

Combinatorial Remarks on Normal Flatness in Analytic Spaces

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Normal flatness was introduced as a simplification of Hironaka's original argument on desingularization.

- Geometry of singularities in characteristic zero: Hironaka (1974); Aroca, Hironaka, and Vicente (1975, 1977); Bennett (1970); all in the seventies.
- Technical study of normal flatness: Herrmann and Orbanz (1982); Orbanz and Robbiano (1984); Robbiano (1979, 1983)
- Effective approach **without normal flatness**: Bierstone and Milman (1997, 1989); Bravo, Encinas, and Villamayor (2005); Encinas and Hauser (2002); Encinas and Villamayor (1998, 2003) (just a few).

We try to show that normal flatness is “easy to compute.”



- 1 Other versions of the Weierstraß-Hironaka division theorem: Aroca, Hironaka, and Vicente (1975); Galligo (1979); Herrmann, Ikeda, and Orbanz (1988).
- 2 The Fundamental Theorem of normal flatness: Idà and Manaresi (1983); Lejeune-Jalabert and Teissier (1971).
- 3 Hilbert functions and normal flatness: Bennett (1970); Orbanz and Robbiano (1984).

So, Just what *is* new here?

- 1 Normal flatness can be read in an easy way from combinatorics attached to a singular analytic space.
- 2 Using combinatorics to prove the Fundamental Theorem and relationship to the Hilbert function as a by-product.

We need a very specific statement of the Weierstraß-Hironaka theorem.



The setup I

In plain words: we look (locally) at singular embedded analytic spaces containing a smooth subspace.

$$R = \mathbb{C}\{\mathbf{z}, \mathbf{w}\}$$

$$\mathbf{z} = \{z_1, \dots, z_c\}, \quad \mathbf{w} = \{w_1, \dots, w_d\}$$

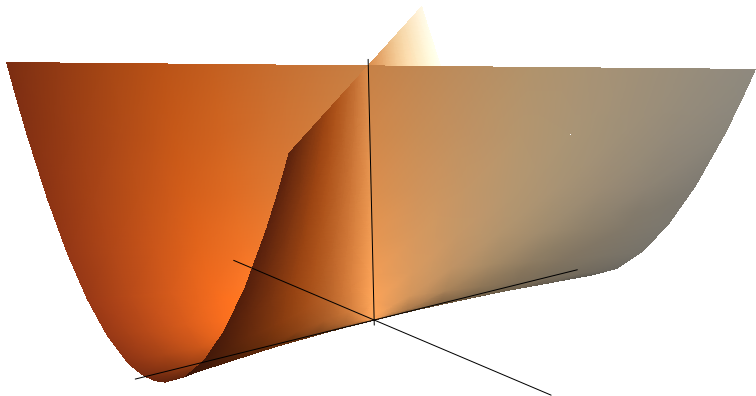
$$\mathfrak{p} = (\mathbf{z}), \quad \mathfrak{m} = (\mathbf{z}, \mathbf{w})$$

$$I \subset (\mathbf{z})R = \mathfrak{p}$$

W the analytic space defined in a neighbourhood of the origin of \mathbb{C}^{c+d} by \mathfrak{p} , and, likewise, X defined by I .

This is not completely uncommon... Think Whitney's Umbrella.





Whitney's Umbrella: $z_1^2 = z_2^2 w_1$

The setup III

For a series $f \in R$, we write

$$\begin{aligned} f &= \sum_{A \in \mathbb{Z}_0^c} f_A(\mathbf{w}) \mathbf{z}^A, & f_A(\mathbf{w}) &\in \mathbb{C}\{\mathbf{w}\} \text{ for all } A \in \mathbb{Z}_0^c \\ &= \sum_{(A,B) \in \mathbb{Z}_0^{c+d}} f_{(A,B)} \mathbf{z}^A \mathbf{w}^B, & f_{(A,B)} &\in \mathbb{C} \text{ for all } (A,B) \in \mathbb{Z}_0^{c+d} \end{aligned}$$

