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EXTENSION PROBLEMS AND STABLE RANK IN COMMUTA-TIVE BANACH ALGEBRAS

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We find some estimations of the stable rank of a complex commutative Banach algebra and use them to compute the stable rank of the polydisc algebras.

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Introduction

Let A be a complex commutative Banach algebra with identity. It is known that the stable rank of A [2] is related to the topology of its spectrum X(A) (see [4] and [5]). In this paper we explicit this relation and we use it to estimate the stable rank of some uniform algebras. In the first section we improve some results of [4] and [5] and use them to reduce the problem of finding the stable rank of A to study the solutions of some algebraic equations in the Gelfand transforms algebra \hat{A} (Theorem 3). Indeed, by means of a theorem of Arens [1] and its generalizations by Novodvorskii [13] and Taylor [18] the problem is reduced, once more, to a homotopy extension result (Theorem 4). As a corollary we prove that the stable rank of a regular algebra A coincides with Vaserstein's number $\lfloor d/2 \rfloor + 1$ where d is the topological dimension of X(A). The first section ends with a result relating the reducibility of an unimodular row in A^{n+1} with some separation properties of its Gelfand transform (Theorem 5). In the second section we prove that the stable rank of the polydisc algebra A(n) of \mathbb{C}^n lies between $\lfloor n/2 \rfloor + 1$ and n (Theorem 6); surprisingly our lower bound coincides with an estimate obtained first by Vasershtein [19, p. 109, the last remark] and then by Gabel [7] and Vaserstein and Suslin [20, Corollary 19.3]. Their methods, of course, are completely different from ours. We prove also that the algebra A(X) of all continuous complex functions on the compact

subset X of the complex plane \mathbb{C} which are holomorphic on its interior, has stable rank one. This is a generalization of the result of [10] and [5, Theorem 1.2], where X is the closed unit disc. In Section 3 we deal with the topological stable rank of a Banach algebra A. This notion, introduced by Rieffel [15] (see also [4] and [5]) is easier to handle than Bass' stable rank. We wish to thank the referee for several useful comments.

§ 1

Let A be a ring with identity and n a positive integer. We call unimodular the elements of the set $U_n(A) = \{a = (a_1, \ldots, a_n) \in A^n; \sum Aa_i = A\}$. We denote by Latin letters the elements of A^n for n > 1 and by Greek letters the elements of A. Thus, $(a, \alpha) \in U_{n+1}(A)$ means that $a \in A^n$, $\alpha \in A$ and $\sum Aa_i + A\alpha = A$; (a, α) is reducible (in A) if there exists $x \in A^n$ such that $a + x\alpha = (a_1 + x_1\alpha_1, \ldots, a_n + x_n\alpha) \in U_n(A)$; A is *n-stable at* $\alpha \in A$ if every $(a, \alpha) \in U_{n+1}(A)$ is reducible. The stable rank of A, denoted by sr(A), is the least n such that A is n-stable at α for every $\alpha \in A$; in other words, sr(A) $\leq n$ if and only if every $(a, \alpha) \in U_{n+1}(A)$ is reducible. Given a left ideal I of A let $H_n(A; I) = \{a \in A^n:$ there exists $\alpha \in I$ with $(a, \alpha) \in U_{n+1}(A)$ }. When I is the left ideal generated by α the symbol $H_n(A; \alpha)$ is used instead of $H_n(A; I)$.

Every ring homomorphism preserving identities $f: A \to B$ induces a mapping $f: U_n(A) \to U_n(B)$. We shall use several times the following fact, proved in [4, Section 3].

Proposition 1.1. Let A be a commutative ring. Then $sr(A) \le n$ if and only if the mapping $U_n(A) \rightarrow U_n(A/I)$, induced by the natural projection $A \rightarrow A/I$, is onto, for every ideal I of A; moreover, it suffices to consider principal ideals.

From now on, only commutative Banach algebras are considered. Then, by [4, Theorem 4] it suffices to consider only *closed* ideals in Proposition 1.1.

Denote by A' the group of units of A. A well-known theorem of Michael [11, 14] states that an epimorphism of Banach algebras $f: A \rightarrow B$ induces a Serre fibration $A \rightarrow B'$; this result and the fibration properties of the map $GL_n(A) \rightarrow U_n(A)$ which sends the invertible matrix s into its first column se_1 prove the next theorem (see [4]).

