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Valuations, Orderings, and Milnor K -Theory

Ido Efrat



American Mathematical Society

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Contents

Introduction	ix
Conventions	xiii
Part I. Abelian Groups	
Chapter 1. Preliminaries on Abelian Groups	5
§1.1. General facts	5
§1.2. Divisible hulls	7
§1.3. Rational ranks	11
§1.4. Characters	12
Chapter 2. Ordered Abelian Groups	15
§2.1. Basic properties and examples	15
§2.2. Ranks	17
§2.3. Cores	19
§2.4. Cofinality and infinitesimals	20
§2.5. Ordered abelian groups of rank 1	21
§2.6. Push-downs	23
§2.7. Well-ordered sets	24
§2.8. Formal power series	27
§2.9. Generalized rational functions	30
Part II. Valuations and Orderings	
Chapter 3. Valuations	37
§3.1. Valuation rings	37
§3.2. Valuations	38
§3.3. Places	42
§3.4. Discrete valuations	43
Chapter 4. Examples of Valuations	47
§4.1. Valuations from unique factorization domains	47
§4.2. Valuations on power series fields	48
§4.3. Gauss valuations	50
Chapter 5. Coarsenings of Valuations	55
§5.1. Coarser and finer	55
§5.2. Quotients and compositions of valuations	56
§5.3. Coarsenings in the mixed characteristic case	60

Chapter 6. Orderings	63
§6.1. Ordered fields	63
§6.2. Examples of orderings	66
§6.3. Archimedean orderings	67
Chapter 7. The Tree of Localities	69
§7.1. Localities	69
§7.2. Localities on residue fields	70
§7.3. The tree structure	71
Chapter 8. Topologies	75
§8.1. Basic properties	75
§8.2. Continuity of roots	77
§8.3. Bounded sets	79
Chapter 9. Complete Fields	81
§9.1. Metrics	81
§9.2. Examples	82
§9.3. Completions	83
Chapter 10. Approximation Theorems	87
§10.1. Approximation by independent localities	87
§10.2. Approximation by incomparable valuations	90
§10.3. Consequences	93
Chapter 11. Canonical Valuations	95
§11.1. Compatible localities	95
§11.2. S -cores	98
§11.3. Explicit constructions	100
§11.4. Existence of valuations	103
Chapter 12. Valuations of Mixed Characteristics	107
§12.1. Multiplicative representatives	107
§12.2. λ -adic expansions	109
§12.3. p -perfect structures	110
§12.4. Rings of Witt vectors	116
§12.5. Mixed valuations under a finiteness assumption	118
Part III. Galois Theory	
Chapter 13. Infinite Galois Theory	125
Chapter 14. Valuations in Field Extensions	127
§14.1. Chevalley's theorem	127
§14.2. Valuations in algebraic extensions	128
§14.3. The Galois action	130
Chapter 15. Decomposition Groups	133
§15.1. Definition and basic properties	133
§15.2. Immediateness of decomposition fields	134
§15.3. Relatively Henselian fields	136

Chapter 16. Ramification Theory	141
§16.1. Inertia groups	141
§16.2. Ramification groups	143
Chapter 17. The Fundamental Equality	151
§17.1. The fundamental inequality	151
§17.2. Ostrowski's theorem	153
§17.3. Defectless fields	157
§17.4. Extensions of discrete valuations	158
Chapter 18. Hensel's Lemma	161
§18.1. The main variants	161
§18.2. n th powers	164
§18.3. Example: complete valued fields	166
§18.4. Example: power series fields	168
§18.5. The Krasner–Ostrowski lemma	170
Chapter 19. Real Closures	175
§19.1. Extensions of orderings	175
§19.2. Relative real closures	177
§19.3. Sturm's theorem	181
§19.4. Uniqueness of real closures	184
Chapter 20. Coarsening in Algebraic Extensions	187
§20.1. Extensions of localities	187
§20.2. Coarsening and Galois groups	189
§20.3. Local closedness and quotients	190
§20.4. Ramification pairings under coarsening	191
Chapter 21. Intersections of Decomposition Groups	193
§21.1. The case of independent valuations	193
§21.2. The case of incomparable valuations	194
§21.3. Transition properties for Henselity	195
Chapter 22. Sections	199
§22.1. Complements of inertia groups	199
§22.2. Complements of ramification groups	203
Part IV. K-Rings	
Chapter 23. κ -Structures	209
§23.1. Basic notions	209
§23.2. Constructions of κ -structures	210
§23.3. Rigidity	213
§23.4. Demuškin κ -structures	214
Chapter 24. Milnor K -Rings of Fields	217
§24.1. Definition and basic properties	217
§24.2. Comparison theorems	219
§24.3. Connections with Galois cohomology	221
Chapter 25. Milnor K -Rings and Orderings	225

