

A NOTE ON RATIONAL NORMAL SCROLLS

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ABSTRACT. We give a general upper bound for the arithmetical rank of the ideals generated by the 2-minors of scroll matrices with entries in an arbitrary commutative unit ring.

Introduction. Given a field K , consider the integer $d \geq 2$ and the positive integers n_1, \dots, n_d . Set $N = d - 1 + \sum_{i=1}^d n_i$. The projective variety S_{n_1, \dots, n_d} of \mathbf{P}_K^N defined by the vanishing of all 2-minors of the matrix of indeterminates

$$A = \left(\begin{array}{cccc|cccc} X_{1,0} & X_{1,1} & \cdots & X_{1,n_1-1} & \cdots & X_{d,0} & X_{d,1} & \cdots & X_{d,n_d-1} \\ X_{1,1} & X_{1,2} & \cdots & X_{1,n_1} & \cdots & X_{d,1} & X_{d,2} & \cdots & X_{d,n_d} \end{array} \right)$$

is called a *rational normal scroll*. It is irreducible, and its dimension is equal to d . In [1], Badescu and Valla show that the *arithmetical rank* of each of these varieties, i.e., the least number of homogeneous equations needed to define this variety set-theoretically, is equal to $N - 2$. In their paper, they explicitly give $N - 2$ defining equations $F_i = 0$, $i = 1, \dots, N - 2$, where F_1, \dots, F_{N-2} are homogeneous polynomials of $K[X_{1,0}, \dots, X_{1,n_1}, \dots, X_{d,0}, \dots, X_{d,n_d}]$, and they show that the set of points of \mathbf{P}_K^N where all F_1, \dots, F_N vanish is S_{n_1, \dots, n_d} . If K is an algebraically closed field, from Hilbert's Nullstellensatz, we know that this statement is equivalent to the equality between the following two ideals of $K[X_{1,0}, \dots, X_{1,n_1}, \dots, X_{d,0}, \dots, X_{d,n_d}]$: one is the ideal generated by all 2-minors of A , (which coincides with the *defining ideal* of S_{n_1, \dots, n_d} , i.e., the ideal generated by all homogeneous polynomials vanishing at all its points), the other is the radical of the ideal generated by F_1, \dots, F_{N-2} .

In the present paper, we give a ring-theoretical generalization of this result. We show that the two ideals still coincide when the algebraically

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closed field K is replaced by any commutative unit ring R . This, which, of course, remains true if the indeterminates are replaced by arbitrary elements of R , means that the arithmetical rank of the first ideal is always at most $N - 2$. In this way, we also obtain an alternative proof of [1, Theorem 4.1].

1. Preliminary results. Let R be a commutative unit ring. Given d positive integers n_1, \dots, n_d , let $D = D_{n_1, \dots, n_d}$ be the ideal of R generated by the 2-minors of the following matrix of indeterminates over R :

$$A = \left(\begin{array}{cccc|cccc} X_{1,0} & X_{1,1} & \cdots & X_{1,n_1-1} & \cdots & X_{d,0} & X_{d,1} & \cdots & X_{d,n_d-1} \\ X_{1,1} & X_{1,2} & \cdots & X_{1,n_1} & \cdots & X_{d,1} & X_{d,2} & \cdots & X_{d,n_d} \end{array} \right).$$

For all indices $i = 1, \dots, d$, every 2-minor of the submatrix

$$\left(\begin{array}{cccc} X_{i,0} & X_{i,1} & \cdots & X_{i,n_i-1} \\ X_{i,1} & X_{i,2} & \cdots & X_{i,n_i} \end{array} \right)$$

will be called an (i) -minor. The set of (i) -minors is empty whenever $n_i = 1$. All these minors will be called *pure*. For all indices i, j such that $1 \leq i < j \leq d$, every non-pure 2-minor of the submatrix

$$\left(\begin{array}{cccc|cccc} X_{i,0} & X_{i,1} & \cdots & X_{i,n_i-1} & X_{j,0} & X_{j,1} & \cdots & X_{j,n_j-1} \\ X_{i,1} & X_{i,2} & \cdots & X_{i,n_i} & X_{j,1} & X_{j,2} & \cdots & X_{j,n_j} \end{array} \right)$$

will be called an (i, j) -minor.

