

A duality for finite t -modules

By Yuichiro TAGUCHI

Abstract. An $\mathbb{F}_q[t]$ -analogue of the Cartier duality is established. Applications to π -divisible groups are given. Dual Drinfeld modules are made explicit.

Introduction

In this paper, we establish a duality for finite t -modules and study its basic properties. Our duality is the $\mathbb{F}_q[t]$ -analogue of the Cartier duality, where the multiplicative group \mathbb{G}_m is replaced by the Carlitz module C . Finite t -modules are, roughly speaking, finite locally free group schemes which are $\mathbb{F}_q[t]$ -submodules of abelian t -modules ([1]) with scalar t -action on their tangent spaces. See (2.1) for the precise definition. In fact, it is only for *finite v -modules* (Definition (3.1)) that we can define the duality (Definition (4.1)), in a way with Dieudonné theoretic flavor. See Remarks (4.4), (4.5), and Example (4.6) for accounts of the necessity of a v -module structure.

A typical case of our duality is supplied by division points of Drinfeld modules and *dual Drinfeld modules*, and is studied in some detail in Section 5. In Section 6, some results on the duality of π -divisible groups are given.

One may hope to have such a duality for a wider class of t -modules, namely, torsion points of abelian t -modules which do not have scalar t -action on the tangent spaces, such as higher Carlitz modules $C^{\otimes n}$ ([2]). But this would be possible only if the target C of the pairing was replaced by a tensor power $C^{\otimes n}$ with sufficiently large n .

Throughout the article, \mathcal{O}_S denotes the structure sheaf of a scheme S . In general, we will use the following unusual

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Notation. A morphism of schemes is denoted by a capital letter, and the corresponding morphism of the structure sheaves is denoted by the corresponding small letter.

1. Finite φ -modules

For the moment, let A be any commutative ring, and recall the definition of an A -module scheme. For an A -scheme S , we denote by $\alpha : A \rightarrow \Gamma(S, \mathcal{O}_S)$ the structure morphism.

If G is a commutative group scheme over a scheme S , we denote by $\text{Lie}^*(G/S)$ the co-Lie module of G/S (i.e. the \mathcal{O}_S -module of invariant differentials of G/S); thus one has $\mathcal{O}_G \otimes_{\mathcal{O}_S} \text{Lie}^*(G/S) \simeq \Omega_{G/S}^1$.

DEFINITION (1.1). An A -module scheme over an A -scheme S is a pair (G, Ψ) consisting of a commutative group scheme G over S and a ring homomorphism $\Psi : A \rightarrow \text{End}(G/S)$; $a \mapsto \Psi_a$ such that, for each $a \in A$, Ψ_a induces multiplication by $\alpha(a)$ on the \mathcal{O}_S -module $\text{Lie}^*(G/S)$.

A morphism $M : (G, \Psi) \rightarrow (G', \Psi')$ of A -module schemes is a morphism $M : G \rightarrow G'$ of group schemes such that $M \circ \Psi_a = \Psi'_a \circ M$ for all $a \in A$.

Example (1.2). A vector bundle G on S can be naturally regarded as a $\Gamma(S, \mathcal{O}_S)$ -module scheme. We shall mean by a *vector group scheme* such a $\Gamma(S, \mathcal{O}_S)$ -module scheme.

We will often write simply G for an A -module scheme in place of (G, Ψ) .

Hereafter in this section, we consider the case where the ring A is the finite field \mathbb{F}_q of q elements and S an \mathbb{F}_q -scheme.

For an \mathbb{F}_q -module scheme (G, Ψ) over S , set $\mathcal{E}_G := \underline{\text{Hom}}_{\mathbb{F}_q, S}(G, \mathbb{G}_a)$. ($\underline{\text{Hom}}_{\mathbb{F}_q, S}$ denotes the Zariski sheaf on S of \mathbb{F}_q -linear homomorphisms.) If G/S is affine (as is always the case in the following), we may confuse \mathcal{O}_G and $\pi_*\mathcal{O}_G$ (where π is the structure morphism of G/S) and may think of \mathcal{O}_G as an \mathcal{O}_S -algebra. Then \mathcal{E}_G is the \mathcal{O}_S -submodule of the augmentation ideal \mathcal{I}_G of \mathcal{O}_G consisting of the local sections X which satisfy

$$\begin{cases} \delta(X) = X \otimes 1 + 1 \otimes X, & \text{and} \\ \psi_a(X) = \alpha(a)X & \text{for all } a \in \mathbb{F}_q. \end{cases}$$

Here $\delta : \mathcal{O}_G \rightarrow \mathcal{O}_G \otimes_{\mathcal{O}_S} \mathcal{O}_G$ is the coproduct of \mathcal{O}_G and $\psi_a : \mathcal{O}_G \rightarrow \mathcal{O}_G$ is the \mathcal{O}_S -algebra homomorphism corresponding to $\Psi_a : G \rightarrow G$.

Note the correspondence $G \mapsto \mathcal{E}_G$ is similar to the “ t -motive” construction ([1], §1). See also Remark (3.7) below.

DEFINITION (1.3). An \mathbb{F}_q -module scheme (G, Ψ) over S is called a *finite φ -module* if \mathcal{O}_G and \mathcal{E}_G are locally free of finite rank over \mathcal{O}_S (in particular, G/S is affine) with $\text{rank}(\mathcal{O}_G) = q^{\text{rank}(\mathcal{E}_S)}$, and \mathcal{E}_G generates the \mathcal{O}_S -algebra \mathcal{O}_G .

A *morphism* of finite φ -modules is by definition a morphism of \mathbb{F}_q -module schemes.

REMARKS (1.4). (i) A finite φ -module G over S can be embedded canonically into the vector group scheme $E_G := \mathbb{V}(\mathcal{E}_G) = \underline{\text{Spec}}(\text{Sym}_{\mathcal{O}_S} \mathcal{E}_G)$ as an \mathbb{F}_q -submodule scheme, because \mathcal{E}_G generates \mathcal{O}_G . Let us agree to call E_G/S the *ambient space* of G/S . It is clear that a morphism $M : G \rightarrow G'$ of finite φ -modules extends uniquely to a morphism $E_M : E_G \rightarrow E_{G'}$ of \mathbb{F}_q -module schemes.

(ii) The group scheme μ_p of p -th roots of unity over an \mathbb{F}_p -scheme is *not* a finite φ -module because $\mathcal{E}_{\mu_p} = \underline{\text{Hom}}_{\mathbb{F}_q, S}(\mu_p, \mathbb{G}_a) = 0$.

Note that, if $M : G \rightarrow G'$ is a morphism of \mathbb{F}_q -module schemes, then the corresponding morphism $m : \mathcal{O}_{G'} \rightarrow \mathcal{O}_G$ restricts to an \mathcal{O}_S -module homomorphism $m : \mathcal{E}_{G'} \rightarrow \mathcal{E}_G$. Since $\mathcal{E}_{G'}$ generates $\mathcal{O}_{G'}$ if G' is a finite φ -module, we have

LEMMA (1.5). *Let G and G' be finite φ -modules. Then the natural homomorphism $\text{Hom}_{\varphi, S}(G, G') \rightarrow \text{Hom}_{\mathcal{O}_S\text{-mod}}(\mathcal{E}_{G'}, \mathcal{E}_G)$ is injective.*

In the following, for an \mathcal{O}_S -module \mathcal{E} (resp. an \mathcal{O}_S -module homomorphism m), $\mathcal{E}^{(q)}$ (resp. $m^{(q)}$) denotes the base extension $\mathcal{E} \otimes_{\mathcal{O}_S} \mathcal{O}_S$ (resp. $m \otimes 1$) by the q -th power map $\mathcal{O}_S \rightarrow \mathcal{O}_S$. For example, if G is a group scheme over S , then $\mathcal{O}_G^{(q)}$ is the structure sheaf of the *Frobenius group scheme* $G^{(q)}$ of G . Also, we denote by $F_G : G \rightarrow G^{(q)}$ (resp. $f_G : \mathcal{O}_G^{(q)} \rightarrow \mathcal{O}_G$) the *Frobenius morphism*. If G is an \mathbb{F}_q -module scheme, then so is $G^{(q)}$ and F_G is a morphism of \mathbb{F}_q -module schemes.

To understand the role of \mathcal{E}_G , recall

DEFINITION (1.6). (Drinfeld [3], §2) A *φ -sheaf* is a pair (\mathcal{E}, φ) consisting of a locally free \mathcal{O}_S -module \mathcal{E} on S of finite rank and an \mathcal{O}_S -module homomorphism $\varphi : \mathcal{E}^{(q)} \rightarrow \mathcal{E}$.

A morphism $m : (\mathcal{E}, \varphi) \rightarrow (\mathcal{E}', \varphi')$ of φ -sheaves is an \mathcal{O}_S -module homomorphism $m : \mathcal{E} \rightarrow \mathcal{E}'$ which makes the diagram

$$\begin{array}{ccc} \mathcal{E}^{(q)} & \xrightarrow{m^{(q)}} & \mathcal{E}'^{(q)} \\ \varphi \downarrow & & \downarrow \varphi' \\ \mathcal{E} & \xrightarrow{m} & \mathcal{E}' \end{array}$$

commutative.