§25.1. A K -theoretic characterization of orderings	225
§25.2. Cyclic quotients	228
Chapter 26. K -Rings and Valuations	231
§26.1. Valuations and extensions	231
§26.2. The Baer–Krull correspondence	234
§26.3. Totally rigid subgroups	235
§26.4. Sizes of multiplicative subgroups	236
§26.5. H_S and the K -ring	238
§26.6. Bounds in the totally rigid case	240
§26.7. Fans	242
§26.8. Examples of totally rigid subgroups	244
Chapter 27. K -Rings of Wild Valued Fields	247
§27.1. The discrete case	247
§27.2. A vanishing theorem	248
§27.3. The general case	250
Chapter 28. Decompositions of K -Rings	253
§28.1. The basic criterion	253
§28.2. Topological decompositions	256
§28.3. Local pairs	257
§28.4. Arithmetical decompositions	259
Chapter 29. Realization of κ -Structures	263
§29.1. Basic constructions	263
§29.2. K -rings modulo preorderings of finite index	265
§29.3. κ -structures of elementary type	267
Bibliography	269
Glossary of Notation	275
Index	281

Introduction

The *fundamental theorem of arithmetic* describes the structure of the multiplicative group \mathbb{Q}^\times of the field \mathbb{Q} of rational numbers as a direct sum

$$\mathbb{Q}^\times \cong (\mathbb{Z}/2) \oplus \bigoplus_{p \text{ prime}} \mathbb{Z}.$$

Namely, a non-zero rational number a has a unique decomposition $a = \pm \prod_p p^{v_p(a)}$, where the exponents $v_p(a)$ are integers and are zero for all but finitely many primes p . This very basic fact brings together the three main objects studied in this book: *multiplicative groups of fields*, *valuations*, and *orderings*. In fact, as we shall see later on, the maps v_p are all non-trivial valuations on \mathbb{Q} , and the \pm sign corresponds to its unique ordering.

The attempts to generalize the fundamental theorem of arithmetic to arbitrary number fields F led to the creation of algebraic number theory. Of course, to make such a generalization possible, one had to modify the mathematical language used. The right generalization of both the notion of a prime number as well as of the \pm sign turned out to be that of an *absolute value*: a map $|\cdot|$ from F to the non-negative real numbers such that $|x| = 0$ if and only if $x = 0$, and such that

$$|x \cdot y| = |x| \cdot |y| \quad \text{and} \quad |x + y| \leq |x| + |y|$$

for all x, y in F . For instance, on \mathbb{Q} the usual ordering gives an absolute value $|\cdot|_\infty$ in the standard way, and each map v_p as above gives the *p -adic* absolute value $|x|_p = 1/p^{v_p(x)}$. For the p -adic absolute value $|\cdot| = |\cdot|_p$ the triangle inequality can be strengthened to the so-called *ultrametric inequality*

$$|x + y| \leq \max\{|x|, |y|\}.$$

Absolute values having this stronger property are called *non-Archimedean*, the rest being referred to as *Archimedean*. Using these concepts it was possible to develop one of the most beautiful branches of algebraic number theory: the so-called *ramification theory*, which describes the behavior of absolute values under field extensions, and especially their reflection in Galois groups.

At this point, it was natural to ask for a generalization of this theory to arbitrary fields F . Unfortunately, the notion of an absolute value, which was satisfactory in the number field case, is inadequate in general, so better concepts had to be found. The right substitute for the notion of an Archimedean absolute value has been systematically developed by E. Artin and O. Schreier in the late 1920s ([Ar], [AS1], [AS2]), following an earlier work by Hilbert: this is the notion of an *ordering* on F , i.e., an additively closed subgroup P of the multiplicative group F^\times of F (standing for the set of “positive” elements) such that $F^\times = P \cup -P$.

The proper definition in the non-Archimedean case is more subtle, and was introduced by W. Krull in his landmark 1931 paper [Kru2]. Roughly speaking, instead of looking at the absolute value $|\cdot|$ itself, Krull focused on the group homomorphism $v = -\log|\cdot|: F^\times \rightarrow \mathbb{R}$. Of course, this minor modification cannot change much, and is still insufficient for general fields. However, Krull’s conceptual breakthrough was to replace the additive group \mathbb{R} by an arbitrary *ordered abelian group* (Γ, \leq) . Thus what we now call a *Krull valuation* on the field F is a group homomorphism $v: F^\times \rightarrow \Gamma$, where (Γ, \leq) is an ordered abelian group, which satisfies the following variant of the ultrametric inequality:

$$v(x + y) \geq \min\{v(x), v(y)\}$$

for $x \neq -y$.

Krull’s seminal work [Kru2] paved the way to modern valuation theory. Starting from this definition, he introduced some of the other key ingredients of the theory: valuation rings, the analysis of their ideals, the convex subgroups of (Γ, \leq) , and the connections between all these objects and coarsenings of valuations. He adapted for his general setting the (already existent) notions of decomposition, inertia, and ramification subgroups of Galois groups over F . Furthermore, he studied maximality properties of valued fields with respect to field extensions. In a somewhat more implicit way he also studied a notion which will later on become central in valuation theory, namely, *Henselian* valued fields (although he does not give it a name). This notion turned out to be the right algebraic substitute in the setup of Krull valuations for the topological property of completeness. It is analogous to the notion of a *real closed field* introduced by Artin and Schreier in the context of ordered fields. The term “Henselian” is in honor of K. Hensel, who discovered the field \mathbb{Q}_p of p -adic numbers, and proved (of course, under a different terminology) that its canonical valuation is Henselian [He]. We refer to [Ro] for a comprehensive study of the early (pre-Krull) history of valuation theory.

The classical theory of valuations from the point of view of Krull and his followers is well presented in the already classical books by O. Endler [En], P. Ribenboim [Ri1], and O.F.G. Schilling [Schi]. Yet, over the decades that elapsed since the publication of these books, valuation theory went through several conceptual developments, which we have tried to present in this monograph.

