

# Normal bundle of monomial curves: an application to rational curves

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**Abstract.** In this note, we give an application to the study of general rational curves in  $\mathbb{P}^s(\mathbb{C})$  of the calculation of the splitting type of the normal bundle of any smooth monomial rational curve (i.e., embedded by monomial functions).

## 1. Introduction

In this paper, any degree  $d$  rational curve  $C$  in  $\mathbb{P}^s(\mathbb{C})$  ( $d > s \geq 3$ ) will be assumed smooth and nondegenerate. Such curves, up to projective transformations, are suitable projections of the rational normal curve  $\Gamma_d$  of degree  $d$  in  $\mathbb{P}^d(\mathbb{C})$  from a projective linear space  $L$  of dimension  $d - s - 1$ . Let us call  $f : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$  the morphism obtained in this way. The normal bundle of such curves splits as a direct sum of line bundles  $\mathcal{O}_{\mathbb{P}^1}(\xi_1) \oplus \mathcal{O}_{\mathbb{P}^1}(\xi_2) \oplus \cdots \oplus \mathcal{O}_{\mathbb{P}^1}(\xi_{s-1})$  where  $\xi_i$  are suitable integers. In principle, one should calculate these integers for any chosen  $L$ .

In [2], the authors develop a general method to do this calculation. This method was previously used in [1] to get the splitting type of the restricted tangent bundle of  $C$ . However, while for the tangent bundle it is possible to get an easy formula (see [1, Theorem 3]), for the normal bundle this is not possible.

In [3] the authors gave a method for calculating the integers  $\xi_i$  when  $C$  is a smooth monomial curve, i.e., when the morphism  $f : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$  is given by monomials of the same degree in two variables. In other setups,  $C$  is called “monomial” if its ideal in  $\mathbb{P}^s(\mathbb{C})$  is generated by monomials. Here we do not consider the ideal of  $C$  and we focus on  $f$ ; for instance, the standard twisted cubic in  $\mathbb{P}^3(\mathbb{C})$  is a monomial curve according to our definition, but its ideal is not generated by monomials.

In [4], the authors study the moduli space of rational curves whose normal bundle has a fixed splitting type and, meanwhile, they get a very simple formula to calculate  $\xi_i$  for smooth monomial curves. Obviously the two methods give rise to the same

integers (see the final part of [3, §5] and [4, Theorem 3.2]), but the two approaches are very different and we think that they are both useful for different aims.

Here we want to give a consequence of the possibility to get the splitting type of the normal bundle of rational monomial curves as in [3]. Our main theorem will be Theorem 3, however, it is not possible to state it without a background. In brief we can say that our strategy will be to associate a smooth monomial curve  $CA$  as above to any smooth rational curve  $C$ , satisfying mild assumptions, and to prove that  $h^0(\mathbb{P}^1, f^* \mathcal{N}_C(-d - 2 - k)) \leq h^0(\mathbb{P}^1, f^* \mathcal{N}_{CA}(-d - 2 - k))$  for any  $k \geq 2$  where  $\mathcal{N}_C$  and  $\mathcal{N}_{CA}$  are the normal bundles of  $C$  and  $CA$  in  $\mathbb{P}^s(\mathbb{C})$ , respectively. As the knowledge of this cohomology implies the knowledge of the numbers  $c_i := \xi_i - d - 2$ , we will get that the numbers  $c_i$  of  $C$  are bounded by the numbers  $c_i$  of  $CA$  (see Examples 4 and 5).

In Section 2, we fix notations and we recall the background. In Section 3, we associate a monomial curve  $CA$  to any smooth rational curve  $C$  having a suitable property and we prove our main theorem. In Section 4, we give our applications.

## 2. Notation and background material

For us, a rational curve  $C \subset \mathbb{P}^s(\mathbb{C})$  will be the target of a morphism  $f : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$ . We will work always over  $\mathbb{C}$ . We will always assume that  $C$  is not contained in any hyperplane and that it is smooth. Let us put  $d := \deg(C) > s \geq 3$ . Let  $\mathcal{I}_C$  be the ideal sheaf of  $C$ , then  $\mathcal{N}_C := \text{Hom}_{\mathcal{O}_C}(\mathcal{I}_C/\mathcal{I}_C^2, \mathcal{O}_C)$  as usual and, taking the differential of  $f$ , we get

$$0 \rightarrow \mathcal{T}_{\mathbb{P}^1} \rightarrow f^* \mathcal{T}_{\mathbb{P}^s} \rightarrow f^* \mathcal{N}_C \rightarrow 0$$

where  $\mathcal{T}$  denotes the tangent bundle. Of course we can always write

$$\begin{aligned} \mathcal{T}_f &:= f^* \mathcal{T}_{\mathbb{P}^s} = \bigoplus_{i=1}^r \mathcal{O}_{\mathbb{P}^1}(b_i + d + 2) \oplus \mathcal{O}_{\mathbb{P}^1}^{\oplus(s-r)}(d + 1), \\ \mathcal{N}_f &:= f^* \mathcal{N}_C = \bigoplus_{i=1}^{s-1} \mathcal{O}_{\mathbb{P}^1}(c_i + d + 2) \end{aligned}$$

for suitable integers  $b_i \geq 0$  (see [1, (14)]) and  $c_i \geq 0$  (see [2, Proposition 10]) where we assumed  $c_1 \geq \dots \geq c_{s-1}$ .

Every curve  $C$  is, up to a projective transformation, the projection to  $\mathbb{P}^s$  of a  $d$ -Veronese embedding  $\Gamma_d$  of  $\mathbb{P}^1$  in  $\mathbb{P}^d := \mathbb{P}(V)$  from a  $(d - s - 1)$ -dimensional projective space  $L := \mathbb{P}(T)$  where  $V$  and  $T$  are vector spaces of dimension, respectively,  $d + 1$  and  $e + 1 := d - s$ . For any vector  $0 \neq v \in V$  let  $[v]$  be the corresponding point in  $\mathbb{P}(V)$ . Of course we require that  $L \cap \Gamma_d = \emptyset$  as we want that  $f$  is a morphism.

