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STEINNESS OF BUNDLES WITH FIBER A REINHARDT BOUNDED DOMAIN

KARL OELJEKLAUS & DAN ZAFFRAN

1. INTRODUCTION AND NOTATIONS

Stein manifolds can be characterized by the fact that they holomorphically embed in \mathbb{C}^N for some N . From that point of view it is obvious that if F and B are Stein manifolds, then the product $E = F \times B$ is Stein. More generally, take a fiber bundle E with fiber F and with basis B , which we shall denote by $E \xrightarrow{F} B$. Is such an E necessarily Stein? That question was asked fifty years ago by J.-P. Serre (cf. [Ser]), and is often referred to as “the Serre problem” in the literature. A counterexample with $F = \mathbb{C}^2$ was produced by H. Skoda in 1977 (cf. [Skoda]). On the other hand, many interesting “positive results” have been obtained (see below).

Following [Pfl-Zwo], we shall say that a Stein manifold F is of class \mathcal{S} , or $F \in \mathcal{S}$ for short, when¹: For any bundle $E \xrightarrow{F} B$ with B Stein, E is Stein.

K. Stein proved in [Stein] that if $\dim F = 0$, then $F \in \mathcal{S}$. Building on previous work by A. Hirschowitz, Y.T. Siu and N. Sibony (cf. [Hirsch], [Sib] and [Siu 1]), N. Mok proved in [Mok] that if $\dim F = 1$, then $F \in \mathcal{S}$. Skoda’s above result can be stated as: $\mathbb{C}^2 \notin \mathcal{S}$.

In this paper we focus on the case where F is a bounded domain $D \subset \mathbb{C}^n$ (“domain” means connected open subset). Several results showing that large classes of bounded domains belong to \mathcal{S} have been proved (cf. [Siu 2], [Steh] and [Die-For]). Nevertheless, in [Cœ-Lœ], G. Cœuré and J.-J. Lœb produced, for each given $A \in SL_2(\mathbb{Z})$ with $|\text{trace } A| > 2$, a non Stein bundle $E_{CL} \xrightarrow{D_{CL}} \mathbb{C}^*$ whose fiber D_{CL} is a bounded Stein domain subset of $(\mathbb{C}^*)^2$. Thus $D_{CL} \notin \mathcal{S}$. Their D_{CL} has the following properties:

- D_{CL} has the Reinhardt symmetry, i.e., it is invariant by the map $(z_1, z_2) \mapsto (\alpha_1 z_1, \alpha_2 z_2)$ for any complex numbers α_1 and α_2 of modulus 1.
- D_{CL} has an automorphism g of the form $g(z_1, z_2) = (z_1^a z_2^b, z_1^c z_2^d)$ with $\begin{bmatrix} a & b \\ c & d \end{bmatrix} = A$.

The second named author generalized their construction and gave a better understanding of those bundles. In [Zaf], a key point is the existence of a

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¹conveniently enough, that letter honors simultaneously Serre, Sibony, Siu, Skoda, Stehlé and Stein...

“natural” g -equivariant open dense embedding $D_{CL} \hookrightarrow \hat{D}_{CL}$, where $\hat{D}_{CL} \setminus D_{CL}$ is an infinite chain of rational curves. Roughly speaking, the non-Steinness of E_{CL} is “explained” by what happens near that infinite chain.

Our goal here is to answer the following “converse” question:
Let $D \subset \mathbb{C}^n$, with $n = 2$ or 3 , be *any* bounded Stein Reinhardt domain. Does D belong to \mathcal{S} ? In other words, does there exist a bundle $E \xrightarrow{D} B$ with B Stein and E non-Stein? The answer is contained in theorem 1 below. It reveals that in dimension two, Cœuré-Lœb’s examples D_{CL} (for all $A \in SL_2(\mathbb{Z})$) essentially are the only Reinhardt bounded domains not in \mathcal{S} : all other examples are provided by g -invariant subdomains of some D_{CL} . Moreover, it is easily checked that the interior of the closure in \hat{D}_{CL} of such a subdomain still contains the infinite chain of curves, so from the point of view of [Zaf], it is natural that those domains do not belong to \mathcal{S} (indeed, proofs in [Cœ-Lœ] and [Zaf] apply almost verbatim to show that they do not belong to \mathcal{S}). We shall see that both methods and results become a bit more complicated in dimension three.

We also address the following question: given D bounded and Reinhardt not in \mathcal{S} and B Stein, can we give a characterization of the Steinness of a bundle $E \xrightarrow{D} B$? For a D of dimension two or three, we answer that question in theorem 2. For a higher dimensional D , we give a partial answer in theorem 3.

We work throughout the article in the complex category. In other words, all manifolds and maps we deal with are holomorphic. By the word “bundle” we mean a locally trivial holomorphic fiber bundle. We shall also use the notations $\mathcal{O}(E)$ for the set of holomorphic functions on E , and S^1 and Δ will respectively denote the unit circle and the unit disk in \mathbb{C} .

Notice that most proofs are postponed until the end of the paper, in section 4.

We shall make use of several known results about a given bundle $E \xrightarrow{D} B$ with B Stein and $D \subset \mathbb{C}^n$ bounded and Stein. Namely:

- E is a flat bundle (see [Kaup] or [Siu 2]). That means E can be defined by locally constant transition functions. All flat bundles can be constructed as follows:

Let ρ be a morphism $\Pi_1(B) \rightarrow \text{Aut}(D)$. Such a ρ induces a $\Pi_1(B)$ -action on D . Denote by \tilde{B} the universal cover of B , and consider the diagonal action of $\Pi_1(B)$ on $\tilde{B} \times D$. Define

$$E = \frac{\tilde{B} \times D}{\Pi_1(B)}.$$

Then the projection map $\tilde{B} \times D \rightarrow \tilde{B}$ induces a map $E \rightarrow B$ that turns E into a bundle with fiber D . The *structural group* $G_{\text{struct}}(E)$ of E is by definition the image of ρ . That definition is quite improper

because $G_{struct}(E)$ does not only depend on the isomorphism class of E as an F -bundle over B , but also on the ρ chosen. That subtlety won't matter for our purposes...

- E is holomorphically separable (see [Siu 2]).
- E is Stein if $G_{struct}(E)$ is compact or contained in a compact group (see [Sib] and [Siu 2]).
- E is Stein if $G_{struct}(E)$ has finitely many connected components (see [Siu 2]).

Given $g \in Aut(D)$, there is exactly one bundle $E \xrightarrow{D} \mathbb{C}^*$ with monodromy g . Namely, $E = \frac{\mathbb{C} \times D}{\mathbb{Z}}$, where the \mathbb{Z} -action is the “diagonal action” generated by

$$\begin{aligned} \tilde{g} : \mathbb{C} \times D &\rightarrow \mathbb{C} \times D \\ (z ; d) &\mapsto (z + 1 ; g(d)). \end{aligned}$$

We shall call that bundle the *complex suspension of g* . It has infinite cyclic $\mathcal{A}(E)$, generated by g .

For simplicity, we introduce the following notations and results assuming $n = 2$, but they all extend in the “obvious” way to any $n \geq 2$.

By a well-known criterion for the Steinness of a Reinhardt domain (see [Nara]), the map

$$\begin{aligned} \text{“log”} : (\mathbb{C}^*)^2 &\rightarrow \mathbb{R}^2 \\ (z_1, z_2) &\mapsto (\log |z_1|, \log |z_2|) \end{aligned}$$

induces a one-to-one correspondence between Stein Reinhardt domains of $(\mathbb{C}^*)^2$ and open convex subsets of \mathbb{R}^2 .

Now take $D \subset (\mathbb{C}^*)^2$ a *bounded* Stein Reinhardt domain. We shall denote by $\log D$ the image of D by the above map. To make more explicit the one-to-one correspondence

$$\log D \leftrightarrow D,$$

remark that D can be recovered from $\log D$ as the image of the “tube” $\log D + i\mathbb{R}^2 \subset \mathbb{C}^2$ by the map “exp” : $(w_1, w_2) \mapsto (z_1, z_2) = (e^{w_1}, e^{w_2})$. Moreover $\log D$ contains no affine line: otherwise $\log D + i\mathbb{R}^2$ would contain a copy of \mathbb{C} on which “exp” would restrict to a non-constant map from \mathbb{C} to D , contradicting the boundedness of D . By [Zwo], the converse statement holds: for a Stein Reinhardt D , if $\log D$ contains no affine line, then D is isomorphic to a bounded domain (we won't use that fact, though).

We denote by $Aut(D)$ the group of automorphisms of D . By [Shim],

$$Aut(D) = Aut_{alg}^{\mathbb{R}}(D) \rtimes Aut_0(D),$$

where:

- $Aut_0(D)$ is the connected component of the identity,
- for each $g \in Aut_{alg}(D)$, there exist a unique $A_g = \begin{bmatrix} a & b \\ c & d \end{bmatrix} \in GL_2(\mathbb{Z})$ and unique $\alpha_1, \alpha_2 \in \mathbb{C}^*$ such that

$$g(z_1, z_2) = (\alpha_1 z_1^a z_2^b, \alpha_2 z_1^c z_2^d),$$

– $Aut_{alg}^{\mathbb{R}}(D)$ denotes the subgroup of $Aut_{alg}(D)$ of all g 's with real and positive α_i 's. Thus $Aut_{alg}(D) = Aut_{alg}^{\mathbb{R}}(D) \ltimes (S^1)^2$, and by lemma 1.4, $Aut_{alg}^{\mathbb{R}}(D)$ is a discrete group.

