

*Defomation Theory Graduate Student Seminar*  
*Spring 2021*

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Lectures by Various



## **Disclaimer**

These notes were taken during the seminar using the vimtex package of the editor neovim. Any errors are mine and not the speakers'. In addition, my notes are picture-free (but will include commutative diagrams) and are a mix of my mathematical style and that of the lecturers. If you find any errors, please contact me at [plei@math.columbia.edu](mailto:plei@math.columbia.edu).

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## Johan (Sep 24): Schlessinger's Paper

The paper by Schlessinger is titled *Functors of Artin Rings*. Throughout this lecture,  $k$  is a field,  $\mathcal{C}$  is the category of Artinian local  $k$ -algebras  $A, B, C, \dots$  with residue field  $k$ , and  $\widehat{\mathcal{C}}$  is the category of Noetherian complete local  $k$ -algebras  $R, S, \dots$  with residue field  $k$ .

*Remark 1.0.1.* Every  $R \in \widehat{\mathcal{C}}$  is of the form  $k[[x_1, \dots, x_n]]/(f_1, \dots, f_m)$  by the Cohen structure theorem. Then  $R \in \mathcal{C}$  if and only if  $(f_1, \dots, f_m)$  contains  $(x_1, \dots, x_n)^N$  for some  $N$ .

*Remark 1.0.2.* In the paper, there is a more general setup, where  $\Lambda$  is a complete local Noetherian ring with residue field  $k$ . Then  $\mathcal{C}_\Lambda, \widehat{\mathcal{C}}$  are defined analogously, which will allow things like  $\Lambda = \mathbb{Z}_p$ .

The idea of deformation theory is to look at functors  $F: \mathcal{C} \rightarrow \text{Set}$ .

**Example 1.0.3.** Given  $R \in \widehat{\mathcal{C}}$ , we set  $h_R: \mathcal{C} \rightarrow \text{Set}$  sending  $A \mapsto \text{Hom}_{\widehat{\mathcal{C}}}(R, A)$ . This is not necessarily representable because  $R \notin \mathcal{C}$  in general, but it is pro-representable.

**Definition 1.0.4.** A functor  $F$  is *pro-representable* if  $F \simeq h_R$  for some  $R \in \widehat{\mathcal{C}}$ .

**Example 1.0.5.** Let  $M$  be a variety over  $k$  and  $m \in M(k)$ . Then define

$$\text{Def}_{M,m}(A) = \left\{ \text{Spec } A \xrightarrow{m_A} M \mid m_A|_{\text{Spec } k} = m \right\}.$$

It is easy to see that  $\text{Def}_{M,m}(A)$  is pro-representable by  $\widehat{\mathcal{O}}_{M,m}$ .

Observe that  $h_R(k) = \{*\}$  is a singleton. Also note that  $h_R(A \times_B C) = h_R(A) \times_{h_R(B)} h_R(C)$ . Here,  $A \times_B C$  is the fiber product of rings and not the tensor product.

Now consider the following conditions on  $F$ : let  $A \rightarrow B \leftarrow C$  be a diagram in  $\mathcal{C}$  and consider the morphism

$$F(A \times_B C) \xrightarrow{(*)} F(A) \times_{F(B)} F(C).$$

- (H<sub>1</sub>) The morphism  $(*)$  is surjective if  $C \twoheadrightarrow B$ ;
- (H<sub>2</sub>) The morphism  $(*)$  is bijective if  $C = k[\varepsilon] \twoheadrightarrow k = B$ ;
- (H<sub>3</sub>)  $\dim_k(t_F) < \infty$  (later, we will see that we need H<sub>2</sub> for formulate this). Here,  $t_F$  is the tangent space to  $F$ ;
- (H<sub>4</sub>) The morphism  $(*)$  is bijective if  $C \twoheadrightarrow B$ .

