

Prime Factorization from Euclid to Noether

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An unsuccessful attempt at Fermat's Last Theorem

On **March 1**, 1847, Lamé told the Paris Academy of Sciences that he had proved Fermat's Last Theorem: there is no solution in \mathbf{Z}^+ to $x^n + y^n = z^n$ when $n \geq 3$.

It suffices to treat $n = p$ an odd prime. Then $x^p + y^p$ factors:

$$z^p = x^p + y^p = (x + y)(x + \zeta y) \cdots (x + \zeta^{p-1}y),$$

for $\zeta \in \mathbf{C}$ where $\zeta^p = 1$ and $\zeta \neq 1$. For the numbers

$$a_0 + a_1\zeta + \cdots + a_{p-1}\zeta^{p-1}$$

where $a_j \in \mathbf{Z}$, Lamé wanted to use an analogue of the “coprime power property” of \mathbf{Z}^+ :

$$ab = c^n \text{ and } \gcd(a, b) = 1 \implies a = x^n \text{ and } b = y^n.$$

The proof of that property in \mathbf{Z}^+ uses unique factorization, so Liouville asked Lamé why **his setting** has unique factorization. In fact, there is *not* unique factorization there if $p = 23$.

Theorem. *Integers have unique factorization:*

- (i) *each $n > 1$ is a product of primes $p_1 p_2 \cdots p_r$ (repetitions ok),*
- (ii) *if $p_1 p_2 \cdots p_r = q_1 q_2 \cdots q_s$ for prime p_j & q_k , then $r = s$ and $p_j = q_j$ after relabeling.*

Usually we collect like primes together:

$$\boxed{n = p_1^{e_1} \cdots p_m^{e_m}} \quad (p_j \text{ distinct primes, } e_j \geq 1).$$

- 1 Who first established this?
- 2 What good is it?
- 3 How broadly (beyond \mathbf{Z}) have results like this been found?

Prime numbers in ancient Greece

Prime numbers appeared in Books VII and IX of Euclid's *Elements*, presented entirely geometrically.

Book VII.

Defn. A *prime* p is bigger than 1 and 1 is its only (proper) factor.

Prop. 30: $p \mid ab \implies p \mid a \text{ or } p \mid b$.

Prop. 31, 32: *Every integer bigger than 1 has a prime factor.*

Book IX.

Prop. 12: $p \mid a^m \implies p \mid a$.

Prop. 13: $d \mid p^m \implies d = p^j$ where $j \leq m$.

Prop. 14: $p \mid \text{lcm}(p_1, \dots, p_r) \implies p$ is one of p_1, \dots, p_r .

Prop. 20: *There are infinitely many primes.*

Observations.

Prop. 31, 32 are the nearest to **existence** of prime factorization.

Prop. 13, 14 are the nearest to its **uniqueness**.

Unique factorization was *not* important for Euclid.

Existence of prime factorization was shown numerous times later:

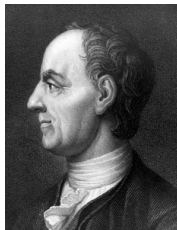
- 1 al-Farisi's *Memorandum* [...] on [...] *amicability* (ca. 1300),
- 2 Prestet's *Nouveaux Elemens de Mathématiques* (1689),
- 3 Euler's *Elements of Algebra* (1770),
- 4 Legendre's *Théorie des Nombres* (1798)

They all explicitly stated existence, while none proved uniqueness, but al-Farisi and Prestet came close.

A common reason they cared about prime factorization was to list, count, or sum all factors.

Example 1. Since $1881 = 3^2 \cdot 11 \cdot 19$, its factors are $3^a 11^b 19^c$ for $0 \leq a \leq 2$, $0 \leq b \leq 1$, and $0 \leq c \leq 1$: $3 \cdot 2 \cdot 2 = 12$ factors.

If $n = p_1^{e_1} \cdots p_m^{e_m}$ then n has $(e_1 + 1) \cdots (e_m + 1)$ factors. Without unique factorization, this count would be wrong.



