

## Quintic Forms over $p$ -adic Fields

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*Communicated by P. Roquette*

Received 11 July 1993; revised 11 February 1994; accepted 4 March 1994

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We prove that a quintic form in 26 variables defined over a  $p$ -adic field  $K$  always has a nontrivial zero over  $K$  if the residue class field of  $K$  has at least 47 elements. This is in agreement with the theorem of Ax–Kochen which states that a homogeneous form of degree  $d$  in  $d^2 + 1$  variables defined over  $\mathbf{Q}_p$  has a nontrivial  $\mathbf{Q}_p$ -rational zero if  $p$  is sufficiently large. The Ax–Kochen theorem gives no results on the bound for  $p$ . For  $d = 1, 2, 3$  it has been known for a long time that there is a nontrivial  $\mathbf{Q}_p$ -rational zero for all values of  $p$ . For  $d = 4$ , Terjanian gave an example of a form in 18 variables over  $\mathbf{Q}_2$  having no nontrivial  $\mathbf{Q}_2$ -rational zero. This is the first result which gives an effective bound for the case  $d = 5$ . © 1996 Academic Press, Inc.

### 1. INTRODUCTION

In the preface to Artin's collected works, the editors discuss several conjectures of Artin including the following: let  $K$  be a complete, discretely valued field with finite residue class field  $k$ . Then every homogeneous form defined over  $K$  of degree  $d$  in greater than  $d^2$  variables has a nontrivial zero. When this is true, we say that  $K$  has the property  $C_2(d)$ .

Artin's conjecture is true when  $K$  is a power series field, as was shown by Lang in [La]. When  $K$  is a  $p$ -adic field (i.e. the unequal characteristic case), a counterexample of degree 4 in 18 variables over  $\mathbf{Q}_2$  was given by Terjanian in [T]. Since then many other counterexamples, all of even degree, have been found. See [G] and [Lw] for a summary and further references.

It is still of interest to determine by precisely how much Artin's conjecture fails for  $p$ -adic fields. Ax and Kochen showed the following in [A-K]:

(1) For a given integer  $d \geq 1$ , the set of primes for which  $\mathbf{Q}_p$  is not  $C_2(d)$  is finite.

(2) If  $[K : \mathbf{Q}_p] = n$  is finite, there exists a constant  $M(d, n)$ , depending on  $d$  and  $n$ , such that  $K$  is  $C_2(d)$  if  $p > M(d, n)$ .

It is known that all  $p$ -adic fields satisfy the properties  $C_2(2)$  (Hasse) and  $C_2(3)$  (Dem'anov, for  $p \neq 3$ , and Lewis). Thus we may take  $M(2, n) = M(3, n) = 1$  for all  $n \geq 1$ . We give short proofs of these results in Section 4.

The Ax–Kochen theorem asserts the existence of a constant  $M(d, 1)$  for all  $d$ . However, an upper bound for  $M(d, 1)$  has never been computed for any  $d \geq 4$ . The only lower bound estimates known for  $M(d, 1)$ ,  $d \geq 4$ , come from the known counterexamples to Artin's conjecture and these only occur (so far) for certain even values of  $d$ . In particular, Artin's conjecture is still open when  $d$  is a prime number. Our main result is the following.

**THEOREM.** *Let  $K$  be any  $p$ -adic field with residue class field  $k$  of cardinality  $q \geq 47$ . Then  $K$  satisfies the property  $C_2(5)$ .<sup>1</sup>*

The theorem holds for those fields  $K$  satisfying  $[K : \mathbf{Q}_p] = n = ef$ , where  $q = p^f$  and  $p > 43^{1/f}$ . In particular,  $M(5, n) \leq 43$  for all  $n$ .

Here is a rough outline of the proof of the theorem. Let  $F$  be a quintic form over  $K$  in 26 variables. We may assume that  $F$  is reduced, in the sense of [Lx-Lw] (see Section 4). By using an enhancement of a lemma of Laxton–Lewis we may assume that, upon passage to the residue class field  $k$ ,  $F^*$  is a quintic form in at least seven variables defined over  $k$ . We can then reduce to the case where  $F^*$  can be specialized to a curve with at least three singular rational zeros which is either absolutely irreducible or which is reducible. In the former case we apply a version of the Weil estimate to get a nonsingular zero of  $F^*$ , if the residue class field has cardinality at least 47. In the latter case we are able to show that  $F^*$  has a nonsingular zero, if the residue class field has at least 7 elements. Once  $F^*$  is known to have a nonsingular zero, Hensel's lemma gives a nonsingular zero of  $F$ .

