

# RATIONAL POINTS OVER $C_1$ FIELDS

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## 1. INTRODUCTION

Early in his work, Yuri Manin established a conjectural relation between the geometry of certain smooth projective varieties and the existence of rational points on them on some specific fields. We shall focus on the first such example, published in 1966 in [Man66]. He was 29.

In his PhD thesis [Lan52], Lang defines the notion of a quasi algebraically closed field, a concept he attributes to E. Artin, see also the preface [LT65, p.x] to Artin's Collected Papers by Lang and Tate: this is a field  $k$  for which every hypersurface of degree  $d \leq n$  in  $\mathbb{P}^n$  over  $k$  admits a rational point. He defines more generally a field to be  $C_i$  for some natural number  $i$  if every hypersurface of degree  $d$  with  $d^i \leq n$  in  $\mathbb{P}^n$  over  $k$  admits a rational point. So quasi algebraically closed fields are precisely the  $C_1$  fields. He lists fields which are  $C_1$ : finite fields, according to the theorem of Chevalley ([Che35, Théorème]) and its refinement by Warning (see [War35, Satz 1a] in which he shows a congruence modulo the characteristic  $p$  of  $k$  for the number of rational points); function fields over an algebraically closed field, according to the theorem of Tsen [Tse34, Satz 5] (who had also developed a variant of the  $C_i$ -notion). Lang proves in *loc. cit.* that complete discretely valued fields with an algebraically closed residue field are  $C_1$ . In equal characteristic, it includes the henselization at a finite place of a function field over an algebraically closed field (as then rational points are dense in rational points over the completion), in unequal characteristic it includes finite extensions of the maximal unramified extension of  $\mathbb{Q}_p$  (as again rational points are dense in rational points over the completion).

Else there are conjectures. For example E. Artin conjectured that the maximal abelian extension  $\mathbb{Q}^{\text{ab}}$  of  $\mathbb{Q}$  is  $C_1$  (see the preface by Lang and Tate in *loc. cit.*). More recently, Fargues conjectured in [Far20, Conjecture 3.10] that the field of functions  $\bar{\mathbb{Q}}_p(F\!F)$  of the Fargues-Fontaine curve is  $C_1$ , in analogy with Lang's conjecture on the function field  $\mathbb{R}(C_0)$  of the conic,  $C_0 = \text{Spec}(R[x, y]/(x^2 + y^2 + 1))$  over  $\mathbb{R}$  without a point ([Lan53, p. 379]).

Manin in *loc. cit.* Theorem 3.12 b) proves that del Pezzo surfaces  $X$  over a finite field  $\mathbb{F}_q$  have a rational point. He uses the Weil conjectures for del Pezzo surfaces: the second  $\ell$ -adic cohomology  $H^2(X_{\bar{\mathbb{F}}_p}, \mathbb{Q}_\ell)$  is spanned by algebraic cycles, which are all defined over a finite extension of  $\mathbb{F}_q$ , and the

odd cohomology dies. So the Grothendieck-Lefschetz trace formula [Gro64, (25)] expresses the number of  $\mathbb{F}_q$ -points  $|X(\mathbb{F}_q)|$  of  $X$  in the form

$$(\star) \quad |X(\mathbb{F}_q)| = 1 + q \left( \sum_{j=1}^{b_2} \xi_j \right) + q^2$$

where the  $\xi_i$  are roots of unity. This implies that  $|X(\mathbb{F}_q)| \neq 0$ . In fact, more is true: as  $(\sum_{i=1}^{b_2} \xi_j)$  is an algebraic integer, it implies that  $|X(\mathbb{F}_q)|$  is congruent to 1 modulo  $q$ . Manin refers to Weil's article [Wei58, p.557] for the shape of the trace formula in  $\ell$ -adic cohomology. Weil did not have  $\ell$ -adic cohomology at disposal, he was conjecturing its existence and purity, proved later by Deligne in [Del74], and in [Del80]. In *loc. cit.* Weil mentions explicitly the formula  $(\star)$  for rational surfaces as a consequence of his conjecture. He argues that on those, cohomological correspondences on  $X \times_{\mathbb{F}_q} X$  are coming from algebraic cycles defined over some finite extension of  $\mathbb{F}_q$ . Even if he does not quote them, Manin likely had [Gro64] at disposal, and [Tat65] in which Tate formulates the Tate conjecture and details the relation between the zeta function and the cohomology as a Galois module.