**Example 1.0.6.** Fix a group  $G$  and a representation  $\rho_0: G \rightarrow \mathrm{GL}_n(k)$ . Now define

$$\mathrm{Def}_{\rho_0}^{\mathrm{naive}}(A) = \{\rho: G \curvearrowright A^{\oplus n} \mid \rho \pmod{\mathfrak{m}_A} \cong \rho_0\} / \cong.$$

Better, we will define

$$\mathrm{Def}_{\rho_0}(A) = \{\rho: G \curvearrowright A^{\oplus n} \mid \rho \pmod{\mathfrak{m}_A} = \rho_0\} / \ker(\mathrm{GL}_n(A) \rightarrow \mathrm{GL}_n(k)).$$

In general these functors fail  $(H_4)$  and  $\mathrm{Def}_{\rho_0}^{\mathrm{naive}}$  even fails  $(H_2)$ .

Namely, if  $H = \mathbb{Z}$  and  $\rho_0$  is the trivial representation, then for  $\mathrm{Def}_{\rho_0}^{\mathrm{naive}}$ , we are looking at subsets of

$$\mathrm{GL}_n(A \times_B C) / \mathrm{conj} \rightarrow \mathrm{GL}_n(A) / \mathrm{conj} \times_{\mathrm{GL}_n(B) / \mathrm{conj}} \mathrm{GL}_n(C) / \mathrm{conj}.$$

This morphism is always surjective, but in general it is not injective.

For example, if  $A = k[\varepsilon_1]$ ,  $B = k$ ,  $C = k[\varepsilon_2]$ , we can look at elements of the form  $1 + \varepsilon_1 T_1 + \varepsilon_2 T_2$  and see that on the left we can only conjugate together, while on the right we can conjugate both  $T_1, T_2$  arbitrarily. Here  $A \times_B C = k[\varepsilon_1, \varepsilon_2] = k[x_1, x_2] / (x_1^2, x_1 x_2, x_2^2)$ .

**Definition 1.0.7.** A natural transformation  $t: F \rightarrow G$  of functors on  $\mathcal{C}$  is *smooth* if for all surjections  $B \twoheadrightarrow A$  the map  $F(B) \rightarrow F(A) \times_{G(A)} G(B)$  is surjective.

Note that this is equivalent to the existence of a lift in the diagram below:

$$\begin{array}{ccc} \mathrm{Spec} A & \longrightarrow & M \\ \downarrow & \nearrow & \downarrow f \\ \mathrm{Spec} B & \longrightarrow & N. \end{array}$$

This definition is motivated by the following example: let  $f: M \rightarrow N$  be a morphism of varieties over  $k$ . Let  $m \in M(k)$ ,  $n = f(m) \in N(k)$ . Then the following are equivalent:

1.  $\mathrm{Def}_{M,m} \rightarrow \mathrm{Def}_{N,n}$  is smooth.
2.  $f$  is smooth at  $m$ .

**Definition 1.0.8.** We say  $F$  has a *hull* if and only if  $F(k) = \{*\}$  and there exists a smooth  $t: h_R \rightarrow F$  for some  $R \in \widehat{\mathcal{C}}$  which induces an isomorphism  $t_R \cong t_F$ .

Now we will say a bit about tangent spaces.

1. When  $F(k) = \{*\}$ , then  $t_F = F(k[\varepsilon])$ .
2. If  $F$  satisfies  $(H_2)$  and  $F(k) = \{*\}$ , then  $t_F$  has a natural  $k$ -vector space structure. Here,  $H_2$  gives  $F(k[\varepsilon_1, \varepsilon_2]) \rightarrow F(k[\varepsilon]) \times F(k[\varepsilon])$  is a bijection, and then we take  $\varepsilon_1 \mapsto \varepsilon, \varepsilon_2 \mapsto \varepsilon$ , which defines addition.
3.  $t_R = \mathrm{Hom}_k(\mathfrak{m}_R / \mathfrak{m}_R^2, k) = \mathrm{Hom}_{\widehat{\mathcal{C}}}(\mathcal{R}, k[\varepsilon]) = h_R(k[\varepsilon]) = t_{(h_R)}$ .

