

Mukai–Sakai bound for equivariant principal bundles

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Abstract. Mukai and Sakai proved that given a vector bundle E of rank n on a connected smooth projective curve of genus g and any $r \in [1, n]$, there is subbundle S of rank r such that $\deg \operatorname{Hom}(S, E/S) \leq r(n-r)g$. We prove a generalization of this bound for equivariant principal bundles. Our proof even simplifies the one given by Holla and Narasimhan for usual principal bundles.

1. Introduction

Let Y be a connected smooth projective curve of genus g_Y over an algebraically closed field k and E a vector bundle over Y of rank n . Fixing an integer $r \in [1, n]$, consider the space of all subbundles of E of rank r . It is easy to see that their degrees are bounded above. In [MS], Mukai and Sakai produced a lower bound for the maximum of these degrees. The main result of [MS] says that E has a subbundle S of rank r such that $\deg \operatorname{Hom}(S, E/S) \leq r(n-r)g_Y$.

In [HN], Holla and Narasimhan extended this result to principal bundles. Let G be a connected reductive linear algebraic group over k and E_G a principal G -bundle over Y . Fix a reduced parabolic subgroup $P \subset G$ and consider the space of all reductions of E_G to P . There is a constant $c \in \mathbf{Z}$ such that for any reduction $E_P \subset E_G$, we have $\deg \operatorname{ad}(E_P) \leq c$. In [HN], a lower bound for such a constant c is obtained. The main result of [HN] says that there is a reduction

$$\sigma: Y \longrightarrow E_G/P$$

such that $\deg \sigma^* T_{\operatorname{rel}} \leq g_Y \dim G/P$, where T_{rel} is the relative tangent bundle for the projection of E_G/P to X . Since $\sigma^* T_{\operatorname{rel}} \cong \operatorname{ad}(E_G)/\operatorname{ad}(E_P)$, this implies that $c \geq -g_Y \dim G/P$.

We prove a generalization of the above bound on $\deg \sigma^* T_{\operatorname{rel}}$ for equivariant bundles (see Theorem 3.2). We use a certain Quot-scheme of $\operatorname{ad}(E_G)$, as opposed

to the use of Hilbert schemes done in [HN]. This also yields a simpler proof of the bound obtained in [HN].

2. Equivariant reduction of a principal bundle

Let k be an algebraically closed field. Let Y be a connected smooth projective curve over k , and

$$\Gamma \subset \text{Aut}(Y)$$

a finite reduced subgroup of the automorphism group of Y . So Γ acts on the left of Y .

Let G be a connected reductive linear algebraic group over k and E_G a principal G -bundle over Y . A Γ -linearization of E_G is a lift of the action of Γ on Y to the total space of E_G that commutes with the action of G . So a Γ -linearization of E_G is a left action of Γ on E_G such that for any $\gamma \in \Gamma$, the automorphism of the variety E_G defined by it is an isomorphism of the G -bundle over the automorphism γ of Y .

The Lie algebra of G will be denoted by \mathfrak{g} . Fix a reduced parabolic subgroup P of G . Let $\mathfrak{p} \subset \mathfrak{g}$ be the Lie algebra of P .

Let E_G be a Γ -linearized G -bundle. Its adjoint bundle $E_G \times^G \mathfrak{g}$ will be denoted by $\text{ad}(E_G)$. Since the adjoint action of G preserves the Lie algebra structure of \mathfrak{g} , each fiber of $\text{ad}(E_G)$ has the structure of a Lie algebra isomorphic to \mathfrak{g} .

Since G/P is complete and $\dim Y = 1$, the G -bundle E_G admits a reduction of structure group to P . If $E_P \subset E_G$ is a reduction of structure group of E_G to E_P , then $\text{ad}(E_P) \subset \text{ad}(E_G)$, and the quotient $\text{ad}(E_G)/\text{ad}(E_P)$ is identified with the pullback of the relative tangent bundle on E_G/P by the section

$$\sigma: Y \longrightarrow E_G/P$$

(of the fiber bundle E_G/P over Y) corresponding to the reduction. Therefore, there is a constant $N(E_G)$ such that

$$\deg \sigma^* T_{\text{rel}} \geq N(E_G),$$

where T_{rel} is the relative tangent bundle over E_G/P for the projection to Y .

