

Introduction to Shimura varieties:

Motivation is modular curves, Hilbert modular varieties, Siegel modular varieties. These are all special cases of Shimura varieties.

1. Shimura datum - input

(G, X)

G = connected reductive group over \mathbb{Q}

X = finite disjoint union of Hermitian symmetric domains.

$(\cong G(\mathbb{R})/K_{\infty}')$

almost max. compact subgroup.

X is the $G(\mathbb{R})$ -conjugacy classes of

$h: \text{Res}_{\mathbb{C}/\mathbb{R}} G_m \rightarrow G_{\mathbb{R}}$.

We don't allow any (G, X) , they are subject to a list of axioms. (ex. $(G \neq GL_n, n > 3)$).

Example: $n > 1, J = \begin{pmatrix} 0_n & I_n \\ -I_n & 0_n \end{pmatrix} \in \text{Mat}_{2n}(\mathbb{Z})$

$G = GSp_{2n} = \{ (g, \lambda) \in GL_{2n} \times G_m : {}^t g J g = \lambda J \}$.

$X = \mathcal{H}_n^{\pm} = \{ z \in \text{Mat}_n(\mathbb{C}) : {}^t z = z, \text{Im}(z) > 0 \text{ or } \text{Im}(z) < 0 \}$.

Specialize to $n=1$:

$GSp_2 = GL_2$

$X = \mathcal{H}_1^{\pm} = \mathbb{C} - \mathbb{R}$.

is

$GL_2(\mathbb{R})/SO_2(\mathbb{R})\mathbb{R}^{\times}$

$\begin{pmatrix} a & b \\ c & d \end{pmatrix}$

} gives rise to modular curves.

$\mathbb{C} - \mathbb{R}$

$\frac{ai+b}{ci+d}$

Example: $G = \text{tors}$
 $X = \text{pt.}$

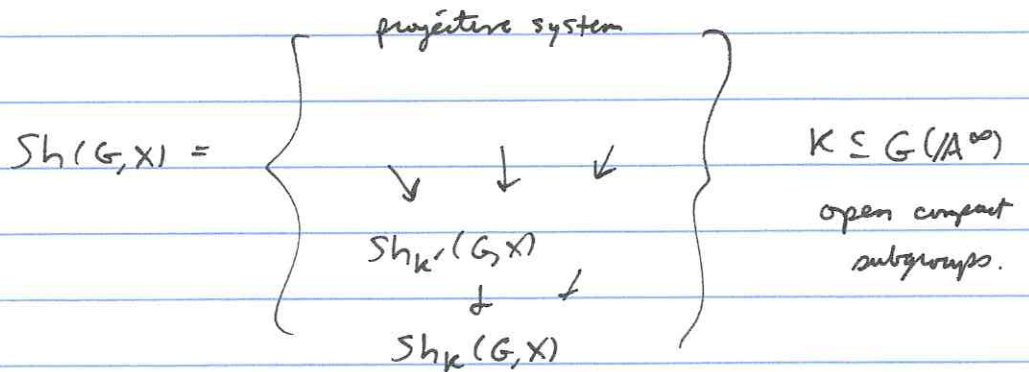
2. Overview:

Shimura datum (G, X) gives rise to

(i) a reflex field $E(G, X) \subset \mathbb{C}$ $\left(G = \text{GSp}_{2n} \Rightarrow E(G, X) = \mathbb{Q} \right)$
 \uparrow
 # field

(ii) Shimura variety \swarrow finite adeles
 $\text{Sh}(G, X) \curvearrowright G(\mathbb{A}^\infty)$ over $E(G, X)$.

"Hecke action"



$\forall g \in G(\mathbb{A}^\infty), \exists$ canonical map

$$g: \text{Sh}_{K'}(G, X) \rightarrow \text{Sh}_K(G, X)$$

if $g^{-1}K'g \subseteq K$.

Each $\text{Sh}_K(G, X)$ is a quasi-projective smooth variety over $E(G, X)$ (possibly disconnected)

$\text{Sh}(G, X)$ is a scheme quasi-compact separated (not finite type) / $E(G, X)$.

