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**ADVANCED WORKSHOP ON ARITHMETIC ALGEBRAIC
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**Classical Algebraic Number Theory (1)
Ring of Integers, Norm, Trace and Discriminant**

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Some Definitions

An algebraic number field (or a number field) is a finite extension K of the field \mathbb{Q} of rational numbers.

Let α be a complex number. α is said to be an algebraic number if it is algebraic over \mathbb{Q} , ie if $\alpha^n + a_{n-1}\alpha^{n-1} + \dots + a_1\alpha + a_0 = 0$ for some integer $n \geq 1$ and rational numbers $a_0, \dots, a_{n-1} \in \mathbb{Q}$. α is said to be an algebraic integer if it is integral over \mathbb{Z} , ie if $\alpha^n + a_{n-1}\alpha^{n-1} + \dots + a_1\alpha + a_0 = 0$ for some $n \geq 1$ and a_0, \dots, a_{n-1} integers ($\in \mathbb{Z}$).

Other characterizations of algebraic integers:

Lemma 1: For a complex number α , the following are equivalent:

- (i) α is integral over \mathbb{Z} ,
- (ii) $\mathbb{Z}[\alpha]$ is a finitely generated \mathbb{Z} -module,
- (iii) There is a subring B of \mathbb{C} containing \mathbb{Z} and α , such that B is a finitely generated \mathbb{Z} -module,
- (iv) α is algebraic over \mathbb{Q} , with minimal polynomial $\text{Irr}(\alpha, \mathbb{Q}) \in \mathbb{Z}[x]$.

Pf. For the equivalences (i) \Leftrightarrow (ii) \Leftrightarrow (iii) see, for example [13], Chap. II. Later, we shall prove that (i) \Rightarrow (iv).

The Ring of Integers of a Number Field

Let K be a number field and define the set

$$\mathcal{O}_K = \{\alpha \in K \mid \alpha \text{ integral over } \mathbb{Z}\}.$$

Theorem 1. \mathcal{O}_K is a subring of K containing \mathbb{Z} .

The field of fractions of \mathcal{O}_K is K . More precisely:

$$(*) \quad \forall \alpha \in K, \exists \beta \in \mathcal{O}_K, \exists c \in \mathbb{Z} \text{ such that } \alpha = \frac{\beta}{c}.$$

Moreover \mathcal{O}_K is integrally closed (ie any element of K which is integral over \mathcal{O}_K belongs to \mathcal{O}_K).

Definition. \mathcal{O}_K is called the ring of integers of K .

Any element of \mathcal{O}_K is called an integer of K .

Pf of Tm 1. Using the equivalent characterizations given by Lemma 1 :

$$\begin{aligned} \alpha, \beta \in \mathcal{O}_K &\stackrel{(\text{by ii})}{\Rightarrow} \mathbb{Z}[\alpha] = \sum_{\text{finite}} \mathbb{Z}\alpha_i, \quad \mathbb{Z}[\beta] = \sum_{\text{finite}} \mathbb{Z}\beta_j \\ &\Rightarrow \mathbb{Z}[\alpha, \beta] = \sum_i \sum_j \mathbb{Z}\alpha_i \beta_j \quad (\text{finitely generated } \mathbb{Z}\text{-modules}) \end{aligned}$$

Since $\alpha + \beta, \alpha - \beta, \alpha\beta \in \mathbb{Z}[\alpha, \beta]$ we conclude (by Lemma (iii)) that \mathcal{O}_K is a subring of K .

To prove (*): Let $\alpha \in K$. Then α is algebraic over \mathbb{Q} , so $\alpha^n + a_{n-1}\alpha^{n-1} + \dots + a_1\alpha + a_0 = 0$ for some $a_0, a_1, \dots, a_{n-1} \in \mathbb{Q}$. Let c be the least common multiple of the denominators of a_0, \dots, a_{n-1} . Multiplying the above equation by c^n we see that $c \alpha$

[2] To prove that \mathcal{O}_K is integrally closed, let $\alpha \in K$ be integral over \mathcal{O}_K , ie $\alpha^m + b_{m-1}\alpha^{m-1} + \dots + b_1\alpha + b_0 = 0$ for some $b_0, b_1, \dots, b_{m-1} \in \mathcal{O}_K$. Then see again [13], Chap. II to prove that α is integral over \mathbb{Z} , ie $\alpha \in \mathcal{O}_K$. [3]

Norm and Trace

Let L/K be a finite extension of number fields.

