ON THE BRAUER GROUP OF SURFACES AND SUBRINGS OF k[x,y]

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Dedicated to Goro Azumaya

In this paper we summarize some results concerning the Brauer group of classes of Azumaya algebras defined on a surface. These general results are applied to determine the Brauer group of some subrings of the polynomial ring in two variables over an algebraically closed field.

In Section 1 we let X denote a nonsingular surface of finite type over an algebraically closed field k of characteristic zero. If X is complete and the Kodaira dimension $\kappa(X) = -1$ then the Brauer group B(X) of X is trivial (Theorem 1.1(a)) and if X is not necessarily complete in some cases B(X) is determined by the dual of the algebraic fundamental group of the 'curve at infinity' on X (Theorem 1.2).

In Section 2 the problem of analyzing the Brauer group under the resolution of a normal singularity on a surface X defined over an algebraically closed field is discussed. This problem has already been studied by several authors including [3], [7], [12], [15], [17], [25], and [26]. In [7] a summary of what was known until that time was given. Theorem 2.8 summarizes our knowledge on the resolution problem for both B(X) and the cohomological Brauer group B'(X). If k is the field of complex numbers then connections with algebraic topology can be made (Theorem 2.9) which permit us to explain some of

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the phenomena given in [7]. Finally, we point out that if *R* is a normal two-dimensional graded *k*-algebra of finite type with characteristic of k = 0 and $R_0 = k$ and if the only singularities on Spec *R* are rational then B(R) = 0.

In Section 3 the general results are applied to some examples. In particular, if k is an algebraically closed field of characteristic zero and R is a normal affine subring of k[x,y] with k[x,y] finitely generated as an R-module, then B(R) = 0 whenever R is graded, or $k = \mathbb{C}$. Two examples are given. The Brauer group of the cone over a smooth integral curve defined over an algebraically closed field of characteristic zero is trivial. Using a Mayer-Vietoris sequence an example of a non-normal affine subring R of k[x,y] with k[x,y] a finite R-algebra and $B(R) \neq 0$ is given. This shows the hypothesis that the ring R be normal in Theorem 3.1 is necessary.

Our techniques and basic terminology follow A. Grothendieck [17]. In particular, unless otherwise specified, all cohomology is in the étale topology. By a surface we mean an integral, separated, locally Noetherian two-dimensional scheme over the algebraically closed field k.

In this section let X denote a nonsingular surface of finite type over an algebraically closed field k of characteristic zero. If X is complete, following [18] the Kodaira dimension $\kappa(X)$ is defined to be the transcendence degree over k of the ring $R = \bigoplus_{k=1}^{\infty} H^0(X, \mathcal{L}(nK))$

minus 1, where *K* is the canonical divisor on *X* and cohomology is in the Zariski topology. For a surface *X*, $-1 < \kappa(X) < 2$. Theorem 6.1 of [18] asserts $\kappa(X) = -1$ if and only if *X* contains an affine open subset *U* isomorphic to $\mathbb{A}^1 \times \Gamma$ where Γ is a nonsingular curve. Let *D* denote the regular completion of Γ .

Theorem 1.1. [12] Let X be a complete nonsingular surface of finite type over k with the Kodaira dimension $\kappa(X) = -1$. If D is as above, then

b) $\mathrm{H}^{3}(X, \mathbb{G}_{m}) = \mathrm{Hom}(\pi_{1}(D), \mathbb{Q}/\mathbb{Z}),$

c) X is rational if and only if $H^3(X, \mathbb{G}_m) = 0$.

¹

a) $\mathrm{H}^2(X, \mathbb{G}_m) = 0$

The proof of Theorem 1.1 can be found in [12]. M. Artin pointed out to us examples of complete nonsingular surfaces X over k with $B(X) \neq 0$. The calculation in (b) of Theorem 1.1 is important in the analysis of noncomplete surfaces.

