

# Functorial Methods in Representation Theory

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The College of New Jersey

Maurice Auslander Memorial Workshop

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# Mindset of the Functorial Approach

## The Big Bang Theory

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Stephanie That's it?

Leonard I wrote some of it down.

# Thesis of the Talk

## The Functorial Approach

Functors are Modules.

# Notation

Notation: (Fixed)

$\text{Ab}$  - category of abelian groups.

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$\mathcal{A}$  - skeletally small abelian category.

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## Definition

A functor  $F: \mathcal{A} \rightarrow \text{Ab}$  is called representable if

$$F \cong \text{Hom}_{\mathcal{A}}(X, \_)$$

for some  $X \in \mathcal{A}$ .

# Notation For Representable Functors

## Notation:

We will abbreviate the representable functor  $\text{Hom}_{\mathcal{A}}(X, \_)$  by

$$(X, \_)$$

and abbreviate  $\text{Hom}_{(\mathcal{A}, \text{Ab})}(F, \_)$  by

$$\text{Nat}(F, \_)$$

or

$$(F, \_)$$

depending on the situation.

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  - a cokernel of  $\beta \iff \alpha_X$  is a cokernel of  $\beta_X$  for all  $X \in \mathcal{A}$ .

## Exactness in $(\mathcal{A}, \text{Ab})$

- A sequence in  $(\mathcal{A}, \text{Ab})$ :

$$F \longrightarrow G \longrightarrow H$$

is exact if and only if

$$F(X) \longrightarrow G(X) \longrightarrow H(X)$$

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- All universal objects such as the kernel, cokernel, pullback, pushout, etc. are constructed componentwise.
- For each  $X \in \mathcal{A}$ , the evaluation functor

$$\text{ev}_X: (\mathcal{A}, \text{Ab}) \rightarrow \text{Ab}$$

is exact.

# Yoneda's Lemma

## Lemma (Yoneda)

For any  $X \in \mathcal{A}$  and any  $F \in (\mathcal{A}, \mathbf{Ab})$ ,

$$\text{Nat}((X, \_), F) \cong F(X)$$

- 1 The isomorphism is defined by  $\alpha \mapsto \alpha_X(1_X)$ .
- 2 The isomorphism is natural in both  $X$  and  $F$ .

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According to Martsinkovsky, Auslander used to say that if you cannot prove something using Yoneda's lemma, then it isn't true.



## Consequence of Yoneda's Lemma

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The bottom row is exact resulting in exactness of the top row.

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Therefore representable functors are projectives in  $(\mathcal{A}, \text{Ab})$ .

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is

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The **Yoneda embedding**  $Y: \mathcal{A} \rightarrow (\mathcal{A}, \text{Ab})$  defined by

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- 3 left exact



## Left Exactness of the Yoneda Embedding

Start with exact sequence

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Apply the left exact functor  $(\_, X)$ :

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Since the exactness of this sequence holds for all  $X \in \mathcal{A}$ , the sequence

$$0 \rightarrow (C, \_) \rightarrow (B, \_) \rightarrow (A, \_)$$

is exact in  $(\mathcal{A}, \text{Ab})$ .

# Consequences of Yoneda's Lemma

## Definition

Recall that an object  $A$  is called finitely generated if whenever  $A = \coprod_I A_i$ , this sum may be taken to be finite.

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# Consequences of Yoneda's Lemma

## Definition

Recall that an object  $A$  is called finitely generated if whenever  $A = \coprod_I A_i$ , this sum may be taken to be finite.

- Representable functors are finitely generated projectives in  $(\mathcal{A}, \text{Ab})$ .
- Representable functors generate  $(\mathcal{A}, \text{Ab})$  in the sense that given  $F: \mathcal{A} \rightarrow \text{Ab}$  there exists  $X_i \in \mathcal{A}$  and exact sequence

$$\coprod_i (X_i, \_ ) \rightarrow F \rightarrow 0$$

# Finitely Presented Functors

## Definition (Auslander)

A functor  $F: \mathcal{A} \rightarrow \text{Ab}$  is called **finitely presented** if there exists exact sequence

$$(Y, \_ ) \rightarrow (X, \_ ) \rightarrow F \rightarrow 0$$

In other words,  $F$  is a cokernel of a representable transformation.

