Classification of the linearly reductive finite subgroup schemes of SL_2

Mitsuyasu Hashimoto

Department of Mathematics, Okayama University Okayama 700-8530, JAPAN E-mail: mh@okayama-u.ac.jp

> Dedicated to Professor Ngo Viet Trung on the occasion of his sixtieth birthday

Abstract

We classify the linearly reductive finite subgroup schemes G of $SL_2 = SL(V)$ over an algebraically closed field k of positive characteristic, up to conjugation. As a corollary, we prove that such G is in oneto-one correspondence with an isomorphism class of two-dimensional F-rational Gorenstein complete local rings with the coefficient field kby the correspondence $G \mapsto ((\text{Sym } V)^G)^{\widehat{}}$.

1. Introduction

The classification of the finite subgroups of $SL_2(\mathbb{C})$ is well-known ([Dor, Section 26], [LW, (6.2)], see Theorem 3.2), and such a group corresponds to a Dynkin diagram of type A, D, or E. A two-dimensional singularity is Gorenstein and rational if and only if it is a quotient singularity by a finite subgroup of $SL_2(\mathbb{C})$, and such singularities (also called Kleinian singularities) are classified via these subgroups, see [Dur]. Indeed, a two-dimensional singularity

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is Gorenstein and rational if and only if it is a quotient singularity by a finite subgroup of SL_2 .

It is known that the *F*-rationality is the characteristic *p* version of the rational singularity. More precisely, a finite-type algebra over a field of characteristic zero has rational singularities if and only if its modulo *p* reduction is *F*-rational for almost all prime numbers *p* [Sm], [Har]. The two-dimensional complete local *F*-rational Gorenstein rings over an algebraically closed field *k* of characteristic p > 0 is classified using Dynkin diagrams A, D, and E, based on Artin's classification of rational double points [Art], see [WY], [HL]. Then we might well ask whether such a ring is obtained as an invariant subring $k[[x, y]]^G$ with *G* a finite subgroup of $SL_2 = SL(V)$, where $V = kx \oplus ky$. Before considering this question, we have to consider several things.

First, any finite subgroup of $SL_2(\mathbb{C})$ is small in the sense that it does not have a pseudo-reflection, where an element g of GL(V) is called a pseudoreflection if rank $(g - 1_V) = 1$. This is important in studying the ring of invariants. If G is a small finite subgroup of GL(V) $(V = \mathbb{C}^2)$, then G can be recovered from $\hat{R} = \hat{S}^G$, where \hat{S} is the completion of S = Sym V, in the sense that the fundamental group of $\text{Spec } \hat{R} \setminus \{0\}$ is G, where 0 is the unique closed point. Moreover, the category of maximal Cohen–Macaulay modules of \hat{R} is canonically equivalent to the category of \hat{S} -finite \hat{S} -free (G, \hat{S}) -modules [Yos, (10.9)]. However, this is not the case for $SL_2(k)$ with char(k) > 0. Indeed, a finite subgroup of $SL_2(k)$ may have a transvection, where $g \in GL(V)$ is called a transvection if it is a pseudo-reflection and $g - 1_V$ is nilpotent. Even if G is a non-trivial subgroup of SL_2 , \hat{S}^G may be a formal power series ring again, see [KS, Proposition 4.6].

Next, even if G is a finite subgroup of SL(V), the ring of invariants $R = (\text{Sym } V)^G$ may not be F-regular. Indeed, Singh [Sin] proved that if G is the alternating group A_n acting canonically on $V = k^n$, then $R = (\text{Sym } V)^G$ is strongly F-regular if and only if p = char(k) does not divide the order (n!)/2 of $G = A_n$. More generally, Yasuda [Yas] proved that if G is a small subgroup of GL(V), then the ring of invariants $(\text{Sym } V)^G$ is strongly F-regular if and only if p = char(k) does not divide the order GL(V).

