

The arithmetic fundamental lemma for the diagonal cycles

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Part I

Arithmetic GGP conjecture

“Local-to-Global principle”

Let E be elliptic curve over \mathbb{Q} . B-SD conjecture:

$$\prod_{p < x} \frac{\#E(\mathbb{F}_p)}{p} \rightarrow \infty \implies \#E(\mathbb{Q}) = \infty.$$

[comp.

$$\sum_{p < x} \frac{\# \text{“Sym}^n E”}(\mathbb{F}_p)}{p^{n/2}} \sim \begin{cases} x/\log x, & n = 0 \\ o(x/\log x), & n \geq 1. \end{cases}$$

implies the Sato–Tate conjecture on the distribution of Frobenius eigenvalues.]

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Higher dim case: Hasse–Weil L-functions and Chow groups

Let X/\mathbb{Q} be a smooth projective variety of **odd** dimension $2m - 1$. For good primes p ,

$$\zeta_{X,p}(s) = \exp \left(\sum_{k \geq 1} \frac{\#X(\mathbb{F}_{p^k})}{k p^{ks}} \right),$$

Hasse–Weil zeta & L-functions

$$\begin{aligned} \zeta_X(s) &= \prod_{p, \text{ good}} \zeta_{X,p}(s) \\ &= \prod_{i=0}^{2 \dim X} L(s, H^i(X))^{(-1)^i}. \end{aligned}$$

Higher dim case: Hasse–Weil L-functions and Chow groups

Let

$$\mathrm{Ch}^*(X)_0 \subset \mathrm{Ch}^*(X)_{\mathbb{Q}}$$

be the Chow group of homological trivial cycles and Chow group, resp..

Conjecture (B-SD, Beilinson, Bloch)

$$\mathrm{ord}_{s=\mathrm{center}} L(s, H^{2m-1}(X)) = \dim \mathrm{Ch}^m(X)_0$$

This is may be viewed as a “Local-to-Global principle” for $\mathrm{Ch}(X)_0$.

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A modest goal motivated by the Gross–Zagier formula

For X whose L-functions are known to be analytic, we hope to show

$$\text{“ord}_{s=\text{center}} L(s, H^{\text{mid}}(X)) = 1 \implies \dim \text{Ch}^m(X)_0 \neq 0.”$$

For a Shimura datum (G, \mathcal{D}_G) , the cohomology of the Shimura variety $X = \text{Sh}_K(G, \mathcal{D}_G)$ is expected to be

$$H^*(X) = \bigoplus_{\substack{\pi \\ \text{generic}}} \pi^K \otimes \rho_\pi \bigoplus \{\text{others}\},$$

The modest goal is to show a result of the following type

$$\text{“ord}_{s=\text{center}} L(s, \pi) = 1 \implies \dim \text{Ch}^m(X)_0[\pi] \neq 0”.$$

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Special subvarieties

A *special pair* of Shimura data is a homomorphism

$$(H, \mathcal{D}_H) \longrightarrow (G, \mathcal{D}_G)$$

such that

- 1 the pair (H, G) is *spherical*, and
- 2 the dimensions (as complex manifolds) satisfy

$$\dim_{\mathbb{C}} \mathcal{D}_H = \frac{\dim_{\mathbb{C}} \mathcal{D}_G - 1}{2}.$$

Example (Gross–Zagier pair)

Let $K = \mathbb{Q}[\sqrt{-D}]$ be an imaginary quadratic field. Let

$$H = R_{K/\mathbb{Q}} \mathbb{G}_m \subset G = \mathrm{GL}_{2,\mathbb{Q}}.$$

Then $\dim \mathcal{D}_G = 1, \dim \mathcal{D}_H = 0$.

Some more examples (over \mathbb{R})

1 Gan–Gross–Prasad pairs

	$G_{\mathbb{R}}$	$H_{\mathbb{R}}$
unitary groups	$U(1, n - 2) \times U(1, n - 1)$	$U(1, n - 2)$
orthogonal groups	$SO(2, n - 2) \times SO(2, n - 1)$	$SO(2, n - 2)$

2 Symmetric pairs

	$G_{\mathbb{R}}$	$H_{\mathbb{R}}$
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Arithmetic diagonal cycles

- For the *unitary* GGP pair (H, G) , we obtain the *arithmetic diagonal cycle*

$$\mathrm{Sh}_H \longrightarrow \mathrm{Sh}_G ,$$

(for certain level subgroups K_H, K_G).

