

Lecture 7: Castelnuovo's Criterion

Note Title

8/29/2020

Theorem 1. (Castelnuovo's criterion of rationality)

$$X \text{ surface w/ } q = P_2 = 0 \iff X \text{ is rational.}$$

$$q = h^1(X, \mathcal{O}_X), \quad P_2 = h^0(X, \mathcal{O}_X(2K_X))$$

Remark: $q = P_2 = 0$ does NOT to conclude rationality.

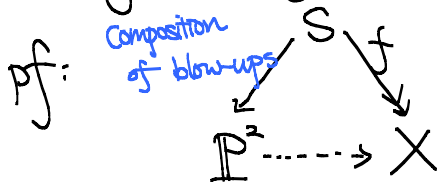
Enrique surface, which is \mathbb{Z}_2 quotient of a $K3$ surface.

Definition: A variety X of dimension n is unirational

if $\exists \mathbb{P}^n \dashrightarrow X$ dominant.
generic surjective

ex. Every unirational curve is rational.

Corollary: Every unirational surface rational.



$$q(S) = P_2(S) = 0$$

If $q(X) = h^1(X, \mathcal{O}_X) \neq 0$ or $P_2(X) = h^0(X, \mathcal{O}_X(2K_X)) \neq 0$,

pull back to S implies $q(S) \neq 0$ or $P_2(S) \neq 0$

Remark: (Clemens-Griffiths)

Smooth cubic 3-fold are unirational but not rational.

Proposition 1: X minimal surface w/ $q = P_2 = 0$,

then X contains a smooth rational curve C , $C^2 \geq 0$.

proof of Theorem 1:

WLOG may assume X is minimal.

Proposition 1 $\Rightarrow \exists C$ smooth rat'l curve. $C^2 \geq 0$

Ruled surfaces/ \mathbb{P}^1 are rational.

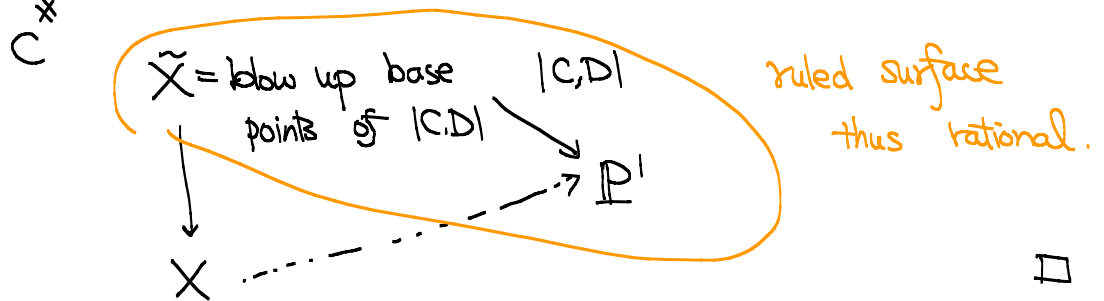
$$0 \rightarrow \mathcal{O}_X \rightarrow \mathcal{O}_X(C) \rightarrow \mathcal{O}_D(C) \rightarrow 0$$

$$\Rightarrow 0 \rightarrow H^0(X, \mathcal{O}_X) \rightarrow H^0(X, \mathcal{O}_X(C)) \rightarrow H^0(C, \mathcal{O}_D(C)) \rightarrow H^1(X, \mathcal{O}_X)$$

\parallel \downarrow \downarrow \downarrow
 1 $C^2 - 0 + 1$ $R.R$ $0 \because q=0$

$$\Rightarrow h^0(X, \mathcal{O}_X(C)) \geq C^2 + 2 \geq 2$$

Choose $D \in |C|$ s.t. $C \cap D$ finitely many points.



