

Explicit formulas for Hasse-Witt invariants of cyclotomic function fields with conductor of degree two

By

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§ 1. Introduction

Let p be a prime. Let \mathbb{F}_q be the field with $q = p^r$ elements. Let $k = \mathbb{F}_q(T)$ be the rational function field over \mathbb{F}_q , and let $A = \mathbb{F}_q[T]$ be the polynomial subring of k . For a monic polynomial $m \in A$, we denote the m -th cyclotomic function field by K_m . For definitions and basic properties of cyclotomic function field, see [Go], [Ha], and [Ro].

Let us denote by J_m the Jacobian of $K_m \bar{\mathbb{F}}_q$, where $\bar{\mathbb{F}}_q$ is an algebraic closure of \mathbb{F}_q . For a prime l , it is well-known that the l -primary subgroup $J_m(l)$ of J_m satisfies

$$J_m(l) \simeq \begin{cases} \bigoplus_{i=1}^{2g_m} \mathbb{Q}_l / \mathbb{Z}_l & \text{if } l \neq p, \\ \bigoplus_{i=1}^{\lambda_m} \mathbb{Q}_p / \mathbb{Z}_p & \text{if } l = p, \end{cases}$$

where g_m is the genus of K_m , and λ_m is an integer where $0 \leq \lambda_m \leq g_m$. The integer λ_m is called the Hasse-Witt invariant of K_m .

Kida and Murabayashi gave an explicit formula for g_m for all monic polynomial $m \in A$ as Corollary 1 in the section 2 of [K-M]. Applying their genus formula to the cases of $\deg m = 1$ and $\deg m = 2$, we have gotten

Theorem 1.1. *Let $m \in A$ be a monic polynomial.*

(1) *If $\deg m = 1$, then we have $g_m = 0$.*

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(2) If $\deg m = 2$, then we have

$$g_m = \begin{cases} \frac{(q-2)(q+1)}{2} & \text{if } m \text{ is irreducible,} \\ \frac{(q-2)(q-1)}{2} & \text{if } m = P^2 \text{ where } P \text{ is a monic polynomial} \\ & \text{of degree one,} \\ \frac{(q-2)(q-3)}{2} & \text{if } m = PQ \text{ where } P, Q \text{ are distinct monic} \\ & \text{polynomials of degree one.} \end{cases}$$

Next we consider the Hasse-Witt invariant case. The main theorem of this paper is the following results.

Theorem 1.2. *Let $m \in A$ be a monic polynomial, and $q = p^r$.*

(1) If $\deg m = 1$, then we have $\lambda_m = 0$.

(2) If $\deg m = 2$, then we have

$$\lambda_m = \begin{cases} \left(\frac{p(p+1)}{2}\right)^r - q - 1 & \text{if } m \text{ is irreducible,} & (I) \\ 0 & \text{if } m = P^2 \text{ where } P \text{ is a monic polynomial} & (II) \\ & \text{of degree one,} \\ \left(\frac{p(p+1)}{2}\right)^r - 3q + 3 & \text{if } m = PQ \text{ where } P, Q \text{ are distinct} & (III) \\ & \text{monic polynomials of degree one.} \end{cases}$$

Remark. Noting that $\lambda_m \leq g_m$, we have $\lambda_m = 0$ if $\deg m = 1$. Hence we obtain the first assertion of Theorem 1.2.

We call K_m ordinary if $\lambda_m = g_m$. By comparing Theorem 1.1 and 1.2, we obtain the following results.

Corollary 1.3. *Let $m \in A$ be a monic polynomial of degree two.*

(1) Assume that $q = p$. Then K_m is ordinary if and only if one of the following conditions holds: (a) $q = 2$, (b) m is irreducible, (c) $m = PQ$ where P, Q are distinct polynomials of degree one.

(2) Assume that $q = p^r$ ($r \geq 2$). Then K_m is not ordinary.

