ON THE STEIN COVERINGS FOR 1-CONVEX SPACES

VO VAN TAN

Dedicated to the memory of Le Van Thiem

Introduction

Unless the contrary is explicitly stated, all \mathbb{C} -analytic spaces considered here are assumed to be non compact, finite dimensional and of \mathbb{C} -dimension $n \geq 1$. Furthermore, 3-dimensional (resp. 2-dimensional) connected C-analytic manifolds, will be referred to simply as threefolds (resp. surface).

Let X be a 1-convex space with its exceptional set S. Then it is known [V10] that X is q-complete with $q = \dim S + 1$; also this bound is sharp; hence, the natural generalization of such a result could be stated as follows:

Question 0.1. Is it always possible to convex X by q Stein open subsets?

On the other hand, let M be a compact C-analytic space carrying a normally ample, effective divisor D. Then $X := M \setminus D$ is actually a 1-convex space. If its exceptional set S consists of only finitely many points, then X is an affine variety. So one would like to raise the following.

Question 0.2. Can such an X be covered by $q := \dim S + 1$ open affine subsets of M?

This paper is organized as follows. In Section 1, various notions of positivity of line bundles over 1-convex spaces will be established. In Section 2, an affirmative answer to Question 0.1 is given, provided X is embeddable. In Section 3, in the spirit of Chevalley's criterion, a positive answer to Question 0.2 is given, provided M is projective algebraic. Finally, in Section 4 various related problems will be discussed.

1. The positive line bundles

Definition 1.1. (see [G], [V1]) A \mathbb{C} -analytic space X is said to be 1-convex space (or strongly pseudoconvex) if there exist:

- a) a Stein space Y and finitely many points $T \subset Y$,
- b) a surjective, proper and holomorphic map $\pi: X \to Y$ inducing a biholomorphism $X \setminus S \cong Y \setminus T$ where $S := \pi^{-1}(T)$, and
 - c) $\pi * O_X = O_Y$.

Henceforth, S will be referred to as the *exceptional set* of X. Also, in the special case where $\dim S = 0$, 1-convex spaces are exactly Stein spaces.

Furthermore, a 1-convex space X is said to be *embeddable* if it can be realized as a closed \mathbb{C} -analytic subvariety in some ambient space $\mathbb{C}^k \times \mathbb{P}^{\nu}$.

Example 1.1 (see [G]). Let E be a rank q holomorphic vector bundle on some compact C-analytic manifolds S. Assume that E^* is ample in the sense of [H]. Let X be the total space of the bundle E. By compactifying each fibre \mathbb{C}^q to \mathbb{P}^q one obtains a \mathbb{P}^q bundle M over S, and an effective divisor $D \subset M$ such that L|D is ample since E^* is ample, where L is the holomorphic line bundle on M determined by D. One can check that $X \equiv M \setminus D$ is an embeddable 1-convex manifold with exceptional by D. One can check that $X \cong M \setminus D$ is an embeddable 1-convex manifold with exceptional set S.

On the other hand, non embeddable 1-convex space are explicitly exhibited in [V1, 6, 9].

Definition 1.2. Let X be a \mathbb{C} -analytic space, let L be a holomorphic line bundle on X and let $\{U_i, e_{ij}\}$ be a system of 1-cocycles determining L.

Then L is said to be

a) weakly positive if there exists a system $\{h_i\}$ of positive, smooth and real valued functions on U_i such that on $U_i \cap U_j$

$$h_j = |e_{ij}|^2 h_j$$

and such that the functions $g_i(z) := -\log h_i(z)$ are smooth and strongly plurisub-harmonic on U_i

- b) cohomologically positive if $H^i(X, L^N \otimes F) = 0$ for any $N \gg 0$, any $i \geq 1$, and any $F \in Coh(X) :=$ the category of analytic coherent sheaves on X.
- c) ample if each stalk $(L^N \otimes F)_X$ is generated by its global sections for any $x \in X$, any $N \gg 0$ and any $F \in Coh(X)$.

It is well known that these 3 notions are equivalent when X is compact [V3]. It is our main purpose here to establish the following generalization.

