

ON THE GROUP OF AUTOMORPHISMS OF AFFINE ALGEBRAIC GROUPS

BY

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ABSTRACT. We study the conservativeness property of affine algebraic groups over an algebraically closed field of characteristic 0 and of their group of automorphisms. We obtain a certain decomposition of affine algebraic groups, and this, together with the result of Hochschild and Mostow, becomes a major tool in our study of the conservativeness property of the group of automorphisms.

1. Introduction. Let G be an affine algebraic group over a field F , with Hopf algebra $\mathcal{Q}(G)$ of polynomial functions on G , in the sense of [2] and let $W(G)$ denote the group of all affine algebraic group automorphisms of G . Then $\mathcal{Q}(G)$ may be viewed as a right $W(G)$ -module, with $W(G)$ acting by composition $f \rightarrow f \circ \alpha$ on $\mathcal{Q}(G)$.

We recall, from [3], that G is said to be *conservative* if $\mathcal{Q}(G)$ is locally finite as a $W(G)$ -module. As is shown in [3], the conservativeness of G characterizes the existence of a suitable affine algebraic group structure on $W(G)$ and the obstruction to the conservativeness of a connected G is realized as the presence of certain central tori in G , when the base field F is algebraically closed and of characteristic 0.

In the present study of $W(G)$, we exploit the above results and technique of [3] and, accordingly, we refer to [2] and [3] for standard facts concerning affine algebraic groups and their automorphism group.

The following are brief descriptions of the contents appearing in each section: In §2, we examine reductive affine algebraic groups and their conservativeness and, in §3, we establish a certain $W(G)$ -invariant decomposition of G when G is conservative. Finally, in §4, we use the result obtained in §3 to study the structure of $W(G)$.

The following notation is standard throughout: Let G be an affine algebraic group. Then G_1 denotes the connected component of the identity element of G and $Z(G)$ the center of G . If $x \in G$, we use I_x to denote the inner automorphism of G that is induced by x , and, for a subset S of G ,

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$\text{Int}_G(S)$ denotes $\{I_x: x \in S\}$. In the case where $S = G$, we simply write $\text{Int}(G)$ instead of $\text{Int}_G(G)$.

2. Reductive groups and conservativeness. For an affine algebraic group G over a field F , let $\mathcal{L}(G)$ denote the Lie algebra of G , and for a morphism $\rho: G \rightarrow H$ of affine algebraic groups, $\mathcal{L}(\rho)$ denotes the Lie algebra homomorphism induced by ρ . Thus $\mathcal{L}(G)$ consists of all F -linear maps $X: \mathcal{Q}(G) \rightarrow F$ such that $X(fg) = X(f)g(1) + f(1)X(g)$ for all $f, g \in \mathcal{L}(G)$, and the map $\mathcal{L}(\rho): \mathcal{L}(G) \rightarrow \mathcal{L}(H)$ is given by $\mathcal{L}(\rho)(X)(f) = X(f \circ \rho)$, $f \in \mathcal{Q}(G)$ and $X \in \mathcal{L}(G)$. For $x \in G$ and $f \in \mathcal{Q}(G)$, we write $x \cdot f$ for the left translate of f by x , which is given by $(x \cdot f)(y) = f(yx)$ for $y \in G$ and define $x/f: W(G) \rightarrow F$ by $(x/f)(\alpha) = f(\alpha(x))$.

With this preparation, we prove the following characterization of conservative reductive affine algebraic groups.

THEOREM 2.1. *Let G be a reductive affine algebraic group over an algebraically closed field F of characteristic 0. Then G is conservative if and only if $\text{Int}(G)$ is of finite index in $W(G)$.*

PROOF. Suppose $\text{Int}(G)$ is of finite index in $W(G)$. Then the Hopf algebra $\mathcal{Q}(G)$ is locally finite as an $\text{Int}(G)$ -module. Since $\text{Int}(G)$ is a normal subgroup of $W(G)$, it is then locally finite as a $W(G)$ -module, proving that G is conservative.

Suppose, conversely, that G is conservative. Thus, by Theorem 2.1, [4], $W(G)$ is an affine algebraic group and its F -algebra $\mathcal{Q}(W(G))$ of polynomial functions on $W(G)$ is generated by the functions x/f , $x \in G$ and $f \in \mathcal{Q}(G)$, and their antipodes.

