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THE CHARACTERISTIC POLYNOMIALS OF ABELIAN VARIETIES OF DIMENSIONS 3 OVER FINITE FIELDS

SAFIA HALOUI

ABSTRACT. We describe the set of characteristic polynomials of abelian varieties of dimension 3 over finite fields.

1. Introduction and results

The isogeny class of an abelian variety over a finite field is determined by its characteristic polynomial (i.e. the characteristic polynomial of its Frobenius endomorphism). We describe the set of characteristic polynomials which occur in dimension 3; this completes the work of Xing [10] (we will recall his results in this section). Since the problem has been solved in dimensions 1 and 2 (see [8], [6] and [3]), it is sufficient to focus on simple abelian varieties.

Let p(t) be the characteristic polynomial of an abelian variety of dimension g over \mathbb{F}_q (with $q=p^n$). Then the set of its roots has the form $\{\omega_1,\overline{\omega_1},\ldots,\omega_q,\overline{\omega_q}\}$ where the ω_i 's are q-Weil numbers. A monic polynomial with integer coefficients which satisfies this condition is called a Weil polynomial. Thus every Weil polynomial of degree 3 has the form

$$p(t) = t^6 + a_1 t^5 + a_2 t^4 + a_3 t^3 + q a_2 t^2 + q^2 a_1 + q^3$$

for certains integers a_1 , a_2 and a_3 . The converse is false; indeed, since the absolute value of the roots of p(t) is prescribed (equal to \sqrt{q}), its coefficients have to be bounded. Section 2 is dedicated to the proof of the following proposition:

Theorem 1.1. Let $p(t) = t^6 + a_1 t^5 + a_2 t^4 + a_3 t^3 + q a_2 t^2 + q^2 a_1 t + q^3$ be a polynomial with integer coefficients. Then p(t) is a Weil polynomial if and only if the following conditions hold

- (1) $|a_1| \leq 6\sqrt{q}$,
- (2) $4\sqrt{q}|a_1| 9q \le a_2 \le \frac{a_1^2}{3} + 3q$, (3) $-\frac{2a_1^3}{27} + \frac{a_1a_2}{3} + qa_1 \frac{2}{27}(a_1^2 3a_2 + 9q)^{3/2} \le a_3 \le -\frac{2a_1^3}{27} + \frac{a_1a_2}{3} + qa_1 + \frac{2}{27}(a_1^2 3a_2 + 9q)^{3/2}$,
- $(4) -2qa_1 2\sqrt{q}a_2 2q\sqrt{q} \le a_3 \le -2qa_1 + 2\sqrt{q}a_2 + 2q\sqrt{q}.$

The Honda-Tate Theorem gives us a bijection between the set of conjugacy classes of q-Weil numbers and the set of isogeny classes of simple abelian varieties over \mathbb{F}_q . Moreover, the characteristic polynomial of a simple abelian variety of dimension 3 over \mathbb{F}_q has the form $p(t) = h(t)^e$ where h(t) is an irreducible Weil polynomial and e is an integer. Obviously e must divide 6.

As remarked by Xing [10], e cannot be equal to 2 or 6, otherwise p(t) would have a real root and real q-Weil numbers $(\pm \sqrt{q})$ correspond to dimension 1 or 2 (according to the parity of n) abelian varieties (see [8]).

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When e = 3, using a result from Maisner and Nart [3, Proposition 2.5], we get the following proposition, proved by Xing, which gives us the form of h(t).

Proposition 1.2 (Xing). Let $\beta \in \mathbb{Z}$, $|\beta| < 2\sqrt{q}$. There exists a simple abelian variety of dimension 3 over \mathbb{F}_q with $h(t) = t^2 + \beta t + q$ if and only if 3 divides n and $\beta = aq^{1/3}$, where a is an integer coprime with p.

It follows that a simple abelian variety of dimension 3 with a reducible characteristic polynomial has p-rank 0; this fact was proved by González [2]. Note that the Newton polygon of a polynomial from Proposition 1.2 is of type 1/3 (see Figure 4. Section 4).

