

## NUMERICAL CRITERIA FOR CERTAIN FIBER SPACES TO BE BIRATIONALLY TRIVIAL

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**Abstract.** Let  $f: X \rightarrow B$  be a fiber space over a curve  $B$  whose general fiber  $F$  belongs to one of the following type: 1)  $F$  is of general type and satisfying some mild conditions, 2)  $F$  is with trivial canonical sheaf. In this note, a numerical characterization for  $f: X \rightarrow B$  to be birationally trivial is given.

### §1. Introduction

Let  $X$  be a complex projective manifold, and  $f: X \rightarrow B$  be a morphism over a smooth projective curve  $B$  with connected fibers. A natural problem is to find a numerical characterization for  $f: X \rightarrow B$  to be birationally trivial (see (2.1) for the definition).

When  $X$  is a surface, it is well-known that, if  $g(F) \geq 2$ ,  $f$  is birationally trivial if and only if  $q(X) - g(B) = g(F)$ , where  $F$  is a general fiber of  $f$ ,  $g(F)$  (resp.  $g(B)$ ) is the genus of  $F$  (resp.  $B$ ), and  $q(X)$  is the irregularity of  $X$  (cf. [2]).

In this note, we consider the higher dimensional case.

For any  $1 \leq i \leq \dim X$ , let  $\mathcal{H}_X^i$  be the image of the map  $H^0(\Omega_X^i) \otimes \mathcal{O}_X \rightarrow \Omega_X^i$ , where  $\Omega_X^i$  is the sheaf of holomorphic  $i$ -forms on  $X$ . Let  $\text{rk } \mathcal{H}_X^i$  be the rank of  $\mathcal{H}_X^i$ . It is easy to see that  $\text{rk } \mathcal{H}_X^i$  is a birational invariant. Let  $h^{i,0}(X) = \dim H^0(\Omega_X^i)$  and  $p_g(X)$  be the geometric genus of  $X$ . Our main result is the following.

**THEOREM 1.1.** *Let  $X$  be a complex projective manifold of dimension  $n + 1$  ( $n \geq 2$ ), and  $f: X \rightarrow B$  be a morphism over a smooth projective curve  $B$  with connected fibers. Let  $F$  be a general fiber of  $f$ . Assume that  $h^{n-1,0}(F) = 0$ , and that either the canonical map  $\phi_F$  of  $F$  is birational, or  $\phi_F$  is generically finite of degree being a prime number and  $p_g(\text{Im } \phi_F) = 0$ . Then  $f$  is birationally trivial if and only if  $\text{rk } \mathcal{H}_X^n = 1$  and  $h^{n,0}(X) = p_g(F)$ .*

Theorem 1.1 will be proved in Section 2. In Section 3 we will give some criteria for fiber spaces whose general fibers have trivial canonical sheaf to be birationally trivial.

We use standard notations as in [3] or [10].

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## §2. Proof of Theorem 1.1

**2.1.** A fiber space  $f: X \rightarrow B$  of relative dimension  $n$  is a surjective morphism between smooth projective varieties  $X$  and  $B$  with connected geometric fibers of dimension  $n$ . We say that two fiber spaces  $f_i: X_i \rightarrow B_i$  ( $i = 1, 2$ ) are birationally equivalent if there are birational maps  $\pi_1: X_1 \rightarrow X_2$  and  $\pi_2: B_1 \rightarrow B_2$  such that  $f_2\pi_1 = \pi_2f_1$ . A fiber space  $f: X \rightarrow B$  is called birationally trivial, if it is birationally equivalent to the trivial fiber space  $p: F \times B \rightarrow B$ , where  $F$  is a general fiber of  $f$  and  $p$  is the projection.

**2.2.** Let  $f: X \rightarrow B$  be a fiber space, and  $F$  a general fiber of  $f$ . We say that  $f$  has constant moduli, if any two smooth geometric fibers of  $f$  are birationally equivalent.

