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## A CHARACTERIZATION OF CERTAIN DOMAINS WITH GOOD BOUNDARY POINTS IN THE SENSE OF GREENE-KRANTZ, III

Dedicated to Professor Masaru Takeuchi on his 60th birthday

AKIO KODAMA\*

(Received May 10, 1994)

### Introduction

This is a continuation of our previous papers [9, 10, 12]. For a domain  $D$  in  $\mathbf{C}^n$ , we denote by  $\text{Aut}(D)$  the group of all biholomorphic automorphisms of  $D$  and write  $\partial D$  (resp.  $\bar{D}$ ) for the boundary (resp. closure) of  $D$ .

Let  $D$  be a bounded domain in  $\mathbf{C}^n$  and  $x \in \partial D$ . Assume that  $x$  is an accumulation point of an  $\text{Aut}(D)$ -orbit. *Can we then determine the global structure of  $D$  from the local shape of  $\partial D$  near  $x$ ?* Of course, this is impossible without any further assumptions, as one may see in the examples such as the direct product of the open unit disk in  $\mathbf{C}$  and an arbitrary bounded domain in  $\mathbf{C}^{n-1}$ . In the previous papers [2, 8, 9, 10, 12], this was exclusively studied in the case where  $\partial D$  near  $x$  coincides with the boundary of a generalized complex ellipsoid

$$E(n; n_1, \dots, n_s; p_1, \dots, p_s)$$

$$= \{(z_1, \dots, z_s) \in \mathbf{C}^{n_1} \times \dots \times \mathbf{C}^{n_s}; \sum_{i=1}^s \|z_i\|^{2p_i} < 1\}$$

in  $\mathbf{C}^n = \mathbf{C}^{n_1} \times \dots \times \mathbf{C}^{n_s}$ , where  $p_1, \dots, p_s$  are positive real numbers and  $n_1, \dots, n_s$  are positive integers with  $n = n_1 + \dots + n_s$ .

The purpose of this paper is to establish the following extension of some results obtained in [2, 9, 10, 12]:

**Theorem.** *Let  $D$  be a bounded domain in  $\mathbf{C}^n$  and  $E = E(n; n_1, \dots, n_s; p_1, \dots, p_s)$  a generalized complex ellipsoid in  $\mathbf{C}^n$ . Let  $x \in \partial D$ . Assume that the following three conditions are satisfied:*

- (1)  *$p_1, \dots, p_s$  are all positive integers;*
- (2)  *$x \in \partial E$  and there exists an open neighborhood  $Q$  of  $x$  in  $\mathbf{C}^n$  such that*

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$D \cap Q = E \cap Q$ ; and

(3)  $x$  is a good boundary point of  $D$  in the sense of Greene and Krantz [6], that is, there exist a point  $b \in D$  and a sequence  $\{\varphi_v\} \subset \text{Aut}(D)$  such that  $\varphi_v(b) \rightarrow x$  as  $v \rightarrow \infty$ .

Then we have  $D = E$  as sets. In particular, at least one of the  $p_i$ 's must be equal to 1.

Note that the existences of a point  $\tilde{b} \in E$  and a sequence  $\{\tilde{\varphi}_v\} \subset \text{Aut}(E)$  such that  $\tilde{\varphi}_v(\tilde{b}) \rightarrow x$  as  $v \rightarrow \infty$  are not assumed in the theorem. Hence, this does not follow directly from the results obtained in [7 or 12]; and also this gives an affirmative answer to Problem 1 in [11; p.62] in the case where  $\partial D$  near  $x$  is  $C^\omega$ -smooth. In the special case  $n_i = 1$  for all  $i = 1, \dots, s$ , we know by [9, 10] that our theorem holds even for arbitrary  $0 < p_1, \dots, p_s \in \mathbb{R}$  (not necessarily integers). And, in its proof, Rudin's extension theorem [16] of holomorphic mappings defined near boundary points of the unit ball  $B^n$  in  $\mathbb{C}^n$  played a crucial role. Notice that this theorem of Rudin can be applied no longer to the case  $n_i \geq 1$  in general. However, employing a recent result due to Dini and Selvaggi Primicerio [3] instead of that due to Rudin and using the same scaling technique as in [12], we can prove the theorem above.

