§1.1 Definition of the Hilbert scheme

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# Introduction to Hilbert schemes of curves on a 3-fold

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§1 Introduction

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# Hilbert scheme

We work over a field k = k with char k = 0.

 $V \subset \mathbb{P}^n$ : a closed subscheme.  $O_V(1)$ : a very ample line bundle on *V*.  $X \subset V$ : a closed subscheme.  $P = P(X) = \chi(X, O_X(n))$ : the Hilbert polynomial of *X*.

Then there exists a proj. scheme H, called the Hilbert scheme of V, parametrizing all closed subschemes X' of V with the same Hilbert poly. P as X.

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#### Theorem (Grothendieck'60)

There exists a proj. scheme H and a closed subscheme  $W \subset V \times H$  (universal subscheme), flat over H, such that

- the fibers  $W_h \subset W$  over a closed point  $h \in H$  are closed subschemes of V with the same Hilb. poly.  $P(W_h) = P$ ,
- ② For any scheme *T* and a closed subscheme *W'* ⊂ *V* × *T* with the above prop. ①, there exists a unique morphism  $\varphi: T \to H$  such that *W'* = *W* ×<sub>H</sub> *T* as a subscheme of *V* × *T* (the universal property of *H*).

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#### Notation

Hilb V= the (full) Hilbert scheme of V $\bigcup$  openHilb sc V:= {smooth connected curves  $C \subset V$ }closed  $\bigcup$  openHilb sc V:= {curves of degree degree d and genus g} $(d := \deg O_C(1))$ 

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# Hilbert scheme of space curves

 $V = \mathbb{P}^3$ : the projective 3-space over k $C \subset \mathbb{P}^3$ : a closed subscheme of dim = 1 d(C): degree of  $C (= \sharp(C \cap \mathbb{P}^2))$ g(C): arithmetic genus of C

We study the Hilbert scheme of space curves:

$$H_{d,g} := \operatorname{Hilb}_{d,g}^{sc} \mathbb{P}^{3}$$
$$= \left\{ C \subset \mathbb{P}^{3} \mid \operatorname{smooth} \text{ and } \operatorname{connected} \right\}$$
$$d(C) = d \text{ and } g(C) = g \right\}$$

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# Why we study $H_{d,g}$ ?

Some reasons are:

- For every smooth curve C, there exists a curve C' ⊂ P<sup>3</sup>
   s.t. C' ≃ C.
- Hilb<sup>sc</sup>  $\mathbb{P}^3 = \bigsqcup_{d,g} H_{d,g}$
- More recently, the classification of the space curves has been applied to the study of bir. automorphism

$$\Phi:\mathbb{P}^3 \dashrightarrow \mathbb{P}^3$$

(for the construction of Sarkisov links [Blanc-Lamy,2012]).

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# Some basic facts

- If  $g \le d 3$ , then  $H_{d,g}$  is irreducible [Ein,'86] and  $H_{d,g}$  is generically smooth of expected dimension 4d.
- In general,  $H_{d,g}$  can become reducible, e.g  $H_{9,10} = W_1^{(36)} \sqcup W_2^{(36)}$  [Noether].
- the Hilbert scheme of arith. Cohen-Macaulay (ACM, for short) curves are smooth [Ellingsrud, '75].

 $C \subset \mathbb{P}^3$ : ACM  $\stackrel{\text{def}}{\Longleftrightarrow} H^1(\mathbb{P}^3, I_C(l)) = 0$  for all  $l \in \mathbb{Z}$ 

*H<sub>d,g</sub>* can have many generically non-reduced irreducible components, e.g. [Mumford'62], [Kleppe'87], [Ellia'87], [Gruson-Peskine'82], etc.

