

A MINKOWSKI-STYLE BOUND FOR THE ORDERS OF THE FINITE SUBGROUPS
OF THE CREMONA GROUP OF RANK 2 OVER AN ARBITRARY FIELD

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Let k be a field. Let $\text{Cr}(k)$ be the Cremona group of rank 2 over k , i.e. the group of k -automorphisms of $k(X, Y)$, where X and Y are two indeterminates.

We shall be interested in the finite subgroups of $\text{Cr}(k)$ of order prime to the characteristic of k . The case $k = \mathbf{C}$ has a long history, going back to the 19-th century (see the references in [Bl 06] and [DI 07]), and culminating in an essentially complete (but rather complicated) classification, see [DI 07]. For an arbitrary field, it seems reasonable to simplify the problem à la Minkowski, as was done in [Se 07] for semisimple groups; this means giving a sharp multiplicative bound for the orders of the finite subgroups we are considering.

In §6.9 of [Se 07], I had asked a few questions in that direction, for instance the following :

If $k = \mathbf{Q}$, is it true that $\text{Cr}(k)$ does not contain any element of prime order ≥ 11 ?

More generally, what are the prime numbers ℓ , distinct from $\text{char}(k)$, such that $\text{Cr}(k)$ contains an element of order ℓ ?

This question has now been solved by Dolgachev and Iskovskikh ([DI 08]), the answer being that there is equivalence between :

$\text{Cr}(k)$ contains an element of order ℓ
and
 $[k(z_\ell) : k] = 1, 2, 3, 4$ or 6 , where z_ℓ is a primitive ℓ -th root of unity.

As we shall see, a similar method can handle arbitrary ℓ -groups and one obtains an explicit value for the Minkowski bound of $\text{Cr}(k)$, in terms of the size of the Galois group of the cyclotomic extensions of k (cf. Th.2.1 below). For instance :

Theorem - *Assume k is finitely generated over its prime subfield. Then the finite subgroups of $\text{Cr}(k)$ of order prime to $\text{char}(k)$ have bounded order. Let $M(k)$ be the least common multiple of their orders .*

a) *If $k = \mathbf{Q}$, we have $M(k) = 120960 = 2^7 \cdot 3^3 \cdot 5 \cdot 7$.*

b) *If k is finite with q elements, we have :*

$$M(k) = \begin{cases} 3 \cdot (q^4 - 1)(q^6 - 1) & \text{if } q \equiv 4 \text{ or } 7 \pmod{9} \\ (q^4 - 1)(q^6 - 1) & \text{otherwise.} \end{cases}$$

For more general statements, see §2. These statements involve the cyclotomic invariants of k introduced in [Se 07, §6]; their definition is recalled in §1. The proofs are given in §3 (existence of large subgroups) and in §4 (upper bounds). For the upper bounds, we use a method introduced by Manin ([Ma 66]) and perfected by Iskovskikh ([Is 79], [Is 96]) and Dolgachev-Iskovskikh ([DI 08]); it

allows us to realize any finite subgroup of $\text{Cr}(k)$ as a subgroup of $\text{Aut}(S)$, where S is either a del Pezzo surface or a conic bundle over a conic. A few conjugacy results are given in §5. The last § contains a series of open questions on the Cremona groups of rank > 2 .

§1 The cyclotomic invariants t and m

In what follows, k is a field, k_s is a separable closure of k and \bar{k} is the algebraic closure of k_s .

Let ℓ a prime number distinct from $\text{char}(k)$; the ℓ -adic valuation of \mathbf{Q} is denoted by v_ℓ . If A is a finite set, with cardinal $|A|$, we write $v_\ell(A)$ instead of $v_\ell(|A|)$.

There are two invariants $t = t(k, \ell)$ and $m = m(k, \ell)$ which are associated with the pair (k, ℓ) , cf. [Se 07, §4]. Recall their definitions :

1.1 Definition of t

Let $z \in k_s$ be a primitive ℓ -th root of unity if $\ell > 2$ and a primitive 4-th root of unity if $\ell = 2$. We put

$$t = [k(z) : k].$$

If $\ell > 2$, t divides $\ell - 1$. If $\ell = 2$ or 3, then $t = 1$ or 2.

1.2 Definition of m

For $\ell > 2$, m is the upper bound (possibly infinite) of the n 's such that $k(z)$ contains the ℓ^n -th roots of unity. We have $m \geq 1$.

For $\ell = 2$, m is the upper bound (possibly infinite) of the n 's such that k contains $z(n) + z(n)^{-1}$, where $z(n)$ is a primitive 2^n -root of unity. We have $m \geq 2$. [The definition of m given in [Se 07, §4.2] looks different, but it is equivalent to the one here.]

Remark. Knowing t and m amounts to knowing the image of the ℓ -th cyclotomic character $\text{Gal}(k_s/k) \rightarrow \mathbf{Z}_\ell^*$, cf. [Se 07, §4].

1.3 Example : $k = \mathbf{Q}$

Here, t takes its largest possible value, namely $t = \ell - 1$ for $\ell > 2$ and $t = 2$ for $\ell = 2$. And m takes its smallest possible value, namely $m = 1$ for $\ell > 2$ and $m = 2$ for $\ell = 2$.

1.4 Example : k finite with q elements

If $\ell > 2$, one has :

$$t = \text{order of } q \text{ in the multiplicative group } \mathbf{F}_\ell^*$$

$$m = v_\ell(q^t - 1) = v_\ell(q^{\ell-1} - 1).$$

If $\ell = 2$, one has :

$$\begin{aligned} t &= \text{order of } q \text{ in } (\mathbf{Z}/4\mathbf{Z})^* \\ m &= v_2(q^2 - 1) - 1. \end{aligned}$$

§2 Statement of the main theorem

Let $K = k(X, Y)$, where X, Y are indeterminates, and let $\text{Cr}(k)$ be the Cremona group of rank 2 over k , i.e. the group $\text{Aut}_k K$. Let ℓ be a prime number, distinct from $\text{char}(k)$, and let t and m be the cyclotomic invariants defined above.

2.1 Notation

Define a number $M(k, \ell) \in \{0, 1, 2, \dots, \infty\}$ as follows :

For $\ell = 2$, $M(k, \ell) = 2m + 3$.

