Hitchin-Mochizuki morphism, Opers and Frobenius-destabilized vector bundles over curves

Kirti Joshi Joint work with Christian Pauly

Department of Mathematics, University of Arizona.

RIMS talk June 3rd, 2011

Frobenius, opers and Hitchin-Mochizuki morphism

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Notations

- Let *p* be a prime number.
- Let k be an algebraically closed field of characteristic p.
- Let X/k be a smooth, projective curve over k.
- Let g = g(X) be the genus of X.
- We will always assume $g \ge 2$.
- Let $\sigma: k \to k$ be the Frobenius map $x \mapsto x^{\rho}$,
- Let $S = \operatorname{Spec}(k)$
- Let Ω^1_X be the canonical bundle of X.
- Let T_X be the tangent bundle of X.

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The Frobenius Morphism

- Let $F : X \to X$ be the absolute Frobenius morphism of X.
- This is the following morphism of schemes: it is identity on the topological space underlying *X*
- and on the sheaf of functions O_X → O_X it is the map f → f^p (for local sections of O_X).
- If we work over a base scheme S, we can also define a relative Frobenius morphism $F_{X/S} : X \to S$.

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Semistability and stability

For any vector bundle V on X let

$$\mu(V) = \frac{\deg(V)}{\operatorname{rk}(V)},$$

where deg(*V*) is the degree of *V* and rk(V) is the rank of *V*. A vector bundle *V* on *X* is stable (resp. semi-stable) if for any non-zero sub-bundle $W \subset V$, we have

$$\mu(W) < \mu(V) \ (resp. \ \mu(W) \le \mu(V)).$$

A non-zero sub-bundle ($W \subset V$) with ($\mu(W) \ge \mu(V)$) will be called a destabilizing sub-bundle.

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Introduction

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The Harder-Narasimhan filtration

Recall that there exists, on every vector bundle *V*, a unique filtration $0 \subset V_1 \subset V_2 \subset \cdots \subset V_\ell = V$ with the following properties:

- every quotient V_{i+1}/V_i is semistable, and
- if $\mu_i = \mu(V_i/V_{i-1})$ then $\mu_1 > \mu_2 > \cdots > \mu_\ell$.

This is called the Harder-Narasimhan filtration of *V*.

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Harder-Narasimhan polygons

The numerical data of Harder-Narasimhan filtration is conveniently encoded in a convex polygon with break-points at (0,0) and the points ($rk(V_i)$, deg(V_i)) and the line segment joining ($rk(V_i)$, deg(V_i)), ($rk(V_{i-1})$, deg(V_{i-1})) has slope μ_i . This is called the Harder-Narasimhan polygon of V.

The p-curvature

Given a local system (V, ∇) over X, i.e. a pair (V, ∇) consisting of a vector bundle V over X and a connection ∇ on V, we have the *p*-curvature

$$\psi(V, \nabla) : T_X \to \operatorname{End}(V), \qquad D \mapsto \nabla(D)^p - \nabla(D^p).$$

Here *D* denotes a local vector field, D^p its *p*-th power (which again a vector field) and End(V) denotes the sheaf of O_X -linear endomorphisms of *V*.

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Cartier's Theorem

Theorem

- Let E be a vector bundle over X. The pull-back F*(E) under the Frobenius morphism carries a canonical connection ∇^{can}, which satisfies the equality ψ(F*(E), ∇^{can}) = 0.
- Given a local system (V, ∇) over X, there exists a vector bundle E such that (V, ∇) = (F*(E), ∇^{can}) if and only if ψ(V, ∇) = 0.

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Nilpotence

A connection (V, ∇) is nilpotent if there is a filtration W_{\bullet} on V which is preserved by ∇ and the induced connection on the associated graded has *p*-curvature zero.

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Opers I

- Opers were introduced by A. Beilinson and V. Drinfeld in their study of Geometric Langlands correspondence.
- The local avatar goes back to Drinfel'd-Sokolov (study of Poisson reduction).
- Indigenous bundles on Riemann surfaces (rank two opers) appeared in works of Gunning, Mandelstam.
- In the seventies Ihara studied the Schwarzian differential equation in arithmetic.
- In 1993-96 S. Mochizuki studied indigenous bundles (always of rank two) (now called PGL₂-opers) in positive characteristic.
- General opers in characteristic p > 0 also appeared naturally in JRXY.

