

# Fano Threefolds

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# 1 Day 1: April 6

Grade: solve 2~4 exercises (report)

Throughout this lecture,

- we work over  $\mathbb{C}$ .
- A projective scheme is a projective scheme over  $\mathbb{C}$ , i.e. a closed subscheme of  $\mathbb{P}_{\mathbb{C}}^N$  for some  $N$ .
- A variety is an integral scheme which is separated and of finite type over  $\mathbb{C}$ .

**Definition 1.1.** A Fano variety is a smooth projective variety  $X$  such that  $-K_X$  is ample.

**Definition 1.2.** Let  $X$  be a smooth variety. A canonical divisor  $K_X$  is a Weil divisor such that  $\mathcal{O}_X(K_X) \cong \omega_X := \bigwedge^{\dim X} \Omega_X^1 \in \text{Pic}(X)$ . ( $\Omega$  is a locally free sheaf of rank (=  $\dim X$ )) the canonical divisor

**Example 1.3.** If  $X$  is a smooth projective curve, then  $X$  is Fano iff  $X \cong \mathbb{P}^1$ .

*Proof.* 1. A divisor  $D$  on  $X$  is ample iff  $\deg D > 0$ . ( $\deg D = \sum a_i$  for  $D = \sum a_i P_i$ )

2.  $\deg K_X = 2g - 2$ , ( $g := h^1(X, \mathcal{O}_X) \in \mathbb{Z}_{\geq 0}$ )

3.  $g = 0$  iff  $X \cong \mathbb{P}^1$ .

Moreover,  $\mathbb{P}^n$  is Fano. □

**Example 1.4.** Let  $X \subset \mathbb{P}^N$ : smooth hypersurface of  $\deg d$ . For example, we may consider  $X = \{x_0^d + \cdots + x_N^d\}$ . Then,  $X$  is Fano iff  $d \leq N$ .

*Proof.* (Sketch) By the adjunction formula,

$$\mathcal{O}_X(K_X) \cong \mathcal{O}_{\mathbb{P}^N}(K_{\mathbb{P}^N} + X)|_X \cong \mathcal{O}_{\mathbb{P}^N}(-N - 1 - d)|_X.$$

Then,  $\text{Pic } \mathbb{P}^N = \{\mathcal{O}_{\mathbb{P}^N}(m) | m \in \mathbb{Z}\} \cong \mathbb{Z}$  (group isomorphism). □

Why 3-folds? It is started by Gino Fano (1904~), and the following theorem gives a motivation:

**Theorem 1.5** (Lüroth, 1876).  $\mathbb{C} \subset K \subset \mathbb{C}(x)$  be field extensions. Assume the transcendental degree of  $K$  is one. Then,  $K \cong \mathbb{C}(y)$ .

The Lüroth problem states that: if  $\mathbb{C} \subset K \subset \mathbb{C}(x_1, \dots, x_n)$  field extensions, assuming the transcendental degree of  $K$  is  $n$ , then  $K \cong \mathbb{C}(y_1, \dots, y_n)$ ?

**Theorem 1.6** (Castelnuovo, 1886). The Lüroth problem is true if  $n = 2$ .

The idea of this theorem is to convert Lüroth problem into a geometric version. A field extension  $K \subset \mathbb{C}(x)$  corresponds to a dominant rational map  $\mathbb{P}_{\mathbb{C}}^1 \rightarrow X$ , and the transcendental degree one is equivalent to that  $X$  is curve. Here we may assume  $X$  to be a smooth projective curve. So, the Lüroth theorem can be restated as

**Theorem 1.7.** If  $\mathbb{P}_{\mathbb{C}}^1 \rightarrow X$  for a smooth projective curve  $X$ , then  $X \cong \mathbb{P}_{\mathbb{C}}^1$ .

For  $n = 2$ , we consider the rationality criterion.

**Theorem 1.8.** Let  $X$  be a smooth projective surface. Then,  $X$  is rational iff  $H^1(X, \mathcal{O}_X) = H^0(X, 2K_X) = 0$

**Example 1.9.** If a surface  $X$  is del Pezzo (= Fano surface), then  $X$  is rational. It is because if  $-K_X$  is ample then  $H^0(X, 2K_X) = 0$  ( $\because$  if not, then  $2K_X$  is linearly equivalent to an effective divisor  $D$ , and  $2(-K_X)^2 = 2K_X \cdot K_X = D \cdot K_X = \sum a_i C_i \cdot K_X \geq 0$ .) Also, by the Kodaira vanishing, we have  $H^1(X, \mathcal{O}_X) = H^1(X, \mathcal{O}_X(K_X + (-K_X))) = 0$ .

How about  $n = 3$ ? We may consider

- Three-dimensional rationality criterion?
- Fano hypersurface  $X \subset \mathbb{P}^4$  are rational?

To settle the second question, Fano studied similar and easier Fano threefolds.

**Theorem 1.10.** *There is a counterexample to Lüroth's problem. Specifically, if  $X$  is the complete intersection of deg 2 hypersurface and deg 3 hypersurface in  $\mathbb{P}^5$ ,  $X$  is not rational (1908, Fano), but  $X$  is unirational (1912, Enriques).*

**Theorem 1.11** (1942, G. Fano). *There is a hypersurface of degree 3  $X \subset \mathbb{P}^4$  which is not rational but unirational.*

*Remark 1.12.* The proof by Fano is not rigorous, so the second question (rationality of hypersurface) is now considered as results of

- Clemens-Griffiths (deg = 3)
- Iskovskih-Manin (deg  $\geq 4$ )

## Classification of Fano 3-folds

Two invariants: Picard number  $\rho$  and index  $r$ .

**Definition 1.13.** Let  $X$  be a smooth projective variety.

$$\rho = \rho(X) := \dim_{\mathbb{Q}}((\text{Pic} X \otimes_{\mathbb{Z}} \mathbb{Q}) / \equiv) \in \mathbb{Z}_{\geq 0}.$$

It is equal to  $\dim_{\mathbb{Q}}((\text{Div} X \otimes_{\mathbb{Z}} \mathbb{Q}) / \equiv)$ , where  $\text{Div} X$  is the group of Weil divisors so that  $\text{Div} X \otimes_{\mathbb{Z}} \mathbb{Q}$  contains the formal linear combinations of prime divisors over  $\mathbb{Q}$ , and where the equivalence relation is given by  $D \equiv D'$  iff  $D \cdot C = D' \cdot C$  for every curve on  $X$ . From the intersection theory,  $D \cdot C = \mathcal{O}_X(D) \cdot C = \deg(\mu^* \mathcal{O}_X(D))$  for  $\mu : C^N \rightarrow C \hookrightarrow X$  (composition of normal and closed immersion). Then,  $D \in \text{Div} X \otimes_{\mathbb{Z}} \mathbb{Q}$  implies that there is  $m \in \mathbb{Z}_{\geq 0}$  such that  $mD \in \text{Div} X$ , then  $D \cdot C := \frac{1}{m}((mD) \cdot C)$ .

