

Chapter 8

Axiomatics as a Functional Strategy for Complex Proofs: The Case of Riemann Hypothesis



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Abstract My purpose is to comment some claims of André Weil (1906–1998) in his letter of March 26, 1940 to his sister Simone, in particular, the following quotation: “it is essential, if mathematics is to stay as a whole, to provide a unification, which absorbs in some simple and general theories all the common substrata of the diverse branches of the science, suppressing what is not so useful and necessary, and leaving intact what is truly the specific detail of each big problem. This is the good one can achieve with axiomatics”. For Weil (and Bourbaki), the main problem was to find “strategies” for finding complex proofs of “big problems”. For that, the dialectic balance between general structures and specific details is crucial. I will focus on the fact that, for these creative mathematicians, the concept of structure is a *functional* concept, which has always a “strategic” creative function. The “big problem” here is *Riemann Hypothesis* (RH). Artin, Schmidt, Hasse, and Weil introduced an intermediary third world between, on the one hand, Riemann original hypothesis on the non-trivial zeroes of the zeta function in analytic theory of numbers, and, on the other hand, the algebraic theory of compact Riemman surfaces. The intermediary world is that of projective curves over finite fields of characteristic $p \geq 2$. RH can be translated in this context and can be proved using sophisticated tools of algebraic geometry (divisors, Riemann-Roch theorem, intersection theory, Severi-Castelnuovo inequality) coupled with the action of Frobenius maps in characteristic $p \geq 2$. Recently, Alain Connes proposed a new strategy and constructed a new topos theoretic framework à la Grothendieck where Weil’s proof could be transferred by analogy back to the original RH.

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8.1 Axiomatics, Analogies, Conceptual Structures

My purpose is to comment some claims of André Weil (1906–1998) in his celebrated letter [22] written in prison to his sister Simone (March 26, 1940).

Let us begin with the following quotation:

It is hard for you to appreciate that modern mathematics has become so extensive and so complex that it is essential, *if* mathematics is to stay as a whole and not become a pile of little bits of research, to provide a unification, which absorbs in some simple and general theories all the common substrata of the diverse branches of the science, suppressing what is not so useful and necessary, and leaving intact what is truly the specific detail of each big problem. This is the good one can achieve with axiomatics (and this is no small achievement). This is what Bourbaki is up to. (p. 341)

I want to emphasize four points:

1. the *unity* of mathematics (“to stay as a whole”);
2. the axiomatization of general abstract structures; but also
3. the requirement of “leaving intact what is truly the specific detail of each big problem”;
4. the emphasis on “big problems”.

For Weil (and Bourbaki), the dialectic balance between *general structures* and *specific details* was crucial. A “big problem” needs a conceptually *complex* proof which is a very uneven, rough, rugged *multi*-theoretical route in a sort of “Himalayan chain” whose peaks seem inaccessible. It cannot be understood without the key thesis of the *unity* of mathematics since its deductive parts are widely scattered in the global unity of the mathematical universe. It is *holistic* and it is this holistic nature I am interested in.

As was emphasized by Israel Kleiner for Wiles’ proof of the Shimura-Taniyama-Weil conjecture (leading to Fermat theorem)¹:

What area does the proof come from? It is unlikely one could give a satisfactory answer, for the proof *brings together many important areas – a characteristic of recent mathematics.*

As was also emphasized by Barry Mazur:

The conjecture of Shimura-Taniyama-Weil is a profoundly *unifying* conjecture – its very statement hints that we may have to look to diverse mathematical fields for insights or tools that might lead to its resolution.

In his letter to Simone, Weil described in natural language his moves towards *Riemann Hypothesis* and he used a lot of military metaphors to emphasize the fact that finding a proof of a so highly complex conjecture is a problem of *strategy*:

find an opening for an attack (please excuse the metaphor), [...] open a breach which would permit one to enter this fort (please excuse the straining of the metaphor), [...] it is necessary to inspect the available artillery and the means of tunneling under the fort (please excuse, etc.). [...] It will not have escaped you (to take up the military metaphor again) that there is within all of this great problems of strategy.

¹ For a summary of the proof, see Petitot [15].

My purpose is not here to discuss philosophically Bourbaki's concept of structure as mere "simple and general" abstraction. It has been done by many authors (see, e.g. Leo Corry's [8] "Nicolas Bourbaki: Theory of Structures"). And many authors have also criticized the very limited Bourbaki's conception of logic. My purpose is rather to focus on the fact that, for these outstanding creative mathematicians, the concept of "structure" is a *functional* concept, which has always a "strategic" *creative* function. Once again, the priority is "leaving intact what is truly the specific detail of each big problem". As Dieudonné always emphasized it, the "bourbakist choice" cannot be understood without references to "big problems". It concerns the context of discovery rather than the context of justification.

There is a fundamental relation between the holistic and "organic" conception of the *unity* of mathematics and the thesis that some *analogies* can be creative and lead to essential discoveries. It is a leitmotif since the 1948 Bourbaki (alias Dieudonné) *Manifesto* [2]: "L'architecture des mathématiques". The constant insistence on the "immensity" of mathematics and on its "organic" unity, the claim that "to integrate the whole of mathematics into a coherent whole" (p. 222) is not a philosophical question as for Plato, Descartes, Leibniz, or "logistics", the constant critique against the reduction of mathematics to a tower of Babel juxtaposing separated "corners" are not vanities of elitist mathematicians. They have a very precise, strictly technical function: to construct complex proofs in navigating into this holistic conceptually coherent world.

The "structures" are tools for the mathematician. ([2], p. 227)

"Each structure carries with it its own language" and to discover a structure in a concrete problem

illuminates with a new light the mathematical landscape (Ibid. p. 227)

In [8], Leo Corry has well formulated the key point:

In the "Architecture" manifesto, Dieudonné also echoed Hilbert's belief in the unity of mathematics, based both on its unified methodology and in the discovery of striking analogies between apparently far-removed mathematical disciplines. ([8], p. 304)

And indeed, Dieudonné claimed that

Where the superficial observer sees only two, or several, quite distinct theories, lending one another "unexpected support" through the intervention of mathematical genius, the axiomatic method teaches us to look for the deep-lying reasons for such a discovery.

It is important to understand that structures are guides for *intuition* and to overcome

the natural difficulty of the mind to admit, in dealing with a concrete problem, that a form of intuition, which is not suggested directly by the given elements, [...] can turn out to be equally fruitful. ([2], p. 230)

So

more than ever does intuition dominate in the genesis of discovery (Ibid. p. 228)

and intuition is guided by structures.

8.2 Navigating Within the Mathematical Hymalayan Chain

Any proof of Riemann Hypothesis (RH) would be highly complex and unfold in the labyrinth of many different theories. As Alain Connes explains in “*An essay on Riemann Hypothesis*” ([4] p. 2) we would have (note the strategy metaphor as in Weil)

to navigate between the many forms of the explicit formulas [see below] and possible strategies to attack the problem, stressing the value of the elaboration of new concepts rather than ‘problem solving’.

And here “concepts” mean “structures”.

In the history of RH, we meet an incredible amount of deep and heterogeneous mathematics.

1. Riemann’s use of complex analysis in arithmetics: ζ -function, the duality between the distribution of primes and the localization of the non-trivial zeroes of $\zeta(s)$, RH.
2. The “algebraization” of Riemann’s theory of complex algebraic (projective) curves (compact Riemann surfaces) by Dedekind and Weber.
3. The transfer of this algebraic framework to the arithmetics of algebraic number fields and the interpretation of integers n as “functions” on primes p . It is the archeology of the concept of spectrum (the scheme $\text{Spec}(\mathbb{Z})$).
4. The move of André Weil introducing an intermediary third world (his “Rosetta stone”) between arithmetics and the algebraic theory of compact Riemann surfaces, namely, the world of projective curves over *finite* fields (characteristic $p \geq 2$). The translation of RH in this context and its far-reaching proof using tools of algebraic geometry (divisors, Riemann-Roch theorem, intersection theory, Severi-Castelnuovo inequality) coupled with the action of Frobenius maps in characteristic $p \geq 2$.
5. The generalization of RH to higher dimensions in characteristic $p \geq 2$. Weil’s conjectures and the formal reconstruction of algebraic geometry achieved by Grothendieck: schemes, sites, toposes, etale cohomology, etc. Deligne’s proof of Weil’s conjectures. Alain Connes [4] emphasized the fact that, through Weil’s vision, Grothendieck’s culminating discoveries proceed from RH:

It is a quite remarkable testimony to the unity of mathematics that the origin of this discovery [topos theory] lies in the greatest problem of analysis and arithmetic. (p. 3)

6. Connes’ return to the original RH in pure arithmetics by translating algebraic geometry *à la* Grothendieck (toposes, etc.) and Weil’s proof in characteristic $p \geq 2$ to the world of characteristic 1, that is, the world of *tropical geometry* and *idempotent analysis*.

8.3 Riemann’s ζ -Function

8.3.1 The Distribution of Primes

The story of RH begins with the enigma of the distribution of primes. The multiplicative structure of integers (divisibility) is awful.

For $x \geq 2$, let $\pi(x)$ be the number of primes $p \leq x$. It is a *step function* increasing of 1 at every prime p (one takes $\pi(p) = \frac{1}{2}(\pi(p_-) + \pi(p_+))$ the mean value at the jump). From Legendre (1788) and the young Gauss (1792) to Hadamard (1896) and de la Vallée Poussin (1896), it has been proved the asymptotic formula called the *prime number theorem*:

$$\pi(x) \sim \frac{x}{\log(x)} \text{ for } x \rightarrow \infty.$$

8.3.2 Definitions of $\zeta(s)$

The zeta function $\zeta(s)$ encodes *arithmetic* properties of $\pi(x)$ in *analytic* structures. Its initial definition is extremely simple and led to a lot of computations at Euler time:

$$\zeta(s) = \sum_{n \geq 1} \frac{1}{n^s},$$

which is a series—now called a Dirichlet series—absolutely convergent for integral exponents $s > 1$. Euler already proved $\zeta(2) = \pi^2/6$ (Mengoli or Basel problem, 1735) and $\zeta(4) = \pi^4/90$.

