

The Picard functor for curves over discrete valuation rings

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1. Introduction

In the previous talk, we have seen that if $f: X \rightarrow S$ is a flat and strongly projective morphism with geometrically integral fibres, then the Picard sheaf

$$\mathrm{Pic}_{X/S} = R^1 f_* \mathbf{G}_{m,X}$$

for the fppf topology on S is representable by a scheme. In particular, we have seen the decomposition by Hilbert polynomials:

$$\mathrm{Pic}_{X/S} = \bigsqcup_{\Phi \in \mathbf{Q}[x]} \mathrm{Pic}_{X/S}^{\Phi},$$

where each $\mathrm{Pic}_{X/S}^{\Phi}$ is strongly quasi-projective.

Over a field, we have a stronger representability result that does not require the condition that the scheme be geometrically integral.

Theorem 1.1 (Grothendieck, Murre and Oort; see [1, §8.2, Theorem 3]). *Let X be a proper scheme over a field K . Then $\mathrm{Pic}_{X/K}$ is represented by a K -scheme that is locally of finite type.*

Unfortunately, there is no common generalisation that shows the representability of $\mathrm{Pic}_{X/S}$ for a strongly projective scheme X over a general scheme S whose fibres are not geometrically integral.

Let R be a discrete valuation ring, and let $S = \mathrm{Spec} R$. We write K for the field of fractions of R and k for the residue field.

Let X be a proper flat curve over S . We assume that the generic fibre X_K is normal and geometrically irreducible.

Theorem 1.2. *Assume that X is regular, and either that k is perfect or X admits an étale quasi-section. Let $\mathrm{Pic}_{X/S}^{[0]}$ be the subfunctor of $\mathrm{Pic}_{X/S}$ given by line bundles of total degree 0, and let $E_{X/S}$ be the schematic closure in $\mathrm{Pic}_{X/S}$ of the unit section $\mathrm{Spec} K \rightarrow \mathrm{Pic}_{X_K/K}$. Then $E_{X/S}$ is a subsheaf of $\mathrm{Pic}_{X/S}^{[0]}$, the quotient sheaf $Q_{X/S} = \mathrm{Pic}_{X/S}^{[0]}/E_{X/S}$ is represented by a group scheme over S , and this is a Néron model of $\mathrm{Pic}_{X_K/K}^0$.*

Theorem 1.3. *In the setting of Theorem 1.2, assume in addition that the greatest common divisor of the geometric multiplicities of the irreducible components of the special fibre X_k equals 1. Then $\mathrm{Pic}_{X/S}^0$ is separated over S , and the projection $\mathrm{Pic}_{X/S}^{[0]} \rightarrow Q_{X/S}$ induces an isomorphism from $\mathrm{Pic}_{X/S}^0$ to the identity component of $Q_{X/S}$.*

2. Preliminaries

We begin with a criterion for the formal smoothness of the Picard functor.

Proposition 2.1 ([1, §8.4, Proposition 2]). *Let $f: X \rightarrow S$ be a finitely presented proper flat morphism. Let s be a point of S such that $H^2(X_s, \mathcal{O}_{X_s}) = 0$. Then there is an open neighbourhood U of s such that $\mathrm{Pic}_{X_U/U}$ is formally smooth over U .*

Corollary 2.2. *Let $f: X \rightarrow S$ be finitely presented, proper, flat, and with fibres of dimension ≤ 1 . Then $\mathrm{Pic}_{X/S}$ is formally smooth over S .*

Proof. This follows because $H^2(X_s, \mathcal{O}_{X_s}) = 0$ for all $s \in S$ by Grothendieck's vanishing theorem [2, Theorem III.2.7]. \square

Corollary 2.3. *Let X be a proper curve over a field K . Then $\text{Pic}_{X/K}^0$ is representable by a smooth K -scheme.*

Proof. This follows from the fact that $\text{Pic}_{X/K}^0$ is representable, locally of finite type and formally smooth. \square

Next, we collect some results on Picard schemes of proper smooth schemes over a field.

