

MOTIVIC ORTHOGONAL TWO-DIMENSIONAL REPRESENTATIONS OF $\text{Gal}(\bar{\mathbb{Q}}/\mathbb{Q})$

BY

RON LIVNÉ

Institute of Mathematics

The Hebrew University of Jerusalem, Givat Ram, Jerusalem 91904, Israel

e-mail: rlivne@math.huji.ac.il

ABSTRACT

Given a two-dimensional compatible family of l -adic representations which is motivic and which respects an orthogonal form up to similitudes, we show how to express its L -function in terms of a Hecke character. We give several examples and in particular we analyze a representation associated to a certain $K3$ surface which arose in the study of Kloosterman sums.

Introduction

To compute the ζ -function ζ_V of an algebraic variety V over a number field K one breaks the cohomology groups of V motivically as much as possible. If the pieces are all one-dimensional (example: diagonal hypersurfaces) there is an effective and quite efficient algorithm to perform the computation. For each piece one first writes an explicit, finite list of Hecke characters of type A_0 of K such that the contribution of the piece to ζ_V is a member of the list. This gives a finite list of possibilities for ζ_V . In a second step, one counts the number of points of V over residue fields of K and one compares this to the result coming from each candidate for ζ_V . After sufficiently many primes all possibilities but one for ζ_V are eliminated, and the remaining one is the answer.

On the other hand, if there are higher-dimensional pieces, no general algorithm to compute ζ_V is presently known, although the Langlands program might eventually yield one. In fact in special cases, for example if all the pieces are at most two dimensional and $K = \mathbb{Q}$, there is still a moderately efficient algorithm, in

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which the amount of computation is bounded in advance, but whose success is guaranteed only modulo the Langlands conjectures (see [L]).

In this article we will show that under a certain assumption it is possible to reduce the second, conditional algorithm to the first, unconditional one. The assumption is that the two-dimensional pieces carry symmetric non-degenerate pairings. As a numerical example, we will give an alternative way to [PTV] for computing (the main part of) the zeta function of

$$X = \left\{ (x_1, \dots, x_5) \in \mathbb{P}^4 \mid \sum x_i = \sum x_i^{-1} = 0 \right\}$$

which arises from the fifth moment of Kloosterman sums. Notice that in the second step we end up needing only the number of points of X modulo 2, as opposed to considering points modulo primes up to 61 as in [PTV]. We will also discuss similar and other types of examples.

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1. Orthogonal two-dimensional representations

For a number field $K \subset \mathbb{C}$ put $G_K = \text{Gal}(\bar{\mathbb{Q}}/K)$ and let $C_K = K^\times \backslash \mathbb{A}_K^\times$ be the group of idèle classes of K . Characters of C_K will always be of type A_0 and denoted by greek letters μ, ϵ, \dots . We will say such a character is \mathbb{Q} -valued if its values on $\mathbb{A}_K^{\times, f}$ are rational. For a place λ of the field of coefficients we will denote the corresponding λ -adic characters by $\mu_\lambda, \epsilon_\lambda, \dots$. These form compatible systems $\mu_{\text{Gal}}, \epsilon_{\text{Gal}}, \dots$ of ℓ -adic (or λ -adic) representations of G_K . Let $\chi: C_{\mathbb{Q}} \rightarrow \mathbb{C}^\times$ be the cyclotomic character. If $\epsilon: C_{\mathbb{Q}} \rightarrow \mathbb{C}^\times$ has finite order we denote by $\epsilon_{\text{Dir}}: \mathbb{Z}/(\text{cond } \epsilon)\mathbb{Z} \rightarrow \mathbb{C}$ the corresponding Dirichlet character.

