

ZEROS OF THE SUCCESSIVE DERIVATIVES OF HADAMARD GAP SERIES

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ABSTRACT. A complex number z is in the *final set* of an analytic function f , as defined by Pólya, if every neighborhood of z contains zeros of infinitely many $f^{(n)}$. If f is a Hadamard gap series, then the part of the final set in the open disk of convergence is the origin along with a union of concentric circles.

1. INTRODUCTION

A complex number z is in the *final set* $\Lambda(f)$ of an analytic function f if every neighborhood of z contains zeros of infinitely many $f^{(n)}$. Final sets of various functions have been determined by Pólya [4, 5] (who introduced the notion) and others (see [2] for references). A power series

$$(1.1) \quad f(z) = \sum_{k=0}^{\infty} c_k z^{N_k},$$

with $c_k \neq 0$ for all k , has *Hadamard gaps* if there exists $L > 1$ such that

$$(1.2) \quad N_{k+1}/N_k > L \quad \text{for all } k \geq 0.$$

Theorem 1. *Let f be a function whose Maclaurin series has Hadamard gaps and (finite or infinite) radius of convergence R . Then $\Lambda(f) \cap \{|z| < R\} = \{0\} \cup \{z: |z| \in E\}$, where E is closed in the topology of $(0, R)$.*

Theorem 1 is best possible in the following sense.

Theorem 2. *Let R be in $(0, \infty]$, and let E be closed in the topology of $(0, R)$. Then there exists a Hadamard gap series f with radius of convergence R such that $\Lambda(f) \cap \{|z| < R\} = \{0\} \cup \{|z|: z \in E\}$.*

I am grateful to L. R. Sons and W. H. J. Fuchs for advice and encouragement.

2. PROOF OF THEOREM 1

The proof of Theorem 1 depends on two lemmas, which I will prove in §§3 and 4, respectively, concerning functions h of the form

$$(2.1) \quad h(z) = \sum_{k=0}^{\infty} a_k z^{n_k}.$$

Received by the editors November 16, 1990 and, in revised form, July 16, 1991.

1991 *Mathematics Subject Classification.* Primary 30D35, 30B10.

Key words and phrases. Final set, successive derivatives, Hadamard gaps, gap series.

Fix such an h and denote by R the radius of convergence of the series. Set

$$(2.2) \quad \mu(r) = \max\{|a_k|r^{n_k} : k \geq 0\}, \quad \nu(r) = \max\{k : |a_k|r^{n_k} = \mu(r)\}.$$

(This notation is not standard; see [6, p. 3].) Finally, call a number r in $(0, R)$ *h-dominant* if

$$(2.3) \quad \sum_{k=0}^{\nu(r)-1} |a_k|r^{n_k} + \sum_{k=\nu(r)+1}^{\infty} n_k^{\nu(r)} |a_k|r^{n_k} < \mu(r),$$

where the first sum is taken to be zero if $\nu(r) = 0$.

The first lemma is an adaptation of [3, Theorem 6, p. 605]. Denote by $Z(s, t, \theta_1, \theta_2)$ the number of zeros (counting multiplicity) of h in the set $\{re^{i\theta} : s \leq r \leq t \text{ and } \theta_1 \leq \theta \leq \theta_2\}$.

Lemma 1. *Let h have the form (2.1) (not necessarily with Hadamard gaps), and let $R, \mu(r)$, and $\nu(r)$ be as above. If s and t are h -dominant, if $s < t$, and if $0 < \theta_2 - \theta_1 < 2\pi$, then*

$$\left| Z(s, t, \theta_1, \theta_2) - (n_{\nu(t)} - n_{\nu(s)}) \frac{\theta_2 - \theta_1}{2\pi} \right| < \nu(t) + 2.$$

Lemma 2. *Let h and R be as in Lemma 1, and suppose that there exists $L > 1$ such that $n_{k+1}/n_k > L$ for all $k \geq 0$. Suppose also that*

$$(2.4) \quad n_0 \geq \max\{9, \exp[\sqrt{(\log 6)(\log L)}]\}.$$

Define

$$(2.5) \quad \tau = 54e^{-2}/(\log L)(1 - 1/L)(1 - L^{-1/3}).$$

Then there is at least one h -dominant point in each interval $(C, D) \subset (0, R)$ such that

$$(2.6) \quad \log(D/C) > \tau/n_0^{1/3}.$$

Proof of Theorem 1. $0 \in \Lambda(f)$ by (1.2).