For $g \in Aut_{alg}(D)$, we shall denote by f_g the map

$$\begin{aligned} f_g : \log D &\rightarrow \log D \\ p &\mapsto A_g p + b_g, \end{aligned}$$

where $b_g = (\log |\alpha_1|, \log |\alpha_2|)$. The correspondence $g \leftrightarrow f_g$ is one-to-one between $Aut_{alg}^{\mathbb{R}}(D)$ and the group of affine automorphisms of $\log D$. Remark that $f_{g^{-1}}(p) = f_g^{-1}(p) = A_g^{-1}p - A_g^{-1}b_g$.

Define

$$\mathcal{A}(D) = \{A_g : g \in Aut_{alg}^{\mathbb{R}}(D)\} \subset GL_2(\mathbb{Z}).$$

It is useful to think of $\mathcal{A}(D)$ as “the set of matrices that act on D ”.

For a given bundle $E \xrightarrow{D} B$,

$$\mathcal{A}(E) = \left\{ A_g : g \in Aut_{alg}^{\mathbb{R}}(D) \cap (Aut_0(D).G_{struct}(E)) \right\} \subset \mathcal{A}(D).$$

It is useful to think of $\mathcal{A}(E)$ as “the set of matrices that are used to build E ”.

For any group of matrices \mathcal{A} , we denote

$$Spec_{\mathbb{C}} \mathcal{A} = \bigcup_{A \in \mathcal{A}} Spec_{\mathbb{C}} A.$$

We can now state the main results of this paper. We point out the importance of the set $Spec_{\mathbb{C}} \mathcal{A}(D)$ to study whether a domain D belongs to \mathcal{S} or not. Theorem 1 below in the case $n = 2$ is the main result of [Pf-Zwo]. Our proof for that case is simpler.

Theorem 1. *A bounded Stein Reinhardt domain $D \subset \mathbb{C}^n$ with $n = 2$ or 3 belongs to \mathcal{S} if and only if $Spec_{\mathbb{C}} \mathcal{A}(D) \subset S^1$. In other words:*

- For $n = 2$, $D \notin \mathcal{S}$ if and only if there exists $A \in \mathcal{A}(D)$ with $Spec_{\mathbb{C}} A = \{\lambda, \frac{1}{\lambda}\}$, $\lambda \in \mathbb{R} \setminus \{+1, -1\}$.
- For $n = 3$, $D \notin \mathcal{S}$ if and only if (cf. lemma 1.2) there exists $A \in \mathcal{A}(D)$ such that either
 - (a) $Spec_{\mathbb{C}} A = \{\lambda_1, \lambda_2, \lambda_3\}$ with λ_i 's pairwise distinct and real, or
 - (b) $Spec_{\mathbb{C}} A = \{1, \lambda, \frac{1}{\lambda}\}$ with $\lambda \in \mathbb{R} \setminus \{+1, -1\}$.

Theorem 2. *Let $D \subset \mathbb{C}^n$, with $n = 2$ or 3, be a bounded Stein Reinhardt domain. Let E be a bundle over a Stein basis, and with fiber D . Then E is Stein if and only if $Spec_{\mathbb{C}} \mathcal{A}(E) \subset S^1$.*

Theorem 3. *Let $D \subset (\mathbb{C}^*)^n$ be a bounded Stein Reinhardt domain, with $n \geq 2$. Let E be a bundle over a Stein basis, and with fiber D . If $Spec_{\mathbb{C}} \mathcal{A}(E) \subset S^1$, then E is Stein.*

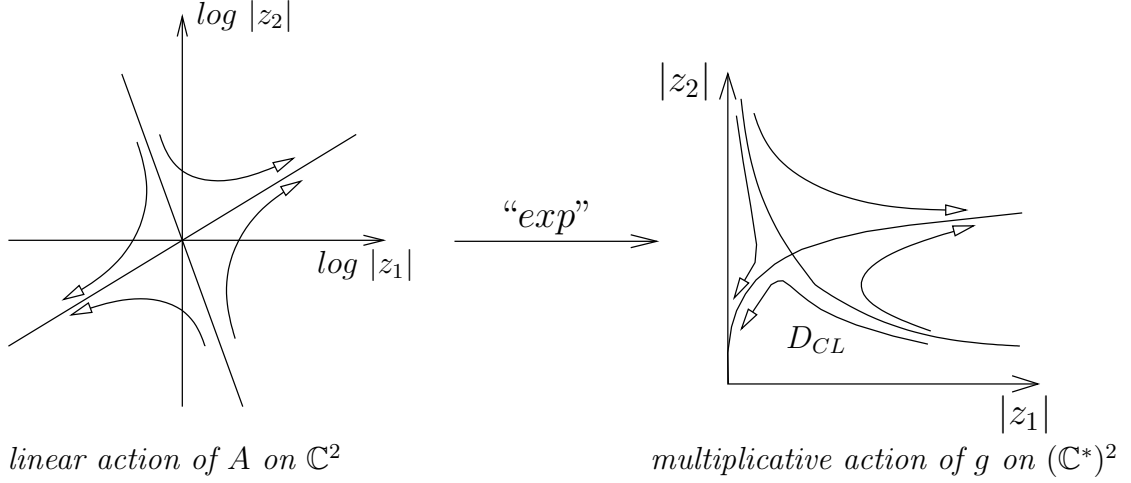
Theorem 1 naturally leads to the following

Question. For an arbitrary n , does a bounded Stein Reinhardt domain $D \subset \mathbb{C}^n$ belong to \mathcal{S} if and only if $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$?

We believe the answer to be “yes”.

Geometric description of domains not in \mathcal{S}

For $n = 2$. It follows from theorem 1 that if $D \notin \mathcal{S}$, then D has an automorphism g of the form $g(z_1, z_2) \mapsto (z_1^a z_2^b, z_1^c z_2^d)$ with $A = \begin{bmatrix} a & b \\ c & d \end{bmatrix} \in GL_2(\mathbb{Z})$ and $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \not\subset S^1$. Up to replacing A by A^2 , we can assume that $A \in SL_2(\mathbb{Z})$ and $\text{Spec}_{\mathbb{C}} A = \{\lambda, \frac{1}{\lambda}\}$, $\lambda \in (1, +\infty)$. Then no entry of A is zero, therefore g maps both axes to $(0, 0)$, so D must be a subset of $(\mathbb{C}^*)^2$. Moreover the action of g on $(\mathbb{C}^*)^2$ is well-understood:



The eigenspaces of A split \mathbb{R}^2 into four quadrants, which correspond to four g -invariant “quadrant domains” in $(\mathbb{C}^*)^2$ that are depicted above. Any quadrant domain is sent isomorphically to a bounded domain by a well-chosen automorphism of $(\mathbb{C}^*)^2$. The domain D_{CL} appearing (as the fiber of a non Stein bundle) in [Cœ-Lœ] is a quadrant domain of the matrix $\begin{bmatrix} 2 & 1 \\ 1 & 1 \end{bmatrix}$. Now, boundedness of D implies that D must be contained in a quadrant domain (otherwise $\log D$, being A -invariant, would contain an affine line).

Finally we conclude that for $n = 2$, $D \notin \mathcal{S}$ if and only if D is a g -invariant Stein subdomain of a quadrant domain of some matrix $A \in SL_2(\mathbb{Z})$.

Such D ’s are in one-to-one correspondence with convex A -invariant open subsets of a quadrant of A . Examples are provided by the quadrant domains themselves, and also by taking D such that $\log D$ is the interior of the convex hull of the A -orbit of a point in \mathbb{R}^2 not belonging to an eigenspace of A .

For $n = 3$. As opposed to the two-dimensional case, there are examples of domains not in \mathcal{S} , but not included in $(\mathbb{C}^*)^3$: the product of the unit disk and any two-dimensional domain not in \mathcal{S} is easily checked not to be

in \mathcal{S} . Besides those trivial “product examples”, domains invariant by a matrix that falls in case (b) of theorem 1 are some sort of a product with a two-dimensional domain D' not in \mathcal{S} (see section 3.2).

Let A be a matrix in $SL_3(\mathbb{Z})$ satisfying condition (a) of theorem 1, with eigenvectors X_1, X_2 and X_3 . Examples of domains not in \mathcal{S} are:

- (1) Any D such that $\log D$ is an octant delimited by the X_i 's. This example is the three-dimensional generalization of [Cœ-Lœ] and [Zaf].
- (2) Another basic example is given as follows: pick a point $p = x_1X_1 + x_2X_2 + x_3X_3$ with $x_1x_2x_3 \neq 0$. Then take D such that $\log D$ is the interior of the convex hull of $\{A^k p : k \in \mathbb{Z}\}$.
- (3) In some cases, starting with a $\log D$ from the above example, then reflecting it through a coordinate plane, then taking the convex hull gives another convex A -invariant open subset of \mathbb{R}^3 that still corresponds to a *bounded* domain. This produces examples not contained in an octant delimited by the X_i 's, that have no counterpart in the case of a two-dimensional D .

