Boundedness of canonical Q-Fano 3-folds

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Abstract: We give an effective bound of the Gorenstein index of weak **Q**-Fano 3-folds, and prove the boundedness of the terminal **Q**-Fano 3-folds. Combined with [Bor99], this result implies furthermore the boundedness of the canonical **Q**-Fano 3-folds.

Key words: Q-Fano variety; terminal singularity; canonical singularity.

1. Introduction. In this paper, we will work over an algebraically closed field k of characteristic 0.

Definition 1.1. Let X be a normal projective variety and ε a positive number. We recall that X is said to have only terminal (resp. canonical, klt, ε -lt) singularities if all the discrepancies a of X satisfy a>0 (resp. ≥ 0 , >-1, $>-1+\varepsilon$). X is called a terminal (resp. canonical, klt, ε -lt, etc.) \mathbf{Q} -Fano variety if X has only terminal (resp. canonical, klt, ε -lt, etc.) sigularities and $-K_X$ is ample. By replacing 'ample' with 'nef and big', terminal (resp. terminal) terminal (resp. terminal) terminal (resp. terminal) terminal0 (resp. terminal) terminal1 (resp. terminal1) terminal3 terminal3 terminal4 terminal5 terminal6 terminal6 terminal6 terminal8 terminal9 terminal

Let I(X) be the smallest positive integer I such that IK_X is Cartier; I(X) is called the *Gorenstein index* of X.

We note that if X is a klt \mathbf{Q} -Fano variety then $|-mK_X|$ is free for some m>0. The induced birational morphism $X\to \overline{X}$ (resp. the target \overline{X}) is said to be the anti-canonical morphism (resp. anti-canonical model) of X.

Our main result is the following, which was announced in [KMM92c]:

Theorem 1.2. Let X be a terminal weak \mathbf{Q} -Fano 3-fold. Then the following hold.

- (1) $-K_X \cdot c_2(X) \ge 0$, and hence I(X)|24!.
- (2) Assume further that the anti-canonical morphism $g: X \to \overline{X}$ does not contract any divisors. Then $(-K_X)^3 \le 6^3 \cdot (24!)^2$.
- (3) The terminal Q-Fano 3-folds are bounded, i.e. there is a morphism of schemes of finite type

 $f: \mathcal{X} \to S$ such that every geometric fiber of f is a terminal Q-Fano 3-fold and every terminal Q-Fano 3-fold appears as a geometric fiber of f.

The bounds above are far from being sharp and the only meaning of such bounds is the effectiveness. Theorem 1.2 is a generalization of [Kaw92, Thm. 2], where 1.2 (1) and (2) were proved for **Q**-factorial X with $\rho(X) = 1$.

The proof of 1.2 (2) is similar to the ones of [KMM92a, Thm.] and [KMM92c, Thm. 0.2], where the technique of gluing rational curves plays a crucial role. For the proof of 1.2 (1), we need the theorem of [Bat92, 3.2 Thm.] which is a structure theorem of the cone of nef curves (see 2.2 below).

As for klt **Q**-Fano varieties, they do not form a bounded family. However A. Borisov [Bor96, Bor99] proved that the klt **Q**-Fano 3-folds with a fixed index form a bounded family. Combining 1.2 (1) with this result, we obtain the following.

Corollary 1.3. The canonical Q-Fano 3-folds are bounded.

There is a more general conjecture by V. Alexeev and A. Borisov:

Conjecture 1.4. For arbitrary positive ε , ε -lt Q-Fano varieties are bounded.

The conjecture in dimension 2 was proved by V. Alexeev [Ale94], and a simpler proof was given by V. Alexeev and S. Mori [AM95].

2. Preliminaries for 1.2 (1). We will recall definitions and results without proofs to prove (1).

Definition 2.1. Let X be a normal projective variety. Let $NE^1(X)$ be the closed convex cone generated by effective **Q**-Cartier divisors $\subset N^1(X) \otimes \mathbf{R}$, where $N^1(X)$ is the group of numerical equivalence classes of **Q**-Cartier divisors. The dual cone $NM_1(X) \subset N_1(X) \otimes \mathbf{R}$ of $NE^1(X)$ is called the *cone*

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of nef curves, where $N_1(X)$ is the group of numerical equivalence classes of 1-cycles.