Proposition 2.4. *Let X be a smooth proper scheme over a field K . Then $\text{Pic}_{X/K}^0$ is a proper group scheme over K .*

Proof. By Theorem 1.1, $\text{Pic}_{X/K}$ is representable by a K -scheme that is locally of finite type. By a general result on connected components of group schemes, $\text{Pic}_{X/K}^0$ is of finite type. The properness follows by the valuative criterion of properness, using the fact that X is smooth and proper. \square

Corollary 2.5. *Let X be a smooth projective curve over a field K . Then $\text{Pic}_{X/K}^0$ is an Abelian variety.*

Proof. This follows from the above proposition and the formal smoothness of $\text{Pic}_{X/K}$ (Corollary 2.2). \square

We now study the connected component $\text{Pic}_{X/K}^0$ in more detail.

Lemma 2.6. *Let X be a proper, smooth and geometrically connected curve over a field K , and let L be a line bundle of degree 0 on X . Then the point of $\text{Pic}_{X/K}(K)$ defined by L lies on the connected component $\text{Pic}_{X/K}^0(K)$.*

Proof. We may assume that K is algebraically closed, so every line bundle of degree 0 has the form $\mathcal{O}_X(\sum_{i=1}^n (x_i - y_i))$ with $n \geq 0$ and $x_i, y_i \in X(K)$. Since $\text{Pic}_{X/K}^0(K)$ is a subgroup of $\text{Pic}_{X/K}(K)$, it suffices to show that for all $x, y \in X(K)$, the line bundle $\mathcal{O}_X(x - y)$ defines an element of $\text{Pic}_{X/K}^0(K)$. Since X is smooth, every $y \in X(K)$ defines a map

$$\begin{aligned} X &\longrightarrow \text{Pic}_{X/K} \\ x &\longmapsto [\mathcal{O}_X(x - y)]. \end{aligned}$$

Since X is connected, the image of this map is contained in $\text{Pic}_{X/K}^0$, which proves the claim. \square

Corollary 2.7 (cf. [1, §9.2, Corollary 13]). *Let X be a proper curve over a field K , and let \bar{K} be an algebraic closure of K . Then $\text{Pic}_{X/K}^0$ classifies those line bundles whose partial degree on each irreducible component of $X_{\bar{K}}$ is zero.*

Proof. This is proved by reducing to the case where K is algebraically closed and constructing a surjective homomorphism

$$\text{Pic}_{X/K} \longrightarrow \prod_C \text{Pic}_{\tilde{C}/K}$$

with connected kernel, where C runs over the irreducible components of X and \tilde{C} is the normalisation of C . \square

Finally, we will need a criterion for separatedness of group schemes.

Proposition 2.8 (SGA 3, tome 1, exposé VI_B, proposition 5.1). *Let G be a group scheme over a scheme S . Then G is separated over S if and only if the unit section $e: S \rightarrow G$ is a closed immersion.*

Proof. In general, any section of a separated morphism is a closed immersion (EGA I 5.4.6), so if G is separated over S , then e is a closed immersion. Conversely, if e is a closed immersion, then we see from the Cartesian diagram

$$\begin{array}{ccc} G & \longrightarrow & S \\ \Delta \downarrow & & \downarrow e \\ G \times_S G & \xrightarrow{\delta} & G \end{array}$$

(where $\delta(gh) = gh^{-1}$) that the diagonal morphism $\Delta: G \times_S G \rightarrow G$ is a closed immersion, so G is separated over S . \square

3. The Picard scheme of a family of curves with geometrically integral fibres

We now specialise these to the case of curves. If X is a projective geometrically integral curve over a field K , and let g be the arithmetic genus of X , defined by

$$g = \dim_K H^1(X, \mathcal{O}_X).$$

If L is a line bundle of degree d on X , then the Riemann–Roch formula implies that for all $n \in \mathbf{Z}$, the Euler characteristic of $L(n)$ equals $1 - g + d + n \deg \mathcal{O}(1)$. This means that the Hilbert polynomial of L equals $\Phi_L = 1 - g + d + (\deg \mathcal{O}(1))x \in \mathbf{Q}[x]$. In particular, classifying line bundles by Hilbert polynomial is equivalent to classifying them by degree.