Theorem 1.1. Let X be a 1-convex space with its exceptional set S and let L be a holomorphic line bundle on X. Then the following conditions are equivalent:

- i) L is weakly positive,
- ii) L is cohomologically positive,
- iii) L is ample.

Proof. The implication i) \Rightarrow ii) follows from a result in [AT] (Theorem 1). Meanwhile, the implication ii) \Rightarrow iii) is trivial. Assume that iii) holds. Then, in view of a result in [VI] (Extension lemma), by suitably modifying the metric of L, one can find an integer k(S) such that for any integer n > k(S) the linear system |nL| will give rise to an embedding morphism $\Phi_{|nL|}: X \to \mathbb{C}^k \times \mathbb{P}^{\nu}$ and that

 $\Phi_{|\Lambda|}^* \cong L^n$, where Λ is the line bundle on $\mathbb{C}^k \times \mathbb{P}^{\nu}$ determined by the linear hypersurface $\mathbb{C}^k \times \mathbf{E}$, with \mathbf{E} being the hyperplane in \mathbb{P}^{ν} . Since Λ is weakly positive (see Theorem 2.1 below), our desired conclusion follows.

Definition 1.3. Let L be a holomorphic line bundle on a 1-convex space X. Then L is said to be *positive* if it satisfies one of the equivalent conditions in Theorem 1.1.

Remark 1.1. For arbitrary \mathbb{C} -analytic spaces X, the above conditions of positivity are not equivalent, in general. In fact, let $X := \mathbb{C}^k \times \mathbb{P}^{\nu}$ and let L be the line bundle on X determined by $D := \mathbb{C}^k \times \mathbf{E}$, where \mathbf{E} is the hyperplane bundle on \mathbb{P}^{ν} . Then L is weakly positive (cf. Theorem 2.1 below). However, one can check that L is not cohomologically positive.

2. The Stein coverings

We are now in a position to provide an affirmative answer to Question 0.1 within the framework of embeddable 1-convex spaces.

Theorem 2.1. Let X be a 1-convex space with its exceptional set S. Assume that X is embeddable. Then X can be covered by $q := \dim S + 1$ Stein open subsets of X.

Proof. As notice earlier, X is Stein dimS=0. So by induction. we will assume that our theorem holds for embeddable 1-convex spaces with exceptional sets of \mathbb{C} -dimension < dimS. Now, by hypothesis, X can be realized as a closed analytic subvariety in some $\mathbb{C}^k \times \mathbb{P}^{\nu}$. Let Λ be the line bundle on $\mathbb{C}^k \times \mathbb{P}^{\nu}$ determined by $Y := \mathbb{C}^k \times \mathbf{E}$ where \mathbf{E} is the hyperplane divisor in \mathbb{P}^{ν}

Claim. Λ is a weakly positive line bundle.

Indeed, let $(z_1, \ldots, z_k) \in \mathbb{C}^k$ and let $(\zeta_0, \ldots, \zeta_{\nu})$ be homogeneous coordinates in \mathbb{P}^{ν} . Let

$$U_i := \{(\zeta_0, \dots, \zeta_{\nu}) \in \mathbb{P}^{\nu} : \zeta_i \neq 0\} \text{ with } 0 \le i \le \nu.$$

Certainly $\Lambda | U_i$ is trivial transition function $\zeta_j \zeta_i^{-1}$. Let

$$h_i := \left(\sum |\xi_i|^2\right)^{-1} \exp\left(\sum -|z_i|^2\right).$$

Then one can easily check that $h_i = |\xi_j \xi_i^{-1}|^2 h_j$ and that $-\partial \overline{\partial} \log h_i > 0$, and our claim is proved.

Now let $L: \Lambda | X$. Since X is 1-convex, the vanishing of $H^1(X, L^{\nu} \otimes \mathbb{F}) = 0$ shows that for a fixed integer $\nu \gg 0$, one can find, for any point $y \in D := X \cap Y$, an element $\tau \in H^0(X, L^{\nu})$ such that $\tau(y) \neq 0$. Let $\sigma \in \Gamma(X, L)$ be the canonical section determined by D. Then the function $\phi := \tau/\sigma^{\nu}$ is meromorphic on X, holomorphic on $Z := X \setminus D$ and has a pole of order ν at y. Since X is holomorphically convex, so is Z. Since L|S is ample, it follows readily that $S \setminus (S \cap Y)$ is affine; hence Z is free of compact analytic subvarieties of positive

dimension. Then Z is Stein. On the other hand, D is 1-convex with exceptional set of \mathbb{C} -dimension < dimS. By induction hypothesis, D can be covered by q-1 Stein open subsets U_j of D with $1 \le j \le q-1$. In view of a main result in [S], one can find q-1 Stein open subsets V_j in X which cover D. Therefore Z and V_j are the desired Stein coverings of X.

