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Étale Galois Coverings of Degree p of the Affine Plane

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INTRODUCTION

Let k be an algebraically closed field of characteristic $p > 0$ and let $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ be an étale Galois covering of degree p , i.e., an étale finite morphism from a normal surface \mathfrak{X} onto the affine plane \mathbb{A}^2 such that the function field extension $k(\mathfrak{X})$ over $k(\mathbb{A}^2)$ is a Galois extension of degree p . Then \mathfrak{X} is a $\mathbb{Z}/p\mathbb{Z}$ -torsor over \mathbb{A}^2 in the sense of étale topology. Moreover, it is known that this covering is of Artin–Schreier type (see Kambayashi and Srinivas [1], Miyanishi [2]). In other words, we can write $\mathfrak{X} = \text{Spec } k[s, t, \xi]/(\xi^p - \xi - f(s, t))$, where (s, t) is a coordinate system on \mathbb{A}^2 and $f(s, t) \in k[s, t]$. In the present article, we consider a smooth completion of \mathfrak{X} to study this covering and compute some birational invariants of the completion of \mathfrak{X} .

1. PRELIMINARIES

Let V be a nonsingular projective surface over k and let W be a normal surface. We call a finite morphism $\sigma: W \rightarrow V$ an Artin–Schreier covering if the function field extension $k(W)$ over $k(V)$ is a Galois extension of degree p . We have the following lemmas on Artin–Schreier coverings. For the proofs, we refer to Takeda [4].

LEMMA 1.1. $\sigma_* \mathcal{C}_W$ has a canonical filtration of \mathcal{C}_V -submodules,

$$\mathcal{C}_V = \mathcal{F}_0 \subset \mathcal{F}_1 \subset \cdots \subset \mathcal{F}_{p-1} = \sigma_* \mathcal{C}_W$$

such that

- (1) \mathcal{F}_i is a locally free sheaf of rank $i + 1$;

(2) $\mathcal{F}_1/\mathcal{F}_0$ is an invertible sheaf and $\mathcal{F}_i/\mathcal{F}_{i-1}$ is a torsion-free \mathcal{O}_V -module of rank 1 for $1 \leq i \leq p-1$.

Let g be a generator of the Galois group $\text{Gal}(k(W)/k(V))$. Then g acts biregularly on W and V is the quotient variety $W/\langle g \rangle$. The locally free sheaf \mathcal{F}_i is defined over an affine open set U of V as

$$\Gamma(U, \mathcal{F}_i) = \{h \in \Gamma(U, \mathcal{O}_W); g(h) - h \in \Gamma(U, \mathcal{F}_{i-1})\},$$

where $0 \leq i < p$ and $\mathcal{F}_{-1} = (0)$. We say that an Artin-Schreier covering $\sigma: W \rightarrow V$ is of simple type if $\mathcal{F}_i/\mathcal{F}_{i-1} \cong (\mathcal{F}_1/\mathcal{F}_0)^{\otimes i}$ for $1 \leq i \leq p-1$.

LEMMA 1.2. *Suppose that $\sigma: W \rightarrow V$ is an Artin-Schreier covering of simple type. Then there exist an affine open covering $\mathfrak{U} = \{U_\lambda\}$ of V and $s_\lambda, t_\lambda \in \mathcal{O}_V(U_\lambda)$ such that*

$$\sigma^{-1}(U_\lambda) = \text{Spec } \mathcal{O}_V(U_\lambda)[\xi_\lambda]/(\xi_\lambda^p - s_\lambda^{p-1}\xi_\lambda - t_\lambda).$$

Moreover, $\{s_\lambda\} \in H^0(V, \mathcal{L})$, where $\mathcal{L} \cong (\mathcal{F}_1/\mathcal{F}_0)^{-1}$.

Conversely, if an Artin-Schreier covering $\sigma: W \rightarrow V$ is given by the equations as in Lemma 1.2 with respect to an affine open covering $\mathfrak{U} = \{U_\lambda\}$, then the locally free sheaf \mathcal{F}_i in Lemma 1.1 is generated over U_λ by $1, \xi_\lambda, \dots, \xi_\lambda^{i-1}$ as an \mathcal{O}_{U_λ} -module. Hence $\mathcal{F}_i/\mathcal{F}_{i-1}$ is generated by the class ξ_λ^i (modulo \mathcal{F}_{i-1}) as an \mathcal{O}_{U_λ} -module. This implies that $\sigma: W \rightarrow V$ is an Artin-Schreier covering of simple type.

By Lemma 1.2, every Artin-Schreier covering of simple type is locally a hypersurface. So, the dualizing sheaf ω_W is an invertible sheaf. We can compute some invariants of the covering as follows:

LEMMA 1.3. *With the same notations and assumptions as in the previous lemma, we have*

$$(1) \quad \omega_W = \sigma^*(\omega_V \otimes \mathcal{L}^{p-1}).$$

$$(2) \quad \chi(\mathcal{O}_W) = p(\chi(\mathcal{O}_V) + (1/4)(p-1)(\mathcal{L}, \omega_V) + (1/12)(p-1)(2p-1)(\mathcal{L}^2)).$$

LEMMA 1.4. *In addition to the assumptions in Lemma 1.3, suppose, furthermore, that \mathcal{L} is ample. Then $H^1(W, \mathcal{O}_W) = H^1(V, \mathcal{O}_V)$.*