So we want to classify the subgroups $G \subset SL_2$ with the order of G is not divisible by $p = \operatorname{char}(k)$. It is easy to see that such G must be small. The classification is known (see Theorem 3.2), and the result is the same as that over \mathbb{C} , except that small p which divides the order |G| of G is not allowed. More precisely, for the type (A_n) , p must not divide n + 1, for (D_n) , p must not divide 4n - 8, and we must have $p \ge 5$, $p \ge 5$, $p \ge 7$ for type (E_6) , (E_7) , and (E_8) , respectively. However, the restriction on p for the classification of two-dimensional F-rational Gorenstein complete local rings is different [HL], and it is p arbitrary for (A_n) , $p \ge 3$ for (D_n) , and $p \ge 5$, $p \ge 5$, $p \ge 7$ for type (E_6) , (E_7) , and (E_8) , respectively.

The purpose of this paper is to show the gap occuring on the type (A_n) and (D_n) comes from the non-reduced group schemes, as shown in Theorem 3.8. As a corollary, we show that all the two-dimensional *F*-rational Gorenstein complete local rings with the algebraically closed coefficient field appear as the ring of invariants under the action of a linearly reductive finite subgroup scheme of SL_2 , see Corollary 3.10. This is already pointed out by Artin [Art] for the type (A_n) , and is trivial for (E_6) , (E_7) , and (E_8) because of the order of the group and the restriction on p. What is new in this paper is the case (D_n) . At this moment, the author does not know how to recover the group scheme G from $R = S^G$. So although the classification of R, the two-dimensional *F*-rational Gorenstein singularities are well-known, the classification of G seems to be nontrivial for the author. As a result, we can recover G from R in the sense that the correspondence from G to $\hat{R} = \hat{S}^G$ is one-to-one.

The key to the proof is Sweedler's theorem (Theorem 2.8) which states that a connected linearly reductive group scheme over a field of positive characteristic is abelian.

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2. Preliminaries

(2.1) Let k be a field. For a k-scheme X, we denote the ring $H^0(X, \mathcal{O}_X)$ by k[X].

We say that an affine algebraic k-group scheme G is linearly reductive if any G-module is semisimple.

Lemma 2.2. Let

$$1 \to N \to G \to H \to 1$$

be an exact sequence of affine algebraic k-group schemes. Then G is linearly reductive if and only if H and N are linearly reductive.

Proof. We prove the 'if' part. If M is a G-module, then the Lyndon-Hochschild-Serre spectral sequence [Jan, (I.6.6)]

$$E_2^{p,q} = H^p(H, H^q(N, M)) \Rightarrow H^{p+q}(G, M)$$

degenerates, and $E_2^{p,q} = 0$ for $(p,q) \neq (0,0)$ by assumption. Thus $H^n(G,M) = 0$ for n > 0, as required.

We prove the 'only if' part. First, given a short exact sequence of H-modules, it is also a short exact sequence of G-modules by restriction. By assumption, it G-splits, and hence it H-splits. Thus any short exact sequence of H-modules H-splits, and H is linearly reductive. Next, we prove that N is linearly reductive. Let M be a finite dimensional N-module. Then there is a spectral sequence

$$E_2^{p,q} = H^p(G, R^q \operatorname{ind}_N^G(M)) \Rightarrow H^{p+q}(N, M),$$

see [Jan, (I.4.5)]. As $G/N \cong H$ is affine, $R^q \operatorname{ind}_N^G(M) = 0$ (q > 0) by [Jan, (I.5.13)]. As G is linearly reductive by assumption, $E_2^{p,q} = 0$ for $(p,q) \neq (0,0)$. Thus $H^n(N,M) = 0$ for n > 0, and thus N is linearly reductive.

(2.3) Let $C = (C, \Delta, \varepsilon)$ be a k-coalgebra. An element $c \in C$ is said to be group-like if $c \neq 0$ and $\Delta(c) = c \otimes c$ [Swe]. If so, $\varepsilon(c) = 1$. The set of group-like elements of C is denoted by $\mathcal{X}(C)$. Note that $\mathcal{X}(C)$ is linearly independent.

Let H be a k-Hopf algebra. Then for $h \in \mathcal{X}(H)$, $\mathcal{S}(h) = h^{-1}$, where \mathcal{S} is the antipode. Note that $\mathcal{X}(H)$ is a subgroup of the unit group H^{\times} . We denote $GL_1 = \operatorname{Spec} k[t, t^{-1}]$ with t group-like by \mathbb{G}_m , and its subgroup scheme $\operatorname{Spec} k[t]/(t^r - 1)$ by $\boldsymbol{\mu}_r$ for $r \geq 0$. Note that $\boldsymbol{\mu}_r$ represents the group of the rth roots of unity, but it is not a reduced scheme if $\operatorname{char}(k) = p$ divides r.