A trivial expansion and the existence of a *unique* decomposition of any integer in a product of primes show that, in the convergence domain, the sum is equal to an infinite Euler product (Euler 1748) containing a factor for each prime p (we note \mathcal{P} the set of primes):

$$\zeta(s) = \prod_{p \in \mathcal{P}} \left(1 + \frac{1}{p^s} + \dots + \frac{1}{p^{ks}} + \dots \right) = \prod_{p \in \mathcal{P}} \frac{1}{1 - \frac{1}{p^s}}.$$

The *local* ζ -functions $\zeta_p(s) = \sum_{k \geq 0} \frac{1}{p^{ks}} = \frac{1}{1 - \frac{1}{p^s}}$ are the ζ -functions of the local rings \mathbb{Z}_p of p -adic integers (see below).

The ζ -function is a symbolic expression associated to the distribution of primes, which is well known to have a very mysterious structure. Its fantastic strength as a tool comes from the fact that *it can be extended by analytic continuation to a meromorphic function on the entire complex plane*. It has a simple pole at $s = 1$ with residue 1.

8.3.3 Mellin Transform, Theta Function, and Functional Equation

It was discovered by Riemann in his celebrated 1859 paper [16] “Über die Anzahl der Primzahlen unter einer gegebenen Grösse” (“On the number of prime numbers less than a given quantity”) that $\zeta(s)$ has also beautiful properties of symmetry.

This can be made explicit noting that $\zeta(s)$ is related by a *Mellin transform* (a sort of Fourier transform) to the *theta function* which has beautiful properties of automorphy. Automorphy means invariance of a function $f(\tau)$ defined on the Poincaré hyperbolic half complex plane \mathcal{H} (complex numbers τ of positive imaginary part $\Im(\tau) > 0$) w.r.t. to a countable subgroup of the group acting on \mathcal{H} by homographies (Möbius transformations) $\gamma(\tau) = \frac{a\tau+b}{c\tau+d}$.

The theta function $\Theta(\tau)$ is defined on the half-plane \mathcal{H} as the series

$$\Theta(\tau) = \sum_{n \in \mathbb{Z}} e^{in^2\pi\tau} = 1 + 2 \sum_{n \geq 1} e^{in^2\pi\tau}.$$

$\Im(\tau) > 0$ is necessary to warrant the convergence of $\sum e^{-n^2\pi\Im(\tau)}$. $\Theta(\tau)$ is what is called a *modular form* of level 2 and weight $\frac{1}{2}$. Its automorphic symmetries are

1. Symmetry under translation: $\Theta(\tau + 2) = \Theta(\tau)$ (level 2, trivial since $e^{2i\pi} = 1$ implies $e^{in^2\pi(\tau+2)} = e^{in^2\pi\tau}$).
2. Symmetry under inversion: $\Theta(\frac{-1}{\tau}) = (\frac{\tau}{i})^{\frac{1}{2}} \Theta(\tau)$ (weight $\frac{1}{2}$, proof from Poisson formula).

If $f : \mathbb{R}^+ \rightarrow \mathbb{C}$ is a complex-valued function defined on the positive reals, its *Mellin transform* $g(s)$ is defined by the following formula:

$$g(s) = \int_{\mathbb{R}^+} f(t)t^s \frac{dt}{t}.$$

Let us compute the following Mellin transform

$$\zeta^*(s) = \frac{1}{2}g\left(\frac{s}{2}\right) = \frac{1}{2} \int_0^\infty (\Theta(it) - 1)t^{\frac{s}{2}} \frac{dt}{t} = \sum_{n \geq 1} \int_0^\infty e^{-n^2\pi t} t^{\frac{s}{2}} \frac{dt}{t}.$$

In each integral, we make the change of variable $x = n^2\pi t$. The integral becomes

$$\int_0^\infty e^{-x} x^{\frac{s}{2}-1} (n^2\pi)^{-\frac{s}{2}+1} (n^2\pi)^{-1} dx = n^{-s} \pi^{-\frac{s}{2}} \int_0^\infty e^{-x} x^{\frac{s}{2}-1} dx.$$

But $\int_0^\infty e^{-x} x^{\frac{s}{2}-1} dx = \Gamma\left(\frac{s}{2}\right)$ where $\Gamma(s) = \int_0^\infty e^{-x} x^{s-1} dx$ is the *gamma function*, which is the analytic meromorphic continuation of the factorial function $\Gamma(n+1) = n!$ to the entire complex plane \mathbb{C} . Γ satisfies the functional equation:

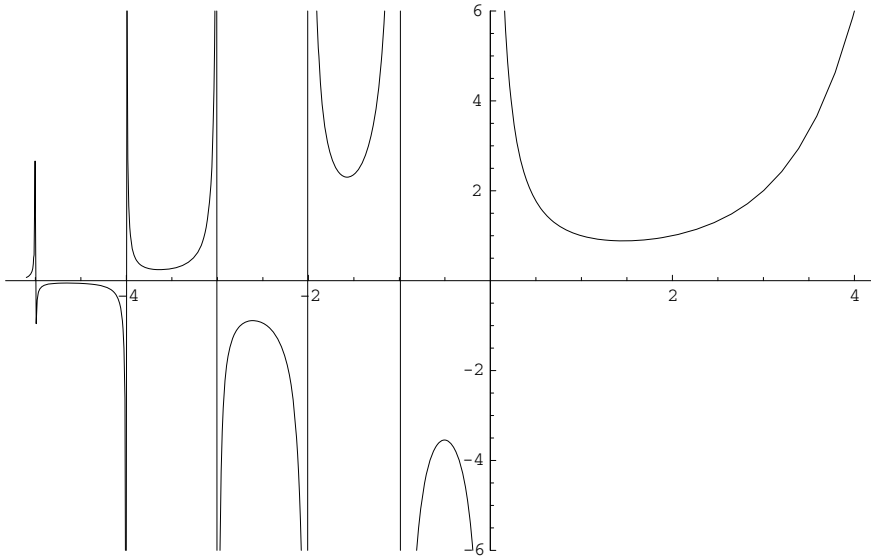


Fig. 8.1 The Γ function on the real axis

$$\Gamma(s + 1) = s\Gamma(s),$$

and has poles at $s \in -\mathbb{N}$. Figure 8.1 shows its graph along the real axis.

So, we have

$$\zeta^*(s) = \zeta(s)\Gamma\left(\frac{s}{2}\right)\pi^{-\frac{s}{2}}.$$

$\zeta^*(s)$ (often noted $\xi(s)$) is called the *total* (or “completed”) ζ -function. Due to the automorphic symmetries of the theta function it satisfies a *functional equation* (symmetry w.r.t. the critical line $\Re(s) = \frac{1}{2}$)

$$\zeta^*(s) = \zeta^*(1 - s).$$

As an Euler product

$$\zeta^*(s) = \pi^{-\frac{s}{2}}\Gamma\left(\frac{s}{2}\right)\prod_{p \in \mathcal{P}} \frac{1}{1 - \frac{1}{p^s}}.$$

The factor $\pi^{-\frac{s}{2}}\Gamma\left(\frac{s}{2}\right)$ corresponds to the place at infinity ∞ of \mathbb{Q} (see below) and $\zeta^*(s)$ is a product of factors associated to all the places of \mathbb{Q} :

$$\zeta^*(s) = \prod_{p \in \mathcal{P} \cup \{\infty\}} \zeta_p^*(s),$$

with $\zeta_p(s) = \frac{1}{1-\frac{1}{p^s}}$ for $p \in \mathcal{P}$ and $\zeta_\infty(s) = \pi^{-\frac{s}{2}} \Gamma\left(\frac{s}{2}\right)$.

8.3.4 Zeroes of $\zeta(s)$

As $\zeta(s)$ is well defined for $\Re(s) > 1$, it is also well defined, via the functional equation of ζ^* , for $\Re(s) < 0$, and the difference between the two domains comes from the difference of behaviour of the gamma function Γ . As ζ^* is without poles on $]1, \infty[$ (since ζ and Γ are without poles), ζ^* is also, by symmetry, without poles on $]-\infty, 0[$. So, as the $s = -2k$ are poles of $\Gamma\left(\frac{s}{2}\right)$, they must be zeroes of ζ (see Fig. 8.2). These zeroes are called “trivial zeroes”.

But $\zeta(s)$ has also *non-trivial* zeroes ρ , which are necessarily complex and contained in the strip $0 < \Re(s) < 1$. Due to the functional equation they are symmetric w.r.t. the critical line $\Re(s) = \frac{1}{2}$. Their distribution reflects the distribution of primes and the *localization* of these zeroes is one of the main tools for understanding the mysterious distribution of primes.

A pedagogical way for seeing the (non-trivial) zeroes (J. Arias-de-Reyna) is to plot in the s -plane the curves $\Re(\zeta(s)) = 0$ and $\Im(\zeta(s)) = 0$ and to look at their crossings (see Fig. 8.3).

It is traditional to write the non-trivial zeroes $\rho = \frac{1}{2} + it$ with $t \in \mathbb{C}$. As they code for the irregularity of the distribution of primes, they must be irregularly distributed. But the irregularity can concern $\Re(t)$ and/or $\Im(t)$. When $\Im(t) \neq 0$ we get pairs of symmetric zeroes whose horizontal distance can fluctuate.

An enormous amount of computations from Riemann time to actual supercomputers (ZetaGrid: more than 10^{12} zeroes in 2005) via Gram, Backlund, Titchmarsh, Turing, Lehmer, Lehman, Brent, van de Lune, Wedeniwski, Odlyzko, Gourdon, and others shows that all computed zeroes lie on the critical line $\Re(s) = \frac{1}{2}$.

