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Annales de l'institut Fourier, tome 40, n° 1 (1990), p. 69-78

http://www.numdam.org/item?id=AIF_1990__40_1_69_0

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GEOMETRY OF AN ÉTALE COVERING OF THE p -ADIC UPPER HALF PLANE

by Jeremy TEITELBAUM (*)

Introduction.

In this paper we describe the rigid geometry of the first layer in the tower of coverings of the p -adic upper half plane obtained from the division points of the formal group constructed in [2]. This covering is accessible because it is abelian and in some sense "tame." Using our results, we are able to describe the stable special fiber at p of Shimura curves with a very small amount of level p structure.

Preliminaries.

Let $\hat{\mathcal{H}}_p$ denote the formal scheme over \mathbf{Z}_p constructed by Mumford ([4]) and commonly referred to as the p -adic upper half plane. Naively, $\hat{\mathcal{H}}_p$ is the complement of the \mathbf{Q}_p -rational points in \mathbf{P}^1 . We let \mathcal{H}_p be the rigid analytic space associated to $\hat{\mathcal{H}}_p$.

In [2], Drinfeld shows that $\hat{\mathcal{H}}_p$ is a parameter space for two-dimensional formal groups with a certain endomorphism structure. As a

(*) This research was supported by an NSF postdoctoral fellowship.

Key-words : p -adic uniformization – Shimura curves – Formal groups.
A.M.S. Classification : 11G18 – 11F85.

result, there is a universal family of formal groups \mathcal{G} over $\hat{\mathcal{H}}_p$. The subgroups obtained as the division points of this family of formal groups yield a tower of coverings of $\hat{\mathcal{H}}_p$. The rigid spaces associated to these coverings are a family of étale coverings of \mathcal{H}_p . Our goal in this work is to describe the simplest of these coverings.

For a detailed description of Drinfeld's universal formal group, we refer the reader to [8]. We recall here the basic definitions which we will require.

Let D be the quaternion division algebra over \mathbb{Q}_p , and let \mathcal{O}_D be the maximal order in D . A formal group G of dimension 2 and height 4 over a ring R on which p is nilpotent is called a special, formal \mathcal{O}_D -module (abbreviated *SFD*-module) provided that \mathcal{O}_D acts on G and, at each maximal ideal m of R , both characters of the residue field of \mathcal{O}_D occur in the tangent space to G at m . Over $\bar{\mathbb{F}}_p$, all *SFD*-modules are isogenous, so fix one such module Φ . With these conventions, we can state Drinfeld's theorem.

THEOREM (Drinfeld). — $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$ (over \mathbb{Z}_p) represents the functor which assigns to a ring R on which p is nilpotent the set of isomorphism classes of triples (ψ, G, ρ) where

1. $\psi : \hat{\mathbb{Z}}_p^{ur} / p\hat{\mathbb{Z}}_p^{ur} \rightarrow R/p$ is a homomorphism,
2. G is an *SFD*-module over R ,
3. and $\rho : \psi_*\Phi \rightarrow G \otimes R/p$ is a "quasi-isogeny of height zero," which means that ρ is an isogeny with a certain normalization condition which will not be important in our work.

We let $(\Psi, \mathcal{G}, \mathbb{P})$ be the universal triple over $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$, and \mathcal{G}_Π be the kernel of multiplication by Π on \mathcal{G} . This is a finite, flat group scheme of order p^2 over $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$. If $\mathrm{PGL}_2^+(\mathbb{Q}_p)$ denotes the image in $\mathrm{PGL}_2(\mathbb{Q}_p)$ of the elements of $\mathrm{GL}_2(\mathbb{Q}_p)$ with determinants of even p -adic order, then the action of $\mathrm{PGL}_2^+(\mathbb{Q}_p)$ on $\hat{\mathcal{H}}_p$ extends to an action on the universal triple over $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$, and therefore to \mathcal{G}_Π . Furthermore, the residue field $\mathcal{O}_D/\Pi = \mathbb{F}$ acts on \mathcal{G}_Π , and this action commutes with the action of $\mathrm{PGL}_2^+(\mathbb{Q}_p)$. In fact, $\mathrm{GL}_2(\mathbb{Q}_p)$ acts on the universal triple; see [2] p. 109 for details.

