ON THE INVARIANT FACTORS OF CLASS GROUPS IN TOWERS OF NUMBER FIELDS

by

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Abstract. — For a finite abelian p-group A of rank $d = \dim A/pA$, let $\mathbb{M}_A := \log_p |A|^{1/d}$ be its *(logarithmic) mean exponent*. We study the behavior of the mean exponent of p-class groups in pro-p towers L/K of number fields. Via a combination of results from analytic and algebraic number theory, we construct infinite tamely ramified pro-p towers in which the mean exponent of p-class groups remains bounded. Several explicit examples are given with $p = 2$. Turning to group theory, we introduce an invariant $\underline{\mathbb{M}}(G)$ attached to a finitely generated pro-p group G; when $G = \mathrm{Gal}(\mathrm{L}/\mathrm{K})$, where L is the Hilbert p-class field tower of a number field K, $\underline{\mathbb{M}}(G)$ measures the asymptotic behavior of the mean exponent of p-class groups inside L/K. We compare and contrast the behavior of this invariant in analytic versus non-analytic groups. We exploit the interplay of group-theoretical and number-theoretical perspectives on this invariant and explore some open questions that arise as a result, which may be of independent interest in group theory.

Contents

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A few hundred years after its definition, the ideal class group continues to be one of the most mysterious objects in number theory. One early lesson, going back to Gauss, was that it is advantageous to study the p-Sylow subgroup of the class group of one prime p at a time. The variation of p-class groups in pro-p towers of number fields is perhaps the area that has had the most success, thanks to the pioneering work of Iwasawa. Indeed, his insights uncovered a very rich algebraic structure in the behavior of p-class groups in layers of a $\mathbb{Z}_p$-extension. In particular, the growth of the generator rank of these p-class groups is governed by the invariants μ, λ, ν which derive from the structure of the associated Iwasawa module. These ideas have been extended to a much broader context of extensions with more general p-adic analytic groups, including non-abelian ones (see, for example, Harris [17], Venjakob [39], Coates-Schneider-Sujatha [3], Perbet [34], to cite only a few authors).

In this article, we consider the variation of the invariant factors of p-class groups, focusing in particular on a notion we call the "mean exponent" in towers of p-extensions of number fields. A recurring theme is comparing and contrasting the tame case versus the analytic case; indeed, the Fontaine-Mazur conjecture [7, Conjecture 5a] has influenced and motivated the questions we explore here.

First, let's define the average or mean exponent. Suppose a non-trivial finite p-group A has elementary divisors $p^{a_1}, \ldots, p^{a_d}$ listed in decreasing order, in other words

$$A = \mathbb{Z}/p^{a_1} \times \ldots \times \mathbb{Z}/p^{a_d}, \qquad a_1 \geq a_2 \geq \ldots \geq a_d \geq 1,$$

where d is the p-rank of A. We then define the *(logarithmic) mean exponent* of A to be

$$\mathbb{M}_A := \frac{a_1 + a_2 + \cdots + a_d}{d} = \log_p |A|^{1/d} = \frac{\log_p |A|}{d},$$

where $\log_p(a) = \log(a)/\log(p)$ is the base-p logarithm. Thus, the mean exponent is a *normalized* measure of the size of the group as compared to its rank. Note that for a non-trivial p-group A, we always have $1 \leq \mathbb{M}_A \leq \log_p |A|$, the minimum value occurring in the case where A is an elementary abelian p-group and the maximum value occurring in the case of cyclic A. Note also that $\exp(A) = p^{a_1}$ is the exponent of A. The mean exponent of the trivial group is defined to be 0.

For a number field K, we denote by $\mathrm{A}(\mathrm{K})$ its p-class group, and we put

$$\mathbb{M}(\mathrm{K}, p) := \mathbb{M}(\mathrm{K}) = \mathbb{M}_{\mathrm{A}(\mathrm{K})}$$

to be the "mean exponent" of the p-class group of K.

Second, let us introduce towers with restricted ramification. Let K be a number field, p a rational prime number, and S, T a disjoint pair of finite sets of places of K. Inside a fixed algebraic closure of K, consider the compositum K_S^T of all finite Galois extensions of K of p-power degree unramified outside S and in which all the places of T split completely. We call K_S^T the maximal unramified-outside-S and T-split p-extension of K, and put $\mathscr{G}_S^T = \mathscr{G}_S^T(\mathrm{K}, p) = \mathrm{Gal}(\mathrm{K}_S^T/\mathrm{K})$ for its Galois group over K. If there are no places dividing

p in S, which we abbreviate as $(S, p) = 1$ and call the tame case, the structure of the groups $\mathscr{G}_S^T$ is rather mysterious. In particular, it's already difficult to determine in any given case whether $\mathscr{G}_S^T$ is finite or not. On the other hand, if S contains all the primes of K dividing p (the wild case), then the knowledge of $\mathbb{Z}_p$-extensions of K, which give infinite abelian quotients of $\mathscr{G}_S^{\emptyset}$, goes quite far in revealing the structure of the latter group. By contrast, in the tame case, $\mathscr{G}_S^T$ is *FAb*, meaning its subgroups of finite index have finite abelianization, so in particular there are no surjections to $\mathbb{Z}_p$. This is a manifestation of a broader philosophy of Fontaine and Mazur [7] that maintains that "geometric" p-adic Galois representations with infinite image are always wildly ramified. The dichotomy of the wild and tame cases is punctuated by the expectation that when $(S, p) = 1$, $\mathscr{G}_S^T$ has no infinite p-adic analytic quotients.

To illustrate the key ideas, let us fix p, and consider a number field K with infinite Hilbert p-class field, i.e. $\mathscr{G}_{\emptyset}^{\emptyset}(\mathrm{K})$ is infinite. Let us fix an infinite Galois extension L/K with $\mathrm{K} \subset \mathrm{L} \subseteq K_{\emptyset}^{\emptyset}$. We are primarily interested in estimating $\exp(\mathrm{A}(\mathrm{K}_n))$, for (K_n) a nested sequence inside L, but finding this difficult, we also study $(\mathbb{M}(\mathrm{K}_n))$, i.e., the variation of the mean exponent of p-class groups in the tower L/K. In particular, for each natural number n, we define

$$\mathbb{M}_n(\mathrm{L}/\mathrm{K}) = \min_{[\mathrm{K}':\mathrm{K}]=p^n} \mathbb{M}(\mathrm{K}'),$$

where the minimum is taken over all extensions K'/K of degree p^n with $\mathrm{K}' \subset \mathrm{L}$. We then put

$$\underline{\mathbb{M}}(\mathrm{L}/\mathrm{K}) = \liminf_n \ \mathbb{M}_n(\mathrm{L}/\mathrm{K}),$$

which we call the *asymptotic mean exponent* of the tower. This quantity is well-defined, but could *a priori* be ∞.

Let's note right away that these asymptotic invariants can be defined purely in a group-theoretical context, as follows. Say $\mathscr{G}$ is an infinite finitely generated *FAb* pro-p group. For each n, we put

$$\mathbb{M}_n(\mathscr{G}) = \min_{[\mathscr{G}:\mathscr{U}]=p^n} \mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}$$

where the minimum is taken over the open subgroups of index p^n. We then put

$$\underline{\mathbb{M}}(\mathscr{G}) = \liminf_n \mathbb{M}_n(\mathscr{G})$$

for the asymptotic mean exponent of $\mathscr{G}$. It's clear that if $\mathscr{G} = \mathrm{Gal}(\mathrm{L}/\mathrm{K})$, with $\mathrm{L} = \mathrm{K}_{\emptyset}^{\emptyset}$, then $\underline{\mathbb{M}}(\mathscr{G}) = \underline{\mathbb{M}}(\mathrm{L}/\mathrm{K})$. Let's also note that we immediately have the estimate $1 \leq \underline{\mathbb{M}}(\mathscr{G})$ but a general upper bound would seem to be elusive.

Some of our results in this paper give bounds for $\underline{\mathbb{M}}(\mathrm{L}/\mathrm{K})$ for certain kinds of tame extensions L/K. In particular, we draw upon a relationship between the number of primes that split in L/K and the asymptotic mean exponent of the tower. Thus for finitely generated infinite *FAb* $\mathscr{G}$ which are realizable as the Galois group of the Hilbert p-class tower of number fields, we can bound $\underline{\mathbb{M}}(\mathscr{G})$ from above. These estimates could be of interest in relation to the following question: is every finitely generated *FAb* pro-p group realizable as $\mathrm{Gal}(\mathrm{K}_{\emptyset}^{\emptyset}/\mathrm{K})$ for some number field K? Note that Ozaki [33] has shown that for any *finite* p-group $\mathscr{G}$, there exists a number field K such that $\mathscr{G}$ is isomorphic to $\mathrm{Gal}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K})$).

The following theorem summarizes some of the key results in this paper.

Theorem 0.1. — *1. Suppose S is a finite set of primes of a number field K with $(S,p)=1$ such that $\mathscr{G}=\mathrm{Gal}(\mathrm{K}_S^\emptyset/\mathrm{K})$ is infinite. Then there exists a constant $C>0$ such that for all open subgroups $\mathscr{U}\subset\mathscr{G}$, $\mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}\le C[\mathscr{G}:\mathscr{U}]$.*

2. With $K,S,\mathscr{G}$ as above, suppose $\mathscr{G}$ is mild (for example this is the case if K,S satisfy the condition of Labute [21, Theorem 1.6]*, and see also Schmidt* [35]*). Then for all $\varepsilon>0$, there exist a constant $C'>0$ and a nested sequence of open subgroups $\mathscr{U}_i$ forming an open neighborhood of $\mathscr{G}$ such that $\mathbb{M}_{\mathscr{U}_i^{\mathrm{ab}}}\le C'[\mathscr{G}:\mathscr{U}_i]/(\log[\mathscr{G}:\mathscr{U}_i])^{2-\varepsilon}$.*

3. There exist infinitely many pairwise disjoint number fields K with infinite p-class field tower $\mathrm{K}_\emptyset^\emptyset/\mathrm{K}$ but finite asymptotic mean exponent, i.e. $\underline{\mathbb{M}}(\mathrm{Gal}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}))\ne\infty$.

The first two parts of the theorem come relatively easily from standard techniques; they are proved in Proposition 5.7 and Theorem 5.15, respectively. To illustrate the third part, which is proved in §2.1, consider the following concrete arithmetic example. Namely, fix $p=2$ and let K be the following compositum of quadratic fields:

$$\mathrm{K}=\mathbb{Q}(\sqrt{130356633908760178920},\sqrt{-80285321329764931}).$$

Let $\mathrm{L}=\mathrm{K}_\emptyset^\emptyset$. Then L/K is infinite and

$$\underline{\mathbb{M}}(\mathrm{L}/\mathrm{K})\le 8.858.$$

The details of the construction are given below in §3, but here, let us explain what this example means concretely. Namely, the assertion is that there exists a tower $\mathrm{K}=\mathrm{K}_1\subset\mathrm{K}_2\subset\ldots$ inside L such that for all n, the 2-class group of K_n has mean exponent at most 8.858, so in particular, there is always at least one elementary divisor of size at most 2^8 all the way up the tower. We should note that the construction of the tower guarantees that the rank of the 2-class groups tends to infinity, so the fact that the mean exponent remains below 9 entails that the number of elementary divisors of size at most 2^8 becomes arbitrarily large as we climb the tower.

We would like to contrast the third part of the theorem with the generic behavior of the mean exponent of open neighborhoods in analytic pro-p groups. Namely, if G is a uniform pro-p group of dimension d and $\mathscr{U}$ runs over the p-central series of G, we have

$$\mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}\ge\frac{1}{d}\log[G:\mathscr{U}],$$

hence it tends to infinity; see Corollary 5.5.

The principle behind the above example and others we construct is as follows. We use genus theory to create towers in which the p-rank grows linearly with the degree; this is achieved by first having a tower in which many primes split and then composing that tower with a degree p Galois extension the same primes ramify. The linear growth of the rank of the p-class group when combined with upper bounds on the class number coming from the generalized Brauer-Siegel theorem of Tsfasman-Vladut gives us the desired upper bound on $\underline{\mathbb{M}}$.

In the more classical case of Iwasawa theory, i.e. in wild towers, there is an algebraic theory of the invariants μ, λ, ν associated with the Iwasawa module, and having linear growth in the rank is tantamount to having $\mu > 0$. It is curious that in that context also, the phenomenon of linear rank growth appears to be related to having a large set of primes splitting in the tower (see Iwasawa [19]). In a forthcoming work, we will study this relationship further.

The paper is organized as follows. In §1, we recall some background, including the work of Tsfasman-Vladut extending the Brauer-Siegel Theorem and some basic results from genus theory. In §2, we begin by giving a sketch of our main construction for unramified towers, then enlarge the scope of our study by introducing class groups that classify extensions with prescribed splitting and (tame) ramification. In §3, we work out a number of examples in detail, demonstrating how the exact asymptotic formula of Tsfasman-Vladut can be exploited to improve the bounds on the mean exponent. In §4, we reflect on the relationship between linear growth for p-ranks of class groups and the existence of many primes in the tower that split (almost) completely, together with the implication of these considerations for bounding the asymptotic mean exponent in infinite tame extensions. We turn in §5 from number theory to considerations of the asymptotic mean exponent for pro-p groups in general. Finally, in §6, we consider a number of questions for further study in group theory, as well as in number theory, that are raised by the considerations of this paper.

Some notation and basic notions

We fix a prime number p. Let K be a number field of degree $[\mathrm{K}:\mathbb{Q}]$. Denote by:

- (r_1, r_2) the signature of K, where r_1 is the number of real embeddings of K and where r_2 is the number of pairs of conjugate complex embeddings; thus $[\mathrm{K}:\mathbb{Q}] = r_1 + 2r_2$;
- $\mathrm{disc}(\mathrm{K})$ the discriminant of K (see [23, chapter III], [31, Chapter I]);
- $\mathrm{Rd}_{\mathrm{K}} := |\mathrm{disc}(\mathrm{K})|^{1/[\mathrm{K}:\mathbb{Q}]}$ the root discriminant of K;
- $g = g_{\mathrm{K}} = \log\sqrt{|\mathrm{disc}(\mathrm{K})|}$ the genus of K;
- $\mathrm{Reg}_{\mathrm{K}}$ the regulator of K (see [23, Chapter V], [31, Chapter I]);
- $\mathrm{Cl}(\mathrm{K})$ the Class group of K;
- $h_{\mathrm{K}} = |\mathrm{Cl}(\mathrm{K})|$ the Class number of K;
- $\mathrm{A}(\mathrm{K})$ the p-Class group of K: it is the p-Sylow of $\mathrm{Cl}(\mathrm{K})$;
- $\delta_{\mathrm{K}} = 1$ if K contains the p-roots of the unity, 0 otherwise.