The second assertion of Corollary 1.3 is generalized as follows:

Theorem 1.4. *Assume that $q = p^r (r \geq 2)$, and $m \in A$ is a monic polynomial. Then K_m is ordinary if and only if $\deg m = 1$. In this case, K_m is rational.*

§ 2. Preparations

In this section, we review some basic facts for zeta functions, L -functions, and power residue symbols.

Let us define the zeta function of K_m as follows

$$\zeta(s, K_m) = \prod_{\mathfrak{p}:\text{prime}} \left(1 - \frac{1}{N\mathfrak{p}^s}\right)^{-1},$$

where \mathfrak{p} runs through all primes of K_m , and $N\mathfrak{p}$ is the number of elements of the residue class field of \mathfrak{p} . By the standard fact about the zeta function, there is a polynomial $Z_m(u) \in \mathbb{Z}[u]$ such that

$$\zeta(s, K_m) = \frac{Z_m(q^{-s})}{(1 - q^{-s})(1 - q^{1-s})}.$$

Then we have the following relation between λ_m and $Z_m(u)$.

Theorem 2.1. *(cf. Proposition 11.20 in [Ro]).*

$$\lambda_m = \deg \bar{Z}_m(u),$$

where $\bar{Z}_m(u) \in \mathbb{F}_p[u]$ is the reduction of $Z_m(u)$ modulo p .

Let X_m be the group of all primitive Dirichlet characters modulo m . Then $\zeta(s, K_m)$ can be written as follows

$$\zeta(s, K_m) = \left\{ \prod_{\chi \in X_m} L(s, \chi) \right\} (1 - q^{-s})^{-\frac{[K_m:k]}{q-1}},$$

where $L(s, \chi) = \sum_{\substack{a \in A \\ a:\text{monic}}} \chi(a)q^{-s \deg a}$. (cf. Lemma 2.1 in [Sh1]).

For a character $\chi \in X_m$, we call χ real if $\chi(a) = 1$ for all $a \in \mathbb{F}_q^\times$. Otherwise, we call χ imaginary.

Let $m \in A$ be a monic polynomial of degree d . For $\chi \in X_m$, we put

$$s_i(\chi) = \sum_{\substack{a:\text{monic} \\ \deg a=i}} \chi(a).$$

Then it is known that

- $s_i(\chi) = 0$ if χ is non-trivial and $i \geq \deg f_\chi$,
- $\sum_{i=0}^{d-1} s_i(\chi) = 0$ if χ is non-trivial and real,

where f_χ is the conductor of χ (cf. section 3 in [G-R]). Assume that $d = 2$. Then $L(s, \chi)$ can be calculated as follows

$$L(s, \chi) = \begin{cases} (1 - q^{1-s})^{-1} & \text{if } f_\chi = 1, \\ 1 & \text{if } \deg f_\chi = 1, \\ 1 - q^{-s} & \text{if } f_\chi = m, \text{ and } \chi \text{ is real,} \\ 1 + s_1(\chi)q^{-s} & \text{if } f_\chi = m, \text{ and } \chi \text{ is imaginary.} \end{cases}$$

Hence we obtain

$$(2.1) \quad Z_m(u) = \prod_{\substack{f_\chi=m \\ \chi:\text{imaginary}}} (1 + s_1(\chi)u).$$

In the end of this section, we review a power residue symbol. For an integer $n \geq 2$, let W_n be the set of all n -th roots of unity. Let K be a number field containing W_n , and let \mathcal{O}_K be the ring of integers of K . Let \mathfrak{p} be a prime ideal of K not dividing n . For $\alpha \in \mathcal{O}_K$ which is prime to \mathfrak{p} , there exists uniquely $\left(\frac{\alpha}{\mathfrak{p}}\right)_n \in W_n$ satisfying

$$\left(\frac{\alpha}{\mathfrak{p}}\right)_n \equiv \alpha^{(N\mathfrak{p}-1)/n} \pmod{\mathfrak{p}}.$$

We call $\left(\frac{\cdot}{\mathfrak{p}}\right)_n$ the power residue symbol mod \mathfrak{p} of order n .

§ 3. A proof of Theorem 1.2

The purpose of this section is to prove the second assertion of Theorem 1.2.

