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# **On the Kneser–Tits problem**

GOPAL PRASAD and M. S. RAGHUNATHAN

# Introduction

Let G be a semi-simple, simply connected algebraic group defined, isotropic and simple over a (commutative) field k. Let G(k) be the group of k-rational points of G and  $G(k)^+$  be the normal subgroup of G(k) generated by the k-rational points of the unipotent radicals of parabolic k-subgroups of G. The Kneser-Tits problem referred to in the title is the following: Is  $G(k)^+ = G(k)$  for every G as above? The main object of this paper is to prove that for a field k, the Kneser-Tits problem has an affirmative solution iff  $G(k)^+ = G(k)$  for all simply connected, k-simple groups G of k-rank 1. This reduction of the Kneser-Tits problem is an immediate consequence of Theorem A proved below. After this work was complete, we learnt from Armand Borel that Theorem A was conjectured by Jacques Tits in a lecture at the Institute for Advanced Study (Princeton), and was proved by him for some fields by a method different from ours.

The proof of Theorem A depends on a theorem on Galois cohomology (Theorem B) which may be of some independent interest.

In case k is a local field, the Kneser-Tits problem has an affirmative solution. This was essentially proved by V. P. Platonov [4] using the known results on classical groups and detailed knowledge of classification. He also gave the first examples of fields for which the Kneser-Tits problem has a negative answer (see Tits [8] for a survey). In §2 of this paper we use the reduction of the Kneser-Tits problem to rank 1 groups stated above to provide a simple proof of its affirmative solution for the local fields. This simple proof devised by the first-named author was the starting point of the present work. We hope to come back to the problem for global fields in the near future.

**1.1.** Let k be a (commutative) field,  $\mathscr{K}$  be a fixed separable closure of k and let  $\Gamma = \text{Gal}(\mathscr{K}/k)$ . Let G be a semi-simple, simply connected group defined over k. Let S be a maximal k-split torus of G. Let dim S = r (:= k-rank G). We assume that r > 0 i.e., G is isotropic over k; we also assume that G is k-simple, i.e., it has no proper connected normal subgroup defined over k.

**1.2.** Let T be a maximal torus of G containing S and defined over k. Let  $\Phi$  be the set of roots of G relative to T. We fix a Borel subgroup B defined over  $\mathcal{K}$ ,  $B \supset T$ , and contained in a minimal parabolic k-subgroup of G. This induces an ordering on  $\Phi$ ; let  $\Delta$  be the set of all simple roots with respect to this ordering. Let  $\Delta_0$  be the subset of  $\Delta$  consisting of those roots which are trivial on S. There is an action of  $\Gamma$  on  $\Delta$  (the \*-action) defined in Tits [7: §2.3]; both  $\Delta_0$  and  $\Delta - \Delta_0$  are stable under this action. Since k-rank G = r, there are  $r \Gamma$ -orbits in  $\Delta - \Delta_0$ .

**1.3.** For a simple root a, let  $U_a$  and  $U_{-a}$  be the root subgroups associated with a and -a respectively;  $U_a$  and  $U_{-a}$  are connected unipotent  $\mathcal{K}$ -subgroups of G, of dimension 1, normalized by T. Since G is simply connected,  $\forall a \in \Delta$ , the subgroup generated by  $U_a$  and  $U_{-a}$  is  $\mathcal{K}$ -isomorphic to  $SL_2$ ; let  $T_a$  be its intersection with T, then  $T_a$  is a one dimensional torus defined over  $\mathcal{K}$ , and as G is simply connected, T is a direct product of the  $T_a(a \in \Delta)$ . For a subset  $\Theta$  of  $\Delta$ , let  $T_{\Theta}$  be the subtorus generated by the tori  $T_a$ ,  $a \in \Theta$ .

**1.4.** For a k-subgroup H of G, as usual, H(k) will denote the group of k-rational points of H, and  $H(k)^+$  will denote the normal subgroup of H(k) generated by the k-rational points of the unipotent radicals of the parabolic k-subgroups of H.

**1.5.** For a  $\Gamma$ -stable subset  $\Theta$  of  $\Delta - \Delta_0$ , let  $T^{\Theta}$  be the identity component of  $\bigcap_{\theta \in \Theta \cup \Delta_0} \operatorname{Ker} \theta$ . Let  $\mathcal{M}_{\Theta}$  be the centralizer of  $T^{\Theta}$  in G. Then  $\mathcal{M}_{\Theta}$  is a connected reductive subgroup defined over k; in fact it is a Levi k-subgroup of a parabolic k-subgroup of G (cf. Tits [7: §2.5.4]). Let  $\mathcal{G}_{\Theta}$  be the derived subgroup of  $\mathcal{M}_{\Theta}$ . Then  $\mathcal{G}_{\Theta}$  is a semi-simple, simply connected, k-subgroup of G, and hence it is a direct product of its connected k-simple normal subgroups. Let  $A_{\Theta}$  be the product of all connected k-simple normal subgroups of  $\mathcal{G}_{\Theta}$  which are anisotropic over k, and  $G_{\Theta}$  be the product of all connected k-simple normal subgroups of  $\mathcal{G}_{\Theta}$  is a direct product (over k) of  $A_{\Theta}$  and  $G_{\Theta}$ . It is easily seen that  $\mathcal{M}_{\Theta}$  is a semi-direct product of  $T_{\Theta'}$  and  $\mathcal{G}_{\Theta}$ ; where  $\Theta'$  is the complement of  $\Theta$  in  $\Delta - \Delta_0$ . Hence, the natural homomorphism:  $\mathcal{M}_{\Theta}(\mathcal{X}) \to (\mathcal{M}_{\Theta}/\mathcal{G}_{\Theta})(\mathcal{X})$  is surjective.