We thank A. Prestel for a helpful discussion of the Ax–Kochen theorem.

## 2. NOTATION AND CONVENTIONS

We now summarize various notation, facts, etc. By a form we mean a homogeneous polynomial. Note that a homogeneous polynomial has only homogeneous factors. The  $x_i$ -degree of a polynomial is the degree of the

<sup>1</sup> J.-P. Serre has informed the authors that he can lower the bound of the theorem to  $q \geq 43$ . He improves the result of our Lemma 3.6 by extending the methods of [S1, Section 2] and [S2, Section 3.2].

highest power of the variable  $x_i$  occurring in the polynomial. A polynomial over a field  $k$  is said to be absolutely irreducible if it is irreducible over the algebraic closure of  $k$ .

A point in some affine space is said to be defined over  $k$ , or is  $k$ -rational, if its coordinates are elements of  $k$ ; in projective space, a point is said to be defined over  $k$ , or is  $k$ -rational, if all of the ratios of any set of homogeneous coordinates of the point are in  $k$ .

We say that an affine zero of a form is trivial if all of its coordinates are 0; otherwise, we say that the zero is nontrivial. A zero of a polynomial is said to be singular if all of the partial derivatives of the polynomial vanish there. Let  $f$  be a polynomial in  $n$  variables and let  $\tilde{f}$  be the restriction of  $f$  to a linear subspace  $V$ . If  $z \in V$  is a zero of  $f$  and a nonsingular zero of  $\tilde{f}$ , then  $z$  is a nonsingular zero of  $f$ .

Let  $f$  be a homogeneous polynomial in  $n$  variables over the finite field  $\mathbf{F}_q$ . By  $Z(f)$  we mean the set of  $\mathbf{F}_q$ -rational zeros of  $f$ .  $Z(f)$  may be interpreted as a subset of either  $\mathbf{A}^n(\mathbf{F}_q)$  or  $\mathbf{P}^n(\mathbf{F}_q)$ . We define  $N(f)$  to be the number of projective  $\mathbf{F}_q$ -rational zeros of  $f$ . Note that the number of affine zeros of  $f$  is equal to  $(q-1)N(f)+1$ . If  $X$  is a set, we write  $|X|$  for the cardinality of  $X$ .

Let  $f \in k[x_1, \dots, x_n]$  be a polynomial and let  $\gamma(f)$  be the number of variables occurring in the monomials in  $f$  with nonzero coefficient. Define the order of  $f$  to be  $\min\{\gamma(f(Ax)) \mid A \in GL_n(k)\}$ . This is the number of variables upon which  $f$  actually depends. A polynomial for which  $\gamma(f) \neq \text{order}(f)$  is said to be degenerate; otherwise it is said to be nondegenerate. By definition every polynomial can be made nondegenerate by a linear change of variables. Many times we will refer to a "polynomial in  $n$  variables" in the statement of results; by this we will always mean that the polynomial is nondegenerate. Also we note that any absolutely irreducible homogeneous polynomial of degree greater than 1 has order at least 3.

Let  $R$  be a complete discrete valuation ring with quotient field  $K$ , local prime  $\pi$  and maximal ideal  $M=(\pi)$ . Let  $k$  denote the residue field  $R/M$ . When  $k$  is finite,  $K$  is said to be a local, or  $p$ -adic, field. We denote passage to the residue field by adding a superscript  $*$ . A primitive  $K$ -vector is one with integral (i.e. in  $R$ ) coordinates, at least one of which is a unit.

### 3. SOME GENERAL FACTS

LEMMA 3.1 [Wa]. *Let  $f$  be a homogeneous form of degree  $d$  in  $n$  variables over  $\mathbf{F}_q$ . If  $n > d$ , then  $f$  has at least  $q^{n-d}$  affine  $\mathbf{F}_q$ -rational zeros. The number of projective zeros of  $f$  satisfies  $N(f) \geq (q^{n-d}-1)/(q-1)$ . In particular, if  $n > d$  then  $f$  has a nontrivial  $\mathbf{F}_q$ -rational zero.*

LEMMA 3.2. *Let  $Q$  be a quadratic form and  $C$  a cubic form, both defined over  $\mathbf{F}_q$ . Assume that  $Q$  does not divide  $C$ . If  $Q$  has order 3,  $C$  has order at most 3 and  $q > 5$ , then  $Q$  has a nonsingular  $\mathbf{F}_q$ -rational zero which is not a zero of  $C$ .*

