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# Cohen-Lenstra sums over local rings

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Résumé. On étudie des séries de la forme $\sum_M |\mathrm{Aut}_R(M)|^{-1}|M|^{-u}$, où $R$ est un anneau commutatif local et $u$ est un entier non-negatif, la sommation s'étendant sur tous les $R$-modules finis, à isomorphisme prés. Ce problème est motivé par les heuristiques de Cohen et Lenstra sur les groupes des classes des corps de nombres, où de telles sommes apparaissent. Si $R$ a des propriétés additionelles, on reliera les sommes ci-dessus à une limite de fonctions zêta des modules libres $R^n$, ces fonctions zêta comptant les sous-$R$-modules d'indice fini dans $R^n$. En particulier on montrera que cela est le cas pour l'anneau de groupe $\mathbb{Z}_p[C_{p^k}]$ d'un groupe cyclique d'ordre $p^k$ sur les entiers $p$-adiques. Par conséquant on pourra prouver une conjecture de [5], affirmant que la somme ci-dessus correspondante à $R = \mathbb{Z}_p[C_{p^k}]$ et $u = 0$ converge. En outre on considère des sommes raffinées, où $M$ parcourt tous les modules satisfaisant des conditions cohomologiques additionelles.

Abstract. We study series of the form $\sum_M |\mathrm{Aut}_R(M)|^{-1}|M|^{-u}$, where $R$ is a commutative local ring, $u$ is a non-negative integer, and the summation extends over all finite $R$-modules $M$, up to isomorphism. This problem is motivated by Cohen-Lenstra heuristics on class groups of number fields, where sums of this kind occur. If $R$ has additional properties, we will relate the above sum to a limit of zeta functions of the free modules $R^n$, where these zeta functions count $R$-submodules of finite index in $R^n$. In particular we will show that this is the case for the group ring $\mathbb{Z}_p[C_{p^k}]$ of a cyclic group of order $p^k$ over the $p$-adic integers. Thereby we are able to prove a conjecture from [5], stating that the above sum corresponding to $R = \mathbb{Z}_p[C_{p^k}]$ and $u = 0$ converges. Moreover we consider refined sums, where $M$ runs through all modules satisfying additional cohomological conditions.

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## 1. Introduction

A starting point for the problem investigated in this article is the following remarkable identity, published by Hall in 1938 [6]. If $p$ is a prime number, then

$$\sum_G |\mathrm{Aut}(G)|^{-1} = \sum_G |G|^{-1},$$

where $G$ runs through all finite abelian $p$-groups, up to isomorphism. Here we will consider a more general problem. Put

$$\mathcal{S}(R;u) = \sum_M |\mathrm{Aut}_R(M)|^{-1}|M|^{-u},$$

where $R$ is a commutative ring, $u$ is a non-negative integer, and the sum extends over all finite $R$-modules, up to isomorphism. By $\mathrm{Aut}_R(M)$ we denote the group of $R$-automorphisms of $M$. Sums of this kind occur in Cohen-Lenstra heuristics on class groups of number fields (cf. [2], [3]), so we call $\mathcal{S}(R;u)$ a *Cohen-Lenstra sum.*

We want to evaluate these series in certain cases. While in [2], [3] $R$ is a maximal order of a finite dimensional semi-simple algebra over $\mathbb{Q}$, we will assume that $R$ is a local ring. We will mainly focus on the case $R = \mathbb{Z}_p[C_{p^k}]$, the group ring of a cyclic group of $p$-power order over the $p$-adic integers, which is a non-maximal order in the $\mathbb{Q}_p$-algebra $\mathbb{Q}_p[C_{p^k}]$.

In particular we are able to prove a conjecture of Greither stated in [5]:

$$\mathcal{S}(\mathbb{Z}_p[C_{p^k}];0) = \sum_M |\mathrm{Aut}_{\mathbb{Z}_p[C_{p^k}]}(M)|^{-1} = \left(\prod_{j=1}^{\infty} \frac{1}{1-p^{-j}}\right)^{k+1}.$$

This fills a gap concerning the sums $\mathcal{S}(\mathbb{Z}_p[\Delta];0)$ for an arbitrary $p$-group $\Delta$, for Greither showed in [5] that $\mathcal{S}(\mathbb{Z}_p[\Delta];0)$ diverges if $\Delta$ is non-cyclic.

The outline of the paper is as follows. In section 2 we introduce the basic notions concerning Cohen-Lenstra sums over arbitrary local rings, and we will relate these sums to limits of zeta functions. If $V$ is an $R$-module, the *zeta function of* $V$ is defined as the series

$$\zeta_V(s) = \sum_{U \subseteq V} [V:U]^{-s} \in \mathbb{R} \cup \{\infty\},$$

where $s \in \mathbb{R}$ and $\zeta_V(s) = \infty$ iff the series diverges. The summation extends over all $R$-submodules $U$ of $V$ such that the index $[V:U]$ is finite. The main theorem of that section is 2.6, which states that under certain conditions the Cohen-Lenstra sum $\mathcal{S}(R;u)$ can be computed if one has enough information on the zeta functions of $R^n$, viz

$$\mathcal{S}(R;u) = \lim_{n\to\infty} \zeta_{R^n}(n+u). \tag{1}$$

In section 3 we derive some results on the zeta function of $V$ at $s = n$, where $V$ is a $\mathbb{Z}_p[C_{p^k}]$-module such that $p\mathbb{Z}_p[C_{p^k}]^n \subseteq V \subseteq \mathbb{Z}_p[C_{p^k}]^n$. The main ingredient will be a "recursion formula" from [14] for these zeta functions. These results will be applied in section 4 in order to prove Greither's conjecture.

In section 5 we discuss refinements of Cohen-Lenstra sums with respect to the ring $\mathbb{Z}_p[C_p]$, where the summation extends only over those modules $M$ having prescribed Tate cohomology groups $\widehat{H}^i(C_p, M)$. This has some applications, e.g. in [5], where the case of cohomologically trivial modules is treated, and in [15], where sums of this kind occur as well, when studying the distribution of $p$-class groups of cyclic number fields of degree $p$.

We will use the following notations in the sequel. $\mathbb{N}$ is the set of non-negative integers, $\mathbb{R}_+$ the set of non-negative real numbers, $p$ denotes a prime number, $q = p^{-1}$, and $\mathbb{Z}_p$ is the ring of $p$-adic integers. We remark that the completion $\mathbb{Z}_p$ could be replaced by $\mathbb{Z}_{(p)}$, the localization of $\mathbb{Z}$ at $p$, throughout. If $m \in \mathbb{N} \cup \{\infty\}$, then

$$(q)_m := \prod_{j=1}^{m} (1 - q^j);$$

note that the product converges for $m = \infty$ because of $0 < q < 1$. If $l, m \in \mathbb{N}$, we let $\begin{bmatrix} m \\ l \end{bmatrix}_p$ denote the number of $l$-dimensional subspaces of an $m$-dimensional vector space over the finite field $\mathbb{F}_p$. It is well-known that

$$\begin{bmatrix} m \\ l \end{bmatrix}_p = \frac{(p^m - 1)(p^m - p) \dots (p^m - p^{l-1})}{(p^l - 1)(p^l - p) \dots (p^l - p^{l-1})} = p^{l(m-l)} \frac{(q)_m}{(q)_l (q)_{m-l}}.$$

This paper is part of my doctoral thesis. I am indebted to my advisor Prof. Cornelius Greither for many fruitful discussions and various helpful suggestions.

## 2. Cohen-Lenstra sums and zeta functions

Let $R$ be a commutative ring.

**Definition 2.1.** *Let $u \in \mathbb{N}$. The* Cohen-Lenstra sum of $R$ with respect to *$u$ is defined as*

$$\mathcal{S}(R; u) := \sum_{M} |\mathrm{Aut}_R(M)|^{-1} |M|^{-u} \ \in \ \mathbb{R}_+ \cup \{\infty\},$$

*where the sum extends over all finite $R$-modules, up to isomorphism. In the sequel, all sums over finite $R$-modules are understood to extend over modules up to isomorphism, without further mention. We denote by $\nu(M)$*

*the minimal number of generators of the finite R-module M, and we put*

$$\mathcal{S}_n(R;u) := \sum_{\substack{M \\ \nu(M)=n}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u},$$

$$\mathcal{S}_{\leq n}(R;u) := \sum_{\substack{M \\ \nu(M)\leq n}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u}.$$

The following notations will be useful.

