# Diachrony of Spectra

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### Introduction

#### Definition

Let R be a commutative ring. The spectrum of R is the set of prime ideals of R.

### Example

$$\mathsf{Spec}(\mathbb{Z}) = \{\!\{0\}\!,\ 2\mathbb{Z}, 3\mathbb{Z}, 5\mathbb{Z}, 7\mathbb{Z}, 11\mathbb{Z}, \cdots\}.$$

### Question

Why is it defined like this?

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Hydrogen atom

Spectral theory on Hilbert spaces

Gelfand theory

Algebraic geometry

# Hydrogen spectral series



### Question

How can we explain and compute this phenomenon?

A: By the following formula!

$$\frac{1}{\lambda} = R\left(\frac{1}{n_1^2} - \frac{1}{n_2^2}\right), \quad \text{for} \quad n_1, n_2 \in \mathbb{N}.$$

# Rydberg's formula (1): Bohr model

#### Bohr's postulates:

- ▶ The electrons are on certian stable orbits.
- ► The stationary orbits are computed by the old quantization assumption for angular momenta:

$$mvr = n\hbar$$
.

► An electron absorbs or emits light frequency f when they jump from an orbit to another, satisfying

$$\Delta E = hf$$
.

The constant h is called the Planck constant and  $\hbar := \frac{h}{2\pi}$ .

# Rydberg's formula (1): Bohr model

From the three relations

$$\label{eq:mur} m\nu r = n\hbar, \quad \frac{m\nu^2}{r} = -k\frac{(+e)(-e)}{r^2}, \quad E = K + V = \frac{1}{2}m\nu^2 - k\frac{e^2}{r},$$

we deduce

$$E = -\frac{k^2 e^4 m}{2 \hbar^2} \frac{1}{n^2} \approx -13.6 \frac{1}{n^2} \ (eV).$$

## Proposition (Rydberg formula)

The wavelengths  $\lambda$  of absorbed or emitted photons from a hydrogen atom is estimated by the following formula:

$$rac{1}{\lambda}=R\left(rac{1}{n_1^2}-rac{1}{n_2^2}
ight), \quad ext{for} \quad n_1,n_2\in\mathbb{N},$$

where  $R := \frac{k^2 e^4 m}{4\pi \hbar^3 c}$  is the Rydberg constant.

# Rydberg's formula (2): Schrödinger equation

More mathematically!

In quantum mechanics, an electron around a hydrogen atom is described by the Schrödinger equation: for  $(t,x)\in\mathbb{R}^{1+3}$ 

$$\begin{split} &i\hbar\frac{\partial}{\partial t}\Psi(t,x)=-\frac{\hbar^2}{2m}\nabla^2\Psi(t,x)+V(x)\Psi(t,x),\\ &\text{energy} &\text{kinetic energy} &\text{potential energy} \end{split}$$

where V is given by the Coulomb potential

$$V(x) = -k \frac{e^2}{|x|}.$$

By solving it, we obtain the probability distribution  $|\Psi(t,x)|^2$  of the electron at time t, hence the assumption  $\forall t, \ \int |\Psi(t,x)|^2 \, dx = 1 < \infty.$  Let's solve.

# Separation of variables and Eigenvalue problems

$$\label{eq:delta-psi} i\hbar\frac{\partial\Psi(t,x)}{\partial t} = -\frac{\hbar^2}{2m}\nabla^2\Psi(t,x) + V(x)\Psi(t,x).$$

"Mathematization":

$$\mathrm{i} \partial_t \Psi(t,x) = (-\Delta + V(x)) \Psi(t,x), \qquad V(x) = -\frac{2}{|x|}.$$

**Ansatz:** if the solutions has the form  $\Psi(t,x)=\varphi(t)\psi(x)$ , then

$$\frac{i\partial_t \varphi(t)}{\varphi(t)} = \frac{(-\Delta + V(x))\psi(x)}{\psi(x)} = E$$

for some constant E, which is interpreted as the energy of electron. ... We have two *eigenvalue problems* with *shared eigenvalue* E:

$$\label{eq:delta_t} i\frac{d}{dt}\varphi(t) = \mathsf{E}\varphi(t), \qquad (-\Delta + V(x))\psi(x) = \mathsf{E}\psi(x).$$

(Solutions may or may not exist according to E!)