Assume that  $f$  has constant moduli and that the Kodaira dimension of  $F$  is non-negative. Then  $f$  admits a very concrete description, i.e., there exists a finite group  $G$  acting on  $F$  and on some smooth variety  $\tilde{B}$  such that  $f$  is birationally equivalent to (the smooth model of) the fiber space  $p: (F \times \tilde{B})/G \rightarrow \tilde{B}/G$ , where the action of  $G$  on the product  $F \times \tilde{B}$  is compatible with the actions on each factor and  $p$  is the projection to the second factor. (See [6, Theorem 2.11] or [7, Proposition 1] for a proof.)

**2.3.** Let  $f: X \rightarrow B$  be a fiber space of relative dimension  $n$ , and  $F$  a general fiber of  $f$ . In what follows we always assume that  $B$  is a curve. Then  $R^n f_* \mathcal{O}_X$  is a locally free sheaf of rank  $p_g(F)$ . By Theorem 3.1 [5],  $\mathcal{O}_B^{\oplus h^0(R^n f_* \mathcal{O}_X)}$  is a direct factor of  $R^n f_* \mathcal{O}_X$ . By the Leray spectral sequence,

$$h^0(R^n f_* \mathcal{O}_X) + h^1(R^{n-1} f_* \mathcal{O}_X) = h^n(\mathcal{O}_X).$$

Combining these two facts, we get  $h^n(\mathcal{O}_X) \leq h^1(R^{n-1} f_* \mathcal{O}_X) + p_g(F)$ .

NOTATION 2.4. Let  $X$  be a complex projective manifold. For any  $0 \neq \alpha \in H^0(\Omega_X^i)$  ( $1 \leq i \leq \dim X$ ), we denote by  $Z(\alpha)$  the zero-locus of the holomorphic  $i$ -form  $\alpha$ .

**2.5.** Let  $f: X \rightarrow B$  and  $F$  be as in 2.3. Let  $\iota$  be the embedding of  $F$  in  $X$ . We can factor the pullback of forms under the restriction map  $\iota^*: \Omega_X^n \rightarrow \Omega_F^n$  by

$$\Omega_X^n \xrightarrow{r} \Omega_X^n|_F \longrightarrow \Omega_F^n.$$

Consider the long exact sequences associated with the exact sequences of sheaves

$$\begin{aligned} 0 \longrightarrow \Omega_X^n(-F) \longrightarrow \Omega_X^n \xrightarrow{r} \Omega_X^n|_F \longrightarrow 0 \quad \text{and} \\ 0 \longrightarrow \Omega_F^{n-1} \longrightarrow \Omega_X^n|_F \longrightarrow \Omega_F^n \longrightarrow 0. \end{aligned}$$

Then we have that, if  $h^{n-1,0}(F) = 0$ , then for any  $0 \neq \varphi \in H^0(\Omega_X^n)$ ,  $\iota^*\varphi = 0$  if and only if  $\varphi \in \text{Ker } r$ , i.e.,  $F \subset Z(\varphi)$ .

**2.6.** Let  $X$  be a complex projective manifold of dimension  $n + 1$  ( $n \geq 2$ ), with  $h^{n,0}(X) \geq 2$ . Assume that there are two linearly independent  $n$ -forms  $\varphi_1$  and  $\varphi_2$  such that  $\varphi_1 \wedge \varphi_2 = 0$  in  $H^0(\bigwedge^2 \Omega_X^n)$ . Then there exists a non-constant rational function  $h$  on  $X$  such that  $\varphi_2 = h\varphi_1$ . Let  $\pi: X' \rightarrow X$  be the blowing up of the locus of indeterminacy of the rational map

$$(1 : h): X \dashrightarrow \mathbb{P}^1,$$

and  $f_h: X' \rightarrow C$  the Stein factorization of  $(1 : h) \circ \pi$ . We have that  $h$  is constant along the fibers of  $f_h$ .

