Flenner, H. and Zaidenberg, M.
Osaka J. Math.
40 (2003), 981–1009

NORMAL AFFINE SURFACES WITH $\mathbb{C}^*$-ACTIONS

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(Received October 10, 2002)

Introduction

A classification of (normal) affine surfaces admitting a $\mathbb{C}^*$-action was given e.g., in [5, 6, 21, 22, 1, 25] and [12]–[14]. Here we obtain a simple alternative description of normal affine surfaces V with a $\mathbb{C}^*$-action in terms of their graded coordinate rings as well as by defining equations. Our approach is based on a generalization of the Dolgachev-Pinkham-Demazure construction [11, 22, 10]. Recall (see [12]–[14]) that a $\mathbb{C}^*$-action on a normal affine surface V is called *elliptic* if it has a unique fixed point which belongs to the closure of every 1-dimensional orbit, *parabolic* if the set of its fixed points is 1-dimensional, and *hyperbolic* if V has only a finite number of fixed points, and these fixed points are of hyperbolic type, that is each one of them belongs to the closure of exactly two 1-dimensional orbits.

In the elliptic case, the complement V^* of the unique fixed point in V is fibered by the 1-dimensional orbits over a projective curve C. In the other two cases V is fibered over an affine curve C, and this fibration is invariant under the $\mathbb{C}^*$-action.

Vice versa, given a smooth curve C and a $\mathbb{Q}$-divisor D on C, the Dolgachev-Pinkham-Demazure construction provides a normal affine surface $V = V_{C,D}$ with a $\mathbb{C}^*$-action such that C is just the algebraic quotient of V^* or of V, respectively. This surface V is of elliptic type if C is projective and of parabolic type if C is affine.

We remind this construction in Sections 1 and 2 below. In Section 3 we use it to present any normal affine surface V with a parabolic $\mathbb{C}^*$-action as a normalization of the surface $x^d - P(z)y = 0$ in $\mathbb{A}^3_{\mathbb{C}}$ for a certain $d \in \mathbb{N}$ and a certain polynomial $P \in \mathbb{C}[t]$ (see Theorem 3.11).

In Section 4 we deal with the hyperbolic case. We generalize the Dolgachev-Pinkham-Demazure construction in order to make it work for any hyperbolic $\mathbb{C}^*$-surface. Instead of one $\mathbb{Q}$-divisor D on a smooth affine curve C as before, it involves now two $\mathbb{Q}$-divisors D_+ and D_- on C. By our result *isomorphism classes of normal affine hyperbolic $\mathbb{C}^*$-surfaces are in 1-1-correspondence to equivalence classes*

2000 *Mathematics Subject Classification* : 13A02, 13F15, 14R05, 14L30.
This research started during a visit of the first author at the Institut Fourier of the University of Grenoble, and continued during a stay of both of us at the Max Planck Institute of Mathematics at Bonn and of the second author at the Ruhr University at Bochum. The authors thank these institutions for their support.

of triples (C, D_+, D_-)*, where* C *is a smooth affine curve and* D_+*,* D_- *is a pair of* $\mathbb{Q}$*-divisors on* C *with* $D_+ + D_- \le 0$*; two such triples* (C, D_+, D_-) *and* (C', D'_+, D'_-) *are considered to be equivalent if and only if* $C \cong C'$ *and* $D_\pm = D'_\pm \pm D_0$ *with a principal divisor* D_0; cf. Theorem 4.3. We also determine the structure of the singularities, the orbits, the divisor class group and the canonical divisor in terms of the divisors $D_\pm$, see Theorems 4.15, 4.18, 4.22 and Corollary 4.24.

Using our description it is possible to represent any normal hyperbolic $\mathbb{C}^*$-surface fibered over $C = \mathbb{A}^1_{\mathbb{C}}$ as the normalization of a surface in $\mathbb{A}^4_C$ given by

$$x^{dk} - P(t)y = 0, \quad x^{ek}z - Q(t) = 0 \quad \text{and} \quad y^e z^d - R(t) = 0\,,$$

for certain polynomials P, Q, $R \in \mathbb{C}[t]$ satisfying the relation $P^e R = Q^d$, where e, d are coprime. These polynomials can be easily computed in terms of the data (D_+, D_-) (see Proposition 4.8). For instance, if the divisor D_- is integral then this system reduces to one equation $x^e z - Q(t) = 0$ in $\mathbb{A}^3_{\mathbb{C}}$, and vice versa. When $k = 1$ then it again reduces to one equation $y^e z^d - R(t) = 0$ in $\mathbb{A}^3_{\mathbb{C}}$.

In Proposition 4.12 we show how the pair (D_+, D_-) is transformed when passing to an equivariant cyclic cover of V. We deduce, in particular, a characterization of normal hyperbolic $\mathbb{C}^*$-surfaces over $C = \mathbb{A}^1_{\mathbb{C}}$ with the fractional part of D_- supported at one point, as normalized cyclic quotients of the surfaces $x^e z - Q(t) = 0$ in $\mathbb{A}^3_{\mathbb{C}}$.

In the forthcoming paper [15], which is actually Part II of the present one, we will apply these results to give a simple description of all normal affine $\mathbb{C}^*$-surfaces equipped in addition by a $\mathbb{C}^+$-action. In fact, this class consists of all normal affine surfaces which admit an algebraic group action with an open orbit.

We note that the results of this paper hold *m.m.* for graded 2-dimensional normal algebras of finite type over a Dedekind domain.

1. Generalities on graded rings

A $\mathbb{Z}$-graded ring $A = \bigoplus_{i\in\mathbb{Z}} A_i$ contains $A_{\ge 0} = \bigoplus_{i\ge 0} A_i$ and $A_{\le 0} = \bigoplus_{i\le 0} A_i$ as subrings. The following lemma is “well known”; in lack of a reference we provide a short argument.

Lemma 1.1. *If* $A = \bigoplus_{i\in Z} A_i$ *is a finitely generated* A_0*-algebra, then so are* $A_{\ge 0}$ *and* $A_{\le 0}$*. Moreover,* A *is normal if and only if so are both* $A_{\ge 0}$ *and* $A_{\le 0}$*.*

Proof. Reversing the grading interchanges the subrings $A_{\ge 0}$ and $A_{\le 0}$. Thus it is sufficient to prove the first part for $A_{\ge 0}$. If $a_{ij} \in A_i$ with $-n \le i \le n$, $j = 1, \ldots, n_i$, is a system of homogeneous generators of A, then $A_{\ge 0}$ is generated (as a module over A_0) by the multiplicatively closed system of monomials

$$a^k := \prod_{i,j} a_{ij}^{k_{ij}}\,,$$

where $k := (k_{ij}) \in \mathbb{Z}^N$ satisfies the inequalities

$$k_{ij} \geq 0, \quad -n \leq i \leq n, \quad j = 1, \ldots, n_i, \qquad \sum_{i,j} i k_{ij} \geq 0\,. \tag{1}$$

By Gordan's Lemma (see [20]) the rational polyhedral lattice cone $K \subseteq \mathbb{Z}^N$ defined by (1) is a finitely generated semigroup. Hence the algebra $A_{\geq 0}$ is generated by a finite system of monomials $a^k \in A_{\geq 0}$.

Next we show that the subalgebra $A_{\geq 0}$ (and then also $A_{\leq 0}$) is normal if so is A. Indeed, the integral closure $(A_{\geq 0})_{\mathrm{norm}} \subseteq A = A_{\mathrm{norm}}$ is graded. Take a homogeneous element $x \in (A_{\geq 0})_{\mathrm{norm}}$ of degree $d := \deg x$, and let

$$x^n + \sum_{i=1}^{n} b_i x^{n-i} = 0, \qquad \text{where} \quad b_i \in A_{\geq 0}\,, \tag{2}$$

be an equation of integral dependence. We may assume that b_i are also homogeneous, of degree $\deg b_i = di \geq 0$. Since $\deg b_i \geq 0$ we have $d \geq 0$, and so $x \in A_{\geq 0}$.

Conversely, suppose that both $A_{\geq 0}$ and $A_{\leq 0}$ are normal. The ring $A \otimes_{A_0} \mathrm{Frac}(A_0)$ is normal and so is equal to $\mathrm{Frac}(A_0)[u, u^{-1}]$ for a homogeneous element u of minimal degree > 0 in $A \otimes_{A_0} \mathrm{Frac}(A_0)$. Hence A_{norm} is contained in this subring of $\mathrm{Frac}\, A$. If $f \in A \otimes_{A_0} \mathrm{Frac}(A_0)$ belongs to the normalization A_{norm} of A then so does its top homogeneous component. Thus it is enough to deal with homogeneous elements. Let a be such an element satisfying an equation of integral dependence (2) over A. We may suppose as above that $b_i \in A_{di}$ ($i = 1, \ldots, n$). Since di has the same sign as $d := \deg a$, we have $a \in (A_{\geq 0})_{\mathrm{norm}} = A_{\geq 0}$ if $d \geq 0$ and $a \in (A_{\leq 0})_{\mathrm{norm}} = A_{\leq 0}$ if $d \leq 0$, respectively. Anyhow, $a \in A$, whence A is normal, as stated. □

NOTATION 1.2. Let $V = \mathrm{Spec}\, A$ be a normal affine surface over $\mathbb{C}$ with an effective $\mathbb{C}^*$-action. The coordinate ring $A = \bigoplus_{i \in \mathbb{Z}} A_i$ is then naturally graded so that A_i is the set of elements of A on which $t \in \mathbb{C}^*$ acts via $t.f = t^i f$. Thus, $A_0 = A^{\mathbb{C}^*}$ is the subalgebra of invariants, and A_i ($i \neq 0$) consists of the quasi-invariants of weight i. Up to reversing the grading we may assume that $A_+ := \bigoplus_{i>0} A_i \neq 0$. The subsets A_+ and $A_- := \bigoplus_{i<0} A_i$ of A are ideals in $A_{\geq 0}$ and $A_{\leq 0}$, respectively.

The following lemma is well known (see e.g., [10], [12, Lemma 1.5]).

Lemma 1.3. (a) *If $A_0 \neq \mathbb{C}$ then the set $M := \{i \in \mathbb{Z} \mid A_i \neq 0\}$ coincides either with $\mathbb{N}$ or with $\mathbb{Z}$, and A_i is a locally free A_0-module of rank 1 for all $i \in M$. Moreover, if $u \in \mathrm{Frac}(A_0) \cdot A_1$ is a non-zero element then*

$$A \subseteq \mathrm{Frac}(A_0)[u, u^{-1}]\,, \qquad \textit{and even} \qquad A \subseteq \mathrm{Frac}(A_0)[u] \quad \textit{if} \quad M = \mathbb{N}\,.$$

(b) *In particular, if $A_0 \cong \mathbb{C}[t]$ then A_i is a free A_0-module of rank 1 for all $i \in M$.*

Proof. (a) The $K_0 := \mathrm{Frac}(A_0)$-algebra $A \otimes_{A_0} K_0$ is a 1-dimensional normal graded domain over the field K_0. Hence it is isomorphic to the free polynomial ring $K_0[u]$ or the ring of Laurent polynomials $K_0[u, u^{-1}]$, where $u \in K_0 A_d$ and $d > 0$. As the $\mathbb{C}^*$-action is effective $d = 1$, and (a) follows.
(b) follows from [7, Ch. VII, §4, Corollary 2]. □

Lemma 1.3(a) does not hold in general without the assumption that $A_0 \neq \mathbb{C}$ as is seen by the Pham-Brieskorn surfaces $V_{p,q,r} := \{x^p + y^q + z^r = 0\} \subseteq \mathbb{C}^3$.

1.4. Usually (cf. [12]) one distinguishes between the following three cases.
(i) *The elliptic case*: $A_- = 0$, $A_0 = \mathbb{C}$.
(ii) *The parabolic case*: $A_- = 0$, $A_0 \neq \mathbb{C}$.
(iii) *The hyperbolic case*: $A_- \neq 0$.
Below we provide more information in each of these cases.