PROPOSITION 1.1: *Suppose $\mu: C_K \rightarrow \mathbb{C}^\times$ is \mathbb{Q} -valued. Then $\mu = (\chi \circ N_{K/\mathbb{Q}})^k \epsilon$ for an integer k and a quadratic character ϵ .*

Proof: Let $L \supset K$ be finite Galois over \mathbb{Q} and let $l \neq 0$ be an integer such that $(\mu \circ N_{L/K})^l = \mu'$ is unramified. Let P be a principal ideal of degree 1 in L above

a prime $p \in \mathbb{Q}$ (so $L_P \simeq \mathbb{Q}_p$), let $\pi \in P$ be a generator, and put $\alpha = \mu'_P(\pi)$. Then $\alpha \in \mathbb{Q}^\times$ and by the product formula $\alpha = \prod_{\sigma: L \rightarrow \mathbb{C}^\times} (\sigma\pi)^{n_\sigma}$ for some integers n_σ . The fractional ideal $(\alpha) \subset \mathbb{Q}$ must be a power of (p) , so all the n_σ 's are equal. Hence the ∞ -type of μ' is composed with the norm $N_{L/\mathbb{Q}}$, so that the ∞ -type of μ is composed with $N_{K/\mathbb{Q}}$. There is then an integer k so that $\epsilon = \mu(\chi \circ N_{K/\mathbb{Q}})^{-k}$ is of finite order. Being \mathbb{Q} -valued, it is quadratic.

Remark 1.2: If $[K:\mathbb{Q}] = 2$ and $\mu: C_K \rightarrow \mathbb{C}^\times$ has ∞ -type not composed with the norm, the method of the preceding proof shows that the field of values of μ contains K .

In what follows a **motive** means a pure Grothendieck motive satisfying the Weil conjectures and the compatibilities between $H_{\acute{e}t}$, H_{deRham} , H_{Betti} and the Hodge filtration. Since Faltings's theory [Fa] is functorial, this means that we also have a Hodge–Tate structure on ℓ -adic cohomology which is compatible with the Hodge type (we only need this for $\ell \gg 0$, when the varieties and correspondences defining M have good reduction). For a character μ of $C_{\mathbb{Q}}$ which is \mathbb{Q} -valued the twist $\mathbb{Q}(\mu)$ of the motive \mathbb{Q} by μ is still defined over \mathbb{Q} . As usual, $\mathbb{Q}(n) = \mathbb{Q}(\chi^n)$.

THEOREM 1.3: *Let M be a motive of rank 2 over \mathbb{Q} with Hodge numbers $\dim H^{p,q} = \dim H^{q,p} = 1$ where $p > q$. Assume $\langle \ , \ \rangle: M \otimes M \rightarrow \mathbb{Q}(\alpha)$ is a non-degenerate symmetric pairing where $\alpha: C_{\mathbb{Q}} \rightarrow \mathbb{C}^\times$ is \mathbb{Q} -valued. Let D be the discriminant of $\langle \ , \ \rangle$ on $H_{\text{Betti}}(M)$ and let ρ be the associated compatible family of ℓ -adic representations. Then*

1. D is positive. Putting $K = \mathbb{Q}(\sqrt{-D})$, there is a unique character $\psi: C_K \rightarrow K^\times \subset \mathbb{C}^\times$ of ∞ -type $z \rightarrow z^{p-q}$ such that $\rho \otimes K \simeq \chi_{\text{Gal}}^{-q} \otimes \text{Ind}_{G_K}^{G_{\mathbb{Q}}} \psi_{\text{Gal}}$.
2. ρ is irreducible, of conductor $\text{cond } \rho = \text{Disc}(K/\mathbb{Q}) \cdot N_{K/\mathbb{Q}}(\text{cond } \psi)$ and determinant $\det \rho = \chi_{\text{Gal}}^{-(p+q)} \epsilon_{\text{Gal}}$, where $\epsilon: C_{\mathbb{Q}} \rightarrow \mathbb{C}^\times$ is a quadratic character satisfying $\epsilon_{\text{Dir}}(-1) = (-1)^{p+q+1}$.
3. Let $\sigma: K \rightarrow K$ be the non-trivial automorphism and put $\psi^\sigma = \psi \circ \sigma$. Then ψ^σ is the complex conjugate $\bar{\psi}$ of ψ and $\psi|_{C_{\mathbb{Q}}} = \alpha$.
4. $\det \rho = \alpha_{\text{Gal}} \mu_{\text{Gal}}$, where $\mu: C_{\mathbb{Q}} \rightarrow \mathbb{C}^\times$ is the quadratic character defining K .

