

Pacific Journal of Mathematics

EXTENSIONS OF VALUATION AND ABSOLUTE VALUED TOPOLOGIES

JO-ANN DEBORAH COHEN

EXTENSIONS OF VALUATION AND ABSOLUTE VALUED TOPOLOGIES

JO-ANN D. COHEN

It is known that if L is a separable, finite dimensional extension of a field K and if v is a proper valuation (absolute value) on K , then each ring topology on L whose restriction to K is the topology \mathcal{T}_v defined on K by v is the supremum of a finite family of valuation (absolute valued) topologies. We give a characterization of the fields K and L and the valuations (absolute values) v on K for which each ring topology on L extending \mathcal{T}_v is the supremum of a family of valuation (absolute valued) topologies on K when L is an arbitrary finite dimensional extension of K .

Let R be a ring and let \mathcal{T} be a ring topology on R , that is, \mathcal{T} is a topology on R making $(x, y) \rightarrow x - y$ and $(x, y) \rightarrow xy$ continuous from $R \times R$ to R . A subset A of R is *bounded* for \mathcal{T} if given any neighborhood U of zero, there exists a neighborhood V of zero such that $VA \cup AV \subseteq U$. \mathcal{T} is a *locally bounded topology* on R if there exists a fundamental system of neighborhoods of zero for \mathcal{T} consisting of bounded sets.

Recall that a *norm* N on a ring R is a function from R to the nonnegative reals satisfying $N(x) = 0$ if and only if $x = 0$, $N(x - y) \leq N(x) + N(y)$ and $N(xy) \leq N(x)N(y)$ for all x and y in R . Each norm N on R defines a locally bounded topology \mathcal{T}_N on R in a natural way. In particular, if $|\cdot|$ is a proper absolute value on a field K , then there exists a locally bounded topology $\mathcal{T}_{|\cdot|}$ on K defined by $|\cdot|$. We note further that if N is a nontrivial norm on a field K , that is, \mathcal{T}_N is nondiscrete, then a subset A of K is bounded in norm if and only if A is a \mathcal{T}_N -bounded subset of K .

Each proper valuation v on a field K defines a locally bounded topology \mathcal{T}_v on K as well. If each of v and w is a valuation or an absolute value on K , then v and w are *independent* if $\mathcal{T}_v \neq \mathcal{T}_w$.

In [11], Rigo and Warner proved that if L is a separable, finite dimensional extension of a field K and if v is a proper valuation (absolute value) on K , then each ring topology on L inducing \mathcal{T}_v on K is the supremum of a finite family of valuation (absolute valued) topologies on L (Theorem 2). In this paper we characterize the fields K and L and valuations (absolute values) v on K for which each ring topology on L

extending \mathcal{T}_v is the supremum of a finite family of valuation (absolute valued) topologies on L when L is an arbitrary finite dimensional extension of K .

THEOREM 1. *Let K be a field, v a proper valuation (absolute value) on K , \hat{K} the completion of K for \mathcal{T}_v , L a purely inseparable, finite dimensional extension of K , w the unique extension of v to L and \hat{L} the completion of L for \mathcal{T}_w . The following are equivalent.*

- 1°. $[\hat{L} : \hat{K}] = [L : K]$.
- 2°. \mathcal{T}_w is the only ring topology on L whose restriction to K is \mathcal{T}_v .
- 3°. \mathcal{T}_w is the only locally bounded topology on L whose restriction to K is \mathcal{T}_v .

Proof. We first consider the case when $[L : K] = p$ where p is the characteristic of K .

Suppose $[\hat{L} : \hat{K}] = p$. Then there exists a in $L \setminus \hat{K}$. Hence $L = K(a)$ and the minimal polynomial of a over K is irreducible in $\hat{K}[X]$. Thus by [11, Corollary 2 of Theorem 1], \mathcal{T}_w is the only ring topology on L whose restriction to K is \mathcal{T}_v .

