

# CHERN CLASSES OF BUNDLES ON BLOWN-UP SURFACES

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ABSTRACT. Consider the blow up  $\pi: \tilde{X} \rightarrow X$  of a complex surface  $X$  at a point. Let  $\tilde{E}$  be a holomorphic bundle over  $\tilde{X}$  whose restriction to the exceptional divisor is  $\mathcal{O}(j) \oplus \mathcal{O}(-j)$  and define  $E = (\pi_* \tilde{E})^{\vee\vee}$ . Friedman and Morgan gave the following bounds for the second Chern classes  $j \leq c_2(\tilde{E}) - c_2(E) \leq j^2$ . We show that these bounds are sharp.

## 1. INTRODUCTION

We consider a complex surface  $X$  together with the blow-up  $\pi: \tilde{X} \rightarrow X$  of a point  $x \in X$  and we denote by  $\ell$  the exceptional divisor. Let  $\tilde{E}$  be a rank-2 holomorphic bundle over  $\tilde{X}$  satisfying  $\det \tilde{E} \simeq \mathcal{O}_{\tilde{X}}$ . The splitting type of  $\tilde{E}$  is by definition the integer  $j \geq 0$  such that  $\tilde{E}|_{\ell} \simeq \mathcal{O}(j) \oplus \mathcal{O}(-j)$ . Set  $E = \pi_* \tilde{E}^{\vee\vee}$ . Assuming  $X$  compact, Friedman and Morgan [3, p. 393] gave the following estimate relating the second Chern classes to the splitting type

$$(1.1) \quad j \leq c_2(\tilde{E}) - c_2(E) \leq j^2.$$

We show that these bounds are sharp. We calculate the difference  $c_2(\tilde{E}) - c_2(E)$  starting from the transition matrix defining  $\tilde{E}$  on a neighborhood of  $\ell$ . Our methods are very concrete and our calculations make essential use of the Theorem on Formal Functions [4, p. 277].

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The author's motivation to check sharpness of these bounds came from the study of instantons in mathematical physics, where the number  $c_2(\widetilde{E}) - c_2(E)$  can be looked upon as the local contribution to the charge obtained by patching a  $\widetilde{\mathbb{C}^2}$ -instanton to an instanton on  $X$  (for a mathematical treatment of instanton patching see [10, Thm.2]). The translation from mathematical physics to algebraic geometry is made through the well-known Hitchin–Kobayashi correspondence (see, e.g., [9] and references therein); which associates instantons to holomorphic bundles. In particular, to an instanton on  $\widetilde{\mathbb{C}^2}$  it associates a holomorphic bundle together with a trivialization at infinity. We describe bundles on  $\widetilde{\mathbb{C}^2}$  by explicitly giving their transition matrices, therefore their existence is guaranteed and hence the existence of the corresponding instanton. For each compact complex surface  $\widetilde{X}$  we give bundles on the blow-up  $\widetilde{X}$  which, on a neighborhood of the exceptional divisor, are also explicitly described by transition matrices; and outside of the exceptional divisor are a pull-back, therefore their existence is also guaranteed. Applications to the construction of instantons will appear elsewhere. Here we will use the term *charge* of  $\widetilde{E}$  for  $c_2(\widetilde{E}) - c_2(E)$ , but will restrict ourselves to the algebraic–geometric calculations.

Let  $F$  be a bundle on  $\widetilde{\mathbb{C}^2}$  with vanishing first Chern class. If  $X$  is a compact complex surface, then there exist holomorphic bundles  $\widetilde{E} \rightarrow \widetilde{X}$  which are isomorphic to  $F$  on a neighborhood of the exceptional divisor. In fact, following [8], given a bundle  $E \rightarrow X$ , we can construct bundles  $\widetilde{E} \rightarrow \widetilde{X}$  satisfying:

$\iota$ )  $\widetilde{E}|_{\widetilde{X}-\ell} = \pi^*(E|_{X-p})$ , where  $\pi$  is the blow-up map, and

$\iota$ )  $\widetilde{E}|_V \simeq F|_U$  for small neighborhoods  $V$  and  $U$  of the exceptional divisor in  $\widetilde{X}$  and  $\widetilde{\mathbb{C}^2}$  respectively.

