

Categorifying zeta and L -functions

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Moduli, Motives & Bundles

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Joint work with Jon Aycock

Introduction

Motivation: How are different zeta and L -functions related? Do they fit into a common framework?

motivic L -functions

$$Z_{mot}(X, t)$$

arithmetic L -functions

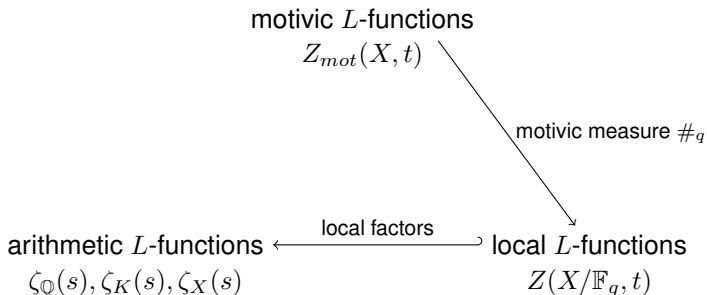
$$\zeta_{\mathbb{Q}}(s), \zeta_K(s), \zeta_X(s)$$

local L -functions

$$Z(X/\mathbb{F}_q, t)$$

Introduction

Motivation: How are different zeta and L -functions related? Do they fit into a common framework?



Arithmetic Functions

A good starting place is always with the Riemann zeta function:

$$\zeta_{\mathbb{Q}}(s) = \sum_{n=1}^{\infty} \frac{1}{n^s}.$$

Arithmetic Functions

This is an example of a Dirichlet series:

$$F(s) = \sum_{n=1}^{\infty} \frac{f(n)}{n^s}.$$

We will focus on the formal properties of Dirichlet series.

The coefficients $f(n)$ assemble into an **arithmetic function** $f : \mathbb{N} \rightarrow \mathbb{C}$. (Think: F is a generating function for f .)

Then $\zeta_{\mathbb{Q}}(s)$ is the Dirichlet series for $\zeta : n \mapsto 1$.

Arithmetic Functions

The space of arithmetic functions $A = \{f : \mathbb{N} \rightarrow \mathbb{C}\}$ form an algebra under convolution:

$$(f * g)(n) = \sum_{d|n} f(d)g\left(\frac{n}{d}\right).$$

This identifies the algebra of formal Dirichlet series with A :

$$A \longleftrightarrow DS(\mathbb{Q})$$

$$f \longmapsto F(s) = \sum_{n=1}^{\infty} \frac{f(n)}{n^s}$$

$$f * g \longmapsto F(s)G(s)$$

$$\zeta \longmapsto \zeta_{\mathbb{Q}}(s)$$

Arithmetic Functions over Number Fields

For a number field K/\mathbb{Q} , its zeta function can be written

$$\zeta_K(s) = \sum_{\mathfrak{a} \in I_K^+} \frac{1}{N(\mathfrak{a})^s} = \sum_{n=1}^{\infty} \frac{\#\{\mathfrak{a} \mid N(\mathfrak{a}) = n\}}{n^s}$$

where $I_K^+ = \{\text{ideals in } \mathcal{O}_K\}$ and $N = N_{K/\mathbb{Q}}$.

Arithmetic Functions over Number Fields

As with $\zeta_{\mathbb{Q}}(s)$, we can formalize certain properties of $\zeta_K(s)$ in the algebra of arithmetic functions $A_K = \{f : I_K^+ \rightarrow \mathbb{C}\}$ with

$$(f * g)(\mathfrak{a}) = \sum_{\mathfrak{b}|\mathfrak{a}} f(\mathfrak{b})g(\mathfrak{a}\mathfrak{b}^{-1}).$$

This admits an algebra map to $DS(\mathbb{Q})$:

$$N_* : A_K \longrightarrow A \cong DS(\mathbb{Q})$$

$$f \longmapsto \left(N_* f : n \mapsto \sum_{N(\mathfrak{a})=n} f(\mathfrak{a}) \right)$$

$$\zeta \longmapsto N_* \zeta \leftrightarrow \zeta_K(s)$$

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Interpretation: N allows us to build Dirichlet series for arithmetic functions over K .