Theorem 3.1 ([1, §9.3, Theorem 1]). *Let $f: X \rightarrow S$ be a strongly projective flat morphism with geometrically integral fibres of dimension 1. Then $\mathrm{Pic}_{X/S}$ is smooth and separated over S . Furthermore, there is a decomposition*

$$\mathrm{Pic}_{X/S} = \bigsqcup_{n \in \mathbf{Z}} (\mathrm{Pic}_{X/S})^n,$$

where $(\mathrm{Pic}_{X/S})^n$ denotes the open and closed subscheme of $\mathrm{Pic}_{X/S}$ classifying line bundles of degree n . We have $(\mathrm{Pic}_{X/S})^0 = \mathrm{Pic}_{X/S}^0$. Moreover, for all $n \in \mathbf{Z}$ the S -scheme $(\mathrm{Pic}_{X/S})^n$ is quasi-projective and is a torsor under $\mathrm{Pic}_{X/S}^0$.

Proof. We already know that each $(\mathrm{Pic}_{X/S})^n$ is quasi-projective, and in particular separated. The smoothness follows from Corollary 2.2. It follows from Corollary 2.7 that $\mathrm{Pic}_{X/S}^0$ is equal to $(\mathrm{Pic}_{X/S})^0$. The claim that each $(\mathrm{Pic}_{X/S})^n$ is a torsor under $\mathrm{Pic}_{X/S}^0$ now follows from the fact that they become isomorphic once X has a section over S . \square

Let R be a discrete valuation ring with field of fractions K and residue field k . We write $S = \mathrm{Spec} R$. Using the above results, we will now show that $\mathrm{Pic}_{X/S}^0$ is a Néron model of its generic fibre.

Theorem 3.2 ([1, §9.5, Theorem 1]). *Let $f: X \rightarrow S$ be a projective flat curve with geometrically integral fibres such that X is regular. Then $\mathrm{Pic}_{X/S}^0$ is a Néron model of $\mathrm{Pic}_{X_K/K}^0$.*

Proof. We know that $\mathrm{Pic}_{X/S}^0$ is smooth, separated and of finite type by Theorem 3.1. We have to show that it satisfies the Néron mapping property. For this we may replace R by its strict Henselisation, so that $f: X \rightarrow S$ admits a section (here we use that the special fibre has a smooth point). Now let $T \rightarrow S$ be a smooth morphism, and let $u: T_K \rightarrow \mathrm{Pic}_{X_K/K}$ be a morphism of K -schemes. Because f admits a section, u defines a line bundle L on $X_K \times_K T_K$. Because $X \times_S T$ is regular, L extends to a line bundle on $X \times_S T$. This in turn defines a morphism $u': T \rightarrow \mathrm{Pic}_{X/S}$ of S -schemes. Hence the natural group homomorphism

$$\mathrm{Hom}(T, \mathrm{Pic}_{X/S}) \longrightarrow \mathrm{Hom}(T_K, \mathrm{Pic}_{X_K/K})$$

is surjective. Since $\mathrm{Pic}_{X/S}$ is separated, this homomorphism is also injective, so it is an isomorphism. For projective flat curves with geometrically integral fibres, Pic^0 classifies line bundles of degree 0 by Theorem 3.1, so the above homomorphism induces an isomorphism

$$\mathrm{Hom}(T, \mathrm{Pic}_{X/S}^0) \xrightarrow{\sim} \mathrm{Hom}(T_K, \mathrm{Pic}_{X_K/K}^0).$$

This shows that $\mathrm{Pic}_{X/S}^0$ is a Néron model of $\mathrm{Pic}_{X_K/K}^0$. \square

4. A representable quotient of $\mathrm{Pic}_{X/S}^{[0]}$

As before, let R be a discrete valuation ring with field of fractions K and residue field k . We write $S = \mathrm{Spec} R$.

Let $f: X \rightarrow S$ be a proper flat morphism with geometric fibres purely of dimension 1. Since we no longer assume that the fibres of f are geometrically integral, $\mathrm{Pic}_{X/S}$ is not necessarily representable; we view it as a sheaf for the fppf topology on $\mathrm{Spec} S$.

Let $\text{Pic}_{X/S}^{[0]}$ be the subsheaf of $\text{Pic}_{X/S}$ classifying line bundles of total degree 0. (In other words, there is a degree morphism from $\text{Pic}_{X/S}$ to the constant sheaf \mathbf{Z} , and $\text{Pic}_{X/S}^{[0]}$ is its kernel.) Then we have inclusions

$$\text{Pic}_{X/S}^0 \subseteq \text{Pic}_{X/S}^{[0]} \subseteq \text{Pic}_{X/S}.$$

Because the degree of a line bundle is locally constant, the inclusion $\text{Pic}_{X/S}^{[0]}$ into $\text{Pic}_{X/S}$ is relatively representable by open and closed immersions.