Clearly 2° implies 3°. So it suffices to prove that if \mathcal{T}_w is the only locally bounded topology on L whose restriction to K is \mathcal{T}_v , then $[\hat{L} : \hat{K}] = p$. If $[\hat{L} : \hat{K}] = 1$, let $a \in L \setminus K$ and let $f(X)$ be the minimal polynomial of a over K . Then $f(X) = (X - a)^p$ and $X - a \in \hat{K}[X]$. Hence by [11, Theorem 1], there are p ring topologies $\mathcal{T}_1, \dots, \mathcal{T}_p$ on L inducing \mathcal{T}_v on K and the completion \hat{L}_i of L for \mathcal{T}_i is a finite dimensional \hat{K} -algebra for each $i \in [1, p]$. If v is a valuation on K , let \hat{v} be its extension to \hat{K} , let G be the order group of \hat{v} and let $\{x_1, \dots, x_n\}$ be a basis for \hat{L}_i over \hat{K} where $x_1 = 1$. Then $\{V_\alpha : \alpha \in G\}$ is a fundamental system of neighborhoods of zero for a Hausdorff topology on \hat{L}_i , compatible with the vector space structure of \hat{L}_i where for each $\alpha \in G$,

$$V_\alpha = \left\{ \sum_{j=1}^n a_j x_j : a_j \in \hat{K}, \inf\{\hat{v}(a_j) : 1 \leq j \leq n\} \geq \alpha \right\}.$$

Hence by [8, Theorem 7], $\{V_\alpha : \alpha \in G\}$ is a fundamental system of neighborhoods of zero for the completion $\hat{\mathcal{T}}_i$ of L for \mathcal{T}_i . It follows that the restriction of $\hat{\mathcal{T}}_i$ to \hat{K} is the topology defined on \hat{K} by \hat{v} . Thus as $L \subseteq \hat{K}$, $\hat{\mathcal{T}}_i|_L$ is a locally bounded topology on L , that is, each \mathcal{T}_i is a locally bounded topology on L , a contradiction. If v is an absolute value on K , then each \mathcal{T}_i is normable and hence locally bounded. Indeed, by [2, Theorem 2, p. 27; 3, Proposition 10, p. 69 and Theorem 1, p. 70], there exist a vector space norm N on \hat{L}_i and a positive number c such that

$N(xy) \leq cN(x)N(y)$ for all x and y in \hat{L}_i . Therefore the function $\|\cdot\|$ defined on \hat{L}_i by, $\|x\| = cN(x)$, is an algebra norm on \hat{L}_i defining the topology on \hat{L}_i . So $[\hat{L} : \hat{K}] = p$ by [11, Corollary 1 of Theorem 1].

Now let L be an arbitrary, purely inseparable, finite dimensional extension of K .

Suppose that $[\hat{L} : \hat{K}] = [L : K]$ and let \mathcal{T} be a ring topology on L whose restriction to K is \mathcal{T}_v . Let K_1 be a maximal subfield of L containing K such that $\mathcal{T}|_{K_1}$ is defined by a valuation (absolute value) v_1 extending v to K_1 . If $K_1 \neq L$, let $a \in L \setminus K_1$ be such that $[K_1(a) : K_1] = p$. Denote $K_1(a)$ by K_2 , let v_2 be the unique extension of v to K_2 , let \hat{K}_1 be the completion of K_1 for \mathcal{T}_{v_1} and let \hat{K}_2 be the completion of K_2 for \mathcal{T}_{v_2} . If $a \notin \hat{K}_1$, then by the previous argument, $\mathcal{T}|_{K_2} = \mathcal{T}_{v_2}$, contradicting the maximality of K_1 . If $a \in \hat{K}_1$, then $[\hat{K}_2 : \hat{K}_1] = 1$. So $[\hat{L} : \hat{K}] = [\hat{L} : \hat{K}_2][\hat{K}_2 : \hat{K}_1] \leq [L : K_2][K_2 : K] < [L : K]$, a contradiction. Hence $K_1 = L$.

