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The Apéry set and the associated graded ring of a numerical semigroup ring

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M. D'Anna - V. Micale - A. Sammartano, [When the associated graded ring of a semigroup ring is Complete Intersection](#), to appear on JPAA

0. Motivations and setup.

$$0 < g_1 < g_2 < \cdots < g_\nu \in \mathbb{N},$$

$$S = \langle g_1, \dots, g_\nu \rangle := \{a_1 g_1 + \cdots + a_\nu g_\nu \mid a_i \in \mathbb{N}, i = 1, \dots, \nu\}$$

$$\text{GCD}(g_1, \dots, g_\nu) = 1 \iff |\mathbb{N} \setminus S| < \infty$$

(in this case $f := \max(\mathbb{N} \setminus S)$ is said the **Frobenius number**)

• $m = g_1$ is said the **multiplicity** of S

$$R = k[[S]] := k[[t^{g_1}, \dots, t^{g_\nu}]]$$

R is a one-dimensional domain, local, with maximal ideal $\mathfrak{m} = (t^{g_1}, \dots, t^{g_n})$ and quotient field $Q = k((t))$.

If $v : k((t)) \longrightarrow \mathbb{Z} \cup \infty$ is the natural valuation, we get

$$v(R) = \{v(r) \mid r \in R \setminus \{0\}\} = S$$

Let G be the associated graded ring of R with respect to \mathfrak{m} :

$$G := \text{gr}_{\mathfrak{m}}(R) = \bigoplus_{i \geq 0} \mathfrak{m}^i / \mathfrak{m}^{i+1}$$

(one-dimensional, graded).

Goal: to study the properties of G (in connection with the properties of S)

For example: Hilbert function; Cohen-Macaulay, Buchsbaum, Gorenstein, Complete Intersection properties...

G is C-M $\iff \overline{t^m}$ is not a zero-divisor (Garcia (1982))

Let $\overline{R} = R/(t^m)$ and

$\overline{G} = \text{gr}_{\overline{\mathfrak{m}}}(\overline{R})$ (0-dimensional, graded)

$$G \text{ C.I.} \Rightarrow G \text{ Gorenstein} \Rightarrow G \text{ C.M.}$$

$$\Downarrow$$
$$\Downarrow$$

$$\begin{array}{l} \bar{G} \text{ C.I.} + \\ G \text{ C.M.} \end{array} \Rightarrow \begin{array}{l} \bar{G} \text{ Gorenstein} \\ + G \text{ C.M.} \end{array}$$

$$\Downarrow$$
$$\Downarrow$$

$$\bar{G} \text{ C.I.} \Rightarrow \bar{G} \text{ Gorenstein}$$

$$\Downarrow$$
$$\Downarrow$$

$$R \text{ C.I.} \Rightarrow R \text{ Gorenstein} \Rightarrow R \text{ C.M. (always)}$$

1. Basic definitions and properties.

- S is **symmetric** if, $\forall x \in \mathbb{Z}, x \in S \iff f - x \notin S$.
- S is symmetric $\iff R$ is Gorenstein (Kunz 1971).

We have $k[[x_1, \dots, x_\nu]]/I \cong R$
(under the homomorphism $\varphi(x_i) = t^{g_i}$)

- R is C.I. $\iff \mu(I) = \nu - 1 \iff S$ is C.I.

- $M = \{s \in S \mid s \neq 0\}$; $m = \min(M) = g_1$ the multiplicity of S ;
- $hM = \{s_1 + \cdots + s_h \mid s_i \in M\}$; $\forall h \geq 1, (h+1)M \supseteq m + hM$;
- Since \mathfrak{m} is monomial, then $v(\mathfrak{m}^h) = hM$;
- the reduction number $r = r(M)$ of M is the minimal natural number such that $(r+1)M = m + rM$.
- let x such that $v(x) = m (= g_1)$ (e.g. $x = t^m$);
 (x) is a minimal reduction of \mathfrak{m} :

$$\exists h \in \mathbb{N}_+ \text{ such that } \mathfrak{m}^{h+1} = x\mathfrak{m}^h$$

the minimum of such integers is the reduction number $r(\mathfrak{m})$;

$$r(\mathfrak{m}) = r(M) = r.$$

2. The Apéry set

We define $\omega_i := \min\{s \in S \mid s \equiv i \pmod{m}\}$.

