

Derived categories and cubic hypersurfaces

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The aim of the talk is to propose a ‘categorical’ treatment for some fundamental (often unknown) geometric properties of smooth (complex) hypersurfaces of degree 3

$$Y \subseteq \mathbb{P}^{n+1}.$$

We will study **cubic 3-fold** ($n = 3$) and **cubic 4-fold** ($n = 4$).

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For example:

- Rationality/irrationality of those varieties;

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- Rationality/irrationality of those varieties;
- Torelli type theorems;
- Geometric description of the Fano varieties of lines of those cubics.

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The definition

Let \mathbf{A} be an abelian category (e.g., $\mathbf{mod}\text{-}R$, right R -modules, R an ass. ring with unity, and $\mathbf{Coh}(X)$).

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Define $C^b(\mathbf{A})$ to be the (abelian) **category of bounded complexes** of objects in \mathbf{A} . In particular:

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- Objects:

$$M^\bullet := \{ \dots \rightarrow M^{p-1} \xrightarrow{d^{p-1}} M^p \xrightarrow{d^p} M^{p+1} \rightarrow \dots \}$$

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$$M^\bullet := \{ \dots \rightarrow M^{p-1} \xrightarrow{d^{p-1}} M^p \xrightarrow{d^p} M^{p+1} \rightarrow \dots \}$$

- Morphisms: sets of arrows $f^\bullet := \{f^i\}_{i \in \mathbb{Z}}$ making commutative the following diagram

$$\begin{array}{ccccccc} \dots & \xrightarrow{d_{M^\bullet}^{i-2}} & M^{i-1} & \xrightarrow{d_{M^\bullet}^{i-1}} & M^i & \xrightarrow{d_{M^\bullet}^i} & M^{i+1} & \xrightarrow{d_{M^\bullet}^{i+1}} & \dots \\ & & \downarrow f^{i-1} & & \downarrow f^i & & \downarrow f^{i+1} & & \\ \dots & \xrightarrow{d_{L^\bullet}^{i-2}} & L^{i-1} & \xrightarrow{d_{L^\bullet}^{i-1}} & L^i & \xrightarrow{d_{L^\bullet}^i} & L^{i+1} & \xrightarrow{d_{L^\bullet}^{i+1}} & \dots \end{array}$$

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For a complex $M^\bullet \in C^b(\mathbf{A})$, its i -th cohomology is

$$H^i(M^\bullet) := \frac{\ker(d^i)}{\operatorname{im}(d^{i-1})} \in \mathbf{A}.$$

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A morphism of complexes is a **quasi-isomorphism** (qis) if it induces isomorphisms on cohomology.

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The **bounded derived category** $D^b(\mathbf{A})$ of the abelian category \mathbf{A} is such that:

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Definition

The **bounded derived category** $D^b(\mathbf{A})$ of the abelian category \mathbf{A} is such that:

- Objects: $\operatorname{Ob}(C^b(\mathbf{A})) = \operatorname{Ob}(D^b(\mathbf{A}))$;
- Morphisms: (very) roughly speaking, obtained 'by inverting qis in $C^b(\mathbf{A})$ '.

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Suppose we have a sequence of full triangulated subcategories $\mathbf{T}_1, \dots, \mathbf{T}_n \subseteq D^b(X) := D^b(\mathbf{Coh}(X))$, where X is smooth projective, such that:

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Suppose we have a sequence of full triangulated subcategories $\mathbf{T}_1, \dots, \mathbf{T}_n \subseteq D^b(X) := D^b(\mathbf{Coh}(X))$, where X is smooth projective, such that:

- $\mathrm{Hom}_{D^b(X)}(\mathbf{T}_i, \mathbf{T}_j) = 0$, for $i > j$,

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- $\mathrm{Hom}_{D^b(X)}(\mathbf{T}_i, \mathbf{T}_j) = 0$, for $i > j$,
- For all $K \in D^b(X)$, there exists a chain of morphisms in $D^b(X)$

$$0 = K_n \rightarrow K_{n-1} \rightarrow \dots \rightarrow K_1 \rightarrow K_0 = K$$

with $\mathrm{cone}(K_i \rightarrow K_{i-1}) \in \mathbf{T}_i$, for all $i = 1, \dots, n$.

