

On h-vectors of Buchsbaum Stanley-Reisner rings

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(Received April 24, 1995)

Abstract. We give a necessary condition for a sequence of integers to be the h-vector of a Buchsbaum complex (or equivalently a Buchsbaum Stanley-Reisner ring). We construct 3-dimensional Buchsbaum Stanley-Reisner rings with depth 2 which give lower bounds of the h-vectors among those of the Buchsbaum Stanley-Reisner rings with the above conditions.

Key words: Stanley-Reisner ring, Buchsbaum complex, f-vector, h-vector, Hilbert function, O-sequence.

Introduction

It is one of important problems to characterize the h-vectors (or equivalently f-vectors) of good classes of Stanley-Reisner rings (or equivalently simplicial complexes) in combinatorial commutative ring theory. See Björner-Kalai [Bj-Ka] to survey this topic.

Let f and i be positive integers. Then f can be uniquely written in the form

$$f = \binom{n_i}{i} + \binom{n_{i-1}}{i-1} + \cdots + \binom{n_j}{j},$$

where $n_i > n_{i-1} > \cdots > n_j \geq j \geq 1$. Define

$$\begin{aligned} f^{(i)} &= \binom{n_i}{i+1} + \binom{n_{i-1}}{i} + \cdots + \binom{n_j}{j+1}, \\ f^{<i>} &= \binom{n_i+1}{i+1} + \binom{n_{i-1}+1}{i} + \cdots + \binom{n_j+1}{j+1}, \\ 0^{<i>} &= 0. \end{aligned}$$

Then the following two results are classical.

Theorem 0.1 (Kruskal [Kr], Katona [Ka]). *Let $f = (f_0, f_1, \dots, f_{d-1})$ be a sequence of integers. Then the following conditions are equivalent :*

- (1) The vector f is the f -vector of some $(d - 1)$ -dimensional simplicial complex.
- (2) $0 < f_{i+1} \leq f_i^{(i+1)}$ for $0 \leq i \leq d - 2$.

Theorem 0.2 (Macaulay, Stanley [St₂, Theorem 6]). Let $h = (h_0, h_1, \dots, h_d)$ be a sequence of integers. Then the following conditions are equivalent :

- (1) The vector h is the h -vector of some $(d - 1)$ -dimensional Cohen-Macaulay simplicial complex over a field.
- (2) $h_0 = 1$ and $0 \leq h_{i+1} \leq h_i^{<i>}$ for $1 \leq i \leq d - 1$.

We say that a sequence $h = (h_0, h_1, \dots, h_d)$ of integers is an O -sequence if it satisfies the conditions in Theorem 0.2.

Then the following problem is very natural.

Problem 0.3 (Hibi [Hi₁, Open Problem]). Find a combinatorial characterization of the h -vectors of Buchsbaum simplicial complexes.

This paper gives partial results on the above problem. In fact, we give a necessary condition to be the h -vectors of Buchsbaum simplicial complexes as follows:

Theorem 0.4 Let Δ be a $(d - 1)$ -dimensional Buchsbaum complex over a field, where $d \geq 2$, and $h(\Delta) = (h_0, h_1, \dots, h_d)$ its h -vector. Then we have following inequalities :

$$\begin{aligned}
 dh_d + h_{d-1} &\geq 0, \\
 \binom{d}{2} h_d + (d-1)h_{d-1} + h_{d-2} &\geq 0, \\
 \binom{d}{3} h_d + \binom{d-1}{2} h_{d-1} + (d-2)h_{d-2} + h_{d-3} &\geq 0, \\
 \binom{d+1}{4} h_d + \binom{d}{3} h_{d-1} + \binom{d-1}{2} h_{d-2} + (d-2)h_{d-3} + h_{d-4} &\geq 0, \\
 &\vdots \\
 \binom{2d-3}{d} h_d + \binom{2d-4}{d-1} h_{d-1} + \dots + (d-2)h_1 + h_0 &\geq 0,
 \end{aligned}$$

$$\binom{2d-2}{d+1}h_d + \binom{2d-3}{d}h_{d-1} + \cdots + \binom{d-1}{2}h_1 + (d-2)h_0 \geq 0,$$

⋮

In the last section we consider sufficiency of the above condition in 2-dimensional case. We construct some Buchsbaum complexes which give lower bounds among the h -vectors of 3-dimensional Buchsbaum Stanley-Reisner rings with depth 2.