2. The elliptic case

In the elliptic case the $\mathbb{C}^*$-action on V is good. In particular, its fixed point set $F := V^{\mathbb{C}^*}$ (which is the zero set of the augmentation ideal A_+ of A) consists of a unique point called *the vertex* of V, and the surface V is smooth outside the vertex. One considers the smooth projective curve $C := \mathrm{Proj}\, A \cong V^*/\mathbb{C}^*$, where $V^* := V \setminus F$, together with the orbit morphism $\pi\colon V^* \to C$ (the fibers of π are the orbits of the $\mathbb{C}^*$-action on V^*).

A useful class of examples of normal affine surfaces with a good $\mathbb{C}^*$-action is provided by the affine cones over projective curves. For an ample divisor D on a smooth projective curve C the ring

$$A_{C,D} := \bigoplus_{k\geq 0} H^0(C, \mathcal{O}_C(kD)) \cdot u^k \subseteq \mathrm{Frac}(C)[u]\,,$$

where u is an indeterminate, is the coordinate ring of a normal affine surface $V := \mathrm{Spec}\, A_{C,L}$ with a good $\mathbb{C}^*$-action. Alternatively this surface V is obtained by blowing down the zero section of the line bundle associated to $\mathcal{O}_C(-D)$. We will refer to such surfaces as affine cones over C (although $A_{C,D}$ is not generated by elements of degree one, in general).

Let furthermore a finite group G act on V freely off the vertex, and assume that this action commutes with the given good $\mathbb{C}^*$-action on V. Then the quotient V/G is again a normal affine surface with a good $\mathbb{C}^*$-action. Conversely, the following result is true.

Theorem 2.1 ([11, 22, 10, 24]). *Every normal affine surface with a good $\mathbb{C}^*$-action appears as the quotient of an affine cone over a smooth projective curve by a finite group acting freely off the vertex of the cone.*

Generalizing the construction above, for a smooth projective curve C and a $\mathbb{Q}$-divisor D on C one considers the graded ring

$$A_{C,D} := \bigoplus_{k\geq 0} H^0\big(C, \mathcal{O}(\lfloor kD \rfloor)\big) \cdot u^k\,,$$

where $\lfloor E \rfloor$ denotes the integral part of a $\mathbb{Q}$-divisor E. We have the following result.

Theorem 2.2 ([22], [10, Theorem 3.5]). *Given a normal affine surface $V = \operatorname{Spec} A$ with a good $\mathbb{C}^*$-action there exists a $\mathbb{Q}$-divisor D on the curve $C = \operatorname{Proj} A$ such that $A \cong A_{C,D}$.*

The affine toric surfaces provide an interesting family of elliptic $\mathbb{C}^*$-surfaces.

EXAMPLE 2.3 ([20, 9]). We remind that a normal affine toric surface $V = V_\sigma$ is associated to a strictly convex rational polyhedral cone $\sigma \subseteq \mathbb{R}^2$. If $\dim \sigma = 0$ or $= 1$ then $V_\sigma \cong \mathbb{C}^* \times \mathbb{C}^*$ or $V_\sigma \cong \mathbb{A}^1_{\mathbb{C}} \times \mathbb{C}^*$, respectively, and so $A^\times \neq \mathbb{C}^*$. Consequently, these two cannot be elliptic $\mathbb{C}^*$-surfaces. Otherwise, if $\dim \sigma = 2$ then choosing an appropriate base e_1, e_2 of the lattice one may suppose that σ is the cone $C(e_2, de_1 - ee_2)$, where $d \geq 1$, $0 \leq e < d$ and $\gcd(e, d) = 1$. We denote $V_{d,e} := V_\sigma$; then $V_{d,e} = \operatorname{Spec} A_{d,e}$, where

$$A_{d,e} := \bigoplus_{b\geq 0,\ ad-be\geq 0} \mathbb{C} \cdot x^a y^b \subseteq \mathbb{C}[x, y]$$

is the semigroup algebra of the dual cone $\sigma^\vee = C\,(e_1, ee_1 + de_2)$.

The 2-torus $\mathbb{T} = (\mathbb{C}^*)^2$ acts on $V_{d,e}$ with an open orbit $V^*_{d,e} := V_{d,e}\backslash\{\bar{0}\}$. Thus one can introduce on $V_{d,e}$ a number of elliptic, parabolic as well as hyperbolic $\mathbb{C}^*$-actions by choosing appropriate 1-parameter algebraic subgroups of the torus $\mathbb{T}$.

In [23, 2, 3, 9] one can find a description of minimal sets of generators of the algebras $A_{d,e}$ as above, as well as defining equations for the affine varieties $V_{d,e} = \operatorname{Spec} A_{d,e} \hookrightarrow \mathbb{C}^N$. An explicit presentation of these algebras as in Theorem 2.2 is given in [10, 5.1].

We would like to emphasize the well known relation between affine toric surfaces and cyclic quotient singularities (see [10, 5.2] or [20, Proposition 1.24]).

Lemma 2.4. *If B is the normalization of $A := A_{d,e}$ in the field $L := \operatorname{Frac}(A)[u]$ with $u := \sqrt[d]{x}$, then B is the polynomial ring $B = \mathbb{C}[u, v]$ with $v := u^e y$. The Galois group $\langle\zeta\rangle \cong \mathbb{Z}_d$ of $L : \operatorname{Frac}(A)$ acts on B via the representation, say $G_{d,e}$*

$$\zeta.u = \zeta u, \qquad \zeta.v = \zeta^e v\,,$$

and $A = B^{\mathbb{Z}_d}$. *Consequently, there is an isomorphism*

$$V_{d,e} \cong \mathbb{A}^2_{\mathbb{C}}/G_{d,e} = \mathbb{A}^2_{\mathbb{C}}/\mathbb{Z}_d\,.$$

Proof. For the convenience of the reader we give a short argument. By definition, A is generated over $\mathbb{C}$ by the monomials

$$x^a y^b \qquad \text{with} \qquad b \geq 0,\;\; ad - be \geq 0\,.$$

As $x^a y^b = u^{ad-be} v^b$, this shows that A embeds naturally into $\mathbb{C}[u,v]$ and that even $A = \mathbb{C}[x,y] \cap \mathbb{C}[u,v]$. In particular A is a normal domain. Because of $u^d = x \in A$ and $v^d = x^e y^d \in A$ the ring B is integral over A, whence it is the normalization of A.

The second part follows from the first one, since L is a cyclic extension of $\operatorname{Frac}(A)$ with Galois group $\mathbb{Z}_d$ acting via $\zeta.u = \zeta u$ and $\zeta.z = z$ for all $z \in A$. □

REMARK 2.5. Assuming that $e > 0$ and letting $\xi := \zeta^e$ one obtains

$$(\zeta u, \zeta^e v) = (\xi^{e'} u, \xi v)\,,$$

where $0 \leq e' < d$ and $ee' \equiv 1 \mod d$ (note that for $d = 1$ this means $e' = 0$). Hence, with $\tau(u,v) := (v,u)$ the conjugate $\mathbb{Z}_d$-action $G'_{d,e'} := \tau^{-1} G_{d,e'} \tau$ on $\mathbb{A}^2_{\mathbb{C}}$

$$\xi.(u,v) = (\xi^{e'} u, \xi v)$$

has the same orbits as $G_{d,e}$ thus providing an isomorphism of affine surfaces

$$V_{d,e} \cong \mathbb{A}^2_{\mathbb{C}}/G_{d,e} \cong \mathbb{A}^2_{\mathbb{C}}/G'_{d,e'} \cong \mathbb{A}^2_{\mathbb{C}}/G_{d,e'} \cong V_{d,e'}\,.$$

Moreover, $V_{d,e} \cong V_{d',e'}$ if and only if $d = d'$ and either $e = e'$ or $ee' \equiv 1 \mod d$.

3. The parabolic case

In the parabolic case one considers a normal affine surface V with a $\mathbb{C}^*$-action such that the coordinate ring $A = \bigoplus_{i \geq 0} A_i$ is positively graded and A_0 is a 1-dimensional domain. Thus A_0 corresponds to a smooth affine curve $C = \operatorname{Spec} A_0$, which can be identified with the algebraic quotient $V/\!/\mathbb{C}^*$ (indeed, $A_0 = A^{\mathbb{C}^*}$ is the ring of invariants of the $\mathbb{C}^*$-action on A). The embedding $A_0 \hookrightarrow A$ corresponds to the quotient morphism $\pi\colon V \to C$, and the projection $A \to A_0$ gives an embedding $\iota\colon C \hookrightarrow V$ which provides a retraction of π and whose image is the fixed point set. Every fiber of $\pi\colon V \to C$ is the closure of a non-trivial orbit; it contains a unique fixed point (a *source* of this orbit) [12, Lemma 1.7].

A simple example of a parabolic $\mathbb{C}^*$-surface is the cylinder $C \times \mathbb{A}^1_{\mathbb{C}}$ over a smooth affine curve C, where $\mathbb{C}^*$ acts on the second factor. More examples can be produced by applying equivariant affine modifications to $C \times \mathbb{A}^1_{\mathbb{C}}$ (see [16, Theorem 1.1]). Actually, one obtains in this way all normal affine surfaces with a parabolic $\mathbb{C}^*$-action.

3.1. The Dolgachev-Pinkham-Demazure construction (see Theorem 2.2) is available also in the parabolic case. Let $C = \operatorname{Spec} A_0$ be an affine curve over $\mathbb{C}$ with function field $K_0 := \operatorname{Frac}(A_0)$, and let D be a $\mathbb{Q}$-Cartier divisor on C. Similarly as in the elliptic case we can introduce the algebra

$$A_0[D] := A_{C,D} = \bigoplus_{n\geq 0} H^0\big(C, \mathcal{O}_C(\lfloor nD \rfloor)\big) \cdot u^n \subseteq K_0[u]\,.$$

More explicitly, if $f \in K_0$ then

$$fu^n \in A := A_0[D] \Leftrightarrow \operatorname{div} f + nD \geq 0. \tag{3}$$

By [10, 2.2] the algebra A is finitely generated over A_0 and normal (see also Corollary 3.8(b) below). Notice also that $u \in A_1$ if and only if $D \geq 0$.

The following theorem is well known (cf. [10, Theorem 3.5]); for the convenience of the reader we include a short proof.

Theorem 3.2. *Let $C = \operatorname{Spec} A_0$ be a normal affine algebraic curve with function field $K_0 := \operatorname{Frac}(A_0)$. If $A = \bigoplus_{i\geq 0} A_i$ is a normal finitely generated A_0-algebra of dimension 2 with $A_1 \neq 0$ then the following hold.*
(a) *A is isomorphic to $A_0[D]$ for some $\mathbb{Q}$-divisor D on C. More precisely, if $u \in K_0 \cdot A_1$ is a non-zero element and if the divisor D is defined by the equality*

$$\pi^* D = \operatorname{div} u - \iota(C)\,,$$

then A and $A_0[D]$ are equal when considered as subrings of $K_0[u]$.
(b) *For two $\mathbb{Q}$-divisors D and D' on C, the rings $A = A_0[D]$ and $A' = A_0[D']$ are isomorphic as graded A_0-algebras if and only if D and D' are linearly equivalent.*

Proof. (a) Since $u \in K_0 \cdot A_1$ is homogeneous, the divisor $\operatorname{div} u$ on the normal surface $V = \operatorname{Spec} A$ is invariant under the induced $\mathbb{C}^*$-action on V, and so we have

$$\operatorname{div} u = \sum_{i=1}^{m} p_i F_i + \iota(C)$$

with $p_i \in \mathbb{Z}$, where $F_i = \pi^{-1}(x_i)_{\mathrm{red}}$ are the fibers of π over distinct points $x_i \in C$, $i = 1, \ldots, m$. Letting $\pi^* x_i = q_i F_i$ with $q_i \in \mathbb{N}$ $(i = 1, \ldots, m)$, the $\mathbb{Q}$-divisor $D := \sum_{i=1}^m p_i/q_i x_i$ on V satisfies

$$\operatorname{div} u = \pi^*(D) + \iota(C)\,.$$

Since V is normal, for a rational function $\varphi \in K_0$ on C the following equivalences hold:

$$\varphi u^n \in A_n \Leftrightarrow \operatorname{div}(\varphi u^n) \geq 0 \Leftrightarrow \pi^* \operatorname{div} \varphi + n \operatorname{div} u \geq 0 \Leftrightarrow$$
$$\pi^* \operatorname{div} \varphi + n\pi^*(D) + n\iota(C) \geq 0 \Leftrightarrow \operatorname{div} \varphi + nD \geq 0 \Leftrightarrow \varphi \in H^0\big(C, \mathcal{O}_C(\lfloor nD \rfloor)\big)\,.$$

