

**§6**

# **Smoothness and Tangent Spaces**

## Smooth points on a hypersurface

Let  $f \in K[z_1, \dots, z_n]$  be an irreducible polynomial and let  $X = \mathcal{V}(f) \subset \mathbb{A}^n$  be the hypersurface defined by  $f$ . A point  $p \in X$  is called **smooth** if the gradient  $(\nabla f)(p)$  is non-zero.

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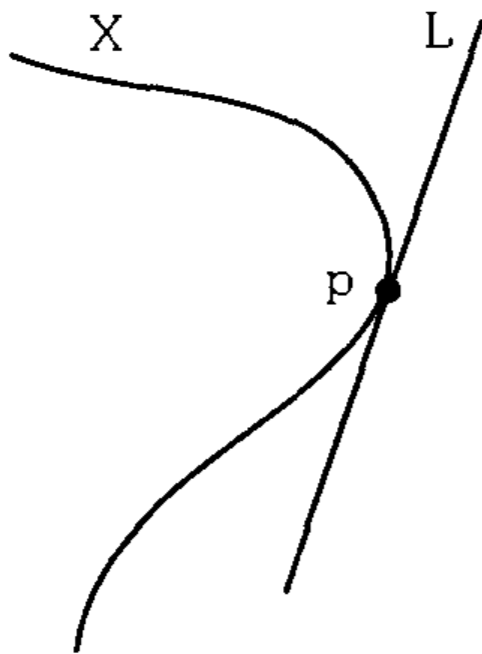
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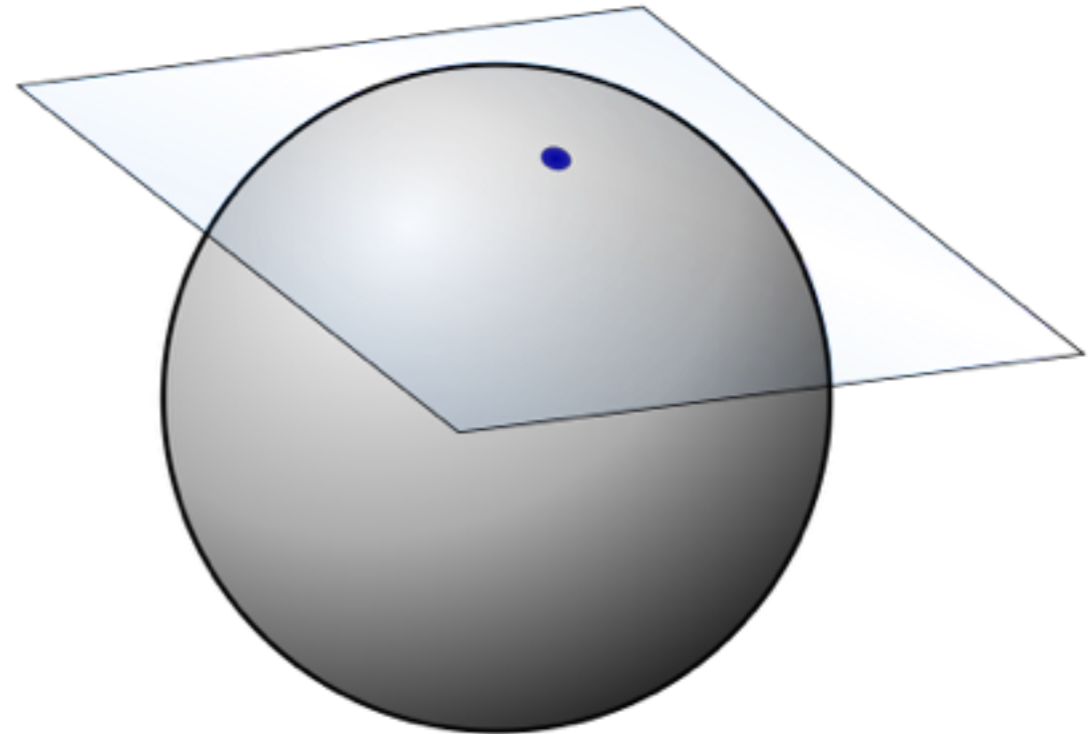
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Tangent line to a curve [Ha, p. 175]

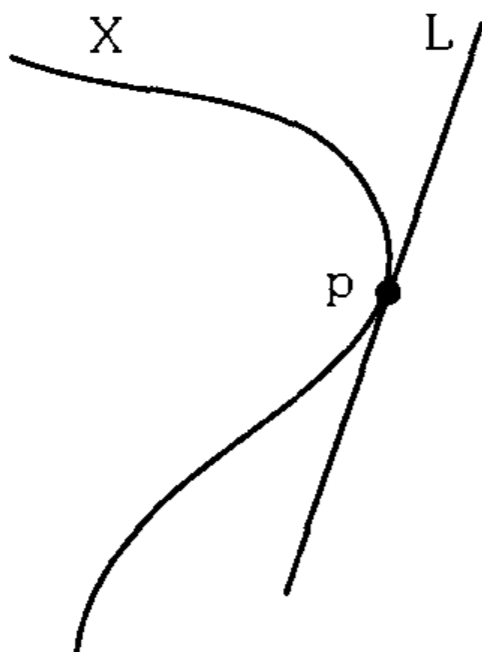


Tangent plane to a sphere [Wikimedia Commons]