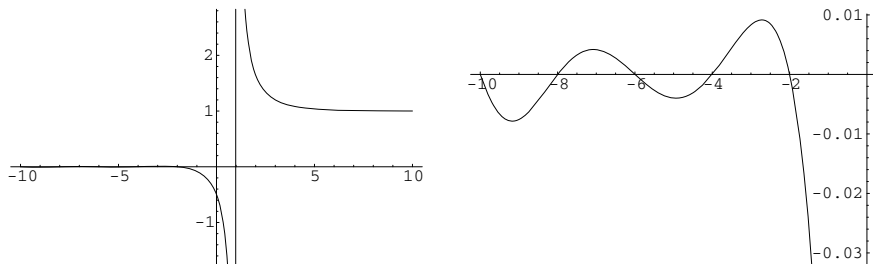
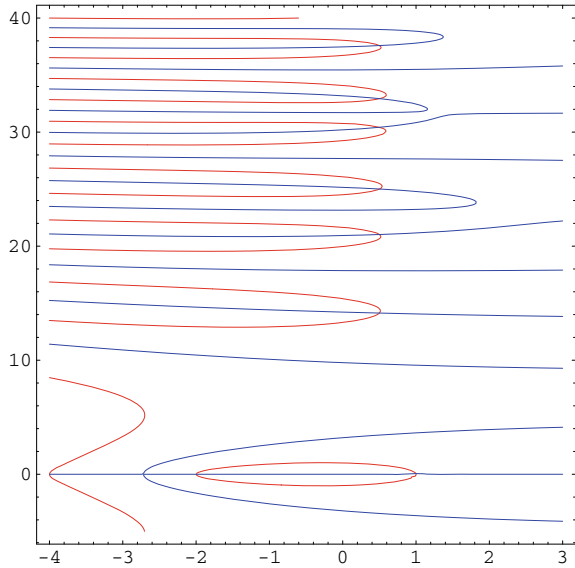


Fig. 8.2 The graph of the zeta function along the real axis showing the pole at 1 (left). A zoom shows the trivial zeroes at even negative integers (right)

Fig. 8.3 The null lines of the real part (red) and the imaginary part (blue) of the zeta function



8.3.5 Riemann Hypothesis

The Riemann hypothesis (part of 8th Hilbert problem) conjectures that *all the non-trivial zeroes of $\zeta(s)$ are exactly on the critical line*, that is, are of the form $\rho = \frac{1}{2} + it$ with $t \in \mathbb{R}$ (i.e. $\Im(t) = 0$). It is an incredibly strong—still open—conjecture and an enormous part of modern mathematics has been created to solve it.

Speiser proved that RH is equivalent to the fact that all folded blue lines $\Im(\zeta(s)) = 0$ cross the critical line. One point of intersection (crossing with a red line $\Re(\zeta(s)) = 0$) is a non-trivial zero and the other is called a *Gram point*. Gram points seem to *separate* the non-trivial zeroes (Gram’s law), but it is not always the case. We meet actually a lot of strange configurations (see Figs. 8.4, 8.5).

So RH is really not evident. As noted by Pierre Cartier, the risk would be to see a pair of very close “good” zeroes bifurcate into a pair of very close symmetric “bad” zeroes.

8.3.6 The Problem of Localizing Zeroes

The problem is, given the explicit definition of $\zeta(s)$, to find some information on the *localization* of its zeroes. As was emphasized by Alain Connes, this is a wide generalization of the problem solved by Galois for polynomials (of one variable).

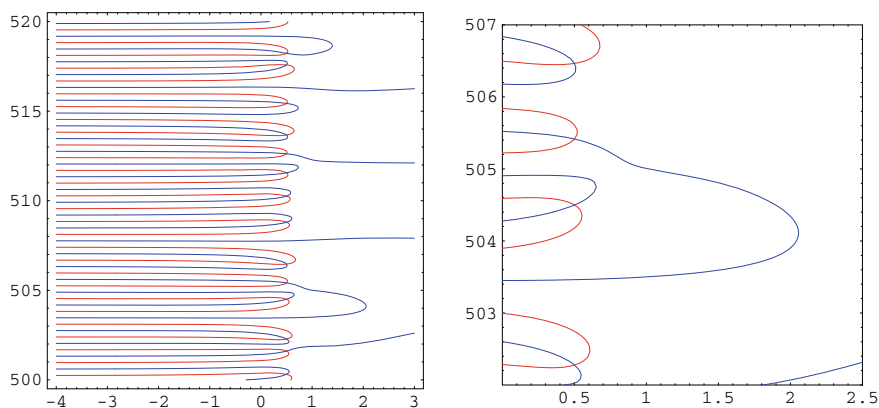


Fig. 8.4 Configuration where a zero (crossing of folded red and blue lines) is nested. Alternating Gram \rightarrow zero \rightarrow Gram \rightarrow zero

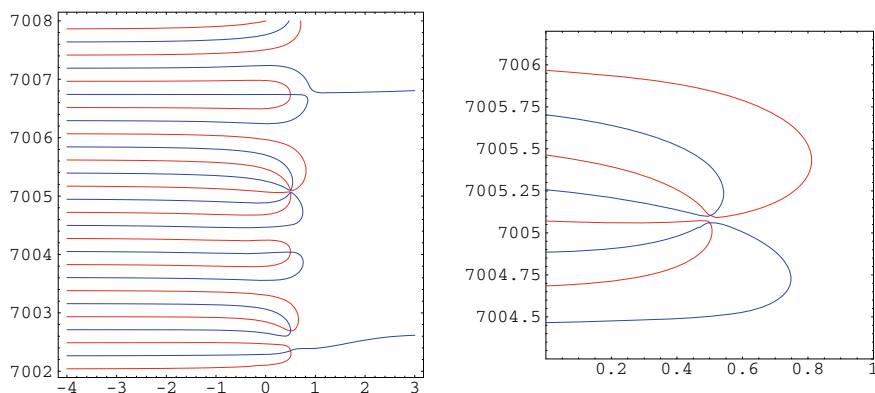


Fig. 8.5 Lehmer's example of two extremely close consecutive zeros *between* two Gram points. (we are at the height of the 26 830th line)

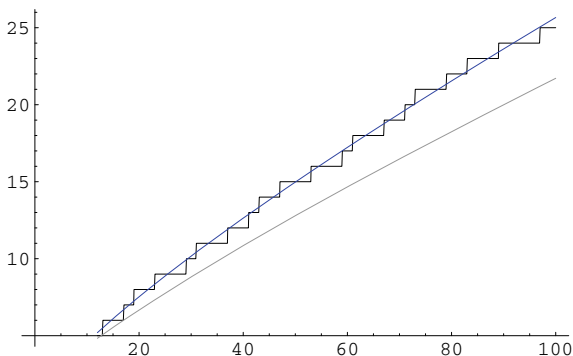
8.4 Explicit Formulas

8.4.1 Riemann's Explicit Formula

One of the most “magical” results of Riemann is the *explicit and exact* formula linking explicitly and exactly the distribution of primes and the (non-trivial) zeroes of $\zeta(s)$.

The idea was to factorize $\zeta(s)$ in terms of its trivial $(-2n)$ and non-trivial (ρ) zeroes (all included in the left half-plane $\Re(s) < 1$) and to compare this product with the Euler product defining $\zeta(s)$ in the half-plane $\Re(s) > 1$. Riemann anticipated this possibility, which was later technically validated by Weierstrass and Hadamard for

Fig. 8.6 Two classical approximations of the distribution of primes: $\frac{x}{\log(x)}$ (in grey) and Riemann's $R(x)$ (in blue)



entire functions with appropriate growth conditions. It can be shown that the entire function $(s - 1) \zeta(s)$ satisfies these conditions and this leads to the product formula (see Paul Garrett [10]):

$$\zeta(s) = e^{a+bs} s \prod_{\rho} \left(\left(1 - \frac{s}{\rho} \right) e^{\frac{s}{\rho}} \right) \prod_{n \geq 1} \left(\left(1 + \frac{s}{2n} \right) e^{-\frac{s}{2n}} \right).$$

Computations lead then to Riemann's exact explicit formula for $\pi(x)$. We have seen that, for $x \geq 2$, $\pi(x)$, the number of primes $p \leq x$, satisfies the asymptotic formula (prime number theorem) $\pi(x) \sim \frac{x}{\log(x)}$ for $x \rightarrow \infty$. A better approximation, due to Gauss (1849), is $\pi(x) \sim \text{Li}(x)$ where the logarithmic integral is $\text{Li}(x) = \int_2^x \frac{dt}{\log(t)}$ (for small n , $\pi(x) < \text{Li}(x)$, but Littlewood proved in 1914 that the inequality reverses an infinite number of times). A still better approximation was given by a Riemann formula $R(x)$. Figure 8.6 shows the step function $\pi(x)$ and its two approximations $\frac{x}{\log(x)}$ (in grey) and $R(x)$ (in blue).

Let

$$f(x) = \sum_{k=1}^{k=\infty} \frac{1}{k} \pi \left(x^{\frac{1}{k}} \right).$$

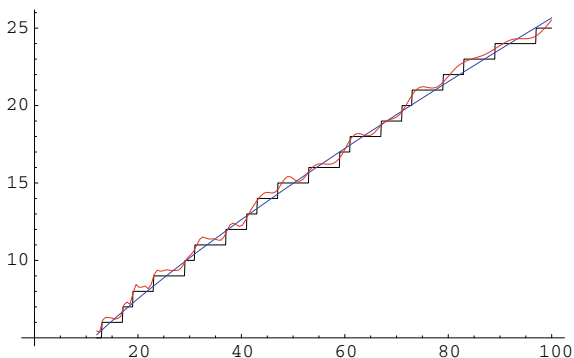
$\pi(x)$ can be retrieved from $f(x)$ by the inverse transformation (μ is the number of prime factors of m):

$$\pi(x) = \sum_{m=1, m \text{ square free}}^{m=\infty} (-1)^{\mu} \frac{1}{m} f \left(x^{\frac{1}{m}} \right).$$

In his 1859 paper [16], Riemann proved the following (fantastic) *explicit formula*:

$$f(x) = \text{Li}(x) - \sum_{\rho} \text{Li}(x^{\rho}) + \int_x^{\infty} \frac{1}{t^2 - 1} \frac{dt}{t \log t} - \log 2.$$

Fig. 8.7 The approximation (red curve) of $\pi(x)$ by Riemann’s explicit formula up to the twentieth zero of $\zeta(s)$



The approximation of $\pi(x)$ using Riemann’s explicit formula up to the twentieth zero of $\zeta(s)$ is shown in Fig. 8.7. We see that the red curve departs from the approximation $R(x)$ and that its oscillations draw near the step function $\pi(x)$.

Riemann’s explicit formula concerns only $\zeta(s)$ and therefore only the p -adic places of \mathbb{Q} (with completions \mathbb{Q}_p). But we know that the structural formulas concern $\zeta^*(s)$ with its Γ -factor and must take into account the Archimedean real place ∞ (with completion \mathbb{R}). This step was accomplished by André Weil.

8.5 Local/Global in Arithmetics

Let us go now to the deep analogies discovered between arithmetics and geometry.

8.5.1 Dedekind-Weber Analogy

One of the main idea, introduced by Dedekind and Weber in their celebrated 1882 paper [9] “*Theorie der algebraischen Funktionen einer Veränderlichen*”, was to consider integers n as kinds of “polynomial functions” over the sets \mathcal{P} of primes p , “functions” having a value and an order at every “point” $p \in \mathcal{P}$.

