

THAINE'S METHOD FOR CIRCULAR UNITS AND A CONJECTURE OF GROSS

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ABSTRACT. We formulate a conjecture analogous to Gross' refinement of the Stark conjectures on special values of abelian L -series at $s = 0$. Some evidence for the conjecture can be obtained, thanks to the fundamental ideas of F. Thaine.

1. Introduction. This paper formulates a refined analogue of the usual class number formula for a real quadratic extension of \mathbf{Q} , using circular units. The statement of this conjecture is inspired by an analogous conjecture of Gross [Gr]. Strong evidence for this conjecture can be given thanks to F. Thaine's powerful method [Th] for generating relations in ideal class groups using circular units.

The first two sections briefly recall Dirichlet's analytic class number formula and Gross's refinement of it; they are there mainly to fix notations and provide motivation. Section 4 states the new conjecture. The remaining sections are devoted to proving various results that support it.

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NOTATIONS. If K is a number field and w is a place of K lying above a prime v of \mathbf{Q} , we denote by K_w the localization of K at w , and let $\mathbf{N}w$ be the order of its residue field. The w -adic norm $\| \cdot \|_w$ is normalized so that it is equal to $\mathbf{N}w^{-1}$ on uniformizing elements.

Given a finite abelian extension M/K , we let

$$(1) \quad \text{rec}_w: K_w^* \longrightarrow \text{Gal}(M/K)$$

denote the reciprocity map of local class field theory. When w is unramified in M/K , it factors through the valuation map $K_w^* \rightarrow \mathbf{Z}$ and maps uniformizing elements to Frob_w , the Frobenius element in $\text{Gal}(M/K)$ characterized by

$$(2) \quad \text{Frob}_w(x) = x^{\mathbf{N}w} \pmod{\tilde{w}},$$

where \tilde{w} is any place of M above w .

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We write $\text{Div}(K)$ for the free \mathbf{Z} -module generated by the finite places of K , and $P(K)$ for the submodule generated by the principal divisors. The class group $C(K)$ is the quotient $\text{Div}(K)/P(K)$. Given a set S of places of K , let $\langle S \rangle$ be the \mathbf{Z} -span of the elements of S in $\text{Div}(K)$, and let

$$(3) \quad C_S(K) = \langle S \rangle \setminus \text{Div}(K)/P(K).$$

2. Dirichlet's analytic class number formula. We recall briefly the analytic class number formula of Dirichlet relating the behavior of the L -series of a number field at $s = 0$ to the arithmetic properties of that number field. The exposition follows closely the one in [Gr].

Let K be a number field, and choose a finite set S of places of K containing all of the archimedean places. Let T be a finite set of places of K disjoint from S .

There is associated to this situation the local data which describes the splitting of the primes in K . This data is conveniently encoded in the Euler product

$$(4) \quad L_{S,T}(K, s) = \prod_{v \notin S} (1 - \mathbf{N}v^{-s})^{-1} \prod_{v \in T} (1 - \mathbf{N}v^{1-s}).$$

Here the products are taken over the non-archimedean places of K . The Euler product defines the L -function $L_{S,T}(K, s)$ in some right half plane of convergence, and it is known that $L_{S,T}(K, s)$ has a meromorphic continuation to the entire complex plane.

The number field K together with the sets S and T gives rise to more subtle global invariants.

1. The group $(O_S^*)_T$ of S -units which are congruent to 1 modulo the places of T . This is a finitely generated abelian group which is free when T is large enough. Let r denote the rank of this group. By Dirichlet's unit theorem, one has $r = \#(S) - 1$.

2. The torsion subgroup $[(O_S^*)_T]_{\text{torsion}}$ which is cyclic of order $w_{S,T}$. (Typically we will choose T so that $w_{S,T} = 1$.)

3. The Picard group $\text{Pic}(O_S)_T$ of invertible O_S -modules together with a trivialization at T . It is a finite extension of $C_S(K)$. Let $h_{S,T}$ denote its order.

4. The S -unit regulator $R_{S,T}$, defined as follows. Let $X = \text{Div}^0(S)$ be the free abelian group generated by the formal linear combinations of places of S of degree 0,

$$X = \left\{ \sum_{v \in S} n_v v, \quad \sum n_v = 0 \right\}.$$

The logarithmic embedding $\log_S: O_S^* \rightarrow \mathbf{R} \otimes X$ of the S -units is defined by

$$(5) \quad \log_S(u) = \sum_{v \in S} \log \|u\|_v \otimes v.$$

Both $(O_S^*)_T$ and X are of rank r . Let

$$(6) \quad \Lambda^r \log_S: \Lambda^r O_S^* \longrightarrow \Lambda^r (\mathbf{R} \otimes X)$$

denote the map induced by \log_S on the top exterior powers, and define the regulator $R_{S,T}$ by

$$(7) \quad \Lambda^r \log_S(\gamma_1 \wedge \cdots \wedge \gamma_r) = R_{S,T} \otimes (v_1 \wedge \cdots \wedge v_r),$$

where $\gamma_1, \dots, \gamma_r$ (resp. v_1, \dots, v_r) are integral bases for $(O_S^*)_T$ modulo torsion (resp. X), normalized so that $R_{S,T}$ is positive.

The theorem of Dirichlet asserts that the above global invariants appear in the Taylor expansion of the L -function $L_{S,T}(K, s)$ which was constructed using purely local data. It is one of the simplest manifestations of a local global principle which is pervasive in number theory.

- THEOREM 2.1 (DIRICHLET). 1. The L -series $L_{S,T}(K, s)$ vanishes to order r at $s = 0$.
 2. The Taylor expansion of $L_{S,T}(K, s)$ at $s = 0$ is given by:

$$L_{S,T}(K, s) = -\frac{h_{S,T}R_{S,T}}{w_{S,T}}s^r + O(s^{r+1}).$$

3. Gross’s refined class number formula. We now turn to the refined class number formula of Gross, following closely the account given in [Gr].