The Apéry set of S with respect to $m = g_1$ is:

$$\text{Ap}_m(S) = \{\omega_0, \dots, \omega_{m-1}\}$$

We can arrange the elements of $\text{Ap}_m(S)$ in increasing order:

$$\text{Ap}_m(S) = \{w_1 < w_2 < \dots < w_m\}.$$

We have:

- $w_1 = 0$ and $f + m = w_m$ (where $f = \max(\mathbb{N} \setminus S)$);
- S symmetric $\iff w_i + w_{m+1-i} = w_m = f + m \quad \forall i = 1, \dots, m.$

3. Why the Apéry set?

Using the Apéry set one can get information on the following properties for $G = \text{gr}_{\mathfrak{m}}(R)$:

Compl. Int. \Rightarrow Gorenstein \Rightarrow Cohen-Macaulay \Rightarrow Buchsbaum
and on the Hilbert function of G .

Some recent papers using Apéry set:

Buchsbaum: M. D'Anna - M. Mezzasalma - V. Micale, Y. Shen,
M. D'Anna - V. Micale - A. Sammartano,
T. Cortadellas - S. Zarzuela
T. Cortadellas - R. Jafari - S. Zarzuela

Hilbert function: T. Cortadellas - R. Jafari - S. Zarzuela

4. Cohen-Macaulay property

$$G \text{ C-M} \iff \forall s \in hM \setminus (h+1)M \quad s + m \in (h+1)M \setminus (h+2)M$$

The blow up of $S = \langle g_1, g_2, \dots, g_n \rangle$ is the numerical semigroup $S' = \bigcup_{n \geq 1} (nM - nM) = rM - rm = \langle g_1, g_2 - g_1, \dots, g_n - g_1 \rangle$.
Denote the **Apéry set** of S' with respect to $m = g_1$ by:

$$\text{Ap}_m(S') = \{\omega'_0, \dots, \omega'_{m-1}\}$$

Definition. (Barucci-Fröberg) For each $i = 0, 1, \dots, m-1$ let:
 a_i be the only integer such that $\omega'_i + a_i g_1 = \omega_i$;
 $b_i = \max\{h \mid \omega_i \in hM\}$.

Theorem. (Barucci-Fröberg)

- $1 \leq b_i \leq a_i \leq r$ and $b_i < a_i \Rightarrow a_i < r$
- $\text{gr}_m(R)$ is C-M $\iff a_i = b_i$ for each $i = 0, 1, \dots, m-1$.

5. Gorenstein and Complete Intersection properties

$$G = \text{gr}_m(R) \quad G \text{ is C-M} \Leftrightarrow \bar{t}^m \text{ is not a zero-divisor}$$
$$\bar{G} = G/(\bar{t}^m)$$

- G is Gorenstein (resp. Complete Intersection) \iff
 \bar{G} is Gorenstein (resp. C.I.) and G is Cohen-Macaulay.

Remark. We have $\bar{t}^s = \bar{0}$ in $\bar{G} \iff t^s \in (t^m) \iff s - m \in S$.
hence, as k -vector spaces

$$\bar{G} = \langle \bar{t}^{\omega_i} \mid \omega_i \in \text{Ap}_m(S) \rangle_k$$

Now, $\bar{G} = \bigoplus_{h=0}^n \bar{G}_h$: can we describe \bar{G}_h in terms of $\text{Ap}_m(S)$?

Definition. Let $s \in S$; if $s \in hM \setminus (h+1)M$ we define $\text{ord}(s) := h$

Remark. We have

$$\overline{G}_h = \langle \overline{t^{\omega_i}} \mid \omega_i \in \text{Ap}_m(S) \text{ and } \text{ord}(\omega_i) = h \rangle_k$$

Example.

$$S = \langle 8, 10, 15 \rangle = \{0, 8, 10, 15, 16, 18, 20, 23, 24, 25, 26, 28, \\ 30, 31, 32, 33, 34, 35, 36, 38, \dots\},$$

$$f = 37, \quad m = 8, \quad r = 4,$$

$$\text{Ap}_8(S) = \{0, 10, 15, 20, 25, 30, 35, 45\}$$

$$\overline{G} = k \oplus (\overline{kt^{10}} + \overline{kt^{15}}) \oplus (\overline{kt^{20}} + \overline{kt^{25}}) \oplus (\overline{kt^{30}} + \overline{kt^{35}}) \oplus \overline{kt^{45}}$$

6. Gorenstein property (L. Bryant)

Definition. • Let $a, b \in S$, we say that

$$a \preceq_M b \iff \exists s \in S : a + s = b \text{ and } \text{ord}(a) + \text{ord}(s) = \text{ord}(b)$$

- The set of maximal elements of $\text{Ap}_m(S)$ with this partial ordering is denoted with $\text{maxAp}_M(S)$.
- S is M -pure if every $\omega_i \in \text{maxAp}_M(S)$ has the same order.