and we define the supports

$$\begin{aligned} \mathcal{E}_{\mathbf{z}}(f) &= \{A \in \mathbb{Z}_0^c \text{ such that } f_A \neq 0\} \\ \mathcal{E}_{\mathbf{z},\mathbf{w}}(f) &= \{(A,B) \in \mathbb{Z}_0^{c+d} \text{ such that } f_{(A,B)} \neq 0\} \end{aligned}$$

and “initial” forms

$$\begin{aligned} \bar{u}_{\mathbf{z}}(f) &= \{A \in \mathbb{Z}_0^c \text{ such that } |A| = v_p(f) \text{ and } f_A(\mathbf{0}) \neq 0\} \\ \bar{u}_{\mathbf{z},\mathbf{w}}(f) &= \{(A,B) \in \mathbb{Z}_0^{c+d} \text{ such that } |(A,B)| = v_m(f) \text{ and } f_{(A,B)} \neq 0\} \end{aligned}$$



This gives us

$$u_{\mathbf{z}}(f) = \sup_{\text{lex}} \bar{u}_{\mathbf{z}}(f)$$
$$u_{\mathbf{z},\mathbf{w}}(f) = \sup_{\text{lex}} \bar{u}_{\mathbf{z},\mathbf{w}}(f)$$

Finally,

$$u_{\mathbf{z}}(I) = \{u_{\mathbf{z}}(f) \mid f \in I, f \neq 0\} \subset \mathbb{Z}_0^c$$
$$u_{\mathbf{z},\mathbf{w}}(I) = \{u_{\mathbf{z},\mathbf{w}}(f) \mid f \in I, f \neq 0\} \subset \mathbb{Z}_0^{c+d}.$$

Theorem (Weierstraß-Hironaka Theorem)

Let $\{f_i\}_{1 \leq i \leq k}$ and $\{A_i\}_{i \leq i \leq k}$, $f_i \in \mathbb{C}\{\mathbf{z}, \mathbf{w}\} = R$, $A_i \in \mathbb{Z}_{\geq 0}^c$, be two families such that $S_L(\{f_i, A_i\}) \neq \emptyset$. Then, for every $g \in R$, there exists a uniquely determined family $\{h_i\}_{0 \leq i \leq k}$ of elements $h_i \in R$ such that

$$1 \quad g = h_0 + \sum_{i=1}^k h_i f_i.$$

$$2 \quad \mathcal{C}_{\mathbf{z}}(h_i \mathbf{z}^{A_i}) \subset \Delta_i, \quad 0 \leq i \leq k.$$

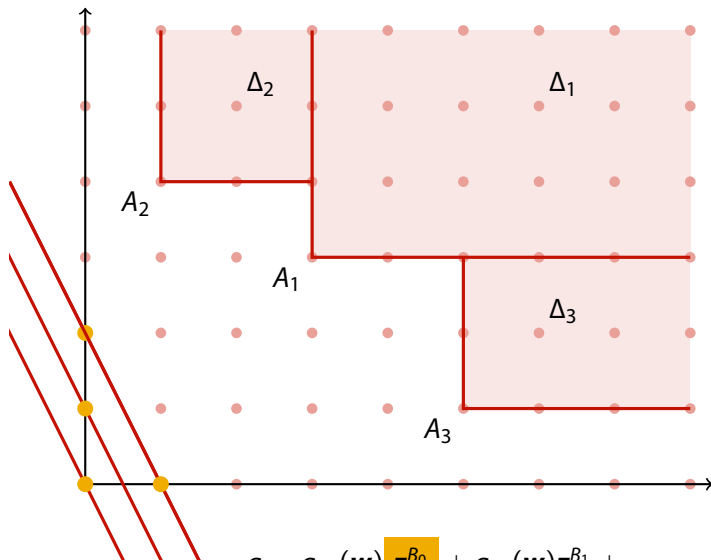
$$3 \quad \text{For all } \Delta_L \in S_L(\{f_i, A_i\}),$$

$$v_L(h_i) \geq v_L(g) - v_L(f_i), \quad 1 \leq i \leq k.$$

If f_1, \dots, f_k, g converge in a neighbourhood of \bar{D}_ρ , then h_0, \dots, h_k converge also in the same neighbourhood.