Theorem-Definition 2.2. Let (X, Δ) be a projective **Q**-factorial dlt pair of dimension at most 3 and H an ample Cartier divisor on X. Let ε be an arbitrary positive number, and let

$$\mathrm{NE}_1^\varepsilon(X) := \{ z \in \mathrm{NE}_1(X) | - (K_X + \Delta) \cdot z \le \varepsilon H \cdot z \}.$$

Then there are a certain number, say $r(\varepsilon)$, of elements

$$[l_i] \in \mathrm{NM}_1(X) \cap \mathrm{N}_1(X)_{\mathbf{Z}} \setminus \mathrm{NE}_1^{\varepsilon}(X)$$

such that

$$\operatorname{NM}_1(X) + \operatorname{NE}_1^{\varepsilon}(X) = \sum_{i=1}^{r(\varepsilon)} \mathbf{R}_+[l_i] + \operatorname{NE}_1^{\varepsilon}(X).$$

When no l_i can be omitted in the equality, such a $\mathbf{R}_+[l_i]$ is called a coextremal ray. The following is the recipe for the coextremal rays.

Assume that we obtain a log Mori fiber space

$$g': X' \to Y'$$

by running $(K_X + \Delta)$ -MMP. Let $\phi : X \dashrightarrow X'$ be the natural birational map and

$$U' := \{x' \in X' | \phi^{-1} \text{ is an isomorphism at } x'\}.$$

Since $\operatorname{codim}(X' \setminus U') \geq 2$, we can take a projective curve $l_i' \subset U'$ contained in a fiber of g. Let l_i be the strict transform of l_i' . Then $\mathbf{R}_+[l_i]$ is a coextremal ray for some ε . Conversely every coextremal ray is obtained by this procedure.

We say that $g': X' \to Y'$ is a log Mori fiber space associated to $\mathbf{R}[l_i]$.

Proof. In [Bat92, 3.2 Thm.], a proof is given for the assertion in case (X,0) is terminal. The proof works in our case.

Corollary 2.3. Under the notation and assumptions of 2.2, assume further that $-(K_X + \Delta)$ is ample. Then $NM_1(X) = \sum_{i=1}^r \mathbf{R}_+[l_i]$.

Theorem 2.4 (Thm. 6.1 of [Miy87]). Let X be a normal projective variety which is smooth in codimension 2. Let $\mathcal E$ be a torsion free sheaf on X such that

- 1. $c_1(X)$ is a nef **Q**-Cartier divisor, and
- 2. \mathcal{E} is generically $(H_1, H_2, \dots, H_{n-1})$ -semi-positive for ample divisors H_i , i.e.

$$c_1(\mathcal{L}) \cdot H_1 \cdot H_2 \cdot \dots \cdot H_{n-1} \geq 0$$

for every quotient torsion-free sheaf $\mathcal{E} \to \mathcal{L}$. Then $c_2(\mathcal{E}) \cdot H_1 \cdot H_2 \cdot \cdots \cdot H_{n-2} \geq 0$. **Definition 2.5.** Let X be a variety and π_2 : $\mathcal{C} \to S$ a flat family of irreducible projective curves in X over an irreducible base S. \mathcal{C} is naturally contained in $X \times S$ so that π_2 is the restriction of the second projection $p_2: X \times S \to S$.

 \mathcal{C} is said to be a covering family if $p_1(\mathcal{C})$ contains an open dense subset of X, where p_1 is the first projection $X \times S \to X$.

We denote by $\{C\}$ a covering family with a general element C. A point $x \in X$ is said to be a fixed point of $\{C\}$ if x belongs to all the members of $\{C\}$.

Definition-Proposition 2.6. Let X be a variety and C a rational curve contained in Reg X. We say that C is a free rational curve if $T_X^1|_C$ is semipositive.

Let $\{C\}$ be a covering family of rational curves on X such that $C \subset \operatorname{Reg} X$. Then a general C is a free rational curve.

We refer to [KMM92b, Cor.(1.3)] for the proof. The following formula is from [Kaw86, Lem. 2.2, 2.3] or [Rei87, (10.3)].