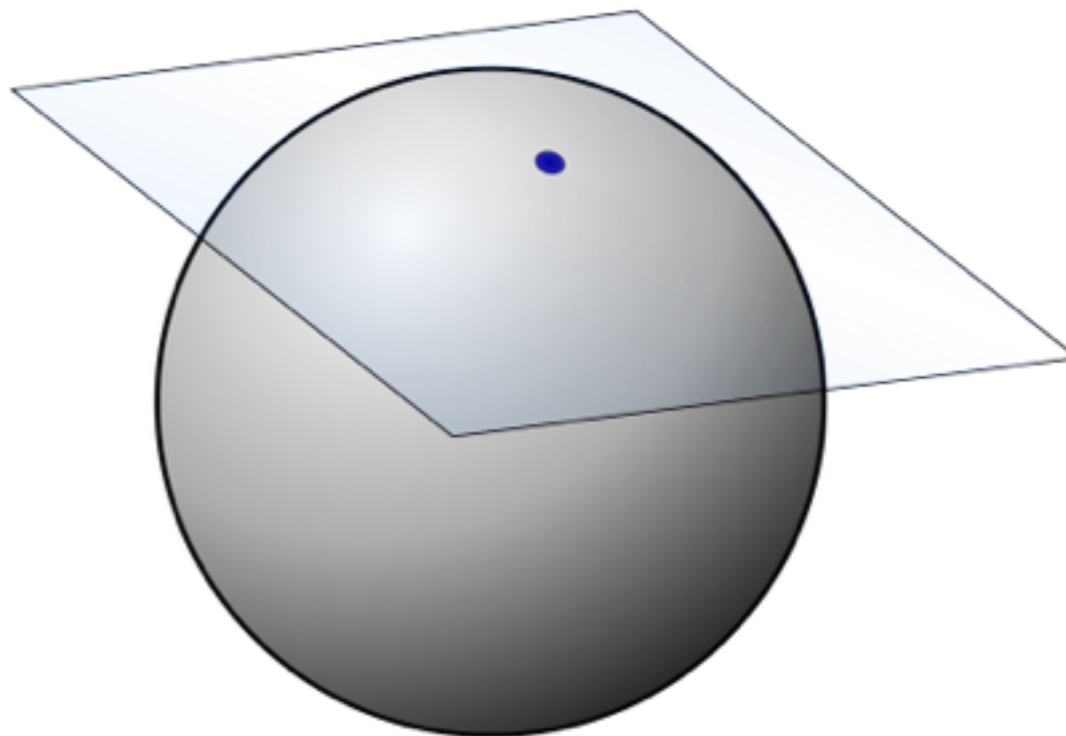
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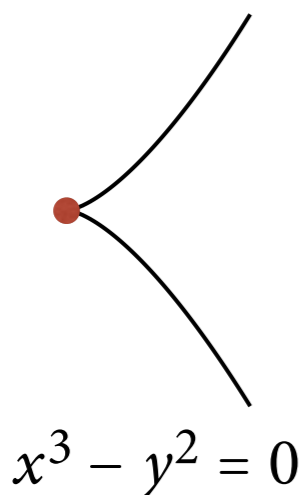


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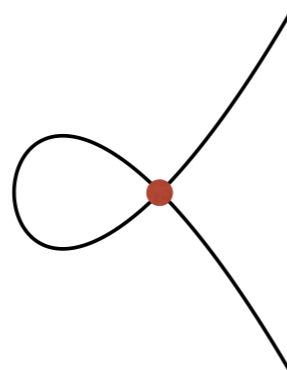


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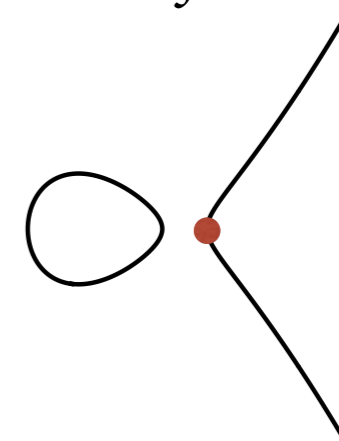
In particular, the origin  $p = 0$  is a smooth point if and only if the linear term of  $f$  is non-zero.



$$x^3 - y^2 = 0$$



$$x^3 + x^2 - y^2 = 0$$



$$4x^3 + 5x^2 - 4y^2 + x = 0$$

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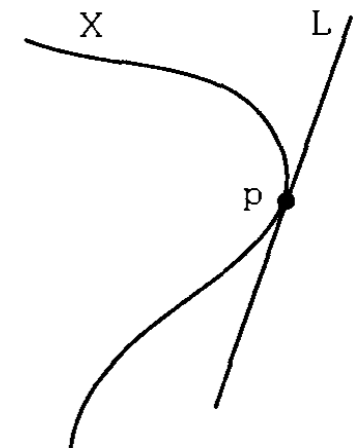
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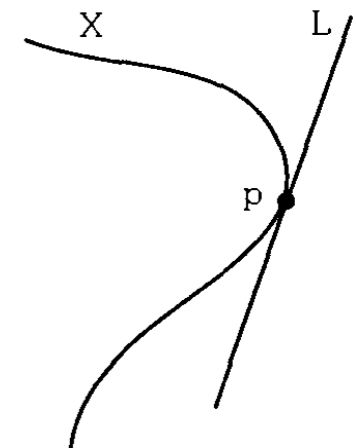
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For the hypersurface  $X = \mathcal{V}(f)$ , this means

$$p + T_p(X) = \left\{ (v_1, \dots, v_n) \in K^n : \sum_{i=1}^n \frac{\partial f}{\partial z_i}(p) \cdot (v_i - p_i) = 0 \right\}.$$