**Theorem 1.0.9** (Schlessinger). Assume that  $F(k) = \{*\}$ . Then the conditions  $(H_1), (H_2), (H_3)$  hold for  $F$  if and only if  $F$  has a hull. In addition,  $(H_3)$  and  $(H_4)$  hold if and only if  $F$  is pro-representable.

*Very rough idea of proof of  $\Rightarrow$  for the hull case.* Let  $n = \dim_k(t_F)$ . Then  $(H_2)$  and  $n < \infty$  imply the following: Let  $S = k[[x_1, \dots, x_n]]$  and  $\mathfrak{m} = \mathfrak{m}_S = (x_1, \dots, x_n)$ . We can find  $\xi_1 \in F(S/\mathfrak{m}^2)$  such that

$$t_S = \text{Hom}_{\hat{\mathcal{C}}}(S, k[\varepsilon]) \xrightarrow{\xi_1} t_F$$

is an isomorphism.

Next, we will choose  $q \geq 2$  and consider pairs  $(J, \xi)$  where  $\mathfrak{m}^{q+1} \subset J \subset \mathfrak{m}^2$  and  $\xi \in F(S/J)$  such that  $\xi \mapsto \xi_1 \in F(S/\mathfrak{m}^2)$ . Say that  $(J, \xi) \leq (J', \xi')$  if  $J \subset J'$  and  $\xi \mapsto \xi'$ . Choose a minimal pair  $(J, \xi)$  for this ordering. We can choose  $J_q$  so that  $\mathfrak{m}^{q+1} + J_{q+1} = J_q$  and  $\xi_{q+1}$  maps to  $\xi_q$  for bookkeeping purposes.

Choose  $R = \lim S/J_q$ , which is a quotient of  $S$ . Set  $t: h_R \rightarrow F$  given by sending  $\varphi: R \rightarrow A$  to the following: choose  $q$  such that  $\varphi$  factors as  $R \rightarrow S/J_q \xrightarrow{\varphi_q} A$  and take  $\xi_q \mapsto F(\varphi_q)(\xi_q) \in F(A)$ .

Finally, we must show that  $t$  is smooth. Consider the diagram

$$\begin{array}{ccccc}
 S & \xrightarrow{\quad} & S/\mathfrak{m}^{q+1} & \xrightarrow{\quad} & B \\
 \downarrow & & \searrow \varphi' & \searrow \bar{\varphi} & \downarrow \\
 R & \xrightarrow{\quad} & S/J_q & \xrightarrow{\quad} & A \\
 & & \uparrow \psi & \uparrow \text{pr}_1 & \\
 & & S/J_q \times_A B & & 
 \end{array}$$

(Note: The diagram is a commutative diagram with nodes S, S/m^{q+1}, S/J\_q, S/J\_q \times\_A B, R, A, and B. Arrows include \varphi, \varphi', \bar{\varphi}, \psi, \text{pr}\_1, and the natural maps between the rings.)

with  $B \ni \tilde{\xi} \mapsto \xi \in A$  and  $S/J_q \ni \xi_q \mapsto \xi$ . First, choose  $\varphi: S \rightarrow B$  making the diagram commute. We may increase  $q$  such that  $\varphi(\mathfrak{m}^{q+1}) = 0$ , so we now have  $\bar{\varphi}: S/\mathfrak{m}^{q+1} \rightarrow B$ . Now consider the fiber product  $S/J_q \times_A B$  and  $\text{pr}_1: S/J_q \times_A B \rightarrow S/J_q$ , so we obtain  $\bar{\varphi}': S/\mathfrak{m}^{q+1} \rightarrow S/J_q \times_A B$ . By  $(H_1)$ , we obtain some  $\tilde{\xi} \in F(S/J_q \times_A B)$  mapping to  $\tilde{\xi}$  and  $\xi_q$ . We may now assume that  $B \rightarrow A$  is a small extension, which means that  $\dim_k \ker(B \rightarrow A) = 1$ , and thus  $\text{pr}_1$  is a small extension. Therefore, either  $\bar{\varphi}'$  is surjective or its image maps isomorphically via  $\text{pr}_1$  to  $S/J_q$ , so we have  $\psi$  which gives  $R \rightarrow B$  lifting our given  $r \rightarrow A$ .

