

Homomorphisms from $SL(2, k)$ to $SL(4, k)$ in positive characteristic

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§1. Introduction

As a continuation of our study of exponential matrices (and the Weitzenböck problem), we are interested in representations of $SL(2, k)$ in **positive characteristic**. Representations of $SL(2, k)$ behave differently whether or not the characteristic of k is zero. We begin with recalling such phenomena. We employ the following usual notations:

$$\left\{ \begin{array}{l} k : \text{an algebraically closed field of characteristic } p \geq 0 \\ \mathbb{G}_a : \text{the additive group of } k, \text{ i.e., } \mathbb{G}_a = (k, +) \\ \mathbb{G}_m : \text{the multiplicative group of } k, \text{ i.e., } \mathbb{G}_m = (k \setminus \{0\}, \times) \end{array} \right.$$

Known results

- If $p = 0$, any representation $\rho : \mathrm{SL}(2, k) \rightarrow \mathrm{GL}(n, k)$ is **completely reducible**, i.e.,

$$\rho = \rho_1 \oplus \cdots \oplus \rho_r,$$

where each ρ_i is an irreducible representation of $\mathrm{SL}(2, k)$.

- If $p > 0$, not every representation $\rho : \mathrm{SL}(2, k) \rightarrow \mathrm{GL}(n, k)$ is completely reducible. For example, if $p = 2$, the following is **not completely reducible**:

$$\rho : \mathrm{SL}(2, k) \rightarrow \mathrm{GL}(3, k), \quad \rho \left(\begin{array}{cc} a & b \\ c & d \end{array} \right) = \left(\begin{array}{cc|c} a^2 & b^2 & ab \\ c^2 & d^2 & cd \\ \hline 0 & 0 & 1 \end{array} \right).$$

So, we cannot understand representations of $SL(2, k)$ in positive characteristic as far as we only study irreducible representations of $SL(2, k)$.

Present situations.

- I have not yet found **general theory** of representations of $SL(2, k)$ in positive characteristic.
Tilting theory can treat tilting $SL(2, k)$ -modules, only.
- What is worse (or better?), I have not yet found **abundant p -pathological examples** of representations of $SL(2, k)$ in positive characteristic.

Why we study representations of $SL(2, k)$ in positive characteristic?

- Can we classify smooth projective $SL(2, k)$ -threefolds in positive characteristic?
- Can we classify $SL(2, k)$ -actions on \mathbb{P}^3 in positive characteristic?

Toward answering to the above questions, it would be helpful to describe homomorphisms $SL(2, k) \rightarrow GL(4, k)$.

- We have the following one-to-one correspondence:

$$\text{Hom}(SL(2, k), GL(n, k)) \xleftarrow{\cong} \text{Hom}(SL(2, k), SL(n, k))$$

$$\downarrow \text{ } \downarrow$$

$$\text{Hom}(SL(2, k), GL(n, k)) \xleftarrow{\text{ } \circ \sigma \text{ } \leftarrow \text{ } \text{ } \rightarrow \text{ } \downarrow \sigma \text{ } } \text{Hom}(SL(2, k), SL(n, k))$$

Now, our interest lies in the following problem:

Problem 1

Assume $p > 0$. Describe homomorphisms

$$SL(2, k) \rightarrow SL(n, k).$$

For $1 \leq n \leq 3$, we already have the answer.

In this talk, we give an answer to Problem 1 for $n = 4$.

§2. Reducing Problem 1

From now on, we assume that the characteristic p of k is positive.

In this section, we shall reduce Problem 1.

(2.1) Subgroups of $\mathrm{SL}(2, k)$.

