THE BEHAVIOR OF THE SECOND PLURI-GENUS OF NORMAL SURFACE SINGULARITIES OF TYPE $\ast A_n, \ast D_n, \ast E_n, \ast \widetilde{A}_n, \ast \widetilde{D}_n$ AND $\ast \widetilde{E}_n$

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ABSTRACT. In this paper, we study the behavior of the second pluri-genus $\delta_2$ of normal surface singularities of type $\ast A_n, \ast D_n, \ast E_n, \ast \widetilde{A}_n, \ast \widetilde{D}_n$ and $\ast \widetilde{E}_n$. We obtain main result which corresponds to that of [7], i.e., main result is a $\delta_2$-version of Ohyanagi’s result.

1. INTRODUCTION.

Let $(X, x)$ be a normal surface singularity and $\pi : (\widetilde{X}, A) \to (X, x)$ a resolution of the singularity $(X, x)$. The geometric genus of the singularity $(X, x)$ is defined by

$$p_g(X, x) = \dim_{\mathbb{C}}(R^1\pi_*\mathcal{O}_{\widetilde{X}}).$$

In [12], Watanabe introduced pluri-genera $\{\delta_m(X, x)\}_{m \in \mathbb{N}}$ which carry more precise information of $(X, x)$. Suppose $V$ is a Stein neighborhood of $x$ in $X$. Let $K$ be the canonical line bundle of $X - \{x\}$. He defined the $m$-th $L^2$-pluri-genus $\delta_m(X, x)$ by

$$\delta_m(X, x) = \dim_{\mathbb{C}}\Gamma(V - \{x\}, \mathcal{O}(mK))/L^{2/m}(V - \{x\}),$$

where $L^{2/m}(V - \{x\})$ denotes the set of $L^{2/m}$-integrable $m$-ple holomorphic 2-forms on $V - \{x\}$. Note that $p_g(X, x) = \delta_1(X, x)$. Recently, Okuma showed relations between the second pluri-genus $\delta_2$ and Arnold’s modality as follows:

Theorem (Okuma [9]). Let $(X, x)$ be a Gorenstein surface singularity and $\pi : (\widetilde{X}, A) \to (X, x)$ the minimal good resolution. Then we have the following: $\delta_2(X, x) = 0$ if and only if $(X, x)$ is a rational double point; $\delta_2(X, x) = 1$ if and only if $(X, x)$ is a simple elliptic or cusp singularity or a singularity whose weighted dual graph is of type $D(b_1, b_2, b_3)$; $\delta_2(X, x) = 2$ if and only if $(X, x)$ is a minimally elliptic singularity whose weighted dual graph is of type either $\ast \widetilde{D}_n$, $\ast \widetilde{E}_6$, $\ast \widetilde{E}_7$ or $\ast \widetilde{E}_8$. In particular, if $(X, x)$ is a hypersurface singularity, then we have the following: $(X, x)$ is a simple (resp. unimodular, bimodular) singularity if and only if $\delta_2(X, x) = 0$ (resp.1, 2), where

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$D(b_1, b_2, b_3)$ is the star-shaped graph which consists of four rational curves such that the self-intersection number of the central curve is $-1$.

In this paper, we study the precise behavior of the second pluri-genus $\delta_2$ of normal surface singularities of type $*A_n$, $*D_n$, $*E_6$, $*E_7$, $*E_8$. In Sect. 2, we recall normal surface singularities of type $*A_n$, $*D_n$, $*E_6$, $*E_7$, $*E_8$. In Sect. 3, we show the following.

**Theorem A.** Let $(X, x)$ be a normal surface singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$. Assume that the weighted dual graph of $(X, x)$ is of type either $*A_n$, $*D_n$, $*E_6$, $*E_7$ or $*E_8$. Then we have $\delta_2(X, x) = 0$.

**Theorem B.** Let $(X, x)$ be a rational singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$.

1. Assume that the weighted dual graph of $(X, x)$ is of type $*\tilde{D}_n$, $n \geq 4$. Then we have $\delta_2(X, x) = 1$.
2. Assume that the weighted dual graph of $(X, x)$ is of type either $*\tilde{E}_6$, $*\tilde{E}_7$ or $*\tilde{E}_8$. Then we have $\delta_2(X, x) = 0$ or $1$.

In [8], we see that the second pluri-genus controls the weighted dual graphs. Theorems A, B give examples of ([8], Lemma 3.4, 3.12). By Theorem (Okuma [9]) above, we have that $\delta_2(X, x) = 2$ if $(X, x)$ is a minimally elliptic singularity whose weighted dual graph is of type either $*\tilde{D}_n$, $*\tilde{E}_6$, $*\tilde{E}_7$ or $*\tilde{E}_8$. We can obtain this by showing a special case of ([9], Corollary 2.6): for a minimally elliptic singularity which satisfies some condition, the second pluri-genus is determined by some self-intersection number $V^2$. We have this directly from ([9], Corollary 2.6). However, we give a different proof. Hence we obtain the precise behavior of the second pluri-genus of normal surface singularities of type $*\tilde{D}_n$, $*\tilde{E}_6$, $*\tilde{E}_7$ and $*\tilde{E}_8$.

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2. Preliminaries.