First, the different definitions in the Archimedean and non-Archimedean cases caused a split of the unified theory into two separate branches of field arithmetic: the theory of ordered fields on one hand, and valuation theory on the other hand. While Krull still keeps in [Kru2] a relatively unified approach (at least to the extent possible), later expositions on general valuation theory have somewhat abandoned the connections with orderings. Fortunately, the intensive work done starting in the 1970s on ordered fields and quadratic forms (which later evolved into real algebraic geometry) revived the interest in this connection, and led to a reintegration of these two sub-theories. T.Y. Lam’s book [Lam2] beautifully describes this interplay between orderings and valuations from the more restrictive viewpoint of the reduced theory of quadratic forms, i.e., quadratic forms modulo a preordering (see also [Lam1] and [Jr]). In the present book we adopt this approach in general, and whenever possible study orderings and valuations jointly, under the common name *localities*.

Second, starting already from Krull’s paper [Kru2], the emphasis in valuation theory has been on its Galois-theoretic aspects. These will be discussed in detail in

Part III of the book. However, by their mere definitions, valuations and orderings are primarily related to the multiplicative group F^\times of the field F , and much can be said when studying them in this context. This approach has become dominant in the ordered field case (as in [Lam2]). However, it is our feeling that in the valuation case this viewpoint has been somewhat neglected in favor of the Galois-theoretic one. Therefore, in addition to presenting the classical theory of Galois groups of valued field extensions, we devote several sections (in Parts II and IV of the book) to developing the theory with emphasis on subgroups S of F^\times . In particular, we focus on valuations satisfying a natural condition called *S-compatibility*, which is the analog of Henselity in the multiplicative group context.

Part IV takes this approach one step further, and studies the Milnor K -theory of valued and ordered fields F . We recall that the Milnor K -group of F of degree r is just the tensor product $F^\times \otimes_{\mathbb{Z}} \cdots \otimes_{\mathbb{Z}} F^\times$ (r times) modulo the simple relations $a_1 \otimes \cdots \otimes a_r = 0$ whenever $a_i + a_j = 1$ for some $i < j$. Several important results (or conjectures) in arithmetic geometry indicate that there should be some kind of parallelism between Milnor's K -theory and Galois theory of fields. For instance, the *Bloch-Kato conjecture* predicts a canonical isomorphism between $K_r^M(F)/n$ and the Galois cohomology group $H^r(F, \mu_n^{\otimes r})$ (where $r \geq 0$ and $n \geq 1$ are integers with $\text{char } F \nmid n$, and the cohomology is with respect to the r -times twisted cyclotomic action); this has been proved in several important cases by A.S. Merkurjev, A.A. Suslin, M. Rost, V. Voevodsky, and others (see §24.3). It is therefore not surprising that large parts of the Galois theory of valued and ordered fields have analogs in this natural framework of Milnor's K -theory. These analogs will be presented in Part IV. In some sense, this shift of viewpoint resembles the introduction of the K -theoretic approach to higher class field theory, complementing the earlier Galois-theoretic approach (see [FV, Appendix B] and [FK]).

Finally, there has been much interest lately in construction of non-trivial valuations on fields. Such constructions emerged in the context of ordered fields (in particular, L. Bröcker's "trivialization of fans" theorem [Br1]), and later in an elementary and explicit way by B. Jacob, R. Ware, J.K. Arason, R. Elman, and Y.S. Hwang ([J1], [War2], [AEJ], [HwJ]). Such constructions became especially important in recent years in connection with the so-called *birational anabelian geometry*. This line of research originated from ideas of A. Grothendieck ([G1], [G2]) as well as from works of J. Neukirch ([N1], [N2]). Here one wants to recover the arithmetic structure of a field (if possible, up to an isomorphism) from its various canonical Galois groups. The point is that usually the first step is to recover enough valuations from their cohomological (or K -theoretic) "footprints"; see, e.g., [BoT], [Ef1], [Ef7], [EfF], [NSW, Ch. XII], [P1], [P2], [P3], [Sp], [Sz] for more details. In §11 we give a new presentation of the above-mentioned line of elementary constructions, based on the coarsening relation among valuations. While these constructions were considered for some time to be somewhat mysterious, they fit very naturally into the multiplicative group approach as discussed above, especially when one uses the K -theoretic language. In §26 we use this language to prove the main criterion for the existence of "optimal" valuations, as is required in the applications to the birational anabelian geometry. This is further related to the notion of *fans* in the theory of ordered fields, thus closing this fruitful circle of ideas that began with [Br1].

The prerequisites of this book are quite minimal. We assume a good algebraic knowledge at a beginning graduate level, including of course familiarity with general

field theory and Galois theory. The generalization of finite Galois theory to infinite normal extensions is reviewed for the reader's convenience in §13. Likewise we develop the basic facts and formalisms of Milnor's K -theory in §§23–24 in order not to assume any prior knowledge in this area. On the other hand, we do assume familiarity with the language of homological algebra (exact sequences, commutative diagrams, direct and inverse limits, etc.). The presentation is mostly self-contained, and only very few facts are mentioned without proofs: the “snake lemma” and some basic properties of flatness in §1.1, the structure theory of finitely generated modules over a principal ideal domain and the Nakayama lemma in §17.4, short cohomological discussions in §22.2, §24.3 and Remark 25.1.7, and some facts from local class field theory in §27.1.

