

On Mean Approximation of Holomorphic Functions

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This paper is concerned with extensions of results found in [3]. We shall consider the problem of approximating by certain rational functions, elements of the Banach space $A_{r,p}(V)$ with norm $\| \cdot \|_{V,r,p}$ corresponding to a bounded open subset V of the complex plane \mathbf{C} and a pair of real numbers $r \leq 0$ and $1 \leq p \leq \infty$.

$$A_{r,p}(V) = \{f: f: V \rightarrow \mathbf{C} \text{ is holomorphic and } \|f\|_{V,r,p} < \infty\},$$

$$\|f\|_{V,r,p} = \left[\int_V K_V^r(\zeta, \zeta) |f(\zeta)|^p d(\zeta) \right]^{1/p} \quad \text{for } 1 \leq p < \infty,$$

$$\|f\|_{V,r,\infty} = \sup\{K_V^r(\zeta, \zeta) |f(\zeta)| : \zeta \in V\}.$$

Here $K_V(z, \zeta)$ denotes the Bergman kernel function of V , and $d(\zeta)$ denotes integration in ζ in planar measure.

DEFINITION. Let X and Y be components of $\mathbf{C} - \text{clos } V$ where $\text{clos } S$ means the closure of the set S in \mathbf{C} . We use the notation $X \leq Y$ to mean that there exists a sequence $W_1 = X, W_2, \dots, W_n = Y$ of (not necessarily distinct) components of $\mathbf{C} - \text{clos } V$ with the following property: For each $j = 2, 3, \dots, n$ there exists a simple closed curve $\alpha_j: [0, t_j] \rightarrow \text{clos } W_j$; such that

- a. α_j is twice continuously differentiable as a function of arc length t .
- b. The bounded component of $\mathbf{C} - \{\alpha_j(t) : 0 \leq t \leq t_j\}$ is contained in W_j .
- c. $\int_0^{t_j} |\log \delta_j \circ \alpha_j(t)| dt = \infty$, where $\delta_j(z) = \inf\{|z - w| : w \in W_{j-1}\}$.

The relation \leq will then be symmetric and transitive.

THEOREM. *Let V be a bounded open subset of \mathbf{C} such that*

- i. $\text{clos}(\mathbf{C} - \text{clos } V) = \mathbf{C} - V$, and
- ii. *there exist constants $c_1 > 0$ and $c_2 < \infty$ such that $c_1 \leq K_V(z, z) \delta_V^2(z) \leq c_2$ for all $z \in V$, where $\delta_V(z) = \inf\{|z - w| : w \in \mathbf{C} - V\}$. (The latter condition will automatically hold if each component of V is simply connected.) If $2r$ is not an integer, assume that each component of V is simply connected.*

Let M be a linear subspace of $A_{r,p}(V)$ such that

- iii. *given a component Y of $\mathbf{C} - \text{clos } V$, either $W_0 =$ (the unbounded component of $\mathbf{C} - \text{clos } V) \leq Y$, or there exists a component X of $\mathbf{C} - \text{clos } V$ such that*

$X \leq Y$ and M contains every rational function all of whose poles are simple and lie in ∂X (the boundary of X). (If ∂X is a finite collection of disjoint Jordan curves, we need only assume that M contains all rational functions all of whose poles are simple and lie in some fixed subarc of ∂X .)

If $r \leq 0$ and $p = 1$, or if $r \leq -1$ and $1 < p < 2$, then M is dense in $A_{r,p}(V)$.

Remarks. (i) Without knowing anything about the relationship between the various components of $\mathbf{C} - \text{clos } V$, one sees that letting M consist of all rational functions all of whose poles are simple and lie in $(\mathbf{C} - \text{clos } W_0) \cap \partial V$, one can always assert the above density properties of M .

(ii) In the event that $W_0 \leq W$ for every component W of $\mathbf{C} - \text{clos } V$, one can take M to be the set $\mathbf{C}[z]$ of all polynomials in z .