Manin then formulates in *loc. cit.* Conjecture 4.1 to the effect that every rational surface  $X$  over a  $C_1$  field  $k$  admits a rational point. He proves it by purely geometric methods for rational surfaces with an extra geometric property, for example when the surface is fibered  $f : X \rightarrow C$  in conics. Then  $C$  itself is a conic, that is a curve of degree  $\leq 2$  in  $\mathbb{P}^2$ , so has a rational point by the  $C_1$  definition, and by the same argument its fibre as well.

Manin's conjecture was really *programmatic*, which made arithmetic and geometric properties intertwined. It is interesting to mention that Deligne, to quote himself, coined the term *Arithmetic Geometry*, influenced by the title of the conference "Arithmetic Algebraic Geometry" held in Purdue in December 1963, in which Tate exposed his conjectures, but also after Manin's article *loc. cit.*. Of course, the Weil conjecture, the Tate conjecture etc. postulate properties shared by all varieties over certain fields, while Manin initiates the study of the relation between some specific fields and some specific varieties.

Campana in [Cam91] in complex geometry and Kollár, Miyaoka and Mori in [KMM92] more generally develop the notion of separably rationally connected varieties, a vast generalization of rational varieties on one hand, and of hypersurfaces of degree  $d \leq n$  in  $\mathbb{P}^n$  on the other. In dimension 1 and 2, rationally connected varieties are precisely rational varieties. In any dimension, a smooth projective connected variety  $X$  over a field  $k$  is separably rationally connected if over the algebraic closure  $\bar{k}$  it admits a free rational curve, that is a morphism  $\mathbb{P}^1 \rightarrow X_{\bar{k}}$  such that the pull-back of the tangent bundle is ample on the rational curve. If  $k$  has characteristic 0 this is equivalent to  $X$  being rationally chain connected, that is to the property that any two geometric points can be linked by a finite connected chain of

rational curves. If  $k$  has characteristic  $p > 0$ , if  $X$  is separably rationally connected, it is rationally chain connected. The positivity of the pull-back of the tangent bundle forces those rational curves to be separable.

Kollár publishes his book [Kol96] in 1996 in which he studies general properties of rationally connected varieties. Manin's conjecture by this time has become the *Lang-Manin conjecture*: separably rationally connected varieties should have a rational point over a  $C_1$  field. In the sequel we call it *the  $C_1$ -conjecture*. We mention also [Kol96, 6.1.1] in which Kollár poses the conjecture as a problem over a function field and [Kol96, 6.1.2] in which he asks for all fields over which separably rationally connected varieties have a rational point.

In this short note, we report on some progress on the  $C_1$ -conjecture. There are two main directions.

The first one relies on a classification of the varieties considered, see Section 3. The proof by Colliot-Thélène [CT86, Proposition 2] of Manin's initial conjecture, that is for rational surfaces, relies on the classification of rational surfaces over any field (by Iskovskikh [Isk80] for the last stone). They are fibered in conics, the case already essentially treated by Manin, or del Pezzo surfaces, see [Wit10, Théorème 1.11].

The second one consists in going through all the known  $C_1$  fields one by one and try to apply methods specific to those fields. For example if  $k$  is a field of functions, do global geometry and degeneration on the special fibres, see Section 3.1. If  $k$  is the henselization at a finite place of a field of functions, reduce to the previous case, see Section 5.2. If  $k$  is finite, make sure that even if  $\ell$ -adic cohomology is not spanned by algebraic cycles, the “level” of the cohomology is at least one so as to be able to apply  $q$ -divisibility in the Grothendieck-Lefschetz trace formula, see Section 4. If  $k$  is a complete discretely valued field with an algebraically closed residue field in unequal characteristic, we know very little, see Section 5.3 for a few modest facts on the index and on a “dynamical” result.

On the other hand, we do not know a complete list of  $C_1$  fields. This shows that we are very far from understanding the conjecture in all generality. At the same time, there are classical varieties which are separably rationally connected and not defined by equations, but e.g. by a moduli functor, like in characteristic 0 the moduli of stable bundles of coprime rank and degree on a curve (see [Kau18] for first steps in this direction). It would be appealing if over a field from which one conjectures it is  $C_1$ , one could find a rational point on a separably rationally connected variety which is not defined by equations. Or perhaps no point: in the latter case, we would have to revise the hierarchy of problems!

This small text is by no means exhaustive and selects a few spots which are closer to the author's interests and understanding. For background and general studies, we refer to [Deb03], [Wit10] and [CT11].