§ 3.1. The case (I)

Assume that m is a monic irreducible polynomial of degree two. Take $\gamma \in \mathbb{F}_{q^2}$ so that $m(\gamma) = 0$. Then $f(T) \mapsto f(\gamma)$ gives rise to an isomorphism $A/mA \xrightarrow{\sim} \mathbb{F}_{q^2}$. Now let \mathfrak{p} be a prime ideal of $K = \mathbb{Q}(e^{2\pi i/(q^2-1)})$ dividing p , and let $\chi_{\mathfrak{p}} = \left(\frac{\cdot}{\mathfrak{p}}\right)_{q^2-1}$ be the power residue symbol mod \mathfrak{p} of order $q^2 - 1$. We see that $\chi_{\mathfrak{p}}^n$ is real if and only if n is divisible by $q - 1$. Therefore, by the equality (2.1), we have

$$(3.1) \quad Z_m(u) = \prod_{\substack{0 \leq n \leq q^2-2 \\ n \not\equiv 0 \pmod{q-1}}} (1 + s_1(\chi_{\mathfrak{p}}^n)u).$$

Under the identification $A/mA = \mathbb{F}_{q^2}$, we have an equality

$$s_1(\chi_{\mathfrak{p}}^n) = \sum_{\alpha \in \mathbb{F}_q} (\gamma + \alpha)^n$$

in $\mathbb{F}_{q^2} = \mathcal{O}_K/\mathfrak{p}$.

For $1 \leq n \leq q^2 - 2$ ($n \not\equiv 0 \pmod{q-1}$), we consider the q -adic expansion $n = a(n) + b(n)q$. By the Newton formula, we have gotten

$$\sum_{\alpha \in \mathbb{F}_q} (T + \alpha)^n = - \binom{b(n)}{q-1-a(n)} (T^q - T)^{a(n)+b(n)-(q-1)},$$

as was verified by Gekeler (cf. Corollary 3.14 in [Ge]). Here $\binom{*}{*}$ is a binomial coefficient. This implies an equality

$$s_1(\chi_{\mathfrak{p}}^n) = - \binom{b(n)}{q-1-a(n)} (\gamma^q - \gamma)^{a(n)+b(n)-(q-1)}$$

in \mathbb{F}_{q^2} . Notice that $\binom{b(n)}{q-1-a(n)} \equiv 0 \pmod{p}$ for $a(n) + b(n) < q - 1$. Therefore, by Theorem 2.1 and the equality (3.1), we obtain

$$(3.2) \quad \lambda_m = \# \left\{ 1 \leq n \leq q^2 - 2 : a(n) + b(n) > q - 1, \binom{b(n)}{q-1-a(n)} \not\equiv 0 \pmod{p} \right\},$$

where $\#S$ is the number of elements of a set S . Next we will calculate the right side of the equality (3.2). For $1 \leq n \leq q^2 - 2$, we put

$$\begin{aligned} a(n) &= a_0(n) + a_1(n)p + \cdots + a_{r-1}(n)p^{r-1}, \\ b(n) &= b_0(n) + b_1(n)p + \cdots + b_{r-1}(n)p^{r-1}, \end{aligned}$$

where $0 \leq a_i(n), b_i(n) \leq p - 1$ ($i = 0, 1, \dots, r - 1$). Since

$$\begin{aligned} & q - 1 - a(n) \\ &= (p - 1 - a_0(n)) + (p - 1 - a_1(n))p + \cdots + (p - 1 - a_{r-1}(n))p^{r-1}, \end{aligned}$$

we have

$$\binom{b(n)}{q-1-a(n)} \equiv \prod_{i=0}^{r-1} \binom{b_i(n)}{p-1-a_i(n)} \pmod{p}.$$

Hence we obtain the following equivalence

$$\binom{b(n)}{q-1-a(n)} \not\equiv 0 \pmod{p} \Leftrightarrow a_i(n) + b_i(n) \geq p - 1 \quad (0 \leq i \leq r - 1).$$