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This is a **semi-orthogonal** decomposition of $D^b(X)$:

$$D^b(X) = \langle \mathbf{T}_1, \dots, \mathbf{T}_n \rangle.$$

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Theorem (Bondal–Orlov)

Let X be a smooth projective complex Fano variety and assume that Y is a smooth projective variety such that

$$D^b(X) \cong D^b(Y).$$

Then $X \cong Y$.

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Theorem (Bondal–Orlov)

Let X be a smooth projective complex Fano variety and assume that Y is a smooth projective variety such that

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Then $X \cong Y$.

Thus, if Y is a cubic hypersurface as above, then $D^b(Y)$ is a too strong invariant.

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Question

Does some ‘piece’ in a semi-orthogonal decomposition of $D^b(Y)$ behave nicely?

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Let $Y \subseteq \mathbb{P}^4$ be a smooth cubic 3-fold. The following are classical results:

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Let $Y \subseteq \mathbb{P}^4$ be a smooth cubic 3-fold. The following are classical results:

Torelli Theorem (Clemens–Griffiths, Tyurin)

Let Y_1 and Y_2 be cubic 3-folds. Then $Y_1 \cong Y_2$ if and only if the intermediate Jacobians $(J(Y_1), \Theta_1)$ and $(J(Y_2), \Theta_2)$ are isomorphic.

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Theorem (Clemens–Griffiths)

Cubic 3-folds are not rational.

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Cubic 3-folds are not rational.

Use that $J(Y)$ does not decompose as direct sum of Jacobians of curves.

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Let $Y \subseteq \mathbb{P}^4$ be a smooth cubic 3-fold.

Theorem (Kuznetsov)

The derived category $D^b(Y)$ has a semi-orthogonal decomposition

$$D^b(Y) = \langle \mathbf{T}_Y, \mathcal{O}_Y, \mathcal{O}_Y(1) \rangle.$$

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The subcategory \mathbf{T}_Y is highly non-trivial and cannot be the derived category of a smooth projective variety.

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Indeed the Serre functor $S_{\mathbf{T}_Y}$ is such that $S_{\mathbf{T}_Y}^3 \cong [5]$. So \mathbf{T}_Y is a so called **Calabi–Yau category of fractional dimension $\frac{5}{3}$** .

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Question (Kuznetsov)

Given two cubic 3-folds Y_1 and Y_2 , is it true that $Y_1 \cong Y_2$ if and only if $\mathbf{T}_{Y_1} \cong \mathbf{T}_{Y_2}$?

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Theorem (Bernardara–Macrì–Mehrotra–S.)

The answer to the above question is positive.

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Idea: realize the Fano variety of lines of Y_i as moduli space of stable objects according to a Bridgeland stability condition on \mathbf{T}_{Y_i} .

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A **stability condition** on a triangulated category \mathbf{T} is a pair $\sigma = (Z, \mathcal{P})$ where

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A **stability condition** on a triangulated category \mathbf{T} is a pair $\sigma = (Z, \mathcal{P})$ where

- $Z : K(\mathbf{T}) \rightarrow \mathbb{C}$ is a linear map called **central charge** (similar to the slope for sheaves);

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A **stability condition** on a triangulated category \mathbf{T} is a pair $\sigma = (Z, \mathcal{P})$ where

- $Z : K(\mathbf{T}) \rightarrow \mathbb{C}$ is a linear map called **central charge** (similar to the slope for sheaves);
- $\mathcal{P}(\phi) \subset \mathbf{T}$ are full additive subcategories for each $\phi \in \mathbb{R}$ (**semistable objects** of phase ϕ)

satisfying some compatibilities.

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The minimal objects in $\mathcal{P}(\phi)$ are called **stable objects**.

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$\text{Stab}(\mathbf{T})$ is the space parametrizing stability conditions on \mathbf{T} .

