

# JORDAN GROUPS AND ALGEBRAIC SURFACES

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ABSTRACT. We prove that an analogue of Jordan's theorem on finite subgroups of general linear groups holds for the groups of biregular automorphisms of algebraic surfaces. This gives a positive answer to a question of Vladimir L. Popov.

## 1. INTRODUCTION

Throughout this paper,  $k$  is an algebraically closed field of characteristic zero and  $\mathbb{P}^1$  is the projective line over  $k$ . Let  $U$  be an algebraic variety over  $k$  [14, Vol. 2, Ch. VI, Sect. 1]. Then  $U(k)$  and  $\text{Aut}(U)$  stand for its set of  $k$ -points and the group of biregular  $k$ -automorphisms respectively. Unless otherwise stated, by a point of  $U$  we mean a  $k$ -point. If  $U$  is irreducible then we write  $k(U)$  and  $\text{Bir}(U)$  for its field of rational functions and the group of birational  $k$ -automorphisms respectively;  $\text{Aut}(U)$  is a subgroup of  $\text{Bir}(U)$ . By an elliptic curve we mean an irreducible smooth projective curve of genus 1 over  $k$ . If  $X$  is an elliptic curve and  $\mathcal{T} \subset X(k)$  is a nonempty finite set of points on  $X$  then the (sub)group

$$\text{Aut}(X, \mathcal{T}) = \{u \in \text{Aut}(X) \mid u(\mathcal{T}) = \mathcal{T}\} \subset \text{Aut}(X)$$

is finite, since  $X \setminus \mathcal{T}$  is a hyperbolic curve. If  $\mathcal{S}$  is a smooth irreducible projective surface over  $k$  then an irreducible closed curve  $C$  in  $\mathcal{S}$  is called a  $(-1)$ -curve if it is smooth rational and its self-intersection index is  $-1$ .

The following definition was inspired by the classical theorem of Jordan [2, Sect. 36] about finite subgroups of general linear groups over fields of characteristic zero.

**Definition 1.1** (Definition 2.1 of [9]). A group  $B$  is called a *Jordan group* if there exists a positive integer  $J_B$  such that every finite subgroup  $B_1$  of  $B$  contains a normal commutative subgroup, whose index in  $B_1$  is at most  $J_B$ .

**Remark 1.2.** Clearly, a subgroup of a Jordan group is also Jordan. If a Jordan group  $G_1$  is a subgroup of finite index in a group  $G$  then  $G$  is also Jordan.

V. L. Popov ([9, Sect. 2], see also [10]) posed a question whether  $\text{Aut}(S)$  is a Jordan group when  $S$  is an algebraic surface over  $k$ . He obtained a positive answer to his question for almost all surfaces. (The case of rational surfaces was treated earlier by J.-P. Serre [12, Sect. 5.4]). The only remaining case is when  $S$  is birationally (but not biregularly) isomorphic to a product  $X \times \mathbb{P}^1$  of an elliptic curve  $X$  and the projective line. In [16] the second named author proved that  $\text{Aut}(S)$  is

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a Jordan group if  $S$  is a *projective* surface. The aim of this paper is to extend this result to the case of arbitrary algebraic surfaces. Our main result is the following statement, which gives a positive answer to Popov's question.

**Theorem 1.3.** *If  $X$  is an elliptic curve over  $k$  and  $S$  is an irreducible normal algebraic surface that is birationally isomorphic to  $X \times \mathbb{P}^1$  then  $\text{Aut}(S)$  is a Jordan group.*

**Remark 1.4.** The group  $\text{Bir}(X \times \mathbb{P}^1)$  is *not* Jordan [15].

**Remark 1.5.** Suppose that  $S$  is a *non-smooth* irreducible normal surface. Since it is normal, there are only finitely many singular points on  $S$ . Then, by [10, Sect. 2, Cor. 8],  $\text{Aut}(S)$  is Jordan. This implies that in the course of the proof of Theorem 1.3 we may assume that  $S$  is smooth. On the other hand, by a theorem of Zariski [17, Cor. II.2.6 on p. 53], every irreducible smooth surface is quasi-projective. This implies that in the course of the proof of Theorem 1.3 we may assume that  $S$  is *smooth quasi-projective*.