Let us denote by  $U = \langle x, y \rangle$  a fixed 2-dimensional vector space such that  $\mathbb{P}^1 = \mathbb{P}(U)$ , then we can identify  $V$  with  $S^d U$  ( $d$ -th symmetric power) in such a way that the rational normal degree  $d$  curve  $\Gamma_d$  can be considered as the set of pure tensors of degree  $d$  in  $\mathbb{P}(S^d U)$  and the  $d$ -Veronese embedding is the map

$$\alpha x + \beta y \rightarrow (\alpha x + \beta y)^d, \quad (\alpha : \beta) \in \mathbb{P}^1.$$

From now on, any degree  $d$  rational curve  $C$  will be determined (up to projective equivalences which are not important in our context) by the choice of a proper subspace  $T \subset S^d U$  such that  $\mathbb{P}(T) \cap \Gamma_d = \emptyset$ .

By arguing in this way, the elements of a base of  $T$  can be thought as homogeneous, degree  $d$  polynomials in  $x, y$ . In [1, 2], the authors relate the polynomials of any base of  $T$  with the splitting type of  $\mathcal{T}_f$  and  $\mathcal{N}_f$ . To describe this relation we need some additional definitions.

Let us indicate by  $\langle \partial_x, \partial_y \rangle$  the dual space  $U^*$  of  $U$ , where  $\partial_x$  and  $\partial_y$  indicate the partial derivatives with respect to  $x$  and  $y$ .

**Definition 1.** Let  $T$  be any proper subspace of  $S^d U$ . Then

$$\begin{aligned} \partial T &:= \langle \omega(T) | \omega \in U^* \rangle, \\ \partial^{-1} T &:= \bigcap_{\omega \in U^*} \omega^{-1} T, \\ r(T) &:= \dim(\partial T) - \dim(T). \end{aligned}$$

Note that Definition 1 allows to define also  $\partial^k T$  and  $\partial^{-k} T$  for any integer  $k \geq 1$ , by induction. Moreover, we can set  $\partial^0 T := T$ . Let us recall the following:

**Theorem 1.** Let  $T \subset S^d U$  be any proper subspace as above such that  $\mathbb{P}(T) \cap \Gamma_d = \emptyset$ . Then  $r(T) \geq 1$  and there exist  $r$  polynomials  $p_1, \dots, p_r$  of degree  $d + b_1, \dots, d + b_r$  respectively, with  $b_i \geq 0$  and  $[p_i] \in \mathbb{P}^{d+b_i} \setminus \text{Sec}^{b_i}(\Gamma_{d+b_i})$  for  $i = 1, \dots, r$ , such that

$$T = \partial^{b_1}(p_1) \oplus \partial^{b_2}(p_2) \oplus \dots \oplus \partial^{b_r}(p_r)$$

and

$$\partial T = \partial^{b_1+1}(p_1) \oplus \partial^{b_2+1}(p_2) \oplus \dots \oplus \partial^{b_r+1}(p_r).$$

*Proof.* It follows from [1, Theorem 1], because from our assumptions  $S_T = 0$  in the notation of [1]. Recall that  $\text{Sec}^b(\Gamma_{d+b})$  is the variety generated by sets of  $b + 1$  distinct points of  $\Gamma_{d+b}$ . ■

From the above decomposition of  $T$  it is possible to get directly the splitting type of  $\mathcal{T}_f$  depending on the integers  $b_i$  (see [1, Theorem 3]), however, here we are interested in the splitting type of  $\mathcal{N}_f$ . To this aim the following Proposition is useful:

**Proposition 1.** *In the above notations, for any integer  $k \geq 0$ , let us call  $\varphi(k) := h^0(\mathbb{P}^1, \mathcal{N}_f(-d - 2 - k))$ . Then the splitting type of  $\mathcal{N}_f$  is completely determined by  $\Delta^2[\varphi(k)] := \varphi(k + 2) - 2\varphi(k + 1) + \varphi(k)$ .*

*Proof.* We know that  $\mathcal{N}_f(-d - 2) = \bigoplus_{i=1}^{s-1} \mathcal{O}_{\mathbb{P}^1}(c_i)$ , so that we have only to determine the integers  $c_i$ . By definition,  $\Delta^2[\varphi(k)]$  is exactly the number of integers  $c_i$  which are equal to  $k$ . Note that, by definition,  $\varphi(k)$  is strictly decreasing. ■

From Proposition 1 it follows that to know the splitting type of  $\mathcal{N}_f$  it suffices to know  $\varphi(k)$  for any  $k \geq 0$ .

Let us consider the linear operators

$$D_k : S^k U \otimes S^d U \rightarrow S^{k-1} U \otimes S^{d-1} U,$$

such that  $D_k := \partial_x \otimes \partial_y - \partial_y \otimes \partial_x$ , and  $D_k^2 : S^k U \otimes S^d U \rightarrow S^{k-2} U \otimes S^{d-2} U$ . Of course, as  $T \subset S^d U$ , we can restrict  $D_k^2$  to  $S^k U \otimes T$  and we get a linear map  $D_{k|S^k U \otimes T}^2 : S^k U \otimes T \rightarrow S^{k-2} U \otimes \partial^2 T$ ; let us define

$$T_k := \ker(D_{k|S^k U \otimes T}^2).$$

Then we have the following:

**Theorem 2.** *In the above notations,*

$$\begin{aligned} \varphi(0) &= d + e, \\ \varphi(1) &= 2(e + 1), \\ \varphi(2) &= 3(e + 1) - \dim(\partial^2 T), \end{aligned}$$

and for any  $k \geq 2$ ,  $\varphi(k) = \dim(T_k)$ .

Moreover, the number of integers  $c_i$  such that  $c_i = 0$  is  $d - 1 - \dim(\partial^2 T)$ .

*Proof.* See [2, Theorem 1 and Proposition 11]; note that, for  $k = 2$ , there are two different ways to get  $\varphi(2)$ .