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Let Y be a cubic 3-fold. As a consequence of the result of Bernardara–Macrì–Mehrotra–S. above, we have that

$$\mathrm{Stab}(\mathbf{D}^b(Y)) \neq \emptyset \neq \mathrm{Stab}(\mathbf{T}_Y).$$

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$$\mathrm{Stab}(\mathbf{D}^b(Y)) \neq \emptyset \neq \mathrm{Stab}(\mathbf{T}_Y).$$

The category \mathbf{T}_Y behaves almost as the derived category of a smooth complex curve C . The stability conditions on $\mathbf{D}^b(C)$ are completely classified.

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The category \mathbf{T}_Y behaves almost as the derived category of a smooth complex curve C . The stability conditions on $\mathbf{D}^b(C)$ are completely classified.

Problem

Classify completely all the stability conditions in $\mathrm{Stab}(\mathbf{T}_Y)$.

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Question

Does the category \mathbf{T}_Y encode the irrationality of Y ?

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Question

Does the category \mathbf{T}_Y encode the irrationality of Y ?

A new perspective in this direction is provided by the recent work of Ballard–Favero–Katzarkov:

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Question

Does the category \mathbf{T}_Y encode the irrationality of Y ?

A new perspective in this direction is provided by the recent work of Ballard–Favero–Katzarkov:

- 1 **Idea:** the irrationality of Y should be related to the presence of gaps in the interval of integers corresponding to the ‘generation time’ of the objects in $D^b(Y)$.
- 2 This is related to a conjecture of Orlov. In this case: the dimension of the category $D^b(Y)$ is $3 = \dim(Y)$.

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Let $Y \subseteq \mathbb{P}^5$ be a smooth cubic 4-fold. Denote by H^2 the self-intersection of the hyperplane class of Y .

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Let $Y \subseteq \mathbb{P}^5$ be a smooth cubic 4-fold. Denote by H^2 the self-intersection of the hyperplane class of Y .

The moduli space \mathcal{C} of smooth cubic 4-folds is a quasi-projective variety of dimension 20.

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Voisin: Smooth cubic 4-folds Y containing a plane P form a divisor \mathcal{C}_8 in \mathcal{C} .

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The moduli space \mathcal{C} of smooth cubic 4-folds is a quasi-projective variety of dimension 20.

Voisin: Smooth cubic 4-folds Y containing a plane P form a divisor \mathcal{C}_8 in \mathcal{C} .

Denote by $T := \langle H^2, P \rangle$ the primitive sublattice (with respect to the intersection form) of $H^4(Y, \mathbb{Z})$ generated by H^2 and P . Then the intersection form is of type

$$\begin{pmatrix} 3 & 1 \\ 1 & 3 \end{pmatrix}.$$

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Projecting from P onto a disjoint \mathbb{P}^2 , we get $\pi_P : Y \dashrightarrow \mathbb{P}^2$.
Blowing up the plane inside Y gives a quadric fibration

$$\pi'_P : \tilde{Y} \rightarrow \mathbb{P}^2$$

whose fibres degenerate along a plane sextic C .

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The double cover of \mathbb{P}^2 ramified along C is a **K3 surface** S (i.e. a smooth complex projective simply connected surface with trivial canonical bundle).

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The quadric fibration provides an element

$$\beta \in \mathrm{Br}(S) := H^2(S, \mathcal{O}_S^*)_{\mathrm{tor}}$$

in the **Brauer group** of S .

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Back to the case of Y any cubic 4-fold (not necessarily containing a plane). We have the following remarkable results:

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Back to the case of Y any cubic 4-fold (not necessarily containing a plane). We have the following remarkable results:

- **Torelli theorem (Voisin):** Let Y_1 and Y_2 be two cubic 4-folds and assume that there exists a Hodge isometry

$$\phi : H^4(Y_1, \mathbb{Z}) \rightarrow H^4(Y_2, \mathbb{Z})$$

sending H_1^2 to H_2^2 . Then there exists an isomorphism $f : Y_2 \cong Y_1$ such that $\phi = f^*$.