We consider the Borel subgroup of $\mathrm{SL}(2, k)$ defined by

$$B(2, k) := \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \mathrm{SL}(2, k) \mid c = 0 \right\}.$$

We can identify the Borel subgroup $B(2, k)$ with a semi-direct product $\mathbb{G}_a \rtimes \mathbb{G}_m$, where the product of elements $(t, u), (t', u')$ of $\mathbb{G}_a \rtimes \mathbb{G}_m$ is given by

$$(t, u) \cdot (t', u') := (t + u^2 t', u u').$$

The identification is given by the following isomorphism:

$$j : \mathbb{G}_a \rtimes \mathbb{G}_m \rightarrow B(2, k) \quad j(t, u) := \begin{pmatrix} u & tu^{-1} \\ 0 & u^{-1} \end{pmatrix}.$$

Let

$$\left\{ \begin{array}{ll} \iota_1 : \mathbb{G}_a \rightarrow \mathbb{G}_a \rtimes \mathbb{G}_m & \iota_1(t) := (t, 1), \\ \iota_2 : \mathbb{G}_m \rightarrow \mathbb{G}_a \rtimes \mathbb{G}_m & \iota_2(u) := (0, u), \\ \hat{\iota}_1 : \mathbb{G}_a \rightarrow B(2, k) & \hat{\iota}_1 := j \circ \iota_1, \\ \hat{\iota}_2 : \mathbb{G}_m \rightarrow B(2, k) & \hat{\iota}_2 := j \circ \iota_2. \end{array} \right.$$

We have the following commutative diagram:

$$\begin{array}{ccc}
 \mathbb{G}_a & & \\
 \searrow^{i_1} & \widehat{i}_1 & \searrow \\
 & \mathbb{G}_a \times \mathbb{G}_m & \xrightarrow[\cong]{j} & B(2, k) \\
 \nearrow^{i_2} & & \nearrow^{\widehat{i}_2} & \\
 \mathbb{G}_m & & &
 \end{array}$$

(2.2) Homomorphisms from $SL(2, k)$ to $SL(n, k)$

Let $\sigma : SL(2, k) \rightarrow SL(n, k)$ be a morphism.

We can define the following morphisms:

$$\left\{ \begin{array}{ll} \varphi_\sigma : \mathbb{G}_a \rightarrow SL(n, k) & \varphi_\sigma(t) := \sigma \begin{pmatrix} 1 & t \\ 0 & 1 \end{pmatrix}, \\ \omega_\sigma : \mathbb{G}_m \rightarrow SL(n, k) & \omega_\sigma(u) := \sigma \begin{pmatrix} u & 0 \\ 0 & u^{-1} \end{pmatrix}, \\ \varphi_\sigma^- : \mathbb{G}_a \rightarrow SL(n, k) & \varphi_\sigma^-(s) := \sigma \begin{pmatrix} 1 & 0 \\ s & 1 \end{pmatrix}. \end{array} \right.$$

Clearly, if $\sigma : \mathrm{SL}(2, k) \rightarrow \mathrm{SL}(n, k)$ is a homomorphism, the morphisms $\varphi_\sigma, \omega_\sigma, \varphi_\sigma^-$ are homomorphisms.

(2.3) $\omega_\sigma : \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$

For all integers d_i ($1 \leq i \leq n$) satisfying $\sum_{i=1}^n d_i = 0$, we can define a homomorphism $\omega_{d_1, \dots, d_n} : \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$ as

$$\omega_{d_1, \dots, d_n}(u) := \mathrm{diag}(u^{d_1}, \dots, u^{d_n}).$$

Let

$$\Omega(n) := \left\{ \omega_{d_1, \dots, d_n} \mid \begin{array}{l} d_1 \geq \dots \geq d_n, \\ d_i = -d_{n-i+1} \quad (1 \leq i \leq n) \end{array} \right\}.$$

For any regular matrix P of $\mathrm{GL}(n, k)$, we can define an isomorphism $\mathrm{Inn}_P : \mathrm{SL}(n, k) \rightarrow \mathrm{SL}(n, k)$ as

$$\mathrm{Inn}_P(A) := P^{-1} A P.$$

Lemma 2

For any homomorphism $\sigma : \mathrm{SL}(2, k) \rightarrow \mathrm{SL}(n, k)$, there exists a regular matrix P of $\mathrm{GL}(n, k)$ such that

$$\mathrm{Inn}_P \circ \omega_\sigma \in \Omega(n).$$

A homomorphism $\sigma : \mathrm{SL}(2, k) \rightarrow \mathrm{SL}(n, k)$ is said to be *anti-symmetric* if $\omega_\sigma \in \Omega(n)$.

