On irreducible representations of compact $p$-adic analytic groups

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Abstract

We prove that the canonical dimension of a coadmissible representation of a semisimple $p$-adic Lie group in a $p$-adic Banach space is either zero or at least half the dimension of a nonzero coadjoint orbit. To do this we establish analogues for $p$-adically completed enveloping algebras of Bernstein's inequality for modules over Weyl algebras, the Beilinson-Bernstein localisation theorem and Quillen's Lemma about the endomorphism ring of a simple module over an enveloping algebra.

Contents

1. Introduction 453
2. Background 460
3. Almost commutative affinoid algebras 466
4. Crystalline differential operators on homogeneous spaces 474
5. Completions, deformations and characteristic varieties 481
6. The Beilinson-Bernstein theorem for $\mathcal{D}_{\mathfrak{n},K}^\wedge$ 498
7. Bernstein’s Inequality 512
8. Quillen’s Lemma 516
9. Modules over completed enveloping algebras 523
10. Microlocalisation of Iwasawa algebras 532
11. Finite-dimensional $KG$-modules 545
References 552

1. Introduction

1.1. Coadmissible $KG$-modules. Let $p$ be an odd prime, let $G$ be a compact $p$-adic analytic group, and let $K$ be a finite extension of $\mathbb{Q}_p$. Continuous
representations of $G$ in $K$-Banach spaces are of interest in many parts of modern arithmetic geometry and the Langlands programme. Following Schneider and Teitelbaum [70], we only consider the coadmissible representations of $G$, which by definition are finitely generated modules over the completed group ring $KG$ of $G$ with coefficients in $K$, defined in Section 10.12. These group rings, under the name of Iwasawa algebras, play a central role in noncommutative Iwasawa theory; see, for example, [22] for more details.

The category $\mathcal{M}$ of coadmissible $KG$-modules is abelian, and each $M \in \mathcal{M}$ has a canonical dimension $d(M)$, which gives rise to a natural dimension filtration

$$\mathcal{M} = \mathcal{M}_d \supset \mathcal{M}_{d-1} \supset \cdots \supset \mathcal{M}_1 \supset \mathcal{M}_0$$

by Serre subcategories, where $d = \dim G$ is the dimension of the $p$-adic analytic group $G$ and $M \in \mathcal{M}_i$ if and only if $d(M) \leq i$. For example, $d(M) < d$ if and only if $M$ is a torsion $KG$-module, and $d(M) = 0$ if and only if $M$ is finite-dimensional as a $K$-vector space. So in this precise sense, $d(M)$ measures the ‘size’ of the underlying vector space of the representation $M$.

1.2. Semisimple groups. The structure of these module categories is the most intricate when the Lie algebra of the group $G$ is semisimple, so we focus on this case. Here is our main result. Here is our main result.

**Theorem A.** Let $G$ be a compact $p$-adic analytic group whose Lie algebra is split semisimple. Let $p$ be an odd very good prime for $G$, and let $G_\mathbb{C}$ be a complex semisimple algebraic group with the same root system as $G$. Let $r$ be half the smallest possible dimension of a nonzero coadjoint $G_\mathbb{C}$-orbit. Then any coadmissible $KG$-module $M$ that is infinite-dimensional over $K$ satisfies $d(M) \geq r$.

The invariant $r$ depends only on the root system of $G$ and is well known in representation theory; we recall the exact values that it takes in Section 9.9. Thus, coadmissible $KG$-modules are either finite-dimensional over $K$ or rather ‘large.’ It is easy to see that in type $A$ the lower bound is attained by a module induced from a closed subgroup. We do not know if the bound is the best possible in general.

Theorem A was inspired by an analogous result [74] of S. P. Smith for the universal enveloping algebra of a complex semisimple Lie algebra. His proof does not adapt to our context because it depends on the fact that the canonical dimension function for enveloping algebras is just the Gelfand-Kirillov dimension and is therefore particularly well behaved. More precisely, if $M$ is a finitely generated module over the enveloping algebra of such a Lie algebra $\mathfrak{g}$ and $N \subseteq M$ is a finitely generated module over the enveloping algebra of a subalgebra $\mathfrak{h}$ of $\mathfrak{g}$, then $d(N) \leq d(M)$. The Gelfand-Kirillov dimension is
not available for modules over Iwasawa algebras and, in fact, the analogous property for the canonical dimension function fails for both Iwasawa algebras and the completed enveloping algebras of the next section.

1.3. Completed enveloping algebras. One way to understand the finer structure of modules over $KG$ is to study the connection between Iwasawa algebras and certain completed enveloping algebras, which are much closer in spirit to objects found in traditional representation theory. This connection was originally discovered by Lazard in his seminal 1965 paper [53]; we will explain it by means of an example.

Let $R$ be the ring of integers of $K$, and suppose that $K/\mathbb{Q}_p$ is unramified for simplicity. Take $G = \ker(SL_2(\mathbb{Z}_p) \to SL_2(\mathbb{Z}_p))$ to be the first congruence kernel of $SL_2(\mathbb{Z}_p)$; then the Iwasawa algebra $RG$ can be identified with a noncommutative formal power series ring $R[[F,H,E]]$ in three variables and $KG$ is just $RG \otimes_R K$. Now let $\mathfrak{g}$ be the $R$-Lie algebra $sl_2(R) = Rf \oplus Rh \oplus Re$, and consider the $p$-adic completion $\widehat{U}_K := \lim_{\leftarrow} \left( \frac{U(\mathfrak{g})}{p^n U(\mathfrak{g})} \right) \otimes_R K$ of the usual enveloping algebra $U(\mathfrak{g}_K)$ of $\mathfrak{g}_K = sl_2(K)$. Lazard observed that it is possible to obtain $\widehat{U}_K$ as a completion of $KG$ with respect to an intrinsically defined norm; see Section 10 for more details. The immediate advantage of replacing $KG$ by this completion is that $\widehat{U}_K$ is a much more accessible object: its topological generators satisfy standard relations such as $[e,f] = h$, whereas the commutation relations between $E$ and $F$ are more intricate.

1.4. Distribution algebras. Let $G$ be a uniform pro-$p$ group. Lazard defined a $\mathbb{Z}_p$-Lie algebra $L_G$ associated to $G$; this turns out to be free of rank $d = \dim G$ over $\mathbb{Z}_p$ and satisfies $[L_G,L_G] \leq pL_G$. Letting $\mathfrak{g} = \frac{1}{p} L_G \otimes_{\mathbb{Z}_p} R$, the completed enveloping algebra $\widehat{U}_K$ of $\mathfrak{g}$ is defined in the same way, and we show in Theorem 10.4 that it can also be obtained as a particular algebraic microlocalisation of the Iwasawa algebra $RG$. General theorems now imply that the natural map $KG \to \widehat{U}_K$ is flat. The main problem with passing to this microlocalisation of $KG$ however is that the map is not faithfully flat: there are nonzero $KG$-modules $M$ with $\widehat{U}_K \otimes_{KG} M = 0$.

In a series of papers including [68], [69], [70], [71], Schneider and Teitelbaum study a class of rings that they call the distribution algebras $D(G,K)$ of a $p$-adic analytic group $G$. From an algebraic viewpoint, these rings can be defined as the projective limit of a sequence of Noetherian algebras $D_w = D_{\sqrt[p^n]{U}(G,K)}$; here $w$ can be any real number $\geq 1$ and $D_w$ is the completion of $KG$ with respect to the degree function $\deg_w$, which is characterised by the
property that its value on \( p \) is \( w \) and its value on each of the standard topological generators of \( RG \) is 1. Schneider and Teitelbaum prove in [70, Th. 4.11] that the natural map \( KG \to D(G, K) \) is faithfully flat, so \( D(G, K) \) is in some sense better than \( \hat{U}_K = D_1 \). Unfortunately, \( D(G, K) \) is almost never Noetherian; we finesse this difficulty by never passing to the projective limit \( D(G, K) \).

As we explain in Theorem 10.11, the essence of the proof of [70, Th. 4.11] is that for any given nonzero finitely generated \( KG \)-module \( M \), the base-changed \( D_w \)-module \( D_w \otimes_{KG} M \) is nonzero for sufficiently large \( w \).

1.5. Fréchet-Stein algebras. We focus on the algebras \( D_w \), where the parameter \( w \) is an integral power of \( p \), \( w = p^n \), say. The advantage of doing so is that \( D_{p^n} \) is more understandable algebraically. It is closely related to a certain crossed product

\[
\hat{U}_{n,K} = G/G_{p^n},
\]

where \( \hat{U}_{n,K} \) is the subalgebra of \( \hat{U}_K \) obtained by completing the Iwasawa algebra \( KG_{p^n} \) of the open subgroup \( G_{p^n} \) of \( G \) with respect to its intrinsic norm; see Proposition 10.6 and also [32] for more details. We suspect that, in fact, \( D_{p^n} \) is isomorphic to this crossed product, but we will not need to prove this; our Corollary 10.11 essentially implies that to prove Theorem A above it is enough to prove the corresponding result (Theorem 9.10) for each of the algebras \( \hat{U}_{n,K} \).

In a recent preprint [67] Schmidt has studied the projective limit of our \( \hat{U}_{n,K} \), the so-called Arens-Michael envelope of the enveloping algebra \( U(g_K) \). Both the distribution algebras \( D(G, K) \) and the Arens-Michael envelopes studied by Schmidt are examples of what Schneider and Teitelbaum call Fréchet-Stein algebras. Our work on the structure of completed enveloping algebras in this paper may be viewed as an in-depth study of local data for these Fréchet-Stein structures.

1.6. Noncommutative affinoid algebras. It turns out that as a \( K \)-vector space, \( \hat{U}_K \) is the set of restricted power series in a free generating set for \( g \). Suppose that \( u_1, \ldots, u_d \) is free generating set for \( g \) as an \( R \)-module; then

\[
\hat{U}_K = \left\{ \sum_{\alpha \in \mathbb{N}^d} \lambda_{\alpha} u^\alpha : \lambda_{\alpha} \in K \quad \text{and} \quad \lambda_{\alpha} \to 0 \quad \text{as} \quad |\alpha| \to \infty \right\},
\]

where \( u^\alpha \) denotes the product \( u_1^{\alpha_1} \cdots u_d^{\alpha_d} \). In this way \( \hat{U}_K \) can be identified as a \( K \)-Banach space with the Tate algebra \( K(u_1, \ldots, u_d) \) in \( d \) commuting variables. Tate algebras form the basis of rigid, or non-archimedean, analysis; one views this particular Tate algebra as the algebra of rigid analytic functions on the unit ball \( g^* = \text{Hom}_R(g, R) \) of the \( K \)-vector space \( g_K = \text{Hom}_K(g_K, K) \). Thus we view \( \hat{U}_K \) as a rigid analytic quantization of \( g^* \), analogous to the usual way of viewing \( U(g_K) \) as an algebraic quantization of \( g_K^* \).
The subalgebras $\tilde{U}_{n,K}$ of $\tilde{U}_K$ mentioned above have the following form:

$$\tilde{U}_{n,K} = \left\{ \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha u^\alpha : \lambda_\alpha \in K \text{ and } p^{-n|\alpha|} \lambda_\alpha \to 0 \text{ as } |\alpha| \to \infty \right\}.$$ 

They can therefore be identified with the Tate algebras $K\langle p^n u_1, \ldots, p^n u_d \rangle$ as $K$-Banach spaces. We may therefore view them as rigid analytic quantizations of larger and larger closed balls $g^* \subset p^{-1}g^* \subset p^{-2}g^* \subset \cdots$ in $g_K^*$ with respect to the $p$-adic topology. Thus the collection $\{U_{n,K} : n \in \mathbb{N}\}$ together forms a quantization of the rigid analytification $(g_K^*)^{an}$ of the $K$-variety $g_K$.

The gluing of these closed balls should correspond algebraically to taking the projective limit of the affinoid algebras, and thus we recover the Arens-Michael envelopes of $U(g_K)$ studied by Schmidt.

1.7. Tate-Weyl algebras. It is well known in noncommutative algebra that the Weyl algebras $\mathbb{C}[x_1, \ldots, x_m, \partial_1, \ldots, \partial_m]$ are more tractable objects than universal enveloping algebras $U(g_{\mathbb{C}})$ and frequently influence their structure. In our setting we can form the standard $p$-adic completion

$$\tilde{A}_K = \left\{ \sum_{\alpha,\beta \in \mathbb{N}^m} \lambda_{\alpha,\beta} x^\alpha \partial^\beta : \lambda_{\alpha,\beta} \in K \text{ and } \lambda_{\alpha,\beta} \to 0 \text{ as } |\alpha| + |\beta| \to \infty \right\}$$

of the Weyl algebra $K[x_1, \ldots, x_m, \partial_1, \ldots, \partial_m]$ with coefficients in $K$, and consider analogous subalgebras

$$\tilde{A}_{n,K} = \left\{ \sum_{\alpha,\beta \in \mathbb{N}^m} \lambda_{\alpha,\beta} x^\alpha \partial^\beta \in \tilde{A}_K : p^{-n|\beta|} \lambda_{\alpha,\beta} \to 0 \text{ as } |\alpha| + |\beta| \to \infty \right\}$$

enjoying certain stronger convergence properties. We tentatively call these the Tate-Weyl algebras and view $\tilde{A}_{n,K}$ as a quantization of the rational domain

$$Y_n := \left\{ (\zeta_1, \ldots, \zeta_m, \xi_1, \ldots, \xi_m) \in K^{2m} : |\xi_i| \leq 1 \text{ and } |\zeta_i| \leq p^n \text{ for all } i \right\}.$$ 

More generally, let $X$ be a smooth $R$-scheme locally of finite type with generic fibre $X_K$, and let $X_0 \subseteq X_K^{an}$ be the unit ball inside the rigid analytification $X_K^{an}$ of $X_K$. Let $(T^*X)_0 \subseteq (T^*X_K)^{an}$ be the corresponding cotangent bundles and consider the rigid analytic variety

$$Y_n := X_0 \times X_K^{an} p^{-n}(T^*X)_0.$$ 

By patching together appropriate microlocalisations of Tate-Weyl algebras, we obtain a completed deformation $\tilde{D}_{n,K}$ of the sheaf $\mathcal{D}$ of crystalline differential operators on $X$; this is a sheaf on $X$ that is now only supported on the special fibre $X_K$. Just as in Section 1.6 above we view $\tilde{D}_{n,K}$ as a quantization of the rigid analytic variety $Y_n$ and then the collection $\{\tilde{D}_{n,K} : n \in \mathbb{N}\}$ together forms a quantization of $Y := X_0 \times X_K^{an} (T^*X_K)^{an} = \cup Y_n$; see Section 3.5 for more details. This is broadly analogous to the usual way of viewing the sheaf of differential operators $\mathcal{D}_K$ on $X_K$ as an algebraic quantization of $T^*X_K$. 
1.8. Characteristic varieties. It is possible to associate to each coherent sheaf $\mathcal{M}$ of $\mathcal{D}_{n,K}$-modules a characteristic variety $\text{Ch}(\mathcal{M})$. Because of the nature of these rigid analytic quantizations we have to be a little careful in the definition of $\text{Ch}(\mathcal{M})$; since any reasonable filtration of $\mathcal{D}_{n,K}$ has an associated graded ring in characteristic $p$, $\text{Ch}(\mathcal{M})$ is effectively forced to be an algebraic subset of the special fibre $T^*X_k$ of the cotangent bundle although ideally it should be a subset of $Y$. This causes us a number of problems. For example, Gabber’s Theorem on the integrability of the characteristic variety [33] can be used to give another proof of Smith’s original theorem, but we cannot use this result because it is heavily dependent on characteristic zero methods and does not directly apply to our completed enveloping algebras.

1.9. Arithmetic $\mathcal{D}$-modules. The sheaf $\mathcal{D}_{0,K}$, and in particular the Tate-Weyl algebra $\mathcal{A}_K$, was studied before from a slightly different viewpoint by Berthelot in [12]. In fact, $\mathcal{D}_{0,K}$ is essentially Berthelot’s sheaf $\mathcal{D}_{X,Q}(0)$ of arithmetic differential operators of level zero on the formal neighbourhood $X$ of the special fibre $X_k$ in $X$; the only difference between our approaches is that we view $\mathcal{D}_{n,K}$ as a sheaf on $X$ supported on $X_k$ for simplicity and do not mention formal neighbourhoods. Our second main result is a $p$-adic analogue of the classical Bernstein Inequality for algebraic $\mathcal{D}$-modules.

**Theorem B.** Let $\mathcal{A}_{n,K}$ be as in Section 1.7, and suppose that $M$ is a finitely generated nonzero $\mathcal{A}_{n,K}$-module. Then

$$\dim \text{Ch}(M) \geq m.$$ 

Berthelot has proved a version of the Bernstein Inequality for $\mathcal{D}_{X,Q}^+$-modules in [13, Th. 5.3.4]; our Theorem B can be viewed as a generalization of his result in the case when $X = \mathbb{A}^n_R$. We do not consider the arithmetic differential operators of higher level $\mathcal{D}_{X,Q}(\ell)$ in this paper; our sheaves $\mathcal{D}_{n,K}$ should be viewed as a deformation of the level zero arithmetic differential operators $\mathcal{D}_{X,Q}(0)$.

Close to the end of the preparation of this paper we discovered than Caro has removed the Frobenius condition from Berthelot’s result in [21]. His proof is rather different from ours. Like Berthelot, Caro does not consider our algebras $\mathcal{A}_{n,K}$ for $n > 0$.

1.10. Beilinson-Bernstein localisation. Let $G$ be a split semisimple algebraic group over $R$ with $R$-Lie algebra $\mathfrak{g}$ and let $X$ be its flag-scheme $G/B$. We show in Section 6 that the analogue of the Beilinson-Bernstein Localisation theorem [8] holds in our setting.

**Theorem C.** Suppose that $\lambda$ is a dominant regular weight. There is an equivalence of abelian categories between finitely generated $\mathcal{U}_{n,K}$-modules with
central character corresponding to λ, and coherent sheaves of modules over the sheaf $\mathcal{D}_{n,K}^\lambda$ of completed deformed twisted crystalline differential operators on $X$.

Part of this result is essentially due to Noot-Huyghe in [61]; she established the equivalence of categories between coherent sheaves of $\mathcal{D}_{0,K}^\lambda$-modules and finitely generated modules for the ring of global sections of $\mathcal{D}_{0,K}^\lambda$. In many places our proof of this part of Theorem C follows hers, although the presentation is sometimes a little different. However she does not explicitly compute the ring of global sections in her paper. We do so following the ideas in [14].

We also prove that the rigid analytic quantization construction sketched above in Section 1.7 is compatible with Beilinson-Bernstein localisation; this means that just as in the classical case of complex enveloping algebras one can pull back the characteristic variety of a $\mathcal{U}_{n,K}$-module from $g^*_k$ to $T^*X_k$ along the Grothendieck-Springer map and study the corresponding $\mathcal{D}_{n,K}^\lambda$-module instead.

After Theorem B, this effectively reduces the proof of Theorem A to the following analogue of Quillen’s Lemma [65] for classical enveloping algebras.

**Theorem D.** Let $M$ be a simple $\mathcal{U}_{n,K}$-module, let $Z$ be the centre of $\mathcal{U}_{n,K}$, and suppose that $n > 0$. Then $M$ is $Z$-locally finite.

Theorems B and D and the computation of global sections in Theorem C may be viewed as the main technical contributions of this paper. We do not believe that the restriction on $n$ in Theorem D is really necessary.

1.11. Future directions of research. This work raises a number of possibilities for future avenues of study. First it suggests that further study of the representation theory of the completed enveloping algebras $\mathcal{U}_{n,K}$ might be fruitful for better understanding the representation theory of Iwasawa algebras. Although current knowledge suggests that there are very few prime ideals in the Iwasawa algebras $KG$, there are plenty in $\mathcal{U}_{n,K}$, and a classification of primitive ideals in these latter algebras looks to be possible and may well influence the structure of coadmissible $KG$-modules. Similarly, attempting to define a version of the BGG category $\mathcal{O}$ for completed enveloping algebras is likely to have important consequences if successful.

Although we have only used our techniques to study the canonical dimension function, it seems plausible that they might also be useful in attempting to better understand other invariants such as the Euler characteristic of [23].

It also seems worth further pursuing the study of $\mathcal{D}$-modules on rigid analytic spaces. In this paper we only really deal with spaces that are locally polydiscs; it would be interesting to attempt to develop a more general theory.
1.12. Structure of this paper. In Sections 2 and 3 we recall some standard results from noncommutative algebra and define almost commutative affinoid $K$-algebras. In Section 4 we develop the theory of crystalline differential operators on a homogeneous space defined over an arbitrary commutative ring; we suspect this is well known to experts but we could not find a good single reference in this generality so we include it for the sake of those from another field. In Sections 5 and 6 we set up the language for and then prove Theorem C. We also explain here how the characteristic variety of a module over a completed enveloping algebra behaves under localisation. In Section 7 we prove Theorem B, and in Section 8 we prove Theorem D. In Section 9 we apply all that has gone before along with a study of the fibres of the Grothendieck-Springer resolution to give a lower bound on the canonical dimension of $\widehat{U_{n,K}}$-modules that are infinite-dimensional over $K$. In Section 10 we explain the relationship between the Iwasawa algebras $KG$ and the completed enveloping algebras culminating in the proof of Theorem A. Finally in Section 11 we study $KG$-modules that are finite-dimensional over $K$; we essentially give a complete classification of them. See Prasad’s appendix in [68] for parallel results for distribution algebras.

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The idea to obtain Theorem A as a corollary of the Beilinson-Bernstein localisation theorem and the work of Schneider and Teitelbaum was conceived during the final workshop of the ‘Non-Abelian Fundamental Groups in Arithmetic Geometry’ programme at the Isaac Newton Institute in Cambridge. We are very grateful to the Institute for providing excellent working conditions.

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2. Background

Our convention regarding left and right modules is as follows. The term module means left module, unless explicitly specified otherwise. Noetherian
rings are left and right Noetherian, and other ring-theoretic adjectives such as Artinian are used in a similar way.

2.1. Filtered rings and modules. Let $\Lambda$ be either $\mathbb{Z}$ or $\mathbb{R}$. A $\Lambda$-filtration $F_* A$ on a ring $A$ is a set $\{F_\lambda A | \lambda \in \Lambda \}$ of additive subgroups of $A$ such that

- $1 \in F_0 A$;
- $F_\lambda A \subseteq F_\mu A$ whenever $\lambda < \mu$;
- $F_\lambda A \cdot F_\mu A \subseteq F_{\lambda+\mu} A$ for all $\lambda, \mu \in \Lambda$.

The filtration on $A$ is said to be separated if $\bigcap_{\lambda \in \Lambda} F_\lambda A = \{0\}$, and it is said to be exhaustive if $\bigcup_{\lambda \in \Lambda} F_\lambda A = A$. Our filtrations will always be exhaustive. Note also that the second condition says that our filtrations are always increasing.

Given a filtration $F_* A$ of $A$ we may make $A$ into a topological ring by letting the $F_\lambda A$ be a fundamental system of neighbourhoods of 0. When $\Lambda = \mathbb{Z}$, we say the filtration is complete if any Cauchy sequence in $A$ converges to a unique limit.

In a similar way, given a $\Lambda$-filtered ring $F_* A$ and an $A$-module $M$, a filtration of $M$ is a set $\{F_\lambda M | \lambda \in \Lambda \}$ of additive subgroups of $M$ such that

- $F_\lambda M \subseteq F_\mu M$ whenever $\lambda < \mu$;
- $F_\lambda A \cdot F_\mu M \subseteq F_{\lambda+\mu} M$ for all $\lambda, \mu \in \Lambda$.

Again, the filtration of $M$ is said to be separated if $\bigcap_{\lambda \in \Lambda} F_\lambda M = \{0\}$ and the filtration of $M$ is said to be exhaustive if $\bigcup_{\lambda \in \Lambda} F_\lambda M = M$.

2.2. Degree functions. An exhaustive $\Lambda$-filtration can arise from a degree function. This is a function $v : A \to \Lambda \cup \{\infty\}$ such that

- $v(1) = 0$,
- $v(0) = \infty$,
- $v(x + y) \geq \min(v(x), v(y))$,
- $v(xy) \geq v(x) + v(y)$

for all $x, y \in A$. If $F_* A$ is a $\Lambda$-filtration on $A$, then

$$\text{deg}(x) := \sup\{\lambda \in \Lambda : x \in F_{-\lambda} A\}$$

is a degree function, and conversely, if $v : A \to \Lambda \cup \{\infty\}$ is a degree function, then

$$F_\lambda A := \{x \in A | v(x) \geq -\lambda\}$$

defines an exhaustive $\Lambda$-filtration on $A$. When $\Lambda = \mathbb{Z}$, these formulas give a natural bijection between degree functions and filtrations.

Typically when we are dealing with a positive $\Lambda$-filtration (one where $F_\lambda A = 0$ for all $\lambda < 0$), we will use the language of filtrations, and when we are dealing with a negative $\Lambda$-filtration (one where $F_\lambda A = A$ for all $\lambda \geq 0$), we will use the language of degree functions. This explains the minus signs in the above definitions.
2.3. Associated graded rings and modules. Let \( A \) be a \( \Lambda \)-filtered ring whose filtration arises from a degree function. Define

\[
F_{\lambda} A := \bigcup_{\mu < \lambda} F_\mu A,
\]

and note that if \( \Lambda = \mathbb{Z} \), then \( F_n A = F_{n-1} A \) for all \( n \in \mathbb{Z} \). We can now form two related \( \Lambda \)-graded rings: the associated graded ring

\[
gr A = \bigoplus_{\lambda \in \Lambda} F_\lambda A/F_{\lambda-} A
\]

and the Rees ring

\[
\hat{A} = \bigoplus_{\lambda \in \Lambda} F_\lambda A t^\lambda \subseteq A[A],
\]

which we view as a subring of the group ring \( A[\Lambda] \) of the abelian group \( \Lambda \); here \( A[\Lambda] \) is the free \( A \)-module on the set of symbols \( \{ t^\lambda : \lambda \in \Lambda \} \), which is a set-theoretic copy of \( \Lambda \). We denote the \( \lambda \)-th homogeneous piece of \( gr A \) by \( gr_\lambda A \). For \( a \in A \) but not in \( \bigcap_{\lambda} F_\lambda A \), we will also write \( gr a \) for the principal symbol of \( a \) in \( gr A \).

Given a filtered \( F_\bullet A \) module \( F_\bullet M \), we similarly define

\[
F_{\lambda} M := \bigcup_{\mu < \lambda} F_\mu M,
\]

and then the associated graded module \( gr M \) of \( M \) is

\[
gr M = \bigoplus_{\lambda \in \Lambda} F_\lambda M/F_{\lambda-} M.
\]

Clearly \( gr M \) is naturally a graded \( gr A \)-module.

We say that a \( \mathbb{Z} \)-filtration on a ring \( A \) is Zariskian if the Rees ring \( \hat{A} \) is Noetherian and \( F_{-1} A \) is contained in the Jacobson radical of \( F_0 A \). In particular, a \( \mathbb{Z} \)-filtration is Zariskian whenever the filtration on \( A \) is complete and the associated graded ring \( gr A \) is Noetherian; this follows from [56, Prop. II.2.2.1].

2.4. Microlocalisation. We recall some basic results in the theory of algebraic microlocalisation.

Suppose that \( A \) is a Zariskian filtered ring, \( T \) is an Ore set in \( gr A \) consisting of homogeneous elements and \( M \) is a finitely generated \( A \)-module with a good filtration.

**Lemma.** Let \( S := \{ s \in A \mid gr s \in T \} \). Then

(a) \( S \) is an Ore set in \( A \).
(b) There is a natural Zariskian filtration on \( A_S \) such that \( gr A_S \cong (gr A)_T \).
(c) There is a good filtration on \( M_S \) as an \( A_S \)-module such that \( gr M_S \cong (gr M)_T \).
Proof. (a) follows from [55, Cor. 2.2]. (b) follows from [55, Props. 2.8 and 2.3]. (c) follows from [55, Cor. 2.5(1,2) and Prop. 2.6(1)] □

Definition. Given the notation above we define the microlocalisation $Q_T(A)$ of $A$ at $T$ to be the completion of the induced Zariskian filtration on $A$. Similarly, we define the microlocalisation $Q_T(M)$ of $M$ at $T$ to be the completion of the induced good filtration on $M$.

Corollary. With the notation above, $Q_T(A)$ is a flat $A$-module and $Q_T(A) \otimes_A M \cong Q_T(M)$. Moreover $Q_T(M) = 0$ if and only if $M_S = 0$.

Proof. The flatness follows from [55, Cors. 2.4 and 2.7(1)]. The isomorphism $Q_T(A) \otimes_A M \cong Q_T(M)$ is [55, Cor. 2.7(2)]. The last part follows from [55, Cor. 2.5(3)] □

2.5. Auslander-Gorenstein rings and dimension functions.

Definition. Let $A$ be a Noetherian ring.

(a) We say that a finitely generated (left or right) $A$-module $M$ satisfies Auslander’s condition if for every $i \geq 0$ and every submodule $N$ of $\text{Ext}^i_A(M, A)$, we have $\text{Ext}^j_A(N, A) = 0$ for all $j < i$.

(b) We say that $A$ is Auslander-Gorenstein if the left and right self-injective dimension of $A$ is finite and every finitely generated (left or right) $A$-module satisfies Auslander’s condition.

(c) We say that $A$ is Auslander regular if it is Auslander-Gorenstein and has finite (left and right) global dimension.

Definition. If $A$ is an Auslander-Gorenstein ring and $M$ is a finitely generated $A$-module, then the grade of $M$ is given by

$$j_A(M) := \inf \{ j \mid \text{Ext}^j_A(M, A) \neq 0 \}$$

and the canonical dimension of $M$ is given by

$$d_A(M) := \text{inj.dim}_A A - j_A(M).$$

We say an $A$-module $M$ is pure if every finitely generated nonzero submodule of $M$ has the same canonical dimension. We say a finitely generated $A$-module $M$ is critical if every proper quotient of $M$ has strictly smaller canonical dimension.

Definition. Let $A$ be a Noetherian ring. An exact dimension function is an assignment, to each finitely generated $A$-module $M$, a value $\delta(M) \in \mathbb{Z} \cup \{-\infty\}$ satisfying the following conditions:

(i) $\delta(0) = -\infty$,

(ii) $\delta(M) = \max\{\delta(M'), \delta(M'')\}$ whenever $0 \to M' \to M \to M'' \to 0$ is a short exact sequence of finitely generated $A$-modules, and
(iii) \( \delta(M) < \delta(A/P) \) whenever \( P \) is a prime ideal of \( A \) and \( M \) is a torsion \( A/P \)-module.

We say that \( \delta \) is \textit{finitely partitive} if, in addition, \( \delta \) satisfies the following condition:

(iv) for any finitely generated \( A \)-module \( M \), there is an integer \( n \) such that whenever \( M = M_0 \supseteq M_1 \supseteq M_2 \supseteq \cdots \) is a descending chain of \( A \)-submodules of \( M \), we have \( \delta(M_i/M_{i+1}) < \delta(M) \) for all \( i \geq n \).

**Proposition.** Let \( A \) be a ring.

(a) If \( A \) is Auslander-Gorenstein, then \( d_A \) is a finitely partitive exact dimension function.

(b) If \( A \) has a Zariskian filtration such that the associated graded ring \( \text{gr}_A \) is Auslander-Gorenstein, then \( A \) is Auslander-Gorenstein. Moreover if \( \text{gr}_A \) is Auslander regular, then \( A \) is Auslander regular.

\[ \text{Proof.} \quad (\text{a}) \text{ is } [54, \text{Prop. 4.5}], \text{ and } (\text{b}) \text{ is } [15, \text{Th. 3.9}]. \]

2.6. **Base change.** Suppose that \( K \) is a field and \( K' \) is a finite algebraic field extension of \( K \).

**Lemma.** If \( A \) is an Auslander-Gorenstein \( K \)-algebra, then \( A' := K' \otimes_K A \) is Auslander-Gorenstein. Moreover if \( M \) is a finitely generated \( A \)-module then

\[ d_A(M) = d_{A'}(K' \otimes_K M). \]

Similarly, if \( N \) is a finitely generated \( A' \)-module, then \( N \) is a finitely generated \( A \)-module by restriction and \( d_A(N) = d_{A'}(N) \).

**Proof.** First, [4, \S 5.4] gives that faithfully flat Frobenius extensions of Auslander-Gorenstein rings are Auslander-Gorenstein with the same self-injective dimension. Next, [11, Example C] gives that if \( K' \) is a simple algebraic extension of \( K \), then \( A' \) is a id-Frobenius extension of \( A \). Also, [11, Prop. 1.3] gives that an id-Frobenius extension of an id-Frobenius extension is an id-Frobenius extension, and so the first part follows.

Now, if \( M \) is a finitely generated \( A \)-module, we have isomorphisms

\[ \text{Ext}_A^j(K' \otimes_K M, A') \cong K' \otimes_K \text{Ext}_A^j(M, A) \]

for each \( j \geq 0 \). This implies that \( j_A(M) = j_{A'}(K' \otimes_K M) \), because \( K' \) is faithfully flat over \( K \). Thus we obtain the second part.

Finally, if \( N \) is a finitely generated \( A' \)-module, we have isomorphisms

\[ \text{Ext}_A^j(N, A) \cong \text{Ext}_{A'}^j(N, A') \]

for each \( j \geq 0 \), and the result follows. \[ \square \]
Suppose $A$ and $B$ are Auslander-Gorenstein rings such that $\text{inj.dim}_A A = \text{inj.dim}_B B$ and $B$ is a flat $A$-module. If $M$ is a finitely generated $A$-module and $\text{Ext}^i_A(M, A) \otimes_A B \neq 0$, then $d_A(M) = d_B(B \otimes_A M)$.

In particular, if $B$ is a faithfully flat $A$-module, then $d_A(M) = d_B(B \otimes_A M)$ for every finitely generated $A$-module $M$.

Proof. It suffices to prove that $j_A(M) = j_B(B \otimes_A M)$ under these conditions. But $\text{Ext}^i_B(B \otimes_A M, B) \cong \text{Ext}^i_A(M, A) \otimes_A B$ for all $i \geq 0$ since $B$ is flat over $A$. Thus $j_A(M) = j_B(B \otimes_A M)$ is equivalent to $\text{Ext}^i_A(M, A) \otimes_A B \neq 0$ and the first part follows.

The second part is a trivial consequence of the first. □

2.7. Lattices. We will several times require the following very useful result.

Lemma. Let $A$ be a Noetherian ring, and let $\pi \in A$ be a central element. Suppose $A$ is $\pi$-adically complete. Let $M$ be a finitely generated $A$-module such that $M/\pi M$ has finite length. Let $M_0 \supseteq M_1 \supseteq M_2 \supseteq \cdots$ be a descending chain of $A$-submodules of $M$ such that $M_n \not\subseteq \pi M$ for all $n$. Then $\bigcap M_n \not\subseteq \pi M$.

Proof. First, note that the $\pi$-adic filtration on $M$ and on each $M/M_n$ is complete and separated by [12, §3.2.3(v)], so each $M_n$ is closed in the topology defined by the $\pi$-adic filtration. Let $a \geq 1$ be an integer; then $M/\pi^a M$ is a finite extension of quotients of the finite length module $M/\pi M$ and so has finite length. It follows that $M$ is pseudo-compact in the sense of [34, §IV.3]. Now we may apply [34, Prop. IV.3.11] to deduce that $\pi M + \bigcap M_n = \bigcap (\pi M + M_n)$. But $M/\pi M$ has finite length, so there exists $r$ such that $\pi M + M_n = \pi M + M_r$ for all $n \geq r$. Hence $\pi M + \bigcap M_n = \pi M + M_r > \pi M$, and the result follows. □

Let $R$ be a discrete valuation ring with uniformizer $\pi$, residue field $k$ and field of fractions $K$.

Definition. Let $V$ be a $K$-vector space. We say that an $R$-submodule $L$ of $V$ is a $R$-lattice if $V = K \cdot L$ and $\bigcap_{n=0}^{\infty} \pi^n L = 0$.

Equivalently, the $\pi$-adic filtration on $V$ given by $F_i V = \pi^{-i} L$ is exhaustive and separated. We call the $k$-vector space $\text{gr}_0 V = L/\pi L$ the slice of $V$. Since our vector spaces will frequently be infinite-dimensional over $K$, in general the lattice $L$ will not be finitely generated as an $R$-module.

Proposition. Suppose that the discrete valuation ring $R$ is complete. Then every $R$-lattice $N$ in a finite-dimensional $K$-vector space $V$ is finitely generated over $R$.

Proof. Let $M$ be the $R$-submodule of $V$ generated by a basis of $V$. Then $M$ is finitely generated over $R$ and $M/\pi M$ has finite length since $R/\pi R = k$ is
a field. Consider the descending chain of $R$-submodules $M_i = M \cap \pi^i N$ of $M$ for $i \geq 0$. Since $N$ is an $R$-lattice in $V$, $\bigcap M_i = 0$, and so $M_i \subseteq \pi M$ for some $t \geq 0$ by the lemma. Thus $N \cap \pi^{-i} M \subseteq N \cap \pi^{-t+1} M$ for all $i \geq t$, whence inductively $N \cap \pi^{-i} M \subseteq N \cap \pi^{-t+1} M$ for all $i \geq t$. Since $M$ is an $R$-lattice in $V$, $N = \bigcup_{i \geq t} N \cap \pi^{-i} M \subseteq \pi^{-t+1} M$, and so $N$ is finitely generated $R$-module because $\pi^{-t+1} M$ is a Noetherian $R$-module.

\[ \square \]

3. Almost commutative affinoid algebras

We develop the basic theory of almost commutative affinoid algebras in this section. Unless explicitly stated otherwise, $R$ will denote a complete discrete valuation ring with uniformizer $\pi$, residue field $k$ and field of fractions $K$. We do not make any assumptions on the characteristics of $k$ or $K$.

3.1. Doubly filtered rings.

**Definition.** Let $A$ be a $K$-algebra. We say that $A$ is **doubly filtered** if it has an $R$-subalgebra $F_0 A$ that is an $R$-lattice in $A$ and if the slice $\text{gr}_0 A$ of $A$ is a $\mathbb{Z}$-filtered ring. We say that $A$ is a **complete doubly filtered $K$-algebra** if $F_0 A$ is complete with respect to its $\pi$-adic filtration and the filtration on $\text{gr}_0 A$ is also complete. A **morphism** of doubly filtered $K$-algebras is a $K$-linear ring homomorphism $\varphi : A \to B$ that preserves the lattices in $A$ and $B$ and that induces a filtered $k$-linear homomorphism $\text{gr}_0 \varphi : \text{gr}_0 A \to \text{gr}_0 B$ between the slices.

**Lemma.** Let $A$ be a doubly filtered $K$-algebra. Then the associated graded ring of $A$ with respect to its $\pi$-adic filtration is isomorphic to the Laurent polynomial ring in one variable over the slice $\text{gr}_0 A$ of $A$:

$$\text{gr} A \cong (\text{gr}_0 A)[s, s^{-1}].$$

We will always denote the associated graded ring of the slice of $A$ by

$$\text{Gr} A := \text{gr}(\text{gr}_0 A).$$

Note that $A \mapsto \text{Gr}(A)$ is a functor from the category of doubly filtered $K$-algebras to the category of graded $k$-algebras.

3.2. Good double filtrations. Let $A$ be a doubly filtered $K$-algebra, and let $M$ be an $A$-module. A **double filtration** on $M$ consists of an $R$-lattice $F_0 M$ in $M$ that is an $F_0 A$-submodule, and a $\mathbb{Z}$-filtration $F_\bullet \text{gr}_0 M$ on $\text{gr}_0 M$ compatible with the filtration on $\text{gr}_0 A$. We call

$$\text{Gr}(M) := \text{gr}(\text{gr}_0 M)$$
the associated graded module of $M$ with respect to this double filtration. The double filtration on $M$ is said to be good if

- the filtration on $\text{gr}_0 M$ is separated, and
- $\text{Gr}(M)$ is a finitely generated $\text{Gr}(A)$-module.

When $A$ is a complete doubly filtered $K$-algebra such that $\text{Gr}(A)$ is Noetherian, it follows from [56, Th. I.5.7] that this is equivalent to the filtration on $\text{gr}_0 M$ being good in the sense of [56, §I.5.1]: the Rees module of $\text{gr}_0 M$ is finitely generated over the Rees ring of $\text{gr}_0 A$. The following elementary result will be very useful in the future.

**Lemma.** Let $A$ be a complete doubly filtered $K$-algebra, and let $M$ be a doubly filtered $A$-module.

(a) If the double filtration on $M$ is good, then $M$ is a finitely generated $A$-module.

(b) If $\text{Gr}(A)$ is Noetherian, then so are $A$ and $\text{F}_0 A$.

**Proof.** (a) The $\pi$-adic filtration $F_i M := \pi^{-i} \text{F}_0 M$ on $M$ is separated because $\text{F}_0 M$ is a lattice in $M$, and the given filtration $F_i \text{gr}_0 M$ on $\text{gr}_0 M$ is separated by assumption. In view of Lemma 3.1, the result now follows by applying [56, Th. I.5.7] twice.

(b) It is enough to show that $A$ is left Noetherian. Let $I$ be a left ideal of $A$. The double filtration on $A$ induces a double filtration on $I$; in this way, $\text{gr}_0 I$ is a left ideal in $\text{gr}_0 A$, the filtration on $\text{gr}_0 I$ is separated and $\text{Gr}(I)$ is a left ideal of $\text{Gr}(A)$. Hence the double filtration on $I$ is good so $I$ is finitely generated. A similar argument shows that $\text{F}_0 A$ is also Noetherian. □

Whenever $L$ is an $R$-module, $L_K$ will denote the $K$-vector space $K \otimes_R L$.

**Proposition.** Let $A$ be a complete doubly filtered $K$-algebra such that $\text{Gr}(A)$ is Noetherian.

(a) Every finitely generated $\pi$-torsion-free $F_0 A$-module $L$ is an $R$-lattice in $L_K$.

(b) Every finitely generated $A$-module $M$ has at least one good double filtration.

**Proof.** Note that $\text{Gr}(A)$ Noetherian implies that $F_0 A$ is Noetherian, by part (b) of the lemma.

(a) $N := \bigcap_{j=0}^\infty \pi^j L$ is a finitely generated $F_0 A$-submodule of $L$ since $F_0 A$ is Noetherian. Moreover $N = \pi N$. Because $F_0 A$ is $\pi$-adically complete, $\pi$ is in the Jacobson radical of $F_0 A$, and hence $N = 0$ by Nakayama’s Lemma. Since $L$ is $\pi$-torsion-free, we can identify it with its image inside $L_K$, and hence $L$ is an $R$-lattice in $L_K$.

