

Biholomorphic Transformations That Do Not Extend Continuously to the Boundary

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Let $f: D_1 \rightarrow D_2$ be a biholomorphic transformation between bounded domains in a complex manifold. The general question considered by a number of authors (see, e.g., [1–11; 14; 16]) is whether f admits a continuous or even a smooth extension to the boundary ∂D_1 of D_1 . Most of the known results are positive; that is, if D_1, D_2 are some special domains (strictly pseudoconvex, analytic polyhedra, etc.; see [3; 15] for review) then f can be extended to the boundary to provide homeomorphism or diffeomorphism (in case of smooth boundaries) between \bar{D}_1 and \bar{D}_2 . Counterexamples are hard to come by, probably because of the rigidity of biholomorphic mappings. Only a few are known at this time (see [1; 2; 11]).

The purpose of this paper is to present several more negative results in \mathbf{C}^n , $n > 1$. We provide two constructions based on a new idea.

Both of our theorems below provide counterexamples to the general question of whether a biholomorphism $f: D_1 \rightarrow D_2$ can be extended continuously to the boundary. The first theorem gives an example of domains with topologically complicated boundaries, whereas the second theorem deals with a more regular case.

In the theorem below it is assumed that $\mathbf{C}^n \subset \mathbf{C}^{n+1}$ in a natural way: $z = (z_1, \dots, z_n) \in \mathbf{C}^n$ is identified with $(z_1, \dots, z_n, 0) \in \mathbf{C}^{n+1}$.

THEOREM 1. *Let G_1, G_2 be bounded domains in \mathbf{C}^n . Then there are bounded domains $D_1, D_2 \subset \mathbf{C}^{n+1}$ such that:*

- (1) $G_i \subset \partial D_i$, $i = 1, 2$.
- (2) *There is a biholomorphic transformation $f: D_1 \rightarrow D_2$ such that f can be extended as homeomorphism to $F: (\bar{D}_1 \setminus \bar{G}_1) \rightarrow (\bar{D}_2 \setminus \bar{G}_2)$. Moreover, f can be extended to a neighborhood of $\bar{D}_1 \setminus \bar{G}_1$ as a biholomorphic transformation.*

REMARK 1.1. Clearly, since G_1, G_2 are arbitrary, f in most cases cannot be extended to the boundary as homeomorphism. From the construction that follows one will see that f cannot be extended continuously to \bar{G}_1 in any case.

The next theorem is a generalization of Theorem 1.

THEOREM 1.1. *Let $\{G_k\}_{k=1}^\infty$ be a countable number of arbitrary bounded domains in \mathbf{C}^n . Then there exist a bounded domain $D \subset \subset \mathbf{C}^{n+1}$ and bounded biholomorphic imbeddings $f_k: D \rightarrow \mathbf{C}^{n+1}$ such that*

- (1) $\bar{D} \cap \mathbf{C}^n = \bar{G}$ for some domain $G \subset \subset \mathbf{C}^n$;
- (2) $f_k(D) = D_k \subset \subset \mathbf{C}^{n+1}$ and $\bar{D}_k \cap \mathbf{C}^n = \bar{G}_k$ for all $k \geq 1$; and
- (3) f_k can be extended to a homeomorphism $F_k: (\bar{D} \setminus \bar{G}) \rightarrow (\bar{D}_k \setminus \bar{G}_k)$.
Moreover, f_k can be extended to a neighborhood of $\bar{D} \setminus \bar{G}$ as a biholomorphic transformation.

We introduce now the following notations: $z' = (z_1, \dots, z_{n-1})$; $z = (z', z_n) \in \mathbf{C}^n$. We call a domain $D \subset \mathbf{C}^n$ a *disk domain* (with respect to z_n) if there is such a domain $D' \subset \mathbf{C}^{n-1}$, a function $c(z')$, and a nonnegative function $R(z')$, $z' \in D'$, such that $D = \{z = (z', z_n) \mid z' \in D', |z_n - c(z')| < R(z')\}$. We denote $R(D) = \inf_{z' \in D'} R(z')$.

