

A CRITERION FOR THE EQUIVALENCE OF FORMAL SINGULARITIES

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Abstract. We prove a generalization of the finite determinacy theorem for isolated singularities. The maximal ideal occurring in the finite determinacy theorem is replaced by any ideal annihilating the first cotangent cohomology of a formal singularity over a Noetherian ring. An analogous result holds for finitely generated modules. As an application we give a criterion for the algebraizability of formal singularities and modules.

0. Introduction. In this paper we give a criterion for certain algebras over a noetherian ring S to be isomorphic, Theorem 1.1. Informally speaking, the criterion is the following stability assertion. Let the first cotangent cohomology $T^1(R/S)$ of $R = S[[x_1, \dots, x_n]]/I$ be annihilated by some power of an ideal \mathfrak{a} . Then any $S[[x_1, \dots, x_n]]/J$, such that generators of J and relations among the generators are congruent to generators and relations of I modulo a sufficiently high power of \mathfrak{a} , is right equivalent to R . If R is an isolated singularity over the field k , $T^1(R/k)$ is always annihilated by some power of the maximal ideal (x_1, \dots, x_n) , because the support of $T^1(R/k)$ is contained in the singular locus; so this generalizes known results on isolated singularities.

For a list of references on the subject, we refer to the introduction of [CS93]. Our proof is similar to Hironaka's proof of a criterion for the equivalence of isolated singularities sketched in [Hir69].

Just as for isolated singularities in Artin's paper [Art69, Th. 3.8], we deduce from our criterion the algebraizability of a certain class of singularities, Theorem 1.3. This class includes the isolated singularities, generalizing Artin's result. Theorem 1.5 is the analogue of our main theorem for finitely generated modules over a field.

We will use the notation $P = S[[x_1, \dots, x_n]]$ throughout. We recall that the first cotangent cohomology $T^1(R/S)$ of an S -algebra $R = P/I$ is the cokernel of the natural map $Der_S(P, P) \rightarrow Hom_P(I, R)$.

1. Results. Our main theorem is this:

THEOREM 1.1. (Equivalence of singularities) *Let S be a noetherian commutative ring with 1, $P = S[[x_1, \dots, x_n]]$ and $\mathfrak{a} \subset P$ an ideal such that $1 - x$ is invertible*

for all $x \in \mathfrak{a}$ and P is \mathfrak{a} -complete, i.e., (P, \mathfrak{a}) is a complete Zariski ring. Let $I \subset P$ be a proper ideal and write $R := P/I$. Assume that $\mathfrak{a}^a T^1(R/S) = 0$ for some $a \in \mathbb{N}$. For an exact sequence of P -modules

$$P^r \xrightarrow{G} P^s \xrightarrow{F} P \rightarrow R \rightarrow 0,$$

there exist constants a_F , a_G and b , such that the following holds: If $c \in \mathbb{N}_0$, F' and G' are matrices whose entries are congruent to those of F and G modulo \mathfrak{a}^{a_F+c} and \mathfrak{a}^{a_G} respectively, and if $F' \circ G' = 0$, then there is an automorphism Φ of P over S which is congruent to the identity modulo \mathfrak{a}^{a_F+c-b} and carries the ideal $I' := \text{Im}(F')$ onto $I = \text{Im}(F)$.

In particular, the theorem is valid if we choose \mathfrak{a} to be the following ideal H_I , which can easily be computed from the given data.

Definition 1.2. Let $\text{Jac}(F)$ denote the jacobian matrix of partial derivatives of F . If A, B, C, D are subsets of indices, let G_{AB} and $\text{Jac}(F)_{CD}$ denote the corresponding submatrices.