We first show that the F -space $\mathcal{L}(W(G))$ may be identified with an F -subspace of the space $Z^1(G, \mathcal{L}(G))$ of all nonhomogeneous rational 1-cocycles of G with coefficients in $\mathcal{L}(G)$ relative to the adjoint action of G on $\mathcal{L}(G)$. To do this, we let $\sigma \in \mathcal{L}(W(G))$ and, for each $x \in G$, we define

$$\sigma_x: \mathcal{Q}(G) \rightarrow F$$

by

$$\sigma_x(f) = \sigma(x/x^{-1} \cdot f), \quad f \in \mathcal{Q}(G).$$

Then we see easily that $\sigma_x \in \mathcal{L}(G)$ for all $x \in G$, and we also have

$$(1) \quad \sigma_{xy} = \sigma_x + \text{Ad}(x)(\sigma_y), \quad x, y \in G.$$

To see this, let $\gamma: \mathcal{Q}(G) \rightarrow \mathcal{Q}(G) \otimes \mathcal{Q}(G)$ be the comultiplication of the Hopf algebra $\mathcal{Q}(G)$. For each $f \in \mathcal{Q}(G)$, we write

$$(2) \quad \gamma(f) = \sum_{i=1}^n f_i \otimes g_i, \quad f_i, g_i \in \mathcal{Q}(G).$$

Then we have

$$(3) \quad f(xy) = \sum_{i=1}^n f_i(x) g_i(y) \quad \text{for } x, y \in G.$$

Now let $\alpha \in W(G)$. Then

$$\begin{aligned} (xy / (xy)^{-1} \cdot f)(\alpha) &= f(\alpha(x)\alpha(y)y^{-1}x^{-1}) \\ &= f(\alpha(x)x^{-1} \cdot I_x(\alpha(y)y^{-1})) \\ &= \sum_{i=1}^n f_i(\alpha(x)x^{-1}) g_i(I_x(\alpha(y)y^{-1})) \quad (\text{by (3)}) \\ &= \sum_{i=1}^n (x/x^{-1} \cdot f_i)(\alpha)(y/y^{-1} \cdot (g_i \circ I_x))(\alpha). \end{aligned}$$

That is, we have

$$(4) \quad xy / (xy)^{-1} \cdot f = \sum_{i=1}^n (x/x^{-1} \cdot f_i) \cdot (y/y^{-1}(g_i \circ I_x)).$$

Now

$$\begin{aligned} \sigma_{xy}(f) &= \sigma(xy / (xy)^{-1} \cdot f) = \sigma\left(\sum_{i=1}^n (x/x^{-1} \cdot f_i) \cdot (y/y^{-1}(g_i \circ I_x))\right) \\ &= \sum_{i=1}^n \sigma(x/x^{-1} \cdot f_i) g_i(1) + \sum_{i=1}^n f_i(1) \sigma(y/y^{-1} \cdot (g_i \circ I_x)). \end{aligned}$$

However, we have (using (3))

$$\begin{aligned} x/x^{-1} \cdot f &= \sum_{i=1}^n (x/x^{-1} \cdot f_i) g_i(1), \quad \text{and} \\ y/y^{-1} \cdot (f \circ I_x) &= \sum_{i=1}^n (y/y^{-1} \cdot (g_i \circ I_x)) f_i(1) \end{aligned}$$

Hence

$$\begin{aligned} \sigma_{xy}(f) &= \sigma(x/x^{-1} \cdot f) + \sigma(y/y^{-1} \cdot (f \circ I_x)) = \sigma_x(f) + \sigma_y(f \circ I_x) \\ &= (\sigma_x + \text{Ad}(x)(\sigma_y))(f), \end{aligned}$$

proving (1).

For each $\sigma \in \mathcal{L}(W(G))$, define $\sigma': G \rightarrow \mathcal{L}(G)$ by $\sigma'(x) = \sigma_x$, $x \in G$. Then we easily see that $\sigma' \in Z^1(G, \mathcal{L}(G))$. Since the functions x/f , together with their antipodes, generate $\mathcal{Q}(W(G))$ as an F -algebra, it follows that the F -linear map $\sigma \rightarrow \sigma'$ is injective, under which we identify $\mathcal{L}(W(G))$ with an F -subspace of $Z^1(G, \mathcal{L}(G))$.

