OPTIMAL BOUNDS FOR T-SINGULARITIES IN STABLE SURFACES

JULIE RANA AND GIANCARLO URZÚA

Abstract. We explicitly bound T-singularities on normal projective surfaces $W$ with one singularity, and $K_W$ ample. This bound depends only on $K_W^2$, and it is optimal when $W$ is not rational. We classify and realize surfaces attaining the bound for each nonnegative Kodaira dimension of the minimal resolution of $W$. This answers effectiveness of bounds (see [A94], [AM04], [L99]) for those surfaces.

1. Introduction

Kollár and Shepherd-Barron introduced in [KSB88] a natural compactification of the Gieseker moduli space of surfaces of general type with fixed $K^2$ and $\chi$ [Gie77], which is analogous to the Deligne-Mumford compactification of the moduli space of curves of genus $g \geq 2$ [DM69]. This compactification is coarsely represented by a projective scheme [K90] because of Alexeev’s proof of boundedness [A94] (see also [AM04]). Thus we have a proper KSBA moduli space of stable surfaces, which includes classical canonical surfaces of general type. In particular, after fixing $K^2, \chi$ we have a finite list of singularities appearing on stable surfaces. It is a hard problem to write down that finite list explicitly (see [K17, Problem 1.24.3]).

Among the singularities that are allowed in stable surfaces, we have cyclic quotient singularities $\frac{1}{m}(1, q)$. These are defined as the germ at the origin of the quotient of $\mathbb{C}^2$ by the action $(x, y) \mapsto (\mu x, \mu^q y)$, where $\mu$ is a primitive $m$-th root of 1, and $q$ is an integer with $0 < q < m$ and $\gcd(q, m) = 1$. Among them, a very important class is formed by the ones which admit a $\mathbb{Q}$-Gorenstein smoothing [LW86, Proposition 5.9], since they are precisely, the singularities showing up in a normal degeneration of canonical surfaces in the KSBA compactification [KSB88, Section 3]. These singularities are $\frac{1}{dn^2}(1, dna - 1)$ with $\gcd(n, a) = 1$, and together with all Du Val singularities they are called T-singularities [KSB88, Section 3]. The $\mathbb{Q}$-Gorenstein smoothings of a T-singularity $\frac{1}{dn^2}(1, dna - 1)$ occur in one $d$-dimensional component of its versal deformation space.

Let $W$ be a normal projective surface with one T-singularity $\frac{1}{dn^2}(1, dna - 1)$ where $n > 1$ (i.e. non Du Val), and $K_W$ ample. In particular $W$ is a stable surface. Assume that there are no-local-to-global obstructions to deform the singular point. Then this surface describes a codimension $d$ variety in the closure of the Gieseker moduli space of surfaces of general type with $K_W^2$ and $\chi(\mathcal{O}_W)$ fixed [H11]. Thus for $d = 1$ we obtain divisors. The purpose of this article is to optimally bound the T-singularity $\frac{1}{dn^2}(1, dna - 1)$ in $W$.
as a function of $K_W^2$, with no assumptions on existence of $\mathbb{Q}$-Gorenstein smoothings.

Let
\[ \frac{dn^2}{dna - 1} = b_1 - \frac{1}{b_2 - \frac{1}{\ddots - \frac{1}{b_r}}} =: [b_1, \ldots, b_r] \]
be the Hirzebruch-Jung continued fraction associated to the T-singularity. We define its length as $r$, and so it is the number of exceptional curves in its minimal resolution. This continued fraction has a very particular form [KSB88, Proposition 3.11]. The index of the T-singularity is $n$, and it satisfies
\[ n \leq F_r - d \]
where $F_i$ is the $i$-th Fibonacci number defined by the recursion $F_0 = 1$, $F_1 = 1$, and
\[ F_i = F_{i-1} + F_{i-2} \]
for $i \geq 0$. (This can be deduced from [S89, Lemma 3.4].) That inequality is optimal, in the sense that equality is possible in infinitely many (and specific) cases; if $d = 1$, these have the form $[3, \ldots, 3, 5, 3, \ldots, 3, 2]$. Therefore, to bound T-singularities through the index, it is enough to bound $r - d$.

Let us consider the diagram
\[ \begin{array}{c}
\pi \\
\downarrow \\
S \\
\downarrow \\
\phi \\
\downarrow \\
W
\end{array} \]
where the morphism $\phi$ is the minimal resolution of $W$, and $\pi$ is a composition of blow-ups such that $S$ has no $(-1)$-curves. The best known bound in the literature is
\[ r \leq 400(K_W^2)^4 \]
for $d = 1$ and $S$ of general type, due to Y. Lee [L99, Theorem 23]. In [R17, Theorem 1.1] the first author gives the bound $r \leq 2$ when $d = 1$, $K_W^2 - K_S^2 = 1$, and $S$ is of general type. In this article we prove the following.

**Theorem 1.1.** Let $\kappa(S)$ be the Kodaira dimension of $S$.

1. If $\kappa(S) = 0$, then $r - d \leq 4K_W^2$.
2. If $\kappa(S) = 1$, then $r - d \leq 4K_W^2 - 2$.
3. If $\kappa(S) = 2$, then
\[ r - d \leq 4(K_W^2 - K_S^2) - 4 \]
when $K_W^2 - K_S^2 > 1$, $r - d \leq 1$ otherwise.

In these three cases the bounds are optimal.

**Remark 1.2.** Let $W$ be a normal projective surface with only T-singularities, and $K_W$ ample. Assume that $W$ is not rational and that there is a $\mathbb{Q}$-Gorenstein deformation $(W \subset X) \to (0 \in \mathbb{D})$ over a smooth curve germ $\mathbb{D}$ which is trivial for one non Du Val T-singularity of $W$, and a smoothing for all the rest. Thus the general fibre $W^0$ has $K_{W^0}$ ample, and it has one T-singularity $\frac{1}{dn^2} (1, dna - 1)$ of length $r$. Then we can bound $r - d$ as in...
Theorem 1.1 since $\kappa(S) \leq \kappa(S')$, where $S'$ is the minimal model of the minimal resolution of $W'$. This can be proved by means of the stable MMP [HTU17], and the hierarchy of Kodaira dimensions in [K92, Lemma 2.4]. We remark that in any case the bound can be taken as $4K_W^2$, but one can be precise after performing MMP. See Corollary 2.17 for details. An instance of this is a $W$ with no local-to-global obstructions, as in the Lee-Park examples [LP07] (see also [SU16]).

We observe that $d$ can be bounded by $\chi$ and $K^2$ via the log-Bogomolov-Miyaoka-Yau inequality (see e.g. [La03]) as

$$d - \frac{1}{dn^2} \leq 12\chi(O_W) - \frac{4}{3}K_W^2,$$

since $12\chi(O_W) = K_W^2 + \chi_{\text{top}}(W) + d - 1$ (see e.g. [HP10]). Also, $\chi(O_W)$ can be bounded by $K_W^2$ via the generalized Noether’s inequality in [TZ92, Theorem 2.10]. Thus, we are essentially bounding the length $r$ of the $\text{T}$-singularity as a linear function of $K_W^2$.

In the proof of such bounds, we will see that except for one specific situation, which involves a particular incidence between a $(-1)$-curve and the exceptional divisor of $\phi$ (a long diagram, see Definition 2.7), we have the improved bounds:

$$r - d \begin{cases} 2K_W^2 & \text{if } \kappa(S) = 0 \\ 2K_W^2 - 1 & \text{if } \kappa(S) = 1 \\ 2(K_W^2 - K_S^2) - 1 & \text{if } \kappa(S) = 2 \end{cases}$$

For the remaining case, where $K_S$ is not nef, we prove the following.

**Theorem 1.3.** Let $C$ be the exceptional divisor of $\phi$. If $K_S$ is not nef, then $S$ must be rational, and

$$r - d \begin{cases} 2(K_W^2 - K_S^2) - K_S \cdot \pi(C) & \text{if no long diagram} \\ 2(K_W^2 - K_S^2) + 1 - K_S \cdot \pi(C) & \text{if long diagram of type I} \\ 4(K_W^2 - K_S^2) - 2K_S \cdot \pi(C) & \text{if long diagram of type II} \end{cases}$$

The intersection $K_S \cdot \pi(C)$ is negative, and so these inequalities depend indeed on that number. If we fix $K_S \cdot \pi(C)$ for the case of $S = \mathbb{P}^2$ (i.e. we fix the degree of the plane curve $\pi(C)$), then we can provide examples attaining the bound (see Remark 2.19). We can also give examples where $W$ is fixed (and so everything else except $\pi$) but $-K_{\mathbb{P}^2} \cdot \pi(C)$ tends to infinity; see Lemma 2.20 and the example after that. By Alexeev’s boundedness, the minimal intersection number $-K_{\mathbb{P}^2} \cdot \pi(C)$ under Cremona transformations is bounded.

In relation to optimality, we give a classification in Section 3 of the surfaces which achieve the bounds above for each nonnegative Kodaira dimension.

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1By a similar argument, the log-Bogomolov-Miyaoka-Yau inequality bounds the number of singularities on a surface $W$ with only $\text{T}$-singularities by $\frac{1}{4}(9\chi(O_W) - K_W^2)$. See also [L99, Theorem 10].
In Subsection 3.1 we classify the surfaces with $\kappa(S) = 0$ attaining equality in Theorem 1.1. They are special K3 and Enriques surfaces with a particular configuration of curves. In each of these cases we find a realizable example, and in two of them we have no local-to-global obstructions to deform. They produce via $\mathbb{Q}$-Gorenstein smoothings Godeaux surfaces with fundamental group $\mathbb{Z}/2$.

In Subsection 3.2 we list the five special types of elliptic surfaces with $\kappa = 1$ which reach equality in Theorem 1.1, and the corresponding configurations of curves. We realize one of the five cases, which gives construction of normal stable surfaces $W$ with one singularity $\frac{1}{d}(1,9)$, $p_g(W) = 2$, $q(W) = 0$, and $K_W^2 = 1$. There is a recent study of stable surfaces for those invariants in [FPR17], and this example seems to be new. The surface $W$ has obstructions, and so we do not know if it is $\mathbb{Q}$-Gorenstein smoothable.

In Subsection 3.3 we list surfaces with $\kappa(S) = 2$ attaining equality in Theorem 1.1. These are divided into four cases. We realize all of them. For the first case, which depends on a parameter $t \geq 5$, we obtain a $W$ with invariants $q(W) = 0$, $p_g(W) = 2t - 7$, and $K_W^2 = 4(t - 4) + 1$. The corresponding surface $S$ satisfies $K_S^2/\chi_{\text{top}}(S) = \frac{t - 4}{2t - 14}$. We do not know if $W$ has $\mathbb{Q}$-Gorenstein smoothings. For the second case we obtain surfaces $W$ with $K_W^2 = 2$, $p_g = 2$, $q(W) = 0$, and T-singularity $\frac{1}{8}(1,6\mu - 1)$ for each $\mu = 2,3,4,5$, where $d = 2\mu$. For the third case we obtain a $W$ with $K_W^2 = 3$, $p_g(W) = 2$, $q(W) = 0$, T-singularity $\frac{1}{8}(1,35)$, and local-to-global obstructions. The surface $S$ is of general type with $K_S^2 = 1$. For the fourth case we obtain surfaces $W$ with $K_W^2 = 2$, $p_g = 2$, $q(W) = 0$, and T-singularity $\frac{1}{12}(1,43)$.

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2. Bounding

As in the introduction, let $W$ be a normal projective surface with one T-singularity $\frac{1}{d\mu}(1,dn_\mu - 1)$ where $n > 1$ (i.e. non Du Val), and $K_W$ ample. We consider the diagram

\[ X \xrightarrow{\phi} W \]

\[ S \xleftarrow{\pi} \]

where the morphism $\phi$ is the minimal resolution of $W$, and $\pi$ is a composition of $m$ blow-ups such that $S$ has no $(-1)$-curves.

We use the same notation as in [R17 Sect.2]. Let $E_i$ be the pull-back divisor in $X$ of the $i$-th point blown-up through $\pi$. Therefore, $E_i$ is a tree of $\mathbb{P}^1$’s, and it may not be reduced. Let

$$ C = C_1 + \ldots + C_r $$
be the exceptional (reduced) divisor of $\phi$. We have

$$K_S^2 - m + r - d + 1 = K_W^2.$$  

Remark 2.1. Throughout this paper, we will assume that $m > 0$, since otherwise $r - d = K_W^2 - K_S^2 - 1$, and this case holds in our main theorems.

Proposition 2.2. The divisor $\pi(C)$ is neither a tree of curves nor $\emptyset$. In particular $\kappa(S) = 1, 2$ implies $K_S \cdot \pi(C) \geq 1$.

Proof. Notice that $\pi(C) = \emptyset$ implies existence of $(-1)$-curve intersecting $C$ at one (or zero) point. But the image of such a curve in $W$ would intersect $K_W$ negatively, because a $T$-singularity is log terminal.