Let (\mathcal{E}, φ) be a φ -sheaf and $E = \mathbb{V}(\mathcal{E})$ the vector bundle corresponding to \mathcal{E} . $\varphi : \mathcal{E}^{(q)} \rightarrow \mathcal{E}$ induces a morphism $\Phi : E \rightarrow E^{(q)}$ of \mathbb{F}_q -module schemes. Drinfeld defines then

$$\begin{aligned} \text{Gr}(\mathcal{E}, \varphi) &:= \text{Ker}(\Phi - F_E : E \rightarrow E^{(q)}) \\ &= \underline{\text{Spec}} \left(\mathcal{S} / [(\varphi - f_S)(\mathcal{E}^{(q)})] \right), \end{aligned}$$

where $\mathcal{S} = \mathcal{O}_E$ is the symmetric algebra $\text{Sym}_{\mathcal{O}_S} \mathcal{E}$, $f_S = f_E$ is the Frobenius morphism $\mathcal{S}^{(q)} \rightarrow \mathcal{S}$, and the bracket $[\dots]$ denotes the ideal generated by its contents. This is a finite φ -module of rank $q^{\text{rank}(\mathcal{E}_G)}$, with \mathbb{F}_q -action induced by the natural \mathbb{F}_q -module structure on \mathcal{E} . Note $\mathcal{E}_{\text{Gr}(\mathcal{E}, \varphi)} = \mathcal{E}$.

Conversely, if G is a finite φ -module over S , the Frobenius morphism $f_G : \mathcal{O}_G^{(q)} \rightarrow \mathcal{O}_G$ induces an \mathcal{O}_S -module homomorphism $\varphi_G : \mathcal{E}_G^{(q)} \rightarrow \mathcal{E}_G$. Then $(\mathcal{E}_G, \varphi_G)$ is a φ -sheaf. The natural \mathcal{O}_S -algebra homomorphism $\text{Sym}_{\mathcal{O}_S} \mathcal{E}_G \rightarrow \mathcal{O}_G$ is surjective, and its kernel contains $(\varphi_G - f_{E_G})(\mathcal{E}_G^{(q)})$. Hence we have a surjection $\mathcal{O}_{\text{Gr}(\mathcal{E}_G, \varphi_G)} \rightarrow \mathcal{O}_G$ of locally free \mathcal{O}_S -algebras. The equality $\text{rank}(\mathcal{O}_G) = q^{\text{rank}(\mathcal{E}_G)}$ implies that $\text{Gr}(\mathcal{E}_G, \varphi_G) \simeq G$.

The commutativity of m and φ in the definition of a morphism $m : (\mathcal{E}, \varphi) \rightarrow (\mathcal{E}', \varphi')$ of φ -sheaves means that $m : \mathcal{E} \rightarrow \mathcal{E}'$ extends to an \mathcal{O}_S -Hopf algebra homomorphism

$$m : \mathcal{S} / [(\varphi - f_S)(\mathcal{E}^{(q)})] \longrightarrow \mathcal{S}' / [(\varphi' - f_{S'})(\mathcal{E}'^{(q)})].$$

(\mathcal{S}' is the symmetric algebra made of \mathcal{E}' .) This is clearly compatible with the natural \mathbb{F}_q -actions. Noticing Lemma (1.5), we have thus

PROPOSITION (1.7). *The category of finite φ -modules over S is anti-equivalent to the category of φ -sheaves on S .*

The set of valued points of $\text{Gr}(\mathcal{E}, \varphi)$ is described as follows:

PROPOSITION (1.8). *Let (\mathcal{E}, φ) be a φ -sheaf on S , and let T be an S -scheme. Then the set of T -valued points of $\text{Gr}(\mathcal{E}, \varphi)$ is*

$$\text{Gr}(\mathcal{E}, \varphi)(T) = \text{Hom}_{\varphi, \mathcal{O}_S}(\mathcal{E}, \mathcal{O}_T),$$

the set of \mathcal{O}_S -linear homomorphisms $f : \mathcal{E} \rightarrow \mathcal{O}_T$ such that $f(\varphi(x)) = f(x)^q$ for any local section x of \mathcal{E} .

PROOF. This is clear from the definition of $\text{Gr}(\mathcal{E}, \varphi)$. \square

2. Finite t -modules

In the rest of the paper, A is the polynomial ring $\mathbb{F}_q[t]$ in one variable t over \mathbb{F}_q . We work over a fixed A -scheme S , and denote by θ the image of t by the structure morphism $\alpha : A \rightarrow \Gamma(S, \mathcal{O}_S)$.

DEFINITION (2.1). A *finite t -module* (G, Ψ) over S is an A -module scheme over S such that

- (1) G is killed by some $a \in A - \{0\}$; and
- (2) $(G, \Psi |_{\mathbb{F}_q})$ is a finite φ -module over S .

A *morphism* of finite t -modules is by definition a morphism of A -module schemes.

A typical example of a finite t -module is a finite $\mathbb{F}_q[t]$ -submodule of an abelian t -module ([1]) with scalar t -action on its tangent space. As is well-known, we have

LEMMA (2.2). *A finite t -module G/S which is killed by $a \in A - 0$ is étale over S if a is invertible on S .*

PROOF. It is enough to see $\Omega_{G/S}^1 = 0$, but $a \cdot \Omega_{G/S}^1 = 0$ and a is invertible. \square

REMARK (2.3). If (G, Ψ) is a finite t -module, Ψ induces an action of A on the ambient space E_G (Remark (1.4), (i)). But E_G with this action is *not* in general an A -module scheme in the sense of Definition (1.1).

DEFINITION (2.4). A t -sheaf $(\mathcal{E}, \varphi, \psi_t)$ (or simply, $(\mathcal{E}, \varphi, \psi)$) on S is a pair consisting of a φ -sheaf (\mathcal{E}, φ) and an endomorphism ψ_t of (\mathcal{E}, φ) such that

- (1) there exists a polynomial $a(X) \in \mathbb{F}_q[X] - \{0\}$ such that $a(\psi_t) = 0$ on \mathcal{E} ; and
- (2) ψ_t induces multiplication by θ on $\text{Coker}(\varphi)$. (Recall that $\text{Coker}(\varphi)$ is canonically isomorphic to $\text{Lie}^*\text{Gr}(\mathcal{E}, \varphi)$ ([3], Proposition 2.1, 2)).

Equivalently, we may think that ψ is a ring homomorphism $A \rightarrow \text{End}_\varphi(\mathcal{E}, \varphi)$; $a \mapsto \psi_a$ such that $\psi_a = 0$ for some $a \in A - \{0\}$ and, for each $a \in A$, ψ_a induces multiplication by $\alpha(a)$ on $\text{Coker}(\varphi)$.

A morphism $m : (\mathcal{E}, \varphi, \psi_t) \rightarrow (\mathcal{E}', \varphi', \psi'_t)$ of t -sheaves is a morphism of φ -sheaves such that $m \circ \psi_t = \psi'_t \circ m$.

The following proposition, extending (1.7), is obvious.

PROPOSITION (2.5). *The category of finite t -modules over S is anti-equivalent to the category of t -sheaves on S .*

We write $\text{Gr}(\mathcal{E}, \varphi, \psi)$ for the finite t -module corresponding to a t -sheaf $(\mathcal{E}, \varphi, \psi)$.

Example (2.6). Let (E, Ψ) be a Drinfeld A -module of rank r over S . Assume for simplicity that $S = \text{Spec } R$ with R an A -algebra, and that the action of t is given by

$$\psi_t(X) = \theta X + a_1 X^q + \cdots + a_r X^{q^r}, \quad a_i \in R, a_r \in R^\times,$$

with respect to a trivialization $E \simeq \mathbb{G}_a = \text{Spec } R[X]$. Then for $a \in A - \{0\}$, $G := \text{Ker}(\Psi_a)$ is a finite t -module over R . \mathcal{E}_G is a free R -module of rank $r \cdot \text{deg}(a)$ with a basis $(X^{q^j}; 0 \leq j \leq r \cdot \text{deg}(a) - 1)$, and $\varphi : \mathcal{E}_G^{(q)} \rightarrow \mathcal{E}_G$ is given by

$$\varphi(X^{q^j} \otimes 1) = X^{q^{j+1}}.$$

Here $X^{q^{j+1}}$ for $j+1 \geq r \cdot \text{deg}(a)$ should be rewritten in terms of $(X^{q^j}; 0 \leq j \leq r \cdot \text{deg}(a) - 1)$ according to the relation $\psi_a(X) = 0$.

In the simple case where $a = t^k$, we can take the basis $(\psi_{ti}(X)^{q^j}; 0 \leq i \leq k - 1, 0 \leq j \leq r - 1)$ of \mathcal{E}_G , with respect to which ψ_t is represented by the matrix whose (i, j) -component is 1 if $i = j + r$ and 0 otherwise.

3. Finite v -modules

To establish a nice duality, we need one more structure.

