

Three perspectives on p -adic numbers: analytic, algebraic, topological

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Abstract

I outline the 3 main approaches to the construction of the p -adic numbers. The analytic approach constructs \mathbb{Q}_p by taking the completion of \mathbb{Q} with respect to the nonarchimedean absolute values, and classifies the nonarchimedean absolute values on \mathbb{Q} as the p -adic ones. The algebraic approach defines completions with respect to topologies given by filtrations using inverse limits. Finally, Weil's topological approach starts with a nonarchimedean local field in characteristic zero, and shows that such fields are precisely the p -adic fields. These three approaches give various insights into the p -adics. Local compactness is emphasized.

1 Introduction: Why p -adic numbers?

I'll start by motivating p -adic numbers. To do so, I'll take a perspective that's not any of those; instead think (algebro) geometrically.

Take $R = k[T_1, \dots, T_n]$. What does it mean to evaluate a polynomial? Take $f(\underline{T}) \in R$ and $\underline{t} = t_1, \dots, t_n \in k$. One can evaluate $f(\underline{t})$ by using the field operations, but also can be done by reduction mod $(T_1 - t_1, \dots, T_n - t_n)$. Indeed, long division sort of works, so you have

$$f(T) = g_1(T_1 - t_1) + \dots + g_n(T)(T_n - t_n) + r(T)$$

with $\deg r(t_1) < 1$ with respect to t_1 for instance. Since $r(T) = f(T) - g_1(T)(T_1 - t_1) - \dots - g_n(T)(T_n - t_n)$, we have $r(T) \in (T_1 - t_1, \dots, T_n - t_n)$, so do long division again with respect to t_2 , etc. until $f(\underline{T}) = g(\underline{T})(T_1 - t_1, \dots, T_n - t_n) + c$. Clearly $f(\underline{t}) = c$.

Number theorists are interested in \mathbb{Z} (and \mathbb{Q} and stuff). There are a lot of formal similarities between \mathbb{Z} , \mathbb{Q} , and their extensions, and $k[T]$, $k(T)$, and their *separable* extensions. For instance \mathbb{Z} and $k[T]$ are both PIDs. Taking $k = \mathbb{F}_q$, they both have finite residue fields. Let's see if we can "evaluate function" on \mathbb{Z} . Taking $f \in \mathbb{Z}$, then by analogy with the above, evaluating f at p should be the map $f \mapsto f \bmod p$. What a weird operation!

Let's talk about series expansions. In $k[T]$ (one variable this time), fix a point $t \in k$, and let $f(T) = g_1(T)(T - t) + r_1(T)$. Then let $g_1(T) = g_2(T)(T - t) + r_2(T)$, so $f(T) = (g_2(T)(T - t) + r_2(T))(T - t) + r_1(T) = g_2(T)(T - t)^2 + r_2(T)(T - t) + r_1(T)$. Note that $\deg g_n(T)$ and $\deg r_n(T)$ are strictly decreasing, so

$$f(T) = a_0(T - t)^n + a_1(T - t)^{n-1} + \dots + a_0$$

with the $a_i \in k[T]/(T - t) \simeq k$. In exactly the same way, we can take a "base p expansion" of an integer f :

$$f = f_0 p^n + f_1 p^{n-1} + \dots + f_n$$

with the f_i “ $\in \mathbb{Z}/p\mathbb{Z}$ ” “ $\{0, 1, \dots, p-1\}$ ”. Now the f_i are actually integers, but they behave as if the “came from” $\mathbb{Z}/p\mathbb{Z}$.

We can form two kinds of localization: $k[T, (T-t)^{-1}]$ and $k[T]_{(T-t)}$. In the former, functions have a singularity at t , and in the latter, they can have a singularity anywhere *except* at t . In \mathbb{Z} , the analogues are

$$\mathbb{Z}[1/p], \quad \mathbb{Z}_{(p)} = \left\{ \frac{a}{b} : p \nmid b \right\}.$$

The p -adic numbers “complete” the latter ring by allowing power series in p converging “in a neighborhood of p ”. We have familiar expressions like

$$\frac{1}{1-p} = 1 + p + p^2 + \dots$$

analogous to

$$\frac{1}{1-x} = 1 + x + x^2 + \dots, \quad |x| < 1.$$

2 Analytic view

To give a definition of the p -adic numbers, let’s introduce a metric on \mathbb{Z} .

