# GORDANS Finiteness Theorem (HILBERTS proof – slightly modernized)

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Let k be an infinite entire ring,  $V = k^2$ , the free k-module of rank 2, G, the group SL(V). Then G acts in a canocical way on  $S^n(V^*)$ , the module of binary forms of degree n, and on its affine coordinate ring  $P := S(S^n(V^*)^*) = S(S^n(V))$ . The ring  $I := P^G$  of invariants is the classical ring of invariants of a binary form of degree n. Let

$$k_0 := \mathbb{Z}\left[\frac{1}{n!}\right] = \mathbb{Z}\left[\frac{1}{p} \mid p \le n \text{ prime.}\right]$$

**Theorem 1** (GORDAN 1868) Let n! be a unit in k. Then I = I(k) is a finitely generated k-algebra, and

 $I(k) \cong I(k_0) \otimes_{k_0} k$ 

as a graduated k-algebra.

GORDAN's original proof [1] works for k a field of characteristic 0 and provides an explicit system of generators. Here we reproduce HILBERT's proof [2] that gives the theorem in the stated generality. The restriction that n! is a unit will be needed only in step 3, and we also have a somewhat weaker (non-explicit) version without this restriction that however uses Emmy NOETHER's general result on finite generation of invariants under finite groups and therefore is anhistoric.

**Corollary 1** If k is an infinite noetherian entire ring (not necessarily n! a unit), then I is a finitely generated k-algebra.

**Historical remark.** Except for the main theorem on symmetric polynomials GOR-DAN's theorem is the earliest result on finite generation of invariant rings.

The proof starts with two lemmas.

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Lemma 1 Let

$$\sum_{j=1}^{n} a_{ij} x_j = 0 \quad for \ j = 1, \dots m \quad with \ a_{ij} \in \mathbb{Z} \ for \ all \ i, j$$

be a system of diophantine equations. Then the semigroup of non-negative solutions (i. e. solution vectors  $x = (x_1, \ldots, x_n) \in \mathbb{N}^n$ ) is finitely generated.

This is a corollary of DICKSON's lemma for which we have a separate note [3].

**Lemma 2** Let  $\sigma_1, \ldots, \sigma_N \in k[X_1, \ldots, X_N] = k[X]$  be the elementary symmetric polynomials. Then for each i the powers  $X_i^j$ ,  $0 \le j < N$ , generate the  $k[\sigma]$ -module  $k[\sigma][X_i]$ . More explicitly, for each natural number  $p \in \mathbb{N}$  there are polynomials  $g_1, \ldots, g_N \in$  $k[\sigma_1,\ldots,\sigma_N]$  such that

$$X_i^p = g_1 \cdot X_i^{N-1} + \dots + g_{N-1} \cdot X_i + g_N$$
 for all  $i = 1, \dots N_i$ 

*Proof.* If  $p \leq N - 1$ , the assertion is obvious.

If p = N, then  $X_1, \ldots, X_N$  are zeroes of the polynomial

$$(T-X_1)\cdots(T-X_N)=T^N-\sigma_1T^{N-1}+\cdots\pm\sigma_N\in k[X][T],$$

whence  $X_i^N = \sigma_1 X_i^{N-1} - \cdots \mp \sigma_N$  for  $i = 1, \dots, N$ . If p > N, we use induction and assume  $X_i^{p-1} = g'_1(\sigma) X_i^{N-1} + \cdots + g'_N(\sigma)$  for  $i = 1, \ldots, N$ . Then

$$\begin{aligned} X_i^p &= g_1'(\sigma)X_i^N + \dots + g_N'(\sigma)X_i \\ &= g_1'(\sigma)\left[\sigma_1X_i^{N-1} - \dots \pm \sigma_N\right] + g_2'(\sigma)X_i^{N-1} + \dots + g_N'(\sigma)X_i \\ &= \underbrace{[g_1'(\sigma)\sigma_1 + g_2'(\sigma)]}_{=:g_1(\sigma)}X_i^{N-1} + \dots + \underbrace{[g_N'(\sigma) \mp g_1'(\sigma)\sigma_{N-1}]}_{=:g_{N-1}(\sigma)}X_i \pm \underbrace{g_1'(\sigma)\sigma_N}_{g_N(\sigma)}, \end{aligned}$$