Hence $A_n = H^0(C, \mathcal{O}_C(\lfloor nD \rfloor)) \cdot u^n$ for all $n \geq 0$, as desired.
(b) Any isomorphism of graded A_0-algebras

$$\varphi\colon A_0[D] = \bigoplus_{n\geq 0} H^0\big(C, \mathcal{O}_C(\lfloor nD \rfloor)\big) \cdot u^n \longrightarrow A_0[D'] = \bigoplus_{n\geq 0} H^0\big(C, \mathcal{O}_C(\lfloor nD' \rfloor)\big) \cdot u'^n\,,$$

extends to an isomorphism of graded K_0-algebras

$$\varphi_{K_0}\colon K_0[u] \to K_0[u']$$

and so has the form $u^n \mapsto f^n u'^n$, $n \geq 0$, for some non-zero $f \in K_0$. Conversely, such a morphism φ_{K_0} maps $A_0[D]$ isomorphically onto $A_0[D']$ if and only if

$$H^0\big(C, \mathcal{O}_C(\lfloor nD' \rfloor)\big) = f^n \cdot H^0\big(C, \mathcal{O}_C(\lfloor nD \rfloor)\big) \quad \forall n.$$

As

$$f^n \cdot H^0\big(C, \mathcal{O}_C(\lfloor nD \rfloor)\big) = H^0\big(C, \mathcal{O}_C(\lfloor nD - n \operatorname{div} f \rfloor)\big)\,,$$

the existence of an isomorphism φ as above is equivalent to the existence of an element $f \in K_0$ with $D' = D - \operatorname{div} f$. □

3.3. We denote $\{D\} = D - \lfloor D \rfloor$ the fractional part of a $\mathbb{Q}$-divisor D. Since principal divisors are $\mathbb{Z}$-divisors, we have $\{D\} = \{D'\}$ as soon as $D \sim D'$.

If $C = \operatorname{Spec} \mathbb{C}[t] = \mathbb{A}^1_{\mathbb{C}}$ then the converse is also true. Indeed, any $\mathbb{Z}$-divisor on $\mathbb{A}^1_{\mathbb{C}}$ is principal, and so the linear equivalence class of a $\mathbb{Q}$-divisor D on $\mathbb{A}^1_{\mathbb{C}}$ is uniquely determined by the fractional part $\{D\}$ of D. Thus we obtain the following corollary.

Corollary 3.4. *For every normal parabolic $\mathbb{C}^*$-surface $V = \operatorname{Spec} A$ with $A = \bigoplus_{n\geq 0} A_n$ and $A_0 = \mathbb{C}[t]$, there is a unique isomorphism $A \cong A_0[D]$ of graded A_0-algebras, where $D = 0$ or $D = \sum_{i=1}^n (p_i/q_i)x_i$ with $0 < p_i < q_i$, $\gcd(p_i, q_i) = 1$ $\forall i = 1, \ldots, n$ and $x_i \in \mathbb{A}^1_{\mathbb{C}}$, $x_i \neq x_j$ for $i \neq j$.*

The next lemma is also well known; in lack of a reference we provide a short argument.

Lemma 3.5. *Let D be a $\mathbb{Q}$-divisor on a normal affine variety S and consider the graded ring $A := \bigoplus_{i\geq 0} A_i$, where $A_i := H^0(S, \mathcal{O}_S(\lfloor iD \rfloor)) \cdot u^i$. For $d \in \mathbb{N}$ the following conditions are equivalent.*

(i) *dD is integral.*
(ii) *$A_{d+m} = A_d A_m$ for all $m \geq 0$.*
(iii) *The d-th Veronese subring $A^{(d)} := \bigoplus_{m\geq 0} A_{md}$ is isomorphic to the symmetric algebra $S_{A_0}(A_d)$ i.e., $A_{md} = S^m_{A_0} A_d$.*

Proof. Condition (ii) is equivalent to

$$\mathcal{O}_S(\lfloor (m+d)D \rfloor) \cong \mathcal{O}_S(\lfloor mD \rfloor) \otimes \mathcal{O}_S(\lfloor dD \rfloor) \qquad \forall m \geq 0\,,$$

and the latter condition is equivalent to

$$\text{(ii}'\text{)} \qquad \lfloor (m+d)D \rfloor = \lfloor mD \rfloor + \lfloor dD \rfloor \qquad \forall m \geq 0\,.$$

Similarly, (iii) is equivalent to

$$\text{(iii}'\text{)} \qquad \lfloor mdD \rfloor = m \lfloor dD \rfloor \qquad \forall m \geq 0\,.$$

The equivalence of (i), (ii$'$) and (iii$'$) now follows from the elementary fact that for a rational number $r = p/q$ and $d \in \mathbb{N}$ the following conditions are equivalent:

$$(1)\ dr \in \mathbb{Z} \qquad (2)\ \lfloor (m+d)r \rfloor = \lfloor mr \rfloor + \lfloor dr \rfloor\ \forall m \geq 0 \qquad (3)\ \lfloor mdr \rfloor = m\lfloor dr \rfloor\ \forall m \geq 0.$$

□

NOTATION 3.6. We denote $d(A)$ the smallest positive integer d satisfying the equivalent conditions of Lemma 3.5.

REMARK 3.7. In the situation of Theorem 3.2, one can recover D from the graded ring $A = A_0[D]$ more algebraically as follows. Consider $d \in \mathbb{N}$ with $A_d A_i = A_{d+i}$ for all $i \geq 0$ (or, equivalently, $A_{id} = S^i(A_d)$, see Lemma 3.5) and let v be a generator of A_d as A_0-module; this exists after a suitable localization of A_0. *If $u^d = fv$ with $f \in \operatorname{Frac} A_0$, then $D = \operatorname{div}(f)/d$.* In fact, the ideal vA is equal to $A_{\geq d}$ and so its zero set has no irreducible components in the fibers of π. Thus $\operatorname{div} v = d \cdot \iota(C)$ on V. Since

$$\pi^*(D) = \operatorname{div} u - \iota(C) \quad \text{and} \quad d \cdot \operatorname{div} u = \operatorname{div} v + \operatorname{div} f$$

as divisors on V, we obtain $D = \operatorname{div}(f)/d$.

A parabolic $\mathbb{C}^*$-surface $V = \operatorname{Spec} A_0[D]$ has at most cyclic quotient singularities, as follows from Miyanishi's Theorem (see [17, Lemma 1.4.4(1)]). In the next result (see [10, Section 5]) we describe their structure in terms of the divisor D.

Proposition 3.8. (a) *If $A_0 = \mathbb{C}[t]$ and if D is supported on the origin in $\operatorname{Spec} A_0 = \mathbb{A}^1_{\mathbb{C}}$ so that $D = -(e/d)[0]$ with $\gcd(e,d) = 1$, then $A := A_0[-(e/d)[0]]$*

is naturally isomorphic to the semigroup algebra

$$A_{d,e} = \bigoplus_{b\geq 0,\ ad-be\geq 0} \mathbb{C}\cdot t^a u^b$$

graded via $\deg t = 0$, $\deg u = 1$ (*cf.* Example 2.3). *Consequently*, $V := \operatorname{Spec} A$ *is isomorphic to the toric surface* $V_{d,e'} = \operatorname{Spec} A_{d,e'} \cong \mathbb{A}^2_{\mathbb{C}}/G_{d,e'}$, *where* $e' \equiv e \mod d$ *and* $0 \leq e' < d$.
(b) *If* $C = \operatorname{Spec} A_0$ *is any normal affine curve over* $\mathbb{C}$ *and* D *is a* $\mathbb{Q}$*-divisor on* C, *then the surface* $V = \operatorname{Spec} A_0[D]$ *is normal with at most cyclic quotient singularities. More precisely, if* $D(a) = -e/d$ *with* $\gcd(e,d) = 1$ *then* V *has a quotient singularity of type* (d, e') *at* $\iota(a)$, *where* e' *is as in* (a).

Proof. The first part of (a) follows immediately from (3) in 3.1, whereas the second one is a consequence of Lemma 2.4.

Tensoring the isomorphism in (a) with $-\otimes_{\mathbb{C}[t]} \mathbb{C}[[t]]$ we obtain that (b) holds if $A_0 \cong \mathbb{C}[[t]]$. The general case follows from this by taking completions at the maximal ideals of A_0. $\square$

The algebra $A_0[D]$ is finitely generated over A_0, so there exist $f_1, \ldots, f_n \in K_0$ and $m_1, \ldots, m_n \in \mathbb{N}$ such that

$$A = A_0[f_1 u^{m_1}, \ldots, f_n u^{m_n}] \subseteq K_0[u]\,.$$

In the next result we show how to compute D from such a representation.

Proposition 3.9. *Let* $C = \operatorname{Spec} A_0$ *be a smooth affine curve and* $K_0 := \operatorname{Frac} A_0$. *If a* 2*-dimensional subring* B *of the polynomial ring* $K_0[u]$ *is represented as*

$$B = A_0[f_1 u^{m_1}, \ldots, f_n u^{m_n}] \subseteq K_0[u]\,, \quad m_i > 0\ \forall i$$

with $f_1, \ldots, f_n \in K_0$ *and* $\gcd(m_1, \ldots, m_n) = 1$, *then its normalization* $A = B_{\text{norm}}$ *coincides as an* A_0*-subalgebra of* $K_0[u]$ *with* $A_0[D]$, *where*

$$D := -\min_{1\leq i\leq n} \frac{\operatorname{div} f_i}{m_i}\,.$$

Proof. By definition of D we have $\operatorname{div} f_i + m_i D \geq 0$ so by (3) $f_i u^{m_i} \in A_0[D]$ and B is a subring of $A_0[D]$. As $A_0[D]$ is normal (see Proposition 3.8(b)), A is also contained in $A_0[D]$. Let us show that these subrings coincide.

According to Theorem 3.2, we can represent A as $A = A_0[D']$ with $\pi^*(D') = \operatorname{div} u - \iota(C)$. In particular $f_i u^{m_i} \in A = A_0[D']$, so again by (3) $\operatorname{div} f_i + m_i D' \geq 0$ or, equivalently, $D' \geq -(1/m_i) \operatorname{div} f_i$. Thus $D' \geq D$ and $A_0[D] \subseteq A_0[D'] = A$. As we have already shown the converse inclusion we obtain that $A = A_0[D]$, as desired. $\square$

The following examples of parabolic $\mathbb{C}^*$-surfaces ruled over $\mathbb{A}^1_{\mathbb{C}}$ are basic (see Theorem 3.11 below).

EXAMPLE 3.10. For a unitary polynomial $P \in \mathbb{C}[t]$ and for an integer $d \geq 1$ we let

$$B^+_{d,P} := \mathbb{C}[t, u, v]/(u^d - P(t)v) \cong \mathbb{C}\left[t, u, \frac{u^d}{P(t)}\right]$$

graded via

$$\deg t = 0, \qquad \deg u = 1, \qquad \deg v = d\,.$$

The normalization

$$A^+_{d,P} := (B^+_{d,P})_{\mathrm{norm}}$$

is a positively graded finitely generated $\mathbb{C}$-algebra of dimension 2 with $A_0 = \mathbb{C}[t]$. By Proposition 3.9 and Corollary 3.4 we have

$$A^+_{d,P} \cong A_0[D] \cong A_0[\{D\}], \qquad \text{where} \qquad D = D(d, P) := \frac{\operatorname{div}(P)}{d}\,.$$

For $P(t) = \prod_{i=1}^n (t - x_i)^{r_i}$ (where $x_i \neq x_j$ if $i \neq j$) we obtain

$$D = \sum_{i=1}^n \frac{r_i}{d} x_i\,, \qquad \text{and} \qquad \{D\} = \sum_{i=1}^n \left\{\frac{r_i}{d}\right\} x_i\,,$$

whereas $D = 0$ if $P = 1$. Replacing D by $\{D\}$ we may suppose that

$(*)$ $\gcd(d, r_1, \ldots, r_n) = 1$, $0 < r_i < d$ $\forall i = 1, \ldots, n$, if $d \geq 2$, and $P = 1$ if $d = 1$.

