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COMPLETE INTERSECTIONS IN P² THROUGH SEPARATING SEQUENCES

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ABSTRACT. In this paper we characterize the finite sets of points in \mathbf{P}^2 , arising as a complete intersection of two curves, by means of their realizable sequences. Actually, we show that a reduced 0-dimensional scheme in \mathbf{P}^2 is a complete intersection of type (a,b) iff all its realizable sequences can be obtained by means of direct transpositions from a special one M_{ab} .

0. Introduction

We are considering a very old problem, going back to mathematicians as Euler, Cramer, Bezout, Maclaurin and Cayley: the characterization of a finite set of points in \mathbf{P}^2 which is the complete intersection of two curves. More recently, Griffith and Harris [1] suggested the idea of using the "Cayley-Bacharach property", generalizing the "nine points theorem" for the intersection of two cubics. Such a suggestion was largely followed: Davis, Geramita, Maroscia, Orecchia, Sauer are mathematicians who contributed to the complete solution of the problem for a 0-dimensional scheme in \mathbf{P}^2 , extending also the investigation to more general situations ([2],[3],[4],[5]).

In this paper we characterize the finite sets of points in \mathbf{P}^2 , arising as a complete intersection of two curves, by means of their realizable sequences([6], [7]). More precisely, we show that a reduced 0-dimensional scheme in \mathbf{P}^2 is a complete intersection (briefly c.i.) of type $(a,b), a \leq b$, iff all its realizable sequences can be obtained by means of direct transpositions (see §1, $\mathbf{1}.\mathbf{B}_3$) from a special one M_{ab} ; the sequence M_{ab} is realized just by the intersection of a curve C of degree b with a curve C' split into a lines. As a consequence, we find again the well known description of a c.i. given by its Castelnuovo function structure and the Cayley-Bacharach condition; it is also immediate to restate the Cayley-Bacharach theorem for the colength 1 subschemes of a c.i. ([8],[4],[1],[2]).

Our first definition of a realizable sequence is given and studied in [6] and [7] only for a reduced scheme X; so, this paper deals with that special situation. However, the definition of a realizable sequence can be extended to any, non necessarily reduced, 0-dimensional scheme (see [9]); in a next paper, we will investigate more deeply some properties that still hold in the non reduced case; as a consequence, we will prove that our characterization of a c.i. in \mathbf{P}^2 is still valid also in the non reduced case.

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1. Recalls and Notation

A The Hilbert function.

Let us recall some general definitions and results, that will be applied to the special case of 0-dimensional schemes in \mathbf{P}^2 .

- **1.A**₁ To any projective scheme \mathbf{X} in $\mathbf{P}^r = \mathbf{P}^r_k$ (k algebraically closed) we associate a saturated homogeneous ideal $I = \bigoplus_{i \in \mathbf{N}} I_t$ of $R = k[X_0, ..., X_r]$ and a coordinate ring A = R/I, of Krull dimension $dim\mathbf{X} + 1$.
- **1.A**₂ The Hilbert function $H_{\mathbf{X}}(\cdot)$ of \mathbf{X} is the Hilbert function of its standard graded algebra $A = R/I = \bigoplus_{i \geq 0} A_i$, that is the function $H(A, \cdot) : \mathbf{N} \longrightarrow \mathbf{N}$ defined as follows: $H(A, i) = dim_k A_i$.

When $dim \mathbf{X} = 0$, it is interesting to consider the first difference of $H_{\mathbf{X}}$, that is the function $\Gamma_{\mathbf{X}}(\cdot) = \Gamma(A, \cdot) : \mathbf{N} \longrightarrow \mathbf{N}$, defined as $\Gamma(A, i) = H(A, i) - H(A, i - 1), i > 0$, $\Gamma(A, 0) = 1$. $\Gamma_{\mathbf{X}}$ is called "Castelnuovo function "of \mathbf{X} ([2], §2) and it is zero for t >> 0. In this situation the degree of \mathbf{X} is, by definition, $e(\mathbf{X}) = e(A) = \Sigma_i \Gamma(A, i)$; $e(\mathbf{X})$ coincides with $H_{\mathbf{X}}(t), t >> 0$ ([3], §0).

1.A₃ The functions $f: \mathbb{N} \longrightarrow \mathbb{N}$ that arise as the Castelnuovo function of a projective scheme are described by Macaulay's theorem ([10]). In the special case of a 0-dimensional projective scheme in \mathbb{P}^2 , such a theorem says what follows ([2],§2).

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Let: \alpha = \alpha(\mathbf{X}) = \alpha(A) = \min\{t : I_t \neq (0)\},\ \beta = \beta(\mathbf{X}) = \beta(A) = \min\{t : \text{the elements of } I_t \text{ do not have a common factor}\},\ \tau = \tau(\mathbf{X}) = \tau(A) = \max\{t : \Gamma_{\mathbf{X}}(t) \neq 0\}. Then: \Gamma_{\mathbf{X}}(t) \geq 0, \ \Gamma_{\mathbf{X}}(t) \neq 0 \Leftrightarrow 0 \leq t \leq \tau For t \geq 0 : \Gamma_{\mathbf{X}}(t) \leq t+1 and \Gamma_{X}(t) = t+1 iff t \leq \alpha-1 For t \geq \alpha : \Gamma_{\mathbf{X}}(t) \leq \Gamma_{\mathbf{X}}(t-1) For \tau+1 \geq t \geq \beta : \Gamma_{\mathbf{X}}(t) < \Gamma_{\mathbf{X}}(t-1).
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1.A₄ If a scheme **X** of points in \mathbf{P}^2 is a complete intersection of two curves of degrees a and b, $a \leq b$, that is a c.i of type (a,b) (briefly: CI(a,b)), then its Castelnuovo function has a well described shape. More precisely, if we denote such a function as $\Gamma(a,b;\cdot)$, then:

$$\Gamma(a,b;t) = \begin{cases} t+1, & 0 \le t \le a-1 \\ a, & a-1 \le t \le b-1 \\ a+b-t-1, & b-1 \le t \le a+b-1 \\ 0, & t \ge a+b-1 \end{cases}$$

It is well known that the Castelnuovo function $\Gamma(a, b; \cdot)$ is not sufficient to characterize a complete intersection X. The further condition to be added is the Cayley -Bacharah condition, which says that all the points of X must have the same degree of separation, or, in other words, that all the realizable sequences of X must end with the same number; this

number is necessarily a+b-2, as every scheme realizes the non decreasing sequence C_{Γ} (see [6], Def.2.4 and Prop.2.3), which ends with a+b-2.

