

ON $SL(2)$ -ACTIONS
WITHOUT 3-DIMENSIONAL ORBITS

BY

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Let us assume that $SL(2)$ acts algebraically on an irreducible algebraic variety X . The purpose of this paper is to investigate the existence of quotients (Definition 1) of some open subsets of X by an $SL(2)$ -action.

We deal with an action of $SL(2)$ for which the maximal dimension of orbits equals 2. Cases of the maximal dimension of orbits equal to 0 or 1 are known: the first is trivial, the second one is described by Konarski [5] (see Section 2 of this paper).

Let G_x^0 be the component of the identity of the isotropy subgroup at a point $x \in X$. We show that there are two possibilities: either there exists an open subset $U \subset X$ composed of all points $x \in X$ such that G_x^0 is conjugate to T or there exists an open subset $U \subset X$ composed of all points $x \in X$ such that G_x^0 is conjugate to k^+ (Theorem 2). In the first case we prove that there exists a geometric quotient of U by $SL(2)$ (Theorem 5). This quotient can be complete or incomplete. We give appropriate examples. In the second case we construct an open subset $V \subset U$ such that the quotient of V by $SL(2)$ exists and is complete (Theorem 4).

0. Assumptions and notation. All algebraic varieties, groups and morphisms are defined over an algebraically closed field k of characteristic zero.

Let an algebraic group G act on an algebraic variety X . Then X is called a G -variety. By X^G we denote the variety of fixed points. For $x \in X$ let G_x denote the isotropy subgroup at a point x and let G_x^0 denote the component of the identity of G_x .

For any two subgroups H_1 and H_2 of G we write $H_1 \cong H_2$ if H_1 and H_2 are conjugate in G , and $H_1 \subseteq H_2$ if there exists a subgroup H_3 such that $H_3 \subset H_2$ and $H_1 \cong H_3$.

For any connected subgroup $H \subset SL(2)$ let

$$X_H = \{x \in X : G_x^0 \cong H\}.$$

Let

$$SL(2) = \left\{ \begin{pmatrix} a & b \\ c & d \end{pmatrix} : ad - bc = 1, a, b, c, d \in k \right\}$$

in its usual matrix representation. Let

$$B = \left\{ \begin{pmatrix} a & b \\ 0 & 1/a \end{pmatrix} : a \in k^*, b \in k \right\},$$

$$T = \left\{ \begin{pmatrix} a & 0 \\ 0 & 1/a \end{pmatrix} : a \in k^* \right\},$$

$$N(T) = \left\{ \begin{pmatrix} a & 0 \\ 0 & 1/a \end{pmatrix}, \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} \begin{pmatrix} a & 0 \\ 0 & 1/a \end{pmatrix} : a \in k^* \right\},$$

and

$$N_n = \left\{ \begin{pmatrix} \varepsilon & b \\ 0 & 1/\varepsilon \end{pmatrix} : \varepsilon^n = 1, b \in k \right\}, \quad .$$

$n = 1, 2, \dots, N_1 = k^+$.

DEFINITION 1. Let G be an algebraic group acting on an algebraic variety X and let $f: X \rightarrow Y$ be a G -morphism of algebraic varieties with the trivial action of G on Y . Then (Y, f) is said to be:

(a) a *categorical quotient* if for any G -morphism $g: X \rightarrow Z$, where Z is a variety with the trivial action of G , there exists a unique morphism $h: Y \rightarrow Z$ such that $g = h \circ f$ ([11], Definition 1.4);

(b) a *quotient* if the following conditions are satisfied:

(1) f is surjective and open,

(2) for any open subset $U \subset Y$, $k[U] \rightarrow k[f^{-1}(U)]^G$ is an isomorphism, where $k[U]$ denotes the ring of regular functions on U ,

(3) for any $y \in Y$, $f^{-1}(y)$ is exactly one orbit of the G -action on X ([3], 6.3),

(c) a *geometric quotient* if it is a quotient and f is an affine morphism ([11], Definition 1.6).