PROPOSITION 1. *Let V be a bounded open subset of \mathbf{C} such that $\mathbf{C} - V$ has only finitely many components, and each has interior points. Then for $r \leq 0$, $A_{r,1}(V) \subset A_{r-1,\infty}(V)$ and the inclusion map is continuous.*

COROLLARY 1. *If M, V, r and p satisfy the hypotheses i, ii, and iii of the Theorem, and the hypotheses of Proposition 1, then every L_p ($1 \leq p \leq \infty$) analytic function on V is the limit under the norm $\| \cdot \|_{V,-1,\infty}$ of a suitable sequence of elements of M .*

We next see that hypothesis iii of the Theorem is in certain circumstances a condition which is necessary for M to be dense in $A_{r,p}(V)$.

PROPOSITION 2. *Let α, β and γ be three simple closed curves such that γ lies inside β , and β lies inside α . We allow the possibility that α and β , or β and γ have points in common. Assume that $\beta: [0, L] \rightarrow \mathbf{C}$ is twice continuously differentiable as a function of arc length. Let D be the open set consisting of all points strictly inside α and strictly outside γ . Suppose that $\int_0^L \log_{\beta} \circ \beta(t) dt > -\infty$. Then for any constant $c > 0$ and any $r \leq 0$, the polynomials belonging to $\{f: \|f\|_{D,r,1} \leq c\}$ form a normal family on the set of points inside α .*

COROLLARY 2. *Let V be an open subset of \mathbf{C} , M some collection of rational functions all of whose poles are simple and lie in $\mathbf{C} - V$. Let α, β , and γ be as in Proposition 2, and assume that the set D described in Proposition 2 is contained in V . If there exists a limit point of $\mathbf{C} - V$ inside β , and if the set of all points z lying inside α such that at least one element of M has a pole at z , is finite, then for $r \leq 0$ and $1 < p < 2$, M is not dense in $A_{r,p}(V)$.*

Example. Consider the situation depicted in Figure 1. Assume that α and β are simple closed Jordan curves, tangent to the real axis at each intersection point,

$$\int_{-1/2}^{1/2} \log \delta_V(t) dt > -\infty, \quad \text{and} \quad \int_0^L \log \delta_{\mathbf{C}-W_0} \circ \alpha(t) dt = -\infty,$$

where $\alpha: [0, L] \rightarrow \mathbf{C}$ is parametrized by arc length and is twice continuously differentiable, and $W_0 = \{z: |z| > 1\}$. Then the set of all rational functions all of whose poles are simple and lie inside (or on) β is dense in $A_{r,p}(V)$ if $r \leq 0$ and $p = 0$, or if $r \leq -1$ and $1 < p < 2$. Conversely, if $r \leq 0$ and $1 \leq p \leq \infty$, if M is some collection of rational functions all of whose poles are simple and lie in $\mathbf{C} - V$, and if M is dense in $A_{r,p}(V)$, then there exist infinitely many points z inside or on β for which one can find an element of M having a pole at z .

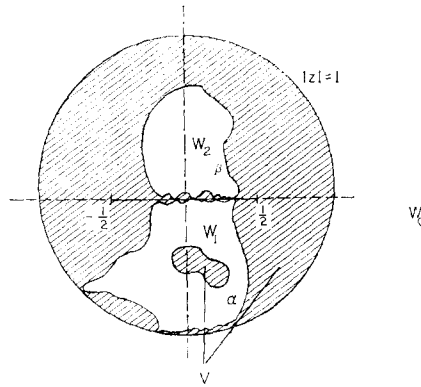


FIG. 1.

The existence of constants $c_1 > 0, c_2 < \infty$ such that $c_1 \leq K_V(\zeta, \zeta) \delta_V^2(\zeta) \leq c_2$ for all $\zeta \in V$: To see that this condition holds only for special V , note that $K_V = K_{V'}$ whenever V' is obtained from V by removing finitely many points. On the other hand, we have: *Suppose V satisfies the hypotheses of Proposition 1. Let S_0, \dots, S_n be the components of $\mathbf{C} - V$, where S_0 is unbounded, and assume that there exists an interior point p_j of S_j , for each $j = 1, 2, \dots, n$. Then there exist constants $c_1 > 0$ and $c_2 < \infty$ (perhaps depending on V) such that $c_1 \leq K_V(\zeta, \zeta) \delta_V^2(\zeta) \leq c_2$ for all $\zeta \in V$.*