Let L be a finite abelian extension of K which is unramified outside the places of S , and let $G = \text{Gal}(L/K)$. Define a complex-valued function $\hat{\theta}_G$ on the dual group $\hat{G} = \text{hom}(G, \mathbf{C}^*)$ by

$$(8) \quad \hat{\theta}_G(\chi) = L_{S,T}(K, \chi, 0),$$

where, for a complex character $\chi: G \rightarrow \mathbf{C}^*$ and a complex number s with $\Re s > 1$, the complex function $L_{S,T}(K, \chi, s)$ is defined by the convergent Euler product

$$L_{S,T}(K, \chi, s) = \prod_{v \notin S} (1 - \chi(\text{Frob}_v)\mathbf{N}v^{-s})^{-1} \prod_{v \in T} (1 - \chi(\text{Frob}_v)\mathbf{N}v^{1-s}).$$

This function has a meromorphic continuation to the entire complex plane and is regular at $s = 0$. Let $\theta_G \in \mathbf{C}[G]$ be the Fourier transform of $\hat{\theta}_G$,

$$\theta_G = \sum_{\chi \in \hat{G}} \hat{\theta}_G(\chi)e_\chi, \quad e_\chi = 1/|G| \sum_{g \in G} \chi(g)g^{-1}.$$

Thus, $\theta_G = \sum_{g \in G} a(g)g$ interpolates values of $L_{S,T}(K, \chi, 0)$,

$$(9) \quad \sum_{g \in G} a(g)\chi(g) = L_{S,T}(K, \chi, 0).$$

For the rest of this section, we make the following assumption on T , which forces $w_{S,T} = 1$ so that the leading term in the class number formula is integral.

HYPOTHESIS 3.1. *Suppose that T contains two primes of unequal residue characteristic, or that T contains a prime whose absolute ramification index in K is strictly less than the residue field characteristic minus 1.*

Under this condition, Gross [Gr] shows that the element θ_G belongs to the integral group ring $\mathbf{Z}[G]$.

FACT 3.2 (GROSS). θ_G belongs to $\mathbf{Z}[G]$.

The order of vanishing of θ_G : Let I denote the augmentation ideal in the group ring $\mathbf{Z}[G]$. It is the kernel of the augmentation homomorphism $\epsilon: \mathbf{Z}[G] \rightarrow \mathbf{Z}$ which sends $\sigma \in G$ to 1. The powers $I \supset I^2 \supset \dots$ define a decreasing filtration on $\mathbf{Z}[G]$. Because of the exact sequence

$$(10) \quad 0 \longrightarrow I \longrightarrow \mathbf{Z}[G] \xrightarrow{\epsilon} \mathbf{Z} \longrightarrow 0,$$

one has $\mathbf{Z}[G]/I = \mathbf{Z}$. The higher quotients in the filtration are torsion. For instance, there is a natural homomorphism $G \rightarrow I/I^2$ which sends $\sigma \in G$ to $\sigma - 1 \pmod{I^2}$. In fact, this is an isomorphism. More generally, there is a natural surjective map

$$(11) \quad \text{Sym}^r(G) \longrightarrow I^r/I^{r+1}$$

which sends $\sigma_1 \otimes \dots \otimes \sigma_r$ to $(\sigma_1 - 1) \cdots (\sigma_r - 1) \pmod{I^{r+1}}$. (This map is not necessarily an isomorphism; for a detailed study of the map $\text{Sym}(G) \rightarrow \bigoplus_r I^r/I^{r+1}$, the reader may consult [Pa], [H1], [H2].)

The element θ_G which interpolates special values at $s = 0$ of the twisted L -function $L_{S,T}(K, \chi, s)$ is what plays the role of the L -function in Gross's refined class number formula. To say that this element vanishes to order r is to say that it belongs to the r -th power of the augmentation ideal.

CONJECTURE 3.3 (GROSS). *The element θ_G belongs to I^r .*

The leading coefficient $\tilde{\theta}_G$ in the refined class number formula is defined to be the projection of θ_G to I^r/I^{r+1} . It is natural to search for an interpretation of $\tilde{\theta}_G$ which is analogous to the analytic result of Dirichlet.

To do this, it suffices to change the definition of the regulator term $R_{S,T}$ defined in the previous section. Consider the homomorphism

$$(12) \quad \text{rec}_S: O_S^* \longrightarrow (I/I^2) \otimes_{\mathbf{Z}} X$$

defined by

$$(13) \quad \text{rec}_S(u) = \sum_{v \in S} (\text{rec}_v(u_v) - 1) \otimes v,$$

where $u_v \in K_v^*$ is the natural image of u . Let $\Lambda^r \text{rec}_S$ denote the induced map on the top exterior powers:

$$\Lambda^r \text{rec}_S: \Lambda^r O_S^* \longrightarrow \Lambda^r (I/I^2 \otimes X) \longrightarrow (I^r/I^{r+1}) \otimes \Lambda^r X,$$

and define the regulator $R_{S,T}$ in I^r/I^{r+1} by

$$(14) \quad \Lambda^r \text{rec}_S(\gamma_1 \wedge \dots \wedge \gamma_r) = R_{S,T} \otimes (v_1 \wedge \dots \wedge v_r),$$

where $\gamma_1, \dots, \gamma_r$ and v_1, \dots, v_r are the integral bases chosen in Section 2.

CONJECTURE 3.4 (GROSS).

$$\tilde{\theta}_G = -h_{S,T} R_{S,T}.$$

REMARKS. 1. If K has a complex place v , then the Γ -factors in the functional equation force a zero at $s = 0$ in the twisted L -function $L_{S,T}(K, \chi, s)$ for all χ . Hence $\theta_G = 0$. But rec_v is trivial, so that $R_{S,T} = 0$ as well. Therefore the conjecture is trivially verified. It is only interesting when K is a totally real field.

2. Because of the presence of the archimedean places, one has $2R_{S,T} = 0$ in F/F^{+1} . (Also one can show that $2\tilde{\theta}_G = 0$.) Thus Gross’s conjecture for number fields is really a parity statement—it was proved by Gross when S contains only the archimedean places by using the 2-adic congruences of Deligne-Ribet for totally real fields [DR].

4. **A refined conjecture for circular units.** Let ω be an even primitive Dirichlet character of conductor N . In order to simplify the exposition, we assume that ω is quadratic, and let K denote the corresponding real quadratic field. Choose an auxiliary real abelian extension M of \mathbf{Q} with conductor prime to N , and let G denote its Galois group. For all χ in \hat{G} , the Dirichlet L -series

$$(15) \quad L_S(s, \omega\chi) = \sum_{(n,S)=1}^{\infty} \omega\chi(n)n^{-s} = \prod_{p \nmid S} (1 - \omega\chi(p)p^{-s})^{-1}$$

vanishes at $s = 0$, because of the pole in the factor $\Gamma(\frac{1}{2}s)$ in the functional equation. One might be tempted to define a function θ'_G on \hat{G} by $\theta'_G(\chi) = L'_S(0, \omega\chi)$, and letting $\theta'_G \in \mathbf{C}[G]$ be its Fourier transform as in Section 3. However, the coefficients of θ'_G are not integral, or even algebraic. This leads to the problem of finding an appropriate substitute for θ'_G , and formulating a conjecture analogous to conjectures 3.3 and 3.4 for it.

