

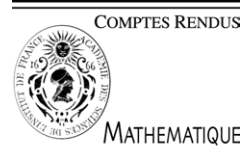


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Group Theory

Normal, unipotent subgroup schemes of reductive groups

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Abstract

Let G be a reductive group over a field k of characteristic p . Let k^{sep} be a separable closure of k . If $p \neq 2$, there exists a linear representation of G that is faithful and semisimple; moreover, any unipotent, normal subgroup scheme of G is trivial. For $p = 2$, these two properties hold if and only if $G_{k^{\text{sep}}}$ has no direct factor that is isomorphic to \mathbf{SO}_{2n+1} for some $n \geq 1$. **To cite this article:** *A. Vasiu, C. R. Acad. Sci. Paris, Ser. I 341 (2005).*

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Résumé

Sous-schémas en groupes unipotents normaux des groupes réductifs. Soit G un groupe réductif sur un corps k de caractéristique p . Soit k^{sep} une clôture séparable de k . Si $p \neq 2$, il existe une représentation linéaire de G qui est à la fois fidèle et semi-simple ; de plus, tout sous-schéma en groupes unipotent normal de G est trivial. Si $p = 2$, ces deux propriétés ne sont vraies que si $G_{k^{\text{sep}}}$ n'a aucun facteur direct isomorphe à un groupe \mathbf{SO}_{2n+1} , $n \geq 1$; en particulier, elles sont fausses pour le groupe $\mathbf{SO}_3 = \mathbf{PGL}_2$. **Pour citer cet article :** *A. Vasiu, C. R. Acad. Sci. Paris, Ser. I 341 (2005).*

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Soit G un groupe algébrique réductif (donc connexe et lisse) sur un corps k de caractéristique $p > 0$. Nous nous intéresserons aux deux propriétés suivantes (le texte anglais en contient deux autres) :

S_1 . *Tout sous-schéma en groupes unipotent de G qui est normal dans G est trivial.*

(Pour la définition de « unipotent » dans le contexte des schémas en groupes, voir [2, Vol. II, Exp. XVII, 3.5].)

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S_2 . Il existe une représentation linéaire $\rho: G \rightarrow \mathbf{GL}_V$ de G qui est à la fois fidèle et semi-simple.

(L'adjectif « fidèle » est pris au sens de la théorie des schémas ; il signifie que le noyau de ρ est trivial, ou encore que ρ définit un isomorphisme de G sur un sous-schéma en groupes fermé de \mathbf{GL}_V , cf. [2, Vol. I, Exp. VI_A, 5.4].)

Il n'est pas difficile de voir que $S_1 \Leftrightarrow S_2$. De plus :

Théorème 0.1. Si $p \neq 2$, les propriétés S_1 et S_2 sont vraies quel que soit G .

Théorème 0.2. Supposons $p = 2$.

- (i) Si $G = \mathbf{SO}_{2n+1}$, $n \geq 1$, les propriétés S_1 et S_2 ne sont pas vraies.
- (ii) Inversement, si S_1 et S_2 ne sont pas vraies pour G , alors, après extension des scalaires, G se décompose en un produit direct dont l'un des facteurs est un groupe \mathbf{SO}_{2n+1} avec $n \geq 1$.

Corollaire 0.3. Si $p = 2$, le groupe $\mathbf{PGL}_2 = \mathbf{SO}_3$ n'a pas de représentation linéaire fidèle semi-simple.

Théorème 0.4. Supposons $p = 2$. Le groupe G possède un plus grand sous-schéma en groupes U unipotent et normal. Le groupe U est infinitésimal de hauteur 1, et isomorphe à un produit de groupes de type α_2 . Le quotient G/U jouit des propriétés S_1 et S_2 .

(Le groupe U joue donc le rôle d'un « radical unipotent schématique ».)