We now consider an étale Galois covering $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ of degree p . Let (s, t) be a coordinate system on \mathbb{A}^2 . Then there exists a polynomial $f(s, t)$ such that $\mathfrak{X} = \text{Spec } k[s, t, \xi]/(\xi^p - \xi - f(s, t))$. If $g(s, t) = f(s, t) + (h(s, t))^p - h(s, t)$ for some $h(s, t) \in k[s, t]$, then $\text{Spec } k[s, t, \xi]/(\xi^p - \xi - f)$ and $\text{Spec } k[s, t, \xi]/(\xi^p - \xi - g)$ are isomorphic to each other as finite coverings over \mathbb{A}^2 . So, we choose $f(s, t)$ in such a way that the degree of $f(s, t)$ is the smallest under the above operation and we say that \mathfrak{X} is defined by a polynomial $f(s, t)$. We consider \mathbb{A}^2 as an open set of \mathbb{P}^2 and

let B be the line at infinity. Take the normalization $\pi: \tilde{\mathfrak{X}} \rightarrow \mathbb{P}^2$ in the function field $k(\mathfrak{X})$. This is an Artin-Schreier covering of \mathbb{P}^2 which is not necessarily of simple type. Let (X, Y, Z) be a homogeneous coordinate system on \mathbb{P}^2 and let $U_X = \{X \neq 0\}$, $U_Y = \{Y \neq 0\}$, and $U_Z = \{Z \neq 0\}$ constitute the standard open covering of \mathbb{P}^2 . We define a Gorenstein scheme \mathfrak{X} and a finite morphism $\psi: \mathfrak{X} \rightarrow \mathbb{P}^2$ by giving local data as

$$\begin{aligned} \psi^{-1}(U_Z) &= \text{Spec } k[s, t, \xi]/(\xi^p - \xi - f(s, t)), \\ \psi^{-1}(U_Y) &= \text{Spec } k[x, z, \eta]/(\eta^p - z^{m(p-1)}\eta - z^e \tilde{f}(x, 1, z)), \\ \psi^{-1}(U_X) &= \text{Spec } k[u, v, \zeta]/(\zeta^p - v^{m(p-1)}\zeta - v^e \tilde{f}(1, u, v)), \end{aligned}$$

where $\eta = (Z^m/Y^m)\xi$, $\zeta = (Z^m/X^m)\xi$, $s = X/Z$, $t = Y/Z$, $x = X/Y$, $z = Z/Y$, $u = Y/X$, $v = Z/X$, $d = \deg f(s, t)$, $\tilde{f}(X, Y, Z) = Z^d f(X/Z, Y/Z)$, and $d + e = mp$ ($e, m \in \mathbb{Z}$, $0 \leq e < p$).

Remark 1.5. In general, $\tilde{\mathfrak{X}}$ is not normal. We have, however, the following assertions by the same arguments as in the case of an Artin-Schreier covering of simple type (see [4, Sect. 1]).

1.5.1. There exists a filtration of $\mathcal{O}_{\mathbb{P}^2}$ -modules

$$\mathcal{O}_{\mathbb{P}^2} = \mathcal{F}_0 \subset \mathcal{F}_1 \subset \dots \subset \mathcal{F}_{p-1} = \psi_* \mathcal{O}_{\tilde{\mathfrak{X}}}$$

such that $\mathcal{F}_i/\mathcal{F}_{i-1} = \mathcal{O}_{\mathbb{P}^2}(-imB) = \mathcal{O}_{\mathbb{P}^2}(-im)$ for $1 \leq i \leq p-1$.

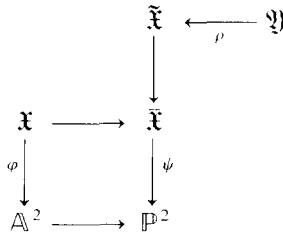
Let g be a generator of $\text{Gal}(k(\tilde{\mathfrak{X}})/k(\mathbb{P}^2))$. Then we can choose g so that the action of g on $\tilde{\mathfrak{X}}$ is given by $g(\xi) = \xi + 1$, $g(\eta) = \eta + z^m$, and $g(\zeta) = \zeta + v^m$. If we know that $\tilde{\mathfrak{X}}$ is normal, the remark after Lemma 1.2 tells us that the covering $\psi: \mathfrak{X} \rightarrow \mathbb{P}^2$ is an Artin-Schreier covering of simple type.

1.5.2. $\omega_{\tilde{\mathfrak{X}}} = \psi_* \mathcal{O}_{\mathbb{P}^2}(-3 + (p-1)m)$.

Moreover, since B is ample, we have

1.5.3. $H^1(\tilde{\mathfrak{X}}, \mathcal{O}_{\tilde{\mathfrak{X}}}) = 0$.

Clearly $\tilde{\mathfrak{X}}$ is the normalization of \mathfrak{X} . Let $\rho: \mathfrak{Y} \rightarrow \tilde{\mathfrak{X}}$ be the minimal resolution of the singularities of $\tilde{\mathfrak{X}}$. Then we have the diagram



Throughout this article, we keep the notations in this section.

2. CASE OF $\deg f \equiv 0 \pmod{p}$

We consider the following Hypothesis I on $f(s, t)$:

$$\deg f(s, t) \equiv 0 \quad \text{modulo } p \quad \text{and}$$

$$\left(\frac{\partial}{\partial X} \tilde{f}, \frac{\partial}{\partial Y} \tilde{f}, \frac{\partial}{\partial Z} \tilde{f} \right) (P) \neq (0, 0, 0) \quad \text{for every } P \in B.$$

We say that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis I if \mathfrak{X} can be written as $\mathfrak{X} = \text{Spec } k[s, t, \xi]/(\xi^p - \xi - f)$ such that f and its homogenization \tilde{f} satisfy Hypothesis I. Then we have $d = \deg f = mp$ (see the definition of \mathfrak{X} in Section 1). Applying the Jacobian criterion, we have:

PROPOSITION 2.1. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis I and $(p, m) \neq (2, 1)$. Then \mathfrak{X} is nonsingular.*

In this case, we have $\bar{\mathfrak{X}} = \tilde{\mathfrak{X}} = \mathfrak{Y}$, whence $\bar{\mathfrak{X}}$ is normal, and $\pi \circ \rho: \mathfrak{Y} \rightarrow \mathbb{P}^2$ is, by Remark 1.5, an Artin-Schreier covering of simple type. Hence we can use the formulas in Section 1 to describe the covering $\pi \circ \rho: \mathfrak{Y} \rightarrow \mathbb{P}^2$.