Let us fix a map $\psi_0 : \hat{\mathbb{Z}}_p^{ur} \rightarrow \hat{\mathbb{Z}}_p^{ur}$ and consider the fiber of the induced projection map $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur} \rightarrow \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$. The resulting formal scheme is isomorphic to $\hat{\mathcal{H}}_p \otimes \mathrm{Spf} \hat{\mathbb{Z}}_p^{ur}$ viewed as a formal scheme over $\hat{\mathbb{Z}}_p^{ur}$ with structure map ψ_0 . The geometry of the formal scheme obtained in this

way does not depend on the choice of ψ_0 , so for the remainder of this paper we will abuse notation, suppress reference to ψ_0 , and denote by $\hat{\mathcal{H}}_p$ and \mathcal{H}_p respectively the formal and rigid p -adic upper half planes over \mathbb{Z}_p (resp. \mathbb{Q}_p), base-changed up to $\hat{\mathbb{Z}}_p^{ur}$ (resp. $\hat{\mathbb{Q}}_p^{ur}$.) Similarly, we base change the covering \mathcal{G}_Π to obtain a finite flat group scheme of order p^2 over (our base-changed) $\hat{\mathcal{H}}_p$. We let $\hat{\Sigma}$ be the complement of the zero section in this group scheme, and Σ be the associated rigid space. This paper is devoted to describing the rigid geometry of Σ .

Classification of Σ as μ_{p^2-1} -torsor.

The action of the endomorphism ring of \mathcal{G} induces an action of \mathbb{F}^\times on the covering Σ , as we mentioned before. The two embeddings

$$\sigma_0, \sigma_1 : \mathbb{F} \rightarrow \hat{\mathbb{Z}}_p^{ur} / p\hat{\mathbb{Z}}_p^{ur}$$

induce two different actions of μ_{p^2-1} on our fixed *SFD*-module Φ over $\bar{\mathbb{F}}_p$, and therefore, via the universal isogeny P , two different actions on Σ . This allows us to view Σ as a μ_{p^2-1} torsor in two different ways.

DEFINITION 1. — *Let*

$$c_i(\Sigma) \in H_{et}^1(\mathcal{H}_p \otimes \text{Spf } \mathbb{C}_p, \mu_{p^2-1})$$

be the class representing the covering $\Sigma \otimes \text{Spf } \mathbb{C}_p$ viewed as a μ_{p^2-1} torsor via the embedding

$$\tilde{\sigma}_i : W(\mathbb{F}) \rightarrow \hat{\mathbb{Z}}_p^{ur} \subset \mathbb{C}_p$$

induced by σ_i .

The following lemma relates the two classes.

LEMMA 2. — $c_i(\Sigma) = pc_{i+1}(\Sigma)$, *reading subscripts mod 2.*

Proof. — Changing the choice of σ_i twists the μ_{p^2-1} action on Σ by $\zeta \mapsto \zeta^p$. □

Our goal now is to determine the classes c_i precisely. Let \mathcal{T} be the tree of $\text{SL}_2(\mathbb{Q}_p)$. We fix a reduction map $r : \mathcal{H}_p \rightarrow \mathcal{T}$ which is compatible with the action of $\text{SL}_2(\mathbb{Q}_p)$. For one of many detailed descriptions of the relation between \mathcal{T} and \mathcal{H}_p , see [8], pp. 648–660.

The following theorem of Drinfeld ([1]) relates the cohomology of \mathcal{H}_p to the tree \mathcal{T} .

THEOREM 3 (Drinfeld [1]). — *If N is an integer prime to p , there is an isomorphism*

$$\partial : H_{\text{ét}}^1(\mathcal{H}_p \otimes \text{Spf } \mathbf{C}_p, \mu_N) \rightarrow C_{\text{har}}^1(\mathcal{T}, \mathbf{Z}/N\mathbf{Z})$$

where \mathcal{T} is the tree of SL_2 and $C_{\text{har}}^1(\mathcal{T}, \mathbf{Z}/N\mathbf{Z})$ is the group of harmonic 1-cochains on \mathcal{T} — that is, the set of functions f on the edges of \mathcal{T} such that, for each vertex v , f satisfies

$$\sum_{e \rightarrow v} f(e) = 0$$

where the sum is over the oriented edges of \mathcal{T} meeting v .