Definition

An oper over a smooth algebraic curve X defined over an algebraically closed field k of characteristic p > 0 is a triple (V, ∇, V_{\bullet}) , where

- V is a vector bundle over X,
- 2 ∇ is a connection on *V*,

● V_{\bullet} : 0 = $V_l \subset V_{l-1} \subset \cdots \subset V_1 \subset V_0 = V$ is a filtration by subbundles of *V*, called the oper flag.

These data have to satisfy the following conditions

$$\ \, \mathbf{\nabla}(V_i)\subset V_{i-1}\otimes\Omega^1_X \text{ for } 1\leq i\leq l-1,$$

Opers II: Nilpotent and Dormant opers

Definition

We say that an oper (V, ∇, V_{\bullet}) is nilpotent if (V, ∇) is nilpotent. We say an oper (V, ∇, V_{\bullet}) is dormant if (V, ∇) has *p*-curvature zero.

The term dormant is due to S. Mochizuki.

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Indigenous bundles

An indigenous bundle (V, ∇) is an oper (V, ∇, V_{\bullet}) with $\operatorname{rk}(V) = 2$ and $\wedge^{2}(V, \nabla) = (O_{X}, \nabla = d)$.

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Fundamental Example

- Let θ be a line bundle with $\theta^{\otimes 2} \simeq \Omega^1_X$.
- Let V ∈ Ext¹(θ⁻¹, θ) be the unique (up to isom.) non-split extension.
- Then any connection ∇ on V makes (V, ∇, V_•) into an oper (of rank two).
- By Weil's Theorem there are connections on V (this is true even in characteristic p > rk (V)).

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Let $\text{Loc}_{GL(r)}$ (resp. $\text{Loc}_{SL(r)}$) be stacks parameterizing rank-*r* local systems over *X* (resp. rank-*r* local systems with trivial determinant). We have a Hitchin morphism

$$\begin{array}{lll} \operatorname{Loc}_{\operatorname{GL}(r)} & \longrightarrow & \oplus_{i=1}^{r} H^{0}(X, F^{*}(\Omega^{1}_{X})^{\otimes i}), \\ (V, \nabla) & \mapsto & \operatorname{Char}(\psi(V, \nabla)), \end{array}$$

where $\operatorname{Char}(\psi(V, \nabla))$ is the characteristic polynomial of the *p*-curvature $\psi(V, \nabla) : V \to V \otimes F^*(\Omega^1_X)$. Let $\mathfrak{Op}_{\operatorname{PGL}(r)}(X)$ be the stack of $\operatorname{PGL}(r)$ -opers on *X*.

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A beautiful observation of Mochizuki, rediscovered a few years later by Laszlo-Pauly, is that the components of $Char(\psi(V, \nabla))$ descend under the Frobenius morphism. That is the morphism $(V, \nabla) \mapsto Char(\psi(V, \nabla))$ factorizes as

$$\operatorname{Loc}_{\operatorname{GL}(r)} \stackrel{\Phi}{\longrightarrow} \oplus_{i=1}^{r} H^{0}(X, (\Omega^{1}_{X})^{\otimes i}) \stackrel{F^{*}}{\longrightarrow} \oplus_{i=1}^{r} H^{0}(X, F^{*}(\Omega^{1}_{X})^{\otimes i}).$$

Finiteness/Properness

The Hitchin-Mochizuki morphism

The Hitchin-Mochizuki morphism is the morphism

$$\mathrm{HM}:\mathfrak{Op}_{\mathrm{PGL}(r)}(X)\to\oplus_{i=2}^rH^0(X,(\Omega^1_X)^{\otimes i})$$

which assigns to an oper (V, ∇, V_{\bullet}) the p^{th} -root $\psi(V, \nabla)^{1/p}$. This makes sense because of the factorization property stated earlier. The stack $\mathfrak{O}\mathfrak{p}_{\mathrm{PGL}(r)}(X)$ is in fact an affine scheme, non-canonically isomorphic to the target of *HM*.

Finiteness/Properness

Finiteness of nilpotent opers

We will denote by $\operatorname{Nilp}_r(X) := \operatorname{HM}^{-1}(0) \subset \mathfrak{Op}_{\operatorname{PGL}(r)}(X)$ the fiber over 0 of the Hitchin-Mochizuki morphism. It parameterizes nilpotent $\operatorname{PGL}(r)$ -opers and contains in particular dormant $\operatorname{PGL}(r)$ -opers.