Recall that a finite φ -module G is embedded canonically into its ambient space E_G (Remark (1.4), (i)), which is a vector group scheme.

DEFINITION (3.1). A *finite v -module* (G, Ψ, V) over S is a finite t -module (G, Ψ) over S together with a morphism $V : E_G^{(q)} \rightarrow E_G$ of \mathbb{F}_q -module schemes such that $\Psi_t = (\theta + V \circ F_{E_G})|_G$. (Here θ means multiplication by $\theta = \alpha(t) \in \Gamma(S, \mathcal{O}_S)$ on E_G , and F_{E_G} is the Frobenius morphism of E_G .)

A *morphism* $M : (G, \Psi, V) \rightarrow (G', \Psi', V')$ of finite v -modules is a morphism of finite φ -modules which renders the diagram

$$\begin{array}{ccc} E_G & \xrightarrow{E_M} & E_{G'} \\ v \uparrow & & \uparrow V' \\ E_G^{(q)} & \xrightarrow{E_M^{(q)}} & E_{G'}^{(q)} \end{array}$$

commutative.

DEFINITION (3.2). A *v -sheaf* $(\mathcal{E}, \varphi, v)$ on S is a pair consisting of a φ -sheaf on S and an \mathcal{O}_S -module homomorphism $v : \mathcal{E} \rightarrow \mathcal{E}^{(q)}$ such that $(\mathcal{E}, \varphi, \psi_t)$ with $\psi_t := \theta + \varphi \circ v$ is a t -sheaf on S . (Here θ means multiplication by θ on \mathcal{E} .)

A *morphism* $m : (\mathcal{E}, \varphi, v) \rightarrow (\mathcal{E}', \varphi', v')$ of v -sheaves is a morphism of φ -sheaves which renders the diagram

$$\begin{array}{ccc} \mathcal{E} & \xrightarrow{m} & \mathcal{E}' \\ v \downarrow & & \downarrow v' \\ \mathcal{E}^{(q)} & \xrightarrow{m^{(q)}} & \mathcal{E}'^{(q)} \end{array}$$

commutative.

These definitions are made so that Proposition (2.5) extends to

PROPOSITION (3.3). *The category of finite v -modules over S is anti-equivalent to the category of v -sheaves on S .*

We write $\text{Gr}(\mathcal{E}, \varphi, v)$ for the finite v -module corresponding to a v -sheaf $(\mathcal{E}, \varphi, v)$.

Example (3.4). Let (E, Ψ) and $G = \text{Ker}(\Psi_a)$ be as in Example (2.6). Then the finite t -module G is furnished with a standard v -module structure by

$$v : \mathcal{E}_G \rightarrow \mathcal{E}_G^{(q)},$$

$$X^{q^i} \mapsto X^{q^{i-1}} \otimes (\theta^{q^i} - \theta) + X^{q^i} \otimes a_1^{q^i} + \dots + X^{q^{r+i-1}} \otimes a_r^{q^i}.$$

(Here $X^{q^{i-1}} \otimes (\theta^{q^i} - \theta) := 0$ if $i = 0$.) If $G = \text{Ker}(\Psi_t)$ for example and if we regard \mathcal{E}_G and $\mathcal{E}_G^{(q)}$ as the column vectors of rank r by fixing the R -basis $(X^{q^j})_{0 \leq j \leq r-1}$ and $(X^{q^j} \otimes 1)_{0 \leq j \leq r-1}$ respectively, then v is represented by the matrix

$$\begin{pmatrix} a_1 & -\theta & & \\ \vdots & & \ddots & \\ \vdots & & & -\theta \\ a_r & & & \end{pmatrix}.$$

(The vacant components are 0.) Note that $\psi_t = 0$ on \mathcal{E}_G in this case, and still v has enough information to recover the dual of G . But this v -module structure is *not* unique unless $\text{Ker}(\varphi_G : \mathcal{E}_G^{(q)} \rightarrow \mathcal{E}_G) = 0$.

In fact, finite v -modules over “mixed characteristic” bases are not so far from finite t -modules, since we have:

PROPOSITION (3.5). *Assume that the base scheme S is reduced. Let (G, Ψ) be a finite t -module which is étale over the generic points of S . Then (G, Ψ) has a unique v -module structure V_G extending the given t -module structure; $\Psi_t = (\theta + V_G \circ F_{E_G})|_G$. If G and G' are two such finite t -modules, then a morphism $G \rightarrow G'$ of finite t -modules preserves*

this v -module structure. In particular, if $\alpha : A \rightarrow \mathcal{O}_S$ is injective (cf. Lemma (2.2)), the two concepts, a finite t -module and a finite v -module, are equivalent.

The same is valid for a t -sheaf $(\mathcal{E}, \varphi, \psi_t)$ such that $\varphi : \mathcal{E}^{(q)} \rightarrow \mathcal{E}$ is injective over the generic points.

PROOF. We prove this for t -sheaves. By (2) of Definition (2.4), we have

$$\text{Im}(\psi_t - \theta) \subset \text{Im}(\varphi).$$

Hence $v := \varphi^{-1} \circ (\psi_t - \theta) : \mathcal{E} \rightarrow \mathcal{E}^{(q)}$ is well-defined (note that φ is in fact injective all over S by the assumption of reducedness), and gives a unique v -sheaf structure on (\mathcal{E}, φ) extending the t -sheaf structure ψ_t .

Let $m : (\mathcal{E}, \varphi, \psi_t) \rightarrow (\mathcal{E}', \varphi', \psi'_t)$ be a morphism of t -sheaves. If φ and φ' are generically injective, we have the diagram

$$\begin{array}{ccc} \mathcal{E} & \xrightarrow{m} & \mathcal{E}' \\ v \downarrow & & \downarrow v' \\ \mathcal{E}^{(q)} & \xrightarrow{m^{(q)}} & \mathcal{E}'^{(q)} \\ \varphi \downarrow & & \downarrow \varphi' \\ \mathcal{E} & \xrightarrow{m} & \mathcal{E}' \end{array}$$

in which v and v' are defined as above and in which the outer and the lower squares are commutative. Since φ' is injective, the upper square is also commutative, i.e., m is a morphism of v -sheaves. \square

Example (3.6). Let C be the Carlitz module over $\text{Spec } A$, i.e., the rank one Drinfeld A -module with underlying group scheme $\mathbb{G}_a = \text{Spec } A[Z]$ and with t -action given by $\gamma_t : Z \mapsto \theta Z + Z^q$. (Here, one may choose another t -action $Z \mapsto \theta Z + aZ^q$ for any $a \in \mathbb{F}_q^\times$, but then $a^{-1}t$ acts by $Z \mapsto \alpha(a^{-1}t)Z + Z^q$. So in the following, we fix $t \in A$ and its action on C as above.) Let G be a finite A -submodule of C . Then over A , G has a unique v -module structure

$$\begin{aligned} v_G : \mathcal{E}_G &\rightarrow \mathcal{E}_G^{(q)}, \\ Z^{q^i} &\mapsto Z^{q^{i-1}} \otimes (\theta^{q^i} - \theta) + Z^{q^i} \otimes 1. \end{aligned}$$

In §4, we shall think of $G \times_{\text{Spec } A} S$, over any base scheme S , as a finite v -module with v -structure induced by this canonical one. Also, it would be convenient in what follows to think of C itself as a “ v -module” with $v_C : \mathcal{E}_C \rightarrow \mathcal{E}_C^{(q)}$ defined as above, though we deal in fact with its finite subgroups.

The following Remark is not used in this paper, but provides us with some feeling on \mathcal{E}_G .

REMARK (3.7). Let G be a finite v -module over S . Then the \mathcal{O}_S -module \mathcal{E}_G would deserve the name the “Dieudonné module” of G , because we have $\mathcal{E}_G = \underline{\text{Hom}}_{v,S}(G, CW)$. Here CW is the v -module of “Witt covectors”, defined as follows (we disregard the topology): CW is, as a group scheme, the infinite direct product of \mathbb{G}_a ’s with affine algebra $\mathcal{O}_{CW} = \mathcal{O}_S[\cdots, X_{-n}, \cdots, X_{-1}, X_0]$, and the t -module and v -module structures are defined by

$$\begin{aligned} t : X_{-n} &\mapsto \theta X_{-n} + X_{-n-1}^q, \\ v : X_{-n} &\mapsto X_{-n-1} \otimes 1 \end{aligned}$$

for all $n \geq 0$.

4. The duality

For an \mathcal{O}_S -module \mathcal{E} , put $\mathcal{E}^* := \underline{\text{Hom}}_{\mathcal{O}_S}(\mathcal{E}, \mathcal{O}_S)$. If $(\mathcal{E}, \varphi, v)$ is a v -sheaf on S , then φ and v induce respectively the \mathcal{O}_S -module homomorphisms

$$\varphi^* : \mathcal{E}^* \rightarrow \mathcal{E}^{*(q)} \quad \text{and} \quad v^* : \mathcal{E}^{*(q)} \rightarrow \mathcal{E}^*.$$

It is easy to check that $(\mathcal{E}^*, v^*, \varphi^*)$ is a v -sheaf on S .