**Notations.** *If $A, B$ are R-modules, we let*

$$\mathrm{Hom}_R^{\mathrm{sur}}(A,B) := \{\psi \in \mathrm{Hom}_R(A,B) \mid \psi \text{ surjective}\}.$$

*If $M$ is a finite R-module with $\nu(M) \leq n$, there is a positive integer $n$ such that $M$ is of the form $M \cong R^n/U$ for some R-submodule $U$ of finite index in $R^n$. We set*

$$\lambda_n^R(M) := |\{U \subseteq R^n \mid R^n/U \cong M\}|$$

*and*

$$s_n^R(M) := |\mathrm{Hom}_R^{\mathrm{sur}}(R^n, M)|.$$

The following lemma, and also Lemma 2.4, are well-known (cf. [2, Prop. 3.1]). However, we give the simple arguments for the reader's convenience.

**Lemma 2.2.** $\lambda_n^R(M) = s_n^R(M)|\mathrm{Aut}_R(M)|^{-1}$ *for any finite R-module M.*

*Proof.* Each $U \subseteq R^n$ satisfying $R^n/U \cong M$ has the form $U = \ker(\psi)$ for some surjective $\psi \in \mathrm{Hom}_R(R^n, M)$. On the other hand, if $\psi_1, \psi_2 \in \mathrm{Hom}_R^{\mathrm{sur}}(R^n, M)$, then

$$\ker(\psi_1) = \ker(\psi_2) \iff \psi_1 = \rho \circ \psi_2$$

for some $\rho \in \mathrm{Aut}_R(M)$, and this proves the lemma. □

**Lemma 2.3.** $\mathcal{S}_{\leq n}(R;u) = \sum_{U \subseteq R^n} s_n^R(R^n/U)^{-1}[R^n : U]^{-u}$, *where the sums extends over all R-submodules U of finite index in $R^n$.*

*Proof.* Let $M$ be a finite $R$-module with $\nu(M) \leq n$. Then $M = R^n/U$ for some $U \subseteq R^n$, and there are $\lambda_n^R(M) = \lambda_n^R(R^n/U)$ possible $U'$ with $M \cong R^n/U'$. Hence the preceding lemma implies

$$\begin{aligned}\mathcal{S}_{\leq n}(R;u) &= \sum_{U \subseteq R^n} |\mathrm{Aut}_R(R^n/U)|^{-1}\lambda_n^R(R^n/U)^{-1}|R^n/U|^{-u} \\ &= \sum_{U \subseteq R^n} s_n^R(R^n/U)^{-1}[R^n : U]^{-u}.\end{aligned}$$

□

Note that the equality in Lemma 2.3 in an equality in $\mathbb{R}_+ \cup \{\infty\}$ (as are all equalities dealing with Cohen-Lenstra sums in this article).

From now on we assume that $R$ is a local ring with maximal ideal $J$ and residue class field $\mathbb{F}_p$. We set

$$q = p^{-1}.$$

The restriction to prime fields is not essential. We could just as well suppose that the residue class field of $R$ is an arbitrary finite field $\mathbb{F}_{p^\alpha}$. Then all results of this article are still valid if we accordingly set $q = p^{-\alpha}$.

For local rings the calculation of $s_n^R(M)$ is not difficult. Suppose that $M$ is an $R$-module with $\nu(M) \leq n$. Then

$$\nu(M) = \dim_{R/J}(M/JM) \in \{0, \dots, n\}$$

by Nakayama's Lemma.

**Lemma 2.4.** *$s_n^R(M) = |M|^n \dfrac{(q)_n}{(q)_{n-r}}$, where $r := \nu(M)$.*

*Proof.* The following equivalence holds for $\psi \in \mathrm{Hom}_R(R^n, M)$, by Nakayama's Lemma:

$$\psi \text{ surjective} \iff \overline{\psi} : (R/J)^n \to M/JM \text{ surjective},$$

where $\overline{\psi}$ is induced by reduction mod $J$. Thus

$$\begin{aligned} s_n^R(M) &= \left|\mathrm{Hom}_{\mathbb{F}_p}^{\mathrm{sur}}(\mathbb{F}_p^n, \mathbb{F}_p^r)\right| \left|\{\psi \in \mathrm{Hom}_R(R^n, M) \mid \overline{\psi} = 0\}\right| \\ &= (p^n - 1) \dots (p^n - p^{r-1}) |JM|^n \\ &= p^{rn} \frac{(q)_n}{(q)_{n-r}} \left(\frac{|M|}{|M/JM|}\right)^n \\ &= |M|^n \frac{(q)_n}{(q)_{n-r}}. \end{aligned}$$

□

**Theorem 2.5.** a) *$\mathcal{S}_n(R; u) = \dfrac{q^{n(n+u)}}{(q)_n} \zeta_{J^n}(n + u)$.*

b) *$\mathcal{S}(R; u) = \displaystyle\sum_{n=0}^{\infty} \frac{q^{n(n+u)}}{(q)_n} \zeta_{J^n}(n + u)$.*

*Proof.* It suffices to prove a). If $M \cong R^n/U$ for some $U \subseteq R^n$, then

$$\nu(M) = \dim(M/JM) = \dim(R^n/(U + J^n)). \tag{2}$$

Therefore $\nu(M) = n$ if and only if $U \subseteq J^n$. In an analogous manner as in the proof of Lemma 2.3 we infer

$$\mathcal{S}_n(R; u) = \sum_{U \subseteq J^n} s_n^R(R^n/U)^{-1} [R^n : U]^{-u},$$

and using the preceding lemma we get

$$\mathcal{S}_n(R;u) = \frac{1}{(q)_n} \sum_{U \subseteq J^n} [R^n : U]^{-(n+u)} = \frac{q^{n(n+u)}}{(q)_n} \zeta_{J^n}(n+u).$$

□

**Examples.** a) $R := \mathbb{F}_p$.
*Then $J = 0$ and*

$$\mathcal{S}(\mathbb{F}_p;u) = \sum_{n=0}^{\infty} \frac{q^{n(n+u)}}{(q)_n}.$$

*In particular, if $u = 0$ or $u = 1$ the identities of Rogers-Ramanujan (cf.* [7, Th. 362, 363]*) imply*

$$\mathcal{S}(\mathbb{F}_p;0) = \prod_{m=0}^{\infty} \frac{1}{(1-q^{5m+1})(1-q^{5m+4})}$$

$$\mathcal{S}(\mathbb{F}_p;1) = \prod_{m=0}^{\infty} \frac{1}{(1-q^{5m+2})(1-q^{5m+3})}.$$

b) *Let $R$ be a discrete valuation ring with residue class field $\mathbb{F}_p$. Then $J \cong R$, and it is well-known that*

$$\zeta_{R^n}(s) = \prod_{j=0}^{n-1} (1-p^{j-s})^{-1}$$

*(cf.* [1, §1]*), whence*

$$\mathcal{S}(R;u) = \sum_{n=0}^{\infty} \frac{q^{n(n+u)}(q)_u}{(q)_n (q)_{n+u}} = \frac{(q)_u}{(q)_\infty}.$$

*This result is also proved in* [2, Cor. 6.7].

By Theorem 2.5 we are able to compute Cohen-Lenstra sums in some cases, provided we know the zeta functions of $J^n$ for $n \in \mathbb{N}$. As we will see in the next section, it may be difficult to calculate $\zeta_{J^n}(n+u)$, whereas it is much easier to determine the values $\zeta_{R^n}(n+u)$. In these situations the following theorem is useful.

