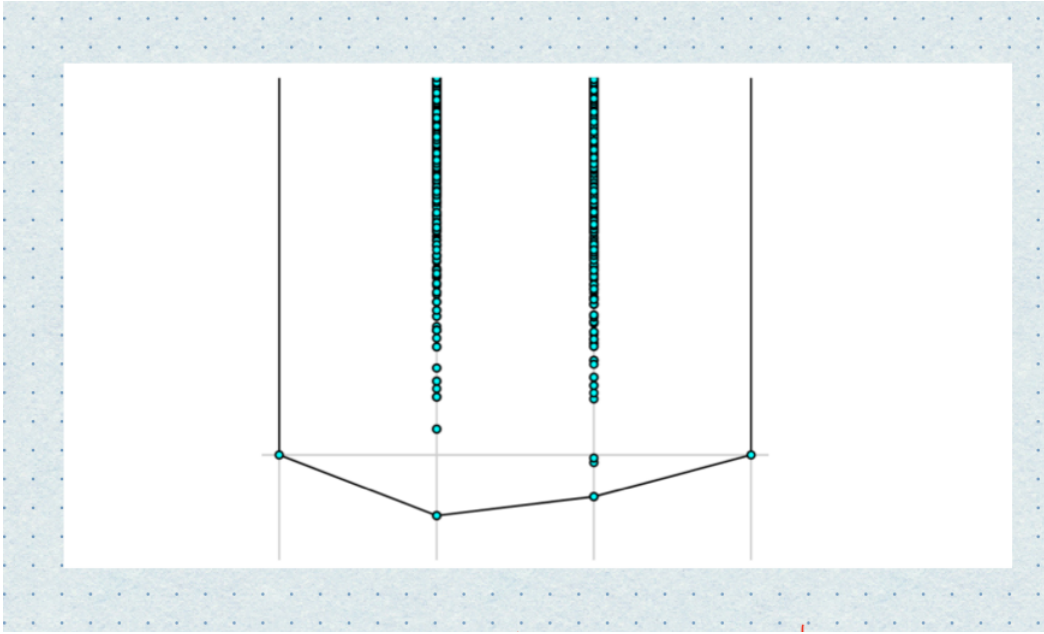


Pictures from D. Grayson, Reduction theory via semistability, '84.



Picture: Casselman, Stability of lattices and the partition of arithmetic quotients, '04

Geometry of Numbers lecture 5

Recall: $G_n = \bigoplus_{p=0}^n \mathbb{R}^p$

$$\mathbb{R}^p = \text{span} \left\{ e_\sigma : \sigma = (1 \leq i_1 < \dots < i_p \leq n) \right\}$$

Notation: $\mathbb{R}_p^n = \bigwedge_p \mathbb{R}^n$

Last week I "proved" that $\forall u, v \in G_n$

$$\|u \wedge v\| \leq \|u\| \cdot \|v\|.$$

In the notes you will find a corrected proof
in the case u, v are decomposable, i.e.

$$u = u_1 \wedge \dots \wedge u_p, \quad v = v_1 \wedge \dots \wedge v_q$$

$$u_i, v_j \in \mathbb{R}^n.$$

Recall from previous lecture:

If $L_0 \subset L$ is a subgroup of rank r ,

i.e. $L_0 = \text{span}_{\mathbb{Z}}(u_1, \dots, u_r)$ u_i lin. ind.

then $\text{covol}(L_0) = \|u_1 \wedge \dots \wedge u_r\|$

For $L_1, L_2 \subset L$ two subgroups

$$L_1 + L_2 = \{l_1 + l_2 : l_i \in L_i\} = \text{span}_{\mathbb{Z}}(L_1 \cup L_2).$$

Prop If L_1, L_2 primitive

$$\text{covol}(L_1 + L_2) \cdot \text{covol}(L_1 \cap L_2) \leq \text{covol}(L_1) \cdot \text{covol}(L_2).$$

complete proof in lecture notes (including a
proof of a claim not given in the lecture).

$$\alpha_i(L) = \inf \left\{ \text{covol}(L_0) : L_0 \subset L \text{ a primitive subgroup of rank } i \right\}.$$

Problems with our "measurements" of geometry of a lattice.

We had λ_i (successive minima)
 κ_i (lengths of the basis given
by Korkine-Zolotarev process).