For $\alpha \in L$, consider the map $m_\alpha : L \rightarrow L$ defined by $m_\alpha(\beta) = \alpha\beta$ for any $\beta \in L$ (multiplication by α). m_α is a K -linear operator of L .

Let $\Delta_{m_\alpha} = \det(xI_L - m_\alpha)$ be the characteristic polynomial of m_α . Then for $n = [L:K]$,

$$\begin{aligned} \Delta_{m_\alpha} &= x^n + a_{n-1}x^{n-1} + \dots + a_1x + a_0 \in K[x] \\ &= \prod_{i=1}^n (x - \alpha_i) \quad (\text{where } \alpha_i \in \mathbb{C} \ i=1, \dots, n) \end{aligned}$$

Def. The trace of α wrt L/K , denoted $\text{Tr}_{L/K}(\alpha)$ is defined to be the trace of the linear operator m_α and the norm of α wrt L/K , denoted $N_{L/K}(\alpha)$ is defined to be the determinant of m_α .

$$\text{ie. } \text{Tr}_{L/K}(\alpha) = \text{Tr}(m_\alpha) = -a_{n-1} = \sum_{i=1}^n \alpha_i$$

$$N_{L/K}(\alpha) = \det(m_\alpha) = (-1)^n a_0 = \prod_{i=1}^n \alpha_i$$

So $\text{Tr}_{L/K} : L \rightarrow K$ is an additive homomorphism and $N_{L/K} : L^* \rightarrow K^*$ is a multiplicative "

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Since Δ_{m_α} is a polynomial with coefficients in K , it is invariant under each K -embedding $\sigma_i : L \hookrightarrow \mathbb{C}$ and $\sigma_i(\alpha) = \alpha_i$ for some $i=1,\dots,n$.

Denoting by $\sigma_1, \dots, \sigma_n$ all K -embeddings of L , we get

$$\text{Tr}_{L/K}(\alpha) = \sum_{i=1}^n \sigma_i(\alpha), \quad N_{L/K}(\alpha) = \prod_{i=1}^n \sigma_i(\alpha).$$

Remarks.

1. $\text{Tr}_{L/K}(c) = nc$ and $N_{L/K}(c) = c^n$ if $c \in K$.

2. If $\alpha \in O_L$, then for any $i=1,\dots,n$ $\sigma_i(\alpha)$ is integral over \mathbb{Z} , so $\sigma_i(\alpha) \in O_L^\times$. So for $\alpha \in O_L^\times$:

$$\text{Tr}_{L/K}(\alpha) = \sum_{i=1}^n \sigma_i(\alpha) \in O_L^\times \cap K = O_K^\times \text{ and}$$

$$N_{L/K}(\alpha) = \prod_{i=1}^n \sigma_i(\alpha) \in O_L^\times \cap K = O_K^\times.$$

3. Suppose $\alpha \in O_K$. Then all conjugates of α are in O_K . Since the coefficients of $\text{Irr}(\alpha, \mathbb{Q})$ can be expressed in symmetric polynomials of these conjugates, these coefficients lie in $O_K \cap \mathbb{Q} = \mathbb{Z}$. This proves that (ii) \Rightarrow (iv) in Lemma 1.

Theorem 2. If K is a number field of degree $n = [K : \mathbb{Q}]$, then O_K is a free \mathbb{Z} -module of rank n .

Proof: Using the property (*) in Theorem 1, one can choose an algebraic integer as a primitive element of K , ie $K = \mathbb{Q}(\alpha)$ for some $\alpha \in O_K$. Then $\{1, \alpha, \dots, \alpha^{n-1}\}$ is a basis of K over \mathbb{Q} and $\mathbb{Z}[\alpha]$ is a free \mathbb{Z} -module of rank n contained in O_K .

Now, we need two lemmas to finish the proof.

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Lemma 2. Let M be a sub- \mathbb{Z} -module of a number ring K . Define the complementary set of M by

$$M^* = \{\beta \in K \mid \text{Tr}_{K/\mathbb{Q}}(\beta M) \subset \mathbb{Z}\}.$$

Obviously M^* is a sub- \mathbb{Z} -module of K .