We define the ideal $H_I \subset P$ to be generated by

$$\{\det(G_{AB}) \cdot \det(\text{Jac}(F)_{CD}) \mid \#A = \#B = p, \#C = \#D = s - p \\ \text{and } A \cup D = \{1, \dots, s\}\}.$$

The ideal H_I or rather $H_I + I$ describes the nonsmooth locus of R over S . Since the cotangent cohomology has support in the nonsmooth locus, a power of H_I annihilates T^1 . Following Artin, [Art76, Part II], we outline a direct proof: Consider the complex

$$(1) \quad R^r \xrightarrow{G \otimes R} R^s \xrightarrow{\text{Jac}(F) \otimes R} R^n.$$

Localizing at a prime $\mathfrak{p} \supset I$ gives a split sequence iff $H_I \subset \mathfrak{p}$. In this case the dual complex of (1) is also a split sequence. In particular it is exact. Now $T^1(R/S)$ is the homology of this dual complex, so $T^1(R/S)$ is annihilated by some power of H_I .

The special case of Theorem 1.1 for an ideal defining the nonsmooth locus has already appeared, slightly modified, in [CS97, Th. 4.4]. However, our theorem is stronger, since the support of T^1 can be smaller than the nonsmooth locus, e.g. for rigid singularities.

Now we consider the special case that S is a field and $\mathfrak{a} = \mathfrak{m} = (x_1, \dots, x_n)$. Following Artin's proof for isolated singularities [Art69, Th. 3.8], we deduce the algebraizability of singularities with $\dim_k T^1(R/k) < \infty$.

THEOREM 1.3. Let k be any field. Let $I \subset \mathfrak{m} \subset P = k[[x_1, \dots, x_n]]$ be an ideal, $R := P/I$ and $\dim_k T^1(R/k) < \infty$. Let $H = k\langle x_1, \dots, x_n \rangle$ be the Henselization of the

polynomial ring at the maximal ideal (x_1, \dots, x_n) , i.e., the ring of algebraic power series.

Then there is an ideal $J \subset H$ and a formal automorphism Φ of P , which transforms the completion of J into I :

$$\Phi(\hat{J}) = I.$$

Proof. The condition $\dim_k T^1(R/k) < \infty$ is equivalent to $\mathfrak{m}^a T^1(R/k) = 0$ for some constant a . We choose a representation

$$P^r \xrightarrow{G} P^s \xrightarrow{F} P \rightarrow R \rightarrow 0$$

of R . So if $F = (f_i)$ and $G = (g_{ij})$, we have generators f_1, \dots, f_s of I and relations $\sum_i f_i g_{ij} = 0$. The f_i and g_{ij} are solutions of the following system of equations in the unknowns Y_i, Y_{ij} :

$$\sum_{i=1}^s Y_i Y_{ij} = 0, \quad j = 1, \dots, r.$$

Now we make use of the Artin approximation theorem as stated in [KPR75, Satz 5.2.1, (4)]:

THEOREM 1.4. (Artin Approximation Theorem) *Let $H = k\langle x_1, \dots, x_n \rangle$ be the Henselization of the polynomial ring at the maximal ideal (x_1, \dots, x_n) . We assume $\bar{y}(x) \in P^N$ to be a solution of a system of polynomial equations in N variables over H . Let k be any number. Then there is an algebraic solution $y(x) \in H^N \subset P^N$, approximating the given solution up to order k :*

$$\bar{y}(x) - y(x) \equiv 0 \pmod{\mathfrak{m}^k}.$$

Choosing k to be bigger than the constants a_F and a_G in the theorem, we are done. \square

By essentially the same proof as for Theorem 1.1 we obtain the following statement for finitely generated modules.

THEOREM 1.5. *Let M be a finitely generated module over $P = k[[x_1, \dots, x_n]]$ with $\alpha^a \text{Ext}^1(M, M) = 0$. Fix a representation*

$$P^r \xrightarrow{G} P^s \xrightarrow{F} P^t \rightarrow M \rightarrow 0$$

of M , where G and F are matrices with entries in P . Then there are constants a_F , a_G and b such that the following holds: If F' and G' are matrices whose entries are congruent to those of F and G modulo α^{a_F+c} and α^{a_G} respectively, $c \in \mathbb{N}_0$ and if

$F' \circ G' = 0$, then there is an automorphism of P' which carries $\text{Im}(F')$ onto $\text{Im}(F)$. The automorphism is congruent to the identity modulo \mathfrak{a}^{a_F+c-b} .

