

EXPLICIT CONDITIONS FOR THE FACTORIZATION OF n TH ORDER LINEAR DIFFERENTIAL OPERATORS

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ABSTRACT. For any integer k with $1 \leq k \leq n$ sufficient conditions on the coefficients p_i are given for the factorization of certain classes of operators $Ly = p_n y^{(n)} + p_{n-1} y^{(n-1)} + \cdots + p_0 y$ into a product $L = PQ$ where P and Q are operators of the same type of orders $n-k$ and k , respectively. A special case yields that if $(-1)^k p_0 \geq 0$ then $y^n + p_0 y$ is factorable into a product of two regular differential operators of orders $n-k$ and k .

1. Introduction. We consider the classical n th order regular linear differential operator

$$(1.1) \quad Ly = p_n y^{(n)} + p_{n-1} y^{(n-1)} + \cdots + p_0 y$$

where p_i for $i=0, 1, \dots, n$ are continuous real valued functions with $p_n(t) \neq 0$ on some interval $[a, b]$ for $-\infty < a < b \leq \infty$.

As a consequence of our main theorem we obtain the following factorization results: Suppose $p_n(t) \equiv 1$, $p_i \equiv 0$ for $i=1, 2, \dots, n-3$ and $p_{n-2} \leq 0$. (a) If $p_0 \geq 0$, then L has a right factor of any even order, i.e., for any even positive integer $k < n$ there exist operators P and Q of type (1.1) and orders $n-k$ and k , respectively, such that $L = PQ$. (b) If $p_0 \leq 0$, then L has a right factor of any odd order.

Right factors Q of order $n-1$ are obtained under a much weaker hypothesis. For the case when the order of Q is 1 stronger results are well known. Some extensions of these results are indicated as well as a generalization to a quasi-differential operator. Also a couple of applications to boundary value problems are given.

According to a well-known result of Pólya [12] the operator L has a factorization into "products" of first order operators

$$(1.2) \quad Ly = r_n(r_{n-1} \cdots (r_1(r_0 y)')' \cdots)'$$

if and only if the equation $Ly=0$ has a fundamental set of solutions

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y_1, \dots, y_n such that

$$(1.3) \quad W_k > 0 \quad \text{for } k = 1, \dots, n-1$$

where $W_1 = y_1$ and $W_k = \det_{i,j=1, \dots, k} [y_j^{(i-1)}]$ for $k=2, \dots, n-1$. For a short and elegant proof of this factorization see [13]. A factorization of type (1.2) on an interval (a, b) is known to be equivalent to disconjugacy on (a, b) . The problem of finding explicit conditions on the coefficients p_i which yield a factorization of type (1.2) or, equivalently, assure that L is disconjugate has received considerable attention. For some recent papers see [1], [6], [11], [14], [15].

In [17] it is shown that an operator L of type (1.1) has a factorization

$$(1.4) \quad L = PQ$$

where P and Q are of type (1.1) of orders $n-k$ and k , respectively, if and only if there exist k linearly independent solutions of $Ly=0$ whose Wronskian W_k satisfies

$$(1.5) \quad W_k > 0.$$

Not much seems to be known about conditions which yield factorizations of type (1.4). Some conditions—involving the Lagrange bilinear form for solutions—which imply a factorization of some $2n$ th order operators as products of two n th order ones were obtained by Rellich and Heinz in [4]. Direct conditions on the coefficients which yield factorizations of types (1.2) and (1.4) are obtained in [16] for the case $n=3$.

2. We use the notation $X \geq 0$ for a matrix or vector X to mean that each component of X is nonnegative. Similarly $X > 0$ means each component is strictly positive.

Our development is based on the following two lemmas. The first one is a very useful result due to Mikusinski [9]. The second one is the result stated above from [17].