Theorem (Main Theorem I)

The scheme $\operatorname{Nilp}_r(X)$ is finite.

For r = 2 this is due to S. Mochizuki and lies at the heart of his *p*-adic uniformization program.

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The key observation we have is: the Hitchin-Mochizuki morphism is a also a Hitchin map—so it should be proper. On the other hand it is a proper map between two affine schemes. So it is finite.

We prove finiteness by proving properness (via a valuative criterion).

This provides a more conceptual philosophical framework for those interested in meditating up on such matters.

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Finiteness/Properness

Valuative criterion for opers

Proposition

Let *R* be a discrete valuation ring and let *s* and η be the closed and generic point of Spec(*R*). For any nilpotent SL(*r*)-oper $(V_{\eta}, \nabla_{\eta}, (V_{\eta})_{\bullet})$ over $X \times \text{Spec}(K)$ there exists a nilpotent SL(*r*)-oper $(V_R, \nabla_R, (V_R)_{\bullet})$ over $X \times \text{Spec}(R)$ extending $(V_{\eta}, \nabla_{\eta}, (V_{\eta})_{\bullet})$.

Frobenius, opers and Hitchin-Mochizuki morphism

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Stability and Frobenius

- In 1970s Mumford and later Gieseker found examples of vector bundles V on smooth, projective curves X such that F*(V) is not semistable.
- The question of understanding this phenomena was first raised by Mumford.

Frobenius, opers and Hitchin-Mochizuki morphism

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The sheaf locally of exact differentials

Now let
$$B_X^1 = d(O_X) \subset \Omega_X^1$$
, then Leibnitz rule

$$d(f^pg)=f^pdg$$

shows that *d* is linear with respect to the Frobenius and that B_X^1 lives naturally as a locally free subsheaf of $F_*(\Omega_X^1)$. Thus B_X^1 is a vector bundle on *X* of rank p - 1 and slope g - 1. Note that B_X^1 is not a vector bundle in characteristic zero.

Raynaud's Theorem (1982)

The theorem is the following.

Theorem

For p > 2 the bundle B_X^1 is semistable and $F^*(B_X^1)$ is not semistable.

In 2004 I proved that B_X^1 is stable.

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The instability locus

- Let M(r) denote the coarse moduli space of S-equivalence classes of semistable bundles of rank r and degree 0 over the curve X.
- Let *J*(*r*) ⊂ *M*(*r*) be the locus of semistable bundles *E* which are destabilized by Frobenius pull-back, i.e. *F**(*E*) is not semistable.
- Set-theoretically the locus *J*(*r*) is well-defined, since, given a strictly semistable bundle *E* with associated graded gr(*E*) = *E*₁ ⊕ · · · ⊕ *E*_{*i*} with *E*_{*i*} stable, one observes that *E* is Frobenius-destabilized if and only if at least one of the stable summands *E*_{*i*} is Frobenius-destabilized.
- Moreover, $\mathcal{J}(r)$ is a closed subvariety of $\mathcal{M}(r)$. Let $\mathcal{J}^{s}(r) \subset \mathcal{J}(r)$ be the open subset corresponding to stable

The case p = 2, g = 2, r = 2

This is rather special:

- The moduli of semistable bundles of trivial determinant is smooth and ~ P³, with the locus of non-stable bundles embedded as the Kummer of the Jacobian of X.
- Mehta in the mid 1990s observed (in private conversations) that the instability locus is finite as its complement contains the Kummer–an ample divisor in P³.
- In 2000 with Eugene Xia we gave a complete classification of all vector bundles of degree one and p = 2, g = 2, r = 2 which are destabilized by Frobenius.

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- In 2004 that Laszlo-Pauly (ordinary X) and later (2005-2008) Laszlo-Pauly, Ducrohet completed the analysis (for non-ordinary g = 2).
- Later Osserman (2006,2008) provided analysis for $g = 2, r = 2, p \le 5$ (and X general).
- The Laszlo-Pauly, Ducrohet, Osserman approaches are quite computational and involves explicit equations which cannot be generalized beyond g = 2 as the equations become increasingly complicated with p (for g = 2).

