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**SPECTRAL SETS AS BANACH MANIFOLDS**

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## SPECTRAL SETS AS BANACH MANIFOLDS

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Let  $A$  be a commutative Banach algebra,  $X$  its spectrum, and  $M$  a closed analytic submanifold of an open set in  $C^n$ . We may consider the set of germs of holomorphic functions from  $X$  to  $M$ ,  $\mathcal{O}(X, M)$ . Now let  $\nu$  be the functional calculus homomorphism from  $\mathcal{O}(X, C^n)$  to  $A^n$ , and  $A_M = \nu(\mathcal{O}(X, M))$ .

It is proven that  $A_M$  is an analytic submanifold of  $A^n$ , modeled on projective  $A$ -modules of rank =  $\dim M$ .

**1. Introduction.** Let  $A$  be a commutative complex Banach algebra with identity, and let  $X$  be the set of all characters of  $A$ , considered as a compact subset of the topological dual  $A'$  with the weak\*-topology.

If  $U$  is an open neighborhood of  $X$ , and  $B$  a complex Banach space a map  $f: U \rightarrow B$  will be called holomorphic if it is locally bounded and all its complex directional derivatives exist. The set of all such functions which are also bounded on  $U$  will be denoted by  $H^\infty(U, B)$ , or simply  $H^\infty(U)$ , when  $B$  is the complex field. These are locally convex spaces with the topology of uniform convergence. We define  $\mathcal{O}(X, B)$  and  $\mathcal{O}(X)$  to be the inductive limit of these spaces as  $U$  ranges over all open neighborhoods of  $X$ .  $\mathcal{O}(X)$  is then a topological algebra. We recall (see [2] or [7]) that there exists a continuous algebra epimorphism, the holomorphic functional calculus

$$\nu: \mathcal{O}(X) \rightarrow A$$

such that: the composition of  $\nu$  and the Gelfand map

$$\mathcal{O}(X) \rightarrow A \rightarrow C(X)$$

is the restriction map  $f \mapsto f|_X$ , and the composition of the linear map  $a \mapsto \tilde{a}$  and  $\nu$

$$A \rightarrow \mathcal{O}(X) \rightarrow A$$

is the identity map of  $A$ . Here  $\tilde{a}$  denotes the germ of the holomorphic map defined on  $A'$  by  $\gamma \mapsto \gamma(a)$ .

In [6], Raeburn has generalized previous results of Taylor and Novodvorskii ([7], [5]). He uses a generalization of the morphism  $\nu$ , extending the holomorphic functional calculus to a linear map

$$S: \mathcal{O}(X, B) \rightarrow A \hat{\otimes} B.$$

If  $M \subset B$  denotes a Banach submanifold,  $\mathcal{O}(X, M)$  is defined and so is the set

$$A_M = \{S(f): f \in \mathcal{O}(X, M)\} \subset A \hat{\otimes} B.$$

Raeburn shows that if  $M$  is a discrete union of Banach homogeneous spaces the set  $A_M$  is locally path connected and the generalized Gelfand map

$$A_M \rightarrow C(X, M)$$

induces a bijection on the set of components

$$[A_M] \xrightarrow{\cong} [X, M].$$

In this note, in §3, we take  $B = \mathbf{C}^n$  and  $M$  a closed submanifold of an open set of  $\mathbf{C}^n$ , and prove that the set  $A_M$  is in fact an analytic submanifold of  $A^n$ . This was first stated by Taylor in [8].  $A_M$  is modeled on projective  $A$ -modules of rank =  $\dim M$ . We also prove that  $A_M$  and  $A^M = \{a \in A^n: \text{sp}(a) \subset M\}$  have the same homotopy type. Note that with  $B = \mathbf{C}^n$ , we have  $S = \nu \times \cdots \times \nu$  and  $A \hat{\otimes} B = A^n$ .

In order to do this we first prove in §2 a version of the constant rank theorem.

**2. The constant rank theorem.** In this paragraph we give a version of the constant rank theorem valid for  $A$ -modules; the whole paragraph is an adaptation of the results in [4].

We will be dealing with submodules of the free module  $A^n$ , and  $A$ -module morphisms  $T: A^n \rightarrow A^m$ . A submodule  $E$  of  $A^n$  will be called *A-direct* if it is closed and there is another closed submodule  $E'$  of  $A^n$  such that  $A^n = E \oplus E'$ ; obviously, this is equivalent to the fact:  $E = \text{Ker } p$  (resp:  $E = \text{Im } p$ ), for some continuous  $A$ -linear projector  $p: A^n \rightarrow A^n$ .

Note that in this case  $E$  is a projective module, but not necessarily free.

If  $T: A^n \rightarrow A^m$  is an  $A$ -module morphism, we say that  $T$  is *A-direct* (also called “*split*”) if  $\text{Ker } T$  and  $\text{Im } T$  are  $A$ -direct.

Assume that

$$A^n = E_1 \oplus E_2, \quad F_1 \oplus F_2 = A^m$$

for some closed submodules  $E_1, E_2, F_1, F_2$ ; if  $T: A^n \rightarrow A^m$  is an  $A$ -morphism we shall use the notation

$$T = \begin{bmatrix} T_{11} & T_{12} \\ T_{21} & T_{22} \end{bmatrix}; \begin{bmatrix} E_1 \\ E_2 \end{bmatrix} \rightarrow \begin{bmatrix} F_1 \\ F_2 \end{bmatrix}$$

with  $T_{ij} \in \text{Hom}_A(E_j, F_i)$  ( $i, j = 1, 2$ ), meaning that if

$$x = x_1 + x_2 \quad (x_1 \in E_1, x_2 \in E_2),$$

then

$$T(x) = [T_{11}(x_1) + T_{12}(x_2)] + [T_{21}(x_1) + T_{22}(x_2)]$$

is the expression of  $T(x)$  as a sum of elements in  $F_1$  and  $F_2$ .

We shall need the following elementary lemma, which we state without proof.

**LEMMA 2.1.** *Let  $P_1, P_2$  be  $A$ -direct submodules of  $A^n$  of the same rank. Then  $P_1 \subset P_2$  implies  $P_1 = P_2$ .*

**THEOREM 1.** *Suppose  $T_0: A^n \rightarrow A^m$  is an  $A$ -direct morphism and let  $E_1$  and  $F_2$  be closed submodules of  $A^n$  and  $A^m$  respectively such that*

$$A^n = E_1 \oplus \text{Ker } T_0, \quad \text{Im } T_0 \oplus F_2 = A^m$$

If

$$T = \begin{bmatrix} \alpha & \beta \\ \gamma & \delta \end{bmatrix}; \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}$$

then the following are equivalent

- (i)  $T$  is  $A$ -direct,  $A^n = E_1 \oplus \text{Ker } T$  and  $A^m = \text{Im } T \oplus F_2$ .
- (ii)  $\alpha \in \text{Iso}(E_1, \text{Im } T_0)$  and  $\delta = \gamma\alpha^{-1}\beta$ .
- (iii) There exist  $A$ -linear automorphisms  $u: A^n \rightarrow A^n, v: A^m \rightarrow A^m$  such that  $T_0 = vTu$  and

$$u|_{E_1} = \text{id}_{E_1} \quad v|_{F_2} = \text{id}_{F_2}.$$

- (iv)  $T$  is  $A$ -direct,  $\alpha \in \text{Iso}(E_1, \text{Im } T_0)$  and  $\text{rk}(\text{Im } T_0) = \text{rk}(\text{Im } T)$ .