(2.4) In the rest of this paper, let k be algebraically closed. For an affine algebraic group scheme G over k, let $\mathcal{X}(G)$ denote the group of characters (one-dimensional representations) of G. Note that $\mathcal{X}(G)$ is canonically identified with $\mathcal{X}(k[G])$, see [Wat, (2.1)].

Lemma 2.5. Let G be an affine algebraic k-group scheme. Then the following are equivalent.

- **1** G is abelian (that is, the product is commutative) and linearly reductive.
- 2 G is linearly reductive, and any simple G-module is one-dimensional.
- **3** G is diagonalizable. That is, a closed subgroup scheme of a torus \mathbb{G}_m^n .
- **4** The coordinate ring k[G] is group-like as a coalgebra. That is, k[G] is the group ring $k\Gamma$, where $\Gamma = \mathcal{X}(G)$.

5 G is a finite direct product of \mathbb{G}_m and μ_r with $r \geq 2$.

Proof. $1 \Rightarrow 2$ Follows easily from [Swe, (8.0.1)].

 $2\Rightarrow 3$ Take a finite dimensional faithful *G*-module *V* (this is possible [Wat, (3.4)]). Take a basis v_1, \ldots, v_n of *V* such that each kv_i is a onedimensional *G*-submodule of *V*. Then the embedding $G \to GL(V)$ factors through $GL(kv_1) \times \cdots \times GL(kv_n) \cong \mathbb{G}_m^n$.

 $3 \Rightarrow 4$ Let $G \subset \mathbb{G}_m^n = T$. Then k[T] is a Laurent polynomial ring $k[t_1^{\pm 1}, \ldots, t_n^{\pm 1}]$. As each Laurent monomial $t_1^{\lambda_1} \cdots t_n^{\lambda_n}$ is group-like, k[T] is generated by its group-like elements. This property is obviously inherited by its quotient Hopf algebra k[G], and we are done.

 $4 \Rightarrow 5$ Apply the fundamental theorem of abelian groups on Γ . $5 \Rightarrow 4 \Rightarrow 2 \Rightarrow 1$ is easy.

(2.6) The category of finitely generated abelian groups and the category of diagonalizable k-group schemes are contravariantly equivalent with the equivalences $\Gamma \mapsto \operatorname{Spec}(k\Gamma)$ and $G \mapsto \mathcal{X}(G)$. For a diagonalizable k-group scheme G, a G-module is identified with an $\mathcal{X}(G)$ -graded k-vector space. A G-algebra is nothing but a $\mathcal{X}(G)$ -graded k-algebra.

(2.7) For a diagonalizable group scheme $G = \operatorname{Spec} k\Gamma$, the closed subgroup schemes H of G is in one-to-one correspondence with the quotient groups Mof Γ with the correspondence $H \mapsto \mathcal{X}(H)$ and $M \mapsto \operatorname{Spec} kM$. In particular, the only closed subgroup schemes of \mathbb{G}_m is μ_r with $r \geq 0$, since the only quotient groups of \mathbb{Z} are $\mathbb{Z}/r\mathbb{Z}$.

The following is due to Sweedler [Swe2].

Theorem 2.8. Let G be a connected linearly reductive affine algebraic kgroup scheme over an algebraically closed field of positive characteristic p. Then G is an abelian group (and hence is diagonalizable). So G is, up to isomorphisms, of the form

$$\mathbb{G}_m^r imes oldsymbol{\mu}_{p^{e_1}} imes \cdots imes oldsymbol{\mu}_{p^{e_s}}$$

for some $r \ge 0$, $s \ge 0$, and $e_1 \ge \cdots e_s \ge 1$.

(2.9) Let G be an affine algebraic k-group scheme. Note that Spec k, G_{red} and $G_{\text{red}} \times G_{\text{red}}$ are all reduced. Hence the unit map $e : \text{Spec } k \to G$, the inverse $\iota : G_{\text{red}} \to G$, and the product $\boldsymbol{\mu} : G_{\text{red}} \times G_{\text{red}} \to G$ all factor through $G_{\text{red}} \hookrightarrow G$, and so G_{red} is a closed subgroup scheme of G. Thus G_{red} is k-smooth.

