

ÉTALE (φ, Γ) -MODULES AND OVERCONVERGENCE

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ABSTRACT. These are notes for a talk which introduces étale (φ, Γ) -modules and overconvergence. We present the concept and describe some of its applications, with an emphasis on examples.

This is an introductory note concerning étale (φ, Γ) -modules and overconvergence. For simplicity, we will only consider the case where the base field K is a finite unramified extension of \mathbb{Q}_p for some prime p . Topological issues will often be ignored; in particular any representation, action or endomorphism is assumed to be continuous.

1. ÉTALE φ -MODULES

Let $\mathbf{E}_K = k((X))$ where k is the residue field of K , and let $G_{\mathbf{E}_K}$ be its absolute Galois group. Consider the ring

$$\mathbf{A}_K = \left\{ \sum_{n=-\infty}^{\infty} a_n X^n, a_n \in \mathcal{O}_K, a_{-n} \rightarrow 0 \right\}.$$

The ring \mathbf{A}_K is a discrete valuation ring with uniformizer p , and residue field $\mathbf{A}_K/p = \mathbf{E}_K$. It is endowed with a Frobenius endomorphism

$$\varphi : \mathbf{A}_K \rightarrow \mathbf{A}_K, \quad f(X) \mapsto f((1+X)^p - 1),$$

whose reduction mod p gives the usual Frobenius endomorphism of \mathbf{E}_K .

Definition 1.1. A φ -module is a finitely generated module M over \mathbf{A}_K with a semilinear action of φ . We say that M is étale if the linearization of φ is an isomorphism.

For example, if M is free, and if we fix a basis with $A = \text{Mat}(\varphi)$, then M is étale precisely when $p \nmid \det(A)$.

The main result concerning φ -modules is the following theorem of Fontaine.

Theorem 1.1. *There is an equivalence of categories*

$$\{\text{finitely generated } G_{\mathbf{E}_K}\text{-representations over } \mathbb{Z}_p\} \longleftrightarrow \{\text{étale } \varphi\text{-modules}\}.$$

Let us explain how this equivalence works. One constructs (as we shall do below) a large discrete valuation ring \mathbf{A} with uniformizer p , such that $\mathbf{A}/p = \mathbf{E}_K$. The ring \mathbf{A} is endowed with an action of $G_{\mathbf{E}_K}$ and with a Frobenius endomorphism φ . One has $\mathbf{A}^{G_{\mathbf{E}_K}} = \mathbf{A}_K$ and $\mathbf{A}^{\varphi=1} = \mathbb{Z}_p$. The functors

$$V \mapsto D(V) = (\mathbf{A} \otimes_{\mathbb{Z}_p} V)^{G_{\mathbf{E}_K}}$$

and

$$V(M) = (\mathbf{A} \otimes_{\mathbf{A}_K} M)^{\varphi=1} \leftarrow M$$

then provide the asserted equivalence.

The details of the construction of \mathbf{A} will not be used in the sequel, but we provide them here for the convenience of the reader. Let \mathbb{C}_p be the completion of $\overline{\mathbb{Q}_p}$, and consider the ring $\lim_{x^p \leftarrow x} \mathcal{O}_{\mathbb{C}_p}$, with operations

$$(x^{(n)})(y^{(n)}) = (x^{(n)}y^{(n)}) \quad \text{and} \quad (x^{(n)}) + (y^{(n)}) = \left(\lim_{k \rightarrow \infty} (x^{(n+k)} + y^{(n+k)})^{p^k} \right).$$

Then $\lim_{x^p \leftarrow x} \mathcal{O}_{\mathbb{C}_p}$ is an integral domain, and its field of fractions, denoted by \mathbb{C}_p^b , is a complete, nonarchimedean and algebraically closed field of characteristic p . Let $\varepsilon = (\varepsilon^{(n)}) \in \mathbb{C}_p^b$ be any compatible sequence of p^n 'th roots of unity, i.e. $\varepsilon^{(0)} = 1$. Fixing such a choice yields an embedding

$$\mathbf{E}_K = k((X)) \hookrightarrow \mathbb{C}_p^b, \quad X \mapsto \varepsilon - 1.$$

