

Multiplicity and Semicontinuity of the Łojasiewicz Exponent

by

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Summary. We give an effective formula for the improper isolated multiplicity of a polynomial mapping. Using this formula we construct, for a given deformation of a holomorphic mapping with an isolated zero at zero, a stratification of the space of parameters such that the Łojasiewicz exponent is constant on each stratum.

Introduction. Let $f: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ be a germ of a holomorphic map with an isolated zero. Then a lot of numerical invariants can be associated with this map. In this note we are interested in two of them: *multiplicity* and *Łojasiewicz exponent*.

The multiplicity of f may be defined in several ways. Probably the best known is the notion of *Hilbert–Samuel multiplicity* (see [5]). Let I be the ideal generated by the components of f in the local ring $(\mathcal{O}_n, \mathfrak{m}_n)$ of germs of holomorphic functions $(\mathbb{C}^n, 0) \rightarrow \mathbb{C}$. Then the Hilbert–Samuel multiplicity of I is the normalized leading coefficient of the Hilbert–Samuel polynomial of I ; in our case it is given by the formula

$$e(I) = \lim_{k \rightarrow \infty} \frac{n!}{k^n} \dim \mathcal{O}_n / I^k.$$

If f is a system of parameters (i.e. $m = n$), then

$$e(I) = \dim \mathcal{O}_n / I.$$

Moreover, in this case $e(I)$ has a well known geometric description: $e(I) = i_0(f)$ where $i_0(f)$ is the number of points in the generic fiber of f . Using

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results of R. Achilles, P. Tworzewski and T. Winiarski [1], it is possible to extend the geometric definition of $i_0(f)$ to the case $m > n$. Namely, let $i_0(f)$ be the improper intersection multiplicity of the graph of f and $\mathbb{C}^n \times \{0\} \subset \mathbb{C}^n \times \mathbb{C}^m$ at the point $(0, 0) \in \mathbb{C}^n \times \mathbb{C}^m$. In the case $m = n$ this notion was defined by R. Draper [2] (see also [12], [15]). In fact, with this generalization the multiplicity $i_0(f)$ is still equal to $e(I)$. Indeed, let $L: \mathbb{C}^m \rightarrow \mathbb{C}^n$ be a generic linear map. By [11] we have $i_0(f) = i_0(L \circ f)$ (see Theorem 1 below). On the other hand, the ideal generated by $L \circ f$ in \mathcal{O}_n is a reduction of I , hence has the same Hilbert–Samuel multiplicity [5, Theorems 14.13, 14.14]. In what follows, we will denote the multiplicity of f by $i_0(f)$.

Let us now proceed to the second invariant. Since f is analytic, there exist $C > 0$ and $\nu \geq 1$ such that

$$|f(z)| \geq C|z|^\nu$$

in some neighbourhood of the origin in \mathbb{C}^n . By definition, the *Łojasiewicz exponent* of f , denoted by $\mathcal{L}_0(f)$, is the infimum of the exponents ν in the above inequality. In [3] it was proved that $\mathcal{L}_0(f)$ is a rational number and the infimum is in fact a minimum. Moreover, in [3] an algebraic formula for the Łojasiewicz exponent was given:

$$\mathcal{L}_0(f) = \inf \left\{ \frac{p}{q} : \mathfrak{m}_n^p \subset \overline{I^q} \right\},$$

where for any ideal J in \mathcal{O}_n , \overline{J} denotes the integral closure of J in \mathcal{O}_n .

Now, let $h: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}, 0)$ be a germ of a holomorphic function defining an isolated singularity at $0 \in \mathbb{C}^n$ (i.e. the gradient ∇h of h has an isolated zero). Then $\mu := i_0(\nabla h)$ is the Milnor number of h . In [13], B. Teissier proved that if $s \mapsto h_s$ is an analytic family of functions with isolated singularities with constant Milnor number, then the function $s \mapsto \mathcal{L}_0(\nabla h_s)$ is lower semicontinuous. Moreover, he showed that if we do not assume that this family is μ -constant then $\mathcal{L}_0(\nabla h)$ is neither upper nor lower semicontinuous [14]. The above result was generalized by A. Płoski [7] in the following way: If $s \mapsto f_s$ is an analytic family of holomorphic maps $(\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^n, 0)$ with an isolated zero and of constant multiplicity, then the function $s \mapsto \mathcal{L}_0(f_s)$ is lower semicontinuous.