Lemma 1. X minimal surface w/ $K^2 < 0$

$\forall a > 0, \exists D \geq 0$ s.t. $K \cdot D \leq -a, |K+D| = \emptyset$.

pf: • It suffices to prove $\exists E \geq 0, K \cdot E < 0$

Take C be a component of E w/ $K \cdot C < 0$

If $C^2 < 0$, then $-2 \leq \deg K_C = (K+C) \cdot C \leq -2$

\downarrow

"=" holds, $K \cdot C = -1, C^2 = -1$
 C is a (-1) -curve \rightarrow ✗

Thus $C^2 \geq 0$.

$(nK+aC) \cdot K < -a, \forall n \geq 0$

$$(nK + aC).C < 0 \quad \text{as } n \gg 0$$

$$\exists n \in \mathbb{N} \text{ s.t. } |nK + aC| \neq \emptyset, |(n+1)K + aC| = \emptyset$$

Then one can take $D = nK + aC$.

- H : hyperplane section first choice to produce an effective divisor!

① $H.K < 0$, then can take $E = H$.

② $H.K = 0$, then $|nH + K| \neq \emptyset$, for $n \gg 0$

③ $H.K > 0$, $(H + r_0 K).K = 0$

Choose $a, b \in \mathbb{N}$ s.t. $\frac{b}{a} \sim r_0, \frac{b}{a} > r_0$

Take $E = aH + bK$. $(aH + bK).K < 0$

$$h^0(E) + h^0(-aH - (b-1)K) \geq \chi(\mathcal{O}_X) + \frac{1}{2}(aH + bK).(aH + (b-1)K) \gg 0$$

$\begin{matrix} \parallel \\ 0 \end{matrix}$

$(-aH - (b-1)K).H < 0$

$(aH + bK).H > 0 \quad a, b \gg 0$
 $(aH + bK).K \sim 0$

□

Proof of Proposition 1.

It suffices to prove that $\exists D \geq 0, D.K < 0, |K + D| = \emptyset$

C component of D s.t. $C.K < 0, |K + C| = \emptyset$

$$\text{then } 0 = h^0(-C) + h^0(K + C) \geq \chi(\mathcal{O}_X) + \frac{1}{2}(-C).(K + C)$$

$\begin{matrix} \text{yellow circle} \\ = 1 + \frac{1}{2}(K + C).C = g_C \end{matrix}$

$$g_C = 0, C^2 < 0 \text{ only when } K.C = C^2 = -1 \quad \rightarrow *$$

Thus, $C^2 \geq 0$

• $K^2 < 0 \implies$ Proposition 1
 Lemma 1

• $K^2 = 0$, $\exists n \in \mathbb{N}$ s.t. $|H+nK| \neq \emptyset$, $|H+(n+1)K| = \emptyset$
 then can take $D \in |H+nK|$, then apply Lemma 1.

$$h^0(-K) + h^0(2K) \geq \chi(\mathcal{O}_X) + \frac{1}{2}(-K)(-K-K) = 1 \quad \therefore K \cdot H > 0$$

• $K^2 > 0$, then $h^0(-K) \geq 2$

If $\exists A+B \in |-K|$, $A, B \geq 0$, then $|K+A| = |-B| = \emptyset$

Take $D=A$ and apply Lemma 1.

Therefore may assume that elements in $|-K|$ are irreducible.

Take any effective divisor H

$n \in \mathbb{N}$ s.t. $|H+nK| \neq \emptyset$, $|H+(n+1)K| = \emptyset$

① If $H+nK \neq 0$, $E = \sum n_i C_i \in |H+nK|$, $n_i \geq 0$
 irreducible

then $|K+C_i| = \emptyset$

$$|-K| \neq \emptyset \implies -K \cdot E \geq 0 \quad \text{or} \quad \frac{K \cdot E \leq 0}{\downarrow} \implies \exists C_i, K \cdot C_i \leq 0$$

i) $C_i^2 \geq 0$ then the Lemma is proved

ii) $C_i^2 = -1$ contradicts to minimality of X .

iii) Otherwise, $-2 \leq (K+C_i) \cdot C_i \implies K \cdot C_i = 0$, $C_i^2 = -2$