*Proof.* Since  $Q$  has order 3, it is absolutely irreducible. Thus  $Q$  and  $C$  have no common factor. By Bezout's theorem ([Fu, p. 112]), we know that  $Q$  and  $C$  have at most 6 common projective zeros. It is easy to show that  $Q$  has exactly  $q + 1$  projective  $\mathbf{F}_q$ -rational zeros, all of which are nonsingular. Thus if  $q + 1 > 6$ , then there is a nonsingular  $\mathbf{F}_q$ -rational zero of  $Q$  which is not a zero of  $C$ . ■

LEMMA 3.3. *Let  $f$  be a nondegenerate form of prime degree defined over a perfect field  $K$  which has a nontrivial  $K$ -rational zero. If  $f$  is not absolutely irreducible, then  $f$  is reducible over  $K$ .*

*Proof.* Let  $d = \deg(f)$ . We may assume that  $(1, 0, \dots, 0)$  is a zero of  $f$ . Then, since  $f$  is assumed to be nondegenerate,  $1 \leq \deg_{x_0}(f) \leq d - 1$ .

Let  $L$  be a finite Galois extension of  $K$  over which  $f$  factors into absolutely irreducible elements. Let  $\sigma$  be an element of  $\text{Gal}(L | K)$ . Since  $L[x_0, \dots, x_n]$  is a UFD,  $\sigma$  induces a permutation on the set of primes dividing  $f$ . Let  $h$  be a prime properly dividing  $f$  such that  $h(1, 0, \dots, 0) = 0$ . We note that  $\deg h = \deg \sigma h$ ,  $\deg_{x_i}(h) = \deg_{x_i}(\sigma h)$ , for all  $i$ , and that  $\deg h > \deg_{x_0}(h)$ .

Let  $H$  equal the product of the  $K$ -conjugates of  $h$  and let  $r$  be the number of  $K$ -conjugates of  $h$ . Without loss of generality we may assume that  $r > 1$ . We have  $d \geq \deg H = r \cdot \deg h$ . If  $\deg_{x_0}(h) = 0$  then  $\deg_{x_0}(H) = 0$ ; since  $\deg_{x_0}(f) \geq 1$ ,  $H$  must be a proper factor of  $f$ . Now we may assume that both  $r$  and  $\deg h$  are greater than 1 (since  $\deg h > \deg_{x_0}(h)$ ). Since  $d$  is prime and  $d \geq r \cdot \deg(h)$  we must in fact have  $d > r \cdot \deg(h) = \deg H$ . Thus  $H$  is a proper factor of  $f$  defined over  $K$ ; it's easy to show that the other factor is also defined over  $K$ . ■

When  $K$  is not perfect, then Lemma 3.3 is not true. For example, let  $K = \mathbf{F}_p(t)$ ,  $L = K(t^{1/p})$  and  $f = x_1^p + tx_2^p + (1+t)x_3^p$ . Then  $f(1, 1, -1) = 0$  and  $f = (x_1 + t^{1/p}x_2 + (1+t)^{1/p}x_3)^p$ , but  $f$  is irreducible over  $K$ .

Lemma 3.3 also fails for forms of composite degree. For example, let  $K$  be a field and  $L$  an extension of degree 2. Let  $Q$  be an isotropic quadratic form of order at least 3 which is defined over  $L$  but not  $K$ . Assume that  $(1, 0, \dots, 0)$  is a zero of  $Q$ . Then the product of the conjugates of  $Q$  is an isotropic form of degree 4 which is irreducible over  $K$ , but not absolutely irreducible. It has no  $K$ -rational nonsingular zeros. However, Lemma 3.3

extends to forms  $f$  of composite degree if we assume that  $f$  has a nonsingular  $K$ -rational zero. To see this, assume  $f$  is irreducible and let  $L$  be an extension of  $K$  of degree greater than 1 over which  $f$  splits into conjugate factors. A rational zero of  $f$  is a rational zero of some factor and hence of all of them. It then follows from the product rule for derivatives that this zero is singular.

LEMMA 3.4. *Let  $F$  be a polynomial over a  $p$ -adic field  $K$  with  $K$ -integral coefficients. Let  $F^*$  denote the reduction mod  $\pi$  of  $F$ . If  $F^*$  has a nontrivial nonsingular  $F^*$ -rational zero, then  $F$  has a nontrivial  $K$ -rational zero.*

This is one of the many versions of Hensel's lemma. [G] contains a thorough exposition of Hensel's lemma.