(b) Let $m_1, \ldots, m_\ell$ be an $A$-generating set for $M$. Let $F_0 M = \sum_{i=1}^\ell F_0 A m_i$. Then $F_0 M$ is an $R$-lattice in $M$ by (a) and $\text{gr}_0 M = F_0 M / \pi F_0 M$ is generated as a $\text{gr}_0 A$ module by the images $\overline{m}_i$ of the $m_i$. Now setting $F_j \text{gr}_0 M :=$
KONSTANTIN ARDAKOV and SIMON WADSLEY

$$\sum_{i=1}^\ell F_j \text{gr}_0 A.\bar{m}_i$$ defines a filtration $F_\bullet \text{gr}_0 M$ on $\text{gr}_0 M$ such that $\text{gr}(\text{gr}_0 M)$ is finitely generated over $\text{Gr}(A)$. The filtration on $\text{gr}_0 A$ is complete and $\text{Gr}(A)$ is Noetherian by assumption, so $F_\bullet \text{gr}_0 M$ is separated by [56, Prop. II.2.2.1 and Theorem I.4.14]. □

3.3. Characteristic varieties.

DEFINITION. Let $A$ be a complete doubly filtered $K$-algebra such that $\text{Gr}(A)$ is commutative and Noetherian, and let $M$ be a finitely generated $A$-module. Choose a good double filtration $(F_0 M, F_\bullet \text{gr}_0 M)$ on $M$. The characteristic variety of $M$ is the Zariski closed subset

$$\text{Ch}(M) := \text{Supp}(\text{Gr}(M)) \subseteq \text{Spec}(\text{Gr}(A))$$

of the prime spectrum of the commutative Noetherian $k$-algebra $\text{Gr}(A)$.

Of course the dimension of $\text{Ch}(M)$ will always be equal to the Krull dimension of the $\text{Gr}(A)$-module $\text{Gr}(M)$.

PROPOSITION. The characteristic variety $\text{Ch}(M)$ does not depend on the choice of good double filtration on $M$. Moreover if $0 \to L \to M \to N \to 0$ is a short exact sequence of $A$-modules, then $\text{Ch}(M) = \text{Ch}(L) \cup \text{Ch}(N)$.

Proof. Let us first fix the lattice $F_0 M$ in $M$. Then it is well known [56, Ch. III, Lemma 4.1.9] that the characteristic support $\text{Supp}(\text{gr}\text{gr}_0 M)$ does not depend on the choice of good filtration on $\text{gr}_0 M$ and also that $\text{Supp}(\text{gr}\text{gr}_0 M)$ only depends on the class of $\text{gr}_0 M$ in the Grothendieck semigroup of $\text{gr}_0 A$-modules [43, Lemma D.3.3]. On the other hand this class does not depend on the choice of lattice $F_0 M$ inside $M$ by [36, Prop. 1.1.2], for example.

Now given a short exact sequence as in the statement, it is straightforward to find $F_0 A$ lattices $F_0 L$ and $F_0 N$ in $L$ and $N$ respectively so that there is a short exact sequence $0 \to F_0 L \to F_0 M \to F_0 N \to 0$. Reducing this mod $\pi$ gives a short exact sequence $0 \to \text{gr}_0 L \to \text{gr}_0 M \to \text{gr}_0 N \to 0$ since $F_0 N$ is flat over $R$.

Now giving $\text{gr}_0 L$ and $\text{gr}_0 N$ the subspace and quotient filtrations from some good filtration on $\text{gr}_0 M$ defines good double filtrations on $L$ and $N$ such that $0 \to \text{Gr}(L) \to \text{Gr}(M) \to \text{Gr}(N) \to 0$ is exact, and then the result is clear. □

THEOREM. Suppose that $A$ is a complete doubly filtered $K$-algebra such that $\text{Gr}(A)$ is commutative and regular; then $A$ is Auslander regular. If, in addition, every simple $\text{Gr}(A)$-module $N$ has $d_{\text{Gr}(A)}(N) = 0$, then

$$\dim \text{Ch}(M) + j_A(M) = \dim \text{Gr}(A)$$

for all finitely generated $A$-modules $M$. 
Moreover if \( M \) is a pure \( A \)-module, then every irreducible component of \( \text{Ch}(M) \) has the same dimension.

**Proof.** The first part follows by applying Proposition 2.5(b) twice. Now

\[
\dim \text{Ch}(M) + j_{\text{Gr}(A)}(\text{Gr}(M)) = \dim \text{Gr}(A)
\]

by [77, Th. 1.3] and \( j_{\text{Gr}(A)}(\text{Gr}(M)) = j_A(M) \) by [56, Th. III.2.5.2].

Finally if \( M \) is pure, then by applying [15, Th. 3.8] twice we may find a good double filtration of \( M \) such that \( \text{Gr}(M) \) is pure, and the result follows. □

Notice, in particular, that the second part of the theorem applies whenever \( \text{Gr}(A) \) is a polynomial ring over \( k \).

### 3.4. Almost commutative algebras

We now generalise the more-or-less standard theory of almost commutative algebras over a field; see [59, §8.4]. Let \( R \) be a commutative Noetherian base ring.

**Definition.** Let \( A \) be a positively \( \mathbb{Z} \)-filtered \( R \)-algebra with \( F_0 A \) an \( R \)-subalgebra of \( A \). We say that \( A \) is **almost commutative** if \( \text{gr} A \) is a finitely generated commutative \( R \)-algebra. A **morphism** of almost commutative \( R \)-algebras is an \( R \)-linear filtered ring homomorphism.

It follows from [56, Prop. II.2.2.1] that almost commutative \( R \)-algebras are always Noetherian. Moreover every factor ring of an almost commutative ring is again almost commutative.

**Examples.** (a) Let \( X \) be an affine \( R \)-scheme of finite type. Then there exists a presentation \( R[X_1, \ldots, X_m] \twoheadrightarrow \mathcal{O}(X) \) that endows \( \mathcal{O}(X) \) with a positive filtration induced from the natural degree filtration on \( R[X_1, \ldots, X_m] \). This gives \( \mathcal{O}(X) \) the structure of an almost commutative \( R \)-algebra.

(b) Let \( X \) be a smooth affine \( R \)-scheme of finite type. Then the ring of crystalline differential operators \( \mathcal{D}(X) \) is generated by \( \mathcal{O}(X) \) and \( \mathcal{T}(X) \); see Section 4.2 for a precise definition. The associated graded ring with respect to the filtration by order of differential operators

\[
\text{gr} \mathcal{D}(X) \cong \text{Sym}_{\mathcal{O}(X)} \mathcal{T}(X) \cong \mathcal{O}(\mathcal{T}^*(X))
\]

is commutative, and \( \mathcal{T}(X) \) is a finitely generated \( \mathcal{O}(X) \)-module. Therefore \( \mathcal{D}(X) \) is an almost commutative \( R \)-algebra.

(c) If \( g \) is an \( R \)-Lie algebra that is free of finite rank as an \( R \)-module, then the universal enveloping algebra \( U(g) \) is an almost commutative \( R \)-algebra with respect to the usual Poincaré-Birkhoff-Witt filtration.

(d) Let \( V \) be a free \( R \)-module of finite rank equipped with an alternating \( R \)-bilinear form \( \omega : V \times V \to R \). The **enveloping algebra** \( R_\omega[V] \) of \( (V, \omega) \) is
the quotient of the tensor $R$-algebra $\bigoplus_{i=0}^{\infty} V^{\otimes i}$ on $V$ by the relations
\[ vw - wv = \omega(v, w) \quad \text{for all } v, w \in V. \]

Consider the Lie algebra $h_\omega := V \oplus Rz$ with Lie bracket determined by the rules $[v, w] = \omega(v, w)z$ and $[v, z] = 0$ for all $v, w \in h_\omega$. Then $R_\omega[V]$ is isomorphic to the factor ring of $U(h_\omega)$ by the ideal generated by $z - 1$. Since $grU(h_\omega)$ is isomorphic to the polynomial algebra $\text{Sym}_R(V)[z]$ by the Poincaré-Birkhoff-Witt Theorem, we see that $grR_\omega[V] \simeq \text{Sym}_R(V)$ when we equip $R_\omega[V]$ with the natural positive filtration with $R$ in degree 0 and $V$ in degree 1. Thus $R_\omega[V]$ is an almost commutative $R$-algebra.

3.5. Deformations. We now return to assuming that $R$ is a complete discrete valuation ring with field of fractions $K$ and uniformizer $\pi$.

**Definition.** Let $A$ be a positively $\mathbb{Z}$-filtered $R$-algebra with $F_0A$ an $R$-subalgebra of $A$. We call $A$ a deformable $R$-algebra if $grA$ is a flat $R$-module. A morphism of deformable $R$-algebras is an $R$-linear filtered ring homomorphism.

All the almost commutative $R$-algebras appearing in the above examples, with the possible exception of (a), are deformable.

**Definition.** Let $A$ be a deformable $R$-algebra, and let $n$ be a nonnegative integer. The $n$-th deformation of $A$ is the following $R$-submodule of $A$:
\[ A_n := \sum_{i \geq 0} \pi^{in} F_iA. \]

There is a unique ring homomorphism $A[t] \to A_K$ that extends the inclusion $A \hookrightarrow A_K$ and sends $t$ to $\pi^n$. Since $A_n$ is the image of the Rees ring $\widetilde{A} = \bigoplus_{m=0}^{\infty} t^m F_mA$ under this homomorphism, $A_n$ is actually an $R$-subalgebra of $A$. It can in fact be shown that $A_n$ is isomorphic to the factor ring $\widetilde{A}/(t - \pi^n)$.

This definition is clearly functorial, and in this way we obtain an endofunctor $A \mapsto A_n$ of the category of deformable $R$-algebras. Of course the deformation $A_n$ does not depend on the choice of uniformizer $\pi$.

**Lemma.** Let $A$ be a deformable $R$-algebra. Then $A_n$ is also a deformable $R$-algebra for all $n \geq 0$ and there is a natural isomorphism $grA \to gr A_n$.

**Proof.** It is clear that $A_n$ is an $R$-lattice in $A_K$. Give $A_n$ the subspace filtration $F_mA_n := F_mA \cap A_n$. Because $grA$ is flat over $R$, we have
\[ F_mA_n = \sum_{i=0}^{m} \pi^{in} F_iA. \]

Define an $R$-linear map $F_mA/F_{m-1}A \to F_mA/F_{m-1}A_n$ by the formula
\[ x + F_{m-1}A \mapsto \pi^{mn} x + F_{m-1}A_n. \]
Since \( \text{gr} A \) is flat over \( R \), this map is an injection. It is straightforward to verify that it is actually a bijection and that it extends to a ring isomorphism between \( \text{gr} A \) and \( \text{gr} A_n \).

Finally if \( f: A \to B \) is a morphism of deformable \( R \)-algebras, the diagram

\[
\begin{array}{ccc}
\text{gr} A & \xrightarrow{\cong} & \text{gr} A_n \\
\text{gr} f & \downarrow & \text{gr} f_n \\
\text{gr} B & \xrightarrow{\cong} & \text{gr} B_n
\end{array}
\]

commutes. \( \square \)

### 3.6. Deformations and tensor products

Equipping the polynomial algebra \( R[x_1, \ldots, x_\ell] \) with the natural degree filtration gives a first example of a deformable \( R \)-algebra. It is easy to see that its \( n \)-th deformation is simply \( R[\pi^n x_1, \ldots, \pi^n x_\ell] \).

**Proposition.** Let \( A \) be a deformable \( R \)-algebra. Then \( A \otimes_R R[\pi] \) is a deformable \( R \)-algebra when equipped with the tensor filtration. Moreover,

\[
(A \otimes_R R[\pi])_n = A_n \otimes_R (R[\pi])_n.
\]

**Proof.** By induction on the number of variables, it suffices to consider the case \( \ell = 1 \) and \( x_1 = x \). We may then identify \( A \otimes_R R[x] \) with \( A[x] \).

Now \( \text{gr}(A[x]) \cong (\text{gr} A)[x] \) where \( x \) has degree one in the right-hand side. Thus \( \text{gr}(A[x]) \) is flat over \( R \) and so deformable.

By functoriality of \((-)_n \), the natural inclusions \( A \to A[x] \) and \( R[x] \to A[x] \) of deformable \( R \)-algebras induce inclusions \( A_n \to A[x]_n \) and \( R[x]_n \to A[x]_n \). Thus the universal property of the tensor product yields a map from \( A_n \otimes_R R[x]_n \) to \( A[x]_n \). By considering the identification \( A \otimes_R R[x] \) with \( A[x] \), we see that this map is an inclusion, and so it suffices to see that it is surjective. But if \( a_i \in F_i A \), then \( \pi^i a_i \otimes \pi^i x_j \) is an element of \( A_n \otimes_R R[x]_n \) and the images of these elements span \( A[x]_n \). \( \square \)

Peter Schneider has sent us a proof that the functors \( A \mapsto A_n \) preserve finite coproducts — that is tensor products over \( R \) — in the category of deformable \( R \)-algebras. However, we will not need the full strength of this result in this work.

### 3.7. \( \pi \)-adic completions

We will now exhibit a functorial way of producing complete doubly filtered \( K \)-algebras.

**Definition.** Let \( A \) be a deformable \( R \)-algebra. The \( \pi \)-adic completion of \( A \) is

\[
\widehat{A} = \lim_{\leftarrow} A / \pi^n A.
\]

This is an \( R \)-lattice in the \( K \)-algebra

\[
\overline{A}_K := \widehat{A} \otimes_R K.
\]
LEMMA. Let $A$ be a deformable $R$-algebra. Then $\widehat{A}_K$ is a complete doubly filtered $K$-algebra and is a natural isomorphism

$$\text{Gr}(\widehat{A}_K) = \text{gr}(\widehat{A}/\pi \widehat{A}) \cong A/\pi \text{gr} A.$$  

Proof. We see that $\widehat{A}$ is an $R$-lattice in $\widehat{A}_K$ and that $\text{gr}_0 \widehat{A}_K \cong A/\pi A$. The filtration on $A$ induces a filtration on $A/\pi A$ and  

$$\text{Gr}(\widehat{A}_K) = \text{gr} \text{gr}_0 \widehat{A}_K \cong \text{gr}(A/\pi A) \cong A/\pi \text{gr} A$$  

since $\pi$ is a central regular element in $A$ of degree zero. The filtration on $A/\pi A$ is complete because the filtration on $A$ is positive by assumption.  

Thus we have a countable family of functors $A \mapsto A_{n,K}$ from deformable $R$-algebras to complete doubly filtered $K$-algebras.

COROLLARY. For each $n \geq 0$, there is a natural isomorphism

$$\text{Gr}(A_{n,K}) \to \text{gr} A/\pi \text{gr} A.$$  

Proof. Apply Lemmas 3.5 and 3.7.  


DEFINITION. Let $A$ be a complete doubly filtered $K$-algebra. We say that $A$ is an almost commutative affinoid $K$-algebra if its slice is an almost commutative $k$-algebra.

Almost commutative affinoid $K$-algebras are always Noetherian by [56, Prop. II.2.2.1].

PROPOSITION. Let $A$ be an almost commutative deformable $R$-algebra. Then $A_{n,K}$ is an almost commutative affinoid $K$-algebra for all $n \geq 0$.

Proof. $A_{n,K}$ is a complete doubly filtered $K$-algebra by Lemma 3.7, and the filtration on its slice $\text{gr}_0 A_{n,K}$ is positive by construction. Since $\text{Gr}(A_{n,K}) \cong \text{gr} A/\pi \text{gr} A$ by Corollary 3.7, $\text{Gr}(A_{n,K})$ is a finitely generated commutative $k$-algebra, and hence $\text{gr}_0 A$ is an almost commutative $k$-algebra.

We thus obtain a family of almost commutative affinoid $K$-algebras $A_{n,K}$ whenever we have an almost commutative deformable $R$-algebra $A$; see Section 3.4 for a list of examples. Note that in Example 3.4(a), the completion $\mathcal{O}(X)_{n,K}$ of the commutative $R$-algebra $\mathcal{O}(X)$ is an affinoid $K$-algebra in the sense of [19], and it can be viewed as the ring of rigid analytic functions on an affinoid variety $X_{n,K}$. This justifies our terminology.
We note in passing that Soibelman’s quantum affinoid algebras $K\{T\}_{q,r}$ appearing in [76] and [75] are examples of almost commutative affinoid $K$-algebras not of the form $A_{n,K}$ for some almost commutative $R$-algebra $A$, provided that $|q - 1| < 1$.

3.9. Base change. Let $v$ be the normalised discrete valuation on $K$, and let $K'$ be a field extension of $K$ that is complete with respect to a normalised discrete valuation $v'$. Recall that $K'/K$ is said to be finitely ramified if $v'|_K = ev$ for some integer $e > 0$; in this case $e := v'(\pi)$ is called the ramification index of $K'/K$. Let $R'$ be the valuation ring of $v'$, and let $\pi'$ be a uniformizer of $R'$. Then the ideal $\pi R'$ is generated by $\pi'^e$.

Lemma. Let $A$ be a deformable $R$-algebra, and let $K'$ be a complete finitely ramified field extension of $K$.

(a) There is a natural filtration on $A' := R' \otimes_R A$ such that $A'$ is a deformable $R'$-algebra.
(b) $R' \otimes_R A_n = (A')_{en}$. 
(c) If $[K' : K] < \infty$, then $K' \otimes_K \widehat{A_{n,K}}$ is isomorphic to $\widehat{(A')_{en,K'}}$ as a complete doubly filtered $K'$-algebra.

Proof. (a) We define $F_i A' = R' \otimes_R F_i A$ for all $i$. Then $\text{gr} A'$ is isomorphic to $R' \otimes_R \text{gr} A$ and is therefore a flat $R'$-module.
(b) Since $\pi R' = \pi'^e R'$, we have

$$R' \otimes_R A_n = \sum_{i \geq 0} \pi'^{in} R' \otimes_R F_i A = \sum_{i \geq 0} \pi'^{ien} F_i A' = (A')_{en}.$$ 

(c) Because $R'$ is a finitely generated $R$-module, $R' \otimes_R \widehat{A_n}$ is isomorphic to $\widehat{R'} \otimes_R A_n$. Therefore,

$$K' \otimes_K \widehat{A_{n,K}} = K' \otimes_{R'} (R' \otimes_R \widehat{A_n}) \cong K' \otimes_{R'} \widehat{(A')_{en,K'}} = \widehat{(A')_{en,K'}}$$

by part (b). \qed

Note that if $K'$ is an infinite extension of $K$, then $K' \otimes_K \widehat{A_{n,K}}$ will not be $\pi'$-adically complete, in general.

Proposition. Suppose $A$ is an almost commutative affinoid $K$-algebra, $M$ is a finitely generated $A$-module and $K'$ is a complete, finitely ramified field extension of $K$. If $A'$ is the almost commutative affinoid $K'$-algebra obtained by completing $K' \otimes_K A$, then

$$\dim \text{Ch}(A' \otimes_A M) = \dim \text{Ch}(M).$$
Proof. Let \( M' = A' \otimes_A M \), and let \( k' \) be the residue field of \( k \). Then \( R' \otimes_R F_0 M \) is an \( R' \)-lattice in \( M' \) such that
\[
gr_0 M' = k' \otimes_{R'} (R' \otimes_R F_0 M) \cong k' \otimes_R F_0 M \cong k' \otimes_k \gr_0 M.
\]
This isomorphism induces a good double filtration on \( M' \) from the good double filtration on \( M \), and then \( \Gr(M') \cong k' \otimes_k \Gr(M) \). The result follows. \( \square \)

4. Crystalline differential operators on homogeneous spaces

4.1. Notation. In this section, \( R \) will denote a fixed commutative Noetherian ground ring. Unadorned tensor products and scheme products will be assumed to be taken over \( R \) and over \( \Spec(R) \), respectively. If \( V \) is a free \( A \)-module over a commutative ring \( A \), then \( \Sym_A V \) denotes the symmetric algebra of \( V \) over \( A \). All the results in this section are well known when \( R \) is a field; we spell them out in this more general context for the sake of the reader because we cannot find a suitable single reference.

Throughout Section 4, \( X \) will denote a scheme over \( \Spec(R) \) that is smooth, separated and locally of finite type. We write \( \mathcal{T} \) for the sheaf of sections of the tangent bundle \( TX \).

4.2. Crystalline differential operators.

Definition. The sheaf of crystalline differential operators on \( X \) is defined to be the enveloping algebra \( \mathcal{D} \) of the tangent Lie algebroid \( \mathcal{T} \).

Thus \( \mathcal{D} \) is a sheaf of rings, generated by the structure sheaf \( \mathcal{O} \) and the \( \mathcal{O} \)-module \( \mathcal{T} \) subject to only the relations
\[
\begin{align*}
& f \partial = f \partial \text{ and } \partial f - f \partial = \partial(f) \text{ for each } f \in \mathcal{O} \text{ and } \partial \in \mathcal{T}; \\
& \partial \partial' - \partial' \partial = [\partial, \partial'] \text{ for } \partial, \partial' \in \mathcal{T}.
\end{align*}
\]
Being a quotient of a universal enveloping algebra, the sheaf \( \mathcal{D} \) comes equipped with a natural Poincaré-Birkhoff-Witt filtration
\[
0 \subset F_0 \mathcal{D} \subset F_1 \mathcal{D} \subset F_2 \mathcal{D} \subset \cdots
\]
consisting of coherent \( \mathcal{O} \)-submodules, such that
\[
F_0 \mathcal{D} = \mathcal{O}, \quad F_1 \mathcal{D} = \mathcal{O} \oplus \mathcal{T}, \quad \text{and} \quad F_m \mathcal{D} = F_1 \mathcal{D} \cdot F_{m-1} \mathcal{D} \quad \text{for} \quad m > 1.
\]
Since \( X \) is smooth, the tangent sheaf \( \mathcal{T} \) is locally free and the associated graded algebra of \( \mathcal{D} \) is isomorphic to the symmetric algebra of \( \mathcal{T} \):
\[
gr \mathcal{D} := \bigoplus_{m=0}^{\infty} \frac{F_m \mathcal{D}}{F_{m-1} \mathcal{D}} \cong \Sym_{\mathcal{O}} \mathcal{T}.
\]
If \( q : T^* X \to X \) is the cotangent bundle of \( X \) defined by the locally free sheaf \( \mathcal{T} \), then we can also identify \( \gr \mathcal{D} \) with \( q_* \mathcal{O}_{T^* X} \).
4.3. **H-torsors.** Let $H$ be a flat affine algebraic group over $R$ of finite type. Let $\tilde{X}$ be a scheme equipped with an action $H \times \tilde{X} \to \tilde{X}$ of $H$ on $\tilde{X}$. We say that a morphism $\xi : \tilde{X} \to X$ is an $H$-torsor if $\xi$ is faithfully flat and locally of finite type, the action of $H$ respects $\xi$, and the map

$$\tilde{X} \times H \to \tilde{X} \times_X \tilde{X}$$

that sends $(x, h) \mapsto (x, hx)$ is an isomorphism. An open subscheme $U$ of $X$ is said to trivialise the torsor $\xi$ if there exists an $H$-invariant isomorphism

$$U \times H \xrightarrow{\sim} \xi^{-1}(U),$$

where $H$ acts on $U \times H$ by left translation on the second factor. Let $S_X$ denote the set of open subschemes $U$ of $X$ such that

- $U$ is affine,
- $U$ trivialises $\xi$,
- $\mathcal{O}(U)$ is a finitely generated $R$-algebra.

Since $X$ is separated, it is easy to see that $S_X$ is stable under intersections. Moreover, if $U \in S_X$ and $W$ is an open affine subscheme of $U$, then $W \in S_X$. We say that $\xi$ is locally trivial for the Zariski topology if $X$ can be covered by opens in $S_X$. Thus $S_X$ is a base for $X$ whenever $\xi$ is locally trivial.

**Lemma.** If $\xi : \tilde{X} \to X$ is a locally trivial $H$-torsor, then $\xi^* : \mathcal{O}_X \to (\xi_* \mathcal{O}_\tilde{X})^H$ is an isomorphism.

**Proof.** This is a local problem on $X$, so we may assume that $X$ is affine and $\xi : \tilde{X} = X \times H \to X$ is the projection onto the first factor. Since $\mathcal{O}(X)$ is a flat $R$-module, it is a direct limit of free $R$-modules. Now

$$(\xi_* \mathcal{O}_\tilde{X})^H(X) = \mathcal{O}(X \times H)^H = (\mathcal{O}(X) \otimes \mathcal{O}(H))^H = \mathcal{O}(X)$$

since rational cohomology commutes with direct limits by [49, Lemma I.4.17].

4.4. **The enhanced cotangent bundle.** Let $\xi : \tilde{X} \to X$ be an $H$-torsor. The action of $H$ on $\tilde{X}$ induces a rational action of $H$ on $\mathcal{O}(V)$ for any $H$-stable open subscheme $V \subseteq \tilde{X}$ and therefore induces an action of $H$ on $T_{\tilde{X}}$ as follows:

$$(h \cdot \partial)(f) = h \cdot \partial(h^{-1} \cdot f)$$

whenever $\partial \in T_{\tilde{X}}, f \in \mathcal{O}$ and $h \in H$. In this way we obtain the sheaf of enhanced vector fields on $X$:

$$\tilde{T} := (\xi_* T_{\tilde{X}})^H.$$

We can differentiate the $H$-action on $\tilde{X}$ to obtain an $R$-linear Lie homomorphism

$$j : \mathfrak{h} \to T_{\tilde{X}},$$
where $\mathfrak{h}$ is the Lie algebra of $\mathbf{H}$. Now suppose that $\xi$ is locally trivial, and let $\tau \in \mathcal{T}(U)$ for some open subscheme $U \subseteq X$. Then $\tau$ is an $\mathbf{H}$-invariant vector field on $\xi^{-1}(U)$ so, in particular, it is an $\mathbf{H}$-linear endomorphism of $\mathcal{O}(\xi^{-1}(U))$. Hence it preserves $\mathcal{O}(\xi^{-1}(U))^\mathbf{H}$ and by Lemma 4.3 it induces a vector field $\sigma(\tau) \in \mathcal{T}(U)$. This defines a map of $\mathcal{O}$-modules
\[ \sigma : \mathcal{T} \to \mathcal{T}, \]
which is also known as the anchor map of the Lie algebroid $\mathcal{T}$. It is easy to see that the anchor map fits into a complex of $\mathcal{O}$-modules
\[ (1) \quad 0 \to \mathfrak{h} \otimes \mathcal{O} \to \mathcal{T} \to \mathcal{T} \to 0, \]
which is functorial in $\mathcal{T}$.

**Lemma.** The restriction of (1) to any $U \in S_X$ is split exact. If $\xi$ is locally trivial, then (1) is exact and $\mathcal{T}$ is locally free.

**Proof.** We have $\mathcal{T}(U \times \mathbf{H}) = (\mathcal{T}(U) \otimes \mathcal{O}(\mathbf{H})) \oplus (\mathcal{O}(U) \otimes \mathcal{T}(\mathbf{H}))$. Since $\mathcal{T}(U)$ is a locally free $\mathcal{O}(U)$-module and $\mathcal{O}(U)$ is a flat $R$-module, $\mathcal{T}(U)$ is a flat $R$-module and hence a direct limit of free $R$-modules. Therefore,
\[ (\mathcal{T}(U) \otimes \mathcal{O}(\mathbf{H}))^\mathbf{H} = \mathcal{T}(U) \otimes \mathcal{O}(\mathbf{H})^\mathbf{H} = \mathcal{T}(U) \]
again by [49, Lemma I.4.17]. Now $\mathcal{T}(\mathbf{H})^\mathbf{H} = j(\mathfrak{h})$ so
\[ \mathcal{T}(U \times \mathbf{H})^\mathbf{H} = \mathcal{T}(U) \oplus (\mathcal{O}(U) \otimes j(\mathfrak{h})). \]
Let $U \times \mathbf{H} \iso \xi^{-1}(U)$ be an $\mathbf{H}$-invariant isomorphism. Then
\[ \mathcal{T}(U) = \mathcal{T}(\xi^{-1}(U))^\mathbf{H} \cong \mathcal{T}(U \times \mathbf{H})^\mathbf{H} = \mathcal{T}(U) \oplus (\mathcal{O}(U) \otimes j(\mathfrak{h})) \]
and the first part follows because $U$ is affine and every term in (1) is a quasi-coherent $\mathcal{O}$-module. The second part follows from the first and the functoriality of (1). \qed

We call the vector bundle $\tau : \mathcal{T}^*_X \to X$ associated to the locally free sheaf $\mathcal{T}$ the enhanced cotangent bundle of $X$. It can in fact be shown that the enhanced cotangent bundle $\mathcal{T}^*_X$ is isomorphic to the quotient scheme $(T^*_X)/\mathbf{H}$.

**4.5. Lemma.** The natural map $U(\mathfrak{h}) \to \Gamma(\mathbf{H}, \mathcal{D})^\mathbf{H}$ is an isomorphism.

**Proof.** Since $\mathbf{H}$ is affine and Noetherian, we can find isomorphisms
\[ \text{gr} \Gamma(\mathbf{H}, \mathcal{D}) \cong \Gamma(\mathbf{H}, \text{gr} \mathcal{D}) \cong \Gamma(\mathbf{H}, \text{Sym}_\mathcal{O} \mathcal{T}) \cong \text{Sym}_\mathcal{O} \mathcal{T}(\mathbf{H}) \cong \mathcal{O}(\mathbf{H}) \otimes S(\mathfrak{h}) \]
of commutative graded $R$-algebras. Since $S(\mathfrak{h})$ is a flat $R$-module, taking $\mathbf{H}$-invariants and applying [49, Lemma I.4.17] shows that the natural map $S(\mathfrak{h}) \to (\text{gr} \Gamma(\mathbf{H}, \mathcal{D}))^\mathbf{H}$ is an isomorphism. This map factors as follows:
\[ S(\mathfrak{h}) = \text{gr} U(\mathfrak{h}) \to \text{gr} (\Gamma(\mathbf{H}, \mathcal{D})^\mathbf{H}) \cong (\text{gr} \Gamma(\mathbf{H}, \mathcal{D}))^\mathbf{H}, \]
where the second arrow is injective since taking $H$-invariants is always left exact. It follows that both arrows are isomorphisms, and $U(h) \to \Gamma(H, D)^H$ is an isomorphism as claimed. □

4.6. Relative enveloping algebras. Given an $H$-torsor $\xi : \tilde{X} \to X$, $\xi_* D_{\tilde{X}}$ is a sheaf of algebras on $X$ with an $H$-action. Following [18, p. 180], we define the relative enveloping algebra of the torsor to be the sheaf of $H$-invariants of $\xi_* D_{\tilde{X}}$:

$$\tilde{D} := \left( \xi_* D_{\tilde{X}} \right)^H.$$ 

This sheaf carries a natural filtration

$$F_m \tilde{D} := \left( \xi_* F_m D_{\tilde{X}} \right)^H$$

induced by the filtration on $D_{\tilde{X}}$ by order of differential operators.

**Proposition.** There is an isomorphism of sheaves of filtered $R$-algebras

$$D|_U \otimes U(h) \cong \tilde{D}|_U$$

for any $U \in S_X$. If $\xi$ is locally trivial, then there is an isomorphism

$$\tau_* O_{\tilde{T} \times X} = Sym_{\mathcal{O}} \tilde{T} \cong gr \tilde{D}$$

of sheaves of graded $R$-algebras.

**Proof.** Let $U \in S_X$, and let $U \times H \xrightarrow{\cong} \xi^{-1}(U)$ be a trivialisation of $\xi$ over $U$. Using Lemma 4.5, we obtain isomorphisms of filtered $R$-algebras

$$D(U) \otimes U(h) \cong \left( D(U) \otimes D(H) \right)^H \xrightarrow{\cong} D(U \times H)^H \xrightarrow{\cong} \tilde{D}(U),$$

which are compatible with restrictions to Zariski open subschemes $V$ contained in $U$. Thus we obtain an isomorphism of sheaves of filtered $R$-algebras

$$\eta : D|_U \otimes U(h) \cong \tilde{D}|_U.$$ 

Now the natural inclusion $T_{\tilde{X}} \to F_1 D_{\tilde{X}}$ induces an $\mathcal{O}$-linear morphism $\tilde{T} \to F_1 \tilde{D}/F_0 \tilde{D}$ and therefore a morphism of graded $\mathcal{O}$-algebras

$$\alpha : Sym_{\mathcal{O}} \tilde{T} \to gr \tilde{D}.$$ 

On the other hand, Lemma 4.4 gives us an isomorphism of $\mathcal{O}|_U$-modules

$$\theta : T|_U \oplus \mathcal{O}|_U \otimes h \cong \tilde{T}|_U,$$
and these maps fit together into the commutative diagram

\[
\begin{array}{ccc}
\Gamma(U, \text{Sym}_O \tilde{T}) & \xrightarrow{\alpha(U)} & \Gamma(U, \text{gr} \tilde{D}) \\
\uparrow & & \uparrow \\
\text{Sym}_O(U) \tilde{T}(U) & \text{gr} \tilde{D}(U) \\
\uparrow \text{Sym} \theta(U) & \uparrow \text{gr} \eta(U) \\
\text{Sym}_O(U)(\mathcal{T}(U) \oplus O(U) \otimes \mathfrak{h}) & \text{gr}(\mathcal{D}(U) \otimes U(\mathfrak{h})) \\
\uparrow & \uparrow \\
\text{Sym}_O(U) \mathcal{T}(U) \otimes S(\mathfrak{h}) & \otimes \text{gr} \mathcal{D}(U) \otimes \text{gr} U(\mathfrak{h}).
\end{array}
\]

The top two vertical maps are isomorphisms because \( U \) is affine and Noetherian, and the bottom horizontal map is an isomorphism since \( \text{gr} \mathcal{D} \cong \text{Sym}_O \mathcal{T} \). The remaining vertical maps are isomorphisms by functoriality, and therefore \( \alpha(U) \) is an isomorphism for any \( U \in \mathcal{S}_X \). Since \( \xi \) is locally trivial, it follows that \( \alpha \) is an isomorphism.

The equality \( \tau_* O_{T^* X} = \text{Sym}_O \tilde{T} \) follows from the definition of the enhanced cotangent bundle \( \tau : T^* X \to X \).

Note that even if \( \xi \) is locally trivial, the sheaf \( \tilde{D} \) will in general not be isomorphic to \( \mathcal{D} \otimes U(\mathfrak{h}) \) since the torsor \( \xi \) will not in general be globally trivial.

**Corollary.** Let \( U \in \mathcal{S}_X \). Then

(a) \( \text{gr} \tilde{D}(U) \cong \text{Sym}_{O(U)} \tilde{T}(U) \), and

(b) \( \tilde{D}(U) \) is an almost commutative \( R \)-algebra.

**Proof.** (a) This follows from the proof of the proposition.

(b) Since \( \mathbf{H} \) is of finite type, its Lie algebra \( \mathfrak{h} \) has finite rank over \( R \), so \( \tilde{T}(U) \) is a finitely generated projective \( O(U) \)-module by Lemma 4.4. Hence \( \text{gr} \tilde{D}(U) \) is a finitely generated commutative \( O(U) \)-algebra. By definition of \( \mathcal{S}_X \), \( O(U) \) is a finitely generated \( R \)-algebra, and it now follows from part (a) that \( \text{gr} \tilde{D}(U) \) is a finitely generated commutative \( R \)-algebra.

4.7. **Algebraic groups and homogeneous spaces.** Let \( \mathbf{G} \) be a connected, split reductive, affine algebraic group scheme over \( R \). It is known that \( \mathbf{G} \) is flat over \( R \) [49, §II.1.1]. Let \( \mathbf{B} \) be a closed and flat Borel \( R \)-subgroup scheme, let \( \mathbf{N} \) be its unipotent radical, and let \( \mathbf{H} := \mathbf{B}/\mathbf{N} \) be the abstract Cartan group.

Let \( \mathcal{B} \) denote the homogeneous space \( \mathbf{G}/\mathbf{N} \). Because \( [\mathbf{B}, \mathbf{B}] \) is contained in \( \mathbf{N} \),

\[
b \mathbf{N} \cdot g \mathbf{N} := \mathbf{gN}, \quad b \in \mathbf{B}, \quad g \in \mathbf{G}
\]
defines an action of \( H \) on \( \tilde{B} \), which commutes with the natural action of \( G \) on \( \tilde{B} \).

**Lemma.** (a) \( \tilde{B} \) and \( B := G/B \) are smooth separated schemes over \( R \).
(b) The action of \( H \) on \( \tilde{B} \) induces an isomorphism \( \tilde{B}/H \cong B \).
(c) The natural projection \( \xi: \tilde{B} \to B \) is a locally trivial \( H \)-torsor.

**Proof.** Because \( G, B \) and \( N \) can be defined over \( \mathbb{Z} \), we may assume that \( R = \mathbb{Z} \).

(a) It follows from [49, §II.5.6(9)] that \( B \) and \( \tilde{B} \) are schemes; since they are homogeneous spaces under the action of \( G \), it follows that they must be smooth.

(b) This is clear, when viewed on the level of the functor of points.

(c) By [49, §II.1.10(2)], we may cover \( B \) by open subschemes \( U_i \) each isomorphic to \( A^{\dim B} \) (the Weyl translates of the big Bruhat cell) and find morphisms \( \sigma_i: U_i \to G \) splitting the projection map \( G \to B \). Composing these with the projection map \( G \to \tilde{B} \) gives maps \( \tilde{\sigma}_i: U_i \to \tilde{B} \) such that \( \xi \circ \tilde{\sigma}_i = \text{id}_{U_i} \). Now \( (u, bN) \mapsto \sigma_i(u)bN \) is the required \( H \)-invariant isomorphism \( U_i \times H \to \xi^{-1}(U_i) \) and we may apply [60, Prop. III.4.1].

We call the homogeneous spaces \( B = G/B \) and \( \tilde{B} = G/N \) the *flag variety* of \( G \) and the *basic affine space* of \( G \), respectively. We will write \( \tilde{D} \) for the relative enveloping algebra of the \( H \)-torsor \( \xi: \tilde{B} \to B \), and we will also write \( \tau: T^*B \to \tilde{B} \) for the structure map of the enhanced cotangent bundle of the flag variety.

4.8. *The enhanced moment map.* Let \( g, b, n \) and \( h \) be the Lie algebras of \( G, B, N \) and \( H \), respectively. We can differentiate the natural \( G \)-action on \( \tilde{B} \) to obtain an \( R \)-linear Lie homomorphism

\[
\varphi: g \to T_{\tilde{B}}.
\]

Since the \( G \)-action commutes with the \( H \)-action on \( \tilde{B} \), this map descends to an \( R \)-linear Lie homomorphism \( \varphi: \mathcal{O}_B \to \tilde{T}_B \) and an \( \mathcal{O}_B \)-linear morphism

\[
\varphi: \mathcal{O}_B \otimes g \to \tilde{T}_B
\]

of locally free sheaves on \( B \), which dualizes to give a morphism of vector bundles over \( B \) from the enhanced cotangent bundle to the trivial vector bundle of rank \( \dim g \):

\[
T^*B \to B \times g^*.
\]

Here \( g^* := \text{Spec} (\text{Sym}_R g) \) is being thought of as an \( R \)-scheme. Composing this morphism with the projection map onto the second factor gives the *enhanced moment map*

\[
\beta: \tilde{T}^*B \to g^*
\]
of \( R \)-schemes. This morphism is also sometimes known as the Grothendieck-Springer resolution of \( g^* \).

**Proposition.** (a) The morphism \( \varphi : O_B \otimes g \rightarrow \tilde{T}_B \) is surjective.
(b) The enhanced moment map is a projective morphism.

**Proof.** Since the space \( \tilde{B} \) is homogeneous, the geometric fibres of \( \varphi \) are surjective by \([16, \text{Prop. II.6.7}]\). Part (a) follows because \( O_B \otimes g \) and \( \tilde{T}_B \) are locally free.

The dual map \( \tilde{T}^*B \rightarrow B \times g^* \) is a closed immersion by part (a). Part (b) now follows because \( B \) is a projective scheme by \([49, \S II.1.8]\). \( \square \)

4.9. Quantizing the moment map. The Lie homomorphism \( \varphi : g \rightarrow \tilde{T} \) extends to a graded \( R \)-algebra homomorphism

\[
\text{Sym}(\varphi) : \text{Sym}_R g \rightarrow \text{Sym}_{\tilde{T}}
\]

which can be viewed as the pull-back map on functions

\[
\beta^\#: O(g^*) \rightarrow \tau^*O_{\tilde{T}^*B}
\]

associated to the enhanced moment map \( \beta : \tilde{T}^*B \rightarrow g^* \). It also extends to a filtered \( R \)-algebra homomorphism

\[
U(\varphi) : U(g) \rightarrow \tilde{D}
\]

encoding the action of \( g \) on \( \tilde{B} \) by \( H \)-invariant vector fields.

**Lemma.** The representation \( U(\varphi) : U(g) \rightarrow \tilde{D} \) quantizes the enhanced moment map in the sense that \( \text{gr} U(\varphi) = \text{Sym}(\varphi) \).

**Proof.** Using Proposition 4.6 and Lemma 4.7(c), we can naturally identify \( \text{gr} \tilde{D} \) with \( \text{Sym}_{\tilde{T}} \). The restriction of \( \text{gr} U(\varphi) \) to \( g \) is the representation \( \varphi \) by definition, so \( \text{gr} U(\varphi) \) and \( \text{Sym}(\varphi) \) agree on the generators \( g \) of \( \text{Sym}_R g \). The result follows. \( \square \)

In fact, \( U(\varphi) \) quantizes \( \beta \) in a stronger sense. There are natural Poisson structures on both \( g^* \) and on \( \tilde{T}^*B \) that are induced by the noncommutative algebras \( U(g) \) and \( \tilde{D} \), and the morphism \( \text{Sym}(\varphi) \) is compatible with these structures.

4.10. The Harish-Chandra homomorphism. Since our group \( G \) is split by assumption, we can find a Cartan subgroup \( T \) of \( G \) complementary to \( N \) in \( B \).

Let \( i : T \xrightarrow{\cong} H \) denote the natural isomorphism, and let \( i : t \xrightarrow{\cong} h \) be the induced isomorphism between the corresponding Lie algebras. The adjoint action of \( T \) on \( g \) induces a root space decomposition

\[
g = n \oplus t \oplus n^+,
\]
and we will regard \( n \), the Lie algebra of \( N \), as being spanned by negative roots. This decomposition induces an isomorphism of \( R \)-modules
\[
U(\mathfrak{g}) \cong U(n) \otimes U(t) \otimes U(n^+) \]
and a direct sum decomposition
\[
U(\mathfrak{g}) = U(t) \oplus (nU(\mathfrak{g}) + U(\mathfrak{g})n^+) \,.
\]
Now the adjoint action of the group \( G \) induces a rational action of \( G \) on \( U(\mathfrak{g}) \) by algebra automorphisms, so we may consider the subring \( U(\mathfrak{g})^G \) of \( G \)-invariants. We call the composite of the natural inclusion of \( U(\mathfrak{g})^G \) \( \to U(\mathfrak{g}) \) with the projection \( U(\mathfrak{g}) \to U(t) \) onto the first factor defined by this decomposition the Harish-Chandra homomorphism:
\[
\phi : U(\mathfrak{g})^G \longrightarrow U(t) \,.
\]
Recall from Section 4.4 that the infinitesimal action of \( H \) on \( \tilde{B} \) is denoted by
\[
j : \mathfrak{h} \to \tilde{T}_B
\]
and that it extends to an \( R \)-algebra homomorphism \( j : U(\mathfrak{h}) \to \tilde{D} \). Since \( H \) is commutative, Proposition 4.6 shows that \( j \) is a central embedding.