Let $(X, x)$ be a normal surface singularity, $\pi : (\tilde{X}, A) \to (X, x)$ the minimal good resolution and $A = \bigcup A_i, 1 \leq i \leq n$ the decomposition of the exceptional set $A$ into irreducible components. Then we define the following.
Definition 2.1. A string \( S \) in \( A \) is a chain of non-singular rational curves \( A_1, \ldots, A_k \) so that \( A_i \cdot A_{i+1} = 1 \) for \( i = 1, \ldots, k - 1 \), and these account for all intersections in \( A \) among the \( A_i \)'s, except that \( A_1 \) intersects exactly one other curve.

The weighted dual graph of \( (X, x) \) is called a star-shaped graph, if \( A \) is not a chain of rational curves, and if \( A = A_0 + \sum S_i \), where \( A_0 \) is a curve and \( S_i (i = 1, \ldots, \beta) \) are the maximal strings. Then \( A_0 \) is called the central curve, and \( S_j \) are called branches. Let \( S_i = \cup A_{ij}, 1 \leq j \leq r_i \) be the decomposition into irreducible components, where \( A_0 \cdot A_{i1} = A_{ij} \cdot A_{ij+1} = 1 \). Let \( g = \text{genus}(A_0) \), \( b = -A_0^2 \) and \( b_{ij} = -A_{ij}^2 \). For each branch \( S_i \), the positive integers \( e_i \) and \( d_i \) are defined by

\[
\frac{d_i}{e_i} = [b_{i1}, \ldots, b_{ir_i}] = b_{i1} - \frac{1}{b_{i2} - \cdots - \frac{1}{b_{ir_i}}},
\]

where \( e_i < d_i \) and \( e_i \) and \( d_i \) are relatively prime. We call the set \( \{g; b, (d_1, e_1), \ldots, (d_\beta, e_\beta)\} \) the data of the star-shaped graph.

We define the divisor \( D_m^{(k)} \) on \( A_0 \) as follows.

Definition 2.2. For any integers \( k \geq 0 \) and \( m > 0 \), we define the divisor \( D_m^{(k)} \) on \( A_0 \) by

\[
D_m^{(k)} = kD - \sum_{i=1}^{\beta} [(ke_i + m(d_i - 1))/d_i]p_i,
\]

where \( D \) is any divisor such that \( \mathcal{O}_{A_0}(D) \) is the conormal sheaf of \( A_0 \), \( p_i = A_0 \cap A_{i1} \), and for any \( a \in \mathbb{R}, [a] \) is the greatest integer less than or equal to \( a \).

Next we recall normal surface singularities of type \( \ast A_n, \ast D_n, \ast E_n, \ast \tilde{A}_n, \ast \tilde{D}_n \) and \( \ast \tilde{E}_n \) which Ohyanagi introduced ([7]).

Let \( A_n, n \geq 1, \) be

\[
(n\text{-vertices}),
\]

\( \ast A_n, \ast D_n, \ast E_n, \ast \tilde{A}_n, \ast \tilde{D}_n \), and \( \ast \tilde{E}_n \) which Ohyanagi introduced ([7]).

Let \( A_n, n \geq 1, \) be

\[
(n\text{-vertices}),
\]
and $E_n$, $n = 6, 7$ and 8,

$$\begin{array}{c}
A_{22} \, A_{21} \, A_0 \, A_{31} \, \ldots \, A_{3,n-4} \\
\end{array}$$

where each vertex represents a non-singular rational curve with self-intersection number $-2$. Then, the above graphs are contractible. In [1], Artin has studied the singularities. We say that the singularities are the rational double points. Next, we consider those graphs, contractible, each of which has the same type as the graphs $A_n, D_n, E_6, E_7$ and $E_8$ up to the weights. We may assume that each weight of the graphs is less than or equal to $-2$, since we may assume that $\pi : \tilde{X} \to X$ is the minimal resolution of $(X, x)$. We can easily check that the graphs are always contractible. Hence we need not feel concern for contractibility of the graphs. We denote them by $\tilde{*}A_n, \tilde{*}D_n, \tilde{*}E_6, \tilde{*}E_7$ and $\tilde{*}E_8$.

Let $\tilde{A}_n, n \geq 1$, be

Let $\tilde{D}_n, n \geq 4$, be

$$\begin{array}{c}
A_{n-1} \, A_{n-3} \\
A_0 \, A_{n-4} \\
A_n \, A_{n-2} \\
\end{array}$$
Let \( \widetilde{E}_6 \) be

\[ \begin{array}{c}
A_{12} \\
A_{11} \\
A_{22} \\
A_{21} \\
A_0 \\
A_{31} \\
A_{32} \\
\end{array} \]

Let \( \widetilde{E}_7 \) be

\[ \begin{array}{c}
A_{11} \\
A_{23} \\
A_{22} \\
A_{21} \\
A_0 \\
A_{31} \\
A_{32} \\
A_{33} \\
\end{array} \]

Let \( \widetilde{E}_8 \) be

\[ \begin{array}{c}
A_{11} \\
A_{22} \\
A_{21} \\
A_0 \\
A_{31} \\
A_{32} \\
A_{33} \\
A_{34} \\
A_{35} \\
\end{array} \]

Here we remark that each vertex corresponds to a non-singular rational curve with self-intersection number \(-2\). We consider those graphs, contractible, each of which has the same type as the graphs \( \widetilde{A}_n, \widetilde{D}_n, \widetilde{E}_6, \widetilde{E}_7 \) and \( \widetilde{E}_8 \) up to the weights. Assume that each weight is less than or equal to \(-2\). Such a graph is not always contractible. But we can easily check that such graph is contractible if and only if there is at least one vertex whose weight is less than or equal to \(-3\). We denote these contractible graphs by \( \ast \widetilde{A}_n, n \geq 1; \ast \widetilde{D}_n, n \geq 4; \ast \widetilde{E}_n, n = 6, 7 \) and 8.

