

Extended Period Mappings*

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Abstract

This lecture will discuss the global structure of period mappings (variation of Hodge structure) defined over complete, 2-dimensional algebraic varieties. Some applications to moduli of general type algebraic surfaces will also be presented.

*Clay Lecture at the INI, June 2022. The lecture is based on joint work with Mark Green and Colleen Robles

- I. Introduction
- II. Construction and properties of extended period mappings
- III. Geometry of extension data
- IV. Basic formula
- V. Applications to moduli of general type algebraic surfaces[†]
 - A. Infinite monodromy
 - B. Finite monodromy

[†]This section is based in part on joint work with Radu Laza and on the work of and discussion with Marco Franciosi, Rita Pardini and Sönke Rollenske.

I. Introduction

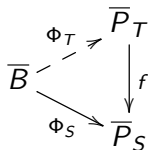
- Given $(\overline{B}, Z; \Phi)$ where
 - \overline{B} is a smooth projective variety, $Z = \cup Z_i$ is a normal crossing divisor and $B = \overline{B} \setminus Z$;
 - $\Phi : B \rightarrow \Gamma \backslash D$ is a *period mapping* where $D = G_{\mathbb{R}}/H$, $\rho : \pi_1(B) \rightarrow \Gamma \subset G_{\mathbb{Z}}$ is monodromy.

In the extensive literature there are

- global results on B (theorem of the fixed part, image $P \subset \Gamma \backslash D$ is an algebraic variety over which the Hodge line bundle $\bigotimes^p \det F^p := L \rightarrow P$ is ample, algebraicity of Hodge loci)
- local results on neighborhoods $\Delta^{*k} \times \Delta^\ell$ in B of points in Z (nilpotent and \mathfrak{sl}_2 -orbit theorems, existence and properties of several variable limiting mixed Hodge structures, Chern forms of the extended Hodge bundles).

This talk will be concerned with global results on \overline{B}

- extensions of Φ



- properties of $\overline{P}_T, \overline{P}_S$ (e.g., ample line bundles)
- geometry of the fibres of f is of particular interest (variational properties of extension data)
- mostly restrict to the case $\dim B = 2$ and will then assume $\dim \Phi(B) = 2$.[‡]

Will also discuss some applications to moduli of general type algebraic surfaces, emphasizing one particular surface. Main emphasis will be on extending Φ across subvarieties in Z with infinite monodromy; will also briefly discuss extensions across subvarieties in B in the finite monodromy case.

[‡]A fundamental invariant of any VHS is monodromy that lives on a general 2-dimensional section of the parameter space.

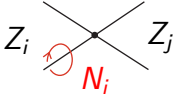
II. Construction and properties of extended period mappings[§]

- Given V, Q
 - polarized Hodge structure (PHS) is $(V, F), F = \{F^p\}$
 - mixed Hodge structure (MHS) is $(V, W, F), W = \{W_k\}$
 - limiting mixed Hodge structure (LMHS) is $(V, W(N), F)$ where $N \in \text{End}_Q(V)$ is a nilpotent operator with $N : F^p \rightarrow F^{p-1}$

$$\begin{cases} N : W_k(N) \rightarrow W_{k-2}(N) \\ N^k : W_{n+k}(N) \xrightarrow{\sim} W_{n-k}(N). \end{cases}$$

[§]A general reference for Hodge theory is [CM-SP]. For limits of Hodge structures see [CK] and the references cited therein.

The Q will be understood for MHS's and LMHS's. Will also have $(V, W(\sigma), F)$ where $\sigma = \text{span}_{\mathbb{Q}^+} \{N_1, \dots, N_k\}$ is a monodromy cone. When $\dim B = 2$ we have



$$\sigma = \begin{cases} \sigma_i \\ \sigma_{ij} \end{cases}$$

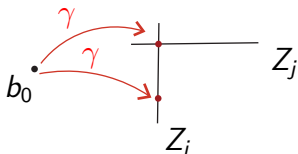
- equivalence class $[V, W(\sigma), F] := \mathcal{L}$ where

$$F \sim \exp(\lambda N)F, \quad \lambda \in \mathbb{C} \text{ and } N \in \sigma$$

- assuming T_i unipotent[¶] there are canonical extensions $F_e^p \rightarrow \overline{B}$.