Theorem 1.2. Let $f: A \rightarrow B$ be an epimorphism of Banach algebras. Then f induces a Serre fibration $f: U_n(A) \rightarrow U_n(B)$. In particular, if $b \in U_n(B)$ belongs to the image V of f, then the connected component of b is contained in V.

In the following $\pi_0(U)$ denotes the set of connected components of U and [u] denotes the connected component of $u \in U$; of course a map $h: U \to U'$ induces a mapping $\pi_0(h): \pi_0(U) \to \pi_0(U')$. In this paper we apply this functor only to open

subsets of Banach spaces, so it concides with the functor 'arc-connected components'. With these notations the second assertion of Theorem 1.2 reads: $b \in V$ if and only if $[b] \in \pi_0(U_n(B))$ belongs to the image of $\pi_0(f)$.

Observe that, for a commutative ring A, $(a, \alpha) \in U_{n+1}(A)$ is reducible if and only if the class \bar{a} of a in $(A/I)^n$ belongs to the image of $U_n(A) \rightarrow U_n(A/I)$ where I is the ideal generated by α . Thus, we get:

Theorem 1.3. Let A be a commutative Banach algebra. Then:

(i) $(a, \alpha) \in U_{n+1}(A)$ is reducible if and only if $[\bar{a}]$ belongs to the image of $\pi_0(U_n(A)) \rightarrow \pi_0(U_n(A/I));$

(ii) A is n-stable at α if and only if the mapping $\pi_0(U_n(A)) \rightarrow \pi_0(U_n(A/I))$ is onto;

(iii) $\operatorname{sr}(A) \leq n$ if and only if the mapping $\pi_0(U_n(A)) \to \pi_0(U_n(A/I))$ is onto for every ideal I of the form $\overline{A\alpha}$. In particular, if $U_n(A/I)$ is connected for every such I then $\operatorname{sr}(A) \leq n$.

The problem of estimating the stable rank of a commutative complex Banach algebra may be transformed into a homotopy extension problem by means of a well-known result of Arens [1] and its generalizations by Novodvorskii [13] and Taylor [18]. Let X(A) denote the spectrum of A, i.e. the set of all non-zero complex homomorphism of A with the weak topology: $h_{\alpha} \rightarrow h$ iff $h_{\alpha}(a) \rightarrow h(a)$ for every a in A; X(A) is a compact Hausdorff space and we consider the supremum norm on the algebra C(X(A)) of all complex continuous functions on X(A). The Gelfand transform $\widehat{}: A \rightarrow C(X(A))$ defined by $\hat{a}(h) = h(a)$, induces a homotopy equivalence $U_n(A) \rightarrow U_n(C(X(A)))$ (see [18]]). In particular, this gives a bijection $\pi_0(U_n(A)) \rightarrow \pi_0(U_n(C(X(A))) = [X(A), S^{2n-1}]$ (where [Z, W] denotes the set of homotopy classes of continuous maps from Z into W). It is easy to see that X(A/I) is homeomorphic to hull $(I) = \{M \in X(A): M \supset I\}$.

If *I* is the closed ideal generated by α , hull(*I*) = { $M \in X(A)$: $\alpha \in M$ }. We denote this space by Z_{α} ; under the usual identification of X(A) with the space of complex homomorphisms of *A*, Z_{α} corresponds to the closed set { $h \in X(A)$: $\hat{\alpha}(h) = h(\alpha) = 0$ }. Finally, the natural map $\pi_0(U_n(A)) \rightarrow \pi_0(U_n(A/I))$ corresponds to the restriction mapping ρ_{α} :[$X(A), S^{2n-1}$] \rightarrow [Z_{α}, S^{2n-1}]. Thus, the last result can be rewritten as follows:

Theorem 1.4. Let A be a complex commutative Banach algebra. Then:

(i) $(a, \alpha) \in U_{n+1}(A)$ is reducible if and only if $[\hat{a} | Z_{\alpha}]$ belongs to the image of ρ_{α} (where $[\hat{c}]$ means the homotopy class of \hat{c});

- (ii) A is n-stable at α if and only if ρ_{α} is onto;
- (iii) $\operatorname{sr}(A) \leq n$ if and only if ρ_{α} is onto for every $\alpha \in A$.