**Corollary 1.6.** *Suppose that  $V$  is an irreducible normal algebraic variety over  $k$ . If  $\dim(V) \leq 2$  then  $\text{Aut}(V)$  is Jordan.*

*Proof of Corollary 1.6.* We have  $\text{Aut}(V) \subset \text{Bir}(V)$ . If  $V$  is *not* birationally isomorphic to a product of the projective line and an elliptic curve then  $\text{Bir}(V)$  is Jordan ([9, Th. 2.32]) and therefore its subgroup  $\text{Aut}(V)$  is also Jordan. If  $V$  is birationally isomorphic to a product of the projective line and an elliptic curve then  $\dim(V) = 2$  and Theorem 1.3 implies that  $\text{Aut}(V)$  is Jordan.  $\square$

**Theorem 1.7.** *Let  $V$  be an irreducible algebraic variety over  $k$ . If  $\dim(V) \leq 2$  then  $\text{Aut}(V)$  is Jordan.*

*Proof of Theorem 1.7.* Let  $\nu : V^\nu \rightarrow V$  be the *normalization* of  $V$  ([8, Ch. III, Sect. 8], [4, Ch. 2, Sect. 2.14]). Here  $\nu$  is a birational (surjective) regular map that is called the normalization map for  $V$  and  $V^\nu$  is an irreducible *normal* variety (of the same dimension as  $V$ ) over  $k$  [8, Th. 4 on p. 203]. The *universality property* of the normalization map implies that every biregular automorphism of  $V$  lifts uniquely to a biregular automorphism of  $V^\nu$  [4, Ch. 2, Sect. 2.14, Th. 2.25 on p. 141]. This give rise to the *embedding* of groups

$$\text{Aut}(V) \hookrightarrow \text{Aut}(V^\nu).$$

By Corollary 1.6, the group  $\text{Aut}(V^\nu)$  is Jordan. Since  $\text{Aut}(V)$  is isomorphic to a subgroup of Jordan  $\text{Aut}(V^\nu)$ , it is also Jordan.  $\square$

**Corollary 1.8.** *Let  $V$  be an algebraic variety over  $k$ . If  $\dim(V) \leq 2$  then  $\text{Aut}(V)$  is Jordan.*

*Proof.* Let  $V_1, \dots, V_r$  be all the *irreducible* components of  $V$ . Clearly, all  $V_i$  are irreducible algebraic varieties with  $\dim(V_i) \leq \dim(V) \leq 2$ . By Theorem 1.7, all  $\text{Aut}(V_i)$  are Jordan. Now Lemma 1 in Section 2.2 of [10] implies that  $\text{Aut}(V)$  is also Jordan.  $\square$

**Remark 1.9.** Suppose that  $k$  is the field  $\mathbb{C}$  of complex numbers and  $X$  is a smooth irreducible quasi-projective non-projective surface. Then  $M = X(\mathbb{C})$  carries the natural structure of a connected oriented smooth *real noncompact* fourfold and the

group  $\text{Aut}(X)$  embeds naturally in the group  $\text{Diff}(M)$  of the (real) diffeomorphisms of the fourfold  $M$ . While  $\text{Aut}(X)$  is always Jordan, there are examples of connected oriented smooth *noncompact* real fourfolds, whose group of diffeomorphisms is *not* Jordan [11].

The paper is organized as follows. In Section 2 we discuss *minimal closures* of surfaces. In Section 3 we prove Theorem 1.3.

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## 2. MINIMAL CLOSURES

**2.1.** Let  $X$  be an elliptic curve over  $k$  and  $S$  be a *smooth* irreducible quasi-projective surface over  $k$  that is birationally isomorphic to  $X \times \mathbb{P}^1$ . There exists an irreducible smooth projective surface  $\bar{S}$  such that its certain Zariski-open subset is biregularly isomorphic to  $S$  (further we identify  $S$  with this open subset). Clearly, the inclusion map  $S \subset \bar{S}$  is a birational morphism. This implies that

$$\text{Aut}(S) \subset \text{Bir}(S) = \text{Bir}(\bar{S})$$

and therefore one may view  $\text{Aut}(S)$  as a subgroup of  $\text{Bir}(\bar{S})$ . Since  $\bar{S}$  is birationally isomorphic to  $S$ , it also birationally isomorphic to  $X \times \mathbb{P}^1$ .