[¶]This assumption is not essential.

Definition: $\overline{P}_T =$ quotient by Γ of $\{(\gamma, [V, W(\sigma), F_b])\}$
 $= \{\gamma, \mathcal{L}_b\}$ where $\gamma = \overline{b_o b}$



- Given a MHS (V, W, F) the associated graded is a direct sum of PHS's. For $\mathcal{L} = [V, W(\sigma), F]$, $\text{Gr}(\mathcal{L})$ is well-defined.

Definition: $\overline{P}_S =$ quotient by Γ of $\{\gamma, \text{Gr}(\mathcal{L}_b)\}$.

In the following we assume $\dim B = 2 = \dim \Phi(B) = 2$.

Theorem([GGLR]): (i) \overline{P}_S is a compact analytic surface.
 (ii) The Hodge line bundle descends to an ample line bundle on \overline{P}_S .

- Regarding (i) essential case is $Z = \cup Z_i$ where $L \cdot Z_i = 0$.
Then

$$\dim B = 2 \implies \|Z_i \cdot Z_j\| \leq 0 \quad (\text{Hodge index theorem})$$
$$\implies Z \text{ contracts to a normal singular point (Grauert).}$$

- Regarding (ii), even if we know that $L|_Z \cong \mathcal{O}_Z$ there are generally non-trivial obstructions to trivialize L in a neighborhood of Z . Proof involves
 - new ingredient in Hodge theory (semi-global representations of Φ by period matrices)
 - observation that $L =$ pullback of $\mathcal{O}(1)$ under the Plücker embedding

$$D \subset \prod^p \mathbb{P}(\wedge^{h_p} F_p), \quad h_p = \text{rank } F_p,$$

this applied to the maps

$$\text{Gr}(\mathcal{L}) \rightarrow \{\text{Mumford-Tate domain}\}.$$

Theorem: (i) \bar{P}_T is a compact analytic variety. (ii) Assuming $\Phi : B \rightarrow P$ does not contract any curve,^{||} there exists m_0 and $a_i > 0$ such that

$$L_m := mL - \sum_i a_i Z_i$$

is ample for $m > m_0$.

Regarding the proof of (ii), the a_i are chosen so that for each j

$$Z_j \cdot \sum_i a_i Z_i > 0.$$

That this is possible is a property of negative definite symmetric matrices. The a_i reflect the nature of the singularity to which Z contracts.

In summary

- $\bar{P}_S = \text{Proj}(L)$
- $\bar{P}_T = \text{Proj}(L_m)$

^{||}This assumption can be removed with a slightly more elaborate statement of the result.

III. Geometry of extension data

Still assuming that $\dim B = \dim \Phi(B) = 2$, in the diagram

$$\begin{array}{ccc}
 & & \overline{P}_T \\
 & \nearrow \Phi_T & \downarrow f \\
 \overline{B} & & \\
 & \searrow \Phi_S & \downarrow \\
 & & \overline{P}_S
 \end{array}$$

Z_i not a fibre of $\Phi_S \implies \Phi_T|_{Z_i^*}$ is like a usual period mapping

Z_i is a fibre of $\Phi_S \iff \mathcal{L}|_{Z_i}$ has locally constant $\text{Gr}(\mathcal{L})$.

Assume along Z_i^* have VLMHS \mathcal{L}_i where

$\text{Gr}(\mathcal{L}) = \{H^0, \dots, H^m\}$ is constant.