This embedding lifts to characteristic 0, so that for the Witt vectors ring $W(\mathbb{C}_p^b)$ we have

$$\mathbf{A}_K \hookrightarrow W(\mathbb{C}_p^b), \quad X \mapsto [\varepsilon] - 1.$$

One then defines \mathbf{A} to be the henselization of \mathbf{A}_K in $W(\mathbb{C}_p^b)$. The natural Frobenius endomorphism and $G_{\mathbf{E}_K}$ -action on \mathbb{C}_p^b ascend by functorially to $W(\mathbb{C}_p^b)$. These preserve \mathbf{A} and thus endow it with the desired φ and $G_{\mathbf{E}_K}$ -action.

2. ÉTALE (φ, Γ) -MODULES

In p -adic Hodge Theory one attaches certain semilinear invariants to subcategories of p -adic representations. In this section our goal will be to attach such an invariant to the category of all p -adic representations.

First we set up some notation. Let μ_{p^n} be the set of roots of unity of order p^n in \overline{K} . Let $K_n = K(\mu_{p^n})$ and $K_\infty = \bigcup_{n=1}^{\infty} K_n$. Finally, let G_K be the absolute Galois group of K and H_K the absolute Galois group of K_∞ , and denote by $\Gamma_K = G_K/H_K$ the quotient. We have the cyclotomic character $\chi : \Gamma_K \rightarrow \mathbb{Z}_p^\times$ obtained through the composition

$$\Gamma_K = \text{Gal}(K_\infty/K) \hookrightarrow \text{Gal}(\mathbb{Q}_p(\mu_{p^\infty})/\mathbb{Q}_p) \xrightarrow{\sim} \mathbb{Z}_p^\times.$$

The ring \mathbf{A}_K is endowed with an action of Γ_K , such that for $\gamma \in \Gamma_K$ we have the action

$$\gamma : \mathbf{A}_K \rightarrow \mathbf{A}_K, \quad f(X) \mapsto f((1+X)^{\chi(\gamma)} - 1).$$

This action commutes with the Frobenius endomorphism.

Definition 2.1. A (φ, Γ) -module is a finitely generated module M over \mathbf{A}_K with a semilinear actions of φ and of Γ_K which commute. We say that M is étale if the linearization of φ is an isomorphism.

Remark. If M is free over \mathbf{A}_K , and if we fix a basis with $A = \text{Mat}(\varphi)$ and $B = \text{Mat}(\gamma)$ for $\gamma \in \Gamma_K$, the condition that φ and γ commute is equivalent to the identity $A\varphi(B) = B\gamma(A)$.

By a p -adic representation we mean a finitely generated G_K -representation over \mathbb{Z}_p or over \mathbb{Q}_p . The main result needed to make the connection with p -adic representations is the following theorem, originally due to Fontaine and Winterberger.

Theorem 2.1. *There is a natural isomorphism $H_K \xrightarrow{\sim} G_{\mathbf{E}_K}$.*

Combining this with the Theorem 1.1 then yields:

Theorem 2.2. *There is an equivalence of categories*

$$\{p\text{-adic representations over } \mathbb{Z}_p\} \longleftrightarrow \{\text{étale } (\varphi, \Gamma)\text{-modules}\}.$$

Explicitly, the functors are given by

$$V \mapsto D(V) = (\mathbf{A} \otimes_{\mathbb{Z}_p} V)^{H_F}$$

and

$$V(M) = (\mathbf{A} \otimes_{\mathbf{A}_K} M)^{\varphi=1} \leftarrow M.$$

This equivalence respects all the expected constructions on both sides, such as taking duals, tensor products, elementary divisors, etc.

It seems to be hard to explicitly compute the (φ, Γ) -module corresponding to a given p -adic representation. Here are a few examples where such a description is possible.

Example 2.1. Let $\delta : G_K \rightarrow \mathbb{Z}_p^\times$ be a character factoring through Γ_K (for example, one could take the cyclotomic character). Denote by $V(\delta)$ the rank 1 representation associated to δ . Then $D(V(\delta)) = \mathbf{A}_K(\delta)$.