These values and orders being local concepts, Dedekind and Weber had to define the concept of localization in a purely algebraic manner. Dedekind used his concept of ideal he worked out to understand the “ideal numbers” introduced by Kummer. If p is prime, the ideal $(p) = p\mathbb{Z}$ of p in \mathbb{Z} is a prime (and even maximal) ideal. To localize the ring \mathbb{Z} at p means to delete all the ideals \mathfrak{a} that are not included into (p) and to reduce the arithmetic of \mathbb{Z} to the ideals $\mathfrak{a} \subseteq (p)$. For that, we add the inverses of the elements of the complementary multiplicative subset S of (p) , $S = \mathbb{Z} - (p)$. We get a local ring $\mathbb{Z}_{(p)}$ (“local” means: with a unique maximal ideal) intermediary between \mathbb{Z} and \mathbb{Q} .

$\mathbb{Z}_{(p)}$ is arithmetically much simpler than the *global* ring \mathbb{Z} but more complicated than the global fraction field \mathbb{Q} since it preserves the arithmetic structure inside (p) . The maximal ideal of $\mathbb{Z}_{(p)}$ is $\mathfrak{m}_{(p)} = p\mathbb{Z}_{(p)}$ and the residue field is $\mathbb{Z}_{(p)}/p\mathbb{Z}_{(p)} = \mathbb{Z}/p\mathbb{Z} = \mathbb{F}_p$. In the local ring $\mathbb{Z}_{(p)}$, every ideal \mathfrak{a} is equal to some power $(p)^k$ of (p) . As $(p)^k \supset (p)^{k+1}$, we get a decreasing sequence—what is called a *filtration*—of ideals which exhausts the arithmetic of $\mathbb{Z}_{(p)}$. The successive quotients $\mathbb{Z}_{(p)}/p^{k+1}\mathbb{Z}_{(p)}$ correspond to the *expansion* of natural integers n in base p . Indeed, to make $p^{k+1} = 0$ is to approximate n by a sum $\sum_{i=0}^{i=k} n_i p^i$ with all $n_i \in \mathbb{F}_p$. These quotients constitute a projective system and their projective limit yields the ring \mathbb{Z}_p of p -adic integers:

$$\mathbb{Z}_p = \varprojlim \frac{\mathbb{Z}}{p^k \mathbb{Z}} .$$

If $n \in \mathbb{Z}$, n is like a polynomial function on the “space” of primes p and to look at n “locally” at p is to look at n in the local ring $\mathbb{Z}_{(p)}$, while the “value” of n at p is its class in \mathbb{F}_p , i.e. n mod p . This is the origin of the modern concept of *spectrum* in algebraic geometry, and in this perspective \mathbb{Q} becomes the “global” field of “rational functions” on this “space”.

8.5.2 Weil’s Description of Dedekind-Weber Analogy

In his letter to Simone, Weil describes very well Dedekind’s analogy:

[Dedekind] discovered that an analogous principle permitted one to establish, by purely algebraic means, the principal results, called “elementary”, of the theory of algebraic functions of one variable, which were obtained by Riemann by transcendental [analytic] means.

Since Dedekind’s analogy is algebraic it can be applied to other fields than \mathbb{C} according to the analogy:

Integers	\longleftrightarrow	Polynomials
Divisibility of integers	\longleftrightarrow	Divisibility of polynomials
Rational numbers	\longleftrightarrow	Rational functions
Algebraic numbers	\longleftrightarrow	Algebraic functions
Dedekind’s “different” ideal	\longleftrightarrow	Riemann-Roch theorem
	Hilbert	
Abelian extensions	\longleftrightarrow	Abelian functions
Classes of ideals	\longleftrightarrow	Divisors

And Weil adds

At first glance, the analogy seems superficial. [...] But Hilbert went further in figuring out these matters.

8.5.3 Valuations and Ultrametrics

Dedekind and Weber defined the *order* of $n \in \mathbb{N}$ at p using the decomposition of n into primes. If $n = \prod_{i=1}^{i=r} p_i^{v_i}$, v_i is called the valuation of n at p_i : $v_{p_i}(n)$. It is trivial to generalize the definition to \mathbb{Z} and \mathbb{Q} . So the valuation $v_p(x)$ of $x \in \mathbb{Q}$ is the power of p in the decomposition of x in prime factors. It satisfies “good properties” in the sense that $|x|_p = p^{-v_p(x)}$ is a *norm* on \mathbb{Q} defining a *non-Archimedean metric* $d_p(x, y) = |x - y|_p$ which satisfies the *ultrametric* property

$$|x + y|_p \leq \text{Max}(|x|_p, |y|_p).$$

This inequality is much stronger than the triangular inequality of classical metrics.

8.5.4 p -Adic Numbers

The idea of expanding natural integers along the base p with a metric such that $|p^k|_p \xrightarrow[k \rightarrow \infty]{} 0$ leads naturally to an operation of *completion* of the metric $|\bullet|_p$ associated to the valuation v_p and yields the ring \mathbb{Z}_p of *p -adic integers* (Hensel).

8.5.5 Hensel’s Geometric Analogy

In Bourbaki’s *Manifesto* [2], Dieudonné emphasizes Hensel’s unifying analogy

where, in a still more astounding way, topology invades a region which had been until then the domain *par excellence* of the discrete, of the discontinuous, viz. the set of whole numbers. (p. 228)

As we have already noted, the geometrical lexicon of Hensel’s analogy can be rigorously justified using the concept of *scheme*:

1. primes p are the (closed) points of the *spectrum* $\text{Spec}(\mathbb{Z})$ of \mathbb{Z} ,
2. the local rings $\mathbb{Z}_{(p)}$ are the fibres of the structural sheaf \mathcal{O} of \mathbb{Z} ,
3. the finite prime fields \mathbb{F}_p are the residue fields at the points p ,
4. integers n are global sections of \mathcal{O} , and
5. \mathbb{Q} is the field of global sections of the sheaf of fractions of \mathcal{O} .

In this context, \mathbb{Z}_p and \mathbb{Q}_p correspond to the localization of global sections, analogous to what are called *germs* of sections in classical differential, analytic, or algebraic geometry.

8.5.6 Places

On \mathbb{Q} there exist not only the p -adic valuations of the “finite” primes p but also the real absolute value $|x|$, which can be interpreted as associated to an “infinite point” of $\text{Spec}(\mathbb{Z})$ and is conventionally written $|x|_\infty$. To emphasize the geometrical point-like intuition, the finite primes and the infinite “point” are all called *places*. To work in arithmetics with *all* places is a necessity if we want to specify the analogy with projective (birational) algebraic geometry (Riemann surfaces) and transfer some of its results (as those of the Italian school of Severi, Castelnuovo, etc.) to arithmetics. Indeed, in projective geometry, the point ∞ is on a par with the other points.

Weil emphasized strongly this point from the start. Already in his 1938 paper [21] “*Zur algebraischen Theorie des algebraischen Funktionen*”, he explained that he wanted to reformulate Dedekind-Weber in a *birationally invariant* way. In his letter to Simone, he says

In order to reestablish the analogy [lost by the singular role of ∞ in Dedekind-Weber], it is necessary to introduce, into the theory of algebraic *numbers*, something that corresponds to the point at infinity in the theory of functions.

This is achieved by valuations, places, and Hensel’s p -adic numbers (plus Hasse, Artin, etc.). So, Weil strongly stressed the use of analogies as a discovery method:

If one follows it in all of its consequences, the theory alone permits us to reestablish the analogy at many points where it once seemed defective: it even permits us to discover in the number field simple and elementary facts which however were not yet seen.

8.5.7 Local and Global Fields

All the knowledge gathered during the extraordinary period initiated by Kummer in arithmetics and Riemann in geometry led to the recognition of two great classes of fields, local fields, and global fields.

In characteristic 0, local fields are \mathbb{R} , \mathbb{C} and finite extensions of \mathbb{Q}_p . In characteristic p , local fields are the fields of Laurent series over a finite field \mathbb{F}_{p^n} and their ring of integers are those of the corresponding power series. Local fields possess a discrete valuation v and are complete for the associated metric. Their ring of integers is local. Finite extensions of local fields are themselves local.

In characteristic 0, global fields are finite extensions \mathbb{K} of \mathbb{Q} , i.e. algebraic number fields. In characteristic p , global fields are the fields of rational functions of algebraic curves over a finite field \mathbb{F}_{p^n} . The completions of global fields at their different places are local fields.

We note a fundamental difference between the cases of characteristic 0 and p . In the later case, all structures are defined over a *common* base field, namely, the prime field \mathbb{F}_p . It is not the case in characteristic 0 and this lack of a common base is one of the main reasons of the difficulty of the arithmetic case. It has been overcome only very recently with the introduction of the paradoxical “field” \mathbb{F}_1 of characteristic 1 !

8.6 The RH for Elliptic Curves Over \mathbb{F}_q (Hasse)

One of the greatest achievements of Weil has been the *proof* of RH for the global fields in characteristic p , namely, the global fields $\mathbb{K}/\mathbb{F}_q(T)$ of rational functions on an algebraic curve defined over a finite field \mathbb{F}_q of characteristic p ($q = p^n$), that is, finite algebraic extensions of $\mathbb{F}_q(T)$.

8.6.1 The “Rosetta Stone”

The main difficulty was that in Dedekind-Weber’s analogy between arithmetics and the theory of Riemann surfaces, the latter is “too rich” and “too far from the theory of numbers”. So

One would be totally obstructed if there were not a bridge between the two. (p. 340)

Hence, the celebrated metaphor of the “Rosetta stone”:

my work consists in deciphering a trilingual text; of each of the three columns I have only disparate fragments; I have some ideas about each of the three languages; but I know as well there are great differences in meaning from one column to another, for which nothing has prepared me in advance. In the several years I have worked at it, I have found little pieces of the dictionary. (p. 340)

From the algebraic number theory side, one can transfer the Riemann-Dirichlet-Dedekind ζ and L -functions (Artin, Schmidt, Hasse) to the algebraic curves over \mathbb{F}_q . In this third world, they become rational functions (quotients of *polynomials*), a fact which simplifies tremendously the situation.