As an immediate consequence of our theorem, we now obtain the following:

**Corollary.** For arbitrary integers  $p_1, \dots, p_s \geq 2$ , any bounded domain  $D$  in  $\mathbb{C}^n$  with a point  $x \in \partial D \cap \partial E$  ( $n; n_1, \dots, n_s; p_1, \dots, p_s$ ) near which  $\partial D$  coincides with  $\partial E$  ( $n; n_1, \dots, n_s; p_1, \dots, p_s$ ) cannot have any  $\text{Aut}(D)$ -orbits accumulating at  $x$ .

Clearly this gives an affirmative answer to the following conjecture of Greene and Krantz [6; p. 200]: Let  $x$  be a boundary point of the domain  $E = \{(z_1, z_2) \in \mathbb{C}^2; |z_1|^4 + |z_2|^4 < 1\}$ . Then any weakly pseudoconvex bounded domain  $D$  in  $\mathbb{C}^2$  with  $x \in \partial D$  near which  $\partial D$  coincides with  $\partial E$  cannot have any  $\text{Aut}(D)$ -orbits accumulating at  $x$ .

The author would like to express his sincere gratitude to Professors Gilberto Dini and Angela Selvaggi Primicerio for informing him of their recent work [3]; and also for their stimulating conversations on the structure of generalized complex ellipsoids, which were done during his stay at the University of Florence.

## 1. Preliminaries

For later purpose, in this section we shall recall a recent result on localization principle of holomorphic automorphisms of generalized complex ellipsoids due to Dini and Selvaggi Primicerio [3], which plays an essential role in our proof.

For convenience and without loss of generality, in the following we will always assume

$$(1.1) \quad p_1 = 1 < p_2, \dots, p_s \in \mathbf{Z}, \quad 0 < n_2, \dots, n_s \in \mathbf{Z}$$

and write a generalized complex ellipsoid  $E$  in the form

$$(1.2) \quad E = E(n; n_1, n_2, \dots, n_s; 1, p_2, \dots, p_s).$$

Here it is understood that 1 does not appear if  $n_1 = 0$ , and also this domain is the unit ball  $B^n$  in  $\mathbf{C}^n$  if  $s = 1$ .

For a generalized complex ellipsoid  $E$  as in (1.2), we denote by  $\mathcal{W}(E)$  the set consisting of all weakly, but not strictly, pseudoconvex boundary points of  $E$ . Then it can be seen that

$$(1.3) \quad \begin{aligned} \mathcal{W}(E) &= \{(z_1, z_2, \dots, z_s) \in \partial E; \|z_2\| \cdots \|z_s\| = 0\} \\ &\subset \bigcup_{i=2}^s \{(z_1, \dots, z_i, \dots, z_s) \in \mathbf{C}^{n_1} \times \cdots \times \mathbf{C}^{n_i} \times \cdots \times \mathbf{C}^{n_s}; z_i = 0\}. \end{aligned}$$

We can now state the result due to Dini and Selvaggi Primicerio [3] in the following form:

**Theorem D-S.** *Let  $E_1, E_2$  be generalized complex ellipsoids in  $\mathbf{C}^n$  with  $\mathbf{C}^\omega$ -smooth boundaries and  $\mathcal{W}(E_1), \mathcal{W}(E_2)$  the sets of weakly pseudoconvex boundary points of  $E_1, E_2$  respectively, as in (1.3). Let  $x_1 \in \partial E_1, x_2 \in \partial E_2$  and  $U_1, U_2$  open neighborhoods of  $x_1, x_2$  in  $\mathbf{C}^n$ , respectively. Assume that:*