Unlike most existing texts on valuation theory, we chose not to develop the theory using commutative algebra machinery, but rather to use the machinery of abelian groups. This simplifies the presentation in many respects. The required results about abelian groups (and in particular ordered abelian groups) are developed in Part I of the book.

Needless to say, we have not pretended to fully describe here the vast research work done on valued and ordered fields throughout the twentieth century and which still goes on today. The choice of material reflects only the author's personal taste (and even more so, his limitations). More material can be found in the texts by Ax [**Ax**], Bourbaki [**Bou1**], Endler [**En**], Jarden [**Jr**], Ribenboim ([**Ri1**], [**Ri3**]), Schilling [**Schi**], and Zariski and Samuel [**ZS**] on valuation theory, as well as those by Knebusch and Scheiderer [**KnS**], Lam ([**Lam1**], [**Lam2**]), Prestel [**Pr**] and Scharlau [**Sch2**] on ordered fields. Likewise, the reference list at the end of this monograph surely covers only a small portion of the possible bibliography. Other and more comprehensive lists of references on valuation theory can be found in [**FV**], [**Ro**], and at the Valuation Theory internet site at <http://math.usask.ca/fvk/Valth.html>. A comprehensive bibliography on the work done until 1980 on ordered fields is given in [**Lam1**].

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Conventions

The image, kernel, and cokernel of a group homomorphism $f: A \rightarrow B$ will be denoted as usual by $\text{Im}(f)$, $\text{Ker}(f)$, $\text{Coker}(f)$, respectively. Thus $\text{Coker}(f) = B/\text{Im}(f)$. Given an abelian group A and a positive integer n , we denote the image, kernel, and cokernel of the homomorphism $A \rightarrow A$ of multiplication by n by nA , ${}_nA$, and A/n , respectively.

For a prime number p we set $\mathbb{Z}_p = \varprojlim \mathbb{Z}/p^i$. Likewise, we set $\hat{\mathbb{Z}} = \varprojlim \mathbb{Z}/n$, where n ranges over all positive integers, and the inverse limit is with respect to the divisibility relation.

Unless explicitly stated otherwise, all rings will be tacitly assumed to be commutative with 1, and all modules two-sided (an important exception will be the κ -structures, discussed in Part IV, which are *anti-commutative* rings). The group of invertible elements in a ring R will be denoted by R^\times . In particular, the multiplicative group $F \setminus \{0\}$ of a field F will be denoted by F^\times . A grading on a ring will always be by the nonnegative integers.

Given a subset A of a group, we denote the subgroup it generates by $\langle A \rangle$. The notation $B \leq A$ will mean that B is a subgroup of the group A .

Given a subsets A, B of a field F and an element c of F we set

$$\begin{aligned} A \pm B &= \{a \pm b \mid a \in A, b \in B\}, & AB &= \{ab \mid a \in A, b \in B\} \\ -A &= \{-a \mid a \in A\}, & cA &= \{ca \mid a \in A\}, \end{aligned}$$

etc.

We denote the fixed field of a group G of automorphisms of a field E by E^G . If a is an element of some field extension of E and is algebraic over E , then we denote its irreducible polynomial over E by $\text{irr}(a, E)$. An extension $F \subseteq E$ of fields will be written as E/F , and its transcendence degree will be denoted by $\text{tr.deg}(E/F)$.

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Glossary of Notation

\mathbb{N}	the non-negative integers
\mathbb{Z}	the rational integers
\mathbb{Q}	the rational numbers
\mathbb{R}	the real numbers
\mathbb{C}	the complex numbers
\mathbb{F}_q	the field of q elements
\mathbb{Z}_p	the p -adic integers
\mathbb{Q}_p	the field of p -adic numbers
$\hat{\mathbb{Z}}$	the p -adic completion of \mathbb{Z}
$ \cdot _\infty$	Archimedean absolute value on \mathbb{Q} , ix
$ \cdot _p$	p -adic absolute value on \mathbb{Q} , ix
F^\times	multiplicative group of F , ix
$\text{Im}(f)$	image of the map f , xiii
$\text{Ker}(f)$	kernel of the homomorphism f , xiii
$\text{Coker}(f)$	cokernel of the homomorphism f , xiii
${}_n A$	n -torsion subgroup of an abelian group A , xiii
R^\times	group of invertible elements in a ring R , xiii
E^G	fixed field of E under the automorphism group G , xiii
$\text{tr.deg}(E/F)$	relative transcendence degree of an extension E/F , xiii
Γ_{tor}	torsion subgroup of Γ , 5
Γ_p	p -primary subgroup of Γ , 5
Γ_{div}	divisible hull of Γ , 7
t_Γ	canonical map $\Gamma \rightarrow \Gamma_{\text{div}}$, 8
$\frac{1}{n}\Gamma$	group of all α in Γ_{div} with $n\alpha \in \Gamma$, 10
$\frac{1}{l^\infty}\Gamma$	l -divisible hull of Γ , 10
$\text{rr}(\Gamma)$	rational rank of Γ , 11
$\chi_{\bar{\mu}}(\Gamma)$	group of characters of Γ into $\bar{\mu}$, 12
\leq_{div}	extension of \leq to the divisible hull, 16
$\text{rank}(\Gamma)$	rank of Γ , 17
Γ_Σ	Σ -core of Γ , 19
Γ_{inf}	group of infinitesimal elements in Γ , 20
$\leq_{\mathbb{R}}$	standard order on \mathbb{R} , 20