LEMMA 2.7. *Let  $X$  and  $f_h$  be as above. Then for any smooth fiber  $F$  of  $f_h$ , we have*

- (i)  $\iota_F^*(\pi^*\varphi_i) = 0$  for  $i = 1$  and  $2$ , where we denote by  $\iota_F$  the embedding of  $F$  in  $X'$ ,
- (ii)  $h^{n-1,0}(F) > 0$ .

*Proof.* (i) Indeed, for any  $x \in F$ , let  $z_0, z_1, \dots, z_n$  be a set of analytic local coordinates of  $X$  around  $x$ , such that  $z_0$  is the pullback of a local coordinate of  $C$  around the image  $c$  of  $F$  by  $f_h$ . Then  $h$  is the pull-back of

a non-constant holomorphic function of a neighborhood of  $c$ , and within an analytic neighborhood of  $x$ , we can write

$$\begin{aligned}\pi^*\varphi_1 &= \sum_{i=0}^n A_i dz_0 \wedge \cdots \wedge \widehat{dz_i} \wedge \cdots \wedge dz_n, \\ \pi^*\varphi_2 &= \sum_{i=0}^n B_i dz_0 \wedge \cdots \wedge \widehat{dz_i} \wedge \cdots \wedge dz_n,\end{aligned}$$

( $\widehat{dz_i}$  indicating the omission of the  $i$ -th factor  $dz_i$ ) where  $A_i$  and  $B_i$  are holomorphic functions of this neighborhood. Clearly we have that

$$\iota_F^*(\pi^*\varphi_1) = A_0|_F dz_1 \wedge \cdots \wedge dz_n.$$

Since  $\varphi_2 = h\varphi_1$ , we have  $B_i = hA_i$  for  $i = 0, \dots, n$ . Since  $\pi^*\varphi_j$  are  $d$ -closed, we have

$$\sum_{i=0}^n (-1)^i \frac{\partial A_i}{\partial z_i} = 0 \quad \text{and} \quad \sum_{i=0}^n (-1)^i \frac{\partial B_i}{\partial z_i} = 0.$$

Now

$$\begin{aligned}\frac{\partial h}{\partial z_0} A_0 &= \frac{\partial B_0}{\partial z_0} - h \frac{\partial A_0}{\partial z_0} = \frac{\partial B_0}{\partial z_0} + h \sum_{i=1}^n (-1)^i \frac{\partial A_i}{\partial z_i} \\ &= \frac{\partial B_0}{\partial z_0} + \sum_{i=1}^n (-1)^i \frac{\partial B_i}{\partial z_i} = 0.\end{aligned}$$

Note that  $\partial h/\partial z_0 \neq 0$ . Hence we get  $A_0|_F = 0$ .

(ii) Let  $F'$  be a general fiber of  $f_h$  such that  $F' \not\subset Z(\pi^*\varphi_1)$ . Suppose that  $h^{n-1,0}(F') = 0$ . Then by 2.5 we get  $\iota_{F'}^*(\pi^*\varphi_1) \neq 0$ . On the other hand, by (i), we have  $\iota_{F'}^*(\pi^*\varphi_1) = 0$ . This is a contradiction.  $\square$

The following lemma plays an important role in the proof of the Theorem 1.1.

**LEMMA 2.8.** *Let  $f: X \rightarrow B$  be a fiber space of relative dimension  $n \geq 2$ , and  $F$  a general fiber of  $f$ . Assume that  $\text{rk } \mathcal{H}_X^n = 1$  (where  $\mathcal{H}_X^n$  is as in Section 1), and  $h^{n-1,0}(F) = 0$ . Then  $h^0(\Omega_X^n(-F)) = 0$ .*

*Proof.* Consider the exact sequence

$$0 \longrightarrow H^0(\Omega_X^n(-F)) \longrightarrow H^0(\Omega_X^n) \xrightarrow{r} H^0(\Omega_X^n|_F).$$

