# on complex analytic compactifications of $\ \ensuremath{\mathbb{C}}^3$

by

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Introduction. Let X be an n-dimensional connected compact complex manifold and A be an analytic subset of X. We say the pair (X,A) a complex analytic compactification of  $\mathbb{C}^n$  if X-A is biholomorphic to  $\mathbb{C}^n$ . If X admits a Kähler metric, we say the pair (X,A) a Kähler compactification of  $\mathbb{C}^n$ . Then, Hirzebruch (Problem 27 in [4]) proposed the following

Problem H. Determine all the compactifications of  $\mathbb{C}^n$  with the second Betti number  $b_2(X) = 1$ .

For n = 1, it is easy to see that  $(X,A) \cong (\mathbb{P}^1, \infty)$ . For n = 2, Remmert-Van de Ven [10] proved that  $(X,A) \cong (\mathbb{P}^2, \mathbb{P}^1)$ , where  $A = \mathbb{P}^1$ is a line on  $X = \mathbb{P}^2$ . For  $n \ge 3$ , Problem H is still open.

In the paper [2], the author considered the following special case of Problem H for n = 3.

Problem. Determine all the Kähler compactifications (X,A) of  $\mathbb{C}^3$  such that A has at most isolated singular points.

Then we have the following

<u>Theorem</u> 1 ([2]). (X,A) be a Kähler compactification of  $\mathbb{C}^3$ such that A has at most isolated singular points. Then, A is an irreducible normal divisor on X, the line bundle [A] defined by A is positive on X, and the canonical divisor Kx = -rA $(1 \le r \le 4)$ . Especially, X is a Fano 3-fold of index r with b<sub>2</sub>(X) = 1. The structure of (X,A) is determined by the index r as follow:

(1) 
$$r = 4 \Rightarrow (X, A) \cong (\mathbb{IP}^3, \mathbb{IP}^2)$$
, where  $A = \mathbb{IP}^2$  is a hyperplane on  $X = \mathbb{IP}^3$ .

(2) 
$$r = 3 \Rightarrow (X, A) \approx (Q^3, Q_0^2)$$
, where  $Q^3$  is a non-singular quadric hypersurface in  $\mathbb{P}^4$  and  $Q_0^2$  is a quadric cone which is a hyperplane section.

(3) 
$$r = 2 \Rightarrow (X, A) \approx (V_5, H_5)$$
, where  $V_5$  is a Fano 3-fold of  
degree 5 in  $\mathbb{IP}^6$  and  $H_5$  is a hyperplane section  
with a rational double point (A<sub>4</sub>-singularity).

(4) 
$$r = 1 \Rightarrow (X, A) \cong ?$$
. A is not a cone over a non-singular  
compact algebraic curve of genus  $g \ge 0$ .

Moreover,  $X - A \approx C^3$  in each case of  $r \ge 2$ .

In this paper, we shall consider the case of r = 1. Our main result is the following

<u>Theorem</u> 2. Let (X,A) be as in Theorem 1. Assume that the index r = 1. Then we have  $(X,A) \cong (V_{22},H_{22})$ , where  $V_{22}$  is a Fano 3-fold of degree 22 in  $\mathbb{P}^{13}$  and  $H_{22}$  is a hyperplane section of  $V_{22}$  which is a normal rational surface.

<u>Remark</u>. There exists such a pair  $(V_{22}, H_{22})$ , but the author does not know whether  $V_{22} - H_{22} \cong \mathbb{C}^3$ .

Question. Is there a hyperplane section  $H_{22}$  of  $V_{22}$  such that  $V_{22} - H_{22} \cong \mathbb{C}^3$ ?