Notation: $A \asymp B$ means $\exists C > 0$ (ind. of L , depends
on n), such that for all $L \subset \mathbb{R}^n$,

$$\frac{1}{C} B(L) \leq A(L) \leq C B(L)$$

$$\lambda_i \asymp \kappa_i$$

$$\alpha_i \asymp \lambda_1 \cdots \lambda_i$$

For $\lambda_i, \kappa_i, \alpha_i$ we

have minimizers ($\|v_i\| = \lambda_i$)

$$\|v_i^*\| = \kappa_i$$

$$\text{covol}(L_i) = \alpha_i$$

Problems ~~* minimizers~~ not well-defined

(can have ties).

* Hard to find (many "near-ties").

* v_i 's realizing λ_i 's not a basis for L .

* α_i not necessarily realized by

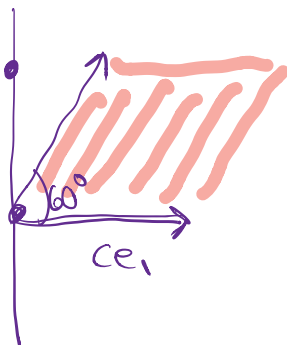
$\text{span}_{\mathbb{Z}}(v_1, \dots, v_i)$, if $\|v_i\| = \lambda_i$.

Solution: Harder-Narasimhan filtration

Examples: $n=3$ $L_0 = L_1 \oplus \mathbb{Z}e_3$ $L_1 \subset \mathbb{R}^2$

L_1 is hexagonal lattice, rescaled to have covolume 1.

$$c \sin(60^\circ) = c \frac{\sqrt{3}}{2}$$



$$c^2 \frac{\sqrt{3}}{2} = 1$$

$$c = \sqrt{\frac{2}{\sqrt{3}}} = 1.074\dots$$

$\alpha_1 = \lambda_1 = 1$, shortest vectors are $\pm e_3$.

Let's compute α_2 . Recall that if $u = \begin{pmatrix} u_1 \\ u_2 \\ u_3 \end{pmatrix}$, $v = \begin{pmatrix} v_1 \\ v_2 \\ v_3 \end{pmatrix}$,

$$u \wedge v = \begin{pmatrix} u_1 v_2 - u_2 v_1 \\ u_2 v_3 - u_3 v_2 \\ u_3 v_1 - u_1 v_3 \end{pmatrix}$$

$$\|u \wedge v\| \begin{cases} \geq |u_1 v_2 - u_2 v_1| \geq 1 & \text{if } u_1 v_2 - u_2 v_1 \neq 0 \\ = \|(k_1 w + l_1 e_3) \wedge (k_2 w + l_2 e_3)\| & \text{if } u_1 v_2 - u_2 v_1 = 0 \end{cases}$$

= for $w \in L_1$

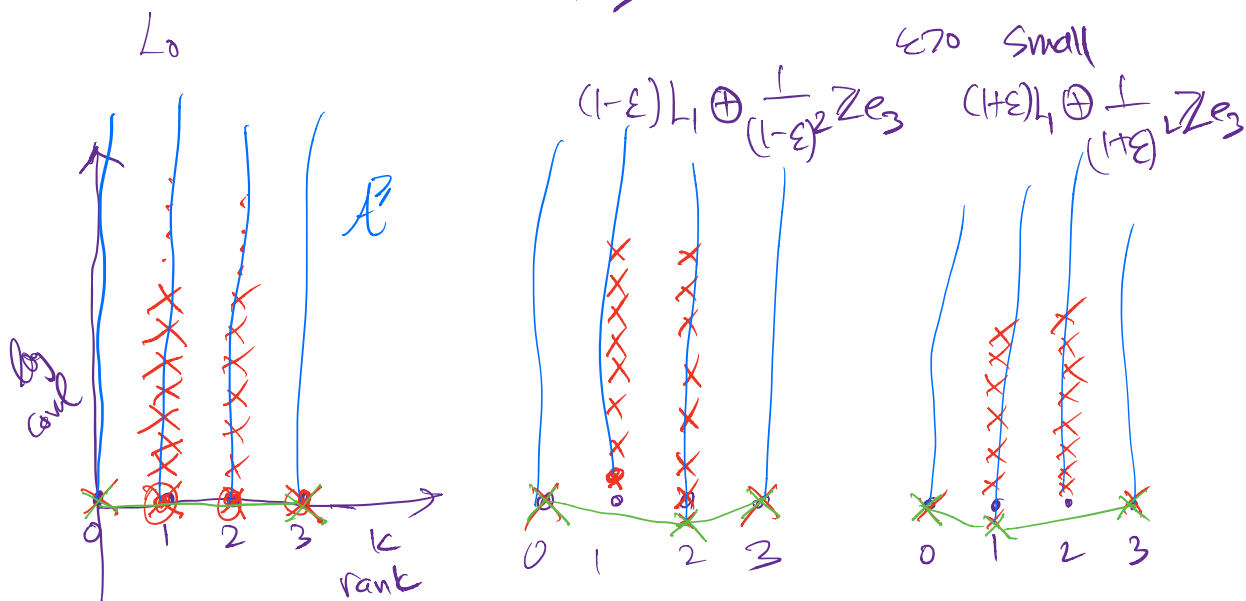
$$\|(\underbrace{k_2 - k_1}_{\text{non-zero integer}})w \wedge e_3\| \geq \|w \wedge e_3\| = \|w\| \cdot \|e_3\| \geq \|w\| \geq 1.074\dots$$