COROLLARY 1.6. *A finitely generated module over $P = k[[x_1, \dots, x_n]]$ with the property $\dim_k \text{Ext}^1(M, M) < \infty$ is algebraic, i.e., the completion of a module over the ring of algebraic power series $H = k\langle x_1, \dots, x_n \rangle$.*

2. Proof of Theorem 1.1. We denote the entries of the matrices F and G by f_i and g_{ij} respectively. The exact sequence

$$P^r \xrightarrow{G} P^s \xrightarrow{F} I \rightarrow 0$$

gives us an embedding of the normal module $N = \text{Hom}_P(I, R)$ into R^s :

$$\begin{array}{ccccccc} 0 & \rightarrow & \text{Hom}_P(I, R) & \xrightarrow{F^*} & \text{Hom}_P(P^s, R) & \xrightarrow{\cong} & R^s, \\ & & n & \mapsto & F^*(n) & \mapsto & (n(f_1), \dots, n(f_s)). \end{array}$$

The entries of F' and G' are

$$\begin{aligned} (2) \quad & f'_i = f_i + \phi_i, & \phi_i & \in \mathfrak{a}^{a_F}, \\ (3) \quad & g'_{ij} = g_{ij} + \gamma_{ij}, & \gamma_{ij} & \in \mathfrak{a}^{a_G}, \end{aligned}$$

with $a_F, a_G \gg 0$. We will give explicit lower bounds for a_F and a_G later on in the proof. We have assumed that

$$\begin{aligned} 0 &= \sum f'_i g'_{ij} \\ &= \sum f_i g_{ij} + \sum \phi_i g_{ij} + \sum f_i \gamma_{ij} + \sum \phi_i \gamma_{ij}. \end{aligned}$$

The first summand is zero, the third is in the ideal $I = (f_1, \dots, f_s)$ and the fourth is an element of $\mathfrak{a}^{a_F+a_G}$. So $\bar{n}(f_i) := (f'_i - f_i) = \phi_i$ defines a P -module homomorphism $\bar{n}: I \rightarrow P/(I + \mathfrak{a}^{a_F+a_G})$ with the property

$$\bar{n}(f_i) = \phi_i + (I + \mathfrak{a}^{a_F+a_G}).$$

We would like to find an element n in the normal module N of R , i.e., a homomorphism from I to $R = P/I$, that induces \bar{n} .

PROPOSITION 2.1. *Let P be any Noetherian ring, $\mathfrak{a} \subset P$ an ideal, and $\lambda: A \rightarrow B$ any homomorphism between finitely generated P -modules. Then there exists an integer $c = c(\lambda)$ with the following property: For all $x \in A$ and $p \in \mathbb{N}$ such that*

$$\lambda(x) \equiv 0 \pmod{\mathfrak{a}^{p+c} B}$$

there exists an $\tilde{x} \in A$ such that

$$\lambda(\tilde{x}) = 0$$

$$\text{and } \tilde{x} \equiv x \pmod{\mathfrak{a}^p A}.$$

Proof. Consider the submodule $\text{Im}(\lambda) \subset B$. By the Artin-Rees lemma (cf. [Eis95]), there exists an integer c such that

$$\text{Im}(\lambda) \cap \mathfrak{a}^{p+c} B = \mathfrak{a}^p (\text{Im}(\lambda) \cap \mathfrak{a}^c B).$$

So if $\lambda(x) \in \mathfrak{a}^{p+c} B$ we must have $\lambda(x) = \sum_i r_i n_i$ with $r_i \in \mathfrak{a}^p$ and $n_i = \lambda(m_i) \in \text{Im}(\lambda)$. Then $\tilde{x} = x - \sum_i r_i m_i$ is just what we want. \square

Now we apply this proposition to the P -modules $A = \text{Hom}_P(P^s, P)$ and $B = \text{Hom}_P(P^r, R)$ and the homomorphism

$$\begin{aligned} \lambda: A &\rightarrow B, \\ \phi &\mapsto \phi \circ G \pmod{I}. \end{aligned}$$

