

PROPER HOLOMORPHIC SELF-MAPS OF SYMMETRIC POWERS OF BALLS

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ABSTRACT. We show that each proper holomorphic self map of a symmetric power of the unit ball is an automorphism naturally induced by an automorphism of the unit ball, provided the ball is of dimension at least two.

1. INTRODUCTION

Let \mathbb{D}^m denote the m -dimensional polydisc in \mathbb{C}^m , and for $1 \leq k \leq m$, denote by σ_k the k -th elementary symmetric polynomial in m variables. The subset of \mathbb{C}^m given by

$$\Sigma^m \mathbb{D} = \{(\sigma_1(z), \sigma_2(z), \dots, \sigma_m(z)) \in \mathbb{C}^m \mid z \in \mathbb{D}^m\} \quad (1.1)$$

is known as the *symmetrized polydisc* of m -dimensions. It turns out that $\Sigma^m \mathbb{D}$ is a pseudoconvex domain \mathbb{C}^n with remarkable function theoretic properties, and applications to engineering (see [1] and the work inspired by it). Of particular interest are the symmetries and mapping properties of these domains. In [11], Jarnicki and Pflug determined the biholomorphic automorphisms of $\Sigma^m \mathbb{D}$. More generally, we have the following result of Edigarian and Zwonek on proper self-maps of $\Sigma^m \mathbb{D}$:

Theorem 1 (See [7, 8]). *Let $f : \Sigma^m \mathbb{D} \rightarrow \Sigma^m \mathbb{D}$ be a proper holomorphic map, and let $\sigma = (\sigma_1, \dots, \sigma_m) : \mathbb{C}^m \rightarrow \mathbb{C}^m$ be as in (1.1). Then, there exists a proper holomorphic map $B : \mathbb{D} \rightarrow \mathbb{D}$ such that*

$$f(\sigma(z^1, \dots, z^m)) = \sigma(B(z^1), \dots, B(z^m)).$$

Recall that a proper holomorphic map $B : \mathbb{D} \rightarrow \mathbb{D}$ is represented by a finite Blaschke product, so the above result gives a complete characterization of proper holomorphic self-maps of $\Sigma^m \mathbb{D}$, so that each such map is induced by a proper holomorphic self-map of the disc.

In this note we prove an analogous result for proper self-maps of complex analytic spaces analogous to the symmetrized polydisc, where the disc is replaced by a higher dimensional ball. To define these spaces, let $\mathbb{B}_s \subset \mathbb{C}^s$ denote the unit ball in \mathbb{C}^s , and for some positive integer m , let $(\mathbb{B}_s)_{\text{Sym}}^m$ denote the m -fold *symmetric power* of \mathbb{B}_s , i.e., the collection of all *unordered* m -tuples $\langle z^1, z^2, \dots, z^m \rangle$, where each $z^j \in \mathbb{B}_s$. Note that the construction of the symmetric power is functorial: given any map $g : \mathbb{B}_s \rightarrow \mathbb{B}_s$, there is a naturally defined map $g_{\text{Sym}}^m : (\mathbb{B}_s)_{\text{Sym}}^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ given by

$$g_{\text{Sym}}^m(\langle z^1, z^2, \dots, z^m \rangle) = \langle g(z^1), g(z^2), \dots, g(z^m) \rangle,$$

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which is easily seen to be well-defined. As discussed in section 2 below, $(\mathbb{B}_s)_{\text{Sym}}^m$ is a complex analytic space, and $\Sigma^m \mathbb{D}$ is biholomorphic to $\mathbb{D}_{\text{Sym}}^m$. Consequently, Theorem 2 is a generalization of Theorem 1. The main result of this paper is:

Theorem 2. *Let $s \geq 2$, $m \geq 2$, and let $f : (\mathbb{B}_s)_{\text{Sym}}^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ be a proper holomorphic map. Then, there exists a holomorphic automorphism $g : \mathbb{B}_s \rightarrow \mathbb{B}_s$ such that*

$$f = g_{\text{Sym}}^m,$$

that is f is the m -th symmetric power of g .