Claim: $h^0(-K-C_i) > 0$ then $\exists A \in |-K-C_i|$, $A+C_i = -K$ ✗

$$h^0(-K-C_i) + h^0(2K+C_i) \geq 1 + \frac{1}{2}(-K-C_i) \cdot (-2K-C_i) \\ = 1 + \frac{1}{2}(2K^2 + 3K \cdot C_i + C_i^2) \geq 1$$

$$h^0(2K+C_i) \leq h^0(K+C_i) = 0$$

$\because |K| \neq \emptyset$ Otherwise, $(-K) \cdot (K+C_i) \geq 0$

$$-K^2 + K \cdot C_i \geq 0$$

$$\uparrow$$

$$0$$

② All the effective divisor $H \equiv nK$, for some $n \in \mathbb{Z}$.

$$H^1(X, \mathcal{O}_X) \rightarrow H^1(X, \mathcal{O}_X^*) \xrightarrow{\cong} H^2(X, \mathbb{Z}) \rightarrow H^2(X, \mathcal{O}) \quad \therefore b_2 = 1$$

\mathbb{Z} \mathbb{Z}

Poincaré duality $\Rightarrow K^2 = 1$

Noether's formula $\chi(\mathcal{O}_X) = \frac{1}{12}(K^2 + \chi_{\text{top}}(X))$

$$1 = \frac{1}{12}(1 + \underline{2 - 2b_1 + b_2}) \Rightarrow b_1 = -4 \quad \square$$

Theorem 2. $X =$ minimal rational surface
then $X \cong \mathbb{P}^2$ or \mathbb{F}_n , $n \neq 1$.

pf: $A = \{C^2 \mid C \text{ smooth rat'l curve in } X, C^2 \geq 0\} \neq \emptyset$
w/ minimum element m . Proposition 1

C : smooth rational curve w/

- $C^2 = m$,
- minimize $H \cdot C$

① All elements in $|C|$ are smooth rational curves.

$D \in |C|$, $D = \sum_i n_i C_i$ \downarrow adjunction

$(K+C) \cdot C = -2$

$$H^0(X, \mathcal{O}_X) \rightarrow H^0(C, \mathcal{O}_C) \rightarrow H^1(X, \mathcal{O}_X(-C)) \rightarrow H^1(X, \mathcal{O}_X) \Rightarrow H^1(X, \mathcal{O}_X(-C)) = 0$$

R.R $h^0(K+C) - h^0(-C) + h^0(\mathcal{O}_X) = 1 + \frac{1}{2}(K+C) \cdot C = 0$

$$\Rightarrow H^0(K+D) = H^0(K+C) = 0$$

$$\Rightarrow H^0(K+C_i) = 0$$

Replace C by C_i in above long exact sequence $\Rightarrow g(C_i) = 0$

$$K \cdot D = K \cdot C < 0 \Rightarrow K \cdot C_i < 0 \text{ for some } i.$$

$$\because C^2 > 0, K \cdot C + C^2 = -2$$

$$-2 = (K + C_i) \cdot C_i \implies C_i^2 > 0$$

$$C_i^2 \neq -1$$

$$m = C^2 \cong n_i^2 C_i^2 \implies n_i = 1, C_i^2 = m$$

C^2 minimal

$$H \cdot C_i \leq H \cdot C$$

$$C^2 = D^2 = (D + n_i C_i)^2$$

$$= n_i^2 C_i^2 + n_i \underbrace{D \cdot C_i}_0 + \underbrace{D \cdot D}_{C \cdot D}$$

$$\implies n_{j+i} = 0 \quad D = C_i \text{ smooth rat'l.}$$

② $\dim |C| < 3$

A double point is codim 3 in the linear system.

