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**Analytic Functions with Some Derivatives Univalent
and a Related Conjecture**

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Funzioni di variabile complessa. — *Analytic Functions with Some Derivatives Univalent and a Related Conjecture.* Nota di SWARUPCHAND M. SHAH, presentata (*) dal Socio G. SANSONE.

RIASSUNTO. — L'Autore dimostra che se f è una funzione analitica nel disco unitario D , se la successione $\{n_p\}$ è tale che $0 = n_0 < n_1 < \dots < n_p < \dots$, se ogni $f^{(n_p)}$ è univalente su D , si possono allora assegnare condizioni sufficienti perché la f sia una funzione intera di tipo esponenziale.

1. INTRODUCTION

Let f be regular in the unit disk $D = \{z \mid |z| < 1\}$ and let $\{n_p\}_{p=1}^\infty$ be a strictly increasing sequence of positive integers. Suppose that each $f^{(n_p)}$ is univalent in D . If

$$(1.1) \quad n_{p+1} - n_p = o(n_p),$$

Shah and Trimble [4] have shown that f must be entire (that is, f must be the restriction of an entire function to D). If

$$(1.2) \quad \limsup_{p \rightarrow \infty} (n_{p+1} - n_p) = \mu < \infty,$$

then f must be entire and of exponential type $T (= \limsup_{r \rightarrow \infty} \log M(r, f)/r)$ satisfying [5]

$$(1.3) \quad T \leq (.384) (\mu + 1)^{7/2}.$$

We improve and extend these results.

In analogy with Müntz theorem in Approximation theory, it was conjectured [6] that if $\sum 1/n_p = \infty$, then f must be entire. In Section 2 we give an example to disprove this conjecture. We assume, in what follows, that (i) f is regular in D , (ii) $\{n_p\}_{p=1}^\infty$ is a strictly increasing sequence of positive integers, (iii) $n_0 = 0$, and (iv) each $f^{(n_p)}$ is univalent in D . If f is entire and $T < \infty$, then f is called a function of exponential type.

THEOREM 1. *Let*

$$(1.4) \quad \eta_p = \sum_{j=1}^p \log \{(n_j - n_{j-1})!\} \quad , \quad \xi_p = \left(\log n_p - \frac{\eta_p}{n_p} \right), \quad p = 1, 2, \dots,$$

$$(1.5) \quad \limsup_{p \rightarrow \infty} \frac{\eta_p}{n_p} = \eta \quad , \quad \limsup_{p \rightarrow \infty} \inf \frac{\xi_p}{n_p} = \begin{cases} \theta \\ \varphi \end{cases}.$$

(*) Nella seduta del 13 novembre 1976.

Then we have the following:

- (i) If $\lim_{p \rightarrow \infty} \xi_p = \infty$, then f is entire.
- (ii) If $\eta < \infty$, then $\theta \geq \varphi > 0$ and f is an entire function of exponential type T satisfying

$$(1.6) \quad T \leq \exp \left\{ \theta \log C + \eta \left(2 - \frac{\varphi}{\theta} \right) + 2 \theta \log \left(1 + \frac{1}{\theta} \right) \right\},$$

where $C, 1 \leq C \leq 1.0691$, is a constant.

- (iii) If $\eta = \infty$ and $\lim_{p \rightarrow \infty} \xi_p = \infty$, then f is entire but not necessarily of exponential type.
- (iv) If $\liminf_{p \rightarrow \infty} \xi_p < \infty$, then f may not be an entire function.

In this theorem we have not assumed that μ is finite. If we make this assumption, then we have better results than (1.3) and (1.6).

THEOREM 2. Let $\limsup_{p \rightarrow \infty} (n_{p+1} - n_p) = \mu$. Then we have the following:

- (i) If $\mu = 1$, $T < 2\sqrt{3} < 3.4642$.
- (ii) If $\mu < \infty$ then $\eta < \infty$ and
- $$(1.7) \quad T \leq \exp \left\{ \theta \log C + \eta + 2 \theta \log \left(1 + \frac{1}{\theta} \right) \right\}$$
- $$(1.8) \quad \leq C^0 \{(\mu + 1)! (\mu + 1)\}^{1/\mu} < \max (6.1227, \mu).$$
- (iii) If $n_{p+1} - n_p \rightarrow \mu$ as $p \rightarrow \infty$ then
- $$(1.9) \quad T \leq \{C (\mu + 1)! (\mu + 1)\}^{1/\mu} < \max (5.4064, \mu).$$

The proofs of these theorems will be given in Sections 3 and 4. For a bound on C , see [2].