If $\pi(C)$ is a tree of curves, then we must consider blow-ups over a smooth point of the tree or over a node of the tree. Over a smooth point of the tree we will get eventually a $(-1)$-curve intersecting at one (or zero) point $C$, which is not possible. Over a node, since $C$ is connected, we would have to eventually have again a $(-1)$-curve intersecting at one (or zero) point $C$.

If $\kappa(S) = 1$, then $K_S \cdot \pi(C) = 0$ would mean that $\pi(C)$ is on a fiber of the elliptic fibration. But then the general fiber would trivially intersect $K_W$, which is not possible. If $\kappa(S) = 2$, then $K_S \cdot \pi(C) = 0$ would mean that $\pi(C)$ is an ADE configuration or $\emptyset$, but none of them are possible. □

Proposition 2.3. The surface $S$ satisfies one of the following:

1. It is rational.
2. It is either a K3 surface or an Enriques surface.
3. It has $\kappa(S) = 1$ and $q(S) = 0$.
4. It is of general type with $K_S^2 < K_W^2$.

Proof. This is essentially classification of surfaces. Say that $S$ is ruled. Then there is a $\mathbb{P}^1$-fibration $S \to D$ for some curve $D$. If some $C_i$ is a multiple section, then $D = \mathbb{P}^1$, and $S$ is rational. If no $C_i$ is a multiple section, then $C$ maps to one fiber. But then the general fiber $G$ has $G \cdot K_S = -2$, and so $G' \cdot K_W = -2$ for the strict transform $G'$ of $G$ in $W$. But $K_W$ is ample, a contradiction.

Say $S$ has $\kappa(S) = 0$. If $S$ is bi-elliptic, then there is an elliptic fibration $S \to D$ over an elliptic curve $D$. But then the argument above leads to a contradiction. If $S$ is an abelian surface, then $\pi(C) = \emptyset$, but this is not possible by the previous proposition. So, by the classification of surfaces, the surface $S$ can be only K3 or Enriques.

Say $S$ has $\kappa(S) = 1$. Then it has an elliptic fibration $S \to D$. But the $C_i$’s cannot be all in a fiber, because of ampleness of $K_W$ as above, and so $g(D) = 0$. But then $q(S) = g(D) = 0$, since $S$ is not a product (see [BHPV04, V(12.2),III(18.2-3)]).

Finally if $S$ is of general type, then Corollary 2.6 shows $K_W^2 > K_S^2$. □

Lemma 2.4. We have $\left(\sum_{i=1}^m E_i\right) \cdot \left(\sum_{j=1}^r C_j\right) = r - d + 2 - K_S \cdot \pi(C)$.

Proof. This is a direct computation, using that $\sum_{i=1}^m E_i = K_X - \pi^*(K_S)$ and $K_X \cdot (\sum_{j=1}^r C_j) = r - d + 2$; see [R17, Lemma 2.3]. □

Lemma 2.5. For any $i$, we have $E_i \cdot \left(\sum_{j=1}^r C_j\right) \geq 1$. 

Proof. If \( C_j \subset E_i \), then \( C_j \cdot E_i = 0 \) or \( C_j \cdot E_i = -1 \). The latter case can happen only for one \( C_j \). On the other hand, we must have a \((-1)\)-curve \( F \) in \( E_i \). Since \( K_W \) is ample and the singularity in \( W \) is log terminal, we must have \( F \cdot \left( \sum_{j=1}^{r} C_j \right) \geq 2 \). On the other hand, by Proposition \( \ref{prop:2.2} \), we know that \( \pi(C) \) is not empty, and we have that \( E_i \) is a tree. Therefore \( E_i \) intersected with \( \sum_{j \notin E_i} C_j \) is at least 2. Therefore \( E_i \cdot \left( \sum_{j=1}^{r} C_j \right) \geq 1 \). □

**Corollary 2.6.** We have \( \left( \sum_{i=1}^{m} E_i \right) \cdot \left( \sum_{j=1}^{r} C_j \right) \geq m + 1 \). In particular \( K_W^2 - K_S^2 \geq K_S \cdot \pi(C) \), and so we obtain \( K_W^2 > K_S^2 \) when \( K_S \) is nef.

Proof. This is Lemma \( \ref{lem:2.5} \) together with the observation that \( E_m \) is a \((-1)\)-curve, and so \( E_m \cdot \left( \sum_{j=1}^{r} C_j \right) \geq 2 \). For the rest, we use Lemma \( \ref{lem:2.4} \), \( r - d + 1 - m = K_W^2 - K_S^2 \), and Proposition \( \ref{prop:2.2} \). □

The key for us will be to find a better lower bound for \( \left( \sum_{i=1}^{m} E_i \right) \cdot \left( \sum_{j=1}^{r} C_j \right) \).

For each \( E_i \), we define the diagram \( \Gamma_{E_i} \) as in [R17]. The dual graph of the \( T \)-chain \( C_1, \ldots, C_r \) is shown below in Figure 1.

![Figure 1](image1.png)

**Figure 1.** The dual graph of \( C \).

If \( C_j \subset E_i \), we replace the \( j \)-th vertex of the dual graph by a box, and denote the resulting graph by \( \Gamma_{E_i} \). For instance, if \( \Gamma_{E_i} \) is as in Figure 2 then there are at least 4 points of intersection among curves in the \( T \)-chain not in \( E_i \) and curves in \( E_i \).

![Figure 2](image2.png)

**Figure 2.** A particular example.

If there are two or fewer points of intersection, then \( \Gamma_{E_i} \) must have the form shown in Figure 3, Figure 4, or Figure 5.

![Figure 3](image3.png)

**Figure 3.** Case (1).

![Figure 4](image4.png)

**Figure 4.** Case (2).

![Figure 5](image5.png)

**Figure 5.** Case (3).
Definition 2.7. We say that $E_i$ has a long diagram if $\Gamma_{E_i}$ is as in Figure 6 and there is a $(-1)$-curve $F$ as shown in that figure (there are two types).

![Diagram of Figure 6](image)

**Figure 6.** Long diagrams of type I (left) and type II (right).

Lemma 2.8. An $E_i$ with $E_i \cdot \left(\sum_{j=1}^{r} C_j\right) = 1$ has a long diagram.

Proof. As shown above, there are three cases according to curves in $E_i$ shared by $C$.

Case (1) is impossible because $K_W$ is ample. More precisely, this implies that a $(-1)$-curve $F$ in $E_i$ (a “final” one) must intersect $C$ twice, and this would give either a third point of intersection with the rest of $C$ or a loop with $E_i$. But $E_i$ is a tree of $\mathbb{P}^1$’s.

Notice that in here we did not use the fact that $C$ is a T-chain.

![Diagram of Figure 7](image)

**Figure 7.** Case (2), and $(-1)$-curve $F$.

Case (2). In this case there is a $(-1)$-curve $F$ as in Figure 7.

Notice that $F$ intersects one $\square$ curve $A$ on the left and one $\square$ curve $B$ on the right, in both cases transversally, and intersects no other curve in $E_i$. We note that either $A^2 = -2$ or $B^2 = -2$. Otherwise, we would need another $(-1)$-curve in $E_i$. This $(-1)$-curve would give a either a loop in $E_i$ or a third point of intersection with $C$.

Let us say $B^2 = -2$. Notice that then the curve $B$ cannot have two $\square$ neighbors, since if it did, then contracting $F$ and $B$ would give a triple point, and the $E_j$ are all simple normal crossings trees for all $j$. So we have the situation of Figure 8.

![Diagram of Figure 8](image)

**Figure 8.** Situation when $B^2 = -2$.

Note that the curve $B$ would have multiplicity at least 2 in $E_i$ if it had a $\bullet$ neighbor. Thus $B$ must be at end of $C$, since otherwise $E_i$ would have triple intersection with $C$. So our situation is as in Figure 8 for some $l \geq 0$. We claim that in this case $A$ can have only one $\square$ neighbor.
Figure 9. Case 2, and $(-1)$-curve $F$.

Proof. Say that $A$ has two □ neighbors.

Suppose that after blowing down $F$, $B$, ..., $D$, as in Figure 9 we have that $A$ becomes a $(-1)$-curve. If $l = 0$, then $D$ has multiplicity at least 2 in $E_i$, so this cannot happen because the intersection of $E_i$ with $C$ would be bigger than or equal to 2. If $l > 0$, then contracting the chain $F$, $B$, ..., $D$, $A$ gives a non simple normal crossing situation for $E_i$, which cannot happen.

On the other hand, suppose $A$ does not become a $(-1)$-curve after blowing down $F$, $B$, ..., $D$. Then there exists another $(-1)$-curve to continue contracting $E_i$. If this $(-1)$-curve is disjoint from the curves $F$, $B$, ..., $D$, then it is a $(-1)$-curve from the beginning in $E_i$, and so it intersects the black dots (otherwise we would generate a loop in $E_i$), a contradiction. Thus, it is not disjoint from these curves, and since $E_i$ must remain simple normal crossings at the blow downs, then $l$ must be zero. Since $l = 0$, then $D$ must have multiplicity at least 2 in $E_i$, again a contradiction.

Therefore $A$ must have only one □ neighbor, proving the claim.

Notice also that $A$ cannot be at the left end of $C$, since that would give $\phi(F) \cdot K_W = 0$ because $C$ is a T-chain (see Remark 2.9).

Remark 2.9. Assume that the $(-1)$-curve $F$ intersects the ends of the T-chain $C$. Then the image of $F$ in $W$ has

$$\phi(F) \cdot K_W = -1 + 1 - \frac{dna - 1 + 1}{dn^2} + 1 - \frac{dn(n-a) - 1 + 1}{dn^2} = 0,$$

since the discrepancies of the ends of $C$ are $-1 + \frac{dna-1+1}{dn^2}$ and $-1 + \frac{dn(n-a)-1+1}{dn^2}$. All discrepancies of $C$ can be computed as in [Urz16a, Sect.4].

Therefore $A$ has a □ neighbor, and a ● neighbor. We have two situations.

(a) We have $l = 0$. The situation is as in Figure 10.

![Figure 10](image)

**Figure 10.** Situation when $l = 0$.

If after blowing down all □ $(-2)$-curves $B, ..., D$ the curve $A$ does not become a $(-1)$-curve, then we have an extra $(-2)$-curve as in Figure 11. This is because we need another $(-1)$-curve to continue blowing down $E_i$, and the only possibility is to come from such a situation. But then, the multiplicity in $E_i$ of the $(-2)$-curve $D$ is at least 2, so this is not possible.

Therefore after blowing down all $(-2)$-curves $B, ..., D$, the curve $A$ becomes a $(-1)$-curve. If the □ adjacent to $A$ is not a $(-2)$-curve, then we
Figure 11. When the □ adjacent to A is not a (−2)-curve.

need another (−1)-curve to continue contracting $E_i$. This means there is a (−2)-curve hanging as in Figure 11 but this is not possible as we discussed above. Therefore, the box adjacent to A and all remaining □’s are at (−2)-curves. But C is a T-configuration, and so cannot have (−2)-curves in both ends, a contradiction. (This is the only place in case 2 where we use that C is a T-configuration.)

(b) We have $l > 0$. If after blowing down the (−2)-curves $B, \ldots, D$, the curve A becomes a (−1)-curve, then its multiplicity in $E_i$ is at least 2. So A cannot become a (−1)-curve. But then we need an extra (−1)-curve in $E_i$ to continue the contraction of $E_i$. If this (−1)-curve is disjoint from the curves $F, B, \ldots, D$, then it is a (−1)-curve from the beginning in $E_i$, and so it intersects the black dots (otherwise we would generate a loop in $E_i$), giving a third point of intersection of $E_i$ with C, a contradiction. Thus, it is not disjoint from these curves. But since $E_i$ must remain simple normal crossing at each blow-down, this forces $l = 0$, again a contradiction.

Since we have proved that both situations (a) and (b) cannot occur, case (2) is impossible.

We remark that the fact that C is a T-configuration was only used to eliminate the case where all □’s are (−2)-curves, and to eliminate the situation in which $F$ intersects both ends of C.

Case 3). We assume that there is $E_i$ with

$$\left(\sum_{j=1}^{r} C_j\right) \cdot E_i = 1.$$ 

In this case there must be a (−1)-curve $F$ that intersects a • curve at one point transversally, and a □ curve A at one point transversally. There are no further intersections of $F$ with curves in $E_i$, because such an intersection would give a loop in $E_i$.

Notice first that $A^2 = -2$. This is because if $A^2 \leq -3$, then we need another (−1)-curve to continue contracting $E_i$. This curve is disjoint from $F$, and so it gives from the beginning either a cycle in $E_i$ or a third point of intersection, neither of which is possible.

Also note that A is adjacent to no more than one □ curve. On the contrary, suppose that A is adjacent to two □ curves. Since $A^2 = -2$, then $F$ has multiplicity at least 2 in $E_i$, a contradiction with $(\sum_{j=1}^{r} C_j) \cdot E_i = 1$.