so $\alpha_2 = 1$, realized by L_1 .

So α_1 realized by e_1 $e_1 \in L_1$
 α_2 realized by L_1

Graph the numbers $(k, \log \text{covol}(L_0))$

where $k \in \{0, \dots, n\}$, $L_0 \subset L$ has rank k .

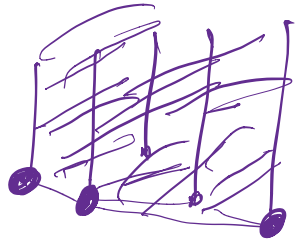


X vertices of profile

Define $A = \{ (k, \log \text{covol}(L_0)) : L_0 \subset L \text{ has rank } k, k \in \{0, \dots, n\} \}$.

$\vec{A} = \{ (k, y) : k \in \{0, \dots, n\}, y \geq \log d_k(L) \}$

The extreme points on the bottom of $\text{conv}(A^Z)$ form a polygonal line called the profile of L .



Thm ① The minima α_i realizing the heights of vertices of the profile are of the form $\log \text{covol}(L_i)$, and the L_i are unique (i.e., cannot have $L_i, L_i' \subsetneq L, L_i \neq L_i'$, with the same covol, realizing α_i).

② The sublattices L_i for which $(\text{rank}(L_i), \log \text{covol}(L_i))$ is a vertex of the profile of L , form a flag, i.e. are nested:

$$\{0\} = L_0 \subsetneq L_1 \subsetneq \dots \subsetneq L_k \subsetneq L_{k+1} = L \quad (*)$$

$(\text{rank}(L_i), \log \text{covol}(L_i))$ are the vertices of the profile. The collection (\mathcal{L}) is called the Harder-Narasimhan filtration, and k is its length.

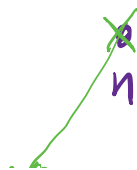
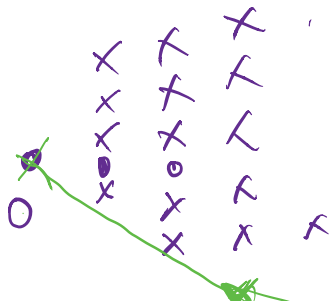
(3) For each $i \in \{1, \dots, k\}$

$\{0\} = L_0 \subsetneq \dots \subsetneq L_i$ is the HN filtration of L_i , and if $\pi: \mathbb{R}^n \rightarrow \text{span}(L_i)^\perp$ is the orthogonal projection, then

$\{0\} = \pi(L_0) \subsetneq \pi(L_1) \subsetneq \dots \subsetneq \pi(L_i)$ is the HN filtration of $\pi(L_i)$.

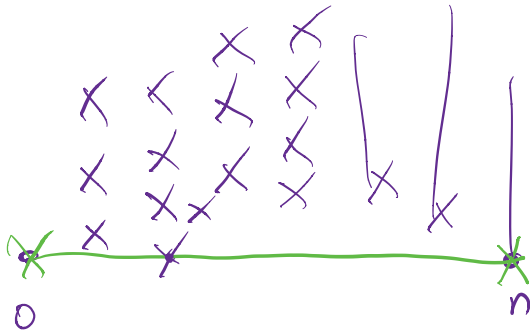
(4) If $k=0$ we say L is stable.