*Remark 1.14.* Let  $X$  be a Fano variety. Then,  $\text{Pic} X \cong \text{Pic} X / \equiv \cong \mathbb{Z}^{\oplus \rho(X)}$ . In particular,  $D \sim D'$  implies  $D \equiv D'$ .

**Definition 1.15.** Let  $X$  be a Fano variety.

$$r = r_X := \text{the largest positive integer that divides } K_X,$$

that is, there is a divisor  $H$  such that  $-K_X \sim rH$ , but for  $s > r$  there is no divisor  $H$  such that  $-K_X \sim sH$ .

We shall prove  $1 \leq r \leq \dim X + 1$  (for  $\dim X = 3$ , then  $r = 1, 2, 3, 4$ ).

**Example 1.16.** Let  $X = \mathbb{P}^3$ . Then,  $\text{Pic} X \cong \mathbb{Z}H$ , where  $H$  is a hyperplane, and  $-K_X \equiv 4H$ , hence  $\rho = 1$  and  $r = 4$ .

So here is the outline:

1.  $r \geq 2$ : Iskovskih, Fujita
2.  $\rho = r = 1$ : Iskovskih, Fujita
3.  $\rho \geq 2$ : Mori-Mukai

For 1,  $\Delta$ -genus(Fujita) is used, and for 2 and 3, the cone theorem(minimal model program) is used. When  $\dim X = 2$ , using MMP, a del Pezzo surface  $X$  is reduced to  $\mathbb{P}^2$  or  $\mathbb{P}^1 \times \mathbb{P}^1$ . When  $\dim X = 3$ , we have primitive Fano threefolds.

Our plan:

1. Cone theorem(mainly 2-dim)
  2.  $r \geq 2$
  3.  $\rho = r = 1$
  4.  $\rho \geq 2$  (primitive)
  5.  $\rho \geq 2$  (imprimitive)
- 

## Cone theorem

**Theorem 1.17** (Cone theorem, Mori, 1982). *Let  $X$  be a Fano variety. Then, there is rational curves  $l_1, \dots, l_m$  such that*

$$NE(X) = \sum_{i=1}^m \mathbb{R}_{\geq 0}[l_i] \quad \text{and} \quad -K_X \cdot l_i \leq \dim X + 1.$$

When  $\rho = 3$ ,  $NE(X) \subset N_1(X) \cong \mathbb{R}^{\rho(X)}$  is a triangular pyramid.

**Definition 1.18.** Let  $X$  be a smooth projective variety.

1.  $Z_1(X) := \bigoplus_{C: \text{curve on } X} \mathbb{Z}C$ ,
2.  $N_1(X) := (Z_1(X) \otimes_{\mathbb{Z}} \mathbb{R}) / \equiv$ , where  $Z \equiv Z'$  iff  $L \cdot Z = L \cdot Z'$  for all  $L \in \text{Pic} X$ .

It is well-known that

$$N_1(X) \times \left( \frac{\text{Pic} X \otimes_{\mathbb{Z}} \mathbb{R}}{\equiv} \right) \rightarrow \mathbb{R}$$

induces a bijection

$$N_1(X) \rightarrow \text{Hom}_{\mathbb{R}} \left( \frac{\text{Pic} X \otimes_{\mathbb{Z}} \mathbb{R}}{\equiv}, \mathbb{R} \right),$$

therefore  $\dim_{\mathbb{R}} N_1(X) = \rho(X)$ .

**Definition 1.19.** Let  $X$  be a smooth projective variety.

1. For  $Z \in Z_1(X) \otimes \mathbb{R}$ , denote by  $[Z] \in N_1(X)$  the numerical equivalence class of  $Z$ .
2. For  $Z \in Z_1(X) \otimes \mathbb{R}$  is an effective 1-cycle.
3.  $NE(X) := \{[Z] \in N_1(X) : Z \text{ effective 1-cycles}\}$

*Remark 1.20.*  $NE(X)$  is a convex cone.

**Example 1.21.** Let  $X := \mathbb{P}^1 \times \mathbb{P}^1$ . Let  $l_i = \pi_i^{-1}(*)$  for  $i = 1, 2$  be any fibers. Then,  $NE(X) = \mathbb{R}_{\geq 0}[l_1] + \mathbb{R}_{\geq 0}[l_2]$ . One direction is clear, and for the opposite, pick  $[D] = [a_1 C_1 + \dots + a_r C_r] \in NE(X)$  ( $a_i \geq 0$ ). It is enough to show  $C_i \equiv b_1 l_1 + b_2 l_2$  for some  $b_1, b_2 \geq 0$ . Fix a curve  $C$  on  $X$ . Note that since  $\text{Pic} X = \mathbb{Z}l_1 \oplus \mathbb{Z}l_2$ , we have  $C \equiv b_1 l_1 + b_2 l_2$ , so  $0 \leq C \cdot l_i = (b_1 l_1 + b_2 l_2) \cdot l_i = b_i l_1 \cdot l_2 > 0$ , we are done.

References for surfaces:

- Beauville: Complex algebraic surfaces (over  $\mathbb{C}$ ),
- Bădescu: Algebraic surfaces

References for cone thm:

- Kollár-Mori: Birational geometry of algebraic varieties
- Debarre: Higher-dimensional algebraic geometry

## 2 Day 2: April 13

### Extremal rays

**Definition 2.1.** Let  $X$  be a Fano variety. A ray  $R$  is called an extremal ray (of  $NE(X)$  or of  $X$ ) if  $\zeta, \xi \in NE(X)$  and  $\zeta + \xi \in R$  imply  $\zeta, \xi \in R$ .

**Theorem 2.2** (Contraction theorem). Let  $X$  be a Fano variety,  $R = \mathbb{R}_{\geq 0}[l]$  an extremal ray for a curve  $l$  on  $X$ . Then, there is a unique morphism  $f : X \rightarrow Y$  such that

- (i)  $Y$  is a projective normal variety,
- (ii)  $f_*\mathcal{O}_X = \mathcal{O}_Y$ ,
- (iii) For a curve  $C$  on  $X$ ,  $f(C)$  is point iff  $[C] \in R$ .

Note that such  $f$  can define the associated extremal ray. Moreover, we have  $\rho(X) = \rho(Y) + 1$  and an exact sequence  $0 \rightarrow \text{Pic } Y \xrightarrow{f^*} \text{Pic } X \xrightarrow{\cdot l} \mathbb{Z}$ . The morphism  $f$  is called the contraction morphism of  $R$ .

*Proof.* See [Kollár-Mori]. □

**Theorem 2.3.** Let  $X$  be a del Pezzo surface. Let  $R = \mathbb{R}_{\geq 0}[l]$  be an extremal ray for a curve  $l$  on  $X$  and  $f : X \rightarrow Y$  be its contraction. Then, one of the following holds:

- (A)  $l$  is a  $(-1)$ -curve and  $f$  is a blow down of  $l$  (hence  $\dim Y = 2$ ),
- (B)  $\dim Y = 1$  (i.e.  $Y$  is a smooth projective curve) and  $\rho(X) = 2$ , and  $f$  is a  $\mathbb{P}^1$ -bundle with fiber  $l$ .
- (C)  $\dim Y = 0$  (i.e.  $Y = \text{Spec } \mathbb{C}$ ) and  $\rho(X) = 1$ .

