

AUTOMORPHISMS OF SUPERSINGULAR $K3$ SURFACES AND SALEM POLYNOMIALS

ICHIRO SHIMADA

Dedicated to Professor Tetsuji Shioda on the occasion of his 75th birthday

ABSTRACT. We present a method to generate many automorphisms of a supersingular $K3$ surface in odd characteristic. As an application, we show that, if p is an odd prime less than or equal to 7919, then every supersingular $K3$ surface in characteristic p has an automorphism whose characteristic polynomial on the Néron–Severi lattice is a Salem polynomial of degree 22. For a supersingular $K3$ surface with Artin invariant 10, the same holds for odd primes less than or equal to 17389.

1. INTRODUCTION

An irreducible monic polynomial $\phi(t) \in \mathbb{Z}[t]$ of even degree $2d > 0$ is called a *Salem polynomial* if $\phi(t)$ is reciprocal, $\phi(t) = 0$ has two positive real roots, and the other $2d - 2$ complex roots are located on $\{z \in \mathbb{C} \mid |z| = 1\} \setminus \{\pm 1\}$.

The notion of Salem polynomials plays an important role in the study of dynamics of automorphisms of algebraic varieties. We have the following fundamental theorem due to McMullen [10]. See also [6] and [4, Proposition 3.1].

Theorem 1.1 ([10]). *Let g be an automorphism of an algebraic $K3$ surface X defined over an algebraically closed field. Then the characteristic polynomial of the action of g on the Néron–Severi lattice S_X of X is a product of cyclotomic polynomials and at most one Salem polynomial counting with multiplicities.*

A $K3$ surface X defined over an algebraically closed field k of characteristic $p > 0$ is said to be *supersingular* if the rank of its Néron–Severi lattice S_X is 22. We say that an automorphism g of a supersingular $K3$ surface X is of *irreducible Salem type* if the characteristic polynomial of the action of g on S_X is a Salem polynomial of degree 22.

The purpose of this note is to report the following theorems, which are the results of computer-aided experiments. By a *double plane involution* of a $K3$ surface X in characteristic not equal to 2, we mean an automorphism of X of order 2 induced by the Galois transformation of a generically finite morphism $X \rightarrow \mathbb{P}^2$ of degree 2.

Theorem 1.2. *Let p be an odd prime less than or equal to 7919. Then every supersingular $K3$ surface X in characteristic p has a sequence of double plane involutions τ_1, \dots, τ_l of length at most 22 such that their product $\tau_1 \cdots \tau_l$ is an automorphism of irreducible Salem type.*

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Let X be a supersingular $K3$ surface in characteristic $p > 0$, and let S_X^\vee denote the *dual lattice* $\text{Hom}(S_X, \mathbb{Z})$ of S_X , into which S_X is embedded as a submodule of finite index by the intersection form of S_X . Artin [1] showed that the discriminant group S_X^\vee/S_X of S_X is isomorphic to $(\mathbb{Z}/p\mathbb{Z})^{2\sigma}$, where σ is a positive integer less than or equal to 10. This integer σ is called the *Artin invariant* of X . By the result of Ogus [12, 13], the supersingular $K3$ surfaces of Artin invariant $\leq \sigma$ defined over an algebraically closed field k constitute a moduli of dimension $\sigma - 1$, and a supersingular $K3$ surface $X(p)$ with Artin invariant 1 is unique up to isomorphism.

For supersingular $K3$ surfaces with Artin invariant $\sigma = 10$ in characteristic p with $11 \leq p \leq 17389$, we found a class of sequences of double plane involutions whose product is *frequently* of irreducible Salem type. (See Section 6 for the detail.) Using this class, we obtain the following theorem:

Theorem 1.3. *Let p be an odd prime less than or equal to 17389. Then every supersingular $K3$ surface X in characteristic p with Artin invariant 10 has a sequence of double plane involutions of length at most 22 such that their product is an automorphism of irreducible Salem type.*

The interest of an automorphism of irreducible Salem type stems from the following observation due to Esnault and Oguiso [4, 5]:

Theorem 1.4 ([4, 5]). *Let g be an automorphism of a supersingular $K3$ surface X . If the characteristic polynomial of the action of g on S_X is irreducible, then the pair (X, g) can never be lifted to characteristic 0.*

Hence we obtain the following corollary.

Corollary 1.5. *Let X be a supersingular $K3$ surface in odd characteristic p with Artin invariant σ . Suppose that $p \leq 7919$ or ($\sigma = 10$ and $p \leq 17389$). Then X has an automorphism g such that the pair (X, g) can never be lifted to characteristic 0.*

Recently, several authors have studied the non-liftability of automorphisms of supersingular $K3$ surfaces by means of Salem polynomials. See [2, 4, 5, 16]. In particular, the existence of a non-liftable automorphism has been established for a supersingular $K3$ surface $X(p)$ in characteristic p with Artin invariant 1, except for the cases $p = 7$ and 13.

Remark 1.6. In [8], the existence of a non-liftable automorphism of $X(p)$ was proved for p large enough by another method.

Our main theorems not only fill the remaining cases $X(7)$ and $X(13)$ for supersingular $K3$ surfaces with Artin invariant 1, but also suggest that this result can be extended to supersingular $K3$ surfaces with arbitrary Artin invariant, at least in odd characteristics. There exists no theoretical significance in the bounds $p \leq 7919$ in Theorem 1.2 and $p \leq 17389$ in Theorem 1.3. We merely stopped our computations at the 1000th prime ($p = 7919$) and the 2000th prime ($p = 17389$).

The main tool of the proof of Theorems 1.2 and 1.3 is the structure theorem of the Néron–Severi lattices of supersingular $K3$ surfaces X due to Rudakov and Shafarevich [14], which states that the isomorphism class of the lattice S_X is uniquely determined by p and the Artin invariant σ of X .