We next consider the morphism of affine algebraic groups $\nu: G \rightarrow W(G)$, which is given by $\nu(x) = I_x$, $x \in G$.

We compute the image of $\mathcal{L}(G)$ under the F -linear map $\mathcal{L}(\nu): \mathcal{L}(G) \rightarrow$

$\mathcal{L}(W(G))$, $\mathcal{L}(W(G))$ being identified with an F -subspace of $Z^1(G, \mathcal{L}(G))$.

To do this, we first note that $X(f') = -X(f)$ for all $f \in \mathcal{O}(G)$ and $X \in \mathcal{L}(G)$. This may be seen as follows: Write $\gamma(f) = \sum_{i=1}^n f_i \otimes g_i$ as in (2). Then, by (3),

$$f(1) = f(xx^{-1}) = \sum_{i=1}^n f_i(x) g'_i(x) = \left(\sum_{i=1}^n f_i g'_i \right)(x),$$

which implies that $\sum_{i=1}^n f_i g'_i$ is constant.

Hence

$$\begin{aligned} 0 &= X \left(\sum_{i=1}^n f_i g'_i \right) = \sum_{i=1}^n X(f_i) g'_i(1) + \sum_{i=1}^n f_i(1) X(g'_i) \\ &= X \left(\sum_{i=1}^n f_i g_i(1) \right) + X \left(\sum_{i=1}^n f_i(1) g'_i \right) \\ &= X(f) + X(f') \end{aligned}$$

and $X(f') = -X(f)$ follows.

For $X \in \mathcal{L}(G)$, $x \in G$, and $f \in \mathcal{O}(G)$, we have

$$\mathcal{L}(\nu)(X)(x)(f) = \mathcal{L}(\nu)(X)(x/x^{-1} \cdot f) = X((x/x^{-1} f) \cdot \nu).$$

But $(x/x^{-1} \cdot f) \cdot \nu = \sum_{i=1}^n f_i \cdot (g_i \cdot \nu(x))'$.

Hence

$$\begin{aligned} \mathcal{L}(\nu)(X)(x)(f) &= X \left(\sum_{i=1}^n f_i \cdot (g_i \cdot \nu(x))' \right) \\ &= \sum_{i=1}^n X(f_i)(g_i \cdot \nu(x))'(1) + \sum_{i=1}^n f_i(1) X(g_i \cdot \nu(x))' \\ &= X \left(\sum_{i=1}^n f_i g_i(1) \right) - X \left(\sum_{i=1}^n f_i(1) (g_i \cdot \nu(x)) \right) \\ &= X(f) - X(f \cdot \nu(x)) = (X - \text{Ad}(x)(X))(f). \end{aligned}$$

That is, $\mathcal{L}(\nu)(X)(x) = X - \text{Ad}(x)(X)$, and we see that $\text{Im}(\mathcal{L}(\nu))$ is equal to the subspace $B^1(G, \mathcal{L}(G))$ of $Z^1(G, \mathcal{L}(G))$ consisting of all 1-coboundaries of G .

Since G is reductive, $H^1(G, \mathcal{L}(G)) = 0$. Hence $\text{Im}(\mathcal{L}(\nu)) = B^1(G, \mathcal{L}(G)) = Z^1(G, \mathcal{L}(G))$. Since F is algebraically closed, the surjectivity of $\mathcal{L}(\nu)$ implies that $\text{Im}(\nu) = \text{Int}(G)$ is open in $W(G)$ and hence $\text{Int}(G)$ is of finite index in $W(G)$.

THEOREM 3.2. *Let G be an affine algebraic group over an algebraically closed*

field F of characteristic 0. Then G is conservative if a maximal reductive subgroup of G is conservative.

PROOF. Let G_u denote the unipotent radical of G , and let P be a maximal reductive subgroup of G . Since F is of characteristic 0, a theorem of Mostow (see [2, Theorem 14.2]) assures that we have a semidirect product decomposition $G = G_u \cdot P$. By the conjugacy of maximal reductive subgroups, we may assume that P is conservative, and we have $W(G) = \text{Int}(G) \cdot \mathcal{A}$, where \mathcal{A} is the subgroup of $W(G)$ consisting of all $\alpha \in W(G)$ leaving P invariant.