One may consider a further generalization of this result. Since the multiplicity i_0 is well defined for ideals which are not generated by a system of parameters, it is reasonable to ask if this assumption in the above result of Płoski is necessary. It was proved in [8] that it is enough to assume that the f_s are maps $(\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ with m possibly greater than n , with isolated zero of constant multiplicity. Under these assumptions the function $s \mapsto \mathcal{L}_0(f_s)$ is lower semicontinuous.

In the paper we prove that for a given finite complex stratification $\{\Gamma_\nu^i\}$ of the space of parameters such that f_s is multiplicity-constant on each stratum Γ_ν^i , the function $s \mapsto \mathcal{L}_0(f_s)$ is lower semicontinuous on this stratum and there exists a refinement $\{\Sigma_\mu^j\}$ of $\{\Gamma_\nu^i\}$ such that the function $s \mapsto \mathcal{L}_0(f_s)$ is constant on each stratum Σ_μ^j (Theorem 7). The proof is based on an algorithm which allows us to effectively compute the multiplicity $i_0(f)$ (Theorem 4, cf. [10]). As a corollary we get the above-mentioned semicontinuity theorem (Corollary 11).

1. A formula for multiplicity. Let $f: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ be a holomorphic mapping with an isolated zero. Denote by $\mathbb{L}(m, n)$ the set of all linear mappings $\mathbb{C}^m \rightarrow \mathbb{C}^n$.

The basis for our further considerations is

THEOREM 1 ([11, Theorem 1.1]). *For any $L \in \mathbb{L}(m, n)$ such that the mapping $L \circ f: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^n, 0)$ has an isolated zero we have*

$$(1) \quad i_0(f) \leq i_0(L \circ f).$$

Moreover, for generic $L \in \mathbb{L}(m, n)$, the mapping $L \circ f$ has an isolated zero and

$$(2) \quad i_0(f) = i_0(L \circ f).$$

The next proposition will be used to pass from holomorphic to polynomial germs of mappings.

PROPOSITION 2 ([6, 11]). *We have*

$$\mathcal{L}_0(f) \leq i_0(f).$$

Moreover, if $g: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ is a holomorphic mapping such that $\text{ord}(f - g) > \mathcal{L}_0(f)$ then g has an isolated zero and

$$\mathcal{L}_0(g) = \mathcal{L}_0(f) \quad \text{and} \quad i_0(g) = i_0(f).$$

From now on we will assume that $f = (f_1, \dots, f_m): \mathbb{C}^n \rightarrow \mathbb{C}^m$ is a polynomial mapping such that $0 \in \mathbb{C}^n$ is an isolated point of $f^{-1}(0)$.

PROPOSITION 3 ([6, 11]). *Let $d_j = \deg f_j$, $j = 1, \dots, m$. Assume that $d_1 \geq \dots \geq d_m$. Then*

$$\mathcal{L}_0(f) \leq d_1 \cdots d_n.$$

The algorithm which computes $i_0(f)$ is given in the following construction.

Let $d = \max\{\deg f_1, \dots, \deg f_m\}$. Define a mapping $H_L: \mathbb{C}^n \rightarrow \mathbb{C}^n$ by

$$(3) \quad H_L(z) = L(f(z)) + (z_1^{d_n+1}, \dots, z_n^{d_n+1}),$$

where $L \in \mathbb{L}(m, n)$. Set

$$\mathbb{M}(m, n) = \mathbb{L}(m, n) \times \mathbb{L}(n, 1) \times \mathbb{C}^n$$

and let

$$\Phi: \mathbb{M}(m, n) \rightarrow \mathbb{M}(m, n) \times \mathbb{C}$$

be given by

$$\Phi(L, N, z) = (L, N, H_L(z), N(z)).$$

The mapping Φ is proper and consequently $\Phi(\mathbb{M}(m, n))$ is an algebraic set of pure dimension $mn + 2n$. So, there exists an irreducible polynomial $P \in \mathbb{C}[L, N, y, t]$, where $y = (y_1, \dots, y_n)$ and y_1, \dots, y_n, t are independent variables, of the form

$$(4) \quad P(L, N, y, t) = \sum_{j=0}^p P_j(L, N, y) t^j$$

such that $P_p \neq 0$ and $\Phi(\mathbb{M}(m, n)) = P^{-1}(0)$. Since P vanishes exactly on the image of the polynomial map Φ , it could be computed by means of Gröbner bases.

THEOREM 4. *We have*

$$i_0(f) = \min\{j \in \mathbb{Z} : \text{ord}_y P_j = 0\}.$$

The right hand side above is well defined in view of the following proposition, which is a special case of [9, Theorem 7].