## § 1. General results.

Let (X,A) be a Kähler compactification of  $\mathbb{C}^3$  such that A has at most isolated singular points. By Hartogs theorem, A is an analytic subset of pure codimension one. Since A has at most hypersurface singular points, A is a normal Gorenstein surface, that is, we can define the canonical divisor  $K_A$  on A. Since  $\mathbb{C}^3$  is connected at infinity, A is connected, hence A is an irreducible normal Gorenstein surface. Then the general properties can be summarized as follow:

Proposition 1([2]). Let (X,A) be as above. Then (1)  $H^{1}(X;\mathbf{Z}) \cong H^{1}(A;\mathbf{Z}) \cong 0$ 

- (2)  $H^{2}(X;\mathbf{Z}) \cong H^{2}(A;\mathbf{Z}) \cong \mathbf{Z}$ .  $H^{2}(X;\mathbf{Z})$  is generated by the first Chern class  $c_{1}([A])$  of the line bundle [A] defined by A and  $H^{2}(A;\mathbf{Z})$  is generated by  $c_{1}(N_{A})$ , where  $N_{A} = [A]|A$  is the normal bundle.
- (3) The Euler number  $\chi(X) = 4 b_3(A)$ , where  $b_3(A) = \dim H^3(A; \mathbb{R})$ .
- (4) The line bundle [A] is positive on X and the canonical divisor  $K_X = -rA$  ( $1 \le r \le 4$ ). Especially, X is a Fano 3-fold of index r with the second Betti number  $b_2(X) = 1$ .

(5) 
$$H^{1}(X, \mathcal{O}_{Y}) = 0$$
 for  $1 \le i \le 3$ .

(6)  $H^{i}(A, \partial_{A}) = 0$  for  $1 \le i \le 2$  if  $r \ge 2$  $H^{1}(A, \partial_{A}) = 0$  and  $H^{2}(A, \partial_{A}) \approx \mathbb{C}$  if r = 1.

-3-

A projective algebraic normal Gorenstein surface A is called a (singular) Del Pezzo (resp. a singular K-3 surface) if  $-K_A$  is positive on A (resp.  $-K_A = 0$  and  $H^1(A, O_A) = 0$ ). Then we have

<u>Proposition 2.</u> If  $r \ge 2$ , then A is a (singular) Del Pezzo surface with Pic  $A \cong \mathbf{Z} \cdot N_A$ . If r = 1, then A is a singular K-3 surface with Pic  $A \cong \mathbf{Z} \cdot N_A$ .

## § 2. The structure of A in case of r = 1.

In this section, assume that r = 1. Then A is a singular K - 3 surface with Pic  $A = \mathbf{Z} \cdot N_A$  and the singular points of A are hypersurface singular points. Let Sing A be the set of the singular locus of A and S be the set of singular points of A which are not rational double points. Let  $\pi : M \longrightarrow A$  be the minimal resolution of singular points of A and put  $B = \pi^{-1}(Sing A)$ ,  $C = \pi^{-1}(S) = \bigcup_{i=1}^{S_0} C_i$ , and  $s = \dim H^2(B:\mathbb{R})$ . Let us denote the initial divisor on M by  $K_M$ .

Lemma 1.  $S \neq \phi$ .

<u>Proof</u>. Let us consider the following exact sequence of cohomology group (see [1]):

$$\longrightarrow H^{1}(A; \mathbb{R}) \longrightarrow H^{1}(M; \mathbb{R}) \longrightarrow H^{1}(B; \mathbb{R}) \longrightarrow H^{2}(A; \mathbb{R}) \longrightarrow H^{2}(M, \mathbb{R})$$
$$\longrightarrow H^{2}(B; \mathbb{R}) \longrightarrow 0.$$

Assume that  $S = \phi$ . Then we have  $K_M = 0$  and  $H^1(B; \mathbb{R}) = 0$ . Since  $H^1(A, 0_A) = 0$  implies  $H^1(A; \mathbb{R}) = 0$ , by the exact sequence above,  $H^1(M; \mathbb{R}) = 0$ . Thus M is a K-3 surface. Since  $b_2(A) = 1$ and A is algebraic, we have  $b^+(A) = 1$ . On the other hand, by Brenton [1],  $b^+(A) = b^+(M)$ . Thus we have  $b^+(M) = 1$ . This is a contradiction.

<u>Corollary</u> 1. M is a ruled surface over a non-singular compact algebraic curve R of genus  $q = \dim H^1(M, O_M)$ .

<u>Proof</u>. Since  $S \neq \phi$ , we have  $-K_M = \sum n_i C_i$   $(n_i > 0, n_i \in \mathbb{Z})$ . Thus  $P_m(M) = \dim H^0(M, O(mK_M)) = 0$  for m > 0. By the classification of surfaces, we have the claim.