Let \mathcal{A}_P denote the restriction image of \mathcal{A} in $W(P)$. Then $\text{Int}(P) < \mathcal{A}_P$, and, since P is conservative, $W(P)/\text{Int}(P)$ is finite by Theorem 2.1. It follows that $\mathcal{A}_P/\text{Int}(P)$ is also finite.

From this point on, we can copy the argument used in [3, p. 539] for the proof of conservativeness of G when P is a connected semi-simple algebraic subgroup and conclude that G is conservative. This establishes Theorem 2.2.

3. $W(G)$ -invariant decomposition of G . For a subset \mathcal{A} of $W(G)$, let $G^{\mathcal{A}}$ denote the set consisting of all $x \in G$ such that $\alpha(x) = x$ for all $\alpha \in \mathcal{A}$.

We prove the following result which will then be used in §4 for our study of $W(G)$.

THEOREM 3.1. *Let G be a connected conservative affine algebraic group over an algebraically closed field F of characteristic 0, and let T be the maximal central torus of $W(G)_1$. Then there exists a $W(G)$ -invariant algebraic vector subgroup Z of G such that $G = Z \times G^T$.*

PROOF. If T is trivial, then the assertion holds trivially. Thus we assume that T is of dimension > 1 .

For each $x \in G$, the inner automorphism I_x induced by x commutes with every element of T . Hence, for $\alpha \in T$ and $x \in G$, we have $x^{-1}\alpha(x) \in Z(G)$.

We define, for each $\alpha \in T$, $\eta_\alpha: G \rightarrow Z(G)$ by $\eta_\alpha(x) = x^{-1}\alpha(x)$, $x \in G$.

Then η_α is a morphism of affine algebraic groups. Since G is connected, it follows that $\eta_\alpha(x) \in Z(G)_1$ for all $x \in G$. Now we choose a maximal reductive subgroup P of G so that $G = G_u \cdot P$ (semidirect). We first show that every element of P is T -fixed. To do this, we choose a maximal torus D of P . Then $P = D \cdot P'$, where P' denotes the commutator subgroup of P , and $P' < \text{Ker } \eta_\alpha$ implies that every element of P' is T -fixed. Hence it is enough to show that every element of D is T -fixed. Let K be the maximal torus of $Z(G)$. Then the torus $\eta_\alpha(D)$ is contained in K , and hence we see that every element α of T leaves D invariant. Consider the polynomial map

$$\phi: T \times D \rightarrow D,$$

given by $\phi(\alpha, x) = \alpha(x)$, and define, for each $x \in D$, $\phi_x: T \rightarrow D$ by $\phi_x(\alpha) = \alpha(x)$. Then clearly ϕ_x is a polynomial map. Let $x \in D$ be of order $m < \infty$.

Then $\phi_x(\alpha)$ is also of order m for all $\alpha \in T$. Since D contains only a finite number of elements of order m , it follows from the connectedness of T that $\text{Im } \phi_x = \{x\}$. That is, $\alpha(x) = x$ for all $\alpha \in T$. Since the elements in D of finite order form a dense subset of D , it follows that T leaves every element of D fixed.

Next we show that if U denotes the unipotent radical of $Z(G)$, then $G = U \cdot G^T$. The morphism $\eta_\alpha: G \rightarrow Z(G)$ for $\alpha \in T$ maps G_u into U . Hence η_α induces a morphism $\mu_\alpha: G_u \rightarrow U$ of affine algebraic groups. Let μ_α^0 denote $\mathcal{L}(\mu_\alpha): \mathcal{L}(G_u) \rightarrow \mathcal{L}(U)$. The natural action of T on U determines a T -module structure on the F -space $\mathcal{L}(U)$, and this in turn defines a T -module structure on the F -space $\text{Hom}_F(\mathcal{L}(G_u), \mathcal{L}(U))$.