We shall denote the centralizer of S in G by  $\mathcal{M}$  and sometimes also by M. Let  $\mathcal{G}$  be the derived group of  $\mathcal{M}$ . Then  $\mathcal{M} = \mathcal{M}_{\emptyset}$ ;  $\mathcal{G} = \mathcal{G}_{\emptyset}$  (where  $\emptyset$  is the empty subset of  $\Delta - \Delta_0$ ).  $\mathcal{G}$  is anisotropic over k, and it is easy to see that  $A_{\Theta}$  is a normal subgroup of  $\mathcal{G}$  for every  $\Gamma$ -stable subset  $\Theta$  of  $\Delta - \Delta_0$ .

For a  $\Gamma$ -stable subset  $\Theta$  of  $\Delta - \Delta_0$ , let  $S_{\Theta}$  be the maximal k-split torus of  $G_{\Theta}$  contained in S, and let  $M_{\Theta}$  denote the centralizer of  $S_{\Theta}$  in  $G_{\Theta}$ . Then  $M_{\Theta}$  is a connected reductive k-subgroup. Moreover, since  $\mathscr{G}_{\Theta}$  is a direct product of  $G_{\Theta}$ 

and  $A_{\Theta}$ , the centralizer of  $S_{\Theta}$  in  $\mathscr{G}_{\Theta}$  is just  $A_{\Theta} \cdot M_{\Theta}$  (direct product). It is easy to see, by considering the reductive groups  $S \cdot G_{\Theta}$  and  $S \cdot \mathscr{G}_{\Theta}$ , that  $M_{\Theta} = M \cap G_{\Theta}$  and  $\mathcal{M} \cap \mathscr{G}_{\Theta} = A_{\Theta} \cdot M_{\Theta}$ .

**1.6.** Let  $\Theta_i$ , i = 1, ..., r, be the  $\Gamma$ -orbits in  $\Delta - \Delta_0$ . Recall that  $G_{\Theta_i}$  is a semi-simple simply connected k-subgroup of G of k-rank 1; it is k-simple since it does not contain any connected normal k-anisotropic subgroup. It follows from the Bruhat-decomposition that  $G(k) = M(k) \cdot G(k)^+$ . Thus  $G(k)^+ = G(k)$  if and only if  $G(k)^+ \supset M(k)$ . Similarly as  $G_{\Theta}(k) = M_{\Theta}(k) \cdot G_{\Theta}(k)^+$ ,  $G_{\Theta}(k)^+ = G_{\Theta}(k)$  if and only if  $G_{\Theta}(k)^+ \supset M_{\Theta}(k)$ . In view of these observations, the following Theorem A implies that the Kneser-Tits problem for a field k has an affirmative solution if and only if for every k-simple simply connected group G of k-rank 1,  $G(k)^+ = G(k)$ .

THEOREM A. Assume that k-rank  $G \ge 2$ . Then M(k) is generated by the subgroups  $M_{\Theta}(k) (1 \le i \le r)$ .

**1.7.** Remark. If k is an infinite field, then  $G(k)^+$  has no proper non-central normal subgroups (Tits [6: Main Theorem]), in particular it is perfect i.e.  $(G(k)^+, G(k)^+) = G(k)^+$ . Now Theorem A implies that to prove that G(k) is perfect for all k-simple, simply connected k-isotropic G, it suffices to prove that this is so for all k-simple, simply connected groups of k-rank 1.

We shall prove Theorem A using the following:

THEOREM B. For  $i \le n$ , let  $\Delta_i$  be a  $\Gamma$  (= Gal  $(\mathcal{K}/k)$ )-stable subset of  $\Delta - \Delta_0$ such that  $\bigcap_{i=1}^n \Delta_i = \emptyset$ . Then the natural morphism:

$$H^{1}(k, \mathscr{G}) \to \prod_{i=1}^{n} H^{1}(k, \mathscr{G}_{\Delta_{i}}),$$

induced by the inclusion of  $\mathcal{G}$  in  $\mathcal{G}_{\Delta_i}$   $(1 \le i \le n)$ , is injective (i.e., its kernel is trivial).

Now assuming Theorem B we shall prove Theorem A:

NOTATION. In the sequel we shall denote the complement of  $\Theta_i$  in  $\Delta - \Delta_0$  by  $\Theta'_i$  and  $A_{\Theta'_i}$ ,  $\mathcal{G}_{\Theta'_i}$ ,  $\mathcal{M}_{\Theta'_i}$ ,  $\mathcal{M}_{\Theta'_i}$  and  $T_{\Theta_i}$  by  $A_i$ ,  $\mathcal{G}_i$ ,  $G_i$ ,  $\mathcal{M}_i$ ,  $M_i$  and  $T_i$  respectively.

Proof of Theorem A. It is obvious from the Tits index ([7]) of G/k that given a connected normal k-simple subgroup of the derived group  $\mathcal{G}$  of  $\mathcal{M}$ , there is an

 $i(\leq r)$  such that  $G_{\Theta_i}$ , and therefore  $M_{\Theta_i}$ , contains it. Now since  $\mathscr{G}$  is a direct product of its connected normal k-simple subgroups, we conclude that the subgroup generated by the  $M_{\Theta_i}(k)$   $(1 \leq i \leq r)$  contains  $\mathscr{G}(k)$ .

The inclusion of  $\mathcal{M}$  in  $\mathcal{M}_i$  induces a k-rational homomorphism  $\mathcal{M}/\mathcal{G} \to \prod_{i=1}^r \mathcal{M}_i/\mathcal{G}_i$ , and also a homomorphism  $\mathcal{M}(k)/\mathcal{G}(k) \to \prod_{i=1}^r \mathcal{M}_i(k)/\mathcal{G}_i(k)$  of abstract groups. We now observe that the k-rational homomorphism  $\mathcal{M}/\mathcal{G} \to \prod_{i=1}^r \mathcal{M}_i/\mathcal{G}_i$  is an isomorphism. In fact, as  $\mathcal{M}_i$  is a semi-direct product of the torus  $T_i = T_{\Theta_i}$  and the normal semi-simple subgroup  $\mathcal{G}_i$ ,  $\mathcal{M}_i/\mathcal{G}_i$  is isomorphic to  $T_i(=T_{\Theta_i})$  and as  $\mathcal{M}$  is a semi-direct product of  $T_{\Delta-\Delta_0}$  and  $\mathcal{G}$ ,  $\mathcal{M}/\mathcal{G}$  is isomorphic to  $T_{\Delta-\Delta_0}$ . But  $T_{\Delta-\Delta_0}$  is a direct product of the tori  $T_i$  since  $\Delta - \Delta_0$  is a disjoint union of the  $\Theta_i$   $(1 \le i \le r)$ . From this we conclude at once that the homomorphism  $\mathcal{M}/\mathcal{G} \to \prod_{i=1}^r \mathcal{M}_i/\mathcal{G}_i$  is an isomorphism.