The next theorem provides an example of a C^∞ disk domain in \mathbf{C}^2 containing only large 1-dimensional disks on the boundary, and a biholomorphic map onto an arbitrarily close and similar disk domain (so the map is almost an automorphism) which cannot be extended continuously to the boundary.

THEOREM 2. *There exists a bounded convex disk domain $D \subset \mathbf{C}^2$, $\partial D \in C^\infty$, $R(D) = 1$ such that for every $\epsilon > 0$ there exists a disk domain $D_\epsilon \subset \subset \mathbf{C}^2$ with the following properties:*

- (1) $R(D_\epsilon) = 1$.
- (2) *There exists a biholomorphism $f_\epsilon: D \rightarrow D_\epsilon$ that cannot be extended continuously to ∂D .*
- (3) *There exists a continuous map $\phi_\epsilon: \bar{D} \rightarrow \bar{D}_\epsilon$ that is one-to-one and $|\phi_\epsilon(z) - z| \leq \epsilon$ for all $z \in \bar{D}$.*

REMARK 2.1. In addition to the properties listed we will see that f is going to be fiber- (disk-) preserving and $\phi_\epsilon \in C^\infty(D) \cap C(\bar{D})$.

REMARK 2.2. The domain D from Theorem 2 has the following neighborhood basis of disk domains D_k :

- (1) $\bar{D}_{k+1} \subset \bar{D}_k$; $\bigcap_{k=1}^\infty D_k = D$; $R(D_k) = 1$.
- (2) Every \bar{D}_k is topologically equivalent to \bar{D} ; moreover, there exists a family of homeomorphisms $\{\Phi_k\}$, $\Phi_k: \bar{D} \rightarrow \bar{D}_k$, that converges uniformly on \bar{D} to the identity map.
- (3) Every D_k is biholomorphically equivalent to D , and the corresponding biholomorphism does not extend continuously to the boundary.

Proof of Theorem 1

We will use the following notation: $B(a, r) = \{z \mid |z - a| < r\}$, $B = B^n = B(0, 1)$ the unit ball in \mathbf{C}^n ; $p = (0, 0, \dots, 1) \in \partial B$; $q = -p$. $\Delta(a, r) = \{t \mid |t - a| < r\}$ a disk in \mathbf{C} ; $\Delta = \Delta(0, 1)$ the unit disk in \mathbf{C} .

If X, Y are sets in a metric space with distance $d(x, y)$, then $d(X, Y) = \inf(\epsilon > 0 \mid \forall x \in X \exists y \in Y, d(x, y) < \epsilon \ \& \ \forall y \in Y \exists x \in X, d(y, x) < \epsilon)$. We will say that sets $M_s \rightarrow M$ as $s \rightarrow \infty$ if $d(M_s, M) \rightarrow 0$ as $s \rightarrow \infty$. We also define

$$F(\mu, z) = \left\{ \sqrt{1-\mu^2} \frac{z'}{1-z_n\mu}, \frac{z_n-\mu}{1-z_n\mu} \right\}.$$

Note that for a fixed μ , $0 < \mu < 1$, $F(\mu, z) \in \text{Aut}(B)$ the holomorphic automorphism group of B .

1. LEMMA. *Let G be a bounded domain in \mathbb{C}^n . Then there is a linear fractional transformation $L_G: G \rightarrow B$ such that the following two properties hold:*

- (1) L_G^{-1} is defined in a neighborhood of \bar{B} .
- (2) For any sequence $\lambda_k \rightarrow 1$, $0 < \lambda_k < 1$, there exists a subsequence $\{\mu_k\} \subset \{\lambda_k\}$ and a domain $E \subset B$ such that
 - (a) $E \supset B \setminus B(p, \frac{1}{3})$ and
 - (b) $L_G^{-1} \circ F_k[E \cap S] \rightarrow \bar{G}$ as sets when $k \rightarrow \infty$, where $F_k(z) = F(\mu_k, z)$ is defined above and S is any domain containing $B(p, \frac{1}{2})$.