**Theorem 2.6.** *Let $u \in \mathbb{N}$, and recall that $R$ is a local ring. Then:*

a) *$\mathcal{S}(R;u)$ converges $\iff$ The sequence $(\zeta_{R^n}(n+u))_{n \in \mathbb{N}}$ is bounded.*

b) *If the sequence $(\zeta_{R^n}(n+u-1))_{n \in \mathbb{N}}$ is bounded, then*

$$\mathcal{S}(R;u) = \lim_{n \to \infty} \zeta_{R^n}(n+u).$$

*Proof.* a) The assertion follows from

$$\begin{aligned}
\zeta_{R^n}(n+u) &= \sum_{r=0}^{n} \sum_{\substack{U \subseteq R^n \\ \nu(R^n/U)=r}} [R^n : U]^{-(n+u)} \\
&\leq \sum_{r=0}^{n} \frac{(q)_{n-r}}{(q)_n} \sum_{\substack{U \subseteq R^n \\ \nu(R^n/U)=r}} [R^n : U]^{-(n+u)} \\
&= \mathcal{S}_{\leq n}(R; u) \qquad \text{by 2.3, 2.4} \\
&\leq \frac{1}{(q)_n} \sum_{r=0}^{n} \sum_{\substack{U \subseteq R^n \\ \nu(R^n/U)=r}} [R^n : U]^{-(n+u)} \\
&= \frac{1}{(q)_n} \zeta_{R^n}(n+u),
\end{aligned}$$

and the convergence of the sequence $\left(\frac{1}{(q)_n}\right)_{n \in \mathbb{N}}$.

b) We define the following abbreviation:

$$\gamma_u(r,n) := \sum_{\substack{U \subseteq R^n \\ \nu(R^n/U)=r}} [R^n : U]^{-(n+u)}. \tag{3}$$

We have to prove that the sequence

$$(\mathcal{S}_{\leq n}(R;u) - \zeta_{R^n}(n+u))_{n \in \mathbb{N}} = \left( \sum_{r=0}^{n} \left( \frac{(q)_{n-r}}{(q)_n} - 1 \right) \gamma_u(r,n) \right)_{n \in \mathbb{N}}$$

tends to zero. It is easy to see that

$$1 - \frac{(q)_n}{(q)_{n-r}} \leq q^{n-r+1} + q^{n-r+2} + \cdots + q^n \leq \frac{q^{n-r+1}}{1-q}.$$

Hence

$$\begin{aligned}
\sum_{r=0}^{n} \left( \frac{(q)_{n-r}}{(q)_n} - 1 \right) \gamma_u(r,n) &= \sum_{r=0}^{n} \frac{(q)_{n-r}}{(q)_n} \left( 1 - \frac{(q)_n}{(q)_{n-r}} \right) \gamma_u(r,n) \\
&\leq \frac{q^{n+1}}{(q)_n (1-q)} \sum_{r=0}^{n} p^r \gamma_u(r,n).
\end{aligned}$$

Now the claim follows if we can prove:

$$\left( \sum_{r=0}^{n} p^r \gamma_u(r,n) \right)_{n \in \mathbb{N}} \quad \text{is a bounded sequence.} \tag{4}$$

Since $\nu(R^n/U) = \dim(R^n/(U + J^n))$ we get

$$\sum_{r=0}^{n} p^r \gamma_u(r,n) = \sum_{U \subseteq R^n} [R^n : U + J^n][R^n : U]^{-(n+u)} \leq \zeta_{R^n}(n+u-1),$$

and (4) follows from the assumption. □

Sometimes it may be desirable to sum only over modules in certain isomorphism classes instead of computing the entire Cohen-Lenstra sum as in Definition 2.1. We will make use of this generalization in section 5. The following corollary is immediate.

**Corollary 2.7.** *Let $\mathcal{M}$ be a set of non-isomorphic finite $R$-modules. If the sequence $(\zeta_{R^n}(n+u-1))_{n \in \mathbb{N}}$ is bounded, then*

$$\sum_{M \in \mathcal{M}} |\mathrm{Aut}_R(M)|^{-1} |M|^{-u} = \lim_{n \to \infty} \sum_{M \in \mathcal{M}} \sum_{\substack{U \subseteq R^n \\ R^n/U \cong M}} [R^n : U]^{-(n+u)}.$$

## 3. The zeta function of a submodule of $\mathbb{Z}_p[C_{p^k}]^n$ at $s = n$

For $k \in \mathbb{N}$ put $R_k := \mathbb{Z}_p[C_{p^k}]$, where $C_{p^k}$ is the multiplicative cyclic group of order $p^k$. Our goal in the next section will be to compute the Cohen-Lenstra sum $\mathcal{S}(R_k; u)$ for $u \in \mathbb{N}$, along the lines of Theorem 2.6. We therefore have to study the zeta function of $R_k^n$ at $s = n$, as well as the zeta function of certain submodules of $R_k^n$ at $s = n$, as we will see in section 4.

To this end we will use the main theorem of [14]. Let $\sigma$ be a generator of $C_{p^k}$, and set

$$\phi_k = \sigma^{p^{k-1}(p-1)} + \sigma^{p^{k-1}(p-2)} + \cdots + \sigma^{p^{k-1}} + 1 \in R_k.$$

We assume $k > 0$ and let

$$f : R_k^n \to R_{k-1}^n$$

be the canonical surjection, induced by the surjective homomorphism $\mathbb{Z}_p[C_{p^k}] \to \mathbb{Z}_p[C_{p^{k-1}}]$, mapping $\sigma$ to a fixed generator of $C_{p^{k-1}}$.

**Theorem 3.1.** *Let $V \subseteq R_k^n$ be an $R_k$-submodule of finite index in $R_k^n$. Then the following formula holds for $s \in \mathbb{R}$ with $s > n-1$:*

$$\zeta_V(s) = \prod_{j=0}^{n-1} (1 - p^{j-s})^{-1} \sum_{\overline{N} \subseteq V^\circ} p^{\left(np^{k-1} - e_{V^\circ}(\overline{N})\right)(n-s)} [\overline{N} + f(V) : \overline{N}]^{-s}, \quad (5)$$

*where $V^\circ$ is given by $pV^\circ = f(V \cap \phi_k R_k^n)$ and $e_{V^\circ}(\overline{N}) = \dim_{\mathbb{F}_p}(\overline{N} + pV^\circ/pV^\circ)$.*

This is proved in [14, Th. 3.8, 3.9]. Note that $f$ maps $\phi_k R_k^n$ onto $pR_{k-1}^n$, hence $f(V \cap \phi_k R_k^n) \subseteq pR_{k-1}^n$. The fact that the zeta function of $V$ is defined for all $s \in \mathbb{R}$ with $s > n-1$ is a consequence of Solomon's First Conjecture proved in [1], and also follows in a more elementary way from the results in [14, Sec. 5].

If we consider formula (5) with $s = n$, it becomes much nicer:

$$\zeta_V(n) = \frac{1}{(q)_n} \sum_{\overline{N} \subseteq V^\circ} [\overline{N} + f(V) : \overline{N}]^{-n}, \tag{6}$$

where again $V \subseteq R_k^n$ is a submodule of finite index.

**Theorem 3.2.** *The zeta function of $R_k^n$ at $s = n$ equals $\zeta_{R_k^n}(n) = \dfrac{1}{(q)_n^{k+1}}$.*

*Proof.* We proceed by induction on $k$. If $k = 0$ the result follows from the well-known formula

$$\zeta_{\mathbb{Z}_p^n}(s) = \prod_{j=0}^{n-1} (1 - p^{j-s})^{-1}, \tag{7}$$

cf. [14, Th. 3.9]. If $k > 0$ then obviously $(R_k^n)^\circ = R_{k-1}^n$, and (6) yields

$$\zeta_{R_k^n}(n) = \frac{1}{(q)_n} \sum_{\overline{N} \subseteq R_{k-1}^n} [R_{k-1}^n : \overline{N}]^{-n} = \frac{1}{(q)_n} \zeta_{R_{k-1}^n}(n),$$

whence the claim follows. □

Using the concept of a *Möbius function*, we can find a more appropriate expression for (6). Thus let again $V \subseteq R_k^n$ be a submodule of finite index, and let $\mu$ be the Möbius function (cf. [11]) of the lattice of submodules of $V^\circ$ having finite index in $V^\circ$.

