

Bounds for the First Hilbert Coefficients of \mathfrak{m} -primary Ideals

Asuki KOURA and Naoki TANIGUCHI

Otsuma Nakano Junior and Senior High School and Meiji University

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Abstract. This paper purposes to characterize Noetherian local rings (A, \mathfrak{m}) of positive dimension such that the first Hilbert coefficients of \mathfrak{m} -primary ideals in A range among only finitely many values. Examples are explored to illustrate our theorems.

1. Introduction

Let A be a commutative Noetherian local ring with maximal ideal \mathfrak{m} and $d = \dim A > 0$. For each \mathfrak{m} -primary ideal I in A we set

$$H_I(n) = \ell_A(A/I^{n+1}) \quad \text{for } n \geq 0$$

and call it the Hilbert function of A with respect to I , where $\ell_A(A/I^{n+1})$ denotes the length of the A -module A/I^{n+1} . Then there exist integers $\{e_i(I)\}_{0 \leq i \leq d}$ such that

$$H_I(n) = e_0(I) \binom{n+d}{d} - e_1(I) \binom{n+d-1}{d-1} + \cdots + (-1)^d e_d(I) \quad \text{for all } n \gg 0.$$

The integers $e_i(I)$'s are called the Hilbert coefficients of A with respect to I . These integers describe the complexity of given local rings, and there are a huge number of preceding papers about them, e.g., [1, 2, 3, 4, 5]. In particular, the integer $e_0(I) > 0$ is called the multiplicity of A with respect to I and has been explored very intensively. One of the most spectacular results on the multiplicity theory says that A is a regular local ring if and only if $e_0(\mathfrak{m}) = 1$, provided A is unmixed. This was proven by P. Samuel [9] in the case where A contains a field of characteristic 0 and then by M. Nagata [7] in the above form. Recall that a local ring A is *unmixed*, if $\dim \widehat{A} = \dim \widehat{A}/\mathfrak{p}$ for every associated prime ideal \mathfrak{p} of the \mathfrak{m} -adic completion \widehat{A} of A . The Cohen-Macaulayness in A is characterized in terms of $e_0(Q)$ of parameter ideals Q of A . On the other hand, L. Ghezzi and other authors [1] analyzed the boundness of the values $e_1(Q)$ for parameter ideals Q of A and deduced that the local cohomology

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modules $\{H_m^i(A)\}_{i \neq d}$ are finitely generated, once A is unmixed and the set $\Delta(A) = \{e_1(Q) \mid Q \text{ is a parameter ideal of } A\}$ is finite.

In the present paper we focus on the first Hilbert coefficients $e_1(I)$ for \mathfrak{m} -primary ideals I of A . Our study dates back to the paper of M. Narita [8], who showed that if A is a Cohen-Macaulay local ring, then $e_1(I) \geq 0$, and also $e_2(I) \geq 0$ when $d = \dim A \geq 2$. We consider the set

$$\Delta(A) = \{e_1(I) \mid I \text{ is an } \mathfrak{m}\text{-primary ideal in } A\}$$

and are interested in the problem of when $\Delta(A)$ is finite. Under the light of Narita's theorem, if A is a Cohen-Macaulay local ring of positive dimension, our problem is equivalent to the question of when the values $e_1(I)$ has a finite upper bound, and Theorem 1.1 below settles the question, showing that such Cohen-Macaulay local rings are exactly of dimension one and analytically unramified, where $H_m^0(A)$ denotes the 0-th local cohomology module of A with respect to \mathfrak{m} .

THEOREM 1.1. *Let (A, \mathfrak{m}) be a Noetherian local ring with $d = \dim A > 0$. Then the following conditions are equivalent.*

- (1) $\Delta(A)$ is a finite set.
- (2) $d = 1$ and $A/H_m^0(A)$ is analytically unramified.

We prove Theorem 1.1 in Section 3. Section 2 is devoted to preliminaries for the proof. Let \bar{A} denote the integral closure of A in the total ring of fractions of A . The key is the following, which we shall prove in Section 2.

THEOREM 1.2. *Let (A, \mathfrak{m}) be a Cohen-Macaulay local ring with $\dim A = 1$. Then*

$$\sup \Delta(A) = \ell_A(\bar{A}/A).$$

Hence $\Delta(A)$ is a finite set if and only if A is analytically unramified.