as was to be shown.  $\diamond$ 

The proof of the theorem involves several rings. First let

$$S := T^n(S(V)) = S(V) \otimes \cdots \otimes S(V) = k[\alpha_1, \beta_1, \dots, \alpha_n, \beta_n],$$

the polynomial ring in 2n indeterminates. This k-algebra is canonically  $\mathbb{N}^n$ -graded where the homogeneous parts have the form

$$S_{\underline{d}} = S^{d_1}(V) \otimes \cdots \otimes S^{d_n}(V) \text{ for } \underline{d} = (d_1, \dots, d_n) \in \mathbb{N}^n.$$

The group G = SL(V) acts on S in a homogeneous way; let  $R := S^G$  be the algebra of invariants. It has the induced grading

$$R = \sum_{\underline{d} \in \mathbb{N}^n} R_{\underline{d}} \quad \text{where } R_{\underline{d}} = S_{\underline{d}} \cap R.$$

Examples for homogeneous invariants are

1.  $p_{ij} := \alpha_i \beta_j - \alpha_j \beta_i$  for  $1 \le i < j \le n \in R_d$  where

$$\underline{d} = (0, \dots, \overset{i}{\underbrace{1}}, \dots, \overset{j}{\underbrace{1}}, \dots, 0).$$

2. For an N-valued symmetric matrix  $M = (m_{ij})$  with zero diagonal,

$$X_M := \prod_{i < j} p_{ij}^{m_{ij}} \in R_{\underline{d}} \quad \text{where } d_i = \sum_{j=1}^n m_{ij}.$$

Let us denote this (multi-) degree by  $\underline{d} =: D(M)$ .

For  $d \in \mathbb{N}$  let  $(d) = (d, \ldots, d) \in \mathbb{N}^n$ , hence  $S_{(d)} = S^d(V) \otimes \cdots \otimes S^d(V)$ . Then

$$\tilde{S} := \sum_{d \in \mathbb{N}} S_{(d)}$$

is an N-graduated subalgebra of S. Also on this algebra G operates homogeneously, and the ring of invariants is

$$\tilde{R} := \tilde{S}^G = \sum_{d \in \mathbb{N}} R_{(d)}.$$

Furthermore we have the operation  $\alpha_i \mapsto \alpha_{\pi(i)}, \beta_i \mapsto \beta_{\pi(i)}$  for  $\pi \in \mathfrak{S}_n$ , of the symmetric group  $\mathfrak{S}_n$  on S; it induces a homogeneous operation on  $\tilde{S}$ . The operations of  $\mathfrak{S}_n$  and of G commute elementwise. Therefore the direct product  $\mathfrak{S}_n \times G$  acts on  $\tilde{S}$  homogeneously.

**Lemma 3** The graduated ring  $P = S(S^n(V))$  is isomorphic with  $\tilde{S}^{\mathfrak{S}_n}$ .

*Proof.* A short consideration will motivate the proof. Let  $\{x, y\}$  be a basis of the dual space  $V^*$ . Decompose the "general binary form of degree n",

$$f = \sum_{j=0}^{n} u_j x^{n-j} y^j$$

as a product of linear factors (over a suitable ring extension  $\bar{k} \supseteq k$ ):

$$f = \prod_{i=1}^{n} (\beta_i x + \alpha_i y)$$

- this corresponds to the decomposition of the polynomial  $\frac{1}{x^n} \cdot f = \sum u_j (\frac{y}{x})^j$  into linear factors  $(\frac{y}{x} + \frac{\beta_i}{\alpha_i})$ . Then

$$f = \prod(\beta_i x + \alpha_i y) = \beta_1 \cdots \beta_n \cdot \prod(x + \frac{\alpha_i}{\beta_i} y) = \beta_1 \cdots \beta_n \cdot \sum x^{n-j} \sigma_j(\frac{\alpha_1}{\beta_1}, \dots, \frac{\alpha_n}{\beta_n}) y^j.$$

Therefore

$$u_0 = \beta_1 \cdots \beta_n, u_1 = \beta_1 \cdots \beta_n \cdot (\frac{\alpha_1}{\beta_1} + \cdots + \frac{\alpha_n}{\beta_n}), \dots, u_n = \alpha_1 \cdots \alpha_n.$$

The general formula is

(\*) 
$$u_j = \sum_{M \in \mathfrak{P}_j(\{1,\dots,n\})} \alpha_M \beta_{\bar{M}}$$

(with suggestive notation).