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**Proposition 6.1.** Let  $f_1, \dots, f_\ell$  be generators of the ideal  $I(X)$  and let  $J$  be the  $\ell \times n$ -matrix

$$J_{ij} = (\partial f_i / \partial z_j)_{i,j}.$$

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Thus if  $v$  is in the kernel of  $J(p)$ , we see that  $D_v(f)(p) = \sum_{j=1}^{\ell} g_j(p) \left( \sum_{i=1}^n v_i (\partial f_j / \partial z_i)(p) \right) = 0$ . Hence  $T_p(X)$  contains the kernel of  $J(p)$ . Conversely, if  $v \in T_p(X)$ , then  $D_v(f_j) = 0$  for all  $j = 1, \dots, \ell$ , which implies  $v \in \ker J(p)$ . ■



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*Proof.* First, some linear algebra: Let  $V$  and  $W$  be finite-dimensional vector spaces and let

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We claim that when we work modulo  $I(X)$ ,  $\alpha$  induces a perfect pairing  $\bar{\alpha}: T_p(X) \times (m/m^2) \rightarrow K$ .

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Now let  $X \subset \mathbb{A}^n$  and  $I(X) \subset K[z_1, \dots, z_n]$ . Let  $M = (z_1 - p_1, \dots, z_n - p_n)$  be the maximal ideal of  $p$  in  $K[z_1, \dots, z_n]$ , so that  $m = M/I(X)$ .

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On the left side, this is clear, since we only restricted from  $T_p(\mathbb{A}^n)$  to  $T_p(X)$ .

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On the right side, we work directly in the finite-dimensional vector space  $M/M^2$ . Let  $f_1, \dots, f_\ell$  be generators of  $I(X)$  and let  $U$  be the subspace spanned by  $\bar{f}_1, \dots, \bar{f}_\ell$  in  $M/M^2$ . Let  $U'$  be a complement of  $U$  in  $M/M^2$ , i.e.  $M/M^2 = U \oplus U'$  and pick  $g_1, \dots, g_r \in M$  such that  $\bar{g}_1, \dots, \bar{g}_r$  form a basis of  $U'$ . Since  $\alpha$  is a perfect pairing, we can pick a dual basis given by elements  $v_1, \dots, v_r \in T_p(\mathbb{A}^n)$  satisfying  $D_{v_i}(g_j)(p) = \delta_{ij}$ , and the subspace  $V$  spanned by  $v_1, \dots, v_r$  in  $T_p(\mathbb{A}^n)$  satisfies  $T_p(\mathbb{A}^n) = T_p(X) \oplus V$ . Now  $V$  is exactly the kernel of the map  $T_p(\mathbb{A}^n) \rightarrow (U')^*$ ,  $v \mapsto \alpha(v, -) \in (U')^*$ . Since  $m/m^2 = (M/M^2)/U \cong U'$ , this shows that  $T_p(X) \rightarrow (m/m^2)^*$ ,  $v \mapsto \alpha(v, -)$  is injective, as claimed. ■

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To make this precise, if  $X$  is a quasi-projective variety,  $p \in X$  a point and  $U$  an open-affine subvariety with  $p \in U$ , we define the **tangent space to  $X$  at  $p$**  to be  $(m/m^2)^*$ , where  $m$  is the maximal ideal of  $p$  in  $K[U]$ . (Of course, it has to be checked that this is independent of the choice of  $U$ . This is easy to see using the language of local rings, but we omit it here.)

## Smooth points and singular points

A point  $p \in X$  is called **smooth** (or  $X$  is called smooth at  $p$ ) if  $p$  is contained in a single irreducible component of  $X$  and

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**Remark.** In modern algebraic geometry, what we call 'smooth' is often called 'non-singular', while the word smooth is reserved for a stronger property. The difference is only relevant in characteristic  $p$ . In many texts, the terms 'smooth' and 'non-singular' are used interchangeably, but in characteristic  $p$ , one has to exercise caution.

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If  $X$  is a hypersurface defined by a single irreducible polynomial  $f \in K[z_1, \dots, z_n]$ , the singular points of  $X$  are the points  $p \in X$  in which the gradient  $(\nabla f)(p)$  vanishes. So the singular points form the subvariety  $\mathcal{V}(\partial f/\partial z_1, \dots, \partial f/\partial z_n) \cap X$  of  $X$ . This is a proper subvariety, unless the derivatives  $\partial f/\partial z_1, \dots, \partial f/\partial z_n$  are all zero in  $A(X)$ . Since  $\partial f/\partial z_i$  has lower degree in  $z_i$  than  $f$ , it cannot be divisible by  $f$  unless it is already 0 in  $K[z_1, \dots, z_n]$ .