**Lemma.** Suppose that \( R \) is an integral domain. Then there exists a commutative diagram
\[
\begin{array}{ccc}
U(\mathfrak{g})^G & \xrightarrow{\phi} & U(t) \\
\downarrow & & \downarrow j \circ i \\
U(\mathfrak{g}) & \xrightarrow{U(\phi)} & \tilde{D}
\end{array}
\]
of filtered rings: the restriction of \( U(\phi) \) to \( U(\mathfrak{g})^G \) is equal to \( j \circ i \circ \phi \).

**Proof.** Since the objects in this diagram have no \( R \)-torsion by the Poincaré-Birkhoff-Witt Theorem, we may replace \( R \) by an algebraic closure its field of fractions. But in this case this result is well known; this was first observed in [35, §9] for the case when the characteristic of \( R \) is zero. See [14, Lemma 3.1.5(b)] for the general case. \( \square \)

5. Completions, deformations and characteristic varieties

We refer the reader to [38, §0.5.3.1] for the definition of coherent \( \mathcal{A} \)-modules over a sheaf \( \mathcal{A} \) of not necessarily commutative rings over a topological space, and we denote the abelian category of coherent \( \mathcal{A} \)-modules by \( \text{coh}(\mathcal{A}) \). Recall that the sheaf \( \mathcal{A} \) is said to be coherent if \( \mathcal{A} \) is itself a coherent \( \mathcal{A} \)-module. We begin by establishing some generalities on coherent modules and \( I \)-adic completions, following [12, §3].
5.1. Coherently $\mathcal{D}$-affine spaces. Let $X$ be a topological space, and let $\mathcal{D}$ be a coherent sheaf of rings on $X$.

**Definition.** We say that $X$ is coherently $\mathcal{D}$-acyclic if every coherent $\mathcal{D}$-module $M$ is $\Gamma(X, -)$-acyclic and has the property that $\mathcal{M}(X)$ is a coherent $\mathcal{D}(X)$-module.

We say that $X$ is coherently $\mathcal{D}$-affine if $X$ is coherently $\mathcal{D}$-acyclic and every coherent $\mathcal{D}$-module is generated by its global sections as a $\mathcal{D}$-module.

If $\mathcal{S}$ is a base for $X$, we say that $\mathcal{S}$ is coherently $\mathcal{D}$-acyclic, respectively coherently $\mathcal{D}$-affine, if for all $U \in \mathcal{S}$, $U$ is coherently $\mathcal{D}|_U$-acyclic, respectively coherently $\mathcal{D}|_U$-affine.

A classic example of a space that is coherently $\mathcal{D}$-affine is obtained by taking $X$ to be a smooth affine complex algebraic variety and $\mathcal{D}$ to be the sheaf of differential operators on $X$.

The main reason for these definitions comes from the following

**Proposition.** Let $X$ be coherently $\mathcal{D}$-acyclic. Then $\ker \Gamma(X, -)$ is a Serre subcategory of $\text{coh}(\mathcal{D})$, and $\Gamma(X, -)$ and $\mathcal{D} \otimes_{\mathcal{D}(X)} -$ induce mutually inverse equivalences of abelian categories between $\text{coh}(\mathcal{D})/ \ker \Gamma(X, -)$ and the category $\text{coh}(\mathcal{D}(X))$ of coherent $\mathcal{D}(X)$-modules. Moreover if $X$ is coherently $\mathcal{D}$-affine, then $\ker \Gamma(X, -) = 0$.

**Proof.** Let $\Gamma := \Gamma(X, -)$, $D := \mathcal{D}(X)$ and $\text{Loc} := \mathcal{D} \otimes_{\mathcal{D}(X)} -$. Since $X$ is coherently $\mathcal{D}$-acyclic, $\Gamma$ is exact on $\text{coh}(\mathcal{D})$, which implies that $\ker \Gamma$ is closed under subquotients and extensions.

Now $(\text{Loc}, \Gamma)$ is an adjunction between the category of all $D$-modules and the category of all sheaves of $\mathcal{D}$-modules. Since $\text{Loc}$ is right exact and $\mathcal{D}$ is coherent, $\text{Loc}$ sends coh($\mathcal{D}$) to coh($\mathcal{D}$). Since $X$ is coherently $\mathcal{D}$-acyclic, $(\text{Loc}, \Gamma)$ restricts to an adjunction between coh($\mathcal{D}$) and coh($\mathcal{D}$) and $\Gamma$ is exact. By [10, Lemma 2.4] it thus suffices for the second part to prove that the counit $M \xrightarrow{\eta_M} \Gamma(\text{Loc}(M))$ is an isomorphism for $M \in \text{coh}(\mathcal{D})$.

Since $\text{Loc}$ is right exact and $\Gamma$ is exact on coh($\mathcal{D}$), the composite $\Gamma \circ \text{Loc}$ is also right exact. Since $M$ is coherent, it has a finite presentation; because $\eta_D$ is an isomorphism by definition, the Five Lemma now implies that $\eta_M$ is also an isomorphism, as required.

The final part is immediate; if $\mathcal{M}$ is generated by global sections, then $\Gamma(\mathcal{M}) = 0$ if and only if $\mathcal{M} = 0$. \hfill $\square$

5.2. Completions. Recall from [42, §II.9] that inverse limits exist in the category of sheaves of abelian groups over any topological space.

**Definition.** Suppose that $\mathcal{D}$ contains a constant central subsheaf $Z$, which contains an ideal $I$. We define $\widehat{\mathcal{D}} := \varprojlim \mathcal{D}/I^n \mathcal{D}$ to be the $I$-adic completion of $\mathcal{D}$. 
This is a sheaf of \( \mathbb{Z} \)-algebras on \( X \) and \( \Gamma(U, \mathcal{D}) = \lim \Gamma(U, \mathcal{D}/I^n \mathcal{D}) \) for any open subset \( U \) of \( X \). We will use the following elementary result repeatedly.

**Lemma.** Suppose that \( \Gamma(X, -) \) is exact on \( \text{coh}(\mathcal{D}) \). Then for any coherent \( \mathcal{D} \)-module \( M \) and any ideal \( J \) in \( Z \) such that \( J \cdot \mathcal{D}(X) \) is finitely generated, there is a natural isomorphism of \( \mathcal{D}(X) \)-modules

\[
(M/JM)(X) \cong M(X)/JM(X).
\]

**Proof.** Choose \( z_1, \ldots, z_m \in J \) that generate \( J \cdot \mathcal{D}(X) \). Since \( \Gamma(X, -) \) is exact on \( \text{coh}(\mathcal{D}) \) by assumption and \( Z \) is central in \( \mathcal{D} \), the exact sequence

\[
\begin{array}{c}
M_m(z_1, \ldots, z_m) \rightarrowtail M \rightarrowtail (M/JM)(X) \rightarrowtail 0
\end{array}
\]

in \( \text{coh}(\mathcal{D}) \) gives rise to the exact sequence

\[
\begin{array}{c}
M_m(z_1, \ldots, z_m) \rightarrowtail M(X) \rightarrowtail (M/JM)(X) \rightarrowtail 0
\end{array}
\]

and the result follows. \( \square \)

If \( \mathcal{D}(X) \) is left Noetherian, then \( I^n \cdot \mathcal{D}(X) \) is finitely generated for all \( n \geq 1 \). Lemma 5.2 now implies that \( \widehat{\mathcal{D}}(X) \) is just the \( I \)-adic completion of \( \mathcal{D}(X) \):

\[
\widehat{\mathcal{D}}(X) = \lim \mathcal{D}/I^n \mathcal{D}(X) \cong \lim \mathcal{D}(X)/I^n \mathcal{D}(X).
\]

**Definition.** If \( S \) is a base for \( X \), we say that \( D \) is **Noetherian on** \( S \) if \( D(U) \) is left Noetherian for all \( U \in S \).

5.3. **The functor** \( M \mapsto M^{\Delta} \). Throughout Sections 5.3–5.4 we fix a base \( S \) for \( X \) such that \( X \in S \), and we assume that

- \( \mathcal{D} \) is Noetherian on \( S \),
- \( S \) is coherently \( \mathcal{D} \)-acyclic, and
- \( \widehat{\mathcal{D}} \) is coherent.

Let \( D := \mathcal{D}(X) \). We define a functor \( M \mapsto M^{\Delta} \) from \( \widehat{D} := \widehat{\mathcal{D}(X)} \)-modules to sheaves of \( \widehat{\mathcal{D}} \)-modules by the formula

\[
M^{\Delta} := \lim \mathcal{D} \otimes_D M/I^n M.
\]

Since we are assuming that \( X \in S \), the algebra \( D \) is left Noetherian so \( \text{coh}(D) \) is simply the category of all finitely generated \( D \)-modules.

**Proposition.** (a) The functor \( M \mapsto M^{\Delta} \) is exact on \( \text{coh}(D) \).
(b) \( \widehat{D}^{\Delta} = \widehat{\mathcal{D}} \).
(c) \( M^{\Delta} \) is a coherent \( \widehat{\mathcal{D}} \)-module whenever \( M \) is a finitely presented \( \widehat{D} \)-module.
(d) If \( u : \widehat{\mathcal{D}}^r \rightarrow \widehat{\mathcal{D}}^s \) is a map of \( \widehat{\mathcal{D}} \)-modules, then \( \text{coker}(u) \cong M^{\Delta} \) for some finitely presented \( \widehat{D} \)-module \( M \).
Proof. (a) Let $0 \to A \to B \to C \to 0$ be an exact sequence of coherent $\mathcal{D}$-modules. Since $X$ is coherently $\mathcal{D}$-affine, $\mathcal{D} \otimes \mathcal{D}$ is exact on $\text{coh}(\mathcal{D})$ by Proposition 5.1. Therefore the sequence of towers of $\mathcal{D}$-modules

$$0 \to \left[ \mathcal{D} \otimes \frac{A + I^n B}{I^n B} \right]_n \to \left[ \mathcal{D} \otimes \frac{B}{I^n B} \right]_n \to \left[ \mathcal{D} \otimes \frac{C}{I^n C} \right]_n \to 0$$

is exact. The maps in the left-most nonzero tower are surjective, so it trivially satisfies the Mittag-Leffler condition. Taking inverse limits gives a short exact sequence

$$0 \to \lim_\leftarrow \mathcal{D} \otimes \frac{A + I^n B}{I^n B} \to B^\Delta \to C^\Delta \to 0.$$ 

Since $\mathcal{D}$ is left Noetherian, by the Artin-Rees Lemma [12, §3.2.3(i)] we can find an integer $n_0$ such that $I^n A \subseteq A \cap I^n B \subseteq I^n - n_0 A$ for all $n \geq n_0$, so the natural map

$$A^\Delta = \lim_\leftarrow \mathcal{D} \otimes \frac{A}{I^n A} \to \lim_\leftarrow \mathcal{D} \otimes \frac{A + I^n B}{I^n B}$$

is an isomorphism, and the result follows.

(b) $\widehat{D}^\Delta = \lim_\leftarrow \mathcal{D} \otimes \frac{\widehat{D}}{I^n \widehat{D}} = \lim_\leftarrow \mathcal{D} \otimes \frac{\mathcal{D}}{I^n \mathcal{D}} \cong \lim_\leftarrow \mathcal{D} / I^n \mathcal{D} = \widehat{D}$.

(c) Since $M^\Delta$ is a $\widehat{\mathcal{D}}$-module, there is a natural map $\widehat{\mathcal{D}} \otimes \mathcal{D} M \to M^\Delta$ of $\widehat{\mathcal{D}}$-modules, which is an isomorphism when $M = \widehat{D}$ by part (b). Since $M$ is finitely presented, using parts (a) and (b) together with the Five Lemma shows that $\widehat{\mathcal{D}} \otimes \mathcal{D} M$ is in fact naturally isomorphic to $M^\Delta$. Since $\widehat{\mathcal{D}}$ is coherent by assumption, it also follows that $M^\Delta$ is coherent.

(d) Let $M$ be the cokernel of the map $\Gamma(X, u) : \Gamma(X, \widehat{\mathcal{D}}^r) \to \Gamma(X, \widehat{\mathcal{D}}^s)$. Then $\widehat{D}^r \Gamma(X, u) \to \widehat{D}^s M \to 0$ is exact. Applying the exact functor $(\_)^\Delta$ to this presentation of $M$ produces the exact sequence $\widehat{\mathcal{D}}^r u \to \widehat{\mathcal{D}}^s \to M^\Delta \to 0$, so $\text{coker}(u) \cong M^\Delta$, as required. \qed

5.4. Lemma. Let $\mathcal{M}$ be a coherent $\widehat{\mathcal{D}}$-module. Then the natural map $\mathcal{M} \to \lim_\leftarrow \mathcal{M} / I^n \mathcal{M}$ is an isomorphism.

Proof. Since $\mathcal{M}$ is coherent, by shrinking $X$ if necessary we may assume that $\mathcal{M}$ is finitely presented: $\mathcal{M} = \text{coker}(u)$ for some morphism $u : \mathcal{D}^r \to \mathcal{D}^s$ of $\widehat{\mathcal{D}}$-modules. We may then assume that $\mathcal{M} = M^\Delta$ for some finitely presented $\widehat{D} := \widehat{\mathcal{D}}(X)$-module $M$ by Proposition 5.3(d). Let $z_1, \ldots, z_m$ generate $I^n$ so that we have the exact sequence of finitely generated $\widehat{D}$-modules

$$M^m \to M / I^n M \to 0.$$ 

By Proposition 5.3(a), the sequence

$$(M^\Delta)^m \to (M / I^n M)^\Delta \to 0$$

is exact.
is exact, so

\[ \mathcal{M}/I^n \mathcal{M} = M^\Delta/I^n M^\Delta \cong (M/I^n M)^\Delta \cong \mathcal{D} \otimes_D \frac{M}{I^n M} \]

for any \( n \geq 1 \). Hence \( \mathcal{M} = M^\Delta = \lim \leftarrow \frac{M}{I^n M} \cong \lim \leftarrow \frac{M/I^n M}{I^n M} \).

5.5. **Theorem.** Suppose \( \mathcal{D} \) is Noetherian on \( S \), \( S \) is coherently \( \mathcal{D} \)-acyclic and \( \widehat{\mathcal{D}} \) is coherent. Then \( S \) is also coherently \( \widehat{\mathcal{D}} \)-acyclic. If moreover \( S \) is coherently \( \mathcal{D} \)-affine, then it is also coherently \( \widehat{\mathcal{D}} \)-affine.

**Proof.** For the first part, it suffices to show that if \( X \in S \), then \( X \) is coherently \( \widehat{\mathcal{D}} \)-acyclic.

Let \( \mathcal{M} \) be a coherent \( \widehat{\mathcal{D}} \)-module. For each \( n \geq 1 \), let \( M_n := \Gamma(X, \mathcal{M}/I^n \mathcal{M}) \) and \( D_n := \Gamma(X, \mathcal{D}/I^n \mathcal{D}) \). Define \( M := \Gamma(X, \mathcal{M}) \), \( D := \Gamma(X, \mathcal{D}) \), and note that \( D_n \cong D/I^n D \) by Lemma 5.2.

By Lemma 5.4, \( \mathcal{M} \) is isomorphic to \( \lim \leftarrow \mathcal{M}/I^n \mathcal{M} \). Each \( \mathcal{M}/I^n \mathcal{M} \) is a coherent \( \mathcal{D} \)-module killed by \( I^n \) and is therefore a coherent \( \mathcal{D} \)-module. So \( H^i(X, \mathcal{M}/I^n \mathcal{M}) = 0 \) for all \( n \geq 1 \) and all \( i > 0 \), and \( M_n \) is a finitely generated \( D \)-module for all \( n \geq 1 \), because \( X \) is coherently \( \mathcal{D} \)-acyclic. Next, the short exact sequence

\[ 0 \to I^n \mathcal{M}/I^{n+1} \mathcal{M} \to \mathcal{M}/I^{n+1} \mathcal{M} \to \mathcal{M}/I^n \mathcal{M} \to 0 \]

consists of coherent \( \mathcal{D} \)-modules; since \( H^1(X, \mathcal{M}/I^n \mathcal{M}) = 0 \) for all \( n \geq 1 \) and all \( i > 0 \), each map in the tower \( \cdots \to M_{n+1} \to M_n \to \cdots \to M_1 \) is surjective. Hence this tower satisfies the Mittag-Leffler condition, and it follows from [40, Prop. 0.13.3.1] that \( H^i(X, \mathcal{M}) = 0 \) for all \( i > 0 \). Thus \( \mathcal{M} \) is \( \Gamma \)-acyclic.

Now, the algebra \( \widehat{D} := \widehat{\mathcal{D}}(X) \) is isomorphic to the \( I \)-adic completion of \( D \). Since \( D \) is left Noetherian by assumption, \( \widehat{D} \) is also left Noetherian by [12, §3.2.3(vi)]. Thus, to show that \( M \) is a coherent \( \widehat{\mathcal{D}} \)-module, it is enough to prove that \( M \) is finitely generated. Since \( \Gamma(X, -) \) is exact on \( \text{coh}(\mathcal{D}) \) by assumption and since

\[ \frac{\mathcal{M}/I^n \mathcal{M}}{I^{n-1} \cdot (\mathcal{M}/I^n \mathcal{M})} \cong \frac{\mathcal{M}}{I^{n-1} \mathcal{M}} \]

Lemma 5.2 implies that

\[ M_n/I^{n-1} M_n \cong M_{n-1} \]

for all \( n \geq 1 \). Since \( M_1 \) is a finitely generated \( D_1 \)-module, \( M = \mathcal{M}(X) = \lim \leftarrow M_n \) is a finitely generated \( \widehat{D} := \widehat{\mathcal{D}}(X) \)-module by [12, Lemma 3.2.2]. Thus \( S \) is coherently \( \widehat{\mathcal{D}} \)-acyclic.

For the last part, it suffices to show that \( \mathcal{M} \) is generated by global sections. By Proposition 5.1, \( \mathcal{M}/I^n \mathcal{M} \cong \mathcal{D} \otimes_D M_n \), and \( M_n \cong M/I^n M \) by
So Lemma 5.4 implies that
\[ M \cong \lim_{\leftarrow} M / I^n M \cong \lim_{\leftarrow} \mathcal{D} \otimes_D M / I^n M = M^\Delta. \]

Choose a presentation \( F_1 \to F_0 \to M \to 0 \) of \( M \) consisting of finitely generated free \( \mathcal{D} \)-modules. It induces an exact sequence \( F^\Delta_1 \to F^\Delta_0 \to M^\Delta \to 0 \) of coherent \( \mathcal{D} \)-modules by Proposition 5.3(a) and a commutative diagram

\[
\begin{array}{ccc}
\mathcal{D} \otimes_D F_1 & \longrightarrow & \mathcal{D} \otimes_D F_0 \longrightarrow \mathcal{D} \otimes_D M \longrightarrow 0 \\
F^\Delta_1 & \longrightarrow & F^\Delta_0 \longrightarrow M^\Delta \longrightarrow 0
\end{array}
\]

with exact rows. Proposition 5.3(b) implies that the two vertical arrows on the left are isomorphisms, so the map
\[ \mathcal{D} \otimes_D M \cong M^\Delta \]
is an isomorphism by the Five Lemma and \( M \) is generated by global sections.

5.6. Notation. Now we return to the setting and notation of Section 4.1, and we make the additional hypothesis that \( R \) is a complete discrete valuation ring with uniformizer \( \pi \), residue field \( k \) and field of fractions \( K \). We will denote the special and generic fibres of \( X \) by \( X_k := X \times \text{Spec}(k) \) and \( X_K := X \times \text{Spec}(K) \) respectively. We also suppose that we are given a locally trivial \( H \)-torsor \( \xi : \tilde{X} \to X \) over \( X \) for some flat affine algebraic group \( H \) of finite type over \( R \), as in Section 4.3. Let \( S := S_X \) be the base for \( X \) consisting of open affine subschemes \( U \) of \( X \) of finite type that trivialise \( \xi \). We fix a deformation parameter \( n \geq 0 \).

5.7. The sheaf \( \mathcal{D}_n \). Recall the category of deformable \( R \)-algebras from Section 3.5, and let \( \mathcal{D} \) denote the relative enveloping algebra of the \( H \)-torsor \( \xi \).

**Lemma.** (a) The category of deformable \( R \)-algebras has all limits, and the forgetful functor to \( R \)-algebras preserves limits.

(b) \( \mathcal{D} \) is a sheaf of deformable \( R \)-algebras.

**Proof.** (a) Let \( (A_i)_{i \in I} \) be an inverse system of deformable \( R \)-algebras with connecting homomorphisms \( f_{ji} : A_j \to A_i \) for \( j \geq i \), and let
\[ A := \lim_{\leftarrow} A_i = \{ (a_i) \in \prod_{i \in I} A_i \mid f_{ji}(a_j) = a_i \ \text{for all} \ j \geq i \} \]
be the inverse limit. Equip \( \prod_{i \in I} A_i \) with the product filtration and \( A \subseteq \prod_{i \in I} A_i \) with the subspace filtration. Then \( A \) is a positively filtered \( R \)-algebra, and
gr A is an R-submodule of the direct product of the gr A_i. Since R is a discrete valuation ring, it follows that gr A is flat over R.

(b) Certainly \( \tilde{D} \) is a sheaf of filtered R-algebras. Let \( U \in \mathcal{S} \); then gr(\( \tilde{D}(U) \)) is a locally free \( \mathcal{O}(U) \)-module by Corollary 4.6 and hence is a flat R-algebra. Thus \( \tilde{D}(U) \) is a deformable R-algebra for any \( U \in \mathcal{S} \). Now \( \mathcal{S} \) is a base for \( X \), so \( \tilde{D}(U) \) is a deformable R-algebra for any open \( U \subseteq X \) by part (a).

**Definition.** Let \( \tilde{D}_n \) be the sheafification of the presheaf obtained by postcomposing \( \tilde{D} \) with the deformation functor \( A \to A_n \) from Section 3.5.

Note that the lemma implies that \( \tilde{D}_n \) is, in fact, a sheaf of deformable R-algebras. It can be shown that the deformation functors do not commute with arbitrary finite inverse limits; this explains the need to sheafify. However it is still possible to compute local sections of \( \tilde{D}_n \) over \( U \in \mathcal{S} \) as follows.

**Proposition.**
(a) \( \tilde{D}_n(U) \cong \tilde{D}(U)_n \) for all \( U \in \mathcal{S} \).
(b) \( \tilde{D}_n(U) \) is almost commutative for all \( U \in \mathcal{S} \).
(c) There is an isomorphism of sheaves \( \tau_* \mathcal{O}_{\tilde{T}^*X} = \text{Sym}_\mathcal{O} \tilde{T} \to \text{gr} \tilde{D}_n \).
(d) The sheaf \( \tilde{D}_n \) is coherent.

**Proof.** (a) By [38, §0.3.2.2], it is enough to show that the sequence

\[
0 \to \tilde{D}(U)_n \to \bigoplus_{i=1}^m \tilde{D}(U_i)_n \to \bigoplus_{i<j} \tilde{D}(U_i \cap U_j)_n
\]

of deformable R-algebras is exact whenever \( U = U_1 \cup \cdots \cup U_m \) is a cover of \( U \) by some other \( U_i \in \mathcal{S} \). By Lemma 3.5 and Proposition 4.6, the associated graded of this sequence is isomorphic to

\[
0 \to \text{Sym}_{\mathcal{O}(U)} \tilde{T}(U) \to \bigoplus_{i=1}^m \text{Sym}_{\mathcal{O}(U_i)} \tilde{T}(U_i) \to \bigoplus_{i<j} \text{Sym}_{\mathcal{O}(U_i \cap U_j)} \tilde{T}(U_i \cap U_j),
\]

and this is exact since \( \text{Sym}_\mathcal{O} \tilde{T} \) is a sheaf on \( X \). Hence the first sequence is exact.

(b) This follows from part (a), Lemma 3.5 and Corollary 4.6.

(c) By Lemma 3.5, for every open subscheme \( U \) of \( X \), there is an isomorphism of graded R-algebras \( \text{gr}(\tilde{D}(U)) \to \text{gr}(\tilde{D}(U)_n) \) that is natural in \( U \). After applying sheafification, this induces a morphism of sheaves of graded R-algebras

\[
\gamma : \text{gr} \tilde{D} \to \text{gr} \tilde{D}_n.
\]

The sections of this morphism over \( U \in \mathcal{S} \) can be identified with \( \text{gr}(\tilde{D}(U)) \to \text{gr}(\tilde{D}(U)_n) \) because \( U \) is affine and because \( \tilde{D}_n(U) = \tilde{D}(U)_n \) by part (a). Thus \( \gamma(U) \) is an isomorphism for all \( U \in \mathcal{S} \), so \( \gamma \) is an isomorphism since \( \mathcal{S} \) is a base.
for $X$. Now precompose $\gamma$ with the isomorphism $\alpha : \text{Sym}_\mathcal{O} \widetilde{T} \xrightarrow{\cong} \text{gr} \tilde{D}$ given by Proposition 4.6.

(d) Let $V \subseteq U$ in $\mathcal{S}$; by [12, Prop. 3.1.1] it will be enough to show that $\tilde{D}_n(U)$ is Noetherian and that the restriction morphism $\tilde{D}_n(U) \to \tilde{D}_n(V)$ is flat. The first part follows from (a) and (b), and for the second, it is enough to show that the morphism $\text{gr} \tilde{D}_n(U) \to \text{gr} \tilde{D}_n(V)$ is flat by [70, Prop. 1.2]. But by part (c), this morphism is just the restriction map of regular functions $\mathcal{O}(\tilde{T}^*U) \to \mathcal{O}(\tilde{T}^*V)$ corresponding to the Zariski open immersion $\tilde{T}^*V \to \tilde{T}^*U$ and is therefore flat.

\[ \square \]

5.8. Good filtrations. Let $\mathcal{M}$ be a coherent $\tilde{D}_n$-module. A filtration $F_\bullet \mathcal{M}$ of $\mathcal{M}$ is a sequence $0 \subseteq F_0 \mathcal{M} \subseteq F_1 \mathcal{M} \subseteq \cdots$ of subsheaves of abelian groups of $\mathcal{M}$ such that $F_i \tilde{D}_n \cdot F_j \mathcal{M} \subseteq F_{i+j} \mathcal{M}$ for all $i, j \geq 0$. We say that this filtration is good if the associated graded sheaf $\mathcal{M} := \bigoplus_{i \geq 0} F_i \mathcal{M}/F_{i-1} \mathcal{M}$ is a coherent $\text{gr} \tilde{D}_n$-module.

Lemma. Let $\mathcal{M}$ be a coherent $\tilde{D}_n$-module.
(a) $\mathcal{M}$ is quasi-coherent as an $\mathcal{O}$-module.
(b) There exists an $\mathcal{O}$-coherent submodule $F$ of $\mathcal{M}$ such that $\mathcal{M} = \tilde{D}_n \cdot F$.
(c) There exists at least one good filtration $F_\bullet \mathcal{M}$ on $\mathcal{M}$.
(d) If $F_\bullet \mathcal{M}$ is a good filtration on $\mathcal{M}$, then each $F_i \mathcal{M}$ is a coherent $\mathcal{O}$-module.

Proof. (a) By Proposition 5.7(c), each graded piece $\text{gr}_i \tilde{D}_n$ of $\tilde{D}_n$ is a coherent $\mathcal{O}$-module. Since coherent $\mathcal{O}$-modules are closed under extensions by [42, Prop. II.5.7], each filtered part $F_i \tilde{D}_n$ is a coherent $\mathcal{O}$-module. Now $\tilde{D}_n$ is the direct limit of the $F_i \tilde{D}_n$ and therefore a quasi-coherent $\mathcal{O}$-module. Since $\mathcal{M}$ is a coherent $\tilde{D}_n$-module, $\mathcal{M}$ is locally finitely generated over $\tilde{D}_n$ and therefore quasi-coherent as an $\mathcal{O}$-module.

(b) By [38, Cor. I.9.4.9], $\mathcal{M}$ is the direct limit of its $\mathcal{O}$-coherent submodules. Since $\mathcal{M}$ is coherent as a $\tilde{D}_n$-module, we can find a coherent $\mathcal{O}$-submodule $\mathcal{F}$ of $\mathcal{M}$ such that $\mathcal{M} = \tilde{D}_n \cdot \mathcal{F}$.

(c) Setting $F_i \mathcal{M} := F_i \tilde{D}_n \cdot \mathcal{F}$ defines a good filtration on $\mathcal{M}$.

(d) This is a local statement, so we may assume that $\text{gr} \mathcal{M}$ is finitely generated over $\text{gr} \tilde{D}_n$. But then each $\text{gr}_i \mathcal{M}$ is a quotient of a direct sum of finitely many copies of $\text{gr}_i \tilde{D}_n$, which is a coherent $\mathcal{O}$-module by Proposition 5.7(c), so each $\text{gr}_i \mathcal{M}$ is coherent over $\mathcal{O}$. The result follows since coherent $\mathcal{O}$-modules are stable under extensions.

\[ \square \]

5.9. The $\pi$-adic completion $\tilde{\pi}_n$. We now apply the theory from Sections 5.1–5.5 by taking $\mathcal{D}$ to be the sheaf $\tilde{D}_n$ constructed in Section 5.7 and taking $I$ to be the ideal generated by $\pi$.

Definition. Let $\tilde{\pi}_n := \lim \tilde{D}_n/\pi^n \tilde{D}_n$ be the $\pi$-adic completion of $\tilde{D}_n$. 
This is a sheaf of \( R \)-algebras on \( X \) and \( \Gamma(U, \mathcal{D}_n) = \lim \leftarrow \Gamma(U, \mathcal{D}_n/\pi^a\mathcal{D}_n) \) for any open subscheme \( U \) of \( X \). The restriction of \( \mathcal{D}_n \) to the generic fibre \( X_K \) is clearly zero, so \( \mathcal{D}_n \) is only supported on the special fibre \( X_k \) of \( X \). Because \( X_k \) is closed in \( X \), without further mention we identify sheaves on \( X \) supported only on \( X_k \) with their sheaf-theoretic pullbacks to the special fibre in what follows.

**Proposition.** Let \( U \in \mathcal{S} \).

(a) \( (\mathcal{D}_n/\pi^a\mathcal{D}_n)(U) \cong \mathcal{D}_n(U)/\pi^a\mathcal{D}_n(U) \) for all \( a \geq 1 \).

(b) \( \mathcal{D}_n(U) \cong \mathcal{D}_n(U) \) is Noetherian.

(c) The sheaf \( \mathcal{D}_n \) is coherent.

**Proof.** (a) \( \mathcal{D}_n \) is a quasi-coherent \( \mathcal{O} \)-module by Proposition 5.7(d) and Lemma 5.8(a). Since \( U \) is affine and Noetherian, \( H^1(U, \mathcal{D}_n) = 0 \), and the result follows.

(b) Part (a) gives that \( \mathcal{D}_n(U) \cong \mathcal{D}_n(U) \). But \( \mathcal{D}_n(U) = \mathcal{D}(U) \) is Noetherian by Proposition 5.7(a) and (b), so \( \mathcal{D}_n(U) \) is Noetherian by [12, §3.2.3(vi)].

(c) Let \( V \subseteq U \) be in \( \mathcal{S} \); by part (b) and [12, Prop. 3.1.1] it will be enough to show that the restriction morphism \( \mathcal{D}_n(U) \to \mathcal{D}_n(V) \) is flat. By applying [70, Prop. 1.2] twice, it is enough to show that

\[
\text{gr} \left( \mathcal{D}(U)_n/\pi\mathcal{D}(U)_n \right) \to \text{gr} \left( \mathcal{D}(V)_n/\pi\mathcal{D}(V)_n \right)
\]

is flat. By Lemma 3.7 and Proposition 4.6, this morphism can be identified with \( \mathcal{O}(T^*U) \otimes_R k \to \mathcal{O}(T^*V) \otimes_R k \), which is flat because it is the pull-back of functions along the Zariski open immersion \( T^*V \times_X X_k \to T^*U \times_X X_k \). \( \square \)

**Corollary.** \( \mathcal{S} \) is coherently \( \mathcal{D}_n \)-affine.

**Proof.** It is enough to show that \( X \) is coherently \( \mathcal{D}_n \)-affine whenever \( X \in \mathcal{S} \), so let us assume that this is the case.

Since \( \mathcal{D}_n \) is Noetherian on \( \mathcal{S} \) and coherent by Proposition 5.7, and \( \mathcal{D}_n \) is coherent by part (c) of the proposition, by Theorem 5.5 it suffices to show that \( X \) is coherently \( \mathcal{D}_n \)-affine, so let \( \mathcal{M} \) be a coherent \( \mathcal{D}_n \)-module.

Since \( X \) is affine and Noetherian, and \( \mathcal{M} \) is quasi-coherent as an \( \mathcal{O} \)-module by Lemma 5.8(a), \( H^i(X, \mathcal{M}) = 0 \) for all \( i > 0 \).

Next, choose a good filtration on \( \mathcal{M} \) using Lemma 5.8(c). Then \( \Gamma(X, \text{gr} \mathcal{M}) \) is a finitely generated \( \Gamma(X, \mathcal{D}_n) \)-module by [42, Th. II.5.4]. Since \( \text{gr} \Gamma(X, \mathcal{M}) \) is a \( \Gamma(X, \mathcal{D}_n) \)-submodule and \( \Gamma(X, \mathcal{D}_n) \) is Noetherian by Proposition 5.7(c), it follows that \( \mathcal{M}(X) \) is a finitely generated \( \mathcal{D}_n(X) \)-module.
Finally, since $\mathcal{M}$ is a quasi-coherent $\mathcal{O}$-module and $X$ is affine, $\mathcal{M}$ is generated by global sections as an $\mathcal{O}$-module and therefore as a $\widehat{\mathcal{D}}_n$-module. □

5.10. The sheaf $\widehat{\mathcal{D}}_{n,K}$. Recall the category of complete doubly filtered $K$-algebras from Section 3.1.

**Lemma.** The category of complete doubly filtered $K$-algebras with positively filtered slices has finite limits, and the forgetful functor to $K$-algebras preserves finite limits.

**Proof.** By [58, Th. V.2.1] it suffices to show that this category has finite products and equalisers. Let $A_1, \ldots, A_n$ be complete doubly filtered $K$-algebras, and let $A := \prod A_i$ be their product as $K$-algebras. It is easy to check that $F_0 A := \prod F_0 A_i$ is a $\pi$-adically complete $R$-lattice in $A$ and that $\text{gr}_0 A = \prod \text{gr}_0 A_i$ in the category of $k$-algebras. By giving $\text{gr}_0 A$ the product filtration induced from the $\text{gr}_0 A_i$, we can make $A$ into a complete doubly filtered $K$-algebra that satisfies the universal property for products.

Now let $A$ and $B$ be complete doubly filtered $K$-algebras with positively filtered slices, and let $f, g: A \to B$ be two morphisms. Let $C = \{ a \in A \mid f(a) = g(a) \}$ be their equaliser in the category of $K$-algebras; then $F_0 C := C \cap F_0 A$ is a lattice in $C$ and it is $\pi$-adically complete being a closed $R$-submodule of $F_0 A$. Since $B$ is $\pi$-torsion-free, we may identify $\text{gr}_0 C$ with a $k$-subalgebra of $\text{gr}_0 A$. When we equip $\text{gr}_0 C$ with the subspace filtration from $\text{gr}_0 A$, $C$ becomes a complete doubly filtered $K$-algebra with positive slice since the filtration on $\text{gr}_0 A$ is positive by assumption. It is straightforward to verify that $C$ satisfies the universal property for equalisers. □

**Definition.** The sheaf of completed, deformed, crystalline differential operators of the torsor $\xi: \widehat{X} \to X$ is

$$\widehat{\mathcal{D}}_{n,K} := \widehat{\mathcal{D}}_n \otimes_R K.$$ 

Since $K$ is a flat $R$-module, for any open subset $U$ of $X$, we have

$$\Gamma(U, \widehat{\mathcal{D}}_{n,K}) = \Gamma(U, \widehat{\mathcal{D}}_n) \otimes_R K.$$ 

**Proposition.** (a) If $U \in S$, then $\widehat{\mathcal{D}}_{n,K}(U)$ is an almost commutative affinoid $K$-algebra and $\text{Gr}(\widehat{\mathcal{D}}_{n,K}(U)) \cong \mathcal{O}(T^* U_k)$.

(b) $\widehat{\mathcal{D}}_{n,K}$ is a sheaf of complete doubly filtered $K$-algebras whenever $X$ is quasi-compact.

(c) The sheaf $\widehat{\mathcal{D}}_{n,K}$ is coherent.

(d) $\widehat{\mathcal{D}}_{n}/\pi \widehat{\mathcal{D}}_n$ is isomorphic to $\widehat{\mathcal{D}}_{n}/\pi \mathcal{D}_n$. 
Proof. (a) Since $U \in \mathcal{S}$, $\mathcal{D}_n(U)$ is an almost commutative $R$-algebra by Proposition 5.7(b), and we saw in Section 5.7 that $\mathcal{D}_n(U)$ is a deformable $R$-algebra. Hence,

$$\mathcal{D}_{n,K}(U) = \mathcal{D}_n(U) \otimes_R K \cong \mathcal{D}_n(U) \otimes_R K = \mathcal{D}(U)_n \otimes_R K$$

by Propositions 5.9(b) and 5.7(a), and this is an almost commutative affinoid $K$-algebra by Proposition 3.8. The second statement follows from Corollaries 3.7 and 4.6(a).

(b) Since $X$ is quasi-compact and locally Noetherian by assumption, every open subset $U$ of $X$ is the finite union $U = U_1 \cup \cdots \cup U_m$ of some $U_i \in \mathcal{S}$. Since $\mathcal{D}_{n,K}$ is a sheaf, $\mathcal{D}_{n,K}(U)$ is the inverse limit of the $\mathcal{D}_{n,K}(U_i)$ that are almost commutative affinoid $K$-algebras by part (a). Now apply the lemma.

(c) This follows from Proposition 5.9(c).

(d) The natural map $\widetilde{\mathcal{D}}_n \rightarrow \mathcal{D}_n$ induces a diagram of sheaves of $R$-algebras

$$
\begin{array}{ccc}
0 & \rightarrow & \mathcal{D}_n \\
\downarrow & & \downarrow \\
0 & \rightarrow & \mathcal{D}_n/P_n
\end{array}
$$

with exact rows. By Proposition 5.9(a) and Corollary 9, the rows of the diagram

$$
\begin{array}{ccc}
0 & \rightarrow & \mathcal{D}_n(U) \\
\downarrow & & \downarrow \\
0 & \rightarrow & \mathcal{D}_n(U)/P_n
\end{array}
$$

are still exact for any $U \in \mathcal{S}$. Since $\mathcal{D}_n(U)$ is the $\pi$-adic completion of $\mathcal{D}_n(U)$ by Proposition 5.9(b), the third vertical map in this diagram is an isomorphism for any $U \in \mathcal{S}$, and the result follows. □

5.11. Modules over $\mathcal{D}_{n,K}$ and double filtrations. Whenever $\mathcal{N}$ is a sheaf of $R$-modules on $X$, let $\mathcal{N}_K := \mathcal{N} \otimes_R K$ denote the corresponding sheaf of $K$-vector spaces. Let $\mathcal{M}$ be a sheaf of $K$-vector spaces over $X$, and let $F_0\mathcal{M}$ be a sheaf of $R$-submodules of $\mathcal{M}$. We say that $F_0\mathcal{M}$ is an $R$-lattice in $\mathcal{M}$ if

- the natural map $(F_0\mathcal{M})_K \rightarrow \mathcal{M}$ is an isomorphism, and
- $\bigcap_{n=0}^{\infty} \pi^n F_0\mathcal{M} = 0$.

If $F_0\mathcal{M}$ is an $R$-lattice in $\mathcal{M}$, we call $\text{gr}_0 \mathcal{M} := F_0\mathcal{M}/\pi F_0\mathcal{M}$ the slice of $\mathcal{M}$; this is a sheaf of $k$-vector spaces. For example, $\mathcal{D}_n$ is an $R$-lattice in $\mathcal{D}_{n,K}$ with slice isomorphic to $\mathcal{D}_n/P_n$ by Proposition 5.10(d).
Now suppose that \( \mathcal{M} \) is a sheaf of \( \widehat{\mathcal{D}}_{n,K} \)-modules. A double filtration on \( \mathcal{M} \) consists of an \( R \)-lattice \( F_0 M \) in \( \mathcal{M} \) that is a \( \widehat{\mathcal{D}}_n \)-submodule, and a positive \( \mathbb{Z} \)-filtration \( F_\bullet \text{gr}_0 \mathcal{M} \) on \( \text{gr}_0 \mathcal{M} \) compatible with the filtration on \( \widehat{\mathcal{D}}_n \). We call
\[
\text{Gr} \mathcal{M} := \text{gr}(\text{gr}_0 \mathcal{M})
\]
the associated graded sheaf of \( \mathcal{M} \) with respect to this double filtration.

Note that \( \widehat{\mathcal{D}}_{n,K}(U) \) is a doubly filtered \( K \)-algebra by Proposition 5.10(b) for any open \( U \subseteq X \), and recall the notion of double filtrations on modules over such algebras from Section 3.2.

**Lemma.** Let \( (F_0 \mathcal{M}, F_\bullet \text{gr}_0 \mathcal{M}) \) be a double filtration on a \( \widehat{\mathcal{D}}_{n,K} \)-module \( \mathcal{M} \), and let \( U \subseteq X \) be an open subscheme.

(a) \( ((F_0 \mathcal{M})(U), (F_\bullet \text{gr}_0 \mathcal{M})(U)) \) is a double filtration on \( \mathcal{M} := \mathcal{M}(U) \).

(b) There is a natural embedding \( \text{Gr}(\mathcal{M}) \hookrightarrow (\text{Gr}(\mathcal{M}))(U) \) of \( \text{Gr}(\widehat{\mathcal{D}}_{n,K}(U)) \)-modules.