PROPOSITION 5. *There exists $r \in \mathbb{Z}$ with $0 \leq r < p$ such that*

$$(5) \quad \text{ord}_y P_j > 0 \quad \text{for } j = 0, \dots, r \quad \text{and} \quad \text{ord}_y P_{r+1} = 0.$$

Set

$$\Delta(P) = \min_{j=0}^r \frac{\text{ord}_y P_j}{r+1-j}.$$

Then

$$(6) \quad \mathcal{L}_0(f) = \frac{1}{\Delta(P)} < d^n + 1.$$

We will also use this proposition in the proof of the main result in the next section.

Proof of Theorem 4. Let r be the integer given in Proposition 5. We must prove that $i_0(f) = r + 1$. Observe that there exists a Zariski open, nonempty set $\mathcal{U} \subset \mathbb{L}(m, n) \times \mathbb{L}(n, 1)$ such that if $(L, N) \in \mathcal{U}$ then:

- $L \circ f$ has an isolated zero at the origin,
- condition (5) is satisfied,
- $N|_{H_L^{-1}(y)}$ is injective for generic $y \in \mathbb{C}^n$,
- $H_L^{-1}(0) \cap \ker N = \{0\}$.

Fix $(L, N) \in \mathcal{U}$. Then

$$(7) \quad i_0(H_L) = r + 1.$$

Indeed, by (5) the polynomial $P_{L,N}(y, t)$ is a t -regular function of order $r + 1$.

Using the Weierstrass preparation theorem we may write

$$P_{L,N}(y, t) = Q_{L,N}(y, t)\tilde{P}_{L,N}(y, t),$$

where $Q_{L,N}$ is an invertible power series in (y, t) . By the properties of \mathcal{U} the image of the local map $(H_L, N): (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^{n+1}, 0)$ is equal to the germ of the zero set of $\tilde{P}_{L,N}$. Since $P_{L,N}$ is irreducible, so is $\tilde{P}_{L,N}$. On the other hand, with any y in a sufficiently small neighbourhood of the origin in \mathbb{C}^n we may associate two sets: all roots $\{(y, t_1), \dots, (y, t_{r+1})\}$ of $\tilde{P}_{L,N}$ (since $\tilde{P}_{L,N}$ is a polynomial of degree $r + 1$ in t) and the fiber $H_L^{-1}(y) = \{z_1, \dots, z_u\}$ (where H_L is treated as a local map $(\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^n, 0)$). If additionally y is generic then:

- $\#\{(y, t_1), \dots, (y, t_{r+1})\} = r + 1,$
- $u = i_0(H_L),$
- (H_L, N) restricted to $\{z_1, \dots, z_u\}$ is a bijection onto $\{(y, t_1), \dots, (y, t_{r+1})\}.$

As a result we get (7).

By Proposition 3 we have $\text{ord}(L \circ f - H_L) > \mathcal{L}_0(L \circ f)$. Thus $i_0(H_L) = i_0(L \circ f)$ by Proposition 2. By (7) and Theorem 1, this ends the proof. ■

COROLLARY 6. *Let $Q \in \mathbb{C}\{L, N, y, t\}$ be a series of the form*

$$(8) \quad Q(L, N, y, t) = \sum_{j=0}^{\infty} Q_j(L, N, y)t^j.$$

If Q is irreducible in $\mathcal{O}_{mn+2n+1}$ and $Q \circ \Phi = 0$ at the level of germs, then

$$(9) \quad i_0(f) = \min\{j \in \mathbb{Z} : \text{ord}_y Q_j = 0\}.$$

Proof. Since P and Q are irreducible in $\mathcal{O}_{mn+2n+1}$ and the germs of the sets $P^{-1}(0)$ and $Q^{-1}(0)$ are equal, P and Q differ by an invertible factor in $\mathcal{O}_{mn+2n+1}$. Hence Theorem 4 yields the assertion. ■

2. Semicontinuity of the Łojasiewicz exponent. Let $f: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ be a holomorphic mapping. We say that $F = F_s(z) = F(z, s): (\mathbb{C}^n \times \mathbb{C}^k, 0) \rightarrow (\mathbb{C}^m, 0)$ is a *deformation* of f if F is holomorphic, $F_0 = f$ and $F_s(0) = 0$ for s in some neighbourhood of the origin in \mathbb{C}^k .

In what follows we will use the notion of a complex stratification (or briefly stratification) after [4].

