{GL}_n(\bar{\mathbb{Q}}_p)$  of the “pro- $p$  part” of  $\pi_1^{\text{ét}}(\mathcal{U}, *)$  can be quite large. By requiring that the image of the “pro- $p$  part” is not too large, we obtain a slightly better behaved category, and we can “unsolve” these representation to obtain certain kinds of modules with integrable connections. More precisely, a theorem of Tsuzuki’s tells us that continuous finite dimensional representations of  $\pi_1^{\text{ét}}(\mathcal{U}, *)$  with finite local monodromy are equivalent to overconvergent isocrystals on  $\mathcal{U}$  equipped with unit-root Frobenius structures [Tsu98]. But now, this category turns out to be too small to contain all objects that can “come from geometry over  $\mathcal{U}$ .”

A better category seems to be that of *all* overconvergent isocrystals on  $\mathcal{U}$ . It seems to contain objects that “come from geometry over  $\mathcal{U}$ ” [Ber86, théorème 5], though there remain some open questions about its suitability as an analog of local systems [Laz16]. Hereafter, we will refer to overconvergent isocrystals simply as *isocrystals*; an overview of these objects will be given in chapter 5. We will not insist that our isocrystals come equipped with Frobenius structures, though at various points it will be necessary to assume that some isocrystals in question *can* be equipped with a Frobenius structure (or to assume some more technical hypothesis that is implied by the existence of a Frobenius structure) in order to use some finite dimensionality results. In any case, the isocrystals that “come from geometry over  $\mathcal{U}$ ” come naturally equipped with Frobenius structures, so this will not be too serious an assumption when it does come up.

## 1.E Rigid isocrystals

Let  $K_0$  be the fraction field of the Witt vectors  $W(k)$  and  $\bar{K}$  an algebraic closure of  $K_0$ . We write  $K$  for finite extensions of  $K_0$  inside  $\bar{K}$ , and we define

$$\text{Isoc}^\dagger(\mathcal{U}/\bar{K}) := \text{colim}_K \text{Isoc}^\dagger(\mathcal{U}/K).$$

Objects of  $\text{Isoc}^\dagger(\mathcal{U}/K)$  are special kinds of modules with integrable connection on a lift of  $\mathcal{U}$ . Slightly more precisely, consider the adic projective line  $P$  over the ring of integers in  $K$ . Objects of  $\text{Isoc}^\dagger(\mathcal{U}/K)$  are modules with integrable connection on the tube  $]U[_K$  of  $\mathcal{U}$  in  $P$  which satisfy a technical “overconvergence” condition; this condition ensures that these objects are canonically attached to the geometry of  $\mathcal{U}$  (as opposed to a lift of  $\mathcal{U}$ ).

The analog of the local monodromy at a point  $z \in Z$  of an  $E \in \text{Isoc}^\dagger(\mathcal{U}/K)$  is played by the isomorphism class of the “Robba fiber”  $E_z$  of  $E$  at  $z$ , which is a differential module over a certain differential ring  $\mathcal{R}_z$ , called the “Robba ring” at  $z$ . The overconvergence condition on  $E$  mentioned earlier is equivalent to requiring that the Robba fibers are “solvable” differential modules over the Robba rings along  $Z$ . It is worth emphasizing at this point that overconvergence of  $E$  is entirely determined by properties of the tuple of Robba fibers  $(E_z)_{z \in Z}$ . We will return to this observation shortly.

We can now formulate a notion of physical rigidity for isocrystals: we say that  $E \in \text{Isoc}^\dagger(\mathbb{U}/K)$  is *physically rigid* if it is determined up to isomorphism as an object of  $\text{Isoc}^\dagger(\mathbb{U}/\bar{K})$  by the isomorphism classes of its Robba fibers along  $Z$ .<sup>9</sup>

Crew proves that an absolutely irreducible  $E \in \text{Isoc}^\dagger(\mathbb{U}/K)$  is physically rigid if a certain “parabolic cohomology” space  $H_{p,\text{rig}}^1(\mathbb{U}, \text{End}(E))$  vanishes [Cre17, theorem 1]. The proof is similar to the ones given by Katz in the complex (resp.  $\ell$ -adic) settings; the role of the Euler-Poincaré formula (resp. Grothendieck-Ogg-Shafarevich formula) is played by the Christol-Mebkhout index formula [CM00, théorème 8.4–1]. To strengthen the analogy of Crew’s result with its analogs in the complex and  $\ell$ -adic settings, we prove in theorem 5.41 below that Crew’s parabolic cohomology  $H_{p,\text{rig}}^1(\mathbb{U}, \text{End}(E))$  coincides with  $H^1(\mathbb{P}^1, j_{!+} \text{End}(E))$ , where  $j_{!+}$  is the middle extension operation in Berthelot’s theory of arithmetic D-modules.

The bulk of this dissertation is motivated by a search for the converse implication, that physical rigidity of an absolutely irreducible  $E \in \text{Isoc}^\dagger(\mathbb{U}/K)$  implies the vanishing of  $H_{p,\text{rig}}^1(\mathbb{U}, \text{End}(E))$ . An approach like the one we described above in section 1.B above cannot work verbatim: isocrystals on  $\mathbb{U}$  with prescribed Robba fibers along  $Z$  seem not to be the finite type points of an algebraic stack.

What can be made precise is a stack  $S$  over  $K_0$  whose  $K$ -points are modules with integrable connections on  $]\mathbb{U}[_K$ . Moreover, if we fix a tuple  $M$  of isomorphism classes of differential modules over the Robba rings along  $Z$ , we can also form the substack  $S^M \subseteq S$  whose  $K$ -points are modules with integrable connection on  $]\mathbb{U}[_K$  whose Robba fibers are prescribed by  $M$ . These stacks are likely not algebraic (more on this shortly). Nevertheless, we will see in theorems 6.1 and 6.2 below that the stack  $S^M$  has the satisfying properties infinitesimally, completely analogous to the infinitesimal properties of the stack  $\text{Loc}^M$  we saw in theorem 1.13 above. For instance, if  $M$  is the tuple of Robba fibers of  $E \in \text{Isoc}^\dagger(\mathbb{U}/K)$  along  $Z$ , and we regard  $E$  as a finite type point of  $S^M$ , we will show that the tangent space to the stack  $S^M$  at the point  $E$  is precisely Crew’s parabolic cohomology  $H_{p,\text{rig}}^1(\mathbb{U}, \text{End}(E))$ , and that this space carries a natural symplectic form, forcing its dimension to be even (when it is finite).

We should note that the stack  $S$  has finite type points corresponding to modules with integrable connection over  $K_0$  which do not satisfy the overconvergence condition. In other words, the stack  $S$  is classifying objects that are not necessarily canonically attached to  $\mathbb{U}$  itself. Rather, it is classifying objects that are canonically related to the geometry of the *tube* of  $\mathbb{U}$  inside the adic projective line. In fact, the objects which are overconvergent are somewhat sparse in  $S$ . For example, when  $\mathbb{U} = \mathbb{P}^1 \setminus \{0, \infty\}$  with coordinate  $t$ , the

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<sup>9</sup>It is worth drawing attention to the fact that we are requiring that  $E$  be determined up to isomorphism as an object of  $\text{Isoc}^\dagger(\mathbb{U}/\bar{K})$  by its Robba fibers, not as an object of  $\text{Isoc}^\dagger(\mathbb{U}/K)$ . This condition is therefore slightly stronger than the notion formulated by Crew [Cre17] in that we have forcibly stabilized Crew’s definition under finite extensions of  $K$ . Since the goal we have in mind in this dissertation is a  $p$ -adic analog of Katz’s cohomological criterion and since the condition that the relevant cohomology space  $H_{p,\text{rig}}^1(\mathbb{U}, \text{End}(E))$  vanish is invariant under finite extensions of  $K$ , this notion seemed better suited for our purposes.

differential operators  $t\partial - \lambda$  for  $\lambda \in \bar{K}$  all determine finite type points of  $S$ , but these are only overconvergent when  $\lambda \in \mathbb{Z}_p$ . However, if  $M$  is a tuple of *solvable* differential modules over the Robba rings along  $Z$ , then in fact all of the finite type points of  $S^M$  do satisfy the overconvergence property and define isocrystals on  $U$ .

The picture this suggests is something like figure 1.17. There is a “Robba fibers” map from the moduli  $S$  of all modules with integrable connection on  $]U[$ , down to the moduli  $R^m$  of  $m$ -tuples of differential modules over the Robba rings along  $Z$ . The objects of  $\text{Isoc}^\dagger(U/\bar{K})$  are precisely the ones living over solvable differential modules over the Robba rings along  $Z$ .

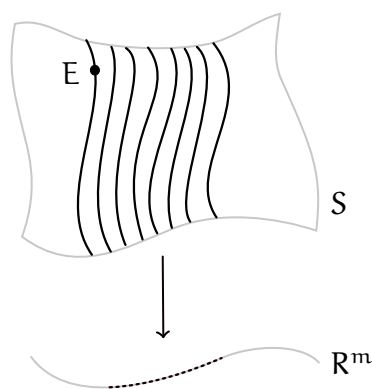


Figure 1.17: The moduli  $S$  of modules with connections on  $]U[$ . There is a natural “Robba fibers” map  $S \rightarrow R^m$ , and the preimage of the “solvable locus” of  $R^m$  (indicated by the black dots) is the space of isocrystals on  $U$  (indicated by the black fibers). Given  $E \in \text{Isoc}^\dagger(U/\bar{K})$ , its tangent space in  $S$  is  $H_{\text{rig}}^1(U, \text{End}(E))$ , and its tangent space in the fiber is  $H_{p, \text{rig}}^1(U, \text{End}(E))$ . Note that  $S$  is formally smooth, but the fibers need not be. However, when  $E$  is irreducible, it is a formally smooth point of the fiber.

The attempt to make this picture precise takes us back to the comment we made earlier, about the stacks  $S$  and  $S^M$  likely not being algebraic stacks.

## Musings

Recall that in the proof of Katz’s cohomological criterion we discussed above, we combined the infinitesimal properties of  $\text{Loc}^M$  with *global* properties: more specifically, we used the fact that it was a quasi-separated algebraic stack of finite type over  $\mathbb{C}$ . On the other hand, the objects parametrized by  $S^M$  are inherently analytic in nature, which makes it seem unlikely that it is an algebraic stack at all.

That said, it is likely that  $S^M$  is an “analytic stack” in some suitable sense; it may, for instance, have a presentation by a groupoid in the category of dagger spaces à la Grosse-Klönne [Gro00]. The theory of such objects is not as well-developed as that of algebraic

stacks, but it likely that establishing the existence of a suitable such presentation should give us sufficient geometric control of the stack  $S^M$  to prove that physical rigidity implies the vanishing of  $H_{p,\text{rig}}^1(\mathcal{U}, \text{End}(E))$ . I hope to explore this in future work.

## 1.F Contents

Chapter 2 is background material on formal deformation theory. It is mostly expository, though at a few points we categorify and slightly expand some results that exist in the literature. This categorification makes for a cleaner story conceptually, and also permits us to prove a certain algebraization theorem for infinitesimal deformations of isocrystals later on (cf. theorem 6.3).

In chapter 3, we apply the background material on formal deformation theory to studying deformations of a left module  $E$  over an arbitrary associative algebra  $D$  over a field  $K$  of characteristic zero. The main result in this chapter is theorem 3.2, which shows that the Hochschild cochain complex  $\text{Hoch}_K(D, \text{End}_K(E))$  governs the deformations  $E$ . This categorifies observations of Yau [Yau05].

Then in chapter 4, we specialize further and study the deformations of a differential module  $E$  over an arbitrary differential algebra  $\mathcal{O}$  over a field  $K$  of characteristic zero. The key here is theorem 4.13, which constructs an explicit quasi-isomorphism of differential graded algebras between the de Rham complex  $dR(\mathcal{O}, \text{End}_{\mathcal{O}}(E))$  and the Hochschild cochain complex  $\text{Hoch}_K(D, \text{End}_K(E))$ , where  $D$  is the associated ring of differential operators.

Chapter 5 is mostly expository material on isocrystals on open subsets of the projective line, with some new results. Proposition 5.10, for instance, proves that the ring of functions on the tube of an affine open subset of  $\mathbb{P}^1$  is a principal ideal domain; this is likely well-known to experts, but I know of no reference in the literature, and it has a number of important consequences that are described in chapter 5. Also, theorem 5.41 is the aforementioned comparison between Crew’s parabolic cohomology and the middle extension operation in Berthelot’s theory of arithmetic  $D$ -modules. Note that chapter 5 is largely independent of everything that precedes it; starting in section 5.C, we do use some *notation* that is introduced in chapter 4, but we do not use any of the *results* of chapter 4.

Finally, we put everything together in chapter 6. Theorems 6.1 and 6.2 describe the infinitesimal deformation theory of isocrystals; combined, they provide a  $p$ -adic analog to theorem 1.13 above. Theorem 6.3 is a kind of “algebraization” theorem that falls out almost automatically as a result of our categorified approach to deformation theory. We conclude with a calculation in example 6.6 which is in analogy with example 1.9 above.

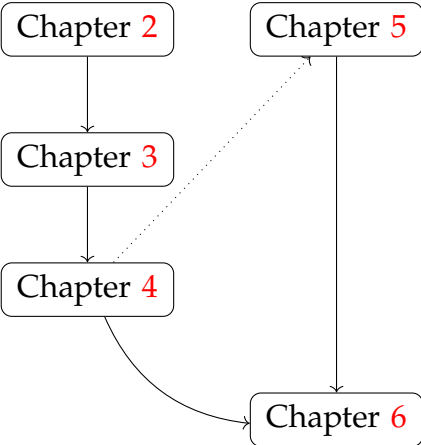


Figure 1.18: Leitfaden

# Chapter 2

## Formal deformation theory

We fix a field  $K$  of characteristic 0. In this chapter, we recount some generalities about deformation theory. The foundational work here is due to Schlessinger [Sch68], but we use here the categorified version of Rim [GRR06, Exposé VI], which uses opfibrations in groupoids over  $\text{ART}_K$  in place of functors  $\text{ART}_K \rightarrow \text{SET}$ , where  $\text{ART}_K$  denotes the category of artinian local  $K$ -algebras with residue field  $K$ .

We generally<sup>10</sup> follow terminology and notation set up for formal deformation theory in the Stacks Project [Stacks, 06G7], and we provide references therein whenever possible.

### 2.A Hulls and prorepresentability

The definition of a deformation category is given in [Stacks, 06J9]. To any deformation category  $\mathbb{F}$ , one can associate a decategorified functor  $\bar{\mathbb{F}} : \text{ART}_K \rightarrow \text{SET}$  [Stacks, 07W5], as well as two vector spaces: its tangent space  $\mathbb{T}(\mathbb{F})$  [Stacks, 06I1] and its space of infinitesimal automorphisms [Stacks, 06JN]. Let us also draw attention to the fact that the 2-category of deformation categories has 2-fiber products [Stacks, 06L4], as we will use this several times.

The following theorem could be called the “fundamental theorem of deformation theory.”

**Theorem 2.1.** *Suppose  $\mathbb{F}$  is deformation category.*

- (a)  *$\mathbb{F}$  has a hull if and only if its tangent space  $\mathbb{T}(\mathbb{F})$  is finite dimensional.*
- (b) *The decategorified functor  $\bar{\mathbb{F}}$  is prorepresentable if and only if  $\mathbb{T}(\mathbb{F})$  is finite dimensional and  $\text{Aut}_{R'}(\alpha') \rightarrow \text{Aut}_R(\alpha)$  is surjective whenever  $\alpha' \rightarrow \alpha$  is a morphism in  $\mathbb{F}$  lying over a surjective homomorphism  $R' \rightarrow R$  in  $\text{ART}_K$ .*

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<sup>10</sup>The only exceptions are that we use the slightly less sesquipedalian phrase *opfibration in groupoids* in place of “category cofibered in groupoids,” and similarly *hull* in place of “miniversal formal object.”

(c)  $F$  is prorepresentable if and only if  $T(F)$  is finite dimensional and  $\text{Inf}(F) = 0$ .

*Proof.* Since  $F$  is a deformation category, it satisfies the Rim-Schlessinger condition (cf. [Stacks, 06J2] for a definition) and therefore also axioms (S1) and (S2) (cf. [Stacks, 06J7] for a definition). Thus (a) is precisely [Stacks, 06IX], and (b) follows from [Stacks, 06JM] and [Stacks, 06J8]. Finally, (c) follows from statement (b) together with [Stacks, 06K0].  $\square$

## 2.B Residual gerbes

**Definition 2.2.** Suppose  $F$  is a predeformation category and fix an object  $x_0$  lying above  $K$ . The *residual gerbe* of  $F$  is the full subcategory  $\Gamma$  of  $F$  spanned by objects  $x$  such that there exists a morphism  $x_0 \rightarrow x$ .

In other words, the fiber of the residual gerbe  $\Gamma$  over  $R \in \text{ART}_K$  is a connected groupoid. Moreover, if  $x \in \Gamma$  lies over  $R$ , then the automorphism group  $\text{Aut}_R(x)$  is the same when is regarded as an object both of  $\Gamma(R)$  and of  $F(R)$ . It is clear that  $\Gamma$  is also a predeformation category.

**Lemma 2.3.** Let  $F$  be a deformation category and  $x_0$  an object lying above  $K$ . Suppose further that, for any morphism  $x' \rightarrow x$  in the residual gerbe  $\Gamma$  that lies above a surjective homomorphism in  $\text{ART}_K$ , the map

$$\text{Hom}(x_0, x') \longrightarrow \text{Hom}(x_0, x)$$

is surjective. Then  $\Gamma$  is a deformation category.

*Proof.* Suppose we are given a diagram

$$\begin{array}{ccc} & & x_2 \\ & & \downarrow \\ x_1 & \longrightarrow & x \end{array}$$

in  $\Gamma$  where  $x_2 \rightarrow x$  lies over a surjective homomorphism in  $\text{ART}_K$ . Since  $F$  is a deformation category, we can form the fiber product  $x_1 \times_x x_2$  in  $F$ . Let us show that this fiber product lies in  $\Gamma$ .

Since  $x_1$  is in  $\Gamma$ , there is a morphism  $\tau_1 : x_0 \rightarrow x_1$  in  $F$ . Composing with the map  $x_1 \rightarrow x$  gives us a map  $x_0 \rightarrow x$ , which, by our hypotheses, we can lift to a morphism  $\tau_2 : x_0 \rightarrow x_2$  such that the following diagram commutes.

$$\begin{array}{ccc} x_0 & \xrightarrow{\tau_2} & x_2 \\ & \searrow \tau_1 & \downarrow \\ & & x_1 \times_x x_2 \longrightarrow x_2 \\ & & \downarrow \quad \downarrow \\ & & x_1 \longrightarrow x \end{array}$$



Thus  $\tau = (\tau_1, \tau_2)$  defines a morphism  $x_0 \rightarrow x_1 \times_x x_2$ , proving that  $x_1 \times_x x_2$  is in  $\Gamma$ .  $\square$

**Remark 2.4.** Observe that the hypothesis of the lemma is equivalent to the following: for every surjective homomorphism  $R' \rightarrow R$  in  $\text{ART}_K$ , there exist  $x' \in \Gamma(R')$  and  $x \in \Gamma(R)$  such that, for every morphism  $x' \rightarrow x$ , the induced group homomorphism  $\text{Aut}_{R'}(x') \rightarrow \text{Aut}_R(x)$  is surjective.

## 2.C Obstruction theory

We also need some basic definitions about obstruction theory.

**Definition 2.5.** Suppose  $F$  is a deformation category. An *obstruction space* for  $F$  is a vector space  $V$  over  $K$  equipped with a collection of *obstruction maps*  $o(\pi, -) : \bar{F}(R) \rightarrow \ker(\pi) \otimes_K V$  for every small extension  $\pi : R' \rightarrow R$  in  $\text{ART}_K$ , subject to the following conditions.

(O1) Suppose we have a commutative diagram

$$\begin{array}{ccc} R'_2 & \xrightarrow{\pi_2} & R_2 \\ \alpha' \downarrow & & \downarrow \alpha \\ R'_1 & \xrightarrow{\pi_1} & R_1 \end{array}$$

in  $\text{ART}_K$  with  $\pi_1$  and  $\pi_2$  small extensions. Then for every  $x \in F(R_2)$ ,

$$o(\pi_1, \alpha(x)) = (\alpha' \otimes 1_V)(o(\pi_2, x)).$$

(O2) Suppose  $\pi : R' \rightarrow R$  is a small extension and  $x \in F(R)$ . There exists a  $x' \in F(R')$  and a morphism  $x' \rightarrow x$  lying over  $\pi$  if and only if  $o(\pi, x) = 0$ .

**Lemma 2.6.** Any deformation category  $F$  has an obstruction space.

*Proof.* An obstruction space for  $F$  as we have defined it is the same as a “complete linear obstruction theory” for the decategorified functor  $\bar{F}$  in the sense of [FM98, definitions 3.1, 4.1, and 4.7].

Note that the natural map

$$\bar{F}(R \times_K R') \longrightarrow \bar{F}(R) \times \bar{F}(R')$$

is bijective for all  $R, R' \in \text{ART}_K$ . This is a consequence of the Rim-Schlessinger condition; the proof is identical to the one in [Stacks, 06I0]. By [FM98, lemma 2.11], it follows that  $F$  is a “Gdot functor” in the sense of [FM98, definition 2.10]. Combining [FM98, theorem 3.2, corollary 4.4, and theorem 6.11], we are done.  $\square$

**Definition 2.7.** Suppose that  $\phi : F \rightarrow G$  is a morphism of deformation categories, that  $V$  is an obstruction space for  $F$  and  $W$  is an obstruction space for  $G$ . A  $K$ -linear map  $\gamma : V \rightarrow W$  is *compatible* with  $\phi$  if  $o(\pi, \phi(x)) = (1_{\ker(\pi)} \otimes \gamma)(o(\pi, x))$  for all small extensions  $\pi : R' \rightarrow R$  and all  $x \in F(R)$ .

**Lemma 2.8** (Standard smoothness criterion). *Suppose  $\phi : F \rightarrow G$  is a morphism of deformation categories such that*

- (i)  $T(F) \rightarrow T(G)$  is surjective, and
- (ii) *there exists an injective compatible homomorphism  $\gamma : V \rightarrow W$  of obstruction spaces, where  $V$  is an obstruction space for  $F$  and  $W$  for  $G$ .*

Then  $\phi$  is smooth.

*Proof.* This is simply a rephrasing of [Man99, proposition 2.17] in the setting of deformation categories. Suppose  $\pi : R' \rightarrow R$  is a small extension,  $y \in G(R')$ ,  $x \in F(R)$  and  $y \rightarrow \phi(x)$  is a morphism in  $G$  lying over  $\pi$ . Then

$$0 = o(\pi, \phi(x)) = (1_{\ker(\pi)} \otimes \gamma)(o(\pi, x))$$

so injectivity of  $\gamma$  implies that  $o(\pi, x) = 0$ . Thus condition (O2) guarantees that there exists a morphism  $x'_0 \rightarrow x$  lying over  $\pi$ .

Observe that the morphisms  $\phi(x'_0) \rightarrow \phi(x)$  and  $y \rightarrow \phi(x)$  in  $G$  lying over  $\pi$  both define elements in the set  $\text{Lift}(\phi(x), \pi)$  [Stacks, 06JE]. There is a free and transitive action of  $T(G) \otimes_K \ker(\pi) = T(G)$  on  $\text{Lift}(\phi(x), \pi)$  [Stacks, 06JI], so there exists  $w \in T(G)$  such that  $(\phi(x'_0) \rightarrow \phi(x)) \cdot w = (y \rightarrow \phi(x))$ . Since  $T(F) \rightarrow T(G)$  is surjective, we lift  $w$  to some  $v \in T(F)$  and then define  $x' \rightarrow x$  to be a representative of the isomorphism class  $(x'_0 \rightarrow x) \cdot v$ . The functoriality of the action [Stacks, 06JJ] guarantees that the isomorphism classes of  $\phi(x') \rightarrow \phi(x)$  and  $y \rightarrow \phi(x)$  in  $\text{Lift}(\phi(x), \pi)$  are equal. In other words, there exists a morphism  $\phi(x') \rightarrow y$  in  $G$  lying over  $R$  and making the following diagram commute.

$$\begin{array}{ccc} \phi(x') & \longrightarrow & y \\ & \searrow & \downarrow \\ & & \phi(x) \end{array}$$

This proves that  $\phi$  is smooth [Stacks, 06HH]. □

**Remark 2.9.** For a deformation category  $F$ , consider the category whose objects are obstruction spaces for  $F$  and whose morphisms are linear maps amongst obstruction spaces that are compatible with the identity on  $F$  in the sense of definition 2.7 above. This category has an initial object  $O_F$  and, for any obstruction space  $V$ , the unique map  $O_F \rightarrow V$  is injective [FM98, theorems 3.2 and 6.6].

## 2.D Quotients by group actions

**Definition 2.10.** Suppose  $F : \mathbf{ART}_K \rightarrow \mathbf{SET}$  and  $G : \mathbf{ART}_K \rightarrow \mathbf{GRP}$  are deformation functors in the sense of [Stacks, 06JA]. Note that this means that they satisfy Schlessinger's homogeneity axiom (H4) [Sch68, page 213]. Suppose further that  $G$  acts on  $F$ . Let  $[F/G]$  be the category whose objects are pairs  $(R, x)$  where  $R \in \mathbf{ART}_K$  and  $x \in F(R)$ , and whose morphisms  $(R', x') \rightarrow (R, x)$  are pairs  $(\pi, g)$  where  $\pi : R' \rightarrow R$  is a homomorphism in  $\mathbf{ART}_K$ ,  $g \in G(R)$  and  $g \cdot \pi(x') = x$ , where  $\pi(x')$  denotes the image of  $x'$  under the map  $F(\pi) : F(R') \rightarrow F(R)$ . Composition is defined using the group operation on  $G$ . Specifically, given another morphism  $(\pi', g') : (R'', x'') \rightarrow (R', x')$ , we define

$$(\pi, g) \circ (\pi', g') = (\pi \circ \pi', g \cdot \pi(g')).$$

Evidently the functor  $(R, x) \mapsto R$  presents  $[F/G]$  as an opfibration in groupoids over  $\mathbf{ART}_K$ .

**Lemma 2.11.**  $[F/G]$  is a deformation category.

*Proof.* Since  $F$  and  $G$  are both deformation functors,  $F(K)$  is a singleton set and  $G(K)$  is the trivial group. Thus  $[F/G](K)$  has just one object and no nontrivial morphisms, so  $[F/G]$  is a predeformation category [Stacks, 06GS]. We need to verify the Rim-Schlessinger condition [Stacks, 06J2]. This is straightforward once we recall that  $G$  must be smooth [FM98, theorem 7.19]. Suppose we have a diagram as follows in  $[F/G]$ , where  $\pi_2 : R_2 \rightarrow R$  is surjective.

$$\begin{array}{ccc} & (R_2, x_2) & \\ & \downarrow (\pi_2, g_2) & \\ (R_1, x_1) & \xrightarrow{(\pi_1, g_1)} & (R, x) \end{array}$$

Since  $G$  is smooth, there exist  $\tilde{g}_1, \tilde{g}_2 \in G(R_2)$  lifting  $g_1, g_2 \in G(R)$  respectively. Let  $S = R_1 \times_R R_2$ . Since  $F$  is a deformation category, we know that

$$F(S) \longrightarrow F(R_1) \times_{F(R)} F(R_2)$$

is bijective. The pair  $(x_1, \tilde{g}_1^{-1} \tilde{g}_2 \cdot x_2)$  is an element of  $F(R_1) \times_{F(R)} F(R_2)$ , so let  $y$  be the corresponding element of  $F(S)$ . Then we have a commutative diagram as follows, where  $\rho_i : S \rightarrow R_i$  are the canonical maps in  $\mathbf{ART}_K$ .

$$\begin{array}{ccc} (S, y) & \xrightarrow{(\rho_2, \tilde{g}_2^{-1} \tilde{g}_1)} & (R_2, x_2) \\ (\rho_1, 1) \downarrow & & \downarrow (\pi_2, g_2) \\ (R_1, x_1) & \xrightarrow{(\pi_1, g_1)} & (R, x) \end{array}$$



**Lemma 2.14.** *The stabilizer  $\text{Stab}_G$  is a deformation functor.*

*Proof.* Observe that we have an “act on 0” map  $G \rightarrow F$  that carries  $g \in G(R)$  to  $g \cdot 0 \in F(R)$  for all  $R \in \text{ART}_K$ . Suppose we have homomorphisms

$$\begin{array}{ccc} & & R_2 \\ & & \downarrow \\ R_1 & \longrightarrow & R \end{array}$$

in  $\text{ART}_K$  with  $R_2 \rightarrow R$  surjective. We then obtain a commutative diagram as follows, where we write  $S := \text{Stab}_G$  to ease notation.

$$\begin{array}{ccc} S(R_1 \times_R R_2) & \longrightarrow & S(R_1) \times_{S(R)} S(R_2) \\ \downarrow & & \downarrow \\ G(R_1 \times_R R_2) & \xrightarrow{\sim} & G(R_1) \times_{G(R)} G(R_2) \\ \downarrow & & \downarrow \\ F(R_1 \times_R R_2) & \xrightarrow{\sim} & F(R_1) \times_{F(R)} F(R_2) \end{array}$$

The lower two horizontal arrows are isomorphisms since  $F$  and  $G$  are deformation functors.

It is now an elementary diagram chase to prove that the horizontal arrow on top is also an isomorphism. Indeed, it follows immediately from injectivity of  $G(R_1 \times_R R_2) \rightarrow G(R_1) \times_{G(R)} G(R_2)$  that  $S(R_1 \times_R R_2) \rightarrow S(R_1) \times_{S(R)} S(R_2)$  is injective. Now suppose we have  $(g_1, g_2) \in S(R_1) \times_{S(R)} S(R_2)$ . Then there exists  $g \in G(R_1 \times_R R_2)$  which maps to  $(g_1, g_2)$ . Since  $g_1 \in S(R_1)$  and  $g_2 \in S(R_2)$ , we know that the image of  $(g_1, g_2)$  in  $F(R_1) \times_{F(R)} F(R_2)$  is  $(0, 0)$ . Thus the image of  $g$  in  $F(R_1 \times_R R_2)$  is 0. It follows that  $g \in S(R_1 \times_R R_2)$ , proving that  $S$  is a deformation functor.  $\square$

**Definition 2.15.** We define  $BG := [h_K/G]$ , where  $G$  acts trivially on  $h_K$ .

**Lemma 2.16.** *The “pick out 0” morphism  $h_K \rightarrow [F/G]$  factors as*

$$h_K \longrightarrow B\text{Stab}_G \longrightarrow [F/G],$$

and  $B\text{Stab}_G \rightarrow [F/G]$  is fully faithful with essential image the residual gerbe of  $[F/G]$ .  $\square$

**Corollary 2.17.** *The residual gerbe of  $[F/G]$  is a deformation category.*

*Proof.*  $\text{Stab}_G$  is a deformation functor by lemma 2.14, so  $B\text{Stab}_G$  is a deformation category by lemma 2.11. Since the residual gerbe of  $[F/G]$  is equivalent to  $B\text{Stab}_G$  by lemma 2.16, the result follows.  $\square$

## 2.E Differential graded Lie algebras

A great deal of work has been done relating differential graded Lie algebras to deformation theory. The underlying philosophy (due originally to Deligne, Drinfeld, Feigin, Kontsevich, and others) is that “reasonable” deformation problems are governed by differential graded Lie algebras. Work of Lurie formalizes this philosophy in an  $\infty$ -categorical framework (cf. [Lur10] for an overview of this work).

