# Convexity Properties of Intersections of Decreasing Sequences of q-Complete Domains in Complex Spaces

by

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### Abstract

We construct a decreasing sequence of 3-complete open subsets in  $\mathbb{C}^5$  such that the interior of their intersection is not 3-complete. We also prove that, for every  $q \geq 2$ , there exists a normal Stein space X with only one isolated singularity and a decreasing sequence of open sets that are 2-complete, but the interior of their intersection is not q-complete with corners. In the concave case we show that, for every integer n > 1, there exists a connected complex manifold M of dimension n such that M is an increasing union of 1-concave open subsets and M is not weakly (n-1)-concave.

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# §1. Introduction

Suppose that  $\{D_{\nu}\}$  is a sequence of open subsets of  $\mathbb{C}^n$  and let  $D := \operatorname{Int} (\bigcap D_{\nu})$ . If each  $D_{\nu}$  is a domain of holomorphy, then D is also a domain of holomorphy. More generally, if each  $D_{\nu}$  is Hartogs q-convex (see Definition 6) then D has the same property. However Hartogs q-convexity is not a very useful notion since one does not get vanishing results for the cohomology groups of a Hartogs q-convex domain with values in a coherent sheaf. Andreotti and Grauert [1] introduced the notion of q-complete complex spaces and proved that they are cohomologically q-complete. In their setting, 1-complete spaces are precisely the Stein spaces. In general the intersection of finitely many q-complete domains is not q-complete.

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Therefore, for q > 1, we consider decreasing sequences of q-complete open subsets of a Stein space and we want to study the convexity properties of the interior of their intersection.

We prove, by means of a counterexample, that for a decreasing sequence  $\{D_{\nu}\}$  of q-complete domains in  $\mathbb{C}^n$ , Int  $(\bigcap D_{\nu})$  is not necessarily q-complete (Theorem 5).

On the other hand, because for domains in  $\mathbb{C}^n$ , or more generally in Stein manifolds, Hartogs q-convexity is equivalent to q-completeness with corners (see [14]), it follows that, in the above setting, Int  $(\bigcap D_{\nu})$  is q-complete with corners.

We show that a similar statement does not hold for singular complex spaces. Namely, for each  $q \geq 2$ , we give an example of a normal Stein X space with only one singular point and a decreasing sequence  $\{D_{\nu}\}$  of 2-complete domains in X, such that Int  $(\bigcap D_{\nu})$  is not q-complete with corners (Theorem 6).

As a dual statement, in the concave case, we show that for every integer n > 1 there exists a connected complex manifold M of dimension n such that M is an increasing union of 1-concave open subsets and is not weakly (n-1)-concave (Theorem 8).

## §2. Decreasing sequences of q-complete domains

**Definition 1.** Suppose that D is an open subset of  $\mathbb{C}^n$ . A smooth function  $\varphi: D \to \mathbb{R}$  is called weakly q-convex if its Levi form  $\sum_{j,k=1}^n \frac{\partial^2 \varphi}{\partial z_j \partial \overline{z}_k}(p) \xi_j \overline{\xi}_k$  has at least n-q+1 nonnegative eigenvalues at every point  $p \in D$ . The function  $\varphi$  is called strictly q-convex if its Levi form has at least n-q+1 positive eigenvalues at every point  $p \in D$ .

Using local embeddings these notions can be extended to complex spaces.

**Definition 2.** Suppose that X is a complex space and q a positive integer:

- (a) The space X is called q-convex if there exists a continuous exhaustion function  $\varphi: X \to \mathbb{R}$  (i.e.,  $\{x \in X : \varphi(x) < c\} \subseteq X$  for every  $c \in \mathbb{R}$ ) and a compact set  $K \subset X$  such that  $\varphi$  is strictly q-convex on  $X \setminus K$ .
- (b) If we can choose  $K = \emptyset$  in the above definition, X is called q-complete.

**Definition 3.** If  $H^p(X, \mathcal{F}) = 0$  for every coherent sheaf  $\mathcal{F}$  on a complex space X and every  $p \geq q$ , then X is called cohomologically q-complete.

By the results of Andreotti and Grauert [1] we have the following theorem.

**Theorem 1.** Every q-complete complex space is cohomologically q-complete.

**Definition 4.** (a) A continuous function  $\varphi: X \to \mathbb{R}$  defined on a complex space is called q-convex with corners if, for every  $x \in X$ , there exists a neighborhood

U of x and finitely many strictly q-convex  $C^{\infty}$  functions  $\varphi_1, \ldots, \varphi_l$ , defined on U, such that  $\varphi_{|U} = \max\{\varphi_1, \ldots, \varphi_l\}$ .

