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Abstract

We prove that the essential dimension of the spinor group $\mathbf{Spin}_n$ grows exponentially with n and use this result to show that quadratic forms with trivial discriminant and Hasse-Witt invariant are more complex, in high dimensions, than previously expected.

1. Introduction

Let K be a field of characteristic different from 2 containing a square root of -1, $\mathrm{W}(K)$ be the Witt ring of K and $I(K)$ be the ideal of classes of even-dimensional forms in $\mathrm{W}(K)$; cf. [Lam73]. By abuse of notation, we will write $q \in I^a(K)$ if the Witt class of the nondegenerate quadratic form q defined over K lies in $I^a(K)$. It is well known that every $q \in I^a(K)$ can be expressed as a sum of the Witt classes of a-fold Pfister forms defined over K; see, e.g., [Lam73, Prop. II.1.2]. If $\dim(q) = n$, it is natural to ask how many Pfister forms are needed. When $a = 1$ or 2, it is easy to see that n Pfister forms always suffice; see Proposition 4-1. In this paper we will prove the following result, which shows that the situation is quite different when $a = 3$.

THEOREM 1-1. *Let k be a field of characteristic different from* 2 *and $n \geq 2$ be an even integer. Then there is a field extension K/k and an n-dimensional quadratic form $q \in I^3(K)$ with the following property: for any finite field extension L/K of odd degree q_L is not Witt equivalent to the sum of fewer than*

$$\frac{2^{(n+4)/4} - n - 2}{7}$$

3-*fold Pfister forms over L.*

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Our proof of Theorem 1-1 is based on new results on the essential dimension of the spinor groups $\mathbf{Spin}_n$ proven in Section 3 which are of independent interest. In particular, Theorem 3-3 gives new lower bounds on the essential dimension of $\mathbf{Spin}_n$ and, in many cases, computes the exact value.

2. Essential dimension

Let k be a field. We will write Fields_k for the category of field extensions K/k. Let $F\colon \mathrm{Fields}_k \to \mathrm{Sets}$ be a covariant functor.

Let L/k be a field extension. We will say that $a \in F(L)$ *descends* to an intermediate field $k \subseteq K \subseteq L$ if a is in the image of the induced map $F(K) \to F(L)$.

The *essential dimension* $\mathrm{ed}(a)$ of $a \in F(L)$ is the minimum of the transcendence degrees $\mathrm{tr\,deg}_k\, K$ taken over all fields $k \subseteq K \subseteq L$ such that a descends to K.

The essential dimension $\mathrm{ed}(a; p)$ of a at a prime integer p is the minimum of $\mathrm{ed}(a_{L'})$ taken over all finite field extensions L'/L such that the degree $[L' : L]$ is prime to p.

The essential dimension $\mathrm{ed}\, F$ of the functor F (respectively, the essential dimension $\mathrm{ed}(F; p)$ of F at a prime p) is the supremum of $\mathrm{ed}(a)$ (respectively, of $\mathrm{ed}(a; p)$) taken over all $a \in F(L)$ with L in Fields_k.

Of particular interest to us will be the Galois cohomology functors, F_G given by $K \rightsquigarrow \mathrm{H}^1(K, G)$, where G is an algebraic group over k. Here, as usual, $\mathrm{H}^1(K, G)$ denotes the set of isomorphism classes of G-torsors over $\mathrm{Spec}(K)$, in the fppf topology. The essential dimension of this functor is a numerical invariant of G, which, roughly speaking, measures the complexity of G-torsors over fields. We write $\mathrm{ed}\, G$ for $\mathrm{ed}\ F_G$ and $\mathrm{ed}(G; p)$ for $\mathrm{ed}(F_G; p)$. Essential dimension was originally introduced in this context; see [BR97], [Rei00], [RY00]. The above definition of essential dimension for a general functor F is due to A. Merkurjev; see [BF03].

Recall that an action of an algebraic group G on an algebraic k-variety X is called "generically free" if X has a dense open subset U such that $\mathrm{Stab}_G(x) = \{1\}$ for every $x \in U(\overline{k})$.

LEMMA 2-1. *If an algebraic group G defined over k has a generically free linear k-representation V then* $\mathrm{ed}(G) \le \dim(V) - \dim(G)$.