By Proposition 1 the number of integers  $c_i$  such that  $c_i = 0$  is  $\Delta^2[\varphi(0)] = d - 1 - \dim(\partial^2 T)$ . ■

In [3], a combinatorial formula is given to calculate  $\varphi(k)$ , for  $k \geq 2$ , when  $C$  is a monomial smooth rational curve, therefore we can assume that  $\varphi(k)$  is known for any monomial smooth rational curve. Moreover, a method to determine the set  $\{\xi_i\}$  is given in [3, Theorem 4 and Remark 2]. Let us recall this method: firstly decompose  $T$  as  $T = T^1 \oplus T^2 \oplus \dots \oplus T^q$  in such a way that  $\partial^2 T = \partial^2 T^1 \oplus \partial^2 T^2 \oplus \dots \oplus \partial^2 T^q$  for some  $q \geq 1$ ; every  $T^j$  is called irreducible. Secondly: decompose every irreducible  $T^j$ ,  $j = 1, \dots, q$  as explained in Theorem 1, getting the integers  $b_1(j), \dots, b_{r(j)}(j)$ .

Thirdly: define  $b_0(j) = b_{r(j)+1}(j) = -1$  for any  $j = 1, \dots, q$  and consider the set  $\{b_i(j) + b_{i+1}(j) + 2 \text{ for } i = 0, \dots, r(j) \text{ and } j = 1, \dots, q\}$ . This is the set of positive  $c_i$ , while the number of null  $c_i$  is given by Theorem 2. By recalling that

$$\sum_{j=1}^q [r(j) + 1] = \dim(\partial^2 T) - \dim(T)$$

we get a set of  $s - 1$  integers  $\{c_i\}$  and  $\xi_i = c_i + d + 2, i = 1, \dots, s - 1$ .

On the other hand, in [4], the authors give a very direct formula for calculating  $\xi_i$  when  $C$  is a monomial smooth rational curve of degree  $d$  (see [4, Theorem 3.2]). Such curve is the image of a map

$$f(x : y) = (x^{h_0} : x^{h_1} y^{d-h_1} : \dots : x^{h_i} y^{d-h_i} : \dots : x^{h_s} y^{d-h_s})$$

with  $i = 0, \dots, s$  and  $h_0 > h_1 > \dots > h_s \geq 0$ . We require that this map is an embedding, hence it is necessary that:  $h_0 = d, h_1 = d - 1, h_{s-1} = 1, h_s = 0$ , (see [4, Lemma 3.1]) and  $s \geq 3$ . Then [4, Theorem 3.2] says that

$$\xi_i = d + h_{i-1} - h_{i+1} \quad \text{for } i = 1, \dots, s - 1 \quad (\text{Coskun-Riedl formula}).$$

Of course the Coskun-Riedl formula gives the same integers  $\xi_i$  obtained by the method described in [3]; the interested reader can find a proof of this fact in that article.

### 3. Rational complete curves and main theorem

Let  $C$  be any smooth rational curve of degree  $d$ . The morphism  $f : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$  is given by a  $(s + 1, d + 1)$  matrix  $M$  of rank  $s + 1$  such that

$$(x : y) \rightarrow M[x^d x^{d-1} y \dots y^d]^t$$

where  $[\dots]^t$  denotes transposition. In other words, the parametric equations for  $C$  are

$$\begin{bmatrix} X_0 \\ X_1 \\ \dots \\ X_s \end{bmatrix} = M \begin{bmatrix} x^d \\ x^{d-1} y \\ \dots \\ y^d \end{bmatrix}.$$

As  $\text{rank}(M) = s + 1$  we can apply the Gauss elimination to  $M$  and we can transform it in a row echelon form. This is equivalent to multiply  $M$  on the left by a suitable non singular  $(s + 1, s + 1)$  matrix, i.e., to change the projective coordinate system in  $\mathbb{P}^s(\mathbb{C})$ . By another change, if necessary, we can also assume that all pivots are 1.

The point  $f(1 : 0) = (m_{1,1} : m_{2,1} : \dots : m_{s+1,1})$  belongs to  $C$ , in particular  $(m_{1,1} : m_{2,1} : \dots : m_{s+1,1}) \neq (0 : 0 : \dots : 0)$ , hence we can assume that the first pivot is  $m_{1,1} = 1$  and that  $m_{i,1} = 0$  for  $i \geq 2$ , i.e.,  $f(1 : 0) = (1 : 0 : \dots : 0)$ . Let us consider the second column of  $M$  in the row echelon form (hence  $m_{i,2} = 0$  for  $i \geq 3$ ). If the second pivot would be not  $m_{2,2} = 1$  then  $C$  would be singular at  $(1 : 0 : \dots : 0)$ , but  $C$  is smooth, hence  $m_{2,2} = 1$ .

We give the following:

**Definition 2.** Let  $M$  be the above matrix. If  $m_{s+1,j} = 0$  for  $j = 1, \dots, d$ ;  $m_{s+1,d+1} = 1$ ;  $m_{s,j} = 0$  for  $j = 1, \dots, d - 1$  and  $m_{s,d} = 1$ , then we say that  $C$  is complete.

To any smooth rational curve  $C$ , whose associated matrix  $M$  is in a row echelon form as above, we can associate a monomial rational curve  $CA$  whose parametric equations are

$$\begin{bmatrix} X_0 \\ X_1 \\ \dots \\ X_s \end{bmatrix} = M' \begin{bmatrix} x^d \\ x^{d-1}y \\ \dots \\ y^d \end{bmatrix}$$

where  $M'$  is the matrix of the pivots of  $M$ , i.e.,  $M' := (m'_{i,j})$  is a matrix of type  $(s + 1, d + 1)$  such that  $m'_{i,j} = 1$  if and only if  $m_{i,j} = 1$  is a pivot of  $M$  and  $m'_{i,j} = 0$  otherwise. The meaning of the above definition is clarified by the following fact, easy to prove: if  $C$  is complete, then  $CA$  is smooth of degree  $d$ ; while, in general,  $CA$  is smooth of degree  $d' < d$ , or singular of degree  $d$ .