A reduction $E_P \subset E_G$ is called Γ -invariant if the subvariety E_P is left invariant by the action of Γ on E_G . Let

$$(2.1) \quad c(E_G) \in \mathbf{Z}$$

be the minimum of $\deg \sigma^* T_{\text{rel}}$ taken over all possible Γ -invariant reductions of E_G to P .

Let $\mathcal{Q}(\mathrm{ad}(E_G))$ be the Quot-scheme parametrizing all quotients of $\mathrm{ad}(E_G)$ of rank $\dim G/P$ and degree $c(E_G)$. (See [G] for properties of $\mathcal{Q}(\mathrm{ad}(E_G))$.)

Take a quotient $Q \in \mathcal{Q}(\mathrm{ad}(E_G))$. Let

$$(2.2) \quad 0 \longrightarrow S \longrightarrow \mathrm{ad}(E_G) \longrightarrow Q \longrightarrow 0$$

be the exact sequence defined by it. The subsheaf S is a subbundle of $\mathrm{ad}(E_G)$ over a nonempty open subset of Y .

The action of Γ on E_G defining the Γ -linearization induces an action of Γ on the vector bundle $\mathrm{ad}(E_G)$. Let

$$\mathcal{Q}^\Gamma(\mathrm{ad}(E_G)) \subset \mathcal{Q}(\mathrm{ad}(E_G))$$

be the closed subscheme consisting of all quotients Q such that the corresponding subsheaf S (as in (2.2)) is left invariant by the action of Γ . Note that if S is invariant under the action Γ , then there is an induced action of Γ on Q defined by the condition that the projection in (2.2) is Γ -equivariant.

The action of Γ on $\mathrm{ad}(E_G)$ induces an action of Γ on the scheme $\mathcal{Q}(\mathrm{ad}(E_G))$. The action of any $\gamma \in \Gamma$ sends a quotient $Q = \mathrm{ad}(E_G)/S$ to $\mathrm{ad}(E_G)/\gamma(S)$. Clearly, $\mathcal{Q}^\Gamma(\mathrm{ad}(E_G))$ coincides with $\mathcal{Q}(\mathrm{ad}(E_G))^\Gamma$.

The vector bundle $\mathrm{ad}(E_G)$ is associated with E_G for the adjoint action of G on \mathfrak{g} . So any closed point of the fiber $(E_G)_y$, $y \in Y$, gives a Lie algebra isomorphism of the fiber $\mathrm{ad}(E_G)_y$ with \mathfrak{g} . More precisely, the isomorphism defined by y sends any $w \in \mathfrak{g}$ to the equivalence class defined by (y, w) (recall that $\mathrm{ad}(E_G)_y$ is a quotient of $(E_G)_y \times \mathfrak{g}$). All such isomorphisms of $\mathrm{ad}(E_G)_y$, $y \in Y$, with \mathfrak{g} (defined by $(E_G)_y$) will be called *distinguished isomorphisms*.

Therefore, any two distinguished isomorphisms of $\mathrm{ad}(E_G)_y$ with \mathfrak{g} differ by an inner automorphism of \mathfrak{g} (defined by some element in G).

Take any quotient $Q \in \mathcal{Q}^\Gamma(\mathrm{ad}(E_G))$. Let $S \subset \mathrm{ad}(E_G)$ be the subsheaf defined as in (2.2). Let $U \subset Y$ be the nonempty open subset over which S is a subbundle of $\mathrm{ad}(E_G)$.