Proof of this statement can be done by constructing E in a way similar to the constructions of exhausting domains in [12; 13].

2. By using the above Lemma for $i = 1, 2$ we now find $L_i = L_{G_i}$. Fix a sequence $\lambda_k = 1 - 1/(k+1) \rightarrow 1$ and by the same lemma (where $G = G_1$) we find $\{\mu_k\} \subset \{\lambda_k\}$ and the set E_1 , and consequently $\{\nu_k\} \subset \{\mu_k\}$ and the set E_2 (for $G = G_2$). $\{\nu_k\}$ form a monotone sequence, $\nu_k \rightarrow 1$. Let J be the operator of multiplying by -1 , $J: z \rightarrow -z$. We set $E = E_1 \cap JE_2$. One can check that

$$(1) \quad E'_k = L_1^{-1} \circ F_k[E] \rightarrow \bar{G}_1 \quad \text{and} \quad E''_k = L_2^{-1} \circ F_k[JE] \rightarrow \bar{G}_2 \quad \text{as } k \rightarrow \infty,$$

where $F_k(z) = F(\nu_k, z)$.

3. Let $g(t) = (t+1)/2$. For $|t| < 1$ we fix a branch of $\sqrt{1-g^2}$ which will be an analytic function. Now for $|t| < 1$ and $|z_n| < 1$, $F(g(t), z)$ is a well-defined analytic transformation. If we set $\Phi: (z, z_{n+1}) \rightarrow (F(g(z_{n+1}), z), z_{n+1}-1)$ one can see that $\Phi: B \times \Delta \rightarrow \mathbb{C}^{n+1}$ is a biholomorphic imbedding which can be extended biholomorphically into a neighborhood of $\bar{B} \times (\bar{\Delta} \setminus \{1\})$.

4. Let $\epsilon'_k = d(E'_k, G_1)$, $\epsilon''_k = d(E''_k, G_2)$, and $\epsilon_k = \max(\epsilon'_k, \epsilon''_k, 1/k)$. (1) means that $\epsilon_k \rightarrow 0$ for $k \rightarrow \infty$. One can now see that for any k , a number $\delta_k > 0$ can be found such that if $|\nu - \nu_k| < \delta_k$ then

$$M_1 = L_1^{-1} \circ F(\nu, [E]) \quad \text{and} \quad M_2 = L_1^{-1} \circ F(\nu, [JE])$$

are defined and $d(M_i, G_i) < 2\epsilon_k$ for $i = 1, 2$.

5. One can check from the definition of F that $F(g(t), [B(0, \frac{1}{2})]) \rightarrow q$ when $t \rightarrow 1$, $|t| < 1$.

6. Let $t_0 = 0$ and, for all $k \geq 1$, let $t_k = 2\nu_k - 1$ and $\eta_k = \min(\delta_k, (t_{k+1} - t_k)/3, (t_k - t_{k-1})/3)$. We set $U = \bigcup_{k=1}^{\infty} \Delta(t_k, \eta_k)$, $V = \Delta \setminus U$, and $D = (E \times U) \cup (B(0, \frac{1}{2}) \times V)$. One can see that $U \subset \Delta$ and D is a domain in \mathbb{C}^{n+1} .

7. We introduce consequently

$$\begin{aligned} J' : (z, z_{n+1}) &\rightarrow (-z, z_{n+1}), & T_i : (z, z_{n+1}) &\rightarrow (L_i^{-1}(z), z_{n+1}), \quad i = 1, 2; \\ \Phi_1 &= T_1 \circ \Phi, & \Phi_2 &= T_2 \circ \Phi \circ J'. \\ D_i &= \Phi_i[D], \quad i = 1, 2; & f &= \Phi_2 \circ \Phi_1^{-1} : D_1 \rightarrow D_2. \end{aligned}$$

One can check now that D_1 , D_2 and f satisfy all conditions of Theorem 1. \square

8. Theorem 1.1 can be proved in a way similar to the proof of Theorem 1. The main difference will be in constructing the set E . Above we constructed the set E by taking some sets out of B near two points p and q . For Theorem 1.1 we will need to take some sets out of B near a countable number of points on ∂B . The subsequence $\{\nu_k\}$ can be chosen by the usual diagonalization process.