Recall that the hulls of the ideals of A are the closed sets for a topology on X(A), called the hull-kernel topology. A is regular if the hull-kernel and the Gelfand topologies coincide.

Corollary 1.5. Let A be a commutative complex Banach algebra. Suppose that A is regular. Then $sr(A) = \lfloor d/2 \rfloor + 1$ (where $\lfloor r \rfloor$ denotes the greatest integer $\leq r$ and d is the topological dimension of X(A)).

Proof. If A is regular, every closed subset F of X(A) is the hull of some ideal I of A. By Theorems 1.3 and 1.4(iii), $sr(A) \le n$ if and only if $\rho_F : [X(A), S^{2n-1}] \rightarrow [F, S^{2n-1}]$ is onto for every F; this is exactly one way of saying that $[d/2]+1 \le n$ (see [12, p. 208], for example). \Box

Remark. When A = C(X) for a compact space X, this gives a classical theorem of Vaserstein [19], which motivated the study of the stable rank in Banach algebras (see also [15]).

Corollary 1.6. For every complex commutative Banach algebra A it holds $sr(A) \le \lfloor d/2 \rfloor + 1$.

Proof. If ρ_F is onto for every closed subset F of X(A), a fortiori it is onto for F = hull(I) and we apply Theorem 1.4(iii). \Box

Corollary 1.7. Let $(a, \alpha) \in U_{n+1}(A)$. Then (a, α) is reducible in A if and only if $(\hat{a}, \hat{\alpha})$ is reducible in C(X(A)). Furthermore A is n-stable at α if and only if C(X(A)) is n-stable at $\hat{\alpha}$.

Proof. In fact, $(\hat{a}, \hat{\alpha})$ is reducible in C(X(A)) if and only if the homotopy class of $\hat{a} | Z_{\alpha}$ is in the image of ρ_{α} . \Box

Corollary 1.8. Let $(a, \alpha) \in U_{n+1}(A)$. Then (a, α) is reducible in A if and only if for every Banach algebra $B \supset A$ such that X(A) = X(B), (a, α) is reducible in B.

Corollary 1.9. Let $\alpha \in A$. Then A is n-stable at α for every $n \ge \lfloor (d_{\alpha}+1)/2 \rfloor + 1$, where d_{α} is the dimension of Z.

Proof. The condition on *n* is equivalent to $d \le 2n-1$, which implies the triviality of $[Z_{\alpha}, S^{2n-1}]$. It suffices to use Theorem 1.4(ii). \Box

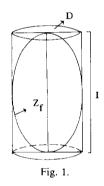
Corollary 1.10. The following conditions are equivalent:

- (i) $U_n(A/I)$ is connected for every closed ideal I;
- (ii) $[Z_{\alpha}, S^{2n-1}]$ is trivial for every $\alpha \in A$;
- (iii) $sr(A) \le n$ and $U_n(A)$ is connected;
- (iv) $\operatorname{sr}(A) \leq n$ and $[X(A), S^{2n-1}]$ is trivial.

Proof. It is a simple combination of Proposition 1.1 and Theorem 1.4. \Box

Example 1.11. It is well known that, if A is n-stable at $\alpha \in A$ for every $\alpha \in A$ then A is (n+1)-stable at α for every $\alpha \in A$ [19]. We show now that this assertion fails in general if the word every is omitted. Taking $A = C(S^{17})$ and $f \in A$ such that $Z_f = S^9 \subset S^{17}$, we get that A is 4-stable at f, because $[Z_{f_s}S^7] = [S^9, S^7]$ is trivial, but A is not 5-stable at f; because $[X(A), S^9] = [S^{17}, S^9] = \mathbb{Z}_2 \oplus \mathbb{Z}_2 \oplus \mathbb{Z}_2$ and $[Z_{f_s}S^9] = [S^8, S^9] = \mathbb{Z}$ so that $[X(A), S^9] \to [Z_{f_s}S^9]$ can not be onto (see [9, last chapter] for the details).