Let us fix now S and T two disjoint finite sets of places of K.

- Let K_S^T be the maximal unramified outside S and T-split p-extension of K, with the convention that for $p = 2$ all real places stay real (see for example [12, Appendix] or [25]). Put $\mathscr{G}_S^T = \mathrm{Gal}(\mathrm{K}_S^T/\mathrm{K})$.
- It is well-known that the pro-p-group $\mathscr{G}_S^T$ is finitely presented (see for example [20] or [12, Appendix]): the quantities
$$d(\mathscr{G}_S^T) = \dim_{\mathbb{F}_p} H^1(\mathscr{G}_S^T, \mathbb{F}_p) = d_p H^1(\mathscr{G}_S^T, \mathbb{F}_p)$$
and
$$r(\mathscr{G}_S^T) = \dim_{\mathbb{F}_p} H^2(\mathscr{G}_S^T, \mathbb{F}_p) = d_p H^2(\mathscr{G}_S^T, \mathbb{F}_p)$$

are finite.

- Put $A_S^T := \mathscr{G}_S^{T\,ab}$ the maximal abelian quotient of $\mathscr{G}_S^T$, which corresponds by Class Field Theory to the maximal abelian S-ramified (*i.e.* unramified outside S) and T-split extension of K.
- For $S = T = \emptyset$, $\mathscr{G}_S^T$ corresponds to the Galois group of the Hilbert p-Class Field Tower of K and $A = A(K)$ to its p-Class group.
- If S is prime to p, the pro-p-group $\mathscr{G}_S^T$ is *FAb*: every open subgroups of $\mathscr{G}_S^T$ has finite abelianization (see for example [12, Chapter III]).

We introduce now some basic notations concerning towers of number fields (see [37]).

- A sequence (K_n), $n \in \mathbb{N} \cup \{0\}$, of number fields, where $K_0 = K$, is called a tower if for all n, $K_n \subsetneq K_{n+1}$ so in particular $[K_n : K] \to \infty$ with n;
- Let L/K be an infinite extension of a number field K and let (K_n) be a tower in L/K with limit L, i.e. each K_n is a finite extension of K contained in L and $\bigcup_n K_n = L$;
- "Assuming *GRH* in L/K" means that the *Generalized Riemann Hypothesis* holds along the tower (see [2]).

Then put:

- $g_n = g_{K_n} = \log(\sqrt{|\mathrm{disc}(K_n)|})$;
- $h_n = |\mathrm{Cl}(K_n)|$ the class number of K_n;
- Reg_n the regulator of K_n;
- $B(L/K) = \lim_n \dfrac{\log(\mathrm{Reg}_n h_n)}{g_n}$.

• We denote by $\gamma = 0.5772\cdots$ the Euler constant and by $e = \exp(1) = 2.7182\cdots$.

• For material for Iwasawa Theory see [40], for mild pro-p-groups see [21], [8], for analytic pro-p-groups see [4].

1. Background

1.1. Brauer-Siegel and Tsfasman-Vladut Theorems. — We recall first some results due to Tsfasman and Vladut [37] generalizing the Theorem of Brauer-Siegel. Throughout this work, we will use the Tsfasman-Valdut context of asymptotically exact extensions.
Let L/K be an infinite extension of a number field K and let (K_n) be a tower in L/K with limit L: $\bigcup_n K_n = L$.
For every prime number ℓ and power $q := \ell^m$ of ℓ, let us consider the quantity

$$\phi_q = \lim_n \frac{N_n(q)}{g_n},$$

where $N_n(q) = \#\{\text{prime ideal } \mathfrak{q} \subset \mathscr{O}_{K_n},\ \#\mathscr{O}_{K_n}/\mathfrak{q} = q\}$. We also put

$$\phi_{\mathbb{R}} = \lim_n \frac{r_1(K_n)}{g_n}, \quad \phi_{\mathbb{C}} = \lim_n \frac{r_2(K_n)}{g_n}.$$

As the sequence (K_n) is a tower, all the limits exist and depend only on L/K. In the terminology of [37], the sequence (K_n) is said to be *asymptotically exact*. It is called *asymptotically good* if $\phi_q > 0$ for some q, where q is either a prime power or belongs to $\{\mathbb{R}, \mathbb{C}\}$. In this paper, we will mostly be interested in examples where $\phi_{\mathbb{C}} > 0$. Deeply ramified wild extensions (such as $\mathbb{Z}_p$-extensions) are asymptotically bad. By contrast, assuming $\mathscr{G}_S^{\emptyset}(\mathrm{K}, p)$ is infinite for some finite S with $(S, p) = 1$, any tower inside $\mathrm{K}_S^{\emptyset}/\mathrm{K}$ is asymptotically good. More generally, even if $(S, p) \neq 1$ but (K_n) is a tower in which the Nth higher ramification groups all vanish for some fixed N, then the tower is asymptotically good (see [16]).

In [37], Tsfasman and Vladut studied the behavior of the quantity $\log(\mathrm{Reg}_n \cdot h_n)/g_n$ along a tower (K_n) with limit L/K. They conjecture that the quantity

$$B(\mathrm{L}/\mathrm{K}) = \lim_n \frac{\log(\mathrm{Reg}_n h_n)}{g_n}$$

is well-defined and prove the following theorem.

Theorem 1.1 **(Tsfasman-Vladut, [37]).** — 1. *Assuming GRH, the limit* $B(\mathrm{L}/\mathrm{K})$ *exists and depends only* L/K*, not on the choice of tower* (K_n) *with limit L. Moreover one has the equality:*

$$B(\mathrm{L}/\mathrm{K}) = 1 + \sum_q \phi_q \log \frac{q}{q-1} - \phi_{\mathbb{R}} \log 2 - \phi_{\mathbb{C}} \log 2\pi.$$

Without assuming GRH, one has the same conclusion if the tower of number fields (K_n) *is Galois relative to* K.

2. *Assuming GRH,* $B(\mathrm{L}/\mathrm{K}) \leq 1.0939$ *for all* L/K*. If* K *is totally imaginary, then* $B(\mathrm{L}/\mathrm{K}) \leq 1.0765$*. Without assuming GRH, one has* $B(\mathrm{L}/\mathrm{K}) \leq 1.1589$.

1.2. On the p-S-T towers. — Comprehensive references for the study of extensions with restricted ramification include Koch [20], Gras [12] and Neukirch-Schmidt-Wingberg [32].We give only a quick sketch of some well-known facts, and refer the reader to these books which contain much more background and detail.

Let K be a number field and let S and T be two finite sets of places of K with $S \cap T = \emptyset$. We assume that $(S, p) = 1$. We recall that the pro-p-group $\mathscr{G}_S^T$ is *FAb* and that the p-rank $d_p\mathscr{G}_S^T$ of $\mathscr{G}_S^T$ can be computed thanks to Class Field Theory. In particular, one has (see e.g. [12], Chapter I §4, Theorem 4.6):

Proposition 1.2. — *With notation as above, we have*

$$d_p\mathscr{G}_S^T = d_p\mathrm{A}_S^T \geq |S| - \big(r_1(\mathrm{K}) + r_2(\mathrm{K}) + |T| - \delta_{\mathrm{K}}\big).$$

A priori, the pro-p-group $\mathscr{G}_S^T$ may be finite or not. A criterion for its infinitude can be obtained as a consequence of the Theorem of Golod-Shafarevich; the following is their result, in the improved version due to Gaschütz and Vinberg.

Theorem 1.3 **(Golod-Shafarevich).** — *If a non-trivial pro-p-group* $\mathscr{G}$ *is finite then its generator and relation ranks satisfy the following inequality:* $r(\mathscr{G}) \geq \dfrac{d(\mathscr{G})^2}{4}$.

The following classical theorem of Shafarevich on the Euler characteristic of $\mathscr{G}_S^T$ is of fundamental importance in this theory (see for example [12]):

Proposition 1.4. — *Assuming as above that $(S,p)=1$, we have*

$$0 \le r(\mathscr{G}_S^T) - d(\mathscr{G}_S^T) \le r_1 + r_2 - 1 + \delta_S + |T|,$$

where $\delta_S = 1$ if K contains the p-roots of the unity and S is empty, 0 otherwise.

These two last propositions together imply that if S is large in comparison to the size of T, then $\mathscr{G}_S^T$ is infinite, giving rise to the so-called Golod-Shafarevich criterion. This criterion can be made effective by using genus theory (cf. [25] or [12], Chapter IV) to construct number fields with class group of large p-rank. The following is a standard result from genus theory (cf. [12], Chapter IV §4, Example after Corollary 4.5.1).

Theorem 1.5. — *Let K/k be a cyclic extension of degree p. Then*

$$d_p\mathrm{A}(\mathrm{K}) \ge \rho - 1 - \big(r_1(\mathrm{k}) + r_2(\mathrm{k}) - 1 + \delta_k\big),$$

where $\delta_{\mathrm{k}} = 1$ if k contains the p-roots of the unity, 0 otherwise, and where ρ is the number of ramified places of k in K/k (eventually archimedean places).

It is possible to obtain a T-split version of Genus Theory and then one can show [26]:

Theorem 1.6. — *Let K/k be a cyclic extension of degree p. Assume that*

$$\rho + i_T \ge 3 + r_1(\mathrm{k}) + r_2(\mathrm{k}) + |T(\mathrm{k})| - 1 + \delta_{\mathrm{k}} + 2\sqrt{r_1(\mathrm{K}) + r_2(\mathrm{K}) + |T(\mathrm{K})| + \delta_{\mathrm{K}}}$$

where ρ is the number of places ramified in K/k (eventually the archimedean places) and where i_T is the number of places of T inert in K/k. Then $\mathscr{G}^T := \mathscr{G}_\emptyset^T$ is infinite.

Corollary 1.7. — *Let $\mathrm{K}/\mathbb{Q}$ be a real quadratic field and let T be a finite set of odd primes of $\mathbb{Q}$. Put $T_{\mathrm{dec}} = \{\ell \in T,\ \ell \text{ splits in } \mathrm{K}/\mathbb{Q}\}$. If*

$$\rho \ge 4 + |T_{\mathrm{dec}}| + 2\sqrt{3 + |T|},$$

where ρ is the number of primes not in T that are ramified in $\mathrm{K}/\mathbb{Q}$, then the group $\mathscr{G}^T$ is infinite.

Proof. — We simply remark that a prime of T which is not split in $\mathrm{K}/\mathbb{Q}$ is inert or ramified and then apply Theorem 1.6. □

2. Towers with bounded mean exponent

2.1. The Principal Construction. — In this subsection, we sketch the key idea for the construction of towers with p-class groups of bounded mean exponent, in the simpler case of unramified extensions, and in particular, we prove Part 3 of Theorem 0.1. In later subsections, we will explore the mean exponent for more general notions of class groups.

We will need the following Lemma of Brauer.

Lemma 2.1. — *There is an absolute constant $C_0 > 0$ such that for all number fields K, $\log(h_{\mathrm{K}}) \le C_0 \log|\mathrm{disc}(\mathrm{K})|$.*

Proof. — By Lemma 2 in Chapter 16 of Lang [23]), there is an absolute positive constant C such that for all number fields K, $\log(h_{\mathrm{K}}\mathrm{Reg}_{\mathrm{K}}) \le C \log|\mathrm{disc}(\mathrm{K})|$. We can essentially suppress the contribution of the regulator thanks to Friedman's result [9] that for all number fields K we have $\mathrm{Reg}_{\mathrm{K}} > 0.1$. Thus, by replacing C by a larger constant C_0, we have $\log(h_{\mathrm{K}}) \le C_0 \log|\mathrm{disc}(\mathrm{K})|$. □

Proposition 2.2. — *Suppose* k *is a number field and* T *is a finite set of primes such that* $\mathrm{k}_\emptyset^T/\mathrm{k}$ *is infinite. Suppose* $t_0 := |T| - (r_1(\mathrm{k}) + r_2(\mathrm{k}) + 1) > 0$*, and that* k *admits a cyclic degree* p *extension* K *in which all the primes in* T *ramify. Then the Hilbert* p*-class field tower of* K *is infinite with bounded asymptotic mean exponent*

$$\underline{\mathbb{M}}(\mathrm{Gal}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K})) < \frac{C_0}{t_0}\log_p|\mathrm{disc}(K)|,$$

where C_0 *is the constant appearing in Lemma 2.1.*

Proof. — Consider a tower (k_n) inside $\mathrm{k}_\emptyset^T/\mathrm{k}$ and let $\mathrm{K}_n = \mathrm{K}\mathrm{k}_n$. To simplify the notation, let $d_n = d(A(\mathrm{K}_n))$ be the p-rank of the class group of K_n. By Theorem 1.5 applied to $\mathrm{K}_n/\mathrm{k}_n$, we have

$$d_n \geq |T|[\mathrm{k}_n : \mathrm{k}] - (r_1(\mathrm{k}_n) + r_2(\mathrm{k}_n) + 1) \geq t_0[\mathrm{K}_n : \mathrm{K}]. \tag{1}$$

By the definition of the mean exponent $\mathbb{M}(\mathrm{K}_n)$, we have

$$d_n\mathbb{M}(\mathrm{K}_n) = \log_p|A(\mathrm{K}_n)| \leq \log_p h_n$$

where h_n is the class number of K_n. Now, if we apply Lemma 2.1, we have

$$d_n\mathbb{M}(\mathrm{K}_n) \leq \log_p h_n \leq C_0\log_p|\mathrm{disc}(\mathrm{K}_n)|. \tag{2}$$

But since K_n/K is unramified, $\log_p|\mathrm{disc}(\mathrm{K}_n)| = [\mathrm{K}_n : \mathrm{K}]\log_p|\mathrm{disc}(K)|$. Putting the inequalities (1) and (2) together, we conclude that

$$t_0[\mathrm{K}_n : \mathrm{K}]\mathbb{M}(\mathrm{K}_n) \leq C_0[\mathrm{K}_n : \mathrm{K}]\log_p|\mathrm{disc}(\mathrm{K})|,$$

hence $\mathbb{M}(\mathrm{K}_n)$ is bounded from above by $C_0\log_p|\mathrm{disc}(\mathrm{K})|/t_0$. We conclude that

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \frac{C_0}{t_0}\log_p|\mathrm{disc}(\mathrm{K})|.$$

□

Proof of Theorem 0.1.3. — Suppose $\{\ell_1, \ell_2, \ldots, \ell_r\}$ is a large set of primes congruent to $1 \bmod p$. Let k be a cyclic degree p extension of $\mathbb{Q}$ in which $\ell_1, \ldots, \ell_r$ ramify. Consider primes $q_1 < q_2$ which split completely in $\mathrm{k}(\zeta_p)/\mathbb{Q}$ if p is odd and in $\mathrm{k}(\zeta_4)/\mathbb{Q}$ if $p = 2$. Let k' be a cyclic degree p extension of $\mathbb{Q}$ in which q_1 and q_2 ramify. Let T be the union of the primes of k lying over q_1 and those lying over q_2. As specified in Theorem 1.6, if r is sufficiently large, $\mathrm{k}_\emptyset^T/\mathrm{k}$ is infinite. Now we let $\mathrm{K} = \mathrm{k}\mathrm{k}'$. This puts us in the situation of Proposition 2.2, so gives the desired outcome. □

2.2. On the mean exponent for T-class groups mod S. — In this section, we will expand our notion of class group in two directions: we will look at (p-parts of) ray class groups of tame conductor (i.e. a conductor which is a finite product of distinct prime ideals co-prime to p), and with the underlying ring being the T-integers.