Proof. See [Rei00, Th. 3.4] or [BF03, Lemma 4.11]. □

LEMMA 2-2. *If G is an algebraic group and H is a closed subgroup of codimension e, then*

(a) $\mathrm{ed}(G) \ge \mathrm{ed}(H) - e$, *and*

(b) $\mathrm{ed}(G; p) \ge \mathrm{ed}(H; p) - e$ *for any prime integer p.*

Proof. Part (a) is Theorem 6.19 of [BF03]. Both (a) and (b) follow directly from [Bro07, Princ. 2.10]. □

If G is a finite abstract group, we will write $\mathrm{ed}_k\, G$ (respectively, $\mathrm{ed}_k(G;p)$) for the essential dimension (respectively, for the essential dimension at p) of the constant group scheme G_k over the field k. Let $\mathrm{C}(G)$ denote the center of G.

THEOREM 2-3. *Let G be a finite p-group whose commutator* $[G,G]$ *is central and cyclic. Then* $\mathrm{ed}_k(G;p) = \mathrm{ed}_k\, G = \sqrt{|G/\mathrm{C}(G)|} + \mathrm{rank}\ \mathrm{C}(G) - 1$ *for any base field k of characteristic $\neq p$ containing a primitive root of unity of degree equal to the exponent of G.*

Note that with the above hypotheses, $|G/\mathrm{C}(G)|$ is a complete square. Theorem 2-3 was originally proved in [BRV07] as a consequence of our study of essential dimension of gerbes banded by $\boldsymbol{\mu}_{p^n}$. Karpenko and Merkurjev [KM08] have subsequently refined our arguments to show that the essential dimension of any finite p-group over any field k containing a primitive p^{th} root of unity is the minimal dimension of a faithful linear k-representation of G. Theorem 2-3 is deduced from their result in [MR, Th. 14(b)].

3. Essential dimension of Spin groups

As usual, we will write $\langle a_1, \ldots, a_n \rangle$ for the quadratic form q of rank n given by $q(x_1, \ldots, x_n) = \sum_{i=1}^n a_i x_i^2$. Let

$$h = \langle 1, -1 \rangle \tag{3-1}$$

denote the 2-dimensional hyperbolic quadratic form over k. For each $n \geq 0$ we define the n-dimensional split form q_n^{split} over k as follows:

$$q_n^{\text{split}} = \begin{cases} h^{\oplus n/2}, & \text{if } n \text{ is even,} \\ h^{\oplus (n-1/2)} \oplus \langle 1 \rangle, & \text{if } n \text{ is odd.} \end{cases}$$

Let $\mathbf{Spin}_n \stackrel{\text{def}}{=} \mathbf{Spin}(q_n^{\text{split}})$ be the split form of the spin group. We will also denote the split forms of the orthogonal and special orthogonal groups by $\mathbf{O}_n \stackrel{\text{def}}{=} \mathbf{O}(q_n^{\text{split}})$ and $\mathbf{SO}_n \stackrel{\text{def}}{=} \mathbf{SO}(q_n^{\text{split}})$ respectively.

M. Rost [Ros99] computed the following values of $\mathrm{ed}(\mathbf{Spin}_n)$ for $n \leq 14$:

$$\begin{array}{llll} \mathrm{ed}\,\mathbf{Spin}_3 = 0 & \mathrm{ed}\,\mathbf{Spin}_4 = 0 & \mathrm{ed}\,\mathbf{Spin}_5 = 0 & \mathrm{ed}\,\mathbf{Spin}_6 = 0 \\ \mathrm{ed}\,\mathbf{Spin}_7 = 4 & \mathrm{ed}\,\mathbf{Spin}_8 = 5 & \mathrm{ed}\,\mathbf{Spin}_9 = 5 & \mathrm{ed}\,\mathbf{Spin}_{10} = 4 \\ \mathrm{ed}\,\mathbf{Spin}_{11} = 5 & \mathrm{ed}\,\mathbf{Spin}_{12} = 6 & \mathrm{ed}\,\mathbf{Spin}_{13} = 6 & \mathrm{ed}\,\mathbf{Spin}_{14} = 7. \end{array}$$

For a detailed exposition of these results; see [Gar09]. V. Chernousov and J.-P. Serre proved the following lower bounds in [CS06]:

$$\mathrm{ed}(\mathbf{Spin}_n; 2) \geq \begin{cases} \lfloor n/2 \rfloor + 1 & \text{if } n \geq 7 \text{ and } n \equiv 1, 0 \text{ or } -1 \pmod 8 \\ \lfloor n/2 \rfloor & \text{for all other } n \geq 11. \end{cases} \tag{3-2}$$

(The first line is due to B. Youssin and the second author in the case that char $k = 0$ [RY00].)

