

Construction of counterexamples to the 2-jet determination Chern-Moser Theorem in higher codimension

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(joint work with F. Meylan)
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Problem of jet determination

Real submanifold $M \subset \mathbb{C}^N$, biholomorphisms ϕ, ψ of \mathbb{C}^N such that $\phi(M) \subset M, \psi(M) \subset M$

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Nontrivial ϕ such that

$$j_z^r \phi = id$$

for $r > 0$ have nontrivial dynamics and pose restrictions, how M can look like.

Jet determination of CR automorphisms

(almost) CR structure ... M with distribution \mathcal{D} and (almost) complex structure \mathcal{I} on \mathcal{D} ... CR automorphisms of M preserving \mathcal{D} and \mathcal{I}

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$$\mathcal{D} := TM \cap i(TM)$$

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In general, not every CR structure can be embedded into \mathbb{C}^N . Not every CR automorphisms extends uniquely to biholomorphisms preserving M .

Jet determination of infinitesimal CR automorphisms

Topology comes to play ... CR automorphisms outside of connected component of identity can be determined by a higher jet.

In the connected component of identity, ..., jet determination of (complete) holomorphic vector fields Z whose flow preserve M :
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What properties of M say about jet determination of biholomorphisms preserving M with such property?
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Theorem (Cartan, Tanaka, Chern and Moser)

Let M be a real-analytic hypersurface through a point p in \mathbb{C}^N with non-degenerate Levi form at p . Let F, G be two germs of biholomorphic maps preserving M . Then, if F and G have the same 2-jets at p , they coincide.

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The result becomes false without any hypothesis on the Levi form.
What about higher codimension?

Beloshapka's theory of quadric models

(Levi) non-degenerate quadric models $M_0 \subset \mathbb{C}^{n+k}$... 2-degree polynomial submanifolds given by

$$\operatorname{Im} w_1 = zH_1z^*, \dots, \operatorname{Im} w_k = zH_kz^*, \quad (1)$$

where $z \in \mathbb{C}^n$, $w \in \mathbb{C}^k$, $1 \leq k \leq n^2$,

- 1 the $n \times n$ Hermitian matrices H_j are linearly independent, and
- 2 the common kernel of all Hermitian matrices H_j is trivial, i.e., $zH_jz^* = 0$ for all j implies $z = 0$.

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Baouendi, Ebenfelt and Rothschild ... there is a general bound $1 + k$ for jet determination in such situation.

Counterexample of F. Meylan

Let $M \subseteq \mathbb{C}^9$ be the real submanifold of (real) codimension 5 through 0 given in the coordinates $(z, w) = (z_1, \dots, z_4, w_1, \dots, w_5) \in \mathbb{C}^9$, by

$$\begin{cases} \operatorname{Im} w_1 = P_1(z, \bar{z}) = z_1 \bar{z}_2 + z_2 \bar{z}_1 \\ \operatorname{Im} w_2 = P_2(z, \bar{z}) = -iz_1 \bar{z}_2 + iz_2 \bar{z}_1 \\ \operatorname{Im} w_3 = P_3(z, \bar{z}) = z_3 \bar{z}_2 + z_4 \bar{z}_1 + z_2 \bar{z}_3 + z_1 \bar{z}_4 \\ \operatorname{Im} w_4 = P_4(z, \bar{z}) = z_1 \bar{z}_1 \\ \operatorname{Im} w_5 = P_5(z, \bar{z}) = z_2 \bar{z}_2 \end{cases} \quad (2)$$

Then there is the following holomorphic vector field whose flow preserves M

$$\begin{aligned} T = & \left(-\frac{1}{2}w_1^2 + \frac{1}{2}w_2^2 + 2w_4w_5\right)i\left(-iz_1\frac{\partial}{\partial z_3} + iz_2\frac{\partial}{\partial z_4}\right) \\ & + w_1w_2i\left(z_1\frac{\partial}{\partial z_3} + z_2\frac{\partial}{\partial z_4}\right) - 2w_2w_5i\left(z_1\frac{\partial}{\partial z_4}\right) - 2w_2w_4i\left(z_2\frac{\partial}{\partial z_3}\right) \end{aligned}$$

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Analyze the counterexample of F. Meylan from viewpoint of Tanaka's prolongation theory.

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Construct counterexamples with general order of jet determination.