*Proof:* Suppose (i) and consider the diagram

$$\begin{array}{ccc} E_1 \times \text{Ker } T & \xrightarrow{w} & \text{Im } T \times F_2 \\ \phi \uparrow & & \downarrow \psi \\ A^n = E_1 \oplus \text{Ker } T_0 & \xrightarrow{T} & \text{Im } T_0 \oplus F_2 = A^m \end{array}$$

where  $\phi$  is the isomorphism  $v \rightarrow (v_1, v_2)$ ; here  $v_1$  (resp:  $v_2$ ) is the projection of  $v$  onto  $E_1$  (resp:  $\text{Ker } T$ ) with kernel  $\text{Ker } T$  (resp.  $E_1$ ). We define  $\psi$

in a similar way. Then we have

$$\phi = \begin{bmatrix} 1 & \tau \\ 0 & \theta \end{bmatrix} : \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix} \rightarrow \begin{bmatrix} E_1 \\ \text{Ker } T \end{bmatrix}$$

and

$$\psi = \begin{bmatrix} \mu & 0 \\ \nu & 1 \end{bmatrix} : \begin{bmatrix} \text{Im } T \\ F_2 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}$$

with  $\tau \in \text{Hom}_A(\text{Ker } T_0, E_1)$ ,  $\nu \in \text{Hom}_A(\text{Im } T, F_2)$  and  $\theta \in \text{Iso}_A(\text{Ker } T_0, \text{Ker } T)$ ,  $\mu \in \text{Iso}_A(\text{Im } T, \text{Im } T_0)$ . On the other hand we also have

$$w = \begin{bmatrix} \lambda & 0 \\ 0 & 0 \end{bmatrix} : \begin{bmatrix} E_1 \\ \text{Ker } T \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T \\ F_2 \end{bmatrix}$$

with  $\lambda \in \text{Iso}_A(E_1, \text{Im } T)$ .

The commutativity of the diagram implies

$$\begin{bmatrix} \mu & 0 \\ \nu & 1 \end{bmatrix} \begin{bmatrix} \lambda & 0 \\ 0 & 0 \end{bmatrix} \begin{bmatrix} 1 & \tau \\ 0 & \theta \end{bmatrix} = \begin{bmatrix} \alpha & \beta \\ \gamma & \delta \end{bmatrix},$$

hence  $\mu\lambda = \alpha$  (which implies that  $\alpha$  is an isomorphism) and  $\delta = \nu\lambda\tau = \nu\lambda(\lambda^{-1}\mu^{-1})\mu\lambda\tau = \gamma\alpha^{-1}\beta$ , and we have (ii). Now assume (ii): if

$$T_0 = \begin{bmatrix} \lambda & 0 \\ 0 & 0 \end{bmatrix} : \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}$$

with  $\lambda \in \text{Iso}_A(E_1, \text{Im } T_0)$  we define

$$u = \begin{bmatrix} 1 & -\alpha^{-1}\beta \\ 0 & 1 \end{bmatrix} : \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix} \rightarrow \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix}$$

and

$$v = \begin{bmatrix} \lambda\alpha^{-1} & 0 \\ -\gamma\alpha^{-1} & 1 \end{bmatrix} : \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}$$

and a routine calculation gives (iii).

Now suppose we have (iv) and define the automorphism  $S: A^m \rightarrow A^m$  by

$$S = \begin{bmatrix} 1 & 0 \\ -\gamma\alpha^{-1} & 1 \end{bmatrix} : \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}.$$

Then we have the composition

$$T' = ST = \begin{bmatrix} \alpha & \beta \\ 0 & \delta - \gamma\alpha^{-1}\beta \end{bmatrix} : \begin{bmatrix} E_1 \\ \text{Ker } T_0 \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } T_0 \\ F_2 \end{bmatrix}$$

which is also  $A$ -direct. Note that  $\text{Im}(T') = S(\text{Im } T)$ , hence  $\text{Im}(T')$  and  $\text{Im}(T)$  have the same rank; from this it follows that  $\text{rk}(\text{Im } T') = \text{rk}(\text{Im } T_0)$ .

But  $\text{Im}(T') \supset \alpha(E_1) = \text{Im}(T_0)$ ; Lemma 2.1 gives  $\text{Im}(T') = \text{Im}(T_0)$  and this fact implies  $\delta - \gamma\alpha^{-1}\beta = 0$ . This proves (ii)

(iii)  $\Rightarrow$  (i) is simple; in fact, it is obvious that  $T$  is  $A$ -direct. It is also clear that  $u(\text{Ker } T_0) = \text{Ker } T$ , hence

$$\begin{aligned} A^m &= v^{-1}(\text{Im } T_0 \oplus F_2) = v^{-1}(\text{Im } T_0) \oplus v^{-1}(F_2) \\ &= v^{-1}T_0(A^n) \oplus F_2 = Tu(A^n) \oplus F_2 = \text{Im } T \oplus F_2, \\ A^n &= u(\text{Ker } T_0 \oplus E_1) = u(\text{Ker } T_0) \oplus E_1 = \text{Ker } T \oplus E_1. \end{aligned}$$

In order to complete the proof, we only need the inference (i)  $\Rightarrow$  (iv):  $\alpha \in \text{Iso}(E_1, \text{Im } T_0)$  as in (i)  $\Rightarrow$  (ii). The rest is obvious, so the proof is complete.

We shall be concerned now with a generalization of the results in §1 of [6], we shall follow the definitions of this reference.

Let  $\Omega$  be an open set in  $A^n$ ,  $F: \Omega \rightarrow A^m$  an holomorphic map, and  $a \in \Omega$ ; we denote the differential of  $F$  at  $a$  by  $DF(a)$ .

A linear representation of  $F$  in  $a$  is an object  $(u, U, v, V, T)$  where

(i)  $U$  is a neighborhood of  $0 \in A^n$ ,  $u$  is biholomorphic from  $U$  onto  $u(U)$ , a neighborhood of  $a$  contained in  $\Omega$ , and  $u(0) = a$ .