Corollary 2.1. Any 2-dimensional 1-convex space without 2-dimensional compact, irreducible components, can be covered by 2 Stein open subsets.

Proof. In fact, it follows from [V2] that such a 1-convex space is embeddable. Hence the conclusion follows.

Corollary 2.2. [B-d] (Theorem (1)) Let X be a relative compact subset of some surface M. Assume that X is 1-convex. Then X can be covered by 2 Stein open subsets.

In fact, their proof shows even more; namely those 2 open Stein subsets are actually Zariski open which will be our motivation for the next section.

Question 2.1. Is the converse of Theorem 2.1 true?

Unfortunately, the answer is No; in fact, there exist normal 2-dimensional Moihezon spaces M, see e.g. [V1], which

- i) have exactly 1 isolated singular point
- ii) are non projective

and iii) can be covered by 3 Stein open subsets.

Notice that the exceptional S of any 1-convex space is Moishezon [V1]. On the other hand, a main result in [A], (Theorem 7.3) tells us that there is an equivalence between the categories of Moishezon spaces and proper \mathbb{C} -algebraic spaces. So from now on we shall adhere to the following notation.

Notations. Let X be a \mathbb{C} -algebraic space in the sense of Artin [A] and let $\mathbb{F} = Coh(\mathbb{X}) :=$ the category of algebraic coherent sheaves on X. Then we shall denote by X_{an} (resp. \mathbb{F}_{an}) the underlying \mathbb{C} -analytic space of X (resp. the associated analytic coherent sheaf to \mathbb{F}). Furthermore, if $\pi: X \to Y$ is an algebraic morphism of \mathbb{C} -algebraic spaces, then $\pi_{an}: X_{an} \to Y_{an}$ denotes the associated analytic morphism of \mathbb{C} -analytic spaces.

Remark 2.1. Let X be a \mathbb{C} -algebraic space. It is known that, for complete \mathbb{C} -algebraic space X, $\dim_{\mathbb{C}} H^i(X,\mathbb{F}) < \infty$ for all $\mathbb{F} \in Coh(X)$ and any integer $i \geq 0$. Hence we are ready to establish an analogue of GAGA comparison theorem of Serre and Grothendieck in this framework.

Theorem 2.2. Let X be a \mathbb{C} -algebraic space such that $\dim_{\mathbb{C}} H^1(X,\mathbb{F}) < \infty$ for all $\mathbb{F} \in Coh(X)$.

Let $A \in Coh(X)$ and let $\mathbb{H} := \mathbb{A}_{an}$. Then

i) $X := X_{an}$ is a 1-convex space, and

ii) the natural maps of cohomology groups

$$\alpha_i: H^i(X, \mathbb{A}) \longrightarrow H^i(X, \mathbb{H})$$

are bijective for any $i \geq 1$.

Proof. i) It follows from [GH] that X is a proper modification of some \mathbb{C} -algebraic space Y which is affine; precisely, one has a proper morphism $\pi: X \to Y$ such that

- a) $\pi * OX = OY$, and
- b) the set $T := \{ y \in Y | \dim \pi^{-1}(y) > 0 \}$ is finite.

Consequently, we obtain the following commutative diagram

$$\begin{array}{ccc}
Y_{an} & \longrightarrow & Y \\
\pi_{an} & & \uparrow \pi \\
X_{an} & \longrightarrow & X
\end{array}$$

Since Y_{an} is Stein, it follows readily that X is 1-convex with exceptional set $S := S_{an}$ where $S := \pi^{-1}(T)$.

ii) Now let \mathbb{R} be the extension to zero on $X \setminus S$ of the (set) restriction of \mathbb{A} to S and let $\mathbb{G} := \mathbb{R}_{an}$. Then one has the following commutative diagram

By virtue of (*), the isomorphisms of the vertical arrows, for any i > 0, follows from a main result in [N] (Theorem V). In view of (**), it suffices to show that the induced maps β_i are isomorphisms for any i. Notice that \mathbb{R} is not, in general, a coherent sheaf of O_S -module.