COROLLARY 2.2. *With the same assumptions as in Proposition 2.1, we have*

- (1) $K_{\mathfrak{Y}} = (\pi \circ \rho)^*((-3 + m(p-1))B)$, $(K_{\mathfrak{Y}}^2) = 9p - 6p(p-1)m + p(p-1)^2 m^2$.
- (2) $\chi(\mathcal{O}_{\mathfrak{Y}}) = p - (3/4)p(p-1)m + (1/12)p(p-1)(2p-1)m^2$.
- (3) $H^1(\mathfrak{Y}), \mathcal{O}_{\mathfrak{Y}} = 0$.
- (4) $e(\mathfrak{Y}) = 3p - 3p(p-1)m + p^2(p-1)m^2$, where $e(\mathfrak{Y})$ is the Euler number of \mathfrak{Y} .

Remark 2.3. Suppose $\text{char } k = p = 2$ and $\deg f(s, t) = 2$, i.e., $m = 1$. Then Hypothesis I is not sufficient for $\bar{\mathfrak{X}}$ to be nonsingular. We know, however, that $\bar{\mathfrak{X}}$ has at most only one rational double point of type A_1 [4, Sect. 2]. Hence the same formulas as in the previous corollary hold in this case, as well.

We shall give some examples.

EXAMPLE 2.4. Assume $\text{char } k = 3$. Suppose that \mathfrak{X} satisfies Hypothesis I and $m = 1$. Then, since $K_{\mathfrak{Y}} = (\pi \circ \rho)^*(-B)$, it follows that $-K_{\mathfrak{Y}}$ is ample and $(K_{\mathfrak{Y}}^2) = 3$. Hence \mathfrak{Y} is a del Pezzo surface of degree 3.

EXAMPLE 2.5. Suppose $\text{char } k = 2$ and $\deg f = 2$. If $\bar{\mathfrak{X}}$ is nonsingular, then \mathfrak{Y} , which is equal to $\bar{\mathfrak{X}}$, is isomorphic to $\mathbb{P}^1 \times \mathbb{P}^1$ [4, Theorem 3.2]. If

$\tilde{\mathfrak{X}}$ has singular points, then \mathfrak{Y} is the Hirzebruch surface of degree 2 [4, Example 2.13].

EXAMPLE 2.6. Assume $\text{char } k = 2$. Suppose that \mathfrak{X} satisfies Hypothesis I and $m = 3$. Then we have $K_{\mathfrak{Y}} = 0$ and $H^1(\mathfrak{Y}, \mathcal{O}_{\mathfrak{Y}}) = 0$. Hence \mathfrak{Y} is a K3-surface.

3. CASE OF $\text{deg } f \equiv p - 1 \pmod{p}$

In this section, we consider $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ defined by $f(s, t)$ with $\text{deg } f \equiv p - 1$ modulo p , i.e., $e = 1$. Then we have $d = \text{deg } f = mp - 1$ (see the definition of \mathfrak{X} in Section 1). By the Jacobian criterion, we have the following lemma.

LEMMA 3.1. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ is defined by $f(s, t)$ with $e = 1$. Then $\tilde{\mathfrak{X}}$ is normal. Moreover, $\psi^{-1}(P)$ is a singular point if and only if $P \in \{\tilde{f}(X, Y, Z) = 0\} \cap B$.*

By Remark 1.5, we have $\tilde{\mathfrak{X}} = \tilde{\mathfrak{X}}$, whence $\tilde{\mathfrak{X}}$ is normal, and $\psi: \tilde{\mathfrak{X}} \rightarrow \mathbb{P}^2$ is an Artin-Schreier covering of simple type. We consider the following Hypothesis II on $f(s, t)$ which imposes a restriction on the singularity of $\tilde{\mathfrak{X}}$:

$$\text{deg } f(s, t) \not\equiv 0 \pmod{p} \quad \text{and} \\ \{\tilde{f}(X, Y, Z) = 0\} \text{ is a reduced curve meeting } B \text{ transversally.}$$

If $f(s, t)$ with $e \neq 0$ is sufficiently general, then $f(s, t)$ satisfies Hypothesis II. We say that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II if \mathfrak{X} can be defined by $f(s, t)$ satisfying Hypothesis II.

PROPOSITION 3.2. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $e = 1$. Then $\tilde{\mathfrak{X}}$ has exactly d rational double points of type A_{p-1} .*

Proof. By Lemma 3.1, we know that $\text{Sing } \tilde{\mathfrak{X}}$ are lying over $\{\tilde{f}(X, Y, Z) = 0\} \cap B$. Let P be a singular point of $\tilde{\mathfrak{X}}$. Changing the coordinates if necessary, we may assume $P = (x = 0, z = 0) \in U_Y$. Since f satisfies Hypothesis II, $\tilde{\mathfrak{X}}$ is locally defined by

$$\eta^p - z^{m(p-1)}\eta = zx + (\text{terms of higher degree}).$$

It is now clear that $\psi^{-1}(P)$ is a rational double point of type A_{p-1} . Q.E.D.

COROLLARY 3.3. *Under the same assumptions as in Proposition 3.2, the same four formulas as in Corollary 2.2 hold.*

Proof. Since $\tilde{\mathfrak{X}}$ has only rational double points, we have $K_{\mathfrak{Y}} = \rho^* K_{\tilde{\mathfrak{X}}}$ and $H^i(\mathfrak{Y}, \mathcal{L}_{\mathfrak{Y}}) = H^i(\tilde{\mathfrak{X}}, \mathcal{L}_{\tilde{\mathfrak{X}}})$. Hence the assertions follow from Lemmas 1.3 and 1.4. Q.E.D.

We shall give an example.

EXAMPLE 3.4. Assume $\text{char } k = 2$. Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ is defined by $f(s, t)$ such that $\deg f = 5$ and $f(s, t)$ satisfies Hypothesis II. Then we have $K_{\mathfrak{Y}} = 0$ and $H^1(\mathfrak{Y}, \mathcal{L}_{\mathfrak{Y}}) = 0$. Hence \mathfrak{Y} is a K3-surface.