It remains to see what happens when p(t) is irreducible (e = 1). First, we need an irreducibility criterion for Weil polynomials. In section 3, we prove the following proposition:

Proposition 1.3. Set

$$r = -\frac{a_1^2}{3} + a_2 - 3q$$
 and $s = \frac{2a_1^3}{27} - \frac{a_1a_2}{3} - qa_1 + a_3$

and

$$\Delta = s^2 - \frac{4}{27}r^3$$
 and $u = \frac{-s + \sqrt{\Delta}}{2}$.

Then p(t) is irreducible over \mathbb{Q} if and only if $\Delta \neq 0$ and u is not a cube in $\mathbb{Q}(\sqrt{\Delta})$.

Next, we determine the possible Newton polygons for p(t); this is the aim of Section 4.

Theorem 1.4. Let $p(t) = t^6 + a_1 t^5 + a_2 t^4 + a_3 t^3 + q a_2 t^2 + q^2 a_1 + q^3$ be an irreducible Weil polynomial. Then p(t) is the characteristic polynomial of an abelian variety of dimension 3 if and only if one of the following conditions holds

- (1) $v_p(a_3) = 0$,
- (2) $v_p(a_2) = 0$, $v_p(a_3) \ge n/2$ and p(t) has no root of valuation n/2 in \mathbb{Q}_p , (3) $v_p(a_1) = 0$ $v_p(a_2) \ge n/2$, $v_p(a_3) \ge n$ and p(t) has no root of valuation n/2
- (4) $v_p(a_1) \ge n/3$, $v_p(a_2) \ge 2n/3$, $v_p(a_3) = n$ and p(t) has no root \mathbb{Q}_p ,
- (5) $v_p(a_1) \ge n/2$, $v_p(a_2) \ge n$, $v_p(a_3) \ge 3n/2$ and p(t) has no root nor factor of degree 3 in \mathbb{Q}_p .

The p-ranks of abelian varieties in cases 1, 2, 3, 4 and 5 are respectively 3, 2, 1, 0 and 0. The abelian varieties in case 5 are supersingular.

It is possible to make condition (5) of Proposition 1.4 more explicit. Indeed, in [5], Nart and Ritzenthaler gave the list of q-Weil numbers of degree 6. We derive from it the following proposition (see Section 5).

Proposition 1.5. If p(t) is the characteristic polynomial of a supersingular abelian variety of dimension 3 then one of the following conditions holds

- (1) $(a_1, a_2, a_3) = (q^{1/2}, q, q^{3/2})$ or $(-q^{1/2}, q, -q^{3/2})$, q is a square and 7 $/\!\!/(p^3 q^{3/2})$
- (2) $(a_1, a_2, a_3) = (0, 0, q^{3/2})$ or $(0, 0, -q^{3/2})$, q is a square and $3 \not (p-1)$, (3) $(a_1, a_2, a_3) = (\sqrt{pq}, 3q, q\sqrt{pq})$ or $(-\sqrt{pq}, 3q, -q\sqrt{pq})$, p = 7 and q is not a
- (4) $(a_1, a_2, a_3) = (0, 0, q\sqrt{pq})$ or $(0, 0, -q\sqrt{pq})$, p = 3 and q is not a square.

2. The coefficients of Weil Polynomials of degree 6

In order to prove Theorem 1.1, we use Robinson's method (described by Smyth in $[7, \S 2, Lemma]$). Fixing a polynomial of degree 3 and doing an explicit calculation we get the following lemma:

Lemma 2.1. Let $f(t) = t^3 + r_1t^2 + r_2t + r_3$ be a monic polynomial of degree 3 with real coefficients. Then f(t) has all real positive roots if and only if the following conditions hold:

- (1) $r_1 \leq 0$,
- (2) $0 \le r_2 \le \frac{r_1^2}{3}$,

$$(3) \quad \frac{r_1 r_2}{3} - \frac{2r_1^3}{27} - \frac{2}{27} (r_1^2 - 3r_2)^{3/2} \le r_3 \le \frac{r_1 r_2}{3} - \frac{2r_1^3}{27} + \frac{2}{27} (r_1^2 - 3r_2)^{3/2} \text{ and } r_3 \le 0.$$

Proof. If f(t) has all real positive roots, so do all its derivates. Thus condition (1) is obvious. Let $f'_0(t)$ be the primitive of f''(t) vanishing at 0; if we add a constant to $f'_0(t)$ so that all its roots are real and positive, we obtain (2). Repeating this process with a primitive of f'(t) vanishing at 0, we obtain (3).