**Notation 2.3.** Let \( \mathcal{F} \) be a sheaf of \( O_{\widetilde{X}} \)-modules and \( D \) a divisor on \( \widetilde{X} \). We use the following notation: \( \mathcal{F}(D) = \mathcal{F} \otimes O_{\widetilde{X}}(D) \), \( H^i(\mathcal{F}) = H^i(\widetilde{X}, \mathcal{F}) \), \( H^i_A(\mathcal{F}) = H^i_A(\widetilde{X}, \mathcal{F}) \), \( h^i(\mathcal{F}) = \dim_{\mathbb{C}} H^i(\mathcal{F}) \) and \( h^i_A(\mathcal{F}) = \dim_{\mathbb{C}} H^i_A(\mathcal{F}) \).

We denote by \( K \) the canonical divisor on \( \widetilde{X} \). The Riemann-Roch theorem implies, for any positive cycle \( V \) and any invertible sheaf \( \mathcal{F} \) on \( \widetilde{X} \), that \( \chi(\mathcal{O}_V) = h^0(\mathcal{O}_V) - h^1(\mathcal{O}_V) = -V \cdot (V + K)/2 \) and \( \chi(\mathcal{O}_V \otimes \mathcal{F}) = h^0(\mathcal{O}_V \otimes \mathcal{F}) - h^1(\mathcal{O}_V \otimes \mathcal{F}) = \mathcal{F} \cdot V + \chi(\mathcal{O}_V) \).
We use the following theorems to study the behavior of the second pluri-genus $\delta_2$ of normal surface singularities of type $*A_n, *D_n, *E_n, *A_n, *D_n$ and $*E_n$.

**Theorem 2.1** (Okuma [8], Theorem 2.8). Let $(X, x)$ be a normal surface singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal good resolution of the singularity $(X, x)$. Then we have

$$\delta_2(X, x) = h^1_\pi(\mathcal{O}_{\tilde{X}}(2K + A)) = h^1(\mathcal{O}_{\tilde{X}}(-K - A)),$$

where $K$ is the canonical divisor on $\tilde{X}$.

**Theorem 2.2** (Okuma [8], Lemma 3.2). Let $(X, x)$ be a rational singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$. Assume that the weighted dual graph of $(X, x)$ is a star-shaped graph with the data $\{0; b, (d_1, e_1), \ldots, (d_\beta, e_\beta)\}$. Then we have

$$\delta_m(X, x) = \sum_{k \geq 0} h^9(\mathcal{O}_{A_0}(mK_{A_0} - D_n^{(k)})).$$


We follow the notation of the preceding section. Let $A = \bigcup A_i$, $1 \leq i \leq n$, where $A_i$ are its irreducible components, lie on a non-singular complex surface $\tilde{X}$. Let $G(a_1, \ldots, a_n)$ denote the weighted dual graph associated with a contractible curve $A = \bigcup A_i$, where $a_i = -A_i^2$. We may assume that if $A_i$ is a non-singular rational curve, then $a_i \geq 2$. There are many other combinations of the weights $(a_1', \ldots, a_n')$ which make the graph $G(a_1', \ldots, a_n')$ to be contractible. We denote by $p_g(a_1, \ldots, a_n)$ (resp. $\delta_2(a_1, \ldots, a_n)$) the geometric genus (resp. second pluri-genus) of the singularity $(X, x)$ obtained from a contractible graph $G(a_1, \ldots, a_n)$. Then Ohyanagi decided all those graphs $G(a_1, \ldots, a_n)$ such that $p_g(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$.

**Theorem** (Ohyanagi [7], Theorem A, C). Let $(X, x)$ be a normal surface singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$. Assume that the weighted dual graph of $(X, x)$ is of type either $*A_n, *D_n, *E_6, *E_7$ or $*E_8$. Then we have $p_g(X, x) = 0$. Moreover, all graphs $G(a_1, \ldots, a_n)$ such that $p_g(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$ are of type $*A_n, *D_n, *E_6, *E_7, *E_8$.

We obtain the following theorem which corresponds to (Ohyanagi [7], Theorem A, C).

**Theorem 3.1**. Let $(X, x)$ be a normal surface singularity and $\pi : (\tilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$. Assume that the weighted dual graph of $(X, x)$ is of type either $*A_n, *D_n, *E_6, *E_7$ or $*E_8$. 


Then we have $\delta_2(X, x) = 0$. Moreover, all graphs $G(a_1, \ldots, a_n)$ such that $\delta_2(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$ are of type $*A_n, *D_n$.

Proof. By ([7], Theorem 2.2), we have that each of the graphs $*A_n, n \geq 1; *D_n, n \geq 4; *E_6, n = 6, 7$ and 8, is the weighted dual graph for a rational singularity. Let $(X, x)$ be a normal surface singularity whose weighted dual graph is of type $*A_n$. Since $(X, x)$ is cyclic quotient singularity, we have $\delta_2(X, x) = 0$ ([12], Theorem 3.9). Let $(X, x)$ be a rational singularity whose weighted dual graph is a star-shaped graph with three branches. For any integers $k \geq 0$ and $m > 0$, we put $c(m, k) = -2m - bk + \sum_{i=1}^3[(ke_i + m(d_i - 1))/d_i]$. Using Theorem 2.2, if $b = -A_0^2 \geq 3$, then $\delta_2(X, x) = 0$.