The tricky part is to show that  $F(\psi)(\psi_q) = \tilde{\xi}$ , and this step is deliberately omitted.  $\square$

A generalization of this is as follows. Consider a functor  $\mathcal{F}: \mathcal{C} \rightarrow \text{Grpd}$ . We say that  $\mathcal{F}$  satisfies the *Rim-Schlessinger condition* (RS) if

$$\mathcal{F}(A \times_B C) \rightarrow \mathcal{F}(A) \times_{\mathcal{F}(B)} \mathcal{F}(C)$$

is an equivalence whenever  $C \twoheadrightarrow B$ . Let  $x_0 \in \mathcal{F}(k)$  and set

$$\bar{\mathcal{F}}_{x_0}: \mathcal{C} \rightarrow \text{Set} \quad A \mapsto \{(x, \alpha) \mid x \in \mathcal{F}(A), \alpha: X_0 \rightarrow x|_k\} / \cong,$$

where  $(x, \alpha) \cong (x', \alpha')$  means that  $\varphi: x \rightarrow x'$  such that the diagram

$$\begin{array}{ccc}
 x|_k & \xrightarrow{\varphi} & x'|_k \\
 \alpha \uparrow & & \alpha' \uparrow \\
 x_0 & \xrightarrow{\text{id}} & x_0
 \end{array}$$

commutes.

**Theorem 1.0.10.** *If  $\mathcal{F}$  has (RS) then  $\overline{\mathcal{F}}_{x_0}$  has  $(H_1)$  and  $(H_2)$ . Therefore, if  $\dim t_{\overline{\mathcal{F}}_{x_0}} < \infty$  then  $\overline{\mathcal{F}}_{x_0}$  has a hull.*

In this situation,  $\overline{\mathcal{F}}_{x_0}$  has  $(H_4)$  if and only if  $\text{Aut}_A(x) \twoheadrightarrow \text{Aut}_B(x|_B)$  whenever  $A \twoheadrightarrow B$  and  $x \in \mathcal{F}_{x_0}(A)$ .

**Example 1.0.11.** Let  $\mathcal{F}(A)$  be the category of representations  $G \curvearrowright A^{\oplus n}$  with morphisms being isomorphisms of representations. This has (RS).

**Example 1.0.12.** Let  $\mathcal{F}(A)$  be the category of smooth projective families of curves of genus  $g$  over  $A$  with morphisms being isomorphisms. This has (RS).

Returning to the example of representations, it turns out that  $t_{\text{Def}_{\rho_0}} = H^1(G, M_{n \times n}(k))$ , where  $G$  acts on  $M_{n \times n}(k)$  via  $\rho_0$  by conjugation.

**Example 1.0.13.** Consider  $G = \mathbb{Z} \oplus \mathbb{Z}$  and  $\rho_0$  to be the trivial representation on  $k^{\oplus 2}$ . Then  $t_{\text{Def}_{\rho_0}} = H^1(\mathbb{Z}^2, M_2(k)) = M_2(k) \oplus M_2(k)$ . Given two matrices  $A, B$ , we have the representation

$$\begin{aligned} \mathbb{Z}^2 \rightarrow \text{GL}_2(k[\varepsilon])(1, 0) &\mapsto \begin{pmatrix} 1 & \\ & 1 \end{pmatrix} + \varepsilon A \\ (0, 1) &\mapsto \begin{pmatrix} 1 & \\ & 1 \end{pmatrix} + \varepsilon B. \end{aligned}$$

We get a hull  $R$  with  $h_R \rightarrow \text{Def}_{\rho_0}$ . We know that  $R$  is a some quotient of  $k[[a_{11}, \dots, a_{22}, b_{11}, \dots, b_{22}]]$  with  $\rho$  looking like

$$(1, 0) \mapsto \begin{pmatrix} 1 & \\ & 1 \end{pmatrix} + A \quad (0, 1) \mapsto \begin{pmatrix} 1 & \\ & 1 \end{pmatrix} + B,$$

and of course  $R$  is the quotient of the power series ring by the ideal generated by the coefficients of  $AB - BA$ .



