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ON NECESSARY CONDITIONS OF BASICITY OF A SYSTEM OF EIGEN-FUNCTIONS OF SECOND ORDER DISCONTINUOUS OPERATORS

Abstract

In the paper the basicity properties of a system of eigen-functions of the differential operator $Lu = u'' + q(x)u$ are investigated, where $q(x)$ is a complex-valued potential from the space $L_1(0, 1)$. Following V.A.Ilin we proceed from the generalized treatment of eigen-functions and they can have discontinuity of the first order. The necessary conditions of basicity of a system of eigen-functions in the space L_p ($1 < p < \infty$) in terms of eigen-values are obtained.

1. Basic definitions. Formulation of results. Let's on interval $G = (0; 1)$ of real axis consider the operator

$$Lu(x) = u''(x) + q(x)u(x) \tag{1.1}$$

with complex-valued potential $q(x) \in L_1(0; 1)$. Following the V.A.Ilin papers (see for example [1]), we'll proceed from the generalized treatment of eigen-functions of the operator (1.1).

Assume that with the help of the points

$$0 = \xi_0 < \xi_1 < \xi_2 < \dots < \xi_m < \xi_{m+1} = 1$$

the interval $(0; 1)$ is divided into $m + 1$ intervals $(\xi_{l-1}; \xi_l)$, $l = \overline{1, m + 1}$.

By D_l ($l = \overline{1, m + 1}$) we denote a class of functions, absolutely continuous together with their first derivatives on the segment $[\xi_{l-1}; \xi_l]$. Let D be a class of functions having the following properties: if $f \in D$, then for each $l = \overline{1, m + 1}$ there exists a function $f_l \in D_l$ such that $f = f_l$ at $\xi_{l-1} < x < \xi_l$.

Under the eigen-function of the operator L responding to complex eigen-value λ we'll understand any function $y(x) \in D$ not equal identically to zero satisfying almost everywhere in the interval $(0; 1)$ the equation

$$Ly(x) + \lambda y(x) = 0.$$

Consider an arbitrary system $\{u_n(x)\}_1^\infty$ consisting of eigen-functions of the operator L that we understand in the generalized sense. The corresponding system of eigen-values will be denoted by $\{\lambda_n\}_1^\infty$. It means that each function $u_n(x)$ belongs to D and almost everywhere in the interval $(0, 1)$ satisfies the equation

$$Lu_n(x) + \lambda_n u_n(x) = 0. \tag{1.2}$$

By the symbol L^* we'll denote an operator formally conjugated to the operator L , namely $L^*v = v''(x) + \bar{q}(x)v(x)$. Everywhere in the sequel it is assumed that p is a fixed number:

$$\frac{1}{p} + \frac{1}{q} = 1, \quad 1 \leq p < +\infty.$$

Assume for brevity

$$G_l = (\xi_{l-1}, \xi_l), \quad (f, g)_{G_l} = \int_{\xi_{l-1}}^{\xi_l} f(x) \overline{g(x)} dx,$$

$$(f, g) = \int_0^1 f(x) \overline{g(x)} dx, \quad \|f\|_p = \left(\int_0^1 |f(x)|^p dx \right)^{1/p}.$$

In the sequel parallel with eigen-values λ_n we'll use the spectral parameter $\mu_n = \sqrt{\lambda_n}$, where $\sqrt{r \exp(i\varphi)} = \sqrt{r} \exp(i\varphi/2)$, $-\frac{\pi}{2} \leq \varphi < \frac{3\pi}{2}$.

Let $D^{(0)}$ be a class of functions having the following properties: if $\psi \in D^{(0)}$ then for each $l = \overline{1, m+1}$ there exists a function $\psi_l \in C[\xi_{l-1}, \xi_l]$ such that $\psi = \psi_l$ at $\xi_{l-1} < x < \xi_l$. It is obvious that any function from this class can have the discontinuity (only the first order discontinuity) only at the points ξ_l ($l = \overline{0, m+1}$).

The basic results of the present paper are the following assertions.

Theorem 1. *Let $\{u_n(x)\}_1^\infty$ be an arbitrary system consisting of the eigen-functions of operator (1.1). If for arbitrary $f(x) \in D^{(0)}$*

$$\lim_{n \rightarrow \infty} (u_n, f) \|u_n\|_p^{-1} = 0, \tag{1.3}$$

then the sequence $\{\mu_n\}_1^\infty$ hasn't finite points of concentration.

Corollary 1. *Let $\{u_n(x)\}_1^\infty$ be an arbitrary system consisting of eigen-functions of operator (1.1). If $\{u_n(x)\}_1^\infty$ forms the basis of the space*

$L_p(G)$ ($1 < p < \infty$), then the sequence $\{\mu_k\}_1^\infty$ hasn't finite points of concentration.