It is well known, see [2], that, for every index i , the radical of the ideal I_i of S generated by the set of all (i) -minors is equal to the radical of an ideal of S generated by $n_i - 1$ elements $F_{i,1}, \dots, F_{i,n_i-1}$ (if $n_i = 1$, we set $I_i = (0)$). For all indices i, j such that $1 \leq i < j \leq d$, let B_{n_i, n_j} be the *bridge* introduced in [1, page 1648]. We recall its definition. Set $m_{i,j} = \text{lcm}(n_i, n_j)$, and let $p_{i,j}$ and $q_{i,j}$ be integers such that $m_{i,j} = p_{i,j}n_i = q_{i,j}n_j$. For all integers α such that $0 \leq \alpha \leq m_{i,j}$, let c, r, e and f be integers such that $\alpha = cp_{i,j} + r = eq_{i,j} + f$, with $0 \leq r < p_{i,j}$, $0 \leq f < q_{i,j}$. Finally, set

$$\begin{aligned} & B_{n_i, n_j}(X_{i,0}, \dots, X_{i,n_i}, X_{j,0}, \dots, X_{j,n_j}) \\ &= \sum_{\alpha=0}^{m_{i,j}} (-1)^\alpha \binom{m_{i,j}}{\alpha} X_{i, n_i - c}^{p_{i,j} - r} X_{i, n_i - c - 1}^r X_{j, e}^{q_{i,j} - f} X_{j, e + 1}^f. \end{aligned}$$

When using this notation, which is taken from [1], we will always assume that $i < j$. For any monomial $\pi = X_{i,k_1}^{\ell_1} \cdots X_{i,k_s}^{\ell_s}$ in the entries of the i th block of A we will call $w(\pi) = \sum_{i=1}^s k_i \ell_i$ the *weight* of π . Given an integer $s > 0$, and indices $i_1 < i_2 < \cdots < i_s$, if π_{i_h} is a monomial in the entries of the i_h th block of A , and $\pi = \pi_{i_1} \pi_{i_2} \cdots \pi_{i_s}$, then $w(\pi) = \sum_{h=1}^s w(\pi_{i_h})$ is called the weight of π . Moreover, $\deg_{i_h}(\pi) = \deg(\pi_{i_h})$ will be called the i_h -*degree* of π .

Lemma 1.1. *Let i_1 and i_2 be integers such that $1 \leq i_1 < i_2 \leq d$. Two monomials of S in the entries of the blocks with indices i_1, i_2 are congruent modulo the ideal generated by the 2-minors of the submatrix formed by these blocks if and only if they have the same weight and the same i_k -degree for $k = 1, 2$.*

Proof. Every (i) -minor of A is the difference of two quadratic monomials of i -degree 2, and every (i, j) -minor of A is the difference of two quadratic monomials of i -degree 1 and j -degree 1. In view of this, the *only if* part of the claim is easy.

We prove the *if* part. In order to simplify our notation, we denote the indeterminates of the i_1 th block by $X_0, \dots, X_{n_{i_1}}$ and those of the i_2 th block by $Y_0, \dots, Y_{n_{i_2}}$. We call I the ideal generated by the 2-minors of the submatrix of A formed by these two blocks. Let μ and μ' be monomials in the first set of variables, ν and ν' monomials in the second set of variables. Let w_1, w'_1, w_2 and w'_2 be the weights of μ, μ', ν and ν' , respectively. Suppose that $\lambda = \mu\nu$ and $\lambda' = \mu'\nu'$ have the same weight $w = w_1 + w_2 = w'_1 + w'_2$ and that $\deg(\mu) = \deg(\mu')$ and $\deg(\nu) = \deg(\nu')$. We prove that the monomials λ and λ' are congruent modulo I . We proceed by induction on w . If $w = 0$, then λ and λ' are the same monomial of the form $X_0^i Y_0^j$. So assume that $w > 0$, and suppose the claim true for all monomials fulfilling the same assumption, but with smaller w . Then, up to exchanging the blocks, we have one of the following cases: either $w_1 > 0$ and $w'_1 > 0$, or $w_1 > 0$ and $w'_2 > 0$. In the first case, μ and μ' are not pure powers of X_0 ; hence, X_h divides μ and $X_{h'}$ divides μ' for some $h, h' \geq 1$. If $h = h'$, then induction applies to λ/X_h and to λ'/X_h , which are thus congruent modulo I . Hence, the same holds for λ and λ' .