If two pairs (d, P) and $(\tilde{d}, \tilde{P})$ satisfy $(*)$ and if $A^+_{d,P} \cong A^+_{\tilde{d},\tilde{P}}$ as graded A_0-algebras then by Corollary 3.4 we have $\operatorname{div}(P)/d = \operatorname{div}(\tilde{P})/\tilde{d}$, and so $d = \tilde{d}$ and $P = \tilde{P}$.

Thus we obtain the following classification result.

Theorem 3.11. *For every normal affine surface $V = \operatorname{Spec} A$, where $A = \bigoplus_{i\geq 0} A_i$ with $A_0 = \mathbb{C}[t]$, there is a unique pair (d, P) satisfying condition $(*)$ and an equivariant isomorphism of A_0-schemes*

$$\varphi\colon V \longrightarrow V^+_{d,P} := \operatorname{Spec} A^+_{d,P}\,.$$

REMARK 3.12. 1. In the situation of Theorem 3.11 above, the Veronese subring $A^{(d)}$ is equal to $A_0[v] = \mathbb{C}[t, v]$. The cyclic group $\mathbb{Z}_d$ acts on A via the $\mathbb{C}^*$-action and $A^{(d)}$ coincides with the ring of invariants $A^{\mathbb{Z}_d}$, whereas A is the normalization of $A^{(d)}$ in the fraction field Frac(A). Thus the morphism $V \to \mathbb{A}^2_{\mathbb{C}} = \operatorname{Spec} \mathbb{C}[t, v]$ induced by the inclusion $\mathbb{C}[t, v] \subseteq A$ represents V as a cyclic covering of the plane branched along the curve $u = 0$, and V is the normalization of a surface $\{u^d - P(t)v = 0\}$ in $\mathbb{C}^3$.
2. More generally, let $C = \operatorname{Spec} A_0$ be any smooth affine curve and let $A = \bigoplus_{i\geq 0} A_i$ be a normal 2-dimensional A_0-algebra of finite type. If $A_1 = u \cdot A_0$ and $A_d = v \cdot A_0$, $d := d(A)$, for suitable elements $u \in A_1$ and $v \in A_d$ then A is the normalization of an algebra $A_0[u, v]/(u^d - P_+v)$ graded via $\deg u = 1$, $\deg v = d$, for a certain $d \in \mathbb{N}$ and a certain element $P_+ \in A_0$.

4. The hyperbolic case

Let $A = \bigoplus_{i\in\mathbb{Z}} A_i$ be the coordinate ring of a normal affine surface $V = \operatorname{Spec} A$ with $\mathbb{C}^*$-action such that A_+, A_- are both non-zero. Here again there is a quotient morphism $\pi\colon V \to C = \operatorname{Spec} A_0$ induced by the inclusion $A_0 \hookrightarrow A$. Every fiber of π is either a non-trivial orbit or a union of two 1-dimensional orbits and a hyperbolic fixed point, which is a source for one of them and a sink for the other one [12, Lemma 1.7]. Thus the fixed point set F is finite and contains Sing V.

By Lemma 1.1 the proper subalgebras $A_{\geq 0}$ and $A_{\leq 0}$ of A are normal and finitely generated, and so $V_+ := \operatorname{Spec} A_{\geq 0}$ and $V_- := \operatorname{Spec} A_{\leq 0}$ are normal affine surfaces with a parabolic $\mathbb{C}^*$-action birationally dominated by V. The natural embeddings $A_0 \hookrightarrow A_{\geq 0} \hookrightarrow A$ and $A_0 \hookrightarrow A_{\leq 0} \hookrightarrow A$ yield the commutative diagram

$$\begin{tikzcd} V_+ \arrow[dr, "\pi_+"'] & V \arrow[l, "\sigma_+"'] \arrow[r, "\sigma_-"] \arrow[d, "\pi"] & V_- \arrow[dl, "\pi_-"] \\ & C & \end{tikzcd} \tag{4}$$

where $\sigma_\pm$ are equivariant birational morphisms. Hence $\sigma_\pm$ are equivariant affine modifications [16, Theorem 1.1]. More precisely the following result holds.

Proposition 4.1. *V can be obtained from $V_\pm$ by blowing up a $\mathbb{C}^*$-invariant subscheme and deleting the proper transform of a $\mathbb{C}^*$-invariant divisor $D^\pm$ on $V_\pm$, which contains the fixed point curve $\iota_\pm(C) \subseteq V_\pm$.*

Proof. Let us show this for V_+, the proof for V_- being similar. Choose a system of homogeneous generators $a_1, \ldots, a_n$ of the finitely generated A_0-subalgebra $A_{\leq 0}$ and let $f_0 \in A_+$ be a non-zero element of degree $m = -\min_i \deg a_i$. Letting $f_i := a_i f_0$ for

$i = 1, \dots, n$ we obtain

$$A = A_{\geq 0}\left[\frac{f_1}{f_0}, \dots, \frac{f_n}{f_0}\right] = A_{\geq 0}\left[\frac{I}{f_0}\right] := \left\{ \frac{x_k}{f_0^k} \;\middle|\; x_k \in I^k,\ \ k \geq 0 \right\},$$

where I is the graded ideal of $A_{\geq 0}$ generated by $f_0, \dots, f_n$. Thus $V = \operatorname{Spec} A$ is obtained by blowing up $V_+ = \operatorname{Spec} A_{\geq 0}$ with center I and deleting the proper transform of the $\mathbb{C}^*$-invariant divisor $\operatorname{div} f_0$ on V_+. As this divisor contains $\iota_+(C)$, the result follows. □

For a more precise description of the affine modifications $\sigma_{\pm}$ see Remark 4.20.

4.2. The Dolgachev-Pinkham-Demazure construction is still available in the hyperbolic case. In [10, Theorem 3.5] it is done under the additional assumption that $A_{-n} \otimes A_n \to A_0$ is an isomorphism for all n. Here we generalize the construction in order to make it work for any hyperbolic $\mathbb{C}^*$-surface.

Let D_+, D_- be $\mathbb{Q}$-divisors on the smooth affine curve $C := \operatorname{Spec} A_0$. For $n \geq 0$ we consider the A_0-submodules

$$A_{-n} := H^0\big(C, \mathcal{O}_C(\lfloor nD_- \rfloor)\big) \cdot u^{-n} \quad \text{and} \quad A_n := H^0\big(C, \mathcal{O}_C(\lfloor nD_+ \rfloor)\big) \cdot u^n$$

of $\operatorname{Frac}(A_0)[u, u^{-1}]$, where u is an indeterminate of degree 1. If $D_+ + D_- \leq 0$ then for $n \geq m \geq 0$ we have

$$\lfloor nD_+ \rfloor + \lfloor mD_- \rfloor \leq \lfloor (n-m)D_+ \rfloor,$$

whence $A_n \cdot A_{-m} \subseteq A_{n-m}$. Similarly, for $0 \leq n \leq m$ we have $A_n \cdot A_{-m} \subseteq A_{n-m}$. Thus

$$A := A_0[D_+, D_-] := \bigoplus_{n \in \mathbb{Z}} A_n$$

is a finitely generated A_0-subalgebra of $\operatorname{Frac}(A_0)[u, u^{-1}]$ with $A_{\geq 0} = A_0[D_+]$ and $A_{\leq 0} \cong A_0[D_-]$. The grading on A defines a natural hyperbolic $\mathbb{C}^*$-action on the surface $V := \operatorname{Spec} A$. The latter surface is normal as so are the algebras $A_0[D_+]$ and $A_0[D_-]$ (see Lemma 1.1 and Corollary 3.8(b)). Conversely, we have the following theorem.

Theorem 4.3. *If $C = \operatorname{Spec} A_0$ is a smooth affine curve and $A = \bigoplus_{i \in \mathbb{Z}} A_i$ is a normal graded finitely generated domain of dimension 2 with $A_{\pm} \neq 0$, then the following hold.*

(a) *A is isomorphic to $A_0[D_+, D_-]$, where D_+, D_- are $\mathbb{Q}$-divisors on C satisfying $D_+ + D_- \leq 0$. More precisely, if $u \in \operatorname{Frac}(A_0) \cdot A_1$ and if the divisors D_+, D_- on C are defined by*

$$\pi_+^*(D_+) = \operatorname{div}(u) - \iota_+(C) \quad \textit{and} \quad \pi_-^*(D_-) = \operatorname{div}(u^{-1}) - \iota_-(C), \tag{5}$$

where $\pi_\pm$ *are as in diagram* (4) *above and* $\iota_\pm\colon C \hookrightarrow V_\pm$ *are the natural embeddings, then* $D_+ + D_- \le 0$ *and* $A \cong A[D_+, D_-]$.
(b) $A_0[D_+, D_-] \cong A_0[D'_+, D'_-]$ *as graded* A_0*-algebras if and only if, for a rational function* $\varphi \in \mathrm{Frac}(A_0)$, *one has*

$$D'_+ = D_+ + \operatorname{div}\varphi \qquad \text{and} \qquad D'_- = D_- - \operatorname{div}\varphi\,.$$

Proof. (a) By Theorem 3.2 and its proof we have equalities

$$A_{\ge 0} = A_0[D_+] \quad \text{and} \quad A_{\le 0} = A_0[D_-]$$

as subalgebras of $\mathrm{Frac}(A_0)[u, u^{-1}]$, whence $A = A_0[D_+, D_-]$. It remains to show that $D_+ + D_- \le 0$. Applying in (5) the functors σ_+^* and σ_-^* respectively, we obtain

$$\pi^*(D_+) = \operatorname{div}(u) - \sigma_+^*\iota_+^*(C) \quad \text{and} \quad \pi^*(D_-) = \operatorname{div}(u^{-1}) - \sigma_-^*\iota_-^*(C).$$

Taking the sum of these equalities yields $\pi^*(D_+ + D_-) = -(\sigma_+^*\iota_+^*(C) + \sigma_-^*\iota_-^*(C))$, whence $D_+ + D_- \le 0$, as required. Finally (b) follows from Theorem 3.2(b) and its proof. $\square$

Consequently, if $A_0 = \mathbb{C}[t]$ then A admits a unique presentation $A = A_0[D_+, D_-]$ with $D_+ = \{D_+\}$ and $D_+ + D_- \le 0$.

It follows from Theorem 4.3 that outside $|D_+| \cup |D_-|$, the map $\pi\colon V \to C$ is a locally trivial principal $\mathbb{C}^*$-bundle. More generally, the Dolgachev-Pinkham-Demazure construction shows the following result (cf. [1], [12, Proposition 1.11]).

Corollary 4.4. *In all three cases, outside of a finite subset of the curve* C *the projection* $\pi\colon V^* \to C$ *and* $\pi\colon V \to C$, *respectively, defines a locally trivial fiber bundle. This is a principal* $\mathbb{C}^*$*-bundle in the elliptic and hyperbolic cases, and a line bundle in the parabolic case.*

Note that if $u \in A_1 \cup A_{-1}$ is a non-zero element then its restriction to a general fiber of π gives a fiber coordinate and so a trivialization over a Zariski open subset of C.