**Example 1.** Here is a typical example of complete, smooth, rational curve  $C$  with  $s = 5$  and  $d = 9$ , (\* denotes any complex number):

$$M = \begin{bmatrix} 1 & * & * & * & * & * & * & * & * & * \\ 0 & 1 & * & * & * & * & * & * & * & * \\ 0 & 0 & 0 & 0 & 1 & * & * & * & * & * \\ 0 & 0 & 0 & 0 & 0 & 1 & * & * & * & * \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 & * \\ 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 0 & 1 \end{bmatrix}.$$

In other words, putting  $t := y/x$ , the affine parametric equations of  $C$  are

$$\begin{aligned} X_0 &= 1 + *t + \dots + *t^9, \\ X_1 &= t + *t^2 + \dots + *t^9, \\ X_2 &= t^4 + *t^5 + \dots + *t^9, \end{aligned}$$

$$\begin{aligned} X_3 &= t^5 + *t^6 + \dots + *t^9, \\ X_4 &= t^8 + *t^9, \\ X_5 &= t^9. \end{aligned}$$

Then the affine parametric equations for  $CA$  are

$$\begin{aligned} X_0 &= 1, \\ X_1 &= t, \\ X_2 &= t^4, \\ X_3 &= t^5, \\ X_4 &= t^8, \\ X_5 &= t^9. \end{aligned}$$

In practice: for any  $i$ , take the monomials in  $t$  of minimal degree appearing in the polynomials  $X_i(t)$ .

**Example 2.** Here is a typical example of a non complete, smooth, rational curve  $C$  with  $s = 4$  and  $d = 8$  such that  $CA$  is still smooth, ( $*$  denotes any complex number, but there is at least a non zero number in the last column):

$$M = \begin{bmatrix} 1 & * & * & * & * & * & * & * & * \\ 0 & 1 & * & * & * & * & * & * & * \\ 0 & 0 & 0 & 0 & 1 & * & * & * & * \\ 0 & 0 & 0 & 0 & 0 & 1 & * & * & * \\ 0 & 0 & 0 & 0 & 0 & 0 & 1 & * & * \end{bmatrix}.$$

Now, putting  $t := y/x$ , the affine parametric equations of  $C$  are

$$\begin{aligned} X_0 &= 1 + *t + \dots + *t^8, \\ X_1 &= t + *t^2 + \dots + *t^8, \\ X_2 &= t^4 + *t^5 + \dots + *t^8, \\ X_3 &= t^5 + *t^6 + \dots + *t^8, \\ X_4 &= t^6 + *t^7 + *t^8. \end{aligned}$$

Then the affine parametric equations for the degree  $d' = 6$  curve  $CA$  are

$$\begin{aligned} X_0 &= 1, \\ X_1 &= t, \\ X_2 &= t^4, \\ X_3 &= t^5, \\ X_4 &= t^6. \end{aligned}$$

Note that, as we want that  $CA$  is smooth,  $m_{s,d'} = m_{s+1,d'+1} = 1$ . In this example,  $d' = \deg(CA) = 6 < \deg(C) = 8$ .

We have the following:

**Theorem 3.** *Let  $C$  be a smooth, rational curve of degree  $d$  in  $\mathbb{P}^s(\mathbb{C})$  and let us assume that  $CA$  is a smooth monomial rational curve of degree  $d' \leq d$  associated to  $C$  as above. Let  $\varphi_C$  and  $\varphi_{CA}$  be, respectively, the functions defined by Proposition 1 for curves  $C$  and  $CA$ . Then, for any  $k \geq 2$ ,  $\varphi_C(k) \leq \varphi_{CA}(k)$ .*

*Proof.* Firstly, let us assume that  $C$  is complete, hence  $d' = d$ , and let us consider the affine parametric equations of  $C$  as in the above examples. These equations define a regular map

$$f : \mathbb{A}^1 \rightarrow \mathbb{P}^s$$

as follows (\* denotes any complex number):

$$\begin{aligned} X_0 &= 1 + *t + \dots + *t^d, \\ X_1 &= t + *t^2 + \dots + *t^d, \\ &\vdots \\ X_i &= t^{p_i} + *t^{p_i+1} + \dots + *t^d, \\ &\vdots \\ X_{s-1} &= t^{d-1} + *t^d, \\ X_s &= t^d. \end{aligned}$$

For any non zero complex number  $q$  let us define

(1) an isomorphism  $\psi_q : \mathbb{A}^1 \rightarrow \mathbb{A}^1$ ,

$$\psi_q(t) = t/q;$$

(2) a rational curve  $C_q$  in  $\mathbb{P}^s$  whose affine parametric equations are

$$\begin{aligned} X_0 &= 1 + q * t + \dots + q^d * t^d, \\ X_1 &= t + q * t^2 + \dots + q^{d-1} * t^d, \\ &\vdots \\ X_i &= t^{p_i} + q * t^{p_i+1} + \dots + q^{d-p_i} * t^d, \\ &\vdots \\ X_{s-1} &= t^{d-1} + q * t^d, \\ X_s &= t^d \end{aligned}$$

defining a map

$$f_q : \mathbb{A}^1 \rightarrow \mathbb{P}^s;$$

(3) a linear isomorphism

$$F_q : \mathbb{P}^s \rightarrow \mathbb{P}^s$$

whose associated  $(s + 1, s + 1)$  matrix is

$$\text{diag}(1, q, \dots, q^{p_i}, \dots, q^{d-1}, q^d).$$

The definitions are given in order to get

$$F_q[f_q(\psi_q)] = f;$$

then we have that every curve  $C_q$  is projectively equivalent to  $C$  and they all have the same splitting type for the normal bundle in  $\mathbb{P}^s$ . Moreover, the smooth curve  $CA$  is obtained from  $C_q$  by letting  $q \rightarrow 0$ , hence, by semicontinuity, we have  $\varphi_C(k) \leq \varphi_{CA}(k)$ .

If  $C$  is not complete, but  $CA$  is still smooth, of degree  $d' < d$ , the above proof must be changed a little, taking into account that, in these cases,

$$X_s = t^{p_s} + *t^{p_s+1} + \dots + *t^d$$

with  $p_s = d'$ , but the conclusion is the same. ■

When  $C$  is complete there is another proof of the main theorem “by hands” without using any degeneration argument. We give here a sketch of it because we think that it is useful when one has to calculate the value  $\varphi_C(k)$  to get the splitting type of  $\mathcal{N}_f$  according to Proposition 1.