Let X be a supersingular $K3$ surface X in odd characteristic. In this paper, we present a method to generate many matrix representations on S_X of double plane involutions of X . Composing some of these involutions, we obtain an automorphism

of irreducible Salem type. In order to produce double plane involutions, we have to find the nef cone in $S_X \otimes \mathbb{R}$. For this purpose, we introduce a notion of an *ample list of vectors*. (See Section 2 for the definitions.)

The results of the experiments are presented in the author's web page [19].

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2. LATTICES

A *lattice* is a free \mathbb{Z} -module L of finite rank with a nondegenerate symmetric bilinear form $\langle \cdot, \cdot \rangle_L : L \times L \rightarrow \mathbb{Z}$, which we call the *intersection form*. We let the group $O(L)$ of isometries of L act on L from the *right*, and write the action of $g \in O(L)$ on L by $x \mapsto x^g$. A lattice L is *even* if $\langle v, v \rangle_L$ is even for any vector $v \in L$. A lattice L is *hyperbolic* if its rank n is larger than 1 and the real quadratic space $L \otimes \mathbb{R}$ is of signature $(1, n - 1)$.

Let L be an even hyperbolic lattice. The open subset $\{x \in L \otimes \mathbb{R} \mid \langle x, x \rangle_L > 0\}$ of $L \otimes \mathbb{R}$ has two connected components, each of which is called a *positive cone*. We choose a positive cone \mathcal{P}_L , and denote by $O^+(L)$ the stabilizer subgroup of \mathcal{P}_L in $O(L)$. A vector $r \in L$ is called a *(-2)-vector* if $\langle r, r \rangle_L = -2$. Let r be a (-2)-vector. We put

$$(r)^\perp := \{x \in \mathcal{P}_L \mid \langle x, r \rangle_L = 0\},$$

and call it a *(-2)-hyperplane*. The reflection

$$s_r : x \mapsto x + \langle x, r \rangle_L \cdot r$$

in $(r)^\perp$ is an element of $O^+(L)$. We denote by $W(L)$ the subgroup of $O^+(L)$ generated by all the reflections s_r in (-2)-hyperplanes, and call $W(L)$ the *Weyl group* of L . A *standard fundamental domain* of $W(L)$ is the closure in \mathcal{P}_L of a connected component of

$$\mathcal{P}_L \setminus \bigcup_r (r)^\perp,$$

where r ranges through the set of (-2)-vectors. Note that $W(L)$ acts on the set of standard fundamental domains transitively.

Suppose that a basis of an even hyperbolic lattice L and the Gram matrix of the intersection form $\langle \cdot, \cdot \rangle_L$ with respect to this basis are given. We have the following algorithms. See [20, Section 3] for the details.

Algorithm 2.1. Let v be a vector in $\mathcal{P}_L \cap L$. Then, for an integer a and an even integer d , the finite set $\{x \in L \mid \langle x, v \rangle_L = a, \langle x, x \rangle_L = d\}$ can be calculated. In particular, the sets

$$\mathcal{R}(v) := \{r \in L \mid \langle r, v \rangle_L = 0, \langle r, r \rangle_L = -2\}$$

and

$$\mathcal{F}(v) := \{f \in L \mid \langle f, v \rangle_L = 1, \langle f, f \rangle_L = 0\}$$

can be calculated. ■

Algorithm 2.2. Let u and v be vectors in $\mathcal{P}_L \cap L$. Then, for a negative even integer d , the finite set $\{x \in L \mid \langle x, u \rangle_L > 0, \langle x, v \rangle_L < 0, \langle x, x \rangle_L = d\}$ can be calculated. In particular, the set

$$\mathcal{S}(u, v) := \{r \in L \mid \langle r, u \rangle_L > 0, \langle r, v \rangle_L < 0, \langle r, r \rangle_L = -2\}$$

can be calculated. ■

We call an ordered nonempty set

$$\mathbf{a} := [h_0, \rho_1, \dots, \rho_K]$$

of vectors of L an *ample list of vectors* if $h_0 \in \mathcal{P}_L \cap L$ and, for any $r \in \mathcal{R}(h_0)$, there exists a member ρ_i of $\{\rho_1, \dots, \rho_K\}$ such that $\langle r, \rho_i \rangle_L \neq 0$.

Example 2.3. (1) If vectors ρ_1, \dots, ρ_K of L span the linear space $L \otimes \mathbb{Q}$ over \mathbb{Q} , then $[h_0, \rho_1, \dots, \rho_K]$ is an ample list of vectors for any vector $h_0 \in \mathcal{P}_L \cap L$.

(2) If a vector $h_0 \in \mathcal{P}_L \cap L$ satisfies $\mathcal{R}(h_0) = \emptyset$, then the list $[h_0]$ is an ample list of vectors.

(3) If $[h_0, \rho_1, \dots, \rho_K]$ is an ample list of vectors, then $[h_0, \rho_1, \dots, \rho_K, \rho_{K+1}]$ is an ample list of vectors for any $\rho_{K+1} \in L$.

