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# A bound for the Milnor number of plane curve singularities

**Research** Article

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- **Abstract:** Let f = 0 be a plane algebraic curve of degree d > 1 with an isolated singular point at  $0 \in \mathbb{C}^2$ . We show that the Milnor number  $\mu_0(f)$  is less than or equal to  $(d-1)^2 [d/2]$ , unless f = 0 is a set of d concurrent lines passing through 0, and characterize the curves f = 0 for which  $\mu_0(f) = (d-1)^2 [d/2]$ .
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# Introduction

Let  $f \in \mathbb{C}[x, y]$  be a polynomial of degree d > 1 such that the curve f = 0 has an isolated singularity at the origin  $0 \in \mathbb{C}^2$ . Let  $0 = 0_{\mathbb{C}^2,0}$  be the ring of germs of holomorphic functions at  $0 \in \mathbb{C}^2$ . The Milnor number

$$\mu_0(f) = \dim_{\mathbb{C}} \mathcal{O}\left(\frac{\partial f}{\partial x}, \frac{\partial f}{\partial y}\right)$$

is less than or equal to  $(d-1)^2$  by Bézout's theorem. The equality  $\mu_0(f) = (d-1)^2$  holds if and only if f is a homogeneous polynomial. The aim of this note is to determine the maximum Milnor number  $\mu_0(f)$  for non-homogeneous polynomials f (Theorem 1.1) and to characterize the polynomials for which this maximum is attained (Theorem 1.4). The general problem to describe singularities that can occur on plane curves of a given degree was studied by Greuel, Lossen and Shustin in [4] (see also [9, Section 7.5] for further references). A bound for the sum of the Milnor numbers of projective hypersurfaces with isolated singular points was given recently by June Huh in [7]. Note here that a result of this type follows from Plücker–Teissier's formula for the degree of the dual hypersurface (see [8, Appendix II.3, p. 137]). To compare the two bounds let us consider the case of plane curves. Let C be a plane reduced curve of degree d > 1. For any

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 $p \in C$  we denote  $\mu_p = \mu_p(C)$  the Milnor number and  $m_p = \operatorname{ord}_p C$  the order of C at p. From Plücker-Teissier's formula (see [8, Appendix II.3, p. 137] or [9, Theorem 7.2.2, p. 161]) we get  $\sum_p (\mu_p + m_p - 1) \leq d(d-1)$ .

Let *o* be a point of *C*. Then June Huh's bound (see [7, Theorem 1]) is  $\sum_{p} \mu_p + m_o - 1 \leq (d-1)^2$ , unless *C* is a cone with the apex 0.

Let us recall usual notions and conventions. By the curve f = 0 we mean (see [2, Chapter 3]) the linear subspace  $\mathbb{C} f$  of  $\mathbb{C}[x, y]$ . If the polynomial f has no multiple factors then we identify the curve f = 0 and the set  $\{P \in \mathbb{C}^2 : f(P) = 0\}$ . We denote by  $\operatorname{ord}_0 f$  the order of the polynomial f at  $0 \in \mathbb{C}^2$  and by  $i_0(f, g) = \dim_{\mathbb{C}} \mathcal{O}_{(f,g)}$  the intersection multiplicity of the curves f = 0 and g = 0 at the origin. Then  $i_0(f, g) \ge \operatorname{ord}_0 f \operatorname{ord}_0 g$  with equality if and only if the curves f = 0 and g = 0 are transverse at 0, i.e. do not have a common tangent at 0. The curve f = 0 has an isolated singular point at 0 if  $\operatorname{ord}_0 f > 1$  and  $\mu_0(f) < +\infty$ . Note that f is a homogeneous polynomial of degree d > 0 if and only if  $\operatorname{ord}_0 f = d$ .

# 1. Results

For any  $a \in \mathbb{R}$  we denote by [a] the integer part of a. The main result of this note is

## Theorem 1.1.

Let f = 0 be a curve of degree d > 1 with an isolated singular point at  $0 \in \mathbb{C}^2$ . Suppose that  $\operatorname{ord}_0 f < d$ . Then

$$\mu_0(f) \leqslant (d-1)^2 - \left[\frac{d}{2}\right].$$

We prove Theorem 1.1 in Section 3. The bound in the theorem is exact.