## Ivan and Cailan (Oct 1): Deformations of Schemes

### 2.1 Deformations of affine schemes

We are looking for a Cartesian diagram of schemes

$$\begin{array}{ccc} X & \longrightarrow & \mathcal{X} \\ \downarrow & & \downarrow \pi \\ \text{Spec } k & \longrightarrow & S \end{array}$$

where  $\pi$  is flat and surjective and  $S$  is surjective. This is called a *deformation* of  $X$  over  $S$ . For the beginning of this lecture (the part given by Ivan), we are interested in  $S = \text{Spec } A$ , where  $A \in \mathcal{C}^*$  (this category was defined in the previous lecture). This case is called a *local deformation*, and in the face where  $A$  is Artinian, it is called an *infinitesimal deformation*.

For the ring theorists, we will make the following digression. Let  $A$  be a ring and  $I \subset A$  be an ideal with  $I^2 = 0$ . Suppose that  $\bar{B}$  is an  $A/I$ -algebra,  $J$  is an  $\bar{B}$ -module, and  $h: I \rightarrow J$  is an  $A$ -module map. Then we are interested in a diagram

$$\begin{array}{ccccccc} 0 & \longrightarrow & J & \longrightarrow & ? & \longrightarrow & \bar{B} \\ & & \uparrow h & & \uparrow & & \uparrow \\ 0 & \longrightarrow & I & \longrightarrow & A & \longrightarrow & A/I \longrightarrow 0, \end{array}$$

which we will call a deformation of  $A$ . Here are some interesting questions:

1. Is such a deformation unique?
2. If  $\bar{B}$  is flat over  $A/I$ , does that mean that  $B$  is flat over  $A$ ?

Returning to the case of schemes, we will say that two deformations  $\mathcal{X}, \mathcal{X}'$  of  $X$  over  $S$  are isomorphic if there exists an  $S$ -isomorphism  $\phi: \mathcal{X}' \rightarrow \mathcal{X}$  commuting with the inclusions of the central fibers  $X \rightarrow \mathcal{X}, \mathcal{X}'$ .

**Example 2.1.1.** The most basic example of a family is the trivial deformation

$$\begin{array}{ccc} X & \longrightarrow & X \times_k S \\ \downarrow & & \downarrow \\ \text{Spec } k & \longrightarrow & S. \end{array}$$

**Definition 2.1.2.** A scheme  $X$  is *rigid* if all deformations of  $X$  are isomorphic to the trivial deformation.

**Theorem 2.1.3.** If  $X$  is a smooth affine  $k$ -scheme and  $S = \operatorname{Spec} A$  for some local Artinian ring, then  $X$  is rigid.

**Definition 2.1.4.** A closed immersion  $i: S_0 \hookrightarrow S$  of schemes is called a *first (resp.  $n$ th) order thickening* if the ideal sheaf  $\mathcal{I} = \ker(i^b: \mathcal{O}_S \rightarrow \mathcal{O}_{S_0})$  satisfies  $\mathcal{I}^2 = 0$  (resp.  $\mathcal{I}^{n+1} = 0$ ).

**Definition 2.1.5.** A morphism  $f: X \rightarrow S$  is called *formally smooth* (resp. *unramified*, resp. *étale*) if for all first order thickenings  $i: T_0 \rightarrow T$  of affine schemes and diagrams

$$\begin{array}{ccc} T_0 & \xrightarrow{u_0} & X \\ \downarrow i & \nearrow \widetilde{u_0} & \downarrow f \\ T & \longrightarrow & S \end{array}$$

there exists a lift  $\widetilde{u_0}$  (resp. there is at most one such  $\widetilde{u_0}$ , resp. there exists a unique  $\widetilde{u_0}$ ).

