

Lesson 8 — Valued fields

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Definition

Let K be a field and Γ a totally ordered abelian group.

A **valuation** is a map $v: K \rightarrow \Gamma \cup \{\infty\}$ such that

- $v(a) = \infty$ if and only if $a = 0$;
- $v(ab) = v(a) + v(b)$;
- $v(a + b) \geq \min(v(a), v(b))$ with equality if $v(b) \neq v(a)$.

In that case, we define

$$\begin{aligned} \mathcal{O}_K &:= \{a \in K : v(a) \geq 0\} && \text{the } \mathbf{valuation\ ring} \\ \mathfrak{o}_K &:= \{a \in K : v(a) > 0\} && \text{its } \mathbf{maximal\ ideal} \\ k_K &:= \mathcal{O}_K / \mathfrak{o}_K && \text{its } \mathbf{residue\ field} \end{aligned}$$

Convention. We will usually assume that $\Gamma = v(K^{\neq 0})$.

Ordered fields. Let K be an ordered field. For $x, y \in K^{\neq 0}$, we define

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Well-based series. $K := R[[z^\Gamma]]$, R field, Γ totally ordered group.

$$z^\alpha \succcurlyeq z^\beta \iff \alpha \leq \beta$$

$$v(f) := \alpha,$$

for $f \in K^{\neq 0}$ with $\partial_f = z^\alpha$.

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p -adic numbers. $K = \mathbb{Q}_p$, $\Gamma := \mathbb{Z}$, p -adic valuation.

Let K be a valued field. For $x, y \in K$, we define

$$x < y \iff v(x) > v(y) \iff x \in \mathcal{O}y \wedge y \neq 0$$

$$x \preceq y \iff v(x) \geq v(y) \iff x \in \mathcal{O}y$$

$$x \asymp y \iff v(x) = v(y) \iff x \preceq y \preceq x$$

$$x \sim y \iff x - y < x.$$

Note. The axioms of valued fields can be reformulated in terms of \preceq .

Both points of views are essentially equivalent.

Always remind the reversal of the ordering.

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Let $G \subseteq K^{\neq 0}$ be divisible with $v(G) = \Gamma$. Then there is a monomial group $\mathfrak{M} \subseteq G$ for K .

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Proof. Embed increasingly large subgroups Δ of Γ into G .

Given $\Gamma \supsetneq \Delta \hookrightarrow G$ and $\gamma \in \Gamma \setminus \Delta$, let $k \in \mathbb{N}$ with $k\mathbb{Z} = \{n \in \mathbb{Z} : n\gamma \in \Delta\}$.

Take $z^\gamma \in G$ with $v(z^\gamma) = \gamma$ such that $(z^\gamma)^k = z^{k\gamma}$ whenever $k > 0$. Apply Zorn. \square

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- $G = K^{\neq 0}$ for an algebraically closed valued field K .
- $G = K^{>0}$ for a real closed field K .

Let K be a valued field and $P \in K[Y]^{\neq 0}$. We extend the valuation v to $K[Y]$ by

$$v(P_d Y^d + \cdots + P_0) := \min(v(P_d), \dots, v(P_0)).$$

We also define the relation \propto on $k[Y]$ by

$$A \propto B \iff (\exists \lambda \in k^{\neq 0}) B = \lambda A.$$

The **projective Newton polynomial** $N_\propto(P) \in k[Y]/\propto$ is defined by

$$N_\propto(P) := \overline{aP}/\propto, \quad \text{where } a \in K \text{ is such that } aP \asymp 1.$$

The **monic Newton polynomial** $N_{\text{mon}}(P) \in k[Y]$ is the monic polynomial with

$$N_{\text{mon}}(P)/\propto = N_\propto(P)$$

If K has a monomial group, then we define the **Newton polynomial** $N(P) \in k[Y]$ by

$$N(P) := \overline{\mathfrak{z}^{-v(P)} P}.$$

Given $P \in K[Y]$ and $\gamma \in \Gamma$, one may consider the asymptotic equation

$$P(y) = 0, \quad v(y) > \gamma.$$

The **Newton degrees** of this equation is defined by

$$\deg_{>\gamma} P := \text{val } N_{\infty}(P_{\times a})$$

where $a \in K^{\neq 0}$ is such that $v(a) = \gamma$.

Equations of Newton degree one are said to be **quasi-linear**.

Definition

We say that K is **henselian** if any quasi-linear equation has a solution in K .