2. EXAMPLE 1

We construct a sequence $\{n_p\}_{p=1}^{\infty}$ and a function f such that f is regular in D , each $f^{(n_p)}$ univalent in D , $\sum 1/n_p = \infty$, and f has a singular point at 1. We follow the definitions η_p , η , etc. given in (1.4) and (1.5) and write for notational convenience $n_p = n(p)$, $a_k = a(k)$.

Let $\{M_k\}_{k=1}^{\infty}$ be any rapidly increasing sequence of positive integers such that $M_{k+1} \geq k 2^{M_k}$, $M_1 = 10^2$. Let

$$\begin{aligned} n(k) &= k, & 1 \leq k < M_1, \\ n(M_k + j) &= 2^{M_k} + j, & 0 \leq j < M_{k+1} - M_k, \\ n(M_{k+1}) &= 2^{M_{k+1}}, & k = 1, 2, \dots \end{aligned}$$

Then

$$(2.1) \quad \sum \frac{1}{n(p)} = \infty.$$

For if the series is convergent, then since $n(p) \uparrow$, we must have $p = o(n_p)$. But when $p = M_{k+1} - M_k - 1$, $(M_k + p)/n(M_k + p) \rightarrow 1$ as $k \rightarrow \infty$. Hence the series in (2.1) is divergent. Further,

$$(2.2) \quad \theta = 1, \quad \varphi = 0.$$

Let (cf. [5, p. 399])

$$(2.3) \quad \begin{aligned} a_{k+1} &= \exp(\eta_p)/2^{p-1}(1+n_p)!, & \text{if } k = n_p, \\ &= 0 & \text{otherwise; } p = 1, 2, \dots, \end{aligned}$$

$$f(z) = \sum_{k=1}^{\infty} a_k z^k.$$

We prove that the radius of convergence R of this series is 1. Now for $p \geq 1$,

$$\exp(\eta_p) = (n_p - n_{p-1})! \cdots (n_1 - n_0)! < (1 + n_p)!$$

and so $0 \leq a_k < 1$. Hence $R \geq 1$. Further

$$(2.4) \quad \log \{n(M_{k+1}) - n(M_{k+1} - 1)\}! = 2^{M_{k+1}} M_{k+1} \log 2 - 2^{M_{k+1}} + O(M_{k+1}^2),$$

and

$$(2.5) \quad \sum_{p=1}^{M_k} \log \{n(p) - n(p-1)\}! = O(M_k 2^{M_k}).$$

Hence

$$(2.6) \quad \eta(M_{k+1}) = 2^{M_{k+1}} M_{k+1} \log 2 - 2^{M_{k+1}} + O(M_{k+1}^2).$$

Consequently, for $N = n_p$, $p = M_{k+1}$,

$$\begin{aligned} \frac{\log a(N+1)}{N+1} &= \frac{1}{n_p+1} \{ \eta_p - p \log 2 - (n_p+1) \log(n_p+1) + \\ &\quad + n_p + O(\log n_p) \} = O(M_{k+1}^2)/2^{M_{k+1}} = o(1). \end{aligned}$$

This implies $R = 1$. Since $a_k \geq 0$, f has a singular point at 1. We now show that each $f^{(n_p)}$ is univalent in D . This would follow if we show that (cf. [5, p. 400])

$$\sum_{k=2}^{\infty} \frac{(n_p+k)! |a(n_p+k)|}{(k-1)!} \leq (n_p+1)! |a(n_p+1)|,$$

that is, if

$$(2.7) \quad \frac{\exp(\eta_{p+1} - \eta_p)}{2(n_{p+1} - n_p)!} + \frac{\exp(\eta_{p+2} - \eta_p)}{2^2(n_{p+2} - n_p)!} + \dots \leq 1.$$

Now

$$\exp(\eta_{p+1} - \eta_p) = (n_{p+1} - n_p)!$$

$$\exp(\eta_{p+2} - \eta_p) = (n_{p+2} - n_{p+1})! (n_{p+1} - n_p)! \leq (n_{p+2} - n_p)!$$

and so on. Hence (2.7) follows, and so each $f^{(n_p)}$ is univalent in D.

