

Pacific Journal of Mathematics

INVARIANT SUBMODULES OF UNIMODULAR HERMITIAN FORMS

DONALD GORDON JAMES

INVARIANT SUBMODULES OF UNIMODULAR HERMITIAN FORMS

D. G. JAMES

Let M be a unimodular lattice on an indefinite hermitian space over an algebraic number field. The submodules of M invariant under the action of the special unitary group of M are classified. Generators for the local unitary groups of M are also determined.

1. Introduction. Let F be an algebraic number field of finite degree and K a quadratic extension of F . Let V be an indefinite hermitian space over K of finite dimension $n \geq 3$ and $\Phi: V \times V \rightarrow K$ the associated nondegenerate hermitian form on V with respect to the nontrivial automorphism of K over F . Assume V supports a unimodular lattice M (in the sense of O'Meara [7; § 82G] for quadratic spaces). Denote by $U(V)$ the unitary group of V and by $U(M)$ the subgroup of isometries in $U(V)$ that leave M invariant. We will classify the sublattices of M that are invariant under the action of the special unitary group $SU(M)$. The problem is first solved locally; the global result is then obtained by applying the approximation theorem of Shimura [8; 5.12].

We now consider localization (see also [2; § 2] and [8]). Let \mathfrak{p} be a finite prime spot of F and $F_{\mathfrak{p}}$ the corresponding local field. Put $K_{\mathfrak{p}} = K \otimes_F F_{\mathfrak{p}}$ and $V_{\mathfrak{p}} = V \otimes_F F_{\mathfrak{p}}$. Making the standard identifications, we have $K \subseteq K_{\mathfrak{p}}$, $F_{\mathfrak{p}} \subseteq K_{\mathfrak{p}}$ and $V \subseteq V_{\mathfrak{p}}$. The hermitian form Φ on V extends naturally to an hermitian form on $V_{\mathfrak{p}}$. Let \mathfrak{o} be the ring of integers in F , $\mathfrak{o}_{\mathfrak{p}}$ the (topological) closure of \mathfrak{o} in $F_{\mathfrak{p}}$ and $\mathfrak{O}_{\mathfrak{p}}$ the integral closure of $\mathfrak{o}_{\mathfrak{p}}$ in $K_{\mathfrak{p}}$. Put $M_{\mathfrak{p}} = \mathfrak{O}_{\mathfrak{p}} M \subseteq V_{\mathfrak{p}}$. Locally, we must study the submodules of $M_{\mathfrak{p}}$ invariant under the action of $SU(M_{\mathfrak{p}})$. Except when $K_{\mathfrak{p}}$ is a ramified extension of a dyadic field $F_{\mathfrak{p}}$, the classification will be trivial. For ramified dyadic extensions, it is necessary to determine a set of generators of $U(M_{\mathfrak{p}})$ before the classification can be determined.

We now state the main results.

THEOREM A. *Let M be a unimodular lattice on an indefinite hermitian space of dimension $n \geq 3$ over an algebraic number field. Then a sublattice N of M is invariant under the action of the special unitary group $SU(M)$ if and only if for all finite prime spots \mathfrak{p} of F , the localization $N_{\mathfrak{p}} = \mathfrak{O}_{\mathfrak{p}} N$ is invariant under the ac-*

tion of $SU(M_p)$.

For x in V_p , define $2q(x) = \Phi(x, x)$, and let M_{p^*} be the sublattice of M_p generated by the x in M_p with $q(x)$ in \mathfrak{o}_p . Let

$$M_p^* = \{x \in V_p \mid \Phi(x, M_{p^*}) \subseteq \mathfrak{D}_p\}$$

be the dual lattice of M_{p^*} . Then $M_{p^*} \subseteq M_p \subseteq M_p^*$ and, except when K_p is a ramified extension of a dyadic local field F_p , we will show later that $M_{p^*} = M_p^*$. A sublattice N_p of M_p^* is called primitive if N_p is not contained in πM_p^* for any prime element $\pi \in \mathfrak{D}_p$. Clearly, if N_p is invariant under $SU(M_p)$, the lattice $\mathfrak{a}_p N_p$ is also invariant for any fractional ideal \mathfrak{a}_p in \mathfrak{D}_p . It is therefore enough to classify locally the primitive invariant sublattices of M_p^* .

THEOREM B. *A primitive sublattice N_p of M_p^* is invariant under the action of $SU(M_p)$ if and only if $M_{p^*} \subseteq N_p$, except when the following three conditions all apply:*

- (i) K_p is a totally ramified extension of the 2-adic field \mathbb{Q}_2 ,
- (ii) K_p is a ramified prime extension of F_p ,
- (iii) $\dim V_p = 3$ or 4.

In particular, except when K_p is a ramified extension of a dyadic field F_p , the only primitive invariant lattice is M_p .

Theorem B will be proven for the various cases in §§2-4 and the exceptional 3 and 4 dimensional cases studied in §5. Theorem A is established in the final section. The special case where F is the field of rational numbers is also studied in detail.

The approach here follows that given for quadratic spaces in [5] and [6].

2. Local isometries. In this and next three sections we are only concerned with local problems.

The structure of \mathfrak{D}_p over \mathfrak{o}_p depends on the prime p . If p splits in K , then $K_p = F_p \times F_p$ and $\mathfrak{D}_p = \mathfrak{o}_p \times \mathfrak{o}_p$. In this case the involution $*$ on K becomes $(\alpha, \beta)^* = (\beta, \alpha)$ on K_p . If p does not split in K , we may take $K_p = F_p(\zeta)$ where $\zeta^2 \in F_p$ and $\zeta^* = -\zeta$. Fix a prime π in K_p and p in F_p and let $e = \text{ord}_p 2$. If p is dyadic, there are now three possible types of extensions of K_p over F_p ; the details are an application of [7; 63.2, 63.3].