**Lemma 3.3.**

$$\zeta_V(n) = \frac{1}{(q)_n} \sum_{f(V) \subseteq \overline{Y} \subseteq V^\circ} \left( \sum_{\overline{Y} \subseteq \overline{W} \subseteq V^\circ} \mu(\overline{Y}, \overline{W}) [\overline{W} : \overline{Y}]^{-n} \right) \zeta_{\overline{Y}}(n),$$

*where $f(V)$ and $V^\circ$ are defined as in Theorem 3.1.*

*Proof.* We have

$$\zeta_V(n) = \frac{1}{(q)_n} \sum_{f(V) \subseteq \overline{W} \subseteq V^\circ} \eta(\overline{W}),$$

where for $f(V) \subseteq \overline{Y} \subseteq V^\circ$ we set

$$\eta(\overline{Y}) := \sum_{\substack{\overline{N} \subseteq \overline{Y} \\ \overline{N} + f(V) = \overline{Y}}} [\overline{Y} : \overline{N}]^{-n}.$$

One easily verifies that

$$\sum_{f(V) \subseteq \overline{Y} \subseteq \overline{W}} [\overline{W} : \overline{Y}]^{-n} \eta(\overline{Y}) = \zeta_{\overline{W}}(n)$$

(this is analogous to the proof of Theorem 4.5 in [14]). Applying the Möbius inversion formula [11, Sec. 3, Prop. 2] yields

$$\zeta_V(n) = \frac{1}{(q)_n} \sum_{f(V)\subseteq\overline{W}\subseteq V^\circ} \sum_{f(V)\subseteq\overline{Y}\subseteq\overline{W}} \mu(\overline{Y},\overline{W})[\overline{W}:\overline{Y}]^{-n}\zeta_{\overline{Y}}(n),$$

and the formula stated above follows. □

For the rest of this section, we let $R = R_k$ and $\overline{R} = R_{k-1}$. Let $J, \overline{J}$ the maximal ideals of $R, \overline{R}$ respectively. We will use the above lemma to derive a formula for $\zeta_V(n)$, where $V$ is an $R$-module such that $J^n \subseteq V \subseteq R^n$.

**Lemma 3.4.** *Let $J^n \subseteq V \subseteq R^n$ be a submodule. Then $\overline{J}^n \subseteq f(V) \subseteq \overline{R}^n$, and*

$$\zeta_V(n) = \sum_{f_2(V)\subseteq\overline{Y}\subseteq\overline{R}^n} \frac{1}{(q)_{j(\overline{Y})}}\zeta_{\overline{Y}}(n), \tag{8}$$

*where $j(\overline{Y}) := \dim_{\mathbb{F}_p}(\overline{Y}/\overline{J}^n)$.*

*Proof.* Clearly $f(J^n) = \overline{J}^n$, so $\overline{J}^n \subseteq f(V) \subseteq \overline{R}^n$. Since $\phi_k \in J$ we have

$$pV^\circ = f(V\cap\phi_k R^n) \supseteq f(J^n \cap \phi_k R^n) = f(\phi_k R^n) = p\overline{R}^n,$$

thus $V^\circ = \overline{R}^n$. The preceding lemma implies

$$\zeta_V(n) = \frac{1}{(q)_n} \sum_{f(V)\subseteq\overline{Y}\subseteq\overline{R}^n} \left( \sum_{\overline{Y}\subseteq\overline{W}\subseteq\overline{R}^n} \mu(\overline{Y},\overline{W})[\overline{W}:\overline{Y}]^{-n} \right) \zeta_{\overline{Y}}(n). \tag{9}$$

Fix a submodule $\overline{Y}$ such that $\overline{J}^n \subseteq \overline{Y} \subseteq \overline{R}^n$, and put $j := j(\overline{Y})$. Then the lattice of $\overline{R}$-submodules of $\overline{R}^n$ containing $\overline{Y}$ is isomorphic to the lattice of $\mathbb{F}_p$-subspaces of $\mathbb{F}_p^{n-j}$. Consequently

$$\sum_{\overline{Y}\subseteq\overline{W}\subseteq\overline{R}^n} \mu(\overline{Y},\overline{W})[\overline{W}:\overline{Y}]^{-n} = \sum_{U\subseteq\mathbb{F}_p^{n-j}} \widetilde{\mu}(0,U)|U|^{-n},$$

where $\widetilde{\mu}$ is the Möbius function of the lattice of subspaces of $\mathbb{F}_p^{n-j}$. Since

$$\widetilde{\mu}(0,U) = (-1)^{\dim(U)} p^{\binom{\dim(U)}{2}}$$

([11, Sec. 5, Ex. 2]) and since there are $\begin{bmatrix} n-j \\ l \end{bmatrix}_p$ $\mathbb{F}_p$-subspaces of $\mathbb{F}_p^{n-j}$ of dimension $l$, the above sum can be written as

$$\sum_{l=0}^{n-j} \begin{bmatrix} n-j \\ l \end{bmatrix}_p (-1)^l p^{\binom{l}{2}} p^{-ln} = \prod_{i=0}^{n-j-1} (1-p^{i-n}) = \frac{(q)_n}{(q)_j},$$

where the equality of the sum and the product follows from [8, III.8.5]. Putting together this result with (9) proves the lemma. □

Using an inductive argument, the lemma shows in particular that the value $\zeta_V(n)$ only depends on the $\mathbb{F}_p$-dimension of $V/J^n$, i.e.

$$\zeta_V(n) = \zeta_{V'}(n) \quad \text{if} \quad \dim_{\mathbb{F}_p}(V/J^n) = \dim_{\mathbb{F}_p}(V'/J^n).$$

**Notation.** *Let* $0 \leq m \leq n$. *We define*

$$c_k^n(m) := \zeta_V(n) \quad \textit{for any } J^n \subseteq V \subseteq R^n \textit{ with } \dim_{\mathbb{F}_p}(V/J^n) = m. \tag{10}$$

If $k = 0$ we have $V \cong \mathbb{Z}_p^n$, hence by (7)

$$c_0^n(m) = \frac{1}{(q)_n} \quad \forall\, 0 \leq m \leq n. \tag{11}$$

If $k > 0$ the equality $[V : J^n] = [f(V) : \overline{J}^n]$, together with the preceding lemma, implies

$$c_k^n(m) = \sum_{j=m}^{n} \begin{bmatrix} n-m \\ j-m \end{bmatrix}_p \frac{c_{k-1}^n(j)}{(q)_j}, \tag{12}$$

and this recursion formula allows the explicit computation of $\zeta_V(n)$. For example, if $k = 1$, i.e. $R = \mathbb{Z}_p[C_p]$ and $J = \mathrm{rad}(R)$, we get

$$\zeta_{J^n}(n) = c_1^n(0) = \frac{1}{(q)_n} \sum_{j=0}^{n} \begin{bmatrix} n \\ j \end{bmatrix}_p \frac{1}{(q)_j}.$$

## 4. Cohen-Lenstra sums over $\mathbb{Z}_p[C_{p^k}]$

In this section we want to evaluate the Cohen-Lenstra sums $\mathcal{S}(\mathbb{Z}_p[C_{p^k}]; u)$, where $u \in \mathbb{N}$ and $C_{p^k}$ is the multiplicative cyclic group of order $p^k$. We put

$$R = \mathbb{Z}_p[C_{p^k}].$$

By Theorem 3.2 the sequence $(\zeta_{R^n}(n))_{n\in\mathbb{N}}$ is convergent, and thus

$$\mathcal{S}(R; u) = \lim_{n\to\infty} \zeta_{R^n}(n+u) \in \mathbb{R}_+ \quad \forall\, u \geq 1$$

according to Theorem 2.6. Note that the explicit formulas in [14] for $\zeta_{R^n}(s)$ in the cases $k = 1, 2$ are useful for approximating the value of $\mathcal{S}(R; u)$.

It remains to determine

$$S(R; 0) = \sum_M |\mathrm{Aut}_R(M)|^{-1}.$$

Since the zeta function $\zeta_{R^n}(s)$ is not defined for $s = n - 1$, Theorem 2.6 is not applicable. So first of all it is interesting to investigate whether $S(R; 0)$ converges to real number. This question was asked by Greither in [5], and he conjectured that $S(R; 0)$ converges to $(q)_\infty^{-(k+1)}$. We will prove this conjecture in Corollary 4.3 below.