THEOREM 3.5 [L-Y] (See Also [Au, Théorème 3.3 and Section 4]). *Let  $N$  be the number of  $\mathbf{F}_q$ -rational points on an absolutely irreducible projective plane curve  $C$  of absolute genus  $g$  and degree  $d$ , defined over  $\mathbf{F}_q$ . Then  $N$  satisfies*

$$|N - (q + 1)| \leq 2g \sqrt{q} + \frac{1}{2}(d - 1)(d - 2) - g.$$

Note that if  $C$  is nonsingular then  $g = \frac{1}{2}(d - 1)(d - 2)$  and we recover the usual estimate.

LEMMA 3.6. *Let  $f$  be an absolutely irreducible homogeneous polynomial of degree 5 in three variables over  $\mathbf{F}_q$ . Assume that  $f$  has at least three singular zeros over the algebraic closure of  $\mathbf{F}_q$ . If  $q \geq 47$ , then  $f$  has a nonsingular  $\mathbf{F}_q$ -rational zero.*

*Proof.* Let  $S$  be the number of singular zeros defined over the algebraic closure of  $\mathbf{F}_q$  on the projective plane curve defined by  $f$ . It follows from the genus formula [Fu, p. 201] that  $g \leq 6 - S$ . Then  $g \leq 3$  since  $S \geq 3$ . These inequalities imply

$$\begin{aligned} (2 \sqrt{q} - 1)g + S &\leq (2 \sqrt{q} - 1)g + (6 - g) = (2 \sqrt{q} - 2)g + 6 \\ &\leq (2 \sqrt{q} - 2)3 + 6 = 6 \sqrt{q} < q - 5, \end{aligned}$$

for  $q \geq 47$ . Thus,

$$S < q - 5 - (2 \sqrt{q} - 1)g = q + 1 - 2g \sqrt{q} + g - 6 \leq N,$$

by Theorem 3.5. Therefore,  $f$  has a nonsingular  $\mathbf{F}_q$ -rational zero. ■

## 4. REDUCED FORMS

Let  $F$  be a form of degree  $d$  in  $n$  variables and let  $K$  be a  $p$ -adic field with residue class field  $\mathbf{F}_q$ . Define  $I(F)$  to be the resultant of the  $n$  partial derivatives of  $F$ . We summarize those facts concerning  $I(F)$  which are needed here. For more information, the reader is referred to Section 4 of [Lx-Lw] and, for general information on resultants, to [W, Chap. 11].

LEMMA 4.1 [Lx-Lw, Lemma 6]. *If  $F$  is a form over a  $p$ -adic field  $K$  such that  $I(F) = 0$  then there exists a sequence of forms  $F_1, F_2, \dots$ , defined over  $K$ , which converges to  $F$  and for which  $I(F_j) \neq 0$ .*

COROLLARY 4.2 [Lx-Lw, Cor. to Lemma 6]. *In order to prove that any form of degree  $d$  over a  $p$ -adic field  $K$  in  $n > d^2$  variables has a non-trivial zero over  $K$  it is sufficient to prove this fact for forms  $F$  for which  $I(F) \neq 0$ .*

The condition  $I(F) \neq 0$  says that the form  $F$  is nonsingular over the algebraic closure of  $K$ , since the resultant of  $n$  forms in  $n$  variables is 0 if and only if the polynomials have a common nontrivial zero. If  $F$  has  $K$ -integral coefficients, then  $\text{ord}(I(F)) \geq 0$ , where  $\text{ord}$  is the normalized valuation on  $K$ .

If  $F$  has  $K$ -integral coefficients, we say that  $F$  is reduced if

$$I(F) \neq 0$$

and

$$\text{ord}(I(F)) \leq \text{ord}(I(G))$$

for all  $G$  which are equivalent to  $F$  (i.e.  $G = aF(Tx)$  for  $a \in K^\times$ ,  $T \in GL_n(K)$ ) and have  $K$ -integral coefficients. It is obvious that every  $F$  with  $K$ -integral coefficients and  $I(F) \neq 0$  is equivalent to a reduced form.

If  $F$  is a reduced form and  $T$  is a unimodular matrix (i.e., an integral matrix which remains an invertible matrix upon passage to the residue class field), then  $F(Tx)$  is also a reduced form.