(i) K_p is an unramified extension of F_p . Then $\zeta^2 = 1 + 4\delta$ with δ a unit in F_p and \mathfrak{D}_p consists of all the elements $(\alpha + \zeta\beta)/2$ with $\alpha, \beta \in \mathfrak{o}_p$ and $\alpha \equiv \beta \pmod{2\mathfrak{o}_p}$.

(ii) K_p is a ramified extension of F_p and ζ is a prime in K_p —the ramified prime case. Now we may assume $\pi = \zeta$, $p = \pi\pi^*$ and \mathfrak{O}_p is generated over \mathfrak{o}_p by 1 and π .

(iii) K_p is a ramified extension of F_p and ζ is a unit in K_p —the ramified unit case. We now have $\zeta^2 = 1 + p^{2h+1}\delta$ for some unit δ in F_p and some rational integer h with $0 \leq h < e$. Put $\pi = (1 + \zeta)p^{-h}$ so that $\pi\pi^* = -p\delta$. Here \mathfrak{O}_p consists of the elements $(\alpha + \zeta\beta)p^{-h}$ with $\alpha, \beta \in \mathfrak{o}_p$ and $\alpha \equiv \beta \pmod{p^h\mathfrak{o}_p}$.

In the nondyadic (nonsplit) case \mathfrak{O}_p is generated over \mathfrak{o}_p by 1 and ζ provided we choose ζ to be a prime or a unit according as the extension is ramified or not.

Thus if K_p/F_p is a quadratic extension of fields, \mathfrak{O}_p consists of the elements $(\alpha + \zeta\beta)p^{-h}$ with $\alpha, \beta \in \mathfrak{o}_p$ and $\alpha \equiv \beta \pmod{p^h\mathfrak{o}_p}$, where we define $h = 0$ in the nondyadic and ramified prime dyadic cases, and $h = e$ in the unramified dyadic case.

Since M_p is a unimodular \mathfrak{O}_p -lattice with rank at least three, it is split by a hyperbolic plane (if \mathfrak{p} splits in K this can be easily verified, otherwise see [4; 7.1, 8.1a, 10.3]). Hence $M_p = H_p \perp L_p$ where $H_p = \mathfrak{O}_p u + \mathfrak{O}_p v$ is a hyperbolic plane with $q(u) = q(v) = 0$ and $\Phi(u, v) = 1$. This choice of u and v will be fixed throughout the local discussion.

We now describe the standard isometries in the unitary group $U(M_p)$ that are needed. The norm and trace mappings from K_p to F_p are denoted by \mathcal{N} and \mathcal{T} , respectively, and our convention for the hermitian form Φ on V_p is $\Phi(\alpha x, \beta y) = \alpha^* \Phi(x, y) \beta$.

Let λ in \mathfrak{O}_p have $\mathcal{T}(\lambda) = 0$. The transvection $T_\lambda(u)$ is defined by

$$T_\lambda(u)(z) = z + \lambda \Phi(u, z)u, \quad z \in M_p.$$

Then $\det T_\lambda(u) = 1$ so that $T_\lambda(u)$ is in $SU(M_p)$. Similarly, $T_\lambda(v) \in SU(M_p)$.

Let λ in K_p satisfy $\mathcal{T}(\lambda) = 2\mathcal{N}(\lambda)$. For x in M_p with $\lambda q(x)^{-1}$ in \mathfrak{O}_p , define the symmetry $\Psi_\lambda(x)$ by

$$\Psi_\lambda(x)(z) = z - \lambda \Phi(x, z)q(x)^{-1}x, \quad z \in M_p.$$

Then $\det \Psi_\lambda(x) = 1 - 2\lambda$ and $\Psi_\lambda(x) \in U(M_p)$.

Recall that M_{p^*} is the sublattice of M_p generated by those x in M_p with $q(x) \in \mathfrak{o}_p$. Since $2q(x) = \Phi(x, x)$, in the nondyadic case $M_{p^*} = M_p$. This is also true when \mathfrak{p} splits in K ; for the involution on $K_p = F_p \times F_p$ is given by $(\alpha, \beta)^* = (\beta, \alpha)$, so that for x in M_p ,

$$q((1, 0)x) = \mathcal{N}(1, 0)q(x) = 0.$$

Thus $(1, 0)x \in M_{p^*}$ and $x = (1, 1)x$ is in M_{p^*} .

PROPOSITION 2.1. *Let F_p be a dyadic local field with p not split in K . Then*

$$M_{p^*} = \{x \in M_p \mid p^h q(x) \in \mathfrak{o}_p\}.$$

In particular, $M_{p^} = M_p$ when K_p is an unramified extension of F_p .*

Proof. Let S be the set of all elements x in M_p with $p^h q(x)$ in \mathfrak{o}_p . Since $\mathcal{S}(\mathfrak{D}_p) \subseteq 2p^{-h}\mathfrak{o}_p$ and

$$q(x + y) = q(x) + q(y) + \mathcal{S}(\Phi(x, y))/2,$$

it follows that S is an \mathfrak{D}_p -module. Hence $M_{p^*} \subseteq S$. We now prove the converse inclusion. For x in S , let $x = y + z$ with $y \in H_p$ and $z \in L_p$. Clearly, u, v and consequently y are in S . Therefore, $z = x - y$ is in S and $p^h q(z) \in \mathfrak{o}_p$. Let $w = u - \alpha v + z$ where $\alpha = q(z)(1 + \zeta)$ is in \mathfrak{D}_p . Then $q(w) = 0$ and $w \in M_{p^*}$. Hence $z \in M_{p^*}$ and $S \subseteq M_{p^*}$, proving the proposition.