Lemma 2.1. *If there is a nonempty open subset $U' \subset U$ such that for any point $y \in U'$, there exists a distinguished isomorphism of $\mathrm{ad}(E_G)_y$ with \mathfrak{g} that takes S_y isomorphically to \mathfrak{p} , then S is a subbundle of $\mathrm{ad}(E_G)$, that is, $U = Y$.*

Proof. Let $S' \subset \mathrm{ad}(E_G)$ be the (unique) subbundle of rank $\dim P$ that contains S . So S' is the inverse image of $\mathrm{Torsion}(Q)$ for the projection in (2.2). For any $y \in Y$, the fiber S'_y is a subalgebra of $\mathrm{ad}(E_G)$ identified with \mathfrak{p} by (the restriction of) some distinguished isomorphism. Indeed, this follows from the fact that the subvariety of the Grassmannian $\mathrm{Gr}(\dim P, \mathfrak{g})$ (parametrizing all $\dim P$ -dimensional

subspaces of \mathfrak{g}), defined by all the conjugations of $\mathfrak{p} \subset \mathfrak{g}$, is the image of G/P in $\text{Gr}(\dim P, \mathfrak{g})$. In particular, it is a complete subvariety. Therefore, if the fiber of a subbundle of $\text{ad}(E_G)$ over the general point is identified with \mathfrak{p} by some distinguished isomorphism, then the fiber over the subbundle over each point of Y has this property.

Since S is left invariant by the action of Γ on $\text{ad}(E_G)$, it follows immediately that S' is invariant under the action of Γ .

Consequently, S' gives a (reduced) Γ -invariant sub-group-scheme

$$\tilde{S}' \subset \text{Ad}(E_G) := E_G \times^G G$$

of the gauge bundle defined by the condition that for any point $y \in Y$, the Lie algebra of \tilde{S}'_y coincides with S' . Now, \tilde{S}' defines a reduction of structure group

$$E_P \subset E_G$$

to the parabolic subgroup P . For any point $y \in Y$, the subvariety $(E_P)_y \subset (E_G)_y$ consists of all $z \in (E_G)_y$ such that the natural projection of $E_G \times G$ to $\text{Ad}(E_G)$ sends $z \times P$ into \tilde{S}'_y . That this defines a reduction of structure group of E_G to P is an immediate consequence of the fact that the normalizer of P in G coincides with P . This reduction E_P is Γ -invariant, since S' is left invariant under the action Γ .

From the definition of $c(E_G)$ in (2.1) it follows that

$$\text{deg}(\text{ad}(E_G)/S') = \text{deg } \sigma^* T_{\text{ref}} \geq c(E_G),$$

where σ is the section $Y \rightarrow E_G/P$ defining the reduction E_P . Therefore, as

$$\text{deg}(\text{ad}(E_G)/S') = \text{deg}(\text{ad}(E_G)/S) - \dim \text{Torsion}(Q) = c(E_G) - \dim \text{Torsion}(Q),$$

we have $\text{Torsion}(Q) = 0$. This implies that $S' = S$, and the proof of the lemma is complete. \square

Using the above lemma we will construct a closed subscheme of $\mathcal{Q}^\Gamma(\text{ad}(E_G))$.

3. The subscheme $\mathcal{Q}_P^\Gamma(\text{ad}(E_G))$

Let $\text{Gr}_Y(\dim P, \text{ad}(E_G))$ be the Grassmann bundle over Y parametrizing all $\dim P$ -dimensional subspaces in the fibers of $\text{ad}(E_G)$. The space of all conjugates of the Lie subalgebra \mathfrak{p} in $\text{ad}(E_G)$ define a subbundle

$$(3.1) \quad \text{Gr}_Y^{\mathfrak{p}} \subset \text{Gr}_Y(\dim P, \text{ad}(E_G))$$

of the fiber bundle. In other words, for any $y \in Y$, a subspace $V \subset \text{ad}(E_G)_y$ is in $\text{Gr}_Y^{\mathfrak{p}}$ if and only if there is a distinguished isomorphism of $\text{ad}(E_G)_y$ with \mathfrak{g} that takes \mathfrak{p} isomorphically to V . Therefore, any fiber of the fiber bundle $\text{Gr}_Y^{\mathfrak{p}}$ is isomorphic to G/P . In fact, there is a canonical isomorphism