Let $x = (x_1, x_2, x_3) \in \mathbb{C}^3$ and set

(1)
$$p_x(t) = \prod_{i=1}^{3} (t^2 + x_i t + q),$$

$$f_x(t) = \prod_{i=1}^{3} (t - (2\sqrt{q} + x_i))$$
 and $\widetilde{f}_x(t) = \prod_{i=1}^{3} (t - (2\sqrt{q} - x_i)).$

If $p_x(t)$ is a Weil polynomial (thus $x_i = -(\omega_i + \overline{\omega_i})$, where $\omega_1, \overline{\omega_1}, \dots, \omega_g, \overline{\omega_g}$ are the roots of $p_x(t)$) then the roots of $f_x(t)$ and $\widetilde{f}_x(t)$ are real and positive. Conversely, suppose that the roots of $f_x(t)$ and $\widetilde{f}_x(t)$ are real and positive, then if $p_x(t)$ has integer coefficients and it is a Weil polynomial.

For i = 1, 2, 3, let a_i denote the coefficient associated to $p_x(t)$ in Proposition 1.1, s_i the *i*th symmetric function of the x_i 's and r_i and \tilde{r}_i the respective *i*th coefficients of $f_x(t)$ and $\tilde{f}_x(t)$.

Expanding the expression of $p_x(t)$ in (1), we find

$$a_1 = s_1$$

 $a_2 = s_2 + 3q$
 $a_3 = s_3 + 2qs_1$.

In the same way, expanding the expressions of $f_x(t)$ and $\widetilde{f}_x(t)$, we find

$$\begin{array}{lllll} r_1 & = & -6\sqrt{q} - s_1 & \qquad & \widetilde{r}_1 & = & -6\sqrt{q} + s_1 \\ r_2 & = & 12q + 4\sqrt{q}s_1 + s_2 & \text{and} & \widetilde{r}_2 & = & 12q - 4\sqrt{q}s_1 + s_2 \\ r_3 & = & -8q\sqrt{q} - 4qs_1 - 2\sqrt{q}s_2 - s_3 & \qquad & \widetilde{r}_3 & = & -8q\sqrt{q} + 4qs_1 - 2\sqrt{q}s_2 + s_3. \end{array}$$

Therefore we have

$$\begin{array}{llll} r_1 & = & -6\sqrt{q} - a_1 & \qquad & \widetilde{r}_1 & = & -6\sqrt{q} + a_1 \\ r_2 & = & 9q + 4\sqrt{q}a_1 + a_2 & \text{and} & \widetilde{r}_2 & = & 9q - 4\sqrt{q}a_1 + a_2 \\ r_3 & = & -2q\sqrt{q} - 2qa_1 - 2\sqrt{q}a_2 - a_3 & \qquad & \widetilde{r}_3 & = & -2q\sqrt{q} + 2qa_1 - 2\sqrt{q}a_2 + a_3. \end{array}$$

The polynomials $f_x(t)$ and $\widetilde{f}_x(t)$ satisfy condition 1 of Lemma 2.1 if and only if

$$|a_1| < 6\sqrt{q}$$
.

The polynomials $f_x(t)$ and $\tilde{f}_x(t)$ satisfy condition 2 of Lemma 2.1 if and only if

$$4\sqrt{q}|a_1| - 9q \le a_2 \le \frac{a_1^2}{3} + 3q.$$

We find that the first inequality in condition 3 of Lemma 2.1 holds for $f_x(t)$ if and only if it holds for $\widetilde{f}_x(t)$ if and only if

$$-\frac{2a_1^3}{27} + \frac{a_1a_2}{3} + qa_1 - \frac{2}{27}(a_1^2 - 3a_2 + 9q)^{3/2} \le a_3 \le -\frac{2a_1^3}{27} + \frac{a_1a_2}{3} + qa_1 + \frac{2}{27}(a_1^2 - 3a_2 + 9q)^{3/2}.$$

Finally, $f_x(t)$ and $\tilde{f}_x(t)$ satisfy the second inequality in condition 3 of Lemma 2.1 if and only if

$$-2qa_1 - 2\sqrt{q}a_2 - 2q\sqrt{q} \le a_3 \le -2qa_1 + 2\sqrt{q}a_2 + 2q\sqrt{q}$$
.

