Obstructions to deforming curves lying on a K3 surface

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Today's slide

Plan of Talk

- Hilbert schemes and Mumford's example (Motivation)
- Deformation of curves lying on a K3 surface
- **3** An example of non-reduced components of $\mathbf{Hilb}^{sc} \mathbb{P}^5$

§1 Hilbert schemes and Mumford's example (Motivation)

Hilbert schemes

We work over a field $k = \overline{k}$ of char k = 0.

Theorem 1 (Grothendieck'60)

Given a closed subscheme $X \subset \mathbb{P}^n$ and a closed subscheme $C \subset X$ with Hilbert polynomial P(C) = P, there exists a projective scheme $\operatorname{Hilb}_P X$, parametrizing all closed subschemes C' of X with (the same) Hilbert polynomial P.

 $\operatorname{Hilb} X := \coprod_P \operatorname{Hilb}_P X$ is called the Hilbert scheme of X. Today we consider the open and closed subscheme

 $Hilb^{sc} X := \{smooth connected curves <math>C \subset X\} \subset Hilb X,$

that is, the Hilbert scheme of curves in X.

Infinitesimal property of Hilbert schemes

- The tangent space of Hilb X at [C] is isomorphic to $H^0(C, N_{C/X})$.
- $C \subset X$: a locally complete intersection \Longrightarrow every obstruction to deforming C in X is contained in $H^1(C, N_{C/X})$ ($\subset \operatorname{Ext}^1(I_C, O_C)$) and

$$\underbrace{h^0(C,N_{C/X})-h^1(C,N_{C/X})}_{\text{exp.dim.}(=\chi(N_{C/X})\text{ if C is a curve})} \leq \dim_{[C]} \text{Hilb $X \leq $\underbrace{h^0(C,N_{C/X})}_{\text{tangential dimension}}.$$

- We say $C \subset X$ is unobstructed if Hilb X is nonsingular at [C].
- $H^1(C, N_{C/X}) = 0 \Longrightarrow C$ is unobstructed. The converse is not true (e.g. c.i. curves $C \subset \mathbb{P}^3$ may have large $H^1(N_{C/\mathbb{P}^3})$ but unobstructed.).

Purpose 2

Determine $\dim_{[C]} \operatorname{Hilb} X$ at a singular point [C] of $\operatorname{Hilb} X$.

Mumford's example (pathology)

The following example appeared in a famous paper "Further pathologies in algebraic geometry [Mumford'62]".

Example 1 (Mumford)

 $\mathbf{Hilb}^{sc} \mathbb{P}^3$ contains a generically non-reduced irreducible component W of dimension 56, whose general member C satisfies:

- C is contained in a smooth cubic surface $S \subset \mathbb{P}^3$.
- ② There exists a line E on S such that C belongs to a complete linear system $\Lambda := |-4K_S + 2E|$ ($\simeq \mathbb{P}^{37}$) on S.

Remark 3

- C and \mathbb{P}^3 are innocent-looking (a pathology).
- ullet C is of degree 14 and genus 24, and $h^1(N_{C/\mathbb{P}^3})=1$ and

$$\chi(N_{C/\mathbb{P}^3}) = 56 = \dim_{[C]} \operatorname{Hilb}^{sc} \mathbb{P}^3 < h^0(N_{C/\mathbb{P}^3}) = 57.$$

Generalization of Mumford's example

- Later many non-reduced components of $\mathbf{Hilb}^{sc} \mathbb{P}^3$ were found by e.g. Gruson-Peskine'82, Kleppe'87, Ellia'87, N'05, Kleppe-Ottem'15, etc. and also those of $\mathbf{Hilb}^{sc} \mathbb{P}^n$ (n > 3) have been more recently found by Choi-Iliev-Kim'24-1, and '24-2.
- Curves C corresponding to the generic point of the non-reduced components were contained in some surface $S \subset \mathbb{P}^n$, e.g.,

	a surface S containing C
Mumford['62]	smooth cubic
Gruson-Peskine'82	non-normal cubic
Kleppe'87	smooth cubic
Kleppe-Ottem'15	smooth quartic
Choi-Iliev-Kim'24-1, '24-2	ruled surface

Another generalization (with Mukai)

We found that in Mumford's example, (-1)-curves $E \simeq \mathbb{P}^1$ (on smooth cubics) play an important role.