Let  $F$  be a reduced form over  $K$  and  $F^*$  its reduction mod  $\pi$ . Let  $k$  be the residue class field of  $K$  and  $m$  be the order of  $F^*$ . The next proposition extends Lemma 7 of [Lx-Lw].

PROPOSITION 4.3. *Let  $F$  be a reduced form of degree  $d \geq 2$  in  $n$  variables. Let  $s \geq 0$  be an integer such that  $F^*$  vanishes on an affine  $s$ -dimensional*

linear plane  $V$ . If  $s \geq 2$ , assume that the cardinality of the residue class field is at least  $d$ . Then

$$\text{order } F^* \geq \frac{n}{d} + s.$$

*Proof.* Write  $F = F_0 + \pi F_1$ , where  $F_0$  has  $R$ -unit coefficients ( $F \equiv F_0 \pmod{\pi}$ ). Let  $p_1, \dots, p_m$  be the standard basis vectors of  $\mathbf{A}^m(k)$ . By a unimodular change of variables over  $R$ , we may assume that  $F^*$  involves only  $x_1, \dots, x_m$  nontrivially and that  $F^*$  vanishes on  $x_{s+1} = \dots = x_m = 0$ . It follows from the vanishing of  $F^*$  on  $V$  that every monomial occurring nontrivially in  $F^*$  is divisible by at least one of  $x_{s+1}, \dots, x_m$ . When  $s \geq 2$ , we make use of the well-known fact that if  $d \leq q$ , then the only homogeneous polynomial of degree  $d$  over  $\mathbf{F}_q$  which vanishes identically is the zero polynomial.

Let  $T$  be the  $K$ -integral change of variables given by

$$x_i \rightarrow x_i, \quad i = 1, \dots, s, m + 1, \dots, n; \quad x_i \rightarrow \pi x_i, \quad i = s + 1, \dots, m.$$

The form  $G = \pi^{-1}F(Tx)$  has  $K$ -integral coefficients, so as in Lemma 7 of [Lx-Lw] we have

$$-n + d(m - s) \geq 0,$$

$$m \geq \frac{n}{d} + s. \quad \blacksquare$$

**COROLLARY 4.4.** *If  $n > d^2$  and the cardinality of the residue class field is at least  $d$  when  $s \geq 2$ , then  $N(F^*) \geq (q^{s+1} - 1)/(q - 1)$ .*

*Proof.* By Proposition 4.3, we have

$$m - d \geq \frac{n}{d} + s - d \geq \frac{d^2 + 1}{d} + s - d > s.$$

Since  $m - d$  is an integer, we have  $m - d \geq s + 1$ . Combining this with Lemma 3.1, we get

$$N(F^*) \geq \frac{q^{m-d} - 1}{q - 1} \geq \frac{q^{s+1} - 1}{q - 1}. \quad \blacksquare$$

Using the results of this section we can give a quick proof that quadratic forms in at least five variables and cubic forms in at least ten variables over  $p$ -adic fields are isotropic, as promised in the introduction.

The argument goes as follows. Let  $F$  be a form of degree  $d = 2$  or  $3$  in at least  $d^2 + 1$  variables over a  $p$ -adic field  $K$ , with residue class field of any cardinality. By Corollary 4.2 we may assume that  $F$  is reduced. Then by Proposition 4.3 with  $s = 0$  we know that  $F^*$  has order at least

$d + 1$ ,  $d = 2, 3$ . By Lemma 3.1,  $F^*$  has a nontrivial rational zero. If  $F^*$  is a quadratic form of order at least 3, then it is easy to show that  $F^*$  has a nonsingular zero. If  $F^*$  is a cubic form, suppose it has a nontrivial singular zero. After changing variables we may write

$$F^* = x_0 A(x_1, \dots, x_n) + B(x_1, \dots, x_n),$$

where  $A$  is a nonzero quadratic form. Choose  $z_1, \dots, z_n$  such that  $A(z_1, \dots, z_n) \neq 0$  and set  $z_0 = -B(z_1, \dots, z_n)/A(z_1, \dots, z_n)$ . Then  $(z_0, \dots, z_n)$  is a nonsingular zero of  $F^*$ . Hensel's lemma then gives a nontrivial  $K$ -rational zero of  $F$ , in both cases.