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# Infinitesimal property of the Hilbert scheme

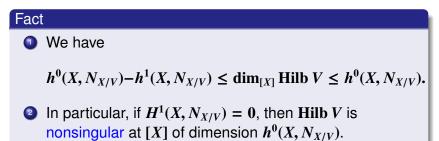
*V*: a smooth projective variety over *k*  $X \subset V$ : a closed subscheme of *V*  $I_X$ : the ideal sheaf defining *X* in *V*  $N_{X/V}$ : the normal sheaf of *X* in *V* 

#### Fact (Tangent space and Obstruction group)

- The tangent space of Hilb V at [X] is isomorphic to  $\operatorname{Hom}(\mathcal{I}_X, \mathcal{O}_X) \simeq H^0(X, N_{X/V})$
- Solution Struction Structure is to deforming *X* in *V* is contained in the group  $\text{Ext}^1(\mathcal{I}_X, \mathcal{O}_X)$ . If *X* is a locally complete intersection in *V*, then ob is contained in  $H^1(X, N_{X/V})$

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If X is a loc. comp. int. in V, then we have the following inequalities:



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# What is Obstruction?

 $(R, \mathfrak{m})$ : a local ring with residue field k. R is a regular loc. ring if  $\operatorname{gr}_{\mathfrak{m}} R := \bigoplus_{l=0}^{\infty} \mathfrak{m}^{l}/\mathfrak{m}^{l+1}$  is isom. to a polynomial ring over k. X: a scheme X of finite type over k. X is nonsingular at  $x \iff O_{x,X}$  is a regular loc. ring.

Proposition (infinitesimal lifting property of smoothness)

*R* is a regular local ring if and only if for any surjective homo.  $\pi: A' \to A$  of Artinian rings A, A', a ring homo.  $u: R \to A$ lifts to  $u': R \to A'$ . 

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 $X(A) = \{f : \text{Spec } A \rightarrow X\}$ : the set of *A*-valued points of *X*.

*X* is nonsingular  $\iff$  the map  $X(A') \rightarrow X(A)$  is surjective for any surjection  $u : A' \rightarrow A$  of Artinian rings.

If X is singular, then the map  $X(A') \rightarrow X(A)$  is not surjective in general.

There exists a vector space *V* over *k* (called obstruction group) with the following property: for any surjection  $\pi : A' \to A$  of Artinian rings and  $u : R \to A$ , there exists an element  $ob(u, A') \in V$  and

$$ob(u, A') = 0 \iff u$$
 lifts to  $u' : R \rightarrow A'$ 

Here ob(u, A') is called the obstruction for u.

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# First order deformation

- $X \subset V$ : a closed subscheme of V.
- T: a scheme over k

#### Definition

A deformation of *X* in *V* over *T* is a closed subscheme  $X' \subset V \times T$ , flat over *T*, with  $X_0 = X$ .

A deformation of X over the ring of dual number  $D := k[t]/(t^2)$  is called a first order deformation of X in V. By the univ. prop. of the Hilb. sch., there exists a one-to-one correspondence between

- *D*-valued pts Spec  $D \rightarrow$  Hilb *V* sending  $0 \mapsto [X]$ .
- Ifirst order deformations of X in V

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# Applying the infinitesimal lifting prop. of smoothness to the surjection

$$k[t]/(t^3) \rightarrow k[t]/(t^2) \rightarrow 0,$$

we have

#### Proposition

If **Hilb** *V* is nonsingular at [*X*], then every first order deformation of *X* in *V* lifts to a (second) order deformation of *X* in *V* over  $k[t]/(t^3)$ .

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 $W \subset$  Hilb *V*: an irreducible closed subset of Hilb *V*. [*X*]  $\in$  *W*: a closed point of *W*  $X_{\eta} \in$  *W*: the generic point of *W* 

#### Definition

- We say *X* is unobstructed (resp. obstructed) (in *V*) if Hilb *V* is nonsingular (resp. singular) at [*X*].
- We say Hilb V is generically smooth (resp. generically non-reduced) along W if Hilb V is nonsingular (resp. singular) at X<sub>η</sub>.

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# Mumford's example (a pathology)

 $S \subset \mathbb{P}^3$ : a smooth cubic surface ( $\simeq \operatorname{Blow}_{6 \text{ pts}} \mathbb{P}^2$ )  $h = S \cap \mathbb{P}^2$ : a hyperplane section *E*: a line on *S* There exists a smooth connected curve

 $C \in |4h + 2E| \subset S \subset \mathbb{P}^3,$ 

of degree 14 and genus 24.

Then C is parametrized by a locally closed subset

$$W = W^{(56)} \subset H_{14,24} \subset \operatorname{Hilb}^{sc} \mathbb{P}^3$$

of the Hilbert scheme.