Define $h_j, a_k = a_k(j)$, and $n_k = n_k(j)$ by

$$(2.7) \quad h_j(z) = z^j f^{(j)}(z) = \sum_{k=0}^{\infty} a_k z^{n_k}.$$

Then by (1.2),

$$(2.8) \quad \text{(a) } n_{k+1}/n_k > L > 1, \quad \text{(b) } n_0 \geq j.$$

Define a set $E \subset (0, R)$ as follows: $r^* \in E$ if there exist an infinite set T of positive integers and a sequence $\{r_j\}_{j \in T}$ such that

$$(2.9) \quad \text{(a) } \lim_{j \rightarrow \infty, j \in T} r_j = r^*, \quad \text{(b) no } r_j \text{ is } h_j\text{-dominant.}$$

I will show that if $r^* \in E$ then $\{|z| = r^*\} \subset \Lambda(f)$, whereas if $r^* \notin E$ then $\{|z| = r^*\} \cap \Lambda(f)$ is empty.

Case I. $r^* \in E$. Choose $\{r_j\}$ as above and define τ by (2.5). By (2.8b) and (2.9a), $r_j \exp\{2\tau/n_0^{1/3}\} < R$ for all large j in T . Pick such a $j > \max\{9, \exp[\sqrt{(\log 6)(\log L)}]\}$. By Lemma 2, there are h_j -dominant points $s = s(j)$ in $(r_j \exp\{-2\tau/n_0^{1/3}\}, r_j)$ and $t = t(j)$ in $(r_j, r_j \exp\{2\tau/n_0^{1/3}\})$.

Then

$$(2.10) \quad \nu(s, h_j) < \nu(t, h_j).$$

For suppose that $\nu(s) = \nu(t) \equiv p$, and set

$$\psi(r) = \frac{1}{|a_p|r^{n_p}} \left(\sum_{k=0}^{p-1} |a_k|r^{n_k} + \sum_{k=p+1}^{\infty} n_k^p |a_k|r^{n_k} \right).$$

Then $\psi(s) < 1$ and $\psi(t) < 1$ by (2.3). Hence $\psi(r_j) < 1$ since ψ is convex [7, p. 172]. Thus r_j is h_j -dominant, contrary to the definition of r_j . This proves (2.10).

Put

$$U_j(\theta_1, \theta_2) = \{re^{i\theta} : r_j \exp\{-2\tau/n_0^{1/3}\} \leq r \leq r_j \exp\{2\tau/n_0^{1/3}\} \text{ and } \theta_1 \leq \theta \leq \theta_2\}.$$

I will show that, if j is sufficiently large, then

$$(2.11)$$

h_j has at least one zero in $U_j(\theta_1, \theta_2)$ whenever $\theta_2 - \theta_1 > 6\pi L^{-j}/(1 - L^{-1})$.

For $xL^{-x} \downarrow$ for large x , so that, when $j \leq k$, (2.8) and (2.10) give $k/n_k < kL^{-k}/j \leq L^{-j}$ and $(n_{\nu(t)} - n_{\nu(s)})/n_{\nu(t)} > 1 - L^{-[\nu(t) - \nu(s)]} \geq 1 - L^{-1}$; thus, by Lemma 1, the number of zeros in $U_j(\theta_1, \theta_2)$ is at least

$$\begin{aligned} Z(s, t, \theta_1, \theta_2) &\geq (n_{\nu(t)} - n_{\nu(s)}) \frac{\theta_2 - \theta_1}{2\pi} - \nu(t) - 2 \\ &> (1 - L^{-1})n_{\nu(t)} \frac{\theta_2 - \theta_1}{2\pi} - 3\nu(t) \\ &> 3n_{\nu(t)}L^{-j} - 3\nu(t) > 3\nu(t) - 3\nu(t) = 0, \end{aligned}$$

which establishes (2.11).