- (1)  *$\mathcal{W}(E_1)$  and  $\mathcal{W}(E_2)$  are contained in the union of finitely many complex linear subspaces of  $\mathbf{C}^n$  of codimension at least 2;*
- (2)  *$U_1 \cap \partial E_1$  is a connected open subset of  $\partial E_1$ ;*
- (3)  *$\Psi: U_1 \cap E_1 \rightarrow U_2 \cap E_2$  is a biholomorphic mapping that can be extended to a continuous mapping  $\tilde{\Psi}: U_1 \cap \bar{E}_1 \rightarrow \bar{E}_2$  with  $\tilde{\Psi}(x_1) = x_2$  and  $\tilde{\Psi}(U_1 \cap \partial E_1) \subset \partial E_2$ . Then  $\Psi$  extends to a biholomorphic mapping  $\Phi$  from  $E_1$  onto  $E_2$ .*

As noted by themselves in [3], the assumption (1) cannot be dropped in general; and also, after shrinking  $U_1$  if necessary, one may further assume that  $\Psi$  is defined on all of  $U_1$ .

We finish this section by the following:

**DEFINITION.** Let  $E_1 = E(n; n_1, n_2, \dots, n_s; 1, p_2, \dots, p_s)$  and  $E_2 = E(n; m_1, m_2, \dots, m_t; 1, q_2, \dots, q_t)$  be two generalized complex ellipsoids in  $\mathbf{C}^n$ . Then we say that  $E_1$  precedes  $E_2$  if  $s \leq t$  and there exists a permutation  $\sigma$  of the set  $\{2, \dots, t\}$  such that  $(p_i, n_i) = (q_{\sigma(i)}, m_{\sigma(i)})$  for  $i = 2, \dots, s$ .

Note that every generalized complex ellipsoid precedes itself and that the unit ball  $B^n$  in  $\mathbf{C}^n$  precedes any generalized complex ellipsoid in  $\mathbf{C}^n$ .

## 2. Proof of the Theorem

With the same assumption and notation as in (1.1) and (1.2), we write the given  $E$  and  $x \in \partial D \cap \partial E$  in the form  $E = E(n; n_1, n_2, \dots, n_s; 1, p_2, \dots, p_s)$  and  $x = (x_1, x_2, \dots, x_s) \in \mathbf{C}^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}$ .

In order to prove the theorem, we prepare the following:

**Lemma.** *The domain  $D$  is biholomorphically equivalent to a generalized complex ellipsoid  $\tilde{E}$  that precedes  $E$ .*

Proof. The following proof will be presented in outline, since the details of the steps can be filled in by consulting the corresponding passages in the proof of [12; Theorem I].

If  $s=1$ , i.e.,  $E=B^n$ , then  $x$  is a  $C^\omega$ -smooth strictly pseudoconvex boundary point of  $D$ ; and hence,  $D$  is biholomorphically equivalent to  $B^n$  by Rosay [15].

Assume that  $s > 1$ . According to the form of  $x$ , we shall divide the proof into two cases as follows:

Case A.  $x = (x_1, 0, \dots, 0)$ .

In this case, there exists a sequence  $\{\tilde{\varphi}_v\} \subset \text{Aut}(E)$  such that  $\tilde{\varphi}_v(o) \rightarrow x$  as  $v \rightarrow \infty$ , where  $o \in E$  denotes the origin of  $\mathbf{C}^n$ . Hence,  $D$  is biholomorphically equivalent to  $E$  by Kodama, Krantz and Ma [12].

Case B.  $x = (x_1, \dots, x_i, \dots, x_s)$  with some  $x_i \neq 0$  ( $2 \leq i \leq s$ ).

First of all, passing to a subsequence if necessary, one may assume that  $\varphi_v(b) \in D \cap Q = E \cap Q \subset E$  for all  $v$ . So there exists a sequence  $\{\psi_v\}$  in  $\text{Aut}(E)$  such that

$$(2.1) \quad \psi_v(\varphi_v(b)) = (0, z_2^v, \dots, z_s^v) \quad \text{for } v = 1, 2, \dots;$$

(2.2) each  $\psi_v$  can be written in the form

$$\psi_v(z) = ((A^v z_1 + b^v) / (c^v z_1 + d^v), z_2 / (c^v z_1 + d^v)^{1/p_2}, \dots, z_s / (c^v z_1 + d^v)^{1/p_s})$$

for  $z = (z_1, z_2, \dots, z_s) \in E \subset \mathbf{C}^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}$ .