Here, we recall just a few relevant portions of this theory, avoiding words like “ $\infty$ -category.” To further simplify the exposition of the theory, we will assume that all differential graded Lie algebras are concentrated in nonnegative degrees, as this is the only case that will be relevant for us.

To lighten notation and decrease verbosity, all unadorned tensor products in this subsection are assumed to be over  $K$ , and algebras, Lie algebras, differential graded Lie algebras, etc, are also assumed to be over  $K$ , unless explicitly specified otherwise.

Fix a differential graded Lie algebra  $L$  concentrated in nonnegative degrees.

**Definition 2.18** (Gauge group). If  $R \in \text{ART}_K$ , we can regard the nilpotent  $R$ -Lie algebra  $G_L(R) = \mathfrak{m}_R \otimes L^0$  as a group by defining a group operation  $*$  using the Baker-Campbell-Hausdorff formula: we set

$$\eta * \eta' = \log(\exp(\eta) \exp(\eta'))$$

for all  $\eta, \eta' \in \mathfrak{m}_R \otimes L^0$ . The formal power series on the right-hand side are computed using the  $R$ -algebra structure on the universal enveloping  $R$ -algebra  $U(\mathfrak{m}_R \otimes_K L^0)$ , and [Ser92, theorem 7.4] guarantees that the result of these computations is actually in  $\mathfrak{m}_R \otimes L^0$ . Observe moreover that  $0$  is the unit element of this group structure, and that the additive inverse  $-\eta$  of  $\eta$  is also the inverse of  $\eta$  with respect to this group structure.

This is all evidently natural in  $R$ , so we obtain a functor  $G_L : \text{ART}_K \rightarrow \text{GRP}$ , which is in fact a deformation functor [Man99, section 3]. It is called the *gauge group* of  $L$ .

**Remark 2.19.** If  $L^0$  is itself an algebra (a special case which will be important for us), we obtain a commutative diagram

$$\begin{array}{ccc} \mathfrak{m}_R \otimes L^0 & \hookrightarrow & U(\mathfrak{m}_R \otimes L^0) \\ & \searrow & \downarrow \\ & & R \otimes L^0 \end{array}$$

where the horizontal maps are the natural inclusions and the vertical map is the  $R$ -algebra homomorphism induced by the universal property of the universal enveloping algebra. Thus, the power series on the right-hand side of the Baker-Campbell-Hausdorff formula can be computed using the natural  $R$ -algebra structure on  $R \otimes L^0$ .

**Definition 2.20** (Gauge action). Let  $F_L : \text{ART}_K \rightarrow \text{SET}$  be the functor  $R \mapsto \mathfrak{m}_R \otimes L$ . The *gauge action* of  $G_L$  on  $F_L$  is defined by the formula

$$\eta * x = x + \sum_{n=0}^{\infty} \frac{[\eta, -]^n}{(n+1)!} ([\eta, x] - d\eta)$$

for  $\eta \in \mathfrak{m}_R \otimes L^0$  and  $x \in \mathfrak{m}_R \otimes L$ . Since  $\mathfrak{m}_R$  is a nilpotent ideal in  $R$ , the endomorphism  $[\eta, -]$  is nilpotent, so the sum in the above formula is finite. One checks that this is, in fact, a group action: in other words, we have

$$\eta' * (\eta * x) = (\eta' * \eta) * x.$$

**Definition 2.21** (Maurer-Cartan elements). For  $x \in \mathfrak{m}_R \otimes L^1$ , we define

$$Q(x) := dx + \frac{1}{2}[x, x].$$

If  $Q(x) = 0$ , then  $x$  is a *Maurer-Cartan element* of  $\mathfrak{m}_R \otimes L^1$ . We define  $\text{MC}_L : \text{ART}_K \rightarrow \text{SET}$  to be the functor  $\text{ART}_K \rightarrow \text{SET}$  sending  $R$  to the set of Maurer-Cartan elements of  $\mathfrak{m}_R \otimes L^1$ . This is a deformation functor [Man99, section 3].

**Definition 2.22** (Deformation category associated to a differential graded Lie algebra). The action of  $G_L$  on  $F_L$  stabilizes  $\text{MC}_L$  [Man99, section 1], so we can define

$$\text{Def}_L := [\text{MC}_L / G_L].$$

By lemma 2.11, this is a deformation category.

**Remark 2.23.** In some of the literature (e.g. [Yek12]), the deformation category  $\text{Def}_L$  is called the (*reduced*) *Deligne groupoid* of  $L$ .

**Theorem 2.24** ([GM88, proposition 2.6]). *The deformation category  $\text{Def}_L$  has infinitesimal automorphisms  $H^0(L)$ , tangent space  $H^1(L)$ , and obstruction space  $H^2(L)$ .*

**Definition 2.25.** If  $F$  is a category over  $\text{ART}_K$  and  $L$  is a differential graded Lie algebra such that there exists an equivalence  $\text{Def}_L \rightarrow F$  of categories over  $\text{ART}_K$ , we then say that  $L$  *governs*  $F$ .

**Example 2.26.** Suppose  $V$  is a finite dimensional vector space and consider the differential graded Lie algebra  $V[-1]$ . In other words, this is nonzero in only degree 1, where it is  $V$ , and the Lie bracket is necessarily trivial. It is then straightforward to construct a natural equivalence  $\text{Def}_{V[-1]} = h_{\hat{P}}$  where  $\hat{P}$  denotes the completion of  $P = \text{Sym}(V^\vee)$  along the maximal ideal generated by  $V^\vee$ .

**Example 2.27.** The residual gerbe  $\Gamma$  of  $\text{Def}_L$  is also a deformation category by corollary 2.17. In fact, it is easy to see that

$$\text{Stab}_{G_L(R)}(0) = \mathfrak{m}_R \otimes Z^0(L) = \mathfrak{m}_R \otimes H^0(L)$$

for every  $R \in \text{ART}_K$ , so there is a natural equivalence  $\text{Def}_{H^0(L)} \simeq \Gamma$ . In other words,  $\Gamma$  is governed by  $H^0(L)$ .

## 2.F Homomorphisms of differential graded Lie algebras

### Functoriality

The construction  $L \mapsto \text{Def}_L$  is functorial: i.e., any homomorphism  $L \rightarrow M$  of differential graded Lie algebras concentrated in nonnegative degrees induces a natural functor  $\text{Def}_L \rightarrow \text{Def}_M$  [GM88, paragraph 2.3].

**Lemma 2.28.** *The identifications of theorem 2.24 fit into commutative diagrams as follows.*

$$\begin{array}{ccc} \text{Inf}(\text{Def}_L) & \longrightarrow & \text{Inf}(\text{Def}_M) \\ \downarrow & & \downarrow \\ H^0(L) & \longrightarrow & H^0(M) \end{array} \qquad \begin{array}{ccc} T(\text{Def}_L) & \longrightarrow & T(\text{Def}_M) \\ \downarrow & & \downarrow \\ H^1(L) & \longrightarrow & H^1(M) \end{array}$$

Moreover, the map of obstruction spaces  $H^2(L) \rightarrow H^2(M)$  is compatible with  $\text{Def}_L \rightarrow \text{Def}_M$  in the sense of definition 2.7.

*Proof.* The identifications of the infinitesimal deformations and of the tangent space in theorem 2.24 are given by “deleting  $\epsilon$ .” More precisely, they are induced by the isomorphism  $\mathfrak{m}_{K[\epsilon]} \simeq K$  given by  $\epsilon \mapsto 1$ . The commutativity of the two squares follows from this. The fact that  $H^2(L) \rightarrow H^2(M)$  is compatible with  $\text{Def}_L \rightarrow \text{Def}_M$  follows from the construction of obstruction classes; see [Man99, section 2].  $\square$

### Quasi-isomorphism invariance

Since  $L \mapsto \text{Def}_L$  is 2-functorial, certainly the functor  $\text{Def}_L \rightarrow \text{Def}_M$  must be an equivalence whenever  $L \rightarrow M$  is an isomorphism of differential graded Lie algebras. In fact, the same is true when  $\phi$  is only a *quasi-isomorphism* as well.

**Theorem 2.29.** *If  $L \rightarrow M$  is a quasi-isomorphism of differential graded Lie algebras, then  $\text{Def}_L \rightarrow \text{Def}_M$  is an equivalence of deformation categories.*

**Remark 2.30.** Proofs of this can be found in [GM88, theorem 2.4] or [Yek12, theorem 4.2]; in the former, this theorem is attributed to Deligne. In fact, it is not necessary to assume that  $L \rightarrow M$  is a quasi-isomorphism: it is sufficient to assume that it induce isomorphisms on cohomology in degrees 0 and 1, and an injective map on cohomology in degree 2. We will not need this generalization.

### Fiber products

In what follows, we fix homomorphisms  $\phi_1 : L_1 \rightarrow M$  and  $\phi_2 : L_2 \rightarrow M$  of differential graded Lie algebras concentrated in nonnegative degrees, and we let  $\phi$  denote the pair  $(\phi_1, \phi_2)$ . The following generalizes and categorifies the main construction of [Man07].



**Definition 2.31.** Define the functor  $\text{MC}_\phi : \text{ART}_K \rightarrow \text{SET}$  where  $\text{MC}_\phi(\mathbb{R})$  is the set of triples  $(x_1, x_2, \tau)$  where  $x_i \in \text{MC}_{L_i}(\mathbb{R})$  for  $i = 1, 2$ ,  $\tau \in \text{G}_M(\mathbb{R})$ , and

$$\tau * \phi_1(x_1) = \phi_2(x_2).$$

There is an action of  $\text{G}_{L_1} \times \text{G}_{L_2}$  on  $\text{MC}_\phi$  where  $(\eta_1, \eta_2) \in \text{G}_{L_1}(\mathbb{R}) \times \text{G}_{L_2}(\mathbb{R})$  acts on  $(x_1, x_2, \tau) \in \text{MC}_\phi(\mathbb{R})$  by

$$(\eta_1, \eta_2) * (x_1, x_2, \tau) = (\eta_1 * x_1, \eta_2 * x_2, \phi_2(\eta_2) * \tau * (-\phi_1(\eta_1))).$$

We then define  $\text{Def}_\phi := [\text{MC}_\phi / (\text{G}_{L_1} \times \text{G}_{L_2})]$ .

This definition is cooked up precisely so that we have the following.

**Lemma 2.32.** *The forgetful functors  $\text{Def}_\phi \rightarrow \text{Def}_{L_1}$  and  $\text{Def}_\phi \rightarrow \text{Def}_{L_2}$  fit into a 2-cartesian diagram as follows.*

$$\begin{array}{ccc} \text{Def}_\phi & \longrightarrow & \text{Def}_{L_2} \\ \downarrow & & \downarrow \\ \text{Def}_{L_1} & \longrightarrow & \text{Def}_M \end{array}$$

*Proof.* Unwinding the construction of 2-fiber products in the  $(2, 1)$ -category of categories over  $\text{ART}_K$  [Stacks, 0040], we find exactly the category  $\text{Def}_\phi$  described above.  $\square$

The pair  $\phi = (\phi_1, \phi_2)$  defines a homomorphism  $\phi_1 - \phi_2 : L_1 \oplus L_2 \rightarrow M$  of differential graded Lie algebras. We set

$$C := \text{Cone}(\phi_1 - \phi_2 : L_1 \oplus L_2 \rightarrow M)[-1].$$

**Theorem 2.33.** *The deformation category  $\text{Def}_\phi$  has infinitesimal automorphisms  $H^0(C)$  and tangent space  $H^1(C)$ . Moreover, if*

$$\phi_2(\mathfrak{m}_R \otimes L_2^1) \subseteq \text{MC}_M(\mathbb{R})$$

for all  $R \in \text{ART}_K$ , then  $\text{Def}_\phi$  has obstruction space  $H^2(C)$ .

*Proof.* The argument is essentially identical to the one [Man07, section 2], but we record it here for completeness. We will write elements of  $\mathfrak{m}_{K[\epsilon]} \otimes V$  as  $\epsilon v$  where  $v \in V$ . First, the stabilizer of  $(0, 0, 0) \in \text{MC}_\phi(K[\epsilon])$  is given by pairs

$$(\epsilon \eta_1, \epsilon \eta_2) \in \text{G}_{L_1}(K[\epsilon]) \times \text{G}_{L_2}(K[\epsilon])$$

such that

$$(\epsilon \eta_1, \epsilon \eta_2) * (0, 0, 0) = (\epsilon \eta_1 * 0, \epsilon \eta_2 * 0, \phi_2(\epsilon \eta_2) * (-\phi_1(\epsilon \eta_1)))$$

equals  $(0, 0, 0)$ . Using the fact that  $\epsilon^2 = 0$ , we find that this condition is equivalent to  $\eta_1 \in Z^0(L_1)$ ,  $\eta_2 \in Z^0(L_2)$ , and

$$\phi_2(\eta_2) = \phi_1(\eta_1),$$

so  $(\epsilon\eta_1, \epsilon\eta_2)$  stabilizes  $(0, 0, 0)$  if and only if

$$(\eta_1, \eta_2) \in (Z^0(L_1) \oplus Z^0(L_2)) \cap \ker(\phi_1 - \phi_2) = Z^0(C) = H^0(C)$$

where we have used the fact that  $L_1, L_2$  and  $M$  all vanish in negative degrees. This shows that “deleting  $\epsilon$ ” defines an isomorphism

$$\text{Inf}(\text{Def}_\phi) \simeq H^0(C).$$

Next, let us compute the tangent space. Since  $\epsilon^2 = 0$ , we have

$$\text{MC}_{L_i}(K[\epsilon]) = Z^1(\mathfrak{m}_{K[\epsilon]} \otimes L_i) = \mathfrak{m}_{K[\epsilon]} \otimes Z^1(L_i).$$

Suppose now that  $\epsilon x_i \in \text{MC}_{L_i}(K[\epsilon])$ . Then  $\epsilon\tau \in G_M(K[\epsilon])$  satisfies

$$(\epsilon\tau) * \phi_1(\epsilon x_1) = \phi_2(\epsilon x_2)$$

if and only if

$$\phi_1(x_1) - d\tau = \phi_2(x_2).$$

Thus we see that

$$\text{MC}_\phi(K[\epsilon]) \simeq \{(x_1, x_2, \tau) : x_i \in Z^1(L_i) \text{ and } \phi_1(x_1) - \phi_2(x_2) = d\tau\} = Z^1(C).$$

Now note that an element  $(\epsilon x_1, \epsilon x_2, \epsilon\tau)$  is gauge equivalent to  $(0, 0, 0)$  precisely if there exists

$$(\epsilon\eta_1, \epsilon\eta_2) \in G_{L_1}(K[\epsilon]) \times G_{L_2}(K[\epsilon])$$

such that

$$(\epsilon\eta_1 * 0, \epsilon\eta_2 * 0, \phi_2(\epsilon\eta_2) * (-\phi_1(\epsilon\eta_1))) = (\epsilon x_1, \epsilon x_2, \epsilon\tau).$$

Note that  $\epsilon\eta_i * 0 = -\epsilon d\eta_i$  and

$$\phi_2(\epsilon\eta_2) * (-\phi_1(\epsilon\eta_1)) = \epsilon(\phi_2(\eta_2) - \phi_1(\eta_1)),$$

so  $(\epsilon x_1, \epsilon x_2, \epsilon\tau)$  is gauge equivalent to  $(0, 0, 0)$  precisely if there exists  $(\eta_1, \eta_2)$  such that

$$d_C(-\eta_1, -\eta_2) = (x_1, x_2, \tau).$$

Thus “deleting  $\epsilon$ ” defines an isomorphism

$$\text{T}(\text{Def}_\phi) \simeq H^1(C).$$

Finally, we want to define on  $H^2(C)$  the structure of an obstruction space for  $\text{Def}_\phi$ . By lemma 2.12, it is sufficient to define the structure of an obstruction space for  $\text{MC}_\phi$ . Let  $\pi : R' \rightarrow R$  be a small extension in  $\text{ART}_K$  and suppose  $(x_1, x_2, \tau) \in \text{MC}_\phi(R)$ . Since the functor  $\text{ART}_K \rightarrow \text{SET}$  is evidently smooth, there exists  $x'_i \in \mathfrak{m}_{R'} \otimes L_i^1$  such that  $\pi(x'_i) = x_i$  for  $i = 1, 2$ . Also, since  $G_M$  is smooth, there exists  $\tau' \in G_M(R')$  such that  $\pi(\tau') = \tau$ . We now define

$$h_i := Q(x'_i) = dx'_i + \frac{1}{2}[x'_i, x'_i] \text{ for } i = 1, 2, \text{ and } s := \tau' * \phi_1(x'_1) - \phi_2(x'_2).$$

Since  $(x_1, x_2, \tau) \in \text{MC}_\phi$ , we have  $\pi(h_i) = 0$  and  $\pi(s) = 0$ , so  $(h_1, h_2, s)$  is an element of

$$\ker(\pi) \otimes C^2 = \ker(\pi) \otimes (L_1^2 \oplus L_2^2 \oplus M^1),$$

and  $(x'_1, x'_2, \tau') \in \text{MC}_\phi(R')$  if and only if  $(h_1, h_2, s) = 0$ . We will show the following.

- (a) Replacing  $(x'_1, x'_2, \tau')$  with different lifts corresponds precisely to shifting  $(h_1, h_2, s)$  by a 2-coboundary in  $\ker(\pi) \otimes C^2$ .
- (b)  $(h_1, h_2, s)$  is a 2-cocycle in  $\ker(\pi) \otimes C^2$ .

Once we have proved these facts, we can then define  $o(\pi, (x_1, x_2, \tau))$  to be the class in  $\ker(\pi) \otimes H^2(C)$  represented by  $(h_1, h_2, s)$ . This class is independent of choices and measures exactly the obstruction to lifting  $(x_1, x_2, \tau)$ .

Let us first look at point (a). Given two lifts  $(x'_1, x'_2, \tau')$  and  $(x''_1, x''_2, \tau'')$  of  $(x_1, x_2, \tau)$ , their difference

$$(\epsilon_1, \epsilon_2, \delta) := (x''_1, x''_2, \tau'') - (x'_1, x'_2, \tau')$$

is an element  $\ker(\pi) \otimes C^1$ . Then the difference between the corresponding  $h_i$ 's is exactly  $d\epsilon_i$ . The proof of this is identical to the arguments in [GM88, paragraph 2.7] or [Man99, section 3]. Now consider the difference between the corresponding  $s$ 's.

$$(\tau'' * \phi_1(x''_1) - \phi_2(x''_2)) - (\tau' * \phi_1(x'_1) - \phi_2(x'_2)) \tag{2.34}$$

Since  $\tau'' = \tau' + \delta$ , we find by applying [GM88, lemma 2.8] that

$$\tau'' * \phi_1(x''_1) = \tau' * \phi_1(x''_1) - d\delta.$$

Now note that

$$\tau' * \phi_1(x''_1) - \tau' * \phi_1(x'_1) = \phi_1(\epsilon_1) + \sum_{n=0}^{\infty} \frac{[\tau', -]^n}{(n+1)!}(\phi(\epsilon_1)) = \phi_1(\epsilon_1),$$

where the sum vanishes because  $\tau' \in \mathfrak{m}_{R'} \otimes M^0$ ,  $\phi(\epsilon_1) \in \ker(\pi) \otimes M^1$ , and  $\ker(\pi)\mathfrak{m}_R = 0$ . Putting all of this together, we find

$$(2.34) = \phi_1(\epsilon_1) - \phi_2(\epsilon_2) - d\delta.$$

This shows that replacing  $(x'_1, x'_2, \tau')$  with  $(x''_1, x''_2, \tau'')$  corresponds to replacing  $(h_1, h_2, s)$  with

$$(h_1 + d\epsilon_1, h_2 + d\epsilon_2, s + \phi_1(\epsilon_1) - \phi_2(\epsilon_2) - d\delta) = (h_1, h_2, \delta) + d(\epsilon_1, \epsilon_2, \delta).$$

This concludes the proof of point (a).

For point (b), we compute

$$d(h_1, h_2, s) = (dh_1, dh_2, \phi_1(h_1) - \phi_2(h_2) - ds).$$

The proof that  $dh_i = 0$  is identical to the arguments in [GM88, paragraph 2.7] or [Man99, section 3], so we just need to show that

$$\phi_1(h_1) - \phi_2(h_2) = ds.$$

Since  $\tau' * \phi_1(x'_1) = \phi_2(x'_2) + s$  by definition of  $s$ , we have

$$\begin{aligned} \phi_1(x'_1) &= (-\tau') * (s + \phi_2(x'_2)) \\ &= \exp([-\tau', -])(s) + (-\tau') * \phi_2(x'_2) \\ &= s + (-\tau') * \phi_2(x'_2) \end{aligned}$$

where for the last step, we have used the fact that  $[-\tau', s] = 0$  since  $\ker(\pi)\mathfrak{m}_{R'} = 0$ . Then

$$\begin{aligned} \phi_1(h_1) &= \phi_1\left(dx'_1 + \frac{1}{2}[x'_1, x'_1]\right) \\ &= d\phi_1(x'_1) + \frac{1}{2}[\phi_1(x'_1), \phi_1(x'_1)] \\ &= d(s + (-\tau') * \phi_2(x'_2)) + \frac{1}{2}[s + (-\tau') * \phi_2(x'_2), s + (-\tau') * \phi_2(x'_2)] \\ &= ds + d((-\tau') * \phi_2(x'_2)) + \frac{1}{2}[(-\tau') * \phi_2(x'_2), (-\tau') * \phi_2(x'_2)] \\ &= ds + Q((-\tau') * \phi_2(x'_2)) \end{aligned}$$

so it follows that

$$\phi_1(h_1) - \phi_2(h_2) - ds = Q((-\tau') * \phi_2(x'_2)) - Q(\phi_2(x'_2)).$$

Since we have assumed that  $\phi_2$  maps  $\mathfrak{m}_{R'} \otimes L_2^1$  into  $MC_M(R')$ , we see that the right-hand side of the above equation vanishes, completing the proof.  $\square$

**Remark 2.35.** I do not know if  $H^2(C)$  is an obstruction space for  $\text{Def}_\phi$  even if we do not have  $\phi_2(\mathfrak{m}_R \otimes L_2^1) \subseteq MC_M(R)$  for all  $R \in \text{ART}_K$ , but the proof above does at least show that  $C^2/B^2(C)$  is always an obstruction space. We will only use the above result when we do have  $\phi_2(\mathfrak{m}_R \otimes L_2^1) \subseteq MC_M(R)$ , so this hypothesis will not be of any concern to us.

**Remark 2.36.** With  $C = \text{Cone}(\phi_1 - \phi_2)[-1]$  and  $\phi_2(\mathfrak{m}_R \otimes L_2^1) \subseteq \text{MC}_M(R)$  for all  $R \in \text{ART}_K$  as above, we have a distinguished triangle

$$C \longrightarrow L_1 \oplus L_2 \longrightarrow M \xrightarrow{+}$$

in the derived category of vector spaces. The associated long exact sequence on then relates the infinitesimal automorphisms, tangent spaces, and obstruction spaces of  $\text{Def}_\phi$ ,  $\text{Def}_{L_1}$ ,  $\text{Def}_{L_2}$ , and  $\text{Def}_M$ .

**Definition 2.37.** If  $F$  is category over  $\text{ART}_K$ , we say that the pair  $\phi$  *governs*  $F$  if there exists an equivalence  $\text{Def}_\phi \rightarrow F$  of categories over  $\text{ART}_K$ .

**Remark 2.38.** One could say that  $\text{Def}_\phi$  is “governed” by  $C = \text{Cone}(\phi_1 - \phi_2)[-1]$ , but  $C$  is not a differential graded Lie algebra. It is, however, an  $L_\infty$ -algebra [FM07], but this takes us into higher categorical realms that are unnecessarily lofty for our purposes. It is also possible to find a differential graded Lie algebra that does govern  $\text{Def}_\phi$  [Man07, section 7], but we will not need this either.

**Example 2.39.** We will now discuss an extended example that will serve as the backbone for the discussion in section 4.D. Let  $\alpha : L \rightarrow M$  be a homomorphism of differential graded Lie algebras concentrated in nonnegative degrees, and let  $\Gamma$  denote the residual gerbe of  $\text{Def}_M$ . We then form the following diagram of deformation categories.

$$\begin{array}{ccccc} \text{Def}_{(\alpha,0)} & \longrightarrow & \text{Def}_{(\alpha,i)} & \longrightarrow & \text{Def}_L \\ \downarrow & & \downarrow & & \downarrow \\ \mathfrak{h}_K & \longrightarrow & \Gamma & \longrightarrow & \text{Def}_M \end{array}$$

Here  $i$  denotes the inclusion  $H^0(M) \hookrightarrow M$ . Note that  $\Gamma = \text{Def}_{H^0(M)}$  and  $\mathfrak{h}_K = \text{Def}_0$ , so lemma 2.32 implies that

$$\text{Def}_{(\alpha,0)} = \text{Def}_L \times_{\text{Def}_M} \mathfrak{h}_K \text{ and } \text{Def}_{(\alpha,i)} = \text{Def}_L \times_{\text{Def}_M} \Gamma.$$

Since  $\mathfrak{h}_K \rightarrow \Gamma$  is essentially surjective, its pullback  $\text{Def}_{(\alpha,0)} \rightarrow \text{Def}_{(\alpha,i)}$  is also essentially surjective.

Now define the following.

$$\begin{aligned} C^+ &= \text{Cone}(\alpha : L \rightarrow M)[-1] \\ C &= \text{Cone}(\alpha - i : L \oplus H^0(M) \rightarrow M)[-1] \end{aligned}$$

Then we have two distinguished triangles as in remark 2.36, and a morphism between them as follows.

$$\begin{array}{ccccccc} C^+ & \longrightarrow & L & \xrightarrow{\alpha} & M & \xrightarrow{+} \\ \vdots & & \downarrow (1,0) & & \downarrow 1 & \\ C & \longrightarrow & L \oplus H^0(M) & \xrightarrow{\alpha-i} & M & \xrightarrow{+} \end{array}$$

We then get a morphism of long exact sequences.

$$\begin{array}{ccccccc}
 0 & \longrightarrow & H^0(C^+) & \longrightarrow & H^0(L) & \xrightarrow{\alpha} & H^0(M) \longrightarrow \dots \\
 & & \downarrow & & \downarrow (1,0) & & \downarrow 1 \\
 0 & \longrightarrow & H^0(C) & \longrightarrow & H^0(L) \oplus H^0(M) & \xrightarrow{\alpha-1} & H^0(M) \longrightarrow \dots \\
 \\
 \dots & \longrightarrow & H^0(M) & \longrightarrow & H^1(C^+) & \longrightarrow & H^1(L) \xrightarrow{\alpha} H^1(M) \longrightarrow \dots \\
 & & \downarrow 1 & & \downarrow & & \downarrow 1 \\
 \dots & \longrightarrow & H^0(M) & \longrightarrow & H^1(C) & \longrightarrow & H^1(L) \xrightarrow{\alpha} H^1(M) \longrightarrow \dots
 \end{array}$$

Consider the map  $\alpha - 1 : H^0(L) \oplus H^0(M) \rightarrow H^0(M)$ . Then

$$\begin{aligned}
 H^0(C) &= \ker(\alpha - 1 : H^0(L) \oplus H^0(M) \rightarrow H^0(M)) \\
 &= \{(x, \alpha(x)) : x \in H^0(L)\} \\
 &= H^0(L).
 \end{aligned}$$

Moreover, clearly  $\alpha - 1$  is surjective. This means that the connecting map  $H^0(M) \rightarrow H^1(C)$  is the zero map, so

$$\begin{aligned}
 H^1(C) &= \ker(\alpha : H^1(L) \rightarrow H^1(M)) \\
 &= \text{im}(H^1(C^+) \rightarrow H^1(L)).
 \end{aligned}$$

Finally, we have  $H^i(C^+) \simeq H^i(C)$  for all  $i \geq 2$ . Note moreover that  $i : H^0(M) \hookrightarrow M$  and  $0 \hookrightarrow M$  are both zero in degree 1, so  $H^2(C)$  and  $H^2(C^+)$  are obstruction spaces for  $\text{Def}_{(\alpha,i)}$  and  $\text{Def}_{(\alpha,0)}$ , respectively.

Since the identifications  $T(\text{Def}_{(\alpha,0)}) = H^1(C^+)$  and  $T(\text{Def}_{(\alpha,i)}) = H^1(C)$  are both given by “deleting  $\epsilon$ ,” we see that the map on tangent spaces induced by  $\text{Def}_{(\alpha,0)} \rightarrow \text{Def}_{(\alpha,i)}$  is surjective. It is also easy to see from the construction of obstruction classes that  $H^2(C^+) \rightarrow H^2(C)$  is compatible with  $\text{Def}_{(\alpha,0)} \rightarrow \text{Def}_{(\alpha,i)}$ . Thus, the standard smoothness criterion lemma 2.8 implies that  $\text{Def}_{(\alpha,0)} \rightarrow \text{Def}_{(\alpha,i)}$  is smooth.

## Chapter 3

# Deformations of modules

Throughout this chapter, let  $K$  be a field of characteristic 0,  $D$  an associative  $K$ -algebra, and  $E$  a left  $D$ -module. For any  $R \in \text{ART}_K$ , we let  $D_R := R \otimes_K D$  and  $E_R := R \otimes_K E$ . In this chapter, we study the following deformation problem.

**Definition 3.1.** Let  $\text{Def}_{D,E}$  be the category of tuples  $(R, F, \theta)$  where  $R \in \text{ART}_K$ ,  $F$  is a left  $D_R$ -module flat over  $R$ , and  $\theta : F \rightarrow E$  is a left  $D_R$ -module homomorphism inducing an isomorphism  $K \otimes_R F \rightarrow E$ . Morphisms  $(R', F', \theta') \rightarrow (R, F, \theta)$  in  $\text{Def}_{D,E}$  are pairs  $(\pi, \mathfrak{u})$  consisting of a homomorphism  $\pi : R' \rightarrow R$  in  $\text{ART}_K$  and a homomorphism  $\mathfrak{u} : F' \rightarrow F$  of left  $D_{R'}$ -modules such that the corresponding left  $D_R$ -module homomorphism  $R \otimes_{R'} F' \rightarrow F$  is an isomorphism, and such that  $\theta \circ \mathfrak{u} = \theta'$ .

$$\begin{array}{ccc} F' & \xrightarrow{\mathfrak{u}} & F \\ & \searrow \theta' & \downarrow \theta \\ & & E \end{array}$$

When  $D$  can be inferred from context, we will write  $\text{Def}_E$  instead of  $\text{Def}_{D,E}$ . The forgetful functor  $\text{Def}_E \rightarrow \text{ART}_K$  defined by  $(R, E) \mapsto R$  presents  $\text{Def}_E$  as an opfibration in groupoids over  $\text{ART}_K$ . It is straightforward to check directly that  $\text{Def}_E$  is a deformation category, but in any case this is a consequence of theorem 3.2 below. For  $R \in \text{ART}_K$ , we will abusively write 1 for the canonical map  $E_R \rightarrow E$ . Regarding  $E_R$  as a left  $D_R$ -module in the natural way,  $(R, E_R, 1)$  becomes an object of  $\text{Def}_E$ .