DEFINITION (4.1). We define the *dual* $(\mathcal{E}, \varphi, v)^*$ of a v -sheaf $(\mathcal{E}, \varphi, v)$ to be the v -sheaf $(\mathcal{E}^*, v^*, \varphi^*)$. For a finite v -module $G = \text{Gr}(\mathcal{E}, \varphi, v)$, define its *dual* G^* to be $\text{Gr}(\mathcal{E}^*, v^*, \varphi^*)$.

Note that if, as in Proposition (3.5), the base scheme S is reduced and (G, Ψ) is a finite t -module which is étale over the generic points (resp.

$(\mathcal{E}, \varphi, \psi_t)$ is a t -sheaf such that φ is injective over the generic points), then we can define its dual.

We have clearly the following

PROPOSITION (4.2). *Let G be a finite v -module.*

- (i) G^* has the same rank as G .
- (ii) The correspondence $G \mapsto G^*$ is functorial. This functor is exact.
- (iii) G^{**} is canonically isomorphic to G .
- (iv) $(G \times_S T)^* \simeq G^* \times_S T$ for any S -scheme T .

The same is true for the duality of v -sheaves.

THEOREM (4.3). *Let C be the Carlitz module over $\text{Spec } A$ (cf. Example (3.6)), and let G be a finite v -module over S .*

- (i) *The functor*

$$\begin{aligned} \underline{\text{Hom}}_{v,S}(G, C) : (S\text{-schemes}) &\rightarrow (A\text{-modules}) \\ T &\mapsto \text{Hom}_{v,T}(G \times_S T, C \times_{\text{Spec } A} T) \end{aligned}$$

is represented by (the underlying finite t -module of) G^ .*

- (ii) *There exists a canonical A -bilinear pairing of A -module schemes:*

$$\Pi_G : G \times_S G^* \rightarrow C$$

such that:

- (ii-1) *If G' is a finite t -module over S sitting in an A -bilinear pairing $\Pi' : G \times_S G' \rightarrow C$, then there exists a unique morphism $M : G' \rightarrow G^*$ of finite t -modules which makes the diagram*

$$\begin{array}{ccc} G \times_S G' & \xrightarrow{\Pi'} & C \\ 1 \times M \downarrow & & \parallel \\ G \times_S G^* & \xrightarrow{\Pi_G} & C \end{array}$$

commute.

- (ii-2) *If $M : G \rightarrow H$ is a morphism of finite v -modules and $M^* : H^* \rightarrow G^*$ is its dual morphism induced by functoriality, then we have*

$$\Pi_H \circ (M \times 1) = \Pi_G \circ (1 \times M^*) \quad \text{on } G \times H^*.$$

Conversely, M^* is the unique morphism which has this property.

(ii-3) If $\alpha : A \rightarrow \mathcal{O}_S$ is injective and S is integral with function field K , then Π_G induces a non-degenerate Galois equivariant A -bilinear pairing between the A -modules of geometric points:

$$G(K^{\text{sep}}) \times G^*(K^{\text{sep}}) \rightarrow C(K^{\text{sep}}).$$

PROOF. Recall that \mathcal{O}_C is the polynomial ring $A[Z]$ with t -action $\gamma_t : Z \mapsto \theta Z + Z^q$ and v -module structure $v_C : \mathcal{E}_C \rightarrow \mathcal{E}_C^{(q)} ; Z \mapsto Z \otimes 1$. Let $G = \text{Gr}(\mathcal{E}_G, \varphi_G, v_G)$. An \mathcal{O}_T -algebra homomorphism $m : \mathcal{O}_C \otimes_A \mathcal{O}_T \rightarrow \mathcal{O}_G \otimes_{\mathcal{O}_S} \mathcal{O}_T$ corresponds to a morphism of v -modules $G \times_{\mathcal{O}_S} T \rightarrow C \times_{\text{Spec } A} T$ if and only if

$$(4.3.1) \quad m(Z) \in \Gamma(T, \mathcal{E}_G \otimes_{\mathcal{O}_S} \mathcal{O}_T), \quad \text{and}$$

$$(4.3.2) \quad m^{(q)} \circ v_C(Z) = (v_G \otimes 1) \circ m(Z).$$

Let \mathcal{S}^* be the symmetric \mathcal{O}_S -algebra $\text{Sym}_{\mathcal{O}_S} \mathcal{E}_G^*$, and Z_0 a global section of $\mathcal{E}_G \otimes_{\mathcal{O}_S} \mathcal{E}_G^*$ which gives a basis of the rank one \mathcal{O}_S -submodule of $\mathcal{E}_G \otimes_{\mathcal{O}_S} \mathcal{E}_G^*$ on which one has $m \otimes 1 = 1 \otimes m^*$ for all $m \in \text{End}_{\mathcal{O}_S}(\mathcal{E}_G)$. A canonical choice for Z_0 is $\sum_i X_i \otimes X_i^*$, where $(X_i)_i$ is a local basis of \mathcal{E}_G and $(X_i^*)_i$ is its dual basis. Let

$$\begin{aligned} \iota : \mathcal{E}_G \otimes_{\mathcal{O}_S} \mathcal{E}_G^* &\rightarrow \mathcal{E}_G^{(q)} \otimes_{\mathcal{O}_S} \mathcal{E}_G^{*(q)} \\ X \otimes Y &\mapsto (X \otimes 1) \otimes (Y \otimes 1) \end{aligned}$$

be the natural map. Then we have $(v \otimes 1)(Z_0) = (1 \otimes v^*) \circ \iota(Z_0)$ for all $v \in \text{Hom}_{\mathcal{O}_S}(\mathcal{E}_G, \mathcal{E}_G^{(q)})$. If we take $\mathcal{O}_T = \mathcal{S}^*$ and $Z \mapsto Z_0$, then (4.3.2) reads

$$(1 \otimes f_{\mathcal{S}^*}) \circ \iota(Z_0) = (1 \otimes v_G^*) \circ \iota(Z_0).$$

($f_{\mathcal{S}^*}$ is the \mathcal{O}_S -linear Frobenius morphism $\mathcal{S}^{*(q)} \rightarrow \mathcal{S}^*$.) Let \mathcal{J}^* be the smallest ideal of \mathcal{S}^* such that

$$(1 \otimes (v_G^* - f_{\mathcal{S}^*})) \circ \iota(Z_0) \in \mathcal{E}_G^{(q)} \otimes_{\mathcal{O}_S} \mathcal{J}^*.$$

Then it follows from what we observed at the beginning of the proof that the functor $\underline{\text{Hom}}_{v,S}(G, C)$ is represented by $\underline{\text{Spec}}(\mathcal{S}^*/\mathcal{J}^*) = \text{Gr}(\mathcal{E}_G^*, v_G^*)$, with t -action induced by ψ_t^* on \mathcal{E}_G^* .

REMARK (4.4). To represent the functor $\underline{\text{Hom}}_{v,S}(G, C)$, the v -module structure of G^* is not needed (and in fact a v -module structure on $\text{Gr}(\mathcal{E}_G^*, v_G^*)$ may not be unique (cf. Example (3.4)), but for G to represent $\underline{\text{Hom}}_{v,S}(G^*, C)$, G^* must have the v -module structure φ_G^* .

PROOF CONTINUED. The pairing $G \times_S G^* \rightarrow C$ is given by

$$\begin{aligned} \pi : \mathcal{O}_C &\rightarrow \mathcal{O}_G \otimes_{\mathcal{O}_S} \mathcal{O}_{G^*}, \\ Z &\mapsto Z_1, \end{aligned}$$

where Z_1 is the image of Z_0 in $\mathcal{O}_G \otimes_{\mathcal{O}_S} (\mathcal{S}^*/\mathcal{J}^*)$. The universality of G^* (ii-1) is clear from the above discussion.

The non-degeneracy of (ii-2) is a consequence of a basic fact in linear algebra; let (X_i) and (Y_j) be \mathcal{O}_S -bases of \mathcal{E}_G and \mathcal{E}_H respectively, (X_i^*) and (Y_j^*) the dual bases, $m : \mathcal{E}_H \rightarrow \mathcal{E}_G$ an \mathcal{O}_S -linear map, and $m^* : \mathcal{E}_G^* \rightarrow \mathcal{E}_H^*$ its dual map. Then we have $\sum_i X_i \otimes m^*(X_i^*) = \sum_j m(Y_j) \otimes Y_j^*$ in $\mathcal{E}_G \otimes_{\mathcal{O}_S} \mathcal{E}_H^*$. Conversely, m^* is the unique \mathcal{O}_S -linear map with this property.

Since G is étale over K if α is injective (Lemma (2.2)), (ii-3) follows from the well-known equivalence between the category of finite étale K^{sep} -schemes and the category of finite sets. \square

REMARK (4.5). If we consider only the t -module structure, we will have the following:

(i) The functor

$$\begin{aligned} \underline{\text{Hom}}_{t,S}(G, C) : (S\text{-schemes}) &\rightarrow (A\text{-modules}) \\ T &\mapsto \text{Hom}_{t,T}(G \times_S T, C \times_{\text{Spec}A} T) \end{aligned}$$

is represented by an A -module scheme \tilde{G}^* over S .