See Aroca, Hironaka, and Vicente (1975).

Weierstraß-Hironaka Division-Reminder



$$g = g_{A_0}(\mathbf{w}) \mathbf{z}^{B_0} + g_{B_1}(\mathbf{w}) \mathbf{z}^{B_1} + \dots$$

Lemma (WHD 1)

Suppose that

$$u_{\mathbf{z}}(I) = \bigcup_{i=1}^r (A_i + \mathbb{Z}_0^c)$$

and let $\{g_1, \dots, g_r\}$ be a family such that $u_{\mathbf{z}}(g_i) = A_i$. Then, $\{g_1, \dots, g_r\}$ is a division basis, i.e., it verifies the hypothesis of WH Division Theorem. Moreover, W-H division

$$g = h_0 + \sum_{i=1}^r h_i g_i$$

verifies

$$v_{\mathbf{z}}(h_i) \geq v_{\mathbf{z}}(g) - |A_i|.$$

Proof.

The trick is choosing a very special linear form for WH division. Set

$$L_c(x_1, \dots, x_c) = \sum_{i=1}^c \left(1 - \frac{1}{10^{i(m+t)}}\right) x_i$$
$$L_{c,d}(x_1, \dots, x_c; y_1, \dots, y_d) = L_c(x_1, \dots, x_c) + \frac{1}{10^m} \sum_{j=1}^d y_j.$$

Then,

$$v_{c,d}(g_i) = L_c(A_i) \quad \text{and} \quad v_{c,d}(g_i - \mathbf{z}^{A_i}) > L_c(A_i).$$

The rest of the proof is induction.

(Hint: the condensed form of the induction is 4 pages long.)



Lemma (WHD 2)

For every $A \in u_{\mathbf{z}}(I)$ there exists a series $h_{A,0}$ verifying the following properties:

$$\mathcal{E}_{\mathbf{z}}(h_{A,0}) \subset \Delta_0, \quad \mathbf{z}^A - h_{A,0} \in I, \quad v_{\mathbf{z}}(h_{A,0}) \geq |A|.$$

Moreover, all series $h_{A,0}$ have a common convergence disk, independently of A .

Proof.

Choose $\{g_1, \dots, g_r\}$ as per WHD 1, and apply division to \mathbf{z}^A , to get

$$\mathbf{z}^A = h_{A,0} + \sum_{i=1}^r h_{A,i} g_i.$$



Definition

We will call the family $\mathbf{z}^A - h_{A,0}$, with $A \in \mathbb{Z}_0^c$ given by WHD 2 a specially prepared family. The finite subset

$$\{\mathbf{z}^{A_1} - h_{A_1,0}, \dots, \mathbf{z}^{A_r} - h_{A_r,0} \quad A_i \text{ a vertex of } u(l)\},$$

will be called a specially prepared set.

These series will play a central role in everything that follows.

We introduce some notations: the global graded ring w.r.t. \mathfrak{p} ,

$$\mathrm{gr}_{\mathfrak{p}}(R) = \bigoplus_{i \geq 0} \mathfrak{p}^i / \mathfrak{p}^{i+1} = \mathbb{C}\{\mathbf{w}\}[\tilde{\mathbf{z}}], \quad \tilde{z}_j = z_j + \mathfrak{p}^2$$

and

$$\tilde{f} = \bar{u}_{\mathbf{z}}(f) + \mathfrak{p}^2 \in \mathrm{gr}_{\mathfrak{p}}(R).$$

Note that \tilde{f} can be identified with the homogeneous part of f having degree $v_{\mathbf{z}}(f)$ and hence we will also call it the initial form of f w.r.t. \mathbf{z} , or the \mathbf{z} -initial form. We will also write, given the ideal $I \subset R$,

$$\mathrm{In}_{\mathfrak{p}}(I) = \left\{ \tilde{f} \mid f \in I \right\} \subset \mathrm{gr}_{\mathfrak{p}}(R),$$

called the initial ideal of I w.r.t. \mathfrak{p} .