1. Preliminaries

We first fix notation. Let \mathbf{N} (resp. \mathbf{Z}) denote the set of nonnegative integers (resp. integers). For a real number a , we define

$$\lceil a \rceil = \min\{n \in \mathbf{Z} \mid n \geq a\},$$

$$\lfloor a \rfloor = \max\{n \in \mathbf{Z} \mid n \leq a\}.$$

Let $\#(S)$ denote the cardinality of a set S .

We recall some notation on simplicial complexes and Stanley-Reisner rings according to [Hi₂] and [St₁]. We refer the reader to, e.g., [Br-He], [Hi₁], [Ho] and [St₁] for the detailed information about combinatorial and algebraic background.

(1.1) A *simplicial complex* Δ on the *vertex set* $V = \{x_1, x_2, \dots, x_v\}$ is a collection of subsets of V such that (i) $\{x_i\} \in \Delta$ for every $1 \leq i \leq v$ and (ii) $\sigma \in \Delta, \tau \subset \sigma \Rightarrow \tau \in \Delta$. Each element σ of Δ is called a *face* of Δ . We call $\sigma \in \Delta$ *i -face* if $\#(\sigma) = i + 1$. We set $d = \max\{\#(\sigma) \mid \sigma \in \Delta\}$ and define the *dimension* of Δ to be $\dim \Delta = d - 1$. We say that Δ is *pure* if every maximal face has the same cardinality.

We say that a simplicial complex Δ is *spanned* by $\{\sigma_1, \dots, \sigma_s\}$ if $\Delta = 2^{\sigma_1} \cup \dots \cup 2^{\sigma_s}$, where 2^σ is the family of all subsets of σ .

Let $f_i = f_i(\Delta)$, $0 \leq i \leq d - 1$, denote the number of i -faces in Δ . We define $f_{-1} = 1$. We call $f(\Delta) = (f_0, f_1, \dots, f_{d-1})$ the *f -vector* of Δ . Define the *h -vector* $h(\Delta) = (h_0, h_1, \dots, h_d)$ of Δ by

$$\sum_{i=0}^d f_{i-1}(t-1)^{d-i} = \sum_{i=0}^d t^{d-i}.$$

If σ is a face of Δ , then we define a subcomplex $\text{link}_\Delta(\sigma)$ as follows:

$$\text{link}_\Delta(\sigma) = \{\tau \in \Delta \mid \sigma \cap \tau = \emptyset, \sigma \cup \tau \in \Delta\}.$$

Let $\tilde{H}_i(\Delta; k)$ denote the i -th *reduced simplicial homology group* of Δ with the coefficient field k . Note that $\tilde{H}_{-1}(\Delta; k) = 0$ if $\Delta \neq \{\emptyset\}$ and

$$\tilde{H}_i(\{\emptyset\}; k) = \begin{cases} 0 & (i \geq 0) \\ k & (i = -1). \end{cases}$$

(1.2) Let $R = k[x_1, x_2, \dots, x_v]$ be the polynomial ring in v -variables over a field k . Here, we identify each $x_i \in V$ with the indeterminate x_i of R . Define I_Δ to be the ideal of R which is generated by square-free monomials $x_{i_1}x_{i_2}\cdots x_{i_r}$, $1 \leq i_1 < i_2 < \cdots < i_r \leq v$, with $\{x_{i_1}, x_{i_2}, \dots, x_{i_r}\} \notin \Delta$. We say that the quotient algebra $k[\Delta] := R/I_\Delta$ is the *Stanley-Reisner ring* of Δ over k . We consider $k[\Delta]$ as the graded algebra $k[\Delta] = \bigoplus_{n \geq 0} k[\Delta]_n$ with the standard grading, i.e., each $\deg x_i = 1$.

Let k be a field and A a noetherian graded k -algebra with $A_0 = k$. The *Hilbert series* of A is defined by

$$F(A, t) = \sum_{n \geq 0} (\dim_k A_n) t^n,$$

where $\dim_k A_n$ denotes the dimension of A_n as a k -vector space. When A is generated by A_1 as a k -algebra, it is well known that the Hilbert series $F(A, t)$ of A can be written in the form

$$F(A, t) = \frac{h_0 + h_1 t + \cdots + h_s t^s}{(1-t)^{\dim A}},$$

where $h_0 (= 1)$, h_1, \dots, h_s are integers with $h_s \neq 0$. The vector $h(A) = (h_0, h_1, \dots, h_s)$ is called the *h-vector* of A .