Let $\mathbf{a} = [h_0, \rho_1, \dots, \rho_K]$ be an ample list of vectors. We define $D(\mathbf{a})$ to be the unique standard fundamental domain of $W(L)$ such that

$$\mathbf{a}_\varepsilon := h_0 + \varepsilon \rho_1 + \dots + \varepsilon^K \rho_K$$

is contained in the interior of $D(\mathbf{a})$, where ε is a sufficiently small positive real number. For $x \in \mathcal{P}_L$, we write

$$\langle \mathbf{a}, x \rangle_L > 0$$

if the real vector

$$(\langle h_0, x \rangle_L, \langle \rho_1, x \rangle_L, \dots, \langle \rho_K, x \rangle_L) \in \mathbb{R}^{K+1}$$

is nonzero and its leftmost nonzero entry is positive; that is, $\langle \mathbf{a}_\varepsilon, x \rangle_L \in \mathbb{R}$ is positive for a sufficiently small positive real number ε . For $x_1, x_2 \in \mathcal{P}_L$, we write

$$\langle \mathbf{a}, x_1 \rangle_L > \langle \mathbf{a}, x_2 \rangle_L$$

if $\langle \mathbf{a}, x_1 - x_2 \rangle_L > 0$. We put

$$\mathcal{R}^+(\mathbf{a}) := \{ r \in \mathcal{R}(h_0) \mid \langle \mathbf{a}, r \rangle_L > 0 \}.$$

Note that $\mathcal{R}(h_0)$ is the disjoint union of $\mathcal{R}^+(\mathbf{a})$ and $-\mathcal{R}^+(\mathbf{a})$. Then $D(\mathbf{a})$ is the unique standard fundamental domain of $W(L)$ that contains h_0 and is contained in the region

$$\{ x \in \mathcal{P}_L \mid \langle x, r \rangle_L \geq 0 \text{ for any vector } r \in \mathcal{R}^+(\mathbf{a}) \}.$$

The following lemma is obvious.

Lemma 2.4. *A vector $v \in \mathcal{P}_L \cap L$ is contained in $D(\mathbf{a})$ if and only if $\mathcal{S}(h_0, v) = \emptyset$ and $\langle v, r \rangle_L \geq 0$ for any vector $r \in \mathcal{R}^+(\mathbf{a})$.*

Let d be an even positive integer. Suppose that a vector $v \in \mathcal{P}_L \cap L$ satisfies $\langle v, v \rangle_L = d$. From v , we can find a vector h_v in $D(\mathbf{a}) \cap L$ satisfying $\langle h_v, h_v \rangle_L = d$ by the following method. First we calculate the union

$$\mathcal{S}(h_0, v) \cup \mathcal{R}' = \{r_1, \dots, r_M\},$$

where

$$\mathcal{R}' := \{ r \in \mathcal{R}^+(\mathbf{a}) \mid \langle v, r \rangle_L < 0 \}.$$

Note that we have $\langle v, r_i \rangle_L < 0$ and $\langle \mathbf{a}, r_i \rangle_L > 0$ for each $r_i \in \mathcal{S}(h_0, v) \cup \mathcal{R}'$. Note also that, if a (-2) -vector r satisfies $\langle v, r \rangle_L < 0$ and $\langle \mathbf{a}, r \rangle_L > 0$, then r belongs to $\mathcal{S}(h_0, v) \cup \mathcal{R}'$. We put

$$\mathbf{t}_i := \frac{-1}{\langle v, r_i \rangle_L} (\langle h_0, r_i \rangle_L, \langle \rho_1, r_i \rangle_L, \dots, \langle \rho_K, r_i \rangle_L) \in \mathbb{R}^{K+1}.$$

If $\mathbf{t}_i = \mathbf{t}_j$ holds for some distinct indices i and j , then we choose a random vector $\rho_{K+1} \in L$ and replace \mathbf{a} by a new ample list of vectors

$$[h_0, \rho_1, \dots, \rho_K, \rho_{K+1}].$$

(Note that this replacement of \mathbf{a} does not change $D(\mathbf{a})$.) Repeating this process, we can assume that $\mathbf{t}_1, \dots, \mathbf{t}_M$ are distinct. We sort the vectors r_1, \dots, r_M of $\mathcal{S}(h_0, v) \cup \mathcal{R}'$ in such a way that, if $i > j$, then the leftmost nonzero entry of $\mathbf{t}_i - \mathbf{t}_j$ is positive. Consider the half-line ℓ in \mathcal{P}_L given by

$$\mathbf{a}_\varepsilon + tv \quad (t \in \mathbb{R}_{\geq 0}),$$

where ε is a sufficiently small positive real number. Then ℓ is not contained in any (-2) -hyperplane, the (-2) -hyperplanes $(r_1)^\perp, \dots, (r_M)^\perp$ intersect ℓ at distinct points, and any (-2) -hyperplane intersecting ℓ is one of $(r_1)^\perp, \dots, (r_M)^\perp$. Moreover, the values t_i of the parameter t of ℓ at which ℓ intersects $(r_i)^\perp$ satisfy

$$t_1 > \dots > t_M > 0,$$

because, if $\mathbf{t}_i = (t_{i,0}, t_{i,1}, \dots, t_{i,K}) \in \mathbb{R}^{K+1}$, then we have

$$t_i = t_{i,0} + \varepsilon t_{i,1} + \dots + \varepsilon^K t_{i,K}.$$

Therefore, if we denote by $s_i \in W(L)$ the reflection in $(r_i)^\perp$, then the vector

$$(2.1) \quad h_v := v^{s_1 \dots s_M}$$

belongs to $D(\mathbf{a}) \cap L$.

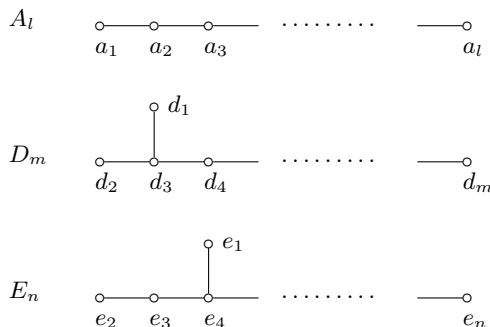
3. POLARIZATIONS OF DEGREE 2

Let X be a $K3$ surface defined over an algebraically closed field k of characteristic not equal to 2, and let S_X denote the Néron–Severi lattice of X with the intersection form $\langle \cdot, \cdot \rangle_S$. Suppose that $\text{rank } S_X$ is larger than 1. Then S_X is an even hyperbolic lattice. We let the automorphism group $\text{Aut}(X)$ act on X from the left and act on S_X from the right by the pull-back. Let $\mathcal{P}(X)$ denote the positive cone of S_X that contains an ample class. We put

$$N(X) := \{ x \in \mathcal{P}(X) \mid \langle x, [C] \rangle_S \geq 0 \text{ for any curve } C \subset X \},$$

where $[C] \in S_X$ is the class of a curve C on X . It is well known that $N(X)$ is a standard fundamental domain of the Weyl group $W(S_X)$. A vector $h \in S_X$ with $\langle h, h \rangle_S = 2$ is called a *polarization of degree 2* if the complete linear system $|\mathcal{L}_h|$ of a line bundle $\mathcal{L}_h \rightarrow X$ whose class is h is fixed-component free. By [11], we have the following criterion.

