



Complex Analysis/Mathematical Analysis

Effective Cartan–Tanaka connections for \mathcal{C}^6 -smooth strongly pseudoconvex hypersurfaces $M^3 \subset \mathbb{C}^2$

Connections de Cartan–Tanaka effectives pour les hypersurfaces strictement pseudoconvexes $M^3 \subset \mathbb{C}^2$ de classe \mathcal{C}^6

Mansour Aghasi^a, Joël Merker^b, Masoud Sabzevari^a

^a Department of Mathematical Sciences, Isfahan University of Technology, Isfahan, Iran

^b Département de mathématiques d'Orsay, bâtiment 425, faculté des sciences, 91405 Orsay cedex, France

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ABSTRACT

Explicit Cartan–Tanaka curvatures, the vanishing of which characterizes sphericity, are provided in terms of the 6-th order jet of a graphing function for a \mathcal{C}^6 strongly pseudoconvex hypersurface $M^3 \subset \mathbb{C}^2$.

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R É S U M É

Des courbures de Cartan–Tanaka explicites, dont l'annulation identique caractérise la sphéricité, sont fournies en termes du jet d'ordre 6 d'une fonction graphante pour une hypersurface $M^3 \subset \mathbb{C}^2$ de classe \mathcal{C}^6 strictement pseudoconvexe.

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1. Cartan connection, curvature function and second cohomology of Lie algebras

Definition 1.1. (See [12,4].) Let G be a real Lie group with a closed subgroup H , and let \mathfrak{g} and \mathfrak{h} be the corresponding real Lie algebras. A *Cartan geometry of type (G, H)* on a \mathcal{C}^∞ manifold M is a principal H -bundle $\pi : \mathcal{P} \rightarrow M$ together with a \mathfrak{g} -valued 'Cartan connection' 1-form $\omega : T\mathcal{P} \rightarrow \mathfrak{g}$ satisfying:

- (i) $\omega_p : T_p\mathcal{P} \rightarrow \mathfrak{g}$ is an isomorphism at every $p \in \mathcal{P}$;
- (ii) if $R_h(p) := ph$ is the right translation on \mathcal{P} by an $h \in H$, then $R_h^*\omega = \text{Ad}(h^{-1}) \circ \omega$;
- (iii) $\omega(H^\dagger) = \mathfrak{h}$ for every $\mathfrak{h} \in \mathfrak{h}$, where $H^\dagger|_p := \frac{d}{dt}|_0 (R_{\exp(t\mathfrak{h})}(p))$ is the left-invariant vector field on \mathcal{P} associated to \mathfrak{h} .

Since the associated curvature 2-form $\Omega(X, Y) := d\omega(X, Y) + [\omega(X), \omega(Y)]_{\mathfrak{g}}$, with $X, Y \in \Gamma(T\mathcal{P})$, vanishes if either X or Y is vertical [12], Ω is fully represented by the *curvature function* $\kappa \in \mathcal{C}^\infty(\mathcal{P}, \Lambda^2(\mathfrak{g}^*/\mathfrak{h}^*) \otimes \mathfrak{g})$ which sends a point $p \in \mathcal{P}$ to the map $\kappa(p) : (\mathfrak{g}/\mathfrak{h}) \wedge (\mathfrak{g}/\mathfrak{h}) \rightarrow \mathfrak{g}$ defined by:

$$(\mathbf{x}' \bmod \mathfrak{h}) \wedge (\mathbf{x}'' \bmod \mathfrak{h}) \longmapsto -\Omega_p(\omega_p^{-1}(\mathbf{x}'), \omega_p^{-1}(\mathbf{x}'')) = -[\mathbf{x}', \mathbf{x}'']_{\mathfrak{g}} + \omega_p([\widehat{X}', \widehat{X}'']),$$

E-mail addresses: m.aghasi@cc.iut.ac.ir (M. Aghasi), merker@math.u-psud.fr (J. Merker), sabzevari@math.iut.ac.ir (M. Sabzevari).

where $\widehat{X} := \omega^{-1}(x)$ is the constant field on \mathcal{P} associated to an $x \in \mathfrak{g}$. Denote then $r := \dim_{\mathbb{R}} \mathfrak{g}$, $n := \dim_{\mathbb{R}}(\mathfrak{g}/\mathfrak{h})$ whence $n - r = \dim_{\mathbb{R}} \mathfrak{h}$ and suppose $r \geq 2$, $n \geq 1$, $n - r \geq 1$ so that \mathfrak{g} , $\mathfrak{g}/\mathfrak{h}$ and \mathfrak{h} are all nonzero. Picking an adapted basis $(x_k)_{1 \leq k \leq r}$ with $\mathfrak{g} = \text{Span}_{\mathbb{R}}(x_1, \dots, x_n, x_{n+1}, \dots, x_r)$ and $\mathfrak{h} = \text{Span}_{\mathbb{R}}(x_{n+1}, \dots, x_r)$, one may expand the curvature function by means of \mathbb{R} -valued components:

$$\kappa(p) = \sum_{1 \leq i_1 < i_2 \leq n} \sum_{k=1}^r \kappa_{i_1, i_2}^k(p) x_{i_1}^* \wedge x_{i_2}^* \otimes X_k.$$