# Separation of variables and Eigenvalue problems

Suppose we already have found the solutions  $\varphi_E(t),\,\psi_E(x)$  of the eigenvalue problems for each complex number E.

Here are some facts:

- ► Functions of the form  $\Psi(t,x) = \phi_E(t)\psi_E(x)$  and linear combinations of them are solutions of the original Schrödinger equation.
- ▶ It is known that all solutions are found in this way: general solution of the original Schrödinger equation is given by

$$\Psi(t,x) = \sum_E \varphi_E(t) \psi_E(x) \quad \text{or} \quad \int_E \varphi_E(t) \psi_E(x) \; dE.$$

- For a given E,  $\phi_E$  and  $\psi_E$  are of course not unique. In fact they form a vector space which is called the eigenspace.
- Note that for some E we probably cannot find the solution  $\psi_E(x)$  that satisfies  $\int |\psi_E(x)|^2 dx = 1$ : the eigenspace is trivial.
- $\blacktriangleright$  Since  $\varphi_E(t) \propto e^{-iEt}$  is easily solved, the main difficulty is  $\psi_E.$

## Separation of variables and Eigenvalue problems

So, here are what we need to investigate seriously: what are the eigenvalues and eigenvectors of the linear operator

$$\mathcal{H}:L^2(\mathbb{R}^3)\to L^2(\mathbb{R}^3)$$

defined by

$$\mathcal{H}\psi(\mathbf{x}) := (-\Delta - 2|\mathbf{x}|^{-1})\psi(\mathbf{x})?$$

Also, how can we compute them?

\*\*\* The Beginning of Spectral Theory \*\*\*

#### Remark

Simply,  $L^2(\mathbb{R}^3)$  is the space of  $f:\mathbb{R}^3\to\mathbb{R}$  such that  $\int |f|^2<\infty$ . In fact, there are many technical issues to formalize this problem, for example,  $L^2$  function is in general not differentiable.

Don't be so pedantic in doing physics.

# Eigenvalues of hydrogen Hamiltonian

Anyway, with long long calculations and hard hard mathematics, experts have found the following result:

### Proposition

The eigenvalues of the operator  $\mathcal{H} = -\Delta - 2|x|^{-1}$  are

$$-1, -\frac{1}{4}, -\frac{1}{9}, -\frac{1}{16}, \cdots$$

with multiplicity 1, 4, 9, 16 and so on.

- ► Eigenvalues embody the possible energies of an electron, so we can give the Rydberg formula a reasonable explanation.
- ► This result explains not only the discretized energy spectrum but also the number of orbitals in each electron shell!
- ▶ We call the set of eigenvalues by (discrete) spectrum of H.

# Eigenvalues of hydrogen Hamiltonian

The simultaneous equation is solved when  $E = -\frac{1}{n^2}$  for some  $n \in \mathbb{N}$ :

$$\label{eq:delta_dt} i\frac{d}{dt}\varphi(t) = E\varphi(t), \qquad (-\Delta + V(x))\psi(x) = E\psi(x).$$

General solution of the Schrödinger equation is like

$$\begin{split} \Psi(t,x) &= \sum_{n=1}^{\infty} \varphi_n(t) \psi_n(x) \\ &= \sum_{n=1}^{\infty} e^{i\frac{1}{n^2}t} \left( \sum_{i=1}^{n^2} c_{n,i} \psi_{n,i}(x) \right) \\ &= \sum_{n=1}^{\infty} e^{i\frac{1}{n^2}t} \sum_{l=0}^{n-1} \sum_{m=-l}^{l} c_{nlm} \ \psi_{nlm}(x). \end{split}$$

## Conclusion of Section 1

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## Spectral theory?