## Example 1.2.

Let d > 1 be an integer. Put

$$f(x,y) = \begin{cases} \prod_{k=1}^{d/2} (x + kx^2 + y^2) & \text{if } d \equiv 0 \pmod{2}, \\ \prod_{k=1}^{(d-1)/2} x \prod_{k=1}^{(d-1)/2} (x + kx^2 + y^2) & \text{if } d \not\equiv 0 \pmod{2}. \end{cases}$$

Then *f* is a polynomial of degree *d* and  $\mu_0(f) = (d-1)^2 - [d/2]$ .

#### Remark 1.3.

Gusein-Zade and Nekhoreshev using topological methods proved in [5, Proposition 1] that if  $\operatorname{ord}_0 f = 2$  then  $\mu_0(f) \leq (d-1)^2 - [d/2]([d/2]-1)$ . Another bound for the Milnor number follows from the Abhyankar–Moh theory of approximate roots (see [3, Corollary 6.5]). Suppose that the curve f = 0 is unibranch at 0 (i.e. f is irreducible in the ring of formal power series  $\mathbb{C}[[x, y]]$  and the unique tangent to f = 0 at 0 intersects the curve with multiplicity d. Then  $\mu_0(f) \leq (d-1)^2 - (d/d_1 - 1)(d - \operatorname{ord}_0 f)$ , where  $d_1 = \operatorname{gcd}(\operatorname{ord}_0 f, d)$ .

## Theorem 1.4.

Let f be a polynomial of degree d > 2,  $d \neq 4$ . Then the following two conditions are equivalent:

- (i) The curve f = 0 passes through the origin and  $\mu_0(f) = (d-1)^2 [d/2]$ ,
- (ii) The curve f = 0 has  $d \lfloor d/2 \rfloor$  irreducible components. Each irreducible component of the curve passes through the origin. If  $d \equiv 0 \pmod{2}$  then all components are of degree 2 and intersect pairwise at 0 with multiplicity 4. If  $d \not\equiv 0 \pmod{2}$  then all but one component are of degree 2 and intersect pairwise at 0 with multiplicity 4, the remaining component is linear and is tangent to all components of degree 2.

The proof of Theorem 1.4 is given in Section 4.

## Remark 1.5.

The implication (ii)  $\Rightarrow$  (i) holds for any d > 2. The assumption  $d \neq 4$  is necessary for the implication (i)  $\Rightarrow$  (ii). Take  $f(x, y) = x(y^3 - x^2)$  which is a simple singularity of type  $E_7$ . Then f is of degree d = 4,  $\mu_0(f) = (d-1)^2 - [d/2] = 7$  and condition (ii) fails.

# 2. Preparatory lemmas

Let us begin with the following well-known properties of the Milnor number.

## Lemma 2.1.

(i) If  $f = f_0 \tilde{f}$  in  $\mathbb{C}[x, y]$  with  $f_0(0) \neq 0$  then  $\mu_0(f) = \mu_0(\tilde{f})$ . (ii) If  $f = f_1 \cdots f_m$  in  $\mathbb{C}[x, y]$ ,  $f_i(0) = 0$  for  $i = 1, \ldots, m$ , then

$$\mu_0(f) + m - 1 = \sum_{i=1}^m \mu_0(f_i) + 2 \sum_{1 \le i < j \le m} i_0(f_i, f_j).$$

For a proof where the topological arguments are used see [9, Theorem 6.5.1, p. 145]. For a proof based on the properties of intersection numbers see e.g. [1, Proposition 2.4, p. 13].

#### Lemma 2.2.

Let f be an irreducible polynomial of degree d > 1, f(0) = 0. Then  $\mu_0(f) \leq (d-1)(d-2)$  with equality if and only if the curve f = 0 is rational, its projective closure C has exactly one singular point  $0 \in \mathbb{C}^2$  and f = 0 is unibranch at 0.

**Proof.** Apply the formula for the genus g of C (see [9, Corollary 7.1.3]):  $2g = (d-1)(d-2) - \sum_{P} (\mu_{P} + r_{P} - 1)$ , where  $r_{P}$  is the number of branches of C passing through P.

#### Example 2.3.

The polynomial  $f = x^{d-1} + y^d$  is irreducible and  $\mu_0(f) = (d-1)(d-2)$ .

