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SOME HOPF GALOIS STRUCTURES ARISING FROM ELEMENTARY ABELIAN p-GROUPS

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ABSTRACT. Let p be an odd prime, $G = Z_p^m$, the elementary abelian p-group of rank m, and let Γ be the group of principal units of the ring $\mathbb{F}_p[x]/(x^{m+1})$. If L/K is a Galois extension with Galois group Γ, then we show that for $p \geq 5$, the number of Hopf Galois structures on L/K afforded by K-Hopf algebras with associated group G is greater than p^s, where $s = \frac{(m-1)^2}{3} - m$.

If L/K is a Galois extension of fields with Galois group Γ, then the action of Γ as automorphisms of L makes L an H-Hopf Galois extension for $H = K\Gamma$. But as first systematically observed by Greither and Pareigis [GP87], there may be other K-Hopf algebras H that act on L making L a Hopf Galois extension. Any such H has the property that $L \otimes_K H \cong LG$ for some group G of the same cardinality as Γ: we say that H has *associated group* G. Byott [By96] transformed the problem of determining Hopf Galois structures on a Galois extension with Galois group Γ by K-Hopf algebras with associated group G, into the problem of finding equivalence classes of regular embeddings of Γ into the holomorph of G, $Hol(G) \cong G \rtimes Aut(G)$, the normalizer in $Perm(G)$ of the image of G under the left regular representation of G in $Perm(G)$. For β, β' one-to-one homomorphisms from Γ to $Hol(G)$, the equivalence is: $\beta \sim \beta'$ iff there exists an automorphism δ of G so that (in $Hol(G)$), for all g in G, $\beta'(g) = \delta\beta(g)\delta^{-1}$.

Let $\mathcal{E}(\Gamma, G)$ denote the set of equivalence classes of regular embeddings of Γ into $Hol(G)$.

Let p be an odd prime number and $G = Z_p^m$, the elementary abelian p-group of rank m. S. Featherstonhaugh showed [Fe06] that if $p > m$, then $\mathcal{E}(\Gamma, G)$ is nonempty iff $G \cong \Gamma$. In [Ch05, 8.2] we showed that if $p > m$, then there exist at least $(p^m - 1)(p^m - p)(p^m - p^2) \cdots (p^m - p^{m-2})$ abelian Hopf algebra structures on Galois extensions L/K with Galois group $\Gamma \cong G$. This paper complements this work. Here we let $G = Z_p^m$ and let Γ be the group of principal units of the ring $\mathbb{F}_p[x]/(x^{m+1})$. When $p > m$, then $\Gamma \cong G$. If L/K is a Galois extension with Galois group Γ, then we obtain a lower bound on the cardinality of $\mathcal{E}(\Gamma, G)$ and hence on the number of Hopf Galois structures on L/K with associated group G. In particular, we show that for $p \geq 5$ (or if $p = 3$ and m is sufficiently large), the cardinality of $\mathcal{E}(\Gamma, G)$ is greater than p^s where $s = \frac{(m-1)^2}{3} - m$. This result more than confirms the necessity of the assumption $p > m$ in Featherstonhaugh's work

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and further reinforces the remark closing [GP87] that "in the construction of Hopf Galois extensions there is a certain arbitrariness, in contrast to the classical case where the Galois group always comes with the field".

For a survey of work on Hopf Galois extensions prior to 2000, see [Ch00].

1. The structure of Γ

As above and for the remainder of the paper, Γ is the group $1+M$ of principal units of the finite ring $R = \mathbb{F}_p[x]/(x^{m+1})$, a local ring with maximal ideal M generated by the image in R of the indeterminate x. We note that Γ is isomorphic to the group $\mathbb{G}_m(R) = (M, +_{\mathbb{G}_m})$ of R-points of the multiplicative formal group $\mathbb{G}_m$, via the isomorphism $\psi : \mathbb{G}_m(R) \to 1+M$, given by $\psi(a) = 1+a$.

We are interested in the structure of Γ as a finite abelian group.