Moreover, if we define the holomorphic mappings  $\psi_1^v: B^{n_1} \rightarrow \mathbf{C}^{n_1}$  by

$$(2.3) \quad \psi_1^v(z_1) = (A^v z_1 + b^v) / (c^v z_1 + d^v) \quad \text{for } z_1 \in B^{n_1},$$

then  $\psi_1^v \in \text{Aut}(B^{n_1})$  for all  $v = 1, 2, \dots$ . (For the structure of  $\text{Aut}(E)$ , see [12].) Setting  $y^v = \varphi_v(b) = (y_1^v, y_2^v, \dots, y_s^v)$  for  $v = 1, 2, \dots$ , we have now

$$(2.4) \quad \psi_1^v(y_1^v) = 0 \quad \text{for all } v = 1, 2, \dots.$$

On the other hand, since  $\|x_1\|^2 + \sum_{i=2}^s \|x_i\|^{2p_i} = 1$  and  $x_i \neq 0$  for some  $2 \leq i \leq s$ , we see that

(2.5) the point  $x_1 = \lim_{v \rightarrow \infty} y_1^v$  is contained in  $B^{n_1}$ ,

which implies that  $\{y_1^v\}$  lies in a compact subset of  $B^{n_1}$ . This combined with (2.4) guarantees that  $\{\psi_1^v\}$  has a convergent subsequence in  $\text{Aut}(B^{n_1})$  [13; p.82]. Here we assert that, after taking a subsequence if necessary,  $\{\psi_v\}$  converges to some  $\psi \in \text{Aut}(E)$ . In fact, this can be seen as follows. With the same notation as in section 1 of [12], we can express  $\text{Aut}(B^{n_1}) = U(n_1, 1)/S^1$ , where  $U(n_1, 1)$  is a special kind of linear Lie group and  $S^1$  is closed normal subgroup of  $U(n_1, 1)$ . Hence  $\text{Aut}(B^{n_1})$  is the base space of the principal fiber bundle  $\pi: U(n_1, 1) \rightarrow U(n_1, 1)/S^1$ . Let us assume that  $\lim_{v \rightarrow \infty} \psi_1^v = \psi_1 \in \text{Aut}(B^{n_1})$ . Then there exists a  $C^\omega$ -smooth local cross section  $\gamma$  of  $\pi: U(n_1, 1) \rightarrow \text{Aut}(B^{n_1})$  defined on an open neighborhood  $O$  of  $\psi_1$ . Without loss of generality, we may assume that

$$\{\psi_1^v\} \subset O \quad \text{and in (2.3)} \quad \gamma(\psi_1^v) = \begin{pmatrix} A^v & b^v \\ c^v & d^v \end{pmatrix} \quad \text{for } v=1, 2, \dots$$

Then we have

$$\lim_{v \rightarrow \infty} \begin{pmatrix} A^v & b^v \\ c^v & d^v \end{pmatrix} = \gamma(\psi_1) \in U(n_1, 1).$$

This combined with (2.2) assures that  $\{\psi_v\}$  converges to some  $\psi \in \text{Aut}(E)$ , as desired. Now, notice here that each  $\psi_v$  as well as  $\psi$  are defined on  $B^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}$ ; and, in fact,

(2.6)  $\{\psi, \psi_v; v=1, 2, \dots\} \subset \text{Aut}(B^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s})$ ;

(2.7)  $\psi_v(z) \rightarrow \psi(z)$  (resp.  $\psi_v^{-1}(z) \rightarrow \psi^{-1}(z)$ ) uniformly on compact subsets of  $B^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}$ .