Now assume that $h \neq h'$. Let $\bar{\lambda} = X_{h-1}\lambda/X_h$ and $\bar{\lambda}' = X_{h'-1}\lambda'/X_{h'}$. Then $w(\bar{\lambda}) = w(\bar{\lambda}') = w - 1$. Hence induction applies to the monomials

$\bar{\lambda}$ and $\bar{\lambda}'$ so that these are congruent modulo I . We thus have

$$X_{h-1}\lambda/X_h \equiv X_{h'-1}\lambda'/X_{h'} \pmod{I},$$

which implies that

$$X_{h'}X_{h-1}\lambda \equiv X_{h'-1}X_h\lambda' \pmod{I}.$$

On the other hand, since $X_{h'}X_{h-1} \equiv X_{h'-1}X_h \pmod{I}$, we also have

$$X_{h'}X_{h-1}\lambda \equiv X_{h'-1}X_h\lambda \pmod{I},$$

so that, finally

$$X_{h'-1}X_h\lambda \equiv X_{h'-1}X_h\lambda' \pmod{I}.$$

Since I is a prime ideal generated in degree 2, this implies that $\lambda \equiv \lambda' \pmod{I}$, as claimed.

Now consider the second case, i.e., assume that $w_1 > 0$ and $w_2' > 0$. Then X_h divides μ and $Y_{k'}$ divides ν' for some $h, k' \geq 1$. Set $\bar{\lambda} = X_{h-1}\lambda/X_h$ and $\bar{\lambda}' = Y_{k'-1}\lambda'/Y_{k'}$. Then the monomials $\bar{\lambda}$ and $\bar{\lambda}'$ fulfill the assumption, and their weight is $w - 1$. Hence induction applies to them, which allows us to conclude that they are congruent modulo I . Thus

$$X_{h-1}Y_{k'}\lambda \equiv X_hY_{k'-1}\lambda' \pmod{I}.$$

On the other hand we have that $X_hY_{k'-1} \equiv X_{h-1}Y_{k'} \pmod{I}$, which implies that

$$X_hY_{k'-1}\lambda' \equiv X_{h-1}Y_{k'}\lambda' \pmod{I}.$$

Hence

$$X_{h-1}Y_{k'}\lambda \equiv X_{h-1}Y_{k'}\lambda' \pmod{I},$$

which, as above, implies that $\lambda \equiv \lambda' \pmod{I}$, as claimed. This completes the proof. \square

Corollary 1.2. *Let i and j be indices such that $1 \leq i < j \leq d$. Then B_{n_i, n_j} belongs to the ideal of S generated by the (i) -minors, the (j) -minors and the (i, j) -minors.*

Proof. In view of Lemma 1.1, it suffices to note that all monomials of B_{n_i, n_j} have the same weight $m_{i,j}$, the same i -degree $p_{i,j}$ and the same j -degree $q_{i,j}$, and that the sum of their coefficients is zero. \square

Lemma 1.3. *Let i and j be indices such that $1 \leq i < j \leq d$. Let M be a (i, j) -minor. Set $m = \text{lcm}(n_i, n_j)$. Then*

$$M^m \in (B_{n_i, n_j}) + I_i + I_j.$$

Proof. We first introduce some notation that will simplify our argumentation. Consider the following matrix of indeterminates over R :

$$A' = \left(\begin{array}{cccc|cccc} X_0 & X_1 & \cdots & X_{a-1} & Y_0 & Y_1 & \cdots & Y_{b-1} \\ X_1 & X_2 & \cdots & X_a & Y_1 & Y_2 & \cdots & Y_b \end{array} \right).$$

Let I and J be the ideals of $R[X_0, \dots, X_a, Y_0, \dots, Y_b]$ generated by the (1)-minors and the (2)-minors of A' , respectively. Further, let $m = \text{lcm}(a, b)$, and let p, q be such that $m = pa = qb$. Then, for all $\alpha = 0, \dots, m$, let $\alpha = cp + r = eq + f$, where $0 \leq r < p$ and $0 \leq f < q$. Finally, let

$$B_{a,b} = B_{a,b}(X, Y) = \sum_{\alpha=0}^m (-1)^\alpha \binom{m}{\alpha} X_{a-c}^{p-r} X_{a-c-1}^r Y_e^{q-f} Y_{e+1}^f.$$