Indications sur les démonstrations des théorèmes 0.1, 0.2, 0.4

Le point essentiel consiste à déterminer les sous-groupes unipotents normaux de G qui sont infinitésimaux de hauteur 1. Un tel sous-groupe U correspond à une p -sous-algèbre de Lie \mathfrak{u} de $\mathrm{Lie}(G)$ qui est p -nilpotente et stable par l'action de G sur $\mathrm{Lie}(G)$. Si l'on étend les scalaires pour déployer G , on peut écrire $\mathrm{Lie}(G)$ à la façon habituelle

$$\mathrm{Lie}(G) = \mathrm{Lie}(T) \bigoplus_{\alpha \in R} kX_\alpha$$

où T est un tore maximal et les α parcourent le système de racines R de (G, T) . Comme \mathfrak{u} est stable par l'action de T , et que $\mathfrak{u} \cap \mathrm{Lie}(T) = 0$, on voit que \mathfrak{u} est somme directe des kX_α , pour α parcourant une partie $R_{\mathfrak{u}}$ de R . Comme \mathfrak{u} est stable par le normalisateur de T dans G , $R_{\mathfrak{u}}$ est stable par le groupe de Weyl de R . Si $\alpha \in R_{\mathfrak{u}}$, on a $-\alpha \in R_{\mathfrak{u}}$, d'où $[X_\alpha, X_{-\alpha}] = 0$ puisque $\mathfrak{u} \cap \mathrm{Lie}(T) = 0$. On obtient là une condition très restrictive sur $R_{\mathfrak{u}}$. Il n'est pas difficile d'en déduire que, si G est simple, et $R_{\mathfrak{u}}$ non vide, alors $p = 2$, G est de type B_n adjoint, et $R_{\mathfrak{u}}$ est formé des racines courtes, auquel cas U est abélien et G/U est de type C_n simplement connexe. Les théorèmes 0.1, 0.2 et 0.4 s'en déduisent facilement.

1. Introduction

Let $p \in \mathbf{N}$ be a prime. Let k be a field of characteristic p . Let k^{sep} be a separable closure of k . Let V be a finite dimensional vector space over k . Let \tilde{G} be an affine group scheme of finite type over k . The Lie algebra $\mathrm{Lie}(\tilde{G})$ of \tilde{G} is a left \tilde{G} -module via the adjoint representation of \tilde{G} . A linear representation $\tilde{\rho}: \tilde{G} \rightarrow \mathbf{GL}_V$ is called *faithful* if it is a closed embedding (equivalently if the schematic kernel $\mathrm{Ker}(\tilde{\rho})$ as defined in [2, Vol. I, Exp. VI_A, 5.4], is trivial). An affine group scheme U of finite type over k is called *unipotent* if any one of the following three equivalent conditions holds (see [2, Vol. II, Exp. XVII, 3.5]):

- (i) any nonzero linear representation of U has a nonzero fixed vector;
- (ii) the group scheme U is isomorphic to a subgroup scheme of the unipotent radical of a Borel subgroup of the \mathbf{GL}_n group over k (here $n \geq 1$);
- (iii) the group scheme U has a composition series whose factors are \mathbf{G}_a , α_p , or a form of $(\mathbf{Z}/p\mathbf{Z})^s$ with $s \geq 1$.

From (iii) we get that the unipotent group schemes are stable under subgroups, quotient groups, extensions, and field extensions.

Let G be a reductive group over k . So G is smooth, connected, affine and has no nontrivial, normal, unipotent, smooth subgroup. In this Note we study normal, unipotent subgroup schemes of G in connection with the following four natural statements on G .

- S_1 . Every normal, unipotent subgroup scheme of G is trivial.
- S_2 . There exists a faithful linear representation $\rho: G \hookrightarrow \mathbf{GL}_V$ that is semisimple.
- S_3 . Suppose $G = \tilde{G}/U$, where \tilde{G} is assumed to be a smooth, connected group over k and U is a unipotent, normal subgroup scheme of \tilde{G} . Let $\tilde{\rho}: \tilde{G} \hookrightarrow \mathbf{GL}_V$ be a faithful linear representation. Let $0 = V_0 \subset V_1 \subset \dots \subset V_m = V$ be a filtration of V stable under \tilde{G} and such that the quotients V_i/V_{i-1} are semisimple \tilde{G} -modules, $i \in \{1, \dots, m\}$. The group U acts trivially on $\text{gr}(V) := \bigoplus_{i=1}^m V_i/V_{i-1}$ and thus we have a linear representation $\tilde{\rho}_{\text{ss}}: G \rightarrow \mathbf{GL}_{\text{gr}(V)}$. Then $\tilde{\rho}_{\text{ss}}$ is faithful.
- S_4 . Let $f: G \rightarrow G'$ be a homomorphism, where G' is another reductive group over k . Let T and T' be maximal tori of G and G' (respectively) such that $f(T) \subset T'$. Let $f_T: T \rightarrow T'$ be the homomorphism defined by f . If f_T is an embedding, then f is also an embedding.