**Proof.** Certainly \( F_0 M := (F_0 \mathcal{M})(U) \) is an \( R \)-lattice and a \( \widehat{\mathcal{D}}_n(U) \)-submodule in \( M \). The short exact sequence \( 0 \to F_0 M \to F_0 \mathcal{M} \to \text{gr}_0 \mathcal{M} \to 0 \) induces an embedding \( \text{gr}_0 M \hookrightarrow (\text{gr}_0 \mathcal{M})(U) \) of \( \mathcal{D}_n(U)/\pi \mathcal{D}_n(U) \)-modules. The separated filtration on the sheaf \( \text{gr}_0 \mathcal{M} \) induces a separated filtration on \( (\text{gr}_0 \mathcal{M})(U) \) and hence a separated filtration on \( \text{gr}_0 M \). Taking associated graded modules, we obtain an inclusion
\[
\text{Gr}(\mathcal{M}) = \text{gr} \text{gr}_0 M \hookrightarrow \text{gr} ((\text{gr}_0 \mathcal{M})(U))
\]
of graded \( \left( \mathcal{D}_n(U)/\pi \mathcal{D}_n(U) \right) \)-modules.

Each short exact sequence \( 0 \to F_i-1(\text{gr}_0 \mathcal{M}) \to F_i(\text{gr}_0 \mathcal{M}) \to \text{gr}_i(\text{gr}_0 \mathcal{M}) \to 0 \) of sheaves induces an embedding
\[
\text{gr}_i((\text{gr}_0 \mathcal{M})(U)) \hookrightarrow (\text{gr}_i(\text{gr}_0 \mathcal{M}))(U).
\]
Putting these together gives the required inclusion \( \text{Gr}(\mathcal{M}) \hookrightarrow (\text{Gr}(\mathcal{M}))(U) \) of graded \( \text{Gr}(\widehat{\mathcal{D}}_{n,K}(U)) \)-modules. \( \square \)

5.12. **Good double filtrations.**

**Definition.** Let \( \mathcal{M} \) be a sheaf of \( \widehat{\mathcal{D}}_{n,K} \)-modules. We say that a double filtration \( (F_0 \mathcal{M}, F_\bullet \text{gr}_0 \mathcal{M}) \) on \( \mathcal{M} \) is good if \( F_0 \mathcal{M} \) is a coherent \( \widehat{\mathcal{D}}_n \)-module and \( F_\bullet \text{gr}_0 \mathcal{M} \) is a good filtration on \( \text{gr}_0 \mathcal{M} \) as a \( \mathcal{D}_n \)-module.

**Proposition.** Let \( \mathcal{M} \) be a coherent \( \widehat{\mathcal{D}}_{n,K} \)-module.

(a) \( \mathcal{M} \) has at least one good double filtration \( (F_0 \mathcal{M}, F_\bullet \text{gr}_0 \mathcal{M}) \).
(b) If \((F_0\mathcal{M}, F_0\operatorname{gr}_0\mathcal{M})\) is a good double filtration on \(\mathcal{M}\), then for any \(U \in \mathcal{S}\), 
\(((F_0\mathcal{M})(U), (F_0\operatorname{gr}_0\mathcal{M})(U))\) is a good double filtration on \(\mathcal{M}(U)\) and the map 
\[\operatorname{Gr}(\mathcal{M}(U)) \hookrightarrow (\operatorname{Gr}\mathcal{M})(U)\]
appearing in \textbf{Lemma 5.11(b)} is an isomorphism.

\textit{Proof}. (a) By the proof of [12, Lemma 3.4.3], we can find a coherent \(\widehat{\mathcal{D}}_n\)-submodule \(\mathcal{N}\) of \(\mathcal{M}\) such that the natural map \(\mathcal{N}_K \to \mathcal{M}\) is an isomorphism. Since \(\mathcal{N} \cong \lim_{\leftarrow} \mathcal{N}/\pi^n\mathcal{N}\) by \textbf{Lemma 5.4}, \(\mathcal{N}\) is an \(\mathcal{R}\)-lattice in \(\mathcal{M}\). Now \(\mathcal{N}/\pi\mathcal{N}\) is a coherent \(\widehat{\mathcal{D}}_n\)-module and \(\widehat{\mathcal{D}}_n\) surjects onto \(\widehat{\mathcal{D}}_n/\pi\widehat{\mathcal{D}}_n\) by \textbf{Proposition 5.10(d)}, so \(\mathcal{N}/\pi\mathcal{N}\) is also a coherent \(\widehat{\mathcal{D}}_n\)-module. We can therefore find a good filtration \((F_0\mathcal{N}/\pi\mathcal{N})\) on \(\mathcal{N}/\pi\mathcal{N}\) by \textbf{Lemma 5.8(c)}. Thus \((\mathcal{N}, F_0\mathcal{N}/\pi\mathcal{N})\) is a good double filtration on \(\mathcal{M}\).

(b) Since \(F_0\mathcal{M}\) is a coherent \(\widehat{\mathcal{D}}_n\)-module, \(H^1(U, F_0\mathcal{M}) = 0\) by \textbf{Corollary 5.9}, so the inclusion \(\operatorname{gr}_0(\mathcal{M}(U)) \hookrightarrow (\operatorname{gr}_0\mathcal{M})(U)\) is an isomorphism. The cokernel of the inclusion 
\[\operatorname{gr}_i((\operatorname{gr}_0\mathcal{M})(U)) \hookrightarrow (\operatorname{gr}_i(\operatorname{gr}_0\mathcal{M}))(U)\]
is precisely \(H^1(U, F_{i-1}\operatorname{gr}_0\mathcal{M})\), which is zero because \(U\) is affine and Noetherian and because \(F_{i-1}\operatorname{gr}_0\mathcal{M}\) is a coherent \(\mathcal{O}\)-module by \textbf{Lemma 5.8(d)}. Therefore 
\[\operatorname{Gr}(\mathcal{M}(U)) \longrightarrow (\operatorname{Gr}\mathcal{M})(U)\]
is an isomorphism. Now \(\operatorname{Gr}\mathcal{M}\) is a coherent \(\operatorname{gr}\widehat{\mathcal{D}}_n\)-module by assumption and \(U\) is affine and Noetherian, so \((\operatorname{Gr}\mathcal{M})(U)\) is a finitely generated \((\operatorname{gr}\widehat{\mathcal{D}}_n)(U)\)-module. But \(\operatorname{gr}\widehat{\mathcal{D}}_n \cong \tau_*\mathcal{O}_{\mathcal{T}_X}\) by \textbf{Proposition 5.7(c)} and \((\operatorname{Gr}\mathcal{M})(U)\) is killed by \(\pi\), so \(\operatorname{Gr}(\mathcal{M}(U)) \cong (\operatorname{Gr}\mathcal{M})(U)\) is a finitely generated \(\operatorname{Gr}(\widehat{\mathcal{D}}_{n,K}(U))\)-module by \textbf{Proposition 5.10(a)}. \(\Box\)

5.13. \textbf{Theorem}. \(\mathcal{S}\) is coherently \(\widehat{\mathcal{D}}_{n,K}\)-affine.

\textit{Proof}. Since \(\widehat{\mathcal{D}}_{n,K}\) is coherent by \textbf{Proposition 5.10(d)}, once again it suffices to consider the case where \(X \in \mathcal{S}\) and show that \(X\) is coherently \(\widehat{\mathcal{D}}_{n,K}\)-affine.

By \textbf{Proposition 5.12(a)}, \(\mathcal{M}\) has an \(\mathcal{R}\)-lattice \(F_0\mathcal{M}\) that is coherent as a \(\widehat{\mathcal{D}}_n\)-module. By \textbf{Corollary 5.9}, \(F_0\mathcal{M}\) is \(\Gamma\)-acyclic, \(F_0\mathcal{M}(X)\) is finitely generated as a \(\widehat{\mathcal{D}}_n(X)\)-module and \(F_0\mathcal{M}\) is generated by global sections. The result follows easily from this together with the fact that \(H^i(X, \mathcal{M}) \cong H^i(X, F_0\mathcal{M}) \otimes_R K\) for all \(i \geq 0\). This latter is true because \(X\) is a Noetherian space, so cohomology commutes with direct limits by [42, Prop. III.2.9]. \(\Box\)
5.14. **Characteristic varieties.** Let \( \mathcal{M} \) be a coherent \( \widehat{\mathcal{D}}_{n,K} \)-module. Pick a good double filtration on \( \mathcal{M} \) using Proposition 5.12; then \( \text{Gr}(\mathcal{M}) = \text{gr}(\text{gr}_0 \mathcal{M}) \) is a coherent \( \text{gr} \widehat{\mathcal{D}}_n \)-module and \( \text{gr} \widehat{\mathcal{D}}_n \cong \tau_* \mathcal{O}_{T^*X} \) by Proposition 5.7(c).

**Definition.** The **characteristic variety** of \( \mathcal{M} \) is the support of \( \text{Gr}(\mathcal{M}) \) regarded as a sheaf on the enhanced cotangent bundle \( \text{fl} \ T^*X \). More precisely, writing \( \text{gr} \widehat{\mathcal{D}}_n \text{mod} \) for the \( \mathcal{O}_{T^*X} \)-module \( \mathcal{O}_{T^*X} \otimes_{\tau_* \mathcal{O}_{T^*X}} \tau^{-1}(\text{Gr}(\mathcal{M})) \), we define

\[
\text{Ch}(\mathcal{M}) := \text{Supp}(\text{Gr}(\mathcal{M})) \subseteq \text{fl} \ T^*X.
\]

Since \( \text{Gr}(\mathcal{M}) \) is a coherent sheaf on \( T^*X \), \( \text{Ch}(\mathcal{M}) \) is closed. \( \text{Ch}(\mathcal{M}) \) is actually contained in the special fibre \( \text{fl} \ T^*_{X_k} \) of the enhanced cotangent bundle because \( \text{Gr}(\mathcal{M}) \) is annihilated by \( \pi \).

**Lemma.** Let \( \mathcal{M} \) be a coherent \( \widehat{\mathcal{D}}_{n,K} \)-module, and let \( U \in \mathcal{S} \). Then \( \text{Ch}(\mathcal{M}) \cap T^*U = \text{Ch}(\mathcal{M}(U)) \).

**Proof.** By Proposition 5.12(b), the good double filtration on \( \mathcal{M} \) induces a good double filtration on \( \mathcal{M}(U) \) such that \( \text{Gr}(\mathcal{M}(U)) \cong (\text{Gr}(\mathcal{M}))(U) \). Then

\[
\text{Ch}(\mathcal{M}(U)) = \text{Supp}(\text{Gr}(\mathcal{M}(U))) = \text{Supp}(\text{Gr}(\mathcal{M})(U)) = \text{Supp}(\text{Gr}(\mathcal{M})|_{T^*U}) = \text{Ch}(\mathcal{M}) \cap T^*U,
\]

as required. \( \square \)

**Corollary.** (a) \( \text{Ch}(\mathcal{M}) \) does not depend on the choice of good double filtration on \( \mathcal{M} \).

(b) If \( 0 \to \mathcal{L} \to \mathcal{M} \to \mathcal{N} \to 0 \) is a short exact sequence of coherent \( \widehat{\mathcal{D}}_{n,K} \)-modules, then \( \text{Ch}(\mathcal{M}) = \text{Ch}(\mathcal{L}) \cup \text{Ch}(\mathcal{N}) \).

**Proof.** By the lemma, \( \text{Ch}(\mathcal{M}) = \bigcup_{U \in \mathcal{S}} \text{Ch}(\mathcal{M}(U)) \) only depends on the local sections \( \mathcal{M}(U) \) of \( \mathcal{M} \). It follows from Theorem 5.13 that \( \Gamma(U, -) \) is exact on coherent \( \widehat{\mathcal{D}}_{n,K} \)-modules, and now both parts follow from Proposition 3.3. \( \square \)

5.15. **Coherent cohomology.** We now specialise to the setting of Section 4.7, so that \( X \) is the flag variety and \( \xi : \mathcal{B} \to \mathcal{B} \) is the locally trivial \( \mathbf{H} \)-torsor from the basic affine space to the flag variety. Recall the enhanced moment map \( \beta : T^*\mathcal{B} \to \mathfrak{g}^* \) from Section 4.8 and the enhanced cotangent bundle \( \tau : T^*\mathcal{B} \to \mathcal{B} \) from Section 4.7:
Let \( \mathcal{M} \) be a \( \widetilde{\mathcal{D}}_n \)-module. Then \( H^\bullet(\mathcal{B}, \mathcal{M}) := \bigoplus_{i \geq 0} H^i(\mathcal{B}, \mathcal{M}) \) is naturally a \( \Gamma(\mathcal{B}, \widetilde{\mathcal{D}}_n) \)-module, and we can view it as a \( U(\mathfrak{g})_n \)-module via the natural map \( \varphi_n : U(\mathfrak{g})_n \to \Gamma(\mathcal{B}, \widetilde{\mathcal{D}})_n \to \Gamma(\mathcal{B}, \widetilde{\mathcal{D}}_n) \) obtained by applying the deformation functor to the morphism \( U(\varphi) : U(\mathfrak{g}) \to \widetilde{\mathcal{D}} \) of deformable \( R \)-algebras defined in Section 4.9 and then sheafifying.

**Proposition.** Let \( \mathcal{M} \) be a coherent \( \widetilde{\mathcal{D}}_n \)-module, and let \( F_\bullet \mathcal{M} \) be a good filtration on \( \mathcal{M} \). Then

(a) \( H^\bullet(\mathcal{B}, \text{gr} \mathcal{M}) \) is a finitely generated \( \mathcal{O}(\mathfrak{g}^*) \)-module, and

(b) \( H^\bullet(\mathcal{B}, \mathcal{M}) \) is a finitely generated \( U(\mathfrak{g})_n \)-module.

**Proof.**

(a) The morphism \( \tau : \widehat{T}^* \mathcal{B} \to \mathcal{B} \) is affine. By definition, \( \text{gr} \mathcal{M} \) is a coherent \( \text{gr} \mathcal{D}_n \cong \tau_* \mathcal{O}_{\widehat{T}^* \mathcal{B}} \)-module. Thus if we define \( \text{gr} \mathcal{M} = \mathcal{O}_{\widehat{T}^* \mathcal{B}} \otimes_{\tau_* \mathcal{O}_{\widehat{T}^* \mathcal{B}}} \tau^{-1}(\text{gr} \mathcal{M}) \), then \( \text{gr} \mathcal{M} \) is a coherent \( \mathcal{O}_{\widehat{T}^* \mathcal{B}} \)-module such that \( \tau_* \text{gr} \mathcal{M} = \text{gr} \mathcal{M} \).

Let \( \mathcal{M} \) be a coherent \( \mathcal{D}_{n,K} \)-module, and let \( \mathcal{M} = \Gamma(\mathcal{B}, \mathcal{M}) \). Then \( \text{gr} \mathcal{M} \) is Noetherian because it is isomorphic to \( S(\mathfrak{g}) \) by Lemma 3.5, and the result follows.

(b) The filtration \( F_\bullet \mathcal{M} \) on \( \mathcal{M} \) induces a filtration on any \( \check{\text{C}}ech \) complex computing \( H^\bullet(\mathcal{B}, \mathcal{M}) \) and hence a convergent third octant cohomological spectral sequence

\[
E_1^{ij} = H^{i+j}(\mathcal{B}, \text{gr}_{-i} \mathcal{M}) \Rightarrow H^{i+j}(\mathcal{B}, \mathcal{M}).
\]

This spectral sequence implies \( \text{gr} H^\bullet(\mathcal{B}, \mathcal{M}) \) is a subquotient of \( H^\bullet(\mathcal{B}, \mathcal{M}) \) as a \( \text{gr} U(\mathfrak{g})_n \)-module. But \( \text{gr} U(\mathfrak{g})_n \) is Noetherian because it is isomorphic to \( S(\mathfrak{g}) \) by Lemma 3.5, and the result follows.

5.16. **Characteristic varieties of global sections.** The set of global sections \( \Gamma(\mathcal{B}, \mathcal{M}) \) of a \( \mathcal{D}_{n,K} \)-module \( \mathcal{M} \) is a module over \( \widetilde{A} := \widetilde{U(\mathfrak{g})}_{n,K} \) via the completed deformed ring homomorphism \( \varphi_{n,K} : \widetilde{A} \to \Gamma(\mathcal{B}, \mathcal{D}_{n,K}) \), and \( \widetilde{A} \) is an almost commutative affinoid \( K \)-algebra by Proposition 3.8. The next result is an analogue of [17, Lemma 1.6(c)].

**Proposition.** Let \( \mathcal{M} \) be a coherent \( \mathcal{D}_{n,K} \)-module, and let \( M = \Gamma(\mathcal{B}, \mathcal{M}) \). Then \( M \) is a finitely generated \( A \)-module and

\[
\text{Ch}(M) \subseteq \beta(\text{Ch}(\mathcal{M})).
\]
Proof. Choose a good double filtration on $\mathcal{M}$. Then by Lemma 5.11 it induces a double filtration on $M$ and there is a natural embedding

$$\text{Gr}(M) \hookrightarrow \Gamma(\mathcal{B}, \text{Gr}(\mathcal{M}))$$

of $\text{Gr}(A) \cong S(\mathfrak{g}_k)$-modules. By applying Proposition 5.15(a) to the coherent $\mathcal{D}_n$-module $\text{gr}_0 \mathcal{M}$ equipped with its good filtration $F_\bullet \text{gr}_0 \mathcal{M}$, we see that $\Gamma(\mathcal{B}, \text{Gr}(\mathcal{M}))$ is finitely generated over $S(\mathfrak{g}_k)$. Since $S(\mathfrak{g}_k)$ is Noetherian, $\text{Gr}(M)$ is a finitely generated $\text{Gr}(A)$-module, and hence the double filtration on $M$ is good. Hence $M$ is finitely generated over $A$ by Lemma 3.2 and $\text{Ch}(M) = \text{Supp}(\text{Gr}(M)) \subseteq \text{Supp}(\Gamma(\mathcal{B}, \text{Gr}(\mathcal{M})))$.

Let $F := \text{Gr} \mathcal{M} := \mathcal{O}_{T^* \mathcal{B}} \otimes_{\tau_* \mathcal{O}_{T^* \mathcal{B}}} \text{Gr}(\mathcal{M})$ so that $\text{Ch}(\mathcal{M}) = \text{Supp}(F)$. Since $\text{Gr}(\mathcal{M})$ is already a $\tau_* \mathcal{O}_{T^* \mathcal{B}}$-module, the natural map $\text{Gr}(\mathcal{M}) \to \tau_* F$ is an isomorphism. But $\tau : T^* \mathcal{B} \to \mathcal{B}$ is an affine morphism, so $\Gamma(\mathcal{B}, \text{Gr}(\mathcal{M})) = \Gamma(\mathcal{B}, \tau_* F) = \Gamma(g^*, \beta_\ast F)$. Whenever $f : X \to Y$ is a continuous map between topological spaces and $\mathcal{G}$ is a sheaf of abelian groups on $X$, we have $\text{Supp}(f_\ast \mathcal{G}) \subseteq \overline{f(\text{Supp}(\mathcal{G}))}$. Hence, $\text{Ch}(\mathcal{M}) \subseteq \text{Supp}(\Gamma(\mathcal{B}, \text{Gr}(\mathcal{M}))) = \text{Supp}(\Gamma(g^*, \beta_\ast F)) = \text{Supp}(\beta_\ast F) \subseteq \beta(\text{Ch}(\mathcal{M}))$ because $g^*$ is an affine scheme. Finally, $\text{Ch}(\mathcal{M})$ is a closed subscheme of $T^* \mathcal{B}$ since $\mathcal{F}$ is coherent, and $\beta$ is a proper morphism by Proposition 4.8 and [42, Th. II.4.9], so $\beta(\text{Ch}(\mathcal{M}))$ is closed and the result follows.

5.17. The localisation functor. Let $M$ be an $A := U(\mathfrak{g})_{n,K}$-module. For any open subscheme $U \subset \mathcal{B}$, the algebra $\mathcal{D}_{n,K}(U)$ is an $A$-module via ring homomorphism $\varphi_{n,K} : U(\mathfrak{g})_{n,K} \to \mathcal{D}_{n,K}(U)$. We can therefore define the localisation functor

$$\text{Loc} : U(\mathfrak{g})_{n,K} - \text{mod} \to \mathcal{D}_{n,K} - \text{mod}$$

by letting $\text{Loc}(M)$ be the sheafification of the presheaf $U \mapsto \mathcal{D}_{n,K}(U) \otimes_A M$ on $\mathcal{B}$. This functor is right exact because it is the left adjoint to the global sections functor $\Gamma$.

**Proposition.** Let $M$ be a finitely generated $A$-module, and let $\mathcal{M} = \text{Loc}(M)$. Then

(a) $\mathcal{M}$ is a coherent $\mathcal{D}_{n,K}$-module.

(b) If $U \in S$, then $\mathcal{M}(U) = \mathcal{D}_{n,K}(U) \otimes_A M$.

**Proof.** (a) Since $A$ is an almost commutative affinoid $K$-algebra, it is Noetherian by Lemma 3.2(b). Hence we can find a presentation $F_1 \to F_0 \to M \to 0$ of $M$, where $F_0$ and $F_1$ are finitely generated free $A$-modules. Since
Loc is right exact, we obtain a presentation $\text{Loc}(F_1) \to \text{Loc}(F_0) \to \mathcal{M} \to 0$. Since $\text{Loc}(A) \cong \hat{\mathcal{D}}_{n,K}$ is coherent by Proposition 5.10(c), we deduce that $\mathcal{M}$ is also coherent.

(b) Let $N := \hat{\mathcal{D}}_{n,K}(U) \otimes_A M$, a finitely generated $\hat{\mathcal{D}}_{n,K}(U)$-module. The restriction of $\mathcal{M}$ to $U$ is isomorphic to $\hat{\mathcal{D}}_{n,K}|_U \otimes_{\hat{\mathcal{D}}_{n,K}(U)} N$, and it follows from Theorem 5.13 that the sections of this sheaf over $U$ are simply $N$.

5.18. The characteristic variety of $\text{Loc}(M)$.

Lemma. Let $M$ be a finitely generated $A := \hat{\mathcal{D}}_{n,K}$-module, let $U \in \mathcal{S}$, and let $B := \hat{\mathcal{D}}_{n,K}(U)$. Then every good double filtration on $M$ induces a good double filtration on $N := B \otimes_A M$ and a natural surjection

$$\text{Gr}(B) \otimes_{\text{Gr}(A)} \text{Gr}(M) \to \text{Gr}(N).$$

Proof. Let $F_0N$ be the image of $F_0B \otimes_{F_0A} F_0M$ in $N$. Then $F_0N \cdot K = N$ and $F_0N$ is a finitely generated $F_0B$-submodule of $N$, so $F_0N$ is an $R$-lattice in $N$ by Proposition 3.2(a). Moreover the $\text{gr}_0 B$-module $\text{gr}_0 N = F_0N/\pi F_0N$ is a quotient of $\text{gr}_0 B \otimes_{\text{gr}_0 A} \text{gr}_0 M$.

Equip $\text{gr}_0 N$ with the quotient filtration induced from the tensor filtration on $\text{gr}_0 B \otimes_{\text{gr}_0 A} \text{gr}_0 M$. Then $\text{Gr}(N)$ is a quotient of $\text{Gr}(B) \otimes_{\text{Gr}(A)} \text{Gr}(M)$, which implies that the filtration on $\text{gr}_0 N$ as a $\text{gr}_0 B$-module is good.

The following result is an analogue of [17, Prop. 1.8].

Proposition. Let $M$ be a finitely generated $A$-module, and let $\mathcal{M} = \text{Loc}(M)$. Then

$$\beta(\text{Ch}(\mathcal{M})) \subseteq \text{Ch}(M).$$

Proof. Choose a good double filtration on $M$ using Proposition 3.2(b). Since $\mathcal{M}$ is a coherent $\hat{\mathcal{D}}_{n,K}$-module by Proposition 5.17(b),

$$\text{Ch}(\mathcal{M}) = \bigcup_{U \in \mathcal{S}} \text{Ch}(\mathcal{M}(U))$$

by Lemma 5.14. Let $U \in \mathcal{S}$, and let $B := \hat{\mathcal{D}}_{n,K}(U)$. Then $N := \mathcal{M}(U)$ is equal to $B \otimes_A M$ by Proposition 5.17(b), and $N$ carries a good double filtration such that $\text{Gr}(N)$ is a quotient of $\text{Gr}(B) \otimes_{\text{Gr}(A)} \text{Gr}(M)$ by the lemma. Therefore

$$\text{Ch}(N) = \text{Supp}(\text{Gr}(N)) \subseteq \text{Supp}(\text{Gr}(B) \otimes_{\text{Gr}(A)} \text{Gr}(M)) \subseteq \beta^{-1}(\text{Supp}(\text{Gr}(M)))$$

by [38, §0.4.3.1], and the result follows. □
6. The Beilinson-Bernstein theorem for $\hat{D}_{n,K}$

We continue with the notation from Section 4.7 in this section. $R$ will denote a complete discrete valuation ring of arbitrary characteristic, unless stated otherwise.

6.1. Serre twists. The scheme $\mathcal{B}$ is projective over $R$ by [49, §II.1.8]. Fix an embedding $i : \mathcal{B} \hookrightarrow \mathbb{P}^N_R$ into some projective space over $R$, and let $\mathcal{L} := i^*\mathcal{O}(1)$ be the corresponding very ample invertible sheaf on $\mathcal{B}$.

For any $\mathcal{O}_\mathcal{B}$-module $\mathcal{M}$ and any $s \in \mathbb{Z}$, we let $\mathcal{M}(s) := \mathcal{M} \otimes_{\mathcal{O}_\mathcal{B}} \mathcal{L}^\otimes s$ denote the Serre twist of $\mathcal{M}$.

**Lemma.** Let $\mathcal{F}$ be a coherent $\mathcal{O}_\mathcal{B}$-module. Then there exists an integer $u \geq 0$ such that $\mathcal{F}(s)$ is generated by its global sections and is $\Gamma$-acyclic whenever $s \geq u$.

**Proof.** Because $\mathcal{L}$ is very ample, this follows from Serre’s Theorems [42, Ths. II.5.17 and III.5.2(b)] $\square$

We will first study coherent modules over the sheaf of algebras

$$\mathcal{C} := \text{Sym}_{\mathcal{O}_\mathcal{B}}(\mathcal{O}_\mathcal{B} \otimes \mathfrak{g}) \cong \mathcal{O}_\mathcal{B} \otimes S(\mathfrak{g}).$$

**Proposition.** Let $\mathcal{M}$ be a coherent $\mathcal{C}$-module. Then there exists an integer $t$ such that $\mathcal{M}(s)$ is $\Gamma$-acyclic whenever $s \geq t$.

**Proof.** Consider the following diagram of schemes over $\text{Spec}(R)$:

$$\xymatrix{ B \times \mathfrak{g}^* \ar[r]^p \ar[d]^q \ar[dr] & \mathfrak{g}^* \ar[dl] \ar[d] \ar[l]_q \ar[r]^p & \text{Spec}(R).}$$

Since $\mathcal{C} = p_*\mathcal{O}_{B \times \mathfrak{g}^*}$, [39, Prop. II.1.4.3 and Cor. II.1.4.5] show that there is a coherent $\mathcal{O}_{B \times \mathfrak{g}^*}$-module $\mathcal{N}$ such that $\mathcal{M} \cong p_*\mathcal{N}$.

Now by [39, Prop. II.4.6.13(i)], the invertible $\mathcal{O}_{\mathfrak{g}^*}$-module $\mathcal{O}_{\mathfrak{g}^*}$ is ample relative to $\text{id}_{\mathfrak{g}^*}$, so [39, Prop. II.4.6.13(iv)] gives that $p^*\mathcal{L} = \mathcal{L} \otimes_R \mathcal{O}_{\mathfrak{g}^*}$ is ample relative to $q$. Thus it follows from the relative version of Serre’s Theorem, [40, Th. III.2.2.1(ii)], that $\mathcal{N}(s) := \mathcal{N} \otimes_{\mathcal{O}_{B \times \mathfrak{g}^*}} (p^*\mathcal{L})^\otimes s$ is $q_*$-acyclic for sufficiently large values of $s$.

Since $\mathfrak{g}^*$ is affine, [40, Prop. III.1.4.14] implies that

$$H^i(B \times \mathfrak{g}^*, \mathcal{N}(s)) \cong \Gamma(\mathfrak{g}^*, R^i q_* \mathcal{N}(s)) = 0$$
for $i > 0$ and $s$ sufficiently large. On the other hand, because $p$ is an affine morphism, [40, Cor. III.1.3.3] tells us that

$$H^i(B \times g^*, \mathcal{N}(s)) \cong H^i(B, p_*\mathcal{N}(s))$$

for all $i$ and $s$. It remains to show that whenever $\mathcal{F}$ is a coherent $\mathcal{O}_{B \times g^*}$-module,

$$p_*(\mathcal{F} \otimes \mathcal{O}_{B \times g^*}) \cong p_*\mathcal{F} \otimes \mathcal{O}_B \mathcal{L}$$

as then $p_*(\mathcal{N}(s)) \cong \mathcal{M}(s)$ for all $s \geq 0$. But this follows from [38, §0.5.4.10]. □

**Corollary.** Let $\mathcal{M}$ be a coherent $\widetilde{\mathcal{D}}_n$-module. Then there exists an integer $t$ such that $\mathcal{M}(s)$ is $\Gamma$-acyclic whenever $s \geq t$.

**Proof.** Choose a good filtration on $\mathcal{M}$ using Lemma 5.8(c); then $gr\mathcal{M}$ is a coherent $gr\widetilde{\mathcal{D}}_n$-module. By Proposition 4.8(a), the natural map $\varphi : \mathcal{O}_B \otimes g^* \rightarrow \widetilde{\mathcal{D}}_n$ is surjective, so $\mathcal{C}$ surjects onto $gr(\widetilde{\mathcal{D}}_n) \cong Sym_{\mathcal{O}_B} \widetilde{\mathcal{D}}_n$ by Proposition 5.7(c). So $gr\mathcal{M}$ is a coherent $\mathcal{C}$-module, and therefore there exists an integer $t$ such that

$$gr(\mathcal{M}(s)) \cong (gr\mathcal{M})(s)$$

is $\Gamma$-acyclic for all $s \geq t$ by the proposition. Because $B$ is Noetherian, cohomology commutes with direct limits by [42, Prop. III.2.9]. Therefore each homogeneous component $gr_i\mathcal{M}(s)$ is $\Gamma$-acyclic and each filtered piece $F_i\mathcal{M}(s)$ is also $\Gamma$-acyclic. Finally $\mathcal{M}(s)$ is the direct limit of the $F_i\mathcal{M}(s)$ and therefore is also $\Gamma$-acyclic, whenever $s \geq t$. □

**6.2. The geometric translation functor.** Let $\mathcal{A}$ be one of the sheaves $\widetilde{\mathcal{D}}_n$, $\widetilde{\mathcal{D}}_n$ or $\widetilde{\mathcal{D}}_n$. For every integer $s$, we can consider the twisted sheaf

$$\mathcal{A}^{(s)} := \mathcal{L}^s \otimes \mathcal{O}_B \mathcal{A} \otimes \mathcal{O}_B \mathcal{L}^{(-s)}.$$  

As an $\mathcal{O}_B$-module this sheaf is isomorphic to $\mathcal{A}$, but it is also naturally a sheaf of rings that a priori is not isomorphic to $\mathcal{A}$. Of course, locally the sheaves of rings $\mathcal{A}^{(s)}$ and $\mathcal{A}$ are isomorphic. We believe there to be a global isomorphism, but we will not need it.

Note that for every $\mathcal{A}$-module $\mathcal{N}$, the twisted sheaf $(s)\mathcal{N} := \mathcal{L}^s \otimes \mathcal{O}_B \mathcal{N}$ is naturally an $\mathcal{A}^{(s)}$-module by contracting tensor products. If $\mathcal{L}$ is trivialisable on $U$, then $(s)\mathcal{N}|_U$ is isomorphic to $\mathcal{N}|_U$ as $\mathcal{A}|_U$-modules if we view $\mathcal{A}|_U$ as acting on $(s)\mathcal{N}|_U$ along a local isomorphism $\mathcal{A}|_U \rightarrow \mathcal{A}^{(s)}|_U$.

We retain the notation $\mathcal{A}(s)$ to mean the left $\mathcal{A}$-module $\mathcal{A} \otimes \mathcal{O}_B \mathcal{L}^s$ with $\mathcal{A}$ acting on the left factor.

**Lemma.** Let $s \in \mathbb{Z}$.

(a) $\mathcal{A}^{(s)}$ is a coherent sheaf of rings. Moreover $\widetilde{\mathcal{D}}_n \cong \widetilde{\mathcal{D}}_n^{(s)}$ as sheaves of rings.
(b) If $\mathcal{N}$ is a coherent $\mathcal{A}$-module, then $(s)\mathcal{N}$ is a coherent $\mathcal{A}^{(s)}$-module. Also $\mathcal{A}(s)$ is a coherent $\mathcal{A}$-module.
(c) The functor $\mathcal{N} \mapsto (s)\mathcal{N}$ is exact.
(d) If $F$ is an $\mathcal{O}_B$-module and $t, u \in \mathbb{Z}$, then

$$(u)(A^{(t)} \otimes_{\mathcal{O}_B} F) \cong A^{(t+u)} \otimes_{\mathcal{O}_B} (F(u))$$

as $A^{(t+u)}$-modules.

**Proof.** (a)–(c) are all local properties that may be verified by working on a base that trivialises $\mathcal{L}$ together with the corresponding statements for the untwisted objects.

For (d), we observe that $F(u)$ and $(u)F$ are canonically isomorphic as $\mathcal{O}_B$-modules and contract various tensor products. □

6.3. A family of generating objects. The following result is essentially [46, Prop. 3.3(i)], but we give the proof for the benefit of the reader.

**Theorem.** The sheaves \( \{ \tilde{D}_{n,K}(s) : s \in \mathbb{Z} \} \) generate the category of coherent $\tilde{D}_{n,K}$-modules.

**Proof.** We set $A = \tilde{D}_n$ to aid legibility. Let $\mathcal{M} \in \text{coh}(\tilde{A}_K)$, and choose a good double filtration $(F_0 \mathcal{M}, F_\bullet \text{gr}_0 \mathcal{M})$ on $\mathcal{M}$ using Proposition 5.12. Then $\text{gr}_0 \mathcal{M}$ is a coherent $A$-module, so by Corollary 6.1 we can find an integer $t$ such that $(\text{gr}_0 \mathcal{M})(s)$ is $\Gamma$-acyclic for all $s \geq t$. Since $(\text{gr}_0 \mathcal{M})(s) \cong (s) \text{gr}_0 \mathcal{M}$ as sheaves of $\mathcal{O}_B$-modules, we may deduce that $(s) \text{gr}_0 \mathcal{M}$ is also $\Gamma$-acyclic for all $s \geq t$.

Next, since $(t)(\text{gr}_0 \mathcal{M})$ is a coherent $A^{(t)}$-module by Lemma 6.2(b), we can find a coherent $\mathcal{O}_B$-submodule $F$ of $(t)(\text{gr}_0 \mathcal{M})$ that generates it as an $A^{(t)}$-module by the proof of Lemma 5.8(b); this gives a surjection

$$A^{(t)} \otimes_{\mathcal{O}_B} F \twoheadrightarrow (t)(\text{gr}_0 \mathcal{M})$$

of $A^{(t)}$-modules. Twisting this by $\mathcal{L}^{\otimes u}$ on the left and applying Lemma 6.2(d) gives surjections

$$A^{(t+u)} \otimes_{\mathcal{O}_B} (F(u)) \cong (u)(A^{(t)} \otimes_{\mathcal{O}_B} F) \twoheadrightarrow (t+u)(\text{gr}_0 \mathcal{M})$$

of $A^{(t+u)}$-modules for any integer $u$.

Now by Lemma 6.1, there is a surjection $\mathcal{O}_B^a \twoheadrightarrow F(u)$ for some integers $a \geq 1$ and $u \geq 0$. We therefore obtain a surjection

$$A^{(t+u)} \otimes_{\mathcal{O}_B} \mathcal{O}_B^a \twoheadrightarrow A^{(t+u)} \otimes_{\mathcal{O}_B} (F(u)) \twoheadrightarrow (t+u)(\text{gr}_0 \mathcal{M})$$

of $A^{(t+u)}$-modules. Let $s := t+u$; then $(s)(\text{gr}_0 \mathcal{M})$ is $\Gamma$-acyclic and generated as a $A^{(s)}$-module by its global sections.

Let $\mathcal{N} := F_0 \mathcal{M}$ and $\mathcal{K} := (s)\mathcal{N}$ its twist. Since $\mathcal{M}$ has no $\pi$-torsion, for all $i \geq 0$ there is a short exact sequence of sheaves

$$0 \rightarrow \text{gr}_0 \mathcal{M} \rightarrow \mathcal{N} \rightarrow \mathcal{N}/\mathcal{N}^i \rightarrow 0.$$

**Theorem.** The sheaves \( \{ \tilde{D}_{n,K}(s) : s \in \mathbb{Z} \} \) generate the category of coherent $\tilde{D}_{n,K}$-modules.
Since also $H^1(B, (s)(\text{gr}_0 \mathcal{M})) = 0$, twisting this sequence by $\mathcal{L}^{\otimes s}$ on the left and taking cohomology shows that the arrow

$$\Gamma(B, \mathcal{K}/\pi^{i+1} \mathcal{K}) \to \Gamma(B, \mathcal{K}/\pi^i \mathcal{K})$$

is surjective for all $i \geq 0$.

Thus a finite subset of $\Gamma(B, (s)(\text{gr}_0 \mathcal{M}))$ generating $(s)(\text{gr}_0 \mathcal{M})$ as a $\mathcal{A}^{(s)}$-module may be lifted inductively to elements $w_1, \ldots, w_\alpha \in \Gamma(B, \mathcal{K}/\pi^i \mathcal{K})$.

Since $\mathcal{K}$ is a coherent $\widehat{\mathcal{A}}^{(s)} \cong \widehat{\mathcal{A}}(s)$-module, $\mathcal{K}(U)$ is $\pi$-adically complete for each $U \in \mathcal{S}$ by [12, §3.2.3(v)], so the natural map $\mathcal{K} \to \lim \mathcal{K}/\pi^i \mathcal{K}$ is an isomorphism. Pulling back the $w_i$ along this isomorphism on global sections gives a finite collection of elements in $\Gamma(B, \mathcal{K})$ that generate $\mathcal{K}$ as a $\mathcal{A}^{(s)}$-module by Nakayama's Lemma. We therefore obtain a surjective map $\mathcal{U}(\mathcal{A}^{(s)})^a \to \mathcal{K}$ of $\mathcal{A}^{(s)}$-modules, and by twisting back by $\mathcal{L}^{\otimes -s}$ on the left, a surjective map

$$((-s)\mathcal{A}^{(s)})^a \to \mathcal{N}$$

of left $\mathcal{A}$-modules. But $(-s)\mathcal{A}^{(s)} \cong \mathcal{A}(-s)$ as left $\mathcal{A}$-modules by Lemma 6.2(d), so we obtain a surjective map $\mathcal{D}_n(-s)^a \to \mathcal{N}$ of $\mathcal{D}_n$-modules, and after inverting $\pi$, a surjective map $\mathcal{D}_{n,K}(-s)^a \to \mathcal{M}$ of $\mathcal{D}_{n,K}$-modules, as required. \qed

6.4. **Twisted differential operators.** We can apply the deformation functor to the map $j : U(\mathfrak{h}) \to \mathcal{D}$ defined in Section 4.4 to obtain a central embedding of the constant sheaf $U(\mathfrak{h})_n$ into $\mathcal{D}_n$:

$$U(\mathfrak{h})_n \hookrightarrow \mathcal{D}_n.$$  

Each linear functional $\lambda \in \Hom_R(\pi^n \mathfrak{h}, R)$ extends to an $R$-algebra homomorphism $U(\mathfrak{h})_n \cong U(\pi^n \mathfrak{h}) \to R$ and gives $R$ the structure of a $U(\mathfrak{h})_n$-module, which we denote by $R_\lambda$.

Until the end of Section 6 we fix $\lambda \in \Hom_R(\pi^n \mathfrak{h}, R)$.

**Definition.** The sheaf of deformed twisted differential operators $\mathcal{D}_n^\lambda$ on $\mathcal{B}$ with parameters $n, \lambda$ is the central reduction

$$\mathcal{D}_n^\lambda := \mathcal{D}_n \otimes_{U(\mathfrak{h})_n} R_\lambda.$$  

We give $R_\lambda$ the trivial filtration $0 =: F_{-1} R_\lambda \subset R_\lambda =: F_0 R_\lambda$ as a $U(\mathfrak{h})_n$-module, and we view $\mathcal{D}_n^\lambda$ as a sheaf of filtered $R$-algebras, equipped with the tensor filtration.

**Lemma.** (a) Let $U \in \mathcal{S}$. Then $\left(\mathcal{D}_n^\lambda\right)_U$ is isomorphic to $(\mathcal{D}_n)_U$ as a sheaf of filtered $R$-algebras.

(b) $\mathcal{D}_n^\lambda$ is a sheaf of deformable $R$-algebras.

(c) There is an isomorphism of sheaves $\text{gr} \mathcal{D}_n^\lambda \cong \text{Sym}_\mathcal{T}$.
Proof. (a) Let $\mathcal{F}$ be a sheaf of deformable $R$-algebras on $\mathcal{B}$, and let $\mathcal{F}_n$ be the sheafification of the presheaf $V \mapsto \mathcal{F}(V)_n$. Since sheafification commutes with restriction, we see that $(\mathcal{F}_n)_|U$ is naturally isomorphic to $(\mathcal{F}|_U)_n$.

Next, by Propositions 3.6 and 4.6 there are sheaf isomorphisms

$$(\mathcal{D}|_U)_n \otimes U(h)_n \xrightarrow{\cong} (\mathcal{D}|_U \otimes U(h))_n \xrightarrow{\cong} (\mathcal{D}_n|_U) = (\mathcal{D}_n)|_U$$

that induce an isomorphism $(\mathcal{D}_n|_U) \xrightarrow{\cong} (\mathcal{D}_n)_|U$ of sheaves of filtered $R$-algebras.

(b) Since $U$ is affine and Noetherian, it follows from Section 4.2 that $\text{gr}(\mathcal{D}(U))$ is a locally free $\mathcal{O}(U)$-module. Now proceed as in the proof of Lemma 5.7(b).