We will use analogous notations and definitions for:



Normal flatness II

- the graded ring w.r.t. \mathfrak{m} (noted $\text{gr}_{\mathfrak{m}}(R)$),
- the ordinary initial form of f or the $\{\mathbf{z}, \mathbf{w}\}$ -initial form (noted \bar{f}), and
- the initial ideal of I w.r.t. \mathfrak{m} (noted $\text{In}_{\mathfrak{m}}(I)$).

The most interesting graded ring by far, is the local graded ring w.r.t. the situation $I \subset \mathfrak{p}$,

$$\text{gr}_{(\mathfrak{p}/I)}(R/I) = \mathbb{C}\{\mathbf{w}\}[\tilde{\mathbf{z}}]/\text{In}_{\mathfrak{p}}(I) = \mathbb{C}\{\mathbf{w}\}[\mathbf{z}^*],$$

where $z_j^* = \tilde{z}_j + \text{In}_{\mathfrak{p}}(I)$, for $1 \leq j \leq c$.

Finally, define

$$\Gamma = \{(\mathbf{z}^*)^A \text{ such that } A \notin u_{\mathbf{z}}(I)\}.$$



Proposition

The set Γ is a minimal generating system for $\text{gr}_{(\mathfrak{p}/I)}(R/I)$ as an (R/\mathfrak{p}) -module.

Definition

If $f \in R$ is a non zero, non unit, we will say that f is \mathfrak{p} -*equimultiple* (or simply **equimultiple**) if $v_{\mathbf{z}}(f) = v_{\mathbf{z},w}(f)$.

A basis $\{g_1, \dots, g_s\}$ of I will be called **equimultiple** if every g_i is equimultiple. A basis of I will be called **standard** if the ordinary initial forms $\{\bar{g}_1, \dots, \bar{g}_s\}$ generate the initial ideal $\text{In}_{\mathfrak{m}}(I)$.

We say that X is **normally flat along W at the origin** if $\text{gr}_{(\mathfrak{p}/I)}(R/I)$ is a free (equivalently flat) (R/\mathfrak{p}) -module.



Theorem (Characterisation of Normal Flatness)

With the notations we used throughout previous sections, the following conditions are equivalent:

- 1 X is normally flat along W at $\mathbf{0}$.
- 2 I has an equimultiple standard basis.

Proof.

1 \implies 2: Take a specially prepared set $\{f_1, \dots, f_r\}$ given by

$$f_i = \mathbf{z}^{A_i} - h_{A_i, 0},$$

and, using that Γ is a basis of $\text{gr}_{(p/I)}(R/I)$, show that $\{f_1, \dots, f_r\}$ is actually a basis of I , then check equimultiplicity. □

Combinatorial Characterization Theorem

For the other implication, we need:

Lemma (Min-lex)

Let $\{g_1, \dots, g_s\}$ be an equimultiple standard basis of I . For every non zero $f \in I$, if $A = \min_{\text{lex}}(\mathcal{E}_{\mathbf{z}}(\bar{f}))$, then $A \in u_{\mathbf{z}}(I)$ and there exists $g \in I$ equimultiple such that $u_{\mathbf{z}}(g) = A$.

Then, we can easily show that for every degree n ,

$$\Gamma_n = \{(\mathbf{z}^*)^A \text{ such that } A \notin u_{\mathbf{z}}(I), |A| = n\}$$

is linearly independent over $\mathbb{C}\{\mathbf{w}\}$.