Definition 1. Let R be a ring. A *valuation* on R is a function

$$v : R \rightarrow \mathbb{R} \cup \{\infty\}$$

such that

- (a) $v(xy) = v(x) + v(y)$
- (b) $v(x+y) \geq \min\{v(x), v(y)\}$.
- (c) $v(R - \{0\}) \subset \mathbb{R}$.

An *absolute value* is a function $|\cdot| : R \rightarrow \mathbb{R}$ such that

- 1. $|xy| = |x||y|$.
- 2. $|x+y| \leq |x| + |y|$.
- 3. $|x| = 0$ iff $x = 0$.

Two absolute values $|\cdot|_1, |\cdot|_2$ are *equivalent* if $|x|_1 = |x|_2^s$ for some $s > 0$. A *place* is an equivalence class of absolute values. Valuations and absolute values are related by

$$|x| = c^{-v(x)}, \quad v(x) = -\log_c |x|$$

for some $c > 0$.

$|\cdot|$ is *nonarchimedean*, hence $|nx|$ is bounded for $n \in \mathbb{Z}$.

Lemma 1. We have that $|\cdot|$ is nonarchimedean if and only if $|x+y| \leq \max\{|x|, |y|\}$.

Proof. Clearly the “only if” holds. Conversely, suppose WLOG $|x| \geq |y|$, and let $n \geq 0$. Then

$$|x + y|^n = \sum_{k=0}^n \binom{n}{k} |x|^k |y|^{n-k} \leq \sum_{k=0}^n N |x|^n = (n+1)N |x|^n.$$

Take n th roots and the limit as $n \rightarrow \infty$. □

Theorem 2 (Ostrowski). *Let $|\cdot|$ be an absolute value on \mathbb{Z} . Either*

- (a) $|\cdot|_0$ the trivial absolute value.
- (b) The usual absolute value.
- (c) A p -adic absolute value: $|p| < 1$ for p prime, and $|\ell| = 1$ for all primes $\ell \neq p$.

Proof. Assume $|\cdot|$ is nontrivial. There are two possibilities: (1) $|\cdot|$ is *archimedean*, i.e. for all $M > 0$ and $x \in \mathbb{Z}$, there is some $n \in \mathbb{Z}$ such that $|nx| > M$. It is standard real analysis to show that any such absolute value is equivalent to the usual one. This is the hardest part of the proof.

(2) Suppose $|\cdot|$ is nonarchimedean, hence $|nx|$ is bounded for $n \in \mathbb{Z}$. Then $|x+1|$ Since it is nontrivial, there is some integer n_0 such that $|n_0| < 1$. Since $|xy| = |x||y|$, there is some prime p such that $|p| < 1$. Let

$$\mathfrak{a} = \{n \in \mathbb{Z} : |n| < 1\}.$$

This is obviously an nontrivial ideal ($|1| = 1$ and the Lemma). We claim that $\mathfrak{a} = p\mathbb{Z}$. Firstly, we claim that $|n| \leq 1$ for all $n \in \mathbb{Z}$. Let ℓ be the smallest prime for which $|\ell| \neq 1$. Indeed, $|x| \leq \max\{|x-1|, |1|\} \leq \max\{|x-1|, |1|\}$, so $|x| \leq 1$ for all $0 \leq x < \ell$. Hence $|\ell| = |\ell-1+1| \leq \max\{|\ell-1|, |1|\} \leq 1$, so $\ell = p$, otherwise $\mathfrak{a} = \mathbb{Z}$, contradicting $1 \notin \mathfrak{a}$. □

We normalize the p -adic absolute value so that $|p|_p = 1/p$. Hence $|\mathbb{Z}|_p = p^{\mathbb{Z}_{\geq 0}} \cup \{0\}$, and you can clearly extend $|\cdot|_p$ to \mathbb{Q} so $|\mathbb{Q}|_p = p^{\mathbb{Z}} \cup \{0\}$.

