

## A Note on Ando's Paper "Pluricanonical Systems of Algebraic Varieties of General Type of Dimension $\leq 5$ "

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### §1. Introduction.

Let  $X$  be a non-singular projective variety of dimension  $n$  over an algebraically closed field  $k$  of characteristic zero.

DEFINITION. A Cartier divisor  $T$  is called *numerically trivial* if  $(T, C)_X = 0$  for every curve  $C$  on  $X$ . A Cartier divisor  $D$  is called *nef* if  $(D, C)_X \geq 0$  for every curve  $C$  on  $X$ .

Ando [1] has shown the following results:

1) Assume that the canonical divisor  $K_X$  is nef and big, and that  $n = 4, 5$ . Then there exists a positive integer  $m(n)$  depending only on  $\dim X$  such that the rational map  $\Phi_{|mK_X|}$  associated with  $|mK_X|$  is a birational map onto its image for every  $m \geq m(n)$ . Here  $m(n)$  is given as follows:

$$m(4) = 16, \quad m(5) = 29.$$

2) Assume that  $-K_X$  is nef and big, and that  $n \leq 4$ . Then  $\Phi_{|-mK_X|}$  is birational for  $m \geq l(n)$ , where  $l(n)$  is given by  $l(2) = 3, l(3) = 5, l(4) = 12$ .

We now improve Ando's argument by using Reider's result [8] and Matsuki's argument [5], and show the following result:

MAIN THEOREM. (1) Assume that  $K_X$  is nef and big and that  $n = 4, 5$ . Then  $\Phi_{|mK_X|}$  is birational for  $m \geq m(n)$ , where  $m(n)$  is given by  $m(4) = 12, m(5) = 18$ .

(2) Assume that  $K_X$  is numerically trivial and that  $n = 3, 4, 5$ . Let  $D$  be a nef and big divisor on  $X$ . Then  $\Phi_{|mD|}$  is birational for  $m \geq k(n)$ , where  $k(n)$  is given by  $k(3) = 6, k(4) = 10, k(5) = 17$ .

(3) Assume that  $-K_X$  is nef and big and that  $n = 3, 4$ . Then  $\Phi_{|-mK_X|}$  is birational for  $m \geq l(n)$ , where  $l(n)$  is given by  $l(3) = 4, l(4) = 11$ .

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In Section 4, we present a function  $m(n)$  for  $n \geq 8$ .

We use the notation of Ando [1].

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## §2. Key Lemma.

Improving Ando's argument [1, Theorem 5] by using Reider's result [8] and Matsuki's argument [5, Corollary 9], we obtain the following "Key Lemma".

**KEY LEMMA.** *Let  $X$  be a non-singular projective variety of dimension  $n$ ,  $R$  a nef and big divisor and  $T$  a numerically trivial divisor. We assume:*

(1) *For each  $i$  with  $1 \leq i \leq n-2$ , there exists a natural number  $r_i$  such that  $\dim \Phi_{|r_i R|}(X) \geq i$ .*

(2) *there exists an integer  $r_0 \geq 4$  such that every integer  $r \geq r_0$  satisfies  $H^0(X, rR + K_X + T) \neq 0$ .*

*Then  $\Phi_{|K_X + mR + T|}$  is birational for all  $m \geq r_0 + (r_1 + \cdots + r_{n-2})$ .*

**LEMMA 1** (See Tankeev [9, Lemma 2]). *Let  $\mathcal{M}$  be a linear pencil free from base points, and let  $D$  be an effective divisor. Let  $M$  be a divisor with  $M \in \mathcal{M}$ . If, for a general member  $Y$  of  $\mathcal{M}$ , the rational map  $\Phi := \Phi_{|M+D|}$  is birational on  $Y$ , then  $\Phi$  is birational.*

**PROOF.** Assuming that  $\Phi$  is not birational, we shall derive a contradiction. We may assume that  $\text{Supp}(D)$  does not include  $Y$ . Let  $U = X - \text{Supp}(D)$  and choose a general point  $x \in U \cap Y$ . There exists a point  $y \in U$  such that  $y \neq x$  and  $\Phi(x) = \Phi(y)$ . Since  $|M|$  is base point free,  $x$  and  $y$  belong to the same effective divisor of  $|M+D|$ . So  $x, y \in \text{Supp}(Y+D)$ . Thus  $y \in Y$ . Thus  $\Phi$  is not birational on  $Y$ . This is a contradiction.