Sketch of the proof: any non-trivial linear combination

$$\sum_{A \in \Gamma_n} \alpha_A(\mathbf{w})(\mathbf{z}^*)^A = 0$$



“lifts” to some initial form

$$\tilde{f} = \sum_{A \in \Gamma_n} \alpha_A(\mathbf{w}) \tilde{\mathbf{z}}^A, \quad f \in I.$$

But this is a contradiction with the Min-lex Lemma.

Corollary

Whenever I has an equimultiple standard basis, the specially prepared family is also a standard basis. In other words,

X is normally flat along W at $\mathbf{0}$ \iff

the specially prepared set is an equimultiple standard basis.



Fundamental Theorem

If normal flatness does not hold, we cannot assert that the specially prepared set $\{f_1, \dots, f_r\}$ is even a basis of I .

However, there exists a basis $I = (f_1, \dots, f_r, g_1, \dots, g_s)$ and an open polydisk $K \subset \mathbb{C}^c \times \mathbb{C}^d$ where f_i, g_j and $\mathbf{z}^A - h_{A,0}$ are all convergent, for every $A \in u_{\mathbf{z}}(I)$. **Let K' be the projection of K onto \mathbb{C}^d .**

For every $a \in K'$ write $I' = (f'_1, \dots, f'_r, g'_1, \dots, g'_s)$ where

$$f'_i = f_i(\mathbf{z}, \mathbf{w}' + a), \quad g'_j = g_j(\mathbf{z}, \mathbf{w}' + a).$$

I' is an ideal in the ring $R' = \mathbb{C}\{\mathbf{z}, \mathbf{w}'\}$.



If we set $\mathfrak{p} = (\mathbf{z}) \cdot R'$ and denote with tilde the initial forms of elements in

$$\mathrm{gr}_{\mathfrak{p}}(R') = \bigoplus_{n \geq 0} \mathfrak{p}^n / \mathfrak{p}^{n+1},$$

then $\mathrm{In}_{\mathfrak{p}}(I')$ is an ideal of $\mathrm{gr}_{\mathfrak{p}}(R')$. We will denote with stars the classes of elements modulo I' .

Beware

These notations are actually the same as for R and I , but there is no danger of confusion. If $\alpha = \mathbf{0}$ we will of course put $\mathbf{w}' = \mathbf{w}$.

Definition

For every integer $n \geq 0$, consider the $\mathbb{C}\{\mathbf{w}'\}$ -module of finite type

$$M_n = \text{gr}_{(\mathfrak{p}/I')} (R'/I')_n,$$

and the function $T_\alpha: \mathbb{Z}_0 \rightarrow \mathbb{Z}_0$ given by

$$\begin{aligned} T_\alpha(n) &= \dim_{\mathbb{C}} (M_n / (\mathbf{w}') \cdot M_n) \\ &= \text{minimal number of generators of } M_n / (\mathbf{w}') M_n \quad (\text{Nakayama}) \end{aligned}$$

Theorem (Fundamental Theorem of normal flatness)

Let X be normally flat along W at $\mathbf{0}$. Then,

- 1 For every $a \in K'$, X is normally flat along W at a .
- 2 The function T_a is constant in K .

Conversely, if there exists a polydisk $K'' \subset K'$ such that T_a is constant over K'' , then X is normally flat along W at $\mathbf{0}$.

To prove the first part, even without normal flatness, we have

$$\mathbf{z}^A - h_{A,0}(\mathbf{z}, \mathbf{w}' + a) = \sum_{i=1}^r h_{A,i}(\mathbf{z}, \mathbf{w}' + a) f_i(\mathbf{z}, \mathbf{w}' + a), \quad \forall A \in u(I),$$

which gives

$$(\mathbf{z}^*)^A - \tilde{h}_{A,0}(\mathbf{z}^*, \mathbf{w}' + a) = 0 \quad \text{in } \text{gr}_{(p/I')}(R'/I').$$

Fundamental Theorem

This proves that Γ is a homogeneous generating system of $\text{gr}_{(p/I')}(R'/I')$.