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#### The locally closed subset $W^{(56)}$ fits into the diagram

where we have dim  $|O_S(C)| = 39$  and  $h^0(N_{C/\mathbb{P}^3}) = 57$ .

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 $H^0(N_{C/\mathbb{P}^3})$  = the tangent space of Hilb<sup>sc</sup>  $\mathbb{P}^3$  at [C]. We have the following inequalities:

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

Thus we have a dichotomy between (A) and (B):

- W is an irred. comp. of  $(\operatorname{Hilb}^{sc} \mathbb{P}^3)_{red}$ . Hilb<sup>sc</sup>  $\mathbb{P}^3$  is generically non-reduced along  $\overline{W}$ .
- <sup>●</sup> There exists an irred. comp.  $W' \supseteq W$ . Hilb<sup>sc</sup>  $\mathbb{P}^3$  is generically smooth along  $\overline{W}$ .

Which?  $\rightsquigarrow$  The answer is (A). (It suffices to prove **Hilb**<sup>*sc*</sup>  $\mathbb{P}^3$  is singular at the generic point [*C*] of *W*. We will see later in §2)

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# History

Later many non-reduced components of Hilb<sup>sc</sup>  $\mathbb{P}^3$  were found by Kleppe['85], Ellia['87], Gruson-Peskine['82], Fløystad['93] and Nasu['05]. Moreover, to the question "How bad can the deformation space of an object be?", Vakil['06] has answered that

Law (Murphy's law in algebraic geometry)

Unless there is some a priori reason otherwise, the deformation space may be as bad as possible.

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# A naive question

Nowadays non-reduced components of Hilbert schemes are not seldom. However,

#### Question

What is/are the most important reason(s) (if any) for their existence?

Our answer is the following: (at least in Mumford's example,) a (-1)-curve *E* (i.e.  $E \simeq \mathbb{P}^1$ ,  $E^2 = -1$ ) on the (cubic) surface is the most important.

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# A generalization of Mumford's ex.

#### Theorem (Mukai-Nasu'09)

V: a smooth projective 3-fold. Suppose that

- there exists a curve  $E \simeq \mathbb{P}^1 \subset V$ 
  - s.t.  $N_{E/V}$  is generated by global sections,
- there exists a smooth surface S s.t.  $E \subset S \subset V$ ,

$$(E^2)_S = -1$$
 and  $H^1(N_{S/V}) = p_g(S) = 0$ .

Then the Hilbert scheme  $Hilb^{sc} V$  has infinitely many generically non-reduced components.

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

# **Examples**

We have many ex. of generically non-reduced components of  $\operatorname{Hilb}^{sc} V$  for uniruled 3-folds V.

# Ex. Let V be a Fano 3-fold and let -K<sub>V</sub> = H + H', where H, H': ample. <sup>∃</sup>S ∈ |H| (smooth). If S ≄ ℙ<sup>2</sup> nor ℙ<sup>1</sup> × ℙ<sup>1</sup>, then there exists a (-1)-ℙ<sup>1</sup> E on S. Let V → F be a ℙ<sup>1</sup>-bundle over a smooth surface F with p<sub>g</sub>(F) = 0. Let S<sub>1</sub> be a section of π and A a sufficiently ample divisor on F. Then there exists a smooth surface S ∈ |S<sub>1</sub> + π<sup>\*</sup>A|. Take a fiber E of S → F.

# §2 Infinitesimal analysis of the Hilbert scheme

In the analysis of Mumford's ex., we develop some techniques to computing the obstruction to deforming a curve on a uniruled **3**-fold ("obstructedness criterion").