**Remark 2.4.** Let  $Y$  be a smooth projective surface and  $f : X \rightarrow Y$  be the blowup at a point  $P \in Y$ . Then,  $l := f^{-1}(P)$  satisfies  $l \cong \mathbb{P}^1$  and  $l^2 = -1$ ; called  $(-1)$ -curve. In this case we say  $f$  is the blowdown of  $l$ .

**Remark 2.5.** Let  $X$  be a del Pezzo surface and  $\rho(X) = 1$ . Then, it is known that  $X \cong \mathbb{P}^2$ .

**Exercise 2.6.** Show the above remark.

**Remark 2.7.** Let  $X$  be a smooth projective rational surface. If there is no  $(-1)$ -curve on  $X$ , then  $X \cong \mathbb{P}^2$  or  $X$  is isomorphic to the Hirzebruch surface  $\mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}(n))$ , where  $n \in \mathbb{Z}_{\geq 0} \setminus \{1\}$ .

**Remark 2.8.** Let  $X$  be a del Pezzo surface and  $f : X \rightarrow Y$  be a  $\mathbb{P}^1$ -bundle on a smooth projective curve  $Y$ . Then,  $Y = \mathbb{P}^1$  and  $X \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}(n))$ ,  $n \in \{0, 1\}$ .

*Sketch.* Leray spectral sequence gives  $H^1(Y, f_*\mathcal{O}_X (= \mathcal{O}_Y)) \hookrightarrow H^1(X, \mathcal{O}_X) = 0$ , so  $H^1(Y, \mathcal{O}_Y) = 0$  implies  $Y = \mathbb{P}^1$ .

Also,  $\mathbb{P}^1$ -bundle,  $X \cong \mathbb{P}_{\mathbb{P}^1}(E)$  of rank two, it is well known that  $E \cong \mathcal{O}_{\mathbb{P}^1}(a) \oplus \mathcal{O}_{\mathbb{P}^1}(b)$  and  $X \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}(a) \oplus \mathcal{O}(b)) \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O} \oplus \mathcal{O}(b-a))$  for  $n := b-a \geq 0$ . It is known that for a  $\mathbb{P}^1$ -bundle over  $\mathbb{P}^1$  there is a section  $c$  such that  $c^2 = -n$ , then  $n \in \{0, 1\}$ . □

**Lemma 2.9.** Let  $X$  be a del Pezzo surface and  $C$  a curve on  $X$ . Then,  $C^2 \geq -1$ .

*Proof.* Write  $(K_X + C) \cdot C = 2h^1(C, \mathcal{O}_C) - 2$ . Recall that  $(\omega_X \otimes \mathcal{O}_X(C))|_C \cong \omega_C$  holds even if  $C$  is a singular curve. Hence,  $C^2 \geq -K_X \cdot C - 2 \geq 1 - 2 = -1$ . □

**Example 2.10.** Let  $X = \mathbb{P}^1 \times \mathbb{P}^1$  and  $l_i = \pi_i^{-1}(*)$  fibers. Then, each projection map  $\pi_i$  corresponds to the extremal rays  $\mathbb{R}_{\geq 0}[l_i]$ .

**Example 2.11.** Let  $X = \mathbb{P}^2$ . Then,  $NE(X) = \mathbb{R}_{\geq 0}[l] = \mathbb{R}_{\geq 0}[l'] = \dots$  since  $N_1(X) = \mathbb{R}^{\rho(X)} = \mathbb{R}$ .

**Example 2.12.** Let  $X = \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}(1))$ , which is del Pezzo. Then, if  $f$  is a blowdown of a section  $l \cong \mathbb{P}^1$ , then  $\rho(Y) = 1$  and  $Y \cong \mathbb{P}^2$ . Then, we have two extremal rays  $[l]$  and  $[l']$  which correspond to  $f$  and  $\pi$  respectively.

**Remark 2.13.** Let  $X$  be a del Pezzo surface with  $\rho(X) \geq 3$ . Then,

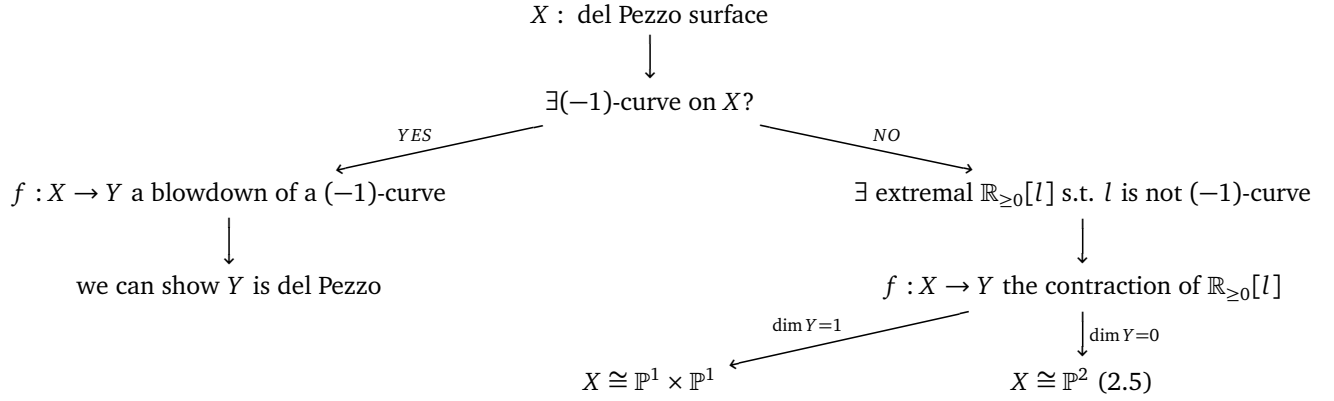
$$\{\text{extremal rays}\} \leftrightarrow \{(-1)\text{-curves}\}.$$

Therefore, a del Pezzo surface has a finitely many  $(-1)$ -curves.

**Example 2.14.** Let  $f : X \rightarrow \mathbb{P}^2$  be a blowup at two points  $P$  and  $Q$  with  $l_P = f^{-1}(P)$  and  $l_Q = f^{-1}(Q)$ . Lifting a line  $m$  passing through  $P$  and  $Q$ , we obtain  $m_X$  the proper transform of  $m$ . Then,  $\rho(X) = 3$  and  $NE(X) = \mathbb{R}_{\geq 0}[l_P] + \mathbb{R}_{\geq 0}[l_Q] + \mathbb{R}_{\geq 0}[m_X]$ .

**Remark 2.15.** Let  $X \subset \mathbb{P}^3$  be a smooth cubic surface, for example,  $X : x^3 + y^3 + z^3 + w^3 = 0$ . It is well-known that  $X$  has exactly 27  $(-1)$ -curves so that  $NE(X) = \sum_{i=1}^{27} \mathbb{R}_{\geq 0}[l_i]$ .

**Remark 2.16.** Minimal model program for del Pezzo surfaces.



**Remark.** Let  $X \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}(n))$  with  $n \in \{0, 1\}$ .

If  $n = 0$ , then  $X \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}) \cong \mathbb{P}^1 \times \mathbb{P}^1$ .