If $\dim |C| \geq 3$, it would contradict to ①

③ $|C|$ is base-point free.

$$C_0 \in |C|. \quad 0 \rightarrow \mathcal{O}_X \rightarrow \mathcal{O}_X(C) \rightarrow \mathcal{O}_{C_0}(m) \rightarrow 0$$

$$0 \rightarrow H^0(X, \mathcal{O}_X) \xrightarrow{1} H^0(X, \mathcal{O}_X(C)) \xrightarrow{\quad} H^0(C_0, \mathcal{O}_{C_0}(m)) \rightarrow H^1(X, \mathcal{O}_X)$$

$\parallel \quad q=0$
 $\quad \quad \quad 0$

$$\implies h^0(X, \mathcal{O}_X(C)) = m+2$$

$\begin{aligned} h^0(C_0, \mathcal{O}_{C_0}(m)) - h^1(C_0, \mathcal{O}_{C_0}(m)) &= m - 0 + 1 \\ &= h^0(C_0, \mathcal{O}_{C_0}(2+m)) \\ &= 0 \end{aligned}$

$\mathcal{O}_{C_0}(m)$ is base point free

so $|C|$ has no base point on C_0 .

$$\textcircled{4} \quad \textcircled{2} + \textcircled{3} \Rightarrow m+2 \leq 3 \quad \therefore m=0 \text{ or } 1$$

$$m=0, \quad X \xrightarrow{|C|} \mathbb{P}^1 \quad \text{minimal ruled surface}$$

$$\therefore X \cong \mathbb{P}(E) \rightarrow \mathbb{P}^1, \quad E \text{ rank } 2$$

$$\text{Grothendieck's thm.} \quad E \cong \mathcal{O}(a_1) \oplus \mathcal{O}(a_2)$$

$$\therefore X \cong \mathbb{F}_n, \quad \text{for some } n \in \mathbb{N}$$

$$\mathbb{F}_1 \cong \text{Bl}_p \mathbb{P}^2 \text{ not minimal.}$$

$$m=1, \quad X \xrightarrow{|C|} \mathbb{P}^2$$

$$|C| \text{ thus } \cong$$

□

Theorem 3. X, X' non-ruled minimal surfaces

$$f: X' \rightarrow X \text{ birational morphism, then } f: X' \xrightarrow{\cong} X.$$

In particular, non-ruled minimal surface is unique up to isomorphisms.

We will need to introduce the technology of Albanese map.

Theorem 4. $X = \text{smooth variety}$

$$\exists \text{ abelian variety } A, \quad \alpha: X \rightarrow A \text{ morphism}$$

w/ the universal property:

$$\text{Given} \quad \begin{array}{ccc} X & \xrightarrow{f} & T \text{ complex torus} \\ \alpha \searrow & \exists! \tilde{f} & \nearrow \\ & A & \end{array} \quad \text{st } f = \tilde{f} \circ \alpha$$

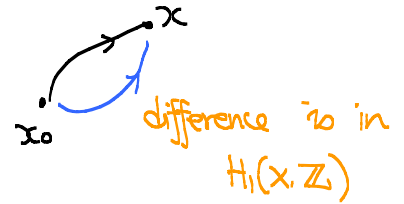
generation of Jacobians of Riemann surfaces

A is unique, up to isomorphism and $H^0(A, \Omega_A^1) \cong H^0(X, \Omega_X^1)$
 \cong
 $\text{Alb}(X)$ Albanese variety of X

pf: Fix $x_0 \in X$, choose $\omega_1, \dots, \omega_N$ basis of $H^0(X, \Omega_X^1)$

Define $X \rightarrow \mathbb{C}^N \cong H^0(X, \Omega_X^1)^*$
 $x \mapsto \left(\int_{x_0}^x \omega_1, \dots, \int_{x_0}^x \omega_N \right)$

same path from x_0 to x .



hol. forms on Kähler manifold are d-closed
 $\bar{\partial} \alpha = 0$ by type reason
 thus harmonic.

$\rightsquigarrow X \xrightarrow{\alpha} \mathbb{C}^N / \text{Im}(H_1(X, \mathbb{Z})) \rightarrow H^0(X, \Omega_X^1)^* =: A$

• α holomorphic $\bar{\partial} \int_{x_0}^x \omega_i = \left(d \int_{x_0}^x \omega_i \right)_{\text{FTC}}^{0,1} = (\omega_i)^{0,1} = 0$

• A abelian variety
 need to check Riemann bilinear relation.