Proposition 1. *Γ is the direct sum of the cyclic groups generated by $\{1+x^r \mid 1 \leq r \leq m, (r,p)=1\}$.*

Proof. Since R has characteristic p, $(1+x^s)^{p^k} = 1 + x^{p^k s}$. Thus the subgroup Δ of Γ generated by $\{1+x^r\}$ for all r with $1 \leq r \leq m$ is the same as that generated by $\{1+x^r \mid 1 \leq r \leq m, (r,p)=1\}$. Now for any r, if e_r satisfies

$$p^{e_r-1} r \leq m < p^{e_r} r,$$

then $(1+x^r)$ has order p^{e_r}. The product of the orders of $\{1+x^r \mid 1 \leq r \leq m, (r,p)=1\}$ is then $\Pi_{1\leq r\leq m,(r,m)=1} p^{e_r}$. But that product equals p^m. For when $(r,p)=1$, then $e_r = |S_r|$ is the cardinality of the set

$$S_r = \{r, pr, p^2 r, \ldots, p^{e_r-1} r\};$$

the sets S_r are pairwise disjoint and the union of the S_r for $(r,p)=1$ and $1 \leq r \leq m$ is the set $\{1,2,\ldots,m\}$. Thus

$$\sum_{1\leq r\leq m,(r,p)=1} |S_r| = \sum_{1\leq r\leq m,(r,p)=1} e_r = m,$$

and so

$$\prod_{1\leq r\leq m,(r,p)=1} p^{e_r} = p^m.$$

To show that Γ is the direct sum of the cyclic groups generated by $1+x^r$ for $(r,p)=1$, it suffices to show that $\Delta = \Gamma$.

Let $f(x) = 1 + a_1 x + a_2 x^2 + \cdots + a_m x^m$ be an arbitrary element of m. We show that for $1 \leq r \leq m$ there is a product h_r of elements of Δ so that

$$f(x) \equiv h_r \pmod{x^{r+1}}.$$

For $r=1$ we have

$$(1+x)^{a_1} \equiv 1 + a_1 x \equiv f(x) \pmod{x^2}.$$

Suppose for $r \geq 1$ we have h_{r-1} in Δ so that

$$h_{r-1} \equiv f(x) \equiv 1 + a_1 x + \cdots + a_{r-1} x^{r-1} \pmod{x^r}.$$

Let

$$h_{r-1} = 1 + a_1 x + \cdots + a_{r-1} x^{r-1} + b_r x^r \pmod{x^{r+1}}.$$

Then we set

$$\begin{aligned} h_r = (1+x^r)^{a_r-b_r}h_{r-1} &\equiv (1+(a_r-b_r)x^r)h_r \\ &\equiv 1+a_1x+\cdots+a_{r-1}x^{r-1}+b_rx^r+(a_r-b_r)x^r \\ &\equiv f(x) \pmod{x^{r+1}}. \end{aligned}$$

By induction, $f(x)$ is in Δ; hence $\Delta = \Gamma$. □

Since $e_r = 1$ for all r iff $m < p$, we have

Corollary 2. $\Gamma \cong Z_p^n$ *iff* $m < p$.

Corollary 3. *As abelian groups,*

$$\Gamma \cong Z_p^{d_1} \times Z_{p^2}^{d_2} \times \cdots \times Z_{p^e}^{d_e},$$

where

$$d_k = \left\lfloor \frac{m}{p^{k-1}} \right\rfloor - 2\left\lfloor \frac{m}{p^k} \right\rfloor + \left\lfloor \frac{m}{p^{k+1}} \right\rfloor.$$

Proof. From the proof of Proposition 1, the element $1+x^r$ has order p^{e_r} if and only if $p^{e_r-1}r \le m < p^{e_r}r$. Thus d_k, the number of subgroups $\langle 1+x^r\rangle$ of order p^k, satisfies

$$\begin{aligned} d_k &= \left|\{r|(r,p)=1 \text{ and } p^{k-1}r \le m < p^k r\}\right| \\ &= \left|\{r|(r,p)=1 \text{ and } \frac{m}{p^k} < r \le \frac{m}{p^{k-1}}\}\right|. \end{aligned}$$

Now

$$\left|\{r|\frac{m}{p^k} < r \le \frac{m}{p^{k-1}}\}\right| = \left\lfloor \frac{m}{p^{k-1}} \right\rfloor - \left\lfloor \frac{m}{p^k} \right\rfloor,$$

while

$$\begin{aligned} \left|\{ps|\frac{m}{p^k} < ps \le \frac{m}{p^{k-1}}\}\right| &= \left|\{s|\frac{m}{p^{k+1}} < s \le \frac{m}{p^k}\}\right| \\ &= \left\lfloor \frac{m}{p^k} \right\rfloor - \left\lfloor \frac{m}{p^{k+1}} \right\rfloor. \end{aligned}$$