Let f = 0 be a curve of degree d > 1 with an isolated singular point at  $0 \in \mathbb{C}^2$ . Let  $f_i = 0$ , i = 1, ..., m, be irreducible components of f = 0 passing through 0 and let  $d_i = \deg f_i$  for i = 1, ..., m. Then  $f = f_0 f_1 \cdots f_m$  in  $\mathbb{C}[x, y]$ , where  $f_0(0) \neq 0$ .

#### Lemma 2.4.

Let  $\Lambda = \{(i, j) \in \mathbb{N}^2 : 1 \leq i < j \leq m, f_i = 0, f_j = 0 \text{ are transverse (i.e. their tangent cones intersect only at 0) and <math>d_i > 1 \text{ or } d_j > 1\}$ . Then  $\mu_0(f) \leq (d-1)^2 - d + m - 2 \cdot \#\Lambda$ .

**Proof.** Let  $\tilde{f} = f_1 \cdots f_m$ . Observe that for  $(i, j) \in \Lambda$  we have  $i_0(f_i, f_j) = (\text{ord}_0 f_i)(\text{ord}_0 f_j) < d_i d_j$  since  $d_i > 1$  or  $d_j > 1$  (if  $f_i$  is irreducible of degree  $d_i > 1$  then  $\text{ord}_0 f_i < d_i$ ). By Lemma 2.2 we get  $\mu_0(f_i) \leq (d_i - 1)(d_i - 2)$  for  $i = 1, \ldots, m$ . Now, Lemma 2.1 implies

$$\mu_0(f) + m - 1 = \mu_0(\tilde{f}) + m - 1 \leqslant \sum_{i=1}^m (d_i - 1)(d_i - 2) + 2\sum_{(i,j)\notin\Lambda} i_0(f_i, f_j) + 2\sum_{(i,j)\in\Lambda} i_0(f_i, f_j)$$
  
$$\leqslant \sum_{i=1}^m (d_i - 1)(d_i - 2) + 2\sum_{(i,j)\notin\Lambda} d_i d_j + 2\sum_{(i,j)\in\Lambda} (d_i d_j - 1) = (d - 1)^2 - d + 2m - 2 \cdot \#\Lambda - 1$$

#### Lemma 2.5.

We have that  $\mu_0(f) \leq (d-1)^2 - d + m$ . The equality  $\mu_0(f) = (d-1)^2 - d + m$  holds if and only if  $\mu_0(f_i) = (d_i - 1)(d_i - 2)$ and  $i_0(f_i, f_j) = d_i d_j$  for  $1 \leq i < j \leq m$ .

**Proof.** The inequality  $\mu_0(f) \leq (d-1)^2 - d + m$  follows from Lemma 2.4 (see also [6, Proposition 6.3]). By Lemma 2.1 we can rewrite the equality  $\mu_0(f) = (d-1)^2 - d + m$  in the form

$$\sum_{i=1}^{m} \mu_0(f_i) + 2 \sum_{1 \leq i < j \leq m} i_0(f_i, f_j) = \sum_{i=1}^{m} (d_i - 1)(d_i - 2) + 2 \sum_{1 \leq i < j \leq m} d_i d_j.$$

We have that  $\mu_0(f_i) \leq (d_i - 1)(d_i - 2)$  by Lemma 2.2 and  $i_0(f_i, f_j) \leq d_i d_j$  by Bézout's theorem which together with the equality above imply the lemma.

#### Lemma 2.6.

Let d > 2. If  $\mu_0(f) = (d-1)^2 - d + m$  then all irreducible components of the curve f = 0 pass through  $0 \in \mathbb{C}^2$ .

**Proof.** Let  $\tilde{d} = \deg \tilde{f}$ . Clearly  $\tilde{d} \leq d$ . We have  $(d-1)^2 - d + m = \mu_0(f) = \mu_0(\tilde{f})$  and  $\mu_0(\tilde{f}) \leq (\tilde{d}-1)^2 - \tilde{d} + m$  by Lemma 2.5. The inequalities d > 2,  $\tilde{d} \leq d$  and  $(d-1)^2 - d \leq (\tilde{d}-1)^2 - \tilde{d}$  imply  $\tilde{d} = d$ . Therefore  $\deg f_0 = d - \tilde{d} = 0$  and  $f_0$  is a constant.