- $(V, F), (V', F)$ Hodge structures of weights $k > k'$

$$\begin{aligned}
 \text{Ext}_{\text{MHS}}^1(V, V') &= \frac{\text{Hom}_{\mathbb{C}}(V, V')}{F^0 \text{Hom}_{\mathbb{C}}(V, V') + \text{Hom}_{\mathbb{Z}}(V, V')} \\
 &\parallel \\
 E &\cong \mathbb{C}^m / \Lambda, \quad \Lambda \text{ discrete}
 \end{aligned}$$

- $k' = k - 1$ gives

$$\underbrace{(k-1, -k) \oplus \cdots \oplus (0, -1)}_{F^0} \oplus \underbrace{(-1, 0) \oplus \cdots \oplus (-k, k-1)}_{T_e E}$$

$E =$ compact complex torus with $E \supset E_{ab}$ where
 $T_e E_{ab} \subset (-1, 0)$

- $k' = k - 2$ gives


$$\underbrace{(k-2, -k) \oplus \cdots \oplus (0, -2)}_{F^0} \oplus \underbrace{(-1, -1) \oplus (-2, 0) \oplus \cdots \oplus (-k, k-2)}_{T_e E}$$

connected analytic subgroup S where $T_e S$ over $\underbrace{\quad}$ is a \mathbb{C}^{*k} .

- $k' = k - 3$ gives

$$\underbrace{(k-3, -k) \oplus \cdots \oplus}_{F^0}$$

$$\underbrace{(-1, -2) \otimes (-2, -1) \otimes \cdots \otimes (-k, k-3)}_{T_e E}$$

no non-trivial connected complex analytic subgroup with tangent space over .

Need only consider $\text{Ext}_{\text{MHS}}^1$'s as the higher $\text{Ext}_{\text{MHS}}^q$'s = 0 for $q \geq 2$.

Remark: For a VMHS of Hodge-Tate type (the $H^{2p} = \bigoplus \mathbb{Q}(-p)$'s) the

- level 1 extension data is trivial
- level 2 extension data given by $\log t_i$'s
- level 3 extension data given by $li_2 t_\alpha$'s
- d (level 3) \in level 2 \implies ODE expressing $li_2 t_\alpha$ in terms of $\log t_i$'s, etc.

- Along Z_i^* level 1 extension data gives

$$\Phi_1 : Z_i^* \rightarrow E_{ab} \subset E \quad (\text{actually } E_{ab} + c)$$

$$\begin{array}{ccc} \rightsquigarrow Z_i & \xrightarrow{\quad\quad\quad} & E_{ab} \\ & \searrow & \nearrow \\ & \text{Alb } Z_i & \end{array}$$

- Φ_1 (locally) constant $\rightsquigarrow \Phi_2 : Z_i^* \rightarrow \mathbb{C}^{*k}$.
- Then we have (up to a translation) the level 2 extension data mapping

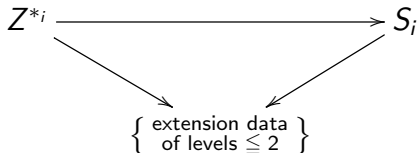
$$\Phi_2 : Z_i^* \rightarrow \mathbb{C}^{*m_i}.$$

- If Φ_1, Φ_2 are both constant along Z_i^* , then $\Phi_3 = \Phi_4 = \dots = \text{constant along } Z_i$.
- At a point of $Z_i \cap Z_j$ if N_i, N_j are linearly independent, then Φ_2 extends by filling in the origin to some of the \mathbb{C}^* 's; essentially $\Delta^* \times \Delta^*$ completes to $\Delta \times \Delta$.

- If N_i, N_j are linearly dependent, then $\Delta^* \times \Delta^*$ fills in to $\Delta \times \Delta$ with the axes contracted to points.**
- The Albanese $\text{Alb}(Z_i^*)$ is a semi-abelian variety S_i with

$$0 \rightarrow \mathbb{C}^{*m_i} \rightarrow S_i \rightarrow A_i \rightarrow 0$$

and Φ_1, Φ_2 combined give



**The general version of this case involves a somewhat subtle analysis of the relations among the N_i in a nilpotent orbit