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If  $\text{char}(K) = p$ , then  $\partial f/\partial z_i = 0$  if and only if  $f$  is a polynomial in  $z_i^p$ . If this were to happen for all  $i = 1, \dots, n$ , we could take the  $p$ th root of each coefficient, since  $K$  is algebraically closed, and conclude that  $f = g^p$  for some  $g \in K[z_1, \dots, z_n]$ . This would contradict the fact that  $f$  is irreducible. Hence the claim is proved if  $X$  is a hypersurface.

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*Proof (continued).*

If  $X$  is not a hypersurface, we can apply Thm. 5.2: Since  $X$  is birational to a hypersurface, there is an open dense subset  $U$  of  $X$  that is isomorphic to an open dense subset of a hypersurface. Therefore,  $U$  contains an open dense subset  $U'$  consisting of smooth points.

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Since the smooth points are dense in  $X$ , the matrix  $J(p)$  can never have rank bigger than  $n - \dim(X)$ . For if the rank of  $J(p)$  were bigger for some  $p \in X$ , the same would happen on some non-empty open subset of  $X$ , which is impossible. (It would mean that some minor of size  $r \times r$ , with  $r > n - \dim(X)$  would not vanish at  $p$ . But then that same minor would be non-vanishing on some non-empty open subset of  $X$ .)

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Hence the singular points of  $X$  are precisely the points at which  $J(p)$  has rank less than  $n - \dim(X)$ . This is the closed subset given by the vanishing of all minors of size  $n - \dim(X)$ . ■

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The proof has shown the following.

**Corollary 6.4.** *If  $X$  is an irreducible variety of dimension  $k$ , then*

$$\dim T_p(X) \geq k$$

*holds for all  $p \in X$ , with equality on the open-dense subset of smooth points of  $X$ .* ■

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$$p + T_p(X \cap U_i) \subset U_i \subset \mathbb{P}^n$$

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We first consider again the case of a hypersurface  $X$  defined by a homogeneous polynomial  $F(Z) \in K[Z_0, \dots, Z_n]$ . Consider the open affine subset  $U_0$  with affine coordinates  $z_i = Z_i/Z_0$ .

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## The projective tangent space

We have defined the tangent space to any quasi-projective variety.

But the tangent space to a projective variety should really be a projective linear space.

Here is one way to define the projective tangent space: Let  $X \subset \mathbb{P}^n$  be a projective variety and  $p \in X$ . Then  $p$  is contained in one of the open affine sets  $U_i \cong \mathbb{A}^n$ . Then we can take the tangent space to  $X \cap U_i$  in  $\mathbb{A}^n$  and define the **projective tangent space**  $\mathbb{T}_p(X)$  as the closure of the affine tangent space

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The point  $p$  is singular if and only if all the partial derivatives of  $F$  vanish at  $p$ , i.e. if and only if  $\mathbb{T}_p(X) = \mathbb{P}^n$ . In view of the Euler relation, the vanishing of all partial derivatives also implies the vanishing of  $F$  (unless  $\text{char}K$  divides  $d$ ), so that the singular locus of  $\mathcal{V}(F)$  is defined by all the partial derivatives.

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**Remark.** Yes another way to define the projective tangent space: If  $\widehat{X}$  is the cone defined by  $F$  in  $\mathbb{A}^{n+1}$  and  $p \neq 0$  any point on  $\widehat{X}$ , then  $\mathbb{T}_p(X) = \mathbb{P}T_p(\widehat{X})$ , by the description above.

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In particular, if the homogeneous ideal  $I(X)$  is generated by  $F_1, \dots, F_\ell$ , then

$$\begin{aligned} \mathbb{T}_p(X) &= \bigcap_{i=1}^{\ell} \mathbb{T}_p(\mathcal{V}(F_i)) = \left\{ [Z_0, \dots, Z_n] \in \mathbb{P}^n : \sum_{i=0}^n \frac{\partial F_j}{\partial Z_i}(P) \cdot Z_i = 0, j = 1, \dots, \ell \right\} \\ &= \mathbb{P}(\ker J) \end{aligned}$$

where  $J$  is the  $\ell \times n$ -matrix with entries  $J_{ij} = (\partial F_i / \partial Z_j)(P)$ .

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The existence of a resolution of singularities as above for varieties of any dimension over fields of prime characteristic remains unknown.



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**Example.** We showed that the set of smooth points of any variety is open and dense. Thus ‘the general point of a variety is smooth’.

Why this seemingly complicated terminology? The main reason is that the *existence* of an open subset of points satisfying some property is often much more significant than being able to describe the subset  $U$  explicitly.

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An  $n$ -tuple of points  $(v_1, \dots, v_n) \in V^n$  forms a basis if and only if  $v_1, \dots, v_n$  are linearly independent. This means that the  $n \times n$ -matrix with row vectors  $v_i$  has non-zero determinant. We can view the determinant as a polynomial  $D$  on  $V^n = K^{n \times n}$ . Thus the statement  $'(v_1, \dots, v_n)$  form a basis of  $V'$  holds on the open set  $\mathbb{A}^{n \times n} \setminus \mathcal{V}(D)$  and therefore generically.