(c) The universal property of sheafification together with [56, §I.6.13] induce a morphism of sheaves

$$\text{gr}(\mathcal{D}_n) \otimes \mathcal{O}(U(h))_n \xrightarrow{\cong} (\mathcal{D}_n)_|U$$

Now $\text{Sym}(\mathcal{O}(T) \otimes S(h)) \xrightarrow{\cong} \text{gr}(\mathcal{D}(U))_0$ by Proposition 5.7(c), and this isomorphism sends the image of $S(h)$ in $\text{Sym}(\mathcal{O}(T))$ to $\text{gr}(U(h))_n \subseteq \text{gr}(\mathcal{D}_n)$ by construction. Since $\text{gr}(R)$ is the trivial $\mathfrak{h}$-module $R$ by definition and $\text{gr}(U(h))_n \cong S(h)$ by Lemma 3.5, we obtain a morphism of sheaves of graded $R$-algebras

$$\text{Sym}(\mathcal{O}(T) \otimes S(h)) \xrightarrow{\cong} \text{gr}(\mathcal{D}_n).$$

Now the short exact sequence $0 \to \mathfrak{h} \otimes \mathcal{O} \xrightarrow{\iota \otimes 1} \mathcal{F} \to \mathcal{T} \to 0$ of locally free sheaves on $\mathcal{B}$ from Lemma 4.4 induces an isomorphism $\text{Sym}(\mathcal{O}(T) \otimes S(h)) \xrightarrow{\cong} \text{Sym}(\mathcal{O}(T))$. We finally obtain a morphism of sheaves of graded $R$-algebras

$$\text{Sym}(\mathcal{O}(T)) \xrightarrow{\cong} \text{gr}(\mathcal{D}_n),$$

which is seen to be an isomorphism over any $U \in \mathcal{S}$ by part (a). □

6.5. Completions and central reduction. The following elementary lemma will be useful in what follows. Recall that if $M$ is an $R$-module, then $\hat{M}$ denotes its $\pi$-adic completion.

**Lemma.** Let $B \to A$ be a map of Noetherian $R$-algebras, and let $M$ be a finitely generated $B$-module. Then $\hat{A} \otimes_B \hat{M}$ is $\pi$-adically complete, and there is a natural isomorphism of $R$-modules

$$\psi_M : \hat{A} \otimes_B \hat{M} \to \hat{A} \otimes_B \hat{M}.$$ If $B \to A$ is a central embedding and $M$ is a cyclic $B$-module, then $\psi_M$ is an $R$-algebra isomorphism.

**Proof.** The first part follows from [12, §3.2.3(iii), (v)]. Hence the natural map $A \otimes_B M \to \hat{A} \otimes_B \hat{M}$ extends to an $R$-linear map $\psi_M : A \otimes_B M \to \hat{A} \otimes_B \hat{M}$. Because $A$ and $B$ are Noetherian, it follows from [12, §3.2.3(ii)]
that the functors $\hat{A} \otimes_B -$ and $\hat{A} \otimes \hat{B} -$ are right exact. Since $\psi$ is a natural transformation between these functors such that $\psi_B$ is an isomorphism, we can pick a presentation for $M$ by finitely generated free $B$-modules, apply both functors to this presentation and invoke the Five Lemma to deduce that $\psi_M$ is an isomorphism.

The last statement is now clear. □

**Definition.** Let $\hat{D}_n^\lambda := \lim \leftarrow \hat{D}_n^\lambda / \pi^a D_n^\lambda$ be the $\pi$-adic completion of $D_n^\lambda$, and let $\hat{D}_n^\lambda K := \hat{D}_n^\lambda \otimes_R K$.

Since the discrete valuation ring $R$ is already $\pi$-adically complete by assumption, $R_\lambda$ is already a $U(h)_n$-module; we will denote the $U(h)_n K$-module $R_\lambda \otimes_R K$ by $K_\lambda$.

**Proposition.**
(a) If $U \in S$, then $\hat{D}_n^\lambda K(U) \cong \hat{D}(U)_n K$ is an almost commutative affinoid $K$-algebra and $\text{Gr}(\hat{D}_n^\lambda K(U)) \cong \mathcal{O}(T^* U_k)$.
(b) $\hat{D}_n K$ is a sheaf of complete doubly filtered $K$-algebras.
(c) There is an isomorphism $\hat{D}_n^\lambda K \cong \hat{D}_n K \otimes_{U(h)_n K} K_\lambda$ of sheaves of complete doubly filtered $K$-algebras.
(d) The sheaf $\hat{D}_n^\lambda K$ is coherent.

**Proof.** In view of Lemma 6.4, parts (a) and (b) follow from the proof of Proposition 5.10 after making appropriate changes.

(c) For each $U \in S$, $U(h)_n \to \hat{D}_n(U)$ is a map of Noetherian $R$-algebras. Since $R_\lambda$ is $\pi$-adically complete, there is thus an isomorphism of complete $R$-algebras

$$\psi_U : \hat{D}_n(U) \otimes_{U(h)_n} R_\lambda \cong \hat{D}_n(U) \otimes_{U(h)_n} R_\lambda$$

by the lemma. The reduction of $\psi_U \mod \pi$ is a morphism of filtered algebras, and the family of morphisms $(\psi_U)_{U \in S}$ is compatible with restriction, so it induces the required isomorphism $\hat{D}_n K \cong \hat{D}_n K \otimes_{U(h)_n K} K_\lambda$ of sheaves of complete doubly filtered $K$-algebras.

(d) Since $\hat{D}_n^\lambda K$ is a quotient of $\hat{D}_n K$, this follows from the coherence of $\hat{D}_n K$ proved in Proposition 5.10(c). □

Using the above, we will henceforth identify $\text{coh}(\hat{D}_n^\lambda K)$ with the full subcategory of $\text{coh}(\hat{D}_n K)$ consisting of sheaves such that $\pi^n h$ acts via the character $\lambda$. 
6.6. The generic fibre. The sheaf $\mathcal{D}^\lambda_K := \mathcal{D}^\lambda_n \otimes_R K$ does not depend on the deformation parameter $n$. Its restriction to $\mathcal{B}_K$ is naturally isomorphic to a classical sheaf of twisted differential operators in the sense of Beilinson and Bernstein [8].

The next result allows us to apply the classical theorem of Beilinson-Bernstein to those $\mathcal{D}^\lambda_n,K$-modules that can be ‘uncompleted.’

**Theorem.** Let $\mathcal{M}$ be a coherent $\mathcal{D}^\lambda_n$-module.

(a) If $\mathcal{M}_K$ is generated by global sections as a $\mathcal{D}^\lambda_n$-module, then $\hat{\mathcal{M}}_K$ is generated by global sections as a $\mathcal{D}^\lambda_n,K$-module.

(b) If $\mathcal{M}_K$ is $\Gamma$-acyclic, then so is $\hat{\mathcal{M}}_K$.

**Proof.** Note that by [42, Prop. III.2.9], $H^i(\mathcal{B},\mathcal{M}_K) \cong H^i(\mathcal{B},\mathcal{M}) \otimes_R K$ for all $i$. (a) Let $v_1,\ldots,v_a \in \Gamma(\mathcal{B},\mathcal{M}_K)$ generate $\mathcal{M}_K$ as a $\mathcal{D}^\lambda_n$-module; by clearing denominators we may assume that these generators all lie in $\Gamma(\mathcal{B},\mathcal{M})$. Let $\alpha : (\mathcal{D}^\lambda_n)^a \rightarrow \mathcal{M}$ be the map of $\mathcal{D}^\lambda_n$-modules defined by these global sections; then $\mathcal{C} := \text{coker}(\alpha)$ is coherent and $\mathcal{C}_K = 0$ by assumption. Thus we have an exact sequence

$$(\mathcal{D}^\lambda_n)^a \rightarrow \mathcal{M} \rightarrow \mathcal{C} \rightarrow 0$$

in $\text{coh}(\mathcal{D}^\lambda_n)$. By Lemma 5.8(a), the functor $\Gamma(U,-)$ is exact on $\text{coh}(\mathcal{D}^\lambda_n)$ for all $U \in S$. Since $\mathcal{D}^\lambda_n(U)$ is Noetherian by Lemma 6.4 and since $\pi \in \mathcal{D}^\lambda_n(U)$ is central, the functor of $\pi$-adic completion is exact on finitely generated $\mathcal{D}^\lambda_n(U)$-modules by [12, §3.2.3(ii)]. Hence the sequence

$$\hat{(\mathcal{D}^\lambda_n)^a}(U) \rightarrow \hat{\mathcal{M}}(U) \rightarrow \hat{\mathcal{C}}(U) \rightarrow 0$$

is exact for all $U \in S$. Hence the sequence of sheaves

$$\hat{(\mathcal{D}^\lambda_n)^a} \rightarrow \hat{\mathcal{M}} \rightarrow \hat{\mathcal{C}} \rightarrow 0$$

is exact. Now $\mathcal{C}$ is $\pi$-torsion and coherent as a $\mathcal{D}^\lambda_n$-module, so $\pi^m \mathcal{C} = 0$ for some integer $m$ since $\mathcal{B}$ is quasi-compact. Hence $\pi^m \hat{\mathcal{C}} = 0$ also, and therefore the morphism $\hat{\alpha}_K : (\mathcal{D}^\lambda_n,K)^a \rightarrow \hat{\mathcal{M}}_K$ is surjective.

(b) By Proposition 5.15, $H^i(\mathcal{B},\mathcal{M})$ is a finitely generated $U(\mathfrak{g})_n$-module. On the other hand, it is $\pi$-torsion when $i > 0$ by assumption. Since $\pi$ is central in $U(\mathfrak{g})_n$, we deduce that there exists an integer $m$ such that $\pi^m H^i(\mathcal{B},\mathcal{M}) = 0$ for all $i > 0$.

Now for all $a,b \geq 0$, there is a commutative diagram

$$
\begin{array}{ccc}
0 & \rightarrow & \mathcal{M} \\
\pi^a \downarrow & & \downarrow \pi^a
\end{array}
\begin{array}{ccc}
\mathcal{M} & \rightarrow & \mathcal{M} / \pi^{a+b} \mathcal{M} \\
\pi^a \downarrow & & \downarrow \pi^a
\end{array}
\begin{array}{ccc}
\mathcal{M} / \pi^{a+b} \mathcal{M} & \rightarrow & 0 \\
\tau_{a,b} \downarrow & & \\
\mathcal{M} / \pi^b \mathcal{M} & \rightarrow & 0
\end{array}
$$
of sheaves of coherent $D^\lambda_n$-modules with exact rows. This induces a commutative diagram on cohomology

$$
\begin{array}{cccc}
H^i(B, M) & \overset{\pi_{a+b}}{\longrightarrow} & H^i(B, M) & \longrightarrow \ H^i(B, M/\pi_{a+b}M) & \longrightarrow & H^{i+1}(B, M) \\
\pi_a & \downarrow{id} & & \downarrow{\pi_b} & & \downarrow{H^i(\tau_{a,b})} & \pi_b
\end{array}
$$

with exact rows for each $i \geq 0$. If $a \geq m$, then the last vertical arrow is zero, since $\pi^mH^{i+1}(B, M) = 0$. Thus the image of $H^i(\tau_{a,b})$ is the image of $H^i(B, M)$ in $H^i(B, M/\pi_b M)$.

It follows that the projective system $H^i(B, M/\pi_b M)$ satisfies the Mittag-Leffler condition for each $i \geq 0$ and so by [40, Prop. 0.13.1] together with Lemma 5.8 that $H^i(B, \widetilde{M}) \cong \varprojlim H^i(B, M/\pi_b M)$ for all $i > 0$. Taking the projective limit of the columns of the cohomology diagram for $i > 0$ and using the fact that the maps in the first and last columns are zero for $a \geq m$, we then obtain isomorphisms $H^i(B, M) \cong H^i(B, \widetilde{M})$, whence

$$
H^i(B, \widetilde{M}_K) \cong H^i(B, \widetilde{M}) \otimes_R K \cong H^i(B, M) \otimes_R K = 0
$$

whenever $i > 0$, as claimed. \qed

6.7. Integral and dominant weights. We assume from now on that $G$ is semisimple and simply-connected and that $K$ is a field of characteristic zero.

Let $h_1, \ldots, h_l \in \mathfrak{h}$ be the simple coroots corresponding to the simple roots in $\mathfrak{h}^*_K$ given by the adjoint action of $H$ on $\mathfrak{g}/\mathfrak{b}$, let $\omega_1, \ldots, \omega_l \in \mathfrak{h}^*_K$ be the corresponding system of fundamental weights, and let $\rho = \omega_1 + \cdots + \omega_l$. Thus $\omega_i(h_j) = \delta_{ij}$ for all $i, j$ and any $\mu \in \mathfrak{h}^*_K$ can be written in the form $\mu = \sum_{i=1}^l \mu(h_i)\omega_i$. Since $K$ is a field of characteristic zero, $\mathfrak{h}^*_K$ contains an isomorphic copy $\mathbb{Z}\omega_1 \oplus \cdots \oplus \mathbb{Z}\omega_l$ of the weight lattice $\Lambda$ of the group $H$. Since $\mathfrak{h}$ is spanned by the $h_i$ over $R$; see [49, §II.1.6, §II.1.11] — our space of twists $\text{Hom}_R(\pi^\alpha h, R)$ can be naturally identified with $\pi^{-\alpha}R \otimes_\mathbb{Z} \Lambda$.

Recall that a weight $\mu \in \mathfrak{h}^*_K$ is said to be integral if $\mu \in \Lambda \subseteq \mathfrak{h}^*_K$ or equivalently $\mu(h_i) \in \mathbb{Z}$ for all $i$. An integral weight $\mu$ is said to be dominant if $\mu(h_i) \geq 0$ for all $i$. Following [9] we extend this notion to nonintegral weights as follows: an arbitrary weight $\mu \in \mathfrak{h}^*_K$ is dominant if $\mu(h) \notin \{-1, -2, -3, \cdots\}$ for any positive coroot $h \in \mathfrak{h}$. Finally, we will say that $\lambda$ is $\rho$-dominant if $\lambda + \rho$ is dominant.

**Theorem.** If $\lambda$ is $\rho$-dominant, then $H^i(B, \mathcal{D}_n^{\lambda,K}(s)) = 0$ for all $i \geq 1$ and all integers $s$.

**Proof.** Apply Theorem 6.6(b) and paragraph (iii) of the proof of [8, Théorème Principal], noting that our sheaf $\mathcal{D}_n^{\lambda,K}$ is their sheaf $\mathcal{D}_{\lambda+\rho}$. Our ground
field $K$ is not algebraically closed, but this part of the proof of the Beilinson-Bernstein Theorem does not require this assumption. □

**Corollary.** If $\lambda$ is $\rho$-dominant, every coherent $\widehat{D}_{n,K}^\lambda$-module is $\Gamma$-acyclic.

**Proof.** Let $\mathcal{M} \in \text{coh}(\widehat{D}_{n,K}^\lambda)$, and let $d = \dim \mathcal{B}$. Using Theorem 6.3, choose a resolution
\[
\cdots \to \mathcal{P}_d \xrightarrow{f_d} \mathcal{P}_{d-1} \xrightarrow{f_{d-1}} \cdots \xrightarrow{f_1} \mathcal{P}_0 \xrightarrow{f_0} \mathcal{M} \to 0,
\]
where each $\mathcal{P}_i$ is a direct sum of right twists of $\widehat{D}_{n,K}^\lambda$. Now if $\mathcal{M}_i = \text{Im} f_i$, then for each $i \geq 1$, the long exact sequence of cohomology together with Theorem 6.7 shows that
\[
H^i(\mathcal{B}, \mathcal{M}_i) = H^{i+1}(\mathcal{B}, \mathcal{M}_1) = \cdots = H^{i+d}(\mathcal{B}, \mathcal{M}_d) = 0
\]
by [42, Th. III.2.7]. □

We now start working towards computing the global sections of $\widehat{D}_{n,K}^\lambda$.

**6.8. Restrictions on the prime $p$.** Let $p$ be the characteristic of the residue field $k$ of $R$. Recall that $p$ is said to be bad for an irreducible root system $\Phi$ if
- $p = 2$ when $\Phi = B_l$, $C_l$ or $D_l$;
- $p = 2$ or 3 when $\Phi = E_6, E_7, F_4$ or $G_2$;
- $p = 2, 3$ or 5 when $\Phi = E_8$.

We say that $p$ is bad for $G$ if it is bad for some irreducible component of the root system of $G$, and we say that $p$ is a good prime for $G$ if $p$ is not bad. Finally $p$ is said to be very good for $G$ if $p$ is good and no irreducible component of the root system of $G$ is of type $A_{mp-1}$ for some integer $m \geq 1$.

We assume from now on that $p$ is a very good prime for $G$.

**6.9. Rings of invariants.** Recall that we have chosen a Cartan subgroup $T$ of $G$ in Section 4.10 and that it induces a root space decomposition $\mathfrak{g} = \mathfrak{n} \oplus \mathfrak{t} \oplus \mathfrak{n}^+$ of $\mathfrak{g}$. The Weyl group $W$ of $G$ acts naturally on $\mathfrak{t}$ and hence on the symmetric algebra $S(\mathfrak{t})$. On the other hand, the adjoint action of $G$ on $\mathfrak{g}$ extends to an action on $U(\mathfrak{g})$ by ring automorphisms. This action preserves the filtration on $U(\mathfrak{g})$ and induces the adjoint action of $G$ on $\text{gr} U(\mathfrak{g}) \cong S(\mathfrak{g})$. Let
\[
\psi : S(\mathfrak{g})^G \to S(\mathfrak{t})
\]
be the composition of the inclusion $S(\mathfrak{g})^G \hookrightarrow S(\mathfrak{g})$ with the projection $S(\mathfrak{g}) \to S(\mathfrak{t})$ along the decomposition $S(\mathfrak{g}) = S(\mathfrak{t}) \oplus S(\mathfrak{t})(\mathfrak{n} S(\mathfrak{g}) + S(\mathfrak{g}) \mathfrak{n}^+)$. By [27, Th. 7.3.7], the image of $\psi$ is contained in $S(\mathfrak{t}) \cap S(t_\mathfrak{k})^W = S(\mathfrak{t})^W$, and $\psi$ is injective.

Let $U(\mathfrak{g})^G$ denote the subalgebra of $G$-invariants of $U(\mathfrak{g})$. Since taking $G$-invariants is left exact, there is a natural inclusion
\[
\iota : \text{gr}(U(\mathfrak{g})^G) \to S(\mathfrak{g})^G
\]
of graded rings. Inspired by the ideas contained in [48, §9.6], we can now compute the associated graded ring of $U(g)^G$.

**Proposition.** The rows of the diagram

$$
\begin{array}{ccccccc}
0 & \longrightarrow & \text{gr}(U(g)^G) & \longrightarrow & \text{gr}(U(g_k)^{G_k}) & \longrightarrow & 0 \\
\downarrow{\iota} & & \downarrow{\iota} & & \downarrow{\iota_k} & & \\
0 & \longrightarrow & S(g)^G & \longrightarrow & S(g_k)^{G_k} & \longrightarrow & 0 \\
\downarrow{\psi} & & \downarrow{\psi} & & \downarrow{\psi_k} & & \\
0 & \longrightarrow & S(t)^W & \longrightarrow & S(t_k)^{W_k} & \longrightarrow & 0
\end{array}
$$

are exact, and each vertical map is an isomorphism.

**Proof.** We view this diagram as a sequence of complexes $C^\bullet \xrightarrow{\iota^\bullet} D^\bullet \xrightarrow{\psi^\bullet} E^\bullet$. It is easy to check that each complex is exact except possibly in the right-most nonzero entry. Since $p$ is very good for $G$ and $G$ is simply-connected, it follows from [26, Cor. du Th. 2] that $E^\bullet$ is actually exact.

Now $\psi$ is injective by [27, Th. 7.3.7] and $\psi_k$ is an isomorphism by [50, Th. 4(i)] since $p$ is good, so $\psi^\bullet \circ \iota^\bullet$ is also injective. Consider the short exact sequence of complexes $0 \rightarrow C^\bullet \xrightarrow{\psi^\bullet \circ \iota^\bullet} E^\bullet \rightarrow F^\bullet \rightarrow 0$, where $F^\bullet := \text{coker}(\psi^\bullet \circ \iota^\bullet)$. Since $E^\bullet$ is exact and $H^0(C^\bullet) = H^1(C^\bullet) = 0$, the long exact sequence of cohomology shows that $H^0(F^\bullet) = H^2(F^\bullet) = 0$ and that there is an isomorphism $H^1(F^\bullet) \xrightarrow{\cong} H^2(C^\bullet)$.

Since $\psi_k \circ \iota_K : \text{gr}(U(g_k)^{G_k}) \rightarrow S(t_k)^{W_k}$ is an isomorphism by [27, Th. 7.3.7], we see that $F^0 = F^1 = \text{coker}(\psi \circ \iota)$ is $\pi$-torsion. But since $H^0(F^\bullet) = 0$, the sequence $0 \rightarrow F^0 \xrightarrow{\psi} F^1$ is exact whence $F^0 = F^1 = 0$. Hence $H^1(F^\bullet) = H^2(C^\bullet) = 0$ and the top row $C^\bullet$ of the diagram is exact.

Finally, since $\psi^\bullet \circ \iota^\bullet : C^\bullet \rightarrow E^\bullet$ is now an isomorphism in all degrees except possibly 2, it must be an isomorphism by the Five Lemma. The result follows because $\psi^\bullet$ and $\iota^\bullet$ are both injections.

**Corollary.** $\text{gr}(U(g)^G)$ is isomorphic to a polynomial algebra over $R$ in $l$ variables.

**Proof.** Since $\psi \circ \iota$ is a graded isomorphism by the proposition, this follows from [26, Th. 3] and [49, §I.2.10(3)].

6.10. **Global sections of $\mathcal{D}^\lambda_{n,K}$.** It follows from Corollary 6.9 that $U(g)^G$ is itself a commutative polynomial algebra over $R$ in $l$ variables. Hence $U(g)^G_{n,K} := (U(g)^G)_{n,K}$ is a commutative Tate algebra in $l$ variables.
The commutative square in Lemma 4.10 consists of deformable $R$-algebras. Applying the deformation functor to it we obtain another commutative square of deformable $R$-algebras

$$
\begin{array}{ccc}
(U(g)^G)_n & \rightarrow & U(t)_n \\
\downarrow & & \downarrow (j \circ i)_n \\
U(g)_n & \rightarrow & \tilde{D}_n.
\end{array}
$$

We view the $U(h)_n$-module $R$ as a $(U(g)^G)_n$-module via restriction along the map $(i \circ \phi)_n : (U(g)^G)_n \rightarrow U(h)_n$, and we let $K_\lambda := R_\lambda \otimes_R K$ be the corresponding $U(g)^G_{n,K}$-module. We make the following definitions:

- $\mathcal{U}_\lambda := U(g)_n \otimes_U (U(g)^G)_n R_\lambda$,
- $\mathcal{U}_\lambda := \lim \mathcal{U}_n / \pi^\infty \mathcal{U}_n$, and
- $\mathcal{U}_{n,K} := \mathcal{U}_n \otimes_R K$.

Because the diagram commutes, the map $U(\varphi)_n \otimes (j \circ i)_n : U(g)_n \otimes U(t)_n \rightarrow \tilde{D}_n$ factors through $(U(g)^G)_n$ and we obtain algebra homomorphisms

$$
\varphi_\lambda : U_\lambda \rightarrow \tilde{D}_\lambda,
$$

and

$$
\varphi_{n,K} : U_{n,K} \rightarrow \tilde{D}_{n,K}.
$$

It is not immediately clear whether $\mathcal{U}_\lambda$ is a deformable $R$-algebra as it could a priori have $\pi$-torsion. Presumably gr $U(g)$ is a free module over gr $U(g)^G$, which would imply that $\mathcal{U}_\lambda$ is deformable. However we will not need to prove this.

**Theorem.** (a) $\mathcal{U}_{n,K} \cong \mathcal{U}(g)_{n,K} \otimes_{U(g)^G_{n,K}} K_\lambda$ is an almost commutative affinoid $K$-algebra.

(b) The map $\varphi_{n,K} : U_{n,K} \rightarrow \Gamma(B, \tilde{D}_{n,K})$ is an isomorphism of complete doubly filtered $K$-algebras.

(c) There is an isomorphism $S(g_k) \otimes_{S(\xi_k)} k \cong \text{Gr}(\mathcal{U}_{n,K})$.

**Proof.** (a) By Corollary 6.9 and Lemma 3.5, $(U(g)^G)_n$ is Noetherian. Thus there is an $R$-algebra isomorphism $\mathcal{U}_n \cong U(g)_n \otimes_{U(g)^G_n} R_\lambda$ by Lemma 6.5. So $\mathcal{U}_{n,K}$ is an almost commutative affinoid $K$-algebra, being a quotient of $U(g)_{n,K}$.

(b), (c) Let $\{U_1, \ldots, U_m\}$ be an open cover of $B$ by open affines that trivialise the torsor $\xi$; thus the special fibre $B_k$ is covered by the special fibres
For part (b), it will be enough to prove that the sequence
\[ C^\bullet : 0 \to \hat{U}_{n,K} \to \bigoplus_{i=1}^m D_{n,K}^\lambda(U_i) \to \bigoplus_{i<j} D_{n,K}^\lambda(U_i \cap U_j) \]
is exact. Since \( C^\bullet \) is a complex in the category of complete doubly filtered \( K \)-algebras, it is enough to show that \( \text{Gr}(C^\bullet) \) is exact.

By Corollary 3.7, there is a commutative diagram with exact rows
\[ 0 \to \text{gr}(U(g)^G) \to \text{gr}(U(g)) \to \text{gr}(U(g)) \to 0 \]
where the bottom row is \( \text{Gr}(C^\bullet) \) and the top row appeared in the proof of [14, Prop. 3.4.1] and is induced by the moment map \( T^*B_k \to g_k^* \). It was shown in loc. cit. that under the assumption that \( p \) is very good for \( G \), the top row is exact. The second and third vertical arrows are isomorphisms by Proposition 6.5(a). An elementary diagram chase now shows that \( \text{Gr}(C^\bullet) \) is exact, proving (b), and also that the first vertical arrow is an isomorphism, proving (c). □
6.11. The localisation functors. Recall the localisation functor from Section 5.17:

\[ \text{Loc} : \hat{\mathcal{U}}(\mathfrak{g})_{n,K} \mod \to \hat{\mathcal{D}}_{n,K} \mod. \]

For each \( \lambda \in \text{Hom}_R(\pi^n \mathfrak{h}, R) \), we also have a functor

\[ \text{Loc}^\lambda : \hat{\mathcal{U}}^\lambda_{n,K} \mod \to \hat{\mathcal{D}}^\lambda_{n,K} \mod, \]

given by \( M \mapsto \hat{\mathcal{D}}^\lambda_{n,K} \otimes \hat{\mathcal{U}}^\lambda_{n,K} M \), which we will also call a localisation functor.

Since \( \hat{\mathcal{D}}^\lambda_{n,K} \) is a quotient of \( \hat{\mathcal{D}}_{n,K} \) by Proposition 6.5(c), we can and will view \( \text{Loc}^\lambda(M) \) as a \( \hat{\mathcal{D}}_{n,K} \)-module.

**Lemma.** For any finitely generated \( \hat{\mathcal{U}}^\lambda_{n,K} \)-module \( M \), there is a natural surjection of \( \hat{\mathcal{D}}_{n,K} \)-modules \( \text{Loc}(M) \to \text{Loc}^\lambda(M) \).

**Proof.** By Theorem 6.10(a), there is an isomorphism

\[
\hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{g})_{n,K}} \hat{\mathcal{U}}^\lambda_{n,K} \cong \hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{g})_{n,K}} \left( \hat{\mathcal{U}}(\mathfrak{g})_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{g})_{n,K}} \mathcal{K}_\lambda \right) \cong \hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{g})_{n,K}} \mathcal{K}_\lambda
\]

of sheaves of complete doubly filtered \( K \)-algebras. There is also the isomorphism

\[
\hat{\mathcal{D}}^\lambda_{n,K} \cong \hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{h})_{n,K}} \mathcal{K}_\lambda
\]

of sheaves of complete doubly filtered \( K \)-algebras by Proposition 6.5(c). These isomorphisms fit together into a commutative diagram

\[
\begin{array}{ccc}
\hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{g})_{n,K}} \hat{\mathcal{U}}^\lambda_{n,K} & \longrightarrow & \hat{\mathcal{D}}^\lambda_{n,K} \\
\cong & & \cong \\
\hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{h})_{n,K}} \mathcal{K}_\lambda & \longrightarrow & \hat{\mathcal{D}}_{n,K} \otimes_{\hat{\mathcal{U}}(\mathfrak{h})_{n,K}} \mathcal{K}_\lambda
\end{array}
\]

and the obvious surjective horizontal arrow in the second row induces the dotted surjective arrow in the first row. This proves the result in the case when \( M = \hat{\mathcal{U}}^\lambda_{n,K} \); in the general case, pick a presentation \( F_1 \to F_0 \to M \to 0 \) of \( M \) where \( F_1 \) and \( F_0 \) are finitely generated free \( \hat{\mathcal{U}}_{n,K} \)-modules, and apply the Five Lemma. \( \square \)

6.12. The equivalence of categories. Recall that a weight \( \lambda \in \mathfrak{h}_K^* \) is said to be regular if its stabilizer under the action of \( \mathbf{W} \) is trivial. Recall also that we are assuming that our ground field \( K \) has characteristic zero.
Proposition. Let the weight \( \lambda \in \text{Hom}_R(\pi^n, R) \) be such that \( \lambda + \rho \) is dominant. Then \( \mathcal{B} \) is coherently \( \mathcal{D}_{\nu,K}^{\lambda} \)-acyclic. If \( \lambda + \rho \) is also regular, then \( \mathcal{B} \) is \( \mathcal{D}_{\nu,K}^{\lambda} \)-affine.

Proof. Let \( \mathcal{M} \) be a coherent \( \mathcal{D}_{\nu,K}^{\lambda} \)-module. By Corollary 6.7, \( \mathcal{M} \) is \( \Gamma \)-acyclic. Because we may view \( \mathcal{M} \) as a coherent \( \widetilde{\mathcal{D}}_{\nu,K}^{\lambda} \)-module, \( \mathcal{M}(X) \) is finitely generated over \( \widetilde{\mathcal{U}}(g)_{\nu,K} \) by Proposition 5.16. Thus \( \mathcal{M}(X) \) is a coherent \( \mathcal{D}_{\nu,K}^{\lambda}(X) \)-module, and so \( \mathcal{B} \) is coherently \( \mathcal{D}_{\nu,K}^{\lambda} \)-acyclic.

Suppose now that \( \lambda + \rho \) is regular. By Theorem 6.3 and Proposition 6.5(c) we can find a surjection \( \mathcal{F} \rightarrow \mathcal{M} \) where \( \mathcal{F} \) is a direct sum of sheaves of the form \( \mathcal{D}_{\nu,K}^{\lambda}(s_i) \) for some integers \( s_i \). Since each \( \mathcal{D}_{\nu,K}^{\lambda}(s_i) \) is a coherent \( \mathcal{D}_{\nu,K}^{\lambda} \)-module, it is generated by its global sections by paragraph (iv) of the proof of [8, Théorème Principal]. Hence each \( \mathcal{D}_{\nu,K}^{\lambda}(s_i) \) is generated by its global sections by Theorem 6.6(a) and we can therefore find a surjection \( \mathcal{F}_0 \rightarrow \mathcal{M} \) where \( \mathcal{F}_0 \) is a direct sum of copies of \( \mathcal{D}_{\nu,K}^{\lambda} \). Applying the same argument to the kernel of this surjection gives a presentation \( \mathcal{F}_1 \rightarrow \mathcal{F}_0 \rightarrow \mathcal{M} \rightarrow 0 \). Since \( \Gamma \) is exact and \( \text{Loc}^{\lambda} \) is right exact, there is a commutative diagram

\[
\begin{array}{cccccc}
\mathcal{F}_1 & \rightarrow & \mathcal{F}_0 & \rightarrow & \mathcal{M} & \rightarrow 0 \\
\uparrow & & \uparrow & & \uparrow & \\
\text{Loc}^{\lambda}(\Gamma(\mathcal{F}_1)) & \rightarrow & \text{Loc}^{\lambda}(\Gamma(\mathcal{F}_0)) & \rightarrow & \text{Loc}^{\lambda}(\Gamma(\mathcal{M})) & \rightarrow 0
\end{array}
\]

with exact rows and with the first two vertical maps isomorphisms. Thus it follows from the Five Lemma that the canonical map \( \text{Loc}^{\lambda}(\Gamma(\mathcal{M})) \rightarrow \mathcal{M} \) is an isomorphism, so \( \mathcal{M} \) is generated by its global sections and \( \mathcal{B} \) is \( \mathcal{D}_{\nu,K}^{\lambda} \)-affine, as required.

We can finally prove Theorem C.

Theorem. Let the weight \( \lambda \in \text{Hom}_R(\pi^n, R) \) be such that \( \lambda + \rho \) is dominant and regular. Then the functors \( \text{Loc}^{\lambda} \) and \( \Gamma \) are mutually inverse equivalences of abelian categories between \( \text{coh}(\mathcal{U}_{\nu,K}^{\lambda}) \) and \( \text{coh}(\mathcal{D}_{\nu,K}^{\lambda}) \).

If \( \lambda + \rho \) is dominant but not regular, then \( \text{Loc}^{\lambda} \) and \( \Gamma \) still induce mutually inverse exact equivalences of abelian categories between \( \text{coh}(\mathcal{U}_{\nu,K}^{\lambda}) \) and \( \text{coh}(\mathcal{D}_{\nu,K}^{\lambda})/\ker \Gamma \).

Proof. This follows from immediately from the proposition and Proposition 5.1. \( \square \)
Corollary. Suppose that $\lambda$ is $\rho$-dominant, let $M$ be a finitely generated $U_{n,K}$-module, and let $\mathcal{M} = \text{Loc}^\lambda(M)$. Then 
$$\beta(\text{Ch}(\mathcal{M})) = \text{Ch}(M).$$

Proof. We have $\text{Ch}(\text{Loc}^\lambda(M)) \subseteq \text{Ch}(\text{Loc}(M))$ by Lemma 6.11 and Corollary 5.14(b). Now $M \cong \Gamma(\text{Loc}^\lambda(M))$ by the theorem, so 
$$\text{Ch}(M) = \text{Ch}(\Gamma(\text{Loc}^\lambda(M)) \subseteq \beta \text{Ch}(\text{Loc}^\lambda(M)) \subseteq \beta \text{Ch}(\text{Loc}(M)) \subseteq \text{Ch}(M)$$
by Propositions 5.16 and 5.18. \hfill $\Box$

7. Bernstein’s Inequality

In this section we continue to assume that $R$ is a complete discrete valuation ring with uniformizer $\pi$, residue field $k$ and field of fractions $K$ of characteristic zero.

7.1. Affinoid Weyl algebras and symplectic forms. Suppose that $V$ is a free $R$-module of finite rank equipped with an alternating bilinear form $\omega$, and recall from Example 3.4(d) the definition of the enveloping algebra $R_\omega[V]$ of $(V, \omega)$. As we remarked in Section 3.5, this is a deformable $R$-algebra. Thus given an alternating form $\omega$ on a free $R$-module of finite rank, we may form the almost commutative affinoid $K$-algebra $K_\omega \langle V \rangle_n := R_\omega[V]_{n,K}$.

If $S$ is an $R$-algebra, then we write $V_S$ for the free $S$-module $S \otimes_R V$. Similarly, given an $R$-bilinear form $\phi : V \times V \to R$, we write $\phi_S$ for the $S$-bilinear form on $V_S$ obtained by $S$-linearly extending $\phi$.

Definition. We say that an $R$-bilinear form $\omega$ on a free $R$-module $V$ of finite rank is symplectic if $\omega_K$ and $\omega_k$ are symplectic forms on $V_K$ and $V_k$ respectively; that is, if $\omega_K$ and $\omega_k$ are nondegenerate alternating forms.

Definition. If $\omega$ is a symplectic form on $V$, we call $K_\omega \langle V \rangle_n$ an affinoid Weyl algebra.

If $A = R[x_1, \ldots, x_m, \partial_1, \ldots, \partial_m]$ is the $m$-th Weyl algebra over $R$, then $A$ is the enveloping algebra of the standard symplectic form on $R^{2m}$. Moreover, since every symplectic form on $R$ is equivalent to the standard one, up to isomorphism every enveloping algebra of a symplectic form arises in this way.

For the remainder of this section, we fix a free $R$-module $V$ of rank $2m$ and a symplectic form $\omega$ on $V$.

Whenever $W$ is a free summand of $V$, $\omega$ will restrict to an alternating form on $W$ that, by abuse of notation, we will also call $\omega$.

7.2. Grassmannians and $\perp$.

Definition. For each $0 \leq t \leq 2m$, we define $\mathcal{G}_t(V)$ to be the set of free summands of $V$ as an $R$-module of rank $t$. Similarly, we define $\mathcal{G}_t(V_k)$ to be the set of $k$-subspaces of $V_k$ of dimension $t$. 
Proposition. The natural map $G_t(V) \rightarrow G_t(V_k)$ given by $W \mapsto W_k$ is a surjection.

Proof. Since $R$ is $\pi$-adically complete, we may apply the idempotent lifting lemma to $M_n(R) \rightarrow M_n(k)$. □

Definition. If $W$ is a free summand of $V$, we define

$$W^\perp = \{v \in V \mid \omega(v, w) = 0 \text{ for all } w \in W\}.$$ 

Similarly, if $W$ is a subspace of $V_k$, we define $W^\perp \leq V_k$ by the same formula.

Lemma. (a) If $W \in G_t(V)$, then $W^\perp \in G_{2m-t}(V)$;
(b) $(W^\perp)_k = (W_k)^\perp$ for all $W \in G_t(V)$.

Proof. For (a), it suffices to prove that $W^\perp$ is a free summand of $V$. Its rank then follows from the rank-nullity theorem since $\omega$ is nondegenerate. Since $R$ is a discrete valuation ring, it is enough to show that $V/W^\perp$ is $\pi$-torsion-free. But we know $\omega(\pi v, w) = \pi \omega(v, w)$, so for $v \in V$, $\pi v \in W^\perp$ if and only if $v \in W^\perp$.

For (b), $(W^\perp)_k$ is easily seen to be contained in $(W_k)^\perp$. Since $\omega_k$ is nondegenerate, $\dim(W_k)^\perp = 2m - t$ by the rank-nullity theorem, and $\dim(W^\perp)_k = 2m - t$ by part (a). The result follows. □

Recall that each $G_t(V_k)$ is an irreducible algebraic variety, when equipped with the Zariski topology.

Theorem. For each $0 \leq t \leq 2m$, the map $\perp : G_t(V_k) \rightarrow G_{2m-t}(V_k)$ that sends $W_k \rightarrow W_k^\perp$ is a homeomorphism.

Proof. Since $\omega_k$ is nondegenerate, it defines a perfect pairing $V_k \times V_k \rightarrow k$ and so identifies $V_k$ and $V_k^*$. Then the result is well known; see [51, §2.8] for example. □

7.3. Simplicity of affinoid Weyl algebras. We now consider how $V$ acts by derivations on $K_\omega(V)_n$.

Lemma. For $v \in V$, let $\varepsilon(v) := \omega(v, -)$ be its image in $V^* := \text{Hom}_R(V, R)$, let $\partial_v \in V_k^*$ be the image of $\varepsilon(v)$ modulo $\pi$, and suppose that $\partial_v \neq 0$. Let $d_v$ be the $R$-derivation of $R_\omega[V]_n$ given by

$$d_v : r \mapsto \frac{vr - rv}{\pi^n}.$$ 

Then

(a) $d_v$ extends to a derivation $d_v$ of $K_\omega(V)_n$.
(b) $\text{Gr}(d_v)$ is the unique $k$-derivation of $\text{Sym}_k V$ that extends $\partial_v$. 

(c) For all $m \geq 0$, the $K$-linear endomorphism $\frac{d^m}{mt}$ of $K_\omega(V)_n$ preserves the $R$-lattice $F_0K_\omega(V)_n$, and $\text{Gr}\left(\frac{d^m}{mt}\right)$ acts as the $m$-th divided power of $\partial_v$ on $\text{Sym}_V$.

**Proof.** All parts follow from some straightforward calculations. □

The following result is a special case of [62, Prop. 1.4.6]. We provide a proof for the convenience of the reader.

**Theorem.** The ring $K_\omega(V)_n$ is simple.

**Proof.** Since $K_\omega(V)_n$ is a complete doubly filtered $K$-algebra, it suffices to prove that if $I \neq 0$ is an ideal, then $\text{Gr}(I) \subseteq \text{Sym}_V$ contains 1.

Since $\omega_k$ is a nondegenerate form on $V_k$, for each $\partial \in V_k^*$ there is $v \in V$ such that the reduction of $\omega(v, -) \mod \pi$ induces $\partial$. Moreover, by the lemma, $\text{Gr}\left(\frac{d^m}{mt}\right)$ is the $m$-th divided power of $\partial$ on $\text{Sym}_V$. It is easy to verify that there are no nontrivial ideals in $\text{Sym}_V$ invariant under all of these differential operators. □

7.4. Bernstein’s inequality.

**Theorem.** Suppose that $V$ is a free $R$-module of rank $2m$ and $\omega$ is a symplectic form on $V$. If $M$ is a nonzero finitely generated $K_\omega(V)_n$-module, then every irreducible component $X$ of $\text{Ch}(M)$ satisfies

$$\dim X \geq m.$$ 

It is straightforward to construct modules that attain this bound.

**Proof.** We may find a sequence of submodules $0 = M_0 \subset M_1 \subset \cdots \subset M_r = M$ such that $M_i/M_{i-1}$ is pure for all $i \geq 1$. By Proposition 3.3, $\text{Ch}(M) = \cup \text{Ch}(M_i/M_{i-1})$, so we may reduce to the case that $M$ is pure. Moreover by Theorem 3.3 we know that in this case every irreducible component of $\text{Ch}(M)$ has the same dimension. So it suffices to show that $\dim \text{Ch}(M) \geq m$.

Suppose that $\dim \text{Ch}(M) < m$. By base changing to the completion of the maximal unramified extension of $K$ and applying Proposition 3.9, we may assume that $k$ is an infinite field. Choose a good double filtration on $M$. Now

$$\mathcal{X} := \{W \in \mathcal{G}_m(V_k) \mid \text{Gr}(M) \text{ is over finitely generated over } \text{Sym}W\}$$

is a nonempty and Zariski open subset in $\mathcal{G}_m(V_k)$ by the Generic Noether Normalization Lemma [37, Remark 3.4.4]. So $\mathcal{X}^\perp$ is again open and nonempty by Theorem 7.2. Since $\mathcal{G}_m(V_k)$ is irreducible, we deduce that $\mathcal{X} \cap \mathcal{X}^\perp$ is nonempty.