Fix μ in \mathfrak{D}_p such that $\mathcal{S}(\mu) = 2$. For x in L_p with $\mu q(x)$ in \mathfrak{D}_p , define the Siegel transformation $E(u, x)$ by

$$E(u, x)(z) = z - \Phi(u, z)x + \Phi(x, z)u - \mu q(x)\Phi(u, z)u.$$

Then $\det E(u, x) = 1$ and $E(u, x)$ is in $SU(M_p)$. Similarly, define $E(v, x)$. Fix $\mu = 1$ except when F_p is dyadic and K_p is either an unramified or a ramified unit extension of F_p . In these exceptional cases fix $\mu = 1 + \zeta \in p^h \mathfrak{D}_p$. Except for the split dyadic case, it is now sufficient to choose x in $L_p \cap M_{p^*}$ for $E(u, x)$ to be an integral isometry. Let \mathcal{E} be the subgroup of $SU(M_p)$ generated by the Siegel transformations.

In the following three sections we classify locally the primitive sublattices of M_p^* invariant under the action of the special unitary group $SU(M_p)$. We conclude this section with three observations. Assume that p does not split in K .

2.2. *Any lattice N_p satisfying $M_{p^*} \subseteq N_p \subseteq M_p^*$ is invariant under the action of \mathcal{E} .*

Proof. Let $z \in N_p$ and $x \in L_p \cap M_{p^*}$. Then $\Phi(x, z) \in \mathfrak{D}_p$ and

$$E(u, x)(z) \equiv z \pmod{M_{p^*}}.$$

Hence $E(u, x)(z)$ and, likewise, $E(v, x)(z)$ lies in N_p . The result follows.

2.3. *If N_p is invariant under $SU(M_p)$ and $u \in N_p$ or $v \in N_p$, then $M_{p^*} \subseteq N_p$.*

Proof. For any x in L_p with $q(x)^{-1}$ in \mathfrak{D}_p , we have $\Psi_1(u - v)\Psi_1(x)$

is in $SU(M_p)$. This isometry interchanges u and v , so that $H_p \subseteq N_p$. Let $y \in L_p \cap M_{p^*}$. Then $E(u, y)(v)$ is in N_p and hence $y \in N_p$. Thus $M_{p^*} \subseteq N_p$.

2.4. Assume either K_p is an unramified extension of F_p or F_p is a nondyadic field. Then M_p is the unique primitive sublattice invariant under the action of $SU(M_p)$.

Proof. Let N_p be a primitive invariant sublattice. It suffices by 2.3 to show that $u \in N_p$, since under our assumptions $M_{p^*} = M_p$. Since $N_p \not\subseteq \pi M_p$, there exists z in N_p with $z \notin \pi M_p$. Let $z = \alpha u + \beta v + t$ where $t \in L_p$. If α and β are nonunits, there exists r in L_p such that $\Phi(r, t) = 1$ (since $z \notin \pi M_p^*$). The coefficient of v in $E(v, r)(z) \in N_p$ is now a unit. Assume, therefore, $\beta = 1$ (or symmetrically, $\alpha = 1$). If $K_p = F_p(\zeta)$ is an unramified extension of F_p , ζ is a unit. Then $T_\zeta(u)(z) = z + \zeta u$ is in N_p . Hence $u \in N_p$ and the result follows. Now assume F_p is a nondyadic field. Then $E(u, t)(z) = \gamma u + v$ is in N_p for some γ in \mathfrak{O}_p . Let $w \in L_p$ have $q(w)$ a unit. Applying $E(u, \rho w)$ to $\gamma u + v \in N_p$ with $\rho = 1, -1$ gives $\rho w + q(w)u$ is in N_p . Since 2 is now a unit, it follows that u is in N_p and hence $N_p = M_p$.

Theorem B has now been established except when either \mathfrak{p} splits in K , or K_p is a ramified extension of a dyadic field F_p .

3. Split extensions. Assume \mathfrak{p} splits in K so that $K_p = F_p \times F_p$ and $\mathfrak{O}_p = \mathfrak{o}_p \times \mathfrak{o}_p$. Let N_p be a primitive invariant sublattice of $M_p^* = M_p = H_p \perp L_p$. We wish to prove $N_p = M_p$. Since $N_p \not\subseteq \pi M_p$ for any prime element π in \mathfrak{O}_p , there exists $x \in N_p$ with $x \notin \pi M_p$. Let $x = \alpha u + \beta v + t$ with $t \in L_p$. If β (or α) is a unit in \mathfrak{O}_p , we may assume $\beta = 1$. Then, since $\mathcal{S}(1, -1) = 0$, it follows that

$$T_{(1, -1)}(u)(x) = x + (1, -1)u$$

is in N_p . Thus $(1, -1)u$ and u are in N_p . As in 2.3, we now have $H_p \subseteq N_p$. Let $y \in L_p$. Then $E(u, (1, 0)y)(v)$ is in N_p . Hence $(1, 0)y$, and likewise $(0, 1)y$, are in N_p . Consequently, $y \in N_p$ and $N_p = M_p$.

Now assume that neither $\alpha = (\alpha_1, \alpha_2)$ nor $\beta = (\beta_1, \beta_2)$ is a unit. If α_1 is a unit in \mathfrak{o}_p , replacing x by $T_{(1, -1)}(v)(x)$ if necessary, we may assume β_1 is also a unit. Hence, unless both α_1 and β_1 are nonunits, or both α_2 and β_2 are nonunits, we arrange that β becomes a unit in \mathfrak{O}_p and we are finished. Assume, therefore, $\alpha_1, \beta_1 \in \mathfrak{p}\mathfrak{o}_p$. Since $x \notin \pi M_p$, there exists y in M_p such that $\Phi(x, y) = (1, 1)$. Hence, there exists $r \in L_p$ such that $\Phi(t, r) = (?, 1)$. In $E(u, (0, 1)r)(x)$ the new coefficient of u has first component a unit. The second component is unchanged. We can thus arrange that β becomes a unit in \mathfrak{O}_p , and consequently $N_p = M_p$.