(a) If $M = \mathbb{Z}\alpha_1 \oplus \dots \oplus \mathbb{Z}\alpha_r$, then $M^* = \mathbb{Z}\alpha_1^* \oplus \dots \oplus \mathbb{Z}\alpha_r^*$ where $\{\alpha_1^*, \dots, \alpha_r^*\}$ is the dual basis wrt $\text{Tr}_{K/\mathbb{Q}}$, ie $\text{Tr}_{K/\mathbb{Q}}(\alpha_i \alpha_j^*) = \delta_{ij} \quad \forall (i,j)$.

In particular, if M is free of rank r , so is M^* .

(b) If M_1 and M_2 are two sub- \mathbb{Z} -modules of M , then $M_1 \subset M_2 \Rightarrow M_2^* \subset M_1^*$.

The proof is left as exercise.

The next lemma is the main theorem on finitely generated \mathbb{Z} -modules:

Lemma 3. Let M be a free \mathbb{Z} -module of rank n and M' be a sub- \mathbb{Z} -module of M .

Then M' is a free \mathbb{Z} -module of rank $q \leq n$ and there is a basis $\{w_1, \dots, w_n\}$ of M and there are positive integers c_1, \dots, c_q such that $c_i | c_{i+1}$ for each $i=1, \dots, q-1$ and $\{c_i w_1, \dots, c_q w_q\}$ is a basis of M' .

Now we may complete the proof of Theorem 2:

$\mathbb{Z}[\alpha] \subset O_K \subset O_K^*$ and $O_K^* \subset \mathbb{Z}[\alpha]^*$ (by Lemma 2)
 Since $\mathbb{Z}[\alpha]$ is free of rank n , so is $\mathbb{Z}[\alpha]^*$ (by

Lemma 2). But $\mathbb{Z}[\alpha] \subset O_K \subset \mathbb{Z}[\alpha]^*$, so we conclude by Lemma 3, that O_K is a free \mathbb{Z} -module of rank n . [6]

Definition. A basis $\{\alpha_1, \dots, \alpha_n\}$ of O_K as a free \mathbb{Z} -module is called an integral basis of K .

Absolute Norm of an Ideal

[Definition. Let \mathfrak{m} be an ideal of O_K for a number field K . The absolute norm (or norm) of \mathfrak{m} is $N(\mathfrak{m}) = |\mathcal{O}_K/\mathfrak{m}|$.]

[Proposition 1. If $\alpha \in O_K$, then $N(\alpha O_K) = N_{K/\mathbb{Q}}(\alpha)$.]

Proof: $\alpha O_K \subset O_K$ and $O_K \cong \alpha O_K$ as \mathbb{Z} -modules. Since O_K is a free \mathbb{Z} -module of rank n ,

αO_K is a free \mathbb{Z} -module of rank n . By Lemma 3, there exist a basis $\{w_1, \dots, w_n\}$ of O_K and positive integers c_1, \dots, c_n s.t. $c_i | c_{i+1}$ and $\{c_1 w_1, \dots, c_n w_n\}$ is a basis of αO_K . Then

$$\begin{aligned} O_K/\alpha O_K &\cong \mathbb{Z}w_1 \oplus \dots \oplus \mathbb{Z}w_n \\ &\cong \mathbb{Z}/(c_1) \oplus \dots \oplus \mathbb{Z}/(c_n) \end{aligned}$$

$$\Rightarrow N(\alpha O_K) = c_1 \cdots c_n .$$

Let $\varphi: O_K \rightarrow \alpha O_K$ be the \mathbb{Z} -linear map defined by $\varphi(w_i) = c_i w_i$ (i). Then φ is an isomorphism. Let $\psi: \alpha O_K \rightarrow \alpha O_K$ be the \mathbb{Z} -linear map defined by $\psi(c_i w_i) = \alpha w_i$ ($i=1, \dots, n$). Then ψ is an automorphism of the \mathbb{Z} -module αO_K . So $\det \psi = \pm 1$. But $m_\alpha = \psi \circ \varphi$. So $N_{K/\mathbb{Q}}(\alpha) = \det m_\alpha = \pm \det \varphi = \pm c_1 \cdots c_n$. This proves the result.