We may assume that $b = 2$.

Let $(X, x)$ be a normal surface singularity whose weighted dual graph is of type $*D_n$. We have the following.

Claim 1. Let $b_i \geq 2, 1 \leq i \leq r$, be integers. We put $d/e = [b_1, \ldots, b_r]$, where $d$ and $e$ are relatively prime and $r \geq 2$. For any integer $k \geq 0$, we have that

$$\left\lfloor \frac{ke - 2}{d} \right\rfloor \leq \left\lfloor \frac{kr - 2}{r+1} \right\rfloor$$

if $k \equiv r \pmod{(r + 1)}$, and

$$\left(1 + \left\lfloor \frac{kr - 2}{r+1} \right\rfloor \right)$$

if $k \equiv r \pmod{(r + 1)}$.

Proof of Claim 1. Since $e/d \leq r/(r + 1)$, we have $[(ke - 2)/d] \leq [kr/(r + 1) - 2/d]$. By comparing $[kr/(r + 1) - 2/d]$ with $[(kr - 2)/(r + 1)]$, we obtain the assertion.

Hence we have that

$$c(2, k) \leq \begin{cases} 
2 - 2k + 2 \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{kr-2}{r+1} \right\rfloor & \text{if } k \not\equiv r \pmod{(r+1)}, \\
3 - 2k + 2 \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{kr-2}{r+1} \right\rfloor & \text{if } k \equiv r \pmod{(r+1)}. 
\end{cases}$$

If $k \not\equiv r \pmod{(r+1)}$, $c(2, k) \leq -2/(r+1) - k/(r+1)$, so we have $c(2, k) < 0$. If $k \equiv r \pmod{(r+1)}$, $c(2, k) \leq (r-1)/(r+1) - k/(r+1)$, so we have $c(2, k) < 0$. By Theorem 2.2, we have $\delta_2(X, x) = 0$. We can easily check the following.

Claim 2. Let $b_i \geq 2, (i = 1, 2)$ be integers. We put $d/e = [b_1, b_2]$, where $d$ and $e$ are relatively prime. Assume that $d/e \not\in [2, 2]$. For any integer $k \geq 0$, we have that

$$\left\lfloor \frac{ke - 2}{d} \right\rfloor \leq \left\lfloor \frac{3k-2}{5} \right\rfloor$$

if $k \not\equiv 2 \pmod{5}$,

$$1 + \left\lfloor \frac{3k-2}{5} \right\rfloor$$

if $k \equiv 2 \pmod{5}$.

In a similar way, by using Claim 1 and Claim 2, we can prove that if $(X, x)$ is a normal surface singularity whose weighted dual graph is of type either $*E_6$, $*E_7$ or $*E_8$, then we have $\delta_2(X, x) = 0$ (cf. Proof of Theorem
3.3. Let $G(a_1, \ldots, a_n)$ be a graph such that $\delta_2(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$. Since it is well-known that we have the inequality $\delta_1 \leq \delta_2$ ([10], Lemma 1.66), $G(a_1, \ldots, a_n)$ is a graph such that $\delta_1(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$. By Theorem (Ohyanagi [7]) in Sect. 3, $G(a_1, \ldots, a_n)$ is of type either $*A_n, *D_n, *E_6, *E_7$ or $*E_8$. Hence, by the argument above, all graphs $G(a_1, \ldots, a_n)$ such that $\delta_2(a_1, \ldots, a_n) = 0$ for any $(a_1, \ldots, a_n)$ are of type $*A_n, *D_n, *E_6, *E_7, *E_8$. \hfill $\Box$

The following example is normal surface singularities of type $*D_n, n \geq 2$, $*E_6, *E_7$ and $*E_8$ with the third pluri-genus $\delta_3 \neq 0$.

**Example 3.1.** There exists a normal singularity $(X, x)$ whose weighted dual graph is a star-shaped graph with the data \{0; 2, (3, 1), (3, 1), (3, 1)\} (resp. \{0; 2, (3, 1), (3, 2), (3, 2)\}, \{0; 2, (3, 1), (3, 2), (4, 3)\}, \{0; 2, (3, 1), (3, 2), (5, 4)\}) i.e., $(X, x)$ is of type $*D_4$ (resp. $*E_6, *E_7, *E_8$). By Theorem 2.2, we have $\delta_3(X, x) = 1$. Hence all graphs of type $*A_n, *D_n, n \geq 4, *E_6, *E_7$ and $*E_8$ are not characterized by the third pluri-genus $\delta_3$.

Next we consider the second pluri-genus of type $\tilde{*A_n}, \tilde{*D_n}, \tilde{*E_6}, \tilde{*E_7}$ and $\tilde{*E_8}$. Let $(X, x)$ be a normal surface singularity and $\pi : (\tilde{X}, A) \rightarrow (X, x)$ the minimal resolution of the singularity $(X, x)$. If the weighted dual graph of $(X, x)$ is of type $\tilde{*A_n}$, then $(X, x)$ is a cusp singularity. Hence we have $\delta_2(X, x) = 1$ (cf. [12], Theorem 1.16). Assume that the weighted dual graph of $(X, x)$ is of type either $\tilde{*D_n}, \tilde{*E_6}, \tilde{*E_7}$ or $\tilde{*E_8}$. Then $(X, x)$ is a rational or minimally elliptic singularity ([7], Theorem 4.1.3, 4.2.1, 4.3.1, 4.4.1). We have the following lemma directly from ([9], Corollary 2.6). However, we give a different proof for it. We can use the method of proof to prove (1) of Theorem B in Introduction.