Proposition 3.1. *A vector $h \in S_X$ with $\langle h, h \rangle_S = 2$ is a polarization of degree 2 if and only if $h \in N(X)$ and $\mathcal{F}(h) = \emptyset$.*

FIGURE 3.1. Indecomposable ADE -configurations

Suppose that $h \in S_X$ is a polarization of degree 2. Then, by [15], the complete linear system $|\mathcal{L}_h|$ is base-point free, and hence defines a generically finite morphism $\Phi_h : X \rightarrow \mathbb{P}^2$ of degree 2. Let

$$X \xrightarrow{\psi_h} Y_h \xrightarrow{\pi_h} \mathbb{P}^2$$

be the Stein factorization of Φ_h , and let $B_h \subset \mathbb{P}^2$ be the branch curve of the double covering π_h . Then $\psi_h : X \rightarrow Y_h$ is a contraction of smooth rational curves, and B_h is a curve of degree 6 with only simple singularities. For each singular point P of B_h , the curves contracted to P by Φ_h form an indecomposable ADE -configuration of smooth rational curves. We put

$$\mathcal{E}_P(h) := \{ [C] \mid C \text{ is a smooth rational curve on } X \text{ contracted to } P \text{ by } \Phi_h \},$$

and label the elements of $\mathcal{E}_P(h)$ in such a way that their dual graph is indicated in Figure 3.1.

We denote by $\tau(h) \in \text{Aut}(X)$ the involution of X induced by the Galois transformation of the double covering π_h , and call it a *double plane involution*. Suppose that a basis of S_X and the Gram matrix of $\langle \cdot, \cdot \rangle_S$ with respect to this basis are given. Suppose also that we have an ample list of vectors \mathbf{a} such that

$$D(\mathbf{a}) = N(X)$$

holds. Then we can calculate the matrix representation $M(h)$ of the action of $\tau(h)$ on S_X by the following method. It is well known that there exists a successive blowing up $\beta_h : F_h \rightarrow \mathbb{P}^2$ of \mathbb{P}^2 at (possibly infinitely near) points of the singular locus of B_h such that Φ_h factors as

$$X \xrightarrow{q_h} F_h \xrightarrow{\beta_h} \mathbb{P}^2,$$

where q_h is the quotient morphism by $\tau(h)$. Let S_F denote the Néron–Severi lattice of the smooth rational surface F_h . Then the pull-back q_h^* by q_h identifies $S_F \otimes \mathbb{Q}$ with the eigenspace of $\tau(h)$ in $S_X \otimes \mathbb{Q}$ with eigenvalue 1, and hence $\tau(h)$ acts on the orthogonal complement of $q_h^* S_F \otimes \mathbb{Q}$ in $S_X \otimes \mathbb{Q}$ as the scalar multiplication by -1 . On the other hand, the subspace $q_h^* S_F \otimes \mathbb{Q}$ is generated by h and the vectors of the form $r + r^{\tau(h)}$, where $r \in \mathcal{E}_P(h)$ and $P \in \text{Sing}(B_h)$. The action of $\tau(h)$ on $\mathcal{E}_P(h)$ is as follows:

- If P is of type A_l , then $a_i^{\tau(h)} = a_{l+1-i}$ for $i = 1, \dots, l$.
- If P is of type D_{2k} , then $\tau(h)$ acts on $\mathcal{E}_P(h)$ as the identity.
- If P is of type D_{2k+1} , then $d_1^{\tau(h)} = d_2$, $d_2^{\tau(h)} = d_1$, and $d_i^{\tau(h)} = d_i$ for $i = 3, \dots, 2k+1$.
- If P is of type E_6 , then $e_1^{\tau(h)} = e_1$, and $e_i^{\tau(h)} = e_{8-i}$ for $i = 2, \dots, 6$.
- If P is of type E_7 or E_8 , then $\tau(h)$ acts on $\mathcal{E}_P(h)$ as the identity.

Hence, in order to calculate the matrix representation $M(h)$ of $\tau(h)$ on S_X , it is enough to calculate the sets $\mathcal{E}_P(h)$.

We put

$$\mathcal{E}(h) := \bigcup_{P \in \text{Sing}(B_h)} \mathcal{E}_P(h).$$

First we calculate the finite set

$$\mathcal{R}^+(h) := \{ r \in \mathcal{R}(h) \mid \langle \mathbf{a}, r \rangle_S > 0 \}.$$

Note that, since $D(\mathbf{a})$ is equal to $N(X)$ and any $r \in \mathcal{E}(h)$ is the class of a curve, we have $\langle \mathbf{a}, r \rangle_S > 0$ for any vector $r \in \mathcal{E}(h)$. Moreover, any vector $r' \in \mathcal{R}^+(h)$ is the class of an effective divisor, each irreducible component of which is a smooth rational curve contracted by Φ_h . Therefore, we have $\mathcal{E}(h) \subset \mathcal{R}^+(h)$. Moreover, a vector $r' \in \mathcal{R}^+(h)$ is a linear combination with nonnegative integer coefficients of vectors in $\mathcal{E}(h)$. Consequently, a vector $r' \in \mathcal{R}^+(h)$ does *not* belong to $\mathcal{E}(h)$ if and only if r' can be written as a linear combination with nonnegative integer coefficients of vectors r'' in $\mathcal{R}^+(h)$ satisfying $\langle \mathbf{a}, r'' \rangle_S < \langle \mathbf{a}, r' \rangle_S$. Thus, starting from the vector r_0 of $\mathcal{R}^+(h)$ with the smallest $\langle \mathbf{a}, r_0 \rangle_S$, we can successively detect the elements of $\mathcal{E}(h)$ in $\mathcal{R}^+(h)$. We connect two distinct elements r, r' of $\mathcal{E}(h)$ by an edge if and only if $\langle r, r' \rangle_S = 1$. Then the vertices of each connected component of $\mathcal{E}(h)$ form the set $\mathcal{E}_P(h)$.