Definition 2.3. — Let T and S be two disjoint finite sets of places of K such that $(S, p) = 1$. The mean $\mathbb{M}_S^T(\mathrm{K})$ of the invariant factors of the abelian group $\mathrm{A}_S^T := \mathscr{G}_S^{T\,ab}$ is defined by

$$\mathbb{M}_S^T(\mathrm{K}) := \mathbb{M}_{A_S^T} = \frac{a_1 + \cdots + a_d}{d} = \log_p|\mathrm{A}_S^T|^{1/d},$$

where $d = d_p\mathscr{G}_S^T = d_p\mathrm{A}_S^T$ and $\mathrm{A}_S^T \simeq \mathbb{Z}/p^{a_1}\mathbb{Z} \times \cdots \times \mathbb{Z}/p^{a_d}\mathbb{Z}$ with: $1 \leq a_1 \leq \cdots \leq a_d$. Note that $\mathbb{M}_S^T(\mathrm{K}) = 0$ if $|\mathrm{A}_S^T| = 1$.

Remark 2.4. — Note that $\mathbb{M}_S^T$ is well-defined because, thanks to the choice of S being away from p, the group $\mathscr{G}_S^{T\,ab}$ is finite. Clearly, when A_S^T is not trivial, we have $\mathbb{M}_S^T(\mathrm{K}) \geq 1$.

***Example 2.5* (Iwasawa Theory context).** — (For material for Iwasawa theory see for example [40].) Let $\mathscr{L} = \mathrm{L}/\mathrm{K}$ be a $\mathbb{Z}_p$-extension. Let K_n be the unique subfield of $\mathscr{L}$ of degree p^n over K. Denote by X_S^T the projective limit of the p-group $\mathrm{A}_S^T(\mathrm{K}_n)$ along $\mathscr{L}$. Then X_S^T is a $\mathbb{Z}_p[[T]]$-module of finite rank and there exist invariants $\mu, \lambda \geq 0$ such that for $n \gg 0$,

$$\log_p |\mathrm{A}_S^T(\mathrm{K}_n)| = \mu p^n + \lambda n + \nu,$$

with $\nu \in \mathbb{Z}$. Moreover,

$$d_p \mathrm{A}_S^T(\mathrm{K}_n) = sp^n + \lambda + c,$$

where $c \geq 0$ and where s is the $\mathbb{F}_p[[T]]$-rank of the module $\mathbb{F}_p \otimes \mathrm{X}_S^T$.

Proposition 2.6. — *Along a $\mathbb{Z}_p$-extension $\mathscr{L}$, one has*

$$\mathbb{M}_S^T(\mathrm{K}_n) \sim_{n\to\infty} \begin{cases} \delta \log_p[\mathrm{K}_n : \mathrm{K}] & \textit{if } \mu = 0 \textit{ and } \lambda \neq 0 \\ \mu/s & \textit{if } \mu \neq 0 \\ \nu/c & \textit{if } \mu = \lambda = 0 \end{cases}$$

where $\delta = \lambda/(\lambda + c)$ satisifies $0 < \delta \leq 1$.

Proof. — It is a consequence of the structure theorem of Iwasawa Theory and the fact that $\mu = 0$ if and only if $s = 0$. □

Remark 2.7. — Note when $\mu = 0$ and $\lambda \neq 0$, $\mathbb{M}_S^T(\mathrm{K}_n)$ is unbounded. This will be in contrast to the examples of section 3.

From now on, we want to study the quantity $\mathbb{M}(\mathscr{L})$ in some tower $\mathscr{L}$ when the ramification is tame. First, some definitions.

Definition 2.8. — Let $\mathscr{L} := \mathrm{L}/\mathrm{K}$ be an (infinite) extension and let T and S be two disjoint finite sets of places of K with $(S, p) = 1$. Put

$$\overline{\mathbb{M}}(\mathscr{L}, S, T) := \limsup_n \ \mathbb{M}_{S,n}^T,$$

and

$$\underline{\mathbb{M}}(\mathscr{L}, S, T) := \liminf_n \ \mathbb{M}_{S,n}^T,$$

where

$$\mathbb{M}_{S,n}^T = \min_{\mathrm{K}_n} \ \mathbb{M}_S^T(\mathrm{K}_n),$$

the minimum being taken over all subfields K_n in $\mathscr{L}$ of degree p^n over K. When $S = T = \emptyset$, we have $\underline{\mathbb{M}}(\mathscr{L}, \emptyset, \emptyset) = \underline{\mathbb{M}}(\mathscr{L})$, where $\underline{\mathbb{M}}(\mathscr{L})$ was defined in the Introduction. We also write $\overline{\mathbb{M}}(\mathscr{L}) := \overline{\mathbb{M}}(\mathscr{L}, \emptyset, \emptyset)$.

Remark 2.9. — We have $\limsup_n \min a_1(\mathrm{K}_n) \leq \overline{\mathbb{M}}(\mathscr{L})$ and $\liminf_n \min a_1(\mathrm{K}_n) \leq \underline{\mathbb{M}}(\mathscr{L})$.

Definition 2.10. — A tower (K_n) is said to be exhaustive in $\mathscr{L}$ if:

(i) $\bigcup \mathrm{K}_n = \mathscr{L}$,
(ii) for all n, $[\mathrm{K}_{n+1} : \mathrm{K}_n] = p$.

Proposition 2.11. — *For a subtower* (K_n) *of* $\mathscr{L}$, $\underline{\mathbb{M}}(\mathscr{L}, S, T) \leq \liminf_n \mathbb{M}_S^T(\mathrm{K}_n)$. *If moreover, the subtower* (K_n) *is exhaustive in* $\mathscr{L}$ *then* $\overline{\mathbb{M}}(\mathscr{L}, S, T) \leq \limsup_n \mathbb{M}_S^T(\mathrm{K}_n)$.

Proof. — Follows easily from the definitions. ☐

2.3. Bounds for mean exponents in tamely ramified towers. —

Definition 2.12. — For a finite set S of prime ideals of K satisfying $(S, p) = 1$, we put

$$\mathrm{disc}(\mathrm{K}, S) := |\mathrm{disc}(\mathrm{K})| \prod_{\mathfrak{p} \in S} \mathrm{N}(\mathfrak{p}).$$

A local computation shows the following:

Proposition 2.13. — *If* S *is a finite set of prime ideals of* K *satisfying* $(S, p) = 1$, *the root discriminant remains bounded inside* $\mathrm{K}_S^{\emptyset}/\mathrm{K}$*; in other words,* $\mathrm{K}_S^{\emptyset}/\mathrm{K}$ *is asymptotically good. Indeed, for a tower* (K_n) *in* $\mathrm{K}_S^{\emptyset}/\mathrm{K}$, *we have*

$$\log|\mathrm{disc}(\mathrm{K}_n)| \leq [\mathrm{K}_n : \mathrm{K}] \log \mathrm{disc}(\mathrm{K}, S).$$

Proof. — See for example Lemma 5 of [15]. ☐

Definition 2.14. — For a prime $\mathfrak{p}$ of K not dividing p, let $a(\mathfrak{p}) := v_p(\mathrm{N}(\mathfrak{p}) - 1)$ be the p-valuation of $\mathrm{N}(\mathfrak{p}) - 1$, where $\mathrm{N}(\mathfrak{p})$ is the absolute norm of $\mathfrak{p}$.

Lemma 2.15. — *Let* L/K *be a finite Galois* p*-extension and let* S *be a finite set of places of* K *prime to* p.
(i) If $p > 2$, *then*

$$|\mathrm{A}_S^T(\mathrm{L})| \leq |\mathrm{A}(\mathrm{L})| \left(\prod_{\mathfrak{p} \in S} p^{a(\mathfrak{p})} \right)^{[\mathrm{L}:\mathrm{K}]}.$$

(ii) For $p = 2$, *one has*

$$|\mathrm{A}_S^T(\mathrm{L})| \leq |\mathrm{A}(\mathrm{L})| \left(\prod_{\mathfrak{p} \in S} p^{a^*(\mathfrak{p})} \right)^{[\mathrm{L}:\mathrm{K}]},$$

where $a^*(\mathfrak{p}) = a(\mathfrak{p})$ *if* $\mathrm{N}(\mathfrak{p}) \equiv 1 \bmod 4$ *(i.e. if* $a(\mathfrak{p}) > 1$*), otherwise* $N(\mathfrak{p}) = 1 + 2n$, *where* n *is odd and then* $a^*(\mathfrak{p}) = v_2(1 + n) + 1$.

Proof. — One has to give an upper bound of the tame part of the inertia group of a place $\mathfrak{P}|\mathfrak{p}$ in an abelian extension of L. We recall that this inertia group is a quotient of the multiplicative group of the finite field $\mathbb{F}_{\mathfrak{P}}$ of order $N(\mathfrak{P})$. By multiplicativity one can assume that L/K is a cyclic degree p-extension. When $\mathbb{F}_{\mathfrak{P}} = \mathbb{F}_{\mathfrak{p}}$, that means that $\mathfrak{p}$ is split or is ramified in L/K, then $\prod_{\mathfrak{P}|\mathfrak{p}} p^{a(\mathfrak{P})}$ divides $p^{pa(\mathfrak{p})}$ (with equality if $\mathfrak{p}$ splits). Otherwise, $[\mathbb{F}_{\mathfrak{P}} : \mathbb{F}_{\mathfrak{p}}] = p$ and then one note that if p is odd (or when $p = 2$ and $N(\mathfrak{p}) \equiv 1 \bmod 4$) then $a(\mathfrak{P}) = a(\mathfrak{p}) + 1$. Indeep, if $\mathbb{F}_{\mathfrak{p}} = \mathbb{F}_q$, then $\mathbb{F}_{\mathfrak{P}} = \mathbb{F}_{q^p}$. Let us write $q = 1 + p^k n$, with $(n, p) = 1$. Then $\mathbb{F}_{q^p}^{\times}$ is cyclic of order

$$\begin{aligned} q^p - 1 &= (q-1)(q^{p-1} + \cdots + q + 1) \\ &= p^{k+1} n \left(1 + np^{k-1} + \cdots + n(p-1)p^{k-1} + p^k A\right) \\ &= p^{k+1} n \left(1 + \tfrac{1}{2} n(p-1)p^k + p^k A\right) \end{aligned}$$

where $A \in \mathbb{Z}$, and then $v_p(q^p - 1) = p^{k+1}$ for p odd (and for $p = 2$ if $k > 1$).

When $p = 2$ with $N(\mathfrak{p}) = 1 + 2n$, n odd, one has $a(\mathfrak{P}) = v_2(1 + n) + 1$. We leave the remaining details to the reader. $\square$

Definition 2.16. — For $p > 2$, put

$$a(S) = \sum_{\mathfrak{p} \in S} a(\mathfrak{p}).$$

For $p = 2$, put

$$a(S) = \sum_{\mathfrak{p} \in S} a^*(\mathfrak{p}).$$

Remark 2.17. — For $p = 2$ observe that if the place $\mathfrak{p}$ splits completely in L/K then the "local factor" $a^*(\mathfrak{p})$ can be taken $a^*(\mathfrak{p}) = a(\mathfrak{p})$.

Proposition 2.18. — *Let S be a finite set of places of K with $(S, p) = 1$ such that $\mathrm{K}_S^{\emptyset}/\mathrm{K}$ is infinite. Let $(\mathrm{K}_n) := \mathscr{L}$ be a tower in $\mathrm{K}_S^{\emptyset}/\mathrm{K}$. Let T and Σ be two other sets of places of K; we assume that $(\Sigma, p) = 1$ but the cases $\Sigma = \emptyset$ and $S = \Sigma$ are allowed. Recall that h_n denotes the class number of K_n, and that $g_n = \log|\mathrm{disc}(\mathrm{K}_n)|^{1/2}$ denotes its genus. Let $d_n = d(\mathrm{A}_\Sigma^T(\mathrm{K}_n))$ be the p-rank of $\mathrm{A}_\Sigma^T(\mathrm{K}_n)$. Then*

1. *We have*
$$\mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)} \leq \frac{[\mathrm{K}_n : \mathrm{K}]}{d_n} \left(\log_p \mathrm{disc}(K, S)^{1/2} \cdot \frac{\log(h_n)}{g_n} + a(\Sigma) \right).$$
2. *With C_0 denoting the constant from Lemma 2.1, we have*
$$\mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)} \leq \frac{[\mathrm{K}_n : \mathrm{K}]}{d_n} \left(C_0 \log_p \mathrm{disc}(K, S) + a(\Sigma) \right).$$
If, in addition, there is an $\varepsilon > 0$ such that $d_n \geq \varepsilon[\mathrm{K}_n : \mathrm{K}]$ for all n, then $\mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)}$ is bounded as $n \to \infty$.