B Separating sequences.

The following definitions and results can be found in [6], [7],[9]; we recall them here, for reader's convenience.

1.B₁ A hypersurface of \mathbf{P}^r separates a point P from a set of points $\{P_1, ..., P_h\}$ iff it contains $\{P_1, ..., P_h\}$, but does not contain P.

Let \mathbf{X} be a reduced projective scheme supported at $\{P_1,...,P_n\}$. To any ordering $(P_1,...,P_n)$ of the points of \mathbf{X} we associate a sequence of natural numbers $S=S_{P_1,...,P_n}=(s_1,...,s_n)$, where $s_1=0$ and $s_k,k>1$, is the least degree of a hypersurface separating P_k from $P_1,...,P_{k-1}$. The number s_k is the degree of separation of P_k with respect to $P_1,...,P_{k-1}$. We say that \mathbf{X} realizes S or that S is \mathbf{X} -realizable. More generally, a sequence S is called realizable iff there exists a scheme \mathbf{X} realizing it.

1.B₂ To any sequence of natural numbers $S = (s_1, ..., s_n)$ let us associate a function $\gamma_S : \mathbf{N} \longrightarrow \mathbf{N}$ defined as follows: $\gamma_S(t) = card \ \{i : s_i = t\}$, where $card \ J$ denotes the cardinality of the set J.

<u>Theorem</u> (see [6],Cor.1.4) If **X** is any reduced 0-dimensional projective scheme and S is a sequence realized by **X**, then $\gamma_S(\cdot) = \Gamma_{\mathbf{X}}(\cdot)$.

Notation-Definition 1. Let S be a sequence realized by \mathbf{X} . In this situation, $\gamma_S(\cdot) = \Gamma_{\mathbf{X}}(\cdot)$ will be denoted also $\Gamma(S, \cdot)$ and called "the Castelnuovo function of S".

1.B₃ A permutation of a sequence $(s_1, ..., s_n)$ of natural numbers, obtained by interchanging two elements s_i, s_{i+1} , will be called a <u>direct transposition</u> (briefly d.t.) if $s_{i+1} < s_i$.

Let us recall the following statement (see [6], Cor.2.2):

<u>Proposition</u> If $S_1 = (s_1, ..., s_i, s_{i+1}, ..., s_n)$ is realizable and $s_i > s_{i+1}$, then also $S_2 = (s_1, ..., s_{i+1}, s_i, ..., s_n)$ is realizable and it is **X**-realizable, for every **X** realizing S_1 .

- **1.B**₄ In this paper we will simply call "segment" any "1-segment" (see [7], \S 2), that is any finite increasing sequence of consecutive natural numbers.
- **1.B**₅ We denote \widetilde{S}_{Γ} the set of all sequences realized by a scheme **X** varying among all schemes with Castelnuovo function Γ ; let $M_{\Gamma} = \sup \widetilde{S}_{\Gamma}$, where the maximum is computed with respect to the lexicographic order arising from the natural ordering of **N**. M_{Γ} turns out to be a sequence of α segments, $\alpha = \inf\{t : \Gamma(t) \neq t+1\}$. More precisely:

where $n_{i+1} \leq n_i$, $i = 0, ..., \alpha - 2$.

In particular, the description of the Castelnuovo function $\Gamma(a,b;\cdot)$ of a c.i. recalled in $1.\mathbf{A}_4$ is equivalent to say that $M_{\Gamma(a,b;\cdot)}$ has the following shape:

We recall the following:

<u>Theorem</u> (see [7],Cor.6.3,Th.7.3) M_{Γ} is a realizable sequence. Every realizable sequence S with Castelnuovo function Γ can be obtained from M_{Γ} with a finite number of direct transpositions.

2. Realizable sequences characterizing a CI(a, b).

Our aim is to characterize a 0-dimensional reduced scheme, which is a c.i in \mathbf{P}^2 , by means of its set of realizable sequences. More precisely, we prove the following

Theorem 1. A reduced 0-dimensional scheme \mathbf{X} of $\mathbf{P}^2 = \mathbf{P}_k^2$, k algebraically closed, is a CI(a,b) iff every realizable sequence S of \mathbf{X} can be obtained, by d.t., from the sequence

$$\begin{split} M_{ab} = \begin{pmatrix} 0, & 1, & 2, & \dots, & \dots, & (b-1), \\ & 1, & 2, & \dots, & \dots, & (b-1), & b, \\ & \dots & \dots & \dots & \dots & \dots \\ & & & (a-1), & \dots, & (b-1), & \dots, & (a+b-2) \end{pmatrix}. \end{split}$$

Remark 1. M_{ab} is a sequence of segments, each of which contains b elements; it is easy to check that it can be obtained from $M_{\Gamma(a,b)}$ by d.t.. So, if S arises from M_{ab} by d.t., then it comes by d.t. also from $M_{\Gamma(a,b)}$ (see $\mathbf{1.B}_5$).

Notation-Definition 2. If **Y** is any 0-dimensional reduced scheme in \mathbf{P}^2 , and $P \in \mathbf{Y}$, let us denote $d_{\mathbf{Y}}(P)$ the degree of separation of P with respect to $\mathbf{Y} - \{P\}$, that is the least degree of a curve containing $\mathbf{Y} - \{P\}$ and not containing P.

Remark 2. If **X** is a c.i. of type (a,b), the Cayley-Bacharach condition says that $d_{\mathbf{X}}(P) = a + b - 2$, for every point $P \in \mathbf{X}$. Theorem 1 gives information on the possible degrees of separation of a point of **X** with respect to any subscheme not containing it.

In the sequel we denote f_d , g_d , ... a homogeneous polynomial of degree d. We need the following preliminary result (see also [2],Th.3.1):

Proposition 1. I is the homogeneous ideal of a c.i of type (a,b) iff the following conditions are satisfied:

- $i) \Gamma(R/I, \cdot) = \Gamma(a, b; \cdot)$
- ii) For every $h_t, t < a$, the ideal $J = (h_t, I)$ satisfies the condition: $e(R/J) \le tb$.

