

# Chapter 4

## Factoring of Prime Ideals in Extensions

### 4.1 Lifting of Prime Ideals

Recall the basic  $AKLB$  setup:  $A$  is a Dedekind domain with fraction field  $K$ ,  $L$  is a finite, separable extension of  $K$  of degree  $n$ , and  $B$  is the integral closure of  $A$  in  $L$ . If  $A = \mathbb{Z}$ , then  $K = \mathbb{Q}$ ,  $L$  is a number field, and  $B$  is the ring of algebraic integers of  $L$ .

#### 4.1.1 Definitions and Comments

Let  $P$  be a nonzero prime ideal of  $A$ . The *lifting* (also called the *extension*) of  $P$  to  $B$  is the ideal  $PB$ . Although  $PB$  need not be a prime ideal of  $B$ , we can use the fact that  $B$  is a Dedekind domain [see (3.1.3)] and the unique factorization theorem (3.3.1) to write

$$PB = \prod_{i=1}^g P_i^{e_i}$$

where the  $P_i$  are distinct prime ideals of  $B$  and the  $e_i$  are positive integers [see (3.3.2)].

On the other hand, we can start with a nonzero prime ideal  $Q$  of  $B$  and form a prime ideal of  $A$  via

$$P = Q \cap A.$$

We say that  $Q$  *lies over*  $P$ , or that  $P$  is the *contraction* of  $Q$  to  $A$ .

Now suppose that we start with a nonzero prime ideal  $P$  of  $A$  and lift it to  $B$ . We will show that the prime ideals  $P_1, \dots, P_g$  that appear in the prime factorization of  $PB$  are precisely the prime ideals of  $B$  that lie over  $P$ .

#### 4.1.2 Proposition

Let  $Q$  be a nonzero prime ideal of  $B$ . Then  $Q$  appears in the prime factorization of  $PB$  if and only if  $Q \cap A = P$ .

*Proof.* If  $Q \cap A = P$ , then  $P \subseteq Q$ , hence  $PB \subseteq Q$  because  $Q$  is an ideal. By (3.3.5),  $Q$  divides  $PB$ . Conversely, assume that  $Q$  divides, hence contains,  $PB$ . Then

$$P = P \cap A \subseteq PB \cap A \subseteq Q \cap A.$$

But in a Dedekind domain, every nonzero prime ideal is maximal, so  $P = Q \cap A$ . ♣

### 4.1.3 Ramification and Relative Degree

If we lift  $P$  to  $B$  and factor  $PB$  as  $\prod_{i=1}^g P_i^{e_i}$ , the positive integer  $e_i$  is called the *ramification index* of  $P_i$  over  $P$  (or over  $A$ ). We say that  $P$  *ramifies* in  $B$  (or in  $L$ ) if  $e_i > 1$  for at least one  $i$ . We will prove in a moment that  $B/P_i$  is a finite extension of the field  $A/P$ . The degree  $f_i$  of this extension is called the *relative degree* (or the *residue class degree*, or the *inertial degree*) of  $P_i$  over  $P$  (or over  $A$ ).

### 4.1.4 Proposition

We can identify  $A/P$  with a subfield of  $B/P_i$ , and  $B/P_i$  is a finite extension of  $A/P$ .

*Proof.* The map from  $A/P$  to  $B/P_i$  given by  $a + P \rightarrow a + P_i$  is well-defined and injective, because  $P = P_i \cap A$ , and it is a homomorphism by direct verification. By (3.1.2),  $B$  is a finitely generated  $A$ -module, hence  $B/P_i$  is a finitely generated  $A/P$ -module, that is, a finite-dimensional vector space over  $A/P$ . ♣

### 4.1.5 Remarks

The same argument, with  $P_i$  replaced by  $PB$ , shows that  $B/PB$  is a finitely generated  $A/P$ -algebra, in particular, a finite-dimensional vector space over  $A/P$ . We will denote the dimension of this vector space by  $[B/PB : A/P]$ .

The numbers  $e_i$  and  $f_i$  are connected by an important identity, which does not seem to have a name in the literature. We will therefore christen it as follows.