Example 2. Euler needed uniqueness of prime factorization in his work on the zeta-function: for $s > 1$,

$$\begin{aligned}\sum_{n \geq 1} \frac{1}{n^s} &= \prod_p \frac{1}{1 - 1/p^s} \\ &= \frac{1}{1 - 1/2^s} \frac{1}{1 - 1/3^s} \frac{1}{1 - 1/5^s} \frac{1}{1 - 1/7^s} \cdots \\ &= \left(1 + \frac{1}{2^s} + \frac{1}{4^s} + \cdots\right) \left(1 + \frac{1}{3^s} + \frac{1}{9^s} + \cdots\right) \cdots \\ &= 1 + \frac{1}{2^s} + \frac{1}{3^s} + \frac{1}{4^s} + \cdots\end{aligned}$$



Gauss (1801) was the first to prove uniqueness, stating it as *Numerus compositus quicumque **unico** tantum modo in factores primos resolvi potest.*

Composite numbers are resolved into prime factors in only one way.

The proof uses $p \mid ab \implies p \mid a$ or $p \mid b$, which goes back to Euclid.

Gauss criticized other authors for ignoring this property as well as ignoring the need to prove uniqueness of prime factorization.

A new concept of integers

Gauss (1832) introduced “complex integers”

$$\mathbf{Z}[i] = \{a + bi : a, b \in \mathbf{Z}\},$$

and basic number theory with them: primes, modular arithmetic, Euclid's algorithm, *etc.* We'll focus on factoring in $\mathbf{Z}[i]$.

$$7 + 4i = (1 + 2i)(3 - 2i)$$

Here are two different factorizations of 10:

$$10 = 2 \cdot 5 = (3 + i)(3 - i).$$

That doesn't violate unique factorization since

$$\begin{aligned} 2 &= (1 + i)(1 - i), & 5 &= (2 + i)(2 - i), \\ 3 + i &= (1 + i)(2 - i), & 3 - i &= (1 - i)(2 + i), \end{aligned}$$

so the factorizations of 10 did not use primes in $\mathbf{Z}[i]$. Compare:

$$210 = 6 \cdot 35 = 10 \cdot 21.$$

Primality depends on *context*: in $\mathbf{Z}[i]$, 2 and 5 **not** prime, 3 is, ...

Factoring into primes beyond \mathbf{Z}

In $\mathbf{Z}[i]$, ± 1 & $\pm i$ are **universal factors**: $\alpha = (\pm 1)(\pm\alpha) = (\pm i)(\mp i\alpha)$.

Definition. Call nonzero p in $\mathbf{Z}[i]$ prime if

- (a) $p \neq \pm 1$ or $\pm i$,
- (b) its only factors are $\pm 1, \pm i, \pm p, \pm ip$.

The primes in $\mathbf{Z}[i]$ are a mix of **familiar** and **unfamiliar** numbers:

$$\pm 3, \pm 3i, \pm 7, \pm 7i, \pm 11, \pm 11i, \pm 19, \pm 19i, \dots,$$

$$\pm(1 \pm i), \pm(2 \pm i), \pm(1 \pm 2i), \pm(2 \pm 3i), \pm(3 \pm 2i), \dots$$

Theorem. (Gauss) For each $\alpha \neq 0, \pm 1, \pm i$ in $\mathbf{Z}[i]$,

- (i) α is a product of primes: $\alpha = p_1 p_2 \cdots p_r$ (repetitions ok),
- (ii) if $p_1 p_2 \cdots p_r = q_1 q_2 \cdots q_s$ for prime p_j & q_k , then $r = s$ and $p_j = u_j q_j$ after relabeling, where $u_j = \pm 1, \pm i$.

Example. $7 + 4i = (1 + 2i)(3 - 2i) = (2 - i)(2 + 3i)$, where $2 - i = (-i)(1 + 2i)$ and $2 + 3i = (i)(3 - 2i)$.

The coprime power property

In \mathbf{Z} , $ab = c^n$ and $\gcd(a, b) = 1 \implies a = \pm x^n$ and $b = \pm y^n$.

Its proof uses unique factorization in \mathbf{Z} , so carries over to $\mathbf{Z}[i]$:

$$\alpha\beta = \gamma^n \text{ and } \gcd(\alpha, \beta) = 1 \implies \alpha = ux^n \text{ and } \beta = vy^n,$$

where $uv = 1$ (u, v are among $\pm 1, \pm i$).