So far, we have seen that spectral theory refers to the theory about eigenvalues and eigenvectors, especially often for INFINITE dimensional linear operators.

In this section, we

- review the spectral theory on finite dimensional vector spaces,
- introduce Hilbert spaces a typical example of infinite dimensional vector spaces — to state some results which extend the spectral theory to infinite dimensional spaces,
- and give a precise definition of "spectrum" of an operator.

From now, we basically assume the scalar field as  $\mathbb{C}$ .

## Spectral theorem for matrices

The term "spectral theorem" is given to several theorems that show a condition for a linear operator to be diagonalizable. (diagonalizability is the firstly considered "spectral property"!) In particular, spectral theorems state the relation

condition related to adjoint  $\iff$  a kind of diagonalizability.

Vector space with inner product

Vector space without additional structure

The most famous examples are for:

#### Definition

Let V be a finite dimensional complex inner product space and  $A:V\to V$  be linear. (i.e., let A be a complex square matrix.) Then, A is said to be normal if  $AA^*=A^*A$ , and Hermitian if  $A=A^*$ 

Note that the conjugate transpose depends on the inner product structure:  $A^*$  is defined by

$$\langle x, Ay \rangle = \langle A^*x, y \rangle.$$

## Spectral theorem of matrices

## Theorem (Spectral theorem for normal matrices)

A complex square matrix A is normal if unitarily diagonalizable.

## Theorem (Spectral theorem for Hermitian matrices)

A complex square matrix A is Hermitian if unitarily diagonalizable and all eigenvalues are real.

#### TFAE: a matrix is/has

- unitarily diagonalizable
- ▶ a set of eigenvectors forms an orthonormal basis of V.

Remind what we did in the previous section. The purpose of separation of variables is to *construct an orthonormlal basis for the solution space*.

## Hilbert space

#### Definition

An inner product space, possibly infinite dimensional, is called a *Hilbert space* if it is complete; the metric

$$d(x,y) := \sqrt{\langle x - y, x - y \rangle}$$

has the space become a complete metric space.

- ▶ The vector space  $C^n \Leftrightarrow Finite dimensional Hilbert space.$
- ▶ The space  $L^2(X)$  is a Hilbert space with  $\langle f, g \rangle := \int_X fg \, dx$ .
- ► Conversly, Hilbert space usually means the L² space of wave functions, by physicists.
- ▶ The space  $\ell^2(\mathbb{C})$  of sqare summable sequeces is a Hilbert space with  $\langle (a_n), (b_n) \rangle := \sum_n a_n b_n$ .

## Bounded operators

## Theorem (?)

In finite dimensions, something linear is always continuous.

However, this may be wrong in infinite dimensions. We should find linear operators of nicer properties to state the generalized spectral theorem.

#### Definition

A linear operator  $T: H \to H$  on a Hilbert space is called *bounded* if there is a constant C>0 such that for all  $x\in H$ 

$$||Ax|| \leqslant C||x||.$$

The set of bounded operators on H is denoted by B(H).

#### **Theorem**

A linear operator on a Hilbert space is bounded iff continuous.

## Compact operators

Bounded operators are not enough.

#### Definition

A linear operator T on a Hilbert space is called *compact* if image of bounded set is relatively compact.

#### Remark

The closed ball in infinite dimensional Hilbert space is not compact: we can find a sequence not having any convergent subsequence.

## Example

An operator  $T:\ell^2\to\ell^2$  defined by

$$\mathsf{T}(\mathfrak{a}_1,\mathfrak{a}_2,\mathfrak{a}_3,\cdots)=(\mathfrak{a}_1,\frac{\mathfrak{a}_2}{2},\frac{\mathfrak{a}_3}{3},\cdots)$$

is compact, but the identity  $I \to \ell^2 \to \ell^2$ 

$$I(\alpha_1, \alpha_2, \alpha_3, \cdots) = (\alpha_1, \alpha_2, \alpha_3, \cdots),$$

which is clearly bounded, is not compact.