There are two approaches to Shimura varieties:

- (1) \mathbb{C} -manifold \leadsto \mathbb{C} -variety $\xrightarrow{\text{Weil descent}}$ Sh. var / $E(G, X)$. (lecture 1)
- (2) moduli problem $\xrightarrow[\text{representable}]{\text{show}}$ Sh / $E(G, X)$ (lecture 2)

3. Shimura varieties over \mathbb{C} :

Define, as a set,

$$\text{Sh}_K(G, X) = G(\mathbb{Q}) \backslash X \times G(\mathbb{A}^\infty) / K$$

where $\gamma(x, g)K = (\gamma x \gamma^{-1}, \gamma g \gamma^{-1})$

Define $g': \text{Sh}_K(G, X) \rightarrow \text{Sh}_K(G, X)$ $g \in G(\mathbb{A}^\infty) \notin K$
 $(x, g) \longmapsto (x, gg')$

This is well-defined if $(g')^{-1}K'g' \subseteq K$.

Borel: $G(\mathbb{Q}) \backslash G(\mathbb{A}^\infty) / K$ finite set.

So one can identify $\text{Sh}_K(G, X)$ with finite disjoint union:

$$\text{Sh}_K(G, X) = \coprod_{i \in I} \Gamma_i \backslash X^+ \quad X^+ = \text{connected component}$$

Exercise: Assume $X = X^+$

$$G(\mathbb{A}^\infty) = \coprod_{i \in I} G(\mathbb{Q}) g_i K$$

\leadsto can take $\Gamma_i = g_i K g_i^{-1} \cap G(\mathbb{Q})$.

Step 1: There is a holomorphic structure on X^+ , which induces a holomorphic structure on $\Gamma_i \backslash X^+$, and so a holo. structure on $\text{Sh}_K(G, X)$.

Baily-Borel: \exists canonical open emb.

$$\Gamma_i \backslash X^+ \hookrightarrow \text{a proj. } \mathbb{C}\text{-mult.} \\ (= \text{proj. } \mathbb{C}\text{-var.})$$

Step 2: $\text{Sh}_K(G, X)$ is a quasi-proj. var. / \mathbb{C} .

Example: $G = \text{GL}_2$, $X = \mathfrak{h}^\pm$, $K = \text{GL}_2(\hat{\mathbb{Z}})$.

$$\text{Sh}_K(G, X) = \text{GL}_2(\mathbb{Q}) \backslash \mathfrak{h}^\pm \times \text{GL}_2(\mathbb{A}^\infty) / \text{GL}_2(\hat{\mathbb{Z}})$$

$$= \text{GL}_2(\mathbb{Q})^+ \backslash \mathbb{R} \times \underbrace{\text{GL}_2(\mathbb{A}^\infty)}_{\text{by strong approx.}}$$

\downarrow
 $\text{GL}_2(\mathbb{Q})^+ \text{GL}_2(\hat{\mathbb{Z}})$ by strong approx.

$$\cong \underbrace{\text{GL}_2(\mathbb{Q})^+ \cap \text{GL}_2(\hat{\mathbb{Z}})}_{\text{SL}_2(\mathbb{Z})} \backslash \mathfrak{h} \quad \left(\begin{array}{l} \text{Similar when } G = \text{GSp}_{2n}, \\ X = \mathfrak{h}_n^\pm, \dots \end{array} \right)$$

Example: Same G, X , but $K = K(N) = \ker(\text{GL}_2(\hat{\mathbb{Z}}) \rightarrow \text{GL}_2(\hat{\mathbb{Z}}/N\hat{\mathbb{Z}}))$

$$\text{Sh}_K(G, X) = \coprod_{i \in (\mathbb{Z}/N\mathbb{Z})^\times} \Gamma(N)_i \backslash \mathfrak{h}.$$

4. Moduli interpretation of \mathbb{C} -points:

Context: Abelian varieties / \mathbb{C} (a.v.)

$$A = \text{a.v.} / \mathbb{C}, \dim = n.$$

$$T_0 A = \text{Lie } A \cong \mathbb{C}^n \xrightarrow{\text{exp}} A$$

↑
tangent space at id.

$$\text{Ker} = \Lambda \subseteq \mathbb{C}^n \text{ rank } 2n \text{ free } \mathbb{Z}\text{-lattice}$$

$$\Rightarrow A \cong \mathbb{C}^n / \Lambda.$$

$$\left\{ A = \text{A.v. dim } n \right\} \longleftrightarrow \left\{ \begin{array}{l} \Lambda \subseteq \mathbb{C}^n \text{ s.t. } \exists \\ E: \Lambda \times \Lambda \rightarrow \mathbb{Z} \text{ "Riemann form"} \\ \bullet E \text{ nondeg. alt.} \\ \bullet H(u,v) = E(u,iv) + iE(u,v) \text{ is} \\ \text{pos. def. Herm. form} \\ \mathbb{C}^n \times \mathbb{C}^n \rightarrow \mathbb{C} \end{array} \right\}$$