For each i , L_{i+1}/L_i (considered as a lattice in $\text{span } \pi(L_{i+1})$) is stable.





$$1 \rightarrow L_0 \rightarrow L \rightarrow L/L_0 \rightarrow 1$$



$$\text{covol}(L_1 \cap L_2) \cdot \text{covol}(L_1 + L_2) \leq \text{covol}(L_1) \cdot \text{covol}(L_2)$$



$$\log \text{covol}(L_1 \cap L_2) + \log \text{covol}(L_1 + L_2) \leq \log \text{covol}(L_1) + \log \text{covol}(L_2)$$

this inequality has an interpretation as a parallelogram

diagram :

L_1, L_2 are subgroups of L of rank k, l .

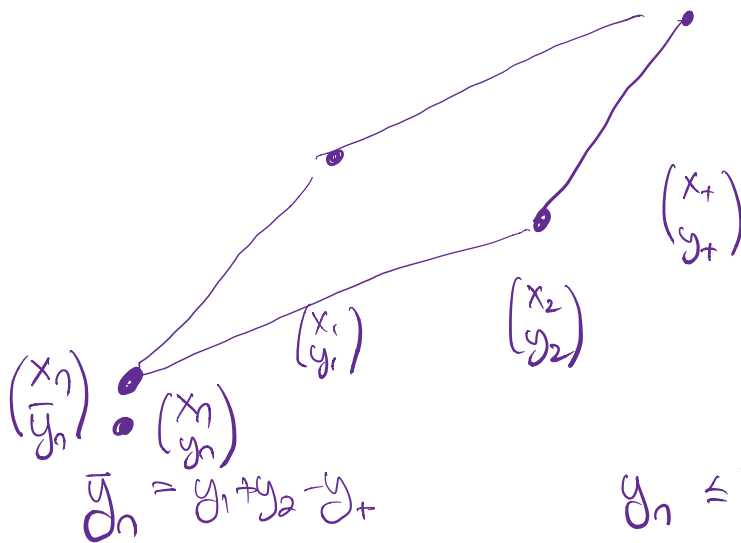
Suppose $\text{rank}(L_1 + L_2) = m$

Then $\text{rank}(L_1 \cap L_2) = k + l - m$

$k = x_1 \quad l = x_2 \quad m = x_+$ $k + l - m = x_n$

$y_i = \log \text{covol}(L_i) \quad , i=1, 2$

$$y_+ = \log \text{covol}(L_1 + L_2) \quad y_n = \log \text{covol}(L_1 \cap L_2).$$



$$\begin{pmatrix} x_n \\ \bar{y}_n \end{pmatrix} = \begin{pmatrix} x_1 \\ y_1 \end{pmatrix} + \begin{pmatrix} x_2 \\ y_2 \end{pmatrix} - \begin{pmatrix} x_+ \\ y_+ \end{pmatrix}$$

Pf of thm ① Suppose $(k, \log \alpha_k)$

is a vertex of the profile, $\alpha_k = \text{covol}(L_1) = \text{covol}(L_2)$

$$\text{rank}(L_1) = \text{rank}(L_2) = k.$$

In the parallelogram diagram we get

$$\begin{pmatrix} x_1 \\ y_1 \end{pmatrix} = \begin{pmatrix} x_2 \\ y_2 \end{pmatrix}, \text{ so line } \sigma \text{ connecting } \begin{pmatrix} x_n \\ y_n \end{pmatrix} \text{ to } \begin{pmatrix} x_+ \\ y_+ \end{pmatrix}$$