4. **Ramified dyadic extensions.** Now let K_v be a ramified extension of the dyadic field F_v . Before classifying the primitive invariant sublattices in this case it is necessary to determine a set of generators for $U(M_v)$. Special cases have already appeared in the work of Baeza [1] and Hayakawa [3], but it appears better to modify the approach in [5].

By [4; 10.3], we can split hyperbolic planes and write

$$M_v = H_v \perp J_v \perp B_v$$

where J_v is an orthogonal sum of hyperbolic planes and rank $B_v \leq 2$. Then J_v has dual bases w_1, \dots, w_m and z_1, \dots, z_m such that $\Phi(w_i, z_j) = \delta_{ij}$, $1 \leq i, j \leq m$. Recall that \mathcal{E} is the subgroup of $SU(M_v)$ generated by the Siegel transformations defined in § 2.

PROPOSITION 4.1. $U(M_v)$ is generated by \mathcal{E} and $U(H_v \perp B_v)$.

Proof. Let $\varphi \in U(M_v)$. We reduce φ to the identity using the given isometries. Let w_1, \dots, w_m and z_1, \dots, z_m be dual bases of J_v , as above, and assume for some $k \leq m$ that $\varphi(w_j) = w_j$, $1 \leq j \leq k-1$ (at worst, $k=1$). Let

$$\varphi(u + w_k) = \varepsilon u + \beta v + t$$

where $t \in J_v \perp B_v$. We want ε to be a unit. Assume ε is not a unit. If β is a unit, use the isometry in $U(H_v)$ which interchanges u and v . If β is not a unit, let $\varphi(z_k)$ have component r in $J_v \perp B_v$. Then $\Phi(t, r)$ is a unit. Since $z_k \in M_{v^*}$, it follows that $r \in M_{v^*}$. Also, $\Phi(r, w_j) = \Phi(\varphi(z_k), \varphi(w_j)) = 0$ for $1 \leq j \leq k-1$. Now replace φ by $E(u, r)\varphi$ and the new coefficient of u is a unit.

We may now assume ε is a unit. Let $s = t - w_k$. Then

$$\Phi(s, w_j) = \Phi(\varphi(u + w_k) - w_k, w_j) = 0$$

for $1 \leq j \leq k-1$. Also, since $q(t) \equiv q(w_k) \pmod{p^{-h}\mathfrak{o}_v}$, we have $s \in M_{v^*}$. Put

$$\psi = E(u, -\varepsilon^* z_k) T_\lambda(v) E(v, \varepsilon^{-1} s) \varphi E(u, z_k)$$

where $\lambda \in \mathfrak{D}_v$ is to be chosen subject to the restraint $\mathcal{F}(\lambda) = 0$. Then $\psi(w_j) = w_j$ for $1 \leq j \leq k-1$. Choose λ such that

$$E(v, \varepsilon^{-1} s) \varphi E(u, z_k)(w_k) = \varepsilon(u - \lambda v) + w_k.$$

Then $\mathcal{F}(\lambda) = 0$ and $\psi(w_k) = w_k$. If ψ is generated by the given isometries, so is φ . The result now follows by induction on k .

This proposition reduces the question of generators for $U(M_v)$ to

the cases $\text{rank } M_p = 3, 4$. It can be easily verified that $U(H_p)$ is generated by symmetries and transvections. Also, if $\text{rank } B_p = 2$ the basis w, z of B_p can be chosen such that $\Phi(w, z) = 1$ and $z \in M_{p^*}$ (see [4; 9.2]).

THEOREM 4.2. $U(M_p)$ is generated by \mathcal{E} , $U(H_p)$ and symmetries on B_p .

Proof. We need only consider $\text{rank } M_p = 3, 4$.

(i) Let $\text{rank } M_p = 4$ and $M_p = H_p \perp B_p$ with B_p having a basis as above. We reduce φ in $U(M_p)$ to the identity using the given isometries. From the proof of Proposition 4.1, we may assume $\varphi(w) = w$. In fact, if $w \in M_{p^*}$, the proposition proves the theorem. Now assume $w \notin M_{p^*}$. Put $r = w - 2q(w)z$ so that $\Phi(r, w) = 0$. Then

$$\varphi(z) = \alpha u + \beta v + z + \gamma r$$

for some α, β in \mathfrak{O}_p and γ in $\pi\mathfrak{O}_p$ ($\gamma r \in M_{p^*}$). Let

$$\mathcal{M}_z = \{x \in M \mid \Phi(x, z) = 1\} = w + H_p \perp \mathfrak{O}_p(z - 2q(z)w)$$

be the characteristic set of z (cf. [5; p. 429]). Then

$$q(\mathcal{M}_{\varphi(z)}) = q(\mathcal{M}_z) \equiv q(w) \pmod{p^{-h}\mathfrak{o}_p}.$$