Example 2.2. ([Be2], discussion after Theorem 18.8) Suppose that $K = \mathbb{Q}_p$. By local class field theory, any character $G_{\mathbb{Q}_p} \rightarrow \mathbb{Z}_p^\times$ arises uniquely from a character $\delta : \mathbb{Q}_p^\times \rightarrow \mathbb{Z}_p^\times$. Let $\mathbf{A}_{\mathbb{Q}_p}(\delta)$ be the rank 1 (φ, Γ) -module with $\mathbf{A}_{\mathbb{Q}_p}(\delta) = \mathbf{A}_{\mathbb{Q}_p} e_\delta$, where

$$\varphi(e_\delta) = \delta(p)e_\delta \quad \text{and} \quad \gamma(e_\delta) = \delta(\chi(\gamma))e_\delta \quad \text{for } \gamma \in \Gamma_{\mathbb{Q}_p}.$$

We will show that under the aforementioned equivalence of categories, $V(\delta)$ corresponds to $\mathbf{A}_{\mathbb{Q}_p}(\delta)$.

To see this, consider $\widehat{\mathbb{Z}_p^{\text{un}}}$, the ring of integers of the maximal unramified extension of \mathbb{Q}_p . A successive approximation argument shows that the map

$$\widehat{\mathbb{Z}_p^{\text{un}}}^\times \rightarrow \widehat{\mathbb{Z}_p^{\text{un}}}^\times, \quad x \mapsto x/\varphi(x),$$

is surjective. In particular, there is an element $c \in \widehat{\mathbb{Z}_p^{\text{un}}}^\times$ with $\varphi(c) = \delta(p^{-1})c$. It then follows that $\varphi(ce_\delta) = ce_\delta$, so $\mathbb{Z}_p \cdot ce_\delta = (\mathbf{A}(\delta))^{\varphi=1} = V(\mathbf{A}_{\mathbb{Q}_p}(\delta))$.

A unit $u \in \mathbb{Z}_p^\times \subset \mathbb{Q}_p^\times$ acts on e_δ through $\delta(u)$ and trivially on c as it is unramified. Similarly, p^{-1} acts trivially on e_δ (the action on it factors through the cyclotomic character) and it acts on c by the arithmetic Frobenius, which is given by multiplying by $\delta(p^{-1})$ by construction. Thus $\mathbb{Z}_p \cdot ce_\delta = V(\delta)$.

Example 2.3. ([Be1]) This time we construct a two dimensional representation of $G_{\mathbb{Q}_p}$ over \mathbb{Q}_p and describe the corresponding (φ, Γ) -module. Let \mathbb{Q}_{p^2} be the unramified extension of \mathbb{Q}_p of degree 2, and let $\mathbb{Q}_{p^2}^{\text{LT}}$ be the Lubin-Tate extension of \mathbb{Q}_{p^2} associated to the prime p , so that $\text{Gal}(\mathbb{Q}_{p^2}^{\text{LT}}/\mathbb{Q}_{p^2}) \cong \mathbb{Z}_p^\times$ through the Lubin Tate character. Then one has a natural isomorphism $\text{Gal}(\mathbb{Q}_{p^2}^{\text{LT}}/\mathbb{Q}_p) \cong \mathbb{Z}_p^\times \rtimes \mathbb{Z}/2\mathbb{Z}$, with the homomorphism $\mathbb{Z}/2\mathbb{Z} \rightarrow \text{Aut}(\mathbb{Z}_p^\times)$ given by $\varepsilon \mapsto \sigma^\varepsilon$, σ being the arithmetic

Frobenius of \mathbb{Z}_{p^2} . Let $d \in \mathbb{Z}_p$ be an element such that $\mathbb{Z}_{p^2} = \mathbb{Z}_p[\sqrt{d}]$, then we have a homomorphism $\mathbb{Z}_{p^2}^\times \rtimes \mathbb{Z}/2\mathbb{Z} \rightarrow \mathrm{GL}_2(\mathbb{Z}_p)$ given by

$$(x + y\sqrt{d}, 0) \mapsto \begin{pmatrix} x & dy \\ y & x \end{pmatrix} \quad \text{and} \quad (x + y\sqrt{d}, 1) \mapsto \begin{pmatrix} x & -dy \\ y & -x \end{pmatrix}.$$