Remark. We've given a fairly precise description of all domains not in \mathcal{S} of dimension two, but a complete answer should also tell when two domains in the list are actually isomorphic. Actually, it follows from the literature about Inoue-Hirzebruch surfaces that considering “even Dloussky matrices” (defined in [Zaf]) already yields all examples of D 's not in \mathcal{S} . That (easy) classification question will be answered, as a byproduct, in a forthcoming paper.

We shall make use of the following auxiliary results, proved in section 4:

Lemma 1.1. *The only possible rational eigenvalues for a matrix $A \in GL_n(\mathbb{Z})$ are $+1$ or -1 .*

Lemma 1.2. *Let $A \in GL_3(\mathbb{Z})$. Then exactly one of the following holds:*

- [1] $\text{Spec}_{\mathbb{C}} A \subset \{+1, -1\}$,
- [2] $_{\mathbb{C}}$ $\text{Spec}_{\mathbb{C}} A = \{\pm 1, \lambda, \frac{1}{\lambda}\}$ with $\lambda \in \mathbb{C} \setminus \{+1, -1\}$ and $|\lambda| = 1$,
- [2] $_{\mathbb{R}}$ $\text{Spec}_{\mathbb{C}} A = \{\pm 1, \lambda, \frac{\pm 1}{\lambda}\}$ with $\lambda \in \mathbb{R} \setminus \{+1, -1\}$,
- [3] $\text{Spec}_{\mathbb{C}} A = \{\lambda_1, \lambda_2, \lambda_3\}$ with $\deg_{\mathbb{Q}} \lambda_i = 3$ for $i = 1 \dots 3$.

We shall write for short $GL_3(\mathbb{Z}) = [1] \cup [2]_{\mathbb{C}} \cup [2]_{\mathbb{R}} \cup [3]$ (and that is a disjoint union).

Corollary 1.3. *If $A \in GL_3(\mathbb{Z})$ doesn't have pairwise distinct eigenvalues, then $\text{Spec}_{\mathbb{C}} A \subset \{+1, -1\}$.*

Lemma 1.4. *The set of matrices $\mathcal{A}(D)$ is a subgroup of $GL_n(\mathbb{Z})$, and the map*

$$\begin{array}{ccc} \psi : \text{Aut}_{\text{alg}}^{\mathbb{R}}(D) & \rightarrow & \mathcal{A}(D) \\ g & \mapsto & A_g \end{array}$$

is a group isomorphism.

The following known result is in some sense a generalization of Bézout's theorem (which corresponds to the case $n = 2$).

Lemma 1.5. *The vector $v = \begin{bmatrix} v_1 \\ \vdots \\ v_n \end{bmatrix} \in \mathbb{Z}^n$ is unimodular (i.e., $\gcd(v_1, \dots, v_n) = 1$)*

if and only if there exists a matrix in $SL_n(\mathbb{Z})$ of the form:

$$\begin{bmatrix} v_1 & * & \cdots & * \\ \vdots & \vdots & & \vdots \\ v_n & * & \cdots & * \end{bmatrix}.$$

Lemma 1.6. *Let $D \subset \mathbb{C}^n$ be a Stein Reinhardt domain, with $n \geq 2$. Denote $\pi(z_1, \dots, z_n) = (z_2, \dots, z_n)$. Then $\pi(D)$ is a Stein (Reinhardt) domain of \mathbb{C}^{n-1} .*

Lemma 1.7. *Let $E \xrightarrow{D} B$ be a bundle with fiber a Reinhardt domain $D \subset (\mathbb{C}^*)^n$. Assume there exists $v \in \mathbb{Z}^n$ such that for all $A \in \mathcal{A}(E)$, $Av = v$. Then there exists a “quotient bundle” $E' \xrightarrow{D'} B$ such that: $D' \subset (\mathbb{C}^*)^{n-1}$; E' is Stein if and only if E is Stein; and for any $A' \in \mathcal{A}(E') \subset GL_{n-1}(\mathbb{Z})$, A' is the automorphism of $\frac{\mathbb{Z}^n}{\langle v \rangle_{\mathbb{Z}}} \approx \mathbb{Z}^{n-1}$ induced by some $A \in \mathcal{A}(E)$. In particular, $\text{Spec}_{\mathbb{C}} \mathcal{A}(E') \subset \text{Spec}_{\mathbb{C}} \mathcal{A}(E)$.*

The following result is due to Burnside (cf. [Steinb] p.33).

Lemma 1.8. *Let V be a finite-dimensional vector space over a field F . Let S be a semi-group of endomorphisms of V acting irreducibly on V . If the elements of S have only finitely many different traces, then S itself is finite.*

Lemma 1.9. *Let $E \xrightarrow{D} B$ be a flat bundle and $H \subset G_{\text{struct}}(E)$ be a subgroup of finite index. Then there exists a flat bundle $E' \xrightarrow{D} B$ with $G_{\text{struct}}(E') = H$ and such that E' is Stein if and only if E is Stein.*

Lemma 1.10. *Let $D \subset (\mathbb{C}^*)^n$ be a bounded Stein Reinhardt domain, and $E \xrightarrow{D} B$ be a bundle with B Stein. If $\text{Spec}_{\mathbb{C}} \mathcal{A}(E)$ is finite, then E is Stein.*

Lemma 1.11. *Let \mathcal{A} be a subgroup of $GL_n(\mathbb{Z})$ with $n \geq 2$. If $\text{Spec}_{\mathbb{C}} \mathcal{A} \subset S^1$, then $\text{Spec}_{\mathbb{C}} \mathcal{A}$ is finite.*

2. PROOF OF THEOREM 1 FOR $D \subset \mathbb{C}^2$.

The following two results prove theorem 1 for $n = 2$.

Proposition 2.1. *Let $D \subset (\mathbb{C}^*)^2$ be a bounded Stein Reinhardt domain. Then $D \in \mathcal{S}$ if and only if $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$.*

Proof. “Only if” part: Suppose there exists $A \in \mathcal{A}(D)$ and $\text{Spec}_{\mathbb{C}} A \not\subset S^1$. Up to replacing A by A^2 , we can assume that $\det A = 1$. As $1 \notin \text{Spec}_{\mathbb{C}} A$, up to conjugation by an automorphism of $(\mathbb{C}^*)^2$, we can assume (see p.9 for more details) that D has an automorphism of the form $g(z_1, z_2) = (z_1^a z_2^b, z_1^c z_2^d)$ with $A = \begin{bmatrix} a & b \\ c & d \end{bmatrix} \in SL_2(\mathbb{Z})$ and $\text{Spec}_{\mathbb{C}} A = \{\lambda, \frac{1}{\lambda}\}$, $\lambda \neq 1$.

Let $E \xrightarrow{D} \mathbb{C}^*$ be the complex suspension of g . Then the method of [Cœ-Lœ] applies almost directly to show that E is not Stein. The only (easy) extra work is to check that $\log D$ contains an \mathbb{R} -orbit of the form $\{A^t \begin{bmatrix} x \\ y \end{bmatrix} : t \in \mathbb{R}\}$ for some $\begin{bmatrix} x \\ y \end{bmatrix} \in \log D$ (see section 3 for more details). The proof from [Zaf] can be adapted as well. We conclude that $D \notin \mathcal{S}$.

(Remark for later use: Denote $E' \subset E$ the restriction of E above a centered annulus in \mathbb{C} . As was already noticed in [Cœ-Lœ], their method of construction of analytic disks in E can easily be adapted to E' .)

Conversely: Suppose that $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$. Then by lemma 1.11, $\text{Spec}_{\mathbb{C}} \mathcal{A}(D)$ is finite. Take a bundle $E \xrightarrow{D} B$ with B Stein. As $\text{Spec}_{\mathbb{C}} \mathcal{A}(E) \subset \text{Spec}_{\mathbb{C}} \mathcal{A}(D)$, E is Stein by lemma 1.10. This proves that $D \in \mathcal{S}$. \square

Proposition 2.2. *If $D \subset \mathbb{C}^2$ with $D \not\subset (\mathbb{C}^*)^2$, then $D \in \mathcal{S}$ and $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$.*

Proof. If $D \cap \{z_i = 0\}$ is nonempty for $i = 1, 2$, then by [Shim] p. 412, Lemma 1, $\text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ is finite. Therefore $\text{Aut}(D)$ has only finitely many connected components, so $D \in \mathcal{S}$ by [Siu 2]. As any $g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ has finite order, we also know that $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$.

Else we can assume without loss of generality that $D \cap \{z_1 = 0\} \neq \emptyset$ and $D \cap \{z_1 = 0\} = \emptyset$. Then any $g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ must have the form $g(z_1, z_2) = (\alpha_1 z_1 z_2^k, \alpha_2 z_2^{\pm 1})$. As D is bounded and stable by g^n for any $n \in \mathbb{Z}$, we get $\alpha_2 = 1$, so the second component of $g^n(z_1, z_2)$ has modulus independent from n . Now, for the first component to remain bounded for any $(z_1, z_2) \in D$, we must have $\alpha_1 = 1$ and $k = 0$. So $\text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ is finite and, as above, $D \in \mathcal{S}$ and $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$. \square

3. PROOF OF THEOREM 1 FOR $D \subset \mathbb{C}^3$.

3.1. For $D \subset (\mathbb{C}^*)^3$, if $\mathcal{A}(D) \subset [1] \cup [2]_{\mathbb{C}}$, then $D \in \mathcal{S}$.

As $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$, it follows from lemmas 1.11 and 1.10 that $D \in \mathcal{S}$.