$$(3.2) \quad \text{Gr}_Y^{\mathfrak{p}} \cong E_G/P.$$

Indeed, for any $y \in Y$ and any $z \in (E_G)_y$ (recall that $(E_G)_y$ parametrizes the distinguished isomorphisms of $\text{ad}(E_G)_y$ with \mathfrak{g}), the image of \mathfrak{p} in $\text{ad}(E_G)$ by the distinguished isomorphism corresponding to z is a point in the fiber of $\text{Gr}_Y^{\mathfrak{p}}$ over y . Since this image subalgebra does not change as y moves over a P -orbit (for the action of P on $(E_G)_y$), we get a natural isomorphism of the fiber bundle $\text{Gr}_Y^{\mathfrak{p}}$ over X with E_G/P .

Note that the action of Γ on E_G induces an action of Γ on $\text{Gr}_Y^{\mathfrak{p}}$.

Let

$$(3.3) \quad \mathcal{Q}_P^\Gamma(\text{ad}(E_G)) \subset \mathcal{Q}^\Gamma(\text{ad}(E_G))$$

be the subscheme defined by the Γ -invariant sections of $\text{Gr}_Y^{\mathfrak{p}}$ (defined in (3.1)). So a point of $\mathcal{Q}^\Gamma(\text{ad}(E_G))$, representing a quotient Q of $\text{ad}(E_G)$, lies in $\mathcal{Q}_P^\Gamma(\text{ad}(E_G))$ if and only if the corresponding subsheaf S (as in (2.2)) has the property that S is a subbundle of $\text{ad}(E_G)$ and for each point $y \in Y$, there is a distinguished isomorphism of $\text{ad}(E_G)_y$ with \mathfrak{g} that takes the fiber S_y isomorphically to \mathfrak{p} .

Using Lemma 2.1 it can be shown that $\mathcal{Q}_P^\Gamma(\text{ad}(E_G))$ is in fact a closed subscheme of $\mathcal{Q}^\Gamma(\text{ad}(E_G))$. Indeed, if we consider a morphism

$$f: C \setminus \{p\} \longrightarrow \mathcal{Q}_P^\Gamma(\text{ad}(E_G)),$$

where p is a point on a smooth curve C , then using the completeness of $\mathcal{Q}^\Gamma(\text{ad}(E_G))$ it extends to a morphism $\bar{f}: C \rightarrow \mathcal{Q}^\Gamma(\text{ad}(E_G))$. Let $U \subset Y$ be the nonempty open subset over which the quotient $\bar{f}(c)$ of $\text{ad}(E_G)$ is locally free. Let

$$\hat{f}: U \times C \longrightarrow \text{Gr}_Y(\dim P, \text{ad}(E_G))$$

be the map defined by \bar{f} . So, $\hat{f}(u, c)$ represents the subspace of $\text{ad}(E_G)_u$ defined by $\bar{f}(c)$. Therefore, the map \hat{f} has the property that $\hat{f}(U \times (C \setminus \{p\})) \subset \text{Gr}_Y^{\mathfrak{p}}$. Since $\text{Gr}_Y^{\mathfrak{p}}$ is a complete variety, we conclude that $\hat{f}(U \times C) \subset \text{Gr}_Y^{\mathfrak{p}}$. In particular, we have $U \times \{p\} \subset \text{Gr}_Y^{\mathfrak{p}}$. Now Lemma 2.1 implies that $\bar{f}(p) \in \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$. Therefore, $\mathcal{Q}_P^\Gamma(\text{ad}(E_G))$ is closed in $\mathcal{Q}^\Gamma(\text{ad}(E_G))$.

Take any quotient Q in $\mathcal{Q}_P^\Gamma(\text{ad}(E_G))$. The action of Γ on Q induces an action on $H^i(Y, Q)$ for any $i \geq 0$. Let

$$H^i(Y, Q)^\Gamma \subset H^i(Y, Q)$$

be the invariant subspace on which Γ acts trivially.

Proposition 3.1. *For any $Q \in \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$,*

$$\dim G/P \geq \dim H^0(Y, Q)^\Gamma - \dim H^1(Y, Q)^\Gamma,$$

where $H^i(Y, Q)^\Gamma$ is the invariant part.