Since $(1 - \alpha^*)w + v$ is in $\mathcal{M}_{\varphi(z)}$, it follows that $q(\alpha w) \in p^{-h}\mathfrak{o}_p$ and hence $\alpha w \in M_{p^*}$. Similarly, $\beta w \in M_{p^*}$. Interchanging u and v if necessary, we have $\beta = \alpha\lambda$ with $\lambda = (\lambda_1 + \lambda_2\zeta)p^{-h}$ in \mathfrak{O}_p and $\lambda_1 \equiv \lambda_2 \pmod{p^h}$. Using a transvection, we can then arrange that $\lambda \in \mathfrak{o}_p$ in the ramified prime case and $\lambda \in \pi\mathfrak{o}_p$ in the ramified unit case. In the ramified prime case the proof can be completed by modifying the argument in [5; 2.4]; the symmetry on B_p needed is $\Psi_\delta(r)$ with $\delta \in \mathcal{O}_p$. In the ramified unit case we proceed as follows. The coefficient of v in $E(v, \xi r)\varphi(z)$ is zero if

$$\alpha\lambda + \xi^*\Phi(r, z + \gamma r) = \mu q(\xi r)\alpha.$$

Here $\mu = 1 + \zeta = \pi p^h$ and $\varepsilon = \Phi(r, z + \gamma r)$ is a unit. By Hensel's lemma there exists a root ξ of the form $\xi = \varepsilon\pi^*\alpha^*\rho$ with ρ in \mathfrak{o}_p . Similarly, the coefficient of u can be made zero and we may assume $\varphi(z) = z + \gamma r$. Put $\delta = \gamma q(w) = -\gamma q(r)\Phi(z, r)^{-1}$. Then $\mathcal{J}(\delta) = 2\mathcal{N}(\delta)$ and $\Psi_\delta(r)^{-1}\varphi$ acts as the identity on both w and z . This completes the proof in this case.

(ii) Let $\text{rank } M_p = 3$ and $M_p = H_p \perp \mathfrak{O}_p w$ where $2q(w)$ is a unit. Again, we can reduce φ in $U(M_p)$ to the identity by the isometries. Let

$$\varphi(w) = \alpha(u + \lambda v) + \eta w$$

where η is a unit. Moreover, as in the previous case, we may assume λ is in $\pi\mathfrak{o}_p$ (resp. \mathfrak{o}_p) in the ramified unit (resp. prime) case. Since

$$q(\mathfrak{D}_p\varphi(w)^\perp) = q(\mathfrak{D}_pw^\perp) = q(H_p) \subseteq p^{-h}\mathfrak{o}_p,$$

it follows that $\alpha w \in M_{p^*}$. Using Siegel transformations we can reduce to the case $\varphi(w) = \varepsilon w$, although in the ramified prime case it is necessary to use the fact that $\mathcal{N}(\eta) \equiv 1 \pmod{4}$ and hence $\mathcal{N}(\eta)$ is a square. Finally, since $\mathcal{N}(\varepsilon) = 1$, putting $\delta = (1 - \varepsilon)/2$ gives $\mathcal{J}(\delta) = 2\mathcal{N}(\delta)$ and $\Psi_\delta(w)^{-1}\varphi$ fixes w . This completes the proof.

COROLLARY 4.3. *Except in the ramified unit case with the rank of M_p even, all lattices N_p satisfying*

$$M_{p^*} \subseteq N_p \subseteq M_p^*$$

are invariant under the action of $U(M_p)$.

Proof. This follows from 2.2 and the easily verified fact that $U(H_p)$ and the symmetries used in the proof of the theorem preserve such N_p .

COROLLARY 4.4. *In the ramified unit case with rank M_p even, all lattices between M_{p^*} and M_p^* are $SU(M_p)$ -invariant.*

Proof. Symmetries Ψ_δ in $U(H_p)$ have $p^h\delta \in \mathfrak{D}_p$ and $\det \Psi_\delta \equiv 1 \pmod{2p^{-h}}$. Hence, for φ in $SU(M_p)$ in the proof of Theorem 2.2, the only symmetries $\Psi_\delta(r)$ on B_p needed will also have $p^h\delta \in \mathfrak{D}_p$. These symmetries leave invariant lattices between M_{p^*} and M_p^* .

We now investigate the converse. Let N_p be a primitive $SU(M_p)$ -invariant sublattice of M_p^* . As in 2.4, there exists $x = \alpha u + v + t$ in N_p with $t \in L_p^*$ (letting $M_p^* = H_p \perp L_p^*$). In the ramified unit case ζ is a unit and $\mathcal{J}(\zeta) = 0$. Since $T_\zeta(u)(x) \in N_p$, it follows that $\zeta u \in N_p$. By 2.3, $M_{p^*} \subseteq N_p$, completing the proof of Theorem B in this case. Finally, the ramified prime case. If $\dim V_p \geq 5$, then L_p is split by a hyperbolic plane $H'_p = \mathfrak{D}_pu' + \mathfrak{D}_pv'$. Applying $E(u, u')$ to x , we obtain $u' - \Phi(u', t)u$ is in N_p . Applying $E(u, v')$ now gives $u \in N_p$ and hence $M_{p^*} \subseteq N_p$. Assume, therefore, the rank of M_p is 3 or 4 and that the residue class field of F_p has at least four elements. Let ε be a unit in F_p with $\varepsilon^2 \not\equiv 1 \pmod{p}$. The proof of Theorem B is now easily completed by using the isometry $u \mapsto \varepsilon u$, $v \mapsto \varepsilon^{-1}v$ on x to obtain $v \in N_p$. The exceptional case is studied in the next section.

5. Exceptional invariant lattices. In this section F_p is a totally ramified extension of the 2-adic field \mathbb{Q}_2 and K_p is a ramified prime

extension of F_p . Thus the residue class fields of both F_p and K_p have only two elements.

We consider first the case with $\dim V_p = 3$ so that $M_p = H_p \perp \mathfrak{O}_p w$. Then $M_{p^*} = H_p \perp \mathfrak{O}_p \pi^e w$ and $M_p^* = H_p \perp \mathfrak{O}_p \pi^{-e} w$ where $e = \text{ord}_p 2$. There are now two new invariant lattices

$$E_p = \pi M_p^* + \mathfrak{O}_p(u + v + \pi^{-e} w)$$

and its dual E_p^* . It can be easily verified using the generators in Theorem 4.2 that E_p is a $SU(M_p)$ -invariant lattice; it follows that the dual E_p^* is also invariant.