Hence Theorem 1.1 is proved.

3. IRREDUCIBLE WEIL POLYNOMIALS

Given a Weil polynomial $p(t) = \prod_{i=1}^{g} (t^2 + x_i t + q)$, we consider its real Weil polynomial $f(t) = \prod_{i=1}^{g} (t + x_i)$.

Proposition 3.1. Suppose that $g \ge 2$ and $p(t) \ne (t - \sqrt{q})^2 (t + \sqrt{q})^2$. Then p(t) is irreducible over \mathbb{Q} if and only if f(t) is irreducible over \mathbb{Q} .

Proof. Suppose that p(t) is reducible. It is sufficient to prove that p(t) factors as the product of two Weil polynomials (then f(t) will be the product of its associated polynomials). The polynomial p(t) decomposes as $p(t) = (t - \sqrt{q})^{2k}(t + \sqrt{q})^{2\ell}h(t)$ where h(t) has no real root. If $k \neq \ell$, $\sqrt{q} \in \mathbb{Q}$ and p(t) factors obviously. The same conclusion holds when $k = \ell \neq 0$ and $h(t) \neq 1$. If $k = \ell > 1$ and h(t) = 1, we have the decomposition $p(t) = [(t - \sqrt{q})^2(t + \sqrt{q})^2][(t - \sqrt{q})^{2k-2}(t + \sqrt{q})^{2\ell-2}]$. Finally, if $k = \ell = 0$, by hypothesis h(t) is the product of two monic non-constant polynomials which are obviously Weil polynomials.

Conversely, if f(t) is reducible, we can assume (possibly changing labels of the x_i 's) that there exists an integer k between 1 and (g-1) such that the polynomials $\prod_{i=1}^k (t+x_i)$ and $\prod_{i=k+1}^g (t+x_i)$ have integer coefficients. Thus $\prod_{i=1}^k (t^2+x_it+q)$ and $\prod_{i=k+1}^g (t^2+x_it+q)$ have integer coefficients and their product is p(t).

Now we focus on the case g = 3. In order to know if p(t) is irreducible, it is sufficient to check if f(t) (a polynomial of degree 3 with all real roots) is irreducible. To do this, we use Cardan's method. Let us recall quickly what it is.

To do this, we use Cardan's method. Let us recall quickly what it is. Fixing a polynomial $h(t) = t^3 + rt + s$, we set $\Delta = s^2 - \frac{4}{27}r^3$. If h(t) has all real roots, we have $\Delta \leq 0$. Moreover, $\Delta = 0$ if and only if h(t) has a double root. When $\Delta < 0$, we set $u = \frac{-s + \sqrt{\Delta}}{2}$. The roots of h(t) are in the form $(v + \overline{v})$ where v is a cube root of u.

We apply this to $f(t) = t^3 + a_1t^2 + (a_2 - 3q)t + (a_3 - 2qa_1)$:

Proof of proposition 1.3. We set $h(t) = t^3 + rt + s$ so that $f(t) = h(t + \frac{a_1}{3})$. The polynomial f(t) is reducible if and only if it has a root in \mathbb{Q} if and only if h(t) has a root in \mathbb{Q} .

If $\Delta = 0$, f(t) is reducible. Suppose that $\Delta < 0$. If u is the cube of a certain $v \in \mathbb{Q}(\sqrt{\Delta})$, we have obviously $(v + \overline{v}) \in \mathbb{Q}$. Conversely, if h(t) has a root in \mathbb{Q} then u has a cube root v = a + ib with $a \in \mathbb{Q}$ and we have

$$u = v^3 = (a^3 - 3ab^2) + ib(3a^2b - b^2).$$

If $a \neq 0$, identifying real parts in the last equality, we see that $b^2 \in \mathbb{Q}$, then, identifying imaginary parts, $b \in \mathbb{Q}(\sqrt{-\Delta})$. Therefore $v \in \mathbb{Q}(\sqrt{\Delta})$. If a = 0, then s = 0 and $\Delta = \frac{4}{27}r^3 = (\frac{2}{3}r)^2\frac{r}{3}$. Thus $u = \frac{1}{2}\sqrt{\frac{4}{27}r^3} = (\sqrt{\frac{r}{3}})^3$ is a cube in $\mathbb{Q}(\sqrt{\Delta}) = \mathbb{Q}(\sqrt{\frac{r}{3}})$.