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We proved in Thm. 5.3:

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In the proof, we also determined *in principle* equations that define the complement of  $U$  in  $Y$ . However, in general, these equations are quite complicated and we do not usually care much what they look like. It is often enough to know that the subset  $U$  exists.

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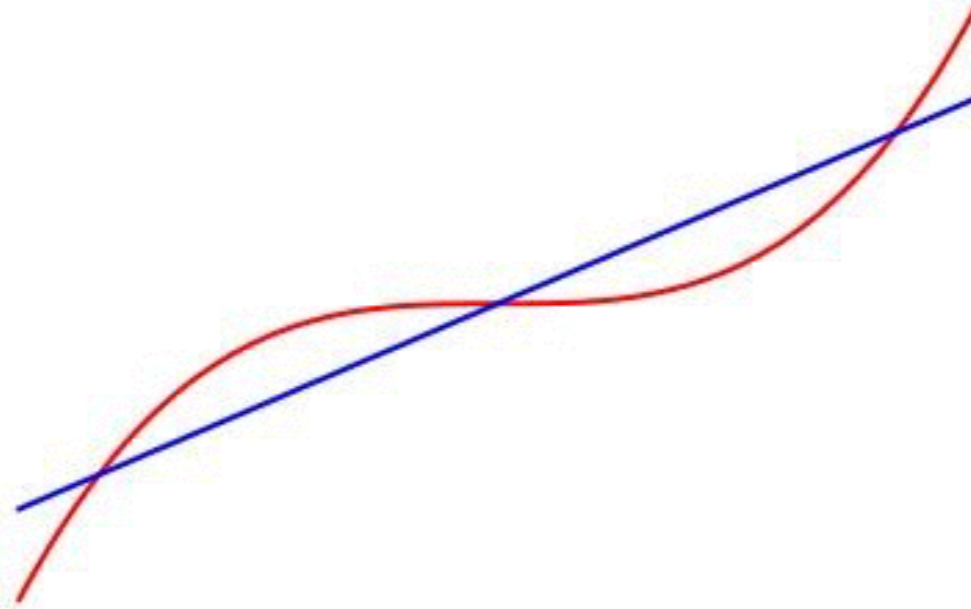
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For  $d = 1$ , we clearly have  $\Delta = \emptyset$ . The case  $d = 2$  is also easy: A quadratic form  $F \in K[Z]_d$  can be uniquely expressed as  $F = Z^T AZ$ , where  $Z = (Z_0, \dots, Z_n)^T$  and  $A$  is a symmetric  $(n+1) \times (n+1)$ -matrix. Since  $F$  is singular if and only if  $A$  has rank less than  $n+1$ , the discriminant hypersurface is defined by the determinant, a polynomial of degree  $n+1$  in the  $\binom{n+2}{2}$  entries of  $A$ .

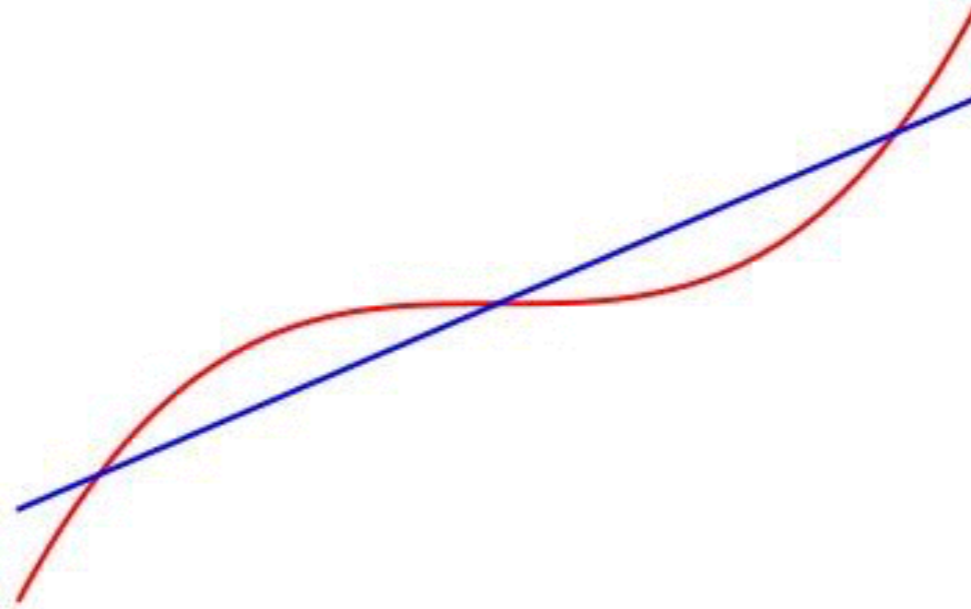
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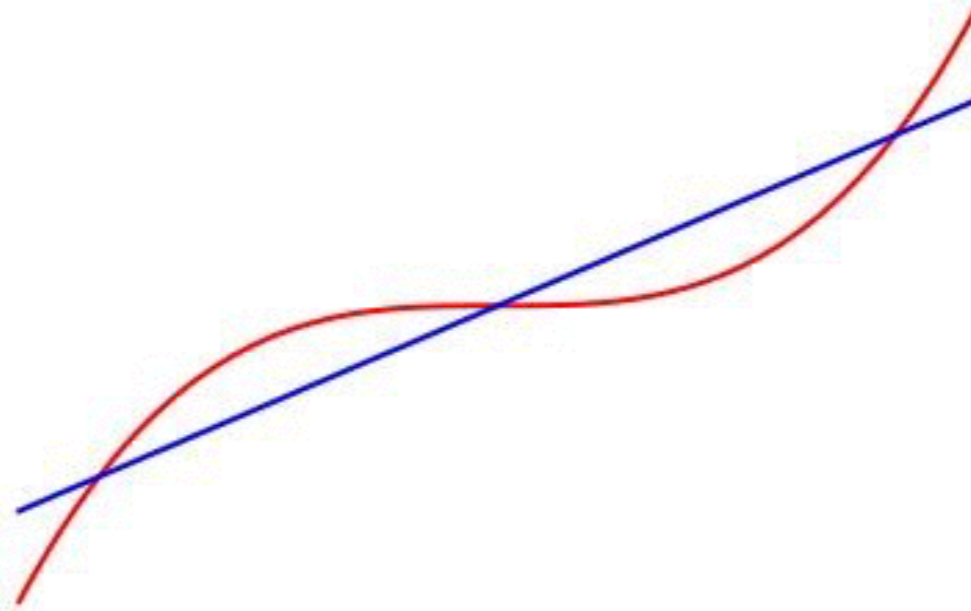