For the proof we need particular calculation of $e_1(I)$ in one-dimensional Cohen-Macaulay local rings, which we explain also in Section 2.

When $A = k[[t^{a_1}, t^{a_2}, \dots, t^{a_\ell}]]$ is the semigroup ring of a numerical semigroup $H = \{\sum_{i=1}^\ell c_i a_i \mid c_i \in \mathbf{N}\}$ over a field k (here t is the indeterminate over k and $0 < a_1 < a_2 < \dots < a_\ell$ are integers such that $\gcd(a_1, a_2, \dots, a_\ell) = 1$), the set $\Delta(A)$ is finite and $\Delta(A) = \{0, 1, \dots, \sharp(\mathbf{N} \setminus H)\}$, where \mathbf{N} denotes the set of non-negative integers (Example 4.1). However, despite this result and the fact $\sup \Delta(A) = \ell_A(\bar{A}/A)$ in Theorem 1.2, the equality

$$\Delta(A) = \{n \in \mathbf{Z} \mid 0 \leq n \leq \ell_A(\bar{A}/A)\}$$

does not necessarily hold true in general. In Section 4 we will explore several concrete examples, including an example for which the equality is not true (Example 4.7).

Unless otherwise specified, throughout this paper let A be a Noetherian local ring with maximal ideal \mathfrak{m} and $d = \dim A > 0$. Let $Q(A)$ denote the total ring of fractions of A . For

each finitely generated A -module M , let $\ell_A(M)$ and $\mu_A(M)$ denote respectively the length of and the number of elements in a minimal system of generators of M .

2. Proof of Theorem 1.2

In this section let (A, \mathfrak{m}) be a Cohen-Macaulay local ring with $\dim A = 1$. Let I be an \mathfrak{m} -primary ideal of A and assume that I contains a parameter ideal $Q = (a)$ as a reduction. Hence there exists an integer $r \geq 0$ such that $I^{r+1} = QI^r$. This assumption is automatically satisfied, when the residue class field A/\mathfrak{m} of A is infinite. We set

$$\frac{I^n}{a^n} = \left\{ \frac{x}{a^n} \mid x \in I^n \right\} \subseteq Q(A) \quad \text{for } n \geq 0$$

and let

$$B = A \left[\frac{I}{a} \right] \subseteq Q(A),$$

where $Q(A)$ denotes the total ring of fractions of A . Then

$$B = \bigcup_{n \geq 0} \frac{I^n}{a^n} = \frac{I^r}{a^r} \cong I^r$$

as an A -module, because $\frac{I^n}{a^n} = \frac{I^r}{a^r}$ if $n \geq r$ as $\frac{I^n}{a^n} \subseteq \frac{I^{n+1}}{a^{n+1}}$ for all $n \geq 0$. Therefore B is a finitely generated A -module, whence $A \subseteq B \subseteq \bar{A}$, where \bar{A} denotes the integral closure of A in $Q(A)$. We furthermore have the following.

LEMMA 2.1 ([3, Lemma 2.1]).

- (1) $e_0(I) = \ell_A(A/Q)$.
- (2) $e_1(I) = \ell_A(I^r/Q^r) = \ell_A(B/A) \leq \ell_A(\bar{A}/A)$.

Conversely, let $A \subseteq B \subseteq \bar{A}$ be an arbitrary intermediate ring and assume that B is a finitely generated A -algebra. We choose a non-zero-divisor $a \in \mathfrak{m}$ of A so that $aB \subsetneq A$ and set $I = aB$. Then I is an \mathfrak{m} -primary ideal of A and $I^2 = a^2B = aI$. Hence $B = A \left[\frac{I}{a} \right] = \frac{I}{a}$, so that we get the following.

COROLLARY 2.2. $\ell_A(B/A) = e_1(I) \in \Delta(A)$.

Let us note the following.