Fix a choice of primitive n -th roots of unity $\zeta_n \in \bar{\mathbf{Q}}$ for each n , satisfying the compatibilities

$$(16) \quad \zeta_{nm}^m = \zeta_n.$$

This choice determines a complex embedding Ψ of \mathbf{Q}^{ab} , sending ζ_n to $e^{2\pi i/n}$.

Let S be a square-free integer which is relatively prime to the conductor of ω . Let $K_S = K(\mu_S)$. The circular unit α_S in K_S is defined by

$$(17) \quad \alpha_S = \prod_{\sigma \in \text{Gal}(\mathbf{Q}(\mu_{SN})/\mathbf{Q}(\mu_S))} \sigma(\zeta_{NS} - 1)^{\omega(\sigma)}.$$

Let $\Gamma_S = \text{Gal}(K_S/K)$, and let I denote the augmentation ideal in the group ring $\mathbf{Z}[\Gamma_S]$. The theta-element $\theta'(\omega, S)$ is given by the formula

$$(18) \quad \theta'(\omega, S) = \sum_{\sigma \in \Gamma_S} \sigma \alpha_S \otimes \sigma \in K_S^* \otimes \mathbf{Z}[\Gamma_S].$$

Relation between $\theta'(\omega, S)$ and $L'_S(0, \omega\chi)$: Let $\log: K_S^* \rightarrow \mathbf{C}$ be a principal branch of the logarithm map induced by the complex embedding Ψ of K_S . Extending a character $\chi \in \hat{\Gamma}_S$ by linearity to the group ring $\mathbf{Z}[\Gamma_S]$, one combines the maps \log and χ to give a linear map

$$\log \otimes \chi: K_S^* \otimes \mathbf{Z}[\Gamma_S] \rightarrow \mathbf{C}.$$

We call a character χ of Γ_S *primitive* if it does not factor through the natural homomorphism $\Gamma_S \rightarrow \Gamma_T$ for any proper divisor T of S . The following theorem which describes the interpolation property of the circular units is due to Kummer.

THEOREM 4.1. *Assume that χ is primitive. Then*

$$\log \otimes \chi(\theta'(\omega, S)) = \sum_{\sigma \in \Gamma_S} \chi(\sigma) \log |\sigma \alpha_S| = -2L'_S(0, \omega \chi).$$

Thus $\theta'(\omega, S)$ can be viewed as an analogue of $L'_S(s, \omega)$.

Let

$$S_{\text{split}} = \{l | S, \omega(l) = 1\}$$

$$S_{\text{inert}} = \{l | S, \omega(l) = -1\}.$$

Let X^- be the group of divisors of K of degree 0 lying above S or ∞ on which the generator of $\text{Gal}(K/\mathbf{Q})$ acts by -1 . It is a free \mathbf{Z} -module of rank r , where

$$(19) \quad r = \#(S_{\text{split}}) + 1.$$

Let $v_\infty = \lambda_\infty - \bar{\lambda}_\infty$ be the difference of the two conjugate real places of K , and let $v_i = \lambda_i - \bar{\lambda}_i$, where $\lambda_i, \bar{\lambda}_i$ denote conjugate primes of K lying above $l_i \in S_{\text{split}}$. Then $\{v_\infty, v_1, \dots, v_{r-1}\}$ forms a basis for X^- . Let $(O_S^*)^-$ be the group of S -units of K on which the generator of $\text{Gal}(K/\mathbf{Q})$ acts by -1 . This is also a free \mathbf{Z} -module of rank r . Choose a basis $\omega_1, \dots, \omega_r$ for $(O_S^*)^-$ in such a way that the regulator R_S for the logarithmic embedding

$$(20) \quad (O_S^*)^- \longrightarrow X^- \otimes \mathbf{R}$$

relative to the bases $\{\omega_1, \dots, \omega_r\}$ and $\{v_\infty, v_1, \dots, v_{r-1}\}$ is positive.

From the non-vanishing of the classical Dirichlet L -series at $s = 1$ combined with the functional equation for these L -series, one knows that

$$(21) \quad \text{ord}_{s=0} L'_S(s, \omega) = r - 1,$$

and that

$$(22) \quad \lim_{s \rightarrow 0} L'_S(s, \omega) / (s^{r-1}) = -2^{\#S_{\text{inert}}+1} r h_S R_S.$$

In the next section, we will show that a similar statement is true for the element $\theta'(\omega, S)$:

THEOREM 4.2 (ORDER OF VANISHING). *The element $\theta'(\omega, S)$ belongs to the group $K_S^* \otimes I^{r-1}$.*

The leading coefficient $\tilde{\theta}'(\omega, S)$ is defined to be the natural projection of $\theta'(\omega, S)$ to the group $K_S^* \otimes (I^{r-1}/I^r)$. One can interpret $\theta'(\omega, S)$ by means of a kind of S -unit regulator belonging to $O_S^* \otimes (I^{r-1}/I^r)$.

The regulator: Let Y^- denote the group of divisors of K of degree 0 lying above S on which $\text{Gal}(\bar{\mathbf{Q}}/\mathbf{Q})$ acts via the character ω . This is a free module of rank $r - 1$ with basis $\{v_1, \dots, v_{r-1}\}$. One defines the map

$$(23) \quad \text{rec}_S: (O_S^*)^- \longrightarrow I_S \otimes Y^-$$

using the reciprocity law of local class field theory as in Section 3. Define the *partial regulators* $R_i \in I_S^{-1}/I_S$ by the formula

$$(24) \quad \text{rec}_S(\gamma_1 \wedge \dots \wedge \gamma_{i-1} \wedge \gamma_{i+1} \wedge \dots \wedge \gamma_r) = R_i \otimes (v_1 \wedge \dots \wedge v_{r-1}).$$

The regulator $R_S \in O_S^* \otimes (I^{-1}/I)$ is given by

$$(25) \quad R_S = \sum_{i=1}^r (-1)^{i+1} \gamma_i \otimes R_i.$$

CONJECTURE 4.3.

$$\tilde{\theta}'(\omega, S) = -2^{\#(S_{\text{inert}})+1} h_S R_S.$$

We now give some evidence for Conjecture 4.3. Let $\tilde{\theta}'(\omega, S)_2$ denote the projection of $\tilde{\theta}'(\omega, S)$ in the group $K_S^* \otimes (I_2^{-1}/I_2)$, where I_2 denotes the augmentation ideal in the group ring $\mathbf{Z}[\frac{1}{2}][\Gamma_S]$. The tensoring with the ring $\mathbf{Z}[\frac{1}{2}]$ has been made to avoid some technical complications associated with the prime 2: observe that $(I_2^{-1}/I_2) = (I^{-1}/I) \otimes \mathbf{Z}[\frac{1}{2}]$ is a finite abelian group of odd order, when $r > 1$.