Here the genericity refers to the space of lines in  $\mathbb{P}^2$ . This is the Grassmannian  $\mathbb{G}(2, 1)$ , which is identified with the dual space  $(\mathbb{P}^2)^*$ . Explicitly, a line in  $\mathbb{P}^2$  is defined by a linear form  $aX + bY + cZ$  corresponding to the point  $[a, b, c] \in \mathbb{P}^2$ .



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Assume  $\text{char}(K) = 0$ . Let  $X$  be given by an irreducible polynomial  $F \in K[X, Y, Z]_d$ . We may restrict to the open set of lines as above with  $a \neq 0$ . Then we put  $a = 1$  and substitute  $X = -bY - cZ$  into  $F$ . This results in a homogeneous polynomial

$$G_{b,c}(Y, Z) = F(-bY - cZ, Y, Z)$$

of degree  $d$ . We are interested in the set of parameters  $b, c$  for which  $G_{b,c}$  has no multiple roots, and thus  $d$  distinct roots in  $K$ . This corresponds to the set of  $b, c$  for which the discriminant  $R(G_{b,c}, \partial G_{b,c} / \partial Y)$  is non-zero. This is a polynomial condition in  $b, c$ .

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A possible solution (in some applications) is to choose the polynomial 'at random' in some way.



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For example, the variety  $V$  itself might be defined by polynomials with rational coefficients. Then we might take  $k = \overline{\mathbb{Q}}$ . A  $k$ -generic point of  $V$  would then be a general point with respect to any property defined (in a suitable sense) over any number field.



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In particular, if  $X$  is smooth, then so is the intersection of  $X$  with a general linear subspace.