Hodge theory

• $H^0(A, \Omega_A^1) \cong H^0(X, \Omega_X^1)$

If $A = V / \Lambda$ (vector space / lattice), then $H^0(A, \Omega_A^1) \cong V^*$

$H_1(A, \mathbb{Z}) \cong \Lambda$

• Different choice of $p \rightsquigarrow$ translation of A by lattice.
 $\omega_1, \dots, \omega_N \rightsquigarrow$ linear basis of A .

Given $X \xrightarrow{f} T$, T : complex torus

$\rightsquigarrow H^0(T, \Omega_T^1) \xrightarrow{f^*} H^0(X, \Omega_X^1) \xrightarrow{(\omega_i)^*} H^0(A, \Omega_A^1)$

dually \rightsquigarrow

$$\begin{array}{ccccc}
 H^0(T, \Omega_T^1)^* & \xleftarrow{f_*} & H^0(X, \Omega_X^1)^* & \xleftarrow{(\alpha_*)^{-1}} & H^0(A, \Omega_A^1)^* \\
 \cup & & \uparrow \cong & & \cup \\
 H_1(T, \mathbb{Z}) & \xleftarrow{f_*} & H_1(X, \mathbb{Z}) & \xleftarrow{(\alpha_*)^{-1}} & H_1(A, \mathbb{Z})
 \end{array}$$

X projective $H_1(X, \mathbb{C})^* \cong H^1(X, \mathbb{C}) \cong H^{1,0} \oplus H^{0,1}$
 $\therefore H_1(X, \mathbb{C}) \times H^{1,0} \rightarrow \mathbb{C}$ non-degenerate

$$\rightsquigarrow A = \frac{H^0(A, \Omega_A^1)^*}{H_1(A, \mathbb{Z})} \xrightarrow{\tilde{f}} \frac{H^0(T, \Omega_T^1)^*}{H_1(T, \mathbb{Z})} \cong T$$

Remark: • (Functoriality)

$$\begin{array}{ccc}
 X & \xrightarrow{f} & Y \\
 \alpha_X \downarrow & \circlearrowleft & \downarrow \alpha_Y \\
 \text{Alb}(X) & \xrightarrow{\tilde{f}} & \text{Alb}(Y)
 \end{array}$$

- If $H^0(X, \Omega_X^1) = 0$, then $X \rightarrow T$ can only be constant.
- $\text{Alb}(X)$ is generated by $\alpha(X)$.

the abelian subvariety generated by $\alpha(X)$
satisfies the universal property.

Proposition 2. X surface, $\alpha: X \rightarrow \text{Alb}(X)$ Albanese map

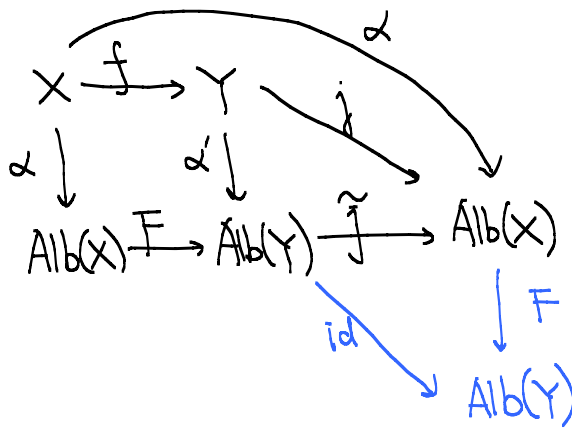
Assume that $\alpha(X) = C$ is a curve. Then C is a smooth curve of genus $g = h^1(X, \mathcal{O}_X)$. Moreover,

$\alpha: X \rightarrow C$ has connected fibres.

Lemma 2: Assume factorization $X \xrightarrow{f} Y \xrightarrow{j} \text{Alb}(X)$, f surjective.

