

ON THE SIMILARITY OF HOLOMORPHIC MATRICES

Let X be a (reduced) complex space, and let $A, B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ be holomorphic.

Definition. A and B are called (globally) holomorphically similar on X if \exists holomorphic $H : X \rightarrow \text{GL}(n, \mathbb{C})$ s.t. $H^{-1}AH = B$ on X .

A and B are called locally holomorphically similar at $z_0 \in X$ if \exists neighborhood U of z_0 s.t. $A|_U$ and $B|_U$ are holomorphically similar on U .

Correspondingly we define, for $k = 0, 1, 2, \dots, \infty$,

(globally) \mathcal{C}^k similar on X

locally \mathcal{C}^k similar at a point

It seems, the first who studied the similarity of holomorphic matrices was *Wolfgang Wasow* [J. Math. Anal. Appl. **4**, 202-206 (1962)].

He first observes that “pointwise similarity” is not sufficient, for example, let

$$A(z) := \begin{pmatrix} 0 & z^2 \\ 0 & 0 \end{pmatrix}, \quad B(z) := \begin{pmatrix} 0 & z \\ 0 & 0 \end{pmatrix}, \quad z \in \mathbb{C}.$$

Then $A(z)$ and $B(z)$ are similar for each $z \in \mathbb{C}$, but A and B are not locally \mathcal{C}^0 similar at 0,

Then Wasow proves the following sufficient criterion:

Consider the holomorphic map ([Wasow map](#))

$$W_{A,B} : X \longrightarrow \text{End Mat}(n \times n, \mathbb{C})$$
$$\text{Mat}(n \times n, \mathbb{C}) \ni \Phi \longmapsto A(z)\Phi - \Phi B(z), \quad z \in X.$$

Assume that $\dim \text{Ker } W_{A,B}(z)$ does not depend on z ([Wasow condition](#)), and that, for each $z \in X$, $A(z)$ and $B(z)$ are similar. Then A and B are locally holomorphically similar at each point of X .

Criteria for local holomorphic similarity

In general, the Wasow condition is not satisfied, and it is not necessary for local holomorphic similarity. The following (obviously necessary) criteria are sufficient:

(a) X a domain in \mathbb{C} , A and B locally \mathcal{C}^0 similar at $z_0 \in X$
 $\implies A$ and B locally holomorphically similar at z_0 .

(b) X an arbitrary complex space, A and B locally \mathcal{C}^∞ similar at $z_0 \in X \implies A$ and B locally holomorphically similar at z_0 .

Proof of (a): Let $N = n^2$ and let $W : X \rightarrow \text{Mat}(N \times N, \mathbb{C})$ be a representation matrix of the Wasow map $W_{A,B}$. Then, for each $z_0 \in X$, in a neighborhood U of z_0 , we have a Smith factorization:

$$W(z) = E(z) \begin{pmatrix} \Delta(z) & 0 \\ 0 & 0 \end{pmatrix} F(z), \quad z \in U,$$

where $E, F : U \rightarrow \text{GL}(N, \mathbb{C})$ are invertible, and $\Delta(z)$ is the $N \times N$ diagonal matrix with the diagonal

$$(z - z_0)^{\kappa_1}, \dots, (z - z_0)^{\kappa_m}, 0, \dots, 0,$$

where $\kappa_1, \dots, \kappa_m \geq 0$ are some integers. This shows that the family $\{\text{Ker } W(z)\}_{z \in U \setminus \{z_0\}}$, is a holomorphic sub-vector bundle of the product bundle $(U \setminus \{z_0\}) \times \mathbb{C}^N$, which extends as a holomorphic vector bundle to z_0 .

(b) is more difficult and due to [K. Spallek, Math. Ann. 177, 1967, Satz 5.4, applied to the Wasow map].

In (b), \mathcal{C}^∞ cannot be replaced with \mathcal{C}^k , $k < \infty$. For example, let $A, B : \mathbb{C}^2 \rightarrow \text{Mat}(n \times n, \mathbb{C})$ be defined by

$$A(z, w) = \begin{pmatrix} z^{2+k} w^{2+k} & z^{3+k} \\ w^{3+k} & 0 \end{pmatrix}, \quad B(z, w) = \begin{pmatrix} 0 & z^{3+k} \\ w^{3+k} & z^{2+k} w^{2+k} \end{pmatrix}.$$

Then, one can prove

(i) A and B are locally \mathcal{C}^k similar, but not locally holomorphically similar at 0;

(ii) moreover, \exists 1-dim. analytic subsets X of \mathbb{C}^2 with $0 \in X$ s.t. $A|_X$ and $B|_X$ are not locally holomorphically similar at 0. For example,

1) $X = \{z^p = w^q\}$, where p, q are relatively prime and

$k + 2 < q < p$,

2) X is the union of $2k + 5$ pairwise different 1-dimensional linear subspaces of \mathbb{C}^2 .

Global similarity

Theorem 1. (arXiv:1703.09524, arXiv:1703.09530) Let X be a one-dimensional Stein space, and let $A, B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ be two holomorphic maps, which are locally holomorphically similar at each point of X . Then A and B are globally holomorphically similar on X .