The Hilbert series $F(k[\Delta], t)$ of a Stanley-Reisner ring $k[\Delta]$ can be written as follows:

$$\begin{aligned} F(k[\Delta], t) &= 1 + \sum_{i=1}^{d-1} \frac{f_i t^{i+1}}{(1-t)^{i+1}} \\ &= \frac{h_0 + h_1 t + \cdots + h_d t^d}{(1-t)^d}, \end{aligned}$$

where $\dim \Delta = d-1$, $(f_0, f_1, \dots, f_{d-1})$ is the *f-vector* of Δ , and (h_0, h_1, \dots, h_d) is the *h-vector* of Δ .

(1.3) A simplicial complex Δ is called *Buchsbaum* over a field k if it satisfies one of the following equivalent conditions:

- (1) The Stanley-Reisner ring $k[\Delta]$ of Δ is Buchsbaum.
- (2) (a) For every $\sigma (\neq \emptyset) \in \Delta$, and for every $i < \dim \text{link}_\Delta(\sigma)$,
 $\tilde{H}_i(\text{link}_\Delta(\sigma); k) = 0$
- (b) Δ is pure.

See Stückrad-Vogel [St-Vo] for detailed information on Buchsbaum complexes.

2. H-vectors of Buchsbaum complexes

We give a necessary condition for h -vectors of Buchsbaum complexes.

Theorem 2.1 *Let Δ be a $(d - 1)$ -dimensional Buchsbaum complex over a field, where $d \geq 2$, and $h(\Delta) = (h_0, h_1, \dots, h_d)$ its h -vector. Then we have the following inequalities :*

$$\begin{aligned}
 &dh_d + h_{d-1} \geq 0, \\
 &\binom{d}{2}h_d + (d - 1)h_{d-1} + h_{d-2} \geq 0, \\
 &\binom{d}{3}h_d + \binom{d - 1}{2}h_{d-1} + (d - 2)h_{d-2} + h_{d-3} \geq 0, \\
 &\binom{d + 1}{4}h_d + \binom{d}{3}h_{d-1} + \binom{d - 1}{2}h_{d-2} + (d - 2)h_{d-3} + h_{d-4} \geq 0, \\
 &\quad \vdots \\
 &\binom{2d - 3}{d}h_d + \binom{2d - 4}{d - 1}h_{d-1} + \dots + (d - 2)h_1 + h_0 \geq 0, \\
 &\binom{2d - 2}{d + 1}h_d + \binom{2d - 3}{d}h_{d-1} + \dots + \binom{d - 1}{2}h_1 + (d - 2)h_0 \geq 0, \\
 &\quad \vdots
 \end{aligned}$$

Proof. We may assume $\sharp(k) = \infty$. Let $e = \text{depth } k[\Delta]$ and let $H_{\mathfrak{m}}^i(k[\Delta])$ be the i -th local cohomology of $k[\Delta]$ with respect to the graded maximal ideal \mathfrak{m} . By [St₁, Theorem 6.4] we have

$$\begin{aligned}
\sum_{i=e}^d (-1)^i F(H_{\mathbf{m}}^i(k[\Delta]), t) &= F(k[\Delta], t)_{\infty} \\
&= \left(\frac{h_0 + h_1 t + \cdots + h_d t^d}{(1-t)^d} \right)_{\infty} \\
&= \frac{h_d + h_{d-1} t^{-1} + \cdots + h_0 t^{-d}}{(-1)^d (1-t^{-1})^d} \\
&= (-1)^d (h_d + h_{d-1} t^{-1} + \cdots + h_0 t^{-d}) \\
&\quad \left(1 + dt^{-1} + \binom{d+1}{2} t^{-2} + \cdots \right),
\end{aligned}$$

where $F(k[\Delta], t)_{\infty}$ signifies that $F(k[\Delta], t)$ is to be expanded as a Laurent series around ∞ . Since Δ is Buchsbaum, we have

$$F(H_{\mathbf{m}}^i(k[\Delta]), t) = \dim_k(H_{\mathbf{m}}^i(k[\Delta]))_0.$$

for $i < d$. Hence we have

$$\begin{aligned}
F(H_{\mathbf{m}}^d(k[\Delta]), t) &= a + (dh_d + h_{d-1})t^{-1} \\
&\quad + \left(\binom{d+1}{2} h_d + dh_{d-1} + h_{d-2} \right) t^{-2} + \cdots,
\end{aligned}$$

for some $a \in \mathbf{Z}$. Therefore we have

$$dh_d + h_{d-1} = \dim_k(H_{\mathbf{m}}^d(k[\Delta]))_{-1} \geq 0,$$

which is the first inequality.