Example. (Pythagorean triples) In \mathbf{Z}^+ , suppose $a^2 + b^2 = c^2$ with $\gcd(a, b) = 1$. Factor the left side in $\mathbf{Z}[i]$:

$$(a + bi)(a - bi) = c^2.$$

Can show $\gcd(a + bi, a - bi) = 1$, so coprime power property with $n = 2$ says $a + bi = \pm(k + li)^2$ or $\pm i(k + li)^2$. Focus on 1st:

$$(k + li)^2 = k^2 - l^2 + (2kl)i \implies a = k^2 - l^2, b = 2kl$$

and $c^2 = a^2 + b^2 = (k^2 + l^2)^2$, so $c = k^2 + l^2$. A parametric

formula for all triples: $(a, b, c) = (k^2 - l^2, 2kl, k^2 + l^2)$

The coprime power property

$$\alpha\beta = \gamma^n \text{ and } \gcd(\alpha, \beta) = 1 \implies \alpha = ux^n \text{ and } \beta = vy^n,$$

where $uv = 1$ (u, v are among $\pm 1, \pm i$).

Example. Show the only \mathbf{Z} -solutions to $y^2 = x^3 - 4$ are $(2, \pm 2)$ and $(5, \pm 11)$. Rewrite the equation in $\mathbf{Z}[i]$ as

$$x^3 = y^2 + 4 = (y + 2i)(y - 2i).$$

If y odd, then $\gcd(y+2i, y-2i) = 1$, so coprime power property says $y + 2i = (k + li)^3$. Can show same result if y even too.

$$\begin{aligned}y + 2i &= (k + li)^3 \\ &= (k^3 - 3kl^2) + (3k^2l - l^3)i \\ &= k(k^2 - 3l^2) + l(3k^2 - l^2)i.\end{aligned}$$

Thus $y = k(k^2 - 3l^2)$ and $2 = l(3k^2 - l^2)$, forcing $l = \pm 1$ or ± 2 . This leads to $y = \pm 11, x = 5$ and $y = \pm 2, x = 2$.

Failure of the coprime power property

Example. In $\mathbf{Z}[\sqrt{-3}] = \{a + b\sqrt{-3} : a, b \in \mathbf{Z}\}$,

$$(1 + \sqrt{-3})(1 - \sqrt{-3}) = 4 = 2^2.$$

The only common factors of $1 \pm \sqrt{-3}$ are ± 1 , but $1 \pm \sqrt{-3} \neq \pm 1$ since **coefficient of $\sqrt{-3}$ isn't even**:

$$(a + b\sqrt{-3})^2 = (a^2 - 3b^2) + (2ab)\sqrt{-3}.$$

Since unique factorization implies the coprime power property, if coprime power property breaks in $\mathbf{Z}[\sqrt{-3}]$ then so must unique factorization, and in fact

$$4 = 2 \cdot 2 = (1 + \sqrt{-3})(1 - \sqrt{-3})$$

gives us two *unrelated* prime factorizations of 4 in $\mathbf{Z}[\sqrt{-3}]$.

Remark. For primes in \mathbf{Z} or $\mathbf{Z}[i]$, $p \mid ab \implies p \mid a$ or $p \mid b$. But in $\mathbf{Z}[\sqrt{-3}]$, 2 is prime, $2 \mid (1 + \sqrt{-3})(1 - \sqrt{-3})$, and $2 \nmid (1 \pm \sqrt{-3})$.

Another failure of the coprime power property

Polynomials in x have unique factorization up to order and scaling by nonzero constants:

$$1-x^2 = (1-x)(1+x) = (2-2x)\frac{1+x}{2} = \left(\frac{2}{3}-\frac{2}{3}x\right)\left(\frac{3}{2}+\frac{3}{2}x\right).$$

But now consider the set \mathbf{T} of all (trigonometric) polynomials in $\sin \theta$ and $\cos \theta$. These are the finite Fourier series:

$$\sin^3 \theta + \cos^3 \theta = \frac{3}{4} \cos \theta + \frac{1}{2} \sin \theta - \frac{1}{2} \sin \theta \cos(2\theta) + \frac{1}{4} \cos(3\theta).$$

Example. In \mathbf{T} , rewrite $\sin^2 \theta + \cos^2 \theta = 1$ as

$$(1 + \sin \theta)(1 - \sin \theta) = (\cos \theta)^2,$$

where the only common factors of $1 \pm \sin \theta$ are nonzero constants, but $1 \pm \sin \theta \neq \pm c$ in \mathbf{T} . So \mathbf{T} does not have unique factorization!