If *X* is not necessarily complete then *X* can be embedded as an open subset of a complete nonsingular surface *S*. Let Z = S - X and write $Z = Z_1 \cup \cdots \cup Z_m$ where the Z_i are the connected components of *Z*. If $\kappa(S) = -1$, then *S* contains an affine open subset isomorphic to $\mathbb{A} \times \Gamma$ where Γ is a nonsingular curve. Let *D* be the nonsingular completion of Γ .

Theorem 1.2. [12] Let X be a nonsingular surface of finite type over k. Embed X as an open subset of a complete nonsingular surface S as above. Assume $\kappa(S) = -1$ and let Z_i , D be as above. If the pair (S,Z) satisfies the "Theorem of Purity for the Brauer group" [17, 6.2, III], then

a)

$$0 \to \mathsf{B}(X) \to \bigoplus_{i} \operatorname{Hom}(\pi_1(Z_i), \mathbb{Q}/\mathbb{Z}) \to \operatorname{Hom}(\pi_1(D), \mathbb{Q}/\mathbb{Z}) \to \operatorname{H}^3(X, \mathbb{G}_m)$$

is exact.

b) If X is affine, then

$$0 \to \mathsf{B}(X) \to \bigoplus_{i} \operatorname{Hom}(\pi_{1}(Z_{i}), \mathbb{Q}/\mathbb{Z}) \to \operatorname{Hom}(\pi_{1}(D), \mathbb{Q}/\mathbb{Z}) \to 0$$

is exact.

c) If X is rational, then

$$\mathbf{B}(X) \cong \bigoplus_i \operatorname{Hom}(\pi_1(Z_i), \mathbb{Q}/\mathbb{Z})$$

Theorem 1.2 is proved in [12]. If $k = \mathbb{C}$ in Theorem 1.2 then Z_i , D can be viewed as real 2-manifolds. The algebraic fundamental group $\pi_1(Z_i)$ and the topological fundamental group have the same finite quotients [21, p. 40]. It is well known that the topological fundamental group of a compact connected real 2-manifold M of genus g is the direct sum of g-copies of \mathbb{Z} together with one copy of $\mathbb{Z}/(2)$ if M is not orientable. In particular, if X is as in Theorem 1.2 and the Z_i are simply connected then B(X) = 0. If Z is regular the pair (S,Z) always satisfies the conclusion of the "Theorem of Purity for the Brauer group".

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In this section let X denote a normal, locally Noetherian, integral, separated, twodimensional scheme over an algebraically closed field k. Let K denote the function field of X and B'(X) the cohomological Brauer group $H^2(X, \mathbb{G}_m)$. For a point p on X let \mathscr{O}_p denote the local ring of X at p, \mathscr{O}_p^h the Henselization of \mathscr{O}_p , and $\widehat{\mathscr{O}}_p^h$ the completion of \mathscr{O}_p . The surface X has at most finitely many singular points. The next two results due to A. Grothendieck and B. Auslander, respectively, show that to study the map $B'(X) \to B(K)$, it suffices to study the corresponding maps on the local rings at the singular points of X.

Theorem 2.1. [17, II, sec. 1] If X is a surface with singular points p_1, \ldots, p_n , then the sequence

$$0 \to \bigoplus_{i} \operatorname{Cl}\left(\mathscr{O}_{p_{i}}^{h}\right) / \operatorname{Cl}\left(\mathscr{O}_{p_{i}}\right) \xrightarrow{\phi} \mathrm{B}'(X) \to \mathrm{B}(K)$$

is exact where $\operatorname{Cl}(\mathcal{O}_{p_i})$ is the divisor class group of \mathcal{O}_{p_i} . Moreover, ϕ is an isomorphism modulo torsion subgroups.

Theorem 2.2. [3] If X is an affine surface then the sequence

$$0 \to \mathbf{B}(X) \to \prod_p \mathbf{B}(\mathscr{O}_p)$$

is exact where the product runs over all points p on X.