The main result of this section, Theorem 3-3 below, shows, in particular, that $\mathrm{ed}(\mathbf{Spin}_n)$ and $\mathrm{ed}(\mathbf{Spin}_n; 2)$ grow exponentially with n.

THEOREM 3-3. (a) *Let k be a field of characteristic $\neq 2$ and $n \geq 15$ be an integer.*

$$\mathrm{ed}(\mathbf{Spin}_n; 2) \geq \begin{cases} 2^{(n-1)/2} - \frac{n(n-1)}{2}, \text{ if } n \text{ is odd}, \\ 2^{(n-2)/2} - \frac{n(n-1)}{2}, \text{ if } n \equiv 2 \pmod 4, \\ 2^{(n-2)/2} - \frac{n(n-1)}{2} + 1, \text{ if } n \equiv 0 \pmod 4. \end{cases}$$

(b) *Moreover, if* char$(k) = 0$ *then*

$$\mathrm{ed}(\mathbf{Spin}_n) = \mathrm{ed}(\mathbf{Spin}_n; 2) = 2^{(n-1)/2} - \tfrac{n(n-1)}{2}, \text{ if } n \text{ is odd},$$

$$\mathrm{ed}(\mathbf{Spin}_n) = \mathrm{ed}(\mathbf{Spin}_n; 2) = 2^{(n-2)/2} - \tfrac{n(n-1)}{2}, \text{ if } n \equiv 2 \pmod 4, \text{ and}$$

$$\mathrm{ed}(\mathbf{Spin}_n; 2) \leq \mathrm{ed}(\mathbf{Spin}_n) \leq 2^{(n-2)/2} - \tfrac{n(n-1)}{2} + n, \text{ if } n \equiv 0 \pmod 4.$$

Note that while the proof of part (a) below goes through for any $n \geq 3$, our lower bounds become negative (and thus vacuous) for $n \leq 14$.

Proof. (a) Since replacing k by a larger field k' can only decrease the value of $\mathrm{ed}(\mathbf{Spin}_n; 2)$, we may assume without loss of generality that $\sqrt{-1} \in k$. The n-dimensional split quadratic form q_n^{split} is then k-isomorphic to

$$q(x_1, \dots, x_n) = -(x_1^2 + \cdots + x_n^2) \tag{3-4}$$

over k and hence, we can write $\mathbf{Spin}_n$ as $\mathbf{Spin}(q)$, $\mathbf{O}_n$ as $\mathbf{O}_n(q)$ and $\mathbf{SO}_n$ as $\mathbf{SO}_n(q)$.

Let $\Gamma_n \subseteq \mathbf{SO}_n$ be the subgroup consisting of diagonal matrices. This subgroup is isomorphic to $\boldsymbol{\mu}_2^{n-1}$. Let G_n be the inverse image of Γ_n in $\mathbf{Spin}_n$; this is a constant group scheme over k. By Lemma 2-2(b)

$$\mathrm{ed}(\mathbf{Spin}_n; 2) \geq \mathrm{ed}(G_n; 2) - \frac{n(n-1)}{2}.$$

Thus in order to prove the lower bounds of part (a), it suffices to show that

$$\mathrm{ed}(G_n; 2) = \mathrm{ed}(G_n) = \begin{cases} 2^{(n-1)/2}, \text{ if } n \text{ is odd}, \\ 2^{(n-2)/2}, \text{ if } n \equiv 2 \pmod 4, \\ 2^{(n-2)/2} + 1, \text{ if } n \text{ is divisible by } 4. \end{cases} \tag{3-5}$$

The structure of the finite 2-group G_n is well understood; see, e.g., [Woo89]. Recall that the Clifford algebra A_n of the quadratic form q, as in (3-4) is the algebra given by generators $e_1, \dots, e_n$, and relations $e_i^2 = -1$, $e_i e_j + e_j e_i = 0$ for all $i \neq j$. For any $I = \{i_1, \dots, i_r\} \subseteq \{1, \dots, n\}$ with $i_1 < i_2 < \cdots < i_r$ set $e_I \stackrel{\mathrm{def}}{=} e_{i_1} \dots e_{i_r}$. Here