If (Y, f) is a categorical quotient or a quotient, let us denote by X/G the variety Y .

Remark 1. It follows directly from the above definition that if (Y, f) is a categorical quotient of X by G , then f is surjective, and if (Y, f) is a quotient, then it is a categorical quotient.

1. A technical theorem.

THEOREM 1. Let X be an algebraic variety and let two algebraic groups G_1 and G_2 act on X in such a way that those actions commute. Assume that there exist categorical quotients $(X/G_1, \alpha)$, $((X/G_1)/G_2, \beta)$, $(X/G_2, \varphi)$. Then there exists a categorical quotient $((X/G_2)/G_1, \psi)$ such that

$$(X/G_2)/G_1 = (X/G_1)/G_2.$$

Moreover, if $(X/G_1, \alpha)$ and $((X/G_1)/G_2, \beta)$ are quotients, then $((X/G_2)/G_1, \psi)$ is

also a quotient, and if $(X/G_1, \alpha)$ and $((X/G_1)/G_2, \beta)$ are geometric quotients and G_2 is a linearly reductive group, then $((X/G_2)/G_1, \psi)$ is also a geometric quotient.

Proof. Since $\beta \circ \alpha: X \rightarrow (X/G_1)/G_2$ is constant on G_2 -orbits, the diagram

$$\begin{array}{ccc} X & \xrightarrow{\alpha} & X/G_1 \\ \downarrow \varphi & & \downarrow \beta \\ X/G_2 & & (X/G_1)/G_2 \end{array}$$

can be completed by the unique $\psi: X/G_2 \rightarrow (X/G_1)/G_2$ such that $\beta \circ \alpha = \psi \circ \varphi$.

One can show that $((X/G_1)/G_2, \psi)$ is a categorical quotient of X/G_2 by G_1 , i.e., ψ is a G_1 -morphism with the universality property.

Now assume that $(X/G_1, \alpha)$ and $((X/G_1)/G_2, \beta)$ are quotients. Then it can be shown that ψ is an open morphism, ψ separates G_1 -orbits and for any open subset $U \subset (X/G_1)/G_2$ the induced homomorphism

$$\psi^*: k[U] \rightarrow k[\psi^{-1}(U)]^{G_1}$$

is an isomorphism. Hence $((X/G_1)/G_2, \psi)$ is a quotient of X/G_2 by a G_1 -action.

Let us assume that $(X/G_1, \alpha)$ and $((X/G_1)/G_2, \beta)$ are geometric quotients and G_2 is a linearly reductive group. Then ψ is an affine morphism. Indeed, let A be an affine open subset of $(X/G_1)/G_2$. Then $A_1 = \alpha^{-1} \beta^{-1}(A)$ is an affine subset of X . The k -algebra $k[A_1]^{G_2}$ is finitely generated ([7], p. 183), so the set

$$\psi^{-1}(A) = \varphi(A_1) = A_1/G_2 = \text{Spec } k[A_1]^{G_2}$$

is affine.

The proof of Theorem 1 is complete.

2. SL(2)-actions; the general situation. From now on G always denotes SL(2).

THEOREM 2. *Let $G = \text{SL}(2)$ act on a normal irreducible algebraic variety X . Then there exist a connected subgroup $H \subset G$ and a non-empty open subset $U \subset X$ such that $x \in U$ if and only if $G_x^0 \cong H$.*

Proof. All orbits of maximal dimension form a dense subset of X (see [10]). We have four possibilities:

(a) There exists an orbit of dimension 3. Let U be the subset composed of all 3-dimensional orbits. Then $H = \{e\}$ and U satisfy the conclusion of the theorem since

$$U = X \setminus \{x \in X: \dim G_x \geq 1\}$$

and, for any n , the set $\{x \in X: \dim G_x \geq n\}$ is closed (see [6], Part 0 in Section 3).