<u>Proof</u> Let us suppose $I=(f_a,g_b)$ to be the ideal of a c.i. Then condition i) is clearly satisfied $(1.A_4)$. Moreover, the regularity of the sequence (f_a,g_b) implies: $depthJ \geq 2$; so also the sequence (h_t,g_b) is regular; this implies $e(R/(h_t,g_b))=tb$ and the inclusion $(h_t,g_b)\subseteq J$ gives $e(J)\leq tb$.

Viceversa, let us suppose i) and ii) verified. We first recall that condition i) implies I to have two generators f_a and g_b and all the other generators (if they exist) to be of degree greater than b. So, I is a c.i iff f_a, g_b is a regular sequence: in fact, if such a sequence is regular, its Γ 's structure says that there are no more generators in degree greater than b ([11]). Let us suppose $G.C.D(f_a, g_b) = h_{\bar{t}}, \ 0 < \bar{t} < a$, and prove that $J = (h_{\bar{t}}, I)$ satisfies the relation $e(R/J) > \bar{t}b$, against ii). To this aim, let us denote c the minimal degree in which a third generator of I appears; then c is a degree of maximal growth, so that we can apply the "splitting theorem" 3.1 of [12]. We get that $\Gamma(R/J, \cdot)$ is the truncation of $\Gamma(R/I, \cdot)$ at level $\bar{t} = \Gamma(R/I, c-1), c = a + b - \bar{t}$, that is:

$$\Gamma(R/J, u) = \begin{cases} u+1, & u \le \overline{t} - 1\\ \overline{t}, & \overline{t} \le u \le a+b-\overline{t} - 1\\ \Gamma(I, u), & u \ge a+b-\overline{t} \end{cases}.$$

As a consequence, for u>>0, $H(R/J,u)=(a+b-\bar{t})\bar{t}=e(R/J)>\bar{t}b$.

Now we are ready to prove the first part of Theorem 1.

Theorem 2. Let X be a 0-dimensional reduced scheme in \mathbf{P}^2 such that all its realizable sequences can be obtained from M_{ab} by a finite number of d.t.. Then X is a CI(a,b).

<u>Proof</u> It is enough to prove that, if I is the homogeneous ideal of X, then it satisfies condition ii) of Proposition 1, as the equality $\Gamma(M_{ab}, \cdot) = \Gamma(a, b; \cdot)$ guaranties condition i). Let us suppose that condition ii) is not satisfied, so that there exists a form h_t , t < a, such that $e(R/J) = e(R/J^{sat}) = m > tb$, with $J = (h_t, I)$. As I and, as a consequence J^{sat} , are ideals of reduced schemes, this hypothesis means that there are just m distinct

points $P_1,...,P_m$ of ${\bf X}$ lying on a curve of degree t. So any ordering of ${\bf X}$ starting with $P_1,...,P_m$, gives rise to a realizable sequence $S=(s_1,...,s_m,u,...)$, where $u\leq t$, as any other point of ${\bf X}$ is separated from $P_1,...,P_m$ by a curve of degree $\leq t$. Now, it is enough to observe that such a sequence cannot be obtained by d.t. from M_{ab} , because in M_{ab} the number of the elements appearing before the last u,u< a is ub and a sequence of d.t. cannot increase such a number.

To prove the other implication of Theorem 1, we need some preliminary considerations.

It is immediate to prove the following:

Proposition 2. Let $S = (s_1, ..., s_n)$ be a sequence of natural numbers.

- i) If $s_i < s_{i+h}$, no product of d.t. can shift s_i after s_{i+h} .
- ii) If $s_i \geq s_{i+h}$, there exists a product of d.t. shifting s_i after s_{i+h} .
- iii) There exists a product of d.t. taking s_i to the last place in the sequence iff: $k > i \Rightarrow s_k \leq s_i$.

Definition 1. The sequence $S_h = (s_1, ..., s_h)$ will be called "truncation of $S = (s_1, ..., s_n)$ at s_h "; it may be useful to set $S = S_n$.

Let us remark that $\Gamma(S_h, t)$ is the number of occurrences of t in S before s_{h+1} . We will denote Σ_n the group of all permutations on $\{1, ..., n\}$.

Let $M=(m_1,...,m_n)$ and $S=(s_1,...,s_n)$ be sequences with the same function Γ . To the couple (S,M) we can associate all the elements $\psi \in \Sigma_n$ satisfying the condition

$$m_{\psi(h)} = s_h, h = 1, ..., n.$$

Each ψ determines a bijection $\Psi: S \longrightarrow M$, defined by $\Psi(s_h) = m_{\psi(h)}, \ h = 1, ..., n$. We point our attention on a special ψ , uniquely associated to (S, M), as follows.

Definition 2. Let us denote ϕ_{SM} (or, briefly, ϕ) the element of Σ_n satisfying the following conditions:

$$m_{\phi(h)} = s_h, \qquad \Gamma(M_{\phi(h)}, m_{\phi(h)}) = \Gamma(S_h, s_h).$$

In other words, if $u = s_h$ is the r-th u appearing in S, then $m_{\phi(h)}$ is the r-th u appearing in M.

We will denote $\Phi_{SM}: S \longrightarrow M$ (or, briefly, Φ) the bijection: $\Phi(s_h) = m_{\phi(h)}$.

Remark 3. It is easy to check that:

- a) $\Phi_{SM} \circ \Phi_{S'S} = \Phi_{S'M}$, for every S, S' such that $\Gamma(S, \cdot) = \Gamma(S', \cdot) = \Gamma(M, \cdot)$.
- b) If $\psi_{i,i+1}$ is a cycle, of order two, exchanging i and i+1 and $s_i \neq s_{i+1}$, the corresponding $\Psi_{i,i+1}$, acting on S, is a Φ , that we will denote $\Phi_{i,i+1}$.

Proposition 3. The following facts are equivalent:

- i) Φ^{-1} is a product of d.t.
- ii) S can be obtained from M by d.t.

<u>Proof</u> $i) \Rightarrow ii)$ Obvious, as Φ^{-1} sends M to S.

 $ii) \Rightarrow i)$ Let $\Theta = \prod_{h=1}^r \Theta_{i,i+1}^{(h)}$ be the product of d.t. sending M to S. Then $\Theta^{-1} = \prod_{h=r}^1 (\Theta_{i,i+1}^{(h)})^{-1}$, where, according to Remark b) to Definition 2, $(\Theta_{i,i+1}^h)^{-1} = \Phi_{i,i+1}$. As a consequence, thanks to a) of the same Remark, Θ^{-1} is a Φ .