(So if f is an isogeny such that f_T is an isomorphism, then f is an isomorphism.)

It is not difficult to check that statements S_1 to S_4 are equivalent (see Subsection 3.1).

Theorem 1.1. *If $p \neq 2$, then all four statements S_1 to S_4 are true.*

Theorem 1.2. *Let $p = 2$. Then statements S_1 to S_4 are false in general. More precisely, statement S_i (with $i \in \{1, 2, 3, 4\}$) is false if and only if $G_{k^{\text{sep}}}$ has a direct factor that is isomorphic to \mathbf{SO}_{2n+1} for some $n \geq 1$.*

So if $p = 2$, then the group \mathbf{SO}_{2n+1} (with $n \geq 1$) has no faithful linear representation that is semisimple; in particular, this applies to $\mathbf{PGL}_2 = \mathbf{SO}_3$. Statements S_1 and S_4 are implicit in both [3] and [5]. In Section 2 we study pairs (G, U) , where G is as above and U is a nontrivial, normal, unipotent subgroup scheme of G . In Subsection 2.2 we show that if such a pair (G, U) exists, then $p = 2$ and $U \cong \alpha_2^l$, where $l \geq 1$. In Section 3 we prove Theorems 1.1 and 1.2.

2. Classification results

We first include a lemma on certain G -submodules of $\text{Lie}(G)$. In Subsection 2.1 we take $p = 2$ and we recall the classical isogeny $\mathbf{SO}_{2n+1} \rightarrow \mathbf{Sp}_{2n}$ whose kernel is isomorphic to α_2^{2n} . In Subsection 2.2 we prove a result that is the very essence behind the four statements S_1, \dots, S_4 and that classifies all normal, unipotent subgroup schemes of G .

Lemma 2.1. *Let T be a maximal torus of G . Let \mathfrak{u} be a nonzero G -submodule of $\text{Lie}(G)$ such that $\mathfrak{u} \cap \text{Lie}(T) = 0$. Then $p = 2$ and $G_{k^{\text{sep}}}$ has a direct factor G_1 which is isomorphic to \mathbf{SO}_{2n+1} (for some $n \geq 1$) and for which we have $\text{Lie}(G_1) \cap \mathfrak{u} \otimes_k k^{\text{sep}} \neq 0$.*

Proof. We can assume $k = k^{\text{sep}}$. So T is split, cf. [2, Vol. III, Exp. XXII, 2.4]. Let

$$\text{Lie}(G) = \text{Lie}(T) \bigoplus_{\alpha \in R} V_{\alpha}$$

be the root decomposition relative to T . As $\mathfrak{u} \cap \text{Lie}(T) = 0$ and as T normalizes \mathfrak{u} , there exists a subset $R_{\mathfrak{u}}$ of R such that we have $\mathfrak{u} = \bigoplus_{\alpha \in R_{\mathfrak{u}}} V_{\alpha}$. The set $R_{\mathfrak{u}}$ is non-empty. We fix a root $\alpha_1 \in R_{\mathfrak{u}}$. Let R_1 be the irreducible root system that is a direct factor of R and that contains α_1 . Let G_1 be the semisimple, normal subgroup of G that corresponds naturally to R_1 . So G_1 is almost simple, is normalized by T , and moreover we have $V_{\alpha_1} \subset \text{Lie}(G_1) = \text{Lie}(G_1 \cap T) \bigoplus_{\alpha \in R_1} V_{\alpha}$. Let $G_{\pm\alpha_1}$ be the unique reductive subgroup of G that contains T and whose Lie algebra is $\text{Lie}(T) \oplus V_{\alpha_1} \oplus V_{-\alpha_1}$, cf. [2, Vol. III, Exp. XXII, 5.4.7 and 5.10.1]. Let $S_{\pm\alpha_1}$ be the derived group of $G_{\pm\alpha_1}$; it is a subgroup of G_1 . Moreover $S_{\pm\alpha_1}$ is isomorphic to either \mathbf{PGL}_2 or \mathbf{SL}_2 and we have $V_{\alpha_1} \oplus V_{-\alpha_1} \subset \text{Lie}(S_{\pm\alpha_1})$.