Remark 3.2. This method of calculating the action of $\tau(h)$ on S_X was also used in finding a finite set of generators of $\text{Aut}(X)$ by Borcherds method in [9] and [18], and in the study of projective models of the supersingular $K3$ surface $X(5)$ in characteristic 5 with Artin invariant 1 in [20].

4. NÉRON–SEVERI LATTICES OF SUPERSINGULAR $K3$ SURFACES

Rudakov and Shafarevich [14] proved the following theorems. For the proof of Theorem 4.1, see also [3, Chapter 15].

Theorem 4.1. *Let p be an odd prime, and let σ be a positive integer less than or equal to 10. Then there exists a lattice $\Lambda_{p,\sigma}^-$, unique up to isomorphism, with the following properties. (i) $\Lambda_{p,\sigma}^-$ is an even hyperbolic lattice of rank 22. (ii) The discriminant group $(\Lambda_{p,\sigma}^-)^\vee / \Lambda_{p,\sigma}^-$ of $\Lambda_{p,\sigma}^-$ is isomorphic to $(\mathbb{Z}/p\mathbb{Z})^{2\sigma}$.*

Theorem 4.2. *Let X be a supersingular $K3$ surface in odd characteristic p with Artin invariant σ . Then its Néron–Severi lattice S_X is isomorphic to $\Lambda_{p,\sigma}^-$.*

An explicit method of constructing $\Lambda_{p,\sigma}^-$ is also given in [14] (see also [17]). We use the following construction, which is slightly different from the one given in [14]. The ingredients of the construction are the following lattices.

(i) Let U and $U^{(p)}$ be the even hyperbolic lattices of rank 2 with the Gram matrices

$$(4.1) \quad \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} \quad \text{and} \quad \begin{bmatrix} 0 & p \\ p & 0 \end{bmatrix},$$

respectively.

(ii) Let q be a prime satisfying

$$q \equiv 3 \pmod{8} \quad \text{and} \quad \left(\frac{-q}{p} \right) = -1,$$

and let γ be an integer satisfying $\gamma^2 + p \equiv 0 \pmod{q}$. Let $H^{(-p)}$ be the even *negative* definite lattice of rank 4 with the Gram matrix

$$(-1) \begin{bmatrix} 2 & 1 & 0 & 0 \\ 1 & (q+1)/2 & 0 & \gamma \\ 0 & 0 & p(q+1)/2 & p \\ 0 & \gamma & p & 2(p+\gamma^2)/q \end{bmatrix}.$$

Then the discriminant group of $H^{(-p)}$ is isomorphic to $(\mathbb{Z}/p\mathbb{Z})^2$. See [7] and [17].

(iii) Let E_8 denote the root lattice of type E_8 , which is an even unimodular positive definite lattice of rank 8. Then E_8 has a *standard basis* e_1, \dots, e_8 , whose dual graph is given in Figure 3.1. Let $E_8^{(-1)}$ be the lattice obtained from E_8 by multiplying the intersection form by -1 , and let $E_8^{(-p)}$ be the lattice obtained from $E_8^{(-1)}$ by multiplying the intersection form by p . Then the discriminant group of $E_8^{(-p)}$ is isomorphic to $(\mathbb{Z}/p\mathbb{Z})^8$.

Then $\Lambda_{p,\sigma}^-$ is isomorphic to the following lattices:

$$\begin{array}{ll} U \oplus H^{(-p)} \oplus E_8^{(-1)} \oplus E_8^{(-1)} & \text{if } \sigma = 1, \\ U^{(p)} \oplus H^{(-p)} \oplus E_8^{(-1)} \oplus E_8^{(-1)} & \text{if } \sigma = 2, \\ U \oplus H^{(-p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus E_8^{(-1)} & \text{if } \sigma = 3, \\ U^{(p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus E_8^{(-1)} & \text{if } \sigma = 4, \\ U \oplus H^{(-p)} \oplus E_8^{(-1)} \oplus E_8^{(-p)} & \text{if } \sigma = 5, \\ U^{(p)} \oplus H^{(-p)} \oplus E_8^{(-1)} \oplus E_8^{(-p)} & \text{if } \sigma = 6, \\ U \oplus H^{(-p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus E_8^{(-p)} & \text{if } \sigma = 7, \\ U^{(p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus H^{(-p)} \oplus E_8^{(-p)} & \text{if } \sigma = 8, \\ U \oplus H^{(-p)} \oplus E_8^{(-p)} \oplus E_8^{(-p)} & \text{if } \sigma = 9, \\ U^{(p)} \oplus H^{(-p)} \oplus E_8^{(-p)} \oplus E_8^{(-p)} & \text{if } \sigma = 10. \end{array}$$

Let $\langle \cdot, \cdot \rangle_\Lambda$ denote the intersection form of $\Lambda_{p,\sigma}^-$. Note that $\Lambda_{p,\sigma}^-$ has the form of the orthogonal direct sum

$$U' \oplus N,$$

where U' is U or $U^{(p)}$ according to the parity of σ , and N is an even negative definite lattice with the intersection form $\langle \cdot, \cdot \rangle_N$. We put

$$p' := \begin{cases} 1 & \text{if } U' \text{ is } U, \\ p & \text{if } U' \text{ is } U^{(p)}. \end{cases}$$

We choose a vector $n \in N$ randomly. If $2 - \langle n, n \rangle_N$ is divisible by $2p'$, then we can find a vector $u \in U'$ such that $v := u + n \in \Lambda_{p,\sigma}^-$ satisfies $\langle v, v \rangle_\Lambda = 2$. By this method, we can generate many vectors of $\Lambda_{p,\sigma}^-$ with square-norm 2.