Theorem 2.7. Let X be a projective terminal 3-fold. Then

$$\chi(\mathcal{O}_X) = \frac{1}{24}(-K_X) \cdot c_2(X) + \frac{1}{24} \sum_{i=1}^{n} \left(r_i - \frac{1}{r_i}\right).$$

where r_i are indices of cyclic quotient terminal singularities obtained by deforming singularities of X locally.

3. Proofs of 1.2 (1) and (3).

Proof of "(1), (2) \Rightarrow **(3)".** Let X be a terminal **Q**-Fano 3-fold. By (1), $L := -(24!)K_X$ is an ample Cartier divisor which satisfies $(L^3) \leq 6^3 \cdot (24!)^2$ by (2). So there are a finite number of the possibilities of the two highest coefficients of the polynomial $P(t) := \chi(\mathcal{O}_X(tL))$. Hence by [KM83], there are also a finite number of the possibilities of P(t) and by [Kol85, Thm. 2.1.3], the boundedness follows. \square

We will prove (1) in the rest of this section.

Proof of 1.2 (1). Let X be a terminal weak \mathbf{Q} -Fano 3-fold. Then the \mathbf{Q} -factorialization $\pi: \tilde{X} \to X$ of X is a \mathbf{Q} -factorial terminal weak \mathbf{Q} -Fano 3-fold such that $-K_{\tilde{X}} = \pi^*(-K_X), \ I(\tilde{X}) = I(X),$ the exceptional set of π is at most 1-dimensional. Thus we may assume that X is \mathbf{Q} -factorial by working on \tilde{X} instead of X.

If $-K_X \cdot c_2(X) \ge 0$ holds, then $\sum (r_i - 1/r_i) \le 24$ by 2.7 and $\chi(\mathcal{O}_X) = 1$ and hence 24! is divisible by the $I(X) = \text{l.c.m.}\{r_i\}$. So it suffices to prove that

 $-K_X \cdot c_2(X) \ge 0.$

Claim 3.1. There is a Q-boundary Δ such that

- 1. $-(K_X + \Delta)$ is ample,
- 2. (X, Δ) is terminal, and
- 3. if the anti-canonical morphism $g: X \to \overline{X}$ of X contracts no divisors, then every irreducible component of Δ is movable.

Proof. Let H (resp. \overline{H}) be a very ample divisor on X (resp. \overline{X}) such that $f^*\overline{H} - H$ is linearly equivalent to an effective divisor D which is very ample outside the exceptional set of g. We have only to put $\Delta := D/m$ for a sufficiently large natural number m.

Thus by 2.3, we have
$$NM_1(X) = \sum_{i=1}^r \mathbf{R}_+[l_i]$$
.

Let $\mathcal{E} := T_X^1$. Then $c_1(\mathcal{E})$ is nef. Hence by 2.4, it suffices to prove that \mathcal{E} is generically (H_1, H_2) -semi-positive for ample divisors $H_i(i=1,2)$. Since $H_1 \cdot H_2 \in \mathrm{NM}_1(X)$, we have only to prove $c_1(\mathcal{L}) \cdot l_i \geq 0$ for each i and every surjection $\mathcal{E} \to \mathcal{L}$ to an arbitrary torsion free sheaf \mathcal{L} .

We can assume that l_i is obtained as stated in 2.2, with the same notation and assumptions and we fix i till the end of this section. Furthermore let U be the open set of X corresponding to U' and Δ' the strict transform of Δ on X'.

We extend $T_U^1 \to \mathcal{L}|_U/(\text{tor})$ to $T_{X'}^1 \to \mathcal{L}'$ via $U \simeq U' \to X'$. Since $X \to X'$ is an isomorphism on $U \supset l_i$, we have $c_1(\mathcal{L}) \cdot l_i = c_i(\mathcal{L}') \cdot l_i'$. Thus our assertion is equivalent to $c_1(\mathcal{L}') \cdot l_i' \geq 0$. Since $\rho(X'/Y') = 1$, we may replace $\{l_i'\}$ by a covering family of rational curves $\{l\}$ of X' such that l is contained in a fiber of $X' \to Y'$.