Lemma U ([11]).

- (1) If  $q \neq 1$ , then S consists of one point with  $p_q = dim (R^1 \pi_* 0_M)_S = q + 1$ .
- (2) If q = 1, then S consists of either one point with  $p_g = 2$  or two points with  $p_g = 1$ , in second case of (2), both of the two points are simple elliptic.

Lemma 2. S consists of one point with  $p_g = q + 1$  and  $b_p(M) = s + 1$ .

<u>Proof</u>. Assume that S consists of two points. By Lemma U, these two points are simple elliptic and  $C = \pi^{-1}(S) = C_1 \cup C_2$ , where  $C_1, C_2$  are distinct sections of M. Since  $b_2(A) = 1$ , by the exact sequence in Lemma 1, we have  $b_1(M) = b_1(B)$  and  $b_2(M) = s + 1$ . Since  $2 = b_1(M) = b_1(B) \ge b_1(C) = b_1(C_1) + b_1(C_2) = 2 + 2 = 4$ , this is a contradiction.

Q.E.D.

Let Z be the fundamental cycle of S with respect to the resolution  $\pi: M \longrightarrow A$ . Then,

Lemma 3 (see Proposition 2 in [3]).

(1)  $q = 0 \Rightarrow M$  is a rational surface and  $-K_M = Z$ 

(2)  $q \neq 0 \Rightarrow$  there exists an irreducible component  $C_{i_1}$  of C such that  $C_{i_1}$  is a section of M and the rest  $\overline{C - C_{i_1}} = \bigcup_{\substack{i \neq i_1 \\ i \neq i_1}} C_{i_1}$  is either empty or contained in the singular fibres of M, and  $-K_M = Z + C_{i_1}$ .

Corollary 2 (see Corollary 1 in [3]). Assume that  $q \neq 0$ . Then

(1) 
$$(C_{i} \cdot Z) = 2 - 2q$$
  
(2)  $(Z \cdot Z) \leq (C_{i} \cdot C_{i})$ 

Lemma 4

(1) 
$$q \neq 0 \Rightarrow b_2(M) \leq 9 - 4q + \sqrt{9+8q}$$

(2) 
$$q = 0 \Rightarrow 11 \le b_{p}(M) \le 13$$
.

<u>Proof</u>. Assume that  $q \neq 0$ . By Noether formula,

$$10 - 8q = (K_M + K_M) + b_2(M)$$
 (2.1)

Since  $-K_{M} = 2 + C_{i_{1}}$ , we have

$$(K_{M} \cdot K_{M}) = (Z \cdot Z) + 2(Z \cdot C_{i_{1}}) + (C_{i_{1}} \cdot C_{i_{1}})$$
 (2.2)

By Corollary 2 and (2.1), (2.3),

$$b_2(M) = 6 - 4q - (Z \cdot Z) - (C_{i_1} \cdot C_{i_2})$$
 (2.3)

$$\leq 6 - 4q - 2(Z \cdot Z)$$
 (2.4)

since S = {one point} is a hypersurface singular point of A, we have,

$$\begin{cases} (2 \cdot 2) \ge -n \quad (Wagreich [12]) \\ p_{g} \ge \frac{1}{2}(n-1)(n-2) \quad (Yau [13]) \end{cases}$$
(2.5)

Since  $p_q = q + 1$ , by (2.5) and (2.6), we have

$$-(Z \cdot Z) \le \frac{1}{2}(3 + \sqrt{9 + 8q})$$
(2.7)

By (2.4) and (2.7), we have finally the inequality

$$b_2(M) \le 9 - 4q + \sqrt{9 + 8q}$$
.

This proves (1). Next, assume that q = 0. By Noether formula,

$$b_2(M) = 10 - (K_M \cdot K_M)$$
 (2.8)

since  $p_g = 1$  and S is a hypersurface singularity, by Laufer [14], we have  $Z^2 = -1$ , -2, -3. By Lemma 3 - (1) and (2.8), we have the inequality  $11 \le b_2 \le 13$ .

<u>Corollary 3.</u>  $0 \le q \le 3$ . <u>Proof.</u> Assume that  $q \ne 0$ . Then, by Lemma 4 - (1), we have

$$2 \le b_2(M) \le 9 - 4q + \sqrt{9+8q}$$
  
This implies  $q \le 3$ .