$$\text{We get } \{ (A, \lambda) \} \longleftrightarrow \{ (\Lambda, E) \}$$

$$\lambda: A \rightarrow A^\vee$$

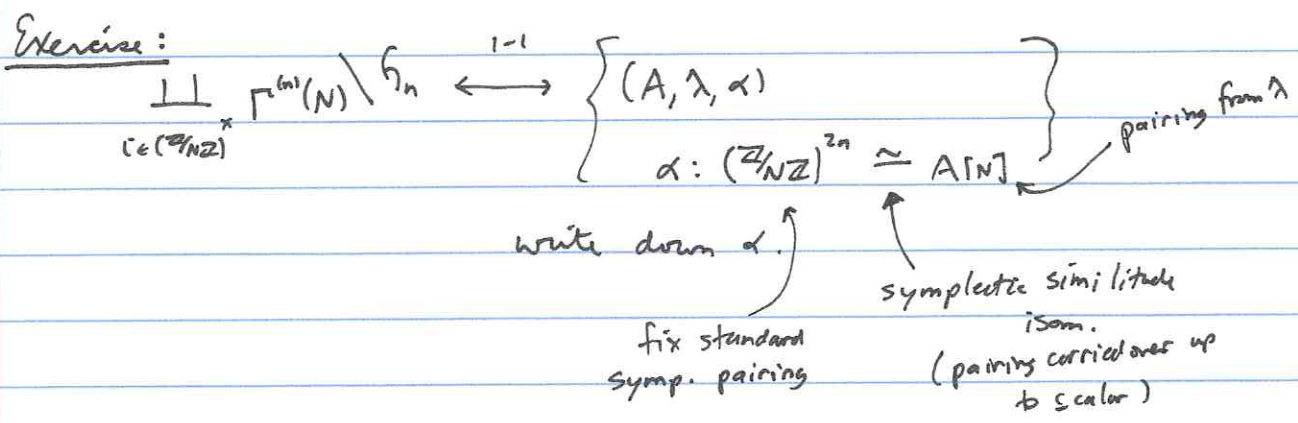
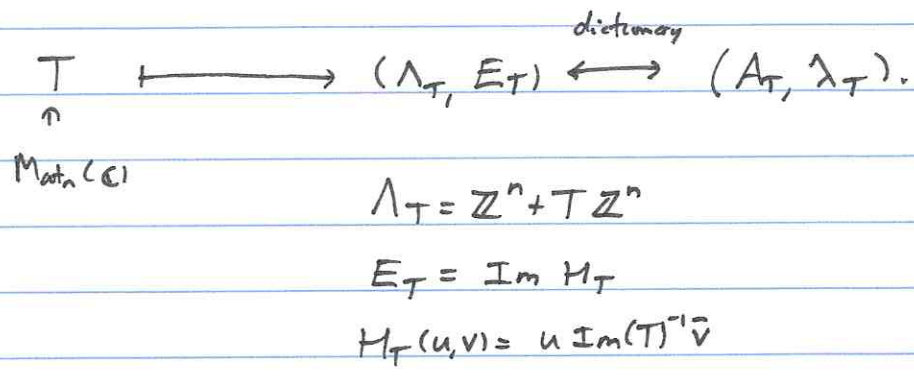
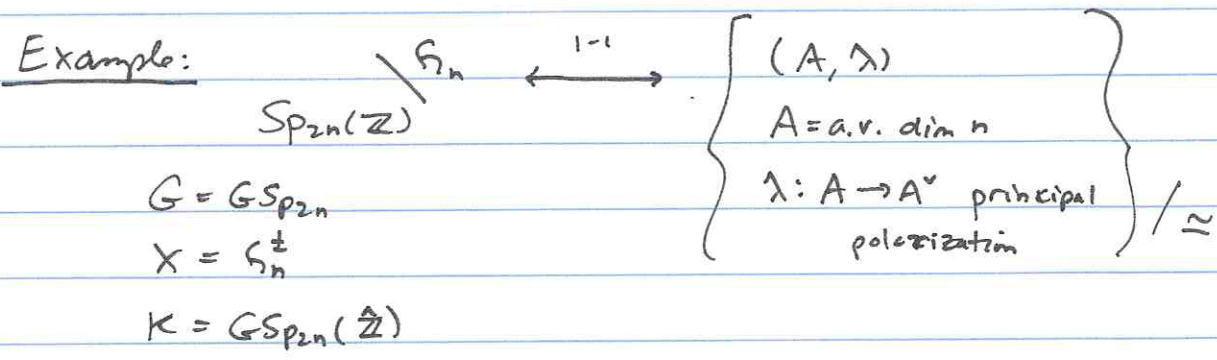
polarization