Let $\pi: \tilde{X}' \to X'$ be the resolution of X' and \tilde{l} the strict transform of l. Since X' is **Q**-factorial, $((\wedge^r \mathcal{L})^{\otimes n})^{**}$ is invertible for some n, where r is the rank of \mathcal{L} . Note that we have the natural map

$$\mathcal{S}^n(\wedge^r T^1_{\tilde{X}'}) \to \pi^*(((\wedge^r \mathcal{L})^{\otimes n})^{**})$$

and its restriction to \tilde{l} has a finite cokernel. Hence by 2.6, $c_1(\mathcal{L}) \cdot l = \pi^* c_1(\mathcal{L}) \cdot l' \geq 0$. This completes the proof of 1.2 (1).

4. Preliminaries for 1.2 (2).

Lemma 4.1. Let X be an n-dimensional projective variety and x a closed point with multiplicity r. Let D be a nef and big \mathbf{Q} -Cartier divisor on X and $\{l\}$ a covering family of curves containing x such that $D \cdot l \leq d$. Then $D^n \leq rd^n$.

Proof. Though the proof of [KMM92a, Cor. 1]

was for smooth X, it works in our case with obvious changes.

Theorem 4.2 (Gluing lemma). Let $C_1 \cup C_2$ be the union of $C_i \simeq \mathbf{P}^1$ intersecting at one point, which is an ordinary double point of $C_1 \cup C_2$. Let P be a point on $C_2 \setminus C_1$. Let X be a variety and $\nu : C_1 \cup C_2 \to X$ be a morphism such that $l_i := \nu(C_i)$ are free rational curves contained in $\operatorname{Reg} X$ and $x := \nu(P) \notin l_1$. Then ν deforms to a morphism $\nu' : C \to X$ from $C \simeq \mathbf{P}^1$ such that $x \in \nu'(C)$. Furthermore we can choose ν' so that $\nu'(C)$ is a free rational curve.

Proof. This is a special case of [KMM92b, (1.8) Cor.]. The last assertion is easy since $C \simeq \mathbf{P}^1$.

Remark 4.3. For a projective variety X, we use 4.2 as follows.

(1) Let $\{l_i\}(i=1,2)$ be covering families of free rational curves. We fix a closed point x and choose l_1, l_2 so that $x \in l_1 \setminus l_2$ and $l_1 \cap l_2$ contains a point, say y. Let $C_1 \cup C_2$ be as in 4.2 and $\mu : C_1 \cup C_2 \to l_1 \cup l_2$ the morphism such that $\mu|_C$, are the normalizations. Let ν be the composition of μ and the embedding $l_1 \cup l_2 \hookrightarrow X$. We can apply 4.2 for μ with a point $x \in l_2 \setminus l_1$ fixed. Then we obtain a new covering family of free rational curves $\{m\}$.

We say that $\{m\}$ is obtained by gluing $\{l_1\}$ and $\{l_2\}$ (with x fixed).

(2) Let l_1, \ldots, l_r $(r \geq 3)$ be free rational curves such that l_1, \ldots, l_r form a linear chain and $x \in l_1 \setminus (l_2 \cup \cdots \cup l_r)$. Let $z \in l_{r-2} \cap l_{r-1}$. We can glue l_{r-1} and l_r with z fixed into $m \ni z$ and get a linear chain l_1, \ldots, l_{r-2}, m of r-1 free rational curves.

Construction-Proposition 4.4. Under the notation and assumptions of 2.5, let $C = \{l\}$ be a covering family of rational curves of X such that $l \subset \operatorname{Reg} X$. Shrinking the parameter space S, we will assume all the members of $\{l\}$ are free rational curves.

Let $\pi_1 = p_1|_{\mathcal{C}} : \mathcal{C} \to X$ and $s \in p_1(\mathcal{C})$ a (smooth) closed point of X. Then we construct constructible subsets $V_{\{l\}}^k(x) \subset X$ inductively:

$$\begin{split} V^0_{\{l\}}(x) &:= \{x\}, \\ V^{k+1}_{\{l\}}(x) &:= \pi_1 \pi_2^{-1} \pi_2 \pi_1^{-1} V^k_{\{l\}}(x). \end{split}$$

Let $V_{\{l\}}(x) := \bigcup_k V_{\{l\}}^k(x)$ and, for a subset W, let \overline{W} denote the closure. Then we have

$$\overline{V^k_{\{l\}}}(x) = \overline{V^{k+1}_{\{l\}}}(x) \quad (\forall k \geq \max_{n \geq 0} \dim V^n_{\{l\}}(x)).$$

The proof of [KMM92c, Lem. 1.3] works with no changes.