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In other words,  $F$  is a cokernel of a representable transformation.

## Definition

$\text{fp}(\mathcal{A}, \text{Ab}) =$  category of finitely presented functors.



## Properties of Finitely Presented Functors

$$\text{fp}(\mathcal{A}, \text{Ab}) \hookrightarrow (\mathcal{A}, \text{Ab})$$

- $\text{fp}(\mathcal{A}, \text{Ab})$  is abelian, the inclusion functor is exact, and reflects exact sequences.

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- $\text{fp}(\mathcal{A}, \text{Ab})$  is abelian, the inclusion functor is exact, and reflects exact sequences.
- $\text{fp}(\mathcal{A}, \text{Ab})$  has enough projectives and they are precisely the representable functors.
- All finitely presented functors have projective dimension at most 2:

$$0 \rightarrow (Z, \_ ) \rightarrow (Y, \_ ) \rightarrow (X, \_ ) \rightarrow F \rightarrow 0$$

# Examples of Finitely Presented Functors

## Proposition (Auslander)

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- 1  $\text{Ext}^n(X, \_) \in \text{fp}(\text{Mod}(R^{op}), \text{Ab})$ .
- 2  $\_ \otimes X \in \text{fp}(\text{Mod}(R^{op}), \text{Ab})$  if and only if  $X \in \text{mod}(R^{op})$ .

## Construction of $w: \text{fp}(\mathcal{A}, \text{Ab}) \rightarrow \mathcal{A}$

Auslander constructed a contravariant functor

$$w: \text{fp}(\mathcal{A}, \text{Ab}) \rightarrow \mathcal{A}$$

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Step 3: The exact sequence

$$0 \rightarrow w(F) \rightarrow X \rightarrow Y$$

completely determines  $w$ .

# Properties

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- 2  $w$  is exact.
- 3  $w(X, \_ ) = X$ .

## What $w$ Measures

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- 2 All presentations of  $F$  arise from short exact sequences.
- 3 There exists short exact sequence in  $\mathcal{A}$

$$0 \rightarrow X \rightarrow Y \rightarrow Z \rightarrow 0$$

such that the following is a presentation of  $F$ :

$$0 \rightarrow (Z, \_) \rightarrow (Y, \_) \rightarrow (X, \_) \rightarrow F \rightarrow 0$$

# Zeroth Derived Functors

## Proposition (Auslander)

For any finitely presented functor  $F$  there is an exact sequence:

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- If  $\mathcal{A}$  has enough injectives, then  $(w(F), \_) = R^0 F$ .
- In this case  $F$  vanishes on injectives if and only if  $w(F) = 0$ .

# Finite Dimensional $k$ -Algebras

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- For a finite dimensional  $k$ - algebra  $\Lambda$ , the category  $\text{mod}(\Lambda^{op})$  is abelian and has enough injectives.
- Every finitely presented left  $\Lambda$ -module  $M$  is a finite direct sum of indecomposables

$$M = \coprod_{i=1}^n X_i$$

# Projective Covers

## Definition

Recall that an epimorphism  $f: P \rightarrow X$  from a projective  $P$  to object  $X$  is called a projective cover if

$$fh = f$$

implies that  $h$  is an isomorphism.



# Minimal Resolutions

## Definition

A projective resolution

$$\cdots P_k \longrightarrow P_{k-1} \longrightarrow \cdots P_1 \longrightarrow P_0 \longrightarrow X \longrightarrow 0$$

is a minimal projective resolution if each

$$P_n \longrightarrow \Omega^n X$$

is a projective cover.

# $\text{fp}(\text{mod}(\Lambda^{op}))$ Has Minimal Projective Resolutions

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## Proposition (Auslander)

All finitely presented functors  $F: \text{mod}(\Lambda^{op}) \rightarrow \text{Ab}$  have minimal projective resolutions.