Corollary 2.3. If X is an affine surface, the sequence

$$0 \to \mathbf{B}(X) \to \left(\bigoplus_{p \in \operatorname{Sing}(X)} \mathbf{B}\left(\mathscr{O}_p\right)\right) \oplus \mathbf{B}(K)$$

is exact.

Let Ω be a singular point of X and $\pi : Y \to X$ a series of blowings-up over Ω . Let $Y^h = Y \times_X \text{Spec}(\mathcal{O}^h_{\Omega})$. The following theorem was proved by W. Gordon using the Leray spectral sequence

$$\mathrm{H}^{p}(X, \mathbb{R}^{q}\pi_{*}\mathbb{G}_{m}) \Longrightarrow \mathrm{H}^{p+q}(Y, \mathbb{G}_{m}) .$$

Theorem 2.4. [15] With X, Y as above, there is an exact sequence

$$0
ightarrow \operatorname{Pic}(X)
ightarrow \operatorname{Pic}(Y)
ightarrow \operatorname{Pic}\left(Y^h
ight)
ightarrow \operatorname{B}'(X)
ightarrow \operatorname{B}'(Y)
ightarrow 0$$
 .

Let *R* be a two-dimensional normal local ring with maximal ideal *M* and algebraically closed residue field *k*. Let $f: X \to \operatorname{Spec}(R)$ be a desingularization of *R*. Let E_1, \ldots, E_n be the irreducible components of the closed fiber *E*, i.e., all the integral curves on *X* with exceptional support. Then $f^{-1}(\{M\})_{red} = E_1 + \cdots + E_n$. It is known that the intersection matrix $((E_i \cdot E_j))$ is negative definite [20, Lemma 14.1]. Let \mathbb{E} be the additive group of divisors on *X* with exceptional support, i.e., divisors of the form $\sum s_i E_i$. For each *i* let $d_i > 0$ be the greatest common divisor of all the degrees of invertible sheaves on E_i . Define $\theta: \operatorname{Pic}(X) \to \mathbb{E}^* = \operatorname{Hom}(\mathbb{E}, \mathbb{Z})$ by $(\theta(\Delta))(E_i) = \frac{1}{d_i} (\Delta \cdot E_i)$.

Denote by $\operatorname{Pic}^{0} X$ the kernel of θ and by *G* the cokernel of θ . Let $U \cong X - f^{-1}(\{M\}) = \operatorname{Spec} R - \{M\}$. The following diagram with exact rows and columns is due to J. Lipman [20].



The group *H* is defined by the diagram. Since $U = \text{Spec}(R) - \{M\}$ is regular, Pic(U) = Cl(U) = Cl(R). The singularity of *R* is said to be a rational singularity if Cl(R) is finite. From [20], one of *R*, R^h , \hat{R} has a rational singularity if and only if they all do. Using [20, Prop. 16.3] with A = R and $B = R^h$ and [20, Prop. 17.1] one can show that $H = \text{Cl}(R^h)$ if the singularity of *R* is rational.

Theorem 2.5. Let R be a two-dimensional normal local ring with an algebraically closed residue field. If R has a rational singularity then B(R) = B'(R) and the following diagram commutes and has exact rows and columns



Proof. For exactness of the diagram apply to the diagram of J. Lipman, the preceding comments and Theorem 2.1. To see that B(R) = B'(R) note that $Cl(R^h)$ is finite so by Theorem 2.1 B'(R) is torsion. But for an affine scheme X, B(X) is the torsion subgroup of B'(X) by a theorem of O. Gabber [14]. Thus B'(R) = B(R).

Corollary 2.6. If X is a normal, integral, locally noetherian, two-dimensional scheme of finite type over an algebraically closed field k with only rational singularities, then B'(X) is torsion.

Proof. Apply Theorem 2.1 and Theorem 2.5.