K^Γ	set of maps $f: \Gamma \rightarrow K$, 27
$\text{Supp}(f)$	support of the map f , 27
Γ_f	cut of $f \in K^\Gamma$, 27
$f \preceq f'$	$f, f' \in K^\Gamma$ coincide on Γ_f , 27
$K((\Gamma))$	formal power series field, 28
$K[[\Gamma]]$	series in $K((\Gamma))$ with non-negative support, 29
$K_{\text{Puis}}((\Gamma))$	generalized Puiseux series field, 30
$K(\Gamma)$	generalized rational function field, 30
$\text{rank}(v)$	rank of a valuation v , 39
v_O	valuation associated with a valuation ring O , 39
O_v	valuation ring of v , 39
\bar{F}_v	residue field of (F, v) , 40
G_v	principal unit group of v , 40
\mathfrak{m}_v	valuation ideal of v , 40
O_v^\times	group of v -units, 40
π_v	place associated with v , 40
\bar{S}_v	push-down of S under v , 41
v_π	valuation corresponding to a prime π in a UFD, 47
v_∞	degree valuation on $K(t)$, 48
$v_{\pi, \text{cont}}$	π -content valuation, 53
$\text{cont}(f)$	content of a polynomial f , 53
$v^\#$	mirror valuation of v , 53
$u \leq v$	u is coarser than v , v finer than u , 56
v/u	quotient valuation, 56
$<_P$	strict ordering relation corresponding to an ordering P , 63
\leq_P	coarse ordering relation corresponding to an ordering P , 63
$(a, b)_P$	open interval relative to P , 63
$(a, \infty)_P$	infinite open interval relative to P , 63
$(-\infty, b)_P$	infinite open interval relative to P , 63
$[a, b]_P$	closed interval relative to P , 64
$ \cdot _P$	absolute value corresponding to P , 64
ΣS	non-zero sums of elements of S , 64
ΣF^2	non-zero sums of squares, 65
G_λ	69
$\lambda_1 \leq \lambda_2$	coarsening relation for localities, 69
$O_R(P)$	valuation ring associated with P , 71
\mathcal{T}_λ	topology of locality λ , 75
\mathcal{T}^0	\mathcal{T} -neighborhoods of 0, 79
d_P	metric induced by an ordering P , 81
$d_{v,c}$	metric induced by a valuation v , 81

d_v	metric induced by a valuation v , 82
$\text{Val}(S)$	set of all S -compatible valuations, 95
$\text{Val}(S, H)$	subset of $\text{Val}(S)$, 95
$v_{(1)}(S, H)$	supremum of $\text{Val}(S, H)$, 96
$v_{(2)}(S, H)$	infimum of $\text{Val}(S) \setminus \text{Val}(S, H)$, 96
v_S	S -core of v , 99
$v^*(S, H)$	99
$A(S)$	100
$O^-(S, H)$	$F \setminus H$ -part of $O(S, H)$, 100
$O^+(S, H)$	H -part of $O(S, H)$, 100
$O(S, H)$	explicit construction of a valuation ring, 100
H_S	105
B^{p^∞}	107
ρ_v	Teichmüller character, 108
$\sum_{i=0}^{\infty} \rho(\bar{a}_i) \lambda^i$	λ -adic expansion, 110
$A[X_i^{p^{-n}} \mid i \in I, n \in \mathbb{N}]$	112
f_i^*	generic coefficients in p -perfect structures, 112–113
$W(\bar{A})$	115
$W(\bar{F})$	Witt vector ring over \bar{F} , 116
W_α	118
$(G : H)$	(supernatural) index of a subgroup H of a profinite group G , 125
$ G $	(supernatural) order of a profinite group G , 125
$[E : F]$	(supernatural) degree of an algebraic field extension E/F , 125
$\text{Aut}(E/F)$	automorphism group of a normal extension E/F , 126
$\text{Gal}(E/F)$	Galois group of a Galois extension E/F , 126
$e(u/v)$	ramification index, 128
$f(u/v)$	inertia degree, 128
$N_{E/F}$	the norm map, 131
$Z(u/v)$	decomposition group, 133
E_Z	decomposition field, 133
u_Z	induced valuation on decomposition field, 133
$\bar{f}(X)$	residue polynomial, 136
F_{sep}	separable closure of F , 139
F_{sol}	solvable closure of F , 139
$F(p)$	maximal pro- p Galois extension of F , 139
$T(u/v)$	inertia group, 141
E_T	inertia field, 142
u_T	valuation induced on inertia field, 142
$\chi(u/v)$	group of characters of valued field extension, 144
$V(u/v)$	ramification group, 145