8.6.2 The Hasse-Weil Function

For the history of the ζ -function of curves over \mathbb{F}_q , see Peter Roquette’s extremely detailed historical study [17] “*The Riemann hypothesis in characteristic p . Its origin and development*” and Pierre Cartier’s 1993 survey [3] “*Des nombres premiers à la géométrie algébrique (une brève histoire de la fonction zeta)*”.

1. On the *arithmetic* side ($\text{spec}(\mathbb{Z})$, \mathbb{Q}_p , etc.), we have RH.
2. On the *geometric* side, we have the theory of compact Riemann surfaces (projective algebraic curves over \mathbb{C}).

On the *intermediary* level, at the beginning of the twentieth century, Emil Artin (thesis, 1921 published in 1924, [1]) and Friedrich Karl Schmidt (1931, [18]) formulated the RH no longer for global number fields \mathbb{K}/\mathbb{Q} but for global fields of functions $\mathbb{K}/\mathbb{F}_q(T)$. As Cartier says,

Artin-Schmidt theory is developing in parallel with that of Dirichlet-Dedekind, and seeks to mimic the already achieved results: definition by means of a Dirichlet series and Euler product, functional equation, analytic prolongation. (p. 61)

The main challenge was to interpret *geometrically* the zeta function $\zeta_C(s)$ for algebraic curves C defined over \mathbb{F}_q . A key point was to understand that ζ_C was a *counting function*, counting the (finite) number $N(q^r)$ of points of C rational over the successive extensions \mathbb{F}_{q^r} of \mathbb{F}_q : C being defined over \mathbb{F}_q , all its points are with coordinates in $\overline{\mathbb{F}_q}$, and we can therefore look at its points with coordinates in intermediary extensions $\mathbb{F}_q \subset \mathbb{F}_{q^r} \subset \overline{\mathbb{F}_q}$.

The generating function of the $N(q^r)$ is by definition

$$Z_C(T) := \exp \left(\sum_{r \geq 1} N(q^r) \frac{T^r}{r} \right),$$

and the Hasse-Weil function $\zeta_C(s)$ of C is defined as

$$\zeta_C(s) := Z_C(q^{-s}).$$

Note that

$$T \frac{Z'_C(T)}{Z_C(T)} = \sum_{r \geq 1} N(q^r) T^r.$$

$\zeta_C(s)$ will correspond to the two expressions of the classical Riemann's ζ -function (Dirichlet series and Euler product) if one also introduces the concept of a *divisor* D on C as a finite \mathbb{Z} -linear combination of points of C : $D = \sum_j a_j x_j$. The *degree* of D is defined as $\text{deg}(D) = \sum_j a_j$ and D is said to be *positive* ($D \geq 0$) if all $a_j \geq 0$. Then

$$\zeta_C(s) = \sum_{D > 0} \frac{1}{N(D)^s} = \prod_{P > 0} (1 - N(P)^{-s})^{-1},$$

where the D are positive divisors on \mathbb{F}_q -points, the P are prime positive divisors (i.e. P is not the sum of two smaller positive divisors), and the "norm" $N(D)$ is $N(D) = q^{\text{deg}(D)}$.

The key problem is, as before, the *localization* of the zeroes of $\zeta_C(s)$. If ρ is a zero, $q^{-\rho}$ is a zero of Z_C . Conversely, if $q^{-\rho}$ is a zero and if $\rho' = \rho + k \frac{2\pi i}{\log(q)}$, then $q^{-\rho'} = q^{-\rho}$ is also a zero. So the zeroes of the Hasse-Weil function $\zeta_C(s)$ come in *arithmetic progressions*, which is a fundamentally new phenomenon.

8.6.3 Divisors and Classical Riemann-Roch (Curves)

In the other direction, one try to transfer to curves over \mathbb{F}_q the results of the theory of Riemann compact surfaces, and, in particular, the *Riemann-Roch theorem*.

If C is a compact Riemann surface of genus g , to deal with the distribution and the orders of zeroes and poles of meromorphic functions on C , one also introduces the concept of a *divisor* D on C as a \mathbb{Z} -linear combination of points of C : $D = \sum_{x \in C} \text{ord}_x(D)x$ with $\text{ord}_x(D) \in \mathbb{Z}$ the order of D at x . All the terms vanish except a finite number of them. The *degree* of D is then defined as $\deg(D) = \sum_{x \in C} \text{ord}_x(D)$. It is additive. D is said to be *positive* ($D \geq 0$) if $\text{ord}_x(D) \geq 0$ at every point x .

By construction, divisors form an additive group $\text{Div}(C)$, but $\text{Div}(C)$ conveys very little information about the specific geometry of C . Yet, if f is a meromorphic function on C , poles of order k can be considered as zeroes of order $-k$ and the divisor $(f) = \sum_{x \in C} \text{ord}_x(f)x$ is called *principal*. Due to a fundamental property of meromorphic functions on compact Riemann surfaces (a consequence of Liouville theorem), its degree vanishes: $\deg(f) = \sum_{x \in C} \text{ord}_x(f) = 0$. As the meromorphic functions constitute a field $K(C)$ having the property that the order of a product is the sum of the orders, principal divisors constitute a subgroup $\text{Div}_0(C)$. The quotient group $\text{Pic}(C) = \text{Div}(C)/\text{Div}_0(C)$, that is, the group of classes of divisors modulo principal divisors, is called the *Picard group* of C . It encodes a lot of information about the specific geometry of C .

If ω and ω' are two meromorphic differential 1-forms on C , $\omega' = f\omega$ for some $f \in K(C)^* = K(C) - \{0\}$, $\text{div}(\omega') = \text{div}(\omega) + (f)$ and therefore the class of $\text{div}(\omega)$ mod $(\text{Div}_0(C))$ is unique: it is called the *canonical class* of C and one can show that its degree is $\deg(\omega) = 2g - 2$.

For instance, if $g = 0$, C is the Riemann sphere $\widehat{\mathbb{C}}$ and the standard 1-form is $\omega = dz$ on the open subset \mathbb{C} . Since to have a local chart at infinity we must use the change of coordinate $\xi = \frac{1}{z}$ and since $d\xi = -\frac{dz}{z^2}$, we see that, on $\widehat{\mathbb{C}}$, ω possesses no zero and a single double pole at infinity. Hence $\deg(\omega) = -2 = 2g - 2$.

For $g = 1$ (elliptic case) $\deg(\omega) = 0$ and there exist holomorphic nowhere vanishing 1-forms. As $C \simeq \mathbb{C}/\Lambda$ (Λ a lattice), one can take $\omega = dz$.

To any divisor D one can associate what is called a *linear system*, that is, the set of meromorphic functions on C whose divisor (f) is greater than $-D$:

$$L(D) = \{f \in K(C)^* : (f) + D \geq 0\} \cup \{0\}.$$

Since a holomorphic function on C is necessarily constant (Liouville theorem), we have $L(0) = \mathbb{C}$. One of the most fundamental theorems of Riemann's theory is the theorem due to himself and his disciple Gustav Roch:

Riemann-Roch theorem. $\dim L(D) = \deg(D) + \dim L(\omega - D) - g + 1$.

If $\dim L(D)$ is noted $\ell(D)$, we get

$$\ell(D) - \ell(\omega - D) = \deg(D) - g + 1.$$

Corollary. $\ell(\omega) = 2g - 2 + 1 - g + 1 = g$ (since $\ell(0) = 1$).

A very important conceptual improvement of RR is due to Pierre Cartier in the 1960s using the new tools of *sheaf theory* and *cohomology*. Let $\mathcal{O} = \mathcal{O}_C$ be the structural sheaf of rings $\mathcal{O}(U)$ of holomorphic functions on the open subsets U of C , and $\mathcal{K} = \mathcal{K}_C$ the sheaf of fields $\mathcal{K}(U)$ of meromorphic functions. To any divisor D , Cartier was able to associate a line bundle on C with a sheaf of sections $\mathcal{O}(D)$. Then he has shown that the \mathbb{C} -vector space of global sections of $\mathcal{O}(D)$ can be identified with $L(D)$, i.e. $L(D) = H^0(C, \mathcal{O}(D))$. This *cohomological* interpretation is fundamental and allows a deep “conceptual” cohomological interpretation of RR using the fact that $\dim L(D) = \dim H^0(C, \mathcal{O}(D))$.

8.6.4 Divisors and Classical Riemann-Roch (Surfaces)

For surfaces S over \mathbb{C} , RR is more involved. Divisors are now \mathbb{Z} -linear combinations no longer of points but of curves C_i . One has to use what is called the *intersection number* of two curves $C_1 \bullet C_2$ (and of divisors $D_1 \bullet D_2$). For two curves *in general position*, one defines $C_1 \bullet C_2$ in an intuitive way as the sum of the points of intersection, and one shows that, as the base field \mathbb{C} is algebraically closed, this number is invariant by linear equivalence $D_1 \sim D_2$.

One shows also that for any divisors D_1 and D_2 , even when $D_1 = D_2$, there exist $D'_1 \sim D_1$ and $D'_2 \sim D_2$ which are in general position, and one then defines $D_1 \bullet D_2$ by $D_1 \bullet D_2 = D'_1 \bullet D'_2$.

The RR theorem is then

$$\sum_{j=0}^{j=2} (-1)^j \dim H^j(S, \mathcal{O}(D)) = \frac{1}{2} D \bullet (D - K_S) + \chi(S)$$

with $\chi(S) = 1 + p_a$, p_a being the “arithmetic genus”.

What is called *Serre duality* says that

$$\dim H^2(S, \mathcal{O}(D)) = \dim H^0(S, \mathcal{O}(K_S - D)).$$

Now, $\dim H^0$ and $\dim H^2$ are ≥ 0 while $-\dim H^1$ is ≤ 0 , so one gets the RR *inequality*:

$$\ell(D) + \ell(K_S - D) \geq \frac{1}{2} D \bullet (D - K_S) + \chi(S).$$

8.6.5 RR for Curves Over \mathbb{F}_q

From Artin to Weil, the theory of compact Riemann surfaces has been transferred to the intermediary case of the curves C/\mathbb{F}_q . In particular, Schmidt and Hasse transferred the RR theorem. A fundamental consequence was that $Z_C(T)$ not only satisfies a *functional equation* but also is a *rational function* of T .