4. CASE OF $\deg f \neq 0, p - 1 \pmod{p}$

In this section, we assume that $p > 2$ and that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $\deg f \neq 0, p - 1 \pmod{p}$, i.e., $2 \leq e \leq p - 1$. By the Jacobian criterion and the Serre criterion, we know that \mathfrak{X} is not normal. Hence $\pi: \tilde{\mathfrak{X}} \rightarrow \mathbb{P}^2$ is not of simple type. Under these circumstances, we consider the following exact sequence on \mathbb{P}^2 :

$$0 \rightarrow \psi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \rightarrow \pi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \rightarrow \mathcal{H} \rightarrow 0.$$

It is clear that $\text{Supp } \mathcal{H} = B$. By Remark 1.5.3 we know $H^1(\mathbb{P}^2, \psi_* \mathcal{L}_{\tilde{\mathfrak{X}}}) = 0$. Therefore, $H^0(B, \mathcal{H}) = 0$. This asserts that \mathcal{H} is torsion-free. Hence \mathcal{H} is a locally free sheaf on B . We shall determine \mathcal{H} . To begin with, let $P \in B$ be a general point and consider the sequence of stalks at P . We may assume that $P \in U_Y$ and that $\tilde{\mathfrak{X}}$ is locally defined by $\eta^p - z^{m(p-1)}\eta - z^e \tilde{f}(x, 1, z) = 0$. Let $F = \tilde{f}(x, 1, z) + z^{m(p-1)-e}\eta$. Then $\eta^p = z^e F$ and $F(\tilde{P}) \neq 0$, where \tilde{P} is a unique point of $\tilde{\mathfrak{X}}$ lying over P . Since p and e are relatively prime, there exist $a, b \in \mathbb{Z}$ such that $ap + be = 1$. We may assume $-e < a < 0$. Set $\tau = \eta^b z^{-a}$. Then we have $\tau \in k(\tilde{\mathfrak{X}})$, $\tau^c = \eta F^{-a}$, and $\tau^p = z F^b$. Hence $x - x(P)$ and τ generate the maximal ideal of the local ring $(\pi_* \mathcal{L}_{\tilde{\mathfrak{X}}})_P$. This implies that $(\pi_* \mathcal{L}_{\tilde{\mathfrak{X}}})_P = (\psi_* \mathcal{L}_{\tilde{\mathfrak{X}}})_P [\tau]$ and $\tilde{\mathfrak{X}}$ is nonsingular at \tilde{P} . Note that $\tau^n = z^{-\alpha} \eta^\beta F^{-\beta a}$ if $n = -\alpha p + \beta e$ with $\alpha, \beta \in \mathbb{Z}$. It is then easy to verify that $\mathcal{H}_P = \bigoplus_{\alpha, \beta} \mathcal{L}_{P, B} z^{-\alpha} \eta^\beta$, where α and β range over all integers such that $-\alpha p + \beta e > 0, 0 < \alpha < e$, and $0 < \beta < p$.

We now consider \mathcal{H} at the image point of a singular point of $\tilde{\mathfrak{X}}$. We may assume that every singular point lies over U_Y . Let $Q \in B$ such that $\tilde{Q} = \pi^{-1}(Q)$ is a singular point of $\tilde{\mathfrak{X}}$. We know that $\tilde{\mathfrak{X}}$ is defined by $\zeta^p - v^{m(p-1)}\zeta - v^e \tilde{f}(1, u, v) = 0$ over U_Y . From the above observations, it follows that $(\tilde{f}(1, u, v) + v^{m(p-1)-e}\zeta)(\tilde{Q}) = 0$. Since $f(s, t)$ satisfies Hypothesis II, we know that Q is a zero of order 1 of $\tilde{f} = 0$. Changing the coordinate u if necessary, we may assume $Q = (u = 0, v = 0)$. So, $\tilde{\mathfrak{X}}$ is locally defined by $\zeta^p = v^e(u + (\text{terms of higher degree}) + v^{m(p-1)-e}\zeta)$. In order to look into the

singularity of $\tilde{\mathfrak{X}}$ at \tilde{Q} , it suffices to consider the normalization of a surface defined by $\zeta^p = v^e u$.

Let $T^p = v$ and $S = \zeta/T^c$. Then $S^p = u$. Consider a derivation $\mathfrak{D} = T(\partial/\partial T) + hS(\partial/\partial S)$ on $k[[S, T]]$, where $h = p - e$ and the invariant subring $k[[S, T]]^{\mathfrak{D}} = \{g \in k[[S, T]] \mid \mathfrak{D}(g) = 0\}$. Note that $k[[S, T]]^{\mathfrak{D}}$ is a normal ring. In the case of a polynomial ring, we have the following useful lemma.

LEMMA 4.1. *Let $A = k[T, S] \cap k(T^p, S^p, S/T^h)$ and $\mathfrak{D} = T(\partial/\partial T) + hS(\partial/\partial S)$. Then*

- (1) $A = k[T, S]^{\mathfrak{D}}$ and $\text{Spec } A$ has an isolated singular point which is defined by $S = T = 0$.
- (2) $\{S^x T^\beta \mid \beta + hx \equiv 0 \pmod{p}\}$ is a k -basis for A .
- (3) The minimal resolution of singularity of $\text{Spec } A$ has the following dual graph of exceptional curves:



where

$$\frac{p}{h} = a_1 - \frac{1}{a_2 - \frac{1}{\ddots - \frac{1}{a_q}}}, \quad a_i \in \mathbb{Z}, a_i \geq 2.$$

Here a vertex shown by \circ stands for a nonsingular rational curve. Hence the singularity is rational. The proper transform of the curve $T^p = 0$ meets transversally the curve E_q and does not meet any other curves E_i .