Lemma 1.2. (See [2].) For any field $Y^\dagger = \frac{d}{dt}|_0 R_{\exp(ty)}$ on \mathcal{P} associated to an arbitrary $y \in \mathfrak{h}$, one has:

$$(Y^\dagger \kappa)(p)(x', x'') = -[y, \kappa(p)(x', x'')]_{\mathfrak{g}} + \kappa(p)([y, x']_{\mathfrak{g}}, x'') + \kappa(p)(x', [y, x'']_{\mathfrak{g}}).$$

For any $k \in \mathbb{N}$, consider k -cochains $\mathcal{C}^k := \Lambda^k(\mathfrak{g}^*/\mathfrak{h}^*) \otimes \mathfrak{g}$ and define the differential $\partial^k : \mathcal{C}^k \rightarrow \mathcal{C}^{k+1}$ by:

$$\begin{aligned} (\partial^k \Phi)(z_0, z_1, \dots, z_k) &:= \sum_{i=0}^k (-1)^i [z_i, \Phi(z_0, \dots, \hat{z}_i, \dots, z_k)]_{\mathfrak{g}} \\ &\quad + \sum_{0 \leq i < j \leq k} (-1)^{i+j} \Phi([z_i, z_j]_{\mathfrak{g}}, z_0, \dots, \hat{z}_i, \dots, \hat{z}_j, \dots, z_k). \end{aligned}$$

Especially for $k = 2$, the cohomology spaces $\mathcal{H}^k := \ker(\partial^k)/\text{im}(\partial^{k-1})$ encode deformations of Lie algebras and are useful for Cartan connections [13,4,6], cf. [1] for an algorithm using Gröbner bases.

Lemma 1.3. (Bianchi identity [4,6,2].) For any three $x', x'', x''' \in \mathfrak{g}$, one has at every point $p \in \mathcal{P}$:

$$0 = (\partial^2 \kappa)(p)(x', x'', x''') + \sum_{\text{cycl}} \kappa(p)(\kappa(p)(x', x''), x''') + \sum_{\text{cycl}} (\widehat{X}^i(\kappa))(p)(x'', x''').$$

When $\mathfrak{g} = \mathfrak{g}_{-\mu} \oplus \dots \oplus \mathfrak{g}_{-1} \oplus \mathfrak{g}_0 \oplus \mathfrak{g}_1 \oplus \dots \oplus \mathfrak{g}_\nu$ is graded as in Tanaka’s theory, with $[\mathfrak{g}_{\lambda_1}, \mathfrak{g}_{\lambda_2}]_{\mathfrak{g}} \subset \mathfrak{g}_{\lambda_1 + \lambda_2}$ for any $\lambda_1, \lambda_2 \in \mathbb{Z}$ and when $\mathfrak{h} = \mathfrak{g}_0 \oplus \mathfrak{g}_1 \oplus \dots \oplus \mathfrak{g}_\nu$, cochains enjoy a natural grading, the second cohomology is graded too: $\mathcal{H}^2 = \bigoplus_{h \in \mathbb{Z}} \mathcal{H}_{[h]}^2$, and the graded Bianchi identities [6,2]:

$$\partial_{[h]}^2(\kappa_{[h]}) (x', x'', x''') = - \sum_{\text{cycl}} \sum_{h'=1}^{h-1} (\kappa_{[h-h']})(\text{proj}_{\mathfrak{g}/\mathfrak{h}}(\kappa_{[h']}(x', x'')), x''') - \sum_{\text{cycl}} (\widehat{X}^i \kappa_{[h+|x'|]}) (x'', x''')$$

show that the lowest order nonvanishing curvature must be ∂ -closed, and more generally, any homogeneous curvature component is determined by the lower components up to a ∂ -closed component.