## Spectral theorem for compact normal operators

## Theorem (Spectral theorem for compact normal operators)

Let T be a compact normal operator on a separable Hilbert space. Then, there exists a countable orthonormal basis consisting of eigenvectors, with corresponding eigenvalues that converges to 0.

## Theorem (Spectral theorem for compact self-adjoint operators)

Let T be a compact self-adjoint operator on a separable Hilbert space. Then, there exists a countable orthonormal basis consisting of eigenvectors, with corresponding eigenvalues that are reals and converges to 0.

#### Remark

There are some concepts we will skip:

- we did not define "separable" space,
- we did not define "countable (Schauder) basis".

## Discrete spectrum

An application of spectral theorem:

The Hamiltonian operator for harmonic oscillator  $-\Delta + |x|^2$  is an example of what we call *elliptic operators* with discrete spectrum.

We will not deal with this in detail, but:

The operator  $-\Delta + |x|^2$  is unbounded,

but it is known that we can view it as the inverse of a compact self-adjoint(positive) operator.

 $\downarrow$ 

The eigenvalues are distributed like

$$0<\lambda_1<\lambda_2<\cdots\to\infty.$$

Hydrogen atom is more complicated: it has both discrete spectra  $\{-\frac{1}{n^2}\}$  and continuous spectra  $[0,\infty)$ . What is continuous spectrum?

# Continuous spectrum

For hydrogen atom  $\Rightarrow$  we defined the discrete spectrum of Hamiltonian  $\mathcal{H} = -\Delta + 2|x|^{-1}$  as the set of *eigenvalues*.

For a free particle  $\Rightarrow \mathcal{H} = -\Delta + V = -\Delta$ , we cannot; eigenvectors exist for E  $\geqslant$  0, and they are "linear combinations" of

$$\psi_E(x)=e^{\mathfrak{i} k\cdot x}, \qquad \text{ for } k\in\mathbb{R}^3 \text{ s.t. } |k|^2=E,$$

which are all not in  $L^2$ .

However, their integral may serve as a solution:

$$\Psi(t,x) = \int_{E} e^{-iEt} \int_{|k| = \sqrt{E}} \alpha_{E}(k) e^{ik \cdot x} dk dE.$$

- ▶ Energy spectrum of free particle is not *quantized* = *discretized*.
- ▶ We want to say  $-\Delta$  has the spectrum  $[0, \infty)$ .

## Continuous spectrum

#### Definition

Let T be an operator on a Hilbert space H. The *spectrum* of T is defined by

$$\sigma(T) := \{\lambda \in \mathbb{C} : T - \lambda I \text{ is not invertible in } B(H)\}.$$

In particular,

#### Definition

The point spectrum of T is defined by the set of eigenvalues:

$$\sigma_p(T) := \{\lambda \in \mathbb{C} : T - \lambda I \text{ is not injective } \}.$$

#### Definition

The *continuous spectrum* of T is defined by

$$\sigma_c(T) := \{\lambda \in \mathbb{C} : T - \lambda I \text{ is injective but has proper dense image } \}.$$

### Conclusion of Section 2

- ▶ In infinite dimensional spaces, the spectral theorems are generalized for compact operators.
- The spectrum of an operator T is defined by

 $\{\lambda \in \mathbb{C} : T - \lambda I \text{ is not invertiable } \}.$ 

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## C\*-algebras

The goal of this section is to state the Gelfand-Naimark theorem, which crucially affects to the definition of  $\mathsf{Spec}(R)$ . We give definitions:

#### Psudo-definition

An *algebra* is a vector space with vector multiplication. Equivalently, a ring with scalar multiplication.