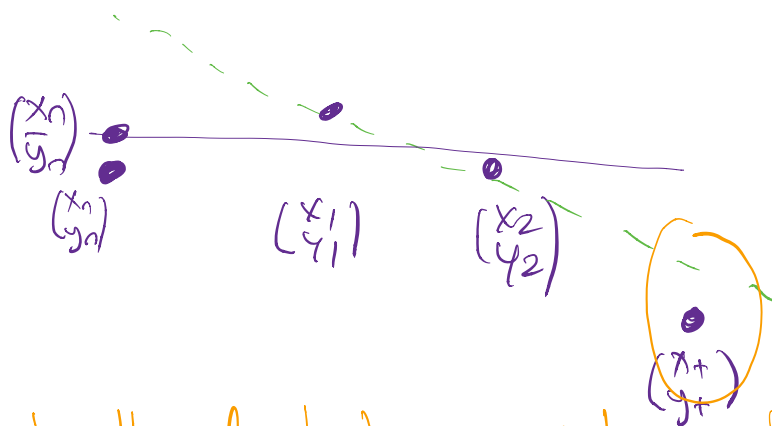
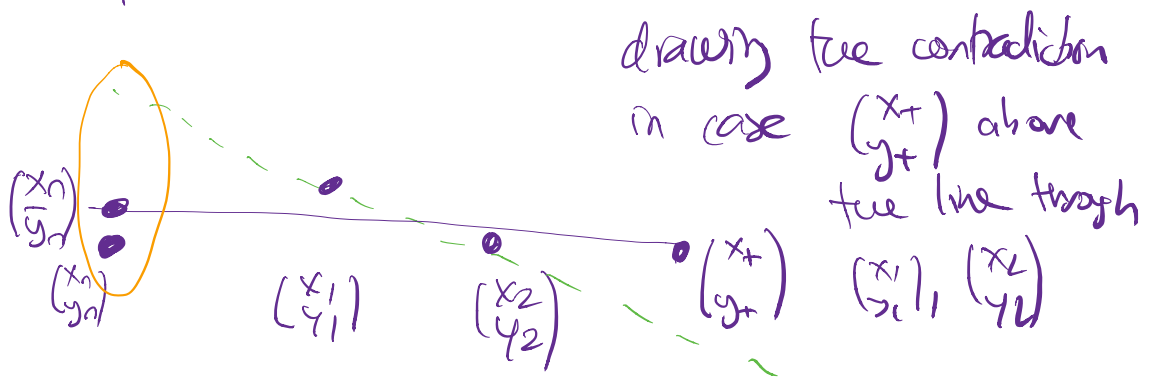
is below $\begin{pmatrix} x_1 \\ y_1 \end{pmatrix}$. Contradicts the fact

facet (x_1, y_1) is an extreme pt of the profile, unless r is degenerate, i.e.

$$x_1 = x_1 \cap x_2 \Rightarrow \dim(L_1 \cap L_2) = \dim(L_1) = \dim(L_2)$$

$$\Rightarrow L_1 \cap L_2 = L_1 = L_2.$$

(2) $(x_1, y_1), (x_2, y_2)$ are both extreme pts. of profile, suppose $x_1 < x_2$.



not allowed to have points of the form $(m, \text{big count}(L_0))$, $\text{rank}(L_0) = m$, below green

line.

In both cases have a contradiction, unless

$$x_1 = x_2 \Rightarrow \text{rank}(L_1 \cap L_2) = \text{rank}(L_1)$$

$$\Rightarrow L_1 \cap L_2 = L_1 \Rightarrow L_1 \subset L_2.$$

$$\textcircled{3} \quad A(L) = \left\{ (k, \log \text{convol}(L_0)) : L_0 \subset L, \text{rank}(L_0) = k \right\}$$

$$A(L_i) \subset A(L), \text{ for any } L_i \subset L.$$

$A^\geq(L_i)$ lies above $A^\geq(L)$.

pts in the profile of L , with $\text{rank}(L_0) \leq i$, also belong to $A^\geq(L_i)$, by $\textcircled{2}$.

So profile of L_i is the profile of L , restricted to x coordinate in $\{0, \dots, \text{rank}(L_i)\}$.