Let  $T_C$  and  $T_{CA}$  be the  $(e + 1)$ -dimensional vector spaces determining  $C$ , and respectively  $CA$ , as explained in Section 2. Let us fix a monic monomial base for  $T_{CA}$ . By looking at the  $(s + 1, d + 1)$  matrix  $M$  for  $C$  (in a row echelon form, with all pivots equal to 1) we see that a base for  $T_{CA}$  can be chosen by taking exactly the monomials in the string  $\langle x^d, x^{d-1}y, \dots, xy^{d-1}, y^d \rangle$  not corresponding to the  $s + 1$  pivots of the matrix.

It is possible to choose two corresponding bases:  $\langle \tau_0, \tau_1, \dots, \tau_e \rangle$  for  $T_C$  and  $\langle \tilde{\tau}_0, \tilde{\tau}_1, \dots, \tilde{\tau}_e \rangle$  for  $T_{CA}$ , such that  $\text{lt}(\tau_i) = \tilde{\tau}_i$  for  $i = 0, \dots, e$ , where  $\text{lt}(\tau)$  denote the leading term of a polynomial  $\tau \in \mathbb{C}[x, y]$  with respect to  $y$ .

For any  $k \geq 2$ , let us consider the generic element  $\sum_{p=0}^e f_p \otimes \tau_p \in S^k U \otimes T_C$  and let us apply the operator  $D_k^2$  to it. We get

$$D_k^2 \left[ \sum_{p=0}^e f_p \otimes \tau_p \right] = \sum_{p=0}^e (\partial_y \partial_y f_p \otimes \partial_x \partial_x \tau_p - 2 \partial_x \partial_y f_p \otimes \partial_x \partial_y \tau_p + \partial_x \partial_x f_p \otimes \partial_y \partial_y \tau_p).$$

Now, let us consider all the degree  $d - 2$  monomials in  $\mathbb{C}[x, y]$  involved by the  $3(e + 1)$  polynomials  $\{\partial^2\tau_0, \partial^2\tau_1, \dots, \partial^2\tau_e\}$  generating  $\partial^2T_C$ , i.e.,  $x^{d-2}, x^{d-3}y, \dots, x^{d-2-\beta_r}y^{\beta_r}$ . We can write

$$D_k^2\left[\sum_{p=0}^e f_p \otimes \tau_p\right] = \sum_{q=0}^{\beta_r} A_q \otimes x^{d-2-q}y^q$$

so that  $D_k^2[\sum_{p=0}^e f_p \otimes \tau_p] = 0$  if and only if  $A_q = 0$  for  $q \in [0, \beta_r]$ .

Now, let us consider all the degree  $d - 2$  monomials in  $\mathbb{C}[x, y]$  involved by the  $3(e + 1)$  monomials  $\{\partial^2\tilde{\tau}_0, \partial^2\tilde{\tau}_1, \dots, \partial^2\tilde{\tau}_e\}$  generating  $\partial^2T_{CA}$ . Thanks to our choice of bases  $\langle \tau_0, \tau_1, \dots, \tau_e \rangle$  and  $\langle \tilde{\tau}_0, \tilde{\tau}_1, \dots, \tilde{\tau}_e \rangle$  we have that

$$\{\partial^2\tilde{\tau}_0, \partial^2\tilde{\tau}_1, \dots, \partial^2\tilde{\tau}_e\} \subseteq \{x^{d-2}, x^{d-3}y, \dots, x^{d-2-\beta_r}y^{\beta_r}\}.$$

Let  $\delta$  be the dimension of  $\partial^2T_{CA}$ . Let us fix  $\delta$  monic distinct monomials among  $\{\partial^2\tilde{\tau}_0, \partial^2\tilde{\tau}_1, \dots, \partial^2\tilde{\tau}_e\}$  generating  $\partial^2T_{CA}$ . These monomials are obviously independent and give rise to a base  $\mathcal{B}$  for  $\partial^2T_{CA}$ . Let us order this base  $\mathcal{B}$  with respect to the ascending powers of  $y$ . Let us call

$$\begin{aligned} F_k &:= \ker(D_k^2|_{S^kU \otimes T_{CA}}) \\ &= \left\{ \sum_{p=0}^e f_p \otimes \tilde{\tau}_p \in S^kU \otimes T_{CA} \mid D_k^2\left[\sum_{p=0}^e f_p \otimes \tilde{\tau}_p\right] = 0 \right\}. \end{aligned}$$

Obviously, the condition  $D_k^2[\sum_{p=0}^e f_p \otimes \tilde{\tau}_p] = 0$  involves only the  $\delta$  degree  $d - 2$  monomials belonging to  $\mathcal{B}$ . Let us define

$$\begin{aligned} E_k &:= \left\{ \sum_{p=0}^e f_p \otimes \tau_p \in S^kU \otimes T_C \mid D_k^2\left[\sum_{p=0}^e f_p \otimes \tau_p\right] = \sum_{q=0}^{\beta_r} A_q \otimes x^{d-2-q}y^q \right. \\ &\quad \left. \text{and } A_q = 0 \text{ only for the } \delta \text{ monomials } x^{d-2-q}y^q \text{ belonging to } \mathcal{B} \right\}. \end{aligned}$$

Obviously  $\varphi_C(k) = \dim[\ker(D_k^2|_{S^kU \otimes T_C})] \leq \dim(E_k)$ .

To complete the proof of the theorem it is sufficient to prove that  $\dim(E_k) \leq \dim(F_k) = \varphi_{CA}(k)$ . Note that  $E_k$  and  $F_k$  are both subspaces of  $\mathbb{C}^{(e+1)(k+1)}$  and that this vector space is given by all the coefficients of the generic polynomials  $f_p \in S^k(U)$ ,  $p = 0, \dots, e$ .

We have only  $\delta$  relations defining  $E_k$ , one to one with the elements of  $\mathcal{B}$ . Every relation is of the following type and it does not depend on  $k$ :

$$\sum_{p=0}^e (a_p \partial_x \partial_x f_p + b_p \partial_x \partial_y f_p + c_p \partial_y \partial_y f_p) = 0, \quad a_p, b_p, c_p \in \mathbb{C},$$

hence they give rise to a  $(\delta, 3(e + 1))$  matrix  $N$  of complex numbers which is the union of  $e + 1$  blocks of type  $(\delta, 3)$ , each one in a row echelon form due to the above choice for  $\mathcal{B}$ .