(b) There is no 3-dimensional orbit and there exists an orbit of dimension 2. Let V be the subset composed of all 2-dimensional orbits. Then V is dense in X . Moreover, $V = X_{k^+} \cup X_T$ since, up to conjugation, k^+ and T are

the only two 1-dimensional connected subgroups of $SL(2)$ (see [8]). For $H = k^+$ or $H = T$ we have

$$X_H = G(X^H \setminus X^B) = G(X^H) \setminus G(X^B),$$

so X_H is constructible. $X = \bar{V} = \bar{X}_{k^+} \cup \bar{X}_T$ and, by the irreducibility of X , $X = \bar{X}_{k^+}$ or $X = \bar{X}_T$.

(1) $X = \bar{X}_{k^+}$. Since $\bar{X}_{k^+} = \{x \in X: k^+ \subseteq G_x\}$ (see Theorem 3 in [4]), \bar{X}_{k^+} is composed of all 2-dimensional orbits, i.e.,

$$\bar{X}_{k^+} = \{x \in X: \dim G_x \geq 1\} \setminus \{x \in X: \dim G_x \geq 2\}.$$

Hence \bar{X}_{k^+} is locally closed, so $H = k^+$ and $U = \bar{X}_{k^+}$ satisfy the conclusion of the theorem.

(2) $X = \bar{X}_T$. Since (again by Theorem 3 in [4])

$$X_T = (\{x \in X: \dim G_x \geq 1\} \setminus \{x \in X: \dim G_x \geq 2\}) \setminus \bar{X}_{k^+},$$

X_T is locally closed. Hence $H = T$ and $U = X_T$ satisfy the conclusion of the theorem.

(c) The maximal dimension of orbits is equal to 1. Then $H = B$ and $U = X$ satisfy the conclusion of the theorem (see Theorem 5 in [5]).

(d) The maximal dimension of orbits is equal to 0. Then the action is trivial, so $H = SL(2)$ and $U = X$ satisfy the theorem.

We can also show the following theorem:

THEOREM 3. *Let $G = SL(2)$ act on a normal irreducible algebraic variety X without 3-dimensional orbits. Then there exist a subgroup $H \subset G$ and a non-empty open subset $U \subset X$ such that $x \in U$ if and only if $G_x \cong H$.*

Proof. Parts (c) and (d) of the proof of the previous theorem give Theorem 3 in the case of maximal dimension of orbits equal to 0 or 1.

Let us assume that the maximal dimension of orbits is equal to 2. Then X_{k^+} or X_T is open in X .

(1) Let X_{k^+} be open in X . We have

$$X_{k^+} = \bigcup_{n \in N} \{x \in X: G_x \cong N_n\}.$$

It can be shown that this sum is finite. Let $k_1 < k_2 < \dots < k_s$ be all positive integers such that

$$\{x \in X: G_x \cong N_{k_i}, i = 1, 2, \dots, s\} \neq \emptyset$$

and

$$\{x \in X: G_x \cong N_n \text{ for } n \neq k_i, i = 1, 2, \dots, s\} = \emptyset.$$

Since N_n can be deformed to N_p only if $n|p$ (see Theorem 4 in [4]), $H = N_{k_1}$ and $U = \{x \in X: G_x \cong N_{k_1}\}$ satisfy the conclusion of the theorem.

(2) Let X_T be open in X and let

$$Z = \{x \in X : G_x \cong N(T)\}.$$

Since there is no deformation of $N(T)$ to T (see Theorem 6 in [4]), Z is a closed subset of X_T . Let us take $H = N(T)$ and $U = Z$ if $X_T = Z$ or $H = T$ and $U = X_T \setminus Z$ if $X_T \setminus Z \neq \emptyset$.

Remark 2. In the case where X contains an affine non-empty G -invariant open subset it follows from [9] that there exists an open subset U such that, for any $x, y \in U$, $G_x \cong G_y$.