Proof. — Recall that by Proposition 2.13, the genus $g_n = \log|\mathrm{disc}(\mathrm{K}_n)|^{1/2}$ of K_n satisfies

$$g_n \leq [\mathrm{K}_n : \mathrm{K}] \log \mathrm{disc}(\mathrm{K}, S)^{1/2}. \tag{3}$$

Thanks to Lemma 2.15, we have

$$\begin{aligned} \log_p |\mathrm{A}_\Sigma^T(\mathrm{K}_n)| &\leq \log_p |A(\mathrm{K}_n)| + [\mathrm{K}_n : \mathrm{K}] a(\Sigma) \\ &\leq \log_p h_n + [\mathrm{K}_n : \mathrm{K}] a(\Sigma) \\ &\leq g_n \frac{\log_p(h_n)}{g_n} + [\mathrm{K}_n : \mathrm{K}] a(\Sigma). \end{aligned}$$

Now we apply (3) to the right hand side to find

$$\log_p |\mathrm{A}_\Sigma^T(\mathrm{K}_n)| \leq [\mathrm{K}_n : \mathrm{K}] \left(\frac{\log \mathrm{disc}(K, S)^{1/2}}{\log p} \cdot \frac{\log(h_n)}{g_n} + a(\Sigma) \right).$$

It remains only to divide both sides by d_n to obtain the desired inequality. For the second claim, we merely apply the bound from Lemma 2.1 to the bound from the first claim. $\square$

Before stating the key result of this section, we make a couple of definitions.

Definition 2.19. — In a tower (K_n), and fixing auxiliary finite sets Σ and T of places of K, one says that the p-rank d_n of $\mathrm{A}_\Sigma^T(\mathrm{K}_n)$ grows ε-linearly with respect to the degree (for some $\varepsilon > 0$) if for $n \gg 0$

$$d_n \geq \varepsilon[\mathrm{K}_n : \mathrm{K}].$$

Definition 2.20. — Given a real number A, a number field K of signature (r_1, r_2) and a finite set S of places of K coprime to p, let us define

$$\alpha(A, \mathrm{K}, S) = A \log \sqrt{\operatorname{disc}(\mathrm{K}, S)} - \frac{r_1}{2}(\gamma + 1 + \log \pi) - r_2(\gamma + \log 2).$$

Theorem 2.21. — *We maintain all the hypotheses and notation of Proposition 2.18. We assume that there exists $\varepsilon > 0$ such that $d_n \geq \varepsilon[\mathrm{K}_n : \mathrm{K}]$ for all n. If the conditions of Theorem 1.1 apply to (K_n), then*

$$\limsup_n \mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)} \leq \frac{1}{\varepsilon}\left(\frac{\alpha(B(\mathscr{L}), \mathrm{K}, S)}{\log p} + a(\Sigma)\right).$$

Consequently,

$$\underline{\mathbb{M}}(\mathscr{L}, \Sigma, T) \leq \frac{1}{\varepsilon}\left(\frac{\alpha(B(\mathscr{L}), \mathrm{K}, S)}{\log p} + a(\Sigma)\right).$$

If moreover the tower (K_n) is exhaustive in $\mathscr{L}$, then one can replace $\underline{\mathbb{M}}$ by $\overline{\mathbb{M}}$.

Proof. — We begin with the inequality of Proposition 2.18 but introduce the contribution of the regulator, as follows.

$$\mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)} \quad \leq \quad \frac{[\mathrm{K}_n : \mathrm{K}]}{d_n}\left(\frac{\log \operatorname{disc}(K, S)^{1/2}}{\log p}\left(\frac{\log(h_n \mathrm{Reg}_n)}{g_n} - \frac{\log(\mathrm{Reg}_n)}{g_n}\right) + a(\Sigma)\right).$$

By hypothesis, we have $[\mathrm{K}_n : \mathrm{K}]/d_n \leq 1/\varepsilon$. By Theorem 1.1, $\log(h_n \mathrm{Reg}_n)/g_n$ tends to $B(\mathscr{L})$. The last ingredient is a theorem of Zimmert [41] (we use the enhanced version proved by Tsfasman-Vladut [37][Theorem 7.4]):

$$\liminf_n \log(\mathrm{Reg}_n)/g_n \geq (\log \sqrt{\pi e} + \gamma/2)\phi_{\mathbb{R}} + (\log 2 + \gamma)\phi_{\mathbb{C}}.$$

Recalling the definition of $\phi_{\mathbb{R}}, \phi_{\mathbb{C}}$, and noting that $r_i(\mathrm{K}_n) = [\mathrm{K}_n : \mathrm{K}] r_i(\mathrm{K})]$ for $i = 1, 2$, we find, after applying Proposition 2.13, that

$$\phi_{\mathbb{R}} \geq \frac{r_1(K)}{\log \sqrt{\operatorname{disc}(\mathrm{K}, S)}}, \qquad \phi_{\mathbb{C}} \geq \frac{r_2(K)}{\log \sqrt{\operatorname{disc}(\mathrm{K}, S)}}.$$

Putting all of this together and taking $\limsup_n \mathbb{M}_{\mathrm{A}_\Sigma^T(\mathrm{K}_n)}$, we obtain the bound sought. ☐

Since it will be the form in which we will apply it most frequently, we will state the following immediate corollary of the theorem.

Corollary 2.22. — *Suppose in the theorem, we have $S = \Sigma = T = \emptyset$. Then, assuming the conditions of Theorem 1.1 apply to a tower $\mathscr{L}$ inside $\mathrm{K}_\emptyset^\emptyset/\mathrm{K}$, we have*

$$\underline{\mathbb{M}}(\mathscr{G}_\emptyset^\emptyset) \leq \underline{\mathbb{M}}(\mathscr{L}, \emptyset, \emptyset) \leq \frac{1}{\varepsilon \log(p)}\left(\frac{B(\mathscr{L})}{2} \log |\operatorname{disc}(\mathrm{K})| - \frac{r_1}{2}(\gamma + 1 + \log \pi) - r_2(\gamma + \log 2)\right).$$

Remark 2.23. — The comparison of the above Corollary to Proposition 2.2 illustrates how the Tsfasman-Vladut theorem allows us to give an improved upper bound for the mean exponent.

3. Refined estimates. The Tsfasman-Vladut method

We want to illustrate the previous section with a few examples where we have optimized the quantity $B(\mathrm{L}/\mathrm{K})$ by employing the techniques of Tsfasman and Vladut [37].

3.1. Tsfasman-Vladut Machinery. — Let us fix an asymptotically exact extension $\mathscr{L} := \mathrm{L}/\mathrm{K}$. Estimating the constant $B(\mathrm{L}/\mathrm{K})$ given by Theorem 1.1 is an interesting problem, involving certain kinds of optimization. Indeed the quantity for which we would like to have a tight upper bound is the sum

$$\sum_q b_q\phi_q - b_0\phi_{\mathbb{R}} - b_1\phi_{\mathbb{C}}$$

satisfying the three following conditions:

(i) $\phi_q > 0$;
(ii) $\forall \ell,\ \sum_m m\phi_{\ell^m} \leq \phi_{\mathbb{R}} + 2\phi_{\mathbb{C}}$,
(iii) $\sum_q a_q\phi_q + a_0\phi_{\mathbb{R}} + a_1\phi_{\mathbb{C}} \leq 1$,

where

$$b_q = \log\frac{q}{q-1}, \quad a_q = \frac{\log q}{\sqrt{q}-1},$$

$$a_0 = \log 2\sqrt{2\pi} + \pi/4 + \gamma/2, \quad a_1 = \log(8\pi) + \gamma,$$

$$b_0 = \log 2, \quad b_1 = \log 2\pi.$$

One now replaces each ϕ_q by a variables x_q and the problem becomes a question of linear optimization. For convenience, we put $x_0 = \phi_{\mathbb{R}}$ and $x_1 = \phi_{\mathbb{C}}$.

One studies the quantity $\sum_q b_q x_q - b_0x_0 - b_1x_1$ when x_0 and x_1 are fixed (*i.e.* when for example one has a totally real tower or a totally complex tower). Similarly, one can exploit knowledge of any finite place that is totally split in $\mathscr{L}$. One can also use some information coming from the base field K: typically if the base field has no place of norm ℓ, then x_ℓ would be fixed and equals to 0.

Denote by $\Sigma = \{q_1, \cdots, q_r\}$ a set of powers of prime numbers for which one fixes x_{q_i}. We want to give an upper bound as small as possible of the quantity

$$\sum_{q\notin\Sigma} b_q x_q,$$

with the conditions

$$(i)'\ x_q > 0, \quad (ii)'\ \sum_m m x_{q^m} \leq x_0 + 2x_1, \quad (iii)'\ \sum_{q\notin\Sigma} a_q x_q \leq 1 - \sum_{q\in\Sigma} a_q x_q.$$

As explained in [37], there are two reductions: first, one can assume that x_{ℓ^*} attains the maximum for condition $(ii)'$, where ℓ^* is the smallest power of ℓ for which $x_{\ell^*} \neq 0$; try to optimize inequality $(iii)'$ for the smallest powers ℓ^*.
Now let ℓ_0^* the smallest power such that

$$\sum_{\ell^*<\ell_0^*} (x_0 + 2x_1 - \varepsilon_{\ell^*})a_{\ell^*} \leq 1 - (a_0x_0 + a_1x_1 + \sum_{q\in\Sigma} a_q x_q),$$

where $\varepsilon_{\ell^*} \leq x_0 + 2x_1$ is a constraint of ℓ related to the base field.

Let $\alpha \in [0,1)$ such that

$$\alpha(x_0 + 2x_1 - \varepsilon_{\ell_0^*})a_{\ell_0^*} = 1 - a_0x_0 - a_1x_1 - \sum_{q\in\Sigma} a_qx_q - \sum_{\ell^*<\ell_0^*}(x_0 + 2x_1 - \varepsilon_{\ell^*})a_{\ell^*}.$$

Proposition 3.1. — *One has:*

$$\sum_q b_q\phi_q \;\leq\; \sum_{q\in\Sigma} b_qx_q + \sum_{\ell^*<\ell_0^*}(x_0 + 2x_1 - \varepsilon_{\ell^*})b_{\ell^*} + \alpha(x_0 + 2x_1 - \varepsilon_{\ell_0^*})b_{\ell_0^*}.$$

3.2. Strategy for Construction of Examples. — Below we will study some examples built with the following strategy. First $p = 2$. Let $\mathrm{k}/\mathbb{Q}$ be a real quadratic field. Suppose that for the set T of places of $\mathbb{Q}$, the 2-tower $\mathrm{k}_\emptyset^T/\mathrm{k}$ is infinite (for doing this, we apply Corollary 1.7). Consider then $\mathrm{K} := \mathrm{k}(\sqrt{-D})$, where $D = \prod_{\mathfrak{p}\in T}\mathfrak{p}$; put $\mathscr{L} := \mathrm{K}\mathrm{k}_\emptyset^T$. Take an exhaustive tower $(\mathrm{k}_n)_n$ of $\mathrm{k}_\emptyset^T/\mathrm{k}$, then $\mathrm{K}_n := \mathrm{k}_n\mathrm{K}$ is an exhaustive tower of $\mathscr{L}$. Moreover, (K_n) is a subtower of $\mathrm{K}_\emptyset^T$. And then, by Corollary 2.22 one obtains bounds for $\overline{\mathbb{M}}(\mathscr{L})$ and $\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K})$.

3.3. Examples. — In all of the examples below, we fix $p = 2$, since in this case, we can employ ramification at infinity in conjunction with the genus theory bounds.

Example 3.2. — Let $\mathrm{k} = \mathbb{Q}(\sqrt{8\cdot 5\cdot 7\cdot 11\cdot 13\cdot 17\cdot 19\cdot 23})$. Thanks to Corollary 1.7, the number field k has an infinite 2-extension k^T/k ($S = \emptyset$) where $T = \{\ell_9\}$ is the set containing the only place above 3 (of norm 9). Put $\mathrm{K} = \mathrm{k}(\sqrt{-3})$. Denote by (k_n) a tower of k^T; put $\mathrm{K}_n = \mathrm{K}\mathrm{k}_n$ and $\mathrm{L} = \bigcup_n \mathrm{K}_n$ and $\mathrm{L}/\mathrm{K} := \mathscr{L}$. Then by Genus Theory (cf Theorem 1.5) along k^T/k, one obtains that

$$d_n = d_2\mathrm{A}(\mathrm{K}_n) \geq [\mathrm{K}_n : \mathrm{K}] - 1.$$

If we apply Corollary 2.22, we find

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq \frac{1}{22\cdot\log 2}\Big(B\log\sqrt{|\mathrm{disc}(\mathrm{K})|} - (\gamma + \log 2)\Big) \approx 30.683\cdots$$

where here one has taken $B \approx 1.0938$. But we can do better by applying the refined results of Tsfasman-Vladut. The base field K is of degree 4 over $\mathbb{Q}$. The tower we consider is totally complex and by construction the prime $\ell^* = 9$ (over 3 with norm 9) splits completely in the considered tower. Here $g_{\mathrm{K}} = \log(\sqrt{8\cdot 3\cdot 5\cdot 7\cdot 11\cdot 13\cdot 17\cdot 19\cdot 23})$. In order of increasing size of the norm, one has ideals of norm: 4, 7, 7, 9, $13, 13, 19, 19$, 25, $31, 37, 43, 43, 43, 43$ etc.

One fixes the following conditions $x_0 = 0$, $x_1 = r_2/g = 2/g$, $x_2 = 0$, $x_3 = 0$, $x_5 = 0$, $x_9 = 1/g = x_1/2$. One considers $\Sigma = \{9\}$. Moreover $x_4 \leq 1/g = x_1/2$, $\varepsilon_{2^*} = x_1$ and $x_{25} \leq 1/g$. One has

$$g - 2(\gamma + \log(8\pi)) - \frac{\log 9}{\sqrt{9}-1} - 2\left(\frac{\log 7}{\sqrt{7}-1} + \frac{\log 13}{\sqrt{13}-1} + \frac{\log 19}{\sqrt{19}-1}\right)$$
$$- \left(\frac{\log 4}{\sqrt{4}-1} + \frac{\log 25}{\sqrt{25}-1}\right) - 4\frac{\log 31}{\sqrt{31}-1} \;<\; \frac{\log 37}{\sqrt{37}-1},$$

and then $\ell_0^* = 37$. One obtains

$$B(\mathrm{L}/\mathrm{K}) \leq 1 - \frac{r_2}{g}\log 2\pi + \frac{1}{g}\left(\log(4/3) + \log(9/8) + \log(25/24)\right.$$
$$\left. +2\log(7/6) + 2\log(13/12) + 2\log(19/18) + 4\log(31/30) + 4\alpha\log(37/36)\right),$$

where

$$\begin{aligned} 4\alpha\frac{\log 43}{\sqrt{43}-1} &= g - 2(\log 8\pi + \gamma) - \frac{\log 9}{2} - \log 4 - \frac{\log 25}{\sqrt{25}-1} \\ &\quad -2\left(\frac{\log 7}{\sqrt{7}-1} + \frac{\log 13}{\sqrt{13}-1} + \frac{\log 19}{\sqrt{19}-1} + 2\frac{\log 31}{\sqrt{31}-1}\right). \end{aligned}$$

and then $B(\mathrm{L}/\mathrm{K}) \approx 0.878\cdots$, and

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq 24.100.$$

Example 3.3. — Let k be the real quadratic field of discriminant D where D is the the product of the elements in the set

$U = \{47, 59, 61, 67, 71, 73, 79, 83, 89, 97, 101, 103, 107, 109, 113, 127, 131, 137, 139, 149, 151\}$.

