

Variation of Néron–Severi ranks of reductions of K3 surfaces

Edgar Costa (MIT)

Jan 15th, 2020

Joint Mathematics Meetings

Slides available at edgarcosta.org under Research

Elliptic curves

$$E : y^2 = x^3 + ax + b, \quad a, b \in \mathbb{Z}$$

Write $E_p := E \bmod p$

- What can we say about $\#E_p$ for an arbitrary p ?
- Given $\#E_p$ for many p , what can we say about E ?

Elliptic curves

$$E : y^2 = x^3 + ax + b, \quad a, b \in \mathbb{Z}$$

Write $E_p := E \bmod p$

- What can we say about $\#E_p$ for an arbitrary p ?
- Given $\#E_p$ for many p , what can we say about E ?

\rightsquigarrow studying the **statistical** properties $\#E_p$.

Hasse's bound

Theorem (Hasse)

$$\#E_p = p + 1 - a_p, \quad a_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

Hasse's bound

Theorem (Hasse)

$$\#E_p = p + 1 - a_p, \quad a_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

Alternatively, we could also have written the formula above as

$$a_p := p + 1 - \#E_p = \text{Tr Frob}_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

Hasse's bound

Theorem (Hasse)

$$\#E_p = p + 1 - a_p, \quad a_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

Alternatively, we could also have written the formula above as

$$a_p := p + 1 - \#E_p = \text{Tr Frob}_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

Question

What can we say about the error term a_p/\sqrt{p} as $p \rightarrow \infty$?

Two types of elliptic curves

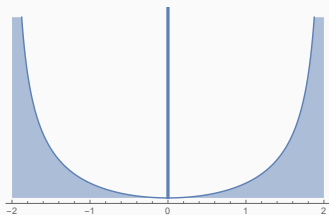
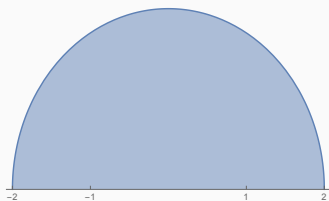
$$a_p := p + 1 - \#E_p = \text{Tr Frob}_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

There are two limiting distributions for a_p/\sqrt{p}

Two types of elliptic curves

$$a_p := p + 1 - \#E_p = \text{Tr Frob}_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

There are two limiting distributions for a_p/\sqrt{p}



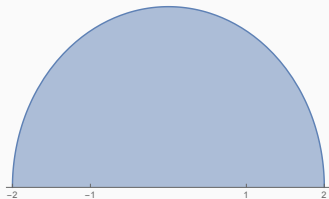
Two types of elliptic curves

$$a_p := p + 1 - \#E_p = \text{Tr Frob}_p \in [-2\sqrt{p}, 2\sqrt{p}]$$

There are two limiting distributions for a_p/\sqrt{p}

non-CM

$$\text{End}_{\mathbb{Q}} E^{\text{al}} = \mathbb{Q}$$

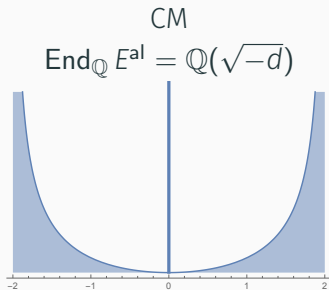
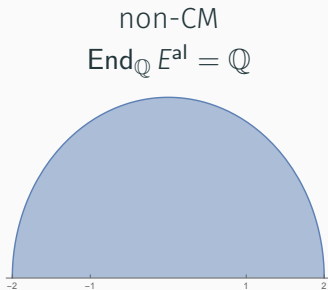