Let us fix a birational isomorphism between  $\bar{S}$  and  $X \times \mathbb{P}^1$ . The projection map  $X \times \mathbb{P}^1 \rightarrow X$  gives rise to a rational map  $\bar{\pi} : \bar{S} \rightarrow X$  with dense image. Since  $\bar{S}$  is smooth and  $X$  becomes abelian variety (after a choice of a base point), it follows from a theorem of Weil [1, Sect. 4.4] that  $\bar{\pi}$  is regular. Since  $\bar{S}$  is projective,  $\bar{\pi} : \bar{S} \rightarrow X$  is surjective, because its image is closed.

For each  $x \in X(k)$  we write  $\bar{F}_x$  for the effective divisor  $\bar{\pi}^*(x)$  on  $\bar{S}$  that is the pullback (under  $\bar{\pi}$ ) of the divisor  $(x)$  on  $X$ . Clearly, the support of  $\bar{F}_x$  coincides with the curve  $\bar{\pi}^{-1}(x)$  on  $\bar{S}$ . One say that the fiber of  $\bar{\pi}$  over  $x$  is *reduced* if all irreducible components of the divisor  $\bar{F}_x$  have multiplicity 1. We say that the fiber of  $\bar{\pi}$  over  $x$  is *irreducible* if the curve  $\bar{\pi}^{-1}(x)$  is irreducible; if this is the case then its multiplicity in  $\bar{F}_x$  is 1 [6, Ch. 3, Sect. 1.4, Lemma 1.4.1(1) on p. 195].

It is known [13, Ch. IV] that for all but finitely many  $x \in X(k)$  the fiber of  $\bar{\pi}$  over  $x$  is irreducible and reduced, and the curve  $\bar{\pi}^{-1}(x)$  is smooth (and irreducible). We call such fibers nonsingular and other fibers *singular*.

If  $C$  is a rational curve on  $\bar{S}$  then the restriction of  $\bar{\pi}$  to  $C$  must be a constant map, because every map from a rational curve to an elliptic curve is constant. This implies that  $C$  lies in a fiber of  $\bar{\pi}$ . (In particular, every  $(-1)$ -curve on  $\bar{S}$  lies in a fiber of  $\bar{\pi}$ .) This implies that every birational automorphism of  $\bar{S}$  is fiberwise [5, Sect. 13, Th. 2]; see Sect. 2.2 below.

However, if  $x \in X(k)$  and the fiber  $\bar{\pi}^{-1}(x)$  is singular then the corresponding divisor  $\bar{F}_x$  enjoys the following properties [6, Ch. I, Sect. 2.12; Ch. 3, Sect. 1.4, Lemma 1.4.1 on p. 195]] (see also [3]).

- (i) Each irreducible component of  $\bar{F}_x$  is a smooth rational curve (and the corresponding graph is a tree) [3, Sect. 3].
- (ii) At least, one of the irreducible components of  $\bar{F}_x$  is a  $(-1)$ -curve [3, Sect. 4.2].
- (iii) If one of the irreducible components of  $\bar{F}_x$  is a  $(-1)$ -curve of multiplicity 1 then there is another irreducible  $(-1)$ -component of  $\bar{F}_x$  ([3, Sect. 4.2].

**2.2.** If  $\sigma \in \text{Bir}(\bar{S})$  then there is a unique *biregular* automorphism  $\mathfrak{f}(\sigma) : X \rightarrow X$  such that the composition  $\bar{\pi}\sigma$  is a *regular* map that coincides with the composition

$$\mathfrak{f}(\sigma)\bar{\pi} : \bar{S} \xrightarrow{\bar{\pi}} X \xrightarrow{\mathfrak{f}(\sigma)} X$$