FACT 4.4. The natural map $K^* \otimes (I_2^{-1}/I_2) \longrightarrow K_S^* \otimes (I_2^{-1}/I_2)$ is an injection.

The proof for this standard fact will be given in Section 9.

Let $n(S)$ be the greatest odd divisor of $\text{gcd}_{l|S}(l-1)$. The following theorem gives some evidence for Conjecture 4.3:

THEOREM 4.5. 1. Conjecture 4.3 is true when $r = 1$.

2. $\tilde{\theta}'(\omega, S)_2$ belongs to $K^* \otimes I_2^{-1}/I_2$.

3. If $\text{gcd}(h_S(K), n(T)) = 1$ for all $T|S$, then $\tilde{\theta}'(\omega, S)_2$ belongs to $O_S^* \otimes (I_2^{-1}/I_2)$.

4. $h_S(K)$ divides $\tilde{\theta}'(\omega, S)_2$.

5. Suppose that $\Gamma_S = \Gamma_l$ is cyclic, and that l is split in K/\mathbf{Q} so that $r = 2$. Let λ be a prime of K above l , and let $k_\lambda \simeq \mathbf{F}_l$ denote the residue field at λ . If the fundamental unit of K/\mathbf{Q} is a generator for k_λ^* , and $\text{gcd}(h(K), n(l)) = 1$, then

$$\tilde{\theta}'(\omega, l)_2 = \pm 2h_l R_l \pmod{I_2^2}.$$

The proof of this theorem, which uses the methods of Thaine [Th] in an essential way, will be given in Section 9.

5. The Euler system of circular units. Let S be the set of square-free integers prime to the conductor of K . For all $S \in \mathcal{S}$ we are given the following data:

1. An abelian extension $K_S = K(\mu_S)$ of K with Galois group $\Gamma_S = (\mathbf{Z}/S\mathbf{Z})^*$.
2. The circular unit $\alpha(S)$ in K_S , given by the formula

$$(26) \quad \alpha(S) = \prod_{\sigma \in \text{Gal}(\mathbf{Q}(\zeta_{SN})/\mathbf{Q}(\zeta_S))} \sigma(\zeta_{SN} - 1)^{\omega(\sigma)}.$$

Writing $S = l_1 \cdots l_s$, the extension K_S is a compositum of the fields K_{l_i} which are linearly disjoint over K . Hence there is a canonical direct product decomposition

$$(27) \quad \Gamma_S = \Gamma_{l_1} \times \cdots \times \Gamma_{l_s}$$

which gives inclusions $\Gamma_T \subset \Gamma_S$ for all divisors T of S . We will implicitly identify elements of Γ_T with their images in Γ_S . For any T dividing S , the partial norm operator \mathbf{N}_T in the group ring $\mathbf{Z}[\Gamma_S]$ is defined by

$$(28) \quad \mathbf{N}_T = \sum_{\sigma \in \Gamma_T} \sigma.$$

These operators act on the field K_S in the natural way. Given $T \in \mathcal{S}$ and l a prime in \mathcal{S} which is prime to T , let $\sigma_{l,T} \in \text{Gal}(K_T/\mathbf{Q})$ be the automorphism sending the roots of unity to their l -th powers.

PROPOSITION 5.1.

$$N_l(\alpha(Tl)) = (1 - \sigma_{l,T}^{-1})\alpha(T).$$

PROOF. We can write

$$(29) \quad \zeta_{Tl} = \zeta_T^a \zeta_l^b,$$

where $al + bT = 1$. Hence

$$N_l(1 - \zeta_{Tl}) = (1 - \zeta_T^{al}) / (1 - \zeta_T^a) = (1 - \sigma_{l,T}^{-1})(1 - \zeta_T),$$

and the proposition follows from the definition of the circular units $\alpha(T)$ and $\alpha(Tl)$.

PROPOSITION 5.2. $\alpha(Tl) \equiv \sigma_{l,T}^{-1}\alpha(T) \pmod{\lambda}$, where λ is any prime of K_{Tl} above l .

PROOF. This follows from equation (29) together with the fact that a is an inverse for l in $(\mathbf{Z}/T\mathbf{Z})^*$ and that $\zeta_l \equiv 1 \pmod{\lambda}$.

Propositions 5.1 and 5.2 make up the axioms of an Euler system in the sense of Kolyvagin [Ko].

6. Divisibility properties of the circular units. In addition to the norm operator \mathbf{N}_l defined in the previous section, the following derivative operators in the group ring $\mathbf{Z}[\Gamma_S]$ are a key ingredient in Kolyvagin and Thaine's method. For each prime l in \mathcal{S} , choose a generator γ_l for Γ_l and let

$$(30) \quad D_l = \sum_{i=1}^{l-2} i\gamma_l^i, \quad D_T = \prod_{l|T} D_l,$$

the product being taken in the group ring $\mathbf{Z}[\Gamma_T]$.

LEMMA 6.1. $(\gamma_l - 1)D_l = (l - 1) - \mathbf{N}_l$.

PROOF. A direct computation.

The group ring $\mathbf{Z}[\Gamma_T]$ operates on the group K_T^* in a natural way. Let

$$(31) \quad \beta(T) = D_T \alpha(T) \in K_T^*,$$

and let $n(T)$ be the largest odd divisor of $\gcd_{l|T}(l - 1)$.

From now on, we will assume that T is a product of primes which are split in K/\mathbf{Q} . Although $\beta(T)$, unlike $\mathbf{N}_T \alpha(T)$, need not be invariant under the action of Γ_T , it is invariant modulo $n(T)$ -th powers.