We see that

$$\begin{aligned} \left(\frac{p(p+1)}{2}\right)^r &= \#\{n \in [0, q^2 - 1] : a_i(n) + b_i(n) \geq p - 1 \ (0 \leq i \leq r - 1)\}, \\ q &= \#\{n \in [0, q^2 - 1] : a(n) + b(n) = q - 1\}, \\ 1 &= \#\{n \in [0, q^2 - 1] : a(n) + b(n) = 2(q - 1)\}, \end{aligned}$$

where $[0, q^2 - 1] = \{0, 1, 2, \dots, q^2 - 1\}$. Therefore we have

$$\lambda_m = \left(\frac{p(p+1)}{2}\right)^r - q - 1.$$

§ 3.2. The case (II)

Let $\alpha \in \mathbb{F}_q$ and $m(T) = (T - \alpha)^2$. Let ε denote the image of $T - \alpha$ in A/mA . Then $f(T) \mapsto f(\alpha) + f'(\alpha)\varepsilon$ gives rise to an isomorphism $A/mA \xrightarrow{\sim} \mathbb{F}_q[\varepsilon]$. It follows that any character $\chi : (A/mA)^\times \rightarrow \mathbb{C}^\times$ is given by $f(T) \mapsto \eta(f(\alpha))\psi(f'(\alpha)/f(\alpha))$, where η is a multiplicative character of \mathbb{F}_q , and ψ is an additive character of \mathbb{F}_q . Furthermore $s_1(\chi)$ is nothing but the Gauss sum $G(\eta^{-1}, \psi)$. It is readily seen that

- χ is trivial $\Leftrightarrow \eta$ is trivial and ψ is trivial,
- $\deg f_\chi = 1$ $\Leftrightarrow \eta$ is non-trivial and ψ is trivial,
- $f_\chi = m$ and χ is real $\Leftrightarrow \eta$ is trivial and ψ is non-trivial,
- $f_\chi = m$ and χ is imaginary $\Leftrightarrow \eta$ is non-trivial and ψ is non-trivial.

By the equality (2.1), we have

$$Z_m(u) = \prod (1 + G(\eta^{-1}, \psi)u),$$

where η runs through all non-trivial multiplicative characters of \mathbb{F}_q , and ψ runs through all non-trivial additive characters of \mathbb{F}_q .

Let \mathfrak{p} be a prime ideal of $\mathbb{Q}(e^{2\pi i/p}, e^{2\pi i/(q-1)})$ dividing p . If η is non-trivial and ψ is non-trivial, then we have $G(\eta^{-1}, \psi) \in \mathfrak{p}$ by the Stickelberger theorem for Gauss sums (cf. Theorem 11.2.1 in [B-E-W]). Hence we obtain $\lambda_m = 0$ by Theorem 2.1. This completes the proof of the case (II).

Remark. I appreciate that the referee taught me the above proof. We can generalize the case (II) as follows: $\lambda_{P^n} = 0$ ($n \geq 0$) if P is a monic polynomial of degree one (cf. Proposition 3.2 in [Sh1]).

§ 3.3. The case (III)

Let $\alpha, \beta \in \mathbb{F}_q$ ($\alpha \neq \beta$) and $m(T) = (T - \alpha)(T - \beta)$. Then $f(T) \mapsto (f(\alpha), f(\beta))$ gives rise to an isomorphism $(A/mA)^\times \xrightarrow{\sim} \mathbb{F}_q^\times \times \mathbb{F}_q^\times$. It follows that any character $\chi : (A/mA)^\times \rightarrow \mathbb{C}^\times$ is given by $f(T) \mapsto \chi_1(f(\alpha))\chi_2(f(\beta))$, where χ_1 and χ_2 are the multiplicative characters of \mathbb{F}_q . Furthermore we have an equality

$$(3.3) \quad s_1(\chi) = \chi_2(-1)(\chi_1\chi_2)(\alpha - \beta)J(\chi_1, \chi_2),$$

where $J(\chi_1, \chi_2)$ denotes the Jacobi sum associated to χ_1 and χ_2 . It is readily seen that