Now let's prove that  $\tilde{S}^{\mathfrak{S}_n} = P$ . Let  $\alpha_i$  and  $\beta_i$  be indeterminates, and  $u_j$  for j =1,..., n be given by formula (\*). Then  $k[u_0,...,u_n] = S(S^n(V)) = P$  is the coordinate algebra of the binary forms of degree n. We have

 $S_{(d)} = \{ F \in k[\alpha, \beta] \mid F \text{ homogeous of degree } d \text{ in each pair } (\alpha_i, \beta_i) \}.$ 

Therefore  $u_0, \ldots, u_n \in S_{(1)}$ , hence P = k[u] is a graduated subring of  $\tilde{S}$ . Moreover all  $u_i \in \tilde{S}^{\mathfrak{S}_n}$  because for  $\pi \in \mathfrak{S}_n$  we have

$$\pi(u_j) = \pi\left(\sum_{M \in \mathfrak{P}_j} \alpha_M \beta_{\bar{M}}\right) = \sum_{M \in \mathfrak{P}_j} \alpha_{\pi(M)} \beta_{\overline{\pi(M)}} = u_j.$$

Therefore  $P \subseteq \tilde{S}^{\mathfrak{S}_n}$  even as a graduated subring.

For the opposite inclusion let  $F \in S_{(d)}$  be an  $\mathfrak{S}_n$ -invariant, say

$$F = \sum_{m \in \mathbb{N}^n} c_m \alpha_1^{m_1} \beta_1^{d-m_1} \cdots \alpha_n^{m_n} \beta_n^{d-m_n},$$

where  $c_{\pi(m)} = c_m$  for all  $\pi \in \mathfrak{S}_n$ . This means that  $F/\beta_1^d \cdots \beta_n^d$  is a symmetric polynomial in  $\frac{\alpha_1}{\beta_1}, \ldots, \frac{\alpha_n}{\beta_n}$  of degree  $\leq d$ , hence a polynomial in the elementary symmetric polynomials:

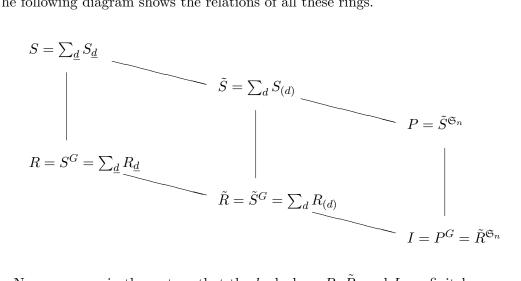
$$\frac{1}{u_0^d} \cdot F = \frac{1}{\beta_1^d \cdots \beta_n^d} \cdot F = G(\sigma_1(\frac{\alpha_1}{\beta_1}, \dots, \frac{\alpha_n}{\beta_n}), \dots, \sigma_n(\frac{\alpha_1}{\beta_1}, \dots, \frac{\alpha_n}{\beta_n})) = G(\frac{u_1}{u_0}, \dots, \frac{u_n}{u_0})$$

with  $\deg(G) \leq d$ , and therefore  $F \in k[u]$ .

The k-algebra whose finite generation the theorem asserts is therefore

$$I = P^G = (\tilde{S}^{\mathfrak{S}_n})^G = \tilde{S}^{\mathfrak{S}_n \times G} = (\tilde{S}^G)^{\mathfrak{S}_n} = \tilde{R}^{\mathfrak{S}_n}.$$

The following diagram shows the relations of all these rings.



Now we prove in three steps that the k-algebras R,  $\tilde{R}$ , and I are finitely generated.