E_V	ramification field, 145
u_V	valuation induced on ramification field, 145
$\text{Tr}_{E/F}$	trace map, 145
$H \backslash G/U$	set of double cosets of G , 151
$d(u/v)$	defect, 154
$\wp(X)$	Artin–Schreier polynomial $X^p - X$, 165
$\mathbb{Q}_{p,\text{alg}}$	field of algebraic p -adic numbers, 167
\mathbb{C}_p	completion of algebraic closure of \mathbb{Q}_p , 173
sgn_P	sign map associated with P , 182
$V_P(a_0, \dots, a_m)$	number of sign changes in a_0, \dots, a_m relative to P , 182
$W_P(c)$	182
G_F	absolute Galois group of F , 201
Frob_q	Frobenius automorphism, 201
$G_F(p)$	maximal pro- p Galois group of F , 202
$\chi_{\bar{F},p}$	pro- p cyclotomic character of \bar{F} , 202
$\text{Tens}(\Gamma)$	tensor algebra over Γ , 209
κ	tensor algebra over $\{\pm 1\}$, 209
ϵ	unique non-zero element of κ_1 , 209
ϵ_A	image of ϵ in a κ -structure A , 209
$\mathbf{0}$	trivial κ -structure, 209
$\prod_{i \in I} A_i$	direct product of κ -structures, 210
\otimes_κ	tensor product of κ -structures, 210
$A[\Gamma]$	extension of A by Γ , 211
$\bigwedge_*(\Gamma)$	alternating algebra over Γ , 213
Bock_A	Bockstein operator of A , 214
$\text{St}_{F,r}(S)$	group of Steinberg elements in $(F^\times/S)^{\otimes r}$, 217
$K_r^M(F)/S$	Milnor K -group of F modulo S of degree r , 217
$K_*^M(F)/S$	Milnor K -ring of F modulo S , 217
$K_r^M(F)$	Milnor K -group of F of degree r , 218
$K_*^M(F)$	Milnor K -ring of F , 218
$\{a_1, \dots, a_r\}_S$	symbol in $K_r^M(F)/S$, 218
$\{a_1, \dots, a_r\}$	symbol in $K_r^M(F)$, 219
Res	restriction morphism, 219
\cup	cup product, 221
$\hat{F}^{(n,p)}$	descending sequence of a pro- p group \hat{F} , 222
trg	transgression map, 222
$\text{Bock}_{F,S}$	Bockstein operator in $K_*^M(F)/S$, 225
T_M	236
N_S	subgroup generated by the non- p -rigid elements, 237

$\text{Cl}_{\mathcal{T}}$	\mathcal{T} -closure, 256
\mathcal{A}	set of κ -structures realizable by preorderings of finite index, 265
$\nu(A)$	number of morphisms $A \rightarrow \kappa$, 267
\mathcal{E}_q	set of q -elementary type κ -structures, 267

Index

- Abhyankar, 170
- absolute value ix
 - Archimedean, ix
 - corresponding to an ordering, 64
 - non-Archimedean, ix
 - p -adic, ix
- alternating algebra, 213
- Arason, xi, 95, 100, 213
- Archimedean
 - absolute value, ix
 - ordered abelian group, 23
 - ordering, 35, 67, 71, 81, 85, 88
 - valuation, 39
- Archimedes' axiom, 20
- Artin, ix–x, 65, 69, 175, 178, 180, 184, 228
- Ax, x, 135
- Baer, 69, 234, 267
 - Baer–Krull correspondence, 234, 267
- Bass, 207, 209, 225, 231, 233
- Becker, 175, 180
- birational anabelian geometry, xi, 238
- Bloch–Kato conjecture, xi, 221–222
- Bockstein map, 214, 225, 226, 228, 244–245
- Borchardt, 181
- bounded set, 79–80, 89–90
- Bourbaki, xii
- Bröcker, xi, 164, 243, 267
- character, 12–14, 199
 - cyclotomic, 202
- characteristic (of a ring), 107
- Chevalley, 127–128, 152, 170, 188
- coarser
 - locality, 69–73, 76, 187–191, 195, 255–257
 - valuation, 55–61, 96–100, 189, 191–192
- cofinal, 20–23, 129
- comparable
 - localities, 90–93, 131, 195
 - valuations 91–92, 96–97, 99, 131, 193–195, 197–198
- compatible,

- local pair, 257–258, 260
- locality, 35, 95–98, 207
 - valuation, 95–98, 100, 103, 105, 165, 207, 231–235, 238–244, 250–251
- complete, 82–83, 108, 110–111, 117, 166–167, 173
- completion, 82–85, 133, 167–168, 172–173, 248, 250, 268
- composition of valuations, 59–60
- content
 - of a polynomial, 53
 - valuation, 53
- continuity of roots, 77–78, 171
- convex hull, 16–18, 20, 23–25
- convex subgroup, x , 16–24, 55–56, 61, 72, 98
- core
 - of a valuation, 98–99, 101, 103, 198
 - Σ -, 19–20, 95, 101
- Craven, 262, 265
- cut, 27
- cyclotomic character, 202
- decomposition
 - field, 133–139, 142–143, 149, 152–154, 158, 160, 188–190, 199–201, 203
 - group, 133–139, 141, 145, 165, 189–191, 193–196, 199–204
- Dedekind, 123
- defect, 151, 154–158, 170
- defectless, 158, 167, 170
- degree,
 - of an algebraic extension, 125–126
 - valuation, 48, 54, 60
- Demuškin κ -structure, 209, 214–216, 247, 250–251, 267
- Deuring, 123, 151
- direct product of κ -structures, 210, 215–216, 253–262, 265–268
- discrete
 - ordered abelian group, 20–23
 - valuation, 36, 43–46, 48, 50, 87, 107–108, 110, 117, 129, 157–159, 167–168, 202, 204, 213, 231, 233, 247–248, 250, 264–265
 - valuation ring, 43, 47, 111, 117
- divisible
 - group, 5, 158, 167, 169
 - hull, 7–11, 16, 18, 129
 - p -, 106, 119–120, 250–251
- double cosets, 151–153
- elementary type
 - conjecture, 207, 268
 - κ -structure, 267–268
- Elman, xi, 95, 100, 213
- embedding of valued fields, 137
- Endler, x , xii, 95
- Engler, 95, 194
- equivalent valuations, 39–40, 130–131, 133–134, 142–145, 152
- Euclidean