Varieties over Finite Fields

Let X be an algebraic variety over \mathbb{F}_q . Its point-counting zeta function is the power series

$$Z(X, t) = \exp \left[\sum_{n=1}^{\infty} \frac{\#X(\mathbb{F}_{q^n})}{n} t^n \right]$$

Historically, this is called a zeta function because it has:

- a product formula $Z(X, t) = \prod_{x \in |X|} \frac{1}{1 - t^{\deg(x)}}$
- a functional equation
- an expression as a *rational function*
- a Riemann hypothesis which is a theorem!

Varieties over Finite Fields

Once again, we can formalize certain properties of $Z(X, t)$ in an algebra of arithmetic functions.

Let $Z_0^{\text{eff}}(X)$ be the set of effective 0-cycles on X , i.e. formal \mathbb{N}_0 -linear combinations of closed points of X , written $\alpha = \sum m_x x$.

We say $\beta \leq \alpha$ if $\beta = \sum n_x x$ with $n_x \leq m_x$ for all $x \in |X|$.

Let $A_X = \{f : Z_0^{\text{eff}}(X) \rightarrow \mathbb{C}\}$ be the algebra of arithmetic functions with

$$(f * g)(\alpha) = \sum_{\beta \leq \alpha} f(\beta)g(\alpha - \beta).$$

We call the distinguished element $\zeta : \alpha \mapsto 1$ the *zeta function* of X .

Varieties over Finite Fields

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Varieties over Finite Fields

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$$(f * g)(\alpha) = \sum_{\beta \leq \alpha} f(\beta)g(\alpha - \beta).$$

This time, there's no map to $DS(\mathbb{Q})$... but there's a map to the algebra of formal power series:

$$\begin{aligned} A_X &\longrightarrow A_{\text{Spec } \mathbb{F}_q} \cong \mathbb{C}[[t]] \\ f &\leftrightarrow \sum_{n=0}^{\infty} f(n)t^n \\ f &\longmapsto \text{“deg}_*(f)\text{”} \\ \zeta &\longmapsto \text{“deg}_*(\zeta)\text{”} \leftrightarrow Z(X, t) \end{aligned}$$

What's really going on?

What's really going on?

A , A_K and A_X are examples of **reduced incidence algebras**, which come from a much more general simplicial framework.

Incidence Algebra of a Poset

Classically, a locally finite poset (\mathcal{P}, \leq) admits an **incidence algebra**, the k -algebra

$$I(\mathcal{P}) = \{k\text{-linear maps } f : \text{Int}(\mathcal{P}) \rightarrow k\}$$

with multiplication given by convolution

$$(f * g)([x, y]) = \sum_{z \in [x, y]} f([x, z])g([z, y]).$$

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Think: elements in $I(\mathcal{P})$ are like arithmetic functions on the intervals in \mathcal{P} .

Reduced Incidence Algebra of a Poset

Definition

The **reduced incidence algebra** of \mathcal{P} is the subalgebra $\tilde{I}(\mathcal{P}) \subseteq I(\mathcal{P})$ of functions that are constant on isomorphism classes of intervals.

Think: elements in $\tilde{I}(\mathcal{P})$ are like arithmetic functions on the isomorphism classes of intervals in \mathcal{P} .

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Example

For the division poset $(\mathbb{N}, |)$, every interval is isomorphic to $[1, n]$ for some n . For $f \in \tilde{I}(\mathbb{N}, |)$, write $f(n) := f([1, n])$. Then

$$\tilde{I}(\mathbb{N}, |) \cong DS(\mathbb{Q})$$

$$f \mapsto \sum_{n=1}^{\infty} \frac{f(n)}{n^s}$$

Fact: the zeta function $\zeta : [x, y] \mapsto 1$ always lives in $\tilde{I}(\mathcal{P})$.