Proof: For a symmetric non-degenerate pairing $\langle \ , \ \rangle$ on a finite-dimensional vector space V the group of orthogonal similitudes $\text{GO} = \text{GO}(V, \langle \ , \ \rangle)$ is the group of maps $g \in \text{GL}(V)$ satisfying $\langle gv, gw \rangle = \lambda(g)\langle v, w \rangle$ for all v, w in V . We view it as an algebraic group. The factor of similitude $\lambda(g)$ satisfies

$\lambda(g)^{\dim V} = (\det g)^2$. When $\dim V$ is even, the connected component of Id_V in GO is $\text{GSO} = \{g \in \text{GO} \mid \lambda(g)^{(\dim V)/2} = \det g\}$. In our case we let GO be the algebraic group over \mathbb{Q} defined by the given pairing $\langle \ , \ \rangle$ on $H_{\text{Betti}}(M)$. We then have $\alpha_{\text{Gal}}(g)^2 = (\det \rho(g))^2$ for any $g \in G_{\mathbb{Q}}$, and putting $\mu_{\text{Gal}} = \alpha_{\text{Gal}}^{-1} \det \rho$ we see that $\mu_{\text{Gal}}^2 = 1$. Let L be the field cut by μ_{Gal} , so $\text{Ker } \mu_{\text{Gal}} = G_L$, and ρ maps G_L into GSO . Since $\text{GSO} \simeq \text{Res}_{K/\mathbb{Q}} \mathbb{G}_m$, it follows that GSO is abelian: in fact $\text{GSO}(\mathbb{Q}) \simeq K^\times$. Therefore $\rho|_{G_L}$ is a rational abelian representation in the sense of Serre [ALR]. It follows that $\rho|_{G_L}$ is locally algebraic, which means that it can be diagonalized: thus

$$\rho|_{G_L} \simeq \begin{pmatrix} \varphi_{\text{Gal}} & 0 \\ 0 & \varphi'_{\text{Gal}} \end{pmatrix}$$

for some characters φ, φ' of C_L .

We claim that the ∞ -type of φ, φ' cannot both be composed with the norm $N_{L/\mathbb{Q}}$. If they were we would have $\varphi = (\chi \circ N_{L/\mathbb{Q}})^k \delta$ and $\varphi' = (\chi \circ N_{L/\mathbb{Q}})^{k'} \delta'$ for integers k, k' and Hecke characters δ, δ' of finite orders. By purity we would get $k = k' = (p+q)/2$. But then the Hodge-Tate type of M would be (k, k) and not (p, q) , contradicting [Fa]. Therefore $L \neq \mathbb{Q}$, so that L is quadratic. The field of values for φ (or φ') contains L by Remark 1.2 and is contained in K (since ρ is rational), so $K = L$. This proves 4.

The values of φ at Frobenius elements must be Weil numbers in K . They cannot all be in \mathbb{Q} , or else \mathbb{Q} would be composed with the norm. Therefore K is quadratic imaginary. By [Fa] and purity again we see that, permuting φ, φ' if necessary, the ∞ -type of φ is $z \rightarrow z^p \bar{z}^q$. We also see that φ is K -valued and $\varphi' = \varphi^\sigma = \bar{\varphi} \neq \varphi$. It follows that $\rho \otimes K \simeq \text{Ind}_{G_K}^{G_{\mathbb{Q}}} \varphi_{\text{Gal}}$ and that ρ is irreducible (see [Dur], where the entirely parallel case of dihedral Artin representations is handled). Put $\psi = (\chi \circ N_{K/\mathbb{Q}})^q \varphi$. Then the ∞ -type of ψ is $z \rightarrow z^{p-q}$ and $\rho \otimes K \simeq \chi_{\text{Gal}}^{-q} \otimes \text{Ind}_{G_K}^{G_{\mathbb{Q}}} \psi_{\text{Gal}}$, proving 1 and the first part of 3.

