

AMPLE DIVISORS ON GORENSTEIN VARIETIES

by

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Let L be an ample line bundle on a normal irreducible n dimensional complex projective variety X . Assume that L is spanned by global sections at all points of X . Assume further that X is Gorenstein and that the set $\text{Irr}(X)$ of non rational singularities on X is finite. In this paper we give some structure theorems for such pairs (X,L) .

Theorem [(0.4), (0.4.1)] :

Let X and L be as above. Then $K_X \otimes L^n$ is spanned by global sections unless $(X,L) = [\mathbb{P}^n, \mathcal{O}_{\mathbb{P}^n}(1)]$.

If $K_X \otimes L^n$ is spanned at all points and the image of the map associated to $\Gamma(K_X \otimes L^n)$ has dimension $< n$ then either :

a) X is biholomorphic to a quadric \mathcal{Q} in \mathbb{P}^{n+1} and L is isomorphic to the restriction of $\mathcal{O}_{\mathbb{P}^{n+1}}(1)$ to \mathcal{Q} ,

or

b) X is a \mathbb{P}^{n-1} bundle over a curve C , and the restriction of L to a fibre is isomorphic to $\mathcal{O}_{\mathbb{P}^{n-1}}(1)$.

Theorem [(0.5.2), (1.1), (1.2)] :

The following conditions are equivalent for the pair (X,L) :

- a) $K_X \otimes L^{n-1}$ is numerically effective,
- b) the image of the map associated to $\Gamma(K_X \otimes L^n)$ is n dimensional,
- c) there is a $t > 0$ such that $(K_X \otimes L^{n-1})^t$ is spanned by global sections at all points.
- d) $h^0(K_X \otimes L^{n-1}) \neq 0$,
- e) $g(L) \neq h^{1,0}(X)$.

Finally in (1.4) the structure of the map associated to $\Gamma[(K_X \otimes L^{n-1})^t]$ is partially described.

These results are proved by induction on the stronger results [So6] for Gorenstein surfaces. For smooth varieties ([So1], [So2], [So3], [So4], [B+P]) and Gorenstein varieties with milder singularities [(Fa+So)2], [Li+So] stronger results are true. See also [Sa].

In section 2 we prove an unstable version of the preceding results.

Theorem (2.0) :

Let L be an ample and spanned line bundle on a normal irreducible Gorenstein projective variety X of dimension $n \geq 2$ such that $\text{Irr}(X)$ is finite. Assume that the map $\phi : X \rightarrow \mathbb{P}_{\mathbb{C}}$ associated to $\Gamma(L)$ is generically one to one and an immersion off $\text{Sing}(X)$. Then the following are equivalent :

- a) $g(L) \neq h^{1,0}(X)$,
- b) $\Gamma(K_X \otimes L^{n-1})$ spans $K_X \otimes L^{n-1}$ at all points.

For smooth surfaces this result can be found in [So1] and [VdV]. The case of $n \geq 3$ immediately reduces to the case of $n = 2$ (as in [So1, § 3], [So7], and [I]). The proof for $n = 2$ simplifies in the case of a smooth surface to a slight variant of the proof in [So1]. This variant in the smooth case shortens the proof in [So1]; the original proof in [So1] has the virtue of classifying all pairs (X, L) such that L is very ample on X and there is a line $P \subseteq X$ such that a generic $C \in |L|$ with $P \subseteq C$ is of the form $P+R$ where R is disconnected.

In § 3 we give a few simple applications of the above to the classification of embeddings of normal Gorenstein surfaces X in $\mathbb{P}_{\mathbb{C}}$ with the genus of the desingularization of a general hyperplane section ≤ 3 . Results such as this have a long history (see [So1], [I], [Liv], and the very nice recent thesis [S-G]).

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§ 0.- Background Material :

We will follow the notation of [So2 , (Fa+So)2] . One exception is that we will denote the dualizing sheaf of a variety X , by K_X .

If X is a normal variety then $\text{Irr}(X)$, the irrational locus of X , is the set of all non rational singularities of X . The following is an immediate consequence of the usual Kodaira vanishing theorem.

(0.1) Kodaira Vanishing Theorem [(Fa+So)1 , So6] :

Let L be an ample line bundle on an irreducible normal projective variety X . Then $H^p(X, K_X \otimes L) = 0$ for $p > \max(\dim \text{Irr}(X), 0)$.

We need a form of Bertini's Lemma.

(0.2) Lemma [So6] :

Let L be an ample line bundle on a normal irreducible Gorenstein projective variety X of dimension ≥ 3 . Assume that L is spanned by global sections at all points of X . Given any $x \in X$, a generic $A \in |L|$ passing through x is normal, irreducible and Gorenstein. Further if $\dim \text{Irr}(X) \leq 0$ then $\dim \text{Irr}(A) \leq 0$.

We need a slight generalization of a result of Kobayashi and Ochiai . [K+0] .

(0.3) Theorem :

Let X be an irreducible normal projective Gorenstein variety with $\dim \text{Irr}(X) \leq 0$. Let L be an ample line bundle spanned by global sections at all points of X . Assume that $K_X = L^{-t}$. Then $t \leq \dim X + 1$. If $t = \dim X + 1$ then $(X, L) = [P^{t-1}, \mathcal{O}_{P^{t-1}}(1)]$.

If $t = \dim X$ then X is biholomorphic to a quadric Q in P^{t+1} and L is isomorphic to the restriction of $\mathcal{O}_{P^{t+1}}(1)$ to X .

Proof :

The proof follows by the inductive argument of [K+0] using (0.1) and (0.2) instead of the usual Kodaira vanishing and Bertini theorems.