Assume 3° holds. Let $[L : K] = p^n$ and let $a_1, a_2, \dots, a_n \in L$ be such that $L = K(a_1, \dots, a_n)$, $[K(a_1) : K] = p$ and for all $i \in [1, n-1]$, $[K(a_1, \dots, a_{i+1}) : K(a_1, \dots, a_i)] = p$. Denote K by K_0 . For each $i \in [1, n]$ let $K_i = K(a_1, \dots, a_i)$, let v_i be the unique extension of v to K_i and let \hat{K}_i be the completion of K_i for \mathcal{T}_{v_i} . If $p^n > [\hat{L} : \hat{K}]$, then as $[\hat{L} : \hat{K}] = \prod_{i=0}^{n-1} [\hat{K}_{i+1} : \hat{K}_i]$, there exists an i such that $[\hat{K}_{i+1} : \hat{K}_i] = 1$. So by the previous argument there exists a locally bounded topology \mathcal{T}' on K_{i+1} whose restriction to K_i is \mathcal{T}_{v_i} but $\mathcal{T}' \neq \mathcal{T}_{v_{i+1}}$. By [12, Satz 1.6], \mathcal{T}' extends to a locally bounded topology \mathcal{T} on L . Clearly $\mathcal{T}|_K = \mathcal{T}_v$ but $\mathcal{T} \neq \mathcal{T}_w$, a contradiction. So $[\hat{L} : \hat{K}] = p^n = [L : K]$.

THEOREM 2. *Let L be a finite dimensional extension of a field K , let D be the separable closure of K in L , let v be a proper valuation (absolute value) on K and let $\{v_i; 1 \leq i \leq m\}$ be a complete family of pairwise independent valuations (absolute values) on D extending v . For each $i \in [1, m]$, let w_i be the unique extension of v_i to L , let \hat{L}_i denote the completion of L for \mathcal{T}_{w_i} and let \hat{D}_i denote the completion of D for \mathcal{T}_{v_i} . The following are equivalent.*

1° . *Each ring topology on L whose restriction to K is \mathcal{T}_v is the supremum of a finite family of valuation (absolute valued) topologies on L .*

2° . *Each locally bounded topology on L whose restriction to K is \mathcal{T}_v is the supremum of a finite family of valuation (absolute valued) topologies on L .*

3° . *There are $2^m - 1$ locally bounded topologies on L inducing \mathcal{T}_v on K , namely the topologies $\sup_{i \in M} \mathcal{T}_{w_i}$ where M runs through all nonempty subsets of $[1, m]$.*

4°. $[\hat{L}_i; \hat{D}_i] = [L: D]$ for all $i \in [1, m]$.

Proof. Clearly 1° implies 2° and 3° implies 2°. We first show that 2° implies 3°. Suppose that \mathcal{T} is a locally bounded topology on L and $\mathcal{T} = \sup_{1 \leq i \leq n} \mathcal{T}_{u_i}$ where each u_i is a proper valuation (absolute value) on L and $\mathcal{T}_{u_i} \neq \mathcal{T}_{u_j}$ for $i \neq j$. Then $\mathcal{T}_v = \mathcal{T}|_K = \sup_{1 \leq i \leq n} \mathcal{T}_{u_i}|_K$. As the completion of K for \mathcal{T}_v is a field, the Approximation Theorem [7, Theorem 3.4, p. 292] yields that each $u_i|_K$ is equivalent to v . Hence for each $i \in [1, n]$, there exists $j(i) \in [1, m]$ such that $\mathcal{T}_{u_i} = \mathcal{T}_{w_{j(i)}}$.

We next show that 3° implies 4°. Let \mathcal{T} be a locally bounded topology on L whose restriction to D is \mathcal{T}_v and let M be a nonempty subset of $[1, m]$ such that $\mathcal{T} = \sup_{j \in M} \mathcal{T}_{w_j}$. Note that for $\iota, j \in M$, $\iota \neq j$, $\mathcal{T}_{w_\iota}|_D \neq \mathcal{T}_{w_j}|_D$. Then $\mathcal{T}_v = \mathcal{T}|_D = \sup_{j \in M} \mathcal{T}_{w_j}|_D$ and so the Approximation Theorem implies that the cardinality of M is one. Thus $M = \{i\}$ by the definition of w_i , that is, $\mathcal{T} = \mathcal{T}_{w_i}$. As L is a purely inseparable extension of D , 4° follows from Theorem 1.