Let $T_{\mathrm{in}} = \{3, 7, 29, 31, 37, 41, 43, 53\}$, $T_{\mathrm{dec}} = \{2, 5, 11, 13, 17, 19, 23\}$; put $T = T_{\mathrm{in}} \cup T_{\mathrm{dec}}$; $|T| = 22$. The places of T_{in} are inert in $\mathrm{k}/\mathbb{Q}$ and the places of T_{dec} are totally decomposed in $\mathrm{k}/\mathbb{Q}$. One uses Corollary 1.7: the number field k has an infinite T-split 2-tower k^T/k. Consider now the number field $\mathrm{K} = \mathrm{k}(\sqrt{-D})$, where $D = \prod_{\ell\in T}\ell$ and put $\mathrm{L} = \mathrm{K}\mathrm{k}^T$. Then for all number fields K_n along L/K, one has

$$d_2\mathrm{A}(\mathrm{K}_n) \geq 22[\mathrm{K}_n : \mathrm{K}] - 1.$$

Then

$$\mathbb{M}(\mathrm{K}_n) \leq \frac{1}{22\log 2}\cdot\Big(B\log\sqrt{|d_\mathrm{K}|} - (\gamma + \log 2)\Big) \approx 9.662\cdots$$

We now use the stategy of Tsfasman and Vladut to optimize $B(\mathrm{L}/\mathrm{K})$. Each place of T splits totally in L/K: the associated parameters ϕ_{ℓ^*} are then fixed. More precisely, for every $\ell \in T_{\mathrm{in}}$, we have $\phi_\ell = 0$, $\phi_{\ell^2} = 1/g$ and $\phi_{\ell^i} = 0$ for $i > 2$; for $\ell \in T_{\mathrm{dec}}$, one fixes $\phi_\ell = 2/g$ and $\phi_{\ell^i} = 0$ for $i > 1$. Moreover for $\ell \leq 150$, $\phi_{\ell^*} \leq 2/g$. In fact one may be more precise: only the primes of $R = \{47, 49, 61, 103, 113, 127, 131, 139\}$ split (and ramify) the others are inert (with 67^2 the smallest norm). One remarks that the sum

$$A = g - 2(\gamma + \log 8\pi) - 2\sum_{\ell\in T_{\mathrm{dec}}}\frac{\log\ell}{\sqrt{\ell}-1} - \sum_{\ell\in T_{\mathrm{in}}}\frac{\log\ell^2}{\ell-1} - 2\sum_{\ell\in R}\frac{\log\ell}{\sqrt{\ell}-1} \approx 103.774$$

is smaller than $4\sum^*_{\ell\leq 67^2}\frac{\log\ell}{\sqrt{\ell}-1}$ where the last sum is taken over the splitting places in $\mathrm{K}/\mathbb{Q}$ (*i.e.* 127 such places). One finds $\ell_0^* = 3877$ and to finish

$$A - 4\sum^*_{153\leq\ell<3877}\frac{\log\ell}{\sqrt{\ell}-1} \approx 0.528.$$

Here $\alpha \approx 0.980$

After making the computation of the default, one obtains

$$\sum_q b_q\phi_q \leq 3.348$$

and then $B(\mathrm{L}/\mathrm{K}) \leq 1.01421\cdots$ and

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq \frac{1}{\log 2} 6.306\cdots \approx 9.098\cdots$$

Example 3.4. — Let

$$\mathrm{k} = \mathbb{Q}(\sqrt{8\cdot 3\cdot 5\cdot 7\cdot 11\cdot 13\cdot 17\cdot 19\cdot 23\cdot 29\cdot 31\cdot 37\cdot 41\cdot 43\cdot 47\cdot 53}).$$

Let $T_{\mathrm{in}} = \{71, 79, 83, 97, 101\}$ et $T_{\mathrm{dec}} = \{59, 61, 67, 73\}$; $T = T_{\mathrm{in}} \cup T_{\mathrm{dec}}$; $|T| = 13$. Put $\mathrm{K} = \mathrm{k}(\sqrt{-59\cdot 61\cdot 67\cdot 71\cdot 73\cdot 79\cdot 83\cdot 97\cdot 101})$. The number field k has an infinite 2-tower k^T; put $\mathrm{L} = \mathrm{K}\mathrm{k}^T$. Along the extension L/K, one has

$$d_2\mathrm{A}(\mathrm{K}_n) \geq 13[\mathrm{K}_n : \mathrm{K}] - 1.$$

By looking at the primes $\ell \leq 100$, one sees that

$$x_2 = x_3 = x_7 = x_{19} = x_{29} = x_{31} = x_{41} = x_{47} = x_{53} = 0.$$

Here $\ell_0^* = 1249$ and so there are 47 primes that are splitting in $\mathrm{K}/\mathbb{Q}$ and with norm less than ℓ_0^*. One find $\alpha \approx 1.020$,

$$\sum_q b_q\phi_q \leq 2.192\cdots$$

and $B(\mathrm{L}/\mathrm{K}) \leq 0.951\cdots$ To conclude,

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq \frac{1}{\log 2} 6.139\cdots \approx 8.857\cdots$$

Example 3.5. — Take $p = 2$. Let $\mathrm{k} = \mathbb{Q}(\sqrt{2\cdot 3\cdot 5\cdot 7\cdot 11\cdot 13\cdot 17\cdot 19\cdot 23\cdot 29\cdot 31\cdot 41\cdot 43})$. Put $T_{\mathrm{dec}} = \{59, 61\}$ and $T_{\mathrm{in}} = \{37, 47, 53, 67, 89\}$; $|T| = 9$. Let us consider $\mathrm{K} = \mathrm{k}(\sqrt{-37\cdot 47\cdot 53\cdot 59\cdot 61\cdot 67\cdot 89})$. Along the extension L/K, one has

$$d_2\mathrm{A}(\mathrm{K}_n) \geq 9[\mathrm{K}_n : \mathrm{K}] - 1.$$

Here

$$x_2 = x_3 = x_7 = x_{13} = x_{31} = x_{37} = x_{47} = 0,$$

$\ell_0^* = 647$ and $\alpha \approx 0.072$. Then $\sum_q b_q\phi_q \leq 1.993\cdots$, $B(\mathrm{L}/\mathrm{K}) \leq 0.9733\cdots$ and $\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq 9.657\cdots$.

Example 3.6. — Take $p = 2$. Let

$$\mathrm{k} = \mathbb{Q}(\sqrt{8\cdot 3\cdot 5\cdot 7\cdot 11\cdot 13\cdot 17\cdot 19\cdot 23\cdot 29\cdot 31\cdot 37\cdot 41\cdot 43\cdot 47\cdot 53\cdot 59\cdot 61\cdot 67\cdot 71\cdot 73}).$$

Put $T_{\mathrm{dec}} = \{79, 83, 89, 97, 107, 109, 137\}$, $T_{\mathrm{in}} = \{101, 103, 113, 127, 131, 149, 157, 173\}$. Let D be the product of the elements in T_{dec} and T_{in} and let $\mathrm{K} = \mathrm{k}(\sqrt{D})$. Here $d_2\mathrm{A}(\mathrm{K}_n) \geq 20[\mathrm{K}_n : \mathrm{K}] - 1$. Finally, for this example, $\ell_0^* = 1069$, $B(\mathscr{L}) \leq 1.013\cdots$ and thus

$$\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \leq \overline{\mathbb{M}}(\mathscr{L}) \leq 10.022\cdots$$

4. Linear growth of the p-class rank

4.1. The mean $\mathbb{M}$ and a question of Ihara. — The examples of the previous section show how primes that split completely can be used to produce towers with linear growth for the p-rank of the class group, which then places constraints on the asymptotic mean $\underline{\mathbb{M}}$. In particular, with the help of Proposition 1.2, we have the following result.

Proposition 4.1. — *Let S and T be two sets of places of K, $(S,p)=1$. For all subfields K_n of K_S^T, one has*

$$d_p\mathrm{A}_T(\mathrm{K}_n) \geq [\mathrm{K}_n:\mathrm{K}]\Big(|T| - (r_1(\mathrm{K})+r_2(\mathrm{K}))\Big).$$

Note that by the Golod-Shafarevich criterion (see Theorem 1.3 and Proposition 1.4), $\mathrm{K}_S^T/\mathrm{K}$ is infinite once $|S|$ is large as compared to $|T|$, and in this case

$$\underline{\mathbb{M}}(\mathrm{K}_S^T/\mathrm{K},T,\emptyset) \leq \frac{1}{|T|-(r_1(\mathrm{K})+r_2(\mathrm{K}))}\left(\frac{\alpha(B(\mathrm{K}_S^T/\mathrm{K}),\mathrm{K},S)}{\log p} + a(T)\right),$$

where $a(T)$ is given in Definition 2.14 and 2.16.

Proof. — It is an application of Theorem 2.21 with $\varepsilon = |T| - (r_1(\mathrm{K})+r_2(\mathrm{K}))$. □

At this point, let us recall a question of Ihara [18]:

Question 4.2. — *What can one say about the number of primes that decompose completely in an infinite unramified Galois extension?*

The importance of the above question for the invariant $\mathbb{M}$ is illustrated in the following Corollary.

Corollary 4.3. — *Suppose that in the pro-p-extension K_S/K, with $(S,p)=1$, the set $\mathscr{T}$ of places that split completely in this tower is infinite. Then for all $\varepsilon>0$, by taking large $T\subset\mathscr{T}$, one obtains*

$$1 \leq \underline{\mathbb{M}}(\mathrm{K}_S/\mathrm{K},T,\emptyset) \leq \frac{a(T)}{|T|}+\varepsilon.$$

If moreover the set $\mathscr{T}$ contains infinitely many primes $\mathfrak{p}$ with $a(\mathfrak{p})=1$ then, by choosing T to consist only of such primes, we can arrange $\underline{\mathbb{M}}(\mathrm{K}_S/\mathrm{K},T,\emptyset)$ to be as close to 1 as desired.

4.2. Ershov's trick. — Thanks to a result of Schmidt [35], the phenomenon of Proposition 4.1 which we derived from number theory considerations, can be obtained via a clever idea due to Ershov [5] using pro-p-group presentations.

Let K be a number field and S_0 a finite set of places of K, $(S_0,p)=1$. We assume that $\delta_{\mathrm{K}}=0$ and that A_{K} is trivial. By [35], one can choose a finite set Σ of places of K such that

(i) $(\Sigma,p)=1$, $S_0\subset\Sigma$;

(ii) The natural map $H^2(\mathscr{G}_\Sigma,\mathbb{F}_p) \xrightarrow{\sim} \bigoplus_{v\in\Sigma} H^2(\mathscr{G}_v,\mathbb{F}_p)$ is an isomorphism;

(iii) the pro-p-group $\mathscr{G}_\Sigma$ is of cohomological dimension 2 and

$$\chi(\mathscr{G}_\Sigma) := 1 - d_pH^1(\mathscr{G}_\Sigma,\mathbb{F}_p) + d_pH^2(\mathscr{G}_\Sigma,\mathbb{F}_p) = r_1(\mathrm{K})+r_2(\mathrm{K}).$$

Put $d = d_p\mathscr{G}_\Sigma$ and $k = |\Sigma|$. As $\mathrm{A_K}$ is trivial, $d \leq k$.
By (ii) the relations of $\mathscr{G}_\Sigma$ are all local. In fact, by following the proof of Theorem 6.1 of [35], one can show that there exists a subset $S \subseteq \Sigma$ containing S_0 with the following property. Letting $T = \Sigma - S$ and $t = |T|$, there exists a basis of generators (x_i) of $\mathscr{G}_\Sigma$ such that for $i = 1, \cdots, t$, every element x_i is a generator of the inertia group in $\mathrm{K}_\Sigma/\mathrm{K}$ of one place of T. (The set S allows us to kill a certain Shafarevich group.) The quantities t and d can be as large as we want.

Hence the group $\mathscr{G}_\Sigma$ can be described by generators and relations as

$$\langle x_1, \cdots, x_d \mid [x_1, F_1] = x_1^{p\lambda_1}, \cdots, [x_t, F_t] = x_t^{p\lambda_t},\ r_{t+1}, \cdots, r_k \rangle,$$

where the elements F_i are lifts of the Frobenius of the places $v_i \in S$, and λ_i belongs to $\mathbb{Z}_p$ (for $p = 2$, $\lambda_i \in 2\mathbb{Z}_2$) and where we recall that $k = d_p H^2(\mathscr{G}_\Sigma, \mathbb{F}_p) = |\Sigma|$. Note that the relations $[x_i, F_i]x_i^{p\lambda_i}, i = 1, \ldots, t$ are the local conditions.

Then take a minimal presentation of $\mathscr{G} := \mathscr{G}_\Sigma$ as follows:

$$1 \longrightarrow R \longrightarrow \mathrm{F} \longrightarrow \mathscr{G} \longrightarrow 1,$$

where R is the normal subgroup of F generated by the relations

$$\langle [x_1, F_1] = x_1^{p\lambda_1}, \cdots, [x_t, F_t] = x_t^{p\lambda_t},\ r_{t+1}, \cdots, r_k \rangle.$$

Let $\mathscr{H}$ be the normal subgroup of F generated by the elements $x_1, \cdots, x_t, F_1, \cdots, F_t$. By maximality, the subgroup $\mathscr{H}R$ corresponds to $\mathscr{G}_S^T$. Put $\Gamma = \mathscr{G}_S^T$.