Proof of Theorem 2

1. First we choose a real function $\varphi(x) \in C^\infty(-1, 1) \cap C[-1, 1]$ such that

- (a) $\varphi(0) = 2$, $\varphi(1) = 1$, and φ is decreasing;
- (b) $\varphi^{(k)}(0) = 0 \quad \forall k \geq 1$; and
- (c) if $\psi = \varphi^{-1}$ then $\psi^{(k)}(1) = 0 \quad \forall k \geq 1$.

2. Define the domain D as $D = \{(z_1, z_2) \mid |z_1| < 1, |z_2| < \varphi(|z_1|)\}$. From the construction of φ one can see that $\partial D \in C^\infty$ and D is a convex disk domain with $R(D) = 1$.

3. Let $\nu, \frac{1}{3} > \nu > 0$, be a number that depends on ϵ and will be chosen later. Obviously there exists a $\delta > 0$ such that $\varphi(|t|) - 1 < \nu^2$ for $t \in \Delta \cap \Delta(1, \delta)$. We now can find a function $g \in A(\Delta_1) \cap C(\bar{\Delta}_1)$, where $\Delta_1 = \Delta(-1, 2)$, such that:

- (a) $|g(t)| < 1$ for $t \in \bar{\Delta}_1 \setminus \{1\}$, and $g(1) = 1$;
- (b) $|g(t)| < \nu$ for $t \in \Delta \setminus \Delta(1, \delta)$;
- (c) $\varphi(|t|) - 1 < \nu(1 - |g(t)|^2)^2$ for $t \in \Delta \cap \Delta(1, \delta)$; and
- (d) $|\operatorname{Im} g(t)| < \nu(1 - |g(t)|^2)^2$ for $|t| < 1$.

Such a function g can be constructed as a conformal map from the disk Δ_1 onto an appropriate region Ω in \mathbf{C} . Below is a detailed construction of g .

(1) First we introduce sequences $u_k = 1 - \delta/(k+1)$ for all integers $k \geq 0$,

$$\begin{aligned} X_k &= \{t = u + iv \mid u \in [u_{k-1}, u_k]\} \cap \Delta, & m_k &= \sup_{X_k} (\varphi(|t|) - 1) \quad \text{for } k \geq 1, \\ s_k &= \left(1 - \left(\frac{2m_k}{\nu}\right)^{1/2}\right)^{1/\sqrt{2}} \quad \text{for } k \geq 2, & s_1 &= \min\left(\nu^{\sqrt{2}}, \left(1 - \left(\frac{2m_1}{\nu}\right)^{1/2}\right)^{1/\sqrt{2}}\right), \end{aligned}$$

and $s_0 = -s_1$.

(2) One can see that $m_k \downarrow 0$ and $s_k \uparrow 1$ when $k \rightarrow \infty$. Also

$$(s_0, 1) = \bigcup_0^\infty (s_k, s_{k+1}].$$

(3) We consider below sequences of real numbers $\Lambda = \{v_k\}_{k=1}^{\infty}$ with $0 < v_k \rightarrow 0$ for $k \rightarrow \infty$. For such a sequence we introduce a domain $\Omega(\Lambda)$ and a function g_{Λ} . $\Omega(\Lambda)$ is the interior of the set $\bigcup_1^{\infty} \{[s_{k-1}, s_k] \times [-v_k, v_k]\}$. g_{Λ} is a conformal map from Δ_1 onto $\Omega(\Lambda)$ such that $g_{\Lambda}(0) = 0$, $g_{\Lambda}(1) = 1$. This last condition is appropriate since any conformal map from Δ_1 onto $\Omega(\Lambda)$ is continuously extendible to the boundary. Our goal is to produce a sequence $\Lambda = \{v_k\}$ such that $g = g_{\Lambda}$ satisfies the above conditions (a)–(d).