It follows in particular that each proper self-map of $(\mathbb{B}_s)_{\text{Sym}}^m$ is in fact an automorphism. Recall also (see [13, p. 25]) that an automorphism of \mathbb{B}_s is of the form

$$\varphi_a(z) = \frac{a - P_a z - s_a Q_a z}{1 - \langle z, a \rangle}, \quad (1.2)$$

where $a \in \mathbb{B}_n$, P_a is the orthogonal projection from \mathbb{C}^n onto the one dimensional complex linear subspace spanned by a , $Q_a = \text{id} - P_a$ is the orthogonal projection from \mathbb{C}^n onto the orthogonal complement of the one dimensional complex linear subspace spanned by a , and $s_a = (1 - |a|^2)^{\frac{1}{2}}$.

Note also that the domain \mathbb{B}_s may be replaced in Theorem 2 by any strongly pseudoconvex domain, without any change in the proof. We prefer to state it in this special case for simplicity.

2. COMPLEX SYMMETRIC POWERS

Recall that, informally, a *complex analytic space* is made of *local analytic subsets* of \mathbb{C}^n glued together analytically, just as a complex manifold of dimension s is made of open sets of \mathbb{C}^s analytically glued together (see [6, 14, 10] for more information). Recall also that an analytic subset of \mathbb{C}^n is given near each of point of \mathbb{C}^n by the vanishing of a family of analytic functions, and a local analytic subset of \mathbb{C}^n is an analytic subset of an open subset of \mathbb{C}^n .

Let X be a complex manifold, or more generally, a complex analytic space. let X^m denote the m -th Cartesian power of X , which is by definition the collection of ordered tuples

$$\{(x^1, \dots, x^m), x^j \in X, j = 1, \dots, m\}.$$

X^m is then a complex manifold in an obvious way. The symmetric group S_m of bijective mappings of the set $\{1, \dots, m\}$ acts on X^m as biholomorphic automorphisms: for $\sigma \in S_m$, and $x = (x^1, \dots, x^m) \in X^m$ we set

$$\sigma \cdot x = (x^{\sigma(1)}, \dots, x^{\sigma(m)}).$$

The m -th *symmetric Power* of X , denoted by X_{Sym}^m is the quotient of X^m under the action of S_m defined above, i.e, points of X_{Sym}^m are orbits of the action of S_m on X^m . We denote by

$$\pi : X^m \rightarrow X_{\text{Sym}}^m$$

the natural quotient map. It follows from the general theory of complex analytic spaces that X_{Sym}^m has a canonical structure of an analytic space, i.e., the quotient analytic space of X^m under the action of S_m as biholomorphic automorphisms (see [3, 4] and [10]). When X_{Sym}^m is given this complex structure, the map π becomes a proper holomorphic map.

In our application, we are interested in the case when $X = \mathbb{B}_s$, the unit ball in \mathbb{C}^s . The symmetric power $(\mathbb{B}_s)_{\text{Sym}}^m$ is then biholomorphic to a local analytic set, in fact to an open subset of a certain affine algebraic variety in $\mathbb{C}^{N(m,s)}$ where

$$N(m, s) = \binom{m+s}{m} - 1.$$

The subvariety of $\mathbb{C}^{N(m,s)}$ in which the image of $(\mathbb{B}_s)_{\text{Sym}}^m$ lies is in fact a realization of the symmetric power $(\mathbb{C}^s)_{\text{Sym}}^m$ and may be constructed using a symmetric analog of the classical Segre embedding of the product of projective spaces as a subvariety of a higher dimensional projective space. When $s = 1$, we have $N(m, s) = m$, and the embedding $\mathbb{C}_{\text{Sym}}^m \rightarrow \mathbb{C}^m$ is actually a biholomorphism, given by

$$z \mapsto (\sigma_1(z), \dots, \sigma_m(z)),$$

where $\sigma_k(\langle z_1, \dots, z_m \rangle)$ is the k -th elementary symmetric polynomial in the variables (z_1, \dots, z_m) . Then the image of $\mathbb{D}_{\text{Sym}}^m$ is a pseudoconvex domain $\Sigma^m \mathbb{D}$ in \mathbb{C}^m , called the *symmetrized polydisc*. See [5] for more details. Consequently, the symmetric power $\mathbb{D}_{\text{Sym}}^m$ is biholomorphically identified with the domain $\Sigma^m \mathbb{D}$ in \mathbb{C}^m , which shows that Theorem 2 is indeed an extension of Theorem 1.