Let's call the integer $c(\lambda)$ of the proposition c_1 . Then we end up with $\tilde{\phi}_i$ such that

$$(4) \quad \tilde{\phi}_i \equiv \phi_i \pmod{\mathfrak{a}^{a_F + a_G - c_1}}$$

with the property that

$$\sum \tilde{\phi}_i g_{ij} \equiv 0 \pmod{I}.$$

Hence these $\tilde{\phi}_i$ describe an $n \in N = \text{Hom}(I, R)$ defined by

$$(5) \quad n(f_i) = \tilde{\phi}_i + I.$$

Let's assume we have chosen $a_G > c_1$. As $\tilde{\phi}_i \equiv \phi_i \pmod{\mathfrak{a}^{a_F + a_G - c_1}}$ by (4), this implies $\tilde{\phi}_i \equiv \phi_i \pmod{\mathfrak{a}^{a_F}}$ and since $\phi_i \in \mathfrak{a}^{a_F}$ by (2) this leads to

$$(6) \quad \tilde{\phi}_i \in \mathfrak{a}^{a_F}.$$

We have embedded the normal module N into R^s by assigning to a homomorphism in N the s values on f_1, \dots, f_s . So our n from (5) is mapped into $\mathfrak{a}^{a_F} R^s$. Applying Proposition 2.1 to the embedding $N \rightarrow R^s$, we obtain an integer c_2 depending only on the embedding, such that

$$n \in \mathfrak{a}^{a_F - c_2} N.$$

Next, we want to find a derivation $\theta \in \text{Der}_S(P, P)$, whose restriction to I induces n . The cokernel of the map from $\text{Der}_S(P, P)$ to N is by definition $T^1(R/S)$. We have assumed $\mathfrak{a}^a T^1(R/S) = 0$, so $\mathfrak{a}^a N$ is contained in the image of $\text{Der}_S(P, P)$ under this map. So n is induced by some

$$(7) \quad \theta \in \mathfrak{a}^{a_F - a - c_2} \text{Der}_S(P, P).$$

This means we have the equalities

$$n(f_i) = \theta(f_i) + I$$

and by (4) and (5) this implies

$$(8) \quad \theta(f_i) \equiv \phi_i \pmod{I + \mathfrak{a}^{a_F + a_G - c_1}}.$$

But as by (7) $\theta \in \mathfrak{a}^{a_F - a - c_2} \text{Der}_S(P, P)$ and by (2) $\phi \in \mathfrak{a}^{a_F}$, we also know

$$(9) \quad \theta(f_i) \equiv \phi_i \pmod{\mathfrak{a}^{a_F - a - c_2}}.$$

Applying the Artin-Rees lemma once more we find an integer c_3 such that

$$(10) \quad \mathfrak{a}^{p+c_3} \cap I = \mathfrak{a}^p(\mathfrak{a}^{c_3} \cap I) \subset \mathfrak{a}^p I.$$

We have chosen $a_G > c_1$. So $a_F - a - c_2 < a_F + a_G - c_1$ and (10) implies $\mathfrak{a}^{a_F - a - c_2} \cap (I + \mathfrak{a}^{a_F + a_G - c_1}) \subset \mathfrak{a}^{a_F - a - c_2 - c_3} I + \mathfrak{a}^{a_F + a_G - c_1}$. Combining this with (8) and (9) we get:

$$(11) \quad \theta(f_i) \equiv \phi_i \pmod{\mathfrak{a}^{a_F - a - c_2 - c_3} I + \mathfrak{a}^{a_F + a_G - c_1}}.$$

We use the derivation θ to construct an automorphism Φ_{a_F} of $P = S[[x_1, \dots, x_n]]$ by setting

$$\Phi_{a_F}(x_m) := x_m - \theta(x_m).$$

From (7) we deduce the two obvious inclusions

$$(12) \quad \theta(\mathfrak{a}^k) \subset \mathfrak{a}^{a_F - a - c_2 + k - 1}$$

$$(13) \quad \text{and} \quad \Phi_{a_F}(f) \equiv f - \theta(f) \pmod{\mathfrak{a}^{2(a_F - a - c_2)}} \quad \forall f \in P.$$

We first notice that

$$(14) \quad \Phi_{a_F} \equiv \text{Id}_P \pmod{\mathfrak{a}^{a_F - a - c_2}}.$$