For $\ell = 3$, $M(k, \ell) = \begin{cases} 4 & \text{if } t = m = 1 \\ 2m + 1 & \text{otherwise.} \end{cases}$

For $\ell > 3$, $M(k, \ell) = \begin{cases} 2m & \text{if } t = 1 \quad \text{or } 2 \\ m & \text{if } t = 3, 4 \quad \text{or } 6 \\ 0 & \text{if } t = 5 \quad \text{or } t > 6. \end{cases}$

2.2 The main theorem

Theorem 2.1.(i) *Let A be a finite subgroup of $\text{Cr}(k)$. Then $v_\ell(A) \leq M(k, \ell)$.*

(ii) *Conversely, if n is any integer ≥ 0 which is $\leq M(k, \ell)$ then $\text{Cr}(k)$ contains a subgroup of order ℓ^n .*

(In other words, $M(k, \ell)$ is the upper bound of the $v_\ell(A)$.)

The special case where A is cyclic of order ℓ gives :

Corollary 2.2 ([DI 08]). *The following properties are equivalent :*

- a) $\text{Cr}(k)$ contains an element of order ℓ
- b) $\varphi(t) \leq 2$, i.e. $t = 1, 2, 3, 4$ or 6 .

Indeed, b) is equivalent to $M(k, \ell) > 0$.

2.3 Small fields

Let us say that k is *small* if it has the following properties :

$$(2.3.1) \quad m(k, \ell) < \infty \text{ for every } \ell \neq \text{char}(k)$$

$$(2.3.2) \quad t(k, \ell) \rightarrow \infty \text{ when } \ell \rightarrow \infty.$$

Proposition 2.3. *A field which is finitely generated over \mathbf{Q} or \mathbf{F}_p is small.*

Proof. The formulae given in §1.3 and §1.4 show that both \mathbf{F}_p and \mathbf{Q} are small. If k'/k is a finite extension, one has

$$[k' : k].t(k', \ell) \geq t(k, \ell) \quad \text{and} \quad m(k', \ell) \leq m(k, \ell) + \log_\ell([k' : k]),$$

which shows that k small $\Rightarrow k'$ small. If k' is a regular extension of k , then

$$t(k', \ell) = t(k, \ell) \quad \text{and} \quad m'(k', \ell) = m(k, \ell),$$

which also shows that k small $\Rightarrow k'$ small. The proposition follows.

Assume now that k is small. We may then define an integer $M(k)$ by the following formula

$$(2.3.3) \quad M(k) = \prod_{\ell} \ell^{M(k, \ell)},$$

where ℓ runs through the prime numbers distinct from $\text{char}(k)$. The formula makes sense since $M(k, \ell)$ is finite for every ℓ and is 0 for every ℓ but a finite number. With this notation, Th. 2.1 can be reformulated as :

Theorem 2.4. *If k is small, then the finite subgroups of $\text{Cr}(k)$ of order prime to $\text{char}(k)$ have bounded order, and the l.c.m. of their orders is the integer $M(k)$ defined above.*

Note that this applies in particular when k is finitely generated over its prime subfield.

2.4 Example : the case $k = \mathbf{Q}$

By combining 1.3 and 2.1, one gets

$$M(\mathbf{Q}, \ell) = \begin{cases} 7 & \text{for } \ell = 2, \\ 3 & \text{for } \ell = 3, \\ 1 & \text{for } \ell = 5, 7 \\ 0 & \text{for } \ell > 7. \end{cases}$$

This can be summed up by :

Theorem 2.5. $M(\mathbf{Q}) = 2^7 \cdot 3^3 \cdot 5 \cdot 7$.

2.5 Example : the case of a finite field

Theorem 2.6. *If k is a finite field with q elements, we have*

$$M(k) = \begin{cases} 3 \cdot (q^4 - 1)(q^6 - 1) & \text{if } q \equiv 4 \text{ or } 7 \pmod{9} \\ (q^4 - 1)(q^6 - 1) & \text{otherwise.} \end{cases}$$

Proof. Denote by $M'(k, \ell)$ the ℓ -adic valuation of the right side of the formulae above.

If ℓ is not equal to 3, $M'(k, \ell)$ is equal to

$$v_{\ell}(q^4 - 1) + v_{\ell}(q^6 - 1)$$

and we have to check that $M'(k, \ell)$ is equal to $M(k, \ell)$.

Consider first the case $\ell = 2$. It follows from the definition of m that $v_2(q^2 - 1) = m + 1$, and hence $v_2(q^4 - 1) = m + 2$ and $v_2(q^6 - 1) = m + 1$. This gives $M'(k, \ell) = 2m + 3 = M(k, \ell)$.

If $\ell > 3$, the invariant t is the smallest integer > 0 such that $q^t = 1 \pmod{\ell}$. If $t = 5$ or $t > 6$, this shows that $M'(k, \ell) = 0$.

If $t = 3$ or 6 , $q^4 - 1$ is not divisible by ℓ and $q^6 - 1$ is divisible by ℓ ; moreover, one has $v_\ell(q^6 - 1) = m$. This gives $M'(k, \ell) = m = M(k, \ell)$. Similarly, when $t = 4$, the only factor divisible by ℓ is $q^4 - 1$ and its ℓ -adic valuation is m . When $t = 1$ or 2 , both factors are divisible by ℓ and their ℓ -adic valuation is m .

The argument for $\ell = 3$ is similar : we have

$$v_3(q^4 - 1) = m \quad \text{and} \quad v_3(q^6 - 1) = m + 1.$$

The congruence $q \equiv 4$ or $7 \pmod{9}$ means that $t = m = 1$.

For instance :

$$M(\mathbf{F}_2) = 3^3.5.7; \quad M(\mathbf{F}_3) = 2^7.5.7.13; \quad M(\mathbf{F}_4) = 3^4.5^2.7.13.17;$$

$$M(\mathbf{F}_5) = 2^7.3^3.7.13.31; \quad M(\mathbf{F}_7) = 2^9.3^4.5^2.19.43.$$

2.6 Example : the p -adic field \mathbf{Q}_p

For $\ell \neq p$, the t, m invariants of \mathbf{Q}_p are the same as those of \mathbf{F}_ℓ , and for $\ell = p$ they are the same as those of \mathbf{Q} .