Proposition. S is M -pure symm. $\iff \text{maxAp}_M(S) = \{f + m\}$

Thm. Let S be M -pure: G is C-M $\iff \max\{\text{ord}(\omega_j)\} = r$

- $\bar{G} = G/(\bar{t}^m) = \bigoplus_{i=0}^n \bar{G}_i$ is Gorenstein $\iff \dim_k \bar{G}_i = \dim_k \bar{G}_{n-i}$

Theorem. • \bar{G} is Gorenstein $\iff S$ is M -pure and symm.;

- G is Gor. $\iff S$ is M -pure symm. and $\text{ord}(f + m) = r$.

Example.

- $S = \langle 8, 10, 15 \rangle$ $\text{Ap}_8(S) = \{0, 10, 15, 20, 25, 30, 35, 45\}$

$$\text{ord}(30) = 3 > 2 = \text{ord}(15) + \text{ord}(15) \Rightarrow 15 \not\preceq_M 30,$$

$$\text{but } \text{ord}(45) = 4 = 3 + 1 = \text{ord}(30) + \text{ord}(15)$$

$$\Rightarrow 15 \preceq_M 45 \text{ and } 30 \preceq_M 45 \Rightarrow \max \text{Ap}_M(S) = \{45\}.$$

S is M -pure and symmetric $\Rightarrow \overline{G}$ is Gorenstein. In fact

$$\overline{G} = k \oplus (kv^{10} + kv^{15}) \oplus (kv^{20} + kv^{25}) \oplus (kv^{30} + kv^{35}) \oplus kv^{45}$$

$$\text{ord}(f + m) = \text{ord}(37 + 8) = 4 = r \Rightarrow G \text{ is Gorenstein.}$$

$$\text{ord}(f + m) = r \stackrel{?}{\Rightarrow} \begin{array}{l} S \text{ symmetric} \\ + M\text{-pure} \\ + \text{ord}(f + m) = r \end{array} \Rightarrow \forall i = 1, \dots, m \quad a_i = b_i$$

$$\Downarrow$$

$$\Downarrow$$

$$?$$

$$\Rightarrow$$

$$\begin{array}{l} S \text{ symmetric} \\ + M\text{-pure} \end{array}$$

$$\Downarrow$$

$$\Downarrow$$

$$S \text{ C.I.}$$

$$\Rightarrow$$

$$S \text{ symmetric}$$

7. Complete Intersection property (D'A-Mi-Sa)

We have $k[[x_1, \dots, x_\nu]]/I \cong R$ (under the homom. $\varphi(x_i) = t^{g_i}$)

and $k[x_1, \dots, x_\nu]/I^* \cong G = \text{gr}_{\mathfrak{m}}(R)$, where $I^* = (\text{in}(f) : f \in I)$;

here, if $f \in \mathfrak{m}^h \setminus \mathfrak{m}^{h+1}$, then $f = \text{in}(f) + g$, with $g \in \mathfrak{m}^{h+1}$.

Since $m = g_1$, $\varphi : x_1 \mapsto t^m$,

$$\overline{G} = G/(\overline{t^m}) \cong k[x_2, \dots, x_\nu]/J.$$

- \overline{G} is Complete Intersection $\iff \mu(J) = \nu - 1$.

We would like to determine which shape of $\text{Ap}_m(S)$ implies $\mu(J) = \nu - 1$ and, in this case, the degrees of the generators of J in terms $\text{Ap}_m(S)$.

8. Representations of elements of S

- Let $s \in S$: $s = \lambda_1 g_1 + \cdots + \lambda_\nu g_\nu$; this combination (or the ν -tuple $(\lambda_1, \dots, \lambda_\nu)$) is a **representation** of s .
- $\omega_i \in \text{Ap}_m(S)$ can have only representations where g_1 does **not** appear.
- A representation $s = \lambda_1 g_1 + \lambda_2 g_2 + \cdots + \lambda_\nu g_\nu$ is **maximal** if $\lambda_1 + \lambda_2 + \cdots + \lambda_\nu = \text{ord}(s)$.