We show that, for all indices i, u such that $0 \leq i \leq a-1, 0 \leq u \leq b-1$,

$$(1.1) \quad (X_{i+1}Y_u - X_iY_{u+1})^m \equiv X_a^{pi} X_0^{m-pi-p} Y_b^{qu} Y_0^{m-qu-q} B_{a,b} \pmod{I + J}.$$

This will imply the claim. In order to prove (1.1) it suffices to show that, for all $\alpha = 0, \dots, m$,

$$(1.2) \quad X_i^\alpha X_{i+1}^{m-\alpha} \equiv X_a^{pi} X_0^{m-pi-p} X_{a-c}^{p-r} X_{a-c-1}^r \pmod{I}$$

$$(1.3) \quad Y_u^{m-\alpha} Y_{u+1}^\alpha \equiv Y_b^{qu} Y_0^{m-qu-q} Y_e^{q-f} Y_{e+1}^f \pmod{J}.$$

Now the monomials in (1.2) both have degree m and weight $m(i+1) - \alpha$; the monomials in (1.3) both have degree m and weight $mu + \alpha$. In view of Lemma 1.1, this shows that relations (1.2) and (1.3) are true, which completes the proof. \square

Lemma 1.4. *Let i, j, k be indices such that $1 \leq i < j \leq d$ and k is different from i, j (say, it is greater than both). Then for every index h such that $0 \leq h \leq n_k$, $X_{k,h} B_{n_i, n_j}$ belongs to the ideal generated by all (i, k) -minors and all (j, k) -minors.*

Proof. We refer to the notation introduced in the proof of Lemma 1.3. Consider the following matrix of indeterminates over R :

$$A'' = \left(\begin{array}{cccc|cccc} X_0 & X_1 & \cdots & X_{a-1} & Y_0 & Y_1 & \cdots & Y_{b-1} & Z_0 & Z_1 & \cdots & Z_{g-1} \\ X_1 & X_2 & \cdots & X_a & Y_1 & Y_2 & \cdots & Y_b & Z_1 & Z_2 & \cdots & Z_g \end{array} \right).$$

Let J_{XZ} and J_{YZ} be the ideals of $R[X_0, \dots, X_a, Y_0, \dots, Y_b, Z_0, \dots, Z_g]$ generated by the $(1, 3)$ -minors and by the $(2, 3)$ -minors of A'' , respectively. Let h be an index such that $0 \leq h \leq g$. We show that $Z_h B_{a,b} \equiv 0 \pmod{J_{XZ} + J_{YZ}}$. Note that all monomial terms in $B_{a,b}$ are of the form $\mu\nu$, where μ is a monomial in the entries of the first block of A'' , ν is a monomial in the entries of the second block of A'' , respectively, μ has degree p , ν has degree q , and $w(\mu\nu) = w(\mu) + w(\nu) = m$.

