

# **Salem numbers, Siegel disks, and automorphisms of K3 surfaces**

Misha Verbitsky

**Estruturas geométricas em variedades,**

**IMPA, September 21, 2023**

## Salem numbers

arXiv:1408.0195 Chris Smyth, *Survey article: Seventy years of Salem numbers.*

**DEFINITION:** A **Salem number** is a real algebraic number  $\lambda > 1$  which is Galois conjugate to  $\lambda^{-1}$ , such that the rest of its conjugates satisfy  $|\lambda_i| = 1$ .

**REMARK:** Since  $\lambda$  and  $\lambda^{-1}$  have the same minimal polynomial  $P(t) = t^n + a_{n-1}t^{n-1} + \dots + a_0 \in \mathbb{Z}[t]$ , this polynomial is **palindromic**:  $a_i = a_{n-i}$ , and  $a_0 = 1$ .

### LEMMA: (Salem)

Let  $\lambda > 1$  be a real algebraic number such that all its conjugates belong to the closed disk  $|z| \leq 1$ , with at least one on its boundary. **Then  $\lambda$  is a Salem number.**

**Proof:** Let  $\tau$  be the Galois conjugate on the boundary, then  $\tau^{-1} = \bar{\tau}$  is also a conjugate. **Therefore,  $\lambda$  is conjugate to  $\lambda^{-1}$ , and all other conjugates  $\nu$  are conjugate to  $\nu^{-1}$ .** Since both  $\nu$  and  $\nu^{-1}$  belong to the disk  $|z| \leq 1$ , they lie on its boundary. ■

**REMARK:** If  $\lambda$  is a Salem number, all its integer powers  $\lambda^k$ ,  $k \neq 0$ , **are also Salem numbers.** Indeed, **the Galois conjugates of  $\lambda^k$  are powers of Galois conjugates of  $\lambda$ .**

## Raphaël Salem (1898-1963)



*Raphaël Salem (1898-1963)*

Salem, R. *Algebraic numbers and Fourier analysis*, Heath mathematical monographs, 1963

## Number fields containing Salem numbers

**DEFINITION:** An arithmetic field is a finite extension of  $\mathbb{Q}$ . An arithmetic field is **totally real** if the images of all its embeddings to  $\mathbb{C}$  belong to  $\mathbb{R}$ .

### **THEOREM: (Salem)**

A number field  $K$  is generated by a Salem number  $\tau$  **if and only if it contains an index 2 totally real subfield  $K_1 = \mathbb{Q}[\alpha]$ , such that  $\alpha > 2$  is an irrational real algebraic integer, and all its Galois conjugates belong to the interval  $] - 2, 2[$ .**

**Proof. Step 1:** Let  $\alpha := \tau + \tau^{-1}$ . Then all Galois conjugates of  $\alpha$  are  $\nu + \bar{\nu}$ , where  $\nu$  is on a circle, hence they are real and belong to  $] - 2, 2[$ . We proved that  $\mathbb{Q}[\tau]$  is degree 2 extension of a totally real field  $K_1 = \mathbb{Q}[\alpha]$ .

**Step 2:** Conversely, consider an index 2 totally real subfield  $K_1 = \mathbb{Q}[\alpha]$  with the above properties, and let  $\tau$  be the solution of the quadratic equation  $\tau + \tau^{-1} = \alpha$ . Then all its Galois conjugates satisfy  $\tau_1 + \tau_1^{-1} = \alpha_1$ , where  $\alpha_1 \in ] - 2, 2[$ . The quadratic equation  $\tau_1^2 - \alpha_1 \tau_1 + 1 = 0$  has discriminant  $\alpha_1^2 - 4 < 0$ , hence it has two complex conjugate solutions; since these solutions are inverse, they lie on a circle. The number  $\tau$  is a solution of  $\tau^2 - \alpha\tau + 1 = 0$  which has positive discriminant  $\alpha^2 - 4$  giving  $\tau = \frac{\alpha + \sqrt{\alpha^2 - 4}}{2}$ . Then  $\tau > \alpha > 1$  and its inverse  $\tau^{-1} = \frac{\alpha - \sqrt{\alpha^2 - 4}}{2}$  is its Galois conjugate. ■