Finally suppose that 4° holds. Let \mathcal{T} be a ring topology on L whose restriction to K is \mathcal{T}_v . By Theorems 2 and 4 of [11], there exist a nonempty subset M of $[1, m]$ and ring topologies \mathcal{T}_i on L for each $i \in M$ such that $\mathcal{T}_i|_D = \mathcal{T}_v$ and $\mathcal{T} = \sup_{i \in M} \mathcal{T}_i$. Hence $\mathcal{T}_i = \mathcal{T}_{w_i}$ for all $i \in M$ by Theorem 1 and so 1° holds.

COROLLARY. *Let K be the field $F(X)$ of rational functions over the field F , let L be a finite dimensional extension of K and let v be a proper valuation or absolute value on K , improper on F . Define D , L_i and \hat{D}_i as in Theorem 2. Then $[\hat{L}_i; \hat{D}_i] = [L: D]$ for all i and each ring topology on L inducing \mathcal{T}_v on K is a locally bounded topology.*

Proof. First note that if v is a proper valuation on K improper on F , then v is equivalent to a real-valued valuation [1, Example 4, p. 106]. It suffices to establish 2° of Theorem 2. Let \mathcal{T} be a locally bounded topology on L whose restriction to K is \mathcal{T}_v . Then there exists a nonzero topological nilpotent for \mathcal{T}_v and hence for \mathcal{T} . So by [5, Theorem 6.1], there exists a norm N on L such that $\mathcal{T} = \mathcal{T}_N$. As F is a bounded subset of K for \mathcal{T}_v and as $\mathcal{T}_N|_K = \mathcal{T}_v$, F is bounded in norm (for N). Consequently, F is a \mathcal{T} -bounded subset of L as well. Thus by [6, Theorem 4] and the argument used to establish Theorem 3 of [4], \mathcal{T} is the supremum of a finite family of valuation topologies on L .

In [9], Nagata gave an example of fields L and K , each of prime characteristic p , and a discrete valuation v on K such that $\hat{K} = L$ is a

purely inseparable extension of K of degree p over K (p. 56). Thus $\hat{L} = \hat{K}$ and so conditions 1°–4° of Theorem 2 need not hold in general.

THEOREM 3. *Let K be a field and let \mathcal{T}_0 denote $\sup_{1 \leq i \leq m} \mathcal{T}_{v_i}$ where each v_i is a proper valuation or absolute value on K and for $i \neq j$, $\mathcal{T}_{v_i} \neq \mathcal{T}_{v_j}$. Let L be a finite dimensional extension of K and let D be the separable closure of K in L . For each $i \in [1, m]$, let $\{v_{ij}: 1 \leq j \leq M(i)\}$ be a complete family of pairwise independent valuations or absolute values extending v_i to D . For each $i \in [1, m]$, $j \in [1, M(i)]$, let w_{ij} denote the unique extension of v_{ij} to L , let \hat{L}_{ij} denote the completion of L for $\mathcal{T}_{w_{ij}}$ and let \hat{D}_{ij} denote the completion of D for $\mathcal{T}_{v_{ij}}$. The following are equivalent.*

1°. *Each ring topology on L whose restriction to K is \mathcal{T}_0 is the supremum of a finite family $\{\mathcal{T}_1, \dots, \mathcal{T}_n\}$ of topologies on L where for each i , \mathcal{T}_i is defined by a proper valuation or absolute value on L .*

2°. *Each locally bounded topology on L whose restriction to K is \mathcal{T}_0 is the supremum of a finite family $\{\mathcal{T}_1, \dots, \mathcal{T}_n\}$ of topologies on L where for each i , \mathcal{T}_i is defined by a proper valuation or absolute value on L .*

3°. *There are $\prod_{i=1}^m (2^{M(i)} - 1)$ locally bounded topologies on L inducing \mathcal{T}_0 on K , namely the topologies $\sup_{1 \leq i \leq m} (\sup_{j \in S(i)} \mathcal{T}_{w_{ij}})$ where $S(i)$ runs through all nonempty subsets of $[1, M(i)]$.*

4°. *$[\hat{L}_{ij}: \hat{D}_{ij}] = [L: D]$ for all $i \in [1, m]$, $j \in [1, M(i)]$.*

