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Ivan V. ARZHANTSEV

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ALGEBRAS WITH FINITELY GENERATED INVARIANT SUBALGEBRAS

by Ivan V. ARZHANTSEV (*)

1. Introduction.

It is easy to prove that any subalgebra in the polynomial algebra $K[x]$ is finitely generated. On the other hand, one can construct many non-finitely generated subalgebras in $K[x_1, \dots, x_n]$ for $n \geq 2$. More generally, any subalgebra in an associative commutative finitely generated integral algebra \mathcal{A} with unit is finitely generated if and only if $\text{Kdim } \mathcal{A} \leq 1$, where $\text{Kdim } \mathcal{A}$ is Krull dimension of \mathcal{A} . The aim of this paper is to obtain an equivariant version of this result.

Let \mathcal{A} be an associative commutative finitely generated integral algebra with unit over an algebraically closed field K of characteristic zero, and let G be a connected reductive algebraic group over K acting rationally on \mathcal{A} . The latter condition means that there is a homomorphism $G \rightarrow \text{Aut}(\mathcal{A})$ such that the orbit Ga of any element $a \in \mathcal{A}$ is contained in a finite-dimensional subspace in \mathcal{A} where G acts rationally. We say in this case that \mathcal{A} is a G -algebra.

In Section 2 we introduce three special types of G -algebras. Theorem 1 states that any invariant subalgebra in a G -algebra \mathcal{A} is finitely generated if and only if \mathcal{A} belongs to one of these three types.

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In Section 3 we consider a geometric method for constructing a non-finitely generated subalgebra in a G -algebra. The proof of Theorem 1 is given in Section 5. It is based on the notion of an *affine embedding* of a homogeneous space defined in Section 4.

An (affine) homogeneous space G/H is said to be *affinely closed* if any affine embedding of G/H coincides with G/H (cf. [AT01]). It was proved by D. Luna [Lu75] that a homogeneous space G/H is affinely closed if and only if H is a reductive subgroup of finite index in its normalizer $N_G(H)$. For convenience of the reader we recall the proof of this result following G. Kempf [Ke78], Cor. 4.5.

In Section 6 some results on affine embeddings are given. In particular, some characterizations of embeddings with a G -fixed point are presented (Propositions 3, 4 and 6). The notion of *the canonical embedding* of a homogeneous space G/H , where H is a Grosshans subgroup of G , is introduced in Section 7. (Let us recall that H is a Grosshans subgroup of G if the homogeneous space G/H is a quasi-affine variety and the algebra of regular functions $K[G/H]$ is finitely generated.) This embedding is a very natural object associated with G/H , and investigation of its properties leads to some characteristics of the pair (G, H) .

In section 8 a version of our result over algebraically closed fields of positive characteristic is discussed. Finally, some problems are collected in Section 9.

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2. Three types of G -algebras.

Type C. Here \mathcal{A} is a finitely generated domain of Krull dimension $\text{Kdim } \mathcal{A} = 1$ (i.e., the transcendence degree of the quotient field $Q\mathcal{A}$ equals one) with any (for example, trivial) G -action. Such algebras may be considered as the algebras of regular functions on irreducible affine curves.

Type HV. Let H be a closed subgroup of G and

$$\mathcal{A}(H) = K[G]^H = K[G/H] = \{f \in K[G] \mid f(gh) = f(g)\}$$
 for any $g \in G, h \in H$.

The left G -action $(l(g')f)(g) := f(g'^{-1}g)$ on $\mathcal{A}(H)$ is rational.

Further we follow notation of the book [Gr97]. Let $B = TU$ be a Borel subgroup of G with the unipotent radical U and a maximal torus T . Here T normalizes U and there is a G -equivariant T -action on $\mathcal{A}(U)$ defined by right translation $(r(t)f)(g) := f(gt)$. For a character $\omega \in X(T)$ consider the G -invariant subspace

$$E(\omega^*) = \{f \in \mathcal{A}(U) \mid r(t)f = \omega(t)f \text{ for all } t \in T\}.$$

The G -module $E(\omega^*)$ is $\{0\}$ unless ω is dominant. Denote by $X^+(T)$ the set of dominant weights. For every $\omega \in X^+(T)$, $E(\omega^*)$ is a simple G -submodule having highest weight denoted by ω^* . The map $\omega \rightarrow \omega^*$ is an involution on $X^+(T)$. Since each element in $\mathcal{A}(U)$ is a sum of T -weight vectors (where T acts by right translation), we see that $\mathcal{A}(U)$ is the direct sum of the $E(\omega)$, $\omega \in X^+(T)$. From the definition, it is obvious that if $\omega, \omega' \in X^+(T)$, then $E(\omega)E(\omega') \subseteq E(\omega + \omega')$.

Consider the G -algebra

$$\mathcal{A}(\lambda) = \bigoplus_{m \geq 0} E(m\lambda) \subset \mathcal{A}(U),$$

where λ is a dominant weight. (More geometrically, the algebra $\mathcal{A}(\lambda)$ may be realized as

$$\mathcal{A}(\lambda) = \bigoplus_{m \geq 0} H^0(G/B, L_{m\lambda^*}),$$

where $L_{m\lambda^*} = G *_B K(-m\lambda^*)$ is the G -line bundle on the flag variety G/B corresponding to the character $m\lambda^*$.)

We say that a G -algebra \mathcal{A} is an algebra of type HV if it is G -isomorphic to an invariant subalgebra of $\mathcal{A}(\lambda)$ for some $\lambda \in X^+(T)$. Any G -algebra of type HV is finitely generated, see Lemma 2 below.