$e_\varnothing = 1$. The group G_n consists of the elements of A_n of the form $\pm e_I$, where the cardinality $r = |I|$ of I is even. The element -1 is central, and the commutator $[e_I, e_J]$ is given by $[e_I, e_J] = (-1)^{|I \cap J|}$. It is clear from this description that G_n is a 2-group of order 2^n, the commutator subgroup $[G_n, G_n] = \{\pm 1\}$ is cyclic, and the center $\mathrm{C}(G)$ is as follows:

$$\mathrm{C}(G_n) = \begin{cases} \{\pm 1\} \simeq \mathbb{Z}/2\mathbb{Z}, \text{ if } n \text{ is odd,} \\ \{\pm 1, \pm e_{\{1,\dots,n\}}\} \simeq \mathbb{Z}/4\mathbb{Z}, \text{ if } n \equiv 2 \pmod 4, \\ \{\pm 1, \pm e_{\{1,\dots,n\}}\} \simeq \mathbb{Z}/2\mathbb{Z} \times \mathbb{Z}/2\mathbb{Z}, \text{ if } n \text{ is divisible by 4.} \end{cases}$$

Formula (3-5) now follows from Theorem 2-3.

(b) Clearly $\mathrm{ed}(\mathbf{Spin}_n; 2) \le \mathrm{ed}(\mathbf{Spin}_n)$. Hence, we only need to show that for $n \ge 15$,

$$\text{(3-6)} \qquad \mathrm{ed}(\mathbf{Spin}_n) \le \begin{cases} 2^{(n-1)/2} - \frac{n(n-1)}{2}, \text{ if } n \text{ is odd,} \\ 2^{(n-2)/2} - \frac{n(n-1)}{2}, \text{ if } n \equiv 2 \pmod 4, \\ 2^{(n-2)/2} - \frac{n(n-1)}{2} + n, \text{ if } n \equiv 0 \pmod 4. \end{cases}$$

In view of Lemma 2-1 it suffices to show that $\mathbf{Spin}_n$ has a generically free linear representation V of dimension

$$\dim(V) = \begin{cases} 2^{(n-1)/2}, \text{ if } n \text{ is odd,} \\ 2^{(n-2)/2}, \text{ if } n \equiv 2 \pmod 4, \\ 2^{(n-2)/2} + n \text{ if } n \equiv 0 \pmod 4. \end{cases}$$

In the case where n is not divisible by 4 such a representation is given by the following lemma.

LEMMA 3-7 (cf. [PV94, Th. 7.11]). *If $n \ge 15$ then, over a field of characteristic* 0, *the following representations of* $\mathbf{Spin}_n$ *of characteristic* 0 *are generically free*:

(i) *the spin representation, of dimension* $2^{(n-1)/2}$, *if n is odd*,

(ii) *either of the two half-spin representation, of dimension* $2^{(n-2)/2}$, *if* $n \equiv 2$ (mod 4).

Proof. For $n \ge 29$ this follows directly from [AP71, Th. 1]. For n between 15 and 27 this is proved in [Pop85]. □

In the case where $n \ge 16$ is divisible by 4, we define V as the sum of the half-spin representation W of $\mathbf{Spin}_n$ and the natural representation k^n of $\mathbf{SO}_n$, which we will view as a $\mathbf{Spin}_n$-representation via the projection $\mathbf{Spin}_n \to \mathbf{SO}_n$. It remains to check that $V = W \times k^n$ is a generically free representation of $\mathbf{Spin}_n$. Indeed, for $a \in k^n$ in general position, $\mathrm{Stab}(a)$ is conjugate to $\mathbf{Spin}_{n-1}$ (embedded in $\mathbf{Spin}_n$ in the standard way). Thus it suffices to show that the restriction of W to $\mathbf{Spin}_{n-1}$

is generically free. Since W restricted to $\mathbf{Spin}_{n-1}$ is the spin representation of $\mathbf{Spin}_{n-1}$ (see, e.g., [Ada96, Prop. 4.4]), and $n \geq 16$, this follows from Lemma 3-7(i). This completes the proof of Theorem 3-3. □

Remark 3-8. The characteristic 0 assumption in part (b) is used only in the proof of Lemma 3-7. It seems likely that Lemma 3-7 (and thus Theorem 3-3(b)) remain true if $\operatorname{char}(k) = p > 2$ but we have not checked this.