Let $E_{X/S} \subseteq \text{Pic}_{X/S}$ be the schematic closure of the unit section $e_K: \text{Spec } K \rightarrow \text{Pic}_{X_K/K}$. This $E_{X/S}$ is the subsheaf of $\text{Pic}_{X/S}$ generated by the images of all morphisms of sheaves $Z \rightarrow \text{Pic}_{X/S}$ where Z is a flat S -scheme and where the induced morphism $Z_K \rightarrow \text{Pic}_{X_K/K}$ on the generic fibre factors as $Z_K \rightarrow \text{Spec } K \xrightarrow{e_K} \text{Pic}_{X_K/K}$, where the first map is the structure morphism.

If Z is a flat S -scheme, then every morphism $Z \rightarrow \text{Pic}_{X/S}$ such that $Z_K \rightarrow \text{Pic}_{X_K/K}$ factors through the unit section has image contained in $\text{Pic}_{X/S}^{[0]}$. This implies that $E_{X/S}$ is contained in $\text{Pic}_{X/S}^{[0]}$. Therefore we can form the quotient

$$Q_{X/S} = \text{Pic}_{X/S}^{[0]} / E_{X/S}$$

in the category of sheaves for the fppf topology on $\text{Spec } S$.

Definition. Let $f: X \rightarrow S$ be a proper flat finitely presented morphism of schemes. A *rigidificator* for f is a subscheme $Y \subseteq X$ that is finite, flat and finitely presented over S and such that the functor

$$\begin{aligned} \text{Sch}_S^{\text{op}} &\rightarrow \mathbf{Sets} \\ T &\mapsto \Gamma(X_T, \mathcal{O}_{X_T}) \end{aligned}$$

is a subfunctor of

$$\begin{aligned} \text{Sch}_S^{\text{op}} &\rightarrow \mathbf{Sets} \\ T &\mapsto \Gamma(X_T, \mathcal{O}_{X_T}) \end{aligned}$$

i.e. if for every S -scheme T the natural map $\Gamma(X_T, \mathcal{O}_{X_T}) \rightarrow \Gamma(Y_T, \mathcal{O}_{Y_T})$ is injective.

Proposition 4.1 ([1, §9.5, Proposition 3]). *Let $f: X \rightarrow S$ be a proper flat curve such that X_K is normal and geometrically irreducible. Then the sheaf $Q_{X/S}$ (for the fppf topology on $\text{Spec } S$) is represented by a smooth separated S -group scheme. The quotient map $\text{Pic}_{X/S}^{[0]} \rightarrow Q_{X/S}$ is an isomorphism on the generic fibres.*

Proof. We fix a rigidificator $i: Y \hookrightarrow X$. Let $\mathbf{G}_{m,X}[Y]$ denote the kernel of the natural surjection $\mathbf{G}_{m,X} \rightarrow i_* \mathbf{G}_{m,Y}$. We consider the short exact sequence

$$1 \longrightarrow \mathbf{G}_{m,X}[Y] \longrightarrow \mathbf{G}_{m,X} \longrightarrow i_* \mathbf{G}_{m,Y} \longrightarrow 1.$$

of sheaves for the étale topology on X . Taking higher direct images under the structure morphism f and using the fact that push-forward of étale sheaves by a finite morphism is an exact functor, we obtain a long exact sequence

$$1 \longrightarrow f_*(\mathbf{G}_{m,X}[Y]) \longrightarrow f_* \mathbf{G}_{m,X} \longrightarrow (f \circ i)_* \mathbf{G}_{m,Y} \longrightarrow R^1 f_*(\mathbf{G}_{m,X}[Y]) \longrightarrow R^1 f_* \mathbf{G}_{m,X} \longrightarrow 1$$

of sheaves for the étale topology on S . We recall that

$$R^1 f_* \mathbf{G}_{m,X} = \text{Pic}_{X/S}.$$

Furthermore, we write

$$\text{Pic}_{X/S}[Y] = R^1 f_*(\mathbf{G}_{m,X}[Y]).$$

The definition of rigidificators implies $f_*(\mathbf{G}_{m,X}[Y]) = 1$. We obtain an exact sequence

$$1 \longrightarrow f_* \mathbf{G}_{m,X} \longrightarrow (f \circ i)_* \mathbf{G}_{m,Y} \longrightarrow \text{Pic}_{X/S}[Y] \longrightarrow \text{Pic}_{X/S} \longrightarrow 1$$

of sheaves for the étale topology on S .