2. Geometry-preserving deformations of the Heisenberg sphere $\mathbb{H}^3 \subset \mathbb{C}^2$

Let now $M^3 \subset \mathbb{C}^2$ be a local strongly pseudoconvex \mathcal{C}^6 -smooth real 3-dimensional hypersurface, represented in coordinates $(z, w) = (x + iy, u + iv)$ as the graph (for background, see [7–11]):

$$v = \varphi(x, y, u) = x^2 + y^2 + O(3)$$

of a certain real-valued \mathcal{C}^6 function φ defined in a neighborhood of the origin in \mathbb{R}^3 . Its complex tangent bundle $T^c M = \text{Re } T^{0,1} M$ is generated by the two vector fields:

$$H_1 := \frac{\partial}{\partial x} + \left(\frac{\varphi_y - \varphi_x \varphi_u}{1 + \varphi_u^2} \right) \frac{\partial}{\partial u} \quad \text{and} \quad H_2 := \frac{\partial}{\partial y} + \left(\frac{-\varphi_x - \varphi_y \varphi_u}{1 + \varphi_u^2} \right) \frac{\partial}{\partial u},$$

which make a frame joint with the third, Levi form-type Lie-bracket:

$$\begin{aligned} T := \frac{1}{4} [H_1, H_2] &= \left(\frac{1}{4} \frac{1}{(1 + \varphi_u^2)^2} \{ -\varphi_{xx} - \varphi_{yy} - 2\varphi_y \varphi_{xu} - \varphi_x^2 \varphi_{uu} + 2\varphi_x \varphi_{yu} - \varphi_y^2 \varphi_{uu} \right. \\ &\quad \left. + 2\varphi_y \varphi_u \varphi_{yu} + 2\varphi_x \varphi_u \varphi_{xu} - \varphi_u^2 \varphi_{xx} - \varphi_u^2 \varphi_{yy} \} \right) \frac{\partial}{\partial u}. \end{aligned}$$

Such M^3 ’s are geometry-preserving deformations of the Heisenberg sphere $\mathbb{H}^3: v = x^2 + y^2$. It is known that the Lie algebra $\mathfrak{h}_0(\mathbb{H}^3) := \{X = Z(z, w) \frac{\partial}{\partial z} + W(z, w) \frac{\partial}{\partial w} : X + \bar{X} \text{ tangent to } \mathbb{H}^3\}$ of infinitesimal CR automorphisms of the Heisenberg sphere \mathbb{H}^3 in \mathbb{C}^2 is 8-dimensional and generated by:

$$\begin{aligned} T &:= \partial_w, & H_1 &:= \partial_z + 2iz\partial_w, & H_2 &:= i\partial_z + 2z\partial_w, & D &:= z\partial_z + 2w\partial_w, & R &:= iz\partial_z, \\ l_1 &:= (w + 2iz^2)\partial_z + 2izw\partial_w, & l_2 &:= (iw + 2z^2)\partial_z + 2zw, & J &:= zw\partial_z + w^2\partial_w. \end{aligned}$$

Recently, Ezhov, McLaughlin and Schmalz published in the *Notices of the AMS* an expository article [6] in which they reconstruct – within Tanaka’s framework and assuming that M is \mathcal{C}^ω – Cartan’s connection [5] valued the eight-dimensional abstract real Lie algebra:

$$\mathfrak{g} := \mathbb{R}t \oplus \mathbb{R}h_1 \oplus \mathbb{R}h_2 \oplus \mathbb{R}d \oplus \mathbb{R}r \oplus \mathbb{R}i_1 \oplus \mathbb{R}i_2 \oplus \mathbb{R}j \quad (\text{with } \mathfrak{h} := \mathbb{R}d \oplus \mathbb{R}r \oplus \mathbb{R}i_1 \oplus \mathbb{R}i_2 \oplus \mathbb{R}j)$$

spanned by some eight abstract vectors enjoying the same commutator table as T, \dots, J (cf. also [3] for a similar approach). A natural Tanaka grading is: $\mathfrak{g}_{-2} = \mathbb{R}t$; $\mathfrak{g}_{-1} = \mathbb{R}h_1 \oplus \mathbb{R}h_2$; $\mathfrak{g}_0 = \mathbb{R}d \oplus \mathbb{R}r$; $\mathfrak{g}_1 = \mathbb{R}i_1 \oplus \mathbb{R}i_2$; $\mathfrak{g}_2 = \mathbb{R}j$. By performing the above choice $\{H_1, H_2, T\}$ of an initial frame for TM which is explicit in terms of the graphing function $\varphi(x, y, u)$, we deviate from the initial normalization made in [6] (with a more geometric-minded approach), since our computational objective is to provide a Cartan–Tanaka connection all elements of which are completely effective in terms of $\varphi(x, y, u)$ – assuming only \mathcal{C}^6 -smoothness of M .