Theorem 2. *Let the following two conditions be fulfilled:*

1) $\{u_n(x)\}_1^\infty$ is an arbitrary minimal system in $L_p(0; 1)$ ($1 < p < \infty$) consisting of eigen-functions of the operator L ;

2) the system $\{v_n(x)\}_1^\infty$ is biorthogonally conjugated to $\{u_n(x)\}_1^\infty$ and consists of eigen-functions of the operator L^* .

If $\{u_n(x)\}_1^\infty$ forms basis of the space $L_p(0; 1)$ then there exists the constant C_0 such that for all $n \geq 1$ it holds

$$|\text{Im } \mu_n| \leq C_0, \tag{1.4}$$

Remark 1.1. The second condition of theorem 2 means that the function $v_n(x)$ belongs to D and almost everywhere in G satisfies the equation $L^*v_n(x) + \overline{\lambda_n}v_n(x) = 0$.

Remark 1.2. The formulated results are easily transferred on the case of the operator $Lu(x) = u''(x) + p_1(x)u'(x) + p_2(x)u(x)$, where $p_1(x)$ is absolutely continuous on the segment $[0; 1]$ and $p_2(x) \in L_1(0, 1)$.

Everywhere in future under C we'll understand a positive constant not necessarily the same.

2. The proof of theorem 1. Let the assertion of theorem 1 be not true. Then there exists finite number a and subsequence $\{\mu_{n_k}(x)\}_{k=1}^\infty$ such that $\lim_{k \rightarrow \infty} \mu_{n_k} = a$.

In future we'll use the following estimations of eigen-functions constructed by V.V.Tikhomirov [2]:

$$\sup_{\xi_{l-1} < x < \xi_l} \left| u_n^{(s)}(x) \right| \leq C (1 + |\mu_n|)^s (1 + |\text{Im } \mu_n|)^{1/p} \|u_n\|_{L_p(\xi_{l-1}, \xi_l)}. \tag{2.1}$$

[N.B.Kerimov, E.J.Ibadov]

It is obvious that the function $\psi(x)$ can have only discontinuity of the first order at the points ξ_l ($l = \overline{0, m+1}$) and the sequence $\left\{ u_{n_k(m+1)}(x) \left\| u_{n_k(m+1)} \right\|_p^{-1} \right\}_1^\infty$ strongly converges to the function $\psi(x)$ in the space $L_p(0; 1)$. Hence for the function $\psi(x)$ we have $\|\psi\|_p = 1$.

Besides,

$$\|\psi\|_2^2 = \lim_{k \rightarrow \infty} (u_{n_k(m+1)}, \psi) \left\| u_{n_k(m+1)} \right\|_p^{-1} = 0.$$

The obtained contradiction completes the proof of theorem 1.

3. The proof of theorem 2. Note that at each of the intervals $(\xi_{l-1}; \xi_l)$, $l = \overline{1, m+1}$ the representation

$$\begin{aligned} \pm 2i\mu_n u_n(t) &= (u'_n(\xi_{l-1} + 0) \pm i\mu_n u_n(\xi_{l-1} + 0)) \exp[i\mu_n(t - \xi_{l-1})] + \\ &+ (-u'(\xi_l - 0) \pm i\mu_n u_n(\xi_l - 0)) \exp[i\mu_n(\xi_l - t)] - \\ &- \int_{\xi_{l-1}}^{\xi_l} q(x) u_n(x) \exp[\pm i\mu_n|x - t|] dt. \end{aligned} \quad (3.1)$$

is true.

In order to prove the correctness of representation (3.1) let's multiply (3.1) by the function $\exp[\pm i\mu_n|x - t|]$, where $\xi_{l-1} < x$, $t < \xi_l$, integrate the obtained identity by x from ξ_{l-1} to ξ_l and apply the integration by parts formula.

Let the assertion of theorem 2 be not true. Then from the sequence $\{\mu_n\}_{n=1}^\infty$ we can choose such subsequence $\{\mu_{n_k}\}_{k=1}^\infty$ that

$$\lim_{k \rightarrow \infty} |\operatorname{Im} \mu_{n_k}| = \infty. \quad (3.2)$$

Assume

$$U_k(x) = u_{n_k}(x), \quad V_k(x) = v_{n_k}(x), \quad \Lambda_k = \mu_{n_k} \quad (k \in \mathbf{N}) \quad (3.3)$$

It is obvious that

$$\lim_{k \rightarrow \infty} |\operatorname{Im} \Lambda_k| = \infty. \quad (3.2^*)$$

We'll assume (it is necessary passing to subsequence), that

$$0 < \operatorname{Im} \Lambda_k (\operatorname{Im} \Lambda_{k+1})^{-1} \leq \frac{1}{2} \quad (k \in \mathbf{N}), \quad (3.4)$$

$$\lim_{k \rightarrow \infty} \operatorname{Im} \Lambda_k (\operatorname{Im} \Lambda_{k+1})^{-1} = 0, \quad (3.5)$$

$$|\operatorname{Im} \Lambda_{k+1}| > 1 \quad (k \in \mathbf{N}). \quad (3.6)$$

Since by the choice the all terms of the sequence $\{\operatorname{Im} \Lambda_k\}_{k=1}^\infty$ have the same signs

$$\operatorname{Im} \Lambda_k > 1 \quad (k \in \mathbf{N}). \quad (3.6^*)$$

The case $\operatorname{Im} \Lambda_k < -1$ ($k \in \mathbf{N}$) is considered absolutely analogously.