The Newton polygon method

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Let $P \in K[Y]^{\neq 0}$ and $\gamma \in \Gamma$. If k is algebraically closed, then

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Proof. Straightforward adaptation of proof from Lesson 4. □

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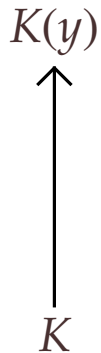
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If $\deg P$ is odd, this means that P has at least one root in K . □

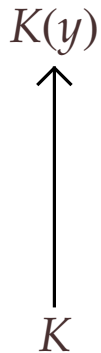
Adjoining single elements to valued fields

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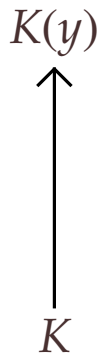
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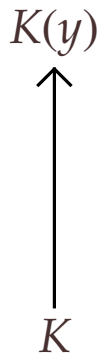
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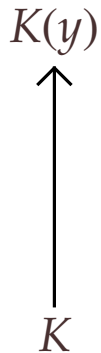
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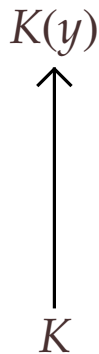
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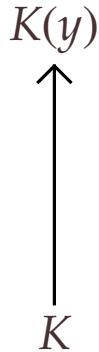
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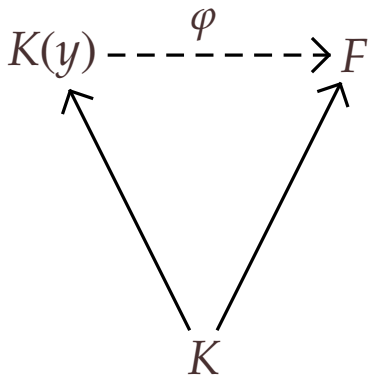


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How unique is the extension $K \subseteq K(y)$?

Given a valued field extension $F \supseteq K$ and $a \in F$ of “same type over K ” as y , does there exist a unique embedding of valued fields $\varphi: K(y) \rightarrow F$ with $\varphi(y) = a$?

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We say that (a_ρ) is a **pseudo-cauchy sequence** (pc-sequence) if

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- $1, 1 + x^{-1}, 1 + x^{-1} + x^{-2}, \dots$ pseudo-converges to $1 + x^{-1} + x^{-2} + \dots$ in $\mathbb{R}[[x; e^x]]$.
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If (a_ρ) **pseudo-diverges**, then

- (a_ρ) is of **algebraic type** if there exists a $P \in K[Y]$ with $P(a_\rho) \rightsquigarrow 0$

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If (a_ρ) **pseudo-diverges**, then

- (a_ρ) is of **algebraic type** if there exists a $P \in K[Y]$ with $P(a_\rho) \rightsquigarrow 0$
- Otherwise, (a_ρ) is of **transcendental type**.

Lemma TR-IMM

Let (a_ρ) be pseudo-divergent of transcendental type. Then v extends to $K(Y)$ via

$$v(P) := \text{eventual value of } v(P(a_\rho)), \quad \text{for any } P \in K[Y].$$

The extension $L := K(Y) \supseteq K$ is immediate and $a_\rho \rightsquigarrow Y$ in L . Moreover, if $a_\rho \rightsquigarrow a$ in another immediate extension $F \supseteq K$, then there is a unique embedding $\varphi: L \rightarrow F$ over K with $\varphi(Y) = a$.

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Let (a_ρ) be pseudo-divergent of transcendental type. Then v extends to $K(Y)$ via

$$v(P) := \text{eventual value of } v(P(a_\rho)), \quad \text{for any } P \in K[Y].$$

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Hence, $v(P(a)) = v(P(a_\rho)) = v(P)$, eventually, so $P(a) \neq 0$ and a is transcendental.

We conclude that $\exists!$ ring morphism $\varphi: L \rightarrow F$ with $\varphi(Y) = a$ and φ preserves v . \square

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Proof. Combine Lemmas TR-IMM and ALG-IMM, and apply Zorn. □

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Proof. Any quasi-linear $y = P(y)$, $y < 1$ with no solution in K gives rise to a divergent pc-sequence (a_ρ) with $P(a_\rho) \rightsquigarrow 0$: $a_0 = 0$, $a_{\alpha+1} = P(a_\alpha)$, $a_\lambda := \ell$, whenever $(a_\alpha)_{\alpha < \lambda} \rightsquigarrow \ell$. □

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If $\text{char } K = \text{char } k = 0$, then K is algebraically maximal iff K is henselian.