Theorem 4 (Mukai-N'09, char $k \ge 0$)

Let *X* be a smooth projective 3-fold satisfying the following:

- there exists a smooth rational curve E on X s.t. $N_{E/X}$ is globally generated, and
- ② there exists a smooth surface S s.t. $E \subset S \subset X$, $E^2 = -1$ on S, and $H^1(S, N_{S/X}) = p_g(S) = 0$.

Then the Hilbert scheme $\mathbf{Hilb}^{sc} X$ has infinitely many generically non-reduced components (GNRC).

Remark 5

In Mumford's ex., $X = \mathbb{P}^3$, S is a smooth cubic, E is a line.

Hilbert scheme of Fano 3-folds

- A Fano manifold is a smooth projective variety X with ample $-K_X$.
- The index r of a Fano manifold X is the maximal integer r such that $-K_X \sim rH$ with some $H \in \operatorname{Pic} X$.

Let X be a smooth Fano 3-fold of index r.

- $X \simeq \mathbb{P}^3$ if r = 4 and $X \simeq Q^3 \subset \mathbb{P}^4$ if r = 3, and X is called del Pezzo if r = 2, and prime if r = 1 and $\rho = 1$.
- If we restrict X with $\rho = 1$, then there exist 17 deformation equivalence classes of X (Fujita, Iskovskikh'77,'78):

r	4	3	2	1
the number of cls.	1	1	5	10
variety / cls.	\mathbb{P}^3	$Q^3 \subset \mathbb{P}^4$	del Pezzo	prime Fano

Table: the number of deformation equivalence classes of X

Applying Theorem 4, we obtain

Example 2 (N'10)

If r(X) > 1, then $Hilb^{sc} X$ contains a a generically non-reduced component W satisfying:

- every general member C of W is contained in a smooth del Pezzo surface S ($\sim -\frac{r-1}{r}K_X$), and
- ② there exists a (good) line E on S and $C \sim -K_X|_S + 2E$ in Pic S.
- 3 $h^0(C, N_{C/X}) = \dim W + 1$.

Here

- A curve $E \subset X$ is a line $\stackrel{\text{def}}{\Longleftrightarrow} E \simeq \mathbb{P}^1$ and $-\frac{1}{r}K_X.E = 1$.
- A line $E \subset X$ is good $\stackrel{\text{def}}{\Longleftrightarrow} N_{E/X} \simeq O_E^{\oplus 2}$ (for r=2,3).
- dim W = 56, 42 and $(-K_X)^3/2 + 4$ for r = 4, 3, 2, respectively.

However, if X is prime (r = 1), then there exists NO del Pezzo surface $S \subset X$.

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- §2.2 Hilbert-flag schemes and its smoothness
- §2.3 A criterion for obstructedness

§2 Deformation of curves lying on a K3 surface

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Curves on K3 surface

In this section, we study the deformations of smooth curves on a smooth Fano 3-fold, under the assumption that the curve is contained in a smooth *K*3 surface.

Definition 6

A smooth projective surface S with $K_S \sim 0$ and $H^1(S, O_S) = 0$ is called a K3 surface.

Let

$$C \subset S_{K3} \subset X_{Fano}$$

a sequence of a curve, a K3 surface, a Fano 3-fold. We will see the following curves on S control the deformations C in X:

- (-2)-curves $E \simeq \mathbb{P}^1$,
- elliptic curves F

Actually, they play a role very similar to that of (-1)-curve $E \simeq \mathbb{P}^1$ on the smooth cubic $S_3 \subset \mathbb{P}^3$ in Mumford's example!

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Hilbert-flag scheme

A main tool of our studies is $\mathbf{HF} X$ the Hilbert-flag scheme of X, i.e.

$$\mathbf{HF}\,X = \big\{ (C,S) \; \big| \; C \subset S \subset X \text{: closed subschemes} \big\} \,.$$

If $C \hookrightarrow S \hookrightarrow X$ is regular embeddings, then

- the tang. sp. and the obst. sp. of HF X at (C,S) is $H^0(N_{(C,S)/X})$ and $H^1(N_{(C,S)/X})$.
- the normal sheaf $N_{(C,S)/X}$ of (C,S) in X is the fiber product sitting in

$$\begin{array}{c|c} N_{(C,S)/X} & \xrightarrow{\pi_2} & N_{S/X} \\ \hline \pi_1 & & |c| \\ \downarrow & & |c| \\ N_{C/X} & \xrightarrow{\pi_{C/S}} & N_{S/X}|_C. \end{array}$$

Here $|_C$ is the restriction of sheaves, and $\pi_{C/S}:N_{C/X}\to N_{S/X}\big|_C$ is the natural projection.