Then $\tilde{j}: \text{Alb}(Y) \xrightarrow{\cong} \text{Alb}(X)$.

pf:



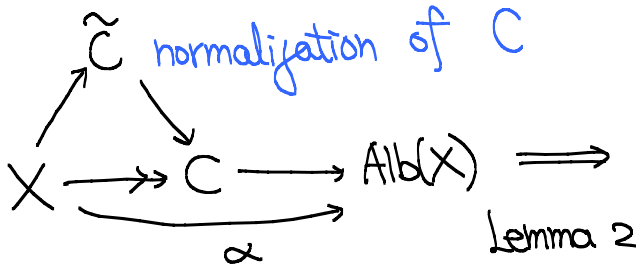
universal property

$$\Rightarrow \tilde{j} \circ F = \text{id}$$

$$F \circ \tilde{j} = \text{id}$$

□

Proof of Proposition 2:



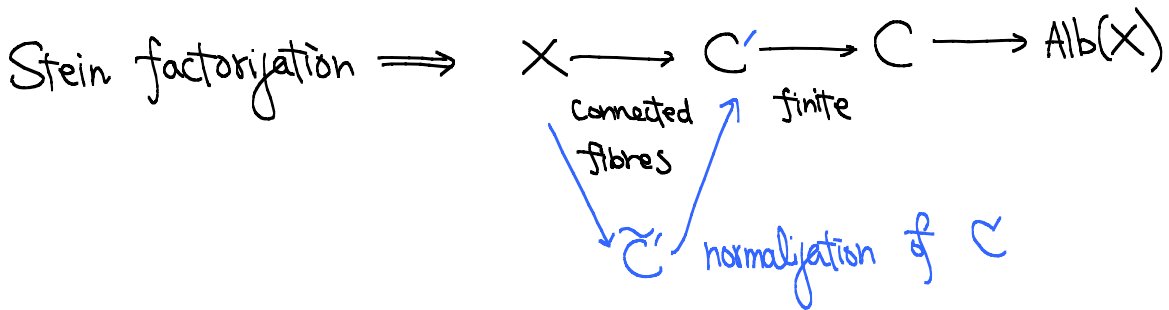
\tilde{C}
 $\downarrow \Rightarrow C \text{ smooth}$

$$\text{Alb}(X) \cong \text{Alb}(\tilde{C}) \cong \text{Jac}(\tilde{C})$$

$$\therefore g(C) = \dim \text{Alb}(X) = h^0(X, \Omega_X^1)$$

(Stein factorization) $f: X \rightarrow Y$ proper morphism

then $f: X \rightarrow \tilde{Y} \rightarrow Y$
 connected fibres finite morphism



$$\text{Lemma 2} \Rightarrow \text{Alb}(\tilde{C}') = \text{Alb}(C) \quad \therefore \tilde{C}' \cong C$$

Proposition 3. X surface w/ $P_g = 0, g \geq 1$.
 then $\alpha(X) \subseteq \text{Alb}(X)$ is a curve.

pf: If $\alpha(X)$ is a surface, then

$X \xrightarrow{\alpha} \alpha(X)$ is generic finite

$\cup \rightarrow \cup$ étale open

$$\cup = \{z_3 = z_4 = \dots = z_n = 0\} \subseteq \text{Alb}(X)_{(z_1, \dots, z_n)}$$

$$\therefore \omega = dz_1 \wedge dz_2 \in H^0(\text{Alb}(X), \Omega_{\text{Alb}(X)}^2)$$

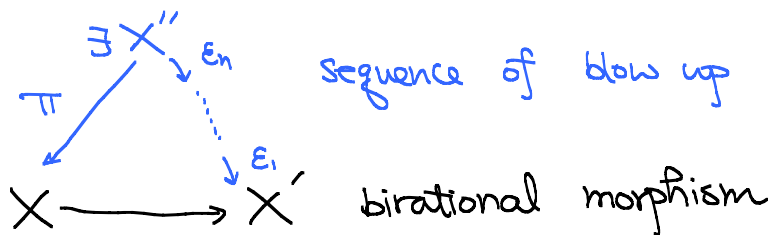
nonzero element $\in H^0(\alpha(X), \omega_{\alpha(X)})$

$$H^0(U, \omega_U)$$

$\alpha^* \omega \in H^0(X, \Omega_X^2) \neq 0$ contradicts to $h^0(X, \Omega_X) = 0$.