The rational roots property

Unique factorization in \mathbf{Z} implies the rational roots theorem: if $f(x) = x^n + c_{n-1}x^{n-1} + \cdots + c_1x + c_0$ with $c_j \in \mathbf{Z}$, then

$$f(r) = 0 \text{ for } r \in \mathbf{Q} \implies r \in \mathbf{Z}.$$

This holds in $\mathbf{Z}[i]$ too: if $f(x) = x^n + c_{n-1}x^{n-1} + \cdots + c_1x + c_0$ with $c_j \in \mathbf{Z}[i]$, then $f(r) = 0$ for $r \in \mathbf{Q}[i] \implies r \in \mathbf{Z}[i]$.

Nonexample. A root of $x^2 - x + 1$ is $\frac{1}{2} + \frac{1}{2}\sqrt{-3}$: it is in $\mathbf{Q}[\sqrt{-3}]$ and not in $\mathbf{Z}[\sqrt{-3}]$. This is a second reason $\mathbf{Z}[\sqrt{-3}]$ doesn't have unique factorization besides failure of the coprime power property. Enlarge $\mathbf{Z}[\sqrt{-3}]$ to include the number $\omega = \frac{1}{2} + \frac{1}{2}\sqrt{-3}$:

$$\mathbf{Z}[\omega] = \{a + b\omega : a, b \in \mathbf{Z}\}$$

contains $\mathbf{Z}[\sqrt{-3}]$ and *does* have the “rational roots property”: for $f(x) = x^n + c_{n-1}x^{n-1} + \cdots + c_1x + c_0$ with $c_j \in \mathbf{Z}[\omega]$,

$$f(r) = 0 \text{ for } r \in \mathbf{Q}[\omega] \implies r \in \mathbf{Z}[\omega].$$

In $\mathbf{Z}[\omega]$, unlike $\mathbf{Z}[\sqrt{-3}]$, there is unique factorization.

Rational root property without unique factorization

In $\mathbf{Z}[\sqrt{-5}] = \{a + b\sqrt{-5} : a, b \in \mathbf{Z}\}$, the rational roots property holds: if $f(x) = x^n + c_{n-1}x^{n-1} + \cdots + c_1x + c_0$ with $c_j \in \mathbf{Z}[\sqrt{-5}]$,

$$f(r) = 0 \text{ for } r \in \mathbf{Q}[\sqrt{-5}] \implies r \in \mathbf{Z}[\sqrt{-5}].$$

But $\mathbf{Z}[\sqrt{-5}]$ does *not* have unique factorization:

$$6 = 2 \cdot 3 = (1 + \sqrt{-5})(1 - \sqrt{-5})$$

and

$$9 = 3 \cdot 3 = (2 + \sqrt{-5})(2 - \sqrt{-5}).$$

For nonsquare d in \mathbf{Z} , set

$$\mathbf{Z}[\sqrt{d}] = \{a + b\sqrt{d} : a, b \in \mathbf{Z}\}.$$

In $\mathbf{Z}[\sqrt{d}]$ prime factorization exists, but often it is not unique, even when the rational roots property holds in $\mathbf{Z}[\sqrt{d}]$:

$$\mathbf{Z}[\sqrt{-5}], \mathbf{Z}[\sqrt{-6}], \mathbf{Z}[\sqrt{10}], \mathbf{Z}[\sqrt{26}], \mathbf{Z}[\sqrt{79}], \dots$$

Rescue unique factorization by changing what is factored

Dedekind, building on work of Kummer, replaced the factorization of elements with factorization of certain *sets* of elements.

Two properties of the multiples of a number γ in $\mathbf{Z}[\sqrt{d}]$:

- **closed under addition/subtraction**: $\alpha\gamma \pm \beta\gamma = (\alpha \pm \beta)\gamma$
- **absorb multiplication by everything**: $\alpha(\beta\gamma) = (\alpha\beta)\gamma$.