LEMMA 6.2. $\beta(T)$ belongs to $(K_T^*/K_T^{*n(T)})^{\Gamma_T}$.

PROOF. By induction on the number of primes dividing T . Assume the lemma for all proper divisors of T , and write $T = lQ$. Modulo $n(T)$, one has:

$$\begin{aligned} (\gamma_l - 1)D_T \alpha(T) &= (l - 1 - \mathbf{N}_l)D_Q \alpha(T) \quad (\text{Lemma 6.1}) \\ &= (\sigma_{l,Q}^{-1} - 1)D_Q \alpha(Q) \quad (\text{Proposition 5.1}) \\ &= 0 \quad \text{by the induction hypothesis.} \end{aligned}$$

In the last step we use the fact that $\sigma_{l,Q} = 1$ in $\text{Gal}(K/Q)$, so that $\sigma_{l,Q}$ belongs to Γ_Q .

LEMMA 6.3. The natural map $K^*/K^{*n(T)} \rightarrow (K_T^*/K_T^{*n(T)})^{\Gamma_T}$ is an isomorphism.

PROOF. The group of $n(T)$ -th roots of unity in K_T is trivial. Hence the sequence

$$(32) \quad 1 \longrightarrow K_T^* \xrightarrow{n(T)} K_T^* \longrightarrow K_T^*/K_T^{*n(T)} \longrightarrow 1$$

is exact. Taking Γ_T -invariants gives rise to the cohomology exact sequence

$$(33) \quad 1 \longrightarrow K^*/K^{*n(T)} \longrightarrow (K_T^*/K_T^{*n(T)})^{\Gamma_T} \longrightarrow H^1(\Gamma_T, K_T^*)_{n(T)} \longrightarrow 1,$$

and the lemma follows from Hilbert's Theorem 90 ($H^1(\Gamma_T, K_T^*) = 0$).

Let $\kappa(T)$ denote the preimage of $\beta(T)$ by this isomorphism. For each prime l in S , choose a place λ of K above it. Write

$$(34) \quad v_\lambda: K^* \longrightarrow \mathbf{Z}$$

for the valuation map at λ , and \tilde{v}_λ for the induced map on $K^*/K^{*n(T)}$, making the following diagram commute:

$$\begin{array}{ccc} K^* & \xrightarrow{v_\lambda} & \mathbf{Z} \\ \downarrow & & \downarrow \\ K^*/K^{*n(T)} & \xrightarrow{\tilde{v}_\lambda} & \mathbf{Z}/n(T)\mathbf{Z} \end{array} .$$

Let u_l denote the image of γ_l by the isomorphism $\Gamma_l \rightarrow (\mathbf{Z}/l\mathbf{Z})^*$. Given κ in K^* , let $\text{red}_\lambda(\kappa) \in k_\lambda^*$ be the reduction of κ mod λ , in the residue field $k_\lambda = \mathbf{Z}/l\mathbf{Z}$. Finally, let

$$(35) \quad \log_{u_l}: k_\lambda^* \longrightarrow \mathbf{Z}/(l - 1)\mathbf{Z}$$

be the logarithm map to the base u_l . The following proposition contains the information that we will need on the ideal factorization of the $\kappa(T)$.

- PROPOSITION 6.4. 1. If l does not divide T , then $\tilde{v}_\lambda(\kappa(T)) = 0$.
 2. If l is split in K_T/\mathbf{Q} , then

$$\tilde{v}_\lambda(\kappa(Tl)) = -\log_{u_l}(\text{red}_\lambda(\kappa(T))) \pmod{n(Tl)}.$$

PROOF. 1. If l does not divide T , then λ is unramified in K_T/K , and hence the valuation map \tilde{v}_λ extends from $K^*/K^{*n(T)}$ to $K_T^*/K_T^{*n(T)}$. But clearly $\tilde{v}_\lambda(\beta(T)) = 0$, since $\beta(T)$ is a unit in K_T^* .

2. Let λ' be a prime of K_T above λ , and let λ'' be the prime of K_{Tl} above λ' . Let $v_{\lambda'}$ (resp. $v_{\lambda''}$) be the valuations on K_T (resp K_{Tl}) normalized to be 1 on uniformizing elements, so that

$$(36) \quad v_{\lambda'}(\kappa) = \frac{1}{l-1} v_{\lambda''}(\kappa), \quad \kappa \in K_T^*.$$

Writing

$$(37) \quad \kappa(Tl) = \beta(Tl)\rho^{-n(Tl)}, \quad \rho \in K_{Tl},$$

and using the fact that $\beta(Tl)$ is a unit, one finds

$$(38) \quad v_\lambda(\kappa(Tl)) = -\frac{n(Tl)}{l-1} v_{\lambda''}(\rho).$$

By definition of u_l , one has

$$(39) \quad v_{\lambda''}(\rho) = \log_{u_l}(\text{red}_{\lambda''}((\gamma_l - 1)\rho)) \pmod{l-1}.$$

But

$$\begin{aligned} (\gamma_l - 1)\rho &= \frac{1}{n(Tl)} [(\gamma_l - 1)\beta(Tl)] \\ &= \frac{1}{n(Tl)} [(l-1)D_T\alpha(Tl) + (1 - \sigma_{l,T}^{-1})D_T\alpha(T)] \\ &= \frac{l-1}{n(Tl)} D_T\alpha(Tl), \quad \text{since } \sigma_{l,T} = 1. \end{aligned}$$

Hence by Proposition 5.2,

$$(40) \quad \text{red}_{\lambda''}((\gamma_l - 1)\rho) = \text{red}_{\lambda'}\left(\frac{l-1}{n(Tl)} D_T\alpha(T)\right),$$

and hence

$$(41) \quad \log_{u_l} \text{red}_{\lambda''}((\gamma_l - 1)\rho) \equiv \log_{u_l} \text{red}_{\lambda'}\left(\frac{l-1}{n(Tl)} \beta(T)\right) \pmod{l-1}.$$

Combining equations (38), (39) and (41), one obtains

$$(42) \quad \tilde{v}_\lambda(\kappa(Tl)) \equiv -\log_{u_l}(\text{red}_\lambda \kappa(T)) \pmod{n(Tl)}$$

as desired.