### 3.A Hochschild complex

For any  $D$ -bimodule  $P$ , let  $\text{Hoch}_K(D, P)$  denote the Hochschild cochain complex, so

$$\text{Hoch}_K^p(D, P) = \text{Hom}_K(D^{\otimes p}, P)$$

for all non-negative integers  $p$ , where  $D^{\otimes p}$  is the  $p$ -fold tensor product of  $D$  over  $K$ . The differential is defined via a simplicial construction (cf. [Wei94, chapter 9] for details).

When  $P$  is a  $K$ -algebra equipped with a  $K$ -algebra homomorphism  $D \rightarrow P$ , the cup product makes  $\text{Hoch}_K(D, P)$  a differential graded  $K$ -algebra (cf. [Ger63, section 7, page 278]).

In particular,  $P = \text{End}_K(E)$  is a  $K$ -algebra under composition equipped with a homomorphism  $D \rightarrow \text{End}_K(E)$ , so  $\text{Hoch}_K(D, \text{End}_K(E))$  is a differential graded  $K$ -algebra. We can then form the associated differential graded  $K$ -Lie algebra with the graded commutator bracket.

**Theorem 3.2.**  $\text{Hoch}_K(D, \text{End}_K(E))$  governs  $\text{Def}_E$ .

*Proof.* Let  $L := \text{Hoch}_K(D, \text{End}_K(E))$ . We are trying to construct an equivalence of categories

$$\text{Def}_L \xrightarrow{\Theta} \text{Def}_E$$

over  $\text{ART}_K$ . Observe that, for any  $R \in \text{ART}_K$ ,

$$L_R := R \otimes_K L = \text{Hoch}_R(D_R, \text{End}_R(E_R)).$$

In degree 1, this complex contains a canonical element  $s_R : D_R \rightarrow \text{End}_R(E_R)$  which is the  $R$ -algebra homomorphism defining the natural  $D_R$ -module structure on  $E_R$ . We can compute that  $\phi \in L_R^1$  satisfies the Maurer-Cartan equation  $d\phi + \frac{1}{2}[\phi, \phi] = 0$  if and only if

$$\phi(d_1)d_2 + d_1\phi(d_2) + \phi(d_1)\phi(d_2) = \phi(d_1d_2)$$

for all  $d_1, d_2 \in D_R$ , if and only if the  $R$ -module homomorphism  $\phi + s_R$  is actually an  $R$ -algebra homomorphism  $D_R \rightarrow \text{End}_R(E_R)$ . Then note that

$$\mathfrak{m}_R \otimes_K L = \ker(L_R \rightarrow L)$$

so  $\phi \in \mathfrak{m}_R \otimes_K L^1$  if and only if  $\phi + s_R$  maps to the  $D$ -module structure map  $s_K \in L^1 = \text{Hom}_K(D, \text{End}_K(E))$ .

In other words, we conclude that objects  $\text{Def}_L(R)$  are in bijection with left  $D_R$ -module structures on  $E_R$  which reduce to the given left  $D$ -module structure on  $E$ . If  $\phi \in \text{Def}_L(R)$ , we write  $E_{R,\phi}$  for  $E_R$  regarded as a left  $D_R$ -module via  $\phi$ . Then  $(R, \phi) \mapsto (R, E_{R,\phi}, 1)$  defines the functor  $\Theta : \text{Def}_L \rightarrow \text{Def}_E$  on the level of objects. Since any  $(R, F, \theta) \in \text{Def}_E$  must have  $F$  isomorphic as an  $R$ -module to  $E_R$ , this also shows that the functor  $\Theta$ , once we have finished constructing it, must be essentially surjective.

Next up, let's compute the gauge action. Observe that

$$\mathfrak{m}_R \otimes_K L^0 = \mathfrak{m}_R \otimes_K \text{End}_K(E) = \ker(\text{End}_R(E_R) \rightarrow \text{End}_K(E)).$$



If  $\eta \in \mathfrak{m}_R \otimes_K L^0$ , then one checks that  $d\eta = -[\eta, s_R]$ , so for  $\phi \in L_R^1$ , we have

$$\begin{aligned} \eta * \phi &= \phi + \sum_{n=0}^{\infty} \frac{[\eta, -]^n}{(n+1)!} ([\eta, \phi] - d\eta) \\ &= \phi + \sum_{n=0}^{\infty} \frac{[\eta, -]^n}{(n+1)!} ([\eta, \phi + s_R]) \\ &= \phi + \sum_{n=0}^{\infty} \frac{[\eta, -]^{n+1}}{(n+1)!} (\phi + s_R) \\ &= e^{[\eta, -]}(\phi + s_R) - s_R \\ &= e^\eta(\phi + s_R)e^{-\eta} - s_R \end{aligned}$$

where  $e^{[\eta, -]}$  and  $e^\eta$  denote exponentiation of nilpotent endomorphisms. Note that  $e^\eta$  is an  $R$ -module automorphism of  $E_R$  with inverse  $e^{-\eta}$ , and the last equality is lemma 3.3 below.

Now suppose that  $(\pi, \eta)$  is a morphism  $(R', \phi') \rightarrow (R, \phi)$  in  $\text{Def}_L$ . In other words,  $\pi : R' \rightarrow R$  is a homomorphism in  $\text{ART}_K$  and  $\eta \in \mathfrak{m}_R \otimes_K L^0$  satisfies

$$\eta * \pi(\phi') = \phi.$$

We define  $\Theta(\pi, \eta)$  to be the pair consisting of  $\pi$  together with the following composite.

$$E_{R', \phi'} \xrightarrow{\pi \otimes 1} E_{R, \pi(\phi')} \xrightarrow{e^\eta} E_{R, \phi}.$$

This composite is a  $D_R$ -module homomorphism if and only if  $e^\eta : E_{R, \pi(\phi')} \rightarrow E_{R, \phi}$  is a left  $D_R$ -module homomorphism, if and only if the following diagram commutes.

$$\begin{array}{ccc} D_R & \xrightarrow{\pi(\phi') + s_R} & \text{End}_R(E_R) \\ \phi + s_R \downarrow & & \downarrow e^\eta \\ \text{End}_R(E_R) & \xrightarrow{e^\eta} & \text{End}_R(E_R) \end{array}$$

This commutativity is equivalent to

$$(\phi + s_R)e^\eta = e^\eta(\pi(\phi') + s_R)$$

which is exactly the condition  $\eta * \pi(\phi') = \phi$ . Finally, we observe that  $e^\eta \equiv 1 \pmod{\mathfrak{m}_R}$ , so  $\Theta(\pi, \eta)$  is indeed a morphism  $\Theta(R', \phi') \rightarrow \Theta(R, \phi)$  in  $\text{Def}_E$ . Now if  $(\pi', \eta') : (R'', \phi'') \rightarrow (R', \phi')$  is another morphism in  $\text{Def}_L$ , we need to check that the following diagram commutes.

$$\begin{array}{ccc} E_{R, \pi'(\pi(\phi''))} & \xrightarrow{e^{\pi(\eta')}} & E_{R, \pi(\phi')} \\ & \searrow e^{\eta * \pi(\eta')} & \downarrow e^\eta \\ & & E_{R, \phi} \end{array}$$

But note the equality

$$\log(e^\eta e^{\pi(\eta')}) = \eta * \pi(\eta')$$

so taking the exponential of both sides yields the desired equality. This completes our construction of the functor  $\Theta : \text{Def}_L \rightarrow \text{Def}_E$ .

To complete the proof, we must check that  $\Theta$  is fully faithful. This requires showing that, for any  $R \in \text{ART}_K$  and any  $\phi, \phi' \in \text{Def}_L(R)$ , every left  $D_R$ -module isomorphism  $\alpha : E_{R, \phi'} \rightarrow E_{R, \phi}$  reducing to the identity on  $E$  modulo  $\mathfrak{m}_R$  is of the form  $e^\eta$  for some  $\eta \in \text{End}_R(E_R)$  satisfying  $\eta * \phi' = \phi$ , and moreover that there is only one such  $\eta$ . We clearly must take

$$\eta = \log(\alpha) = \log(1 + (\alpha - 1)) = \sum_{n=1}^{\infty} (-1)^{n+1} \frac{(\alpha - 1)^n}{n},$$

which is well-defined since  $\alpha - 1$  is nilpotent. The fact that  $\eta * \phi' = \phi$  is then a translation of the fact that  $\alpha$  is a left  $D_R$ -module homomorphism, as we saw above.  $\square$

**Lemma 3.3.** *Let  $R$  be a commutative ring and  $A$  an  $R$ -algebra. Suppose that  $a, b \in A$  and that  $a$  is nilpotent. Then  $[a, -]$  is a nilpotent  $R$ -module endomorphism of  $A$  and*

$$e^a b a^{-a} = \sum_{n=0}^{\infty} \sum_{k=0}^n \frac{(-1)^k a^{n-k} b a^k}{(n-k)! k!} = e^{[a, -]}(b).$$

*Proof.* Both equalities are direct calculations.  $\square$

**Corollary 3.4.** (a)  $\text{Inf}(\text{Def}_E) = \text{End}_D(E)$ .

(b)  $T(\text{Def}_E) = \text{Ext}_D^1(E, E)$ .

(c)  $\text{Ext}_D^2(E, E)$  is an obstruction space for  $\text{Def}_E$ .

*Proof.* This follows immediately from theorems 2.24 and 3.2, and the fact that

$$H^i(\text{Hoch}_K(D, \text{End}_K(E))) = \text{Ext}_{D/K}^i(E, E) = \text{Ext}_D^i(E, E)$$

for all  $i$ . Here, we use [Wei94, lemma 9.1.9] to calculate the cohomology of the Hochschild complex, and the fact that  $K$  is a field to identify  $\text{Ext}_{D/K}^i$  with  $\text{Ext}_D^i$ .  $\square$

**Remark 3.5.** In light of the fundamental theorem of deformation theory 2.1, we see that  $\text{Def}_E$  has a hull as long as  $\text{Ext}_D^1(E, E)$  is finite dimensional. We also have a prorepresentability result when  $\text{End}_D(E) = K$  (cf. corollary 3.8 below). Taking  $D$  to be commutative, these results would give us statements about deformations of coherent sheaves on affine  $K$ -schemes, but we rarely have finite dimensionality of  $\text{Ext}_D^1(E, E)$  over  $K$  when  $D$  is commutative.

However, it is quite likely that there is a generalization of theorem 3.2 with  $D$  an associative algebra in a general topos. Then, taking  $D$  to be the structure sheaf of a proper

$K$ -scheme would allow us to recover standard results about the deformation theory of coherent sheaves on proper  $K$ -schemes (cf. [Nit09, theorem 3.6–8]). We do not pursue this generalization here since this will not be necessary for our intended applications.

**Remark 3.6.** Suppose that

$$H^i(\mathrm{Hoch}_K(D, \mathrm{End}_K(E))) = \mathrm{Ext}_D^i(E, E) = 0$$

for all  $i \geq 2$ . For example, this could be because  $E$  has projective dimension at most 1 as a left  $D$ -module, or, more strongly, because  $D$  has left global dimension at most 1. In this situation, evidently the natural inclusion  $\tau_{\leq 1} \mathrm{Hoch}_K(D, \mathrm{End}_K(E)) \rightarrow \mathrm{Hoch}_K(D, \mathrm{End}_K(E))$  is a quasi-isomorphism. Moreover,  $\tau_{\leq 1} \mathrm{Hoch}_K(D, \mathrm{End}_K(E))$  is a differential graded subalgebra of  $\mathrm{Hoch}_K(D, \mathrm{End}_K(E))$ . Since  $L \mapsto \mathrm{Def}_L$  factors through quasi-isomorphisms of differential graded Lie algebras by theorem 2.29, we see that the two-term differential graded Lie algebra

$$\tau_{\leq 1} \mathrm{Hoch}_K(D, \mathrm{End}_K(E))$$

governs  $\mathrm{Def}_E$ . Recall the explicit description of  $\tau_{\leq 1} \mathrm{Hoch}_K(D, \mathrm{End}_K(E))$ .

$$\mathrm{End}_K(E) \xrightarrow{d} \mathrm{Der}_K(D, \mathrm{End}_K(E)) \longrightarrow 0 \longrightarrow \dots$$

Here  $\mathrm{Der}_K(D, \mathrm{End}_K(E))$  are *derivations*, i.e.  $K$ -linear maps  $s : D \rightarrow \mathrm{End}_K(E)$  satisfying the Leibniz rule  $s(ab) = s(a)b + as(b)$  for all  $a, b \in D$ . The differential  $d$  is given by

$$d(\rho)(a) = a\rho - \rho a = [a, \rho]$$

for  $\rho \in \mathrm{End}_K(E)$  and  $a \in D$  [Wei94, section 9.2]. The image of the differential  $d$  is the set of *principal derivations*, denoted  $\mathrm{PDer}_K(D, \mathrm{End}_K(E))$ . Multiplication is simply composition: in degree 0 it is composition of  $K$ -endomorphisms of  $E$ , and the multiplication maps

$$\mathrm{End}_K(E) \times \mathrm{Der}_K(D, \mathrm{End}_K(E)) \longrightarrow \mathrm{Der}_K(D, \mathrm{End}_K(E))$$

$$\mathrm{Der}_K(D, \mathrm{End}_K(E)) \times \mathrm{End}_K(E) \longrightarrow \mathrm{Der}_K(D, \mathrm{End}_K(E))$$

are also composition: the first takes  $(\rho, \delta)$  to the derivation  $d \mapsto \rho \circ \delta(d)$ , and the second takes  $(\delta, \rho)$  to the derivation  $d \mapsto \delta(d) \circ \rho$ .

### 3.B Derivations and extensions

If  $E$  and  $F$  are left  $D$ -modules, note that  $\mathrm{Hom}_K(E, F)$  is a  $D$ -bimodule and

$$H^1(\mathrm{Hoch}_K(D, \mathrm{Hom}_K(E, F))) = \mathrm{Ext}_D^1(E, F)$$

using [Wei94, lemma 9.1.9]. Let us work out explicitly how to regard Hochschild cohomology classes on the left-hand side as extensions of  $E$  by  $F$  on the right-hand side. We will apply this in the case when  $E = F$ , but it is less confusing to work in greater generality.

For any  $s \in \text{Hoch}_K^1(D, \text{Hom}_K(E, F)) = \text{Hom}_K(D, \text{Hom}_K(E, F))$ , let  $F \oplus_s E$  denote the vector space  $F \oplus E$  endowed with an “action” of  $D$  by the formula

$$a \cdot (f, e) = (af + s(a)(e), ae)$$

for all  $a \in D, f \in F$  and  $e \in E$ . If  $b$  is another element of  $D$ , then

$$ab \cdot (f, e) = a \cdot (b \cdot (f, e)) \text{ if and only if } s(ab) = s(a)b + as(b)$$

so  $F \oplus_s E$  is a left  $D$ -module if and only if  $s$  is a derivation. When this is the case, note that the inclusion  $F \hookrightarrow F \oplus_s E$  and the projection  $F \oplus_s E \rightarrow E$  are both  $D$ -linear, so  $F \oplus_s E$  is an extension of  $E$  by  $F$ . In other words, we have defined a map

$$\text{Der}_K(D, \text{Hom}_K(E, F)) \longrightarrow \text{Ext}_D^1(E, F).$$

We now claim that this map is surjective and  $K$ -linear, and that the kernel of this map is exactly  $\text{PDer}_K(D, \text{Hom}_K(E, F))$ . We omit the proof of linearity.

### Surjectivity

Suppose  $Q$  is an extension of  $E$  by  $F$ .

$$0 \longrightarrow F \longrightarrow Q \longrightarrow E \longrightarrow 0$$

This exact sequence splits in the category of vector spaces, so, after fixing  $K$ -linear splittings, we have  $Q = F \oplus E$  as a vector space. For any  $a \in D$  and  $e \in E$ , define  $s(a)(e)$  to be the projection of  $a \cdot (0, e)$  onto  $F$ . Then for any  $f \in F$  we see that

$$a \cdot (f, e) = a \cdot (f, 0) + a \cdot (0, e) = (af, 0) + (s(a)(e), ae) = (af + s(a)(e), ae)$$

using the fact that  $F \rightarrow Q$  and  $Q \rightarrow E$  are  $D$ -linear. Since  $Q$  is a left  $D$ -module, we know from above that  $s$  must be a derivation and  $Q = F \oplus_s E$  as extensions of  $E$  by  $F$ . This proves surjectivity.

### Kernel is principal derivations

Suppose that  $s \in \text{Der}_K(D, \text{Hom}_K(E, F))$  and  $F \oplus_s E$  is a trivial extension of  $E$  by  $F$ . Choose an isomorphism  $\phi : F \oplus_s E \rightarrow F \oplus E$  of extensions.

$$\begin{array}{ccccccc} 0 & \longrightarrow & F & \longrightarrow & F \oplus_s E & \longrightarrow & E \longrightarrow 0 \\ & & \parallel & & \downarrow \phi & & \parallel \\ 0 & \longrightarrow & F & \longrightarrow & F \oplus E & \longrightarrow & E \longrightarrow 0 \end{array}$$

The commutativity of this diagram means that  $\phi$  must be given by  $\phi(f, e) = (f + \sigma(e), e)$  for some  $\sigma \in \text{Hom}_K(E, F)$ . Since  $\phi$  is  $D$ -linear, for any  $a \in D$  we have

$$\begin{aligned} (a\sigma(e), ae) &= a(\sigma(e), e) \\ &= a\phi(0, e) \\ &= \phi(a \cdot (0, e)) \\ &= \phi(s(a)(e), ae) \\ &= (s(a)(e) + \sigma(ae), ae) \end{aligned}$$

which means that

$$s(a)(e) = a\sigma(e) - \sigma(ae)$$

or, in other words,

$$s(a) = a\sigma - \sigma a = [a, \sigma] = d\sigma(a)$$

for all  $a \in D$ . In other words, we have  $s = d\sigma$ , so  $s$  is principal. Conversely, it is also clear from this calculation that any principal derivation does in fact give rise to a trivial extension of  $E$  by  $F$ .

### 3.C Prorepresentability for irreducibles

**Proposition 3.7.** *Suppose  $\text{End}_D(E) = K$ . Then for any  $(R, F, \theta) \in \text{Def}_E$ , we have*

$$\text{End}_{D_R}(F) = R \text{ and } \text{Aut}_R(F, \theta) = 1 + \mathfrak{m}_R.$$

*Proof.* Note that the latter assertion follows from the former. Since the quotient map  $R \rightarrow R/\mathfrak{m}_R = K$  in  $\text{ART}_K$  can be factored into a series of small surjections [Stacks, 06GE], it suffices to prove the following: whenever  $\pi : R \rightarrow R'$  is a small surjection and  $(R, F, \theta) \rightarrow (R', F', \theta')$  is a map in  $\text{Def}_E$  lying over  $\pi$  such that  $\text{End}_{D_{R'}}(F') = R'$ , then  $\text{End}_{D_R}(F) = R$ .

Suppose  $\phi \in \text{End}_{D_R}(F)$ . Then the induced  $D_{R'}$ -linear endomorphism of  $F'$  is a scalar in  $R'$ , which means that there exists  $a \in R$  such that  $\phi - a \in \text{End}_{D_R}(F)$  induces the zero endomorphism of  $F'$ . In other words, if we define  $\psi := \phi - a$ , we have  $\text{im}(\psi) \subseteq IF$ , where  $I := \ker(\pi)$ . This means that

$$\psi(\mathfrak{m}_R F) \subseteq \mathfrak{m}_R \text{im}(\psi) \subseteq \mathfrak{m}_R IF = 0$$

so  $\psi$  naturally factors through a  $\bar{\psi} : E = F/\mathfrak{m}_R F \rightarrow IF$ .

Since  $\pi : R \rightarrow R'$  is a small surjection, its kernel  $I$  is principally generated by some  $\epsilon \in R$  such that  $\epsilon \mathfrak{m}_R = 0$ . Since every element of  $R$  can be written uniquely as  $a + \eta$  with  $a \in K$  and  $\eta \in \mathfrak{m}_R$ , we have

$$I = \{a\epsilon : a \in K\}.$$

In other words, the map  $K \rightarrow I$  given by  $1 \mapsto \epsilon$  is an isomorphism of  $R$ -modules. Tensoring with  $F$ , we have an isomorphism of  $D$ -modules

$$E = K \otimes_R F \xrightarrow{\sigma} I \otimes_R F = IF.$$

Then  $\sigma^{-1} \circ \bar{\psi} \in \text{End}_D(E) = K$ , so define  $b := \sigma^{-1} \circ \bar{\psi}$ . Observe that

$$\psi(f) = \bar{\psi}(f \bmod \mathfrak{m}_R F) = (\sigma \circ \sigma^{-1} \circ \bar{\psi})(f \bmod \mathfrak{m}_R F) = \sigma(bf \bmod \mathfrak{m}_R F) = b\epsilon f$$

for any  $f \in F$ , which means that  $\psi = b\epsilon$  and therefore  $\phi = a + b\epsilon \in R$ .  $\square$

**Corollary 3.8.** *Suppose  $\text{End}_D(E) = K$ . If  $(R', F', \theta') \rightarrow (R, F, \theta)$  in  $\text{Def}_E$  lies over a surjective map  $R' \rightarrow R$ , then  $\text{Aut}(F', \theta') \rightarrow \text{Aut}(F, \theta)$  is also surjective. Thus, if  $\text{End}_D(E) = K$  and  $\text{Ext}_D^1(E, E)$  is finite dimensional, then  $\overline{\text{Def}}_E$  is prorepresentable.*  $\square$

Usually, the condition that  $\text{End}_D(E) = K$  is a consequence of the following.

**Definition 3.9.**  $E$  is *absolutely irreducible* if  $E_{\bar{K}}$  is irreducible over  $D_{\bar{K}}$ , where  $\bar{K}$  is an algebraic closure of  $K$ .

**Lemma 3.10.** *Suppose that  $E$  has all of the following properties.*

- (i)  $\text{End}_D(E)$  is finite dimensional over  $K$ .
- (ii)  $E$  is finitely presented over  $D$ .
- (iii)  $E$  is absolutely irreducible.

Then  $\text{End}_D(E) = K$ .

*Proof.* We know that  $\text{End}_{D_{\bar{K}}}(E_{\bar{K}}) = \bar{K}$  by Schur's lemma, so we have

$$\dim_K \text{End}_D(E) = \dim_{\bar{K}}(\bar{K} \otimes_K \text{End}_D(E)) = \dim_{\bar{K}} \text{End}_{D_{\bar{K}}}(E_{\bar{K}}) = 1$$

using lemma 3.11 below for the second equality. Thus  $\text{End}_D(E) = K$ .  $\square$

**Lemma 3.11.** *Suppose  $E$  is finitely presented and  $F$  is a left  $D$ -module. For every commutative  $K$ -algebra  $P$ , we have*

$$P \otimes_K \text{Hom}_D(E, F) = \text{Hom}_{D_P}(E_P, F_P).$$

*Proof.* Observe that  $\text{Hom}_{D_P}(E_P, F_P) = \text{Hom}_D(E, F_P)$ . The map  $F \rightarrow F_P$  induces a morphism  $\text{Hom}_D(-, F) \rightarrow \text{Hom}_D(-, F_P)$  of contravariant left-exact functors  $\text{MOD}_D \rightarrow \text{MOD}_K$ . But observe that  $\text{Hom}_D(-, F_P)$  naturally takes values in  $\text{MOD}_P$ , so in fact we have a morphism  $\eta : P \otimes_K \text{Hom}_D(-, F) \rightarrow \text{Hom}_D(-, F_P)$ . Since  $P \otimes_K -$  is exact, this is a morphism of contravariant left-exact functors  $\text{MOD}_D \rightarrow \text{MOD}_P$ . We want to show that  $\eta_E$  is an isomorphism, but using left-exactness of both functors and the fact that  $E$  is finitely presented, it suffices to show that  $\eta_D$  is an isomorphism. This is clear.  $\square$

**Lemma 3.12.** *The following are equivalent.*

- (a)  $E_{\bar{K}}$  is irreducible over  $D_{\bar{K}}$ , where  $\bar{K}$  is an algebraic closure of  $K$ .
- (b)  $E_L$  is irreducible over  $D_L$  for any finite extension  $L$  of  $K$ .

*Proof.* Suppose  $L$  is a finite extension of  $K$ , and choose an embedding  $L \hookrightarrow \bar{K}$ . Suppose  $F$  is a nonzero  $D_L$ -submodule of  $E_L$ . Since  $\bar{K}$  is faithfully flat over  $L$ , we see that  $F_{\bar{K}}$  is a nonzero submodule of  $E_{\bar{K}}$ . This means that  $E_{\bar{K}}/F_{\bar{K}} = (E_L/F)_{\bar{K}} = 0$ , which means that  $F = E_L$ . This shows (a) implies (b).

For the converse, note that  $\bar{K}$  is the colimit of all subextensions  $L$  finite over  $K$ , so  $D_{\bar{K}} = \text{colim } D_L$  and  $E_{\bar{K}} = \text{colim } E_L$ . Suppose  $e \in E_{\bar{K}}$  is nonzero. Then there exists an  $L_0$  finite over  $K$  such that  $e \in E_{L_0}$ . Then for every  $L$  finite over  $L_0$ , note that  $L$  is finite over  $K$  also, so  $E_L$  is irreducible and  $D_L e = E_L$ . Since the finite extensions of  $L_0$  are cofinal in the partially ordered set of finite extensions of  $K$  in  $\bar{K}$ , this shows that  $D_{\bar{K}} e = E_{\bar{K}}$ .  $\square$

# Chapter 4

## Deformations of differential modules

In this chapter, let  $K$  be a field of characteristic 0, and let  $\mathcal{O}$  be a commutative  $K$ -algebra equipped with a  $K$ -linear derivation  $\partial$ . Let  $\text{DMod}_{\mathcal{O}}$  denote the category of differential modules over  $\mathcal{O}$ . We will study deformations of a finite free differential  $\mathcal{O}$ -module.

### 4.A Preliminaries

The category  $\text{DMod}_{\mathcal{O}}$  of differential  $\mathcal{O}$ -modules is naturally a  $K$ -linear tensor category [Ked10, definition 5.3.2].<sup>11</sup> Given two differential  $\mathcal{O}$ -modules  $E$  and  $E'$ , the internal hom  $\text{Hom}(E, E')$  is just  $\text{Hom}_{\mathcal{O}}(E, E')$ , with differential  $\mathcal{O}$ -module structure determined by the equation

$$(\partial \cdot \phi)(e) = \partial(\phi(e)) - \phi(\partial(e))$$

for  $\phi \in \text{Hom}_{\mathcal{O}}(E, E')$  and  $e \in E$ .

Let  $D = \mathcal{O}[\partial]$  be the corresponding ring of differential operators: elements of  $D$  can be written uniquely in the form  $f\partial^i$  where  $f \in \mathcal{O}$  and  $i$  is a nonnegative integer, and multiplication is determined by the equation

$$[\partial, f] = \partial(f)$$

for all  $f \in \mathcal{O}$ . Then  $\text{DMod}_{\mathcal{O}}$  is naturally equivalent to the category  $\text{Mod}_D$  of left  $D$ -modules. For more about all of this, see [Ked10, chapter 5].

**Definition 4.1** (de Rham complex). If  $E$  is a differential  $\mathcal{O}$ -module, we define the *de Rham complex* of  $E$ , denoted  $\text{dR}(\mathcal{O}, E)$ , be the following two-term chain complex in nonnegative degrees.

$$E \xrightarrow{\partial} E \longrightarrow 0 \longrightarrow \dots$$

We then define  $H_{\text{dR}}^i(E) := H^i(\text{dR}(\mathcal{O}, E))$ .

<sup>11</sup>For us, *tensor category* will mean a closed symmetric monoidal abelian category in which the monoidal product is right exact in each argument. We will say that it is *compact closed* if each of its objects is dualizable and the monoidal product is exact in both arguments.



**Example 4.2.** It follows from definitions that  $H_{\text{dR}}^0(\text{Hom}(E, E')) = \text{Hom}_{\mathcal{D}}(E, E')$ .

**Lemma 4.3** ([Chr11, section 6.6]). *Let  $E$  be a finite free differential  $\mathcal{O}$ -module and  $(e_1, \dots, e_n)$  an  $\mathcal{O}$ -basis for  $E$ . Let  $N$  be the corresponding matrix of  $\partial$ . Then we have an exact sequence*

$$0 \longrightarrow \mathcal{D}^{\oplus n} \xrightarrow{\partial I - N} \mathcal{D}^{\oplus n} \longrightarrow E \longrightarrow 0$$

where the map  $\mathcal{D}^{\oplus n} \rightarrow E$  carries the standard basis of  $\mathcal{D}^{\oplus n}$  onto the  $\mathcal{O}$ -basis  $(e_1, \dots, e_n)$  of  $E$ , and  $\partial I$  denotes the diagonal matrix with  $\partial$  in all of the diagonal entries

**Corollary 4.4.** *Suppose  $E$  is a finite free differential  $\mathcal{O}$ -module. Then  $E$  is finitely presented as a left  $\mathcal{D}$ -module and has projective dimension at most 1.*<sup>12</sup>  $\square$

**Corollary 4.5.**  $\text{RHom}_{\mathcal{D}}(\mathcal{O}, E) = \text{dR}(\mathcal{O}, E)$  for any differential  $\mathcal{O}$ -module  $E$ .

*Proof.* Consider the free resolution of  $\mathcal{O}$  as a  $\mathcal{D}$ -module provided by lemma 4.3. Applying the functor  $\text{Hom}_{\mathcal{D}}(-, E)$  to this free resolution gives exactly the de Rham complex  $\text{dR}(\mathcal{O}, E)$ .  $\square$

## 4.B de Rham and Hochschild complexes

For the remainder, we fix a finite free differential  $\mathcal{O}$ -module  $E$ . When we write  $\text{Def}_E$ , we will mean  $\text{Def}_{\mathcal{D}, E}$  (as opposed to  $\text{Def}_{\mathcal{O}, E}$ ).