## Example of a Salem number

**EXAMPLE:** The argument of the last step **gives a way to construct explicit examples of Salem numbers.** Let  $\alpha = x + \sqrt{y} > 1$  be a real quadratic irrational number such that  $x - \sqrt{y} \in ]-2, 2[$ . Then, as follows from Step 2, the solution  $\tau$  of the equation  $\tau + \tau^{-1} = \alpha$  is a Salem number. One of the numbers which have this property is  $\alpha = \frac{1}{2}(3 + \sqrt{5})$ ; since  $\sqrt{5} \approx 2.23607$ ,  $\alpha \approx 2.6$  and its Galois conjugate  $\frac{1}{2}(3 - \sqrt{5}) \approx 0.4$ .

## Salem numbers contained in number fields

### THEOREM: (Salem)

Let  $K$  be a number field generated by a Salem number  $\tau$ . Then for any Salem number  $\tau' \in K$ ,  $\tau \neq \tau'$ , **the fraction  $\frac{\tau}{\tau'}$  is also a Salem number.**

**Proof. Step 1:** Let  $\alpha := \tau + \tau^{-1}$ . Since  $\mathbb{Q}(\tau)$  is a quadratic extension of  $\mathbb{Q}(\alpha)$ , we can write  $\tau' = p(\alpha) + \tau q(\alpha)$ , for some polynomials  $p, q \in \mathbb{Q}[z]$ . **We are going to show that  $\tau'$  has the same degree as  $\tau$ .** Otherwise, some real conjugates  $\tau'_i = p(\alpha_i) + \tau_i q(\alpha_i)$  would be real for  $\tau_i$  non-real, implying that  $q = 0$ , which is impossible.

**Step 2:** The element  $\tau'$  is expressed polynomially through  $\tau$ :  $\tau' = P(\tau)$ , where  $P \in \mathbb{Q}[z]$ . Consider the Galois element  $\iota$  which takes  $\tau$  to  $\tau^{-1}$ . This automorphism maps  $\tau'$  to a real conjugate of  $\tau'$ , because  $P$  has rational coefficients. The only real conjugates of  $\tau'$  are  $\tau'$  and  $(\tau')^{-1}$ . **Since  $\tau'$  has the same degree as  $\tau$ , it cannot be fixed by  $\iota$ , which implies  $\iota(\tau') = (\tau')^{-1}$ .**

**Step 3:** We obtained that  $\tau\tau'$  is conjugate to its reciprocal. Since **the rest of conjugates of  $\tau$  and  $\tau'$  lie on the circle, the same is true for  $\tau\tau'$** , hence it is a Salem number. ■

## The hyperbolic space and its isometries

**REMARK:** The group  $O(m, n)$ ,  $m, n > 0$  has 4 connected components. We denote the connected component of 1 by  $SO^+(m, n)$ . We call a vector  $v$  **positive** if its square is positive.

**DEFINITION:** Let  $V$  be a vector space with quadratic form  $q$  of signature  $(1, n)$ ,  $\text{Pos}(V) = \{x \in V \mid q(x, x) > 0\}$  its **positive cone**, and  $\mathbb{P}^+V$  projectivization of  $\text{Pos}(V)$ . Denote by  $g$  any  $SO(V)$ -invariant Riemannian structure on  $\mathbb{P}^+V$ . Then  $(\mathbb{P}^+V, g)$  is called **hyperbolic space**, and the group  $SO^+(V)$  **the group of oriented hyperbolic isometries**.

## Classification of hyperbolic isometries

**Theorem-definition:** Let  $n > 0$ , and  $\alpha \in SO^+(1, n)$  is a non-trivial oriented isometry acting on  $V = \mathbb{R}^{1, n}$ . Then one and only one of these three cases occurs

- (i)  $\alpha$  has an eigenvector  $x$  with  $q(x, x) > 0$  ( $\alpha$  is “**elliptic isometry**”)
- (ii)  $\alpha$  has an eigenvector  $x$  with  $q(x, x) = 0$  and a real eigenvalue  $\lambda_x$  satisfying  $|\lambda_x| > 1$  ( $\alpha$  is “**hyperbolic isometry**”)
- (iii)  $\alpha$  has a unique eigenvector  $x$  with  $q(x, x) = 0$  ( $\alpha$  is “**parabolic isometry**”).