The  $\delta$  relations defining  $E_k$  inside  $\mathbb{C}^{(e+1)(k+1)}$  can be written in matricial form as

$$N \begin{bmatrix} \partial_x \partial_x f_0 & \partial_x \partial_y f_0 & \partial_y \partial_y f_0 & \cdots & \partial_x \partial_x f_e & \partial_x \partial_y f_e & \partial_y \partial_y f_e \end{bmatrix}^t = 0. \quad (\text{e})$$

Note that the set of  $k + 1$  variables related to every polynomial  $f_p$  is distinct from the set of  $k + 1$  variables related to any other polynomial  $f_{p'}$  if  $p' \neq p$ .

We can argue in the same way with the  $\delta$  relations defining  $F_k$  inside  $\mathbb{C}^{(e+1)(k+1)}$  getting an analogue matrix  $NA$  and a matrix relation analogous to (e),

$$NA \begin{bmatrix} \partial_x \partial_x f_0 & \partial_x \partial_y f_0 & \partial_y \partial_y f_0 & \cdots & \partial_x \partial_x f_e & \partial_x \partial_y f_e & \partial_y \partial_y f_e \end{bmatrix}^t = 0. \quad (\text{a})$$

Note that  $NA$  is obtained from  $N$  simply by putting equal to zero every number appearing in  $N$  which is not a pivot in a single block. Moreover,  $\delta \leq 3(e + 1)$  (in fact,  $\varphi_{CA}(2) = 3(e + 1) - \delta \geq 0$ ) and therefore  $\text{rank}(N) = \text{rank}(NA) = \delta$ , being both the union of blocks in a row echelon form. Moreover, both matrices have the same pivots in the same position.

It follows that there exists a non singular upper triangular matrix  $Z$  of complex numbers, of order  $\delta$ , such that  $N' := ZN$ , all complex numbers over the pivots of  $N$  are zero and the pivots of every block of  $N'$  are the same and in the same position with respect to  $N$  and hence  $NA$  (see the example below). Of course,  $E_k$  can be defined inside  $\mathbb{C}^{(e+1)(k+1)}$  also by the  $\delta$  relations

$$N' \begin{bmatrix} \partial_x \partial_x f_0 & \partial_x \partial_y f_0 & \partial_y \partial_y f_0 & \cdots & \partial_x \partial_x f_e & \partial_x \partial_y f_e & \partial_y \partial_y f_e \end{bmatrix}^t = 0. \quad (\text{ee})$$

Now we can see that the dimension of  $E_k$  inside  $\mathbb{C}^{(e+1)(k+1)}$  is the dimension of the vector space over  $\mathbb{C}$  generated by the set  $\mathcal{G}$  of coefficients of those polynomials among  $\{\partial_x \partial_x f_0, \partial_x \partial_y f_0, \partial_y \partial_y f_0, \dots, \partial_x \partial_x f_e, \partial_x \partial_y f_e, \partial_y \partial_y f_e\}$  such that in (ee) the corresponding columns of  $N'$  do not contain a pivot. The same is true for the dimension of  $F_k$  by considering (a) and  $NA$ , note that the quoted columns are the same for  $N'$  and  $NA$  hence the set  $\mathcal{G}$  is the same.

If  $k = 2$  the dimensions of  $E_2$  and  $F_2$  are exactly the number of such columns, i.e.,  $3(e + 1) - \delta$ , because the polynomials  $\{\partial_x \partial_x f_0, \dots, \partial_y \partial_y f_e\}$  have degree 0. If  $k \geq 3$ , to calculate  $\dim(E_k)$  and  $\dim(F_k)$  it is necessary to take into account all the relations among the elements of  $\mathcal{G}$  arising from (ee) and (a). Of course, to prove that  $\dim(E_k) \leq \dim(F_k)$ , it is enough to prove that, passing from (ee) to (a), no new relations are introduced. It can be shown that this is true by a simple case by case examination.

In the following Example 3, we will illustrate how the above proof works. Applications of Theorem 3 will be explained later, in Examples 4 and 5.





$$\begin{aligned}
 d_0 &= \eta_{14}c_1 + \vartheta b_3 + \iota c_3, \\
 c_1 &= \rho a_3 + \lambda b_3, \\
 d_1 &= \rho b_3 + \lambda c_3, \\
 a_2 &= \mu a_3 + \nu b_3, \\
 b_2 &= \mu b_3 + \nu c_3, \\
 b_2 &= \eta_{15}a_3 + \xi b_3, \\
 c_2 &= \eta_{15}b_3 + \xi c_3, \\
 c_2 &= \eta_{16}b_3, \\
 d_2 &= \eta_{16}c_3, \\
 c_3 &= d_3 = 0.
 \end{aligned}$$

It is easy to see that  $\varphi_{CA}(3) = \varphi_C(3) = 0$  if  $\eta_{15} \neq \eta_{16}$  and  $\eta_{13} \neq \eta_{14}$ . If  $\eta_{15} = \eta_{16}$  but  $\eta_{13} \neq \eta_{14}$  then  $\varphi_{CA}(3) = \varphi_C(3) = 1$ . If  $\eta_{15} = \eta_{16}$  and  $\eta_{13} = \eta_{14}$  then  $\varphi_{CA}(3) = 2$  while for  $E_3$  we have two generators with a relation at most, hence  $\varphi_C(3) \leq 2$  and we have  $\varphi_C(3) \leq \varphi_{CA}(3)$  in any case.

In general, to get  $\varphi_C(3)$  we should know the exact values of the entries of  $M$ , but in Example 3 this is not important: the Coskun–Riedl formula proves that  $\varphi_{CA}(3) = 0$  a priori. Therefore we can conclude that  $\varphi_C(3) = 0$  for any curve  $C$  as above.