3. PROOF OF THEOREM I

(i) Let $f(z) = \sum_{k=0}^{\infty} a_k z^k$, $z \in D$. Since $f^{(n_p)}$ is univalent in D, we have for $p = 1, 2, \dots$ and for $k = 2, 3, \dots$ [4],

$$(3.1) \quad |a(n_p + k)| \leq \frac{Ckk!(n_p + 1)!}{(n_p + k)!} |a(n_p + 1)|.$$

After some simplification [4] we have

$$(3.2) \quad \limsup_{k \rightarrow \infty} |a_k|^{1/k} \leq K \limsup_{p \rightarrow \infty} \frac{1}{n_p} \sum_{j=1}^{p-1} (n_{j+1} - n_j + 1)^{(n_{j+1} - n_j)/n_p}$$

where K is a constant. Denote the product in (3.2) by ξ_p^* . Then

$$\begin{aligned} \log \xi_p^* &= \frac{1}{n_p} \sum_{j=1}^{p-1} (n_{j+1} - n_j) \{\log(n_{j+1} - n_j + 1)\} \leq \\ &\leq \frac{1}{n_p} \sum_{j=1}^{p-1} (n_{j+1} - n_j) \{\log 2 + \log(n_{j+1} - n_j)\} \leq \\ &\leq \frac{1}{n_p} \left\{ (\log 2) n_p + \sum_{j=1}^{p-1} (n_{j+1} - n_j) \log(n_{j+1} - n_j) \right\}. \end{aligned}$$

Now for $n \geq 1$, $n \log n \leq +n \log n! - 1$. Hence

$$\begin{aligned} \sum_{j=1}^{p-1} (n_{j+1} - n_j) \log(n_{j+1} - n_j) &< \sum_{j=1}^{p-1} \{(n_{j+1} - n_j) + \log((n_{j+1} - n_j)!) - 1\} \\ &= n_p - n_1 + \eta_p - (p - 1). \end{aligned}$$

Hence

$$(3.3) \quad 0 \leq \log \xi_p^* \leq \log 2 + 1 + \frac{\eta_p}{n_p},$$

$$\limsup_{p \rightarrow \infty} \frac{\xi_p^*}{n_p} \leq 2e \limsup_{p \rightarrow \infty} \frac{1}{n_p} \exp \left(\frac{\eta_p}{n_p} \right) =$$

$$= 2e \limsup_{p \rightarrow \infty} \exp \left(\frac{\eta_p}{n_p} - \log n_p \right).$$

Hence from (3.2), (3.3) and our hypothesis, it follows that f must be entire.

(ii) We first prove the following

LEMMA. Let $\{n_p\}_1^\infty$ be any strictly increasing sequence of positive integers and let η_p, η, θ and φ be as in (1.4) and (1.5). If $\eta < \infty$ then $\varphi > 0$.

Proof. Suppose if possible that $\varphi = 0$. Since $\limsup_{p \rightarrow \infty} n_p/p = \infty$, given $H > n_1$, there must be some p such that $(n_p - n_{p-1}) \geq H$. Further, there exists $\{p_k\}_1^\infty$ such that $n(p_k)/p_k > 2H$ for $k = 1, 2, \dots$. Write $p_k = P$ and let $E = \{p \mid n_p - n_{p-1} \geq H, p \leq P\}$. Then

$$\frac{n(P)}{P} = \frac{1}{P} \sum_{p \in E} (n_p - n_{p-1}) + \frac{1}{P} \sum_{\substack{p \notin E \\ p \leq P}} (n_p - n_{p-1}) = T_1 + T_2 \quad \text{say.}$$

Since $T_2 \leq H$ and $n(P)/P > 2H$, $T_1 > H$; that is,

$$\frac{n(P)}{P} = T_1 + T_2 < 2T_1 = \frac{2}{P} \sum_{p \in E} (n_p - n_{p-1}).$$

Now for all $n \geq 1$, $\log n! \geq \frac{1}{2} n \log n$ and so

$$\frac{\eta_p}{n_p} > \frac{1}{4} \frac{\sum_{p \in E} (n_p - n_{p-1}) \log (n_p - n_{p-1})}{\sum_{p \in E} (n_p - n_{p-1})} > \frac{\log H}{4}.$$

Hence $\eta = \infty$, leading to a contradiction, and the lemma is proved.