Now by (2.9a) and (2.8b), $r_j \exp\{-2\tau/n_0^{1/3}\} \rightarrow r^*$ and $r_j \exp\{2\tau/n_0^{1/3}\} \rightarrow r^*$ as $j \rightarrow \infty$ in T . Thus (2.11) implies that every point of $\{|z| = r^*\}$ is a limit point of zeros of $\{h_j\}_{j \in T}$, so that, by (2.7), $\{|z| = r^*\} \subset \Lambda(f)$.

Case II. $r^* \notin E$. For all large j and small ε , r is h_j -dominant for r in $I \equiv (r^* - \varepsilon, r^* + \varepsilon)$. So by (2.3),

$$|h_j(z)| \geq \mu(r, h_j) - \sum_{k=0}^{\nu(r, h_j)-1} |a_k|r^{n_k} - \sum_{k=\nu(r, h_j)+1}^{\infty} |a_k|r^{n_k} > 0$$

whenever $|z| = r \in I$. This completes the proof of Theorem 1.

3. PROOF OF LEMMA 1

We need two more lemmas. The first is a variation on [6, Problem 66, p. 45]; the second is an adaptation of [3, Lemma 7]. Let D denote differentiation.

Lemma 3. Let $J \equiv (a, b) \subset \mathbb{R}^+$, let $g: J \rightarrow \mathbb{C}$ be differentiable, and let $\alpha \in \mathbb{Z}^+$. If $\text{Im}\{g\}$ changes sign at least twice in J , then $\text{Im}\{(rD - \alpha)g\}$ changes sign there at least once.

Proof. For real r ,

$$\text{Im}\{(rD - \alpha)g(r)\} = \text{Im} \left\{ r^{\alpha+1} \frac{d}{dr} [r^{-\alpha} g(r)] \right\} = r^{\alpha+1} \frac{d}{dr} [r^{-\alpha} \text{Im}\{g(r)\}],$$

and the lemma follows from Rolle's Theorem.

For a function H analytic on a contour C , denote by $\Delta(H, C)$ the variation over C of any continuous branch of $\arg H$.

Lemma 4. *Let h have the form (2.1) with radius of convergence R , let $[s, t] \subset (0, R)$, and suppose that t is h -dominant. Set $I = I(\theta) = \{re^{i\theta} : s \leq r \leq t\}$. If $h \neq 0$ on I , then $|\Delta(h, I)| \leq \pi[\nu(t) + 1]$.*

Proof. We may assume that $\theta = 0$. Set $q = \nu(t)$. Choose ϕ so that $e^{i\phi}a_q$ is positive imaginary, and put

$$(3.1) \quad H(r) = e^{i\phi}(rD - n_0)(rD - n_1) \cdots (rD - n_{q-1})h(r) \equiv \sum_{k=n_q}^{\infty} b_k r^{n_k},$$

where

$$(3.2) \quad b_k = (n_k - n_0)(n_k - n_1) \cdots (n_k - n_{q-1})e^{i\phi}a_k.$$

I claim that $\text{Im}\{H\}$ does not change sign in (s, t) . If the claim is correct, then q applications of Lemma 3 show that $\text{Im}\{h\}$ changes sign at most q times in (s, t) , so that the curve $h(I)$ crosses the real axis at most q times. Therefore $|\Delta(h, I)| \leq \pi(q + 1)$, and the lemma follows.