□

By a geometrically ruled surface we mean a pair (S,L) consisting of :

- a) a normal irreducible Gorenstein projective surface S ,
- b) an ample line bundle L on S such that $(K_S \otimes L^2)^n$ is spanned for $n \gg 0$ and the map associated to $\Gamma[(K_S \otimes L^2)^n]$ has a one dimensional image.

Note that, by [So6] this class consists precisely of pairs (S,L) where :

- a) S is a \mathbb{P}^1 bundle over a curve C ,
- b) L is an ample line bundle over S such that $L_F \approx \mathcal{O}_F(1)$ for a fibre F of the bundle,
- c) L is not the degree 1,1 line bundle on $\mathbb{P}^1 \times \mathbb{P}^1$.

Except for the exclusion of c), this is the usual class of geometrically ruled surfaces. Note that $\Gamma[(K_S \otimes L^2)^n]$ gives the ruling on S .

(0.4) Theorem :

Let L be an ample line bundle on an n dimensional normal, irreducible projective variety. Assume that L is spanned by global sections at all points of X and that $\text{Irr}(X)$ is finite. Then $K_X \otimes L^n$ is spanned by global sections at all points of X unless $(X,L) \approx [\mathbb{P}^n, \mathcal{O}_{\mathbb{P}^n}(1)]$.

Proof :

This result is easily seen to be true for $n = 1$ and it is true for $n = 2$ by theorem (3.4) of [So6]. We can thus assume without loss of generality that $n \geq 3$. Assume by induction the theorem is true for dimensions $< n$. For an arbitrary $x \in X$, choose a generic $A \in |L|$ that passes through x .

By lemma (0.2) it follows that A is irreducible normal and Gorenstein and that $\text{Irr}(A)$ is finite. Consider :

$$0 \rightarrow K_X \otimes L^{n-1} \rightarrow K_X \otimes L^n \rightarrow K_A \otimes L^{n-1} \rightarrow 0.$$

By the Kodaira vanishing theorem (0.1) and the induction hypothesis, it follows that $K_X \otimes L^n$ is spanned by global sections at x . Since x was arbitrary this proves the theorem.

□

(0.4.1) Corollary :

Let X and L be as in (0.4) and assume that $K_X \otimes L^n$ is spanned by global sections at all points of X . Let $\phi : X \rightarrow \mathbb{P}_{\mathbb{C}}$ be the map associated to $\Gamma(K_X \otimes L^n)$. If $\dim \phi(X) < n$ then either :

a) X is biholomorphic to a quadric Q in \mathbb{P}^{n+1} and L is isomorphic to the restriction of $\mathcal{O}_{\mathbb{P}^{n+1}}(1)$ to Q ,

or

b) X is a \mathbb{P}^{n+1} bundle over a curve C and the restriction of L to a fibre is isomorphic to $\mathcal{O}_{\mathbb{P}^{n+1}}(1)$.

Proof :

If $\dim \phi(X) = 0$ then $K_X = L^{-n}$ and this follows from (0.3).

If $\dim \phi(X) > 0$ let $s \circ r = \phi$ be the Remmert-Stein factorization of ϕ , i. e. $r : X \rightarrow Y$ is a holomorphic surjection with connected fibres onto a normal variety and $s : Y \rightarrow \mathbb{P}_{\mathbb{C}}$ has finite fibres. Let F be a generic fibre of r . Then F is irreducible, Gorenstein and normal. Further $K_F \approx L^{-n}$. By (0.3) and $\dim \phi(X) > 0$ it follows that $(F, L_F) \approx (\mathbb{P}^{n-1}, \mathcal{O}_{\mathbb{P}^{n-1}})$. The rest of the proof is by standard arguments. □

(0.5) Definition :

\mathcal{R} is the set of all pairs (X, L) such that :

- a) X is an irreducible normal Gorenstein projective variety,
- b) L is an ample line bundle on X spanned by global sections at all points of X ,
- c) given some irreducible normal Gorenstein n fold $A \in |L|$ with $n \geq 2$, $(A, L_A) \in \mathcal{R}$,
- d) \mathcal{R} contains the geometrically ruled surfaces, $[\mathbb{P}^2, \mathcal{O}_{\mathbb{P}^2}(1)]$, and the 2 dimensional irreducible Gorenstein quadrics $[Q^2, \mathcal{O}_{\mathbb{Q}^2}(1)]$.

(0.5.1) Theorem :

Let $(X, L) \in \mathcal{R}$ with $\dim X = n \geq 2$. Then either :

- a) $(X, L) = [\mathbb{P}^n, \mathcal{O}_{\mathbb{P}^n}(1)]$,

or

b) X is a \mathbb{P}^{n-1} bundle over a curve C and L restricted to any fibre is isomorphic to $\mathcal{O}_{\mathbb{P}^{n-1}}(1)$,

or

c) X is biholomorphic to a quadric Q in \mathbb{P}^{n+1} and L is isomorphic to the restriction of $\mathcal{O}_{\mathbb{P}^{n+1}}(1)$ to Q.

Proof :

Since by the definition of \mathcal{R} this is true when $n = 2$ we can assume by induction that $n \geq 3$ and that the result is true for $n-1$ folds.