Hence we have  $z^o := \lim_{v \rightarrow \infty} \psi_v(y^v) = \psi(x) \in \partial E$ , because the set  $\{x, y^v; v=1, 2, \dots\}$  is now compact in  $B^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}$  by (2.5). Therefore, Case I in the proof of [12; Theorem I] does not occur in our Case B. Once it is shown that there exists a small open neighborhood  $U$  of  $z^o$  such that  $\psi_v^{-1}(E \cap U) \subset E \cap Q = D \cap Q$  for all sufficiently large  $v$ , the rest of our proof can be done with exactly the same arguments as in the proof (Case II, pp.181–190) of [12; Theorem I] only by setting  $\Gamma = \text{id}_{\mathbf{C}^n}$  throughout. Therefore, it is enough to prove the existence of such a neighborhood  $U$  of  $z^o$ . To this end, taking (2.5) into account, we choose an open neighborhood  $V$  of  $x$  with compact closure in  $(B^{n_1} \times \mathbf{C}^{n_2} \times \dots \times \mathbf{C}^{n_s}) \cap Q$ . Then, by (2.6) and (2.7) we see that  $\psi(V) = \lim_{v \rightarrow \infty} \psi_v(V)$  is an open neighborhood of  $z^o$  and

$\psi_v^{-1}(\psi(V)) \subset (B^{n_1} \times \mathbf{C}^{n_2} \times \cdots \times \mathbf{C}^{n_s}) \cap Q$  for all sufficiently large  $v$ . Hence, every open neighborhood  $U$  of  $z^o$  with  $U \subset \psi(V)$  satisfies the requirement above. This completes the proof of the lemma in the case  $n_1 > 0$ .

Finally, consider the case  $n_1 = 0$ . Then, setting  $\Gamma = \text{id}_{\mathbf{C}^n}$  and also  $\psi_v = \text{id}_{\mathbf{C}^n}$  for all  $v$ , and proceeding along exactly the same line as in the proof (Case II, pp.181–190) of [12; Theorem I], we can check that  $D$  is biholomorphically equivalent to some generalized complex ellipsoid  $\tilde{E}$  that precedes  $E$ ; thereby completing the proof of the lemma.

Q.E.D.

**Proof of the Theorem.** After relabeling the indices, one may assume that

$$(2.8) \quad n_2 = \cdots = n_k = 1 < n_{k+1}, \dots, n_s \text{ for some integer } k \ (1 \leq k \leq s).$$

Here it is understood that all  $n_2, \dots, n_s \geq 2$  if  $k = 1$ , and also  $n_2 = \cdots = n_s = 1$  if  $k = s$ .

By virtue of the Lemma,  $D$  is now biholomorphically equivalent to a generalized complex ellipsoid  $\tilde{E}$  in  $\mathbf{C}^n$  that precedes  $E$ . Therefore, remembering the definition of precedence and renaming the indices if necessary, we may assume that  $D$  is biholomorphically equivalent to the generalized complex ellipsoid  $E^*$  in  $\mathbf{C}^n$  defined by

$$E^* = \{z = (z_1, \dots, z_s) \in \mathbf{C}^{n_1} \times \cdots \times \mathbf{C}^{n_s} = \mathbf{C}^n; \rho(z) < 1\},$$

where

$$\rho(z) = \|z_1\|^2 + \sum_{a=2}^j |z_a|^2 + \sum_{a=j+1}^k |z_a|^{2p_a} + \sum_{b=k+1}^l \|z_b\|^2 + \sum_{b=l+1}^s \|z_b\|^{2p_b}$$

for some integers  $j, l$  ( $1 \leq j \leq k \leq l \leq s$ ), with the natural understanding that some of summands may vanish (for example,  $\sum_{a=2}^j |z_a|^2 = 0$  if  $j = 1$ ). Let us fix a biholomorphic mapping  $F: D \rightarrow E^*$  and take a point

$$z^* = (z_1^*, \dots, z_s^*) \in Q \cap \partial D \quad \text{with} \quad \|z_1^*\| \cdots \|z_s^*\| \neq 0.$$

There is a sequence  $\{z^i\}$  in  $D$  such that

$$z^i \rightarrow z^* \text{ and } F(z^i) \rightarrow w^* \text{ for some point } w^* \in \partial E^*.$$