To see that it is free, any non trivial linear combination

$$\sum_{A \in \Delta_0, |A|=n} \varphi'_A(\mathbf{w}')(\mathbf{z}^*)^A = 0,$$

gives, by lifting, truncating and change of variables, a non trivial combination

$$\sum_{A \in \Delta_0, |A|=n} \varphi_A(\mathbf{w} - \alpha)(\mathbf{z}^*)^A,$$

This proves 1 and 2.

To prove the converse, it is enough to show again that Γ is free: We know it is a minimal system of generators of $\text{gr}_{(p/I)}(R/I)$, so

$$T_\alpha(n) = \text{card}(\Gamma_n).$$

We also know it is a minimal system of generators of $\text{gr}_{(p/I')}(R'/I')$. It remains to prove that it is $\mathbb{C}\{\mathbf{w}\}$ -free.



Fundamental Theorem

Suppose a non trivial relation

$$\sum_{A \in \Delta_0, |A|=n} \varphi_A(\mathbf{w})(\mathbf{z}^*)^A = 0.$$

Γ minimal over $\text{gr}_{(p/I)}(R/I)$ means $\varphi_A(\mathbf{0}) = 0$ for $A \in \Delta_0$. Pick an index B in the sum such that $\varphi_B(\mathbf{w}) \neq 0$ and α near $\mathbf{0}$ such that $\varphi_B(\alpha) \neq 0$. Then

$$\sum_{A \in \Delta_0, |A|=n} \varphi_A(\mathbf{w}' + \alpha)(\mathbf{z}^*)^A = 0$$

gives $(\mathbf{z}^*)^B$ as a linear combination of the other exponents, hence

$$T_\alpha(n) < \text{card}(\Gamma_n).$$



Definition

Recall that if \mathcal{O}_X is the structure sheaf of X , $\mathcal{O}_{X,\mathbf{x}}$ is the stalk at \mathbf{x} and $\mathfrak{m}_{X,\mathbf{x}}$ is the maximal ideal of $\mathcal{O}_{X,\mathbf{x}}$, the Hilbert function

$$\mathcal{H}_{X,\mathbf{x}}^{(0)}: \mathbb{Z}_0 \rightarrow \mathbb{Z}_0$$

is defined by

$$\mathcal{H}_{X,\mathbf{x}}^{(0)}(n) = \dim_{\mathbb{C}} (\mathfrak{m}_{X,\mathbf{x}}^n / \mathfrak{m}_{X,\mathbf{x}}^{n+1}).$$

Also,

$$\begin{aligned} \mathcal{H}_{X,\mathbf{x}}^{(1)}(n) &= \sum_{i=0}^n \mathcal{H}_{X,\mathbf{x}}^{(0)}(i) = \sum_{i=0}^n \dim_{\mathbb{C}} (\mathfrak{m}_{X,\mathbf{x}}^i / \mathfrak{m}_{X,\mathbf{x}}^{i+1}) \\ &= \dim_{\mathbb{C}} (\mathcal{O}_{X,\mathbf{x}} / \mathfrak{m}_{X,\mathbf{x}}^{n+1}) \end{aligned}$$

Theorem (Normal flatness and Hilbert functions)

Suppose W is locally positive dimensional at \mathbf{x} . The following conditions are equivalent:

- 1 X is normally flat along W at \mathbf{x} .
- 2 $u_{\mathbf{z}, \mathbf{w}}(I) = u_{\mathbf{z}}(I) \times \mathbb{Z}_0^d$.
- 3 $\mathcal{H}_{X, \mathbf{x}}^{(0)}$ is constant over $W \cap \Delta$, where Δ is a polydisk in \mathbb{C}^{c+d} centered at \mathbf{x} such that every series in a certain basis of I are convergent.
- 4 $\mathcal{H}_{X, \mathbf{x}}^{(1)}$ is constant over $W \cap \Delta$, where Δ is a polydisk in \mathbb{C}^{c+d} centered at \mathbf{x} such that every series in a certain basis of I are convergent.

3 \iff 4 goes for free.

1 \iff the specially prepared set is an equimultiple standard basis
(Remember Corollary?) \iff 2.