LEMMA 1. *Let $y'_i = \sum_{j=1}^m F_{ij} y_j$ for $i=1, \dots, m$ be a system of differential equations with real valued continuous coefficients which are nonnegative for $i \neq j$ on $[a, b)$. If $Y = (y_i)$ for $i=1, \dots, m$ is a solution vector satisfying $Y(a) \geq 0$, then $Y(t) \geq 0$ for t in $[a, b)$. Moreover if some component y_i is positive at a point c in $[a, b)$, then $y_i(t)$ is positive for $t > c$.*

LEMMA 2. *A necessary and sufficient condition that a differential operator L of type (1.1) has a factorization (1.4) where P and Q are operators of type (1.1) of orders $n-k$ and k respectively is that there exist k linearly independent solutions of $Ly=0$ whose Wronskian W_k is positive.*

For convenience of notation we denote the solution space of $Ly=0$ by S . In the rest of the paper we assume, for convenience, that $p_n(t) \equiv 1$.

As a consequence of Lemma 1 and the classical vector matrix representation of the equation $Ly=0$ we obtain

THEOREM 1. *Suppose $p_i \leq 0$ for $i=0, 1, \dots, n-2$. If $y \in S$ with $y^{(i)}(a) \geq 0$ for $i=0, 1, \dots, n-1$ and $y^{(r)}(a) > 0$, then $y^{(i)}(t) \geq 0$ for $i=0, \dots, n-1$ and $t > a$ and $y^{(p)}(t) > 0$ for $p=0, \dots, r$ and $t > a$.*

Using positive initial conditions at a to determine a solution of $Ly=0$, then as a consequence of Theorem 1 and Lemma 2 we obtain

COROLLARY 1. *If $p_i \leq 0$ for $i=0, 1, \dots, n-2$; then the operator L can be factored: $L=PQ$ where P is of order $n-1$ and Q is of order 1.*

Theorem 1 is stated only for the sake of completeness since the result is known—although many authors use a sign condition on p_{n-1} .

The conclusion of Corollary 1 still holds if the signs of the coefficients alternate—see [2, p. 508].

THEOREM 2. *If $(-1)^{n-1}p_i \leq 0$ for $i=0, 1, \dots, n-2$ then there exists $y \in S$ with $y(t) > 0$ for $t > a$.*

Let z_1, \dots, z_n be solutions of $Ly=0$ determined by the initial conditions

$$(2.2) \quad z_j^{(i-1)}(a) = \delta_{ij} \quad \text{for } i, j = 1, \dots, n.$$

Our main result is:

THEOREM 3. *Suppose $p_i \equiv 0$ for $i=1, 2, \dots, n-3$ and $p_{n-2} \leq 0$. Let W_k denote any k th order Wronskian $W(z_i, z_{i+1}, \dots, z_{i+k-1})$ for $i=1, 2, \dots, n-k+1, k=1, \dots, n-1$. If $p_0 \geq 0$ and k is even, then $W_k > 0$ on (a, b) . If $p_0 \leq 0$ and k is odd, then $W_k > 0$ on (a, b) .*

PROOF. Let y_1, \dots, y_k be any solutions of $Ly=0$. For integers $i_j \leq n, j=1, \dots, k$, we define

$$D(i_1, i_2, \dots, i_k) = \det \begin{vmatrix} y_1^{i_1}, & y_2^{i_1}, & \dots, & y_k^{i_1} \\ y_1^{i_2}, & y_2^{i_2}, & \dots, & y_k^{i_2} \\ \cdot & & & \\ \cdot & & & \\ y_1^{i_k}, & y_2^{i_k}, & \dots, & y_k^{i_k} \end{vmatrix}.$$

Note that $D(i_1, \dots, i_k) = 0$ if any pair of i_j 's are equal and that the i_j 's can always be put in increasing order by a change in sign, if necessary. Also note that $D(i_1, i_2, \dots, i_{k-1}, n)$ can be expressed in terms of determinants involving only derivatives of orders less than n by replacing $y_i^{(n)}$ by $-p_{n-1}y_i^{(n-1)} - \dots - p_0y_i$.