If M is a \mathbf{Z} -module and m belongs to M , we say that $n \in \mathbf{Z}$ divides m if there exists $m' \in M$ with $n \cdot m' = m$. Given a rational prime p , one defines $\text{ord}_p(m)$ to be the integer M such that p^M divides m , but p^{M+1} does not. (If this integer does not exist one sets $\text{ord}_p(m) = \infty$.) Recall that $C_S(K)$ is defined to be the quotient of the ideal class group of K by the subgroup generated by the prime ideals lying above S , and that $h_S(K)$ denotes its order. The main result of Thaine and Kolyvagin gives a bound on the order of $C_S(K)$ in terms of the divisibility of the elements $\kappa(S)$.

THEOREM 6.5 (THAINE, KOLYVAGIN). *The greatest common divisor of $n(S)$ and $h_S(K)$ divides $\kappa(S)$.*

PROOF. We prove this by induction on $h_S(K)$. If $h_S(K) = 1$, then the theorem is trivially true. Otherwise, choose a prime p dividing $h_S(K)$. Suppose that $\text{ord}_p(\kappa(S)) = M_0 < \infty$, and let $M = M_0 + 1$. We must show that p^M does not divide $\text{gcd}(n(S), h_S(K))$. If p^M does not divide $n(S)$, we are done. Hence, suppose that p^M divides $n(S)$. (So that in particular, p is odd). Now, choose a prime l in S not dividing S , such that

1. l splits in K/\mathbf{Q} ; let λ denote a prime of K lying above it.
2. $l \equiv 1 \pmod{p^M}$ (i.e., l splits in $\mathbf{Q}(\mu_{p^M})/\mathbf{Q}$).
3. $\text{ord}_p(\text{red}_\lambda(\kappa(S))) = M_0$.
4. The image of λ in $C_S(K) \otimes \mathbf{Z}_p$ is non trivial, and the exact sequence

$$0 \longrightarrow \langle \lambda \rangle \longrightarrow C_S(K) \otimes \mathbf{Z}_p \longrightarrow C_{Sl}(K) \otimes \mathbf{Z}_p \longrightarrow 0$$

is split (and hence in particular $\text{ord}_p(\lambda) = 0$).

Let $F = K(\mu_{p^M}, \kappa(S)^{1/p^M})$. Conditions 2 and 3 are equivalent to the condition that Frob_λ in $\text{Gal}(F/K)$ belongs to the subgroup $\text{Gal}(F/K(\mu_{p^M}))$ and is non-trivial. Condition 4 is equivalent to a condition on Frob_λ in $\text{Gal}(H_S/K)$ where H_S is a non-trivial subfield of the Hilbert class field H of K . Since F and H are linearly disjoint over K (as can be seen for example by ramification considerations), it follows from the Chebotarev density theorem that conditions 1–4 can be imposed simultaneously.

Let $m = \text{ord}_p(\kappa(Sl))$. By combining Proposition 6.4 with condition 3 satisfied by l , one has

$$(43) \quad \text{ord}_p(\tilde{v}_\lambda(\kappa(Sl))) = M_0,$$

and hence a fortiori $m \leq M_0$. Moreover, since p^M divides $l - 1$, it also divides $n(Sl)$. Let ρ be the natural projection of $\kappa(Sl)$ to K^*/K^{*p^M} , and let $\kappa'(Sl) = \rho^{1/p^m}$ which is well defined in $K^*/K^{*p^{M-m}}$. By equation 43 and condition 3, one has

$$(44) \quad \tilde{v}_\lambda(\kappa'(Sl)) = u \cdot p^{M_0-m},$$

where u is a unit in $\mathbf{Z}/p^{M-m}\mathbf{Z}$. Hence p^{M_0-m} annihilates the class of λ in $C(S) \otimes \mathbf{Z}/p^{M-m}\mathbf{Z}$. Because of condition 4, we have

$$(45) \quad \#\langle \lambda \rangle \leq p^{M_0-m}.$$

In particular, $m < M_0$, and by the induction hypothesis,

$$(46) \quad \#C_S(K) \otimes \mathbf{Z}_p \leq p^m.$$

Combining the inequalities (45) and (46) gives

$$(47) \quad \#C_S(K) \otimes \mathbf{Z}_p \leq p^{M_0},$$

so that p^M does not divide $h_S(K)$, as was to be shown.

7. Formal properties of $\theta'(\omega, S)$. We now turn to the study of the element $\theta'(\omega, S)$ defined by

$$(48) \quad \theta'(\omega, S) = \sum_{\sigma \in \Gamma_S} \sigma \alpha(S) \otimes \sigma \in K_S^* \otimes \mathbf{Z}[\Gamma_S].$$

Given

$$\gamma \in \text{Gal}(K_S/\mathbf{Q}) = \Gamma_S \times \text{Gal}(K/\mathbf{Q}),$$

let $\gamma(T)$ denote its natural projection in Γ_T .

The group $\text{Gal}(K_S/\mathbf{Q})$ acts on the left of $K_S^* \otimes \mathbf{Z}[\Gamma_S]$ by the Galois action, and Γ_S acts on the right by multiplication in the group ring.

LEMMA 7.1. $\gamma \theta'(\omega, S) = \omega(\gamma) \cdot \theta'(\omega, S) \cdot \gamma(S)^{-1}$.

PROOF. A change of variable argument.

Given a divisor T of S , let $P_{S,T}: K_S^* \otimes \mathbf{Z}[\Gamma_S] \rightarrow K_S^* \otimes \mathbf{Z}[\Gamma_S]$ be the map induced by the projection $\Gamma_S \rightarrow \Gamma_T \subset \Gamma_S$.

LEMMA 7.2.

$$P_{S,T}(\theta'(\omega, S)) = \theta'(\omega, T) \cdot \prod_{l|S/T} (1 - \omega(l) \cdot \sigma_{l,T}).$$

PROOF. One has

$$(49) \quad P_{S,T}(\theta'(\omega, S)) = \sum_{\sigma \in \Gamma_T} (\mathbf{N}_{S/T} \cdot \sigma \alpha_S \otimes \sigma).$$

Hence by Proposition 5.1

$$(50) \quad P_{S,T}(\theta'(\omega, S)) = \left(\prod_{l|S/T} (1 - \sigma_{l,T}^{-1}) \right) \theta'(\omega, T),$$

which is equal to $\theta'(\omega, T) \cdot \prod (1 - \omega(l) \sigma_{l,T})$ by Lemma 7.1.