To prove the claim, pick r in (s, t) and set

$$\psi(r) = \frac{1}{|b_q|r^{n_q}} \left(\sum_{k=n_{q+1}}^{\infty} |b_k|r^{n_k} \right).$$

We have $|b_k| \leq n_k^q |a_k|$ and $|b_q| \geq |a_q|$ by (3.2). Thus, since t is h -dominant and $q = \nu(t)$, (2.3) gives

$$\psi(t) \leq \frac{1}{|a_q|t^{n_q}} \left(\sum_{k=n_{q+1}}^{\infty} n_k^q |a_k|t^{n_k} \right) = \frac{1}{\mu(t)} \left(\sum_{k=n_{\nu(t)+1}}^{\infty} n_k^{\nu(t)} |a_k|t^{n_k} \right) < 1.$$

Now ψ increases, so, by (3.1),

$$|H(r) - b_q r^{n_q}| \leq \sum_{k=q+1}^{\infty} |b_k| r^{n_k} = \psi(r) |b_q| r^{n_q} < |b_q| r^{n_q}.$$

But our choice of ϕ makes $b_q r^{n_q}$ positive imaginary, so that $H(r)$ is in the upper half-plane. This establishes the claim and Lemma 4.

Proof of Lemma 1. Let $\Gamma = I_1 \cup C_t \cup I_2 \cup C_s$, where $I_1 = \{re^{i\theta_1} : s \leq r \leq t\}$, $I_2 = \{re^{i\theta_2} : s \leq r \leq t\}$, $C_s = \{se^{i\theta} : \theta_1 \leq \theta \leq \theta_2\}$, and $C_t = \{te^{i\theta} : \theta_1 \leq \theta \leq \theta_2\}$. Also put $P(z) = a_{\nu(s)} z^{n_{\nu(s)}}$ and $Q(z) = a_{\nu(t)} z^{n_{\nu(t)}}$.

First assume that $h \neq 0$ on Γ . Then

$$(3.3) \quad \begin{aligned} \Delta(h, \Gamma) - \Delta(P, C_s) - \Delta(Q, C_t) \\ = \Delta(h/P, C_s) + \Delta(h/Q, C_t) + \Delta(h, I_1) + \Delta(h, I_2). \end{aligned}$$

Also, (2.3) gives $|h(z)/P(z) - 1| < 1$, and hence $\text{Re}\{h(z)/P(z)\} > 0$, for $z \in C_s$. So $|\Delta(h/P, C_s)| \leq \pi$. Similarly, $|\Delta(h/Q, C_t)| \leq \pi$. Thus, by (3.3) and Lemma 4,

$$(3.4) \quad |\Delta(h, \Gamma) - (n_{\nu(t)} - n_{\nu(s)})(\theta_2 - \theta_1)| \leq 2\pi + 2\pi[\nu(t) + 1],$$

and Lemma 1 follows from the argument principle. If h has zeros on Γ , apply (3.4) to a nearby contour Γ' on which $h \neq 0$ and let $\Gamma' \rightarrow \Gamma$.

4. PROOF OF LEMMA 2

Lemma 5. Let h , R , and L be as in Lemma 2, and let (2.4) hold. Pick $m \geq 0$ and $[A, B] \subset (0, R)$, and suppose that

$$(4.1) \quad |a_k|s^{nk} \leq |a_m|s^{nm} \quad \text{for all } k \geq 0 \text{ and } s \text{ in } [A, B]$$

and

$$(4.2) \quad \log \frac{B}{A} > \frac{6}{(\log L)(1 - 1/L)} \frac{(\log n_m)^2}{n_m}.$$

Then there exists r in (A, B) such that (2.3) holds with $\nu(r) = m$.

Proof of Lemma 2. For each $m \geq 0$, set $I_m = \{r \geq 0: |a_m|r^{nm} = \mu(r, h)\}$. Denote by (A, B) the interior of $I_m \cap (C, D)$. If (A, B) has no h -dominant points, then (4.2) must fail. Therefore, since $\bigcup I_m = \mathbb{R}^+$,

$$(4.3) \quad \begin{aligned} \log \frac{D}{C} &= \int_C^D \frac{dx}{x} = \sum_{m=0}^{\infty} \int_{I_m \cap (C, D)} \frac{dx}{x} \\ &\leq \frac{6}{(\log L)(1 - 1/L)} \sum_{m=0}^{\infty} \frac{(\log n_m)^2}{n_m}. \end{aligned}$$

Now $(\log x)/x^{1/3} \leq 3/e$ for $x > 0$; also, $n_m^{1/3} > (L^m n_0)^{1/3}$ by (2.8a). Thus $(\log n_m)^2/n_m \leq 9e^{-2}n_0^{2/3}/n_m < 9e^{-2}(L^m n_0)^{-1/3}$. So by (4.3) and (2.5),

$$\log \frac{D}{C} \leq \frac{1}{n_0^{1/3}} \frac{6}{(\log L)(1 - 1/L)} \frac{9}{e^2} \sum_{m=0}^{\infty} L^{-m/3} = \frac{\tau}{n_0^{1/3}}.$$

But this contradicts (2.6), and the proof is complete.