(ii)  $V$  is a neighborhood of  $0 \in A^m$ ,  $v$  is biholomorphic from  $V$  onto  $v(V)$ , a neighborhood of  $F(a)$  and  $v(0) = F(a)$

(iii)  $T: U \rightarrow A^m$  is the restriction of an  $A$ -linear map, and  $v^{-1}Fu = T$ .

(iv)  $Du(x)$  and  $Dv(y)$  are  $A$ -linear maps if  $x \in U, y \in V$ .

We will say that the holomorphic map  $F: \Omega \rightarrow A^m$  is *locally  $A$ -direct* at  $a \in \Omega$  if there are closed sub-modules  $E_1 \subset A^n, F_2 \subset A^m$  and a neighborhood  $U$  of  $a$  such that, for all  $x \in U$ ,

(i)  $DF(x)$  is  $A$ -linear

(ii)  $A^n = E_1 \oplus \text{Ker } DF(x)$

(iii)  $A^m = \text{Im } DF(x) \oplus F_2$ .

We have now the following:

LEMMA 2.2. *Let  $\Omega$  be an open set in  $A^n$ ,  $F: \Omega \rightarrow A^m$  holomorphic and  $a \in \Omega$ . If  $F$  is locally  $A$ -direct at  $a$ , then there is a linear representation  $(u, U, v, V, T)$  of  $F$  in  $a$ , with  $T$   $A$ -direct.*

*Proof.* Without loss of generality we can assume that  $a = 0$  and  $F(a) = 0$ ; then there exist a neighborhood  $\Omega_0 \subset \Omega$  of  $0 \in A^n$  and closed submodules  $E_1 \subset A^n$ ,  $F_2 \subset A^m$  such that

$$A^n = E_1 \oplus \text{Ker } DF(x), \quad A^m = \text{Im } DF(x) \oplus F_2$$

for all  $x \in \Omega_0$ . Also,  $DF(x)$  is  $A$ -linear if  $x \in \Omega_0$ .

Let  $E_2 = \text{Ker } DF(0)$ ,  $F_1 = \text{Im } DF(0)$ ; we denote  $x_1, x_2$  (resp:  $y_1, y_2$ ) the components of  $x \in A^n$  (resp:  $y \in A^m$ ) in the decomposition  $E_1 \oplus E_2$  (resp:  $F_1 \oplus F_2$ ). In a similar way we write  $F(x) = f_1(x) + f_2(x)$ , with  $f_1(x) \in F_1$  and  $f_2(x) \in F_2$ .

We have

$$DF(x) = \begin{bmatrix} D_1 f_1(x) & D_2 f_1(x) \\ D_1 f_2(x) & D_2 f_2(x) \end{bmatrix} : \begin{bmatrix} E_1 \\ E_2 \end{bmatrix} \rightarrow \begin{bmatrix} F_1 \\ F_2 \end{bmatrix}$$

and so we can simplify the notation writing  $\alpha_{ij}(x) = D_i f_j(x)$  ( $i, j = 1, 2$ ).

Recall that Theorem 1 gives

- (a)  $\alpha_{11}(x): E_1 \rightarrow F_1$  is an isomorphism, and
- (b)  $\alpha_{22}(x) = \alpha_{12}(x)\alpha_{11}(x)^{-1}\alpha_{21}(x)$  for all  $x \in \Omega_0$ .

Define the following  $A$ -linear maps

$$\begin{aligned} S: E_1 &\rightarrow F_1, & S &= \alpha_{11}(0), \\ T: A^n &\rightarrow A^m, & T(x) &= S(x_1), \\ c: A^m &\rightarrow A^n, & c(y) &= S^{-1}(y_1), \\ P: A^n &\rightarrow A^n, & P(x) &= x_2, \\ Q: A^m &\rightarrow A^m, & Q(y) &= y_2. \end{aligned}$$

Now define the holomorphic map  $h: \Omega_0 \rightarrow A^n$  by

$$h = cF + P.$$

We have:  $Dh(x)$  is an  $A$ -linear map if  $x \in \Omega_0$ . In fact,

$$\begin{aligned} Dh(x) &= \begin{bmatrix} S^{-1} & 0 \\ 0 & 0 \end{bmatrix} \begin{bmatrix} \alpha_{11}(x) & \alpha_{21}(x) \\ \alpha_{12}(x) & \alpha_{22}(x) \end{bmatrix} + \begin{bmatrix} 0 & 0 \\ 0 & 1 \end{bmatrix} \\ &= \begin{bmatrix} S^{-1}\alpha_{11}(x) & S^{-1}\alpha_{21}(x) \\ 0 & 1 \end{bmatrix}, \end{aligned}$$

hence by the inverse function theorem  $h: \Omega_1 \rightarrow \Omega_2$  is biholomorphic for suitable neighborhoods of  $0 \in A^n$ .

Note that the differential of the map  $Fh^{-1}P: P^{-1}(\Omega_2) \rightarrow A^m$  vanishes identically, that is

$$D(Fh^{-1}P)(x) = 0 \quad (x \in P^{-1}(\Omega_2)).$$

In fact we can compute this differential as the composition  $DF(h^{-1}P(x))Dh(h^{-1}P(x))^{-1}P$ ; the calculation leads (with  $x' = h^{-1}P(x)$ ) to

$$\begin{aligned} & \begin{bmatrix} \alpha_{11}(x') & \alpha_{21}(x') \\ \alpha_{12}(x') & \alpha_{22}(x') \end{bmatrix} \begin{bmatrix} \alpha_{11}(x')^{-1}S & -\alpha_{11}(x')^{-1}\alpha_{21}(x) \\ 0 & 1 \end{bmatrix} \begin{bmatrix} 0 & 0 \\ 0 & 1 \end{bmatrix} \\ &= \begin{bmatrix} S & 0 \\ \alpha_{12}(x')\alpha_{11}(x')^{-1}S & 0 \end{bmatrix} \begin{bmatrix} 0 & 0 \\ 0 & 1 \end{bmatrix} = 0, \end{aligned}$$

where we use the identity  $\alpha_{22} = \alpha_{12}\alpha_{11}^{-1}\alpha_{21}$ .

Hence we have proved

(c)  $Fh^{-1}P$  vanishes identically in a neighborhood of 0 (for instance, in the connected component of 0 in  $P^{-1}(\Omega_2)$ ).

Finally we define the holomorphic mapping  $g: c^{-1}(\Omega_2) \rightarrow A^m$

$$g = Fh^{-1}c + Q.$$

Then if  $x = h^{-1}c(y)$  we compute

$$Dg(y) = \begin{bmatrix} 1 & 0 \\ \alpha_{12}(x)\alpha_{11}(x)^{-1} & 1 \end{bmatrix}$$

and this shows that  $g: \Omega_1' \rightarrow \Omega_2'$  is a biholomorphic map, where  $\Omega_1'$  and  $\Omega_2'$  are small enough neighborhoods of  $0 \in A^m$ . Also  $Dg(y)$  is  $A$ -linear for every  $x \in \Omega_1'$ .