Example 1.12. Given a compact space X and a Banach algebra A let C(X, A) be the algebra of A-valued continuous functions on X. A result of Corach and Larotonda [6, Theorem 5.12] proves that $sr(C(X, A)) \leq \dim(X) + sr(A)$. We show now that, if A is the disc algebra, i.e. the algebra of all continuous functions on the unit disc D which are holomorphic on int(D), then sr(C([0, 1], A)) = 2. By the result quoted above and Corollary 1.10 it suffices to exhibite $f \in C([0, 1], A)$ such that $[Z_f, S^1]$ is not trivial. An example is $f(t)(z) = z^2 - \sin^2 \pi t$ ($z \in D$, $t \in [0, 1]$), for it is easy to see that Z_f is homeomorphic to S^1 , as Fig. 1 shows.



The last result of this section gives several equivalent conditions for an unimodular $(a, \alpha) \in U_{n+1}(A)$ to be reducible.

Theorem 1.13. Let A be a complex commutative Banach algebra. The following conditions on $(a, \alpha) \in U_{n+1}(A)$ are equivalent:

(1) (a, α) is reducible;

(2) there exist $b \in U_n(A)$ and $\beta \in A$ such that $\sum b_i a_i + \beta \alpha = 1$;

(3) there exists $b \in u_n(A)$ such that $\overline{b \cdot a}(Z_\alpha) \subset \{z \in \mathbb{C}^n : \sum z_i = 1\}$ (where $b \cdot a = (b_1a_1, \ldots, b_na_n) \in A^n$);

(4) there exists $b \in U_n(A)$ such that $\widehat{b \cdot a}(Z_\alpha)$ does not separate 0 from ∞ (in \mathbb{C}^n);

(5) there exists $c \in U_n(A)$ such that $\hat{a} = \hat{c}$ on Z_{α} ;

(6) there exist $f_m \in \mathbb{C}(X(A), \mathbb{C}^n_*) = U_n(C(X(A)))$ such that $||f_m - \hat{a}||_{Z_\alpha} \to 0$ (where $||f||_{Z_\alpha} = \sup\{||f(h)||: h \in Z_\alpha\}$).

Proof. (1) \Rightarrow (2). There exists $x \in A^n$ such that $a + x\alpha \in U_n(A)$, so it suffices to take $b \in U_n(A)$ such that $\sum_{i=1}^n b_i(a_i + x_i\alpha) = 1$ and $\beta = \sum b_i x_i$.

(2) \Rightarrow (3). If $\sum b_i a_i + \beta \alpha = 1$, for every $h \in Z_{\alpha}$ it holds that $1 = \sum h(b_i)h(a_i) + h(\beta)h(\alpha) = \sum h(b_i)h(a_i) = \widehat{b \cdot a}(h)$.

 $(3) \Rightarrow (4)$. Trivial.

 $(4) \Rightarrow (2). \text{ Let } r = \sup\{\|z\|: z \in b \cdot z(Z_{\alpha})\} + 1 \text{ and choose } \varphi: [1/2, 1] \rightarrow \mathbb{C}^n - \widehat{b \cdot a}(Z_{\alpha}), \text{ such that } \varphi(1/2) = (r, 0, ..., 0) \text{ and } \varphi(1) = 0. \text{ Define } \gamma_1: [0, 1] \rightarrow \mathbb{C} \text{ by } \gamma_1(t) = 2t \text{ for } t \in [0, 1/2]; \gamma_1(t) = 1 \text{ for } t \in [1/2, 1], \text{ and } \gamma_2: [0, 1] \rightarrow \mathbb{C}^n \text{ by } \gamma_2(t) = (r, 0, ..., 0) \text{ for } t \in [0, 1/2], \gamma_2(t) = \varphi(t) \text{ for } t \in [1/2, 1]. \text{ We must prove that } (\widehat{b \cdot a}, \alpha) \text{ is reducible in } A; \text{ by Theorem 1.4(i) it suffices to show that } \widehat{b \cdot a} \mid Z_{\alpha} \text{ is null-homotopic in } C(Z_{\alpha}, \mathbb{C}^n_*). \text{ For this, define } F(h, t) = \gamma_1(t)\widehat{b \cdot a}(h) - \gamma_2(t); \text{ it is clear that } F \text{ is a homotopy between } \widehat{b \cdot a} \text{ and the constant } (r, 0, ..., 0), \text{ so, it suffices to show that } F(h, t) \in \mathbb{C}^n_* \text{ for every } t \in [0, 1]: \text{ if } 0 \le t \le 1/2, F(h, t) = 2th(b \cdot a) - (r, 0, ..., 0) \text{ and } r = \|(r, 0, ..., 0)\| > |h(b \cdot a)\| \text{ for every } h \in Z_\alpha; \text{ if } 1/2 \le t \le 1 F(h, t) = h(b \cdot a) - \varphi(t) \text{ and } \varphi(t) \notin \widehat{b \cdot a}(Z_\alpha).$

(2) \Rightarrow (1). Observe that $\beta = \sum b_i c_i$ for some $c_i \in A$, so $\sum b_i (a_i + c_i \alpha) = 1$.