For instance, let us consider the simplest case $\mathbb{K} = \mathbb{F}_q(T)$ (analogous to the simplest number field \mathbb{Q}). Each unitary polynomial $P(T) = T^m + a_1 T^{m-1} + \dots + a_m$ of degree m gives a contribution $(q^m)^{-s}$ to the additive (Dirichlet) formulation of $Z_{\mathbb{K}}(T)$ since the norm $q^{\deg(P)}$ of its ideal is q^m . But there are q^m such polynomials since the m coefficients a_j belong to \mathbb{F}_q , which is of cardinal q . So

$$\begin{cases} \zeta_{\mathbb{K}}(s) = \sum_{m=0}^{m=\infty} q^m (q^m)^{-s} = \frac{1}{1-q^{1-s}}, \\ Z_C(T) = \frac{1}{1-qT}. \end{cases}$$

Hence, as $Z_C(T)$ is a rational function of T , it has a *finite* number of zeroes t_1, \dots, t_M , and therefore the zeroes of $\zeta_C(s)$ are organized in a *finite number of arithmetic progressions* $\rho_j + k \frac{2\pi i}{\log(q)}$ with $q^{-\rho_j} = t_j$. *This is a fundamental difference with the arithmetic case, which makes the proof of RH much easier.*

8.6.6 The Frobenius Morphism

In the \mathbb{F}_q case, a completely original phenomenon appears. Indeed, a fundamental property of any finite field \mathbb{F}_q is that $x^q = x$ for every element x . So, one can consider the *automorphism* φ_q of $\overline{\mathbb{F}_q}$, $\varphi_q : x \mapsto x^q$ (it is an automorphism) and retrieve \mathbb{F}_q as the field of *fixed points* of φ_q . φ_q is called the *Frobenius morphism*.

For a curve C/\mathbb{F}_q , the Frobenius φ_q acts, for every r , on the set of points $C(\mathbb{F}_{q^r})$ with coordinates in \mathbb{F}_{q^r} , and the number $N_r = N(q^r)$ of points of C rational over \mathbb{F}_{q^r} is the *number of fixed points* of the Frobenius φ_{q^r} . So, the generating counting function $Z_C(T)$ counts fixed points and has to do with the world of *trace formulas* counting fixed points of maps. In particular, $N_1 = C(\mathbb{F}_q) = \#\varphi_q^{\text{Fix}} = |\text{Ker}(\varphi_q - Id)|$. It is like a “norm”.

8.6.7 RH for Elliptic Curves (Schmidt and Hasse)

Schmidt (see [18]) was the first to add the point at infinity (as for projective curves and compact Riemann surfaces) and to understand that, in the case of $\mathbb{K}/\mathbb{F}_q(T)$, the functional equation of ζ_C was correlated to the duality between divisors D and $D - K$ in Riemann’s theory. As Cartier [3] says

we meet here one of the first manifestation of the trend towards a geometrization in the study of the ζ function. (p. 69)

Schmidt proved that

$$Z_C(T) = \frac{L(T)}{(1-T)(1-qT)}$$

with $L(T)$ a polynomial of degree $2g$. The fact that Z_C is a *rational* function corresponds to the fact that Riemann’s ζ function is a meromorphic function.

For instance, if we come back to the simple case of $\mathbb{K} = \mathbb{F}_q(T)$ and look at its projective extension \mathbb{P} of genus $g = 0$ by adding the point ∞ , we must add this point to the q^m other points and, using the fact that $\exp\left(\sum_{m \geq 1} \frac{T^m}{m}\right) = \frac{1}{(1-T)}$, we get

$$\begin{cases} Z_{\mathbb{P}}(T) = \exp\left(\sum_{m \geq 1} (q^m + 1) \frac{T^m}{m}\right) \\ \quad = \left(\exp\left(\sum_{m \geq 1} q^m \frac{T^m}{m}\right)\right) \left(\exp\left(\sum_{m \geq 1} \frac{T^m}{m}\right)\right), \\ \quad = \frac{1}{(1-T)(1-qT)}, \\ \zeta_{\mathbb{P}}(s) = \frac{1}{(1-q^{-s})(1-q^{1-s})} \end{cases}$$

with $L(T) = 1$ a polynomial of degree 0.

Schmidt showed, moreover, that $L(T)$ is, in fact, the *characteristic polynomial* of the Frobenius φ_q , i.e. the “norm” (the determinant) of $Id - T\varphi_q$. So

$$Z_C(T) = \frac{\det(Id - T\varphi_q)}{(1-T)(1-qT)}$$

and $Z_C(T)$ satisfies the functional equation

$$Z_C\left(\frac{1}{qT}\right) = q^{1-g} T^{2-2g} Z_C(T)$$

while for ζ_C the symmetric functional equation is

$$q^{(g-1)s} \zeta_C(s) = q^{(g-1)(1-s)} \zeta_C(1-s)$$

$T \rightarrow \frac{1}{qT}$ corresponding to the symmetry $s \rightarrow 1-s$.

Then, in three fundamental papers of 1936 “*Zur Theorie der abstrakten elliptischen Funktionenkörper*. I, II, III” [11], Hasse proved RH for *elliptic curves*. As $g = 1$, $L(T)$ is a polynomial of degree 2. And as C is elliptic, it has a *group* structure (C is isomorphic to its Jacobian $J(C)$), which is used as a crucial feature in the proof. Indeed, one can consider the *group* endomorphisms $\psi : C \rightarrow C$ and their graphs Ψ in $C \times C$, what Hasse called *correspondences*.

For $g = 1$, $Z_C(T)$ satisfies the functional equation

$$Z_C\left(\frac{1}{qT}\right) = Z_C(T)$$

and ζ_C the symmetric functional equation

$$\zeta_C(s) = \zeta_C(1 - s)$$

as Riemann's ζ .

Then, Hasse proved that, due to the functional equation, $L(T)$ is the polynomial $L(T) = 1 - c_1T + qT^2$ with

$$L(1) = 1 - c_1 + q = N_1 = |C(\mathbb{F}_q)|.$$

So

$$L(T) = (1 - \omega T)(1 - \bar{\omega}T)$$

with $\omega\bar{\omega} = q$ and $\omega + \bar{\omega} = c_1$ the inverses of the zeroes since

$$L(T) = \omega\bar{\omega}\left(T - \frac{1}{\omega}\right)\left(T - \frac{1}{\bar{\omega}}\right).$$

As $|\omega| = |\bar{\omega}|$, we have $|\omega| = \sqrt{q}$. But, since $\zeta_C(s) = Z_C(q^{-s})$, the zeroes of $\zeta_C(s)$ correspond to $q^{-s_j} = (\omega_j)^{-1}$. So we must have

$$|q^{-s_j}| = |q|^{-\Re(s_j)} = q^{-\Re(s_j)} = \frac{1}{|\omega_j|} = \frac{1}{\sqrt{q}} = q^{-\frac{1}{2}}$$

and $\Re(s) = \frac{1}{2}$. Hence, the RH for elliptic curves over \mathbb{F}_q .

We can rewrite RH in a way easier to generalize. One has $|C(\mathbb{F}_q)| - q - 1 = -c_1$ with $c_1 = \omega + \bar{\omega} = 2\Re(\omega)$. But $\omega = \sqrt{q}e^{i\alpha}$ and therefore $\Re(\omega) = \sqrt{q}\cos(\alpha)$. So $c_1 = 2\sqrt{q}\cos(\alpha)$ and RH is equivalent to

$$||C(\mathbb{F}_q)| - q - 1| \leq 2q^{\frac{1}{2}}.$$

8.7 Weil's "Conceptual" Proof of RH

To tackle the case $g > 1$, Weil had to take into account that C is no longer isomorphic to its Jacobian. For a description of Weil's proof, see, e.g. James Milne's paper [14] "The Riemann Hypothesis over finite fields from Weil to the present day" (2015). See also Marc Hindry [12].

Weil worked over $\overline{\mathbb{F}_q}$ (to have a good intersection theory) and in the *square* $S = \overline{C} \times \overline{C}$ of the curve C extended to $\overline{\mathbb{F}_q}$. He used the graph Φ_q of the Frobenius φ_q on $\overline{\mathbb{F}_q}$, which is a divisor of the surface $S = \overline{C} \times \overline{C}$. As the \mathbb{F}_q -points of C , i.e. $C(\mathbb{F}_q)$, are the *fixed* points of φ_q , their number is the intersection number: $\Phi_q \bullet \Delta$ where Δ is the *diagonal* of $S = \overline{C} \times \overline{C}$.

Then Weil transferred Hurwitz trace formula (1887), which says that, for a Riemann surface \overline{C} and a divisor Φ in $S = \overline{C} \times \overline{C}$ associated to a map $\varphi : \overline{C} \rightarrow \overline{C}$, one has

$$\begin{aligned} \Phi \bullet \Delta &= \text{Tr}(\varphi \mid H_0(\overline{C}, \mathbb{Q})) - \text{Tr}(\varphi \mid H_1(\overline{C}, \mathbb{Q})) \\ &\quad + \text{Tr}(\varphi \mid H_2(\overline{C}, \mathbb{Q})). \end{aligned}$$

Here this formula implies that

$$\begin{aligned} \Phi_q \bullet \Delta &= \Phi_q \bullet \xi_1 - \text{Tr}(\varphi_q \mid H_1(\overline{C})) + \Phi_q \bullet \xi_2 \\ &= 1 - \text{Tr}(\varphi_q \mid H_1(\overline{C})) + q \end{aligned}$$

with $\xi_1 = e_1 \times \overline{C}$ and $\xi_2 = \overline{C} \times e_2$ (e_j points of \overline{C}).

If one considers the symmetric quadratic intersection form $s(D, D') = D \bullet D'$, one notes that $\xi_1 \bullet \xi_1 = \xi_2 \bullet \xi_2 = 0$ (the ξ_j are isotropic) and $\xi_1 \bullet \xi_2 = 1$ (it is exactly the reverse of orthonormality).