Since  $z^*$  is a  $\mathbf{C}^\omega$ -smooth strictly pseudoconvex boundary point of  $D$  and since  $w^*$  satisfies Condition (P) in the sense of Forstnerič and Rosay [5], the inverse mapping  $F^{-1}: E^* \rightarrow D$  of  $F$  has a continuous extension  $G: W \cap \bar{E}^* \rightarrow \bar{D}$  by [5], where  $W$  is a sufficiently small open neighborhood of  $w^*$  in  $\mathbf{C}^n$ . Clearly  $G(w^*) = z^*$ . So there exist open neighborhoods  $U^*$ ,  $W^*$  of  $z^*$ ,  $w^*$  in  $\mathbf{C}^n$ , respectively, such that

$$U^* \subset Q \cap \{(z_1, \dots, z_s) \in \mathbf{C}^n; \|z_1\| \cdots \|z_s\| \neq 0\};$$

$$W^* \subset W \text{ and } G(W^* \cap \bar{E}^*) \subset U^*.$$

Take a point

$$w^{**} = (w_1^{**}, \dots, w_s^{**}) \in W^* \cap \partial E^* \text{ with } \|w_1^{**}\| \cdots \|w_s^{**}\| \neq 0$$

and set  $z^{**} = G(w^{**}) \in U^* \cap \partial D$ . Then  $z^{**}$  and  $w^{**}$  are  $\mathbf{C}^\omega$ -smooth strictly pseudoconvex boundary points of  $D$  and  $E^*$ , respectively. Applying again the extension theorem of Forstnerič and Rosay [5] to the biholomorphic mappings  $F: D \rightarrow E^*$  and  $F^{-1}: E^* \rightarrow D$ , one can find open neighborhoods  $U^{**}$ ,  $W^{**}$  of  $z^{**}$ ,  $w^{**}$  respectively in  $\mathbf{C}^n$  such that

$$(2.9) \quad U^{**} \subset U^*, \quad W^{**} \subset W^* \text{ and } U^{**} \cap \partial D \text{ is a connected subset of } \partial D;$$

$$(2.10) \quad F \text{ extends to a homeomorphism } H: U^{**} \cap \bar{D} \rightarrow W^{**} \cap \bar{E}^* \text{ with } H^{-1} = G \text{ on } W^{**} \cap \bar{E}^*.$$

Now, define the mappings  $\Pi_1, \Pi_2: \mathbf{C}^n \rightarrow \mathbf{C}^n$  by setting

$$\Pi_1(z) = (z_1, (z_2)^{p_2}, \dots, (z_k)^{p_k}, z_{k+1}, \dots, z_s),$$

$$\Pi_2(z) = (z_1, \dots, z_j, (z_{j+1})^{p_{j+1}}, \dots, (z_k)^{p_k}, z_{k+1}, \dots, z_s)$$

for  $z = (z_1, \dots, z_s) \in \mathbf{C}^{n_1} \times \cdots \times \mathbf{C}^{n_s} = \mathbf{C}^n$ ; and consider the generalized complex ellipsoids  $E_1, E_2$  in  $\mathbf{C}^n$  defined by

$$E_1 = E(n; n_1 + \cdots + n_k, n_{k+1}, \dots, n_s; 1, p_{k+1}, \dots, p_s),$$

$$E_2 = E(n; n_1 + \cdots + n_b, n_{l+1}, \dots, n_s; 1, p_{l+1}, \dots, p_s).$$

Since  $n_2 = \cdots = n_k = 1$  by (2.8) and since  $2 \leq p_2, \dots, p_k \in \mathbf{Z}$  by (1.1), both  $\Pi_1$  and  $\Pi_2$  are proper holomorphic mappings from  $\mathbf{C}^n$  onto  $\mathbf{C}^n$  such that

$$(2.11) \quad \Pi_1(E) = E_1 \text{ and } \Pi_2(E^*) = E_2;$$

$$(2.12) \quad \Pi_1 \text{ and } \Pi_2 \text{ are injective near } z^{**} \text{ and } w^{**}, \text{ respectively.}$$