In order to complete the proof, set  $u = h^{-1}$  and  $v = g$ ; we must show that the identity

$$gTh = F$$

holds in some neighborhood of  $0 \in A^n$ ; but this follows from (c) and the computation

$$\begin{aligned} gTh &= (Fh^{-1}c + Q)T(cF + P) = Fh^{-1}cQF \\ &= Fh^{-1}cF = Fh^{-1}(h - P) = F - Fh^{-1}P. \end{aligned}$$

**THEOREM 2.** *Let  $\Omega$  be an open subset of  $A^n$ , and  $F: \Omega \rightarrow A^n$  an holomorphic retraction that is locally  $A$ -direct at  $x$  for all  $x \in \Omega$ . Then  $\text{Im } F$  is a Banach analytic manifold, and for all  $x \in \text{Im } F$  the tangent space  $T_x(\text{Im } F)$  at  $x$  is  $\text{Im } DF(x)$ .*

*Proof.* For every  $F(x) \in \text{Im } F$  there is, by Lemma 2.2, a linear representation  $(u_x, U_x, v_x, V_x, T_x)$  of  $F$  with  $T_x$   $A$ -direct.

For all  $x' \in U_x$ ,

$$\begin{aligned} T_x &= DT_x(x') = Dv_x^{-1}(Fu_x(x')) \cdot DF(u_x(x')) \cdot Du_x(x') \\ &= [Dv_x(T_x(x'))]^{-1} \cdot DF(u_x(x')) \cdot Du_x(x'). \end{aligned}$$

$Dv_x(Z)$  and  $Du_x(Z')$  are  $A$ -linear isomorphisms, so  $\text{Im } T_x \simeq \text{Im } DF(u_x(x'))$ , for all  $x' \in U_x$ . But  $F$  is  $A$ -direct at  $x$ , so there is a neighborhood of  $x$  where  $\text{Im } DF(a) \simeq \text{Im } DF(b)$ , for  $a, b$  in this neighborhood. Hence the  $\text{Im } T_z$  for  $z$  in this neighborhood are all  $A$ -isomorphic to a fixed  $A$ -module  $P$ . Call  $h_z: \text{Im } T_z \rightarrow P$  these  $A$ -isomorphisms. For every  $x \in \text{Im } F$ ,  $x = F(x)$ , and  $U_x, V_x$  may be chosen so that  $u_x(U_x) = v_x(V_x)$ . Then  $v_x: V_x \cap \text{Im } T_x \rightarrow v_x(V_x) \cap \text{Im } F$  is a bijection: it is one to one over all of  $V_x$ , and if  $v_x(z) \in \text{Im } F$ , say  $v_x(z) = u_x(z')$ ,

$$v_x(z) = Fv_x(z) = Fu_x(z') = v_x T_x u_x^{-1}(u_x(z')) = v_x(T_x(z'))$$

so  $v_x(z) \in v_x(V_x \cap \text{Im } T_x)$ .

Now define the chart near  $x \in \text{Im } F$ :  $(v_x(V_x) \cap \text{Im } F, h_x v_x^{-1})$ . These charts are compatible. To see this, suppose

$$U_{xy} = v_x(V_x) \cap v_y(V_y) \cap \text{Im } F \neq \emptyset$$

we then have

$$(h_y v_y^{-1})(h_x v_x^{-1})^{-1}: h_x v_x^{-1}(U_{xy}) \rightarrow h_y v_y^{-1}(U_{xy}).$$

But  $(h_y v_y^{-1})(h_x v_x^{-1})^{-1} = h_y v_y^{-1} v_x h_x^{-1}$  is holomorphic. The same goes for the other composition. The tangent space  $T_x(\text{Im } F)$  is given by

$$\begin{aligned} \text{Im}(Dv_x(0)h_x^{-1}) &= Dv_x(0)(\text{Im } T_x) = \text{Im}(Dv_x(0)T_x) = \text{Im } D(v_x T_x)(0) \\ &= \text{Im } D(Fu_x)(0) = \text{Im}(DF(u_x(0))Du_x(0)) = \text{Im } DF(x). \end{aligned}$$

**3.  $A_M$  as an analytic manifold.** Here we will apply the results in the preceding paragraph to Taylor's  $A_M$  [7] where  $M$  is a closed submanifold of an open set of  $\mathbf{C}^n$ .

For  $a \in A^n$ , let  $\hat{a}$  denote the function  $A' \rightarrow \mathbf{C}^n$  defined by  $\hat{a}(\gamma) = (\gamma(a_1), \dots, \gamma(a_n))$  for all  $\gamma \in A'$ . Note that with the supremum norm in both  $A^n$  and  $\mathbf{C}^n$ ,  $|\hat{a}(\gamma)| \leq \|\gamma\| \|a\|$ . We will sometimes write  $\phi^n$  for  $\phi \times \dots \times \phi$ . We denote by  $\theta_a$  the classical holomorphic functional calculus of Arens and Calderón [1]. All other functional calculus morphisms and their restrictions will be denoted by  $\nu$ .

We will need the following lemma.

**LEMMA 3.1.** *Let  $W$  be an open subset of  $\mathbf{C}^n$ . Then  $A_W$  is an open subset of  $A^n$ .*

*Proof.* Let  $a \in A_W$ , and  $f \in \mathcal{O}(X, W)$  such that  $a = \nu(f)$ . Since  $f(X)$  is a compact subset of  $W$ , there is an  $\varepsilon > 0$  such that for every  $\phi \in X$ , the polydisc  $\{z \in \mathbf{C}^n: |f(\phi) - z| < \varepsilon\}$  is contained in  $W$ . Now let  $U = \{b \in A^n: \|a - b\| < \varepsilon\}$ .  $\hat{b}(X) \subseteq W$ , because

$$|f(\phi) - \hat{b}(\phi)| = |\widehat{a - b}(\phi)| \leq \|a - b\| < \varepsilon.$$

Then  $\hat{b}^{-1}(W)$  is a neighborhood of  $X$  in  $A'$ , so  $\hat{b} \in \mathcal{O}(X, W)$ , and  $b \in A_W$ .

The sets  $A_W$ , with  $W$  open, are now appropriate domains for holomorphic functions. We will need to lift holomorphic functions in  $\mathbf{C}^n$  to holomorphic functions in  $A^n$ . This will be done as follows. Let  $h: W \rightarrow \mathbf{C}^m$  be holomorphic, and define  $A_h: A_W \rightarrow A^m$  by  $A_h(a) = \nu(h \circ f)$ , if  $a = \nu(f)$ .

**LEMMA 3.2.**  *$A_h$  is a well-defined holomorphic function. For all  $a = \nu(f) \in A_W$ ,  $DA_h(a)$  is an  $A$ -module homomorphism given by  $\nu(Dh(f))$ .*

*Proof.* First, we will see that  $\nu(f) = \nu(g)$  implies  $\nu(h \circ f) = \nu(h \circ g)$ .