We now prove (1.6). From (3.1) we have for $2 \leq k \leq n_{p+1} - n_p + 1$, $p = 1, 2, \dots$ [4, p. 209],

$$(3.4) \quad |a(n_p + k)| (n_p + k)! \leq C^p D^* k k! \prod_{j=1}^{p-1} (n_{j+1} - n_j + 1) (n_{j+1} - n_j + 1)!$$

$$= C^p D^* k k! \exp(\eta_p) \prod_{j=1}^{p-1} (n_{j+1} - n_j + 1)^2.$$

Here D^* is a constant. We now use the inequality for $k!$, $k \geq 2$,

$$k! \geq A \sqrt{k} \left(\frac{k}{e} \right)^k, \quad A \text{ a positive constant,}$$

and obtain

$$(3.5) \quad t_p \equiv \frac{n_p + k}{e} |a(n_p + k)|^{1/(n_p + k)} \leq \left[\left(\frac{C^p D^* k}{A \sqrt{n_p + k}} \right) k! \exp(\eta_p) \right]^{1/(n_p + k)} l_p,$$

where

$$l_p = \prod_{j=1}^{p-1} (n_{j+1} - n_j + 1)^{2/(n_p + k)}.$$

Now

$$(3.6) \quad (k!)^{1/(n_p + k)} < (1 + o(1)) \left(\frac{k}{e} \right)^{k/(n_p + k)} = \\ = (1 + o(1)) \exp \left\{ \frac{k}{n_p + k} (\log k - 1) \right\} \leq \\ \leq (1 + o(1)) \exp \left\{ \left(\frac{n_{p+1} - n_p + 1}{n_{p+1} + 1} \right) \log \frac{n_{p+1} - n_p + 1}{e} \right\},$$

since $k(\log k - 1)/(n_p + k)$ increases with k . Further,

$$(3.7) \quad \left(\frac{n_{p+1} - n_p + 1}{e} \right)^{n_{p+1} - n_p + 1} < \frac{1}{A \sqrt{n_{p+1} - n_p + 1}} (n_{p+1} - n_p + 1)! = \\ = \frac{\sqrt{n_{p+1} - n_p + 1}}{A} \exp(\eta_{p+1} - \eta_p).$$

Also by Jensen's inequality

$$\exp \left\{ \frac{1}{p-1} \sum_2^p \log(n_j - n_{j-1} + 1) \right\} < \\ < \frac{1}{p-1} \sum_2^p (n_j - n_{j-1} + 1) = 1 + \frac{n_p - n_1}{p-1}.$$

Consequently

$$l_p \leq \exp \left\{ \frac{2(p-1)}{n_p - n_1} \log \left(1 + \frac{n_p - n_1}{p-1} \right) \right\}.$$

Now $(2/x) \log(1+x) \downarrow$ in $(0, \infty)$. Hence for $p > p_0(\varepsilon)$,

$$(3.8) \quad l_p \leq \exp \left\{ 2(\theta + \varepsilon) \log \left(1 + \frac{1}{\theta + \varepsilon} \right) \right\}.$$

Hence for $p > p_1$

$$t_p \leq C^{(\theta + \varepsilon)} (1 + \varepsilon) \exp \left\{ \frac{\eta_{p+1} - \eta_p}{n_{p+1} + 1} + \frac{\eta_p}{n_p + k} + 2(\theta + \varepsilon) \log \left(1 + \frac{1}{\theta + \varepsilon} \right) \right\} \leq \\ \leq (1 + \varepsilon) \exp \left\{ (\theta + \varepsilon) \log C + (\eta + \varepsilon) \left(2 - \frac{\varphi - \varepsilon}{\theta + \varepsilon} \right) + 2(\theta + \varepsilon) \log \left(1 + \frac{1}{\theta + \varepsilon} \right) \right\}$$

and so

$$(3.9) \quad \limsup_{p \rightarrow \infty} t_p \leq \exp \left\{ \theta \log C + \eta \left(2 - \frac{\varphi}{\theta} \right) + 2 \theta \log \left(1 + \frac{1}{\theta} \right) \right\}.$$