**Remark 4.6** (Lifting bases). Suppose  $(e_1, \dots, e_n)$  is an  $\mathcal{O}$ -basis for  $E$  and suppose  $(R, F, \theta) \in \text{Def}_E$ . Choose  $f_i \in F$  such that  $\theta(f_i) = e_i$  for all  $i = 1, \dots, n$ . Then the tuple  $(f_1, \dots, f_n)$  defines an  $\mathcal{O}_R$ -module homomorphism  $\phi : \mathcal{O}_R^{\oplus n} \rightarrow F$  and the composite

$$\mathcal{O}^{\oplus n} \xrightarrow{1 \otimes \phi} K \otimes_R F \xrightarrow{1 \otimes \theta} E$$

is clearly an isomorphism. Since  $K \otimes_R F \rightarrow E$  is an isomorphism, we see that  $\mathcal{O}^{\oplus n} \rightarrow K \otimes_R F$  must also be an isomorphism. Since  $F$  is  $R$ -flat,  $\phi$  is itself an isomorphism [Sch68, lemma 3.3]. In other words,  $F$  is a finite free differential  $\mathcal{O}_R$ -module with  $\mathcal{O}_R$ -basis  $(f_1, \dots, f_n)$ . Hereafter, a basis  $(f_1, \dots, f_n)$  of  $F$  obtained in this way will be said to be a *lift* of the basis  $(e_1, \dots, e_n)$  of  $E$ .

Observe that  $\text{dR}(\mathcal{O}, \text{End}(E))$  a differential graded  $K$ -algebra under composition. Our goal now is to show that  $\text{dR}(\mathcal{O}, \text{End}(E))$ , regarded as a differential graded  $K$ -Lie algebra, governs  $\text{Def}_E$ . We will do this by relating it to  $\text{Hoch}_K(\mathcal{D}, \text{End}_K(E))$ .

<sup>12</sup>The fact that a finite free differential  $\mathcal{O}$ -module must have projective dimension at most 1 is also verified in [Goo74, proposition 2].

**Remark 4.7.** It is easy to use general abstract nonsense to produce an identification

$$\mathrm{dR}(\mathcal{O}, \mathrm{End}(E)) = \mathrm{Hoch}_K(D, \mathrm{End}_K(E))$$

in the derived category of vector spaces, as we will work out momentarily, but it is not apparent that the resulting identification preserves the differential graded Lie algebra structures on both complexes. Thus, we will instead construct an explicit quasi-isomorphism, so that we can directly verify that it preserves the differential graded (Lie) algebra structures on both sides.

To see how to produce this identification using abstract nonsense, note that right multiplication on  $D$  by  $\partial$  gives a free resolution of  $\mathcal{O}$  as a left  $D$ -module; it follows that

$$\mathrm{dR}(\mathcal{O}, -) = \mathrm{RHom}_D(\mathcal{O}, -).$$

Next, note that the adjunction isomorphism  $\mathrm{Hom}(\mathcal{O}, \mathrm{Hom}(E, -)) = \mathrm{Hom}(E, -)$  is an isomorphism of functors  $\mathrm{MOD}_D \rightarrow \mathrm{MOD}_D$ , so taking horizontal sections on both sides, we get an isomorphism  $\mathrm{Hom}_D(\mathcal{O}, \mathrm{Hom}(E, -)) = \mathrm{Hom}_D(E, -)$  of functors  $\mathrm{MOD}_D \rightarrow \mathrm{MOD}_K$ . Since  $\mathrm{Hom}_\mathcal{O}(E, -)$  is exact, we right derive both sides and get

$$\mathrm{RHom}_D(\mathcal{O}, \mathrm{Hom}_\mathcal{O}(E, -)) = \mathrm{RHom}_D(E, -).$$

Putting these two identifications together and evaluating at  $E$  shows that

$$\mathrm{dR}(\mathcal{O}, E) = \mathrm{RHom}_D(E, E),$$

and the identification of the right-hand side with the Hochschild complex is a consequence of the proof of [Wei94, lemma 9.1.9].

**Lemma 4.8.** *The map  $s \mapsto (s|_\mathcal{O}, s(\partial))$  defines an injective map of vector spaces*

$$\mathrm{Der}_K(D, \mathrm{End}_K(E)) \hookrightarrow \mathrm{Der}_K(\mathcal{O}, \mathrm{End}_K(E)) \times \mathrm{End}_K(E)$$

whose image is the subspace of  $(r, v)$  such that

$$[r(f), \partial] + [f, v] + r(\partial(f)) = 0 \tag{4.9}$$

for all  $f \in \mathcal{O}$ .

*Proof.* This proof is fairly excruciating, but there are no surprises. Observe that  $D$  is a free left  $\mathcal{O}$ -module on the basis  $1, \partial, \partial^2, \dots$ . If we have  $s \in \mathrm{Der}_K(D, \mathrm{End}_K(E))$ , then an easy inductive argument shows that

$$s(f\partial^k) = s(f)\partial^k + \sum_{i=0}^{k-1} f\partial^i s(\partial)\partial^{k-1-i} \tag{4.10}$$

for any  $f \in \mathcal{O}$  and  $k \in \mathbb{N}$ . Since the right-hand side depends only on the pair  $(s|_{\mathcal{O}}, s(\partial))$ , this proves injectivity. Moreover, we have

$$\begin{aligned} 0 &= s(\partial f) - s(\partial)f - \partial s(f) \\ &= s(f\partial) + s(\partial(f)) - s(\partial)f - \partial s(f) \\ &= s(f)\partial + fs(\partial) + s(\partial(f)) - s(\partial)f - \partial s(f) \\ &= [s(f), \partial] + [f, s(\partial)] + s(\partial(f)) \end{aligned}$$

which shows that the pair  $(s|_{\mathcal{O}}, s(\partial))$  satisfies equation (4.9) for all  $f \in \mathcal{O}$ .

Conversely, suppose that we have  $(r, \nu)$  satisfying equation (4.9). Motivated by equation (4.10), we define a function  $s : D \rightarrow \text{End}_{\kappa}(E)$  by declaring

$$s(f\partial^k) := r(f)\partial^k + \sum_{i=0}^{k-1} f\partial^i\nu\partial^{k-1-i}$$

for all  $f \in \mathcal{O}$  and  $k \in \mathbb{N}$  and then extending additively. Then we certainly have  $(s|_{\mathcal{O}}, s(\partial)) = (r, \nu)$ , so we only need to check that  $s$  is actually a derivation. In other words, we need to check that

$$s(PQ) = s(P)Q + Ps(Q) \quad (4.11)$$

for all pairs  $(P, Q)$  of elements of  $D$ .

We will do this by “inducting” on the complexity of an element of  $D$ . The key to this is the following trivial observation: if  $P = P' + P''$  for some  $P', P'' \in D$  and equation (4.11) holds for  $(P', Q)$  and  $(P'', Q)$ , then equation (4.11) also holds for  $(P, Q)$ . There is an analogous statement when  $Q$  decomposes as a sum of two elements. We will use this observation tacitly throughout.

An element  $P \in D$  is a *monomial* if it is of the form  $f\partial^k$  for some  $f \in \mathcal{O}$  and  $k \in \mathbb{N}$ . We say that  $k$  is the *degree* of the monomial  $P$ , and that  $P$  is a *monic* monomial if  $f = 1$ . We say that  $P$  is *left Leibniz* if  $(P, Q)$  satisfies equation (4.11) for all  $Q \in D$  (equivalently, all monomials  $Q$ ). Dually, we say that  $Q$  is *right Leibniz* if  $(P, Q)$  satisfies equation (4.11) for all  $P \in D$  (equivalently, all monomials  $P$ ). To complete the proof, it suffices to show that every monomial is left Leibniz. Let us proceed incrementally towards this assertion, in 6 steps.

*Step 1.* First, let us show that any monic monomial  $Q = \partial^k$  is right Leibniz. Let  $P = f\partial^j$ .

$$\begin{aligned} s(f\partial^{j+k}) &= r(f)\partial^{j+k} + \sum_{i=0}^{j+k-1} f\partial^i\nu\partial^{j+k-1-i} \\ s(f\partial^j)\partial^k &= r(f)\partial^{j+k} + \sum_{i=0}^{j-1} f\partial^i\nu\partial^{j+k-1-i} \\ f\partial^j s(\partial^k) &= \sum_{i=j}^{j+k-1} f\partial^i\nu\partial^{j+k-1-i} \end{aligned}$$

Thus equation (4.11) holds for  $(P, \partial^k)$ .

*Step 2.* Let us next show that every degree 0 monomial  $f \in \mathcal{O}$  is left Leibniz. Suppose  $Q = g\partial^k$ .

$$\begin{aligned} s(fg\partial^k) &= r(fg)\partial^k + \sum_{i=0}^{k-1} fg\partial^i v \partial^{k-1-i} \\ &= r(f)g\partial^k + fr(g)\partial^k + \sum_{i=0}^{k-1} fg\partial^i v \partial^{k-1-i} \\ s(f)g\partial^k &= r(f)g\partial^k \\ fs(g\partial^k) &= fr(g)\partial^k + \sum_{i=0}^{k-1} fg\partial^i v \partial^{k-1-i} \end{aligned}$$

Thus equation (4.11) holds for  $(f, Q)$ .

*Step 3.* A calculation identical to one we did earlier shows that

$$s(\partial f) - s(\partial)f - \partial s(f) = [r, \partial] + [f, v] + r(\partial(f))$$

which means that  $(r, v)$  satisfying equation (4.9) is equivalent to  $(\partial, f)$  satisfying equation (4.11).

*Step 4.* Let us now show that  $\partial$  is left Leibniz. Suppose  $Q = f\partial^k$ . Then

$$\begin{aligned} s(\partial f\partial^k) &= s(\partial f)\partial^k + \partial fs(\partial^k) \\ &= s(\partial)f\partial^k + \partial s(f)\partial^k + \partial fs(\partial^k) \\ &= s(\partial)f\partial^k + \partial s(f\partial^k) \end{aligned}$$

using the fact that  $\partial^k$  is right Leibniz for the first equality (step 1), the fact that  $(\partial, f)$  satisfies equation (4.11) for the second (step 3), and then the fact that  $\partial^k$  is right Leibniz again for the third equality (step 1).

*Step 5.* Let us now show by induction on degree that any monic monomial is left Leibniz. Suppose that  $\partial^j$  is left Leibniz for some  $j \in \mathbb{N}$ . Let  $Q = f\partial^k$ . Note that we have

$$\partial^{j+1} f\partial^k = \partial^j f\partial^{k+1} + \partial^j \partial(f)\partial^k$$

in  $D$ . Using this, we have

$$\begin{aligned}
s(\partial^{j+1}f\partial^k) &= s(\partial^j f\partial^{k+1} + \partial^j \partial(f)\partial^k) \\
&= s(\partial^j)f\partial^{k+1} + \partial^j s(f\partial^{k+1}) + s(\partial^j)\partial(f)\partial^k + \partial^j s(\partial(f)\partial^k) \\
&= s(\partial^j)(f\partial^{k+1} + \partial(f)\partial^k) + \partial^j s(f\partial^{k+1} + \partial(f)\partial^k) \\
&= s(\partial^j)\partial f\partial^k + \partial^j s(\partial f\partial^k) \\
&= s(\partial^j)\partial f\partial^k + \partial^j (s(\partial)f\partial^k + \partial s(f\partial^k)) \\
&= (s(\partial^j)\partial + \partial^j s(\partial))f\partial^k + \partial^{j+1} s(f\partial^k) \\
&= s(\partial^{j+1})f\partial^k + \partial^{j+1} s(f\partial^k)
\end{aligned}$$

using the inductive hypothesis that  $\partial^j$  is left Leibniz twice for the second equality, the fact that  $\partial$  is left Leibniz for the fifth (step 4), and the fact that  $\partial$  is right Leibniz for the final (step 1).

*Step 6.* Finally, we show that an arbitrary monomial  $f\partial^k$  is left Leibniz. For any  $Q \in D$ , observe that

$$\begin{aligned}
s(f\partial^k Q) &= s(f)\partial^k Q + fs(\partial^k Q) \\
&= s(f)\partial^k Q + fs(\partial^k)Q + f\partial^k s(Q) \\
&= s(f\partial^k)Q + f\partial^k s(Q)
\end{aligned}$$

where the first and third equalities are because  $f$  is left Leibniz (step 2) and the second because  $\partial^k$  is left Leibniz (step 5).  $\square$

**Corollary 4.12.** *There is a unique injective  $K$ -linear map  $\zeta : \text{End}(E) \rightarrow \text{Der}_K(D, \text{End}_K(E))$  such that  $\zeta(\rho)(f) = 0$  for all  $f \in \mathcal{O}$  and  $\zeta(\rho)(\partial) = \rho$ . Moreover,  $\text{im}(\zeta)$  is precisely the set of derivations  $D \rightarrow \text{End}_K(E)$  which annihilate  $\mathcal{O}$ .*

*Proof.* If  $\rho \in \text{End}_K(E)$ , note that  $(0, \rho)$  satisfies equation (4.9) if and only if  $\rho \in \text{End}(E)$ . So, for  $\rho \in \text{End}(E)$ , let  $\zeta(\rho)$  be the unique  $s \in \text{Der}_K(D, \text{End}_K(E))$  such that  $(s|_{\mathcal{O}}, s(\partial)) = (0, \rho)$ .  $\square$

**Theorem 4.13.** *The map  $\zeta$  of corollary 4.12 defines a quasi-isomorphism of differential graded  $K$ -algebras*

$$dR(\mathcal{O}, \text{End}(E)) \longrightarrow \text{Hoch}_K(D, \text{End}_K(E)).$$

*Proof.* Since  $E$  has projective dimension at most 1 over  $D$ , we have  $\text{Ext}_D^i(E, E) = 0$  for all  $i \geq 2$ . Thus, as in remark 3.6, the natural inclusion  $\tau_{\leq 1} \text{Hoch}_K(D, \text{End}_K(E)) \rightarrow \text{Hoch}_K(D, \text{End}_K(E))$  is a quasi-isomorphism of differential graded  $K$ -algebras. The map  $\zeta$  of corollary 4.12 defines a map of complexes  $dR(\mathcal{O}, \text{End}(E)) \rightarrow \tau_{\leq 1} \text{Hoch}_K(D, \text{End}_K(E))$

as follows (where we are using the description of the truncated Hochschild complex from remark 3.6).

$$\begin{array}{ccccccc}
 \text{End}(E) & \xrightarrow{\partial} & \text{End}(E) & \longrightarrow & 0 & \longrightarrow & \dots \\
 \downarrow & & \downarrow \zeta & & \downarrow & & \\
 \text{End}_K(E) & \xrightarrow{d} & \text{Der}_K(D, \text{End}_K(E)) & \longrightarrow & 0 & \longrightarrow & \dots
 \end{array}$$

To see that this diagram commutes, note that if  $\sigma \in \text{End}(E)$ , note that

$$\zeta(\partial\sigma)(f) = 0 = [f, \sigma] = d\sigma(f)$$

for any  $f \in \mathcal{O}$  and that

$$\zeta(\partial\sigma)(\partial) = \zeta([\partial, \sigma])(\partial) = [\partial, \sigma] = d\sigma(\partial).$$

In other words,  $d\sigma$  and  $\zeta(\partial\sigma)$  agree on  $\mathcal{O}$  and on  $\partial$ , so the injectivity assertion of lemma 4.8 proves commutativity of the diagram.

A similar argument using the same injectivity assertion shows that  $\zeta$  is a homomorphism of differential graded  $K$ -algebras. Suppose  $\sigma, \rho \in \text{End}(E)$ , where  $\sigma$  is regarded as living in degree 0 and  $\rho$  in degree 1. We want to show that

$$\zeta(\sigma\rho) = \sigma\zeta(\rho) = \zeta(\sigma)\rho,$$

but clearly all three annihilate  $\mathcal{O}$  and take the value  $\sigma\rho$  on  $\partial$ .

We now want to show that  $\zeta$  induces isomorphisms on cohomology. This is clear in degree 0, so we focus on degree 1. Note that we have a diagram as follows.

$$\begin{array}{ccc}
 H_{\text{dR}}^1(\text{End}(E)) & \longrightarrow & \text{Ext}_D^1(E, E) \\
 & \searrow \zeta & \downarrow \\
 & & H^1(\text{Hoch}_K(D, \text{End}_K(E)))
 \end{array}$$

Here, the vertical map is the isomorphism detailed in section 3.B, and the horizontal map is the isomorphism of [Ked10, lemma 5.3]. To show that  $\zeta$  is an isomorphism, it suffices to prove that this diagram is commutative.

Let us begin by recalling the explicit construction of the horizontal isomorphism displayed above as it is described in [Ked10, proof of lemma 5.3]. Suppose we have  $\rho \in \text{End}(E)$  representing a cohomology class in  $H_{\text{dR}}^1(\text{End}(E))$ . Its image in  $\text{Ext}_D^1(E, E)$  is denoted  $E \oplus_\rho E$ . As an  $\mathcal{O}$ -module, it is just  $E \oplus E$ , but  $\partial$  acts by

$$\partial \cdot (e, e) = (\partial e + \rho(e), \partial e).$$

It is straightforward to verify that this formula satisfies the Leibniz rule, and that the inclusion  $E \rightarrow E \oplus_\rho E$  into the first coordinate and the projection  $E \oplus_\rho E \rightarrow E$  onto the

second coordinate are both homomorphisms of differential  $\mathcal{O}$ -modules. In other words,  $E \oplus_{\rho} E$  is in fact an extension of  $E$  by itself.

Now let us find the image of this extension in

$$H^1(\text{Hoch}_{\mathbb{K}}(D, \text{End}_{\mathbb{K}}(E))) = \text{Der}_{\mathbb{K}}(D, \text{End}_{\mathbb{K}}(E)) / \text{PDer}_{\mathbb{K}}(D, \text{End}_{\mathbb{K}}(E)).$$

To do this, we use the description in section 3.B. Note that the underlying  $\mathcal{O}$ -module of  $E \oplus_{\rho} E$  is  $E \oplus E$ . In other words, there is a natural pair of  $\mathbb{K}$ -linear (even  $\mathcal{O}$ -linear) splittings for this extension. Thus the image of  $E \oplus_{\rho} E$  in  $H^1(\text{Hoch}_{\mathbb{K}}((D, \text{End}_{\mathbb{K}}(E))))$  is the class of the derivation  $s \in \text{Der}_{\mathbb{K}}(D, \text{End}_{\mathbb{K}}(E))$  where, for any  $P \in D$  and  $e \in E$ ,  $s(P)(e)$  is the projection of  $P \cdot (0, e)$  onto the first coordinate.

Note that taking  $P = f$  for some  $f \in \mathcal{O}$ , then  $f \cdot (0, e) = (0, fe)$ . Thus  $s|_{\mathcal{O}} = 0$ . Moreover, taking  $P = \partial$  shows that  $s(\partial) = \rho$ . It follows from the injectivity assertion of lemma 4.8 that  $s = \zeta(\rho)$ . This proves that the diagram is commutative.  $\square$

**Corollary 4.14.**  $dR(\mathcal{O}, \text{End}(E))$  governs  $\text{Def}_E$ .  $\square$

**Remark 4.15.** It is worth describing the equivalence  $\Theta : \text{Def}_{dR(\mathcal{O}, \text{End}(E))} \rightarrow \text{Def}_E$  explicitly. For  $R \in \text{ART}_{\mathbb{K}}$ , the objects of  $\text{Def}_{dR(\mathcal{O}, \text{End}(E))}(R)$  are elements of

$$\mathfrak{m}_R \otimes \text{End}(E) = \ker(\text{End}(E_R) \rightarrow \text{End}(E)).$$

Given  $\mu \in \ker(\text{End}(E_R) \rightarrow \text{End}(E))$ , let  $E_{R, \mu}$  denote the differential  $\mathcal{O}_R$ -module whose underlying  $\mathcal{O}_R$ -module is  $E_R$ , and where  $\partial$  acts by  $1 \otimes \partial + \mu$ . Since  $\mu$  reduces to 0 modulo  $\mathfrak{m}_R$ , the natural  $\mathcal{O}_R$ -module homomorphism  $\theta : E_{R, \mu} \rightarrow E$  is actually a  $D_R$ -module homomorphism.

The equivalence  $\Theta : \text{Def}_{dR(\mathcal{O}, \text{End}(E))} \rightarrow \text{Def}_E$  is given by  $\mu \mapsto (R, E_{R, \mu}, \theta)$  on the level of objects. On morphisms,  $\Theta$  acts “by exponentiation.” See the proof of theorem 3.2 for details about this.

## 4.C Trace and determinant

**Lemma 4.16.** *The trace map  $\text{tr} : \text{End}(E) \rightarrow \mathcal{O}$  is a split surjective homomorphism of differential  $\mathcal{O}$ -modules. Moreover, the induced map  $\text{tr} : dR(\mathcal{O}, \text{End}(E)) \rightarrow dR(\mathcal{O}, \mathcal{O})$  is a homomorphism of differential graded  $\mathbb{K}$ -Lie algebras.<sup>13</sup>*

*Proof.* Observe that the natural embedding  $\mathcal{O} \rightarrow \text{End}(E)$ , carrying an element  $f \in \mathcal{O}$  to the multiplication by  $f$  map, is a homomorphism of differential  $\mathcal{O}$ -modules. Indeed, if we let  $\mu_f$  denote the multiplication by  $f$  map, then

$$(\partial \cdot \mu_f)(e) = \partial \mu_f(e) - \mu_f \partial(e) = \partial(fe) - f \partial(e) = \partial(f)e = \mu_{\partial(f)}(e).$$

<sup>13</sup>Note that it is *not* a homomorphism of differential graded  $\mathbb{K}$ -algebras: it preserves the commutator bracket, but not multiplication itself.

Now let us show that the trace map also preserves the differential module structure. We choose a basis  $(e_1, \dots, e_n)$  for  $E$ , and then observe that if  $\phi \in \text{End}(E)$  has matrix  $M$  with respect to this basis, then  $\partial\phi$  has matrix  $\partial(M) + [N, M]$  where  $N$  is the matrix of action of  $\partial$  and  $\partial(M)$  denotes entry-wise application of  $\partial$  to  $M$ . Then

$$\text{tr}(\partial\phi) = \text{tr}(\partial(M) + [N, M]) = \text{tr}(\partial(M)) = \partial(\text{tr}(M)) = \partial(\text{tr}(\phi)).$$

Clearly the map  $\mathcal{O} \rightarrow \text{End}(E)$  splits the trace map, so this completes the proof of the first assertion. The second assertion follows from the observation that

$$\text{tr}([\alpha, \beta]) = 0 = [\text{tr}(\alpha), \text{tr}(\beta)]$$

for any  $\alpha, \beta \in \text{End}(E)$ . □

**Lemma 4.17.** *If  $N$  is the matrix of  $\partial$  on  $E$  with respect to an  $\mathcal{O}$ -basis  $(e_1, \dots, e_n)$ , then  $\text{tr}(N)$  is the matrix of  $\partial$  on  $\det(E)$  with respect to  $e_1 \wedge \dots \wedge e_n$ .*

*Proof.* Recall from [Ked10, definition 5.3.2] that

$$\partial(e_1 \wedge \dots \wedge e_n) = \sum_{i=1}^n e_1 \wedge \dots \wedge e_{i-1} \wedge \partial e_i \wedge e_{i+1} \wedge \dots \wedge e_n.$$

By definition of  $N$ , we have

$$\partial e_i = \sum_{j=1}^n N_{j,i} e_j,$$

so

$$\partial(e_1 \wedge \dots \wedge e_n) = \sum_{i=1}^n N_{i,i} (e_1 \wedge \dots \wedge e_n) = \text{tr}(N)(e_1 \wedge \dots \wedge e_n). \quad \square$$

**Lemma 4.18.** *The following diagram 2-commutes.*

$$\begin{array}{ccc} \text{Def}_{\text{dR}(\mathcal{O}, \text{End}(E))} & \xrightarrow{\text{tr}} & \text{Def}_{\text{dR}(\mathcal{O}, \mathcal{O})} \\ \downarrow & & \downarrow \\ \text{Def}_E & \xrightarrow{\det} & \text{Def}_{\det(E)} \end{array}$$

*Proof.* Since  $\det(E)$  is of rank 1, we have  $\text{End}(\det(E)) = \mathcal{O}$ . The vertical arrows are the equivalences of corollary 4.14, which are described in more detail in remark 4.15. The horizontal arrow on top is induced by the homomorphism  $\text{tr} : \text{dR}(\mathcal{O}, \text{End}(E)) \rightarrow \text{dR}(\mathcal{O}, \mathcal{O})$  of lemma 4.16, and the horizontal arrow on the bottom is given by

$$(R, F, \theta) \mapsto (R, \det(F), \det(\theta)).$$



The 2-commutativity of the square is straightforward to verify at this point; once we choose bases, the key observation is lemma 4.17 above. The details follow.

For any  $R \in \text{ART}_K$ , observe that we have a canonical isomorphism  $\eta_R : \det(E)_R \rightarrow \det(E_R)$  of  $\mathcal{O}_R$ -modules. Explicitly, if we choose a basis  $(e_1, \dots, e_n)$  of  $E$ , then

$$\eta_R(1 \otimes (e_1 \wedge \cdots \wedge e_n)) = (1 \otimes e_1) \wedge \cdots \wedge (1 \otimes e_n),$$

but  $\eta_R$  does not depend on the choice of basis. Chasing the basis  $1 \otimes (e_1 \wedge \cdots \wedge e_n)$  around shows that  $\eta_R$  makes the following diagram commute.

$$\begin{array}{ccc} \det(E)_R & \xrightarrow{\eta_R} & \det(E_R) \\ \theta \downarrow & & \downarrow \det(\theta) \\ \det(E) & \xrightarrow{1} & \det(E) \end{array} \quad (4.19)$$

Moreover, the isomorphism  $\eta_R$  is evidently natural in  $R$  in the sense that, if  $\pi : R' \rightarrow R$  is a homomorphism in  $\text{ART}_K$ , we have a commutative diagram as follows.

$$\begin{array}{ccc} \det(E)_{R'} & \xrightarrow{\eta_{R'}} & \det(E_{R'}) \\ \pi \otimes 1 \downarrow & & \downarrow \det(\pi \otimes 1) \\ \det(E)_R & \xrightarrow{\eta_R} & \det(E_R) \end{array} \quad (4.20)$$

Now suppose  $\mu \in \ker(\text{End}(E_R) \rightarrow \text{End}(E))$ . We claim that  $(1, \eta_R)$  is an isomorphism

$$(R, \det(E)_{R, \text{tr}(\mu)}, \theta) \longrightarrow (R, \det(E_{R, \mu}), \det(\theta))$$

in  $\text{Def}_{\det(R)}$ . In fact, in light of the commutative diagram (4.19), it is sufficient to show that  $\eta_R$  is an isomorphism of differential  $\mathcal{O}_R$ -modules  $\det(E)_{R, \text{tr}(\mu)} \rightarrow \det(E_{R, \mu})$ . Once we show this, it follows immediately from the diagram (4.20) that the collection  $(1, \eta_R)$  defines a 2-morphism that makes the square in the statement of the lemma 2-commute.

To prove that  $\eta_R : \det(E)_{R, \text{tr}(\mu)} \rightarrow \det(E_{R, \mu})$  is an isomorphism of differential modules, we choose a basis  $(e_1, \dots, e_n)$  for  $E$ . Let  $N$  be the matrix of  $\partial$  acting on  $E$  and let  $M$  be the  $n \times n$  matrix with coefficients in  $\mathfrak{m}_R \otimes \mathcal{O}$  representing  $\mu$ . Observe that  $(1 \otimes e_1, \dots, 1 \otimes e_n)$  is a basis for  $E_{R, M}$  and  $1 \otimes N + M$  is the matrix of action of  $\partial$  on this basis. Applying lemma 4.17, we see that  $\partial$  acts on  $(1 \otimes e_1) \wedge \cdots \wedge (1 \otimes e_n)$  by

$$\text{tr}(1 \otimes N + M) = 1 \otimes \text{tr}(N) + \text{tr}(M).$$

This is precisely the matrix with which  $\partial$  acts on the basis  $1 \otimes (e_1 \wedge \cdots \wedge e_n)$  of  $\det(E)_{R, \text{tr}(M)}$ , proving the claim.  $\square$

## 4.D Trivialized and trivializable deformations

We continue to fix  $\mathcal{O}$  and  $E$  as above. Moreover, we assume in addition that  $\mathcal{O}^\sharp$  is another commutative  $K$ -algebra,  $\mathcal{O} \rightarrow \mathcal{O}^\sharp$  is a homomorphism of  $K$ -algebras, and that there is a  $K$ -linear derivation on  $\mathcal{O}^\sharp$ , again denoted  $\partial$ , which extends the action of  $\partial$  on  $\mathcal{O}$ .

We let  $D^\sharp := \mathcal{O}^\sharp[\partial]$  be the corresponding ring of differential operators, and we regard  $E^\sharp := \mathcal{O}^\sharp \otimes_{\mathcal{O}} E$  as a finite free differential  $\mathcal{O}^\sharp$ -module. In other words,  $\text{Def}_{E^\sharp}$  means  $\text{Def}_{D^\sharp, E^\sharp}$ . For any  $(R, F, \theta) \in \text{Def}_E$ , we let

$$F^\sharp := \mathcal{O}^\sharp \otimes_{\mathcal{O}} F$$

regarded as a differential  $\mathcal{O}^\sharp$ -module. Since  $F$  is  $R$ -flat, so is  $F^\sharp$ . Letting  $\theta^\sharp : F^\sharp \rightarrow E^\sharp$  be the natural map induced by  $\theta$ , we observe that  $(R, F, \theta) \mapsto (R, F^\sharp, \theta^\sharp)$  defines a functor  $\text{Def}_E \rightarrow \text{Def}_{E^\sharp}$ .

Observe that the map  $E \rightarrow E^\sharp$  induces a homomorphism  $dR(\mathcal{O}, E) \rightarrow dR(\mathcal{O}^\sharp, E^\sharp)$  of complexes.

$$\begin{array}{ccc} E & \xrightarrow{\partial} & E \\ \downarrow & & \downarrow \\ E^\sharp & \xrightarrow{\partial} & E^\sharp \end{array}$$

In particular, since

$$\text{End}(E^\sharp) = \mathcal{O}^\sharp \otimes_{\mathcal{O}} \text{End}(E),$$

there is a natural map  $dR(\mathcal{O}, \text{End}(E)) \rightarrow dR(\mathcal{O}^\sharp, \text{End}(E^\sharp))$ , which is a homomorphism of differential graded  $K$ -algebras.

The following shows that this homomorphism  $dR(\mathcal{O}, \text{End}(E)) \rightarrow dR(\mathcal{O}^\sharp, \text{End}(E^\sharp))$  is compatible with the functor  $\text{Def}_E \rightarrow \text{Def}_{E^\sharp}$  and the equivalences of corollary 4.14.