Finally, notice that the same argument shows that all other □ curves in C are also (−2)-curves. Otherwise, we would have either a third point of intersection of $E_i$ with C or a cycle with an extra (−1)-curve in $E_i$. Thus we have that $E_i$ has a long diagram, as in Figure 6. □
Lemma 2.10. Assume that $E_i$ has a long diagram. Say that $C_1, C_2, \ldots, C_s$ are $(-2)$-curves and $C_{s+1}^2 \leq -3$. Then the number of $E_j$ with

$$E_j \cdot \left( \sum_{j=1}^r C_j \right) = 1$$

is precisely 1 if $E_i$ is of type I, and $s$ if $E_i$ is of type II.

Proof. Assume $E_i$ has in its long diagram the curves $F, C_1, \ldots, C_q$ where $q \leq s$. Without loss of generality, suppose that the map $\pi : X \to S$ starts by blowing-down $F$, and then the curves $C_1, \ldots, C_q$ from 1 to $q$ or $q$ to 1, depending on the type of $E_i$. Then $E_m = F$ and $E_{m-q} = F + C_1 + \ldots + C_q$.

Let $E_i$ be such that $E_i \cdot C = 1$ with $l < m - q$. Then $E_i$ has a long diagram by the previous lemma. So it must have as components some or all of the $(-2)$-curves $\{C_1, \ldots, C_s\}$. Here we are using that $C$ is a T-chain, so we have $(-2)$-curves only at one end. Then $E_{m-q} \subset E_i$. If the $(-1)$-curve $F'$ in the long diagram of $E_i$ is not $F$, then we have either a loop in $E_i$ or $E_i \cdot C \geq 2$. Thus $F = F'$, and so $E_i$ is of the same type as $E_i$.

Let us write

$$E_i = c_1(F + C_1) + c_2C_2 + \ldots + c_sC_s + D$$

where $c_1 \geq 1$, $c_i \geq 0$ for $i > 1$, and $D$ is an effective divisor which has no $C_i$ in its support. Notice that $E_i \cdot C = c_1 + D \cdot C = 1$, and so $c_1 = 1$ and $D \cdot C = 0$. But if $D > 0$, then $D$ must intersect $C$, since otherwise $D$ contains a $(-1)$-curve disjoint from $C$, a contradiction with the assumption $K_W$ ample. So, $D = 0$.

If $E_i$ is of type I, then $E_i = E_l = F + C_q + \ldots + C_1$. Notice that in this case there is a unique $E_i$ such that $E_i \cdot C = 1$.

If $E_i$ is of type II, then $E_i = F + C_1 + C_2 + \ldots + C_k$ where $1 \leq k \leq s$. Therefore, we have precisely $s$ $E_j$ such that $E_j \cdot C = 1$. \hfill $\square$

Notation 2.11. We will use the following notation

1. $\delta$ is the number $s$ in Lemma 2.10 when there is a long diagram of type II, or 1 when there is a long diagram of type I, or 0 otherwise.
2. $\lambda := K_S \cdot \pi(C)$.

Theorem 2.12. We have

$$r - d \leq 2(K_W^2 - K_S^2) + \delta - \lambda.$$

Proof. By Lemma 2.4 and Lemma 2.10 we have

$$r - d + 2 - \lambda = \left( \sum_{i=1}^m E_i \right) \cdot \left( \sum_{j=1}^r C_j \right) \geq 2m - \delta.$$

The result follows since $r - d + 1 - m = K_W^2 - K_S^2$. \hfill $\square$

Corollary 2.13. If there is no long diagram and $K_S$ is nef, then

1. $\kappa(S) = 0$ implies $r - d \leq 2K_W^2$.
2. $\kappa(S) = 1$ implies $r - d \leq 2K_W^2 - 1$.
3. $\kappa(S) = 2$ implies $r - d \leq 2(K_W^2 - K_S^2) - 1$. 

Corollary 2.14. If there is a long diagram of type I and $K_S$ is nef, then
\[\kappa(S) = 0 \implies r - d \leq 2K_W^2 + 1.\]
\[\kappa(S) = 1 \implies r - d \leq 2K_W^2.\]
\[\kappa(S) = 2 \implies r - d \leq 2(K_W^2 - K_S^2).\]

Proof. In each case, the proof combines Theorem 2.12 with properties of $\lambda$ (see Proposition 2.2).

We now want to estimate $s$ with respect to $r - d$ when there is a long diagram of type II.

Lemma 2.15. Assume that we have a long diagram of type II, and that $K_S$ is nef. Then
\[\kappa(S) = 0, 1 \implies r - d \geq 2s.\]
\[\kappa(S) = 2 \implies r - d \geq 2s + 2, \text{ or } r - d \geq 2s + 1 \text{ and } \lambda \geq 2.\]

Proof. We divide this into three cases according to the position of the $\bullet$ curve $\Gamma$ which intersects $F$ (see Figure 6 right). We denote its self-intersection by $-\alpha$. Since $C$ is a T-configuration, we have the three cases:
\[\{2, \ldots, 2, x_1, x_2, \ldots, x_{r-s-1}, 2 + s\},\]
\[\{2, \ldots, 2, 3, 2, \ldots, 2, 3 + s\},\]
and
\[\{2, \ldots, 2, 4 + s\},\]
for some $s \geq 1$.

The two last cases are not possible for a long diagram of type II. In the last we have Remark 2.9 ($\phi(F) \cdot K_W = 0$). For the other, we have that $\Gamma$ is the $(-3)$-curve, but $s \geq 1$ contradicts the fact that, at the end, $K_S$ is nef. So, we need to analyze only the first case. In that case, we have the following relation (see e.g. [HP10] proof of Lemma 8.6)
\[d - 3r - 2 = -2s - \sum_{i=1}^{r-s-1} x_i - (2 + s).\]

$\Gamma$ at the end of $C$: This case is impossible by Remark 2.9 ($\phi(F) \cdot K_W = 0$).

$\Gamma$ intersects a $\Box$: Notice that we have $x_1 = \alpha \geq s + 4$ because $K_S$ is nef, and the T-chain is of the form $\{2, \ldots, 2, x_1, x_2, \ldots, x_{r-s-1}, 2 + s\}$. We reorganize the formula above as $\sum_{i=1}^{r-s-1} x_i - (2 + s) = r - s - d + 2$, and so, since $x_i - 2 \geq 0$, we obtain $x_1 - 2 \leq r - s - d + 2$.

Because $s + 4 \leq x_1$, we obtain $2s \leq r - d$.

If $S$ is of general type, then $\alpha \geq s + 5$. Then we do the same and get $2s + 1 \leq r - d$. If there is another $x_i$ (apart from $x_1$) with $x_i \geq 3$, then we obtain $2s + 2 \leq r - d$. Let us assume that there is no such $x_i$ and that $\alpha = s + 5$. Then after blowing-down $F$ and the $s$ $(-2)$-curves, we obtain a surface $S'$ such that $K_S' \cdot \Gamma = 1$. Therefore, either $S' = S$ or there is a $(-1)$-curve intersecting only the end $(-2 - s)$-curve. In either case $\lambda \geq 2$. 

\[\Box\]
\( \Gamma \) is adjacent to two \( \bullet \)'s. This means \( \Gamma \) does not intersect a \( \square \), and it is not at the end of \( C \). Also, by adjunction and \( K_S \) nef, we have \( \alpha \geq s + 2 \). If \( \alpha \geq s + 3 \), then
\[
s + 3 - 2 + 1 \leq s + 3 - 2 + x_1 - 2 \leq r - s - d + 2,
\]
which gives the desired result, \( 2s \leq r - d \).

The bad case to have the desired inequality is \( \alpha = s + 2 \) and \( s + 1 = r - s - d + 2 \). Then \( C \) has continued fraction \([2, \ldots, 2, 3, 2, \ldots, 2, s + 2, s + 2]\), but then we will have a contradiction with \( K_S \) nef, since some curves will become negative for canonical class. Therefore, we also have \( 2s \leq r - d \) in this case.

Let us consider the case \( S \) of general type. Notice that \( \alpha \geq s + 4 \) implies \( r - d \geq 2s + 1 \). So, let us assume \( r - d = 2s \) and \( \alpha = s + 3 \). Then, since
\[
\sum_{i=1}^{r=s-1}(x_i - 2) = r - s - d + 2,
\]
we have for some \( \varepsilon \geq 0 \)
\[
x_1 - 2 + (s + 3 - 2) + \varepsilon = r - s - d + 2 = s + 2,
\]
and so \( x_1 = 3 \) and \( \varepsilon = 0 \). Thus \( x_i = 2 \) for all \( i \neq 1 \). But after contracting \( F \) and \( C_1, \ldots, C_s \), we obtain a cycle of \((-2)\)-curves, and that is impossible in a general type surface (minimal or not). Therefore \( r - d \geq 2s + 1 \).

Let us now consider the case \( S \) of general type and \( \alpha \geq s + 5 \). That implies \( r - d \geq 2s + 2 \). Let us then assume:

(1) \( \alpha = s + 3 \) and \( r - d = 2s + 1 \). Then, as above, \( x_1 - 2 + s + 1 + \varepsilon = s + 3 \), and so \( x_1 = 3 \) or \( 4 \).

If \( x_1 = 3 \), then for some \( i \neq 1 \), we have \( x_i = 3 \), and \( x_j = 2 \) for all other \( j \) (not corresponding to \( \alpha \)). We have two possibilities for \( C \):
\[
[2, \ldots, 2, 3, s+3, 2, \ldots, 2, 3, s + 2] \quad [2, \ldots, 2, 3, 2, \ldots, 2, 3, 2, \ldots, 2, s+3, s + 2]
\]
In the first case, we get after contracting \( F, C_1, \ldots, C_s \) a cycle of two \((-2)\)-curves, and that is not possible in a general type surface. In the second case, after contracting \( F, C_1, \ldots, C_s \), we obtain a surface \( S' \) and the configuration of curves shown in Figure \ref{fig:12} where we can see self-intersections and the point \( P = C_{s+1} \cap \Gamma \). If \( S' = S \), then \( \lambda \geq 2 \) since \( s \geq 1 \). If \( S' \neq S \), then there is a \((-1)\)-curve \( F' \) on \( S' \). Then \( F' \) intersects at most one \((-2)\)-curve, and transversally, because \( K_S \) is nef. So \( P \) is not in \( F' \). If \( F' \) intersects the \((-2)\)-curve chain in \( S' \), then the \((-3)\)-curve becomes negative for the canonical class after contraction, a contradiction. So \( F' \) is disjoint from that chain. If \( F' \) touches the \((-3)\)-curve, then it can only be at one transversal point (since \( K_S \) is nef), but then we obtain a cycle of \((-2)\)-curves, which is not possible. So, \( F' \) intersects the \((-2 - s)\)-curve, and since \( K_W \) is ample (and \( P \) is not in \( F' \)), it must be at least at two points. Then \( \lambda \geq 2 \).

\begin{figure}[h]
\centering
\includegraphics[width=0.5\textwidth]{figure12.png}
\caption{Case (I) with \( x_1 = 3 \).}
\end{figure}

If \( x_1 = 4 \) (so all other \( x_i \neq \alpha \) are 2), we must have the T-chain
\[
[2, \ldots, 2, 4, 2, \ldots, 2, s + 3, 2, s + 2]
\]
and so after contracting $F, C_1, \ldots, C_s$, we obtain a surface $S'$ and the configuration of curves shown in Figure 13, where we can see self-intersections and the point $P = C_{s+1} \cap \Gamma$. Then the argument follows just as in the previous case, and we get $\lambda \geq 2$.

**Figure 13.** Case (I) with $x_1 = 4$.

-2 -2 -2 -2 -2 -3 -2 -s
P...
-2 1

(II) $\alpha = s + 4$ and $r - d = 2s + 1$. In this case we get $x_1 = 3$ and $\varepsilon = 0$, following same strategy. Then $C$ has the form

$[2, \ldots, 2, 3, 2, \ldots, 2, s + 4, s + 2]$

and after contracting $F, C_1, \ldots, C_s$, we obtain a surface $S'$ and the configuration of curves shown in Figure 14, where we can see self-intersections and the point $P = C_{s+1} \cap \Gamma$. Then the argument follows just as in the previous case, and we get $\lambda \geq 2$.

**Figure 14.** Case (II).

-2 -2 -2 -2 -2 -3 -2 -s
P...
-2 1

Theorem 2.16. Assume $K_S$ is nef.

1. If $\kappa(S) = 0$, then $r - d \leq 4K_W^2$.
2. If $\kappa(S) = 1$, then $r - d \leq 4K_W^2 - 2$.
3. If $\kappa(S) = 2$, then

$$r - d \leq 4(K_W^2 - K_S^2) - 4$$

when $K_W^2 - K_S^2 > 1$, $r - d \leq 4K_W^2$. Otherwise.

Proof. In the case $\kappa(S) = 0$, we have $\lambda = 0$. By Theorem 2.12 and Lemma 2.15 we have that for a long diagram of type II, $r - d \leq 4K_W^2$. Then we compare with Corollary 2.13 and Corollary 2.14 to say that in any situation $r - d \leq 4K_W^2$.

