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 etale 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 $R = \bigoplus H^0(X, \mathscr{L}(nK))$

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 $A^1 \times \Gamma$ 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*

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

 $b)$ H³(*X*, **G**_{*m*}) = Hom($\pi_1(D), Q/\mathbb{Z}$)*,*

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

¹

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 $A \times \Gamma$ 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)

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

is exact.

b) If X is affine, then

$$
0 \to B(X) \to \bigoplus_i \text{Hom}(\pi_1(Z_i), \mathbb{Q}/\mathbb{Z}) \to \text{Hom}(\pi_1(D), \mathbb{Q}/\mathbb{Z}) \to 0
$$

is exact.

c) If X is rational, then

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

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

 \mathcal{O}_p denote the local ring of *X* at *p*, \mathcal{O}_p^h the Henselization of \mathcal{O}_p , and $\hat{\mathcal{O}}_p^h$ the completion of \mathcal{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*

$$
0 \to \bigoplus_i \text{Cl}\left(\mathcal{O}_{p_i}^h\right) / \text{Cl}\left(\mathcal{O}_{p_i}\right) \xrightarrow{\phi} \text{B}'(X) \to \text{B}(K)
$$

is exact where $Cl(\mathcal{O}_{p_i})$ *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*

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

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

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

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

is exact.

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

$$
H^p(X, R^q \pi_* \mathbb{G}_m) \implies H^{p+q}(Y, \mathbb{G}_m) .
$$

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

$$
0 \to Pic(X) \to Pic(Y) \to Pic(\gamma^h) \to B'(X) \to B'(Y) \to 0.
$$

Let *R* be a two-dimensional normal local ring with maximal ideal *M* and algebraically closed residue field *k*. Let $f: X \to \text{Spec}(R)$ 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 $f^{-1}(\lbrace M \rbrace)_{red} = E_1 + \cdots + E_n$. It is known that the intersection matrix $((E_i \cdot E_j))$ is negative definite [20, Lemma 14.1]. Let **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 θ : Pic(*X*) \rightarrow E^{*} = Hom(E, Z) by $(\theta(\Delta))$ (*E_i*) = $\frac{1}{A}$ $\frac{1}{d_i}(\Delta \cdot E_i).$

Denote by Pic⁰ *X* the kernel of θ and by *G* the cokernel of θ . Let $U \cong X - f^{-1}(\{M\}) =$ 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 $H = Cl(R^h)$ 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 $Pic E^h$ = Pic *E*.

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

$$
0 \longrightarrow Pic X \longrightarrow PicE^{h} \longrightarrow B'(R) \longrightarrow B(K)
$$

\n
$$
\downarrow = \qquad \qquad \downarrow \theta \qquad \qquad \downarrow = \qquad \qquad \downarrow =
$$

\n
$$
0 \longrightarrow Pic X \longrightarrow E^* \longrightarrow B(R) \longrightarrow B(K)
$$

Both \mathbb{E}^* and Pic *E* are free on *n* generators. From [20, Lemma 14.3] the restriction map ϕ : Pic E^h → 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 $\left\{ \left(S_i\right)_{m_i}\right\}$ $i∈I$ ^{is di-} rected. Let $\tilde{R} = \lim_{m \to \infty} (S_i)_{m_i}$ and let $\pi_1 = \lim_{m \to \infty} \text{Gal}(S_i/R)$. 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**^{\prime}(*K* / *X*) \cong Pic(*Y*^{*h*}) / \mathscr{P} *where* $\mathscr{P} =$ Pic*Y* / Pic*X*, and *Y* nonsingular is obtained *from X by a series of blowings-up over p.*

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

The proof of e) is in [25]. In the context of Theorem 2.8, $Cl(\hat{\mathcal{O}}_p) \cong Cl(\mathcal{O}_p^h)$. In [15] W. Gordon shows that if *X* has a rational singularity and char $k > 0$, then $B(K/X) \neq$ 0. It follows from results of Hoobler published in these proceedings that $B'(K/X)_{tor} =$ $B(K/X)$ 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* $R = \bigoplus_{n=1}^{\infty}$ *i*=0 *Rⁱ be a normal, graded, two-dimensional k-algebra of finite type with* $R_0 = k$. Assume k is algebraically closed and char $k = 0$. 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 isomor* $phism B(R) \cong B(R[x]).$

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 Cl $\left(R_{p}^{h}\right)$ 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 $A²$ to *X* = 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 Spec*R* is finite so by 2.9 B(K/R) = 0. By utilizing results in [1] and [29] it can be shown that $B(X) = B(X - Y) = 0$ 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* 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 $X = \text{Spec}(R)$ 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 $CI(\hat{R}_p) \cong CI(R_p) \oplus V$ where *V* is a finite dimensional vector space over *k*. Therefore, $\text{Cl}(\hat{R}_p)$ / $\text{Cl}(R_p)$ 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

$$
\begin{array}{ccc}\n0 & \longrightarrow & B(\tilde{X}) & \longrightarrow & B(K) \\
 & \uparrow & & \uparrow \\
0 & \longrightarrow & B(X) & \longrightarrow & B(K)\n\end{array}
$$

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

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

$$
\begin{array}{ccc}\nR & \longrightarrow & \bar{R} \\
\downarrow & & \downarrow \\
R/c & \longrightarrow & \bar{R}/c\n\end{array}
$$

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

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

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

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

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

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

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 $\bar{R}/c = k[x, y]/(y^2 - p(x))$ 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 $Pic(R/c) = Pic(\overline{R}) =$ $B(\bar{R}) = B(R/c) = 0$ so from the Mayer-Vietoris sequence $Pic(\bar{R}/c)_t = B(R)$. 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 Pic $(R/c)_t \cong U(k)_t$ so B $(R) \cong U(k)_t \neq 0$ in this case.

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