(4) In order to construct the needed sequence $\Lambda = \{v_k\}$ we start first with a sequence $\Lambda_0 = \{y_k\}$ such that:

- (A) $\bigcup_1^n \{[s_{k-1}, s_k] \times [-y_k, y_k]\} \subset \Delta(0, s_n^{1/\sqrt{2}})$, $\forall n \geq 1$;
- (B) $g_{\Lambda_0}(\Delta \setminus \Delta(1, \delta)) \subset [s_0, s_1] \times [-y_1, y_1]$;
- (C) $0 < y_{k+1} < \frac{1}{2}y_k$, $\forall k \geq 1$; and
- (D) $|\operatorname{Im} t| < \nu(1 - |t|^2)^2$, $\forall t \in \Omega(\Lambda_0)$.

One can find such a sequence Λ_0 by initially constructing a sequence satisfying (A), (C), and (D). Then one can fix y_1 and choose y_2 to be so small that if y_k ($k \geq 3$) are chosen to satisfy (C) and are smaller than the initial choice, the new sequence will satisfy all (A)–(D).

(5) We will construct the sequence $\Lambda = \{v_k\}$ by induction. We require that $\forall k \geq 1$, $0 < v_k \leq y_k$ and $v_{k+1} \leq \frac{1}{2}v_k$. We also require that the following property hold for $k \geq 2$:

Let $\Lambda_k = \{\alpha_n\}$ be any sequence where $\alpha_n = v_n$ for $n \leq k$, and, for all $n \geq k$, let $0 < \alpha_{n+1} \leq \min(\frac{1}{2}\alpha_n, y_{n+1})$. Then, for all $n \leq k-1$, $g_{\Lambda_k}(X_n) \subset \bigcup_1^n \{[s_{p-1}, s_p] \times [-v_p, v_p]\}$.

For $k=1$ we take $v_1 = y_1$. If v_1, \dots, v_k have been chosen and the above property holds, then one can see that if $0 < v_{k+1} \leq \min(v_k/2, y_{k+1})$ is chosen to be small enough the required property will also hold for any Λ_{k+1} .

(6) $\Lambda = \{v_k\}$ constructed in the previous paragraph satisfies $v_1 = y_1$ and $v_k \leq y_k \forall k \geq 2$. One can check now that (A)–(D) imply the properties (a), (b), and (d) for $g = g_{\Lambda}$. Property (c) follows from the property of all Λ_k described in the preceding paragraph. To verify this one should take into account the definitions of s_k . This completes the construction of g .

4. The map $f_{\epsilon}: D \rightarrow \mathbb{C}^2$ and D_{ϵ} are defined as follows:

$$f_{\epsilon}: \begin{cases} w_1 = z_1, \\ w_2 = \frac{z_2 - g(z_1)}{1 - z_2 g(z_1)}; \end{cases} \quad D_{\epsilon} = f_{\epsilon}(D).$$

(1) We now estimate

$$|1 - z_2 g(z_1)| \geq 1 - |z_2| |g(z_1)| \geq 1 - \varphi(|z_1|) |g(z_1)| > 0$$

for $z_1 \in \Delta \setminus \Delta(1, \delta)$, since $1 \leq \varphi \leq 2$ and $|g| < \nu$ for these values of z_1 . For $z_1 \in \Delta \cap \Delta(1, \delta)$ we use the above described properties (c) and (a) of the function g to obtain

$$|1 - z_2 g(z_1)| \geq 1 - \varphi |g| = (1 - |g|) \left(1 - \frac{\varphi - 1}{1 - |g|} |g| \right) > (1 - |g|)(1 - 2\nu) > 0.$$

This shows that f_ϵ is defined on D . One can also see that f_ϵ is a biholomorphic transformation of the domain D onto D_ϵ that extends as a biholomorphic imbedding at every boundary point of D except the disk $\tilde{\Delta} = \{z_1 = 1, |z_2| \leq 1\} \subset \partial D$.