The commutative diagram

gives the following commutative diagram involving Galois cohomology:

in which the horizontal rows are exact. Now since  $H^1(k, \mathscr{G}) \to \prod_{i=1}^r H^1(k, \mathscr{G}_i)$  is injective (Theorem B), we easily conclude from the second commutative diagram that the natural homomorphism  $\mathcal{M}(k)/\mathcal{G}(k) \to \prod_{i=1}^r \mathcal{M}_i(k)/\mathcal{G}_i(k)$  is surjective; now since  $\bigcap_{i=1}^r \mathscr{G}_i = \mathscr{G}$ , it follows that the induced homomorphism  $\mathcal{M}(k)/\mathcal{G}(k) \to$  $\prod_{i=1}^r \mathcal{M}_i(k)/\mathcal{G}_i(k)$  is an isomorphism. It is evident from this that  $\mathcal{M}(k)$  is generated by the subgroups  $\mathscr{C}_i := \mathcal{M}(k) \cap \bigcap_{j \neq i} \mathscr{G}_j(k)$   $(i \leq r)$ . But  $\bigcap_{j \neq i} \mathscr{G}_j = \bigcap_{j \neq i} \mathscr{G}_{\Theta_i} = \mathscr{G}_{\Theta_i}$ . Therefore

$$\mathscr{C}_{i} = \mathscr{M}(k) \cap \bigcap_{j \neq i} \mathscr{G}_{j}(k) = (\mathscr{M} \cap \mathscr{G}_{\Theta_{i}})(k) = A_{\Theta_{i}}(k) \cdot M_{\Theta_{i}}(k) \quad (\text{cf. 1.5}).$$

As the subgroup generated by the  $M_{\Theta_i}(k)$   $(1 \le i \le r)$  contains  $\mathscr{G}(k)$  and hence also  $A_{\Theta_c}(k)$  for  $1 \le c \le r$  (recall that  $A_{\Theta_c}$  is a normal subgroup of  $\mathscr{G}$ ), we conclude that  $M(k)(=\mathscr{M}(k))$  is generated by the subgroups  $M_{\Theta_i}(k)$ ,  $1 \le i \le r$ . This proves Theorem A.

### §2. The Kneser-Tits problem for nonarchimedean local fields

We will now prove that the Kneser-Tits problem has an affirmative solution if k is a nonarchimedean local (i.e. locally compact, non-discrete, totally disconnected) field. For such a field it is known that  $H^1(k, \mathcal{G})$  is trivial (recall that  $\mathcal{G}$  is connected and simply connected): If k is a local field of characteristic zero, this was proved by M. Kneser ([3]) and then by Bruhat-Tits ([2]) for local fields of arbitrary characteristic. Thus, for a local field, Theorem B is an immediate consequence of this result. The first-named author originally proved Theorem A for local fields and deduced the Kneser-Tits conjecture in that case, the deduction is described below:

Let k be a nonarchimedean local field and let G be a k-simple, simply connected k-group of k-rank 1. Then ([1: 6.21(ii)]) there exists a finite separable extension K of k and an absolutely simple, simply connected group G defined over K, and of K-rank 1, such that  $G = R_{K/k}(G)$ ; K is again a nonarchimedean local field and from the classification (due to Kneser in characteristic zero and due to Bruhat-Tits in arbitrary characteristic) of absolutely simple groups over such a field we know that an absolutely simple, simply connected K-group of K-rank 1 is one of the following (note that there are no rank 1 forms of exceptional groups over a nonarchimedean local field):

(i)  $SL_{2,D}$ , where D is a finite dimensional central division algebra over K.

(ii) SU(f), where f is a hermitian form, of Witt index 1, in 3 or 4 variables, defined in terms of a quadratic Galois extension K of K.

(iii) The spin group of a  $\sigma$ -quadratic form of Witt index 1 and rank 4 or 5, or the symplectic group of a  $\sigma$ -antihermitian form of rank 2 or 3 and Witt index 1; where  $\sigma$  is an involution of the quaternion central division algebra D over K such that the dimension of  $D^{\sigma}$ , the space of symmetric elements, is 3.

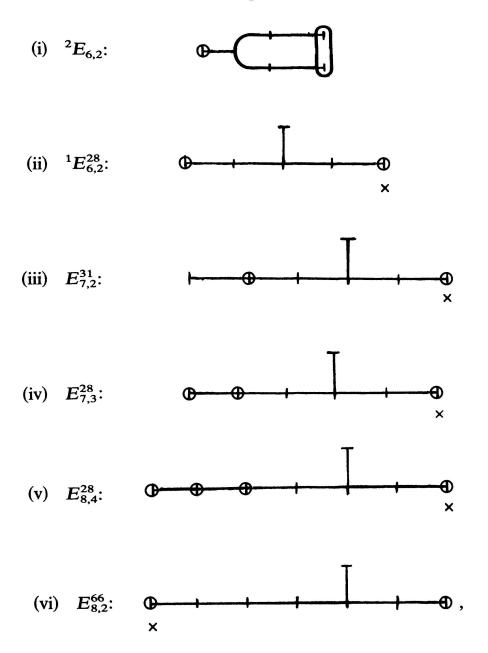
For each of the above groups G, it is known that  $G(K)^+ = G(K)$ ; see, for example, [8].