The formula for $\text{cond } \rho$ is the same as in [Dur]. Since $\det \rho$ is \mathbb{Q} -valued it is of the form $\chi_{\text{Gal}}^k \epsilon_{\text{Gal}}$ for ϵ quadratic by Proposition 1.1. By purity (or ∞ -type) $k = -(p+q)$. Let $c \in G_{\mathbb{Q}}$ be a complex conjugation. Then $\rho(c)$ interchanges $H^{p,q}(M)$ and $H^{q,p}(M)$, so $\text{Tr } \rho(c) = 0$. Since $c^2 = 1$ it follows that $-1 = \det \rho(c) = \chi_{\text{Gal}}^{-(p+q)}(c) \epsilon_{\text{Gal}}(c) = (-1)^{p+q} \epsilon_{\text{Dir}}(-1)$. This shows 2, and since $\det \rho = \mu_{\text{Gal}}(\psi|_{C_{\mathbb{Q}}})_{\text{Gal}}$ as in [Dur], we obtain $\psi|_{C_{\mathbb{Q}}} = \alpha$, proving the last part of 3 and the theorem. ■

COROLLARY 1.4:

- (1) The L -function $L(\rho, s)$ is $L(\phi, s) = L(\psi, s + q)$. In particular it has the usual sort of analytic continuation and functional equation.
- (2) There exists a unique cuspidal newform f such that $L(\rho, s) = L(f, s + q)$. This f is of weight $p + 1 - q$, level $\text{cond } \rho$ and character $\epsilon = (\alpha\mu\chi^{p+q})_{\text{Dir}}$. It has complex multiplication by K .

Example 1.5: Let E be an elliptic curve over \mathbb{Q} with complex multiplication by $K = \mathbb{Q}(\sqrt{-D})$. The motive $M = H^1(E) \otimes \mathbb{Q}$ satisfies the standard compatibilities between the various types of cohomology. Its Hodge type is $\dim H^{1,0} = \dim H^{0,1} = 1$. Define ϵ as the quadratic character associated to K . The cup pairing $M \otimes M \xrightarrow{\cup} \mathbb{Q}(-1)$ is non-degenerate and alternating, and defining $\langle \ , \ \rangle : M \otimes M \rightarrow \mathbb{Q}(-1)(\epsilon)$ by $\langle x, y \rangle = x \cup (\sqrt{-D} y)$ gives a non-degenerate symmetric pairing.

The discriminant $\text{Disc}\langle \ , \ \rangle$ of $\langle \ , \ \rangle$ is D up to a factor in $(\mathbb{Q}^\times)^2$. To see this choose any $t \in H^1_{\text{Betti}}(E, \mathbb{Q})$. Then $t \cup t = \sqrt{-D}t \cup \sqrt{-D}t = 0$, and we may view the generator $u = t \cup \sqrt{-D}t$ of $H^2_{\text{Betti}}(E, \mathbb{Q}) \simeq \mathbb{Q}$ as a non-zero rational number (in fact we may choose a t for which $u = 1$, but we do not need this). With respect to the basis $t, \sqrt{-D}t$ of $H^1_{\text{Betti}}(E, \mathbb{Q})$ we get

$$\begin{aligned} \text{Disc}\langle \ , \ \rangle &= \det \begin{pmatrix} \langle t, t \rangle & \langle t, \sqrt{-D}t \rangle \\ \langle \sqrt{-D}t, t \rangle & \langle \sqrt{-D}t, \sqrt{-D}t \rangle \end{pmatrix} \\ &= \det \begin{pmatrix} t \cup \sqrt{-D}t & t \cup (-Dt) \\ \sqrt{-D}t \cup \sqrt{-D}t & \sqrt{-D}t \cup (-Dt) \end{pmatrix} \\ &= \det \begin{pmatrix} u & 0 \\ 0 & Du \end{pmatrix} = Du^2. \end{aligned}$$

As is well-known the corresponding cusp form f has weight 2 and trivial character, reflecting the fact that $p + 1 - q = 2$ and

$$\det \rho = \alpha_{\text{Gal}} \mu_{\text{Gal}} = (\chi_{\text{Gal}}^{-1} \epsilon_{\text{Gal}}) \mu_{\text{Gal}} = \chi_{\text{Gal}}^{-1}.$$

Example 1.6: Let X be a $K3$ surface over \mathbb{Q} with maximal Picard number $\rho = \text{rank } N.S.(X) = 20$. Put $M = (H^2(X)/N.S.(X)) \otimes \mathbb{Q}$, the motive of the transcendental cycles. M satisfies the required compatibilities, and its Hodge type is $\dim H^{2,0} = \dim H^{0,2} = 1$. The cup product pairing $\cup = \langle \ , \ \rangle : M \otimes M \rightarrow \mathbb{Q}(-2)$ is non-degenerate and symmetric. Let c_1, \dots, c_{20} be a basis for $N.S.(X) \otimes \mathbb{Q}$, and let d be the determinant of the matrix of intersection numbers