- χ is trivial $\Leftrightarrow \chi_1$ and χ_2 are trivial,
- $\deg f_\chi = 1 \Leftrightarrow$ one of χ_1 and χ_2 is non-trivial and the other is trivial,
- $f_\chi = m$ and χ is real $\Leftrightarrow \chi_1$ and χ_2 are non-trivial and $\chi_1\chi_2$ is trivial ,
- $f_\chi = m$ and χ is imaginary $\Leftrightarrow \chi_1, \chi_2$, and $\chi_1\chi_2$ are non-trivial.

Let \mathfrak{p} be a prime ideal of $\mathbb{Q}(e^{2\pi i/(q-1)})$ above p . Let $\chi_{\mathfrak{p}} = \left(\frac{\cdot}{\mathfrak{p}}\right)_{q-1}$ be the power residue symbol mod \mathfrak{p} of order $q - 1$. Then we have the following one to one corresponding

$$\left\{ \chi \in X_m : \begin{array}{l} \chi \text{ is imaginary of} \\ \text{conductor } m \end{array} \right\} \xleftrightarrow{1:1} \left\{ (\chi_{\mathfrak{p}}^{n_1}, \chi_{\mathfrak{p}}^{n_2}) : \begin{array}{l} 1 \leq n_1, n_2 \leq q - 2, \\ n_1 + n_2 \not\equiv 0 \pmod{q - 1} \end{array} \right\}.$$

By the equalities (2.1) and (3.3), we have

$$\begin{aligned} \lambda_m &= \deg(Z_m(u) \pmod{\mathfrak{p}}) \\ &= \sum_{\substack{1 \leq n_1 \leq q-2 \\ 1 \leq n_2 \leq q-2 \\ n_1 + n_2 \not\equiv 0 \pmod{q-1}}} \deg(1 + \chi_{\mathfrak{p}}^{n_2}(-1)\chi_{\mathfrak{p}}^{n_1+n_2}(\alpha - \beta)J(\chi_{\mathfrak{p}}^{n_1}, \chi_{\mathfrak{p}}^{n_2})u \pmod{\mathfrak{p}}). \end{aligned}$$

Next we will calculate $\text{ord}_{\mathfrak{p}}J(\chi_{\mathfrak{p}}^{n_1}, \chi_{\mathfrak{p}}^{n_2})$, where $\text{ord}_{\mathfrak{p}}$ is the valuation of \mathfrak{p} . For an integer $n \in \mathbb{Z}$, we define $L(n) \in \mathbb{Z}$ as follows

$$0 \leq L(n) < q - 1, \quad L(n) \equiv n \pmod{q - 1}.$$

We consider the p -adic expansion

$$L(n) = a_0(n) + a_1(n)p + \cdots + a_{r-1}(n)p^{r-1} \quad (0 \leq a_i(n) < p).$$

Define $l(n)$ as follows

$$l(n) = a_0(n) + a_1(n) + \cdots + a_{r-1}(n).$$

For $1 \leq n_1, n_2 \leq q-2$ ($n_1 + n_2 \neq q-1$), it is known as the Stickelberger theorem that

$$\begin{aligned} \text{ord}_p J(\chi_p^{n_1}, \chi_p^{n_2}) &= r - \frac{l(n_1) + l(n_2) - l(n_1 + n_2)}{p-1} \\ &= r - \# \left\{ 0 \leq i \leq r-1 : L(n_1 p^i) + L(n_2 p^i) > q-1 \right\} \end{aligned}$$