### 4.1.6 Ram-Rel Identity

$$\sum_{i=1}^g e_i f_i = [B/PB : A/P] = n.$$

*Proof.* To prove the first equality, consider the chain of ideals

$$\begin{aligned} B &\supseteq P_1 \supseteq P_1^2 \supseteq \cdots \supseteq P_1^{e_1} \\ &\supseteq P_1^{e_1} P_2 \supseteq P_1^{e_1} P_2^2 \supseteq \cdots \supseteq P_1^{e_1} P_2^{e_2} \\ &\supseteq \cdots \supseteq P_1^{e_1} \cdots P_g^{e_g} = PB. \end{aligned}$$

By unique factorization, there can be no ideals between consecutive terms in the sequence. (Any such ideal would contain, hence divide,  $PB$ .) Thus the quotient  $\beta/\beta P_i$  of any two

consecutive terms is a one-dimensional vector space over  $B/P_i$ , as there are no nontrivial proper subspaces. (It is a vector space over this field because it is annihilated by  $P_i$ .) But, with notation as in (4.1.5),  $[B/P_i : A/P] = f_i$ , so  $[\beta/\beta P_i : A/P] = f_i$ . For each  $i$ , we have exactly  $e_i$  consecutive quotients, each of dimension  $f_i$  over  $A/P$ . Consequently,  $[B/PB : A/P] = \sum_{i=1}^g e_i f_i$ , as claimed.

To prove the second equality, we first assume that  $B$  is a free  $A$ -module of rank  $n$ . By (2.3.8), this covers the case where  $A$  is a PID, in particular, when  $L$  is a number field. If  $x_1, \dots, x_n$  is a basis for  $B$  over  $A$ , we can reduce mod  $PB$  to produce a basis for  $B/PB$  over  $A/P$ , and the result follows. Explicitly, suppose  $\sum_{i=1}^n (a_i + P)(x_i + PB) = 0$  in  $B/PB$ . Then  $\sum_{i=1}^n a_i x_i$  belongs to  $PB$ , hence can be written as  $\sum_j b_j y_j$  with  $b_j \in B, y_j \in P$ . Since  $b_j = \sum_k c_{jk} x_k$  with  $c_{jk} \in A$ , we have  $a_k = \sum_j c_{jk} y_j \in P$  for all  $k$ .

The general case is handled by localization. Let  $S = A \setminus P$ ,  $A' = S^{-1}A$ ,  $B' = S^{-1}B$ . By (1.2.6), (1.2.9), and the Dedekind property (every nonzero prime ideal of  $A$  is maximal), it follows that  $A'$  has exactly one nonzero prime ideal, namely  $P' = PA'$ . Moreover,  $P'$  is principal, so  $A'$  is a *discrete valuation ring*, that is, a local PID that is not a field. [By unique factorization, we can choose an element  $a \in P' \setminus (P')^2$ , so  $(a) \subseteq P'$  but  $(a) \not\subseteq (P')^2$ . Since the only nonzero ideals of  $A'$  are powers of  $P'$  (unique factorization again), we have  $(a) = P'$ .] Now  $B$  is the integral closure of  $A$  in  $L$ , so  $B'$  is the integral closure of  $A'$  in  $S^{-1}L = L$ . [The idea is that we can go back and forth between an equation of integral dependence for  $b \in B$  and an equation of integral dependence for  $b/s \in B'$  either by introducing or clearing denominators.] We have now reduced to the PID case already analyzed, and  $[B'/PB' : A'/PA'] = n$ .