In the case $\kappa(S) = 1$, we have $\lambda \geq 1$ by Proposition 2.2. By Theorem 2.12 and Lemma 2.15 we have that for a long diagram of type II, $r - d \leq 4K_W^2 - 2$. Then we compare with Corollary 2.13 and Corollary 2.14 to say that in any situation $r - d \leq 4K_W^2 - 2$.

In the case $\kappa(S) = 2$, we also have $\lambda \geq 1$ by Proposition 2.2. By Theorem 2.12 and Lemma 2.15 we have that for a long diagram of type II, $r - d \leq 4(K_W^2 - K_S^2) - 4$. Then we compare with Corollary 2.13 and Corollary 2.14 to say that in any situation $r - d \leq 4(K_W^2 - K_S^2) - 4$, except in the case $K_W^2 - K_S^2 = 1$, where we obtain $r - d \leq 2$, since in that case $4(K_W^2 - K_S^2) - 4 \leq
2(K^2_W - K^2_S). But K^2_W - K^2_S = 1 implies m = r - d, and so m \leq 2. Also in this case we have a long diagram of type I, and so the number of ending (-2)-curves in C cannot exceed 1 (otherwise m \geq 3). So r - d = m = 2, and C has the form [2, 3, 2, \ldots, 4], but this is not possible. So for the case K^2_W - K^2_S = 1 we must have r - d \leq 1.

**Corollary 2.17.** Let W be a normal projective surface with K_W ample and only T-singularities. Assume that W is not rational, and that there is a Q-Gorenstein deformation (W \subset X) \to (0 \in \mathcal{D}) over a smooth curve germ \mathcal{D} which is trivial for one non Du Val T-singularity of W, and a smoothing for all the rest. Thus the general fibre W' has K_{W'} ample, and it has one T-singularity 1 \over d\pi(1, d\alpha - 1) of length r. Then \kappa(S) \leq \kappa(S') where S' is the minimal model of the minimal resolution of W', and so we can bound r - d as in Theorem 2.16.

**Proof.** We resolve simultaneously the constant T-singularity in the deformation (W \subset X) \to (0 \in \mathcal{D}) to obtain (W_0 \subset X_0) \to (0 \in \mathcal{D}). By [HTU17, Lemma 5.2] and [HTU17, Theorem 5.3], after a possible base change, we can find a Q-Gorenstein smoothing (W_1 \subset X_1) \to (0 \in \mathcal{D}) which is birational over \mathcal{D} to (W_0 \subset X_0) \to (0 \in \mathcal{D}), such that the fibre over 0 has only Wahl singularities [WS11] (i.e. non Du Val T-singularities with d = 1), and the canonical class \tilde{K}_{X_1} is nef. Therefore we satisfy the conditions of [K92, Lemma 2.4], and so we have \kappa(W_1) \leq \kappa(W'_1) where W'_1 is the general fibre of (W_1 \subset X_1) \to (0 \in \mathcal{D}), and \tilde{W}_1 is the minimal resolution of W_1. In this way, \kappa(S) \leq \kappa(S'). We note that, according to [K92, Lemma 2.4], we obtain \kappa(S) = \kappa(S') if and only if W_1 is smooth. Finally notice that K_{W'} is ample since this is a Q-Gorenstein deformation with K_{W'} ample, and \kappa(S') \geq 0 since \kappa(S) \geq 0 by Proposition 2.3. Therefore we can apply Theorem 2.16 to W'.

An instance of this is a surface W with no local-to-global obstructions, as in the Lee-Park examples [LP07] (see also [SU16], and [Urz16a] where it is done explicitly).

Based on the work done in this section and using some tricks about elliptic and rational fibrations, we have the following result when K_S is not nef.

**Theorem 2.18.** Assume K_S is not nef. Then S must be rational, and

\[
2r - d \leq \begin{cases} 
2(K^2_W - K^2_S) - \lambda & \text{if no long diagram} \\
2(K^2_W - K^2_S) + 1 - \lambda & \text{if long diagram of type I} \\
4(K^2_W - K^2_S) - 2\lambda & \text{if long diagram of type II}
\end{cases}
\]

where \lambda = K_S \cdot \pi(C).

**Proof.** By Proposition 2.3 we know that S is rational. We also have

\[
2r - d \leq 2(K^2_W - K^2_S) + \delta - \lambda
\]

by Theorem 2.12. Therefore, it is enough to show that for the case of a long diagram of type II we have

\[
2\delta = 2s \leq r - d.
\]

Let us assume we have a long diagram of type II. We divide the analysis into three cases according to the position of the \bullet curve \Gamma which intersect
(see Figure 3 right). We denote its self-intersection by \(-\alpha\). Since \(C\) is a T-configuration, we have three possibilities for \(C\):
\[
[2, \ldots, 2, x_1, x_2, \ldots, x_{r-s-1}, 2+s], \\
[2, \ldots, 2, 3, 2, \ldots, 2, 3+s], \\
[2, \ldots, 2, 4+s],
\]
for some \(s \geq 1\).

The only possible one is the first case, since in the other two \(\phi(F) \cdot K_W = 0\).
(This is another way to start the proof of Lemma 2.15; for the computation of discrepancies see e.g. [Urz16a, Lemma 4.1].) The first case gives us two main situations which we are going to treat separately.

**Elliptic fibration:** Assume that \(C\) has continued fraction
\[
[2, \ldots, 2, \alpha, w_1, \ldots, w_u],
\]
and there is a \((-1)\)-curve connecting the first \((-2)\)-curve of \(C\) with the curve \(\Gamma\) associated to \(\alpha \geq 3\). Here \(u = r - s - 1\) and \(w_u = s + 2\). Let us also assume for a contradiction that \(\alpha \leq s + 3\). Then, after blowing-down \(F\) and all \((-2)\)-curves before \(\Gamma\) in \(C\), we obtain a nodal curve \(\Gamma'\) in a surface \(S'\), which is the image of \(\Gamma\), with \(\Gamma'^2 > 0\). Let \(W_1, \ldots, W_u\) be the images of the rest of the curves in \(C\), so that \(W_i^2 = -w_i\). Let us blow-up general points in \(\Gamma'\) so that the strict transform \(\Gamma''\) in \(S''\) has \(\Gamma''^2 = 1\). By Riemann-Roch, the curve \(\Gamma''\) defines an elliptic fibration \(X' \rightarrow \mathbb{P}^1\), after we blow-up one base point in \(S''\). The strict transform of \(\Gamma''\) is a fibre. Let \(W'_1\) be the strict transform of \(W_1\) in \(X'\). Then \(W'_1\) cannot be a section. To see this, let us consider the relatively minimal fibration \(X'' \rightarrow \mathbb{P}^1\) which has sections, and all of them are \((-1)\)-curves. Therefore, there must be a \((-1)\)-curve in \(X'\) intersecting \(W'_1\) at one point, but this would remain a \((-1)\)-curve on \(X\) intersecting \(C\) at one point, giving a contradiction with \(K_W\) ample (since this \((-1)\)-curve is disjoint from the \((-1)\)-sections).

Thus \(W'_1, \ldots, W'_u\) are part of a fibre \(G\) on \(X'\), and the blow-up \(X' \rightarrow S''\) is at \(\Gamma'' \cap W_1\). We note that \(W'^2_1 < -2\) and \(W'^2_u = -(s+2) < -2\). The fibre \(G\) cannot be a tree because we have \((-1)\)-curves in \(G\), and they must touch the chain \(W'_1, \ldots, W'_u\) at least twice (here we are again using that \(K_W\) is ample). Therefore the only possible situation is that \(G\) is a cycle, but then there is only one possible \((-1)\)-curve in \(G\), connecting \(W'_1\) with \(W'_u\), and both are \((-3)\)-curves, and so \(s = 1\). The corresponding situation cannot be.

Therefore, in this case we have \(\alpha \geq s + 4\), and as in Lemma 2.15 we obtain
\[
s + 4 - 2 = s + 2 \leq r - s - d + 2
\]
and so \(2s \leq r - d\).

**Rational fibration:** Let us assume now that the T-chain has the form
\([2, \ldots, 2, x_1, \ldots, x_u, s + 2]\) with \(x_1 \geq 3\), and a \((-1)\)-curve \(F\) connecting the first \((-2)\)-curve of \(C\) with an \(x_j = \alpha\) with \(j > 1\). First, we show that \(\alpha \geq s + 2\).

Assume \(\alpha \leq s + 1\). Let us write the continued fraction of \(C\) as
\[
[2, \ldots, 2, s_1, y_1, \ldots, y_u, s_2, \alpha, s_3, z_1, \ldots, z_u]
\]
where the number of 2’s on the left is \( s \geq \alpha - 1 \). We first show that \([y_1, \ldots, y_u]\) and \([z_1, \ldots, z_v]\) must both be empty, and so \( C \) must have continued fraction \([2, \ldots, 2, s_1, s_2, \alpha, s_3]\), and then we will analyze that case.

Let us say that the 2’s on the left correspond to \( C_1, \ldots, C_{\alpha - 1} \). The key point of the argument is to look at \( C_{\alpha - 1}, \ldots, C_1, F, \Gamma \). That configuration contracts to a \( \mathbb{P}^1 \) with 0 self-intersection in a rational surface, and so it defines a genus 0 fibration \( f: X \to \mathbb{P}^1 \) with \( C_{\alpha - 1}, \ldots, C_1, F, \Gamma \) as one of its fibres. The three curves \( S_i \) in \( C \) which have \( S_i^2 = -s_i \) are sections of this fibration, since they intersect the previous fibre at one point each. The configurations of curves corresponding to \([y_1, \ldots, y_u]\) and \([z_1, \ldots, z_v]\) belong to fibres of \( f \), since they are disjoint from \( C_{\alpha - 1}, \ldots, C_1, F, \Gamma \).

We will use several times the following simple fact: In a genus 0 fibration, a fibre which has only one \((-1)\)-curve has exactly two reduced components. In particular, there cannot be 3 sections intersecting 3 distinct components.

Let \( F' \) be a \((-1)\)-curve in the fibre corresponding to \([y_1, \ldots, y_u]\). Then since \( K_{W'} \) is ample, \( F' \) must intersect \( C \) twice somewhere. Notice that \( F' \) cannot intersect \( C_1, \ldots, C_{\alpha - 1}, S_1, S_2 \). Let us say that \( F' \) intersects \( S_3 \), which must be transversal at one point. Then \( F' \) can only intersect \([y_1, \ldots, y_u]\), since otherwise \( F' \) intersects \([z_1, \ldots, z_v]\) giving that \([y_1, \ldots, y_u]\), \([z_1, \ldots, z_v]\) and \( F' \) are all part of the same fibre. But \( S_3 \) is a section and already intersects \( z_1 \), so this cannot be. Let \( F'' \) be another \((-1)\)-curve in the fibre corresponding to \([y_1, \ldots, y_u]\). Since \( F' \) already intersects \( S_3 \), we see that \( F'' \) intersects \([y_1, \ldots, y_u]\) twice, a contradiction. Thus \( F' \) is the only \((-1)\)-curve in the fibre corresponding to \([y_1, \ldots, y_u]\), and by the fact above, this is a contradiction. Therefore \( F' \) intersects \([y_1, \ldots, y_u]\) and \([z_1, \ldots, z_v]\) at one point each. Notice that there is no room for another \((-1)\)-curve in that fibre. Therefore, by the fact above, we obtain a contradiction, and so there is no \([y_1, \ldots, y_u]\).

Now let \( F' \) be a \((-1)\)-curve in the fibre corresponding to \([z_1, \ldots, z_v]\). Then we have that either \( F' \) intersects \( S_1 \) and \( S_2 \) at one point each or \( F' \) intersects \( S_i \) but not \( S_j \), and so it also intersects \([z_1, \ldots, z_v]\). Notice that in the first case, we need to have another \((-1)\)-curve in the fibre corresponding to \([z_1, \ldots, z_v]\) (by the fact above), but there is no room to have that extra \((-1)\)-curve. Therefore we are in the second case, and there must exist another \((-1)\)-curve \( F'' \) which intersects \( S_j \) but not \( S_i \), and intersects \([z_1, \ldots, z_v]\). There is no room for another \((-1)\)-curve, and so the fibre corresponding to \([z_1, \ldots, z_v]\) must be \([1, 2, \ldots, 2, 1]\) and so \( z_i = 2 \) for all \( i \). But \( z_v = s + 2 \) with \( s \geq 1 \), a contradiction.

Thus \( C \) must have continued fraction of the form \([2, \ldots, 2, s_1, s_2, \alpha, s_3]\) (or \([2, \ldots, 2, s_1, \alpha, s_3]\)). Notice that \( s_3 = 2 + s, \alpha \leq s + 1 \), and we are assuming there are \( \alpha - 1 \) \((-2)\)-curves before \( s_1 \). We have a \((-1)\)-curve \( F \) connecting \( C_1 \) with \( \Gamma \) which has \( \Gamma^2 = -\alpha \). After blowing down \( F \) and \( C_1, \ldots, C_{\alpha - 1} \), we obtain a \( \mathbb{P}^1 \)-fibration defined by the image of \( \Gamma \).