$c_i \cdot c_j$. By the Hodge index theorem d is negative. Since the discriminant of cup product on $H^2(X)$ is -1 (in fact $(H^2(X), \cup) \simeq H^3 \oplus (-E_8)^2$, see [BPV], ch. VIII, proposition 3.2.ii), we get that $D = \text{Disc}(M, \langle \cdot, \cdot \rangle)$ is positive and equal to $-d$ up to a rational square. By the theorem $\det \rho = \alpha_{\text{Gal}} \mu_{\text{Gal}} = \chi_{\text{Gal}}^{-2} \epsilon_{\text{Gal}}$, where $\epsilon = \mu$ and $\epsilon_{\text{Dir}}(p) = \left(\frac{-d}{p}\right)$. This gives a form of weight 3 and odd character ϵ_{Dir} .

Remark 1.7: In Example 1.6 the reference to [Fa] in the proof of the theorem can be replaced by one to [S-I]. They prove that over some extension of \mathbb{Q} the L -function of X is $L(\psi_1^2, s) L(\bar{\psi}_1^2, s)$, where ψ_1 is a Hecke character attached to an elliptic curve with complex multiplication. This determines the ∞ -type of our ψ to be $z \rightarrow z^{-2}$, as required.

Remark 1.8: Serre. In the field K of Theorem 1.3 each ideal class has order dividing $p - q$. Indeed, let P be an ideal of K whose class has order t . Write $P^t = \pi \mathcal{O}$, and let π_P be a uniformizer at P . Then $\psi_P(\pi_P)^t = \psi_P(\pi) = \psi_\infty(\pi)^{-1} = \pi^{p-q}$, which implies $\psi_P(\pi_P)^t \mathcal{O}_K = P^{t(p-q)}$. Hence $P^{p-q} = \psi_P(\pi_P) \mathcal{O}_K$ is principal, so $t|p - q$.

2. The case of \tilde{X}

The minimal projective non-singular model \tilde{X} of the surface X from the introduction is a $K3$ surface of maximal Picard number. The computations in [PTV] determine the parts of $H^*(\tilde{X})$ which are spanned by algebraic cycles. They show that up to squares the discriminant of the intersection pairing on $N.S.(\tilde{X})$ is -15 ([PTV], Theorem 2.5). To compute $\zeta_{\tilde{X}}$ (or ζ_X) it remains to compute the contribution of the transcendental cycles, discussed in Example 1.6. By our Theorem 1.3, $K = \mathbb{Q}(\sqrt{-15})$ and we want to determine ψ , whose ∞ -type is $z \rightarrow z^{-2}$. Note that our formula for $\det \rho$ checks with [PTV], propositions 3.3.ii and 4.1. The class number of K is 2, and $\text{Cl}(K)$ is generated by $P_2 = (2, \alpha)$ with $\alpha = (1 + \sqrt{-15})/2$. We have $P_2^2 = (\alpha)$. Define an unramified character $\psi_0: \mathbb{A}_K^\times \rightarrow \mathbb{C}^\times$ by $\psi_{0,\infty}(z) = z^{-2}$ and

$$\psi_{0,P}(\pi_P) = \begin{cases} \pi^2 & \text{if } P = (\pi) \\ \pi^2/\alpha & \text{if } P_2 P = (\pi) \end{cases}$$

for any ideal P of K and any uniformizer π_P of K at P . Then ψ_0 is well-defined (the only units in $\mathcal{O} = \mathcal{O}_K$ are ± 1), and $\psi_0(K^\times) = 1$. It follows that ψ_0 may be viewed as a Hecke character. Put $\nu = \psi_0^{-1} \psi$. Since ν is K^\times -valued and of finite

order it is quadratic. Since \bar{X} has good reduction outside 3, 5, our ρ and hence ν are unramified outside primes above 3 and 5. Hence ν factors through