Note that for any  $\varphi \in H^0(\Omega_X^n)$ ,  $\varphi \in \text{Ker } r$  if and only if  $Z(\varphi) \supset F$ . Since  $F$  is a general fiber of  $f$ , we have  $\text{Im } r \neq 0$  if  $h^{n,0}(X) > 0$ . We choose and fix a section  $\varphi_0 \in H^0(\Omega_X^n)$  such that  $r(\varphi_0) \neq 0$ . Now it's enough to prove that  $\text{Ker } r = 0$ . Otherwise, let  $0 \neq \varphi_1 \in \text{Ker } r$ . Then  $Z(\varphi_1) \supset F$ . Since  $\text{rk } \mathcal{H}_X^n = 1$ ,  $\varphi_1 \wedge \varphi_0 = 0$ . So there exists a rational function  $h$  on  $X$  such that  $\varphi_1 = h\varphi_0$ . Since  $Z(\varphi_0) \not\supset F$  by the choice of  $\varphi_0$ ,  $h$  vanishes on  $F$ .

Let  $f_h: X \rightarrow C$  be the fiber space induced by the rational map

$$(1 : h): X \dashrightarrow \mathbb{P}^1.$$

By 2.7,  $h^{n-1,0}(F_h) > 0$ , where  $F_h$  is a smooth fiber of  $f_h$ . This implies  $f$  and  $f_h$  are different fibrations of  $X$  since  $h^{n-1,0}(F) = 0$  by the assumption. So  $f_h|_F: F \rightarrow C$  is surjective. Since  $h$  vanishes on  $F$  and is constant on the fibers of  $f_h$ , we get that  $h$  vanishes on  $X$ . This is a contradiction.  $\square$

The following proposition is a special case of 7.2.1 in [9].

**PROPOSITION 2.9.** *Let  $f: X \rightarrow Y$  be a morphism from a  $(n+1)$ -fold to a smooth projective  $n$ -fold. Suppose that, over a Zariski open set  $U$  of  $X$ ,  $\varphi \in H^0(X, \Omega_X^n)$  can be written locally around each point  $p \in U$  as  $\varphi = \alpha f^*(\omega)$ , where  $\alpha \in \mathcal{O}_{p,X}$  and  $\omega \in \Omega_{f(p),Y}^n$ . Then  $\varphi = \alpha f^*(\omega')$  for some  $\omega' \in H^0(Y, \Omega_Y^n)$ .*

### 2.10. Proof of Theorem 1.1

We prove that if  $\text{rk } \mathcal{H}_X^n = 1$  and  $h^{n,0}(X) = p_g(F)$ , then  $f$  is birationally trivial; the converse is clear since  $\text{rk } \mathcal{H}_X^n$  is a birational invariant of  $X$  (note that  $\text{rk } \mathcal{H}_X^n$  equals to the greatest integer  $i$  such that  $\varphi_1 \wedge \varphi_2 \wedge \cdots \wedge \varphi_i \neq 0$  in  $H^0(\bigwedge^i \Omega_X^n)$  for some  $\varphi_1, \dots, \varphi_i \in H^0(\Omega_X^n)$ ).

Let  $\varphi_0, \varphi_1, \dots, \varphi_m$  ( $m = h^{n,0}(X) - 1$ ) be a basis of  $H^0(\Omega_X^n)$ . Since  $\text{rk } \mathcal{H}_X^n = 1$ , there are non-constant rational functions  $h_i$  on  $X$  such that  $\varphi_i = h_i\varphi_0$  for  $i = 1, \dots, m$ . Consider the rational map

$$\Phi = (1 : h_1 : h_2 : \cdots : h_m): X \dashrightarrow \mathbb{P}^m.$$

By Bogomolov's theorem [4],  $\dim(\text{Im } \Phi) \leq n$ .