Proof of Lemma 5. Set

$$(4.4) \quad \sigma = \exp\{(\log n_m)^2/(n_m \log L)\}.$$

Then

$$(4.5) \quad \sigma > 1,$$

$$(4.6) \quad n_k^m \leq \sigma^{nk} \quad \text{for all } k \geq m,$$

$$(4.7) \quad \text{(a) } 2\sigma^{nm}\{\sigma(A/B)^{1/2}\}^{(1-1/L)n_m} < \frac{1}{3}, \quad \text{(b) } \sigma(A/B)^{1/2} < 1.$$

Proof of (4.6). By (2.8a) and (2.4), $k < (\log n_k)/(\log L)$. Also, $(\log x)^2/x$ decreases for $x > e^2$. Hence, by (4.4),

$$\begin{aligned} m \log n_k &\leq k \log n_k \leq \frac{(\log n_k)^2}{\log L} = \frac{(\log n_k)^2}{n_k} \frac{n_k}{\log L} \\ &\leq \frac{(\log n_m)^2}{n_m} \frac{n_k}{\log L} = n_k \log \sigma. \end{aligned}$$

Proof of (4.7). By (4.2) and (4.4), $(A/B)^{(1-1/L)n_m/2} < \sigma^{-3n_m}$. By (2.4), $\sigma^{n_m} \geq \sigma^{n_0} \geq 6$. Therefore

$$\{\sigma(A/B)^{1/2}\}^{(1-1/L)n_m} < \sigma^{(1-1/L)n_m-3n_m} < \sigma^{-n_m} \sigma^{-n_m} \leq \sigma^{-n_m}/6.$$

This yields (4.7a), and (b) follows from (a) and (4.5).

We are now ready to prove (2.3) with $\nu(r) = m$ and

$$(4.8) \quad r = (AB)^{1/2}.$$

When $k \geq m+1$, (2.8a) implies that

$$(4.9) \quad n_k - n_m = \sum_{\gamma=m+1}^k (n_\gamma - n_{\gamma-1}) \geq \sum_{\gamma=m+1}^k (L-1)n_{\gamma-1} \geq (L-1)n_m(k-m).$$

By (4.6), (4.1) with $s = B$, and (4.8), and by (4.9), (which we may apply because of (4.7b)),

$$(4.10) \quad \begin{aligned} n_k^m |a_k| r^{n_k} &\leq |a_m| B^{n_m} \{\sigma(A/B)^{1/2}\}^{n_k} \\ &\leq |a_m| r^{n_m} \sigma^{n_m} \{\sigma(A/B)^{1/2}\}^{(L-1)n_m(k-m)}. \end{aligned}$$

Next, if $0 \leq k < m-1$, then (2.8a) gives

$$n_k \leq n_{m-1} = n_m - (n_m - n_{m-1}) < n_m - (1-1/L)n_m.$$

Thus, by (4.1) with $s = A$ and (4.8),

$$(4.11) \quad |a_k| r^{n_k} \leq |a_m| A^{n_m} \{(B/A)\}^{1/2}{}^{n_k} \leq |a_m| r^{n_m} \{(A/B)^{1/2}\}^{(1-1/L)n_m}.$$