## **§3**

We shall now begin our proof of Theorem B. A standard argument which uses the fact that there is a finite separable extension K of k and an absolutely simple, simply connected group defined over K such that G is obtained from it by restriction of scalars ([1: 6.21(ii)]), and Shapiro's lemma in Galois cohomology (Serre [5: 5.8(b)]), allows us to assume that G is absolutely simple (and of k-rank  $\geq$ 2). The proof (of Theorem B) uses the classification of absolutely simple groups in terms of Tits index (see Tits [7]); we shall assume familiarity with it.

From the Tits index of absolutely simple k-groups of k-rank  $\geq 2$  we see that if

the Tits index is not one of the following six:



then there exists a  $\Gamma$ -orbit in  $\Delta - \Delta_0$  such that if  $\Theta$  is its complement in  $\Delta - \Delta_0$ , then, in the notation introduced in 1.5,  $G_{\Theta}$  has at most one connected normal k-simple subgroup which meets  $\mathscr{G}$  non-trivially and this connected normal ksimple subgroup is k-isomorphic to  $R_{K/k}(G)$ , where K is a Galois extension of k (of degree  $\leq 2$ ) and G is an absolutely simple K-isotropic group of inner type A. We know that  $\mathscr{G}_{\Theta}$  is a direct product of  $A_{\Theta}$  and  $G_{\Theta}$  (and  $A_{\Theta}$  is a factor of  $\mathscr{G}$ ). Hence, the natural map  $H^1(k, A_{\Theta}) \rightarrow H^1(k, \mathscr{G}_{\Theta})$  is injective. Now it is not hard to see that to prove Theorem B for a group with Tits index different from the 6 indices listed above, it is enough to prove the following:

**3.1.** PROPOSITION. Let G be an absolutely simple, simply connected group of inner type A which is defined and isotropic over a field K. Let S be a maximal K-split torus of G and H be a connected normal K-simple subgroup of the derived group of the centralizer of S in G. Then the natural map  $H^1(K, H) \rightarrow H^1(K, G)$  is injective.

*Proof.* There exists a central division algebra D over K such that G is K-isomorphic to the group  $SL_{m,D}$ , where m = k-rank G+1. We identify G with  $SL_{m,D}$  and for S take the K-split torus such that

$$\mathbf{S}(\mathbf{K}) = \left\{ \begin{bmatrix} \lambda_1 & 0 \\ 0 & \lambda_m \end{bmatrix} \mid \lambda_i \in \mathbf{K}^{\times}, \ \Pi \lambda_i = 1 \right\}$$

Then the centralizer of S is the diagonal subgroup of  $SL_{m,D}$ , and there is a positive integer  $i \le m$  such that H is the subgroup of the diagonal group consisting of the elements whose *j*-th diagonal entry is 1 for all  $j \ne i$ ; H is clearly *k*-isomorphic to  $SL_{1,D}$ . In the sequel we shall identify  $SL_{1,D}$  with H.

Now we consider the group  $GL_{m,D}$ . We embedd  $GL_{1,D}$  in  $GL_{m,D}$  as the subgroup of the diagonal group consisting of the elements with the *j*-th diagonal entry 1 for all  $j \neq i$ . H is now the kernel of the reduced norm map Nrd:  $GL_{1,D} \rightarrow$  Mult. The commutative diagram of K-groups:

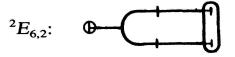
gives the following commutative diagram in which the horizontal rows are exact in view of the vanishing<sup>(1)</sup> of  $H^1(K, GL_{n,D})$  for all  $n \ge 1$ :

From the theory of Dieudonné determinants it is obvious that the image of  $GL_m(D)$  in  $K^{\times}$  equals that of  $GL_1(D)$ , from this and the above commutative diagram we conclude at once that  $H^1(K, SL_{1,D}) \rightarrow H^1(K, SL_{m,D})$  is injective, i.e., in the notation of the proposition, the natural map  $H^1(K, H) \rightarrow H^1(K, G)$  is injective. This proves the proposition.

<sup>&</sup>lt;sup>1</sup> This vanishing is a well-known theorem of Hilbert and Speiser.

**§4** 

We shall now prove Theorem B for groups with Tits index the first of the six exceptional ones listed in §3 i.e.,



Let  $\Theta$  be the unique distinguished  $\Gamma$ -orbit consisting of 2 simple roots. Then the Tits index of  $\mathscr{G}_{\Theta}(=\mathscr{G}_{\Theta})$  is the following:



Moreover, the Tits index of  $\mathscr{G} (\subset \mathscr{G}_{\Theta})$  is  $\square$ . Now let l be the quadratic Galois extension of k such that  $\mathscr{G}_{\Theta}/l$  is an inner form of a split group. There is an anisotropic hermitian form f in 4 variables, defined in terms of the nontrivial automorphism  $\sigma$  of l/k, such that  $\mathscr{G}$  is k-isomorphic to SU(f), whereas  $\mathscr{G}_{\Theta}$  is k-isomorphic to  $SU(f \perp h)$ , where h is the hyperbolic form in 2 variables. Now we consider the following commutative diagram in which the horizontal rows are exact:

where  $\mathcal{T}$  is the torus of dimension 1 defined and anisotropic over k which splits over l, (then  $\mathcal{T}(k) = \{x \in l^{\times} \mid x\sigma(x) = 1\}$ ) and  $U(f \perp h) \rightarrow \mathcal{T}$ , as well as  $U(f) \rightarrow \mathcal{T}$ , are the determinant maps. It is obvious that both  $U(f \perp h)(k) \rightarrow \mathcal{T}(k)$  and  $U(f)(k) \rightarrow \mathcal{T}(k)$  are surjective. Therefore, the natural morphisms  $H^1(k, SU(f \perp h)) \rightarrow H^1(k, U(f \perp h))$  and  $H^1(k, SU(f)) \rightarrow H^1(k, U(f))$  are injective. On the other hand, Witt's cancellation theorem (for hermitian forms) implies at once that  $H^1(k, U(f)) \rightarrow H^1(k, U(f \perp h))$  is injective. Now it is obvious that  $H^1(k, SU(f)) \rightarrow$  $H^1(k, SU(f \perp h))$  is injective, i.e.,  $H^1(k, \mathcal{G}) \rightarrow H^1(k, \mathcal{G}_{\Theta})$  is injective. From this Theorem B follows for groups of type  ${}^2E_{6,2}$ .