3.2. For $D \subset (\mathbb{C}^*)^3$, if $\mathcal{A}(D) \cap [2]_{\mathbb{R}} \neq \emptyset$, then $D \notin \mathcal{S}$.

Let $g \in \text{Aut}_{\text{alg}}(D)$ be such that $A = A_g \in [2]_{\mathbb{R}}$. Up to taking A^2 instead of A , we can assume that $\text{Spec}_{\mathbb{C}} A = \{1, \lambda, \frac{1}{\lambda}\}$, with $\lambda \in \mathbb{R} \setminus \{+1, -1\}$. As $1 \in \text{Spec}_{\mathbb{Q}} A$, there exists $v \in \mathbb{Q}^3$ such that $Av = v$. Up to multiplying by some integer, we can assume that $v \in \mathbb{Z}^3$.

Now define $E \xrightarrow{D} \mathbb{C}^*$ as the complex suspension of g . Lemma 1.7 applies here and yields a bundle $E' \xrightarrow{D'} \mathbb{C}^*$ with fiber $D' \subset (\mathbb{C}^*)^2$, and $\mathcal{A}(E')$ being

generated by $A' \in SL_2(\mathbb{Z})$ with $\text{Spec}_{\mathbb{C}} A' = \{\lambda, \frac{1}{\lambda}\}$ and $\lambda \neq \pm 1$. We saw that E' is not Stein in the proof of proposition 2.1. Therefore $D \notin \mathcal{S}$.

3.3. For $D \subset (\mathbb{C}^*)^3$, if $\mathcal{A}(D) \cap [3] \neq \emptyset$, then $D \notin \mathcal{S}$.

Let $g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ be such that $A = A_g \in [3]$. We know that g on D corresponds on $\log D$ to

$$f_g : \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} \mapsto A \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} + \begin{bmatrix} b_1 \\ b_2 \\ b_3 \end{bmatrix}.$$

By lemma 1.2, $1 \notin \text{Spec}_{\mathbb{C}} A$. Therefore $A - I$ is an invertible 3×3 matrix, and it is easy to check that $p = -(A - I)^{-1} \begin{bmatrix} b_1 \\ b_2 \\ b_3 \end{bmatrix}$ is a fixed point of f_g , and (therefore) the translation $T_p : \mathbb{R}^3 \rightarrow \mathbb{R}^3$ of vector p conjugates f_g to A (i.e., $T_p^{-1} f_g T_p = A$). It follows that up to conjugation by the $(\mathbb{C}^*)^3$ automorphism $(z_1, z_2, z_3) \mapsto (e^{p_1} z_1, e^{p_2} z_2, e^{p_3} z_3)$, we can assume that g is such that $f_g \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} = A \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix}$ for any $\begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} \in \mathbb{R}^3$.

Lemma 3.1. *The eigenvalues $\lambda_1, \lambda_2, \lambda_3$ of A are real.*

Proof. As \mathbb{R}^3 is an odd-dimensional real vector space, we shall assume without loss of generality that $\lambda_1 \in \mathbb{R}$. We know from lemma 1.2 that $\lambda_1 \neq 1$. Up to replacing A by A^{-1} , we can assume that $\lambda_1 > 1$.

Now we prove by contradiction that λ_2 is real. Suppose that $\lambda_2 \in \mathbb{C} \setminus \mathbb{R}$. As $\det A = \pm 1$, we must have $|\lambda_2| < 1$. Denote by X_1 a λ_1 -eigenvector, and by X_2 and X_3 the imaginary and real parts of a (necessarily complex) λ_2 -eigenvector. The matrix of f_g with respect to the basis $\{X_1, X_2, X_3\}$ is:

$$\begin{bmatrix} \lambda_1 & 0 & 0 \\ 0 & a & -b \\ 0 & b & a \end{bmatrix},$$

where $a + ib = \lambda_2$ (as $\lambda_2 \notin \mathbb{R}$, b must be nonzero). As $\log D$ is open, we can pick a point $q = x_1 X_1 + x_2 X_2 + x_3 X_3$ in $\log D$ with $x_1 \neq 0$. Then it is not hard to check that the convex hull of $\{A^k q : k \in \mathbb{Z}\}$ (which is in $\log D$) must contain the half-space $\{a_1 X_1 + a_2 X_2 + a_3 X_3 : a_1 x_1 > 0\}$. This is impossible because $\log D$ contains no affine line. So λ_2 and (therefore) λ_3 are real. \square

Up to taking $A^{\pm 2}$ instead of A , and renaming the eigenvalues, we can assume that $0 < \lambda_3 < \lambda_2 < 1 < \lambda_1$.

Let O^+ denote the octant $\{\sum_j a_j X_j / \text{for all } j, a_j > 0\}$. Again, we shall use coordinates with respect to the basis $\{X_1, X_2, X_3\}$, namely we write “ (p_1, p_2, p_3) ” instead of “ $\sum_j p_j X_j$ ”.

The next two lemmas help us understand the shape of $\log D$:

Lemma 3.2. *If $p = (p_1, p_2, p_3) \in \log D \cap O^+$ then, for any $t \geq 0$, $(t + p_1, p_2, p_3) \in \log D \cap O^+$ and $(p_1, p_2, t + p_3) \in \log D \cap O^+$.*

Proof. Recall that $0 < \lambda_3 < \lambda_2 < 1 < \lambda_1$. Denote $(x_n, y_n, z_n) := A^n p = (\lambda_1^n p_1, \lambda_2^n p_2, \lambda_3^n p_3)$.

When $n \rightarrow +\infty$, y_n and z_n tend to zero, whereas x_n tends to $+\infty$. As a consequence, the angle between the line $(p, A^n p)$ and the line $(p, p + (1, 0, 0))$ tends to zero. Now take a ball B in $\log D$, centered at p . Fix $t \geq 0$. Because of the above facts, the convex hull of $\{A^n p\} \cup B$ will contain $(t + p_1, p_2, p_3)$ as soon as n is big enough. That proves the first part of the statement.

When $n \rightarrow -\infty$, x_n tends to zero, and y_n and z_n tend to $+\infty$, with y_n/z_n tending to zero. Therefore the angle between the line $(p, A^n p)$ and the line $(p, p + (0, 0, 1))$ tends to zero. The second part of the statement follows as in the above case. \square

Lemma 3.3. *There exists $r \in \log D$ such that $\{A^t r, t \in \mathbb{R}\}$ is contained in $\log D$.*

Proof. We shall make repeated use of lemma 3.2 and of the inequalities $\lambda_1 > 1$, $\lambda_2 < 1$, $\lambda_3 < 1$. Take any $q = (q_1, q_2, q_3) \in \log D$.

First case: Assume that $q \in O^+$. Then $V_1 := (\lambda_1 q_1, q_2, q_3)$ is in $\log D$, and therefore $V_2 := (\lambda_1 q_1, q_2, \lambda_3^{-1} q_3)$ is in $\log D$ as well. On the other hand, $Aq = (\lambda_1 q_1, \lambda_2 q_2, \lambda_3 q_3)$ is in $\log D$, so $V_3 := (\lambda_1 q_1, \lambda_2 q_2, q_3)$ is in $\log D$, and so is $V_4 := (\lambda_1 q_1, \lambda_2 q_2, \lambda_3^{-1} q_3)$.

Multiplying the first components by λ_1 we get four other points in $\log D$: $V_5 := (\lambda_1^2 q_1, q_2, q_3)$, $V_6 := (\lambda_1^2 q_1, q_2, \lambda_3^{-1} q_3)$, $V_7 := (\lambda_1^2 q_1, \lambda_2 q_2, q_3)$, and $V_8 := (\lambda_1^2 q_1, \lambda_2 q_2, \lambda_3^{-1} q_3)$.

Let $r := V_2$. Remark that $V_7 = Ar$. As $\log D$ is convex, it contains the parallelepiped \mathcal{P} with vertices V_1, V_2, \dots, V_8 . Thus, if $\lambda_1 q_1 \leq x_1 \leq \lambda_1^2 q_1$, $q_2 \leq x_2 \leq \lambda_2 q_2$, and $\lambda_3^{-1} q_3 \leq x_3 \leq q_3$, then (x_1, x_2, x_3) belongs to \mathcal{P} , and therefore to $\log D$. It follows that for any t between 0 and 1, $A^t r = (\lambda_1^t \lambda_1 q_1, \lambda_2^t q_2, \lambda_3^t \lambda_3^{-1} q_3)$ belongs to $\log D$. As $\log D$ is invariant by A , we get that $A^t r$ belongs to $\log D$ for any real t .

Second case: If $q \notin O^+$, take a linear automorphism B of \mathbb{R}^3 such that for all j , $B(X_j) = \pm X_j$ (thus $A^t B = B A^t$ for any $t \in \mathbb{R}$), and such that $Bq \in O^+$. Now apply the first case to get in $B(\log D)$ an \mathbb{R} -orbit, which is sent to an \mathbb{R} -orbit in $\log D$ by B^{-1} . \square

We now construct a non-Stein bundle $E \xrightarrow{D} \mathbb{C}^*$ by adapting the construction of G. Cœuré and J.-J. Lœb. Lemma 3.3 is an important ingredient for the construction of analytic disks as in [Cœ-Lœ].