CLAIM. There exists a decreasing sequence of algebraic coherent sheaves

$$0 = R_k \subset \cdots \subset R_i \subset \cdots \subset R_0 = R$$

such that R_i/R_{i+1} are algebraic coherent sheaves of O_S -module for any $i \geq 0$.

In fact, let a(R) be the ideal sheaf of annihilator of R, namely

$$a(R) := \{ \text{Kernel of the canonical sheaf morphism } O_X \to Hom(R, R) \}$$

and let I be the ideal sheaf in O_X determined by S. Then, in view of the definition of \mathbf{R} , one has $V(a(R)) \subset V(I)$ where V() is the algebraic subvariety of X determined by the ideal sheaf (). From the compactness of S, we infer the existence of an integer $\kappa \geq 0$ such that $I^k.R = 0$. Let $R_i := I^iR$. Certainly R_i/R_{i+1} are algebraic coherent sheaves of O_S -modules, since I. $R_i/R_{i+1} = 0$ for any $i \geq 0$. Hence our claim is proved.

Now let $G_i := (R_i)_{an}$. Following Artin [A], one obtains the isomorphisms

$$(\#) H^{\nu}(S, R_i/R_{i+1}) \longrightarrow H^{\nu}(S, G_i/G_{i+1})$$

for any $\nu \geq 0$ and any $i \geq 0$. From the following exact sequence

$$0 \longrightarrow R_i/R_{i+1} \longrightarrow R/R_{i+1} \longrightarrow R/R_i \longrightarrow 0$$

one deduces, for any fixed integer $k \ge 0$ and any $i \ge 0$, the following commutative diagram of cohomology groups, with exact rows

By using the ascending induction on i, (#) and the five-lemma will provide us the desired conclusion.

Remark 2.2. a) By using the same notation as in the previous proof, one can check easily that the commutative diagram (*) will give rise to the following natural isomorphisms of direct image of analytic coherent sheaves

$$R^k \pi *_{an} \mathbf{F}_{an} \cong R^k \pi * (\mathbf{F})_{an}$$

for any integer $k \geq 1$.

b) When X is non singular, a slightly weaker version than Theorem 2.2 has been established in [H] by using different techniques. Our next goal is to find necessary and sufficient conditions for a given 1-convex space to be an underlying \mathbb{C} -analytic space of some \mathbb{C} -algebraic space.

3. The affine covers

As a first step toward that goal, Example 1.1 is generalized as follows.

Proposition 3.1. (see [V8], Theorem 3.3) Let M be a \mathbb{C} -analytic space and let D be an effective divisor which is normally ample, i.e. $L \setminus D$ is ample where L is the holomorphic line bundle on M determined by D. Then

- i) $X := M \setminus D$ is 1-convex, and
- ii) M is Moishezon.

In view of this result, we introduce the following

Definition 3.1. Let X be a \mathbb{C} -algebraic space (resp. a non singular \mathbb{C} -algebraic space). Then X is said to an algebraic 1-convex (resp. a non singular algebraic 1-convex) model if X is algebraically isomorphic to $M \setminus D$ where M is some complete \mathbb{C} -algebraic space (resp. some non singular complete \mathbb{C} -algebraic space), and $D \subset M$ a normally ample effective divisor. If furthermore M can be selected to be projective algebraic, then we say that X is projectivizable.

The motivation for the terminology in Definition 3.1 stems from the following results.