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The case $p = 2, g \ge 2, r = 2$

- This case was completely dealt with from a completely intrinsic viewpoint in a joint work (JRXY) of Joshi, S. Ramanan, Eugene Xia and Jiu-Kang Yu.
- We gave a complete construction of all Frobenius destabilized bundles in all degrees and all genus g ≥ 2 and gave a complete construction of the instability locus.
- We also proved: if p ≤ 5 and M a line bundle, then F_{*}(M) is stable.

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The following is natural after JRXY:

Question

Given a semistable vector bundle *M* on *X*, is it true that $F_*(M)$ (the push-forward) is semistable?

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- In 2007 Lange-Pauly proved that for any line bundle M, F_{*}(M) is stable.
- Soon Mehta-Pauly showed that if *M* (of degree zero) is semi-stable then *F*_{*}(*M*) is semi-stable.
- The Mehta-Pauly approach is, philosophically speaking, similar to Raynaud's approach: show a bundle is semistable by showing that it has a theta divisor.
- On the other hand my approach to stability of B_X^1 did not use theta divisors at all.

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In 2008 Xiao-Tao Sun showed that

Theorem

If $g \ge 2$ and if M is any stable (resp. semistable) bundle then $F_*(M)$ is stable (resp. semistable).

Sun's beautiful proof: improves certain slope-bounds proved for proving stability of B_X^1 , $F_*(L)$ and uses a critical construction of JRXY: that $F^*(F_*(M))$ carries a canonical filtration.

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The JRXY filtration alluded to here is the following: Let $V_p = V = F^*(F_*(E))$,

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ho-1} = \operatorname{ker}(V_{
ho} = F^*(F_*(E)) o E),$$

for $0 \le i \le p-2$ let

$$V_i = \ker(V_{i+1} \to V \otimes \Omega^1_X \to (V/V_{i+1}) \otimes \Omega^1_X).$$

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Opers III

The following result which combines the results of JRXY and Sun provides the basic example of opers in characteristic p > 0.

Theorem

Let E be any stable vector bundle over X and let $F : X \to X$ be the absolute Frobenius of X. Then the triple

$$(V = F^*(F_*(E)), \nabla^{can}, V_{\bullet}),$$

where V_{\bullet} is the canonical filtration defined by JRXY is a dormant oper of type $\operatorname{rk}(E)$ and length p. Moreover, there is an equality $V_0/V_1 = E$.

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Main Theorem II

Theorem

Let $r \ge 2$ be an integer and put C(r,g) = r(r-1)(r-2)(g-1). If p > C(r,g), then we have

- Every stable, Frobenius-destabilized vector bundle V of rank r and slope µ(V) = µ over X is a subsheaf V → F_{*}(Q) for some stable vector bundle Q of rank rk (Q) < r and µ(Q) < pµ.
- Conversely, given a semistable vector bundle Q with rk (Q) < r and µ(Q) < pµ, every subsheaf V → F_{*}(Q) of rank rk (V) = r and slope µ(V) = µ is semistable and destabilized by Frobenius.

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- For *p* = 2 this result was proved by JRXY.
- The road, from p = 2, to the above theorem involves considerable issues which simply do not show up for p = 2.
- For instance: one major difficulty is this: suppose F*(V) is not semi-stable and say F*(V) → Q is a destabilizing quotient of minimal slope, then by adjunction one obtains a morphism V → F_{*}(Q).
- But is this mapping injective? This is a major headache but relatively simpler to handle for p = 2 or r = 2 (as was shown by JRXY).

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The degree zero case

In the case when the degree of the Frobenius-destabilized bundle equals 0, we the following.

Theorem (Main Theorem III)

Let X be a smooth, projective curve of genus $g \ge 2$ over an algebraically closed field k of characteristic p. If p > C(r, g), then every stable, Frobenius-destabilized vector bundle V of rank r and of degree 0 over X is a subsheaf

 $V \hookrightarrow F_*(Q)$

for some stable vector bundle Q of rank rk(Q) < r and degree deg(Q) = -1.