Definition. For every $i = 2, \dots, \nu$, set:

$$\alpha_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S)\};$$

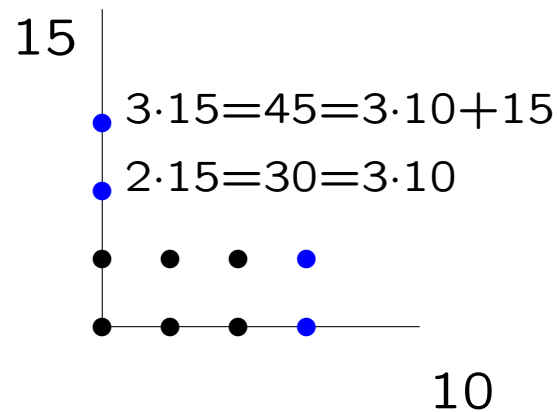
$$\beta_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S) \text{ and } \text{ord}(hg_i) = h\};$$

$$\gamma_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S), \text{ord}(hg_i) = h \text{ and } hg_i \text{ has a unique maximal representation}\}.$$

Remark. $\forall i = 2, \dots, \nu, \gamma_i \leq \beta_i \leq \alpha_i$.

Example. $S = \langle 8, g_2 = 10, g_3 = 15 \rangle$;

$$\text{Ap}_8(S) = \{0, 10, 15, 20, 25, 30, 35, 45\}.$$



$$\gamma_2 = \beta_2 = \alpha_2 = 3 \text{ and } \gamma_3 = \beta_3 = 1, \alpha_3 = 3.$$

Definition. For every $i = 2 \dots, \nu$, set:

$$\alpha_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S)\};$$

$$\beta_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S) \text{ and } \text{ord}(hg_i) = h\};$$

$$\gamma_i := \max\{h \in \mathbb{N} \mid hg_i \in \text{Ap}_m(S), \text{ord}(hg_i) = h \text{ and } hg_i \text{ has a unique maximal representation}\}.$$

Example. $S = \langle 8, g_2 = 10, g_3 = 11, g_4 = 12 \rangle$;

$$\text{Ap}_m(S) = \{0, 10, 11, 12, 21, 22, 23, 33\}.$$

$$2 \cdot 10 \notin \text{Ap}_8(S), \text{ord}(10) = 1 \Rightarrow \alpha_2 = \beta_2 = 1 \Rightarrow \gamma_2 = 1$$

$$2 \cdot 12 \notin \text{Ap}_8(S), \text{ord}(12) = 1 \Rightarrow \alpha_4 = \beta_4 = 1 \Rightarrow \gamma_4 = 1$$

$$4 \cdot 11 \notin \text{Ap}_8(S), \text{ord}(33) = 3 \Rightarrow \alpha_3 = \beta_3 = 3;$$

$$2 \cdot 11 = 10 + 12 \text{ has two maximal representation} \Rightarrow \gamma_3 = 1.$$

9. γ -rectangular Apéry set

Definition. $\Gamma = \left\{ \sum_{i=2}^{\nu} \lambda_i g_i \mid 0 \leq \lambda_i \leq \gamma_i \right\} \quad \left(|\Gamma| \leq \prod_{i=2}^{\nu} (\gamma_i + 1) \right).$

Theorem. $\text{Ap}_m(S) \subseteq \Gamma.$

Definition. S has γ -rectangular Apéry set if $\text{Ap}_m(S) = \Gamma.$

Theorem. The following conditions are equivalent:

(i) $\text{Ap}_m(S)$ is γ -rectangular;

(ii)

(iii)

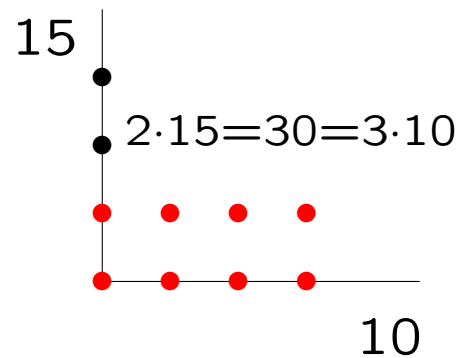
$$f + m = \sum_{i=2}^{\nu} \gamma_i g_i;$$

$$m = \prod_{i=2}^{\nu} (\gamma_i + 1).$$

Proposition. $\text{Ap}_m(S)$ γ -rectangular $\Rightarrow S$ is M -pure symmetric.