Hence

$$d_k = \left\lfloor \frac{m}{p^{k-1}} \right\rfloor - 2\left\lfloor \frac{m}{p^k} \right\rfloor + \left\lfloor \frac{m}{p^{k+1}} \right\rfloor.$$ □

2. Hopf Galois structures

As noted in the introduction, to find Hopf Galois structures on a Galois extension L/K of fields with Galois group Γ, we need to find regular embeddings

$$\beta : \Gamma \to Hol(G) \cong G \rtimes Aut(G)$$

for G a group of the same cardinality as Γ. For σ in Γ, write $\beta(\sigma) = (\beta_1(\sigma), \beta_2(\sigma))$ in $G \rtimes Aut(G)$. Then β is a regular embedding if $\beta(\Gamma)$ is a regular subgroup of $Hol(G)$, that is, $|G| = |\Gamma|$ and $\{\beta_1(\sigma)|\sigma \in \Gamma\} = G$.

When $G = Z_p^m$, we have a 1-1 homomorphism from $Hol(G)$ to $GL_{m+1}(\mathbb{F}_p)$ by identifying G with $\mathbb{F}_p^m$ and $Aut(G)$ with $GL_m(\mathbb{F}_p)$, and mapping (v, A) in $Hol(G)$ (with v in $G \cong \mathbb{F}_p^m$, A in $GL_m(\mathbb{F}_p)$) to the $m+1 \times m+1$ matrix $\left(\begin{smallmatrix} A & v \\ 0 & 1 \end{smallmatrix}\right)$ in $GL_{m+1}(\mathbb{F}_p)$. Then a subgroup H of $Hol(G)$ is regular if $|H| = |G|$ and $\{v|(v,A) \in H\} = G$.

Proposition 4. *There is a regular subgroup of* $Hol(G) \subset GL_{m+1}(\mathbb{F}_p)$ *isomorphic to* Γ.

Proof. Let X be the $m+1 \times m+1$ Jordan block matrix

$$\begin{pmatrix} 0 & 1 & \cdots & 0 & 0 \\ 0 & 0 & \cdots & 0 & 0 \\ & & \ddots & \ddots & \\ 0 & 0 & \cdots & 0 & 1 \\ 0 & 0 & \cdots & 0 & 0 \end{pmatrix}.$$

Then the map

$$\beta : \mathbb{F}_p[x]/(x^{m+1}) \to M_{m+1}(\mathbb{F}_p)$$

by $\beta(\sum_{i=0}^m a_i x^i) = \sum_{i=0}^m a_i X^i$ is a 1-1 ring homomorphism that restricts to a 1-1 group homomorphism

$$\beta : \Gamma = 1 + M \to GL_{m+1}(\mathbb{F}_p)$$

by $\beta(1 + \sum_{i=1}^m a_i x^i) = I + \sum_{i=1}^m a_i X^i$. Then $\beta(\Gamma)$ is a regular subgroup of $Hol(G)$ since $I + \sum_{i=1}^m a_i X^i = \left(\begin{smallmatrix} A & v \\ 0 & 1 \end{smallmatrix}\right)$, where

$$v = \begin{pmatrix} a_m \\ a_{m-1} \\ \vdots \\ a_2 \\ a_1 \end{pmatrix} \text{ and } A = \begin{pmatrix} 1 & a_1 & a_2 & \cdots & a_{m-1} \\ 0 & 1 & a_1 & \cdots & a_{m-2} \\ & & \ddots & \ddots & \\ 0 & 0 & \cdots & 1 & a_1 \\ 0 & 0 & \cdots & 0 & 1 \end{pmatrix}.$$

Evidently, the image of β includes all v in $\mathbb{F}_p^m = G$, so $\beta(\Gamma)$ is a regular subgroup of $Hol(G)$. □