Using Proposition 7.2, choose $W \in \mathcal{G}_m(V)$ such that $W_k \in \mathcal{X} \cap \mathcal{X}^\perp$. Then $(W^\perp)_k \in \mathcal{X}$ by Lemma 7.2(b), so $M$ is finitely generated over both $K_\omega(W)_n$ and $K_\omega(W^\perp)_n$ by Lemma 3.2(a). Choose a finite generating set $X$.
for $M$ as a $K_\omega(W^\perp)_n$-module. Now elements of $K_\omega(W^\perp)_n$ act as $K_\omega(W)_n$-endomorphisms of $M$, so

$$\text{Ann}_{K_\omega(W)_n}(M) = \bigcap_{x \in X} \text{ann}_{K_\omega(W)_n}(x).$$

But $\dim \text{Ch}(M) < m = \dim \text{Gr} K_\omega(W)_n$, so $M$ must be torsion as a $K_\omega(W)_n$-module and each term in the intersection is nonzero. Since $K_\omega(W)_n$ is a Noetherian domain, [59, Th. 2.1.15] implies that $\text{Ann}_{K_\omega(W)_n}(M) \neq 0$. But $\text{Ann}_{K_\omega(W)_n}(M) \subseteq \text{Ann}_{K_\omega(V)_n}(M)$, and so the latter is a nonzero ideal of $K_\omega(V)_n$. By Theorem 7.3, $\text{Ann}_{K_\omega(V)_n}(M) = K_\omega(V)_n$ and $M = 0$, as required.

\begin{corollary}
If $A = R[x_1, \ldots, x_m, \partial_1, \ldots, \partial_m] = D(\mathbb{A}^m)$ is the $m$-th Weyl algebra equipped with the order filtration and $M$ is a nonzero finitely generated $\widehat{A}_{n,K}$-module, then every irreducible component $X$ of $\text{Ch}(M)$ satisfies $\dim X \geq m$.
\end{corollary}

\begin{proof}
As in the proof of the theorem above, we may reduce to the case that $M$ is pure and so assume that every irreducible component of $\text{Ch}(M)$ has the same dimension. So again it suffices to show that $\dim \text{Ch}(M) \geq m$.

If $n$ is even, there is an isomorphism of $R$-algebras $\alpha : R[w][V]_{n/2} \to A_n$, which induces an isomorphism $\widehat{\alpha} : K_\omega(V)_{n/2} \to \widehat{A}_{n,K}$ of complete filtered rings. Although $\tilde{\alpha}$ is not an isomorphism of complete doubly filtered algebras, $\text{Gr}(\widehat{A}_{n,K})$ and $\text{Gr}(K_\omega(V)_{n/2})$ are both polynomial algebras over $k$ in $2m$ variables (with different gradations). Letting $N$ be the restriction of $M$ to a $K_\omega(V)_{n/2}$-module via $\tilde{\alpha}$, we see that

$$\dim \text{Ch}(M) = 2m - j(M) = 2m - j(N) = \dim \text{Ch}(N) \geq m$$

by Theorem 3.3 and the theorem above.

If $n$ is odd, first we base-change to $K' = K(\sqrt{\pi})$ and let $A' = R' \otimes_R A$, where $R' = R[\sqrt{\pi}]$. Then $K' \otimes_K \widehat{A}_{n,K} \cong \widehat{A}_{2n,K}$ by Lemma 3.9(c). By Proposition 3.9 this has not changed $\dim \text{Ch}(M)$, and we have returned to the case when $n$ is even.

\end{proof}

7.5. A global version of Bernstein’s inequality. Recall the notation of Section 6.4.

\begin{theorem}
If $M$ is a nonzero coherent $\widehat{D}_{n,K}^\lambda$-module, then every irreducible component $X$ of $\text{Ch}(M)$ satisfies $\dim X \geq \dim B$.
\end{theorem}

\begin{proof}
Let $m = \dim B$. By the proof of Lemma 4.7(c), the Weyl translates $U_w$ of the big cell in $B$ each trivialise the torsor $\xi : \overline{B} \to B$ and are isomorphic to $\mathbb{A}^m$. Hence Theorem 5.13 and Lemma 5.14 tell us that for each $w$ in the Weyl group $W$, $\mathcal{M}(U_w)$ is a finitely generated $\widehat{D}_{n,K}(U_w)$-module and $\text{Ch}(\mathcal{M}) \cap$
\( \overline{T^*U_w} = \text{Ch}(\mathcal{M}(U_w)) \). Because the \( U_w \) cover \( \mathcal{B} \), it thus suffices to prove that every irreducible component of \( \text{Ch}(\mathcal{M}(U_w)) \) has dimension at least \( m \) for every \( w \in W \) such that \( \mathcal{M}(U_w) \neq 0 \).

By Proposition 6.5(a), \( \mathcal{D}_{n,K}^\lambda(U_w) \) is isomorphic to \( \mathcal{D}(\mathbb{A}^m)_{n,K} \) as an almost commutative affinoid \( K \)-algebra. The result now follows from Corollary 7.4. \( \square \)

8. Quillen’s Lemma

Recall that Quillen proved in [65] that the endomorphism ring of a simple module over an almost commutative \( k \)-algebra is algebraic over \( k \). We will generalise this to show that the endomorphism ring of a simple module over an almost commutative affinoid \( K \)-algebra \( A \) is algebraic over \( K \) provided that \( \text{gr}_0 A \) is commutative and Gorenstein. In particular, this will apply to our rings \( \overline{U(g)}_{n,K} \) for \( n > 0 \).

In this section, \( K \) will be a complete discrete valuation field of arbitrary characteristic and \( A \) will denote a complete filtered \( K \)-algebra such that \( F_0 A \) is an \( R \)-lattice in \( A \) and the slice \( \text{gr}_0 A \) is a finitely generated commutative \( k \)-algebra. We have in mind almost commutative affinoid \( K \)-algebras with commutative slice, but our proofs do not need to use the filtration on the slice except to guarantee that the slice is finitely generated as a \( k \)-algebra.

8.1. Regular \( \varphi \)-lattices and Quillen’s Lemma. Let \( M \) be a finitely generated \( A \)-module, and let \( \varphi \in \text{End}_A(M) \). We say that \( \varphi \) is simple if every nonzero element of the \( K \)-algebra generated by \( \varphi \) acts invertibly on \( M \). Clearly every nonzero \( \varphi \in \text{End}_A(M) \) is simple whenever \( M \) is a simple \( A \)-module by Schur’s Lemma, but there are other interesting examples. We will prove that every simple endomorphism is algebraic over \( K \).

Suppose now that \( \varphi \) is a simple endomorphism of a finitely generated \( A \)-module \( M \). We let \( K(\varphi) \) be the subfield of \( \text{End}_A(M) \) generated by \( K \) and \( \varphi \) and note that we can view \( M \) as an \( A - K(\varphi) \)-bimodule.

**Definition.** We say that an \( R \)-lattice \( N \) in \( M \) is an \( F_0 A \)-lattice if it is a finitely generated \( F_0 A \)-submodule of \( M \). We say that an \( F_0 A \)-lattice \( N \) in \( M \) is a regular \( \varphi \)-lattice if the subring

\[
B := \{ \theta \in K(\varphi) \mid \theta(N) \subseteq N \}
\]

of \( K(\varphi) \) is a discrete valuation ring and an \( R \)-lattice in \( K(\varphi) \).

We begin along similar lines to Quillen’s original proof. However we can only do this if \( M \) has a regular \( \varphi \)-lattice.

**Lemma.** Suppose that \( M \) has a regular \( \varphi \)-lattice \( N \). Then the residue field of \( B = \{ \theta \in K(\varphi) \mid \theta(N) \subseteq N \} \) is an algebraic extension of \( k \).
Proof. Let $\tau$ be a uniformiser of $B$, and note that the residue field $k' := B/\tau B$ of $B$ acts faithfully on $N/\tau N$ by the definition of $B$. In particular, $N/\tau N$ is nonzero. Since $B$ is an $R$-lattice in $K(\varphi)$, $\pi$ is not a unit in $B$. Hence $\pi \in \tau B$, and $N/\tau N$ is a finitely generated $\text{End}_k A = F_0A/\pi F_0A$-module.

Let $s \in k'$, and consider the $k$-subalgebra $k[s]$ of the field $k'$ generated by $s$. Because $\text{gr}_0 A$ is commutative by assumption and $N/\tau N$ is a finitely generated $(\text{gr}_0 A)[s]$-module, by the Generic Flatness Lemma [41, Lemme IV.6.9.2], we can find a nonzero element $f \in k[s]$ such that $(N/\tau N)_f$ is a free $k[s]_f$-module. Now every nonzero element of $k'$ acts invertibly on $N/\tau N$ because $k'$ is a field; hence every nonzero element of $k[s]_f$ acts invertibly on the nonzero free $k[s]_f$-module $(N/\tau N)_f$. This forces $k[s]_f$ to be a field. Because $k[s]_f$ is a finitely generated $k$-algebra, it must be algebraic over $k$ by the Nullstellensatz. □

**Proposition.** Suppose that $M$ has a regular $\varphi$-lattice $N$. Then the residue field of $B := \{ \theta \in K(\varphi) \mid \theta(N) \subseteq N \}$ is a finite algebraic extension of $k$.

Proof. Once again let $\tau$ be a uniformiser of $B$. We have already seen that the residue field $k'$ of $B$ must be algebraic over $k$ and that $k'$ acts by automorphisms on $N/\tau N$ and so may be identified with a subfield of $\text{End}_{\text{gr}_0 A}(N/\tau N)$.

Let $P \in \text{Spec}(\text{gr}_0 A)$ be a minimal prime over $\text{Ann}_{\text{gr}_0 A}(N/\tau N)$. Then if $k(P)$ is the residue field of $(\text{gr}_0 A)_P$ and $X := k(P) \otimes \text{gr}_0 A N/\tau N$, there is a $k$-algebra homomorphism $\text{End}_{\text{gr}_0 A}(N/\tau N) \to \text{End}_{k(P)}(X)$. Thus we may identify $k'$ with a subfield of $\text{End}_{k(P)}(X)$, which is a matrix ring over $k(P)$ since $X$ is a finite-dimensional $k(P)$-vector space.

Since $\text{gr}_0 A$ is a finitely generated $k$-algebra, $k(P)$ is a finitely generated field extension of $k$. Now $k'k(P)$ is commutative finite-dimensional $k(P)$-algebra, since it is a subspace of $\text{End}_{k(P)}(X)$ and since $k(P)$ lies in the centre of $\text{End}_{k(P)}(X)$. Thus if $Q$ is a prime ideal in $k'k(P)$, then $L = k'k(P)/Q$ is an integral domain and a finite-dimensional $k(P)$-vector space. Thus $L$ is a finitely generated field extension of $k$. It follows from [52, Prop. III.6] that every subextension and, in particular, the image of $k'$ in $L$, is a finitely generated field extension of $k$. But $k'$ is isomorphic to its image in $L$, and the result follows. □

**Corollary.** Let $A$ be a complete filtered $K$-algebra such that $F_0A$ is an $R$-lattice in $A$ and the slice $\text{gr}_0 A$ is a finitely generated commutative $k$-algebra. Suppose that $M$ is a finitely generated $A$-module and $\varphi \in \text{End}_A(M)$ is simple. If $M$ has a regular $\varphi$-lattice, then $\varphi$ is algebraic over $K$.

Proof. Suppose that $N$ is a regular $\varphi$-lattice in $M$. Then the residue field $k'$ of $B := \{ \theta \in K(\varphi) \mid \theta(N) \subseteq N \}$ is a finite extension of $k$ by the proposition. Since $B$ is a discrete valuation ring with maximal ideal $\tau B$, the $\tau$-adic filtration on $B$ is separated, and therefore $B$ is finitely generated $R$-module by [56,
Because $B$ is an $R$-lattice in $K(\varphi)$, we deduce that $K(\varphi)$ is a finite-dimensional $K$-vector space.

We thank Qing Liu [57] for giving an example that shows it is possible to find a discrete valuation on the function field $K(t)$ whose residue field is algebraic (and necessarily infinite-dimensional) over $k$.

8.2. Microlocalisation. We will next show that if $A$, $M$ and $\varphi$ satisfy our conditions and $M$ satisfies one extra hypothesis, then it has a regular $\varphi$-lattice.

We fix a complete filtered $K$-algebra $A$ with commutative slice, a finitely generated $A$-module $M$ and a simple $\varphi \in \text{End}_A(M)$. We fix an $F_0 A$-lattice $F_0 M$ in $M$ and let $P_1, \ldots, P_r$ be the distinct minimal primes in $\text{gr}_0 A$ above $\text{Ann}_{\text{gr}_0 A}(\text{gr}_0 M)$. Let

$$T := \text{gr}_0 A \setminus \bigcup_{i=1}^r P_i.$$ 

Since $\text{gr} A = (\text{gr}_0 A)[s, s^{-1}]$ by Lemma 3.1, $T$ is a multiplicatively closed subset in $\text{gr} A$ consisting of homogeneous elements of degree zero, so we can consider the microlocalisation of $A$ at $T$:

$$Q := Q_T(A)$$

as in Section 2.4.

**Lemma.** The slice $\text{gr}_0 Q_T(M)$ of $Q_T(M)$ is an Artinian $\text{gr}_0 Q$-module, and $Q_T(M)$ is an Artinian $Q$-module.

**Proof.** Some product of the $P_i$'s annihilates $\text{gr}_0 M$, so we can find a finite chain of $(\text{gr}_0 A)_T$-submodules of $(\text{gr}_0 M)_T$ with each subquotient isomorphic to $(\text{gr}_0 A/P_i)_T$ for some $i$. By our choice of $T$, $(\text{gr}_0 A/P_i)_T$ is the residue field of the local ring of $\text{gr}_0 A$ at $P_i$, so $(\text{gr}_0 M)_T$ has finite length.

It follows that $\text{gr} Q_T(M) \cong (\text{gr}_0 M)_T[s, s^{-1}]$ has the descending chain condition on graded $\text{gr} Q$-modules. Since $Q_T(M)$ is complete with respect to its filtration, it follows from [56, Prop. I.7.1.2] that it is an Artinian $Q$-module.

Now by functoriality of microlocalisation, every $A$-module endomorphism of $M$ extends to a $Q$-module endomorphism of $Q_T(M)$. We can therefore view $Q_T(M)$ as a $Q - K(\varphi)$-bimodule. We fix a choice of a simple $Q - K(\varphi)$-bimodule quotient $V$ of $Q_T(M)$ and note the lemma implies that $V$ is an Artinian $Q$-module.

8.3. Finding a maximal lattice preserver. We retain the notation of the previous section.


**Definition.** Let \( L \) be an \( R \)-lattice in \( V \). We say that \( L \) is an \( F_0Q \)-lattice if it is a finitely generated \( F_0Q \)-submodule of \( V \). We say that a subring \( B \) of \( K(\phi) \) is a lattice preserver if \( BL \subseteq L \) for some \( F_0Q \)-lattice \( L \) in \( V \).

**Lemma.** \( V \) has at least one \( F_0Q \)-lattice. For any \( F_0Q \)-lattice \( L \) in \( V \), \( L/\pi L \) has finite length and \( L \) has Krull dimension 1 as a \( F_0Q \)-module.

**Proof.** Let \( L_0 \) be the image of \( F_0QT(M) \) in \( V \). Since \( F_0Q \) is Noetherian and \( \pi \)-adically complete, the proof of Proposition 3.2(a) shows that \( L_0 \) is an \( R \)-lattice in \( V \) and is therefore a \( F_0Q \)-lattice. Since \( L_0/\pi L_0 \) is a quotient of \( \text{gr}_0 QT(M) \), it has finite length by Lemma 8.2. If \( L \) is another \( F_0Q \)-lattice in \( V \), then by the arguments in the proof of [36, Prop. 1.1.2], \( L/\pi L \) also has finite length; indeed, the class of \( L/\pi L \) in the Grothendieck semigroup of \( \text{gr}_0 Q \)-modules equals the class of \( L_0/\pi L_0 \). The last statement now follows from [56, Prop. I.7.1.2]. \( \square \)

We fix an \( F_0Q \)-lattice \( L_0 \) in \( V \) and let \( \mathcal{L} \) be the set of \( F_0Q \)-lattices in \( V \) contained in \( L_0 \) but not contained in \( \pi L_0 \). Let \( \mathcal{P} \) denote the set of lattice preservers in \( K(\phi) \). Notice that every lattice preserver preserves a lattice in \( \mathcal{L} \) since for every finitely generated \( F_0Q \)-submodule \( L \) of \( V \), there is an integer \( a \) such that \( \pi^a L \in \mathcal{L} \).

**Proposition.** The set \( \mathcal{P} \) has a maximal element.

**Proof.** By the lemma, \( \mathcal{P} \) is nonempty because it contains the subring of \( K(\phi) \) consisting of elements that preserve \( L_0 \). By Zorn’s Lemma, it will be enough to prove that \( \mathcal{P} \) is chain complete.

Let \( \{B_\alpha\}_{\alpha \in A} \) be a chain in \( \mathcal{P} \). For each \( \alpha \in A \), let \( L_\alpha \) be the largest \( F_0Q \)-lattice in \( \mathcal{L} \) such that \( B_\alpha L_\alpha \subseteq L_\alpha \). \( L_\alpha \) exists because \( L_0 \) is a Noetherian \( F_0Q \)-module.

Now if \( B_\alpha \subseteq B_\beta \), then \( B_\beta L_\alpha \subseteq L_\beta \) so \( L_\beta \subseteq L_\alpha \) by the maximality of \( L_\alpha \). Hence the \( L_\alpha \) form a descending chain in \( \mathcal{L} \). We claim that \( L_\infty := \bigcap L_\alpha \) is also in \( \mathcal{L} \). Since \( L_0 \) has Krull dimension 1 as a \( F_0Q \)-module by the lemma, the chain \( \{L_\alpha\}_{\alpha \in A} \) has deviation at most 1 and so any well-ordered subchain has order-type \( < \omega^2 \). By passing to a final segment of the chain \( \{L_\alpha\}_{\alpha \in A} \) we may assume that its order-type is either \( \omega \) or a singleton. In the latter case \( L_\infty = L_\alpha \) for some \( \alpha \) so \( L_\infty \in \mathcal{L} \), and in the former case the claim follows from Lemma 2.7.

Finally the subring \( B_\infty \) of \( K(\phi) \) consisting of elements that preserve \( L_\infty \) is an upper bound for \( \{B_\alpha\}_{\alpha \in A} \in \mathcal{P} \): if \( \alpha \in A \), then \( B_\alpha L_\infty \subseteq B_\beta L_\beta \subseteq L_\beta \) for all \( \beta > \alpha \), so \( B_\alpha L_\infty \subseteq \bigcap_{\beta > \alpha} L_\beta = L_\infty \) and \( B_\alpha \subseteq B_\infty \). \( \square \)

**8.4. Theorem.** Every maximal lattice preserver is a discrete valuation ring.
Proof. Let $B$ be a maximal element of $\mathcal{P}$, and choose $L \in \mathcal{L}$ such that $BL \subseteq L$. Note that the maximality of $B$ forces it to be equal to $\{\theta \in K(\varphi) : \theta L \subseteq L\}$.

First we show that $B$ is local. We pick $f \in B$ and show that one of $f$ and $1 - f$ must be a unit in $B$. Since $L$ is $\pi$-adically complete and since each $L/\pi^nL$ has finite length as a $F_0Q$-module by Lemma 8.3, it follows from Fitting’s Lemma (see the proof of [30, Th. I.10.4]) that $L$ decomposes as $U \oplus W$, where

$$U = \{u \in L \mid \lim_{i \to \infty} f^i(u) = 0\}$$

and

$$W = \bigcap_{i \geq 0} f^iL.$$  

Because $B$ is commutative, both $U$ and $W$ are $B$-modules as well as $F_0Q$-modules. Thus $U_K \oplus W_K$ is a decomposition of $V = L_K$ into a direct sum of $Q - K(\varphi)$-bimodules. But $V$ is a simple bimodule by construction (see Section 8.2), so either $U = 0$ or $W = 0$. If $U = 0$, then $f$ is injective and $W = L$, so $f$ is surjective; thus $f^{-1} \in B$. Otherwise $W = 0$ and $U = L$, so $\lim_{n \to \infty} f^n = 0$ and $1 - f$ is a unit in $B$. Hence $B$ is a local ring with maximal ideal $\mathfrak{m}$, say.

Next, we will show that $\mathfrak{m}$ is invertible as a fractional ideal. To that end, define $\mathfrak{m}^{-1} = \{x \in K(\varphi) \mid x\mathfrak{m} \subseteq B\}$. We will show that $\mathfrak{m}^{-1} \mathfrak{m}$ is $B$; certainly it is contained in $B$ and contains $\mathfrak{m}$ since $1 \in \mathfrak{m}^{-1}$. Since $\mathfrak{m}$ is a maximal ideal in $B$, it thus suffices to show that $\mathfrak{m}^{-1} \mathfrak{m} \neq \mathfrak{m}$. Now $\mathfrak{m}L$ is an $F_0Q$-submodule of $L$ and so is finitely generated as such since $F_0Q$ is Noetherian. Thus we may find $f_1, \ldots, f_u \in \mathfrak{m}$ such that $\mathfrak{m}L = \sum_{i=1}^u f_iL$. Let $J$ be the ideal in $B$ generated by $f_1, \ldots, f_u$. The argument above shows that each $f_i$ acts topologically nilpotently on $L$, so we can find an integer $m \geq 1$ such that $J^mL \leq \pi L$. Choose $m$ to be the least such; then we can find $x \in J^{m-1}$ such that $xL \not\subseteq \pi L$. Thus $\frac{x}{\pi}$ is not in $B$ but $\frac{x}{\pi} \mathfrak{m}L \leq L$, and therefore $\frac{x}{\pi} \in \mathfrak{m}^{-1}$. If $\mathfrak{m}^{-1} \mathfrak{m} = \mathfrak{m}$, then $\frac{x}{\pi} \mathfrak{m}L \leq \mathfrak{m}L$, and the subring $B'$ of $K(\varphi)$ generated by $B$ and $\frac{x}{\pi}$ preserves $\mathfrak{m}L$. But then $B' \in \mathcal{P}$ and $B'$ strictly contains $B$, which contradicts the maximality of $B$.

Now every invertible fractional ideal in an integral domain is a finitely generated projective module of rank one by the Dual Basis Lemma [59, Lemma 3.5.2]. Since $B$ is local, it follows that $\mathfrak{m}$ is a principal ideal generated by $\tau$, say. Moreover we have seen that $\tau$ acts topologically nilpotently so the $\mathfrak{m}$-adic filtration of $B$ is separated. It follows that for every nonzero element $x$ of $B$, there is a nonnegative integer $n$ such that $x \in (\tau^n) \setminus (\tau^{n+1})$. Thus $x = y\tau^n$ for some unit $y \in B$. Therefore $B$ is a discrete valuation ring. □
8.5. Dimension theory. We retain the notation of the previous subsections, and we also impose the additional condition that \( \text{gr}_0 A \) is Gorenstein. We will need this so that we can apply Gabber’s maximality principle. We recall the statement of this now.

**Theorem (Gabber’s Maximality Principle).** Suppose that \( C \) is an Auslander-Gorenstein ring, and let \( X \) be a finitely generated pure \( C \)-module contained in a \( C \)-module \( Y \) (not necessarily finitely generated) such that every finitely generated submodule of \( Y \) is pure. Then \( Y \) contains a unique largest finitely generated submodule \( Z \) containing \( X \) such that

\[
j_C(Z/X) \geq j_C(X) + 2.
\]

**Proof.** See [15, Th. 1.14]. \( \square \)

We will also need the following preparatory results.

**Lemma.** Suppose that \( \text{gr}_0 A \) is Gorenstein and \( N \) is a finitely generated \( F_0 A \)-module. Then

(a) \( F_0 A \) is Auslander-Gorenstein.
(b) If \( N \) is \( \pi \)-torsion-free, then \( j_{F_0 A}(N) = j_A(N_K) \).
(c) If \( L \) is an \( F_0 A \)-lattice in \( M \) and \( N \) is a submodule of \( M/L \) such that \( Q_T(N) = 0 \), then \( j_{F_0 A}(N) \geq j_{F_0 A}(L) + 2 \).

**Proof.** Part (a) follows from Proposition 2.5(b) since \( F_0 A \cong (\text{gr}_0 A)[s] \).

(b) First notice that \( \text{Ext}^i_A(N_K, A) \cong \text{Ext}^i_{F_0 A}(N, F_0 A)_K \) for each \( i \geq 0 \). Thus \( j := j_{F_0 A}(N) \leq j_A(N_K) \), and to prove the equality we must show that \( \text{Ext}^i_{F_0 A}(N, F_0 A) \) is not \( \pi \)-torsion. Since \( d_{F_0 A} \) is finitely partitive by Proposition 2.5(a), we have that \( j_{F_0 A}(N/\pi N) > j \). By considering the long exact sequence for \( \text{Ext}^i_{F_0 A}(\pi N, F_0 A) \) associated to the short exact sequence \( 0 \rightarrow N \rightarrow N \rightarrow N/\pi N \rightarrow 0 \), we deduce that \( \pi : \text{Ext}^i_{F_0 A}(N, F_0 A) \rightarrow \text{Ext}^i_{F_0 A}(N, F_0 A) \) is an injection.

(c) Since \( N \subseteq M/L \) is finitely generated, it is contained in \( \pi^{-m}L \) for some \( m \geq 1 \). By considering the filtration on \( N \) induced by \( L < \pi^{-1}L < \cdots < \pi^{-m}L \), we may reduce to the case when \( m = 1 \), so that \( \pi N = 0 \). Now \( N \) is a \( \text{gr}_0 A \)-module of \( \pi^{-1}L/L \cong L/\pi L \), so \( \text{Supp}(N) \) is contained in \( \text{Supp}(L/\pi L) \). Since \( L \) and \( F_0 M \) are both \( F_0 A \)-lattices in \( M \), \( \text{Supp}(L/\pi L) = \text{Supp}(F_0 M/\pi F_0 M) \) by [56, Chapter III, Lemma 4.1.9], so \( L/\pi L \) is annihilated as a \( \text{gr}_0 A \)-module by some product of the minimal primes \( P_1, \ldots, P_r \) above \( \text{Ann}_{\text{gr}_0 A}(\text{gr}_0 M) \). On the other hand, \( Q_T(N) = 0 \) and \( \pi N = 0 \) together imply that \( N \) is a \( T \)-torsion \( \text{gr}_0 A \)-module by Corollary 2.4, so \( tN = 0 \) for some \( t \in T \).

Since \( \text{gr}_0 A \) is Gorenstein and \( t \notin P_i \) for all \( i \),

\[
j_{\text{gr}_0 A}(\text{gr}_0 A/(P_i, t)) > j_{\text{gr}_0 A}(\text{gr}_0 A/P_i) \quad \text{for all} \quad i
\]
by Proposition 2.5(a). Choose a finite filtration of \( \pi^{-1}L/L \) by \( \text{gr}_0 A \)-submodules where each subquotient is killed by some \( P_i \). The restriction of this filtration to \( N \subseteq \pi^{-1}L/L \) then shows that \( j_{\text{gr}_0 A}(N) > \min_i j_{\text{gr}_0 A}(\text{gr}_0 A/P_i) = j_{\text{gr}_0 A}(L/\pi L) \).

We can now apply the Rees Lemma [1, Lemma 1.1] twice to obtain

\[
j_{F_0 A}(N) = j_{\text{gr}_0 A}(N) + 1 \geq j_{\text{gr}_0 A}(L/\pi L) + 2 = j_{F_0 A}(L/\pi L) + 1.
\]

Because \( F_0 A \) is Auslander-Gorenstein by (a) and \( d_{F_0 A} \) is finitely partitive by Proposition 2.5(a),

\[
j_{F_0 A}(L/\pi L) \geq j_{F_0 A}(L) + 1,
\]

and the result follows. \( \square \)

8.6. Finding a global regular \( \varphi \)-lattice.

**Proposition.** Suppose that \( M \) is a simple \( A-K(\varphi) \)-bimodule. Then \( M \) has a regular \( \varphi \)-lattice.

**Proof.** Since \( Q_T(M) \) surjects onto \( V \), the natural map \( \phi : M \to V \) is nonzero, and therefore \( \ker \phi \) is a proper \( A \)-submodule of \( M \). Since \( V \) is a \( K(\varphi) \)-module quotient of \( Q_T(M) \), \( \ker \phi \) is in fact an \( A-K(\varphi) \)-subbimodule. Therefore by our assumption, \( \phi \) is an injection, and we will use it to identify \( M \) with an \( A \)-submodule of \( V \). By Proposition 8.3 we can find a maximal element \( B \) of \( \mathcal{P} \). Let \( L \in \mathcal{L} \) be an \( F_0 Q \)-lattice preserved by \( B \); we will show that \( L \cap M \) is the required regular \( \varphi \)-lattice.

Let \( S = \{ s \in A : \text{gr} s \in T \} \) be the microlocal Ore set arising from \( T \subseteq \text{gr}_0 A \). Alternatively put, \( S \) is just the preimage of \( T \) in \( F_0 A \); since \( 1 \in T \), we see that \( 1 + \pi F_0 A \subseteq S \), and therefore \( \pi \) is in the Jacobson radical of \( F_0 A_S \).

Since \( M_S \) is dense in \( Q_T(M) \), \( (L \cap M_S) + \pi L = L \) and so \( L = F_0 Q.L \cap M_S \). Since also \( L \cap M_S = F_0 A_S.L \cap M \), \( L \) is generated by \( L \cap M \) as an \( F_0 Q \)-module. Because \( L \) is Noetherian as an \( F_0 Q \)-module, we can find a finitely generated \( F_0 A \)-submodule \( X \) of \( L \cap M \) such that \( F_0 Q.X = L \). Since \( L \cap M \) generates \( M \) as a \( K \)-vector space, by enlarging \( X \) if necessary we may assume that \( X \) is also an \( R \)-lattice in \( M \).

Let \( N \) be the largest \( A \)-submodule of \( M \) with \( d_A(N) < d_A(M) \). Then \( N \) is a proper characteristic submodule of \( M \) and is therefore stable under every element of \( K(\varphi) \subseteq \text{End}_A(M) \). Since \( M \) is a simple \( A-K(\varphi) \)-bimodule, \( N = 0 \), and so \( M \) is pure. Now \( F_0 A \) is Auslander-Gorenstein by Lemma 8.5(a), so every finitely generated \( F_0 A \)-submodule of \( M \) is pure by Lemma 8.5(b). Thus \( M \) contains a unique largest finitely generated submodule \( Z \) containing \( X \) such that \( j_{F_0 A}(Z/X) \geq j_{F_0 A}(X) + 2 \) by Gabber’s Maximality Principle, Theorem 8.5. We will show that \( L \cap M \) is contained in \( Z \) and so is finitely generated over \( F_0 A \) since \( F_0 A \) is Noetherian.
Suppose that $X'$ is any finitely generated $F_0 A$-submodule of $L \cap M$ containing $X$. Then $Q_T(X') = Q_T(X) = L$; thus $Q_T(X'/X) = 0$, and so
\[ j_{F_0 A}(X'/X) \geq j_{F_0 A}(X) + 2 \]
by Lemma 8.5(c). Therefore $X' \leq Z$. This means that every finitely generated submodule of $L \cap M$ is contained in $Z$, and so $L \cap M$ is itself a submodule of $Z$ as claimed.

Finally, since $L = F_0 Q.(L \cap M)$,
\[ \{ \theta \in K(\varphi) | \theta(L \cap M) \subseteq L \cap M \} = \{ \theta \in K(\varphi) | \theta(L) \subseteq L \} \]
is a discrete valuation ring by Theorem 8.4.

We can finally state and prove our version of Quillen’s Lemma.

**Corollary.** Let $A$ be an almost commutative affinoid $K$-algebra with commutative Gorenstein slice. Then every simple endomorphism of every finitely generated $A$-module is algebraic over $K$.

**Proof.** As we explained in Section 8.1, we can view $M$ as an $A - K(\varphi)$-bimodule. Since $M$ is a Noetherian $A$-module, we can find a simple $A - K(\varphi)$-bimodule quotient $\overline{M}$ of $M$; note that the $A$-linear endomorphism $\varphi$ of $\overline{M}$ induced by $\varphi$ is still simple. Then by Proposition 8.6, $\overline{M}$ has a regular $\overline{\varphi}$-lattice, so by Corollary 8.1, $\varphi$ is algebraic over $K$. But the natural map $K(\varphi) \to K(\overline{\varphi})$ is an isomorphism since $K(\varphi)$ is a field, so $\varphi$ is also algebraic over $K$. \qed

**Remarks.** (a) The same proof shows that if $A$ is any complete filtered $K$-algebra such that $F_0 A$ is an $R$-lattice in $A$ and $gr_0 A$ is a finitely generated Gorenstein commutative $k$-algebra, then the conclusion of the corollary holds.

(b) It may be possible to relax the assumption that $gr_0 A$ is Gorenstein by using the version of Gabber’s maximality principle found in [81] based around Auslander dualising complexes. However we do not know whether all almost commutative affinoid $K$-algebras have an Auslander dualising complex.

9. Modules over completed enveloping algebras

9.1. Finite-dimensional modules. We begin our study of finitely generated modules over completed enveloping algebras with the following rather general result.

**Proposition.** Let $A$ be a complete doubly filtered $K$-algebra such that $Gr(A)$ is a connected graded polynomial algebra over $k$, and let $M$ be a finitely generated $A$-module.

(a) $M$ is finite-dimensional over $K$ if and only if $\dim Ch(M) = 0$. 

\[ \]
(b) If $A$ has at least one nonzero finite-dimensional module $V$, then $\text{inj.dim} A = \dim \text{Gr}(A)$ and $d(M) = \dim \text{Ch}(M)$.

Proof. (a) Choose a good double filtration $(F_0M, F_\bullet \text{gr}_0 M)$ on $M$ using Proposition 3.2(b). Then $\dim \text{Ch}(M) = 0$ if and only if $\text{Gr}(M)$ is finite-dimensional over $k$. Now if $\text{Gr}(M)$ is finite-dimensional over $k$, then the double filtration is good for $M$ as a doubly filtered $K$-module, and therefore $M$ is finite-dimensional over $K$ by Lemma 3.2(a). Conversely, if $M$ is finite-dimensional over $K$, then $F_0M$ has to be finitely generated over $R$ because it is an $R$-lattice in $M$, so $\text{gr}_0 M$ and $\text{Gr}(M)$ are finite-dimensional over $k$.

(b) By part (a), $\dim \text{Ch}(V) = 0$, so $\dim \text{Gr}(A) = j_A(V)$ by Theorem 3.3. Clearly $j_A(V) \leq \text{inj.dim} A \leq \text{gld} A$. Now $\pi$ is a central regular element of $F_0A$ contained in the Jacobson radical of $F_0A$ and $A = (F_0A)_\pi$. Therefore,

$$\text{gld} A \leq \text{gld} F_0A - 1 = \text{gld} \text{gr}_0 A \leq \text{gld} \text{Gr}(A) = \dim \text{Gr}(A)$$

by [59, §7.4.4, 7.3.7, 7.5.3(iii)] and [56, Cor. I.7.2.2]. The first statement follows, and we obtain the second from Theorem 3.3. □

Now let $\mathfrak{g}$ be an $R$-Lie algebra that is free of finite rank as an $R$-module, and let $A$ denote the almost commutative affinoid $K$-algebra $\mathcal{U}(\mathfrak{g})_{n,K}$. Then $\text{Gr}(A) \cong S(\mathfrak{g}_k)$ is commutative and Gorenstein with $\dim \text{Gr}(A) = \dim \mathfrak{g}_k$, and we always have the trivial $A$-module $K = A/\mathfrak{g}K$ that is one-dimensional over $K$. Thus we obtain the following

**Corollary.** Let $M$ be a finitely generated $A = \mathcal{U}(\mathfrak{g})_{n,K}$-module. Then $d(M) = \dim \text{Ch}(M)$ and $d(M) = 0$ if and only if $M$ is finite-dimensional over $K$.

Note the proposition fails for the affinoid Weyl algebras of Section 7.1 because these never have any nonzero modules that are finite-dimensional over $K$ by Bernstein’s Inequality, Theorem 7.4.

**9.2. Finite-dimensional modules.** We now continue with the notation and assumptions of Section 6.7. Since the usual enveloping algebra $U(\mathfrak{g}_K)$ is a $K$-subalgebra of $A = \mathcal{U}(\mathfrak{g})_{n,K}$, we can view every $A$-module as a $U(\mathfrak{g}_K)$-module by restriction.

**Proposition.** Restriction induces an equivalence of abelian categories between finite-dimensional $A$-modules and finite-dimensional $U(\mathfrak{g}_K)$-modules.

**Proof.** Let $V$ be a finite-dimensional $U(\mathfrak{g}_K)$-module. By Weyl’s Theorem [27, Th. 1.6.3], $V$ is a direct sum of simple $U(\mathfrak{g}_K)$-submodules, and each simple submodule has a highest weight by [27, Prop. 7.2.1(i)]. Now the proof of [44, Th. 27.1(b)] shows that we can find an $R$-lattice $L$ in $V$ that is stable under $U(\mathfrak{g})$. Hence it is also stable under $U(\mathfrak{g})_n$. Since $L$ is finitely generated over
Representations of compact $p$-adic analytic groups

$R$, it is $\pi$-adically complete and is therefore an $F_0A = \widehat{U(g)}_n$-module. Hence $V$ is also an $A$-module, so the restriction functor is essentially surjective on objects. This functor is clearly faithful, so it remains to show that it is full.

Let $V, W$ be two finite-dimensional $A$-modules, and let $f : V \to W$ be a $U(g_K)$-module homomorphism. Choose $g$-stable $R$-lattices $L \subseteq V$ and $M \subseteq W$. Since $L$ is finitely generated over $R$, $\pi^n f(L) \subseteq M$ for some integer $n$, so $f$ is continuous. Since $U(g_K)$ is dense in $A$, it follows that $f$ is actually an $A$-module homomorphism. □

Recall the set of integral dominant weights $\Lambda^+ = \mathbb{N}\omega_1 \oplus \cdots \oplus \mathbb{N}\omega_l \subseteq h^*$ from Section 6.7 and the isomorphism $i : t \xrightarrow{\cong} h$ from Section 4.10.

Corollary. Every finite-dimensional $A$-module is semisimple. For each $\lambda \in \Lambda^+$, there is a simple finite-dimensional $A$-module $L(\lambda)$ with highest weight $\lambda \circ i$ uniquely determined up to isomorphism, and all finite-dimensional simple $A$-modules are of this form.

Proof. This follows from [27, §1.6.3, 7.1.11, 7.2.2]. □

We could have also constructed a $g$-stable $R$-lattice in each $L(\lambda)$ by considering the co-ordinate ring $O(\tilde{B})$ of the basic affine space $\tilde{B} = G/N$ (see Section 4.7). This is a $\Lambda^+$-graded $g$-stable subring of the usual representation ring $O(\tilde{B}_K) \cong \bigoplus_{\lambda \in \Lambda^+} L(\lambda)$, so its homogeneous components give the required $g$-stable lattices.

9.3. The centre. Recall the Harish-Chandra homomorphism $\phi : U(g)^G \to U(t)$ from Section 4.10. This is a morphism of deformable $R$-algebras, and applying the deformation and $\pi$-adic completion functors, we obtain the deformed Harish-Chandra homomorphism

$$\widehat{\phi}_{n,K} : \widehat{U(g)}^G_{n,K} \to \widehat{U(t)}_{n,K},$$

which we will denote by $\widehat{\phi} : Z \to \widehat{Z}$ in an attempt to alleviate the notation. Now the Weyl group $W$ of $G$ acts on $t^*_K$ by

$$w \cdot \lambda = w(\lambda + \rho') - \rho',$$

where $\rho' := i^*(\rho) = \rho \circ i \in t^*$ denotes the image of $\rho \in h^*$ under the dual isomorphism $i^* : h^* \xrightarrow{\cong} t^*$. In fact, $\rho'$ is equal to half the sum of the $T$-roots on $n^+$. If we view $U(t)_K$ as an algebra of polynomial functions on $t^*_K$, we get a corresponding ‘dot’-action of $W$ on $U(t)_K$. This action preserves the $R$-subalgebra $U(t)_n$ of $U(t)_K$ and therefore extends to a natural ‘dot’-action of $W$ on $\widehat{Z} = U(t)_{n,K}$.

Proposition. Suppose that $p$ is a very good prime for $G$.

(a) The algebra $Z$ is contained in the centre of $A$. 
(b) The map $\hat{\phi}$ is injective, and its image is the ring of invariants $\widehat{Z}^{W^\bullet}$.

(c) The algebra $\widehat{Z}$ is free of rank $|W|$ as a module over $\widehat{Z}^{W^\bullet}$.

(d) $\widehat{Z}^{W^\bullet}$ is isomorphic to a Tate algebra $K\langle S_1, \ldots, S_l \rangle$ as a complete doubly filtered $K$-algebra.

**Proof.** (a) The algebra $U(\mathfrak{g})^G_K$ is central in $U(\mathfrak{g})_K$ by [44, Lemma 23.2], so it is also contained in the centre of $A$ since $U(\mathfrak{g})_K$ is dense in $A$. But $U(\mathfrak{g})^G_K$ is dense in $Z$, so $Z$ is also central in $A$.

(b) By the classical result of Harish-Chandra [27, Th. 7.4.5], $\phi$ sends $U(\mathfrak{g})^G_K$ onto $U(t)^{W^\bullet}_K$, so $\hat{\phi}(Z)$ is contained in $\widehat{Z}^{W^\bullet}$. This algebra is complete and doubly filtered, and $\text{Gr}(\widehat{Z}^{W^\bullet})$ can be naturally identified with $S(t_k)^{W_k}$.

Consider the morphism of complete doubly filtered $K$-algebras $\alpha : Z \to \widehat{Z}^W$ induced by $\hat{\phi}$. Its associated double graded map $\text{Gr}(\alpha) : \text{Gr}(Z) \to \text{Gr}(\widehat{Z}^W)$ can naturally be identified with the isomorphism $\psi_k : S(\mathfrak{g}_k)^G_k \xrightarrow{\cong} S(t_k)^{W_k}$ by Corollary 3.7 and Proposition 6.9. Hence $\text{Gr}(\alpha)$ is an isomorphism, and therefore by completeness, $\alpha$ is also an isomorphism.

(c) By [26, Th. 2(c)], $S(t_k)$ is a free graded $S(t_k)^{W_k}$-module of rank $|W|$. It follows from Lemma 3.2(a) that $Z$ is finitely generated over $Z$, and it is easy to see that in fact it’s free of rank $|W|$.

(d) By [26, Cor. du Théorème 3], $S(t_k)^{W_k}$ is a polynomial algebra in $l$ homogeneous generators over $k$. Fix some (double) lifts $s_1, \ldots, s_l \in U(t)^{W^\bullet}_K$ of these generators, and define an $R$-algebra homomorphism $R[S_1, \ldots, S_l] \to \widehat{Z}^{W^\bullet}$ by sending $S_i$ to $s_i$. This extends to an isomorphism $K\langle S_1, \ldots, S_l \rangle \to \widehat{Z}^{W^\bullet}$ of complete doubly filtered $K$-algebras.