- algorithm, 181
- closure, 177–178
- field, 95, 177–178, 180, 195, 228
- expansion, λ -adic, 109–113, 116, 160
- extension
 - of κ -structures, 209, 211–214, 216, 229, 230–233, 241–245, 263–268
 - of localities, 187–191
 - of ordered fields, 175–181, 184–185
 - of valued fields, 42, 117, 123, 127–132, 152–153, 157–160, 189–192
- fan, xi, 231, 242–246
 - trivialization of, xi, 243
 - valuation, 241–242
- finer
 - locality, 69–73, 76, 187–191, 195, 255–257
 - valuation, 55–61, 96–100, 189, 191–192
- finest common coarsening, 71–72, 87, 89, 91–94, 96, 188, 194, 240, 245, 256
- flat, 6–7
- formal power series, 15, 27–31, 47–50, 59, 66–67, 82–83, 107, 109, 161, 168–170
- formally real, 63, 178, 195
- Frobenius automorphism, 201–202
- fundamental equality, 157–160
- fundamental inequality, 128, 151–156, 165, 200, 248
- Galois
 - action on valuations, 130–134, 142, 145, 152
 - group, 126
 - symbol, 221–222, 228
- Gauss lemma, 53
- Gauss valuation, 50–54
 - classical, 52–53, 77, 171
 - extended, 51–54, 60
 - restricted, 52, 60, 77, 171
- generalized rational functions, 30–31, 47, 50–52, 60, 168, 264
- Grothendieck, xi
- Hasse, 110, 202
- Hensel, x, 48, 166–167
- Hensel–Rychlik condition, 162–164
- Henselian valuation, x, 139, 154, 158, 166–167, 169
 - p -, 139, 165
 - relative to an extension, 136–139, 159, 161–164, 171, 193–198
 - solvably, 139, 164
 - transition properties, 196–198
- Henselization, 139, 189
 - p -, 139
 - relative to an extension, 136–139
 - solvable, 139
- Hensel’s lemma, 95, 137, 161–164, 166–167, 177
- Hermite, 181
- Hilbert, ix, 31, 123, 203, 221
 - symbol, 247

- homomorphism over a subgroup, 5
- Huang, 170
- Hwang, xi, 234
- immediate extension, 42, 45, 84–85, 133–135, 138, 155, 168–169
- independent
 - localities, 87–90, 93, 167, 193–194, 257
 - topologies, 254, 256
- index, 125
- inertia
 - degree, 128–130, 153–154
 - field, 141–147
 - group, x, 141–147, 189, 192, 199–201
- infinitesimal, 20–22
- interval, 63–64, 67, 182–184
- Iwasawa, 202
- Jacob, xi, 95, 100, 207, 213, 236, 243, 261, 265, 268
- Jacobi, 181
- Jakovlev, 204
- Jannsen, 204
- Jarden, xii
- Kaplansky, 123
- Kedlaya, 170
- Knebusch, xii
- Koch, 204
- Koenigsmann, 198
- Krasner, 123
 - Krasner–Ostrowski lemma, 164, 170–171, 268
- Krull, x, 15, 123, 151, 168–169, 234, 267
 - topology, 126, 133, 141
 - valuation, x, 37–38,
- Kuhlmann, 203
- Kula, 261
- Kürschák, 172
- κ -structure, 207, 209–217, 260, 265, 267
 - trivial, 209
- Lam, x, xii
- Laurent series, 29, 50, 83, 107, 111, 157, 152, 204
- Lazard, 111
- local closure, 190
- local pair, 257–262
 - compatible, 257–258
 - degenerate, 258
- locality, 69
 - quotient, 70
 - trivial, 69
- locally closed, 189–191
- MacLane, 110, 169
- Marshall, 79, 261, 265, 268
- maximal pro- p Galois extension, 139, 164, 177, 197, 202, 222