Choose the $A \in |L|$ which by (0.5c) is irreducible, normal, and Gorenstein. If $(A, L_A) \approx [\mathbb{P}^{n-1}, \mathcal{O}_{\mathbb{P}^{n-1}}(1)]$ then by the adjunction formula $K_X = L^{-(n+1)}$ and the theorem is true by theorem (0.3). If A is a quadric and $K_A \otimes L_A^{n-1} = \mathcal{O}_A$, then by the adjunction formula $K_X = L^{-n}$ and the theorem is true by (0.3) again. If A is a \mathbb{P}^{n-2} bundle $f : A \rightarrow C$ over a curve C with $L_F \approx \mathcal{O}_F(1)$ for a fiber F of f then $K_A \otimes L_A^{n-1}$ is trivial on F. Let $\phi : X \rightarrow \mathbb{P}_C$ be map associated to $\Gamma(K_X \otimes L^n)$ by theorem (0.4). Then since $\dim \phi(A) < \dim A$ it follows that $\dim \phi(X) < n$ and therefore the theorem is done by corollary (0.4.1). □

(0.5.2) Theorem :

Let L be an ample and spanned line bundle on a normal irreducible Gorenstein variety of dimension $n \geq 2$. The following are equivalent :

- a) $g(L) = h^1(\mathcal{O}_X)$,
- b) $h^0(K_X \otimes L^{n-1}) = 0$ and Irr(X) finite,
- c) $(X, L) \in \mathcal{R}$.

Proof :

First we do the case of $n = 2$. Note that a) is equivalent to b). To see this consider :

$$*) \quad 0 \rightarrow K_X \rightarrow K_X \otimes L \rightarrow K_C \rightarrow 0$$

for a general $C \in |L|$. Note that $h^1(K_X \otimes L) = 0$ by (0.1). If $h^0(K_X \otimes L) = 0$, then $g(L) = h^0(K_C) = h^1(K_X)$ and since X is a normal surface $h^1(K_X) = h^1(\mathcal{O}_X)$. Conversely if $g(L) = h^1(\mathcal{O}_X)$ then we conclude from *) that $h^0(K_X) = h^0(K_X \otimes L)$. Since $h^0(K_X) \neq 0$ and $h^0(L) \neq 0$ imply that $h^0(K_X \otimes L) \geq h^0(L) + h^0(K_X) - 1$ we conclude that $h^0(K_X) = 0$. Hence $h^0(K_X \otimes L) = 0$.

Theorem (1.3) and (1.4) of [So6] imply that a) and c) are equivalent. Thus the theorem is true if $n = 2$.

In general by using (0.5.1) c) is easily checked to imply a) and b).

Thus we can by induction assume that if $n \geq 3$ the theorem is true for dimensions $< n$. Let A be a general element of $|L|$. A is normal and $\text{Irr}(A)$ is finite by (0.2). Consider :

$$0 \rightarrow K_X \rightarrow K_X \otimes L \rightarrow K_A \rightarrow 0.$$

Tensoring with L^{n-2} and using (0.1) we see that b) implies that (A, L_A) satisfies b). By induction and property c) of the definition of \mathcal{R} we conclude that b) \Rightarrow c).

Choose a set of general elements $\{A_1, \dots, A_{n-1}\} \subseteq |L|$ which meet transversally in a smooth curve C .

Let $\alpha_0 = X$, $\alpha_1 = A_1$, $\alpha_2 = \alpha_1 \cap A_2$, \dots , $\alpha_{n-1} = \alpha_{n-2} \cap A_{n-1}$. We have :

$$*) \quad 0 \rightarrow [\alpha_i]^{-1} \rightarrow \sigma_{\alpha_{i-1}} \rightarrow \sigma_{\alpha_i} \rightarrow 0.$$

Since the genericity of the A_i and (0.2) implies that the α_i are all normal we have $H^1(\alpha_i, [\alpha_{i+1}]^{-1}) = 0$ for $i = 0, \dots, n-2$ by Mumford's vanishing theorem. Thus by **)

$$h^1(\sigma_X) \leq h^1(\sigma_{\alpha_1}) \leq \dots \leq h^1(\sigma_C).$$

Since $h^1(\sigma_X) = g(L) = h^1(\sigma_C)$ we conclude that for all $i \leq n-2$ (α_i, L_{α_i}) satisfies a).

To finish we need show that a) \Rightarrow c). Assume a). By property c) of the definition of \mathcal{R} and induction a) \Rightarrow c).

(0.6) Let L be an ample line bundle on a normal Gorenstein surface X . Let $C \in |L|$. Let $\pi : \bar{X} \rightarrow X$ be a resolution of singularities and let $\bar{C} = \pi^{-1}(C) \in |\pi^*L|$. Consider the diagram :

#)

$$\begin{array}{ccccccc}
 0 & \longrightarrow & K_X & \longrightarrow & K_X \otimes L & \xrightarrow{\text{Res}} & K_C & \longrightarrow & 0 \\
 & & \uparrow \pi_* & & \uparrow \pi_* & & \uparrow \alpha & & \\
 0 & \longrightarrow & K_{\bar{X}} & \longrightarrow & K_{\bar{X}} \otimes \pi^*L & \xrightarrow{\text{Res}} & K_{\bar{C}} & \longrightarrow & 0 \\
 & & & & & & \nearrow \beta & & \\
 & & & & & & T_{\bar{X}}^* & &
 \end{array}$$

Here the 2 horizontal sequences are standard ; K_C and $K_{\bar{C}}$ are the dualizing sheaves of C and \bar{C} and the horizontal sequences can be taken as their definitions (see [A+K]).

The maps π_* are standard [A+K] and they imply the existence of α . The map β is more or less standard. It is defined as follows. Fix a section \mathfrak{s} of π^*L that vanishes precisely on \bar{C} . On an open set U of \bar{X} , write $\mathfrak{s}_U = f \otimes e$ where e is a nowhere vanishing section of π^*L over U . Given η , a local section of $T_{\bar{X}}^*$ over U , define $\beta(\eta) = \text{Res} [(\eta \wedge d\mathfrak{s})e]$. To see that it only depends on \mathfrak{s} and not U write $\mathfrak{s}_U = (fg) \otimes e'$ where g is a nowhere vanishing function on U and e' is a nowhere vanishing section of $(\pi^*L)_U$. Then

$$\begin{aligned}
 \text{Res} [\eta \wedge d(fg) \otimes e'] &= \\
 \text{Res}(\eta \wedge df \otimes e) + \text{Res} [f(\eta \wedge dg) \otimes e'] &= \\
 = \text{Res}(\eta \wedge df \otimes e) &
 \end{aligned}$$

since f vanishes on $\bar{C} \cap U$.