- Given  $(X, \_ ) \rightarrow F \rightarrow 0$ , one can take  $X$  to have smallest dimension. This will be a projective cover.

# Simple Functors

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- 1  $S(N) \neq 0$
- 2 There is a projective cover  $(N, \_ ) \rightarrow S \rightarrow 0$ .

## Sketch of Proof

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- $x$  determines  $\varepsilon_x: (N, \_ ) \rightarrow S$  where  $\varepsilon_x(1_N) = x$ .

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- $x \neq 0$  implies  $\varepsilon_x \neq 0$
- Because  $S$  is simple,  $\varepsilon_x$  is an epimorphism.

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- Since  $S \neq 0$ , there exists  $N \in \text{mod}(\Lambda^{op})$  such that  $S(N) \neq 0$ .
- Since  $S(N) \neq 0$ , there exists non-zero  $x \in S(N)$ .
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- $x \neq 0$  implies  $\varepsilon_x \neq 0$
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- ∴  $(N, \_ ) \rightarrow S$  is a projective cover.
- Uniqueness of  $N$  follows from uniqueness of projective covers.

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Theorem (Auslander)

The simple functors are finitely presented in  $(\text{mod}(\Lambda^{op}), \text{Ab})$ .

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Recall that we are looking at the category

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## Proposition

Suppose that  $N$  is a non-injective indecomposable. Then

$$w(S_N) = 0.$$

## Proof

Since  $N$  is not injective,  $S_N(I) = 0$  for any indecomposable injective  $I$ .

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 $J = \coprod_k I_k$ .



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$$w(S_N) = 0$$

Hence there exists an exact sequence in  $\text{mod}(\Lambda^{op})$ :

$$0 \rightarrow N \rightarrow Y \rightarrow Z \rightarrow 0$$

such that

$$0 \rightarrow (Z, \_ ) \rightarrow (Y, \_ ) \rightarrow (N, \_ ) \rightarrow S_N \rightarrow 0$$

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**Step 1:** Take minimal projective presentation:

$$0 \rightarrow (Z, \_) \rightarrow (Y, \_) \rightarrow (N, \_) \rightarrow S_N \rightarrow 0$$

**Step 2:** Apply  $w$  to get the short exact sequence

$$0 \rightarrow N \rightarrow Y \rightarrow Z \rightarrow 0$$

## What Are Almost Split Sequences?

Start with any morphism  $u: N \rightarrow K$

$$\begin{array}{ccccccc} 0 & \longrightarrow & N & \xrightarrow{f} & Y & \longrightarrow & Z \longrightarrow 0 \\ & & \downarrow u & & & & \\ & & K & & & & \end{array}$$



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push out  
diagram

## Two Possibilities for $u$

$$\begin{array}{ccccccccc} 0 & \longrightarrow & (Z, \_) & \longrightarrow & (E, \_) & \longrightarrow & (K, \_) & \longrightarrow & F & \longrightarrow & 0 \\ & & \downarrow & & \downarrow & & \downarrow & & & & \\ & & 1 & & & & (u, \_) & & & & \\ 0 & \longrightarrow & (Z, \_) & \longrightarrow & (Y, \_) & \xrightarrow{(f, \_)} & (N, \_) & \longrightarrow & S_N & \longrightarrow & 0 \\ & & & & & & \downarrow & & & & \\ & & & & & & G & & & & \\ & & & & & & \downarrow & & & & \\ & & & & & & 0 & & & & \end{array}$$

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# Case 1: $\alpha = 0$

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$(u, \_)$  factors through  $(f, \_)$

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 \end{array}$$
  

$$\begin{array}{ccc}
 N & \xrightarrow{f} & Y \\
 \downarrow u & \swarrow & \\
 K & & 
 \end{array}$$