3. PROPER MAPPINGS OF CARTESIAN TO SYMMETRIC POWERS

The first step in the proof of Theorem 2 is the following result, which is interesting in its own right:

Theorem 3. *Let $s \geq 2$, $m \geq 2$, and let $f : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ be a proper holomorphic map. Then, there exists a proper holomorphic map $\tilde{f} : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)^m$ such that $f = \pi \circ \tilde{f}$.*

In other words, the map f can be *lifted* to a proper holomorphic map \tilde{f} such that the following diagram commutes:

$$\begin{array}{ccc} & & (\mathbb{B}_s)^m \\ & \nearrow \tilde{f} & \downarrow \pi \\ (\mathbb{B}_s)^m & \xrightarrow{f} & (\mathbb{B}_s)_{\text{Sym}}^m \end{array}$$

Note however, that the map π is *not* a covering map, so that the classical theory of lifting maps into a covering space is not directly applicable. However, as we will see, we can reduce this problem to a problem involving covering maps by removing the ramification locus and the branching locus of the map π from $(\mathbb{B}_s)^m$ and $(\mathbb{B}_s)_{\text{Sym}}^m$ respectively. We begin by proving two simple lemmas:

Lemma 3.1. *Let X and Y be analytic subsets of $\Omega_1 \subset \mathbb{C}^n$ and $\Omega_2 \subset \mathbb{C}^m$, respectively, and let $f : X \rightarrow \Omega_2$ be a proper holomorphic map such that $f(X) \subset Y$. Then,*

- (1) *If $f(X) = Y$, then $\dim X = \dim Y$.*
- (2) *If Y is irreducible and $\dim X = \dim Y$, then $f(X) = Y$.*

Proof. By Remmert's Theorem, $f(X)$ is an analytic subset of Ω_2 , with $\dim f(X) = \dim f$. Since f is proper, we cannot have $\dim f < \dim X$. Otherwise, the Rank Theorem would imply that for some $y \in f(X)$, $f^{-1}(y)$ is a compact analytic subset of X with positive dimension, which is impossible. Hence, we conclude that $\dim f(X) = \dim X$.

Suppose first $f(X) = Y$. Then, evidently, $\dim X = \dim f(X) = \dim Y$, establishing (1).

Now suppose $\dim X = \dim Y$ and suppose that $f(X) \neq Y$. Then, by well-known properties of analytic sets, $\overline{Y \setminus f(X)}$ is an analytic set, and since Y is closed in Ω_2 , $\overline{Y \setminus f(X)}$ is contained in Y . Additionally, since $\dim f(X) = \dim Y$, $\overline{Y \setminus f(X)}$ cannot be all of Y . Now, since $Y = f(X) \cup \overline{Y \setminus f(X)}$, Y is reducible. Hence, if Y is irreducible and $\dim X = \dim Y$, then $f(X) = Y$, completing the proof of (2). \square

Lemma 3.2. *Let $A = \{(z^1, \dots, z^m) \in (\mathbb{B}_s)^m : z^i = z^j \text{ for some } i \neq j\}$. Then A is an analytic subset of $(\mathbb{B}_s)^m$ of codimension s and $\pi(A)$ is an analytic subset of $(\mathbb{B}_s)_{\text{Sym}}^m$ of codimension s . The restricted map*

$$\pi : (\mathbb{B}_s)^m \setminus A \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A)$$

is a holomorphic covering map of complex manifolds.

Proof. Let A_{ij} be the linear subspace of $(\mathbb{C}^s)^m \cong \mathbb{C}^{sm}$ given by

$$A_{ij} = \{(z^1, \dots, z^m) \mid z^i = z^j\}.$$

Then A_{ij} is defined by the vanishing of s linearly independent linear functionals $z \mapsto z_k^i - z_k^j$ where $1 \leq k \leq s$, and consequently A_{ij} is of codimension s in $(\mathbb{C}^s)^m$. Since

$$A = \bigcup_{i < j} (A_{ij} \cap (\mathbb{B}_s)^m),$$

it now follows that A is an analytic subset of codimension s in $(\mathbb{B}_s)^m$. Since the finite-to-one quotient map $\pi : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ is proper and holomorphic, by Remmert's Theorem, $\pi(A)$ is an analytic subset of $(\mathbb{B}_s)_{\text{Sym}}^m$. Since $\pi^{-1}(\pi(A)) = A$, it follows that $\pi|_A$ is a proper map $A \rightarrow \pi(A)$, and since π is also surjective, it is easy to see that we must have $\dim A = \dim \pi(A)$. Since $\dim((\mathbb{B}_s)^m) = \dim((\mathbb{B}_s)_{\text{Sym}}^m)$, it follows that $\pi(A)$ has the same codimension in $(\mathbb{B}_s)_{\text{Sym}}^m$ as A has in $(\mathbb{B}_s)^m$, which is s .