**Lemma 4.21.** *The following diagram 2-commutes.*

$$\begin{array}{ccc} \text{Def}_{dR(\mathcal{O}, \text{End}(E))} & \longrightarrow & \text{Def}_{dR(\mathcal{O}^\sharp, \text{End}(E^\sharp))} \\ \downarrow & & \downarrow \\ \text{Def}_E & \longrightarrow & \text{Def}_{E^\sharp} \end{array}$$

*Proof.* This is very pedantic and the proof is very similar in structure to that of lemma 4.18, so we write down fewer details. Observe that there is a canonical isomorphism  $\eta_R : (E^\sharp)_R \rightarrow (E_R)^\sharp$  of  $\mathcal{O}^\sharp$ -modules coming from the symmetry of the tensor product:

$$(E^\sharp)_R = R \otimes_K (\mathcal{O}^\sharp \otimes_{\mathcal{O}} E) \xrightarrow{\eta_R} \mathcal{O}^\sharp \otimes_{\mathcal{O}} (R \otimes_K E) = (E_R)^\sharp.$$

The content is to show that  $\eta_R$  is actually an isomorphism of differential  $\mathcal{O}^\sharp$ -modules  $(E^\sharp)_{R, \mu^\sharp} \rightarrow (E_{R, \mu})^\sharp$  for any  $\mu \in \ker(\text{End}(E_R) \rightarrow \text{End}(E))$ . Note that  $\mu^\sharp = 1_{\mathcal{O}^\sharp} \otimes \mu$  and  $\partial$  acts on the domain by

$$1_R \otimes 1_{\mathcal{O}^\sharp} \otimes \partial + \mu^\sharp.$$

Under the symmetry isomorphism  $\eta_R$ , this corresponds precisely to

$$1_{\mathcal{O}^\#} \otimes (1_R \otimes \partial + \mu)$$

which is precisely how  $\partial$  acts on  $(E_{R,\mu})^\#$ .  $\square$

In other words, the functor  $\text{Def}_E \rightarrow \text{Def}_{E^\#}$  is the one induced by the homomorphism  $dR(\mathcal{O}, \text{End}(E)) \rightarrow dR(\mathcal{O}^\#, \text{End}(E^\#))$ . Thus, we can set up a diagram as in example 2.39, where  $\Gamma$  denotes the residual gerbe of  $\text{Def}_{E^\#}$ .

$$\begin{array}{ccccc} \text{Def}_E^{\#,+} & \longrightarrow & \text{Def}_E^\# & \longrightarrow & \text{Def}_E \\ \downarrow & & \downarrow & & \downarrow \\ h_K & \longrightarrow & \Gamma & \longrightarrow & \text{Def}_{E^\#} \end{array}$$

We can describe the deformation categories  $\text{Def}_E^{\#,+}$  and  $\text{Def}_E^\#$  explicitly. First, let's look at  $\text{Def}_E^{\#,+}$ . Its objects are tuples  $(R, F, \theta, \tau)$  where  $(R, F, \theta) \in \text{Def}_E$  and  $\tau : (E_R^\#, 1) \rightarrow (F^\#, \theta^\#)$  is in  $\text{Def}_{E^\#}(R)$ . Morphisms  $(R', F', \theta', \tau') \rightarrow (R, F, \theta, \tau)$  in  $\text{Def}_E^{\#,+}$  are morphisms  $(\pi, u) : (R', F', \theta') \rightarrow (R, F, \theta)$  in  $\text{Def}_E$  such that the following diagram commutes.

$$\begin{array}{ccc} E_{R'}^\# & \longrightarrow & E_R^\# \\ \tau' \downarrow & & \downarrow \tau \\ F'^\# & \xrightarrow{u^\#} & F^\# \end{array}$$

**Definition 4.22** (Trivialized deformations). Objects of  $\text{Def}_E^{\#,+}(R)$  are  $\mathcal{O}^\#$ -trivialized deformations of  $E$  over  $R$ .

Now  $\text{Def}_E^\#$  is the full subcategory of  $\text{Def}_E$  consisting of objects  $(R, F, \theta)$  such that there exists a morphism  $\tau : (E_R^\#, 1) \rightarrow (F^\#, \theta^\#)$  in  $\text{Def}_{E^\#}(R)$ , but we do not fix  $\tau$  as a part of the data.

**Definition 4.23** (Trivializable deformations). The objects of  $\text{Def}_E^\#(R)$  are  $\mathcal{O}^\#$ -trivializable deformations of  $E$  over  $R$ .

**Lemma 4.24.**  $\text{Def}_E^{\#,+}$  is smooth if and only if  $\text{Def}_E^\#$  is smooth.

*Proof.* As we noted in example 2.39, the map  $\text{Def}_E^{\#,+} \rightarrow \text{Def}_E^\#$  is smooth and essentially surjective. Apply [Stacks, 06HM].  $\square$

**Proposition 4.25.** Suppose  $H_{\text{dR}}^0(\mathcal{O}) = K$  and  $H_{\text{dR}}^1(\mathcal{O})$  is finite dimensional. If  $E$  is of rank 1, then  $\text{Def}_E^\#$  and  $\text{Def}_E^{\#,+}$  are both smooth.

*Proof.* Note that  $\text{End}(E) = \mathcal{O}$  since  $E$  is of rank 1, so  $dR(\mathcal{O}, \mathcal{O})$  governs  $\text{Def}_E$  by corollary 4.14. We have assumed that

$$\text{End}_D(E) = H_{dR}^0(\text{End}(E)) = H_{dR}^0(\mathcal{O}) = K,$$

so automorphisms lift over small extensions by corollary 3.8. The tangent space  $T(\text{Def}_E) = H_{dR}^1(\mathcal{O})$  is also finite dimensional by assumption, so in fact  $\text{Def}_E$  is prorepresentable by the fundamental theorem of deformation theory 2.1. It is smooth, since the governing complex  $dR(\mathcal{O}, \mathcal{O})$  vanishes outside degrees 0 and 1.

Choose a list  $(h_1, \dots, h_s)$  in  $\mathcal{O}$  whose image in  $H_{dR}^1(\mathcal{O})$  is a basis for  $H_p^1(\mathcal{O})$ . Then choose  $(h_{s+1}, \dots, h_r)$  in  $\mathcal{O}$  whose images in  $H_{dR}^1(\mathcal{O}^\sharp)$  form a basis for  $\text{im}(H_{dR}^1(\mathcal{O}) \rightarrow H_{dR}^1(\mathcal{O}^\sharp))$ . Then the image of  $(h_1, \dots, h_s, h_{s+1}, \dots, h_r)$  in  $H_{dR}^1(\mathcal{O})$  is a basis. Let  $e \in E$  be an  $\mathcal{O}$ -basis and suppose  $N \in \mathcal{O}$  is such that  $\partial e = Ne$ .

Since  $\text{Def}_E$  is smooth and prorepresentable and  $(h_1, \dots, h_r)$  gives a basis for the tangent space  $H_{dR}^1(\mathcal{O})$ , for any  $(R, F, \theta) \in \text{Def}_E$  there is a lift  $f \in F$  of  $e$  such that

$$\partial(f) = \left( 1 \otimes N + \sum_i \alpha_i \otimes h_i \right) f$$

for some  $\alpha_1, \dots, \alpha_r \in \mathfrak{m}_R$ . We claim that  $(R, F, \theta)$  is trivializable if and only if

$$\alpha_{s+1} = \dots = \alpha_r = 0.$$

To see this, observe that an  $\mathcal{O}_R^\sharp$ -module isomorphism  $\tau : E_R^\sharp \rightarrow F^\sharp$  compatible with 1 and  $\theta^\sharp$  must be given by  $1 \otimes e \mapsto (1 + s)f$  for some  $s \in \mathfrak{m}_R \otimes_K \mathcal{O}^\sharp$ , and it is easy to check that  $\tau$  is  $D_R^\sharp$ -linear if and only if

$$\partial(s) + (1 + s) \sum_i \alpha_i \otimes h_i = 0.$$

Note that  $\alpha_i \equiv 0 \pmod{\mathfrak{m}_R}$  for all  $i$ . Since we can factor the surjection  $R \rightarrow K$  into a composite of small extensions, let us assume inductively that there exists some  $\epsilon \in \mathfrak{m}_R$  such that  $\epsilon \mathfrak{m}_R = 0$  and  $\alpha_i \equiv 0 \pmod{\epsilon R}$  for all  $i > s$ . Since  $s \in \mathfrak{m}_R \otimes_K \mathcal{O}^\sharp$ , we have  $\alpha_i s = 0$  for all  $i > s$ , so the above equation reads

$$\partial(s) + (1 + s) \left( \sum_{i \leq s} \alpha_i \otimes h_i \right) + \sum_{i > s} \alpha_i \otimes h_i = 0.$$

Choose a direct sum complement  $Q$  for  $\epsilon R$  inside  $\mathfrak{m}_R$ , so that any element  $\eta \in \mathfrak{m}_R$  can be written uniquely as  $\eta_0 \epsilon + \tilde{\eta}$  where  $\eta_0 \in K$  and  $\tilde{\eta} \in Q$ . Then we have  $\alpha_i = \alpha_{i,0} \epsilon + \tilde{\alpha}_i$  for all  $i$ , and similarly we can write  $s = \epsilon \otimes s_0 + \tilde{\eta} \otimes \tilde{s}$  for some  $\tilde{\eta} \in Q$  and  $s_0, \tilde{s} \in \mathcal{O}^\sharp$ . Again recalling that  $\epsilon \mathfrak{m}_R = 0$ , the ‘‘epsilon part’’ of the above equation is

$$\partial(s_0) + \sum_i \alpha_{i,0} h_i = 0,$$

which is an equation in  $\mathcal{O}^\sharp$ . Passing to  $H_{\text{dR}}^1(\mathcal{O}^\sharp)$ , clearly  $\partial(s_0)$  disappears, as do the terms corresponding to  $h_1, \dots, h_s$  since these terms were chosen to be in  $H_{\text{p}}^1(\mathcal{O}) = \ker(H_{\text{dR}}^1(\mathcal{O}) \rightarrow H_{\text{dR}}^1(\mathcal{O}^\sharp))$ . But the image of  $(h_{s+1}, \dots, h_r)$  is linearly independent in  $H_{\text{dR}}^1(\mathcal{O}^\sharp)$  by construction, so we have  $\alpha_{i,0} = 0$  for all  $i > s$ . But we also had assumed inductively that  $\alpha_i \equiv 0 \pmod{\epsilon R}$  for all  $i > s$ , so in fact  $\alpha_i = 0$  for all  $i > s$ .

Now suppose  $(R, F, \theta)$  is trivializable and choose a basis  $f \in F$  as above. Let  $F'$  be a free  $\mathcal{O}_{R'}$ -module of rank 1 with basis  $f'$ . Choose lifts  $\alpha'_i \in \mathfrak{m}_{R'}$  of  $\alpha_i$  and define an action of  $\partial$  on  $F'$  by

$$\partial f' = \left( 1 \otimes N + \sum_{i \leq s} \alpha'_i \otimes h_i \right) f'.$$

Let  $u : F' \rightarrow F$  be given by  $f' \mapsto f$  and  $\theta' = \theta \circ u$ . Then  $(R', F', \theta')$  is trivializable by our observations above and defines a lift of  $(R, F, \theta)$ . Thus  $\text{Def}_E^\sharp$  is smooth. Smoothness of  $\text{Def}_E^{\sharp,+}$  follows from lemma 4.24.  $\square$

## 4.E Compactly supported and parabolic cohomology

We continue to fix  $\mathcal{O}^\sharp$  as above.

**Definition 4.26.** We define

$$\begin{aligned} C^+(E) &= \text{Cone}(\text{dR}(\mathcal{O}, E) \rightarrow \text{dR}(\mathcal{O}^\sharp, E^\sharp))[-1] \\ C(E) &= \text{Cone}(\text{dR}(\mathcal{O}, E) \oplus H_{\text{dR}}^0(E^\sharp) \rightarrow \text{dR}(\mathcal{O}^\sharp, E^\sharp))[-1] \end{aligned}$$

and then set

$$H_c^i(E) = H^i(C^+(E)) \text{ and } H_p^i(E) = H^i(C(E))$$

for all  $i$ .

It follows from the associated long exact sequences as in example 2.39 that  $H_c^i(E) = H_p^i(E)$  for all  $i \geq 2$ , that  $H_p^0(E) = H_{\text{dR}}^0(E)$ , and that

$$H_p^1(E) = \text{im}(H_c^1(E) \rightarrow H_{\text{dR}}^1(E)) = \ker(H_{\text{dR}}^1(E) \rightarrow H_{\text{dR}}^1(E^\sharp)).$$

Moreover, in the cases of interest to us, we will have  $H_c^0(E) = 0$  for the following reason.

**Lemma 4.27.** *If  $\mathcal{O} \rightarrow \mathcal{O}^\sharp$  is injective, then  $H_c^0(E) = 0$ .*

*Proof.* Since  $E$  is free over  $\mathcal{O}$  and therefore flat, the map  $E \rightarrow E^\sharp = \mathcal{O}^\sharp \otimes_{\mathcal{O}} E$  is also injective. The distinguished triangle

$$C^+ \longrightarrow \text{dR}(\mathcal{O}, E) \longrightarrow \text{dR}(\mathcal{O}^\sharp, E^\sharp) \xrightarrow{+}$$

then induces a long exact sequence as follows.

$$\begin{array}{ccccccc}
 0 & \longrightarrow & H_c^0(E) & \longrightarrow & H_{\text{dR}}^0(E) & \longrightarrow & H_{\text{dR}}^0(E^\#) \\
 & & & & & & \downarrow \\
 & & & & & & H_c^1(E) & \longrightarrow & H_{\text{dR}}^1(E) & \longrightarrow & H_{\text{dR}}^1(E^\#) \\
 & & & & & & & & & & \downarrow \\
 & & & & & & & & & & H_c^2(E) & \longrightarrow & 0
 \end{array}$$

It follows that  $H_c^0(E) = 0$ . □

The following is an immediate consequence of the definitions plus our observations in example 2.39.

**Lemma 4.28.** *We have the following.*

$$\begin{aligned}
 \text{Inf}(\text{Def}_E^{\#,+}) &= H_c^0(\text{End}(E)) & \text{T}(\text{Def}_E^{\#,+}) &= H_c^1(\text{End}(E)) \\
 \text{Inf}(\text{Def}_E^\#) &= H_{\text{dR}}^0(\text{End}(E)) & \text{T}(\text{Def}_E^\#) &= H_p^1(\text{End}(E))
 \end{aligned}$$

Moreover,  $H_c^2(\text{End}(E))$  is compatibly an obstruction space for both  $\text{Def}_E^{\#,+}$  and  $\text{Def}_E^\#$ . □

## 4.F Duality pairing

**Definition 4.29** (Duality pairing). Observe that  $H_c^2(E)$  is the cokernel of the sum of the natural map  $E \rightarrow E^\#$ , which we will denote  $e \mapsto e^\#$ , with the differential  $\partial : E^\# \rightarrow E^\#$ . There is a  $K$ -bilinear map

$$H_{\text{dR}}^0(E^\vee) \times H_c^2(E) \longrightarrow H_c^2(\mathcal{O}). \quad (4.30)$$

which we call the *duality pairing*, given by

$$(\phi, e) \mapsto \langle \phi, e \rangle := \phi^\#(e),$$

where  $e \in E^\#$  represents an element in  $H_c^2(E)$ .

*Proof that the above pairing is well-defined.* If  $e = f^\#$  for some  $f \in E$ , then

$$\phi^\#(e) = \phi^\#(f^\#) = \phi(f)^\#$$

is in the image of  $\mathcal{O} \rightarrow \mathcal{O}^\#$  and therefore vanishes in  $H_c^2(\mathcal{O})$ . If  $e = \partial f$  for some  $f \in E^\#$ , then

$$\phi^\#(e) = \phi^\#(\partial f) = \partial \phi^\#(f),$$

since  $\phi \in H_{\text{dR}}^0(E^\vee)$ , so we see that  $\phi^\#(e)$  is in the image of  $\partial : \mathcal{O}^\# \rightarrow \mathcal{O}^\#$  and therefore vanishes in  $H_c^2(\mathcal{O})$ . □

**Example 4.31** (Trace pairing). Note that have a perfect<sup>14</sup> pairing

$$\text{End}(E) \times \text{End}(E) \longrightarrow \mathcal{O}$$

given by  $(\alpha, \beta) \mapsto \text{tr}(\alpha \circ \beta)$ . This yields an identification  $\text{End}(E)^\vee = \text{End}(E)$ . Combining this identification and the natural identification  $\mathcal{O}^\vee = \mathcal{O}$ , the dual of the trace map  $\text{tr} : \text{End}(E) \rightarrow \mathcal{O}$  is exactly the inclusion  $\mathcal{O} \rightarrow \text{End}(E)$  carrying  $f \in \mathcal{O}$  to the multiplication by  $f$  map. Using the identification  $\text{End}(E)^\vee = \text{End}(E)$ , the duality pairing (4.30) becomes the  $K$ -bilinear map

$$H_{\text{dR}}^0(\text{End}(E)) \times H_c^2(\text{End}(E)) \longrightarrow H_c^2(\mathcal{O}). \quad (4.32)$$

given by  $\langle \alpha, \beta \rangle = \text{tr}(\alpha^\# \circ \beta)$ .

**Example 4.33.** Applying example 4.31 with  $E = \mathcal{O}$ , we have a pairing  $H_{\text{dR}}^0(\mathcal{O}) \times H_c^2(\mathcal{O}) \rightarrow H_c^2(\mathcal{O})$  given by

$$\langle f, g \rangle = f^\# g.$$

This pairing is always non-degenerate.<sup>14</sup> Indeed, suppose we have some  $g \in H_c^2(\mathcal{O})$  such that  $\langle f, g \rangle = f^\# g = 0$  for all  $f \in H_{\text{dR}}^0(\mathcal{O})$ . Taking  $f = 1$  shows that we must have  $g = 0$ . If  $H_c^2(\mathcal{O})$  is nonzero and the pairing is perfect, then we must have  $H_{\text{dR}}^0(\mathcal{O}) = K$ .

The following tells us that the trace pairing annihilates all of the obstruction classes for  $\text{Def}^\#$  in  $H_c^2(\text{End}(E))$ .

**Lemma 4.34.** *Suppose  $H_{\text{dR}}^0(\mathcal{O}) = K$  and  $H_{\text{dR}}^1(\mathcal{O})$  is finite dimensional. If  $\pi : R' \rightarrow R$  is a small extension in  $\text{ART}_K$  and  $(F, \theta) \in \text{Def}_E^\#(R)$ , then*

$$\langle 1, o(\pi, (F, \theta)) \rangle = 0.$$

*Proof.* Observe that we have a commutative diagram of differential graded  $K$ -algebras as follows.

$$\begin{array}{ccc} \text{dR}(\mathcal{O}, \text{End}(E)) & \xrightarrow{\text{tr}} & \text{dR}(\mathcal{O}, \mathcal{O}) \\ \downarrow & & \downarrow \\ \text{dR}(\mathcal{O}^\#, \text{End}(E^\#)) & \xrightarrow{\text{tr}} & \text{dR}(\mathcal{O}, \mathcal{O}^\#) \end{array}$$

<sup>14</sup> Let  $A$  be a commutative ring and  $\mu : M \times N \rightarrow L$  an  $A$ -bilinear map. Then  $\mu$  is *non-degenerate* (resp. *perfect*) if the induced map  $N \rightarrow \text{Hom}_A(M, L)$  is injective (resp. bijective).

Since  $L \mapsto \text{Def}_L$  is 2-functorial, this induces a 2-commutative square that becomes the back of the following 2-commutative cube.

$$\begin{array}{ccccc}
 & & \text{Def}_{\text{dR}(\mathcal{O}, \text{End}(E))} & \xrightarrow{\text{tr}} & \text{Def}_{\text{dR}(\mathcal{O}, \mathcal{O})} \\
 & \swarrow & \downarrow \text{det} & \swarrow & \downarrow \\
 \text{Def}_E & \xrightarrow{\text{det}} & \text{Def}_{\text{det}(E)} & & \\
 \downarrow & & \downarrow & & \downarrow \\
 & & \text{Def}_{\text{dR}(\mathcal{O}^\#, \text{End}(E^\#))} & \xrightarrow{\text{tr}} & \text{Def}_{\text{dR}(\mathcal{O}^\#, \mathcal{O}^\#)} \\
 \downarrow & \swarrow & \downarrow & \swarrow & \downarrow \\
 \text{Def}_{E^\#} & \xrightarrow{\text{det}} & \text{Def}_{\text{det}(E^\#)} & & 
 \end{array}$$

The front face of this cube evidently 2-commutes; the top and bottom faces 2-commute by lemma 4.18, and the left and right faces 2-commute by lemma 4.21.

The conclusion of this is that the map  $H_c^2(\text{End}(E)) \rightarrow H_c^2(\mathcal{O})$  induced by the trace map  $\text{tr} : \text{dR}(\mathcal{O}^\#, \text{End}(E^\#)) \rightarrow \text{dR}(\mathcal{O}^\#, \mathcal{O}^\#)$  is compatible with the morphism of deformation categories  $\text{det} : \text{Def}_E^\# \rightarrow \text{Def}_{\text{det}(E)}^\#$  in the sense of definition 2.7. Clearly the map  $H_c^2(\text{End}(E)) \rightarrow H_c^2(\mathcal{O})$  induced by the trace map is exactly  $\langle 1, - \rangle$ , as one can see from our explicit description of the pairing above in example 4.31. Compatibility therefore says precisely that

$$\langle 1, o(\pi, (F, \theta)) \rangle = o(\pi, \text{det}(F, \theta)).$$

We know from proposition 4.25 that  $\text{Def}_{\text{det}(E)}^\#$  is smooth, so  $o(\pi, \text{det}(F, \theta)) = 0$ .  $\square$

**Definition 4.35** (Duality pairing). One can define a *duality pairing*

$$H_p^1(E^\vee) \times H_p^1(E) \longrightarrow H_c^2(\mathcal{O}).$$

as follows. Suppose  $\phi \in H_p^1(E^\vee)$  and  $e \in H_p^1(E)$ . Then there exists  $\alpha \in (E^\#)^\vee$  and  $f \in E^\#$  such that  $\partial\alpha = \phi^\#$  and  $\partial f = e^\#$ , and we define

$$\langle \phi, e \rangle = \alpha(e^\#) - \phi^\#(f) = \alpha(\partial f) - (\partial\alpha)(f). \quad (4.36)$$

*Proof that this pairing is well-defined.* Suppose first that we have  $\alpha, \alpha'$  such that  $\partial\alpha = \partial\alpha' = \phi^\#$ . Then  $\alpha - \alpha'$  is horizontal, so

$$\begin{aligned}
 (\alpha(\partial f) - (\partial\alpha)(f)) - (\alpha'(\partial f) - (\partial\alpha')(f)) &= (\alpha - \alpha')(\partial f) \\
 &= \partial((\alpha - \alpha')(f))
 \end{aligned}$$

which is in the image of  $\partial : \mathcal{O}^\# \rightarrow \mathcal{O}^\#$ . Similarly, if we have  $f, f'$  such that  $\partial f = \partial f' = e^\#$ , then  $f - f'$  is horizontal and

$$\begin{aligned}
 (\alpha(\partial f) - (\partial\alpha)(f)) - (\alpha(\partial f') - (\partial\alpha)(f')) &= (\partial\alpha)(f' - f) \\
 &= \partial(\alpha(f' - f)),
 \end{aligned}$$



which again is in the image of  $\partial : \mathcal{O}^\# \rightarrow \mathcal{O}^\#$ . In other words, formula 4.36 yields a well-defined pairing

$$\{\phi \in E^\vee : \phi^\# \in \text{im}(\partial)\} \times \{e \in E : e^\# \in \text{im}(\partial)\} \longrightarrow H_{\text{dR}}^1(\mathcal{O}^\#).$$

Now observe that if  $\phi = \partial\psi$  for some  $\psi \in E^\vee$ , then

$$\begin{aligned} \langle \phi, e \rangle &= \psi^\#(\partial f) - (\partial\psi^\#)(f) \\ &= 2\psi(e)^\# - \partial(\psi^\#(f)), \end{aligned}$$

where the first term is in the image of  $\mathcal{O} \rightarrow \mathcal{O}^\#$  and the second in the image of  $\partial : \mathcal{O}^\# \rightarrow \mathcal{O}^\#$ . Thus  $\langle \phi, e \rangle$  vanishes in  $H_c^2(\mathcal{O})$ . Similarly, if  $e = \partial h$  for some  $h \in E$ , then

$$\begin{aligned} \langle \phi, e \rangle &= \alpha(\partial h^\#) - (\partial\alpha)(h^\#) \\ &= \partial(\alpha(h^\#)) - 2\phi(h)^\# \end{aligned}$$

and now the first term is in the image of  $\partial : \mathcal{O}^\# \rightarrow \mathcal{O}^\#$  and the second is in the image of  $\mathcal{O} \rightarrow \mathcal{O}^\#$ , so again  $\langle \phi, e \rangle$  vanishes in  $H_c^2(\mathcal{O})$ .  $\square$

**Lemma 4.37.** *Under the identification  $\text{End}(E)^\vee = \text{End}(E)$  resulting from the trace pairing as in example 4.31, the duality pairing*

$$H_p^1(\text{End}(E)) \times H_p^1(\text{End}(E)) \longrightarrow H_c^2(\mathcal{O})$$

*is alternating.*

*Proof.* Unwinding everything, we find that the duality pairing in this case is described as follows. Given  $\phi, \psi \in H_p^1(\text{End}(E))$ , we find  $\alpha, \beta \in \text{End}(E)$  such that  $\partial\alpha = \phi^\#$  and  $\partial\beta = \psi^\#$ , and then

$$\langle \phi, \psi \rangle = \text{tr}(\alpha \circ (\partial\beta) - (\partial\alpha) \circ \beta).$$

If  $\phi = \psi$ , then we can take  $\alpha = \beta$  and we see that  $\langle \phi, \phi \rangle$  is the trace of a commutator, which must vanish.  $\square$

# Chapter 5

## Isocrystals on the projective line

In this chapter, we will describe the geometry of the adic projective line, and isocrystals on open subsets of the punctured projective line in positive characteristic.

### 5.A Adic projective line

**Notation 5.1.** Let  $(K, \nu)$  be a complete valued field of height 1 with an algebraically closed residue field  $k$ . We let  $\varpi$  denote a pseudo-uniformizer in  $K$ .

Note that  $\mathrm{Spa}(K^\circ)$  consists of two points: a generic point which corresponds to the valuation  $\nu$ , and a closed point which corresponds to the trivial valuation on  $k$ .

Our goal in this section is to describe the projective line over  $K^\circ$ , regarded as an adic space and denoted by  $P$ . It is the colimit of the following diagram.

$$\begin{array}{ccc}
 & & \mathrm{Spa}(K^\circ[t]) \\
 & \nearrow & \\
 \mathrm{Spa}(K^\circ[t, t^{-1}]) & & \\
 & \searrow & \\
 & & \mathrm{Spa}(K^\circ[t^{-1}])
 \end{array}$$

We will write  $D$  for  $\mathrm{Spa}(K^\circ[t])$ .

The special fiber  $D_k = \mathrm{Spa}(k[t])$  is described in example [B.1](#), and the resulting picture of  $P_k$  is given on the right of figure [5.2](#). The subspace  $P_{\mathrm{triv}}$  of trivially valued points of  $P$  is entirely contained in the special fiber. Moreover, if we restrict the sheaf of rings on  $P_k$  to  $P_{\mathrm{triv}}$ , the resulting locally ringed space is isomorphic to the scheme-theoretic projective line  $\mathbb{P}^1$  over  $k$ . Hereafter, we will tacitly  $\mathbb{P}^1$  with  $P_{\mathrm{triv}}$ .

To describe the generic fiber  $P_K$ , first let  $(C, \nu)$  denote a completed algebraic closure of  $(K, \nu)$ . The base change  $P_C$  is well-described in the literature (cf. [\[Sch12, example 2.20\]](#),

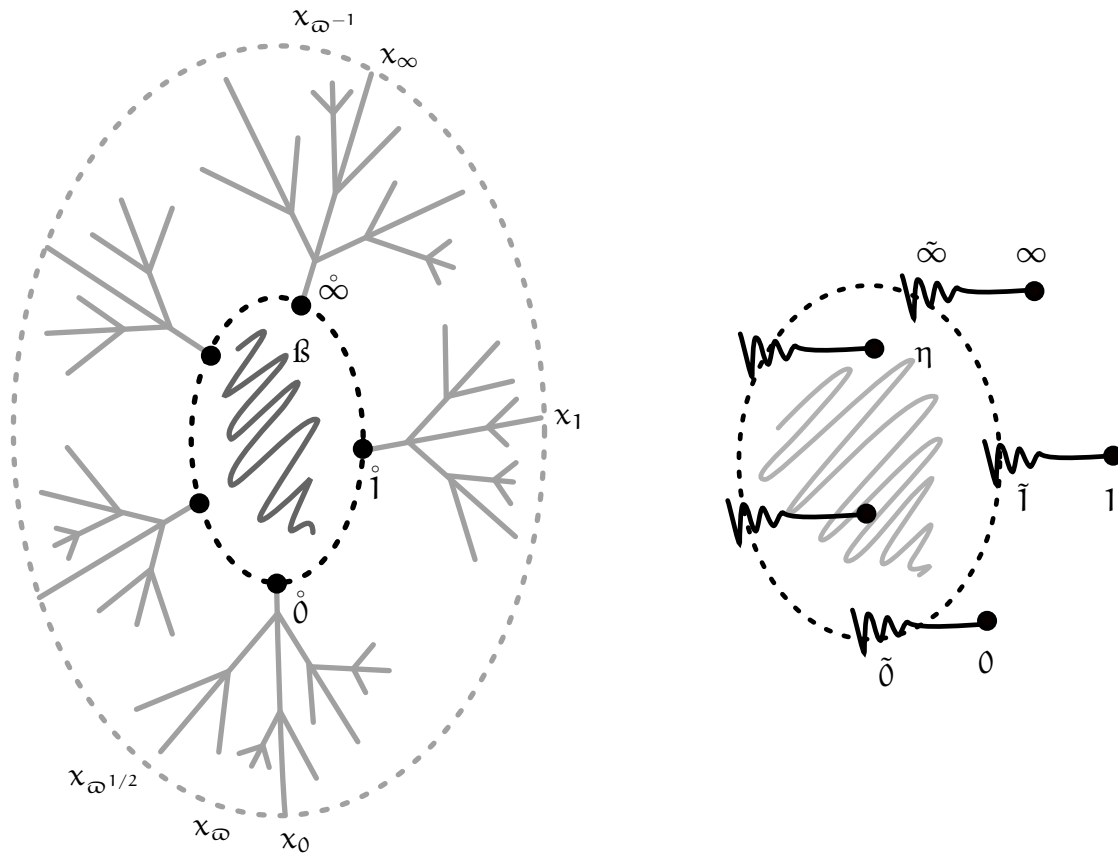


Figure 5.2: The adic projective line  $P$ . The special fiber  $P_k$  is depicted on the right, and the generic fiber  $P_K$  on the left.

[Con15, lecture 11, sections 11.2–3], or [Mar, section 3]). The group  $G := \text{Aut}(C/K)$  of continuous automorphisms of  $C$  fixing  $K$  naturally acts on  $P_C$ , and  $P_K$  is precisely the quotient of  $P_C$  by this action.

This allows us to assemble our picture of  $P$ ; see figure 5.2. Let us describe some of the points of  $P$ .

- The closed points of  $P$  are precisely the closed points of  $\mathbb{P}^1$ , which we label using elements of the set  $k \cup \{\infty\}$ . These points are trivially valued with (completed) residue field  $k$ .