Let now Γ_i be an open subgroup of Γ and let F_i be the normal subgroup of F containing $\mathscr{H}R$ and satisfying $\mathrm{F}/\mathrm{F}_i \simeq \Gamma/\Gamma_i \simeq \mathscr{G}/\mathscr{G}_i$, where $\mathscr{G}_i$ corresponds to F_i/R. Now by Schreier's formula one has

$$d_p\mathrm{F}_i - 1 = [\mathrm{F} : \mathrm{F}_i](d_p\mathscr{G} - 1),$$

by recalling that $d_p\mathscr{G} = d_p\mathrm{F}$. One then has the exact sequence

$$1 \longrightarrow \mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i]R/\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i] \longrightarrow \mathrm{F}_i/\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i] \longrightarrow \mathrm{F}_i/\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i]R \longrightarrow 1,$$

where $\mathrm{F}_i/R \simeq \mathscr{G}_i$. Now, by construction, as F_i contains $\mathscr{H}$, the first generators of R are in $\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i]$. One see very quicky that the quotient $\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i]R/\mathrm{F}_i^p[\mathrm{F}_i, \mathrm{F}_i]$ is topologically generated by the elements of the form yzy^{-1}, where y is a representative of a class of F/F_i and $z \in \{r_{t+1}, \cdots, r_k\}$: indeed $R \subset \mathrm{F}_i$. Thus

$$d_p(\mathscr{G}_i) \geq [\mathscr{G} : \mathscr{G}_i](d - 1 - k + t) + 1,$$

and as $1 - d + k = \chi(\mathscr{G}_\Sigma) = r_1(\mathrm{K}) + r_2(\mathrm{K})$, one obtains

$$\frac{d_p(\mathscr{G}_i)}{[\mathscr{G} : \mathscr{G}_i]} \geq t - \big(r_1(\mathrm{K}) + r_2(\mathrm{K})\big).$$

Here $\mathscr{G}_i = \mathscr{G}_\Sigma(\mathrm{K}_i)$, where K_i is the fixed field of $\mathscr{G}_i$ inside the tower $\mathrm{K}_\Sigma/\mathrm{K}$.

4.3. On Schreier's bound. — Recall again the principle behind the construction of the examples of the section 3. Take $p = 2$. Let k be a real quadratic field having an infinite 2-extension k^T/k. Put $t = |T| - (r_1 + r_2)$. Let K/k be an imaginary quadratic extension in which all places of T are ramified. Let (k_n) be an exhaustive tower in k^T/k and consider the tower $(\mathrm{K}\mathrm{k}_n)$ of K, which is evidently inside K^T/K. By Genus Theory applied to each quadratic extension $\mathrm{K}_n/\mathrm{k}_n$, $d_p\mathrm{A}(\mathrm{K}_n) \geq [\mathrm{K}_n : \mathrm{K}]t - 1$. In [14], it has been proven that in fact

$$d_p\mathrm{A}(\mathrm{K}_n) \geq [\mathrm{K}_n : \mathrm{K}]t + 1.$$

At this level, we recall that Genus Theory allows us a lower bound of the p-rank of a subgroup of $\mathrm{A}(\mathrm{K}_n)$ without taking into account the contribution of $\mathrm{A}(\mathrm{k}_n)$ i.e.

$$d_p\mathrm{A}(\mathrm{K}_n) \geq [\mathrm{K}_n : \mathrm{K}]t - 1 + \alpha_n,$$

with $\alpha_n \leq d_p\mathrm{A}(\mathrm{k}_n)$ measuring the added contribution to the rank coming from the injection of $\mathrm{A}(\mathrm{k}_n)$ into $\mathrm{A}(\mathrm{K}_n)$ (see [25]).

In the other direction, thanks to Schreier's inequality, one has

$$d_p\mathrm{A}(\mathrm{K}_n) \leq (d_p\mathrm{A}(\mathrm{K}) - 1)[\mathrm{K}_n : \mathrm{K}] + 1,$$

and then

$$t\,[\mathrm{K}_n : \mathrm{K}] \leq d_p\mathrm{A}(\mathrm{K}_n) - 1 \leq (d_p\mathrm{A}(\mathrm{K}) - 1)[\mathrm{K}_n : \mathrm{K}],$$

which naturally raises the following question raised in [14].

Question 4.4. — *Is it possible to create an example as above having an optimal inequality, i.e. such that $d_pA(\mathrm{K}) - 1 = t$?*

In [14], it was shown that a sequence of examples with the ratio $(d_p\mathrm{A}(\mathrm{K}) - 1)/t$ tending to 1 can be created. In the remainder of this section, we will make an attempt to find examples with small $(d_p\mathrm{A}(\mathrm{K}) - 1) - t$ by considering some ray class groups.

We take $p = 2$. To recall a Theorem due to Gras-Munnier (see [12], section I.4 or chapter VI or [13]), we fix the notation. Let $\mathrm{F}' := \mathrm{F}(\sqrt{E}, \sqrt{A})$ be the governing field of a number field F, where E is the group of units of F, where $A = \{a_1, \cdots, a_d\}$, $\mathscr{A}_i^2 = a_i\mathscr{O}_\mathrm{F}$, $(\mathscr{A}_i)_i$ being a system of generators of $\mathrm{A}(\mathrm{F})[2]$.

Theorem 4.5 **(Gras-Munnier).** — *Let $T = \{\mathfrak{p}_1, \cdots, \mathfrak{p}_t\}$ be a set of places of* K*, with* $\mathrm{N}\mathfrak{p}_i \equiv 1 \bmod p$*. There exists an extension* L/F *cyclic of degree* 2*, exactly and totally ramified at T if and only if, for $i = 1, \cdots, t$, there exists $a_i \in \mathbb{F}_p^\times$, such that*

$$\prod_{i=1}^{t} \left(\frac{\mathrm{F}'/\mathrm{F}}{\mathfrak{P}_i}\right)^{a_i} = 1 \ \in \mathrm{Gal}(\mathrm{F}'/\mathrm{F}),$$

where $\mathfrak{P}_i$ is an ideal of L above $\mathfrak{p}_i$.

Now, take ℓ to be a prime with $\ell \equiv 1 \bmod 32$. Let F be the totally real subfield of $\mathbb{Q}(\zeta_\ell)$ of degree 16 over $\mathbb{Q}$. Let $\{-1, \varepsilon_1, \cdots, \varepsilon_r\}$ be a basis of E/E^2. Note that the extension $\mathrm{F}'/\mathbb{Q}$ is a Galois extension and contains F (here F' is the governing field defined above). By the Chebotarev Density Theorem, we can find an odd prime q that splits completely in $\mathrm{F}'/\mathbb{Q}$. Now by Theorem 4.5, for all primes $\mathfrak{q}_i$ of F above q, there exists a cylic 2-extension exactly $\{\mathfrak{q}_i\}$-ramified. We conclude that the 2-rank of the 2-class group $\mathrm{A}_S(\mathrm{K})$ is at least 16, where S is the set of places of K above q. Moreover by the condition above q, one has that -1 is a square in $\mathbb{Q}_q$, that means that $q \equiv 1 \bmod 4$. Now, again by applying Chebotarev Density Theorem take p_1 that splits completely in the extension $\mathrm{F}_S^{ab}(\sqrt{-1})/\mathbb{Q}$ as well as another prime p_2 that splits completely in $\mathrm{F}_S/\mathbb{Q}$ but which is inert in $\mathbb{Q}(\sqrt{-1})/\mathbb{Q}$.

Let T be the set of places of F above $\{p_1, p_2\}$. Then the 2-rank of $\mathscr{G}_S := \mathrm{Gal}(\mathrm{F}_S/\mathrm{F})$ and the 2-rank of $\mathscr{G}_S^T := \mathrm{Gal}(\mathrm{F}_S^T/\mathrm{F})$ are the same and are at least 16. Now, $r(\mathscr{G}_S^T) \leq 48$ (see Proposition 1.4) and, by the Theorem of Golod-Shafarevich (see Theorem 1.1) the tower $\mathrm{F}_S^T/\mathrm{F}$ is infinite and then the tower $\mathbb{Q}_\Sigma^T/\mathbb{Q}$ is infinite too, where $\Sigma = \{q, \ell\}$.

Put $\mathrm{K} = \mathbb{Q}(\sqrt{-p_1p_2})$. The primes ℓ and q are split in $\mathrm{K}/\mathbb{Q}$. As $p_2 \equiv 3 \bmod 4$, one has $d_2\mathrm{A}_K = 1$ and the 2-rank of the ray class group of K with modulus $q\ell$ is at most 5. Now consider the compositum $\mathrm{L} := \mathbb{Q}_\Sigma^T\mathrm{K}$. Thanks to Schreier's inequality and to Genus Theory, one has for all number fields K_n in L/K:

$$2[\mathrm{K}_n : \mathrm{K}] \leq d_2\mathrm{A}_\Sigma(\mathrm{K}_n) - 1 \leq 4[\mathrm{K}_n : \mathrm{K}].$$

By assuming a hypothesis, we can improve the above estimate. Indeed, the 2-group $\mathscr{G} := \mathrm{Gal}(\mathrm{F}/\mathbb{Q})$ acts on the elementary abelian 2-group $\mathscr{H} := \mathrm{Gal}(\mathrm{F}'/\mathrm{F})$. Hence there exists a subgroup $\mathscr{H}_0$ of $\mathscr{H}$ of order 2 on which $\mathscr{G}$ acts trivially.

For the remainder of this section, suppose that $\mathscr{H}_0$ can be chosen such that $\mathscr{H}_0 \nsubseteq \mathrm{Gal}(\mathrm{F}'/\mathrm{F}(\sqrt{-1}))$.

By the Chebotarev Density Theorem, take an odd prime q such that its Frobenius in $\mathrm{Gal}(\mathrm{F}'/\mathbb{Q})$ is a generator of $\mathscr{H}_0$.

Lemma 4.6. — *Let $\mathfrak{q}_i \neq \mathfrak{q}_j$ be two primes of* F *above q. Then* $\left(\dfrac{\mathrm{F}'/\mathrm{F}}{\mathfrak{q}_i}\right) = \left(\dfrac{\mathrm{F}'/\mathrm{F}}{\mathfrak{q}_j}\right)$.

Proof. — The primes $\mathfrak{q}_i$ and $\mathfrak{q}_j$ are conjugate: there exists $g \in \mathscr{G}$ such that $\mathfrak{q}_j = \mathfrak{q}_i^g$. We are done thanks to the property of the Artin Symbol: $\left(\dfrac{\mathrm{F}'/\mathrm{F}}{\mathfrak{q}_i^g}\right) = g \cdot \left(\dfrac{\mathrm{F}'/\mathrm{F}}{\mathfrak{q}_i}\right) \cdot g^{-1}$ and the fact that $\mathscr{G}$ acts trivially on $\mathscr{H}_0$. □

Now by Theorem 4.5, for all pairs of primes $\mathfrak{q}_i \neq \mathfrak{q}_j$ of F above q, there exists a cylic 2-extension exactly $\{\mathfrak{q}_i, \mathfrak{q}_j\}$-ramified. Then, this implies that the 2-rank of the 2-class group $\mathrm{A}_S(\mathrm{K})$ is at least 15, where S is the set of places of K above q. Moreover by the condition above q, one has that -1 is not a square in $\mathbb{Q}_q$, that means that $q \equiv 3 \bmod 4$. We now put $\mathrm{K} = \mathbb{Q}(\sqrt{-p_1p_2})$ and proceed exactly as before; the 2-rank of the ray class group of K with modulus $q\ell$ is at most 4 if q is inert in $\mathrm{K}/\mathbb{Q}$ or 5 if q splits.

Lemma 4.7. — *Here, $d_2\mathrm{A}_\Sigma(\mathrm{K}) \leq 4$.*

Proof. — One has only to look at the case where q splits in $\mathrm{K}/\mathbb{Q}$. Let $\alpha \in \mathrm{K}$ be the square of the unique non-trivial class C of A_K: $C^2 = (\alpha)$. Consider the morphism

$$\theta : \langle -1, \alpha \rangle \mapsto \frac{\mathbb{F}_{\mathfrak{l}_1}^\times}{\mathbb{F}_{\mathfrak{l}_1}^{\times 2}} \times \frac{\mathbb{F}_{\mathfrak{l}_2}^\times}{\mathbb{F}_{\mathfrak{l}_2}^{\times 2}} \times \frac{\mathbb{F}_{\mathfrak{q}_1}^\times}{\mathbb{F}_{\mathfrak{q}_1}^{\times 2}} \times \frac{\mathbb{F}_{\mathfrak{q}_2}^\times}{\mathbb{F}_{\mathfrak{q}_2}^{\times 2}},$$

where $\mathfrak{l}_i$ and $\mathfrak{q}_i$ are the primes of K above $q\ell$ and where $\mathbb{F}_{\mathfrak{q}_i}$ (resp. $\mathbb{F}_{\mathfrak{l}_i}$) is the residue field of $\mathfrak{q}_i$ (resp. of $\mathfrak{l}_i$). Then one has the formula (see [26] or see [12]): $d_2\mathrm{A}_{\mathrm{K},\Sigma} = d_2\mathrm{A}_{\mathrm{K}} + |\Sigma| - d_2\mathrm{Im}(\theta)$. Now as $q \equiv -1 \bmod 4$, the image of θ is at least of order 2 and then we have down. □

Now consider the compositum $\mathrm{L} := \mathbb{Q}_\Sigma^T\mathrm{K}$. Thanks to Schreier's inequality and to Genus Theory, one has for all number fields K_n in L/K:

$$2[\mathrm{K}_n : \mathrm{K}] \leq d_2\mathrm{A}_\Sigma(\mathrm{K}_n) - 1 \leq 3[\mathrm{K}_n : \mathrm{K}].$$

5. Invariant factors in pro-p-groups

For this section the main reference is [4].

We begin with a straightforward observation.

Proposition 5.1. — *Let $\mathscr{G}$ be a torsion-free* FAb *pro-p-group. Let $(\mathscr{U})$ be a basis of open subgroups of $\mathscr{G}$. Then the sequence of the exponents $e(\mathscr{U}^{ab})$ of $\mathscr{U}^{ab}$ is not bounded.*

Proof. — Suppose that there exists an integer k such that for all open subgroups $\mathscr{U}$, $e(\mathscr{U}^{ab}) \leq k$. Take $1 \neq x \in \mathscr{G}$. Then $\langle x^k\rangle\mathscr{U} \subset [\mathscr{U},\mathscr{U}]$, that means

$$\langle x^k\rangle = \bigcap_{\mathscr{U}} \langle x^k\rangle\mathscr{U} \subset \bigcap_{\mathscr{U}} [\mathscr{U},\mathscr{U}] = \{1\}.$$

In other words, $x^k = 1$ and, as $\mathscr{G}$ is torsion-free, $x = 1$. Contradiction. □

Our work in the previous sections on exponents of p-class groups leads us now to defining the following invariant for finitely generated *FAb* pro-p groups.