(2.10) We denote the identity component (the connected component containing the identity element) of G by G° . As $G_{\text{red}} \hookrightarrow G$ is a homeomorphism and G_{red} is k-smooth, each connected component of G is irreducible, and is isomorphic to G° . As Spec k, G° , and $G^{\circ} \times G^{\circ}$ are all irreducible, it is easy to see that the unit map, the inverse, the product from them all factor through $G^{\circ} \hookrightarrow G$, and hence G° is a closed open subgroup of G. If C is any irreducible component of G, then the image of the map $C \times G^{\circ} \to G$ given by $(g, n) \mapsto gng^{-1}$ is contained in G° . Thus G° is a normal subgroup scheme of G. That is, the map $G \times G^{\circ} \to G$ given by $(g, n) \mapsto gng^{-1}$ factors through G° .

(2.11) As the inclusion $G^{\circ} \cdot G_{\text{red}} \hookrightarrow G$ is a surjective open immersion, we have that $G^{\circ} \cdot G_{\text{red}} = G$. As G° is an open subscheme of $G, G^{\circ} \cap G_{\text{red}} = G_{\text{red}}^{\circ}$. So if G is finite, then G is a semidirect product $G = G^{\circ} \rtimes G_{\text{red}}$.

3. The classification

(3.1) Throughout this section, let k be an algebraically closed field of characteristic p > 0.

The purpose of this section is to classify the linearly reductive finite subgroup schemes of SL_2 over k, up to conjugation. Our starting point is the reduced case, which is well-known. Unfortunately, the author does not know the proof of the theorem below exactly as stated, but the proof in [Dor, Section 26] also works for the case of positive characteristic. See also [LW, Chapter 6, Section 2].

Theorem 3.2. Let k be an algebraically closed field of characteristic p > 0, and G a finite nontrivial subgroup of SL_2 . Assume that the order |G| of G is not divisible by p. Then G is conjugate to one of the following, where ζ_r denotes a primitive rth root of unity.

 (A_n) $(n \ge 1)$ The cyclic group generated by

$$\begin{pmatrix} \zeta_{n+1} & 0\\ 0 & \zeta_{n+1}^{-1} \end{pmatrix}$$

 (D_n) $(n \ge 4)$ The binary dihedral group generated by (A_{2n-5}) and

$$\begin{pmatrix} 0 & \zeta_4 \\ \zeta_4 & 0 \end{pmatrix}$$

 (E_6) The binary tetrahedral group generated by (D_4) and

$$\frac{1}{\sqrt{2}} \begin{pmatrix} \zeta_8^7 & \zeta_8^7 \\ \zeta_8^5 & \zeta_8 \end{pmatrix}.$$

 (E_7) The binary octahedral group generated by (E_6) and (A_7) .

 (E_8) The binary icosahedral group generated by (A_9) ,

$$\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}, \quad and \quad \frac{1}{\zeta_5^2 - \zeta_5^3} \begin{pmatrix} \zeta_5 + \zeta_5^{-1} & 1 \\ 1 & -(\zeta_5 + \zeta_5^{-1}) \end{pmatrix}.$$

Conversely, if g = n + 1 (resp. 4n - 8, 24, 48, and 120) is not zero in k, then (A_n) (resp. (D_n) , (E_6) , (E_7) , and (E_8)) above is defined, and is a linearly reductive finite subgroup of SL₂ of order g.

(3.3) Let G be a linearly reductive finite subgroup scheme of $SL_2 = SL(V)$. As the sequence

$$1 \to G^{\circ} \to G \to G_{\mathrm{red}} \to 1$$

is exact, both G° and G_{red} are linearly reductive by Lemma 2.2.

(3.4) First, consider the case that G is abelian. Then the vector representation V is the direct sum of two one-dimensional G-modules, say V_1 and V_2 , and hence we may assume that G is diagonalized. As $G \subset SL_2$, $V_2 \cong V_1^*$. Thus $G \to GL(V_1) = \mathbb{G}_m$ is also a closed immersion, and $G \cong \mu_m$ is

$$\left\{ \begin{pmatrix} a & 0 \\ 0 & a^{-1} \end{pmatrix} \mid a \in \boldsymbol{\mu}_m \right\}.$$

(3.5) So assume that G is not abelian. If G° is trivial, then $G = G_{\text{red}}$, and the classification for this case is done in Theorem 3.2. So assume further that G° is non-trivial.