(ii) Assume S is reduced. If G is étale over the generic points of S , then \tilde{G}^* is of the form $G^* \cup \tilde{G}_0^*$, where G^* is (the underlying finite t -module of) the dual finite v -module of G , G being considered to be a finite v -module with the unique v -module structure (Proposition (3.5)), and where \tilde{G}_0^* is

supported on the locus in S over which G is not étale. In general, \tilde{G}_0^* has a positive dimension. For example:

Example (4.6). Let R be an (A/tA) -algebra (i.e., we are in the “characteristic” (t) situation in the sense that the kernel of the structure map $\alpha : A \rightarrow R$ is (t)), and let $G = \text{Spec } R[X_1, X_2]/(X_1^q, X_2^q)$ be a finite t -module with t acting by $X_i \mapsto 0$ for $i = 1, 2$. If we think of G as the t -division points of the abelian t -module $(E, \Psi) = C^{\oplus 2}$;

$$E = \text{Spec } R[X_1, X_2], \quad \psi_t \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} = t \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} + \begin{pmatrix} X_1^q \\ X_2^q \end{pmatrix},$$

then it is natural to make G into a finite v -module by $v : X_i \mapsto X_i \otimes 1$ for $i = 1, 2$. On the other hand, G can be regarded as the t -division points of another abelian t -module (E', Ψ') with

$$E' = \text{Spec } R[X_1, X_2], \quad \psi'_t \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} = t \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} + \begin{pmatrix} X_2^q \\ X_1^q \end{pmatrix}.$$

Now it is natural to make G into a finite v -module by $v : X_i \mapsto X_{3-i} \otimes 1$ for $i = 1, 2$. In the former case, we have $G^* = \text{Spec } R[Y_1, Y_2]/(Y_1 - Y_1^q, Y_2 - Y_2^q)$ (the constant group scheme $\mathbb{F}_q \oplus \mathbb{F}_q$), whereas in the latter case, we have $G^* = \text{Spec } R[Y]/(Y - Y^{q^2})$ (the étale group scheme \mathbb{F}_{q^2}). Of course, we could choose any v -module structure $v : X_i \mapsto X_1 \otimes a_{1i} + X_2 \otimes a_{2i}$ for $i = 1, 2$ with $a_{ji} \in R$. Without v -module structures, we will have $\tilde{G}^* \simeq \mathbb{A}_R^2$ in this case.

Finally in this section, we describe a relation between the Frobenius and the Verschiebung over a “finite characteristic” base.

PROPOSITION (4.7). *Let (G, Ψ, V) be a finite v -module over S .*
(i) Let d be a positive integer, and $F_G^d : G \rightarrow G^{(q^d)}$ the q^d -th power Frobenius morphism. Then $G^{(q^d)}$ (resp. F_G^d) is a finite v -module (resp. a morphism of finite v -modules) if $\text{Im}(\alpha) \subset \mathbb{F}_{q^d}$. If this is the case and $M : G \rightarrow G'$ is a morphism of finite v -modules, then we have $M^{(q^d)} \circ F_G^d = F_{G'}^d \circ M$.
(ii) Assume $\text{Ker}(\alpha : A \rightarrow \mathcal{O}_S) = (\mathfrak{p})$ with $\mathfrak{p} \in A$ being a monic prime element of degree d . Let $V_{G,\mathfrak{p}} : G^{(q^d)} \rightarrow G$ be the dual morphism of $F_{G^,\mathfrak{p}} := F_{G^*}^d : G^* \rightarrow G^{*(q^d)}$. Then we have*

$$\Psi_{\mathfrak{p}} = V_{G,\mathfrak{p}} \circ F_{G,\mathfrak{p}} \quad \text{and} \quad \Psi_{\mathfrak{p}}^{(q^d)} = F_{G,\mathfrak{p}} \circ V_{G,\mathfrak{p}}.$$

In particular, we have an exact sequence of finite t -modules

$$0 \rightarrow \text{Ker}(F_{G,\mathfrak{p}}) \rightarrow \text{Ker}(\Psi_{\mathfrak{p}}) \rightarrow \text{Ker}(V_{G,\mathfrak{p}}) \rightarrow 0.$$

PROOF. (i) The only point we must care about is the action of $a \in A$ on $\text{Lie}^*(G^{(q^d)})$, which is multiplication by $\alpha(a)^{(q^d)}$. This should be equal to $\alpha(a)$, which is the case if $\text{Im}(\alpha) \subset \mathbb{F}_{q^d}$. The compatibility conditions for v -module structures and morphisms are then automatically satisfied.

(ii) Let $Z \in \mathcal{O}_C$ and $Z_1 \in \mathcal{O}_G \otimes_{\mathcal{O}_S} \mathcal{O}_{G^*}$ have the same meaning as in the proof of Theorem (4.3). Let

$$\begin{aligned} \pi : \mathcal{O}_C &\rightarrow \mathcal{O}_G \otimes_{\mathcal{O}_S} \mathcal{O}_{G^*} \\ Z &\mapsto Z_1 \end{aligned}$$

be the \mathcal{O}_S -algebra homomorphism corresponding to the pairing $\Pi_G : G \times_S G^* \rightarrow C$. Then the A -linearity of the pairing is written as

$$(\psi_{\mathfrak{p}} \otimes 1)(Z_1) = \pi(\gamma_{\mathfrak{p}}(Z)) = (1 \otimes \psi_{\mathfrak{p}}^*)(Z_1).$$

Here $\gamma : A \rightarrow \text{End}_{\mathcal{O}_S}(\mathcal{O}_C)$; $a \mapsto \gamma_a$ is the map describing the A -action on C . Since $\gamma_{\mathfrak{p}}(Z) \equiv Z^{q^d} \pmod{\mathfrak{p}}$ (e.g. [5], Proposition 2.4), we have

$$\begin{aligned} (\psi_{\mathfrak{p}} \otimes 1)(Z_1) &= \pi(Z^{q^d}) = (f_{G,\mathfrak{p}} \otimes f_{G^*,\mathfrak{p}}) \circ \iota(Z_1) \\ &= (f_{G,\mathfrak{p}} \circ v_{G,\mathfrak{p}} \otimes 1)(Z_1). \end{aligned}$$

Hence $\psi_{\mathfrak{p}} = f_{G,\mathfrak{p}} \circ v_{G,\mathfrak{p}}$, and $\Psi_{\mathfrak{p}} = V_{G,\mathfrak{p}} \circ F_{G,\mathfrak{p}}$.

By (i), we have also the commutative diagram

$$\begin{array}{ccc} G^{(q^d)} & \xrightarrow{V_{G,\mathfrak{p}}} & G \\ F_{G^{(q^d)},\mathfrak{p}} \downarrow & & \downarrow F_{G,\mathfrak{p}} \\ G^{(q^{2d})} & \xrightarrow{V_{G^{(q^d)},\mathfrak{p}}} & G^{(q^d)}, \end{array}$$

from which follows the equality

$$\Psi_{\mathfrak{p}}^{(q^d)} = V_{G^{(q^d)},\mathfrak{p}} \circ F_{G^{(q^d)},\mathfrak{p}} = F_{G,\mathfrak{p}} \circ V_{G,\mathfrak{p}}. \quad \square$$

5. Duality for Drinfeld modules

In this section, we construct explicitly the *dual* \check{E} of a Drinfeld $\mathbb{F}_q[t]$ -module E , and prove the compatibility of this construction and the duality of §4 for the torsion points of E and \check{E} . \check{E} is an $(r - 1)$ -dimensional abelian t -module ([1]) if E is of rank $r \geq 2$.

Let $A = \mathbb{F}_q[t]$ and R an A -algebra. The image of $t \in A$ in R will be denoted by θ . (Though all constructions below work over any A -scheme S , we work over an affine $S = \text{Spec } R$ for simplicity.)

Let (E, Ψ) be a Drinfeld module over R of rank $r \geq 2$. Suppose the action of $t \in A$ is given by

$$\psi_t(X) = \theta X + a_1 X + \cdots + a_r X^{q^r}, \quad a_i \in R, a_r \in R^\times$$

with respect to a coordinate X of E . (As before, we use a small letter ψ to denote a map of affine rings.) On $\check{E} := \mathbb{G}_a^{\oplus(r-1)}/R$, define an A -module scheme structure $\check{\Psi} : A \rightarrow \text{End}_R(\mathbb{G}_a^{\oplus(r-1)})$, in terms of the coordinates $\mathbb{Y} = {}^t(Y_1, \dots, Y_{r-1})$ of $\mathbb{G}_a^{\oplus(r-1)} = \text{Spec } R[Y_1, \dots, Y_{r-1}]$, by

$$\check{\psi}_t(\mathbb{Y}) = \theta \mathbb{Y} + \mathbb{B}_1 \mathbb{Y}^{(q)} + \mathbb{B}_2^{(q)} \mathbb{Y}^{(q^2)},$$

with

$$\mathbb{B}_1 := \begin{pmatrix} & & -a_r^{-1}a_1 & \\ & & \vdots & \\ 1 & & \vdots & \\ & \ddots & & \\ & & 1 & -a_r^{-1}a_{r-1} \end{pmatrix}, \quad \mathbb{B}_2 := \begin{pmatrix} & & & \\ & & & \\ & & & \\ & & & a_r^{-1} \end{pmatrix}.$$

Here and elsewhere, for a matrix \mathbb{B} , $\mathbb{B}^{(q^j)}$ denotes the matrix \mathbb{B} but with entries raised to the q^j -th power. We will call this type of A -module schemes $(\check{E}, \check{\Psi})$ *dual Drinfeld modules*. Note that one can recover the Drinfeld module E starting with a dual Drinfeld module \check{E} , so that we may think $\check{\check{E}} = E$.

