

SIMPLY CONNECTED COMPLEX SURFACES OF GENERAL TYPE WITH $p_g = 0$ AND $K^2 = 1, 2$

HEESANG PARK, JONGIL PARK, DONGSOO SHIN, AND KI-HEON YUN

ABSTRACT. We construct various examples of simply connected minimal complex surfaces of general type with $p_g = 0$ and $K^2 = 1, 2$ using \mathbb{Q} -Gorenstein smoothing method.

1. Introduction

In this paper we construct various examples of simply connected minimal complex surfaces of general type with $p_g = 0$ and $K^2 = 1, 2$. We apply the \mathbb{Q} -Gorenstein smoothing method used in [3, 4, 5].

The examples of this paper would be useful for studying the Kollár-Shepherd-Barron-Alexeev (KSBA) compactification (developed in Kollár-Shepherd-Barron [2]) of surfaces of general type with $\chi = 1$ and $K^2 = 1, 2$ because of the method of construction. The methods in [3, 4, 5] are to find a rational surface Z which contains several disjoint linear chains of \mathbb{P}^1 representing the resolution graphs of quotient surface singularities of class T . We contract these chains of \mathbb{P}^1 from the rational surface Z to produce a projective singular surface X with singularities of class T . We then prove that the singular surface X has a \mathbb{Q} -Gorenstein smoothing and the general fiber X_t of the \mathbb{Q} -Gorenstein smoothing is a simply connected minimal surface of general type with $p_g = 0$ and $K^2 = 1, 2$.

Therefore each singular surface X in this paper determines a codimension one component of the boundary of the KSBA compactifications of moduli space of complex surfaces of general type with $\chi = 1$ and $K_X^2 = 1, 2$; cf. Hacking [1]. For instance Stern and Urzúa [6] identified the minimal models of the general surfaces of the KSBA divisors corresponding to each singular surfaces X in this paper.

It is a very interesting problem to determine whether these examples are diffeomorphic (or deformation equivalent) to each other or to already known surfaces. We leave it for further studies.

Received July 1, 2016; Revised December 27, 2016.

2010 *Mathematics Subject Classification.* 14J29, 14J10, 14J17, 53D05.

Key words and phrases. \mathbb{Q} -Gorenstein smoothing, rational blow-down, surface of general type.

Acknowledgements. H. Park was supported by Basic Science Research Program through the National Research Foundation of Korea(NRF) funded by the Ministry of Science, ICT & Future Planning (NRF-2015R1C1A2A01054769). J. Park was supported by Excellence and Leading Research Grant funded by Seoul National University. He also holds a joint appointment at KIAS and in the Research Institute of Mathematics, SNU. D. Shin was supported by the research fund of Chungnam National University in 2016.

2. \mathbb{Q} -Gorenstein smoothing method

We review the method of constructions, so-called *\mathbb{Q} -Gorenstein smoothing method*. Since all the proofs are basically the same as the case of the main construction in Lee-Park [3, §3], we briefly sketch the method step by step and we recall some delicate parts of the method.

Procedure

At first we take a pencil of cubic curves in $\mathbb{C}\mathbb{P}^2$. We resolve the base points (including infinitely near base points) of the pencil by blowing up 9 times along the base points so that we get a rational elliptic surface Y . We further blow up Y *appropriately* (explained below) to construct a rational surface Z that contains several special linear chains of rational curves. The linear chains can be contracted to special cyclic quotient singular points of type $\frac{1}{n^2}(1, na - 1)$ with $1 \leq a < n$ and $(n, a) = 1$, which are called *singularities of class T* , on a singular surface X . Then a general fiber X_t of a \mathbb{Q} -Gorenstein smoothing of X will be a complex surface with the desired invariants.

Constraints

In order to guarantee that the singular surface X admits a \mathbb{Q} -Gorenstein smoothing and its general fiber X_t has the desired invariants, the rational surface Z should be constructed very carefully from Y . The below explains some constraints of the construction of Z .

Existence of a \mathbb{Q} -Gorenstein smoothing. Since every singularities of class T on the singular surface X has a local \mathbb{Q} -Gorenstein smoothing, it is enough to show that there is no obstruction to globalize the local smoothings. Indeed the obstruction lies in $H^2(X, \mathcal{T}_X)$ where \mathcal{T}_X is the tangent sheaf of X . One can prove the vanishing $H^2(X, \mathcal{T}_X) = 0$ by a similar method in Lee-Park [3] if the rational surface Z is constructed according to the following constraints:

- Constraint 1. At most two nodal singular fibers of Y (or their proper transforms on Z) are contained the exceptional divisors of the singularities of class T of X
- Constraint 2. The exceptional divisors of the singularities of class T of X should not contain all components of any reducible singular fibers (including their proper transforms on Z) of Y .