The algebra $\mathcal{A}(\lambda)$ may be considered as the algebra of regular functions on the orbit closure of a highest weight vector in the simple G -module with highest weight λ^* . Clearly, any invariant subalgebra in $\mathcal{A}(\lambda)$ has the form

$$\mathcal{A}(P, \lambda) = \bigoplus_{p \in P} E(p\lambda),$$

where P is a subsemigroup in the additive semigroup Z_+ of non-negative integers, cf. [PV72].

Example 1. — Let G be $SL_n(K)$ and $\omega_1, \dots, \omega_{n-1}$ be its fundamental weights. The natural linear action $G : K^n$ induces an action on regular functions

$$G : \mathcal{A} = K[x_1, \dots, x_n], (g * f)(v) := f(g^{-1}v).$$

The homogeneous polynomials $K[x_1, \dots, x_n]_m$ of degree m form an (irreducible) isotypic component corresponding to the weight $m\omega_{n-1}$. Hence $\mathcal{A} = \mathcal{A}(\omega_{n-1})$ and any invariant subalgebra in \mathcal{A} is composed of homogeneous components indexed by elements of a subsemigroup $P \subseteq Z_+$.

Type N. Let H be a reductive subgroup of G . Then the algebra $\mathcal{A}(H)$ is finitely generated. Denote by $C_G(H)$ the centralizer of H in G . Consider the following condition:

(*) H is reductive and for any one-parameter subgroup $\nu : K^* \rightarrow C_G(H)$ the image $\nu(K^*)$ is contained in H .

Let us note that for a reductive subgroup H one has $N_G(H)^0 = H^0 C_G(H)^0$, where L^0 denotes the connected component of unit in an algebraic group L . Hence condition (*) may be reformulated as “ H is reductive and the group $W(H)^0$ is unipotent”, where $W(H) = N_G(H)/H$. But the normalizer $N_G(H)$ is reductive [LR79], Lemma 1.1 and thus condition (*) is equivalent to the condition

(**) H is reductive and the group $W(H)$ is finite.

We say that a G -algebra \mathcal{A} is of type N if there exists a subgroup $H \subset G$ satisfying condition (*) such that \mathcal{A} is G -isomorphic to $\mathcal{A}(H)$. Any G -invariant subalgebra of a G -algebra of type N is finitely generated (Lemma 1).

Example 2. — Let $G = SL_n$ and $H = SO_n$. The group G acts on the space of symmetric $n \times n$ -matrices by $(g, s) \rightarrow g^T s g$. The stabilizer of the identity matrix E is the subgroup H and the orbit GE is the set X of symmetric matrices with determinant 1. This yields that the algebra $\mathcal{A} = K[X]$ with the G -action $(g * f)(s) := f((g^{-1})^T s g^{-1})$ is an algebra of type N.

A G -algebra \mathcal{A} is a G -algebra of type N if and only if

(***) \mathcal{A} contains no proper G -invariant ideals and the group of G -equivariant automorphisms of \mathcal{A} is finite

(see Remarks in Section 5).

Now we are able to formulate the main result.

THEOREM 1. — *Let \mathcal{A} be a G -algebra. Then any G -invariant subalgebra of \mathcal{A} is finitely generated if and only if \mathcal{A} is an algebra of one of the types C , HV or N .*

The proof of Theorem 1 is given in Section 5. Now we begin with some auxiliary results.

3. Non-finitely generated subalgebras.

Let X be an irreducible affine algebraic variety and Y be a proper closed irreducible subvariety. Consider the subalgebra

$$\mathcal{A}(X, Y) = \{f \in K[X] \mid f(y_1) = f(y_2) \text{ for any } y_1, y_2 \in Y\} \subset \mathcal{A} = K[X].$$

PROPOSITION 1. — *The subalgebra $\mathcal{A}(X, Y)$ is finitely generated if and only if Y is a point.*

Proof. — If Y is a point, then $\mathcal{A}(X, Y) = K[X]$. Suppose that Y has positive dimension. Consider the ideal $\mathcal{I} = \mathcal{I}(Y) = \{f \in K[X] \mid f(y) = 0 \text{ for any } y \in Y\}$. Then $K[X]/\mathcal{I}$ is an infinite-dimensional vector space. By the Nakayama lemma, we can find $i \in \mathcal{I}$ such that in the local ring of Y the element i is not in \mathcal{I}^2 . For any $a \in K[X] \setminus \mathcal{I}$ the element ia is in $\mathcal{I} \setminus \mathcal{I}^2$. Hence the space $\mathcal{I}/\mathcal{I}^2$ has infinite dimension.

On the other hand, suppose that f_1, \dots, f_n are generators of $\mathcal{A}(X, Y)$. Subtracting constants, one may suppose that all f_i are in \mathcal{I} . Then $\dim \mathcal{A}(X, Y)/\mathcal{I}^2 \leq n + 1$, a contradiction. □

PROPOSITION 2. — *Let \mathcal{A} be a finitely generated domain containing K . Then any subalgebra in \mathcal{A} is finitely generated if and only if $\text{Kdim } \mathcal{A} \leq 1$.*

Proof. — If $\text{Kdim } \mathcal{A} \geq 2$, then the statement follows from the previous proposition. The case $\text{Kdim } \mathcal{A} = 0$ is obvious. It remains to prove that if $\text{Kdim } \mathcal{A} = 1$, then any subalgebra is finitely generated. By taking the integral closure, one may suppose that \mathcal{A} is the algebra of regular functions on a smooth affine curve C_1 . Let C be the smooth projective curve such

that $C_1 \cong C \setminus \{P_1, \dots, P_k\}$. The elements of \mathcal{A} are the rational functions on C that may have poles only at points P_i . Let \mathcal{B} be a subalgebra in \mathcal{A} . By induction on k , we may suppose that the subalgebra $\mathcal{B}' \subset \mathcal{B}$ consisting of functions regular at P_1 is finitely generated, say $\mathcal{B}' = K[s_1, \dots, s_m]$. (Functions that are regular at any point P_i are constants.) Let $v(f)$ be the order of the zero/pole of $f \in \mathcal{B}$ at P_1 . The set $V = \{v(f) \mid f \in \mathcal{B}\}$ is an additive subsemigroup of integers. Any such subsemigroup is finitely generated. Let f_1, \dots, f_n be elements of \mathcal{B} such that the $v(f_i)$ generate V . Then for any $f \in \mathcal{B}$ there exists a polynomial $P(y_1, \dots, y_n)$ with $v(f - P(f_1, \dots, f_n)) \geq 0$, thus $f - P(f_1, \dots, f_n) \in \mathcal{B}'$. This shows that \mathcal{B} is generated by $f_1, \dots, f_n, s_1, \dots, s_m$. \square

4. Affine embeddings.

To go further we need some definitions.