REMARK 4.5. *The algebra* $A = A_0[D_+, D_-]$ *contains an invertible element of degree* $d > 0$ *if and only if* $D_- = -D_+$ *and* dD_+ *is a principal divisor on* $C = \operatorname{Spec} A_0$. In fact, if $v \in A$ is an invertible element of degree $d > 0$ then we can write

$$v = fu^d \in A_d \qquad \text{and} \qquad v^{-1} = f^{-1}u^{-d} \in A_{-d}\,,$$

where $f \in \mathrm{Frac}(A_0)$ satisfies

$$\operatorname{div}(f) + dD_+ \ge 0 \qquad \text{and} \qquad -\operatorname{div}(f) + dD_- \ge 0\,.$$

Thus $0 \geq D_+ + D_- \geq 0$, whence $D_- = -D_+$. Since $A_d = vA_0$ it also follows that dD_+ is principal. Conversely, if $D_+ = -D_-$ and if dD_+ is principal, then $vA_0 = A_d$ is free over A_0 and $v = fu^d$ with $\operatorname{div} f + dD_+ = 0$ by Remark 3.7. Hence also $\operatorname{div} f^{-1} + dD_- = 0$, so $f^{-1}u^{-d} \in A$ and $v = fu^d$ is a unit in A.

The following analogue of Proposition 3.9 holds with a similar proof.

Lemma 4.6. *Let $C = \operatorname{Spec} A_0$ be a smooth affine curve with function field $K_0 = \operatorname{Frac}(A_0)$. If a graded 2-dimensional domain $B \subseteq K_0[u, u^{-1}]$ is represented as*

$$B = A_0[h_1 u^{-n_1}, \ldots, h_k u^{-n_k},\ f_1 u^{m_1}, \ldots, f_n u^{m_n}] \qquad (\textit{where} \quad n_i, m_j > 0\ \forall i, j)$$

with $h_1, \ldots, h_k,\ f_1, \ldots, f_n \in K_0$ and $B_0 = A_0$, then its normalization $A = B_{\text{norm}}$ coincides (as a graded A_0-subalgebra of $K_0[u, u^{-1}]$) with $A_0[D_+, D_-]$, where

$$D_- = -\min_{1\leq i\leq k} \frac{\operatorname{div} h_i}{n_i} \qquad \textit{and} \qquad D_+ = -\min_{1\leq j\leq n} \frac{\operatorname{div} f_j}{m_j}\,.$$

We notice that the assumption $A_0 = B_0$ amounts to the inequalities

$$\frac{\operatorname{div} h_i}{n_i} + \frac{\operatorname{div} f_j}{m_j} \geq 0 \quad \forall i, j\,,$$

which in turn are equivalent to $D_+ + D_- \leq 0$.

The following lemma provides additional information in the case that $\lfloor D_\pm \rfloor$ and $d_\pm(A)D_\pm$ are principal divisors[1].

Lemma 4.7. *Let $A = \bigoplus_{i\in\mathbb{Z}} A_i = A_0[D_+, D_-] \subseteq \operatorname{Frac}(A_0)[u, u^{-1}]$, and let $d_\pm = d_\pm(A)$ be the minimal positive integer such that the divisor $d_\pm D_\pm$ is integral. If $A_{\pm 1} = u_\pm \cdot A_0$, $A_{\pm d_\pm} = v_\pm \cdot A_0$ and*

$$u_+ u_- = Q, \qquad u_\pm^{d_\pm} = P_\pm v_\pm$$

for some elements $Q, P_\pm \in A_0$, then

$$D_+ = \frac{\operatorname{div} P_+}{d_+} + D_0 \qquad \textit{and} \qquad D_- = \frac{\operatorname{div} P_-}{d_-} - D_0 - \operatorname{div} Q\,, \tag{6}$$

where D_0 is the integral divisor $D_0 = \operatorname{div}(u/u_+)$ on $C = \operatorname{Spec} A_0$. Consequently,

$$\frac{\operatorname{div} P_+}{d_+} + \frac{\operatorname{div} P_-}{d_-} \leq \operatorname{div} Q\,. \tag{7}$$

[1]or, equivalently, that $A_{\pm 1}$ and $A_{\pm d_\pm}$ are free A_0-modules of rank 1.

Furthermore, P_+ and P_- are uniquely determined by D_+ and D_- through

$$\{D_+\} = \frac{\operatorname{div} P_+}{d_+} \qquad \textit{and} \qquad \{D_-\} = \frac{\operatorname{div} P_-}{d_-}\,. \tag{8}$$

Proof. We have $u^{d_+} = P_+ \cdot (u/u_+)^{d_+} v_+$ and $u^{-d_-} = P_- \cdot (u/u_+)^{-d_-} Q^{-d_-} v_-$ and so by Remark 3.7

$$\begin{aligned} D_+ &= \frac{\operatorname{div}(P_+ \cdot (u/u_+)^{d_+})}{d_+} = \frac{\operatorname{div} P_+}{d_+} + D_0\,, \quad \text{and} \\ D_- &= \frac{\operatorname{div}(P_- \cdot (u/u_+)^{-d_-} Q^{-d_-})}{d_-} = \frac{\operatorname{div} P_-}{d_-} - D_0 - \operatorname{div} Q\,. \end{aligned}$$

Now (7) follows from the inequality $D_+ + D_- \le 0$. To show (8), after localizing A_0 we can assume that $P_\pm = S_\pm^{d_\pm} T_\pm$, where $S_\pm,\ T_\pm \in A_0$ are elements with

$$\operatorname{div} S_\pm = \left\lfloor \frac{\operatorname{div} P_\pm}{d_\pm} \right\rfloor \qquad \text{and} \qquad \operatorname{div} T_\pm = \left\{ \frac{\operatorname{div} P_\pm}{d_\pm} \right\},$$

respectively. The relation $\left(u_\pm/S_\pm\right)^{d_\pm} = T_\pm v_\pm$ then shows that $u_\pm/S_\pm$ is integral over A and so by the normality of A is contained in $A_{\pm 1}$. As $u_\pm$ is a generator of $A_{\pm 1}$ this forces that $S_\pm \in A_0^\times$ are units, proving (8). □

In many cases the surfaces $V = \operatorname{Spec} A_0[D_+, D_-]$ can be represented by explicit equations as follows.

Proposition 4.8. *With the assumptions as in* Lemma 4.7 *the following hold.*
(a) *$A = A_0[D_+, D_-]$ is the normalization of the A_0-algebra*

$$B := A_0[u_-, v_+, v_-] \Big/ \left(u_-^{d_-} - v_- P_-,\ v_+^{d'_-} v_-^{d'_+} - P\,,\ v_+ u_-^{d_+} - Q_+\right) \tag{9}$$

graded via $\deg u_- = -1$, $\deg v_\pm = \pm d_\pm$, *where* $k := \gcd(d_+, d_-)$, $d'_\pm := d_\pm/k$ *and*

$$P := \frac{Q^{k d'_+ d'_-}}{P_+^{d'_-} P_-^{d'_+}} \in A_0, \qquad Q_+ := \frac{Q^{d_+}}{P_+} \in A_0\,. \tag{10}$$

(b) *$V = \operatorname{Spec} A$ is a cyclic branched covering of degree k of the normalization of the hypersurface $\{v_+^{d'_-} v_-^{d'_+} - P = 0\}$ in $C \times \mathbb{A}^2_{\mathbb{C}}$.*
(c) *If $k = 1$ i.e., if d_+ and d_- are coprime and if v_+ is not invertible, then $V = \operatorname{Spec} A$ can be represented as the normalization of a hypersurface X in $A^3_{\mathbb{C}} = \operatorname{Spec} \mathbb{C}[s, v_+, v_-]$ with equation*

$$q\left(s, v_+^{d_-} \cdot v_-^{d_+}\right) = 0\,,$$

where $q \in \mathbb{C}[s,t]$ is a suitable irreducible polynomial.

Proof. (a) First we note that A is integral over the subring $A_0[v_\pm]$. Indeed, if $w \in A_k$ with $k \neq 0$ then $w^{d_+} = av_+^k$ if $k > 0$ and $w^{d_-} = av_-^k$ if $k < 0$, where $a \in A_0$ (see Lemma 3.5). Since A and its subring $A_0[u_-, v_\pm]$ have the same field of fractions, it follows that A is the normalization of $A_0[u_-, v_\pm]$.

To find the relations between the generators of $A_0[u_-, v_\pm]$, note that $v_\pm = u_\pm^{d_\pm}/P_\pm$ and so

$$v_+^{d'_-} v_-^{d'_+} = \frac{u_+^{d_+d'_-} u_-^{d'_+d_-}}{P_+^{d'_-} P_-^{d'_+}} = \frac{Q^{kd'_+d'_-}}{P_+^{d'_-} P_-^{d'_+}} = P \in A_0 .$$

Similarly

$$v_+ u_-^{d_+} = \frac{u_+^{d_+} u_-^{d_+}}{P_+} = \frac{Q^{d_+}}{P_+} = Q_+ \in A_0 .$$

The general fibers of the natural map $\operatorname{Spec} B \to C = \operatorname{Spec} A_0$ are irreducible, and every fiber is 1-dimensional and in the closure of the generic fiber. Thus the surface $\operatorname{Spec} B$ is irreducible, and (a) follows.

(b) Since $k = \gcd(d_+, d_-)$, the ring $A_0[v_\pm]$ contains nonzero elements of degree k and is contained in the Veronese subring $A^{(k)}$ of A. Hence the fraction fields of both rings coincide. As A and then also $A^{(k)}$ is integral over $A_0[v_\pm]$ the normalization of $A_0[v_\pm]$ is just $A^{(k)}$. The cyclic group $\mathbb{Z}_k$ acts on A via the $\mathbb{C}^*$-action with invariant ring $A^{(k)}$. Thus $V \to \operatorname{Spec} A^{(k)}$ is a cyclic branched covering of degree k, and (b) follows.

(c) In case $k = 1$ the algebra $A = A^{(k)}$ is itself the normalization of the hypersurface $A_0[v_+, v_-]/(v_+^{d_-} v_-^{d_+} - P)$. Notice that P is non-constant as A is a domain and, by our assumption, the elements $v_\pm$ are not invertible. For a general element s of A_0 the map $\varphi = (s,t)$ is a finite morphism of $C = \operatorname{Spec} A_0$ onto a plane curve $\tilde{C} \subseteq \mathbb{A}^2_{\mathbb{C}}$ with an irreducible equation $q(s,t) = 0$, where $t := P = v_+^{d_-} v_-^{d_+} \in A_0$. This implies (c). $\square$

Remarks 4.9. 1. It is worthwhile mentioning how to get, under the assumptions as in (c), a representation $A \cong A_0[D_+, D_-]$ in terms of P in (10). Choose p, $q \in \mathbb{Z}$ with $\left|\begin{smallmatrix} d_+ & p \\ d_- & q \end{smallmatrix}\right| = 1$ so that $u' := v_+^q v_-^p$ has degree 1. By an easy calculation $u'^{d_+} = v_+ P^p$ and $u'^{-d_-} = v_-/P^q$, whence by Remark 3.7 $A \cong A_0[D_+, D_-]$ with

$$D_+ = \frac{p}{d_+} \operatorname{div} P, \quad D_- = -\frac{q}{d_-} \operatorname{div} P, \quad \text{and} \quad D_+ + D_- = -\frac{\operatorname{div} P}{d_+ d_-} .$$

2. In analogy with (c), any parabolic $\mathbb{C}^*$-surface $V = \operatorname{Spec} A$ with $A = A_0[D]$, where $\lfloor D \rfloor$ and $d(A)D$ are principal divisors on $C = \operatorname{Spec} A_0$, can be obtained as the normalization of a surface $u^d - tv = 0 = q(s,t)$ in $\mathbb{A}^4_{\mathbb{C}} = \operatorname{Spec} \mathbb{C}[s,t,u,v]$ graded via $\deg s = \deg t = 0$, $\deg u = 1$, $\deg v = d$, where $q \in \mathbb{C}[s,t]$ is a suitable irreducible polynomial (see also Remark 3.12(2)).

The special case $d_+ = 1$ leads to the following example.