**Theorem 4.1.** *Let $R = \mathbb{Z}_p[C_{p^k}]$. Then*

$$\mathcal{S}(R;0) = \lim_{n\to\infty} \zeta_{R^n}(n).$$

*Proof.* Let $\gamma_0(r,n)$ be defined as in (3). Following the steps in the proof of Theorem 2.6, it remains to show the assertion (4):

$$\left(\sum_{r=0}^{n} p^r \gamma_0(r,n)\right)_{n\in\mathbb{N}} \quad \text{is a bounded sequence.}$$

One has

$$\begin{aligned}\gamma_0(r,n) &= \sum_{\substack{U\subseteq R^n \\ \dim(R^n/(U+J^n))=r}} [R^n : U]^{-n} \\ &\le q^{rn} \sum_{\substack{J^n\subseteq V\subseteq R^n \\ \dim(R^n/V)=r}} \zeta_V(n).\end{aligned}$$

In the preceding section we saw that $\zeta_V(n)$ only depends on $\dim(V/J^n) = n-r$, so using the notation introduced in (10) we get

$$\gamma_0(r,n) \le q^{rn} \begin{bmatrix} n \\ r \end{bmatrix}_p c_k^n(n-r) \le \frac{q^{r^2}}{(q)_r} c_k^n(n-r).$$

The next lemma shows that there exists a constant $A > 0$, independent of $r$ and $n$, such that

$$\sum_{r=0}^{n} p^r \gamma_0(r,n) \le \sum_{r=0}^{n} p^r \frac{q^{r^2}}{(q)_r} \cdot A \cdot p^{r(r+2)/2} \le \frac{A}{(q)_\infty} \sum_{r=0}^{\infty} q^{(r^2-4r)/2},$$

whence the theorem is proved. □

**Lemma 4.2.** *For all $k \in \mathbb{N}$ there exists a constant $A > 0$, independent of $n$ and $0 \le r \le n$, such that the values $c_k^n(n-r)$ defined in (10) satisfy the inequality*

$$c_k^n(n-r) \le A \cdot p^{r(r+2)/2}.$$

*Proof.* We proceed by induction on $k$. If $k = 0$ we can simply set $A := (q)_\infty^{-1}$ by (11). Let $k > 0$, and let $A' > 0$ be a constant satisfying

$$c_{k-1}^n(n-l) \le A' \cdot p^{l(l+2)/2}$$

for all $n$ and all $0 \le l \le n$. For $n \in \mathbb{N}$ and $0 \le r \le n$, the recursion formula (12) implies

$$\begin{aligned} c_k^n(n-r) &= \sum_{j=n-r}^{n} \begin{bmatrix} r \\ j-(n-r) \end{bmatrix}_p \frac{c_{k-1}^n(j)}{(q)_j} \\ &\le \frac{A'}{(q)_n} \sum_{i=0}^{r} \begin{bmatrix} r \\ i \end{bmatrix}_p p^{(r-i)(r-i+2)/2} \\ &\le \frac{A'}{(q)_n (q)_r} \sum_{i=0}^{r} p^{i(r-i)} p^{(r-i)(r-i+2)/2} \\ &= \frac{A'}{(q)_n (q)_r} p^{r(r+2)/2} \sum_{i=0}^{r} p^{-i(i+2)/2}. \end{aligned}$$

Therefore we can put

$$A := \frac{A'}{(q)_\infty^2} \sum_{i=0}^{\infty} q^{i(i+2)/2}.$$

□

We remark that Corollary 2.7 holds for $R = \mathbb{Z}_p[C_{p^k}]$ and $u = 0$ as well: If $\mathcal{M}$ is a set of non-isomorphic finite $R$-modules, then

$$\sum_{M \in \mathcal{M}} |\mathrm{Aut}_R(M)|^{-1} = \lim_{n \to \infty} \sum_{M \in \mathcal{M}} \sum_{\substack{U \subseteq R^n \\ R^n/U \cong M}} [R^n : U]^{-n}.$$

Now Greither's conjecture (cf. [5]) is a direct consequence of Theorem 4.1 and 3.2.

**Corollary 4.3.** *The Cohen-Lenstra sum* $S(\mathbb{Z}_p[C_{p^k}]; 0)$ *converges to a real number. More precisely:* $S(\mathbb{Z}_p[C_{p^k}]; 0) = \dfrac{1}{(q)_\infty^{k+1}}$.

## 5. Cohen-Lenstra sums over $\mathbb{Z}_p[C_p]$ with prescribed cohomology groups

In this section we will consider some "refinements" of Cohen-Lenstra sums over the ring $\mathbb{Z}_p[C_p]$. To be more precise, we will restrict the summation to those finite modules $M$ having prescribed Tate cohomology groups $\widehat{H}^i(C_p, M)$. Sums of this kind may be important for applications; e.g. in [5]

$$\sum_{M} |\mathrm{Aut}_{\mathbb{Z}_p[\Delta]}(M)|^{-1}$$

is computed, where $\Delta$ is a finite abelian $p$-group, and the summation extends over all cohomologically trivial $\mathbb{Z}_p[\Delta]$-modules.

We use the following notations in this section. Let $R = \mathbb{Z}_p[C_p]$, let $\sigma$ be a generator of the cyclic group $C_p$, and put $\phi = 1 + \sigma + \cdots + \sigma^{p-1} \in R$ and $I = (\sigma - 1)R$ (which is the augmentation ideal of $R$).

We need some basic notions of Tate cohomology of finite groups (cf. [12]). If $M$ is a finite $R$-module, the Tate cohomology groups satisfy

$$\widehat{H}^i(C_p, M) \cong \widehat{H}^{i+2}(C_p, M) \qquad \forall\, i \in \mathbb{Z},$$

for $C_p$ is cyclic. Hence we can restrict to

$$\widehat{H}^0(C_p, M) = M^{C_p}/\phi M \quad \text{and} \quad \widehat{H}^1(C_p, M) \cong \widehat{H}^{-1}(C_p, M) = {}_\phi M/IM;$$

here $M^{C_p}$ is the submodule of elements fixed by $C_p$, and ${}_\phi M$ is the kernel of the action of $\phi$ on $M$. Since $M$ is finite, its Herbrand quotient is equal to 1, i.e. $|\widehat{H}^0(C_p, M)| = |\widehat{H}^1(C_p, M)|$. Since all cohomology groups are annihilated by $|C_p|$, we infer that there exists $h \in \mathbb{N}$ such that

$$\widehat{H}^0(C_p, M) \cong \widehat{H}^1(C_p, M) \cong (\mathbb{Z}/p\mathbb{Z})^h.$$

This number $h$ describes completely all Tate cohomology groups $\widehat{H}^i(C_p, M)$. We will use the following abbreviation:

$$\widehat{H}^i(M) := \widehat{H}^i(C_p, M)$$

for $i = 0, 1$.

Now let $G$ be a finite abelian $p$-group and $h, u \in \mathbb{N}$. The goal of this section is the computation of

$$\sum_{\substack{\phi M \cong G \\ |\widehat{H}^1(M)| = p^h}} |\mathrm{Aut}_R(M)|^{-1} |M|^{-u},$$

where of course the summation extends over all finite modules $M$ as indicated, up to isomorphism. Note that $\phi M$ is an $(R/I)$-module, and $R/I \cong \mathbb{Z}_p$.

The value of this sum will be stated in Theorem 5.6. A first step in the computation consists in relating this sum over finite modules $M$ to a limit for $n \to \infty$ of a sum over submodules $U \subseteq R^n$ (a kind of "partial zeta function"), similar to the case of the full Cohen-Lenstra sum in section 2.

We denote by $\varepsilon : R^n \to \mathbb{Z}_p^n$ the augmentation map with kernel $I^n$, induced by $R \to \mathbb{Z}_p, \sum_{i=0}^{p-1} a_i \sigma^i \mapsto \sum_{i=0}^{p-1} a_i$, and by $\nu := \nu(G) = \dim_{\mathbb{F}_p}(G/pG)$ the rank of the finite abelian $p$-group $G$. We further recall that all submodules of $R^n$ are understood to have finite index in $R^n$.