## Case 2: $\alpha = \text{epimorphism}$

$$\begin{array}{ccccccccc} 0 & \longrightarrow & (Z, \_) & \longrightarrow & (E, \_) & \longrightarrow & (K, \_) & \longrightarrow & F & \longrightarrow & 0 \\ & & \downarrow 1 & & \downarrow & & \downarrow (u, \_) & & \downarrow \alpha & & \\ 0 & \longrightarrow & (Z, \_) & \longrightarrow & (Y, \_) & \xrightarrow{(f, \_)} & (N, \_) & \longrightarrow & S_N & \longrightarrow & 0 \\ & & & & & & \downarrow & & \downarrow & & \\ & & & & & & G & & 0 & & \\ & & & & & & \downarrow & & & & \\ & & & & & & 0 & & & & \end{array}$$

$(u, \_)$  = epimorphism and hence  $u$  = section.

$$\begin{array}{ccccccccc}
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In this case  $u$  must be a section.



## What Are Almost Split Sequences?

The fact that  $f$  is left minimal follows from the minimality of the presentation

$$(Y, \_ ) \rightarrow (N, \_ ) \rightarrow S_N \rightarrow 0$$

# Almost Split Sequences

## Definition (Auslander, Reiten)

An exact sequence

$$0 \longrightarrow N \xrightarrow{f} Y \longrightarrow Z \longrightarrow 0$$

is **almost split** if

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Note: These are simply the properties of the sequences obtained by applying  $w$  to minimal projective resolutions of simple functors  $S_N$ .

## A Quote from Buchsbaum

David Buchsbaum in a personal communication to Robin Hartshorne:

“It was always a little difficult to know just what Maurice had in mind when he started on something. Certainly in the case of coherent functors, the choice of the term “coherent” indicates that he was onto the notion of finite presentation... when he first spoke to me about coherent functors, he didn’t speak about them in any way in connection with the applications he finally came up with. He was playing; his representable functors were his finitely generated projectives, and so his coherent functors generalized existing notions of the time (this is what he told me).”

# $\mathcal{A}$ -modules

$\mathcal{A}$  - any small pre-additive category.

## Definition

$$\text{Mod}(\mathcal{A}^{op}) = (\mathcal{A}, \text{Ab})$$

A left  $\mathcal{A}$ -module is a functor  $F: \mathcal{A} \rightarrow \text{Ab}$ .

In the general approach, functors are viewed as generalizations of modules.

## Left Modules Over a Ring

For the ring  $R$ , one recovers all left  $R$ -modules as follows:

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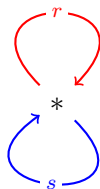
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# General Tensor Product

## Definition (Kan, Lawvere, Freyd, Ulmer)

Fisher-Palmquist in her dissertation studied the general tensor product

$$\otimes_{\mathcal{A}}: \text{Mod}(\mathcal{A}) \times \text{Mod}(\mathcal{A}^{op}) \rightarrow \text{Ab}$$

This bifunctor is completely determined by the following criterion:

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## What about Bi-modules?

The role of a bi-module is played by a bifunctor

$$b: \mathcal{A}^{op} \times \mathcal{A} \rightarrow \text{Ab}$$

for which

$$b(A, \_) \in \text{Mod}(\mathcal{A}^{op})$$

$$b(\_, A) \in \text{Mod}(\mathcal{A})$$

### Definition

$$[F \otimes_{\mathcal{A}} b](A) = F \otimes_{\mathcal{A}} b(A, \_)$$

$$[b \otimes_{\mathcal{A}} G](A) = b(\_, A) \otimes_{\mathcal{A}} G$$

# Bifunctors and Nat

## Definition (Fisher-Palmquist and Newell)

For  $F \in \text{Mod}(\mathcal{A}^{op})$ :

$$\text{Nat}(b, F)(A) = \text{Nat}(b(A, \_), F)$$

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For  $G \in \text{Mod}(\mathcal{A})$ :

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## Adjunction of $\otimes_{\mathcal{A}}$ and $\text{Nat}$

### Theorem (Fisher-Palmquist and Newell)

Let  $\mathcal{A}, \mathcal{B}$  be pre-additive categories. For any bifunctor

$$b: \mathcal{A}^{op} \times \mathcal{B}$$

The functor  $\_ \otimes b: \text{Mod}(\mathcal{A}) \rightarrow \text{Mod}(\mathcal{B}^{op})$  is the left adjoint to the functor  $\text{Nat}(b, \_)$ .