Moreover, every bundle  $\widetilde{E}$  is obtained this way (see [8, Cor. 3.4]). The isomorphism class of  $\widetilde{E}$  depends on the attaching map  $\phi: (\widetilde{X} - \ell) \cap V \rightarrow GL(2, \mathbb{C})$ , however, the topological type of  $\widetilde{E}$  is independent of  $\phi$  (see [8, Cor. 4.1]). Therefore the charge does not depend upon the choice of  $\phi$ . Since the  $n$ -th infinitesimal neighborhood of the exceptional divisor on a compact complex surface is isomorphic (as a scheme) to the  $n$ -th infinitesimal neighborhood of the exceptional divisor on  $\widetilde{\mathbb{C}^2}$  we are able to use an explicit description for bundles on  $\widetilde{\mathbb{C}^2}$  to calculate the charge of  $\widetilde{E}$ .

For bundles on the blow-up of  $\mathbb{C}^2$ , we fix, once and for all, the following charts:  $\widetilde{\mathbb{C}^2} = U \cup V$  where  $U = \{(z, u)\} \simeq \mathbb{C}^2 \simeq \{(\xi, v)\} = V$  with  $(\xi, v) = (z^{-1}, zu)$  in  $U \cap V$ . Once these charts are fixed, there is a canonical choice of transition matrix for bundles on  $\widetilde{\mathbb{C}^2}$ ; namely, we recall from [7, Thm. 2.1], that *if  $E$  is a holomorphic bundle on  $\widetilde{\mathbb{C}^2}$  with  $E|_\ell \simeq \mathcal{O}(j) \oplus \mathcal{O}(-j)$ , then*

$E$  has a transition matrix of the form

$$(1.2) \quad \begin{pmatrix} z^j & p \\ 0 & z^{-j} \end{pmatrix}$$

from  $U$  to  $V$ , where

$$(1.3) \quad p := \sum_{i=1}^{2j-2} \sum_{l=i-j+1}^{j-1} p_{il} z^l u^i$$

is a polynomial in  $z$ ,  $z^{-1}$  and  $u$ .

In other words, a holomorphic rank-2 bundle  $\tilde{E}$  over  $\widetilde{\mathbb{C}^2}$  with trivial determinant is algebraic, and can be written as an extension of the form,

$$(1.4) \quad 0 \rightarrow \mathcal{O}(-j) \rightarrow \tilde{E} \rightarrow \mathcal{O}(j) \rightarrow 0$$

with extension class  $p \in Ext^1(\mathcal{O}(j), \mathcal{O}(-j))$  given by a polynomial  $p$  of the form (1.3). Moreover, since the equation of the exceptional divisor  $\ell$  on the  $U$ -chart is  $u = 0$ , we see from the expression of  $p$  that  $\tilde{E}$  is completely determined by its restriction to the  $(2j-2)$ nd formal neighborhood of  $\ell$  which we denote by  $N_\ell$ .

If we now consider the blow-up  $\tilde{X}$  at a point on a compact complex surface  $X$ , then every holomorphic rank-2 vector  $\tilde{E}$  bundle over  $\tilde{X}$  with vanishing first Chern class is topologically determined by a triple  $(E, j, p)$  where  $E$  is a rank-2 holomorphic bundle on  $X$  with vanishing first Chern class,  $j$  is a non-negative integer, and  $p$  is a polynomial (see [8, Cor. 4.1]); in this case, we write

$$(1.5) \quad \tilde{E} := (E, j, p).$$

The pair  $(j, p)$  gives an explicit description of  $\tilde{E}$  on a neighborhood of the exceptional divisor, and determines the charge of  $\tilde{E}$ . We are going to calculate numerical invariants for the cases  $p = u$  and  $p = 0$ , thus showing that the bounds on (1.1) are sharp.