Let C be the Carlitz module on which t acts by $\gamma_t : Z \mapsto \theta Z + Z^q$ with respect to a coordinate Z of C .

THEOREM (5.1). *(i) If R is a perfect field, \check{E} is an abelian t -module of t -rank $r(\check{E}) = r$, τ -rank $\rho(\check{E}) = r - 1$, and weight $w(\check{E}) = (r - 1)/r$ in the sense of [1].*

(ii) For a non-zero $a \in A$, the kernel ${}_a\check{E}$ of the action of a on \check{E} is a finite t -module over R of rank $q^{r \cdot \deg(a)}$.

(iii) For a non-zero $a \in A$, there exists an A -bilinear pairing defined over R :

$${}_a\Pi_E : {}_aE \times_R {}_a\check{E} \longrightarrow {}_aC.$$

(iv) If we furnish ${}_aE$ with the standard v -module structure as in (3.4), then we have ${}_a\check{E} \simeq {}_aE^*$, and the pairing ${}_a\Pi_E$ of (iii) coincides with the pairing $\Pi_{{}_aE}$ of Theorem (4.3).

REMARKS (5.2). (i) Anderson takes $A = \mathbb{F}_p[t]$ with a prime p in [1]. So we should either assume in (5.1),(i) that $q = p$, or define the t -motive $M(\check{E}) = \text{Hom}_R(\mathbb{G}_a^{\oplus(r-1)}, \mathbb{G}_a)$ to be the \mathbb{F}_q -linear homomorphisms. Here we will take the latter, and denote it, as before, by $\mathcal{E}_{\check{E}}$.

(ii) The statements of the Theorem are valid also for any d -dimensional abelian t -module (E, Ψ) if $\Psi : A \longrightarrow \text{End}_R(\mathbb{G}_a^{\oplus d})$ is defined by an equation of the form

$$\psi_t(X) = \theta X + a_1 X^{(q)} + \dots + a_r X^{(q^r)}, \quad X = {}^t(X_1, \dots, X_d),$$

with $a_i \in M_d(R)$ and $a_r \in \text{GL}_d(R)$.

(iii) For a Drinfeld module E of rank 1, there exists an ind-finite étale A -module scheme \check{E} (a twist of the constant A -module scheme $\mathbb{F}_q(t)/\mathbb{F}_q[t]$), together with a pairing as in (iii) of the Theorem.

(iv) Even if E does not have good reduction over R , we can define an A -bilinear pairing between the division points of E and \check{E}' , a twist of \check{E} , with target C' , a twist of C . Especially, we can take \check{E}' to be the $(r - 1)$ -st exterior product $\wedge^{r-1} E$ of E ([1]) defined by

$$\check{\psi}'_t(\mathbb{Y}) = \theta \mathbb{Y} + \mathbb{B}'_1{}^{(q)} \mathbb{Y}^{(q)} + \mathbb{B}'_2{}^{(q^2)} \mathbb{Y}^{(q^2)}$$

with

$$\mathbb{B}'_1 := (-1)^r \begin{pmatrix} & & & & (-1)^r a_1 \\ & & & & \vdots \\ a_r & & & & \\ & \ddots & & & (-1)^{r+1-i} a_i \\ & & \ddots & & \vdots \\ & & & a_r & a_{r-1} \end{pmatrix},$$

$$\mathbb{B}'_2 := (-1)^r \begin{pmatrix} & & & & a_r \\ & & & & \\ & & & & \\ & & & & \\ & & & & \end{pmatrix},$$

and C' to be the r -th exterior product $\wedge^r E$ of E ([1], [4]) defined by

$$\gamma'_t(Z) = \theta Z - (-1)^r a_r X^q.$$

\check{E}' and C' may have non-stable reduction. It would be interesting to seek a good model of \check{E}' .

PROOF OF THE THEOREM. (i) This is clear; an $R[\check{\psi}_t]$ -base of $\mathcal{E}_{\check{E}} = \text{Hom}_{\mathbb{F}_q, R}(\mathbb{G}_a^{\oplus(r-1)}, \mathbb{G}_a)$ is $(a_r^{-1} Y_{r-1}^q, Y_1, \dots, Y_{r-1})$, which implies $r(\check{E}) = r$. The other assertions are obvious.

(ii) Put $G = {}_a\check{E}$. The affine ring \mathcal{O}_G of G can be identified with the quotient $R[Y_1, \dots, Y_{r-1}]/\check{\psi}_a(\mathbb{Y})$. It is enough to show that \mathcal{O}_G is free over R of rank $q^{r \cdot \text{deg}(a)}$, and that \mathcal{E}_G is free over R of rank $r \cdot \text{deg}(a)$.

We may assume $a \in A = \mathbb{F}_q[t]$ is monic of degree $k \geq 1$, and write $a = t^k + g(t)$, $g(t) = \sum_{i=0}^{k-1} g_i t^i$, $g_i \in \mathbb{F}_q$. Define elements $Y_{ij} \in \mathcal{O}_G$ for $0 \leq i \leq k-1$ and $1 \leq j \leq r-1$ by

$$Y_{k-1,j} = Y_j \quad (1 \leq j \leq r-1),$$

and

$$(5.1.1) \quad \mathbb{Y}_{i-1} = \check{\psi}_t(\mathbb{Y}_i) + g_i \mathbb{Y}_{k-1} \quad (1 \leq i \leq k-1),$$

where $\mathbb{Y}_i := {}^t(Y_{i1}, \dots, Y_{i,r-1})$. Applying (5.1.1) repeatedly, we find

$$\mathbb{Y}_i = \check{\psi}_{t^{k-1-i}}(\mathbb{Y}_{k-1}) + g_{k-1} \check{\psi}_{t^{k-2-i}}(\mathbb{Y}_{k-1}) + \dots + g_{i+1} \mathbb{Y}_{k-1}$$

$$(5.1.1a) \quad = \check{\psi}_{(t^{k-1-i} + g_{k-1} t^{k-2-i} + \dots + g_{i+1})}(\mathbb{Y}_{k-1}),$$

and especially,

$$\mathbb{Y}_0 = \check{\psi}_{(t^{k-1} + g_{k-1} t^{k-2} + \dots + g_1)}(\mathbb{Y}_{k-1}),$$

whence

$$\check{\psi}_t(\mathbb{Y}_0) = \check{\psi}_a(\mathbb{Y}_{k-1}) - g_0\mathbb{Y}_{k-1}.$$

This shows that the equality $\check{\psi}_a(\mathbb{Y}_{k-1}) = 0$ (which means $G = {}_a\check{E}$) is equivalent to

$$(5.1.2) \quad \check{\psi}_t(\mathbb{Y}_0) = -g_0\mathbb{Y}_{k-1}.$$

We can thus regard \mathcal{O}_G as the quotient of $R[Y_{01}, \dots, Y_{k-1, r-1}]$ by the relations (5.1.1) and (5.1.2).

By setting $(Y'_{ij})^q := Y_{ij}$ if $j < r - 1$ and $Y'_{i, r-1} := Y_{i, r-1}$, we embed \mathcal{O}_G into the quotient \mathcal{O}' of $R[Y'_{01}, \dots, Y'_{k-1, r-1}]$ by the same relations (5.1.1) and (5.1.2). Then (5.1.1) and (5.1.2) read:

$$(\text{unit})(Y'_{ij})^{q^2} + (\text{lower terms}) = 0, \quad 0 \leq i \leq k - 1, \quad 1 \leq j \leq r - 1.$$

By Lemma 1.9.1 of [2], \mathcal{O}' is free of rank $q^{2k(r-1)}$ over R , with a base

$$\left(\prod_{i,j} (Y'_{ij})^{l_{ij}} ; 0 \leq l_{ij} \leq q^2 - 1 \right).$$

Since \mathcal{O}_G is the R -submodule of \mathcal{O}' generated by

$$\left(\prod_{i,j} (Y'_{ij})^{l_{ij}} ; q|l_{ij} \text{ if } 1 \leq j \leq r - 2 \right),$$

it is also free, and of rank $q^{k(r-2)} \cdot q^{2k} = q^{kr}$. \mathcal{E}_G is also free on the R -base $(Y_{ij}; 0 \leq i \leq k - 1, 0 \leq j \leq r - 1)$, so we have $\text{rank}(\mathcal{O}_G) = q^{\text{rank}(\mathcal{E}_G)}$.