#### Step 1.

**Lemma 4** For each  $\underline{d} \in \mathbb{N}^n$  we have  $R_{\underline{d}} = \langle X_M \mid D(M) = \underline{d} \rangle$  as a k-module, and  $R_{\underline{d}} = R_{\underline{d}}(k) \cong R_{\underline{d}}(\mathbb{Z}) \otimes_{\mathbb{Z}} k$ .

In particular as a k-algebra R is generated by the  $\binom{n}{2}$  elements  $p_{ij}$ ,  $1 \le i < j \le n$ , and  $R = R(k) \cong R(\mathbb{Z}) \otimes_{\mathbb{Z}} k$  as a graduated k-algebra.

We start the proof of Lemma 4 with the special case n = 1:

Lemma 5  $S(V)^G = k$ .

Proof. Let  $\{\alpha, \beta\}$  be a basis of V and  $F = \sum_{i=0}^{r} c_i \alpha^{r-i} \beta^i$  with  $r \ge 1$ . If F is invariant under  $\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} \in G$ , then  $c_{r-i} = (-1)^{r-i} c_i$  for  $i = 1, \ldots, r$ . Now let F be also invariant under  $\begin{pmatrix} 1 & \lambda \\ 0 & 1 \end{pmatrix} \in G$  for all  $\lambda \in k$ . Then

$$F = \sum_{i=0}^{r} c_i (\alpha + \lambda \beta)^{r-i} \beta^i = \sum_{i=0}^{r} \sum_{j=0}^{r-i} c_i \cdot \binom{r-i}{j} \alpha^{r-i-j} \lambda^j \beta^{j+i}$$
$$= \sum_{i=0}^{r} \left[ \sum_{j=0}^{i} \binom{r-j}{r-i} c_j \lambda^{i-j} \right] \alpha^{r-i} \beta^i.$$

This gives equations for the coefficients  $c_i$ , for example

$$c_r = \sum_{j=0}^r \binom{r-j}{0} c_j \lambda^{r-j} = c_0 \lambda^r + \dots + c_r$$

for all  $\lambda \in k$ . Because k is an infinite entire ring, we conclude that  $c_0 = \ldots = c_{r-1} = 0$ and  $c_r = (-1)^r c_0 = 0$ , hence F = 0.

- **Remark.** For Lemma 5 we really need the condition that k is an infinite entire ring. As an illustration we give three counterexamples for weaker conditions.
- **Example 1.** Let k be the finite entire ring  $\mathbb{F}_2$ . Then  $F = \alpha^2 + \alpha\beta + \beta^2 \in S^2(V)$  is invariant under  $\begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}$  and  $\begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$  that together generate G.
- **Example 2.** Or let k be  $\mathbb{F}_3$ . Then  $F = \alpha^6 + \alpha^4 \beta^2 + \alpha^2 \beta^6 + \beta^6 \in S^6(V)$  is invariant under  $\begin{pmatrix} 1 & \pm 1 \\ 0 & 1 \end{pmatrix}$ ,  $\begin{pmatrix} -1 & 0 \\ 0 & -1 \end{pmatrix}$ , and  $\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}$ , that together generate G.
- **Example 3.** For an example where k is infinite, but has zero-divisors, take A, an infinite  $\mathbb{F}_2$ -module, and  $k = \mathbb{F}_2 \times A$  with the multiplication (m, a)(n, b) = (mn, ma + nb). (This is the well-known "adjunction of 1 to the  $\mathbb{F}_2$ -Algebra A with 0-multiplication".) Then  $F = \alpha^4 + \alpha^2 \beta^2 + \beta^4$  is invariant.

We prove Lemma 4 by induction on n. For n = 1 Lemma 5 gives R = k, and the assertion is trivial.

Therefore let n > 1. We make a further induction on  $w := d_1 + \cdots + d_n$ . If w = 0, we have  $\underline{d} = 0$  and  $R_0 = k$ , and we are ready.

Now let w > 0, that is,  $\underline{d} \neq 0$ . We may assume  $d_n \neq 0$  (otherwise change enumeration). If all other  $d_i = 0$ , we would have  $S_{\underline{d}} \subseteq k[\alpha_n, \beta_n]$ , and the case n = 1 would apply. Therefore we may assume (without loss of generality) that  $d_{n-1} \neq 0$ .