Let us briefly recall how the map ∂ of the theorem is constructed. Suppose Y is a torsor over $\mathcal{H}_p \otimes \text{Spf } \mathbf{C}_p$. Let U be the admissible open set in \mathcal{H}_p corresponding to a vertex v in \mathcal{T} , together with its bounding edges. It follows from Lemma 2 of [8] that U is a $\text{GL}_2(\mathbf{Q}_p)$ translate of the standard open set

$$V = \{P \in \mathcal{H}_p : 1/p < |z(P)| < p\} - \bigcup_{i=1}^{p-1} B_{1/p}^+(i)$$

where $B_r^+(i)$ denotes the closed ball centered at i of radius r . Therefore $\text{Pic}(U) = 0$ and so

$$\mathcal{O}_Y = \mathcal{O}_U[T]/(T^{p^2-1} - f)$$

where μ_{p^2-1} acts by multiplication on T , and f is uniquely determined up to $(p^2 - 1)^{\text{st}}$ powers.

Let $e = \{v, v'\}$ be an (oriented) edge leaving v . To evaluate $\partial(Y)(e)$, choose a coordinate function z on U such that if $P \in U$ reduces to v then $|z(P)| = 1$ while if $P \in U$ reduces to e then

$$|p| < |z(P)| < 1.$$

Then we let

$$\partial(Y)(e) = \text{Res}_e df/f \pmod{p^2 - 1}$$

where Res_e denotes the rigid analytic “annular residue” computed with respect to the selected coordinate z (which determines the sign of Res .)

Since $\text{PGL}_2^+(\mathbf{Q}_p)$ acts on Σ , the class $c_i(\Sigma)$ is invariant by $\text{PGL}_2^+(\mathbf{Q}_p)$. As we see in the next lemma, this is a very strong condition.

LEMMA 4. — *Suppose Y is a $\text{PGL}_2^+(\mathbf{Q}_p)$ -invariant torsor over $\mathcal{H}_p \otimes \text{Spf } \mathbf{C}_p$, and $\partial(Y)$ is the associated harmonic 1-cocycle. Then $\partial(Y)$ satisfies the following conditions:*

1. $\partial(Y)(e) = \partial(Y)(\gamma e)$ for all $\gamma \in \text{PGL}_2^+(\mathbb{Q}_p)$ and all oriented edges e of \mathcal{T} .
2. $\partial(Y)(e) \equiv 0 \pmod{p-1}$ on all edges e of \mathcal{T} .

Proof. — The first property is a consequence of the invariance of Y by $\text{PGL}_2^+(\mathbb{Q}_p)$ and the fact that $\text{PGL}_2^+(\mathbb{Q}_p)$ preserves the orientation of edges in \mathcal{T} . For the second, observe that all the edges e leaving any vertex v are permuted transitively by $\text{PGL}_2^+(\mathbb{Q}_p)$. Therefore $\partial(Y)(e)$ is a constant x on all edges e leaving v . From the harmonicity condition we obtain

$$\sum_{e \rightarrow v} \partial(Y)(e) = (p+1)x \equiv 0 \pmod{p^2-1}$$

since there are $p+1$ edges leaving v . This proves the lemma. □

In order to give a precise statement of our theorem, we must invoke the relationship between orientations on \mathcal{T} and the embeddings σ_i . As Drinfeld shows, and we explain in Lemma 14 of [8], the action of Π on the tangent space T to \mathcal{G} allows us to partition the vertices of \mathcal{T} into two classes labeled with the σ_i . To describe this partition, first decompose T into σ_i -eigenspaces for the action for the quadratic unramified extension of \mathbb{Z}_p inside \mathcal{O}_D . A vertex v is labelled with σ_i if $\Pi T^i \subset pT^{i+1}$ over the affinoid reducing to v where T^i is the σ_i -eigenspace in T . Vertices of the two classes alternate in the tree.