Example: $SL_2(\mathbb{Z}) \backslash \mathfrak{H} \longleftrightarrow \{ \text{elliptic curves} / \mathbb{C} \} / \sim$

$$\tau \longmapsto (E_\tau := \mathbb{C} / \mathbb{Z} + \tau\mathbb{Z})$$

Example: $\prod_{c \in (\mathbb{Z}/N\mathbb{Z})^\times} \Gamma(N) \backslash \mathfrak{H} \longleftrightarrow \{ (E, \alpha) \mid \alpha: (\mathbb{Z}/N\mathbb{Z})^2 \cong E[N] \} / \sim$

$$(i, \tau) \longmapsto (E_\tau, \alpha(c,d) = \frac{ci + d\tau}{N})$$



5. Canonical models over $E(G, X)$:

Read: Deligne or Milne.

Basic idea:

• Consider (special points) $\subset \text{Sh}_K(\mathbb{C})$
 \uparrow
 Zar. dense

Morally, these special points correspond to CM a.v.

- Require special points defined / $\bar{\mathbb{Q}}$
 prescribe Galois action

Thm: (Shimura, Deligne, Milne, ...) There exists a unique canonical model for $Sh_K(G, X) / E(G, X)$. (Canonical up to unique isomorphism).

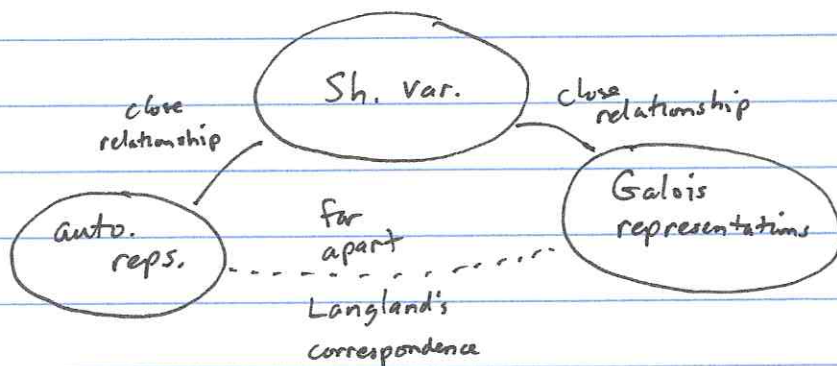
6. Motivation:

$$Sh(G, X) = \varprojlim_K G(\mathbb{Q}) \backslash X \times G(\mathbb{A}^{\infty}) / K \quad \curvearrowright G(\mathbb{A}^{\infty})$$

Compare with theory of automorphic forms:

$$\begin{array}{l} \text{irred reps} \subseteq L^2(G(\mathbb{Q}) \backslash G(\mathbb{A}) / A_{G, \infty}) \quad \curvearrowright G(\mathbb{A}) \text{ right trans.} \\ \updownarrow \\ \text{auto. reps of } G(\mathbb{A}). \end{array}$$

copies of $\mathbb{R}_{>0}^x$ in $Z(G(\mathbb{R}))$.

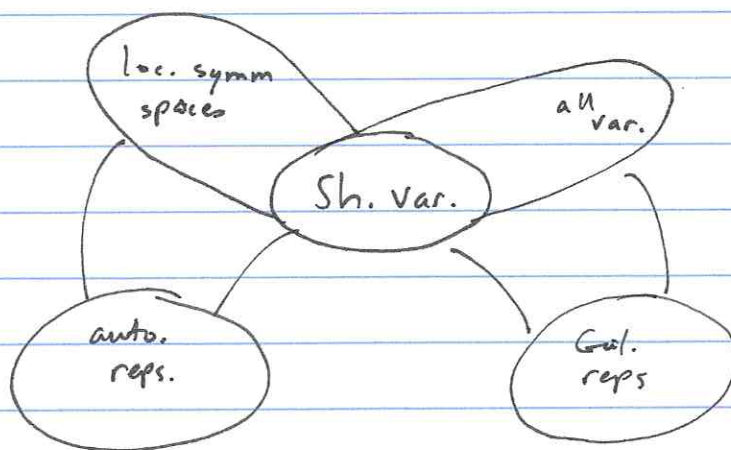


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$$\begin{aligned} H_{\text{ét}}(Sh, \mathbb{C}) &= \varinjlim_K H_{\text{ét}}(Sh_K \times_E \bar{E}, \mathbb{C}) \\ \uparrow \\ Gal(\bar{E}/E) \times G(\mathbb{A}_f) &= \bigoplus (\text{aut. rep.}) \otimes (\text{Gal. rep.}) \end{aligned}$$

related to Langlands.