8. **The order of vanishing of $\theta'(\omega, S)$.** Let us write S as $S = PQ$, where $P = l_1 \cdots l_s$ is a product of split primes in K/\mathbf{Q} , and Q is a product of inert primes. When σ runs over Γ_S , write

$$(51) \quad \sigma = \sigma_1 \cdots \sigma_s \tau,$$

for its unique decomposition as a product with $\sigma_i \in \Gamma_{l_i}$, and $\tau \in \Gamma_Q$.

LEMMA 8.1.

$$\begin{aligned} \theta'(\omega, S) &= \sum_{\sigma \in \Gamma_S} \sigma \alpha_S (\sigma_1 - 1) \cdots (\sigma_s - 1) \tau \\ &\quad - \sum_{T|P, T \neq P} \left(\mu(P/T) \cdot \theta'(\omega, TQ) \cdot \prod_{l|P/T} (1 - \sigma_{l.TQ}) \right). \end{aligned}$$

PROOF. By direct computation,

$$(52) \quad \sum_{\sigma \in \Gamma_S} \sigma \alpha_S (\sigma_1 - 1) \cdots (\sigma_s - 1) \tau = \theta'(\omega, S) + \sum_{T|_1, T \neq P} \mu(P/T) P_{S.TQ} (\theta'(\omega, S)).$$

The formula now follows from Lemma 7.2.

We are now ready to prove Theorem 4.2.

THEOREM 4.2 (ORDER OF VANISHING). *The element $\theta'(\omega, S)$ belongs to $K_S^* \otimes F = K_S^* \otimes F^{-1}$.*

PROOF. By induction on s , using Lemma 8.1 for the induction step.

9. **The leading coefficient.** We now turn to the study of the element $\tilde{\theta}'(\omega, S)$ defined by projecting $\theta'(\omega, S)$ to the value group $K_S^* \otimes (I_2^{-1}/I_2)$.

LEMMA 9.1. *The leading coefficient $\tilde{\theta}'(\omega, S)_2$ belongs to the subgroup of elements in $(K_S^* \otimes (I_2^{-1}/I_2))^{\Gamma_S}$ fixed by the left (Galois) action of Γ_S .*

PROOF. Given σ in Γ_S , by Lemma 7.1 we have

$$(53) \quad (\sigma - 1) \tilde{\theta}'(\omega, S)_2 = \tilde{\theta}'(\omega, S)_2 (\sigma^{-1} - 1),$$

and Lemma 9.1 follows.

LEMMA 9.2. *Let Γ be a finite abelian group of odd order, and let Γ_S act on the module $K_S^* \otimes \Gamma$ by the Galois action. Then the natural map*

$$K^* \otimes \Gamma \rightarrow (K_S^* \otimes \Gamma)^{\Gamma_S}$$

is an isomorphism.

PROOF. By decomposing Γ as a direct product of cyclic groups, one reduces the proof of Lemma 9.2 to the case where Γ is cyclic of odd order n . If K_S contains no n -th roots of unity, then we are in the situation of Lemma 6.3. In general, one uses the fact that the restriction map

$$(54) \quad H^1(K, \mu_n) \longrightarrow H^1(K_S, \mu_n)^{\Gamma_S}$$

is an isomorphism.

LEMMA 9.3. $n(S)(\gamma_{l_1} - 1) \cdots (\gamma_{l_s} - 1) = 0 \pmod{I_2'}$.

PROOF. We can write $(\gamma_{l_1} - 1) \cdots (\gamma_{l_s} - 1)$ as a sum of terms of the form $(\gamma_{l_1}^{(p)} - 1) \cdots (\gamma_{l_s}^{(p)} - 1) \pmod{I_2^2}$, where the $\gamma_{l_i}^{(p)}$ are of order a power of p (p an odd prime) and at least one of the $\gamma_{l_j}^{(p)}$ is of order exactly $q = p^{\text{ord}_p(n(S))}$. Hence it suffices to show the theorem when $n(S) = q$ is a power of a prime. In that case, one has

$$0 = \gamma_{l_j}^q - 1 = \sum_{i=1}^q \binom{q}{i} (\gamma_{l_j} - 1)^i,$$

so that $q(\gamma_{l_j} - 1) \in I_2^2$. The result follows.

The following proposition gives an inductive formula for the leading coefficient $\tilde{\theta}'(\omega, S)_2$.

PROPOSITION 9.4.

$$\begin{aligned} \tilde{\theta}'(\omega, S)_2 &= 2^{\#(l)\varrho} \kappa(P) \otimes (\gamma_{l_1} - 1) \cdots (\gamma_{l_s} - 1) \\ &\quad - \sum_{T|P, T \neq P} \mu(P/T) \cdot \tilde{\theta}'(\omega, T) \cdot \prod (1 - \sigma_{l,T}). \end{aligned}$$

PROOF. This follows from Lemma 8.1 together with the fact that

$$(55) \quad \sum_{\sigma \in \Gamma_S} \sigma \alpha_S \otimes (\sigma_1 - 1) \cdots (\sigma_s - 1) \tau = 2^{\#(l)\varrho} \beta(P) \otimes (\gamma_{l_1} - 1) \cdots (\gamma_{l_s} - 1)$$

in $K_S^* \otimes (I_2^{-1}/I_2)$. Because $(\gamma_{l_1} - 1) \cdots (\gamma_{l_s} - 1)$ is killed by $n(P)$ in I_2^{-1}/I_2 (Lemma 9.3), one can replace $\beta(P)$ by $\kappa(P)$ in the formula.

In the remainder of this section we will prove Theorem 4.5 which we first recall:

THEOREM 4.5. 1. Conjecture 4.3 is true when $r = 1$. 2. $\tilde{\theta}'(\omega, S)_2$ belongs to $K^* \otimes I_2^{-1}/I_2$.

3. If $\gcd(h_S(K), n(T)) = 1$ for all $T|S$, then $\tilde{\theta}'(\omega, S)_2$ belongs to $O_S^* \otimes (I_2^{-1}/I_2)$.

4. $h_S(K)$ divides $\tilde{\theta}'(\omega, S)_2$.