Now  $PB = \prod_{i=1}^g P_i^{e_i}$ , and  $P_i$  is a nonzero prime ideal of  $B$  not meeting  $S$ . [If  $y \in P_i \cap S$ , then  $y \in P_i \cap A = P$  by (4.1.2). Thus  $y \in P \cap S$ , a contradiction.] By the basic correspondence (1.2.6), we have the factorization  $PB' = \prod_{i=1}^g (P_i B')^{e_i}$ . By the PID case,

$$n = [B'/PB' : A'/PA'] = \sum_{i=1}^g e_i [B'/P_i B' : A'/PA'].$$

We are finished if we can show that  $B'/P_i B' \cong B/P_i$  and  $A'/PA' \cong A/P$ . The statement of the appropriate lemma, and the proof in outline form, are given in the exercises. ♣

## Problems For Section 4.1

We will fill in the gap at the end of the proof of the ram-rel identity. Let  $S$  be a multiplicative subset of the integral domain  $A$ , and let  $\mathcal{M}$  be a maximal ideal of  $A$  disjoint from  $S$ . Consider the composite map  $A \rightarrow S^{-1}A \rightarrow S^{-1}A/\mathcal{M}S^{-1}A$ , where the first map is given by  $a \rightarrow a/1$  and the second by  $a/s \rightarrow (a/s) + \mathcal{M}S^{-1}A$ .

1. Show that the kernel of the map is  $\mathcal{M}$ , so by the factor theorem, we have a monomorphism  $h : A/\mathcal{M} \rightarrow S^{-1}A/\mathcal{M}S^{-1}A$ .
2. Let  $a/s \in S^{-1}A$ . Show that for some  $b \in A$  we have  $bs \equiv 1 \pmod{\mathcal{M}}$ .
3. Show that  $(a/s) + \mathcal{M}S^{-1}A = h(ab)$ , so  $h$  is surjective and therefore an isomorphism.

Consequently,  $S^{-1}A/\mathcal{M}S^{-1}A \cong A/\mathcal{M}$ , which is the result we need.

## 4.2 Norms of Ideals

### 4.2.1 Definitions and Comments

We are familiar with the norm of an element of a field, and we are going to extend the idea to ideals. We assume the *AKLB* setup with  $A = \mathbb{Z}$ , so that  $B$  is a *number ring*, that is, the ring of algebraic integers of a number field  $L$ . If  $I$  is a nonzero ideal of  $B$ , we define the *norm* of  $I$  by  $N(I) = |B/I|$ . We will show that the norm is finite, so if  $P$  is a nonzero prime ideal of  $B$ , then  $B/P$  is a finite field. Also,  $N$  has a multiplicative property analogous to the formula  $N(xy) = N(x)N(y)$  for elements. [See (2.1.3), equation (2).]

### 4.2.2 Proposition

Let  $b$  be any nonzero element of the ideal  $I$  of  $B$ , and let  $m = N_{L/\mathbb{Q}}(b) \in \mathbb{Z}$ . Then  $m \in I$  and  $|B/mB| = m^n$ , where  $n = [L : \mathbb{Q}]$ .

*Proof.* By (2.1.6),  $m = bc$  where  $c$  is a product of conjugates of  $b$ . But a conjugate of an algebraic integer is an algebraic integer. (If a monomorphism is applied to an equation of integral dependence, the result is an equation of integral dependence.) Thus  $c \in B$ , and since  $b \in I$ , we have  $m \in I$ . Now by (2.3.9),  $B$  is the direct sum of  $n$  copies of  $\mathbb{Z}$ , hence by the first isomorphism theorem,  $B/mB$  is the direct sum of  $n$  copies of  $\mathbb{Z}/m\mathbb{Z}$ . Consequently,  $|B/mB| = m^n$ . ♣

### 4.2.3 Corollary

If  $I$  is any nonzero ideal of  $B$ , then  $N(I)$  is finite. In fact, if  $m$  is as in (4.2.2), then  $N(I)$  divides  $m^n$ .

*Proof.* Observe that  $(m) \subseteq I$ , hence

$$\frac{B/(m)}{B/I} \cong I/(m). \quad \clubsuit$$

### 4.2.4 Corollary

Every nonzero ideal  $I$  of  $B$  is a free abelian group of rank  $n$ .