DEFINITION 1. — *Let H be a closed subgroup of G . We say that an affine variety X with a regular G -action is an affine embedding of the homogeneous space G/H if there exists a point $x \in X$ such that the orbit Gx is dense in X and the orbit map $G \rightarrow Gx$ defines an isomorphism between G/H and Gx . We denote this as $G/H \hookrightarrow X$. An embedding is trivial if $X = Gx$.*

Note that a homogeneous space G/H admits an affine embedding if and only if G/H is quasi-affine (as an algebraic variety), see [PV89], Th.1.6. In this situation, the subgroup H is said to be *observable* in G . For a group-theoretic description of observable subgroups see [Su88] (char $K = 0$) and [Gr97], Th.7.3 (char K is arbitrary). It is known that G/H is affine if and only if H is reductive [Ri77], Th.A, [Gr97], Th.7.2. In particular, any reductive subgroup is observable.

DEFINITION 2. — *A homogeneous space is said to be affinely closed if it admits only the trivial affine embedding. (In this case G/H is affine.)*

The following result is due to D. Luna [Lu75].

THEOREM 2. — *A homogeneous space G/H is affinely closed if and only if H is a subgroup satisfying condition (*). Moreover, if G acts on an affine variety X and the stabilizer H' of a point $x \in X$ contains a subgroup*

H satisfying condition (), then H' is a subgroup satisfying condition (*) and the orbit Gx is closed in X .*

Theorem 2 implies that if H is a subgroup satisfying condition (*), $H \subseteq H' \subseteq G$ and H' is observable in G , then G/H' is affinely closed. We shall give a proof of Theorem 2 in Section 6 in terms of Kempf's adapted one-parameter subgroups [Ke78].

5. Proof of Theorem 1.

Let \mathcal{A} be a G -algebra with $\text{Kdim } \mathcal{A} \geq 2$ such that any invariant subalgebra in \mathcal{A} is finitely generated. Consider the corresponding affine variety $X = \text{Spec } \mathcal{A}$. The action $G : \mathcal{A}$ induces a regular (algebraic) action $G : X$.

Suppose that there exists a proper irreducible closed invariant subvariety $Y \subset X$ of positive dimension. Then $\mathcal{A}(X, Y)$ is an invariant subalgebra that is not finitely generated. In particular, this is the case if G acts on X without a dense orbit. Hence we may suppose that either

- (i) the action $G : X$ is transitive or
- (ii) X consists of an open orbit \mathcal{O} and a G -fixed point o .

In case (i), fix a point $x \in X$ and denote by H the stabilizer of x in G . Here H is reductive and if G/H is not affinely closed, then there is a nontrivial affine embedding $G/H \hookrightarrow X'$. The complement of the open affine subset X in X' is a union of irreducible divisors. Let Y be one of these divisors. The algebra $\mathcal{A}(X', Y)$ is a non-finitely generated invariant subalgebra in $K[X']$ and the inclusion $X \subset X'$ defines an embedding $K[X'] \subset K[X] = \mathcal{A}$. We conclude that G/H should be affinely closed. In this case \mathcal{A} is of type N by Theorem 2.

LEMMA 1. — *If $X = G/H$ is affinely closed, then any invariant subalgebra in $\mathcal{A}(H)$ is finitely generated.*

Proof. — Suppose that there exists an invariant subalgebra $\mathcal{B} \subset \mathcal{A}(H)$ that is not finitely generated. Let f_1, f_2, \dots be a system of generators of \mathcal{B} . Consider the finitely generated subalgebras $\mathcal{B}_i = K[\langle Gf_1, \dots, Gf_i \rangle]$, where $\langle Gf_1, \dots, Gf_i \rangle$ is the linear span of the orbits Gf_1, \dots, Gf_i .

Infinitely many of the \mathcal{B}_i are pairwise different. For the corresponding varieties $X_i := \text{Spec } \mathcal{B}_i$ one has natural dominant G -morphisms

$$X_1 \longleftarrow X_2 \longleftarrow X_3 \longleftarrow \dots$$

We claim that the action $G : X_i$ is transitive for any i . In fact, the morphism $G/H \rightarrow X_i$ is dominant and, by Theorem 2, the image of G/H is closed in X_i .

One may consider any X_i as a homogeneous variety G/H_i , where H_i is a reductive subgroup of G containing H . The infinite sequence of subgroups

$$H_1 \supset H_2 \supset H_3 \supset \dots$$

leads to a contradiction. □

Remarks. — 1) In the case $K = \mathbb{C}$, Lemma 1 follows also from [La99]. In fact, the article [La99] was the starting point for the present paper.

2) A G -algebra \mathcal{A} contains no proper invariant ideals if and only if the action $G : X = \text{Spec } \mathcal{A}$ is transitive. We have shown that any G -algebra of type N contains no proper invariant ideals. Moreover, the group of equivariant automorphisms of the homogeneous space G/H (and of the algebra $\mathcal{A}(H)$, at least if H is observable) is isomorphic to $W(H)$. Suppose that H is reductive and $W(H)$ is finite. As is obvious from what has been said any invariant subalgebra in $\mathcal{A}(H)$ has the form $\mathcal{A}(H')$, where $H \subseteq H' \subseteq G$, H' is reductive and $W(H')$ is finite, and hence G -algebras of type N are characterized by property (***) .