Proof. Clearly 1° implies 2° and 3° implies 2°. We first prove that 2° implies 3°. Let \mathcal{T} be a locally bounded topology on L inducing \mathcal{T}_0 on K . Then $\mathcal{T} = \sup_{1 \leq i \leq n} \mathcal{T}_{u_i}$ where each u_i is a proper valuation or absolute value on L and $\sup_{1 \leq j \leq m} \mathcal{T}_{v_j} = \sup_{1 \leq i \leq n} \mathcal{T}_{u_i}|_K$. Suppose that there exists an i , $1 \leq i \leq n$, such that for all j , $1 \leq j \leq m$, $\mathcal{T}_{u_i}|_K \neq \mathcal{T}_{v_j}$. Without loss of generality assume that v_1, \dots, v_r are valuations on K , v_{r+1}, \dots, v_m are absolute values on K and $i = 1$. If u_1 is an absolute value on L , let $a \in K$ be such that $u_1(a) > 1$, $v_j(a) > 0$ for $j \in [1, r]$ and $v_j(a) < 1$ for $j \in [r+1, m]$. (The existence of a is guaranteed by [7, Theorem 3.4, p. 292].) Then $\{a^t: t = 1, 2, \dots\}$ is a bounded set for $\sup_{1 \leq j \leq m} \mathcal{T}_{v_j}$ but not for $\mathcal{T}_{u_1}|_K$, a contradiction. (Indeed, if $\{a^t: t = 1, 2, \dots\}$ is bounded for $\sup_{1 \leq i \leq n} \mathcal{T}_{u_i}|_K$, then there exists a nonzero element x in K such that $x\{a^t: t = 1, 2, \dots\} \subseteq \{y \in K: u_1(y) \leq 1\}$. But $u_1(xz^t) \rightarrow \infty$ as $t \rightarrow \infty$, a contradiction.) If u_1 is a valuation on L , let G be the order group of $u_1|_K$ and for each $\alpha \in G$, let $a_\alpha \in K$ be such that $v_j(a_\alpha) > 0$ for $j = 1, 2, \dots, r$, $v_j(a_\alpha) < 1$ for $j = r+1, \dots, m$ and $u_1(a_\alpha) = \alpha$. Then $\{a_\alpha: \alpha \in G\}$ is a bounded set for $\sup_{1 \leq j \leq m} \mathcal{T}_{v_j}$ but not for $\mathcal{T}_{u_1}|_K$, a contradiction. Thus for each $i \in [1, n]$ there exists $j(i) \in [1, m]$

and $i(i) \in [1, M(j(i))]$ such that $\mathcal{T}_{u_i} = \mathcal{T}_{w_{j(i), i(i)}}$. Furthermore a similar argument establishes that for each $j \in [1, m]$, there exists an $i \in [1, n]$ such that $\mathcal{T}_{u_i}|_K = \mathcal{T}_{v_j}$.

Assume 3° holds. Suppose that there exist $i \in [1, m]$ and $j \in [1, M(i)]$ with $[\hat{L}_{ij} : \hat{D}_{ij}] < [L : D]$. By Theorem 2 there exists a locally bounded topology \mathcal{T} on L whose restriction to K is \mathcal{T}_{v_i} but \mathcal{T} is not the supremum of a finite family of valuation or absolute valued topologies on L . Let $\mathcal{T}' = \sup(\mathcal{T}, \sup_{i \neq j} \mathcal{T}_{w_{ij}})$. Then $\mathcal{T}'|_K = \mathcal{T}_0$ but \mathcal{T}' is not the supremum of a finite family of topologies on L of the appropriate type. Indeed, if \mathcal{T}' is such a supremum, then as $\mathcal{T} \subseteq \mathcal{T}'$, Theorem 4.4 of [10] yields that \mathcal{T} is as well. Thus 4° holds.

Finally the proof that 4° implies 1° is the same as that used in Theorem 2.