Proposition 3.2. Let X be a \mathbb{C} -algebraic space. Then the following conditions are equivalent:

- (a) X is an algebraic 1-convex model,
- (b) X is a modification in the sense of [GH] of some affine \mathbb{C} -algebraic space A,
 - (c) $\dim_{\mathbb{C}} H^1(X, \mathbf{J}) < \infty$ for any $\mathbf{J} \in Coh(X)$.
- Proof. (a) \Rightarrow (b) Let M be a complete $\mathbb C$ -algebraic space with a normally ample divisor $D \subset M$ such that X is algebraically isomorphic to $M \setminus D$. In view of Proposition 3.1, $X := X_{an}$ is a 1-convex $\mathbb C$ -analytic space with an exceptional set $S \subset X$. Since S can be contracted to finite points, one obtains a compact $\mathbb C$ -analytic space Y, a finite set $T \subset Y$, and a proper, surjective holomorphic morphism $\Pi: M \to Y$ which induces a biholomorphism $M \setminus S \cong Y \setminus T$. Let $D := \Pi(D)$. Since X is 1-convex, $Y \setminus D$ is free of compact subvarieties of positive dimensions. Therefore the normally ample divisor D is actually the support of an ample divisor [G]. Consequently, Y is in fact projective algebraic and $A := Y \setminus D$ is affine. We infer that Π is actually an algebraic morphism and $\pi := \Pi | X : X \to A$ is the desired algebraic modification.
- (b) \Rightarrow (a) Assume that $\pi: X \to A$ a modification of some affine variety A; let $T \subset A$ be a finite subset, such that $U := X \setminus S \cong A \setminus T$ where $S := \pi^{-1}(T)$. Then X is an algebraic 1-convex model. Indeed, since A is affine one can find a complete \mathbb{C} -algebraic space Z and an effective ample divisor $E \subset Z$, such that $Z \setminus E \cong A$. By gluing Z and X along U, one obtains a complete \mathbb{C} -algebraic space M, a surjective and algebraic morphism $\pi: M \to Z$. Now let $D := \pi^{-1}(E) \subset M$. It is obvious that D is an effective normally ample divisor on M such that X is algebraically isomorphic to $M \setminus D$. Finally, the equivalence of (b) and (c) follows from the results in [GH].
- **Definition 3.2.** a) A \mathbb{C} -analytic space (resp. a \mathbb{C} -analytic manifold) X is said to be algebraically 1-convex if there exists a algebraic 1-convex (resp. a non singular) model X such that X is biholomorphic to X_{an} . Furthermore, X is said to be projectivizable if X is projectivizable in the sense of Definition 3.1.
- b) An 1-convex space X is said to be *quasi-algebraic* if there exists a C-algebraic space X such that X is biholomorphic to X_{an} .
- **Remark 3.1.** a) Any 2-dimensional algebraically 1-convex surface X is always projectivizable.
- b) From the proof of Proposition 3.2, one notices that M is birational to some projective variety Y; yet M itself is not so in general, as shown by the following example.
- **Example 3.1.** (see [V9]) There exist Moishezon 3-folds M which is a small resolution of some normal 3-dimensional projective variety Y with only one isolated

singular point, and a normally ample divisor $D \subset M$ such that $X := M \setminus D$ is 1-convex. Yet X is not even Kahlerian.

Confronted with this state of affairs, we have the following theorem.

Theorem 3.1. (Chevalley's criterion) Let M be a Moishezon space. Then M is projective algebraic iff any finite set of points in M is contained in some open affine subsets of M.

This result was first established by Kleiman for complete varieties with only factorial singularities, see e.g. [H]. This version was established by C. Horst in her thesis [Ho]. With this in mind, Question 0.2 can be answered as follows.

Theorem 3.2. Let X be an irreducible algebraic 1-convex space with its exceptional set S. Then X is projectivizable if and only if X can be covered by $q := \dim S + 1$ (Zariski) open affine subsets.

Proof. i) Let M be an irreducible compact \mathbb{C} -analytic space with a normally ample divisor D such that $X \cong M \setminus D$.