Further

$$\begin{aligned}
 \Phi_{a_F}(f_i + \phi_i) &= \Phi_{a_F}(f_i) + \Phi_{a_F}(\phi_i) \\
 &\equiv f_i + (\phi_i - \theta(f_i)) - \theta(\phi_i) \pmod{\mathfrak{a}^{2(a_F - a - c_2)}} \\
 &\equiv f_i - \theta(\phi_i) \pmod{\mathfrak{a}^{a_F - a - c_2 - c_3}I + \mathfrak{a}^{a_F + a_G - c_1}} \\
 &\equiv f_i \pmod{\mathfrak{a}^{2a_F - a - c_2 - 1}}.
 \end{aligned}$$

The first congruence follows from (13), the second from (11) and the third from (12). If we choose $a_G \geq c_1 + 1$ and $a_F \geq \max\{2a + 2c_2 + 1, a + c_2 + 2, a_G + a + c_2 + c_3\}$, we get

$$\begin{aligned}
 \Phi_{a_F}(f_i + \phi_i) &\equiv f_i \pmod{\mathfrak{a}^{a_G}I + \mathfrak{a}^{a_F+1}} \\
 \Leftrightarrow \Phi_{a_F}(f_i + \phi_i) &= f_i + \psi_i + \phi_i'' \quad \text{with } \psi_i \in \mathfrak{a}^{a_G}I, \phi_i'' \in \mathfrak{a}^{a_F+1}.
 \end{aligned}$$

Consider the vector $(f_i + \psi_i)$. It can be written as $(f_1, \dots, f_s) \circ (1 + \Psi_{a_F})$, where Ψ_{a_F} is a matrix with entries in \mathfrak{a}^{a_G} . Since P is \mathfrak{a} -complete, $1 + \Psi_{a_F}$ is invertible and describes an automorphism of P^s . Set $\tilde{F} := F \circ (1 + \Psi_{a_F})$ and $\tilde{G} := (1 + \Psi_{a_F})^{-1} \circ G$. We get a new representation of R :

$$\begin{array}{ccccccc}
 P^r & \xrightarrow{\tilde{G}} & P^s & \xrightarrow{\tilde{F}} & P & \longrightarrow & R \longrightarrow 0 \\
 & \searrow G & \uparrow \cong & \nearrow F & & & \\
 & & P^s & & & &
 \end{array}$$

We set $G'' = G'$ and $F'' = \Phi_{a_F} \circ F'$:

$$\begin{array}{ccc}
 P^r & \xrightarrow{G' = G''} & P^s & \xrightarrow{F'} & P \\
 & & & \searrow F'' & \downarrow \Phi_{a_F} \\
 & & & & P
 \end{array}$$

Then $F'' \circ G'' = 0$. We have shown that the entries of \tilde{F} are congruent to those of F'' modulo \mathfrak{a}^{a_F+1} . The entries of \tilde{G} are congruent to those of G modulo \mathfrak{a}^{a_G} , which in turn are congruent to those of $G'' = G'$ modulo \mathfrak{a}^{a_G} , so the entries of \tilde{G} are congruent to those of G'' modulo \mathfrak{a}^{a_G} .

So we have improved the situation by raising a_F by one. Now we want to use induction on a_F ; to do this we have to check whether all those constants may be taken to be the same in the next step of our induction:

The constants a and c_3 only depend on \mathfrak{a} and I .

The constant c_1 was found by applying Proposition 2.1 to the homomorphism

$$\begin{aligned}
 \lambda: \operatorname{Hom}_P(P^s, P) &\rightarrow \operatorname{Hom}_P(P^r, R) \\
 \phi &\mapsto \phi \circ G \pmod{I}.
 \end{aligned}$$

In the next step of our induction we will apply it to

$$\lambda': \phi \mapsto \phi \circ (Id + \Psi_{a_F})^{-1} \circ G \mod I.$$

That is to say: Instead of at λ we will be looking at the composition of λ with the automorphism $((Id + \Psi_{a_F})^{-1})^*$ of $Hom_P(P^s, P)$. Since the integer c_1 only depends on the image of λ , it will be the same as before.