We actually calculate two finer numerical invariants of  $\tilde{E}$ , which we now describe. Following Friedman and Morgan [3, p. 302], we define a sheaf  $Q$  by the exact sequence,

$$(1.6) \quad 0 \rightarrow \pi_* \tilde{E} \rightarrow E \rightarrow Q \rightarrow 0.$$

Note that  $Q$  is supported only at the point  $x$ . From the exact sequence (1.6) it follows immediately that  $c_2\pi_*(\tilde{E}) - c_2(E) = l(Q)$ , where  $l$  stands for length. An application of Grothendieck–Riemann–Roch (see [3, p. 392]) gives that

$$(1.7) \quad c_2(\tilde{E}) - c_2(E) = l(Q) + l(R^1\pi_*\tilde{E}).$$

We calculate  $l(Q)$  and  $l(R^1\pi_*\tilde{E})$  for the bundles given by triples  $(E, j, u)$  and  $(E, j, 0)$ .

N. Buchdahl [2, Prop. 2.8] has already shown that these bounds are sharp in a more general setting by entirely different methods. However, our construction is entirely algebraic and can be used to calculate the charge  $c_2(\tilde{E}) - c_2(E)$  for any rank–2 holomorphic bundle on a blown–up surface. The method is described here for the case of vanishing first Chern class, but it is straightforward to further generalize it.

## 2. CALCULATION OF CHERN CLASSES

As mentioned in the previous section, the charge  $c_2(\tilde{E}) - c_2(E)$  depends only of the restriction of  $\tilde{E}$  to the  $(2j - 2)$ nd infinitesimal neighborhood of  $\ell$ , which we denote by  $N_\ell$ . We show that the upper bound occurs when  $\tilde{E}$  splits on  $N_\ell$ , that is when  $p = 0$  whereas the lower bound occurs for the extension,

$$0 \rightarrow \mathcal{O}(-j)|_{N_\ell} \rightarrow \tilde{E}|_{N_\ell} \rightarrow \mathcal{O}(j)|_{N_\ell} \rightarrow 0$$

given by taking the polynomial  $p$  simply to be  $u$ , where  $u = 0$  is the equation of the exceptional divisor. Note that the bundle  $\tilde{E}$  itself need not be an extension over  $\tilde{X}$ .

Before proceeding to the results, let us first give a shortcut for the calculations. The computations of the numerical invariants  $l(R^1\pi_*\tilde{E})$  and  $l(Q)$  involve calculating two inverse limits (see [5, p. 108]), which in general can become quite involved. However, in our case, some nice simplifications take place, which go as follows.

**Lemma 2.1.** *Suppose  $\tilde{E}$  is a bundle over  $\tilde{\mathbb{C}}^2$  given by transition matrix  $T = \begin{pmatrix} z^j & p \\ 0 & z^{-j} \end{pmatrix}$ , where  $p$  is a polynomial of order  $m \geq j$  in the variable  $u$ . Then  $n \geq m$  implies that  $\forall i$   $H^i(\ell_{n+1}, \tilde{E}|_{\ell_{n+1}})$  and  $H^i(\ell_n, \tilde{E}|_{\ell_n})$  have the same generators as  $\mathbb{C}[[x, y]]$ -modules.*

*Proof.* For  $i > 1$ , we have  $H^i(\ell_n, \tilde{E}|_{\ell_n}) = 0$ , which follows immediately from the fact that  $\tilde{\mathbb{C}}^2$  is covered by only two open sets. For  $i = 1$ , we consider the short exact sequence,

$$(2.1) \quad 0 \rightarrow \tilde{E} \otimes \mathcal{I}^n / \mathcal{I}^{n+1} \rightarrow \tilde{E}|_{\ell_{n+1}} \rightarrow \tilde{E}|_{\ell_n} \rightarrow 0.$$

Since  $\mathcal{I}^n/\mathcal{I}^{n+1} \simeq \mathcal{O}(n)$  and  $n \geq j$ , we have that  $H^i(\tilde{E} \otimes \mathcal{I}^n/\mathcal{I}^{n+1}) = 0$  for  $i \geq 1$ ; and the result follows from the long exact sequence in cohomology induced by (2.1).