5. GENERATING DOUBLE PLANE INVOLUTIONS

We fix an odd prime p and a positive integer σ less than or equal to 10. Let X be a supersingular $K3$ surface in characteristic p with Artin invariant σ . We make a set \mathcal{M} of matrix representations on S_X of double plane involutions $\tau(h) \in \text{Aut}(X)$ associated with polarizations $h \in S_X$ of degree 2.

- (0) We set $\mathcal{M} = \{\}$.
- (1) We construct a Gram matrix of the lattice $\Lambda_{p,\sigma}^-$ by the result in Section 4.
- (2) We find a vector $h_0 \in \Lambda_{p,\sigma}^-$ such that $\langle h_0, h_0 \rangle_\Lambda > 0$. Let \mathcal{P}_Λ be the positive cone of $\Lambda_{p,\sigma}^-$ containing h_0 .
- (3) We calculate $\mathcal{R}(h_0)$, and choose an ample list of vectors

$$\mathbf{a} := [h_0, \rho_1, \dots, \rho_K].$$

- (4) By Theorem 4.2, there exists an isomorphism $\iota : \Lambda_{p,\sigma}^- \xrightarrow{\sim} S_X$ of lattices. Multiplying ι by -1 if necessary, we can assume that ι maps \mathcal{P}_Λ to $\mathcal{P}(X)$. Composing ι with an element of $W(S_X)$ if necessary, we can further assume that ι maps $D(\mathbf{a})$ to $N(X)$. From now on, we identify $\Lambda_{p,\sigma}^-$ with S_X , and $D(\mathbf{a})$ with $N(X)$ by the isometry ι .
- (5) We make a finite set \mathcal{V} of vectors $v \in \Lambda_{p,\sigma}^-$ with $\langle v, v \rangle_\Lambda = 2$ by the method described in Section 4.
- (6) For each $v \in \mathcal{V}$, we execute the following calculations.
 - (6-1) If $\langle v, h_0 \rangle_\Lambda < 0$, then we replace v with $-v$, so that we can assume that $v \in \mathcal{P}_\Lambda$.
 - (6-2) We calculate $\mathcal{F}(v)$. If $\mathcal{F}(v) \neq \emptyset$, we proceed to the next element of \mathcal{V} . If $\mathcal{F}(v) = \emptyset$, we go to Step (6-3).
 - (6-3) From v , we construct the vector $h_v \in \Lambda_{p,\sigma}^-$ with $\langle h_v, h_v \rangle_\Lambda = 2$ that belongs to $D(\mathbf{a})$ by the method described in Section 2. Since h_v and v are related by (2.1), we have $\mathcal{F}(h_v) = \emptyset$. By the identification of $D(\mathbf{a})$ with $N(X)$, we see that h_v is nef. Therefore, by Proposition 3.1, we see that h_v is a polarization of degree 2.
 - (6-4) We then calculate the matrix representation $M(h_v)$ of the double plane involution $\tau(h_v) \in \text{Aut}(X)$ by the method described in Section 3, and append $M(h_v)$ to \mathcal{M} .

Once we make a sufficiently large set

$$\mathcal{M} = \{M(h_1), \dots, M(h_N)\}$$

of 22×22 matrices representing the action of double plane involutions of X on S_X , we make a product

$$M := M(h_{i_1}) \cdots M(h_{i_\nu})$$

of randomly chosen elements of \mathcal{M} , and calculate its characteristic polynomial $\phi_M(t)$. By Theorem 1.1, if $\phi_M(t)$ is irreducible in $\mathbb{Z}[t]$ and not equal to the cyclotomic polynomial $(t^{23} - 1)/(t - 1)$, then $\phi_M(t)$ is a Salem polynomial.

By this method, we confirm that, if p is an odd prime ≤ 7919 , then $\text{Aut}(X)$ contains an automorphism of irreducible Salem type that is a product of at most 22 double plane involutions.

Remark 5.1. Let e_1, \dots, e_{22} be a basis of $\Lambda_{p,\sigma}^-$, and let $e_1^\vee, \dots, e_{22}^\vee$ be the dual basis. Note that $pe_i^\vee \in \Lambda_{p,\sigma}^-$ holds for $i = 1, \dots, 22$. Hence, in Step (3), we can choose $[h_0, pe_1^\vee, \dots, pe_{22}^\vee]$ as an ample list of vectors.

6. SUPERSINGULAR $K3$ SURFACES WITH ARTIN INVARIANT 10

We consider a supersingular $K3$ surface X in characteristic $p \geq 11$ with Artin invariant 10. We have

$$\Lambda_{p,10}^- = U^{(p)} \oplus H^{(-p)} \oplus E_8^{(-p)} \oplus E_8^{(-p)}.$$

Let u_1, u_2 be the basis of $U^{(p)}$ with the Gram matrix (4.1), and let e_1, \dots, e_8 (resp. e'_1, \dots, e'_8) be the standard basis of the first $E_8^{(-p)}$ (resp. the second $E_8^{(-p)}$). In particular, each e_ν or e'_ν is of square-norm $-2p$. For $v \in H^{(-p)}$ and $a \in \mathbb{Z}$, we denote by

$$(a, 1, v) \in U^{(p)} \oplus H^{(-p)}$$

the vector $au_1 + u_2 + v$. Then the square-norm of $(a, 1, v)$ is $2pa + \langle v, v \rangle_H$, where $\langle \cdot, \cdot \rangle_H$ is the intersection form of $H^{(-p)}$. Note that, if $(a, 1, v) \in U^{(p)} \oplus H^{(-p)}$ is of square-norm 2, then the vectors $(a+1, 1, v) + e_\nu$ and $(a+1, 1, v) + e'_\nu$ of $\Lambda_{p,10}^-$ are also of square-norm 2 for $\nu = 1, \dots, 8$.