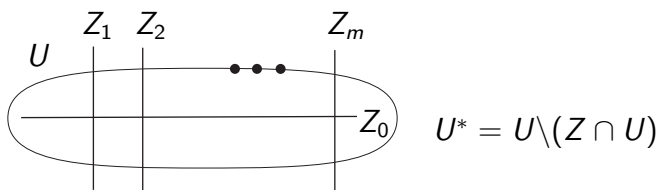
$$\exp \left(\sum_i \left(\frac{\log t_i}{2\pi\sqrt{-1}} \right) \right) \cdot F.$$

Theorem: $\dim \Phi(B) = 2 \implies$ *the map to extension data is non-constant.*

Corollary: *In general, $\dim \Phi(B) = 2 \implies \Phi_T$ contracts no curves in Z .*

IV. Basic formula

- Relates the geometry *along* Z_i to geometry *normal* to it



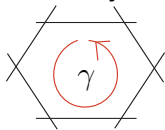
- Assume $\Phi_S(Z_0^*) = \text{point}$, thus \mathcal{L} locally constant along $Z_0^* \implies \pi_1(U^*)$ acts as finite group on $\text{Gr}(\mathcal{L})$; assume this group is trivial; then
 - $W(N_0) = W(N_i)$, $\text{Gr}^W(V)$ is a fixed vector space;
 - $N_0, N_i \in \text{Gr}_{-2}^W \text{End}(V)$, gives a cone $\sigma \subset \text{Gr}_{-2}^W \text{End}(V)$;
 - $\text{Gr}_{+2}^W \text{End}(V) \cong \text{Gr}_{-2}^W \text{End}(V)^*$ (uses Q);
 - $M \in \text{Gr}_{+2}^W \text{End}(V)$ gives $L_M \rightarrow E$ and $M \in \check{\sigma} \implies L_m \rightarrow E_{ab}$ ample.

Theorem (basic formula): $\Phi_1 : Z_i \rightarrow E_{ab}$ and in $\text{Pic}(Z_0)$ we have

$$(*) \quad -\Phi_1^*(L_M) = \left\{ \sum_{i=0}^m \langle M, N_0 \rangle [Z_i] \right\} \Big|_{Z_0}.$$

Corollary: $-\text{deg } \Phi_1^*(L_M) = \langle M, N_0 \rangle Z_0^2 + \sum_{i=1}^m \langle M, N_i \rangle.$

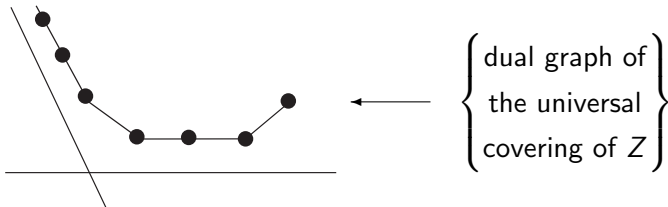
- RHS is $\langle M, \text{row corresponding to } Z_0 \text{ in the intersection matrix} \rangle.$ (*) tells us how negative that row is in terms of the variation of the level 1 extension data.
- Special case: Z is a cycle



$$Z_i^* = \mathbb{C}^*$$

- $\langle M, Z_i \rangle Z_i^2 = \langle M, Z_{i-1} \rangle + \langle M, Z_{i+1} \rangle,$ plus terms from going around the cycle.

- monodromy γ gives a *circuit* — then
 - γ acting on N_1, \dots, N_m spans a 2-plane in $\text{Gr}_{-2}^W \text{End}(V)$, and in this plane there is a sector such that the $\gamma^k N_i$ give in the sector a convex figure where $\gamma = \text{translation by } m$



- from the basic formula (*) we infer that

$$\begin{cases} \text{straight line at } Z_i \leftrightarrow Z_i^2 = -2 \\ \text{bend at } Z_i \leftrightarrow Z_i^2 \leq -3. \end{cases}$$

Hilbert modular surface picture is general.