The substitution homomorphism

$$\varphi \colon S \longrightarrow S' = k[\alpha_1, \beta_1, \dots, \alpha_{n-1}, \beta_{n-1}], \quad \alpha_n \mapsto \alpha_{n-1}, \beta_n \mapsto \beta_{n-1},$$

is G-equivariant, hence maps R onto  $R' := (S')^G$  and  $R_{\underline{d}}$  onto  $R'_{d'}$  where  $d' = (d_1, \ldots, d_{n-1} + d_n) \in \mathbb{N}^{n-1}$ . By induction  $R'_{\underline{d}'} \cong R'_{\underline{d}'}(\mathbb{Z}) \otimes k$  is spanned by the  $X_{M'}$  with  $D(M') = \underline{d}'$ . Each such  $X_{M'}$  has  $d_{n-1} + d_n$  factors of type  $p_{i,n-1}$ ; if we replace any  $d_n$  of these by  $p_{in}$ , then we get an inverse image  $X_M$  of  $X_{M'}$  under  $\varphi$ . Therefore  $\varphi: R_{\underline{d}} \longrightarrow R'_{d'}$  is surjective.

Next let us determine the kernel of  $\varphi$ . Let  $F \in R_{\underline{d}}$  with  $\varphi(F) = 0$ . Then  $\frac{1}{\beta_1^{d_1} \cdots \beta_n^{d_n}} \cdot F$ is a polynomial over  $k\left[\frac{\alpha_1}{\beta_1}, \ldots, \frac{\alpha_{n-1}}{\beta_{n-1}}\right]$  in the indeterminate  $\frac{\alpha_n}{\beta_n}$ , and has  $\frac{\alpha_{n-1}}{\beta_{n-1}}$  as a zero. Therefore  $\left(\frac{\alpha_n}{\beta_n} - \frac{\alpha_{n-1}}{\beta_{n-1}}\right) |\frac{1}{\beta_1^{d_1} \cdots \beta_n^{d_n}} \cdot F$ , and  $p_{n-1,n}|F$ . Thus there is an  $F_0 \in R_{\underline{d}}$  with  $\overline{d} = (d_1, \ldots, d_{n-1} - 1, d_n - 1)$ , such that  $F = p_{n-1,n}F_0$ . Therefore ker  $\varphi = p_{n-1,n} \cdot R_{\underline{d}}$  as a k-module (because R has no zero divisors). This gives the exact sequence

$$0 \longrightarrow R_{\underline{\tilde{d}}} \longrightarrow R_{\underline{d}} \longrightarrow R'_{\underline{d}'} \longrightarrow 0$$

By induction on w the module  $R_{\underline{\tilde{d}}} \cong R_{\underline{\tilde{d}}}(\mathbb{Z}) \otimes k$  is spanned by the  $X_M$  with  $D(M) = \underline{\tilde{d}}$ . Because the sequence

$$0 \longrightarrow R_{\underline{\tilde{d}}} \longrightarrow \langle X_M \mid D(M) = \underline{d} \rangle \longrightarrow R'_{\underline{d}'} \longrightarrow 0$$

is also exact, general nonsense (the five lemma) gives  $R_{\underline{d}} = \langle X_M | D(M) = \underline{d} \rangle$ . The exact sequence

$$0 \longrightarrow R_{\underline{\tilde{d}}}(\mathbb{Z}) \longrightarrow R_{\underline{d}}(\mathbb{Z}) \longrightarrow R'_{\underline{d}'}(\mathbb{Z}) \longrightarrow 0$$

consists of free  $\mathbb{Z}$ -modules. The following diagram has exact rows and canonical vertical arrows. The two isomorphisms follow by induction. By the five lemma also the middle arrow is an isomorphism.

### Step 2.

**Lemma 6**  $\tilde{R}$  is a finitely generated k-algebra, and  $\tilde{R} = \tilde{R}(k) \cong \tilde{R}(\mathbb{Z}) \otimes_{\mathbb{Z}} k$ .