**Remark 1.** Unfortunately, it is not possible to get a good bound for  $\varphi_C(k)$  from below: for any  $k$ , it is easy to count how many generators and relations are necessary to define  $\ker(D_{k|S^k U \otimes T_C}^2)$  inside  $\mathbb{C}^{(e+1)(k+1)}$ , but every relation can provide a big number of linear equations for  $\ker(D_{k|S^k U \otimes T_C}^2)$  and it is hard to determine a reasonable bound for the independent ones. On the other hand, if we consider all of them, we have that the bound from below becomes quickly a negative number, as  $k$  increases.

**Remark 2.** It is very natural to ask whether it is possible to extend the above sketched proof to curves  $C$  not complete, when  $CA$  is smooth of degree  $d' < d$ . However this is not possible. It is easy to give counterexamples.

### 4. Applications

The immediate application of Theorem 3 is the following:

**Corollary 1.** *Let  $C$  be a complete, smooth, rational curve of degree  $d$  in  $\mathbb{P}^s(\mathbb{C})$  and let  $CA$  be the associated smooth rational monomial curve as before, with normal bundles  $\mathcal{N}_C$  and  $\mathcal{N}_{CA}$ , respectively. Let  $f_C : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$  and  $f_{CA} : \mathbb{P}^1(\mathbb{C}) \rightarrow \mathbb{P}^s(\mathbb{C})$*

be the related morphisms. Let  $\varphi_C(k)$  and  $\varphi_{CA}(k)$  be the two functions introduced in Section 2 for any integer  $k \geq 0$ . Then

- (i) if  $\varphi_{CA}(k) = 0$  for  $k \geq k_0$  ( $k_0$  suitable integer) then  $\varphi_C(k) = 0$  for  $k \geq k_0$ ;
- (ii) if  $\Delta^2\varphi_{CA}(k) = 0$  for  $k \geq k_0$  ( $k_0$  suitable integer) then  $\Delta^2\varphi_C(k) = 0$  for  $k \geq k_0$ ;
- (iii) assume that  $f_{CA}^*\mathcal{N}_{CA} \simeq \mathcal{O}_{\mathbb{P}^1}(\xi'_1) \oplus \mathcal{O}_{\mathbb{P}^1}(\xi'_2) \oplus \cdots \oplus \mathcal{O}_{\mathbb{P}^1}(\xi'_{s-1})$  and let us put  $\mu := \max\{\xi'_1, \dots, \xi'_{s-1}\}$ , then  $f_C^*\mathcal{N}_C \simeq \mathcal{O}_{\mathbb{P}^1}(\xi_1) \oplus \mathcal{O}_{\mathbb{P}^1}(\xi_2) \oplus \cdots \oplus \mathcal{O}_{\mathbb{P}^1}(\xi_{s-1})$  with  $\xi_i \leq \mu$  for any  $i = 1, \dots, s-1$ ;
- (iv) the natural multiplication map

$$H^0(C, \mathcal{O}_C(v-1)) \otimes H^0(\mathbb{P}^s, \mathcal{O}_{\mathbb{P}^s}(1)) \rightarrow H^0(C, \mathcal{O}_C(v))$$

is surjective for any integer  $v \geq \mu - 1$ .

*Proof.* (i) and (ii) follow directly by Theorem 3.

(iii) For a suitable integer  $k_0 \gg 0$  it is surely true that  $\Delta^2\varphi_{CA}(k) = 0$  for  $k \geq k_0$ ; let us assume that  $k_0$  is the minimal integer with this property. Recall that

$$f_{CA}^*\mathcal{N}_{CA}(-d-2) = \bigoplus_{i=1}^{s-1} \mathcal{O}_{\mathbb{P}^1}(c'_i),$$

with  $c'_1 \geq c'_2 \geq \cdots \geq c'_{s-1}$ , and that  $\Delta^2[\varphi_{CA}(k)]$  is exactly the number of integers  $c'_i$  which are equal to  $k$ . Hence, if  $\Delta^2\varphi_{CA}(k) = 0$  for  $k \geq k_0$ , we have that  $c'_1 = k_0 - 1$  and  $\mu = k_0 + d + 1$ . By (ii) we have that  $\Delta^2\varphi_C(k) = 0$  for  $k \geq k_0$ . Recall that

$$f_C^*\mathcal{N}_C(-d-2) = \bigoplus_{i=1}^{s-1} \mathcal{O}_{\mathbb{P}^1}(c_i),$$

with  $c_1 \geq c_2 \geq \cdots \geq c_{s-1}$ , and that  $\Delta^2[\varphi_C(k)]$  is exactly the number of integers  $c_i$  which are equal to  $k$ . Hence  $c_1 \leq k_0 - 1$  and  $\xi_i = c_i + d + 2 \leq k_0 + d + 1 = \mu$  for any  $i = 1, \dots, s-1$ .

(iv) For any integer  $v \geq 1$ , let us recall the following exact sequence due to Ein (see [5, Theorem 2.4]):

$$0 \rightarrow \mathcal{N}_C^*(v) \rightarrow \mathcal{O}_C(v-1) \otimes H^0(\mathbb{P}^s, \mathcal{O}_{\mathbb{P}^s}(1)) \rightarrow \mathcal{P}^1[\mathcal{O}_C(v)] \rightarrow 0$$

where  $\mathcal{N}_C^*$  is the dual of  $\mathcal{N}_C$  and  $\mathcal{P}^1[\mathcal{O}_C(v)]$  denotes the principal parts bundle of  $\mathcal{O}_C(v)$ . If  $h^1(C, \mathcal{N}_C^*(v)) = 0$  we have that

$$H^0(C, \mathcal{O}_C(v-1)) \otimes H^0(\mathbb{P}^s, \mathcal{O}_{\mathbb{P}^s}(1)) \rightarrow H^0(C, \mathcal{P}^1[\mathcal{O}_C(v)])$$

is surjective. On the other hand,  $H^0(C, \mathcal{P}^1[\mathcal{O}_C(v)]) \rightarrow H^0(C, \mathcal{O}_C(v))$  is always surjective (see [5, Proposition 2.3]). Hence the natural multiplication map is surjective if  $h^1(C, \mathcal{N}_C^*(v)) = 0$ .