Call Υ the numerator of $T = \frac{1}{4}[H_1, H_2] = \frac{1}{4} \frac{\Upsilon}{\Delta^2} \frac{\partial}{\partial u}$, allow the two notational coincidences: $x_1 \equiv x, x_2 \equiv y$; introduce the two length-three brackets:

$$[H_i, T] = \frac{1}{4}[H_i, [H_1, H_2]] =: \Phi_i T \quad (i = 1, 2),$$

which are both multiples of T by means of two functions $\Phi_i := \frac{A_i}{\Delta^2 \Upsilon}$; lastly, introduce furthermore the H_k -iterated derivatives of the functions Φ_i up to order 3, where $i, k_1, k_2, k_3 = 1, 2$:

$$H_{k_1}(\Phi_i) = \frac{A_{i,k_1}}{\Delta^4 \Upsilon^2}, \quad H_{k_2}(H_{k_1}(\Phi_i)) = \frac{A_{i,k_1,k_2}}{\Delta^6 \Upsilon^3}, \quad H_{k_3}(H_{k_2}(H_{k_1}(\Phi_i))) = \frac{A_{i,k_1,k_2,k_3}}{\Delta^8 \Upsilon^4}.$$

Proposition 2.1. (See [2].) All the numerators appearing above are explicitly given by:

$$\begin{aligned} A_i &:= \Delta^2 \Upsilon_{x_i} + \Delta(-2\Delta_{x_i} \Upsilon + \Lambda_i \Upsilon_u - \Upsilon \Lambda_{i,u}) - \Lambda_i \Upsilon \Delta_u, \\ A_{i,k_1} &:= \Delta^2(\Upsilon A_{i,x_{k_1}} - \Upsilon_{x_{k_1}} A_i) + \Delta(-2\Delta_{x_{k_1}} \Upsilon A_i + \Upsilon \Lambda_{k_1} A_{i,u} - \Upsilon_u \Lambda_{k_1} A_i) - 2\Delta_u \Upsilon \Lambda_{k_1} A_i, \\ A_{i,k_1,k_2} &:= \Delta^2(\Upsilon A_{i,k_1,x_{k_2}} - 2\Upsilon_{x_{k_2}} A_{i,k_1}) + \Delta(-3\Delta_{x_{k_2}} \Upsilon A_{i,k_1} + \Upsilon \Lambda_{k_2} A_{i,k_1,u} - 2\Upsilon_u \Lambda_{k_2} A_{i,k_1}) - 3\Delta_u \Upsilon \Lambda_{k_2} A_{i,k_1}, \\ A_{i,k_1,k_2,k_3} &:= \Delta^2(\Upsilon A_{i,k_1,k_2,x_{k_3}} - \Upsilon_{x_{k_3}} A_{i,k_1,k_2}) + \Delta(-6\Delta_{x_{k_3}} \Upsilon A_{i,k_1,k_2} + \Upsilon \Lambda_{k_3} A_{i,k_1,k_2,u} \\ &\quad - 3\Upsilon_u \Lambda_{k_3} A_{i,k_1,k_2}) - 6\Delta_u \Upsilon \Lambda_{k_3} A_{i,k_1,k_2}. \end{aligned}$$

Furthermore, these iterated derivatives identically satisfy $H_2(\Phi_1) \equiv H_1(\Phi_2)$ and:

$$\begin{aligned} 0 &\equiv -H_1(H_2(H_1(\Phi_2))) + 2H_2(H_1(H_1(\Phi_2))) - H_2(H_2(H_1(\Phi_1))) - \Phi_2 H_1(H_2(\Phi_1)) + \Phi_2 H_2(H_1(\Phi_1)), \\ 0 &\equiv -H_2(H_1(H_1(\Phi_2))) + 2H_1(H_2(H_1(\Phi_2))) - H_1(H_1(H_2(\Phi_2))) - \Phi_1 H_2(H_1(\Phi_2)) + \Phi_1 H_1(H_2(\Phi_2)), \\ 0 &\equiv -H_1(H_1(H_1(\Phi_2))) + 2H_1(H_2(H_1(\Phi_1))) - H_2(H_1(H_1(\Phi_1))) + \Phi_1 H_1(H_1(\Phi_2)) - \Phi_1 H_2(H_1(\Phi_1)), \\ 0 &\equiv -H_2(H_2(H_1(\Phi_2))) + 2H_2(H_1(H_2(\Phi_2))) - H_1(H_2(H_2(\Phi_2))) + \Phi_2 H_2(H_1(\Phi_2)) - \Phi_2 H_1(H_2(\Phi_2)). \end{aligned}$$