**Lemma 3.1.** Let $(X, x)$ be a minimally elliptic singularity and $\pi : (\tilde{X}, A) \rightarrow (X, x)$ the minimal good resolution of the singularity $(X, x)$. Let $Z_K$ be a cycle such that $\mathcal{O}_{\tilde{X}}(K) \cong \mathcal{O}_{\tilde{X}}(-Z_K)$ and $V = Z_K - A$. Assume that $(X, x)$ is not a simple elliptic or cusp singularity. Then we have that

$$\delta_2(X, x) = 1 + h^1(\mathcal{O}_V(-K - A)) = V \cdot (K + A) = -V^2,$$

where $K$ is the canonical divisor on $\tilde{X}$.

**Proof.** If $\pi$ is the minimal, by the assumption and ([4], Theorem 3.10), $Z_k$ is the fundamental cycle and we have $h^1(\mathcal{O}_{\tilde{X}}) = h^1(\mathcal{O}_{Z_K}) = 1$ and $V \cdot (K + A) = -V^2$. Hence it is enough to prove that $\delta_2(X, x) = 1 + h^1(\mathcal{O}_V(-K - A)) = V \cdot (K + A)$. In the minimal resolution of a minimally elliptic singularity, for $0 < W < Z_K$, we have the strict inequality $h^1(\mathcal{O}_W) < h^1(\mathcal{O}_{Z_K})$ (cf. Némethi, [6]). By the assumption and the adjunction formula (cf.[4]), we have $A < Z_K$. Since $0 < V, A < Z_K$, we have that $H^1(\mathcal{O}_V) = 0$ and
χ(Ω′) = 1. By ([4], Theorem 3.4) and the Riemann-Roch theorem, we have that 
χ(ΩZ) = χ(ΩV) + χ(ΩA)−V·A = 0. Since −V·A = (−ZK + A)·A = 
(K + A)·A, we have V·A = 2. Hence we have χ(ΩV) = 1. From a sheaf 
exact sequence 

\[ 0 \to Ω_X(−K − A − V) \to Ω_X(−K − A) \to Ω_V(−K − A) \to 0, \]

we have an exact sequence 

\[ 0 \to H^0(Ω_X(−K − A − V)) \to H^0(Ω_X(−K − A)) \to H^0(Ω_V(−K − A)) \]

\[ \to H^1(Ω_X(−K − A − V)) \to H^1(Ω_X(−K − A)) \to H^1(Ω_V(−K − A)) \to 0. \]

Since Ω_X(−K − A − V) ≅ Ω_X, we have h^1(Ω_X(−K − A − V)) = 1. Also, 
since (2K + A + V)·A_i = K·A_i ≥ 0 for all A_i ⊂ Supp(V) and H^1(Ω_V) = 0, 
it follows from ([5], (11.1)) that H^1(Ω_V(2K + A + V)) = 0. By the Serre 
duality, the Riemann-Roch theorem and Theorem 2.1, we have that

\[ δ_2(X, x) = h^1(Ω_X(−K − A)) = 1 + h^1(Ω_V(−K − A)) = V·(K + A). \]

If π is not minimal, by the assumption and ([4], Proposition 3.5), (X, x) is a singularity whose weighted dual graph is of type D(b_1, b_2, b_3). Then 
we have Z_K = 2A_0 + ∑_i=1^3 A_i. Since A_0 ≅ P^1 and K·A_0 = −1, we have 
H^1(Ω_A_0(K)) = 0 and χ(Ω_A_0) = 1. In a similar way, we have δ_2(X, x) = 
1 + h^1(Ω_V(−K − A)) = V·(K + A) = −V^2. 

**Theorem (Okuma [9]).** Let (X, x) be a minimally elliptic singularity and π : 
(⟨X, A⟩ → (X, x) the minimal resolution of the singularity (X, x). Assume 
that the weighted dual graph of (X, x) is of type either *Dn, *E6, *E7 or *E8, then 
δ_2(X, x) = 2.

**Proof.** Let (X, x) be a minimally elliptic singularity whose weighted dual 
graph is of type *D_n (resp. *E_6, *E_7, *E_8). We put V = ∑_i=0^−4 A_i (resp. 
2A_0 + ∑_i=1^3 A_i, 3A_0 + 2(A_21 + A_31) + A_11 + A_22 + A_32, 5A_0 + 4A_31 + 3(A_21 + 
A_32) + 2(A_11 + A_33) + A_22 + A_34). Then we have V^2 = −2 and Z_K = V + A. 
By Lemma 3.1, we have that δ_2(X, x) = 2. 