We also have a map

##) $H^0(T_{\bar{X}}^*) \xrightarrow{\gamma} H^1(K_X) \rightarrow 0$

obtained in the following manner. First note that $H^0(T_{\bar{X}}^*) \xrightarrow{\wedge c_1(\pi^*L)} H^1(K_{\bar{X}})$ is an isomorphism. To see this note $c_1(\pi^*L)$ is represented by ω , a positive semidefinite (1,1)-form that is positive definite on a dense open set of \bar{X} . Therefore if η is a holomorphic on form on X

$$\sqrt{-1} \omega \wedge \eta \wedge \bar{\eta}$$

is a positive semidefinite (2,2)-form that is positive definite on a dense open set of \bar{X} . In particular

$$\int_X \sqrt{-1} \omega \wedge \eta \wedge \bar{\eta} > 0$$

and thus $\wedge c_1(\pi^*L)$ is an injective map from $H^0(T_{\bar{X}}^*)$ to $H^1(K_{\bar{X}})$. Since by Serre duality and Hodge theory

$$h^0(T_{\bar{X}}^*) \approx h^2(T_{\bar{X}}^*) \approx h^1(K_{\bar{X}})$$

we conclude that $\wedge c_1(\pi^*L)$ is an isomorphism. Compose this with $\pi^*H^1(K_{\bar{X}}) \rightarrow H^1(K_X)$ to get γ .

A simple variant of a result of Matsumura [Ma, Prop. (2.2), pg. 38] shows that

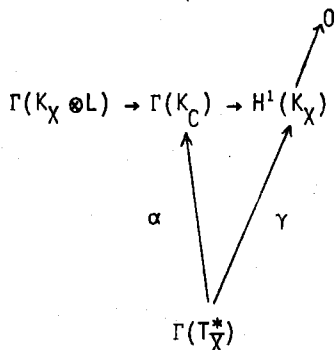
$$\begin{array}{ccccc} \Gamma(K_{\bar{X}} \otimes \pi^*L) & \rightarrow & \Gamma(K_{\bar{C}}) & \rightarrow & H^1(K_{\bar{X}}) \\ & & \uparrow & \nearrow & \\ & & \Gamma(T_{\bar{X}}^*) & & \end{array} \quad \wedge c_1(\pi^*L)$$

β

commutes. Combining this with $\#$) and $\# \#$) we get the following useful lemma (the Gorenstein condition is not needed).

(0.6.1) Lemma :

Let L be an ample line bundle on a normal irreducible Gorenstein surface X . Let $C \in |L|$. Then the following diagram commutes where α and γ are as defined above and $\pi : \bar{X} \rightarrow X$ is any desingularization of X .



(0.6.2) Corollary :

Let L be an ample and spanned line bundle on a normal irreducible Gorenstein surface X . Assume that $L \cdot L \geq 3$. Assume that $g(L) \neq h^{1,0}(X)$ and let $C \in |L|$. If x is a smooth (and hence reduced) point of C then

$$\Gamma(K_X \otimes L) \text{ spans } (K_X \otimes L)_x$$

unless the irreducible component P of C that contains x

- a) is a rational curve,
- b) belongs to X_{reg} .

Proof :

If $\Gamma(K_C)$ spans $K_{C,x}$ then by lemma (0.6.1) it follows that $\Gamma(K_X \otimes L)$ not spanning $K_{C,x}$ can happen only if $\alpha(n)$ is non zero at x for some $\eta \in \Gamma(T_X^*)$. In particular composing with the desingularization \bar{P} of P we get a non zero holomorphic one form in \bar{P} . So a) is true.

Next, note by theorem (3.1) of [So6] it follows that $K_X \otimes L$ is spanned in a neighborhood of $\text{Sing}(X)$. Thus if P meet $\text{Sing}(X)$ then $\Gamma(K_C)$ spans $K_{C,P}$ on a dense open set of P . Consider :

$$\#) \quad \circ \rightarrow K_C \otimes m_x \rightarrow K_C \rightarrow \mathbb{C}_x \rightarrow 0$$

where $m_x = [x]^{-1}$ is the ideal sheaf of x on C .

Using

$$\circ \rightarrow K_X \rightarrow K_X \otimes L \rightarrow K_C \rightarrow 0$$

and (0.1) we conclude that $h^1(K_C) = 1$. Thus by #) it follows that if K_C doesn't span $K_{C,x} \approx \mathbb{C}_x$ then $h^1(K_C \otimes m_x) = 2$. By Serre duality $h^0(C, [x]) = 2$. This implies that $h^0(C, [y]) = 2$ for y near x and thus $H^1(C, K_C \otimes m_y) = 2$. This implies that $\Gamma(K_C)$ does not span K_C on dense set of P . Therefore if b) were false we conclude by contradiction that $\Gamma(K_C)$ span $K_{C,x}$. Since by a) \mathcal{B} must be 0 we get a contradiction from (0.6.1). \square

§ 1.- The Stable Adjunction Mapping :

(1.0) Throughout this section L is an ample line bundle on a normal irreducible Gorenstein n dimensional projective variety X with $\text{Irr}(X)$ finite. Further it is assumed that L is spanned by global sections at all points of X .