4. Newton Polygons

Let p(t) be an irreducible Weil polynomial of degree 3 and e the least common denominator of $v_p(f(0))/n$ where f(t) runs through the irreducible factors of p(t) over \mathbb{Q}_p (the field of p-adic numbers). By [4], $p(t)^e$ is the characteristic polynomial of a simple abelian variety. Thus p(t) is the characteristic polynomial of an abelian variety of dimension 3 if and only if e is equal to 1 that is, $v_p(f(0))/n$ are integers. One way to obtain information about p-adic valuations of the roots of p(t) is to study its Newton polygon (see [9]). The condition $v_p(f(0))/n$ are integers implies that the projection onto the x-axis of an edge of the Newton polygon having a slope $\ell n/k$ (with $pgcd(\ell,k)=1$) has length a multiple of k. We graph the Newton polygons satisfying this condition and in each case, we give a necessary and sufficient condition to have e=1. The obtained results are summarized in Theorem 1.4.

Ordinary case: $v_p(a_3) = 0$

The Newton polygon of p(t) is represented in Figure 1 and we always have e = 1.

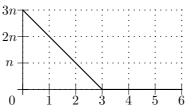


FIGURE 1. Ordinary case

p-rank 2 case: $v_{\mathbf{p}}(\mathbf{a_3})>0$ and $v_{\mathbf{p}}(\mathbf{a_2})=0$

The only Newton polygon for which e = 1 is represented in Figure 2.

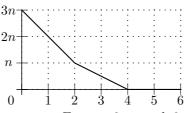


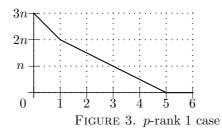
FIGURE 2. p-rank 2 case

This is the Newton polygon of p(t) if and only if $v_p(a_3) \ge n/2$. If this condition holds, p(t) has a factor in \mathbb{Q}_p of degree 2 with roots of valuation n/2 and thus e = 1 if and only if this factor is irreducible, that is, if and only if p(t) has no root of valuation n/2 in \mathbb{Q}_p (note that when n is odd, this last condition always holds).

p-rank 1 case: $v_{p}(a_{3}) > 0$, $v_{p}(a_{2}) > 0$ and $v_{p}(a_{1}) = 0$

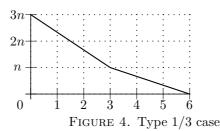
The only Newton polygon for which e=1 is represented in Figure 3.

This is the Newton polygon of p(t) if and only if $v_p(a_2) \ge n/2$ and $v_p(a_3) \ge n$. If these conditions hold, p(t) has a factor in \mathbb{Q}_p of degree 4 with roots of valuation n/2 and thus e = 1 if and only if this factor has no root in \mathbb{Q}_p , that is, if and only if p(t) has no root of valuation n/2 in \mathbb{Q}_p .



p-rank 0 case: $v_p(a_3)>0,\,v_p(a_2)>0$ and $v_p(a_1)>0$

There are two Newton polygons for which e=1. One is represented in Figure 4.



This is the Newton polygon of p(t) if and only if $v_p(a_1) \geq n/3$, $v_p(a_2) \geq 2n/3$ and $v_p(a_3) = n$. If these conditions hold, p(t) has two factors in \mathbb{Q}_p of degree 3, one with roots of valuation 2n/3 and the other with roots of valuation n/3; e = 1 if and only if those factors are irreducible in \mathbb{Q}_p , that is, if and only if p(t) has no root in \mathbb{Q}_p .

The other Newton polygon is represented in Figure 5; the corresponding abelian varieties are supersingular.