#### Definition

A  $C^*$ -algebra is a complex associative algebra with involution \* and norm  $\|\cdot\|$  such that the norm is complete and  $\|x^*x\| = \|x^*\| \|x\|$ .

## Example (1)

Let H be a complex Hilbert space. Then, B(H) is a  $C^*$ -algebra.  $C^*$ -algebras are invented to learn the abstract study of B(H).

## Example (2)

Let X be a compact space. Then, the set of complex-valued continuous functions  $C(X,\mathbb{C})$  is a commutative  $C^*$ -algebra.

# Gelfand theory (1): continuous function space

Assumption: unless mentioned otherwise, we will only discuss *commutative unital* C\*-algebras.

The following definition is natural:

#### Definition

Let A be (possibly non-commutative)  $C^*$ -algebra. A complex number  $\lambda$  is in the *spectrum* of  $\alpha \in A$  if  $\alpha - \lambda e$  is not invertible. The spectrum is denoted by  $\sigma(\alpha)$ .

What can be told for a continuous function on a compact X? For C(X),

- $ightharpoonup \sigma(f) = im(f),$
- every maximal ideal is of the form  $\{f: f(x) = 0\}$  for a single point  $x \in X$ .

# Gelfand theory (2): generated C\*-subalgebra

The following is also an important exmple to formulate functional calculus:

#### Definition

Let A be a (possibly non-commutative)  $C^*$ -algebra. An element  $\alpha \in A$  is called *normal* if  $\alpha^*\alpha = \alpha\alpha^*$ . For a normal element, a  $C^*$ -subalgebra defined by

$$C^*(\mathfrak{a}) := \overline{\{\mathfrak{p}(\mathfrak{a},\mathfrak{a}^*) : \mathfrak{p} \in \mathbb{C}[x,y]\}} \subset A$$

is said to be generated by  $\alpha$ .

Note that  $C^*(a)$  is commutative since a is normal! For  $C^*(a)$ ,

- if  $\alpha \lambda$  is not invertible, there we can assign a maximal ideal containing it,
- ▶ conversely, for a maximal ideal  $\mathfrak{m}$ , the image of  $\mathfrak{a}$  under the projection  $C^*(\mathfrak{a}) \to C^*(\mathfrak{a})/\mathfrak{m} \cong \mathbb{C}$  is in a spectrum of  $\mathfrak{a}^{(*)}$ ,
- ▶ the maps above are inverses of each other.

Therefore,

# Gelfand theory (2): generated $C^*$ -subalgebra

### Proposition

There is a 1-1 correspondence between

spectrum of  $\alpha \iff maximal ideal space of C^*(\alpha)$ .

Consider C(X). The above proposition states that image is corresponded to its domain: the element  $\alpha$  acts like an "injective function" in  $C^*(\alpha)$ .

#### Definition

Let us define the *spectrum* of general commutative unital  $C^*$ -algebra A as the **set of maximal ideals** and denote it by  $\sigma(A)$ .

# Spectrum as a topological space

Let  $\sigma(A)$  be the spectrum of a comm. unit. C\*-algebra A.

We set up the *topology of pointwise convergence* on  $\sigma(A)$ , by identifying maximal ideals with the projections to  $\mathbb{C}$ :

for example, consider C(X). Since X is naturally 1-1 corresponded to  $\sigma(C(X))$  as a set,

$$x \to y \in X \iff f(x) \to f(y) \text{ for all } f \in C(X).$$

Then,

### Proposition

Let A be a comm. unit.  $C^*$ -algebra. Then, the spectrum  $\sigma(A)$  is compact (by the Banach-Alaoglu).

### Example

For the space  $\ell^1$  of summable sequences, the spectrum is the unit circle:  $\sigma(\ell^1)=\mathbb{T}.$ 

## Example

Let X be compact Hausdorff. Then,  $\sigma(C(X))$  is homeomorphic to X.