Definition 5.2. — Let $\mathscr{G}$ be a *FAb* pro-p-group of finite type. For any open subgroup $\mathscr{U}$ of $\mathscr{G}$, since $\mathscr{U}^{\mathrm{ab}}$ is finite, $\mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}$ is well-defined. For $n \geq 1$, we put

$$\mathbb{M}_n(\mathscr{G}) := \min_{[\mathscr{G}:\mathscr{U}]=p^n} \mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}$$

and then define the asymptotic mean exponent of $\mathscr{G}$ to be

$$\underline{\mathbb{M}}(\mathscr{G}) := \liminf_n \mathbb{M}_n(\mathscr{G}).$$

In the remainder of this section, we will show how to estimate the asymptotic mean exponent in two special cases.

5.1. In analytic pro-p-groups. — As noted by Gärtner in [11], the exponents of open subgroups of an infinite p-adic analytic pro-p-group tend to infinity. To be more precise, let $\mathscr{G}$ be an analytic pro-p-group of dimension d. Then $\mathscr{G}$ has an open uniform subgroup $\mathscr{U}$ (of rank d). Put $\mathscr{U}_1 = \mathscr{U}$ and consider for $i \geq 1$, $\mathscr{U}_{i+1} = \mathscr{U}_i^p[\mathscr{U}_i,\mathscr{U}]$ the p-central descending series of $\mathscr{U}$. (For $p = 2$, take $\mathscr{U}_{i+1} = \mathscr{U}_i^4[\mathscr{U}_i,\mathscr{U}]$.)

Definition 5.3. — A pro-p-group $\mathscr{U}$ is uniform if

(i) $\mathscr{U}/\mathscr{U}^p$ is abelian and

(ii) for all $i \geq 1$, the map

$$\begin{array}{ccc} \mathscr{U}_i/\mathscr{U}_{i+1} & \longrightarrow & \mathscr{U}_{i+1}/\mathscr{U}_{i+2} \\ x & \mapsto & x^p \end{array}$$

is an isomorphism.

Proposition 5.4. — *Let p be an odd prime, and $\mathscr{U}$ a uniform pro-p-group. Then for each n, $\mathscr{U}_n^{\mathrm{ab}}$ has rank d and maps onto $(\mathbb{Z}/p^n\mathbb{Z})^d$.*

Proof. — Take $n > 1$. Let $x \in \mathscr{U}_n$ be an element of a minimal family of generators of $\mathscr{U}_n$: the element x is not trivial in the quotient $\mathscr{U}_n/\mathscr{U}_n^p[\mathscr{U}_n, \mathscr{U}]$. As $\mathscr{U}$ is uniform, one has $\mathscr{U}_n^p[\mathscr{U}_n, \mathscr{U}] = \mathscr{U}_{n+1}$ and then x is not trivial in $\mathscr{U}_n/\mathscr{U}_{n+1}$. Suppose now that the order p^k of x in $\mathscr{U}_n/\mathscr{U}_{n+1}$ is smaller than p^{n-1}, *i.e.* $x^{p^k} \in [\mathscr{U}_n, \mathscr{U}]$ with $k < n$. Then as $[\mathscr{U}_n, \mathscr{U}] \subset \mathscr{U}_{2n}$, one has $x^{p^k} \in \mathscr{U}_{2n}$. But as $\mathscr{U}$ is uniform, for all m the following isomorphism holds:

$$\mathscr{U}_n/\mathscr{U}_{n+1} \stackrel{x \mapsto x^{p^m}}{\longrightarrow} \mathscr{U}_{n+m}/\mathscr{U}_{n+m+1}.$$

The integer k being supposed smaller than n, we find $x^{p^{n-1}} = 1$ in $\mathscr{U}_{2n-1}/\mathscr{U}_{2n}$ and then $x = 1$ in $\mathscr{U}_n/\mathscr{U}_{n+1}$. Contradiction. Hence every element of a generator basis of $\mathscr{U}_n$ is of order at least p^n. □

Corollary 5.5. — *Let $\mathscr{G}$ be a uniform analytic pro-p-group of dimension d. Consider the sequence $\mathbb{M}_{\mathscr{G}_n^{\mathrm{ab}}}$ of mean exponents for the abelianizations of terms of the p-central series. We have*

$$\mathbb{M}_{\mathscr{G}_n^{\mathrm{ab}}} \geq n = \frac{1}{d} \log_p[\mathscr{G} : \mathscr{G}_n].$$

Proof. — Follows immediately from the previous Proposition. □

***Remark 5.6* ([4], Chapter 13)**. — Let us replace $\mathbb{Z}_p$ by the complete local regular Noetherien ring $R = \mathbb{Z}_p[[T_1, \cdots, T_k]]$ with residue field $\mathbb{F}_p$ and dimension $k+1$; here $\mathfrak{m} = (p, T_1, \cdots, T_k)$ is the maximal ideal of R. Let $\mathrm{Grad}(R) = \bigoplus_{i \geq 0} \mathfrak{m}^i/\mathfrak{m}^{i+1}$ be the graded algebra; put $c_i = \dim_{\mathbb{F}_p} \mathfrak{m}^i/\mathfrak{m}^{i+1}$. Following the terminology of [4], consider $\mathscr{G}$ an R standard and perfect group of dimension d. For example $\mathrm{Sl}_n^1(R) := \ker(\mathrm{Sl}_n(R) \to \mathrm{Sl}_n(\mathbb{F}_p))$ is such a group for $p > 2$. In particular, $\mathscr{G} = \mathfrak{m}^d$ as an analytic variety on which there is a formal group law F. Let us consider the filtration of $\mathscr{G}$: $\mathscr{G}_n \simeq (\mathfrak{m}^n)^d$, $n \geq 1$. Then, for all integers $m, n \geq 1$, $[\mathscr{G}_m, \mathscr{G}_n] = \mathscr{G}_{m+n}$ ($\mathscr{G}$ is perfect) and there is an isomorphism of groups $\mathscr{G}_n^{ab} \simeq (\mathfrak{m}^n/\mathfrak{m}^{2n})^d$, where the formal law on the quotient $\mathfrak{m}^n/\mathfrak{m}^{2n}$ becomes the addition. As the quotients $\mathfrak{m}^i/\mathfrak{m}^{i+1}$ are p-elementary, one has

$$v_p([\mathscr{G} : \mathscr{G}_n]) = \log_p[R : \mathfrak{m}^n] = c_1 + c_2 + \cdots + c_{n-1}.$$

By using the Hilbert-Samuel-Serre polynomial $H = CX^{k+1} + \cdots$ of $\mathrm{Grad}(R)$, $C > 0$ (*i.e.* $\deg(H) = k+1$), we have

$$v_p([\mathscr{G} : \mathscr{G}_n]) \sim_n dH(n-1) \sim_n Cdn^{k+1},$$

and

$$v_p(|\mathscr{G}_n^{ab}|) = v_p([\mathscr{G}_n : \mathscr{G}_{2n}]) \sim_n d\,(H(2n-1) - H(n-1)) \sim_n cd(k+1)n^{k+1}(2^{k+1} - 1).$$

(For material for the Hilbert-Samuel-Serre polynomial see for example [28].) To finish, we want to bound the p-rank $d_p\mathscr{G}_n$ of $\mathscr{G}_n$: $d_p\mathscr{G}_n = d\cdot d_p(\mathfrak{m}^n/(p\mathfrak{m}^n+\mathfrak{m}^{2n}))$. First we have the following exact sequence:

$$0 \longrightarrow (p^{n-1}\mathfrak{m}+\cdots+p\mathfrak{m}^{n-1})/p\mathfrak{m}^n \longrightarrow \mathfrak{m}^n/(p\mathfrak{m}^n+\mathfrak{m}^{2n}) \longrightarrow \overline{\mathfrak{m}}^n/\overline{\mathfrak{m}}^{2n} \longrightarrow 0,$$

where $\overline{\mathfrak{m}}$ is the maximal ideal of $\mathbb{F}_p[[T_1,\cdots,T_k]]$. Now the natural homomorphism:

$$\begin{array}{rcl} \overline{\mathfrak{m}}/\overline{\mathfrak{m}}^2\times\cdots\times\overline{\mathfrak{m}}^{n-1}/\overline{\mathfrak{m}}^n & \rightarrow & p^{n-1}\mathfrak{m}+\cdots+p\mathfrak{m}^{n-1} \mod p\mathfrak{m}^n \\ (\overline{x}_1,\cdots,\overline{x}_{n-1}) & \mapsto & p^{n-1}x_1+\cdots px_{n-1} \mod p\mathfrak{m}^n \end{array}$$

allows us to obtain

$$d_p\mathscr{G}_n \leq a_1+\cdots+a_{2n-1},$$

where $a_i = d_p\overline{\mathfrak{m}}^{i-1}/\overline{\mathfrak{m}}^i$. The local ring $\mathbb{F}_p[[T_1,\cdots,T_k]]$ is of dimension k, and then, if $\overline{H} = C'X^k+\cdots$ is the Hilbert-Samuel of the graded algebra $\mathbb{F}_p[[T_1,\cdots,T_k]]$ with $C'>0$, we have for $n\gg 0$:

$$d_p\mathscr{G}_n \ll n^k.$$

Finally, one obtains

$$\mathbb{M}_{\mathscr{G}_n^{\mathrm{ab}}} \gg n \gg \left(\log_p[\mathscr{G}:\mathscr{G}_n]\right)^{1/(k+1)}.$$

5.2. Bounding $\underline{\mathbb{M}}(\mathscr{G}_S^T)$ for tame S. — First, thanks to Proposition 2.18, for the Galois group $\mathscr{G}=\mathscr{G}_S^T$ of a tame tower $\mathrm{K}_S^T/\mathrm{K}$, we have

$$\underline{\mathbb{M}}(\mathscr{G}) \leq c(\mathrm{K},S,T)\limsup_{\mathscr{U}} \frac{[\mathscr{G}:\mathscr{U}]}{d(\mathscr{U})},$$

where $c(\mathrm{K},S,T)$ is a quantity that depends only on K,S,T. So, we must consider the rate of growth of the generator rank of open subgroups of $\mathscr{G}$ with respect to their index. Recall that the *rank gradient* of $\mathscr{G}$ (see, for example [5]) is defined to be

$$\rho(\mathscr{G}) = \liminf_{\mathscr{H}} \frac{d(\mathscr{H})-1}{[\mathscr{G}:\mathscr{H}]},$$

where the infimum is taken over all open subgroups $\mathscr{H}\subset\mathscr{G}$. Note that when $\mathscr{U}\subset\mathscr{V}$, Schreier's formula gives the inequality $\dfrac{d(\mathscr{U})-1}{[\mathscr{G}:\mathscr{U}]} \leq \dfrac{d(\mathscr{V})-1}{[\mathscr{G}:\mathscr{V}]}$ showing that the sequence $[\mathscr{G}:\mathscr{U}_i]/d(\mathscr{U}_i)$ is increasing for a nested sequence $(\mathscr{U}_i)$ of open subgroups. For groups with positive rank gradient ε, the p-rank of open subgroups grows ε-lineraly with the index (compare definition 2.19).

In the general case, lacking any knowledge on the behavior of $d(\mathscr{U})$, we nonetheless have the following result (Part 1 of Theorem 0.1).

Proposition 5.7. — *Suppose S is a finite set of primes of a number field* K *with $(S,p)=1$. Let $\mathscr{G}=\mathscr{G}_S^T$. There is a constant $C>0$, such that for any open subgroup $\mathscr{U}$ of $\mathscr{G}$, we have $\mathbb{M}_{\mathscr{U}^{\mathrm{ab}}} \leq C[\mathscr{G}:\mathscr{U}]$.*

Proof. — We simply apply Proposition 2.18, merely noting that $d(\mathscr{U})\geq 1$. □

Question 5.8. — *Is the conclusion of Proposition 5.7 true for every* FAb *pro-p-group of finite type?*

In the main result of this section, for certain special subgroups $\mathscr{U}$ of $\mathscr{G}$, we give lower bounds for $d(\mathscr{U})$, which allows us to estimate $\mathbb{M}_{\mathscr{U}^{\mathrm{ab}}}$. The main references are §11 and §12 of [4].

First of all, a key result is a Theorem of Jennings which asserts that for any group $\mathscr{G}$ there exists a connection between the enveloping algebra associated to a certain graduated algebra $\mathrm{Grad}(\mathscr{G})$ of $\mathscr{G}$ and the restricted enveloping algebra of $\mathbb{F}_p[\mathscr{G}]$ graded by the powers of the augmentation ideal I. Here, $\mathrm{Grad}(\mathscr{G}) := \oplus_{i\geq 0} D_i/D_{i+1}$, where $D_i = (1+I^i)\cap\mathscr{G}$; put $b_i := d_p D_i/D_{i+1}$. The filtration (D_n) is called the Zassenhaus filtration of $\mathscr{G}$; this filtration satisfies these mains properties:

$$D_1 = \mathscr{G},\ D_n = D_{n^*}^p \prod_{i+j=n} [D_i, D_j],\ D_n^p \subset D_{np},\ \text{and}\ [D_n, D_m] \subset D_{n+m},$$

where $n^* = \lceil n/p \rceil$. Hence, $D_i/D_{i+1} \simeq (\mathbb{Z}/p\mathbb{Z})^{b_i}$.

The relationship between these two associative algebras gives a link between the b_i and the $c_j := d_p I^j/I^{j+1}$. More precisely, if $U(T) := \sum_{n\geq 0} c_n T^n$ is the Hilbert Poincaré series of the graded algebra $\mathbb{F}_p[[\mathscr{G}]]$ then

$$U(T) = \prod_{i\geq 1} \left(\frac{T^{pi}-1}{T^i-1}\right)^{b_i}.$$

In particular, when $\mathscr{G}$ is analytic, the p-rank of its open subgroups is bounded and then, the integers b_i should often vanish. In fact, one has the spectacular result that $b_i = 0$ for a single integer i if and only if the pro-p-group is analytic. The following beautiful lemma is a consequence of all of this:

Lemma 5.9. — *Suppose $\varepsilon > 0$. If $\mathscr{G}$ is not analytic, then there exist infinitely many n such that*

$$d_p D_{2^n} \geq (1-\varepsilon)\log_p[\mathscr{G} : D_{2^n}],$$

where D_{2^n} runs in the Zassenhaus filtration (D_k) of $\mathscr{G}$.