3. Explicit Cartan–Tanaka connection

Theorem 3.1. (See [2].) Associated to such an $M^3 \subset \mathbb{C}^2$, there is a unique \mathfrak{g} -valued Cartan connection which is normal and regular in the sense of Tanaka. Its curvature function reduces to:

$$\begin{aligned} \kappa(p) &= \kappa_{i_1}^{h_1 t}(p) h_1^* \wedge t^* \otimes i_1 + \kappa_{i_2}^{h_1 t}(p) h_1^* \wedge t^* \otimes i_2 + \kappa_{i_1}^{h_2 t}(p) h_2^* \wedge t^* \otimes i_1 \\ &\quad + \kappa_{i_2}^{h_2 t}(p) h_2^* \wedge t^* \otimes i_2 + \kappa_j^{h_1 t}(p) h_1^* \wedge t^* \otimes j + \kappa_j^{h_2 t}(p) h_2^* \wedge t^* \otimes j, \end{aligned}$$

where the two main curvature coefficients, having homogeneity 4, are of the form:

$$\kappa_{i_1}^{h_1 t}(p) = -\Delta_1 c^4 - 2\Delta_4 c^3 d - 2\Delta_4 c d^3 + \Delta_1 d^4 \quad \text{and} \quad \kappa_{i_2}^{h_1 t}(p) = -\Delta_4 c^4 + 2\Delta_1 c^3 d + 2\Delta_1 c d^3 + \Delta_4 d^4,$$

in which the two functions Δ_1 and Δ_4 of only the three variables (x, y, u) are explicitly given by:

$$\begin{aligned} \Delta_1 = & \frac{1}{384} [H_1(H_1(H_1(\Phi_1))) - H_2(H_2(H_2(\Phi_2))) + 11H_1(H_2(H_1(\Phi_2))) - 11H_2(H_1(H_2(\Phi_1))) \\ & + 6\Phi_2 H_2(H_1(\Phi_1)) - 6\Phi_1 H_1(H_2(\Phi_2)) - 3\Phi_2 H_1(H_1(\Phi_2)) + 3\Phi_1 H_2(H_2(\Phi_1)) \\ & - 3\Phi_1 H_1(H_1(\Phi_1)) + 3\Phi_2 H_2(H_2(\Phi_2)) - 2\Phi_1 H_1(\Phi_1) + 2\Phi_2 H_2(\Phi_2) \\ & - 2(\Phi_2)^2 H_1(\Phi_1) + 2(\Phi_1)^2 H_2(\Phi_2) - 2(\Phi_2)^2 H_2(\Phi_2) + 2(\Phi_1)^2 H_1(\Phi_1)], \end{aligned}$$

$$\begin{aligned} \Delta_4 = & \frac{1}{384} [-3H_2(H_1(H_2(\Phi_2))) - 3H_1(H_2(H_1(\Phi_1))) + 5H_1(H_2(H_2(\Phi_2))) + 5H_2(H_1(H_1(\Phi_1))) \\ & + 4\Phi_1 H_1(H_1(\Phi_2)) + 4\Phi_2 H_2(H_1(\Phi_2)) - 3\Phi_2 H_1(H_1(\Phi_1)) - 3\Phi_1 H_2(H_2(\Phi_2)) \\ & - 7\Phi_2 H_1(H_2(\Phi_2)) - 7\Phi_1 H_2(H_1(\Phi_1)) - 2H_1(\Phi_1)H_1(\Phi_2) - 2H_2(\Phi_2)H_2(\Phi_1) \\ & + 4\Phi_1 \Phi_2 H_1(\Phi_1) + 4\Phi_1 \Phi_2 H_2(\Phi_2)], \end{aligned}$$

and where the remaining four secondary curvature coefficients are given by:

$$\kappa_{i_1}^{h_2t} = \kappa_{i_2}^{h_1t}, \quad \kappa_{i_2}^{h_2t} = -\kappa_{i_1}^{h_1t}, \quad \kappa_j^{h_1t} = \widehat{H}_1(\kappa_{i_2}^{h_2t}) - \widehat{H}_2(\kappa_{i_2}^{h_1t}), \quad \kappa_j^{h_2t} = -\widehat{H}_1(\kappa_{i_1}^{h_2t}) + \widehat{H}_2(\kappa_{i_1}^{h_1t}).$$

Corollary 3.2. A \mathcal{C}^ω -smooth strongly pseudoconvex local hypersurface $M^3 \subset \mathbb{C}^2$ is biholomorphic to \mathbb{H}^3 , namely is spherical, if and only if $0 \equiv \Delta_1 \equiv \Delta_4$, identically as functions of (x, y, u) .

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