(1) \Rightarrow (5). Taking $x \in A^n$ such that $c = a + X\alpha \in U_n(A)$, it is clear $\hat{a} = \hat{c}$ on Z_{α} .

(5) \Rightarrow (6). It suffices to take $f_m = \hat{c} \ (m \in \mathbb{N})$.

 $(6) \Rightarrow (1)$ We shall prove that $(\hat{a}, \hat{\alpha})$ is reducible in C(X(A)) and use Corollary 1.7. By (6) $F_t = \hat{a} + t(f_m - \hat{a})$ defines a path in $H_n(C(X(A)); \hat{\alpha})$: in fact, $F_t(h) \neq 0$ in \mathbb{C}^n if $h \in Z_\alpha$ and *m* is such that $||f_m - \hat{a}||_{Z_\alpha} < \min\{||h(a)||; h \in Z_\alpha\}$. Thus $\hat{a} = F_0$ belongs to the connected component of the unimodular f_m in $H_n(C(X(A)); \hat{\alpha})$ and this means that $[\hat{a}]$ is in the image of $U_n(C(X(A)) \rightarrow U_n(C(X(A))/I))$ where I =closed ideal generated by $\hat{\alpha}$; thus, $(\hat{a}, \hat{\alpha})$ is reducible in C(X(A)) by Theorem 1.3(i). \Box

§ 2

This short section contains some applications of the results just obtained, to the case of some interesting function algebras. In a previous paper [5] (see also [10]), it has been proved that the disc algebra has stable rank 1. We find an estimation for the stable rank of the polydisc algebra A(n) of \mathbb{C}^n .

Theorem 2.1. Let A(n) be the polydisc algebra of \mathbb{C}^n , i.e. the algebra of all continuous functions on $D^n = \{z \in \mathbb{C}^n : |z_i| \le 1, i = 1, ..., n\}$ which are holomorphic on its interior. Then $\lfloor n/2 \rfloor + 1 \le \operatorname{sr}(A(n)) \le n$.

Proof. We prove first that $sr(A(n)) \le n$. For this, it suffices to show that $[Z_g, S^{2n-1}]$ is trivial for every $g \in A(n)$. For g = 0 it is obvious because $X(A(n)) = D^n$, which is contractible. (The fact that X(A(n)) is (homeomorphic to) D^n is an easy 'corona theorem'; see Rudin [16, Theorem 11.7]; for the hard 'corona problem' see Carleson [3].) For $g \ne 0$ it is known that the dimension d_g of Z_g is at most 2n-2 (it is a

combination of a theorem of Cartan and a result of dimension theory which asserts that a k-dimensional subset of S^{2n-1} with k < 2n-1 has no interior). So $[Z_g, S^{2n-1}]$ is trivial.

We prove the other inequality by showing $g \in A(n)$, n > 1, such that $[Z_g, S^{2[n/2]-1}]$ is not trivial. Let $g(z) = z_1 z_2 \cdots z_n - 1$. It is clear that Z_g is homeomorphic to the (n-1)-dimensional torus T^{n-1} , so $[Z_g, S^{2[n/2]-1}] = [T^{n-1}, S^{n-1}]$ for n even and $= [T^{n-1}, S^{n-2}]$ for n odd. Both sets are no trivial [7, last chapter.] \Box

Corollary 2.2. sr(A(1)) = 1 and sr(A(2)) = 2.

In [5, Theorem 3.11] we proved that, for every compact subset X of the complex plane \mathbb{C} , the algebra P(X) (resp. R(X)) of uniform limits of polynomial functions (resp. rational functions without poles on X) has stable rank 1. The next result shows that the same statement holds for A(X), the algebra of continuous complex functions on X which are holomorphic on int(X). This proves a conjecture of [5].