Proposition 4. The following facts are equivalent:

- i) $\forall h, S_h$ can be obtained from $\Phi(S_h)$ by d.t..
- ii) S can be obtained from M by d.t..

<u>Proof</u> $i) \Rightarrow ii)$ Obvious, as $S = S_n$.

 $\overline{ii)} \Rightarrow i)$ According to Proposition 3, Φ^{-1} is a product of d.t.; to prove that so is its restriction to S_h , it is enough to verify that $(\Phi/S_{n-1})^{-1}$ is a product of d.t. and then use induction. Let us consider the decomposition $\Phi = \prod \Phi_{i,i+1}$, where $\Phi_{i,i+1}^{-1}$ is a d.t. from M to S. It is enough to observe that the restriction of Φ to S_{n-1} can be obtained from that product by deleting all the elements acting non trivially on s_n .

Now we enter the heart of the problem with the following

Proposition 5. The following facts are equivalent:

- i) S can be obtained from M by d.t..
- *ii*) $h \in \{1, ..., n\}, t > \phi(h), m_t \in \Phi(S_h) \Rightarrow m_t < m_{\phi(h)}.$

In other words, all the elements of $\Phi(S_h)$, following $\Phi(s_h) = m_{\phi(h)}$ in M, must be strictly less than s_h .

$$iii) \ h \in \{1,...,n\}, u > s_h \Rightarrow \Gamma(S_{h-1},u) = \Gamma(S_h,u) \leq \Gamma(M_{\phi(h)},u).$$

<u>Proof</u> $i) \Rightarrow ii)$ Proposition 4 says that S_h can be obtained from $\Phi(S_h)$ by d.t.; as a consequence, Proposition 2 iii) states that $\Phi(s_h)$ must be followed, in $\Phi(S_h)$, by elements less than it.

 $ii) \Rightarrow i$) Let us prove that S_h can be obtained by d.t. from $\Phi(S_h)$, for every h: the value h=n will give the statement. We use induction on h. The case h=1 gives $S_1=\Phi(S_1)$, so that there is nothing to prove. Let us suppose the statement true for h-1 and prove it for h. It is enough to prove that $\Phi(s_h)$ can be brought to the last place by d.t. and this is true, thank to Proposition 2 iii).

To prove the equivalence between ii) and iii), we have better to rewrite condition ii) in the following equivalent form:

$$ii'$$
) $h \in \{1, ..., n\}, u > s_h \Rightarrow \Gamma(S_h, u) = \Gamma(\Phi(S_h)_{m_{\phi(h)}}, u),$

where we define: $\Phi(S_h)_{m_{\phi(h)}} = M_{\phi(h)} \cap \Phi(S_h)$. $ii' \Rightarrow iii$ It is enough to use the obvious relation: $\Gamma(\Phi(S_h)_{m_{\phi(h)}}, u) \leq \Gamma(M_{\phi(h)}, u)$.

 $iii) \Rightarrow ii)$ For any $h \in \{1, ..., n\}$ and $u > s_h$, we must prove the following implication:

$$\Gamma(S_h, u) \leq \Gamma(M_{\phi(h)}, u) \Rightarrow \Gamma(S_h, u) = \Gamma(\Phi(S_h)_{m_{\phi(h)}}, u).$$

Without any hypothesis on u, we have:

$$\Gamma(S_h, u) = \Gamma(\Phi(S_h), u) \ge \Gamma(\Phi(S_h)_{m_{\phi(h)}}, u),$$

so that the equality to be proved can be substituted by the inequality

$$\Gamma(S_h, u) \leq \Gamma(\Phi(S_h)_{m_{\phi(h)}}, u).$$

If such a relation is not true, there exists $u = s_t$, t < h, such that $\phi(t) > \phi(h)$. The definition of ϕ holds: $\Gamma(M_{\phi(t)}, u) = \Gamma(S_t, u)$.

On the other hand, we have:

$$\Gamma(M_{\phi(h)}, u) < \Gamma(M_{\phi(t)}, u),$$

$$\Gamma(S_t, u) \leq \Gamma(S_h, u).$$

Hence we get: $\Gamma(M_{\phi(h)}, u) < \Gamma(S_h, u)$, a contradiction.

Now let us point our attention on the case $M=M_{ab}$. In this situation, Proposition 5 iii) gives rise to the following

Proposition 6. A realizable S can be obtained from M_{ab} by d.t. iff, for every h = 1, ..., n, the following relations hold:

i)
$$u > s_h \ge b - 1$$
, $\Gamma(S_{h-1}, u) \ne 0 \Rightarrow \Gamma(S_{h-1}, u) < \Gamma(S_{h-1}, u - 1)$

$$ii) \ s_h < b-1, \ 0 \le \tau \le \Gamma(S_{h-1}, s_h) \Rightarrow \Gamma(S_{h-1}, b-1+\tau) \le \Gamma(S_{h-1}, s_h) - \tau.$$

<u>Proof</u> Let us write condition iii) of Proposition 5 in the hypothesis $M = M_{ab}$. If $s_h \ge b - 1$, $0 < t \le \Gamma(S_{h-1}, s_h)$, we have:

(1)
$$\Gamma(M_{\phi(h)},s_h+t)=\Gamma(M_{\phi(h)},s_h)-t-1=\Gamma(S_{h-1},s_h)-t,$$
 so that condition iii) of s:

(2)
$$\Gamma(S_{h-1}, s_h + t) \le \Gamma(S_{h-1}, s_h) - t, \ s_h \ge b - 1, \ 0 < t \le \Gamma(S_{h-1}, s_h).$$

If $s_h < b-1$, there are two different situations, according to the value at which we compute $\Gamma(M_{\phi(h-1)},\cdot)$:

(3)
$$\Gamma(M_{\phi(h)}, s_h + t) = \Gamma(M_{\phi(h)}, s_h) - 1 = \Gamma(S_{h-1}, s_h), \text{ if } s_h + t \le b - 1;$$

if $s_h + t \ge b - 1$, let us set $s_h + t = b - 1 + \tau, \ \tau \le \Gamma(S_{h-1}, s_h),$ so getting

(4)
$$\Gamma(M_{\phi(h)},b-1+\tau) = \Gamma(M_{\phi(h)},b-1)-\tau-1 = \Gamma(M_{\phi(h-1)},s_h)-\tau = \Gamma(S_{h-1},s_h)-\tau.$$
 Condition (3) allows to translate iii) of Proposition 5 into:

(5)
$$\Gamma(S_{h-1}, s_h + t) \le \Gamma(S_{h-1}, s_h), \ s_h + t \le b - 1$$

Condition (5) is always verified, because every scheme realizing S_{h-1} is contained in a curve of degree s_h , so that $\alpha(S_h) \leq s_h$ and that implies $\Gamma(S_h, \cdot)$ not increasing, from s_h ahead.