- **Step 1.** Assume that dim S=0. Then D is the support of some ample divisor say D. Consequently, for some integer $n \gg 0$, the linear system |nD| will embed M into some P_m such that $D=H_0\cap M$, where H_0 is some hyperplane divisor in P_m . Hence X can be covered by the affine open set $P_m \setminus H_0$.
- **Step 2.** Assume that X is projectivizable and $\dim S > 0$. By hypothesis, one can assume that M is embedded in some P_m . Let us select $q-1 := \dim S$ hyperplane divisor H_i , $0 \le i \le q-1$, which intersect S transversally. Let X (resp. M, S and D) be the intersection of X (resp. M, S and D) with $\bigcap H_i$
- $(1 \leq i \leq q-1)$. Obviously, the exceptional set S of the algebraic 1-convex space $X \cong M \setminus D$ consists of only finite many points. Hence we infer from Step 1 that X can be covered by the affine open set $P_m \setminus H_q$ for some suitable hyperplane divisor H_q . Consequently, X can be covered by q affine subsets $V_j := P_m \setminus H_j$ with $1 \leq j \leq q$.
- ii) Assume that $C \dim S = 0$. It follows readily that X is projectivizable. Now, by a tedious inductive argument, one can infer from Theorem 3.1 that X is indeed projectivizable.

4. Epilogue

From the prototypes of the previous sections, we would like to discuss for a given 1-convex space X, the connection between its various algebraic structures. First of all, a new basic definitions are in order.

Definition 4.1. A \mathbb{C} -analytic space (resp. \mathbb{C} -analytic manifold) X is said to be *compactifiable* if there exists a compact \mathbb{C} -analytic space (resp. compact \mathbb{C} -analytic manifold) M and a compact analytic subvariety $\Gamma \subset M$ such that $X \cong M \setminus \Gamma$. Furthermore, if M is projective algebraic, then X is said to be *quasi projective*.

We have the following characterization.

Proposition 4.1. (see [Gi], Theorem 3.1) Let X be an algebraic 1-convex manifold. Then X is projectivizable if and only if X is quasi projective.

Problem 4.1. Is Proposition 4.1 still true for arbitrary algebraic 1-convex spaces?

On the other hand, one of our main concerns would be

Problem 4.2. Are quasi-algebraic 1-convex spaces always algebraic 1-convex? We are ready to formulate the central theme for further investigations.

Problem 4.3. Let X be a compatifiable 1-convex space.

- i) Is X always quasi-algebraic?
- ii) Is X always algebraically 1-convex?

The motivation behind this problem stems from

Theorem 4.1. (see [V4, 5]) Let X be a compactifable 1-convex surface. Then X is quasi projective.

On the basis of this result, one would like to implement Proposition 4.1 as follows.

Problem 4.4. Let X be a compactifiable 1-convex surface. Is X always algebraically 1-convex?

In fact, one can prove the following result.

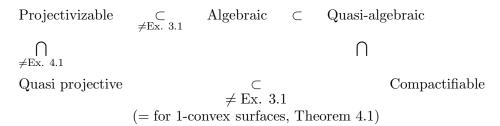
Proposition 4.2. (see also [V5]) Let X be a compactifiable Stein space. Then X is algebraically 1-convex if and only if X carries some affine structure.

On the other hand, we have the following example.

Example 4.1. (see [V11]) There exists (minimal) ruled surface M of genus g > 1 and a section $D \subset M$ with $D^2 = 0$ such that $X := M \setminus D$ is a Stein surface and X does not carry any affine structures so X is not algebraically 1-convex.

However, as noted in [V4, 5] there are significant differences between the structure of compactifiable Stein surfaces and those of compactifiable 1-convex surfaces. Thus Problem 4.4 still remains open for (minimal) 1-convex surfaces which are not Stein; in which case, algebraic 1-convexity is equivalent for X to acquire some pseudo-affine structure in the sense of [V4]. As far as the compactifiable 1-convex and Stein 3-folds are concerned. The situation is getting more complicated, due to the lack of classification of compact 3-folds, so we refer to [V6, 7] for further discussions. To round off this discussion, for the reader's convenience, we would like to present the following scheme to summarize the current status of our investigation.

Let X be a given 1-convex space. Then, upon which, the potential additional structures introduced in this paper are distributed as follows:



The symbol \subset with \neq means strict inclusion, in view of the existence of counterexamples. Otherwise, the problem remains open.

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SUFFOLK UNIVERSITY, DEPARTMENT OF MATHEMATICS, BEACON HILL, BOSTON, MASSACHUSETTS 02114, USA

 $E ext{-}mail\ address: tvovan@acad.suffolk.edu}$