Proof. By what precedes and Newton polygon method. □

Lemma TR-RES

Define $v: K(Y)^{\neq 0} \rightarrow \Gamma$ with $v(P/Q) = v(P) - v(Q)$ for $P, Q \in K[Y]^{\neq 0}$ and

$$v(P) = \min(v(P_0), \dots, v(P_d)), \quad \text{for any } P = P_d Y^d + \dots + P_0 \in K[Y].$$

Then $L := K(Y) \supseteq K$ is a valued field extension with $k_L = k(\bar{Y})$ and $\Gamma_L = \Gamma_K$.

For any valued field extension $F \supseteq K$ with $\Gamma_F = \Gamma_K$ and $a \in \mathcal{O}_L$ such that \bar{a} is transcendental over k_K , there exists a unique valued field embedding $\varphi: L \rightarrow F$ over K with $\varphi(Y) = a$.

Proof. $L \supseteq K$ is easily seen to be a valued field extension. Clearly, $\Gamma_L = \Gamma_K$.

Consider $A \in L$ with $v(A) = 0$. We claim that $\bar{A} \in k(\bar{Y})$, which proves $k_L = k(\bar{Y})$.

Indeed, $A = P/Q$ with $P, Q \in K[Y]$ such that $v(P) = v(Q) = 0$.

Then $\bar{P}, \bar{Q} \in k[\bar{Y}]^{\neq 0}$, so $\bar{A} = \bar{P}/\bar{Q} \in k(\bar{Y})$.

Y, a transcendental over $K \implies \exists!$ field embedding $L \rightarrow F$ over K with $\varphi(Y) = a$.

$v(a) = 0 \implies v(P(a)) = \min(v(P_0), \dots, v(P_d))$ for any $P = P_d Y^d + \dots + P_0 \in K[Y]$. □

Lemma ALG-RES

Let $\mu \in K[Y]$ with $v(\mu) = 0$ and $\bar{\mu} \in k[\bar{Y}]$ irreducible of degree $d = \deg \mu$. Then $y := Y + (\mu)$ in $L := K[Y]/(\mu)$. Then $L \supseteq K$ is a valued field extension with $k_L = k[\bar{y}]/(\bar{\mu})$ and $\Gamma_L = \Gamma_K$ for

$$v(P(y)) = \min(v(P_0), \dots, v(P_{d-1})), \quad \text{for any } P \in K[Y]_d.$$

For any valued field extension $F \supseteq K$ with $\Gamma_F = \Gamma_K$ and $a \in \mathcal{O}_L$ such that $k(\bar{a}) \cong k_L$, there exists a unique valued field embedding $\varphi: L \rightarrow F$ over K with $\varphi(y) = a$.

Note. μ is irreducible in $K[Y]$ since $\bar{\mu}$ is irreducible in $k[\bar{Y}]$, by Gauss' lemma.

Proof. Similar to previous lemma, except for $v(st) = v(s) + v(t)$ in L .

Any $s \in L$ can be decomposed $s = u\tilde{s}$ with $u \in K$ and $\tilde{s} \in L$ such that $v(\tilde{s}) = 0$.

Without loss of generality, we may therefore assume that $v(s) = v(t) = 0$.

Then $\bar{s}, \bar{t} \in k_L^{\neq 0}$, so $\overline{st} = \bar{s}\bar{t} \in k_L^{\neq 0}$, hence $v(st) = 0$. □

Lemma TR-VAL

Let $\Delta \supseteq \Gamma$ be a totally ordered group and $\gamma \in \Delta$ be such that $\Delta = \Gamma \oplus \mathbb{Z}\gamma$. Then there is a unique valued field extension $L := K(Y) \supseteq K$ with $v(Y) = \gamma$. It is given by

$$v(P) := \min(v(P_0), \dots, v(P_d) + d\gamma), \quad \text{for all } P = P_d Y^d + \dots + P_0 \in K[Y]^{\neq 0}.$$

Moreover, if $F \supseteq K$ is a valued field extension and $a \in F$ transcendental such that $v(a)$ and γ lie in the same cut over Γ , then $\exists!$ valued field embedding $\varphi: L \rightarrow F$ over K with $\varphi(a) = Y$.