As observed in [Ch05, Section 5], given the regular subgroup $\beta(\Gamma) = J$ of $Hol(G)$, we obtain $|Aut(\Gamma)|$ regular embeddings, namely, embeddings of the form $\beta\alpha$, where α is an arbitrary element of $Aut(\Gamma)$. Two embeddings $\beta\alpha$ and $\beta\alpha'$ are equivalent if there exists an element γ of $Aut(G) = GL_m(\mathbb{F}_p)$ in the stabilizer of J so that conjugation by γ takes $\beta\alpha$ to $\beta\alpha'$. More precisely, let

$$Sta(J) = \{\gamma \in GL_m(\mathbb{F}_p) | \begin{pmatrix} \gamma & 0 \\ 0 & 1 \end{pmatrix} J \begin{pmatrix} \gamma^{-1} & 0 \\ 0 & 1 \end{pmatrix} = J\}.$$

If we denote by $C(\gamma)$ the inner automorphism of $Hol(G)$ given by conjugation by γ in $Aut(G)$, then $\beta\alpha$ and $\beta\alpha'$ are equivalent if there exists an element γ in $Sta(J)$ so that

$$C(\gamma)\beta\alpha = \beta\alpha'.$$

Now

$$S = \{\beta^{-1}C(\gamma)\beta | C(\gamma) \in Sta(J)\}$$

is a subgroup of $Aut(\Gamma)$, and the equivalence classes of regular embeddings of Γ to J are in 1-1 correspondence with the right cosets of S in $Aut(\Gamma)$. So the number of equivalence classes of regular embeddings of Γ to J is

$$|Aut(\Gamma)| \,/\, |Sta(J)|\,.$$

In [Ch05, 8.1] it was proved that

$$|Sta(J)| = p^m - p^{m-1}.$$

So we need to compute $|Aut(\Gamma)|$, where

$$\Gamma = Z_p^{d_1} \times Z_{p^2}^{d_2} \times \ldots \times Z_{p^e}^{d_e}.$$

If we write elements of Γ as column vectors

$$\begin{pmatrix} a_{1,1} & \dots & a_{1,d_1} & a_{2,1} & \dots & a_{2,d_2} & \dots & a_{e,1} & \dots & a_{e,d_e} \end{pmatrix}^{tr}$$

with $a_{j,k}$ in Z_{p^j}, then, abbreviating $Hom(M,N)$ by (M,N), we have

$$End(\Gamma) = \begin{pmatrix} (Z_p^{d_1}, Z_p^{d_1}) & (Z_{p^2}^{d_2}, Z_p^{d_1}) & \cdots & (Z_{p^e}^{d_e}, Z_p^{d_1}) \\ (Z_p^{d_1}, Z_{p^2}^{d_2}) & (Z_{p^2}^{d_2}, Z_{p^2}^{d_2}) & \cdots & (Z_{p^e}^{d_e}, Z_{p^2}^{d_2}) \\ & & \vdots & \\ (Z_p^{d_1}, Z_{p^e}^{d_e}) & (Z_{p^2}^{d_2}, Z_{p^e}^{d_e}) & \cdots & (Z_{p^e}^{d_e}, Z_{p^e}^{d_e}) \end{pmatrix}.$$

Now $(Z_{p^r}, Z_{p^s}) \cong Z_{p^s}$ if $r \geq s$, and $\cong p^{s-r} Z_{p^s}$ if $r < s$, both isomorphisms given by sending f to $f(1)$. Hence if $(Z_{p^k})_{r,s}$ denotes $r \times s$ matrices with entries in Z_{p^k}, we have

$$End(\Gamma) = \begin{pmatrix} (Z_p)_{d_1,d_1} & (Z_p)_{d_1,d_2} & \cdots & (Z_p)_{d_1,d_e} \\ p(Z_{p^2})_{d_2,d_1} & (Z_{p^2})_{d_2,d_2} & \cdots & (Z_{p^2})_{d_2,d_e} \\ & & \vdots & \\ p^{e-1}(Z_{p^e})_{d_e,d_1} & p^{e-2}(Z_{p^e})_{d_e,d_2} & \cdots & (Z_{p^e})_{d_e,d_e} \end{pmatrix}.$$