Similarly to Hilbert schemes,

$$h^0(X, N_{(C,S)/X}) - h^1(X, N_{(C,S)/X}) \le \dim_{(C,S)} HF X \le h^0(X, N_{(C,S)/X}).$$

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Lemma 7

Let $C \subset S_{K3} \subset X_{Fano}$. Then TFAE:

- $H^1(N_{(C,S)/X}) = 0$, namely HF X is nonsingular at (C,S) of expected dimension $\chi(N_{(C,S)/X})$.
- ② There exists a first order deformation \tilde{S} of S in X, to which C does not lift.

Proof.

By adjunction, $N_{S/X} \simeq -K_X\big|_S$ and $N_{C/S} \simeq K_C$, which implies $H^i(N_{S/X}) = 0$ for i > 0 and $H^1(N_{C/S}) \simeq k$. There exists an exact sequence $0 \to N_{C/S} \to N_{(C,S)/X} \to N_{S/X} \to 0$, inducing

$$H^0(N_{(C,S)/X}) \xrightarrow{p_2} H^0(N_{S/X}) \longrightarrow \underbrace{H^1(N_{C/S})}_{\sim k} \longrightarrow H^1(N_{(C,S)/X}) \longrightarrow 0.$$

 $H^1(N_{(C,S)/X}) = 0$ iff p_2 is not surjective, which is the second condition.

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Example 8

Let X be a prime Fano 3-fold, $S \in |-K_X|$ a K3 surface, $E \subset S$ a line on S. Then TFAE:

- **1** E is of type (0,-1), i.e. $N_{E/X} \simeq O \oplus O(-1)$,
- Will Hilb X is nonsingular at [E] (of exp. dim.),
- **IF** X is nonsingular at (E, S) (of exp. dim.).

A line E on X is called good if E is of type (0, -1), otherwise (that is of type (1, -2)) called bad.

Lemma 9

If X is prime, and E is a good line or a good conic on X contained in a smooth K3 surface $S \in |-K_X|$, then there exists a first order deformation \tilde{S} of S to which E does not lift, i.e., $H^1(X, N_{(E,S)/X}) = 0$.

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A key lemma

Lemma 10 (char k = 0)

Let $S \stackrel{\iota}{\hookrightarrow} X$ be an embedded K3 surface, and let E be a curve on S with $H^1(O_S(E)) = 0$ and $H^1(X, N_{(E,S)/X}) = 0$. If $C - bE \in \iota^* \operatorname{Pic} X$ for some $b \neq 0$, then $H^1(X, N_{(C,S)/X}) = 0$.

Proof.

Since $H^1(X,N_{(E,S)/X})=\mathbf{0}$, by Lem. 7, there exists a first order deformation \tilde{S} of S in X, to which E does not lift. Then neither does $O_S(E)$ by $H^1(O_S(E))=\mathbf{0}$. Let $\tau\in H^1(S,T_S)$ (abstract def.) correspond to \tilde{S} . Then $\tau\cup c(O_S(E))\neq \mathbf{0}$ in $H^2(O_S)$, where $c(*)\in H^1(S,\Omega_S^1)$ denotes the Atiyah-ext. class of *. Since $c(O_S(C))=c(O_S(C-bE))+bc(O_S(E))$, and $C-bE\in i^*$ Pic X, we have $\tau\cup c(O_S(C))\neq \mathbf{0}$, hence $O_S(C)$ does not lift to \tilde{S} , hence neither does C as a closed subscheme of S, and $H^1(X,N_{(C,S)/X})=\mathbf{0}$.

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π -map

Let E be a curve on S ($\subset X$), and $\pi_{E/S}: N_{E/X} \longrightarrow N_{S/X}|_E$ the projection.

Definition 11 (π -map)

The homomorphism $\pi_{E/S}(E) = \pi_{E/S} \otimes O_E(E)$ of sheaves on E induces a map

$$\pi_{E/S}(E): H^0(E, N_{E/X}(E)) \longrightarrow H^0(E, N_{S/X}(E)|_E),$$

on the global sections. We call this map the π -map for (E, S).