3. Existence of quotients for SL(2)-actions without 3-dimensional orbits. The goal of this paper is to investigate the existence of the quotient $U/\text{SL}(2)$, where U is described by Theorem 2. In the case of $U = X_{k^+}$ it turns out that the quotient of U may not exist but there exists a quotient of an open set $V \subset U$ which is complete (see Theorem 4).

By Theorem 2 there are five possibilities for H : $\text{SL}(2)$, B , k^+ , T and $\{e\}$. The case $H = \text{SL}(2)$ is trivial. In the case of $H = B$ (see Theorem 5 in [5]) all orbits are projective, isomorphic to P^1 , and X is isomorphic to the product $P^1 \times X^B$. In this section we discuss the cases $H = k^+$ and $H = T$.

Let $G = \text{SL}(2)$ act on an irreducible normal variety X with the maximal dimension of orbits equal to 2. For $H = k^+$ or $H = T$, the set

$$U = X_H = \{x \in X : G_x^0 \cong H\}$$

is non-empty and open.

Let us define actions of G and $N(H)$ on $U^H \times G/H$ in the following way:

$$g(x, [h]) = (x, [gh]) \quad \text{and} \quad n(x, [h]) = (nx, [hn^{-1}])$$

for $g \in G$, $n \in N(H)$, $x \in U^H$ and $[h] \in G/H$. These actions are well defined.

Since $H \triangleleft N(H)$ acts trivially on $U^H \times G/H$, the action of $N(H)$ induces an action of $N(H)/H$. Easy computations show that actions of G and $N(H)/H$ commute.

LEMMA. (a) Let $\alpha: U^H \times G/H \rightarrow U^H$ be the projection. Then (U^H, α) is a quotient of $U^H \times G/H$ by G .

(b) Let $\varphi: U^H \times G/H \rightarrow U$ be defined by $\varphi(x, [g]) = gx$ for any $x \in U^H$ and $[g] \in G/H$. Then (U, φ) is a quotient of $U^H \times G/H$ by $N(H)/H$.

Proof. We shall prove (b) (the proof of (a) is obvious). φ is surjective, constant on $(N(H)/H)$ -orbits and separates $(N(H)/H)$ -orbits. In fact, let

$$\varphi(x_1, [g_1]) = \varphi(x_2, [g_2]) \quad \text{for } x_1, x_2 \in U^H, [g_1], [g_2] \in G/H.$$

Then $nG_{x_1}^0 n^{-1} = G_{x_2}^0$ with $n = g_2^{-1} g_1$. Since $G_{x_i}^0 = H$ ($i = 1, 2$), we get $n \in N(H)$ and

$$(x_2, [g_2]) = n(x_1, [g_1]).$$

Moreover, an easy computation shows that $N(H)/H$ acts on $U^H \times G/H$ with all isotropy subgroups equal to $\{e\}$. Hence any two fibres of φ have the same dimension equal to $\dim N(H)/H$. The set U is normal as an open subset of X . By A.G.18.4 in [3], φ is open and, by Theorem 6.6 in [3], (U, φ) is a quotient of $U^H \times G/H$ by $N(H)/H$.

THEOREM 4. *Let X be a smooth irreducible projective (resp., complete) variety with an algebraic action of $G = \text{SL}(2)$ such that*

$$X_{k^+} = \{x \in X : G_x^0 \cong k^+\}$$

is dense in X . Then X_{k^+} is open in X and for some non-empty G -stable open subset $V \subset X_{k^+}$ there exists a quotient of V by G which is projective (resp., complete).

Remark 3. As V one may take $G(Y)$, where Y is the intersection of the set $(X_{k^+})^{k^+}$ with the difference of the open cell of the $(T = N(k^+)/k^+)$ -action on X and X^T .