This shows that \mathbf{Q}_p is “small”, and a simple computation gives

$$M(\mathbf{Q}_p) = c(p).(p^4 - 1)(p^6 - 1),$$

with

$$c(2) = 2^7; \quad c(3) = 3^3; \quad c(5) = 5; \quad c(7) = 3.7;$$

$$c(p) = 3 \quad \text{if } p > 7 \quad \text{and } p \equiv 4 \text{ or } 7 \pmod{9};$$

$$c(p) = 1 \quad \text{otherwise.}$$

For instance :

$$M(\mathbf{Q}_2) = 2^7.3^3.5.7; \quad M(\mathbf{Q}_3) = 2^7.3^3.5.7.13; \quad M(\mathbf{Q}_5) = 2^7.3^3.5.7.13.31;$$

$$M(\mathbf{Q}_7) = 2^9.3^4.5^2.7.19.43; \quad M(\mathbf{Q}_{11}) = 2^7.3^3.5^2.7.19.37.61.$$

2.7 Remarks

1. The statement of Th.2.6 is reminiscent of the formula which gives the order of $G(k)$, where G is a split semisimple group and $|k| = q$. In such a formula, the factors have the shape $(q^d - 1)$, where d is an invariant degree of the Weyl group, and the number of factors is equal to the rank of G . Here also the number of factors is equal to the rank of Cr , which is 2. The exponents 4 and 6 are less easy to interpret. In the proofs below, they occur as the maximal orders of the torsion elements of the “Weyl group” of Cr , which is $\mathbf{GL}_2(\mathbf{Z})$. See also §6.

2. Even though Th.2.6 is a very special case of Th.2.1, it contains almost as much information as the general case. More precisely, we could deduce Th.2.1.(i)

[which is the hard part] from Th.2.6 by the Minkowski method of reduction (mod p) explained in [Se 07, §6.5].

3. In the opposite direction, if we know Th.2.1.(i) for fields of characteristic 0 (in the slightly more precise form given in §4.1), we can get it for fields of characteristic $p > 0$ by lifting over the ring of Witt vectors; this is possible : all the cohomological obstructions vanish.

4. For large fields, the invariant m can be ∞ . If t is not 1, 2, 3, 4 or 6, Cor.2.2 tells us that $\text{Cr}(k)$ is ℓ -torsion-free. But if t is one of these five numbers, the above theorems tell us nothing. Still, as in [Se 07, §14, Th.12 and Th.13] one can prove the following :

a) If $t = 3, 4$ or 6 , then $\text{Cr}(k)$ contains a subgroup isomorphic to $\mathbf{Q}_\ell/\mathbf{Z}_\ell$ and does not contain $\mathbf{Q}_\ell/\mathbf{Z}_\ell \times \mathbf{Q}_\ell/\mathbf{Z}_\ell$.

b) If $t = 1$ or 2 , then $\text{Cr}(k)$ contains a subgroup isomorphic to $\mathbf{Q}_\ell/\mathbf{Z}_\ell \times \mathbf{Q}_\ell/\mathbf{Z}_\ell$ and does not contain a product of three copies of $\mathbf{Q}_\ell/\mathbf{Z}_\ell$.

§3 Proof of Theorem 2.1.(ii)

We have to construct large ℓ -subgroups of $\text{Cr}(k)$. It turns out that we only need two constructions, one for the very special case $\ell = 3, t = 1, m = 1$, and one for all the other cases.

3.1 The special case $\ell = 3, t = 1, m = 1$

We need to construct a subgroup of $\text{Cr}(k)$ of order 3^4 . To do so we use the Fermat cubic surface S given by the homogeneous equation

$$x^3 + y^3 + z^3 + t^3 = 0.$$

It is a smooth surface, since $p \neq 3$. The fact that $t = 1$ means that k contains a primitive cubic root of unity. This implies that the 27 lines of S are defined over k , and hence S is k -rational : its function field is isomorphic to $K = k(X, Y)$. Let A be the group of automorphisms of S generated by the two elements

$$(x, y, z, t) \mapsto (rx, y, z, t) \quad \text{and} \quad (x, y, z, t) \mapsto (y, z, x, t)$$

where r is a primitive 3-rd root of unity.

We have $|A| = 3^4$ and A is a subgroup of $\text{Aut}(S)$, hence a subgroup of $\text{Cr}(k)$.

3.2 The generic case

Here is the general construction :

One starts with a 2-dimensional torus T over k , with an ℓ -group C acting faithfully on it. Let B be an ℓ -subgroup of $T(k)$. Assume that B is stable under C , and let A be the semi-direct product $A = B.C$. If we make B act on the variety T by translations, we get an action of A , which is faithful. This gives an embedding of A in $\text{Aut}(k(T))$, where $k(T)$ is the function field of T . By a

theorem of Voskresinskii (see [Vo 98, §4.9]) $k(T)$ is isomorphic to $K = k(X, Y)$. We thus get an embedding of A in $\text{Cr}(k)$. Note that B is *toral*, i.e. is contained in the k -rational points of a maximal torus of Cr .

It remains to explain how to choose T , B and C . We shall define T by giving the action of $\Gamma_k = \text{Gal}(k_s/k)$ on its character group; this amounts to giving an homomorphism $\Gamma_k \rightarrow \mathbf{GL}_2(\mathbf{Z})$.

3.2.1 The case $\ell = 2$

Let n be an integer $\leq m$. If $z(n)$ is a primitive 2^n -root of unity, k contains $z(n) + z(n)^{-1}$. The field extension $k(z(n))/k$ has degree 1 or 2, hence defines a character $\Gamma_k \rightarrow 1, -1$. Let T_1 be the 1-dimensional torus associated with this character. If $k(z(n)) = k$, T_1 is the split torus \mathbf{G}_m and we have $T_1(k) = k^*$. If $k(z(n))$ is quadratic over k , $T_1(k)$ is the subgroup of $k(z(n))^*$ made up of the elements of norm 1. In both cases, $T_1(k)$ contains $z(n)$. We now take for T the torus $T_1 \times T_1$ and for B the subgroup of elements of T of order dividing 2^n . We have $v_2(B) = 2n$. We take for C the group of automorphisms generated by $(x, y) \mapsto (x^{-1}, y)$ and $(x, y) \mapsto (y, x)$; the group C is isomorphic to the dihedral group D_4 ; its order is 8. We then have $v_2(A) = v_2(B) + v_2(C) = 2n + 3$, as wanted.