If $\operatorname{char}(k) \neq 2$ and $\sqrt{-1} \in k$, we have the weaker (but asymptotically equivalent) upper bound $\operatorname{ed}(\mathbf{Spin}_n) \leq \operatorname{ed}(G_n)$, where $\operatorname{ed}(G_n)$ is given by (3-5). This is a consequence of the fact that every $\mathbf{Spin}_n$-torsor admits reduction of structure to G_n, i.e., the natural map $\mathrm{H}^1(K, G_n) \to \mathrm{H}^1(K, \mathbf{Spin}_n)$ is surjective for every field K/k; cf. [BF03, Lemma 1.9].

Remark 3-9. A. S. Merkurjev [Mer09, Ex. 4.9] recently strengthened our lower bound on $\operatorname{ed}(\mathbf{Spin}_n; 2)$, in the case where $n \equiv 0 \pmod 4$ as follows:

$$\operatorname{ed}(\mathbf{Spin}_n; 2) \geq 2^{(n-2)/2} - \frac{n(n-1)}{2} + 2^m,$$

where 2^m is the highest power of 2 dividing n. If $n \geq 16$ is a power of 2 and $\operatorname{char}(k) = 0$ this, in combination with the upper bound of Theorem 3-3(b), yields

$$\operatorname{ed}(\mathbf{Spin}_n; 2) = \operatorname{ed}(\mathbf{Spin}_n) = 2^{(n-2)/2} - \frac{n(n-1)}{2} + n.$$

In particular, $\operatorname{ed}(\mathbf{Spin}_{16}) = 24$. The first value of n for which $\operatorname{ed}(\mathbf{Spin}_n)$ is not known is $n = 20$, where $326 \leq \operatorname{ed}(\mathbf{Spin}_{20}) \leq 342$.

Remark 3-10. The same argument can be applied to the half-spin groups yielding

$$\operatorname{ed}(\mathbf{HSpin}_n; 2) = \operatorname{ed}(\mathbf{HSpin}_n) = 2^{(n-2)/2} - \frac{n(n-1)}{2}$$

for any integer $n \geq 20$ divisible by 4 over any field of characteristic 0. Here, as in Theorem 3-3, the lower bound

$$\operatorname{ed}(\mathbf{HSpin}_n; 2) \geq 2^{(n-2)/2} - \frac{n(n-1)}{2}$$

is valid for over any base field k of characteristic $\neq 2$. The assumptions that $\operatorname{char}(k) = 0$ and $n \geq 20$ ensure that the half-spin representation of $\mathbf{HSpin}_n$ is generically free; see [PV94, Th. 7.11].

Remark 3-11. Theorem 3-3 implies that for large n, $\mathbf{Spin}_n$ is an example of a split, semisimple, connected linear algebraic group whose essential dimension exceeds its dimension. Previously no examples of this kind were known, even for $k = \mathbb{C}$.

Note that no complex connected semisimple adjoint group G can have this property. Indeed, let $\mathfrak{g}$ be the adjoint representation of G on its Lie algebra. If G

is an adjoint group then $V = \mathfrak{g} \times \mathfrak{g}$ is generically free; see, e.g., [Ric88, Lemma 3.3(b)]. Thus $\operatorname{ed} G \le \dim(G)$ by Lemma 2-1.

In particular, taking $H = \mathrm{Spin}_n$ for large n and $Z =$ the center of H, we obtain infinitely many examples of split, semisimple, connected linear algebraic groups H and central subgroups $Z \subset H$ such that $\operatorname{ed} H > \operatorname{ed} H/Z$. To the best of our knowledge, no such examples were previously known.

4. **Pfister numbers**

Let K be a field of characteristic not equal to 2 and $a \ge 1$ be an integer. We will continue to denote the Witt ring of K by $W(K)$ and its fundamental ideal by $I(K)$. If nonsingular quadratic forms q and q' over K are Witt equivalent, we will write $q \sim q'$.

As we mentioned in the introduction, the a-fold Pfister forms generate $I^a(K)$ as an abelian group. In other words, every $q \in I^a(K)$ is Witt equivalent to $\sum_{i=1}^r \pm p_i$, where each p_i is an a-fold Pfister form over K. We now define the *a-Pfister number* of q to be the smallest possible number r of Pfister forms appearing in any such sum. The *(a,n)-Pfister number* $\mathrm{Pf}_k(a,n)$ is the supremum of the a-Pfister number of q, taken over all field extensions K/k and all n-dimensional forms $q \in I^a(K)$.