# Bertini's theorem

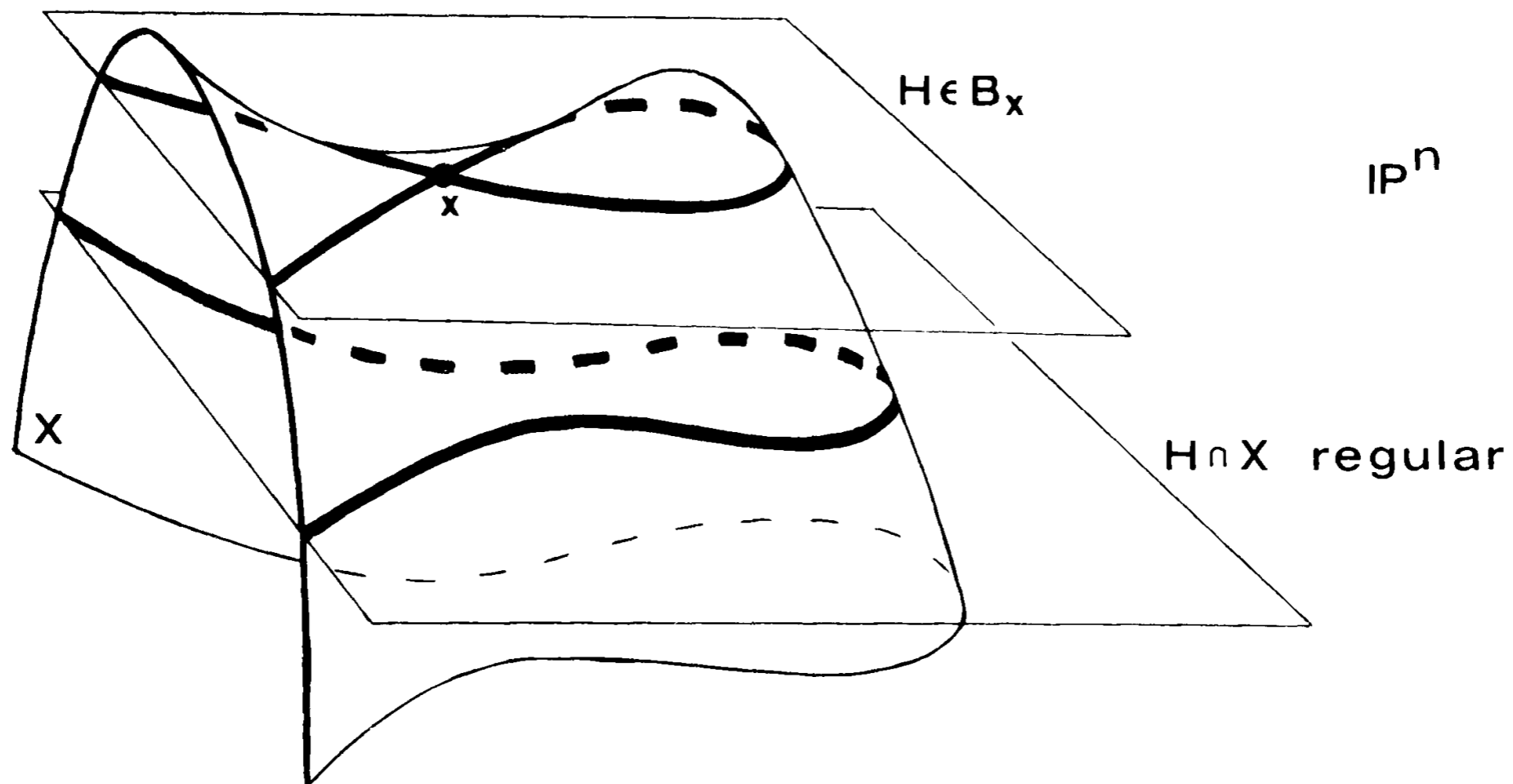
We will now see two of the most important general genericity statements. The first is Bertini's theorem.

## **Theorem 6.6 (Bertini).**

Let  $X \subset \mathbb{P}^m$  be a quasi-projective variety. The general linear subspace  $L \subset \mathbb{P}^m$  satisfies

$$(X \cap L)_{\text{sing}} = X_{\text{sing}} \cap L.$$

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There exist many stronger and refined versions of Bertini's theorem, like the following

**Theorem 6.7.** *Assume  $\text{char}(K) = 0$ . Let  $X$  be a quasi-projective variety over  $K$  and  $f: X \rightarrow \mathbb{P}^n$  a morphism. Then the general linear subspace  $L \subset \mathbb{P}^n$  satisfies*

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Applications of Bertini's theorem will follow later.

## Dimension of fibres

The second important genericity statement is the following.

**Theorem 6.8 (Fibre-dimension theorem).** *Let  $X$  and  $Y$  be irreducible varieties and  $\varphi: X \rightarrow Y$  a dominant morphism. Then the fibre of  $\varphi$  over a general point of  $Y$  has dimension  $\dim(X) - \dim(Y)$ .*



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*More precisely, the following holds: For  $y \in Y$ , write  $X_y$  for the fibre  $\varphi^{-1}(y)$ .*

(1) *For every  $y \in \varphi(X)$ , we have  $\dim(X_y) \geq \dim X - \dim Y$ .*

(2) *For every  $k \geq 0$ , the set*

$$\{y \in Y : \dim(X_y) \leq \dim(X) - \dim(Y) + k\}$$

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### Examples 6.9.

(1) Consider the map  $\varphi: \mathbb{A}^2 \rightarrow \mathbb{A}^2, (x, y) \mapsto (x, xy)$ .

We find  $\varphi(\mathbb{A}^2) = \{(u, v) \in \mathbb{A}^2 : u \neq 0\} \cup \{(0, 0)\}$ . If  $(u, v) \in \mathbb{A}^2$  with  $u \neq 0$ , then  $\varphi^{-1}(u, v) = \{(u, v/u)\}$  has dimension 0.

The exceptional fibre  $\varphi^{-1}(0, 0)$  is the line  $x = 0$  in  $\mathbb{A}^2$  and has dimension 1.

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(2) Let  $X \subset \mathbb{A}^n$  be an irreducible affine variety of dimension  $k$  and let

$$\Theta = \{(p, v) \in X \times \mathbb{A}^n : v \in T_p(X)\}.$$

It is not hard to verify that  $\Theta$  is closed in  $X \times \mathbb{A}^n$ . Let  $\pi_1: \Theta \rightarrow X$  be the first projection. For  $p \in X$ , the fibre  $\pi_1^{-1}(p)$  is exactly  $T_p(X)$ . From what we know about tangent spaces, it follows that the general fibre of  $\pi_1$  has dimension  $k$ , so that  $\dim \Theta = k + \dim X = 2k$ . Furthermore, statement (2) in the fibre dimension theorem is exactly what we showed in Problem 7.2.

## Dimension of fibres

### Examples 6.9.

(3) In the chapter about secant varieties, we saw the following statement.