### Theorem (Fisher-Palmquist and Newell)

All adjunctions between  $\text{Mod}(\mathcal{A})$  and  $\text{Mod}(\mathcal{B}^{op})$  arise in this way.

# Duals

The role of the ring as a bi-module over itself is played by the bifunctor  $\text{Hom}: \mathcal{A}^{op} \times \mathcal{A} \rightarrow \text{Ab}$ .

Definition (Fisher-Palmquist and Newell)

For  $F \in \text{Mod}(\mathcal{A}^{op})$ , define  $F^* \in \text{Mod}(\mathcal{A})$  by

$$F^* := \text{Nat}(F, \text{Hom})$$

that is on any object  $A \in \mathcal{A}$

$$F^*(A) := \text{Nat}(F, \text{Hom}(A, \_))$$

## Proposition (Fisher-Palmquist and Newell)

For  $F \in \text{Mod}(\mathcal{A})$  there is a natural transformation  $\beta: \_ \otimes_{\mathcal{A}} F^* \rightarrow (F, \_)$  such that the following are equivalent:

- 1  $\beta: \_ \otimes_{\mathcal{A}} F^* \rightarrow (F, \_)$  is an isomorphism.
- 2  $\beta$  is an epimorphism.
- 3  $\beta_F$  is an epimorphism.
- 4  $F$  is a small projective in  $\text{Mod}(\mathcal{A}^{op})$ .

# Finitely Presented $\mathcal{A}$ -modules

## Definition

An object  $F$  of an abelian category is called **finitely presented** if  $(F, \_)$  commutes with direct limits.

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- $\text{mod}(\mathcal{A}^{op})$  is an additive category with cokernels.
- $\text{mod}(\mathcal{A}^{op})$  will not be abelian in general.
- $\text{fp}(\text{mod}(\mathcal{A}^{op}), \text{Ab})$  is abelian and satisfies some very nice properties.

# Examples of Finitely Presented Functors

## Proposition

For a small pre-additive category  $\mathcal{A}$ , the functor  $\_ \otimes F: \text{Mod}(\mathcal{A}) \rightarrow \text{Ab}$  is finitely presented if and only if  $F \in \text{mod}(\mathcal{A}^{op})$ . In this case  $\_ \otimes F \in \text{fp}(\text{mod}(\mathcal{A}^{op}), \text{Ab})$ .

# Summary

## Module Theoretic Concept

$R$  - Ring

$\text{Mod}(R)$

$\text{mod}(R)$

Bi-Module

Finitely Generated Projectives

$\otimes_R$

$\text{Hom}(\_, R)$

## Functor Theoretic Concept

$\mathcal{A}$  - Preadditive Category

$\text{Mod}(\mathcal{A})$

$\text{mod}(\mathcal{A})$

Bifunctor

Direct Summands of  $\coprod_{i=1}^n (X_i, \_)$

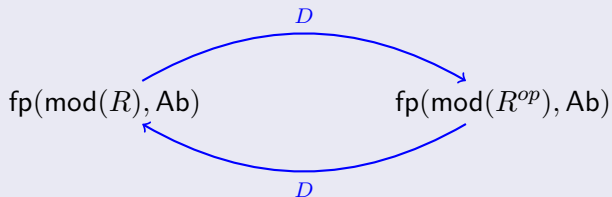
$\otimes_{\mathcal{A}}$

$\text{Nat}(\_, \text{Hom})$

# Auslander-Gruson-Jensen Duality

## Theorem (Auslander)

Let  $R$  be a Noetherian ring. There is a duality



given by

$$DF(X) := \text{Nat}(F, \_ \otimes X)$$

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# Properties of $D$

## Proposition (Auslander)

The duality  $D$  satisfies the following. For  $X \in \text{mod}(R^{op})$

- 1  $D(X, \_ ) = \_ \otimes X$
- 2  $D(\_ \otimes X) = (X, \_ )$

## Appearances of $D$

- It was first discovered by Auslander
- It was independently discovered by Gruson and Jensen.
- Hartshorne found  $D$  using an approach similar to Auslander.
- Krause showed how to obtain  $D$  from a universal property.
- It was discovered model theoretically through work of Mike Prest, Ivo Herzog, and Kevin Burke.
- Russell recovered  $D$  in a different way while extending the concept of linkage of modules to finitely presented functors.