The key point is that, in this geometric context, RH for curves over \mathbb{F}_q is equivalent to the *negativity condition* $D \bullet D \leq 0$ for all divisors D of degree = 0. And this is equivalent to the *Castelnuovo-Severi inequality* for every divisor D :

$$D \bullet D \leq 2(D \bullet \xi_1)(D \bullet \xi_2).$$

Indeed, let

$$\text{def}(D) = 2(D \bullet \xi_1)(D \bullet \xi_2) - D \bullet D = 2d_1d_2 - D \bullet D \geq 0$$

be what Severi called the “defect” of the divisor D . Writing $\text{def}(mD + nD') \geq 0$ for all m, n , we find

$$|D \bullet D' - d_1d'_2 - d'_1d_2| \leq (\text{def}(D) \text{def}(D'))^{\frac{1}{2}}.$$

If we apply this to the Frobenius divisor Φ_q when \overline{C} has genus g , and use the fact that $d_1 = \Phi_q \bullet \xi_1 = 1$ and $d_2 = \Phi_q \bullet \xi_2 = q$, we compute $\text{def}(\Phi_q) = 2gq$ and $\text{def}(\Delta) = 2g$. So we get

$$|\Phi_q \bullet \Delta - q - 1| \leq 2gq^{\frac{1}{2}}.$$

But, as $\Phi_q \bullet \Delta = |\overline{C}(\mathbb{F}_q)|$, one has

$$||\overline{C}(\mathbb{F}_q)| - q - 1| \leq 2gq^{\frac{1}{2}}$$

which proves RH for genus g .

It is to prove Castelnuovo-Severi inequality that RR enters the stage with the inequality

$$\ell(D) - \ell(K_S - D) \geq \frac{1}{2}D \bullet (D - K_S) + \chi(S).$$

Indeed, let us suppose $D \bullet D > 0$.

1. One then uses RR to show that after some rescaling $D \rightsquigarrow nD$ we must have $\ell(nD) > 1$. So one can suppose $\ell(D) > 1$.
2. Now it can be shown that if $\ell(D) > 1$, then D is linearly equivalent to $D' > 0$. One can therefore suppose $D > 0$.
3. Then one shows that this implies the positivity $(D \bullet \xi_1) + (D \bullet \xi_2) > 0$. So $D \bullet \xi_1$ and $D \bullet \xi_2$ cannot vanish at the same time (D cannot be orthogonal to both the ξ_j).
4. One then applies Castelnuovo-Severi lemma saying that if, for every D s.t. $D \bullet D > 0$, $D \bullet \xi_1$ and $D \bullet \xi_2$ cannot vanish at the same time then for any D

$$D \bullet D \leq 2(D \bullet \xi_1)(D \bullet \xi_2).$$

8.8 Connes' Strategy: "A Universal Object for the Localization of L Functions"

8.8.1 Come Back to Arithmetics

To summarize: Weil introduced an intermediate world, the world of curves over finite fields \mathbb{F}_q . He reformulated the RH in this new framework and used tools inspired by algebraic geometry and cohomology over \mathbb{C} to prove it.

It is well known that the generalization of this result to *higher dimensions* led to his celebrated conjectures and that the strategy for proving them has been at the origin of the monumental program of Grothendieck (schemes, sites, toposes, etale cohomology). But after Deligne's proof of Weil's conjectures in 1973 the original RH remained unbroken.

Some years ago, Alain Connes proposed a new strategy consisting in constructing a new *geometric* framework for arithmetics where Weil's proof could be transferred by analogy. His fundamental discovery is that a strategy could consist in working in the world of "*tropical algebraic geometry in characteristic 1*", and apply it to the non-commutative space of the classes of adèles. In his 2014 Lectures at the Collège de France, he said that he was looking since 18 years for a geometric interpretation

of adèles and ideles in terms of algebraic geometry *à la* Grothendieck. And in his essay [4] he explains:

It is highly desirable to find a geometric framework for the Riemann zeta function itself, in which the Hasse-Weil formula, the geometric interpretation of the explicit formulas, the Frobenius correspondences, the divisors, principal divisors, Riemann-Roch problem on the curve and the square of the curve all make sense. (p.8)

The reader will find some details of this program in his extraordinary paper [7] (2016) with Caterina Consani “*Geometry of the scaling site*”.²

8.8.2 The Hasse-Weil Function in Characteristic 1: Soulé’s Work

The first move towards an interpretation of Riemann’s original $\zeta(s)$ in terms of a $\zeta_C(s)$ for an “untraceable” curve-like object C defined over an “untraceable” new “prime field” \mathbb{F} was achieved by Christophe Soulé.

We have seen that for curves C over finite fields \mathbb{F}_q , the Hasse-Weil zeta function $\zeta_C(s)$ counts the (finite) number $N(q^r)$ of points of C rational over the successive extensions \mathbb{F}_{q^r} . Yet, the generating function of the $N(q^r)$

$$Z_C(T) := \exp\left(\sum_{r \geq 1} N(q^r) \frac{T^r}{r}\right)$$

(remind that $\zeta_C(s) := Z_C(q^{-s})$) can be defined for a lot of functions $N(q^r)$ which do not derive from a curve.

A natural question is, therefore, to know if it is possible to retrieve Riemann’s original $\zeta(s)$ as a *limit case* of Hasse-Weil function $Z_N(q^{-s})$ for a well-defined N . In [19], Christophe Soulé worked out the deep idea of looking at $Z_N(q^{-s})$ for $q \rightarrow 1$. More precisely, as $Z_N(T)$ has a pole of order $N(1)$ at $q = 1$, he looked at limits

$$\zeta_N(s) = \lim_{q \rightarrow 1} Z_N(q^{-s}) (q - 1)^{N(1)}.$$

The question becomes then to know if there exists a counting function N yielding

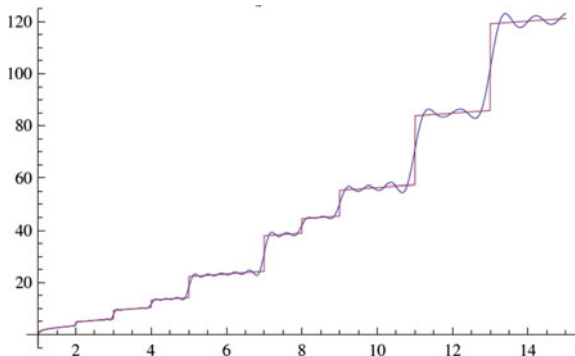
$$\zeta_N(s) = \zeta^*(s) = \zeta(s) \Gamma\left(\frac{s}{2}\right) \pi^{-\frac{s}{2}}.$$

Now, such a “function” N *does* exist. If one takes the logarithms, one gets

$$\log \zeta_N(s) = \log \zeta^*(s) = \lim_{q \rightarrow 1} \left(\sum_{r \geq 1} N(q^r) \frac{q^{-sr}}{r} + N(1) \log(q - 1) \right)$$

² For previous elements, see Connes, Consani, Marcolli [5].

Fig. 8.8 The integral of Soulé’s distribution



and Connes and Consani have shown in [6] that the logarithmic derivative is given by the formula

$$\frac{\zeta'_N(s)}{\zeta_N(s)} = \frac{\zeta^{*'}(s)}{\zeta^*(s)} = - \int_1^\infty N(u) u^{-s} \frac{du}{u},$$

where N is the well-defined *distribution*

$$N(u) = u + 1 - \frac{d}{du} \left(\sum_\rho \frac{u^{\rho+1}}{\rho + 1} \right),$$

and the ρ being the non-trivial zeroes of $\zeta(s)$. $N(u)$ is the derivative in the distribution sense of the increasing *step* function $J(u)$ on $[1, \infty)$ diverging to $-\infty$ at 1 (see Fig. 8.8).

$$J(u) = \frac{u^2}{2} + u - \left(\sum_\rho \frac{u^{\rho+1}}{\rho + 1} \right).$$

8.8.3 *Semi-rings and Semi-fields of Characteristic 1*

The second step in implementing Connes’ strategy is to find what can mean an algebraic geometry in characteristic $q = 1$.³ The (revolutionary) first move is to change the basic algebraic structures and shift from rings and fields to *semi-rings* and *semi-fields*, that is, to algebraic structures $(A, \dot{+}, \dot{\times})$ where $\dot{+}, \dot{\times}$ are only *monoid* laws (i.e. associative, with neutral element, $\dot{+}$ commutative, $\dot{\times}$ distributive). In particular,

³ For an overview of the various approaches towards \mathbb{F}_1 -geometry, see, e.g. López Peña-Lorscheid [13].

one can look at $\mathbb{Z}, \mathbb{Q},$ or \mathbb{R} using the sup \vee as new addition $\dot{+}$ and the $+$ or the \times as new multiplication $\dot{\times}$.

For instance, $\mathbb{Z}_{\max} = \{-\infty\} \cup \mathbb{Z}$ is a semi-field with $-\infty$ as the neutral element of $\dot{+} = \vee$ since $x \vee -\infty = x$, and with 0 as the neutral element of $\dot{\times} = +$ since $x + 0 = x$. Another semi-field is $\mathbb{R}_{\max}^+ = \mathbb{R}^+$ with $\dot{+} = \vee$ (0 is the neutral element since all x are > 0) and $\dot{\times} = \times$ (1 remains the neutral element). In these semi-rings, the “addition” $\dot{+}$ is *idempotent* since $x \dot{+} x = x \vee x = x$ and it is for this reason that one says they are of *characteristic 1*.

It is essential to note that \mathbb{Z}_{\max} is a semi-field with *natural Frobenius endomorphisms*. Indeed, if $n \in \mathbb{N}^\times$, $\varphi_n : x \mapsto x^n = nx$ ($\dot{\times} = +$ is the natural addition and therefore exponentiation is the natural multiplication) is an endomorphism of \mathbb{Z}_{\max} since $n(x \vee y) = nx \vee ny$ and $n(x + y) = nx + ny$. Idem for \mathbb{R}_{\max}^+ .

The basic structure in characteristic 1 is the Boolean semi-field $\mathbb{B} = \{0, 1\}$ with \vee and \times , and hence $1 \vee 1 = 1$. \mathbb{R}_{\max}^+ is an extension of \mathbb{B} (there don't exist *finite* extensions of \mathbb{B}). Its Galois group is

$$\text{Gal}(\mathbb{R}_{\max}^+) := \text{Aut}_{\mathbb{B}}(\mathbb{R}_{\max}^+) = \mathbb{R}_+^*,$$

and the $\lambda \in \mathbb{R}_+^*$ act as *Frobenius maps* $\varphi_\lambda : x \mapsto x^\lambda$. One has actually $(x \vee y)^\lambda = x^\lambda \vee y^\lambda$ since $x, y \geq 0$ and $\lambda > 0$, and of course $(xy)^\lambda = x^\lambda y^\lambda$. So one gets a *Frobenius flow* (a multiplicative 1-parameter group) φ_λ on \mathbb{R}_{\max}^+ .