For this, let  $b_1, \dots, b_k \in A$  be elements that finitely determine  $f$  and  $g$ , in other words, there is an open set  $\Omega$  in  $\mathbf{C}^k$  and there are  $F$  and  $G$  in  $\mathcal{O}(\Omega, W)$  such that the following diagram commutes

$$\begin{array}{ccccc} \hat{b}^{-1}(\Omega) & \xrightarrow{f(\text{resp. } g)} & W & \xrightarrow{h} & \mathbf{C}^m \\ \hat{b} \downarrow & \nearrow & & & \\ \Omega & \xrightarrow{F(\text{resp. } G)} & & & \end{array}$$

$\nu(f) = \nu(g)$  means that  $\theta_b(F) = \theta_b(G)$ , so  $\text{sp}(\theta_b(F)) = \text{sp}(\theta_b(G)) \subseteq W$ . Since  $h \in \mathcal{O}(W, \mathbf{C}^m)$ , we may write  $\theta_{\theta_b(F)}(h) = \theta_{\theta_b(G)}(h)$ . Then  $h(F(b)) = h(G(b))$ , so  $\theta_b(h \circ F) = \theta_b(h \circ G)$  and  $\nu(h \circ f) = \nu(h \circ g)$ .

To prove that  $A_h$  is holomorphic, let  $a \in A_W$ , and  $b \in A^n$ . It will be enough to prove the existence of

$$(1) \quad \frac{\partial A_h}{\partial b}(a) = \lim_{\lambda \rightarrow 0} \frac{1}{\lambda} [A_h(a + \lambda b) - A_h(a)].$$

Let  $a = \nu(f)$ ,  $b = \nu(g)$ . Then  $a + \lambda b = \nu(f + \lambda g)$ , and (1) is  $\lim_{\lambda \rightarrow 0} \lambda^{-1}[\nu(h \circ (f + \lambda g)) - \nu(h \circ f)]$ . Since the functional calculus is continuous, the limit (1) will exist if  $\lim_{\lambda \rightarrow 0} \lambda^{-1}[h \circ (f + \lambda g) - h \circ f]$  exists in  $\mathcal{O}(X, \mathbf{C}^m)$ . We must see that  $\lambda^{-1}[h \circ (f + \lambda g) - h \circ f]$  converges uniformly over a neighborhood of  $X$  as  $\lambda \rightarrow 0$ . For this, set  $\varepsilon > 0$ , and if  $\lambda \in \mathbf{C}$  with  $|\lambda| < \varepsilon$  and  $\gamma \in X$ , let

$$S(\lambda, \gamma) = \begin{cases} \frac{1}{\lambda} [h(f(\gamma) + \lambda g(\gamma)) - h(f(\gamma))] - \frac{\partial h}{\partial g(\gamma)} f(\gamma), & \text{if } \lambda \neq 0. \\ 0 & \text{if } \lambda = 0. \end{cases}$$

$h$  is holomorphic, so  $\lim_{\lambda \rightarrow 0} S(\lambda, \gamma) = 0$  for each  $\gamma \in X$ . Then there are  $\delta_\gamma > 0$  and neighborhoods  $V_\gamma$  of  $\gamma$  such that  $|S(\lambda, \phi)| < \varepsilon$  for  $\lambda \in \mathbf{C}$  with  $|\lambda| < \delta_\gamma$  and all  $\phi \in V_\gamma$ . Being  $X$  compact, there are  $\gamma_1, \dots, \gamma_p \in X$  such that  $V_{\gamma_i}, i = 1, \dots, p$ , cover  $X$ . Let  $\delta = \min\{\delta_{\gamma_i}: 1 \leq i \leq p\}$ , and  $V = \bigcup_{i=1}^p V_{\gamma_i}$ . Then for all  $\lambda \in \mathbf{C}$  with  $|\lambda| < \delta$  and all  $\gamma \in V, S(\lambda, \gamma) < \varepsilon$ , so  $A_h$  is holomorphic. We shall denote the limit of  $\lambda^{-1}[h \circ (f + \lambda g) - h \circ f]$  as  $\lambda \rightarrow 0$ , by  $Dh(f)(g)$ .

$DA_h(a)$  is more than just a linear morphism. It is  $A$ -linear. To prove this we must show that the diagram

$$\begin{array}{ccccc} \mathcal{O}(X, \mathbf{C})^{m \times n} & \times & \mathcal{O}(X, \mathbf{C})^n & \rightarrow & \mathcal{O}(X, \mathbf{C})^m \\ \nu \downarrow & & \nu \downarrow & & \nu \downarrow \\ A^{m \times n} & \times & A^n & \rightarrow & A^m \end{array} \quad \text{commutes.}$$

Here the horizontal arrows indicate matrix multiplication.

As all the arrows are continuous, and  $P(\hat{A})^k$  is dense in  $\mathcal{O}(X, \mathbf{C})^k$  for all  $k$ , where  $P(\hat{A})$  is the algebra of polynomials in Gelfand transforms of elements of  $A$ , it will be enough to show that  $\nu(p \cdot q) = \nu(p) \cdot \nu(q)$ , where  $p_{ij}, q_j \in P(\hat{A})$ . Let

$$\begin{aligned} p_{ij} &= \sum_{(k)} \widehat{a^{ij}}(k), \quad \text{where } \widehat{a^{ij}}(k) = \widehat{a^{i_1 j_1}} \cdots \widehat{a^{i_r j_r}} \\ q_j &= \sum_{(k')} \widehat{a^j}(k'), \quad \text{where } \widehat{a^j}(k') = \widehat{a^{j'_1}} \cdots \widehat{a^{j'_s}} \\ \nu(p \cdot q) &= \nu \left( \sum_{j=1}^n p_{1j} q_j, \dots, \sum_{j=1}^n p_{mj} q_j \right) \\ &= \nu \left( \sum_{j=1}^n \sum_{(k)} \widehat{a^{1j}}(k) \sum_{(k')} \widehat{a^j}(k'), \dots, \sum_{j=1}^n \sum_{(k)} \widehat{a^{mj}}(k) \sum_{(k')} \widehat{a^j}(k') \right) \\ &= \left( \sum_{j=1}^n \sum_{(k)} a^{1j}(k) \sum_{(k')} a^j(k'), \dots, \sum_{j=1}^n \sum_{(k)} a^{mj}(k) \sum_{(k')} a^j(k') \right). \end{aligned}$$

On the other hand,

$$(2) \quad \nu(p) \cdot \nu(q) = \left( \sum_{j=1}^n \nu(p)_{1j} \nu(q)_j, \dots, \sum_{j=1}^n \nu(p)_{mj} \nu(q)_j \right).$$

But

$$\nu(p)_{ij} = \nu(p_{ij}) = \nu \left( \sum_{(k)} \widehat{a^{ij}}(k) \right) = \sum_{(k)} a^{ij}(k),$$

and

$$\nu(q)_j = \nu(q_j) = \nu\left(\sum_{(k')} \widehat{a^j(k')}\right) = \sum_{(k')} a^j(k').$$

So

$$(2) = \left(\sum_{j=1}^n \sum_{(k)} a^{1j}(k) \sum_{(k')} a^j(k'), \dots, \sum_{j=1}^n \sum_{(k)} a^{mj}(k) \sum_{(k')} a^j(k')\right) = \nu(p \cdot q).$$

Then

$$DA_h(a)(b) = \nu(Dh(f)(g)) = \nu(Dh(f)) \cdot \nu(g) = \nu(Dh(f))(b).$$

So that  $DA_h(a) = \nu(Dh(f)) \in A^{m \times n}$  is an  $A$ -module morphism, for all  $a \in A_W$ .