Since $\partial_i(\Sigma)$ is $\text{PGL}_2^+(\mathbb{Q}_p)$ -invariant, and this group permutes the edges of \mathcal{T} transitively, it suffices to specify the value of $\partial_i(\Sigma)$ on a single edge. This is the content of our theorem.

THEOREM 5. — *Let $e = [v, v']$ be an edge of \mathcal{T} . Suppose that v is labeled with σ_i . Then*

$$\partial_i(\Sigma)(e) = p - 1.$$

Proof. — Notice first of all that, by Lemmas 2 and 4,

$$\begin{aligned} \partial_i(\Sigma)([v, v']) &= -\partial_i(\Sigma)([v', v]) \\ &= p\partial_i(\Sigma)([v', v]) \\ &= \partial_{i+1}(\Sigma)([v', v]) \end{aligned}$$

and therefore we may assume that v is labeled with σ_0 . Let U be the affine open set of \mathcal{H}_p corresponding to e . It follows from Lemma 2 of [8] that U is a $\text{PGL}_2^+(\mathbb{Q}_p)$ translate of the standard open set

$$U(1) = \{P \in \mathcal{H}_p : 1/p \leq |z(P)| \leq 1\} - \bigcup_{i=1}^{p-1} (B_1(i) \cup B_{1/p}(pi))$$

where $B_r(i)$ denotes the open disc of radius r centered at i . Therefore the coordinate ring of U is isomorphic to

$$\hat{R} = \varprojlim R/p^n R$$

where

$$R = \frac{\mathbf{Z}[z_0, z_1]}{(z_0 z_1 - p)} \left[\frac{1}{1 - z_0^{p-1}}, \frac{1}{1 - z_1^{p-1}} \right].$$

As we recalled prior to stating this theorem, the tangent space T to \mathcal{G} over U is free of rank 2, and it carries a grading coming from the action of the maximal unramified extension of \mathbf{Z}_p in \mathcal{O}_D . Write $T = \hat{R}t_0 \oplus \hat{R}t_1$. Referring to [8] p. 656, we see that the Π action on T is $\Pi t_0 = z_1 t_1$ and $\Pi t_1 = z_0 t_0$. With these conventions, the vertex v of T labeled with σ_0 corresponds to the region where z_0 is a unit; the vertex v' labeled with σ_1 corresponds to the region where z_1 is a unit.

Let Ω be the cotangent space to \mathcal{G} . Then $\Omega_\Pi = \Omega/\Pi\Omega$ is naturally the cotangent space to \mathcal{G}_Π . If ω_0 and ω_1 generate the graded pieces of Ω , then we must have $\Pi\omega_i = z_i\omega_{i+1}$. It follows that

$$(1) \quad \Omega_\Pi = (\hat{R}/z_1\hat{R})\omega_0 \oplus (\hat{R}/z_0\hat{R})\omega_1.$$

The finite flat group scheme \mathcal{G}_Π , together with its action by \mathbf{F} is of the type classified by Raynaud. Applying his classification (see [5], Corollary 1.5.1) we see that the coordinate B ring of \mathcal{G}_Π must have the form

$$B = \hat{R}[X_0, X_1]/(X_0^p - \delta_0 X_1, X_1^p - \delta_1 X_0)$$

where the functions δ_i and p/δ_i belong to \hat{R}^\times . In addition, Raynaud shows that the natural identification of Ω_Π with I/I^2 (I being the augmentation ideal) means that

$$(2) \quad \Omega_\Pi = (\hat{R}/\delta_1\hat{R})X_0 \oplus (\hat{R}/\delta_0\hat{R})X_1.$$

Combining (1) and (2), we see that z_i and δ_i differ by a unit of \hat{R} .