We then have

$$(1) \quad \mu_\beta^0 = \mu_\beta^0 + \alpha \cdot \mu_\beta^0, \quad \alpha, \beta \in T.$$

To prove (1), we note that $\exp_U \cdot \mu_\alpha^0 = \mu_\alpha \cdot \exp_{G_u}$, where \exp_U, \exp_{G_u} denote the exponential maps for U, G_u , respectively. Hence for $X \in \mathcal{L}(G_u)$,

$$\begin{aligned} \exp \mu_{\alpha\beta}^0(X) &= \mu_{\alpha\beta}(\exp X) = (\exp X)^{-1} \alpha \beta (\exp X) \\ &= (\exp X)^{-1} \alpha (\exp X) \alpha ((\exp X)^{-1} \beta (\exp X)) \\ &= \mu_\alpha(\exp X) \alpha(\mu_\beta(\exp X)) = \exp \mu_\alpha^0(X) \alpha(\exp \mu_\beta^0(X)) \\ &= \exp \mu_\alpha^0(X) \exp(\mathcal{L}(\alpha)(\mu_\beta^0(X))) = \exp(\mu_\alpha^0(X) + \alpha \cdot \mu_\beta^0(X)). \end{aligned}$$

Hence it follows that $\mu_{\alpha\beta}^0(X) = \mu_\alpha^0(X) + \alpha \cdot \mu_\beta^0(X)$, proving (1).

The identity (1) defines a rational T -module structure on the F -space $F \oplus \text{Hom}_F(\mathcal{L}(G_u), U)$, if we define the T -action by $\alpha \cdot (r, \phi) = (r, r\mu_\alpha^0 + \alpha \cdot \phi)$ for $\alpha \in T, r \in F$ and $\phi \in \text{Hom}_F(\mathcal{L}(G_u), \mathcal{L}(U))$. Since T is reductive, the T -submodule $\text{Hom}_F(\mathcal{L}(G_u), \mathcal{L}(U))$ has a 1-dimensional T -invariant complement in $F \oplus \text{Hom}_F(\mathcal{L}(G_u), \mathcal{L}(U))$. This complement contains exactly one element of the form $(1, \phi)$.

Hence $(1, \phi) = \alpha \cdot (1, \phi) = (1, \mu_\alpha^0 + \alpha \cdot \phi)$ for all $\alpha \in T$ and this implies that $\mu_\alpha^0 = \phi - \alpha \cdot \phi, \alpha \in T$.

For each $X \in \mathcal{L}(G_u)$, we have

$$\begin{aligned} \exp \phi(X) &= \exp(\mu_\alpha^0(X) + \alpha \cdot \phi(X)) \\ &= \exp(\mu_\alpha^0(X)) \exp(\mathcal{L}(\alpha)(\phi(X))) \\ &= (\exp X)^{-1} \alpha (\exp X) \alpha (\exp \phi(X)). \end{aligned}$$

Hence $\exp_{G_u} X \cdot \exp_U \phi(X) \in G^T$ for all $X \in \mathcal{L}(G_u)$. Since $\exp_{G_u}(\mathcal{L}(G_u)) = G_u$, it follows that $G_u < U \cdot G^T$, and $p < G^T$ implies $G = U \cdot G^T$.

Now we consider the rational T -module $\mathcal{L}(U)$. Since T is a torus over an algebraically closed field, we may decompose the F -space $\mathcal{L}(U)$ as

$$\mathfrak{L}(U) = \sum_{\chi \neq 1} L_\chi + \mathfrak{L}(U)^T,$$

where L_χ is the weight space $\{X \in \mathfrak{L}(U): \alpha \cdot X = \chi(\alpha)X \text{ for all } \alpha \in T\}$ corresponding to the weight $\chi: T \rightarrow F^*$, and $\mathfrak{L}(U)^T$ is the T -fixed part of $\mathfrak{L}(U)$.

Since T is a normal subgroup of $W(G)$, $W(G)$ permutes the weights of T in $\mathfrak{L}(U)$. Hence the F -subspace $Z = \sum_{\chi=1} L_\chi$ is $W(G)$ -invariant. Let $Z = \exp_U Z$. Then $U = Z \times U^T$ and this implies that $G = Z \times G^T$ follows. Clearly Z is $W(G)$ -invariant and the theorem is proved.

REMARK. Since T is a normal subgroup of $W(G)$, it follows that G^T is also $W(G)$ -invariant. As we will see in §4, T is central in $W(G)$ and, in fact, a direct factor of $W(G)$.