- **Arithmetic GGP conjecture:** for generic π ,

$$\mathrm{ord}_{s=1/2} L(\pi, s) = 1 \implies [\mathrm{Sh}_H]_\pi \neq 0 \in \mathrm{Ch}(X)_0.$$

- $n = 2, \dim \mathrm{Sh}_G = 1$: Gross–Zagier, S. Zhang, Yuan–Zhang–Zhang.
- Exceptional example: Liu’s special cycles (for GGP $U(n) \times U(n)$).

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Part II

Main theorem

Global intersection numbers

- \exists a *PEL*-type variant of the GGP Shimura varieties, with *nice* integral models defined by moduli space [Rapoport–Smithling–Z. '17], to be recalled later.
- Define through the arithmetic intersection theory

$$\mathrm{Int}(f) = \left(f * [\mathrm{Sh}_H], [\mathrm{Sh}_H] \right)_{\mathrm{Sh}_G}, \quad f \in \mathcal{H}(G, K_G),$$

where the action is through the Hecke correspondence.

- For *regular* Hecke f , the global intersection localizes:

$$\mathrm{Int}(f) = \sum_{p \leq \infty} \mathrm{Int}_p(f).$$

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L-functions (via Jacquet–Rallis Relative trace formula)

- Consider the Hasse-Weil L-functions, counted with suitable weights

$$\mathbb{J}(f, s) = \sum_{\pi} L(\pi, s + 1/2) \mathbb{J}_{\pi}(f, s).$$

- Its derivative also localizes (for regular f)

$$\begin{aligned} \partial \mathbb{J}(f) &:= \left. \frac{d}{ds} \right|_{s=0} \mathbb{J}(f, s) \\ &= \sum_{p, \text{ non-split}} \partial \mathbb{J}_p(f). \end{aligned}$$

- The p -th term takes the following form

$$\partial \mathbb{J}_p(f) = \sum_{\gamma} \text{Orb}(\gamma, f^p) \partial \text{Orb}(\gamma, f_p).$$

Main theorem

Theorem (Z. '19)

If the prime p is unramified, then

$$\mathrm{Int}_p(f) = \partial \mathbb{J}_p(f).$$

Remark

- 1 This was conjectured by [Z. '12, Rapoport–Smithling–Z. 17'], based on the relative trace formula approach to the arithmetic GGP conjecture, and is a corollary to the “AFL conjecture” (to be recalled later).
- 2 To fulfill the modest goal, we still have to prove similar statements for *every ramified p* (including archimedean places).

Part III

Some geometric ingredients

- Integral models of Shimura varieties (RSZ).
- Two types of algebraic cycles
 - (a) Kudla–Rapoport divisors.
 - (b) (Fat Big) CM cycles (aka. Derived CM cycles).
- Two types of associated invariants.

The Hermitian symmetric domain for $U(n-1, 1)$

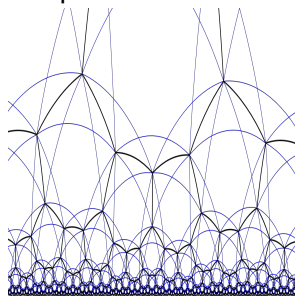
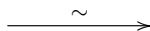
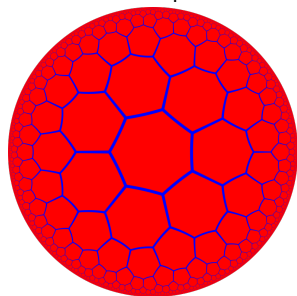
- Hermitian symmetric domain for $U(n-1, 1)$,

$$\mathbb{D}_{n-1} := \{z \in \mathbb{C}^{n-1} : |z| < 1\} \cong \frac{U(n-1, 1)}{U(n-1) \times U(1)}.$$

- We have an action

$$U(n-1, 1) \curvearrowright \mathbb{D}_{n-1}.$$

- Notice \mathbb{D}_1 is isomorphic to the upper half plane \mathbb{H} .



The Shimura variety M_n for $U(n-1, 1)$

- $K = \mathbb{Q}(\sqrt{-d})$, an imaginary quadratic field.
- V a hermitian space over K of signature $(n-1, 1)$.
- $U(V)$ the associated unitary group.
- $O_K \subseteq K$ ring of integers.
- $\Lambda \subseteq V$ a self-dual hermitian lattice over O_K .
- $U(\Lambda) \subseteq U(V)(\mathbb{R}) = U(n-1, 1)$ a discrete subgroup.
- Shimura variety

$$M_n := U(\Lambda) \backslash \mathbb{D}_{n-1}.$$

- It has dimension $n-1$ over \mathbb{C} .