Q.E.D.

**LEMMA 2** (Reider [8, Corollary 2]). *Let  $S$  be a non-singular projective surface and  $L$  a nef and big divisor on  $S$  such that  $(L^2) \geq 10$ . If  $\Phi_{|K_S + L|}$  is not birational, then  $S$  contains a base point free pencil  $E'$  with  $(L, E') = 1$  or  $(L, E') = 2$ .*

**PROOF OF KEY LEMMA.** We prove this by induction on  $n$ . We put  $m \geq r_0 + (r_1 + \cdots + r_{n-2})$ . If  $n = 2$ , the result follows from Lemma 2.

We assume  $n \geq 3$ . Let  $\mathcal{L}$  be a subpencil of the complete linear system  $|r_1 R|$ . We consider the following commutative diagram:

$$\begin{array}{ccc}
 X' & \xrightarrow{h} & W' \\
 f \downarrow & \searrow g & \downarrow s \\
 X & \xrightarrow{\Phi_{\mathcal{L}}} & P^1
 \end{array}$$

where  $f$  is a succession of blowing-ups with non-singular centers such that  $g := \Phi_{\mathcal{L}} \circ f$  is a morphism, and  $g = s \circ h$  is the Stein factorization.

Let  $R'$  be  $f^*R$ ,  $S$  be a general fiber of  $h$ ,  $H$  be a general point on  $P^1$ , and  $a := \deg(s)$ . Then  $S$  is a smooth  $(n-1)$ -fold. Note that  $g^*H$  is a disjoint union of  $S_i$ 's ( $1 \leq i \leq a$ ), each of which is of the same kind as  $S$ . In order to prove that the rational map  $\Phi_{|K_X + mR + T|}$  is birational, it suffices to show that  $\Phi_{|K_{X'} + g^*H + (m-r_1)R' + f^*T|}$  is birational.

Since

$$\begin{aligned} 0 &\longrightarrow \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T) \\ &\longrightarrow \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T + g^*H) \\ &\longrightarrow \bigoplus_{j=1}^a \mathcal{O}_{S_j}(K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}) \longrightarrow 0 \end{aligned}$$

is exact, and since  $H^1(X', K_{X'} + (m-r_1)R' + f^*T) = 0$  by the Kawamata-Viehweg vanishing theorem ([3], [10]), we have that

$$\begin{aligned} H^0(X', \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T + g^*H)) \\ \longrightarrow \bigoplus_{j=1}^a H^0(S_j, \mathcal{O}_{S_j}(K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j})) \end{aligned}$$

is surjective. Therefore in order to prove the claim, it suffices to show that  $\Phi_{|K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}|}$  is birational. Actually by (2) we have  $H^0(X', K_{X'} + (m-r_1)R' + f^*T) \neq 0$ , hence we can apply Lemma 1.

Letting  $r_0'' := r_0$ ,  $r_1'' := r_2$ ,  $\dots$ ,  $r_{n-3}'' := r_{n-2}$ , we shall check that  $S_j$ ,  $R'|_{S_j}$ ,  $f^*T|_{S_j}$ ,  $r_1''$ ,  $\dots$ ,  $r_{n-3}''$  and  $r_0''$  satisfy the conditions (1) and (2). If this is done, then by induction, we conclude that  $\Phi_{|K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}|}$  is birational and complete the proof of the claim.