We consider the “tube above $\log D$ ”:

$$V := \left\{ \sum_j u_j X_j \mid (Im u_1, Im u_2, Im u_3) \in \log D \right\} \subset \mathbb{C}^3.$$

We consider the action of $G_{\mathbb{R}} = \mathbb{R} \ltimes \mathbb{R}^3$ on $\mathbb{C} \times \mathbb{C}^3$ given by

$$\begin{aligned} \mathbb{C} \times \mathbb{C}^3 \times G_{\mathbb{R}} &\rightarrow \mathbb{C} \times \mathbb{C}^3 \\ ((z, \sum_j u_j X_j), (t, X)) &\mapsto (t + z, X + \sum_j \lambda_j^t u_j X_j). \end{aligned}$$

Define $\Omega := \mathbb{C} \times V$. By construction, Ω is invariant by the action of $G_{\mathbb{Z}} := \mathbb{Z} \ltimes \mathbb{Z}^3 \subset G_{\mathbb{R}}$.

Now take $E := \Omega/G_{\mathbb{Z}}$ (cf. [Cœ-Lœ]). Remark that E is just the complex suspension of g . We shall prove that E is not Stein by constructing a family of analytic disks $\{d_R : \bar{\Delta} \rightarrow E\}_{R>1}$ such that $d_R(0)$ tends to infinity in E (topologically) when $R \xrightarrow{>} 1$, whereas $d_R(\partial\bar{\Delta})$ remains in a compact subset of E independent from R . Here Δ (resp. $\bar{\Delta}$) denotes the open (resp. closed) unit disk in \mathbb{C} , and $\partial\bar{\Delta}$ denotes their boundary.

Fix a real number $R > 1$. In what follows, it is useful to keep in mind that the maps f , g_1, g_2, g_3 and \tilde{d} depend on R .

Define $f : \Delta \rightarrow \mathbb{C}$ by

$$f(z) = \log i \frac{R+z}{R-z}.$$

Then $0 < \text{Im } f < \pi$, and f is continuous on $\bar{\Delta}$.

Thus we can define g_1, g_2 and g_3 as holomorphic functions $\Delta \rightarrow \mathbb{C}$ such that on $\partial\bar{\Delta}$, $\text{Im } g_j = \lambda_j^{\mu_1^{-1} \text{Re } f}$ for $j = 1, 2, 3$, where μ_1 denotes $\log \lambda_1$.

Define a map $\tilde{d} : \Delta \rightarrow \mathbb{C} \times \mathbb{C}^3$ by

$$\tilde{d}(t) := (\mu_1^{-1} f(t), \sum_j g_j(t) r_j X_j),$$

where $r = (r_1, r_2, r_3)$ is given by lemma 3.3. Notice that \tilde{d} is continuous on $\bar{\Delta}$.

Lemma 3.4. *For any $t \in \bar{\Delta}$, $\tilde{d}(t) \in \Omega$.*

Proof. Recall that $\tilde{d}(t) \in \Omega$ if and only if $(r_1 \text{Im } g_1(t), r_2 \text{Im } g_2(t), r_3 \text{Im } g_3(t)) \in \log D$.

First assume that $t \in \partial\bar{\Delta}$.

Denote $(\text{Im } g_1(t)r_1, \text{Im } g_2(t)r_2, \text{Im } g_3(t)r_3)$ by $\tilde{d}'(t)$. By definition of the g_j 's, $\tilde{d}'(t) = (\lambda_1^\alpha r_1, \lambda_2^\alpha r_2, \lambda_3^\alpha r_3)$ for some $\alpha \in \mathbb{R}$, thus $\tilde{d}'(t)$ is on the \mathbb{R} -orbit of r , which is in $\log D$ by the lemma 3.3.

Now for $s \in \Delta$, the componentwise harmonicity of \tilde{d}' allows us to write in vector form

$$\tilde{d}'(s) = \int_{S^1} \tilde{d}'(t) P_s(t),$$

where P_s is the Poisson kernel at s . As $\int_{S^1} P_s = 1$, the above shows that $\tilde{d}'(s)$ is in the convex hull of $\tilde{d}'(S^1)$, therefore is in $\log D$. \square

We define an analytic disk $d_R : \Delta \rightarrow E$ by

$$d_R = q_{\mathbb{Z}} \circ \tilde{d},$$

where $q_{\mathbb{Z}}$ is the quotient map $\Omega \rightarrow E$. Remark that d is continuous on $\bar{\Delta}$.

Lemma 3.5. *There exists a compact set K in E , independent from R , such that $d_R(\partial\bar{\Delta}) \subset K$.*

Proof. It is not hard to check that $\tilde{d}(t)$ is equal up to action by $G_{\mathbb{R}}$ to

$$(i\mu_1^{-1} \operatorname{Im} f(t), i \sum_j r_j \lambda_j^{-\mu_1^{-1} \operatorname{Re} f(t)} \operatorname{Im} g_j(t) X_j).$$

When t is in $\partial\bar{\Delta}$, the above becomes

$$(i\mu_1^{-1} \operatorname{Im} f(t), i \sum_j r_j X_j).$$

As $0 < \operatorname{Im} f < \pi$, there exists a compact set $\tilde{K} \subset \Omega$ independent from R , such that $\tilde{d}(\partial\bar{\Delta}) \subset \tilde{K}.G_{\mathbb{R}}$. Then $d_R(\partial\bar{\Delta})$ is included in $K = q_{\mathbb{Z}}(\tilde{K}).(G_{\mathbb{R}}/G_{\mathbb{Z}})$, which is compact because $G_{\mathbb{R}}/G_{\mathbb{Z}}$ is compact. \square

On the other hand,

$$\tilde{d}(0) = (\mu_1 \frac{\pi}{2}, \sum_j g_j(0) r_j X_j),$$

and $\operatorname{Im} g_1(0) = \int_{S^1} \operatorname{Im} g_1 = \int_{S^1} \lambda_1^{\mu_1^{-1} \operatorname{Re} f} = \int_{S^1} e^{\operatorname{Re} f}$, which tends to $+\infty$ when R tends to 1 (cf. [Cœ-Lœ]).

By construction of E , a point $q_{\mathbb{Z}}(z; (z_1, z_2, z_3))$ in E tends to infinity (topologically) if and only if either $\operatorname{Im} z$ or $\operatorname{Im} (z_1, z_2, z_3)$ tends to infinity. Therefore when R tends to 1, $d_R(0) = q_{\mathbb{Z}}(\tilde{d}(0))$ tends to infinity in E . By the maximum principle (for functions $\Delta \rightarrow \mathbb{C}$), any function on E will be bounded on the sequence $\{d_{1+1/n}(0)\}_{n \in \mathbb{N}}$, which proves that E is not holomorphically convex, therefore E is not Stein.

Conclusion: $D \notin \mathcal{S}$.

3.4. The case of $D \notin (\mathbb{C}^*)^3$. Up to action on \mathbb{C}^3 by an algebraic automorphism, we can assume that D is in Shimizu's normal form (in his notations, that means $D = \tilde{D}$; see [Shim] p. 410). Remark: That realization of D may not be bounded.

Proposition 3.6. *If $D \subset \mathbb{C}^3$ intersects several coordinate hyperplanes, then $\operatorname{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$ and $D \in \mathcal{S}$.*

Proof. If $D \cap z_i = 0$ is nonempty for $i = 1, 2$ and 3, then by [Shim] p. 412, Lemma 1, $\operatorname{Aut}_{\operatorname{alg}}^{\mathbb{R}}(D)$ is finite. Therefore $\operatorname{Aut}(D)$ has only finitely many connected components, and $D \in \mathcal{S}$ by [Siu 2]. As any $g \in \operatorname{Aut}_{\operatorname{alg}}^{\mathbb{R}}(D)$ has finite order, we also know that $\operatorname{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$.

Without loss of generality, we can now assume that $D \cap \{z_1 = 0\}$ and $D \cap \{z_2 = 0\}$ are both nonempty and $D \cap \{z_3 = 0\}$ is empty. (In Shimizu's notations, we must have $\sum_{i=1}^s n_i = 2$, $t = s + 1$, $n_t = 1$.)

Take $g \in \operatorname{Aut}_{\operatorname{alg}}^{\mathbb{R}}(D)$. Then g^2 must be of the form:

$$g^2(z_1, z_2, z_3) = (\alpha_1 z_1 z_3^{\mu_1}, \alpha_2 z_2 z_3^{\mu_2}, \alpha_3 z_3).$$

In particular, $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$. As $\text{proj}_3(D)$ is bounded (in Shimizu's notations, projection of D on $\mathbb{C}^{n_{s+1}} \times \dots \times \mathbb{C}^{n_t}$ is always bounded) and g^2 -invariant, $\alpha_3 = 1$. Now, for any $(z_1, z_2, z_3) \in D$, $\text{proj}_3^{-1}(z_3)$ is bounded and g^2 -invariant, so $\alpha_1 = \alpha_2 = 1$ and $\mu_1 = \mu_2 = 0$. It follows that $\text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ is finite. Therefore, again, $D \in \mathcal{S}$. \square

We can now assume (until the end of section 3.4) that $D \cap \{z_1 = 0\}$ is nonempty, and $D \cap \{z_2 = 0\}$ and $D \cap \{z_3 = 0\}$ are both empty.