**Example 2.1.6.**

1. Open immersions are formally étale. This is clear because  $T_0, T$  have the same underlying topological space.
2. Closed immersions are formally unramified. This is clear because  $X \rightarrow S$  induces an injection on  $T$ -points.
3.  $\mathbb{A}_S^n \rightarrow S$  is formally smooth. To see this, assume  $S = \operatorname{Spec} R$  is affine and then consider the corresponding lifting problem in commutative algebra.

**Proposition 2.1.7.** The classes of formally smooth (resp. étale, resp. unramified) morphisms are closed under base change, composition, and products and local on both source and target.

**Definition 2.1.8.** A  $f: X \rightarrow S$  is *smooth* if it is formally smooth and locally of finite presentation.

We will now consider differentials. Let  $X = \operatorname{Spec} A$  be an affine scheme over  $k$  and choose a  $k$ -point and consider the diagram

$$\begin{array}{ccc} \operatorname{Spec} k & \longrightarrow & X \\ \downarrow & & \downarrow \\ \operatorname{Spec} k[\varepsilon] & \longrightarrow & \operatorname{Spec} k. \end{array}$$

If  $X$  is smooth, then there exists a lift  $\operatorname{Spec} k[\varepsilon] \rightarrow X$ . But this is given by a morphism

$$\widetilde{\phi}: A \rightarrow k[\varepsilon]/\varepsilon^2 \quad a \mapsto \phi(a) + d(a)\varepsilon.$$

This motivates the following definition:

**Definition 2.1.9.** Let  $R \rightarrow A$  be a morphism of rings and  $M$  be an  $A$ -module. A *derivation*  $d: A \rightarrow M$  is an  $A$ -linear map satisfying the Leibniz rule.

**Proposition 2.1.10.** *There exists an  $A$ -module  $\Omega_{A/k}^1$  equipped with a derivation  $d: \Omega_{A/k}^1 \rightarrow \Omega_{A/k}^1$  that is universal among derivations from  $A$ . This means that all derivations  $\tilde{d}: A \rightarrow M$  factor through  $d$ , and formally, we have an identity*

$$\text{Der}_R(A, M) \simeq \text{Hom}_A(\Omega_{A/k}^1, M).$$

**Definition 2.1.11.** For an  $A$ -module  $M$  with derivation  $d: A \rightarrow M$ , define the ring  $A[M]$  as the module  $A \oplus M$  with the multiplication

$$(a, m) \cdot (a', m') = (aa', am' + a'm).$$

There is a sequence  $\phi: A \rightarrow A[M] \rightarrow A$ .

**Proposition 2.1.12.** *Let  $S \leftarrow R \rightarrow A \rightarrow B$  be a diagram of rings. Then*

1.  $\Omega_{A \otimes_R S/S}^1 \simeq \Omega_{A/R}^1 \otimes_R S$ ;
2. The sequence  $\Omega_{A/R}^1 \otimes_A B \rightarrow \Omega_{B/R}^1 \rightarrow \Omega_{B/A}^1 \rightarrow 0$  is exact.
3. If  $B = A/I$  for some ideal  $I$ , we have an exact sequence

$$I/I^2 \rightarrow \Omega_{A/R}^1 \otimes_A B \rightarrow \Omega_{B/R}^1 \rightarrow 0.$$

4. For all  $f \in A$ , we have  $\Omega_{A[f^{-1}]/R}^1 \simeq \Omega_{A/R}^1 \otimes_A A[f^{-1}]$ .

**Remark 2.1.13.** If  $J = \ker(A \otimes_R A \rightarrow A)$ , then  $\Omega_{A/R}^1 = J/J^2$ .

**Theorem 2.1.14.** *Let  $f: X \rightarrow S$  be locally of finite presentation. The following are equivalent:*

1.  $f$  is smooth;
2.  $f$  is flat with smooth fibers;
3.  $f$  is flat and has smooth geometric fibers.

We will finally return to deformation theory.

**Lemma 2.1.15.** *Let  $Z_0$  be a closed subscheme of  $Z$  determined by a nilpotent ideal sheaf  $N$ . If  $Z_0$  is affine, then so is  $Z$ .*

Proof of this result can be found in EGA, Chapter I.5.9.