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## 2. GENERAL FACTS

**2.1. The Brauer group.** The Brauer group of a  $C_1$  field is zero, see [Lan52, Corollary of Theorem 14], see [Wit10, Proposition 1.15] for a self-contained proof, where the  $C_1$  property is applied to the reduced norm of the skew field to its center.

In particular, to check whether a field  $k$  is  $C_1$ , one might first compute that its Brauer group  $\text{Br}(k)$  is equal to zero.

Witt proves in [Witt34, Satz 4] that the norm map is surjective on finite extensions of  $\mathbb{R}(C_\circ)$ , which shows that  $\text{Br}(\mathbb{R}(C_\circ)) = 0$  (see [Ser79, Proposition 11, 3]).

For  $\mathbb{Q}^{\text{ab}}$ , one proof is suggested in [Ser79, p. 162, d)]:  $\mathbb{Q}^{\text{ab}}$  contains the maximal cyclotomic extension of  $\mathbb{Q}$  (in fact it is equal to it by the Kronecker-Weber theorem). The Brauer group of a  $p$ -adic field is killed by the maximal cyclotomic extension which is defined over  $\mathbb{Q}$ . The local-global principle applied to the tower of cyclotomic extensions of  $\mathbb{Q}$  allows one to conclude.

Fargues proves  $\text{Br}(\mathbb{Q}_p(F)) = 0$  in [Far20, Théorème 2.2, Corollaire 2.5].

**2.2. Severi-Brauer varieties.** As the Brauer group of a  $C_1$  field  $k$  is trivial, Severi-Brauer varieties over  $k$ , that is smooth projective varieties over  $k$  which are isomorphic to  $\mathbb{P}^d$  over an algebraic closure  $\bar{k}$ , have a rational point.

## 3. GEOMETRY

In this section, we follow the Bourbaki talk by Debarre [Deb03].

**3.1. The theorem of Graber-Harris-Starr.** In [GHS03, Theorem 1.2] the authors prove the  $C_1$  conjecture for  $k = \mathbb{C}(B)$  the field of functions of a curve  $B$  over the field of complex numbers  $\mathbb{C}$ . This is equivalent to saying that if  $f : X \rightarrow B$  is a projective morphism over a curve  $B$  over  $\mathbb{C}$ , with rationally connected generic fiber  $X \times_B \mathbb{C}(B)$ , then  $f$  has a section.

By replacing  $f$  by its Weil restriction with respect to a Noether normalization  $B \rightarrow \mathbb{P}^1$ , we may assume that  $B = \mathbb{P}^1$ .

A closed point of  $X \times_{\mathbb{P}^1} \mathbb{C}(\mathbb{P}^1)$  corresponds to a diagram

$$\begin{array}{ccc} C & \xrightarrow{g} & X \\ u \downarrow & \swarrow f & \\ \mathbb{P}^1 & & \end{array}$$

where  $C$  is a curve and  $u : C \rightarrow \mathbb{P}^1$  is finite. If  $g$ , viewed as a point in the moduli space of maps to  $\mathbb{P}^1$  with certain properties at the ramification of  $C \rightarrow g(C)$ , was smooth, then it would deform to a section of  $f$  ([Deb03, Theorem 4.1]). This is the first place where the authors use transcendental methods. The moduli  $M(X, g_*[C])$  is the one of such maps for a fixed Betti class  $g_*[C] \in H_2(X, \mathbb{Z})$ . They need its compactification for the proof. Then they have to put themselves in this situation. To this aim, they use topological arguments combined with the abundance of rational curves to prove that once they have  $g$ , they can attach to  $C$  many rational curves so the union deforms well.

**3.2. The theorem of de Jong-Starr.** In [dJS03, Theorem] the authors prove the  $C_1$  conjecture for  $k = F(B)$  where  $F$  is any algebraically closed field. Strongly using the freeness of the rational curves, they deform directly algebraically the starting  $g$  bypassing the use of  $M(X, g_*[C])$  and its compactification, and the topological arguments.