Hence we consider the precise behavior of the second pluri-genus δ_2 of 
rational singularities of type *D_n, *E_6, *E_7 and *E_8. We obtain the following 
theorem with respect to type *D_n,

**Theorem 3.2.** Let (X, x) be a rational singularity and π : (⟨X, A⟩ → (X, x) 
the minimal resolution of the singularity (X, x). Assume that the weighted 
dual graph of (X, x) is of type *D_n. Then we have δ_2(X, x) = 1.
Proof. We follow the proof of Lemma 3.1. Let $V = \sum_{i=0}^{n-4} A_i$. Since $(X, x)$ is rational and the natural map $H^1(\mathcal{O}_X) \to H^1(\mathcal{O}_V)$ is surjective, we have $H^1(\mathcal{O}_V) = 0$. Consider a sheaf exact sequence

$$0 \to \mathcal{O}_X(-K - A - V) \to \mathcal{O}_X(-K - A) \to \mathcal{O}_V(-K - A) \to 0.$$ 

Since $(X, x)$ is rational and $(-K - A - V) \cdot A_i \geq 0$ for all $A_i$, it follows from ([5], (12.1)) that $H^1(\mathcal{O}_X(-K - A - V)) = 0$. Also, since $(2K + A + V) \cdot A_i = 0$ for all $A_i \subset \text{Supp}(V)$ and $H^1(\mathcal{O}_V) = 0$, it follows from ([5], (11.1)) that $H^1(\mathcal{O}_V(2K + A + V)) = 0$. As in the proof of Lemma 3.1, we have that

$$\delta_2(X, x) = h^1(\mathcal{O}_X(-K - A)) = -\chi(\mathcal{O}_V(-K - A)) = V \cdot (K + A) - 1 = 1 \quad \Box$$

Also, we obtain the following theorem.

**Theorem 3.3.** Let $(X, x)$ be a rational singularity and $\pi : (\widetilde{X}, A) \to (X, x)$ the minimal resolution of the singularity $(X, x)$.

(A) If the weighted dual graph of $(X, x)$ is of type $\widetilde{E}_6$, then we have the following:

1. if $b = 2$, $\delta_2(X, x) = 1$;
2. otherwise, $\delta_2(X, x) = 0$.

(B) If the weighted dual graph of $(X, x)$ is of type $\widetilde{E}_7$, then we have the following:

1. if $b = b_{21} = b_{31} = 2$, $\delta_2(X, x) = 1$;
2. otherwise, $\delta_2(X, x) = 0$.

(C) If the weighted dual graph of $(X, x)$ is of type $\widetilde{E}_8$, then we have the following:

1. if $b = b_{11} = b_{21} = b_{31} = b_{32} = b_{33} = 2$, $\delta_2(X, x) = 1$;
2. otherwise, $\delta_2(X, x) = 0$.

Proof. We follow the proof of Theorem 3.1. We may assume that $b = 2$. Let $(X, x)$ be a rational singularity whose weighted dual graph is of type $\widetilde{E}_6$. We put $d_i/e_i = [-A_{1i}^2, -A_{2i}^2]$, ($i = 1, 2, 3$). We may assume that $e_1/d_1 \leq e_2/d_2 \leq e_3/d_3$ without loss of generality. We can easily check the following.

Claim 3. Let $b_i \geq 2, (i = 1, 2)$ be integers. We put $d/e = [b_1, b_2]$, where $d$ and $e$ are relatively prime. Assume that $d/e \neq [2, c], (c \geq 2, c \in \mathbb{Z})$. For any integer $k \geq 0$, we have that

$$\left\lfloor \frac{ke - 2}{d} \right\rfloor \leq \left\{ \begin{array}{ll}
\left\lfloor \frac{2k-2}{5} \right\rfloor & \text{if } k \not\equiv 3 \pmod{5}, \\
1 + \left\lfloor \frac{2k-2}{5} \right\rfloor & \text{if } k \equiv 3 \pmod{5}.
\end{array} \right.$$
Since \( p_g(X, x) = 0 \), by ([7], Theorem 4.2.1), Claim 1 and Claim 3, we have the following:

\[
c(2, k) \leq \begin{cases} 
 2 - 2k + \left\lfloor \frac{2k-2}{3} \right\rfloor + 2 \left\lfloor \frac{2k-2}{3} \right\rfloor & \text{if } k \not\equiv 2 \pmod{3} \text{ and } k \not\equiv 3 \pmod{5}, \\
 3 - 2k + \left\lfloor \frac{2k-2}{3} \right\rfloor + 2 \left\lfloor \frac{2k-2}{3} \right\rfloor & \text{if } k \not\equiv 2 \pmod{3} \text{ and } k \equiv 3 \pmod{5}, \\
 4 - 2k + \left\lfloor \frac{2k-2}{3} \right\rfloor + 2 \left\lfloor \frac{2k-2}{3} \right\rfloor & \text{if } k \equiv 2 \pmod{3} \text{ and } k \not\equiv 3 \pmod{5}, \\
 5 - 2k + \left\lfloor \frac{2k-2}{3} \right\rfloor + 2 \left\lfloor \frac{2k-2}{3} \right\rfloor & \text{if } k \equiv 2 \pmod{3} \text{ and } k \equiv 3 \pmod{5}.
\end{cases}
\]

Hence we have that \( c(2, 1) \leq 0 \), \( c(2, 2) \leq 0 \) and \( c(2, k) < 0 \) for \( k \neq 1, 2 \).