*Proof of Theorem 2.1.3.* Recall that we have a diagram of the form

$$\begin{array}{ccc} B & \longrightarrow & B_0 \\ \uparrow & & \uparrow \\ A & \longrightarrow & k, \end{array}$$

where  $A \rightarrow B$  is flat and  $B_0 \simeq B \otimes_A k$  is a smooth  $k$ -algebra. We need to prove that  $B_0 \simeq B \otimes_A k$ . The first step is to prove this result for first-order deformations. Suppose that  $A = k[\varepsilon]$  is a square-zero extension.

**Lemma 2.1.16.** *For a ring  $R$  with  $M, N$  flat over  $R$ , nilpotent ideal  $I \subset R$ , and  $f: M \rightarrow N$ , then if  $f \otimes_R R/I$  is an isomorphism, then so is  $f$ .*

To prove the lemma, note that the cokernel of  $f$  is preserved by  $I$ , so it must vanish. Returning to our case, we know that  $B$  is a smooth  $k[\varepsilon]$ -algebra. Now we obtain a square-zero extension  $B_0[\varepsilon]$  of  $B_0$  and a diagram

$$\begin{array}{ccc} B & \longrightarrow & B_0 \\ & & \uparrow \\ k[\varepsilon] & \xrightarrow{f} & B_0[\varepsilon] \end{array}$$

with a lift  $B \rightarrow B_0[\varepsilon]$ . But now by the lemma, we have  $B \otimes_{k[\varepsilon]} k = B_0[\varepsilon] \otimes_{k[\varepsilon]} k$ . The rest of the proof follows using an inductive argument that was verbalized but now written down.  $\square$

## 2.2 Deformations of schemes

The main theorem of this section is

**Theorem 2.2.1.** *Assume  $X$  is a smooth  $R$ -scheme. Then there is a bijection*

$$\mathrm{Def}_X^{\mathrm{sm}}(k[I]) \simeq H^1(X, T_{X/k} \otimes I).$$

*Proof.* Let  $X'$  be a smooth deformation over  $k[I]$ . Then the diagram

$$\begin{array}{ccc} X & \longrightarrow & X' \\ \downarrow & & \downarrow \\ \mathrm{Spec} k & \longrightarrow & \mathrm{Spec} k[I] \end{array}$$

is cartesian. Then if  $U_k = \mathrm{Spec} B_k$  is an affine cover of  $X$  and  $U'_k = \mathrm{Spec} D_k$  is an affine cover of  $X'$ , we have a  $k[I]$ -linear ring isomorphism

$$\varphi_k: k[I] \otimes_k B_k \rightarrow D_k \quad (k, i) \otimes b \mapsto s(b) + i.$$

Modulo  $I$ ,  $\varphi_k$  is the identity on  $B_k$ . Without loss of generality, we may assume that  $U_{kj} = U_k \cap U_j$  is a distinguished open for both  $U_k$  and  $U_j$ , so let  $U_{kj} = \mathrm{Spec} B_{kj}$  and  $U'_{kj} = \mathrm{Spec} D_{kj}$ . Now note that both

$$\varphi_k, \varphi_j: k[I] \otimes_k B_{kj} \rightarrow D_{kj}$$

induce the identity on  $B_{kj}$  modulo  $I$ . Now we have the commutative diagram

$$\begin{array}{ccccccc} 0 & \longrightarrow & I & \longrightarrow & D_{kj} & \longrightarrow & B_{kj} \longrightarrow 0 \\ & & \downarrow \mathrm{id} & & \downarrow \varphi_j^{-1} \varphi_k & & \downarrow \mathrm{id} \\ 0 & \longrightarrow & I & \longrightarrow & D_{kj} & \longrightarrow & B_{kj} \longrightarrow 0. \end{array}$$

**Lemma 2.2.2.** *The morphism  $g = \varphi_j^{-1} \varphi_k$  must be of the form*

$$g(i + b) = i + b + \delta(b),$$

where  $\delta: B_{kj} \rightarrow I$  is a derivation.