5. Proof of 1.2 (2)-the case $\rho(X) = 1$. In this section, we prove the special case of 1.2 (2):

Theorem 5.1. Let X be a **Q**-factorial terminal **Q**-Fano 3-fold with $\rho(X) = 1$. Then

$$(-K_X)^3 \le 6^3 \cdot (24!)^2.$$

This was proved in [Kaw92, Thm. 2] with a possibly different bound. Here we give an alternate proof by the method of [KMM92a].

Proof. By [MM86, Thm. 5], there is a covering family of rational curves $\{l\}$ such that $-K_X \cdot l \leq 6$.

If $\{l\}$ has a fixed point x, then by 4.1, we have $(-K_X)^3 \leq 6^3 \text{mult}_x X$. Since the canonical cover of (X,x) is at worst a cDV singularity, we have

$$\operatorname{mult}_x X \leq 2 \cdot (\operatorname{index}_x X)^2$$
.

By virtue of 1.2 (1), we have

$$index_x X \leq 24!$$
.

Hence $(-K_X)^3 \le 6^3 \cdot (24!)^2$ in this case.

If $\{l\}$ has no fixed points, the proof is the same as the one of [KMM92a, Thm.].

Claim 5.2. $\overline{V_{\{l\}}(x)} = X$ for a general closed point $x \in X$.

Proof of 5.2. Let U be an open set containing $p_1(\mathcal{C})$. Similarly to $V^k_{\{l\}}(x)$, we define constructible subsets $V^k_{\{\mathcal{C}\}}(U) \subset X \times U$ as follows:

$$V^0_{\{\mathcal{C}\}}(U) := \{(x, x) \in X \times U\},$$

$$V^{k+1}_{\{\mathcal{C}\}}(U) := \Pi_1 \Pi_2^{-1} \Pi_2 \Pi_1 V^k_{\{\mathcal{C}\}}(U),$$

where $\Pi_i = \pi_i \times \text{id}$. Let $V_{\{\mathcal{C}\}}(U) := \bigcup_k V_{\{\mathcal{C}\}}^k(U)$ and q_i the *i*-th projection of $X \times U$ to its *i*-th factor (i = 1, 2). Then since $V_{\{\mathcal{C}\}}^k(U)$ is constructible, we can choose an open dense subset $U' \subset U$ so that $\overline{V}_{\{\mathcal{C}\}}^k(U)|_{q_2^{-1}(x)} = \overline{V}_{\{l\}}^k(x)$ and hence

$$\overline{V}_{\{\mathcal{C}\}}(U)|_{q_2^{-1}(x)} = \overline{V}_{\{l\}}(x)$$

for all $x \in U'$ by 4.4.

Assume that the claim fails. Then

$$d:=\dim \overline{V}_{\{\mathcal{C}\}}(U)-\dim X<3.$$

Let $W \subset U'$ be a general complete intersection of codimension d+1. Then $D:=\overline{q_1\circ q_2^{-1}(W)}$ is of codimension 1 in X. Note that $\overline{D\setminus \bigcup_{x\in W}V_{\{l\}}(x)}$ is of codimension ≥ 2 in X. So by [Kol96, p.115, 3.7 Proposition], we may assume that l is disjoint from $\overline{D\setminus \bigcup_{x\in W}V_{\{l\}}(x)}$. If l intersects $V_{\{l\}}(x)$ for some x, then $l\subset V_{\{l\}}(x)$ by the definition of $V_{\{l\}}(x)$. Hence

we may assume that $D \cap l = \phi$. But this is a contradiction since the divisorial part of D is ample.

By 5.2 and 4.4, there is a covering family of rational curves $\{l'\}$ with a fixed point x such that $-K_X \cdot l' \leq 3 \times 6$. Hence by 4.1, $(-K_X)^3 \leq 18^3$ in this case.