V. Application to moduli of general type surfaces

A. Infinite monodromy

We begin with the question

- *What are the singularities of \overline{P}_T and \overline{P}_S ?*
 - the singularities of $P = \Phi(B)$ arbitrary
 - with our non-degeneracy assumption $\dim \Phi(B) = 2$ along a Z_i we cannot have $\Phi_1 = \text{constant}$ and $\Phi_2 = \text{constant}$ so that Φ_1 is finite-to-one; we will illustrate the general principle that the LMHS along Z helps determine the singularity type.

Example 1: Weight $n = 2m$

- $Z = \text{smooth curve}$ and $\Phi_S(Z) = p \in \overline{P}_S$;
- $N^2 = 0$, $\text{rank } N = 2$;
- $\text{Gr } \mathcal{L} = \{H^{2m-1}, H^{2m}, H^{2m-1}(-1)\}$, with
 $N : H^{2m-1}(-1) \xrightarrow{\sim} H^{2m-1}$, $H^{2m-1} = H^1(C)(-(m-1))$
for an elliptic curve C ;

- for simplicity assume $\text{rank } Hg^m = 1$ and C is general;
 $\implies E_{ab} = \text{Ext}_{\text{MHS}}^1(Hg^m, H^{2m-1}) \cong H^1(C)$;
- $\Phi_1 : Z \rightarrow C$ is a finite morphism;
- if Φ_1 is non-constant, then for $U =$ neighborhood of Z in \bar{B}

$$\begin{array}{ccc}
 U & \xrightarrow{\Phi_S} & \bar{P} \\
 \cup & & \cup \\
 Z & \xrightarrow{\Phi_1} & \{p\}
 \end{array}$$

gives a resolution of an elliptic singularity.^{††}

Example 2: $n = 2m$

- $Z =$ cycle;
- $N^2 \neq 0$, $N^3 = 0$ and $\text{rank } N = 1$.

Then by a similar analysis to the elliptic singularity case we find that $\Phi_S(Z) =$ cusp singularity.



^{††}In general $\Phi_1 : Z_a \rightarrow E_{ab}$ and the associated Gauss mapping enters into the geometry of the extension data.

- \mathcal{M} = KSBA moduli space whose general point corresponds to a smooth general type surface.^{‡‡}
- $\overline{\mathcal{M}}$ = canonical completion whose boundary points correspond to surfaces X_0 having slc-singularities.

Even if \mathcal{M} is almost smooth,[†] in contrast to $\overline{\mathcal{M}}_g$ the boundary may be quite singular. There are geometric and Hodge theoretic reasons why this should be so.

Question: *How can Hodge theory help understand the geometry of \mathcal{M} near $\partial\mathcal{M}$?*

^{‡‡}[K] is a general reference for moduli.

[†]This means that locally \mathcal{M} looks like the parameter space of a general smoothing of an ADE singularity.

- if a point of $\partial\mathcal{M}$ corresponds to a normal surface X_0 having a singular point p and where $N \neq 0$ for a general smoothing of X_0 , then from the list in [K]
 - p is either a simple elliptic singularity or a cusp.[‡]
- a general result, here stated informally, is that for a singular surface X_0 corresponding to a point x_0 of $\partial\mathcal{M}$, the associated graded to the LMHS = \mathcal{L} for *any* smoothing X_t of X_0 the $\text{Gr}(\mathcal{L})$ is the same.[§]
- above examples suggest that using the map

$$\overline{\mathcal{M}} \dashrightarrow \overline{P}_T$$

may help resolve the singularities of $\overline{\mathcal{M}}$.

[‡]Interestingly if p is non-Gorenstein, then it is a rational singularity and consequently $N = 0$.

[§]More precisely the smoothings of X_0 may have several components and the $\text{Gr}(\mathcal{L})$ depends only on the particular component. This result suggests why $\partial\mathcal{M}$ should be singular along components where $N \neq 0$. We will see below that we can obtain divisors in $\partial\mathcal{M} \subset \overline{\mathcal{M}}$ along certain components where $N = 0$.