If $i_k < n-1$ observe that

$$D'(i_1, i_2, \dots, i_k) = D(i_1 + 1, i_2, \dots, i_k) + D(i_1, i_2 + 1, i_3, \dots, i_k) + \dots + D(i_1, i_2, \dots, i_k + 1).$$

If $i_k = n-1$, then

$$D'(i_1, \dots, i_k) = D(i_1 + 1, i_2, \dots, i_k) + D(i_1, i_2 + 1, i_3, \dots, i_k) + \dots + D(i_1, i_2, \dots, i_{k-1} + 1, i_k) + D(i_1, i_2, \dots, i_{k-1}, i_k + 1 = n)$$

and

$$D(i_1, i_2, \dots, i_{k-1}, n) = -p_0 D(i_1, i_2, \dots, i_{k-1}, 0) - p_1 D(i_1, i_2, \dots, i_{k-1}, 1) - p_2 D(i_1, i_2, \dots, i_{k-1}, 2) - \dots - p_{n-1} D(i_1, i_2, \dots, i_{k-1}, n-1).$$

From this it follows that the set of $D(i_1, i_2, \dots, i_k)$ for $i_1 < i_2 < \dots < i_k$, $i_j = 0, 1, \dots, n-1, j=1, \dots, k$, are solutions of a system of differential equations $Y' = FY$ where Y is a vector of order $\binom{n}{k}$ with components $D(i_1, i_2, \dots, i_k)$ and F is an $\binom{n}{k}$ by $\binom{n}{k}$ matrix whose entries consist of 0's and 1's and $(-1)^k p_0, +p_1, -p_1, +p_2, -p_2, \dots, +p_{n-3}, -p_{n-3}, -p_{n-2}, -p_{n-1}$. The components of Y are ordered as follows:

$Y = \text{transpose of}$

$$[D(0, 1, \dots, k-1), D(0, 1, \dots, k-2, k), D(0, 1, \dots, k-2, k+1), \dots, D(0, 1, \dots, k-2, n-1), D(0, 1, \dots, k-3, k-1, k), D(0, 1, \dots, k-3, k-1, k+1), \dots, D(0, 1, \dots, k-3, k-1, n-1) \dots].$$

Note that $-p_{n-1}$ is on the diagonal of F —hence no sign condition is needed for p_{n-1} in order to use Lemma 1.

Therefore by Lemma 1, all the components of Y are nonnegative on $[a, b)$ if $Y(a) \geq 0$.

For any $i=1, 2, \dots, n-k+1$ let $y_1 = z_i, y_2 = z_{i+1}, \dots, y_k = z_{i+k-1}$ where the z_j 's are the solutions determined by the initial conditions (2.2).

For such a choice of y_1, y_2, \dots, y_k the initial vector $Y(a) \geq 0$ and the component $D(i-1, i, i+1, \dots, i+k-2)$ has the value 1 at a . The first component of Y , namely W_k , is nondecreasing on $[a, b)$ since $W'_k = D(0, 1, \dots, k-2, k-1) = D(0, 1, \dots, k-2, k) \geq 0$. Hence W_k is positive on (a, b) since W_k identically zero on some open interval (a, t_0) would imply that all the components of Y are identically zero on (a, t_0) . But the component $D(i-1, i, \dots, i+k-2)$ cannot be zero in (a, t_0) since it is positive at a and continuous. This completes the proof of Theorem 3.

The factorization result mentioned in the introduction is obtained by

taking $i=1$ in the above argument and noting that $W(z_1, z_2, \dots, z_k)(a)=1$ to get $W(z_1, z_2, \dots, z_k)(t)>0$ for $t \geq a$. The rest follows from Lemma 2.

We remark that, as shown in [17], the right factor Q can be taken as $Qy=W(y_1, y_2, \dots, y_k, y)$ where y_1, y_2, \dots, y_k is any set of solutions of $Ly=0$ satisfying $W_k=W(y_1, \dots, y_k)>0$.