The desired invariants. At first, the geometric genus $p_g(X_t)$ is zero because X is constructed from a rational surface Z . It is not difficult to show that X_t is simply connected by van Kampen theorem. Indeed if Z_0 is an open 4-manifold obtained by deleting a small open neighborhood of the singular points of X , then it is enough to show that Z_0 is simply connected in order to show that X_t is simply connected. One can show by van Kampen theorem that $\pi_1(Z_0)$ is generated by (roughly speaking) normal circles around the exceptional divisors of the singularities of class T . But the normal circles lie on (-1) -spheres connecting the exceptional divisors. Hence there are relations on the generators of $\pi_1(Z_0)$ and one can show that they should be zero by solving the relations. The self-intersection number K^2 can be computed by the formula

$$\begin{aligned} K^2 = & 9 - \text{the number of blowing-ups needed to construct } Z \text{ from } Y \\ & + \text{the number of irreducible components} \\ & \text{of the exceptional divisors of the singularities of class } T \text{ of } X \end{aligned}$$

Finally, one of the main constraints arises because X_t should be of general type. For this it is enough to show that K_X is nef. One can easily show that its pull-back f^*K_X on Z is effective. Therefore it is needed to show that the intersection number of f^*K_X with the (-1) -curves on Z are nonnegative. Since every (-1) -curve on Z intersects the exceptional divisor of the singularities of class T , the nefness of K_X follows from the following final constraints.

Constraint 3. Every (-1) -curve on Z should intersect at least two components of the exceptional divisors of the singularities of class T and the sum of the discrepancies of the components of the exceptional divisors intersecting a given (-1) -curve should be not less than one.

Here a *discrepancy* is defined as follows. Let $(X, 0)$ be a normal surface singularity with the minimal good resolution $f: (V, E) \rightarrow (X, 0)$. Let $E = \sum_{i=1}^n E_i$ be the decomposition of the exceptional divisor E with irreducible components E_i . Then

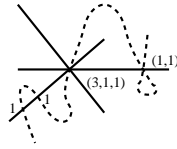
$$K_V = f^*K_X + \sum_{i=1}^n a_i E_i$$

for some $a_i \in \mathbb{Z}$. The coefficients a_i is called the *discrepancy* of E_i .

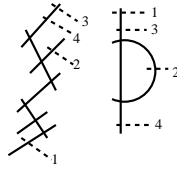
3. Various examples

In the following we list pencils of cubics in $\mathbb{C}\mathbb{P}^2$, elliptic fibrations Y obtained from the pencils, and the rational surfaces Z obtained by blowing-up Y several times appropriately. In the rational surfaces Z , we indicate the configurations of linear chains of \mathbb{P}^1 which will be contracted so that we obtain a singular surface X which has a \mathbb{Q} -Gorenstein smoothing.

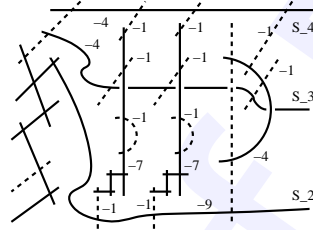
Type of singular fibers. The index, for example $I_9 + 3I_1$, denotes the type of singular fibers of elliptic fibrations.



- Sections



- Rational surfaces $Z = \mathbb{CP}^2 \# 16\overline{\mathbb{CP}^2}$



- The exceptional divisors

$$C_{2,1} : \begin{matrix} 1/2 \\ \circ \\ -4 \end{matrix}$$

$$C_{2,1} : \begin{matrix} 1/2 \\ \circ \\ -4 \end{matrix}$$

$$C_{2,1} : \begin{matrix} 1/2 \\ \circ \\ -4 \end{matrix}$$

$$C_{5,1} : \begin{matrix} 4/5 & 3/5 & 2/5 & 1/5 \\ \circ & -\circ & -\circ & -\circ \\ -7 & -2 & -2 & -2 \end{matrix}$$

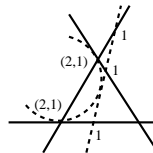
$$C_{5,1} : \begin{matrix} 4/5 & 3/5 & 2/5 & 1/5 \\ \circ & -\circ & -\circ & -\circ \\ -7 & -2 & -2 & -2 \end{matrix}$$

$$C_{7,1} : \begin{matrix} 6/7 & 5/7 & 4/7 & 3/7 & 2/7 & 1/7 \\ \circ & -\circ & -\circ & -\circ & -\circ & -\circ \\ -9 & -2 & -2 & -2 & -2 & -2 \end{matrix}$$