If  $n = 1$ , then  $X \cong \mathbb{P}_{\mathbb{P}^1}(\mathcal{O}_{\mathbb{P}^1} \oplus \mathcal{O}_{\mathbb{P}^1}(1))$ , there is a  $(-1)$ -curve on  $X$  (cf.(2.11))

**Outline of (2.3).** For an extremal ray  $R = \mathbb{R}_{\geq 0}[l]$ , (A) for  $l^2 < 0$ , (B) for  $l^2 = 0$ , (C) for  $l^2 > 0$ . □

**Proposition 2.17.** Let  $X$  be a del Pezzo surface and  $l$  be a curve on  $X$  with  $l^2 < 0$ . Then,

- (a)  $l$  is a  $(-1)$ -curve,
- (b)  $\mathbb{R}_{\geq 0}[l]$  is an extremal ray,
- (c) the contraction of  $R$  is the blowdown of  $l$ .

In particular,  $\dim Y = \dim X = 2$ .

**Proof.** (a) We will show the following statements are equivalent:

- (i)  $l$  is a  $(-1)$ -curve,
- (ii)  $l \cong \mathbb{P}^1$  and  $l^2 = -1$ ,
- (iii)  $K_X \cdot l = l^2 = -1$ ,
- (iv)  $K_X \cdot l < 0$  and  $l^2 < 0$ .

Here  $X$  is a smooth projective surface and  $l$  a curve on it. Note (i) and (ii) are equivalent by definition. The equivalence between (ii) and (iii) is due to  $(K_X + l) \cdot l = 2h^1(l, \mathcal{O}_l) - 2 \geq -2$ . The equivalence between (iii) and (iv) is clear.

(b) Omitted.

(c) Let  $f : X \rightarrow Y$  blowdown of  $l$  and  $P := f(l)$ . Recall that  $f$  is a contraction of  $R$  iff

- (i)  $Y$  is a projective normal variety,
- (ii)  $f_*\mathcal{O}_X = \mathcal{O}_Y$ ,
- (iii) for a curve  $C$  on  $X$ ,  $f(C)$  is a point iff  $[C] \in \mathbb{R}_{\geq 0}[l]$ .

It follows (ii) from the following lemma (2.18). For (iii),  $(\Rightarrow)$  is clear.  $(\Leftarrow)$  Suppose  $[C] \in \mathbb{R}_{\geq 0}[l]$  and  $C \neq l$  so that  $C \cdot l \geq 0$ . Then,  $C \equiv al$  for  $a \in \mathbb{R}_{\geq 0}$ , and  $a > 0$  since  $C \cdot H = al \cdot H$  for ample  $H$ . Now  $0 \leq C \cdot l = al \cdot l = a(> 0) \cdot l^2 (= -1) < 0$ , a contradiction.  $\square$

**Lemma 2.18.** *If  $f$  is a projective birational morphism of normal varieties, then  $f_*\mathcal{O}_X = \mathcal{O}_Y$ .*

*Proof.* Consider the Stein factorization

$$\begin{array}{ccc} X & \xrightarrow{f} & Y \\ & \searrow g \quad \nearrow h & \\ & Z & \end{array}$$

such that  $g_*\mathcal{O}_X = \mathcal{O}_Z$  and  $h$  finite. Then,

$$\begin{array}{ccc} K(X) & \xleftarrow{\cong} & K(Y) \\ & \searrow \quad \swarrow & \\ & K(Z) & \end{array}$$

implies  $Z \xrightarrow{h} Y$  is finite birational morphism, and  $A \hookrightarrow B$  is integral extension with  $K(A) = K(B)$  where  $\text{Spec} A \subset Y$  is affine open and  $\text{Spec} B$  is given by the pullback (inverse image of  $h$ ), hence  $A = B$ .  $\square$

**Lemma 2.19.** *Let  $X$  be a del Pezzo surface and  $\mathbb{R}_{\geq 0}[l]$  be an extremal ray for a curve  $l$  on  $X$ , whose contraction is  $f : X \rightarrow Y$ . Then,*

- (A)  $l^2 < 0$  iff  $\dim Y = 2$ ,
- (B)  $l^2 = 0$  iff  $\dim Y = 1$ ,
- (C)  $l^2 > 0$  iff  $\dim Y = 0$ .

*Proof.* Next lecture.  $\square$

**Proposition 2.20 ((B)).** *If  $l^2 = 0$ , then the fiber is isomorphic to  $\mathbb{P}^1$ .*

*Proof.* For  $P \in Y$ , let  $F := f^*P = \sum_{i=1}^r a_i C_i$  with  $a_i \in \mathbb{Z}_{>0}$  and  $C_i$  prime divisors.

**Claim 2.21.** *Every fiber is irreducible.*

*Proof.* If it is reducible, then there are  $C_1 \neq C_2$  in the fiber, then

$$F \cdot C_1 = \left( \sum_{i=1}^r a_i C_i \right) \cdot C_1 = a_1 C_1^2 + (\text{positive}),$$

so  $C_1^2 < 0$ . Then,  $C_i \equiv b_i l$ , so  $C_1^2 < 0$  implies  $l^2 < 0$  and  $C_1 \cdot C_2 \geq 0$  implies  $l^2 \geq 0$ , a contradiction.  $\square$

We can show that every fiber  $F$  is reduced:

$$(K_X + F) \cdot F = K_X \cdot F + F^2 = K_X \cdot F + 0 < 0,$$

by the adjunction,  $F \cong \mathbb{P}^1$ .  $\square$

### 3 Day 3: April 20

#### Nef divisors and big divisors

Our today's goal is to prove Lemma 2.19.

*Remark 3.1.* Since  $f_*(\mathcal{O}_X) = \mathcal{O}_Y$ ,  $f : X \rightarrow Y$  is surjective so that  $\dim Y \in \{0, 1, 2\}$ . If we prove (A) and (C) in the Lemma 2.19, then we are enough.

*Proof of Lemma 2.19 (A).*  $(\Rightarrow)$  Proposition 2.17.

$(\Leftarrow)$  Note that  $\dim X = \dim Y$  and  $f_*(\mathcal{O}_X) = \mathcal{O}_Y$  imply  $f$  is birational. For an ample Cartier divisor  $A_Y$  on  $Y$ ,  $f^*A_Y$  is a big divisor (defined later). Then,

$$f^*A_Y \cdot l = \deg(f^*A_Y|_l) = \deg(i^*f^*A_Y) = \deg((f|_l)^*j^*A_Y) = \deg((f|_l)^*\mathcal{O}_{f(l)}) = \deg \mathcal{O}_l = 0,$$

where  $i : l \hookrightarrow X$  and  $j : f(l) = * \hookrightarrow Y$  such that  $f i = j f|_l$ .