(b) A complex space X is called q-complete with corners if there exists a q-convex with-corners exhaustion function  $\varphi: X \to \mathbb{R}$ .

The next result is a particular case of a theorem due to Diederich and Fornaess [7]. It was generalized to the singular case in [8].

**Theorem 2.** If M is an n-dimensional q-complete with-corners complex manifold, then M is  $\tilde{q} = (n - \left\lceil \frac{n}{q} \right\rceil + 1)$ -complete.

For  $q \geq 1$  and r > 0, we denote by  $P^q(r) \subset \mathbb{C}^q$  the polydisk centered at the origin with multiradius  $(r, \ldots, r)$ . For the following definition, see, e.g., [17].

- **Definition 5.** (a) For  $1 \leq q < n$  and  $0 < r, r_1 < 1$ , we let  $H^q \subset \mathbb{C}^n$  be defined by  $H^q := P^q(1) \times P^{n-q}(r) \bigcup \left[ P^q(1) \setminus \overline{P^q(r_1)} \right] \times P^{n-q}(1)$ . The pair  $(H^q, P^n(1))$  is called a standard Hartogs q-figure.
- (b) If M is an n-dimensional complex manifold and  $V \subset U \subset M$  are open subsets, the pair (V,U) is called a Hartogs q-figure if there exists a standard Hartogs q-figure  $(H^q, P^n(1))$  and a biholomorphism  $F: P^n(1) \to U$  such that  $F(H^q) = V$ .

**Definition 6.** Let  $\Omega \subset \mathbb{C}^n$  be an open set. If, for every Hartogs q-figure (V, U), we have that  $V \subset \Omega$  implies  $U \subset \Omega$ , then  $\Omega$  is called Hartogs q-convex.

As we mentioned in the introduction, it was proved in [14] that a domain in  $\mathbb{C}^n$  is Hartogs q-convex if and only if it is q-complete with corners.

The following result is Satz 2.3 in [15].

**Proposition 3.** If X is a complex space and U and V are open subsets of X such that U is p-complete and V is q-complete, then  $U \cup V$  is (p+q)-complete.

Proposition 4 was proved in [18] in the smooth case and in [10] and [13] in the singular case.

**Proposition 4.** Suppose that X is a complex space of dimension n. If X is co-homologically q-complete then  $H_{n+i}(X,\mathbb{C})=0$  for every  $i\geq q$ .

Our first result is the following theorem.

**Theorem 5.** There exists a sequence  $\{D_{\nu}\}$  of 3-complete open subsets of  $\mathbb{C}^5$  such that  $D_{\nu+1} \subset D_{\nu}$  for every  $\nu$  and  $\operatorname{Int}(\bigcap D_{\nu})$  is not cohomologically 3-complete.

Proof.

We consider the following two planes in  $\mathbb{C}^5$ :

$$L_1 = \{ z = (z_1, z_2, z_3, z_4, z_5) \in \mathbb{C}^5 : z_1 = z_2 = z_3 = 0 \},$$
  
$$L_2 = \{ z = (z_1, z_2, z_3, z_4, z_5) \in \mathbb{C}^5 : z_1 = z_4 = z_5 = 0 \}.$$

Let  $U_1 = \mathbb{C}^5 \setminus L_1$ ,  $U_2 = \mathbb{C}^5 \setminus L_2$ . It follows that  $U_1$  and  $U_2$  are 3-complete. At the same time, since  $L_1 \cap L_2 = \{0\}$ , we have  $U_1 \cup U_2 = \mathbb{C}^5 \setminus \{0\}$ . Then we have  $H_8(U_1, \mathbb{C}) = H_8(U_2, \mathbb{C}) = H_9(U_1, \mathbb{C}) = H_9(U_2, \mathbb{C}) = 0$  and  $H_9(U_1 \cup U_2, \mathbb{C}) = \mathbb{C}$  since  $H_9(S^9, \mathbb{C}) = \mathbb{C}$ . From the Mayer-Vietoris exact sequence

$$H_9(U_1, \mathbb{C}) \oplus H_9(U_2, \mathbb{C}) \to H_9(U_1 \cup U_2, \mathbb{C})$$
  
 $\to H_8(U_1 \cap U_2, \mathbb{C})$   
 $\to H_8(U_1, \mathbb{C}) \oplus H_8(U_2, \mathbb{C}),$ 

it follows that  $H_8(U_1 \cap U_2, \mathbb{C}) = \mathbb{C}$ .