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A quot-scheme

- Let 1 ≤ q ≤ r − 1 be an integer and let M(q, −1) be the moduli space of semistable bundles of rank q and degree −1 over the curve X.
- As gcd(q, -1) = 1 we are in the coprime case and so every semistable bundle $Q \in \mathcal{M}(q, -1)$ is stable.
- So there exists a universal Poincaré bundle \mathcal{U} on $\mathcal{M}(q,-1) \times X$.
- Let Quot(q, r, 0) be the relative Quot-scheme:

$$\alpha: \operatorname{Quot}^{r,0}((F \times \operatorname{id}_{\mathcal{M}(q,-1)})_*\mathcal{U}) \longrightarrow \mathcal{M}(q,-1)$$

 The fibre α⁻¹(Q) over a point Q ∈ M(q, −1) equals Quot^{r,0}(F_{*}(Q)) of quotients F_{*}(Q) with associated kernel of rank r and degree 0.

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Theorem (Main Theorem IV)

If p > C(r, g), then the image of the forgetful morphism

$$\pi: \coprod_{q=1}^{r-1} \mathcal{Q}\mathrm{uot}(q,r,0) \longrightarrow \mathcal{M}(r), \qquad [E \subset F_*(Q)] \mapsto E$$

is contained in the locus $\mathcal{J}(r)$ and contains the closure $\overline{\mathcal{J}^s(r)}$ of the stable locus $\mathcal{J}^s(r)$.

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Oper polygons

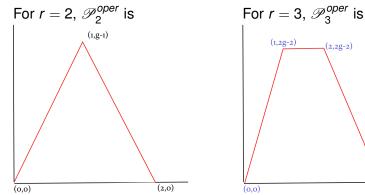
We introduce the oper-polygon

 \mathscr{P}_r^{oper} : with vertices (i, i(r-i)(g-1)) for $0 \le i \le r$.

This is a convex polygon with line segments of integer slopes.

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Examples



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Oper Polygons are maximal

Theorem (Main Theorem V)

Let (V, ∇) be a semistable local system of rank r and degree 0. Then

- \mathcal{P}_V lies on or below \mathcal{P}_r^{oper} .
- 2 And the equality

 $\mathscr{P}_r^{oper} = \mathscr{P}_V$

holds if and only if the triple $(V, \nabla, V_{\bullet}^{HN})$ is an oper.

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- This theorem is, in some sense an analogue of Mazur's Theorem (Katz' conjecture for *F*-crystals).
- The oper polygon is a polygon with integer slopes and integer break points. It plays the role of Hodge polygon.
- The theorem is equivalent to a bunch of a complicated inequalities for slopes of F*(V).

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Theorem (Main Theorem VI)

Let $r \ge 2$ be an integer and assume p > C(r, g). Then we have

Given a line bundle Q of degree deg(Q) = -(r-1)(g-1), the Quot-scheme $Quot^{r,0}(F_*(Q))$ is non-empty and any vector bundle $W \in Quot^{r,0}(F_*(Q))$ we have

 $(F^*(W), \nabla^{can})$ with $\mathscr{P}_{F^*W} = \mathscr{P}_r^{oper}$,

i.e., the triple $(F^*(W), \nabla^{can}, (F^*(W))^{HN})$ *is a dormant oper.*

Conversely, any dormant oper of degree 0 is of the form $(F^*(W), \nabla^{can}, (F^*(W))^{HN})$ with $W \in \text{Quot}^{r,0}(F_*(Q))$ for some line bundle Q of degree $\deg(Q) = -(r-1)(g-1)$.

As a corollary we deduce:

Corollary

Assume p > C(g, r). Then the locus of semistable bundles V of degree zero with $\mathcal{P}_V = \mathcal{P}_r^{oper}$ is finite. This is the zero dimensional stratum of the instability locus $\mathcal{J}(r)$.

Frobenius, opers and Hitchin-Mochizuki morphism

The r = 2 case

- In this case C(2, g) = 0, so results are valid for all $p \ge 2$,
- and J^s(2) = J(2) as there are no strictly semistable rank-2 Frobenius-destabilized vector bundles.
- A formal consequence of results of S. Mochizuki, pointed out by B. Osserman, is that dim J(2) = 2g − 4 for a general curve X under the assumption p > 2g − 2.
- JRXY have shown that this is true for any $X (g \ge 2)$ if p = 2.

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As an application of our results on opers we obtain the following information on the locus of Frobenius-destabilized bundles $\mathcal{J}(2)$.