Analogously, (4) allows us to translate *iii*) into:

(6) $\Gamma(S_{h-1}, b-1+\tau) \le \Gamma(S_{h-1}, s_h) - \tau, \ 0 \le \tau \le \Gamma(S_{h-1}, s_h), \ s_h < b-1,$

which is condition (ii) of the statement.

So, we just have to prove that (2) is equivalent to (i).

 $(2) \Rightarrow i)$ If we choose t = 1, (2) becomes:

(7)
$$\Gamma(S_{h-1}, s_h + 1) \le \Gamma(S_{h-1}, s_h) - 1, \text{ if } \Gamma(S_{h-1}, s_h) \ge 1,$$

which is condition i) when we chose $u = s_h + 1$, for any h.

Now let us suppose the existence of \bar{h} and \bar{u} such that i) fails and get a contradiction. As $\bar{u} > b - 1 \ge a - 1 \ge \alpha(S_h) - 1$, if i) is not true we must have the equality:

(8)
$$\Gamma(S_{\bar{h}-1}, \bar{u}) = \Gamma(S_{\bar{h}-1}, \bar{u}-1) \neq 0.$$

However, $\bar{u}>b-1$ implies $\Gamma(S,\bar{u})<\Gamma(S,\bar{u}-1)$, so that there is at least an element $\bar{u}-1$ appearing in the sequence S after $s_{\bar{h}}$; let $s_{\bar{h}+w}=\bar{u}-1$ be the first \bar{u} following $s_{\bar{h}}$. Clearly no \bar{u} can appear in the sequence S with index between \bar{h} and $\bar{h}+w$, because, otherwise, we should have: $\Gamma(S_{\bar{h}+w},\bar{u})>\Gamma(S_{\bar{h}+w},\bar{u}-1)$. So, (8) implies: $\Gamma(S_{\bar{h}+w-1},\bar{u})=\Gamma(S_{\bar{h}+w-1},\bar{u}-1)$, contrary to (7), with h replaced by $\bar{h}+w$ and $\bar{u}-1=s_{\bar{h}+w}$.

 $i) \Rightarrow 2$) It is enough to write i) with $u = s_h + 1, ..., s_h + t$ and add each side of the inequality.

Now, we are ready to prove the remaining implication of Theorem 2.1, that is:

Theorem 3. Any sequence S, realized by a c.i. scheme of type (a,b), can be obtained from M_{ab} by d.t..

<u>Proof</u> Let us prove that a sequence S not verifying the conditions of Proposition 6 cannot be realized by a c.i.scheme. First of all we prove that, if the conditions of Proposition 6 are not satisfied by S, there exists a couple of integers (\bar{h}, \bar{u}) , $\bar{u} > \sup{(s_{\bar{h}}, b-1)}$, such that

(9)
$$\Gamma(S_{\bar{h}-1}, \bar{u}) = \Gamma(S_{\bar{h}-1}, \bar{u}-1) \neq 0.$$

In fact,let $(s_{\bar{h}}, \bar{u})$ be a couple not satisfying Proposition 6. There are two possibilities. If $s_{\bar{h}} \geq b-1$, the relation $\bar{u} \geq \alpha(S_{\bar{h}-1})-1$ implies that $\Gamma(S_{\bar{h}-1},\cdot)$ cannot be strictly increasing from \bar{u} to $\bar{u}+1$, so that equality (9) holds.

If $s_{\bar{h}} < b-1$, set $\bar{u} = b-1+\bar{t}$, where \bar{t} is the first τ for which ii) fails. Then the inequalities :

$$\Gamma(S_{\bar{h}-1},(b-1)+(\bar{t}-1)) \leq \Gamma(S_{\bar{h}-1},s_{\bar{h}})-\bar{t}+1, \qquad \Gamma(S_{\bar{h}-1},b-1+\bar{t}) > \Gamma(S_{\bar{h}},s_{\bar{h}-1})-\bar{t}$$
 imply $\Gamma(S_{\bar{h}-1}+(b-1)+(\bar{t}-1)) \leq \Gamma(S_{\bar{h}-1},b-1+\bar{t}).$ As the other inequality always holds, we have: $\Gamma(S_{\bar{h}-1},b-1+\bar{t}) = \Gamma(S_{\bar{h}-1},(b-1)+(\bar{t}-1)).$

So (9) is proved and we just observe that a sequence with a truncation $S_{\bar{h}-1}$ for which (9) holds cannot be realized by a c.i.. In fact for a subscheme Y of a c.i. of type (a,b) we cannot have $\Gamma(Y,t) = \Gamma(Y,t+1), t \geq b$ ([13]).

We can easily characterize the CI(a, b)-schemes realizing M_{ab} .

Proposition 7. A reduced scheme \mathbf{X} is the c.i. of a curve C_b with a curve C_a , splitting into a distinct lines, iff \mathbf{X} realizes exactly M_{ab} and the sequences obtained from M_{ab} by d.t..

Proof Let us suppose the sequences realized by X to be M_{ab} and the ones obtained from it by d.t.. We prove the statement by induction on a. If a = 1, we just have b points on a line and $M_{1b} = M_{\Gamma_{\mathbf{x}}} = (0,...,b-1)$. So, let us suppose the statement true until a-1 and prove it for a. The subsequence $M_{(a-1)b} \subset M_{ab}$ is realized by a subscheme Y of X. The hypothesis that all the realizable sequences of X arise from M_{ab} by d.t. implies the analogous property for the couple $(\mathbf{Y}, M_{(a-1)b})$. In fact, every sequence S' realized by Y can be considered as a truncation of a sequence realized by Xand $\Phi(S) = M_{ab}$, $\Phi(S') = M_{(a-1)b}$; now we can apply Proposition 4. Using induction, we conclude that **Y** is the c.i. of a curve C_b' with a $C_{a-1}' = L_1 \cup ... \cup L_{a-1}$, split into a-1lines. As C'_b is defined uniquely, apart from a multiple of C'_{a-1} , and any curve containing **X** contains also **Y**, we can choose $C'_b = C_b$. Now we prove that $\mathbf{X} - \mathbf{Y} = \{P_1, ..., P_b\}$ lies on a line. To this aim, let us first observe that the separating degrees of $P_1, ..., P_b$ are respectively a-1, a, ..., a+b-2; the first point $P_j, j>2$, not on the line $L=(P_1, P_2)$, could be separated from the previous ones by $C'_{a-1} \cup L$, so that its degree of separation should be a < a + j - 2, a contradiction.