Exercise. We also have $k_L = k_K$.

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Proof. For $P = P_d Y^d + \dots + P_0 \in K[Y]^{\neq 0}$, there exists exactly one i with $v(P) = v(P_i) + i\gamma$.

Given a second $Q \in K[Y]^{\neq 0}$, there is also exactly one j with $v(Q) = v(Q_j) + j\gamma$.

One verifies that $v(PQ) = v(P_i Q_j) + (i+j)\gamma = v(P) + v(Q)$, so v_L is a valuation on L .

Y, a transcendental over $K \implies \exists!$ field embedding $\varphi: L \rightarrow F$ over K with $\varphi(a) = Y$.

$v(P(a)) = \min(v(P_0), \dots, v(P_d) + d v(a))$ for all $P = P_d Y^d + \dots + P_0 \in K[Y]^{\neq 0}$.

Hence φ preserves v , since $v(a)$ and γ lie in the same cut over Γ . □

Lemma ALG-VAL

Let $\gamma \in d^{-1}\Gamma$ be such that $\Delta := \Gamma + \gamma\mathbb{Z} = \Gamma \cup \Gamma + \gamma \cup \dots \cup \Gamma + (d-1)\gamma \not\supseteq \Gamma$ for $d > 1$. Let $\zeta \in K$ be such that $v(\zeta) = d\gamma$ and $\mu := Y^d - \zeta \in K[Y]$. Let $L := K[Y]/(\mu)$ and $y = Y + (\mu)$. Then $L \supseteq K$ is a valued field extension for the valuation defined by

$$v(P(y)) := \min(v(P_0), \dots, v(P_{p-1}) + (d-1)\gamma), \quad \text{for all } P \in K[Y]_d^{\neq 0}.$$

Moreover, if $F \supseteq K$ is a valued field extension and $a \in F$ satisfies $a^d = \zeta$, then there exists a unique valued field embedding $\varphi: L \rightarrow F$ over K with $\varphi(a) = y$.

Exercise. We also have $k_L = k_K$.

Proof. Similar to the previous proof (exercise). □

Theorem

If $\text{char } K = \text{char } k = 0$, then the valuation on K can be extended to the algebraic closure K^a of K . Any valued field embedding $K \rightarrow F$ into another algebraically closed field F extends to a valued field embedding $K^a \rightarrow F$.

Proof. Lemmas ALG-IMM, ALG-RES, ALG-VAL, and Zorn yield:

- An algebraic valued field extension $L \supseteq K$, such that
 - L is henselian (ALG-IMM).
 - k_L algebraically closed (ALG-RES).
 - Γ_L is divisible (ALG-VAL).
- Any valued field embedding $K \rightarrow F$ extends to a valued field embedding $K^a \rightarrow F$. (See also below.)

Newton polygon methods $\implies L$ is algebraically closed. □

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Triples $\mathcal{L} = (S, \mathcal{L}^r, \mathcal{L}^f)$ of **sorts** (e.g. $\{K, \Gamma\}$), **relations**, and **functions**.

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\mathcal{L} -structures

$M = ((M_s)_{s \in S}, (R_i), (f_j))$, sets M_s , relations $R_i \subseteq M_{s_1} \times \cdots \times M_{s_n}$,
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\mathcal{L} -formulas

Formed from \mathcal{L} , variables of the sorts S , and $\top, \perp, \neg, \vee, \wedge, =, \exists, \forall$.

$\mathcal{L}_A :=$ extension of \mathcal{L} with constants $a \in A_s$ of sort s for $A = (A_s)_{s \in S}$

Languages

Triples $\mathcal{L} = (S, \mathcal{L}^r, \mathcal{L}^f)$ of **sorts** (e.g. $\{K, \Gamma\}$), **relations**, and **functions**.

\mathcal{L} -structures

$M = ((M_s)_{s \in S}, (R_i), (f_j))$, sets M_s , relations $R_i \subseteq M_{s_1} \times \dots \times M_{s_n}$, functions $f_j: M_{s_1} \times \dots \times M_{s_n} \rightarrow M_t$ (s_1, \dots, s_n, t depend on i, j). Morphisms, ...

