Polynomial automorphisms, especially over finite fields

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A short introduction: What is a polynomial map?

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- A ring automorphism of k[X<sub>1</sub>,...,X<sub>n</sub>] sending g(X<sub>1</sub>,...,X<sub>n</sub>) to g(F<sub>1</sub>,...,F<sub>n</sub>).

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A polynomial map F is invertible if there is a polynomial map G such that  $F(G) = (X_1, \ldots, X_n)$ .



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Why this bold claim? Polynomial maps seem to have similar properties as linear maps (much more so than holomorphic maps for example). Today I will not really go into these similarities, but they are there. Today: I will talk about  $GA_n(k)$ , especially if k is a finite field.

### **MOTIVATION:**

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**RE-MOTIVATION:** Why **NOT** study polynomial maps over finite fields! In fact, why didn't anyone fill that **gaping hole** yet!

REASON 1: Reduction-mod-*p* techniques to solve problems over  $\mathbb{C}$ . Classical example: an injective polynomial map is surjective. Reason: an injective map from a finite set to a finite. Very recent: Belov-Kontsjevich (yes, that guy) proved equivalence of two already long-standing conjectures: the Dixmier Conjecture ('68) and the Jacobian Conjecture ('39). REASON 2: Polynomial maps over finite fields may have applications in discrete-mathematics like settings! (In fact, one of the reasons for this talk is the hope that there may be one or two of you in the audience who may see such a possible application!)

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 $GA_n(k)$  is generated by ???

$$(X_1-f(X_2,\ldots,X_n),X_2,\ldots,X_n).$$

 $(X_1 - f(X_2, ..., X_n), X_2, ..., X_n).$ Triangular map: (X + f(Y, Z), Y + g(Z), Z + c)

$$= (X, Y, Z + c)(X, Y + g(Z), Z)(X + f(X, Y), Y, Z)$$

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$$TA_n(k) := \langle J_n(k), Aff_n(k) \rangle$$

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$$\mathsf{GA}_2(\mathbb{K}) = \mathsf{TA}_2(\mathbb{K}) = Aff_2(\mathbb{K}) \models \mathsf{J}_2(\mathbb{K})$$

Jung-van der Kulk is the reason that we can do a lot in dimension 2 !!!!

What about dimension 3?
1972: Nagata: "I cannot tame the following map:"

 $N := (X - Y\Delta - Z\Delta^2, Y + Z\Delta, Z)$  where  $\Delta = XZ + Y^2$ .

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How did Nagata make Nagata's map?

$$(X, Y + z^2 X)$$

$$(X - z^{-1}Y^2, Y)(X, Y + z^2X)(X + z^{-1}Y^2, Y)$$

$$(X - z^{-1}Y^2, Y)(X, Y + z^2X)(X + z^{-1}Y^2, Y)$$
  
=  $(X - 2(Xz + Y^2)Y - (Xz + Y^2)^2z, Y + (Xz + Y^2)z)$ 

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Thus: N is tame over  $k[z, z^{-1}]$ , i.e. N in TA<sub>2</sub>( $k[z, z^{-1}]$ ).

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Thus: *N* is tame over  $k[z, z^{-1}]$ , i.e. *N* in TA<sub>2</sub>( $k[z, z^{-1}]$ ). Nagata proved: *N* is NOT tame over k[z], i.e. *N* not in TA<sub>2</sub>(k[z]).

$$(X - z^{-1}Y^2, Y)(X, Y + z^2X), (X + z^{-1}Y^2, Y)$$
  
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"Modern" way of making Nagata's map: Take  $\delta := -2Y \frac{\partial}{\partial X} + Z \frac{\partial}{\partial Y}$ , define  $\Delta := (Xz + Y^2)$ ,

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## $GA_n(k)$

## $TA_n(k)$

```
\begin{array}{ll} \mathsf{GA}_n(k) \\ \cup | \\ \mathsf{LF}_n(k) & := < F \in \mathsf{GA}_n(k) \mid deg(F^m) \text{ bounded } > \\ \cup | \\ \mathsf{ELFD}_n(k) & := < \exp(D) \mid D \text{ locally finite derivation } > \\ \cup | \end{array}
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 \begin{aligned} & \operatorname{GLIN}_n(k) & := \operatorname{normalization} \, \operatorname{of} \, \operatorname{GL}_n(k) \\ & ? \cup |? & \operatorname{not} \, \operatorname{equal} \, \operatorname{if} \, \operatorname{char}(k) = 0. \\ & \mathsf{TA}_n(k) \end{aligned}
```