Let  $F$  be a general fiber of  $f$ , and  $\iota$  the embedding of  $F$  in  $X$ . Since  $h^{n-1,0}(F) = 0$ , by 2.5,

$$\text{Ker}(\iota^*: H^0(\Omega_X^n) \rightarrow H^0(\Omega_F^n)) \simeq H^0(\Omega_X^n(-F)).$$

By Lemma 2.8,  $h^0(\Omega_X^n(-F)) = 0$ . So  $\iota^*: H^0(\Omega_X^n) \rightarrow H^0(\Omega_F^n)$  is an embedding, hence an isomorphism by the assumption  $h^{n,0}(X) = p_g(F)$ . This implies that  $h_i|_F$ , the restriction of  $h_i$  on  $F$ , are non-constant rational functions on  $F$ , and

$$\Phi|_F = (1 : h_1|_F : h_2|_F : \cdots : h_m|_F) : X \dashrightarrow \mathbb{P}^m$$

is nothing but the canonical map  $\phi_F$  of  $F$ . Since  $\phi_F$  is generically finite by assumption, we get  $\dim(\text{Im } \Phi) \geq \dim(\text{Im}(\Phi|_F)) = n$ . So  $\text{Im } \Phi = \text{Im}(\Phi|_F)$  is a variety of dimension  $n$ . This implies that  $f$  has constant moduli if  $\phi_F$  is birational. Now we show that if  $\deg \phi_F$  is prime and  $p_g(\text{Im } \phi_F) = 0$ ,  $f$  also has constant moduli.

Consider the following commutative diagram

$$\begin{array}{ccc} X' & \xrightarrow{\Phi'} & Y \\ \downarrow \pi & & \downarrow s \\ X & \xrightarrow{\Phi} & \text{Im } \Phi, \end{array}$$

where  $\pi$  is the blowing up of the locus of indeterminacy of the rational map  $\Phi$  and  $\Phi'$  is the Stein factorization of  $\Phi \circ \pi$ . Taking the desingularisation of  $Y$  instead of  $Y$ , we can assume that  $Y$  is smooth.

CLAIM.  $p_g(Y) = h^{n,0}(X)$ .

*Proof of the Claim.* The case when  $\dim X = 3$  is proved in [8, p. 861]; the general case can be similarly verified. Indeed, it's enough to verify that  $\pi^*\varphi_i$  ( $i = 0, \dots, m$ ) are pull-backs of holomorphic  $n$ -forms on  $Y$ . Since  $\text{Im } \Phi$  has dimension  $n$  in  $\mathbb{P}^m$ , we may assume, after changing coordinates, that  $z_i = Z_i/Z_0$  for  $i = 1, \dots, n$ , forms a local coordinate system at a generic point  $p \in \text{Im } \Phi$ , where  $Z_0, \dots, Z_m$  are homogeneous coordinates of  $\mathbb{P}^m$ . Consider the compositions  $g_i$  of  $s \circ \Phi'$  with the projection

$$p_i: \text{Im } \Phi \longrightarrow \mathbb{P}^1, \quad (1 : h_1(x) : h_2(x) : \cdots : h_m(x)) \longmapsto (1 : h_i(x)).$$

By blowing up if necessary, we may assume that all  $g_i$  ( $i = 1, \dots, n$ ) are morphisms. Let

$$U = X' \setminus \bigcup_{i=1}^n \{\text{singular fibers of } g_i\}.$$

Let  $i_1: F_1 \subset X'$  be the inclusion of a smooth fiber of  $g_1$ . Then by 2.7, we have  $\iota_1^*(\pi^*\varphi_i) = 0$  for  $i = 0$  and 1. Since  $\varphi_i = h_i\varphi_0$ , we get  $\iota_1^*(\pi^*\varphi_i) = 0$  for all  $i$ . It implies that around  $x \in U$ ,

$$\pi^*\varphi_i = \alpha_{1i}g_1^*(dz_1) \wedge \tau_{1i},$$

where  $\alpha_{1i} \in \mathcal{O}_{x,X'}$  and  $\tau_{1i} \in \Omega_{x,X'}^{n-1}$ . Similarly, we have

$$\pi^*\varphi_i = \alpha_{2i}g_2^*(dz_2) \wedge \tau_{2i} = \dots = \alpha_{ni}g_n^*(dz_n) \wedge \tau_{ni},$$