Note that  $A_h$  could have been well-defined by putting  $A_h(a) = \nu(h \circ \hat{a})$ , but this definition will not do for our later purposes.

Now let  $M$  be a closed submanifold of an open set of  $\mathbb{C}^n$ , of dimension  $k$ . We recall that by [3; Ch. VIII, C] there is an open neighborhood  $W$  of  $M$  and an holomorphic retraction  $r: W \rightarrow M$ . Hence we also have  $A_r: A_W \rightarrow A_M$ , the image of  $A_r$  being contained in  $A_M$  because  $r \circ f \in \mathcal{O}(X, M)$  for all  $f \in \mathcal{O}(X, W)$ . Of course the image of  $A_r$  is exactly  $A_M$ , for if  $a \in A_M$ , then  $A_r(a) = \nu(r \circ f)$  where  $f \in \mathcal{O}(X, M)$  so  $r \circ f = f$ , and  $A_r(a) = \nu(r \circ f) = \nu(f) = a \in \text{Im } A_r$ . Now we obtain our main theorem.

**THEOREM 3.** *If  $M$  is a closed submanifold of an open set of  $\mathbb{C}^n$ , of dimension  $k$ , then  $A_M$  is a Banach manifold modeled on projective  $A$ -modules of rank  $k$ .*

*Proof.* By Theorem 2, it will clearly be enough to verify that  $A_r$  is  $A$ -direct at  $a$  for all  $a$  in a neighborhood of  $A_M$ .

Since  $r$  is a retraction,  $Dr(r(z)) \circ Dr(z) = Dr(z)$  for all  $z \in W$ . Therefore  $\text{Im } Dr(z) \subseteq \text{Im } Dr(r(z))$ , but the rank of the matrix  $Dr(z)$  is at least that of  $Dr(r(z))$  for  $z$  near  $r(z)$ , so that actually  $\text{Im } Dr(z) = \text{Im } Dr(r(z))$  for  $z$  in an open neighborhood of  $M$ . This means that  $\dim \text{Im } Dr(z) = k$ , and  $\dim \text{Ker } Dr(z) = n - k$  near  $M$ .  $\mathbb{C}^n$  can be written as the direct sum

$$\mathbb{C}^n = \text{Im } Dr(r(z)) \oplus \text{Ker } Dr(r(z)) = \text{Im } Dr(z) \oplus \text{Ker } Dr(r(z)).$$

Because of the continuity of  $Dr$ , we may also write  $\mathbb{C}^n = \text{Im } Dr(z) \oplus \text{Ker } Dr(z)$ , for  $z$  near  $M$ . Note also that  $Dr(r(z))|_{\text{Im } Dr(r(z))}$  is the identity, so that  $Dr(z)|_{\text{Im } Dr(z)}$  is an automorphism of  $\text{Im } Dr(z)$  near  $M$ . We may suppose the neighborhood of  $M$  where all this is true to be  $W$ ;

just discard the old  $W$ . For all  $z \in W$ ,

$$\alpha_z = \begin{bmatrix} Dr(z) & \vdots & 0 \\ \cdots & \cdots & \cdots \\ 0 & \vdots & I \end{bmatrix} : \begin{bmatrix} \text{Im } Dr(z) \\ \text{Ker } Dr(z) \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } Dr(z) \\ \text{Ker } Dr(z) \end{bmatrix},$$

is an automorphism of  $\mathbf{C}^n$ . Define  $\alpha: W \rightarrow \text{GL}_n(\mathbf{C})$  by  $\alpha(z) =$  the matrix of  $\alpha_z$  in the canonical basis of  $\mathbf{C}^n$ . We will show that  $\alpha$  is an holomorphic function. For this, let  $z_0 \in W$ . There is a neighborhood  $U$  of  $z_0$  and there are holomorphic functions  $v_i: U \rightarrow \mathbf{C}^n$ ,  $1 \leq i \leq n$ , such that  $v_1(z), \dots, v_k(z)$  is a basis of  $\text{Im } Dr(z)$  and  $v_{k+1}(z), \dots, v_n(z)$  is a basis of  $\text{Ker } Dr(z)$  for all  $z \in U$ . Let  $\beta_z \in \mathbf{C}^{k \times k}$  be the matrix of  $Dr(z)|_{\text{Im } Dr(z)}$  in the basis  $v_1(z), \dots, v_k(z)$  and let  $c(z)$  be the matrix which changes the canonical basis of  $\mathbf{C}^n$  to  $v_1(z), \dots, v_n(z)$ . Then

$$\alpha(z) = c(z)^{-1} \cdot \begin{bmatrix} \beta_z & \vdots & 0 \\ \vdots & \ddots & \vdots \\ 0 & \vdots & I \end{bmatrix} \cdot c(z)$$

and it will be enough to verify that  $\beta_z$  is an holomorphic function of  $z$  in  $U$ , but this follows from the equations

$$Dr(z)(v_i(z))_t = \sum_{s=1}^k \beta_{z,ts} v_i(z)_s, \quad i \leq i, t \leq k.$$

We therefore have  $A_\alpha: A_W \rightarrow A_{\text{GL}_n(\mathbf{C})} = \text{GL}_n(A)$ . But

$$A_\alpha(x)|_{\text{Im } DA_r(x)} = DA_r(x)|_{\text{Im } DA_r(x)}$$

for all  $x \in A_W$ . To see this, let  $b = \nu(Dr(g)(h)) \in \text{Im } DA_r(x)$ , where  $x = \nu(g)$ . Now  $A_\alpha(x)(b) = \nu(\alpha \circ g) \cdot \nu(Dr(g)(h)) = \nu(\alpha \circ g \cdot Dr(g)(h))$ , but for all  $\gamma$  near  $X$ ,

$$\alpha(g(\gamma))|_{\text{Im } Dr(g(\gamma))} = Dr(g(\gamma))|_{\text{Im } Dr(g(\gamma))},$$

so

$$\begin{aligned} A_\alpha(x)(b) &= \nu(Dr(g) \cdot Dr(g)(h)) \\ &= \nu(Dr(g)) \cdot \nu(Dr(g)(h)) = DA_r(x)(b). \end{aligned}$$