## Free Abelian Category

Let  $\mathcal{A}$  denote any pre-additive category. A **free abelian category on  $\mathcal{A}$**  is an abelian category  $\text{Ab}(\mathcal{A})$  together with an additive functor  $j: \mathcal{A} \rightarrow \text{Ab}(\mathcal{A})$  satisfying the following universal property:

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## Theorem (Gruson, Krause)

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## The Functorial Approach

The category  $\text{fp}(\text{mod}(\mathcal{A}^{op}), \text{Ab})$  is a universal solution to the abelianization problem.

ppf's

Notation: (Last Time)

$R$  - ring

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## Definition

A **pp-formula**, abbreviated ppf, is a formula of the form

$$\varphi(\bar{x}) \iff \exists \bar{y} \ A\bar{x} + B\bar{y} = 0$$

# Examples

## Example

Take  $A = r \in R$ .  $B = 0$ . Then the following annihilator equation

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Take  $A$  to be an  $n \times n$  matrix with entries in  $R$  and again take  $B = 0$ . Then the matrix equation

$$A\bar{x} = 0$$

is a ppf.

## A Very Concrete Example



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## Example

Take  $R = \mathbb{Z}$  and

$$A = \begin{pmatrix} 2 & 2 \\ 1 & 2 \\ 3 & 4 \end{pmatrix} \quad B = \begin{pmatrix} 2 \\ 1 \\ 2 \end{pmatrix}$$

Then the following is a ppf:

$\exists y$  such that

$$2x_1 + 2x_2 + 2y = 0$$

$$x_1 + 2x_2 + y = 0$$

$$3x_1 + 4x_2 + 2y = 0$$

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$$F_{\varphi}(M) = \left\{ \bar{x} \in M^{l(\bar{x})} \mid \exists \bar{y} \in M^{l(\bar{y})} \ A\bar{x} + B\bar{y} = 0 \right\}$$

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- Given a morphism  $f: M \rightarrow N$ ,

$$F_\varphi(f): F_\varphi(M) \rightarrow F_\varphi(N)$$

is defined to be the restriction of  $f$  to these subgroups.

# The Functor Determined by a ppf

## Proposition (Prest)

For each ppf  $\varphi$ , the functor  $F_\varphi: \text{mod}(R^{op}) \rightarrow \text{Ab}$  is a finitely presented functor.

# pp-pairs

## Definition

A **pp-pair**  $\varphi/\psi$  is a pair  $(\varphi, \psi)$  of ppf's in the same number of variables such that  $\psi$  implies  $\varphi$ .

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## Theorem (Herzog)

- 1 The pp-pairs form a category denoted  $\mathbb{L}_R^{\text{eq}+}$
- 2 The category  $\mathbb{L}_R^{\text{eq}+}$  is abelian.



# An Equivalence of Categories

## Theorem (Burke)

The categories  $\mathbb{L}_R^{\text{eq}+}$  and  $\text{fp}(\text{mod}(R^{\text{op}}), \text{Ab})$  are equivalent.

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$$\mathbb{L}_R^{\text{eq}^+} \cong \text{fp}(\text{mod}(R^{\text{op}}), \text{Ab})$$

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### Theorem

The duality  $D$  on  $\mathbb{L}_R^{\text{eq}^+}$  is indeed the Auslander-Gruson-Jensen duality.

## The Merit of Auslander's Approach

- I. The Functorial Approach has applications to representation theory. (e.g. Almost Split Sequences.)
- II. The Functorial Approach generalizes module theoretic concepts.
- III. The Functorial Approach produces a universal solution to the abelianization problem.
- IV. The Functorial Approach establishes connections with other fields which are not at all obvious. (e.g. Model Theory)



Thank You!