Viceversa, let us suppose $\mathbf{X}=(L_1\cup\ldots\cup L_a)\cap C_b$. Thanks to Theorem 1, it is enough to prove that \mathbf{X} realizes M_{ab} . We use induction on a. If a=1, the statement is obvious. So, let us suppose $\mathbf{X}=\mathbf{Y}\cup(L_a\cap C_b)$, where $\mathbf{Y}=(L_1\cup\ldots\cup L_{a-1})\cap C_b$ realizes $M_{(a-1)b}$. If $L_a\cap C_b=(P_1,\ldots,P_b)$, then P_i is separated from the previous points of \mathbf{X} by a curve $C_{a-1}\cup C_{i-1}$, so that its degree of separation is $\leq a+i-2$; as the set of numbers corresponding to $\{P_1,\ldots,P_b\}$ is exactly $\{(a-1),a,\ldots,(a+b-2)\}$, we get that P_i is associated to a+i-2.

3. Some Applications

Our proof of Theorem 3 lies on a rewriting of condition iii) in Proposition 5, when $M=M_{ab}$. It turns out to be of interest also to see what condition ii) becomes in the case $M=M_{ab}$. To this aim, let us prove the following

Proposition 8. If $M = M_{ab}$, condition ii) in Proposition 5 is equivalent to the following description of $\Phi(S_h)$, h = 1, ..., n, n = ab (see Definition 2):

1) $\Phi(S_h) = (\Sigma_0^h, \Sigma_1^h, ..., \Sigma_{a-1}^h)$, where $\Sigma_j^h = (j, j+1, ..., \sigma_j^h)$ is a (possibly empty) truncation of the j-th segment Σ_j appearing in M_{ab} .

2) Let us denote j_k the first j_u for which $\Sigma_{j_u}^h \neq \Sigma_{j_u}$. Then $j \geq j_k$ implies $\sigma_j^h \geq \sigma_{j+1}^h$.

<u>Proof</u> Let us suppose condition ii) of Proposition 5 verified and prove 1) and 2) for h decreasing from n to 1.

If h = n, we have $S_n = S, \Phi(S_n) = M_{ab}$ and 1) and 2) are trivially verified.

Now let us suppose 1) and 2) verified for h=k+1 and prove them for h=k. As condition ii) is supposed true, in particular, for $\Phi(s_{k+1})=m_{\phi(k+1)}\in\Phi(S_{k+1})$, we have necessarily:

(10)
$$\Phi(s_{k+1}) = \sigma_j^{k+1},$$

where $\sigma_j^{k+1} > \sigma_{j+1}^{k+1}$, for some j=1,...,n. As a consequence, 1) and 2) are verified also for $\Phi(S_k)$, obtained from $\Phi(S_{k+1})$ by deleting $\Phi(s_{k+1})$.

Now, let us suppose 1) and 2) true and prove ii). Let us consider $S_k \subset S_{k+1}$ and their images $\Phi(S_k) \subset \Phi(S_{k+1})$. As both $\Phi(S_k)$ and $\Phi(S_{k+1})$ satisfy 1) and 2), $\Phi(s_{k+1})$ must be the last element of a segment of $\Phi(S_{k+1})$, and the required inequality $\sigma_j^{k+1} \geq \sigma_{j+1}^{k+1}$ must be strict; in fact, the equality $\sigma_j^{k+1} = \sigma_{j+1}^{k+1}$ would imply that condition 2) fails for $\Phi(S_k)$. So, condition (10) is verified and, as a consequence, all the elements following $\Phi(s_k)$ in $\Phi(S_{k+1})$ are less than it.

As a consequence of Theorem 1 and Proposition 8, we can enrich a well known characterization of the 0-dimensional schemes in \mathbf{P}^2 , with Castelnuovo function $\Gamma(a,b)$, which are c.i..

Theorem 4. ([8],[4],[14]) Let **X** be a zero dimensional reduced scheme in \mathbf{P}^2 , with $\Gamma(\cdot) = \Gamma(a,b;\cdot)$. The following facts are equivalent:

- *i*) **X** *is a c.i..*
- ii) Every realizable sequence of X ends with a + b 2.
- iii) Every realizable sequence of **X** arises from M_{ab} by d.t..

<u>Proof</u> Theorem 1 states the equivalence between i) and iii). The implication iii) $\Rightarrow ii$) is obvious, as a+b-2 is the last and the greatest element of M_{ab} . So, we just need to prove ii) $\Rightarrow iii$). To this aim, let us suppose that \mathbf{X} realizes a sequence S which cannot arise by d.t. from M_{ab} ; we will produce a sequence S', realized by \mathbf{X} , ending with a number strictly less than a+b-2.

Our hypothesis on S says that there exists an integer k such that the conditions of Proposition 8 are satisfied for h=n,n-1,...,k+1, but they are not satisfied at h=k. This is equivalent to say that $\Phi(s_{k+1})$ is not between the elements σ_j^{k+1} , satisfying the condition $\sigma_j^{k+1} > \sigma_{j+1}^{k+1}$.