Proposition 3. *Let F be a field with an absolute value $|\cdot|$. Then $R := \{x \in R : |x| \leq 1\}$ is a local ring with unique maximal ideal $\mathfrak{m} = \{x \in R : |x| < 1\}$.*

Proof. Trivial. □

Definition 4. Let \mathbb{Q} have the p -adic absolute value. Its valuation ring is $\mathbb{Z}_{(p)}$ with principal maximal ideal $p\mathbb{Z}_{(p)}$. We have $\mathbb{Z}_{(p)}/p\mathbb{Z}_{(p)} \simeq \mathbb{F}_p$.

Taking the completion of \mathbb{Q} with respect to this absolute value, we obtain the p -adic numbers \mathbb{Q}_p .

Proposition 5. *The ring \mathbb{Q}_p is locally compact with compact open subring \mathbb{Z}_p . The ideal $p\mathbb{Z}_p$ in \mathbb{Z}_p is maximal, open and closed, and induces the topology on \mathbb{Q}_p via the filtration $\{p^i \mathbb{Z}_p\}_{i \in \mathbb{Z}}$. In particular, \mathbb{Q}_p is totally disconnected.*

Proof. Everything follows once we show that \mathbb{Z}_p is compact, which we show later using algebra. We leave it as an easy exercise to show that \mathbb{Z}_p is open and closed. Hint: show that $|x+y| = \max\{|x|, |y|\}$ if $|x| \neq |y|$. □

Proposition 6. Let $R = \{0, 1, \dots, p-1\}$ be the set of standard representatives mod p . Then a p -adic integer can be written as

$$\sum_{n \geq 0} a_n p^n, \quad a_n \in R,$$

and a p -adic number can be written as

$$\sum_{n \geq m} a_n p^n, \quad a_n \in R, \quad m \in \mathbb{Z}.$$

Proof. An integer is of the form $f_n = a_0 + a_1 p + \dots + a_n p^n$. If f is a p -adic integer, then f is a p -adically Cauchy sequence of integers f_n . Taking a subsequence if necessary, we may assume that $p^{\min\{n, m\}} | (f_n - f_m)$ for all $m, n \geq 0$. Hence $p^n | (f_n - f_{n+1})$ for all $n \geq 0$; write $f_{n+1} - f_n = c_n p^n$, so $f_{n+1} = f_n + c_n p^n$. By induction, we have that $f_n = a_0 + a_1 p + \dots + a_n p^n$ for some a_i (independent of $n \geq 0$), so f is identified with

$$\lim_{n \rightarrow \infty} f_n = \sum_{n \geq 0} a_n p^n.$$

Since $f_{n+1} \equiv f_n \pmod{p^n}$, we have $f_{n+1} - f_n = p^n c + a_{n+1}$ with $a_{n+1} \in \{0, \dots, p-1\}$, so by induction, we win. \square

Corollary 7. $\mathbb{Z}_p / p^n \mathbb{Z}_p \simeq \mathbb{Z} / p^n \mathbb{Z}$.

Proof. This follows at once from the p -adic expansion. \square

Exercise 1. Extend the whole discussion to number fields and their rings of integers. Can you do this for function fields? What about arbitrary Dedekind domains? Read Neukirch *Algebraic Number Theory* if you haven't already.

3 Algebraic

Now we consider the p -adic numbers algebraically. Start with \mathbb{Z} , and fix a prime $p \in \mathbb{Z}$. Define

$$\mathbb{Z}_p = \varprojlim_{n \geq 1} \mathbb{Z} / p^n \mathbb{Z} \subset \prod_{n \geq 1} \mathbb{Z} / p^n \mathbb{Z}$$

with transition maps $\mathbb{Z} / p^{n+1} \mathbb{Z} \rightarrow \mathbb{Z} / p^n \mathbb{Z}$ being the projections.

Give \mathbb{Z}_p the induced topology from the product topology. It is closed in the product topology (exercise), hence compact.

Proposition 8. Let $U_i = p^i \mathbb{Z}_p$, and give \mathbb{Z}_p the topology such that U_i is a neighborhood base of 0. This is the same topology as above.

Proposition 9. The ring \mathbb{Z}_p is compact, and isomorphic to \mathbb{Z}_p from above.