Now consider case (ii). We are going to prove that here $\mathcal{A} = K[X]$ is an algebra of type HV following the proof of [Br89], Lemme 1.2 (see also [Po75], Th.4, [Ak77], Th.1). One may assume that X is contained as a closed G -invariant subvariety in a finite-dimensional G -module V with origin o . Let $\mathbb{P}(V \oplus K)$ be the projective space associated with $V \oplus K$, where G acts trivially on K . Denote by \overline{X} the closure of X in $\mathbb{P}(V \oplus K)$. Then \overline{X} intersects the hyperplane at infinity $\mathbb{P}(V)$. This shows that a maximal unipotent subgroup $U \subset G$ has at least two fixed points in \overline{X} . But the set of points fixed by a connected unipotent group on a connected complete variety is connected [Ho69], Th.4.1. This proves that for the open orbit $\mathcal{O} \subset X$ one has $\mathcal{O}^U \neq \emptyset$. Let v be a U -fixed vector in \mathcal{O} . The vector v has the form $v = \sum v_i$, where $tv_i = \chi_i(t)v_i$ with $\chi_i \in X^+(T)$ for any i and any $t \in T$. Without loss of generality it can be assumed that the group G is semisimple and hence all χ_i belong to the positive (strictly convex) Weyl chamber. Find a one-parameter subgroup $\theta : K^* \rightarrow T$ such that

(1) $\langle \theta, \chi_i \rangle \geq 0$ for any i ;

(2) there exists a non-zero χ_k (denote it by λ^*) such that $\langle \theta, \chi_i \rangle = 0$ if and only if χ_i is a multiple of λ^* .

Then $v_1 = \lim_{t \rightarrow 0} \theta(t)v = \sum v_j$, where the corresponding χ_j are multiples of λ^* , and v_1 is in X . By assumption on X , one has $X = Gv_1 \cup \{0\}$. Let H be the stabilizer of v_1 in G . The bijective morphism $G/H \rightarrow \mathcal{O}$ defines an inclusion $K[\mathcal{O}] \subseteq K[G/H]$. Moreover, the subgroup H contains U and $K[G/H] = \bigoplus_{\omega} E(\omega)$, where $\omega^*|_{T_1} = 1$ for $T_1 = H \cap T$ [Gr97], p. 98. This shows that $K[G/H] \subseteq \mathcal{A}(\lambda)$ and $\mathcal{A} = K[X] \subseteq K[\mathcal{O}]$ is a G -algebra of type HV.

LEMMA 2. — Any invariant subalgebra of the algebra $\mathcal{A}(\lambda)$ is finitely generated.

Proof. — Let \mathcal{B} be an invariant subalgebra of $\mathcal{A}(\lambda)$. It is known that \mathcal{B} is finitely generated if and only if the algebra \mathcal{B}^U of U -invariants is finitely generated [Gr97], Th.16.2. But $\text{Kdim } \mathcal{A}(\lambda)^U = 1$, and, by Proposition 2, $\mathcal{B}^U \subseteq \mathcal{A}(\lambda)^U$ is finitely generated. □

The proof of Theorem 1 is completed. □

6. Some results on affine embeddings.

The next proposition is a modification of a construction due to G. Kempf [Ke78].

PROPOSITION 3. — Let G/H be a quasi-affine non affinely closed homogeneous space. Then G/H admits an affine embedding with a G -fixed point.

Proof. — Let $G/H \hookrightarrow X$ be a nontrivial embedding and $Y \subset X$ be a proper closed irreducible invariant subvariety. Denote by f_1, \dots, f_k generators of $K[X]$ and by g_1, \dots, g_s generators of the ideal $\mathcal{I}(Y)$. One may suppose that the f_i form a basis of $\langle Gf_1, \dots, Gf_k \rangle$ and the g_i form a basis of $\langle Gg_1, \dots, Gg_s \rangle$. Consider the G -equivariant morphism

$$\psi : X \rightarrow (K^{s(k+1)})^*,$$

$$x \rightarrow (g_1(x), \dots, g_s(x), g_1(x)f_1(x), \dots, g_s(x)f_1(x), \dots, g_1(x)f_k(x), \dots, g_s(x)f_k(x)).$$

Let Z be the closure of $\psi(X)$. It is clear that Z is birationally isomorphic to X and is an affine embedding of G/H . But $\psi(Y) = \{0\}$ is a G -fixed point on Z . \square

Proof of Theorem 2. — Suppose that H is a subgroup not satisfying condition (*). Consider the subgroup $H_1 = \nu(K^*)H$. The homogeneous fiber space $G *_H K$, where H acts on K trivially and H_1/H acts on K by dilation, is a two-orbit embedding of G/H .

Conversely, we need to prove that if G/H_1 is a quasi-affine homogeneous space that is not affinely closed and H is a reductive subgroup contained in H_1 , then there exists a one-parameter subgroup $\nu : K^* \rightarrow C_G(H)$ such that $\nu(K^*)$ is not contained in H . By Proposition 3, there exists an affine embedding $G/H_1 \hookrightarrow X$ with a G -fixed point o . Denote by x_0 the image of eH_1 in the open orbit on X . Let $\gamma : K^* \rightarrow G$ be an adapted (to x_0) one-parameter subgroup. Consider the parabolic subgroup

$$P(\gamma) = \{g \in G \mid \lim_{t \rightarrow 0} \gamma(t)g\gamma(t)^{-1} \text{ exists in } G\}.$$

Then $P(\gamma) = L(\gamma)U(\gamma)$, where $L(\gamma)$ is a Levi subgroup that is the centralizer of $\gamma(K^*)$ in G , and $U(\gamma)$ is the unipotent radical of $P(\gamma)$. By [Ke78] (see also [PV89], Th. 5.5), the stabilizer $G_{x_0} = H_1$ is contained in $P(\gamma)$. Hence there is an element $u \in U(\gamma)$ such that $H' = uHu^{-1} \subset L(\gamma)$.