Better handle on auto reps, can test which show up in cohom.. then attach Gal. rep. Don't know a priori which Galois reps occur.



But when you extend can't connect anymore.

PEL Shimura Varieties

Ref: Kottwitz JAMS 1992
Milne

1. What is a PEL Shimura var?

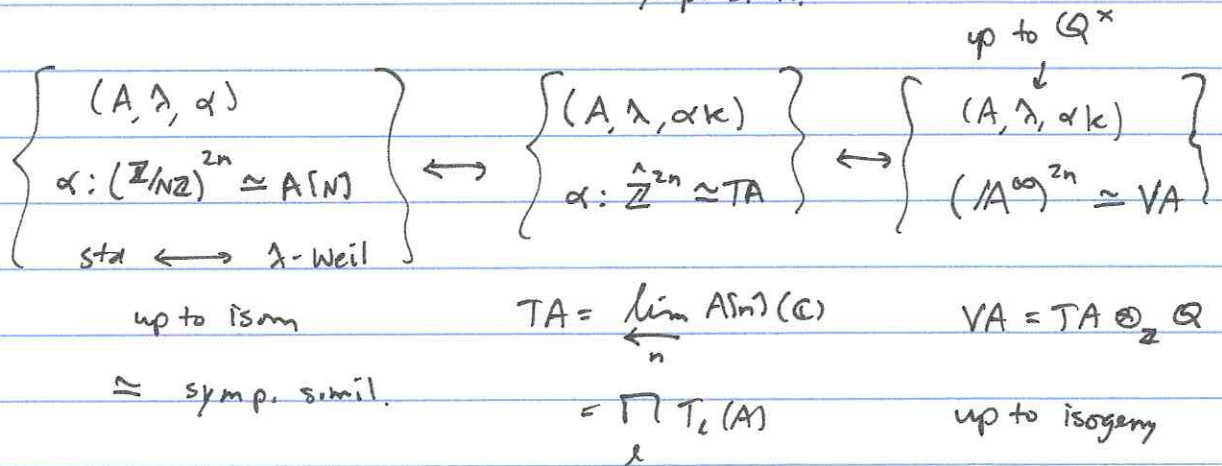
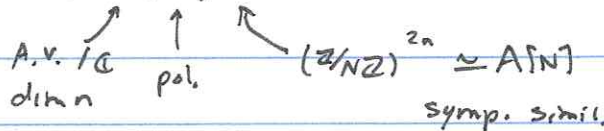
Sh. var. is of PEL type if its a moduli space of (A, λ, i, α)

- A abel. scheme
- λ polar P
- i endomorphism E
- α level structure L

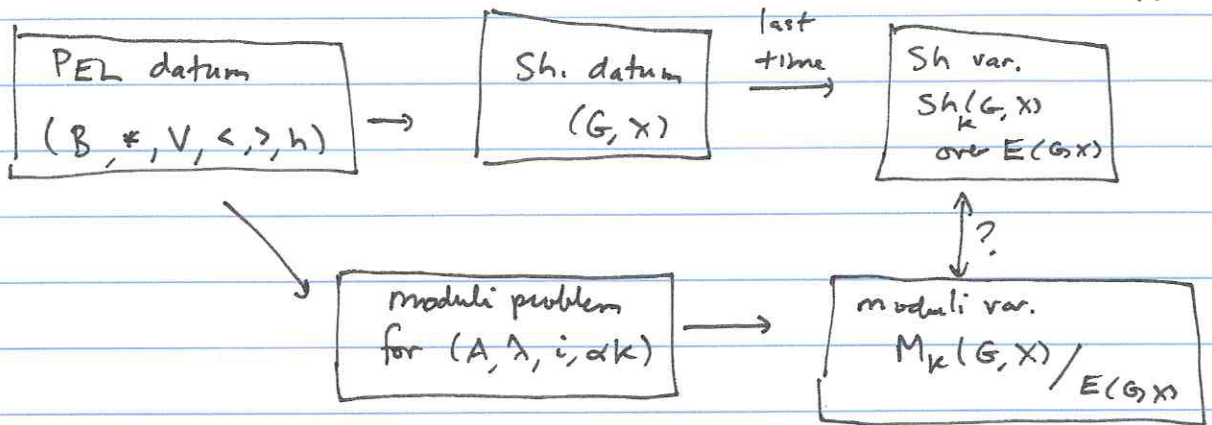
Example: $K = K(N) \subset GSp_{2n}(\hat{\mathbb{Z}})$