*Proof.* By the simultaneous basis theorem, we may represent  $B$  as the direct sum of  $n$  copies of  $\mathbb{Z}$ , and  $I$  as the direct sum of  $a_1\mathbb{Z}, \dots, a_r\mathbb{Z}$ , where  $r \leq n$  and the  $a_i$  are positive integers such that  $a_i$  divides  $a_{i+1}$  for all  $i$ . Thus  $B/I$  is the direct sum of  $r$  cyclic groups (whose orders are  $a_1, \dots, a_r$ ) and  $n - r$  copies of  $\mathbb{Z}$ . If  $r < n$ , then at least one copy of  $\mathbb{Z}$  appears, and  $|B/I|$  cannot be finite. ♣

### 4.2.5 Computation of the Norm

Suppose that  $\{x_1, \dots, x_n\}$  is a  $\mathbb{Z}$ -basis for  $B$ , and  $\{z_1, \dots, z_n\}$  is a basis for  $I$ . Each  $z_i$  is a linear combination of the  $x_i$  with integer coefficients, in matrix form  $z = Cx$ . We claim that the norm of  $I$  is the absolute value of the determinant of  $C$ . To verify this, first look at the special case  $x_i = y_i$  and  $z_i = a_i y_i$ , as in the proof of (4.2.4). Then  $C$  is a diagonal

matrix with entries  $a_i$ , and the result follows. But the special case implies the general result, because any matrix corresponding to a change of basis of  $B$  or  $I$  is unimodular, in other words, has integer entries and determinant  $\pm 1$ . [See (2.3.9) and (2.3.10).]

Now with  $z = Cx$  as above, the discriminant of  $x$  is the field discriminant  $d$ , and the discriminant of  $z$  is  $D(z) = (\det C)^2 d$  by (2.3.2). We have just seen that  $N(I) = |\det C|$ , so we have the following formula for computing the norm of an ideal  $I$ . If  $z$  is a  $\mathbb{Z}$ -basis for  $I$ , then

$$N(I) = \left| \frac{D(z)}{d} \right|^{1/2}.$$

There is a natural relation between the norm of a principal ideal and the norm of the corresponding element.

#### 4.2.6 Proposition

If  $I = (a)$  with  $a \neq 0$ , then  $N(I) = |N_{L/\mathbb{Q}}(a)|$ .

*Proof.* If  $x$  is a  $\mathbb{Z}$ -basis for  $B$ , then  $ax$  is a  $\mathbb{Z}$ -basis for  $I$ . By (2.3.3),  $D(ax)$  is the square of the determinant whose  $ij$  entry is  $\sigma_i(ax_j) = \sigma_i(a)\sigma_i(x_j)$ . By (4.2.5), the norm of  $I$  is  $|\sigma_1(a) \cdots \sigma_n(a)| = |N_{L/\mathbb{Q}}(a)|$ . ♣

In the proof of (4.2.6), we cannot invoke (2.3.2) to get  $D(ax_1, \dots, ax_n) = (a^n)^2 D(x_1, \dots, x_n)$ , because we need not have  $a \in \mathbb{Q}$ .

We now establish the multiplicative property of ideal norms.

#### 4.2.7 Theorem

If  $I$  and  $J$  are nonzero ideals of  $B$ , then  $N(IJ) = N(I)N(J)$ .

*Proof.* By unique factorization, we may assume without loss of generality that  $J$  is a prime ideal  $P$ . By the third isomorphism theorem,  $|B/IP| = |B/I| |I/IP|$ , so we must show that  $|I/IP|$  is the norm of  $P$ , that is,  $|B/P|$ . But this has already been done in the first part of the proof of (4.1.6). ♣

#### 4.2.8 Corollary

Let  $I$  be a nonzero ideal of  $B$ . If  $N(I)$  is prime, then  $I$  is a prime ideal.

*Proof.* Suppose  $I$  is the product of two ideals  $I_1$  and  $I_2$ . By (4.2.7),  $N(I) = N(I_1)N(I_2)$ , so by hypothesis,  $N(I_1) = 1$  or  $N(I_2) = 1$ . Thus either  $I_1$  or  $I_2$  is the identity element of the ideal group, namely  $B$ . Therefore, the prime factorization of  $I$  is  $I$  itself, in other words,  $I$  is a prime ideal. ♣

#### 4.2.9 Proposition

$N(I) \in I$ , in other words,  $I$  divides  $N(I)$ . [More precisely,  $I$  divides the principal ideal generated by  $N(I)$ .]