Now, since the index r = 1, X is a Fano 3-fold of index 1 with  $b_2(x) = 1$  and A is a hyperplane section of X. We put  $g = \frac{1}{2}(A \cdot A \cdot A)_X + 1$ . The number g is called the "genus" of the Fano 3-fold X. Then by Iskovskih, we have

Lemma 5 ([6],[7]). Let g be the genus of a Fano 3-fold X of index 1 and  $b_2(X) = 1$ . Then,

g	2	3	4	5	6	7	8	9	10	12
$\frac{1}{2}b_{3}(X)$	52	30	20	14	10	7	5	3	21	0

#### Table 1

<u>Remark.</u> The list of the classification of Fano 3-folds due to Iskovskih [6] is incomplete, in fact, S. Mukai-H.Umemura [8] gave an example of a Fano 3-fold of index 1 and the genus g = 12 which is overlooked by Iskovskih. But Table 1 is justified by S. Mukai, who has recently succeeded in classifying Fano 3-folds of index 1 with  $b_2(X) = 1$  applying the theory of vector bundles on K-3 surfaces. According to his theory, such a X can be represented as a complete intersection of a homogeneous space (see [9]).

<u>Lemma</u> 6.  $q = \frac{1}{2}b_3(X)$ 

<u>Proof</u>.  $2q = b_1(M) = b_3(M) = b_3(A) = b_3(X)$ .

By Corollary 3, Lemma 5 and Lemma 6, we have (g,q) = (9,3), (10,2) or (12,0). If q = 3, then, by Proposition 2 - (1),  $b_2(M) < 3$ , that is  $b_2(M) = 2$ . Then, M is a  $\mathbb{P}^1$ -bundle over R of genus q = 3 (see Corollary 1), and thus A is a cone over R. This contradicts Theorem 1 - (4). Therefore  $q \neq 3$ . On the other hand, by Lemma 7 below, we must have  $b_2(M) \ge 4$ .

Lemma 7. Assume that  $q \neq 0$ . Then, there exists unique exceptional curve of the first kind in every singular fiber of M and then another irreducible components of the singular fiber are all contained in  $B = \pi^{-1}(Sing A)$ . Proof. See Proposition 7 in [3].

Therefore (q,q) = (10,2) or (12,0). In case of q = 2, by Proposition 2-(1), and the fact above, we have  $4 \le b_2(M) \le 6$ .

-10-

Next, we shall determine the type of singular fiber of M in case of q = 2.

Lemma 8. Assume that q = 2. Let Z,  $C_{i_1}$ , s, B be as above. We put  $(C_{i_1} \cdot C_{i_1}) = e < 0$ . Then we have  $-4 \le (Z \cdot Z) \le -3$  and

(1) 
$$(Z \cdot Z) = -4 \Rightarrow (e,s) = (-2,3), (-3,4), (-4,5)$$

(2)  $(Z \cdot Z) = -3 \Rightarrow (e,s) = (-3,3).$ 

<u>Proof</u>. Since q = 2,  $4 \le b_2(M) \le 6$ . By (2.4),  $4 \le b_2(M) \le 6 - 8 - 2(Z \cdot Z)$ , namely,  $3 \le -(Z \cdot Z)$ . By (2.7),  $-(Z \cdot Z) \le 4$ . Therefore  $-4 \le (Z \cdot Z) \le -3$ . Since  $(Z \cdot Z) = -3$  or -4 and  $4 \le b_2(M) \le 6$ , by Corollary 2 - (2) and (2.3), we have that

(i)  $b_2(M) = 6 \Rightarrow (e,s) = (-4,5)$  and  $(Z \cdot Z) = -4$ (ii)  $b_2(M) = 5 \Rightarrow (e,s) = (-3,4)$  and  $(Z \cdot Z) = -4$ (iii)  $b_2(M) = 4 \Rightarrow (e,s) = (-3,3)$  and  $(Z \cdot Z) = -3$ , or (e,s) = (-2,3) and  $(Z \cdot Z) = -4$ 

By Lemma 7, Lemma 8 and the fact that Sing  $A \setminus S$  consists of rational double points, we have the following

<u>Proposition</u> 2. Assume that q = 2. Then the structure of M as a ruled surface can be described as Table 2:





(iv) 4-9-1-0-0









Table 2

<u>Notation.</u> In proposition 2, the vertex  $\mathbf{k}$  represents a non-singular compact algebraic curve of genus 2 with the self-intersection number  $-\mathbf{k}, \mathbf{k}$  a non-sinulgar rational curve with the self-intersection number  $-\mathbf{k}$ , and we denote 2 simply by  $\bigcirc$ .