We now have enough information to compute the class of Σ . Indeed, Σ is defined over U by the equation

$$X_0^{p^2-1} - \delta_0^p \delta_1 = 0.$$

The group \mathbf{F}^\times acts on X_0 through the embedding σ_0 . Let us write $f = \delta_0^p \delta_1$. Then

$$\partial_0(\Sigma)(e) = \text{Res}_{z_0} df/f \pmod{p^2 - 1}.$$

Our results above tell us that $\delta_0^p \delta_1 = pz_0^{p-1}h(z)$ where h is a unit in \hat{R} . This residue is clearly $p - 1$. \square

Thanks to this theorem, we can construct Σ over \mathbb{C}_p . Let X be the non-singular projective curve over \mathbb{C}_p defined by the affine equation

$$(3) \quad Y^{p+1} = z - z^p .$$

Let $W \subset X$ be the admissible open set of points P on X such that

$$(4) \quad |p^{1/(p+1)}| < |Y(P)| < |p^{-p/(p+1)}| .$$

COROLLARY 6. — *Over \mathbb{C}_p , Σ consists of $p-1$ isomorphic connected components. Each such component has a covering by admissible open sets isomorphic to W . The nerve of this covering is the tree \mathcal{T} . If W_1 and W_2 are two elements of the covering, and $E = W_1 \cap W_2 \subset W_1$, then E is one of the boundary annuli of W_1 .*

Proof. — Let U be the subset of $\mathcal{H}_p \otimes \text{Spf } \mathbb{C}_p$ consisting of one vertex (say, labeled with σ_0), and its bounding edges. Then by Theorem 5, Σ over U is obtained by extracting the $p^2 - 1$ root of a function with order congruent to $p-1 \pmod{p^2-1}$ on each bounding annulus. If z is a coordinate on U , then the function $f(z) = (z - z^p)^{p-1}$ clearly meets this condition. Thus Σ is defined over U by the equation

$$Y_0^{p^2-1} = (z_0 - z_0^p)^{p-1}$$

where z_0 is an appropriate parameter on U . Notice first that this equation factors, so that Σ consists of $p-1$ connected components, and is built up out of pieces of the curve in (3) as claimed. It is a simple matter to check that the subset of W satisfying the inequality (4) has genus $(p^2 - p)/2$. Thus the reduction of Σ consists of curves meeting in double points, like the reduction of \mathcal{H}_p , except that the rational curves which appear in the reduction of \mathcal{H}_p are replaced by the curves of equation (3).

With somewhat more care one can determine the equations for Σ over $\hat{\mathbb{Z}}_p^{ur}$, instead of just over \mathbb{C}_p . Examining the end of the proof of Theorem 5 we see that over $\hat{\mathbb{Z}}_p^{ur}$ we can take $\delta_0^p \delta_1 = p(z - z^p)^{p-1}$ and therefore Σ is defined over U by the equation

$$Y_0^{p^2-1} = p(z_0 - z_0^p)^{p-1} .$$

From this one can obtain a minimal regular model for Σ over $\hat{\mathbb{Z}}_p^{ur}$ by blowing-up. This is a straightforward computational problem whose solution we omit, although we do point out that the minimal model has no components of multiplicity one.

Finally, notice that the action of $\text{PGL}_2^+(\mathbb{Q}_p)$ on Σ extends to an action of $\text{PGL}_2(\mathbb{Q}_p)$. Indeed, choose $\tau \in \text{PGL}_2(\mathbb{Q}_p) - \text{PGL}_2^+(\mathbb{Q}_p)$. Then

$c_i(\tau^*\Sigma) = -c_i(\Sigma)$ since τ reverses orientations. It follows that $\tau^*\Sigma$ is isomorphic to Σ as a rigid space but that the action of μ_{p^2-1} on $\tau^*\Sigma$ is twisted by Frobenius. This could have been deduced, of course, from the general construction of Drinfeld.

Application to Shimura curves.

Now we examine the implications of Theorem 5 for the geometry of Shimura curves. Let Δ be an indefinite quaternion algebra over \mathbf{Q} ramified at p and let L be a maximal order in Δ . Suppose $n \geq 3$ is prime to p . Let S_n be the scheme representing the functor which associates to a scheme S the set of isomorphism classes of abelian surfaces over S with an L action and a level n -structure, and let S_n^{an} be the associated p -adic rigid space.