$$\begin{array}{ccc}
 SL(2, k) & \xrightarrow{\sigma} & SL(n, k) \\
 & \searrow \text{anti-symmetric} & \downarrow \text{Inn}_P \\
 & & SL(n, k)
 \end{array}$$

So, we have the following commutative diagram:

$$\begin{array}{ccc}
 \text{Hom}(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}(SL(2, k), SL(n, k))/\sim \\
 \uparrow & & \parallel \\
 \text{Hom}^a(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}^a(SL(2, k), SL(n, k))/\sim
 \end{array}$$

We can reduce Problem 1 to the following problem:

Problem 3

Describe *anti-symmetric* homomorphisms from $SL(2, k)$ to $SL(n, k)$, i.e., describe

$$\text{Hom}^a(SL(2, k), SL(n, k)) / \sim .$$

In Section 3, we meet the following commutative diagram:

$$\begin{array}{ccc} \text{Hom}(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}(B(2, k), SL(n, k)) \\ \uparrow & & \uparrow \\ \text{Hom}^a(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}^a(B(2, k), SL(n, k)) \end{array}$$

§3. Homomorphisms $B(2, k) \rightarrow SL(n, k)$

(3.1) φ_ψ and ω_ψ

Given a morphism $\psi : B(2, k) \rightarrow SL(n, k)$, we can define the following morphisms:

$$\left\{ \begin{array}{ll} \varphi_\psi : \mathbb{G}_a \rightarrow SL(n, k) & \varphi_\psi(t) := \psi \begin{pmatrix} 1 & t \\ 0 & 1 \end{pmatrix}, \\ \omega_\psi : \mathbb{G}_m \rightarrow SL(n, k) & \omega_\psi(u) := \psi \begin{pmatrix} u & 0 \\ 0 & u^{-1} \end{pmatrix}. \end{array} \right.$$

If ψ is a homomorphism, then φ_ψ and ω_ψ are homomorphisms.

A homomorphism $\psi : B(2, k) \rightarrow SL(n, k)$ is said to be *anti-symmetric* if $\omega_\psi \in \Omega(n)$.

Lemma 4

The following diagram is commutative:

$$\begin{array}{ccc}
 \text{Hom}(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}(B(2, k), SL(n, k)) \\
 \uparrow & & \uparrow \\
 \text{Hom}^a(SL(2, k), SL(n, k)) & \longrightarrow & \text{Hom}^a(B(2, k), SL(n, k)) \\
 \downarrow & & \downarrow \\
 \text{Hom}^a(SL(2, k), SL(n, k))/\sim & \longrightarrow & \text{Hom}^a(B(2, k), SL(n, k))/\sim
 \end{array}$$

(3.2) $\psi_{\varphi, \omega}$

Given morphisms $\varphi : \mathbb{G}_a \rightarrow \mathrm{SL}(n, k)$ and $\omega : \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$, we can define a morphism $\psi_{\varphi, \omega} : \mathbb{G}_a \times \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$ as

$$\psi_{\varphi, \omega}(t, u) := \varphi(t) \cdot \omega(u).$$

Lemma 5

Let $\psi : B(2, k) \rightarrow \mathrm{SL}(n, k)$ be a homomorphism. Then the following assertions (1) and (2) hold true:

- (1) $\psi \circ j = \psi_{\varphi_\psi, \omega_\psi}$.
- (2) There exist unique homomorphisms $\varphi : \mathbb{G}_a \rightarrow \mathrm{SL}(n, k)$ and $\omega : \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$ such that $\psi \circ j = \psi_{\varphi, \omega}$.

Lemma 6

Let $\varphi : \mathbb{G}_a \rightarrow \mathrm{SL}(n, k)$ and $\omega : \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$ be morphisms.