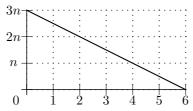


FIGURE 5. Supersingular case

This is the Newton polygon of p(t) if and only if $v_p(a_1) \ge n/2$, $v_p(a_2) \ge n$ and $v_p(a_3) \ge 3n/2$. If these conditions hold, e = 1 if and only if p(t) has no root nor factor of degree 3 in \mathbb{Q}_p .

5. Supersingular case

Nart and Ritzenthaler [5] proved that the only supersingular q-Weil numbers of degree six are

$$\begin{array}{ll} \pm \sqrt{q}\zeta_7, & \pm \sqrt{q}\zeta_9, & \text{if } q \text{ is a square,} \\ \sqrt{q}\zeta_{28} \ (p=7), & \sqrt{q}\zeta_{36} \ (p=3), & \text{if } q \text{ is not a square,} \\ \end{array}$$

where ζ_n is a primitive *n*th root of unity.

We will use this result to obtain a list of possible supersingular characteristic polynomials as stated in Proposition 1.5. We will have to calculate the minimal polynomial of some algebraic integers; in order to do this, we will often use the (trivial) fact that if α is a root of $f(t) = \sum_{i=0}^n b_i t^{n-i}$ and $a \in \mathbb{C}$ then $a\alpha$ is a root of $f_a(t) = \sum_{i=0}^n b_i a^i t^{n-i}$. We denote by $\phi_n(t)$ the nth cyclotomic polynomial.

• If q is a square, as $\phi_7(t)=t^6+t^5+t^4+t^3+t^2+t+1$, the minimal polynomial of $\sqrt{q}\zeta_7$ (respectively $-\sqrt{q}\zeta_7$) is $p(t)=t^6+q^{1/2}t^5+qt^4+q^{3/2}t^3+q^2t^2+q^{5/2}t+q^3$ (resp. $p(t)=t^6-q^{1/2}t^5+qt^4-q^{3/2}t^3+q^2t^2-q^{5/2}t+q^3$). If $p\neq 7$, p(t) has no factor of degree 1 and 3 over \mathbb{Q}_p if and only if \mathbb{Q}_p and its cubic extensions do not contain a 7th primitive root of unity; this is equivalent (see [1, Proposition 2.4.1., p.53]) to

$$7 / (p^3 - 1).$$

In the same way, $\phi_9(t) = t^6 + t^3 + 1$ and the minimal polynomial of $\sqrt{q}\zeta_9$ (respectively $-\sqrt{q}\zeta_9$) is $p(t) = t^6 + q^{3/2}t^3 + q^3$ (resp. $p(t) = t^6 - q^{3/2}t^3 + q^3$). If $p \neq 3$, p(t) have no factor of degree 1 and 3 over \mathbb{Q}_p if and only if

$$3 / (p-1).$$

If p=7 in the first case or p=3 in the second case, p(t) is irreducible over \mathbb{Q}_p (apply Eisenstein's Criterion to p(t+1)).

• Suppose that q is not a square. When p=7, as $\phi_{28}(t)=t^{12}-t^{10}+t^8-t^6+t^4-t^2+1$, the monic polynomial with roots $\sqrt{q}\zeta_{28}$ is $t^{12}-qt^{10}+q^2t^8-q^3t^6+q^4t^4-q^5t^2+q^6$ which is the product of

$$t^{6} + \sqrt{pq}t^{5} + 3qt^{4} + q\sqrt{pq}t^{3} + 3q^{2}t^{2} + q^{2}\sqrt{pq}t + q^{3}$$

and

$$t^6 - \sqrt{pq}t^5 + 3qt^4 - q\sqrt{pq}t^3 + 3q^2t^2 - q^2\sqrt{pq}t + q^3.$$

When p=3, as $\phi_{36}(t)=t^{12}-t^6+1$, the monic polynomial with roots $\sqrt{q}\zeta_{36}$ is $t^{12}-q^3t^6+q^6$ which is the product of

$$t^6 + q\sqrt{pq}t^3 + q^3$$

and

$$t^6 - q\sqrt{pq}t^3 + q^3.$$

The resulting polynomials are characteristic polynomials of abelian varieties of dimension 3 (see [5]).

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