Proof. — It is the lemma 11.8 of [4]. □

Definition 5.10. — A finitely generated pro-p group $\mathscr{G}$ is said to be of Golod-Shafarevich type if all the relations are of degree 2 and $d^2 \geq 4r$ where d, r are the generator rank and relation rank of $\mathscr{G}$, respectively, cf. Theorem 1.3.

Remark 5.11. — A pro-p-group of Golod-Shafarevich type with relation rank $r > 1$ is not analytic, cf. [24] and [36]. If a pro-p group is mild with respect to the Zassenhaus filtration, and all its relations are of degree 2, then it is of Golod-Shafarevich type (and of cohomological dimension 2) – see [21].

Proposition 5.12. — *Suppose that the conditions of Theorem 1.6 hold for a number field* K*, so that $\mathscr{G} = \mathscr{G}_\emptyset^T$ is infinite. Then there exists a constant C and infinitely many n such that,*

$$\mathbb{M}_{D_{2^n}^{\mathrm{ab}}} \leq C\frac{[\mathscr{G} : D_{2^n}]}{\log_p[\mathscr{G} : D_{2^n}]},$$

where D_{2^n} runs in the Zassenhaus filtration (D_k) of $\mathscr{G}$.

Proof. — The conditions of Theorem 1.6 entail that $\mathscr{G}$ is of Golod-Shafarevich type, hence is not analytic. The desired conclusion is therefore a consequence of Lemma 5.9 and Proposition 2.18. $\square$

To finish, let us improve the lower bound of Lemma 5.9. To simplify, assume that $p > 2$. Let

$$1 \longrightarrow R \longrightarrow F \longrightarrow \mathscr{G} \longrightarrow 1,$$

be a minimal presentation of $\mathscr{G}$: the pro-p-group F is free and generated by d elements $x_1, \cdots, x_d$. We assume that $\mathscr{G}$ is finitely presented: the dimension over $\mathbb{F}_p$ of $H^2(\mathscr{G}, \mathbb{F}_p)$ is finite. Let $\rho_1, \cdots, \rho_r \in F$ be a system of generators of $R/R^p[F,R]$. For $i = 1, \cdots, r$, let a_i be the degree of ρ_i following the Zassenhaus filtration of F.

Definition 5.13. — For two formal series with real coefficients, we say that $\sum_n \alpha_n T^n \geq \sum_n \alpha'_n T^n$ if for all n, $\alpha_n \geq \alpha'_n$.

Proposition 5.14. — *Let $\mathscr{G}$ be a finitely presented pro-p-group. Let $U(t)$ be the Hilbert Poincaré series of the graded algebra $\mathbb{F}_p[[\mathscr{G}]]$. Then*

$$U(T) \geq \frac{1}{1 - dT + \sum_{i=1}^r T^{a_i}},$$

with equality if $\mathscr{G}$ is of cohomological dimension at most 2.

Proof. — The proof is essentialy a result of Brumer [1]. First let us consider the natural short exact sequence

$$0 \longrightarrow \mathrm{I}(\mathscr{G}) \longrightarrow \mathbb{F}_p[[\mathscr{G}]] \longrightarrow \mathbb{F}_p \longrightarrow 0,$$

where $\mathrm{I}(\mathscr{G})$ is the augmentation ideal of the complete algebra $\mathbb{F}_p[[\mathscr{G}]]$. The topological generators of $\mathscr{G}$ are in $\mathrm{I}(\mathscr{G})$ and therefore all of degree 1. For a minimal presentation

$$1 \longrightarrow R \longrightarrow F \longrightarrow \mathscr{G} \longrightarrow 1,$$

of $\mathscr{G}$, Brumer (see (5.2.1) in [1]), shows that there is a short exact sequence

$$0 \longrightarrow R/R^p[R,R] \xrightarrow{f} \mathrm{I}(F)/\mathrm{I}(F)\mathrm{I}(R) \xrightarrow{g} \mathrm{I}(\mathscr{G}) \longrightarrow 0,$$

where $f(r) = r - 1 \bmod \mathrm{I}(F)\mathrm{I}(R)$. Now, the quotient $\mathrm{I}(F)/\mathrm{I}(F)\mathrm{I}(R)$ is a free $\mathbb{F}_p[[\mathscr{G}]]$-module on the generators $x_1 - 1, \cdots, x_d - 1$ and then we have the relation on the Hilbert Poincaré series:

$$P(T) - dTU(T) + U(T) - 1 = 0,$$

where $P(T)$ is the series of $R/R^p[R,R]$ and where $U(T)$ is the series of $\mathbb{F}_p[[\mathscr{G}]]$. As $\mathbb{F}_p[[\mathscr{G}]] \cdot \rho_1 \oplus \cdots \oplus \mathbb{F}_p[[\mathscr{G}]] \cdot \rho_r \overset{\varphi}{\twoheadrightarrow} R/R^p[R,R]$, and that the elements ρ_i are of degree a_i, one has

$$P(T) \leq \left(\sum_{i=1}^r T^{a_i} \right) U(T).$$

Now, the equality comes from the fact that the pro-p-group $\mathscr{G}$ is of cohomological dimension at most 2 if and only if the map φ is an isomorphism (see Proposition 5.3 in [1]). $\square$

Theorem 5.15. — *Let* L/K *be a tamely ramified pro-p-extension with Galois group* $\mathscr{G}$*. Suppose that* $\mathscr{G}$ *is of Golod-Shafarevich type and of cohomological dimension* 2*. Then for every* $\varepsilon > 0$*, there exists a constant* C *and infinitely many* n *such that*

$$\mathbb{M}_{D_{2^n}^{\mathrm{ab}}} \leq C \frac{[\mathscr{G} : D_{2^n}]}{(\log_p[\mathscr{G} : D_{2^n}])^{2-\varepsilon}},$$

where D_{2^n} *runs in the Zassenhaus filtration* (D_k) *of* $\mathscr{G}$*.*

Remark 5.16. — In the inequality of the previous Theorem, the constant depends on ε and on the set of primes ramifying in L/K. We note that Labute (Theorem 1.6 of [21]) was the first to give a sufficient condition for mildness of $\mathscr{G}_S^T$; thanks to the work of Schmidt [35], for any K, by choosing S large enough, one can arrange that the group $\mathscr{G}_S^T$ is of cohomological dimension 2 and mild, hence meets the conditions of the Theorem 5.15. (See also the work of Labute [21], Labute and Mináč [22], Forré [8], Gärtner [10], Vogel [38], etc.) We wish to highlight the fact that the preceding Theorem combines together some results from analytic number theory (Brauer-Siegel), arithmetic (the results of Schmidt and the fact that the root discriminant is bounded) and group theory! In fact, better bounds for the growth of p-rank of open subgroups of Golod-Shafarevich pro-p groups can be found in the literature [5], [6], but the interest of Theorem 5.15 is the arithmetic flavor of the proof.

Proof. — We want to give a lower bound of $d_p D_{2^n}$. First, As $[D_{2^n}, D_{2^n}] \subset D_{2^{n+1}}$, we should have in mind the fact that $d_p D_{2^n} \geq d_p D_{2^n}/D_{2^{n+1}}$.
Now by hypothesis

$$\prod_{i \geq 1} \left(\frac{T^{pi}-1}{T^i - 1}\right)^{b_i} = \frac{1}{1 - dT + rT^2} = \frac{1}{(1-\alpha T)(1-\beta T)},$$

with $\alpha \geq \beta$, $\alpha \geq 2$ and $\beta > 1$. Indeed, as $\mathscr{G}^{ab}$ is finite, $r \geq d$.
By taking logarithms, one obtains:

$$\sum_{i \geq 1} b_i \sum_{k \geq 1} \frac{1}{k}\left(T^{ki} - T^{pki}\right) = \sum_{i \geq 1} \frac{1}{i}(\alpha^i + \beta^i) T^i.$$

Take m with $(m,p) = 1$. Then by looking the coefficients at T^m:

$$\alpha^m + \beta^m = \sum_{i|m} i b_i.$$

This equality at $m = 2^n$ and at $m = 2^{n-1}$ allows us to give:

$$b_{2^n} = 2^{-n}\left(\alpha^{2^n} - \sqrt{\alpha^{2^n}} + \beta^{2^n} - \sqrt{\beta^{2^n}}\right)$$

and then there is a constant $C > 1$ such that for all large enough n, we have:

$$b_{2^n} \geq C \frac{\alpha^{2^n}}{2^n}.$$

Let us conserve the notation of [4] and put $i_n = \log_p[\mathscr{G} : D_{2^n}]$. As $d_p D_{2^n} \geq d_p D_{2^n}/D_{2^{n+1}} = \log_p |D_{2^n}/D_{2^{n+1}}|$ one has the inequality

$$i_{n+1} \leq d_n + i_n,$$

where $d_n = d_p D_{2^n}$. Now, for $n \gg 0$,

$$i_{n+1} = \log_p[\mathscr{G} : D_{2^{n+1}}] = \log_p[\mathscr{G} : D_{2^n}] + \log_p[D_{2^n} : D_{2^n+1}] + \log_p[D_{2^n+1} : D_{2^{n+1}}] \geq b_{2^n} \geq C\frac{\alpha^{2^n}}{2^n}.$$

Let n_0 be an integer. Suppose that for all $n \geq n_0$, $d_n \leq i_n^{2-\varepsilon}$. Then, $i_{n+1} \leq 2i_n^{2-\varepsilon}$ and by induction

$$i_{n+1} \leq 2^{1+(2-\varepsilon)+\cdots+(2-\varepsilon)^{n-n_0}} i_{n_0}^{(2-\varepsilon)^{n+1-n_0}}.$$

Hence for $n \gg n_0$,

$$C\frac{\alpha^{2^n}}{2^n} \leq i_{n+1} \leq 2^{\frac{(2-\varepsilon)^{n+1-n_0}-1}{1-\varepsilon}} i_{n_0}^{(2-\varepsilon)^{n+1-n_0}}$$

which is a contradiction for large n.
Hence, there exist infinitely many n such that $d_p D_{2^n} \geq (\log_p[\mathscr{G} : D_{2^n}])^{2-\varepsilon}$ and if $\mathscr{G}$ is the Galois group of a tamely ramified tower, $\mathbb{M}_{D_{2^n}^{\mathrm{ab}}} \ll \dfrac{[\mathscr{G} : D_{2^n}]}{(\log_p[\mathscr{G} : D_{2^n}])^{2-\varepsilon}}$. □

Remark 5.17. — Calculations of the above type with Poincaré series can be found, for example, in [29] and [30].

6. Final remarks

6.1. On a question of structure. — We have been looking for towers in which the p-rank of class groups has linear growth. In the Iwasawa context, abelian as well as non-abelian (for the latter see for example [34]), there is an underlying algebraic structure thanks to which the linear growth of the rank corresponds exactly to having positive μ-invariant. Can we detect any evidence of a similar algebraic structure in the tame case?

In this paper we produce our examples as follows. First, we consider an infinite extension $\mathrm{k}_S^T/\mathrm{k}$ with T non-trivial, and then take its compositum with a finite p-extension K/k inside k_T. In this manner, one obtains a subextension $\mathrm{L} := \mathrm{K}\mathrm{k}_S^T$ of $\mathrm{k}_{\{S\cup T\}}^{\emptyset}$. It is in the extension L/K that we can force linear growth of the p-class groups $(\mathrm{A}_n)_n$. Put $\mathscr{G} = \mathrm{Gal}(\mathrm{k}_S^T/\mathrm{k}) \simeq \mathrm{Gal}(\mathrm{L}/\mathrm{K})$. By a result of Schmidt [35], by choosing S large enough, one can assume that the group $\mathscr{G}$ is of cohomological dimension 2 and mild. Let $\Lambda := \mathbb{F}_p[[\mathscr{G}]]$ be the Iwasawa algebra associated to $\mathscr{G}$. As $\mathscr{G}$ is mild, the ring Λ is without zero divisor, but note that it's probably not Noetherian. Let $\mathrm{X} := \varprojlim_n \mathrm{A}_n$ be the projective limit of the studied arithmetic object A_n. The limit X is a finitely generated Λ-module ([27]).

Question 6.1. — *Is the linear growth of A_n produced by this method related to a natural algebraic structure of "Iwasawa module"* X *?*

6.2. How small can the mean exponent be in tame towers?— We have shown that there exist asymptotically good infinite towers in which the mean exponent is bounded above. On the one hand, it is natural to wonder:

Question 6.2. — *Can we find asymptotically good pro-p towers $\mathscr{L}$ for which $\underline{\mathbb{M}}(\mathscr{L})$ is arbitrarily close to* 1*?*

On the other hand, our constructions are rather special, so we ask:

Question 6.3. — *Are there asymptotically good infinite pro-p towers in which the mean exponent of p-class groups is not bounded?*

As a start on Question 6.2, we note that in section 3, we have developed some examples of the following type:

$$\mathrm{K} = \mathbb{Q}(\sqrt{p_1 \cdots p_t}, \sqrt{-p_{t+1} \cdots p_{t+s}}).$$

Here k^T/k is infinite where $\mathrm{k} = \mathbb{Q}(\sqrt{p_1 \cdots p_t})$ and $T = \{p_{t+1}, \cdots, p_{t+s}\}$. These examples give s-linear growth for p-class groups where the base field K has genus $g \approx \log(p_1 \cdots p_t p_{t+1} \cdots p_{t+s})$. Letting $n = t + s$, we note that as n becomes large, one has $g \lesssim p_n$, where p_n is, in the optimal case, the nth prime number *i.e.* $g \sim n \log(n)$. But on the other side, to force the infinitude of k^T/k, which we need, we must apply Corollary 1.7, which requires $s \sim n$. Thus, the best we can expect via this method for bounding $\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K})$ is only $\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K}) \lesssim \log(n)$.

Question 6.4. — *What is the biquadratic field (following the above method) with the smallest upper bound on the value of* $\underline{\mathbb{M}}(\mathrm{K}_\emptyset^\emptyset/\mathrm{K})$*?*

6.3. Concluding Summary. — In this paper, we have introduced the logarithmic mean exponent of a finite abelian p-group as an invariant that balances the cardinality of the group against its rank, and studied its behavior in the context of p-class groups of number fields varying in towers with restricted ramification. By a mixture of results from algebraic and analytic number theory, we have constructed tame towers for which the mean exponent is bounded, and shown that, by contrast, the mean exponent for some open subgroups of p-adic analytic groups tend to infinity. We hope that further study of the mean exponent will shed light on properties that distinguish Galois groups of tame versus wild extensions.

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