Then the morphism $\psi_{\varphi, \omega} : \mathbb{G}_a \rtimes \mathbb{G}_m \rightarrow \mathrm{SL}(n, k)$ is a homomorphism if and only if the following conditions (1), (2), (3) hold true:

(1) φ is a homomorphism.

(2) ω is a homomorphism.

(3) $\omega(u) \varphi(t) \omega(u)^{-1} = \varphi(u^2 t)$ for all $(t, u) \in \mathbb{G}_a \rtimes \mathbb{G}_m$.

(3.3) Anti-symmetric homomorphisms $\psi : B(2, k) \rightarrow \mathrm{SL}(n, k)$

Recall $B(2, k) = \langle \mathbb{G}_a^+, \mathbb{G}_m \rangle$.

Lemma 7

Let $\psi : B(2, k) \rightarrow \mathrm{SL}(n, k)$ be an *anti-symmetric* homomorphism.

Then the homomorphism $\varphi_\psi : \mathbb{G}_a \rightarrow \mathrm{SL}(n, k)$ satisfies the following condition:

For any $t \in \mathbb{G}_a$, the regular matrix $\varphi_\psi(t)$ is *upper triangular*.

We obtain the forms of homomorphisms $\varphi : \mathbb{G}_a \rightarrow \mathrm{SL}(n, k)$ satisfying $1 \leq n \leq 5$ and the following condition:

For any $t \in \mathbb{G}_a$, the regular matrix $\varphi(t)$ is *upper triangular*.

§4. $\mathrm{Hom}^a(\mathrm{SL}(2, k), \mathrm{SL}(4, k))$

We can choose 26 pairs (φ^*, ω^*) from $\mathrm{Hom}^a(B(2, k), \mathrm{SL}(4, k))$.

We label the types as (I), (II) – (XXVI).

(I) Assume $p \geq 5$. Let $e_1 \geq 0$. Let $d_1 := 3p^{e_1}$ and $d_2 := p^{e_1}$. Let

$\omega^* : \mathbb{G}_m \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\omega^*(u) := \mathrm{diag}(u^{d_1}, u^{d_2}, u^{-d_2}, u^{-d_1}).$$

Let $\varphi^* : \mathbb{G}_a \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\varphi^*(t) := \begin{pmatrix} 1 & t^{p^{e_1}} & \frac{1}{2} t^{2p^{e_1}} & \frac{1}{6} t^{3p^{e_1}} \\ 0 & 1 & t^{p^{e_1}} & \frac{1}{2} t^{2p^{e_1}} \\ 0 & 0 & 1 & t^{p^{e_1}} \\ 0 & 0 & 0 & 1 \end{pmatrix}.$$

(II) Assume $p = 3$. Let $e_1 \geq 0$. Let $d_1 = p^{e_1+1}$ and $d_2 = p^{e_1}$. Let $\omega^* : \mathbb{G}_m \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\omega^*(u) := \mathrm{diag}(u^{d_1}, u^{d_2}, u^{-d_2}, u^{-d_1}).$$

Let $\varphi^* : \mathbb{G}_a \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\varphi^*(t) := \begin{pmatrix} 1 & t^{p^{e_1}} & \frac{1}{2} t^{2p^{e_1}} & t^{p^{e_1+1}} \\ 0 & 1 & t^{p^{e_1}} & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \end{pmatrix}.$$

(III) Assume $p \geq 3$. Let $e_1 \geq 0$. Let $d_1 = 3p^{e_1}$ and $d_2 = p^{e_1}$. Let $\omega^* : \mathbb{G}_m \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\omega^*(u) := \mathrm{diag}(u^{d_1}, u^{d_2}, u^{-d_2}, u^{-d_1}).$$

Let $\varphi^* : \mathbb{G}_a \rightarrow \mathrm{SL}(4, k)$ be the homomorphism defined by

$$\varphi^*(t) := \begin{pmatrix} 1 & t^{p^{e_1}} & \frac{1}{2} t^{2p^{e_1}} & 0 \\ 0 & 1 & t^{p^{e_1}} & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \end{pmatrix}.$$

$$\vdots$$

(XXVI)

Theorem 8

The following assertions (1) and (2) hold true:

- (1) *Let (φ^*, ω^*) be a pair of the form (ν) , where $\nu = \mathbf{I}, \dots, \mathbf{XXVI}$. Then the morphism $\psi_{\varphi^*, \omega^*} : \mathbb{G}_a \rtimes \mathbb{G}_m \rightarrow \mathrm{SL}(4, k)$ is a homomorphism and $\omega^* \in \Omega(4)$.*
- (2) *Let $\psi : B(2, k) \rightarrow \mathrm{SL}(4, k)$ be an antisymmetric homomorphism. Express ψ as $\psi \circ j = \psi_{\varphi, \omega}$ for some (φ, ω) of $\mathrm{Hom}(\mathbb{G}_a, \mathrm{SL}(4, k)) \times \Omega(4)$. Then there exists an element (φ^*, ω^*) of $\mathrm{Hom}(\mathbb{G}_a, \mathrm{SL}(4, k)) \times \Omega(4)$ such that the following conditions (a) and (b) hold true:*
- (a) $(\varphi, \omega) \sim (\varphi^*, \omega^*)$.
- (b) (φ^*, ω^*) has one of the above forms **(I) – (XXVI)**.

Recall the following commutative diagram:

$$\begin{array}{ccc}
 \text{Hom}(SL(2, k), SL(4, k)) & \longrightarrow & \text{Hom}(B(2, k), SL(4, k)) \\
 \uparrow & & \uparrow \\
 \text{Hom}^a(SL(2, k), SL(4, k)) & \longrightarrow & \text{Hom}^a(B(2, k), SL(4, k)) \\
 \downarrow & & \downarrow \\
 \text{Hom}^a(SL(2, k), SL(4, k))/\sim & \longrightarrow & \text{Hom}^a(B(2, k), SL(4, k))/\sim
 \end{array}$$

$\text{Hom}^a(B(2, k), SL(4, k))/\sim$ has at most 26 types.

Let $\iota_{B(2,k)} : B(2, k) \rightarrow SL(2, k)$ be the inclusion homomorphism. A homomorphism $\psi : B(2, k) \rightarrow SL(n, k)$ is said to be *extendable* if there exists a homomorphism $\sigma : SL(2, k) \rightarrow SL(n, k)$ such that $\sigma \circ \iota_{B(2,k)} = \psi$, i.e., the following diagram is commutative:

$$\begin{array}{ccc}
 B(2, k) & \xrightarrow{\psi} & SL(n, k) \\
 \downarrow \iota_{B(2,k)} & \nearrow \sigma & \\
 SL(2, k) & &
 \end{array}$$

Lemma 9

Let (φ^*, ω^*) be of the form (I). Then $\psi_{(\varphi^*, \omega^*)}$ is uniquely extendable to the following $\sigma^* : \mathrm{SL}(2, k) \rightarrow \mathrm{SL}(4, k)$:

$$\sigma^* \begin{pmatrix} a & b \\ c & d \end{pmatrix} := \begin{pmatrix} a^{3p^{e_1}} & a^{2p^{e_1}} b^{p^{e_1}} & \frac{1}{2} a^{p^{e_1}} b^{2p^{e_1}} & \frac{1}{6} b^{3p^{e_1}} \\ 3a^{2p^{e_1}} c^{p^{e_1}} & a^{p^{e_1}} \cdot (ad + 2bc)^{p^{e_1}} & b^{p^{e_1}} \cdot (ad + \frac{1}{2}bc)^{p^{e_1}} & \frac{1}{2} b^{2p^{e_1}} d^{p^{e_1}} \\ 6a^{p^{e_1}} c^{2p^{e_1}} & 4c^{p^{e_1}} \cdot (ad + \frac{1}{2}bc)^{p^{e_1}} & d^{p^{e_1}} \cdot (ad + 2bc)^{p^{e_1}} & b^{p^{e_1}} d^{2p^{e_1}} \\ 6c^{3p^{e_1}} & 6c^{2p^{e_1}} d^{p^{e_1}} & 3c^{p^{e_1}} d^{2p^{e_1}} & d^{3p^{e_1}} \end{pmatrix}.$$

This homomorphism σ^* is well known.