Numerical Incidence Algebras

Idea (due to Gálvez-Carrillo, Kock and Tonks): zeta functions don't just come from posets, but from higher homotopy structure.

In this talk: zeta functions come from decomposition sets.

In general: zeta functions come from decomposition spaces.

Numerical Incidence Algebras

Recall: a **simplicial set** is a functor $S : \Delta^{op} \rightarrow \text{Set}$

$$S_0 \begin{array}{c} \longleftarrow \\ \longrightarrow \\ \longleftarrow \\ \longrightarrow \end{array} S_1 \begin{array}{c} \longleftarrow \\ \longrightarrow \\ \longleftarrow \\ \longrightarrow \\ \longleftarrow \\ \longrightarrow \\ \longleftarrow \\ \longrightarrow \end{array} S_2 \cdots .$$

Example

A poset \mathcal{P} determines a simplicial set $N\mathcal{P}$ with:

- 0-simplices = elements $x \in \mathcal{P}$
- 1-simplices = intervals $[x, y]$
- 2-simplices = decompositions $[x, y] = [x, z] \cup [z, y]$
- etc.

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Example

More generally, any category \mathcal{C} determines a simplicial set NC with:

- 0-simplices = objects x in \mathcal{C}
- 1-simplices = morphisms $x \xrightarrow{f} y$ in \mathcal{C}
- 2-simplices = decompositions $x \xrightarrow{h} y = x \xrightarrow{f} z \xrightarrow{g} y$
- etc.

Numerical Incidence Algebras

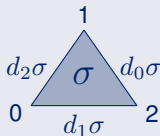
A certain type of simplicial set called a **decomposition set** defined by Gálvez-Carrillo, Kock and Tonks admits a notion of incidence algebra.

Definition

The **numerical incidence coalgebra** of a decomposition set S is the free k -vector space $C(S) = \bigoplus_{x \in S_1} kx$ with comultiplication

$$C(S) \longrightarrow C(S) \otimes C(S)$$

$$x \longmapsto \sum_{\substack{\sigma \in S_2 \\ d_1 \sigma = x}} d_2 \sigma \otimes d_0 \sigma.$$



Numerical Incidence Algebras

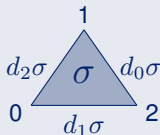
A certain type of simplicial set called a **decomposition set** defined by Gálvez-Carrillo, Kock and Tonks admits a notion of incidence algebra.

Definition

The **numerical incidence algebra** of a decomposition set S is the dual vector space $I(S) = \text{Hom}(C(S), k)$ with multiplication

$$I(S) \otimes I(S) \longrightarrow I(S)$$

$$f \otimes g \longmapsto (f * g)(x) = \sum_{\substack{\sigma \in S_2 \\ d_1 \sigma = x}} f(d_2 \sigma) g(d_0 \sigma).$$



Numerical Incidence Algebras

In $I(S) = \text{Hom}(C(S), k)$, there is a distinguished element called the **zeta function** $\zeta : x \mapsto 1$.

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Key takeaways:

- (1) A zeta function is $\zeta \in I(S)$ for some decomposition set S .
- (2) Familiar zeta functions like $\zeta_K(s)$ and $Z(X, t)$ are constructed from some $\zeta \in \tilde{I}(S)$ by pushing forward to another reduced incidence algebra which can be interpreted in terms of generating functions:

$$\text{e.g. } \tilde{I}(\mathbb{N}, |) \cong DS(\mathbb{Q}), \quad \text{e.g. } \tilde{I}(\mathbb{N}_0, \leq) \cong k[[t]].$$

- (3) Some properties of zeta functions can be proven in the incidence algebra directly:

$$\text{e.g. } \zeta_{\mathbb{Q}}(s) = \prod_p \frac{1}{1 - p^{-s}} \longleftrightarrow \tilde{I}(\mathbb{N}, |) \cong \bigotimes_p \tilde{I}(\{p^k\}, |).$$

Numerical Incidence Algebras

Okay, so far: $\zeta_{\mathbb{Q}}(s)$, $\zeta_K(s)$, $Z(X, t)$, etc. lift to the same framework.