(Alternate construction : the group $\text{Cr}_1(k) = \mathbf{PGL}_2(k)$ contains a dihedral subgroup D of order 2^{n+1} ; by using the natural embedding of $(\text{Cr}_1(k) \times \text{Cr}_1(k)).2$ in $\text{Cr}(k)$ we obtain a subgroup of $\text{Cr}(k)$ isomorphic to $(D \times D).2$, hence of order 2^{2n+3} .)

3.2.2 The case $\ell > 2$

We start similarly with an integer $n \leq m$. We may assume that the invariant t is equal to 1, 2, 3, 4 or 6; if not we could take $A = 1$. Call C_t the Galois group of $k(z)/k$, cf.§1. It is a cyclic group of order t . Choose an embedding of C_t in $\mathbf{GL}_2(\mathbf{Z})$, with the condition that, if $t = 2$, then the image of C_t is $\{1, -1\}$. The composition map

$$r : \Gamma_k \rightarrow \text{Gal}(k(z)/k) = C_t \rightarrow \mathbf{GL}_2(\mathbf{Z})$$

defines a 2-dimensional torus T .

The group B is the subgroup $T(k)[l^n]$ of $T(k)$ made up of elements of order dividing l^n . We take C equal to 1, except when $l = 3$ where we choose it of order 3 (this is possible since $t = 1$ or 2 for $l = 3$, and the group of k -automorphisms of T is isomorphic to $\mathbf{GL}_2(\mathbf{Z})$). We thus have :

$$v_\ell(A) = v_\ell(B) \text{ if } \ell > 3 \text{ and } v_\ell(A) = 1 + v_\ell(B) \text{ if } \ell = 3.$$

It remains to estimate $v_\ell(B)$. Namely :

$$(3.2.3) \quad v_\ell(B) = 2n \text{ if } t = 1 \text{ or } 2$$

This is clear if $t = 1$ because in that case T is a split torus of dimension 2, and k contains $z(n)$.

If $t = 2$, then $T = T_1 \times T_1$, where T_1 is associated with the quadratic character $\Gamma_k \rightarrow \text{Gal}(k(z)/k)$. We may identify $T_1(k)$ with the elements of norm 1 of $k(z)$, and this shows that $z(n)$ is an element of $T_1(k)$ of order 2^n . We thus get $v_\ell(B) = 2n$.

$$(3.2.4) \quad v_\ell(|B|) \geq n \quad \text{if } t = 3, 4 \text{ or } 6$$

We use the description of T given in [Se 07, §5.3] : let L be the field $k(z)$. It is a cyclic extension of k of degree t . Let s be a generator of $C_t = \text{Gal}(L/k)$. Let $T_L = R_{L/k}(\mathbf{G}_m)$ be the torus ‘multiplicative group of L ’; we have $\dim T_L = t$, and s acts on T_L . We have $s^t - 1 = 0$ in $\text{End}(T_L)$. Let $F(X)$ be the cyclotomic polynomial of index t , i.e.

$$\begin{aligned} F(X) &= X^2 + X + 1 & \text{if } t = 3 \\ F(X) &= X^2 + 1 & \text{if } t = 4 \\ F(X) &= X^2 - X + 1 & \text{if } t = 6. \end{aligned}$$

This polynomial divides $X^t - 1$; let $G(X)$ be the quotient $(X^t - 1)/F(X)$, and let u be the endomorphism of T_1 defined by $u = G(s)$. One checks (loc.cit.) that the image T of $u : T_1 \rightarrow T_1$ is a 2-dimensional torus, and s defines an automorphism s_T of T of order t , satisfying the equation $F(s_T) = 0$. This shows that T is the same as the torus also called T above. Moreover, it is easy to check that the element $z(n)$ of $T_1(k)$ is sent by u into an element of $T(k)$ of order l^n . This shows that $v_\ell(B) \geq n$.

[When $t = 3$, we could have defined T as the kernel of the norm map $N : T_1 \rightarrow \mathbf{G}_m$. There is a similar definition for $t = 4$, but the case $t = 6$ is less easy to describe concretely.]

This concludes the proof of the ‘existence part’ of Th.2.1.

§4 Proof of Theorem 2.1.(i)

4.1 Generalization

In Th.2.1.(i), the hypothesis made on the ℓ -group A is that it is contained in $\text{Cr}(k)$. This is equivalent to saying that A is contained in $\text{Aut}(S)$, where S is a k -rational surface, cf. e.g. [DI 07, Lemma 6]. We now want to relax this hypothesis : we will merely assume that S is a surface which is ‘geometrically rational’, i.e. becomes rational over \bar{k} ; for instance S can be any smooth cubic surface in \mathbf{P}_3 . In other words, we will be interested in field extensions L of k with the property :

$$(4.1.1) \quad \bar{k} \otimes L \text{ is } \bar{k}\text{-isomorphic to } \bar{k}(X, Y).$$

We shall say that a group A has ‘property Cr_k ’ if it can be embedded in $\text{Aut}(L)$, for some L having property (4.1.1). The bound given in Th.2.1.(i) is valid for such groups. More precisely :

Theorem 4.1. *If a finite ℓ -group A has property Cr_k , then $v_\ell(A) \leq M(k, \ell)$, where $M(k, \ell)$ is as in §2.1.*

This is what we shall prove. Note that we may assume that k is perfect since replacing k by its perfect closure does not change the invariants t, m and $M(k, l)$.

[As mentioned in §2.7, we could also assume that k is finite, or, if we preferred to, that $\text{char}(k) = 0$. Unfortunately, none of these reductions is really helpful.]

4.2 Reduction to special cases

We start from an ℓ -group A having property Cr_k . As explained above, this means that we can embed A in $\text{Aut}(S)$, where S is a smooth projective k -surface, which is geometrically rational. Now, the basic tool is the “minimal model theorem” (proved in [DI 07, §2]) which allows us to assume that S is of one of the following two types :

a) (*conic bundle case*) There is a morphism $f : S \rightarrow C$, where C is a smooth genus zero curve, such that the generic fiber of f is a smooth curve of genus 0. Moreover, A acts on C and f is compatible with that action.

b) (*del Pezzo*) S is a del Pezzo surface, i.e. its anticanonical class $-K_S$ is ample.

In case b), the degree $\text{deg}(S)$ is defined as $K_S.K_S$ (self-intersection); one has $1 \leq \text{deg}(S) \leq 9$.

We shall look successively at these different cases. In the second case, we shall use without further reference the standard properties of the del Pezzo surfaces; one can find them for instance in [De 80], [Do 07], [DI 07], [Ko 96], [Ma 66] and [Ma 86].