(1) Since  $H$  is general,

$$\dim \Phi_{|r_i' R'|_{S_j}|}(S_j) \geq \dim \Phi_{|r_{i+1} R'|}(X') - 1 \geq i \quad \text{for } i \geq 1.$$

(2) Let  $r \geq r_0$ . By assumption,  $|rR' + K_{X'} + f^*T| \neq \emptyset$ . Since  $S_j$  is a fiber of  $h$ ,  $S_j|_{S_j}$  is linearly equivalent to 0. So  $K_{X'}|_{S_j}$  is linearly equivalent to  $K_{S_j}$ . Since  $H$  is general,  $|rR'|_{S_j} + K_{S_j} + f^*T|_{S_j}| \neq \emptyset$ . Q.E.D.

### §3. Proof of Main Theorem.

**PROPOSITION** (Matsusaka [6], Maehara [4]). *Let  $R$  be a nef and big divisor and  $\dim X = n$ . If  $h^0(mR) > m^n R^n + r$ , then  $\dim \Phi_{|mR|}(X) > r$ .*

**MIYAOKA'S INEQUALITY** ([7]). *Let  $X$  be a non-singular projective variety with  $K_X$  nef. Then  $3c_2(X) - K_X^2$  is pseudo-effective.*

**LEMMA A** (Ando [1, Lemma 7]). *Assume  $\dim X = 4$  and suppose that  $K_X$  is nef and big. Then*

(1)  $h^0(X, mK_X) \geq 2$ , for  $m \geq 3$ .

(2)  $\dim \Phi_{|mK_X|}(X) \geq 2$ , for  $m \geq 4$ .

LEMMA B (Ando [1, Lemma 8']). Assume  $\dim X = 5$  and suppose that  $K_X$  is nef and big. Then

- (1)  $h^0(X, mK_X) \geq 2$ , if  $m \geq 3$ .
- (2)  $\dim \Phi_{|mK_X|}(X) \geq 2$ , if  $m \geq 4$ .
- (3)  $\dim \Phi_{|mK_X|}(X) \geq 3$ , if  $m \geq 6$ .

PROOF. Let  $a = K^5$ ,  $b = (K^3, c_2(X))/12$ ,  $c = -2\chi(\mathcal{O}_X)$ . Let  $P(m) := h^0(mK_X)$ . Then

$$P(m) = m(m-1)(2m-1)(3m^2-3m-1)a/720 \\ + m(m-1)(2m-1)b/12 + (2m-1)c/2 \quad \text{for } m \geq 2.$$

Miyaoka's inequality implies  $b \geq a/36$ . Since  $P(2) \geq 0$ , it follows that  $a/24 + b/2 + 3c/2 \geq 0$ . Thus

$$(*) \quad P(m) \geq (2m-1)\{(3m^4-6m^3+2m^2+m-10)a/720 + (m^2-m-2)b/12\} \\ \geq a(2m-1)(9m^4-18m^3+11m^2-2m-40)/2160.$$

Let  $Q(m) := a(2m-1)(9m^4-18m^3+11m^2-2m-40)/2160$ . Then  $P(m) \geq Q(m)$ . Note that  $a$  is a positive even integer, because  $7a/2 + 35\chi(\mathcal{O}_X) = P(4) - 14P(2) \in \mathbb{Z}$ . The proof is completed in view of the following inequalities in the following cases. (Use the above proposition.)

- (1)  $P(m) \geq 2$  for  $m \geq 3$ , because by  $(*)$   $P(m) \geq Q(3) > 0.6a$ .
- (2)  $P(m) > ma + 1$  for  $m \geq 5$ , because by  $(*)$   $P(m) - (ma + 1) \geq Q(5) - (5a + 1) = 10a - 1$ .  $P(4) - (4a + 1) \geq Q(4) - 4a - 1 > 0.14a - 1$ . Thus  $P(4) - (4a + 1) > 0$ , if  $a \geq 8$ .  
If  $a = 2, 4$  or  $6$ , then  $(K^3, c_2) \geq 18$ , because  $a/24 + (K^3, c_2)/24 - 3\chi(\mathcal{O}_X) = P(2) \in \mathbb{Z}$ . Thus  $b \geq 3/2$ .  $P(4) - (4a + 1) > (3.9a + 35b/6) - (4a + 1) \geq (3.9a + 8.75) - (4a + 1) = -0.1a + 7.75 > 0$ .
- (3)  $P(m) > m^2a + 2$  for  $m \geq 6$ , because by  $(*)$   $P(m) - (m^2a + 2) \geq Q(6) - (36a + 2) > 5.3a - 2$ .  
Q.E.D.