 G° is diagonalized as above, since G° is linearly reductive and connected (and hence is also abelian by Theorem 2.8). We have $G^{\circ} \cong \mu_r$ with $r = p^e$ for some $e \geq 0$.

(3.6) We consider the case that G° is contained in the group of scalar matrices. In this case, r = 2 (so p = 2), as $G \subset SL_2$. Then by Maschke's theorem, the order of G_{red} is odd. According to the classification in Theorem 3.2, G_{red} must be of type (A_n) and is cyclic. This shows that G is abelian, and this is a contradiction.

(3.7) So G° is not contained in the group of scalar matrices. Note that if $a, b, c, d \in k$ with ad - bc = 1 and

$$\begin{pmatrix} a & b \\ c & d \end{pmatrix} \begin{pmatrix} \zeta_r & 0 \\ 0 & \zeta_r^{-1} \end{pmatrix} = \begin{pmatrix} \lambda & 0 \\ 0 & \mu \end{pmatrix} \begin{pmatrix} a & b \\ c & d \end{pmatrix}$$

for some $\lambda, \mu \in A = k[T, T^{-1}]/(T^r - 1)$, where ζ_r is the image of T in A, then (1) $\lambda = \zeta_r, \mu = \zeta_r^{-1}$ and b = c = 0, or (2) $\lambda = \zeta_r^{-1}, \mu = \zeta_r$ and a = d = 0. This is because $\zeta_r \neq \zeta_r^{-1}$. Then it is easy to see that the centralizer $C = Z_G(G^\circ)$ is contained in the subgroup of diagonal matrices in SL_2 . As we assume that Gis not abelian, $C \neq N_G(G^\circ) = G$. Clearly, C_{red} has index two in G_{red} . This shows that the order of G_{red} is divided by 2. By Maschke's theorem, $p \neq 2$. There exists some matrix

$$\begin{pmatrix} 0 & b \\ -b^{-1} & 0 \end{pmatrix}$$

in G_{red} for some $b \in k^{\times}$. After taking conjugate by

$$\begin{pmatrix} b^{-1/2}\zeta_8 & 0\\ 0 & b^{1/2}\zeta_8^{-1} \end{pmatrix},$$

we obtain the group scheme of type (D_n) below (see Theorem 3.8) for appropriate n.

In conclusion, we have the following.

Theorem 3.8. Let k be an algebraically closed field of arbitrary characteristic p (so p is a prime number, or ∞). Let G be a linearly reductive finite subgroup scheme of SL₂. Then, up to conjugation, G agrees with one of the following, where ζ_r denotes a primitive rth root of unity.

 (A_n) $(n \ge 1)$ The group scheme μ_{n+1} lying in SL₂ as

$$\left\{ \begin{pmatrix} a & 0 \\ 0 & a^{-1} \end{pmatrix} \mid a \in \boldsymbol{\mu}_{n+1} \right\}.$$

 (D_n) $(n \ge 4)$ $p \ge 3$. The subgroup scheme generated by (A_{2n-5}) and

$$\begin{pmatrix} 0 & \zeta_4 \\ \zeta_4 & 0 \end{pmatrix}$$

 (E_6) $p \geq 5$. The binary tetrahedral group generated by (D_4) and

$$\frac{1}{\sqrt{2}} \begin{pmatrix} \zeta_8^7 & \zeta_8^7 \\ \zeta_8^5 & \zeta_8 \end{pmatrix}$$

 (E_7) $p \geq 5$. The binary octahedral group generated by (E_6) and (A_7) .

(E₈) $p \ge 7$. The binary icosahedral group generated by (A₉),

$$\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}, \quad and \quad \frac{1}{\zeta_5^2 - \zeta_5^3} \begin{pmatrix} \zeta_5 + \zeta_5^{-1} & 1 \\ 1 & -(\zeta_5 + \zeta_5^{-1}) \end{pmatrix}.$$

Conversely, any of above is a linearly reductive finite subgroup scheme of SL_2 , and a different type gives a non-isomorphic group scheme.