Hence if ρ denotes the order of f , then $\rho \leq 1$. If $\rho < 1$ then $T = 0$ and (1.6) is trivially true, and if $\rho = 1$ then (3.9) gives, with the help of a known formula for the type [1, p. 11] the inequality (1.6).

(iii) From (i) it follows that f is entire. We now show that given any sequence $\{n_p\}_{p=1}^{\infty}$ satisfying the hypotheses in (iii), there exists an entire function of maximal type such that each $f^{(n_p)}$ is univalent in D .

Example 2. Let $\{n_p\}_{p=1}^{\infty}$ be a sequence satisfying $\eta = \infty = \lim_{p \rightarrow \infty} \xi_p$.

We follow the notations n_0, η_p, η defined in Theorem 1. Let

$$\begin{aligned} a_{k+1} &= \exp(\eta_p)/2^{p-1}(1+n_p)!, & k &= n_p \\ &= 0, & & \text{otherwise } p = 1, 2, \dots, \end{aligned}$$

and let

$$(3.10) \quad f(z) = \sum_1^{\infty} a_k z^k = a(n_1+1)z^{n_1+1} + a(n_2+1)z^{n_2+1} + \dots.$$

Then

$$\begin{aligned} (3.11) \quad |a(n_p+1)|^{1/(n_p+1)} &= \exp \left\{ \frac{1}{n_p+1} (\eta_p - p \log 2 - n_p \log n_p + n_p) + O(1) \right\} \leq \\ &\leq \exp \left\{ \frac{1}{n_p} (\eta_p - n_p \log n_p) + O(1) \right\} \end{aligned}$$

which tends to zero. Hence f is entire. Further,

$$\begin{aligned} \limsup_{k \rightarrow \infty} k |a_k|^{1/k} &= \limsup_{p \rightarrow \infty} (n_p+1) \{a(n_p+1)\}^{1/(n_p+1)} = \\ &= \limsup_{p \rightarrow \infty} \exp \left\{ \log(n_p+1) + \frac{\eta_p - n_p \log n_p}{n_p} + O(1) \right\} = \\ &= \infty. \end{aligned}$$

Hence $T = \infty$. The univalence, of $f^{(n_p)}$ ($p = 1, 2, \dots$) in D , follows as in Example 1.

Remark. Given any sequence $\{n_p\}_{p=1}^{\infty}$ we can always construct an entire function f of exponential type such that each $f^{(n_p)}$ is univalent in D . We need simply take a function of the form (3.10) with coefficients $a(n_p+1) \neq 0$ and tending to zero sufficiently rapidly.

(iv) *Example 3.* We define f , as in Example 2 and assume that $\liminf_{p \rightarrow \infty} \xi_p < \infty$. Then (3.11) shows that the function f defined by (3.10) is not entire. As in Example 1, each $f^{(n_p)}$ is univalent in D .

This completes the proof.

4. PROOF OF THEOREM 2

(i) The hypothesis implies that there exists an integer $N \geq 1$ such that $f^{(n)}$ is univalent for all $n \geq N$. Now the proof is similar to that of Theorem 1 of [3].

(ii) We have $n_{p+1} - n_p \leq \mu$ for $p \geq p_0$. Given $\varepsilon > 0$, there is $p_1(\varepsilon) \geq p_0$ such that (see (3.5))

$$(4.1) \quad t_p < C^{(0+\varepsilon)} (1 + \varepsilon) \exp(\gamma_p/n_p) l_p.$$

We now use (3.8) and obtain (1.7). To prove (1.8) we require the following two inequalities.

(a) If $a_j \geq 0, t_j \geq 0, \sum t_j > 0$ and $\max_{1 \leq j \leq N-1} \left(\frac{a_j}{j} \right) \leq \frac{a_N}{N}$, then

$$(4.2) \quad \frac{\sum_{j=1}^N a_j t_j}{\sum_{j=1}^N j t_j} \leq \frac{a_N}{N}.$$

The proof is straightforward.