Let N_p be a primitive invariant sublattice of M_p^* . As in the proof of 2.4, there exists an element $x = \alpha u + v + \beta w$ in N_p with α and $\pi^e \beta$ in \mathfrak{O}_p . Since $\pi = \zeta$, $T_\pi(u)(x)$ is in N_p . Hence $\pi M_{p^*} \subseteq N_p$. Assume first that $\pi^e \beta$ is a unit. Then $\pi x \in N_p$ forces $\pi^{1-e} w \in N_p$ and $\pi M_p^* \subseteq N_p$. If α is not a unit, then the image of $v + \pi^{-e} w$ under $E(v, \pi^e w)$ is in N_p . Hence $v \in N_p$ and $M_{p^*} \subseteq N_p$. Assume, therefore, $\alpha \equiv 1 \pmod{\pi}$. We have now shown, when $\pi^e \beta$ is a unit, $E_p \subseteq N_p$. Moreover, $E_p \neq N_p$ forces $M_{p^*} \subseteq N_p$. Now assume $\pi^e \beta$ is not a unit and apply $E(u, \pi^e w)$ to x . This gives $u + \pi^e w$ is in N_p . The isometry $u \mapsto v$, $v \mapsto u$, $w \mapsto -w$ is in $SU(M_p)$. Hence both $v - \pi^e w$ and $u + v$ are in N_p . Define

$$G_p = \pi M_{p^*} + \mathfrak{O}_p(u + v) + \mathfrak{O}_p(v + \pi^e w).$$

Then $\pi^{-1} G_p = E_p^*$, the dual lattice of E_p . Now, if $\pi^e \beta$ is not a unit, $G_p \subseteq N_p$ and if $G_p \neq N_p$, necessarily $M_{p^*} \subseteq N_p$. In summary,

5.1. *The only exceptional three dimensional invariant lattices are of the form $\mathfrak{a}_p E_p$ and $\mathfrak{a}_p E_p^*$, with \mathfrak{a}_p a fractional ideal in K_p .*

Now consider the more complicated situation when $\dim V = 4$ and $M_p = H_p \perp B_p$ with w, z a basis of B_p having $\Phi(w, z) = 1$ and $z \in M_{p^*}$. Let f be the minimal integer such that $\pi^f w$ is in M_{p^*} . Then

$$M_{p^*} = H_p \perp (\mathfrak{O}_p \pi^f w + \mathfrak{O}_p z).$$

If $f = 0$, then $M_{p^*} = M_p$ and it is easily verified that M_p is the only primitive invariant lattice. Assume, therefore, $1 \leq f \leq e$. Now z can be chosen with $q(z)$ in po_p . For $1 \leq g \leq f$, define

$$E(g)_p = \pi M_{p^*} + \mathfrak{O}_p \pi^g w + \mathfrak{O}_p(u + v + \pi^{-f} z)$$

and

$$G(g)_p = \pi M_{p^*} + \mathfrak{O}_p(u + v) + \mathfrak{O}_p \pi^{1-g} z + \mathfrak{O}_p(u + \pi^f w).$$

Then $G(g)_p = \pi^{-1} E(g)_p^*$ and using Theorem 4.2 we can check that these

lattices are all $SU(M_p)$ -invariant. However, except when $f=1$, these are not the only new invariant lattices that arise. We shall only consider $f=1$ in detail; this includes the case where 2 is prime in F_p .

Let N_p be a primitive $SU(M_p)$ -invariant sublattice of M_p^* . Again N_p contains an element $x = \alpha u + v + \beta w + \gamma z$ with α, β and $\pi^f \gamma$ in \mathfrak{O}_p . Applying $T_\pi(u)$ to x gives $\pi u \in N_p$ and hence $\pi M_p^* \subseteq N_p$. Since $E(u, z)(x)$ is in N_p , we can conclude that β is in $\pi \mathfrak{O}_p$ and z is in N_p , for otherwise $M_p^* \subseteq N_p$. Assume first that γ is in $\pi^{1-f} \mathfrak{O}_p$. Then $E(u, \pi^f w)(x) \in N_p$ gives $u + \pi^f w$ and $u + v$ are both in N_p . Hence $G(1)_p \subseteq N_p$. If $f=1$ and $G(1)_p \neq N_p$, necessarily $M_p^* \subseteq N_p$. Now assume $\pi^f \gamma$ is a unit. Then $E(u, \pi^f w)(x) \in N_p$ gives $\pi^f w \in N_p$. If α is a nonunit, applying $E(v, \pi^f w)$ to x leads to $M_p^* \subseteq N_p$. Hence $\alpha \equiv 1 \pmod{\pi}$ and now $u + v + \beta w + \pi^{-f} z$ is in N_p with $\beta \in \pi \mathfrak{O}_p$. Again, if $f=1$, this gives $E(1)_p \subseteq N_p$ and, if $E(1)_p \neq N_p$, necessarily $M_p^* \subseteq N_p$. Hence,

5.2. *For $f=1$ the only exceptional four dimensional invariant lattices are of the form $\alpha_p E(1)_p$ and $\alpha_p E(1)_p^*$, with α_p a fractional ideal in K_p .*

For $f \geq 2$, the analysis of the exceptional lattices is more complicated, but could be carried out in the above manner.