Corollary 2.7. With the hypothesis of Theorem 2.5, let $E = f^{-1}(\{M\})$ and $E^h = E \times_{\text{Spec }R}$ Spec R^h . Then Pic $E^h = \text{Pic }E$.

Proof. Let X be a desingularization of Spec R. From Theorem 2.4 and Theorem 2.5 we have two exact sequences

$$0 \longrightarrow \operatorname{Pic} X \longrightarrow \operatorname{Pic} E^{h} \longrightarrow B'(R) \longrightarrow B(K)$$
$$\downarrow = \qquad \qquad \qquad \downarrow \theta \qquad \qquad \downarrow = \qquad \qquad \downarrow =$$
$$0 \longrightarrow \operatorname{Pic} X \longrightarrow \mathbb{E}^{*} \longrightarrow B(R) \longrightarrow B(K)$$

Both \mathbb{E}^* and Pic *E* are free on *n* generators. From [20, Lemma 14.3] the restriction map ϕ : Pic $E^h \to \text{Pic } E$ is surjective. Since Pic $E \cong \mathbb{Z}^{(n)}$, the map ϕ splits. The diagram commutes so ϕ is an isomorphism.

Let *R* denote a local normal domain, let $\{(S_i, m_i)\}_{i \in I}$ be a directed family of Galois coverings with fixed maximal ideals. The derived family of local rings $\{(S_i)_{m_i}\}_{i \in I}$ is directed. Let $\tilde{R} = \varinjlim_{i \to i} (S_i)_{m_i}$ and let $\pi_1 = \varinjlim_{i \to i} \operatorname{Gal}(S_i/R)$. Now we summarize the preceding results. By using Theorem 2.1, the following can be extended to any finite number of singular points. Denote by B'(K/X) the kernel of $B'(X) \to B(K)$.

Theorem 2.8. Let X be a normal, integral, locally noetherian, two-dimensional scheme over the algebraically closed field k. Assume p is the only singular point on X, then

a) $B'(K/X) \cong Pic(Y^h)/\mathscr{P}$ where $\mathscr{P} = PicY/PicX$, and Y nonsingular is obtained from X by a series of blowings-up over p.

b) $B'(K/X) \cong B'(K/\mathcal{O}_p)$. c) $B'(K/X) \cong Cl(\mathcal{O}_p) / Cl(\mathcal{O}_p)$. d) $B'(K/X) \cong Cl(\hat{\mathcal{O}}_p) / Cl(\mathcal{O}_p)$. e) $B'(K/X) \cong Cl(\hat{\mathcal{O}}_p)^{\pi_1} / Cl(\mathcal{O}_p)$. Moreover, if the singularity on X is rational, then f) $B(K/X) \cong Pic(E)/\mathscr{P}$. g) $B(K/X) \cong B(K/\mathcal{O}_p)$. h) $B(K/X) \cong Cl(\mathcal{O}_p) / Cl(\mathcal{O}_p)$. i) $B(K/X) \cong Cl(\hat{\mathcal{O}}_p) / Cl(\mathcal{O}_p)$.

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The proof of e) is in [25]. In the context of Theorem 2.8, $\operatorname{Cl}(\hat{\mathcal{O}}_p) \cong \operatorname{Cl}(\mathcal{O}_p^h)$. In [15] W. Gordon shows that if X has a rational singularity and chark > 0, then $\operatorname{B}(K/X) \neq 0$. It follows from results of Hoobler published in these proceedings that $\operatorname{B}'(K/X)_{tor} = \operatorname{B}(K/X)$ in a) – d) above.

Let X be an algebraic surface over \mathbb{C} . Following [5] a singular point x on X is said to be given by a group action if there is an isomorphism from the local ring $\mathcal{O}_{X,x}$ of X at x into $\mathcal{O}_{\mathbb{A}^2,p}$ (where p is the origin (0,0) of \mathbb{A}^2) and a finite group G of automorphisms of $\mathcal{O}_{\mathbb{A}^2,p}$ so that $\mathcal{O}_{\mathbb{A}^2,p}^G = \mathcal{O}_{X,x}$. It is shown in [5], [23] that a singular point x on a surface X is given by a group action if and only if $\pi_{X,x}$ is finite where $\pi_{X,x}$ is the topological fundamental group of $N - \{x\}$ where N is a star-like open subset of X (in the analytic topology) containing x.