(cf. Corollary 11.2.4 and Theorem 11.2.9 in [B-E-W]). Noting that

$$J(\chi_p^{n_1}, \chi_p^{n_2}) J(\chi_p^{q-1-n_1}, \chi_p^{q-1-n_2}) = q,$$

we obtain

$$\begin{aligned} \lambda_m &= \# \left\{ (n_1, n_2) \in [1, q-2]^2 : \begin{array}{l} n_1 + n_2 \not\equiv 0 \pmod{q-1}, \\ \text{ord}_p J(\chi_p^{n_1}, \chi_p^{n_2}) = 0 \end{array} \right\} \\ &= \# \left\{ (n_1, n_2) \in [1, q-2]^2 : \begin{array}{l} n_1 + n_2 \not\equiv 0 \pmod{q-1}, \\ \text{ord}_p J(\chi_p^{n_1}, \chi_p^{n_2}) = r \end{array} \right\} \\ &= \# \left\{ (n_1, n_2) \in [1, q-2]^2 : \begin{array}{l} n_1 + n_2 \not\equiv 0 \pmod{q-1}, \\ l(n_1) + l(n_2) = l(n_1 + n_2) \end{array} \right\} \end{aligned}$$

by the Stickelberger theorem. We see that

$$\begin{aligned} l(n_1) + l(n_2) &= l(n_1 + n_2) \\ \iff L(n_1 p^{r-1-i}) + L(n_2 p^{r-1-i}) &\leq q-1 \quad (i = 0, 1, 2, \dots, r-1) \\ \iff a_i(n_1) + a_i(n_2) &\leq p-1 \quad (i = 0, 1, 2, \dots, r-1). \end{aligned}$$

Therefore we have

$$\lambda_m = \# \left\{ (n_1, n_2) \in [1, q-2]^2 : \begin{array}{l} n_1 + n_2 \not\equiv 0 \pmod{q-1}, \\ a_i(n_1) + a_i(n_2) \leq p-1 \quad (0 \leq i \leq r-1) \end{array} \right\}.$$

Notice that

$$\begin{aligned} \left(\frac{p(p+1)}{2} \right)^r &= \# \left\{ (n_1, n_2) \in [0, q-1]^2 : a_i(n_1) + a_i(n_2) \leq p-1 \quad (0 \leq i \leq r-1) \right\}, \\ 3q-3 &= \# \left\{ (n_1, n_2) \in [0, q-1]^2 : n_1 = 0 \text{ or } n_2 = 0 \text{ or } n_1 + n_2 = q-1 \right\}. \end{aligned}$$

Hence we have

$$\lambda_m = \left(\frac{p(p+1)}{2} \right)^r - 3q + 3.$$

§ 4. A proof of Theorem 1.4

The purpose of this section is to prove Theorem 1.4.

Lemma 4.1. *Let m_1, m_2 be monic polynomials such that $m_1 | m_2$. If K_{m_2} is ordinary, then K_{m_1} is also ordinary.*

This follows from the following general result.

Lemma 4.2. *Let k be a field of characteristic p , and let $\pi : Y \rightarrow X$ be a finite covering of projective non-singular curves over k . If Y is ordinary, then X is also ordinary.*

Proof. We give a proof for the reader's convenience. Let A, B be the Jacobians of X, Y , respectively. Then π induces the homomorphism of abelian varieties $\pi^* : A \rightarrow B$, and the embedding of p -divisible groups $\pi^* : T_p A \rightarrow T_p B$. Assume that Y is ordinary. Then each slope of $T_p B$ is only 0 or 1. Hence each slope of $T_p A$ is only 0 or 1. Therefore X is also ordinary. \square

Now we prove Theorem 1.4.

Proof. Assume that $\deg m = 1$. Then we have $g_m = \lambda_m = 0$. Hence K_m is ordinary. Conversely, we assume that K_m is ordinary. Let $m = Q_1^{n_1} Q_2^{n_2} \cdots Q_t^{n_t}$ be the irreducible factorization, where Q_1, Q_2, \dots, Q_t are distinct monic polynomials. By Lemma 4.1, $K_{Q_i^{n_i}}$ is ordinary for each i . It follows from Corollary 1.3 and Corollary 3.1 in [Sh2] that $\deg Q_i = 1$ and $n_i = 1$. Now suppose that $t \geq 2$. Again by Lemma 4.1, $K_{Q_1 Q_2}$ is ordinary, which contradicts to the second assertion of Corollary 1.3. \square

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