Next: how can we get them talking to each other?

Objective Linear Algebra

The construction of $I(S)$ can be generalized further using the formalism of **objective linear algebra** (“linear algebra with sets”):

Numerical	Objective
basis B	set B
vector v	set map $v : X \rightarrow B$
matrix M	$\begin{array}{ccc} & M & \\ s \swarrow & & \searrow t \\ B & & C \end{array}$
vector space V	slice category $\text{Set}_{/B}$
linear map with matrix M	linear functor $t_!s^* : \text{Set}_{/B} \rightarrow \text{Set}_{/C}$
tensor product $V \otimes W$	$\text{Set}_{/B} \otimes \text{Set}_{/C} \cong \text{Set}_{/B \times C}$

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To recover vector spaces, take $V = k^B$ and take cardinalities.

Abstract Incidence Algebras

How do we construct $I(S)$ as an “objective vector space”?

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basis B vector space V basis S_1 $C(S)$ = free vector space on S_1	set B slice category Set/B set S_1 slice category $C(S) := \text{Set}/S_1$

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So an element $f \in I(S)$ is a linear functor $f = t_! s^* : \text{Set}/S_1 \rightarrow \text{Set}$ represented by a span

$$f = \left(\begin{array}{ccc} & M & \\ s \swarrow & & \searrow t \\ S_1 & & * \end{array} \right)$$

Abstract Incidence Algebras

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Example

The **zeta functor** is the element $\zeta \in I(S)$ represented by

$$\zeta = \left(\begin{array}{ccc} & S_1 & \\ \text{id} \swarrow & & \searrow \\ S_1 & & * \end{array} \right)$$

Abstract Incidence Algebras

Example

For two elements $f, g \in I(S)$ represented by

$$f = \left(\begin{array}{ccc} & M & \\ s \swarrow & & \searrow \\ S_1 & & * \end{array} \right) \quad \text{and} \quad g = \left(\begin{array}{ccc} & N & \\ t \swarrow & & \searrow \\ S_1 & & * \end{array} \right)$$

the convolution $f * g \in I(S)$ is represented by

$$(f * g) = \left(\begin{array}{ccccc} & & P & & \\ & & \swarrow & \searrow & \\ & S_2 & & M \times N & \\ d_1 \swarrow & & (d_2, d_0) \searrow & & \searrow \\ S_1 & & S_1 \times S_1 & s \times t \swarrow & * \end{array} \right)$$

Abstract Incidence Algebras

Advantages of the objective approach:

- Intrinsic: zeta is built into the object S directly
- General: most* zeta functions can be produced this way
- Functorial: to compare zeta functions, find the right map $S \rightarrow T$
- Structural: proofs are categorical, avoiding choosing elements (e.g. computing local factors of zeta functions explicitly is difficult)
- It's pretty fun to prove things!

Quadratic Zeta Functions

For a quadratic number field K/\mathbb{Q} , the zeta function $\zeta_K(s)$ satisfies

$$\zeta_K(s) = \zeta_{\mathbb{Q}}(s)L(\chi, s)$$

where $L(\chi, s)$ is the L -function attached to the Dirichlet character $\chi = \left(\frac{D}{\cdot}\right)$, where $D = \text{disc. of } K$.

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Theorem (Aycok–K.)

This formula lifts to an equivalence of linear functors in $\tilde{I}(\mathbb{N}, |)$:

$$N_*\zeta_K + \zeta_{\mathbb{Q}} * \chi^- \cong \zeta_{\mathbb{Q}} * \chi^+$$

where $N : (I_K^+, |) \rightarrow (\mathbb{N}, |)$ is the norm and $\chi^+, \chi^- \in I(\mathbb{N}, |)$.

