

Severi's theorem for codimension two CR singular submanifolds of \mathbb{C}^3

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joint work with Alan Noell and Sivaguru Ravisankar

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Complexification

Let $\mathbb{R}^n \subset \mathbb{C}^n$ be the natural embedding (that is $\text{Im } z = 0$).

Suppose $M \subset \mathbb{R}^n$ is a domain and $f: M \rightarrow \mathbb{C}$ is real-analytic.

$\Rightarrow \exists$ a domain $V \subset \mathbb{C}^n$, $M \subset V$, and $F: V \rightarrow \mathbb{C}$ holomorphic such that $F|_M = f$. (We say f *extends holomorphically*)

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May not work if M is another submanifold. Two examples:

- (a) Consider $M = \{z \in \mathbb{C}^2 \mid \text{Im } z_2 = 0\}$, $f: M \rightarrow \mathbb{C}$ given by $f(z) = \text{Re } z_1$.
 $\Rightarrow f$ does not extend holomorphically.
- (b) Consider $M = \{z \in \mathbb{C}^2 \mid z_2 = |z_1|^2\}$, $f: M \rightarrow \mathbb{C}$ given by $f(z) = \bar{z}_1$.
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Note: all my submanifolds are embedded, all issues considered are local, and everything is real-analytic.

Let $M \subset \mathbb{C}^n$ be a submanifold, write

$$T_p^{0,1}M = \left(\mathbb{C} \otimes T_p M \right) \cap \text{span}_{\mathbb{C}} \left\{ \frac{\partial}{\partial \bar{z}_1} \Big|_p, \dots, \frac{\partial}{\partial \bar{z}_n} \Big|_p \right\}$$

Def.: M is CR if

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Theorem (Severi)

Suppose $M \subset \mathbb{C}^n$ is a real-analytic CR submanifold and $f: M \rightarrow \mathbb{C}$ is a real-analytic CR function.

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- Step 5) Profit!

Example:

Suppose $M \subset \mathbb{C}^2$ is a real-analytic real hypersurface.

Write M as

$$\bar{w} = \Phi(z, \bar{z}, w),$$

and consider a real-analytic CR function $f(z, \bar{z}, w, \bar{w})$.

Treat \bar{z} and \bar{w} as independent.

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Write

$$F(z, \bar{z}, w) = f(z, \bar{z}, w, \Phi(z, \bar{z}, w))$$

Find CR vector field:

$$L = \frac{\partial}{\partial \bar{z}} + \frac{\partial \Phi}{\partial \bar{z}} \frac{\partial}{\partial \bar{w}}$$

$$LF = 0 \quad \Rightarrow$$

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Done! (there's a technicality or two in there, but overall that's the idea)

CR singular submanifolds

Def.: If M is not CR, then M is CR singular.

Def.: $f: M \rightarrow \mathbb{C}$ is CR if $Lf = 0$ for all vector fields L that are CR ($L|_p \in T_p^{0,1}M \forall p \in M$).

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There are no CR vector fields, and you can't easily solve for \bar{z} and \bar{w} in terms of z and w :

$$\bar{z} = \frac{w}{z}, \quad \bar{w} = w$$

Extra conditions needed on f here (codimension 2 in \mathbb{C}^2).

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We will switch to \mathbb{C}^3 , where there is an actual CR vector field.

Some previous work

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In '11 we (L.-Minor-Shroff-Son-Zhang) proved that if a real-analytic CR singular manifold $M = \varphi(N)$ for a real-analytic CR map

$$\varphi: N \subset \mathbb{C}^n \rightarrow \mathbb{C}^n$$

of a CR submanifold N , and φ is a diffeomorphism onto $\varphi(N) = M$, then there exists a real-analytic CR function on M that does not extend holomorphically.

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In '16 we (L.–Noell–Ravisankar) proved that a real-analytic codimension 2 real-analytic CR singular manifold in \mathbb{C}^n ($n \geq 3$) that is flat (subset of $\mathbb{C}^{n-1} \times \mathbb{R}$) and nondegenerate has the extension property.

Main theorem setup

A CR singular submanifold of codimension 2 in \mathbb{C}^3 is written as
(after a rotation by a unitary)

$$\begin{aligned}w &= \rho(z, \bar{z}) \\ &= Q(z, \bar{z}) + E(z, \bar{z}) \\ &= z^* A z + \overline{z^t B z} + z^t C z + E(z, \bar{z}),\end{aligned}$$

$(z, w) \in \mathbb{C}^2 \times \mathbb{C}$, ρ is $O(\|z\|)^2$, E is $O(\|z\|^3)$.