(iii) Passing to the language of affine rings, we shall give an R -algebra homomorphism

$$\pi : \mathcal{O}_{aC} \longrightarrow \mathcal{O}_{aE} \otimes_R \mathcal{O}_{a\check{E}},$$

or more explicitly,

$$\pi : R[Z]/\gamma_a(Z) \longrightarrow R[X]/\psi_a(X) \otimes_R R[Y_1, \dots, Y_{r-1}]/\check{\psi}_a(\mathbb{Y})$$

which is compatible with the comultiplications ($Z \mapsto Z \otimes 1 + 1 \otimes Z$, etc.) and the A -actions. Write $a = t^k + g(t)$, $g(t) = \sum_{i=0}^{k-1} g_i t^i$ and define $Y_{ij} \in \mathcal{O}_{a\check{E}}$ as in the proof of (ii). Set further

$$(5.1.3) \quad Y_{i0} := a_r^{-1} Y_{i, k-1}^q \quad (0 \leq i \leq k - 1).$$

Simplifying the notation, we also set $X_{ij} := \psi_{t^i}(X)^{q^j}$ for $i, j \geq 0$. Then we have

$$(5.1.4) \quad X_{i+1,0} = \psi_t(X_{i0}) = \theta X_{i0} + \sum_{j=1}^r a_j X_{ij}$$

and

$$(5.1.5) \quad 0 = \psi_a(X) = \psi_{t^k}(X) + \psi_{g(t)}(X) = X_{k0} + \sum_{i=0}^{k-1} g_i X_{i0}$$

$$(5.1.5a) \quad = \theta X_{k-1,0} + \sum_{j=1}^r a_j X_{k-1,j} + \sum_{i=0}^{k-1} g_i X_{i0}.$$

Now define the map π by

$$\pi : Z \mapsto \sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes Y_{ij}.$$

This is obviously compatible with the comultiplications and the actions of $\mathbb{F}_q \subset A$; it only remains to check the commutativity of the following diagram:

$$\begin{array}{ccc} \mathcal{O}_{aC} & \xrightarrow{\pi} & \mathcal{O}_{aE} \otimes_R \mathcal{O}_{a\check{E}} \\ \gamma_t \downarrow & & \downarrow \psi_t \otimes 1, 1 \otimes \check{\psi}_t \\ \mathcal{O}_{aC} & \xrightarrow{\pi} & \mathcal{O}_{aE} \otimes_R \mathcal{O}_{a\check{E}}. \end{array}$$

The three composite maps in the diagram are calculated as follows:

$$\begin{aligned} (\psi_t \otimes 1) \circ \pi(Z) &= \sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{i+1,j} \otimes Y_{ij} \\ &= \sum_{i=1}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes Y_{i-1,j} - \sum_{i=0}^{k-1} \sum_{j=0}^{r-1} g_i X_{ij} \otimes Y_{k-1,j} \quad (\text{by (5.1.5)}^{q^j}) \end{aligned}$$

$$(5.1.6) \quad = - \sum_{j=0}^{r-1} X_{0j} \otimes g_0 Y_{k-1,j} + \sum_{i=1}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes (Y_{i-1,j} - g_i Y_{k-1,j}).$$

In view of (5.1.1) and (5.1.2), we find this equal to

$$(1 \otimes \check{\psi}_t) \circ \pi(Z) = \sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes \check{\psi}_t(Y_{ij}).$$

Finally,

$$(5.1.7) \quad \begin{aligned} \pi \circ \gamma_t(Z) &= \theta \left(\sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes Y_{ij} \right) + \left(\sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes Y_{ij} \right)^q \\ &= \sum_{i=0}^{k-1} \sum_{j=0}^{r-1} X_{ij} \otimes \theta Y_{ij} + \sum_{i=0}^{k-1} \sum_{j=1}^{r-1} X_{ij} \otimes Y_{i,j-1}^q + \sum_{i=0}^{k-1} X_{ir} \otimes Y_{i,r-1}^q. \end{aligned}$$

If $0 \leq i \leq k-2$, we see from (5.1.4)

$$X_{ir} = -a_r^{-1}(\theta X_{i0} + \sum_{j=1}^{r-1} a_j X_{ij} - X_{i+1,0}).$$

For $i = k-1$, we see from (5.1.5a)

$$X_{k-1,r} = -a_r^{-1}(\theta X_{k-1,0} + \sum_{j=1}^{r-1} a_j X_{k-1,j} + \sum_{i=0}^{k-1} g_i X_{i0}).$$

Hence the companion with which X_{ij} is tensored in the above expression (5.1.7) of $\pi \circ \gamma_t(Z)$ is, if $i = j = 0$,

$$\theta Y_{00} - a_r^{-1} \theta Y_{0,r-1}^q - a_r^{-1} g_0 Y_{k-1,r-1}^q = -g_0 Y_{k-1,0} \quad (\text{by (5.1.3)});$$

if $i = 0$ and $1 \leq j \leq r-1$,

$$\theta Y_{0j} + Y_{0,j-1}^q - a_r^{-1} a_j Y_{0,r-1}^q = -g_0 Y_{k-1,j} \quad (\text{by (5.1.2)});$$

if $1 \leq i \leq k - 1$ and $j = 0$,

$$\begin{aligned} \theta Y_{i0} - a_r^{-1} \theta Y_{i,r-1}^q + a_r^{-1} Y_{i-1,r-1}^q - a_r^{-1} g_i Y_{k-1,r-1}^q \\ = Y_{i-1,0} - g_i Y_{k-1,0} \quad (\text{by (5.1.3)}); \end{aligned}$$

if $1 \leq i \leq k - 1$ and $1 \leq j \leq r - 1$,

$$\theta Y_{ij} + Y_{i,j-1}^q - a_r^{-1} a_j Y_{i,r-1}^q = Y_{i-1,j} - g_i Y_{k-1,j} \quad (\text{by (5.1.1)}).$$

Putting all these together, we find $\pi \circ \gamma_t(Z)$ is also equal to (5.1.6).

(iv) We may regard \mathcal{E}_{aE} and $\mathcal{E}_{a\check{E}}$ dual to each other by making (X_{ij}) and (Y_{ij}) the dual bases. Then our construction of the pairing here coincides with the construction in §4, and we have $a\check{E} \simeq aE^*$. \square

REMARK (5.3). In what follows, we regard $aE^* = a\check{E}$ by this concrete construction (iv).

PROPOSITION (5.4). *Let $M : E \rightarrow F$ be an isogeny of Drinfeld modules (resp. dual Drinfeld modules) over R of rank $r \geq 2$.*

(i) *There exists a unique isogeny $\check{M} : \check{F} \rightarrow \check{E}$ of dual Drinfeld modules (resp. Drinfeld modules) such that, for all non-zero $a \in A$,*

$$(5.4.1) \quad a\Pi_E \circ (1 \times \check{M}) = a\Pi_F \circ (M \times 1) \quad \text{on } aE \times a\check{F},$$

where $a\Pi_E : aE \times a\check{E} \rightarrow aC$ and $a\Pi_F : aF \times a\check{F} \rightarrow aC$ are the duality pairings (5.1), (ii) on the a -division points.

(ii) *Let $M^* : aF^* \rightarrow aE^*$ be the morphism of finite t -modules which $M : aE \rightarrow aF$ induces by functoriality of $*$. Then we have $M^* = \check{M}$ on $aF^* = a\check{F}$ (cf. (5.3)).*

(iii) *We have canonically $\text{Ker}(\check{M}) = \text{Ker}(M)^*$.*

PROOF. We assume E and F are Drinfeld modules; the dual case is proved similarly.

(i) Let $\mathcal{E}_E := \text{Hom}_{\mathbb{F}_q, R}(E, \mathbb{G}_a)$, the \mathbb{F}_q -linear homomorphisms defined over R . The rings R and A acts naturally on \mathcal{E}_E . It is easy to see, by the explicit form of the defining equation of E , that \mathcal{E}_E is a free $R[t]$ -module of rank r . For E and F (resp. \check{E} and \check{F}), we use the common symbol

$(X_0, X_1, \dots, X_{r-1}) = (X, X^q, \dots, X^{q^{r-1}})$ (resp. $(Y_0, Y_1, \dots, Y_{r-1})$) for the $R[t]$ -basis of \mathcal{E}_E and \mathcal{E}_F (resp. $\mathcal{E}_{\check{E}}$ and $\mathcal{E}_{\check{F}}$), and regard (X_i) and (Y_i) as the dual bases each other (cf. Proof of (5.1)).