□

Proof of Theorem 3:

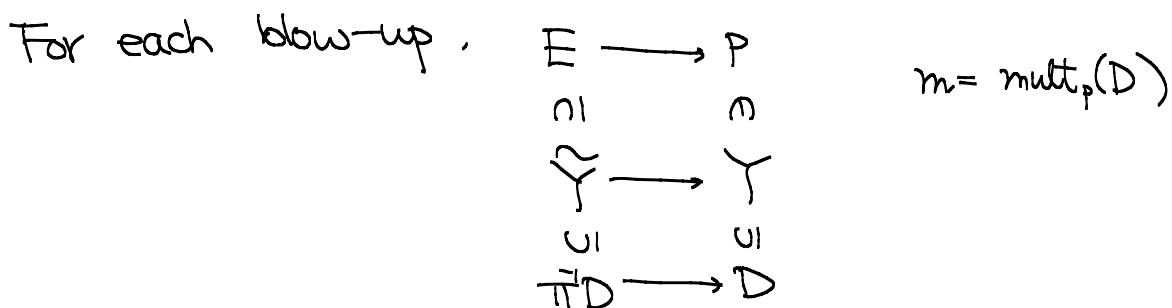


E = exceptional divisor of ϵ_n

NLOG, assume that $\pi(E) = C$ is a curve

Otherwise π will be factored through ϵ_n .

Recall that $X'' \xrightarrow{\pi} X$ is also a sequence of blow-ups.



$$K_{\tilde{Y}} \cdot \pi^* D = (\pi^* K_Y + E) \cdot (\pi^* D - mE) = K_Y \cdot D + m \cong K_Y \cdot D$$

= if $D \not\equiv P$

Therefore, $\perp = K_{X'} \cdot \pi^* D \cong K_X \cdot C$

= holds if E is disjoint from the proper transform of exceptional curves of $X'' \rightarrow X$.

but then $C^2 = -1$ rational curve contradicts to X is minimal.

$$-2 \leq (K_X + C) \cdot C = \underbrace{K_X \cdot C}_{-2} + C^2 \Rightarrow C^2 \geq 0$$

$$K_X \cdot C \leq -2, C^2 \geq 0 \Rightarrow P_n(X) = 0$$

Otherwise, $\exists D \in |nK_X|, D \cdot C \geq 0$
 \parallel
 $nK_X \cdot C < 0$

• $q=0$, Castelnuovo's criterion $\Rightarrow X$ is rational $\rightarrow X$
 X non-ruled, $\mathbb{P}^2 \dashrightarrow X \rightarrow \mathbb{F}_{n+1}$

• $q \geq 1$, Proposition 3 $\Rightarrow C \subseteq X \xrightarrow{\alpha} \alpha(X) \subseteq \text{Alb}(X)$
 $P_g(X) = 0, q(X) \geq 1$
 $\Rightarrow \alpha(X) \subseteq \text{Alb}(X)$
 curve of genus g .
 $\uparrow \quad \uparrow$
 $E \subseteq X''$
 of genus $g > 1$

C rational $\Rightarrow C$ contains in fibre of α .

intersection matrix of fibre components negative definite $\Rightarrow \alpha^*(x) = rC \Rightarrow C^2 = 0$
 $r = 1$

$\Rightarrow X$ is ruled surface
 (Noether-Enriques)

Theorem 4. X surface w/ K_X ample
 then X is a del Pezzo surface.