(1.1) Theorem :

Let (X,L) be as above. Then there is a $t > 0$ such that $(K_X \otimes L^{n-1})^t$ is spanned by global sections unless either :

a) $(X,L) \approx [\mathbb{P}^n, \sigma_{\mathbb{P}^n}(1)]$,

or

b) $(X,L) \approx [\mathbb{Q}^n, \sigma_{\mathbb{Q}^n}(1)]$ where \mathbb{Q}^n is an n dimensional quadric in \mathbb{P}^{n+1} and $\sigma_{\mathbb{Q}^n}(1)$ is the restriction of $\sigma_{\mathbb{P}^{n+1}}(1)$ to \mathbb{Q}^n ,

or

c) X is a \mathbb{P}^{n-1} bundle over a curve C and the restriction of L to a fibre F is isomorphic to $\sigma_{\mathbb{P}^{n-1}}(1)$.

Proof :

This result is true if $n = 2$ by [So6] and is trivial for $n = 1$. We need a few lemmas.

(1.1.1) Lemma :

Let L be an ample line bundle on an irreducible Gorenstein surface S . Assume that L is spanned by global sections at all points of S . If $K_S \otimes L$ is numerically effective then $K_S^t \otimes L^{t+1}$ is spanned for all $t \geq 1$.

Proof :

The case of $t = 1$ is theorem (3.4) of [So6]. Assume that the lemma is true for $t \leq t_0$. Note that $K_S^{t_0+1} \otimes L^{t_0+2} = K_S \otimes (K_S^{t_0} \otimes L^{t_0+1}) \otimes L$ is spanned at all points by theorem (3.4) of [So6] and that

$K_S^{t_0} \otimes L^{t_0+1}$ is spanned at all points of S by the induction hypothesis.

□

Let \mathfrak{A} denote the class of all pairs (X,L) such that :

- a) X is a normal irreducible Gorenstein projective variety with $\text{Irr}(X)$ finite,

- b) L is an ample line bundle on X that is spanned by global sections at all points of X ,
- c) (X, L) does not belong to the class \mathcal{R} of (0.5).

Consider the following assertion.

Assertion $S(n, t)$:

For $(X, L) \in \mathcal{A}$, $\Gamma(K_X^t \otimes L^{(n-1)t+1})$ spans $K_X^t \otimes L^{(n-1)t+1}$ at all points.

(1.1.2) Lemma :

If $t \geq 0$ and $n \geq 3$ then $S(n-1, t+1)$ and $S(n, t)$ imply $S(n, t+1)$.

Proof :

Let $(X, L) \in \mathcal{A}$ with $\dim X = n$. Let $x \in X$. By (0.2) and (0.5c) we can choose $A \in |L|$ such that (A, L_A) belongs to \mathcal{A} . Consider the exact sequence :

$$0 \rightarrow K_X \otimes (K_X^t \otimes L^{(n-1)t+1}) \otimes L^{n-2} \rightarrow K_X^{t+1} \otimes L^{(n-1)(t+1)+1} \rightarrow K_A^{t+1} \otimes L_A^{(n-2)(t+1)+1} \rightarrow 0.$$

By $S(n, t)$ the bundle $(K_X^t \otimes L^{(n-1)t+1}) \otimes L^{n-2}$ is ample and by (0.1), $H^1(K_X^{t+1} \otimes L^{(n-1)t+1} \otimes L^{n-2}) = 0$. Thus by the fact that x is an arbitrary point of X and assertion $S(n-1, t+1)$ it follows from the above exact sequence that $S(n, t+1)$ is true \square

Note that lemma (1.1.1) asserts that $S(2, t)$ is true for $t \geq 0$.

(1.1.3) Lemma :

Let $(X, L) \in \mathcal{A}$ with $\dim X = n \geq 2$. Then $S(n, 1)$ is true.

Proof :

This is simply a restatement of (0.4). \square

By induction $S(n, t)$ is true for all $n \geq 2$, $t \geq 0$.

Let (X, L) be as in (1.0).

Thus $K_X^t \otimes L^{(n-1)t+1}$ is spanned by global sections at all points for arbitrarily large t . From this it follows that $K_X \otimes L^{(n-1)}$ is numerically effective. Choose $A \in |L|$ containing an arbitrary point of X . It can be assumed that A is irreducible normal Gorenstein with $\text{Irr}(A)$ finite by (0.2).

We have the exact sequence :

$$0 \rightarrow K_X \otimes (K_X \otimes L^{n-1})^t \otimes L^{n-2} \rightarrow (K_X \otimes L^{n-1})^{t+1} \rightarrow (K_X \otimes L^{n-2})^{t+1} \rightarrow 0.$$

Since $(K_X \otimes L^{n-1})^t$ is numerically effective, $(K_X \otimes L^{(n-1)t} \otimes L^{n-2})$ is ample if $n \geq 3$. By (0.1) and induction the theorem follows from the above exact sequence and the fact that x is arbitrary. □

(1.2) Corollary :

Let (X, L) be as in (1.0). The following assertions are equivalent.

- a) $K_X \otimes L^{n-1}$ is numerically effective,
- b) there is a $t > 0$ such that $K_X^t \otimes L^{(n-1)t}$ is spanned by global sections.

Proof :

Immediate corollary of (1.1). □

(1.3) Definition :

Let (X, L) be as in (1.0). Assume that $K_X \otimes L^{n-1}$ is numerically effective.

Choose $t > 0$ such that :

(1.3.1) $(K_X \otimes L^{n-1})^t$ is spanned at all points by global sections, (1.3.2) the map $\phi : X \rightarrow \phi(X) \subseteq \mathbb{P}_t$ associated to $\Gamma[(K_X \otimes L^{n-1})^t]$ has connected fibres and a normal image.

Then $\phi : X \rightarrow \phi(X)$ is called the stable adjunction mapping associated to (X, L) .

By (1.2) and standard reasoning ϕ exists. By the usual argument ϕ does not depend on t .

(1.4) Theorem :

Let (X, L) be as in (1.0). Assume that $K_X \otimes L^{n-1}$ is numerically effective.