For  $i = 0$ , first of all, it is clear that  $M_n := H^0(\ell_n, \tilde{E}|_{\ell_n}) \subset M_{n+1} := H^0(\ell_{n+1}, \tilde{E}|_{\ell_{n+1}})$ . If  $\sigma \in M_{n+1}$  is a section of degree  $n+1$  in  $u$ , then we want to show that  $\sigma$  belongs to the  $\mathbb{C}[[x, y]]$ -module generated by  $M_n$ . We use induction on  $n$ . Case  $n = 0$  corresponds to the split bundle, for which the result is obvious. If  $\sigma \in \Gamma(U \cap \ell_{n+1}, \tilde{E}|_{\ell_{n+1}})$ , then  $\sigma$  has a power series expression of the form,

$$\sigma = \sum_{l=0}^{n+1} \sum_{k=0}^{\infty} \begin{pmatrix} a_{lk} \\ b_{lk} \end{pmatrix} z^k u^l.$$

If  $\sigma$  extends to a global section of  $\tilde{E}|_{\ell_{n+1}}$  then the condition  $T\sigma \in \Gamma(V \cap \ell_{n+1}, \tilde{E}|_{\ell_{n+1}})$  must hold, that is,

$$(2.2) \quad \begin{pmatrix} z^j & p \\ 0 & z^{-j} \end{pmatrix} \sum_{l=0}^{n+1} \sum_{k=0}^{\infty} \begin{pmatrix} a_{lk} \\ b_{lk} \end{pmatrix} z^k u^l$$

must be holomorphic in the variables  $\xi = z^{-1}$  and  $v = zu$ . Since  $x$  acts by multiplication by  $u$ , the equality

$$\begin{pmatrix} z^j & p \\ 0 & z^{-j} \end{pmatrix} \begin{pmatrix} 0 \\ z^k u^{n+1} \end{pmatrix} = u \begin{pmatrix} z^j & p \\ 0 & z^{-j} \end{pmatrix} \begin{pmatrix} 0 \\ z^k u^n \end{pmatrix}$$

shows that  $\alpha := \begin{pmatrix} 0 \\ z^k u^{n+1} \end{pmatrix} \in M_{n+1}$  if and only if  $\begin{pmatrix} 0 \\ z^k u^n \end{pmatrix} \in M_n$ ; in which case,  $\alpha$  belongs to the  $\mathbb{C}[[x, y]]$ -module generated by  $M_n$ . Hence, it suffices to verify whether  $\sigma - \alpha \in M_n$ . Using the power series expression of  $\sigma - \alpha$  we restate the condition  $T(\sigma - \alpha) \in \Gamma(V \cap \ell_{n+1}, \tilde{E}|_{\ell_{n+1}})$ . Thus, we obtain conditions in the coefficients of  $u^m$ , which by induction hypothesis are satisfied for  $0 \leq m \leq n$ . We are then left with one single extra condition; namely, that

$$(2.3) \quad z^j a_{n+1,k} z^k u^{n+1} + p \sum_{l=0}^n \sum_{k=0}^{\infty} b_{n+1,k} z^k u^l$$

be holomorphic in  $z^{-1}$  and  $zu$ . But because  $p$  has order  $m \leq n$  in  $u$  there are no elements of the form  $p b_{0,k+1}$  which are of order  $n+1$  in  $u$ . Hence, we can factor  $u$  in (2.3) and, equivalently, demand that

$$(2.4) \quad z^j a_{n+1,k} z^k u^n + p \sum_{l=0}^n \sum_{k=0}^{\infty} b_{l+1,k} z^k u^l$$

be holomorphic in  $z^{-1}$  and  $zu$ . Thus, we arrived at the same condition that holds true in  $M_n$  (up to renaming the coefficients), and hence is satisfied by inductive hypothesis. It follows that  $\sigma - \alpha$ , and hence  $\sigma$ , belongs to the  $\mathbb{C}[[x, y]]$ -module generated by  $M_n$ .  $\square$

**Lemma 2.2.** *Set  $M = H^0(N_\ell, \tilde{E}|_{N_\ell})$ , and let  $\rho: M \hookrightarrow M^{\vee\vee}$  be the natural inclusion of  $M$  into its bidual. Then  $l(Q) = \dim \text{coker } \rho$ .*