Infinitesimal CR automorphisms of quadric models

Nondegenerate quadric models $\text{Im } w_j = zH_j z^* \dots$ weighted homogeneous for $[z_j] = 1, [w_j] = 2$ with corresponding Euler field

$$E := \sum_j z_j \frac{\partial}{\partial z_j} + 2 \sum_j w_j \frac{\partial}{\partial w_j}$$

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\Rightarrow Lie algebra of infinitesimal CR automorphisms decomposes as $\mathfrak{g} = \mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1} \oplus \dots \oplus \mathfrak{g}_{b-1} \oplus \mathfrak{g}_b$ such that $[\mathfrak{g}_c, \mathfrak{g}_d] \subset \mathfrak{g}_{c+d}$

$$\mathfrak{g}_{-2} = \left\{ \sum_j q_j \frac{\partial}{\partial w_j} \right\}$$

$$\mathfrak{g}_{-1} = \left\{ \sum_j p_j \frac{\partial}{\partial z_j} + 2i \sum_j zH_j p^* \frac{\partial}{\partial w_j} \right\},$$

where $p \in \mathbb{C}^n, q \in \mathbb{R}^k$ and the real span of the real parts of these vector fields on M_0 is TM_0 .



Definition

A non–degenerate Levi Tanaka algebra (of a nondegenerate quadric model) is a graded Lie algebra $\mathfrak{m} = \mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}$ together with complex structure J on \mathfrak{g}_{-1} satisfying

- 1 $[\mathfrak{g}_{-1}, \mathfrak{g}_{-1}] = \mathfrak{g}_{-2}$,
- 2 $[X, \mathfrak{g}_{-1}] = 0, X \in \mathfrak{g}_{-1}$, implies $X = 0$
- 3 $[J(X), J(Y)] = [X, Y]$ for all $X, Y \in \mathfrak{g}_{-1}$.

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- 3 $[J(X), J(Y)] = [X, Y]$ for all $X, Y \in \mathfrak{g}_{-1}$.

$\mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}$ in the Lie algebra of infinitesimal CR automorphism with the Lie bracket taken with the opposite sign defines a non–degenerate Levi Tanaka algebra (at $z = 0$, $w = 0$) of the nondegenerate quadric model with J induced by multiplication by i .

$$[(q, p), (\tilde{q}, \tilde{p})] = (2i(-pH_j\tilde{p}^* + \tilde{p}H_jp^*), 0)$$

in the above coordinates (q, p) of $\mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}$.

Tanaka prolongation

Tanaka prolongation of Levi Tanaka algebra ($\mathfrak{m} = \mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}, J$) is the maximal graded Lie algebra $\mathfrak{g} = \mathfrak{m} \oplus \bigoplus_{i \geq 0} \mathfrak{g}_i$ such that

- 1 \mathfrak{g}_0 consists of grading preserving derivations of \mathfrak{m} commuting with J ,
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The i th prolongation \mathfrak{g}_i can be algebraically computed as

$$\mathfrak{g}_i := \{f \in \bigoplus_{j < 0} \mathfrak{g}_j^* \otimes \mathfrak{g}_{j+i} : f([X, Y]) = [f(X), Y] + [X, f(Y)], X, Y \in \mathfrak{m}\}.$$

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Theorem (Tanaka)

Suppose for all $X \in \mathfrak{g}_{-1}$ the condition $[X, \mathfrak{g}_{-1}] = 0$ implies $X = 0$. Then $\mathfrak{g}_l = 0$ for all l large enough and \mathfrak{g} is finite dimensional Lie algebra.

Realization of Tanaka prolongation as infinitesimal CR automorphisms of M_0

Reconstruction of M_0 with the coordinates (w, z) of subalgebra $\mathfrak{n}_{-2} \oplus \mathfrak{n}_{-1}$ of complexification $\mathfrak{g}_{\mathbb{C}}$ of Tanaka prolongation \mathfrak{g} :

$$\operatorname{Im} w := \frac{1}{4}[J(z), z].$$

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Construction of holomorphic vector fields corresponding to elements $X_b \in \mathfrak{g}_b$ whose flow preserves M_0 :

$$\begin{aligned} & \sum_{c+2d=b+1, c, d \geq 0} \frac{(-1)^{c+d}}{(c+d)!} (\operatorname{ad}(z)^c (\operatorname{ad}(w)^d (X_b)))_{\mathfrak{n}_{-1}, j} \frac{\partial}{\partial z_j} \\ + & \sum_{c+2d=b+2, c, d \geq 0} \frac{(-1)^{c+d}}{(c+d)!} (\operatorname{ad}(z)^c (\operatorname{ad}(w)^d (X_b)))_{\mathfrak{n}_{-2}, j} \frac{\partial}{\partial w_j} \end{aligned} \quad (3)$$

where ad is Lie bracket on $\mathfrak{g}_{\mathbb{C}}$ and $\pi_{-i, j}$ is projection from $\mathfrak{g}_{\mathbb{C}}$ to j th-component of \mathfrak{n}_{-i} .