We claim that $\gamma(K^*)$ is not contained in H' . In fact, assume the converse. Then $\gamma(t)ux_0 = ux_0$ for any $t \in K^*$. Denote $\gamma(t)u\gamma(t)^{-1}$ by u_t . Then $u_t\gamma(t)x_0 = ux_0$, so that $\gamma(t)x_0 \in U(\gamma)x_0$. By assumption, $\lim_{t \rightarrow 0} \gamma(t)x_0 = o \notin Gx_0$. On the other hand, the orbit $U(\gamma)x_0$ is contained in Gx_0 and is closed in X as an orbit of a unipotent group on an affine variety [PV89], p.151. (The proof of the latter statement is based only on the Lie-Kolchin theorem, which holds in arbitrary characteristic [Hu75], 17.5.) This contradiction shows that $\gamma(K^*)$ is not contained in H' and $\gamma(K^*)$ centralizes H' . The one-parameter subgroup conjugated by $u^{-1} \in U(\gamma)$ to $\gamma(K^*)$, is the desired subgroup $\nu(K^*)$. \square

Now we return to some properties of affine embeddings. Let us recall that a subgroup $Q \subset G$ is said to be *quasi-parabolic* if Q is the stabilizer of a highest weight vector v in some finite-dimensional irreducible G -module, say V_{λ^*} . If P_{λ^*} is the parabolic subgroup fixing the line $\langle v \rangle$, then $Q = Q_{\lambda^*} = \{g \in P_{\lambda^*} \mid \lambda^*(g) = 1\}$.

PROPOSITION 4. — *A homogeneous space G/H admits an affine embedding $G/H \hookrightarrow X$ such that $X = G/H \cup \{o\}$, where o is a G -fixed*

point if and only if H is a quasi-parabolic subgroup of G .

Proof. — If H is quasi-parabolic, then $X = \overline{Gv} \subset V_{\lambda^*}$ is the desired embedding.

Conversely, as was shown in the proof of Theorem 1, the subgroup H (up to conjugation) is the stabilizer of a sum of highest weight vectors with proportional weights. This shows that H is a quasi-parabolic subgroup. \square

Remarks. — 1) Proposition 4 was proved by V. L. Popov [Po75], Th. 4 and Cor. 5. For a description of complete embeddings with an isolated fixed point over the field \mathbb{C} see [Ak77], Th. 2.

2) The assumption that G is reductive is not essential in Proposition 4, see [Po75], Th. 3.

PROPOSITION 5. — *Let H be an observable subgroup of G .*

(1) *If either G/H is affinely closed or H is a quasi-parabolic subgroup of G , then G/H admits only one normal affine embedding (up to G -isomorphisms);*

(2) *if $G = K^*$ and H is finite, then there exist only two normal affine embeddings, namely K^*/H and K/H ;*

(3) *in all other cases there exists an infinite sequence*

$$X_1 \xleftarrow{\phi_1} X_2 \xleftarrow{\phi_2} X_3 \xleftarrow{\phi_3} \dots$$

of pairwise nonisomorphic normal affine embeddings X_i of G/H and equivariant dominant morphisms ϕ_i .

Proof. — Here we give characteristic-free arguments.

(1) The statement is obvious for affinely closed spaces. If H is quasi-parabolic, then consider the subalgebra \mathcal{B} in $\mathcal{A} = K[G/H]$ corresponding to a normal affine embedding of G/H . We claim that $\mathcal{A}^U = \mathcal{B}^U$. Indeed, $\mathcal{A}^U \cong K[x]$ is isomorphic to the polynomial algebra in one variable and \mathcal{B}^U is a graded integrally closed subalgebra. Hence $\mathcal{B}^U = K[x^d]$. But $Q\mathcal{A} = Q\mathcal{B}$ implies $Q\mathcal{A}^U = Q\mathcal{B}^U$ and $d = 1$.

Any element of \mathcal{A} is contained in $Q\mathcal{B}$. On the other hand, the algebra \mathcal{A} is integral over $G\mathcal{A}^U$ [Gr97], Th. 14.3 and $G\mathcal{A}^U = G\mathcal{B}^U \subseteq \mathcal{B}$. But \mathcal{B} is integrally closed and finally $\mathcal{A} = \mathcal{B}$.

(2) is obvious.

(3) In this case $K[G/H]$ contains a non-finitely generated subalgebra of type $\mathcal{A}(X, Y)$. One may suppose that X is normal. Then $\mathcal{A}(X, Y)$ is an integrally closed subalgebra in $K[G/H]$. Fix an element $g \in \mathcal{I}(Y)$ and generators f_1, \dots, f_n of $K[X]$. Extend the sequence $g_0 = g, g_1 = gf_1, \dots, g_n = gf_n$ to an (infinite) generating set $g_0, g_1, \dots, g_n, g_{n+1}, \dots$ of $\mathcal{A}(X, Y)$. Let \mathcal{A}_k be the integral closure of $K[\langle Gg_0, \dots, Gg_{n+k} \rangle]$ in $\mathcal{A}(X, Y)$. The varieties $X_i = \text{Spec } \mathcal{A}_i$ are birationally isomorphic to X and $G/H \hookrightarrow X_i$. Infinitely many of X_i are pairwise nonisomorphic. Renumbering, one may suppose that all X_i are pairwise nonisomorphic. The chain

$$\mathcal{A}_1 \subset \mathcal{A}_2 \subset \mathcal{A}_3 \subset \dots$$

corresponds to the desired chain

$$X_1 \xleftarrow{\phi_1} X_2 \xleftarrow{\phi_2} X_3 \xleftarrow{\phi_3} \dots$$

□

7. The canonical embedding.

It is easy to check that the intersection of a family of observable subgroups is again an observable subgroup. Hence, one may define *the observable hull* of a subgroup H as the intersection of all observable subgroups containing H , cf. [PV89], 3.7. It is the minimal observable subgroup containing H . Another (but equivalent) approach to the observable hull may be found in [Gr97], page 6.