For the proof, we refer to Miyanishi and Russell [3, Lemma 3.2]. In our case, it is clear that $u, v, \zeta \in k[[S, T]]^{\mathfrak{D}}$ and $k((u, v, \zeta)) = k((S^p, T^p, S/T^h))$. From Lemma 4.1(2), it follows that $\{T^{-\alpha p + \beta c} S^\beta \mid \alpha, \beta \in \mathbb{Z}, \beta > 0, -\alpha p + \beta c > 0\}$ is a k -basis of $k[[S, T]]^{\mathfrak{D}}$. It is then easy to verify that $\{T^{-\alpha p + \beta c} S^{\beta + np} \mid \alpha, \beta, n \in \mathbb{Z}, n > 0, 0 < \alpha < e, 0 < \beta < p, -\alpha p + \beta c > 0\}$ is a k -basis of $k[[S, T]]^{\mathfrak{D}}/k[[S^p, T^p, T^c S]]$. Hence $\{T^{-\alpha p + \beta c} S^\beta \mid \alpha, \beta \in \mathbb{Z}, 0 < \alpha < e, 0 < \beta < p, -\alpha p + \beta c > 0\}$ is a $k[[S^p]]$ -basis. Since $T^{-\alpha p + \beta c} S^\beta = v^{-\alpha} \zeta^\beta$, we know $\mathcal{H}_Q = \bigoplus_{\alpha, \beta} C_{Q, B} v^{-\alpha} \zeta^\beta$, where α and β range over all integers such that $0 < \alpha < e, 0 < \beta < p$, and $-\alpha p + \beta c > 0$. On the other hand, we have already shown that $\mathcal{H}|_{B^0} = \bigoplus_{\alpha, \beta} C_{B^0} z^{-\alpha} \eta^\beta$, where α and β are the same as above and $B^0 = B - \{Q \in B \mid \pi^{-1}(Q) \text{ is a singular point}\}$. Note that $z^{-\alpha} \eta^\beta = v^{-\alpha} \zeta^\beta u^{\alpha - \beta m}$. The transition functions of \mathcal{H} over $U_y \cap U_x$ are $\{u^{\alpha - \beta m}\}$. By these observations we have the following:

THEOREM 4.2. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $e \neq 1$. Set $\mathcal{H} = \bigoplus_{\alpha, \beta} \mathcal{L}_B(\alpha - \beta m)$, where α and β range over all integers such that $0 < \alpha < e$, $0 < \beta < p$, and $-\alpha p + \beta e > 0$. Then we have the following exact sequence on \mathbb{P}^2 :*

$$0 \rightarrow \psi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \rightarrow \pi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \rightarrow \mathcal{H} \rightarrow 0.$$

COROLLARY 4.3. *Suppose $e = p - 1$. Then we can write \mathcal{H} in the following way:*

$$\begin{aligned} \mathcal{H} = & \mathcal{L}_B(1 - 2m) \oplus \mathcal{L}_B(1 - 3m) \oplus \cdots \oplus \mathcal{L}_B(1 - (p - 1)m) \\ & \oplus \mathcal{L}_B(2 - 3m) \oplus \cdots \oplus \mathcal{L}_B(2 - (p - 1)m) \\ & \qquad \qquad \qquad \vdots \\ & \qquad \qquad \qquad \oplus \mathcal{L}_B(p - 2 - (p - 1)m). \end{aligned}$$

Proof. Straightforward.

COROLLARY 4.4. *With the same assumptions as in Corollary 4.3, we have*

$$\begin{aligned} \chi(\mathcal{L}_{\mathfrak{Y}}) = & (1/6)(p + 2)(p^2 - 2p + 3) - (1/12) p(p - 1)(4p + 1)m \\ & + (1/12) p(p - 1)(2p - 1)m^2. \end{aligned}$$

Proof. From the previous corollary, it follows that $\chi(\mathcal{H}) = (1/6)(p + 3)(p - 1)(p - 2) - (1/3) p(p - 1)(p - 2)m$. Therefore, by Remark 1.5.1, we have $\chi(\mathcal{L}_{\tilde{\mathfrak{X}}}) = (1/6)(p + 2)(p^2 - 2p + 3) - (1/12) p(p - 1)(4p + 1)m + (1/12) p(p - 1)(2p - 1)m^2$. Meanwhile, we know that $\tilde{\mathfrak{X}}$ has only rational singularities. Hence $\chi(\mathcal{L}_{\mathfrak{Y}}) = \chi(\mathcal{L}_{\tilde{\mathfrak{X}}})$. The assertion follows from these observation. Q.E.D.

Next, we shall determine the canonical divisor of \mathfrak{Y} .

LEMMA 4.5. *The canonical divisor $K_{\tilde{\mathfrak{X}}}$ of $\tilde{\mathfrak{X}}$ is written as $K_{\tilde{\mathfrak{X}}} = \pi^*((-3 + m(p - 1))B) - (p - 1)(e - 1)D$, where D is the set-theoretic inverse image of B by π and $\pi^*B = pD$.*

In the proof of this lemma, we use the following:

LEMMA 4.6 (Miyanishi [2]). *Let C be an étale Galois covering of $\mathbb{A}^1 = \text{Spec } k[t]$ defined by*

$$\zeta^p - \zeta = c_0 t^n + \cdots + c_{n-1} t,$$

where $c_0, \dots, c_{n-1} \in k$, $c_0 \neq 0$, $n > 0$, and $c_i = 0$ whenever $i \equiv 0 \pmod{p}$. Then the genus of C is equal to $(p - 1)(n - 1)/2$.

Proof. See [2, Lemma 2.1].