Proof. (i) Choose $c_1 > 0$ and $c_2 < \infty$ such that $c_1 \leq K_D(z, z) \delta_D^2(z) \leq c_2$ for every simply-connected domain D in \mathbf{C} , and every z in D . Given $z_0 \in \partial S_0 \cap \partial V$, one can find a neighborhood W of z_0 such that every component of $E = W \cap V$ is simply connected. On the other hand, $V \subset F = V \cup S_1 \cup \dots \cup S_n$, where

each component of F is simply-connected. Choose a neighborhood H of z_0 such that for $z \in H \cap V$, $\delta_E(z) = \delta_V(z) = \delta_F(z)$. Then for $z \in H \cap V$,

$$c_1 \leq K_F(z, z) \delta_F^2(z) \leq K_V(z, z) \delta_V^2(z) \leq K_E(z, z) \delta_E^2(z) \leq c_2.$$

So $c_1 \leq K_V(z, z) \delta_V^2(z) \leq c_2$ holds for $z \in V \cap W$, for some neighborhood W (generally, one different from the above) of $\partial S_0 \cap \partial V$.

(ii) Next, consider $z_0 \in S_j \cap \partial V$, $1 \leq j \leq n$, and let $0 < \epsilon < 1$. Define $T(z) = 1/(z - p_j)$ for $z \in \mathbf{C} - \{p_j\}$. Then the bounded open set $T(V)$ satisfies the hypotheses of Proposition 1, and $T(z_0)$ is in the unbounded component of $\mathbf{C} - T(V)$, so by (i), one can choose a neighborhood W of z_0 such that if $z \in W \cap V$, then

$$c_1 \leq K_{T(V)}(T(z), T(z)) \delta_{T(V)}^2(T(z)) \leq c_2.$$

Furthermore, by choosing W sufficiently fine, one can also easily show that for $z \in W \cap V$,

$$|T'(z)|(1 - \epsilon) \leq \delta_{T(V)}(T(z))/\delta_V(z) \leq |T'(z)|(1 + \epsilon).$$

It then follows from the transformation formula for the Bergman kernel function, that for $z \in W \cap V$,

$$(1 + \epsilon)^{-2} c_1 \leq K_V(z, z) \delta_V^2(z) \leq (1 - \epsilon)^{-2} c_2.$$

By the compactness of ∂V , this also holds for $z \in W \cap V$, where W is some open set containing ∂V .

Hence, if V satisfies the hypotheses of Proposition 1, then there exist constants $c_1 > 0$ and $c_2 < \infty$ (which may depend on V), such that $c_1 \leq K_V(z, z) \delta_V^2(z) \leq c_2$ for all $z \in V$.

Proof of Proposition 1. Let $z_0 \in \partial V$, where V satisfies the hypotheses of Proposition 1. Choose a neighborhood N of z_0 , such that every component of $N \cap V$ is simply connected. As shown in [4], page 199, one can find a constant c such that for any bounded simply connected domain D , any $r \leq 0$, and any $f \in A_{r,1}(D)$, $\|f\|_{D,r-1,\infty} \leq c \|f\|_{D,r,1}$. So

$$\|f\|_{V,r,1} \geq \|f\|_{N \cap V,r,1} \geq c \|f\|_{N \cap V,r-1,\infty} \geq c' |\delta_{N \cap V}^{-2r}(z) f(z)|$$

for $z \in N \cap V$. Then for some constant c'' and a sufficiently fine neighborhood H of z_0 , $\|f\|_{V,r,1} \geq c'' K_V^{-1}(z, z) |f(z)|$ for $z \in H \cap V$. It is also easy to show that similar estimates hold on compact subsets of V , concluding the proof of Proposition 1.