*Proof.* Since the length of  $Q$  equals the dimension of  $Q_x^\wedge$  as a  $\mathbb{C}$ -vector space, and since  $Q$  is defined by the sequence (1.6), we need to study the map  $(\pi_* \tilde{E}_x)^\wedge \rightarrow E_x^\wedge$  and compute the dimension of the cokernel as a  $\mathbb{C}$ -vector space. But as  $E_x^\wedge = (\pi_* \tilde{E}_x)^{\wedge\vee\vee}$ , we need to compute the  $\mathbb{C}[[x, y]]$ -module structure on  $W := (\pi_* \tilde{E}_x)^\wedge$  and to study the natural map  $W \hookrightarrow W^{\vee\vee}$ . By the Theorem on Formal Functions (see [4, p. 277])

$$W \simeq \varprojlim H^0(\ell_n, \tilde{E}|_{\ell_n})$$

as  $\mathbb{C}[[x, y]]$ -modules, where  $\ell_n$  is the  $n$ -th infinitesimal neighborhood of  $\ell$ . Since  $N_\ell := \ell_{2j-2}$ , and since  $p$  has degree  $2j - 2$  in  $u$ , by Lemma 2.1, if  $n \geq 2j - 2$ , then

$$H^0(\ell_n, \tilde{E}|_{\ell_n}) \simeq H^0(N_\ell, \tilde{E}|_{N_\ell})$$

as  $\mathbb{C}[[x, y]]$ -modules. Therefore, by Thm. 9.3 on [4, p. 193], the inverse limit stabilizes at  $2j - 2$ , thus giving  $W \simeq H^0(N_\ell, \tilde{E}|_{N_\ell}) = M$ .  $\square$

**Lemma 2.3.**  $l(R^1\pi_*\tilde{E}) = \dim_{\mathbb{C}} H^1(N_\ell, \tilde{E}|_{N_\ell})$ .

*Proof.* This proof is similar to that of Lemma 2.2. We use the Theorem on Formal Functions [4, p. 277], which gives

$$R^1\pi_*\tilde{E} = \varprojlim H^1(\ell_n, \tilde{E}|_{\ell_n}).$$

We see from (1.3) that the polynomial  $p$  which determines the extension  $\tilde{E}$  has degree  $2j - 2$  in  $u$ , and applying Lemma 2.1 we see that the inverse limit stabilizes at  $n = 2j - 2$ . It then follows from [4, Thm. 9.3] that  $R^1\pi_*\tilde{E} = H^1(\ell_{2j-2}, \tilde{E}|_{\ell_{2j-2}})$ . Since  $N_\ell := \ell_{2j-2}$  we conclude that  $l(R^1\pi_*\tilde{E}) = \dim_{\mathbb{C}} H^1(N_\ell, \tilde{E}|_{N_\ell})$ .  $\square$

Note that these simplifications are only possible because we have algebraic bundles whose extension class is explicitly given in (1.4) (see also [2]). For holomorphic bundles that are not algebraic, more work is required to compute the inverse limits. In [1, p. 3–4] we calculate several instances of  $l(Q)$  and  $l(R^1\pi_*\tilde{E})$  for extensions of  $\mathcal{O}(j)$  by  $\mathcal{O}(-j)$  for  $j = 2, 3$ . We now prove sharpness of the bounds.

### 3. THE UPPER BOUND OCCURS FOR $p = 0$

We show that the upper bound for the charge occurs for the split extension, which by (1.5) is denoted  $\tilde{E} := (E, j, 0)$ .

**Theorem 3.1.** *If  $\tilde{E} := (E, j, 0)$ , then  $c_2(\tilde{E}) - c_2(E) = j^2$ .*

*Proof.* Use lemmas 3.2 and 3.3 together with equality (1.7). □

**Lemma 3.2.** *If  $\tilde{E} := (E, j, 0)$ , then  $l(Q) = j(j + 1)/2$ .*

*Proof.* According to Lemma 2.2,  $l(Q) = \dim \text{coker } \rho$  is the dimension of the cokernel of the natural inclusion  $\rho: M \hookrightarrow M^{\vee\vee}$  where  $M = H^0(N_\ell, \tilde{E}|_{N_\ell})$ .