We can define  $f^*A_Y$  to be a big divisor if and only if there is  $m \in \mathbb{Z}_{>0}$  such that  $m f^*A_Y$  is the sum of an ample divisor  $A$  and an effective divisor  $E$ . Then,  $A \cdot l + E \cdot l = 0$  implies  $E \cdot l < 0$ , so if we write  $E = \sum a_i C_i$ , then  $l = C_i$  for some  $i$ , hence  $l^2 < 0$ .  $\square$

**Definition 3.2.** Let  $X$  be a projective normal variety and  $D$  a Cartier divisor. Then,  $D$  is called to be big if and only if there are  $m \in \mathbb{Z}_{>0}$ , an ample Cartier divisor  $A$ , and an effective Cartier divisor  $E$  such that  $mD = A + E$ .

*Remark 3.3.* In the above definition, the equality  $mD = A + E$  can be replaced by  $\sim$  or  $\equiv$ .

*Remark 3.4.* A divisor  $D$  is big iff  $nD$  is big for all  $n \in \mathbb{Z}_{>0}$  iff  $nD$  is big for some  $n \in \mathbb{Z}_{>0}$ .

**Proposition 3.5.** Let  $f : X \rightarrow Y$  be a birational morphism of projective normal varieties. For a Cartier divisor  $D$  on  $Y$ ,  $f^*D$  is big iff  $D$  is big.

*Proof.* Since  $f_*\mathcal{O}_X = \mathcal{O}_Y$ , by tensoring  $\mathcal{O}_Y(mD)$  we get

$$\mathcal{O}_Y(mD) = (f_*\mathcal{O}_X) \otimes_{\mathcal{O}_Y} \mathcal{O}_Y(mD) = f_*(\mathcal{O}_X \otimes_{\mathcal{O}_X} f^*\mathcal{O}_Y(mD)) = f_*f^*\mathcal{O}_Y(mD)$$

(the second equality is due to the projection formula), so

$$H^0(Y, \mathcal{O}_Y(mD)) = H^0(Y, f_*f^*\mathcal{O}_Y(mD)) = H^0(X, f^*\mathcal{O}_Y(mD)) = H^0(X, \mathcal{O}_X(mf^*(D))).$$

Therefore,  $f^*D$  is big iff  $D$  is big by Proposition 3.6.  $\square$

**Proposition 3.6.** Let  $X$  be a projective normal variety and  $D$  a Cartier divisor on  $X$ . Then  $D$  is big iff there is  $c \in \mathbb{Q}_{>0}$  such that for all sufficiently large  $m$  we have

$$h^0(X, \mathcal{O}_X(mD)) > c \cdot m^{\dim X}.$$

*Proof.*  $(\Rightarrow)$  We may assume  $D = A + E$  with  $A$  ample and  $E$  effective. Then,  $H^0(X, mD) = H^0(X, m(A + E)) \hookrightarrow H^0(X, mA)$  by

$$0 \rightarrow \mathcal{O}_X(-mE) \rightarrow \mathcal{O}_X \rightarrow \mathcal{O}_{mE} \rightarrow 0.$$

Thus  $h^0(X, mA) \leq h^0(X, mD)$  implies that we may assume  $D$  is ample.

It is well-known that

$$\chi(X, mD) = \frac{D^{\dim X}}{(\dim X)!} m^{\dim X} + O(m^{\dim X - 1}) \in \mathbb{Z}[m]$$

from the Riemann-Roch, and by the Serr vanishing we have  $\chi(X, mD) = h^0(X, mD)$  for large  $m$ , and we also have  $D^{\dim X} > 0$  by Nakai's criterion.



( $\Leftarrow$ ) Fix  $A$  a very ample divisor on  $X$ . We may assume by Bertini that  $A$  is a normal prime divisor. We have

$$0 \rightarrow \mathcal{O}_X(mD - A) \rightarrow \mathcal{O}_X(mD) \rightarrow \mathcal{O}_X(mD)|_A \rightarrow 0,$$

and  $\mathcal{O}_X(mD)|_A \cong \mathcal{O}_A(mD_A)$  for some Cartier divisor  $D_A$  on  $A$  such that  $\mathcal{O}_X(D)|_A \cong \mathcal{O}_A(D_A)$ .

Write

$$0 \rightarrow H^0(X, mD - A) \rightarrow H^0(X, mD) \rightarrow H^0(A, mD_A).$$

Here  $h_0(X, mD) \geq c \cdot m^{\dim X}$  and  $h^0(A, mD_A) \leq b \cdot m^{\dim A}$  by the Exercise 3.7, we have  $H^0(X, mD - A) \neq 0$  for some  $m > 0$ , i.e.  $mD - A$  is linearly equivalent to an effective divisor.  $\square$

**Exercise 3.7.** Let  $Z$  be a projective normal variety and  $D$  a Cartier divisor on  $Z$ . Show that there exists  $b > 0$  such that  $h^0(Z, mD) \leq b \cdot m^{\dim Z}$  for all  $m \in \mathbb{Z}_{>0}$ . If you want, you may assume that  $Z$  is smooth.

*Proof of Lemma 2.19 (C).* ( $\Leftarrow$ ) Let  $\dim Y = 0$  i.e.  $Y = \text{Spec } \mathbb{C}$  with  $\rho(X) = \rho(Y) + 1 = 1$ , which implies that  $l \equiv cA$  for some  $c \in \mathbb{Q}$  and an ample divisor  $A$  on  $X$  because every projective variety has an ample divisor. Then, we can prove  $c > 0$  from  $A \cdot l = A \cdot (cA) = cA^2$ , hence  $l^2 = (cA) \cdot (cA) = c^2 A^2 > 0$ .

( $\Rightarrow$ ) Let  $l^2 > 0$ . Note that if  $l$  is a curve on a smooth projective surface  $X$  such that  $l^2 > 0$ , then  $l$  is nef because  $l \cdot C > 0$  if  $l = C$  and  $l \cdot C \geq 0$  if  $l \neq C$ , and furthermore  $l$  is big by Proposition 3.9. Fix  $C$  a curve on  $X$ . We are enough to show  $[C] \in \mathbb{R}_{\geq 0}[l]$ . Then,  $N_1(X) = \bigoplus_{\mathbb{C}} \mathbb{R}_C / \equiv$  is generated by  $[l]$ , we get  $\rho(X) = \dim N_1(X) = 1$  and  $\dim Y = 0$ .

Let  $l$  be a big divisor so that there is a sufficiently large  $m$  with a rational map  $f : X \dashrightarrow \mathbb{P}^N$  defined by the complete linear system  $|ml|$  whose image is a surface. By considering the defining polynomials of  $\varphi(C) = \overline{V}_+(f_1, \dots, f_r)$  such that  $\varphi(ml)$  is a hyperplane section, there must be  $f_i$  not vanishing on  $X$ , so we have  $f_i$  with  $\overline{V}_+(f_i) \cap \varphi(X) = \varphi(C) + \varphi(E)$ , where  $E = \varphi^{-1}(\varphi(E))$ . Then, since  $\overline{V}_+(f_i) \sim \varphi((\deg f_i)ml)$ , which implies  $(\deg f_i)ml \sim C + E$ . Thus, using the definition of extremal rays, we have  $[C] \in \mathbb{R}_{\geq 0}[l]$ .  $\square$

**Definition 3.8.** Let  $X$  be a projective normal variety. A Cartier divisor  $D$  is called nef iff  $D \cdot C \geq 0$  for all curves  $C$  on  $X$ .