LEMMA C. Assume  $\dim X = 3$ , and that  $K_X$  is numerically trivial. Let  $D$  be a nef and big divisor on  $X$ . Then

$$\dim \Phi_{|mD|}(X) \geq 1 \quad \text{if } m \geq 2.$$

PROOF.  $h^0(mD) = \chi(mD) = m^3D^3/6 + m(D, c_2)/12$  for  $m \geq 1$ . Miyaoka's inequality implies  $(D, c_2) \geq 0$ . Thus  $h^0(mD) \geq m^3D^3/6$  for  $m \geq 1$ .  
Q.E.D.

LEMMA D. Assume  $\dim X = 4$ , and that  $K_X$  is numerically trivial. Let  $D$  be a nef and big divisor on  $X$ . Then

$$\dim \Phi_{|mD|}(X) \geq 2 \quad \text{if } m \geq 3.$$

PROOF. Let  $a = (D^2, c_2)$ ,  $b = \chi(\mathcal{O}_X)$ . Let  $P(m) := h^0(mD)$ . Then  $P(m) = m^4D^4/24 + m^2a/24 + b$ . Miyaoka's inequality implies  $a \geq 0$ . Since  $P(1) \geq 0$ ,  $D^4/24 + a/24 + b \geq 0$ . Thus

$P(m) \geq (m^4 - 1)D^4/24 + (m^2 - 1)a/24 \geq (m^4 - 1)D^4/24$ . The proof is completed in view of the following inequalities.

$P(m) - (mD^4 + 1) \geq (4^4 - 1)D^4/24 - (4D^4 + 1) > 6.6D^4 - 1 > 0$  for  $m \geq 4$ . If  $D^4 \geq 4$ ,  $P(3) - (3D^4 + 1) \geq 4/3 - 1 > 0$ .

If  $D^4 = 1, 2$ , or  $3$ , then  $a \geq 21$ , because  $D^4/24 + a/24 + b = P(1) \in \mathbb{Z}$ . Thus  $P(3) \geq (3^4 - 1)D^4/24 + (3^2 - 1)a/24 \geq 80/24 + 21/3 > 10 \geq 3D^4 + 1$ . Q.E.D.

LEMMA E. Assume  $\dim X = 5$ , and that  $K_X$  is numerically trivial. Let  $D$  be a nef and big divisor on  $X$ . Then

- (1)  $\dim \Phi_{|mD|}(X) \geq 1$  if  $m \geq 3$ .
- (2)  $\dim \Phi_{|mD|}(X) \geq 2$  if  $m \geq 4$ .
- (3)  $\dim \Phi_{|mD|}(X) \geq 3$  if  $m \geq 6$ .

PROOF. Let  $a = D^5$ ,  $b = (D^3, c_2)$ ,  $c = (D, 3c_2^2 - c_4)$ . Let  $P(m) := h^0(mD)$ . Then,  $P(m) = am^5/120 + bm^3/72 + cm/720$ . Miyaoka's inequality implies  $b \geq 0$ . Since  $P(1) \geq 0$ , it follows that  $a/120 + b/72 + c/720 \geq 0$ . Thus

$$(*) \quad P(m) \geq am(m^4 - 1)/120 + bm(m^2 - 1)/72 \geq am(m^4 - 1)/120.$$

Let  $Q(m) := am(m^4 - 1)/120$ . Then  $P(m) \geq Q(m)$ . The proof is completed in view of the following inequalities in the following cases.