We find that  $M = \mathbb{C}[[x, y]] \langle \alpha, \beta_0, \beta_1, \dots, \beta_j \rangle / R$  is generated by

$$\alpha = \begin{pmatrix} 1 \\ 0 \end{pmatrix}, \beta_0 = \begin{pmatrix} 0 \\ 1 \end{pmatrix}, \beta_1 = \begin{pmatrix} 0 \\ z \end{pmatrix}, \dots, \beta_j = \begin{pmatrix} 0 \\ z^j \end{pmatrix}$$

satisfying the set of relations

$$R := \begin{cases} x\beta_1 - y\beta_0 = 0, x\beta_2 - y\beta_1 = 0 \cdots, x\beta_j - y\beta_{j-1} = 0, \\ x^2\beta_2 - y^2\beta_0 = 0, \cdots, x^2\beta_j - y^2\beta_{j-2} = 0 \\ \vdots \\ x^j\beta_j - y^j\beta_0 = 0 \end{cases}.$$

All together there are  $j(j + 1)/2$  independent relations. Then, writing the generators of  $M^\vee$  and  $M^{\vee\vee}$ , we see that  $\text{coker}(M \hookrightarrow M^{\vee\vee})$  is a  $j(j + 1)/2$  dimensional vector space over  $\mathbb{C}$ . Hence  $l(Q) = j(j + 1)/2$ . □

**Lemma 3.3.** *If  $\tilde{E} := (E, j, 0)$ , then  $l(R^1\pi_*\tilde{E}) = j(j - 1)/2$ .*

*Proof.* According to Lemma 2.3, we have  $l(R^1\pi_*\tilde{E}) = \dim_{\mathbb{C}} H^1(N_\ell, \tilde{E}|_{N_\ell})$ . It is simple to calculate  $H^1(N_\ell, \tilde{E}|_{N_\ell})$  directly from the explicit form of transition matrix for  $\tilde{E}|_{N_\ell}$  and we find that  $l(R^1\pi_*\tilde{E}) = j(j - 1)/2$ . □

**Remark:** We can also proof Theorem 3.1 in a simpler way, by explicitly constructing a generic section of  $\tilde{E}$  and counting its zeros. However, the method of finding a generic section is manageable only when  $\tilde{E}$  splits near  $\ell$ , whereas our application of the Theorem on Formal Functions is completely general and works whether  $\tilde{E}$  splits or not.

4. THE LOWER BOUND OCCURS FOR  $p = u$ 

We show that the upper bound for the charge occurs when we take the extension class  $p$  simply to be  $u$ , which by (1.5) is denoted  $\tilde{E} := (E, j, u)$ .

**Theorem 4.1.** *If  $\tilde{E} := (E, j, u)$ , then  $c_2(\tilde{E}) - c_2(E) = j$ .*

*Proof.* Use lemmas 4.2 and 4.3 together with equality (1.7). □

**Lemma 4.2.** *If  $\tilde{E} := (E, j, u)$ , then  $l(Q) = 1$ .*

*Proof.* The bundle  $\tilde{E}$  is given over  $N_\ell$  by the transition matrix  $\begin{pmatrix} z^j & u \\ 0 & z^{-j} \end{pmatrix}$  as in (1.2). Here calculations are similar to the ones in the proof of Lemma 3.2. We set  $M := (\pi_* \tilde{E}_x)^\wedge$  and study the natural map  $\rho: M \hookrightarrow M^{\vee\vee}$  of  $\mathcal{O}_x^\wedge$ -modules. According to Lemma 2.2, there is an isomorphism  $M \simeq H^0(N_\ell, \tilde{E}|_{N_\ell})$ . We find that  $M = \mathbb{C}[[x, y]] \langle \beta_0, \beta_1, \beta_j, \alpha \rangle / R$  where  $\beta_0 = \begin{pmatrix} 0 \\ 1 \end{pmatrix}$ ,  $\beta_1 = \begin{pmatrix} 0 \\ z \end{pmatrix}$ ,  $\beta_j = \begin{pmatrix} -u \\ z^j \end{pmatrix}$ ,  $\alpha = \begin{pmatrix} u^j \\ 0 \end{pmatrix}$  and  $R$  is the set of relations

$$\begin{cases} x\beta_1 - y\beta_0 = 0 \\ \alpha + x^{j-1}\beta_j - y^{j-1}\beta_1 = 0 \end{cases} .$$