Let $\phi : X \rightarrow \phi(X)$ be the stable adjunction mapping associated to (X, L) . Then $\dim \phi(X) = n$ or 0 or 1 or 2 . If $\dim \phi(X) = 2$ then ϕ is a \mathbb{P}^{n-2} bundle with $L_F \approx \mathcal{O}_F(1)$ for any fibre. If $\dim \phi(X) = 1$ then the general fibre of ϕ is a quadric. If $\dim \phi(X) = 0$ then $K_X \otimes L^{n-1} = \mathcal{O}_X$.

Proof :

Standard reasoning using (0.1), (0.2), and (0.3) instead of the usual Kodaira vanishing theorem, Bertini's theorem, and the theorem of Kobayashi-Ochiai ; e. g. see [So4] and [(Fa+So)1]. □

§ 2.- The Unstable Adjunction Mapping :

(2.0) Theorem :

Let L be an ample and spanned line bundle on a normal irreducible Gorenstein projective variety X with $\text{Irr}(X)$ finite and $n = \dim X \geq 2$. Assume that the map $\phi : X \rightarrow \mathbb{P}_{\mathbb{C}}$ associated to $\Gamma(L)$ is an immersion off a set of codimension 2. Assume further that ϕ is generically one to one. Then the following are equivalent :

- a) $h^0 [K_X \otimes L^{\dim X - 1}] \neq 0$,
- b) $\Gamma [K_X \otimes L^{\dim X - 1}]$ spans $K_X \otimes L^{\dim X - 1}$ at all points of X ,
- c) $g(L) \neq h^{1,0}(X)$,
- d) $(X, L) \notin \mathcal{R}$.

Proof :

The equivalence of a), c), and d) follows from (0.5.2). Clearly a) is implied by d). Thus we must show for $n \geq 2$ that :

$$*)_n \quad (X, L) \notin \mathcal{R} \Rightarrow \text{b) where } \dim X = n .$$

Claim :

If $*)_2$ is true then $*)_n$ is true for all n .

Proof of Claim :

Assume $*)_k$ is true for $k < n$ where $n \geq 3$. Let $x \in X$ and choose a general $A \in |L|$ with $x \in A$. By (0.2) and the definition of \mathcal{R} , we can use $*)_{n-1}$ to conclude that $K_A \otimes L_A^{(n-1)-1}$ is spanned by global sections.

Consider :

$$0 \rightarrow K_X \otimes L^{n-2} \rightarrow K_X \otimes L^{n-1} \rightarrow K_A \otimes L_A^{n-2} \rightarrow 0 .$$

If $n > 2$ then $h^1(K_X \otimes L^{n-2}) = 0$ by (0.1). Thus $K_X \otimes L^{n-1}$ is spanned by global sections at x if $K_A \otimes L_A^{n-2}$ is spanned by global sections on A . This proves the claim.

By the claim we are reduced to the case $\dim X = 2$. By ([So6], (3.1)) we must only show that $\Gamma(K_X \otimes L)$ spans $(K_X \otimes L)_x$ for smooth points $x \in X$. $\pi : \bar{X} \rightarrow X$ be a desingularization of X where π is a biholomorphism in a neighborhood of $\pi^{-1}(x)$. For simplicity of notation identify x and $\pi(x)$. If $K_{\bar{X}}$ has a global section σ that is non zero at x then $\pi^*\sigma$ is a global section of K_X non-zero at x and we conclude that $\Gamma(K_X \otimes L)$ spans $K_X \otimes L$ at x .

Therefore we can assume that $\Gamma(T_{\bar{X}}^*)$ does not span $T_{\bar{X},x}^*$. There are two cases :

- a) all sections of $T_{\bar{X}}^*$ are zero at x ,
- b) the sections of $T_{\bar{X}}^*$ span a one dimensional subspace E of $T_{\bar{X},x}^*$.

Assume a). Choose a general $C \in |L|$ that passes through x . C is smooth and $\pi^{-1}(C) \approx C$. By assumption $g(L) > 0$ and thus K_C is spanned by global sections. Thus by (0.6.1) and assumption a) $\Gamma(K_X \otimes L)$ spans $(K_X \otimes L)_x$.

Finally assume b). Let v be a non-zero tangent vector at x annihilated by E . Choose a general $C \in |L|$ with C tangent to v at x . It is easy to see that C is smooth at x and that C is generally reduced. By (0.6.2) we conclude that the theorem can be false only if $C = \mathcal{P} + \mathcal{R}$ where $x \in \mathcal{P}$ and \mathcal{P} is a rational curve belonging to X_{reg} . By the fact that $\mathcal{P} \subseteq X_{\text{reg}}$ and the reasoning of ([Sol], lemma (0.10.2)) it follows that either $\mathcal{P} = C$ or $L \cdot \mathcal{P} = 1$ and \mathcal{P} is smooth and transverse to \mathcal{R} where \mathcal{R} is smooth and $\mathcal{R} \subseteq X_{\text{reg}}$. The former assumption and (0.1) imply the contradiction that $h^1(\mathcal{O}_X) = g(L) = 0$.