Theorem 2.3. Let X be a compact subset of \mathbb{C} . Then sr(A(X)) = 1.

Proof. Given $(f, g) \in U_2(A(X))$ it suffices to prove that (f, g) is reducible in C(X), by Corollary 1.7. Observe first that $Z_g \cap \overline{\operatorname{int}(X)}$ is zero-dimensional; by Corollary 1.9 $C(\overline{\operatorname{int}(X)})$ is 1-stable at $g|\overline{\operatorname{int}(X)}$ so there exists an extension $F:\overline{\operatorname{int}(X)} \to \mathbb{C}_* = \mathbb{C} - 0$ of $f|Z_g \cap \overline{\operatorname{int}(X)}$. It is clear that the function $H:\overline{\operatorname{int}(X)} \cup Z_g \to \mathbb{C}$ defined by F(x) for $x \in \overline{\operatorname{int}(X)}$ and by f(x) for $x \in Z_g$, is continuous. The dimension of $X - (\overline{\operatorname{int}(X)} \cup Z_g)$ is at most 1 [12, p. 98], so $H \in C(\overline{\operatorname{int}(X)} \cup Z_g, \mathbb{C}_*)$ has an extension $K \in C(X, \mathbb{C}_*)$ [12, p. 54]. \Box

Remark. This theorem and Corollary 1.8 give another proof of the equalities sr(P(X)) = sr(R(X)) = 1. Observe that, if \tilde{X} is the polynomial hull of X, $P(X) = P(\tilde{X}) \subset A(\tilde{X})$.

§ 3

In [4, 5, 15] it is proved that for every Banach algebra A such that $U_n(A)$ is dense in A^n it holds that $sr(A) \le n$. Rieffel defines the *topological stable rank* of A, tsr(A), as the least n such that $U_n(A)$ is dense in A. Herman and Vaserstein prove that sr(A) = tsr(A) for every C*-algebra [8]. We show that the polydisc algebra of \mathbb{C}^n has topological stable rank n+1. This result and Theorem 2.1 show a whole family of Banach algebras whose topological stable ranks are different from their (Bass) stable ranks.

Theoerem 3.1. Let A(n) be the polydisc algebra of \mathbb{C}^n . Then tsr(A(n)) = n+1.

Proof. Let z_i , i = 1, 2, ..., n, be the coordinate functions. We shall prove that $z = (z_1, ..., z_n)$ is not approximable by elements of $U_n(A(n))$. Suppose on the contrary that there exists $f \in U_n(A)$ such that $||f - z|| \le \varepsilon < 1$. Then $F_i : \partial D^n \to \mathbb{C}_*^n$ defined by $F_t(z) = z - t(f(z) - z)$ is a homotopy from z to f (observe that $F_t(z) \in \mathbb{C}_*^n$ because if $z \in \partial D^n$ there is a z_k with $|z_k| = 1$ and $z_k + t(f_k(z) - z_k) = 0$ would imply that $1 = |z_k| = t|f_k(z) - z_k| \le \varepsilon < 1$). The unimodularity of f shows that $G_t(z) = f(tz)$ defines a homotopy $\partial D^n \times [0, 1] \to \mathbb{C}_*^n$ between f and a constant. Thus, $z: \partial D^n \to \mathbb{C}_*^n$ would be null-homotopic, contradiction. The contradiction proves that $tsr(A) \ge n+1$. The other inequality holds for every n-generated commutative Banach algebra but the proof is quite involved.

In the case under consideration, we shall prove that $H_n(A, g)$ is dense in A^n for every $g \in A$. Observe, in general, that $U_{n+1}(A) = \bigcup_{g \in A} H_n(A; g) \times \{g\}$. Given $f = (f_1, \ldots, f_n) \in A^n$ and $\varepsilon > 0$ there exist polynomials p_1, \ldots, p_n such that $||p - f|| < \varepsilon$ where $p = (p_1, \ldots, p_n)$. The smoothness of p implies that $p(Z_g)$ has no interior, so a sequence $\lambda^{(m)} \in \mathbb{C}^n - p(Z_g)$ may be chosen such that $\lambda^{(m)} \to 0$. Then $p - \lambda^{(m)} \in$ $H_n(A; g)$ and $p - \lambda^{(m)} \to p$. \Box

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