Let $\wp \subset L$ be the unique prime ideal above p . Let $S_{n,\wp}$ be the covering of S_n which classifies abelian L surfaces together with level n structure and level \wp structure. As before, $S_{n,\wp}^{\text{an}}$ is the associated p -adic rigid space.

Let

$$X_n = U_n \backslash (\Delta' \otimes \mathbf{A}^f)^\times / \Delta'^\times$$

where Δ' is the definite quaternion algebra obtained from Δ by interchange of invariants at p and ∞ . Let U_n be the principal congruence subgroup

$$U_n \subset \prod_{l \neq p} (L \otimes \mathbf{Z}_l).$$

With this notation, we can state (a slightly simplified form of) Drinfeld's theorem.

THEOREM (Drinfeld [2]). — *There are isomorphisms*

$$(5) \quad \text{GL}_2(\mathbf{Q}_p) \backslash \mathcal{H}_p \otimes \text{Spf } \hat{\mathbf{Z}}_p^{ur} \times X_n \rightarrow S_n^{\text{an}}$$

and

$$(6) \quad \text{GL}_2(\mathbf{Q}_p) \backslash \Sigma \times X_n \rightarrow S_{n,\wp}^{\text{an}}.$$

Furthermore, as Drinfeld points out, the quotient in (5) is actually the union of a finite number of components, each of the form

$$\Gamma \backslash \mathcal{H}_p \otimes \text{Spf } \hat{\mathbf{Z}}_p^{ur}$$

where Γ is a Schottky group.

Combining this with our geometric description of Σ , we obtain the following theorem.

THEOREM 8. — *Let $S_n(\Gamma) = \Gamma \backslash \mathcal{H}_p \otimes \text{Spf } \hat{\mathbf{Z}}_p^{ur}$ be one of the components of S_n^{an} . Suppose $\Phi = \mathcal{T}/\Gamma$ is the intersection graph of $S_n(\Gamma)$. Then the covering $S_{n,p}^{\text{an}}$ over $S_n(\Gamma)$ has a stable model over \mathbf{C}_p consisting of $p - 1$ components. The reduction of each such component has intersection graph Φ , but the vertices correspond to curves with the equation (3) rather than to rational curves.*

For the sake of concreteness, we supply an example. Suppose that Δ has discriminant 26 and that $p = 2$. Then Δ' has discriminant 13. Choose an embedding $\Delta' \otimes \mathbf{Z}_p \hookrightarrow M_2(\mathbf{Q}_p)$. Let A be a maximal $\mathbf{Z}[1/2]$ order in Δ' , and let

$$\Gamma = \{ \gamma \in A : nr(\gamma) = 2^k, k \text{ even} \} .$$

The Shimura curve S_1^{an} of level 1 (over \mathbf{C}_p) is the quotient

$$\Gamma \backslash \mathcal{H}_p \otimes \text{Spf } \mathbf{C}_p .$$

We are allowed to consider level 1 since Δ' has no multiplicative torsion. Since Δ' has class number 1, it is not hard to check that the special fiber of S_1 consists of two rational curves meeting in 3 points — see [3] or [6]. By the theorem, the special fiber of $S_{1,p}$ consists of two copies of the elliptic curve $Y^3 = z - z^2$ crossing in three points.

Conclusions.

In conclusion, we mention two questions related to our subject matter. The first, rather naturally, is to obtain information on the higher coverings of the p -adic upper half plane; and, in particular, on the covering obtained from the p -torsion on Drinfeld's formal group. This is clearly a much harder problem than the one we have solved, since the higher coverings are not abelian and are in some sense "wildly ramified."

From a rigid analytic point of view, however, it would also be interesting to study the class of curves which admit a uniformization by Σ . Such curves are a type of generalized Mumford curve, and it would be worthwhile to extend the p -adic analytic theory of Mumford curves to this more general setting. In particular, the Jacobians of these curves are semi-abelian schemes, and it would be interesting to obtain some form of the Manin-Drinfeld theory of p -adic automorphic forms on Σ .

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Manuscrit reçu le 5 mai 1989,
révisé le 18 décembre 1989.

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