$$Sh_K(GSp_{2n}, \mathcal{H}_n^\pm) = \coprod_{i \in (\mathbb{Z}/N\mathbb{Z})^\times} \Gamma(N) \backslash \mathcal{H}_n$$

$$\longleftrightarrow \{ (A, \lambda, \alpha) \} / \sim$$



2. Overview:



About (?): $M_k(G, X)$ is $\# \ker'(\mathcal{O}, G)$ - ^{finite} copies of $Sh_k(G, X)$.

3. PEL datum:

$B = \text{fin. dim. s.s. alg.} / \mathbb{Q}$.

$*$ = pos. involution on B

$$(\text{tr}_{B/\mathbb{R}}(bb^*)) > 0 \quad \forall b \in B_{\mathbb{R}} \setminus \{0\}$$

$V = \text{fin. free } B\text{-module}$

$\langle, \rangle : V \times V \rightarrow \mathbb{Q}$, non-deg. alt. $(B, *)$ -Hermitian

$$\langle bv, v_2 \rangle = \langle v, b^* v_2 \rangle \quad \forall b \in B, v_1, v_2 \in V.$$

$h: \mathbb{C} \rightarrow \text{End}_{B_{\mathbb{R}}}(V_{\mathbb{R}})$ \mathbb{R} -alg. homom. $(x, y) \mapsto \langle x, h(i)y \rangle$ is pos. def.

$$\langle h(z)v_1, v_2 \rangle = \langle v_1, h(\bar{z})v_2 \rangle.$$

Motivation:

$A = \text{abs. var.} / \mathbb{C}$.

$\lambda: A \rightarrow A^{\vee}$ pol.

$i: B \hookrightarrow \text{End}(A) \otimes_{\mathbb{Z}} \mathbb{Q}$, B as above

Other datum now comes from this info. in this case,

$*$ = restriction of λ -Rosati involution.

$$\begin{array}{ccc} A & \xrightarrow{\lambda} & A^\vee \\ f \downarrow & & \uparrow f^\vee \\ A & \xrightarrow{\lambda} & A^\vee \end{array}$$

$$f \mapsto \lambda^{-1} f^\vee \lambda$$

λ-Resati

$$V = H_1(A, \mathbb{Q}).$$

\langle, \rangle : Riemann form ← \mathbb{C} -v.s. of dim n .

$$h: \mathbb{C} \rightarrow H_1(A, \mathbb{R}) \cong \text{Lie}(A)$$

so h is just giving complex structure on $\text{Lie}(A)$.

4. PEL \rightarrow Shimura datum:

$\forall R: \mathbb{Q}$ -alg.

$$G(R) = \{ (g, \lambda) \in \text{End}_{B_R}(V_R) \times R^\times : \langle gv_1, gv_2 \rangle = \lambda \langle v_1, v_2 \rangle \forall v_1, v_2 \in V_R \}$$

↑
simil. group for (V, \langle, \rangle) .

$$\underline{X} := h: \mathbb{C} \rightarrow \text{End}_{B_{\mathbb{R}}}(V_{\mathbb{R}})$$

$$\rightsquigarrow h: \text{Res}_{\mathbb{C}/\mathbb{R}} G_{\mathbb{C}} \rightarrow G_{\mathbb{R}}$$

$X = G(\mathbb{R})$ - conjugacy classes of h .

This (G, X) satisfies the axioms for Shimura datum.