A, B, C , 2×2 complex matrices,

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M can be parametrized by z (and \bar{z})

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This might be a good place to note that normal forms for codimension 2 CR singular manifolds has a long history:

\mathbb{C}^2 : Bishop '65, Moser–Webster '83, Moser '85, Kenig–Webster '82, Gong '94, Huang–Krantz '95, Huang–Yin '09, Slapar '16, etc...

\mathbb{C}^n ($n \geq 3$) Dolbeault–Tomassini–Zaitsev '05, '11, Huang–Yin '09, '16, '17, Burcea '13, Gong–L. '15, Fang–Huang '18.

Coffman's table

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A. COFFMAN

TABLE 1. Normal forms for Theorem 7.1

N	P			
$\begin{pmatrix} 1 & 0 \\ 0 & e^{i\theta} \end{pmatrix}$ $0 < \theta < \pi$	$\begin{pmatrix} a & b \\ b & d \end{pmatrix}$	5	$a > 0, d > 0, b \sim -b \in \mathbb{C}$	+ - 0
	$\begin{pmatrix} 0 & b \\ b & d \end{pmatrix}$	3	$b \geq 0, d \geq 0$	+ - 0
	$\begin{pmatrix} a & b \\ b & 0 \end{pmatrix}$	3	$a > 0, b \geq 0$	+ - 0
$\begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}$	$\begin{pmatrix} a & 0 \\ 0 & d \end{pmatrix}$	2	$0 \leq a \leq d$	+ - 0
	$\begin{pmatrix} a & 0 \\ 0 & 0 \end{pmatrix}$	2	$0 \leq a \leq d$	+ - 0
$\begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$	$\begin{pmatrix} 0 & b \\ b & 0 \end{pmatrix}$	1	$b > 0$	+
	$\begin{pmatrix} 1 & 1 \\ 1 & 1 \end{pmatrix}$	0		+
	$\begin{pmatrix} 0 & b \\ b & 0 \end{pmatrix}$	1	$b > 0$	+0
$\begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$	$\begin{pmatrix} 1 & 0 \\ 0 & d \end{pmatrix}$	2	$\text{Im}(d) > 0$	+
	$\begin{pmatrix} a & b \\ b & d \end{pmatrix}$	5	$b > 0, a = 1, (a, d) \sim (-a, -d)$	+ - 0
$\begin{pmatrix} 0 & 1 \\ \tau & 0 \end{pmatrix}$ $0 < \tau < 1$	$\begin{pmatrix} 0 & b \\ b & d \end{pmatrix}$	3	$b > 0, d = 1, d \sim -d$	+ - 0
	$\begin{pmatrix} 0 & b \\ b & 0 \end{pmatrix}$	2	$b > 0$	+ - 0
	$\begin{pmatrix} 1 & 0 \\ 0 & 0 \end{pmatrix}$	3	$d \in \mathbb{C}$	+0
	$\begin{pmatrix} 0 & 0 \\ 0 & 1 \end{pmatrix}$	1		+
	$\begin{pmatrix} 0 & 0 \\ 0 & 0 \end{pmatrix}$	1		+
	$\begin{pmatrix} a & b \\ b & 1 \end{pmatrix}$	3	$b > 0, a \in \mathbb{C}$	+ - 0
$\begin{pmatrix} 0 & 1 \\ 0 & 0 \end{pmatrix}$	$\begin{pmatrix} 1 & b \\ b & 0 \end{pmatrix}$	1	$b > 0$	+ - 0
	$\begin{pmatrix} 0 & b \\ b & 0 \end{pmatrix}$	1	$b > 0$	+ - 0
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	$\begin{pmatrix} a & 0 \\ 0 & 0 \end{pmatrix}$	0		0
$\begin{pmatrix} 0 & 1 \\ 1 & i \end{pmatrix}$	$\begin{pmatrix} a & 0 \\ 0 & d \end{pmatrix}$	3	$a > 0, d \in \mathbb{C}$	+ - 0
	$\begin{pmatrix} 0 & b \\ b & 0 \end{pmatrix}$	1	$b > 0$	+0
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	$\begin{pmatrix} a & 0 \\ 0 & 1 \end{pmatrix}$	1	$a \geq 0$	+ - 0
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	$\begin{pmatrix} a & 0 \\ 0 & 0 \end{pmatrix}$	1	$a \geq 0$	0
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$\begin{pmatrix} 0 & 0 \\ 0 & 0 \end{pmatrix}$	$\begin{pmatrix} 1 & 0 \\ 0 & 0 \end{pmatrix}$	0		0
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Main theorem

$$M \subset \mathbb{C}^3, (z, w) \in \mathbb{C}^2 \times \mathbb{C}$$

$$M : w = \rho(z, \bar{z}) = Q(z, \bar{z}) + E(z, \bar{z}) = z^* Az + \overline{z^t Bz} + z^t Cz + E(z, \bar{z})$$