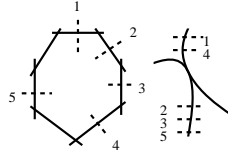
3.2. Examples with $K^2 = 2$

Example 3.5. • Types of singular fibers: $I_7 + III + 2I_1$

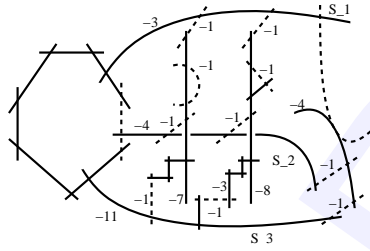
- Pencils of cubics



- Sections



- Rational surfaces $Z = \mathbb{CP}^2 \# 19\overline{\mathbb{CP}^2}$



- The exceptional divisors

$$C_{2,1} : \begin{matrix} 1/2 \\ \circ \\ -4 \end{matrix}$$

$$C_{2,1} : \begin{matrix} 1/2 \\ \circ \\ -4 \end{matrix}$$

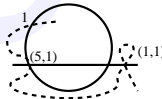
$$C_{5,1} : \begin{matrix} 4/5 & 3/5 & 2/5 & 1/5 \\ \circ & \circ & \circ & \circ \\ -7 & -2 & -2 & -2 \end{matrix}$$

$$C_{11,6} : \begin{matrix} 5/11 & 10/11 & 9/11 & 8/11 & 7/11 & 6/11 \\ \circ & \circ & \circ & \circ & \circ & \circ \\ -2 & -8 & -2 & -2 & -2 & -3 \end{matrix}$$

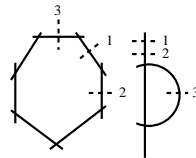
$$C_{17,9} : \begin{matrix} 8/17 & 16/17 & 15/17 & 14/17 & 13/17 & 12/17 & 11/17 & 10/17 & 9/17 \\ \circ & \circ & \circ & \circ & \circ & \circ & \circ & \circ & \circ \\ -2 & -11 & -2 & -2 & -2 & -2 & -2 & -2 & -3 \end{matrix}$$

Example 3.6. • Types of singular fibers: $I_7 + I_2 + 3I_1$

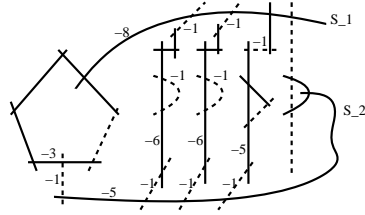
- Pencils of cubics



- Sections



- Rational surfaces $Z = \mathbb{CP}^2 \# 22\overline{\mathbb{CP}^2}$



- The exceptional divisors

$$C_{3,1} : \begin{matrix} \circ & - & \circ \\ \frac{2}{3} & & \frac{1}{3} \\ -5 & & -2 \end{matrix}$$

$$C_{3,1} : \begin{matrix} \circ & - & \circ \\ \frac{2}{3} & & \frac{1}{3} \\ -5 & & -2 \end{matrix}$$

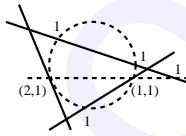
$$C_{4,1} : \begin{matrix} \circ & - & \circ & - & \circ \\ \frac{3}{4} & & \frac{2}{4} & & \frac{1}{4} \\ -6 & & -2 & & -2 \end{matrix}$$

$$C_{4,1} : \begin{matrix} \circ & - & \circ & - & \circ \\ \frac{3}{4} & & \frac{2}{4} & & \frac{1}{4} \\ -6 & & -2 & & -2 \end{matrix}$$

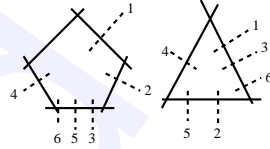
$$C_{11,6} : \begin{matrix} \circ & - & \circ & - & \circ & - & \circ & - & \circ & - & \circ \\ \frac{5}{11} & & \frac{10}{11} & & \frac{9}{11} & & \frac{8}{11} & & \frac{7}{11} & & \frac{6}{11} \\ -2 & & -8 & & -2 & & -2 & & -2 & & -3 \end{matrix}$$

Example 3.13. • Types of singular fibers: $I_5 + I_3 + 4I_1$

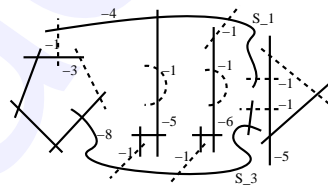
- Pencils of cubics



- Sections



- Rational surfaces $Z = \mathbb{CP}^2 \# 13\overline{\mathbb{CP}}^2$



- The exceptional divisors

$$C_{3,1} : \begin{matrix} \circ & - & \circ \\ \frac{2}{3} & & \frac{1}{3} \\ -5 & & -2 \end{matrix}$$

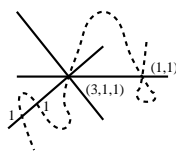
$$C_{4,1} : \begin{matrix} \circ & - & \circ & - & \circ \\ \frac{3}{4} & & \frac{2}{4} & & \frac{1}{4} \\ -6 & & -2 & & -2 \end{matrix}$$

$$C_{7,2} : \begin{array}{cccc} \circ & \circ & \circ & \circ \\ \frac{5}{7} & -\frac{6}{7} & -\frac{4}{7} & -\frac{2}{7} \\ -4 & -5 & -2 & -2 \end{array}$$