## **§5**

In this section we shall complete the proof of Theorem B by proving it for the groups of the remaining five exceptional types. We begin with the following two lemmas.

**5.1.** LEMMA. Let P be a parabolic k-subgroup of a connected reductive k-group G, and M be a maximal reductive k-subgroup of P. Then the natural morphism

$$H^1(k, \mathsf{M}) \to H^1(k, \mathsf{G})$$

is injective.

**Proof.** Since the natural map  $G(k) \rightarrow (G/P)(k)$  is surjective (Botel-Tits [1: 4.13(a)]), the morphism

$$H^1(k, \mathsf{P}) \rightarrow H^1(k, \mathsf{G})$$

is injective. Therefore, to prove the lemma, it suffices to observe that if U is the unipotent radical of P, then U is defined over k and  $P = M \ltimes U$  (a semi-direct product), and hence the natural morphism

$$H^1(k, \mathsf{M}) \rightarrow H^1(k, \mathsf{P})$$

is injective.

**5.2.** LEMMA. Let G and M be as in the preceding lemma. Let G be the derived subgroup of M and S be the central torus of M. Let  $\mathcal{G}_0$  and  $\mathcal{G}_*$  be two connected normal k-subgroups of G such that G is an almost direct product of  $\mathcal{G}_0$  and  $\mathcal{G}_*$ . Let C be the finite group scheme  $\mathcal{G}_0 \cap S\mathcal{G}_*$ . Then the kernel of the natural morphism

$$H^1(k, \mathscr{G}_0) \to H^1(k, \mathbf{G})$$

is contained in the image of

$$H^1(k, \mathscr{C}) \rightarrow H^1(k, \mathscr{G}_0).$$

Proof. Since the morphism  $H^1(k, \mathbb{M}) \to H^1(k, \mathbb{G})$  is injective (Lemma 5.1), the kernel of  $H^1(k, \mathscr{G}_0) \to H^1(k, \mathbb{G})$  coincides with the kernel of  $H^1(k, \mathscr{G}_0) \to$  $H^1(k, \mathbb{M})$ . But  $C := \text{Ker} (H^1(k, \mathscr{G}_0) \to H^1(k, \mathbb{M}))$  is clearly contained in the kernel of the morphism  $H^1(k, \mathscr{G}_0) \to H^1(k, \mathbb{M}/S\mathscr{G}_*)$  induced by the k-homomorphism  $\mathscr{G}_0 \to \mathbb{M}/S\mathscr{G}_*$ . Now as the natural homomorphism  $\mathscr{G}_0/\mathscr{C} \to \mathbb{M}/S\mathscr{G}_*$  is a kisomorphism, we conclude that C is contained in the kernel of  $H^1(k, \mathscr{G}_0) \to$  $H^1(k, \mathscr{G}_0/\mathscr{C})$ , and from this the lemma is obvious.

Before proceeding further with the proof of Theorem B in the remaining exceptional cases, we shall recall some of the basic notions of the theory of quadratic forms.

**5.3.** Let p be the characteristic of k. If p = 2, let  $\wp(k) = \{x + x^2 \mid x \in k\}$ ;  $\wp(k)$  is a subgroup of k.

A quadratic form is said to be *nondefective* if the associated bilinear form is nondegenerate.

The rank (or the dimension) of a nondefective quadratic form is by definition the dimension of the underlying k-vector space, and the Witt index (over k) is the dimension of a maximal isotropic k-vector subspace.

For a quadratic form f/k, the discriminant (when p = 2, it is also called the Arf invariant) d(f) will have the usual meaning. We recall that if  $p \neq 2$ , d(f) is an element of  $k^{\times}/k^{\times 2}$ , and if p = 2, d(f) is an element of  $k/\wp(k)$ . We shall say that a quadratic form f of rank 2n has trivial signed discriminant if its discriminant equals that of the hyperbolic form of rank 2n, or, equivalently, if the special orthogonal group SO(f) is of inner type over k.

Let q be a nondefective anisotropic quadratic form over k, of rank 2, and K be the quadratic Galois extension of k over which it is hyperbolic, then d(q) is the image (in  $k^{\times}/k^{\times 2}$  if  $p \neq 2$  and in  $k/\wp(k)$  if p = 2) of the norm of any element of  $K^{\times}$ of trace zero if  $p \neq 2$  and of trace 1 if p = 2. Since q is a multiple of the norm-form of K/k, we conclude that the discriminant d(q) determines q up to a scalar multiple.

If over k, f is an orthogonal direct sum of the nondefective quadratic forms  $q_i$ ,  $1 \le i \le n$ , of rank 2, then d(f) is the product of the  $d(q_i)$   $(1 \le i \le n)$  if  $p \ne 2$ , and it is the sum of the  $d(q_i)$ 's if p = 2.