### Gelfand-Naimark theorem

Finally, we state the Gelfand-Naimark theorem.

Theorem (Gelfand-Naimark, 1943)

Let A be a commutative unital  $C^*$ -algebra. Then, we have a  $C^*$ -algebra isomorphism

$$A \to C(\sigma(A)).$$

This map is called Gelfand representation.

### Conclusion of Section 3

#### Transitions of definition:

- ▶ Spectrum of  $a \in A \rightarrow$  generalized eigenvalues;
- ▶ Spectrum of  $a \in C(X) \rightarrow \text{image of function}$ ;
- ▶ Spectrum of  $\alpha \in C^*(\alpha) \to maximal$  ideals;

$$\downarrow$$

- ▶ Spectrum of C(X) := maximal ideals = domain = image of inj,
- ▶ Spectrum of A := maximal ideals (≈ domain(?)).

```
\mathsf{Spectrum} \quad \Longleftrightarrow \quad \{\mathsf{Maximal ideals}\} \quad \Longleftrightarrow \quad \{\mathsf{Points}\}
```

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# Algebraic geometry

In algebriac geometry, we...

- Want to describe geometry with polynomials: The circle is described by the polynomial  $x^2 + y^2 - 1$ .
- Want to solve geometric problems with properties of polynomials: for example,
  - to compute the number of singularity,
  - to determine the topological shape,
  - to investigate the dimension of intersection, etc.
- Want to make a correspondence between geometry and algebra:
  - $(\rightarrow)$  use algebraic computations to analyze geometry,
  - $(\leftarrow)$  use the geometric intuition to study algebra.

In this section, assume that a "ring" is a commutative and unital one.

# Algebraic variety

#### Remark

We give basic definitions here. For simplicity, we will do everything in the three dimension  $\mathbb{C}^3$ . Every concept is directly generalized to arbitrary dimensions.

#### Definition

Let  $T \subset \mathbb{C}[x, y, z]$  and define

$$\mathcal{Z}(\mathsf{T}) := \{ \mathsf{p} \in \mathbb{C}^3 : \mathsf{f}(\mathsf{p}) = \mathsf{0} \text{ for all } \mathsf{f} \in \mathsf{T} \}.$$

An algebraic set is a subset V of  $\mathbb{C}^n$  satisfying V = Z(T) for some T.

#### Definition

Let  $Y \subset \mathbb{C}^n$  and define

$$\label{eq:J} \mathfrak{I}(Y) := \{f \in \mathbb{C}[x,y,z] : f(p) = 0 \text{ for all } p \in Y\}.$$

This is always a radical(square-free) ideal.

## Algebraic variety

## Proposition

- ▶ For an algebraic set  $V \subset \mathbb{C}^3$ , we have  $\mathcal{V}(\mathfrak{I}(V)) = V$ .
- ▶ For a radical ideal  $I \subset \mathbb{C}[x, y, z]$ , we have J(V(I)) = I.

#### Definition

If an algebraic set is not a union of two proper algebraic subsets, then it is called *algebraic variety*.

### Proposition

An algebraic set V is an algebraic variety iff  $\mathfrak{I}(V)$  is prime.

algebraic sets  $\iff$  radical ideals, algebraic varieties  $\iff$  prime ideals.

## Coordinate ring

Consider an algebraic variety  $S^2 = \{x^2 + y^2 + z^2 = 1\}$ . The following two functions are same on  $S^2$ :

$$f = x + 1$$
,  $g = x + x^2 + y^2 + z^2$ .

In other words,  $f - g \in \mathfrak{I}(S^2)$ .

#### Definition

A coordinate ring or structure ring of an algebraic set V is the ring  $\mathbb{C}[x,y,z]/\mathbb{I}(V)$ .

Every ring of the form  $\mathbb{C}[x,y,z]/I$ , where I is an ideal, we can interpret the ring as the set of functions on the algebraic set  $\mathcal{V}(I)$ . Why do we introduce this?