Levi decomposition of Tanaka prolongation

R ... the radical of the Tanaka prolongation \mathfrak{g} of (\mathfrak{m}, J) .

Levi decomposition Theorem... the semisimple Lie algebra \mathfrak{g}/R is isomorphic to $\mathfrak{s} \subset \mathfrak{g}$, i.e., $\mathfrak{g} = \mathfrak{s} \oplus_{\rho} R$, where $\rho : \mathfrak{s} \rightarrow \mathfrak{gl}(R)$ is the representation induced by the Lie bracket $[\mathfrak{s}, R] \subset R$.

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Medori and Nacinovich ... Levi decomposition of form

$$\mathfrak{s} = \mathfrak{s}_{-2} \oplus \mathfrak{s}_{-1} \oplus \mathfrak{s}_0 \oplus \mathfrak{s}_1 \oplus \mathfrak{s}_2$$

$$R = R_{-2} \oplus \cdots \oplus R_b,$$

with $J(\mathfrak{s}_{-1}) \subset \mathfrak{s}_{-1}$ and $J(R_{-1}) \subset R_{-1}$.

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with $J(\mathfrak{s}_{-1}) \subset \mathfrak{s}_{-1}$ and $J(R_{-1}) \subset R_{-1}$.

\Rightarrow decomposition of coordinates w of \mathfrak{s}_{-2} , w' of R_{-2} , z of \mathfrak{s}_{-1} and z' of R_{-1} and

$$\operatorname{Im} w_j = z H_j z^*,$$

$$\operatorname{Im} w'_j = \operatorname{Re}(z P_j(z')^*) + z' Q_j(z')^*,$$

$z P_j(z')^* := -2\rho(z)(z')$ and H_j, Q_j depend only on brackets in \mathfrak{s}, R .

Analysis of Tanaka prolongation of counterexample of F. Meylan - I

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The Levi decomposition

$$\mathfrak{su}(2, 3) \oplus_{\rho} (\mathbb{R} \oplus V^{\lambda_2 + \lambda_3}),$$

where

- $\mathfrak{su}(2, 3)$ is 24 dimensional simple Lie algebra that commutes with \mathbb{R} and acts on 75 dimensional vector space $V^{\lambda_2 + \lambda_3}$ by a real representation with highest weight $\lambda_2 + \lambda_3$,
- \mathbb{R} in radical acts by multiplication \cdot on $V^{\lambda_2 + \lambda_3}$, and
- $V^{\lambda_2 + \lambda_3}$ in radical is abelian.

Analysis of Tanaka prolongation of counterexample of F. Meylan - II

$\mathfrak{su}(2, 3)$ is $|2|$ -graded and corresponds to universal quadric model

$$\begin{cases} \operatorname{Im} w_1 = z_1 \bar{z}_2 + z_2 \bar{z}_1 \\ \operatorname{Im} w_2 = -iz_1 \bar{z}_2 + iz_2 \bar{z}_1 \\ \operatorname{Im} w_3 = z_1 \bar{z}_1 \\ \operatorname{Im} w_4 = z_2 \bar{z}_2 \end{cases} \quad (4)$$

$$\mathbb{R} \subset \mathfrak{g}_0$$

$\dim_{\mathbb{R}}(V_{-2}) = 1$, $\dim_{\mathbb{C}}(V_{-1}) = 2$ corresponds to additional equation

$$\operatorname{Im} w'_1 = z'_1 \bar{z}'_2 + z'_2 \bar{z}'_1 + z_2 \bar{z}'_1 + z_1 \bar{z}'_2 \quad (5)$$

Analysis of Tanaka prolongation of counterexample of F. Meylan - III

$$\dim_{\mathbb{R}}(V_0) = 8, \dim_{\mathbb{R}}(V_1) = 16, \dim_{\mathbb{R}}(V_2) = 17,$$

$$\dim_{\mathbb{R}}(V_3) = 16, \dim_{\mathbb{R}}(V_4) = 8, \dim_{\mathbb{R}}(V_5) = 4, \dim_{\mathbb{R}}(V_6) = 1$$