For example, consider the point  $0$ . It is contained in the unit disk  $D = \text{Spa}(K^\circ[t])$ , and corresponds to the valuation  $v_0$  on  $K^\circ[t]$  given by reducing modulo  $\omega$ , evaluating at  $0$ , and then taking the trivial valuation on  $k$ . A base for the neighborhood filter of  $0$  in  $D$  is given by rational subsets  $R(1/s)$  where  $s \in K^\circ[t]$  has constant term of valuation zero.<sup>15</sup> In fact, the rational subset  $R(1/s)$  depends only on the reduction

$\bar{s} \in k[t]$ , so if for every  $\lambda \in k$  we fix a representative  $[\lambda] \in K^\circ$ , we can restrict  $s$  to being a product of linear polynomials of the form  $t - [\lambda]$  for  $\lambda \in k^\times$ . For a picture of  $R(1/(t - 1))$ , see figure 5.3. It follows from this description of the neighborhood filter of 0 that

$$\mathcal{O}_{P,0} = \operatorname{colim}_{\lambda \in k^\times} K^\circ \langle t, (t - [\lambda])^{-1} \rangle.$$

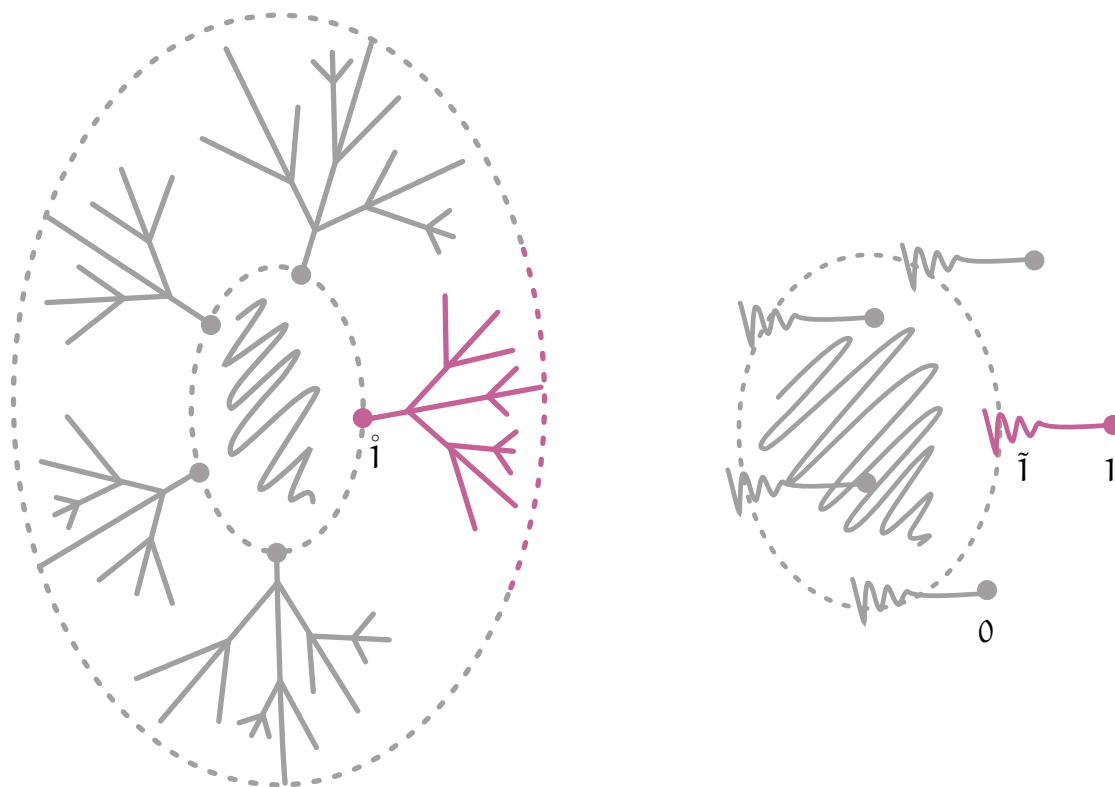


Figure 5.3: The pink indicates the *complement* of the rational subset  $R(1/(t - 1))$  inside  $D$ . It includes  $1, \tilde{1}, \hat{1}$ , and all of the points on the branch of  $P_K$  that emanates from  $\hat{1}$ . The gray portion is an open neighborhood of 0.

<sup>15</sup>Let  $\mathcal{B}$  denote the collection of rational subsets of the form  $R(1/s)$  where  $s \in K^\circ[t]$  has constant term of valuation zero. Then clearly 0 is in every element of  $\mathcal{B}$ , and moreover  $\mathcal{B}$  is stable under finite intersections. Suppose we have a rational subset  $R(f/s)$  containing 0 for some  $f, s \in K^\circ[t]$ . The fact that  $0 \in R(f/s)$  means that  $v_0(s) = 0$ , so the constant term of  $\bar{s} \in k[t]$  is nonzero. In other words,  $R(1/s) \in \mathcal{B}$ . Moreover,  $0 \in R(1/s) \subseteq R(f/s)$ .

- Each point  $a \in \mathbb{P}^1$  has a unique horizontal generization  $\tilde{a}$  of height 1. The point  $\tilde{a}$  is discretely valued, and the completed residue field  $\hat{k}(\tilde{a})$  is a formal Laurent series field over  $k$ .

For example,  $\tilde{0}$  is in  $D$  and corresponds to the 0-adic valuation on  $k(t)$ . In other words,

$$v_{\tilde{0}}\left(\sum a_n t^n\right) = \min\{n : \bar{a}_n \neq 0\}.$$

Restricting the valuation to the trivial subgroup of the value group yields precisely the valuation  $v_0$  from above; in other words,  $\tilde{0}$  is a horizontal generization of 0. A basis for its filter of neighborhoods inside  $D$  is given by the rational subsets

$$R(\varpi/t^n) \cap R(1/s)$$

where  $n \geq 1$  and  $s \in K^\circ[t]$  has constant term of valuation zero.<sup>16</sup> For a rough picture of  $R(\varpi/t)$ , see figure 5.4.

- Next, let us consider the point  $\eta$  corresponding to the trivial valuation on  $k(t)$ . It is a vertical generization of all of the points  $\tilde{a}$ , and it is the generic point of the special fiber  $P_k$  (in particular, it is the generic point of  $\mathbb{P}^1$ ). A base for the neighborhood filter of  $\eta$  is given by rational subsets  $R(1/s)$  where  $s \in K^\circ[t]$  is primitive.<sup>17</sup> As above, we can restrict  $s$  to being a product of linear polynomials of the form  $t - [\lambda]$  for  $\lambda \in k$ , so

$$\mathcal{O}_{P,\eta} = \operatorname{colim}_{\lambda \in k} K^\circ\langle t, (t - [\lambda])^{-1} \rangle.$$

<sup>16</sup>Suppose  $\tilde{0} \in R(f/s)$ . This means that  $\bar{s} \in k[t]$  is nonzero and that the degree of smallest nonzero term of  $\bar{f}$  is at least that of  $\bar{s}$ . Since  $K^\circ$  is henselian and its residue field  $k$  is algebraically closed, we can factor  $s$  into  $uv$  where all roots of  $u$  have strictly positive valuation, and all roots of  $v$  have valuation zero (i.e., the constant term of  $v$  has valuation zero). Then evidently  $v_{\tilde{0}}(s) = v_{\tilde{0}}(u)$  (i.e., the degrees of the smallest nonzero terms of  $\bar{s}$  and  $\bar{u}$  coincide), so  $\tilde{0} \in R(f/u)$ . It is clear that  $R(f/u) \cap R(1/v) \subseteq R(f/s)$ .

Thus it is sufficient to show that there exists some  $n \geq 1$  such that  $R(\varpi/t^n) \subseteq R(f/u)$ . Since  $\tilde{0} \in R(f/u)$ , we know that  $\bar{u}$  is nonzero; on the other hand, all of its roots have strictly positive valuation, so this forces  $u$  to be monic (after multiplying by a unit in  $K^\circ$ ). This means that if we divide  $f = uq + r$  in  $K[t]$  with  $\deg(r) < \deg(u)$ , then in fact we will have  $q, r \in K^\circ[t]$  [Ked10, lemma 2.3.1]. Then  $R(f/u) = R(r/u)$ . Moreover, since  $\tilde{0} \in R(r/u)$  and  $\deg(r) < \deg(u)$ , we must have  $\bar{r} = 0$ . Thus, there exists an integer  $k \geq 1$  such that all the coefficients of  $r$  have valuation at least  $v(\varpi)/k$ . Then  $v_x(r) \geq v_x(\varpi)/k$  for all  $x$ , so  $\tilde{0} \in R(\varpi/u^k) \subseteq R(r/u)$ . In other words, after replacing  $u$  with  $u^k$ , we can assume that  $r = \varpi$ .

Let  $u = t^d + a_1 t^{d-1} + \dots + a_d$  and let  $n$  be an integer such that  $n \geq d$  and  $n > dv(\varpi)/v(a_i)$  for all  $i$ . If  $x \in R(\varpi/t^n)$ , then

$$v_x(t^d) \leq dv_x(\varpi)/n < v_x(a_i) \leq v_x(a_i t^{d-i})$$

for all  $i$ , so

$$v_x(u) = v_x(t^d) \leq dv_x(\varpi)/n \leq v_x(\varpi)$$

so  $x \in R(\varpi/u)$ . In other words, we have  $R(\varpi/t^n) \subseteq R(\varpi/u)$ , as desired.

<sup>17</sup>Suppose  $\eta \in R(f/s)$ . Then  $v_\eta(s) = 0$ , so  $s$  is primitive in  $K^\circ[t]$  and  $\eta \in R(1/s) \subseteq R(f/s)$ .

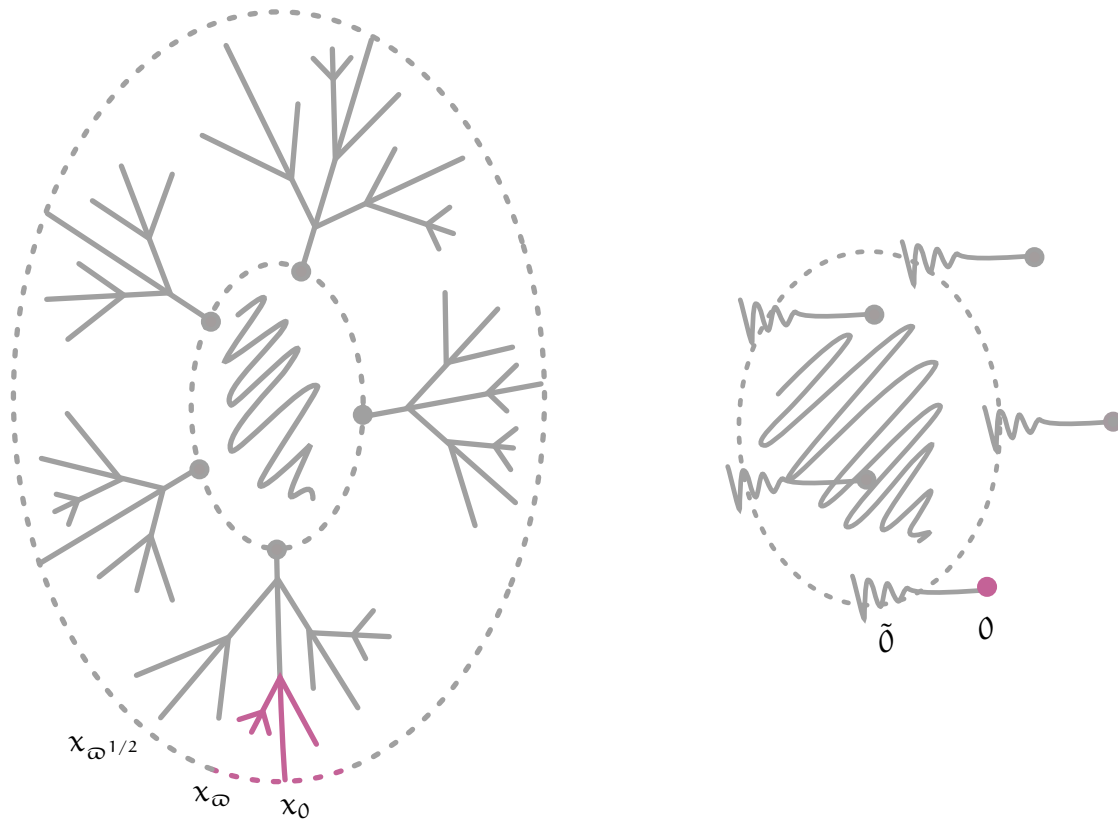


Figure 5.4: The pink indicates the *complement* of the rational subset  $R(\omega/t)$  inside  $D$ . It includes the point  $0$ , and all the points on the branch emanating from  $\tilde{0}$  that are “sufficiently far down.” The gray portion is an open neighborhood of  $\tilde{0}$ .

- The *Gauss point*  $\beta$  is the point corresponding to the Gauss valuation on  $K(t)$  given by

$$v_\beta \left( \sum a_n t^n \right) = \min v(a_n).$$

Completing  $K(t)$  for this valuation yields the completed residue field  $\hat{k}(\beta)$ , also called the *Amice ring*. This is evidently a height 1 valuation with value group  $v(K^\times)$ . The horizontal specialization of  $\beta$  obtained by restricting the valuation the trivial subgroup of  $v(K^\times)$  gives rise to the point  $\eta$  in the special fiber.

If we regard  $\beta$  as a point of  $D$ , a base for the neighborhood filter of the Gauss point in  $D$  is given by the rational subsets

$$R(\omega/\omega) \cap R(1/s) = R(\omega/\omega s)$$

where  $s \in K^\circ[t]$  is monic.<sup>18</sup> Thus

$$\mathcal{O}_{P,\beta} = \operatorname{colim}_{\lambda \in k} K\langle t, (t - [\lambda])^{-1} \rangle.$$

- The Gauss point also has vertical specializations in  $P$ , one for each closed point of  $\mathbb{P}^1$ . For a closed point  $a \in \mathbb{P}^1$ , we label the vertical specialization of  $\beta$  corresponding to  $a$  by  $\mathring{a}$ . All of their value groups are of height 2; more precisely, the value groups are isomorphic to  $v(K^\times) + \mathbb{Z}\epsilon$  where  $\epsilon$  denotes a positive infinitesimal. For example, the point  $\mathring{0}$  corresponds to the valuation on  $K(t)$  given by

$$v_{\mathring{0}} \left( \sum a_n t^n \right) = \min (v(a_n) + n\epsilon).$$

Note that the topology on  $K(t)$  defined by  $v_{\mathring{a}}$  coincides with the topology defined by  $v_\beta$ , so the completed residue fields  $\hat{k}(\mathring{a})$  are all isomorphic to the Amice ring  $\hat{k}(\beta)$ .

The point  $\mathring{a}$  horizontally specializes to the point  $\tilde{a}$  by restricting the value group to the convex subgroup  $\mathbb{Z}\epsilon$ . Restricting further to the trivial subgroup yields  $a \in \mathbb{P}^1$ .

- Corresponding to every Galois orbit in  $C \cup \{\infty\}$ , we have a height 1 one point in  $P$ . If  $w \in C \cup \{\infty\}$ , we denote by  $x_w$  the point of  $P$  corresponding to the Galois orbit of  $w$ . For  $w \in C$ , the valuation  $v_{x_w}$  is given by evaluating at  $w$  and then taking the valuation, and the completed residue field  $\hat{k}(x_w)$  is the closure inside  $C$  of the extension of  $K$  generated by all of the Galois conjugates of  $w$ .

For example, consider  $w = 0$ . The point  $x_0$  is in  $D$  and corresponds to the valuation  $v_{x_0}(f) = v(f(0))$ . The value group is  $v(K^\times)$  and the horizontal specialization corresponding to the trivial subgroup of the value group is the point  $0$  in the special fiber. A base for the neighborhood filter of  $x_0$  in  $D$  is given by the rational subsets  $R(t^n/\omega)$  where  $n \geq 1$ .

This list does not exhaust all of the points; there are many more points in the generic fiber of  $P$ . If we choose a spherical completion  $(C^{\text{sph}}, v)$  of  $(C, v)$ , then there is a height 1 point in  $P_K$  associated to every closed disk

$$B(a, r) := \{x \in C^{\text{sph}} : v(a - x) \geq r\},$$

where  $a \in C^{\text{sph}}$  and  $r \in \mathbb{R} \cup \{\infty\}$ . The Gauss point  $\beta$  is the point associated to the disk  $B(0, 0)$ , and the points associated to disks of the form  $B(a, \infty)$  are of the type described in the final bullet point above. Not all of these closed disks define distinct points: any pair of

<sup>18</sup>Suppose  $\beta \in R(f/s)$  for some  $f, s \in K^\circ[t]$ . Observe that  $R(\omega/\omega) \cap R(f/s)$  does not change when we multiply  $f$  and  $s$  by a nonzero element of  $K$ , so we can assume without loss of generality that  $v_\beta(s) = 0$  (the fact that  $\beta \in R(f/s)$  means that this scalar multiplication will not bring  $f$  outside of  $K^\circ[t]$ ). Now  $v_\beta(s) = 0$  means that  $s$  is primitive, and that  $\beta \in R(1/s) \subseteq R(f/s)$ .

nested disks entirely contained within  $C^{\text{sph}} \setminus C$  collapses to the same point in  $P_K$ , as does any Galois conjugate pair of disks contained in  $C$ . Moreover, each point associated to a disk  $B(a, r)$  where  $r \in v(C^\times)$  is not closed. Its closure in  $P_K$  is homeomorphic to  $\mathbb{P}^1$ , and all of the points in this closure are height 2 vertical specializations.

### Tubes

**Definition 5.5.** Suppose  $Z$  is a closed subset of  $\mathbb{P}^1$ . The *tube* of  $Z$  in  $P$ , denoted  $]Z[$ , is the set

$$\left\{ x \in P_K : \lim_{k \rightarrow \infty} v_x(f^k) = \infty \text{ for all } f \in \mathcal{O}_P \text{ which vanish along } Z \right\}.$$

We then extend this definition of tubes to all constructible subsets of  $\mathbb{P}^1$  by taking boolean combinations.

The tube of any closed subset of  $\mathbb{P}^1$  is open in  $P_K$ , which means that the tube of an open subset of  $\mathbb{P}^1$  is closed. For example, the tube of  $Z = \{0\}$  is depicted in figure 5.6.

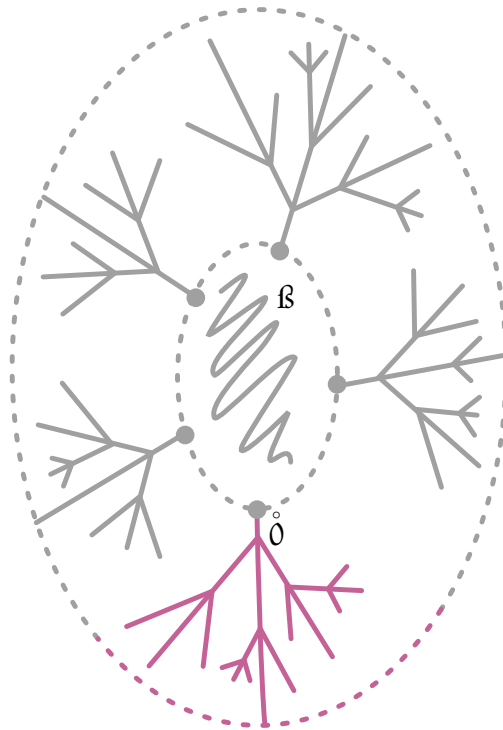


Figure 5.6: The tube of  $\{0\}$ . Note that this tube does *not* include  $\overset{\circ}{0}$ .



## 5.B Isocrystals

**Notation 5.7.** Let  $(K, \nu)$  be a complete, discretely valued field of mixed characteristic whose residue field  $k$  is algebraically closed of characteristic  $p > 0$ . We normalize the valuation so that  $\nu(p) = 1$ , and we fix a uniformizer  $\varpi$ . As above, we identify the scheme-theoretic projective line  $\mathbb{P}^1$  over  $k$  with the subspace of trivially valued points of the adic projective line  $P$  over  $K^\circ$ . We also fix a divisor  $Z$  in  $\mathbb{P}^1$  and let  $U := \mathbb{P}^1 \setminus Z$ .

Observe that we can always change coordinates if necessary in order to assume that  $\infty \in Z$ , but for the moment we do not insist on this.

### Functions on $]U[$

We define

$$\mathcal{O} := \Gamma(]U[, i^{-1}\mathcal{O}_P)$$

where  $i$  is the inclusion  $]U[ \hookrightarrow P$ . Since  $]U[$  is contained in  $P_K$ , this ring can equivalently be described as the sections over  $]U[$  of the sheaf  $i^{-1}\mathcal{O}_{P_K}$ . In particular, it is a  $K$ -algebra.

**Remark 5.8.** Suppose  $\infty \in Z$  and  $h \in K^\circ[t]$  is a monic polynomial whose image  $\bar{h} \in k[t]$  is a separable polynomial with zeros along  $Z \setminus \{\infty\}$ . For any positive integer  $m$ , observe that  $S_m := \text{Spa}(K[t], K^\circ[\varpi t^m])$  is an affinoid open subset of  $P_K$ , and its rational subset

$$V_m := R(\varpi/h^m) \subseteq S_m$$

contains  $]U[$ .

Let  $\mathcal{B}$  consist of all affinoid open subsets of  $S_m$  for all  $m$  and also the small disks  $S'_m := \text{Spa}(K[t^{-1}], K^\circ[\varpi t^m])$ . Then  $\mathcal{B}$  is a basis for the topology on  $P_K$ . Note that  $]U[$  is disjoint from  $S'_m$  for all  $m$ . Moreover, if  $S$  is an affinoid open subset of  $S_m$  for some  $m$ , and  $V$  an open neighborhood of  $]U[ \cap S$  in  $S$ , then  $V_{m'} \cap S \subseteq V$  for some  $m' \geq m$  [LP16, lemma 2.17].

Observe that  $]U[$  is quasi-compact and quasi-separated, so taking global sections of sheaves on  $]U[$  commutes with filtered colimits of sheaves [Stacks, 0739]. Thus, applying  $\Gamma(]U[, -)$  to the isomorphism of [LP16, lemma 2.19] shows that

$$\mathcal{O} = \text{colim}_V \Gamma(V, \mathcal{O}_P) = \text{colim}_m \Gamma(V_m, \mathcal{O}_P) = K[t, h^{-1}]^\dagger,$$

where in the first colimit,  $V$  varies over the open neighborhoods of  $]U[$  in  $P$  (or, equivalently,  $P_K$ ), and where the right-hand side means more precisely the quotient  $K[t, u]^\dagger / (uh - 1)$  of a free dagger algebra  $K[t, u]^\dagger$  in two variables.

**Remark 5.9.** One can show that  $i^{-1}\mathcal{O}_P$  is a coherent sheaf of rings on  $]U[$  and that global sections  $\Gamma(]U[, -)$  induces an equivalence between the categories of coherent  $i^{-1}\mathcal{O}_P$ -modules and finite  $\mathcal{O}$ -modules, but we will not need these facts here.

**Proposition 5.10.** *If  $\infty \in Z$ , then every maximal ideal of  $\mathcal{O}$  is generated by an irreducible polynomial  $f \in K[t]$ . In particular,  $\mathcal{O}$  is a principal ideal domain.*

*Proof.* We first check that  $\mathcal{O}$  is a Dedekind domain. Note that  $\mathcal{O}$  is noetherian [FP04, discussion following lemma 7.5.1], so it suffices to show that  $\mathcal{O}_m$  is regular of Krull dimension 1 for every maximal ideal  $m \subseteq \mathcal{O}$ . The noetherian local ring  $\mathcal{O}_m$  is regular of Krull dimension 1 if and only if its  $m$ -adic completion  $(\mathcal{O}_m)^\wedge$  is regular of Krull dimension 1 [AM69, corollary 11.19, proposition 11.24]. But  $(\mathcal{O}_m)^\wedge = (\mathcal{O}'_m)^\wedge$ , where  $\mathcal{O}'$  denotes the completion of  $\mathcal{O}$  for the Gauss norm [Gro00, theorem 1.7(2)]. Note that  $\mathcal{O}' = K\langle t, h^{-1} \rangle$  for some  $h \in K^\circ[t]$  as in remark 5.8 above, so  $m$  corresponds to a maximal ideal of  $K\langle t \rangle$  which we abusively denote by  $m$  again. Then note that  $(\mathcal{O}'_m)^\wedge = (K\langle t \rangle_m)^\wedge$  [FP04, remark 4.1.5(2)]. Now  $(K\langle t \rangle_m)^\wedge$  is regular of Krull dimension 1 since  $K\langle t \rangle$  is [FP04, theorem 3.2.1(2)], and this completes the proof that  $\mathcal{O}$  is a Dedekind domain.

Now to show that  $\mathcal{O}$  is a principal ideal domain, it suffices to show that every *prime* ideal is principal [LR08, proposition 3.17]. Clearly the zero ideal is principal. Since  $\mathcal{O}$  is a Dedekind domain, every nonzero prime ideal is a maximal ideal  $m$ . Note that  $m \cap K[t]^\dagger$  is a maximal ideal of  $K[t]^\dagger$ , so it must be generated by a polynomial  $f \in K[t]$  [Gro00, proposition 1.5]. Injectivity of the map  $\text{MaxSpec}(\mathcal{O}) \rightarrow \text{MaxSpec}(K[t]^\dagger)$  (cf. [FP04, remark 4.1.5(2)]) implies  $m = f\mathcal{O}$ . Clearly  $f$  must be irreducible.  $\square$

**Remark 5.11.** If we replaced  $\mathbb{P}^1$  with a general smooth projective curve over  $k$ , it would still be true that the ring  $\mathcal{O}$  of functions on the tube of a dense affine open subset of the curve is a Dedekind domain. This follows by adapting the argument of the first paragraph of the above proof slightly.

## Modules with connection on $]U[$

Observe that the derivation  $d : \mathcal{O}_P \rightarrow \Omega_{P/K^\circ}^1$  restricts to a derivation

$$\mathcal{O} \xrightarrow{d} \Omega := \Gamma(]U[, i^{-1}\Omega_{P/K^\circ}),$$

where  $i$  again denotes the inclusion  $]U[ \hookrightarrow P$ . Since  $]U[$  is contained in  $P_K$ , this derivation is  $K$ -linear. We define  $\text{MC}(]U[)$  to be the category of  $\mathcal{O}$ -modules  $E$  equipped with connections  $\nabla : E \rightarrow \Omega \otimes E$ . Tensor product over  $\mathcal{O}$  makes  $\text{MC}(]U[)$  a  $K$ -linear tensor category.<sup>11</sup>

If  $\infty \in Z$ , then  $dt$  freely generates  $\Omega$ . Equipping  $\mathcal{O}$  with the corresponding derivation  $\partial$  makes  $\mathcal{O}$  a differential  $K$ -algebra, and we have an equivalence of  $K$ -linear tensor categories  $\text{MC}(]U[) \simeq \text{DMod}_{\mathcal{O}}$ . It follows from the explicit description of  $\mathcal{O}$  in remark 5.8 that

$$H_{\text{dR}}^0(\mathcal{O}) = K.$$

**Lemma 5.12.** *Suppose  $\infty \in Z$  and regard  $\mathcal{O}$  as a differential ring by equipping it with the derivation  $\partial$  dual to  $dt$ . Then  $\mathcal{O}$  is differentially simple.<sup>19</sup>*

*Proof.* Since  $\mathcal{O}$  is a principal ideal domain by proposition 5.10, it suffices to check that no maximal ideal  $\mathfrak{m}$  of  $\mathcal{O}$  is stable under  $\partial$  [Blo81, lemma 4.4]. But we know that  $\mathfrak{m} = f\mathcal{O}$  for an irreducible  $f \in K[t]$ . If  $\mathfrak{m}$  were stable under  $\partial$ , then we would have  $\partial(f) \in \mathfrak{m}$  also. But since  $f$  is irreducible, there exist  $a, b \in K[t]$  such that  $af + b\partial(f) = 1$ , which then forces  $\mathfrak{m}$  to be the unit ideal, yielding a contradiction.  $\square$

**Corollary 5.13.** *The category  $\text{MC}(\mathcal{O})$  has global dimension 1.*

*Proof.* We can assume without loss of generality that  $\infty \in Z$ . If  $D$  is the ring of differential operators corresponding to the differential ring  $\mathcal{O}$ , then the global dimension of the abelian category  $\text{MC}(\mathcal{O})$  coincides with the global dimension of the ring  $D$ . Since  $\mathcal{O}$  is a principal ideal domain by proposition 5.10, it has global dimension 1. Moreover, by lemma 5.12, the only prime ideal of  $\mathcal{O}$  stable under  $\partial$  is the zero ideal. Thus, applying [Goo74, theorem 5] yields the result.  $\square$

**Corollary 5.14.** *If  $E \in \text{MC}(\mathcal{O})$  is finite over  $A$ , then it is finite free over  $A$ .*

*Proof.* We can assume without loss of generality that  $\infty \in Z$  so that we can regard  $E$  as a differential module over  $\mathcal{O}$ . Since  $\mathcal{O}$  is differentially simple by lemma 5.12,  $E$  must be finite projective over  $\mathcal{O}$  [Mau14, theorem 4.3]. But  $\mathcal{O}$  is a principal ideal domain by proposition 5.10, so in fact it must be finite free. Alternatively, we can also apply [Chr81, corollaire 4.3].  $\square$

**Corollary 5.15.** *The full subcategory  $\text{MC}^f(\mathcal{O})$  of finite  $\mathcal{O}$ -modules with connection is a tannakian category over  $K$ .*

*Proof.* It follows from corollary 5.14 that  $\text{MC}^f(\mathcal{O})$  is a Serre subcategory of  $\text{MC}(\mathcal{O})$ , so in particular it is  $K$ -linear abelian. The unit object of the symmetric monoidal category  $\text{MC}(\mathcal{O})$  is  $\mathcal{O}$ , whose endomorphisms are precisely  $H_{\text{dR}}^0(\mathcal{O}) = K$ . Clearly  $\mathcal{O} \in \text{MC}^f(\mathcal{O})$ , and it follows from corollary 5.14 that  $\text{MC}^f(\mathcal{O})$  is stable under tensor products and internal homs; in other words, it is compact closed. Now note that the ‘‘tannakian dimension’’ [Del90, section 7] evidently coincides with rank as a finite free module over  $\mathcal{O}$ , which is always a nonnegative integer. Thus  $\text{MC}^f(\mathcal{O})$  is tannakian over  $K$  [Del90, theorem 7.1].  $\square$

**Corollary 5.16.** *If  $E \in \text{MC}^f(\mathcal{O})$ , then  $\dim_K H_{\text{dR}}^0(E) \leq \dim_{\mathcal{O}}(E)$ .*

*Proof.* We can assume without loss of generality that  $\infty \in Z$ . Suppose  $S$  is a  $K$ -basis for  $H_{\text{dR}}^0(E)$ . Then  $1 \otimes S$  is still  $K$ -linearly independent in  $H_{\text{dR}}^0(L \otimes_{\mathcal{O}} E)$ , where  $L := \text{Frac}(\mathcal{O})$ . Since  $\mathcal{O}$  is differentially simple, we have that  $H_{\text{dR}}^0(L) = K$  [Mau14, proposition 3.1]. Thus

$$|S| = |1 \otimes S| \leq \dim_K H_{\text{dR}}^0(L \otimes_{\mathcal{O}} E) \leq \dim_L(L \otimes_{\mathcal{O}} E) = \dim_{\mathcal{O}}(E),$$

where the first equality is because  $E \rightarrow L \otimes_{\mathcal{O}} E$  is injective, the first inequality is because  $1 \otimes S$  is linearly independent in  $H_{\text{dR}}^0(L \otimes_{\mathcal{O}} E)$ , and the second inequality is a consequence of [Ked10, lemma 5.1.5].  $\square$

<sup>19</sup>Recall that a differential ring is *differentially simple* if it has no nonzero proper ideals that are stable under its derivation.