REFERENCES

- [1] N. Bourbaki, *Algèbre Commutative*, Ch. 5-6, Hermann, Paris, 1964.
- [2] ———, *Espaces Vectoriels Topologiques*, Ch. 1, Hermann, Paris, 1953.
- [3] ———, *Topologie Générale*, Ch. 9, Hermann, Paris, 1958.
- [4] J. Cohen, *The strong approximation theorem and locally bounded topologies on $F(X)$* , Pacific J. Math., **87** (1980), 59–63.
- [5] P. M. Cohn, *An invariant characterization of pseudo-valuations on a field*, Proc. Cambridge Phil. Soc., **50** (1954), 159–177.
- [6] M. Endo, *The strong approximation theorem and locally bounded topologies of algebraic function fields*, Comment. Math. Univ. St. Paul, **30** (1981), 77–86.
- [7] W. A. J. Luxemburg, (editor), *Applications of Model Theory to Algebra, Analysis, and Probability*, Holt, Rinehart and Winston, New York, 1969.
- [8] L. Nachbin, *On strictly minimal topological division rings*, Bull. Amer. Math. Soc., **55** (1949), 1128–1136.
- [9] M. Nagata, *On the theory of Henselian rings*, Nagoya Math. J., **5** (1953), 45–57.
- [10] A. Prestel and M. Ziegler, *Model theoretic methods in the theory of topological fields*, J. Reine Angew. Math., **299/300** (1978), 318–341.
- [11] T. Rigo and S. Warner, *Topologies extending valuations*, Canad. J. Math., **30** (1978), 164–169.
- [12] H. Weber, *Topologische Charakterisierung globaler Körper und algebraischer Funktionkörper in einer Variablen*, Math. Ziet., **169** (1979), 167–177.

Received May 17, 1985. Written while the author was in residence at the University of Maryland.

NORTH CAROLINA STATE UNIVERSITY
RALEIGH, NC 27695-8205

PACIFIC JOURNAL OF MATHEMATICS

EDITORS

V. S. VARADARAJAN
(Managing Editor)
University of California
Los Angeles, CA 90024
HERBERT CLEMENS
University of Utah
Salt Lake City, UT 84112
R. FINN
Stanford University
Stanford, CA 94305

HERMANN FLASCHKA
University of Arizona
Tucson, AZ 85721
RAMESH A. GANGOLLI
University of Washington
Seattle, WA 98195
VAUGHAN F. R. JONES
University of California
Berkeley, CA 94720
ROBION KIRBY
University of California
Berkeley, CA 94720

C. C. MOORE
University of California
Berkeley, CA 94720
H. SAMELSON
Stanford University
Stanford, CA 94305
HAROLD STARK
University of California, San Diego
La Jolla, CA 92093

ASSOCIATE EDITORS

R. ARENS E. F. BECKENBACH B. H. NEUMANN F. WOLF K. YOSHIDA
(1906–1982)

SUPPORTING INSTITUTIONS

UNIVERSITY OF ARIZONA
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
UNIVERSITY OF SOUTHERN CALIFORNIA
STANFORD UNIVERSITY
UNIVERSITY OF HAWAII
UNIVERSITY OF TOKYO
UNIVERSITY OF UTAH
WASHINGTON STATE UNIVERSITY
UNIVERSITY OF WASHINGTON

Gilles Christol, Fonctions et éléments algébriques	1
Jo-Ann Deborah Cohen, Extensions of valuation and absolute valued topologies	39
Miriam Cohen, Smash products, inner actions and quotient rings	45
Mikio Furushima, On the singular K -3 surfaces with hypersurface singularities	67
Gerhard Gierz and Boris Shekhtman, A duality principle for rational approximation	79
Anthony Wood Hager, A description of HSP-like classes, and applications	93
George Alan Jennings, Lines having high contact with a projective variety	103
John Lott, Eigenvalue bounds for the Dirac operator	117
Denis Laurent Luminet, A functional calculus for Banach PI-algebras	127
Shizuo Miyajima and Noboru Okazawa, Generators of positive C_0 -semigroups	161
Takemi Mizokami, On functions and stratifiable μ -spaces	177
Jeff Parker, 4-dimensional G -manifolds with 3-dimensional orbits	187
Elias Saab and Paulette Saab, On Pełczyński's properties (V) and (V*) ...	205
Elmar Schrohe, The symbols of an algebra of pseudodifferential operators	211
Aart van Harten and Els Vader-Burger, Approximate Green functions as a tool to prove correctness of a formal approximation in a model of competing and diffusing species	225
Stephen Watson, Using prediction principles to construct ordered continua	251