Proof of Corollary 1. For $1 \leq p \leq \infty$, we have the continuous inclusions

$$A_{0,p}(V) \subset A_{0,1}(V) \subset A_{-1,\infty}(V).$$

Proof of Proposition 2. There exists a constant c , such that for any $f \in A_{r,1}(V)$ and $z \in V$, $|f(z)| \leq c \delta_V^{2r-2}(z) \|f\|_{r,1,V}$. The result then follows from the results in [6] on the differentiability of a conformal mapping T of the unit disk onto the set of points inside β , and the application of the Poisson-Jensen formula to the functions $f \circ T$. (If f has a zero of order $n > 0$ at $T(0)$, we, instead, consider $f \circ T(z)/z^n$, whose modulus is greater than or equal to that of $f \circ T$ for $|z| \leq 1$, with equality for $|z| = 1$.)

Proof of the Theorem. Let $1 \leq p < 2$, and let $l: A_{r,p}(V) \rightarrow \mathbf{C}$ be a continuous linear functional, such that $l(M) = \{0\}$. It will be shown that $l(A_{r,p}(V)) = \{0\}$. Obtain a function $\lambda \in L_q(\mathbf{C})$ (where $1/p + 1/q = 1$), such that $\lambda(z) = 0$ for $z \in \mathbf{C} - V$, and

$$l(f) = \int_V \lambda(\zeta) K_V^r(\zeta, \zeta) f(\zeta) d(\zeta)$$

for each $f \in A_{r,p}(V)$. We shall construct a function $h: \mathbf{C} \rightarrow \mathbf{C}$, such that

1. h has generalized partial derivatives which satisfy $\partial/\partial\bar{z}h(z) = 0$ if $z \in \mathbf{C} - V$, and $\partial/\partial\bar{z}h(z) = K_V^r(z, z)\lambda(z)$ almost everywhere on V .
2. h is continuous on \mathbf{C} , and $h(z) = 0$ if $z \in \mathbf{C} - V$.
3. If $p = 1$, then for all $z \in V$,

$$|h(z)| \leq c_3 K_V^r(z, z) \delta_V(z) [1 + \log^+(1/\delta_V(z))]$$

for some constant c_3 which does not depend on z . Here $\log^+(t)$ means $\max\{0, \log t\}$.

4. If $1 < p < 2$, then for $z \in V$,

$$|h(z)| \leq c_p K_V^r(z, z) \delta_V^{1-2/q}(z),$$

where c_p is a constant which does not depend on z .

We then construct the function

$$\omega_n(z) = j([\log \log(\rho/\delta_V(z))]/n),$$

where $j: R \rightarrow R$ is continuously differentiable ($R =$ the real numbers), $j(t) = 1$ for $t \leq 0$, $j(t) = 0$ for $t \geq 1$, and $0 \leq j(t) \leq 1$ for $0 < t < 1$, and $\rho = 1 +$ the diameter of V . By the boundedness of $j'(t)$ and the fact that δ_V is Lipschitzian, we can find a constant c_4 such that for all $z \in V$,

5. $|\partial/\partial\bar{z}\omega_n(z)| \leq c_4/[n\delta_V(z) \log(\rho/\delta_V(z))]$.

Here c_4 does not depend on n . Here, too, differentiation is in the generalized sense.

One next shows that, for $f \in A_{r,p}(V)$,

$$6. \int_V \omega_n(\zeta) f(\zeta) K_V^r(\zeta, \zeta) \lambda(\zeta) d(\zeta) = - \int_V (\partial/\partial\bar{\zeta}\omega_n(\zeta)) f(\zeta) h(\zeta) d(\zeta).$$

We first prove 6. Let n be fixed; then choose a compact set L in V , and a

sequence g_k of functions on \mathbf{C} into \mathbf{C} , with continuous first partial derivatives with respect to x and to y on \mathbf{C} , such that L contains the support of ω_n and of each g_k , and

$$\lim_{k \rightarrow \infty} \|\omega_n - g_k\|_{V,0,p} = 0 = \lim_{k \rightarrow \infty} \|\partial/\partial \bar{z} \omega_n - \partial/\partial \bar{z} g_k\|_{V,0,p}.$$

Furthermore, for each k ,

$$\int_V g_k(\zeta) f(\zeta) K_V^r(\zeta, \zeta) \lambda(\zeta) d(\zeta) = - \int_V (\partial/\partial \bar{\zeta} g_k(\zeta)) h(\zeta) d(\zeta),$$

by 1. Hence 6 follows by taking the limit as k approaches ∞ .