Examples.

- $S = \langle 8, 10, 15 \rangle$; $\text{Ap}_m(S) = \{0, 10, 15, 20, 25, 30, 35, 45\}$,
 $\gamma_2 = \beta_2 = 3$, $\gamma_3 = \beta_3 = 1$. $\text{Ap}_8(S)$ is γ -rectangular:



- $S = \langle 8, 10, 11, 12 \rangle$; $\text{Ap}_8(S) = \{0, 10, 11, 12, 21, 22, 23, 33\}$,
 $\beta_2 = \gamma_2 = 1$, $\beta_3 = 3 > \gamma_3 = 1$, $\beta_4 = \gamma_4 = 1$.

$\text{Ap}_8(S)$ is γ -rectangular:

$$\Gamma = \{\lambda_2 \cdot 10 + \lambda_3 \cdot 11 + \lambda_4 \cdot 12 \mid 0 \leq \lambda_i \leq 1\}.$$

10. The defining ideal J of \overline{G}

$$k[x_2, \dots, x_\nu]/J \cong \overline{G} = G/(t^m)$$

(under the homomorphism $\varphi(x_i) = \overline{t^{g_i}}$).

$$J = (x_2^{j_2} \cdots x_\nu^{j_\nu} - x_2^{h_2} \cdots x_\nu^{h_\nu}, x_2^{\lambda_2} \cdots x_\nu^{\lambda_\nu}),$$

where $j_2 g_2 + \cdots + j_\nu g_\nu = h_2 g_2 + \cdots + h_\nu g_\nu \in \text{Ap}_m(S)$ are maximal representations and either $\lambda_2 g_2 + \cdots + \lambda_\nu g_\nu \notin \text{Ap}_m(S)$ or $\lambda_2 g_2 + \cdots + \lambda_\nu g_\nu \in \text{Ap}_m(S)$ and it is not maximal.

Lemma. • $J \supseteq \tilde{J} = (x_i^{\gamma_i+1} - \rho_i \prod_{j \neq i} x_j^{\lambda_j} : i = 2, \dots, \nu)$

where $\beta_i = \gamma_i \Rightarrow \rho_i = 0$ and $\beta_i > \gamma_i \Rightarrow \rho_i = 1$

(in this case $(\gamma_i + 1)g_i = \sum_{j \neq i} \lambda_j g_j$ are two maximal repr.).

- the smallest pure power of x_i appearing in J is $x_i^{\gamma_i+1}$.
- \overline{G} is CI $\iff J = \tilde{J}$.

Theorem. The following conditions are equivalent:

- (i) G is Complete Intersection;
- (ii) $\text{Ap}_m(S)$ is γ -rectangular and G is Cohen-Macaulay;
- (iii) $\text{Ap}_m(S)$ is γ -rectangular and $r = \text{ord}(f + m)$;

Proof. (ii) \Rightarrow (i) G is C-M, hence $G \text{ CI} \iff \overline{G} \text{ CI}$.

$\overline{G} = \langle \overline{t^{\omega_i}} \mid \omega_i \in \text{Ap}_m(S) \rangle_k$ and $J \supseteq \tilde{J}$, hence

$$(*) \quad m = |\text{Ap}_m(S)| = \dim_k(\overline{G}) \leq \dim_k(k[x_2, \dots, x_\nu]/\tilde{J}) = \prod_{i=2}^{\nu} (\gamma_i + 1)$$

$\text{Ap}_m(S)$ γ -rectangular $\iff m = \prod_{i=2}^{\nu} (\gamma_i + 1)$;

thus in (*) we have all equalities $\Rightarrow J = \tilde{J} \iff \overline{G} \text{ CI}$.

Examples. • $S = \langle 8, 10, 11, 12 \rangle$; $\text{Ap}_m(S)$ γ -rectangular
 $\beta_2 = \gamma_2 = 1$, $\beta_3 > \gamma_3 = 1$, $\beta_4 = \gamma_4 = 1$;

$r = 3 = \text{ord}(33) \Rightarrow G$ C-M. Hence G is CI.