If X is smooth (i.e., a non-compact connected Riemann surface), this was proved by R. Guralnick [Lin. Alg. Appl. 99, 85-96 (1988)]. Actually, Guralnick proves a more general algebraic theorem for matrices with elements in certain Bezout rings, and then applies this to the ring $\mathcal{O}(X)$.

This does not work if X is not smooth, or smooth an higher dimensional.

In arXiv:1703.09530 we give a proof, using Guralnick's result, passing to the normalization of X (which is smooth).

In arXiv:1703.09524 we give a proof which is independent of Guralnick's work. This proof is longer but has the advantage that it applies also to the higher dimensional case.

Theorem 2. Let X be a 2-dimensional contractible Stein manifold. Then any two holomorphic maps $A, B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$, which are locally holomorphic similar at each point of X , are globally holomorphically similar on X .

Counterexample

$$A(z) := \begin{pmatrix} (z_1^2 + z_2^2 - 2)^2 + (z_1^2 + z_2^2)z_3^2 & 1 \\ 0 & 0 \end{pmatrix}, \quad z \in \mathbb{C}^3.$$

Then there exists a convex domain $X \subseteq \mathbb{C}^3$ and a holomorphic map $B : X \rightarrow \text{Mat}(2 \times 2, \mathbb{C})$ which is locally holomorphically similar to A at each point of X , but not globally holomorphically similar to A on X .

To prove Theorems 1 and 2, we use the Oka principle for Oka pairs of Forster and Ramspott [Invent. mat. 1, 1966, Satz 1]. Together with Spallek's result [Math. Ann. 177, 1967, Satz 5.4], this also gives the following

Theorem 3. (arXiv:1703.09530) Let X be a Stein space (of arbitrary dimension), and let $A, B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ two holomorphic maps, which are globally \mathcal{C}^∞ similar on X .

Then A and B are globally holomorphically similar on X .

Counterexample (arXiv:1703.09530)

In Theorem 3, “ \mathcal{C}^∞ ” cannot be replaced by
“ \mathcal{C}^k with $k < \infty$ ” + “loc. hol. similar at each point”:

There is a Stein domain X in \mathbb{C}^5 such that, $\forall k \in \mathbb{N}$, \exists
holomorphic maps $A, B : X \rightarrow \text{Mat}(2 \times 2, \mathbb{C})$ s.t. A and B are
locally holomorphically similar at each point of X ,
globally \mathcal{C}^k similar on X ,
but not globally holomorphically similar on X .

Question. \mathbb{C}^4 instead of \mathbb{C}^5 ?

On the proofs

For $\Phi \in \text{Mat}(n \times n, \mathbb{C})$, we define

$$\text{Com } \Phi = \left\{ \Theta \in \text{Mat}(n \times n, \mathbb{C}) : \Phi \Theta = \Theta \Phi \right\},$$

$$\text{GCom } \Phi = \text{GL}(n, \mathbb{C}) \cap \text{Com } \Phi$$

Now let $A : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ be a holomorphic map. Then we introduce the “bundles”

$$\text{Com } A := \left\{ \text{Com } A(z) \right\}_{z \in X} \quad \left(\subseteq X \times \text{Mat}(n \times n, \mathbb{C}) \right)$$

and

$$\text{GCom } A := \left\{ \text{GCom } A(z) \right\}_{z \in X} \quad \left(\subseteq X \times \text{GL}(n, \mathbb{C}) \right).$$

These “bundles” are not locally trivial, but nevertheless we have the sheaves $\mathcal{O}^{\text{Com } A}$ and $\mathcal{O}^{\text{GCom } A}$ of holomorphic sections, and the sheaves $\mathcal{C}^{\text{Com } A}$ and $\mathcal{C}^{\text{GCom } A}$ of continuous sections.

Moreover, we introduce the **Forster-Ramspott sheaf** $\widehat{\mathcal{O}}^{\text{GCom } A}$, which is defined as follows: For $\emptyset \neq U \subseteq X$ open, $\widehat{\mathcal{O}}^{\text{GCom } A}(U)$ is the group of all $f \in \mathcal{C}^{\text{GCom } A}(U)$ s.t.,
 $\forall \xi \in U, \exists$ a neigh. $V \subseteq U$ of ξ and $h \in \mathcal{O}^{\text{GCom } A}(V)$ s.t.

$$h(\xi) = f(\xi).$$

Now let $B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ be a second holomorphic map which is locally holomorphically similar to A at each point of X , i.e., \exists a covering $\{U_i\}$ of X and holom. $H_i : U_i \rightarrow \text{GL}(n, \mathbb{C})$ s.t.

$$B = H_i^{-1} A H_i \quad \text{on} \quad U_i. \quad (1)$$

Then $H_i^{-1} A H_i = B = H_j^{-1} A H_j$ on $U_i \cap U_j$, and, hence,

$$A H_i H_j^{-1} = H_i H_j^{-1} A \quad \text{on} \quad U_i \cap U_j,$$

i.e.,

$$H_i H_j^{-1} \in \mathcal{O}^{\text{GCom } A}(U_i \cap U_j)$$

is a cocycle (Cousin problem) in $\mathcal{O}^{\text{GCom } A}$.