For p with $11 \leq p \leq 17389$, we have found six vectors $v_k \in H^{(-p)}$ and six positive integers $a_k \in \mathbb{Z}$ with the following properties (i)–(v).

- (i) The vector $h_k := (a_k, 1, v_k)$ is of square-norm 2 for $k = 1, \dots, 6$.

We put

$$h_{6+\nu} := (a_k + 1, 1, v_k) + e_\nu, \quad h_{14+\nu} := (a_k + 1, 1, v_k) + e'_\nu,$$

for $\nu = 1, \dots, 8$. Then h_7, \dots, h_{22} are also of square-norm 2.

- (ii) $\langle h_1, h_i \rangle_\Lambda > 0$ for $i = 2, \dots, 22$.
- (iii) $\mathcal{S}(h_1, h_i) = \emptyset$ for $i = 2, \dots, 22$.
- (iv) $\mathcal{R}(h_i) = \emptyset$ and $\mathcal{F}(h_i) = \emptyset$ for $i = 1, \dots, 22$.

Since $R(h_1) = \emptyset$, there exists a unique standard fundamental domain $D([h_1])$ of the Weyl group $W(\Lambda_{p,\sigma}^-)$ that contains h_1 in its interior. Since $\mathcal{S}(h_1, h_i) = \emptyset$ for $i = 2, \dots, 22$, we see that h_1, \dots, h_{22} are also contained in $D([h_1])$. Hence, under a suitable isometry $\Lambda_{p,10}^- \xrightarrow{\sim} S_X$, we can assume that each h_i is a nef vector in S_X . Since $\mathcal{F}(h_i) = \emptyset$ for $i = 1, \dots, 22$, we see that each h_i is a polarization of degree 2 on X . Moreover, since $\mathcal{R}(h_i) = \emptyset$, the branch curve $B_{h_i} \subset \mathbb{P}^2$ of the double plane involution $\tau(h_i)$ is smooth. Hence $\tau(h_i)$ acts on h_i trivially, and on the orthogonal complement of h_i as the multiplication by -1 .

- (v) The product $g := \tau(h_1) \cdots \tau(h_{22})$ is of irreducible Salem type.

This observation and a computer-aided calculation give the proof of Theorem 1.3.

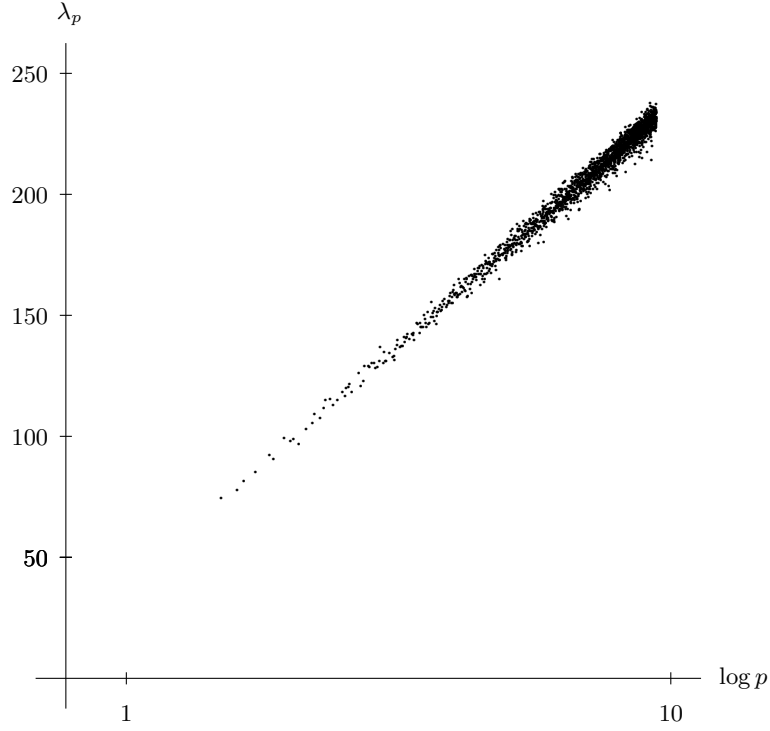


FIGURE 6.1. Growth of the entropy

which is of square-norm 2. The set $\mathcal{R}(h_0)$ consists of 486 vectors. The list

$$\mathbf{a} := [h_0, 7\mathbf{e}_1^\vee, \dots, 7\mathbf{e}_{22}^\vee]$$

is an ample list of vectors. We identify $\Lambda_{7,1}^-$ with $S_{X(7)}$ by an isometry $\Lambda_{7,1}^- \xrightarrow{\sim} S_{X(7)}$ that maps $D(\mathbf{a})$ to $N(X(7))$. (Since $\mathcal{F}(h_0) \neq \emptyset$, the vector h_0 is *not* a polarization of degree 2.)