The defining ideals are:

$$I = (x_2^2 - x_1x_4, x_3^2 - x_2x_4, x_1^3 - x_4^2), \quad I^* = (x_2^2 - x_1x_4, x_3^2 - x_2x_4, x_4^2),$$

$$J = (x_2^2, x_3^2 - x_2x_4, x_4^2).$$

Note that $x_3^2 - x_2x_4 \longleftrightarrow 2 \cdot 11 = 10 + 12$

• $S = \langle 8, 10, 15 \rangle$; $\text{Ap}_m(S)$ is γ -rectangular;
 $\beta_2 = \gamma_2 = 3$, $\beta_3 = \gamma_3 = 1$;

$r = 4 = \text{ord}(45) \Rightarrow G$ C-M. Hence G is CI.

The defining ideals are: $I = (x_2^4 - x_1^5, x_2^3 - x_3^2), \quad I^* = (x_2^4, x_3^2),$

$$J = (x_2^4, x_3^2).$$

Theorem. Let $S = \langle g_1, g_2, g_3 \rangle$ (with $g_1 < g_2 < g_3$).
Then $\beta_2 = \gamma_2$, $\beta_3 = \gamma_3$ and the following conditions
are equivalent:

- (i) $\text{Ap}_m(S)$ is γ -rectangular;
- (ii) S is M -pure symmetric.

Corollary. Let $R = k[[t^{g_1}, t^{g_2}, t^{g_3}]]$.

G is Gorenstein $\iff G$ is CI (and the ideal J is monomial).

$$\text{Ap}_m(S) \text{ } \gamma\text{-rectangular} \quad + \text{ ord}(f + m) = r \quad \Rightarrow \quad \begin{array}{l} S \text{ symmetric} \\ + M\text{-pure} \\ + \text{ ord}(f + m) = r \end{array} \quad \Rightarrow \quad \begin{array}{l} a_i = b_i \\ \forall i = 1, \dots, m \end{array}$$

$$\Downarrow$$

$$\text{Ap}_m(S) \text{ } \gamma\text{-rectangular} \quad \Rightarrow \quad \begin{array}{l} S \text{ symmetric} \\ + M\text{-pure} \end{array}$$

$$\Downarrow$$

$$S \text{ C.I.} \quad \Rightarrow \quad S \text{ symmetric}$$

$$\Downarrow$$

$$\Downarrow$$

Def. $A = \left\{ \sum_{i=2}^{\nu} \lambda_i g_i \mid 0 \leq \lambda_i \leq \alpha_i \right\}$ $B = \left\{ \sum_{i=2}^{\nu} \lambda_i g_i \mid 0 \leq \lambda_i \leq \beta_i \right\}$

Remark. $\text{Ap}_m(S) \subseteq \Gamma \subseteq B \subseteq A$.

Definition. S has α - (resp. β -)rectangular Apéry set
if $\text{Ap}_m(S) = A$ (resp. $\text{Ap}_m(S) = B$).

Theorem. The following conditions are equivalent:

- (i) $\text{Ap}_m(S)$ is α (resp. β)-rectangular;
- (ii) (iii)

$$f + m = \sum_{i=2}^{\nu} \alpha_i g_i \text{ (resp. } \beta_i g_i); \quad m = \prod_{i=2}^{\nu} (\alpha_i + 1) \text{ (resp. } (\beta_i + 1)).$$

Prop. $\text{Ap}_m(S)$ α -rect. \Rightarrow $\text{Ap}_m(S)$ β -rect. \Rightarrow $\text{Ap}_m(S)$ γ -rect.

$$\begin{array}{ccccccc}
\text{Ap}_m(S) & \Rightarrow & \text{Ap}_m(S) & \Rightarrow & \text{Ap}_m(S) & \Rightarrow & S \text{ symm.} \\
\alpha\text{-rect.} & & \beta\text{-rect.} & & \gamma\text{-rect.} & & + M\text{-pure} \\
\Downarrow & & & & \Downarrow & & \Downarrow \\
S \text{ symm.} + & \Rightarrow & S \text{ free} & \Rightarrow & S \text{ C.I.} & \Rightarrow & S \text{ symm.} \\
\text{Ap}_m(S) \text{ unique} & & & & & & \\
\text{expression} & & & & & &
\end{array}$$

Thanks for the attention!