The sheaf $\mathrm{Pic}_{X/S}[Y]$ can be interpreted as classifying line bundles on X that are rigidified along Y . Using this, one can show that $\mathrm{Pic}_{X/S}[Y]$ is represented by an algebraic space that is smooth over S [1, § 8.2; § 8.3, Theorem 3; § 8.4, Proposition 2].

Passing to line bundles of total degree 0, we obtain an exact sequence

$$1 \longrightarrow f_* \mathbf{G}_{m,X} \longrightarrow (f \circ i)_* \mathbf{G}_{m,Y} \longrightarrow \mathrm{Pic}_{X/S}^{[0]}[Y] \longrightarrow \mathrm{Pic}_{X/S}^{[0]} \longrightarrow 0$$

and a commutative diagram

$$\begin{array}{ccc} 0 & & 0 \\ \downarrow & & \downarrow \\ H & \longrightarrow & E_{X/S} \\ \downarrow & & \downarrow \\ \mathrm{Pic}_{X/S}^{[0]}[Y] & \xrightarrow{r} & \mathrm{Pic}_{X/S}^{[0]} \longrightarrow 0 \\ \downarrow & & \downarrow \\ \mathrm{Pic}_{X/S}^{[0]}[Y]/H & \xrightarrow{\bar{r}} & Q_{X/S} \longrightarrow 0 \\ \downarrow & & \downarrow \\ 0 & & 0 \end{array}$$

where H is the kernel of the composed map $\mathrm{Pic}_{X/S}^{[0]}[Y] \rightarrow Q_{X/S}$. A diagram chase (or the snake lemma) shows that \bar{r} is an isomorphism. We now note that H equals the closure of the kernel of r . This kernel is flat over S because it is a quotient of $(f \circ i)_* \mathbf{G}_{m,Y}$; it follows that its closure H is flat over S . From this it follows that $\mathrm{Pic}_{X/S}^{[0]}/H$, and hence $Q_{X/S}$, is representable by an algebraic space [1, § 8.4, Proposition 9]. This algebraic space is separated because the unit section is a closed immersion (pass to an étale covering to make $Q_{X/S}$ into a scheme and apply Proposition 2.8). Finally, one uses the fact that a smooth separated group object in the category of algebraic spaces is representable by a scheme [1, § 6.6, Corollary 3]. \square

5. The weak Néron criterion

We will give a criterion for a smooth separated group scheme of finite type to be a Néron model of its generic fibre. For this we need *Weil's extension theorem*.

Theorem 5.1 (Weil; see [1, § 4.4, Theorem 1]). *Let S be a normal Noetherian scheme, let Z be a smooth S -scheme, and let G be a smooth and separated group scheme over S . Let u be an S -rational map from Z to G . If u is defined in codimension ≤ 1 (i.e. is defined on some open subset whose complement has codimension ≥ 2), then u is defined everywhere.*

Now let R be a discrete valuation ring with field of fractions K , let R^{sh} be a strict Henselisation of R , and let K^{sh} be the field of fractions of R^{sh} .

Definition. If X is a smooth separated R -scheme, we say that X satisfies the *weak Néron property* if the canonical map

$$X(R^{\mathrm{sh}}) \longrightarrow X_K(K^{\mathrm{sh}})$$

is surjective.

Proposition 5.2 (cf. [1, § 3.5, Proposition 3]). *Let X be a smooth separated R -scheme of finite type having the weak Néron property. Let Z be a smooth R -scheme, and let u be a K -rational map from Z_K to X_K . Then u extends to an R -rational map from Z to X .*

Corollary 5.3. *Let G be a smooth separated group scheme of finite type over R . Then G is a Néron model of its generic fibre if and only if G has the weak Néron property.*

Proof. The “only if” direction is trivial. The “if” direction follows from Proposition 5.2, Theorem 5.1 and the separatedness of G .