Example ([FPR]): The “first” non-classical general type surface with $\rho_g \neq 0$ is an I -surface X

$$\rho_g(X) = 2, \quad q(X) = 0, \quad K_X^2 = 1;$$

- well known classically, on the Noether line
 $\rho_g = [K_X^2/2 + 2]$;
- \mathcal{M}_I is almost smooth, $\dim \mathcal{M}_I = 28$;
- $D = SO(4, 28)/U(2) \times SO(28)$, $\dim D = 57$;
- IPR is a contact system and $\Phi(\mathcal{M}_I)$ is a contact subvariety;

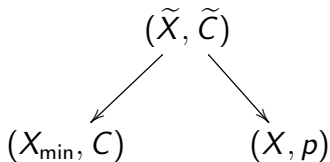
- FPR have determined the stratification of $\overline{\mathcal{M}}_g^{\text{Gor}}$, and have almost determined that of $\overline{\mathcal{M}}_g$ (much more difficult because have to bound the index in the non-Gorenstein case);
- part of their table is[¶]

[¶]In general for a smoothable surface X_0 that is irreducible, regular and normal with k elliptic singularities $\implies k \leq p_g + 1$.

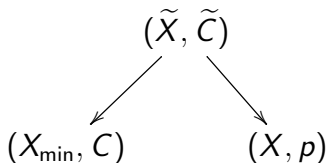
stratum	dimension	minimal resolution \tilde{X}	$\sum_{i=1}^k (9 - d_i)$	k	codim in $\overline{\mathcal{M}}_g$
I_0	28	canonical singularities	0	0	0
I_2	20	blow up of a K3-surface	7	1	8
I_1	19	minimal elliptic surface with $\chi(\tilde{X}) = 2$	8	1	9
$III_{2,2}$	12	rational surface	14	2	16
$III_{1,2}$	11	rational surface	15	2	17
$III_{1,1,R}$	10	rational surface	16	2	18
$III_{1,1,E}$	10	blow up of an Enriques surface	16	2	18
$III_{1,1,2}$	2	ruled surface with $\chi(\tilde{X}) = 0$	23	3	26
$III_{1,1,1}$	1	ruled surface with $\chi(\tilde{X}) = 0$	24	3	27

^{||} $\tilde{X} \rightarrow X$ contracts k elliptic curves \tilde{C}_i with $\tilde{C}_i^2 = -d_i$.

- How can Hodge help understand the desingularization of $\overline{\mathcal{M}}_I$ along these components?



Example: For I_2 the picture is



Here, p = isolated normal singular point on X , \tilde{C} = curve on \tilde{X} that contracts to p — the LMHS

$$2 = p_g(\tilde{X}) + g(\tilde{C}) \text{ and } p_g(\tilde{X}) = 1$$

gives $g(\tilde{C}) = 1$ (simple elliptic singularity).**

- $\text{Gr}(\text{LMHS})/\mathbb{Z}$ suggests that $Hg^1(\tilde{X})$ has a \mathbb{Z}^2 with intersection form

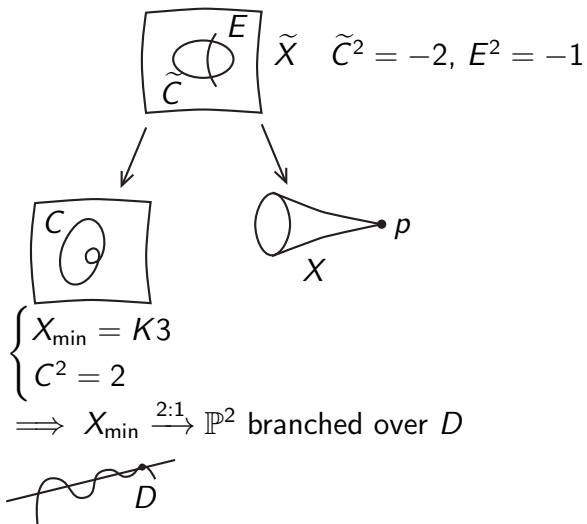
$$\begin{pmatrix} -2 & 2 \\ 2 & -1 \end{pmatrix}$$

for heuristic reasoning assume basis classes are effective.