[Corollary. The norm of any ideal of O_K is finite.]

Proof: Take $\mathfrak{m} \subset O_K$ an ideal and let $\alpha \in \mathfrak{m}$.

$$\alpha O_K \subset \mathfrak{m} \Rightarrow N(\mathfrak{m}) = |\mathcal{O}_K/\mathfrak{m}| \leq |\mathcal{O}_K/\alpha O_K| = N_{K/\mathbb{Q}}(\alpha)$$

Discriminant

Let L/K be a finite extension of number fields of degree $[L:K]=n$. The discriminant of a subset $\{\alpha_1, \dots, \alpha_n\}$ of L is defined by

$$D(\alpha_1, \dots, \alpha_n) = \det (\text{Tr}_{L/K}(\alpha_i \alpha_j))_{i,j}$$

[Proposition 2. Let $B = \{\alpha_1, \dots, \alpha_n\}$ and $B' = \{\beta_1, \dots, \beta_n\}$ be two bases of L over K . If A is the change of basis matrix from B to B' , then

$$D(\beta_1, \dots, \beta_n) = (\det A)^2 D(\alpha_1, \dots, \alpha_n) .$$

$$\text{Pf: } \left(\text{Tr}(\beta_i \beta_j) \right)_{i,j} = A \left(\text{Tr}(\alpha_i \alpha_j) \right)_{i,j} A^t$$

→ result.

Definition. The discriminant (or absolute discriminant) d_K of a number field K is defined to be the discriminant of any integral basis $\{\alpha_1, \dots, \alpha_n\}$ of K .

$$\text{ie } d_K = D(\alpha_1, \dots, \alpha_n) = \det \left(\text{Tr}_{K/\mathbb{Q}}(\alpha_i \alpha_j) \right)_{i,j}.$$

Remark. The definition of the absolute discriminant d_K is independent from the choice of the integral basis. Because the change of basis matrix A from an integral basis to another integral basis must have determinant equal to ± 1 .

Proposition 3. Let L/K be a finite extension of number fields of degree $[L:K] = n$, and let $\sigma_1, \dots, \sigma_n : L \hookrightarrow \mathbb{C}$ be the distinct K -embeddings of L . Then

$$D(\alpha_1, \dots, \alpha_n) = \det (\sigma_i(\alpha_j))^2 \neq 0.$$

$$\text{Proof: } \text{Tr}(\alpha_i \alpha_j) = \sum_{k=1}^n \sigma_k(\alpha_i) \sigma_k(\alpha_j)$$

This is the (i,j) -entry of the matrix MM^t

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where $M = (\sigma_k(\alpha_i))_{i,k}$. So $D(\alpha_1, \dots, \alpha_n) = (\det M)^2$.

To prove: $\det M \neq 0$.

Suppose $\det M = 0$. Then there exist a_1, \dots, a_n complex numbers, not all zero, such that

$$\sum_{i=1}^n a_i \sigma_k(\alpha_j) = 0 \quad \forall j = 1, \dots, n. \text{ This implies that } \sum_{i=1}^n a_i \sigma_i = 0 \text{ and contradicts the linear independence of } \sigma_1, \dots, \sigma_n \text{ over } \mathbb{C}.$$

Remark. If $L = K(\alpha)$, then $\{1, \alpha, \dots, \alpha^{n-1}\}$ is a basis of L over K . Let f be the minimal polynomial of α over K . Then the roots of f are the conjugates of α , ie $\sigma_i(\alpha) = \alpha_i$ ($i=1, \dots, n$) with the notations of Proposition 3. Then

$$\begin{aligned} D(1, \alpha, \dots, \alpha^{n-1}) &= \det (\sigma_i(\alpha_j))^2 = \det (\alpha_i^j)^2 \\ &= \prod_{i \neq j} (\alpha_i - \alpha_j) \quad (\text{Vandermonde determinant}) \\ &\neq 0 \end{aligned}$$

This result also proves that the discriminant of any basis of L over K is nonzero (combining with Proposition 2), ie another proof for the last part of Proposition 3.

Dedekind Domains

Definition. A Dedekind domain is an integral domain such that

- (i) Every ideal is finitely generated (i.e D is Noetherian),
- (ii) Every nonzero prime ideal of D is a maximal ideal (i.e D has Krull dimension 1),
- (iii) D is integrally closed (i.e every element of the field of fractions of D which is integral over D belongs to D).