Then

$$DA_r(x)|_{\text{Im } DA_r(x)}: \text{Im } DA_r(x) \rightarrow \text{Im } DA_r(x) \text{ is an automorphism.}$$

We prove that  $A^n = \text{Im } DA_r(x) \oplus \text{Ker } DA_r(x)$  for all  $x \in A_W$ :

$$0 = \text{Ker}(DA_r(x)|_{\text{Im } DA_r(x)}) = \text{Im } DA_r(x) \cap \text{Ker } DA_r(x).$$

If  $c \in A^n$ , there exists  $b \in \text{Im } DA_r(x)$  such that  $DA_r(x)(b) = DA_r(x)(c)$ . Then  $c = b + (c - b)$ , with  $b \in \text{Im } DA_r(x)$  and  $c - b \in \text{Ker } DA_r(x)$ .  $\text{Ker } DA_r(x)$  is closed, so the direct sum is topological.

We now know that  $\text{Im } DA_r(x)$  is a projective  $A$ -module.

We shall see that its rank is  $k$ .

First we must prove that for all  $x \in A_W$  and  $\phi \in X$ ,

$$\phi^n(\text{Im } DA_r(x)) = \text{Im } Dr(\phi^n(x))$$

and

$$\phi^n(\text{Ker } DA_r(x)) = \text{Ker } Dr(\phi^n(x)).$$

Take

$$\begin{aligned} DA_r(x)(b) &\in \text{Im } DA_r(x) \cdot \phi^n(DA_r(x)(b)) = \widehat{\nu(Dr(\hat{x})(\hat{b}))}(\phi) \\ &= (Dr(\hat{x})(\hat{b}))(\phi) = Dr(\phi^n(x))(\phi^n(b)) \in \text{Im } Dr(\phi^n(x)). \end{aligned}$$

Now take  $b \in \text{Ker } DA_r(x)$ .

$$Dr(\phi^n(x))(\phi^n(b)) = \phi^n(DA_r(x)(b)) = \phi^n(0) = 0,$$

so  $\phi^n(b) \in \text{Ker } Dr(\phi^n(x))$ , and we have proven both left-to-right inclusions. We have  $A^n = \text{Im } DA_r(x) \oplus \text{Ker } DA_r(x)$ , and  $\phi^n$  is surjective, so

$$\mathbf{C}^n = \phi^n(\text{Im } DA_r(x)) + \phi^n(\text{Ker } DA_r(x)),$$

but because of the inclusions we have just proven, this sum is direct. Then

$$\begin{aligned} \mathbf{C}^n &= \phi^n(\text{Im } DA_r(x)) \oplus \phi^n(\text{Ker } DA_r(x)) \\ &= \text{Im } Dr(\phi^n(x)) \oplus \text{Ker } Dr(\phi^n(x)), \end{aligned}$$

so the inclusions are actually equalities.

Now let  $x \in A_W$ ,  $P = \text{Im } DA_r(x)$ ,  $Q = \text{Ker } DA_r(x)$ , and  $\phi \in X$ . Then  $\text{rk}_\phi P = \text{rk}_{A_\phi} P_\phi = \text{rk}_{A_\phi}(A_\phi \otimes_A P)$  is, by Nakayama's Lemma the same as  $\dim_{\mathbf{C}}[(A_\phi \otimes_A P) \otimes_{A_\phi} \mathbf{C}]$ , when  $\mathbf{C}$  (and also  $\phi^n(P)$ ) has the  $A_\phi$ -module structure induced by  $\phi$ . We then have the  $A_\phi$ -module morphism

$$\begin{aligned} q: (A_\phi \otimes_A P) \otimes_{A_\phi} \mathbf{C} &\rightarrow \phi^n(P); \\ q\left(\sum_j \left(\sum_i \frac{a_{ij}}{b_{ij}} \otimes p_{ij}\right) \otimes \lambda_j\right) &= \sum_j \sum_i \lambda_j \frac{\phi(a_{ij})}{\phi(b_{ij})} \phi^n(p_{ij}). \end{aligned}$$

Let  $v_1, \dots, v_k$  has a basis for  $\phi^n(P) = \text{Im } Dr(\phi^n(x))$ , and let  $b_1, \dots, b_k \in P$  such that  $\phi^n(b_i) = v_i$  for  $i = 1, \dots, k$ . Then  $(1/1 \otimes b_i) \otimes 1$ ,  $i = 1, \dots, k$ , are  $\mathbf{C}$ -linearly independent: if  $0 = \sum_{i=1}^k \lambda_i (1/1 \otimes b_i) \otimes 1$ , then

$$0 = q(0) = \sum_{i=1}^k \lambda_i \phi^n(b_i) = \sum_{i=1}^k \lambda_i v_i$$

and  $\lambda_i = 0$  for  $i = 1, \dots, k$ .

Therefore  $\text{rk}_\phi P = \dim_{\mathbf{C}}[(A_\phi \otimes_A P) \otimes_{A_\phi} \mathbf{C}] \geq k$ .

In a similar manner, and since  $\phi^n(Q) = \text{Ker } Dr(\phi^n(x))$ ,  $\text{rk}_\phi Q \geq n - k$ . But  $\text{rk}_\phi P + \text{rk}_\phi Q = n$ , so  $\text{rk}_\phi P = k \forall \phi \in X$ . Then  $\text{rk } P = k$ .

To complete our proof, let  $a \in A_M$  and write:

$$DA_r(x) = \begin{bmatrix} P(x) & Q(x) \\ R(x) & S(x) \end{bmatrix} : \begin{bmatrix} \text{Im } DA_r(a) \\ \text{Ker } DA_r(a) \end{bmatrix} \rightarrow \begin{bmatrix} \text{Im } DA_r(a) \\ \text{Ker } DA_r(a) \end{bmatrix}.$$

Since  $DA_r(a)$  is an idempotent,  $DA_r(a)|_{\text{Im } DA_r(a)}$  is the identity, and  $P(a) = I$ . But  $\text{Im } DA_r(a)$  is a Banach space, so by the continuity of  $P$ ,  $P(x)$  is an automorphism of  $\text{Im } DA_r(a)$  for all  $x$  in a neighborhood  $U$  of  $a$ .

We have then verified conditions (iv) of Theorem 1 for all  $x \in U$ . Therefore,  $A_r$  is  $A$ -direct at  $x$  for all  $x$  in a neighborhood of  $A_M$ .

Observe that the tangent space  $T_a(A_M)$  at  $a$  is  $\text{Im } DA_r(a)$ . These are of course projective  $A$ -modules of rank  $k$ , but they need not be isomorphic on different connected components of  $A_M$ . In fact, some of these modules may be free while others may not.