Example 12

Let E be a conic on a prime Fano 3-fold X, contained in a smooth $S \in |-K_X|$. Then $O_E(E) \simeq O_E(-2)$, and $N_{S/X}\big|_E \simeq O_E(2)$. If E is good (i.e. $N_{E/X}$ is trivial), then the π -map

$$\pi_{E/S}(E): H^0(E, O_E(-2)^2) \longrightarrow H^0(E, O_E)$$

for (E, S) is zero map (and hence not surjective).

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Obstructedness of curves in a K3 surface

Let X be a smooth Fano 3-fold, a smooth K3 surface $S \in |-K_X|$, $C \subset X$ a smooth curve.

Theorem 13 (N'17)

Put

$$D:=C+K_X|_{S}.$$

a divisor on S. If $H^1(N_{(C,S)/X}) = 0$ and $D \ge 0$, then

- If there exist no (-2)-curves and no elliptic curves on S, or if $H^1(S, D) = 0$, then C is unobstructed.
- ② If $D^2 \ge 0$ and there exists a (-2)-curve E on S such that E.D = -2 and $H^1(S, D 3E) = 0$, then we have $h^1(S, D) = 1$. If moreover, the π -map $\pi_{E/S}(E)$ is not surjective, then C is obstructed.
- If there exists an elliptic curve F on S such that D ~ mF for m ≥ 2, then we have $h^1(S, D) = m 1$. If moreover, $π_{F/S}(F)$ is not surjective, then C is obstructed.

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Analogy of Mumford's ex. in the case r = 1

Applying the previous theorem to a K3 surfaces $S \subset X$ and a good conic $E \simeq \mathbb{P}^1$ on S, we obtained:

Theorem 14 (N'19)

Let X be a prime Fano 3-fold of genus $g := (-K_X)^3/2 + 1$. Then $Hilb^{sc} X$ contains a generically non-reduced component W with the following properties:

- Every general member C of W is contained in a K3 surface S ($\sim -K_X$).
- ② There exists a good conic $E \simeq \mathbb{P}^1$ on S such that $C \sim -2K_X|_S + 2E$.
- **3** dim W = 5g + 1, $h^0(C, N_{C/X}) = 5g + 2$, and C is of degree 4g and genus 4g + 1.

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Some remarks

For the proof, we need the following facts:

- The prime Fano 3-fold $X = X_{2g-2}$ contains a conic $E \subset V$ (cf. [Shokurov'79], [Reid'80]).
- If E ⊂ X is general, then E is a good conic (cf. [Iskovskih'78]) if char k = 0.
- For every conic E, there is a smooth K3 surface $S \in |-K_V|$ containing E (cf. [Iskovskikh]).

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Corollary 15

If X is a smooth Fano 3-fold and $\rho(X) = 1$, then $\operatorname{Hilb}^{sc} X$ contains a generically non-reduced component.

3-fold X	surface S	$[C] \in \operatorname{Pic} S$	E	
\mathbb{P}^3				Mumford['62]
$Q^3 \subset \mathbb{P}^4$	del Pezzo	$-K_X _S + 2E$	line	Mukai-N['09]
del Pezzo				Mukai-N['09], N['10]
prime Fano	К3	$-2K_X _S + 2E$	conic	N['19]

Table: Generically non-reduced component of Mumford type

1 Main result 2 Key lemma 3 Proof

\$3 An example of non-reduced components of Hilb sc \mathbb{P}^5

§3.1 Main result §3.2 Key lemma

Main result

Toward a further generazation, we compute the obstruction to deforming curves lying on a complete intersection K3 surface in \mathbb{P}^5 .

Theorem 16 (Main)

The Hilbert scheme $\operatorname{Hilb}^{sc} \mathbb{P}^5$ contains a generically non-reduced components W_n $(n \geq 2)$ with the following properties:

• every general C of W_n is a smooth connected curve contained in a smooth complete intersection K3 surface

$$S=S_{2,2,2}=Q_1\cap Q_2\cap Q_3\subset \mathbb{P}^5.$$

- ② C is linearly equivalent to n(2h + E), where $h = [O_S(1)]$ in Pic S, and E is a line on S.
- 3 C is of degree 17n and genus $17n^2 + 1$.
- **3** dim $W=17n^2+54$ (= g+53), while $h^0(N_{C/\mathbb{P}^5})=17n^2+57$, thus $h^0(N_{C/\mathbb{P}^5})-\dim W=3$.