 $GA_n(k)$ U  $LF_n(k) := \langle F \in GA_n(k) | deg(F^m) bounded \rangle$ U  $ELFD_n(k) := < exp(D) | D$  locally finite derivation > U  $GTAM_n(k) := normalization of TA_n(k)$ U  $GLIN_n(k)$  := normalization of  $GL_n(k)$ ? $\cup$ !? not equal if char(k) = 0.  $TA_n(k)$ 

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 $(s \exp(D))$ 

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Where in these groups is Nagata? No conjugate of Nagata is in  $GL_n(k)$  for any field k ! But: recent result: Nagata is *shifted linearizable:* choose  $s \in k$ such that  $s \neq 0, 1, -1$ .

$$\exp(\frac{-s^2}{1-s^2}D)(s\exp(D))\exp(\frac{s^2}{1-s^2}D) = sI$$

Hence: Nagata map is in  $GLIN_3(k)$  ! - If  $k \neq \mathbb{F}_2, \mathbb{F}_3$ , that is !!

How does  $GLIN_n(k)$  compare to  $GTAM_n(k)$ ?

(aX, Y)

$$(X - bf(Y), Y)(aX, Y)(X + bf(Y), Y)$$

$$(a^{-1}X,Y)(X-bf(Y),Y)(aX,Y)(X+bf(Y),Y)$$

$$(a^{-1}X,Y)(X-bf(Y),Y)(a(X+bf(Y)),Y)$$

$$(a^{-1}X,Y)(X-bf(Y),Y)(aX+abf(Y),Y)$$

$$(a^{-1}X,Y)(aX+abf(Y)-bf(Y),Y)$$

$$(X+bf(Y)-a^{-1}bf(Y),Y)$$

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**Question:** How does  $\text{GLIN}_n(\mathbb{F}_2)$  and  $\text{GTAM}_n(\mathbb{F}_2)$  relate?

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will Get Back To That...

What about  $TA_n(k) \subseteq GA_n(k)$  if  $k = \mathbb{F}_q$  is a finite field?

What about  $TA_n(k) \subseteq GA_n(k)$  if  $k = \mathbb{F}_q$  is a finite field? Denote  $\text{Bij}_n(\mathbb{F}_q)$  as set of bijections on  $\mathbb{F}_q^n$ . We have a natural map

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What is  $\pi(GA_n(\mathbb{F}_q))$ ? Can we make every bijection on  $\mathbb{F}_q^n$  as an *invertible* polynomial map?

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What is  $\pi(GA_n(\mathbb{F}_q))$ ? Can we make every bijection on  $\mathbb{F}_q^n$  as an *invertible* polynomial map?

Simpler question: what is  $\pi(TA_n(\mathbb{F}_q))$ ?

Why simpler? Because we have a set of generators!

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Question: what is \pi(T_n(\mathbb{F}_q))?
See Bij<sub>n</sub>(\mathbb{F}_q) as Sym(q^n).
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Question: what is  $\pi(T_n(\mathbb{F}_q))$ ? See Bij<sub>n</sub>( $\mathbb{F}_q$ ) as Sym( $q^n$ ).  $T_n(\mathbb{F}_q)$  is generated by  $\operatorname{GL}_n(\mathbb{F}_q)$  (for which we have a finite set of generators) and maps of the form

$$\sigma_f := (X_1 + f, X_2, \ldots, X_n)$$

where  $f \in \mathbb{F}_q[X_2, \ldots, X_n]$ .

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$$\sigma_{\alpha} := \sigma_{f_{\alpha}}.$$

which is a finite set.

$$\sigma_{\alpha} := (X_1 + f_{\alpha}, X_2, \ldots, X_n)$$

$$\sigma_{\alpha} := (X_1 + f_{\alpha}, X_2, \dots, X_n)$$
  
$$\sigma_i := X_1 \leftrightarrow X_i$$

$$\sigma_{\alpha} := (X_1 + f_{\alpha}, X_2, \dots, X_n)$$
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$$\tau := (aX_1, X_2, \dots, X_n)$$

where  $\langle a \rangle = \mathbb{F}_q^*$ .

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If q = 2 or q odd, then indeed we find a 2-cycle! I will not do that here, but note that  $\tau$  (if p is odd) or  $\sigma_i$  (if q = 2) are odd permutations.

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Hence if q = 2 or q = odd, then  $\pi(T_n(\mathbb{F}_q)) = \text{Sym}(q^n)$ .