Thus $C = \mathcal{P} + \mathcal{R}$, $(\mathcal{P}, \mathcal{R}) \subseteq X_{\text{reg}}$, \mathcal{R} is smooth and transverse to \mathcal{P} and $L \cdot \mathcal{P} = 1$. If $\mathcal{R} \cdot \mathcal{P} > 1$ then it is classical that $\Gamma(K_C)$ spans $K_{C,\mathcal{P}}$ on $C_{\text{reg}} \cap \mathcal{P}$. The argument of (0.6.2b) would then show that $\Gamma(K_X \otimes L)$ spans $K_{C,x}$. Thus $\mathcal{P} \cdot \mathcal{R} \leq 1$. By ampleness of L $\mathcal{R} \cdot \mathcal{P} \geq 1$. Thus $\mathcal{R} \cdot \mathcal{P} = 1$. Further $1 = L \cdot \mathcal{P} = \mathcal{R} \cdot \mathcal{P} + \mathcal{P} \cdot \mathcal{P}$. From this we conclude $\mathcal{P} \cdot \mathcal{P} = 0$. Note $\mathcal{R} \cdot \mathcal{R} = 0$ also. Otherwise $(L \cdot \mathcal{P}) \cdot (L \cdot \mathcal{P}) > 0$ and the argument of ([Sol], lemma (0.10.1) and (1.1.1)) would imply that $\Gamma(K_X \otimes L)$ spans $(K_X \otimes L)_{\mathcal{P}}$. Thus $L \cdot \mathcal{R} = 1$ which implies that \mathcal{R} and $C = \mathcal{R} + \mathcal{P}$ are genus 0. Thus $h^1(\mathcal{O}_X) = g(L) = 0$. This contradiction establishes the theorem.

§ 3.- Applications :

(3.0) Throughout this section L is a very ample line bundle on a normal irreducible Gorenstein projective surface X . For simplicity :

g denotes $g(L)$,

d denotes $L \cdot L$

d' denotes $(K_X + L) \cdot (K_X + L)$.

(3.1) Theorem :

If $d' \geq 5$ then $K_X \otimes L$ is spanned by global sections and the map $\phi : X \rightarrow \mathbb{P}^2$ associated to $\Gamma(K_X \otimes L)$ has a 2 dimensional image.

Proof :

If $\Gamma(K_X \otimes L)$ spans $K_X \otimes L$ then $d' > 0$ implies the associated map has a 2 dimensional image. Thus we can assume by theorem (2.0) that $(X, L) \in \mathcal{R}$.

If $(X, L) = [\mathbb{P}^2, \mathcal{O}_{\mathbb{P}^2}(e)]$ for $e = 1, 2$ then $d' = 4$ or 1 . If (X, L) is a quadric then $d' = 2$. If (X, L) is geometrically ruled then :

$$\begin{aligned} d' &= K_X \cdot K_X + 4g - 4 - d = 8 - 8h^1(\mathcal{O}_X) + 4g - 4 - d \\ &= 4 - 4h^1(\mathcal{O}_X) - d . \end{aligned}$$

Thus $d' \leq 4$.

□

(3.2) Theorem :

If $d' \geq 5$ then

a) $d' \geq 2(g + h^0(K_X) - h^1(\mathcal{O}_X) - 2)$ if X has a desingularization of non-negative Kodaira dimension,

b) $d' \geq g + h^0(K_X) - h^1(\mathcal{O}_X) - 2$ in general.

Proof :

Let ϕ be the map of theorem (3.1). Since $h^0(K_X \otimes L) = g + h^0(K_X) - h^1(\mathcal{O}_X) - 1$.
 $d' = \text{degree}(\phi) \cdot \text{deg}\phi(X) \geq \text{degree}(\phi) \cdot (g + h^0(K_X) - h^1(\mathcal{O}_X) - 2)$.

If $\text{degree}(\phi) \geq 2$ then the bound in a) is true. If $\text{degree}(\phi) = 1$ then the bound in b) is true. If $\text{degree}(\phi) = 1$ and X has a desingularization of non-negative Kodaira dimension then $\phi(X)$ has a desingularization of non-negative

Kodaira dimension. Now use the standard fact that if a surface $S \subseteq \mathbb{P}^n$ that doesn't belong to a hyperplane has a desingularization of non-negative Kodaira dimension then $\text{deg}(S) \geq 2(n-1)$.

□

(3.3) Theorem :

If $d' \geq 5$ then

$$d' \geq g = h^1(\mathcal{O}_X) - 2 .$$

Proof :

Let C be a general curve $\in |K_X \otimes L|$. Since $K_X \otimes L$ is spanned by global sections, C is smooth. Since further $d' > 0$ we conclude that C is connected and that $h^1(\mathcal{O}_X) \leq g(K_X \otimes L)$. To see this use (0.1) and

$$0 \rightarrow K_X \rightarrow K_X \otimes (K_X \otimes L) \rightarrow K_C \rightarrow 0 .$$

Thus :

$$2h^1(\mathcal{O}_X) - 2 \leq 2g(K_X \otimes L) - 2 =$$

$$2d' - 2g + 2 .$$

□

The pairs (X, L) with $g(L) = 0$ are well known and easy to classify, e. g. [F]. If $g(L) = 1$ then either (X, L) is geometrically ruled over an elliptic curve or $K_X \approx L^{-1}$. To see the latter choose a not everywhere zero section σ of $K_X \otimes L$. Since $(K_X + L) \cdot L = 0$ we conclude $\sigma^{-1}(0) \cap C = \emptyset$ for a generic $C \in |L|$. Since L is ample $\sigma^{-1}(0)$ is empty. Pairs (X, L) with $K_X \approx L^{-1}$ are called Gorenstein Pezzo surfaces. Much is known about them, e. g. [Br].

If $(X, L) \in \mathcal{R}$ define $\log(X, L)$ to be $-\infty$. Otherwise let $\log(X, L) = \dim \phi(X)$ where $\phi : X \rightarrow \mathbb{P}_c$ is the map associated to $\phi(K_X \otimes L)$. We have a good understanding (see [So6]) of the pairs (X, L) with $\log(X, L) \leq 1$.

(3.4) Theorem :

Assume that $h^0(K_X) \neq 0$. Then $g \geq h^0(L) + h^1(\mathcal{O}_X) - 1$. If in addition $g \leq 4$ then :

- a) $g = 3$ and $|L|$ embeds X as a degree 4 hypersurface of \mathbb{P}^3 ,
- b) $g = 4$ and $|L|$ embeds X in \mathbb{P}^4 as the intersection of a quadric and a cubic hypersurface.