Now, a simple but remarkable result is that \mathbb{B} is the only finite semi-field which is not a field.

Theorem. If \mathbb{K} is a finite semi-field, then either \mathbb{K} is a field (a \mathbb{F}_{p^n}) or $\mathbb{K} = \mathbb{B}$.

So one can use the Boolean semi-field \mathbb{B} as the base for a new world of algebraic structures, try to do algebraic geometry in characteristic 1, that is, over a putative “non-existent” field \mathbb{F}_1 , and look at the possibility of transferring Weil’s proof of RH to this new framework.

We have already emphasized that for curves over $\mathbb{F}_{q=p^n}$, that is, global fields $K(C)/\mathbb{F}_q(t)$, the base field \mathbb{F}_p is a common underlying structure to all localizations, while it is not the case for the global field \mathbb{Q} and its algebraic extensions. A great advance is the idea that \mathbb{B} can overcome this lack.

Remark. The world of semi-rings and semi-fields in characteristic 1 is intimately correlated to what is called *tropical geometry, idempotent analysis*, and what V.P. Maslov called “*dequantization*”. A great advantage of this framework for optimization problems is that *Legendre* transforms become simply *Fourier* transforms. Its origin is to be found in the technique of *Newton polygons* introduced by Newton to localize the zeroes of polynomials.

8.8.4 The Arithmetic Topos $\mathfrak{A} = (\widehat{\mathbb{N}^\times}, \mathbb{Z}_{\max})$

The third step of Connes’ strategy was to find the “untraceable” geometric arithmetic-like object \mathfrak{A} enabling to interpret $\zeta(s)$ as a $\zeta_{\mathfrak{A}}(s)$. The jump is fantastic. Connes and Consani used the topos conception of algebraic geometry developed by Grothendieck and considered a topos adapted by construction to characteristic 1.

The starting point is incredibly simple, “d’une simplicité biblique”. Connes and Consani identify \mathbb{N}^\times to the small category with a single object $*$ and morphisms $n \in \mathbb{N}^\times$ with composition $n \circ m$ given by the multiplication nm . Then they look at the category $\widehat{\mathbb{N}^\times}$ of presheaves on \mathbb{N}^\times , that is, the category of contravariant functors $(\mathbb{N}^\times)^{op} \rightarrow \mathfrak{Set}$, that is, the category of sets endowed with a \mathbb{N}^\times -action.

If \mathbb{N}^\times is endowed with the trivial Grothendieck topology, presheaves become sheaves and $\widehat{\mathbb{N}^\times}$ becomes a *topos* on the site \mathbb{N}^\times . Now, \mathbb{Z}_{\max} is a semi-ring in this topos since \mathbb{N}^\times acts on \mathbb{Z}_{\max} through the Frobenius maps φ_n . Connes takes it as the *structural sheaf* of the topos $\widehat{\mathbb{N}^\times}$ and calls $\mathfrak{A} = (\widehat{\mathbb{N}^\times}, \mathbb{Z}_{\max})$ the *arithmetic site* (or topos). It is a *geometric* object “defined over” \mathbb{B} , “geometric” in the topos sense but of an arithmetic essence.⁴

The key idea is then to develop the *analogy*:

$$\begin{array}{c} \text{arithmetic site } \mathfrak{A} = (\widehat{\mathbb{N}^\times}, \mathbb{Z}_{\max}) \\ \text{over the finite semi-field } \mathbb{B} \text{ of characteristic } 1 \\ \updownarrow \\ \text{algebraic curve } C \\ \text{over the finite field } \mathbb{F}_q \text{ of characteristic } p \end{array}$$

There are some very “encouraging” results:

1. The “points” of the topos \mathfrak{A} correspond, up to isomorphism, to the *additive subgroups* H of \mathbb{Q} , and it is well known that these subgroups are parametrized by suitable equivalence classes of *finite* adeles of \mathbb{Q} (i.e. those whose Archimedean component = 0). Moreover, if H_{\max} is the semi-field $H_{\max} = \{-\infty\} \cup H$ with $\dagger = \vee$ ($-\infty$ is the neutral element) and $\dot{\times} = +$, then H_{\max} is the *stalk* of the structural sheaf \mathbb{Z}_{\max} at the point H . Hence, a very deep arithmetic content of the topos \mathfrak{A} .
2. In particular, the subgroups of \mathbb{Q} : $H_p = \left\{ \frac{n}{p^k} \mid n \in \mathbb{Z}, k \in \mathbb{N} \right\}$ for p prime are special points of $\widehat{\mathbb{N}^\times}$. And, as the primes p are the (closed) points of the scheme $\text{Spec}(\mathbb{Z})$, one gets a canonical interpretation of $\text{Spec}(\mathbb{Z})$ into the arithmetic topos \mathfrak{A} .
3. In Connes’ analogy, the arithmetic topos \mathfrak{A} corresponds to a curve C over a finite field \mathbb{F}_q . But we have seen that Weil’s proof of RH uses intersection theory and

⁴ As was emphasized by a reviewer, “ \mathbb{Z}_{\max} , when viewed just as a semi-field, is not sufficiently deep” because “multiplication of numbers is not part of the structure of \mathbb{Z}_{\max} as a semi-field. By employing the arithmetic site, multiplication is put back in. The true object to consider is then \mathbb{Z}_{\max} regarded as a sheaf over the arithmetic site”.

Riemann-Roch theorem in the square $\overline{C} \times \overline{C}$. So, to keep on with the analogy, one has to define the square $\overline{\mathfrak{A}} \times \overline{\mathfrak{A}}$ and use the Frobenius maps to “count the points”. It is a very difficult and highly technical stuff. To define $\overline{\mathfrak{A}}$, Connes *scales* \mathfrak{A} : he enlarges the trivial underlying site \mathbb{N}^\times of \mathfrak{A} to the category \mathcal{C} of open intervals Ω of $[0, \infty)$ with morphisms the $n : \Omega \rightarrow \Omega', n \in \mathbb{N}^\times$ s.t. $n\Omega \subset \Omega'$ (i.e. n acts as a scaling); then he defines a structural sheaf \mathcal{O} (it is too technical to be explained here).

4. Then Connes and Consani extend the scalars to \mathbb{R}_+^{\max} , extension which adds a lot of new points, namely, all the subgroups of the form λH_a , where a $\lambda \in \mathbb{R}$ scales an additive subgroup H_a of \mathbb{Q} parametrized by a finite adèle a . The scalings $\lambda \in \mathbb{R}$ add to the finite adeles a Archimedean components and introduce the other adeles.
5. Connes and Consani show that—as well as one has $C(\overline{\mathbb{F}_q}) = \overline{C}(\overline{\mathbb{F}_q})$ in the case of curves over \mathbb{F}_q —one has here $\overline{\mathfrak{A}}(\mathbb{R}_+^{\max}) = \mathfrak{A}(\mathbb{R}_+^{\max})$, the isomorphism classes of points of $\overline{\mathfrak{A}}(\mathbb{R}_+^{\max}) = \mathfrak{A}(\mathbb{R}_+^{\max})$ being now parametrized by suitable equivalence classes of adeles in $\mathbb{A}_{\mathbb{Q}}$.
6. In $\overline{\mathfrak{A}}$ all the points λH_a lie over the point H_a of \mathfrak{A} . In particular, all the points λH_p with $H_p = \left\{ \frac{n}{p^k} \mid n \in \mathbb{Z}, k \in \mathbb{N} \right\}$ lie over the point H_p of \mathfrak{A} . Connes and Consani show they are parametrized by $\mathbb{R}_+^*/p^{\mathbb{Z}}$ and constitute in some sense a “circle” C_p over p which is a periodic orbit of the Frobenius scaling flow φ_λ .
7. An extremely striking achievement, more than “encouraging”, is that C_p is analogous to an *elliptic curve* (EC) and that all the results of p -adic EC can be transferred to C_p , including the *Riemann-Roch theorem*. For proving this beautiful result, Connes uses Tate’s 1959 reformulation of the classical theory of EC over \mathbb{C} , which can be transferred to the p -adic case. One of the definitions of an EC over \mathbb{C} is a quotient $E_\tau = \mathbb{C}/\Lambda$ of \mathbb{C} by a lattice $\Lambda = \langle 1, \tau \rangle$ with $\Im(\tau) > 0$ (i.e. $\tau \in \mathcal{H}$, the hyperbolic Poincaré half-plane). But this definition cannot be extended to the p -adic context. To overcome this difficulty, Tate (see [20]) remarked that, since functions f over E_τ are doubly periodic functions $f(z)$ over \mathbb{C} with periods 1 and τ (elliptic functions), one can “absorb” the period 1 in the change of variables $z \mapsto u = e^{2\pi iz}$. This is a Fourier transform transforming the cylinder $(\mathbb{C}/\mathbb{Z}, +, 0, \times, 1)$ into $(\mathbb{C}^*, \times, 1, \exp, 1)$. Then $f(z)$ becomes a function $f(u)$ on \mathbb{C}^* with period τ . Applying again a Fourier transform, namely, $q = e^{2\pi i\tau}$ ($|q| < 1$ since $\Im(\tau) > 0$), $f(z)$ becomes q -periodic and hence a function on $\mathbb{C}^*/q^{\mathbb{Z}}$. So E_τ can be identified with $\mathbb{C}^*/q^{\mathbb{Z}}$, $q = e^{2\pi i\tau}$, and Tate reformulated the whole theory of elliptic curves in that new context and showed how it can be transferred to the p -adic case. And Connes shows how Tate’s theory of $\mathbb{C}^*/q^{\mathbb{Z}}$ can be faithfully reformulated for $C_p \simeq \mathbb{R}_+^*/p^{\mathbb{Z}}$.

8.9 Conclusion

Connes and Consani’s program is now to develop the *intersection theory* in the square $\overline{\mathfrak{A}} \times \overline{\mathfrak{A}}$ of the scaled arithmetic topos, to prove RR for this “surface” and show that

for divisors D on $\overline{\mathfrak{A}} \times \overline{\mathfrak{A}}$ one has the inequality

$$\dim(H^0(D)) + \dim(H^0(-D)) \geq \frac{1}{2}D \bullet D,$$

which would be the analogue of the classical formula over $S = \overline{C} \times \overline{C}$ for curves:

$$\ell(D) + \ell(K_S - D) \geq \frac{1}{2}D \bullet (D - K_S) + \chi(S).$$

But this is another story.

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