#### Main Philosophy of AG:

analyze the function space to study geometric objects!

### Krull dimension

Let us see an example that shows the power of structure rings.

Equation	ldeal	Dimension
Ø	Ø	3
x = 1	(x-1)	2 (plane)
x = 1, y = 2	(x-1,y-2)	1 (line)
x = 1, $y = 2$ , $z = 3$ ,	(x-1, y-2, z-3)	0 (point)

Coordinate rings are

$$\begin{split} \mathbb{C}[x,y,z], \ \mathbb{C}[x,y,z]/(x-1), \\ \mathbb{C}[x,y,z]/(x-1,y-2), \ \mathbb{C}[x,y,z]/(x-1,y-2,z-3). \end{split}$$

#### Definition

The Krull dimension of a ring R is the maximal length of chain of prime ideals.

 $\therefore$  The Krull dimension of coordinate ring is same with the "dimension" of the corresponding algebraic sets.

## Maximal ideal is a point

Second example.

#### Theorem

The ideal (x - a, y - b, z - c) is maximal in  $\mathbb{C}[x, y, z]$ .

Conversely,

### Theorem (Weak Hilbert Nullstellensatz)

Every maximal ideal in  $\mathbb{C}[x,y,z]$  has the form

$$(x-a, y-b, z-c)$$
.

This theorem implies that we have the following correspondence:

points  $\iff$  maximal ideals.

## Alexander Grothendieck



Alexander Grothendieck (1928 - 2014)

original major: functional analysis!!!

"Every ring should be recognized as the set of functions on a space."

What space? Spectrum!

### Problems of maximal ideals

First trial:

#### Definition

Let R be a ring. Define the spectrum of R as the set of maximal ideals.

But it had two problems:

- 1. The codomain is not unified;
- 2. We want the spectrum to have a functoriality.

### Gelfand-Mazur theorem

Let  $\mathfrak m$  be a maximal ideal(=point) of the ring R. Then, codomian field of functions at the point is characterized by the quotient  $R/\mathfrak m$ .

For  $C^*$ -algebras, we could just use the maximal ideals because the field  $R/\mathfrak{m}$  is always isomorphic to  $\mathbb{C}$ :

## Theorem (Gelfand-Mazur)

A C\*-algebra that is a field, is isormophic to  $\mathbb{C}$ .

However, when we are concerned with general ring R, we cannot guarantee such results.

There are two choices about the codomain problem:

- 1. Restrict the condition for maximal ideals,
- 2. Compromise the unifies codomain.(v)

# **Functoriality**

We want Spec:  $\mathbf{CRing} \to \mathbf{Set}$  to be a (contravariant) functor: functoriality allows to define schemes and apply the powerful theory of sheaves to AG. Under what definitions is a ring homomorphism  $R \to S$  able to induce the map  $\mathsf{Spec}(S) \to \mathsf{Spec}(R)$ ?

### Example

Consider the ring homomorphism  $i:\mathbb{Z}\hookrightarrow\mathbb{Q}.$  The most reasonable choice of the naturally induced map is

$$\mathsf{Spec}(\mathbb{Q}) \to \mathsf{Spec}(\mathbb{Z}) : \mathfrak{p} \mapsto \mathfrak{i}^{-1}(\mathfrak{p}).$$

If Spec is defined to be the set of maximal ideals, then the functoriality is not satisfied: (0) is maximal in  $\mathbb{Q}$ , but  $\mathfrak{i}^{-1}((0))=(0)$  is not maximal in  $\mathbb{Q}$ .

## Proposition

Inverse image of prime ideal under a ring homomorphism is prime.

### Conclusion

When Grothendieck transplanted the idea of spectrum from functional analysis to algebraic geometry, the following definition comes up:

#### Definition

Let R be a ring. The spectrum of R is the set of prime ideals.