where  $\alpha_{2i}, \dots, \alpha_{ni}$  are in  $\mathcal{O}_{x,X'}$  and  $\tau_{2i}, \dots, \tau_{ni}$  are in  $\Omega_{x,X'}^{n-1}$ . This shows that around  $x \in U$ ,

$$\begin{aligned} \pi^*\varphi_i &= \alpha g_1^*(dz_1) \wedge g_2^*(dz_2) \wedge \dots \wedge g_n^*(dz_n) \\ &= \alpha \Phi'^*((p_1 \circ s)^*(dz_1) \wedge (p_2 \circ s)^*(dz_2) \wedge \dots \wedge (p_n \circ s)^*(dz_n)) \end{aligned}$$

for some  $\alpha \in \mathcal{O}_{x,X'}$ . Now by Proposition 2.9, we have that  $\pi^*\varphi_i$  are pull-backs of holomorphic  $n$ -forms on  $Y$ .  $\square$

Now we continue to prove the Theorem 1.1. Let  $F'$  be the strict transform of  $F$  under  $\pi$ . We have the following commutative diagram

$$\begin{array}{ccc} F' & \xrightarrow{\Phi'|_{F'}} & Y \\ \downarrow \pi|_{F'} & & \downarrow s \\ F & \xrightarrow{\Phi|_{F=\phi_F}} & \text{Im } \Phi. \end{array}$$

If  $\deg \phi_F$  is prime and  $p_g(\text{Im } \phi_F) = 0$ , then  $\deg s \neq 1$  since  $p_g(Y) \neq p_g(\text{Im } \phi_F)$ . So  $\deg(\Phi'|_{F'}) = 1$ , and we have that  $f$  has constant moduli.

By 2.2,  $X$  is birationally equivalent to  $(F \times \tilde{B})/G$ , where  $\tilde{B}$  and  $G$  are in 2.2. We claim that  $|G| = 1$ . In fact, from

$$h^{n,0}(F \times \tilde{B}) = p_g(F) = h^{n,0}(X) = \dim H^0(\Omega_{F \times B'}^n)^G,$$

we get  $H^0(\Omega_F^n)^G = H^0(\Omega_F^n)$ . So  $G$  induces identity on  $\text{Im } \phi_F$ . This implies  $\phi_F$  factors through  $F \rightarrow F/G \rightarrow \text{Im } \phi_F$ . So we have  $|G| = 1$  under the condition that either  $\phi_F$  of  $F$  is birational, or  $\phi_F$  is generically finite of degree being a prime number and  $p_g(\text{Im } \phi_F) = 0$ .  $\square$

*Remark 2.11.* We give some remarks about the conditions on  $F$  in Theorem 1.1.

(1) If we only assume that  $F$  is of general type, the question may be too general to have a positive answer. But I failed to find an example of a birationally trivial fiber space which has a birationally non-trivial smooth deformation.

(2) If  $h^{n-1,0}(F) \neq 0$ , the existence of non-zero global  $(n-1)$ -forms on  $F$  makes the case more complicated (compare 2.5). Fortunately, since varieties with  $h^{n-1}(\mathcal{O}_F) = h^{n-1,0}(F) > 0$  are special in the class of  $n$  dimensional varieties of general type, this is not a strong condition.

(3) Some typical examples of  $n$ -folds of general type with vanishing  $h^{n-1,0}$ : (a) regular surfaces of general type when  $n = 2$ , (b) smooth complete intersections in a projective space, (c) cyclic coverings of  $\mathbb{C}\mathbb{P}^n$  branched along a smooth divisor, and (d) products of varieties satisfying certain numerical conditions; e.g., let  $F = Y \times S$ , where  $Y$  (resp.  $S$ ) is a smooth projective  $(n-2)$ -fold (resp. surface) of general type satisfying one of the following conditions: (i)  $p_g(S) = 0$ , (ii)  $q(S) = 0$  and  $h^{n-3,0}(Y) = 0$ , or (iii)  $p_g(Y) = 0$  and  $h^{n-3,0}(Y) = 0$ .