Say we have \([2, \ldots, 2, s_1, s_2, \alpha, s_3]\). We now can consider a model \( \mathbb{F}_{x+2} \) by blowing down all \((-1)\)-curves disjoint from the \((-s - 2)\)-curve \( C_r \) (which comes from \( C \)). Each of these \((-1)\)-curves should intersect transversally the \( S_1 \) once and the \( S_2 \) once, since the \( S_i \) are sections. If we choose one \((-1)\)-curve, then there must be another \((-1)\)-curve in the same fibre which misses
both $S_1$ and $S_2$. So it can only intersect $S_3$ and at one point at most, since $S_3$ is a section, a contradiction with $K_W$ ample. Thus this fibration must be already minimal, but $S_1$ and $S_2$ intersect at one point and $S_3^2 = -s_3 \leq -3$, a contradiction. So this is impossible.

Then $C$ must have the form $[2, \ldots, 2, s_1, \alpha, s_3]$. But after blowing-down as we just did, we have a $\mathbb{P}^1$-fibration where $S_1$ is a double section that, by similar reasons as above, cannot exist.

In this way, we have shown that $x_j = \alpha \geq s + 2$. We also have $x_1 \geq 3$.

We recall that the T-chain is $[2, \ldots, 2, x_1, \ldots, x_u, s + 2]$. We want to show that $\sum_{i=1}^u (x_i - 2) \geq s + 2$, so that $s + 2 \leq r - s - d + 2$ and so $2s \leq r - d$.

On the contrary, assume $x_j = \alpha = s + 2$, $x_1 = 3$, and for all other $i \neq j$ we have $x_i = 2$. Then the T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, s + 2, s + 2]$, and there is a $(-1)$-curve $F$ connecting $C_1$ with $\Gamma$, the $\mathbb{P}^1$ in $C$ with $\Gamma^2 = -\alpha = -s - 2$.

After contracting $F$ and $C_1, \ldots, C_{\alpha - 1}$, we obtain a cycle of $(-2)$-curves together with a $(-1)$-curve $\Gamma'$, the image of $\Gamma$, and a $(-s - 2)$-curve $\Delta$ transversal at one point to $\Gamma'$. As before, by Riemann-Roch, that cycle (it has self-intersection $+1$) defines an elliptic fibration after blowing up one point. As before, $\Delta$ cannot be a section, but then $\Delta$ is part of a fibre. Then the only possibility that works is $\Delta$ is a $(-4)$-curve, but then $s = 2$ and in this case we must have $s \geq 3$, a contradiction.

\[\square\]

Remark 2.19. In [SU16, Section 5], we give tables describing T-singularities with $d = 1$ in KSBA stable surfaces that are $\mathbb{Q}$-Gorenstein smoothable to simply connected surfaces of general type with $1 \leq K_W^2 \leq 4$, and $p_g = q = 0$. Most of them are rational, and nearly all are T-singularities of long length.

By means of the explicit MMP in [HTU17], we can realize these rational examples $W$ in such a way that $S = \mathbb{P}^2$; for details see [Urz16b]. In many cases the curve $\pi(C)$ has degree 7. If we assume degree 7 in Theorem 2.18 (and $d = 1$), we obtain that the length is at most $4K_W^2 + 7$ if $X$ contains a long diagram of type II, $2K_W^2 + 5$ if a long diagram of type I, or $2K_W^2 + 4$ otherwise.

The following is an example of a rational $W$ which achieves the bound with $S = \mathbb{P}^2$, $K_W^2 = 2$, $\pi(C)$ of degree 7, and $W$ has a long diagram of type I. There are no local-to-global obstructions for $W$, and the singularity has continued fraction $[2, \ldots, 2, 12]$. Thus we have $r = 9 = 2K_W^2 + 5$.

The example comes from the table for $K^2 = 2$ in [SU16]. The T-singularity has $d = 1$, $n = 10$, $a = 1$. The plane curve $\pi(C)$ has degree 7, and it contains 7 distinct nodes, and one singularity locally of type $(y^2 - x^6)$. So, from $\mathbb{P}^2$ we blow-up 15 times to resolve the singularities of the septic, and then we blow-up once more to obtain a chain of 8 $(-2)$-curves. The strict transform of the septic has self-intersection $-12$, and we get the T-chain we want. Its contraction produces the surface $W$, where $K_W^2 = 9 - 16 + 9 = 2$. We omit the proof of ampleness and no local-to-global obstructions.

We now provide an example (and a method to produce more examples) with a fixed rational $W$ but $\lambda$ arbitrarily large, by choosing $\pi$ appropriately. The key lemma is the following.

We omit the proof of ampleness and no local-to-global obstructions.
Lemma 2.20. Let $X'\to \mathbb{P}^1$ be a relatively minimal rational elliptic fibration with infinitely many $(-1)$-curves. Let $D$ be a section. Then there are infinitely many $(-1)$-curves $\Gamma_i$ such that $\lim_{i\to \infty} (\Gamma_i \cdot D) = \infty$. Moreover we can choose a composition of blow-downs $\sigma_i : X'\to \mathbb{P}^2$ such that the degree of $\sigma_i(D)$ approaches infinity as $i \to \infty$.

Proof. Let us consider the divisor $B = G + D$, where $G$ is a general fibre of $X'\to \mathbb{P}^1$. Thus $B$ is nef and $B^2 = 1$, so $B$ is big and nef. Therefore there is an effective divisor $N$ and $k >> 0$ such that $B - N/k$ is a $\mathbb{Q}$-ample divisor [KM98, Lemma 2.60]. We consider $L = B - N/k$ for that fixed $N$ and $k$.

We note that the infinitely many distinct $(-1)$-curves $\Gamma_i$ are numerically independent, and so $\Gamma_i \cdot L$ is unbounded; c.f. [KM98, Cor.1.19(2)]. After rearranging the $\Gamma_i$, we may assume that $\lim_{i\to \infty} \Gamma_i \cdot L = \infty$. But a $(-1)$-curve in $X'$ is a section of $X'\to \mathbb{P}^1$, and so $\Gamma_i \cdot L = 1 + D \cdot \Gamma_i - N \cdot \Gamma_i/k$.

For all but finitely many $\Gamma_i$, we have $\Gamma_i \cdot N \geq 0$. Therefore, we can find an infinite sequence of $\Gamma_i$ such that $\Gamma_i \cdot D$ approaches $\infty$.

If $X'\to S = \mathbb{F}_l$ is a blow-down to a Hirzebruch surface, then $l = 2, 1, 0$. This is because $X'\to \mathbb{P}^1$ is a relatively minimal rational elliptic fibration. Let us fix $i$ and consider as first blow-down the one with $\Gamma_i$, and then continue arbitrarily. By an elementary transformation on $\mathbb{F}_2$ or $\mathbb{F}_0$, we can assume $S = \mathbb{F}_1$ and the image of $D$ has a singularity of multiplicity bigger than or equal to $D \cdot \Gamma_i$, and so the same is true with the image of $D$ in the further blow-down to $\mathbb{P}^2$. That composition of blow-downs defines our $\sigma_i : X'\to \mathbb{P}^2$, and so the degree of $\sigma_i(D)$ is arbitrarily large. \[\square\]

To construct an example, we again consider the list in [SU16]. This example has $W$ with $K_W^2 = 3$, and T-singularity $\frac{1}{100}(1, 100 \cdot 29 - 1)$. The continued fraction is $[4, 2, 6, 2, 6, 2, 2, 2, 4, 2, 2]$. Consider a rational elliptic fibration $X'$ with sections, which has $I_6$ and six $I_1$ as singular fibres. It has Mordell-Weil group of rank 3 [Per90, p.8]. So there are infinitely many sections. We can realize its construction so that the configuration of curves in Figure 15 exists in a blow-up $X$ of $X'$ eight times. In particular we point out the special 2-section which is a $(-4)$-curve. One can compute that there are no obstructions for $W$, and that $K_W$ is ample. Then we use Lemma 2.20 with the section $D$ in Figure 15.

**Figure 15.** One example which produces a situation with $\lambda \to \infty$. 18
3. Optimal surfaces

The following is a classification of the surfaces where equality is attained in Theorem \textit{2.10}. In some cases, we obtain realization of these surfaces, and we analyze them in further detail.

3.1. Case $\kappa(S) = 0$.

\textbf{Theorem 3.1.} Assume that $\kappa(S) = 0$ and $r - d = 4K_W^2$. Then $S$ is one of the following.

\begin{enumerate}[(A)]
  \item A K3 surface with an elliptic fibration $f : S \to \mathbb{P}^1$ so that $\pi(C)$ is two irreducible singular fibres (with a node and a double point) and a section. All other fibres are irreducible. In this case $m = 4$, $r = 5$, $d = 1$, $K_W^2 = 1$, and the T-chain is $[2, 2, 6, 2, 4]$.
  \item An Enriques surface with an elliptic fibration $f : S \to \mathbb{P}^1$ so that $\pi(C)$ is two irreducible multiple nodal fibres and a $(-2)$-curve which is a double section. In this case $m = 4$, $r = 5$, $d = 1$, $K_W^2 = 1$, and the T-chain is $[2, 2, 6, 2, 4]$.
  \item An Enriques surface with an elliptic fibration $f : S \to \mathbb{P}^1$ so that $\pi(C)$ is an $I_{2k}$ double fibre and an irreducible double section with $k$ double points. The T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, 2k+3, 2k+2]$, and $m = 3k+1$, $1 \leq K_W^2 = k \leq 4$, $r = 4k+1$ and $d = 1$.
\end{enumerate}

\textbf{Proof.} By Proposition \textit{2.3}, we know that $S$ is either a K3 surface or an Enriques surface. Also $\lambda = K_S \cdot \pi(C) = 0$. By Theorem \textit{2.12} and Lemma \textit{2.15}, we have that $r - d = 4K_W^2$ is attained when $2s = r - d$. According to the proof of Lemma \textit{2.15}, we must analyze two cases:

\textbf{(I)} The T-chain $C$ has continued fraction $[2, \ldots, 2, s+4, 2, \ldots, 2, s+2]$, and there is a $(-1)$-curve $F$ intersecting the ending $(-2)$-curve and the $(-s - 4)$-curve. After contracting $F$ and all the $s$ $(-2)$-curves at the end of $C$, we obtain a surface $S'$ with a self-intersection 0 nodal rational curve together with a chain of $(s - 1)$ $(-2)$-curves, and the $(-s - 2)$-curve at the end. The blow-downs after that can only affect the $(-s - 2)$-curve, since we cannot have a $(-1)$-curve touching the nodal or any $(-2)$-curve; otherwise $K_S$ would not be nef. In $S$ a multiple of the nodal curve is a fibre for some elliptic fibration $f : S \to \mathbb{P}^1$ c.f. [BHPV04, VIII.17]. Therefore, since $K_S \cdot \pi(C) = 0$, we see that $s$ can only be 2 or 1. If $s = 1$, then the $(-s - 2)$-curve is a $(-3)$-curve. But then the image in $S$ would be $K_S$ nonzero because any $(-1)$-curve intersecting it would intersect it at least twice, since $K_W$ is ample. Thus $s = 2$, and the T-chain must be $[2, 2, 6, 2, 4]$. We have either a section if $S$ is K3 or a double section if $S$ is Enriques, corresponding to the remaining $(-2)$-curve on $S$. The $(-s - 2)$-curve must become a fibre, and the only possibility is to have a double point on that fibre. We have cases (A) and (B).

\textbf{(II)} The T-chain $C$ has continued fraction $[2, \ldots, 2, 3, 2, \ldots, 2, s+3, s+2]$, and there is a $(-1)$-curve $F$ intersecting the ending $(-2)$-curve and the $(-s - 3)$-curve. After contracting $F$ and all the $s$ $(-2)$-curves at the end of $C$, we obtain a surface $S'$ with a cycle of $s$ $(-2)$-curves. Thus some multiple of it defines an elliptic fibration $f : S' \to \mathbb{P}^1$, and the cycle is an $I_s$ fibre. The multiplicity of $I_s$ as fibre can be either 1 (K3) or 2 (Enriques). Any
additional \((-1)\)-curve must intersect the \((-s-2)\)-curve at least twice, which becomes singular, and so \(I_s\) cannot have multiplicity 1. Therefore it has multiplicity 2, and the image of the \((-s-2)\)-curve is a nodal rational curve with \(k\) double points, where \(s = 2k\) because the intersection with canonical class is zero. We have case (C). On the other hand, in this case a quick calculation as in [LP07] shows that \(K_W\) is ample. Notice that \(1 \leq k \leq 4\) since Enriques surfaces can have \(I_l\) fibres with \(1 \leq l \leq 9\) only.