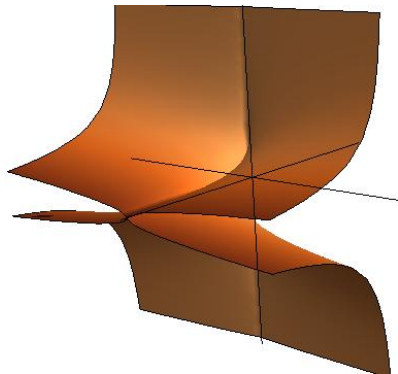
2 \implies 3:

$$\begin{aligned}\mathcal{H}_{X,\mathbf{x}}^{(0)}(n) &= \text{card}\{C \in \mathbb{Z}_0^{c+d} \text{ such that } |C| = n, C \notin u_{\mathbf{z},\mathbf{w}}(I)\} \\ &= \sum_{m=0}^n \left[\sum_{A \notin u_{\mathbf{z}}(I), |A|=m} \binom{n-m-d-1}{n-m} \right] \\ &= \sum_{m=0}^n T_{\mathbf{x}}(n) \binom{n-|A|-d-1}{n-m}.\end{aligned}$$

3 \implies 1: More involved, but it is some form of Gaussian elimination.

Cheater's example I

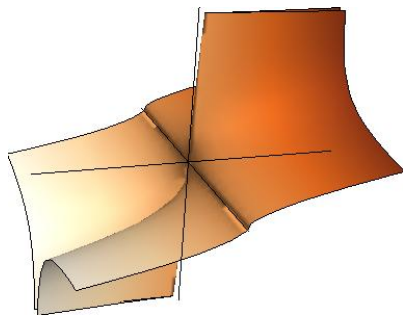
Consider the projective variety $H : z_1^2 w_1^5 + z_2^3 w_2^4 = 0 \in \mathbb{P}^3$.



- 1 In the chart $A_1 : w_1 \neq 0$, the equation of H is

$$f_1 : z_1^2 + z_2^3 w_2^4 = 0,$$

which is normally flat along $W \cap A_1$ at $(0, 0, 0) = [0 : 0 : 1 : 0] = P_1$.



- 2 In the chart $A_2 : w_2 \neq 0$, the equation of H is

$$f_2 : z_1^2 w_1^5 + z_2^3 = 0$$

which **is not** normally flat along $W \cap A_2$ at $(0, 0, 0) = [0 : 0 : 0 : 1] = P_2$.

The reason for this behaviour is that $\text{Sing}(H) = r_1 \cup r_2 \cup r_3$, with $r_1 \cap r_2 = P_1$, and $r_1 \cap r_3 = P_2$, but there's extra tangency at $P_2 \notin A_1$. (See pictures.)

Example

Consider the germ of analytic function around the origin given by its parametric Puiseux series

$$\begin{cases} z_1 = w^{9/5} z_3^{6/5} \\ z_2 = w^{6/5} z_3^{4/5} \end{cases}$$

or X given by the ideal

$$I = (z_1^5 - w^9 z_3^4, z_2^5 - w^6 z_3^4, z_1^2 - z_2^3).$$

After some computations, we get an equimultiple standard basis (also a specially prepared set)

$$I = (-z_1^2 + z_2^3, w^3 z_3^2 z_1^4 - z_2 z_1^5, -z_1^5 + w^3 z_3^2 z_2^2 z_1^2, w^6 z_3^4 - z_2^2 z_1^2).$$

Hence, X is normally flat along W at the origin.



Combinatorial is not (yet) effective!!!

But there's some useful work: Beck (2009).

Many things about normal flatness, specially as for its behaviour in the resolution process is concerned are still unknown.

Some interesting questions:

- What is a sufficient condition for normal flatness to hold after a blowing up?
- What happens when normal flatness does not hold after a blowing up?
- How do the Newton diagrams and Hilbert functions evolve after blowing ups?

An interesting project: glue computation of series and combinatorics.

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