### Robba fibers

Throughout this subsection, let  $a$  denote a closed point of  $\mathbb{P}^1$  and  $j$  the open embedding  $]a[ \hookrightarrow P$ . The topological boundary of the open set  $]a[$  in  $P$  consists of the three points  $a, \tilde{a}$ , and  $\mathring{a}$ , so, if  $F$  is a sheaf on  $]a[$ , the “interesting” stalks of  $j_*F$  are at these boundary points. On the other hand, the stalk at  $a$  does not give us anything new: every point in  $]a[$  generizes  $a$ , so  $(j_*F)_a = \Gamma(]a[, F)$ . The chain of horizontal specializations

$$\mathring{a} \rightsquigarrow \tilde{a} \rightsquigarrow a$$

induces a chain of maps between the stalks of  $j_*F$  at these points going in the opposite direction

$$(j_*F)_{\mathring{a}} \longleftarrow (j_*F)_{\tilde{a}} \longleftarrow (j_*F)_a = \Gamma(]a[, F).$$

**Definition 5.17** (Robba ring). The *Robba ring* at  $a$ , denoted  $\mathcal{R}_a$ , is the stalk at  $\mathring{a}$  of the sheaf of  $K$ -algebras  $j_*\mathcal{O}_{]a[}$  on  $P$ .

**Remark 5.18.** The Robba ring  $\mathcal{R}_0$  at  $0$  is the ring of bidirectional power series

$$\sum_{n \in \mathbb{Z}} a_n t^n$$

where  $a_n \in K$  for all  $n \in \mathbb{Z}$ , such that, for every  $s > 0$ , we have

$$\lim_{n \rightarrow \infty} v(a_n) + sn = \infty$$

and for which there exists  $r > 0$  such that

$$\lim_{n \rightarrow -\infty} (v(a_n) + rn) = \infty.$$

In general, we can always find a coordinate defined near  $a$  in order to obtain a description like this.

**Proposition 5.19** ([CM00, proposition 3.1–1]). *The Robba ring  $\mathcal{R}_a$  is a Bézout domain.*

Observe that any open neighborhood  $V$  of  $]U[$  in  $P$  contains  $\mathring{a}$  (since  $]U[$  itself contains  $\mathring{a}$ ) and intersects  $]a[$  nontrivially (since it contains  $\mathring{a}$ , which is in the closure of  $]a[$ ). Thus we have a natural homomorphism

$$\Gamma(V, \mathcal{O}_P) \longrightarrow \Gamma(V \cap ]a[, \mathcal{O}_P) = \Gamma(V, j_*\mathcal{O}_{]a[}) \longrightarrow \mathcal{R}_a.$$

Taking the colimit over all open neighborhoods  $V$  of  $]U[$  and applying remark 5.8 yields a natural  $K$ -algebra homomorphism  $\mathcal{O} \rightarrow \mathcal{R}_a$ .

Observe that the derivation  $d : \mathcal{O}_P \rightarrow \Omega_{P/K^\circ}^1$  can be restricted to the open subset  $]a[$ . Pushing forward along  $]a[ \hookrightarrow P$  and taking stalks at  $\mathring{a}$  then yields a derivation

$$\mathcal{R}_a \xrightarrow{d} \Omega_a := (j_* \Omega_{]a[/K}^1)_{\mathring{a}}.$$

Since  $\mathcal{R}_a$  is a Bézout domain, finite projective modules are automatically free. In particular, this means that  $\Omega_a$  must be free of rank 1. We see, for example, that  $\Omega_0$  is freely generated by  $dt$ . In general, we can always change coordinates to get a generator of this form. We use this to identify the category of modules with connection over  $\mathcal{R}_a$  and the category  $\text{DMOD}_{\mathcal{R}_a}$  of differential modules over  $\mathcal{R}_a$ .

**Definition 5.20** (Robba fiber). Since both  $\mathcal{O} \rightarrow \Omega$  and  $\mathcal{R}_a \rightarrow \Omega_a$  are naturally induced by the derivation  $d : \mathcal{O}_P \rightarrow \Omega_{P/K^\circ}^1$ , we have a commutative diagram as follows.

$$\begin{array}{ccc} \mathcal{O} & \xrightarrow{d} & \Omega \\ \downarrow & & \downarrow \\ \mathcal{R}_a & \xrightarrow{d} & \Omega_a \end{array}$$

Thus any  $E \in \text{MC}^f(]U[)$  naturally induces a module with connection (or, equivalently, a differential module) over  $\mathcal{R}_a$ . This is called the *Robba fiber* of  $E$  at  $a$ , and is denoted  $E_a$ .

## Overconvergent isocrystals

**Definition 5.21.** We will say that  $E \in \text{MC}^f(]U[)$  is *overconvergent* if the Robba fiber  $E_z$  is solvable [CM00, définition 4.1–1] for every  $z \in Z$ . We write  $\text{MC}^\dagger(]U[)$  for the full subcategory of  $\text{MC}^f(]U[)$  spanned by the overconvergent objects.

**Lemma 5.22.**  $\text{MC}^\dagger(]U[)$  is a tannakian subcategory of  $\text{MC}^f(]U[)$ .

*Proof.* We already know that  $\text{MC}^f(]U[)$  is tannakian over  $K$  from corollary 5.15. Thus is sufficient to show that  $\text{MC}^\dagger(]U[)$  is stable under subquotients, extensions, tensor products and duals. All of this follows from the fact that  $E \mapsto E_z$  is an exact tensor functor plus the fact that the solvability is stable under subquotients, extensions, tensor products, and duals [Ked10, lemma 9.4.6].  $\square$

The compact closed category  $\text{Isoc}^\dagger(U/K)$  of isocrystals on  $U$  over  $K$  is defined, for instance, in [Ber86, définition 2.3.6]. It is also tannakian [Cre92, lemma 1.8]. We will write  $\text{Isoc}^\dagger(U)$ , leaving  $K$  tacit since it will always be fixed. One can formulate a definition of isocrystals without referencing rigid analytic varieties à la Tate, using only adic spaces. We do not pursue this here, as in any case we will always use the following to identify  $\text{Isoc}^\dagger(U)$  with  $\text{MC}^\dagger(]U[)$ .

**Lemma 5.23.** *There is an equivalence of  $\mathbb{K}$ -linear tensor categories  $\iota : \text{Isoc}^\dagger(\mathbb{U}) \rightarrow \text{MC}^\dagger(\mathbb{U})$ , and*

$$H_{\text{rig}}^i(\mathbb{U}, E) = H_{\text{dR}}^i(\iota(E))$$

for any  $E \in \text{Isoc}^\dagger(\mathbb{U})$ .

*Proof.* The first part is [LeS14, propositions 6.7 and 6.8, and the intervening discussion], and the second is [Cre98, equation (8.1.1)].  $\square$

## 5.C Compactly supported and parabolic cohomology

**Notation 5.24.** In addition to notation 5.7, we now assume that  $\infty \in Z$ , and we identify  $\text{MC}(\mathbb{U})$  with differential modules over  $\mathcal{O}$ .

Let

$$\mathcal{O}^\# := \prod_{z \in Z} \mathcal{R}_z.$$

We have a natural homomorphism of differential rings  $\mathcal{O} \rightarrow \mathcal{O}^\#$ . This allows us to use the notation introduced in definition 4.26.

**Lemma 5.25** ([Cre98, section 8.1]). *Suppose  $E \in \text{Isoc}^\dagger(\mathbb{U})$ . Then*

$$H_{\text{c,rig}}^i(\mathbb{U}, E) = H_{\text{c}}^i(\iota(E))$$

where  $\iota : \text{Isoc}^\dagger(\mathbb{U}) \rightarrow \text{MC}^\dagger(\mathbb{U})$  is the equivalence of lemma 5.23.

The following is precisely the definition that Crew makes in [Cre98, equation (8.1.5)].

**Definition 5.26.** For  $E \in \text{Isoc}^\dagger(\mathbb{U})$ , we define the *parabolic cohomology* of  $E$ , denoted  $H_{\text{p,rig}}^1(\mathbb{U}, E)$ , to be  $H_{\text{p}}^1(\iota(E))$ , where  $\iota$  is the functor  $\iota : \text{Isoc}^\dagger(\mathbb{U}) \rightarrow \text{MC}^\dagger(\mathbb{U})$  of lemma 5.23.

Observe that, for any  $E \in \text{MC}^\dagger(\mathbb{U})$ , we have a distinguished triangle

$$C(E) \longrightarrow \text{dR}(\mathcal{O}, E) \longrightarrow \prod_{z \in Z} \text{dR}(\mathcal{R}_z, E_z) \xrightarrow{+}$$

which gives rise to a long exact sequence as follows, where  $H_c^0(E) = 0$  by lemma 4.27 since the homomorphism  $\mathcal{O} \rightarrow \mathcal{O}^\# = \prod_{z \in Z} \mathcal{R}_z$  is injective.

$$\begin{array}{ccccccc}
 0 & \longrightarrow & H_c^0(E) & \longrightarrow & H_{\text{dR}}^0(E) & \longrightarrow & \prod_{z \in Z} H_{\text{dR}}^0(E_z) \\
 & & \searrow & & & & \downarrow \\
 & & & & & & H_c^1(E) & \longrightarrow & H_{\text{dR}}^1(E) & \longrightarrow & \prod_{z \in Z} H_{\text{dR}}^1(E_z) \\
 & & & & & & \downarrow & & & & \downarrow \\
 & & & & & & & & H_c^2(E) & \longrightarrow & 0
 \end{array} \tag{5.27}$$

This is Crew's six-term exact sequence [Cre98, equation (8.1.4)].

## 5.D Duality pairing

There is a trace map  $H_c^2(\mathcal{O}) \rightarrow K$  [Cre98, equation (8.1.7)] which is an isomorphism [Cre98, discussion following theorem 9.5]. For  $E \in \text{MC}^f(\mathbb{U})$ , composing the duality pairing of definition 4.29 with the trace map yields exactly the pairing

$$H_{\text{dR}}^0(E^\vee) \times H_c^2(E) \longrightarrow K \tag{5.28}$$

of [Cre98, equation (8.1.8)]. Similarly, composing the duality pairing of definition 4.35 with the trace map yields exactly the pairing

$$H_p^1(E^\vee) \times H_p^1(E) \longrightarrow K \tag{5.29}$$

of [Cre98, equation (8.1.9)].

To get these pairings to be perfect, we need the following definition.

**Definition 5.30.** We say that  $E$  is *strict* if the Robba fiber  $E_z$  is strict<sup>20</sup> for all  $z \in Z$ . We write  $\text{MC}^s(\mathbb{U})$  for the full subcategory of  $\text{MC}^f(\mathbb{U})$  spanned by the strict objects.

**Lemma 5.31.**  $\text{MC}^s(\mathbb{U})$  is a Serre subcategory of  $\text{MC}^f(\mathbb{U})$  which contains the unit object  $\mathcal{O}$  and is stable under duality.

<sup>20</sup>A differential module  $E$  over the Robba ring is *strict* if  $H_{\text{dR}}^1(E)$  is finite dimensional. A more technical definition is given by Crew in [Cre98, discussion preceding theorem 6.3], but [Cre98, theorem 6.3] combines with the more recent observation of Crew [Cre17, lemma 1] to show that the two definitions are equivalent.

*Proof.* Since  $E \mapsto E_z$  is an exact tensor functor, it is sufficient to show that the category  $\text{DMod}_{\mathcal{R}}^s$  of strict differential modules over the Robba ring  $\mathcal{R}$  is a Serre subcategory of the category  $\text{DMod}_{\mathcal{R}}^f$  of finite free differential modules over  $\mathcal{R}$  which contains the unit object  $\mathcal{R}$  and is stable under duality. The fact that  $\mathcal{R}$  is strict is clear, since  $\dim H_{\text{dR}}^1(\mathcal{R}) = 1$ . The fact that  $\text{DMod}_{\mathcal{R}}^s$  is stable under duality is [Cre98, theorem 6.3]. If

$$0 \longrightarrow E' \longrightarrow E \longrightarrow E'' \longrightarrow 0$$

is an exact sequence in  $\text{DMod}_{\mathcal{R}}^f$ , it induces an exact sequence as follows.

$$\begin{array}{ccccccc} 0 & \longrightarrow & H_{\text{dR}}^0(E') & \longrightarrow & H_{\text{dR}}^0(E) & \longrightarrow & H_{\text{dR}}^0(E'') \\ & & & & & & \downarrow \\ & & & & & & H_{\text{dR}}^1(E') \longrightarrow H_{\text{dR}}^1(E) \longrightarrow H_{\text{dR}}^1(E'') \\ & & & & & & \downarrow \\ & & & & & & 0 \end{array}$$

Since  $H_{\text{dR}}^0(E'')$  is always finite dimensional [Cre98, proposition 6.2], it follows that  $H_{\text{dR}}^1(E)$  is finite dimensional if and only if  $H_{\text{dR}}^1(E')$  and  $H_{\text{dR}}^1(E'')$  are finite dimensional. Thus  $\text{DMod}_{\mathcal{R}}^s$  is a Serre subcategory.  $\square$

**Remark 5.32.** Let us make some further observations about the category  $\text{DMod}_{\mathcal{R}}^s$  of strict differential modules over the Robba ring  $\mathcal{R}$ . For any  $\alpha \in K$ , let  $E_\alpha$  denote the differential module defined by the differential equation  $t\partial - \alpha$ . Then  $E_\alpha \in \text{DMod}_{\mathcal{R}}^s$  if and only if  $\alpha$  is  $p$ -adic non-Liouville [Cre98, proposition 6.10].

- $\text{DMod}_{\mathcal{R}}^s$  is *not* stable under tensor products: if we choose  $p$ -adic non-Liouville numbers  $\alpha, \beta$  whose sum  $\alpha + \beta$  is  $p$ -adic Liouville, then  $E_\alpha$  and  $E_\beta$  are both strict but  $E_\alpha \otimes E_\beta \simeq E_{\alpha+\beta}$  is not.
- $\text{DMod}_{\mathcal{R}}^s$  is incomparable with the category  $\text{DMod}_{\mathcal{R}}^\dagger$  of solvable differential modules over  $\mathcal{R}$ . Indeed,  $E_\alpha \in \text{DMod}_{\mathcal{R}}^\dagger$  if and only if  $\alpha \in \mathbb{Z}_p$  [Ked10, example 9.5.2]. So, for example, if  $\alpha \in \mathbb{Z}_p$  is  $p$ -adic Liouville, then  $E_\alpha$  is solvable but not strict. Conversely, if  $\alpha \in K \setminus \mathbb{Z}_p$ , then  $E_\alpha$  is strict but not solvable.

**Remark 5.33.** Let  $\text{DMod}_{\mathcal{R}}^F$  denote the category of finite differential modules over the Robba ring  $\mathcal{R}$  that can be equipped with Frobenius structures potentially after a finite extension of  $K$  [CM01, définition 2.5–2]. By way of example, if  $E_\alpha$  is as in remark 5.32 above, then  $E_\alpha \in \text{DMod}_{\mathcal{R}}^F$  if and only if  $\alpha \in \mathbb{Z}_{(p)}$  [CM01, corollaire 6.0–23].

It follows immediately from [CM01, corollaire 6.0–20] that  $\text{DMod}_{\mathcal{R}}^F$  is a tannakian subcategory of the tannakian<sup>21</sup> category  $\text{DMod}_{\mathcal{R}}^f$  over  $K$ . Moreover, we have

$$\text{DMod}_{\mathcal{R}}^F \subseteq \text{DMod}_{\mathcal{R}}^\dagger \cap \text{DMod}_{\mathcal{R}}^s.$$



The inclusion  $\mathrm{DMod}_{\mathcal{R}}^{\mathrm{F}} \subseteq \mathrm{DMod}_{\mathcal{R}}^{\dagger}$  is a theorem of Dwork's [Ked10, theorem 17.2.1]. The inclusion  $\mathrm{DMod}_{\mathcal{R}}^{\mathrm{F}} \subseteq \mathrm{DMod}_{\mathcal{R}}^{\mathrm{s}}$  is a consequence of the  $p$ -adic local monodromy theorem (which is due independently to André [And02], Kedlaya [Ked10, theorem 20.1.4], and Mebkhout [Meb02]).

**Remark 5.34.** In particular, it follows from remark 5.33 that if  $E \in \mathrm{MC}^{\mathrm{f}}(\mathbb{U})$  can be equipped with a Frobenius structure, it is overconvergent and its Robba fibers along  $Z$  are strict. This is the most important case.

**Theorem 5.35** (Crew's finiteness theorem [Cre98, theorem 9.5]). *Suppose  $E \in \mathrm{MC}^{\mathrm{s}}(\mathbb{U})$ .<sup>22</sup> Then all of the terms in the exact sequence (5.27) are finite dimensional, and both of the duality pairings (5.28) and (5.29) are perfect.*

## 5.E Dimension of parabolic cohomology

**Definition 5.36.** For  $E \in \mathrm{MC}^{\dagger}(\mathbb{U})$  and  $z \in Z$ , we define the *Artin conductor* of  $E$  at  $z$ , denoted  $\mathrm{Ar}_z(E)$ , by the formula

$$\mathrm{Ar}_z(E) = \mathrm{Irr}_z(E) + \mathrm{rank}(E) - \dim H_{\mathrm{dR}}^0(E_z),$$

where  $\mathrm{Irr}_z(E)$  is the  $p$ -adic irregularity of the Robba fiber  $E_z$  [CM00, définition 8.3–8]. Observe that we always have  $\mathrm{Irr}_z(E) \geq 0$  and  $\dim H_{\mathrm{dR}}^0(E_z) \leq \mathrm{rank}(E)$ , so  $\mathrm{Ar}_z(E) \geq 0$ .

**Lemma 5.37.** *If  $E \in \mathrm{MC}^{\dagger}(\mathbb{U})$  admits a Frobenius structure, we have*

$$\dim H_{\mathrm{p}}^1(E) = \dim H_{\mathrm{dR}}^0(E) + \dim H_{\mathrm{c}}^2(E) - 2 \mathrm{rank}(E) + \sum_{z \in Z} \mathrm{Ar}_z(E).$$

*Proof.* Crew's six-term exact sequence (5.27) and the definition of parabolic cohomology give us an exact sequence as follows.

$$0 \longrightarrow H_{\mathrm{dR}}^0(E) \longrightarrow \prod_{z \in Z} H_{\mathrm{dR}}^0(E_z) \longrightarrow H_{\mathrm{c}}^1(E) \longrightarrow H_{\mathrm{p}}^1(E) \longrightarrow 0$$

Taking dimensions, we find that

$$\dim H_{\mathrm{p}}^1(E) = \dim H_{\mathrm{c}}^1(E) - \sum_{z \in Z} \dim H_{\mathrm{dR}}^0(E_z) + \dim H_{\mathrm{dR}}^0(E).$$

<sup>21</sup>It follows from [Cre98, proposition 6.1] that the category  $\mathrm{DMod}_{\mathcal{R}}^{\mathrm{f}}$  of finite differential modules over  $\mathcal{R}$  is stable under subquotients, extensions, tensor products, and internal homs, and it evidently contains the unit object  $\mathcal{R}$ . The endomorphisms of the unit object  $\mathcal{R}$  are  $H_{\mathrm{dR}}^0(\mathcal{R}) = K$ , and the "tannakian dimension" [Del90, section 7] coincides with the rank as a finite free module over  $\mathcal{R}$ , which is always a nonnegative integer. Thus  $\mathrm{DMod}_{\mathcal{R}}^{\mathrm{f}}$  is tannakian over  $K$  [Del90, theorem 7.1].

<sup>22</sup>Technically, [Cre98, theorem 9.5] is only stated for  $E \in \mathrm{MC}^{\mathrm{f}}(\mathbb{U})$  both strict and overconvergent, but overconvergence is not used anywhere in the proof.

The Christol-Mebkhout index formula [CM00, théorème 8.4–1] says that

$$-\dim H_c^1(E) + \dim H_c^2(E) = \chi_c(U, E) = \chi_c(U) \operatorname{rank}(E) - \sum_{z \in Z} \operatorname{Irr}_z(E)$$

where  $\chi_c(U, E) = 2 - \#Z$ . We now put these equations together.  $\square$

**Remark 5.38.** Note that the above calculation also applies under the same “non-Liouville hypotheses” that are necessary for the Christol-Mebkhout index formula [CM00, théorème 8.4–1].

## 5.F Parabolic cohomology and restriction to open subsets

The following shows that parabolic cohomology is an invariant of the “generic fiber” of an isocrystal.

**Proposition 5.39.** *For any dense open subset  $V \subseteq U$  and  $E \in \operatorname{MC}^\dagger(\mathbb{A}^1|U|)$ , there is a natural isomorphism*

$$H_p^1(E) = H_p^1(E|_V).$$

*Proof.* We will use the identification  $\operatorname{MC}^\dagger(\mathbb{A}^1|U|) = \operatorname{Isoc}^\dagger(U)$  of lemma 5.23 in order to apply cohomological machinery like excision and so forth. Note that we have a commutative diagram as follows.

$$\begin{array}{ccccc} H_{c,\operatorname{rig}}^1(V, E|_V) & \longrightarrow & H_p^1(E|_V) & \longleftarrow & H_{\operatorname{rig}}^1(V, E|_V) \\ \downarrow & & & & \uparrow \\ H_{c,\operatorname{rig}}^1(U, E) & \longrightarrow & H_p^1(E) & \longleftarrow & H_{\operatorname{rig}}^1(U, E) \end{array} \quad (5.40)$$

We construct an isomorphism  $\tau : H_p^1(E|_V) \rightarrow H_p^1(E)$  by doing the only thing one could think to do in this setting: we define  $\tau(\alpha)$  for  $\alpha \in H_p^1(E|_V)$  to be the image in  $H_p^1(E)$  of a lift  $\alpha' \in H_{c,\operatorname{rig}}^1(V, E|_V)$  of  $\alpha$ . The content of this proof is to check that this actually defines a bijection, and then  $K$ -linearity follows immediately.

Let  $S := U \setminus V$ , and note that we have an excision exact sequence for compactly supported rigid cohomology [Tsu99, proposition 2.5.1], and that  $H_{c,\operatorname{rig}}^i(S, E|_S) = 0$  for all  $i > 0$  since  $\dim(S) = 0$ .

$$\dots \longrightarrow H_{c,\operatorname{rig}}^1(S, E|_S) \longrightarrow H_{c,\operatorname{rig}}^1(U, E) \longrightarrow \cancel{H_{c,\operatorname{rig}}^1(S, E|_S)} \longrightarrow \dots$$

It follows that the vertical map  $H_{c,\operatorname{rig}}^1(V, E|_V) \rightarrow H_{c,\operatorname{rig}}^1(U, E)$  on the left-hand side of the commutative square (5.40) is surjective.

We can analogously show that the vertical map  $H_{\text{rig}}^1(\mathcal{U}, E) \rightarrow H_{\text{rig}}^1(V/K, E|_V)$  on the right-hand side of the square (5.40) is injective. We again have an excision exact sequence [Tsu99, proposition 2.1.1(3)], and  $H_{S, \text{rig}}^i(\mathcal{U}, E) = 0$  for all  $i \neq 2$  [Tsu99, corollary 4.1.2].

$$\cdots \longrightarrow H_{Z, \text{rig}}^1(\mathcal{U}, E) \longrightarrow H_{\text{rig}}^1(\mathcal{U}, E) \longrightarrow H_{\text{rig}}^1(V, E|_V) \longrightarrow \cdots$$

Now to see that  $\tau$  is well-defined and injective, observe that  $\alpha \in H_{c, \text{rig}}^1(V, E|_V)$  vanishes in  $H_p^1(E|_V)$  if and only its image in  $H_p^1(E)$  vanishes: this is an elementary diagram chase that uses the fact that  $H_{\text{rig}}^1(\mathcal{U}, E) \rightarrow H_{\text{rig}}^1(V, E|_V)$  is injective. Surjectivity of  $\tau$  follows immediately from surjectivity of  $H_{c, \text{rig}}^1(V, E|_V) \rightarrow H_{c, \text{rig}}^1(\mathcal{U}, E)$ .  $\square$

## 5.G Middle extensions of arithmetic D-modules

In this section, we relate parabolic cohomology to the middle extension operation in the theory of arithmetic D-modules. Let  $\mathfrak{X}$  denote the formal projective line over  $K^\circ$ , regarded as a formal scheme. For any closed subset  $T \subset \mathbb{P}_K^1$ , we can and will freely regard overconvergent isocrystals on  $\mathbb{P}^1 \setminus T$  as  $\mathcal{O}_{\mathfrak{X}}(\dagger T)_{\mathbb{Q}}$ -coherent  $\mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}}$ -modules [Car06, théorème 2.2.12]. Note that there is a natural homomorphism  $\mathcal{D}_{\mathfrak{X}, \mathbb{Q}}^{\dagger} \rightarrow \mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}}$  of sheaves of rings on  $\mathfrak{X}$ . Restriction of scalars along this homomorphism is exact and naturally induces a functor on the level of derived categories

$$D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}}) \xrightarrow{j_+} D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}, \mathbb{Q}}^{\dagger}),$$

called the *ordinary direct image* along the inclusion  $j : \mathbb{P}^1 \setminus T \hookrightarrow \mathbb{P}^1$ . We also have the Verdier duality functor [Vir00, définition 3.2]

$$D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}}) \xrightarrow{\mathbb{D}} D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}}).$$

This functor is an involution: there is a natural isomorphism  $E = \mathbb{D}^2 E$  for any  $E \in D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}}^{\dagger}(\dagger T)_{\mathbb{Q}})$  [Vir00, théorème 3.6]. We then define the *extraordinary direct image* functor

$$j_! := \mathbb{D}j_+ \mathbb{D}.$$

There is a natural morphism of functors  $j_! \rightarrow j_+$ .

Furthermore, we have

$$R\Gamma_{\text{rig}}(\mathbb{P}^1, -) := R\Gamma(\mathfrak{X}, \Omega_{\mathfrak{X}}^{\bullet} \otimes_{\mathcal{O}_{\mathfrak{X}}} -) = R\Gamma(\mathfrak{X}, R\mathcal{H}om_{\mathcal{D}_{\mathfrak{X}, \mathbb{Q}}^{\dagger}}(\mathcal{O}_{\mathfrak{X}, \mathbb{Q}}, -)) = R\text{Hom}_{\mathcal{D}_{\mathfrak{X}, \mathbb{Q}}^{\dagger}}(\mathcal{O}_{\mathfrak{X}, \mathbb{Q}}, -),$$

as functors on  $D_{\text{perf}}(\mathcal{D}_{\mathfrak{X}, \mathbb{Q}}^{\dagger})$ . Here, we have used the fact that the arithmetic Spencer complex resolves  $\mathcal{O}_{\mathfrak{X}, \mathbb{Q}}$  [Ber00, proposition 4.3.3].

Suppose  $E \in \text{Isoc}^\dagger(\mathbb{P}^1 \setminus T)$  admits a Frobenius structure. Then  $j_+ E$  is a holonomic  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -module [HT07, proposition 3.1].<sup>23</sup> Also, applying the duality functor  $\mathbb{D}$  to  $E$  yields the usual tannakian dual  $E^\vee$ , which also admits a Frobenius structure, and duality preserves holonomicity [Car11, proposition 2.15], so it follows that  $j_! E$  is also a holonomic  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -module. We define the *middle extension*  $j_{!+} E$  of  $E$  by

$$j_{!+} E := \text{im}(j_! E \rightarrow j_+ E).$$

This is also a holonomic  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -module, since the category of holonomic  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -modules is abelian [Car11, proposition 2.14].

**Theorem 5.41.** *If  $E \in \text{Isoc}^\dagger(\mathcal{U})$  admits a Frobenius structure, then*

$$H_{p, \text{rig}}^1(\mathcal{U}, E) = H_{\text{rig}}^1(\mathbb{P}^1, j_{!+} E),$$

where  $j$  denotes the inclusion  $\mathcal{U} \hookrightarrow \mathbb{P}^1$ .

*Proof.* For every  $z \in Z = \mathbb{P}^1 \setminus \mathcal{U}$ , we let

$$\text{Soln}_z(E) := H_{\text{dR}}^0((E_z)^\vee) = H_{\text{dR}}^0(\text{Hom}(E_z, \mathcal{R})).$$

As we noted in remark 5.34, each  $E_z$  is strict since  $E$  admits a Frobenius structure. Thus  $(E_z)^\vee$  is strict as well by lemma 5.31. Moreover, we have a natural identification

$$\text{Soln}_z(E)^\vee = H_{\text{dR}}^1(E_z)$$

using the local duality pairing of [Cre98, theorem 6.3]. Combining this with [Li10, proposition 5.1]<sup>24</sup> tells us that we have a natural exact sequence

$$0 \longrightarrow j_{!+} E \longrightarrow j_+ E \longrightarrow \prod_{z \in Z} i_{z!} H_{\text{dR}}^1(E_z) \longrightarrow 0$$

of  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -modules. We now apply  $R\Gamma_{\text{rig}}(\mathbb{P}^1, -)$  to get a distinguished triangle of vector spaces over  $K$ , and then we consider the resulting long exact sequence. We know that  $H_{\text{rig}}^1(\mathbb{P}^1, j_+ E) = H_{\text{rig}}^1(\mathcal{U}, E)$  [Ber90, corollaire 4.1.7]. Together with lemma 5.42 below, we obtain an exact sequence

$$0 \longrightarrow H_{\text{rig}}^1(\mathbb{P}^1, j_{!+} E) \longrightarrow H_{\text{rig}}^1(\mathcal{U}, E) \longrightarrow \prod_{z \in Z} H_{\text{dR}}^1(E_z).$$

Comparing against Crew's six-term exact sequence (5.27) and the definition of parabolic cohomology, we obtain the result.  $\square$

<sup>23</sup>In [HT07], the  $\mathcal{D}_{\mathbb{A}^1}^\dagger(\dagger T)$ -module associated to an overconvergent isocrystal  $E$  with Frobenius structure is denoted  $\hat{\mathcal{D}}^\dagger(E)$ , and  $j_+ E$  is denoted  $\mathcal{D}^\dagger(E)$ .