LEMMA 2.3. *Let (A, \mathfrak{m}) be a Cohen-Macaulay local ring with $\dim A = 1$. Then*

$$\sup \Delta(A) \geq \ell_A(\bar{A}/A).$$

PROOF. We set $s = \sup \Delta(A)$. Assume $s < \ell_A(\bar{A}/A)$ and choose elements y_1, y_2, \dots, y_ℓ of \bar{A} so that $\ell_A([\sum_{i=1}^{\ell} Ay_i]/A) > s$. We consider the ring $B =$

$A[y_1, y_2, \dots, y_\ell]$. Then $A \subseteq B \subseteq \bar{A}$ and

$$s < \ell_A \left(\left[\sum_{i=1}^{\ell} Ay_i \right] / A \right) \leq \ell_A(B/A),$$

which is impossible, as $\ell_A(B/A) \in \Delta(A)$ by Corollary 2.2. Hence $s \geq \ell_A(\bar{A}/A)$. \square

The assumption in the following Corollary 2.4 that the field A/\mathfrak{m} is infinite is necessary to assure a given \mathfrak{m} -primary ideal I of A the existence of a reduction generated by a single element. We notice that even if the field A/\mathfrak{m} is finite, the existence is guaranteed when \bar{A} is a discrete valuation ring (see Section 4).

COROLLARY 2.4. *Let (A, \mathfrak{m}) be a Cohen-Macaulay local ring with $\dim A = 1$. Suppose that the field A/\mathfrak{m} is infinite. We then have*

$$\Delta(A) = \{ \ell_A(B/A) \mid A \subseteq B \subseteq \bar{A} \text{ is an intermediate ring} \\ \text{which is a module-finite extension of } A \}$$

PROOF. Let $\Gamma(A)$ denote the set of the right hand side. Let I be an \mathfrak{m} -primary ideal of A and choose a reduction $Q = (a)$ of I . We put $B = A[\frac{I}{a}]$. Then B is a module-finite extension of A and Lemma 2.1 (2) shows $e_1(I) = \ell_A(B/A)$. Hence $\Delta(A) \subseteq \Gamma(A)$. The reverse inclusion follows from Corollary 2.2. \square

We finish the proof of Theorem 1.2.

PROOF OF THEOREM 1.2. By Lemma 2.3 it suffices to show $\sup \Delta(A) \leq \ell_A(\bar{A}/A)$. Enlarging the residue class field A/\mathfrak{m} of A , we may assume that the field A/\mathfrak{m} is infinite. Let I be an \mathfrak{m} -primary ideal of A and choose $a \in I$ so that aA is a reduction of I . Then

$$e_1(I) \leq \ell_A(\bar{A}/A)$$

by Lemma 2.1 (2). Hence the result. \square

3. Proof of Theorem 1.1

Let us prove Theorem 1.1. Let (A, \mathfrak{m}) be a Noetherian local ring with $d = \dim A > 0$. We begin with the following.

LEMMA 3.1. *Suppose that $\Delta(A)$ is a finite set. Then $d = 1$.*

PROOF. Let I be an \mathfrak{m} -primary ideal of A . Then for all $k \geq 1$

$$e_0(I^k) = k^d \cdot e_0(I) \quad \text{and} \quad e_1(I^k) = \frac{d-1}{2} \cdot e_0(I) \cdot k^d + \frac{2e_1(I) - e_0(I) \cdot (d-1)}{2} \cdot k^{d-1}.$$

In fact, we have

$$(1) \quad \ell_A(A/(I^k)^{n+1}) = e_0(I^k) \binom{n+d}{d} - e_1(I^k) \binom{n+d-1}{d-1} + \dots + (-1)^d e_d(I^k)$$

for $n \gg 0$, while

$$(2) \quad \ell_A(A/I^k)^{n+1} = \ell_A(A/I^{(kn+k-1)+1}) \\ = e_0(I) \binom{(kn+k-1)+d}{d} - e_1(I) \binom{(kn+k-1)+d-1}{d-1} \\ + \dots + (-1)^d e_d(I),$$

$$\binom{kn+k+d-1}{d} = k^d \binom{n+d}{d} + a \binom{n+d-1}{d-1} + (\text{lower terms})$$