- maximally complete, 169
- Mel'nikov, 204
- Merkurjev, xi, 221, 228
- metric
 - associated with a locality, 81–85, 166, 168
 - complete, 82
- Milnor, 207, 219
- Milnor K -ring, xi, 218–219
 - modulo a multiplicative subgroup, xi, 207, 217–225
- minimal non-degenerate compatible system, 259–262
- mirror valuation, 53–54, 60
- mixed characteristic case, 60–61, 107–120
- Moore, 245
- morphism
 - of ordered abelian groups, 15–16
 - of κ -structures, 210
- multi-linearity, 218–219, 231
- multiplicative group, ix
- multiplicative representatives, 107–109
- Nakayama lemma, 160
- Neukirch, xi
- norm residue map, 221
- opposite signs, 175
- order (supernatural), 125
- ordered abelian group, x, 15–24
 - Archimedean, 23
 - of rank 1, 21–23
- ordered field, x, 63–66, 81, 85, 123, 175–185, 228, 242
- ordering, ix,x, 35, 63–67, 69–71, 75–76, 81, 85, 88, 95, 97, 123, 175–185, 187, 189, 195, 207, 225–228, 234, 242–244, 256, 258, 262, 267
 - Archimedean, 35, 67, 71, 81, 85, 88
- ordering relation, 63, 66
- Ostrowski, 47, 123, 151, 153–155, 157–158, 164, 167, 170–171, 191, 268
- p -adic
 - absolute value, ix
 - integers, 48, 109, 116
 - numbers, x, 48, 82, 87, 109, 166–168, 172–173, 204, 247–248, 267–268
 - place, 42
 - valuation, 38, 40, 42, 47–48, 82, 172–173, 247–248
 - valuation ring, 37, 40
- π -adic valuation, 47, 53
- Pank, 203
- p -perfect
 - ring, 107, 111
 - structure, 110–116
- place, 42–43
 - associated with a valuation, 41, 59
- Pop, 118
- pre-additive, 104–105

- preordering, 64–66, 70, 207, 226–227, 241–243, 262, 266
- Prestel, xii
- primary decomposition, 5, 12
- primary element, 249–250
- primary group, 5, 12, 14, 130, 135, 146, 200
- principal units
 - of a valuation ring, 37
 - of a valuation, 40
- pro-abelian, 125, 139
- profinite, 125
- pro- p , 125, 149, 164, 197–198, 202, 222, 267
- pro-solvable, 125
- Puiseux series, Γ -, 30, 50, 169–170
- push-down, 41, 70
- Pythagorean, 178
- quotient
 - locality, 70–71
 - valuation, 56–59
- ramification
 - field, 143–149
 - index, 128–130, 154–155
 - group, 143–148
 - pairing, 147, 191–192
 - theory, ix, x, 123, 199
- rank
 - of an ordered abelian group, 17–19
 - of a valuation, 39, 56, 129
- rational rank, 11–12, 19, 20
- Rayner, 170
- real closed, x, 177
 - relative to an extension, 177–181
- real closure, 177
 - relative to an extension, 177–185, 190
 - uniqueness of, 184–185
- realizable, 263
- reduced, 225
- residue field,
 - of a valuation, 40
 - of a valuation ring, 37
- residue polynomial, 136, 160–164
- restriction morphism, 219
- Ribenboim, x, xii, 92
- rigid, 213–214, 216, 235, 237, 239
- ring topology, 75, 79, 219, 256
- Roquette, 170
- Rost, xi, 221
- Samuel, xii
- Scharlau, xii
- Scheiderer, xii

- Schilling, x, xii
- Schmidt, 110, 123, 193
- Schreier, ix, x, 65, 69, 175, 180, 184, 228
- separable closure, 139, 172, 204
- Sharomet, 204
- slicing lemma, 60–61, 102
- snake lemma, 6
- solvable closure, 139, 164
- Ștefănescu, 170
- Steinberg, 229
 - elements, 217
- Sturm's theorem, 181–184
- supernatural number, 125–126, 129
- support, 27–30, 48–51, 168–169
- Suslin, xi, 221, 228
- Sylow, pro- p subgroup, 125, 145, 198
- Sylvester, 181
- symbol, 218
- Szymiczek, 213
- Tate, 207, 209, 221, 225, 231, 233
- Teichmüller character, 108–109
- tensor algebra, 209, 211
- tensor product
 - of graded rings, 210
 - of κ -structures, 210–211
- topology associated with a locality, 75–77
- torsion group, 5
- torsion-free group, 5
- totally rigid, 233–234, 238, 240–246
- tower property
 - for defects, 155
 - for inertia degrees, 130
 - for ramification indices, 130
 - for supernatural degrees, 125
 - for supernatural indices, 125
- tree, 73
- triangle inequality, ix, 64
- ultrametric inequality
 - for absolute values, ix
 - for valuations, viii, 38
- uniformizer
 - of a discrete valuation, 44
 - of a p -perfect structure, 111
- uniquely divisible, 5
- units group, 37, 40
- valuation, 38–42
 - discrete, 43–46
 - of rank 1, 39, 56, 60–61, 81, 83–85, 87, 119–120, 166–167, 172, 193–194, 248–250

- trivial, 39
- valuation ideal, 40
- valuation ring, 37–38
 - associated with an ordering, 71, 97
 - discrete, 43–45, 111
 - trivial, 37
- value group, 38
- valued field, 39
- vanishing theorem, 248–249
- Voevodsky, xi, 221
- Wadsworth, 165, 231, 233
- Ware, xi, 95, 100, 213, 266
- weak approximation theorem, 87–91, 93, 193, 256
- Weber, 79
- well-ordered, 24–27
- Wingberg, 204
- Witt, 35, 107, 110
- Witt vectors, ring of, 107, 111, 116–18, 167, 204
- Zariski, xii

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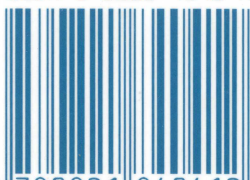


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