Remark: (i) \Rightarrow every increasing sequence of ideals of D is stationary
 \Rightarrow every nonempty set of ideals of D has a maximal element.

Examples. 1. Every field is trivially a Dedekind domain.
 From now on, we shall consider the Dedekind domains which are not a field.

2. Any principal ideal domain is a Dedekind domain.

Remark. A unique factorization domain is not necessarily a Dedekind domain. For example $\mathbb{Z}[x,y]$ is not a Dedekind domain.

The next theorem furnishes the most important example for our purpose.

Theorem 3. For every number field K , the ring of integers \mathcal{O}_K is a Dedekind domain.

Proof: By Theorem 2, \mathcal{O}_K is a free \mathbb{Z} -module of rank $n = [K : \mathbb{Q}]$.

(i) Let \mathfrak{U} be an ideal of \mathcal{O}_K . By Lemma 3, \mathfrak{U} is a free sub- \mathbb{Z} -module of \mathcal{O}_K of finite rank. So \mathfrak{U} is finitely generated as an ideal.

(ii) Let P be a nonzero prime ideal of \mathcal{O}_K . Then \mathcal{O}_K/P is an integral domain. By Corollary of Proposition 1, $|\mathcal{O}_K/P| = N(P) < \infty$. Being a finite integral domain, \mathcal{O}_K/P is a field. Hence P is a maximal ideal.

(iii) By Theorem 1, \mathcal{O}_K is integrally closed.
 Thus we proved that \mathcal{O}_K is a Dedekind domain.

Fractional Ideals of a Dedekind Domain

Let D be a Dedekind domain with field of fractions K .

[Def.] A fractional ideal \mathfrak{U} of D is a D -submodule of K such that $d\mathfrak{U} \subset D$ for some $0 \neq d \in D$.

Remark 1. Every ideal $\mathfrak{U} \subset D$ is a fractional ideal, called integral ideal if there may be confusion.

Remark 2. Let \mathfrak{U} and \mathfrak{V} be two fractional ideals of D . Then

$\mathfrak{U} + \mathfrak{B} = \{\alpha + \beta \mid \alpha \in \mathfrak{U}, \beta \in \mathfrak{B}\}$, $\mathfrak{U} \cap \mathfrak{B}$ and
 $\mathfrak{U}\mathfrak{B} = \left\{ \sum_{\text{finite}} \alpha_i \beta_i \mid \alpha_i \in \mathfrak{U}, \beta_i \in \mathfrak{B} \right\}$
are fractional ideals of D .

Remark 3. The nonzero fractional ideals of D constitute a commutative monoid for multiplication. We shall see that they form an abelian group.

Proposition 4. Let D be a Dedekind domain which is not a field. For any maximal ideal \mathfrak{M} of D there is a fractional ideal \mathfrak{M}^{-1} of D such that $\mathfrak{M}\mathfrak{M}^{-1} = D$ (\mathfrak{M}^{-1} is called the inverse of \mathfrak{M} and denoted by $\mathfrak{M}' = \mathfrak{M}^{-1}$).

Sketch of the proof : Let K = field of fractions of D .

$\mathfrak{M}' = \{\alpha \in K \mid \alpha \mathfrak{M} \subset D\}$ is the required ideal (for details of the proof, see [13], Chap. on Dedekind domains).

Theorem 4. Let D be a Dedekind domain and let P be the set of nonzero prime ideals of D .

i) Any nonzero fractional ideal \mathfrak{U} of D can be written uniquely in the form

$$\mathfrak{U} = \prod_{p \in P} p^{n_p(\mathfrak{U})} \quad \text{with } n_p(\mathfrak{U}) \in \mathbb{Z}, \text{ almost all zero}$$

ii) The nonzero fractional ideals of D form a free abelian group generated by P .

Pf: (b) is an obvious consequence of (a). It suffices then to prove (a). For any fractional ideal \mathfrak{U} , $d\mathfrak{U}$ is an integral ideal for some $d \neq 0$. So it is enough to prove (a) for integral ideals of D .

Let Φ be the set of nonzero integral ideals of D which are not a finite product of prime ideals. Our aim is to prove that Φ is empty.