Now an element A of $End(\Gamma)$ is an automorphism iff its image in $End(\overline{\Gamma}) = Z_p^{d_1} \times Z_p^{d_2} \times \ldots \times Z_p^{d_e}$ is an automorphism. But the image of $End(\Gamma)$ in $End(\overline{\Gamma})$ is the ring of block upper triangular matrices, and the invertible elements of the image of $End(\Gamma)$ consists of block upper triangular matrices where the blocks along the diagonal are invertible matrices. Thus

$$Aut(\Gamma) = \begin{pmatrix} GL_{d_1}(Z_p) & (Z_p)_{d_1,d_2} & \cdots & (Z_p)_{d_1,d_e} \\ p(Z_{p^2})_{d_2,d_1} & GL_{d_2}(Z_{p^2}) & \cdots & (Z_{p^2})_{d_2,d_e} \\ & & \vdots & \\ p^{e-1}(Z_{p^e})_{d_e,d_1} & p^{e-2}(Z_{p^e})_{d_e,d_2} & \cdots & GL_{d_e}(Z_{p^e}) \end{pmatrix}.$$

Now for $l \geq k$,

$$\left|(Z_{p^k})_{d_k,d_l}\right| = (p^k)^{d_l d_k}$$

and for $l \leq k$,

$$\left|(p^{k-l} Z_{p^k})_{d_k,d_l}\right| = (p^l)^{d_l d_k}.$$

Hence for $l < k$, the cardinality of the (l,k) block, $(Z_{p^l})_{d_l,d_k}$, is the same as the cardinality of the (k,l) block, $(p^{k-l} Z_{p^k})_{d_k,d_l}$, and the cardinality of the upper off-diagonal blocks of $Aut(\Gamma)$ is p^h, where

$$\begin{aligned} h &= d_1(d_2 + d_3 + \cdots + d_e) \\ &\quad + 2d_2(d_3 + d_4 + \cdots + d_e) + \cdots + (e-1)d_{e-1}d_e. \end{aligned}$$

Thus if we let $g_k = \left|GL_{d_k}(Z_{p^k})\right|$, then

$$|Aut(\Gamma)| = g_1 g_2 \cdot \ldots \cdot g_e \cdot p^{2h}.$$

To determine g_k, we have the short exact sequence of groups:

$$1 \to I + p(Z_{p^k})_{d_k,d_k} \to GL_{d_k}(Z_{p^k}) \to GL_{d_k}(Z_p) \to 1,$$

and so

$$\begin{aligned} g_k &= \left|GL_{d_k}(Z_{p^k})\right| \\ &= \left|I + p(Z_{p^k})\right| \cdot |GL_{d_k}(Z_p)| \\ &= p^{(k-1)d_k^2} \cdot (p^{d_k} - 1)(p^{d_k} - p)(p^{d_k} - p^2) \cdots (p^{d_k} - p^{d_k - 1}). \end{aligned}$$

Thus we have

Proposition 5. *$|Aut(\Gamma)| = p^c q$, where*

$$c = 2h + \sum_{k=1}^{e} (k-1)d_k^2 + \frac{d_k(d_k-1)}{2}$$

and

$$q = \prod_{k=1}^{e} \prod_{m=1}^{d_k} (p^m - 1).$$

Here is a lower bound on $|Aut(\Gamma)|$:

Proposition 6. *For $p \geq 5$ or $m \geq 25$, $|Aut(\Gamma)| > p^s$ where $s \geq \frac{(m-1)^2}{3}$.*

Proof. Since

$$p^{d_k} - p^r \geq p^{d_k - 1}$$

for all $r < d_k$, we have

$$g_k \geq p^{(k-1)d_k^2 + d_k(d_k-1)}.$$

So

$$\mid Aut(G) \mid > p^s$$

with

$$s = 2h + \sum_{k=1}^{e} (k-1)d_k^2 + \sum_{k=1}^{e} d_k(d_k - 1).$$

Now

$$\frac{m}{p^k} - 1 < \left\lfloor \frac{m}{p^k} \right\rfloor \leq \frac{m}{p^k} \text{ for } k \geq 1.$$