- (1)  $P(m) \geq 2$  for  $m \geq 3$ , because  $P(m) \geq Q(3) = 2a \geq 2$  by (\*).
- (2)  $P(m) > am + 1$  for  $m \geq 4$ , because  $P(m) - (am + 1) \geq Q(4) - (4a + 1) = 4.5a - 1 > 0$  by (\*).
- (3)  $P(m) > am^2 + 2$  for  $m \geq 6$ , because  $P(m) - (am^2 + 2) \geq Q(6) - (36a + 2) = 28.75a - 2 > 0$  by (\*). Q.E.D.

LEMMA F (Ando [1, Proof of Theorem 9]). Assume  $\dim X = 3$  and suppose that  $-K_X$  is nef and big. Then

$$h^0(X, -mK_X) \geq 2, \quad \text{for } m \geq 1.$$

LEMMA G (Ando [1, Proof of Theorem 9]). Assume  $\dim X = 4$  and suppose that  $-K_X$  is nef and big. Then

- (1)  $h^0(X, -mK_X) \geq 1$ , for  $m \geq 3$ .
- (2)  $\dim \Phi_{|-4K_X|}(X) \geq 2$ .

PROOF OF MAIN THEOREM. (1) Assume that  $K_X$  is nef and big. We apply Key Lemma, where  $R = K_X$  and  $T = 0$ .

When  $\dim X = 4$ , by Lemma A we put  $r_0 = 4$ ,  $r_1 = 3$ ,  $r_2 = 4$ .

When  $\dim X = 5$ , by Lemma B we put  $r_0 = 4$ ,  $r_1 = 3$ ,  $r_2 = 4$ ,  $r_3 = 6$ .

(2) Assume that  $K_X$  is numerically trivial. Let  $D$  be a nef and big divisor on  $X$ . We apply Key Lemma, where  $R = D$  and  $T = -K_X$ .

When  $\dim X = 3$ , by Lemma C we put  $r_0 = 4$ ,  $r_1 = 2$ .

When  $\dim X = 4$ , by Lemma D we put  $r_0 = 4$ ,  $r_1 = 3$ ,  $r_2 = 3$ .

When  $\dim X = 5$ , by Lemma E we put  $r_0 = 4, r_1 = 3, r_2 = 4, r_3 = 6$ .

(3) Assume that  $-K_X$  is nef and big. We apply Key Lemma, where  $R = -K_X$  and  $T = 0$ .

When  $\dim X = 3$ , by Lemma F we put  $r_0 = 4, r_1 = 1$ .

When  $\dim X = 4$ , by Lemma G we put  $r_0 = 4, r_1 = 4, r_2 = 4$ .

Q.E.D.

REMARK. THEOREM (Matsuki [5]): Assume  $\dim X = 3$  and that  $K_X$  is nef and big. Then  $\Phi_{|mK_X|}$  is birational for  $m \geq 7$ .

PROOF. Let  $P(m) := h^0(X, mK_X) = (2m-1)\{m(m-1)K_X^3/12 - \chi(\mathcal{O}_X)\}$  for  $m \geq 2$ . By Miyaoka's inequality,  $\chi(\mathcal{O}_X) = -(K_X, c_2)/24 \leq -K_X^3/72 < 0$ . Thus  $P(m) > (2m-1)m \cdot (m-1)K_X^3/12 > 0$  for  $m \geq 2$ .  $P(2) > K_X^3/2$ .  $K_X^3$  is a positive even integer, because  $-K_X^3/2 + 2\chi(\mathcal{O}_X) = \chi(\mathcal{O}_X(K_X)) + \chi(\mathcal{O}_X(-K_X)) \in \mathbb{Z}$ . Thus  $P(2) \geq 2$ . We apply Key Lemma, where  $R = K_X$  and  $T = 0$ . We put  $r_0 = 4, r_1 = 2$ .

Q.E.D.