(see Kottwitz article Lemma 4.1).

$$h \rightsquigarrow h_{\mathbb{C}}: G_{\mathbb{C}} \times G_{\mathbb{C}} \rightarrow G_{\mathbb{C}}$$

$\cong \cong$

$$\mu: \mathbb{G}_m \rightarrow G_{\mathbb{C}} \quad (\text{up to } G(\mathbb{C})\text{-conj.})$$

$E(G, X) =$ field of def. of $G(\mathbb{C})$ -conj. class of μ .

$$(H = \{ \sigma \in \text{Aut}(\mathbb{C}/\mathbb{Q}) : \mu^{\sigma} \text{ and } \mu \text{ are conj. } \},$$

$E(G, X) =$ (missed this ☹)

Example: (symplectic)

$$B = \mathbb{Q} \quad * = 1 \quad V = \mathbb{Q}^{2n}, \quad \langle, \rangle \text{ standard symp. pairing}$$

$$h: \mathbb{C} \rightarrow \text{End}_{\mathbb{R}}(\mathbb{R}^{2n}) = \text{Mat}_{2n}(\mathbb{R})$$

$$z = a + bi \mapsto \begin{pmatrix} aI_n & -bI_n \\ bI_n & aI_n \end{pmatrix}$$

$$\mu: z \mapsto \begin{pmatrix} zI_n & 0 \\ 0 & I_n \end{pmatrix}$$

Then $G = \text{GSp}_{2n} / \mathbb{Q}$.

$$X = \mathcal{H}_n^{\pm} \quad \dim \frac{n(n+1)}{2}$$

$$E(G, X) = \mathbb{Q}.$$

Example: (unitary)

$$B = E \text{ (imag. quad. field)}$$

$$* = c = \text{complex conj.}$$

$$V = E^n$$

$$\langle, \rangle: E^n \times E^n \rightarrow \mathbb{Q}$$

$$(v_1, v_2) \mapsto \bigwedge_{i \in I_{\mathbb{Q}}} \left(v_i \begin{pmatrix} I_p & \\ & -I_q \end{pmatrix}^t v_i^c \right)$$

$$p+q=n.$$

$$h: \mathbb{C} \rightarrow \text{End}_{B_{\mathbb{R}}}(V_{\mathbb{R}}) \cong \text{Mat}_n(\mathbb{C}), \quad z \mapsto \begin{pmatrix} zI_p & \\ & \bar{z}I_q \end{pmatrix}$$

$$\mu: z \mapsto \begin{pmatrix} zI_p & \\ & I_q \end{pmatrix}$$

$$G = GU(p, q)$$

$$X \quad \dim = pq$$

$$E(G, X) = \begin{cases} E & p \neq q \\ \mathbb{Q} & p = q \end{cases}$$

5. Classification of PEL simple data:

Assume $B =$ simple \mathbb{Q} -alg.

$$\leadsto Z(B) = \text{field } 2^* \text{ pos. inv.}$$

$$\leadsto Z(B) = \begin{matrix} \text{tot. real} & * = 2 & 2^{\text{nd}} \text{ kind} \\ \text{or} & & \\ \text{cm} & * = \mathbb{C} & 2^{\text{nd}} \text{ kind} \end{matrix}$$

type	*	$\text{End}_{B_{\mathbb{R}}}(V_{\mathbb{R}})$	G
A	2 nd	$\text{Mat}_n(\mathbb{C})$	Unitary
C	1 st	$\text{Mat}_{2n}(\mathbb{R})$	symplectic
D	1 st	$\text{Mat}_n(\mathbb{H})$	orthogonal

↑
Hermitian

6. PEL Moduli problem:

$$S = \text{scheme} \quad (\text{Sch}/S) \xrightarrow[\text{fully faithful}]{\text{Yoneda}} \text{Functor}(\text{Sch}/S, \text{Sets})$$

$$X \longmapsto (S' \xrightarrow{h_X} \text{Hom}(S', X)).$$

Moduli problem: a functor $(\text{Sch}/S) \rightarrow \text{Sets}$
 $\mathcal{F} \quad S' \longmapsto (\text{geom. obj.}/S').$

Say \mathcal{F} is representable by a scheme T over S if $\mathcal{F} \cong h_T$.
(\mathcal{F} "is" a scheme.)

PEL moduli problem for $(B, *, V, \langle, \rangle, h)$ (at ∞ level)

$$M : (\text{Sch}/_{E(G, X)}) \longrightarrow \text{Sets}$$

$$(M := \lim M_k) \quad S \longmapsto \{ (A, \lambda, i, \alpha) \} / \sim_{\text{isog}}$$

$A = \text{ab. sch.}/S$

$\lambda: A \rightarrow A^\vee$ \mathbb{Q}^\times -orbit of polar. (in $\text{Hom}_S(A, A^\vee) \otimes_{\mathbb{Z}} \mathbb{Q}$).