**Proposition 3.9.** Let  $X$  be a projective normal variety and  $D$  a nef Cartier divisor. Then,  $D$  is big iff  $D^{\dim X} > 0$ .

*Proof.* For simplicity, assume  $\dim X = 2$ .

( $\Rightarrow$ ) Let  $mD = A + E$  with  $z \in \mathbb{Z}_{>0}$ ,  $A$  ample,  $E$  effective. Since  $mD \cdot E \geq 0$  from that  $D$  is nef and  $mD \cdot A = A^2 + E \cdot A > 0$  from that  $A$  is ample, we have  $(mD)^{\dim X} = (mD)^2 = mD \cdot A + mD \cdot E > 0$ .

( $\Leftarrow$ ) We may assume  $X$  is smooth by taking a resolution of  $X$  (the pullback via a rational map of a nef or big divisor is also nef or big respectively). Take  $H$  a very ample divisor on  $X$ . We also may assume  $H - K_X$  is ample by the Serre criterion. Then,

$$0 \rightarrow \mathcal{O}_X(mD) \rightarrow \mathcal{O}_X(mD + H) \rightarrow \mathcal{O}_X(mD + H)|_H \rightarrow 0$$

and

$$0 \rightarrow H^0(\mathcal{O}_X(mD)) \rightarrow H^0(\mathcal{O}_X(mD + H)) \rightarrow H^0(\mathcal{O}_X(mD + H)|_H)$$

are exact. Note that we have

$$h^0(\mathcal{O}_X(mD + H)) = \chi(X, mD + H) = \frac{(mD + H)^2}{2!} + O(m) \geq c \cdot m^2$$

by the Kodaira vanishing

$$H^i(X, mD + H) = H^i(X, K_X + (mD)_{(\text{it is nef})} + (H - K_X)_{(\text{it is ample})}) = 0$$

(sum of nef and ample is ample  $\because$  Corollary 3.12.) and  $h^0(\mathcal{O}_X(mD + H)|_H) \leq b \cdot m^{\dim H} = b \cdot m$ . Therefore,  $h^0(X, \mathcal{O}(mD)) \geq c' \cdot m^2$  for some  $c'$  and sufficiently large  $m$ .  $\square$

*Remark 3.10.* Let  $X$  be a projective normal variety with a nef divisor  $D$ . Then,

- (a)  $D \cdot \forall(\text{curve}) \geq 0$  (by def),
- (b)  $D \cdot \forall(\text{effective 1-cycle}) \geq 0$ .

In particular,  $NE(X) \subset D^{\geq 0} := \{\zeta \in N_1(X) : D \cdot \zeta \geq 0\} = D^{>0} \cup D^\perp$ . In fact,

- (c) The Kleiman-Mori cone is contained in  $D^{\geq 0}$ , i.e.  $\overline{NE(X)} \subset D^{\geq 0}$ .

**Theorem 3.11** (Kleiman's ampleness criterion). *Let  $X$  be a projective normal variety and  $D$  a Cartier divisor. Then,  $D$  is ample iff  $\overline{NE(X)} \setminus \{0\} \subset D^{>0}$ .*

*Proof.* Omitted. □

**Corollary 3.12.** *If  $N$  is nef and  $A$  is ample, then  $N + A$  is ample.*

*Proof.*  $\zeta \in \overline{NE(X)} \setminus \{0\}$  implies  $(N + A) \cdot \zeta = N \cdot \zeta + A \cdot \zeta > 0$  because  $N \cdot \zeta \geq 0$  and  $A \cdot \zeta > 0$ . □

*Remark 3.13.* It is useful to use  $\mathbb{Q}$ -divisors. For  $D \in \text{Div} X \otimes_{\mathbb{Z}} \mathbb{Q}$ ,  $D$  is defined to be nef if there is  $m \in \mathbb{Z}_{>0}$  such that  $D$  is a nef Cartier divisor, and defined to be ample if there is  $m \in \mathbb{Z}_{>0}$  such that  $D$  is a ample Cartier divisor. Then, a nef divisor can be approximated by  $D = \lim_{\varepsilon \rightarrow 0+} (D + \varepsilon A)$ .

**Theorem 3.14** (Nakai-Moishezon). *Let  $X$  be a projective normal variety and  $D$  a Cartier divisor. Then,  $D$  is ample (resp. nef) iff for a subvariety  $Y \subset X$  we have  $Y \cdot D^{\dim Y} > 0$  (resp.  $\geq 0$ ).*

*Proof.* For amples, well-known. For nef, it follows from  $Y \cdot D^{\dim Y} = \lim_{\varepsilon \rightarrow 0+} Y \cdot (D + \varepsilon A)^{\dim Y} \geq 0$ . □

## 4 Day 4: April 27

### $\Delta$ -genus

We study  $\Delta$ -genus to classify Fano 3-folds with index  $r \geq 2$ .

#### 4.1 Index

**Definition 4.1.** Let  $X$  be a Fano 3-fold. The index  $r = r_X \in \mathbb{Z}_{>0}$  is defined such that there is a divisor  $H$  with  $-K_X \sim rH$  but no divisors  $H$  satisfy  $-K_X \sim sH$  for  $s \in \mathbb{Z}_{r>0}$ .

**Lemma 4.2.**  $1 \leq r \leq 4$ .

*Proof.* Cone theorem implies  $NE(X) = \sum_{i=1}^m \mathbb{R}_{\geq} [l_i]$  with  $0 < -K_X \cdot l_i \leq \dim X + 1 = 4$ . Then, since  $r \leq -K_X \cdot l_i$ , we are done.  $\square$

Today's goal:  $r = 4$  implies  $X \cong \mathbb{P}^3$ ,  $r = 3$  implies  $X \cong (\text{quadratic}) \subset \mathbb{P}^4$ .

Outline

$r = 4 \Rightarrow \Delta(X, H) = 0$  with  $-K_X \sim 4H \Rightarrow |H|$  is very ample with  $H^3 = 1$ .  $\Rightarrow X \cong \mathbb{P}^3$ .

$r = 3$  similar.

#### 4.2 $\Delta$ -genus: definition and examples

**Definition 4.3.** A pair  $(X, D)$  is called a polarized variety if  $X$  is a projective variety and  $D$  is an ample divisor (or invertible sheaf) on  $X$ .