In particular, the holomorphic vector field $T \in V_4$ and in V_6 is

$$\begin{aligned} & (-3w_1^4 - 6w_1^2w_2^2 + 24w_1^2w_3w_4 - 3w_2^4 + 24w_2^2w_3w_4 - 48w_3^2w_4^2) \frac{\partial}{\partial w'_1} \\ & + (2w_1^3 + 2w_1w_2^2 - 8w_1w_3w_4) \left(2w_1 \frac{\partial}{\partial w'_1} + z_1 \frac{\partial}{\partial z'_1} + z_2 \frac{\partial}{\partial z'_2} \right) \\ & + (2w_1^2w_2 + 2w_2^3 - 8w_2w_3w_4) \left(2w_2 \frac{\partial}{\partial w'_1} - iz_1 \frac{\partial}{\partial z'_1} + iz_2 \frac{\partial}{\partial z'_2} \right) \\ & + (-4w_1^2w_3 - 4w_2^2w_3 + 16w_3^2w_4) \left(2w_4 \frac{\partial}{\partial w'_1} + z_2 \frac{\partial}{\partial z'_1} \right) \\ & + (-4w_1^2w_4 - 4w_2^2w_4 + 16w_3w_4^2) \left(2w_3 \frac{\partial}{\partial w'_1} + z_1 \frac{\partial}{\partial z'_2} \right), \end{aligned}$$

Conclusions from the counterexample

We can try to prescribe the Levi decomposition $\mathfrak{g} = \mathfrak{s} \oplus_{\rho} (\mathbb{K} \oplus V^{\lambda})$:
|2|-grading of simple Lie algebras corresponding to simple Lie algebras are classified by Medori and Nacinovich.

Representations of simple Lie algebras are classified via the highest weights λ .

$\mathbb{K} = \mathbb{R}, \mathbb{C}$ or \mathbb{H} for real, complex or quaternionic representations.

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Proposition

Suppose $E_s \in \mathfrak{s}$ is the element providing the grading on \mathfrak{s} with largest/smallest eigenvalues K_{\max} and K_{\min} on V^{λ} . Suppose $V^{\lambda} = V_{-2}^{\lambda} \oplus \dots \oplus V_c^{\lambda}$. Then:

- 1 V_i^{λ} is the $i + K_{\min} + 2$ eigenspace of $\rho(E_s)$ in V^{λ} and $c = K_{\max} - K_{\min} - 2$.
- 2 Infinitesimal CR automorphisms in V_c^{λ} are at least K -jet determined, where K is $\frac{K_{\max} - K_{\min}}{2}$ rounded down.

General construction of counterexamples

Additional assumptions are required to:

Find J on V_{-1} that would make $\mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}$ into Levi Tanaka algebra.

Check $\mathfrak{g} = \mathfrak{s} \oplus_{\rho} (\mathbb{K} \oplus V^{\lambda})$ is in Tanaka prolongation of $(\mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}, J)$.

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Theorem

If

- 1 V_{-1} is a complex representation of \mathfrak{s}_0 and the corresponding complex structure J on \mathfrak{g}_{-1} is satisfying $\rho(J(X)(J(Y))) = \rho(X)(Y)$ for all $X \in \mathfrak{s}_{-1}$, $Y \in V_{-1}$,
- 2 V_0 acts complex linearly as a map from \mathfrak{s}_{-1} to V_{-1} ,

then $(\mathfrak{g}_{-2} \oplus \mathfrak{g}_{-1}, J)$ is a non-degenerate Levi Tanaka algebra and the nondegenerate quadric model M defined as above has Lie algebra $\mathfrak{s} \oplus_{\rho} (\mathbb{K} \oplus V^{\lambda})$ of infinitesimal CR automorphisms. In particular, infinitesimal CR automorphisms in $V_{K_{\max}-K_{\min}-2}$ are at least K -jet determined, where K is $\frac{K_{\max}-K_{\min}}{2}$ rounded down.



Counterexample in codimension 4 - I

Start with $|2|$ -graded Lie algebra $\mathfrak{s} = \mathfrak{so}(3, 5)$ of infinitesimal CR automorphisms of:

$$\operatorname{Im} w_1 = -iz_1 \bar{z}_2 + iz_2 \bar{z}_1$$

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$$\operatorname{Im} w_3 = -iz_1 \bar{z}_3 + iz_3 \bar{z}_1$$

Pick $\lambda = \lambda_3 + \lambda_4$ which is real representation with $K_{\max} = 3$, $K_{\min} = -3$, $V = V_{-2} \oplus \cdots \oplus V_4$, $\dim_{\mathbb{R}}(V_{-2}) = 1$.