Proof of Lemma 4.5. First, note that we can write the canonical divisor of $\tilde{\mathfrak{X}}$ as

$$K_{\tilde{\mathfrak{X}}} = \pi^*((-3 + m(p-1))B) - rD,$$

where $-rD$ is the contribution coming from the conductor ideal for the extension $\psi_*\mathcal{O}_{\tilde{\mathfrak{X}}} \subset \pi_*\mathcal{O}_{\tilde{\mathfrak{X}}}$. We have only to determine r . Let L be a general line on \mathbb{P}^2 . We may assume that π^*L is an irreducible curve contained in the nonsingular part of $\tilde{\mathfrak{X}}$. We claim that π^*L is nonsingular. Indeed, let $P \in L \cap B$ and suppose that L is defined by $x=0$ near P after a change of coordinates. Recall that $(\pi_*\mathcal{O}_{\tilde{\mathfrak{X}}})_P = (\psi_*\mathcal{O}_{\tilde{\mathfrak{X}}})_P[[\tau]]$, where $\tau = \eta^bz^a$ with $ap + be = 1$. In particular, $(\mathcal{O}_{\tilde{\mathfrak{X}}, \tilde{P}})^\wedge = k[[\tau, x]]$ and $(\mathcal{O}_{\pi_*L, \tilde{P}})^\wedge = k[[\tau]]$, where $\tilde{P} = \pi^{-1}(P)$. This shows that π^*L is a nonsingular curve. Now, by applying Lemma 4.6, we have $g(\pi^*L) = (p-1)(d-1)/2$. Meanwhile, by the adjunction formula, we have

$$\begin{aligned} (p-1)(d-1) - 2 &= (K_{\tilde{\mathfrak{X}}}, \pi^*L) + ((\pi^*L)^2) \\ &= p(-3 + m(p-1)) - r(D, \pi^*L) + p. \end{aligned}$$

Since $d + e = mp$, we have $r(D, \pi^*L) = (p-1)(e-1)$. On the other hand, the arguments given at the beginning of this section show that $\pi^*B = pD$. Hence $\pi_*D = B$ and $(D, \pi^*L) = 1$. This implies that $r = (p-1)(e-1)$.

Q.E.D.

We need some more notations to write down the canonical divisor of \mathfrak{Y} . Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $e \neq 1$. Let \tilde{D} be the proper transform of D by ρ . Then \tilde{D} is a nonsingular rational curve. Let $\{Q_1, \dots, Q_d\}$ exhaust all points of \mathbb{P}^2 whose inverse images by π are the singular points of $\tilde{\mathfrak{X}}$. By Lemma 4.1, $(\pi \circ \rho)^{-1}(Q_i)$ has the configuration shown in Fig. 1, where $E_{i,j}$ is a nonsingular rational curve whose self-intersection number is $-a_j$, a_j being the same as given in Lemma 4.1. Set

$$\delta_j = \det \begin{pmatrix} a_{j+1} & -1 & & & \\ & -1 & \dots & & \\ & & \dots & \dots & \\ & & & -1 & \\ & & & & -1 & a_q \end{pmatrix} \quad \text{for } 0 \leq j < q \text{ and } \delta_q = 1$$

and set

$$\delta^j = \det \begin{pmatrix} a_1 & -1 & & & \\ & -1 & \dots & & \\ & & \dots & \dots & \\ & & & -1 & \\ & & & & -1 & a_{j-1} \end{pmatrix} \quad \text{for } 1 < j \leq q+1 \text{ and } \delta^1 = 1.$$

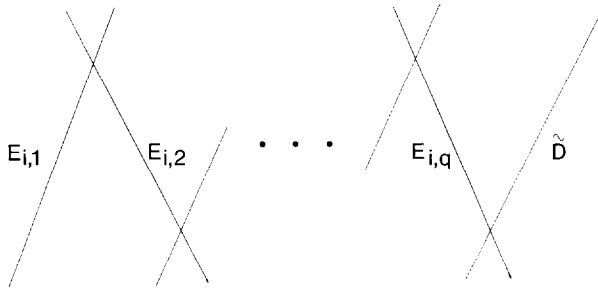


FIGURE 1

Note that $\delta_0 = \delta^{q+1} = p$, $\delta_{j-1} = a_j \delta_j - \delta_{j+1}$ for $1 \leq j \leq q-1$ and $\delta^{j+1} = a_j \delta^j - \delta^{j-1}$ for $2 \leq j \leq q$.

We are now ready to write down the canonical divisor of \mathfrak{Y} .

THEOREM 4.7. *We retain the same notations and assumptions as above. Then we have*

$$K_{\mathfrak{Y}} = N\tilde{D} + \sum_{j=1}^q (\Delta_j + N\delta^j/p)(E_{1,j} + \cdots + E_{d,j}),$$

where $N = (-3 + m(p-1))p - (p-1)(e-1)$ and $\Delta_j = (1/p)(\delta_j + \delta^j) - 1$ for $1 \leq j \leq q$.

Proof. Note that $(\pi \circ \rho)^{-1}(Q_i)$ and $(\pi \circ \rho)^{-1}(Q_j)$ are disjoint from each other if $i \neq j$. Hence we have only to describe $K_{\mathfrak{Y}}$ near $(\pi \circ \rho)^{-1}(Q_i)$ for every $1 \leq i \leq d$. Near $(\pi \circ \rho)^{-1}Q_i$, the canonical divisor is written as $K_{\mathfrak{Y}} = N\tilde{D} + n_1 E_{i,1} + \cdots + n_q E_{i,q}$ with $n_j \in \mathbb{Z}$. By applying the adjunction formula for the curves $E_{i,j}$, we have

$$\begin{aligned} a_1(n_1 + 1) - (n_2 + 1) &= 1 \\ -(n_1 + 1) + a_2(n_2 + 1) - (n_3 + 1) &= 0 \\ &\vdots \\ -(n_{q-1} + 1) + a_q(n_q + 1) &= N + 1. \end{aligned}$$

We can solve these equations in terms of δ_j and δ^j to obtain $n_j + 1 = (1/p)(\delta_j + \delta^j(N + 1))$, $1 \leq j \leq q$. We have thus the stated formula for $K_{\mathfrak{Y}}$.

Q.E.D.

It is easy to verify that $(\tilde{D}^2) = -\delta^q m + (1 + \delta^q e)/p$. Furthermore, we have the following corollaries which are immediate consequences of the above theorem.

COROLLARY 4.8. *We have*

$$(K_{\mathfrak{Y}}^2) = (1/p)[N^2 - (mp - e)\{\delta_1 + \delta^q + 2 - 2p + (a_1 + \dots + a_q)p - 2pq\}],$$

where $N^2 = \{(e + 2)p - (e - 1)\}^2 - 2(p - 1)p\{(e + 2)p - (e - 1)\}m + p^2(p - 1)^2 m^2$.