DEFINITION 3. — *Let H be a subgroup of G . We say that a reductive subgroup L is a reductive hull of H if L is a minimal (with respect to inclusions) reductive subgroup of G containing H .*

The intersection of reductive subgroups in general is not reductive, thus a reductive hull may be not unique (see Example 3 below). Any reductive hull contains the observable hull.

Let us recall that an observable subgroup H of G is said to be a *Grosshans subgroup* if the algebra $K[G/H]$ is finitely generated. The famous Nagata counter-example to Hilbert's fourteenth problem provides an example of a unipotent subgroup in SL_{32} , which is not a Grosshans subgroup, see [Gr97].

DEFINITION 4. — *Let H be a Grosshans subgroup of G . Let us call $G/H \hookrightarrow X = \text{Spec } K[G/H]$ the canonical embedding of G/H and denote it as $CE(G/H)$.*

It is well-known that the codimension of the complement of the open orbit in $CE(G/H)$ is ≥ 2 and $CE(G/H)$ is the only normal affine embedding of G/H with this property [Gr97], Th.4.2. If H is reductive, then $CE(G/H)$ is the trivial embedding. For non-reductive subgroups $CE(G/H)$ is an interesting object canonically associated with the pair (G, H) .

Fix some notation. There exists a canonical decomposition $K[G/H] = K \oplus K[G/H]_G$, where the first term corresponds to the constant functions and $K[G/H]_G$ is the sum of all nontrivial simple G -submodules in $K[G/H]$.

PROPOSITION 6. — *Let H be an observable subgroup in G . The following conditions are equivalent:*

- (1) *a reductive hull of H in G coincides with G ;*
- (2) *any affine embedding of G/H contains a G -fixed point;*
- (3) *$K[G/H]_G$ is a subalgebra in $K[G/H]$.*

If H is a Grosshans subgroup, then conditions (1)-(3) are equivalent to

- (4) *$CE(G/H)$ contains a G -fixed point.*

Proof. — (1) \Rightarrow (2). Suppose that $G/H \hookrightarrow X$ is an affine embedding without G -fixed point and the closed G -orbit in X is isomorphic to G/L . Then L is reductive and by the slice theorem [Lu73] H is contained in a subgroup conjugated to L .

(2) \Rightarrow (1). If $H \subseteq L$, where L is a proper reductive subgroup in G , then H is observable in L and for any affine embedding $L/H \hookrightarrow Y$ the homogeneous fiber space $G *_L Y$ is an affine embedding of G/H without G -fixed point.

(3) \Rightarrow (2). For any affine embedding $G/H \hookrightarrow X$ we have $K[X] = K \oplus K[X]_G$, where $K[X]_G = K[G/H]_G \cap K[X]$. Hence $K[X]_G$ is a maximal G -invariant ideal in $K[X]$ corresponding to a G -fixed point in X .

(2) \Rightarrow (3). Suppose that there are $a, b \in K[G/H]_G$ such that $ab \notin K[G/H]_G$. Let $G/H \hookrightarrow X$ be any affine embedding with $K[X] = K[f_1, \dots, f_n]$. Consider the subalgebra \mathcal{S} of $K[G/H]$ generated by f_1, \dots, f_n ,

$\langle Ga \rangle, \langle Gb \rangle$. Then $G/H \hookrightarrow \text{Spec } \mathcal{S}$ and \mathcal{S}_G is not a subalgebra. But \mathcal{S}_G is the only candidate for a maximal G -invariant ideal in \mathcal{S} .

(2) \Rightarrow (4) and (4) \Rightarrow (3) are obvious. □

Let G be a connected semisimple group and $P \subset G$ be a parabolic subgroup containing no simple component of G . Denote by U_P the unipotent radical of P .

PROPOSITION 7. — *The homogeneous space G/U_P satisfies conditions (1)-(4) of Proposition 6.*

Proof. — It is known that U_P is a Grosshans subgroup of G [Gr97], Th. 16.4. We shall check that $K[G/U_P]_G$ is a subalgebra in $K[G/U_P]$. For this it is sufficient to find a nonnegative grading on $K[G/U_P]$ with $K[G/U_P]_G$ as the positive part.

Let $B = TU$ be a Borel subgroup in G with $B \subseteq P$ and let $P = LU_P$, where L is the Levi subgroup such that $T \subseteq L$ and $U = (U \cap L)U_P$. Denote by $T_L \subset T$ the center of L . Then $T_L = \{t \in T \mid \alpha_i(t) = 1 \forall i\}$, where $\{\alpha_i\}$ is the set of simple roots corresponding to P . Let $\pi : X(T) \rightarrow X(T_L)$ be the restriction homomorphism of the groups of characters, and $X^+(T) \subset X(T)$ be the set of dominant weights (with respect to B). It is easy to check that $\pi(X^+(T))$ generates a strictly convex cone in $X(T_L) \otimes \mathbb{Q}$. Fix a one-parameter subgroup $\theta : K^* \rightarrow T_L$ so that $\langle \theta, \chi \rangle$ is positive for any $\chi \in \pi(X^+(T))$.