#### Setting:

*V*: a uniruled 3-fold *S*: a surface *E*: (-1)-curve on *S C*: a curve on *S* with  $C, E \subset S \subset V$ 

Obst. Criterion

Non-reduced components of Hilb<sup>sc</sup> V

# **Obstructions and Cup products**

 $\tilde{C} \subset V \times \operatorname{Spec} k[t]/(t^2)$ :

a first order (infinitesimal) deformation of *C* in *V* (i.e., a tangent vector of **Hilb** *V* at [*C*])

$$\tilde{C} \in \{ \text{1st ord. def. of } C \}$$

$$\uparrow \quad \uparrow^{\exists}_{1-\text{to-1}}$$

$$\alpha \in \operatorname{Hom}(I_C, O_C) \quad (\simeq H^0(N_{C/V}))$$

Define the cup product  $ob(\alpha)$  by

$$ob(\alpha) := \alpha \cup e \cup \alpha \in Ext^1(\mathcal{I}_C, \mathcal{O}_C),$$

where  $\mathbf{e} \in \operatorname{Ext}^{1}(O_{C}, \mathcal{I}_{C})$  is the ext. class of an exact sequence  $\mathbf{0} \to \mathcal{I}_{C} \to O_{V} \to O_{C} \to \mathbf{0}$ .

#### Fact

A first order deformation  $\tilde{C}$  lifts to a deformation over Spec  $k[t]/(t^3)$  if and only if  $ob(\alpha) = 0$ .

#### Remark

- If  $ob(\alpha) \neq 0$ , then Hilb V is singular at [C].
- If C is a loc. complete intersection in V, then ob(α) is contained in the small group H<sup>1</sup>(C, N<sub>C/V</sub>) (⊂ Ext<sup>1</sup>(I<sub>C</sub>, O<sub>C</sub>)).

# **Exterior components**

Let  $C \subset S \subset V$  be a flag of a curve, a surface and a 3-fold (all smooth), and let  $\pi_{C/S} : N_{C/V} \to N_{S/V}|_C$  be the natural projection.

#### Definition

Define the *exterior component* of  $\alpha$  and  $ob(\alpha)$  by

$$\begin{aligned} \pi_S(\alpha) &:= H^0(\pi_{C/S})(\alpha) \\ \mathrm{ob}_S(\alpha) &:= H^1(\pi_{C/S})(\mathrm{ob}(\alpha)), \end{aligned}$$

respectively.

# Infinitesimal deformation with pole

Let  $E \subset S \subset V$  be a flag of a curve, a surface and a 3-fold.

#### Definition

A rational section v of  $N_{S/V}$  admitting a pole along E, i.e.

$$v \in H^0(N_{S/V}(E)) \setminus H^0(N_{S/V}),$$

is called an infinitesimal deformation with a pole.

#### Remark (an interpretation)

Every inf. def. with a pole induces a 1st ord. def. of the open surface  $S^{\circ} = S \setminus E$  in  $V^{\circ} = V \setminus E$  by the map

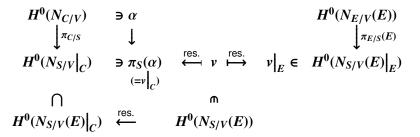
$$H^0(N_{S/V}(E)) \hookrightarrow H^0(N_{S^\circ/V^\circ})$$

# **Obstructedness Criterion**

Now we are ready to give a sufficient condition for a first order infinitesimal deformation of  $\tilde{C} (\subset V \times \operatorname{Spec} k[t]/(t^2))$  of C in V to be obstructed. i.e,  $\tilde{C}$  does not lift to any second order deformation  $\tilde{\tilde{C}} (\subset V \times \operatorname{Spec} k[t]/(t^3))$ .

# Condition (

We consider  $\alpha \in H^0(N_{C/V})$  satisfying the following condition (): the ext. comp.  $\pi_S(\alpha)$  of  $\alpha$  lifts to an inf. def. with a pole along *E*, say *v*, and its restriction  $v|_E$  to *E* does not belong to the image of the map  $\pi_{E/S}(E) := \pi_{E/S} \otimes O_S(E)$ .



#### Theorem (Mukai-Nasu'09)

Let  $C, E \subset S \subset V$  be as above. Suppose that  $E^2 < 0$  on S, and let  $\alpha \in H^0(N_{C/V})$  satisfy ( ). If moreover,

**)** Let 
$$\Delta := C + K_V |_S - 2E$$
 on S. Then

$$(\Delta \cdot E)_S = 2(-E^2 + g(E) - 1)$$
 (2.1)

② the res. map  $H^0(S, \Delta) \to H^0(E, \Delta|_E)$  is surjective, then we have  $\mathbf{ob}_S(\alpha) \neq \mathbf{0}$ .