When \( k = 2 \), we have that

\[
\left\lfloor \frac{2(e_3 - 1)}{d_3} \right\rfloor \leq (a) \left[ \frac{4}{3} - \frac{2}{d_3} \right] \leq (b) 1 + \left[ \frac{4}{3} - \frac{2}{3} \right] = 1.
\]

Then there is not an associated continued fraction which the equalities (a) and (b) are simultaneously satisfied. In fact, we have that

\[
\frac{2(e_3 - 1)}{d_3} \leq \frac{2(-A_{32}^2) - 2}{2(-A_{32}^2) - 1} < 1, \text{ i.e., } \left[ \frac{2(e_3 - 1)}{d_3} \right] < 1.
\]

Hence we have \( c(2, 2) < 0 \). By Theorem 2.2, \( \delta_2(X, x) = h^0(\mathcal{O}_{\mathbb{A}_n}(2K_{A_0} - D_2^{(1)})) \leq 1 \). By considering continued fractions which satisfy \( c(2, 1) = 0 \), we can easily check (A).

Let \((X, x)\) is a rational singularity whose weighted dual graph is of type \( \tilde{E}_7 \). First, assume that \( b_{11} \geq 3 \). Since \( p_g(X, x) = 0 \), by ([7], Theorem 4.3.1) and Claim 1, we have the following:

\[
c(2, k) \leq \begin{cases} 
 2 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + 2 \left\lfloor \frac{3k-2}{8} \right\rfloor & \text{if } k \not\equiv 3 \pmod{4}, \\
 4 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + 2 \left\lfloor \frac{3k-2}{4} \right\rfloor & \text{if } k \equiv 3 \pmod{4}.
\end{cases}
\]

Hence we have that \( c(2, 2) \leq 0 \), \( c(2, 3) \leq 0 \) and \( c(2, k) < 0 \) for \( k \neq 2, 3 \). In a similar way, we have \( c(2, 3) < 0 \). By Theorem 2.2, \( \delta_2(X, x) = h^0(\mathcal{O}_{\mathbb{A}_n}(2K_{A_0} - D_2^{(2)})) \leq 1 \). Next, assume that \( b_{11} = 2 \).

(1) Assume that \((b_{21}, b_{22}, b_{23}) = (2, 2, 2)\). We can easily check the following.

**Claim 4.** Let \( b_i \geq 2, (i = 1, 2, 3) \) be integers. We put \( d/e = [b_1, b_2, b_3] \), where \( d \) and \( e \) are relatively prime. Assume that \( d/e \not\equiv [2, 2, c], (c \geq 2, c \in \mathbb{Z}) \). For any integer \( k \geq 0 \), we have that

\[
\left\lfloor \frac{ke - 2}{d} \right\rfloor \leq \begin{cases} 
 \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \not\equiv 5 \pmod{8}, \\
 1 + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \equiv 5 \pmod{8}.
\end{cases}
\]

Since \( p_g(X, x) = 0 \), by ([7], Theorem 4.3.1) and Claim 4, we have the following:

\[
c(2, k) \leq \begin{cases} 
 2 - 2k + \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{3k-2}{4} \right\rfloor + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \not\equiv 5 \pmod{8}, \\
 3 - 2k + \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{3k-2}{4} \right\rfloor + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \equiv 5 \pmod{8}.
\end{cases}
\]
Hence we have that $c(2, 2) \leq 0$ and $c(2, k) < 0$ for $k \neq 2$. By Theorem 2.2, 
$\delta_2(X, x) = h^0(\mathcal{O}_{A_0}(2K_{A_0} - D_2^{(2)})) \leq 1$.

(2) Assume that $(b_{21}, b_{22}, b_{23}) \neq (2, 2, 2)$. If $(b_{31}, b_{32}, b_{33}) = (2, 2, 2)$, by (1), we have $\delta_2(X, x) = h^0(\mathcal{O}_{A_0}(2K_{A_0} - D_2^{(2)})) \leq 1$. Assume that $(b_{31}, b_{32}, b_{33}) \neq (2, 2, 2)$. We can easily check the following.

**Claim 5.** Let $b_i \geq 2, (i = 1, 2, 3)$ be integers. We put $d/e = [b_1, b_2, b_3]$, where $d$ and $e$ are relatively prime. Assume that $d/e \neq [2, 2, 2]$. For any integer $k \geq 0$, we have that

$$\left\lfloor \frac{ke - 2}{d} \right\rfloor \leq \begin{cases} \left\lfloor \frac{5k-2}{7} \right\rfloor & \text{if } k \equiv 3 \pmod{7}, \\ 1 + \left\lfloor \frac{5k-2}{7} \right\rfloor & \text{if } k \equiv 0 \pmod{7}. \end{cases}$$

Since $p_g(X, x) = 0$, by ([7], Theorem 4.3.1), Claim 4 and Claim 5, we have the following:

$$c(2, k) \leq \begin{cases} 2 - 2k + \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{5k-2}{7} \right\rfloor + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \equiv 5 \pmod{7}, \\ 3 - 2k + \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{5k-2}{7} \right\rfloor + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \equiv 3 \pmod{7}, \\ 4 - 2k + \left\lfloor \frac{k-2}{2} \right\rfloor + \left\lfloor \frac{5k-2}{7} \right\rfloor + \left\lfloor \frac{5k-2}{8} \right\rfloor & \text{if } k \equiv 0 \pmod{7}. \end{cases}$$

Hence we have that $c(2, 2) \leq 0$ and $c(2, k) < 0$ for $k \neq 2$. By Theorem 2.2, $\delta_2(X, x) = h^0(\mathcal{O}_{A_0}(2K_{A_0} - D_2^{(2)})) \leq 1$. Hence, by considering continued fractions which satisfy $c(2, 2) = 0$, we can easily check (B).