We can realize the three cases. First, we recall the construction of Enriques surfaces from [BHPV04 V.23]. Consider \(\mathbb{P}_x^1 \times \mathbb{P}_y^1\) together with the involution \(i(x : y, z : w) = (x : -y, z : -w)\). Let \(D_1\) and \(D_2\) be intersecting fibers, both invariant under the involution \(i\). Choose \(p_1 \in D_1\) and \(p_2 \in D_2\), neither of which is fixed by \(i\), and consider a curve \(B\) of bidegree \((4, 4)\) which is also invariant under \(i\), tangent to \(D_1\) at \(p_1\), and with a node at \(p_2\). Notice that by choice of \(B\), \(D_1\), \(D_2\) and the points \(p_1\) and \(p_2\), the curve \(B\) is necessarily tangent to \(D_1\) at \(i(p_1)\) and has a node at \(i(p_2)\).

We blowup \(\mathbb{P}_x^1 \times \mathbb{P}_y^1\) at the nodes of \(B\) (let \(D_\ell\) and \(D_\ell'\) be the exceptional curves). Let \(f_1 : \bar{S} \to \mathbb{P}\) be the double cover of the resulting surface \(\mathbb{P}\), branched over the proper transform of \(B\). Then \(\bar{S}\) is a \(K3\) surface containing six rational \((-2)\)-curves \(D_1, D_1', D_2, D_2', D_3, D_3'\), the preimages of the corresponding curves on \(\mathbb{P}\). Moreover, as described in [BHPV04 V.23], the involution \(i\) lifts to a fixed-point-free involution \(j\) on \(\bar{S}\) with \(j(D_k) = D_k'\) for \(k \in \{1, 2, 3\}\). Letting \(f_2 : \bar{S} \to S\) be the corresponding unramified double cover, we obtain an Enriques surface \(S\) containing three curves \(D_1, D_2, \) and \(D_3\) (the images of the corresponding curves on \(\mathbb{P}\)). Here, \(D_1\) is a nodal rational curve with \(D_1^2 = 0\) which intersects \(D_2\) in a point. The curves \(D_2\) and \(D_3\) intersect in two points and are \((-2)\)-curves.

The space of automorphisms of \(\mathbb{P}_x^1 \times \mathbb{P}_y^1\) which send the space of invariant \((4, 4)\)-forms to itself is 2-dimensional. Thus, following an argument analogous to that of [R17] Lemma 3.5], one can show that the space of such \(B\) is 7-dimensional.

We can also add the constraint on \(B\) to have the intersection pattern with \(D_1\) on the other \(i\) invariant fibre parallel to \(D_1\). This produces an Enriques surface with an elliptic fibration with two nodal multiple fibres, and a \((-2)\)-curve as double section.

Finally we note that the quotient map \(f_2 : \bar{S} \to S\) is defined by \(2K_S \sim 0\), and so we have
\[
(f_2)_*(T_S(-\log(\sum D_i + D'_i))) = T_S(-\log(\sum D_i)) + T_S(-\log(\sum D_i))(-K_S).
\]

We now go case by case showing existence, and computing local-to-global obstructions on \(W\).

\textbf{(A)} Let us consider a \(K3\) surface \(S\) with a chain of curves formed by: nodal 0-curve \(\Gamma_1\), \((-2)\)-curve \(\Gamma_2\), nodal 0-curve \(\Gamma_3\). The two 0-curves are fibres of an elliptic fibration with only irreducible fibres, and the \((-2)\)-curve is a section. We can produce such an example via base change of order two from a rational elliptic fibration with only irreducible fibres, and with sections. After \(m = 4\) blow-ups over \(S\), we obtain the Wahl chain \([2, 2, 6, 2, 4]\), and after contracting this chain we obtain \(W\) with ample canonical class (we
use that all fibres of $S \to \mathbb{P}^1$ are irreducible, and $K_W^2 = 1$. As in [LP07], the local-to-global obstructions lie in $H^2(S, T_S(- \log(\Gamma_1 + \Gamma_2 + \Gamma_3)))$. This cohomology space is isomorphic to $H^0(S, \Omega_S^1(\log(\Gamma_1 + \Gamma_2 + \Gamma_3)))$ by Serre duality. By the residue sequence, we have that $H^0(S, \Omega_S^1(\log(\Gamma_1 + \Gamma_2 + \Gamma_3))) \neq 0$ because $\Gamma_1$ and $\Gamma_3$ are linearly equivalent. Thus we do not know if $W$ has $\mathbb{Q}$-Gorenstein smoothings.

**B** Let us consider an Enriques surface $S$ with a chain of curves formed by: nodal 0-curve $\Gamma_1$, $(-2)$-curve $\Gamma_2$, nodal 0-curve $\Gamma_3$. The two 0-curves are the two multiple fibres of an elliptic fibration with only irreducible fibres, and the $(-2)$-curve is a double section. Enriques surfaces like this exist by the construction above.

Let $f_2: \bar{S} \to S$ be the double cover defined by $2K_S \sim 0$. Then the preimages of $\Gamma_1$ and $\Gamma_3$ are $I_2$ fibres in an elliptic fibration on the K3 surface, and the pre-image of $\Gamma_2$ consists of two disjoint sections. By Equation (1), we have that $H^2(\bar{S}, T_{\bar{S}}(- \log(\sum_{i=1}^3 \Gamma_i)))$ is equal to

$$H^2(S, T_S(- \log \left( \sum_{i=1}^3 \Gamma_i \right))) \oplus H^2(S, T_S(- \log \left( \sum_{i=1}^3 \Gamma_i \right)) \otimes \mathcal{O}_S(- K_S)).$$

By Serre duality and the residue sequence, we have

$$h^2(\bar{S}, T_{\bar{S}}(- \log \left( \sum_{i=1}^3 \Gamma_i + \Gamma_i' \right))) = h^0(\bar{S}, \Omega_{\bar{S}}^1(\log \left( \sum_{i=1}^3 \Gamma_i + \Gamma_i' \right))) = 1,$$

because $\Gamma_1, \Gamma_2, \Gamma_2', \Gamma_3, \Gamma_3'$ are numerically independent but $\Gamma_1, \Gamma_1', \Gamma_2, \Gamma_2', \Gamma_3, \Gamma_3'$ are not. We also have by Serre duality and the residue sequence again that $h^2(S, T_S(- \log(\sum_{i=1}^3 \Gamma_i)) \otimes \mathcal{O}_S(- K_S)) = h^0(S, \Omega_S^1(\log(\sum_{i=1}^3 \Gamma_i))) = 1$, because $\Gamma_1, \Gamma_3$ are not numerically independent but $\Gamma_1, \Gamma_2$ are. Therefore $H^2(S, T_S(- \log(\sum_{i=1}^3 \Gamma_i))) = 0$.

After $m = 4$ blow-ups over $S$, we obtain the Wahl chain $[2, 2, 6, 2, 4]$, and after contracting this chain we obtain $W$ with $K_W^2 = 1$. Since there are no local-to-global obstructions to deform $W$, we can assume that $K_W$ is ample by smoothing possible $(-2)$-curves from the fibres of $S \to \mathbb{P}^1$. Thus via $\mathbb{Q}$-Gorenstein smoothings on $W$ we obtain Godeaux surfaces with fundamental group $\mathbb{Z}/2$ (using Lee-Park’s method [LP07]).

**C** Let us consider an Enriques surface $S$ with nodal 0-curve $D_1$, a $(-2)$-curve $D_2$ intersecting $D_1$ at one point, and a $(-2)$-curve $D_3$ intersecting $D_2$ transversally at two points and disjoint from $D_1$. We constructed such Enriques surfaces above, with the same notation.

As before, let $f_2: \bar{S} \to S$ be the double cover defined by $2K_S \sim 0$. By Equation (1), we have that $H^2(\bar{S}, T_{\bar{S}}(- \log(\sum_{i=1}^3 D_i)))$ is equal to

$$H^2(S, T_S(- \log \left( \sum_{i=1}^3 D_i \right))) \oplus H^2(S, T_S(- \log \left( \sum_{i=1}^3 D_i \right)) \otimes \mathcal{O}_S(- K_S)).$$

Since the curves $D_1, D_1', D_2, D_2', D_3, D_3'$ are numerically independent in $\bar{S}$, the Chern map in the long exact sequence of the residue sequence is injective. Thus $H^2(\bar{S}, T_{\bar{S}}(- \log(\sum_{i=1}^3 D_i + D_i'))) = 0$, and so

$$H^2(S, T_S(- \log(D_1 + D_2 + D_3))) = 0.$$
There are no local-to-global obstructions to deform $W$.

After $m = 4$ blow-ups over $S$, we obtain the Wahl chain $[2, 2, 3, 5, 4]$, and after contracting this chain we obtain $W$ with $K_W^2 = 1$. We again can assume $K_W$ ample because we have no obstructions to deform $W$, and so we can get rid of potential $(-2)$-curves in the fibres of $S \to \mathbb{P}^1$. Then a $\mathbb{Q}$-Gorenstein smoothing of $W$ is a Godeaux surface with fundamental group isomorphic to $\mathbb{Z}/2$. The surfaces $W$ describe a divisor in the moduli space of those surfaces, which matches the parameters of $B$. Here we have only considered the case $k = 1$; we do not know of examples for $k > 1$.

3.2. Case $\kappa(S) = 1$.

**Theorem 3.2.** Assume that $\kappa(S) = 1$ and $r - d = 4K_W^2 - 2$. Then $S$ is one of the following.

(A1) $p_g = 2, q = 0$, and $S$ has an elliptic fibration where $\pi(C)$ is a chain consisting of an $I_1$ fibre and a $(−3)$-curve which is a section. All other fibres are irreducible. In this case $m = 2, K_W^2 = 1$, and the $T$-chain is $[2, 5, 3]$.

(A2) $p_g = 1, q = 0$, and $S$ has an elliptic fibration where $\pi(C)$ is a chain consisting of an $I_1$ fibre with multiplicity 2, and a $(−3)$-curve which is a bisection. There are no more multiple fibres, and all other fibres are irreducible. In this case $m = 2, K_W^2 = 1$, and the $T$-chain is $[2, 5, 3]$.

(A3) $p_g = 0, q = 0$, and $S$ has an elliptic fibration where $\pi(C)$ is a chain consisting of an $I_1$ fibre with multiplicity 2, and a $(−3)$-curve which is a bisection. There are two additional multiplicity 2 fibres, and all other fibres are irreducible. In this case, $m = 2, K_W^2 = 1$, and the $T$-chain is $[2, 5, 3]$.

(A4) $p_g = 0, q = 0$, and $S$ has an elliptic fibration where $\pi(C)$ is a chain consisting of an $I_1$ fibre with multiplicity 3, and a $(−3)$-curve which is a 3-section. There is one additional fibre with multiplicity 3, and all other fibres are irreducible. In this case, $m = 2, K_W^2 = 1$, and the $T$-chain is $[2, 5, 3]$.

(A5) $p_g = 0, q = 0$, and $S$ has an elliptic fibration where $\pi(C)$ is a chain consisting of an $I_1$ fibre with multiplicity 4, and a $(−3)$-curve which is a 4-section. There is one additional fibre with multiplicity 2, and all other fibres are irreducible. In this case, $m = 2, K_W^2 = 1$, and the $T$-chain is $[2, 5, 3]$.

(B) $p_g = 1, q = 0$, and $S$ has an elliptic fibration with one double fibre, where $\pi(C)$ is an $I_{2k+1}$ double fibre together with a double section, which is a rational curve with $k \geq 1$ double points. In this case $m = 3k + 2, r = 4k + 3, d = 1, K_W^2 = k + 1$, and the $T$-chain is $[2, 3, 2, 2k, 4, 2k + 3]$.

(C) $p_g = 0, q = 0$, and $S$ has an elliptic fibration with three double fibres, where $\pi(C)$ is an $I_{2k+1}$ double fibre together with a double section which is a rational curve with $k \geq 1$ double points. In this case $m = 3k + 2, r = 4k + 3, d = 1, K_W^2 = k + 1$, and the $T$-chain is $[2, 3, 2, 2k, 4, 2k + 3]$. 

22
Proof. By Proposition 2.3, we know that $\pi(C)$ is an $I_s$ triple fibre together with a triple section which is a rational curve with $k_2$ double points and $k_3$ triple points. In this case $s = 2k_2 + 3k_3 + 1 \geq 2$, $m = 3k_2 + 4k_3 + 2$, $r = 2s + 1$, $d = 1$, $K^2_W = k_2 + 3k_3 + 1$, and the $T$-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, s + 3, s + 2]$.

(E) $p_g = 0$, $q = 0$, and $S$ has an elliptic fibration with two multiple fibers of multiplicities 2 and 4, where $\pi(C)$ is an $I_s$ 4-fibre together with a 4-section which is a rational curve with $k_2$ double points, $k_3$ triple points, and $k_4$ 4-tuple points. In this case $s = 2k_2 + 3k_3 + 4k_4 + 1 \geq 2$,

$m = 3k_2 + 4k_3 + 5k_4 + 2$, $r = 2s + 1$, $d = 1$, $K^2_W = 1 + k_2 + 2k_3 + 3k_4$, and the $T$-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, s + 3, s + 2]$.