Let $K_{k[\Delta]}$ be the canonical module of $k[\Delta]$. Then

$$\begin{aligned}
F(K_{k[\Delta]}, t) &= a + (dh_d + h_{d-1})t^1 \\
&\quad + \left(\binom{d+1}{2} h_d + dh_{d-1} + h_{d-2} \right) t^2 + \cdots.
\end{aligned}$$

By [Sch, Lemma 3.1.1] we have $\text{depth } K_{k[\Delta]} \geq 2$. Hence there exist $x, y \in (k[\Delta])_1$ such that x, y is a $K_{k[\Delta]}$ -sequence. Hence we can write

$$\begin{aligned}
F(K_{k[\Delta]}/xK_{k[\Delta]}, t) &= a + bt \\
&\quad + \left(\binom{d}{2} h_d + (d-1)h_{d-1} + h_{d-2} \right) t^2 \\
&\quad + \cdots.
\end{aligned}$$

for some $b \in \mathbf{Z}$. Hence we have

$$\binom{d}{2}h_d + (d - 1)h_{d-1} + h_{d-2} \geq 0,$$

which is the second inequality.

Similarly as above, we have

$$\begin{aligned} F(K_{k[\Delta]}/(x, y)K_{k[\Delta]}, t) &= a + (b - a)t + ct^2 \\ &+ \left(\binom{d}{3}h_d + \binom{d-1}{2}h_{d-1} + (d-2)h_{d-2} + h_{d-3} \right) t^3 \\ &+ \dots \end{aligned}$$

for some $c \in \mathbf{Z}$. Then we have the remaining inequalities. □

The next proposition is essentially due to Schenzel.

Proposition 2.2 *Let Δ be a $(d - 1)$ -dimensional Buchsbaum complex, where $d \geq 2$, and $h(\Delta) = (h_0, h_1, \dots, h_d)$ its h -vector. We put $\text{depth } k[\Delta] = e$. Then (h_0, h_1, \dots, h_e) is an O-sequence. In particular, we have $h_i \geq 0$ for $0 \leq i \leq e$.*

Proof. We may assume $\sharp(k) = \infty$. Let y_1, y_2, \dots, y_d be a homogeneous system of parameters in $k[\Delta]_1$. By [Sch₂, Theorem 4.3], we have

$$F(k[\Delta]/(y_1, \dots, y_d), t) = g_0 + g_1t + \dots + g_d t^d,$$

where

$$g_j = h_j + \binom{d}{j} \sum_{i=0}^{j-1} (-1)^{j-i-1} \dim_k(H_{\mathfrak{m}}^i(k[\Delta]))_0,$$

for $0 \leq j \leq d$.

Note that $\text{depth } k[\Delta] = e$ implies $H_{\mathfrak{m}}^i(k[\Delta]) = 0$ for $i < e$. Then we have $h_j = g_j \geq 0$ for $j \leq e$. □

Then we conjecture the following:

Conjecture 2.3 Let $h = (h_0, h_1, \dots, h_d)$ be an integer sequence, where $d \geq 2$, and let k be a field. Then the following conditions are equivalent:

- (1) There exists $(d - 1)$ -dimensional Buchsbaum complex with $\dim k[\Delta] - \text{depth } k[\Delta] \leq 1$ such that $h = h(\Delta)$.
- (2) $(h_0, h_1, \dots, h_{d-1})$ is an O-sequence and $-\frac{1}{d}h_{d-1} \leq h_d \leq h_{d-1}^{<d-1>}$ holds.

Remark 2.4.

(1) Conjecture 2.3 holds in the case of $d = 2$. In fact, a 1-dimensional complex Δ is Buchsbaum if and only if Δ is pure. And the 1-dimensional simplicial complexes Δ always satisfy the condition $\dim k[\Delta] - \text{depth } k[\Delta] \leq 1$. The f-vectors of 1-dimensional pure complexes can be characterized by the conditions $f_0 \geq 0$ and $\frac{f_0}{2} \leq f_1 \leq \binom{f_0}{2}$, which is equivalent to the condition (2) in Conjecture 2.3.