In the numerical incidence algebra, this becomes

$$N_*\zeta_K = \zeta_{\mathbb{Q}} * (\chi^+ - \chi^-) = \zeta_{\mathbb{Q}} * \chi.$$

Sketch of Proof

$$N_* \zeta_K + \zeta_Q * \chi^- \cong \zeta_Q * \chi^+$$

Let $S = (\mathbb{N}, |)$ and $T = (I_K^+, |)$, so that $N : T \rightarrow S$ induces

$$N_* : \tilde{I}(T) \longrightarrow \tilde{I}(S), \quad f \longmapsto \left(N_* f : n \mapsto \sum_{N(\mathbf{a})=n} f(\mathbf{a}) \right).$$

Sketch of Proof

$$N_*\zeta_K + \zeta_Q * \chi^- \cong \zeta_Q * \chi^+$$

Each term in the formula is represented by a span:

$$N_*\zeta_K = \left(\begin{array}{ccc} & & T_1 \\ & N \swarrow & \searrow \\ S_1 & & * \end{array} \right)$$

Sketch of Proof

$$N_*\zeta_K + \zeta_{\mathbb{Q}} * \chi^- \cong \zeta_{\mathbb{Q}} * \chi^+$$

Each term in the formula is represented by a span:

$$\zeta_{\mathbb{Q}} * \chi^- = \left(\begin{array}{c} & & P^- & & \\ & \swarrow \alpha^- & & \searrow & \\ & S_2 & & S_1 \times S_1^- & \\ \swarrow d_1 & & (d_2, d_0) & & \searrow \\ S_1 & & S_1 \times S_1 & \xleftarrow{id \times j^-} & S_1^- & \searrow \\ & & & & & * \end{array} \right)$$

for a certain “vector” $j^- : S_1^- \rightarrow S_1$ representing χ^- .

Sketch of Proof

$$N_*\zeta_K + \zeta_{\mathbb{Q}} * \chi^- \cong \zeta_{\mathbb{Q}} * \chi^+$$

Each term in the formula is represented by a span:

$$\zeta_{\mathbb{Q}} * \chi^+ = \left(\begin{array}{c} & & P^+ & & \\ & & \swarrow \alpha^+ & \searrow & \\ & S_2 & & S_1 \times S_1^+ & \\ & \swarrow d_1 & \searrow (d_2, d_0) & \swarrow id \times j^+ & \searrow \\ S_1 & & S_1 \times S_1 & & * \end{array} \right)$$

for a certain “vector” $j^+ : S_1^+ \rightarrow S_1$ representing χ^+ .

Sketch of Proof

$$N_* \zeta_K + \zeta_Q * \chi^- \cong \zeta_Q * \chi^+$$

So the formula is an equivalence of the following spans:

$$\left(\begin{array}{ccc} & T_1 \amalg P^- & \\ N \sqcup d_1 \circ \alpha^- & \swarrow & \searrow \\ S_1 & & * \end{array} \right) \cong \left(\begin{array}{ccc} & P^+ & \\ d_1 \circ \alpha^+ & \swarrow & \searrow \\ S_1 & & * \end{array} \right)$$

These are shown to be equivalent prime-by-prime and then assembled into the global formula. □

Higher Order Zeta Functions

More generally, for any Galois extension K/\mathbb{Q} , $\zeta_K(s)$ factors into a product of L -functions

$$\zeta_K(s) = \zeta_{\mathbb{Q}}(s) \prod_{\chi \neq 1} L(\chi, s)$$

where χ are the nontrivial irreducible characters of $\text{Gal}(K/\mathbb{Q})$.

Problem: values of $\chi(n)$ land in μ_n in general, so they can't be categorified with sets.