On the other hand, the sum of the integer coefficients in $B_{a,b}$ is 0. Hence it suffices to show that all monomials of the form $Z_h \mu\nu$, with μ and ν fulfilling the above properties, are pairwise congruent modulo $J_{XZ} + J_{YZ}$. We show this by proving that all of these monomials are congruent to $Z_h X_0^p Y_b^q$ modulo $J_{XZ} + J_{YZ}$. Let $\lambda = Z_h \mu\nu$ be such a monomial. First assume that $h < g$. In this case we proceed by ascending induction on $w = w(\mu)$. If $w = 0$, then the constraints on weight and degree imply that $\lambda = Z_h X_0^p Y_b^q$, so that the claim is trivially true. Now assume that $w(\mu) > 0$, and suppose that the claim is true whenever the weight of μ is smaller. Let $\mu = X_{i_1}^{s_1} X_{i_1-1}^{s_2}$ and $\nu = Y_{j_1}^{t_1} Y_{j_1+1}^{t_2}$. Then μ is not a power of X_0 . Hence we may assume that $i_1 > 0$ and $s_1 > 0$. Set $\mu' = X_{i_1}^{s_1-1} X_{i_1-1}^{s_2+1}$, which, like μ , is a monomial of degree p . Since $Z_h X_{i_1} - Z_{h+1} X_{i_1-1} \in J_{XZ}$, we have that $Z_h \mu \equiv Z_{h+1} \mu' \pmod{J_{XZ}}$, so that $\lambda \equiv Z_{h+1} \mu' \nu \pmod{J_{XZ}}$. Now $w(\mu) > 0$ implies that $w(\nu) < m$. It follows that ν is not a power of Y_b . Hence we may assume that $t_1 > 0$. Set $\nu' = Y_{j_1}^{t_1-1} Y_{j_1+1}^{t_2+1}$, which is a monomial of degree q . Since $Z_{h+1} Y_{j_1} - Z_h Y_{j_1+1} \in J_{YZ}$, we have that $Z_{h+1} \nu \equiv Z_h \nu' \pmod{J_{YZ}}$, so that $Z_{h+1} \mu' \nu \equiv Z_h \mu' \nu' \pmod{J_{YZ}}$. Set $\lambda' = Z_h \mu' \nu'$. It follows that $\lambda \equiv \lambda'$ modulo $J_{XZ} + J_{YZ}$. Now $w(\mu') = w(\mu) - 1$ and $w(\nu') = w(\nu) + 1$, whence $w(\mu') + w(\nu') = w(\mu) + w(\nu) = m$. Since μ' has degree p and ν' has degree q , it follows that induction applies to λ' , so that $\lambda \equiv Z_h X_0^p Y_b^q \pmod{J_{XZ} + J_{YZ}}$, as desired. The case where $h = g$ can be treated similarly, by descending induction on $w(\mu)$. This completes the proof. \square

For all $s = 3, \dots, 2d - 1$ let

$$G_s = \sum_{i+j=s} B_{n_i, n_j}^{c_{ij}},$$

where the positive integers c_{ij} are those defined in [1, page 1651], in the following way. For all $k = 3, \dots, 2d - 1$, let $r_k = \text{lcm} \{p_{i,j} + q_{i,j} \mid i + j = k\}$, and, whenever $i + j = k$, set $c_{i,j} = r_k / (p_{i,j} + q_{i,j})$.

In order to define B_{n_i, n_j} even in the case where i or j is greater than d , we imagine that the matrix A is prolonged, to the right, by addition of a suitable number of blocks formed by two 0 columns. This will also allow us to consider the (i) -minors and the (i, j) minors for the same values of i and j .

2. Main theorem. We can now prove our main result.

Theorem 2.1. *Let L be the ideal of S generated by all elements $F_{i,h}$ and G_s . Then $D = \sqrt{L}$.*

Proof. It suffices to show that every minor of A belongs to the radical of the ideal $J = \sum_{i=1}^d I_i + (G_3, \dots, G_{2d-1})$. This is certainly true for the pure minors, since, for all $i = 1, \dots, d$, every (i) -minor belongs to I_i .

Now we show the claim for the non-pure minors. Let i, j be indices such that $1 \leq i < j \leq d$, and set $\ell = i + j$. We show that every (i, j) -minor M belongs to the radical of $J_\ell = \sum_{i=1}^d I_i + (G_3, \dots, G_\ell)$. We proceed by double induction on ℓ and i . Note that $G_3 = B_{n_1, n_2}$. Hence $J_3 = \sum_{i=1}^d I_i + (B_{n_1, n_2})$. If $\ell = 3$, then $i = 1$ and $j = 2$, and by Lemma 1.3 it thus follows that $M \in \sqrt{J_3}$, which proves the induction basis.