COROLLARY 4.9. *If $e = p - 1$, then we have*

$$K_{\mathfrak{Y}} = (mp(p - 1) - p^2 - 2)\tilde{D} + (m(p - 1) - p - 1)(E_{1,1} + \dots + E_{d,1}),$$

where $(\tilde{D}^2) = -m + 1$ and $((E_{i,1})^2) = -p$. Moreover,

$$(K_{\mathfrak{Y}}^2) = p^3 + p^2 - p + 8 - (2p - 1)p^2 m + p(p - 1)^2 m^2.$$

We have the following topological datum of \mathfrak{Y} :

PROPOSITION 4.10. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II. If $d = mp - e \geq 0$ with e fixed, i.e., $m \geq 0$, then we have $b_1(\mathfrak{Y}) = 0$, where $b_1(\mathfrak{Y}) (= \text{rank } H_{e_l}^1(\mathfrak{Y}, \mathbb{Q}_l))$ with a prime $l \neq p$) is the first Betti number of \mathfrak{Y} .*

Proof. It is sufficient to show that the Albanese variety $\text{Alb}(\mathfrak{Y})$ has dimension zero. Consider the Albanese map $\gamma: \mathfrak{Y} \rightarrow \text{Alb}(\mathfrak{Y})$ and take the Stein factorization $\gamma = v \circ \mu: \mathfrak{Y} \xrightarrow{\mu} \mathfrak{A} \xrightarrow{v} \text{Alb}(\mathfrak{Y})$, where \mathfrak{A} is normal. Note that $K_{\mathfrak{Y}}$ is connected and effective if $m \geq 0$ (cf. Theorem 4.7). Suppose that $\dim \mathfrak{A} = 2$. Then μ is a birational morphism. Since every irreducible component of $K_{\mathfrak{Y}}$ is a rational curve and v is a finite morphism, $K_{\mathfrak{Y}}$ is contracted to a point by μ . Hence $(K_{\mathfrak{Y}}^2) < 0$. On the other hand, we know that $(K_{\mathfrak{Y}}^2) > 0$ for $m \geq 0$ by Corollary 4.8. Hence, if $m \geq 0$, this case cannot occur. Next, suppose $\dim \mathfrak{A} = 1$. Then μ is a fibration such that $K_{\mathfrak{Y}}$ is contained in a fibre of μ . Hence $(K_{\mathfrak{Y}}^2) \leq 0$ and this case cannot occur, either, if $m \geq 0$. So, $\dim \text{Alb}(\mathfrak{Y}) = 0$ and $b_1(\mathfrak{Y}) = 0$ if $m \geq 0$. Q.E.D.

We know that $H^1(\mathfrak{Y}, \mathcal{O}_{\mathfrak{Y}}) = 0$ for $e = 0$ (resp. $e = 1$) if \mathfrak{X} satisfies Hypothesis I (resp. II). Hence, in these cases, we have $b_1(\mathfrak{Y}) = 0$ as well. From this and Proposition 4.10, it follows that the first Betti number of \mathfrak{Y} is zero provided $f(s, t)$ is general and $d = \deg f(s, t) \geq 0$.

We shall give some examples.

EXAMPLE 4.11. Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $d = 1$ (i.e., $m = 1$ and $e = p - 1$). By Theorems 4.2 and 4.7, we have $\chi(\mathcal{O}_{\mathfrak{Y}}) = 1$, $K_{\mathfrak{Y}} = -(p + 2)\tilde{D} - 2E$, $(E^2) = -p$, and $(K_{\mathfrak{Y}}^2) = 8$. We know that \mathfrak{Y} is the Hirzebruch surface of degree p with the minimal section E .

EXAMPLE 4.12. Assume $\text{char } k = 3$. Suppose that \mathfrak{X} satisfies Hypothesis II and $d=4$ (i.e., $m=2$ and $e=2$). Then we have $\chi(\mathcal{L}_{\mathfrak{Y}}) = 2$, $K_{\mathfrak{Y}} = \tilde{D}$, and $(K_{\mathfrak{Y}}^2) = -1$. Let $\theta: \mathfrak{Y} \rightarrow \mathfrak{J}$ be the contraction of \tilde{D} . Then \mathfrak{J} is a K3-surface.

5. IRREGULARITY OF \mathfrak{Y} IN THE CASE OF $e = p - 1$

In this section, we assume that $p > 2$. We shall prove

THEOREM 5.1. *Suppose that $\varphi: \mathfrak{X} \rightarrow \mathbb{A}^2$ satisfies Hypothesis II and $e = p - 1$. Then we have $H^1(\mathfrak{Y}, \mathcal{L}_{\mathfrak{Y}}) = 0$ for $m \geq p - 1$.*

Our proof of this theorem consists of three steps.

STEP I. CLAIM. *It is sufficient to show that*

$$H^1(\mathbb{P}^2, \pi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \otimes \mathcal{L}_{\mathbb{P}^2}(m(p-1) - p - 1)) = 0 \quad \text{for } m \geq p - 1.$$

Proof of Claim. Note that $K_{\mathfrak{Y}} - (p - 2)\tilde{D} = (\pi \circ \rho)^*((m(p - 1) - p - 1)B)$ by Corollary 4.9. Hence we have the exact sequence

$$0 \rightarrow (\pi \circ \rho)^* \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1) \rightarrow \omega_{\mathfrak{Y}} \rightarrow \mathcal{L}_{(p - 2)\tilde{D}} \otimes \omega_{\mathfrak{Y}} \rightarrow 0. \quad (*)$$

On the other hand, it is easy to verify that $(K_{\mathfrak{Y}}, \tilde{D}) = m - 3$. So, we have the exact sequences

$$\begin{array}{ccccccc} & & & & \mathcal{L}_{\tilde{D}}(m - 3) & & \\ & & & & \parallel & & \\ 0 & \longrightarrow & \mathcal{L}_{\tilde{D}}(2m - 4) & \longrightarrow & \mathcal{L}_{2\tilde{D}} \otimes \omega_{\mathfrak{Y}} & \longrightarrow & \mathcal{L}_{\tilde{D}} \otimes \omega_{\mathfrak{Y}} \longrightarrow 0 \\ & & \vdots & & \vdots & & \vdots \\ 0 & \longrightarrow & \mathcal{L}_{\tilde{D}}((p - 2)m - p) & \longrightarrow & \mathcal{L}_{(p - 2)\tilde{D}} \otimes \omega_{\mathfrak{Y}} & \longrightarrow & \mathcal{L}_{(p - 3)\tilde{D}} \otimes \omega_{\mathfrak{Y}} \longrightarrow 0. \end{array}$$