Note that L acts on $K[G/U_P]$ as $(l * f)(gU_P) := f(glU_P)$ and this action commutes with the G -action. The L -module $K[G/U_P]_G$ contains no trivial L -submodules because of $K[G/U_P]^L = K[G/P] = K$. On any nontrivial irreducible L -submodule T_L acts by multiplication by $\chi(t)$, $t \in T_L$, for some non-zero $\chi \in \pi(X^+(T))$. The restriction of the T_L -action to $\theta(K^*)$ defines the desired grading. □

Remark. — Let us recall that a subgroup H in G is called *epimorphic* if $K[G/H] = K$. The following generalization of Proposition 7 (and another way to prove it) was kindly communicated to us by F. D. Grosshans: if H is a Grosshans subgroup of G normalized by a maximal torus T and TH is epimorphic in G , then properties (1)-(4) of Proposition 6 hold for G/H . Conversely, for a subgroup C of G containing T the observable hull is reductive. Hence C is epimorphic if and only if C is not contained in a proper reductive subgroup of G . A criterion (in terms of roots) for C to be

epimorphic may be found in [BB92], Prop. 2.

Suppose that the observable hull H_1 of a subgroup H is a Grosshans subgroup. Denote by L a reductive hull of H . Then $H_1 \subseteq L$ and the natural map $G/H_1 \rightarrow G/L$ defines a map $CE(G/H_1) \rightarrow G/L$. This shows that the closed orbit in $CE(G/H_1)$ is isomorphic to G/L . Therefore for any two reductive hulls L_1 and L_2 of H there is an element $g \in G$ such that $L_2 = g^{-1}L_1g$. In fact, a reductive hull is not unique.

Example 3. — Let $G = SL_n$, $L = SO_n$, and H be a maximal unipotent subgroup of L . It is clear that L is a reductive hull of H . One has $H \subset U$ for some maximal unipotent subgroup U in G . There exists a subgroup H_1 such that $H \subset H_1 \subseteq U$, $\dim H_1 = \dim H + 1$ and H is a normal subgroup of H_1 . Consider an element $h_1 \in H_1 \setminus H$. Then $h_1^{-1}Lh_1$ is another reductive hull of H .

8. The case of positive characteristic.

If we follow the proof of Theorem 1 over any algebraically closed field K , also the two cases, (i) and (ii), will appear. The consideration of case (ii) and the proof of Lemma 2 go on without any changes. On the other hand, for every $\omega \in X^+(T)$ the submodule $E(\omega)$ contains a simple G -submodule having highest weight ω , but $E(\omega)$ may be not simple, and a G -algebra of type HV is not determined by the semigroup P .

Example 4. — Suppose that $\text{char } K = 2$, $G = SL_2(K)$ and G acts on $\mathcal{A} = K[x_1, x_2]$ as in Example 1. Then the invariant subalgebras $K[x_1^2, x_2^2]$, or $K[x_1^2, x_2^2, x_1^3x_2, x_1x_2^3]$, are not of the form $\mathcal{A}(P, \lambda)$.

The author does not know a “constructive” description of G -algebras of type HV in the case $\text{char } K > 0$.

For case (i), we need to find an analog of affinely closed spaces in positive characteristic. Suppose that G acts on an affine variety X . The orbit Gx of a point $x \in X$ is not determined (up to G -isomorphism) by the stabilizer $H = G_x$, and it is natural to consider the isotropy subscheme H' at x , with H as the reduced part, identifying Gx and G/H' . There is a natural bijective purely inseparable and finite morphism $\pi : G/H \rightarrow G/H'$ [Hu75], 4.3, 4.6.

PROPOSITION 8. — *The homogeneous space G/H is affinely closed if and only if G/H' is affinely closed.*

Proof. — 1) Note that $K(G/H)^{p^s} \subseteq \pi^*K(G/H')$ and $K[G/H]^{p^s} \subseteq \pi^*K[G/H']$ for some $s \geq 0$, where $p = \text{char } K$ if $\text{char } K > 0$ and $p = 1$ otherwise. If G/H is not affinely closed, then there is a nontrivial affine embedding $G/H \hookrightarrow X$. The algebra $\mathcal{C} := K[X] \cap \pi^*K(G/H')$ is finite over $K[X]^{p^s}$. Hence \mathcal{C} is finitely generated, and $X' := \text{Spec } \mathcal{C}$ contains G/H' as an open subset:

$$\begin{array}{ccc} G/H & \hookrightarrow & X \\ \downarrow \pi & & \downarrow \pi' \\ G/H' & \hookrightarrow & X'. \end{array}$$

On the other hand, the morphism $\pi' : X \rightarrow X'$ defined by the inclusion $\mathcal{C} \subset K[X]$ is finite. This shows that $G/H' \neq X'$.

2) Suppose that G/H' admits a non-trivial affine embedding $G/H' \hookrightarrow X'$. Consider the integral closure \mathcal{B} of $K[X']$ in the field $K(G/H)$. The variety $X = \text{Spec } \mathcal{B}$ carries a G -action with an open G -orbit isomorphic to G/H , and the finite morphism $X \rightarrow X'$ is surjective, hence X is a nontrivial embedding of G/H . \square

DEFINITION 5. — *A reductive subgroup H of the group G is strongly affinely closed if for any affine G -variety X and any point $x \in X$ fixed by H the orbit Gx is closed in X .*

Below we list some results concerning case (i). It follows from the proof of Theorem 1 that:

(1) if H is reductive and any invariant subalgebra in $K[G/H]$ is finitely generated, then G/H is affinely closed;

(2) if G/H is strongly affinely closed, then any invariant subalgebra in $K[G/H]$ is finitely generated.

The following notion was introduced by Serre, cf. [LS03].