**Definition 4.4.** Let  $(X, D)$  be a polarized variety. Then,

$$\Delta(X, D) := \dim X + D^{\dim X} - h^0(X, D).$$

**Example 4.5.**

(i) Let  $n \in \mathbb{Z}_{>0}$ . Then,

$$\begin{aligned} \Delta(\mathbb{P}^1, \mathcal{O}_{\mathbb{P}^1}(n)) &= \dim \mathbb{P}^1 + \deg \mathcal{O}_{\mathbb{P}^1}(n) - h^0(\mathbb{P}^1, \mathcal{O}_{\mathbb{P}^1}(n)) \\ &= 1 + n - (n + 1) = 0. \end{aligned}$$

(ii) Let  $X$  be an elliptic curve and  $D$  an ample divisor on  $X$ . Then, by the Riemann-Roch

$$h^0(X, D) - h^1(X, D) = \chi(X, D) = \deg D + 1 - g = \deg D$$

and the Serre duality  $h^1(X, D) = h^0(X, -D) = 0$ , we have

$$\Delta(X, D) = 1 + \deg D - \deg D = 1.$$

**Example 4.6.** Let  $X$  be a del Pezzo surface. Then,  $\Delta(X, -K_X) = 1$ .

*Proof.* By the Riemann-Roch

$$\chi(X, D) = \chi(X, \mathcal{O}_X) + \frac{1}{2}(-K_X) \cdot (-K_X - K_X)$$

and the Kodaira vanishing

$$\chi(X, -K_X) = \chi(X, K_X + (-2K_X)) = h^0(X, -K_X), \quad \chi(X, \mathcal{O}_X) = h^0(X, \mathcal{O}_X),$$

we have  $h^0(X, -K_X) = K_X^2 + 1$ . Therefore,

$$\Delta(X, -K_X) = \dim X + (-K_X)^2 - h^0(X, -K_X) = 1.$$

$\square$

**Proposition 4.7.** *Let  $X$  be a Fano 3-fold. Pick a divisor  $H$  such that  $-K_X \sim rH$ .*

(a) *If  $r = 4$ , then  $\Delta(X, H) = 0$  and  $H^3 = 1$ .*

(b) *If  $r = 3$ , then  $\Delta(X, H) = 0$  and  $H^3 = 2$ .*

**Proposition 4.8** (Riemann-Roch for 3-folds). *Let  $X$  be a smooth projective 3-fold and  $D$  a divisor. Then,*

(a)

$$\chi(X, D) = \frac{1}{12}D \cdot (D - K_X) \cdot (2D - K_X) + \frac{1}{12}D \cdot C_2(X) + \chi(X, \mathcal{O}_X).$$

(b)

$$-K_X \cdot C_2(X) = 24\chi(X, \mathcal{O}_X).$$

*Proof.* Omitted. □

**Corollary 4.9.** *Let  $X$  be Fano 3-fold and  $H$  an ample divisor such that  $H \equiv -qK_X$  with  $q \in \mathbb{Q}_{>0}$ . Then,*

$$h^0(X, H) = \chi(X, H) = \frac{1}{12}q(q+1)(2q+1)(-K_X)^3 + 2q + 1.$$

As a comment for  $\mathbb{Q}_{>0}$ , in most cases we have  $q^{\pm 1} \in \mathbb{Z}_{>0}$ . For example,  $H \equiv -\frac{1}{r}K_X$  iff  $rH \equiv -K_X$ .

*Proof.* By Proposition 4.8 and the Kodaira vanishing

$$\chi(X, H) = h^0(X, H), \quad \chi(X, \mathcal{O}_X) = 1,$$

we can complete the proof by simple computation. □

**Theorem 4.10.** *Let  $(X, D)$  be a polarized variety. Then,  $\Delta(X, D) > \dim Bs|D|$ , where  $\dim \emptyset := -1$ . In particular,  $\Delta(X, D) \geq 0$ .*

*Proof.* We will do if time permits. □

*Proof of Proposition 4.7.* We only show (a). Note that

$$h^0(X, H) \stackrel{(4.9)}{=} \frac{1}{12}q(q+1)(2q+1)(-K_X)^3 + 2q + 1 = h^0(X, H) = \frac{5}{2}H^3 + \frac{3}{2}$$

since  $q = \frac{1}{4}$  and  $(-K_X)^3 = (4H)^3 = 64H^3$ , so Then, Theorem 4.10 and  $H^3 \geq 1$  imply

$$0 \geq \Delta(X, H) = \dim X + H^3 - h^0(X, H) = \frac{3}{2}(1 - H^3) \leq 0.$$

Therefore,  $H^3 = 1$  and  $\Delta(X, H) = 0$ . □

**Remark 4.11.** If  $r = 4$  and  $-K_X \sim 4H$ , then  $h^0(X, H) = 4$ . If  $|H|$  is very ample, then  $X \hookrightarrow \mathbb{P}^{4-1} = \mathbb{P}^3$ , hence  $X \cong \mathbb{P}^3$ . Thus we are enough to show the complete linear system  $|H|$  is very ample.

**Theorem 4.12.** *Let  $(X, D)$  be a polarized variety with  $\Delta(X, D) = 0$ . Then,*

(a)  $N_1$  property holds:  $\bigoplus_{m=0}^{\infty} H^0(X, mD)$  is generated by  $H^0(X, D)$  as a  $\mathbb{C}$ -algebra.

(b)  $|D|$  is very ample.

**Exercise 4.13.** Show that under the  $N_1$  property, if  $D$  is ample, then  $|D|$  is very ample.

**Proposition 4.14.** *Let  $(X, L)$  be a polarized variety with invertible sheaf  $L$ . Let  $Y$  be an integral closed subscheme in  $|L|$ . For example, if  $X$  is normal with  $L \cong \mathcal{O}_X(D)$ , then  $D \sim Y$ , and it is a prime divisor. Then,*

- (a)  $L^{\dim X} = (L|_Y)^{\dim X - 1}$ .
- (b)  $0 \leq \Delta(X, L) - \Delta(Y, L|_Y) \leq h^1(X, \mathcal{O}_X)$ .
- (c)  $H^0(X, L) \rightarrow H^0(Y, L|_Y)$  is surjective iff  $\Delta(X, L) = \Delta(Y, L|_Y)$ .
- (d) Assume the condition in the part (c). Then, if  $L|_Y$  satisfies  $N_1$  property, then so does  $L$ .

*Proof of Proposition 4.12 assuming Proposition 4.14.* For simplicity, we assume  $X$  is smooth. The complete linear system  $|D|$  is base point free by  $\Delta(X, D) = 0$  and Theorem 4.10 ( $\dim Bs|D| < \Delta(X, D)$ ). Let  $Y \in |D|$  be a general member. By Bertini,  $Y$  is smooth and connected ( $D$  is ample), hence  $Y$  is a smooth prime divisor. Applying Proposition 4.14, we have  $0 \leq \Delta(Y, D|_Y) \leq \Delta(X, D) \leq 0$ . By Proposition 4.14 (d),  $D$  satisfies  $N_1$  property from applying the induction hypothesis.  $\square$

*Remark 4.15.* We can check that for a projective curve  $X$  we have TFAE:

- (i)  $X \cong \mathbb{P}^1$ ,
- (ii)  $\Delta(X, D) = 0$  for every ample  $D$ ,
- (iii)  $\Delta(X, D) = 0$  for an ample  $D$ .

*Proof of Proposition 4.14.* Write  $n := \dim X$ .