6. Sketch of proof of the main results

Proof of Theorem 1.2 (sketch). By Proposition 4.1, $Q_{X/S}$ is a smooth separated S -group scheme with generic fibre $\text{Pic}_{X_K/K}$. We need to prove that $Q_{X/S}$ is of finite type over S . We sketch a proof of how to do this using intersection theory of divisors on the special fibre of X .

Let X be a proper flat curve over $S = \text{Spec } R$, where R is a strictly Henselian discrete valuation ring, such that X is normal and X_K is geometrically irreducible. Let D be the group of Cartier divisors on X with support on X_k , and let D_0 be the subgroup of D consisting of principal divisors. Then there is a canonical complex

$$0 \longrightarrow D_0 \longrightarrow D \xrightarrow{\alpha} \mathbf{Z}^I \xrightarrow{\beta} \mathbf{Z} \longrightarrow 0,$$

where α is given by taking intersection numbers with each irreducible component (suitably normalised), and β is a “weighted” degree function.

Lemma 6.1 ([1, §9.5, Lemma 9]). *There is a canonical surjective group homomorphism*

$$\sigma: (\ker \beta)/(\text{im } \alpha) \longrightarrow Q_{X/S}(S)/Q_{X/S}^0(S),$$

which is an isomorphism if the canonical map $\text{Pic}_{X/S}^{[0]}(S) \longrightarrow Q_{X/S}^0(S)$ is surjective.

If X is regular, then intersection theory shows that the group $(\ker \alpha)/(\text{im } \beta)$ is finite, and hence $Q_{X/S}(S)/Q_{X/S}^0(S)$ is finite. Since $Q_{X/S}$ is smooth, and in particular locally of finite type, it follows that $Q_{X/S}$ is of finite type over S [SGA 3, tome 1, exposé VI_B, 3.6].

By Corollary 5.3, it remains to prove that the natural map

$$Q_{X/S}(R^{\text{sh}}) \longrightarrow Q_{X/S}(K^{\text{sh}})$$

is surjective. We consider the commutative diagram

$$\begin{array}{ccccc} \text{Pic}^{[0]}(X_{R^{\text{sh}}}) & \longrightarrow & \text{Pic}_{X/S}^{[0]}(R^{\text{sh}}) & \longrightarrow & Q_{X/S}(R^{\text{sh}}) \\ \downarrow & & \downarrow & & \downarrow \\ \text{Pic}^{[0]}(X_{K^{\text{sh}}}) & \longrightarrow & \text{Pic}_{X_K/K}^{[0]}(K^{\text{sh}}) & \longrightarrow & Q_{X/S}(K^{\text{sh}}). \end{array}$$

The bottom left horizontal map is surjective thanks to our assumption that either k is perfect or X admits an étale quasi-section. Furthermore, by the regularity of X , we can extend line bundles on $X_{K^{\text{sh}}}$ to $X_{R^{\text{sh}}}$, so the left vertical map is surjective. It follows that the middle vertical map is surjective. Finally, the bottom right horizontal map is an isomorphism by the definition of $Q_{X/S}$. This finishes the proof of Theorem 1.2. \square

Proof of Theorem 1.3 (sketch). For this we will use the following result.

Theorem 6.2 (Raynaud; see [1, §9.4, Theorem 2]). *Let S be the spectrum of a discrete valuation ring, and let $f: X \rightarrow S$ be a proper flat curve such that $f_*\mathcal{O}_X = \mathcal{O}_S$ and such that X is normal. If the greatest common divisor of the geometric multiplicities of the irreducible components of the special fibre of X equals 1, then $\text{Pic}_{X/S}$ is an algebraic space over S and $\text{Pic}_{X/S}^0$ is representable by a separated S -scheme.*

Since $\text{Pic}_{X/S}^0$ is a separated S -scheme, the intersection of $\text{Pic}_{X/S}^0$ with $E_{X/S}$ is trivial, so the quotient map $\text{Pic}_{X/S}^{[0]} \rightarrow Q_{X/S}$ induces an open immersion $\text{Pic}_{X/S}^0 \rightarrow Q_{X/S}$. It follows that this is an isomorphism from $\text{Pic}_{X/S}^0$ to the identity component of $Q_{X/S}$. \square

References

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