Now consider for any Banach algebra  $A$ , the category  $\underline{M}(A)$  whose objects are analytic manifolds modeled on projective  $A$ -modules, with morphisms holomorphic functions whose differentials are  $A$ -module morphism, and the ordinary composition. Let  $\underline{M}$  be the category of closed analytic submanifolds of open subsets of finite products of  $\mathbb{C}$ . Then we have:

**PROPOSITION 3.3.**  $A_{(\cdot)}$  is a covariant functor from  $\underline{M}$  to  $\underline{M}(A)$ .

*Proof.*  $A_M$  is defined for every object in  $\underline{M}$  and is an object of  $\underline{M}(A)$ , by Theorem 3. Now let  $M$  and  $N$  be two objects of  $\underline{M}$  and  $h: M \rightarrow N$  an holomorphic function.  $h$  can be extended to an open neighborhood  $W$  of  $M$  for example by  $h \circ r$ . If  $\bar{h}$  is such an extension, then we can define  $A_{\bar{h}}$  as before Lemma 3.2. Now define  $A_h$  to be the restriction of  $A_{\bar{h}}$  to  $A_M$ , for any extension  $\bar{h}$  of  $h$ . Obviously,  $\text{Im } A_h = A_{\bar{h}}(A_M) \subseteq A_N$ , and if  $h_1$  and  $h_2$  are two extensions of  $h$ , and  $a \in A_M$ ,  $a = \nu(f)$  with  $f \in \mathcal{O}(X, M)$ , then

$$A_{h_1}(a) = \nu(h_1 \circ f) = \nu(h \circ f) = \nu(h_2 \circ f) = A_{h_2}(a),$$

so  $A_h$  is well defined. The rest of the Proposition is easily verified.

There are many holomorphic functions in  $A^n$  whose differentials are  $A$ -module morphisms, but which are not of the form  $A_h$  for any  $h$ . As an example, take  $a \in A$  such that there are  $x \in A$ , and  $\phi, \psi \in X$  with  $\phi(x) = \psi(x) \neq 0$  and  $\phi(a) \neq \psi(a)$ ; and consider  $L_a: A \rightarrow A$  defined by  $L_a(y) = ay$ .  $L_a$  is  $A$ -linear, but  $L_a \neq A_h$  for all  $h$ : if  $L_a$  were  $A_h$ ,  $ax = L_a(x) = A_h(x) = \nu(h \circ \hat{x})$ , so over  $X$ ,  $\hat{a}\hat{x} = h \circ \hat{x}$ , and then

$$\phi(a) \cdot \phi(x) = h(\phi(x)) = h(\psi(x)) = \psi(a)\psi(x).$$

Hence,  $\phi(a) = \psi(a)$ , contrary to our assumptions.

Finally, we wish to compare  $A_M$  and  $A^M$ .

PROPOSITION 3.4.  $A^M = A_M + \text{Rad}(A)^n$ .

*Proof.* Let  $\mathcal{N} = \{f \in \mathcal{O}(X, \mathbf{C}) : f|_X = 0\}$ . Then  $\nu(\mathcal{N}) = \text{Rad}(A)$ : if  $f \in \mathcal{N}$ ,  $\widehat{\nu(f)}|_X = f|_X = 0$ , so  $\nu(\mathcal{N}) \subseteq \text{Rad}(A)$ ; on the other hand, if  $a \in \text{Rad}(A)$ ,  $a = \nu(\hat{a})$  with  $\hat{a}|_X = 0$ . We identify also  $\text{Rad}(A)^n$  with  $\nu(\mathcal{N}^n)$ . Note that  $A^M \subseteq A_W$ , for if  $\hat{a}(X) = \text{sp}(a) \subseteq M$ , then  $\hat{a} \in \mathcal{O}(X, W)$ . Now take  $a \in A^M$ , and put  $a = A_r(a) + (a - A_r(a))$ .  $A_r(a) \in A_M$ , and

$$a - A_r(a) = \nu(\hat{a}) - \nu(r \circ \hat{a}) = \nu(\hat{a} - r \circ \hat{a}) \in \text{Rad}(A)^n,$$

because  $\hat{a} - r \circ \hat{a} \in \mathcal{N}^n$ . For the other inclusion, let  $b \in A_M$  and  $c \in \text{Rad}(A)^n$ .  $c = \nu(g)$ , with  $g \in \mathcal{N}^n$ . Then

$$\begin{aligned} \text{sp}(b + c) &= \widehat{b + c}(X) = (\hat{b} + \widehat{\nu(g)})(X) \\ &= (\hat{b} + g)(X) = \hat{b}(X) = \text{sp}(b) \subseteq M. \end{aligned}$$

COROLLARY 3.5.  $A^M$  and  $A_M$  have the same homotopy type. If  $A$  is semisimple, then  $A^M = A_M$ . (See also [7; 2.8].)

*Proof.* Let  $\iota: A_M \rightarrow A^M$  denote the inclusion.  $A_r \circ \iota$  is the identity on  $A_M$  and it is easily verified that  $\iota \circ A_r$  is homotopic to the identity on  $A^M$ .

**4. An example.** We wish to consider briefly an example of a spectral set. Suppose  $A$  is semisimple, and the manifold  $M$  is given as the zero set of a holomorphic function

$$W \xrightarrow{F} \mathbf{C}^k.$$

It has been established in the last paragraph that  $A_M$  is a Banach manifold. This would have been a much simpler matter in this particular case, but a bit more can be said. Lift  $F$  to an analytic function

$$A_W \xrightarrow{A_F} A^k$$

and the zero set of  $A_F$  is exactly  $A_M$ . To see this, let  $a \in A_M$ ; then  $a = \nu(f)$  with  $f \in \mathcal{O}(X, M)$ , and  $A_F(a) = \nu(F \circ f) = \nu(0) = 0$ , so  $a \in A_F^{-1}(0)$ . Now if  $A_F(a) = 0$ ,  $\nu(F \circ \hat{a}) = 0$  and  $F \circ \hat{a} = 0$  over  $X$ . Hence  $F(\text{sp}(a)) = \{0\}$ , and  $\text{sp}(a) \subset M$ . We then have  $A_M \subset A_F^{-1}(0) \subset A^M$ , but since  $A$  is semisimple, all three are the same.

Now take  $W = \text{GL}_n(\mathbf{C})$ , and  $G$  a Lie subgroup of  $W$  which is the zero set of analytic functions, for instance an algebraic group. Then the corresponding zero set of the same functions in  $\text{GL}_n(A)$  is a Lie subgroup of  $\text{GL}_n(A)$ .

It can in fact be shown that all Lie groups give rise to Banach Lie groups, and that these have tangent spaces which are free  $A$ -modules.

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