*Proof.* Let  $N(I) = |B/I| = r$ . If  $x \in B$ , then  $r(x + I)$  is 0 in  $B/I$ , because the order of any element of a group divides the order of the group. Thus  $rx \in I$ , and in particular we may take  $x = 1$  to conclude that  $r \in I$ . ♣

#### 4.2.10 Corollary

If  $I$  is a nonzero prime ideal of  $B$ , then  $I$  divides (equivalently, contains) exactly one rational prime  $p$ .

*Proof.* By (4.2.9),  $I$  divides  $N(I) = p_1^{m_1} \cdots p_t^{m_t}$ , so  $I$  divides some  $p_i$ . But if  $I$  divides two distinct primes  $p$  and  $q$ , then there exist integers  $u$  and  $v$  such that  $up + vq = 1$ . Thus  $I$  divides 1, so  $I = B$ , a contradiction. Therefore  $I$  divides exactly one  $p$ . ♣

#### 4.2.11 The Norm of a Prime Ideal

If we can compute the norm of every nonzero prime ideal  $P$ , then by multiplicativity, we can calculate the norm of any nonzero ideal. Let  $p$  be the unique rational prime in  $P$ , and recall from (4.1.3) that the relative degree of  $P$  over  $p$  is  $f(P) = [B/P : \mathbb{Z}/p\mathbb{Z}]$ . Therefore

$$N(P) = |B/P| = p^{f(P)}.$$

Note that by (4.2.6), the norm of the principal ideal  $(p)$  is  $|N(p)| = p^n$ , so  $N(P) = p^m$  for some  $m \leq n$ . This conclusion also follows from the above formula  $N(P) = p^{f(P)}$  and the ram-rel identity (4.1.6).

Here are two other useful finiteness results.

#### 4.2.12 Proposition

A rational integer  $m$  can belong to only finitely many ideals of  $B$ .

*Proof.* We have  $m \in I$  iff  $I$  divides  $(m)$ , and by unique factorization,  $(m)$  has only finitely many divisors. ♣

#### 4.2.13 Corollary

Only finitely many ideals can have a given norm.

*Proof.* If  $N(I) = m$ , then by (4.2.9),  $m \in I$ , and the result follows from (4.2.12). ♣

### Problems For Section 4.2

This problem set will give the proof that a rational prime  $p$  ramifies in the number field  $L$  if and only if  $p$  divides the field discriminant  $d = d_{L/\mathbb{Q}}$ .

1. Let  $(p) = pB$  have prime factorization  $\prod_i P_i^{e_i}$ . Show that  $p$  ramifies if and only if the ring  $B/(p)$  has nonzero nilpotent elements.

Now as in (2.1.1), represent elements of  $B$  by matrices with respect to an integral basis  $\omega_1, \dots, \omega_n$  of  $B$ . Reduction of the entries mod  $p$  gives matrices representing elements of  $B/(p)$ .

2. Show that a nilpotent element (or matrix) has zero trace.

Suppose that  $A(\beta)$ , the matrix representing the element  $\beta$ , is nilpotent mod  $p$ . Then  $A(\beta\omega_i)$  will be nilpotent mod  $p$  for all  $i$ , because  $\beta\omega_i$  is nilpotent mod  $p$ .

3. By expressing  $\beta$  in terms of the  $\omega_i$  and computing the trace of  $A(\beta\omega_j)$ , show that if  $\beta$  is nilpotent mod  $p$  and  $\beta \notin (p)$ , then  $d \equiv 0 \pmod{p}$ , hence  $p$  divides  $d$ .

Now assume that  $p$  does not ramify.

4. Show that  $B/(p)$  is isomorphic to a finite product of finite fields  $F_i$  of characteristic  $p$ .

Let  $\pi_i : B \rightarrow B/(p) \rightarrow F_i$  be the composition of the canonical map from  $B$  onto  $B/(p)$  and the projection from  $B/(p)$  onto  $F_i$ .

5. Show that the trace form  $T_i(x, y) = T_{F_i/\mathbb{F}_p}(\pi_i(x)\pi_i(y))$  is nondegenerate, and conclude that  $\sum_i T_i$  is also nondegenerate.