Proof. An element of our new \mathbb{Z}_p is a sequence $(a_n + p^{n+1} \mathbb{Z})$ such that $a_n \equiv a_{n-1} \pmod{p^n}$. The number a_0 is determined by an element of R . a_1 is such that $a_1 \equiv a_0 \pmod{p}$, so $a_1 = a_0 + p b_0$, hence $a_2 = a_0 + p a_1 + p^2 b_2$, etc. Since $U_i = p^i \mathbb{Z}_p$ is a neighborhood base of zero, the sequence $b_n p^n \rightarrow 0$, so this sequence converges. Since \mathbb{Z}_p is an inverse limit, it's enough to define maps out of our previous \mathbb{Z}_p to $\mathbb{Z} / p^n \mathbb{Z}$ for all n which must factor through the inverse limit. Then we check injective and surjective.

Let x be an element of \mathbb{Z}_p . Then \square

More generally, if A is any ring, M is an A -module, and I is an ideal of A , the I -adic completion of A is the ring

$$\widehat{A} = \varprojlim_{n \geq 1} A/I^n,$$

and the I -adic completion of M is the \widehat{A} -module

$$\widehat{M} = \varprojlim M/I^n M.$$

There are even more general sorts of completions where you take a filtration of A by ideals that are not necessarily powers of some ideal. Read Atiyah-MacDonald.

4 Topological

Of immeasurable importance to number theory are *local fields*. These are, simply enough, locally compact fields.

Theorem 10. *Let K be a local field. Then K is a finite extension of \mathbb{Q}_p , or a finite extension of $\mathbb{F}_q((t))$.*

To prove this, we start with some preliminaries.

Theorem 11. *Let G be a locally compact group. Then there is a Radon measure μ on G that is left-invariant, i.e.*

$$\mu(g \cdot E) = \mu(E) \quad \forall g \in G, \forall E \text{ measurable.}$$

Such a measure is unique up to scaling.

Proof. Hard. See any book on harmonic analysis. Better yet, read Ramakrishnan and Valenza's *Fourier Analysis on Number Fields*. \square

This is called a *Haar measure* on G . Recall that a Radon measure is finite on compact sets, nonzero on open sets.

Let G be a locally compact abelian group, and $\alpha : G \rightarrow G$ be a continuous automorphism. If E is any Borel set, so is αE , so $\mu \circ \alpha$ is a Haar measure on G , so it's a multiple of μ ; we call this multiple the *module of α* ;

$$\mu(\alpha E) = \text{mod}_G(\alpha) \mu(E).$$

Clearly

$$\text{mod}_G(\alpha\beta) = \text{mod}_G(\alpha) \text{mod}_G(\beta).$$

Proposition 12. *Let K be a locally compact field with Haar measure μ . Then $\text{mod}_K : K \rightarrow \mathbb{R}_{>0}$ is continuous.*

Proof. Fix a compact neighborhood E of zero and choose $a \in k$. Then $\mu(E) > 0$. Since μ is outer regular, for every $\varepsilon > 0$, there is some open set U such that $aK \subset U$ and

$$\mu(U) \leq \mu(aK) + \varepsilon.$$

Since multiplication is continuous and E is compact, there is a neighborhood W of a such that $WE \subset U$. But then for all $b \in W$, $bE \subset U$, so

$$\mu(bE) \leq \mu(aE) + \varepsilon$$

whence dividing by $\mu(E)$,

$$\text{mod}_k(b) \leq \text{mod}_k(a) + \mu(E)^{-1}\varepsilon.$$

Hence mod_k is continuous at zero. Moreover, it shows that the inverse image of $(0, x)$ is open. Since $\text{mod}_k(a^{-1}) = \text{mod}_k(a)^{-1}$, so the inverse image of (x, ∞) is open. Thus the inverse image of any interval is open, and we win. \square

Corollary 13. *Assume k is nondiscrete. Let U be any neighborhood of zero.*

(a) *Then for every $\varepsilon > 0$, there is some $a \in U$ such that $0 < \text{mod}_k(a) < \varepsilon$.*

(b) *mod_k is unbounded, so k is not compact.*

Proof. (a) We have that $\text{mod}_k^{-1}[0, \varepsilon)$ is open, hence its intersection with U is a neighborhood of zero. So it contains a nonzero element a , (since U is nondiscrete), which has the desired property.