pf: X is rational i.e. $h^1(X, \mathcal{O}_X) = h^2(X, \mathcal{O}_X) = 0$

$$h^2(X, \mathcal{O}_X) = h^0(X, K_X) = 0 \quad \because -K \text{ ample}$$

$$\chi(\mathcal{O}_X) = \frac{1}{12}(K_X^2 + \chi_{\text{top}}(X)) = \frac{1}{12}(K_X^2 + 2 - 2b_1 + b_2)$$

$$h^0(X, \mathcal{O}_X) - h^1(X, \mathcal{O}_X) + h^2(X, \mathcal{O}_X) \Rightarrow 1 - q = \frac{1}{12}(1 + 2 - 4q + 1) \quad \dots q = 0 \text{ or } 1$$

$$q = 1 \implies X \longrightarrow \alpha(X) \subseteq \text{Alb}(X)$$

elliptic curve

$P_g = 0 + \text{Proposition 3}$

F : irreducible

$$\text{adjunction} \Rightarrow 2g_F - 2 = K_X \cdot F + F^2 \implies g_F = 0$$

$K_X \cdot F = -2$

(Claim: Fibres of α are all smooth rational curves
 $\implies X$ is a ruled surface over an elliptic curve
 $K_X^2 = 8(1 - g_{\text{base}}) = 0 \quad \times$)

Otherwise, there exists a fibre $F' = \sum n_i C_i$, $n_i > 0$, C_i : irreducible

$$-K_X \text{ ample} \implies \textcircled{1} F' = C_1 + C_2 \quad \text{or} \quad \textcircled{2} F' = 2C$$

$K_X \cdot F' = -2$

$$\textcircled{1} F = C_1 + C_2 \implies K_X \cdot C_i = -1$$

$$0 = (C_1 + C_2)^2 = C_1^2 + 2C_1 \cdot C_2 + C_2^2 \quad \because \text{one of } C_i^2 < 0, \text{ say } C_1^2 < 0$$

\downarrow Proposition 2

adjunction $\implies C_1$ (-1)-curve

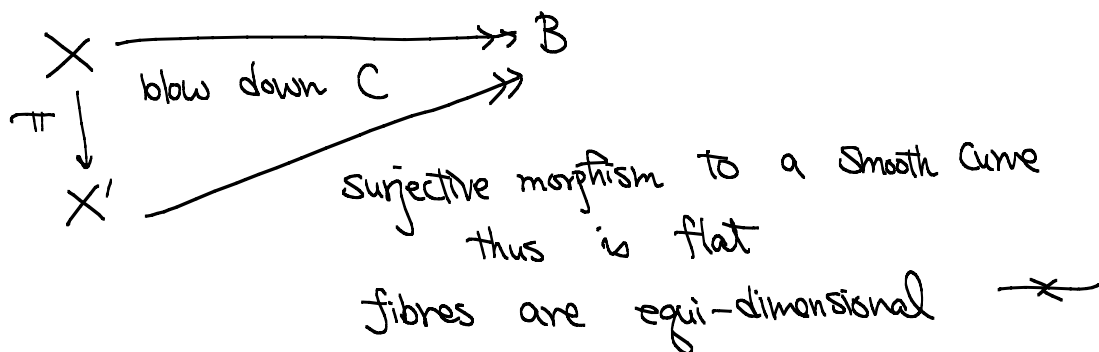
$$(C_1 + C_2)^2 = 0 \implies C_2 \text{ (-1)-curve}$$

C_i is a (-1) -curve

$$\text{then } K_{X'}^2 = K_X^2 + 1 > K_X^2 > 0$$

X blow down C_i
 $\pi \downarrow$
 X'

② $F' = 2C$, then C is a (-1) -curve by adjunction.



Therefore, $q = 0$,

then apply Castelnuovo's criterion.

• Assume that X_{\min} is the minimal model of X .

Theorem 2 $\Rightarrow X_{\min} \cong \mathbb{P}^2$ or $\mathbb{F}_{n \neq 1}$

If $X_{\min} \cong \mathbb{F}_{n \geq 2}$, then $-K_X$ is not ample.

$-K_{\mathbb{F}_{n \geq 2}}$ not ample

• $X_{\min} \cong \mathbb{P}^2$, then $X \rightarrow X_{\min}$ blow up at r points

$$0 \leq r \leq 8$$

} otherwise $-K_X$ is not ample

$X_{\min} \cong \mathbb{P}^1 \times \mathbb{P}^1$, then $X \cong X_{\min}$

□