Question: what is  $\pi(T_n(\mathbb{F}_q))$ ? Answer: if q = 2 or q = odd, then  $\pi(T_n(\mathbb{F}_q)) = \text{Sym}(q^n)$ .
**Theorem:** H < Sym(m) Primitive + 3-cycle  $\longrightarrow H = \text{Alt}(m)$  or H = Sym(m).

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So let us look for a 3-cycle!

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(1)  $T_n(\mathbb{F}_4) \neq GA_n(\mathbb{F}_4)$ . (2)  $GA_n(\mathbb{F}_4) \neq \langle GTAM_n(\mathbb{F}_4) \rangle$ . (3) (if n = 3:)  $GA_3(\mathbb{F}_4) \neq \langle Aff_3(\mathbb{F}_4), GA_2(\mathbb{F}_4[Z]) \rangle$ .

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GA<sub>n</sub>(𝔽<sub>4</sub>) ≠< GTAM<sub>n</sub>(𝔽<sub>4</sub>) >.
(if n = 3:) GA<sub>3</sub>(𝔽<sub>4</sub>) ≠< Aff<sub>3</sub>(𝔽<sub>4</sub>), GA<sub>2</sub>(𝔽<sub>4</sub>[Z]) >.
So: Start looking for an odd automorphism!!! (Or prove they don't exist)

Question: what is  $\pi(T_n(\mathbb{F}_q))$ ? Answer: if q = 2 or q = odd, then  $\pi(T_n(\mathbb{F}_q)) = \text{Sym}(q^n)$ . Answer: if q = 4, 8, 16, 32, ... then  $\pi(T_n(\mathbb{F}_q)) = \text{Alt}(q^n)$ .

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 $GA_n(\mathbb{F}_3)$   $Bij_n(\mathbb{F}_9)$ 

$$\pi_9$$
:  $GA_n(\mathbb{F}_3)$   $Bij_n(\mathbb{F}_9)$ 

$$\pi_9: \quad \mathsf{GA}_n(\mathbb{F}_3) \quad \longrightarrow \quad \pi_9(\mathsf{GA}_n(\mathbb{F}_3)) \quad \subsetneqq \qquad \mathsf{Bij}_n(\mathbb{F}_9)$$

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Then study the bijection of  $\mathbb{F}_9^3$  given by Nagata - is this bijection in the group  $\pi_9(TA_3(\mathbb{F}_3))$ ?
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Then study the bijection of  $\mathbb{F}_9^3$  given by Nagata - is this bijection in the group  $\pi_9(\mathsf{TA}_3(\mathbb{F}_3))$ ? We put it all in the computer (joint work with R. Willems):... (drums)... unfortunately, yes  $\pi_9(N)$  is in  $\pi_9(\mathsf{TA}_3(\mathbb{F}_3))$ . In fact: **Corollary** 

(of some theorem I proved) Let  $F \in GA_2(\mathbb{F}_q[Z])$ . Then F is tamely mimickable.

Nagata can be mimicked by a tame map for every  $q = p^m$  i.e. exists  $F \in TA_3(\mathbb{F}_p)$  such that  $\pi_q N = \pi_q F$ . Nagata can be mimicked by a tame map for every  $q = p^m$  i.e. exists  $F \in TA_3(\mathbb{F}_p)$  such that  $\pi_q N = \pi_q F$ . Proof is easy once you realize where to look...Remember Nagata's way of making Nagata map? Nagata can be mimicked by a tame map for every  $q = p^m$  i.e. exists  $F \in TA_3(\mathbb{F}_p)$  such that  $\pi_q N = \pi_q F$ . Proof is easy once you realize where to look...Remember Nagata's way of making Nagata map?

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Do the Big Trick, since for  $z \in \mathbb{F}_q$  we have  $z^q = z$ : This almost works - a bit more wiggling necessary (And for the general case, even more work.) However - hope of showing that Nagata is not tame over  $\mathbb Z$  (and  $\mathbb C)$  by proving something like:

However - hope of showing that Nagata is not tame over  $\mathbb{Z}$  (and  $\mathbb{C}$ ) by proving something like: Fix a tame map F. However - hope of showing that Nagata is not tame over  $\mathbb{Z}$  (and  $\mathbb{C}$ ) by proving something like: Fix a tame map F. Consider it modulo all p, where p are big primes. However - hope of showing that Nagata is not tame over  $\mathbb{Z}$  (and  $\mathbb{C}$ ) by proving something like: Fix a tame map F. Consider it modulo all p, where p are big primes. Then F does not behave like Nagata modulo p.