By Serre duality  $h^1(C, \mathcal{N}_C^*(v)) = h^0(C, \mathcal{N}_C(-v-2))$ , so that  $h^1(C, \mathcal{N}_C^*(v)) = 0$  if  $h^0(\mathbb{P}^1, \mathcal{O}_{\mathbb{P}^1}(\xi_i - v - 2)) = 0$  for any  $i = 1, \dots, s - 1$ , i.e.,  $\xi_i \leq v + 1$  for any  $i = 1, \dots, s - 1$  and this is true if  $v \geq \mu - 1$  by (iii). ■

Now we give two examples of application of Theorem 3 to find bounds for the splitting type of rational curves. We will choose two monomial curves and we will find bounds for the values of the numbers  $c_i$  for all complete curves  $C$  whose associated curves  $CA$  are the chosen ones.

**Example 4.** Let us choose  $d = 17, e = 7, s = d - e - 1 = 9$  and let  $CA$  be the projection to  $\mathbb{P}^8(\mathbb{C})$  of the rational normal curve  $\Gamma_{17}$  from  $L := \mathbb{P}^8(T_{CA})$  where  $T_{CA} := \langle x^{15}y^2, x^{12}y^5, x^9y^8, x^8y^9, x^5y^{12}, x^4y^{13}, x^3y^{14}, x^2y^{15} \rangle$ .  $CA$  is a monomial smooth rational curve and, by using the results of [3], it is easy to see that the function  $\varphi_{CA}(k)$  has the following values for  $k \geq 0$ :

$k$	0	1	2	3	4	5	6	7	...
$\varphi_{CA}(k)$	24	16	8	4	2	0	0	0	...

hence the string of integers  $c_i$  for  $CA$  is the following:  $(4, 4, 2, 2, 1, 1, 1, 1)$ .

Assume that  $CA$  is the associated monomial curve to a smooth rational curve  $C$  of degree 17 in  $\mathbb{P}^8(\mathbb{C})$ . Assume also that  $\varphi_C(2) = \varphi_{CA}(2)$ . By Theorem 3 we can say that the function  $\varphi_C(k)$ , a priori, has the following values for  $k \geq 0$ :

$k$	0	1	2	3	4	5	6	7	...
$\varphi_C(k)$	24	16	8	$\varepsilon$	$\eta$	0	0	0	...

with  $0 \leq \varepsilon \leq 4$  and  $0 \leq \eta \leq 2$ . Hence the function  $\Delta^2\varphi_C(k)$  has the following values, for  $k \geq 0$ :

$k$	0	1	2	3	4	5	6	7	...
$\Delta^2\varphi_C(k)$	0	$\varepsilon$	$8 - 2\varepsilon + \eta$	$\varepsilon - 2\eta$	$\eta$	0	0	0	...

As  $\Delta^2\varphi_C(k) \geq 0$  we get  $8 - 2\varepsilon + \eta \geq 0$  and  $\varepsilon - 2\eta \geq 0$ .

By considering all the constraints, we have that the possible strings of  $c_i$  for  $C$  are

- $(4, 4, 2, 2, 1, 1, 1, 1)$ ,
- $(4, 3, 3, 2, 1, 1, 1, 1)$ ,
- $(3, 3, 3, 3, 1, 1, 1, 1)$ ,
- $(4, 3, 2, 2, 2, 1, 1, 1)$ ,
- $(3, 3, 3, 2, 2, 1, 1, 1)$ ,
- $(4, 2, 2, 2, 2, 2, 1, 1)$ ,
- $(3, 3, 2, 2, 2, 2, 1, 1)$ ,
- $(3, 2, 2, 2, 2, 2, 2, 1)$ ,
- $(2, 2, 2, 2, 2, 2, 2, 2)$ .

Note that, according to the sufficient condition stated in [4, Corollary 2.6], all above cases are possible.

**Example 5.** Let us choose  $d = 17, e = 6, s = d - e - 1 = 10$  and let  $CA$  be the projection to  $\mathbb{P}^8(\mathbb{C})$  of the rational normal curve  $\Gamma_{17}$  from  $L := \mathbb{P}^8(T_{CA})$  where  $T_{CA} := \langle x^{15}y^2, x^{12}y^5, x^9y^8, x^8y^9, x^4y^{13}, x^3y^{14}, x^2y^{15} \rangle$ .  $CA$  is a monomial smooth rational curve and, by using the results of [3], it is easy to see that the function  $\varphi_{CA}(k)$  has the following values for  $k \geq 0$ :

$$\begin{array}{cccccccccc} k & 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & \dots \\ \varphi_{CA}(k) & 23 & 14 & 6 & 2 & 0 & 0 & 0 & 0 & \dots \end{array}$$

hence the string of integers  $c_i$  for  $CA$  is the following:  $(3, 3, 2, 2, 1, 1, 1, 1, 0)$ .

Assume that  $CA$  is the associated monomial curve to a smooth rational curve  $C$  of degree 17 in  $\mathbb{P}^9(\mathbb{C})$ . Assume also that  $\varphi_C(2) = \varphi_{CA}(2)$ . By Theorem 3 we can say that the function  $\varphi_C(k)$ , a priori, has the following values for  $k \geq 0$ :

$$\begin{array}{cccccccccc} k & 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & \dots \\ \varphi_C(k) & 23 & 14 & 6 & \varepsilon & 0 & 0 & 0 & 0 & \dots \end{array}$$

with  $0 \leq \varepsilon \leq 2$ . Hence the function  $\Delta^2\varphi_C(k)$  has the following values for  $k \geq 0$ :

$$\begin{array}{cccccccccc} k & 0 & 1 & 2 & 3 & 4 & 5 & 6 & 7 & \dots \\ \Delta^2\varphi_C(k) & 1 & 2 + \varepsilon & 6 - 2\varepsilon & \varepsilon & 0 & 0 & 0 & 0 & \dots \end{array}$$

The possible strings of  $c_i$  for  $C$  are

- $(3, 3, 2, 2, 1, 1, 1, 1, 0),$
- $(3, 2, 2, 2, 2, 1, 1, 1, 0),$
- $(2, 2, 2, 2, 2, 2, 1, 1, 0).$

Note that, according to the sufficient condition stated in [4, Corollary 2.6], all above cases are possible.

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