(3.9) For a finite k-group scheme G over k, we define $|G| := \dim_k k[G]$. Then in the theorem, |G| is n + 1 for (A_n) , 4n - 8 for (D_n) , and 24, 48, and 120 for (E_6) , (E_7) , and (E_8) , respectively. This is independent of p, and hence is the same as the case for $p = \infty$.

Corollary 3.10. Let k be an algebraically closed field of positive characteristic. Let \hat{R} be a two-dimensional F-rational Gorenstein complete local ring with the coefficient field k. Then there is a linerly reductive finite subgroup scheme G of $SL_2 = SL(V)$, where $V = k^2$, such that the completion of $(Sym V)^G$ with respect to the irrelevant maximal ideal is isomorphic to \hat{R} . Conversely, if G is such a group scheme, then the completion of $(Sym V)^G$ is a two-dimensional F-rational Gorenstein complete local ring with the coefficient field k.

Proof. This follows from the theorem and the list in [HL, Example 18].

Let u, v be the standard basis of $V = k^2$ and G be as in the list of the theorem. Let S = k[u, v] and $R = S^G$.

The case that $G = (A_n)$. Then a *G*-algebra is nothing but a $\mathcal{X}(G) = \mathbb{Z}/(n+1)\mathbb{Z}$ -graded *k*-algebra. *S* is a *G*-algebra with deg u = 1 and deg v = -1, and $R = S_0$, the degree 0 component with respect to this grading. Set $x = u^{n+1}, y = -v^{n+1}$ and z = uv. Then it is easy to see that R = k[x, y, z]. Obviously, it is a quotient of $R_1 = k[X, Y, Z]/(XY + Z^{n+1})$. As R_1 is a normal domain of dimension two, $R_1 = R$. So \hat{R} is of type (A_n) .

The case that $G = (D_n)$. Set $x = uv(u^{2n-4} - (-1)^{n-2}v^{2n-4})$, $y = -2^{2/(n-1)}u^2v^2$ and $z = 2^{-1/(n-1)}(u^{2n-4} + (-1)^{n-2}v^{2n-4})$. Then

$$k[x, y, z] \subset R = S^G = (S^{G'})^{G/G'} \subset k[u^{2n-4}, uv, v^{2n-4}] = S^{G'} \subset S,$$

where G' is the group scheme of type (A_{2n-5}) . Note that k[x, y, z] is a quotient of $R_1 = k[x, y, z] = k[X, Y, Z]/(X^2 + YZ^2 + Y^{n-1})$. As R_1 is a two-dimensional normal domain, $R_1 \to k[x, y, z]$ is an isomorphism, and hence k[x, y, z] is normal. It is easy to see that $Q(S^{G'}) = k(x, y, z, uv)$ and [k(x, y, z, uv) : $k(x, y, z)] \leq 2$. As |G/G'| = 2, $R_1 = k[x, y, z] \to R$ is finite and birational. As R_1 is normal, $R_1 = R$. Thus \hat{R} is of type (D_n) .

The cases of constant groups $G = (E_6), (E_7), (E_8)$ are well-known [LW], and we omit the proof.

Remark 3.11. Note that the converse in the corollary is also checked theoretically. As G is linearly reductive, $R = (\text{Sym } V)^G$ is a direct summand subring of S = Sym V, and hence is strongly F-regular. Thus its completion is also strongly F-regular, see for example, [Has2, (3.28)]. Gorenstein property of R is a consequence of [Has, (32.4)].

Nevertheless, at this moment, the author does not know a theoretical reason why G can be recovered from the isomorphism class of \hat{R} (this is true, as can be seen from the result of the classification).

Remark 3.12. Let V and G be as above. Set $S := (\text{Sym } V)^G$, and let \hat{S} be its completion with respect to the irrelevant maximal ideal so that $\hat{S} \cong k[[x, y]]$. As G° is infinitesimal, $\hat{S}^{G^{\circ}} \to \hat{S}$ is purely inseparable. So $\text{Spec } \hat{S}^{G^{\circ}} \setminus 0$ is simply connected. As $\text{Spec } \hat{S}^{G^{\circ}} \setminus 0 \to \text{Spec } \hat{S}^G \setminus 0$ is a Galois covering of the Galois group $G/G^{\circ} = G_{\text{red}}$, the fundamental group of $\text{Spec } \hat{S}^G \setminus 0$ is G_{red} , which is linearly reductive, as stated in [Art].

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