#### §4. Appendix (based on Ando's idea).

LEMMA 3 (See Tankeev [9, Lemma 2]). Let  $\mathcal{M}$  be a linear pencil free from base points, and let  $D$  be an effective divisor. Let  $M$  be a member of  $\mathcal{M}$  and let  $\Phi$  be the rational map  $\Phi_{|M+D|}$ . Let  $p$  be a natural number. If, for a general member  $Y$  of  $\mathcal{M}$ ,  $\dim \Phi|_Y(Y) \geq p$ , then  $\dim \Phi(X) \geq p+1$ .

PROOF. Assuming that  $\dim \Phi(X) = p$ , we shall derive a contradiction. We may assume that  $\text{Supp}(D)$  does not include any irreducible component of  $Y$ . Let  $E$  be an irreducible component of  $Y$  such that  $\dim \Phi|_E(E) = p$ . Let  $U = X - \text{Supp}(D)$  and choose a general point  $x \in U \cap E$ . Then  $\dim(\Phi|_U)^{-1}(\Phi(x)) = n-p$  and  $\dim(\Phi|_{U \cap Y})^{-1}(\Phi(x)) = n-1-p$ . Thus there exists a point  $y \in U - Y$  such that  $\Phi(x) = \Phi(y)$ . Since  $|M|$  is base point free,  $x$  and  $y$  belong to the same effective divisor of  $|M+D|$ . So  $x, y \in \text{Supp}(Y+D)$ . Thus  $y \in Y$ . This is a contradiction.

Q.E.D.

LEMMA 4 (based on Ando's idea). Let  $p$  be a natural number. Let  $X$  be a non-singular projective variety of dimension  $n \geq p$ ,  $R$  a nef and big divisor and  $T$  a numerically trivial divisor. We assume:

(1) For each  $i$  with  $1 \leq i \leq p-1$ , there exists a natural number  $r_i$  such that  $\dim \Phi_{|r_i R|}(X) \geq i$ .

(2) There exists an integer  $r'_0$  such that every integer  $r \geq r'_0$  satisfies  $H^0(X, rR + K_X + T) \neq 0$ .

(3) There exists an integer  $l$  such that every integer  $r \geq l$  satisfies  $H^0(X, rR) \neq 0$ . Then  $\dim \Phi_{|K_X + mR + T|}(X) \geq p$  for  $m \geq n-p+1+r'_0+l+(r_1+\cdots+r_{p-1})$ .

PROOF. We prove this by induction on  $p$ . We put  $m \geq n-p+1+r'_0+l+(r_1+\cdots+r_{p-1})$ .

Case  $p=1$ . We define a polynomial  $P(x)$  by  $P(r) = \chi(K_X + rR + T)$ . For  $r \in \mathbb{N}$ ,

$P(r) = h^0(X, K_X + rR + T)$ .  $P(r) \geq 1$  for  $r \in [r'_0, +\infty) \cap N$ .  $P(x)$  is a polynomial of degree  $n$ . Thus there exists an integer  $m_0 \in [r'_0, r'_0 + n]$  such that  $P(m_0) \geq 2$ . So  $h^0(K_X + mR + T) \geq 2$  for  $m \geq r'_0 + l + n (\geq m_0 + l)$ .

Case  $p \geq 2$ . Let  $\mathcal{L}$  be a subpencil of the complete linear system  $|r_1 R|$ . We consider the following commutative diagram:

$$\begin{array}{ccc} X' & \xrightarrow{h} & W' \\ f \downarrow & \searrow g & \downarrow s \\ X & \xrightarrow{\Phi_{\mathcal{L}}} & P^1 \end{array}$$

where  $f$  is a succession of blowing-ups with non-singular centers such that  $g := \Phi_{\mathcal{L}} \circ f$  is a morphism, and  $g = s \circ h$  is the Stein factorization.