Remark. In some of these references, the ground field is assumed to be of characteristic 0, but there is very little difference in characteristic $p > 0$; moreover, as pointed out above, the characteristic 0 case implies the characteristic p case, thanks to the fact that $|A|$ is prime to $\text{char}(k)$.

4.3 The conic bundle case

Let $f : S \rightarrow C$ be as in a) above, and let A_o be the subgroup of $\text{Aut}(C)$ given by the action of A on C . The group $\text{Aut}(C)$ is a k -form of \mathbf{PGL}_2 . By using (for instance) [Se 07, Th.5] we get :

$$v_\ell(A_o) \leq \begin{cases} m+1 & \text{if } l=2, \\ m & \text{if } l>2 \text{ and } t=1 \text{ or } 2, \\ 0 & \text{if } t>2. \end{cases}$$

Let B be the kernel of $A \rightarrow A_o$. The group B is a subgroup of the group of automorphisms of the generic fiber of f . This fiber is a genus 0 curve over the function field k_C of C . Since k_C is a regular extension of k , the t and m invariants of k_C are the same as those of k . We then get for $v_\ell(B)$ the same bounds as for $v_\ell(A_o)$, and by adding up this gives :

$$v_\ell(A) \leq \begin{cases} 2m+2 & \text{if } \ell = 2 \\ 2m & \text{if } \ell > 2 \text{ and } t = 1 \text{ or } 2 \\ 0 & \text{if } t > 2. \end{cases}$$

In each case, this gives a bound which is at most equal to the number $M(k, \ell)$ defined in §2.1.

4.4 The del Pezzo case : degree 9

Here S is \bar{k} -isomorphic to the projective plane \mathbf{P}_2 ; in other words, S is a Severi-Brauer variety of dimension 2. The group $\text{Aut } S$ is an inner k -form of \mathbf{PGL}_3 . By using [Se 07, §6.2] one finds :

$$v_\ell(A) \leq \begin{cases} 2m+1 & \text{if } \ell = 2 \\ 2m+1 & \text{if } \ell = 3, t = 1 \\ \leq m+1 & \text{if } \ell = 3, t = 2 \\ \leq 2m & \text{if } \ell > 3, t = 1 \\ \leq m & \text{if } \ell > 3, t = 2 \text{ or } 3 \\ = 0 & \text{if } t > 3. \end{cases}$$

Here again, these bounds are $\leq M(k, \ell)$.

4.5 The del Pezzo case : degree 8

This case splits into two subcases :

a) S is the blow up of \mathbf{P}_2 at one rational point. In that case A acts faithfully on \mathbf{P}_2 and we apply 4.4.

b) S is a smooth quadric of \mathbf{P}_3 . The connected component $\text{Aut}^o(S)$ of $\text{Aut}(S)$ has index 2. It is a k -form of $\mathbf{PGL}_2 \times \mathbf{PGL}_2$. If we denote by A_o the intersection of A with $\text{Aut}^o(S)$, we obtain, by [Se 07, Th.5], the bounds :

$$v_\ell(A_o) \leq \begin{cases} 2m+2 & \text{if } \ell = 2 \\ 2m & \text{if } \ell > 2 \text{ and } t = 1 \text{ or } 2 \\ m & \text{if } t = 3, 4 \text{ or } 6 \\ 0 & \text{if } t = 5 \text{ or } t > 6. \end{cases}$$

Since $v_\ell(A) = v_\ell(A_o)$ if $\ell > 2$ and $v_\ell(A) \leq v_\ell(A_o) + 1$ if $\ell = 2$, we obtain a bound for $v_\ell(A)$ which is $\leq M(k, \ell)$.

Remarks. 1) Note the case $\ell = 2$, where the $M(k, \ell)$ bound $2m + 3$ can be attained.

2) In the case $t = 6$, the bound $v_\ell(A_o) \leq m$ given above can be replaced by $v_\ell(A_o) = 0$, but this is not important for what we are doing here.

4.6 The del Pezzo case : degree 7

This is a trivial case ; there are 3 exceptional curves on S (over \bar{k}), and only one of them meets the other two. It is thus stable under A , and by blowing it down, one is reduced to the degree 8 case. [This case does not occur if one insists, as in [DI 08], that the rank of $\text{Pic}(S)^A$ be equal to 1.]

4.7 The del Pezzo case : degree 6

Here the surface S has 6 exceptional curves (over \bar{k}), and the corresponding graph L is an hexagon. There is a natural homomorphism

$$g : \text{Aut}(S) \rightarrow \text{Aut}(L)$$

and its kernel T is a 2-dimensional torus. Put $A_o = A \cap T(k)$. The index of A_o in A is a divisor of 12. By [Se 07, Th.4], we have

$$v_\ell(A_o) \leq \begin{cases} 2m & \text{if } t = 1 \text{ or } 2 & \text{(i.e. if } \varphi(t) = 1) \\ m & \text{if } t = 3, 4 \text{ or } 6 & \text{(i.e. if } \varphi(t) = 2) \\ 0 & \text{if } t = 5 \text{ or } t > 6. \end{cases}$$

Hence :

$$v_\ell(A) \leq \begin{cases} 2m + 2 & \text{if } \ell = 2 \\ 2m + 1 & \text{if } \ell = 3 \\ 2m & \text{if } \ell > 3 \text{ and } t = 1 \text{ or } 2 \\ m & \text{if } t = 3, 4 \text{ or } 6 \\ 0 & \text{if } t = 5 \text{ or } t > 6. \end{cases}$$

These bounds are $\leq M(k, \ell)$.

Remarks. 1) Note the case $t = 6$, where the bound m can actually be attained.

2) In the case $t = 4$, the bound $v_\ell(A) \leq m$ given above can be replaced by $v_\ell(A) = 0$.

4.8 The del Pezzo case : degree 5

As above, let L be the graph of the exceptional curves of S . Since $\deg(S) \leq 5$, the natural map $\text{Aut}(S) \rightarrow \text{Aut}(L)$ is injective. We can thus identify A with its image A_L in $\text{Aut}(L)$. In the case $\deg(S) = 5$, $\text{Aut}(L)$ is isomorphic to the symmetric group S_5 . In particular we have

$$v_\ell(A) \leq \begin{cases} 3 & \text{if } \ell = 2 \\ 1 & \text{if } \ell = 3 \text{ or } 5 \\ 0 & \text{if } \ell > 5, \end{cases}$$

and we conclude as before.