For the case $k=n-1$, we obtain a stronger result:

THEOREM 4. *Suppose $(-1)^{n+1-j}p_j \geq 0$ for $j=0, 1, \dots, n-2$. Then there exist $y_1, y_2, \dots, y_{n-1} \in S$ such that $W_{n-1}=W(y_1, y_2, \dots, y_{n-1})>0$.*

PROOF. The proof is similar to that of Theorem 3, therefore we merely outline it here.

Let solutions y_i of $Ly=0$ be determined by initial conditions $y_i^{j-1}(a)=\delta_{ij}$ for $i=1, \dots, n-1$ and $j=1, \dots, n$. Define $D(i_1, i_2, \dots, i_{n-1})$ as in the proof of Theorem 3. As in the proof of Theorem 3 we then show that the column vector

$$Y = [D(0, 1, 2, \dots, n-2), D(0, 1, 2, \dots, n-3, n-1), \\ D(0, 1, 2, \dots, n-4, n-2, n-1), \dots, \\ D(0, 2, 3, \dots, n-1), D(1, 2, 3, \dots, n-1)]$$

satisfies the differential system $Y'=FY$ where F is the matrix having 1's on the super diagonal, $-p_{n-1}$ on the diagonal except for the $(1, 1)$ and (n, n) position, 0's elsewhere except for the first column which is, from top to bottom, $[0, -p_{n-2}, +p_{n-3}, \dots, (-1)^n p_1, (-1)^{n+1} p_0]$. Noting that $Y(a)=[1, 0, \dots, 0]$, we conclude, by Lemma 1, that

$$y_1(t) = D(0, 1, 2, \dots, n-2)(t) \\ = W_{n-1}(t) = W(y_1, y_2, \dots, y_{n-1})(t) > 0 \quad \text{for } t \geq a.$$

As an immediate consequence of Theorem 4 and Lemma 2 we obtain

COROLLARY 2. *Under the hypothesis of Theorem 4, L has a right factor Q of order $n-1$.*

3. Here we indicate some extensions of these results and give a couple of applications.

REMARK 1. This is a result obtained by Kim in [5]. Suppose u, v are solutions of $Ly=0$ satisfying $W_2=W(u, v)=uv'-vu'>0$ on $[a, b)$. By Lemma 2 we have a factorization $L=PQ$ where Q has order 2 and by the remark following the proof of Theorem 3 we can take u, v to be a fundamental set of solutions of $Qy=0$. Therefore we can conclude such things as:

- (i) Neither u nor v can have a double zero on $[a, b)$.
- (ii) u^j, v^j have no common zero on $[a, b)$ for $j=0, 1$.
- (iii) Between any two zeros of one there is a zero of the other.

REMARK 2. If $p_i \in C_{[a,b]}^i$ for $i=0, 1, \dots, n$ then the classical adjoint operator L^+ , defined by

$$L^+y = (-1)^n(p_n y)^{(n)} + (-1)^{(n-1)}(p_{n-1} y)^{(n-1)} + \dots + p_0 y$$

can be put into the form (1.1). By applying the above factorization results to the adjoint operator L^+ and using the fact that $L=PQ$ if and only if $L^+=Q^+P^+$ —see [10]—additional sufficient conditions for factorization can be obtained. We illustrate with an example: Consider the fourth order operators L and L^+ defined by

$$\begin{aligned} Ly &= y^{(4)} + p_3 y^{(3)} + p_2 y^{(2)} + p_1 y^{(1)} + p_0 y, \\ L^+y &= y^{(4)} - (p_3 y)^{(3)} + (p_2 y)^{(2)} - (p_1 y)' + p_0 y \\ &= y^{(4)} - p_3 y''' + [p_2 - 3p_3']y'' \\ &\quad + [2p_2' - p_1 - 3p_3'']y' + [p_0 - p_1' + p_2'' - p_3''']. \end{aligned}$$

Applying our factorization theorems we have

COROLLARY 3. If $p_2 - 3p_3' \leq 0$, $2p_2' - p_1 - 3p_3'' \leq 0$, $p_0 - p_1' + p_2'' - p_3''' \leq 0$, then $L^+ = P_3 Q_1$ where P_3, Q_1 are operators of type (1.1) of orders 3 and 1, respectively. Hence $L = Q_1^+ P_3^+$.