## 5. THE PROOF OF THE MAIN THEOREM

**LEMMA 5.1.** *Let  $f$  be a quintic form in at least two variables over a field  $k$ . Assume that  $f$  has two singular projective  $k$ -rational zeros  $u$  and  $v$ . Let  $\langle u, v \rangle \subset \mathbf{P}^n(k)$  denote the projective line through  $u$  and  $v$ . Then at least one of the following possibilities occurs:*

- (1)  $u$  and  $v$  are the only zeros of  $f$  in  $\langle u, v \rangle$ ;
- (2) The restriction of  $f$  to  $\langle u, v \rangle$  is the zero polynomial;
- (3)  $\langle u, v \rangle$  contains a nonsingular  $k$ -rational zero of  $f$ .

*Proof.* By a  $k$ -rational change of variables we may assume  $u = (1, 0, \dots, 0)$  and  $v = (0, 1, 0, \dots, 0)$ . Then

$$f(x_0, x_1, 0, \dots, 0) = ax_0^3x_1^2 + bx_0^2x_1^3 = x_0^2x_1^2(ax_0 + bx_1).$$

If either  $a = 0$  or  $b = 0$ , but not both, we have case 1. If  $a = b = 0$ , we have case 2. If  $ab \neq 0$ , then  $f$  has a simple linear factor and  $(-b, a, 0, \dots, 0)$  is a nonsingular zero of  $f$ . ■

**LEMMA 5.2.** *Let  $f$  be a quintic form in at least three variables over  $\mathbf{F}_q$ . Assume that  $f$  has three singular  $\mathbf{F}_q$ -rational zeros  $v_1, v_2, v_3$  which span a projective plane. Assume that  $\langle v_i, v_j \rangle \cap Z(f) = \{v_i, v_j\}$ , for all  $i, j$ .*

*If the restriction of  $f$  to  $\langle v_1, v_2, v_3 \rangle$  is not absolutely irreducible and  $q > 5$ , then  $f$  has a nonsingular  $\mathbf{F}_q$ -rational zero.*

*Proof.* By a change of variables we may assume that the  $v_i$  are the first three basis vectors. Define  $g(x_1, x_2, x_3) = f(x_1, x_2, x_3, 0, \dots, 0)$ . Assume that  $g$  is not absolutely irreducible. Then by Lemma 3.3,  $g$  is reducible over  $\mathbf{F}_q$ .

Let  $K$  denote the algebraic closure of  $\mathbf{F}_q$ . Let  $\langle v_i, v_j \rangle \subset \mathbf{P}^2(K)$  be the line spanned by  $v_i$  and  $v_j$ . From the proof of Lemma 5.1, one sees that  $v_i$  and  $v_j$  are the only zeros of  $f$  on  $\langle v_i, v_j \rangle$  over  $K$ . Assume that  $g$  has a linear factor  $L$  defined over  $K$ .  $\langle v_i, v_j \rangle \cap Z(L)$  consists of exactly one point, for each  $i, j$ . As any point on  $Z(L)$  is a zero of  $g$ , we conclude that  $\langle v_1, v_2 \rangle \cap Z(L)$



equals, say,  $\{v_1\}$ . Then  $\langle v_2, v_3 \rangle \cap Z(L)$  equals, say,  $\{v_2\}$ , from which we conclude that  $Z(L) = \langle v_1, v_2 \rangle$ . This contradicts the assumption that  $\langle v_1, v_2 \rangle$  contains but two zeros of  $f$ . Thus  $g$  has no linear factor over  $K$ .

Since  $g$  is reducible and has no linear factor, we conclude that  $g = hk$ , where  $\deg h = 2$ ,  $h$  is absolutely irreducible and  $h$  does not divide  $k$ . By Lemma 3.2,  $h$  has a nonsingular  $\mathbf{F}_q$ -rational zero which is not a zero of  $k$ . This gives a nonsingular  $\mathbf{F}_q$ -rational zero of  $g$  and thus a nonsingular  $\mathbf{F}_q$ -rational zero of  $f$ . ■

LEMMA 5.3. *Let  $f$  be a quintic form in  $n$  variables over  $\mathbf{F}_q$ ; assume  $q \geq 4$ . Let  $m \geq 1$  and assume that  $Z(f)$  contains an  $m$ -dimensional projective plane  $V$  and two points  $u, v$  not in  $V$ . Also assume that for every projective plane  $W \subset V$  of codimension 1, we have either  $\langle W, u \rangle \subset Z(f)$  or  $\langle W, v \rangle \subset Z(f)$ . If  $f$  does not have a nonsingular rational zero, either  $\langle V, u \rangle \subset Z(f)$  or  $\langle V, v \rangle \subset Z(f)$ .*

*Proof.* Let  $[x_0 : \dots : x_m]$  be homogeneous coordinates for  $V$ . Let  $W_1, \dots, W_{q+1}$  be the collection of codimension 1 projective planes in  $V$  defined by the equations

$$ax_{m-1} + bx_m = 0, \quad \text{for } [a : b] \in \mathbf{P}^1(\mathbf{F}_q).$$

Easily we see that  $V = \bigcup_{i=1}^{q+1} W_i$  and  $\text{codim}(\bigcap_{i=1}^{q+1} W_i) = 2$ .