(see, e.g., [7, Lecture V, Sect. 1.4, p. 99]). Clearly,  $\sigma$  sends the fiber  $\bar{\pi}^{-1}(x)$  to the fiber  $\bar{\pi}^{-1}(\mathfrak{f}(\sigma)(x))$  for all  $x \in X(k)$ . We get a surjective group homomorphism

$$\mathfrak{f} : \text{Bir}(\bar{S}) \rightarrow \text{Aut}(X), \quad \sigma \mapsto \mathfrak{f}(\sigma)$$

that fits into a short exact sequence

$$\{1\} \rightarrow \text{Bir}_X(\bar{S}) \subset \text{Bir}(\bar{S}) \xrightarrow{\mathfrak{f}} \text{Aut}(X) \rightarrow \{1\}$$

where the subgroup  $\text{Bir}_X(\bar{S})$  consists of all birational automorphisms  $\sigma \in \text{Bir}(\bar{S})$  such that  $\bar{\pi}\sigma = \bar{\pi}$  (i.e.  $\sigma$  leaves invariant every fiber of  $\bar{\pi}$ ). In addition,  $\text{Bir}_X(\bar{S})$  is isomorphic to the projective linear group  $\text{PGL}(2, k(X))$  over the field  $k(X)$  of rational functions on  $X$  [7, Lecture V, Sect. 1.4, p. 99].

**2.3.** We write  $\pi$  for the composition

$$S \subset \bar{S} \xrightarrow{\bar{\pi}} X,$$

i.e., for the restriction of  $\pi$  to  $S$ . Recall that  $\text{Aut}(S) \subset \text{Bir}(\bar{S})$ . Since  $S$  is a surface, it is not contained in a union of finitely many fibers of  $\pi$  in  $\bar{S}$ . This implies that  $\pi(S)$  is infinite and therefore is everywhere dense in  $X$ . It follows from [14, vol. 1, Ch. 1, Sect. 5, Th. 6] that either  $\pi(S) = X$  or the complement  $T_0 := X(k) \setminus \pi(S(k))$  is a finite set and

$$S \subset \pi^{-1}(X \setminus T_0) \subset \bar{S}.$$

If we write  $\text{Aut}_X(S)$  for the intersection (in  $\text{Bir}(\bar{S})$ ) of  $\text{Aut}(S)$  and  $\text{Bir}_X(\bar{S})$  then we get a short exact sequence

$$\{1\} \rightarrow \text{Aut}_X(S) \subset \text{Aut}(S) \xrightarrow{\mathfrak{f}} \mathfrak{f}(\text{Aut}(S)) \rightarrow \{1\}$$

where

$$\text{Aut}_X(S) \subset \text{Bir}_X(\bar{S}), \quad \mathfrak{f}(\text{Aut}(S)) \subset \text{Aut}(X).$$

Similarly to the case of projective surfaces, if  $x \in X(k)$  then we write  $F_x$  for the effective divisor  $\pi^*(x)$  on  $S$  that is the pullback (under  $\pi$ ) of the divisor  $(x)$  on  $S$ . Clearly, the support of  $F_x$  coincides with the curve  $\pi^{-1}(x)$  on  $S$ . It is also clear that the divisor  $F_x$  on  $S$  is the pullback of the divisor  $\bar{F}_x$  on  $\bar{S}$  under the (open) inclusion map  $S \subset \bar{S}$ . One says that the fiber of  $\pi$  over  $x$  is *reduced* if all irreducible components of the divisor  $F_x$  have multiplicity 1. We say that the fiber of  $\pi$  over  $x$  is irreducible if it is a multiple of a *simple* divisor, i.e., the curve  $\pi^{-1}(x)$  is irreducible. Clearly, if the fiber of  $\bar{\pi}$  over  $x$  is irreducible (resp. reduced, resp. smooth) then the fiber of  $\pi$  over  $x$  is irreducible (resp. reduced, resp. smooth). On the other hand, if  $\bar{F}_x$  has an irreducible component, say,  $\bar{C}$  that appears in  $\bar{F}_x$  with multiplicity  $m > 1$  and, in addition,  $\bar{C}$  meets  $S$  then  $C := \bar{C} \cap S$  is an irreducible curve in  $S$  that is a component of  $F_x$  and that appears in  $F_x$  with the same multiplicity

$m$ ; in particular, the fiber of  $\pi$  over  $x$  is *not* reduced. Notice also that if  $\bar{C}_1$  and  $\bar{C}_2$  are distinct irreducible components of  $\bar{F}_x$  that meet  $F_x$  then  $C_1 := \bar{C}_1 \cap S$  and  $C_2 := \bar{C}_2 \cap S$  are *distinct* irreducible components of  $F_x$ ; in particular, the fiber of  $\pi$  over  $x$  is *not* irreducible.