Proof :

If $h^0(K_X) \neq 0$ then we have the standard inequality $h^0(K_X) + h^0(L) - 1 \leq h^0(K_X \otimes L)$. Combining this with $h^0(K_X \otimes L) = g + h^0(K_X) - h^1(\mathcal{O}_X)$ gives the desired inequality.

If $g = 3$ then $h^0(L) + h^1(\mathcal{O}_X) \leq 4$. If $h^0(L) = 3$ we get $X \approx \mathbb{P}^2$ which is absurd. If $h^0(L) = 4$ we get a).

If $g = 4$ then $h^0(L) + h^1(\mathcal{O}_X) \leq 5$. $h^0(L) = 3$ or 4 doesn't occur. Thus we have $h^0(L) = 5$ and $h^1(\mathcal{O}_X) = 0$. Considering

$$*) \quad 0 \rightarrow \mathcal{O}_X \rightarrow L \rightarrow L_C \rightarrow 0$$

for a smooth $C \in |L|$ we conclude that $h^0(L_C) = 4$. By Castelnuovo's inequality $d \geq 6$. If $d > 6$ then $K_X \cdot L < 0$ which would imply $h^0(K_X) = 0$. Thus $d = 6$. Thus $K_{X,C} \approx \mathcal{O}_C$. Since C is ample and $h^0(K_X) \neq 0$ we conclude that $K_X \approx \mathcal{O}_X$. Therefore we can conclude from the Kodaira vanishing theorem that $h^i(L^t) = 0$ for $i > 0, t > 0$. Considering *) tensored with L and L^2 we conclude that $h^0(L^2) = 14$ and $h^0(L^3) = 29$.

Consider :

$$\rightarrow \mathcal{O}_{\mathbb{P}^4}(2) \otimes J_X \rightarrow \mathcal{O}_{\mathbb{P}^4}(2) \rightarrow L^2 \rightarrow 0$$

where J_X is the ideal sheaf of X in \mathbb{P}^4 . Since $h^0(\mathcal{O}_{\mathbb{P}^4}(2)) = 15$ we conclude there is a quadric Q containing X . Consider :

$$\rightarrow \mathcal{O}_{\mathbb{P}^4}(3) \otimes J_X \rightarrow \mathcal{O}_{\mathbb{P}^4}(3) \rightarrow L^3 \rightarrow 0.$$

Since $h^0(\mathcal{O}_{\mathbb{P}^4}(3)) = 35$, $h^0(L^3) = 29$ and since $Q+H$ where H is an arbitrary hyperplane account for only 5 cubics containing X we conclude there is an irreducible cubic \mathcal{C} that contains X . $\mathcal{C} \cap Q$ is codimension 2 (since Q is irreducible) and degree 6. $X \subseteq \mathcal{C} \cap Q$ is of degree 6. Thus $X = \mathcal{C} \cap Q$.

(3.5) Theorem :

Let $g = 2$. Then either (X, L) is geometrically ruled over a genus 2 curve or $\log(X, L) = 1$ and $h^1(\mathcal{O}_X) = 0$.

Proof :

By theorem (2.0) either (X, L) is geometrically ruled over a genus 2 curve or $K_X \otimes L$ is spanned by global sections. In the latter case $h^0(K_X) = 0$ by (3.4). Thus $h^0(K_X \otimes L) = 2 - h^1(\mathcal{O}_X)$. Since $g = 2$, $K_X \neq L^{-1}$. Thus $h^1(\mathcal{O}_X) = 0$ and $\dim \phi(X) = 1$ where ϕ is the map associated to $\Gamma(K_X \otimes L)$.

If ϕ denotes the map associated to $\Gamma(K_X \otimes L)$ and $\dim \phi(X) = 2$ there it was shown in [So6] that ϕ factors $s \circ r$ where $r : X \rightarrow X'$ maps X into a normal Gorenstein surface X' with the positive dimensional fibers are lines and $s : X' \rightarrow \mathbb{P}^2$ is finite to one. Further there is an ample line bundle L' on X' with

$$K_X \otimes L = \pi^*(K_{X'} \otimes L') .$$

(3.6) Theorem :

If $g = 3$ then either (X, L) is geometrically ruled over a genus 3 curve, or (X, L) is as in (3.4) or $\log(X, L) = 1$ or $(X', L') = (\mathbb{P}^2, \mathcal{O}_{\mathbb{P}^2}(4))$, or X' is a double cover of \mathbb{P}^2 branched on a degree 4 curve with $L' = s^* \mathcal{O}_{\mathbb{P}^2}(2)$. In the last case $d = 8$ or 7 depending on whether r is a biholomorphism or not.

Proof :

We can assume that $K_X \otimes L$ is spanned by global sections with $\dim \phi(X) = 2$ and $h^0(L) \geq 5$. Let ϕ factor $r \circ s$ as in the paragraph before the theorem. Since $h^0(K_X \otimes L) = 3 - h^1(\mathcal{O}_X)$ we concluded that $h^1(\mathcal{O}_X) = 0$ and $\phi(X) = \mathbb{P}^2$.

Since $h^0(L) \geq 5$, it follows that $d \geq 6$ by Castelnuovo's inequality. From the Hodge index theorem we get :

$$d \cdot d' \leq 4(g-1)^2 = 16 .$$

Since $d \geq 6$, $d' \leq 2$.

If $d' = 1$ then $X' \approx \mathbb{P}^2$ and $L' \approx \mathcal{O}_{\mathbb{P}^2}(4)$. If $d' = 2$ then s is a double cover and a direct calculation shows that the branch locus is degree 4 and $L' = s^* \mathcal{O}_{\mathbb{P}^2}(2)$.

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