5. Suppose that $\Gamma_S = \Gamma_l$ is cyclic, and that l is split in K/\mathbf{Q} so that $r = 2$. Let λ be a prime of K above l , and let $k_\lambda \simeq \mathbf{F}_l$ denote the residue field at λ . If the fundamental unit of K/\mathbf{Q} is a generator for k_λ^* , and $\gcd(h(K), n(l)) = 1$, then

$$\tilde{\theta}'(\omega, l)_2 = \pm 2h_l R_l \pmod{I_2^2}.$$

PROOF. 1. When $r = 1$, we have $\tilde{\theta}'(\omega, S) = P_{S,1}(\theta'(\omega, S))$, where $P_{S,1}: \mathbf{Z}[\Gamma_S] \rightarrow \mathbf{Z}$ is the augmentation map. By lemma 7.2,

$$(56) \quad P_{S,1}(\theta'(\omega, S)) = \alpha(1) \prod_{l|S} (1 - \omega(l)) = 2^{\#(l)S} \alpha(1),$$

since all the l dividing S are inert in K/\mathbf{Q} . We know from Dirichlet's analytic class number formula that $\alpha(1) = 2h_1 R_1$, and hence the result follows.

2. Combine Lemmas 9.1 and 9.2.

3. By Proposition 6.4, we have $v_\lambda(\kappa(T)) = 0 \pmod{n(T)}$ for all places λ which do not lie above S . Let $(K^*/K^{*n(T)})(S)$ denote the subgroup of elements in $K^*/K^{*n(T)}$ satisfying this property. There is a natural exact sequence

$$(57) \quad 0 \longrightarrow \mathcal{O}_S^*/\mathcal{O}_S^{*n(T)} \longrightarrow (K^*/K^{*n(T)})(S) \longrightarrow C_S(K) \otimes \mathbf{Z}/n(T)\mathbf{Z}.$$

The assumption that $(h_S(K), n(T)) = 1$ for all $T|S$ implies that the natural map from $\mathcal{O}_S^*/\mathcal{O}_S^{*n(T)}$ to $(K^*/K^{*n(T)})(S)$ is an isomorphism, so that the $\kappa(T)$ are S -units modulo $n(T)$ -th powers. The result follows from Proposition 9.4.

4. This is a direct consequence of Theorem 6.5 combined with Proposition 9.4.

5. The fact that $\gcd(h_l(K), n(l)) = 1$ implies, by the previous fact, that $\kappa(l)$ is an l -unit of K modulo $n(l)$ -th powers, and hence $\tilde{\theta}'(\omega, l)$ belongs to $\mathcal{O}_l^* \otimes (I_2/I_2^l)$. We want to prove the equality of two objects in $\mathcal{O}_l^* \otimes (I/I^l)$. For this, we use two maps:

$$(58) \quad \phi_1: \mathcal{O}_l^* \otimes (I_2/I_2^l) \longrightarrow I_2/I_2^l, \quad \phi_2: \mathcal{O}_l^* \otimes (I_2/I_2^l) \longrightarrow I_2^2/I_2^2.$$

The first is induced from the map $v_\lambda: \mathcal{O}_l^* \rightarrow \mathbf{Z}$, and the second from the map $\text{rec}_\lambda: \mathcal{O}_l^* \rightarrow \Gamma_l \rightarrow I_2/I_2^l$ given by the reciprocity law of local class field theory. Because $\gcd(h(K), n(l)) = 1$, the kernel of the map ϕ_1 is just $\mathcal{O}_K^* \otimes (I_2/I_2^l)$. The assumption that the fundamental unit for K is a generator of k_λ^* means that ϕ_2 is injective on $\mathcal{O}_K^* \otimes (I_2/I_2^l)$. Hence, if two elements in $\mathcal{O}_l^* \otimes (I_2/I_2^l)$ have the same image by ϕ_1 and ϕ_2 , then they are equal.

Recall that $u_l \in k_\lambda^*$ denotes the element which corresponds to the chosen generator γ_l of Γ_l by the reciprocity law of local class field theory. By Proposition 9.4, we have

$$(59) \quad \tilde{\theta}'(\omega, l)_2 = \kappa(l) \otimes (\gamma_l - 1).$$

Hence, by Proposition 6.4,

$$(60) \quad \phi_1(\tilde{\theta}'(\omega, l)_2) = v_\lambda(\kappa(l)) \otimes (\gamma_l - 1) = \log_{u_l}(\kappa(1))(\gamma_l - 1).$$

Let u be a fundamental unit for K . By Dirichlet's class number formula, we can write

$$(61) \quad \kappa(1) = u^{\pm 2h},$$

so that $\log_{u_l}(\kappa(1)) = \pm 2h \log_{u_l}(u)$. It follows that

$$(62) \quad \phi_1(\tilde{\theta}'(\omega, l)_2) = \pm 2h \log_{u_l}(u)(\gamma_l - 1) = \pm 2h(\text{rec}(u) - 1).$$

Since $\kappa(l) = \beta(l)x^{n(l)}$, where x belongs to K_l^* , and since

$$\text{norm}_{K_l/K}(\beta(l)) = 1$$

by Proposition 5.1, we have by taking norms:

$$(63) \quad \kappa(l)^{l-1} = \text{norm}_{K_l/K} x^{n(l)}.$$

Hence $\kappa(l)^{(l-1)/n(l)} = \pm \text{norm}_{K_l/K} x$, so that $\kappa(l)^{2^a}$ is a norm for some $a \geq 0$. Since norms lie in the kernel of the local reciprocity map, we find that

$$(64) \quad \phi_2(\tilde{\theta}'(\omega, l)_2) = 0.$$

We choose a \mathbf{Z} -basis for O_l^* , given by a fundamental unit u and an l -unit $u(l)$. This can be done in such a way that

$$(65) \quad v_\lambda(u(l)) = h/h_l,$$

since this number is the order of the class of λ in the ideal class group of K . The regulator R_l can be written explicitly as

$$(66) \quad R_l = \pm \left(u \otimes (\text{rec}(u(l)) - 1) - u(l) \otimes (\text{rec}(u) - 1) \right).$$

Hence,

$$(67) \quad \phi_1(2h_l R_l) = \pm 2h_l v_\lambda(u(l)) \otimes (\text{rec}(u) - 1) = \pm 2h(\text{rec}(u) - 1).$$

It is immediate from the definition of R_l that

$$(68) \quad \phi_2(4h_l R_l) = 0.$$

Combining equations (62), (64), (67), and (68) we find that

$$\tilde{\theta}'(\omega, l)_2 = \pm 2h_l R_l \pmod{I_2^2},$$

as claimed.

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