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$K_{max} = 3, K_{min} = -3, V = V_{-2} \oplus \cdots \oplus V_4, \dim_{\mathbb{R}}(V_{-2}) = 1.$

V_{-1} is standard complex representation of $\mathfrak{g}_0 = \mathfrak{sl}(3, \mathbb{R}) \oplus \mathbb{C} \Rightarrow$
condition (1) is satisfied and we get

$$\operatorname{Im} w'_1 = z_1 \bar{z}'_1 + z'_1 \bar{z}_1 + z_2 \bar{z}'_2 + z'_2 \bar{z}_2 + z_3 \bar{z}'_3 + z'_3 \bar{z}_3,$$

Analysis of wight spaces of V_0 implies that condition (2) is satisfied
 \Rightarrow we can apply our theorem

Counterexample in codimension 4 - II

The following submanifold in \mathbb{C}^{10} :

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$$\operatorname{Im} w_2 = -iz_2 \bar{z}_3 + iz_3 \bar{z}_2$$

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$$\operatorname{Im} w'_1 = z_1 \bar{z}'_1 + z'_1 \bar{z}_1 + z_2 \bar{z}'_2 + z'_2 \bar{z}_2 + z_3 \bar{z}'_3 + z'_3 \bar{z}_3$$

has infinitesimal CR automorphism in V_4 that has weighted order 4 and is 3-jet determined:

$$\begin{aligned} & - w_1 w_3 \left(iz_3 \frac{\partial}{\partial z'_1} + iz_1 \frac{\partial}{\partial z'_3} \right) + w_2 w_3 \left(iz_2 \frac{\partial}{\partial z'_1} + iz_1 \frac{\partial}{\partial z'_2} \right) \\ & - w_1 w_2 \left(iz_3 \frac{\partial}{\partial z'_2} + iz_2 \frac{\partial}{\partial z'_3} \right) + iw_3^2 \left(z_1 \frac{\partial}{\partial z'_1} \right) + iw_2^2 \left(z_2 \frac{\partial}{\partial z'_2} \right) + iw_1^2 \left(z_3 \frac{\partial}{\partial z'_3} \right), \end{aligned}$$

where in the braces are rigid holomorphic vector fields in V_0 .

Conclusion for 2-jet determination

Codimension 1, 2 ... 2-jet determinations holds

Codimension 3 ... 2-jet determinations is open, our construction does not lead to any counterexample

Codimension > 3 ... adding equitation for quadrics in new variables to counterexamples in codimension 4,5 we get:

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CR dimension can be always made greater by adding quadrics with more new variables

There is counterexample to 2-jet determination in codimension 5 that does not have such a Levi decomposition.

Arbitrary high order of jet determination

Both of our counterexamples generalize to higher rank:

- 1 Codimension $\frac{(n-1)n}{2}$ submanifold in $\mathbb{C}^{\frac{n(n+1)}{2}}$ that has $|2|$ -graded Lie algebra $\mathfrak{s} = \mathfrak{so}(n, n+2)$ with $\lambda = \lambda_n + \lambda_{n+1}$. This has $K_{max} = n, K_{min} = -n, \dim_{\mathbb{R}}(V_{2n-2}) = 1$ and we get codimension $\frac{(n-1)n}{2} + 1$ submanifold in $\mathbb{C}^{\frac{(n+2)(n+1)}{2}}$ such that elements of V_{2n-2} are n -jet determined.

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- 2 For even $n = 2m$: Codimension m^2 submanifold in \mathbb{C}^{m+m^2} that has $|2|$ -graded Lie algebra $\mathfrak{s} = \mathfrak{su}(m, m+1)$ with $\lambda = \lambda_m + \lambda_{m+1}$. This has $K_{max} = n, K_{min} = -n, \dim_{\mathbb{R}}(V_{2n-2}) = 1$ and we get codimension $m^2 + 1$ submanifold in $\mathbb{C}^{(m+1)^2}$ such that elements of V_{2n-2} are n -jet determined.

Conclusion for n -jet determination

Theorem

For any even $n = 2m$ and any $k > m^2$, there is a generic quadratic submanifold M in \mathbb{C}^{2k-m^2+2m-1} of codimension k such that n -jets are required (and not less) to determine uniquely germs of biholomorphisms sending M to M .

For any odd n and any $k > \frac{(n-1)n}{2}$, there is a generic quadratic submanifold M in $\mathbb{C}^{2k-\frac{1}{2}n^2+\frac{5}{2}n-1}$ of codimension k such that n -jets are required (and not less) to determine uniquely germs of biholomorphisms sending M to M .

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Observe that codimension grows quadratically w.r.t. to n .
It is not clear, how close to the bound $1 + k$ -determination you can get.

We do not know how sharp these counterexamples are.