§3.1 Main result §3.2 Key lemma

Construction

We see
$$h^0(\mathbb{P}^5,O(2))={5+2\choose 2}=21$$
 and
$$h^0(\mathbb{P}^5,I_E(2))=21-h^0(E,O_E(2))=18.$$

Then

where $g + 53 = 17n^2 + 54$ and $V = H^0(\mathbb{P}^5, O(2))$.

Key Lemma

Let X be a projective scheme, and let $\mathbf{HF}\,X$ be the Hilbert-flag scheme of X. There exists a projection

$$pr_1: \operatorname{HF} X \to \operatorname{Hilb} X, \quad (C,S) \mapsto [C],$$

which induces the tangent map $p_1: H^0(X, N_{(C,S)/X}) \to H^0(C, N_{C/X})$.

Lemma 17 (Key Lemma, N['23], Lem. 2.17)

We have $\dim_{(C,S)} HF X = \dim_{[C]} Hilb X$ if we have

- \bullet $H^1(X, N_{(C,S)/X}) = H^0(S, I_{C/S} \otimes_S N_{S/X}) = 0$, and
- ② for every $\alpha \in H^0(C, N_{C/X}) \setminus \operatorname{im} p_1$, the (primary) obstruction $\operatorname{ob}(\alpha)$ (to extend α a second order deformation over $k[t]/(t^3)$) is nonzero.

Sketch of Proof of Main thm.

Let $C \subset \mathbb{P}^5$ be a smooth connected curve lying on a complete intersection K3 surface $S_{2,2,2} \subset \mathbb{P}^5$, and such that $C \sim 2n\mathbf{h} + nE$ in $\mathbf{Pic}\,S$ for $n \geq 2$, where E is a line on S

- Since $d = 17n > 16 = 2h^2$, S is uniquely determined by C.
- Then for all i > 0, $H^i(N_{S/\mathbb{P}^5}(-E)) = 0$ by proj. normality and $H^i(N_{E/\mathbb{P}^5}) = 0$ by ampleness. Then it follows from

$$0 \longrightarrow N_{S/\mathbb{P}^5}(-E) \longrightarrow N_{(E,S)/\mathbb{P}^5} \stackrel{\pi_1}{\longrightarrow} N_{E/\mathbb{P}^5} \longrightarrow 0$$

that $H^i(N_{(E,S)/\mathbb{P}^s}) = 0$, which implies there exists a first order deformation of \tilde{S} of S, to which E (and hence C) does not lift.

• Then $H^i(N_{(C,S)/\mathbb{P}^5}) = 0$ for i > 0 and

$$H^0(N_{(C,S)/\mathbb{P}^5}) \xrightarrow{p_1} H^0(N_{C/\mathbb{P}^5}) \longrightarrow H^1(N_{S/\mathbb{P}^5}(-C)) \longrightarrow 0$$

is exact. Here p_1 is the tangent map of $pr_1: \operatorname{HF} \mathbb{P}^5 \to \operatorname{Hilb} \mathbb{P}^5$ at (C,S) and its cokernel is of dimension 3 by

$$H^1(N_{S/\mathbb{P}^5}(-C)) \simeq H^1(O_S(2\mathbf{h}-C))^{\oplus 3} \simeq k^3.$$

Sketch of Proof of Main thm.

• We note that $H^1(N_{S/\mathbb{P}^5}(E-C))=H^1(-L^{\oplus 3})=0$, where

$$L = C - 2h - E = (n - 1)(2h + E)$$

is nef and big.

- Then for every $\alpha \in H^0(N_{C/\mathbb{P}^5}) \setminus \operatorname{im} p_1$, its exterior component $\pi_{C/S}(\alpha)$, i.e., the image of α in $H^0(N_{S/\mathbb{P}^5}(E)|_C)$, lifts to a global section β of $N_{S/\mathbb{P}^5}(E)$. (Here β is called an infinitesimal deformation with poles.)
- Applying a "modification" of the obstructedness criterion [Mukai-N'09] to β , we obtain $ob(\alpha) \neq 0$. This implies

$$\dim_{[C]} \operatorname{Hilb}^{sc} \mathbb{P}^5 = \dim_{(C,S)} \operatorname{HF} \mathbb{P}^5$$

by the key lemma. Therefore C is obstructed and parametrised by an open dense subset of a component of $Hilb^{sc} \mathbb{P}^5$.

§3.1 Main resu §3.2 Key lemm §3.3 Proof

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