Let us denote b_k the first integer t satisfying the relation: $\Gamma(S_{k+1},t) < \Gamma(S_{k+1},t-1)$. The shape of $\Phi(S_{k+1})$, described in Proposition 8, says that $b_k \leq b$. If $s_{k+1} < b-1$, Macaulay's theorem 1.A₃, applied to $\Phi(S_k)$, says that $\Phi(s_{k+1})$ cannot be different from σ_j^{k+1} , the end of the segment Σ_j^{k+1} to which it belongs. Moreover, the property $\Gamma(\Phi(S_{k+1}),\Phi(s_{k+1})) = \Gamma(S_{k+1},s_{k+1})$ guaranties that $\Phi(s_{k+1}) = \sigma_j^{k+1}$ implies $\sigma_j^{k+1} > \sigma_{j+1}^{k+1}$, as $\Phi(s_{k+1})$ is the last element of $\Phi(S_{k+1})$, which is equal to s_{k+1} . So, if condition

1) or condition 2) is not satisfied, we necessarily have: $s_{k+1} \ge b-1$. In this situation, $\Phi(s_{k+1}) \ne \sigma_j^{k+1}$ implies

$$\Gamma(\Phi(S_k), s_{k+1}) = \Gamma(\Phi(S_k), s_{k+1} + 1).$$

So, we can use the splitting theorem of [12], applied to the subscheme \mathbf{X}_k corresponding to the sequence S_k . It says that there is a subscheme \mathbf{Y} of \mathbf{X}_k contained on a curve C_t , of degree $t \geq 1$ and every curve of degree $\leq s_{k+1} + 1$ containing \mathbf{Y} has C_t as a component. As a consequence, the curves of degree a and b, say C_a and C_b , containing \mathbf{X} , must have C_t as a component, as $s_{k+1} \geq b-1$. Let us denote C_u the maximal common component of C_a and C_b , so that $C_a = C'_{a-u} \cup C_u$, $C_b = C'_{b-u} \cup C_u$. The points of \mathbf{X} not lying on C_u must be in $C'_{a-u} \cap C'_{b-u}$. The maximal degree of separation of the points in $C'_{a-u} \cap C'_{b-u}$ is (a-u)+(b-u)-2. So, if we order the points of \mathbf{X} taking before the ones lying on C_u , followed by the ones on $X-C_u$, we easily see that the degree of separation of the last ones cannot exceed (a+b-u-2) < a+b-2. In such a way, we produce an ordering of \mathbf{X} giving rise to a realizable sequence S' ending with a number less than a+b-2, a contradiction.

As condition ii) is equivalent to the Cayley-Bacharach property, a direct proof of the equivalence between i) and ii) is given in [3](4.21).

Remark 4. Proposition 8 gives an algorithm to produce all the sequences realized by some CI(a,b). In fact it says that any such sequence ends with a+b-2 and, for k=n,...,1 it can be built, step by step, choosing $s_k=\Phi(s_k)$ as one of the σ_j^k 's satisfying the condition $\sigma_j^k>\sigma_{j+1}^k$. The number of possibilities increases quickly, but the beginning is the following:

Let us observe that the fact that every realizable sequence ends with (..., a+b-3, a+b-2) is a restatement of the Cayley-Bacharach theorem, stating that, if P,Q is any couple of points of \mathbf{X} , then $H_{\mathbf{X}}(t) = H_{\mathbf{X} - \{P,Q\}}(t), \ t < a+b-3$ ([8],[4],[1]).

Proposition 8 can be used to give a condition characterizing a CI(a,b) in terms of the Castelnuovo function of its subschemes. To this aim, let us observe what follows. Theorem 1 and Proposition 8 give a characterization of \mathbf{X} in terms of a family of subsequences $\Phi(S_h)$ of M_{ab} , each of which is linked to a truncation S_h of a sequence S realized by \mathbf{X} .

It is convenient to link the subsequence $\Phi(S_h)$ to a subset of \mathbf{X} , more then to a subsequence of S. In fact, let $(P_1,...,P_h,P_{h+1},...,P_n)$ be an ordering of \mathbf{X} realizing S; then $(P_1,...,P_h)$ realizes S_h and any other sequence S'_h realized by $\{P_1,...,P_h\} = \mathbf{X}_h$ is such that $\Phi(S'_h) = \Phi(S_h)$. In fact S'_h can be completed to a sequence S' realizing \mathbf{X} such that $s'_t = s_t, \ t \geq h$; moreover, $\Phi(S_h)$ and $\Phi(S'_h)$ are obtained from M_{ab} by deleting the elements $\Phi(s_t)$, $t \geq h$. So, it is meaningful to introduce the following

Notation Let $\mathbf{Y} = \{P_1, ..., P_h\}$ be a subset of \mathbf{X} and S_h any sequence realized by it. We set:

$$\Phi(S_h) = \Phi(\mathbf{Y}).$$

Remark 5. $\Phi(\mathbf{X}) = M_{ab}$ is more fit to describe a c.i. scheme than its Castelnuovo function $\Gamma_{\mathbf{X}}(\cdot)$ (or, equivalently, $M_{\Gamma_{\mathbf{X}}(\cdot)}$). Analogously, the sequence $\Phi(\mathbf{Y})$, with the order inherited by M_{ab} , gives more information than $\Gamma_{\mathbf{Y}}(\cdot)$ (or, equivalently, $M_{\Gamma_{\mathbf{Y}}(\cdot)}$), that can be easily built from it; in fact, all the sequences realized by \mathbf{Y} can be obtained by d.t. from $\Phi(\mathbf{Y})$, which is, itself, built by d.t. from $M_{\Gamma_{\mathbf{Y}}(\cdot)}$.

Let us denote $\widetilde{S}_{\mathbf{X}}$ the set of all sequences realized by \mathbf{X} . When \mathbf{Y} spans the set of all subsets of \mathbf{X} , $\Phi(\mathbf{Y})$ spans the set of all subsequences $\Phi(S_h) \subset M_{ab}$, for $S \in \widetilde{S}_{\mathbf{X}}$, h = 1, ..., n. So, using Proposition 8, Theorem 1 gives rise to the following:

Proposition 9. A reduced 0-dimensional scheme \mathbf{X} of \mathbf{P}^2 , such that $\Gamma_{\mathbf{X}}(\cdot) = \Gamma(a, b; \cdot)$, is a CI(a, b) iff, for every subset \mathbf{Y} of \mathbf{X} , $\Phi(\mathbf{Y})$ satisfies the following conditions:

- i) $\Phi(\mathbf{Y}) = (\Sigma_0^{\mathbf{Y}}, \Sigma_1^{\mathbf{Y}}, ..., \Sigma_{a-1}^{\mathbf{Y}})$, where $\Sigma_j^{\mathbf{Y}} = (j, j+1, ..., \sigma_j^{\mathbf{Y}})$ is a (possibly empty) truncation of the j-th segment Σ_j appearing in M_{ab} .
- truncation of the j-th segment Σ_j appearing in M_{ab} . ii) If j_k is the first j_u for which $\Sigma_{j_u}^{\mathbf{Y}} \neq \Sigma_{j_u}$, then $j \geq j_k$ implies $\sigma_j^{\mathbf{Y}} \geq \sigma_{j+1}^{\mathbf{Y}}$.