CM

$$\text{End}_{\mathbb{Q}} E^{\text{al}} = \mathbb{Q}(\sqrt{-d})$$

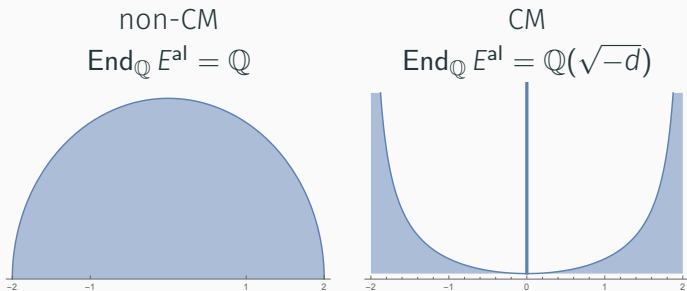


Distinguishing between the two types



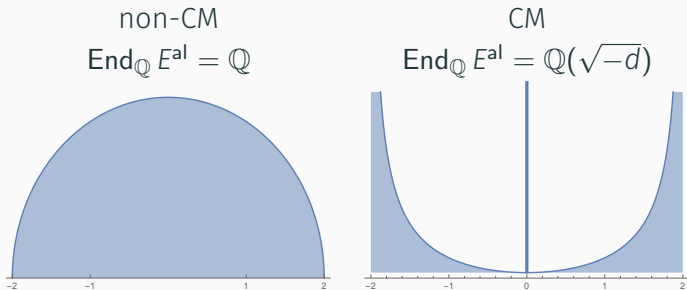
- $\text{End}_{\mathbb{Q}} E^{\text{al}} \hookrightarrow \text{End}_{\mathbb{Q}} E_p^{\text{al}} \hookrightarrow \mathbb{Q}(\text{Frob}_p)$
- $a_p \not\equiv 0 \pmod{p} \iff \text{End}_{\mathbb{Q}} E_p^{\text{al}}$ is a quadratic field

Distinguishing between the two types



- $\text{End}_{\mathbb{Q}} E^{\text{al}} \hookrightarrow \text{End}_{\mathbb{Q}} E_p^{\text{al}} \hookrightarrow \mathbb{Q}(\text{Frob}_p)$
- $a_p \not\equiv 0 \pmod{p} \iff \text{End}_{\mathbb{Q}} E_p^{\text{al}}$ is a quadratic field
- If E has CM, then
$$a_p \equiv 0 \pmod{p} \iff p \text{ inert or ramified in } \mathbb{Q}(\sqrt{-d})$$
$$\iff \text{End}_{\mathbb{Q}} E^{\text{al}} \neq \text{End}_{\mathbb{Q}} E_p^{\text{al}}$$

Distinguishing between the two types



- $\text{End}_{\mathbb{Q}} E^{\text{al}} \hookrightarrow \text{End}_{\mathbb{Q}} E_p^{\text{al}} \hookrightarrow \mathbb{Q}(\text{Frob}_p)$
- $a_p \not\equiv 0 \pmod{p} \iff \text{End}_{\mathbb{Q}} E_p^{\text{al}}$ is a quadratic field
- If E has CM, then
$$a_p \equiv 0 \pmod{p} \iff p \text{ inert or ramified in } \mathbb{Q}(\sqrt{-d})$$
$$\iff \text{End}_{\mathbb{Q}} E^{\text{al}} \neq \text{End}_{\mathbb{Q}} E_p^{\text{al}}$$
- If E is non-CM, then $\text{End}_{\mathbb{Q}} E_p^{\text{al}} \cap \text{End}_{\mathbb{Q}} E_q^{\text{al}} \simeq \mathbb{Q}$ with prob. 1 and we expect $\text{Prob}(a_p \equiv 0 \pmod{p}) \sim 1/\sqrt{p}$

K3 surfaces

K3 surfaces are a possible generalization of elliptic curves

They may arise in many ways:

- smooth quartic surfaces in \mathbb{P}^3

$$X : f(x, y, z, w) = 0, \quad \deg f = 4$$

- double cover of \mathbb{P}^2 branched over a sextic curve

$$X : w^2 = f(x, y, z), \quad \deg f = 6$$

K3 surfaces

K3 surfaces are a possible generalization of elliptic curves

They may arise in many ways:

- smooth quartic surfaces in \mathbb{P}^3

$$X : f(x, y, z, w) = 0, \quad \deg f = 4$$

- double cover of \mathbb{P}^2 branched over a sextic curve

$$X : w^2 = f(x, y, z), \quad \deg f = 6$$

Can we play similar game as before?

K3 surfaces

K3 surfaces are a possible generalization of elliptic curves

They may arise in many ways:

- smooth quartic surfaces in \mathbb{P}^3

$$X : f(x, y, z, w) = 0, \quad \deg f = 4$$

- double cover of \mathbb{P}^2 branched over a sextic curve

$$X : w^2 = f(x, y, z), \quad \deg f = 6$$

Can we play similar game as before?