Proof. Let $\nu: Y \rightarrow \text{Gr}_Y^p$ be a section fiber bundle defined in (3.1) (we saw in (3.2) that Gr_Y^p is naturally identified with E_G/P). As we saw in the proof of Lemma 2.1, such a section ν defines a reduction of structure group $E_P \subset E_G$ to P . Note that $\text{ad}(E_G)/\text{ad}(E_P)$ is identified with ν^*T_{rel} , where T_{rel} is the pullback of the relative tangent bundle for the projection of Gr_Y^p to Y . Therefore, from [K, p. 37, Theorem 2.17.1] it follows immediately that the dimension of the local moduli space, around ν , of sections of Gr_Y^p is at least

$$\dim H^0(Y, \text{ad}(E_G)/\text{ad}(E_P)) - \dim H^1(Y, \text{ad}(E_G)/\text{ad}(E_P)).$$

(Set X and S in [K, p. 37, Theorem 2.17] to be the curve Y , with the identity map of Y as the projection of X to S ; note that a morphism $Y/Y \rightarrow \text{Gr}_Y^p/Y$ is a section of the fiber bundle Gr_Y^p .) Similarly, if ν is Γ -invariant, then the local moduli space, around ν , of Γ -invariant sections of Gr_Y^p is of dimension not less than

$$\dim H^0(Y, \text{ad}(E_G)/\text{ad}(E_P))^\Gamma - \dim H^1(Y, \text{ad}(E_G)/\text{ad}(E_P))^\Gamma$$

(see [K, p. 37, Theorem 2.17.1] and [K, p. 35, Theorem 2.15]). To derive this from the previous assertion, note that a Γ -invariant section of Gr_Y^p is a section of Gr_Y^p/Γ over Y/Γ . The pullback of the relative tangent bundle by the section over Y/Γ defined by the above Γ -invariant section ν coincides with $\phi_*(\text{ad}(E_G)/\text{ad}(E_P))^\Gamma$, where ϕ is the projection of Y to Y/Γ . Since ϕ is a finite map, we have

$$H^i(Y/\Gamma, \phi_*(\text{ad}(E_G)/\text{ad}(E_P))^\Gamma) \cong H^i(Y, \text{ad}(E_G)/\text{ad}(E_P))^\Gamma.$$

This establishes the above lower bound for the dimension of the local moduli space, around ν , of Γ -invariant sections of Gr_Y^p . Therefore, for any $Q \in \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$ we have

$$\dim T_Q \mathcal{Q}_P^\Gamma(\text{ad}(E_G)) \geq \dim H^0(Y, Q)^\Gamma - \dim H^1(Y, Q)^\Gamma.$$

So, to prove the proposition it suffices to show that $\dim G/P \geq \dim \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$.

Fix a point $y \in Y$ and consider the map

$$f_y: \mathcal{Q}_P^\Gamma(\text{ad}(E_G)) \longrightarrow \text{Gr} := \text{Gr}(\dim P, \text{ad}(E_G)_y)$$

to the Grassmannian that sends a quotient Q to the quotient Q_y of $\text{ad}(E_G)_y$. If $v \in \text{Gr}(\dim P, \text{ad}(E_G)_y)$ and C is an irreducible complete curve in $f_y^{-1}(v)$, consider the map

$$Y \times C \longrightarrow \text{Gr}_Y(\dim P, \text{ad}(E_G))$$

to the Grassmann bundle (parametrizing $\dim P$ -dimensional subspaces in $\text{ad}(E_G)$) that sends any (z, c) to the fiber at z of the subbundle corresponding to the quotient represented by c . This map is constant on $y \times C$, and hence using the rigidity lemma we conclude that this map factors through the projection of $Y \times C$ to Y (see [MS, pp. 254–255]). Therefore, all the fibers of f_y are of dimension zero.