#### Lemma 2.7.

 $\#\{i \in [1, m] : d_i > 1\} \leq d - m.$ 

**Proof.** Let  $I = \{i \in [1, m] : d_i > 1\}$ . Then  $I = \{i \in [1, m] : \operatorname{ord}_0 f_i < d_i\}$  and  $\#I \leq \sum_{i \in I} (d_i - \operatorname{ord}_0 f_i) = \sum_{i=1}^{m} (d_i - \operatorname{ord}_0 f_i) \leq d - \operatorname{ord}_0 f \leq d - m$ .

A line l = 0 is tangent to the curve f = 0 (at  $0 \in \mathbb{C}^2$ ) if  $i_0(f, l) > \operatorname{ord}_0 f$ . We denote by T(f) the set of all tangents at 0 to f = 0. We have  $\#T(f) \leq \operatorname{ord}_0 f \leq \deg f - 1$  if f is not homogeneous. For two polynomials  $f, g, T(fg) = T(f) \cup T(g)$ . Therefore we get  $\#T(fg) \leq \#T(f) + \#T(g) - 1$  if  $T(f) \cap T(g) \neq \emptyset$ .

#### Lemma 2.8.

Let  $f_i$ , i = 1, ..., k, be irreducible polynomials of degree  $d_i > 1$  such that  $f_i(0) = 0$  for i = 1, ..., k. Suppose that the curves  $f_i = 0$ , i = 1, ..., k, have a common tangent at 0. Then  $\#T(f_1 \cdots f_k) \leq \sum_{i=1}^k (d_i - 1) - k + 1$ .

**Proof.** If k = 1 it is clear. Suppose that k > 1 and that the lemma is true for the sequences of k - 1 polynomials. Let  $f_1, \ldots, f_k$  be a sequence of k irreducible polynomials of degree > 1 such that the curves  $f_i = 0$ ,  $i = 1, \ldots, k$ , have a common tangent at 0. Then by the induction hypothesis  $\#T(f_1 \cdots f_{k-1}) \leq \sum_{i=1}^{k-1} (d_i - 1) - (k-1) + 1$ . On the other hand  $\#T(f_k) \leq d_k - 1$  and we get  $\#T(f_1 \cdots f_k) \leq \#T(f_1 \cdots f_{k-1}) + \#T(f_k) - 1 \leq \sum_{i=1}^{k} (d_i - 1) - (k-1)$ , since  $f_1 \cdots f_{k-1}$  and  $f_k$  have a common tangent.

# 3. Proof of Theorem 1.1

Let *f* be a polynomial of degree d > 1 such that f(0) = 0 and  $\mu_0(f) < +\infty$ . We assume that *f* is not homogeneous. Let *m* be the number of irreducible components of the curve f = 0 passing through  $0 \in \mathbb{C}^2$ .

#### Lemma 3.1.

If  $m \leq d - [d/2]$  then  $\mu_0(f) \leq (d-1)^2 - [d/2]$ . The equality  $\mu_0(f) = (d-1)^2 - [d/2]$  implies m = d - [d/2].

**Proof.** Suppose that  $m \le d - \lfloor d/2 \rfloor$ . By the first part of Lemma 2.5 we get  $\mu_0(f) \le (d-1)^2 - d + m \le (d-1)^2 - \lfloor d/2 \rfloor$ . If  $\mu_0(f) = (d-1)^2 - \lfloor d/2 \rfloor$  then  $(d-1)^2 - d + m = (d-1)^2 - \lfloor d/2 \rfloor$ , so  $m = d - \lfloor d/2 \rfloor$ .

#### Lemma 3.2.

If  $m \ge d - [d/2] + 1$  then  $\mu_0(f) < (d-1)^2 - [d/2]$ .