4.9 The del Pezzo case : degree 4

This case is similar to the preceding one. Here $\text{Aut}(L)$ is isomorphic to the group $2^4.S_5 = \text{Weyl}(D_5)$; its order is $2^7.3.5$. We get the same bounds as above, except for $\ell = 2$ where we find $v_\ell(A) \leq 7$, which is $\leq M(k, 2)$ [recall that $M(k, 2) = 2m + 3$ and that $m \geq 2$ for $\ell = 2$].

4.10 The del Pezzo case : degree 3

Here S is a smooth cubic surface, and A embeds in $\text{Weyl}(E_6)$, a group of order $2^7.3^4.5$. This gives a bound for $v_\ell(A)$ which gives what we want, except when $\ell = 3$. In the case $\ell = 3$, it gives $v_\ell(A) \leq 4$, but *Th.2.1* claims $v_\ell(A) \leq 3$ unless k contains a primitive cubic root of unity. We thus have to prove the following lemma :

Lemma 4.2 - *Assume that $|A| = 3^4$, that A acts faithfully on a smooth cubic surface S over k , and that $\text{char}(k) \neq 3$. Then k contains a primitive cubic root of unity.*

Proof. The structure of A is known since A is isomorphic to a 3-Sylow subgroup of $\text{Weyl}(E_6)$. In particular the center $Z(A)$ of A is cyclic of order 3 and is contained in the commutator group of A . Since A acts on S , it acts on the sections of the anticanonical sheaf of S ; we get in this way a faithful linear representation $r : A \rightarrow \mathbf{GL}_4(k)$. Over \bar{k} , r splits as $r = r_1 + r_3$ where r_1 is 1-dimensional and r_3 is irreducible and 3-dimensional. If z is a non trivial element of $Z(A)$, the eigenvalues of z are $\{1, r, r, r\}$ where r is a primitive third root of unity. This shows that r belongs to k .

4.11 The del Pezzo case : degree 2

Here A embeds in $\text{Weyl}(E_7)$, a group of order $2^{10}.3^4.5.7$. This gives a bound for $v(A)$, but this bound is not good enough. However, the surface S is a 2-sheeted covering of \mathbf{P}_2 (the map $S \rightarrow \mathbf{P}_2$ being the anticanonical map) and we get a homomorphism $g : A \rightarrow \mathbf{PGL}_3(k)$ whose kernel has order 1 or 2. We then find the same bounds for $v_\ell(A)$ as in §4.2, except that, for $\ell = 2$, the bound is $2m + 2$ instead of $2m + 1$.

4.12 The del Pezzo case : degree 1

We use the linear series $|-2K_S|$. It gives a map $g : S \rightarrow \mathbf{P}_3$ whose image is a quadratic cone Q , cf. e.g. [De 80, p.68]. This realizes S as a quadratic covering of Q . If B denotes the automorphism group of Q defined by A , we have $v_\ell(A) = v_\ell(B)$ if $\ell > 2$ and $v_\ell(A) \leq v_\ell(B) + 1$ if $\ell = 2$. But B is isomorphic to a subgroup of $k^* \times \text{Aut}(C)$, where C is a curve of genus 0. This implies

$$v_\ell(B) \leq \begin{cases} m + m + 1 & \text{if } \ell = 2 \\ m + m & \text{if } t = 1 \\ 0 + m & \text{if } t = 2, \ell > 2 \\ 0 + 0 & \text{if } t > 2. \end{cases}$$

The corresponding bound for $v_\ell(A)$ is $\leq M(k, \ell)$.

This concludes the proof of Th.4.1 and hence of Th.2.1.

§5 Structure and conjugacy properties of ℓ -subgroups of $\text{Cr}(k)$

5.1 The ℓ -subgroups of $\text{Cr}(k)$

The main theorem (Th.2.1) only gives information on the order of an ℓ -subgroup A of $\text{Cr}(k)$, assuming as usual that $\ell \neq \text{char}(k)$. As for the structure of A , we have :

Theorem 5.1. (i) *If $\ell > 3$, A is abelian of rank ≤ 2 (i.e. can be generated by two elements).*

(ii). *If $\ell = 3$ (resp. $\ell = 2$) A contains an abelian normal subgroup of rank ≤ 2 with index ≤ 3 (resp. with index ≤ 8).*

Proof. Most of this is a consequence of the results of [DI 07]; see also [Bl 06] and [Be07]. The only case which does not seem to be explicitly in [DI 07] is the case $\ell = 2$, when A is contained in $\text{Aut}(S)$, where S is a conic bundle. Suppose we are in that case and let $f : S \rightarrow C$ and A_o, B be as in 4.3, so that we have an exact sequence $1 \rightarrow B \rightarrow A \rightarrow A_o \rightarrow 1$, with $A_o \subset \text{Aut}(C)$, and $B \subset \text{Aut}(F)$ where F is the generic fiber of f (which is a genus zero curve over the function field $k(C)$ of C). We use the following lemma :

Lemma 5.2. *Let $a \in A$ and $b \in B$ be such that a normalizes the cyclic group $\langle b \rangle$ generated by b . Then aba^{-1} is equal to b or to b^{-1} .*

Proof of the lemma. Let n be the order of b . If $n = 1$ or 2 , there is nothing to prove. Assume $n > 2$. By extending scalars, we may also assume that k contains the primitive n -th roots of unity. Since b is an automorphism of F of order n , it fixes two rational points of F which one can distinguish by the eigenvalue of b on their tangent space : one of them gives a primitive n -th root of unity z , and the other one gives $z' = z^{-1}$. [Equivalently, b fixes two sections of $f : S \rightarrow C$.] The pair (z, z') is canonically associated with b . Hence the pair associated with aba^{-1} is also (z, z') . On the other hand, if $aba^{-1} = b^i$ with $i \in \mathbf{Z}/n\mathbf{Z}$, then the pair associated to a^i is (z^i, z'^i) . This shows that z^i is equal to either z or z^{-1} , hence $i \equiv 1$ or $-1 \pmod{n}$. The result follows.