**REMARK:** All eigenvalues of elliptic and parabolic isometries have absolute value 1. **Hyperbolic and elliptic isometries are semisimple** (that is, diagonalizable over  $\mathbb{C}$ ), parabolic are not.

**DEFINITION:** The quadric  $\{l \in \mathbb{P}V \mid q(l, l) = 0\}$  is called **the absolute**. It is realized as the boundary of the hyperbolic space  $\mathbb{P}^+V$ . Then **elliptic isometries have no fixed points on the absolute, parabolic isometries have 1 fixed point on the absolute, and hyperbolic isometries have 2.**



## Hyperbolic lattices

**DEFINITION:** A **quadratic lattice**  $(\Lambda, q)$  is  $\mathbb{Z}^n$  equipped with  $\mathbb{Z}$ -valued quadratic form  $q$ . An **arithmetic hyperbolic lattice** is the group of  $O(\Lambda, q)$  isometries of  $(\Lambda, q)$  of signature  $(1, n - 1)$ .

**REMARK:** Clearly,  $O(\Lambda, q) \subset O(1, n - 1)$ , hence  $O(\Lambda, q)$  acts on the hyperbolic space  $\mathbb{H}^{n-1}$  by isometries. It is possible to show that **the Haar measure of the quotient  $\frac{O(1, n-1)}{O(\Lambda, q)}$  is finite**, and **the Riemannian volume of the quotient  $\frac{\mathbb{H}^{n-1}}{O(\Lambda, q)}$  is also finite**.

**DEFINITION:** Let  $\Gamma \subset O(1, n - 1)$  be a discrete subgroup. It is called a **lattice subgroup** if the Haar measure of the quotient  $\frac{O(1, n-1)}{\Gamma}$  is finite.

**DEFINITION:** It is not hard to see that the Riemannian volume of  $\mathbb{H}^{n-1}/\Gamma$  is finite if and only if it is a lattice. In this situation, the quotient  $\mathbb{H}^{n-1}/\Gamma$  is called a **hyperbolic manifold**.

## Salem numbers and hyperbolic automorphisms

**PROPOSITION:** Let  $(\Lambda, q)$  be a quadratic lattice of signature  $(1, n - 1)$ , and  $O(\Lambda, q) \subset O(1, n - 1)$  the corresponding arithmetic subgroup. Consider an element  $u \in O(\Lambda, q)$  as an isometry of  $\mathbb{H}^{n-1}$ . Suppose that this isometry is hyperbolic, and let  $\lambda > 1$  be the corresponding eigenvalue of  $u$ . **Then  $\lambda$  is a Salem number.**

**Proof:** By definition,  $u$  can be represented by an invertible integer matrix. Let  $P(t) \in \mathbb{Z}[t]$  be an irreducible factor of its minimal polynomial which satisfies  $P(\lambda) = 0$ . Since all roots of  $P(t)$  except  $\lambda$  and  $\lambda^{-1}$  lie on a circle,  $\lambda$  is a Salem number. ■

## Salem numbers and complex surfaces

**DEFINITION:** Let  $M$  be a complex surface, and  $H^2(M) = H^{2,0}(M) \oplus H^{1,1}(M) \oplus H^{0,2}(M)$  its second cohomology with their Hodge decomposition. By Hodge index theorem, **the intersection form on  $H^{1,1}(M)$  has signature  $(1, m)$** . An automorphism of  $M$  is called **hyperbolic, parabolic** or **elliptic** if its action on  $H^{1,1}(M)$  is hyperbolic, parabolic or elliptic.

**REMARK:** If the surface  $M$  is also projective, then  $H^{1,1}(M)$  can be decomposed onto its integer part  $H^{1,1}(M) \cap H^2(M, \mathbb{Z})$ , called **the Hodge part**. The Hodge part of  $H^{1,1}(M)$  has signature  $(1, r)$ , by projectivity. Then any hyperbolic automorphism of  $M$  acts on  $H^{1,1}(M) \cap H^2(M, \mathbb{Z})$  with an eigenvalue  $\lambda$  which satisfies  $|\lambda| > 1$ ; as we have shown above,  **$|\lambda|$  is a Salem number**.