We note that the restricted map

$$\pi|_{(\mathbb{B}_s)^m \setminus A} : (\mathbb{B}_s)^m \setminus A \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A) \tag{3.1}$$

is still a proper holomorphic map, which is unbranched. Therefore $\pi|_{(\mathbb{B}_s)^m \setminus A}$ is a holomorphic covering. \square

We are now ready to prove Theorem 3.

Proof of Theorem 3. Let $f : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ be a proper holomorphic map and let A be as defined in Lemma 3.2. Since $\pi(A)$ is an analytic subset in $(\mathbb{B}_s)_{\text{Sym}}^m$, $(\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A)$ is an open, connected set.

Since a holomorphic covering is a local biholomorphism, we see from the covering map (3.1) that $(\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A)$ is an sm -dimensional complex manifold. Moreover, since $\pi(A)$ is an analytic subset of $(\mathbb{B}_s)_{\text{Sym}}^m$, we have that $(\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A)$ is connected and dense in $(\mathbb{B}_s)_{\text{Sym}}^m$. Since $\text{reg}((\mathbb{B}_s)_{\text{Sym}}^m)$ is an open subset of $(\mathbb{B}_s)_{\text{Sym}}^m$ containing $(\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A)$,

$\text{reg}((\mathbb{B}_s)_{\text{Sym}}^m)$ must be connected, and hence $(\mathbb{B}_s)_{\text{Sym}}^m$ is an irreducible analytic set, with $\dim((\mathbb{B}_s)_{\text{Sym}}^m) = \dim((\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A))$. Since f is a proper holomorphic map from $(\mathbb{B}_s)^m$, which is a manifold of dimension sm , to $(\mathbb{B}_s)_{\text{Sym}}^m$, which is an irreducible analytic set of dimension sm , by Lemma 3.1, f is surjective.

Clearly $f|_{f^{-1}(\pi(A))}$ is a proper holomorphic map from $f^{-1}(\pi(A))$, which is an analytic subset of $(\mathbb{B}_s)^m$, onto $\pi(A)$, and so by Lemma 3.1, $\dim(f^{-1}(\pi(A))) = \dim(\pi(A))$. Since we also have $\dim((\mathbb{B}_s)^m) = \dim((\mathbb{B}_s)_{\text{Sym}}^m) = sm$, and we know from Lemma 3.2 that $\pi(A)$ has codimension at least s , $f^{-1}(\pi(A))$ must have codimension at least s in $(\mathbb{B}_s)^m$.

We now recall the following well-known fact: *Let Z be a connected complex manifold without boundary, $Y \subset Z$ be an analytic subset, x a point in $Z \setminus Y$, and $i : Z \setminus Y \rightarrow Z$ the inclusion map. Then if the complex codimension of Y is at least 2, then the homomorphism of the fundamental groups*

$$i_* : \pi_1(Z \setminus Y, x) \rightarrow \pi_1(Z, x)$$

is an isomorphism. Essentially, this is a reflection of the fact that thanks to the sufficiently large codimension of Y , by a standard transversality argument, there is no problem in homotopically deforming a loop based at x to a loop based at x and not intersecting Y , and further, given two loops based at x homotopic in Z , there is no problem in homotopically deforming them to each other in $Z \setminus Y$. See [9, Théorème 2.3, page 146].

Let $U = (\mathbb{B}_s)^m \setminus f^{-1}(\pi(A))$. Since A and $f^{-1}(\pi(A))$ have complex codimension at least $s \geq 2$, both $(\mathbb{B}_s)^m \setminus A$ and U are simply-connected. Hence, $f|_U$ has a holomorphic lift $\tilde{f}|_U : U \rightarrow (\mathbb{B}_s)^m \setminus A$, where $f|_U = \pi \circ \tilde{f}|_U$. Since $\tilde{f}|_U$ is bounded on U and $f^{-1}(\pi(A))$ is an analytic set, by Riemann's Continuation Theorem $\tilde{f}|_U$ extends to a holomorphic function $\tilde{f} : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)^m$ with $f = \pi \circ \tilde{f}$.