(b) For $j = 1, 2, \dots, \mu; \mu = 1, 2, \dots,$

$$(4.3) \quad \frac{\log j! + 2 \log(j+1)}{j} \leq \frac{\log \mu! + 2 \log(\mu+1)}{\mu}.$$

This is equivalent to proving that

$$(\mu+1)^{2\mu-2} \geq \mu! \mu^\mu,$$

and the last inequality can be verified for $\mu = 1, 2, \dots, 5$ and is easy to prove for $\mu \geq 6$. Let $p > p_0$ and $n_{j+1} - n_j = \gamma, t_\gamma$ times for j in $[p_0, p]$, $\gamma = 1, 2, \dots, \mu$. Then

$$(4.4) \quad \frac{\sum_{p_0}^{p-1} \{\log(n_{j+1} - n_j)! + 2 \log(n_{j+1} - n_j + 1)\}}{\sum_{p_0}^{p-1} (n_{j+1} - n_j)} =$$

$$= \frac{\sum_{\gamma=1}^{\mu} t_\gamma \{\log \gamma! + 2 \log(\gamma+1)\}}{\sum_{\gamma=1}^{\mu} \gamma t_\gamma} \leq \frac{\log \mu! + 2 \log(\mu+1)}{\mu}$$

by using (4.2) and (4.3). Now

$$\log \left\{ \exp \frac{\gamma_p}{n_p + k} l_p \right\} \leq \frac{1}{n_p} \sum_{j=1}^{p-1} \log \{ (n_{j+1} - n_j)! + 2 \log (n_{j+1} - n_j + 1) \}$$

and the first part of (1.8) follows from (3.5) and (4.4).

To prove the second part, we verify $C \{(\mu + 1)! (\mu + 1)\}^{1/\mu} < 6.1227$ for $\mu = 1, \dots, 6$ and prove that it is less than μ for $\mu \geq 7$.

(iii) The proof is similar to that of part (ii) and omitted.

The proof of the theorem is complete.

5. REMARKS

(i) There are sequences $\{n_p\}$ for which (1.1) does not hold but $\lim_{p \rightarrow \infty} \xi_p = \infty$ and so Theorem 1 (i) applies.

Example 4. Let $\{M_k\}$ be as in Example 1. Define $n(k) = k$, $1 \leq k \leq M_1$

$$n(M_k + j) = 2n(M_k) + (j - 1), \quad 1 \leq j \leq M_{k+1} - M_k, \quad k = 1, 2, \dots$$

Then

$$\limsup_{p \rightarrow \infty} \inf \frac{n_{p+1}}{n_p} = \begin{cases} 2 \\ 1 \end{cases}, \quad \lim_{p \rightarrow \infty} \xi_p = \infty.$$

(ii) There are sequences $\{n_p\}$ for which (1.2) does not hold but $\eta = 0$, $\theta = \varphi = 1$ and so Theorem 1 (ii) applies.

Example 5. Let $c > 1$, $M_k = \max \{[k^c], M_{k-1} + 1\}$, $M_1 = 10^2$; $n_1 = 1$

$$\begin{aligned} n_p - n_{p-1} &= 1, & \text{if } p \neq M_k \\ &= [\log \log p], & \text{if } p = M_k, \quad k = 1, 2, \dots; p = 2, 3, \dots \end{aligned}$$

Then $\limsup_{p \rightarrow \infty} (n_p - n_{p-1}) = \infty$, $\eta = 0$, $\theta = \varphi = 1$. From (1.6) we get, for any function f regular in D for which each $f^{(n_p)}$ is univalent in D , $T \leq 4C$.

(iii) It is easy to verify that the bound for T given by (1.3) is greater than the bound for T given by Theorem 2 ((i) for the case $\mu = 1$ and (ii) for the case $\mu > 1$). Thus for $\mu = 2$, (1.3) gives $T < 17.9580$ whereas (1.8) gives $T < 4.5359$. For $\mu \geq 11$, (1.8) gives $T < (3/4)\mu$.

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