COROLLARY 4. If $p_0 - p_1' + p_2'' - p_3''' \leq 0$, $2p_2' - p_1 - 3p_3'' \geq 0$ and $p_2 - 3p_3' \leq 0$, then $L = Q_1^+ P_3^+$ where Q_1, P_3 are of orders 1 and 3, respectively.

COROLLARY 5. If $p_0 - p_1' + p_2'' - p_3''' \geq 0$ and $2p_2' - p_1 - 3p_3'' = 0$ and $p_2 - 3p_3' \leq 0$, then $L = P_2 Q_2$ and $L^+ = Q_2^+ P_2^+$ where P_2, Q_2 are operators of type (1.1) of order 2.

COROLLARY 6. If $p_0 - p_1' + p_2'' - p_3''' \leq 0$, $2p_2' - p_1 - 3p_3'' \geq 0$, $p_2 - 3p_3' \leq 0$, then there exist operators P_1 and Q_3 of type (1.1) of orders 1 and 3, respectively such that $L^+ = P_1 Q_3$ and hence $L = Q_3^+ P_1^+$.

As another application of some of these factorizations we list

THEOREM 5. Under the hypothesis of Theorem 4, the boundary value problem

$$Ly = 0, \quad y(\alpha) = 0, \quad y(\beta) = y'(\beta) = \dots = y^{(n-2)}(\beta) = 0$$

for any α, β in $[a, b)$ with $\alpha < \beta$ has no nontrivial solution.

PROOF. Suppose y is a nontrivial solution. Let c be the first point to the left of β such that $y^{(i)}(c) \neq 0$ for $i=0, \dots, n-2$ and $y^{(n-1)}(c) = 0$.

Determine solutions y_1, y_2, \dots, y_{n-2} by the initial conditions:

$$\begin{aligned}
 y_1(c) &= y(c), \quad y_1'(c) = 0, \quad \dots, \quad y_1^{(n-1)}(c) = 0 \\
 y_2(c) &= 0, \quad y_2'(c) = y'(c), \quad y_2''(c) = 0, \quad \dots, \quad y_2^{(n-1)}(c) = 0 \\
 &\vdots \\
 &\vdots \\
 &\vdots \\
 y_{n-2}(c) &= 0, \quad \dots, \quad y_{n-2}^{(n-4)}(c) = 0, \quad y_{n-2}^{(n-3)}(c) = y^{(n-3)}(c), \\
 y_{n-2}^{(n-2)}(c) &= 0, \quad y_{n-2}^{(n-1)}(c) = 0.
 \end{aligned}$$

Define $D(i_1, i_2, \dots, i_{n-1})$ as in the proof of Theorem 3 using $y = y_{n-1}$ and note that $D(0, 1, 2, \dots, n-2)(c) = W(y_1, y_2, \dots, y_{n-2}, y)(c) = y(c)y'(c) \dots y^{(n-2)}(c) \neq 0$ and all other $D(i_1, i_2, \dots, i_{n-1})$ are zero at c .

Repeated applications of the mean value theorem show that the signs of $y(c), y'(c), y''(c), \dots, y^{(n-2)}(c)$ alternate. Here we are using the fact that $y^{(n-1)}(\beta) \neq 0$ and that c is the first point to the left of β such that $y^{(i)}(c) \neq 0$ for $i = 0, \dots, n-2$ and $y^{(n-1)}(c) = 0$. By replacing y with $-y$, if necessary, we can get the product $y(c)y'(c) \dots y^{(n-2)}(c)$ positive. Proceeding as in the proof of Theorem 4 we get to the conclusion

$$W(t) = W(y_1, y_2, \dots, y_{n-2}, y)(t) > 0 \quad \text{for } t > c.$$

But this contradicts $W(\beta) = 0$.