We have  $d = \det T(\omega_i\omega_j)$ , in other words, the determinant of the matrix of the bilinear form  $T(x, y)$  on  $B$ , with respect to the basis  $\{\omega_1, \dots, \omega_n\}$ . Reducing the matrix entries mod  $p$ , we get the matrix of the reduced bilinear form  $T_0$  on the  $\mathbb{F}_p$ -vector space  $B/(p)$ .

6. Show that  $T_0$  coincides with  $\sum_i T_i$ , hence  $T_0$  is nondegenerate. Therefore  $d \not\equiv 0 \pmod{p}$ , so  $p$  does not divide  $d$ .

As a corollary, it follows that only finitely many primes can ramify in  $L$ .

## 4.3 A Practical Factorization Theorem

The following result, usually credited to Kummer but sometimes attributed to Dedekind, allows, under certain conditions, an efficient factorization of a rational prime in a number field.

### 4.3.1 Theorem

Let  $L$  be a number field of degree  $n$  over  $\mathbb{Q}$ , and assume that the ring  $B$  of algebraic integers of  $L$  is  $\mathbb{Z}[\theta]$  for some  $\theta \in B$ . Thus  $1, \theta, \theta^2, \dots, \theta^{n-1}$  form an integral basis of  $B$ . Let  $p$  be a rational prime, and let  $f$  be the minimal polynomial of  $\theta$  over  $\mathbb{Q}$ . Reduce the coefficients of  $f$  modulo  $p$  to obtain  $\bar{f} \in \mathbb{Z}[X]$ . Suppose that the factorization of  $\bar{f}$  into irreducible polynomials over  $\mathbb{F}_p$  is given by

$$\bar{f} = h_1^{e_1} \cdots h_r^{e_r}.$$

Let  $f_i$  be any polynomial in  $\mathbb{Z}[X]$  whose reduction mod  $p$  is  $h_i$ . Then the ideal

$$P_i = (p, f_i(\theta))$$

is prime, and the prime factorization of  $(p)$  in  $B$  is

$$(p) = P_1^{e_1} \cdots P_r^{e_r}.$$

*Proof.* Adjoin a root  $\theta_i$  of  $h_i$  to produce the field  $\mathbb{F}_p[\theta_i] \cong \mathbb{F}_p[X]/h_i(X)$ . The assignment  $\theta \rightarrow \theta_i$  extends by linearity (and reduction of coefficients mod  $p$ ) to an epimorphism  $\lambda_i : \mathbb{Z}[\theta] \rightarrow \mathbb{F}_p[\theta_i]$ . Since  $\mathbb{F}_p[\theta_i]$  is a field, the kernel of  $\lambda_i$  is a maximal, hence prime, ideal of  $\mathbb{Z}[\theta] = B$ . Since  $\lambda_i$  maps  $f_i(\theta)$  to  $h_i(\theta_i) = 0$  and also maps  $p$  to 0, it follows that  $P_i \subseteq \ker \lambda_i$ . We claim that  $P_i = \ker \lambda_i$ . To prove this, assume  $g(\theta) \in \ker \lambda_i$ . With a

subscript 0 indicating reduction of coefficients mod  $p$ , we have  $g_0(\theta_i) = 0$ , hence  $h_i$ , the minimal polynomial of  $\theta_i$ , divides  $g_0$ . If  $g_0 = q_0 h_i$ , then  $g - q f_i \equiv 0 \pmod{p}$ . Therefore

$$g(\theta) = [g(\theta) - q(\theta)f_i(\theta)] + q(\theta)f_i(\theta)$$

so  $g(\theta)$  is the sum of an element of  $(p)$  and an element of  $(f_i(\theta))$ . Thus  $\ker \lambda_i \subseteq P_i$ , so  $P_i = \ker \lambda_i$ , a prime ideal.