Proof. By Proposition 2.3, we know that $S$ has an elliptic fibration $S \to \mathbb{P}^1$. By Theorem 2.12 and Lemma 2.15, we have that $r - d = 4K^2_W - 2$ is attained when $2s = r - d$ and $\lambda = K_S \cdot \pi(C) = 1$. According to the proof of Lemma 2.15, we must analyze two cases:

(I) The $T$-chain $C$ has continued fraction $[2, \ldots, 2, s + 4, 2, \ldots, 2, s + 2]$, and there is a $(-1)$-curve $F$ intersecting the ending $(-2)$-curve and the $(-s - 4)$-curve. After contracting $F$ and all the $s$ $(-2)$-curves at the end of $C$, we obtain a surface $S'$ with a self-intersection 0 nodal rational curve together with a chain of $s - 1$ $(-2)$-curves, and a $(-s - 2)$-curve at the end. The blow-downs after that can only affect the $(-s - 2)$-curve, since we cannot have a $(-1)$-curve touching the nodal curve or any $(-2)$-curve; otherwise $K_S$ would not be nef. We note also that the nodal 0-curve is a fibre, possibly multiple. The $(-s - 2)$-curve must become part of a fibre in $S \to \mathbb{P}^1$, if $s \geq 2$. That gives a $(-2)$-curve which is a multiple section, which is not possible because $\kappa(S) = 1$. So $s = 1$, and we obtain a $(-3)$-curve which is a multiple section. If it is a section, then, by the canonical formula for $K_S$, we get that $p_g(S) = 2$, since $q(S) = 0$. This is case (A1), all fibres are irreducible to ensure $K_W$ ample. If the $(-3)$-curve is not a section, then the nodal 0-curve is a multiple fibre. By the canonical formula we must have $p_g(S) \leq 1$. If $p_g = 1$, then the nodal curve has multiplicity 2 and there are no more multiple fibres, this gives option (A2). If $p_g = 0$, then the nodal curve could have multiplicity 2 (option (A3)), 3 (option (A4)), or 4 (option (A5)). The fact that the remaining multiple fibres in each case are as described arises automatically by intersecting $K_S$ with the $(-3)$-curve, using the canonical bundle formula for $K_S$.

(II) The $T$-chain $C$ has continued fraction $[2, \ldots, 2, 3, 2, \ldots, 2, s + 3, s + 2]$, and there is a $(-1)$-curve $F$ intersecting the ending $(-2)$-curve and the $(-s - 3)$-curve. Here $s \geq 2$. After contracting $F$ and all the $s$ $(-2)$-curves at the end of $C$, we obtain a surface $S'$ with a cycle of $s$ $(-2)$-curves. Thus some multiple bigger or equal to 1 of it defines an elliptic fibration $S' \to \mathbb{P}^1$, and the cycle is an $I_s$ fibre. The blow-down to $S$ affects only the $(-s - 2)$-curve. In $S$ the canonical class is $K_S \equiv (p_g(S) - 1)G + \sum_{i=1}^{s} m_i(F_i - 1)$ where the $F_i$ correspond to multiple fibres, and $G$ is a general fibre. The image of the $(-s - 2)$-curve in $S$ is $\pi(C_t)$, and so $K_S \cdot \pi(C_t) = \lambda = 1$. We
have the numerical relation
\[ 1 = K_S \cdot \pi(C_r) = (p_g(S) - 1) G \cdot \pi(C_r) + \sum_{i=1}^{u} \frac{m_i - 1}{m_i} G \cdot \pi(C_r), \]
and so we analyze the following cases:

**IIa** $p_g(S) \geq 2$. Then we get that $\pi(C_r)$ must be a section, and that implies $s = 1$. But that is a contradiction.

**IIb** $p_g(S) = 1$. Then $u = 1$, $m_1 = 2$, $K_S \sim G/2$, and so $\pi(C_r)$ is a double section, and the blow-downs can only produce $k$ double points where $s = 2k + 1$, where $k \geq 1$. Thus $m = 3k + 2$, $r = 4k + 3$, $d = 1$, $K_W^2 = k$, and the T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, 2k + 4, 2k + 3]$. We are in (B).

**IIc** $p_g(S) = 0$. Then by just using the canonical bundle formula above, we get three possible situations: the surface $S$ has an elliptic fibration with

- three multiplicity 2 fibres (one of them is $I_s$) and $\pi(C_r)$ is a double section with $k$ double points, where $s = 2k + 1$. In this case $m = 3k + 2$, $r = 4k + 3$, $d = 1$, $K_W^2 = k$, and the T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, 2k + 4, 2k + 3]$. This is option (C).
- two multiplicity 3 fibres (one of them is $I_s$) and $\pi(C_r)$ is a triple section with $k_1$ double points and $k_2$ triple points, where $s = 1 + 2k_1 + 3k_2$. In this case $2k_1 + 3k_2 \geq 1$, $m = 3k_1 + 4k_2 + 2$, $r = 2s + 1 + 2k_1 = 1$, $K_W^2 = k_1 + 2k_2 + 1$, and the T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, 2s + 1]$. This is option (D).
- two multiplicity 2 and 4 fibres, $I_s$ is 4-fibre, and $\pi(C_r)$ is a 4-section with $k_2$ double points, $k_3$ triple points, and $k_4$ 4-tuple points, where $s = 2k_2 + 3k_3 + 4k_4 + 1$. In this case $2k_2 + 3k_3 + 4k_4 \geq 1$, $m = 3k_2 + 4k_3 + 5k_4 + 2$, $r = 2s + 1 + 2k_2 = 1$, $K_W^2 = k_2 + 2k_3 + 3k_4 + 1$, and the T-chain is $[2, \ldots, 2, 3, 2, \ldots, 2, 2s + 1]$. This is option (E).

We give an example showing that case (A1) of Theorem 3.2 is realizable.

Let us consider a relatively minimal rational elliptic fibration $S' \to \mathbb{P}^1$ with at least one nodal $I_1$ fibre, and a section. Let us take two general points in $\mathbb{P}^1$, and make the base change of degree 3 branched at those points. This is equivalent to consider the 3-cyclic cover $S \to S'$ which is branched at the two fibers corresponding to the chosen two general points in $\mathbb{P}^1$. Then the pull-back of a $(-1)$-curve is a $(-3)$-curve $A$, which is a section again. Notice that the pull-back of an $I_1$ is three $I_1$’s. Consider one of them, denote it by $B$. We have the induced pull-back elliptic fibration $S \to \mathbb{P}^1$, and $K_S \sim G$ where $G$ is a general fibre. One computes $q(S) = 0$, $p_g(S) = 2$, and so the Kodaira dimension of $S$ is 1. We now blow up twice over the node of $B$, to obtain a $(-2)$-curve $C$. The configuration $A - B - C$ is $[3, 5, 2]$. The canonical class of $W$, the contraction of $[3, 5, 2]$ is ample by straightforward computation assuming that $S' \to \mathbb{P}^1$ has only irreducible fibres. Also, $r = 3$ and $K_W^2 = -2 + 3 = 1$. The local-to-global obstruction of $W$ is encoded in

\[ H^0(S, \Omega_S^1(\log(B + A)) \otimes \mathcal{O}_S(K_S)). \]

We will show that this is not zero, and so we have obstructions and, a priori, we do not know is there is a $\mathbb{Q}$-Gorenstein smoothing of $W$. Notice that

\[ \Omega_S^1(\log(B + A + G)) \subseteq \Omega_S^1(\log(B + A)) \otimes \mathcal{O}_S(K_S). \]
since $K_S \sim G$. But we can now use the residue exact sequence for $B$, $G$, and $A$ and the fact that $B$ and $G$ are linearly equivalent, to say that $h^0(S, \Omega^2_S(\log(B + A + G))) = 1$.

There is a recent study of stable surfaces for these invariants in [FPR17], and this example seems to be new. We do not know if options (B), (C), (D), and (E) are realizable.

3.3. Case $\kappa(S) = 2$.

**Theorem 3.3.** Assume that $\kappa(S) = 2$ and $r - d = 4(K^2_W - K^2_S) - 4$ if $K^2_W - K^2_S > 1$, or $r - d = 1$ otherwise. Then

(A) $K^2_W - K^2_S = 1$, and $\pi(C)$ is a chain formed by a rational curve $\Gamma$ with one double point and $\Gamma^2 = -1$ together with a $(-2)$-curve $\Gamma_1$.

We have $m = 1$, and the $T$-chain is $[2, 5]$.

(B) $K^2_W - K^2_S = 1$, and $\pi(C)$ is a chain of $(-2)$-curves $\Gamma_1, \ldots, \Gamma_d$ together with a $(-3)$-curve $\Gamma$ such that $\Gamma \cdot \Gamma_i = 0$ for $i \neq 2, d$, and $\Gamma \cdot \Gamma_2 = \Gamma \cdot \Gamma_d = 1$. We have $m = 1$ and $d \geq 1$.

(C) $K^2_W - K^2_S = 2$, and $\pi(C)$ is a nodal rational curve $\Gamma$ with $\Gamma^2 = -1$ together with a chain of three $(-2)$-curves $\Gamma_1, \Gamma_2, \Gamma_3$ with $\Gamma \cdot \Gamma_1 = 1$, $\Gamma_2 \cdot \Gamma_3 = 0$ and $\Gamma \cdot \Gamma_3 = 1$. We have $m = 3$, and the $T$-chain is $[2, 7, 2, 2, 3]$.

(D) $K^2_W - K^2_S = 2$, and $\pi(C)$ is a collection of four smooth rational curves $\Gamma_1, \Gamma_2, \Gamma_3, \Gamma_4$ where $\Gamma^2_i = -2$ for $i = 1, 2, 4$, $\Gamma^2_3 = -3$, $\Gamma_1 \cdot \Gamma_2 = 1$, $\Gamma_1 \cdot \Gamma_3 = 3$, $\Gamma_2 \cdot \Gamma_3 = 0$, $\Gamma_2 \cdot \Gamma_4 = 1$, $\Gamma_3 \cdot \Gamma_4 = 2$ at two distinct points. We have $m = 3$, and the $T$-chain is $[2, 3, 2, 6, 3]$.

**Proof.** Assume $K^2_W - K^2_S = 1$ and $r - d = 1$. We have $\lambda = K_S \cdot \pi(C) = 1$. We do not have a long diagram in this case. Since $K^2_W - K^2_S = -m + r - d + 1$, we also have $m = r - d = 1$. So, we have two possible $T$-chains: $[2, 5]$ and $[2, 3, 2, \ldots, 2, 4]$. In the first case, the $(-1)$-curve must intersect the $(-5)$-curve twice, and so after contracting it we obtain what we claim in (A). In the case $[2, 3, 2, \ldots, 2, 4]$, we have that the $(-1)$-curve must intersect the $(-3)$-curve once, and the $(-4)$-curve once; otherwise there are problems with $K_S$ nef and $\kappa(S) = 2$. That is case (B).

We now assume that $K^2_W - K^2_S > 1$. In order to achieve an optimal bound, we must have a long diagram of type II. By Theorem 2.12 and Lemma 2.15 we have that either $\lambda = K_S \cdot \pi(C) = 1$ and $2s = r - d - 2$ or $\lambda = K_S \cdot \pi(C) = 2$ and $2s = r - d - 1$. But the second option gives the lower bound $4(K^2_W - K^2_S) - 3$, and so it is not optimal. For the first option we have, according to the proof of Lemma 2.15, the following cases:

(I) $\alpha = s + 5$, the $T$-chain is $[2, \ldots, 2, s + 5, 2, \ldots, 2, 3, 2, \ldots, 2, s + 2]$, and there is a $(-1)$-curve connecting the last $(-2)$-curve of $C$ with the $(-s - 5)$-curve. After blowing-down that $(-1)$-curve and the $s$ $(-2)$-curves, we obtain a nodal curve with self-intersection $-1$, a $(-3)$-curve and a $(-s - 2)$-curve. Since $\lambda = 1$, then the $(-3)$-curve must become a $(-2)$-curve in $S$, as must the $(-s - 2)$-curve. Since $s \geq 1$, this case is impossible, since the only possible scenario is to have a cycle of $(-2)$-curves, but $S$ is a surface of general type.