We then obtain a two dimensional representation V through the composition

$$\mathrm{Gal}(\overline{\mathbb{Q}_p}/\mathbb{Q}_p) \rightarrow \mathrm{Gal}(\mathbb{Q}_{p^2}^{\mathrm{LT}}/\mathbb{Q}_p) \cong \mathbb{Z}_{p^2}^\times \rtimes \mathbb{Z}/2\mathbb{Z} \rightarrow \mathrm{GL}_2(\mathbb{Z}_p).$$

A description of the corresponding (φ, Γ) is given as follows. Recall that Frobenius operator φ on $\mathbf{A}_{\mathbb{Q}_p}$ is defined by $\varphi(f(X)) = f((1+X)^p - 1)$. Let $Q_2 = \varphi(\varphi(X)/X)$. One may show that for $\gamma \in \Gamma$ there is a unique $f_\gamma(X) \in 1 + X\mathbb{Z}_p[[X]]$ such that $\varphi^2(f_\gamma(X))/f_\gamma(X) = \gamma(Q_2)/Q_2$. Then there is a basis of $D(V)$ for which

$$\mathrm{Mat}(\varphi) = \begin{pmatrix} 0 & 1 \\ Q_2 & 0 \end{pmatrix} \quad \text{and} \quad \mathrm{Mat}(\gamma) = \begin{pmatrix} \chi(\gamma)\varphi(f_\gamma(X)) & 0 \\ 0 & \chi(\gamma)f_\gamma(X) \end{pmatrix} \quad \text{for } \gamma \in \Gamma.$$

Here is an example of a (φ, Γ) -module for which the author is unaware of any computation of the corresponding p -adic representation.

Example 2.4. ([Sch, 2.3, Example C] and [Be-Li-Zhu]) Let $K = \mathbb{Q}_p$ and fix a two dimensional basis e_1, e_2 over $\mathbf{A}_{\mathbb{Q}_p}$. Define φ by

$$\mathrm{Mat}(\varphi) = \begin{pmatrix} 0 & -1 \\ \varphi(X)/X & 0 \end{pmatrix}.$$

To define the $\Gamma_{\mathbb{Q}_p}$ -action, recall that one has the decomposition

$$\log(1 + X) = X \prod_{n \geq 0} \frac{\varphi^{n+1}(X)}{p\varphi^n(X)}.$$

Indeed, both sides have exactly the same zeros, and up to a constant this completely determines a power series $\mathbb{Z}_p[[X]]$, by the Weierstrass approximation theorem. Note that the $(\varphi, \Gamma_{\mathbb{Q}_p})$ -structure extends to $\log(1 + X)$. We have

$$\varphi(\log(1 + X)) = p \log(1 + X) \quad \text{and} \quad \gamma(\log(1 + X)) = \chi(\gamma) \log(1 + X).$$

Define

$$\log^+(1 + X) = \prod_{n \geq 0} \frac{\varphi^{2n+2}(X)}{p\varphi^{2n+1}(X)} \quad \text{and} \quad \log^-(1 + X) = \prod_{n \geq 0} \frac{\varphi^{2n+1}(X)}{p\varphi^{2n}(X)},$$

so that $\log(1 + X) = X \log^+(1 + X) \log^-(1 + X)$. It is easy to check that $\varphi(\log^+) = \frac{pX}{\varphi(X)} \log^-$ and $\varphi(\log^-) = \log^+$.

Now for any $a \in \mathbb{Z}_p^\times$, the quotients $\log^+(1 + X)/\log^+((1 + X)^a)$ and $\log^-(1 + X)/\log^-((1 + X)^a)$ have no zeros, and therefore are units in $\mathbb{Z}_p[[X]]$. Hence, we may define the $\Gamma_{\mathbb{Q}_p}$ action by

$$\gamma(e_1) = \frac{\log^+(1 + X)}{\log^+((1 + X)^{\chi(\gamma)})} e_1 \quad \text{and} \quad \gamma(e_2) = \frac{\log^-(1 + X)}{\log^-((1 + X)^{\chi(\gamma)})} e_2.$$

One may then check that the φ and $\Gamma_{\mathbb{Q}_p}$ actions commute, and that this gives rise to a (φ, Γ) -module.