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\mathcal{L} -theories

Let M be an \mathcal{L} -structure and Σ, Σ' sets of \mathcal{L} -formulas

$M \models \Sigma$ M is a model for Σ

$\text{Th}(M)$ $\{\sigma : M \models \sigma\}$

$\Sigma \models \Sigma'$ $M \models \Sigma$ whenever $M \models \Sigma'$

$\text{Th}(\Sigma)$ $\{\sigma : \Sigma \models \sigma\}$

\mathcal{L} : a fixed a language

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$M \equiv N$ $\text{Th}(M) = \text{Th}(N)$

M and N are **elementary equivalent**

$M \preceq N$ $M \subseteq N$ and $M \equiv_{\mathcal{L}_M} N$

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Σ is **complete** Σ has a model and $\Sigma \models \sigma$ or $\Sigma \models \neg\sigma$ for any formula σ
 T is an \mathcal{L} -**theory** $\text{Th}(T) = T$
 Σ **axiomatizes** T $\text{Th}(\Sigma) = T$

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qf-formula

Formula that does not involve \forall or \exists

$\varphi(x)$ is **Σ -equivalent** to $\psi(x)$

$\Sigma \models \varphi(x) \iff \Sigma \models \psi(x)$

Σ has **quantifier elimination**

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T^* is a **model companion** of T

T^* model complete and

Any model of T embeds into a model of T^*

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Proposition

Suppose that M is κ -saturated, κ is infinite, $A \subseteq M$ and x have size $< \kappa$.

Then every x -type over A in M is realized in M .

Theorem

Assume that Σ eliminates quantifiers and also has a model.

Then Σ is complete if and only if some \mathcal{L} -structure embeds into every model of Σ .

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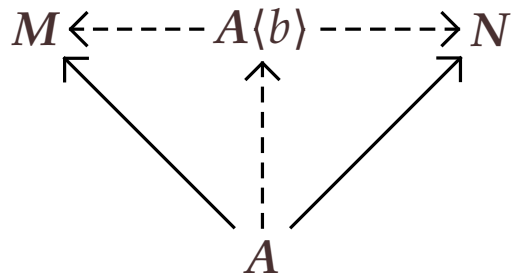
- The theory ACF of algebraically closed fields has QE. (See below)
- So does the theory ACF(0) of algebraically closed fields of characteristic zero.
- \mathbb{Z} embeds into any (algebraically closed) field of characteristic zero.
- Hence ACF(0) is complete.

Theorem

Let Σ be given and suppose that

- $M \models \Sigma$
 - proper substructure $A \subsetneq M$
 - $|A|^+$ -saturated model N of Σ
 - embedding $\iota: A \hookrightarrow N$
- \exists
- $b \in M_s \setminus A_s$ for some $s \in S$
 - an extension $\hat{\iota}: A\langle b \rangle \hookrightarrow N$ of ι

Then Σ admits quantifier elimination.

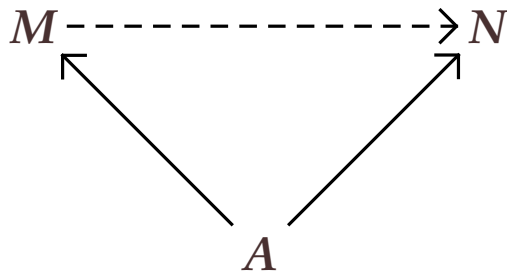


Theorem

Let Σ be given and suppose that

- $M \models \Sigma$
 - $A \models \Sigma$ with $A \subseteq M$
 - $|A|^+$ -saturated $N \succcurlyeq A$
 - inclusion $\iota: A \hookrightarrow N$
- \exists an embedding $\hat{\iota}: M \hookrightarrow N$ that extends ι

Then Σ is model complete.



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Take $x \in A^{\neq 0}$ such that $a := x^{-1} \in E \setminus A$.

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Then ι uniquely extends into an embedding $\hat{\iota}: A[a] = Ax^{-\mathbb{N}} \rightarrow F$ with $\hat{\iota}(a) = \iota(x)^{-1}$.

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Case 1. $K := A$ is a field that is not algebraically closed

Take $a \in K^a \setminus K \subseteq E \setminus K$ with $P(a) = 0$ for some irreducible $\mu = \mu_d Y^d + \cdots + \mu_0 \in K[Y]$.

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Since F is algebraically closed, there exists a $b \in F$ with $\iota(\mu_d)b^d + \cdots + \iota(\mu_0) = 0$.

Since $K[Y]/(\mu) \cong \iota(K)(b)$, we may extend ι into an embedding $\hat{\iota}: K(a) \rightarrow F$ with $\hat{\iota}(a) = b$.