5.4. The Witt invariant w(f) of a nondefective quadratic form f/k of even rank is by definition the class of the Clifford algebra of f in the Brauer group of k; it is an element of order 2 in the Brauer group. We recall that if f is a quadratic form of rank 2n, with trivial signed discriminant, then the Witt invariant of f has the following useful description: Let h be the hyperbolic form of rank 2n and let Spin (h) and SO(h) be respectively the spin group and the special orthogonal group of h. Then since the discriminant of f equals that of h, the quadratic form f is obtained from h by twisting by a Galois cocycle with values in SO(h). Let c denote the cohomology class in  $H^1(k, SO(h))$  determined by the cocycle. Now consider the natural central isogeny:

$$1 \rightarrow \mu_2 \rightarrow \text{Spin}(h) \rightarrow SO(h) \rightarrow 1$$
,

where  $\mu_2$  is the kernel of the endomorphism  $x \mapsto x^2$  of  $GL_1$  (it is a finite group scheme defined over k). It gives rise to the following exact sequence:

$$H^{1}(k, \operatorname{Spin}(h)) \rightarrow H^{1}(k, SO(h)) \stackrel{\delta}{\rightarrow} H^{2}(k, \mu_{2}),$$

then  $w(\mathfrak{f}) = \delta(c)$  in the natural identification of  $H^2(k, \mu_2)$  with the subgroup of the Brauer group of k consisting of the elements of order 2.

Now we observe that if f is an *anisotropic* quadratic form of rank 6 which has trivial signed discriminant, then its Witt invariant is the class of a division algebra of degree 4 (i.e. of dimension 16). This follows immediately from the fact that Spin (h), where h is the hyperbolic form of rank 6, is isomorphic to  $SL_4$  over the base field, and the only anisotropic *inner* twists of  $SL_4$  are of the form  $SL_{1,D}$ , D a central division algebra of dimension 16 over the base field.

**5.5.** Now we assume that G is an absolutely simple, simply connected algebraic group of type one of the remaining five:  ${}^{1}E_{6,2}^{28}$ ,  $E_{7,2}^{31}$ ,  $E_{7,3}^{28}$ ,  $E_{8,4}^{28}$ ,  $E_{8,2}^{66}$ . Let  $\mathscr{G}$  be (as in §1) the semi-simple anistropic kernel of G. Let  $\mathscr{G}_{0}$  be the unique connected normal k-subgroup of  $\mathscr{G}$  of type  $D_{n}$  (n = 4 or 6) and in case G is of type  $E_{7,2}^{31}$ , let  $\mathscr{G}_{*}$  be the connected normal k-subgroup of  $\mathscr{G}$  of type  $A_{1}$ , in all the other cases let  $\mathscr{G}_{*}$  be trivial. Then  $\mathscr{G}$  is a direct product of  $\mathscr{G}_{0}$  and  $\mathscr{G}_{*}$ .

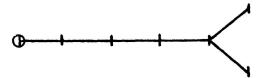
**5.6.** Let a be the simple root corresponding to the vertex in the Tits index marked with a cross (in §3) and let  $\Theta$  be the set of distinguished simple roots  $\neq a$ . To establish Theorem B in the cases under consideration, it clearly suffices to prove that the natural morphism

$$H^1(k, \mathscr{G}_0) \rightarrow H^1(k, G_{\{a\}}) \times H^1(k, G_{\Theta})$$

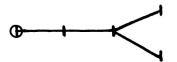
is injective.

Let  $S_{\{a\}}$  (resp.  $S_{\Theta}$ ) be the maximal k-split torus of  $G_{\{a\}}$  (resp.  $G_{\Theta}$ ) contained in S, and let  $Z = \mathscr{G}_0 \cap S_{\{a\}}$ ,  $\mathscr{Z} = \mathscr{G}_0 \cap S_{\Theta} \mathscr{G}_*$ . Then it is easily seen, using the Tits indices, that both Z and  $\mathscr{Z}$  are k-isomorphic to the group scheme  $\mu_2$ . Moreover, the center of  $\mathscr{G}_0$  is a direct sum of Z and  $\mathscr{Z}$ .

Now we observe that there is a nondefective, anisotropic quadratic form f/k with trivial discriminant, f of rank 12 in case G is of type  $E_{8,2}^{66}$ , and of rank 8 in all the other cases, such that  $\mathscr{G}_0$  is k-isomorphic to Spin (f) and the kernel of the natural central isogeny  $\pi$ : Spin (f)  $\rightarrow$  SO(f) is Z (=  $\mathscr{G}_0 \cap S_{\{a\}}$ ). This follows from the fact that  $\mathscr{G}_0$  is the semi-simple anisotropic kernel of the simply connected, absolutely simple group  $G_{\{a\}}$ , and  $G_{\{a\}}$  is the spin group of a nondefective quadratic form, of Witt index 1, which has trivial signed discriminant, since its Tits index is



in case G is of type  $E_{8,2}^{66}$ , and



in all the other cases. We shall identify  $\mathcal{G}_0$  with Spin (f) in the sequel.

**5.7.** LEMMA. If G is of type  $E_{8,2}^{66}$ , then the Witt invariant of f over k is trivial.

*Proof.* Any connected absolutely simple algebraic group of type  $E_8$  is simply connected and is isomorphic to its automorphism group. Therefore, as the semi-simple anisotropic kernel of a k-form of type  $E_{8,2}^{66}$  is an absolutely simple, simply connected group of type  $D_6$ , it is obtained from the split group of type  $E_8$  by twisting by a Galois cocycle with values in the spin group of the hyperbolic form h of rank 12 (the spin group embedded as a maximal semi-simple k-subgroup of a parabolic k-subgroup of the split group of type  $E_8$ ). Hence, f is obtained from h by twisting by a cocycle whose cohomology class lies in the image of the natural morphism.

$$H^1(k, \operatorname{Spin}(h)) \to H^1(k, SO(h)).$$

This implies the lemma (see 5.4).

**5.8.** We now note, for future use, that the Witt index of the quadratic form f is *even* over any extension of k: this is seen easily from the classification of inner k-forms of types  $E_6$ ,  $E_7$  and  $E_8$  in terms of the Tits indices given in Tits [7].

**5.9.** Now let c be an element of the kernel of the natural morphism

$$H^{1}(k, \mathscr{G}_{0}) \to H^{1}(k, G_{\{a\}}) \times H^{1}(k, G_{\Theta}).$$

We shall prove that c is trivial, this will establish Theorem B (see 5.6).