PROPOSITION 4-1. *Let k be a field of characteristic $\neq 2$ and let n be a positive even integer. Then* (a) $\mathrm{Pf}_k(1,n) \le n$ *and* (b) $\mathrm{Pf}_k(2,n) \le n-2$.

Proof. (a) Immediate from the identity

$$\langle a_1, a_2\rangle \sim \langle 1, a_1\rangle - \langle 1, -a_2\rangle = \langle\langle -a_1\rangle\rangle - \langle\langle a_2\rangle\rangle$$

in the Witt ring.

(b) Let $q = \langle a_1, \dots, a_n\rangle$ be an n-dimensional quadratic form over K. Recall that $q \in I^2(K)$ iff n is even and $d_\pm(q) = 1$, modulo $(K^*)^2$ [Lam73, Cor. II.2.2]. Here $d_\pm(q)$ is the signed discriminant given by $(-1)^{n(n-1)/2} d(q)$ where $d(q) = \prod_{i=1}^n a_n$ is the discriminant of q; cf. [Lam73, p. 38].

To explain how to write q in terms of $n-2$ Pfister forms, we will temporarily assume that $\sqrt{-1} \in K$. In this case, without loss of generality, $a_1 \dots a_n = 1$. Since $\langle a, a\rangle$ is hyperbolic for every $a \in K^*$, we see that $q = \langle a_1, \dots, a_n\rangle$ is Witt equivalent to

$$\langle\langle a_2, a_1 \rangle\rangle \oplus \langle\langle a_3, a_1 a_2 \rangle\rangle \oplus \dots \oplus \langle\langle a_{n-1}, a_1 \dots a_{n-2} \rangle\rangle .$$

By inserting appropriate powers of -1, we can modify this formula so that it remains valid even if we do not assume that $\sqrt{-1} \in K$, as follows:

$$q = \langle a_1, \dots, a_n\rangle \sim \sum_{i=2}^{n} (-1)^i \langle\langle (-1)^{i+1} a_i, (-1)^{i(i-1)/2+1} a_1 \dots a_{i-1} \rangle\rangle . \quad \square$$

Remark 4-2. In response to an earlier version of this paper R. Parimala, V. Suresh and J.-P. Tignol [PST09] recently showed that both inequalities in Proposition 4-1 are sharp.

We do not have an explicit upper bound on $\mathrm{Pf}_k(3,n)$; however, we do know that $\mathrm{Pf}_k(3,n)$ is finite for any k and any n. To explain this, let us recall that $I^3(K)$ is the set of all classes $q \in \mathrm{W}(K)$ such that q has even dimension, trivial signed discriminant and trivial Hasse-Witt invariant [KMRT98]. The following result was suggested to us by Merkurjev and Totaro.

PROPOSITION 4-3. *Let k be a field of characteristic different from* 2. *Then* $\mathrm{Pf}_k(3,n)$ *is finite.*

Sketch of proof. Let E be a versal torsor for $\mathbf{Spin}_n$ over a field extension L/k; cf. [GMS03, §I.V]. Let q_L be the quadratic form over L corresponding to E under the map $\mathrm{H}^1(L,\mathbf{Spin}_n) \to \mathrm{H}^1(L,\mathbf{O}_n)$. The 3-Pfister number of q_L is then an upper bound for the 3-Pfister number of any n-dimensional form in I^3 over any field extension K/k. □

Remark 4-4. For $a > 3$ the finiteness of $\mathrm{Pf}_k(a,n)$ is an open problem.

5. Proof of Theorem 1-1

The goal of this section is to prove Theorem 1-1 stated in the introduction, which says, in particular, that

$$\mathrm{Pf}_k(3,n) \geq \frac{2^{(n+4)/4} - n - 2}{7}$$

for any field k of characteristic different from 2 and any positive even integer n. Clearly, replacing k by a larger field k' strengthens the assertion of Theorem 1-1. Thus, we may assume without loss of generality that $\sqrt{-1} \in k$. This assumption will be in force for the remainder of this section.