Let  $R'$  be  $f^*R$ ,  $S$  be a general fiber of  $h$ ,  $H$  be a general point on  $P^1$ , and  $a := \deg(s)$ . Then  $S$  is a smooth  $(n-1)$ -fold. Note that  $g^*H$  is a disjoint union of  $S_i$ 's ( $1 \leq i \leq a$ ), each of which is of the same kind as  $S$ . In order to prove that  $\dim \Phi_{|K_X + mR + T|}(X) \geq p$ , it suffices to show that  $\dim \Phi_{|K_{X'} + g^*H + (m-r_1)R' + f^*T|}(X') \geq p$ .

Since

$$\begin{aligned} 0 &\longrightarrow \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T) \\ &\longrightarrow \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T + g^*H) \\ &\longrightarrow \bigoplus_{j=1}^a \mathcal{O}_{S_j}(K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}) \longrightarrow 0 \end{aligned}$$

is exact, and since  $H^1(X', K_{X'} + (m-r_1)R' + f^*T) = 0$  by the Kawamata-Viehweg vanishing theorem ([3], [10]), we have that

$$\begin{aligned} H^0(X', \mathcal{O}_{X'}(K_{X'} + (m-r_1)R' + f^*T + g^*H)) \\ \longrightarrow \bigoplus_{j=1}^a H^0(S_j, \mathcal{O}_{S_j}(K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j})) \end{aligned}$$

is surjective. Therefore in order to prove the claim, it suffices to show that  $\dim \Phi_{|K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}|}(S_j) \geq p-1$ . Actually by (2) we have  $H^0(X', K_{X'} + (m-r_1)R' + f^*T) \neq 0$ , hence we can apply Lemma 3.

Letting  $r''_0 := r'_0$ ,  $l'' := l$ ,  $r''_1 := r_2, \dots, r''_{p-2} := r_{p-1}$ , we shall check that  $S_j, R'|_{S_j}, f^*T|_{S_j}, r''_1, \dots, r''_{p-2}, r''_0$  and  $l''$  satisfy the condition (1), (2) and (3). If this is done, then by induction, we conclude that  $\dim \Phi_{|K_{S_j} + (m-r_1)R'|_{S_j} + f^*T|_{S_j}|}(S_j) \geq p-1$  and complete the proof of the claim.

(1) Since  $H$  is general,

$$\dim \Phi_{|r'_i R'|_{S_j}|}(S_j) \geq \dim \Phi_{|r_{i+1} R'|}(X') - 1 \geq i \quad \text{for } i \geq 1.$$

(2) Let  $r \geq r'_0$ . By assumption,  $|rR' + K_{X'} + f^*T| \neq \emptyset$ . Since  $S_j$  is a fiber of  $h$ ,  $S_j|_{S_j}$  is linearly equivalent to 0. So  $K_{X'}|_{S_j}$  is linearly equivalent to  $K_{S_j}$ . Since  $H$  is

general,  $|rR'|_{S_j} + K_{S_j} + f^*T|_{S_j} \neq \emptyset$ .

(3) Let  $r \geq l$ . By assumption,  $|rR'| \neq \emptyset$ . Since  $H$  is general,  $|rR'|_{S_j} \neq \emptyset$ . Q.E.D.

Lemma 5 (Ando [1, Proposition 2']). *If  $K_X$  is nef and big and  $n \geq 6$ , then  $|mK_X| \neq \emptyset$  for any  $m \geq 2[n/2] - 2$ .*

THEOREM. *Assume that  $K_X$  is nef and big and  $n \geq 6$ . Then  $\Phi_{|mK_X|}$  is birational for  $m \geq m(n)$ , where  $m(n)$  is given by*

$$\begin{aligned} m(6) &= 204, & m(7) &= 444, \\ m(n) &= 2^{n-2} \cdot (n + 4[n/2] - 5) - 2[n/2] + 1 & \text{for } n \geq 8. \end{aligned}$$