Let Z and  $\mathscr{Z}$  be as in 5.6. From Lemma 5.2 applied in turn to  $G = G_{\{a\}}$  and  $G = G_{\Theta}$ , we conclude that c lies in the intersection of the images of the following natural morphisms:

$$H^{1}(k, \mathscr{Z}) \to H^{1}(k, \mathscr{G}_{0})$$
$$H^{1}(k, \mathbb{Z}) \to H^{1}(k, \mathscr{G}_{0}).$$

and

Hence, in particular c is mapped onto the trivial element of  $H^1(k, SO(f))$  under the central isogeny  $(\mathscr{G}_0 =)$  Spin  $(f) \rightarrow SO(f)$  (whose kernel is Z).

We fix an element  $c \in H^1(k, \mathscr{Z})$  which is mapped onto  $c \in H^1(k, \mathscr{G}_0)$ . Since  $\mathscr{Z}$  is k-isomorphic to  $\mu_2$ , there is a natural identification of  $H^1(k, \mathscr{Z})$  with  $k^{\times}/k^{\times 2}$ . Let  $s \in k^{\times}$  be such that, in the identification of  $H^1(k, \mathscr{Z})$  with  $k^{\times}/k^{\times 2}$ , c corresponds to s. Now we observe that under the central isogeny Spin (f)  $\rightarrow SO(f)$ ,  $\mathscr{Z}$  is mapped onto the center of SO(f) and from this we conclude that the image of the cohomology class c in  $H^1(k, SO(f))$  corresponds to the quadratic form sf. But since the image of c in  $H^1(k, SO(f))$  is trivial, sf is equivalent to f over k.

**5.10.** LEMMA. Let  $\varphi$  be a nondefective anisotropic quadratic form such that  $\varphi$  is equivalent to  $s\varphi$  ( $s \in k^{\times}$ ). Then there is a nondefective subform q of  $\varphi$  of rank 2 such that q is equivalent to sq.

**Proof.** If s is a square in  $k^{\times}$ , the lemma is obvious, so we shall assume that s is not a square.

Let V be the k-vector space underlying  $\varphi$  and  $\langle , \rangle$  be the bilinear form associated with  $\varphi$ . We fix a  $v \in V$  such that  $\varphi(v) \neq 0$ . Then since  $\varphi \simeq s\varphi$ , there is a  $v' \in V$  such that  $\varphi(v') = s\varphi(v)$ . Now if  $\langle v, v' \rangle \neq 0$ , let w = v'; if  $\langle v, v' \rangle = 0$ , choose a  $v_0 \in V$  such that  $\langle v_0, v \rangle \cdot \langle v_0, v' \rangle \neq 0$ , and let

$$w = v' - rac{\langle v_0, v' 
angle}{\varphi(v_0)} v_0.$$

Then  $\varphi(w) = \varphi(v') = s\varphi(v)$  and  $\langle v, w \rangle \neq 0$ . Also since s is not a square, w is not a scalar multiple of v. Let q be the restriction of the quadratic form  $\varphi$  to the 2-dimensional subspace X spanned by v and w. It is easily seen that q is a nondefective quadratic form. The k-linear automorphism of the vector subspace X defined by  $v \mapsto w$ ,  $w \mapsto sv$  provides an equivalence of the quadratic form sq with q.

**5.11.** PROPOSITION. There exist nondefective subforms  $q_i, q'_i$  (i = 1, 2 if G is not of type  $E_{8,2}^{66}$  and i = 1, 2, 3 if G is of type  $E_{8,2}^{66}$ ) of f, of rank 2, such that f is the orthogonal direct sum of the  $q_i$ 's and  $q'_i$ 's, and for each i

(1)  $q_i \simeq sq_i, q'_i \simeq sq'_i$ 

(2)  $q'_i$  is a scalar multiple of  $q_i$ ; in particular SO( $q_i$ ) is k-isomorphic to SO( $q'_i$ ).

**Proof.** According to the preceding lemma, there is a nondefective subform  $q_1$  of  $\mathfrak{f}$  of rank 2 such that  $q_1 \approx \mathfrak{s} q_1$ . Now let K be the quadratic Galois extension of k over which  $q_1$  is hyperbolic, then  $q_1$  is a multiple of the norm-form of K/k. Let  $q_1^{\perp}$  be the orthogonal complement of  $q_1$  in  $\mathfrak{f}$ . Then since the Witt index of  $\mathfrak{f}$  over K is even (5.8),  $q_1^{\perp}$  is isotropic over K. Therefore, there exist vectors v, w in the subspace corresponding to  $q_1^{\perp}$  and  $\alpha \in K - k$  such that

$$\mathfrak{q}_1^{\perp}(v+\alpha w) = \mathfrak{f}(v+\alpha w) = \mathfrak{f}(v) + \alpha \langle v, w \rangle + \alpha^2 \mathfrak{f}(w) = 0.$$

Now since  $\alpha$  is separable, we easily conclude that the restriction  $q'_1$  of  $q^{\perp}_1$  to the

2-dimensional subspace spanned by v and w is a nondefective quadratic form of rank 2 which is isotropic (and hence hyperbolic) over K. Therefore,  $q'_1$  is a multiple of the norm-form of K/k. As  $q_1$  is also a multiple of the norm-form of K/k and  $q_1 \approx sq_1$ , we conclude that  $q'_1$  is a multiple of  $q_1$  and  $q'_1 \approx sq'_1$ .

Now let  $f_1 = q_1 \perp q'_1$ . Then the discriminant of  $f_1$  is trivial. Let  $f_2$  be the orthogonal complement of  $f_1$  in f. Then the discriminant of  $f_2$  is trivial and as  $f_1 \approx sf_1$ , by Witt's cancellation theorem  $f_2 \approx sf_2$ . We shall now consider the cases where f is of rank 8. Let  $q_2$  be a nondefective subform of  $f_2$  of rank 2 such that  $q_2 \approx sq_2$  (Lemma 5.10) and  $q'_2$  be its orthogonal complement in  $f_2$ . Then the discriminant of  $q_2$  equals that of  $q'_2$  and hence  $q'_2$  is a scalar multiple of  $q_2$  (5.3), in particular  $q'_2 \approx sq'_2$ .