#### 4. MOTIVES AND COHOMOLOGY

**4.1. Grothendieck-Lefschetz trace formula.** As we saw in the introduction, if the whole  $\ell$ -adic cohomology of a smooth geometrically connected projective variety  $X$  is spanned by the cycle classes of algebraic cycles, then the Grothendieck-Lefschetz trace formula reads

$$|X(\mathbb{F}_q)| = 1 + \sum_{i=1}^{2d} (-1)^i \text{Tr Fr} |H^i(X_{\overline{\mathbb{F}}_p}, \mathbb{Q}_\ell) = 1 + \sum_{i=1}^d q^i \left( \sum_{j=1}^{b_{2i}} \xi_{j_i} \right)$$

where the  $\xi_{j_i}$  are roots of unity, the  $b_{2i}$  are the Betti numbers of the even weighted  $\ell$ -adic cohomology of  $X_{\overline{\mathbb{F}}_p}$ ,  $\text{Fr}$  is the arithmetic Frobenius acting of  $\ell$ -adic cohomology. (In addition the coefficient of  $q^d$  is equal to 1). As  $(\sum_{j=1}^{b_{2i}} \xi_{j_i})$  is an algebraic integer, from the formula follows the congruence

$$|X(\mathbb{F}_q)| \equiv 1 \pmod{q}.$$

More generally, if the trace formula reads

$$|X(\mathbb{F}_q)| = 1 + q\xi$$

where  $\xi$  is an algebraic integer, then we can conclude that  $|X(\mathbb{F}_q)| \equiv 1 \pmod{q}$ .

In [Esn03], we prove this property for rationally chain connected varieties, which in particular proves the  $C_1$  conjecture (without the extra separability assumption) over finite fields.

We explain how we reach this congruence in the sequel. In *loc. cit.* we used crystalline cohomology. The same argument is transposed here on the  $\ell$ -adic side.

**4.2. Integrality: Deligne's theorem.** In [Del73, Corollary 5.5.3] Deligne proves that the eigenvalues of  $\text{Fr}$  on  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  are algebraic integers. This is an important property in our context as it shows:

the  $C_1$  conjecture over finite fields follows from the statement that the eigenvalues of  $\text{Fr}$  on  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  for  $i > 0$  are all divisible by  $q$  as algebraic integers.

**4.3. Motivic analogy.** In [Esn06, Introduction], we raise the question of

the analogue in  $\ell$ -adic cohomology of the Hodge level for Betti cohomology.

If  $X$  is a smooth complex projective variety, if  $H^i(X, \mathbb{Q})$  is supported in codimension  $\geq 1$ , then the Hodge level of  $H^i(X, \mathbb{Q})$  is  $\geq 1$  as well. The converse is an example of Grothendieck's generalized Hodge conjecture.

Using purity, due to Gabber, we compute in [Esn03, Lemma 2.1] that if  $X$  is a smooth projective variety defined over  $\mathbb{F}_q$ , and if  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  is supported in codimension  $\geq 1$ , then the eigenvalues of  $\text{Fr}$  on  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  are divisible by  $q$  as algebraic integers.

Thus for proving the  $C_1$  conjecture over finite fields, we are reduced to proving that  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  is supported in codimension  $\geq 1$  for all  $i \geq 1$ .

In [BER12, Theorem 1.3] we relate the Hodge level in characteristic 0 to the analogue in crystalline cohomology of the  $q$ -divisibility of the eigenvalues of  $\text{Fr}$  in  $\ell$ -adic cohomology: the former on a smooth projective variety in characteristic 0 implies that the slopes in rigid cohomology  $H^i$  of a specialization of a regular model all are  $\geq 1$  for  $i \geq 1$ . This makes in this context the philosophical analogy a concrete theorem.

**4.4. Trivial Chow group of 0-cycles after base change to any algebraic closed field.** By the very definition of rationally chain connected varieties, any two geometric points are linked by a finite connected chain of rational curves. In particular, the group  $CH_0(X_K)$  of algebraic 0-cycles is equal to  $\mathbb{Z}$  for any embedding  $k \hookrightarrow K$  of  $k$  into an algebraically closed field  $K$ . Taking  $K$  to contain the generic point  $\text{Spec}(k(X))$ , the resulting decomposition of the diagonal initiated by Bloch in his book [Blo80, Appendix to Lecture 1], a method which later became the basis of manifold developments, proves that  $H^i(X_{\mathbb{F}_p}, \mathbb{Q}_\ell)$  is supported in codimension  $\geq 1$  for all  $i \geq 1$ . This finishes the proof of  $C_1$  conjecture over finite fields.

## 5. REMARKS

5.1.  $C_1$  conjecture and minimal model program in characteristic 0.

A generalization of the study case by case of rational surfaces by Colliot-Thélène *loc. cit.* is performed in characteristic 0 by Pieropan in [Pie22]: over a given field of characteristic 0, the minimal model program implies that all rationally connected varieties of dimension  $\leq d$  have a rational point if and only if  $\mathbb{Q}$ -factorial Fano varieties of dimension  $\leq d$  and Picard rank 1 do. It is roughly a generalization of the reduction from all rational surfaces to the del Pezzo ones.