3. OVERCONVERGENT (φ, Γ) -MODULES

Let $\mathbf{A}_K^\dagger \subset \mathbf{A}_K$ be the subring of \mathbf{A}_K defined by

$$\mathbf{A}_K^\dagger = \left\{ f(X) = \sum_{n=-\infty}^{\infty} a_n X^n \in \mathbf{A}_K, f \text{ converges on some nonempty annulus } (r, 1) \right\}.$$

The operations of φ and Γ descend to \mathbf{A}_K^\dagger , and we can define a notion of a (φ, Γ) -module over the ring \mathbf{A}_K^\dagger . This leads to the following definition.

Definition 3.1. An (φ, Γ) -module over \mathbf{A}_K is *overconvergent* if it descends to a (φ, Γ) -module over \mathbf{A}_K^\dagger .

For example, for a free (φ, Γ) to be overconvergent it is necessary and sufficient that there exists a basis and some r for which $\text{Mat}(\varphi)$ has coefficients in which converge in some nonempty annulus $(r, 1)$.

The main result concerning overconvergent (φ, Γ) -modules is the following theorem due to Cherbonnier-Colmez [Ch-Co].

Theorem 3.1. *Every étale (φ, Γ) -module is overconvergent. More precisely, base extension induces an equivalence of categories*

$$\{ \text{étale } (\varphi, \Gamma)\text{-modules over } \mathbf{A}_K^\dagger \} \longleftrightarrow \{ \text{étale } (\varphi, \Gamma)\text{-modules over } \mathbf{A}_K \}.$$

The *Robba ring* $\mathbf{B}_{\text{rig}, K}^\dagger$ is the ring given by

$$\mathbf{B}_{\text{rig}, K}^\dagger = \left\{ f(X) = \sum_{n=-\infty}^{\infty} a_n X^n, a_n \in K, f \text{ converges on some nonempty annulus } (r, 1) \right\}.$$

In other words, we have dropped the boundness condition in the definition of \mathbf{A}_K^\dagger . Note that $\mathbf{B}_{\text{rig}, K}^\dagger$ is endowed with a φ -action and a Γ -action, so that there is a notion of an étale (φ, Γ) -module over it.

As $\mathbf{B}_{\text{rig}, K}^\dagger$ is p -divisible, an étale (φ, Γ) -module over it could possibly encode any information about the torsion part of a p -adic representation. It turns out that this is the only limitation, however. Inverting p in all our rings, that is, replacing the rings $\mathbb{Z}_p, \mathbf{A}_K, \mathbf{A}$ by $\mathbb{Q}_p, \mathbf{B}_K = \mathbf{A}_K[1/p], \mathbf{B} = \mathbf{A}[1/p]$ respectively leads to categories of étale (φ, Γ) -modules in characteristic 0, and the analogues of the previous theorems still hold. In [Ke], Kedlaya proves the following result.

Theorem 3.2. *Base extension induces an equivalence of categories*

$$\{ \text{étale } (\varphi, \Gamma)\text{-modules over } \mathbf{B}_K^\dagger \} \longleftrightarrow \{ \text{étale } (\varphi, \Gamma)\text{-modules over } \mathbf{B}_{\text{rig}, K}^\dagger \}.$$

Combining this with Theorem 2.2 and the Cherbonnier-Colmez theorem, we have:

Corollary 3.1. *There is an equivalence of categories*

$$\{ p\text{-adic representations over } \mathbb{Q}_p \} \longleftrightarrow \{ \text{étale } (\varphi, \Gamma)\text{-modules over } \mathbf{B}_{\text{rig}, K}^\dagger \}.$$

We denote the corresponding functor by D_{rig}^\dagger .

Remark. Both of \mathbf{B}_K and $\mathbf{B}_{\text{rig}, K}^\dagger$ contain \mathbf{B}_K^\dagger , but neither of them is contained in the other. So it is really necessary to consider overconvergent (φ, Γ) -modules if we want to relate p -adic representations with $\mathbf{B}_{\text{rig}, K}^\dagger$.