**Lemma 5.1.** *Let $G$ be a finite abelian p-group, and $h, u \in \mathbb{N}$. Then for all $N \subseteq R^n$ there is $\overline{N} \subseteq \mathbb{Z}_p^n$ such that $p\overline{N} = \varepsilon(N \cap \phi R^n)$, and*

$$\sum_{\substack{\phi M \cong G \\ |\widehat{H}^1(M)|=p^h}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u} = \lim_{n\to\infty} \sum_{\substack{N \subseteq R^n \\ \mathbb{Z}_p^n/\overline{N}\cong G \\ [\overline{N}:\varepsilon(N)]=p^h}} [R^n : N]^{-(n+u)}.$$

*Proof.* The existence of $\overline{N}$ is clear. Multiplication by $\phi$ on $M$ induces a surjection $\psi : M/IM \to \phi M$ with $\widehat{H}^1(M) = \ker(\psi)$. Each $M$ such that $\phi M \cong G$ and $|\widehat{H}^1(M)| = p^h$ has the form $M \cong R^n/N$ for some $n \geq \max\{\nu, h\}$ and $N \subseteq R^n$. Thus

$$M/IM \cong R^n/(N + I^n) \cong \mathbb{Z}_p^n/\varepsilon(N)$$

and

$$\phi M \cong (\phi R^n + N)/N \cong \phi R^n/(N \cap \phi R^n) \cong p\mathbb{Z}_p^n/\varepsilon(N \cap \phi R^n) \cong \mathbb{Z}_p^n/\overline{N}.$$

We therefore have a commutative diagram

$$\begin{array}{ccc} M/IM & \xrightarrow{\cong} & \mathbb{Z}_p^n/\varepsilon(N) \\ \psi \downarrow & & \downarrow \mathrm{can} \\ \phi M & \xrightarrow[\cong]{} & \mathbb{Z}_p^n/\overline{N} \end{array}$$

hence

$$\widehat{H}^1(M) = \ker(\psi) \cong \overline{N}/\varepsilon(N).$$

Now the lemma follows from Theorem 4.1, or more precisely from its generalization stated at the end of the preceding section. □

We now have to determine all $N \subseteq R^n$ such that $\mathbb{Z}_p^n/\overline{N} \cong G$ and $[\overline{N} : \varepsilon(N)] = p^h$. In order to achieve this, we will use Morita's Theorem (cf. [9, Sec. 3.12]) and translate all submodules of $R^n$ to left ideals of the matrix ring $\mathrm{M}_n(R)$. The main property of Morita's Theorem that we will be using in the sequel is the following: There is an isomorphism between the lattice of $R$-submodules $U$ of finite index in $R^n$ and the lattice of left ideals $I \subseteq \mathrm{M}_n(R)$ of finite index. Moreover, if $U$ and $I$ correspond to each other, then one easily verifies that

$$[\mathrm{M}_n(R) : I] = [R^n : U]^n.$$

In a similar way, submodules of $\mathbb{Z}_p^n$ correspond to left ideals of $\mathrm{M}_n(\mathbb{Z}_p)$.

Let $n \geq \max\{\nu, h\}$. Then $G$ is a quotient of $\mathbb{Z}_p^n$, and we let $G'$ be the corresponding quotient of $\mathrm{M}_n(\mathbb{Z}_p)$ via Morita's Theorem, so in particular

$$|G'| = |G|^n.$$

Now it is easy to see from the above lemma that our sum is equal to the limit for $n \to \infty$ of

$$x_n := \sum_{\substack{N' \subseteq \mathrm{M}_n(R) \\ \mathrm{M}_n(\mathbb{Z}_p)/\overline{N'} \cong G' \\ [\overline{N'}:\varepsilon(N')]=p^{nh}}} [\mathrm{M}_n(R) : N']^{-(1+u/n)},$$

where as always all ideals are of finite index, and $\overline{N'}$ is the left ideal of $\mathrm{M}_n(\mathbb{Z}_p)$ satisfying $p\overline{N'} = \varepsilon(N' \cap \phi \mathrm{M}_n(R))$. Here we denote the augmentation map $\mathrm{M}_n(R) \to \mathrm{M}_n(\mathbb{Z}_p)$ by $\varepsilon$ as well.

Thus we have to count left ideals of $\mathrm{M}_n(R)$. This can be done by using an idea that goes back to Reiner (cf. [10]), also applied in [14, Sec. 3]. The crucial point is that $R = \mathbb{Z}_p[C_p]$ is a fibre product of the two discrete valuation rings $S = \mathbb{Z}_p[\omega]$, where $\omega$ is a primitive $p$-th root of unity, and $\mathbb{Z}_p$. This leads to a fibre product representation for $\mathrm{M}_n(R)$, viz there is a fibre product diagram with surjective maps

$$\begin{array}{ccc} \mathrm{M}_n(R) & \xrightarrow{f_1} & \mathrm{M}_n(S) \\ {\scriptstyle\varepsilon}\downarrow & & \downarrow{\scriptstyle g_1} \\ \mathrm{M}_n(\mathbb{Z}_p) & \xrightarrow[g_2]{} & \mathrm{M}_n(\mathbb{F}_p) \end{array}$$

with $f_1$ induced by $R \to R/(\phi) \cong S$, $g_1$ induced by $S \to S/(1-\omega) \cong \mathbb{F}_p$, and $g_2$ is reduction mod $p$. Equivalently, there is an isomorphism

$$\mathrm{M}_n(R) \cong \{(x,y) \in \mathrm{M}_n(S) \times \mathrm{M}_n(\mathbb{Z}_p) \mid g_1(x) = g_2(y)\}.$$

Now we can use Reiner's method, and represent the left ideals of $\mathrm{M}_n(R)$ in terms of the left ideals of $\mathrm{M}_n(S)$ and $\mathrm{M}_n(\mathbb{Z}_p)$ (both of which are principal ideal rings). If $N' \subseteq \mathrm{M}_n(R)$ is a left ideal (of finite index), then there is an $\alpha \in \mathrm{M}_n(S)$ with $\det(\alpha) \neq 0$ such that $f_1(N') = \mathrm{M}_n(S)\alpha$. Choose $\beta \in \mathrm{M}_n(\mathbb{Z}_p)$ such that $g_1(\alpha) = g_2(\beta)$. Then

$$N' = \mathrm{M}_n(R)(\alpha, \beta) + (0, p\overline{N'}), \tag{13}$$

where $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$ is the left ideal (of finite index) satisfying $p\overline{N'} = \varepsilon(N' \cap \phi\mathrm{M}_n(R)) = \{x \in \mathrm{M}_n(\mathbb{Z}_p) \mid (0,x) \in N'\}$, and $\beta \in \overline{N'}$.

Conversely, if $\alpha \in \mathrm{M}_n(S)$ with $\det(\alpha) \neq 0$ and a left ideal $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$ of finite index are given, then $\alpha$ and $\overline{N'}$ give rise to a left ideal $N' \subseteq \mathrm{M}_n(R)$ as in (13) if and only if $g_1(\alpha) \in g_2(\overline{N'})$. In this case, the number of left ideals of $\mathrm{M}_n(R)$ belonging to $\alpha$ and $\overline{N'}$ is equal to the number of $\beta \in \overline{N'}$ distinct mod $p\overline{N'}$ such that $g_1(\alpha) = g_2(\beta)$.

**Notation.** *We denote by $\mathcal{R}$ a system of representatives of the generators of all left ideals of finite index in $\mathrm{M}_n(S)$. If $\alpha \in \mathcal{R}$ and $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$*

*is a left ideal with* $g_1(\alpha) \in g_2(\overline{N'})$ *we denote by* $\theta(\alpha)$ *the number of left* $\mathrm{M}_n(R)$*-ideals of the form*

$$N' := \mathrm{M}_n(R)(\alpha, \beta) + (0, p\overline{N'})$$

*satisfying* $[\overline{N'} : \mathrm{M}_n(\mathbb{Z}_p)\beta + p\overline{N'}] = p^{nh}$. *Note that the latter is one of the conditions required in the summation for* $x_n$*, since* $\varepsilon(N') = \mathrm{M}_n(\mathbb{Z}_p)\beta + p\overline{N'}$. *We will see below in Lemma 5.3 that the value* $\theta(\alpha)$ *does not depend on the particular* $\overline{N'}$*, which justifies the notation.*

It is shown in [14, Lemma 3.4] that

$$[\mathrm{M}_n(R) : N'] = [\mathrm{M}_n(S) : \mathrm{M}_n(S)\alpha][\mathrm{M}_n(\mathbb{Z}_p) : \overline{N'}]$$

for $N'$ as in (13). Together with the above discussion, this equality yields the following formula for $x_n$:

$$x_n = \sum_{\substack{\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p) \\ \mathrm{M}_n(\mathbb{Z}_p)/\overline{N'} \cong G'}} \sum_{\substack{\alpha \in \mathcal{R} \\ \alpha \in g_1^{-1}(g_2(\overline{N'}))}} \theta(\alpha) \left([\mathrm{M}_n(S) : \mathrm{M}_n(S)\alpha][\mathrm{M}_n(\mathbb{Z}_p) : \overline{N'}]\right)^{-(1+u/n)},$$

hence $x_n = y_n z_n$ with

$$y_n := \sum_{\substack{\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p) \\ \mathrm{M}_n(\mathbb{Z}_p)/\overline{N'} \cong G'}} |G'|^{-(1+u/n)},$$

$$z_n := \sum_{\substack{\alpha \in \mathcal{R} \\ g_1(\alpha) \in g_2(\overline{N'})}} \theta(\alpha)\ [\mathrm{M}_n(S) : \mathrm{M}_n(S)\alpha]^{-(1+u/n)},$$

where in the last sum $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$ is an arbitrary left ideal with $\mathrm{M}_n(\mathbb{Z}_p)/\overline{N'} \cong G'$.