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- **Surjectivity of the period map (Looijenga, Laza):** The period map surjects onto an explicitly described subset of the period domain.

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Hassett proposed a very nice way to construct divisors in the moduli space \mathcal{C} .

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Hassett proposed a very nice way to construct divisors in the moduli space \mathcal{C} .

For a positive integer d , define \mathcal{C}_d to be the set of all $Y \in \mathcal{C}$ such that

- There is a rank-2 lattice K_d with $\det(K_d) = d$.
- There is a primitive embedding $K_d \hookrightarrow H^4(Y, \mathbb{Z})$.
- There is $h^2 \in K_d$ mapped to H^2 .

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- There is $h^2 \in K_d$ mapped to H^2 .

Hassett: \mathcal{C}_d is an irreducible divisor as soon as $d > 6$ and $d \equiv 0, 2 \pmod{6}$.

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Theorem (Kuznetsov)

The derived category $D^b(Y)$ has a semi-orthogonal decomposition

$$D^b(Y) = \langle \mathbf{T}_Y, \mathcal{O}_Y, \mathcal{O}_Y(1), \mathcal{O}_Y(2) \rangle.$$

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Theorem (Kuznetsov)

The triangulated category \mathbf{T}_Y is a 2-Calabi–Yau category.

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Theorem (Kuznetsov)

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Theorem (Kuznetsov)

The triangulated category \mathbf{T}_Y is a 2-Calabi–Yau category.

Recall that a triangulated category \mathbf{T} is a **2-Calabi–Yau category** if \mathbf{T} has a Serre functor which is isomorphic to the shift by 2.

Which 2-Calabi–Yau category?

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Which 2-Calabi–Yau category?

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Theorem (Kuznetsov)

Let Y be a cubic 4-fold containing a plane and such that the plane sextic C is smooth. Then there exists an exact equivalence

$$\mathbf{T}_Y \cong D^b(S, \beta)$$

Which 2-Calabi–Yau category?

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Theorem (Kuznetsov)

Let Y be a cubic 4-fold containing a plane and such that the plane sextic C is smooth. Then there exists an exact equivalence

$$\mathbf{T}_Y \cong D^b(S, \beta)$$

Remark

If Y is generic with the above properties (i.e. $H^4(Y, \mathbb{Z}) \cap H^{2,2}(Y) = \langle H^2, P \rangle$), then there is no smooth projective K3 surface S' such that

$$\mathbf{T}_Y \cong D^b(S').$$

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Represent $\beta \in \text{Br}(S)$ as a Čech 2-cocycle

$$\{\beta_{ijk} \in \Gamma(U_i \cap U_j \cap U_k, \mathcal{O}_X^*)\}$$

on an analytic open cover $S = \bigcup_{i \in I} U_i$.

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A β -twisted coherent sheaf \mathcal{E} is a collection of pairs $(\{\mathcal{E}_i\}_{i \in I}, \{\varphi_{ij}\}_{i,j \in I})$ where

- \mathcal{E}_i is a coherent sheaf on the open subset U_i ;
- $\varphi_{ij} : \mathcal{E}_j|_{U_i \cap U_j} \rightarrow \mathcal{E}_i|_{U_i \cap U_j}$ is an isomorphism

such that

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on an analytic open cover $S = \bigcup_{i \in I} U_i$.

A β -twisted coherent sheaf \mathcal{E} is a collection of pairs $(\{\mathcal{E}_i\}_{i \in I}, \{\varphi_{ij}\}_{i,j \in I})$ where

- \mathcal{E}_i is a coherent sheaf on the open subset U_i ;
- $\varphi_{ij} : \mathcal{E}_j|_{U_i \cap U_j} \rightarrow \mathcal{E}_i|_{U_i \cap U_j}$ is an isomorphism

such that

- 1 $\varphi_{ii} = \text{id}$ and $\varphi_{ji} = \varphi_{ij}^{-1}$;
- 2 $\varphi_{ij} \circ \varphi_{jk} \circ \varphi_{ki} = \beta_{ijk} \cdot \text{id}$.