We have $m \leq n_m \leq \sigma^{n_m}$ from (2.4) and (4.6). Also, $L-1 > 1-1/L$ by (2.8a). Thus (4.11), (4.10), (4.5), and (4.7a) give

$$\begin{aligned} &\sum_{k=0}^{m-1} |a_k| r^{n_k} + \sum_{k=m+1}^{\infty} n_k^m |a_k| r^{n_k} \\ &< |a_m| r^{n_m} \left\{ m \left[\sigma \left(\frac{A}{B} \right)^{1/2} \right]^{(1-1/L)n_m} + \sigma^{n_m} \frac{[\sigma(A/B)^{1/2}]^{(1-1/L)n_m}}{1 - [\sigma(A/B)^{1/2}]^{(1-1/L)n_m}} \right\} \\ &\leq |a_m| r^{n_m} \left\{ \frac{[2\sigma^{n_m}][\sigma(A/B)^{1/2}]^{(1-1/L)n_m}}{1 - [\sigma(A/B)^{1/2}]^{(1-1/L)n_m}} \right\} < |a_m| r^{n_m} \frac{1/3}{1-1/6} < |a_m| r^{n_m}. \end{aligned}$$

This yields (2.3) and completes the proof of Lemma 5.

5. PROOF OF THEOREM 2

The following construction is similar to that in [1].

Proof of Theorem 2. Pick positive sequences $\{r_p\}_{p=0}^{\infty}$, $\{R_p\}_{p=0}^{\infty}$, and $\{\varepsilon_p\}_{p=0}^{\infty}$ so that

- $$(5.1) \quad \begin{aligned} &(a) \quad \text{the set of limit points of } \{r_p\} \text{ in } (0, R) \text{ is } E, \\ &(b) \quad r_p e^{\varepsilon_p} < R_p < R, \\ &(c) \quad \varepsilon_p \rightarrow 0, \\ &(d) \quad R_p \rightarrow R. \end{aligned}$$

Choose a function $\psi: \mathbb{Z}^+ \rightarrow \mathbb{R}^+$ such that

$$(5.2) \quad [\psi(x)]^{1/x} \downarrow 1/R \quad \text{as } x \rightarrow \infty.$$

Define f by (1.1), where $\{c_k\}$ and $\{N_k\}$ are defined inductively as follows. Set

$$(5.3) \quad (a) \quad N_0 = 3, \quad (b) \quad c_{-1} = 1.$$

Having chosen $c_{-1}, \dots, c_{2P-1} > 0$ and N_0, \dots, N_{2P} , pick $c_{2P}, c_{2P+1}, N_{2P+1}$, and N_{2P+2} as follows. Using (5.2) and (5.1b), pick N_{2P+1} large enough so that

$$(5.4) \quad (a) \quad N_{2P+1}/N_{2P} > 2, \quad (b) \quad N_{2P+1}^{-N_{2P}} > (e^{-\varepsilon_P/2})^{N_{2P+1}-N_{2P}},$$

$$(5.5) \quad N_{2P+1} \log\{[\psi(N_{2P+1})]^{1/N_{2P+1}} R_P\} < -2 \log 3,$$

and

$$(5.6) \quad \{[\psi(N_{2P+1})]^{1/N_{2P+1}} r_P\}^{N_{2P+1}/N_{2P}} r_P^{-1} < c_{2P-1}^{1/N_{2P-1}}.$$

Set

$$(5.7) \quad (a) \quad c_{2P+1} = \psi(N_{2P+1}), \quad (b) \quad c_{2P} = c_{2P+1} r_P^{N_{2P+1}-N_{2P}}.$$

Finally, pick N_{2P+2} large enough so that

$$(5.8) \quad (a) \quad N_{2P+2}/N_{2P+1} > 2, \quad (b) \quad 2N_{2P+1}^2 \frac{\log N_{2P+2}}{N_{2P+2}} < \log 3.$$

The function f just constructed satisfies

$$(5.9) \quad c_{2P+1}^{1/N_{2P+1}} \geq c_k^{1/N_k} \quad \text{for all } P \geq 0 \text{ and } k \geq 2P + 1.$$

For odd k , (5.9) follows from (5.7a) and (5.2). If $k \equiv 2Q$ is even, (5.9) follows from (5.7) and (5.6) (both with P replaced by Q):

$$c_{2Q}^{1/N_{2Q}} = (c_{2Q+1}^{1/N_{2Q+1}} r_Q)^{N_{2Q+1}/N_{2Q}} r_Q^{-1} < c_{2Q-1}^{1/N_{2Q-1}} \leq c_{2P+1}^{1/N_{2P+1}}.$$

f has radius of convergence R by (5.7a), (5.2), and (5.9). By (1.1) and (5.8a), $0 \in \Lambda(f)$. We need the following lemma, proved at the end of the paper, to show that $\Lambda(f) \cap \{0 < |z| < R\} = \{z : |z| \in E\}$.