- (a)  $L^n = L^{n-1} \cdot Y = (L|_Y)^{n-1}$
- (b)  $\Delta(X, L) = n + L^n - h^0(X, L)$  and  $\Delta(Y, L|_Y) = (n-1) + (L|_Y)^{n-1} - h^0(Y, L|_Y)$  imply

$$\Delta(X, L) - \Delta(Y, L|_Y) = 1 + h^0(Y, L|_Y) - h^0(X, L).$$

By taking  $-\otimes L$  on

$$0 \rightarrow \mathcal{O}(-Y) \rightarrow \mathcal{O}_X \rightarrow \mathcal{O}_Y \rightarrow 0,$$

we have exact sequences

$$0 \rightarrow \mathcal{O}_X \rightarrow L \rightarrow L|_Y \rightarrow 0$$

and

$$0 \rightarrow H^0(X, \mathcal{O}_X) \rightarrow H^0(X, L) \rightarrow H^0(Y, L|_Y) \xrightarrow{\delta} H^1(X, \mathcal{O}_X).$$

Then,

$$h^1(X, \mathcal{O}_X) \geq \dim \operatorname{im} \delta = 1 + h^0(Y, L|_Y) - h^0(X, L) = \Delta(X, L) - \Delta(Y, L|_Y)$$

and  $\dim \operatorname{im} \delta \geq 0$  implies the desired result.

(c) We have  $\delta = 0$  if and only if  $\Delta(X, L) = \Delta(Y, L|_Y)$ , which is also equivalent to that  $H_0(X, L) \rightarrow H^0(Y, L|_Y)$  is surjective.

(d) Note that we have a surjection  $H^0(X, L) \rightarrow H^0(Y, L|_Y)$ . Suppose  $L|_Y$  satisfies  $N_1$  property. If  $\zeta \in H^0(Y, mL|_Y)$ , then  $\zeta = \sum c \xi_1 \cdots \xi_m$  for  $c \in \mathbb{C}$  and  $\xi_i \in H^0(Y, L|_Y)$ , so we can show the map  $H^0(X, mL) \rightarrow H^0(Y, mL|_Y)$  is surjective.  $\square$

*Proposition 4.12 (b)..?* It is enough to show  $H^0(X, mL) \otimes_{\mathbb{C}} H^0(X, L) \rightarrow H^0(X, (m+1)L)$  is surjective.

$$\begin{array}{ccccc} H^0(X, mL) \otimes_{\mathbb{C}} H^0(X, L) & \longrightarrow & H^0(Y, mL|_Y) \otimes_{\mathbb{C}} H^0(Y, L|_Y) \\ \downarrow \mu_X & & \downarrow \mu_Y \\ 0 \longrightarrow H^0(X, mL) & \longrightarrow & H^0(X, (m+1)L) & \longrightarrow & H^0(Y, (m+1)L|_Y) \end{array}$$

For  $\zeta \in H^0(X, (m+1)L)$ , we have  $\zeta_Y \in H^0(Y, (m+1)L|_Y)$  and there is  $\sum c \xi_Y \otimes \eta_Y \in H^0(Y, mL|_Y) \otimes_{\mathbb{C}} H^0(Y, L|_Y)$  and back to obtain  $\sum c \xi_X \otimes \eta_X \in H^0(X, mL) \otimes_{\mathbb{C}} H^0(X, L)$  with surjectivity. If we define  $\tilde{\zeta} := \zeta - \mu_X(\sum c \xi_X \otimes \eta_X)$ , then there is  $\tilde{\zeta} \mapsto$   $\square$

We now prove Theorem 4.10.

**Definition 4.16.** Let  $X$  be a projective variety and  $L$  an ample invertible sheaf. Let  $V \subset H^0(X, L)$  be a  $\mathbb{C}$ -linear subspace. Let  $\Delta(X, L, V) := \dim X + L^{\min X} - \dim_{\mathbb{C}} V$ . (Note  $\Delta(X, L) = \Delta(X, L, H^0(X, L))$ )

**Theorem 4.17.**  $\Delta(X, L, V) > \dim Bs|V|$ , where  $|V|$  is the linear system corresponding to  $V$ .

*Proof.* We may assume that  $X$  is normal and  $V = H^0(X, L)$ . the normalization of the resolution of the indeterminacies of  $\varphi_{|L|}$ .

$$\begin{array}{ccccc} X & \xrightarrow{\varphi_{|L|}} & \mathbb{P}_{\mathbb{C}}^N & \xleftarrow{\text{subsp}} & Z := \psi(Y) \\ \mu \uparrow & \nearrow \psi & & \nearrow \psi & \\ Y & & & & \end{array}$$

One of the following holds:

- (i)  $\dim Bs|L| = n$ , where  $n = \dim X$ ,
- (ii)  $\dim Z = 1$ ,
- (iii)  $\dim Z \geq 2$  and  $\dim Bs|L| = n - 1$ ,
- (iv)  $\dim Z \geq 2$  and  $\dim Bs|L| \leq n - 2$ ,

For the case (i), since  $\dim Bs|L| = n$  iff  $H^0(X, L) = 0$ , we have

$$\Delta(X, L) = n + L^n - h^0(X, L) > n = \dim Bs|L|.$$

For the case (ii), we have  $\Delta(X, L) = n + L^n - h^0(X, L)$ . Then,  $\mu^*L = M + F$  is decomposed into base point free  $M$  and fixed part  $F$  by  $L \mapsto \mu^*L$  and  $L_Z := \mathcal{O}_{\mathbb{P}^1}(1)|_Z \mapsto M$ . Then, with normal  $X$  and  $\mu$  birational we have

$$H_0(X, L) \cong H^0(Y, \mu^*L) \cong H^0(Y, M).$$

Also  $H^0(Y, M) \cong H^0(Z, L_Z)$  since the injectivity follows from  $\psi_*\mathcal{O}_Y \hookrightarrow \mathcal{O}_Z$  and the surjectivity is due to the fact that the composition  $H^0(Y, M) \leftarrow H^0(Z, L_Z) \leftarrow H^0(\mathbb{P}^N, \mathcal{O}(1))$  is bijective. Now

$$0 \leq \Delta(Z, L_Z) = 1 + \deg L_Z - h^0(Z, L_Z)$$

and

$$(\mu^*L)^{n-1} \cdot (\psi^*L_Z) = (\deg L_Z) \cdot (\mu^*L)^{n-1} \cdot (\text{a general fiber of } \psi) \geq \deg L_Z$$

because  $\mu^*L$  is nef and big.

$$L^n = (\mu^*L)^n = (\mu^*L)^n \cdot (M + F) \geq \deg L_Z + (\mu^*L)^{n-1}F,$$

$$\Delta(X, L) = n + L^n - h^0(X, L) \geq n + \deg L_Z + (\mu^*L)^{n-1} \cdot F - h^0(Z, L_Z) - 1 + (\mu^*L)^{n-1} \cdot F \geq n - 1$$

If  $\dim Bs|L| \leq n - 2$ , then we are done. If  $\dim Bs|L| = n - 1$ , then  $(\mu^*L)^{n-1} \cdot F > 0$  because  $\mu(F)$  has dimension  $n - 1$ , so  $\Delta(X, L) \cdots > n - 1$ .

For the case (iii) and (iv), see [Fujita]. □

- T. Fujita, Classification  $\cdots$  of polarized varieties (Book)
- T. Fujita, On the structure  $\cdots$  with  $\Delta$ -genus zero (Many papers by Fujita)