Since  $q \geq 4$ , there are at least five  $W_i$ . By a pigeonhole argument and appropriate relabeling, we may assume that  $\langle W_i, u \rangle \subset Z(f)$ ,  $i = 1, 2, 3$ .

Next we show that, for distinct  $i, j$  ( $1 \leq i, j \leq 3$ ),

$$(*) \quad \langle W_i, u \rangle \cap \langle W_j, u \rangle = \langle W_i \cap W_j, u \rangle$$

$$(**) \quad \langle W_i, u \rangle \cap \langle W_j, u \rangle = \bigcap_{i=1}^3 \langle W_i, u \rangle$$

Clearly, the inclusion “ $\supseteq$ ” holds in both statements. Observe that each  $\langle W_i, u \rangle$  is an  $m$ -dimensional projective plane and  $\langle W_i \cap W_j, u \rangle$  is an  $(m-1)$ -dimensional projective plane. In addition,  $\langle W_i, u \rangle \neq \langle W_j, u \rangle$  since  $\langle W_i, u \rangle \cap V = W_i$ . Now equality in  $(*)$  follows easily by counting dimensions.

Since  $W_i \cap W_j = \bigcap_{i=1}^3 W_i$ , we see

$$\langle W_i, u \rangle \cap \langle W_j, u \rangle = \langle W_i \cap W_j, u \rangle = \left\langle \bigcap_{i=1}^3 W_i, u \right\rangle \subseteq \bigcap_{i=1}^3 \langle W_i, u \rangle,$$

and this proves  $(**)$ .

Let  $x \in \langle V, u \rangle$ ,  $x \notin \bigcup_{i=1}^3 \langle W_i, u \rangle$ . Since  $\text{codim}(\bigcap_{i=1}^3 W_i) = 2$ , it follows from  $(*)$  and  $(**)$  that  $\bigcap_{i=1}^3 \langle W_i, u \rangle$  has codimension 2 in  $\langle V, u \rangle$ . Thus

there is a projective line  $L$  in  $\langle V, u \rangle$  through  $x$  which does not intersect  $\bigcap_{i=1}^3 \langle W_i, u \rangle$ . Since  $x \notin \langle W_i, u \rangle$  and  $\langle W_i, u \rangle$  has codimension 1 in  $\langle V, u \rangle$ , it follows that  $L \cap \langle W_i, u \rangle$  consists of exactly one point  $u_i$ , for each  $i$ . The  $u_i$  are distinct, for if  $u_i = u_j$ , then from (\*\*) we would have  $u_i \in L \cap \langle W_i, u \rangle \cap \langle W_j, u \rangle = L \cap (\bigcap_{i=1}^3 \langle W_i, u \rangle) = \emptyset$ , a contradiction.

We have shown that  $L \cap Z(f)$  contains at least three points. By Lemma 5.1, we know that either  $L$  contains a nonsingular point of  $f$  or  $f$  vanishes identically on  $L$ . If  $\langle V, u \rangle$  contains no nonsingular zero of  $f$ , then  $x \in Z(f)$  for each  $x \in \langle V, u \rangle$  and hence  $\langle V, u \rangle \subseteq Z(f)$ . ■

**PROPOSITION 5.4.** *Let  $F$  be a reduced quintic form in at least 26 variables over a  $p$ -adic field  $K$ . Assume that  $q > 5$ . Then either  $F^*$  satisfies the hypotheses of Lemma 5.2 or  $F^*$  has a nonsingular zero over the residue class field of  $K$ .*

*Proof.* Assume that  $F^*$  has no nonsingular zero over the residue class field of  $K$ . Let  $s$  be the maximum of the affine dimensions of the linear subspaces of  $Z(F^*)$ . By Lemma 3.1 and Proposition 4.3,  $s \geq 1$ .