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Let $a \in E \setminus K$. Then a is transcendental over K .

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Saturation \implies There exists a transcendental $b \in F \setminus K$.

Then $K[a] \cong \iota(K)[b]$, so we may extend ι into an embedding $\hat{\iota}: K[a] \rightarrow F$. □

Theorem

The theory ACVF of algebraically closed valued fields eliminates quantifiers.

Note. ACVF can be modeled in the language $(K, \Gamma, +, -, \cdot, v, \leq_{\Gamma}, +_{\Gamma}, -_{\Gamma})$.
Sometimes: extra sort for k (and extra component $\iota_k: k_A \rightarrow k_F$).
Alternatively: one-sorted language $(K, +, -, \cdot, \leq)$.

Proof. Let

- E be an algebraically closed valued field.
- $A \subseteq E$ a substructure, i.e. a “valued integral domain”.
- F an algebraically closed valued field that is $|A|^+$ -saturated.
- An embedding $\iota: A \rightarrow F$.

Problem: construct $y \in E \setminus A$ + embedding $\hat{\iota}: A[y] \rightarrow F$ that extends ι .

To easy notations, we may assume wlog that $A \subseteq F$ and that ι is the inclusion.

Case 0. A is not a field

Let x be a non-invertible element of $A^{\neq 0}$ and take $y := x^{-1}$.

Let $\hat{\iota}: A[a] = Ax^{-\mathbb{N}} \rightarrow F$ extend ι with $\hat{\iota}(a) = \iota(x)^{-1}$ (as for ACF).

Any element of $A[a]$ is of the form $ca^n = cx^{-n}$ for $c \in A$ and $n \in \mathbb{N}$.

Then $v(\hat{\iota}(ca^n)) = v(cx^{-n}) = v(c) - nv(x)$, both in $\Gamma_{A[a]} = \Gamma_A$ and in $\Gamma_F \supseteq \Gamma_A$.

Hence the embedding $\hat{\iota}$ preserves the valuation.

Case 1a. $K := A$ is a field, but k_K is not AC (algebraically closed).

Let $\mu \in K[Y]$ be monic with $\mu \leq 1$ and $\bar{\mu}$ irreducible in $k_K[Y]$. Let $y \in E$ be a root of μ .

Since F is AC, $\exists a \in F$ with $\mu(a) = 0$. Let $\hat{\iota}: K[y] \rightarrow F$ extend ι with $\hat{\iota}(y) = a$ (as for ACF).

Then $k_K(\bar{a}) \cong k_K(\bar{y})$ and $\hat{\iota}$ preserves the valuation by Lemma ALG-RES.

Case 1b. $K := A$ is a field, but Γ_K is not divisible.

Similar as above, with $\mu = Y^p - \zeta$ for p prime and $\zeta \in K$ such that $p^{-1}v(\zeta) \notin \Gamma_K$.

The valued field K has **characteristic** (m, n) if $\text{char } K = m$ and $\text{char } k_K = n$.

Theorem

The theory $\text{ACV}_{(m,n)}$ of algebraically valued fields of characteristic (m, n) has QE and it is complete.

QE. The characteristic of a valued field is conserved under the extensions. Hence the previous proof goes through for any fixed characteristic.

Completeness. Sufficient: a valued ring that embeds into any model of $\text{ACV}_{(m,n)}$.

- If $m = n = 0$, then we may take \mathbb{Z} with the trivial valuation.
- If $m = 0$ and $n = p$ is prime, then we may take \mathbb{Z} with the p -adic valuation.
- If $m = n = p$ is prime, then we may take \mathbb{F}_p with the trivial valuation. □

Let (K, \leq) be an ordered field (so $\mathbb{Q} \subseteq K$).

Given $X \subseteq K$, its **convex hull** is $\{a \in K : (\exists x, y \in X) x \leq a \leq y\}$.

Definition

Given a valuation v on K , we say that (K, \leq, v) is an **ordered valued field** if \mathcal{O}_K is convex.

Example. The “finest” valuation v with $\mathcal{O}_K = \text{hull}(K)$ and $\mathcal{O}_K = \{a \in K : |a| < \mathbb{Q}^{>0}\}$.

Theorem

The theory RCVF of real closed valued fields eliminates quantifiers and is complete.

Proof. QE: similar as for ACVF. Completeness: \mathbb{Z} embeds into any model. □