Proof. In this situation we have $N(k^+) = B$,

$$\begin{array}{ccc} U^{k^+} \times G/k^+ & \xrightarrow{\alpha} & U^{k^+} \\ \downarrow \varphi & & \\ U & & \end{array}$$

where α and φ are defined in the Lemma, and B/k^+ acts on U^{k^+} . Since T normalizes k^+ , U^{k^+} is T -invariant. We have Białynicki-Birula's decomposition of X determined by the induced action of T :

$$X = \bigcup_{i=1}^r X_i$$

with T -invariant locally closed X_i such that each X_i corresponds to exactly one connected component F_i of X^T and $F_i \subset X_i$ (see [1]). Since $U^{k^+} \subset U \subset X \setminus X^T$, we have

$$U^{k^+} = \bigcup_{i=1}^r U_i^{k^+},$$

where $U_i^{k^+} = U^{k^+} \cap (X_i \setminus F_i)$, $i = 1, 2, \dots, r$. Fix $i \in \{1, \dots, r\}$.

$U_i^{k^+}$ is a locally closed subset of U^{k^+} since it can be written as a difference of a locally closed $U^{k^+} \cap X_i$ and closed $U^{k^+} \cap F_i$. Hence $U_i^{k^+} \times G/k^+$ is a locally closed subset of $U^{k^+} \times G/k^+$. It is also T -invariant, so it can be written as a difference of two T -invariant closed subsets of $U^{k^+} \times G/k^+$. Since φ is open, $\varphi(F) \subset U$ is closed for any closed T -stable subset $F \subset U^{k^+} \times G/k^+$. Hence $\varphi(U_i^{k^+} \times G/k^+)$ is locally closed in U . Consequently, U is a finite sum of locally closed subsets:

$$U = \bigcup_{i=1}^r \varphi(U_i^{k^+} \times G/k^+).$$

One of these subsets, say $V = \varphi(U_1^{k^+} \times G/k^+)$, has to be open in U . We have

$$U_1^{k^+} = U^{k^+} \cap (X_1 \setminus F_1) = X^{k^+} \cap (X_1 \setminus F_1)$$

($\bar{X}_{k^+} = X$, so $k^+ \cong G_x$ for any $x \in X$, and $X^B = X^T$). $U_1^{k^+}$ is a T -stable and closed subset of $X_1 \setminus F_1$.

There exists a geometric quotient of $X_1 \setminus F_1$ by T ([12], Corollary 3). Hence there exists also a geometric quotient of $U_1^{k^+}$ by T which is closed in $(X_1 \setminus F_1)/T$ ([6], Proposition 1.9). If X is projective (resp., complete), then by the results of Section 2 and Theorem 3.1 in [2] the quotient $(X_1 \setminus F_1)/T$ is projective (resp., complete) ($X_1 \setminus F_1$ is identical to the sectional set corresponding to the section $A^+ = \{F_1\}$, $A^- = \{F_2, \dots, F_r\}$ in the terminology of [2]). Hence $U_1^{k^+}/T$ is also projective (resp., complete). We have

$$\begin{array}{ccc} U_1^{k^+} \times G/k^+ & \xrightarrow{\alpha} & U_1^{k^+} \\ \downarrow \varphi & & \downarrow \beta \\ V = \varphi(U_1^{k^+} \times G/k^+) & & U_1^{k^+}/T \end{array}$$

where $(U_1^{k^+}, \alpha)$ and (V, φ) are quotients and $(U_1^{k^+}/T, \beta)$ is the geometric quotient. By Theorem 1 there exists a quotient $(V/G, \psi)$ such that $V/G = U_1^{k^+}/T$.

PROBLEM (P 1378). Under the assumptions of Theorem 4 there are two canonical decompositions of X for the torus T ([1], Theorem 4.3), so there are two open cells corresponding to them. Hence there exist two different open subsets V_1 and V_2 for which $V_i/\text{SL}(2)$ exist and are projective (resp., complete). Does there exist another such V for which $V/\text{SL}(2)$ exists and is projective (resp., complete)?

THEOREM 5. *Let X be an irreducible normal variety with an algebraic action of $G = \text{SL}(2)$ such that*

$$X_T = \{x \in X: G_x^0 \cong T\}$$

is dense in X . Then X_T is open in X and there exists a geometric quotient of X_T by G .