$\textcircled{3}$ second statement } ex.
 $\textcircled{4}$

The space of lattices

Recall: There is a bijection

$$\left\{ \begin{array}{l} \text{lattices in} \\ \mathbb{R}^n \end{array} \right\} \longleftrightarrow \frac{GL_n(\mathbb{R})}{GL_n(\mathbb{Z})}$$

\uparrow
 $n \times n$ nr. real matrices
 $n \times n$ integer matrices
 with $\det = \pm 1$

$$g\mathbb{Z}^n \longleftrightarrow gGL_n(\mathbb{Z}), g \in GL_n(\mathbb{R})$$

This is a bijection because $GL_n(\mathbb{R})$ acts transitively on all lattices, $GL_n(\mathbb{Z})$ is stabilizer of \mathbb{Z}^n .

$$\left\{ \begin{array}{l} \text{lattices} \\ \text{of covol} = 1 \end{array} \right\} \longleftrightarrow \frac{SL_n(\mathbb{R})}{SL_n(\mathbb{Z})}$$

\uparrow
 $n \times n$ real matrices
 of $\det = 1$
 $n \times n$ integer matrices
 of $\det = 1$

(check $SL_n(\mathbb{R})$ transitive on lattices of covol = 1 and $SL_n(\mathbb{Z})$ stabilizer of \mathbb{Z}^n).

$$Cl(\mathbb{R}^n) = \left\{ \begin{array}{l} \text{closed subsets} \\ \text{of } \mathbb{R}^n \end{array} \right\}$$

$$\left\{ \begin{array}{l} \text{lattices} \\ \text{in } \mathbb{R}^n \end{array} \right\} \subset \mathcal{C}(\mathbb{R}^n)$$

On $\mathcal{C}(\mathbb{R}^n)$, define the Chabauty-Fell metric by

$$D(X, Y) = \inf \left\{ \varepsilon \geq 0 : \begin{array}{l} \{ \varepsilon < 0, 1 \} : \forall x \in B(0, \varepsilon) \cap X, \exists y \in Y \\ \text{with } \|x - y\| < \varepsilon \\ \forall y \in B(0, \varepsilon) \cap Y, \exists x \in X \\ \text{with } \|x - y\| < \varepsilon \end{array} \right\}$$

Ex 1. this is a metric

2. $\mathcal{C}(\mathbb{R}^n)$ is compact

Prop Let L_1, L_2, L_3, \dots be lattices in \mathbb{R}^n .

The following are equivalent: (a) $L_j \xrightarrow{j \rightarrow \infty} L$ (w.r.t. D)

(b) (i) $\forall l \in L \exists l_j \in L_j$ s.t. $l_j \xrightarrow{j \rightarrow \infty} l$

(ii) If $j_k \rightarrow \infty, l_{j_k} \in L_{j_k}$ s.t. $l_\infty = \lim_{k \rightarrow \infty} l_{j_k}$ exists,

then $l_\infty \in L$.

(c) For any basis v_1, \dots, v_n of L \exists bases

$v_1^{(j)}, \dots, v_n^{(j)}$ of L_j s.t. for $i = 1, \dots, n$,

$$v_i^{(j)} \xrightarrow{j \rightarrow \infty} v_i.$$

(a) Writing $l_j = g_j \mathbb{Z}^n$ $g_j \in GL_n(\mathbb{R})$

$$L = g \mathbb{Z}^n \quad g \in GL_n(\mathbb{R})$$

$\exists g_j \in GL_n(\mathbb{R})$ s.t. $g_j \xrightarrow{j \rightarrow \infty} g$
(convergence in $GL_n(\mathbb{R}) \subset \mathbb{R}^{n^2}$).

The functions $L \mapsto \delta_1(L)$

$$L \mapsto \text{covol}(L)$$

are both continuous w.r.t. D , i.e.

$$l_j \rightarrow L \Rightarrow \begin{cases} \delta_1(l_j) \rightarrow \delta_1(L) \\ \text{covol}(l_j) \rightarrow \text{covol}(L) \end{cases}$$

PF (a) \Rightarrow (b) $D(l_j, L) \xrightarrow{j \rightarrow \infty} 0$

$$\varepsilon_j = 2D(l_j, L) \rightarrow 0$$

(i) Given $l \in L$, choose j_0 so that

$$\frac{1}{3\varepsilon_j} > \|l\| \quad \forall j \geq j_0. \text{ Then by } D(L, l_j) < \varepsilon_j$$

$$\exists l_j \in L_j \text{ s.t. } \|l - l_j\| < \varepsilon_j \rightarrow 0 \\ \text{so } l_j \rightarrow l.$$

(ii) Suppose $l_{j_k} \in L_{j_k}$, $l_{j_k} \rightarrow l_\infty$

Let j_0 s.t. $\frac{1}{\epsilon_j} > \|l_\infty\| + 1 \quad \forall j \geq j_0$,

and $\|l_j - l_\infty\| < \frac{1}{\epsilon_j} \quad \forall j \geq j_0$

By defn of D $\exists \bar{l}_{j_k} \in L$ s.t. $\|l_{j_k} - \bar{l}_{j_k}\| < \epsilon_{j_k} \rightarrow 0$

$\bar{l}_{j_k} \xrightarrow{k \rightarrow \infty} l_\infty \Rightarrow l_\infty \in L$,
(L closed)

(b) \Rightarrow (c) We first show (b) $\Rightarrow \lambda_1(L_j) \rightarrow \lambda_1(L)$.