Definition. A subset I of $\mathbf{Z}[\sqrt{d}]$ with those properties is an *ideal*:

$$x, y \in I \implies x \pm y \in I, \quad x \in I \implies \alpha x \in I.$$

Example. For each $\gamma \in \mathbf{Z}[\sqrt{d}]$, its multiples $\mathbf{Z}[\sqrt{d}]\gamma$ are an ideal: principal ideals.

Example. In $\mathbf{Z}[\sqrt{-5}]$, there are ideals *not* of the form $\mathbf{Z}[\sqrt{-5}]\gamma$ (nonprincipal ideals) using all linear combinations of two elements:

$$\begin{aligned} I &= \mathbf{Z}[\sqrt{-5}]2 + \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}), \\ J &= \mathbf{Z}[\sqrt{-5}]3 + \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}), \\ J' &= \mathbf{Z}[\sqrt{-5}]3 + \mathbf{Z}[\sqrt{-5}](1 - \sqrt{-5}). \end{aligned}$$

Multiplication. For ideals I_1 and I_2 , their product is the ideal

$$I_1 I_2 = \{x_1 y_1 + \cdots + x_m y_m : x_k \in I_1, y_k \in I_2\}.$$

Example. $\mathbf{Z}[\sqrt{d}] \gamma \mathbf{Z}[\sqrt{d}] \gamma' = \mathbf{Z}[\sqrt{d}] \gamma \gamma'$.

Example. In $\mathbf{Z}[\sqrt{-5}]$ with

$$I = \mathbf{Z}[\sqrt{-5}]2 + \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}),$$

$$J = \mathbf{Z}[\sqrt{-5}]3 + \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}),$$

$$J' = \mathbf{Z}[\sqrt{-5}]3 + \mathbf{Z}[\sqrt{-5}](1 - \sqrt{-5}),$$

we have

$$I^2 = \mathbf{Z}[\sqrt{-5}]2, \quad JJ' = \mathbf{Z}[\sqrt{-5}]3,$$

$$IJ = \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}), \quad IJ' = \mathbf{Z}[\sqrt{-5}](1 - \sqrt{-5}).$$

The unique factorization *failure* $2 \cdot 3 = (1 + \sqrt{-5})(1 - \sqrt{-5})$ in $\mathbf{Z}[\sqrt{-5}]$ can be viewed as rearrangements of ideals: $I^2 JJ' = IJJ'$.
It's like $6 \cdot 35 = 10 \cdot 21$ in \mathbf{Z} being rearrangements of $2 \cdot 3 \cdot 5 \cdot 7$.

Factoring ideals

In \mathbf{Z} , $a \mid b \iff a\mathbf{Z} \supset b\mathbf{Z}$, e.g., $2\mathbf{Z} \supset 6\mathbf{Z}$.

Dedekind called an ideal P in $\mathbf{Z}[\sqrt{d}]$ *prime* if

- (i) $P \neq \{0\}$ or $\mathbf{Z}[\sqrt{d}]$,
- (ii) $P \supset l_1 l_2 \implies P \supset l_1$ or $P \supset l_2$.

Ideals I , J , and J' in $\mathbf{Z}[\sqrt{-5}]$ on previous slide are all prime and

$$\mathbf{Z}[\sqrt{-5}]2 = I^2, \quad \mathbf{Z}[\sqrt{-5}]3 = JJ', \quad \mathbf{Z}[\sqrt{-5}](1 + \sqrt{-5}) = IJ$$

are prime ideal factorizations.

Theorem. (Dedekind) *Assume $\mathbf{Z}[\sqrt{d}]$ has rational roots property.*

- *The ideals in $\mathbf{Z}[\sqrt{d}]$ have unique factorization into products of prime ideals.*
- *There is unique factorization of elements in $\mathbf{Z}[\sqrt{d}]$ if and only if there are no unexpected ideals: each ideal I is the multiples of something: $I = \mathbf{Z}[\sqrt{d}]\gamma$.*

What Dedekind proved is applicable beyond $\mathbf{Z}[\sqrt{d}]$.

Extending what is possible

Ideals are yet another case where mathematics lets us do what at first seems impossible.

- Solve equations without classical solutions: complex numbers.
- Intersect lines with no classical intersection: projective plane.
- Uniquely factor what doesn't have unique factorization: ideals.
- Differentiate what has no classical derivative: distributions.