Proof. We have

$$\begin{array}{ccc} U^T \times G/T & \xrightarrow{\alpha} & U^T \\ \downarrow \varphi & & \\ U & & \end{array}$$

where α and φ are defined in the Lemma and $N(T)/T$ acts on U^T . Since

$$T_2 = \left\{ \begin{pmatrix} \varepsilon & 0 \\ 0 & 1/\varepsilon \end{pmatrix} : \varepsilon^2 = 1 \right\}$$

normalizes T , U^T is T_2 -invariant. There exists a geometric quotient of U^T by T_2 (a consequence of Theorem 1.3 and Proposition 0.8 in [6]). Let us denote it by $(U^T/T_2, \beta)$. Since G/T is affine, $\alpha: U^T \times G/T \rightarrow U^T$ is an affine morphism. Hence (U^T, α) is a geometric quotient by G . We have

$$\begin{array}{ccc} U^T \times G/T & \xrightarrow{\alpha} & U^T \\ \downarrow \varphi & & \downarrow \beta \\ U & & U^T/T_2 \end{array}$$

By Theorem 1 there exists a geometric quotient $(U/G, \psi)$ such that $U/G = U^T/T_2$.

Remark 4. We shall show (see Examples 1 and 2) that under the assumptions of Theorem 5 nothing can be said about projectivity of $X_T/\mathrm{SL}(2)$.

We fix some notation. Let $k(\varrho_i)$ be the vector space of homogeneous polynomials of degree i in two variables x and y , with the $\mathrm{SL}(2)$ -action determined by the following equalities:

$$g(x) = ax + cy \quad \text{and} \quad g(y) = bx + dy \quad \text{for } g = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \in \mathrm{SL}(2).$$

Let $k(\varrho_i \oplus \varrho_j)$ denote the direct sum of $k(\varrho_i)$ and $k(\varrho_j)$ with the direct sum of $\mathrm{SL}(2)$ -actions on $k(\varrho_i)$ and $k(\varrho_j)$. By $P(\varrho_i \oplus \varrho_j)$ we denote the projectivization of the space $k(\varrho_i \oplus \varrho_j)$ with the projectivization of $\mathrm{SL}(2)$ -action.

EXAMPLE 1. In $P^{11} = P(\varrho_4 \oplus \varrho_6)$ let us take two projective lines P_1 and P_2 such that

$$P_1 = \{tx^3y \oplus sx^4y^2: (t, s) \neq (0, 0)\},$$

$$P_2 = \{txy^3 \oplus sx^2y^4: (t, s) \neq (0, 0)\}.$$

For any $p \in P_1 \cup P_2$, $G_p = T$ and, for any $q \notin P_1 \cup P_2$, $G_q \neq T$.

Let $U = \mathrm{SL}(2)(P_1 \cup P_2)$ and $X = \bar{U}$ in P^{11} . Then $U = X_T$ and, by Theorem 5, there exists $U/\mathrm{SL}(2) = U^T/T_2$. But $U^T = P_1 \cup P_2$. There is only one element of order 2 in $\mathrm{SL}(2)$, namely $-e$, and it acts as e at points of $P_1 \cup P_2$. Hence $U^T/T_2 = U^T$ is projective.

EXAMPLE 2. In $P^5 = P(\varrho_0 \oplus \varrho_4)$ let us take an affine line Y such that

$$Y = \{s \oplus x^2y^2: s \in k\}.$$

For any $p \in Y$, $G_p = N(T)$ and, for any $q \notin Y$, $G_q \neq N(T)$.

Let $U = \mathrm{SL}(2)(Y)$ and $X = \bar{U}$ in P^5 . Then $U = X_T$. By Theorem 5, there exists $U/\mathrm{SL}(2) = U^T/T_2$. But $U^T = Y$ and $-e$ acts as e at points of Y . Hence $U^T/T_2 = U^T$ is affine.

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