**Lemma 5.2.** $\lim_{n\to\infty} y_n = |\mathrm{Aut}(G)|^{-1}|G|^{-u}$.

*Proof.* We translate everything back to submodules of $\mathbb{Z}_p^n$ using Morita's Theorem. Since $|G'| = |G|^n$ we get

$$y_n = |G|^{-(n+u)} \cdot |\{\overline{N} \subseteq \mathbb{Z}_p^n \mid \mathbb{Z}_p^n/\overline{N} \cong G\}|,$$

and by Lemma 2.2, 2.4 we infer

$$y_n = |G|^{-(n+u)}|G|^n \frac{(q)_n}{(q)_{n-\nu}} |\mathrm{Aut}(G)|^{-1},$$

which proves the claim. □

The calculation of $\lim_{n\to\infty} z_n$ is more complicated. We start by computing $\theta(\alpha)$, and we recall that $\nu$ denotes the rank of the abelian $p$-group $G$.

**Lemma 5.3.** *Let* $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$ *be a left ideal such that* $\mathrm{M}_n(\mathbb{Z}_p)/\overline{N'} \cong G'$. *Furthermore let* $\alpha \in \mathcal{R}$ *with* $g_1(\alpha) \in g_2(\overline{N'})$, *and put* $r := \mathrm{rk}(g_1(\alpha))$. *Then* $\theta(\alpha)$ *equals* $\theta_r$, *the number of all* $\xi \in \mathrm{M}_n(\mathbb{F}_p)$ *lying in*

$$\left(\begin{array}{c|c|c} \begin{matrix} 1 & & \\ & \ddots & \\ & & 1 \end{matrix} & 0^{r\times(n-\nu-r)} & \mathbb{F}_p^{r\times\nu} \\ \hline 0^{(n-r)\times r} & 0^{(n-r)\times(n-\nu-r)} & \mathbb{F}_p^{(n-r)\times\nu} \end{array}\right)$$

*and whose bottom right* $((n-r)\times\nu)$*-submatrix has rank* $n-h-r$. *In particular we have*

$$n-\nu-h \leq r \leq \min\{n-\nu, n-h\}.$$

*Proof.* Fix $\alpha$ and $\overline{N'} \subseteq \mathrm{M}_n(\mathbb{Z}_p)$ as above. The number of left $\mathrm{M}_n(R)$-ideals of the form (13) equals the number of $\beta \in \overline{N'}$ with $g_1(\alpha) = g_2(\beta)$ which are distinct mod $p\overline{N'}$. Thus, by definition of $\theta(\alpha)$,

$$\theta(\alpha) = |\{\beta \in \overline{N'} \bmod p\overline{N'} \mid g_1(\alpha) = g_2(\beta),\ [\overline{N'} : \mathrm{M}_n(\mathbb{Z}_p)\beta + p\overline{N'}] = p^{nh}\}|.$$

Choose $\rho \in \mathrm{M}_n(\mathbb{Z}_p)$ with $\mathrm{M}_n(\mathbb{Z}_p)\rho = \overline{N'}$. There is an isomorphism

$$G'/pG' \cong \mathrm{M}_n(\mathbb{F}_p)/g_2(\overline{N'}) = \mathrm{M}_n(\mathbb{F}_p)/\mathrm{M}_n(\mathbb{F}_p)g_2(\rho),$$

whence $\mathrm{rk}(g_2(\rho)) = n-\nu$. Now $\theta(\alpha)$ equals the number of all $\beta' \in \mathrm{M}_n(\mathbb{Z}_p)$ mod $p\mathrm{M}_n(\mathbb{Z}_p)$ such that

$$g_1(\alpha) = g_2(\beta')g_2(\rho) \quad \text{and} \quad [\mathrm{M}_n(\mathbb{Z}_p)\beta' + p\mathrm{M}_n(\mathbb{Z}_p) : p\mathrm{M}_n(\mathbb{Z}_p)] = p^{n(n-h)}.$$

We assume without loss of generality that

$$g_2(\rho) = \begin{pmatrix} 1 & & & & \\ & \ddots & & & \\ & & 1 & & \\ & & & 0 & \\ & & & & \ddots \\ & & & & & 0 \end{pmatrix}$$

with $n-\nu$ 1's on the main diagonal. Then

$$g_1(\alpha) \in \left(\mathbb{F}_p^{n\times(n-\nu)} \middle| 0^{n\times\nu}\right),$$

i.e. $g_1(\alpha) = (\gamma_1|0)$ for some $\gamma_1 \in \mathbb{F}_p^{n\times(n-\nu)}$ with $\mathrm{rk}(\gamma_1) = r$. This implies

$$\theta(\alpha) = |\{\xi = (\xi_1|\xi_2) \in \left(\mathbb{F}_p^{n\times(n-\nu)} \middle| \mathbb{F}_p^{n\times\nu}\right) \mid \xi_1 = \gamma_1 \text{ and } \mathrm{rk}(\xi) = n-h\}|.$$

Obviously this number only depends on $r = \mathrm{rk}(\gamma_1)$. Therefore we may choose $\gamma_1$ to be the matrix having $r$ 1's as its first entries of the main diagonal, all other entries being 0. Now it is clear that $\theta(\alpha) = \theta_r$.

Since $g_1(\alpha) \in g_2(\overline{N'})$ we have $\theta_r = \theta(\alpha) \neq 0$, or equivalently $n-\nu-h \leq r \leq \min\{n-\nu, n-h\}$. $\square$

The following lemma, which is easy to prove (cf. [4, Th. 2]) gives a formula for the number of matrices of given size over a finite field having fixed rank.

**Lemma 5.4.** *Let $k, m, n \in \mathbb{N}$ with $k \leq \min\{m, n\}$. Then*

$$p^{(n+m-k)k} \frac{(q)_n (q)_m}{(q)_{n-k}(q)_{m-k}(q)_k}$$

*equals the number of matrices in $\mathbb{F}_p^{m\times n}$ of rank $k$.*

Making use of this lemma, the number $\theta_r$ defined in Lemma 5.3 is easily calculated:

$$\theta_r = p^{\nu r} p^{(\nu+n-r-(n-h-r))(n-h-r)} \frac{(q)_\nu (q)_{n-r}}{(q)_{\nu-(n-h-r)}(q)_h (q)_{n-h-r}}. \tag{14}$$

The value $z_n$ defined above now takes the form

$$z_n = \sum_{r=n-\nu-h}^{\min\{n-\nu,n-h\}} \theta_r \sum_{\substack{\alpha\in\mathcal{R} \\ \exists\gamma_1:\ \mathrm{rk}(\gamma_1)=r \\ g_1(\alpha)=(\gamma_1|0)}} [\mathrm{M}_n(S) : \mathrm{M}_n(S)\alpha]^{-(1+u/n)}, \tag{15}$$

where again $\gamma_1 \in \mathbb{F}_p^{n\times(n-\nu)}$.