We list here a couple of illustrations of Theorem 3.

THEOREM 6. *Under the hypothesis of Theorem 3, if y is a nontrivial solution of $Ly = 0$ on $[a, b]$ which has a zero of order k at a and a zero of order $n - k$ at $c, a < c < b$ then $n - k$ is even if $p_0 \geq 0$ and $n - k$ is odd if $p_0 \leq 0$.*

PROOF. Such a solution y can be expressed as $y = \alpha_{k+1}z_{k+1} + \dots + \alpha_n z_n$. A zero of order $n - k$ at $c > a$ would imply $W(z_{k+1}, \dots, z_n)(c) = 0$. A. Ju. Levin [7], [8] obtained, by different methods, this result for the operator $y^n + p_0 y$.

A consequence of Theorem 6 is that, under the hypothesis of Theorem 3, no nontrivial solution of $Ly = 0$ can have zeros at a, c with $a < c < b$ of combined order $> n$, because this would imply that two Wronskians of consecutive integral order are zero at c . But one of these has to be even and one odd.

If an operator is given in quasi-differential form—such as $(py'')'' + qy$ —one can sometimes get simpler conditions by using the techniques of proof above and appropriate “quasi-derivatives” than by “stringing out” the expression into the form (1.1) and then using Theorems 1, 2, 3, and 4.

As an illustration we consider the operator

$$(3.1) \quad Ly = (py'')'' + qy$$

where $p \in C^2[a, b]$, $q \in C[a, b]$ and $p > 0$ on $[a, b]$.

THEOREM 7. (a) *If $q \leq 0$, then there exists a positive solution of $Ly=0$.*
 (b) *If $q \geq 0$ and $(pq)' \geq 0$ then there exist solutions u, v of $Ly=0$ such that $W_2=W(u, v) > 0$. Hence L has a factorization into a product of two second order operators.*

PROOF. *Part (a).* The proof is similar to that of Theorem 1. The main modification is that the vector Y used here is $Y = \text{column vector } [y, y', py'', (py'')']$ and the resulting matrix F has components all zero except for $-q$ in the (4, 1) position, 1 in the (1, 2) and (3, 4) positions and $1/p$ in the (2, 3) position. The details are omitted.

Part (b). Determine solutions u, v of $Ly=0$ by the initial conditions:

$$\begin{aligned} u(a) &= 1, & u'(a) &= 0, & u''(a) &= 0, & u'''(a) &= 0, \\ v(a) &= 0, & v'(a) &= 1, & v''(a) &= 0, & v'''(a) &= 0. \end{aligned}$$

Let $z = W(u, v) = uv' - u'v$. We show that the column vector $Y = [z, pz', (pz')', (pz')'', (pz')''']$ satisfies a differential system $Y' = FY$: Note that

$$\begin{aligned} z' &= \begin{vmatrix} u & v \\ u'' & v'' \end{vmatrix}, \\ (pz')' &= \begin{vmatrix} u' & v' \\ pu'' & pv'' \end{vmatrix} + \begin{vmatrix} u & v \\ (pu'')' & (pv'')' \end{vmatrix}, \\ (pz')'' &= 2 \begin{vmatrix} u' & v' \\ (pu'')' & (pv'')' \end{vmatrix}, \\ (pz')''' &= 2 \begin{vmatrix} u'' & v'' \\ (pu'')' & (pv'')' \end{vmatrix} + 2qz \end{aligned}$$

where we substituted $-qu$ for $(pu'')''$ and $-qv$ for $(pv'')''$ in $[p(pz')''']' = 4q(pz')'' + 2(pq)'z$.

From these computations we see that $Y' = FY$ where F is the matrix with components zero everywhere except for 1's in the (2, 3) and (3, 4) positions, $1/p$ in the (1, 2) and (4, 5) positions, $+2(pq)$ in the (5, 1) position and $+rq$ in the (5, 2) spot. The conclusion follows from Lemmas 1 and 2.

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