$$\begin{array}{ccc} & (\mathbb{B}_s)^m \setminus A & \\ \tilde{f}|_U \nearrow & \downarrow \pi & \\ U & \xrightarrow{f|_U} & (\mathbb{B}_s)_{\text{Sym}}^m \setminus \pi(A) \end{array} \qquad \begin{array}{ccc} & (\mathbb{B}_s)^m & \\ \tilde{f} \nearrow & \downarrow \pi & \\ (\mathbb{B}_s)^m & \xrightarrow{f} & (\mathbb{B}_s)_{\text{Sym}}^m \end{array}$$

It remains to show that $\tilde{f} : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)^m$ is a proper map. Note that $f = \pi \circ \tilde{f}$ is a proper map, and f is proper. If \tilde{f} were not proper, one could find a sequence $\{z_n\}_{n=1}^{\infty}$ with no limit points in $(\mathbb{B}_s)^m$ such that $\tilde{f}(z_n) \rightarrow w \in (\mathbb{B}_s)^m$. But this composing with π , we see that f is not proper, which is a contradiction. Therefore \tilde{f} is proper. \square

4. PROOF OF THEOREM 2

Let $f : (\mathbb{B}_s)_{\text{Sym}}^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$ be a proper holomorphic map. Then, since π is proper and holomorphic, $h = f \circ \pi$ is a proper holomorphic map $(\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)_{\text{Sym}}^m$. By Theorem 3, h lifts to a proper holomorphic map $\tilde{h} : (\mathbb{B}_s)^m \rightarrow (\mathbb{B}_s)^m$ with $h = \pi \circ \tilde{h}$. By a classical application of the methods of Remmert and Stein (see [12, page 76]), we conclude that there exist proper holomorphic self-maps of the ball \mathbb{B}_s , \tilde{h}_i for $i = 1, \dots, m$ and a permutation σ of $\{1, 2, \dots, m\}$ such that \tilde{h} has the structure

$$\tilde{h}(\tau^1, \tau^2, \dots, \tau^m) = \left(\tilde{h}_1(\tau^{\sigma(1)}), \tilde{h}_2(\tau^{\sigma(2)}), \dots, \tilde{h}_m(\tau^{\sigma(m)}) \right).$$

We get the following commutative diagram:

$$\begin{array}{ccc}
 (\mathbb{B}_s)^m & \xrightarrow{\tilde{h}} & (\mathbb{B}_s)^m \\
 \pi \downarrow & \searrow h & \downarrow \pi \\
 (\mathbb{B}_s)_{\text{Sym}}^m & \xrightarrow{f} & (\mathbb{B}_s)_{\text{Sym}}^m
 \end{array}$$

Since $f \circ \pi = \pi \circ \tilde{h}$, and the left-hand side is invariant under the action of S_m on $(\tau^1, \tau^2, \dots, \tau^m)$, we must have

$$\langle \tilde{h}_1(\tau^{\sigma(1)}), \tilde{h}_2(\tau^{\sigma(2)}), \dots, \tilde{h}_m(\tau^{\sigma(m)}) \rangle = \langle \tilde{h}_1(\tau^1), \tilde{h}_2(\tau^2), \dots, \tilde{h}_m(\tau^m) \rangle \quad (4.1)$$

for every $(\tau^1, \tau^2, \dots, \tau^m) \in (\mathbb{B}_s)^m$ and every $\sigma \in S_m$. Such a relation cannot hold unless there is a self map g of \mathbb{B}_s such that for each $j = 1, \dots, m$, we have

$$\tilde{h}_j = g,$$

since otherwise we could choose a σ for which the two sides would be distinct. Now, since $f \circ \pi = h$, we have

$$\begin{aligned}
 f(\langle \tau^1, \tau^2, \dots, \tau^m \rangle) &= \langle g(\tau^1), g(\tau^2), \dots, g(\tau^m) \rangle \\
 &= g_{\text{Sym}}^m(\langle \tau^1, \tau^2, \dots, \tau^m \rangle)
 \end{aligned}$$

Since f is proper and $f = g_{\text{Sym}}^m$, it follows that g is a proper holomorphic self-map of the ball \mathbb{B}_s . Thanks to a classical result of Alexander (see [2], and also [13, page 316]), for $s \geq 2$, the only proper holomorphic self-mappings of \mathbb{B}_s are the automorphisms of \mathbb{B}_s , and it is known that the automorphisms are given by certain multi-dimensional fractional linear maps (see [13]). Hence, g is an automorphism of \mathbb{B}_s (of the form (1.2) and the proof is complete.

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