(b) By (a), there is a such that $0 < \text{mod}_k(a) < \varepsilon$. Taking the inverse, we find that $\text{mod}_k(a^{-1}) \geq \varepsilon^{-1}$. \square

Proposition 14. *Let k be as above and $m \geq 1$ an integer. Then*

$$B_m = \{a \in k : \text{mod}_k(a) \leq m\}$$

is compact.

Proof. Note that B_m is closed by continuity of mod_k . Let V be a compact neighborhood of zero, and let W be a neighborhood of zero such that $WV \subset V$. Then by the first corollary, there is some $r \in W \cap V$ with $0 < \text{mod}_k(r) < 1$. Hence $r^n \in V$ for all $n \geq 1$, whence the sequence $\{r^n a\}$ for $a \in k$ lies in the compact set Va , and therefore has a limit point. But $\text{mod}_k(r^n a) \rightarrow 0$, so the limit point is zero. Since V contains a neighborhood of zero, either $a \in V$ or $v_a := \min\{n : r^n a \in V\}$ is finite and positive. In the latter case, $r^{v_a} a \in V - rV$.

We claim that for $a \in B_m - V$, the v_a are bounded above. Granting this, it follows that B_m is contained in the union of the compact subsets $V, r^{-1}V, \dots, r^{-M}V$ and is therefore compact.

Now let's prove the claim. Let X be the closure of $V - rV$, which is compact and excludes zero. Set

$$\beta = \inf_{x \in X} \text{mod}_k(x).$$

Then $\beta > 0$, since a continuous function on a compact set achieves its minimum, which in this case cannot be zero. Choose M such that $\text{mod}_k(r)^M < \beta/m$. Then if $a \in B_m - V$, we have

$$\text{mod}_k(r)^M m \leq \beta \leq \text{mod}_k(r)^{v_a} \text{mod}_k(a) \leq \text{mod}_k(r)^{v_a} \cdot m.$$

Since $0 < \text{mod}_k(r) < 1$, we must have $v_a \leq M$. \square

Corollary 15. *For $a \in k$, $\lim a^n = 0$ iff $\text{mod}_k(a) < 1$.*

Proof. If $\text{mod}_k(a) < 1$, then the a^n lie in the compact set B_1 and therefore $\{a^n\}$ converges. By continuity, the limit has module zero and is therefore also zero. Converse is trivial. \square

Corollary 16. *Let F be a discrete field in k . Then for all $a \in F$, $\text{mod}_k(a) = 1$. Moreover, F is finite.*

Proof. If $a \in F^\times$ but $\text{mod}_k(a) < 1$, then $\{a^n\}$ lies in F which is not discrete, a contradiction. If $\text{mod}_k(a) > 1$, same argument applies to a^{-1} . Moreover, discrete + compact implies finite. \square

Proposition 17. *The sets B_r form a neighborhood base at zero for the topology of k .*

Proof. In a locally compact Hausdorff space, the compact neighborhoods of a point give a local base. On any compact neighborhood V of zero in k , mod_k is bounded, say by m . Hence $V \subset B_m$, and X the complement of the interior of V in B_m is likewise compact: set $\beta = \inf_{x \in X} \text{mod}_k(x) > 0$. Then for any $0 < \gamma < \beta$, we have $B_\beta \subset V$. \square

Proposition 18. *The function mod_k induces an open homomorphism of k^\times onto a closed subgroup Γ of $\mathbb{R}_{>0}$.*

Proof. Let x be the limit of a sequence $\{\text{mod}_k(a_j)\}$ with $a_j \in k$. The mod_k is bounded on this sequences, so eventually the a_j fall in a compact ball B_m . Hence x is in the closure of the continuous image of a compact set, which is itself compact, so $x \in \text{mod}_k(B_m)$, so $\text{mod}_k(k^\times)$ is closed.