Let $v_j \in L_j$ s.t. $v_j \rightarrow v$, $\|v\| = \lambda_1(L)$

$$\lambda_1(L_j) \leq \|v_j\|$$
$$\limsup_{j \rightarrow \infty} \lambda_1(L_j) \leq \limsup_{j \rightarrow \infty} \|v_j\| = \|v\| = \lambda_1(L).$$

Let $c = \liminf_{j \rightarrow \infty} \lambda_1(L_j)$, suppose by contr.

that $c < \lambda_1(L)$. If $c > 0 \exists j_k \rightarrow \infty$

and $v_{j_k} \in L_{j_k}$ s.t. $\|v_{j_k}\| = \lambda_1(L_{j_k})$

* Passing to a further subsequence,

$$v_{j_k} \rightarrow v_\infty \in L \quad (\text{by } \textcircled{b}).$$

$$c = \lim_{k \rightarrow \infty} \|v_{j_k}\| = \|v_\infty\| \geq \lambda_1(L) \text{ contr.}$$

If $c > 0$, then for large enough k

L_{j_k} contains a vector v_{j_k} of length

$< \frac{\lambda_1(L)}{3}$. Multiplying by an integer, set

$u_{j_k} \in L_{j_k}$ of length in $[\frac{\lambda_1(L)}{3}, \frac{2\lambda_1(L)}{3}]$

Passing to a further subsequence,

$$u_{j_k} \rightarrow w \in L, \quad \|w\| \in [\frac{\lambda_1(L)}{3}, \frac{2\lambda_1(L)}{3}]$$

contradiction.

Continuing with $\textcircled{b} \Rightarrow \textcircled{c}$. By $\textcircled{b} \exists v_i^{(j)} \in L_j$

$$\text{s.t. } v_i^{(j)} \rightarrow v_i.$$

$$\text{let } \bar{L}_j = \text{span}_{\mathbb{Z}}(v_1^{(j)}, \dots, v_n^{(j)}) \subset L_j.$$

Conclusion is satisfied for \bar{L}_j instead of L_j .

∞

Also $\text{covol}(L_j) = |\det(v_1^{(j)}, \dots, v_n^{(j)})| \xrightarrow{j \rightarrow \infty} |\det(v_1, \dots, v_n)| = \text{covol}(L)$

Suppose by contradiction that along an infinite subsequence of j , $\bar{L}_j \neq L_j$.

(From now on, pass to subsequences freely).

$[L_j : \bar{L}_j] > 1$. By cont. of λ_1 ,

$\lambda_1(L_j)$ is bounded below (ind. of j).

So $\exists \eta > 0 \exists C > 0$ s.t.

$$0 < \eta \leq \lambda_1(L_j) \leq \lambda_1(L_j) \cdots \lambda_n(L_j) \stackrel{\text{Mink. 2nd form}}{\leq} C \text{covol}(L_j) \leq C \text{covol}(\bar{L}_j) \rightarrow C \text{covol}(L).$$

Passing to a subsequence, $\text{covol}(L_j)$ converges to some positive number, and

$$\text{covol}(\bar{L}_j) = [L_j : \bar{L}_j] \text{covol}(L_j)$$

$[L_j : \bar{L}_j] = M$ (along a subsequence).

By a result proved in lecture 1, there

is a basis $u_1^{(j)}, \dots, u_n^{(j)}$ of L_j , s.t.

$$v_1^{(j)} = a_{11} u_1^{(j)}$$

$$v_2^{(j)} = a_{21} u_1^{(j)} + a_{22} u_2^{(j)}$$

$$v_n^{(j)} = a_{n1} v_1^{(j)} + \dots + a_{nn} v_n^{(j)}$$

a_{kl} depend on j , and satisfy:

$$a_{kl} \in \mathbb{Z}, \quad a_{ii} \in \mathbb{N} \quad a_{11} \cdots a_{nn} = M$$

$$|a_{kl}| \leq a_{ll}$$

Passing to a subsequence, can assume

a_{kl} are independent of j .