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Represent $\beta \in \text{Br}(S)$ as a Čech 2-cocycle

$$\{\beta_{ijk} \in \Gamma(U_i \cap U_j \cap U_k, \mathcal{O}_X^*)\}$$

on an analytic open cover $S = \bigcup_{i \in I} U_i$.

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In this way we get the abelian category $\mathbf{Coh}(S, \beta)$.

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Theorem (Bernardara–Macrì–Mehrotra–S.)

Given a cubic fourfold Y containing a plane P and such that C is smooth, there exist only finitely many isomorphism classes of cubic 4-folds $Y_1 = Y, Y_2, \dots, Y_n$ containing a plane and with smooth plane sextics such that $\mathbf{T}_Y \cong \mathbf{T}_{Y_j}$, with $j \in \{1, \dots, n\}$. Moreover, if Y is generic, then $n = 1$.

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Questions

- 1 Can we prove a similar result for any possible cubic 4-fold (with a plane or not)?
- 2 Can the number n be arbitrarily large?

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For a cubic 4-fold Y , we denote by $F(Y)$ the Fano variety of lines contained in Y .

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For a cubic 4-fold Y , we denote by $F(Y)$ the Fano variety of lines contained in Y .

Theorem (Beauville–Donagi)

- 1 $F(Y)$ is a irreducible holomorphic symplectic manifold of dimension 4 (i.e. a simply connected, Kähler manifold such that $H^{2,0}(F(Y))$ is generated by a non-degenerate 2-form).

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- 2 $F(Y)$ is deformation equivalent to $\text{Hilb}^2(S)$, the Hilbert scheme of length-2 0-dimensional subschemes on a K3 surface S .

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Theorem (Hassett)

Assume that $d = 2(n^2 + n + 1)$ for $n \geq 2$. Then the generic cubic 4-fold Y contained in \mathcal{C}_d is such that $F(Y) \cong \text{Hilb}^2(S)$ for some K3 surface S .

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Question (Hassett)

Are there other d 's such that the generic points in \mathcal{C}_d have the same property for some K3 surface?

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When there is a plane, the twist cannot be avoided...

The answer when there is a plane

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Theorem (Macrì–S.)

If Y is a generic cubic fourfold containing a plane, then $F(Y)$ is isomorphic to a moduli space of stable objects in the derived category $D^b(S, \beta)$ of bounded complexes of β -twisted coherent sheaves on S .

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If Y is a generic cubic fourfold containing a plane, then $F(Y)$ is isomorphic to a moduli space of stable objects in the derived category $D^b(S, \beta)$ of bounded complexes of β -twisted coherent sheaves on S .

Theorem (Macrì–S.)

For all cubic fourfolds Y containing a plane, the Fano variety $F(Y)$ is birational to a smooth projective moduli space of twisted sheaves on a K3 surface. Moreover, if Y is generic, then such a birational map is either an isomorphism or a Mukai flop.

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Beauville–Donagi, Morin: They provide examples of rational cubic 4-folds (Pfaffian cubic 4-folds).

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Beauville–Donagi, Morin: They provide examples of rational cubic 4-folds (Pfaffian cubic 4-folds).

Hassett: Using lattice and Hodge theory, he constructs countably many divisors in \mathcal{C}_8 consisting of rational cubic 4-folds.

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The way he defines these families is by showing that the quadric fibration mentioned above has a section.

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The way he defines these families is by showing that the quadric fibration mentioned above has a section.

Notice that the presence of such a section implies that the Brauer class β in $\text{Br}(S)$ is automatically trivial.

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Conjecture (Kuznetsov)

A cubic 4-fold Y is rational if and only if there exists a K3 surface S' and an exact equivalence $\mathbf{T}_Y \cong D^b(S')$.

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The generic cubic 4-fold with a plane is such that there are no K3 surfaces S' with the property above.

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Problem

Use categorical methods to prove that the generic cubic 4-fold with a plane is not rational.