Theorem (L.–Noell–Ravisankar)

Suppose

$$\text{null } A^* \cap \text{null } B = \{0\}$$

If $f(z, \bar{z})$ is real-analytic CR function defined near the origin, then f extends holomorphically near the origin. That is, $\exists F(z, w)$ such that

$$f(z, \bar{z}) = F(z, \rho(z, \bar{z})).$$

The quadric

Theorem (L.–Noell–Ravisankar)

Suppose $M \subset \mathbb{C}^3$ is a quadric given by

$$w = Q(z, \bar{z}) = z^*Az + \overline{z^tBz} + z^tCz$$

Assume $\bar{\partial}Q \neq 0$. TFAE:

- (a) $\text{null } A^* \cap \text{null } B = \{0\}$
- (b) For every CR polynomial $f(z, \bar{z})$,
 $\exists!$ holomorphic polynomial $F(z, w)$ such that
 $f(z, \bar{z}) = F(z, Q(z, \bar{z}))$.
If f is homogeneous, then F is weighted homogeneous.
- (c) Every CR real-linear $h(z, \bar{z})$ is holomorphic
(does not depend on \bar{z}).

The difficulty

Consider $f(z, \bar{z})$ on

$$w = z_1^2 + z_2^2 + \bar{z}_1^2 + \bar{z}_2^2 \quad (B = I, A = 0, E = 0)$$

Solve for say \bar{z}_1 :

$$\bar{z}_1 = \pm \sqrt{w - z_1^2 + z_2^2 + \bar{z}_2^2}$$

We can get rid of all but the first power of \bar{z}_1 :

$$f = \alpha(z_1, z_2, w, \bar{z}_2) + \bar{z}_1 \beta(z_1, z_2, w, \bar{z}_2)$$

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$Lf = 0$ (CR vector field) must get rid of not only the dependence on \bar{z}_2 in α ,
but also force $\beta \equiv 0$.

Optimal conditions

Fix Q , $\bar{\partial}Q \neq 0$, and suppose $\text{null } A^* \cap \text{null } B \neq \{0\}$.

Let

$$f = \bar{v}_2 \bar{z}_1 - \bar{v}_1 \bar{z}_2,$$

where (v_1, v_2) is a nonzero vector in $\text{null } A^* \cap \text{null } B$.

Then f is not a restriction to M of a holomorphic function (in any neighborhood of the origin)

As M is a graph of w over z :

$$w = \rho(z, \bar{z}),$$

write everything on M in terms of z .

A function on M is a function $f(z, \bar{z})$.

The CR vector field in terms of z as a parameter on M is

$$L = \rho_{\bar{z}_2} \frac{\partial}{\partial \bar{z}_1} - \rho_{\bar{z}_1} \frac{\partial}{\partial \bar{z}_2}$$

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Normally to complexify in \mathbb{C}^3 : we consider (z, \bar{z}, w, \bar{w}) in \mathbb{C}^6 .
But we only need to complexify into \mathbb{C}^5 and consider (z, \bar{z}, w) .

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$E = \|z\|^4$) M is given by

$$w = \|z\|^4 = (|z_1|^2 + |z_2|^2)^2$$

and

$$f(z, \bar{z}) = \|z\|^2 = |z_1|^2 + |z_2|^2$$

is CR but equal to \sqrt{w} on M , so does not extend.

So for some E we do not have extension.

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$E \equiv 0$) Extension does not hold. E.g. if

$$w = \bar{z}_1 z_2$$

then \bar{z}_1 is CR as the CR vector field is $L = -z_2 \frac{\partial}{\partial \bar{z}_2}$

Note: The theorem is an if-and-only-if when $E \equiv 0$.

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$E \neq 0$) Extension may or may not hold depending on E . E.g. if

$$w = \bar{z}_1 z_2 + \bar{z}_2^3$$

then extension holds (explicit computation), but if

$$w = \bar{z}_1 z_2 + \bar{z}_1^3$$

then extension does not hold (\bar{z}_1 again).