End of the proof of Theorem 5.1 in the case $\ell = 2$. Since B is a finite 2-subgroup of a $k(C)$ -form of \mathbf{PGL}_2 , it is either cyclic or dihedral. In both cases, it contains a characteristic subgroup B_1 of index 1 or 2 which is cyclic. Similarly, A has a cyclic subgroup A_1 which is of index 1 or 2. Let $a \in A$ be such that its image in A_o generates A_1 . If b is a generator of B_1 , Lemma 5.2 shows that a^2 commutes with b . Let $\langle b, a^2 \rangle$ be the abelian subgroup of A generated by b and a^2 . It is normal in A , and the inclusions $\langle b, a^2 \rangle \subset \langle b, a \rangle \subset B \cdot \langle a \rangle \subset A$ show that its index in A is at most 8.

Remark. Similar arguments can be applied to prove a Jordan-style result on the finite subgroups of $\mathrm{Cr}(k)$, namely :

Theorem 5.3. *There exists an integer $J > 1$, independent of the field k , such that every finite subgroup G of $\mathrm{Cr}(k)$, of order prime to $\mathrm{char}(k)$, contains an abelian normal subgroup A of rank ≤ 2 , whose index in G divides J .*

The proof follows the same pattern : the conic bundle case is handled via Lemma 5.2 and the del Pezzo case via the fact that G has a subgroup of bounded index which is contained in a reductive group of rank ≤ 2 , so that one can apply the usual form of Jordan's theorem to that group. As for the value of J , a crude computation shows that one can take $J = 2^{10} \cdot 3^4 \cdot 5^2 \cdot 7$; the exponents of 2 and 3 can be somewhat lowered, but those of 5 and 7 cannot since $\mathrm{Cr}(\mathbf{C})$ contains $A_5 \times A_5$ and $\mathbf{PSL}_2(\mathbf{F}_7)$.

5.2 The cases $t = 3, 4, 6$

More precise results on the structure of A depend on the value of the invariant $t = t(k, \ell)$. Recall that $t = 1, 2, 3, 4$ or 6 if $A \neq 1$, cf. Cor.2.2. We shall only consider the cases $t = 3, 4$ or 6 which are the easiest. See [DI 08, §4] for a (more difficult) conjugation theorem which applies when $t = 1$ or 2 . Recall (cf. §3.2) that A is said to be *toral* if there exists a 2-dimensional subtorus T of Cr (in the sense of [De 70]) such that A is contained in $T(k)$. We have :

Theorem 5.4. *Assume that $t = 3, 4$ or 6 . Then :*

- (a) *A is cyclic of order ℓ^n with $n \leq m$.*
- (b) *A is toral, except possibly if $|A| = 5$.*
- (c) *If A' is a subgroup of $\mathrm{Cr}(k)$ of the same order as A , then A' is conjugate to A in $\mathrm{Cr}(k)$, except possibly if $|A| = 5$.*

Note that the hypothesis $t = 3, 4$ or 6 implies $\ell \geq 5$. Moreover, if $\ell = 5$, then $t = 4$ and, if $\ell = 7$, then $t = 3$ or 6 .

Proof of (a) and (b). We follow the same method as above, i.e. we view A as a subgroup of $\mathrm{Aut}(S)$, where S is either a conic bundle or a del Pezzo surface. The bounds given in §4.3 show that $A = 1$ if S is a conic bundle (this is why this case is easier than the case $t = 1$ or 2). Hence we may assume that S is a del Pezzo surface. Let d be its degree. We have an exact sequence :

$$1 \rightarrow G(k) \rightarrow \mathrm{Aut}(S) \rightarrow E \rightarrow 1,$$

where $G = \text{Aut}(S)^\circ$ is a connected linear group of rank ≤ 2 and E is a subgroup of a Weyl group W depending on d (e.g. $W = \text{Weyl}(E_8)$ if $d = 1$).

Consider first the case $\ell > 7$. The order of W is not divisible by ℓ ; hence A is contained in $G(k)$. Since A is commutative, there exists a maximal torus T of G such that A is contained in the normalizer N of T , cf. e.g. [Se 07, §3.3]; since $\ell > 3$, the order of N/T is prime to ℓ , hence A is contained in $T(k)$ and this implies $\dim(T) \geq 2$ by [Se 07, §4.1]. This proves (b), and (a) follows from Lemma 5.5 below.

Suppose now that $\ell = 5$ or 7 , and let $n = v_\ell(A)$. If $n = 1$ and $\ell = 5$, there is nothing to prove. If $n = 1$ and $\ell = 7$, then (a) is obvious and (b) is proved in [DI 08, prop.3] (indeed Dolgachev and Iskovskikh prove (b) when $v_\ell(A) = 1$, and they also prove (c) for $\ell = 7$). We may thus assume that $n > 1$. If $d \leq 5$, then $G = 1$ and A embeds in E ; but E does not contain any subgroup of order ℓ^2 (see the tables in [DI 07] and [Bl 06]); hence this case does not occur. If $d > 5$, then the order of E is prime to ℓ , hence A is contained in $G(k)$ and the proof above applies.

Proof of (c). By (b), we have $A \subset T(k)$ and $A' \subset T'(k)$ where T and T' are 2-dimensional subtori of Cr . By Lemma 5.5 below, these tori are isomorphic; by a standard argument (see e.g. [De 70, §6] this implies that T and T' are conjugate by an element of $\text{Cr}(k)$; moreover A (resp. A') is the unique subgroup of order ℓ^n of $T(k)$ (resp. of $T'(k)$). Hence A and A' are conjugate in $\text{Cr}(k)$.

Remark. The case $|A| = 5$ is indeed exceptional: there are examples of such A 's which are not toral, cf. [Be 07], [Bl 06], [DI 07].

5.3 A uniqueness result for 2-dimensional tori

We keep the assumption that $t = 3, 4$ or 6 . We have seen in §3.2.2 that there exists a 2-dimensional k -torus T such that $T(k)$ contains an element of order ℓ .

Lemma 5.5. (a) *Such a torus is unique, up to k -isomorphism.*

(b) *If $n \leq m = m(k, \ell)$, then $T(k)[\ell^n]$ is cyclic of order ℓ^n .*

Proof of (a). Let $L = \text{Hom}_{k_s}(\mathbf{G}_m, T)$ be the group of cocharacters of T . It is a free \mathbf{Z} -module of rank 2, with an action of $\Gamma_k = \text{Gal}(k_s/k)$. If we identify L with \mathbf{Z}^2 , this action gives a homomorphism $r : \Gamma_k \rightarrow \mathbf{GL}_2(\mathbf{Z})$ which is well defined up to conjugation. Let G be the image of r . Since G is a finite subgroup of $\mathbf{GL}_2(\mathbf{Z})$, its order divides 24, and hence is prime to ℓ .