**This is how Salem numbers crop up in McMullen's work on K3 surfaces.**

McMullen, Curtis T. *Dynamics on K3 surfaces: Salem numbers and Siegel disks*. J. Reine Angew. Math. 545 (2002), 201-233.

## Siegel disks

**DEFINITION:** A linear map  $A : (z_1, z_2, \dots, z_n) \longrightarrow (\lambda_1 z_1, \lambda_2 z_2, \dots, \lambda_n z_n)$  is called **an irrational rotation** if  $|\lambda_i| = 1$  and the action of  $A$  on  $(S^1)^n$  has dense orbits. In this case the numbers  $\lambda_i$  are called **multiplicatively independent**.

**DEFINITION:** We say that a holomorphic self-map  $f : M \longrightarrow M$  **admits a Siegel disk** if  $f$  has a fixed point  $p$  and a neighbourhood of  $p$  admitting coordinates where  $f$  acts linearly as an irrational rotation.

### **THEOREM: (McMullen)**

Let  $M$  be a complex  $n$ -manifold, and  $f : M \longrightarrow M$  a holomorphic map which has a fixed point  $p$  such that  $df$  acts on  $T_p M$  as an irrational rotation. Assume that all eigenvalues of this action are algebraic. **Then  $(M, f)$  admits a Siegel disk.**

The proof of this result **takes a lot of number theory**, originally developed by Gel'fond and Fel'dman in their work on Hilbert 7-th problem on transcendence of numbers such as  $2^{\sqrt{2}}$ .

## Diophantine numbers

**DEFINITION:** Let  $\lambda_1, \dots, \lambda_n$  be non-zero complex numbers. We say that they are **multiplicatively independent** if the only solution of  $\prod \lambda_i^{k_i} = 1$  is  $k_1 = 0, \dots, k_n = 0$ . We say they are **jointly Diophantine** if there exist numbers  $C, M > 0$  such that for all  $n$ -tuples  $(k_1, \dots, k_n) \in \mathbb{Z}^n$ , we have

$$\left| \prod \lambda_i^{k_i} - 1 \right| > C(\max |k_i|)^{-M}.$$

**THEOREM: (S. Sternberg, 1961)**

Let  $M$  be a complex  $n$ -manifold, and  $f : M \rightarrow M$  a holomorphic map which has a fixed point  $p$  such that  $df$  acts on  $T_p M$  with jointly Diophantine eigenvalues. **Then  $f$  can be linearized in a neighbourhood of  $p$ .** In other words,  **$(M, f)$  admits a Siegel disk.**

**THEOREM: (N. I. Fel'dman, 1968)**

Let  $\lambda_i$  be multiplicatively algebraic numbers. Choose their logarithms  $\log \lambda_i$ . **Then there exists a positive number  $M$  such that**

$$|k_0 2\pi i + k_1 \log \lambda_1 + \dots + k_n \log \lambda_n| > e^{-M(d + \max |k_i|)},$$

**where  $d$  is the degree of the field generated by  $\lambda_i$ .**

**COROLLARY:** Any collection of multiplicatively independent algebraic numbers **is jointly Diophantine.**

Comparing this result and Sternberg's theorem, **we immediately obtain the result of McMullen.**

## K3 surfaces

**DEFINITION:** A **holomorphically symplectic manifold** is a complex manifold equipped with a non-degenerate, holomorphic  $(2,0)$ -form.

**DEFINITION:** Take a 2-dimensional complex torus  $T$ , then all 16 singular points of  $T/\pm 1$  are of form  $\mathbb{C}^2/\pm 1$ . Its resolution  $T/\pm 1$  is called **a Kummer surface**. **It is holomorphically symplectic.**

**DEFINITION:** **A K3 surface** is a complex deformation of a Kummer surface.

**CLAIM:** 1.  $\pi_1(K3) = 0$ ,

2. The second homology and cohomology of K3 is torsion-free.

3.  $b_2(K3) = 22$ , and the signature of its intersection form is  $(3, 19)$ .