If  $s = 1$ , then by Corollary 4.4,  $F^*$  has at least  $q + 1$  projective zeros. They cannot all lie on a projective line since  $s = 1$ . Choose three,  $v_1, v_2, v_3$ , which span a projective plane. Since  $s = 1$ ,  $F^*$  does not vanish identically on any  $\langle v_i, v_j \rangle$ . By Lemma 5.1,  $v_1, v_2, v_3$  satisfy the hypotheses of Lemma 5.2.

Assume now that  $s \geq 2$ . Let  $V \subseteq Z(F^*)$  be a projective plane of maximal dimension  $s - 1$ . It follows from Corollary 4.4 that  $Z(F^*)$  contains at least two points not in  $V$ . Let  $X = Z(F^*) - V$ . We will show there exist  $w \in V$  and  $u, v \in X$  such that  $\{u, v, w\}$  satisfies the hypotheses of Lemma 5.2. That is,  $Z(F^*) \cap \langle u, v \rangle = \{u, v\}$ , and similarly for  $\{u, w\}$  and  $\{v, w\}$ .

Suppose there is no pair  $u, v \in X$  such that  $Z(F^*) \cap \langle u, v \rangle = \{u, v\}$ . Then for all  $x, y \in X$  with  $x \neq y$ ,  $\langle x, y \rangle \subseteq Z(F^*)$  by Lemma 5.1. Let  $W$  be a projective plane in  $Z(F^*)$  of maximal dimension, not contained in  $V$ . Such a plane exists because  $Z(F^*)$  contains  $\langle x, y \rangle$ , where  $x, y \in X$ . We will now show that  $X \subseteq W$ .

Suppose  $w \in X$  and  $w \notin W$ . Then  $W \cap V$  has positive codimension in  $W$ , since  $W \not\subseteq V$ . We have  $W - (W \cap V) \subseteq X$  since  $W \subseteq Z(F^*)$ . Thus  $F^*$  vanishes on the complement of  $\langle W \cap V, w \rangle$  in  $\langle W, w \rangle$  because every element of this complement lies on a line joining two points of  $X$ , namely, a point of  $W - (W \cap V)$  and  $w$ . Let  $H$  be a plane in  $\langle W, w \rangle$  of codimension 1 containing  $\langle W \cap V, w \rangle$  and let  $H$  be given by the equation  $g = 0$ . Then  $gF^* = 0$  for every point of  $\langle W, w \rangle$ . Since  $q > 5$ , we conclude that  $gF^*$  is the zero polynomial on  $\langle W, w \rangle$ . Since  $g$  is not the zero polynomial on  $\langle W, w \rangle$ , it follows  $F^*$  is the zero polynomial on  $\langle W, w \rangle$ . Thus  $\langle W, w \rangle \subseteq Z(F^*)$ , contradicting the maximality of  $\dim W$ . Therefore,  $X \subseteq W$ .

We have  $Z(F^*) = V \cup W$  and  $\dim W \leq \dim V = s - 1$ . Corollary 4.4 implies

$$N(F^*) = |W \cup V| \leq |W| + |V| \leq \frac{2(q^s - 1)}{q - 1} < \frac{(q^{s+1} - 1)}{q - 1} \leq N(F^*),$$

a contradiction. Thus there must exist  $u, v \in X$  such that  $\langle u, v \rangle \cap Z(F^*) = \{u, v\}$ .

Suppose now that for all  $x \in V$ , either  $\langle u, x \rangle \subseteq Z(F^*)$  or  $\langle v, x \rangle \subseteq Z(F^*)$ . Then we may apply Lemma 5.3 inductively to conclude  $\langle V, u \rangle \subseteq Z(F^*)$  or  $\langle V, v \rangle \subseteq Z(F^*)$ , each of which contradicts the maximality of  $\dim V$ . Therefore, there exists  $w \in V$  such that  $\langle u, w \rangle \cap Z(F^*) = \{u, w\}$  and  $\langle v, w \rangle \cap Z(F^*) = \{v, w\}$ . We are done since  $\{u, v, w\}$  satisfies the hypotheses of Lemma 5.2. ■

*Proof of Theorem.* Let  $F$  be a quintic form over a  $p$ -adic field  $K$  in at least 26 variables. By Corollary 4.2, we may assume  $F$  is reduced. By Proposition 5.4 we know that either  $F^*$  has a nonsingular rational zero or it satisfies the hypotheses of Lemma 5.2, in which case we may assume the restriction of  $F^*$  is absolutely irreducible. Then we apply Lemma 3.6 to conclude that  $F^*$  has a nonsingular rational zero. It then follows from Lemma 3.4 (Hensel's lemma) that  $F$  has a nontrivial rational zero.

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