§ 3. Proof of Theorem

Let (X,A), M,  $\pi$  and g be as before. Then,

Lemma 9. Pic  $A \cong \mathbb{Z}[D]$ , where D is a canonical curve of genus g such that deg D = 2g - 2 and D  $\cap$  Sing A =  $\phi$  (in our case g = 10, 12).

<u>Proof</u>. X is a Fano 3-fold of degree 2g - 2 in  $\mathbb{P}^{g+1}$ (see [7]) and A is a hyperplane section. For a sufficiently general hyperplane section H.  $N_A \sim [H]|_A \sim [D]$  on A (linearly equivalent), where D is a non-singular canonical curve of genus g with deg D = (A·A·A) = 2g - 2 and D ∩ Sing A =  $\phi$ . Q.E.D.

We shall prove Theorem 2. We have only to show  $q \neq 2$ . Then q = 0, namely, X is a Fano 3-fold of degree 22 in  $\mathbb{P}^{13}$  and A is a hyperplane section which is normal and rational. Assume that q = 2. Then M is a ruled surface over a non-singular compact algebraic curve of genus 2. We put  $D^* = \pi^{-1}(D) \hookrightarrow M$ . Since  $D \cap \text{Sing A} = \phi$ ,  $D^* \cong D$ ,  $(D^* \cdot D^*)_M = 2g - 2$  and  $(D^* \cdot B_i)_M = 0$  for every exceptional curve  $B_i \subset B = \pi^{-1}(\text{Sing A})$ . Let  $e_i$   $(0 \le i \le k)$  be a basis of the cohomology group  $H^2(M; \mathbb{Z})$ , which is chosen as follow:  $e_0$  is the class of the negative section of M and  $e_i$   $(1 \le i \le k)$  is that of a singular fibers of M. These can be chosen easily if we can see the type of singular fibers of M.

$$D^{\star} = \sum_{i=0}^{k} \alpha_{i} e_{i} \quad (\alpha_{i} \in \mathbb{Z})$$
(3.1)

In case of (g,q) = (10,2), by Proposition 2, we determine the structure of M as a ruled surface case Table 2). Thus, we can easily choose a basis  $\{e_i\}$  ( $0 \le i \le k$ ), and have that

- (i) the intersection number  $(e_i \cdot e_j)_M$  is determined by the graph in Table 2.
- (ii)  $(D^* \cdot e_i)_M = 0$  if  $e_i$  is the class of exceptional curve in  $B = \pi^{-1}$  (Sing A),
- (iii)  $(D^* \cdot D^*)_M = 2g 2 = 18.$
- (iv)  $d_{i_0} = (D^* \cdot e_{i_0}) \pm 0$ , where  $e_{i_0}$  is the class of the exceptional curve of the first kind which is obtained by the blowing up.

By (3.1) and the assertions (i) - (iv) above, we have the equations concerning to  $\alpha_i$ ,  $d_i$  over **Z**. Finally, we can show by easy calculations that these equations have no solution over **Z** (see Appendix).

Therefore q = 0 and g = 12. This completes the proof of Theorem 2.

## §4 An example

Let M be a rational surface which is obtained from  $\mathbb{P}^2$  by 12 times blowing-ups, and the configuration of exceptional curves on M be as Figure 1, where

- (i) C<sub>i</sub>'s are all non-singular rational curves.
- (ii)  $E_i$  (i = 1,2),  $C_i$  (i = 5,9) are the exceptional curves obtained by the blowing-ups.
- (iii)  $(C_1 \cdot C_1) = (C_5 \cdot C_5) = -3$ ,  $(C_1 \cdot C_1) = -2$  if  $i \neq 1, 5$  $(E_1 \cdot E_1) = -1$  (i = 1,2).
- (iv) D\* is a non-singular compact algebraic curve of genus 12 with deg D\* = (D\*·D\*) = 22, which is the proper transform of a curve of degree 11 in  $\mathbb{P}^2$  with a singular point. (v) (D\*·E<sub>1</sub>) = 2, (D\*·E<sub>2</sub>) = 3 and (D\*·C<sub>1</sub>) = 0 (1 \le i \le 12).