Lemma 10

Let (φ^*, ω^*) be of the form (II). Then $\psi_{(\varphi^*, \omega^*)}$ is uniquely extendable to the following $\sigma^* : \mathrm{SL}(2, k) \rightarrow \mathrm{SL}(4, k)$:

$$\sigma^* \begin{pmatrix} a & b \\ c & d \end{pmatrix} = \begin{pmatrix} a^{p^{e_1}+1} & a^{2p^{e_1}} b^{p^{e_1}} & \frac{1}{2} a^{p^{e_1}} b^{2p^{e_1}} & b^{p^{e_1}+1} \\ 0 & a^{p^{e_1}} & b^{p^{e_1}} & 0 \\ 0 & c^{p^{e_1}} & d^{p^{e_1}} & 0 \\ c^{p^{e_1}+1} & c^{2p^{e_1}} d^{p^{e_1}} & \frac{1}{2} c^{p^{e_1}} d^{2p^{e_1}} & d^{p^{e_1}+1} \end{pmatrix}.$$

Lemma 11

Let (φ^*, ω^*) be of the form (III). Then $\psi_{(\varphi^*, \omega^*)}$ is *not extendable*.

§5. $\text{Hom}^a(SL(2, k), SL(4, k)) / \sim$

Theorem 12

Let $\sigma : SL(2, k) \rightarrow SL(4, k)$ be a homomorphism. Then there exists a homomorphism $\sigma^* : SL(2, k) \rightarrow SL(4, k)$ satisfying the following conditions (i) and (ii):

- (i) σ and σ^* are equivalent, i.e., $\sigma \sim \sigma^*$.
- (ii) σ^* has one of the forms (I)*, (II)*, (IV)*, (V)*, (VII)*, (IX)*, (XI)*, (XV)*, (XIX)*, (XXIV)*, (XXVI)*.

$p = 2$	$p = 3$	$p \geq 5$	$p \geq 2$	d
		(I)*		(0, 0)
	(II)*			(0, 0)
(IV)*	(IV)*	(IV)*	(IV)*	(0, 0)
(V)*				(1, 1)
	(VII)*			(0, 0)
	(IX)*	(IX)*		(1, 1)
(XI)*				(1, 2)
(XV)*	(XV)*	(XV)*	(XV)*	(0, 0)
(XIX)*				(2, 1)
(XXIV)*	(XXIV)*	(XXIV)*	(XXIV)*	(2, 2)
(XXVI)*	(XXVI)*	(XXVI)*	(XXVI)*	(4, 4)
7 types	7 types	6 types	4 types	

The following might be a new representation of $SL(2, k)$.

Assume $p = 2$. For all integer $e_1 \geq 0$, we can define a homomorphism $\sigma_{(V)^\sharp, e_1} : SL(2, k) \rightarrow SL(4, k)$ as

$$\sigma_{(V)^\sharp, e_1} \begin{pmatrix} a & b \\ c & d \end{pmatrix} := \begin{pmatrix} 1 & 0 & 0 & 0 \\ a^{p^{e_1}} & b^{p^{e_1}} & a^{p^{e_1+1}} & b^{p^{e_1+1}} \\ c^{p^{e_1}} & d^{p^{e_1}} & c^{p^{e_1+1}} & d^{p^{e_1+1}} \\ b^{p^{e_1}} & c^{p^{e_1}} & a^{p^{e_1}} & c^{p^{e_1}} \\ b^{p^{e_1}} & d^{p^{e_1}} & a^{p^{e_1}} & d^{p^{e_1}} \\ 1 & 1 & 1 & 1 \end{pmatrix}.$$

Lemma 13

Let $e_1 \geq 0$, let σ^* be the homomorphism given in $(V)^*$ and let $P := P_{3,4} P_{1,2} \in GL(4, k)$. Then $\text{Inn}_P \circ \sigma^* = \sigma_{(V)^\sharp, e_1}$.

Thank you very much for your attention.