In this case, instead of studying $\#X_p$ or Tr Frob_p we study

$$p \longmapsto \text{rk NS } X_p^{\text{al}} \in \{2, 4, \dots, 22\}$$

K3 Surfaces

X/\mathbb{Q} a K3 surface

$$p \longmapsto \text{rk NS } X_p^{\text{al}} \in \{2, 4, \dots, 22\}$$

This is analogous to studying:

$$p \longmapsto \text{rk End } E_p^{\text{al}} \in \{2, 4\}$$

Recall that:

- $\text{rk End } E_p^{\text{al}} = 4 \iff a_p \equiv 0 \pmod{p}$
- $\text{Prob}(a_p = 0) = \begin{cases} \sim \frac{1}{\sqrt{p}} & \text{if } E \text{ is non-CM (Lang-Trotter)} \\ 1/2 & \text{if } E \text{ has CM by } \mathbb{Q}(\sqrt{-d}) \end{cases}$

K3 Surfaces

X/\mathbb{Q} a K3 surface

$$p \longmapsto \text{rk NS } X_p^{\text{al}} \in \{2, 4, \dots, 22\}$$

This is analogous to studying:

$$p \longmapsto \text{rk End } E_p^{\text{al}} \in \{2, 4\}$$

Recall that:

- $\text{rk End } E_p^{\text{al}} = 4 \iff a_p \equiv 0 \pmod{p}$
- $\text{Prob}(a_p = 0) = \begin{cases} \sim \frac{1}{\sqrt{p}} & \text{if } E \text{ is non-CM (Lang-Trotter)} \\ 1/2 & \text{if } E \text{ has CM by } \mathbb{Q}(\sqrt{-d}) \end{cases}$

In the later case,

$$\{p : a_p \equiv 0 \pmod{p}\} = \{p : p \text{ is ramified or inert in } \mathbb{Q}(\sqrt{-d})\}$$

K3 Surfaces

X/\mathbb{Q} a K3 surface

$$\rho \longmapsto \text{rk NS } X_\rho^{\text{al}} \in \{2, 4, \dots, 22\}$$

For an abelian surface A we have:

$$\text{NS}(A)_{\mathbb{Q}} \simeq \{\phi \in \text{End}(A)_{\mathbb{Q}} : \phi^\dagger = \phi\},$$

where \dagger denotes the Rosati involution.

K3 Surfaces

X/\mathbb{Q} a K3 surface

$$p \mapsto \text{rk NS } X_p^{\text{al}} \in \{2, 4, \dots, 22\}$$

For an abelian surface A we have:

$$\text{NS}(A)_{\mathbb{Q}} \simeq \{\phi \in \text{End}(A)_{\mathbb{Q}} : \phi^{\dagger} = \phi\},$$

where \dagger denotes the Rosati involution. Thus for A/\mathbb{Q} this is equivalent to

$$p \mapsto \text{rk End}(A_p^{\text{al}})_{\mathbb{Q}}^{\dagger} = \text{rk NS } A_p^{\text{al}} \in \{2, 4, 6\}$$

Now

- $\text{rk NS } A_p^{\text{al}} \geq 4 \iff A_p^{\text{al}} \sim E^2$
- $\text{rk NS } A_p^{\text{al}} = 6 \iff A_p^{\text{al}} \sim E^2, E \text{ supersingular, i.e., } a_p = 0$

Néron–Severi group

- $\text{NS } \bullet =$ Néron–Severi group of $\bullet \simeq \{\text{curves on } \bullet\} / \sim$
- $\rho(\bullet) = \text{rk NS } \bullet$
- $X_p := X \bmod p$

$$\begin{array}{ccccccc} X & \longrightarrow & \text{NS } X^{\text{al}} & \longrightarrow & \rho(X^{\text{al}}) & \in \{1, 2, \dots, 20\} \\ \downarrow & & \downarrow & & \uparrow \text{???} & \\ X_p & \longrightarrow & \text{NS } X_p^{\text{al}} & \longrightarrow & \rho(X_p^{\text{al}}) & \in \{2, 4, \dots, 22\} \end{array}$$