Let W be a relatively compact open subset of  $U_1 \cap U_2$  such that the inclusion  $W \hookrightarrow U_1 \cap U_2 = \mathbb{C}^5 \setminus (L_1 \cup L_2)$  induces an isomorphism  $H_8(W, \mathbb{C}) \to H_8(U_1 \cap U_2, \mathbb{C})$ . In fact, we have an exhaustion  $\{W_k\}$  of  $U_1 \cap U_2$  such that the inclusion  $W_k \hookrightarrow U_1 \cap U_2$  induces an isomorphism at all homology and homotopy groups.

For  $\nu \geq 1$  we define

$$L_{1,\nu} = \left\{ z \in \mathbb{C}^5 : z_1 = \frac{1}{\nu}, z_2 = z_3 = 0 \right\},$$
  
$$L_{2,\nu} = \left\{ z \in \mathbb{C}^5 : z_1 = \frac{\sqrt{2}}{\nu}, z_4 = z_5 = 0 \right\}.$$

It follows that  $L_{i,\mu} \cap L_{j,\nu} = \emptyset$  if  $(i,\mu) \neq (j,\nu)$ . Because W is relatively compact in  $\mathbb{C}^5 \setminus (L_1 \cup L_2)$ , it follows that there exists  $\nu_0 \geq 1$  such that, for  $\nu \geq \nu_0$ ,  $L_{1,\nu} \cap \overline{W} = \emptyset$  and  $L_{2,\nu} \cap \overline{W} = \emptyset$ .

For  $\nu \geq \nu_0$ , let  $D_{\nu} = \mathbb{C}^5 \setminus \bigcup_{j=\nu_0}^{\nu} (L_{1,j} \cup L_{2,j})$ . Since  $L_{i,\mu} \cap L_{j,\nu} = \emptyset$ , it follows that  $D_{\nu}$  are 3-complete. Let  $D = \operatorname{Int} \left( \bigcap_{\nu \geq \nu_0} D_{\nu} \right)$ . It follows that  $W \subset D \subset \mathbb{C}^5 \setminus (L_1 \cup L_2)$ . Hence we have

$$H_8(W,\mathbb{C}) \to H_8(D,\mathbb{C}) \to H_8(\mathbb{C}^5 \setminus (L_1 \cup L_2),\mathbb{C}),$$

where the morphisms are induced by inclusions. Since  $H_8(W,\mathbb{C}) \to H_8(\mathbb{C}^5 \setminus (L_1 \cup L_2),\mathbb{C})$  is surjective, it follows that  $H_8(D,\mathbb{C}) \to H_8(\mathbb{C}^5 \setminus (L_1 \cup L_2),\mathbb{C})$  is surjective as well. In particular, we have  $H_8(D,\mathbb{C}) \neq 0$ . Proposition 4 implies that D is not cohomologically 3-complete.

As we mentioned in the introduction, if  $\{D_{\nu}\}$  is a decreasing sequence of q-complete open subsets of  $\mathbb{C}^n$ , it follows that Int  $(\bigcap D_{\nu})$  is q-complete with corners. This is not the case for singular complex spaces, as the following result shows.

**Theorem 6.** For every integer  $q \geq 2$ , there exists a normal Stein complex space X with only one isolated singularity, and  $\{D_{\nu}\}$  a decreasing sequence of open subsets of X such that each  $D_{\nu}$  is 2-complete and Int  $(\bigcap D_{\nu})$  is not q-complete with corners.

Proof. Let q be an integer,  $q \geq 2$ . Let  $\pi: F \to \mathbb{P}^1$  be a negative vector bundle of rank  $r \geq 3q-1$  and let S be the zero section of F (hence S is biholomorphic to  $\mathbb{P}^1$ ). Let X be the blow-down of  $S \subset F$  and  $\tau: F \to X$  be the contraction map. We let  $x_0 = \tau(S)$ . We fix a point  $a \in S$  and we set  $U = S \setminus \{a\}$  (hence U is biholomorphic to  $\mathbb{C}$ ) and  $W = \pi^{-1}(U)$ . We have that  $\pi: W \to U$  is a trivial holomorphic vector bundle and therefore W is biholomorphic to  $U \times \mathbb{C}^r$  (in particular W is Stein). We consider  $W_{\nu} \subset F$  a fundamental system of Stein open neighborhoods of a and we define

$$D_{\nu} = \tau(W \cup W_{\nu}).$$

Note that  $D_{\nu}$  are open neighborhoods of  $x_0$  in X and, since  $\bigcap W_{\nu} = \{a\}$ , we have that Int  $(\bigcap D_{\nu}) = \tau(W \setminus S)$ . Hence Int  $(\bigcap D_{\nu})$  is biholomorphic to  $W \setminus S$  and therefore to  $U \times (\mathbb{C}^r \setminus \{0\})$ .