Theorem (Main Theorem VII)

For any X with $g \ge 2$ and $p \ge 2$, any irreducible component of $\mathcal{J}(2)$ containing a dormant oper has dimension 2g - 4.

Dormant opers always exists and so there is at least one irreducible component which satisfies the conditions of the theorem.

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The key estimate

The key technical tool in the the proof of Main Theorem II is the following:

Theorem (Key Estimate)

Let *Q* be a semistable vector bundle over the curve *X*. Let $\delta \in \mathbb{R}^{>0}$ and let *n* be a positive integer. Assume that $p > \frac{(n-1)(g-1)}{\delta}$. Then any subbundle $W \subset F_*(Q)$ of rank rk (*W*) $\leq n$ has slope

$$\mu(\boldsymbol{W}) < \frac{\mu(\boldsymbol{Q})}{\boldsymbol{p}} + \delta.$$

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Key Estimate \Rightarrow Main Theorem II

Let *V* be a stable and Frobenius-destabilized vector bundle of rank *r* and slope $\mu(V) = \mu$. Consider the first quotient *Q* of the Harder-Narasimhan filtration of $F^*(V)$. So we have a stable *Q* such that

$$F^*(V) o Q$$
 and $p\mu = \mu(F^*(V)) > \mu(Q).$

Moreover $\operatorname{rk}(Q) < \operatorname{rk}(V) = r$. By adjunction we obtain a non-zero map

$$V o F_*(Q).$$

So to prove Main Theorem II it will suffice to prove that this map is injective.

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Key Estimate \Rightarrow Main Theorem II

Suppose that this is not the case. Then the image of $V \rightarrow F_*(Q)$ generates a subbundle, say, $W \subset F_*(Q)$ and one has $1 \leq \operatorname{rk}(W) \leq r - 1$ and by the stability of *V*, we have

$$\mu(V) = \mu < \mu(W).$$

Now we observe that we can bound $\mu(W)$ from below

$$\mu(W) \ge \mu + \frac{1}{r(r-1)} > \frac{\mu(Q)}{p} + \frac{1}{r(r-1)}.$$

The proof of Main Theorem II now follows from the Key Estimate with $\delta = \frac{1}{r(r-1)}$ and n = r - 1.

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Proof of the Key Estimate

Here are the important issues:

- The Key Estimate is a substantial strengthening of bounds for subbundles of F_{*}(Q) proved (and improved) by various people starting with JRXY, Joshi, Lange-Pauly, Sun.
- Sun's bound are useful for proving stability of F_{*}(Q) (for Q stable) but are not strong enough to prove stability of the subsheaves (of the sort which come up in proving injectivity of V → F_{*}(Q)).
- The Proof of the Key Estimate uses the fact (combining result of JRXY and Sun) that F*(F*(Q)) carries a structure of a dormant oper in a critical way.

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Proof of Main Theorem III: The degree zero case

- By Main Theorem II, every V of rank r and degree zero is a subsheaf of F_{*}(Q) for some stable Q with μ(Q) < 0.
- We observe that if $Q \subset Q'$ is a subsheaf then $F_*(Q) \subset F_*(Q')$, so to find a Q' of degree -1, starting with Q, we perform upper modifications on Q.
- This needs a delicate technical argument because a general modification will disturb stability of *Q* but we will not give its proof here.

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Dper polygons Structure of dormant opers Rank two case The key bound Canonical sections for small p

Canonical sections for small *p*

The results of Joshi and Raynaud can be stated as follows:

Theorem

For p > 2, the bundle $\mathbb{P}(F^*(B^1_X))$ together with its Cartier connection and the Harder-Narasimhan filtration is a dormant oper.

Equivalently: The morphism $\operatorname{Nil}_{p-1} \to \mathfrak{M}_g$ has a canonical section whose image lies in the dormant locus.

Even for p = 2 we have a canonical section (this is implicit in JRXY). The prescription is as follows. For p = 2, B_X^1 is a line bundle of degree g - 1 and is a canonical theta line bundle. Then $(F^*(F_*((B_X^1)^{-1}), \nabla^{can}, HN_{\bullet}))$ is a canonical dormant oper (on any genus $g \ge 2$ curve). In contrast if p > r + 1 then there are no canonical sections of Nil_r $\rightarrow \mathfrak{M}_g$.