Now we show that mod_k is open on k^\times . Let U denote the kernel of the restricted map, so we have a short exact sequence

$$1 \rightarrow U \rightarrow k^\times \rightarrow \Gamma \rightarrow 1.$$

Let V be an open subset of k^\times and let $\{x_j\}$ be an sequence in Γ converging to some $x \in \text{mod}_k(V)$. Set $x = \text{mod}_k(a)$ for some $a \in V$. The sequences $\{x_j\}$ pulls back via mod_k to a sequence $\{a_j\}$ in the unit group k^\times , so the points eventually fall into one of the compact balls B_m . Therefore some subsequence $\{a'_j\}$ of the sequence $\{a_j\}$ converges, say to $\alpha \in k^\times$. By continuity, $\text{mod}_k(\alpha) = x$, so $\alpha \in aU \subset VU$. Since VU is open, the points of $\{a'_j\}$ must eventually lie in VU . But $\text{mod}_k(VU) = \text{mod}_k(V)$, showing that the subsequence $\{\text{mod}_k(a'_j)\}$ of the original sequence $\{x_j\}$, hence the entire sequence, eventually lands in $\text{mod}_k(V)$. Hence the image of V is open. \square

Theorem 19. *Let k be a locally compact indiscrete topological field with Haar measure μ . Then*

1. *There is a constant $A \geq 1$ such that*

$$\text{mod}_k(a + b) \leq A \max\{\text{mod}_k(a), \text{mod}_k(b)\} \quad \forall a, b \in k.$$

2. *If $A = 1$, then $\text{mod}_k(k^\times)$ is discrete.*

Proof. Set $A = \sup_{b \in B_1} \text{mod}_k(1 + b)$. The supremum is taking over a compact set (a translate of B_1), so A is finite and ≥ 1 . Now consider $ab \neq 0$ and WLOG $\text{mod}_k(b) \leq \text{mod}_k(a)$. Setting $c = a^{-1}b$, $\text{mod}_k(c) \leq 1$ and $a + b = a(1 + c)$; $\text{mod}_k(1 + c) \leq A$, hence

$$\begin{aligned} \text{mod}_k(a + b) &= \text{mod}_k(a) \text{mod}_k(1 + c) \\ &\leq A \text{mod}_k(a) \\ &= A \max\{\text{mod}_k(a), \text{mod}_k(b)\}. \end{aligned}$$

If $A = 1$, let U be the interior of B_1 . Then $\text{mod}_k : 1 + U$ to an open subset of Γ containing 1 and contained in $[0, 1]$. Hence $\text{mod}_k(1 + U)$ is the intersection of an open subset of \mathbb{R} with Γ , so there is an open interval I containing 1 whose intersection with Γ is contained in $[0, 1]$. But 1 is a left accumulation point in Γ if and only if it is a right accumulation point (since $\text{mod}_k(a^{-1}) = \text{mod}_k(a)^{-1}$). Hence 1 must be open so Γ is discrete. \square

Lemma 2. *If $F : \mathbb{Z}_{\geq 1} \rightarrow \mathbb{R}$ is completely multiplicative and $F(m+n) \leq A \max\{F(m), F(n)\}$ for all m, n , then either (i) $F(m) \leq 1$ for all m or $F(m) = m^\lambda$ for some $\lambda > 0$.*

Proof. Exercise for the analytic number theorists in the room. Use log? \square

Proposition 20. *If mod_k is bounded on the image of \mathbb{Z} , then $\text{mod}_k \leq 1$ on the prime ring and k is ultrametric.*

Proof. We have $\text{mod}_k(m^j) = \text{mod}_k(m)^j$, so the induced map is bounded only if it lands in $[0, 1]$. It remains to show that k is ultrametric. Let $N = 2^n$. Then splitting the summation $\sum_{j=1}^N a_j$ into two sums containing half the terms, we have

$$\text{mod}_k\left(\sum_{j=1}^N a_j\right) \leq A^n \sup_j \{\text{mod}_k(a_j)\}.$$

hence

$$\text{mod}_k\left(\sum_{j=1}^N a_j\right) \leq A^{\log_2(N)} \sup_j \{\text{mod}_k(a_j)\}.$$

Thus

$$\text{mod}_k(a+b)^{2^n} \leq A^{n+1} \sup_{0 \leq j \leq 2^n} \left\{ \text{mod}_k\left(\binom{2^n}{j}\right) \text{mod}_k(a)^j \text{mod}_k(b)^{2^n-j} \right\}.$$

Take logs, divide by 2^n , let n go to ∞ , hence $\text{mod}_k(a+b) \leq \text{mod}_k(a)$. \square