If $p = 1$, using 3, 5, and 6, one sees that

$$\begin{aligned} & |I(f)| \\ & \leq \lim_{n \rightarrow \infty} \int_V |f(\zeta)| c_3 K_V^r(\zeta, \zeta) \delta_V(\zeta) [1 + \log^+(1/\delta_V(\zeta))] c_4 / [n \delta_V(\zeta) \log(\rho/\delta_V(\zeta))] d(\zeta) \\ & \leq \lim_{n \rightarrow \infty} (1/n) c_3 c_4 [1 + 1/\log \rho] \|f\|_{V,r,1} = 0, \end{aligned}$$

proving the theorem for $p = 1$.

If $1 < p < 2$, using hypothesis ii and 4, 5, and 6, one sees that

$$\begin{aligned} & \left| \int_{\Delta} \omega_n(\zeta) f(\zeta) K_V^r(\zeta, \zeta) \lambda(\zeta) d(\zeta) \right| \\ & \leq (1/n) \int_{\Delta} |f(\zeta)| c_p K_V^{r/p}(\zeta, \zeta) c_1^{r(1-1/p)} \delta_V^s(\zeta) c_4 / \log(\rho/\delta_V(\zeta)) d(\zeta), \end{aligned}$$

where $s = -2(r - r/p) - 2/q = -2(r + 1)/q$. Then $I(f) = 0$ if $r \leq -1$.

Proof of 1-4. For $z \in \mathbf{C}$ let

$$h(z) = (-1/\pi) \int_V \lambda(\zeta) K_V^r(\zeta, \zeta) [1/(\zeta - z)] d(\zeta).$$

By [1], page 7, and [2], page 386, we see that h is continuous on \mathbf{C} , holomorphic on the interior of $\mathbf{C} - V$, satisfies 1, and for all z and w in \mathbf{C} ,

$$|h(z) - h(w)| \leq c_5 |z - w|^\epsilon$$

for some positive constants c_5 and ϵ which are independent of z and w . We shall first prove that $h(z) = 0$ for $z \in \mathbf{C} - V$. Let W_1 be a component of $\mathbf{C} - \text{clos } V$. If W_1 is unbounded, using the fact that M contains all polynomials in z and Mergelyan's Theorem, one sees that $h(z) = 0$ for $z \in W_1$. If W_1 is bounded and if M contains all rational functions whose poles are simple and lie in ∂W_1 , then $h(z) = 0$ for $z \in \partial W_1$, so $h(z) = 0$ for $z \in W_1$, by the maximum principle.

Now let W_1 and W_2 be two components of $\mathbf{C} - \text{clos } V$, such that $h(z) = 0$ for $z \in W_1$, and such that there exists a simple closed curve $\alpha_2: [0, t_2] \rightarrow \mathbf{C}$ which is twice continuously differentiable as a function of arc length t , and for which the bounded component W_2' of $\mathbf{C} - \{\alpha_2(t): 0 \leq t \leq t_2\}$ is contained

in W_2 , and $\int_0^{t_2} |\log \delta_2 \circ \alpha_2(t)| dt = \infty$, where $\delta_2(z) = \inf\{|z - w| : w \in W_1\}$. Clearly, $|h(z)| \leq c_5 \delta_2^\epsilon(z)$ for all $z \in \mathbf{C}$. To see that $h(z) = 0$ for $z \in W_2$, pick a continuously differentiable homeomorphism T of $\text{clos } \Delta_0$ onto $W_2' \cup \{\alpha_2(t) : 0 \leq t \leq t_2\}$, where $\Delta_0 = \{z : |z| < 1\}$, which is holomorphic on Δ_0 . (This is possible, by [6].) Then

$$\begin{aligned} \infty &= \int_0^{t_2} |\log(\delta_2 \circ \alpha_2(t))| dt = \int_0^{2\pi} |\log(\delta_2 \circ T)(e^{i\theta}) d/d\theta T(e^{i\theta})| d\theta \\ &\leq \sup\{|d/d\theta T(e^{i\theta})| : 0 \leq \theta \leq 2\pi\} \int_0^{2\pi} |\log \delta_2 \circ T(e^{i\theta})| d\theta, \end{aligned}$$

implying $\int_0^{2\pi} |h \circ T(e^{i\theta})| d\theta = \infty$, so $h(z) = 0$ for $z \in W_2$, by [5], page 73. Using this technique, we can prove inductively, that if X and Y are components of $\mathbf{C} - \text{clos } V$, $X \leq Y$, and $h(z) = 0$ for $z \in X$, then $h(z) = 0$ for $z \in Y$. Then, by hypothesis, $h(z) = 0$ for $z \in \text{clos}(\mathbf{C} - \text{clos } V) = \mathbf{C} - V$.