Let i_0 be the small index so that $u_{i_0}^{(j)} \notin \overline{L_j}$

$$\text{i.e. } a_{11} = \dots = a_{i_0-1, i_0-1} = 1, \quad a_{i_0 i_0} > 1.$$

Write $m = a_{i_0 i_0} > 1$.

then for $i=1, \dots, i_0-1$, $u_i^{(j)} \in \text{span}_{\mathbb{Z}}(v_1^{(j)}, \dots, v_i^{(j)})$

and $u_{i_0}^{(j)} = \sum_{i \leq i_0} b_i v_i^{(j)}$ with

$$b_i \in \frac{1}{m} \mathbb{Z}, \quad b_{i_0} = \frac{1}{m}.$$

thus $u_{i_0}^{(j)} \notin \overline{L_j}$.

Passing to a subsequence $u_{i_0}^{(j)} \rightarrow u \in L$

$$\text{and } u = \sum_{i=i_0} b_i v_i \quad b_{i_0} = \frac{1}{m} \notin \mathbb{Z}. \quad (\text{by } \textcircled{5})$$

contradiction to the fact v_1, \dots, v_n are a basis of L .

$$\textcircled{c} \Rightarrow \textcircled{d} \quad \text{let } L_j = g_j \mathbb{Z}^n \quad L = g \mathbb{Z}^n$$

$$L_j = \begin{pmatrix} | & & | \\ v_1^{(j)} & \dots & v_n^{(j)} \\ | & & | \end{pmatrix} \mathbb{Z}^n = h_j \mathbb{Z}^n$$

$$\exists \tau_j \in \text{GL}_n(\mathbb{Z}) \text{ s.t. } g_j \tau_j = h_j$$

$$h_j \rightarrow (v_1 \dots v_n) = h \quad h \mathbb{Z}^n = L$$

$$h = g \tau \quad \text{for some } \tau \in \text{GL}_n(\mathbb{Z})$$

$$r_j = \tau_j \tau^{-1}$$

$$g_j r_j = g_j \tau_j \tau^{-1} \rightarrow h \tau^{-1} = g \quad \text{proving } \textcircled{d}.$$

$$\textcircled{d} \Rightarrow \textcircled{a} \quad \text{Denote, for } g \in \text{GL}_n(\mathbb{Z}),$$

$$\|g\|_{op} = \sup_{\substack{x \in \mathbb{R}^n \\ \|x\|=1}} \frac{\|gx\|}{\|x\|}.$$

Given $\varepsilon > 0$, let j_0 be large enough s.t.

$$\text{for all } j \geq j_0, \|g_j \sigma_j g_j^{-1} - Id\|_{op} < \varepsilon^2$$

$$\text{and } \|g_j \sigma_j^{-1} g_j^{-1} - Id\|_{op} < \varepsilon^2.$$

The mapping $g_j \sigma_j g_j^{-1}$ maps $L = gZ^n$ to $L_j = g_j Z^n$

$$g_j \sigma_j^{-1} g_j^{-1} \text{ " } L_j \text{ " } L.$$

For any $x \in L \cap B(0, \frac{1}{\varepsilon})$, then $g_j \sigma_j g_j^{-1} x \in L_j$

$$\text{and } \|g_j \sigma_j g_j^{-1} x - x\| < \|x\| \cdot \varepsilon^2 \leq \varepsilon.$$

Similarly $x \in L_j \cap B(0, \frac{1}{\varepsilon})$,

$$\|g_j \sigma_j^{-1} g_j^{-1} x - x\| < \varepsilon$$

$$D(L_j, L) < \varepsilon.$$

Remarks: (i) (a) \Leftrightarrow (b) works for any sequence in $Cl(\mathbb{R}^n)$. (ex.)

(b) The top. induced by D is the quotient top. on

$$GL_n(\mathbb{R}) / GL_n(\mathbb{Z})$$

(smallest top. on $GL_n(\mathbb{R}) / GL_n(\mathbb{Z})$)

(making the proj. map cts.).