The main result of this section is

THEOREM 7. *Let $f: (\mathbb{C}^n, 0) \rightarrow (\mathbb{C}^m, 0)$ be a germ of a holomorphic mapping with an isolated zero and let $F: (\mathbb{C}^n \times \mathbb{C}^k, 0) \rightarrow (\mathbb{C}^m, 0)$ be its deformation. Let $U = \bigcup \Gamma_\nu^i$ be a finite stratification of some sufficiently small neighbourhood $U \subset \mathbb{C}^k$ of the origin such that for each stratum Γ_ν^i the function $\Gamma_\nu^i \ni s \mapsto i_0(F_s) \in \mathbb{Z}$ is constant. Then the function $\Gamma_\nu^i \ni s \mapsto \mathcal{L}_0(F_s) \in \mathbb{Q}$ is*

lower semicontinuous and there exists a finite stratification $\{\Sigma_\mu^j\}$, which is a refinement of $\{\Gamma_\nu^i\}$, such that the function $\Sigma_\mu^j \ni s \mapsto \mathcal{L}_0(F_s) \in \mathbb{Q}$ is constant for any stratum Σ_μ^j .

In the proof we will need the following

LEMMA 8 ([9, Lemma 1]). *If $P, Q, R \in \mathbb{C}\{y, t\}$ are series such that*

$$P(y, t) = \sum_{j=0}^{\infty} P_j(y)t^j, \quad Q(y, t) = \sum_{j=0}^{\infty} Q_j(y)t^j,$$

ord $R(y, t) = 0$ and $Q = PR$, and for some $r \geq 0$ we have ord $P_j, \text{ord } Q_j > 0$, $j = 0, \dots, r$, then

$$\min_{j=0}^r \frac{\text{ord } P_j}{r+1-j} = \min_{j=0}^r \frac{\text{ord } Q_j}{r+1-j}.$$

Proof of Theorem 7. Since the multiplicity and the Łojasiewicz exponent of a local map do not change after perturbation in monomials of orders greater than the multiplicity of the map, we may assume that F_s is a polynomial map for any s . Let $d = \max\{\deg F_s : s \in U\}$.

Define a mapping $H_{L,s}: \mathbb{C}^n \rightarrow \mathbb{C}^n$ by

$$(10) \quad H_{L,s}(z) = L(F_s(z)) + (z_1^{d^n+1}, \dots, z_n^{d^n+1}),$$

where $L \in \mathbb{L}(m, n)$, $s \in U$. Set

$$\mathbb{W} = \mathbb{M}(m, n) \times U$$

and let

$$\Phi: \mathbb{W} \rightarrow \mathbb{W} \times \mathbb{C}$$

be given by

$$(11) \quad \Phi(L, N, z, s) = (L, N, H_{L,s}(z), s, N(z)).$$

Define $\Phi_s: \mathbb{M}(m, n) \rightarrow \mathbb{M}(m, n) \times \mathbb{C}$ for $s \in U$ by

$$(12) \quad \Phi_s(L, N, z) = (L, N, H_{L,s}(z), N(z)).$$

Decreasing U if necessary, we achieve that the mapping Φ is proper, and consequently, by Remmert's Proper Mapping Theorem, $\Phi(\mathbb{W})$ is an analytic set of pure dimension $mn + 2n + k = \dim \mathbb{W}$. So, for some neighbourhoods $W \subset \mathbb{W}$ and $D \subset \mathbb{W} \times \mathbb{C}$ of the origins and a holomorphic function $Q: D \rightarrow \mathbb{C}$ with an irreducible germ at zero we have $\Phi(W) = \{(w, t) \in D : Q(w, t) = 0\}$.

Suppose that the function Q is of the form

$$(13) \quad Q(L, N, y, s, t) = \sum_{j=0}^{\infty} Q_j(L, N, y, s)t^j,$$

and denote $Q_s(L, N, y, t) = Q(L, N, y, s, t)$, $Q_{j,s}(L, N, y) = Q_j(L, N, y, s)$. It is easy to see that Q_s is irreducible for s sufficiently close to the origin of \mathbb{C}^k . Set $W_s = \{u \in \mathbb{M}(m, n) : (u, s) \in W\}$, $D_s = \{(u, t) \in \mathbb{M}(m, n) \times \mathbb{C} : (u, s, t) \in D\}$. Then $\Phi_s(W_s) = \{(u, t) \in D_s : Q_s(u, t) = 0\}$. Denote by $r_\nu^i + 1$ the multiplicity of F_s on Γ_ν^i . From Corollary 6 we have ord $_y Q_{s,j} > 0$, $j = 0, \dots, r_\nu^i$, and ord $_y Q_{s,r_\nu^i+1} = 0$.