(2) In Conjecture 2.3, (1) \Rightarrow (2) always holds by Theorem 2.1.

3. 2-dimensional Buchsbaum complexes

In this section, we consider the case of $d = 3$. Let $h = (h_0, h_1, h_2, h_3)$ be the h-vector of a 2-dimensional Buchsbaum complex. Suppose h_3 is negative and we put $h_3 = -n$, where $n > 0$. Then we have $h_2 > 0$ by Theorem 2.1. Since $h_1 = \binom{h_1}{1}$, we have $\binom{h_1+1}{2} = h_1^{<1>} \geq h_2 \geq 3n$. Therefore $h_1^2 + h_1 - 6n \geq 0$. We have $h_1 \geq \frac{-1 + \sqrt{24n+1}}{2}$.

Definition 3.1 Let n be a natural number. We call the sequence

$$\left(1, \left\lceil \frac{-1 + \sqrt{24n+1}}{2} \right\rceil, 3n, -n\right)$$

a lower bound sequence.

The following question is a special case of Conjecture 2.3.

Question 3.2 Are all lower bound sequences the h-vectors of Buchsbaum complexes?

We construct some 2-dimensional Buchsbaum complexes whose h-vectors are lower bound sequences. For simplicity we fix the vertex set $V = \{1, 2, \dots, v\}$, where $v > 3$.

Theorem 3.3 Let Δ be the simplicial complex which is spanned by

$$S = \left\{ \{a, b, a+b\} \mid 1 \leq a < b, a+b \leq v \right\} \\ \cup \left\{ \{a, b, c\} \mid 1 \leq a < b < c \leq v, a+b+c = 2v+1 \right\}.$$

If $2v+1$ is a prime number, then Δ is Buchsbaum and

$$h(\Delta) = \left(1, v-3, \frac{(v-2)(v-3)}{2}, -\frac{(v-2)(v-3)}{6}\right).$$

Corollary 3.4 *Let $v > 3$ be an integer such that $2v + 1$ is a prime number. Then lower bound sequences*

$$\left(1, v - 3, \frac{(v - 2)(v - 3)}{2}, -\frac{(v - 2)(v - 3)}{6}\right)$$

are the h -vectors of Buchsbaum complexes.

Corollary 3.5 *There exist infinite number of lower bound sequences which are the h -vectors of Buchsbaum complexes.*

To prove Theorem 3.3 we prepare the following lemma.

Lemma 3.6

$$\#(S) = \frac{v(v - 2)}{3}.$$

Proof. For a fixed i we define

$$S_i = \{\{i, j, l\} \in S \mid i < j < l\}$$

For $i < \frac{v}{2}$ we have

$$\begin{aligned} S_i = & \{\{i, i + 1, 2i + 1\}, \{i, i + 2, 2i + 2\}, \dots, \{i, v - i, v\}\} \\ & \cup \{\{i, v - i + 1, v\}, \{i, v - i + 2, v - 1\}, \\ & \dots, \{i, v - \left\lfloor \frac{i}{2} \right\rfloor, v - \left\lfloor \frac{i}{2} \right\rfloor + 1\}\}. \end{aligned}$$

Therefore we have

$$\#(S_i) = v - 2i + \left\lfloor \frac{i}{2} \right\rfloor.$$

For $i \geq \frac{v}{2}$ with $S_i \neq \emptyset$ we have

$$\begin{aligned} S_i = & \{\{i, i + 1, 2v - 2i\}, \{i, i + 2, 2v - 2i - 1\}, \\ & \dots, \{i, v - \left\lfloor \frac{i}{2} \right\rfloor, v - \left\lfloor \frac{i}{2} \right\rfloor + 1\}\}. \end{aligned}$$

Therefore we have

$$\#(S_i) = 2v - 2i - \left(v - \left\lfloor \frac{i}{2} \right\rfloor\right) = v - 2i + \left\lfloor \frac{i}{2} \right\rfloor.$$