EXAMPLE 4.10 (cf. [4, Example 4.11]). For a unitary polynomial $P \in \mathbb{C}[t]$, we let $A = A_{d,P} = B_{\text{norm}}$ be the normalization of the $\mathbb{C}$-algebra

$$B = B_{d,P} := \mathbb{C}[t, u, v]/\big(u^d v - P(t)\big)$$

graded via $\deg t = 0$, $\deg u = 1$, $\deg v = -d$ so that the normal affine surface $V :=$ Spec A is equipped with a hyperbolic $\mathbb{C}^*$-action. As $B \cong A_0[u, Pu^{-d}]$ we can write

$$A \cong A_0[D_+, D_-], \qquad \text{where} \qquad D_+ = 0 \quad \text{and} \quad D_- = -\frac{\operatorname{div} P}{d}$$

(see Lemma 4.6). We can recover $P_\pm$ and Q in Lemma 4.7 as follows. By the construction given there $P_+ = 1$ and by (8) $\{D_-\} = \operatorname{div}(P_-)/d_-$. This gives

$$\operatorname{div} P_- = d_- \left\{ -\frac{\operatorname{div} P}{d} \right\} \qquad \text{and} \qquad \operatorname{div} Q = \frac{\operatorname{div} P}{d} + \frac{\operatorname{div} P_-}{d_-} \tag{11}$$

(see (6)). In particular,

$$A_{\geq 0} \cong A_0[u] \cong \mathbb{C}[t, u] \qquad \text{and} \qquad A_{\leq 0} \cong A^+_{d_-, P_-}$$

(cf. Example 3.10) as graded A_0-algebras, where for the second isomorphism we have to reverse the grading of one of the rings.

This discussion provides the following characterization of the algebras $A_{d,P}$.

Proposition 4.11. *If $A = A_0[D_+, D_-]$, where $A_0 \cong \mathbb{C}[t]$ and D_+, D_- are $\mathbb{Q}$-divisors on $\mathbb{A}^1_{\mathbb{C}}$ with $D_+ + D_- \leq 0$, then the following conditions are equivalent.*
(i) *D_+ is integral i.e., $\{D_+\} = 0$.*
(ii) *$A_{\geq 0} \cong A_0[u]$ as graded A_0-algebras, where* $\deg u = 1$.
(iii) *$A \cong A_{d,P}$ as graded A_0-algebras, where $D_+ + D_- = -\operatorname{div}(P)/d$.*

Next we study the effect of base change to the Dolgachev-Pinkham-Demazure representation.

Proposition 4.12. *Let $C =$ Spec A_0 be an affine curve with function field $K_0 =$ Frac(A_0) and let*

$$A := A_0[D_+, D_-] \subseteq K_0[u, u^{-1}],$$

where $D_\pm$ are $\mathbb{Q}$-divisors on C satisfying $D_+ + D_- \leq 0$. Let L be the field $L :=$ Frac$(A)[\sqrt[d]{tu^b}]$, where $t \in K_0$ and $b \geq 0$, $d > 0$. If A' is the normalization of A in L then the following hold.

1. *A'_0 is the normalization of A_0 in $K_0[s]$ with $s := \sqrt[k]{t}$, where $k := \gcd(b, d)$.*
2. *$A' \cong A'_0[D'_+, D'_-]$ with*

$$D'_\pm := \frac{k}{d}\left(p^*(D_\pm) \pm \beta \operatorname{div} s\right) ,$$

where $p\colon C' := \operatorname{Spec} A'_0 \to C$ is the projection and β is defined by $\beta b \equiv k \mod d$.

Proof. We let $b = b'k$ and $d = d'k$. The normalization A' admits a natural $(1/d)$-grading, and the element $u^* := \sqrt[d]{tu^b}$ is of degree $b/d = b'/d'$. If we write $k = \beta b + \delta d$, then the element $u' := u^{*\beta}u^\delta \in \operatorname{Frac}(A')$ has minimal possible positive degree $1/d'$. Thus

$$A' \subseteq \operatorname{Frac}(A'_0)[u', u'^{-1}].$$

To compute A'_0, we note that $u^{*n}u^{-m}$ with $n, m \in \mathbb{N}$ has degree 0 if and only if $nb'/d' = m$. In particular, $n = n'd'$ is an integer multiple of d'. Thus $K'_0 := \operatorname{Frac} A'_0$ is generated over K_0 by $u^{*d'}u^{-b'} = t^{1/k}$ (i.e., $n' = 1$). As d' and k are coprime, it follows that $s = \sqrt[k]{t}$ also belongs to K'_0 and that this field is actually generated by s over K_0, proving (1).

After localizing A_0 we may assume that there is an element $v_+ \in A$ of degree $d_+ = d(A_{\geq 0})$ with $A_{d_+} = v_+A_0$ (see 3.6). We claim that then $A'_{sd_+} = v_+^s A'_0$ for all $s \geq 0$. If not, then for some $s > 0$ and some non-unit $x \in A'_0$ the element v_+^s/x belongs to A', so it is integral over A and there is an equation

$$\frac{v_+^{sm}}{x^m} + a_1\frac{v_+^{s(m-1)}}{x^{m-1}} + \cdots + a_m = 0\,,$$

where $m \geq 0$ and $a_i \in A_{isd_+}$. Thus $a_i = v_+^{si}q_i$ for some elements $q_i \in A_0$, whence dividing the equation above by v_+^{sm} we obtain that

$$\frac{1}{x^m} + q_1\frac{1}{x^{m-1}} + \cdots + q_m = 0\,.$$

As A'_0 is integrally closed this is only possible if $x \in A'_0$ contradicting the choice of x.

Thus $v = v_+$ is an element satisfying the assumptions of Remark 3.7, and we compute with it the divisor D'_+ as follows (the calculation for D'_- is analogous). If we consider the new grading of A' by assigning to u' the degree 1, then v_+^k becomes an element of degree dd_+. Moreover, if $u^{d_+} = P_+v_+$ with $P_+ \in K_0$ then by Remark 3.7 $D_+ = (\operatorname{div}(P_+))/d_+$. Since

$$\begin{aligned} u'^{dd_+} &= (u^{*\beta}u^\delta)^{dd_+} = (tu^b)^{\beta d_+}u^{\delta dd_+} \\ &= t^{\beta d_+}u^{d_+(\beta b+\delta d)} = t^{\beta d_+}u^{d_+k} \\ &= t^{\beta d_+}P_+^k v_+^k \end{aligned}$$

we obtain again by Remark 3.7 that on C'

$$D'_+ = \frac{\operatorname{div}(t^{\beta d_+} P_+^k)}{dd_+} = \frac{\beta}{d} \operatorname{div}(t) + \frac{k}{d} p^*(D_+)\,,$$

and (2) follows. □

Let us consider the following important example.

EXAMPLE 4.13. With $A_0 := \mathbb{C}[t]$, suppose that $D_+ = -(e/d)[0]$ and that D_- is any $\mathbb{Q}$-divisor on $\mathbb{A}^1_{\mathbb{C}} = \operatorname{Spec} A_0$ satisfying $D_+ + D_- \leq 0$. Applying Proposition 4.12 to $s := \sqrt[d]{t}$ (i.e. $b = 0$) we get that the normalization of $A := A_0[D_+, D_-]$ in the field $L := \operatorname{Frac}(A)[s]$ is given by

$$A' = A'_0[-e[0], D'_-] \subseteq \mathbb{C}(s)[u, u^{-1}]\,,$$

where $A'_0 = \mathbb{C}[s]$ and $D'_- = p^*(D_-)$ (as before, $p\colon \operatorname{Spec}\mathbb{C}[s] \to \operatorname{Spec}\mathbb{C}[t]$ denotes the projection $s \mapsto s^d$). The divisor $D'_+ = -e[0]$ being integral we have

$$A' \cong A'_0[0, D'_+ + D'_-] \subseteq \mathbb{C}(s)[\tilde{u}, \tilde{u}^{-1}]\,,$$

where $\tilde{u} := s^e u$.

More concretely, if $k := d_-(A)$, $e := k \cdot D_-(0)$ and if we choose a unitary polynomial $Q \in \mathbb{C}[t]$ with $D_- = -(\operatorname{div}(Qt^e))/k$ then $D'_+ + D'_- = -\{\operatorname{div}(Q(s^d)s^{ke+de})\}/k$. By Example 4.10 $A' \cong A_{k,P}$ is the normalization of

$$B_{k,P} = \mathbb{C}[s, \tilde{u}, v]/\big(\tilde{u}^k v - P(s)\big)\,, \quad \text{where} \quad P(s) := Q(s^d)s^{ke+de}\,. \tag{12}$$

The field extension $\operatorname{Frac}(A) \subseteq \operatorname{Frac}(A)[s]$ is Galois with Galois group $\mathbb{Z}_d = \langle\zeta\rangle$, where $\zeta.s = \zeta s$. Thus

$$A \cong \big(A_{k,P}\big)^{\mathbb{Z}_d}\,,$$

and the action of ζ on $\tilde{u} = s^e u$ is given by $\zeta.\tilde{u} = \zeta^e \tilde{u}$. Therefore, the group $\mathbb{Z}_d$ acts on $A_{k,P}$ via

$$\zeta.s = \zeta s, \quad \zeta.\tilde{u} = \zeta^e \tilde{u} \quad \text{and} \quad \zeta.v = v\,. \tag{13}$$

Thus we obtain the following characterization.

Proposition 4.14. *For an algebra $A = A_0[D_+, D_-]$ with $A_0 = \mathbb{C}[s]$ the following conditions are equivalent.*

(i) $\{-D_+\} = (e/d)[0]$, *where* $0 \leq e < d$ *and* $\gcd(e, d) = 1$.

(ii) *$A \cong (A_{k,P})^{\mathbb{Z}_d}$, where $A_{k,P}$ is the normalization of $B_{k,P}$ in* (12) *and where $\mathbb{Z}_d = \langle\zeta\rangle$ acts via the formulas in* (13).

Like in the parabolic case V may possess at most cyclic quotient singularities. The type of quotient singularities is determined from the divisors D_+, D_- by the following result. As before, $C = \operatorname{Spec} A_0$ is a smooth affine curve with function field $K_0 = \operatorname{Frac} A_0$ and $A := A_0[D_+, D_-]$ with $\mathbb{Q}$-divisors D_+ and D_- on C. Denote $\pi\colon V = \operatorname{Spec} A \to C$ the canonical projection.

Theorem 4.15. (a) *The set of singular points* $\operatorname{Sing} V$ *is contained in the fixed point set F which is the zero locus $F = V(I)$ of the ideal $I := A_+A + A_-A$ of A.*
(b) *The map $\pi|F\colon F \to C$ is injective, and $\pi(F) = \{a \in C \mid D_+(a) + D_-(a) < 0\}$.*
(c) *For a point $a' \in F$ with image $a := \pi(a') \in C$ we write*

$$D_+(a) = -\frac{e_+}{m_+} \qquad \textit{and} \qquad D_-(a) = \frac{e_-}{m_-}$$

with the convention that

$$\begin{gathered} m_+ > 0, \quad m_- < 0, \qquad \gcd(e_+, m_+) = \gcd(e_-, m_-) = 1 \qquad \textit{and} \\ m_+ = 1 \quad \textit{if} \quad D_+(a) = 0, \qquad m_- = -1 \quad \textit{if} \quad D_-(a) = 0\,. \end{gathered}$$

Let $p, q \in \mathbb{Z}$ with $\left|\begin{smallmatrix} p & e_+ \\ q & m_+ \end{smallmatrix}\right| = 1$. Then $a' \in F$ is a quotient singularity of type

$$(\Delta(a), e), \quad \textit{where} \quad \Delta(a) := -\begin{vmatrix} e_+ & e_- \\ m_+ & m_- \end{vmatrix} \quad \textit{and} \quad e \equiv \begin{vmatrix} p & e_- \\ q & m_- \end{vmatrix} \quad \operatorname{mod} \Delta(a)\,.$$

In particular, $a' \in \operatorname{Sing} V$ if and only if $\Delta(a) \neq 1$.