#### Remark

If E is a (-1)- $\mathbb{P}^1$  on S, then the RHS of (2.1) is equal to 0.

# How to apply Obstructedness Criterion

(Mumford's ex.  $V = \mathbb{P}^3$ ) Every general member  $C \subset \mathbb{P}^3$  of Mumford's ex.  $W^{(56)} \subset \text{Hilb}^{sc} \mathbb{P}^3$  is contained in a smooth cubic surface Sand  $C \sim 4h + 2E$  on S (E: a line, h: a hyp. sect.). Let  $t_W$  denote the tangent space of W at [C] (dim  $t_W = \text{dim } W = 56$ ). Then there exists a first order deformation

Then there exists a first order deformation

$$\tilde{C} \longleftrightarrow \alpha \in H^0(C, N_{C/\mathbb{P}^3}) \setminus t_W.$$

of C in  $\mathbb{P}^3$ .

Claim	
$ob(\alpha) \neq 0.$	

#### Proof.

Since  $H^1(N_{S/\mathbb{P}^3}(E-C)) = 0$ , the ext. comp.  $\pi_{C/S}(\alpha) \in H^0(N_{S/\mathbb{P}^3}|_C)$  of  $\alpha$  has a lifts to a rational section  $v \in H^0(N_{S/\mathbb{P}^3}(E))$  on S (an inf. def. with a pole). By the key lemma below, the restriction  $v|_E$  to E is not contained im  $\pi_{E/S}(E)$ . Since  $C \sim 4h + 2E = -K_{\mathbb{P}^3}|_S + 2E$ , the divisor  $\Delta$ is zero. Thus the condition (1) and (2) are both satisfied.  $\Box$ 

#### Lemma (Key Lemma)

Since *C* is general, the finite scheme  $Z := C \cap E$  of length 2 is not cut out by any conic in  $|h - E| \simeq \mathbb{P}^1$  on *S*.

# §3 Obstruction to deforming curves on a quartic surface

## Expectation

Let

# $C \subset S \subset V$

be a flag of a curve, a surface, a 3-fold.

We study the deformation of *C* in *V* with a help of the intermediate surface *S* and rational curves  $E \simeq \mathbb{P}^1$  on *S*.

#### Expectation

- Negative curves E (E<sup>2</sup> < 0) on S control the deformations of C in V.</li>
- The obstructedness of *C* follows from the geometry of *S* and *E*, *C*.

#### We study the deformation of space curves

 $C \subset \mathbb{P}^3$ 

under the assumption

Assumption

*C* is contained in a smooth quartic surface  $S \subset \mathbb{P}^3$ .

Here S is a K3 surface.

 $\rho := \rho(S)$ : the Picard number of *S*.

 $\mathbf{h} = O_S(1) \in \operatorname{Pic} S$ : the cls. of hyp. section of S.

§3.1 Quartic surfaces containing a rational curve

# Another assumption

If *S* is general, then  $\rho = 1$ . Then  $C \sim n\mathbf{h}$  for some  $n \in \mathbb{N}$ , i.e., *C* is a comp. int. on *S*, and hence unobstructed (ACM).

Assume that

Assumption

There exists a rational curve  $E \simeq \mathbb{P}^1$  on *S*.

For an irred. curve  $E \subset S$ , we have

$$E \simeq \mathbb{P}^1 \iff E^2 = -2.$$
 ((-2)-curve)

# Mori's result

#### Theorem (Mori'84)

If there exists a smooth curve  $E_0 \not\sim n\mathbf{h}$ , on a smooth quartic surface  $S_0$ , then there exists a smooth curve E on a (general) smooth quartic surface S of the same degree and genus as  $E_0$  satisfying

 $\operatorname{Pic}(S) = \mathbb{Z}h \oplus \mathbb{Z}E.$ 

By Mori's result, we may assume that  $\rho(S) = 2$  and

 $\operatorname{Pic}(S) = \mathbb{Z}\mathbf{h} \oplus \mathbb{Z}E$ 

for studying the deformation of  $C \subset S$  in  $\mathbb{P}^3$ .