** LMHS has

$$\begin{array}{l} \text{Gr}_2 \cong H^2(X_{\min})_{\text{prim}} \\ \text{Gr}_3 \cong H^1(\tilde{C})(-1) \end{array}$$

- ▶ Hodge theory now suggests the picture



- # of PHS's of type $\text{Gr}_3 \oplus \text{Gr}_2 = 19 + 1 = 20$ which suggests
 - $\text{codim} = 8$
- How to get this number? The fibre over origin in a SSR is blowing up p in \mathcal{X} to have

$$\tilde{X} \cup_{\tilde{C}} \mathbb{P}^2$$

where $\tilde{C} \in |0_{\mathbb{P}^2}(3)|$

- Now have to blow up $9 - (-\tilde{C}^2) = 7$ points on \tilde{C} to obtain triviality of the infinitesimal normal bundle as a necessary condition for smoothability. Thus

Fibre over origin in Δ is given by blowing up seven points on \tilde{C} , is a del Pezzo.

- $(\#\tilde{C}) + \dim(\text{level 1 extension data}) = 8.$

$$\begin{array}{ccc} \parallel & & \parallel \\ 1 & & 7 \end{array}$$

B. Finite monodromy

- for $\Phi : \Delta^* \rightarrow \{T^k\} \setminus D$ another classical type of extension is when $T = T_s$ is of finite order

$$\begin{array}{ccc}
 \tilde{\Delta}^* & \xrightarrow{\tilde{\Phi}} & D \\
 \downarrow & & \downarrow \\
 \Delta^* & \xrightarrow{\Phi} & \{T^k\} \setminus \Delta
 \end{array}
 \rightsquigarrow \tilde{\Phi} : \Delta \rightarrow D \text{ extends.}$$

- In geometric case X_0 will be singular and LMHS=PHS (but $\neq H^n(\tilde{X}_0)$).
- Generally $\tilde{\Phi}_* : T_{\{0\}} \tilde{\Delta} \rightarrow TD$ is zero but can define $\delta\Phi$ that has geometric information.
- For KSBA moduli of surfaces on $\partial\mathcal{M}$
 - X_0 is non-Gorenstein
 - singularity is $\frac{1}{dn^2}(1, dn^2 - 1)$ quotient singularity
 - rational $\implies N = 0$ (resolution is a tree of \mathbb{P}^1 's).

- Extension of Φ from \mathcal{M} to \mathcal{M}_f gives

$$\Phi : \mathcal{M}_f \rightarrow \Gamma \backslash D.$$

- In contrast to the $N \neq 0$ singularity the presence of an $N = 0$ singularity may define a divisor in $\overline{\mathcal{M}}$. This happens in particular for the Wahl singularity $\frac{1}{4}(1, 1)$, the quotient of \mathbb{C}^2 by $(u, v) \rightarrow (\zeta u, \zeta v)$ where $\zeta = e^{2\pi i/4}$. This singularity is of particular interest as the monodromy $T = \text{Id}$.

Example ([FPR]): For $\overline{\mathcal{M}}_l$ there are two divisors in $\partial\mathcal{M}_l$: l -surfaces (X_0, p) with $\frac{1}{4}(1, 1)$ or $\frac{1}{18}(1, 5)$ singularity; denote first by $\mathcal{M}_{l,W}$.

- resolution of Wahl singularity is $(\tilde{X}, E) \rightarrow (X, p)$ where $X =$ elliptic surface with a bisection E , $E^2 = -4$;

- semi-stable-reduction has $\tilde{X} \cup_E S$ where $S =$ Veronese surface $((X, \rho)$ looks locally like a plane section through the vertex of a cone over S);
- $\tilde{\Phi}(0) = \text{HS}$ computed from $\tilde{X} \cup_E S$.

Theorem: $\mathcal{M}_{I,W} =$ component of $\Phi^{-1}(\Gamma' \setminus D')$ where $D' \subset D$ is a Mumford-Tate domain.

- Proof uses computation of $\delta\Phi$ in $T \text{Def}(X)$.

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