(4) We note that, if the canonical map  $\phi_F$  of  $F$  is generically finite, then we have either  $p_g(\text{Im } \phi_F) = 0$  or  $p_g(\text{Im } \phi_F) = p_g(F)$  (cf. [1, Theorem 3.1]). The following example shows that the condition on  $\phi_F$  can not be weakened.

**EXAMPLE 2.12.** Let  $S$  be a (smooth projective) regular surface. Assume that  $\phi_S: S \rightarrow \text{Im } \phi_S$  is generically finite of degree 2 and  $p_g(S) = p_g(\text{Im } \phi_S)$ . (See [1, Proposition 3.6] for examples of such surfaces.) Let  $\sigma$  be the involution of  $S$  corresponding to  $\phi_S$ . Let  $\tilde{B}$  be a smooth curve with an involution  $\tau$  such that  $\tilde{B} \rightarrow B := \tilde{B}/\tau$  is étale. Take  $X = (S \times \tilde{B})/\mathbb{Z}_2$ , where  $\mathbb{Z}_2$  acts on  $S \times \tilde{B}$  by  $(s, \tilde{b}) \rightarrow (\sigma(s), \tau(\tilde{b}))$ . It's easy to check that  $\text{rk } \mathcal{H}_X^2 = 1$  and  $h^{2,0}(X) = p_g(S)$ . But the fiber space  $f: X \rightarrow B$ , which is induced by the projection  $S \times \tilde{B} \rightarrow \tilde{B}$ , is not birationally trivial.

### §3. Miscellaneous results

Let  $F$  be a projective manifold with trivial canonical sheaf. An automorphism  $\sigma$  of  $F$  is said symplectic, if  $\sigma$  induces trivial action on  $H^0(\omega_F)$ , where  $\omega_F$  is the canonical sheaf of  $F$ .

**THEOREM 3.1.** *Let  $f: X \rightarrow B$  be a fiber space of relative dimension  $n$  over a curve  $B$ , and  $F$  a general fiber of  $f$ . Assume that  $F$  is a projective manifold with trivial canonical sheaf and that  $h^{n-1,0}(F) = 0$  (e.g.,*



an algebraic K3 surface and its higher dimensional analogue, a projective Calabi-Yau manifold, etc.). Then  $h^{n,0}(X) \leq 1$ , and  $h^{n,0}(X) = 1$  if and only if either  $f$  is birationally trivial, or  $f$  is birationally isomorphic to  $(F \times \tilde{B})/G \rightarrow \tilde{B}/G$ , where  $G$  is a finite group acting on  $F$  and  $\tilde{B}$  such that the action of  $G$  on  $F$  is symplectic and  $\tilde{B}/G \simeq B$ .

*Proof.*  $h^{n,0}(X) \leq 1$  follows by 2.3. Now we assume that  $h^{n,0}(X) = 1$ . Let

$$\Sigma = \{\text{critical points of } f\} \cup \{p \in B \mid f^*p \subset Z(\varphi)\},$$

where  $\varphi$  be the unique holomorphic  $n$ -form on  $X$  up to scalar multiple. Set  $B^\circ = B \setminus \Sigma$ ,  $X^\circ = f^{-1}B^\circ$  and  $f^\circ = f|_{X^\circ}$ .

Since  $p_g(F) = 1$ ,  $\mathcal{L} := f^\circ_*\omega_{X^\circ}$  is an invertible sheaf. We have an exact sequence of sheaves

$$0 \longrightarrow (f^\circ)^*\mathcal{L} \longrightarrow \omega_{X^\circ}.$$

So  $\omega_{X^\circ} = (f^\circ)^*\tilde{\mathcal{L}} \otimes \mathcal{O}_{X^\circ}(D)$  for some non-negative divisor  $D$  on  $X^\circ$ . From  $\mathcal{O}_F = \omega_{X^\circ}|_F = (f^\circ)^*\mathcal{L} \otimes \mathcal{O}_{X^\circ}(D)|_F = \mathcal{O}_F(D)$ , we have that  $D$  consists of fibers of  $f^\circ$ . Hence  $\omega_{X^\circ} = (f^\circ)^*\mathcal{L}'$  for some  $\mathcal{L}' \in \text{pic}(B^\circ)$ .