Proof. The module  $R_{(d)}$  is spanned by the X(M) with  $\sum_{j=1}^{n} m_{ij} = d$  for all  $i = 1, \ldots, n$ . Therefore R is spanned by the  $X_M$  with  $\sum_{j=1}^{n} m_{1j} = \ldots = \sum_{j=1}^{n} m_{nj}$ . This is a homogeneous system of diophantine equations for the  $m_{ij}$ . By Lemma 1 its solutions form a finitely generated subsemigroup of  $\mathbb{N}^q$  (where q = n(n-1)/2). Let  $\{M^{(1)}, \ldots, M^{(r)}\}$  be a system of generators. If  $M = \sum_{l=1}^{r} a_l M^{(l)}$ , then

$$X_M = \prod_{i < j} p_{ij}^{m_{ij}} = \left(\prod_{i < j} p_{ij}^{m_{ij(1)}}\right)^{a_1} \dots = X_{M_1}^{a_1} \dots X_{M_r}^{a_r}.$$

Therefore the  $X_1 := X_{M_1}, \ldots, X_r := X_{M_r}$  generate the k-algebra  $\tilde{R}$ . The isomorphism in the lemma follows because by Lemma 4 it holds on all homogeneous components.  $\diamond$ 

#### Step 3.

We show that I is finitely generated, if n! is a unit in k, and  $I(k) \cong I(k_0) \otimes_{k_0} k$  as a graduated k-algebra.

*Proof.* Consider the linear map

$$\mu_d \colon R_{(d)} \longrightarrow R_{(d)}, \quad \mu_d := \sum_{\pi \in \mathfrak{S}_n} \pi.$$

Then  $I_{(d)} := I \cap R_{(d)} = \mu_d(R_{(d)})$ , because n! is a unit in k. In I there are for example the following elements:

- (a)  $\mu(X_1^{a_1}\cdots X_r^{a_r}) = \sum_{\pi\in\mathfrak{S}_n} \pi(X_1)^{a_1}\cdots \pi(X_r)^{a_r}$  where  $a_1,\ldots,a_r\in\mathbb{N},$
- (b) the elementary symmetric functions in the  $\pi(X_i)$  for each  $i = 1, \ldots, r$ ,

$$\sigma_j(\rho(X_i)_{\rho\in\mathfrak{S}_n}) = \sum_{A\in\mathfrak{P}_j(\mathfrak{S}_n)} \left(\prod_{\rho\in A} \rho(X_i)\right)$$

for j = 1, ..., n! because each  $\pi \in \mathfrak{S}_n$  only permutes the summands.

Claim: The finite set  $Z = \{(a) \mid all \ a_i < n!\} \cup \{(b)\}$  generates the k-algebra I. Each element of I is a linear combination of elements of the form

$$F = \sum_{\pi \in \mathfrak{S}_n} \pi(X_1)^{a_1} \cdots \pi(X_r)^{a_r} = \sum_{\pi \in \mathfrak{S}_n} \left( \sum_{j=1}^{n!-1} g_j^{(1)} \pi(X_1)^j \right) \cdots \left( \sum_{j=1}^{n!-1} g_j^{(r)} \pi(X_r)^j \right)$$
$$= \sum_{j_1, \dots, j_r=0}^{n!-1} g_{j_1}^{(1)} \cdots g_{j_r}^{(r)} \cdot \left( \sum_{\pi \in \mathfrak{S}_n} \pi(X_1)^{j_1} \cdots \pi(X_r)^{j_r} \right)$$

with terms in k[Z]. Therefore  $F \in k[Z]$  and I = k[Z].

For the second statement, the isomorphism, we note that because n! is a unit in k the  $k[\mathfrak{S}_n]$ -module  $R_{(d)}$  is semisimple. Therfore the submodule  $I_{(d)}$  has a direct complement  $H_{(d)}$ , and we have two exact direct sequences

The diagram is commutative. We already know by Lemma 4 that the middle vertical arrow is an isomorphism. Because the rows are exact direct, also the two other vertical arrows are isomorphisms. Therefore  $I \cong I(k_0) \otimes k$  as a graduated ring.  $\diamond$ 

## Step 3a.

We finally show that I is finitely generated, if k is noetherian, but n! not necessarily a unit. This simply follows because I is the ring of invariants of the finitely generated k-algebra  $\tilde{R}$  under the finite group  $\mathfrak{S}_n$ .

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