Lemma 6. *Let f be as above, and define ϕ by*

$$(5.10) \quad f^{(j)}(z) = \sum_{N_k \geq j} c_k N_k (N_k - 1) \cdots (N_k - j + 1) z^{N_k - j} \equiv \sum_{N_k \geq j} \phi_{jk}(z).$$

If $P \geq 0$, and if

$$(5.11) \quad (a) \quad j \leq N_{2P+1} \quad \text{and} \quad (b) \quad |z| \leq R_P,$$

then

$$(5.12) \quad \sum_{k=2P+2}^{\infty} |\phi_{jk}(z)| \leq |\phi_{j,2P+1}(z)|/2.$$

Proof that $\Lambda(f) \cap \{0 < |z| < R\} \subset \{z : |z| \in E\}$. By (5.1), it is enough to show that $f^{(j)}(z) \neq 0$ whenever either

$$(5.13) \quad j \in (N_{2P}, N_{2P+1}] \quad \text{and} \quad 0 < |z| \leq R_P$$

or

$$(5.14) \quad j \in (N_{2P-1}, N_{2P}] \quad \text{and} \quad z \in \{0 < |z| \leq r_P e^{-\varepsilon_P}\} \cup \{r_P e^{\varepsilon_P} \leq |z| \leq R_P\}.$$

But if (5.13) holds, then (5.10) and (5.12) give

$$|f^{(j)}(z)| \geq |\phi_{j,2P+1}(z)| - \sum_{k=2P+2}^{\infty} |\phi_{jk}(z)| \geq |\phi_{j,2P+1}(z)|/2 > 0.$$

If (5.14) holds, define

$$(5.15) \quad G(j, P) = \frac{N_{2P}(N_{2P} - 1) \cdots (N_{2P} - j + 1)}{N_{2P+1}(N_{2P+1} - 1) \cdots (N_{2P+1} - j + 1)}.$$

Then $G(j, P) > 1/N_{2P+1}^j > N_{2P+1}^{-N_{2P}}$, so that, by (5.4b),

$$(5.16) \quad (e^{-\varepsilon_P/2})^{N_{2P+1}-N_{2P}} < G(j, P) < 1.$$

Also, by (5.10), (5.15), and (5.7b),

$$(5.17) \quad \left| \frac{\phi_{j, 2P}(z)}{\phi_{j, 2P+1}(z)} \right| = \frac{c_{2P}}{c_{2P+1}} G(j, P) |z|^{N_{2P}-N_{2P+1}} = G(j, P) \left(\frac{r_P}{|z|} \right)^{N_{2P+1}-N_{2P}}.$$

If $r_P e^{\varepsilon_P} \leq |z| \leq R_P$, then $|\phi_{j, 2P}(z)/\phi_{j, 2P+1}(z)| < (e^{-\varepsilon_P})^{N_{2P+1}-N_{2P}} \leq 3^{-6}$ by (5.17), (5.16), (5.4b), and (5.3). Hence, by (5.10) and (5.12),

$$\begin{aligned} |f^{(j)}(z)| &\geq |\phi_{j, 2P+1}(z)| - \sum_{k=2P+2}^{\infty} |\phi_{jk}(z)| - |\phi_{j, 2P}(z)| \\ &\geq |\phi_{j, 2P+1}(z)| - |\phi_{j, 2P+1}(z)|/2 - |\phi_{j, 2P+1}(z)|/3^6 > 0. \end{aligned}$$