The Γ_k -module $T(k_s)[\ell]$ of the ℓ -division points of $T(k_s)$ is canonically isomorphic to $L/\ell L \otimes \mu_\ell$, where μ_ℓ is the group of ℓ -th roots of unity in k_s . This means that $L/\ell L$ contains a rank-1 submodule I which is isomorphic to the dual μ_ℓ^* of μ_ℓ . The action of G on $L/\ell L$ is semisimple since $|G|$ is prime to ℓ . Hence there exists a rank-1 submodule J of $L/\ell L$ such that $L/\ell L = I \oplus J$. By a well-known lemma of Minkowski (see e.g. [Se 07, Lemma 1]), the action of G on $L/\ell L$ is faithful. This shows that G is commutative. Moreover, the character giving the action of Γ_k on I has an image which is cyclic of order t . Since $t = 3, 4$

or 6, this shows that G contains an element of order 3 or 4. One checks that these properties imply $G \subset \mathbf{SL}_2(\mathbf{Z})$ i.e. $\det(r) = 1$, hence the Γ_k -modules I and J are dual of each other, i.e. $J \simeq \mu_\ell$. We thus have $L/\ell L \simeq \mu_\ell \oplus \mu_\ell^*$. We may then identify r with the homomorphism $\Gamma_k \rightarrow C_t \rightarrow \mathbf{GL}_2(\mathbf{Z})$, where C_t is the Galois group of $k(\mu_\ell/k)$ and $C_t \rightarrow \mathbf{GL}_2(\mathbf{Z})$ is an inclusion. Since any two such inclusions only differ by an inner automorphism of $\mathbf{GL}_2(\mathbf{Z})$, this shows that the Γ_k -module L is unique, up to isomorphism; hence the same is true for T .

Proof of (b). Assertion (b) follows from the description of T given in §3.2.2. It can also be checked by writing explicitly the Γ_k -module $L/\ell^n L$; when $n \leq m$ this module is isomorphic to the direct sum of μ_{ℓ^n} and its dual.

Remarks.

1). If $n > m$ we have $T(k)[\ell^n] = T(k)[\ell^m]$. This can be seen, either by a direct computation of ℓ -adic representations, or by looking at §3.2.2

2) When $t = 1$ or 2 , it is natural to ask for a 2-dimensional torus T such that $T(k)$ contains $\mathbf{Z}/\ell\mathbf{Z} \oplus \mathbf{Z}/\ell\mathbf{Z}$. Such a torus exists, as we have seen in §3.2. If $\ell > 2$, it is unique, up to isomorphism. There is a similar result for $\ell = 2$, if one asks not merely that $T(k)$ contains $\mathbf{Z}/2\mathbf{Z} \times \mathbf{Z}/2\mathbf{Z}$ but that it contains $\mathbf{Z}/4\mathbf{Z} \times \mathbf{Z}/4\mathbf{Z}$.

§6 The Cremona groups of rank > 2

For any $r > 0$ the Cremona group $\text{Cr}_r(k)$ of rank r is defined as the group $\text{Aut}_k k(T_1, \dots, T_r)$ where (T_1, \dots, T_r) are r indeterminates. When $r > 2$ not much seems to be known on the finite subgroups of $\text{Cr}_r(k)$, even in the classical case $k = \mathbf{C}$. For instance :

6.0. *Does there exist a finite group which is not embeddable in $\text{Cr}_3(\mathbf{C})$?*

This looks very likely, but I do not see how to prove it. Still, it is natural to ask for much more, e.g. :

6.1 (Jordan bound, cf. Th.5.5). *Does there exist an integer $N(r) > 0$, depending only on r , such that, for every finite subgroup G of $\text{Cr}_r(k)$ of order prime to $\text{char}(k)$, there exists an abelian normal subgroup A of G , of rank $\leq r$, whose index divides $N(r)$?*

Note that this would imply that, for ℓ large enough (depending on r), every finite ℓ -subgroup of $\text{Cr}_r(k)$ is abelian of rank $\leq r$.

6.2 (cf. [Se 07, §6.9]). *Is it true that $r \geq \varphi(t)$ if $\text{Cr}_r(k)$ contains an element of order ℓ ?*

6.3. *Let $G \subset \text{Cr}_r(k)$ be as in 6.1, and assume that k is small (cf. §2.3). Is it true that $|G|$ is bounded by a constant depending only on r and k ?*

If the answer to 6.3 is “yes” we may define $M_r(k)$ as the l.c.m. of all such $|G|$'s, and ask for an estimate of $M_r(k)$. For instance, in the case $r = 3$:

6.4. *Is it true that $M_3(k)$ is equal to $M_1(k).M_2(k)$?*

If k is finite with q elements, this means (cf. §2.5) :

6.5. Is it true that

$$M_3(k) = \begin{cases} 3 \cdot (q^2 - 1)(q^4 - 1)(q^6 - 1) & \text{if } q \equiv 4 \text{ or } 7 \pmod{9} \\ (q^2 - 1)(q^4 - 1)(q^6 - 1) & \text{otherwise ?} \end{cases}$$

For larger r 's the polynomial $(X^2 - 1)(X^4 - 1)(X^6 - 1)$ of 6.5 should be replaced by the polynomial $P_r(X)$ defined by the formula

$$P_r(X) = \prod_d \Phi_d(X)^{\lfloor r/\varphi(d) \rfloor},$$

where $\Phi_d(X)$ is the d -th cyclotomic polynomial ($\Phi_1(X) = X - 1$, $\Phi_2(X) = X + 1$, $\Phi_3(X) = X^2 + X + 1$, $\Phi_4(X) = X^2 + 1$, ...).

Examples. $P_4(X) = (X^6 - 1)(X^8 - 1)(X^{10} - 1)(X^{12} - 1)$; $P_5(X) = (X^2 - 1)P_4(X)$.

With this notation, the natural question to ask seems to be :

6.6. Is it true that there exists an integer $c(r) > 0$ such that $M_r(\mathbf{F}_q)$ divides $c(r) \cdot P_r(q)$ for every q ?

Unfortunately, I do not see any way to attack these questions; the method used for rank 2 is based on the very explicit knowledge of the “minimal models”, and this is not available for higher ranks. Other methods are needed.

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