Now suppose that $\ell > 3$ and that the claim is true for all smaller values of ℓ . First let $i = 1, j = \ell - 1$. From Lemma 1.3 we know that $M^{m+1} \in (MB_{n_1, n_{\ell-1}}) + I_1 + I_{\ell-1}$. Hence

$$(2.1) \quad M \in \sqrt{(X_{1,h}B_{n_1, n_{\ell-1}}, X_{1,k}B_{n_1, n_{\ell-1}}) + I_1 + I_{\ell-1}}$$

for some indices h, k . Let u, v be indices such that $u < v, u + v = \ell$ and $(1, \ell - 1) \neq (u, v)$. Then $1 < u$ and $1 < v < \ell - 1$. But, according to Lemma 1.4, $X_{1,h}B_{n_u, n_v}$ and $X_{1,k}B_{n_u, n_v}$ belong to the ideal of S

generated by all $(1, u)$ -minors and all $(1, v)$ -minors. Since $1 + u$ and $1 + v$ are both less than ℓ , by induction we have that this ideal is contained in the radical of J_ℓ . It follows that

$$X_{1,h}B_{n_1, n_{\ell-1}}^{c_{1\ell-1}} = X_{1,h}G_\ell - \sum_{\substack{u+v=\ell \\ (u,v) \neq (1,\ell-1)}} X_{1,h}B_{n_u, n_v}^{c_{uv}} \in \sqrt{J_\ell},$$

$$X_{1,k}B_{n_1, n_{\ell-1}}^{c_{1\ell-1}} = X_{1,k}G_\ell - \sum_{\substack{u+v=\ell \\ (u,v) \neq (1,\ell-1)}} X_{1,k}B_{n_u, n_v}^{c_{uv}} \in \sqrt{J_\ell},$$

and this, together with (2.1), implies that

$$M \in \sqrt{J_\ell}.$$

This shows that all $(1, \ell - 1)$ -minors belong to $\sqrt{J_\ell}$. Since, according to Corollary 1.2, $B_{n_1, n_{\ell-1}}$ belongs to the ideal generated by all the (1) -minors, $(\ell - 1)$ -minors and $(1, \ell - 1)$ -minors, it follows that $B_{n_1, n_{\ell-1}} \in \sqrt{J_\ell}$. Hence

$$\sum_{\substack{u+v=\ell \\ 1 < u < v}} B_{n_u, n_v}^{c_{uv}} = G_\ell - B_{n_1, n_{\ell-1}}^{c_{1\ell-1}} \in \sqrt{J_\ell}.$$

Now let u and v be indices such that $1 < u < v$ and $u + v = \ell$, and suppose that, for all indices i, j such that $i < j$, $i + j = \ell$, and $i < u$, all (i, j) -minors belong to $\sqrt{J_\ell}$. Then, by Corollary 1.2, for all these indices i, j , we have that $B_{n_i, n_j} \in \sqrt{J_\ell}$, so that

$$(2.2) \quad H_{uv} := \sum_{\substack{i+j=\ell \\ i < u}} B_{n_i, n_j}^{c_{ij}} \in \sqrt{J_\ell}.$$

We show that all (u, v) -minors belong to $\sqrt{J_\ell}$. Let M be such a minor. Then, by Lemma 1.3,

$$(2.3) \quad M \in \sqrt{(X_{u,h}B_{n_u, n_v}, X_{u,k}B_{n_u, n_v}) + I_u + I_v},$$

for some indices h and k . On the other hand,

$$(2.4) \quad X_{u,h}B_{n_u, n_v}^{c_{uv}} = X_{u,h}G_\ell - X_{u,h}H_{uv} - \sum_{\substack{i+j=\ell \\ u < i < j}} X_{u,h}B_{n_i, n_j}^{c_{ij}},$$

and

$$(2.5) \quad X_{u,k}B_{n_u, n_v}^{c_{uv}} = X_{u,k}G_\ell - X_{u,k}H_{uv} - \sum_{\substack{i+j=\ell \\ u < i < j}} X_{u,k}B_{n_i, n_j}^{c_{ij}}.$$

Now let i, j be such that $i + j = \ell$ and $u < i < j$. Then, by Lemma 1.4, $X_{u,h}B_{n_i, n_j}$ belongs to the ideal generated by all (u, i) -minors and all (u, j) -minors. Moreover, $u + i < u + j = u + \ell - i < u + \ell - u = \ell$ and $u + j < i + j = \ell$. By induction on ℓ it follows that all (u, i) -minors and all (u, j) -minors belong to $\sqrt{J_\ell}$, so that $X_{u,h}B_{n_i, n_j}, X_{u,k}B_{n_i, n_j} \in \sqrt{J_\ell}$. In view of (2.2), (2.3), (2.4) and (2.5), this implies that $M \in \sqrt{J_\ell}$ and completes the induction step. \square

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