We now show that  $(p)$  divides  $P_1^{e_1} \cdots P_r^{e_r}$ . We use the identity  $(I+I_1)(I+I_2) \subseteq I+I_1I_2$ , where  $I, I_1$  and  $I_2$  are ideals. We begin with  $P_1 = (p) + (f_1(\theta))$ , and compute

$$P_1^2 \subseteq (p) + (f_1(\theta))^2, \dots, P_1^{e_1} \cdots P_r^{e_r} \subseteq (p) + (f_1(\theta))^{e_1} \cdots (f_r(\theta))^{e_r}.$$

But the product of the  $f_i(\theta)^{e_i}$  coincides mod  $p$  with  $\prod_{i=1}^r h_i(\theta) = \bar{f}(\theta) = 0$ . We conclude that  $\prod_{i=1}^r P_i^{e_i} \subseteq (p)$ , as asserted.

We now know that  $(p) = P_1^{k_1} \cdots P_r^{k_r}$  with  $0 \leq k_i \leq e_i$ . (Actually,  $k_i > 0$  since  $p \in \ker \lambda_i = P_i$ , so  $P_i$  divides  $(p)$ . But we will not need this refinement.) By hypothesis,  $B/P_i = \mathbb{Z}[\theta]/P_i$ , which is isomorphic to  $\mathbb{F}_p[\theta_i]$ , as observed at the beginning of the proof. Thus the norm of  $P_i$  is  $|\mathbb{F}_p[\theta_i]| = p^{d_i}$ , where  $d_i$  is the degree of  $h_i$ . By (4.2.6), (4.2.7) and equation (3) of (2.1.3),

$$p^n = N((p)) = \prod_{i=1}^r N(P_i)^{k_i} = \prod_{i=1}^r p^{d_i k_i}$$

hence  $n = d_1 k_1 + \cdots + d_r k_r$ . But  $n$  is the degree of the monic polynomial  $f$ , which is the same as  $\deg \bar{f} = d_1 e_1 + \cdots + d_r e_r$ . Since  $k_i \leq e_i$  for every  $i$ , we have  $k_i = e_i$  for all  $i$ , and the result follows. ♣

### 4.3.2 Prime Factorization in Quadratic Fields

We consider  $L = \mathbb{Q}(\sqrt{m})$ , where  $m$  is a square-free integer, and factor the ideal  $(p)$  in the ring  $B$  of algebraic integers of  $L$ . By the ram-rel identity (4.1.6), there will be three cases:

- (1)  $g = 2, e_1 = e_2 = f_1 = f_2 = 1$ . Then  $(p)$  is the product of two distinct prime ideals  $P_1$  and  $P_2$ , and we say that  $p$  *splits* in  $L$ .
- (2)  $g = 1, e_1 = 1, f_1 = 2$ . Then  $(p)$  is a prime ideal of  $B$ , and we say that  $p$  *remains prime* in  $L$  or that  $p$  is *inert*.
- (3)  $g = 1, e_1 = 2, f_1 = 1$ . Then  $(p) = P_1^2$  for some prime ideal  $P_1$ , and we say that  $p$  *ramifies* in  $L$ .

We will examine all possibilities systematically.

(a) Assume  $p$  is an odd prime not dividing  $m$ . Then  $p$  does not divide the discriminant, so  $p$  does not ramify.

(a1) If  $m$  is a quadratic residue mod  $p$ , then  $p$  splits. Say  $m \equiv n^2 \pmod{p}$ . Then  $x^2 - m$  factors mod  $p$  as  $(x+n)(x-n)$ , so  $(p) = (p, n + \sqrt{m})(p, n - \sqrt{m})$ .

(a2) If  $m$  is not a quadratic residue mod  $p$ , then  $x^2 - m$  cannot be the product of two linear factors, hence  $x^2 - m$  is irreducible mod  $p$  and  $p$  remains prime.

(b) Let  $p$  be any prime dividing  $m$ . Then  $p$  divides the discriminant, hence  $p$  ramifies. Since  $x^2 - m \equiv x^2 = xx \pmod{p}$ , we have  $(p) = (p, \sqrt{m})^2$ .

This takes care of all odd primes, and also  $p = 2$  with  $m$  even.

(c) Assume  $p = 2$ ,  $m$  odd.