Set

$$\Delta(Q_s) = \min_{j=0}^{r_\nu^i} \frac{\text{ord}_y Q_{j,s}}{r_\nu^i + 1 - j}, \quad s \in \Gamma_\nu^i.$$

Observe that the mapping $\Gamma_\nu^i \ni s \mapsto \Delta(Q_s) \in \mathbb{Q}$ is upper semicontinuous and determines a stratification of Γ_ν^i . Thus, there exists a finite stratification $\{\Sigma_\mu^j\}$, which is a refinement of $\{\Gamma_\nu^i\}$, such that the function $\Sigma_\mu^j \ni s \mapsto \Delta(Q_s) \in \mathbb{Q}$ is constant for any stratum Σ_μ^j . On the other hand, by Lemma 8 and Proposition 5 we have $\mathcal{L}_0(F_s) = 1/\Delta(Q_s)$ for $s \in U$. This ends the proof. ■

REMARK 9. It is well known that the stratification $\{\Gamma_\nu^i\}$ from Theorem 7 always exists. For example, from Theorem 4 we see that the polynomial Q_s used in the proof of Theorem 7 determines such a stratification.

EXAMPLE 10. Let $F: (\mathbb{C}^2 \times \mathbb{C}^2, 0) \rightarrow (\mathbb{C}^2, 0)$ be given by the formula

$$F_{s_1, s_2}(x_1, x_2) := (s_1 x_1 + x_2^2, s_2 x_2 + x_1^2).$$

For the stratification

$$\begin{aligned} \Gamma_1^2 &:= \{(s_1, s_2) : s_1 s_2 \neq 0\}, \\ \Gamma_1^1 \cup \Gamma_2^1 &:= \{(s_1, s_2) : s_2 = 0\} \cup \{(s_1, s_2) : s_1 = 0\} \end{aligned}$$

we have

$$i_0(F_{s_1, s_2}) = \begin{cases} 1, & (s_1, s_2) \in \Gamma_1^2, \\ 4, & (s_1, s_2) \in \Gamma_1^1 \cup \Gamma_2^1. \end{cases}$$

If we set $\Sigma_1^2 := \Gamma_1^2$, $\Sigma_1^1 := \Gamma_1^1 \setminus \{(0, 0)\}$, $\Sigma_2^1 := \Gamma_2^1 \setminus \{(0, 0)\}$, $\Sigma_1^0 := \{(0, 0)\}$, then

$$\mathcal{L}_0(F_{s_1, s_2}) = \begin{cases} 1, & (s_1, s_2) \in \Sigma_1^2, \\ 4, & (s_1, s_2) \in \Sigma_1^1 \cup \Sigma_2^1, \\ 2, & (s_1, s_2) \in \Sigma_1^0. \end{cases}$$

Observe that in this case F_s is already a proper polynomial mapping. Using CAS the polynomial Q_s is given by

$$\begin{aligned} Q_s(N, y, t) &= t^4 + (-3s_1 s_2 a_1 a_2 - 2y_2 a_1^2 - 2y_1 a_2^2) t^2 \\ &\quad + (s_1 s_2^2 a_1^3 + s_1^2 s_2 a_2^3 + 4s_2 y_1 a_1^2 a_2 + 4s_1 y_2 a_1 a_2^2) t \\ &\quad - s_2^2 y_1 a_1^4 - s_1 s_2 y_2 a_1^3 a_2 - s_1 s_2 y_1 a_1 a_2^3 - s_1^2 y_2 a_2^4 + y_2^2 a_1^4 - 2y_1 y_2 a_1^2 a_2^2 + y_1^2 a_2^4, \end{aligned}$$

where $N(x) = a_1 x_1 + a_2 x_2$, $y = (y_1, y_2)$, $s = (s_1, s_2)$.

The deformation F_s is called *multiplicity-constant* if the map $s \mapsto i_0(F_s)$ has constant finite value.

COROLLARY 11. *If f has an isolated zero and $F: (\mathbb{C}^n \times \mathbb{C}^k, 0) \rightarrow (\mathbb{C}^m, 0)$ is a multiplicity-constant deformation of f , then there exists $\varepsilon > 0$ such that*

$$\mathcal{L}_0(f) \leq \mathcal{L}_0(F_s) \quad \text{for } |s| \leq \varepsilon.$$

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