After shrinking  $U^{**}$  and  $W^{**}$  if necessary, we can therefore assume that the restrictions  $\Pi_1|U^{**}: U^{**} \rightarrow \Pi_1(U^{**})$  and  $\Pi_2|W^{**}: W^{**} \rightarrow \Pi_2(W^{**})$  are biholomorphic mappings. Consider here the homeomorphism

$$\Psi := \Pi_2 \circ H \circ (\Pi_1|U^{**} \cap \bar{D})^{-1}: \Pi_1(U^{**}) \cap \bar{E}_1 \rightarrow \Pi_2(W^{**}) \cap \bar{E}_2.$$

Then, it is obvious that the hypotheses (2) and (3) of Theorem D-S hold with  $x_1 = \Pi_1(z^{**})$ ,  $x_2 = \Pi_2(w^{**})$ ,  $U_1 = \Pi_1(U^{**})$  and  $U_2 = \Pi_2(W^{**})$ . Moreover, in view of (1.3), the set  $\mathcal{W}(E_1)$  (resp.  $\mathcal{W}(E_2)$ ) is contained in the union of finitely many complex linear subspaces of  $\mathbf{C}^n$  of codimension at least 2 if and only if all

$n_{k+1}, \dots, n_s \geq 2$  (resp.  $n_{l+1}, \dots, n_s \geq 2$ ), which is now guaranteed by (2.8). (Note that  $p_{k+1}, \dots, p_s \geq 2$  and  $l \geq k \geq 1$ .) Therefore, Theorem D-S can be applied to obtain a biholomorphic mapping  $\Phi: E_1 \rightarrow E_2$  such that  $\Psi(z) = \Phi(z)$  for all  $z \in \Pi_1(U^{**}) \cap E_1$ , or equivalently

$$\Phi^{-1} \circ \Pi_2 \circ F(z) = \Pi_1(z) \quad \text{for all } z \in U^{**} \cap D;$$

consequently  $\Phi^{-1} \circ \Pi_2 \circ F(z) = \Pi_1(z)$  for all  $z \in D$  by the principle of analytic continuation. This combined with the fact that  $\Phi^{-1} \circ \Pi_2 \circ F: D \rightarrow E_1$  is a proper mapping yields at once that  $D = E$  as sets.

Finally, since  $\text{Aut}(E) = \text{Aut}(D)$  is now non-compact by the hypothesis (3) of the theorem, one concludes that  $n_1 > 0$ , i.e., at least one of the  $p_i$ 's must be equal to 1. (Recall the understanding made after (1.2).) This completes the proof of the theorem. Q.E.D.

**REMARK 1.** In the proof above, one can assume that the continuous extension  $H: U^{**} \cap \bar{D} \rightarrow W^{**} \cap \bar{E}^*$  of  $F$  is the restriction of a biholomorphic mapping from  $U^{**}$  onto  $W^{**}$  (after shrinking  $U^{**}$  and  $W^{**}$  if necessary). In fact, this immediately follows from [4,14] or [1], because by the construction both  $U^{**} \cap \partial D$  and  $W^{**} \cap \partial E^*$  are  $C^\omega$ -smooth strictly pseudoconvex real hypersurfaces in  $\mathbb{C}^n$  and  $H: U^{**} \cap \partial D \rightarrow W^{**} \cap \partial E^*$  is a CR-homeomorphism.

**REMARK 2.** In the theorem, assume the following (2)\* instead of (2):

(2)\* *There exist a point  $\tilde{x} \in \partial E$ , open neighborhoods  $Q$  of  $x$ ,  $\tilde{Q}$  of  $\tilde{x}$ , and a biholomorphic mapping  $\Gamma: Q \rightarrow \tilde{Q}$  such that  $\Gamma(x) = \tilde{x}$  and  $\Gamma(D \cap Q) = E \cap \tilde{Q}$ .*

Then, a glance at our proof of the theorem tells us that  $D$  is biholomorphically equivalent to  $E$  and that at least one of the  $p_i$ 's must be equal to 1.

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