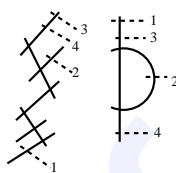
$$C_{11,6} : \begin{array}{cccccc} \circ & \circ & \circ & \circ & \circ & \circ \\ \frac{5}{11} & -\frac{10}{11} & -\frac{9}{11} & -\frac{8}{11} & -\frac{7}{11} & -\frac{6}{11} \\ -2 & -8 & -2 & -2 & -2 & -3 \end{array}$$

Example 3.14. • *Types of singular fibers: $I_2^* + I_2 + 2I_1$*

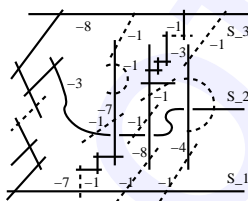
- *Pencils of cubics*



- *Sections*



- *Rational surfaces $Z = \mathbb{CP}^2 \# 19\overline{\mathbb{CP}}^2$*



- *The exceptional divisors*

$$C_{2,1} : \begin{array}{c} \circ \\ \frac{1}{2} \\ -4 \end{array}$$

$$C_{5,1} : \begin{array}{cccc} \circ & \circ & \circ & \circ \\ \frac{4}{5} & -\frac{3}{5} & -\frac{2}{5} & -\frac{1}{5} \\ -7 & -2 & -2 & -2 \end{array}$$

$$C_{5,1} : \begin{array}{cccc} \circ & \circ & \circ & \circ \\ \frac{4}{5} & -\frac{3}{5} & -\frac{2}{5} & -\frac{1}{5} \\ -7 & -2 & -2 & -2 \end{array}$$

$$C_{11,6} : \begin{array}{cccccc} \circ & \circ & \circ & \circ & \circ & \circ \\ \frac{5}{11} & -\frac{10}{11} & -\frac{9}{11} & -\frac{8}{11} & -\frac{7}{11} & -\frac{6}{11} \\ -2 & -8 & -2 & -2 & -2 & -3 \end{array}$$

$$C_{11,6} : \begin{array}{cccccc} \circ & \circ & \circ & \circ & \circ & \circ \\ \frac{5}{11} & -\frac{10}{11} & -\frac{9}{11} & -\frac{8}{11} & -\frac{7}{11} & -\frac{6}{11} \\ -2 & -8 & -2 & -2 & -2 & -3 \end{array}$$

References

- [1] P. Hacking, *Compact moduli spaces of surfaces of general type*, Compact moduli spaces and vector bundles, 1–18, Contemp. Math., **564**, Amer. Math. Soc., Providence, RI, 2012.
- [2] J. Kollár and N. I. Shepherd-Barron, *Threefolds and deformations of surface singularities*, Invent. Math. **91** (1988), no. 2, 299–338.

- [3] Y. Lee and J. Park, *A simply connected surface of general type with $p_g = 0$ and $K^2 = 2$* , Invent. Math. **170** (2007), no. 3, 483–505.
- [4] H. Park, J. Park, and D. Shin, *A simply connected surface of general type with $p_g = 0$ and $K^2 = 3$* , Geom. Topol. **13** (2009), no. 2, 743–767.
- [5] ———, *A simply connected surface of general type with $p_g = 0$ and $K^2 = 4$* , Geom. Topol. **13** (2009), no. 3, 1483–1494.
- [6] A. Stern and G. Urzúa, *KSBA surfaces with elliptic quotient singularities, $\pi_1 = 1$, $p_g = 0$, and $K^2 = 1, 2$* , Israel J. Math. **214** (2016), no. 2, 651–673.

HEESANG PARK
DEPARTMENT OF MATHEMATICS
KONKUK UNIVERSITY
SEOUL 05029, KOREA
E-mail address: HeesangPark@konkuk.ac.kr

JONGIL PARK
DEPARTMENT OF MATHEMATICAL SCIENCES
SEOUL NATIONAL UNIVERSITY
SEOUL 08826, KOREA
AND
KOREA INSTITUTE FOR ADVANCED STUDY
SEOUL 02455, KOREA
E-mail address: jipark@snu.ac.kr

DONGSOO SHIN
DEPARTMENT OF MATHEMATICS
CHUNGNAM NATIONAL UNIVERSITY
DAEJEON 34134, KOREA
E-mail address: dsshin@cnu.ac.kr

KI-HEON YUN
DEPARTMENT OF MATHEMATICS
SUNGSHIN WOMEN'S UNIVERSITY
SEOUL 02844, KOREA
E-mail address: kyun@sungshin.ac.kr