Note the following points:

- $n = \dim X = r + 1 \ge 3q$ .
- As W and  $W_{\nu}$  are Stein, by Theorem 3 we have that  $W \cup W_{\nu}$  is 2-complete. Therefore  $D_{\nu}$  is 2-convex and since X is Stein, we deduce that  $D_{\nu}$  is 2-complete.
- We have that  $U \times (\mathbb{C}^r \setminus \{0\})$  is not cohomologically (n-2) complete since  $\mathbb{C}^r \setminus \{0\}$  is not cohomologically (n-2)-complete.

Because  $n \geq 3q$ , we have  $\tilde{q} = n - \left[\frac{n}{q}\right] + 1 \leq n - 2$ . Using Theorems 1 and 2 we deduce that  $U \times (\mathbb{C}^r \setminus \{0\})$  is not q-complete with corners.

Hence although each  $D_{\nu}$  is 2-complete, the interior of their intersection is not q-complete with corners.

Next we would like to say a few things about the intersection of Stein open subsets of a normal Stein space. Let X be a normal Stein complex space, and  $\{D_{\nu}\}$  be a sequence of Stein open subsets of X. It is a completely open problem whether the interior of their intersection is Stein or not, even if X has dimension 2; see [2]. Of course, the problem is due to singularities. However, we have the following proposition.

**Proposition 7.** Let X be a normal Stein complex space and  $\{D_{\nu}\}$  be a sequence of Stein open subsets of X. If  $D = \operatorname{Int}(\bigcap D_{\nu})$ , then we have

- (a)  $\operatorname{Reg}(X) \cap \partial D$  is dense in  $\partial D$ ;
- (b) D is a domain of holomorphy in X.

Proof.

- (a) Suppose that this is not the case and let  $x_0 \in \partial D$  and W be a Stein neighborhood of  $x_0$  such that  $\partial D \cap W \subset \operatorname{Sing}(X)$ . As X is normal and therefore locally irreducible, we have that  $W \setminus \partial D$  is connected. Since  $W \setminus \partial D = (W \cap D) \cup (W \setminus \overline{D})$ , we deduce that  $W \setminus \partial D = W \cap D$ . Therefore  $W \setminus \operatorname{Sing}(X) \subset D$ . Using again the normality of X, the Riemann second extension theorem and the fact that each  $D_{\nu}$  is Stein, we deduce that the inclusion  $W \setminus \operatorname{Sing}(X) \hookrightarrow D_{\nu}$  extends to W (with values in  $D_{\nu}$ ) and therefore  $W \subset D_{\nu}$  for every  $\nu$ . Hence  $W \subset D$ . In particular  $x_0 \in D$ , which contradicts our choice of  $x_0$ .
- (b) Obviously, D is locally Stein at every point  $x \in \partial D \cap \operatorname{Reg}(X)$ . Then for every sequence  $\{x_k\}$ ,  $x_k \in D$  such that  $x_k \to x \in \partial D \cap \operatorname{Reg}(X)$ , there exists  $f \in \mathcal{O}(D)$  which is unbounded on  $\{x_k\}$ . This was proved for relatively compact domains  $D \in X$  in [11] and extended to arbitrary domains in [16]. From this fact and part (a), we deduce that D is a domain of holomorphy in X.

**Remark 1.** Using the method in [6] it can be proved that, in the same setting, if  $\dim(X) = 2$  then D satisfies the disk property. This means that if  $\overline{\Delta} = \{z \in \mathbb{C} : |z| \leq 1\}$  is the closed unit disk and  $f_n : \overline{\Delta} \to X$  is a sequence of holomorphic functions converging uniformly to a holomorphic function  $f : \overline{\Delta} \to X$  and if  $f_n(\overline{\Delta}) \subset D$  and  $f(\partial \Delta) \subset D$ , then  $f(\overline{\Delta}) \subset D$ .

### §3. Increasing sequences of *q*-concave domains

We want to discuss a dual question, namely concavity properties of a union of q-concave open subsets of a complex manifold.

For the next definition, see [1].

**Definition 7.** A complex space X is called q-concave if there exists a continuous function  $\varphi: X \to (0, \infty)$  and a compact set  $K \subset X$  such that  $\varphi$  is strictly q-convex on  $X \setminus K$  and  $\{x \in X : \varphi(x) > c\} \in X$  for every c > 0.