Let  $e (= \mathbf{h} \cdot E)$  be the degree of E. Then the intersection matrix on S is given by

$$\begin{pmatrix} \mathbf{h}^2 & \mathbf{h} \cdot E \\ \mathbf{h} \cdot E & E^2 \end{pmatrix} = \begin{pmatrix} 4 & e \\ e & -2 \end{pmatrix}.$$

# Mori cone of smooth K3 surface ( $\rho = 2$ )

$$X: a \text{ smooth K3 surface.}$$

$$NE(X) := \left\{ \sum a_i[C_i] \mid C_i: \text{ irred. curve on } X, a_i \ge 0 \right\}$$

$$\overline{NE(X)} = \overline{Eff(X)} \subset \operatorname{Pic}(X) \otimes_{\mathbb{Z}} \mathbb{R} \quad (\text{Mori cone of } X)$$

$$\rho = 2 \Longrightarrow \overline{NE(X)} = \mathbb{R}_{\ge 0} x_1 + \mathbb{R}_{\ge 0} x_2.$$

#### Fact (A special case of Kovacs'94)

- If  $\rho = 2$ , then **NE**(*X*) is spanned by either:
  - (−2)-curve and elliptic curve,
  - ② two (−2)-curves,
  - two elliptic curves, or

• two non-effective divisors  $x_1, x_2$  with  $x_i^2 = 0$ .

#### Ex.

- *E* is a line on *S*, F := h E.  $F^2 = 0$  (elliptic). Then the ext. rays are spanned by *E* and *F*.
- 2  $E_1$  is a conic on S,  $E_2 := h E_1$ .  $E_2^2 = -2$  (conic). Then the ext. rays are spanned by  $E_1, E_2$ .
- ◎  $F_1$  is a complete intersection (2)  $\cap$  (2)  $\subset \mathbb{P}^3$ .  $F_2 := 2\mathbf{h} - F_1$ .  $F_1^2 = F_2^2 = 0$  (two elliptics). Then the ext. rays are spanned by  $F_1, F_2$ .

# Mori cone of smooth quartic surface ( $\rho = 2$ )

#### Lemma

Assume  ${}^{\exists}E \simeq \mathbb{P}^1$  on a smooth quartic surface *S* and **Pic**  $S = \mathbb{Z}\mathbf{h} \oplus \mathbb{Z}E$ . Let *e* be the degree of *E*.

- If e = 1, then NE(S) is spanned by E and elliptic curve F = h E.
- ② if e ≥ 2, then NE(S) is spanned by *E* and *E'*, where  $E' ≃ \mathbb{P}^1$ .

#### Proof.

Solve the Pell's equation  $2x^2 + exy - y^2 = -1$  ( $\iff$   $(xh + yE)^2 = -2$ )

# the classes of the other (-2)-curves

The classes of the other (-2)-curve E' is explicitly obtained as follows:

e = d(E)	the class of $(-2)$ -curve $E'$
2	h - E
3	16h - 9E
4	2h-E
5	8h-3E
6	3h-E
7	40h - 11E
8	4h-E
9	106000h - 23001E
:	•

#### Theorem

Let  $S \subset \mathbb{P}^3$  be a smooth quartic surface containing a line *E*. Suppose that  $\operatorname{Pic} S = \mathbb{Z} h \oplus \mathbb{Z} E$ . Let  $C \subset S$  be a curve, let F := h - E, and suppose that  $D := C - 4h \ge 0$ .

#### Then

- If  $D \cdot E \ge -1$  and  $D \ne nF$  for any  $n \ge 2$ , or D = E, then *C* is unobstructed.
- ② If  $D \cdot E = -2$  and  $D \neq E$ , then C is obstructed.

#### Theorem

Let  $S \subset \mathbb{P}^3$  be a smooth quartic surface containing a rational curve  $E \simeq \mathbb{P}^1$  of degree  $e \ge 2$ . Suppose that

Pic  $S = \mathbb{Z}h \oplus \mathbb{Z}E$ .

Let *E'* be another (-2)-curve on *S*, and let  $C \subset S$  be a curve, and suppose that  $D := C - 4h \ge 0$ .

• If *D* is nef, D = E or D = E', then *C* is unobstructed.

② If  $D \cdot E = -2$  and  $D \neq E$ , then C is obstructed.

# Thank you for your attention!

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