By taking the cohomology groups, we have $H^1(\mathfrak{Y}, \mathcal{L}_{(p - 2)\tilde{D}} \otimes \omega_{\mathfrak{Y}}) = 0$ whenever $m > 1$. Therefore, for $m > 1$, the cohomology exact sequence associated with (*) gives exact sequences

$$\begin{aligned} & H^1(\mathfrak{Y}, (\pi \circ \rho)^* \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1)) \rightarrow H^1(\mathfrak{Y}, \omega_{\mathfrak{Y}}) \rightarrow 0, \\ 0 & \rightarrow H^2(\mathfrak{Y}, (\pi \circ \rho)^* \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1)) \rightarrow H^2(\mathfrak{Y}, \omega_{\mathfrak{Y}}) \rightarrow 0. \end{aligned}$$

So, if we know that $H^1(\mathfrak{Y}, (\pi \circ \rho)^* \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1)) = 0$, then our theorem is verified by virtue of the Serre duality. Meanwhile, since π is a finite morphism and ρ is a resolution of rational singularities, we know that $H^i(\mathfrak{Y}, (\pi \circ \rho)^* \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1)) = H^i(\mathbb{P}^2, \pi_* \mathcal{L}_{\tilde{\mathfrak{X}}} \otimes \mathcal{L}_{\mathbb{P}^2}(m(p - 1) - p - 1))$. Our claim will follow from these observations. Q.E.D.

In the above proof, we have also proved that

$$\dim_k H^2(\mathbb{P}^2, \pi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{C}_{\mathbb{P}^2}(m(p-1) - p - 1)) = 1 \quad \text{for } m > 1.$$

For the sake of simplicity, we shall denote $\mathcal{C}_{\mathbb{P}^2}(m(p-1) - p - 1)$ by \mathcal{M} .

STEP II. CLAIM. *We have:*

- (1) $\dim_k H^1(\mathbb{P}^2, \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M}) = 0.$
- (2) $\dim_k H^2(\mathbb{P}^2, \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M}) = p(p-1)/2 \quad \text{if } m \geq p-1.$

Proof of Claim. By Remark 1.5.1, there are the following exact sequences on \mathbb{P}^2 :

$$\begin{array}{ccccccc} & & \mathcal{M} & & & & \\ & & \parallel & & & & \\ 0 & \longrightarrow & \mathcal{F}_0 \otimes \mathcal{M} & \longrightarrow & \mathcal{F}_1 \otimes \mathcal{M} & \longrightarrow & \mathcal{C}_{\mathbb{P}^2}(m(p-2) - p - 1) \longrightarrow 0 \\ & & \vdots & & \vdots & & \vdots \\ 0 & \longrightarrow & \mathcal{F}_{p-2} \otimes \mathcal{M} & \longrightarrow & \mathcal{F}_{p-1} \otimes \mathcal{M} & \longrightarrow & \mathcal{C}_{\mathbb{P}^2}(-p-1) \longrightarrow 0. \\ & & & & \parallel & & \\ & & & & \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M} & & \end{array}$$

By taking the cohomology groups, we have $\dim_k H^1(\mathbb{P}^2, \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M}) = 0.$ Moreover, $\dim_k H^2(\mathbb{P}^2, \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M}) = \dim_k H^2(\mathbb{P}^2, \mathcal{C}_{\mathbb{P}^2}(-p-1)) = p(p-1)/2$ for $m \geq p-1.$ Q.E.D.

STEP III. We consider the exact sequence

$$0 \rightarrow \psi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M} \rightarrow \pi_* \mathcal{C}_{\bar{X}} \otimes \mathcal{M} \rightarrow \mathcal{H} \otimes \mathcal{M} \rightarrow 0. \tag{**}$$

Since

$$\begin{aligned} \mathcal{H} \otimes \mathcal{M} &= \mathcal{C}_B(m(p-3) - p) \oplus \mathcal{C}_B(m(p-4) - p) \oplus \dots \oplus \mathcal{C}_B(-p) \\ &\quad \oplus \mathcal{C}_B(m(p-4) - p + 1) \oplus \dots \oplus \mathcal{C}_B(-p + 1) \\ &\quad \quad \quad \vdots \\ &\quad \quad \quad \oplus \mathcal{C}_B(-3), \end{aligned}$$

we have $\dim H^1(B, \mathcal{H} \otimes \mathcal{M}) = \dim H^1(B, \mathcal{C}_B(-p)) + \dots + \dim H^1(B, \mathcal{C}_B(-3))$

$= p(p-1)/2 - 1$ if $m \geq p-1$. By taking the cohomology exact sequence associated with (**), we have an exact sequence

$$\begin{aligned} H^1(\mathbb{P}^2, \psi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) &\rightarrow H^1(\mathbb{P}^2, \pi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) \rightarrow H^1(B, \mathcal{H} \otimes \mathcal{M}) \\ &\rightarrow H^2(\mathbb{P}^2, \psi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) \rightarrow H^2(\mathbb{P}^2, \pi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) \rightarrow 0. \end{aligned}$$

We already know that $\dim H^2(\mathbb{P}^2, \pi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) = 1$, $H^1(\mathbb{P}^2, \psi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) = 0$, and $\dim H^2(\mathbb{P}^2, \psi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) = p(p-1)/2$ if $m \geq p-1$. Hence it follows that $\dim H^1(\mathbb{P}^2, \pi_* \mathcal{O}_{\tilde{X}} \otimes \mathcal{M}) = 0$ if $m \geq p-1$. The proof of our theorem is now completed.

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