6. Global results. We start by proving Theorem A; in fact, this result remains valid even if M is not unimodular.

First let N be a $SU(M)$ -invariant sublattice of M . We must prove $N_p = \mathfrak{O}_p N$ is $SU(M_p)$ -invariant at all finite prime spots p of F . Fix a finite prime spot q and an isometry ψ_q in $SU(M_q)$. By the approximation theorem of Shimura [8; 5.12], there exists a φ in $SU(V)$ with local extension φ_q close to ψ_q at the spot q and $\varphi_p(M_p) = M_p$ elsewhere. Since $\psi_q(M_q) = M_q$, we have $\varphi_q(M_q) = M_q$ if φ_q is sufficiently close to ψ_q and hence $\varphi(M) = M$. Thus φ is in $SU(M)$ and hence $\varphi(N) = N$. Therefore, $\varphi_q(N_q) = N_q$ and if φ_q is sufficiently close to ψ_q , necessarily N_q is invariant under ψ_q .

Conversely, let N be a lattice in M with $N_p = \mathfrak{O}_p N$ a $SU(M_p)$ -invariant lattice at all finite prime spots p . We must prove $\varphi(N) = N$ for all φ in $SU(M)$. Clearly, however, $\varphi_p \in SU(M_p)$ so that $\varphi(N)_p = \varphi_p(N_p) = N_p$. The result now follows as in O'Meara [7; § 81E]. Notice that this half of the proof does not require that Φ be indefinite. This completes the proof of Theorem A.

We can also construct global invariant lattices from local ones as follows.

PROPOSITION 6.1. *At each finite spot p of F assume given a*

$SU(M_p)$ -invariant sublattice J_p of M_p with $J_p = M_p$ almost always. Then there exists a sublattice N of M such that for each spot p

$$N_p = \mathfrak{D}_p N = J_p.$$

Proof. This is an immediate consequence of [2; 2.4].

We conclude this paper by giving more explicitly the invariant lattices when F is the rational field \mathbf{Q} . Now $K = \mathbf{Q}(\sqrt{m})$ with m a square free integer. Let p be a rational prime. Then p splits in K if either $p = 2$ and $m \equiv 1 \pmod{8}$, or p is odd and $(m/p) = 1$. Otherwise, for $p = 2$, we have an unramified extension if $m \equiv 5 \pmod{8}$, a ramified unit extension with $h = 0$ if $m \equiv 3 \pmod{4}$, and a ramified prime extension if m is even.

Let M be a unimodular lattice on an indefinite hermitian space V over $\mathbf{Q}(\sqrt{m})$. Except when $\mathbf{Q}_2(\sqrt{m})$ is a ramified extension of \mathbf{Q}_2 , the only primitive invariant sublattice is M_p . Hence, when $m \equiv 1 \pmod{4}$, the $SU(M)$ -invariant lattices are the αM with α a fractional ideal in $\mathbf{Q}(\sqrt{m})$.

When $m \equiv 3 \pmod{4}$ or m is even, $\mathbf{Q}_2(\sqrt{m})$ is a ramified extension of \mathbf{Q}_2 and M_2 can support other local invariant lattices. If the rank of M is odd, the invariant lattices are the αN with α a fractional ideal and N_2 one of the lattices M_{2*} , M_2 or M_2^* , together with E_2 and $E_2^\#$ when m is even and $\dim V = 3$.

Finally, when the rank of M is even there are a number of possibilities. If Φ is an even form, namely if $M_{2*} = M_2$, the only invariant sublattices are the αM with α a fractional ideal. If Φ is an odd form and $m \equiv 3 \pmod{4}$ or m is even, there are five lattices N_2 lying between M_{2*} and M_2^* . If $M_2 = H_2 \perp J_2 \perp (\mathfrak{D}_2 w + \mathfrak{D}_2 z)$ with $\Phi(w, z) = 1$, $2q(w)$ a unit and $q(z) \in \mathfrak{o}_p$, these five lattices are M_2 , M_{2*} , M_2^* ,

$$H_2 \perp J_2 \perp (\mathfrak{D}_2 \pi w + \mathfrak{D}_2 \pi^{-1} z)$$

and

$$H_2 \perp J_2 \perp (\mathfrak{D}_2 \pi w + \mathfrak{D}_2 (w + \pi^{-1} z)).$$

For $\dim V \geq 6$ and for $\dim V = 4$ when $m \equiv 3 \pmod{4}$, the invariant lattices are the αN with α a fractional ideal, N_2 one of these five lattices and $N_p = M_p$ for p odd. When $\dim V = 4$ and m is even, N_2 can also be one of the dual pair of exceptional lattices $E(1)_2$ and $E(1)_2^\#$ obtained in the previous section.

REFERENCES

1. R. Baeza, *Eine Zerlegung der unitären Gruppe über lokalen Ringen*, Arch. Math. (Basel), **24** (1973), 144-157.

2. L. J. Gerstein, *Integral decomposition of hermitian forms*, Amer. J. Math., **92** (1970), 398-418.
3. K. Hayakawa, *Generation of local integral unitary groups over an unramified dyadic local field*, J. Fac. Sci., Univ. Tokyo, Sect. I, **15** (1968), 1-11.
4. R. Jacobowitz, *Hermitian forms over local fields*, Amer. J. Math., **84** (1962), 441-465.
5. D. G. James, *Orthogonal groups of dyadic unimodular quadratic forms II*, Pacific J. Math., **52** (1974), 425-441.
6. ———, *On the normal subgroups of integral orthogonal groups*, Pacific J. Math., **52** (1974), 107-114.
7. O. T. O'Meara, *Introduction to Quadratic Forms*, Springer-Verlag, Berlin, 1963.
8. G. Shimura, *Arithmetic of unitary groups*, Ann. of Math., **79** (1964), 369-409.

Received December 21, 1976 and in revised form April 29, 1977. This research was partially supported by the National Science Foundation.