Similarly, if $0 < |z| \leq r_P e^{-\varepsilon_P}$, then

$$|\phi_{j, 2P}(z)/\phi_{j, 2P+1}(z)| > (e^{\varepsilon_P/2})^{N_{2P+1}-N_{2P}} \geq 3^3$$

and

$$\begin{aligned} |f^{(j)}(z)| &\geq |\phi_{j, 2P}(z)| - \sum_{k=2P+2}^{\infty} |\phi_{jk}(z)| - |\phi_{j, 2P+1}(z)| \\ &\geq |\phi_{j, 2P}(z)| - \left(\frac{3}{2} \frac{1}{3^3} \right) |\phi_{j, 2P+1}(z)| > 0. \end{aligned}$$

Proof that $\{z: |z| \in E\} \subset \Lambda(f)$. Fix P and set

$$(5.18) \quad r = [G(2P, P)]^{1/(N_{2P+1}-N_{2P})} r_P.$$

Then, by (5.16),

$$(5.19) \quad r \in (r_P e^{-\varepsilon_P}, r_P).$$

Set $h_j(z) = z^j f^{(j)}(z)$. For $|z| = r$, we have

$$|\phi_{2P, 2P}(z)| = |\phi_{2P, 2P+1}(z)| > \sum_{k=2P+2}^{\infty} |\phi_{2P, k}(z)|$$

by (5.18), (5.17), and (5.12). Thus, by (5.10) and (2.2),

$$\mu(r, h_{2P}) = |z^{2P} \phi_{2P, 2P}(z)| = |z^{2P} \phi_{2P, 2P+1}(z)|.$$

Therefore r violates the definition (2.3) of h_{2P} -dominance. It now follows from (5.19) and (5.1ca) that E is in the set of limit points of the points which are not h_{2P} -dominant. Thus $\{z: |z| \in E\} \subset \Lambda(f)$ by the paragraph containing (2.9). This completes the proof of Theorem 2.

Proof of Lemma 6. Pick $k \geq 2P + 2$. By (5.9) and (5.7a),

$$(5.20) \quad \begin{aligned} \log \frac{c_k}{c_{2P+1}} &= \frac{\log c_k}{N_k} N_k - \frac{\log c_{2P+1}}{N_{2P+1}} N_{2P+1} \\ &\leq (N_k - N_{2P+1}) \frac{\log \psi(N_{2P+1})}{N_{2P+1}}. \end{aligned}$$

Also, $(\log x)/x$ decreases for $x > N_{2P+1}$ by (5.3a). Thus, by (5.8),

$$(5.21) \quad \begin{aligned} N_{2P+1} \frac{\log N_k}{N_k - N_{2P+1}} &= \frac{N_{2P+1}}{1 - N_{2P+1}/N_k} \frac{\log N_k}{N_k} \\ &< \frac{N_{2P+1}}{1/2} \frac{\log N_{2P+2}}{N_{2P+2}} \leq \frac{\log 3}{N_{2P+1}}. \end{aligned}$$

By (5.10), (5.11), (5.20), (5.21), and (5.5),

$$(5.22) \quad \begin{aligned} \log \left| \frac{\phi_{jk}(z)}{\phi_{j,2P+1}(z)} \right| &\leq \log \frac{c_k}{c_{2P+1}} + N_{2P+1} \log N_k + (N_k - N_{2P+1}) \log R_P \\ &\leq (N_k - N_{2P+1}) \left[\log(\{\psi(N_{2P+1})\}^{1/N_{2P+1}} R_P) + \frac{\log 3}{N_{2P+1}} \right] \\ &< (N_k - N_{2P+1}) \left(\frac{-\log 3}{N_{2P+1}} \right). \end{aligned}$$

But $(N_k - N_{2P+1})/N_{2P+1} \geq k - 2P - 1$ by (5.4a), (5.8a), and (4.9) (with $L = 2$, N_k in place of n_k , and $m = 2P + 1$). Thus (5.22) gives

$$\sum_{k=2P+2}^{\infty} \left| \frac{\phi_{jk}(z)}{\phi_{j,2P+1}(z)} \right| \leq \sum_{k=2P+2}^{\infty} e^{-(\log 3)(k-2P-1)} = \frac{1/3}{1 - 1/3} = \frac{1}{2}.$$

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