Theorem 2.9. [12] Let X be a normal complex affine algebraic surface and assume $\pi_{X,x}$ is finite for each singular point x on X. Then B(K/X) = 0.

In [22] D. Mumford calculated the fundamental group $\pi_{X,x}$ of an isolated singular point x on a complex surface X in terms of generators and relations determined by the geometry of the exceptional line on a resolution of the singularity x. In particular, if x is resolved by a single blow-up and the exceptional curve E has self intersection number -l, then $\pi_{X,x}$ is a cyclic group of order l. Theorem 2.9 implies that B(K/X) = 0 when x is the only singularity on X. This answers a question raised in [7]. If the exceptional curve E has irreducible components E_0, E_1, \ldots, E_4 with configuration



and self-intersections as given, then using [22] one can show $\pi_{X,x}$ is infinite. Hence the singularity at x is not given by a group action.

Theorem 2.10. [12] Let $R = \bigoplus_{i=0}^{\infty} R_i$ be a normal, graded, two-dimensional k-algebra of finite type with $R_0 = k$. Assume k is algebraically closed and chark = 0. If the only singularities on Spec R are rational, then B(R) = 0.

A normal domain *R* is said to have a discrete divisor class group (DCG) in case Cl(R) = Cl(R[[x]]). The proof of Theorem 2.10 uses the fact that $B(R) \cong B(R[x])$, which is a consequence of the next theorem due to P. Griffith.

Theorem 2.11. [16] Let *R* be a normal domain containing a field of characteristic zero. If the strict Henselization of *R* at each prime ideal has DCG, then there is a natural isomorphism $B(R) \cong B(R[x])$.

Note that Theorem 2.10 is valid with the hypothesis "Spec *R* has only rational singularities" replaced by "*R* has DCG". From [9] and [10] it follows that *R* has DCG when $\operatorname{Cl}(R_p^h)$ is finitely generated for each maximal ideal *p*.

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Theorem 3.1. [12] Let k be an algebraically closed field of characteristic zero and let R be an affine normal subring of k[x,y] such that k[x,y] is a finitely generated R-module. Then B(R) = 0 whenever R is graded or k = 0.

Note that with the hypothesis of Theorem 3.1 there is a finite surjective morphism from \mathbb{A}^2 to $X = \operatorname{Spec} R$. Thus each singularity on X is a quotient singularity and is given by a group action. In particular, each singular point on X is rational, and the first conclusion of the theorem follows from 2.10. If $k = \mathbb{C}$, then the topological fundamental group at each point of $\operatorname{Spec} R$ is finite so by 2.9 $\operatorname{B}(K/R) = 0$. By utilizing results in [1] and [29] it can be shown that $\operatorname{B}(X) = \operatorname{B}(X - Y) = 0$ where Y is the set of singular points on X.

Theorem 3.2. [12] Let k be an algebraically closed field of characteristic zero, and let $F \in k[x,y,z]$ be a homogeneous polynomial. If R = k[x,y,z]/(F) and $\operatorname{Proj} R = Y \subseteq \mathbb{P}^2$ is a smooth integral curve, then B(R) = 0.

Proof. R is the affine coordinate ring of the cone $X = \operatorname{Spec}(R)$ over Y in \mathbb{A}^3 . The ring R is a two-dimensional normal graded ring and has one singular point at (0,0,0). In general, the singularity of X is not rational so Theorem 2.10 does not apply. It follows from [8] that $\operatorname{Cl}(\hat{R}_p) \cong \operatorname{Cl}(R_p) \oplus V$ where V is a finite dimensional vector space over k. Therefore, $\operatorname{Cl}(\hat{R}_n) / \operatorname{Cl}(R_n)$ is torsion free.