**Proof.** Write  $f = f_0 f_1 \cdots f_m$ , where  $f_0(0) \neq 0$  and  $f_i$  are irreducible with  $f_i(0) = 0$  for i = 1, ..., m. Since the sequence  $d \mapsto d - \lfloor d/2 \rfloor$  is increasing it suffices to check the lemma for the polynomial  $\tilde{f} = f_1 \cdots f_m$ . In what follows we write f instead of  $\tilde{f}$  and put  $d_i = \deg f_i$  for i = 1, ..., m. Since f is not homogeneous we have m < d. Let  $k = \#\{i : d_i > 1\}$ . From  $d_1 + \cdots + d_m = d$  it follows that  $k \ge 1$ . Note also that  $m - k = \#\{i : d_i = 1\} > 0$  since by Lemma 2.7 we have  $k \le d - m$  and consequently  $m - k \ge m - (d - m) = 2m - d \ge d - 2\lfloor d/2 \rfloor + 2 > 0$ . We label  $f_1, \ldots, f_m$  so  $d_1 \ge \ldots \ge d_m$ . Therefore we get  $d_1 \ge \ldots \ge d_k \ge 2$  and  $d_{k+1} = \ldots = d_m = 1$ . Let us consider two cases.

**Case 1.** The curves  $f_1 = 0, ..., f_k = 0$  have a common tangent. By Lemma 2.8 we have  $\# T(f_1 \cdots f_k) \leq \sum_{i=1}^k (d_i - 1) - k + 1 = d - m - k + 1$ . Therefore we get  $m - k - \# T(f_1 \cdots f_k) \geq m - k - (d - m - k + 1) = 2m - d - 1$ . Note that  $2m - d - 1 \geq 2(d - \lfloor d/2 \rfloor + 1) - d + 1 > 0$ . Thus there are at least 2m - d - 1 > 0 linear forms in the sequence  $f_{k+1}, ..., f_m$  that are transverse to the curve  $f_1 \cdots f_k = 0$  and we get  $\# \Lambda \geq k(2m - d - 1) \geq 2m - d - 1$ . Consequently by Lemma 2.4 we obtain  $\mu_0(f) \leq (d - 1)^2 - d + m - 2(2m - d - 1) = (d - 1)^2 + d - 3m + 2 \leq (d - 1)^2 + d - 3(d - \lfloor d/2 \rfloor + 1) + 2 = (d - 1)^2 - \lfloor d/2 \rfloor - 2(d - \lfloor d/2 \rfloor) - 1 < (d - 1)^2 - \lfloor d/2 \rfloor$ .

**Case 2.** The curves  $f_1 = 0, ..., f_k = 0$  have no common tangent. Then for every linear form  $f_j$ ,  $k + 1 \le j \le m$ , there exists a polynomial  $f_i$ ,  $1 \le i \le k$ , such that  $f_i$ ,  $f_j$  are transverse. Therefore  $\#\Lambda \ge m - k$  and by Lemma 2.4 we get  $\mu_0(f) \le (d-1)^2 - d + m - 2(m-k) = (d-1)^2 - d - m + 2k$ . Since by Lemma 2.7 we have  $k \le d - m$  the above bound for  $\mu_0(f)$  implies  $\mu_0(f) \le (d-1)^2 + d - 3m \le (d-1)^2 + d - 3(d - \lfloor d/2 \rfloor + 1) = (d-1)^2 - \lfloor d/2 \rfloor - 2(d-2\lfloor d/2 \rfloor) - 3 < (d-1)^2 - \lfloor d/2 \rfloor$ .  $\Box$ 

Now from Lemmas 3.1 and 3.2 we get  $\mu_0(f) \leq (d-1)^2 - [d/2]$  which proves Theorem 1.1.

# 4. Proof of Theorem 1.4

To show that a curve f = 0 of degree d > 4 with  $\mu_0(f) = (d - 1)^2 - [d/2]$  does not have irreducible components of degree 3 we need

#### Lemma 4.1.

Let  $f, g \in \mathbb{C}[x, y]$  be irreducible polynomials, deg f = 3, deg g = 2, f(0) = g(0) = 0. Suppose that the curve f = 0 has a singular point at 0 and # T(f) = 1. Then

$$i_0(f,g) < \deg f \deg g = 6.$$

**Proof.** If f = 0 and g = 0 have no common tangent then  $i_0(f, g) = \text{ord}_0 f \text{ ord}_0 g = \text{ord}_0 f < 3$ . Thus we may assume that  $f = x^2 + f^+$ ,  $g = x + g^+$ , where  $f^+$ ,  $g^+$  are homogeneous forms of degree 3 and 2, respectively. We get  $i_0(f, g) = i_0(f - xg, g) = i_0(f^+ - xg^+, g) = 3 \cdot 1$  for  $f^+ - xg^+ = 0$  and g = 0 have no common tangent.