By analogy with the notion of weakly q-convex space, we introduce the following definition:

**Definition 8.** A complex space X is called weakly q-concave if there exists a continuous function  $\varphi: X \to (0, \infty)$  and a compact set  $K \subset X$  such that  $\varphi$  is weakly q-convex on  $X \setminus K$  and  $\{x \in X : \varphi(x) > c\} \subseteq X$  for every c > 0.

**Remark 2.** A proper modification of a q-concave manifold is weakly q-concave.

**Example.** The following example appears in [3]. Let  $a \in \mathbb{P}^2$  and  $\{x_n\}_{n\geq 1}$  be a sequence in  $\mathbb{P}^2\setminus\{a\}$  converging to a, and M be the blow-up of  $\mathbb{P}^2\setminus\{a\}$  at this sequence. Then M is weakly 1-concave but it is not 1-concave. Moreover, M is an increasing sequence of 1-concave open subsets. Indeed, we let  $M_k, k\geq 1$  be the blow-up of  $\mathbb{P}^2\setminus(\{a\}\cup\{x_n:n\geq k+1\})$  at  $x_1,\ldots,x_k$ . Then  $M_k$  is an open subset of M,  $M_k\subset M_{k+1}$  and  $\bigcup_{k\geq 1}M_k=M$ . It was noticed in [9] that if  $\{A_n\}$  is a countable set of closed, completely pluripolar subsets of a complex manifold  $\Omega$  such that  $A:=\bigcup A_n$  is closed in  $\Omega$ , and  $\Omega'$  is an open subset of  $\Omega$  such that  $\Omega'\subseteq \Omega$  then  $A\cap \Omega'$  is completely pluripolar in  $\Omega'$ . It follows then that  $\mathbb{P}^2\setminus(\{a\}\cup\{x_n:n\geq k+1\})$  is 1-concave and hence  $M_k$  is 1-concave.

**Theorem 8.** For every integer n > 1 there exists a connected complex manifold M of dimension n such that M is an increasing union of 1-concave open subsets and M is not weakly (n-1)-concave.

Proof. The following construction was used in [4] and [5]. We start with  $\Omega_0 := \mathbb{P}^n$  (or any compact complex manifold of dimension n) and we choose  $a_0 \in \Omega_0$  to be any point. We set  $M_0 := \Omega_0 \setminus \{a_0\}$  and let  $p_0 : \Omega_1 \to \Omega_0$  be the blow-up of  $\Omega_0$  at  $a_0$ . Let  $a_1$  be a point on the exceptional divisor of  $p_0$ ,  $M_1 = \Omega_1 \setminus \{a_1\}$  and  $p_1 : \Omega_2 \to \Omega_1$  be the blow-up of  $\Omega_1$  at  $a_1$ . Suppose now that we have defined inductively

- $\Omega_i$  for  $j = 0, \ldots, k$ ;
- $a_j \in \Omega_j$ ,  $p_j : \Omega_{j+1} \to \Omega_j$  and  $M_j = \Omega_j \setminus \{a_j\}$  for  $j = 0, \dots, k-1$ .

We choose a point  $a_k$  on the exceptional divisor of  $p_{k-1}: \Omega_k \to \Omega_{k-1}$  such that  $a_k$  is not on the proper transform of the exceptional divisor of  $p_{k-2}: \Omega_{k-1} \to \Omega_{k-2}$ . We let  $M_k = \Omega_k \setminus \{a_k\}$  and  $p_{k+1}: \Omega_{k+1} \to \Omega_k$  be the blow-up of  $\Omega_k$  at  $a_k$ .

Note that  $M_k$  is an open subset of  $M_{k+1}$  for every  $k \geq 0$ . We set  $\tilde{M} := \bigcup_{k \geq 0} M_k$ . Each  $M_k$  is 1-concave since it is the complement of a point in a compact complex manifold. At the same time,  $\tilde{M}$  contains a noncompact connected (n-1)-dimensional complex subspace X such that all irreducible components of X are

compact. This subspace is the union of the (proper transforms of the) exceptional divisors of all the blow-ups defined above.

If  $\varphi: M \to (0, \infty)$  is weakly (n-1)-convex outside a compact subset K of M, since each irreducible component of X has dimension n-1, we have, by the maximum principle, that  $\varphi$  must be constant on each irreducible component of X that does not intersect K. Therefore it is constant on at least one noncompact connected component of  $X \setminus K$ . Hence M cannot be weakly (n-1)-concave.  $\square$ 

Remark 3. It was noticed in [3] that if a complex manifold is an increasing union of 1-concave open subsets then its cohomology with values in any locally free coherent sheaf is separated. It is an open question raised by R. Hartshorne [12] whether a complex connected manifold such that its cohomology with values in any locally free coherent sheaf is finite-dimensional is necessarily a compact manifold.

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