The Shimura variety \mathcal{M}_n over O_K

- Let \mathcal{M}_n be the moduli stack of tuples $(A, \iota, \lambda, A_0, \iota_0, \lambda_0)$:
- A is an abelian scheme of dimension n .
- $\iota : O_K \hookrightarrow \text{End}(A)$ is an action of O_K on A satisfying the Kottwitz condition of signature $(n-1, 1)$,

$$\det(T - \iota(a)|\text{Lie}A) = (T - a)^{n-1}(T - \bar{a}), \quad a \in O_K.$$

- $\lambda : A \xrightarrow{\sim} A^\vee$ is a principal polarization of A whose Rosati involution induces $a \mapsto \bar{a}$ on $\iota(O_K)$.
- $(A_0, \iota_0, \lambda_0)$ is a triple analogous to (A, ι, λ) , but of dimension 1 and signature $(1, 0)$.
- Then \mathcal{M}_n is a Deligne–Mumford stack over O_K , smooth away from ramified characteristics of relative dimension $n-1$.
- $\mathcal{M}_n(\mathbb{C})$ is (a finite disjoint union of various) $M_n(\mathbb{C})$.

Global intersection revisited

Define the integral model of the arithmetic diagonal cycle:

$$\Delta: \mathcal{M}_{n-1} \longrightarrow \mathcal{M}_{n-1,n} = \mathcal{M}_{n-1} \times_{\mathrm{Spec} O_K} \mathcal{M}_n.$$

and

$$\mathrm{Int}(f) = \left(f * \hat{\Delta}_{\mathcal{M}_{n-1}}, \hat{\Delta}_{\mathcal{M}_{n-1}} \right)_{\mathcal{M}_{n-1,n}}.$$

The Kudla–Rapoport divisor $\mathcal{Z}(m)$

- (KR hermitian lattice) For a geometric point $(A, \iota, \lambda, A_0, \iota_0, \lambda_0) \in \mathcal{M}_n$, the space of homomorphisms

$$V(A_0, A) := \operatorname{Hom}_{O_K}(A_0, A)$$

is a hermitian lattice over O_K . For $x, y \in V(A_0, A)$, the pairing $(x, y) \in O_K$ is given by

$$(A_0 \xrightarrow{x} A \xrightarrow{\lambda} A^\vee \xrightarrow{y^\vee} A_0^\vee \xrightarrow{\lambda_0^{-1}} A_0) \in \operatorname{End}_{O_K}(A_0) = O_K.$$

- Given $m \in \mathbb{Z}_+$, define the Kudla–Rapoport divisor

$$i_m : \mathcal{Z}_m \longrightarrow \mathcal{M}_n$$

to be the moduli stack of tuples $(A, \iota, \lambda, A_0, \iota_0, \lambda_0, x)$, where $x \in V(A_0, A)$ such that $(x, x) = m$.

Modularity of generating series of special divisors

Theorem

The generating series

$$c_0 + \sum_{m \geq 1} \mathcal{Z}_m q^m \in \mathrm{Ch}^1(M_n)_{\mathbb{Q}}[[q]],$$

where c_0 is a suitable multiple of the first Chern class of the Hodge bundle ω , is a modular form (of weight n and known level).

Remark

- 1 Replace $\mathrm{Ch}^1(M_n)$ by $H^2(M_n)$: Kudla–Millson.
- 2 Gross–Kohnen–Zagier ($n = 2$), Borchers in general (+Liu’s thesis).
- 3 Later proofs by Yuan–Zhang–Zhang, Bruinier.
- 4 Replace $\mathrm{Ch}^1(M_n)_{\mathbb{Q}}$ by $\widehat{\mathrm{Ch}}^1(\mathcal{M}_n)_{\mathbb{Q}}$: a theorem of Bruinier, Howard, Kudla, Rapoport, and Yang.