4. Decomposition and conservativeness of $W(G)$.

THEOREM 4.1. *Let G be a conservative connected affine algebraic group over an algebraically closed field F of characteristic 0. Then the maximal central torus of $W(G)_1$ is of dimension ≤ 1 and is a direct factor of $W(G)$.*

PROOF. Let T be the maximal central torus of $W(G)_1$, and assume that T is nontrivial. Then we have a $W(G)$ -invariant decomposition $G = Z \times G^T$ (Theorem 3.1). Hence we have $W(G) \simeq W(Z) \times W(G^T)$ as affine algebraic groups and the restriction map $T \rightarrow W(Z)$ is injective.

Let \mathfrak{z} denote the Lie algebra of Z . Then the affine algebraic group $W(Z)$ may be identified with the affine algebraic group $GL(\mathfrak{z})$ of all F -linear automorphisms of \mathfrak{z} . Since F is algebraically closed, the center of $W(Z)$ is a 1-dimensional torus and is a direct factor of $W(Z)$. Since every element of $W(Z)$ can be extended to an element of $W(G)$, we see easily that the restriction map sends T isomorphically onto the center of $W(Z)$. Hence our assertion follows.

In [2], Hochschild proved that, if G is a nonabelian unipotent affine algebraic group, then the maximal central torus of $W(G)_1$ is trivial and hence that $W(G)_1$ is conservative. The assertion does not hold for arbitrary solvable affine algebraic groups (see the example in [2, p. 111]).

The following theorem characterizes those nonabelian solvable groups G for which $W(G)_1$ is conservative.

THEOREM 4.2. *Let G be a connected conservative solvable nonabelian affine algebraic group over an algebraically closed field of characteristic 0. Then the following are equivalent:*

- (i) $W(G)_1$ is conservative.
- (ii) The connected component of the center of $W(G)_1$ is unipotent (i.e. $T = 1$).

(iii) G cannot be a product $G = Z \times H$ of a nontrivial algebraic vector subgroup Z and an algebraic subgroup H , both of which are invariant under $W(G)$.

PROOF. (iii) \rightarrow (ii) follows from Theorem 3.1 and the subsequent remark.

(ii) \rightarrow (iii) holds because of the decomposition $W(G) = W(Z) \times W(H)$.

(ii) \rightarrow (i) follows from Theorem 3.2 of [4].

It remains to show (i) \rightarrow (ii).

Let K be a maximal torus of G so that $G = G_u \cdot K$ (semidirect).

If K is trivial, then G is unipotent and nonabelian, and hence (ii) holds (see [2, p. 110]).

(1) Suppose $\dim K \geq 2$. Then the maximal central torus of G is trivial by Theorem 3.2 [4] and this implies that the torus $\text{Int}_G(K) \simeq KZ(G)/Z(G)$ is of dimension ≥ 1 . Since $\text{Int}(G)$ is a normal algebraic subgroup of $W(G)$, it follows that the algebraic torus $\text{Int}_G(K)$ is contained in the radical of $W(G)_1$ and hence is central in a maximal reductive group containing it. Since $W(G)_1$ is conservative, (ii) follows from Theorem 3.2 of [3].

(2) Suppose $\dim K = 1$. If K is central in G , then $G = G_u \times K$, and hence $W(G) \simeq W(G_u) \times Z_2$. Since G_u is nonabelian, (ii) follows immediately.

Therefore we may assume that the identity component of the center of G is unipotent. Then $\text{Int}_G(K)$ is a 1-dimensional torus. Assume that (ii) does not hold, and let T be the maximal central torus of $W(G)_1$. Then $T \cap \text{Int}_G(K) = \{1\}$, for if $\alpha \in T$ is of the form $\alpha = I_x$ for some $x \in K$, then the decomposition $G = Z \times G^T$ in Theorem 3.1 implies that $\alpha = 1$.

Since T centralizes $\text{Int}_G(K)$, it follows that $T' = T \cdot \text{Int}_G(K)$ (direct) is an algebraic torus of dimension 2.

Since T' is contained in the radical of $W(G)_1$, it follows that T' is central in a maximal reductive subgroup containing T' . (See [1, Chapter III].) Hence again by Theorem 3.2 of [3], $W(G)_1$ cannot be conservative, contradicting (i). Therefore $T = \{1\}$ and (ii) is proved.

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