## 5.2. Henselization of function fields at finite places. In

[CT11, Théorème 7.5], Colliot-Thélène proves that the  $C_1$  conjecture holds true for  $k$  being the field of fractions of an henselian discrete valuation ring with algebraically closed residue field  $F$  in equal characteristic. Indeed, if  $X$  is defined over  $k$ , its rational points  $X(k)$  are dense in  $X(\widehat{k})$  for the topology defined by the discrete valuation, where  $\widehat{k} = F((t))$  is the completion with respect to the valuation. If  $X$  was defined over  $k(t)$ , we could then apply directly the theorems Sections 3.1 and 3.2. In general  $X$  descends to  $X_A$  where  $A = F[T_1, \dots, T_n]/I \subset F[[t]]$  is an affine and smooth algebra over  $F$ , where the embedding is defined by a power series expansion in  $t$  of the  $T_i$ . For  $n \in \mathbb{N}_{\geq 1}$  large enough, depending on the multiplicity of  $\text{Spec } F \in S = \text{Spec}(A)$ , the  $F[[t]]/(t^n)$ -point of  $S$  integrates to a finite type normal curve  $C_n \rightarrow S$  over  $F$ , generically embedded in  $S$ , thus over which  $X_{C_n}$  has a  $C_n$ -point. In particular,  $X(F[[t]]/(t^n)) \neq \emptyset$ . As  $X$  is proper, a compactness argument allows one to conclude that  $X(F[[t]]) \neq \emptyset$ .

5.3. Some remarks on complete discrete valuation rings  $\mathcal{O}$  with algebraically closed residue field  $F$  in unequal characteristic.

5.3.1. *A small dream.* We mention now where the proof from Section 5.2 can not be generalized to the unequal characteristic situation. By the same argument as in Section 3.1, we may assume that  $\mathcal{O} = W(F)$ , where  $F$  is the algebraically closed residue field of characteristic  $p > 0$ . So we have  $A \subset W$ , which is now defined by the  $p$ -adic expansion of the  $T_i$ , the resulting  $W_n = W/p^n$  points of  $S$ ,  $X_A$ . But we do not have the integration  $C_n$  as in the equal characteristic case. At the ICM 2014 in Seoul, we asked Scholze, which had just proved Deligne's weight-monodromy conjecture [Sch12, Theorem 1.14] for complete intersections by applying his tilting method, whether he would think there is a way to tilt  $X_W$  to say  $Y_{F[[t]]}$ , keeping the rational connectivity property for  $Y_{F((t))}$ , and if so if one could tilt back  $Y_{F[[t]]}(F[[t]])$  constructed in Section 5.2 to  $X_W(W)$ . It is a difficult and badly posed question for many reasons, two immediate ones being that the tilt of the field of fractions of  $W$  contains also all the  $p$ -roots of  $t$ , and that over this large field,  $Y$  is not rationally connected. Nonetheless we can dream of a more evolved analogue of the classical proof in Section 5.2 in this context.

5.3.2. *Back to the Hodge level.* In [ELW15, Corollary 3] a weak form of the  $C_1$  conjecture is proved over  $K$  the field of fractions of  $\mathcal{O}$ : the index of a separably rationally connected variety  $X$ , that is the g.c.d. of the degrees of its closed points, is equal to 1 if  $\dim X + 1 < p$ . It is really a very weak form. Indeed, the index 1 statement is true as soon as the Hodge level of  $X$  is  $\geq 1$ . It is in the spirit of the theorem [BER12, Theorem 1.3] mentioned in Section 4.3

5.3.3. *Dynamic.* As explained previously, fixing a field  $K$ , complete with respect to a discrete valuation with algebraically closed residue field in unequal characteristic, the  $C_1$  conjecture is not understood. In [DK17, Theorem 1.3], Duesler and Knecht prove a “dynamical” version of the conjecture which is close to the theorem of Ax-Kochen according to which, except for finitely many  $p$ , any hypersurface in  $\mathbb{P}^n$  over  $\mathbb{Q}_p$  of degree  $d$  with  $d^2 \leq n$  has a rational point. They fix a Hilbert polynomial  $P$  and show using similar methods that, except for finitely many  $p$ , any rationally connected variety with Hilbert polynomial  $P$  and defined over the maximal unramified extension of  $\mathbb{Q}_p$  has a rational point.

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