An analog

- Replace the signature $(n-1, 1)$ by $(n, 0)$:

$$\text{Lat}_n = \left\{ \begin{array}{l} \text{hermitian lattices } \Lambda \\ \text{pos. def, self-dual,} \\ \text{rank} = n \end{array} \right\}$$

- Replace M_n by the lattice model Lat_n and we obtain theta functions as the generating series

$$\sum_{\Lambda \in \text{Lat}_n} \frac{1}{\#\text{Aut}(\Lambda)} \theta_{\Lambda},$$

where

$$\theta_{\Lambda} = \sum_{m \geq 0} \#\{x \in \Lambda \mid (x, x) = m\} q^m.$$

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A digression: Siegel–Weil, and arithmetic S-W

- Siegel–Weil: the generalized theta function

$$\sum_{\Lambda \in \text{Lat}_n} \frac{1}{\#\text{Aut}(\Lambda)} \sum_{T \in \text{Herm}_n} \#\{\mathbf{x} \in \Lambda^n \mid (x_i, x_j) = T_{i,j}\} q^T$$

is equal to the central value of Siegel-Eisenstein series on $\text{U}(n, n)$.

- A parallel question is Kudla–Rapoport conjecture (“Intersection number of KR divisors=Fourier coefficients of the central derivative of Siegel-Eisenstein series”), also recently proved by Li–Z. (for good places).

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(Fat Big) CM cycles on \mathcal{A}_n

- We consider the “fixed point of the Hecke correspondence $\text{Hecke}_{\mathcal{A}_n}$ ”:

$$\begin{array}{ccc} \mathcal{CM}_n^d & \longrightarrow & \text{Hecke}_{\mathcal{A}_n}^d \\ \downarrow & & \downarrow \\ \mathcal{A}_n & \xrightarrow{\Delta} & \mathcal{A}_n \times \mathcal{A}_n. \end{array}$$

- To a geometric point $(A, \varphi \in \text{End}^\circ(A)) \in \mathcal{CM}_n^d$ one can associate a “characteristic polynomial”

$$\text{char}: \mathcal{CM}_n^d \longrightarrow \mathbb{Q}[T]_{\deg=2n},$$

and the map induces a disjoint union (of open and closed substacks)

$$\mathcal{CM}_n = \coprod_{a \in \text{Im}(\text{char})} \mathcal{CM}_n(a),$$

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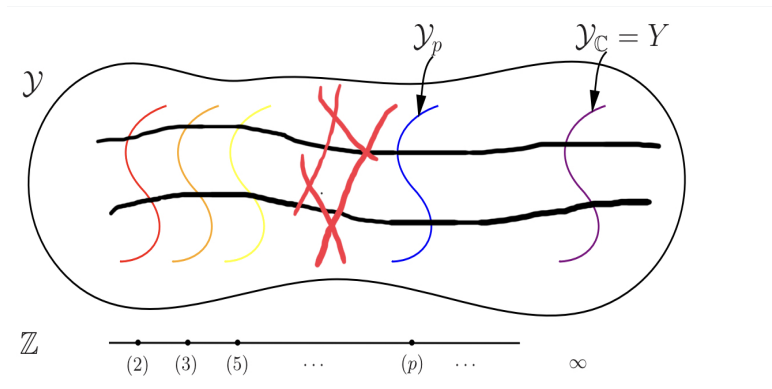
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Example: $n = 3$, a non-flat CM cycle



Intersection theory (I)

$$\begin{array}{ccccc} \coprod \mathcal{CM}_n^d(a) & \xrightarrow{\sim} & \mathcal{CM}_n^d & \longrightarrow & \text{Hecke}_{\mathcal{M}_n}^d \\ & & \downarrow & & \downarrow \\ & & \mathcal{M}_n & \xrightarrow{\Delta} & \mathcal{M}_n \times \mathcal{M}_n. \end{array}$$

Consider the “derived intersection product”

$$\mathbb{L}\mathcal{CM}_n^d = \sum_{a \in \text{Im}(\text{char}_K)} \mathbb{L}\mathcal{CM}_n^d(a),$$

as classes in

$$\text{Ch}_1(\mathcal{CM}_n^d)_{\mathbb{Q}} = \bigoplus_{a \in \text{Im}(\text{char}_K)} \text{Ch}_1(\mathcal{CM}_n^d(a))_{\mathbb{Q}}.$$

Arithmetic intersection theory

- Arakelov/Gillet–Soulé intersection pairing

$$(\cdot, \cdot): \widehat{\mathrm{Ch}}^1(\mathcal{M}_n) \times Z_{1,c}(\mathcal{M}_n) \longrightarrow \mathbb{R}_D,$$

where

$$\mathbb{R}_D := \mathbb{R} / \{\mathbb{Q} \text{ span of } \log p, p | D_K\}.$$