Using the second relation, we eliminate  $\alpha$  from the set of generators, and get a simpler presentation  $M \simeq \mathbb{C}[[x, y]] \langle \beta_0, \beta_1, \beta_j \rangle / R'$  where  $R'$  consists of the single relation  $x\beta_1 - y\beta_0 = 0$ . It is now a matter of simple algebra to find that  $M^\vee = \langle a, b \rangle$  is free on two generators, where

$$a = \begin{cases} \beta_0 \mapsto x \\ \beta_1 \mapsto y \\ \beta_j \mapsto 0 \end{cases} , \quad b = \begin{cases} \beta_0 \mapsto 0 \\ \beta_1 \mapsto 0 \\ \beta_j \mapsto 1 \end{cases} .$$

Then  $M^{\vee\vee} = \langle a^*, b^* \rangle$  is generated by the dual basis, namely

$$a^* = \begin{cases} a \mapsto 1 \\ b \mapsto 0 \end{cases} , \quad b^* = \begin{cases} a \mapsto 0 \\ b \mapsto 1 \end{cases} .$$

Hence  $\text{im } \rho = \langle x a^*, y a^*, b^* \rangle$ , and  $\text{coker } \rho = \langle \overline{a^*} \rangle$ . So  $l(Q) = \dim \text{coker } \rho = 1$ . □



**Lemma 4.3.** *If  $\tilde{E} := (E, j, u)$ , then  $l(R^1\pi_*\tilde{E}) = j - 1$ .*

*Proof.* We claim that  $H^1(N_\ell, \tilde{E}|_{N_\ell})$  is generated as a  $\mathbb{C}$ -vector space by the 1-cocycles  $\begin{pmatrix} z^k \\ 0 \end{pmatrix}$  for  $-j + 1 \leq k \leq -1$ . Hence by Lemma 2.3

$$l(R^1\pi_*\tilde{E}) = \dim \lim_{\leftarrow} H^1(\ell_n, \tilde{E}|_{\ell_n}) = \dim H^1(N_\ell, \tilde{E}|_{N_\ell}) = j - 1.$$

In fact, if  $T$  is the transition matrix for  $\tilde{E}|_{N_\ell}$ , then the two equations

$$B = \sum_{i=0}^{\infty} \sum_{k=-\infty}^{\infty} \begin{pmatrix} 0 \\ v_{ik} \end{pmatrix} = \sum_{i=0}^{\infty} \sum_{k=0}^{\infty} \begin{pmatrix} 0 \\ v_{ik} \end{pmatrix} + T^{-1} \sum_{i=0}^{\infty} \sum_{k=-\infty}^{-1} \begin{pmatrix} v_{ik} u \\ v_{ik} z^{-j} \end{pmatrix}$$

where  $v_{ik} := b_{ik} z^k u^i$ , show that  $B$  is a coboundary, since the first term on the right hand side is holomorphic in  $U$  and the last term is holomorphic on  $V$ . As a consequence every 1-cocycle has a representative of the form  $\alpha = \sum_{i=0}^{\infty} \sum_{k=-\infty}^{\infty} \begin{pmatrix} a_{ik} z^k u^i \\ 0 \end{pmatrix}$ . Similarly, the equality

$$A = \sum_{i=0}^{\infty} \sum_{k=0}^{\infty} \begin{pmatrix} w_{ik} \\ 0 \end{pmatrix} + T^{-1} \sum_{i=0}^{\infty} \sum_{k=-\infty}^{-1} \begin{pmatrix} w_{ik} \\ 0 \end{pmatrix}$$

where  $w_{ik} := a_{ik} z^k u^i$  shows that  $A$  is a coboundary. Hence,  $\alpha \sim \alpha - A = \sum_{k=-j+1}^{-1} \begin{pmatrix} w_{0k} \\ 0 \end{pmatrix}$ . Therefore, the nonvanishing cohomology classes correspond to the terms  $\begin{pmatrix} w_{0k} \\ 0 \end{pmatrix}$  for  $-j + 1 \leq k \leq -1$ , thus giving the  $j - 1$  generators of  $H^1(N_\ell, \tilde{E}|_{N_\ell})$ .  $\square$

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