In particular, this means that  $\varphi_j^{-1} \circ \varphi_k(b, b') = (b, \alpha_{kj}(b) + b')$ , where  $\alpha_{kj}: B_{kj} \rightarrow I \otimes_k B_{kj}$  is a derivation.

By definition, we have

$$\begin{aligned} (T_{X/k} \otimes_k I)(B_{kj}) &= \text{Hom}_{B_{kj}}(\Omega_{B_{kj}/k}^1, B_{kj}) \otimes_k I \\ &= \text{Hom}_{B_{kj}}(\Omega_{B_{kj}/k}^1, B_{kj} \otimes_k I) \\ &= \text{Der}_k(B_{kj}, B_{kj} \otimes_k I). \end{aligned}$$

Therefore,  $\alpha_k \in H^0(B_{kj}, T_X \otimes_k I)$ . Note that

$$\varphi_\ell^{-1} \circ \varphi_j \circ \varphi_j^{-1} \circ \varphi_k^{-1} = \varphi_\ell^{-1} \circ \varphi_k,$$

which implies that

$$(b, \alpha_{j\ell}(b) + \alpha_{kj}(b) + b') = (b, \alpha_{k\ell}(b) + b')$$

and thus  $\{\alpha_{kj}\} \in Z^1(\{U_k\}, T_X \otimes_k I)$ .

If two deformations are the same, note that  $\varphi_k$  is defined using a ring section  $s_k: B_k \rightarrow D_k$  of the canonical map  $\pi_k: D_k \rightarrow B_k$ . If  $\varphi'_k$  is defined using another section  $s'_k$ , then define  $\theta_k = s'_k - s_k \in \text{Der}(B_k, I \otimes_k B_k)$ . We now compute

$$((\varphi'_j)^{-1} \circ \varphi'_k - \varphi_j^{-1} \circ \varphi_k)(b, b') = (0, \theta_k(b) - \theta_j(b)),$$

and thus the two differ by the desired coboundaries.  $\square$

We will now consider some obstructions. We are looking for a diagram of the form

$$\begin{array}{ccc} X' & \longrightarrow & X'' \\ \downarrow f & & \downarrow \\ \text{Spec } A' & \longrightarrow & \text{Spec } A''. \end{array}$$

for each pair  $(j, k)$ , we have a isomorphism  $\psi_{jk}: V'_j \rightarrow V'_k$  and a cocycle

$$c_{jkl} = \psi_{kl} \circ \psi_{jk} \circ \psi_{j\ell}^{-1}.$$

This induces  $B_{jkl} \in \text{Der}_A(D_{jkl}, J \otimes_A D_{kl}) = Z^2(U, T_{X'/A} \otimes_A J)$ .

Now we will discuss some examples.

**Theorem 2.2.3.** *Let  $C$  be a smooth projective curve,  $T = T_C$ , and  $K = \Omega_C^1$ . We have the following table:*

Table 2.1: Cohomology

|   | degree   | $h^0$         | $h^1$                  | $h^2$ |  |
|---|----------|---------------|------------------------|-------|--|
| K | $2g - 2$ | $g$           | 1                      | 0     | where $\varepsilon = 0$ where $g \geq 2$ , $\varepsilon = 1$ if $g = 1$ , and $\varepsilon = 3$ if $g = 0$ . |
| T | $2 - 2g$ | $\varepsilon$ | $\varepsilon + 3g - 3$ | 0     |  |

For  $g \geq 2$ ,  $\deg T < 0$ , and by Riemann-Roch and Serre duality, we have  $h^1(C, T_C) = 3g - 3$ .

**Theorem 2.2.4.**  $\mathbb{P}^n$  has no infinitesimal deformations.

*Proof.* Consider the Euler sequence

$$0 \rightarrow \mathcal{O} \rightarrow \mathcal{O}(1)^{\oplus n+1} \rightarrow T_{\mathbb{P}^n} \rightarrow 0$$

and use the long exact sequence in cohomology. Because positive degree line bundles have no higher cohomology, we have  $H^1(T_{\mathbb{P}^n}) = 0$ .  $\square$