and

$$\binom{kn+k+d-2}{d-1} = k^{d-1} \binom{n+d-1}{d-1} + (\text{lower terms}),$$

where

$$a = k^{d-1} \left(k + \frac{d-1}{2} \right) - \frac{k^d}{2} (d+1).$$

Comparing the coefficients of n^d in equations (1) and (2), we see

$$e_0(I^k) = k^d \cdot e_0(I).$$

We similarly have

$$e_1(I^k) = -e_0(I)a + e_1(I)k^{d-1} \\ = -e_0(I) \left(k^d + \frac{d-1}{2} k^{d-1} - \frac{d+1}{2} k^d \right) + e_1(I)k^{d-1} \quad \text{and} \\ = \frac{d-1}{2} \cdot e_0(I) \cdot k^d + \frac{2e_1(I) - e_0(I) \cdot (d-1)}{2} \cdot k^{d-1},$$

considering n^{d-1} . Hence $d = 1$, if the set $\{e_1(I^k) \mid k \geq 1\}$ is finite. □

Lemma 3.1 and the following estimations finish the proof of Theorem 1.1. Remember that \overline{A} is a finitely generated A -module if and only if the \mathfrak{m} -adic completion \widehat{A} of A is a reduced ring, provided A is a Cohen-Macaulay local ring with $\dim A = 1$.

THEOREM 3.2. *Let (A, \mathfrak{m}) be a Noetherian local ring with $\dim A = 1$ and set $B = A/H_{\mathfrak{m}}^0(A)$. Then*

$$\sup \Delta(A) = \ell_B(\overline{B}/B) - \ell_A(H_{\mathfrak{m}}^0(A)) \quad \text{and} \\ \inf \Delta(A) = -\ell_A(H_{\mathfrak{m}}^0(A)).$$

PROOF. We set $W = H_{\mathfrak{m}}^0(A)$. Then $B = A/W$ is a Cohen-Macaulay local ring with

$\dim B = 1$. Let I be an \mathfrak{m} -primary ideal of A . We consider the exact sequence

$$0 \rightarrow W/[I^{n+1} \cap W] \rightarrow A/I^{n+1} \rightarrow B/I^{n+1}B \rightarrow 0$$

of A -modules. Then since $I^{n+1} \cap W = (0)$ for all $n \gg 0$,

$$\begin{aligned} \ell_A(A/I^{n+1}) &= \ell_A(B/I^{n+1}B) + \ell_A(W) \\ &= e_0(IB) \binom{n+1}{1} - e_1(IB) + \ell_A(W). \end{aligned}$$

Hence

$$e_0(I) = e_0(IB) \text{ and } e_1(I) = e_1(IB) - \ell_A(W) \geq -\ell_A(W),$$

because $e_1(IB) \geq 0$ by Lemma 2.1 (2). If I is a parameter ideal of A , then IB is a parameter ideal of B and

$$e_1(I) = e_1(IB) - \ell_A(W) = -\ell_A(W).$$

Thus from Theorem 1.2 the estimations

$$\begin{aligned} \sup \Delta(A) &= \sup \Delta(B) - \ell_A(W) \\ &= \ell_B(\overline{B}/B) - \ell_A(W) \quad \text{and} \\ \inf \Delta(A) &= -\ell_A(W) \end{aligned}$$

follow, since every $\mathfrak{m}B$ -primary ideal J of B has the form $J = IB$ for some \mathfrak{m} -primary ideal I of A . \square

4. Examples

We explore concrete examples. Let $0 < a_1 < a_2 < \dots < a_\ell$ ($\ell \geq 1$) be integers such that $\gcd(a_1, a_2, \dots, a_\ell) = 1$. Let $V = k[[t]]$ be the formal power series ring over a field k . We set $A = k[[t^{a_1}, t^{a_2}, \dots, t^{a_\ell}]]$ and $H = \langle \sum_{i=1}^{\ell} c_i a_i \mid c_i \in \mathbf{N} \rangle$. Hence A is the semigroup ring of the numerical semigroup H . We have $V = \overline{A}$ and $\ell_A(V/A) = \sharp(\mathbf{N} \setminus H)$. Let $c = c(H)$ be the conductor of H .

EXAMPLE 4.1. Let $q = \sharp(\mathbf{N} \setminus H)$. Then $\Delta(A) = \{0, 1, \dots, q\}$.