4. The intersection form of K3 is even, and the corresponding quadratic lattice is  $U^3 \oplus (-E_8)^2$ , where  $U = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$  and  $E_8$  is the Coxeter matrix for the group  $E_8$ .

**THEOREM:** Any complex compact surface with  $c_1(M) = 0$  and  $\pi_1(M) = 0$  **is isomorphic to K3**. Moreover, **it is Kähler**.

## Siegel disk on K3 surfaces

### THEOREM: (McMullen)

Let  $M$  be a projective K3 surface, and  $f$  its holomorphic automorphism. **Then  $f$  cannot admit a Siegel disk.** Moreover, **the set isomorphism classes of K3 surfaces admitting an automorphism with Siegel disk is countable.**

**DEFINITION:** Let  $f$  be an automorphism of a K3 surface, and  $\Omega$  a holomorphic symplectic form of  $M$ . Then, clearly,  $f^*\Omega$  is proportional to  $\Omega$  with a complex coefficient:  $f^*\Omega = \delta\Omega$ . Then  $\delta$  is called **the determinant** of  $f$ .

**REMARK:** Let  $f$  be an automorphism of a K3 surface which admits a Siegel disk with eigenvalues  $\lambda_1, \lambda_2$ . Then  $\lambda_1\lambda_2 = \delta$ . In particular,  **$\delta$  is not a root of unity.**

### THEOREM: (McMullen)

Let  $M$  be a non-projective K3 surface, and  $f$  its holomorphic automorphism. Assume that  $\text{Tr } f^*|_{H^2(M)} = -1$ , and one of its eigenvalues is a Salem number. Assume, moreover, that its determinant  $\delta$  satisfies  $\tau := \delta + \delta^{-1} > 1 - 2\sqrt{2}$ . Assume, finally, that  $\tau$  has a Galois conjugate  $\tau'$  such that  $\tau' < 1 - 2\sqrt{2}$ . **Then  $f$  has a unique fixed point  $p$ .** Moreover,  **$(M, f, p)$  admits a Siegel disk.**

## Automorphisms of K3 surfaces and Salem numbers

**PROPOSITION:** Let  $f$  be an automorphism of a K3 surface, Then **either all eigenvalues of  $f^*$  on  $H^2(M)$  are roots of unity, or there is a unique, simple eigenvalue  $\lambda$  with  $|\lambda| > 1$ , and  $|\lambda|$  is a Salem number.**

**Proof. Step 1:** Let  $\delta$  be the determinant of  $f$ . Any diffeomorphism of  $M$  preserves the volume:  $\int_M \text{Vol} = \int_M f^* \text{Vol}$ . Choosing  $\Omega \wedge \bar{\Omega} = \text{Vol}$ , and using  $f^* \text{Vol} = \delta \bar{\delta} \text{Vol}$ , we obtain that  $|\delta| = 1$ . Therefore, any eigenvector of  $f^*|_{H^2(M, \mathbb{C})}$  belongs to  $H^{1,1}(M, \mathbb{R})$ . From the classification of the isometries of the hyperbolic space, we obtain that **either all eigenvalues of  $f^*|_{H^{1,1}(M)}$  satisfy  $|\alpha_i| = 1$  or there exists a unique simple eigenvalue  $\lambda$  with  $|\lambda| > 1$ .**

**Step 2:** In the first case, we use Kronecker's theorem: **if an algebraic number  $\alpha$  and all its conjugates lie in the unit circle, it is a root of unity.**

**Step 3:** In the second case, the Galois conjugates of  $\lambda$  are roots of the minimal polynomial of  $f^*|_{H^2(M)}$ , hence they are all eigenvalues of  $f^*|_{H^2(M)}$ , **but there are at most two eigenvalues which do not lie on the circle.** Therefore,  $|\lambda|$  is a Salem number. ■



## Automorphisms of projective K3 surfaces

The following theorem immediately implies that as projective K3 cannot have Siegel disks.