$$C' = K^\times \setminus \mathbb{A}_K^\times / \left(\left(\prod_{(P,15)=1} \mathcal{O}_P^\times \right) \times (\mathcal{O}_{P_3}^\times \times \mathcal{O}_{P_5}^\times)^2 \times \mathbb{C}^\times \right)$$

where P_3, P_5 are the primes of K above 3, 5 respectively. C' is an extension of $\text{Cl}(K)$ by $A = (\mathcal{O}_{P_3}^\times \times \mathcal{O}_{P_5}^\times) / (\mathcal{O}_{P_3}^\times \times \mathcal{O}_{P_5}^\times)^2 \mathcal{O}_K^\times$, where \mathcal{O}_K^\times is embedded diagonally. Hence

$$A \simeq (\mathbb{F}_3^\times \times \mathbb{F}_5^\times) / \left((\mathbb{F}_3^\times \times \mathbb{F}_5^\times)^2 \cdot \{\pm(1, 1)\} \right) \simeq \mathbb{F}_5^\times / (\mathbb{F}_5^\times)^2 \simeq \langle \pm 1 \rangle.$$

We claim that C' is cyclic of order 4. Indeed, let $x = (\dots, x_v, \dots)$ be the idèle given by $x_v = \sqrt{-15}$ if $v = P_3$ and $x_v = 1$ otherwise. Then $x^2 \neq 1$ in C' . Otherwise the ideal generated by x^2 , which is $3\mathcal{O}_K$, would have a generator α which is a square at 5. This is false for both generators ± 3 of $3\mathcal{O}_K$. Hence x has order 4 in C' and C' is cyclic as claimed. It follows that ν factors through $\text{Cl}(K)$.

Now let $\mu_0: K^\times \setminus \mathbb{A}_K^\times \rightarrow \text{Cl}(K) \simeq \{\pm 1\}$ be the non-trivial character. Since P_2 is not principal $\mu_0(P_2) = -1$. Set $\rho_1 = \text{Ind}_{G_K}^{G_{\mathbb{Q}}} \psi_{0, \text{Gal}}$ and $\rho_2 = \text{Ind}_{G_K}^{G_{\mathbb{Q}}} (\mu_0 \psi_0)_{\text{Gal}}$. Since ν must be 1 or μ_0 we must have $\rho \simeq \rho_1$ or $\rho \simeq \rho_2$. To decide which case occurs we consider what happens at the (good) prime 2. Since 2 splits in K ,

$$\text{Tr } \rho_1(\text{Frob}_2) = \text{Tr} \left(\rho_1|_{G_K}(\text{Frob}_{P_2}) \right) = \psi_0(\text{Frob}_{P_2}) + \overline{\psi_0(\text{Frob}_{P_2})} = \alpha + \bar{\alpha} = 1,$$

and likewise $\text{Tr } \rho_2(\text{Frob}_2) = -1$. By a direct computation based on counting points modulo 2 on X , one gets $\text{Tr } \rho(\text{Frob}_{P_2}) = 1$ (see [PTV], table 1 after lemma 4.4). Hence $\rho \simeq \rho_1$. This checks with [PTV], remark after proposition 4.12. The conductor of ρ is $15 \cdot N_{K|\mathbb{Q}}(1) = 15$, so the corresponding modular form is in $S_3\left(\Gamma_0(15), \left(\frac{-15}{}\right)\right)$, in accordance with [PTV], Theorem 5.3 and Proposition 5.1.

3. Further examples

Let V_n be the variety $\{(x_1, \dots, x_n) \in \mathbb{P}^{n-1} \mid \sum x_i = \sum x_i^3 = 0\}$. Let $\text{sgn}: S_n \rightarrow \{\pm 1\}$ be the signature character of the permutation group on the variables, and put $M = H^{n-3}(V_n)^{\text{sgn}}$. For $n = 7, 11$ and 15 respectively we get rank 2 motives

over \mathbb{Q} , of Hodge types $\dim H^{p,q} = \dim H^{q,p} = 1$, where $(p, q) = (3, 1), (5, 3)$ and $(7, 5)$ respectively, and the cup product is symmetric and non-degenerate. These examples give rise to cusp forms of weight 3. The appeal to [Fa] in the proof of Theorem 1.3 appears necessary, especially for $n = 15$.

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