If this cocycle splits, i.e., if $H_i H_j^{-1} = h_i h_j^{-1}$ on $U_i \cap U_j$ for some $h_i \in \mathcal{O}^{\text{GCom } A}(U_i)$, then

$$h_i^{-1} H_i = h_j^{-1} H_j \quad \text{on} \quad U_i \cap U_j,$$

and, hence, there is a well-defined global holomorphic map $H : X \rightarrow \text{GL}(n, \mathbb{C})$ s.t. $H := H_i^{-1} h_i$ on U_i , and which satisfies

$$H^{-1} B H = h_i^{-1} H_i B H_i^{-1} h_i \stackrel{(1)}{=} h_i^{-1} A h_i = A,$$

i.e., B is globally holomorphically similar to A . One can prove also the opposite, so that we have the following

Statement. Each holomorphic $B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ which is locally holomorphically similar to A gives rise to a cocycle in $\mathcal{O}^{\text{GCom } A}$, and B is globally holomorphically similar to A if and only if this cocycle splits.

It is not difficult to see that the pair $(\mathcal{O}^{\text{GCom } A}, \widehat{\mathcal{O}}^{\text{GCom } A})$ is an Oka pair in the sense of [O. Forster and K. J. Ramspott, Invent. mat. 1, 1966]. Therefore the following is a special case of Satz 1 in this paper of Forster and Ramspott:

If X be a Stein space, then an $\mathcal{O}^{\text{GCom } A}$ -cocycle splits if and only if it splits as an $\widehat{\mathcal{O}}^{\text{GCom } A}$ -cocycle.

Summary. If X is a Stein space, then each holomorphic $B : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$ which is locally holomorphically similar to A gives rise to an $\mathcal{O}^{\text{GCom } A}$ -cocycle, and B is globally holomorphically similar to A if and only if this cocycle splits as an $\widehat{\mathcal{O}}^{\text{GCom } A}$ -cocycle.

Corollary. To prove Theorems 1 and 2, now it is sufficient to prove the following topological result:

If X is a 1-dimensional Stein space, or a contractible 2-dimensional Stein manifold, then, for each holomorphic $A : X \rightarrow \text{Mat}(n \times n, \mathbb{C})$,

$$H^1(X, \widehat{\mathcal{O}}^{\text{GCom } A}) = 0. \quad (2)$$

To prove (2), the difficulty is that $\text{GCom } A$ is not locally trivial. For example, let

$$A(z) := \begin{pmatrix} z & 1 \\ 0 & 0 \end{pmatrix}, \quad z \in \mathbb{C}.$$

Then $A(0) = \begin{pmatrix} 0 & 1 \\ 0 & 0 \end{pmatrix}$ and, therefore,

$$\text{GCom } A(0) = \left\{ \begin{pmatrix} a & b \\ 0 & a \end{pmatrix} \mid a \in \mathbb{C}^*, b \in \mathbb{C} \right\}.$$

On the other hand, if $z \neq 0$, then the Jordan form of $A(z)$ is $\begin{pmatrix} z & 0 \\ 0 & 0 \end{pmatrix}$, which shows that, for some $T(z) \in \text{Gl}(n, \mathbb{C})$,

$$\text{GCom } A(z) = T(z)^{-1} \left\{ \begin{pmatrix} a & 0 \\ 0 & d \end{pmatrix} \mid a, d \in \mathbb{C}^* \right\} T(z)$$

Hence $\pi_1(\text{GCom } A(0)) = \mathbb{Z}$, whereas $\pi_1(\text{GCom } A(z)) = \mathbb{Z}^2$ if $z \neq 0$.

This shows: The fiber of $\mathrm{GCom} A$ over 0 is even not homeomorphic to the fibers over z with $z \neq 0$ (although the bundle $\mathrm{Com} A$ is trivial as a holomorphic vector bundle).

The following fact helps to overcome this difficulty.

If X is a complex space and $A : X \rightarrow \mathrm{Mat}(n \times n, \mathbb{C})$ is a holomorphic map, then the set of points of X where the “Jordan structure of A changes” is an analytic subset of X , Y , which of codimension ≥ 1 everywhere in X .

This fact can be found in a book of H. Baumgärtel [Birkhäuser, 1985]. I have another proof in arXiv:1703.09535.

This is helpful, because one can prove that, over $X \setminus Y$, $\mathrm{GCom} A$ is locally trivial in the following sense:

For each contractible open set $W \subseteq X \setminus Y$ and each $z_0 \in W$, there exists a holomorphic map $H : W \rightarrow \mathrm{GL}(n, \mathbb{C})$ such that

$$H(z)^{-1} \mathrm{GCom} A(z) H(z) = \mathrm{GCom} A(z_0) \quad \text{for all } z \in W.$$