4. APPLICATIONS

4.1. p -adic Hodge Theory: Computing $D_{\text{cris}}(V)$ and $D_{\text{st}}(V)$ from $D_{\text{rig}, K}^\dagger(V)$.

After extending scalars to $\mathbf{B}_{\text{rig}, K}^\dagger$ there is a very natural way to compute D_{cris} and D_{st} directly from the (φ, Γ) -module. Let $t = \log(1 + X) \in \mathbf{B}_{\text{rig}, K}^\dagger$; the point is that this element is a period for the cyclotomic character, i.e. $\gamma(t) = \chi(\gamma)(t)$ for $\gamma \in \Gamma_{\mathbb{Q}_p}$, just like a similar element lying in \mathbf{B}_{cris} . Note that t does not lie in \mathbf{A}_F or even in $\mathbf{A}_F[1/p]$, so it really is necessary to work with the Robba ring to have this element.

Let $\mathbf{B}_{\log, K}^\dagger = \mathbf{B}_{\text{rig}, K}^\dagger[\log(X)]$ with the following actions on $\log(X)$:

$$\varphi(\log(X)) = p \log(X) + \log(\varphi(X)/X^p) \quad \text{and} \quad \gamma(\log(X)) = \log(X) + \log(\gamma(X)/X) \quad \text{for } \gamma \in \Gamma_K.$$

We also define a monodromy map N on $\mathbf{B}_{\text{rig}, K}^\dagger[\log(X)]$ by $N = -p/(p-1) \cdot d/d\log(X)$. The following theorem is due to Berger ([Be3]).

Theorem 4.1. *Let V be a p -adic representation over \mathbb{Q}_p . Then $D_{\text{cris}}(V) = \left(D_{\text{rig}}^\dagger(V)[1/t]\right)^{\Gamma_K}$ and $D_{\text{st}}(V) = \left(D_{\log}^\dagger(V)[1/t]\right)^{\Gamma_K}$.*

4.2. Trianguline Representations.

For this section we will still be working with (φ, Γ) -modules over $\mathbf{B}_{\text{rig}, K}^\dagger$.

Although p -adic representations correspond only to those (φ, Γ) -modules which are étale, it is very useful to consider the larger category of all (φ, Γ) -modules. Even if a p -adic representation is irreducible, its corresponding étale (φ, Γ) -module may not be irreducible in the category of all (φ, Γ) -modules. This point of view is illustrated in the following definition.

Definition 4.1. Let V be a p -adic representation over \mathbb{Q}_p .

1. We say that V is *split trianguline* if $\mathbf{B}_{\text{rig}, K}^\dagger(V)$ is a successive extension of rank 1 (φ, Γ) -modules.
2. We say that V is *trianguline* if it is split trianguline after a finite extension of its coefficients.

Two important examples are the following.

Example 4.1. ([Co]) Semistable representations of $G_{\mathbb{Q}_p}$ are trianguline.

Example 4.2. ([Co, Ki]) Representations of $G_{\mathbb{Q}_p}$ which arise from overconvergent p -adic modular forms are trianguline.

Here is an explicit example of such a representation and its corresponding extension of rank 1 modules.

Example 4.3. ([Co, §4.5]) Consider the level 1, weight 12 modular eigenform $\Delta(z) = q \prod_{n=1}^{\infty} (1 - q^n)^{24}$. Let y be a solution of the equation $y^2 - a_p y + p^{11} = 0$, and consider the characters $\lambda_1, \lambda_2 : \mathbb{Q}_p^\times \rightarrow \mathbb{Q}_p^\times$ defined by $\lambda_1(p^k u) = y^k$ and $\lambda_2(p^k u) = y^{-k} u^{11}$. Then we have the exact sequence

$$0 \rightarrow \mathbf{B}_{\text{rig}, \mathbb{Q}_p}^\dagger(\lambda_1) \rightarrow D_{\text{rig}}^\dagger(V_p(\Delta)^*) \rightarrow \mathbf{B}_{\text{rig}, \mathbb{Q}_p}^\dagger(\lambda_2) \rightarrow 0$$

describing $D_{\text{rig}}^\dagger(V_p(\Delta)^*)$ as an extension of two rank 1 (φ, Γ) -modules.¹

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¹The extension type is also known but we will not describe it here.