- From the modularity, it follows that the generating function

$$c_0 + \sum_{m \geq 1} (\widehat{\mathcal{Z}}_m, {}^{\mathbb{L}}\mathcal{CM}^d(a)) q^m \in \mathbb{R}_D[[q]],$$

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The analog revisited

- The “CM cycle” $\mathcal{CM}^d(a)$ on the lattice model Lat_n is

$$\mathcal{CM}^d(a) = \left\{ \begin{array}{l} (\Lambda, \varphi), \text{ s.t.} \\ \Lambda \in \text{Lat}_n, \varphi \in \frac{1}{d}\text{End}_{O_K}(\Lambda), \\ \text{char}_K(\varphi) = a. \end{array} \right\}$$

- The generating series, for a fixed (irred.) $a \in K[T]_{\deg=n}$

$$\sum_{m \geq 0} \sum_{(\Lambda, \varphi) \in \mathcal{CM}^d(a)} \frac{1}{\#\text{Aut}(\Lambda, \varphi)} \#\{(\Lambda, \varphi, x \in \Lambda) \mid (x, x) = m\} q^m.$$

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- The generating series, for a fixed (irred.) $a \in K[T]_{\deg=n}$

$$\sum_{m \geq 0} \sum_{(\Lambda, \varphi) \in \mathcal{CM}^d(a)} \frac{1}{\#\text{Aut}(\Lambda, \varphi)} \#\{(\Lambda, \varphi, x \in \Lambda) \mid (x, x) = m\} q^m.$$

is a modular form.

The induction process (above $p \nmid dD$)

$$\begin{array}{ccc}
 & \left(\mathcal{Z}_{m=1}, \mathbb{L} \mathcal{CM}^d \right)_{\mathcal{M}_{n+1}} & \overset{?}{\dashrightarrow} \vdots \\
 & \updownarrow & \\
 \left(\mathcal{Z}_{m=1}, \mathbb{L} \mathcal{CM}^d \right)_{\mathcal{M}_n} & \overset{?}{\dashrightarrow} & \left(\mathcal{Z}_m, \mathbb{L} \mathcal{CM}^d \right)_{\mathcal{M}_n} \\
 \updownarrow & & \searrow \text{a irred.} \\
 \dots\dots\dots & & \left(\mathcal{Z}_m, \mathbb{L} \mathcal{CM}^d(a) \right)_{\mathcal{M}_n}
 \end{array}$$

Intersection theory (II)



$$\coprod \Delta_{\mathcal{Z}_m}^d(a, b) \xrightarrow{\sim} \Delta_{\mathcal{Z}_m}^d \longrightarrow \mathcal{CM}_n^d$$
$$\downarrow \qquad \qquad \downarrow$$
$$\mathcal{Z}_m \xrightarrow{i_m} \mathcal{M}_n.$$

A point in $\Delta_{\mathcal{Z}_m}^d$ is

$$(A, A_0, \varphi \in \text{End}^\circ(A), x : A_0 \rightarrow A).$$

- K-R hermitian form and char. poly. together define a map

$$\text{inv} : \Delta_{\mathcal{Z}_m}^d \longrightarrow K[T]_{\deg=n} \times K^n,$$

sending (A, A_0, x, φ) to $a = \text{char}_K(\varphi)$, $b = (b_i)_{0 \leq i \leq n-1}$ where

$$b_i = (\varphi^i x, x).$$

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$$b_i = (\varphi^i x, x).$$

Theorem

Let $a \in K[T]_{\deg=n}$ be irreducible, and $b \in K^n$ such that $b_0 \neq 0$.

- $\Delta_{\mathcal{Z}_m}^d(a, b)$ has support in the **supersingular** locus above a unique (necessarily inert) place p of \mathbb{Q} , and is a **proper** scheme.
- Assume that $p \nmid dD$. Then

$$\deg \mathbb{L} \Delta_{\mathcal{Z}_m}^d(a, b) = \text{Orb} \left((a, b), f_d^{(p)} \right) \cdot \text{Int}_p((a, b)),$$

where $\text{Int}_p((a, b))$ is the intersection number on “local Shimura variety” appearing in AFL (to be recalled below).