□

It was shown in [2, Th. 5.2.1] that, in fact, $Z$ is the whole centre of $A$ when $n = 0$. We plan to show in a later paper that this is true for any $n \geq 0$.

*From now on we will assume that $n > 0$ and that $p$ is a very good prime for $G$.*

### 9.4. $Z$-locally finite modules

Let $M$ be an $A$-module. Since $Z$ is central in $A$, the action of $Z$ on $M$ induces an $K$-algebra homomorphism

$$\chi_M : Z \to \text{End}_A(M),$$

which we call the **central character** of $M$.

**Definition.** We say that $M$ is $Z$-locally finite if $\dim_K Z.m < \infty$ for all $m \in M$.

It is easy to see that if $M$ is finitely generated over $A$, then $M$ is $Z$-locally finite if and only if $\dim_K \text{Im} \chi_M < \infty$. It is also clear that $Z$-locally finite modules are closed under taking submodules, quotient modules and extensions.

We are now ready to prove Theorem D from the introduction.
**Theorem.** Let $M$ be a simple $A$-module. Then $\text{Im} \chi_M$ is a finite field extension of $K$, so $M$ is $Z$-locally finite.

**Proof.** By Schur’s Lemma, $\text{End}_A(M)$ is division ring. It is algebraic over $K$ by Corollary 8.6 since $n > 0$ by assumption. So $\text{Im} \chi_M$ is an integral domain that is algebraic over $K$; it is therefore a field, and ker $\chi_M$ is a maximal ideal of $Z$. But $Z \cong K(S_1, \ldots, S_l)$ is a Tate algebra by Proposition 9.3, and every maximal ideal of $Z$ has finite codimension over $K$ by [31, Th. 3.2.1(5)]. □

Let $M$ be a finitely generated $A$-module. By applying the theorem to a simple factor module of $M$, we see that $M$ has a nonzero $Z$-locally finite quotient. In fact, a stronger statement is true.

**Proposition.** Let $M$ be a finitely generated $A$-module with $d(M) \geq 1$. Then $M$ has a $Z$-locally finite quotient $N$ such that $d(N) \geq 1$.

**Proof.** Since $d(M) = \dim \text{Ch}(M) \geq 1$ by Corollary 9.1, $\text{gr}_0 M$ is infinite-dimensional over $k$. We can therefore find an element $f \in g_k$ such that $(\text{gr}_0 M)_f \neq 0$. Hence $Q_f(M)$ is a finitely generated nonzero module over the microlocalisation $Q_f(A)$, and we may choose some simple quotient $W$ of $Q_f(M)$ as a $Q_f(A)$-module.

The degree zero part $F_0Q_f(A)$ is an $R$-lattice in $Q_f(A)$, and the slice $\text{gr}_0 Q_f(A)$ is isomorphic to the localisation $(\text{gr}_0 A)_f \cong S(g_k)[t]/(tf - 1)$. So $\text{gr}_0 Q_f(A)$ is a finitely generated Gorenstein commutative $k$-algebra, which means that it is possible to apply Corollary 8.6 to the algebra $Q_f(A)$. The central subalgebra $Z$ of $A$ is still central in $Q_f(A)$ and therefore acts on $W$ by $Q_f(A)$-module endomorphisms. Therefore $W$ is $Z$-locally finite by the proof of the theorem above.

Now let $N$ be the image of $M$ in $W$, and suppose for a contradiction that $d(N) = 0$. Then $N$ is finite-dimensional over $K$ by Proposition 9.1, so we can find a $g$-stable lattice $L$ inside $N$ by Section 9.2. Since $n > 0$, $\pi^n gL \leq \pi L$, so $\text{gr}_0 A = S(g_k)$ acts on $\text{gr}_0 N = L/\pi L$ through its augmentation. Since $f \in g_k$, it follows that $Q_f(N) = 0$. This is a contradiction, because $Q_f(N)$ surjects onto the simple $Q_f(A)$-module $W$. Thus $N$ is the required $Z$-locally finite quotient of $M$ that satisfies $d(N) \geq 1$. □

9.5. **Base change.** We want to apply Theorem 6.12 and Corollary 6.11 to our finitely generated $Z$-locally finite $A$-module $M$. However $\text{Im} \chi_M$ could be strictly bigger than $K$; also we need to produce a $\mathcal{U}_{n,K}$-module for some appropriate weight $\lambda \in h_K$. We will solve both problems by passing to a finite field extension of $K$.

For any finite field extension $K'$ of $K$ with ring of integers $R'$, let $\pi' \in R'$ be a uniformizer and let $e$ be the ramification index of $K'$ over $K$, so that...
\( \pi R' = \pi^e R' \). Let \( G' = R' \times_R G, H' := R' \times_R H, g' = R' \otimes_R g, t' = R' \otimes_R t \) and \( h' = R' \otimes_R h \) be the corresponding base-changed objects. Since \( t \) has finite rank over \( R \), we will identify \( t'^* := \text{Hom}_{R'}(t', R') \) with \( R' \otimes_R t^* \). The isomorphism \( i : t \xrightarrow{\sim} h \) extends to an isomorphism \( i : t' \xrightarrow{\sim} h' \).

**Lemma.** Let \( K'/K \) be a finite field extension. Then

(a) \( K' \otimes_K Z \cong \widehat{U(\mathfrak{g}')}_{\text{en},K'}^{G'} \).

(b) \( K' \otimes_K \widehat{Z} \cong \widehat{U(t')}_{\text{en},K'}^{G'} \).

**Proof.** We know that \( U(\mathfrak{g}')^{G'} \cong R' \otimes_R U(\mathfrak{g})^G \) by [49, §I.2.10(3)]. Now both parts follow from Lemma 3.9(c). \( \square \)

Let \( A' := K' \otimes_K A \), and note that \( A' \cong \widehat{U(\mathfrak{g}')}_{\text{en},K'}^{G'} \) by Lemma 3.9(c). Recall the central quotients \( \widehat{U(\mathfrak{g})}_{\text{en},K'}^{\lambda} \) of \( \widehat{U(\mathfrak{g})}_{\text{en},K'}^{G'} \) from Section 6.10 for each weight \( \lambda \in \pi'^{-ne} h'^* \).

**Theorem.** Let \( M \) be a finitely generated \( Z \)-locally finite \( A \)-module. Then there exists a finite extension \( K' \) of \( K \) with ramification index \( e \), a weight \( \lambda \in \pi'^{-ne} h'^* \) and a finitely generated \( \widehat{U(\mathfrak{g})}_{\text{en},K'}^{\lambda} \)-module \( N \) such that \( d(M) = d(N) \).

**Proof.** Choose a submodule \( M_0 \) of \( M \) maximal subject to having \( d(M/M_0) = d(M) \). Replacing \( M \) by \( M/M_0 \) we may assume that \( M \) is \( d \)-critical in the sense that \( d(M/M') < d(M) \) for any nonzero proper \( A \)-submodule \( M' \) of \( M \). In particular, \( M \) must be \( d \)-pure: \( d(M') = d(M) \) for any nonzero submodule \( M' \) of \( M \).

Let \( P := \ker \chi_M = \text{Ann}_Z(M) \), and suppose that \( xy \in P \) for some \( x, y \in Z \). If \( x \notin P \), then \( xM \) is a nonzero submodule of \( M \), so \( d(xM) = d(M) \). Because \( xyM = 0 \), multiplication by \( x \) induces an \( A \)-module surjection \( M/yM \rightarrow xM \), whence \( d(M/yM) \geq d(M) \). This is only possible if \( yM = 0 \) since \( M \) is \( d \)-critical. Hence \( P \) is a prime ideal in \( Z \); since \( M \) is \( Z \)-locally finite, \( P \) is in fact maximal.

Next, \( \widehat{Z} \) is a finitely generated \( Z \)-module via \( \widehat{\phi} \) by Proposition 9.3, so \( \widehat{Z} \) is an integral extension of \( Z \). Thus by [6, Cor. 5.9, Theorem 5.10], for example, we may find a maximal ideal \( \mathfrak{m} \) of \( \widehat{Z} \) with \( \widehat{\phi}^{-1}(\mathfrak{m}) = P \) and define \( K' := \widehat{Z}/\mathfrak{m} \), a finite extension of \( K \). Extend the natural surjection \( \widehat{Z} \rightarrow K' \) to a \( K' \)-algebra homomorphism \( \theta : K' \otimes_K \widehat{Z} \rightarrow K' \). By the lemma, \( K' \otimes_K \widehat{Z} \cong \widehat{U(t')}_{\text{en},K'}^{G'} \) is a Tate algebra, so \( \theta \) sends the power-bounded subset \( \pi^{me} t' \) of \( K' \otimes_K \widehat{Z} \) to the ring of integers \( R' \) in \( K' \), and we can find an element \( \lambda \in \pi^{-ne} h'^* \) such that \( \lambda \circ i \) is the restriction of \( \theta \) to \( \pi^{me} t' \).

Now \( N := K' \otimes_{\widehat{Z}/P} M \) is a finitely generated \( A' \)-module, and Lemma 2.6 tells us that \( d_{A'}(N) = d_A(N) = d_A(M) \). By the lemma above, \( K' \otimes_K \widehat{Z} \cong \widehat{U(\mathfrak{g}')_{\text{en},K'}^{G'}}^{G'} \), and this algebra acts on \( N \) via \( \lambda \circ i \circ (1 \otimes \widehat{\phi}) \) by construction. It now
follows from Theorem 6.10(a) that $N$ is a finitely generated $\overline{U_{en,K^\times}}$-module, as required.

\[ \square \]

9.6. Using the $W$-action. Theorem 9.5 tells us that after making an appropriate base change, we may assume that our finitely generated $\mathbb{Z}$-locally finite $A$-module has a $K$-rational central character $\lambda \circ i \circ \hat{\phi}$. However Corollary 6.11 requires $\lambda$ to be $\rho$-dominant; our next result shows that we may achieve this by using the action of the Weyl group.

**Lemma.** For any weight $\mu \in \mathfrak{h}^*_K$, there exists $w \in W$ such that $w(\mu)$ is dominant.

**Proof.** Let us define a binary relation $\geq$ on $\mathfrak{h}^*_K$ by $\lambda \geq \mu$ if and only if $\lambda - \mu$ is a linear combination of positive roots with nonnegative integer coefficients. Since $K$ has characteristic zero, this is a partial order on $\mathfrak{h}^*_K$. Since $W$ is finite, we can find an element $\lambda = w(\mu)$ in the $W$-orbit of $\mu$ that is maximal with respect to this ordering. If $\lambda(h) \notin \{-1, -2, \cdots\}$ for some positive coroot $h \in \mathfrak{h}$, then taking $\alpha$ to be the corresponding positive root, we have that $s_\alpha(\lambda) = \lambda - \lambda(h)\alpha$ lies in the $W$-orbit of $\mu$ and $s_\alpha(\lambda) > \lambda$, which contradicts the maximality of $\lambda$. So $\lambda(h) \notin \{-1, -2, \cdots\}$ for any positive coroot $h \in \mathfrak{h}$, and hence $\lambda = w(\mu)$ is dominant.

\[ \square \]

9.7. Springer fibres. We will assume throughout Sections 9.7–9.9 that the field $k$ is algebraically closed. We will identify the $k$-points of the scheme $g^* = \text{Spec}(\text{Sym}_R g)$ with the dual of the $k$-vector space $g_k$; thus $g^*(k) = g_k^*$. We will also abuse notation and denote the map on $k$-points $f(k) : X(k) \rightarrow Y(k)$ induced by a morphism of $R$-schemes $f : X \rightarrow Y$ simply as $f : X(k) \rightarrow Y(k)$. With these notations, the diagram from Section 5.6 on the level of $k$-points looks as follows:

\[
\begin{array}{ccc}
T^* B(k) & \rightarrow & g^*(k) \\
\downarrow \tau & & \downarrow \beta \\
B(k) & \rightarrow & g^*(k)
\end{array}
\]

We are interested in the Springer fibres, which by definition are the sets $\beta^{-1}(y)$ as $y$ runs over $g^*_k$; these are algebraic varieties over $k$.

Let $G,B,N$ denote the sets of $k$-points of $G,B,N$ respectively, and let us identify the set $B(k)$ of $k$-points of the flag $R$-scheme $B$ with $G/B = \{gB : g \in G\}$. The group $G$ acts on $g_k$ and on $g_k^*$ via the adjoint and coadjoint actions, respectively; if $S$ is a subset of $g_k$, let $S^\perp = \{\lambda \in g^*_k : \lambda(S) = 0\}$ denote its annihilator in $g^*_k$. Note that $n_k \subseteq b_k \subseteq g_k$ are the Lie algebras of the algebraic groups $N \subseteq B \subseteq G$. 
Lemma. Let \( y \in g_k^* \). Then \( \tau^{-1}(y) \) is equal to \( \{ gB \in B(k) : y \in (g.n_k)^\perp \} \).

Proof. Let \( gB \in B(k) \). The geometric fibre of the morphism of vector bundles \( \varphi : \mathcal{O}_B \otimes g \to T_B \) used in Section 4.8 to define the enhanced moment map \( \beta \) is just the action map \( g_k \to T_{gN}(G/N) \) of \( g_k \) on the homogeneous space \( G/N \) at the point \( gN \in G/N \). Because the action map is surjective by [16, Prop. II.6.7], this tangent space can be naturally identified with \( (g.n_k)^\perp \). It follows that the restriction of \( \beta \) to \( \tau^{-1}(gB) = T^*_{gB}(G/B) \) is the dual of this action map, which we will identify with the inclusion \( (g.n_k)^\perp \to g_k^* \). With these identifications in place, it is now clear that \( gB \in \tau^{-1}(y) \) if and only if \( y \in (g.n_k)^\perp \).

9.8. Nilpotent orbits. We define the nilpotent cone in \( g_k^* \) as the set of zeros of \( G_k \)-invariant polynomials in \( S(g_k) = \mathcal{O}(g_k^*) \) with no constant term: \( N^* = V(S(g_k)^{G_k}) \). Thus,

\[
\mathcal{O}(N^*) = S(g_k^*) \otimes_{S(g_k)} g_k k.
\]

The nilpotent cone \( N = V(S(g_k^*)^{G_k}) \) in \( g_k \) is defined similarly. Since we are assuming that the characteristic of \( k \) is very good for \( G \), there is a nondegenerate \( G \)-invariant bilinear form on \( g_k \) that induces a \( G \)-equivariant isomorphism \( \kappa : g_k^* \to g_k \) (see [14, §3.1.2]). This isomorphism maps \( N^* \) onto \( N \).

The nilpotent cone \( N \) is a union of \( G \)-orbits in \( g_k \) called the nilpotent orbits. The corresponding \( G \)-orbits in \( N^* \) are called the coadjoint nilpotent orbits. It turns out that these are very closely connected with Springer fibres. The next result is well known, but we give the proof for the benefit of the reader.

Proposition. For any \( y \in N^* \), we have \( \dim \beta^{-1}(y) \leq \dim B - \frac{1}{2} \dim G.y \).

Proof. Note first that \( \dim \tau \beta^{-1}(y) = \dim \beta^{-1}(y) \) for all \( y \in g_k^* \) because the map \( \tau \) is clearly injective on the Springer fibre \( \beta^{-1}(y) \). Since we have been assuming from Section 6.7 onwards that \( G \) is simply-connected, a result of Springer [7, Cor. 9.3.4] tells us that there is a \( G \)-equivariant isomorphism \( \eta : N \to U \), where \( U \subset G \) is the variety of unipotent elements.

Let \( u = \eta(\kappa(y)) \in U \). Since \( \kappa(n_k^+) = b_k \), Lemma 9.7 implies that

\[
\tau \beta^{-1}(y) = \{ gB \in G/B : \kappa(y) \in g.b_k \} = \{ gB \in G/B : u \in gBg^{-1} \}.
\]

Thus \( \tau \beta^{-1}(y) \) is the set of fixed points \( (G/B)_u \) of the action of \( u \) on \( G/B \), and it follows from [78, Th. 3.5(a)] that

\[
\dim \tau \beta^{-1}(y) = \dim (G/B)_u \leq \frac{1}{2} (\dim C_G(u) - l),
\]

where \( C_G(u) \) is the centralizer of \( u \) in \( G \) and \( l \) is the rank of \( G \). The result is now clear because \( \dim C_G(u) = \dim G - \dim G.u = 2 \dim B + l - \dim G.y \).  \( \square \)
Remarks. (a) It is possible to give a slightly more direct, but longer, proof of this result mimicking the proof of [78, Th. 3.5] (see also [45, Th. 6.8]), using the Steinberg variety of triples
\[
\{(b_1, b_2, z) \in B(k) \times B(k) \times G.\kappa(y) : z \in b_1 \cap b_2\},
\]
where we now think of $B(k)$ as the set of $G$-conjugates of $b_k$ in $g_k$.
(b) In fact, under our assumptions on $p$, equality always holds in the proposition. This is the ‘Dimension Formula,’ originally a conjecture of Grothendieck, and it was proven by Steinberg [78] as a consequence of the Bala-Carter classification of unipotent classes. The book [45] gives a good overview of this subject; see also [64] and [29].

9.9. The minimal nonzero nilpotent orbit. Let $g_C$ be the complex semisimple Lie algebra with the same root system $\Phi$ as our group $G$, and let $G_C$ denote the adjoint complex algebraic group associated with $g_C$. It is known [24, Remark 4.3.4] that there is a unique nonzero nilpotent $G_C$-orbit in $g_C^*$ of minimal dimension, called the minimal nilpotent orbit. The dimension of this orbit is an even integer since each coadjoint $G_C$-orbit is a symplectic manifold.

Definition. We let $r$ denote half the dimension of the minimal nilpotent orbit:
\[
r := \frac{1}{2} \min\{\dim G_C.y : 0 \neq y \in g_C\}.
\]
The values of $r$ are well known. We took the following table from [74, §1.6]:

<table>
<thead>
<tr>
<th>$\Phi$</th>
<th>$A_l$</th>
<th>$B_l$</th>
<th>$C_l$</th>
<th>$D_l$</th>
<th>$E_6$</th>
<th>$E_7$</th>
<th>$E_8$</th>
<th>$F_4$</th>
<th>$G_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>dim $G$</td>
<td>$l^2 + 2l$</td>
<td>$2l^2 + l$</td>
<td>$2l^2 + l$</td>
<td>$2l^2 - l$</td>
<td>78</td>
<td>133</td>
<td>248</td>
<td>52</td>
<td>14</td>
</tr>
<tr>
<td>$r$</td>
<td>$l$</td>
<td>$2l - 2$</td>
<td>$l$</td>
<td>$2l - 3$</td>
<td>11</td>
<td>17</td>
<td>29</td>
<td>8</td>
<td>3</td>
</tr>
</tbody>
</table>

Pommerening proved that structure of nilpotent coadjoint orbits in good characteristic is the same as over $\mathbb{C}$. However we will only need to know the following consequence of the Bala-Carter-Pommerening classification of nilpotent orbits.

**Proposition.** For any nonzero $y \in N^*$, $\frac{1}{2} \dim G.y \geq r$.

**Proof.** By [7, §9.2.1], $N$ is the set of nilpotent elements in $g_k$. In view of the $G$-equivariant isomorphism $\kappa : g_k^* \to g_k$, the required inequality now follows from [64, Ths. 2.6 and 2.7].}

9.10. A lower bound for $d(M)$. We now return to our original setting, dropping the assumption that the field $k$ is algebraically closed. We can finally state and prove the analogue of Smith’s Theorem for modules over $\pi$-adically completed enveloping algebras.
THEOREM. Suppose that \( n > 0 \). Let \( M \) be a finitely generated \( \overline{U(g)}_{n,K} \)-module with \( d(M) \geq 1 \). Then \( d(M) \geq r \).

Proof. By Proposition 9.4, we may assume that \( M \) is \( Z \)-locally finite. By passing to a finite field extension of \( K \) if necessary and applying Theorem 9.5, we may further assume that \( M \) is a \( \overline{U_{n,K}} \)-module for some \( \lambda \in h_K^* \).

Since \( \lambda \circ (i \circ \hat{\phi}) = (w \cdot \lambda) \circ (i \circ \hat{\phi}) \) for any \( w \in W \) by Proposition 9.3(b), we may also assume that \( \lambda \) is \( \rho \)-dominant by applying Lemma 9.6. Thus \( \text{Gr}(M) \) is a \( \text{Gr}(\overline{U_{n,K}}) \cong S(g_k) \otimes_S(g_k)G_k \)-module by Theorem 6.10(c), and if \( M := \text{Loc}^\lambda(M) \) is the corresponding coherent \( \overline{D_{n,K}}^\lambda \)-module, then \( \beta(\text{Ch}(M)) = \text{Ch}(M) \) by Corollary 6.11.

Let \( k \) be an algebraic closure of \( k \), and let \( X,Y \) denote the \( k \)-points of \( \text{Ch}(M) \) and \( \text{Ch}(M) \), respectively. These are algebraic varieties over \( k \) such that \( \text{dim } X = \text{dim } \text{Ch}(M) \) and \( \text{dim } Y = \text{dim } \text{Ch}(M) \). Moreover, \( Y \subseteq N^* \) because \( \text{Gr}(M) \) is annihilated by \( S(g_k)G_k \), and \( \beta : T^*B(\overline{k}) \to g^*(\overline{k}) \) maps \( X \) onto \( Y \).

Let \( f : X \to Y \) be the restriction of \( \beta \) to \( X \). Since \( \text{dim } Y = d(M) \geq 1 \) by Corollary 9.1, we can find a nonzero smooth point \( y \in Y \). Since \( f \) is surjective, we can find a smooth point \( x \in f^{-1}(y) \). Considering the map \( df_x : T_{X,x} \to T_{Y,y} \) induced by \( f \) on Zariski tangent spaces shows that

\[
\text{dim } Y + \text{dim } f^{-1}(y) \geq \text{dim } T_{X,x}.
\]

Now \( \text{dim } T_{X,x} \geq \text{dim } B \) by Bernstein’s Inequality, Theorem 7.5. Hence,

\[
d(M) = \text{dim } \text{Ch}(M) = \text{dim } Y \geq \text{dim } B - \text{dim } \beta^{-1}(y) \geq \frac{1}{2} \text{dim } G.y \geq r
\]

by Propositions 9.8 and 9.9. \( \square \)

We believe we can show that the bound in this theorem is best possible as it is in the classical result of Smith [74, §3.10]. However we will leave this for another paper.

10. Microlocalisation of Iwasawa algebras

10.1. Completed group rings. We now specialize further and assume that the uniformizer \( \pi \) of our complete discrete valuation ring \( R \) is the prime number \( p \). We make no assumptions about the residue field \( k \) of \( R \), except that it is of characteristic \( p \). We let \( v : R \to \mathbb{Z} \cup \{ \infty \} \) be the discrete valuation of \( R \), normalized by \( v(p) = 1 \). Note that these assumptions imply that \( R \) contains a canonical copy of the \( p \)-adic integers \( \mathbb{Z}_p \).
Whenever $G$ is a profinite group, we will denote its completed group ring with coefficients in $R$ by

$$RG := R[[G]] = \lim_{\leftarrow} R[G/N].$$

Here $N$ runs over all the open normal subgroups $N$ of $G$. When $G$ is a compact $p$-adic Lie group, we call $RG$ the Iwasawa algebra of $G$ with coefficients in $R$.

For simplicity of exposition, and since as usual the case $p = 2$ is slightly different, we will assume throughout Section 10 that our prime $p$ is odd.

10.2. Uniform pro-$p$ groups and their Lie algebras. We refer the reader to [28, §4] for the definition of uniform pro-$p$ groups and briefly recall their main properties here. We fix the uniform pro-$p$ group $G$ of dimension $d := \dim G$ and a minimal topological generating set $\{g_1, \ldots, g_d\}$ for $G$ until the end of Section 10. Thus each element of $G$ can be written uniquely in the form $g_1^{\lambda_1} \cdots g_d^{\lambda_d}$ for some $\lambda_1, \ldots, \lambda_d \in \mathbb{Z}_p$. It is shown in [28, Th. 4.30] that the operations

$$\lambda \cdot x = x^{\lambda},$$

$$x + y = \lim_{i \to \infty} (x^{p^i} y^{p^i})^{p^{-i}},$$

$$[x, y] = \lim_{i \to \infty} (x^{-p^i} y^{-p^i} x^{p^i} y^{p^i})^{p^{-2i}}$$

define on the set $G$ the structure of a Lie algebra over $\mathbb{Z}_p$. We will denote this Lie algebra by $L_G$. It is known that $L_G$ is a powerful Lie algebra, in the sense that it is free of finite rank as a module over $\mathbb{Z}_p$ and $[L_G, L_G]$ is contained in $pL_G$ — note that we are assuming that $p \neq 2$. Note also that $[p^{-1}L_G, p^{-1}L_G]$ is then contained in $p^{-1}L_G$, which motivates the following

DEFINITION. Let $G$ be a uniform pro-$p$ group. We define the $R$-Lie algebra associated with $G$ to be

$$\frac{1}{p} RL_G := R \otimes_{\mathbb{Z}_p} \left( \frac{1}{p} L_G \right).$$

It is clear that $\frac{1}{p} RL_G$ is an $R$-Lie algebra which is free over $R$ of rank $d$.

We can also consider the associated graded group to $G$:

$$\text{gr} G := \bigoplus_{i=0}^{\infty} \text{gr}_i G = \bigoplus_{i=0}^{\infty} G^{p^i}/G^{p^{i+1}}.$$

Since $G$ is uniform, each graded piece $\text{gr}_i G$ is a finite elementary abelian $p$-group. Moreover by [28, Lemma 4.10], the $p$-power map induces a bijection $\text{gr}_i G \to \text{gr}_{i+1} G$ of abelian $p$-groups, so in fact $\text{gr} G$ is naturally a graded module over the polynomial ring $\mathbb{F}_p[t]$ where $t$ acts by raising elements to their $p$-th powers:

$$t \cdot gG^{p^{i+1}} = g^{p}G^{p^{i+2}}.$$
for all $g \in G^p_i$. This module is free of rank $d$. Since $L_{G^p_i} = p^iL_G$ for all $i \geq 0$, we can use [28, Cor. 4.15] to identify $\text{gr} \ G$ with

$$\text{gr} \ L_G := \bigoplus_{i=0}^{\infty} p^iL_G/p^{i+1}L_G,$$

and therefore $\text{gr} \ G$ carries the structure of a graded $\mathbb{F}_p[t]$-Lie algebra. By tensoring $\text{gr} \ G$ with $k$ over $\mathbb{F}_p$, we obtain the following

**Lemma.** Let $G$ be a uniform pro-$p$ group, let $\mathfrak{h}$ be its associated $R$-Lie algebra, and let $\mathfrak{h}_k = \mathfrak{h}/p\mathfrak{h}$. Then there is a natural isomorphism of graded $k[t]$-Lie algebras

$$\text{gr} \ G \otimes_{\mathbb{F}_p} k \cong \mathfrak{h}_k[t].$$

In particular, $\text{gr} \ G$ is abelian whenever $\mathfrak{h}_k$ is abelian.

**10.3. The $m$-adic filtration on $RG$.** Let $b_i = g_i - 1 \in R[G]$, and write

$$b^\alpha = b_1^{\alpha_1} \cdots b_d^{\alpha_d} \in R[G]$$

for any $d$-tuple $\alpha \in \mathbb{N}^d$. Then it follows from the proof of [28, Th. 7.20] that $RG$ can be naturally identified with the set of noncommutative formal power series in $b_1, \ldots, b_d$ with coefficients in $R$:

$$RG = \left\{ \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha \mid \lambda_\alpha \in R \right\}.$$ 

Let $m = \ker(RG \to k)$ be the unique maximal ideal of $RG$, and let $\deg : RG \to \mathbb{Z} \cup \{\infty\}$ be the degree function corresponding to the $m$-adic filtration on $RG$; thus $\deg(x) = a$ precisely when $x \in m^a \setminus m^{a+1}$. We can now state the fundamental result due to Lazard.

**Theorem.** The group ring $R[G]$ is dense in $RG$, and

$$\deg\left( \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha \right) = \min \left\{ v(\lambda_\alpha) + |\alpha| \mid \alpha \in \mathbb{N}^d \right\}.$$

The degree filtration on $RG$ is complete, and the associated graded ring $\text{gr} \ RG$ is isomorphic to the enveloping algebra of the $k[t]$-Lie algebra $\text{gr} \ G \otimes_{\mathbb{F}_p} k$:

$$\text{gr} \ RG \cong U(\text{gr} \ G \otimes_{\mathbb{F}_p} k).$$

**Proof.** The group ring $R[G]$ is dense in $RG$ because it contains all sums of the form $\sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha$ where only finitely many coefficients are nonzero. The displayed formula for the degree of an element in $RG$ follows from [28, Th. 7.5], and the completeness of the degree filtration on $RG$ follows from the fact that $R$ is $\pi$-adically complete.

Define a function $\omega : G \to \mathbb{Z}^+ \cup \{\infty\}$ by $\omega(g) = i + 1$ if $g \in G^p_i \setminus G^{p+1}$ and $\omega(1) = \infty$. Then $\omega$ is a $p$-valuation on $G$ in the sense of [53, Def. III.2.1.2]
because $p$ is odd, and the associated graded Lie algebra $\text{gr} G$ of $G$ with respect to $\omega$ in the sense of [53, §II.1.1.72] coincides with the Lie algebra $\text{gr} G$ defined above because $[x, y] \equiv x^{-1}y^{-1}xy \mod G^{p^2}$ for any $x, y \in G \setminus G^p$ by [28, Lemma 4.28]. The last assertion of the theorem now follows from [53, Th. III.2.3.3]. □

**Corollary.** $\text{gr} RG$ is a Noetherian domain.

**Proof.** By Lemma 10.2, $\text{gr} G \otimes_{\mathbb{F}_p} k$ is isomorphic to $t\mathfrak{h}_k[t]$. This is a free $k[t]$-module of rank $d$. Now apply the Poincaré-Birkhoff-Witt Theorem. □

10.4. *The microlocalisation of $RG$ at $gr p$.* We can now make the connection between Iwasawa algebras and almost commutative affinoid algebras. Since $\mathfrak{h} := \frac{1}{p} R L G$ is a $R$-Lie algebra that is free of finite rank as an $R$-module, we know from Example 3.4(c) that $U(\mathfrak{h})$ is an almost commutative $R$-algebra. Hence we may form its $p$-adic completion in the manner of Section 3.7:

$$U(\mathfrak{h})_K = \left( \lim_{\rightarrow} U(\mathfrak{h}) / p^r U(\mathfrak{h}) \right) \otimes_R K.$$ 

On the other hand, the set of powers of $gr p$ in $\text{gr} RG$ is multiplicatively closed and consists of homogeneous central elements, and $\text{gr} RG$ is Noetherian by Corollary 10.3, so we can consider the corresponding microlocal Ore set $S$ from Section 2.4:

$$S := \{ x \in RG \mid gr x = (gr p)^a \text{ for some } a \geq 0 \} = \bigcup_{a \geq 0} (p^a + \mathfrak{m}^{a+1}) \subseteq RG.$$ 

**Theorem.** Let $G$ be a uniform pro-$p$ group, and let $\mathfrak{h} = \frac{1}{p} R L G$ be its associated $R$-Lie algebra. Then the microlocalisation of $RG$ at $gr p$ is isomorphic as a complete $\mathbb{Z}$-filtered ring to the almost commutative affinoid $K$-algebra $U(\mathfrak{h})_K$:

$$Q_{gr p}(RG) \cong U(\mathfrak{h})_K.$$ 

**Proof.** Since $p$ is odd, the exponential series $\exp(u)$ converges to a unit in the algebra $A := U(\mathfrak{h})_K$ whenever $u \in L_G \subseteq \mathfrak{h}$. Now the Campbell-Hausdorff formula [28, Th. 6.28] shows that

$$u \ast v := \log(\exp(u) \exp(v))$$

is an element of $L_G$ for all $u, v \in L_G$, and $\psi : u \mapsto \exp(u)$ is an isomorphism from the uniform pro-$p$ group $G$ to the subgroup $\exp(L_G)$ of the group of units of $A$ by the proof of [28, Th. 9.10]. We thus obtain an $R$-algebra homomorphism

$$\psi : R[G] \rightarrow A$$

such that $\psi(u) = \exp(u)$ for all $u \in G$. Let $\{u_1, \ldots, u_d\}$ be the $R$-basis for $\mathfrak{h}$ corresponding to the topological generating set $\{g_1, \ldots, g_d\}$ of $G$. In these
coordinates, the map $\psi$ satisfies

$$
\psi(b^\alpha) = (e^{p\alpha_1} - 1)^{\alpha_1} \cdots (e^{p\alpha_d} - 1)^{\alpha_d} \equiv p^{\|\alpha\| + 1} F_0 A,
$$

where the monomial $u^\alpha = u_1^{\alpha_1} \cdots u_d^{\alpha_d}$ is computed inside the enveloping algebra $U(h) \subseteq A$. Now let $x = \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha \in R[G]$ be a nonzero element, and let $m = \deg(x)$. Then $m = \min \{ v(\lambda_\alpha) + |\alpha| \mid \alpha \in \mathbb{N}^d \}$ by Theorem 10.3, and

$$
\psi(x) \equiv p^m \sum_{v(\lambda_\alpha) = m - |\alpha|} \left( \frac{\lambda_\alpha}{p^{v_p(\lambda_\alpha)}} \right) u^\alpha \mod p^{m+1} F_0 A.
$$

Now the slice $\text{gr}_0 A$ of $A$ is isomorphic to $U(h_k)$ and the images of the monomials $u^\alpha$ in $\text{gr}_0 A$ are $k$-linearly independent by the Poincaré-Birkhoff-Witt Theorem. Hence

$$
\deg(\psi(x)) = \deg(x) \quad \text{for all} \quad x \in R[G]
$$

and the homomorphism $\psi$ is strictly filtered. Since $A$ is complete and since $R[G]$ is dense in $R[G]$ by Theorem 10.3, $\psi$ extends to a strictly filtered ring homomorphism

$$
\psi : R[G] \to A,
$$

which sends $gr p \in gr R[G]$ to $s = gr p \in gr A$. Now $gr A \cong U(h_k)[s, s^{-1}]$ by Lemma 3.1, so $s$ is a homogeneous unit in $gr A$ and hence $\psi$ extends to a strictly filtered ring homomorphism

$$
\psi_K : Q_t(R[G]) \to A
$$

by the universal property of algebraic microlocalisation. Since $\psi_K$ is strictly filtered, it must be injective. Now

$$
gr Q_t(R[G]) \cong (gr R[G])_t
$$

by Lemma 2.4, and the above computation shows that

$$
\text{gr}(\psi_K)(t) = s, \quad \text{and}
$$

$$
\text{gr}(\psi_K)(\text{gr}(b_i)) = su_i \quad \text{for all} \quad i = 1, \ldots, d.
$$

Hence the image of $\text{gr}(\psi_K)$ contains the generators of $gr A$ as an algebra over $gr K \cong k[t, t^{-1}]$, so $gr(\psi_K)$ is surjective. Hence $\psi_K$ is also surjective because $Q_t(R[G])$ and $A$ are complete.

10.5. Remarks.

(a) Theorem 10.4 is essentially due to Lazard since it appears in a different language as [53, §IV.3.2.5] and is proved there for the larger class of $p$-saturated groups. The completed enveloping algebra $\widehat{U(h)}$ is shown to be isomorphic to the ‘saturation’ $\text{Sat}(R[G])$ of the valued group ring $R[G]$.

(b) The algebra $A$ is heavily used in the foundational Chapter 6 of the book [28] under the name $\mathbb{Q}_p[[G]]$. It underpins the entire development of Lie theory for compact $p$-adic analytic groups in that book.
(c) We believe that our way of phrasing Theorem 10.4 is new in the literature. The algebra $A$ appears as the ‘largest’ distribution algebra $D_{1/p}(G, K)$ in the paper [70] by Schneider and Teitelbaum.

(d) One advantage of the viewpoint we give in this paper is that the theory of algebraic microlocalisation tells us which modules are killed by the base change functor associated to the ring homomorphism $RG \to A$: these are precisely the $S$-torsion modules.

10.6. Crossed products. The subgroup $G^{p^n}$ of $G$ is uniform by [28, Ths. 3.6(i), 4.5] and the group $H_n := G/G^{p^n}$ is finite by [28, Prop. 1.16(iii)]. Consider the completed group ring $RG^{p^n}$, and let $m_n$ be its unique maximal ideal.

The group $G$ acts on $RG^{p^n}$ by conjugation. This action preserves the $m_n$-adic filtration and fixes $p$. Hence it preserves the corresponding microlocal set

$$S_n := \bigcup_{a \geq 0} (p^a + m_n^{a+1})$$

in $RG^{p^n}$ and induces an action of $G$ by ring automorphisms on the microlocalisation

$$U_n := \mathcal{Q}_{Gr^p}(RG^{p^n}).$$

We will write this action on the left; thus $x \mapsto gx$ is the automorphism induced by $g \in G$ on $U_n$. We now define a multiplication on $U_n \otimes_{RG^{p^n}} RG$ by setting

$$(x \otimes g)(y \otimes h) = x(y) \otimes gh$$

for $x, y \in U_n$ and $g, h \in G$.

**Proposition.** Let $\mathfrak{h} = \frac{1}{p} RL_G$ be the associated $R$-Lie algebra of $G$.

(a) $U_n \cong U(\mathfrak{h})_{n,K}$ is an almost commutative affinoid $K$-algebra.

(b) $U_n \otimes_{RG^{p^n}} RG$ is a crossed product $U_n * H_n$ of $U(\mathfrak{h})_{n,K}$ with $H_n = G/G^{p^n}$.

(c) The inclusion $RG^{p^n} \hookrightarrow U_n$ extends to a natural inclusion $RG \hookrightarrow U_n * H_n$.

(d) $U_n * H_n$ is a flat right $RG$-module.

(e) If $M$ is a finitely generated $RG$-module, then $(U_n * H_n) \otimes_{RG} M = 0$ if and only if $M$ is $S_n$-torsion.

**Proof.** (a) The $R$-Lie algebra associated with the uniform pro-$p$ group $G^{p^n}$ is clearly $p^n\mathfrak{h}$, so $U_n$ is isomorphic to $U(p^n\mathfrak{h})_K$ by Theorem 10.4. But this is just $U(\mathfrak{h})_{n,K}$ by definition.

(b) and (c) Recall [59, §1.5.8] that a crossed product of a ring $S$ by a group $H$ is an associative ring $S * H$ that contains $S$ as a subring and contains a set of units $\overline{H} = \{ \overline{h} : h \in H \}$, isomorphic as a set to $H$, such that

- $S * H$ is a free right $S$-module with basis $\overline{H}$;
- for all $x, y \in H$, $\overline{x}S = S\overline{x}$ and $\overline{x} \cdot \overline{y}S = \overline{x}\overline{y}S$. 
Such a crossed product determines an action $\sigma : H \to \text{Aut}(S)$ and a twisting $\tau$ by the rules

$$\sigma(x)(s) = x^{-1}s x,$$

$$\tau(x, y) = x^{-1}y \tau(x, y)$$

for all $x, y \in H$ and $s \in S$. Here $\tau(x, y) \in S^\times$ for all $x, y \in H$. It turns out that $\sigma$ defines a group homomorphism $H \to \text{Out}(S)$ and $\tau$ is a 2-cocycle $\tau : H \times H \to S^\times$ for the action of $H$ on $S^\times$ via $\sigma$. Conversely, starting with a ring $S$, a group $H$, a group homomorphism $\sigma : H \to \text{Out}(S)$ and a 2-cocycle $\tau : H \times H \to S^\times$ for the action of $H$ on $S^\times$ via $\sigma$, one can construct an associative ring $S \ast_{\sigma, \tau} H$ that is a crossed product of $S$ by $H$, having the prescribed action and twisting; see [63].

Now $RG$ is a crossed product of $RG^{p^n}$ with $H_n$ defined by some action $\sigma : H_n \to \text{Out}(RG^{p^n})$ and twisting $\tau : H_n \times H_n \to (RG^{p^n})^\times$. Units in $RG^{p^n}$ are units in $U_n$, and ring automorphisms of $RG^{p^n}$ extend to ring automorphisms of $U_n$ because the $m_n$-adic filtration on $RG^{p^n}$ is canonical. Furthermore, inner automorphisms extend to inner automorphisms, so we obtain an action $\sigma' : H_n \to \text{Out}(U_n)$ and a twisting $\tau' : H_n \times H_n \to U_n^\times$ that is still a 2-cocycle. Thus we can form the crossed product $U_n \ast_{\sigma', \tau'} H_n$ that equals $U_n \otimes_{RG^{p^n}} RG$ as a set and a ring homomorphism $RG \to U_n \ast_{\sigma', \tau'} H_n$ that extends the inclusion of $RG^{p^n}$ into $U_n$. It is clear that the multiplication in this crossed product agrees with the one defined above.

(d) For any $RG$-module $M$, there is an isomorphism of left $U_n$-modules:

$$(U_n \ast H_n) \otimes_{RG} M = U_n \otimes_{RG^{p^n}} RG \otimes_{RG} M \cong U_n \otimes_{RG^{p^n}} M.$$

Restriction of modules is exact, and $U_n = Q_{gr}(RG^{p^n})$ is a flat $RG^{p^n}$-module by Lemma 2.4.

(e) This follows from Lemma 2.4 and the displayed isomorphism above.

Remark. It can probably be shown that the crossed product $U_n \ast H_n$ is isomorphic to the distribution algebra $D_{r^n\sqrt[p^n]{1/p}}(G, K)$, but we will not need this isomorphism.

10.7. Re-valuation of $p \in RG$. We now reinterpret the work of Schneider and Teitelbaum [70, §4]. The main idea is to define degree functions

$$\deg_w : RG \to \mathbb{R} \cup \{\infty\}$$

for any real number $w \geq 1$ such that

$$\deg_w(p) = w \quad \text{and} \quad \deg_w(b_i) = 1 \quad \text{for all} \quad i = 1, \ldots, d.$$

DEFINITION. For any real number $w \geq 1$, define $\deg_w : RG \to \mathbb{R} \cup \{\infty\}$ by

$$\deg_w\left(\sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha\right) = \min \left\{w \cdot v(\lambda_\alpha) + |\alpha| \mid \alpha \in \mathbb{N}^d\right\}$$

with the understanding that this minimum value is $\infty$ if all the $\lambda_\alpha$ are zero.
Thus \( \deg_1 \) is the degree function associated to the \( \mathfrak{m} \)-adic filtration on \( RG \).

**Lemma.** For any \( w \geq 1 \), \( \deg_w \) is a degree function in the sense of Section 2.2.

**Proof.** When translated to the language of norms, \( \deg_w \) corresponds to the norm \( || \cdot ||_{p^{-1/w}} \) defined in [70, p. 160]. Then the result follows from [70, Prop. 4.2]. \( \square \)

Morally, as \( w \to \infty \) the element \( p \in RG \) approaches 0, so the filtrations approach the mod \( p \) Iwasawa algebra \( kG := RG/pRG \), equipped with its \( \mathfrak{m} \)-adic filtration.