6. Proof of 1.2 (2). As we did at the beginning of Section 3, we may assume that X is a **Q**-factorial terminal weak **Q**-Fano threefold to prove (2).

Let Δ be as in 3.1 and $g: X' \to Y'$ an arbitrary end result of the $(K_X + \Delta)$ -MMP. By the assumption of (2), every component of Δ is movable by 3.1.3. Hence (X', Δ') is also terminal, where Δ' is the strict transform of Δ .

First we treat the case where $\rho(X')=1$ for some X'. Then X' is a **Q**-factorial terminal **Q**-Fano 3-fold with $\rho(X')=1$. Hence $(-K_{X'})^3 \le 6^3 \cdot (24!)^2$ by 5.1. Since $h^0(-mK)$ does not decrease under $(K_X + \Delta)$ -MMP for any m, we have $h^0(-mK_X) \le h^0(-mK_{X'})$. So by the Riemann-Roch theorem and the Kodaira-Kawamata-Viehweg vanishing theorem, we have $(-K_X)^3 \le (-K_{X'})^3$. Hence $(-K_X)^3 \le 6^3 \cdot (24!)^2$ in this case.

We are left with the case $\rho(X') \geq 2$ for all X'. Thus, for any coextremal ray $\mathbf{R}_+[l]$, the target Y' of the associated log Mori fiber space $g: X' \to Y'$ is not a point. Since X' is terminal, general fibers of g are smooth rational curves or smooth del Pezzo surfaces. Hence we can take as l smooth free rational curves such that $-K_X \cdot l \leq 3$.

Since $\dim \operatorname{NM}_1(X) \otimes \mathbf{R} = \rho(X) \geq 2$, we know that $\operatorname{NM}_1(X)$ has at least 2 coextremal rays. Let $\mathbf{R}_+[l_1]$ and $\mathbf{R}_+[l_2]$ be two of them. Let x be a general point of X and $\overline{V_i} := \overline{V_{\{l_i\}}}(x)$. It suffices to treat three cases:

- (i) dim $\overline{V_i} = 1$ for i = 1, 2,
- (ii) dim $\overline{V_1} = 2$ and dim $\overline{V_2} \leq 2$, and
- (iii) dim $\overline{V_1} = 3$.

In case (i), the dimension of a fiber of g_i is 1 and hence $-K_X \cdot l_i \leq 2$. By gluing $\{l_1\}$ and $\{l_2\}$, we obtain a new covering family $\{l_3\}$ such that $-K_X \cdot l_3 \leq 4$ and $\dim \overline{V_{\{l_3\}}^1}(x) > \dim \overline{V_{\{l_1\}}^1}(x) = 1$. Let $\overline{V_3^1} := \overline{V_{\{l_3\}}^1}(x)$.

We first treat the case dim $\overline{V_3^1}=2$. Since $\overline{V_3^1}\in \operatorname{NE}^1(X)$, there is a coextremal ray $\mathbf{R}_+[m]$ such that $\overline{V_3^1}\cdot m>0$. As seen above, we can take as m smooth free rational curves with $-K_X\cdot m\leq 3$. We can

assume $l_3 \cap m \neq \emptyset$. By gluing $\{l_3\}$ and $\{m\}$ with x fixed, we obtain smooth free rational curves $\underline{l_4} \ni x$ such that $-K_X \cdot l_4 \le 7$ and $\dim \overline{V^1_{\{l_4\}}} > \dim \overline{V^1_3} = 2$. Hence by 4.1, we have $(-K_X)^3 \le 7^3$.

If dim $\overline{V_3^1} = 3$, we have $(-K_X)^3 \le 4^3$ by 4.1.

In case (ii), by gluing $\{l_1\}$ and $\{l_2\}$, we obtain a new covering family $\{l_3\}$ such that $-K_X \cdot l_3 \leq 9$ and $\dim \overline{V^1_{\{l_3\}}}(x) = 3$. Hence by 4.1, we have $(-K_X)^3 \leq 9^3$.

In case (iii), we have $(-K_X)^3 \le (3 \times 3)^3$ by 4.1. Hence we have $(-K_X)^3 \le 6^3 \cdot (24!)^2$, and the proof of (2) is finished.

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