It is immediate to verify that conditions i) and ii) can be read on $\Gamma_{\mathbf{Y}}(\cdot)$, giving rise to the following

Proposition 10. A reduced 0-dimensional scheme \mathbf{X} of \mathbf{P}^2 is a CI(a,b) iff $A \cap \mathbf{Y}(a,b;\cdot)$;

b) for every subset Y of X, $\Gamma_{\mathbf{Y}}(\cdot)$ satisfies the condition: $\Gamma_{\mathbf{Y}}(t) > \Gamma_{\mathbf{Y}}(t+1)$, $t \ge b-1$, $\Gamma_{\mathbf{Y}}(t) \ne 0$.

Example Let us suppose $\Gamma_{\mathbf{X}}(\cdot) = \Gamma(3,4;\cdot)$ and X not a c.i., so that there exists a subscheme $\mathbf{Y} \subset \mathbf{X}$ not satisfying one of the two conditions i) and ii) of Proposition 9. By Maculay's theorem ([10]), it is enough to consider subschemes \mathbf{Y} such that $\Phi(\mathbf{Y})$ comes from M_{ab} by deleting elements bigger than b-1. In this case the only possible $\Phi(\mathbf{Y})$ turns out to be the following:

$$\Phi(\mathbf{Y}) = \begin{pmatrix} 0 & 1 & 2 \\ 1 & 2 & 3 & 4 \\ & 2 & 3 & & 5 \end{pmatrix}.$$

So, $\Gamma(\mathbf{Y}) = (1, 2, 3, 2, 1, 1)$; hence \mathbf{Y} splits into two subschemes ([12]), one of which consists of six points on a line. As a consequence, six points of \mathbf{X} lie on a line and the others are the c.i. of a conic and a cubic.

Let us observe that the $d_{\mathbf{Y}}(P)$'s, for some $P \in \mathbf{Y}$, are exactly the last elements of some realizable sequence of \mathbf{Y} , that is, the numbers appearing in $\Phi(\mathbf{Y})$ followed by smaller integers. So, using the notation of 9, we can state the following

Proposition 11. If X is a CI(a, b), then:

- i) $Sup\{\sigma_j^{\mathbf{Y}}\} = d_{\mathbf{Y}}(P)$, for some $P \in \mathbf{Y}$.
- ii) For any $P \in \mathbf{Y}$, $d_{\mathbf{Y}}(P) \in \{\sigma_i^{\mathbf{Y}}, j \geq j_{k-1}\}$.

Remark 6. Taking into account the link between $\Gamma_{\mathbf{Y}}$ and $\Phi(\mathbf{Y})$, we can restate Proposition 11 by saying that, if $\nu = d_{\mathbf{Y}}(P)$, for some $P \in \mathbf{Y}$, then:

- i) $\Gamma_{\mathbf{Y}}(\nu) > \Gamma_{\mathbf{Y}}(\nu+1)$, if $\nu < b-1$;
- $ii) \; \Gamma_{\mathbf{Y}}(\nu) > \Gamma_{\mathbf{Y}}(\nu+1) + 1, \text{if } \nu \geq b-1, \Gamma_{\mathbf{Y}}(\nu+1) \neq 0.$

Remark 7. If Y = X, Proposition 11 says the well known fact that all the points of a CI(a, b) have degree of separation a + b - 2 (Cayley-Bacharah condition).

If $card \mathbf{Y} = card \mathbf{X} - 1$, Proposition 11 says that all the subschemes obtained from a CI(a,b) by deleting one point satisfy the Cayley-Bacharah condition and the degree of separation is a+b-3 (C.B. Theorem).

If $card \mathbf{Y} = card \mathbf{X} - 2$, Proposition 11 says that every subset \mathbf{Y} , obtained from a C(a,b) by deleting 2 points, satisfies the condition: $d_{\mathbf{Y}}(P) = a+b-3$ or $d_{\mathbf{Y}}(P) = a+b-4$. (Let us remark that this result could also be obtained by using the C.B. condition and Corollary 2.2 of [6].). More precisely, there is always some point with degree of separation a+b-3, while a point with degree a+b-4 may exist or not; for instance, if the scheme \mathbf{X} realizes M_{ab} (see Proposition 7), there are points of \mathbf{Y} with degree of separation a+b-4 (see Proposition 12), while a scheme in uniform position realizes only the sequence C_{Γ} (see Corollary 2.7 of [6]), and, as a consequence, all its subschemes satisfy the C.B. condition.

Proposition 12. If **X** is a CI(a,b) realizing M_{ab} , then any subsequence 9 is of the type $\Phi(\mathbf{Y})$, for some $\mathbf{Y} \subset \mathbf{X}$.

 $\underline{\text{Proof}}$ We know, (see Proposition 7) that such a scheme is the intersection of a curve of degree b with a lines.

If we consider the ordering of \mathbf{X} realizing M_{ab} , we can verify that the subscheme \mathbf{Y} corresponding to S realizes S. To this aim, we observe that the sequence S, realized by \mathbf{Y} , either coincides with S or is obtained from it by replacing some elements with smaller ones. Let us prove that such a replacement cannot occur. If we reorder \mathbf{X} starting with \mathbf{Y} , S' can be completed to a sequence \bar{S}' such that $\Gamma(\bar{S}',\cdot) = \Gamma(a,b;\cdot)$. We now work by induction on a. If a=1, the equality S=S' is obvious. So, let us suppose it true until a-1 and prove it for a. We denote X_1 the subscheme of \mathbf{X} realizing $M_{(a-1)b}$, S_1 the subsequence of S contained in $M_{(a-1)b}$ and \mathbf{Y}_1 the scheme $\mathbf{Y} \cap \mathbf{X}_1$. By induction, \mathbf{Y}_1 realizes S_1 . The numbers corresponding to $\mathbf{Y} - \mathbf{Y}_1$ cannot be less than the corresponding ones in $S-S_1$: in fact the hypothesis on S guaranties that they are smaller than the elements of $M_{(a-1)b} - S_1$. As a consequence, S' must coincide with S.

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