From Theorem 2.1 we have B'(K/R) is torsion free. Since B(R) is torsion we have B(K/R) = 0. Let $\phi: \tilde{X} \to X$ be the morphism obtained by blowing up (0,0,0) in \mathbb{A}^3 . It is an exercise [18, I, 5.7] to show X is regular and $\phi^{-1}(0,0,0) \cong Y$. It follows from Theorem 1.2 that $B(\tilde{X}) = 0$. Since \tilde{X} is regular we have an exact commutative diagram

$$0 \longrightarrow B(\tilde{X}) \longrightarrow B(K)$$

$$\uparrow \qquad \uparrow^{=}$$

$$0 \longrightarrow B(X) \longrightarrow B(K)$$

Therefore $B(X) \subseteq B(\tilde{X}) = 0$ So B(X) = B(R) = 0.

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Finally, we give an example of an affine subring R of k[x, y] with k[x, y] a finite R-algebra and k algebraically closed of characteristic zero yet $B(R) \neq 0$. This shows the condition that R be normal in Theorem 3.1 is necessary. To begin let R be any domain with integral closure \bar{R} and conductor ideal c. Assume \bar{R} is a finite R-algebra, then the diagram

$$\begin{array}{cccc} R & \longrightarrow & \bar{R} \\ \downarrow & & \downarrow \\ R/c & \longrightarrow & \bar{R}/c \end{array}$$

is a cartesian square with respect to the units functor in the sense of 1.3 of [13]. By Proposition 1.3(b) of [13] the sequence

$$\cdots \to \mathrm{H}^{n}(R,U) \to \mathrm{H}^{n}(\bar{R},U) \oplus \mathrm{H}^{n}(R/c,U) \to \mathrm{H}^{n}(\bar{R}/c,U) \to \mathrm{H}^{n+1}(R,U) \to \ldots$$

is exact. Taking torsion subgroups and identifying the terms of low degree we obtain the Mayer-Vietoris sequence [6] and [19]

$$1 \to U(R)_t \to U(\bar{R})_t \oplus U(R/c)_t \to U(\bar{R}/c)_t \to$$

$$\operatorname{Pic}(R)_t \to \operatorname{Pic}(\bar{R})_t \oplus \operatorname{Pic}(R/c)_t \to \operatorname{Pic}(\bar{R}/c)_t \to$$

$$\operatorname{B}(R) \to \operatorname{B}(\bar{R}) \oplus \operatorname{B}(R/c) \to \operatorname{B}(\bar{R}/c)$$

Let $R = k[x, y^2, y(y^2 - p(x))]$ where p(x) is some polynomial in x. The quotient field of R is k(x,y), the integral closure of R is k[x,y], the conductor c viewed as an ideal in k[x,y] is

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 $(y^2 - p(x))$ and $c = ((y^2 - p(x), y(y^2 - p(x)))$ when viewed as an ideal in *R*. Also k[x, y] is generated by the elements 1, *y* as an *R*-module. Moreover $\overline{R}/c = k[x, y]/(y^2 - p(x))$ and $R/c = k[x, z]/(z - p(x)) \cong k[x]$ where *z* corresponds to y^2 .

If k is an algebraically closed field of characteristic 0, then $\operatorname{Pic}(R/c) = \operatorname{Pic}(\overline{R}) = B(\overline{R}) = B(R/c) = 0$ so from the Mayer-Vietoris sequence $\operatorname{Pic}(\overline{R}/c)_t = B(R)$. If we let $p(x) = x^2(x+1)$, then R/c is the coordinate ring of the nodal cubic and by applying the Mayer-Vietoris sequence to R/c we have $\operatorname{Pic}(R/c)_t \cong U(k)_t$ so $B(R) \cong U(k)_t \neq 0$ in this case.

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