Dedekind's ideals were one of three ways that the failure of unique factorization for elements was fixed in the late 19th century: also Kronecker's divisors and Zolotarev's semi-local rings.





Noether worked on ideals in the 1920s. Always looked for algebraic concepts behind pages of computations and formulas.

- 1921: Primary ideal decomposition (Lasker–Noether theorem)
- 1927: Says when unique factorization of ideals occurs.

**Abstrakter Aufbau der Idealtheorie in algebraischen
Zahl- und Funktionenkörpern.**

Von

Emmy Noether in Göttingen.

Im folgenden wird eine abstrakte Charakterisierung all derjenigen Ringe gegeben, deren Idealtheorie übereinstimmt mit der Idealtheorie aller ganzen Größen des algebraischen Zahlkörpers — deren Ideale sich

Here is a version of Noether's result.

Theorem. *An integral domain has unique factorization of ideals if and only if*

- (1) *it has an analogue of the rational roots property,*
- (2) *every increasing sequence of ideals in it stabilizes,*
- (3) *its prime ideals have no containment relations.*

Example. The set \mathbf{T} of trigonometric polynomials fits all of these conditions, so \mathbf{T} has unique factorization of ideals.

How does $(1 + \sin \theta)(1 - \sin \theta) = (\cos \theta)^2$, as a counterexample to unique factorization of *elements* in \mathbf{T} , get saved using *ideals* in \mathbf{T} ?

The ideals $P = \mathbf{T}(1 + \sin \theta) + \mathbf{T}\cos \theta$ and $Q = \mathbf{T}(1 - \sin \theta) + \mathbf{T}\cos \theta$ turn out to be prime ideals and

$$P^2 = \mathbf{T}(1 + \sin \theta), \quad Q^2 = \mathbf{T}(1 - \sin \theta), \quad PQ = \mathbf{T}\cos \theta,$$

so $(1 + \sin \theta)(1 - \sin \theta) = (\cos \theta)^2$ turns into $P^2Q^2 = (PQ)^2$.

Using ideals

1. When $\mathbf{Z}[\sqrt{d}]$ has unique factorization of ideals, its elements have a coprime power property for *restricted* exponents.

Example. For nonzero α and β in $\mathbf{Z}[\sqrt{-5}]$ such that $\mathbf{Z}[\sqrt{-5}]\alpha$ and $\mathbf{Z}[\sqrt{-5}]\beta$ are relatively prime ideals,

$$\alpha\beta = \gamma^n \implies \alpha = \pm x^n \text{ and } \beta = \pm y^n$$

when n is *odd*. (It fails for $(2 + \sqrt{-5})(2 - \sqrt{-5}) = 3^2$.)

2. For each A in $M_n(\mathbf{Q})$, A and A^\top are conjugate: $A^\top = UAU^{-1}$ for an invertible U in $M_n(\mathbf{Q})$. This *need not* be true in $M_n(\mathbf{Z})$!

Example. The matrix

$$A = \begin{pmatrix} 1 & -5 \\ 3 & -1 \end{pmatrix}$$

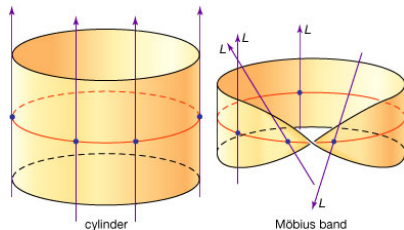
is conjugate to A^\top in $M_2(\mathbf{Q})$ but not in $M_2(\mathbf{Z})$. Its characteristic polynomial is $x^2 + 14$ and A is found using ideals in $\mathbf{Z}[\sqrt{-14}]$.

3. For prime p and p th root of unity $\zeta \neq 1$ in \mathbf{C} , the numbers

$$a_0 + a_1\zeta + \cdots + a_{p-1}\zeta^{p-1}$$

where $a_j \in \mathbf{Z}$ have unique factorization of ideals for all p but not unique factorization of elements for $p \geq 23$ (Uchida, Montgomery).

4. In geometric settings, ideals are related to line bundles. The elements of \mathbf{T} are polynomial functions on the unit circle, and \mathbf{T} having ideals that are not just multiples of something is related to the circle having a nontrivial line bundle: the Möbius strip.



Questions?