Now we consider the case where f is of rank 12, then G is of type  $E_{8,2}^{66}$ ,  $f_2$  is an anisotropic form of rank 8 and trivial discriminant. We claim that the Witt index of  $f_2$  over any quadratic Galois extension of k is even. To prove this we consider a quadratic Galois extension l of k such that  $f_2$  is isotropic over l. Then as the discriminant of  $f_2$  is trivial, the Witt index of  $f_2$  over l can not be 3; assume, if possible, that it is 1. Then since the Witt invariant of f/k is zero (Lemma 5.7), the Witt invariant of  $f_1/l$  equals that of  $f_2/l$ . Now since by hypothesis  $f_2/l$  is of Witt index 1, over l it is an orthogonal direct sum of the hyperbolic form of rank 2 and an anisotropic form of rank 6. Therefore, the Witt invariant of  $f_2/l$  is the class of a division algebra of degree 4 in the Brauer group of l (5.4). But since  $f_1/k$  is an anisotropic form of rank 4 of trivial discriminant, it is a multiple of the norm-form of a quaternion division algebra D, and its Witt invariant is the class of D in the Brauer group of k. Therefore, the Witt invariant of  $f_1/l$  is the class of  $D \otimes_k l$ . We conclude thus that the class of a division algebra of degree 4 (in the Brauer group of l) contains  $D \otimes_k l$ . This is absurd, and hence the Witt index of  $\mathfrak{f}_2$  over l can not be 1. This proves that the Witt index of  $f_2$  over l is even. Now since  $f_2$  is of rank 8, we can prove, as before, that there exist 4 nondefective quadratic forms  $q_2$ ,  $q'_2$ ,  $q_3$ and  $q'_3$  of rank 2 such that  $f_2$  is an orthogonal direct sum of these;  $q_i \simeq sq_i$ ,  $q'_i \simeq sq'_i$ and  $q'_i$  is a scalar multiple of  $q_i$  (*i* = 2, 3). This proves the proposition.

**5.12.** We fix a set of nondefective subforms  $q_i$ ,  $q'_i$ , of  $\mathfrak{f}$ , of rank 2, as in the preceding proposition. Let  $\overline{T}_i = SO(q_i)(\subset SO(\mathfrak{f}))$  and  $\overline{T}'_i = SO(q'_i)(\subset SO(\mathfrak{f}))$ . Then (for all *i*)  $\overline{T}_i$  and  $\overline{T}'_i$  are isomorphic *k*-tori of dimension 1. Let  $\pi : \text{Spin}(\mathfrak{f}) \to SO(\mathfrak{f})$  be the usual central isogeny and let  $T_i = \pi^{-1}(\overline{T}_i)$  and  $T'_i = \pi^{-1}(\overline{T}'_i)$ . Then for all *i*,  $T_i$  and  $T'_i$  are isomorphic *k*-tori.

 $\prod_i (\bar{T}_i \times \bar{T}'_i)$  is a maximal torus of  $SO(\mathfrak{f})$  and there is a unique k-embedding of  $\mu_2$  into  $\bar{T}_i$ , as well as in  $\bar{T}'_i$ . The center C of  $SO(\mathfrak{f})$  is the "diagonally" embedded  $\mu_2$  in  $\prod_i (\bar{T}_i \times \bar{T}'_i)$ .

Let  $\theta_i$  be a fixed k-isomorphism of  $\overline{T}_i$  onto  $\overline{T}'_i$  (note that there are exactly two

distinct k-isomorphisms of  $\overline{T}_i$  onto  $\overline{T}'_i$ ), we shall let  $\theta_i$  also denote the induced k-isomorphism of  $T_i$  onto  $T'_i$ . Let  $\overline{\mathcal{F}}_i = \{x \cdot \theta_i(x) \mid x \in \overline{T}_i\}$ ,  $\mathcal{T}_i = \{x \cdot \theta_i(x) \mid x \in T_i\}$ , and let  $\overline{\mathcal{F}} = \prod_i \overline{\mathcal{F}}_i$ ,  $\mathcal{T} = \prod_i \mathcal{T}_i$ . It is easily seen that  $\forall i$ , the restriction of  $\pi$  to  $\mathcal{T}_i$  is an isomorphism onto  $\overline{\mathcal{F}}_i$  and hence the restriction of  $\pi$  to  $\mathcal{T}$  is an isomorphism onto  $\overline{\mathcal{T}}$ . Also, if necessary after changing the isomorphism  $\theta_i$  for any one *i*, we can ensure that  $\mathcal{Z} \subset \mathcal{T}$ . We shall assume in the sequel that this is the case. Now we assert that  $\mathfrak{c}(\epsilon H^1(k, \mathcal{Z}))$  is mapped onto the trivial element of  $H^1(k, \mathcal{T})$  under the morphism induced by the inclusion  $\mathcal{X} \to \mathcal{T}$ . To see this, we observe that the image of  $\mathfrak{c}$  in  $H^1(k, \overline{\mathcal{T}})$  is trivial: this is a simple consequence of the fact that for  $\forall i, \mathfrak{q}_i \simeq s\mathfrak{q}_i$ . Now since  $\pi \mid_{\mathcal{T}} : \mathcal{T} \to \overline{\mathcal{T}}$  is a *k*-isomorphism which maps  $\mathcal{X}$  onto *C*, our assertion follows. It is obvious now that *c*, being the image of  $\mathfrak{c}$  in  $H^1(k, \mathcal{G}_0)$ , is trivial because  $\mathcal{X} \subset \mathcal{T} \subset \mathcal{G}_0$ . This completes the proof of Theorem B.

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