Let \( \text{gr}_w RG \) be the associated graded ring of \( RG \) with respect to the associated \( R \)-filtration, and let \( X_i = \text{gr}_w b_i \in \text{gr}_1^w RG \) be the principal symbols of the topological generators \( b_i \) of \( RG \). The associated graded ring \( \text{gr}_w R \) of \( R \) with respect to \( \deg_w \) is isomorphic to the polynomial ring \( k[t_w] \) with \( t_w \) in degree \( -w \); see Section 2.2 for our conventions.

**Proposition.**
\begin{enumerate}[(a)]
\item \( \text{gr}_w RG \) is isomorphic to the polynomial ring \( k[t_w, X_1, \ldots, X_d] \) as \( k[t_w] \)-modules.
\item If \( w > 1 \), then this is an isomorphism of graded rings.
\end{enumerate}

**Proof.** Apply [70, Lemma 4.3] and the remarks immediately before this lemma. \( \square \)

10.8. The restriction of \( \deg_{p^n} \) to \( RG^{p^n} \). Recall that \( \{g_1, \ldots, g_d\} \) is a minimal topological generating set for the uniform pro-\( p \) group \( G \).

By [28, Th. 3.6(iii)], \( \{g_1^{p^n}, \ldots, g_d^{p^n}\} \) is a minimal topological generating set for the open uniform subgroup \( G^{p^n} \) of \( G \), so
\[
RG^{p^n} = \left\{ \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b_\alpha^n \mid \lambda_\alpha \in R \right\},
\]
where \( b_\alpha^n := (g_1^{p^n} - 1)^{\alpha_1} \cdots (g_d^{p^n} - 1)^{\alpha_d} \). We can now calculate the restriction of the filtration \( \deg_{p^n} \) on \( RG \) to its subalgebra \( RG^{p^n} \). The next result is essentially [66, Prop. 6.2], but we give a proof for the convenience of the reader.

**Proposition.** Let \( \mathfrak{m}_n \) be the maximal ideal of \( RG^{p^n} \). If \( x \in \mathfrak{m}_n^a \mathfrak{m}_n^{a+1} \) for some integer \( a \geq 0 \), then \( \deg_{p^n}(x) = p^n a \).

**Proof.** The polynomial \( (1 + X)^{p^n} - (1 + X^{p^n}) \) is divisible by \( p \) and has no constant term. Therefore,
\[
(1 + b_i)^{p^n} = 1 + b_i^{p^n} \quad \text{mod } p \mathfrak{m}_0
\]
for all \( i = 1, \ldots, d \). Since \( \deg_{p^n}(\mathfrak{m}_0) \geq 1 \) and \( \deg_{p^n}(p) = p^n \) by definition, we see that
\[
g_i^{p^n} - 1 = b_i^{p^n} + \varepsilon_i
\]
for some $\varepsilon_i \in RG$ with $\deg_{p^n}(\varepsilon_i) > p^n$. It follows that
\[ b_n^\alpha = (g_1^{\alpha_1} - 1)^{\alpha_1} \cdots (g_d^{\alpha_d} - 1)^{\alpha_d} = b_1^{\alpha_1} \cdots b_d^{\alpha_d} + \varepsilon_\alpha = b^{p^n\alpha} + \varepsilon_\alpha \]
for some $\varepsilon_\alpha \in RG$ with $\deg_{p^n}(\varepsilon_\alpha) > p^n|\alpha|$. Thus,
\[ \deg_{p^n}(m_j^\alpha) \geq p^n j \quad \text{for all} \quad j \geq 0. \]
Now as $x \in m_n^a \setminus m_n^{a+1}$, we can write
\[ x = \sum_{\alpha \in T} \lambda_\alpha b_n^\alpha \mod m_n^{a+1} \]
for some nonempty set $T$ of indices $\alpha$ satisfying $v(\lambda_\alpha) = a - |\alpha|$ for all $\alpha \in T$. Because $\deg_{p^n}(m_n^{a+1}) \geq p^n(a+1) > p^n a$,
\[ x = \sum_{\alpha \in T} \lambda_\alpha b^{p^n\alpha} + x' \]
for some $x'$ with $\deg_{p^n}(x') > p^n a$. Since $v(\lambda_\alpha) = a - |\alpha|$ for all $\alpha \in T$, we see that
\[ \deg_{p^n} \left( \sum_{\alpha \in T} \lambda_\alpha b^{p^n\alpha} \right) = \min \left\{ p^n v(\lambda_\alpha) + p^n |\alpha| \mid \alpha \in T \right\} = p^n a \]
by the definition of $\deg_{p^n}$. Hence $\deg_{p^n}(x) = p^n a$, as required. \hfill \Box

Let $S(w)$ be the microlocal Ore set in $RG$ associated to the $\deg_w$ filtration and the powers of $t_w$ in $gr^w RG$:
\[ S(w) = \{ x \in RG \mid gr^w(x) = t_w^a \quad \text{for some} \quad a \geq 0 \}, \]
and recall the microlocal Ore set $S_n \subseteq RG^{p^n}$ from Section 10.6.

**Corollary.** (a) The restriction of the $\deg_{p^n}$ filtration to $RG^{p^n}$ is a re-scaling of the $m_n$-adic filtration on $RG^{p^n}$.
(b) The image of $gr^{p^n} RG^{p^n}$ inside $gr^{p^n} RG$ is precisely $k[t^{p^n}][X_1^{p^n}, \ldots, X_d^{p^n}]$,
with all generators in degree $p^n$.
(c) For any $n \geq 0$, $S_n$ is contained in $S(p^n)$.

**Proof.** The first two statements are clear. Let $p^n + x \in S_n$ for some $a \geq 0$ and $x \in m_n^{a+1}$. Then
\[ \deg_{p^n}(x) \geq p^n(a+1) > p^n a \]
by Proposition 10.8, so $p^n + x \in S(p^n)$. \hfill \Box

10.9. The filtration on $kG$. Write $\pi$ for the image of $x \in RG$ in the completed group ring $kG := RG/pRG$. We will abuse notation and write $\overline{b}^\alpha = b^{p^n}$, so that $kG$ is in bijection with the set of noncommutative formal power series in $b_1, \ldots, b_d$ with coefficients in $k$:
\[ kG = \left\{ \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^{p^n \alpha} \mid \lambda_\alpha \in k \right\}. \]
Let us define \( \overline{\text{deg}} : kG \to \mathbb{R} \cup \{ \infty \} \) as follows:
\[
\overline{\text{deg}} \left( \sum_{\alpha \in \mathbb{N}^d} \mu_\alpha b^\alpha \right) = \min \{ |\alpha| | \mu_\alpha \neq 0 \}.
\]
Let \( \mathfrak{m} = \ker(kG \to k) \) be the maximal ideal of \( kG \); then clearly
\[
\overline{\text{deg}}(x) = \begin{cases} 
\alpha & \text{if } x \in \mathfrak{m}^\alpha \backslash \mathfrak{m}^{\alpha+1}, \\
\infty & \text{if } x = 0,
\end{cases}
\]
so \( \overline{\text{deg}} \) is the usual degree function associated with the \( \mathfrak{m} \)-adic filtration on \( kG \).

The degree functions \( \overline{\text{deg}}_w \) on \( RG \) and \( \overline{\text{deg}} \) on \( kG \) are related as follows.

**Lemma.** Let \( x \in RG \) be such that \( \overline{x} \neq 0 \). Then
(a) \( \overline{\text{deg}}(\overline{x}) \geq \overline{\text{deg}}_w(x) \) for any \( w \geq 1 \).
(b) If \( y \in RG \) is such that \( \overline{y} = \overline{x} \) and if \( w \geq \overline{\text{deg}}(\overline{x}) \), then
\[
\overline{\text{deg}}_w(y) = \overline{\text{deg}}(\overline{x}).
\]

**Proof.** (a) Write \( x = \sum_{\alpha \in \mathbb{N}^d} \lambda_\alpha b^\alpha \) for some \( \lambda_\alpha \in R \). Since \( \overline{x} \) is nonzero, \( \overline{\text{deg}}(\overline{x}) = |\beta| \) for some \( \beta \in \mathbb{N}^d \) such that \( v(\lambda_\beta) = 0 \). Then
\[
\overline{\text{deg}}(\overline{x}) = |\beta| \geq \min \{ w \cdot v(\lambda_\alpha) + |\alpha| | \alpha \in \mathbb{N}^d \} = \overline{\text{deg}}_w(x).
\]
(b) Let \( \alpha \) be such that \( |\alpha| < |\beta| \). By definition of \( \overline{\text{deg}} \), \( p \) divides \( \lambda_\alpha \), and the coefficient \( \mu_\alpha \) of \( b^\alpha \) in \( y \) differs from \( \lambda_\alpha \) by a multiple of \( p \). Since \( w \geq \overline{\text{deg}}(\overline{x}) = |\beta| \) by assumption,
\[
w \cdot v(\mu_\alpha) + |\alpha| \geq w \geq |\beta|
\]
for any such \( \alpha \). On the other hand,
\[
w \cdot v(\mu_\alpha) + |\alpha| \geq |\beta|
\]
is trivially true whenever \( |\alpha| \geq |\beta| \), so
\[
\overline{\text{deg}}_w(y) = \min \{ w \cdot v(\mu_\alpha) + |\alpha| \} \geq |\beta| = \overline{\text{deg}}(\overline{x}).
\]
But we showed in (a) that \( \overline{\text{deg}}(\overline{x}) = \overline{\text{deg}}(\overline{y}) \geq \overline{\text{deg}}_w(y) \).

10.10. **Good generating sets.** Since the \( \mathfrak{m} \)-adic filtration on \( kG \) is complete and the associated graded ring is Noetherian, it is well known that the Rees ring
\[
\kappa G = \bigoplus_{j \in \mathbb{Z}} \mathfrak{m}^j t^{-j} \subset kG[t, t^{-1}]
\]
is Noetherian (where as always \( \mathfrak{m}^j = kG \) if \( j \leq 0 \)).

Let \( J \) be a left ideal of \( kG \). Then the Rees ideal
\[
\overline{J} = \bigoplus_{j \in \mathbb{Z}} (J \cap \mathfrak{m}^j) t^{-j} < \kappa G
\]
is finitely generated over $\widehat{kG}$. Let $z_1 t^{-d_1}, \ldots, z_\ell t^{-d_\ell}$ be a homogeneous generating set for $\bar{J}$ for some $z_i \in J$ with $\overline{\deg}(z_i) = d_i$; then $\{ z_1, \ldots, z_\ell \}$ is a good generating set for $J$: 

$$J \cap m^n = \sum_{i=1}^{\ell} m^{n-d_i} z_i \quad \text{for all} \quad n \in \mathbb{Z}.$$ 

We record this as a lemma.

**Lemma.** Let $x \in J$. Then there exist $r_i \in kG$ such that $x = \sum_{i=1}^{\ell} r_i z_i$ and 

$$\overline{\deg}(r_i) \geq \overline{\deg}(x) - d_i$$

for all $i = 1, \ldots, \ell$.

Here is the faithful flatness result of Schneider and Teitelbaum from the point of view of noncommutative algebra.

**10.11. Theorem.** Let $J$ be a left ideal of $RG$ such that $RG/J$ is $p$-torsion-free. Then there exists $w_0 > 1$, depending only on $J$, such that $\text{gr}^w(RG/J)$ is $t_w$-torsion-free for all $w \geq w_0$.

**Proof.** Suppose that $t_w \cdot X \in \text{gr}^w J$ for some homogeneous element $X \in \text{gr}^w RG$; we will show if $w$ is large enough, then we can find $x' \in J$ such that $X = \text{gr}^w x'$, which implies that $X \in \text{gr}^w J$.

Let $\{ z_1, \ldots, z_\ell \}$ be a good generating set for the left ideal $\mathcal{J}$ of $kG$, as in Section 10.10. Let $d_i = \overline{\deg}(z_i)$, and define 

$$w_0 := \max\{ d_1, \ldots, d_\ell \}.$$ 

We fix lifts $a_i \in J$ for these generators and note that if $w \geq w_0$, then 

$$\deg_w(a_i) = d_i \quad \text{for all} \quad i = 1, \ldots, \ell$$

by Lemma 10.9(b). Choose some $x \in RG$, possibly not in $J$, such that $\text{gr}^w x = X$. Since $\text{gr}^w p \cdot \text{gr}^w x \in \text{gr}^w J$, 

$$px + z \in J$$

for some $z \in RG$ with $\deg_w(z) > \deg_w(px)$. So $\overline{\pi} \in \mathcal{J}$, and by Lemma 10.10 we can find $r_1, \ldots, r_\ell \in kG$ such that $\overline{\pi} = \sum_{i=1}^{\ell} r_i z_i$ and 

$$\overline{\deg}(r_i) \geq \overline{\deg}(\pi) - d_i \quad \text{for all} \quad i = 1, \ldots, \ell.$$ 

Choose lifts $s_i \in RG$ of $r_i \in kG$ satisfying $\deg_w(s_i) = \overline{\deg}(r_i)$. Then 

$$z = \sum_{i=1}^{\ell} s_i a_i + py.$$
for some \( y \in RG \), and

\[
\deg_w \left( \sum_{i=1}^{\ell} s_i a_i \right) \geq \min \{ \deg_w (s_i) + \deg_w (a_i) \} \\
= \min \{ \deg (r_i) + d_i \} \geq \deg (z) \geq \deg_w (z)
\]

by Lemma 10.9(a). Hence,

\[
\deg_w (py) = \deg_w \left( z - \sum_{i=1}^{\ell} s_i a_i \right) \geq \deg_w (z) > \deg_w (px).
\]

Since \( t_w \) is not a zero-divisor in \( gr^w RG \), we deduce that

\[
\deg_w (y) > \deg_w (x).
\]

Since each \( a_i \) lies in \( J \),

\[
px + py = px + z - \sum_{i=1}^{\ell} s_i a_i \in J.
\]

But \( RG/J \) is \( p \)-torsion-free, so \( x' := x + y \in J \); since \( \deg_w (y) > \deg_w (x) \), we deduce that \( X = gr^w x = gr^w x' \in gr^w J \).

**Corollary:** Let \( M \) be a finitely generated \( p \)-torsion-free \( RG \)-module. Then there exists \( n_0 \in \mathbb{N} \) such that \( M \) is \( S_n \)-torsion-free for all \( n \geq n_0 \).

**Proof.** Let \( KG = K \otimes_R RG \). It is enough to prove that the \( KG \)-module \( M_K = K \otimes_R M \) is \( S_n \)-torsion-free for all \( n \) sufficiently large. We can find a finite composition series for \( M_K \) consisting of \( KG \)-submodules such that each composition factor is cyclic; then \( M_K \) is \( S_n \)-torsion-free provided all the composition factors are \( S_n \)-torsion-free. Thus we may reduce to the case where \( M \) is a cyclic \( RG \)-module, \( M \cong RG/J \), say.

By Theorem 10.11, there exists \( w_0 > 1 \) such that \( gr^w (RG/J) \) is \( t_w \)-torsion-free whenever \( w \geq w_0 \). Hence \( RG/J \) is \( S(w) \)-torsion-free if \( w \geq w_0 \) by Lemma 2.4.

Choose \( n_0 \) such that \( p^{n_0} > w_0 \), and let \( n \geq n_0 \). Then \( p^n \geq w_0 \) and \( S_n \subseteq S(p^n) \) by Corollary 10.8(c), so \( M \) is \( S_n \)-torsion-free. \( \square \)

**10.12. The congruence kernels.** We now make the following additional assumption on our uniform pro-\( p \) group \( G \) in order to connect it to the rest of the paper. There is an algebraic group \( G \) satisfying the conditions of Section 6.7 such that

- the Lie algebra \( g \) of \( G \) and the Lie algebra \( L_G \) of \( G \) satisfy \( p^{m+1} g = R \otimes_{\mathbb{Z}_p} L_G \) for some integer \( m \geq 0 \),
- \( p \) is a very good prime for \( G \) in the sense of Section 6.8.
Thus $p^m g$ is the $R$-Lie algebra $\frac{1}{p} RL_G$ associated to the uniform pro-$p$ group $G$ in the sense of Section 10.2. In the case when $R = Z_p$, it follows from the discussion in [72, §7] that the so-called $(m+1)$-st congruence kernel

$$G = \ker(G(Z_p) \to G(Z_p/p^{m+1}Z_p))$$

of the group of $Z_p$-points $G(Z_p)$ satisfies these conditions. We now combine the earlier results of this paper in order to obtain some information about the representation theory of the central localisation

$$KG := K \otimes_R RG = K \otimes_R R[[G]]$$

of the completed group ring $R[[G]]$. Equivalently, we study the category of $p$-torsion-free $RG$-modules. Perhaps our methods are applicable to a slightly wider class of compact $p$-adic analytic groups, but it may help the reader to keep these congruence kernels in mind.

10.13. Modules over $KG$. Note that $RG$ is an $R$-lattice in $KG$ and the slice $gr_K KG \cong kG$ is a complete $\mathbb{Z}$-filtered ring when equipped with its $m$-adic filtration; see Section 10.9. Thus $KG$ is itself a complete doubly filtered $K$-algebra with $\text{Gr}(KG) = \text{gr} kG \cong k[x_1, \ldots, x_d]$ and the theory of Sections 3.1–3.3 applies, although it is not an almost commutative affinoid $K$-algebra because the filtration on its slice is negative.

**Lemma.** $KG$ is Auslander-Gorenstein with $\text{inj.dim} KG = \dim G$. Let $M$ be a finitely generated $KG$-module. Then $d(M) = \dim \text{Ch}(M)$ and $d(M) = 0$ if and only if $M$ is finite-dimensional over $K$.

**Proof.** The first part is originally due to Otmar Venjakob [79, Th. 3.29] but also follows from Theorem 3.3. Since $KG$ always has the trivial module $K$ that is one-dimensional over $K$, the second part follows from Proposition 9.1. □

We can now put all the pieces together and prove the main result of our paper. Recall the integer $r$ defined in Section 9.9 and the algebras $U_n = Q_{gr_p}(RG^{\mathcal{O}})$ defined in Section 10.6, and note that in our current notation,

$$U_n \cong \underbrace{U(g)_{n+m,K}}$$

by Theorem 10.4.

**Theorem.** Let $M$ be a finitely generated $KG$-module that is infinite-dimensional over $K$. Then $d(M) \geq r$.

**Proof.** Let $j = j(M)$; then the $KG$-module $N := \text{Ext}^j_{KG}(M, KG)$ is finitely generated and nonzero. Pick any finitely generated $RG$-submodule and $R$-lattice $F_0 N$ in $N$. By Corollary 10.11, $N$ is $S_n$-torsion-free for some integer $n$, which we may as well assume to be positive. Let $B = U_n \ast H_0$; then $B \otimes_{KG} N = B \otimes_{RG} F_0 N$ is nonzero by Proposition 10.6(e). Now $B$ is
a flat $RG$-module by Proposition 10.6(d), so $B$ is also a flat $KG$-module and
\( \text{inj.dim}KG = \text{inj.dim}B \) by [3, Lemma 5.4], Proposition 9.1 and the lemma, so we may apply Proposition 2.6 to deduce
\[
d_{KG}(M) = d_B(B \otimes KG M).
\]
Since $M' := B \otimes KG M$ is a finitely generated $B$-module and $B$ is a finitely generated $U_0$-module, $M'$ is a finitely generated $U_0$-module. Finally, $d_B(M') = d_{KG}(M) \geq 1$ by the lemma because $M$ is infinite-dimensional over $K$, and $d_B(M') = d_{U_0}(M')$ by [3, Lemma 5.4]. Hence we may apply Theorem 9.10 to deduce that $d_{KG}(M) = d_{U_0}(M') \geq r$. 

We can now prove Theorem A from the introduction.

Proof of Theorem A. Suppose that $K$, $G$ and $M$ are as in the statement of Theorem A. By restricting from $KG$ to $\mathbb{Q}_pG$ and applying Lemma 2.6 we may assume that $K = \mathbb{Q}_p$. Since the Lie algebra of $G$ is split semisimple, we can find an open uniform subgroup $H$ of $G$ that satisfies the assumptions of Section 10.12. Choose an open normal subgroup $N$ of $G$ contained in $H$; then $d_{KG}(M) = d_{KN}(M) = d_{KH}(M)$ by [4, Lemma 5.4], and the result follows from the theorem above. 

11. Finite-dimensional $KG$-modules

In this section we study finite-dimensional $KG$-modules. The results and proof techniques in Sections 11.1–11.3 are similar to those for distribution algebras found in Prasad’s appendix to [68]. It is not clear to us how to deduce our results directly from those found there.

11.1. Lie modules and Artin modules. We continue with the notation of Section 10.12, but we drop the restriction on $p$.

Definition. We let $\mathcal{M}$ denote the category of $KG$-modules that are finite-dimensional over $K$, and all $KG$-module homomorphisms. We let $\mathcal{L}$ denote the full subcategory of $\mathcal{M}$ consisting modules obtained from finite-dimensional $U_0$-modules by restriction; we tentatively call objects in $\mathcal{L}$ Lie modules. We say that $V \in \mathcal{M}$ is an Artin module if some open subgroup of $G$ acts trivially on $V$, and we let $\mathcal{A}$ denote the full subcategory consisting of Artin modules.

We will denote an Artin module $V$ by the corresponding representation $\rho : G \to GL(V)$. Note that if $V$ is an abstract $K[G]$-module such that some open normal subgroup $U$ of $G$ acts trivially, then $V$ is automatically an Artin module because the action of $K[G]$ on $V$ factors through $K[G/U]$ and the completed group ring $KG$ surjects onto $K[G/U]$. We will use this observation without further mention in what follows.
**Proposition.** Let $M \in \mathcal{M}$, and suppose that $M$ is $S_n$-torsion-free. Then the natural map
\[
\eta_M : M \longrightarrow (U_n \ast H_n) \otimes_{KG} M
\]
is an isomorphism of $KG$-modules.

**Proof.** Suppose first that $n = 0$, and write $S = S_0$. Choose a finitely generated $RG$-submodule and $R$-lattice $N$ in $M$, and choose a good filtration $F_\bullet N$ on $N$ for the $m$-adic filtration on $RG$. Then $U_0 \otimes_{KG} M = Q_{grp}(RG) \otimes_{RG} N$ is the microlocalisation $Q_{grp}(N)$ of $N$ at $grp$, which in turn is isomorphic to the completion of $N_S := (RG)_S \otimes_{RG} N$ with respect to a certain filtration $F_\bullet(N_S)$ on this $RG_S$-module; see Section 2.4. The filtration $F_\bullet(N_S)$ is good, and the filtration on $(RG)_S$ is Zariskian by Lemma 2.4, so $F_\bullet N_S$ is separated by [56, Cor. I.5.5].

Let $L = F_0(N_S)$; then because $p^i \in F_{-i}(RG)_S$ for all $i$, we see that $F_i(N_S) = p^{-i}L$ for all $i$. Since $F_\bullet N_S$ is separated, $L$ is an $R$-lattice in $N_S$ and $Q_{grp}(N)$ is the completion of $N_S$ with respect to this lattice.

Now because $p \in S$, the partial localisation $M = N_K$ of $N$ is contained in $N_S$. Let $s \in S$. Since $M = N_K$ is $S$-torsion-free by assumption, $s$ acts injectively on $M$. Because $M$ is finite-dimensional over $K$, the action of $s$ is actually surjective, and therefore by the universal property of localisation, the natural map $M \rightarrow N_S$ is an isomorphism. So $N_S$ is finite-dimensional over $K$, and hence $L$ is finitely generated over $R$ by Proposition 2.7. But finitely generated $R$-modules are already $p$-adically complete, so the natural map $N_S \rightarrow Q_{grp}(N)$ is an isomorphism.

Returning to the general case, let $M_n = M$ denote the restriction of $M$ to $KG^{p^n}$. Then there is a commutative diagram of $KG^{p^n}$-modules
\[
\begin{array}{ccc}
M & \xrightarrow{\eta_M} & (U_n \ast H_n) \otimes_{KG} M \\
\downarrow & & \downarrow \\
M_n & \longrightarrow & U_n \otimes_{KG^{p^n}} M_n
\end{array}
\]
where the left column is the identity map and the right column is the isomorphism $(U_n \ast H_n) \otimes_{KG} M = (U_n \otimes_{KG^{p^n}} KG) \otimes_{KG} M \xrightarrow{\cong} U_n \otimes_{KG^{p^n}} M_n$ given by the definition of the crossed product $U_n \ast H_n$. Since the bottom row is a bijection by the case $n = 0$ applied to the $KG^{p^n}$-module $M_n$, $\eta_M$ is a bijection, and the result follows. □

**Theorem.** (a) The category $\mathcal{M}$ is semisimple: every submodule $W$ of $V \in \mathcal{M}$ has a complement.

(b) $U_0 \otimes_{KG} -$ is an equivalence of categories between $\mathcal{L}$ and the category of finite-dimensional $U(\mathfrak{g}_K)$-modules.
Proof. (a) By Corollary 10.11, $V$ is $S_n$-torsion-free for some $n$. Let us identify $V$ with $(\mathcal{U}_n * H_n) \otimes_{KG} V$ using the proposition; then $V$ is a finite-dimensional $\mathcal{U}_n * H_n$-module and $W$ is a $\mathcal{U}_n * H_n$-submodule. By Corollary 9.2, we can find a $\mathcal{U}_n$-linear projection $\sigma$ from $V$ onto $W$. Since we are working over a field of characteristic zero, the average $\sigma' := \frac{1}{|H_n|} \sum_{h \in H_n} \overline{h} \sigma h^{-1}$ of the $H_n$-conjugates of $\sigma$ is a $\mathcal{U}_n * H_n$-linear projection of $V$ onto $W$; see [63, Lemma 1.1] for more details. Now ker $\sigma'$ is a $KG$-stable complement to $W$ in $V$.

(b) Let $\mathcal{C}$ denote the category of finite-dimensional $\mathcal{U}_0$-modules. The restriction functor $R = \text{Hom}_{KG}(\mathcal{U}_0, -)$ is right adjoint to the base-change functor $L = \mathcal{U}_0 \otimes_{KG} -$ and sends $\mathcal{C}$ to $\mathcal{L}$ by definition. If $V = RW \in \mathcal{L}$, then $S_0$ acts invertibly on $V$ because $S_0$ consists of units in $\mathcal{U}_0$. Therefore $V$ is $S_0$-torsion-free and the counit of the adjunction $\eta_V : V \to RLV$ is an isomorphism by the proposition, which implies that $L$ sends $\mathcal{L}$ to $\mathcal{C}$. For $W \in \mathcal{C}$, the unit of the adjunction $\varepsilon_W : LRW \to W$ satisfies $R(\varepsilon_W) \circ \eta_{RW} = 1_{RW}$ by the unit-counit equation. So $R(\varepsilon_W)$ is an isomorphism because $\eta_{RW}$ is an isomorphism. Therefore $\varepsilon_W$ is bijective and hence an isomorphism, so $L : \mathcal{L} \to \mathcal{C}$ is an equivalence of categories. But we already know from Corollary 9.2 that $\mathcal{C}$ is equivalent to the category of finite-dimensional $U(g_K)$-modules via restriction along the inclusion $U(g_K) \hookrightarrow \mathcal{U}_0$. □

**Corollary.** Let $V \in \mathcal{L}$ be simple. Then $\text{End}_{KG}(V) = K$.

**Proof.** Apply part (b) of the theorem and [27, Prop. 7.1.4(iv)]. □

We will see shortly that $\mathcal{M}$ is built from $\mathcal{L}$ and $\mathcal{A}$ in a very precise way: in fact, $\mathcal{M}$ is the tensor product of $\mathcal{L}$ and $\mathcal{A}$ in the sense of [25, §5].

11.2. **A factorization theorem.** Recall that a module $V$ is said to be *isotypic* if $V \cong W^s$ for some simple module $W$ and some $s > 0$.

**Lemma.** Let $M \in \mathcal{M}$ be a simple module that is $S_n$-torsion-free. Then $M' := (\mathcal{U}_n * H_n) \otimes_{KG} M$ is an isotypic $\mathcal{U}_n$-module.

**Proof.** The group $G$ acts by conjugation on the algebra $\mathcal{U}_n$, and this action fixes the Harish-Chandra centre $Z_n := \widehat{U(g)}_{n+m,K}^G$ of $\mathcal{U}_n = \widehat{U(g)}_{n+m,K}$ because this conjugation action is induced by the adjoint representation of $G$ on $g_K$. Let $W$ be a nonzero simple $\mathcal{U}_n$-submodule of $M'$, and let $g \in G$; then $gW$ is another simple $\mathcal{U}_n$-submodule with the same action of $Z_n$. But up to isomorphism, there is only one simple finite-dimensional $\mathcal{U}_n$-module with this action of $Z_n$, so $gW \cong W$ as a $\mathcal{U}_n$-module.

Let $N$ be the image of $(\mathcal{U}_n * H_n) \otimes_{\mathcal{U}_n} W$ in $M'$. This is a nonzero $KG$-submodule of $M'$ by construction. But $M'$ is a simple $KG$-module by Proposition 11.1, so $N = M'$. Now $N$ is a finite sum of modules of the form $gW$.
as a $U_n$-module; since finite-dimensional $U_n$-modules are semisimple by Corollary 9.2, it follows that $M' = N$ is an isotypic $U_n$-module.

**Theorem.** Let $M$ be a simple finite-dimensional $KG$-module. Then $M \cong V \otimes \rho$ for some simple $V \in \mathcal{L}$ and some simple $\rho \in \mathcal{A}$.

**Proof.** Using Corollary 10.11, choose $n$ such that $M$ is $S_n$-torsion-free; then $M' := (U_n \ast H_n) \otimes_{KG} M$ is an isotypic $U_n$-module by the lemma, so $M' \cong W^t$ for some simple, finite-dimensional $U_n$-module $W$. By Corollary 9.2, we may assume that $W$ is the restriction to $U_n$ of a simple finite-dimensional $U_0$-module. Let $V = RW$ be the corresponding object in $\mathcal{L}$; note that $V$ is simple by Theorem 11.1(b). Consider the vector space

$$\rho := \text{Hom}_{KG^p}(V, M).$$

Because $V$ and $M$ are finite-dimensional over $K$, $\rho$ is also finite-dimensional over $K$. Moreover the inclusion $W \hookrightarrow M'$ gives by restriction to $KG^p$ a nonzero element of $\rho$ so $\rho \neq 0$. The rule

$$(g.f)(v) = gf(g^{-1}v), \quad g \in G, v \in V, f \in \rho$$

defines an action of $G$ on $\rho$, which by definition is trivial on $G^p$; thus $\rho \in \mathcal{A}$ is an Artin representation of $G$. Now $KG$ acts diagonally on the tensor product $V \otimes \rho$, and there is a natural $KG$-module map

$$\theta : V \otimes \rho \rightarrow M$$

given by evaluation: $\theta(v \otimes f) = f(v)$. The map $\theta$ is nonzero because $\rho \neq 0$; since $M$ is simple, it follows that $\theta$ is surjective. But $\dim_K M = \dim_K M' = t \dim_K W$ by Proposition 11.1, and

$$\dim_K \rho = \dim_K \text{Hom}_{KG^p}(W, W^t) = t \dim_K \text{Hom}_{KG^p}(W, W) = t$$

by Corollary 11.1 applied to the group $G^p$. Hence $\dim_K V \otimes \rho = t \dim_K W$ also and $\theta$ is an isomorphism. Finally, if $\rho'$ is a nonzero submodule of $\rho$, then $V \otimes \rho'$ is a nonzero submodule of $V \otimes \rho$. Because $V \otimes \rho \cong M$ is simple, this submodule must be the whole of $V \otimes \rho$ and a dimension count shows that $\rho' = \rho$. \qed

11.3. **Uniqueness of factorization.**

**Lemma.** Let $\rho$ be an Artin representation that is trivial on $G^p$, and let $V \in \mathcal{L}$ be simple. Then the natural map

$$\psi : \rho \rightarrow \text{Hom}_{KG^p}(V, V \otimes \rho)$$

given by $\psi(x)(v) = v \otimes x$ is an isomorphism of $KG$-modules.
Proof. Since $G^p$ is normal in $G$, the group $G$ acts on $\text{Hom}_{KG^p}(V, V \otimes \rho)$ via $(g, f)(v) = g.f(g^{-1}v)$. The action of $G^p$ is trivial, so $\text{Hom}_{KG^p}(V, V \otimes \rho)$ is an Artin representation of $G$.

It is straightforward to verify that $\psi$ is an injective $KG$-module homomorphism. Because $\rho$ is trivial on $G^p$, the restriction of $V \otimes \rho$ to $KG^p$ is a direct sum of $\dim_K \rho$ copies of the restriction of $V$, so

$$\dim_K \text{Hom}_{KG^p}(V, V \otimes \rho) = \dim_K \rho \cdot \dim_K \text{End}_{KG^p}(V).$$

It now follows from Theorem 11.1(b) that $V$ is still simple as a $KG^p$-module, so $\text{End}_{KG^p}(V) = K$ by Corollary 11.1. Hence $\rho$ is an isomorphism. □

We can now give a partial classification of simple finite-dimensional $KG$-modules for compact $p$-adic analytic groups $G$ satisfying the hypotheses of Section 10.12.

**Theorem.** Let $V \in \mathcal{L}$ and $\rho \in \mathcal{A}$ be simple.

(a) The module $V \otimes \rho \in \mathcal{M}$ is simple.

(b) If $V \otimes \rho \cong V' \otimes \rho'$ for some simple $V' \in \mathcal{L}$ and $\rho' \in \mathcal{A}$, then $V \cong V'$ and $\rho \cong \rho'$.

**Proof.** (a) By the proof of [5, Lemma 4.4(c)], there is a $K$-linear isomorphism

$$\text{Hom}_{KG}(V \otimes \rho, V \otimes \rho) \cong \text{Hom}_{KG}(V, V \otimes \rho \otimes \rho^*),$$

where $\rho^*$ denotes the Artin representation dual to $\rho$. But

$$\text{Hom}_{KG}(V, V \otimes \rho \otimes \rho^*) = (\text{Hom}_{KG^p}(V, V \otimes \rho \otimes \rho^*))^G \cong (\rho \otimes \rho^*)^G \cong \text{Hom}_{KG}(\rho, \rho)$$

by the lemma. So $\dim_K \text{End}_{KG}(V \otimes \rho) = \dim_K \text{End}_{KG}(\rho)$. Now there is a natural ring homomorphism

$$\text{End}_{KG}(\rho) \to \text{End}_{KG}(V \otimes \rho)$$

given by $f \mapsto 1_V \otimes f$. It is easy to see that this map is injective, so it must be an isomorphism by considering dimensions. Hence $\text{End}_{KG}(V \otimes \rho)$ is a division ring by Schur’s Lemma.

On the other hand, the category $\mathcal{M}$ is semisimple by Theorem 11.1(a), so $V \otimes \rho = V_1^{n_1} \oplus \cdots \oplus V_t^{n_t}$ for some simple $V_i \in \mathcal{M}$. Therefore,

$$\text{End}_{KG}(V \otimes \rho) \cong M_{n_1}(D_1) \oplus \cdots \oplus M_{n_t}(D_t)$$

is a direct sum of matrix algebras over division rings $D_i = \text{End}_{KG}(V_i)$. Since $\text{End}_{KG}(V \otimes \rho)$ is itself a division ring, this can only happen if $r = 1$ and $n_1 = 1$. Hence $V \otimes \rho = V_1$ is simple.

(b) Choose $n$ large enough so that $\rho$ and $\rho'$ are trivial on $G^p$; then the restriction of $V \otimes \rho$ to $KG^p$ is isomorphic to both $V^{\dim_K \rho}$ and $(V')^{\dim_K \rho'}$. 

Theorem 11.1(b) now implies that \( V \cong V' \) in \( \mathcal{L} \), and therefore
\[
\rho = \text{Hom}_{KG^{p\alpha}}(V, V \otimes \rho) \cong \text{Hom}_{KG^{p\alpha}}(V', V' \otimes \rho') \cong \rho'
\]
as \( KG \)-modules by the lemma. \( \square \)

Combining Theorem 11.1(a), Theorem 11.2 and Theorem 11.3 gives the following

**Corollary.** (a) There is a bijection between the isomorphism classes of simple objects in \( \mathcal{M} \) and pairs \(([V], [\rho])\) of isomorphism classes of simple objects \( V \in \mathcal{L} \) and \( \rho \in \mathcal{A} \).
(b) There is an isomorphism of Grothendieck groups
\[
K_0(\mathcal{M}) \cong K_0(\mathcal{L}) \otimes_{Z} K_0(\mathcal{A})
\]

11.4. The Grothendieck group of Artin representations. We finish this paper by giving a description of the Grothendieck group of the category \( \mathcal{A} \) of Artin \( K \)-representations of an arbitrary pro-\( p \) group \( G \). We still assume that \( K \) is a complete discrete valuation field of characteristic zero and uniformizer \( p \).

Let \( \mu_{p^\infty} \) be the infinite totally ramified field extension of \( K \) obtained by adjoining the set \( \mu_{p^\infty} \) of all \( p \)-power roots of unity to \( K \), and let \( \Gamma = \text{Gal}(K(\mu_{p^\infty})/K) \).

We fix an isomorphism \( \mathbb{Q}_p/\mathbb{Z}_p \to \mu_{p^\infty} \), which induces an isomorphism \( \text{Aut}(\mu_{p^\infty}) \to \mathbb{Z}_p^\times \). Since \( K \) is unramified, the action of \( \Gamma \) on \( \mu_{p^\infty} \) is faithful and gives rise to the cyclotomic character \( \chi : \Gamma \to \mathbb{Z}_p^\times \) given explicitly by \( \sigma(\lambda) = \lambda^{\chi(\sigma)} \) for all \( \sigma \in \Gamma \) and \( \lambda \in \mu_{p^\infty} \).

Imitating [73, §12.4], we define a continuous permutation action of \( \Gamma \) on our pro-\( p \) group \( G \) by the similar rule
\[
\sigma.g = g^{\chi(\sigma)} \quad \text{for all } \sigma \in \Gamma \text{ and } g \in G.
\]

If \( X \) is a compact totally disconnected topological space, let \( C^\infty(X, K) \) denote the \( K \)-algebra of locally constant \( K \)-valued functions on \( X \). Any continuous action of \( \Gamma \) on \( X \) induces an action of \( \Gamma \) on \( C^\infty(X, K) \) by the rule
\[
(\sigma.f)(x) = f(\sigma^{-1}.x) \quad \text{for all } \sigma \in \Gamma, f \in C^\infty(X, K), x \in X.
\]

Now let \( \rho : G \to V \) be an Artin \( K \)-representation of \( G \). Then by definition, ker \( \rho \) is an open normal subgroup of \( G \), so \( \rho(G) \) is a finite \( p \)-subgroup of \( \text{GL}(V) \).

Let \( \chi_\rho : G \to K \) be the character of \( \rho \), defined in the usual way by
\[
\chi_\rho(g) = \text{tr} \rho(g) \quad \text{for all } g \in G.
\]

This function is locally constant, being constant on the cosets of ker \( \rho \), so \( \chi_\rho \in C^\infty(G, K) \). It is also constant on conjugacy classes of \( G \), so \( \chi_\rho \in C^\infty(G, K)^G \),
where we let $G$ act on itself by conjugation. If $g \in G$ and $\omega_i$ are the eigenvalues of $\rho(g)$, then $\omega_i^{\chi(\sigma)}$ are the eigenvalues of $\rho(\sigma.g)$ for any $\sigma \in \Gamma$. This shows that

$$\chi_{\rho}(\sigma.g) = \chi_{\rho}(g)$$

for all $\sigma \in \Gamma$ and $g \in G$.

Thus $\chi_{\rho}$ is a $\Gamma$-invariant, locally constant, class function on $G$:

$$\chi_{\rho} \in C^\infty(G, K)^{G \times \Gamma}.$$  

**Proposition.** Let $G$ be a pro-$p$ group, and let $\mathcal{A}$ be its category of $K$-linear Artin representations. Then there is a natural $K$-algebra isomorphism

$$\chi : K \otimes_\mathbb{Z} K_0(\mathcal{A}) \rightarrow C^\infty(G, K)^{G \times \Gamma}$$

given by $\chi(\lambda \otimes [\rho]) = \lambda \chi_{\rho}$.

**Proof.** Let $\mathcal{U}$ denote the set of open normal subgroups of $G$, and for each $U \in \mathcal{U}$, let $G_0(K[G/U])$ denote the Grothendieck group of the category of all finitely generated (hence finite-dimensional) $K[G/U]$ modules. For each pair $U, W \in \mathcal{U}$ such that $U \supseteq W$, there is a natural commutative diagram

$$\begin{array}{ccc}
K \otimes_\mathbb{Z} G_0(K[G/U]) & \xrightarrow{\chi} & C^\infty(G/U, K)^{G \times \Gamma} \\
\downarrow & & \downarrow \\
K \otimes_\mathbb{Z} G_0(K[G/W]) & \xrightarrow{\chi} & C^\infty(G/W, K)^{G \times \Gamma} \\
\downarrow & & \downarrow \\
K \otimes_\mathbb{Z} K_0(\mathcal{A}) & \xrightarrow{\chi} & C^\infty(G, K)^{G \times \Gamma},
\end{array}$$

where the vertical maps in the left-hand column are obtained by inflation and those in the right-hand column are obtained by pull-back of functions. Now $\mathcal{A}$ is the filtered limit of the categories of finite-dimensional $K[G/U]$-modules with respect to the inflation functors as $U$ runs over $\mathcal{U}$, so

$$K \otimes_\mathbb{Z} K_0(\mathcal{A}) \cong \lim_{\longrightarrow} K \otimes_\mathbb{Z} G_0(K[G/U])$$

by [80, Lemma II.6.2.7]. Since each locally constant function on $G$ must be constant on the cosets of at least one open normal subgroup $U$, we also have

$$C^\infty(G, K)^{G \times \Gamma} \cong \lim_{\longrightarrow} C^\infty(G/U, K)^{G \times \Gamma}.$$  

Because the top two rows in the diagram are isomorphisms by [73, Ch. 12, Th. 25], the bottom row must therefore also be an isomorphism. Finally, direct sum and tensor product give $K_0(\mathcal{A})$ the structure of a commutative ring, it is straightforward to check that $\chi$ is additive and multiplicative. $\square$

We finally remark that in the case when $G$ is a uniform pro-$p$ group, Kirillov’s orbit method provides an explicit bijection between $G$-orbits in the Pontryagin dual of the Lie algebra $L_G$ and isomorphism classes of irreducible
complex Artin representations of $G$. This bijection is directly compatible with the above isomorphism $\chi$. See [47] and [20] for more details.

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