Then any $g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ must be of the form:

$$(*)_{\text{alg}} \quad g(z_1, z_2, z_3) = (\alpha_1 z_1 z_2^{\mu_2} z_3^{\mu_3}, \alpha_2 z_2^a z_3^b, \alpha_3 z_2^c z_3^d),$$

with $A'_g = \begin{bmatrix} a & b \\ c & d \end{bmatrix} \in GL_2(\mathbb{Z})$. Denote by \mathcal{A}' the group $\{A'_g \in GL_2(\mathbb{Z}) : g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)\}$. Remark that $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) = \{1\} \cup \text{Spec}_{\mathbb{C}} \mathcal{A}'$, so $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$ if and only if $\text{Spec}_{\mathbb{C}} \mathcal{A}' \subset S^1$.

Proposition 3.7. *If $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \not\subset S^1$, then $D \notin \mathcal{S}$.*

Proof. Take $g \in \text{Aut}_{\text{alg}}^{\mathbb{R}}(D)$ with $\text{Spec}_{\mathbb{C}} A_g \not\subset S^1$. By $(*)_{\text{alg}}$, g induces an automorphism g' of $D' = D \cap \{z_1 = 0\}$, and $\text{Spec}_{\mathbb{C}} A'_{g'} = \{\lambda, \frac{1}{\lambda}\}$ with $\lambda \in \mathbb{R} \setminus \{+1, -1\}$.

Define bundles $E \xrightarrow{D} \mathbb{C}^*$ and $E' \xrightarrow{D'} \mathbb{C}^*$ as complex suspensions of g and g' respectively. The map $D' \hookrightarrow D$ induces a map $E' \hookrightarrow E$ realizing E' as a closed submanifold. By the results of section 2, we know that E' is not Stein, so E can't be Stein. Conclusion: $D \notin \mathcal{S}$. \square

Therefore we shall assume until the end of section 3.4 that

$$\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1.$$

Our assumptions (z_1 vanishes somewhere on D but z_2 and z_3 don't) imply by [Shim] that there can be three cases: (Shimizu's n_{s+1}, \dots, n_t must all be 1, otherwise by [Shim] p. 411 we would have an $U(2)$ -action on D , and D would intersect at least two coordinate hyperplanes.)

- (1) D is bounded, and $\text{Aut}_0(D)$ is only $(S^1)^3$. (This is Shimizu's $D = \tilde{D}_2$ case.)
- (2) $D = \{(z_1, z_2, z_3) : z_1 \in \mathbb{C}, (z_2 e^{q_2|z_1|^2}, z_3 e^{q_3|z_1|^2}) \in D \cap \{z_1 = 0\}\}$, with q_2, q_3 non-negative real numbers and $q_2 q_3 \neq 0$.
- (3) $D = \{(z_1, z_2, z_3) : |z_1| < 1, (z_2(1 - |z_1|^2)^{-q_2/2}, z_3(1 - |z_1|^2)^{-q_3/2}) \in D \cap \{z_1 = 0\}\}$, with q_2, q_3 non-negative real numbers (Shimizu's notations for q_2 and q_3 are p_1^2 and p_1^3).

If D is in case (1)

Then any g in $\text{Aut}(D)$ has the form $(*)_{\text{alg}}$ with $\alpha_1, \alpha_2, \alpha_3$ in \mathbb{C}^* .

Denote $P_{23}(z_1, z_2, z_3) = (z_2, z_3)$, $D_{23} = P_{23}(D)$, and $\hat{D} = \{(z_1, z_2, z_3) : z_1 \in \mathbb{C}, (z_2, z_3) \in D_{23}\}$.

Take $E \xrightarrow{D} B$ with Stein B . The $\text{Aut}(D)$ -action on D induces actions on \hat{D} and D_{23} such that the sequence of maps $D \hookrightarrow \hat{D} \rightarrow D_{23}$ is $\text{Aut}(D)$ -equivariant. Then we get a sequence of maps of bundles above B :

$$\begin{array}{ccccc} E & \hookrightarrow & \hat{E} & \twoheadrightarrow & E_{23} \\ & \searrow D & \downarrow \hat{D} & \swarrow D_{23} & \\ & & B & & \end{array}$$

Moreover the map $\hat{D} \rightarrow D_{23}$ turns \hat{D} into a (trivial) line bundle over D_{23} , and that bundle structure is preserved by the $\text{Aut}(D)$ -action on \hat{D} . Therefore \hat{E} is a line bundle above E_{23} .

Now, as $\text{Spec}_{\mathbb{C}} \mathcal{A}(E_{23}) \subset \text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$, it follows from section 2 that E_{23} Stein. Therefore \hat{E} is Stein by [Mok]. By local triviality of our bundles, E is a locally Stein open subset of \hat{E} , so E is Stein by Docquier-Grauert theorem.

Conclusion: $D \in \mathcal{S}$.

If D is in case (2) or (3)

The huge formulas in [Shim] p. 411 tell us that in cases (2) and (3), any $g_0 \in \text{Aut}_0(D)$ is of the form:

$$(*)_0 \quad g_0(z_1, z_2, z_3) = \left(h_1(z_1), z_2 h_2(z_1), z_3 h_3(z_1) \right),$$

where h_1 can be any automorphism of \mathbb{C} in case (2) and any automorphism of the unit disk in case (3), and h_2 and h_3 are two holomorphic functions determined by h_1 .

Lemma 3.8. *For any $g \in \text{Aut}_{alg}^{\mathbb{R}}(D)$, the integers μ_1 and μ_2 in $(*)_{alg}$ are both zero.*

Proof. Take $g \in \text{Aut}_{alg}^{\mathbb{R}}(D)$ (written as in $(*)_{alg}$), and $g_0 \in \text{Aut}_0(D)$ (written as in $(*)_0$) with h_1 not a homogeneous function.

Direct computation yields:

$$gg_0g^{-1}(z_1, z_2, z_3) = \left(\alpha_1 h_1(\alpha_1^{-1} z_1 X) X^{-1} h_2^{\mu_2}(\alpha_1^{-1} z_1 X) h_3^{\mu_3}(\alpha_1^{-1} z_1 X), \right. \\ \left. z_2 h_2^{a+c}(\alpha_1^{-1} z_1 X), z_3 h_3^{b+d}(\alpha_1^{-1} z_1 X) \right)$$

with $X = \alpha_2^{\mu_2 d - \mu_3 c} \alpha_3^{-\mu_2 b + \mu_3 a} z_2^{-\mu_2 d + \mu_3 c} z_3^{\mu_2 b - \mu_3 a}$. As $\text{Aut}_0(D)$ is a normal subgroup of $\text{Aut}(D)$, gg_0g^{-1} belongs to $\text{Aut}_0(D)$, so the above expression must be of the form $(*)_0$. In particular, the first component of $gg_0g^{-1}(z_1, z_2, z_3)$ does not depend on z_2 or z_3 . As h_1 is not homogeneous, X itself must be independent of z_2 or z_3 . Therefore $\mu_2 = \mu_3 = 0$. \square

Now $(*)_{alg}$ can be stated more precisely as:

$$(*)'_{alg} \quad g(z_1, z_2, z_3) = (\alpha_1 z_1, \alpha_2 z_2^a z_3^b, \alpha_3 z_2^c z_3^d).$$

As $\text{Spec}_{\mathbb{C}} \mathcal{A}(D) \subset S^1$, $\text{Spec}_{\mathbb{C}} \mathcal{A}' \subset S^1$. Therefore, by lemmas 1.11 and 1.8, there are two possibilities:

1. \mathcal{A}' is finite.

Then by $(*)'_{alg}$, $\mathcal{A}(D)$ is finite, so $D \in \mathcal{S}$ by [Siu 2].

2. There exists $v = (p, q) \in \mathbb{Q}^2$ such that for any $A' \in \mathcal{A}'$, $A'v = v$.

Up to division or multiplication by some integer, we can assume that v belongs to \mathbb{Z}^2 and is unimodular. By lemma 1.5, there exists (p', q') such that $\begin{bmatrix} p & p' \\ q & q' \end{bmatrix}$ belongs to $SL_2(\mathbb{Z})$. Consider the automorphism

$$h : \mathbb{C} \times (\mathbb{C}^*)^2 \rightarrow \mathbb{C} \times (\mathbb{C}^*)^2 \\ (z_1, z_2, z_3) \mapsto (z_1, z_2^p z_3^{p'}, z_2^q z_3^{q'}).$$

We replace D by $h(D)$. The automorphisms get conjugated by h , so any g_0 and g in $\text{Aut}_0(D)$ and $\text{Aut}_{alg}^{\mathbb{R}}(D)$ now take the forms:

$$(*)'_0 \quad g_0(z_1, z_2, z_3) = (h_1(z_1), h_2^{p+q}(z_1), h_3^{p'+q'}(z_1)), \\ (*)''_{alg} \quad g(z_1, z_2, z_3) = (\alpha_1 z_1, \alpha_2 z_2, \alpha_3 z_3 z_2^*).$$

Take a bundle $E \xrightarrow{D} B$ with B Stein.