For each extension K of k, denote by $\mathrm{T}_n(K)$ the image of $\mathrm{H}^1(K,\mathbf{Spin}_n)$ in $\mathrm{H}^1(K,\mathbf{SO}_n)$. We will view T_n as a functor $\mathrm{Fields}_k \to \mathrm{Sets}$. Note that $\mathrm{T}_n(K)$ is the set of isomorphism classes of n-dimensional quadratic forms $q \in I^3(K)$.

LEMMA 5-1. *We have the following inequalities*:

(a) $\operatorname{ed}\mathbf{Spin}_n - 1 \leq \operatorname{ed}\mathrm{T}_n \leq \operatorname{ed}\mathbf{Spin}_n$,

(b) $\operatorname{ed}(\mathbf{Spin}_n;2) - 1 \leq \operatorname{ed}(\mathrm{T}_n;2) \leq \operatorname{ed}(\mathbf{Spin}_n;2)$.

Proof. In the language of [BF03, Def. 1.12], we have a fibration of functors

$$\mathrm{H}^1(*,\boldsymbol{\mu}_2) \rightsquigarrow \mathrm{H}^1(*,\mathbf{Spin}_n) \longrightarrow \mathrm{T}_n(*).$$

The first inequality in part (a) follows from [BF03, Prop. 1.13] and the second from Proposition [BF03, Lemma 1.9]. The same argument proves part (b). □

Let K/k be a field extension. Let $h_K = \langle 1, -1 \rangle$ be the 2-dimensional hyperbolic form over K; cf. (3-1). For each n-dimensional quadratic form $q \in I^3(K)$, let $\mathrm{ed}_n(q)$ denote the essential dimension of the class of q in $\mathrm{T}_n(K)$.

LEMMA 5-2. *Let q be an n-dimensional quadratic form in $I^3(K)$. Then*

$$\mathrm{ed}_{n+2s}(h_K^{\oplus s} \oplus q) \geq \mathrm{ed}_n(q) - \frac{s(s+2n-1)}{2}$$

for any integer $s \geq 0$.

Proof. Set $m \stackrel{\text{def}}{=} \mathrm{ed}_{n+2s}(h_K^{\oplus s} \oplus q)$. By definition, $h_K^{\oplus s} \oplus q$ descends to an intermediate subfield $k \subset F \subset K$ such that $\operatorname{tr}\deg_k(F) = m$. In other words, there is an $(n+2s)$-dimensional quadratic form $\widetilde{q} \in I^3(F)$ such that $\widetilde{q}_K$ is K-isomorphic to $h_K^{\oplus s} \oplus q$. Let X be the Grassmannian of s-dimensional subspaces of F^{n+2s} which are totally isotropic with respect to $\widetilde{q}$. The dimension of X over F is $s(s+2n-1)/2$.

The variety X has a rational point over K; hence there exists an intermediate extension $F \subseteq E \subseteq K$ such that $\operatorname{tr}\deg_F E \leq s(s+2n-1)/2$, with the property that $\widetilde{q}_E$ has a totally isotropic subspace of dimension s. Then $\widetilde{q}_E$ splits as $h_E^s \oplus q'$, where $q' \in I^3(E)$. By Witt's Cancellation Theorem, q'_K is K-isomorphic to q; hence

$$\mathrm{ed}_n(q) \leq \operatorname{tr}\deg_k E = \operatorname{tr}\deg_k F + \operatorname{tr}\deg_F E = m + s(s+2n-1)/2\,,$$

as claimed. □

We now proceed with the proof of Theorem 1-1. For $n \leq 10$ the statement of the theorem is vacuous, because $2^{(n+4)/4} - n - 2 \leq 0$. Thus we will assume from now on that $n \geq 12$.

Lemma 5-1 implies, in particular, that $\mathrm{ed}(\mathrm{T}_n; 2)$ is finite. Hence, there exist a field K/k and an n-dimensional form $q \in I^3(K)$ such that $\mathrm{ed}_n(q; 2) = \mathrm{ed}(\mathrm{T}_n; 2)$. We will show that this form has the properties asserted by Theorem 1-1. In fact, it suffices to prove that if q is Witt equivalent to

$$\sum_{i=1}^{r} \langle\langle a_i, b_i, c_i \rangle\rangle$$

over K then $r \geq \dfrac{2^{(n+4)/4} - n - 2}{7}$. Indeed, by our choice of q, $\mathrm{ed}_n(q_L; 2) = \mathrm{ed}(\mathrm{T}_n; 2)$ for any finite odd degree extension L/K. Thus if we can prove the above inequality for q, it will also be valid for q_L.