PROOF. We may assume $q \geq 1$, whence $c \geq 2$. We write $\mathbf{N} \setminus H = \{c_1, c_2, \dots, c_q\}$ with $1 = c_1 < c_2 < \dots < c_q = c - 1$ and set $B_i = A[t^{c_i}, t^{c_i+1}, \dots, t^{c_q}]$ for each $1 \leq i \leq q$. Then the descending chain $V = B_1 \supseteq B_2 \supseteq \dots \supseteq B_q \supseteq B_{q+1} := A$ of A -algebras gives rise to a composition series of the A -module V/A , since $\ell_A(V/A) = q$. Therefore $\ell_A(B_i/A) = q + 1 - i$ for all $1 \leq i \leq q + 1$ and hence, setting $a = t^c$ and $I_i = aB_i$ ($\subsetneq A$), by Corollary 2.2 we have $e_1(I_i) = q + 1 - i$. Thus $\Delta(A) = \{0, 1, \dots, q\}$ as asserted. \square

Because $q = c(H)/2$ if H is symmetric (that is $A = k[[t^{a_1}, t^{a_2}, \dots, t^{a_\ell}]]$ is a Gorenstein ring), we readily have the following.

COROLLARY 4.2. *Suppose that H is symmetric. Then $\Delta(A) = \{0, 1, \dots, c(H)/2\}$.*

COROLLARY 4.3. *Let $A = k[[t^a, t^{a+1}, \dots, t^{2a-1}]]$ ($a \geq 2$). Then $\Delta(A) = \{0, 1, \dots, a - 1\}$. For the ideal $I = (t^a, t^{a+1}, \dots, t^{2a-2})$ of A , one has*

$$e_1(I) = \begin{cases} r(A) - 1 & (a = 2), \\ r(A) & (a \geq 3) \end{cases}$$

where $r(A) = \ell_A(\text{Ext}_A^1(A/\mathfrak{m}, A))$ denotes the Cohen-Macaulay type of A .

PROOF. See Example 4.1 for the first assertion. Let us check the second one. If $a = 2$, then A is a Gorenstein ring and I is a parameter ideal of A , so that $e_1(I) = r(A) - 1 (= 0)$. Let $a \geq 3$ and put $Q = (t^a)$. Then Q is a reduction of I , since $IV = QV$. Because $A[\frac{I}{t^a}] = k[[t]]$ and $\mathfrak{m} = t^a V$, we get $A :_{Q(A)} \mathfrak{m} = k[[t]]$. Thus $e_1(I) = \ell_A(k[[t]]/A) = \ell_A((A :_{Q(A)} \mathfrak{m})/A) = r(A)$ ([6, Bemerkung 1.21]). \square

REMARK 4.4. In Example 4.3 I is a canonical ideal of A ([6]). Therefore the equality $e_1(I) = r(A)$ shows that if $a \geq 3$, A is not a Gorenstein ring but an almost Gorenstein ring in the sense of [3, Corollary 3.12].

Let us consider local rings which are not analytically irreducible.

EXAMPLE 4.5. Let (R, \mathfrak{n}) be a regular local ring with $n = \dim R \geq 2$. Let X_1, X_2, \dots, X_n be a regular system of parameters of S and set $P_i = (X_j \mid 1 \leq j \leq n, j \neq i)$ for each $1 \leq i \leq n$. We consider the ring $A = R/\bigcap_{i=1}^n P_i$. Then A is a one-dimensional Cohen-Macaulay local ring with $\Delta(A) = \{0, 1, \dots, n - 1\}$.

PROOF. Let x_i denote the image of X_i in A . We put $\mathfrak{p}_i = (x_j \mid 1 \leq j \leq n, j \neq i)$ and $B = \prod_{i=1}^n (A/\mathfrak{p}_i)$. Then the homomorphism $\varphi : A \rightarrow B, a \mapsto (\bar{a}, \bar{a}, \dots, \bar{a})$ is injective and $B = \bar{A}$. Since $\mathfrak{m}B = \mathfrak{m}$ and $\mu_A(B) = n, \ell_A(B/A) = n - 1$. Let $\mathbf{e}_j = (0, \dots, 0, \overset{j}{1}, 0, \dots, 0)$ for $1 \leq j \leq n$ and $\mathbf{e} = \sum_{j=1}^n \mathbf{e}_j$. Then $B = A\mathbf{e} + \sum_{j=1}^{n-1} A\mathbf{e}_j$. We set $B_i = A\mathbf{e} + \sum_{j=1}^i A\mathbf{e}_j$ for each $1 \leq i \leq n - 1$. Then since $B_i = A[\mathbf{e}_1, \mathbf{e}_2, \dots, \mathbf{e}_i]$, B_i is a finitely generated A -algebra and $B_i \subsetneq B_{i+1}$. Hence $B = B_{n-1} \supsetneq B_{n-2} \supsetneq \dots \supsetneq B_1 \supsetneq B_0 := A$ gives rise to a composition series of the A -module B/A . Hence $\Delta(A) = \{0, 1, \dots, n - 1\}$, as $\ell_A(B_i/A) = i$ for all $0 \leq i \leq n - 1$. \square