It follows from the results about the fibers of  $\bar{\pi}$  mentioned in Sect. 2.1 (see also theorems of Bertini [14, vol. 1, Ch. 2, Sect. 6.1 and 6.2] that either all the fibers of  $\pi$  are smooth irreducible reduced or the set  $T_1$  of points  $x \in \pi(S(k)) \subset X(k)$  such that, at least, one of these properties does not hold, is finite. Clearly,

$$\mathfrak{f}(\text{Aut}(S)) \subset \text{Aut}(X, T_0), \quad \mathfrak{f}(\text{Aut}(S)) \subset \text{Aut}(X, T_1).$$

This implies that if either  $T_0$  or  $T_1$  is *non-empty* then  $\mathfrak{f}(\text{Aut}(S))$  is a *finite* group and  $\text{Aut}_X(\bar{S})$  is a subgroup of *finite index* in  $\text{Aut}(S)$ .

**2.4.** It follows from the theorem of Jordan that the projective linear group  $\text{PGL}(2, k(X))$  is Jordan [9, 16]. Since  $\text{Bir}_X(\bar{S})$  is isomorphic to  $\text{PGL}(2, k(X))$  (see Sect. 2.2), it is also a Jordan group. This implies in turn that its subgroup  $\text{Aut}_X(S)$  is also Jordan. It follows that if either  $T_0$  or  $T_1$  is *non-empty* then  $\text{Aut}(S)$  contains the Jordan subgroup  $\text{Aut}_X(S)$  of finite index and therefore is Jordan itself, thanks to Remark 1.2.

In order to handle the case of empty  $T_0$  and  $T_1$ , we need additional ideas.

**Definition 2.5.** The projective surface  $\bar{S}$  is called a (relative) *minimal closure* of  $S$  if every  $(-1)$ -curve on  $\bar{S}$  meets  $S$ . See [3, Sect. 4.9]. A minimal closure of  $S$  always exists [3, Prop. 4.10]. (Warning: if  $\bar{S}$  is a minimal closure then the complement of  $S$  in  $\bar{S}$  does *not* have to be a divisor!)

**Lemma 2.6** (Lemma 4.12 of [3]). *Assume that  $\pi(S) = X$  and all the fibers of  $\pi$  are smooth irreducible and reduced.*

*If  $\bar{S}$  is a minimal closure of  $S$  then all the fibers of  $\bar{\pi} : \bar{S} \rightarrow X$  are irreducible.*

*Proof.* Suppose that there exists  $x \in X(k)$  such that the fiber of  $\bar{\pi}$  over  $x$  is not irreducible and therefore is singular. Then  $\bar{F}_x$  contains as an irreducible component a  $(-1)$ -curve, say  $\bar{C}_1$  with multiplicity  $m \geq 1$  (Sect. 2.1). The minimality of  $\bar{S}$  implies that  $C_1 = \bar{C}_1 \cap S$  is non-empty and therefore is an irreducible component of  $F_x$  with the same multiplicity  $m$  (Sect. 2.3). Since the fiber of  $\pi$  over  $x$  is reduced,  $m = 1$ . This implies that  $\bar{F}_x$  contains another irreducible component  $\bar{C}_2$  that is also a  $(-1)$ -curve. Again  $C_2 = \bar{C}_2 \cap S$  is an irreducible component of  $F_x$  that does not coincide with  $C_1$ . This implies that the fiber of  $\pi$  over  $x$  is *not* irreducible, which is not the case.  $\square$

**Theorem 2.7.** *Assume that  $\pi(S) = X$  and all the fibers of  $\pi$  are smooth irreducible and reduced. Let  $\bar{S}$  be a minimal closure of  $S$ . Then every biregular automorphism of  $S$  extends uniquely to a biregular automorphism of  $\bar{S}$ . In other words,*

$$\text{Aut}(S) \subset \text{Aut}(\bar{S}) \subset \text{Bir}(\bar{S}).$$

*Proof.* By Lemma 2.6, every fiber  $\bar{F}_x$  is an irreducible curve isomorphic to  $\mathbb{P}^1$ .