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Another "characteristic 2" anomaly: compare

GTAM_n(\mathbb{F}_2) := normalizer of TA_n(\mathbb{F}_2)

\cup |

GLIN_n(\mathbb{F}_2) := normalizer of GL_n(\mathbb{F}_2)

Is GLIN_2(\mathbb{F}_2) \subsetneqq GTAM_2(\mathbb{F}_2)?

Which maps of the form (X + f(Y), Y) can we find in

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After some trial-and-error:  $f(Y) \in \mathbb{F}_2[Y^2 + Y] + \mathbb{F}_2Y + \mathbb{F}_2$ . In particular - we couldn't make  $(X + Y^3, Y)$ . Is  $GLIN_n(\mathbb{F}_2) \not\subseteq GTAM_n(\mathbb{F}_2)$ ? Can we make  $(X + Y^3, Y, Z)$  in dimension 3 over  $\mathbb{F}_2$ ? Is  $GLIN_n(\mathbb{F}_2) \subsetneqq GTAM_n(\mathbb{F}_2)$ ? Can we make  $(X + Y^3, Y, Z)$  in dimension 3 over  $\mathbb{F}_2$ ? YES! Is  $GLIN_n(\mathbb{F}_2) \subsetneqq GTAM_n(\mathbb{F}_2)$ ? Can we make  $(X + Y^3, Y, Z)$  in dimension 3 over  $\mathbb{F}_2$ ? YES! We can make all affine ones (not that hard). Is  $\operatorname{GLIN}_n(\mathbb{F}_2) \not\subseteq \operatorname{GTAM}_n(\mathbb{F}_2)$ ? Can we make  $(X + Y^3, Y, Z)$  in dimension 3 over  $\mathbb{F}_2$ ? YES! We can make all affine ones (not that hard). Now  $(X + Y^iZ, Y, Z)(X, Y, Z + 1)(X + Y^iZ, Y, Z) =$  $(X + Y^i, Y, Z)$ . So:  $\operatorname{GTAM}_n(\mathbb{F}_2) \subset \operatorname{GLIN}_{n+1}(\mathbb{F}_2)$ . Is  $GLIN_n(\mathbb{F}_2) \subsetneq GTAM_n(\mathbb{F}_2)$ ? Can we make  $(X + Y^3, Y, Z)$  in dimension 3 over  $\mathbb{F}_2$ ? YES! We can make all affine ones (not that hard). Now  $(X + Y^{i}Z, Y, Z)(X, Y, Z + 1)(X + Y^{i}Z, Y, Z) =$  $(X + Y^i, Y, Z)$ . So:  $\text{GTAM}_{n}(\mathbb{F}_{2}) \subset \text{GLIN}_{n+1}(\mathbb{F}_{2})$ . But - we run into other monomials that we cannot make: (X + YZ, Y, Z)

**Theorem:**  $GLIN_n(\mathbb{F}_2) \subseteq GTAM_n(\mathbb{F}_2)$ .

# **Theorem:** $GLIN_n(\mathbb{F}_2) \subsetneq GTAM_n(\mathbb{F}_2)$ . **Proof.**

**Theorem:**  $GLIN_n(\mathbb{F}_2) \not\subseteq GTAM_n(\mathbb{F}_2)$ . **Proof.** Remember,  $\pi_2(TA_n(\mathbb{F}_2)) = Sym(2^n)$ , as  $\mathbb{F}_2$  was the exception to the exception. **Theorem:**  $GLIN_n(\mathbb{F}_2) \subsetneq GTAM_n(\mathbb{F}_2)$ .

**Proof.** Remember,  $\pi_2(TA_n(\mathbb{F}_2)) = \text{Sym}(2^n)$ , as  $\mathbb{F}_2$  was the exception to the exception.

Now, notice that if  $n \geq 3$ , then any element of  $GL_n(\mathbb{F}_2)$  is even.

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Now, notice that if  $n \ge 3$ , then any element of  $\operatorname{GL}_n(\mathbb{F}_2)$  is even. Hence  $\pi_2(\operatorname{GLIN}_n(\mathbb{F}_2)) \subseteq \operatorname{Alt}(2^n)$ . If n = 2, then (X + Y, Y) is odd, unfortunately.

**Theorem:**  $GLIN_n(\mathbb{F}_2) \subsetneqq GTAM_n(\mathbb{F}_2)$ .

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$$\frac{\#\pi_4(\mathsf{GLIN}_2(\mathbb{F}_2))}{\#\pi_4(\mathsf{GTAM}_2(\mathbb{F}_2))} = 2.$$

End proof.

• 
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 if  $q$  odd,  $q = 2$ .  
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   \*\*\* THANK YOU \*\*\*
   (for watching 175 slides...)