PROOF. We apply Lemma 4 and Key Lemma, where  $R = K_X$  and  $T = 0$ . By Lemma 5, we put  $r'_0 = 2[n/2] - 3$  and  $l = 2[n/2] - 2$ . By Lemma 4, we put

$$\begin{aligned} r_1 &= n + 1 + r'_0 + l, & r_2 &= n + r'_0 + l + r_1, & \cdots, & r_{n-1} &= n - (n-3) + r'_0 + l + r_1 + \cdots \\ & & & & & & + r_{n-2}, & r_n &= n - (n-2) + r'_0 + l + r_1 + \cdots + r_{n-1}. \end{aligned}$$

So  $r_p = 2^{p-1} \cdot (n + r'_0 + l) + 1$  for  $p \geq 1$ . Thus

$$\begin{aligned} 1 + r'_0 + (r_1 + r_2 + \cdots + r_{n-2}) &= 1 + r_{n-1} - l - 3 = 2^{n-2} \cdot (n + r'_0 + l) - l - 1 \\ &= 2^{n-2} \cdot (n + 4[n/2] - 5) - 2[n/2] + 1. \end{aligned}$$

When  $n = 6, 7$ , we put  $r_0 = r'_0 + 1 = 4$ . When  $n \geq 8$ , we put  $r_0 = r'_0$ . Then we put  $m(n) = 1 + r_0 + (r_1 + r_2 + \cdots + r_{n-2})$ . Q.E.D.

ACKNOWLEDGEMENT. Lemma 4 is based on Prof. Ando's letter to the author which tells him that the method of the proof of Key Lemma is useful to get good  $r_i$  ( $i \geq 1$ ). The author would like to express his gratitude to Prof. Ando for his advice.

## §5. Further appendix.

LEMMA 6. *If  $-K_X$  is nef and big, then  $|m(-K_X)| \neq \emptyset$  for any  $m \geq 2[n/2]$ .*

PROOF. We define a polynomial  $P(x)$  by  $P(m) = \chi(m(-K_X))$ . Let  $r$  be the number of integral roots of  $P(x)$  in  $x > -1/2$  counting the multiplicity precisely and  $\alpha = \max\{x \in \mathbb{Z} \mid x > -1/2, P(x) = 0\}$ . By the Serre duality,  $P(x) = (-1)^n P(-x-1)$ . Thus  $r \leq [n/2]$ . Since  $H^i(X, m(-K_X)) = 0$  for  $i \geq 1$  and  $m \geq 0$ , we have  $P(m) \geq 0$  for integers  $m \geq 0$ . By the same argument as in (I) in the proof of Proposition 2 of Ando's paper [1], we conclude that  $\alpha \leq 2r - 1$ . Q.E.D.

THEOREM. *Assume that  $-K_X$  is nef and big and  $n \geq 5$ . Then  $\Phi_{|-mK_X|}$  is birational for  $m \geq l(n)$ , where  $l(n)$  is given by*

$$l(n) = 2^{n-2} \cdot (n + 4[n/2] - 1) - 2[n/2] - 1.$$

PROOF. We apply Lemma 4 and Key Lemma, where  $R = -K_X$  and  $T = 0$ . By



Lemma 6, we put  $r'_0 = 2[n/2] + 1$  and  $l = 2[n/2]$ . By Lemma 4, we put  $r_p = n - p + r'_0 + l + r_1 + \cdots + r_{p-1}$  for  $p \geq 1$ . So  $r_p = 2^{p-1} \cdot (n + r'_0 + l - 2) + 1$  for  $p \geq 1$ . We put  $r_0 = r'_0$ . Thus

$$-1 + r_0 + (r_1 + r_2 + \cdots + r_{n-2}) = -1 + r_{n-1} - l - 1 = 2^{n-2} \cdot (n + 4[n/2] - 1) - 2[n/2] - 1.$$

Q.E.D.

REMARK. Oguiso proved the following result in his preprint "On polarized Calabi-Yau 3-folds":

*When  $X$  is Calabi-Yau 3-fold, for any ample divisor  $L$  on  $X$ ,  $\Phi_{|mL|}$  is birational if  $m \geq 5$ .*

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