Néron–Severi group

- $\text{NS } \bullet =$ Néron–Severi group of $\bullet \simeq \{\text{curves on } \bullet\} / \sim$
- $\rho(\bullet) = \text{rk NS } \bullet$
- $X_p := X \bmod p$

$$\begin{array}{ccccccc} X & \longrightarrow & \text{NS } X^{\text{al}} & \longrightarrow & \rho(X^{\text{al}}) & \in \{1, 2, \dots, 20\} \\ \downarrow & & \downarrow & & \uparrow \text{ ???} & \\ X_p & \longrightarrow & \text{NS } X_p^{\text{al}} & \longrightarrow & \rho(X_p^{\text{al}}) & \in \{2, 4, \dots, 22\} \end{array}$$

Theorem (Charles)

For infinitely many p we have $\rho(X_p^{\text{al}}) = \min_q \rho(X_q^{\text{al}})$.

The Problem

$$\begin{array}{ccccc} X & \longrightarrow & \text{NS } X^{\text{al}} & \longrightarrow & \rho(X^{\text{al}}) & \in \{1, 2, \dots, 20\} \\ \downarrow & & \downarrow & & \updownarrow \text{???} & \\ X_p & \longrightarrow & \text{NS } X_p^{\text{al}} & \longrightarrow & \rho(X_p^{\text{al}}) & \in \{2, 4, \dots, 22\} \end{array}$$

Theorem (Charles)

For infinitely many p we have $\rho(X_p^{\text{al}}) = \min_q \rho(X_q^{\text{al}})$.

What can we say about the following:

- $\Pi_{\text{jump}}(X) := \{p : \rho(X_p^{\text{al}}) > \min_q \rho(X_q^{\text{al}})\}$

The Problem

$$\begin{array}{ccccc} X & \longrightarrow & \text{NS } X^{\text{al}} & \longrightarrow & \rho(X^{\text{al}}) & \in \{1, 2, \dots, 20\} \\ \downarrow & & \downarrow & & \updownarrow \text{???} & \\ X_p & \longrightarrow & \text{NS } X_p^{\text{al}} & \longrightarrow & \rho(X_p^{\text{al}}) & \in \{2, 4, \dots, 22\} \end{array}$$

Theorem (Charles)

For infinitely many p we have $\rho(X_p^{\text{al}}) = \min_q \rho(X_q^{\text{al}})$.

What can we say about the following:

- $\Pi_{\text{jump}}(X) := \{p : \rho(X_p^{\text{al}}) > \min_q \rho(X_q^{\text{al}})\}$
- $\gamma(X, B) := \frac{\#\{p \leq B : p \in \Pi_{\text{jump}}(X)\}}{\#\{p \leq B\}}$ as $B \rightarrow \infty$

The Problem

$$\begin{array}{ccccc} X & \longrightarrow & \text{NS } X^{\text{al}} & \longrightarrow & \rho(X^{\text{al}}) & \in \{1, 2, \dots, 20\} \\ \downarrow & & \downarrow & & \updownarrow \text{???} & \\ X_p & \longrightarrow & \text{NS } X_p^{\text{al}} & \longrightarrow & \rho(X_p^{\text{al}}) & \in \{2, 4, \dots, 22\} \end{array}$$

Theorem (Charles)

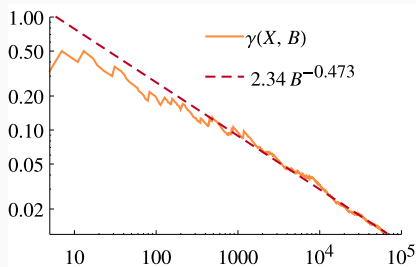
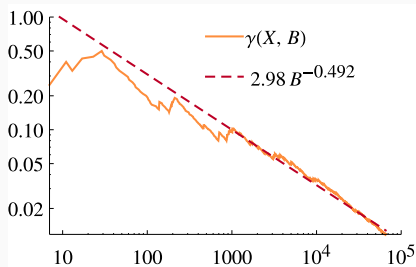
For infinitely many p we have $\rho(X_p^{\text{al}}) = \min_q \rho(X_q^{\text{al}})$.

What can we say about the following:

- $\Pi_{\text{jump}}(X) := \{p : \rho(X_p^{\text{al}}) > \min_q \rho(X_q^{\text{al}})\}$
- $\gamma(X, B) := \frac{\#\{p \leq B : p \in \Pi_{\text{jump}}(X)\}}{\#\{p \leq B\}}$ as $B \rightarrow \infty$

Let's do some numerical experiments!