The last constant we have to consider is c_2 . It was found by applying the Artin-Rees lemma to the submodule $F^*(Hom(I, R)) \subset Hom_P(P^s, R) \cong R^s$. In the next step we will be considering the submodule $(1 + \Psi_{a_F})^*(F^*(Hom(I, R)))$ in $Hom_P(P^s, R)$. But $(1 + \Psi_{a_F})^*$ is a P -module automorphism of $Hom_P(P^s, R)$, so we can apply the following easy lemma:

LEMMA 2.2. *Let P be a ring, $\mathfrak{a} \subset P$ an ideal, $A \subset M$ two P -modules and $\varphi \in Aut_P(M)$. If*

$$(15) \quad A \cap \mathfrak{a}^{p+c}M = \mathfrak{a}^p(A \cap \mathfrak{a}^cM)$$

for some integers $p, c \in \mathbb{N}$, then

$$(16) \quad \varphi(A) \cap \mathfrak{a}^{p+c}M = \mathfrak{a}^p(\varphi(A) \cap \mathfrak{a}^cM).$$

In particular, if P is noetherian and M finitely generated, the Artin-Rees lemma gives rise to the same constants when applied to the two submodules A and $\varphi(A)$ of M .

Proof. It is trivial to see that for any two submodules B_1, B_2 of M we have $\varphi(B_1 \cap B_2) = \varphi(B_1) \cap \varphi(B_2)$ and also $\varphi(\mathfrak{a}^p B_1) = \mathfrak{a}^p \varphi(B_1)$. So the left resp. right side of (15) gets mapped to the left resp. right side of (16). \square

Now let's do the induction. $\Phi_{a_F} \equiv Id \mod \mathfrak{a}^{a_F - a - c_2}$, so we have a limit $\Phi = \dots \circ \Phi_{a_F+1} \circ \Phi_{a_F}$, which is an automorphism of P . In the same way we get a matrix Ψ with entries in some power of \mathfrak{a} such that $(1 + \Psi) = \prod (1 + \Psi_{a_F+k})$. By construction, $\Phi(f_i + \phi_i)$ is the i th component of $(f_1, \dots, f_s) \circ (1 + \Psi)$, so $\{f_i + \phi_i\}$ is being mapped to the generating system $\{f_i \circ (1 + \Psi)\}$ of I , hence $\Phi(I') = I$. \square

3. Proof of Theorem 1.5. The proof is the same as for Theorem 1.1. We will only check that the condition $\mathfrak{a}^a Ext^1(M, M) = 0$ for modules is the analogue to the condition $\mathfrak{a}^a T^1 = 0$ we had before. We fix a presentation

$$P^r \xrightarrow{G} P^s \xrightarrow{F} P^t \rightarrow M \rightarrow 0$$

of M and consider a perturbation

$$P^r \xrightarrow{G+\Gamma} P^s \xrightarrow{F+\Phi} P^t$$

which is an exact sequence. Then the $(t \times s)$ -matrix Φ defines a homomorphism $Im(F) \cong P^s / (Im(G) \xrightarrow{\Phi} (P^t / Im(F)) / \alpha \gg$. We approximate this homomorphism by a homomorphism to $P^t / Im(F)$. Now the crucial point is to extend this homomorphism from $Im(F)$ to all of P^t . We begin with the exact sequence

$$0 \rightarrow Im(F) \rightarrow P^t \rightarrow M \rightarrow 0.$$

This gives us a long exact sequence which starts like this:

$$0 \rightarrow Hom(M, M) \rightarrow Hom(P^t, M) \rightarrow Hom(Im(F), M) \rightarrow Ext^1(M, M) \rightarrow \dots$$

So if $\alpha^a Ext^1(M, M) = 0$, all homomorphisms in $\alpha^a Hom(Im(F), M)$ can be extended to P^t . Finally we lift this extension from $Hom(P^t, M)$ to an automorphism $\Psi \in Hom(P^t, P^t)$. The automorphism $Id_{P^t} + \Psi$ is the analogue to the automorphism we have constructed above. The rest of the proof is exactly as for Theorem 1.1. It consists mainly of keeping track of the powers of α up to which things vanish. We leave the details to the reader.

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