An isogeny $M : E \rightarrow F$ induces an $R[t]$ -module homomorphism $m : \mathcal{E}_F \rightarrow \mathcal{E}_E$. Let \check{m} be its transpose; \check{m} is the unique $R[t]$ -module homomorphism $\mathcal{E}_{\check{E}} \rightarrow \mathcal{E}_{\check{F}}$ such that $\sum_{i=0}^{r-1} m(X_i) \otimes Y_i = \sum_{i=0}^{r-1} X_i \otimes \check{m}(Y_i)$ in $\mathcal{E}_E \otimes_{R[t]} \mathcal{E}_{\check{F}}$. If $m(X_j) = \sum_{h=0}^{r-1} m_{hj} X_h$, $m_{hj} \in R[t]$, then $\check{m}(Y_h) = \sum_{j=0}^{r-1} m_{hj} Y_j$. Clearly \check{m} defines an isogeny $\check{M} : \check{F} \rightarrow \check{E}$. We will show \check{M} has the required property.

Fix a non-zero $a \in A$, and let $Z_a = \sum X_{ij} \otimes Y_{ij}$ be the element of $\mathcal{E}_{aE} \otimes_R \mathcal{E}_{a\check{E}}$ and $\mathcal{E}_{aF} \otimes_R \mathcal{E}_{a\check{F}}$ as in the proof of (5.1), (iii) (we use again the symbol Z_a in common for E and F). Then the equality (5.4.1) is equivalent to the equality

$$(5.4.2) \quad (1 \otimes \check{m})(Z_a) = (m \otimes 1)(Z_a) \quad \text{in } \mathcal{E}_{aE} \otimes_R \mathcal{E}_{a\check{F}}.$$

The uniqueness of \check{M} follows from this equality, because it determines $\check{m}(Y_i) \pmod{a\mathcal{E}_{\check{F}}}$ for all non-zero $a \in A$.

Let us prove the equality (5.4.2). Recall that $X_{ij} = t^i X_j$ (= abbreviation of $\psi_{t^i}(X_j)$) and $Y_{ij} = b_i Y_j$ (= abbreviation of $\check{\psi}_{b_i}(Y_j)$). If $a = t^k + \sum_{l=0}^{k-1} g_l t^l$ with $g_l \in \mathbb{F}_q$, then by (5.1.1a), we see that $b_i = t^{k-1-i} + g_{k-1} t^{k-2-i} + \dots + g_{i+1}$. Since m commutes with elements of A , we have

$$\begin{aligned} (m \otimes 1)(Z_a) &= (m \otimes 1) \sum_{i,j} (t^i \otimes b_i)(X_j \otimes Y_j) \\ &= \sum_{i,j} (t^i \otimes b_i) \left(\sum_{h=0}^{r-1} m_{hj} X_h \right) \otimes Y_j \\ &= \sum_{h,j} (m_{hj} \otimes 1) \left(\sum_{i=0}^{k-1} t^i \otimes b_i \right) (X_h \otimes Y_j). \end{aligned}$$

Similarly,

$$(1 \otimes \check{m})(Z_a) = \sum_{h,j} (1 \otimes m_{hj}) \left(\sum_{i=0}^{k-1} t^i \otimes b_i \right) (X_h \otimes Y_j).$$

So the coincidence of these two elements is implied by the annihilation of $X_h \otimes Y_j$ by

$$(5.4.3) \quad (m_{hj} \otimes 1 - 1 \otimes m_{hj}) \sum_{i=0}^{k-1} (t^i \otimes b_i)$$

Since the \otimes is over R and $m_{hj} \in R[t]$, it suffices to prove this for $m_{hj} = t^n$ for all $n \geq 1$. But $t^n \otimes 1 - 1 \otimes t^n$ has the factor $t \otimes 1 - 1 \otimes t$, so we may assume $m_{hj} = t$. In that case, a simple calculation shows that (5.4.3) equals $a \otimes 1 - 1 \otimes a$. This kills $X_h \otimes Y_j$ because we are now working on a -division points.

(ii) is clear from the uniqueness of M^* as shown in (ii-2) of (4.3).

(iii) Take any non-zero $a \in A$ such that $\text{Ker}(M) \subset {}_aE$. Then there exists an isogeny $N : F \rightarrow E$ such that $N \circ M = a$ on E and $M \circ N = a$ on F . Restricting the dual maps to a -division points, we have $\text{Ker}(\check{M}) = \text{Im}(\check{N})$ and $\text{Ker}(\check{N}) = \text{Im}(\check{M})$. Applying the exact functor $*$ to the exact sequence

$$0 \longrightarrow \text{Ker}(M) \longrightarrow {}_aE \xrightarrow{M} {}_aF ,$$

we find the sequence

$$0 \longleftarrow \text{Ker}(M)^* \longleftarrow {}_aE^* \xleftarrow{M^*} {}_aF^*$$

exact. Using (ii), we conclude

$$\begin{aligned} \text{Ker}(M)^* &\simeq {}_aE^*/\text{Im}(M^*) = {}_a\check{E}/\text{Im}(\check{M}) \\ &= {}_a\check{E}/\text{Ker}(\check{N}) \simeq \text{Im}(\check{N}) = \text{Ker}(\check{M}). \quad \square \end{aligned}$$

6. Duality for π -divisible groups

Let π be a monic prime element of $A = \mathbb{F}_q[t]$, and let G be a π -divisible group over an A -scheme S of height h . Thus G is an inductive system $(G_n, i_n)_{n \geq 0}$ of finite v -modules G_n over S with transition maps $i_n : G_n \rightarrow G_{n+1}$ such that, for all $n \geq 0$,

- (1) G_n is killed by π^n , and of rank $|\pi|^{nh} = q^{nh \cdot \text{deg}(\pi)}$; and
- (2) the sequence

$$0 \longrightarrow G_n \xrightarrow{i_n} G_{n+1} \xrightarrow{\pi^n} G_{n+1}$$

is exact.

An anti-equivalent definition can be stated in terms of v -sheaves; we call a projective system $\mathcal{E} = (\mathcal{E}_n, p_n)_{n \geq 0}$ of v -sheaves a π -adic v -sheaf on S of height h if, for all $n \geq 0$,

- (1) \mathcal{E}_n is killed by π^n , and of rank $nh \cdot \deg(\pi)$; and
- (2) the sequence

$$\mathcal{E}_{n+1} \xrightarrow{\pi^n} \mathcal{E}_{n+1} \xrightarrow{p_n} \mathcal{E}_n \longrightarrow 0$$

is exact.

It is clear that the category of π -divisible groups over S is anti-equivalent to the category of π -adic v -sheaves on S (cf. Proposition (3.3)).

The dual $G^* = (G_n^*, i_n^*)_{n \geq 0}$ of G is defined as follows: G_n^* is the dual of G_n in the sense of §4, and the transition map $i_n^* : G_n^* \rightarrow G_{n+1}^*$ is the dual morphism of the surjective morphism $\pi : G_{n+1} \rightarrow G_n$. It is clear that G^* is a π -divisible group and has the same height as G .

Assume now that S is integral and, for all $n \geq 0$, G_n is étale over the generic point of S . Let K^{sep} be a separable closure of the function field K of S . Define two Galois modules $\Phi_\pi(G)$ and $T_\pi(G)$ as usual:

$$\begin{aligned} \Phi_\pi(G) &:= \varinjlim_n G_n(K^{\text{sep}}), \\ T_\pi(G) &:= \varprojlim_n G_n(K^{\text{sep}}), \end{aligned}$$

where the transition maps are those induced by i_n and π respectively. If A_π denotes the π -adic completion of A , and F_π denotes the fraction field of A_π , then $\Phi_\pi(G)$ is a divisible A_π -module, and $T_\pi(G) = \text{Hom}_{A_\pi}(F_\pi/A_\pi, \Phi_\pi(G))$ is a free A_π -module of rank h . Write C_n for the kernel of π^n on the Carlitz module C . Noticing the compatibility ((4.3), (ii-2)), and passing to the limit as $n \rightarrow \infty$ of the pairing ((4.3), (ii-3)): $G_n(K^{\text{sep}}) \times G_n^*(K^{\text{sep}}) \rightarrow C_n(K^{\text{sep}})$, inductively with G_n and C_n and projectively with G_n^* , we obtain:

PROPOSITION (6.1). *There exist canonical isomorphisms of Galois modules:*

$$\begin{aligned} T_\pi(G^*) &\simeq \text{Hom}_{A_\pi}(\Phi_\pi(G), \Phi_\pi(C)) \\ &\simeq \text{Hom}_{A_\pi}(T_\pi(G), T_\pi(C)). \end{aligned}$$

Assume now that $S = \text{Spec } R$, where R is a complete noetherian local A -algebra such that the structure morphism $\alpha : A \rightarrow R$ is injective and $\alpha(\pi)$ is in the maximal ideal of R . As was shown in (1.4) of [6], the category of connected π -divisible groups over R is equivalent to the category of divisible formal A_π -modules over R . The *dimension* of a π -divisible group G over R is defined to be the dimension of the formal A_π -module corresponding to the maximal connected sub- π -divisible group G^0 of G . The following proposition is proved in the same way as Proposition 3 of [7], using Proposition (4.7).

PROPOSITION (6.2). *Let d and d^* be the dimensions of G and its dual G^* respectively. Then we have $d + d^* = h$, the height of G and G^* .*

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Tokyo Metropolitan University
 Hachioji, Tokyo, 192-03
 JAPAN
 taguchi@math.metro-u.ac.jp