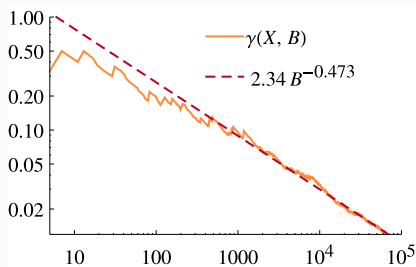
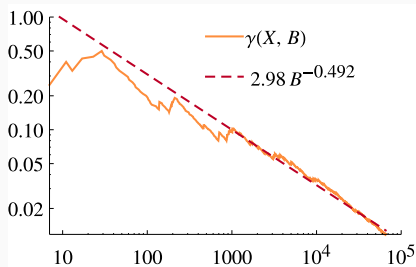
Two generic K3 surfaces, $\rho(X^{\text{al}}) = 1$



$$\gamma(X, B) \stackrel{?}{\sim} \frac{c_X}{\sqrt{B}}, \quad B \rightarrow \infty$$

$$\implies \text{Prob}(p \in \Pi_{\text{jump}}(X)) \stackrel{?}{\sim} 1/\sqrt{p}$$

Two generic K3 surfaces, $\rho(X^{\text{al}}) = 1$

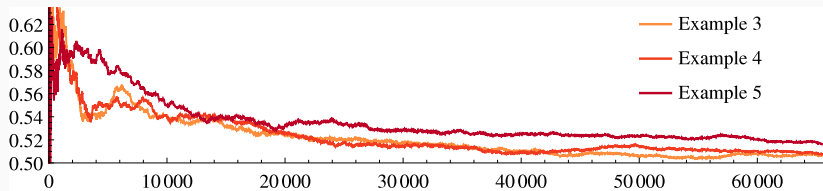


$$\gamma(X, B) \stackrel{?}{\sim} \frac{c_X}{\sqrt{B}}, \quad B \rightarrow \infty$$

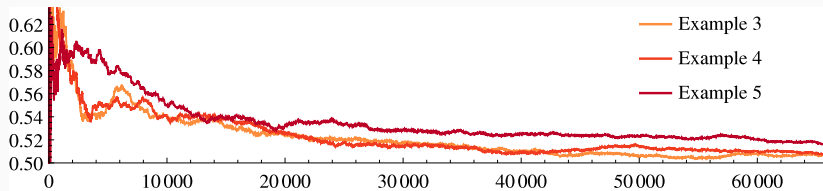
$$\implies \text{Prob}(p \in \Pi_{\text{jump}}(X)) \stackrel{?}{\sim} 1/\sqrt{p}$$

Why?

Three K3 surfaces with $\rho(X^{\text{al}}) = 2$

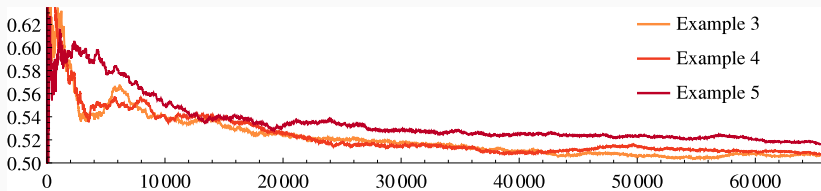


Three K3 surfaces with $\rho(X^{\text{al}}) = 2$



No obvious trend...

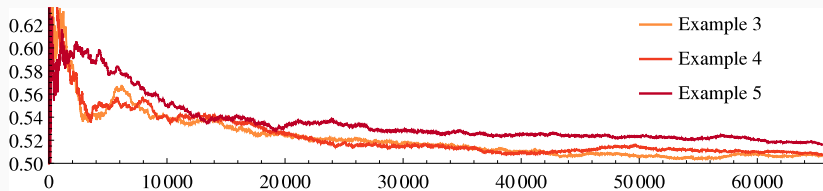
Three K3 surfaces with $\rho(X^{\text{al}}) = 2$



No obvious trend...

Could it be related to some integer being a square modulo p ?

We can explain the 1/2



Theorem (C, C-Elsenhans-Jahnel)

If $\rho(X^{\text{al}}) = \min_q \rho(X_p^{\text{al}})$, then there is a $d_X \in \mathbb{Z}$ such that:

$$\{p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X})\} \subset \Pi_{\text{jump}}(X).$$

In general, d_X is not a square.