Hence for $k > 1$,

$$\begin{aligned} d_k &= \left\lfloor \frac{m}{p^{k-1}} \right\rfloor - 2\left\lfloor \frac{m}{p^k} \right\rfloor + \left\lfloor \frac{m}{p^{k+1}} \right\rfloor \\ &\geq \frac{m}{p^{k-1}} - 1 - 2\frac{m}{p^k} + \frac{m}{p^{k+1}} - 1 \\ &= \frac{(p-1)^2}{p^{k+1}} m - 2 \end{aligned}$$

and

$$d_1 \geq m - 2\frac{m}{p} + \frac{m}{p^2} - 1 = \frac{(p-1)^2}{p^2} m - 1.$$

Also, for $k \geq 2$,

$$\begin{aligned} s_k &= d_k + d_{k+1} + \cdots + d_e \\ &= \left\lfloor \frac{m}{p^{k-1}} \right\rfloor - \left\lfloor \frac{m}{p^k} \right\rfloor \\ &\geq \frac{m}{p^{k-1}} - 1 - \frac{m}{p^k} = \frac{(p-1)m}{p^k} - 1. \end{aligned}$$

Thus, just focusing on the terms in s involving d_1 and d_2, we have

$$2h \geq 2d_1 s_2 + 4d_2 s_3 \geq A,$$

where

$$A := 2(\frac{(p-1)^2}{p^2}m - 1)(\frac{(p-1)}{p^2}m - 1) + 4(\frac{(p-1)^2}{p^3}m - 2)(\frac{(p-1)}{p^3}m - 1).$$

Also,

$$\sum_{k=1}^{e}(k-1)d_k^2 \geq d_2^2 \geq B := (\frac{(p-1)^2}{p^3}m - 2)^2,$$

and

$$\sum_{k=1}^{e} d_k(d_k - 1) \geq (d_1 - 1)d_1 + (d_2 - 1)d_2$$
$$\geq C := (\frac{(p-1)^2}{p^2}m - 2)(\frac{(p-1)^2}{p^2}m - 1) + (\frac{(p-1)^2}{p^3}m - 3)(\frac{(p-1)^2}{p^3}m - 2).$$

Hence

$$s \geq A + B + C = a(m-b)^2 + c,$$

where (with the aid of Maple 9.0.1),

$$a = \frac{p^6 - 2p^5 + 2p^4 - 2p^3 - p^2 + 4p - 2}{p^6},$$
$$b = \frac{5p^3(p^2 + 2p - 1)}{2(p^5 - p^4 + p^3 - p^2 - 2p + 2)},$$
$$c = 22 - \frac{25(-2p^5 + 2p^4 - 2p^3 - p^2 + p^6 + 4p - 2)(p^4 + 4p^3 + 2p^2 - 4p + 1)}{4(p^5 - p^4 + p^3 - p^2 - 2p + 2)^2}.$$

For a simple lower bound for s, one can show (with Maple) that the minimum value of $(a(m-b)^2 + c) - (\frac{(m-1)^2}{3})$ is

$$c_0 = \frac{117p^6 - 650p^5 + 835p^4 - 200p^3 - 1085p^2 + 1490p - 595}{4(2p^6 - 6p^5 + 6p^4 - 6p^3 - 3p^2 + 12p - 6)},$$

which is > 0 for $p \geq 5$, while if $p = 3$,

$$(a(m-b)^2 + c) - \frac{(m-1)^2}{3} = \frac{109}{729}(m - \frac{1647}{109})^2 - \frac{4078}{327},$$

which is ≥ 0 for $m \geq 25$. □

Since $|Sta(J)| = p^m - p^{m-1} < p^m$, we obtain the lower bound stated in the Introduction:

Theorem 7. *For Γ the group of principal units of $\mathbb{F}_p[x]/(x^{m+1})$, the number of H-Hopf Galois structures on L/K with Galois group Γ, where H has associated group $G = Z_p^m$, is $\geq p^s$ where $s \geq \frac{(m-1)^2}{3} - m$ if $p \geq 5$ or $m \geq 25$.*

For specific examples we may of course compute explicitly: if $p = 3, m = 10$, we have $|Sta(J)| = 2 \cdot 3^9$ and $d_1 = 5, d_2 = 1, d_3 = 1$; hence

$$|Aut(\Gamma)| = 3^{24} \cdot (3^5 - 1)(3^5 - 3)(3^5 - 3^2)(3^5 - 3^3)(3^5 - 3^4) \cdot 6 \cdot 18$$

and the number of equivalence classes of Hopf Galois structures corresponding to the regular subgroup J is

$$3^{28} \cdot 2^{11} \cdot 5 \cdot 11^2 \cdot 13 = 368,488,392,004,133,406,720.$$

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