Then

$$\sharp(S) = \sum_{\substack{i \geq 1 \\ v-2i + \lfloor \frac{i}{2} \rfloor > 0}} \sharp(S_i) = \sum_{\substack{i \geq 1 \\ v-2i + \lfloor \frac{i}{2} \rfloor > 0}} (v - 2i + \lfloor \frac{i}{2} \rfloor).$$

Since $2v + 1$ is prime, $v \equiv 0, 2 \pmod{3}$. First suppose $3|v$.

$$\begin{aligned} \sharp(S) &= (v - 2) + (v - 3) + (v - 5) + \dots + 4 + 3 + 1 \\ &= \sum_{i=0}^{\frac{v}{3}-1} \{(3i + 1) + 3i\} \\ &= \frac{v(v - 2)}{3}. \end{aligned}$$

Next suppose $3|(v - 2)$.

$$\begin{aligned} \sharp(S) &= (v - 2) + (v - 3) + (v - 5) + \dots + 5 + 3 + 2 \\ &= \sum_{i=0}^{\frac{v-2}{3}} \{3i + (3i - 1)\} \\ &= \frac{v(v - 2)}{3}. \end{aligned}$$

□

Proof of Theorem 3.3. Note that $\{a, b\} \in \Delta$ for $1 \leq a < b \leq v$. In fact, if $a + b \leq v$, then $\{a, b, a + b\} \in \Delta$. If $a + b \geq v + 1$ and $b \neq 2a$, then $\{b - a, a, b\} \in \Delta$. If $a + b \geq v + 1$ and $b = 2a$, then $\{a, b, (2v + 1) - 3a\} \in \Delta$.

By Lemma 3.6 we have

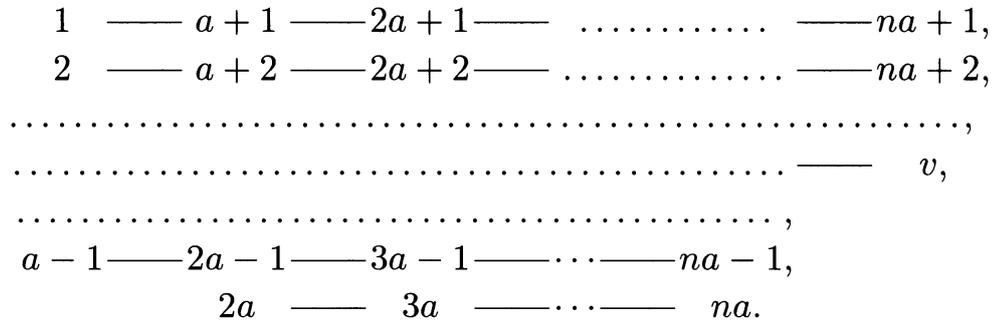
$$f(\Delta) = \left(v, \frac{v(v - 1)}{2}, \frac{v(v - 2)}{3} \right),$$

and

$$h(\Delta) = \left(1, v - 3, \frac{(v - 2)(v - 3)}{2}, -\frac{(v - 2)(v - 3)}{6} \right).$$

We must prove that Δ is Buchsbaum. We have only to show that $\text{link}_{\Delta}(\{a\})$ is connected for $1 \leq a \leq v$. First we assume that $a \leq \frac{v}{2}$ and

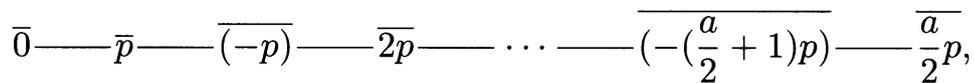
that a is even. Then there exist paths in $\text{link}_\Delta(\{a\})$ as below:



Next we join two points by arcs as follows: For left end-points, we connect couples of numbers whose sums are a . For right end-points, we connect couples of numbers whose sums are $(2v + 1) - a$. We claim that it becomes a segment. Hence it is connected. Put $p = 2v + 1$. Since p and a are coprime, we have

$$\mathbf{Z}/a\mathbf{Z} = \{0, \pm p, \pm 2p, \dots, \pm(\frac{a}{2} - 1)p, \frac{a}{2}p\}.$$

Hence the above link is as follows:



where \overline{lp} stands for

$$(m \text{---}) (a+m) \text{---} (2a+m) \text{---} \dots \text{---} \{(n-1)a+m\} \text{---} (na+m)$$

with $m \equiv lp \pmod{a}$. Then it is a segment. In the case that $a > \frac{v}{2}$ or a is odd, we can prove it by a similar fashion. □

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