THE PENNSYLVANIA STATE UNIVERSITY
UNIVERSITY PARK, PA 16802

PACIFIC JOURNAL OF MATHEMATICS

EDITORS

RICHARD ARENS (Managing Editor)

University of California
Los Angeles, CA 90024

CHARLES W. CURTIS

University of Oregon
Eugene, OR 97403

C. C. MOORE

University of California
Berkeley, CA 94720

J. DUGUNDJI

Department of Mathematics
University of Southern California
Los Angeles, CA 90007

R. FINN and J. MILGRAM

Stanford University
Stanford, CA 94305

ASSOCIATE EDITORS

E. F. BECKENBACH

B. H. NEUMANN

F. WOLF

K. YOSHIDA

SUPPORTING INSTITUTIONS

UNIVERSITY OF BRITISH COLUMBIA
CALIFORNIA INSTITUTE OF TECHNOLOGY
UNIVERSITY OF CALIFORNIA
MONTANA STATE UNIVERSITY
UNIVERSITY OF NEVADA, RENO
NEW MEXICO STATE UNIVERSITY
OREGON STATE UNIVERSITY
UNIVERSITY OF OREGON
OSAKA UNIVERSITY

UNIVERSITY OF SOUTHERN CALIFORNIA
STANFORD UNIVERSITY
UNIVERSITY OF HAWAII
UNIVERSITY OF TOKYO
UNIVERSITY OF UTAH
WASHINGTON STATE UNIVERSITY
UNIVERSITY OF WASHINGTON
* * *
AMERICAN MATHEMATICAL SOCIETY

The Supporting Institutions listed above contribute to the cost of publication of this Journal, but they are not owners or publishers and have no responsibility for its content or policies.

Mathematical papers intended for publication in the *Pacific Journal of Mathematics* should be in typed form or offset-reproduced, (not dittoed), double spaced with large margins. Please do not use built up fractions in the text of your manuscript. You may however, use them in the displayed equations. Underline Greek letters in red, German in green, and script in blue. The first paragraph or two must be capable of being used separately as a synopsis of the entire paper. Items of the bibliography should not be cited there unless absolutely necessary, in which case they must be identified by author and Journal, rather than by item number. Manuscripts, in triplicate, may be sent to any one of the editors. Please classify according to the scheme of Math. Reviews, Index to Vol. **39**. All other communications should be addressed to the managing editor, or Elaine Barth, University of California, Los Angeles, California, 90024.

The Pacific Journal of Mathematics expects the author's institution to pay page charges, and reserves the right to delay publication for nonpayment of charges in case of financial emergency.

100 reprints are provided free for each article, only if page charges have been substantially paid. Additional copies may be obtained at cost in multiples of 50.

The *Pacific Journal of Mathematics* is issued monthly as of January 1966. Regular subscription rate: \$72.00 a year (6 Vols., 12 issues). Special rate: \$36.00 a year to individual members of supporting institutions.

Subscriptions, orders for back numbers, and changes of address should be sent to Pacific Journal of Mathematics, 103 Highland Boulevard, Berkeley, California, 94708.

PUBLISHED BY PACIFIC JOURNAL OF MATHEMATICS, A NON-PROFIT CORPORATION

Printed at Kokusai Bunken Insatsusha (International Academic Printing Co., Ltd.).
8-8, 3-chome, Takadanobaba, Shinjuku-ku, Tokyo 160, Japan.

Copyright © 1975 by Pacific Journal of Mathematics
Manufactured and first issued in Japan

George E. Andrews, <i>Plane partitions. II. The equivalence of the Bender-Knuth and MacMahon conjectures</i>	283
Lee Wilson Badger, <i>An Ehrenfeucht game for the multivariable quantifiers of Malitz and some applications</i>	293
Wayne C. Bell, <i>A decomposition of additive set functions</i>	305
Bruce Blackadar, <i>Infinite tensor products of C^*-algebras</i>	313
Arne Brøndsted, <i>The inner aperture of a convex set</i>	335
N. Burgoyne, <i>Finite groups with Chevalley-type components</i>	341
Richard Dowell Byrd, Justin Thomas Lloyd and Roberto A. Mena, <i>On the retractability of some one-relator groups</i>	351
Paul Robert Chernoff, <i>Schrödinger and Dirac operators with singular potentials and hyperbolic equations</i>	361
John J. F. Fournier, <i>Sharpness in Young's inequality for convolution</i>	383
Stanley Phillip Franklin and Barbara V. Smith Thomas, <i>On the metrizability of k_ω-spaces</i>	399
David Andrew Gay, Andrew McDaniel and William Yslas Vélez, <i>Partially normal radical extensions of the rationals</i>	403
Jean-Jacques Gervais, <i>Sufficiency of jets</i>	419
Kenneth R. Goodearl, <i>Completions of regular rings. II</i>	423
Sarah J. Gottlieb, <i>Algebraic automorphisms of algebraic groups with stable maximal tori</i>	461
Donald Gordon James, <i>Invariant submodules of unimodular Hermitian forms</i>	471
J. Kyle, <i>$W_8(T)$ is convex</i>	483
Ernest A. Michael and Mary Ellen Rudin, <i>A note on Eberlein compacts</i>	487
Ernest A. Michael and Mary Ellen Rudin, <i>Another note on Eberlein compacts</i>	497
Thomas Bourque Muenzenberger and Raymond Earl Smithson, <i>Fixed point theorems for acyclic and dendritic spaces</i>	501
Budh Singh Nashier and A. R. Rajwade, <i>Determination of a unique solution of the quadratic partition for primes $p \equiv 1 \pmod{7}$</i>	513
Frederick J. Scott, <i>New partial asymptotic stability results for nonlinear ordinary differential equations</i>	523
Frank Servedio, <i>Affine open orbits, reductive isotropy groups, and dominant gradient morphisms; a theorem of Mikio Sato</i>	537
D. Suryanarayana, <i>On the distribution of some generalized square-full integers</i>	547
Wolf von Wahl, <i>Instationary Navier-Stokes equations and parabolic systems</i>	557