Denote $P_{12}(z_1, z_2, z_3) = (z_1, z_2)$, $P_1(z_1, z_2) = (z_1)$, $D_{12} = P_{12}(D)$, $D_1 = P_1(D_{12})$, $\hat{D} = \{(z_1, z_2, z_3) : (z_1, z_2) \in D_{12}, z_3 \in \mathbb{C}\}$ and $\hat{D}_{12} = \{(z_1, z_2) : z_1 \in D_1, z_2 \in \mathbb{C}\}$. These domains are Stein by lemma 1.6. The forms $(*)'_0$ and $(*)''_{alg}$ show that we get an induced $\text{Aut}(D)$ -action on D_{12} , D_1 , \hat{D} and \hat{D}_{12} such that the sequence of maps $D \hookrightarrow \hat{D} \twoheadrightarrow D_{12} \hookrightarrow \hat{D}_{12} \twoheadrightarrow D_1$ is equivariant. So we get a corresponding sequence of maps of bundles above B :

$$\begin{array}{ccccccc} E & \hookrightarrow & \hat{E} & \twoheadrightarrow & E_{12} & \hookrightarrow & \hat{E}_{12} \twoheadrightarrow E_1 \\ & & \searrow & & \downarrow & & \swarrow \\ & & & & B & & \end{array} \quad \begin{array}{c} D \\ D_1 \end{array}$$

In analogy with case (1) above, we see that \hat{E} and \hat{E}_{12} are line bundles above E_{12} and E_1 respectively. Now, as D_1 is one dimensional, E_1 is Stein by [Mok]. Same reasoning as in case (1) shows that E is Stein.

Conclusion: $D \in \mathcal{S}$.

4. POSTPONED PROOFS

Theorem 2 p.4:

Proof. During the proof theorem 1, we already proved that if $\text{Spec}_{\mathbb{C}} \mathcal{A}(E) \subset S^1$, then E is Stein.

Now assume that $\text{Spec}_{\mathbb{C}} \mathcal{A}(E) \not\subset S^1$.

Then by definition of $\mathcal{A}(E)$ there exists a continuous loop $\gamma^0 : S^1 \rightarrow B$ such that $\rho(\gamma^0) = g$ with $\text{Spec}_{\mathbb{C}} A_g \not\subset S^1$.

As B is Stein, we can embed it (holomorphically, therefore) real-analytically into some \mathbb{R}^N . So we consider γ^0 as a map $S^1 \rightarrow \mathbb{R}^N$.

By a convolution argument, we get a C^∞ approximation γ^∞ of γ^0 , arbitrarily close to γ^0 in uniform distance. Then γ^∞ 's Fourier series truncated to high enough order gives a real-analytic approximation γ^ω of γ^∞ , arbitrarily close to γ^∞ in uniform distance. Choosing γ^ω close enough to γ^0 ensures that the projection on B by closest distance is well-defined and real-analytic.

Thus we can assume the γ we started with to be real-analytic. Now, we can extend γ to a holomorphic map

$$\gamma^{\mathcal{O}} : U = \{z \in \mathbb{C} : 1 - \varepsilon < |z| < 1 + \varepsilon\} \rightarrow B$$

for some positive ε . Then by construction the bundle $E' = (\gamma^{\mathcal{O}})^*(E)$ has an infinite cyclic $\mathcal{A}(E')$ generated by g .

Therefore E' is just the restriction to an annulus of the complex suspension bundle of g . The methods of sections 2 and 3 are easily adapted to prove that E' is not Stein (cf. remark in the proof of proposition 2.1 p.7).

Now we prove by contradiction that E is not Stein:

As E' is not holomorphically convex, there exists a sequence $(x_n)_{n \in \mathbb{N}}$ in E' , tending topologically to infinity, on which every $f' \in \mathcal{O}(E')$ remains bounded. The projection of (x_n) on U must be contained in a compact subset of U : otherwise there would exist $f' \in \mathcal{O}(E')$ (pulled back from U) unbounded on (x_n) . Therefore, up to taking a subsequence, we can assume that the projection of (x_n) on U is converging in U . Thus, sequence $(y_n)_{n \in \mathbb{N}}$ in E defined by $y_n = \gamma_*^{\mathcal{O}}(x_n)$ tends to infinity in E . If E were Stein, there would exist $f \in \mathcal{O}(E)$ unbounded on (y_n) , and $f' = (\gamma^{\mathcal{O}})^*(f) \in \mathcal{O}(E')$ would be unbounded on (x_n) , which is impossible. Conclusion: E is not Stein. \square

Theorem 3 p.4:

Proof. The theorem follows from lemmas 1.11 and 1.10. \square

Lemma 1.1 p.6:

Proof. Let $\lambda \in \mathbb{Q} \cap \text{Spec}_{\mathbb{C}} A$. Denote by P_A the characteristic polynomial of A . Then $P_A(\lambda) = 0$, but as P_A is monic and has integer coefficients, any rational root of P_A must be in \mathbb{Z} . Thus $\lambda \in \mathbb{Z}$. As $\frac{1}{\lambda} \in \text{Spec}_{\mathbb{C}} A^{-1}$, we obtain similarly $\frac{1}{\lambda} \in \mathbb{Z}$. Therefore $\lambda = +1$ or $\lambda = -1$. \square

Lemma 1.2 p.6:

Proof. Denote $\text{Spec}_{\mathbb{C}} A = \{\lambda_1, \lambda_2, \lambda_3\}$. Let P_A be the characteristic polynomial of A . Let $P_{\lambda_1} \in \mathbb{Q}[X]$ be the minimal polynomial of λ_1 over \mathbb{Q} .

- If $\deg P_{\lambda_1} = 1$. Then $\lambda_1 \in \mathbb{Q}$, so by lemma 1.1, $\lambda_1 = \pm 1$. Therefore P_A can be written $P_A \stackrel{(*)}{=} (X - \lambda_1)Q$ with $Q \in \mathbb{Q}[X]$ and $\deg Q = 2$.
 - If $\lambda_2 = \pm 1$, $\det A = 1$ implies $\lambda_3 = \pm 1$ and we are in case [1].

- If $\lambda_2 \neq \pm 1$. Then $\lambda_2 \notin \mathbb{Q}$, and by (*), $Q(\lambda_2) = 0$ (remark also that necessarily $\deg_{\mathbb{Q}} \lambda_2 = 2$ and $\deg_{\mathbb{Q}} \lambda_3 = 2$).

Denoting $\lambda = \lambda_2$, $\det A = \pm 1$ gives $\text{Spec}_{\mathbb{C}} A = \{\lambda_1 = \pm 1, \lambda_2 = \lambda, \lambda_3 = \frac{\pm 1}{\lambda}\}$.

- * If $\lambda \in \mathbb{R}$, we are in case $[2]_{\mathbb{R}}$.
- * If $\lambda \in \mathbb{C} \setminus \mathbb{R}$, then λ_3 must equal $\bar{\lambda}_2$ (as complex roots of the real polynomial P_A). As $\lambda_3 = \frac{-1}{\lambda}$ is impossible (it would imply $\lambda \bar{\lambda} = -1$), we get $\lambda_3 = \frac{1}{\lambda}$, which implies $\lambda \bar{\lambda} = 1$, so we are in case $[2]_{\mathbb{C}}$.
- If $\deg P_{\lambda_1} = 2$. Then $\lambda_1 \notin \mathbb{Q}$. As $P_A(\lambda_1) = 0$, one can write $P_A = P_{\lambda_1} R$ with $R \in \mathbb{Q}[X]$ and $\deg R = 1$. Therefore P_A has a root in \mathbb{Q} , which must be ± 1 . The same arguments as above show that we are in cases $[2]_{\mathbb{C}}$ or $[2]_{\mathbb{R}}$, and that $\deg_{\mathbb{Q}} \lambda_i \leq 2$ for $i = 1 \dots 3$.
- If $\deg P_{\lambda_1} = 3$. Then $\deg_{\mathbb{Q}} \lambda_i = 3$ for $i = 1 \dots 3$ because none of the above cases can occur (there we had $\deg_{\mathbb{Q}} \lambda_i \leq 2$ for $i = 1 \dots 3$). So we are in case $[3]$.

□

Lemma 1.3 p.6:

Proof. Suppose that λ is a multiple root of P_A .

Assume A falls in case $[3]$. Then as $P'_A(\lambda) = 0$ and $\deg P'_A = 2$, we get that $\deg_{\mathbb{Q}} \lambda \leq 2$, which is impossible.

When A falls in case $[2]_{\mathbb{C}}$ or $[2]_{\mathbb{R}}$, it is easy to check that the condition $\lambda \neq \pm 1$ prevents P_A from having a multiple root. Therefore A falls in case $[1]$. □

Lemma 1.5 p.7:

Proof. Assume that A is in $SL_n(\mathbb{Z})$, and let v be its first column. Remark that for any $N \in SL_n(\mathbb{Z})$ and any unimodular w , Nw is still unimodular (because $Nw = dw'$ implies $w = dN^{-1}w'$). In particular

$$v = A \begin{bmatrix} 1 \\ 0 \\ \vdots \\ 0 \end{bmatrix}$$

is unimodular.