Proof. As in the proof of Proposition 3.8(b) we can reduce the statement to the case that $A_0 = \mathbb{C}[t]$ and $|D_+| \cup |D_-|$ is contained in the origin, so that $D_\pm = \mp e_\pm/m_\pm[0]$.
(a) The set $\operatorname{Sing} V$ is finite and invariant under the $\mathbb{C}^*$-action. Hence it is contained in the fixed point set F.
(b) The map $A_0 \to A/I$ is obviously surjective. Thus

$$\pi|F\colon F = \operatorname{Spec}\left(\frac{A}{I}\right) \to C$$

is a closed embedding. Moreover, $F = \emptyset$ if and only if $1 \in I$ if and only if $1 = a_+a_-$ for some homogeneous elements of A of opposite degrees, and the latter happens if and only if $D_+ + D_- = 0$ by Remark 4.5.
(c) Notice first that the elements

$$v_+ := t^{e_+}u^{m_+}, \quad v_- := t^{e_-}u^{m_-} \in K_0[u, u^{-1}]$$

belong to A. Indeed, by definition, the ideal $I+tA$ of A (this is just the maximal ideal of the point $a' \in F$) is generated by the monomials $t^e u^m$ with $(e,m) \in \mathbb{Z}\times\mathbb{Z}$, where $(e,m) \neq (0,0)$ and

$$e + mD_+(0) \geq 0 \quad \text{if} \quad m \geq 0, \qquad e - mD_-(0) \geq 0 \quad \text{if} \quad m \leq 0\,.$$

In other words, (e,m) is an element of the cone $\Gamma := \mathrm{C}((e_+,m_+),(e_-,m_-))$ generated by the vectors $(e_\pm, m_\pm)$ in the plane. Hence A is a toric algebra generated by the semigroup $\Gamma \cap \mathbb{Z}^2$, and so is a quotient $A_{d,e}$ for some $d,\ e \geq 0$ (see Lemma 2.4). To determine d, e, we must find a basis of $\mathbb{Z}^2$ such that (e_+,m_+) is one of the basis vectors. This is done as follows.

If we choose $p,\ q \in \mathbb{Z}$ with $\left|\begin{smallmatrix} p & e_+ \\ q & m_+ \end{smallmatrix}\right| = 1$, then the vectors $\tilde{e}_1 := (e_+,m_+)$ and $\tilde{e}_2 := (p,q)$ form a basis of $\mathbb{Z}^2$, and

$$(e_-,m_-) = \Delta'\tilde{e}_1 + \Delta\tilde{e}_2, \quad \text{where} \quad \Delta' := \begin{vmatrix} p & e_- \\ q & m_- \end{vmatrix} \quad \text{and} \quad \Delta := \Delta(0)\,.$$

As $\tilde{e}_1$ and (e_-,m_-) form a basis of the cone Γ, it follows from Lemma 2.4 that A has a quotient singularity of type (Δ, e), where $0 \leq e < \Delta$ and $e \equiv \left|\begin{smallmatrix} p & e_- \\ q & m_- \end{smallmatrix}\right|$ mod Δ. Note that Δ and Δ' are coprime since so are e_- and m_-.

The determinant Δ has always positive sign as

$$D_+(0) + D_-(0) = \frac{\Delta}{m_+m_-} \leq 0 \qquad \text{and} \qquad m_+ > 0,\ \ m_- < 0\,, \tag{14}$$

and so (c) follows. ☐

Corollary 4.16. *If $A_{d,P}$ is the normalization of the algebra*

$$B_{d,P} = \mathbb{C}[t,u,v]/\big(u^d v - P(t)\big)\,,$$

where $P(t) = \prod_{i=1}^k (t-a_i)^{r_i}$ with $a_i \neq a_j$ for $i \neq j$ (see Example 4.10*), then the singular points of the surface $V_{d,P} = \operatorname{Spec} A_{d,P}$ are the points $a_i' \in V_{d,P}$ $(1 \leq i \leq k)$, where $t = a_i$, $u = v = 0$ and $r_i \nmid d$.*

Proof. It was shown in Example 4.10 that $D_+ = 0$ and $D_-(a_i) = -r_i/d$. Therefore, $\Delta(a_i) = e_+ > 1$ if and only if $r_i \nmid d$, which implies our assertion. ☐

In the sequel we use the following notation.

DEFINITION 4.17. Let $O = \mathbb{C}^* z$ be the orbit through a point $z \in V\backslash F$. Following [12] we say that O is of type (d,q) if d is the order of the stabilizer

$$\mathrm{Stab}_z = \ker(\mathbb{C}^* \to \operatorname{Aut} O) \subseteq \mathbb{C}^*, \qquad \text{so that} \quad \mathrm{Stab}_z = \langle\zeta\rangle \cong \mathbb{Z}_d\,,$$

and q ($0 \le q < d$) is determined from the tangent representation of Stab_z on the tangent plane T_zV via pseudo-reflections

$$\mathrm{Stab}_z \ni \zeta \longmapsto \begin{pmatrix} 1 & 0 \\ 0 & \zeta^q \end{pmatrix} .$$

The orbit O is called *principal* if $d = 1$ and *exceptional* otherwise (see [12]–[14] for a detailed description of the structure of V near the exceptional orbits).

In the next result we will characterize the orbit types of the surface $V = \operatorname{Spec} A$ with $A := A_0[D_+, D_-]$, where D_+ and D_- are $\mathbb{Q}$-divisors on the smooth affine curve $C = \operatorname{Spec} A_0$. Let $\pi\colon V \to C$ denote the projection. To examine the orbits over a point $a \in C$, we write

$$D_+(a) = -\frac{e_+}{m_+} \quad \text{and} \quad D_-(a) = \frac{e_-}{m_-}$$

with the conventions as in Theorem 4.15(c). Let q_+ be defined by $0 \le q_+ < m_+$ and $q_+e_+ \equiv -1 \mod m_+$, and similarly q_- by $0 \le q_- < -m_-$ and $q_-e_- \equiv 1 \mod m_-$. With this notation the following result holds.

Theorem 4.18. *The exceptional orbits of V are located over $|D_+| \cup |D_-|$. The orbits over a given point $a \in |D_+| \cup |D_-|$ are as follows.*
(a) *If $D_+(a) + D_-(a) = 0$ then $\pi^*(a) = m_+O$ consists of one orbit O of type (m_+, q_+) with multiplicity m_+. Moreover, O appears with coefficient $-e_+$ in* $\operatorname{div} u$.
(b) *If $D_+(a) + D_-(a) < 0$ then $\pi^{-1}(a)$ contains two orbits O^+ and O^- of types (m_+, q_+) and $(-m_-, q_-)$, respectively. Their closures $\bar{O}^\pm$ intersect in the unique fixed point of the fiber, and $\pi^*(a) = m_+\bar{O}^+ - m_-\bar{O}^-$. Moreover, $\bar{O}^\pm$ appears with multiplicity $\mp e_\pm$ in* $\operatorname{div} u$.

Proof. With the same reasoning as in the proof of Proposition 3.8(b) it is sufficient to treat the case where $A_0 = \mathbb{C}[t]$ and $D_\pm$ are supported on $a = 0 \in \mathbb{A}^1_{\mathbb{C}}$, i.e. $D_\pm = \mp e_\pm/m_\pm[0]$. Note that in this case $m_+ = d(A_{\ge 0})$ and $m_- = -d(A_{\le 0})$.
(a) If $D_+ + D_- = 0$, so that $e_+ = -e_- =: e$ and $m_+ = -m_- =: m$ then A is the semigroup algebra $\mathbb{C}[\Gamma \cap \mathbb{Z}^2]$, where Γ is the cone generated over $\mathbb{R}$ by the vectors $\pm(e, m)$ and $(1, 0)$. Obviously Γ is the half space of all $(x, y) \in \mathbb{R}^2$ satisfying $mx - ey \ge 0$. If we choose $p, q \in \mathbb{Z}$ with $\left|\begin{smallmatrix} p & e \\ q & m \end{smallmatrix}\right| = 1$ then the vectors (p, q) and (e, m) form a basis of $\mathbb{Z}^2$, and (p, q) lies in the half space Γ. Thus

$$\Gamma \cap \mathbb{Z}^2 = \mathbb{Z} \cdot (e, m) + \mathbb{N} \cdot (p, q) ,$$

and so A is the algebra of Laurent polynomials

$$\text{(15)} \qquad A = \mathbb{C}[x, x^{-1}, y], \quad \text{where} \quad x := t^e u^m \in A_m \quad \text{and} \quad y := t^p u^q \in A_q .$$

Clearly then

$$t = x^{-q} y^m \quad \text{and} \quad u = x^p y^{-e}\,. \tag{16}$$

The action of $\mathbb{C}^*$ is given by $\lambda.x = \lambda^m x$ and $\lambda.y = \lambda^q y$, whence there is only one orbit O over $t = 0$, and it is given by the equation $y = 0$. By (16) we have

$$\pi^*(0) = \operatorname{div} t = m \cdot O \quad \text{and} \quad \operatorname{div} u = -e \cdot O.$$

The stabilizer of any point of O is the group $E_m \subseteq \mathbb{C}^*$ of m-th roots of unity, and the type of the orbit is $(m, q) = (m_+, q_+)$, as required in (a).

(b) Let now $D_+ + D_- < 0$. Consider a generator $v_\pm = t^{e_\pm} u^{m_\pm}$ of $A_{m_\pm}$ as A_0-module (cf. the proof of Theorem 4.15(c)). The localization $A_{v_+} = A[t^{-e_+} u^{-m_+}]$ is the subring $A_0[D_+, -D'_-]$ of $\operatorname{Frac}(A_0)[u, u^{-1}]$ with $D'_- := \min(D_-, -D_+)$ (see Lemma 4.6). As $D_+ + D_- \le 0$ we have $D'_- = -D_+$, so by (a) the open subset $\operatorname{Spec} A_{v_+}$ of V contains an orbit O^+ of type (m_+, q_+), and it has multiplicities m_+ and $-e_+$ in $\pi^*(0)$ and $\operatorname{div} u$, respectively. Similarly, $\operatorname{Spec} A_{v_-}$ contains an orbit O^- of type $(-m_-, q_-)$, which has multiplicities $-m_-$ and e_- in $\pi^*(0)$ and $\operatorname{div} u$, respectively. We have $\operatorname{div}(v_+ v_-) = \Delta \cdot \left(\bar{O}^+ + \bar{O}^-\right)$, where by our assumption $\Delta = m_+ m_-(D_+(0) + D_-(0)) > 0$ (see (14)). Thus the fiber of π over $t = 0$ can be given by $v_+ \cdot v_- = 0$, where the functions v_+, v_- vanish on $\bar{O}^-$ and $\bar{O}^+$, respectively. The intersection $\bar{O}^+ \cap \bar{O}^-$ is given by $v_+ = v_- = 0$, and so is the unique fixed point of the fiber. $\square$

EXAMPLE 4.19. In the example of the algebra $A = A_{d,P}$ treated in Corollary 4.16 we have $D_+ = 0$ and $D_- = -\operatorname{div}(P)/d = \sum_i -(r_i/d)[a_i]$ (see Example 4.10). The exceptional orbits are located over the points $a_i \in \mathbb{A}^1_{\mathbb{C}}$, and $\pi^{-1}(a_i) = O_i^+ \cup \{a'_i\} \cup O_i^-$, where a'_i is the unique fixed point of the fiber (located over the point $(0, 0, a_i)$ of $\operatorname{Spec} B_{d,P} \subseteq \mathbb{C}^3$). Applying Theorem 4.18, the orbit O_i^+ is principal, and if we write $r_i/d = e_i/m_i$ with $\gcd(e_i, m_i) = 1$ then O_i^- is of type (m_i, q_i), where

$$q_i e_i \equiv -1 \mod m_i \quad \text{with} \quad 0 \le q_i < m_i\,.$$

REMARK 4.20. We can now precise the character of the affine modifications $\sigma_\pm \colon V \to V_\pm$ as in Proposition 4.1. Doing this locally we assume first that $A_0 = \mathbb{C}[t]$ and $D_\pm$ is supported on $a = 0 \in \mathbb{A}^1_{\mathbb{C}}$. If $D_+ + D_- = 0$ then $A = A_{\ge 0}[v_+^{-1}] = (A_{\ge 0})_{v_+}$, whence $\sigma_+ \colon V \to V_+$ is an open embedding and $V_+ \backslash V$ is the divisor $\operatorname{div} v_+ = m_+ \iota_+(C)$. In case $D_+ + D_- < 0$, letting in the proof of Proposition 4.1 $f_0 := v_+^{-m_-}$, we obtain that $\sigma_+ \colon V \to V_+$ consists in blowing up a graded ideal $I \subseteq (t, v_+)$ of the algebra $A_{\ge 0}$ supported at a fixed point and deleting the proper transform of the divisor $\operatorname{div} v_+ = m_+ \iota_+(C)$. The exceptional curve in V is the orbit closure $\bar{O}^- = \{v_+ = 0\}$.