Since  $h^{n-1,0}(F) = 0$  by the assumption, by 2.5 we have that for any fiber  $F$  of  $f^\circ$ ,  $\iota^*\varphi \neq 0$ , where  $\iota$  is the embedding of  $F$  in  $X^\circ$ . By Lemma 4.3 of [5], we get that  $f^\circ$  has constant moduli.

By 2.2,  $X$  is birational to  $(F \times \tilde{B})/G$ , where  $G$  and  $\tilde{B}$  are in 2.2. Since

$$\dim H^0(\Omega^n_{F \times \tilde{B}})^G = h^0(\Omega^n_X) = 1 = h^0(\Omega^n_{F \times \tilde{B}}),$$

we have that either  $|G| = 1$  or  $G$  acts trivially on  $H^0(\Omega^n_F)$ . This proves the “only if” part. The “if” part is clear.  $\square$

**THEOREM 3.2.** *Let  $f: X \rightarrow B$  be a fiber space of relative dimension  $n$  over a curve  $B$ , and  $F$  a general fiber of  $f$ . Assume that  $F$  is an Abelian variety. Then  $q(X) \leq n + g(B)$ , and  $q(X) = n + g(B)$  if and only if either  $f$  is birationally trivial, or  $f$  is birationally isomorphic to  $(F \times \tilde{B})/G \rightarrow \tilde{B}/G$ , where  $G$  is a finite Abelian group acting on  $F$  and  $\tilde{B}$  such that the action of  $G$  on  $F$  consists of translations of  $F$  and  $\tilde{B}/G \simeq B$ .*

*Proof.* By the universal property of the Albanese map, we have a

morphism  $\alpha: \text{Alb } X \rightarrow \text{Alb } B$  such that the following diagram

$$\begin{array}{ccc} X & \xrightarrow{\text{alb}_X} & \text{Alb } X \\ f \downarrow & & \downarrow \alpha \\ B & \xrightarrow{\text{alb}_B} & \text{Alb } B \end{array}$$

commutes. Note that  $\alpha$  is a fiber bundle whose fiber  $A$  is an Abelian variety of dimension  $q(X) - g(B)$ . Let  $p$  be a general point of  $B$ . We have that

$$\text{alb}_X |_{f^*(p)}: f^*(p) \longrightarrow A = \alpha^*(\text{alb}_B(p))$$

is surjective since the image of  $f^*(p)$  in  $A$  generates  $A$  and  $f^*(p)$  itself is an Abelian variety. So  $q(X) - g(B) \leq n = \dim f^*(p)$ .

Now assume that  $q(X) - g(B) = n$ . Then  $f$  has constant moduli since there are at most countable Abelian varieties isogenous to a given Abelian variety. By 2.2,  $X$  is birational to  $(F \times \tilde{B})/G$ , where  $G$  and  $\tilde{B}$  are in 2.2. Since

$$\dim H^0(\Omega_{F \times \tilde{B}}^1)^G = h^0(\Omega_X^1) = n + g(B) = h^0(\Omega_{F \times \tilde{B}}^1),$$

we have that  $G$  acts trivially on  $H^0(\Omega_F^1)$ . If there is an element  $\sigma \in G$  such that  $\sigma$  has a fixed point, say  $p \in F$ , then  $\sigma$  acts trivially on the tangent space  $T_p F$ , since  $\sigma$  acts trivially on  $H^0(\Omega_F^1)$ . This implies  $\sigma = 1$ . So we have either  $|G| = 1$  or  $G$  consists of translations of  $F$ . This proves the “only if” part. The converse is clear.  $\square$

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