**Lemma 5.42.** *For any closed point  $z \in \mathbb{P}^1$  and any vector space  $V$  over  $K$ , we have*

$$H_{\text{rig}}^i(\mathbb{P}^1, i_{z!}V) = \begin{cases} V & \text{if } i = 1, \text{ and} \\ 0 & \text{otherwise.} \end{cases}$$

*Proof.* Let  $\delta_z$  be the  $\mathcal{D}_{\mathbb{A}^1, \mathbb{Q}}^\dagger$ -module which is a skyscraper sheaf at  $z$  with

$$\Gamma(Y, \delta_z) = \left\{ \sum_{i=0}^{\infty} a_i \partial^{[i]} \mid \begin{array}{l} a_i \in K \text{ for all } i \in \mathbb{N} \text{ and there exist } c > 0 \text{ and} \\ 0 < \eta < 1 \text{ such that } |a_i| < c\eta^i \text{ for all } i \in \mathbb{N} \end{array} \right\} \quad (5.43)$$

for any affine open neighborhood  $Y$  of  $z$ . We then have  $i_{z!}V = \delta_z \otimes V$  for any vector space  $V$  over  $K$ . Thus it suffices to prove the assertion of the lemma when  $V = K$ .

In other words, we would like to compute  $R\Gamma(\mathbb{A}^1, \Omega_{\mathbb{A}^1}^\bullet \otimes_{\mathcal{O}_{\mathbb{A}^1}} \delta_z)$ . Since  $\delta_z$  is a skyscraper sheaf at  $z$ , it is sufficient to compute the cohomology of the complex

$$\Gamma(Y, \delta_s) \xrightarrow{\nabla} \Gamma(Y, \Omega_{\mathbb{A}^1}^1 \otimes_{\mathcal{O}_{\mathbb{A}^1}} \delta_z)$$

where  $Y$  is an affine open neighborhood of  $z$ . Using the description of  $\delta_z$  given above in equation (5.43), we see that  $\nabla$  is given by  $P \mapsto dt \otimes \partial P$ . It is clear from this description that  $\ker(\nabla) = 0$  and  $\text{coker}(\nabla) = K$ , spanned by the image of  $dt \otimes 1$ .  $\square$

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<sup>24</sup> There is a minor error in [Li10]. Lemma 4.2 in *loc. cit.* should state that

$$H^{1-s}(i^! \mathcal{E}) = \text{Ext}_{\mathcal{D}_f}^s(\mathcal{E}, \mathcal{O}^{\text{an}})^\vee$$

for  $s = 0, 1$  (in *loc. cit.*, the dual seems to be missing), and then the same correction applies to lemma 4.3. The result of this is that proposition 5.1 should assert that

$$j_! \mathcal{E} / j_{!+} \mathcal{E} = \delta_\alpha \otimes_{K_\alpha} \text{Soln}_\alpha^\vee$$

(again, the dual in *loc. cit.* is missing). Indeed, the fourth display in the proof should say

$$\text{Hom}_{\mathcal{D}_{\mathbb{A}^1(\infty)}}(j_{!+} \mathcal{E}, \mathcal{O}^{\text{an}}) = \text{Ext}_{\mathcal{D}_{\mathbb{A}^1(\infty)}}^1(j_+ \mathcal{E} / j_{!+} \mathcal{E}, \mathcal{O}^{\text{an}}) = H^0(i_\alpha^! i_{\alpha!} V)^\vee = V^\vee$$

using the aforementioned correction of lemma 4.3, so then the final display of the proof should start with  $V^\vee$  (instead of  $V$ ). These corrections do not affect the main result of [Li10], since for that only dimensions matter.

# Chapter 6

## Deformations of isocrystals

### 6.A Deformations of isocrystals

We continue to use notation 5.24.

**Theorem 6.1.** *Suppose  $E \in \text{MC}^f(\text{U})$ . Then we have the following.*

$$\begin{aligned} \text{Inf}(\text{Def}_E) &= H_{\text{dR}}^0(\text{End}(E)) & \text{T}(\text{Def}_E) &= H_{\text{dR}}^1(\text{End}(E)) \\ \text{Inf}(\text{Def}_E^{\sharp,+}) &= 0 & \text{T}(\text{Def}_E^{\sharp,+}) &= H_{\mathbb{C}}^1(\text{End}(E)) \\ \text{Inf}(\text{Def}_E^{\sharp}) &= H_{\text{dR}}^0(\text{End}(E)) & \text{T}(\text{Def}_E^{\sharp}) &= H_{\mathbb{P}}^1(\text{End}(E)) \end{aligned}$$

$\text{Def}_E$  is smooth, and  $H_{\mathbb{C}}^2(\text{End}(E))$  is compatibly an obstruction space for both  $\text{Def}_E^{\sharp,+}$  and  $\text{Def}_E^{\sharp}$ . Moreover, if  $\text{End}(E)$  is strict, then all three of the deformation categories  $\text{Def}_E$ ,  $\text{Def}_E^{\sharp,+}$  and  $\text{Def}_E^{\sharp}$  have hulls, and the duality pairing on  $H_{\mathbb{P}}^1(\text{End}(E))$  is symplectic, so  $\dim \text{T}(\text{Def}_E^{\sharp})$  is even.

*Proof.* The observations about  $\text{Def}_E$  follow immediately from corollary 4.14. The observations about  $\text{Def}_E^{\sharp,+}$  and  $\text{Def}_E^{\sharp}$  are consequences of lemmas 4.27 and 4.28. If  $\text{End}(E)$  is strict then all of the tangent spaces above are finite dimensional by Crew's finiteness theorem 5.35, so all of the above functors have hulls by the fundamental theorem of deformation theory 2.1. Finally, we saw in lemma 4.37 that the duality pairing on  $H_{\mathbb{P}}^1(\text{End}(E))$  is alternating, and Crew's finiteness theorem 5.35 guarantees that it is perfect, so it is symplectic.  $\square$

**Theorem 6.2.** *Suppose  $E \in \text{MC}^f(\text{U})$  is absolutely irreducible and  $\text{End}(E)$  is strict. Then  $\text{Def}_E^{\sharp}$  and  $\text{Def}_E^{\sharp,+}$  are both smooth, and  $\overline{\text{Def}}_E$  and  $\overline{\text{Def}}_E^{\sharp}$  are both prorepresentable.*

*Proof.* Observe that

$$\dim_{\mathbb{K}} \text{End}_{\mathbb{D}}(E) = \dim_{\mathbb{K}} H_{\text{dR}}^0(\text{End}(E)) \leq \dim_{\mathbb{O}} \text{End}(E)$$

by corollary 5.16, so  $\text{End}_D(E)$  is finite dimensional. Since  $E$  is absolutely irreducible,

$$H_{\text{dR}}^0(\text{End}(E)) = \text{End}_D(E) = K$$

by lemma 3.10. By Crew's finiteness theorem 5.35, we know that  $H_c^2(\text{End}(E))$  is dual to  $H_{\text{dR}}^0(\text{End}(E))$ , so

$$\dim H_c^2(\text{End}(E)) = 1.$$

Applying lemma 4.34, we see that all of the obstruction classes vanish, so  $\text{Def}_E^\sharp$  is smooth. Thus  $\text{Def}_E^{\sharp,+}$  is also smooth by lemma 4.24.

Since  $\text{End}_D(E) = K$ , the map  $\text{Aut}(F', \theta') \rightarrow \text{Aut}(F, \theta)$  is surjective for every  $(R', F', \theta') \rightarrow (R, F, \theta)$  in  $\text{Def}_E$  lying over a surjective  $R' \rightarrow R$  in  $\text{ART}_K$ , by corollary 3.8. Now  $\text{Def}_E^\sharp$  is a full subcategory of  $\text{Def}_E$ , so the same is true for every  $(R', F', \theta') \rightarrow (R, F, \theta)$  in  $\text{Def}_E^\sharp$ . Since  $\text{End}(E)$  is strict, we know that

$$H_{\text{dR}}^1(\text{End}(E)) = T(\text{Def}_E) \text{ and } H_p^1(\text{End}(E)) = T(\text{Def}_E^\sharp)$$

are finite dimensional by Crew's finiteness theorem 5.35. Thus the functors  $\overline{\text{Def}}_E$  and  $\overline{\text{Def}}_E^\sharp$  are prorepresentable by the fundamental theorem of deformation theory 2.1.  $\square$

## 6.B Algebraizing deformations of isocrystals

We conclude by observing that infinitesimal deformations of an isocrystal can usually be "algebraized." Let  $\mathbb{X}$  denote the scheme-theoretic projective line over  $K^\circ$  and let  $\mathbb{U}$  be an affine open subset whose special fiber is  $\mathbb{U}$ . Let

$$\mathcal{O}^{\text{alg}} := \Gamma(\mathbb{U}_K, \mathcal{O}_{\mathbb{X}_K})$$

be the ring of algebraic functions on the generic fiber  $\mathbb{U}_K$ . We can then regard  $\mathcal{O}^{\text{alg}}$  as a finite type  $K$ -subalgebra of  $\mathcal{O}$  which is stable under the derivation  $\partial$ . For a differential  $\mathcal{O}^{\text{alg}}$ -module  $E^{\text{alg}}$ , when we write  $\text{Def}_{E^{\text{alg}}}^\sharp$  and  $\text{Def}_{E^{\text{alg}}}^{\sharp,+}$ , we mean with respect to the homomorphism

$$\mathcal{O}^{\text{alg}} \longrightarrow \mathcal{O}^\sharp = \prod_{z \in Z} \mathcal{R}_z.$$

**Theorem 6.3.** *Suppose  $E$  admits a Frobenius structure. Then there exists a differential  $\mathcal{O}^{\text{alg}}$ -module  $E^{\text{alg}}$  such that  $E = \mathcal{O} \otimes_{\mathcal{O}^{\text{alg}}} E^{\text{alg}}$ , and the functor*

$$\text{Def}_{E^{\text{alg}}} \longrightarrow \text{Def}_E$$

*is an equivalence of deformation categories, as are*

$$\text{Def}_{E^{\text{alg}}}^\sharp \longrightarrow \text{Def}_E^\sharp \text{ and } \text{Def}_{E^{\text{alg}}}^{\sharp,+} \longrightarrow \text{Def}_E^{\sharp,+}.$$

*Proof.* Since  $E$  admits a Frobenius structure, so does  $\text{End}(E)$ . Thus all exponents of  $E$  and of  $\text{End}(E)$  are in  $\mathbb{Z}_{(p)}$  [CM97, théorème 5.5–3], so the Christol-Mebkhout algebraization theorem [CM01, théorème 5.0–10] guarantees the existence of  $E^{\text{alg}}$  such that  $E = \mathcal{O} \otimes_{\mathcal{O}^{\text{alg}}} E^{\text{alg}}$ . Moreover, since all of the exponents are in  $\mathbb{Z}_{(p)}$ , the natural map

$$dR(\mathcal{O}^{\text{alg}}, \text{End}(E^{\text{alg}})) \longrightarrow dR(\mathcal{O}, \text{End}(E))$$

is a quasi-isomorphism of differential graded  $K$ -algebras [AB01, chapter 4, proposition 5.2.4]. We know from corollary 4.14 that the domain and codomain govern  $\text{Def}_{E^{\text{alg}}}$  and  $\text{Def}_E$ , respectively. Moreover, quasi-isomorphisms of differential graded algebras induce isomorphisms on deformation categories by theorem 2.29. This gives us the first equivalence in the statement of the theorem.

Now observe that we have a 2-commutative diagram of deformation categories as follows.

$$\begin{array}{ccc} \text{Def}_{E^{\text{alg}}} & \longrightarrow & \text{Def}_E \\ \downarrow & & \downarrow \\ \text{Def}_{E^\#} & \xlongequal{\quad} & \text{Def}_{E^\#} \end{array} \quad (6.4)$$

Letting  $\Gamma$  denote the residual gerbe of  $\text{Def}_{E^\#}$ , we obtain 2-commutative diagram as follows, in which the square (6.4) is the face on the far right.

$$\begin{array}{ccccc} & & \text{Def}_{E^{\text{alg}}}^{\#,+} & \longrightarrow & \text{Def}_{E^{\text{alg}}}^{\#} & \longrightarrow & \text{Def}_{E^{\text{alg}}} \\ & \swarrow \text{dotted} & \downarrow & & \downarrow & & \downarrow \\ \text{Def}_E^{\#,+} & \longrightarrow & \text{Def}_E^{\#} & \longrightarrow & \text{Def}_E & & \\ \downarrow & & \downarrow & & \downarrow & & \downarrow \\ & & h_K & \longrightarrow & \Gamma & \longrightarrow & \text{Def}_{E^\#} \\ \downarrow & \swarrow & \downarrow & \swarrow & \downarrow & \swarrow & \downarrow \\ h_K & \longrightarrow & \Gamma & \longrightarrow & \text{Def}_{E^\#} & & \end{array}$$

The dotted map  $\text{Def}_{E^{\text{alg}}}^{\#} \rightarrow \text{Def}_E^{\#}$  is the natural one

$$\text{Def}_{E^{\text{alg}}}^{\#} = \Gamma \times_{\text{Def}_{E^\#}} \text{Def}_{E^{\text{alg}}} \longrightarrow \Gamma \times_{\text{Def}_{E^\#}} \text{Def}_E = \text{Def}_E^{\#}$$

induced by the equivalence  $\text{Def}_{E^{\text{alg}}} \rightarrow \text{Def}_E$ , so it is an equivalence as well. Similarly the dotted map  $\text{Def}_{E^{\text{alg}}}^{\#,+} \rightarrow \text{Def}_E^{\#,+}$  must be an equivalence as well, using  $h_K$  in place of  $\Gamma$ .  $\square$

## 6.C Cohomologically rigid isocrystals

**Definition 6.5.** We say  $E \in \text{MC}^f(\text{U})$  is *cohomologically rigid* if  $H_p^1(\text{End}(E)) = 0$ .



**Example 6.6.** Suppose  $E \in \text{MC}^\dagger([\mathcal{U}])$  is absolutely irreducible of rank 2, admits a Frobenius structure (or, more generally, has exponents whose differences are non-Liouville), and has regular singularities along  $Z$  (i.e.,  $\text{Irr}_z(E) = 0$  for all  $z \in Z$ ). Let us compute  $\dim H_p^1(\text{End}(E))$ , thereby finding a criterion for  $E$  to be cohomologically rigid.

Fix  $z \in Z$ . Note that  $E_z$  being regular means precisely that it is pure of slope 0. Since  $E$  admits a Frobenius structure, the exponents  $\text{Exp}(E_z) = \{\bar{\alpha}, \bar{\beta}\}$  of  $E_z$  are in  $\mathbb{Z}_{(p)}/\mathbb{Z}$  [CM00, théorème 5.5–3]. If we choose representatives  $\alpha, \beta \in \mathbb{Z}_{(p)}$  for  $\bar{\alpha}, \bar{\beta} \in \mathbb{Z}_p/\mathbb{Z}$ , then Christol-Mebkhout’s  $p$ -adic Fuchs theorem [CM01, théorème 2.2–1] tells us that there is a basis of  $E_z$  with respect to which the derivation  $\partial$  acts by an upper triangular matrix of the form

$$\begin{bmatrix} \alpha & * \\ 0 & \beta \end{bmatrix},$$

and that if  $\bar{\alpha} \neq \bar{\beta}$ , then we can even take  $* = 0$ . We will say that  $E$  has a scalar singularity at  $z$  if there is a basis such that  $\partial$  acts by a diagonal matrix.

If  $E$  has a scalar singularity at  $z$ , it splits into a direct sum of two isomorphic differential modules of rank 1 (both corresponding to the differential equation  $t\partial - \alpha$ ), and then it is clear that  $\text{End}(E_z)$  must be a constant differential module over the Robba ring  $\mathcal{R}_z$ . In other words, we have  $\text{Ar}_z(\text{End}(E)) = 0$ .

Otherwise, there are two cases.

- If  $E_z$  has two distinct exponents, then  $E_z$  splits into a direct sum of two non-isomorphic differential modules over  $\mathcal{R}_z$  of rank 1. It is then clear that

$$\dim H_{\text{dR}}^0(\text{End}(E_z)) = 2,$$

so  $\text{Ar}_z(\text{End}(E)) = 2$ .

- If not, then  $E_z$  has just one exponent  $\bar{\alpha}$  of multiplicity 2, but does not have a scalar singularity at  $z$ . We know that there is a basis  $(e_1, e_2)$  such that  $\partial$  acts by a matrix of the form

$$\begin{bmatrix} \alpha & * \\ 0 & \alpha \end{bmatrix}.$$

Since  $E_z$  does not have a scalar singularity at  $z$ , the function  $*$  must not have an antiderivative in  $\mathcal{R}_z$ . If it did have an antiderivative  $f \in E_z$ , then  $(e_1, e_2 - fe_1)$  would be a basis with respect to which  $\partial$  would have a diagonal matrix.

We can then compute that  $\dim H_{\text{dR}}^0(\text{End}(E)) = 2$ , as follows. Note that  $\text{End}(E_z)$  splits as a direct sum of the identity component and the trace-zero component  $\text{End}^0(E_z)$ . Now  $\text{End}^0(E_z)$  is spanned by the endomorphisms  $\sigma_e, \sigma_f, \sigma_h$  of  $F^0$  given by

$$[\sigma_e] = \begin{bmatrix} 0 & 1 \\ 0 & 0 \end{bmatrix}, [\sigma_f] = \begin{bmatrix} 0 & 0 \\ 1 & 0 \end{bmatrix}, [\sigma_h] = \begin{bmatrix} 1 & 0 \\ 0 & -1 \end{bmatrix}.$$

Now  $H_{\text{dR}}^0(\text{End}^0(E_z))$  is spanned by  $\sigma_e$  over  $K$ . To see this, suppose we have a horizontal  $\sigma = u\sigma_e + v\sigma_f + w\sigma_h$  for some  $u, v, w \in \mathcal{R}_z$ . We compute the following.

$$\begin{aligned}\sigma\partial(e_1) &= awe_1 + ave_2 \\ \partial\sigma(e_1) &= (aw + *v + \partial(w))e_1 + (\partial(v) + av)e_2 \\ \sigma\partial(e_2) &= (*w + au)e_1 + (*v - aw)e_2 \\ \partial\sigma(e_2) &= (\partial(u) + au - *w)e_1 + (-\partial(w) - aw)e_2\end{aligned}$$

Equating the first two, we see first that we must have  $\partial(v) = 0$ , so  $v$  is a scalar. Then we must have  $\partial(w) = -v*$ . Then we see that in fact we must have  $v = 0$ , since otherwise  $-w/v$  would be an antiderivative of  $*$ . This then forces  $w$  to be scalar. Then, equating the second two equations above, we see that  $\partial(u) = 2w*$ . Again this forces  $w = 0$ , since otherwise  $*$  would have an antiderivative, and further it must be that  $u$  is scalar. This proves that  $H_{\text{dR}}^0(\text{End}^0(E_z))$  is spanned by  $\sigma_e$  over  $K$ . Thus  $H_{\text{dR}}^0(\text{End}(E_z))$  is spanned by 1 and  $\sigma_e$ , proving that

$$\dim H_{\text{dR}}^0(\text{End}(E_z)) = 2,$$

whence  $\text{Ar}_z(\text{End}(E)) = 2$ .

Since  $\text{End}(E)$  is self-dual via the trace pairing of example 4.31, we know that  $H_{\text{dR}}^0(\text{End}(E))$  and  $H_c^2(\text{End}(E))$  are dual by Crew's finiteness theorem 5.35. Moreover, since  $E$  is absolutely irreducible, we know that  $\dim H_{\text{dR}}^0(\text{End}(E)) = 1$ . Thus lemma 5.37 tells us that

$$\dim H_p^1(\text{End}(E)) = -6 + \sum_{z \in Z} \text{Ar}_z(\text{End}(E)) = 2(m - 3)$$

where  $m$  is the number of points  $z \in Z$  such that  $E$  has non-scalar singularities at  $z$ .

In other words, if all of the singularities of  $E$  are non-scalar, then  $E$  is cohomologically rigid if and only if  $\#Z = 3$ . This is analogous to what we saw in example 1.9.

# Appendix A

## Isolated points of algebraic stacks

Throughout, let  $\mathcal{X}$  be an algebraic stack [Stacks, 026O]. We make the following definition.

**Definition A.1.** A point  $x \in |\mathcal{X}|$  is *isolated* if  $\{x\}$  is open and closed in  $|\mathcal{X}|$ .<sup>25</sup>

**Lemma A.2.** Any isolated point of  $\mathcal{X}$  must be a point of finite type.

*Proof.* If  $x$  is an isolated point, then  $\{x\} \cap \mathcal{X}_{\text{ft-pts}}$  must be nonempty [Stacks, 06G2].  $\square$

**Lemma A.3.** Suppose  $\mathcal{X}$  has a unique finite type point  $x$ . Then  $|\mathcal{X}| = \{x\}$ . In particular,  $x$  is an isolated point of  $\mathcal{X}$ .

*Proof.* Suppose  $f : U \rightarrow \mathcal{X}$  is any smooth map with  $U$  a nonempty scheme. The image of  $U$  is a nonempty open subset of  $|\mathcal{X}|$  [Stacks, 04XL], so it must contain  $x$  [Stacks, 06G2]. Moreover, the complement is a closed subset of  $|\mathcal{X}|$  containing no finite type points, so the complement must be empty. In other words,  $f$  must be surjective. This means that we can replace  $U$  with a nonempty affine open subscheme and  $f$  will still be surjective.

Let  $\Gamma_x$  be the residual gerbe at the unique finite type point  $x$  [Stacks, 06G3]. Then the inclusion  $\Gamma_x \hookrightarrow \mathcal{X}$  is a locally of finite type monomorphism, so its pullback  $R_x := \Gamma_x \times_{\mathcal{X}} U \rightarrow U$  is a locally finite type monomorphism of algebraic spaces. This must be representable [Stacks, 0418]. In other words,  $R_x$  is actually a scheme, and we have a cartesian diagram as follows.

$$\begin{array}{ccc} R_x & \hookrightarrow & U \\ \downarrow & & \downarrow f \\ \Gamma_x & \hookrightarrow & \mathcal{X} \end{array}$$

Since  $|\Gamma_x| = \{x\}$ , clearly it is sufficient to show that  $R_x \rightarrow U$  is surjective.

Chevalley's theorem [Stacks, 054K] guarantees that the image of  $R_x \rightarrow U$  is a locally constructible subset of  $U$ , but  $U$  is affine so in fact the image must be constructible [Stacks,

<sup>25</sup>If  $|\mathcal{X}|$  is locally connected, then this is equivalent to requiring that  $\{x\}$  is a connected component of  $|\mathcal{X}|$ . This is implied, for instance, by the condition that  $\mathcal{X}$  be locally noetherian [Stacks, 04MF, 0DQI].

054C]. Then the complement  $Z$  of the image is also constructible [Stacks, 005H]. In particular,  $Z$  is a finite union of locally closed subsets. Thus  $Z \cap \mathcal{U}_{\text{ft-pts}}$  must be dense in  $Z$ . If  $Z$  were nonempty, there would have to exist some  $u \in Z \cap \mathcal{U}_{\text{ft-pts}}$ . But then  $f(u)$  would have to be a finite type point of  $\mathcal{X}$  [Stacks, 06G0], and it could not equal  $x$  since  $u$  is constructed to not be in the image of  $R_x \rightarrow \mathcal{U}$ . This contradicts the assumption that  $\mathcal{X}_{\text{ft-pts}} = \{x\}$ . Thus  $Z$  must be empty, proving that  $R_x \rightarrow \mathcal{U}$  is surjective.  $\square$

**Lemma A.4.** *Suppose  $\mathcal{X}$  is quasi-separated and locally of finite type over a field  $k$ , and  $x \in |\mathcal{X}|$  is isolated. Then  $\dim_x(\mathcal{X}) \leq 0$ .*

*Proof.* Notice first that if  $\mathcal{U}$  is the open substack corresponding to the open subset  $\{x\} \subseteq |\mathcal{X}|$  [Stacks, 06FJ], then

$$\dim_x(\mathcal{X}) = \dim_x(\mathcal{U}).$$

In other words, by replacing  $\mathcal{X}$  with  $\mathcal{U}$  if necessary, we can assume that  $|\mathcal{X}| = \{x\}$ .

Now if  $f : \mathcal{U} \rightarrow \mathcal{X}$  is any smooth map with  $\mathcal{U}$  a nonempty locally noetherian scheme, then clearly  $f$  must be surjective. Thus we may assume that  $\mathcal{U}$  is affine and of finite type over  $k$ . Then  $\mathcal{U}$  has finitely many irreducible components  $Z_1, \dots, Z_n$ , and we can replace  $\mathcal{U}$  with the nonempty open subset  $\mathcal{U} \setminus (Z_2 \cup \dots \cup Z_n)$  in order to assume that  $\mathcal{U}$  is also irreducible.

Since  $\mathcal{X}$  is quasi-separated,  $R := \mathcal{U} \times_{\mathcal{X}} \mathcal{U}$  is a finite type algebraic space over  $k$ . Moreover, we have a smooth groupoid in algebraic spaces

$$(\mathcal{U}, R, s, t, c, e, i)$$

and an equivalence  $\mathcal{X} = [\mathcal{U}/R]$  [Stacks, 04T5]. For every  $u \in \mathcal{U}$ , let  $T_u$  be the connected component of  $R_u := s^{-1}(u)$  containing  $e(u)$ . Since  $R_u$  is smooth over  $\kappa(u)$ , the connected component  $T_u$  is also an irreducible component of  $R_u$ .

The image of  $T_u$  under  $t$  is therefore an irreducible subset  $O(u)$  of  $\mathcal{U}$  which contains  $u$ . It is constructible by Chevalley's theorem [Stacks, 0ECX]. As  $u$  varies, we obtain a partition of  $\mathcal{U}$  into irreducible constructible subsets of the form  $O(u)$ .

If  $\eta \in \mathcal{U}$  is the generic point, then  $O(\eta)$  is a constructible subset of  $\mathcal{U}$  containing  $\eta$ , so in fact  $O(\eta)$  contains a dense open subset of  $\mathcal{U}$  [Stacks, 005K]. Then there exists  $v \in O(\eta) \cap \mathcal{U}_{\text{ft-pts}}$  [Stacks, 02J4]. Moreover, since  $v \in O(\eta) \cap O(v)$ , we must have  $O(\eta) = O(v)$ .

In other words,  $T_v \rightarrow \mathcal{U}$  is a dominant morphism of algebraic spaces of finite type over  $k$ . Thus  $\dim(\mathcal{U}) \leq \dim(T_v)$  [EGA, IV<sub>2</sub>, corollaire 2.3.5(i)]. Since  $f(v) = x$ , we see from the definition of dimension [Stacks, 0AFN] that

$$\dim_x(\mathcal{X}) = \dim_v(\mathcal{U}) - \dim_{e(v)}(R_u) = \dim(\mathcal{U}) - \dim(T_v) \leq 0. \quad \square$$

## Appendix B

### Adic spectrum of a Dedekind domain

**Example B.1.** Let  $A$  be a Dedekind domain with the discrete topology. There are three kinds of points in  $\text{Spa}(A)$ .

- (1) For every maximal ideal  $\mathfrak{m}$  in  $A$ , there is the point corresponding to the trivial valuation on  $A/\mathfrak{m}$ . We abusively denote this point by  $\mathfrak{m}$  again.
- (2) For every maximal ideal  $\mathfrak{m}$  in  $A$ , there is a point  $\tilde{\mathfrak{m}}$  corresponding to the  $\mathfrak{m}$ -adic valuation on  $\text{Frac}(A)$ .
- (3) There is a point  $\eta$  corresponding to the trivial valuation on  $\text{Frac}(A)$ .

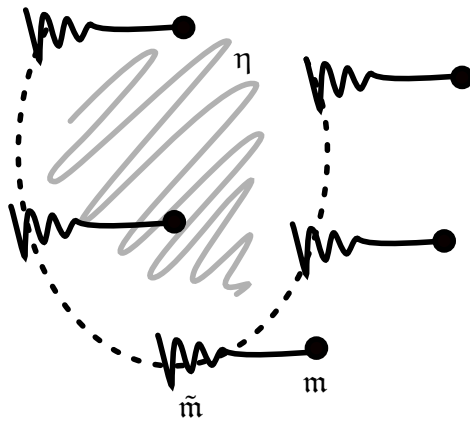
The fiber of  $\text{supp}$  above  $\mathfrak{m} \in \text{Spec}(A)$  contains just the one point corresponding to the trivial valuation on  $A/\mathfrak{m}$ . Indeed, if  $x \in \text{Spa}(A)$  has support  $\mathfrak{m}$ , then  $x$  corresponds to a valuation subring of  $A/\mathfrak{m}$  containing the image of  $A$ , which must be  $A/\mathfrak{m}$  itself.

To see that every point in the fiber above the generic point of  $\text{Spec}(A)$  is either  $\eta$  or of the form  $\tilde{\mathfrak{m}}$ , we need to classify valuation subrings  $B$  of  $\text{Frac}(A)$  containing  $A$ . Let  $\mathfrak{p}$  be the intersection of the maximal ideal of  $B$  with  $A$ , so that  $B$  dominates the local ring  $A_{\mathfrak{p}}$ . Since  $A$  is a Dedekind domain, we know that  $A_{\mathfrak{p}}$  is a valuation subring of  $\text{Frac}(A)$ , so it is maximal with respect to domination. Thus  $B = A_{\mathfrak{p}}$ . The case when  $\mathfrak{p} = \mathfrak{m}$  is maximal corresponds to the point  $\tilde{\mathfrak{m}}$ , and the case when  $\mathfrak{p} = 0$  corresponds to the point  $\eta$ .

The point  $\mathfrak{m}$  in  $\text{Spa}(A)$  is closed, and  $\tilde{\mathfrak{m}}$  is a horizontal generization of  $\mathfrak{m}$ . The point  $\eta$  is a vertical generization of  $\tilde{\mathfrak{m}}$ . In fact,  $\eta$  is the generic point of  $\text{Spa}(A)$ . An arbitrary closed subset  $Z \subsetneq \text{Spa}(A)$  is comprised of finitely many  $\mathfrak{m}$ , together with finitely many points of the form  $\tilde{\mathfrak{m}}$  for some maximal ideal  $\mathfrak{m}$  such that  $\mathfrak{m} \in Z$ . We summarize this discussion with **B.2**.

Figure B.2: The adic spectrum of a discretely topologized Dedekind domain

Point $x$	$\mathcal{O}_{\text{Spa}(A),x}$	$\kappa(x)$	$\nu_x$	$\Gamma_x$	$\tilde{\kappa}(x)$
$\mathfrak{m}$	$A_{\mathfrak{m}}$	$A/\mathfrak{m}$	trivial	0	$A/\mathfrak{m}$
$\tilde{\mathfrak{m}}$	$A_{\mathfrak{m}}$	$\text{Frac}(A)$	$\mathfrak{m}$ -adic	$\mathbb{Z}$	$A/\mathfrak{m}$
$\eta$	$\text{Frac}(A)$	$\text{Frac}(A)$	trivial	0	$\text{Frac}(A)$



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