The image of f_y is contained in the orbit of \mathfrak{p} under the adjoint action of G on \mathfrak{g} (recall the condition that any fiber of S in (2.2) is identified with \mathfrak{p} by some distinguished isomorphism). This implies that $\dim \text{Image}(f_y) \leq \dim G/P$. Consequently, we have $\dim G/P \geq \dim \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$, and the proof of the proposition is complete. \square

Set $X := Y/\Gamma$, and denote by ϕ the projection of Y . Let $R \subset Y$ be the collection of all points where the map ϕ is ramified, that is, all points with nontrivial isotropy. For any $y \in R$, the isotropy subgroup $\Gamma_y \subset \Gamma$ is a cyclic subgroup, which acts faithfully on $T_y Y$. Let $\tau_y \in \Gamma_y$ be the generator that acts as multiplication by $\exp(2\pi\sqrt{-1}/n_y)$, where $n_y = \#\Gamma_y$. Consider the action of τ_y on the fiber $\text{ad}(E_G)_y$. The eigenvalues are of the form $\exp(2\pi\sqrt{-1} m/n_y)$, $m \in [0, n_y - 1]$. If $n_y > m_1^y \geq m_2^y \geq \dots \geq m_{\dim \mathfrak{g}}^y \geq 0$ are such that $\exp(2\pi\sqrt{-1} m_i^y/n_y)$, $i \in [1, \dim \mathfrak{g}]$, are the eigenvalues, then set

$$N_y := \sum_{i=1}^{\dim G/P} m_i^y.$$

Theorem 3.2. *The bound $c(E_G)$ defined in (2.1) satisfies the inequality*

$$c(E_G) \leq g_X \#\Gamma \cdot \dim G/P + \sum_{y \in R} N_y,$$

where $g_X = \text{genus}(X)$ and $\#\Gamma$ is the order of Γ .

Proof. This follows from Proposition 3.1 and the Riemann–Roch formula for the Euler characteristic $\dim H^0(Y, Q)^\Gamma - \dim H^1(Y, Q)^\Gamma$.

For any $Q \in \mathcal{Q}_P^\Gamma(\text{ad}(E_G))$ we have $H^i(Y, Q)^\Gamma \cong H^i(X, (\phi_* Q)^\Gamma)$, where $(\phi_* Q)^\Gamma \subset \phi_* Q$ is the subsheaf on which Γ acts trivially.

For any point $y \in R$, consider the induced action of Γ_y on the fiber Q_y . Let $\exp(2\pi\sqrt{-1} l_i^y/n_y)$, $i \in [1, \dim G/P]$, be the eigenvalues, where n_y is defined above

and $l_i^y \in [0, n_y - 1]$. We have

$$\deg Q = \#\Gamma \cdot \deg(\phi_* Q)^\Gamma + \sum_{y \in R} \sum_{i=1}^{\dim G/P} l_i^y$$

(see [B, p. 318, (3.10)]). Therefore,

$$\deg(\phi_* Q)^\Gamma = \frac{\deg Q - \sum_{y \in R} \sum_{i=1}^{\dim G/P} l_i^y}{\#\Gamma} \geq \frac{\deg Q - \sum_{y \in R} N_y}{\#\Gamma},$$

as $\{l_i^y\}_{i=1}^{\dim G/P}$ is a subcollection of $\{m_i^y\}_{i=1}^{\dim G}$ for each $y \in R$. Now, using the Riemann–Roch formula for $(\phi_* Q)^\Gamma$ we have

$$\dim H^0(X, (\phi_* Q)^\Gamma) - \dim H^1(X, (\phi_* Q)^\Gamma) \geq (1 - g_X) \dim G/P + \frac{\deg Q}{\#\Gamma} - \sum_{y \in R} \frac{N_y}{\#\Gamma}.$$

Combining this with Proposition 3.1 gives

$$\dim G/P \geq (1 - g_X) \dim G/P + \frac{\deg Q}{\#\Gamma} - \sum_{y \in R} \frac{N_y}{\#\Gamma}.$$

In other words, $\deg Q \leq g_X \#\Gamma \cdot \dim G/P + \sum_{y \in R} N_y$. Since $c(E_G) = \deg(Q)$, the proof of the theorem is complete. \square

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