Globalizing we see that $\sigma_\pm \colon V \to V_\pm$ blows up a graded ideal with support at the fixed points $b'_1, \ldots, b'_l \in \iota_\pm(C)$ over the points $b_i := \pi_\pm(b'_i) \in C$ with $D_+(b_i) +$

$D_-(b_i) < 0$, and deleting the proper transform of the fixed point curve $\iota_\pm(C) \subseteq V_\pm$. Moreover the exceptional set of $\sigma_\pm$ is $\bar{O}_1^\mp \cup \cdots \cup \bar{O}_l^\mp$.

4.21. We let as before $C = \operatorname{Spec} A_0$ be a smooth affine curve with function field $K_0 = \operatorname{Frac} A_0$, and we let D_+, D_- be $\mathbb{Q}$-divisors on C. In what follows we compute the Picard group and the divisor class group of $A := A_0[D_+, D_-]$ (see also [18, Thm. 5.1] and [26, Cor. 1.7] for the elliptic case). We denote by $a_1, \ldots, a_k$ the points in C for which $D_+(a) = -D_-(a) \neq 0$, and we let $b_1, \ldots, b_l \in C$ be the points with $D_+(b) + D_-(b) < 0$. Let us write

$$D_\pm(a_i) = \mp\frac{e_i}{m_i}, \quad D_+(b_j) = -\frac{e_j^+}{m_j^+} \quad \text{and} \quad D_-(b_j) = \frac{e_j^-}{m_j^-}$$

with the conventions as in Theorem 4.15. If $\pi\colon V := \operatorname{Spec} A \to C$ denotes the canonical map then the preimage $\pi^{-1}(a_i)$ consists of only one orbit O_i, and $\pi^{-1}(b_j)$ consists of two orbit closures $\bar{O}_j^+ \cup \bar{O}_j^-$, so that

$$\pi^*(a_i) = m_i O_i \quad \text{and} \quad \pi^*(b_j) = m_j^+ \bar{O}_j^+ - m_j^- \bar{O}_j^- \tag{17}$$

as divisors on V, see Theorem 4.18.

Theorem 4.22. *The divisor class group* $\operatorname{Cl} A$ *of* A *is the group*

$$\pi^*(\operatorname{Cl} A_0) \oplus \bigoplus_{i=1}^{k} \mathbb{Z}[O_i] \oplus \bigoplus_{j=1}^{l} \left(\mathbb{Z}[\bar{O}_j^+] \oplus \mathbb{Z}[\bar{O}_j^-]\right)$$

modulo the relations

$$\begin{aligned} \pi^*(a_i) &= m_i[O_i], \quad i = 1, \ldots, k, \\ \pi^*(b_j) &= m_j^+[\bar{O}_j^+] - m_j^-[\bar{O}_j^-], \quad j = 1, \ldots l, \\ 0 &= \sum_{j=1}^{k} e_i[O_i] + \sum_{j=1}^{l} \left(e_j^+[\bar{O}_j^+] - e_j^-[\bar{O}_j^-]\right). \end{aligned}$$

Proof. Let $\operatorname{Div}_h A \subseteq \operatorname{div} A$ be the subgroup of all Weil divisors on V that are homogeneous, i.e. finite sums of irreducible divisors given by homogeneous prime ideals. The homogeneous principal divisors $\operatorname{Prin}_h A$ form a subgroup of $\operatorname{Div}_h A$, which consists of all divisors $\operatorname{div} f$, where $f = g/h \in \operatorname{Frac} A$ is a quotient of homogeneous elements. By [8, §1, Ex. 16]

$$\operatorname{Cl} A \cong \operatorname{Cl}_h A := \operatorname{Div}_h A / \operatorname{Prin}_h A.$$

The group $\operatorname{Div}_h A$ is freely generated by all $\mathbb{C}^*$-invariant subvarieties of codimension 1 in V, that is by all irreducible components of the fibers of $\pi\colon V \to C$. If $D_+(a) =$

$D_-(a) = 0$ then the fiber over a is the prime divisor $\pi^*(a)$. If $a = a_i$ for some i then the fiber over a consists of just one orbit O_i of type (m_i, q_i), and by (17) $\pi^*(a_i) = m_i \bar{O_i}$ as divisors on V. If $a = b_j$ for some j then by (17) $\pi^*(b_j) = m_j^+ \bar{O}_j^+ - m_j^- \bar{O}_j^-$. Thus the natural map $\pi^* \colon \operatorname{div} A_0 \to \operatorname{Div}_h A$ is injective, and

$$\operatorname{Div}_h A \cong \frac{\pi^*(\operatorname{div} A_0) \oplus \bigoplus_{i=1}^k \mathbb{Z}[O_i] \oplus \bigoplus_{j=1}^l \left(\mathbb{Z}[\bar{O}_j^+] \oplus \mathbb{Z}[\bar{O}_j^-]\right)}{\left(\pi^*(a_i) - m_i[O_i],\ \pi^*(b_j) - m_j^+[\bar{O}_j^+] + m_j^-[\bar{O}_j^-]\right)} \,. \tag{18}$$

The group $\operatorname{Prin}_h A$ is generated by all divisors $\operatorname{div}(f u^k) = \operatorname{div} f + k \operatorname{div} u$, where $f \in K_0^\times$ is non-zero. Dividing out $\pi^*(\operatorname{Prin} A_0) = \pi^* \operatorname{div}(K_0^\times)$ in (18) gives the group

$$\frac{\pi^*(\operatorname{Cl} A_0) \oplus \bigoplus_{i=1}^k \mathbb{Z}[O_i] \oplus \bigoplus_{j=1}^l \left(\mathbb{Z}[\bar{O}_j^+] \oplus \mathbb{Z}[\bar{O}_j^-]\right)}{\left(\pi^*(a_i) - m_i[O_i],\ \pi^*(b_j) - m_i^+[\bar{O}_j^+] + m_j^-[\bar{O}_j^-]\right)} \,. \tag{19}$$

By Theorem 4.18 the divisor of u is given by

$$\operatorname{div} u = -\sum_{j=1}^k e_i[O_i] + \sum_{j=1}^l \left(-e_j^+[\bar{O}_j^+] + e_j^-[\bar{O}_j^-]\right) .$$

Hence, taking (19) modulo this relation leads to the divisor class group, as required. $\square$

Corollary 4.23. *A is factorial if and only if $C \subseteq \mathbb{A}^1_{\mathbb{C}}$ (i.e. A_0 is a localization of $\mathbb{C}[t]$) and one of the following two conditions is satisfied.*
(i) *$l = 0$ and $\gcd(m_i, m_j) = 1$ for $1 \le i < j \le k$.*
(ii) *$l = 1$, $m_i = 1$ for all i and $\begin{vmatrix} e^+ & e^- \\ m^+ & m^- \end{vmatrix} = \pm 1$, where $e^\pm := e_1^\pm$ and $m^\pm := m_1^\pm$.*

Proof. If C is a curve of genus $g \ge 1$ then the group $\operatorname{Cl} A$ is not finitely generated. Thus assuming that A is factorial, C is isomorphic to an open subset of $\mathbb{A}^1_{\mathbb{C}}$. By Theorem 4.22 the group $\operatorname{Cl} A$ has then $k + 2l$ generators and $k + l + 1$ independent relations, whence necessarily $l \le 1$. In the case $l = 1$ the number of generators and the number of relations are equal, and so the order of $\operatorname{Cl} A$ is the absolute value of the determinant

$$\begin{vmatrix} e^+ & e^- & e_1 & e_2 & \cdots & e_k \\ m^+ & m^- & 0 & 0 & \cdots & 0 \\ 0 & 0 & m_1 & 0 & \cdots & 0 \\ 0 & 0 & 0 & m_2 & \cdots & 0 \\ \vdots & \vdots & \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & 0 & 0 & \cdots & m_k \end{vmatrix} = \begin{vmatrix} e^+ & e^- \\ m^+ & m^- \end{vmatrix} \cdot m_1 \cdot m_2 \cdot \cdots \cdot m_k \,.$$

Thus, if $\operatorname{Cl} A = 0$ then all the factors of this product are equal to 1, and we are in case (ii). If $l = 0$ then $\operatorname{Cl} A$ is the group $\bigoplus_{i=1}^k \mathbb{Z}_{m_i} \cdot [O_i]$ modulo the relation

$\sum_i e_i[O_i] = 0$. As e_i and m_i are coprime, this group is trivial if and only if (i) holds. Conversely, if (i) or (ii) is satisfied then the discussion above shows that $\operatorname{Cl} A$ is trivial, finishing the proof. ☐

Finally, we determine the Picard group and the canonical divisor of A. The local divisor class group at the point b_j is generated by $\bar{O}_j^{\pm}$ modulo the relations

$$R_j := e_j^+\bar{O}_j^+ - e_j^-\bar{O}_j^- = 0 \quad \text{and} \quad S_j := m_j^+\bar{O}_j^+ - m_j^-\bar{O}_j^- = 0.$$

Since the Picard group $\operatorname{Pic} A$ is the kernel of the map of $\operatorname{Cl} A$ into the direct product of all local divisor class groups, this group is the subgroup of $\operatorname{Cl} A$ generated by $\pi^*(\operatorname{Cl} A_0)$, $[O_i]$, R_j and S_j. As $S_j = \pi^*(b_j)$, we obtain the following result.

Corollary 4.24. $\operatorname{Pic} A$ *is the group*

$$\pi^*(\operatorname{Cl} A_0) \oplus \bigoplus_{i=1}^{k} \mathbb{Z}[O_i] \oplus \bigoplus_{j=1}^{l} \mathbb{Z}R_j$$

modulo the relations

$$\pi^*(a_i) = m_i[O_i], \quad i = 1, \dots, k,$$
$$0 = \sum_{j=1}^{k} e_i[O_i] + \sum_{j=1}^{l} R_j .$$

In particular, $\operatorname{Pic} A$ *vanishes if and only if* $C \subseteq \mathbb{A}^1_{\mathbb{C}}$ *and case* (i) *in* Corollary 4.23 *is satisfied or* $l = 1$ *and* $m_i = 1$ *for all* $1 \le i \le k$.

Corollary 4.25. [2] *The canonical divisor of the surface* $V = \operatorname{Spec} A$ *is given by*

$$K_V = \pi^*(K_C) + \sum_{i=1}^{k}(m_i - 1)[O_i] + \sum_{j=1}^{l}\left((m_j^+ - 1)[\bar{O}_j^+] + (-m_j^- - 1)[\bar{O}_j^-]\right) .$$

Proof. We claim that multiplication by the meromorphic differential form du/u on V gives an isomorphism

$$\frac{du}{u} \wedge - : \pi^*(\omega_C)\left(\sum_{j=1}^{k}(m_i - 1)[O_i] + \sum_{j=1}^{l}\left((m_j^+ - 1)[\bar{O}_j^+] + (-m_j^- - 1)[\bar{O}_j^-]\right)\right) \xrightarrow{\cong} \omega_V .$$

This is a local problem, so with the same arguments as in the proof of Theorem 4.18 we can reduce to the case that $A_0 \cong \mathbb{C}[t]$ and $D_+ = -D_- = -(e/d)[0]$, where e, m are

[2] cf. [26, Thm. 2.8] and [19, Lemma 2.6].

coprime. In this case (15) in the proof of Theorem 4.18 shows that $A = \mathbb{C}[x, x^{-1}, y]$ with $x := t^e u^m$ and $y := t^p u^q$, where p, q are integers with $\left|\begin{smallmatrix} p & e \\ q & m \end{smallmatrix}\right| = 1$. Moreover by (16) $t = x^{-q} y^m$ and $u = x^p y^{-e}$. By an elementary calculation $(du/u) \wedge dt = x^{-q-1} y^{m-1} dx \wedge dy$, whence the result follows. $\square$

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