**PROPOSITION:** Let  $f$  be an automorphism of a projective K3 surface  $M$ , and  $\delta$  its determinant. **Then  $\delta$  is a root of unity.**

**Proof:** Consider the group  $NS(M) := H^2(M, \mathbb{Z}) \cap H^{1,1}(M)$ . Since  $M$  is projective,  $NS(M)$  contains a positive vector, hence the group  $NS(M) \otimes_{\mathbb{Z}} \mathbb{Q}$ , called **the Hodge lattice** has signature  $(1, k)$ , and its orthogonal complement  $\mathbb{T}(M)$ , called **the transcendental lattice**, has signature  $(2, 19 - k)$ . Since  $f^*$  preserves  $\text{Re}(H^{2,0}(M) \oplus H^{0,2}(M)) \subset \mathbb{T}(M)$ , which has signature  $(2, 0)$ , it belongs to a maximal compact subgroup:

$$f^*|_{\mathbb{T}(M)} \subset O(2) \times O(19 - k) \subset O(\mathbb{T}(M) \otimes \mathbb{R}) = O(2, 19 - k).$$

However,  $f^*$  is an integer automorphism of  $\mathbb{T}(M)$ , hence it lies in a discrete subgroup of  $O(\mathbb{T}(M) \otimes \mathbb{R})$ . **Intersection of a discrete group and a compact group is always finite, hence  $f^*$  has finite order on  $\mathbb{T}(M)$ .** This implies that  $f^*$  acts  $\Omega$  as a root of unity. ■

## Hodge structures

**DEFINITION:** Let  $V_{\mathbb{R}}$  be a real vector space. **A (real) Hodge structure of weight  $w$**  on a vector space  $V_{\mathbb{C}} = V_{\mathbb{R}} \otimes_{\mathbb{R}} \mathbb{C}$  is a decomposition  $V_{\mathbb{C}} = \bigoplus_{p+q=w} V^{p,q}$ , satisfying  $\overline{V^{p,q}} = V^{q,p}$ . It is called **rational Hodge structure** if one fixes a rational lattice  $V_{\mathbb{Q}}$  such that  $V_{\mathbb{R}} = V_{\mathbb{Q}} \otimes \mathbb{R}$ , and **an integer Hodge structure** if one fixes an integer lattice  $V_{\mathbb{Z}} \subset V_{\mathbb{Q}}$ . A Hodge structure is equipped with  $U(1)$ -action, with  $u \in U(1)$  acting as  $u^{p-q}$  on  $V^{p,q}$ . **Morphism** of Hodge structures is a rational map which is  $U(1)$ -invariant.

**DEFINITION:** A rational Hodge structure  $V_{\mathbb{C}} = \bigoplus_{\substack{p+q=2 \\ p,q \geq 0}} V^{p,q}$  of weight 2 with  $\dim V^{2,0} = 1$  is called **a Hodge structure of K3 type**.

### **THEOREM: (global Torelli theorem for K3)**

Let  $M$  be a K3 surface,  $q \in \text{Sym}^2(H^2(M)^*)$  the intersection form, and  $S$  a Hodge structure  $H^2(M) = H^{2,0}(M) \oplus H^{1,1}(M) \oplus H^{0,2}(M)$  of K3 type on  $H^2(M)$ . Assume that  $q(l, l) = 0$  and  $q(l, \bar{l}) > 0$  for a non-zero vector  $l \in H^{2,0}(M)$ . **Then there exists a complex structure on  $M$  inducing this Hodge decomposition. Moreover, it is unique up to a diffeomorphism acting trivially on  $H^2(M, \mathbb{R})$ .**

**REMARK:** This implies that the Teichmüller space of K3 surfaces is  $\text{Gr}_{++}(H^2(M, \mathbb{R}))$ .

## Global Torelli for K3 with automorphisms

We use the following version of Torelli theorem.

### **THEOREM: (global Torelli theorem for K3 with automorphisms)**

Let  $M$  be a K3 surface, and  $\underline{f} \in O^+(H^2(M, \mathbb{Z}), q)$  an isometry of its intersection lattice preserving the orientation in the  $(3, 0)$ -part. Assume that there exists a Hodge structure on  $H^2(M)$  preserved by  $\underline{f}$ , and satisfying  $q(l, l) = 0$  and  $q(l, \bar{l}) > 0$  for a non-zero vector  $l \in H^{2,0}(M)$ . Then **there exists a complex structure  $I$  on  $M$  inducing this Hodge decomposition, and an automorphism  $f$  of  $(M, I)$  inducing  $\underline{f}$  on  $H^2(M, \mathbb{R})$** . Moreover, the pair  $(M, I, f)$  is **defined uniquely** up to a diffeomorphism acting trivially on  $H^2(M, \mathbb{R})$ .