We can explain the $1/2$

Theorem (C, C–Elsenhans–Jahnel)

If $\rho(X^{\text{al}}) = \min_q \rho(X_p^{\text{al}})$, then there is a $d_X \in \mathbb{Z}$ such that:

$$\left\{ p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X}) \right\} \subset \Pi_{\text{jump}}(X).$$

In general, d_X is not a square.

Corollary

If d_X is not a square:

- $\liminf_{B \rightarrow \infty} \gamma(X, B) \geq 1/2$
- X^{al} has infinitely many rational curves.

We can explain the $1/2$

Theorem (C, C–Elsenhans–Jahnel)

If $\rho(X^{\text{al}}) = \min_q \rho(X_p^{\text{al}})$, then there is a $d_X \in \mathbb{Z}$ such that:

$$\left\{ p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X}) \right\} \subset \Pi_{\text{jump}}(X).$$

In general, d_X is not a square.

Corollary

If d_X is not a square:

- $\liminf_{B \rightarrow \infty} \gamma(X, B) \geq 1/2$
- X^{al} has infinitely many rational curves.

$D_3 = -1 \cdot 5 \cdot 151 \cdot 22490817357414371041 \cdot 3873084974301493372336663588079962607808750567408509842132769703432789353$

$D_4 = 53 \cdot 2624174618795407 \cdot 512854561846964817139494202072778341 \cdot 1215218370089028769076718102126921744353362873 \cdot 68$

$D_5 = -1 \cdot 47 \cdot 3109 \cdot 4969 \cdot 14857095849982608071 \cdot 445410277660928347762586764331874432202584688016149 \cdot 65865270852$

Experimental data for $\rho(X^{\text{al}}) = 2$ (again)

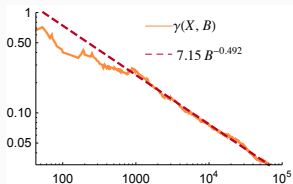
What if we ignore $\{p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X})\} \subset \Pi_{\text{jump}}(X)$?

Experimental data for $\rho(X^{\text{al}}) = 2$ (again)

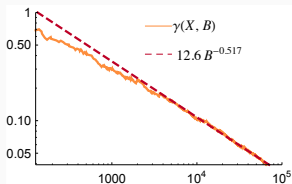
What if we ignore $\{p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X})\} \subset \Pi_{\text{jump}}(X)$?

$$\gamma\left(X_{\mathbb{Q}(\sqrt{d_X})}, B\right) \stackrel{?}{\sim} \frac{c_X}{\sqrt{B}}, \quad B \rightarrow \infty$$

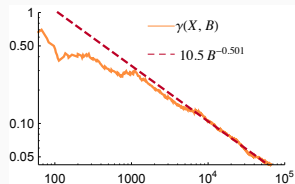
Example 3



Example 4



Example 5

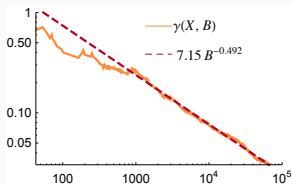


Experimental data for $\rho(X^{\text{al}}) = 2$ (again)

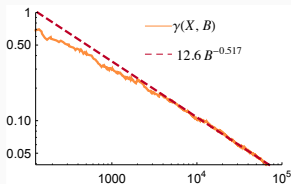
What if we ignore $\{p > 2 : p \text{ inert in } \mathbb{Q}(\sqrt{d_X})\} \subset \Pi_{\text{jump}}(X)$?

$$\gamma\left(X_{\mathbb{Q}(\sqrt{d_X})}, B\right) \stackrel{?}{\sim} \frac{c_X}{\sqrt{B}}, \quad B \rightarrow \infty$$

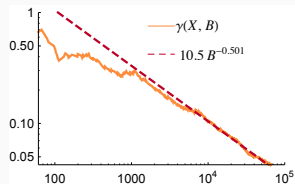
Example 3



Example 4



Example 5



$$\text{Prob}(p \in \Pi_{\text{jump}}(X)) = \begin{cases} 1 & \text{if } d_X \text{ is not a square modulo } p \\ \sim \frac{1}{\sqrt{p}} & \text{otherwise} \end{cases}$$

Why?