**Proposition 4.1.** *If  $X \subset \mathbb{P}^n$  is irreducible of dimension  $k$ , its secant variety  $S_1(X)$  is of dimension at most  $2k + 1$ , with equality if and only if  $X$  is not a line and there exists a point on  $S_1(X)$  lying on only a finite number of secant lines to  $X$ . (If this is true for a single point, it is true for a dense set of points.)*

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We are now in a position to prove this: Let  $\widehat{X} \subset \mathbb{A}^{n+1}$  be the affine cone over  $X$  and consider

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We claim that this must be the dimension of the fibre over a general point of  $\mathbb{P}^n$ . This is because, by the fibre-dimension theorem, the dimension of the general fibre is always the smallest dimension that occurs anywhere over the image. Since there can be no 0-dimensional fibres (because  $s(tx, ty) = s(x, y)$  for  $t \in K^*$ ), we conclude that the general fibre must be 1-dimensional. This explains the additional claim in parenthesis.

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Now we apply the fibre-dimension theorem and conclude  $2 \dim(\widehat{X}) - \dim S_1(X) = 1$  where  $\dim(\widehat{X}) = k + 1$ , hence  $\dim S_1(X) = 2k + 1$ , as claimed.



## Dimension of fibres

**Corollary 6.10.** *Let  $X \subsetneq \mathbb{P}^n$  be a projective variety. For  $p \in \mathbb{P}^n \setminus X$ , let  $\pi_p$  be the projection from  $p$  onto a hyperplane  $H \cong \mathbb{P}^{n-1}$ . Then  $\dim(\pi_p(X)) = \dim(X)$ .*

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*Proof.* Apply the fibre-dimension theorem to the morphism  $\pi_p: X \rightarrow \pi_p(X)$ . For every  $q \in \pi_p(X)$ , the fibre  $\pi_p^{-1}(q)$  consists of the intersection points of the line  $\overline{pq}$  with  $X$ . Since  $p \notin X$  but  $q \in \pi_p(X)$ , these are finitely many points. Thus every fibre is 0-dimensional, which implies  $\dim(X) = \dim(\pi_p(X))$ . ■

## Linear spaces of complementary dimension

**Theorem 6.11.** *Let  $X \subset \mathbb{P}^n$  be an irreducible projective variety. The dimension of  $X$  is the unique number  $k$  such the general linear subspace of dimension  $n - k$  in  $\mathbb{P}^n$  meets  $X$  in finitely many points.*

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If  $\dim(X) \leq n - 1$ , choose any point  $p \in \mathbb{P}^n \setminus X$  and consider the projection  $X' = \pi_p(X)$  onto  $H \cong \mathbb{P}^{n-1}$ . Since  $\dim(X) = \dim(X')$ , we have  $\text{codim}(X') = \text{codim}(X) - 1$ . By the induction hypothesis, the general subspace of  $H$  of dimension  $n - k - 1$  meets  $X'$  in finitely many points. If  $L$  is any such subspace, then  $\overline{\pi_p^{-1}(L)}$  is a subspace of dimension  $n - k$  in  $\mathbb{P}^n$  (spanned by  $L$  and  $p$ ) still meeting  $X$  in finitely many points. Thus the general subspace of dimension  $n - k$  through  $p$  meets  $X$  in finitely many points. Since  $p$  is any point not on  $X$ , this shows the claim.

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*Proof (continued).*

To show that  $\dim(X)$  is the only number with this property, suppose the general subspace of dimension  $n - k$  meets  $X$  in finitely many points. If  $n = k$ , then this implies  $X = \mathbb{P}^n$ , so  $k = \dim X$ . So we may assume  $k < n$ .

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Let  $L$  be a subspace of dimension  $n - k$  that meets  $X$  in only finitely many points. Then  $L$  contains a subspace  $L^{(0)}$  of dimension  $n - k - 1$  which does not meet  $X$  at all. Let  $p_0 \in L^{(0)}$  and let  $\pi_0$  be the projection from  $p_0$  onto  $H \cong \mathbb{P}^{n-1}$ . If  $n - k - 1 > 1$ , then the image  $L^{(1)} = \pi_0(L^{(0)})$  is a subspace of  $H$  of dimension  $n - k - 2$  which does not meet  $\pi_0(X)$ . Repeating this step  $n - k - 1$  times, we arrive at a subspace  $L^{(n-k-1)} \subset \mathbb{P}^{n-(n-k-1)} = \mathbb{P}^{k+1}$  of dimension 0 which is disjoint from the image  $(\pi_{n-k-1} \circ \cdots \circ \pi_0)(X)$ . We can then project from this point one more time. Since the dimension of  $X$  stays the same under all these projections by Cor. 6.10 and the image of  $X$  is a subvariety of  $\mathbb{P}^k$ , we must have  $\dim(X) \leq k$ .

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Essentially the same argument shows the converse: Let  $r = \text{codim}(X)$ . By Cor. 6.10, we can successively project  $X$  from points  $p_1, \dots, p_r$  outside  $X$ . Then  $p_1, \dots, p_r$  span an  $r - 1$ -dimensional subspace disjoint from  $X$ . Since each  $p_i$  can be chosen from an open subset, this shows that the general subspace of dimension  $r - 1$  does not meet  $X$ . So we must have  $n - k > r - 1$ , hence  $\dim(X) \geq k$ . ■