If G_1 is adjoint, then it is a direct factor of G . So as $V_{\alpha_1} \subset \text{Lie}(G_1) \cap \mathfrak{u}$ and as $\text{Lie}(G_1) \cap \mathfrak{u}$ is a G_1 -module, to prove the Lemma we can assume $G = G_1$; thus $R = R_1$. As \mathfrak{u} is stable under the normalizer of T in G , the set $R_{\mathfrak{u}}$ is stable under the action of the Weyl group of the root system R . Any two roots of R of equal length, are conjugate under the Weyl group of R (cf. [1, Ch. IV, §3, Prop. 11]). So we also have $-\alpha_1 \in R_{\mathfrak{u}}$. As \mathfrak{u} is a G -module, it is an ideal of $\text{Lie}(G)$ and so also a Lie subalgebra of $\text{Lie}(G)$. Thus we have $[V_{\alpha_1}, V_{-\alpha_1}] \subset \mathfrak{u} \cap \text{Lie}(T) = 0$. So $[V_{\alpha_1}, V_{-\alpha_1}] = 0$. This implies that $\text{Lie}(S_{\pm\alpha_1})$ is not isomorphic to $\text{Lie}(\mathbf{SL}_2)$. But for $p \neq 2$, the central isogeny $\mathbf{SL}_2 \rightarrow \mathbf{PGL}_2$ is étale and thus we can identify $\text{Lie}(\mathbf{SL}_2)$ with $\text{Lie}(\mathbf{PGL}_2)$. So we must have $p = 2$ and $S_{\pm\alpha_1}$ must be isomorphic to \mathbf{PGL}_2 . But it is well known that $S_{\pm\alpha_1}$ is isomorphic to \mathbf{PGL}_2 if and only if G is isomorphic to \mathbf{SO}_{2n+1} for some $n \geq 1$ and α_1 is a short root. [Argument: see [4, 3.8]; strictly speaking the arguments of loc. cit. are stated over a finite field but they also apply over any separably closed field.] We conclude that G is isomorphic to \mathbf{SO}_{2n+1} for some $n \geq 1$ and that any root $\alpha_1 \in R_{\mathfrak{u}}$ is short; thus $R_{\mathfrak{u}}$ is the set of short roots of R . \square

2.1. An isogeny

Let $p = 2$. Let $\{e_0, \dots, e_{2n}\}$ be the standard k -basis of $V := k^{2n+1}$. Let $V_0 := ke_0$. We take G to be the semisimple subgroup of \mathbf{GL}_V that is the \mathbf{SO} -group of the quadratic form $Q(x) := x_0^2 + x_1x_{n+1} + \dots + x_nx_{2n}$ on V ; here $x := (x_0, \dots, x_{2n})$. Let $\{e_{i,j} \mid 0 \leq i, j \leq 2n\}$ be the standard k -basis of $\text{End}_k(V)$. The formula $\Psi(x, y) := Q(x+y) - Q(x) - Q(y)$ defines an alternating form on V that is fixed by G and whose kernel is V_0 ; so Ψ induces a non-degenerate alternating form Ψ_0 on $W_0 := V/V_0$. Let N_n be the kernel of the natural isogeny $G \rightarrow \mathbf{Sp}(W_0, \Psi_0)$. For a commutative k -algebra A , we have $N_n(A) = \{1_{V \otimes_k A} + \sum_{i=1}^{2n} \beta_i e_{0,i} \mid \beta_i \in A, \beta_i^2 = 0\}$. Thus $N_n \xrightarrow{\sim} \alpha_2^{2n}$. Moreover $\text{Lie}(N_n) = \bigoplus_{i=1}^{2n} ke_{0,i}$ is the ideal \mathfrak{u} of the previous paragraph.