Let  $g : S \rightarrow S$  be a biregular automorphism of  $S$ . Let us extend  $g$  to a birational map

$$\bar{g} : \bar{S} \rightarrow \bar{S}.$$

Assume that  $\bar{g}$  is *not* a regular map. Let  $S'$  be a *resolution of the indeterminacies* of  $\bar{g}$ , i.e. a smooth irreducible surface included into the following commutative digram.

$$\begin{array}{ccc}
 S' & & \\
 u \downarrow & \searrow g' & \\
 \bar{S} & \xrightarrow{\bar{g}} \bar{S} & \\
 \cup & \cup & \\
 S & \xrightarrow{g} S & \\
 \pi \downarrow & & \downarrow \pi \\
 X & \xrightarrow{h} X &
 \end{array},$$

where  $u$  is a birational morphism that is a composition of finitely many blow ups and induces a biregular isomorphism between  $u^{-1}(S)$  and  $S$  (such an  $u$  exists, because  $g$  is defined on  $S$ ),  $g'$  and  $\bar{\pi}' = \bar{\pi} \circ u$  are morphisms, and  $h = \mathbf{f}(g) \in \text{Aut}(X)$  is a biregular automorphism of  $X$ . (The group homomorphism  $\mathbf{f}$  is defined in Sect. 2.2.) Let  $D' \subset S'$  be the union of all exceptional curves for  $g'$  and let  $D = g'(D') \subset \bar{S}$ , which is a finite set.

*Every point  $z$  of  $\bar{S}$  that does not lie on  $D$  has only one preimage  $g'^{-1}(z) \in S'$  ([14, Ch. 2, Sect. 4, Th. 2]).*

Let  $B'$  be the union of exceptional curves for  $u$ . Clearly,

$$B' \subset S' \setminus u^{-1}(S).$$

This implies that

$$u(B') \cap S = \emptyset.$$

We want to show that  $B' \subset D'$ , because then one may contract all components of  $B'$  and  $\bar{g}$  would appear to be a morphism.

Let  $C'$  be an irreducible component of  $B'$ . The point  $u(C')$  lies in  $u(B')$  and therefore does *not* belong to  $S$ .

Since  $X$  is an elliptic curve, and  $C'$  is rational,  $\bar{\pi}(g'(C'))$  is a point  $x \in X(k)$ . Thus, since all the fibers of  $\bar{\pi}$  are irreducible (thanks to Lemma 2.6), either

**Case 1.**  $g'(C')$  is a point and therefore  $C' \subset D'$ ;

or

**Case 2.**  $g'(C') = \bar{F}_x = \bar{\pi}^{-1}(x) \subset \bar{S}$ . Let us put  $x_1 := h^{-1}(x) \in X(k)$ . Then  $x = h(x_1) \in X(k)$ . Let  $s \in F_x \setminus (F_x \cap D) \subset S$  be a point of the fiber  $F_x$ , which is not in the image of  $D'$ . Therefore it has only one *preimage*  $s_1 := g'^{-1}(s)$ . Moreover,  $s_1 \in u^{-1}(S)$ , because  $s \in S$ . On the other hand, since  $g'(C') = \bar{F}_x$ , there is a point  $c \in C' \subset S' \setminus u^{-1}(S)$  such that  $g'(c) = s$ . Clearly,  $c \neq s_1$  and we get a contradiction that shows that the Case 2 does not occur.

This proves that every  $g \in \text{Aut}(S)$  extends to a regular birational map  $\bar{g} : \bar{S} \rightarrow \bar{S}$ . Since the same is true for  $g^{-1} \in \text{Aut}(S)$ , the map  $\bar{g}$  is a biregular automorphism of  $\bar{S}$ . □

### 3. PROOF OF THEOREM 1.3

Remark 1.5 tells us that we may assume that  $S$  is a smooth quasi-projective surface. In light of results of Section 2.4, we may also assume that every fiber of  $\pi$  is smooth irreducible and reduced, and  $\pi(S) = X$ . Let  $\bar{S}$  be a minimal closure of  $S$ .

By Theorem 2.7,  $\text{Aut}(S)$  is a subgroup of  $\text{Aut}(\bar{S})$ . Since  $\bar{S}$  is projective, the results of [16] imply that the group  $\text{Aut}(\bar{S})$  is Jordan and therefore its every subgroup is Jordan. It follows that  $\text{Aut}(S)$  is Jordan.

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