DEFINITION 6. — *A subgroup $D \subset G$ is called G -completely reducible (G -cr for short) if whenever D is contained in a parabolic subgroup P of G , it is contained in a Levi subgroup of P .*

For $G = SL(V)$ this notion agrees with the usual notion of complete reducibility. In fact, if G is any of the classical groups then the notions coincide, although for symplectic and orthogonal groups this requires the assumption that $\text{char } K$ is a good prime for G . The class of G -cr subgroups is wide. Some conditions which guarantee that certain subgroups satisfy the G -cr condition may be found in [McN98], [LS03].

The proof of Theorem 2 implies:

(3) if H is not contained in any parabolic subgroup of G , then G/H is strongly affinely closed;

(4) if H does not satisfy (*), then G/H is not affinely closed;

(5) if H is a G -cr subgroup, then G/H is affinely closed iff G/H is strongly affinely closed iff H satisfies (*).

Example 5. — The following example kindly produced by George J. McNinch on our request shows that the group $W(H) = N_G(H)/H$ may be unipotent even for reductive H . Let L be the space of $(n \times n)$ -matrices and H be the image of SL_n in $G = SL(L)$, acting on L by conjugations.

If $p = \text{char } K \mid n$, then L is an indecomposable SL_n -module with 3 composition factors, cf. [McN98], Prop. 4.6.10 a). It turns out that $C_G(H)^0$ is a one-dimensional unipotent group consisting of operators of the form $\text{Id} + aT$, where $a \in K$, and T is a nilpotent operator on L defined by $T(X) = \text{tr}(X)E$.

For example, in the simplest case $p = 2$, we have that $H \cong PSL_2 \subset SL_4$, $N_G(H) = HC_G(H)$ (because H does not have outer automorphisms), $C_G(H)$ is connected, and $W(H) \cong (K, +)$. In this case H is contained in a quasi-parabolic subgroup, hence G/H is not strongly affinely closed.

9. Problems.

In this section we collect some problems that follow naturally from the discussion above.

PROBLEM 1. — *Suppose that $\text{char } K = 0$. Classify all affinely closed homogeneous spaces. Is it true that any affinely closed space is strongly affinely closed?*

PROBLEM 2. — *Let G be a linear algebraic group. Characterize all G -algebras \mathcal{A} such that any invariant subalgebra in \mathcal{A} is finitely generated.*

This class of algebras seems to be much wider than in the reductive case.

PROPOSITION 9. — *Let G be a reductive group, S be a unipotent group, $H \subset G$ be a subgroup satisfying condition (*), and $F \subset S$*

be any closed subgroup. Then any $G \times S$ -invariant subalgebra in $\mathcal{A} = K[(G \times S)/(H \times F)]$ is finitely generated.

Proof. — Fix the notation: $\mathcal{A}_1 = K[G/H]$, $\mathcal{A}_2 = K[S/F]$, \mathcal{B} is an invariant subalgebra in $\mathcal{A} = \mathcal{A}_1 \otimes \mathcal{A}_2$. It is clear that $\mathcal{A}^S = \mathcal{A}_1 \otimes K = \mathcal{A}_1$.

It is sufficient to prove that \mathcal{B} contains no proper invariant ideals. (After this we complete the proof following the proof of Lemma 1.)

Let $\mathcal{I} \subset \mathcal{B}$ be an invariant ideal. By the Lie-Kolchin theorem, $\mathcal{I}^S \neq 0$. Hence \mathcal{I}^S is a non-zero ideal in $\mathcal{B} \cap \mathcal{A}_1$. But any invariant subalgebra in \mathcal{A}_1 contains no proper G -invariant ideals. Therefore, we have $\mathcal{I}^S = \mathcal{B} \cap \mathcal{A}_1$ and \mathcal{I}^S contains constants, thus $\mathcal{I} = \mathcal{B}$. \square

This proof shows that $(G \times S)/(H \times F)$ is an affinely closed homogeneous space.

PROBLEM 3. — *Characterize all affinely closed homogeneous spaces of a linear algebraic group G .*

The last problem concerns canonical embeddings. Let us recall that the modality of a G -variety X is the maximal number of parameters in a continuous family of G -orbits on X , or, more formally,

$$\text{mod}_G(X) = \max_{Y \subseteq X} \text{tr. deg } K(Y)^G,$$

where Y runs through all closed irreducible invariant subvarieties in X .

PROBLEM 4. — *Let H be a Grosshans subgroup of a reductive group G . Find the modality of $CE(G/H)$. In particular, characterize Grosshans subgroups H of G such that $CE(G/H)$ contains a finite number of G -orbits.*

One may suppose that a reductive hull of H is G . Indeed, if a reductive hull of H is L , then, by the slice theorem, $CE(G/H) = G *_L CE(L/H)$ and $\text{mod}_G(CE(G/H)) = \text{mod}_L(CE(L/H))$.

Example 6. — Let $G = SL_n$ and H be the unipotent radical of the maximal parabolic subgroup in G corresponding to the first $(n-2)$ simple roots. It is clear that $CE(G/H) \cong K^n \times \dots \times K^n$ ($(n-1)$ copies) with the diagonal G -action. This space is covered by finitely many locally closed G -invariant subsets S_{i_1, \dots, i_k} , where S_{i_1, \dots, i_k} is the set of $(n \times (n-1))$ -matrices of rank k with linearly independent columns i_1, \dots, i_k . An orbit in S_{i_1, \dots, i_k} depends on $k(n-1-k)$ parameters, which are the coefficients of linear

expressions of the remaining $n - 1 - k$ columns in terms of the columns i_1, \dots, i_k . Hence the maximal number of parameters is

$$\text{mod}_G(CE(G/H)) = s^2 \text{ for } n = 2s + 1$$

and

$$\text{mod}_G(CE(G/H)) = s^2 - s \text{ for } n = 2s.$$

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Ivan V. ARZHANTSEV,
Moscow State University
Department of Mathematics and Mechanics
Chair of Higher Algebra
Vorobievsky Gory
119992, GSP-2, Moscow (Russia).
arjantse@mccme.ru