Theorem 2.2. *Let U be a normal, unipotent subgroup scheme of G . We have:*

- if U is nontrivial, then $p = 2$ and $G_{k^{\text{sep}}}$ has a direct factor that is isomorphic to \mathbf{SO}_{2n+1} for some $n \geq 1$;
- if U is nontrivial and if G is an absolutely simple, adjoint group over k , then U is the unique nontrivial, normal, unipotent subgroup scheme of G ;
- there exists a maximal normal, unipotent subgroup scheme U_{\max} of G which is compatible with field extensions;
- if U is nontrivial, there exists $l \geq 1$ such that $U \xrightarrow{\sim} \alpha_2^{2l}$.

2.2. Proof of Theorem 2.2

Let $\mathfrak{u} := \text{Lie}(U)$. As G is reductive, U is connected and finite. We prove (a). So as U is also a nontrivial group scheme, \mathfrak{u} is a nonzero G -submodule of $\text{Lie}(G)$. As U has a trivial intersection with any maximal torus T of G , we have $\mathfrak{u} \cap \text{Lie}(T) = 0$. So (a) holds, cf. Lemma 2.1.

To prove (b), we can assume G is \mathbf{SO}_{2n+1} (cf. (a)). Let $N_n \triangleleft G$ be as in Subsection 2.1. We have $\text{Lie}(N_n) = \mathfrak{u}$, cf. end of Subsection 2.1. Thus each α_2 copy of $N_n \xrightarrow{\sim} \alpha_2^{2n}$ is a subgroup scheme of U . So $N_n \triangleleft U$. Thus $U/N_n \triangleleft$

G/N_n . But G/N_n is isomorphic to \mathbf{Sp}_{2n} , cf. Subsection 2.1. So G/N_n has no nontrivial, normal, unipotent subgroup scheme, cf. (a). Thus U/N_n is the trivial group scheme. So $U = N_n$ is uniquely determined. So (b) holds.

To prove (c) and (d), we recall that $G_{k^{\text{sep}}}$ is split (cf. [2, Vol. III, Exp. XXII, 2.4]). As $G_{k^{\text{sep}}}$ is split, we have a direct product decomposition

$$G_{k^{\text{sep}}} = G_0 \times_{k^{\text{sep}}} G_1 \times_{k^{\text{sep}}} \cdots \times_{k^{\text{sep}}} G_s$$

such that the group G_0 has no direct factor that is isomorphic to an \mathbf{SO}_{2n+1} group and each group G_i with $i \in \{1, \dots, s\}$ is isomorphic to \mathbf{SO}_{2n_i+1} for some $n_i \geq 1$. For $i \in \{0, \dots, s\}$, let $\pi_i : G_{k^{\text{sep}}} \rightarrow G_i$ be the natural projection. Let $U_i := U_{k^{\text{sep}}}/(U_{k^{\text{sep}}} \cap \text{Ker}(\pi_i))$; we have $U_i \xrightarrow{\sim} \text{Im}(U_{k^{\text{sep}}} \rightarrow G_i)$. The group scheme U_0 is trivial, cf. (a). For $i \in \{1, \dots, s\}$, let U_i^{max} be the unique nontrivial, normal, unipotent subgroup scheme of G_i (cf. Subsection 2.1 and (b)); so U_i is either trivial or U_i^{max} . From this and the fact that $U \triangleleft G$, we get that $U_{k^{\text{sep}}} = \prod_{i=1}^s (U_{k^{\text{sep}}} \cap G_i) \xrightarrow{\sim} \prod_{i=1}^s U_i$. We also get that $G_{k^{\text{sep}}}$ has a unique maximal normal, unipotent subgroup scheme $U_{k^{\text{sep}}}^{\text{max}} := \prod_{i=1}^s U_i^{\text{max}}$.

Using standard Galois descent, we get (from the uniqueness part) that $U_{k^{\text{sep}}}^{\text{max}}$ is the extension to k^{sep} of the maximal normal, unipotent subgroup scheme U^{max} of G . For any algebraically closed field K that contains k , U_K^{max} is the maximal normal, unipotent subgroup scheme of G_K . So (c) holds.