Suppose $\Phi \neq \emptyset$. Since D is Noetherian, Φ contains a maximal element B . Necessarily $B \neq D$ and B is not a maximal ideal in D . So $B \subsetneq \mathfrak{M}$ for some maximal ideal \mathfrak{M} of D . Let \mathfrak{M}' be the fractional ideal such that $\mathfrak{M}\mathfrak{M}' = D$ (by Proposition 4).

$$B \subsetneq \mathfrak{M} \Rightarrow B\mathfrak{M}' \subsetneq \mathfrak{M}\mathfrak{M}' = D.$$

$$\text{But } D \subsetneq B\mathfrak{M}' \Rightarrow B = BD \subsetneq B\mathfrak{M}'.$$

$$\text{So } B \subsetneq B\mathfrak{M}' \subsetneq D.$$

So $B\mathfrak{M}'$ is an integral ideal $\neq 0$ containing B strictly. So $B\mathfrak{M}' \notin \Phi$. So $B\mathfrak{M}' = p_1 \dots p_s$ for some $p_1, \dots, p_s \in P$. But this implies that $B = \mathfrak{M}'p_1 \dots p_s$, which is a contradiction.

This proves the "existence part" of (a).

For the uniqueness : Suppose

$$\prod p^{n_p(n)} = \prod p^{n'_p(n)} \quad \text{for some integers } n_p(n), n'_p(n) \text{ almost all equal to 0.}$$

$$\Rightarrow \prod p^{n_p(n) - n'_p(n)} = D.$$

If all $n_p(n) - n'_p(n)$ are not 0, separating positive and negative exponents, we get an expression of the form

$$p_1^{k_1} \cdots p_r^{k_r} = v_1^{h_1} \cdots v_t^{h_t}$$

for some nonzero prime ideals $p_1, \dots, p_r, v_1, \dots, v_t$ two by two distinct, with $k_1, \dots, k_r, h_1, \dots, h_t > 0$ integers.

$$\Rightarrow p_i \supset v_1^{h_1} \cdots v_t^{h_t}, p_i \text{ prime ideal}$$

$\Rightarrow p_i$ contains at least one of the factors, say v_1 .

But in the Dedekind domain all prime ideals which are nonzero are maximal. So we get $p_i = v_1$, which is a contradiction.

Thus the Theorem 4 is proved.

Class Group of a Dedekind Domain D

The nonzero fractional ideals of D form a group $J(D)$. The nonzero principal fractional ideals αD with $\alpha \in K^*$ (K = field of fractions of D) form a subgroup $\mathcal{P}(D) = \{\alpha D | \alpha \in K^*\}$.

Definition. The group $\text{Cl}(D) = J(D) / \mathcal{P}(D)$ is called the class group of D.

Remarks:

1. D is a PID $\Leftrightarrow \text{Cl}(D) = \{1\}$
2. In case of a Dedekind domain D :
D is a PID $\Leftrightarrow D$ is a UFD.
3. For any number field K, the class group $\text{Cl}(O_K)$ is finite, its order h_K is called the class number of K. This important theorem of Algebraic Number Theory will be proved by Kenku (see also [13], the Chapter concerning the class group and units).

Properties of the Exponents $n_p(n)$:

Let D be a Dedekind domain, with field of fractions $K \neq D$. Let v_1 and p_1 be two

nonzero fractional ideals of D . Then, with the notations of Theorem 4:

- (i) $n_p(vfb) = n_p(v) + n_p(f)$ $\forall p \in P$
- (ii) $f \subset D \Rightarrow n_p(f) \geq 0$ $\forall p \in P$
- (iii) $v \subset f \Leftrightarrow vf^{-1} \subset D \stackrel{\text{(def)}}{\Leftrightarrow} f \mid v$
 $\Leftrightarrow n_p(f) \leq n_p(v) \quad \forall p \in P$
- (iv) $n_p(vf) = \inf(n_p(v), n_p(f)) \quad \forall p \in P$

For division introduced in (iii) :

$$vf = \gcd(v, f).$$

- (v) $n_p(vnf) = \sup(n_p(v), n_p(f))$

For division in (iii) :

$$vnf = \operatorname{lcm}(v, f).$$

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Some Textbooks on Algebraic Number Theory

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