We consider the three vectors

$$h_1 := [5, 5, -2, 3, 2, -11, -12, -8, -16, -24, -20, -15, -10, \\ -5, -8, -5, -10, -15, -12, -9, -6, -3],$$

$$h_2 := [5, 5, -1, 0, 0, -2, -13, -9, -17, -25, -20, -15, -10, \\ -5, -11, -7, -14, -21, -17, -13, -9, -5],$$

$$h_3 := [3, 6, -2, 2, 2, -9, -5, -4, -7, -10, -8, -6, -4, -2, 0, 0, 0, 0, 0, 0, 0],$$

of square-norm 2. By means of Lemma 2.4, we can confirm that h_1, h_2, h_3 are located in $D(\mathbf{a}) = N(X(7))$. Moreover we have $\mathcal{F}(h_1) = \mathcal{F}(h_2) = \mathcal{F}(h_3) = \emptyset$. Hence these h_i are polarizations of degree 2, and induce double plane involutions $\tau(h_i)$. The type of the singularities of the branch curve B_{h_i} is

$$A_4 + A_5 + A_7, \quad 2A_1 + A_7 + A_9, \quad A_2 + D_7 + E_8,$$

respectively. The matrix representations $M(h_i)$ of $\tau(h_i)$ on $S_{X(7)}$ are given in Figures 7.1–7.3. (Recall that $O(S_X)$ acts on S_X from the right. Hence $M(h_i)$

24	24	-10	15	10	-55	-57	-38	-76	-114	-95	-71	-48	-24	-40	-25	-50	-75	-60	-45	-30	-15
24	24	-10	15	10	-55	-57	-38	-76	-114	-95	-72	-48	-24	-40	-25	-50	-75	-60	-45	-30	-15
5	5	-3	3	2	-11	-12	-8	-16	-24	-20	-15	-10	-5	-8	-5	-10	-15	-12	-9	-6	-3
30	30	-12	17	12	-66	-72	-48	-96	-144	-120	-90	-60	-30	-48	-30	-60	-90	-72	-54	-36	-18
-35	-35	14	-21	-15	77	84	56	112	168	140	105	70	35	56	35	70	105	84	63	42	21
10	10	-4	6	4	-23	-24	-16	-32	-48	-40	-30	-20	-10	-16	-10	-20	-30	-24	-18	-12	-6
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
4	5	-2	3	2	-11	-10	-7	-14	-20	-16	-12	-8	-4	-8	-5	-10	-15	-12	-9	-6	-3
1	-1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	1	0	0	0	0	-3	-2	-4	-6	-5	-4	-3	-2	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0
5	5	-2	3	2	-11	-12	-8	-16	-24	-20	-15	-10	-5	-9	-6	-12	-18	-15	-12	-8	-4
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0

FIGURE 7.1. $M(h_1)$

6	6	0	0	0	-3	-15	-10	-20	-29	-24	-18	-12	-6	-12	-8	-16	-24	-20	-16	-12	-6
6	6	0	0	0	-3	-15	-10	-20	-30	-24	-18	-12	-6	-12	-8	-16	-24	-20	-16	-12	-6
0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
6	6	1	-1	0	-2	-16	-10	-20	-30	-24	-18	-12	-6	-12	-8	-16	-24	-20	-16	-12	-6
21	21	0	0	-1	-7	-56	-35	-70	-105	-84	-63	-42	-21	-42	-28	-56	-84	-70	-56	-42	-21
6	6	0	0	0	-3	-16	-10	-20	-30	-24	-18	-12	-6	-12	-8	-16	-24	-20	-16	-12	-6
0	1	0	0	0	-1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
0	1	0	0	0	0	0	0	0	0	0	0	0	0	-3	-2	-4	-6	-5	-4	-3	-2
1	-1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	1	0	0	0	0	-3	-2	-4	-6	-5	-4	-3	-2	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
2	2	0	0	0	-1	-5	-4	-7	-10	-8	-6	-4	-2	-5	-4	-7	-10	-8	-6	-4	-2
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0

FIGURE 7.2. $M(h_2)$

14	27	-9	9	9	-42	-30	-24	-42	-60	-48	-36	-24	-12	0	0	0	0	0	0	0	0	0
8	14	-5	5	5	-23	-15	-12	-21	-30	-24	-18	-12	-6	0	0	0	0	0	0	0	0	0
5	9	-4	3	3	-14	-10	-8	-14	-20	-16	-12	-8	-4	0	0	0	0	0	0	0	0	0
21	39	-13	12	13	-60	-40	-32	-56	-80	-64	-48	-32	-16	0	0	0	0	0	0	0	0	0
-49	-84	28	-28	-29	133	105	84	147	210	168	126	84	42	0	0	0	0	0	0	0	0	0
1	3	-1	1	1	-5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
3	6	-2	2	2	-9	-8	-5	-10	-15	-12	-9	-6	-3	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1

FIGURE 7.3. $M(h_3)$

satisfies $M(h_i) \cdot G_\Lambda \cdot {}^tM(h_i) = G_\Lambda$, where G_Λ is the Gram matrix of $\Lambda_{7,1}^-$ with respect to e_1, \dots, e_{22} .) The characteristic polynomial of the product

$$M := M(h_1)M(h_2)M(h_3)$$

is a Salem polynomial

$$\begin{aligned} & t^{22} - 993t^{21} - 1152t^{20} - 123t^{19} + 924t^{18} + 584t^{17} - 500t^{16} - 1022t^{15} \\ & - 661t^{14} + 105t^{13} + 476t^{12} + 878t^{11} + 476t^{10} + 105t^9 - 661t^8 \\ & - 1022t^7 - 500t^6 + 584t^5 + 924t^4 - 123t^3 - 1152t^2 - 993t + 1, \end{aligned}$$

which has a positive real root $994.15889\dots$

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DEPARTMENT OF MATHEMATICS, GRADUATE SCHOOL OF SCIENCE, HIROSHIMA UNIVERSITY, 1-3-1 KAGAMIYAMA, HIGASHI-HIROSHIMA, 739-8526 JAPAN
E-mail address: shimada@math.sci.hiroshima-u.ac.jp