We put  $C = \bigcup_{i=1}^{12} \bigcup_{i=1}^{12} \bigcup_{i=1}^{12} \bigcup_{i=1}^{12} \bigcup_{i=1}^{12} (C_i \cdot C_j)$ is negative definite, hence C is an exceptional curve on M. We put A = M/C. Then A is a singular K-3 surface with a hypersurface singular point (in fact, P<sub>g</sub> = 1), and Pic A  $\approx \mathbb{Z}$ [D], where D is the image of D\* in A. We find that D  $\cap$  Sing A =  $\phi$ and deg D = (D\*.D\*) = 22.

Assume that A is a hyperplane section of a Fano 3-fold X of degree 22 in  $\mathbb{P}^{13}$ . Then we can see that X - A is an affine 3-fold with  $b_i(X - A) = b_i(\mathbb{C}^3)$  for  $i \ge 0$ .

Question. Is X - A a homology 3-cell ?

Appendix

(i)  $\frac{\mathbf{k}}{\mathbf{e}_{0}} \underbrace{\mathbf{e}_{1}}_{\mathbf{e}_{3}} \underbrace{\mathbf{e}_{2}}_{\mathbf{e}_{3}} \underbrace{\mathbf{e}_{2}}_{\mathbf{e}_{3}} (\alpha_{1} \in \mathbf{Z}) \cdot \text{Then we have}$  $D^{\star} = \sum_{i=0}^{3} \alpha_{i} \mathbf{e}_{i} (\alpha_{1} \in \mathbf{Z}) \cdot \text{Then we have}$  $\begin{cases} \alpha_{1} - k\alpha_{0} = 0\\ \alpha_{3} - 2\alpha_{1} + \alpha_{0} = 0\\ \alpha_{3} - 2\alpha_{2} = 0\\ \alpha_{3} - 2\alpha_{2} = 0\\ \alpha_{2} - \alpha_{3} + \alpha_{1} = d_{3}\\ \alpha_{3} \cdot d_{3} = 18\\ \therefore \alpha_{0}^{2} = \frac{36}{2k-1} \quad (k = 2.3) \cdot \text{Therefore} \quad \alpha_{0} \notin \mathbf{Z}.$ 

(iii)  

$$\begin{array}{c} \overrightarrow{a} - \overrightarrow{b} = \overrightarrow{b} \\ \overrightarrow{a} = \overrightarrow{b} \overrightarrow{a} = \overrightarrow{b}$$

 $\begin{array}{c} \alpha_5 = 2\alpha_5 + \alpha_3 = 0 \\ \alpha_1 = \alpha_5 + \alpha_4 = \alpha_5 \\ \alpha_5 \alpha_5 = 18 \\ \therefore \ \alpha_0^2 = \frac{24}{5} \end{array} \quad \text{Therefore} \quad \alpha_0 \notin \mathbb{Z}. \end{array}$ 

-16-

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-17-

$$D^* = \sum_{i=0}^{5} \alpha_i e_i \quad (\alpha_i \in \mathbf{Z})$$

$$\begin{cases} \alpha_{1} - 4\alpha_{0} = 0 \\ \alpha_{3} - 2\alpha_{1} + \alpha_{0} = 0 \\ \alpha_{3} - 2\alpha_{2} = 0 \\ \alpha_{1} - \alpha_{3} + \alpha_{2} = d_{3} \\ \alpha_{5} - 2\alpha_{4} = 0 \\ \alpha_{4} - \alpha_{5} = d_{5} \\ \alpha_{0} + \alpha_{5} = 0 \\ \alpha_{5}d_{5} + \alpha_{3}d_{3} = 18 \\ \therefore \alpha_{0}^{2} = 6 & \text{Therefore } \alpha_{0} \notin \mathbb{Z}. \end{cases}$$

-18-





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