Let $(X, x)$ is a rational singularity whose weighted dual graph is of type $\tilde{E}_8$. First, assume that $b_{11} \geq 3$. Since $p_g(X, x) = 0$, by ([7], Theorem 4.4.1) and Claim 1, we have the following:

$$c(2, k) \leq \begin{cases} 2 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + \left\lfloor \frac{2k-2}{3} \right\rfloor + \left\lfloor \frac{5k-2}{6} \right\rfloor & \text{if } k \equiv 2 \pmod{3}, \\ 3 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + \left\lfloor \frac{2k-2}{3} \right\rfloor + \left\lfloor \frac{5k-2}{6} \right\rfloor & \text{if } k \equiv 5 \pmod{3}, \\ 3 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + \left\lfloor \frac{2k-2}{3} \right\rfloor + \left\lfloor \frac{5k-2}{6} \right\rfloor & \text{if } k \equiv 2 \pmod{6}, \\ 4 - 2k + \left\lfloor \frac{k-2}{3} \right\rfloor + \left\lfloor \frac{2k-2}{3} \right\rfloor + \left\lfloor \frac{5k-2}{6} \right\rfloor & \text{if } k \equiv 5 \pmod{6}. \end{cases}$$

Hence, we have that $c(2, 2) \leq 0$, $c(2, 5) \leq 0$ and $c(2, k) < 0$ for $k \neq 2, 5$. In a similar way, we have $c(2, 2) < 0$ and $c(2, 5) < 0$. By Theorem 2.2, $\delta_2(X, x) = 0$. Next, assume that $b_{11} = 2$.

(1) Assume that $(b_{21}, b_{22}) = (2, 2)$. We can easily check the following.
Claim 6. Let $b_i \geq 2, (1 \leq i \leq 5)$ be integers. We put $d/e = [b_1, \ldots, b_5]$, where $d$ and $e$ are relatively prime. Assume that $d/e \not\in [2, 2, 2, 2, c], (c \geq 2, c \in \mathbb{Z})$. For any integer $k \geq 0$, we have that

$$\left\lceil \frac{ke - 2}{d} \right\rceil \leq \left\{ \begin{array}{ll}
\left\lfloor \frac{11k}{14} \right\rfloor & \text{if } k \not\equiv 0 \pmod{14}, \\
1 + \left\lfloor \frac{11k}{14} \right\rfloor & \text{if } k \equiv 0 \pmod{14}.
\end{array} \right.$$ 

Since $p_g(X, x) = 0$, by ([7], Theorem 4.4.1) and Claim 6, we have the following:

$$c(2, k) \leq \left\{ \begin{array}{ll}
2 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{2k-2}{3} \right] + \left[ \frac{11k-2}{14} \right] & \text{if } k \not\equiv 0 \pmod{14}, \\
3 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{2k-2}{3} \right] + \left[ \frac{11k-2}{14} \right] & \text{if } k \equiv 0 \pmod{14},
\end{array} \right.$$ 

Hence, we have that $c(2, 4) \leq 0$ and $c(2, k) < 0$ for $k \not= 4$. By Theorem 2.2, $\delta_2(X, x) = h^0(\mathcal{O}_{A_0}(2K_{A_0} - D_2^{(4)})) \leq 1$.

(2) Assume that $(b_{21}, b_{22}) \neq (2, 2)$

Since $p_g(X, x) = 0$, by ([7], Theorem 4.4.1), Claim 1 and Claim 2, we have the following:

$$c(2, k) \leq \left\{ \begin{array}{ll}
2 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{3k-2}{5} \right] + \left[ \frac{5k-2}{6} \right] & \text{if } k \not\equiv 0 \pmod{5} \\
3 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{3k-2}{5} \right] + \left[ \frac{5k-2}{6} \right] & \text{if } k \equiv 0 \pmod{5} \\
3 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{3k-2}{5} \right] + \left[ \frac{5k-2}{6} \right] & \text{if } k \not\equiv 0 \pmod{6} \\
4 - 2k + \left[ \frac{k-2}{2} \right] + \left[ \frac{3k-2}{5} \right] + \left[ \frac{5k-2}{6} \right] & \text{if } k \equiv 0 \pmod{6}.
\end{array} \right.$$ 

Hence, we have that $c(2, 2) \leq 0, c(2, 4) \leq 0$ and $c(2, k) < 0$ for $k \not= 2, 4$. In a similar way, we have $c(2, 2) < 0$. By Theorem 2.2, $\delta_2(X, x) = h^0(\mathcal{O}_{A_0}(2K_{A_0} - D_2^{(4)})) \leq 1$. Hence, by considering continued fractions which satisfy $c(2, 4) = 0$, we can easily check (C).

Remark. As in the proof of Theorem 3.2, we can give a partial proof of Theorem 3.3. Let $(X, x)$ be a rational singularity whose weighted dual graph is of type $\widetilde{E}_6$ (resp. $\widetilde{E}_7, \widetilde{E}_8$). Assume that $(X, x)$ satisfies the condition (1) of (A) (resp. (B), (C)). We put $V = 2A_0 + \sum_{i=1}^{3} A_1$ (resp. $3A_0 + 2(A_{21} + A_{31}) + A_{11} + A_{22} + A_{32}, 5A_0 + 4A_{31} + 3(A_{21} + A_{32}) + 2(A_{11} + A_{33}) + A_{22} + A_{34}$).

Then we have $\delta_2(X, x) = h^1(\mathcal{O}_V(-K - A)) = 1$.

References


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