#### Lemma 4.2.

Let f be a polynomial of degree d > 2 such that f(0) = 0. Suppose that  $\mu_0(f) = (d-1)^2 - d + m$ , where m is the number of irreducible components of the curve f = 0 passing through  $0 \in \mathbb{C}^2$ . Then  $f = f_1 \cdots f_m$  in  $\mathbb{C}[x, y]$  with irreducible  $f_i$ ,  $f_i(0) = 0$  for  $i = 1, \ldots, m$ . Let  $d_i = \deg f_i$  for  $i = 1, \ldots, m$ . Then  $\# T(f_i) = 1$  and  $i_0(f_i, f_j) = d_i d_j$  for i < j. If m < d then f = 0 has at most one linear component and has no two components of degree 2 and 3.

**Proof.** By Lemmas 2.5 and 2.6 we get  $f = f_1 \cdots f_m$  in  $\mathbb{C}[x, y]$ ,  $f_i$  irreducible,  $f_i(0) = 0$ ,  $i_0(f_i, f_j) = d_i d_j$  and  $\mu_0(f_i) = (d_i - 1)(d_i - 2)$ . We have  $\# T(f_i) = 1$  for the curve  $f_i = 0$  has only one branch at 0 by Lemma 2.2.

Suppose that the curve f = 0 has two linear components  $f_j = 0$  and  $f_k = 0$ ,  $j \neq k$ . Then there is no component  $f_i = 0$  of f = 0 of degree  $d_i > 1$  (if  $f_i = 0$  had degree  $d_i > 1$  then we would get  $i_0(f_i, f_j) = i_0(f_i, f_k) = d_i > 1$  which is impossible

for  $\# T(f_i) = 1$ ). Therefore if f = 0 has two linear components then all components are linear and intersect pairwise with multiplicity 1. Thus m = d and f is a homogeneous form of degree d.

Therefore, if m < d then there exists at most one linear component. Since  $i_0(f_i, f_j) = d_i d_j$  if i < j there are no two components of degree 2 and 3 by Lemma 4.1.

Now, we can pass to the proof of Theorem 1.4.

**Proof of Theorem 1.4.** (i)  $\Rightarrow$  (ii) Assume that  $\mu_0(f) = (d-1)^2 - [d/2]$ , where d > 1 and  $d \neq 4$ . Then f = 0 has m = d - [d/2] irreducible components passing through  $0 \in \mathbb{C}^2$  by Lemmas 3.1 and 3.2. We have  $\mu_0(f) = (d-1)^2 - [d/2] = (d-1)^2 - d + m$  with m = d - [d/2] < d and by Lemma 4.2 we can write  $f = f_1 \cdots f_m$ ,  $f_i \in \mathbb{C}[x, y]$  irreducible,  $f_i(0) = 0$ . We label  $f_1, \ldots, f_m$  so that  $d_1 \ge \ldots \ge d_m \ge 1$ .

**Case 1:**  $d \equiv 0 \pmod{2}$ . Then m = d/2 and  $d_1 + \cdots + d_m = d$ . This is possible if and only if  $(d_1, \ldots, d_m) = (2, \ldots, 2)$  or  $(d_1, \ldots, d_m) = (3, 2, \ldots, 2, 1)$ , where 2 appears m - 2 = d/2 - 2 > 0 times since d > 4. If  $(d_1, \ldots, d_m) = (2, \ldots, 2)$  then the theorem follows from Lemma 4.2. The case  $(d_1, \ldots, d_m) = (3, 2, \ldots, 2, 1)$  cannot occur by Lemma 4.1.

**Case 2.** Case 2:  $d \neq 0 \pmod{2}$ . In this case we have m = (d + 1)/2. From  $d_1 + \cdots + d_m = d$  it follows that  $(d_1, \ldots, d_m) = (2, \ldots, 2, 1)$ . We apply Lemma 4.2.

The implication (ii)  $\Rightarrow$  (i) follows immediately from Lemma 2.1 (ii).

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