**Lemma 5.5.** *Let $n-\nu-h \leq r \leq \min\{n-\nu, n-h\}$. Then*

$$\sum_{\substack{\alpha\in\mathcal{R} \\ \exists\gamma_1:\ \mathrm{rk}(\gamma_1)=r \\ g_1(\alpha)=(\gamma_1|0)}} [\mathrm{M}_n(S) : \mathrm{M}_n(S)\alpha]^{-(1+u/n)} = \begin{bmatrix} n-\nu \\ r \end{bmatrix}_p q^{(n+u)(n-r)} \frac{(q)_u}{(q)_{n+u-r}},$$

*where again $\gamma_1 \in \mathbb{F}_p^{n\times(n-\nu)}$.*

*Proof.* By Morita's Theorem we can retranslate the sum to a sum over $S$-submodules of $S^n$. Thus fix an $r$-dimensional subspace $F \subseteq \mathbb{F}_p^{n-\nu}$. Then we will see below that the sum

$$\sum_{\substack{U\subseteq S^n \\ g_1(U)=F\oplus 0^\nu}} [S^n : U]^{-(n+u)}$$

does not depend on the particular $F$ chosen. There are in fact $\left[\begin{smallmatrix} n-\nu \\ r \end{smallmatrix}\right]_p$ choices for $F$, whence the sum to be computed equals

$$\begin{bmatrix} n-\nu \\ r \end{bmatrix}_p \sum_{\substack{U\subseteq S^n \\ g_1(U)=F\oplus 0^\nu}} [S^n : U]^{-(n+u)}.$$

Since both $S$ and $\mathbb{Z}_p$ are discrete valuation rings with residue field $\mathbb{F}_p$, and since $g_1$, $g_2$ induce isomorphisms $S^n/\mathrm{rad}(S^n) \to \mathbb{F}_p^n$ and $\mathbb{Z}_p^n/\mathrm{rad}(\mathbb{Z}_p^n) \to \mathbb{F}_p^n$ respectively, we get

$$\sum_{\substack{U\subseteq S^n\\ g_1(U)=F\oplus 0^\nu}} [S^n : U]^{-(n+u)} = \sum_{\substack{U\subseteq \mathbb{Z}_p^n\\ g_2(U)=F\oplus 0^\nu}} [\mathbb{Z}_p^n : U]^{-(n+u)} = \sum_{\substack{U\subseteq \mathbb{Z}_p^n\\ U+p\mathbb{Z}_p^n=V}} [\mathbb{Z}_p^n : U]^{-(n+u)}$$

with $p\mathbb{Z}_p^n \subseteq V \subseteq \mathbb{Z}_p^n$ such that $V/p\mathbb{Z}_p^n = F \oplus 0^\nu$. By [14, Lemma 7.3] this equals

$$\begin{aligned}[\mathbb{Z}_p^n : V]^{-(n+u)} \sum_{\substack{U\subseteq V\\ U+p\mathbb{Z}_p^n=V}} [V : U]^{-(n+u)} &= p^{-(n+u)(n-r)} \prod_{j=r}^{n-1} (1-q^{n+u-j})^{-1} \\ &= q^{(n+u)(n-r)} \frac{(q)_u}{(q)_{n+u-r}}.\end{aligned}$$

This proves the lemma. □

Now (15) implies

$$\begin{aligned} z_n &= \sum_{r=n-\nu-h}^{\min\{n-\nu,n-h\}} \theta_r \begin{bmatrix} n-\nu \\ r \end{bmatrix}_p q^{(n+u)(n-r)} \frac{(q)_u}{(q)_{n+u-r}} \\ &= \sum_{r=n-\nu-h}^{\min\{n-\nu,n-h\}} p^{\exp_r} \frac{(q)_\nu (q)_{n-r} (q)_{n-\nu} (q)_u}{(q)_{\nu-(n-h-r)} (q)_h (q)_{n-h-r} (q)_r (q)_{n-\nu-r} (q)_{n+u-r}} \end{aligned}$$

with

$$\exp_r := -hr + (\nu+h)(n-h) + r(n-\nu-r) - (n+u)(n-r)$$

as $p$-exponent. Substituting $e := r-(n-\nu-h)$ yields

$$z_n = \sum_{e=0}^{\min\{\nu,h\}} p^{\exp'_e} \frac{(q)_\nu (q)_{\nu+h-e} (q)_{n-\nu} (q)_u}{(q)_e (q)_h (q)_{\nu-e} (q)_{n-\nu-h+e} (q)_{h-e} (q)_{\nu+h+u-e}}$$

with

$$\exp'_e := -(h^2+hu) + h(e-\nu) + e\nu + eu - e^2 - \nu u.$$

The last step consists in letting $n\to\infty$, and we get

$$\begin{aligned}\lim_{n\to\infty} z_n = {}& \frac{q^{h(h+\nu+u)+\nu u} (q)_u (q)_\nu}{(q)_h} \\ & \times \sum_{e=0}^{\min\{\nu,h\}} p^{e(\nu+h+u-e)} \frac{(q)_{\nu+h-e}}{(q)_e (q)_{\nu-e} (q)_{h-e} (q)_{\nu+h+u-e}}.\end{aligned} \tag{16}$$

Now

$$\lim_{n\to\infty} x_n = (\lim_{n\to\infty} y_n)(\lim_{n\to\infty} z_n)$$

can be derived from Lemma 5.2 and (16). Since by definition $\lim_{n\to\infty} x_n$ equals the limit occuring in Lemma 5.1, the proof of the following main theorem of this section is complete.

**Theorem 5.6.** *Let $G$ be a finite abelian $p$-group of rank $\nu$, and let $h, u \in \mathbb{N}$. Then*

$$\sum_{\substack{\phi M \cong G \\ |\hat{H}^1(M)| = p^h}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u} = \frac{q^{h(h+\nu+u)+\nu u}(q)_u(q)_\nu}{(q)_h}\,\kappa(\nu,h,u)\,|\mathrm{Aut}(G)|^{-1}|G|^{-u},$$

*where*

$$\kappa(\nu,h,u) := \sum_{e=0}^{\min\{\nu,h\}} p^{e(\nu+h+u-e)}\frac{(q)_{\nu+h-e}}{(q)_e(q)_{\nu-e}(q)_{h-e}(q)_{\nu+h+u-e}}.$$

We will conclude this section by considering this formula in the special cases $u = 0$, $h = 0$, $\nu = 0$ respectively.

**Corollary 5.7.** *Let $G$ be a finite abelian $p$-group of rank $\nu$, and let $h \in \mathbb{N}$. Then*

$$\sum_{\substack{\phi M \cong G \\ |\hat{H}^1(M)| = p^h}} |\mathrm{Aut}_R(M)|^{-1} = \frac{q^{h^2}}{(q)_h^2}|\mathrm{Aut}(G)|^{-1}.$$

*Proof.* We put $u := 0$ in the preceding theorem, and thus the sum equals

$$\frac{q^{h(h+\nu)}}{(q)_h^2}\left(\sum_{e=0}^{\min\{\nu,h\}} p^{e(\nu+h-e)}\frac{(q)_\nu(q)_h}{(q)_e(q)_{\nu-e}(q)_{h-e}}\right)|\mathrm{Aut}(G)|^{-1}. \tag{17}$$

By Lemma 5.4, the $e$-th term of the expression in brackets equals the number of matrices in $\mathbb{F}_p^{\nu\times h}$ of rank $e$. Hence (17) can be written as

$$\frac{q^{h(h+\nu)}}{(q)_h^2}|\mathbb{F}_p^{\nu\times h}||\mathrm{Aut}(G)|^{-1} = \frac{q^{h^2}}{(q)_h^2}|\mathrm{Aut}(G)|^{-1}.$$

□

Next we consider the case $h = 0$, i.e. the summation extends over cohomologically trivial modules.

**Corollary 5.8.** *Let $G$ be a finite abelian $p$-group of rank $\nu$, and let $u \in \mathbb{N}$. Then*

$$\sum_{\substack{\phi M \cong G \\ M \text{ cohom. trivial}}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u} = q^{\nu u}\frac{(q)_u(q)_\nu}{(q)_{u+\nu}}|\mathrm{Aut}(G)|^{-1}|G|^{-u}.$$

Finally let $G = 0$.

**Corollary 5.9.** *Let $h, u \in \mathbb{N}$. Then*

$$\sum_{\substack{\phi M=0 \\ |\widehat{H}^1(M)|=p^h}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u} = \sum_{\substack{\phi M=0 \\ |M/IM|=p^h}} |\mathrm{Aut}_R(M)|^{-1}|M|^{-u} = \frac{q^{h(h+u)}(q)_u}{(q)_h(q)_{h+u}}.$$

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