By [1], page 7, and hypothesis ii, we see that 3 holds for $r = 0$, so the theorem is true for $r = 0$ and $p = 1$.

We shall now show that h satisfies 3 for all $r < 0$. Choose an integer $m \geq 0$, and a number a , $0 \leq a < 1$, such that $-2r = m + a$. Let $p \in \partial V$, let $f(z)$ be some holomorphic branch of $(z - p)^a$ defined on V , and let $w \in \mathbf{C} - V$. Define

$$H(w, z) = (-1/\pi) \int_V \lambda(\zeta) K_V^r(\zeta, \zeta) / [(\zeta - z)(\zeta - w)^m f(\zeta)] d(\zeta).$$

To see that $H(w, z) = 0$ for $z \in \mathbf{C} - V$, first pick $m + 1$ distinct points z, w_1, \dots, w_m in $\mathbf{C} - \text{clos } V$, and let

$$g(\zeta) = 1 / [(\zeta - z)(\zeta - w_1)(\zeta - w_2) \dots (\zeta - w_m) f(\zeta)].$$

Then $g \in A_{0,1}(V)$, so using our theorem as proven above for $r = 0$, there exists a sequence R_1, R_2, R_3, \dots of elements of M , such that $\lim_{k \rightarrow \infty} \|R_k - g\|_{V,0,1} = 0$. Then

$$0 = \lim_{k \rightarrow \infty} \int_V \lambda(\zeta) K_V^r(\zeta, \zeta) R_k(\zeta) d(\zeta) = \int_V \lambda(\zeta) K_V^r(\zeta, \zeta) g(\zeta) d(\zeta).$$

Using hypothesis ii and [2], page 386, one sees that

$$\int_V \lambda(\zeta) K_V^r(\zeta, \zeta) / [(\zeta - z)(\zeta - w_1) \dots (\zeta - w_m) f(\zeta)] d(\zeta)$$

is a continuous function of any one of $z \in \mathbf{C}$ and $w_1, w_2, \dots, w_m \in \mathbf{C} - V$, with the remaining points fixed. So $H(w, z)$ is continuous in $z \in \mathbf{C}$, and $H(w, z) = 0$ if $z \in \mathbf{C} - V$. Now define $h(w, z)$: $h(w, z) = 0$ if $z \in \mathbf{C} - V$, $h(w, z) = (z - w)^m f(z) H(w, z)$ for $z \in V$. Clearly $h(w, z)$ is continuous in $z \in \mathbf{C}$. Consider $h(w, z) - h(z)$. It is continuous on \mathbf{C} , zero on $\mathbf{C} - V$, and since $\partial/\partial \bar{z}[h(w, z) - h(z)] = 0$ almost everywhere on V , $h(w, z) - h(z)$ is holomorphic on V . The maximum principle then implies $h(w, z) = h(z)$ on \mathbf{C} .

Then [1], page 7, and hypothesis ii imply that h satisfies 3, completing the proof of the theorem, for $p = 1$.

To prove the Theorem for $1 < p < 2$, we modify the above as follows: If $r = -1$ and $1 < p < 2$, g will be of the form $1/[(\zeta - z)(\zeta - w_1)(\zeta - w_2)]$, so by considering g as a linear combination of $1/(\zeta - z)$, $1/(\zeta - w_1)$, $1/(\zeta - w_2)$ for z, w_1 , and w_2 distinct, we see that $H(w, z) = 0$ for $z \in \mathbf{C} - V$. This implies that the Theorem holds for $1 < p < 2$ and $r = -1$. The case $r < -1$ is handled as above, by approximating g by elements of M .

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