(2) Since f_ϵ preserves fibers of the disk domain D and since, for every fixed z_1 , f_ϵ is a linear fractional transformation, one can calculate that D_ϵ has the following structure:

$$D_\epsilon = \{(w_1, w_2) \mid |w_1| < 1, |w_2 - c(w_1)| < R(w_1)\},$$

where

$$c(w_1) = \frac{\varphi^2 \bar{g} - g}{1 - \varphi^2 |g|^2}, \quad R(w_1) = \varphi \frac{|1 - g^2|}{1 - \varphi^2 |g|^2}; \quad \varphi = \varphi(|w_1|), \quad g = g(w_1).$$

By using inequalities (c) and (d) of the function g one can estimate that $c(w_1) \rightarrow 0$ and $R(w_1) \rightarrow 1$ for $w_1 \rightarrow 1$. This limiting disk is $\tilde{\Delta} = \{w_1 = 1, |w_2| \leq 1\}$. Also, $R(w_1) \geq \varphi(|w_1|) \geq 1$ for $|w_1| < 1$. Therefore D_ϵ is a disk domain and $R(D_\epsilon) = 1$. If $z^\circ \in \tilde{\Delta} \setminus (1, 1)$ and $z' \in D$, $z' \rightarrow z^\circ$, then $f_\epsilon(z') \rightarrow (1, -1)$. One can also see that the limit set for limit points of $f_\epsilon(z')$ when $z' \rightarrow (1, 1)$ is the whole disk $\tilde{\Delta} \subset \partial D_\epsilon$. So, f_ϵ cannot be extended continuously to the boundary.

(3) Let $h: D \rightarrow \mathbb{C}^2$ be the following map:

$$h: \begin{cases} z_1 \mapsto z_1, \\ z_2 \mapsto \frac{(z_2 + g(z_1) \varphi(|z_1|)) \varphi(|z_1|)}{\varphi(|z_1|) + z_2 \bar{g}(z_1)}. \end{cases}$$

One can check that h is a C^∞ automorphism of D . We introduce now $\phi_\epsilon = f_\epsilon \circ h: D \rightarrow D_\epsilon$. One can determine that

$$\phi_\epsilon: \begin{cases} w_1 = z_1, \\ w_2 = \psi_\epsilon(z) = \frac{z_2(\varphi - |g|^2) + \varphi g(\varphi - 1)}{z_2(\bar{g} - \varphi g) + \varphi(1 - \varphi g^2)}, \end{cases}$$

where $\varphi = \varphi(|z_1|)$ and $g = g(z_1)$.

We will now describe the way to choose $\nu > 0$. Using property (b) of the function g one can see that $|\psi_\epsilon(z) - z_2| < \epsilon$ for $z_1 \in \Delta \setminus \Delta(1, \delta)$ if ν is chosen to be small enough. This is the first restriction on ν . By calculating explicitly we get

$$\psi_\epsilon(z) - z_2 = \frac{A\alpha_1 + B\alpha_2}{A\alpha_3 + B\alpha_4 + 1},$$

where

$$|\alpha_i(z)| < 6 \quad (1 \leq i \leq 4)$$

and

$$A = \frac{\varphi - 1}{1 - |g|^2}, \quad B = \frac{\operatorname{Im} g}{1 - |g|^2}.$$

Now by using properties (c) and (d) of the function g we get

$$\psi_\epsilon(z) - z_2 = \frac{O(1)\nu}{1 + O(1)\nu}$$

for $z_1 \in \Delta \cap \Delta(1, \delta)$, and estimates on $O(1)$ do not depend on ν . Therefore, if ν is small enough one can make $|\psi_\epsilon(z) - z_2| < \epsilon$ for $z_1 \in \Delta \cap \Delta(1, \delta)$. So, by choosing ν to be appropriately small, one can make $|\psi_\epsilon(z) - z_2| < \epsilon$ for $|z_1| < 1$ and therefore $|\phi_\epsilon(z) - z| < \epsilon$ for $z \in D$. This concludes the proof of Theorem 2. \square

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