(c1) Let  $m \equiv 3 \pmod{4}$ . Then 2 divides the discriminant  $D = 4m$ , so 2 ramifies. We have  $x^2 - m \equiv (x+1)^2 \pmod{2}$ , so  $(2) = (2, 1 + \sqrt{m})^2$ .

(c2) Let  $m \equiv 1 \pmod{8}$ , hence  $m \equiv 1 \pmod{4}$ . An integral basis is  $\{1, (1 + \sqrt{m})/2\}$ , and the discriminant is  $D = m$ . Thus 2 does not divide  $D$ , so 2 does not ramify. We claim that  $(2) = (2, (1 + \sqrt{m})/2) (2, (1 - \sqrt{m})/2)$ . To verify this note that the right side is  $(2, 1 - \sqrt{m}, 1 + \sqrt{m}, (1 - m)/4)$ . This coincides with  $(2)$  because  $(1 - m)/4$  is an even integer and  $1 - \sqrt{m} + 1 + \sqrt{m} = 2$ .

If  $m \equiv 3$  or  $7 \pmod{8}$ , then  $m \equiv 3 \pmod{4}$ , so there is only one remaining case.

(c3) Let  $m \equiv 5 \pmod{8}$ , hence  $m \equiv 1 \pmod{4}$ , so  $D = m$  and 2 does not ramify. Consider  $f(x) = x^2 - x + (1 - m)/4$  over  $B/P$ , where  $P$  is any prime ideal lying over  $(2)$ . The roots of  $f$  are  $(1 \pm \sqrt{m})/2$ , so  $f$  has a root in  $B$ , hence in  $B/P$ . But there is no root in  $\mathbb{F}_2$ , because  $(1 - m)/4 \equiv 1 \pmod{2}$ . Thus  $B/P$  and  $\mathbb{F}_2$  cannot be isomorphic. If  $(2)$  factors as  $Q_1 Q_2$ , then the norm of  $(2)$  is 4, so  $Q_1$  and  $Q_2$  have norm 2, so the  $B/Q_i$  are isomorphic to  $\mathbb{F}_2$ , which contradicts the argument just given. Therefore 2 remains prime.

You probably noticed something suspicious in cases (a) and (b). In order to apply (4.3.1), 1 and  $\sqrt{m}$  must form an integral basis, so  $m \not\equiv 1 \pmod{4}$ , as in (2.3.11). But we can repair the damage. In (a1), verify directly that the factorization of  $(p)$  is as given. The key point is that the ideal  $(p, n + \sqrt{m}) (p, n - \sqrt{m})$  contains  $p(n + \sqrt{m} + n - \sqrt{m}) = 2np$ , and if  $p$  divides  $n$ , then  $p$  divides  $(m - n^2) + n^2 = m$ , contradicting the assumption of case (a). Thus the greatest common divisor of  $p^2$  and  $2np$  is  $p$ , so  $p$  belongs to the ideal. Since every generator of the ideal is a multiple of  $p$ , the result follows. In (a2), suppose  $(p) = Q_1 Q_2$ . Since the norm of  $p$  is  $p^2$ , each  $Q_i$  has norm  $p$ , so  $B/Q_i$  must be isomorphic to  $\mathbb{F}_p$ . But  $\sqrt{m} \in B$ , so  $m$  has a square root in  $B/Q_i$  [see (4.1.4)]. But case (a2) assumes that there is no square root of  $m$  in  $\mathbb{F}_p$ , a contradiction. Finally, case (b) is similar to case (a1). We have  $p|m$ , but  $p^2$  does not divide the square-free integer  $m$ , so the greatest common divisor of  $p^2$  and  $m$  is  $p$ .

### Problems For Section 4.3

1. In the exercises for Section 3.4, we factored (2) and (3) in the ring  $B$  of algebraic integers of  $L = \mathbb{Q}(\sqrt{-5})$ , using ad hoc techniques. Using the results of this section, derive the results rigorously.
2. Continuing Problem 1, factor (5), (7) and (11).
3. Let  $L = \mathbb{Q}(\sqrt[3]{2})$ , and assume as known that the ring of algebraic integers is  $B = \mathbb{Z}[\sqrt[3]{2}]$ . Find the prime factorization of (5).