Now let v_i be the non-zero entry of v with smallest absolute value. Take $j \neq i$, and replace v_j by $v_j \bmod v_i$. That amounts to multiplying v by a matrix M_1 in $SL_n(\mathbb{Z})$ (namely M_1 has the form $I_n + q[\delta_{ji}]_{1 \leq i, j \leq n}$). Doing that for all $j \neq i$, we get a new vector, still unimodular, with smaller entries (except for entries that were already zero). Repeating that procedure we

get

$$M_k \dots M_2 M_1 v = \begin{bmatrix} 0 \\ \vdots \\ 0 \\ 1 \\ 0 \\ \vdots \\ 0 \end{bmatrix} = e_p$$

(e_p is the p^{th} standard vector). Thus $M = (M_k \dots M_1)^{-1}$ is such that $Me_p = v$, so M 's p^{th} column is just v . If $p \neq 1$, swapping M 's first and p^{th} columns, and multiplying the second column by -1 (to keep determinant $+1$) yields the matrix we were looking for. \square

Lemma 1.6 p.7:

Proof. This lemma is proved, as a particular case, in the next proof. \square

Lemma 1.7 p.7:

Proof. Up to dividing by some integer, we can assume that v is unimodular. The matrix M given by lemma 1.5 yields an algebraic automorphism h of $(\mathbb{C}^*)^n$ by the usual correspondence. Now, up to conjugation by h , we can assume that any $g \in G_{\text{struct}}(E)$ is of the form:

$$g(z_1, \dots, z_n) = (\alpha_1 z_1 z_2^* \dots z_n^*, \alpha_2 z_2^* \dots z_n^*, \dots, \alpha_n z_n^* \dots z_n^*).$$

Therefore the S^1 -action on D :

$$\begin{array}{ccc} S^1 \times D & \rightarrow & D \\ (\theta ; (z_1, \dots, z_n)) & \mapsto & (\theta z_1, \dots, z_n) \end{array}$$

commutes with the structural group $G_{\text{struct}}(E)$, so we get an induced S^1 -action on E .

On the other hand, the projection map

$$\begin{array}{ccc} \pi : & D & \rightarrow (\mathbb{C}^*)^{n-1} \\ & (z_1, \dots, z_n) & \mapsto (z_2, \dots, z_n) \end{array}$$

is $G_{\text{struct}}(E)$ -invariant, with the action on $\pi(D)$ being *defined* by $g(\pi(z_1, \dots, z_n)) = \pi(g(z_1, \dots, z_n))$.

Therefore $\pi : D \rightarrow D' = \pi(D)$ induces a bundle map q :

$$\frac{\tilde{B} \times D}{\Pi_1(B)} = \begin{array}{ccc} E & \xrightarrow{q} & E' \\ & \searrow & \swarrow \\ & B & \end{array} = \frac{\tilde{B} \times D'}{\Pi_1(B)}$$

Now consider the following equivalence relation on E : $x \sim y$ when $f(x) = f(y)$ for all S^1 -invariant holomorphic functions on E . Then by [Heinz] we know that E/\sim is a complex space, which is Stein if E is Stein.

We now prove that $q : E \rightarrow E'$ is a realization of that quotient, i.e., $x \sim y$ if and only if $q(x) = q(y)$.

- If $q(x) \neq q(y)$ then as E' is holomorphically separable (cf. section 1), there exists $f \in \mathcal{O}(E')$ such that $f(q(x)) \neq f(q(y))$. Then $f \circ q \in \mathcal{O}(E)$ separates x and y . By construction, the S^1 -orbits are contained in the fibers of q , so $f \circ q$ is S^1 -invariant. Thus $x \not\sim y$.
- If $q(x) = q(y)$ then x and y both belong to the same fiber of q , which is a one-dimensional annulus (connectedness of that fiber follows from the convexity of $\log(D \cap (\mathbb{C}^*)^n)$).

Any S^1 -invariant function on E is constant on each circle of that annulus, hence constant on the whole annulus (by the isolated zeros theorem). Thus $x \sim y$.

We still need to show that if E' is Stein, then so is E . Assume E' is Stein. Extending the $G_{struct}(E)$ -action from D to $\hat{D} = \{(z_1, \dots, z_n) : z_1 \in \mathbb{C}^*, (z_2, \dots, z_n) \in D'\}$, we get an equivariant map $D \hookrightarrow \hat{D}$, and (therefore) a corresponding injective bundle map:

$$\begin{array}{ccc} E & \hookrightarrow & \hat{E} = \frac{\tilde{B} \times \hat{D}}{\Pi_1(B)} \\ & \searrow & \swarrow \\ & B & \end{array}$$

As \hat{E} is a \mathbb{C}^* -principal bundle over E' , it is Stein by the theorem of Matsushima and Morimoto. By local triviality of our bundles, E is locally Stein in \hat{E} . Therefore E is Stein by the Docquier-Grauert theorem. \square

Lemma 1.4 p.6:

Proof. Take A_g and $A_{g'}$ in $\mathcal{A}(D)$. It is easy to check that $A_{gg'}$ is just $A_g A_{g'}$. The inverse matrix A_g^{-1} comes from g^{-1} by the above remark. Therefore $\mathcal{A}(D)$ is a group and ψ is a morphism, which is onto by definition of $\mathcal{A}(D)$.

Moreover, ψ is one-to-one:

$$\begin{aligned} \text{Assume } A_g = A_{g'}. \text{ Then } f_g^{-1} f_{g'}(p) &= f_g^{-1}(A_{g'} p + b') \\ &= A_g^{-1} A_{g'} p + A_g^{-1} b' - A_g b \\ &= p + A_g^{-1}(b' - b). \end{aligned}$$

If $b' - b \neq 0$, then $A_g^{-1}(b' - b) \neq 0$, so $f_g^{-1} f_{g'}$ is a non-trivial translation of \mathbb{R}^3 which induces an automorphism of $\log D$. This is impossible because $\log D$ contains no affine line.

Thus $b' = b$. That proves the injectivity of ψ . \square

Lemma 1.9 p.7:

Proof. As E is flat, it is given by a morphism $\rho : \Pi_1(B) \rightarrow \text{Aut}(D)$ (see p.2). Take $G := \rho^{-1}(H)$. Then the bundle

$$E' = (\tilde{B} \times D)/G \xrightarrow{D} B$$

has $G_{\text{struct}}(E') = H$ and is Stein if and only if E is Stein, because it is a finite cover of E . \square

Lemma 1.10 p.7:

Proof. We know by [Shim] that any $g \in G_{\text{struct}}(E)$ has the form

$$(*) \quad g(z_1, \dots, z_n) = (\alpha_1 z_1^{a_{11}} \dots z_n^{a_{1n}}, \dots, \alpha_n z_1^{a_{n1}} \dots z_n^{a_{nn}})$$

with $(a_{ij})_{1 \leq i, j \leq n} \in \mathcal{A}(E) \subset GL_n(\mathbb{Z})$ and $(\alpha_1, \dots, \alpha_n) \in (\mathbb{C}^*)^n$.

As $\text{Spec}_{\mathbb{C}} \mathcal{A}(E)$ is finite, it follows from lemma 1.8 that either $\mathcal{A}(E)$ is finite, or there exists an $\mathcal{A}(E)$ -stable \mathbb{Q} -subspace $\{0\} \subsetneq V_1 \subsetneq \mathbb{Q}^n$. In the latter case, call $\mathcal{A}_1 \subset GL(V_1)$ the group of linear automorphisms induced by $\mathcal{A}(E)$. Being contained in $\text{Spec}_{\mathbb{C}} \mathcal{A}(E)$, $\text{Spec}_{\mathbb{C}} \mathcal{A}_1$ is finite, so we can apply Burnside's result again to \mathcal{A}_1 acting on V_1 . We repeat that procedure until we get a positive-dimensional subspace $V_k \subsetneq \mathbb{Q}^n$ such that \mathcal{A}_k is finite (notice that if $\dim V_k = 1$, then finiteness of $\text{Spec}_{\mathbb{C}} \mathcal{A}_k$ implies finiteness of \mathcal{A}_k). Then a finite index subgroup of $\mathcal{A}(E)$ (namely, the kernel of $\mathcal{A}(E) \rightarrow \mathcal{A}_k$) fixes V_k pointwise. By lemma 1.9, we can assume that $\mathcal{A}(E)$ fixes V_k pointwise.

Pick $v \in V_k \cap \mathbb{Z}^n$. Lemma 1.7 applies and yields a bundle $E' \xrightarrow{D'} B$ with:

- E' is Stein if and only if E is,
- $\dim D' = n - 1$ and D' is Stein by lemma 1.6,
- any $g \in G_{\text{struct}}(E')$ still has the form $(*)$ (with $n - 1$ variables),
- $\text{Spec}_{\mathbb{C}} \mathcal{A}(E')$ is a subset of $\text{Spec}_{\mathbb{C}} \mathcal{A}(E)$, and is therefore finite.

Even though D' may be unbounded, the above properties allow us to repeat the procedure from the beginning. This sets up an induction on n , so we only need to prove the theorem for $n = 1$. But in that case, as the fiber is of dimension one, E is Stein by [Mok]. \square

Lemma 1.11 p.7:

Proof. Assume $\text{Spec}_{\mathbb{C}} \mathcal{A} \subset S^1$. We prove finiteness of the set of all characteristic polynomials of all matrices in \mathcal{A} .

Take any $A \in \mathcal{A}$, and let P be its characteristic polynomial. By assumption, all roots of P have modulus 1. As $\deg P = n$, P has $n + 1$ coefficients. Each of them is an integer of modulus not greater than n , because it is given by an elementary symmetric expression in the roots of P . Therefore the set of polynomials has cardinal at most $(n + 1)^{2n+1}$.

Conclusion: $\text{Spec}_{\mathbb{C}} \mathcal{A}$ is finite. \square

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