(II) $\alpha = s + 6$, the $T$-chain is $[2, \ldots, 2, s + 6, 2, \ldots, 2, s + 2]$, and there is a $(-1)$-curve connecting the last $(-2)$-curve of $C$ with the $(-s - 6)$-curve.
After blowing-down that \((-1)\)-curve and the \(s\) \((-2)\)-curves, we obtain a nodal curve with self-intersection \(-2\), and a \((-s - 2)\)-curve. The \((-s - 2)\)-curve cannot contribute to the intersection with \(K_S\) since \(\lambda = 1\). So it must become a \((-2)\)-curve, and so any \((-1)\)-curve to be contracted must intersect it at one point. That means such a \((-1)\)-curve must also intersect the nodal \((-2)\)-curve, but this can only happen once, because again \(\lambda = 1\). Therefore \(s = 1\) and we have the case (C).

\[\textbf{(III) } \alpha = s + 5, \text{ the T-chain is } [2, \ldots, 2, 3, \ldots, 2, s + 5, s + 2], \text{ and there is a } (-1)\text{-curve connecting the last } (-2)\text{-curve of } C \text{ with the } (-s - 5)\text{-curve.} \]

After blowing-down that \((-1)\)-curve and the \(s\) \((-2)\)-curves, we obtain a curve with self-intersection \(-4\), and a \((-s - 2)\)-curve. Since \(\lambda = 1\) and \(S\) is of general type, then the only possible option is that the \((-4)\)-curve becomes a \((-3)\)-curve in \(S\), and the \((-s - 2)\)-curve becomes a \((-2)\)-curve. Then \(s = 1\) and we are in case (D).

Other possible cases from the proof of Lemma 2.15 have \(\lambda > 1\), so we have described all cases for which equality is attained. \(\square\)

We now give a series of examples showing that all cases of Theorem 3.3 are realizable.

\[\textbf{(A)} \text{ Let } t \geq 4 \text{ be an integer. In } \mathbb{P}^2, \text{ consider a line } F, \text{ and a curve } \Gamma \text{ of degree } 2t \text{ which has precisely } 3 \text{ singularities at three points of } F: p_1 \text{ where it has a } (2t - 6)\text{-simple multiple point, } p_2 \text{ where it has a triple point locally of the form } (y^2 - x^5)(y - x^2) \text{ where } F = (x = 0), \text{ and } p_3 \text{ where it has a triple point locally of the form } y(y - x^2)(y + x^2) \text{ where } F = (x = 0). \text{ Such a } \Gamma \text{ exists, and there are several free parameters. Let } \sigma: Y \rightarrow \mathbb{P}^2 \text{ be the blow up of } \mathbb{P}^2 \text{ five times, which resolves the singularities of } \Gamma. \text{ Let } \Gamma' \text{ be the strict transform. Then } \Gamma'^2 = 24(t - 3), \text{ and } g(\Gamma') = 2(5t - 16). \text{ We also have } K_Y \sim -3H + E_1 + E_2 + 2E_3 + E_4 + 2E_5 \text{ where } E_1 \text{ is over } p_1, \text{ and } E_2 \text{ and } E_3 \text{ are over } p_2, \text{ and } E_4 \text{ and } E_5 \text{ are over } p_3, \text{ and } \sigma^*(2tH) \sim \Gamma' + (2t - 6)E_1 + 3E_2 + 3E_4 + 6E_3 + 6E_5. \text{ More precisely, } E_3 \text{ and } E_5 \text{ are } (-1)\text{-curves, and } E_2 \text{ and } E_4 \text{ are } (-2)\text{-curves.} \]

Consider the double cover \(f: X \rightarrow Y\) branched along \(\Gamma' + E_2 + E_4\). Then \(K_X \sim f^*(K_Y + \frac{1}{2}(E_2 + E_4 + \Gamma'))\), and so

\[K_X \sim (t - 4)f^*(L) + f^*(F') + f^*(E_1) + f^*(E_2) + f^*(E_4)\]

where \(L\) is the strict transform of a general line passing through \(p_1\), and \(F'\) is the strict transform of \(F\) under \(\sigma\). We note that \(f^*(E_2)\) and \(f^*(E_4)\) are \((-1)\)-curves. We blow them down to obtain the surface \(S\). We have \(K_S \sim (t - 4)f^*(L) + f^*(F') + f^*(E_1)\), where \(f^*(L)\) is a general fiber of the genus two fibration, \(f^*(F')\) is a \((-2)\)-curve, and \(f^*(E_1)\) is a \(2\)-section of the fibration. The surface \(S\) is minimal. The invariants of \(S\) are \(K_S^2 = 4(t - 4), \chi(O_S) = 2(t - 3), q(S) = h^1(Y, t - 3)\sigma^*(H) - (t - 4)E_1 - E_3 - E_5) = 0, \text{ and so } p_g(S) = 2t - 7, K_S^2 = 4(t - 4). \text{ In this way, when } t > 4, \text{ we have that } S \text{ is of general type. When } t = 4, \text{ we have that } \kappa(S) = 1, \text{ and } K_S \text{ is a fibre of the elliptic fibration. The singular surface } W \text{ is obtained by blowing up the node of the nodal } (-1)\text{-curve, and then blowing down the chain } [5, 2], \text{ where the } (-2)\text{-curve is } f^*(F'). \text{ The nodal } (-1)\text{-curve is } E_3. \text{ Notice that } E_5 \text{ is an elliptic curve (in } S) \text{ with self-intersection } (-1). \text{ For a general choice}
of \( \Gamma' \), we have that \( K_W \) is ample. We do not know if \( W \) has a \( \mathbb{Q} \)-Gorenstein smoothing.

\textbf{(B) and (D)} Let \( 1 \leq \mu \leq 5 \) be an integer. Consider in \( \mathbb{P}^2 \) a line \( L \), four points \( P_1, P_2, P_3, P_4 \in L \), and a degree 10 plane curve \( \Gamma \) having a singularity of type \( (x^5 - y^{2\mu}) \) at \( P_1 \) transversal to \( L \), a cusp at \( P_2 \) transversal to \( L \), a singularity of type \( (x^5 - y^{10}) \) at \( P_3 \) transversal to \( L \), a simple point at \( P_4 \), and smooth everywhere else. For example, for \( \mu = 5 \) we can take \( L = \{ x = 0 \} \), \( P_1 = [0, 0, 1] \), \( P_2 = [0, 1, 1] \), \( P_3 = [0, 1, 0] \), \( P_4 = [0, a, 1] \), and

\[
\Gamma = \{-ay^2z^8 + (2a + 1)y^3z^7 + (a - 2)y^4z^6 + y^5z^5 + (a_{1,4,5}y^4z^5 + a_{1,4,5}y^2z^7 - 2a_{1,4,5}y^3z^6)x + ((a_{2,3,5} - a_{2,2,5})y^4z^4 + a_{2,2,6}y^2z^6 + a_{2,3,5}y^3z^5)x^2 + (a_{3,3,4}y^3z^4 + a_{3,2,5}y^2z^5)x^3 + (a_{4,2,4}y^2z^4 + a_{4,3,3}y^3z^3)x^4 + (a_{5,1,4}yz^4 + a_{5,2,3}y^2z^3)x^5 + (a_{6,1,3}yz^2 + a_{6,2,2}y^2z^2)x^6 + a_{7,1,2}x^7yz^2 + a_{8,1,1}x^8y + a_{10,0,0}x^{10} = 0\}
\]

for some general coefficients \( a, a_{i,j,k} \). We resolve the \((5,5)\) singularity with two blow-ups over \( P_3 \), and then contract the proper transform of the tangent line at \( P_3 \) to \( \mathbb{P}^2 \), to obtain the Hirzebruch surface \( \mathbb{F}_2 \). The proper transforms of \( L \) and \( \Gamma \), which we denote by \( G_0 \) and \( \Gamma \), are a fibre and a curve in the linear system \([5C_0 + 10G]\) respectively, where \( C_0 \) is the \((-2)\)-curve, and \( G \) is a general fibre of \( \mathbb{F}_2 \rightarrow \mathbb{P}^1 \).

We note that \( \Gamma^2 = 50 \), \( \Gamma \cdot K_{\mathbb{F}_2} = -20 \), and so \( p_a(\Gamma) = 16 \). Let \( \sigma : Y \rightarrow \mathbb{F}_2 \) be the composition of the two blow-ups which minimally log-resolve \( G_0 + \Gamma \). Let \( G_1, \ldots, G_\mu \) be the exceptional divisors over \( P_1 \), and \( E_1, E_3, E_2 \) be the exceptional over \( P_2 \). Let us denote the strict transform of \( \Gamma \) by \( \Gamma' \). Then \( \Gamma'^2 = 50 - 4\mu - 4 - 2 = 44 - 4\mu \), and \( K_Y^2 = 8 - \mu - 3 = 5 - \mu \). Let \( C_0' \) and \( G' \) be the proper transforms of \( C_0' \) and \( G \) respectively. Then

\[
K_Y \sim -2C_0' - 4G' + \mu \sum_{i=1}^{\mu} iG_i + E_1 + 2E_2 + 4E_3,
\]

and \( \Gamma' + E_2 + C_0' \) is 2-divisible, so we have a double cover \( f : \tilde{S} \rightarrow Y \) branched along \( \Gamma' + E_2 + C_0' \). By the double cover formulas, we have

\[
K_{\tilde{S}} \equiv f^*(C_0' + G' + E_2 + E_3),
\]

\( q(\tilde{S}) = 0 \), \( p_g(\tilde{S}) = 2 \), and \( K_{\tilde{S}}^2 = -2 \). The preimages of \( E_2 \) and \( C_0' \) are \((-1)\)-curves in \( \tilde{S} \), and the preimage of \( E_3 \) is a \((-2)\)-curve. After contracting those three curves, we obtain a surface \( S \) of general type with \( K_S^2 = 1 \), \( p_g(S) = 2 \), and \( q(S) = 0 \). The preimage in \( \tilde{S} \) of \( \sum_{i=1}^{\mu} G_i \) is a chain of \( 2\mu - 1 \) \((-2)\)-curves. The preimage of the strict transform of \( G_0 \) is a \((-4)\)-curve in \( \tilde{S} \). The preimage of \( E_1 + E_2 + E_3 \) becomes a chain of two \((-3)\)-curves in \( \tilde{S} \).

Therefore, if \( \mu > 1 \), we obtain a configuration of curves as wanted for (B) with \( d = 2\mu + 1 \) \((-2)\)-curves, and so we can construct \( W \). We can show that \( K_W \) is ample by considering the genus 2 pencil in \( S \), since all fibres except \( f^{-1}(G_0 + A + B) \) are irreducible by choosing general parameters for \( \Gamma \). We do not know if \( W \) is smoothable. When \( \mu = 1 \), we obtain the case (D), and analogous comments hold.

\textbf{(C)} Consider again the Hirzebruch surface \( \mathbb{F}_2 \) with the \((-2)\)-curve \( C_0 \), and the general fibre \( G \). Let us fix a fibre \( G_0 \). As in the previous example, there are more than enough parameters to have \( \Gamma \in [5C_0 + 10G] \) irreducible
with a tacnode at some point in $G_0$, whose direction is transversal to $G_0$, tangent with multiplicity 2 at another point of $G_0$, and smooth everywhere else. We note that $\Gamma^2 = 50$, $\Gamma \cdot K_{\mathbb{F}_2} = -20$, and so $p_a(\Gamma) = 16$. Let $\sigma : Y \to \mathbb{F}_2$ be the composition of the two blow-ups which resolve $\Gamma$. Let us denote the strict transform of $\Gamma$ by $\Gamma'$. Then $K_Y \sim \sigma^*(K_{\mathbb{F}_2}) + A + 2B$ where $A, B$ are the exceptional curves of $\sigma$. Let $G, G_0, C_0$ be the strict transforms in $Y$ of the corresponding curves in $\mathbb{F}_2$.

We have that $\Gamma' + C_0$ is 2-divisible, and so there is a double cover $f : S' \to Y$ with $S'$ smooth. The invariants of $S'$ are $K_{S'}^2 = 0$, $p_g(S') = 2$, and $q(S') = 0$. Also $K_{S'} \sim f^*(C_0 + G)$, and $f^{-1}(C_0) = C_0'$ is a $(-1)$-curve. Therefore, the blow-down $S' \to S$ of $C_0'$ is a minimal surface of general type with $K_S^2 = 1$. Notice that the image of $f^{-1}(G_0 + A + B)$ is the wanted configuration in option (C) of Theorem 3.3. We can show that $K_W$ is ample by considering the genus 2 fibration in $S'$, since all fibres except $f^{-1}(G_0 + A + B)$ are irreducible. Also

$$\Omega_{S'}(\log(f^{-1}(G_0+A+B)+C_0'+f^{-1}(G))) \subseteq \Omega_{S'}(\log(f^{-1}(G_0+A+B))) \otimes \mathcal{O}(K_{S'}),$$

and $\Omega_{S'}(\log(f^{-1}(G_0+A+B)+C_0'+f^{-1}(G)))$ has global sections by means of the residue sequence and the Chern map, because $f^{-1}(G_0+A+B) \sim f^{-1}(G)$. Thus $W$ has obstruction, and we do not know if it is smoothable.

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E-mail address: ranaj@lawrence.edu

Department of Mathematics, Lawrence University, 711 E. Boldt Way, Appleton WI 54911, USA.

E-mail address: urzua@mat.uc.cl

Facultad de Matemáticas, Pontificia Universidad Católica de Chile, Campus San Joaquín, Avenida Vicuña Mackenna 4860, Santiago, Chile.