The proof has the following outline:

Step 1) Prove theorem for homogeneous polys. and quadrics.

Step 2) Prove a formal extension theorem.

Step 3) Prove that in \mathbb{C}^2 a formal solution is convergent.

Step 4) Use this to prove convergence of F in \mathbb{C}^3 .

Proof sketch for the quadrics I

Suppose $\bar{\partial}Q \neq 0$ and M is a quadric:

$$w = Q(z, \bar{z}) = z^*Az + \overline{z^tBz} + z^tCz.$$

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There are two cases:

$B \neq 0$) Let's tackle that one first.

$B = 0$) Special case, needs to be handled differently.

Proof sketch for the quadrics II ($B \neq 0$)

If $B \neq 0$, then it can be diagonalized by a transformation in z :

$$Q(z, \bar{z}) = z^* A z + \bar{z}_1^2 + \epsilon \bar{z}_2^2 + z^t C z$$

where $\epsilon = 0, 1$.

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Weierstrass division algorithm (using \bar{z}_1) says

$$f(z, \bar{z}) = h(z, \bar{z}, w)(Q(z, \bar{z}) - w) + \alpha(z, \bar{z}_2, w) + \beta(z, \bar{z}_2, w)\bar{z}_1.$$

The remainder in Weierstrass is unique:

Any equality on M , as long \bar{z}_1 appears up to first power holds everywhere.

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Any equality on M , as long \bar{z}_1 appears up to first power holds everywhere.

f equals a holomorphic polynomial $g(z, w)$ if and only if $\alpha + \beta\bar{z}_1 - g \equiv 0$, or in other words if

$$\alpha_{\bar{z}_2} \equiv 0, \quad \text{and} \quad \beta \equiv 0.$$

Proof sketch for the quadrics III ($B \neq 0$)

Solving $Lf = 0$ we get differential equations for α and β ,
in fact a single equation for β .

Then it is an almost-undergraduate-first-order-DE computation
to find for which coefficients in A (and B) do we get a
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QED!

Proof sketch for the quadrics IV ($B = 0$)

Let L be the CR vector field.

Proof outline.

- Step 1) For each degree d , compute L as a matrix taking homogeneous polynomials of fixed degree to themselves.
- Step 2) Compute the dimension of the kernel of L for each d .
- Step 3) Compute the dimension of weighted homogeneous polynomials $F(z, w)$ of degree d .
- Step 4) ... the two dimensions match!
(if the nullspace condition is met)
- Step 5) QED!

Matrix for L in degree 3

	\bar{z}_1^3	$\bar{z}_1^2 \bar{z}_2$	$\bar{z}_1 \bar{z}_2^2$	\bar{z}_2^3	$z_1 \bar{z}_1^2$	$z_1 \bar{z}_1 \bar{z}_2$	$z_1 \bar{z}_2^2$	$z_2 \bar{z}_1^2$	$z_2 \bar{z}_1 \bar{z}_2$	$z_2 \bar{z}_2^2$	$z_1^2 \bar{z}_1$	$z_1^2 \bar{z}_2$	$z_1 z_2 \bar{z}_1$	$z_1 z_2 \bar{z}_2$	$z_2^2 \bar{z}_1$	$z_2^2 \bar{z}_2$	z_1^3	$z_1^2 z_2$	$z_1 z_2^2$	z_2^3
\bar{z}_1^3
$\bar{z}_1^2 \bar{z}_2$
$\bar{z}_1 \bar{z}_2^2$
\bar{z}_2^3
$z_1 \bar{z}_1^2$.	-1
$z_1 \bar{z}_1 \bar{z}_2$.	.	-2
$z_1 \bar{z}_2^2$.	.	.	-3
$z_2 \bar{z}_1^2$	3δ	$-\beta$
$z_2 \bar{z}_1 \bar{z}_2$.	2δ	-2β
$z_2 \bar{z}_2^2$.	.	δ	-3β
$z_1^2 \bar{z}_1$	-1
$z_1^2 \bar{z}_2$	-2
$z_1 z_2 \bar{z}_1$	2δ	$-\beta$.	-1
$z_1 z_2 \bar{z}_2$	δ	-2β	.	-2
$z_2^2 \bar{z}_1$	2δ	$-\beta$
$z_2^2 \bar{z}_2$	δ	-2β
z_1^3	-1
$z_1^2 z_2$	δ	$-\beta$.	-1
$z_1 z_2^2$	δ	$-\beta$.	-1
z_2^3	δ	$-\beta$

Thanks for listening!