Let us write a 3-fold Pfister form $\langle\langle a, b, c \rangle\rangle$ as $\langle 1 \rangle \oplus \langle\langle a, b, c \rangle\rangle_0$, where

$$\langle\langle a, b, c \rangle\rangle_0 \stackrel{\text{def}}{=} \langle a_i, b_i, c_i, a_i b_i, a_i c_i, b_i c_i, a_i b_i c_i \rangle.$$

Set

$$\phi \stackrel{\text{def}}{=} \begin{cases} \sum_{1=1}^{r} \ll a_i, b_i, c_i \gg_0, \text{ if } r \text{ is even, and} \\ \langle 1 \rangle \oplus \sum_{1=1}^{r} \ll a_i, b_i, c_i \gg_0, \text{ if } r \text{ is odd.} \end{cases}$$

Then q is Witt equivalent to ϕ over K; in particular, $\phi \in I^3(K)$. The dimension of ϕ is $7r$ or $7r+1$, depending on the parity of r.

We claim that $n < 7r$. Indeed, assume the contrary. Then $\dim(q) \le \dim(\phi)$, so that q is isomorphic to a form of type $h_K^s \oplus \phi$ over K. Thus

$$\frac{3n}{7} \ge 3r \ge \mathrm{ed}_n(q) \ge \mathrm{ed}(q;2) = \mathrm{ed}(\mathrm{T}_n;2) \overset{\text{by Lemma 5-1}}{\ge} \mathrm{ed}(\mathbf{Spin}_n;2) - 1\,.$$

The resulting inequality fails for every even $n \ge 12$ because for such n

$$\mathrm{ed}(\mathbf{Spin}_n;2) \ge n/2;$$

see (3-2).

So, we may assume that $7r > n$, i.e., ϕ is isomorphic to $h_K^{\oplus s} \oplus q$ over K, for some $s \ge 1$. By comparing dimensions we get the equality $7r = n + 2s$ when r is even, and $7r + 1 = n + 2s$ when r is odd. The essential dimension of the form ϕ, as an element of $\mathrm{T}_{7r}(K)$ or $\mathrm{T}_{7r+1}(K)$ is at most $3r$, while Lemma 5-2 tells us that this essential dimension is at least $\mathrm{ed}_n(q) - s(s+2n-1)/2$. From this, Lemma 5-1 and Theorem 3-3(a) we obtain the following chain of inequalities

$$\begin{aligned} 3r &\ge \mathrm{ed}_n(q) - \frac{s(s+2n-1)}{2} \ge \mathrm{ed}(\mathrm{T}_n;2) - \frac{s(s+2n-1)}{2} \\ &\ge \mathrm{ed}(\mathbf{Spin}_n;2) - 1 - \frac{s(s+2n-1)}{2} \\ &\ge 2^{(n-2)/2} - \frac{n(n-1)}{2} - 1 - \frac{s(s+2n-1)}{2}. \end{aligned} \tag{5-3}$$

Now suppose r is even. Substituting $s = (7r-n)/2$ into inequality (5-3), we obtain

$$\frac{49r^2 + (14n+10)r - 2^{(n+4)/2} - n^2 + 2n - 8}{8} \ge 0.$$

We interpret the left-hand side as a quadratic polynomial in r. The constant term of this polynomial is negative for all $n \ge 8$; hence this polynomial has one positive real root and one negative real root. Denote the positive root by r_+. The above inequality is then equivalent to $r \ge r_+$. By the quadratic formula

$$r_+ = \frac{\sqrt{49 \cdot 2^{(n+4)/2} + 168n - 367} - (7n+5)}{49} \ge \frac{2^{(n+4)/4} - n - 2}{7}\,.$$

This completes the proof of Theorem 1-1 when r is even. If r is odd then substituting $s = (7r + 1 - n)/2$ into (5-3), we obtain an analogous quadratic inequality whose positive root is

$$r_+ = \frac{\sqrt{49 \cdot 2^{(n+4)/2} + 168n - 199} - (7n+12)}{49} \geq \frac{2^{(n+4)/4} - n - 2}{7},$$

and Theorem 1-1 follows. □

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