## Only countably many K3 surfaces admit Siegel disks

### THEOREM: (McMullen)

Let  $H^2(M, \mathbb{Z}), q$  be an intersection lattice of a K3 surface, and  $f$  an automorphism admitting a Siegel disk. Then the action of  $f$  on  $H^2(M, \mathbb{Z})$  **on the transcendental lattice has countably many Hodge structures of K3 type which are compatible with the action of  $f$ .**

**Proof:** The action of  $f$  on its eigenspace  $H^{2,0}(M)$  has an eigenvalue which is conjugate to a Salem number, hence it is a simple eigenvalue. **Then  $H^{2,0}(M)$  can be one of finitely many simple 1-dimensional eigenspaces of  $f$ ,** and  $H^{2,0}(M)$  determines the complex structure by Torelli theorem. ■

**REMARK:** This theorem **immediately implies that the set of K3 admitting Siegel disks is countable.** Indeed, the Hodge lattice is integral, hence there are only countably many choices. The transcendental lattice admits only countably many Hodge decompositions which are compatible with  $f$  by the above theorem.

## Atyah-Bott fixed point formula

Let  $f$  be a holomorphic automorphism of compact Kähler  $n$ -manifold, and  $L^r(f) := \sum_{s=0}^n (-1)^s \operatorname{Tr} f^* \Big|_{H^{r,s}(M)}$

### THEOREM: (Atyah-Bott fixed point formula)

Assume that all fixed points of  $f$  are simple. Then

$$L^r(f) = \sum_{p_i} \frac{\operatorname{Tr} (Df \Big|_{\Lambda^r T_{p_i} M})}{\det (\operatorname{Id} - D_{p_i} f)}.$$

where  $\{p_i\}$  is the set of fixed points of  $f$ .

**REMARK:** Let  $f$  be an automorphism of a K3 surface with a unique fixed point  $p$ . **Then this formula gives  $L^2(f) = 1 + \delta = \frac{\delta}{1 - \operatorname{Tr} D_p f + \delta}$ , which can be rewritten as**

$$\operatorname{Tr} D_p f = \frac{1 + \delta + \delta^2}{1 + \delta}.$$

## Existence of Siegel disks

**REMARK:** Existence of automorphism of the following type is implied by the Torelli theorem.

### THEOREM: (McMullen)

Let  $M$  be a non-projective K3 surface, and  $f$  its holomorphic automorphism. Assume that  $\text{Tr } f^*|_{H^2(M)} = -1$ , and one of its eigenvalues is a Salem number. Assume, moreover, that its determinant  $\delta$  satisfies  $\tau := \delta + \delta^{-1} > 1 - 2\sqrt{2}$ . Assume, finally, that  $\tau$  has a Galois conjugate  $\tau'$  such that  $\tau' < 1 - 2\sqrt{2}$ .

**Then  $f$  has a unique fixed point  $p$ . Moreover,  $(M, f, p)$  admits a Siegel disk.**

**Proof. Step 1:** By Lefschetz fixed point formula,  $f$  has  $1 = \text{Tr } f^*|_{H^2(M)} + 2$  fixed points, hence **the fixed point  $p$  of  $f$  is unique and simple**. It remains to find the eigenvalues of  $dF$  on  $T_pM$ .

**Step 2:** The eigenvalues  $\alpha, \beta$  of the action of  $Df$  on  $T_pM$  are computed using the formula  $\alpha + \beta = \text{Tr } D_p f = \frac{1+\delta+\delta^2}{1+\delta}$ . and  $\alpha\beta = \det D_p f = \delta$ . Computing  $\alpha, \beta$  in terms of  $\delta$  yields the multiplicative independence, which implies existence of a Siegel disk by application of Fel'dman's theorem. ■