Part IV

The Arithmetic Fundamental Lemma conjecture

Relative orbital integrals

Define a family of (weighted) orbital integrals:

$$\text{Orb}(\gamma, \mathbf{1}_{\mathfrak{gl}_n(O_F)}, \mathbf{s}) = \int_{\text{GL}_{n-1}(F)} \mathbf{1}_{\mathfrak{gl}_n(O_F)}(h^{-1}\gamma h) |\det(h)|^s (-1)^{\text{val}(\det(h))} dh.$$

This can be viewed as a generating series of lattice counting of O_F -lattices Λ^b :

$$\left\{ \Lambda^b \subset F^{n-1} \mid \Lambda = \Lambda^b \oplus O_F \cdot e_n \text{ is stable under } \gamma. \right\}$$

The condition can be restated as ("local CM condition")

$$O_F[\gamma] \subset \text{End}(\Lambda).$$

Theorem (Yun–Gordan (large p), Beuzart–Plessis (all odd p))

Let $\gamma \in \mathfrak{gl}_n(F)$ match an element $g \in G(F)$, regular semisimple. Then

$$\pm \text{Orb}(\gamma, \mathbf{1}_{\mathfrak{gl}_n(O_F)}, \mathbf{s} = 0) = \text{Orb}(g, \mathbf{1}_{\text{Aut}(\Lambda)}).$$

Remark

- 1 (Xiao) J-R FL \implies Langlands–Shelstad FL for unitary groups (Theorem of Laumon–Ngo).
- 2 (Xiao, in progress) J-R FL \implies weighted FL for unitary groups.

Unitary Rapoport–Zink space

- F'/F : an unramified quadratic extension of p -adic fields.
- \mathbb{X}_n : n -dim'l *Hermitian supersingular formal $O_{F'}$ -modules of signature $(1, n-1)$* (unique up to isogeny).
- \mathcal{N}_n : the unitary Rapoport–Zink formal moduli space over $\mathrm{Spf}(O_{\tilde{F}})$ (parameterizing “deformations” of \mathbb{X}_n).
- The group $\mathrm{Aut}^0(\mathbb{X}_n)$ is a unitary group in n -variable and acts on \mathcal{N}_n .
- The \mathcal{N}_n 's are non-archimedean analogs of Hermitian symmetric domains. They have a “skeleton” given by a union of Deligne–Lusztig varieties for unitary groups over finite fields.

Local intersection numbers

- A natural closed embedding $\delta : \mathcal{N}_{n-1} \rightarrow \mathcal{N}_n$, and its graph

$$\Delta : \mathcal{N}_{n-1} \longrightarrow \mathcal{N}_{n-1,n} = \mathcal{N}_{n-1} \times_{\mathrm{Spf} \mathcal{O}_{\mathbb{F}}} \mathcal{N}_n.$$

Denote by $\Delta_{\mathcal{N}_{n-1}}$ the image of Δ .

- The group $G(F) := \mathrm{Aut}^0(\mathbb{X}_{n-1}) \times \mathrm{Aut}^0(\mathbb{X}_n)$ acts on $\mathcal{N}_{n-1,n}$. For (nice) $g \in G(F)$, we define the intersection number

$$\begin{aligned} \mathrm{Int}(g) &= (\Delta_{\mathcal{N}_{n-1}}, g \cdot \Delta_{\mathcal{N}_{n-1}})_{\mathcal{N}_{n-1,n}} \\ &:= \chi \left(\mathcal{N}_{n-1,n}, \mathcal{O}_{\Delta_{\mathcal{N}_{n-1}}} \otimes^{\mathbb{L}} \mathcal{O}_{g \cdot \Delta_{\mathcal{N}_{n-1}}} \right). \end{aligned}$$

The arithmetic fundamental lemma (AFL) conjecture

Then the local version of the global “arithmetic intersection conjecture” is

Conjecture (Z. '12)

Let $\gamma \in \mathfrak{gl}_n(F)$ match an element $g \in G(F)$, strongly regular semisimple. Then

$$\pm \frac{d}{ds} \Big|_{s=0} \text{Orb}(\gamma, \mathbf{1}_{\mathfrak{gl}_n(\mathcal{O}_F)}, s) = -\text{Int}(g) \cdot \log q.$$

Theorem (Z. '19)

The AFL conjecture holds when $F = \mathbb{Q}_p$ and $p > n$.

Remark

- 1 The case $n = 3$, Z '12 (A simplified proof when $p \geq 5$ is given by Mihatsch.)
- 2 Rapoport–Terstiege–Z. '13: $p \geq \frac{n}{2} + 1$, and *minuscule* elements $g \in G(F)$. (A simplified proof is given by Li –Zhu.)
- 3 He–Li–Zhu, 2018: *minuscule* case but no restriction on p .

Thank you!

The arithmetic fundamental lemma for the diagonal cycles

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