For $i \in \{1, \dots, s\}$ the intersection $U_{k^{\text{sep}}} \cap G_i \xrightarrow{\sim} U_i$ is either trivial or $N_{n_i} \xrightarrow{\sim} \alpha_2^{2n_i}$; thus $U_{k^{\text{sep}}} \xrightarrow{\sim} \alpha_2^{2l}$, where $l := \sum_{i \in E} n_i \geq 1$ for some non-empty subset E of $\{1, \dots, s\}$. The group scheme of automorphisms of α_2^{2l} is a \mathbf{GL}_{2l} group. As $H^1(k, \mathbf{GL}_{2l})$ is the trivial set, each form of α_2^{2l} is trivial. So we have an isomorphism $U \xrightarrow{\sim} \alpha_2^{2l}$ over k . So (d) holds.

3. Proof of Theorems 1.1 and 1.2

In 3.1 we show that (for a given pair (k, G)) the four statements S_1 to S_4 are equivalent. In Subsection 3.2 we combine Subsection 3.1 and Section 2 to prove Theorems 1.1 and 1.2.

3.1. The equivalence of the four statements

We show that S_1 is equivalent to S_3 . We use the notations of S_3 . Let $U_0 := \text{Ker}(\tilde{G} \rightarrow \mathbf{GL}_{\text{gr}(V)})$; it is a normal, unipotent subgroup scheme of \tilde{G} . As the \tilde{G} -module $\text{gr}(V)$ is semisimple, U_0 is the maximal normal, unipotent subgroup scheme of \tilde{G} . Thus U_0/U is the maximal normal, unipotent subgroup scheme of $G = \tilde{G}/U$. As $\text{Ker}(\tilde{\rho}_{\text{ss}}) = U_0/U$, we get that $\tilde{\rho}_{\text{ss}}$ is faithful if and only if G has no nontrivial, normal, unipotent subgroup scheme. Thus S_1 is equivalent to S_3 .

By taking $\tilde{G} = G$, we get that S_3 implies S_2 . We check that S_2 implies S_4 . Let $f : G \rightarrow G'$, $T \subset G$, $T' \subset G'$, and $f_T : T \rightarrow T'$ be as in S_4 . Let $U := \text{Ker}(f)$. Let U^0 be the identity component of U . The normal, finite, étale subgroup U/U^0 of G/U^0 is contained in the center of G/U^0 and so also in $\text{Im}(T \rightarrow G/U^0) \xrightarrow{\sim} T$. As the intersection $U \cap T$ is trivial, we get $U = U^0$. A similar argument shows that U has no subgroup scheme that is of multiplicative type and nontrivial. Thus U is unipotent, cf. [2, Vol. II, Exp. XVII, 4.3.1]. The normal, unipotent subgroup scheme U of G is contained in the kernel of any semisimple representation of G . So if S_2 holds, then U is trivial; thus S_4 holds.

We check that S_4 implies S_1 . Let U be a normal, unipotent subgroup scheme of G . Let $f : G \twoheadrightarrow G/U =: G'$ be the natural epimorphism. Let $T' := \text{Im}(T \rightarrow G')$. As the intersection $U \cap T$ is trivial, $f_T : T \rightarrow T'$ is an embedding. So if S_4 holds, then f is a closed embedding and thus U is trivial. So S_4 implies S_1 .

3.2. End of the argument

It suffices to prove Theorem 1.1 for statement S_1 , cf. Subsection 3.1. So Theorem 1.1 follows from Theorem 2.2 (a). Let now $p = 2$. To prove Theorem 1.2, we can assume $G_{k^{\text{sep}}}$ has a direct factor that is isomorphic

to \mathbf{SO}_{2n+1} for some $n \geq 1$ (cf. Theorem 2.2 (a)). To check that G has a nontrivial, normal, unipotent subgroup scheme U , we can assume (cf. Theorem 2.2 (c)) that $k = k^{\text{sep}}$; so G has a direct factor that is isomorphic to \mathbf{SO}_{2n+1} and thus U exists (cf. Subsection 2.1). This ends the proofs of Theorems 1.1 and 1.2.

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