Let A be a one-dimensional Cohen-Macaulay local ring. If A is not a reduced ring, then the set $\Delta(A)$ must be infinite. Let us note one concrete example.

EXAMPLE 4.6. Let V be a discrete valuation ring and let $A = V \times V$ denote the idealization of V over V itself. Then $\Delta(A) = \mathbf{N}$.

PROOF. Let $K = Q(V)$. Then $Q(A) = K \times K$ and $\bar{A} = V \times K$. We set $B_n = V \times (V \cdot \frac{1}{t^n})$ for $n \geq 0$. Then $A \subseteq B_n \subseteq \bar{A}$ and

$$\ell_A(B_n/A) = \ell_V(B_n/A)$$

$$\begin{aligned}
&= \ell_V \left(\left[V \oplus \left(V \cdot \frac{1}{t^n} \right) \right] / [V \oplus V] \right) \\
&= \ell_V \left(V \cdot \frac{1}{t^n} / V \right) \\
&= \ell_V (V / t^n V) \\
&= n.
\end{aligned}$$

Hence $n \in \Delta(A)$ by Corollary 2.2, so that $\Delta(A) = \mathbf{N}$. \square

EXAMPLE 4.7. Let K/k ($K \neq k$) be a finite extension of fields and assume that there is no proper intermediate field between K and k . Let $n = [K : k]$ and choose a k -basis $\{\omega_i\}_{1 \leq i \leq n}$ of K . Let $K[[t]]$ be the formal power series ring over K and set $A = k[[\omega_1 t, \omega_2 t, \dots, \omega_n t]] \subseteq K[[t]]$. Then $\Delta(A) = \{0, n - 1\}$.

PROOF. Let $V = K[[t]]$. Then $V = \sum_{i=1}^n A\omega_i$ and $V = \overline{A}$. Since $tV \subseteq A$, we have $\mathfrak{n} = tV = \mathfrak{m}$, where \mathfrak{m} and \mathfrak{n} stand for the maximal ideals of A and V , respectively. Therefore $\ell_A(V/A) = n - 1$. Let $A \subseteq B \subseteq V$ be an intermediate ring. Then B is a local ring. Let \mathfrak{m}_B denote the maximal ideal of B . We then have $\mathfrak{m} = \mathfrak{m}_B = \mathfrak{n}$ since $\mathfrak{m} = \mathfrak{n}$ and therefore, considering the extension of residue class fields $k = A/\mathfrak{n} \subseteq B/\mathfrak{n} \subseteq K = V/\mathfrak{n}$, we get $V = B$ or $B = A$. Since $V = \overline{A}$ is a discrete valuation ring, every \mathfrak{m} -primary ideal of A contains a reduction generated by a single element. Hence $\Delta(A) = \{0, n - 1\}$ by Corollary 2.4. \square

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Present Addresses:

ASUKI KOURA
OTSUMA NAKANO JUNIOR AND SENIOR HIGH SCHOOL,
2-3-7 KAMITAKATA, NAKANO-KU,
TOKYO 164-0002, JAPAN.
e-mail: koura@otsumanakano.ac.jp

NAOKI TANIGUCHI
DEPARTMENT OF MATHEMATICS, GRADUATE COURSES, SCHOOL OF SCIENCE AND TECHNOLOGY,
MEIJI UNIVERSITY,
1-1-1 HIGASHI-MITA, TAMA-KU, KAWASAKI 214-8571, JAPAN.
e-mail: taniguti@math.meiji.ac.jp