$i: (B, *) \rightarrow (\text{End}_S(A) \otimes_{\mathbb{Z}} \mathbb{Q}, \lambda\text{-Rosati})$

\mathbb{Q} -alg. mor. w/ invol.

$$\alpha: (V \otimes_{\mathbb{Q}} \mathbb{A}^\infty, \langle, \rangle)_S \simeq (VA, \lambda\text{-Weil})$$

\uparrow
symp similit. isom.
compatible w/ $B \otimes_{\mathbb{Q}} \mathbb{A}^\infty$ -mod. action.

(condition on Hodge structure) $\exists B \otimes_{\mathbb{Q}} \mathcal{O}_S$ -mod isom

$$V_1 \otimes_{\mathbb{Q}} \mathcal{O}_S \simeq \text{Lie}(A) \hookrightarrow B \otimes_{\mathbb{Q}} \mathcal{O}_S$$

$$V_{\mathbb{C}} = V_1 \oplus V_2$$

\hookrightarrow	\hookrightarrow	\hookrightarrow
$h \otimes \mathbb{Z}$	$h \otimes \mathbb{Z}$	acts by \mathbb{Z}
	acts by \mathbb{Z}	

Remark: $A = \text{a.v.}/\mathbb{C}$ $V = M_*(A, \mathbb{Q})$

$$V_{\mathbb{C}} \simeq \underbrace{\text{Lie}(A)}_{V_1} \oplus \overline{\text{Lie}(A)}_{V_2}$$

Def of isogeny:

$$(A, \lambda, i, \alpha) \sim (A', \lambda', i', \alpha') \iff \exists f: A \rightarrow A' \text{ isog. carrying } (\lambda, i, \alpha) \text{ to } (\lambda', i', \alpha').$$

Remark: $G = \mathrm{GSp}_{2n}$, $B = \mathbb{Q}$

i does nothing \leadsto can get rid of it.

$G(\mathbb{A}^\infty)$ - action on M

$$\forall g \in G(\mathbb{A}^\infty), (A, \lambda, i, \alpha) \xrightarrow{g} (A, \lambda, i, \alpha \circ g).$$

\leadsto Hecke correspondences

To define M_K , in the moduli problem replace α by the \wedge
 K -orbit α_K $\pi_1(S)$ -inv.

Thm: Suppose K is sufficiently small, $K \subseteq G(\mathbb{A}^\infty)$
(K is "neat"), then M_K is represented by a quasi-projective smooth variety over $E(G, X)$.

References: [Chai - Faltings] chap 1.4 } Siegel case.

[Geometric Invariant Theory] Chap. 7

[Kottwitz] § 5 (Siegel \Rightarrow PEL)

[Lan Thesis] Chap 2 (any PEL)

[Shimura] Annals paper

Further topics:

• integral models $\begin{cases} \text{good red.} \\ \text{bad red.} \end{cases}$

• compactifications $\begin{cases} \mathbb{C} \\ E(G, X) \\ \text{integral} \end{cases}$

• p -adic geometry

Cohomology revisited:

Recall
$$\text{Met}(Sh) = \bigoplus \pi \otimes R(\pi)$$

$$\begin{array}{ccc} \hookrightarrow & \hookrightarrow & \\ G(\mathbb{A}^\infty) & \text{Gal}(\bar{E}/E) & E = \text{reflex field.} \end{array}$$

Related to Langlands.

Hypothesis: π is "stable-tempered"
(no endoscopy)

$$h \rightsquigarrow \mu: G_m \rightarrow G_G.$$

$$\rightsquigarrow (r_\mu, V_\mu) \quad r_\mu: {}^L G \rightarrow GL(V_\mu) \quad \leftarrow \text{e.v.s.}$$

$$r_\mu|_{\hat{G}} = \text{highest weight } \mu.$$

Let $v|p$. place of E .

$$\begin{array}{ccc} \pi_p \rightsquigarrow & W'_{\mathbb{Q}_p} & \rightarrow {}^L G_{\mathbb{Q}_p} \\ \uparrow & & \\ \text{Local Langlands} & & \\ \text{corresp.} & & \end{array}$$

$$\begin{array}{ccc} \rightsquigarrow \text{res.} & W'_{E_v} & \rightarrow {}^L G_{E_v} \xrightarrow{r_\mu} GL(V_\mu) \\ & \searrow & \nearrow \\ & \varphi_{\pi_p} & \end{array}$$

Recipe

$$\text{WD}(R(\pi)|_{\text{Gal}(\bar{E}_v/E_v)}) = \varphi_{\pi_p}.$$

For $GU(p,q)$ get $\binom{n}{p}$ dim Galois reps.

For GSp_{2n} get 2^n dim Galois reps.