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Solution (in progress with J. Aycock): upgrade to simplicial G -representations ($G = G_{\mathbb{Q}}$).

Higher Order Zeta Functions

Actually, let's go for broke: for a(n admissible) G_K -representation V , we define an “ L -functor”

$$L(V) = \left(\begin{array}{ccc} & \bigoplus_{n=0}^{\infty} V_n & \\ & \swarrow & \searrow \\ \bigoplus_{n=0}^{\infty} R_K & & R_K \end{array} \right)$$

(R_K = a certain representation ring incorporating Frobenius actions)

Theorem (Additivity)

For two (admissible) G -representations V, W , there is an equivalence

$$L(V \oplus W) \cong L(V) * L(W)$$

in the incidence algebra $I(\mathbb{Q})$ of L -functors of G -representations.

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Conjecture (Artin Induction)

For a(n admissible) G_K -representation V , there is an equivalence

$$L \left(\text{Ind}_{G_K}^G V \right) \approx N_* L(V)$$

where $N_* : I(K) \rightarrow I(\mathbb{Q})$ is the pushforward along the norm map and \approx is “trace equivalence”.

Elliptic Curves

For an elliptic curve E/\mathbb{F}_q , the zeta function $Z(E, t)$ can be written

$$Z(E, t) = \frac{1 - a_q t + q t^2}{(1 - t)(1 - q t)} = Z(\mathbb{P}^1, t) L(E, t).$$

Theorem (Aycock–K., '22+ ϵ)

In the reduced incidence algebra $\tilde{I}(Z_0^{\text{eff}}(E))$, there is an equivalence of linear functors

$$\pi_* \zeta_E + \zeta_{\mathbb{P}^1} * L(E)^- \cong \zeta_{\mathbb{P}^1} * L(E)^+$$

where $\pi : E \rightarrow \mathbb{P}^1$ is a fixed double cover and $L(E)^+, L(E)^- \in I(Z_0^{\text{eff}}(\mathbb{P}^1))$.

Pushing forward to $\tilde{I}(Z_0^{\text{eff}}(\text{Spec } \mathbb{F}_q)) \cong k[[t]]$, it already reads

$$\pi_{E,*} \zeta_E = \pi_{\mathbb{P}^1,*} \zeta_{\mathbb{P}^1} * L(E).$$

Motivic Zeta Functions

For any k -variety X , $Z_{mot}(X, t) = \sum_{n=0}^{\infty} [\text{Sym}^n X] t^n$ decategorifies to other zeta functions by applying motivic measures (point counting, Euler characteristic, etc.)

Das–Howe ('21) lift $Z_{mot}(X, t)$ to a numerical incidence algebra

$$\tilde{I}_{mot}(\Gamma^{\bullet,+}(X)) = \prod_{n=0}^{\infty} K_0(\text{Var}_{/\Gamma^n X})$$

where $\Gamma^n X$ are the divided powers of X .

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Idea (in progress): lift $Z_{mot}(X, t)$ to an objective incidence algebra $I(\Gamma^{\bullet,+}(X))$ in the category of simplicial k -varieties. Passing to K_0 recovers Das and Howe's construction.

More Dreams

Here are some other things I want to do:

- Study the zeta function of an algebraic stack $\mathcal{X} \rightarrow X$ in terms of $\zeta_{\mathcal{X}}$, e.g. over \mathbb{F}_q , Behrend defines $Z(\mathcal{X}, t)$ for such a stack.
- Lift motivic L -functions to the objective level and prove formulas, e.g. Artin induction.
- Realize archimedean factors of completed zeta functions as elements of abstract incidence algebras, e.g. the factor at ∞ $\zeta_{\infty}(s) = \pi^{-s/2} \Gamma\left(\frac{s}{2}\right)$ lives in a certain Hecke algebra.

Key insight: decomposition sets \rightsquigarrow decomposition spaces

Thank you!