By virtue of our notation and the second condition of theorem 1 at $k \in \mathbf{N}$ we have

$$(U_k, V_k) = 1, \quad (U_k, V_{k+1}) = 0. \quad (3.7)$$

In view of notation (1.3) at $x \in G_l = (\xi_{l-1}; \xi_l)$ and $k \in N$ the representation

$$\begin{aligned}
 U_k(x) &= H_{k,l}^{(1)} (2 \operatorname{Im} \Lambda_k)^{1/p} \exp [i \Lambda_k (x - \xi_{l-1})] + \\
 &+ H_{k,l}^{(2)} (2 \operatorname{Im} \Lambda_k)^{1/p} \exp [i \Lambda_k (\xi_l - x)] + \\
 &+ \frac{1}{2i \Lambda_k} \int_{\xi_{l-1}}^{\xi_l} q(t) U_k(t) \exp [i \Lambda_k |x - t|] dt,
 \end{aligned} \tag{3.8}$$

$$H_{k,l}^{(1)} = \frac{U'_k(\xi_{l-1} + 0) + i \Lambda_k U_k(\xi_{l-1} + 0)}{2i \Lambda_k (2 \operatorname{Im} \Lambda_k)^{1/p}}, \tag{3.9}$$

$$H_{k,l}^{(2)} = \frac{-U'_k(\xi_l - 0) + i \Lambda_k U_k(\xi_l + 0)}{2i \Lambda_k (2 \operatorname{Im} \Lambda_k)^{1/p}} \tag{3.9'}$$

is true.

From estimation (2.1) it follows

$$\sup_{\xi_{l-1} < x < \xi_l} |U_k^{(s)}(x)| \leq C |\Lambda_k|^s (\operatorname{Im} \Lambda_k)^{1/p} \|U_k\|_p, \tag{3.10}$$

where $k \in \mathbf{N}$ and $s = 0, 1$. Taking into account (3.9), (3.9'), (3.10) we conclude that at $k \in \mathbf{N}$ the inequality

$$|H_{k,l}^{(j)}| \leq C \|U_k\|_p \quad (j = 1, 2) \tag{3.11}$$

is true.

Using (3.6*) and (3.10) it is easy to show that at $x \in G_l$, $k \in N$.

$$\int_{\xi_{l-1}}^{\xi_l} q(t) U_k(t) \exp [i \Lambda_k |x - t|] dt = (2 \operatorname{Im} \Lambda_k)^{1/p} \|U_k\|_p O_1(1), \tag{3.12}$$

is true, where $O_1(1)$ is a bounded function from k, x and l .

From (3.8) and (3.12) we'll obtain

$$\begin{aligned}
 U_k(x) &= (2 \operatorname{Im} \Lambda_k)^{1/p} \left\{ H_{k,l}^{(1)} \exp [i \Lambda_k (x - \xi_{l-1})] + \right. \\
 &\left. + H_{k,l}^{(2)} \exp [i \Lambda_k (\xi_l - x)] + \frac{\|U_k\|_p}{\Lambda_k} O_1(1) \right\},
 \end{aligned} \tag{3.13}$$

Conducting the analogous considerations for the function $V_k(x)$ at $x \in G_l$ and $k \in \mathbf{N}$ we'll have

$$\begin{aligned}
 \overline{V_k(x)} &= (2 \operatorname{Im} \Lambda_k)^{1/q} \left\{ G_{k,l}^{(1)} \exp [i \Lambda_k (x - \xi_{l-1})] + \right. \\
 &\left. + G_{k,l}^{(2)} \exp [i \Lambda_k (\xi_l - x)] + \frac{\|U_k\|_q}{\Lambda_k} O_2(1) \right\},
 \end{aligned} \tag{3.14}$$

where $G_{k,l}^{(j)}$ ($j = 1, 2$) are some complex numbers, moreover

$$|G_{k,l}^{(j)}| \leq C \|V_k\|_q \quad (j = 1, 2; k \in N), \tag{3.15}$$

[N.B.Kerimov, E.J.Ibadov]

and $O_2(1)$ is a bounded function from k, x and l .

It is easy to note that if N bounded sequences $\{a_n^{(r)}\}_{n=1}^{\infty}$ ($r = \overline{1, N}$) is given, then there exists a strongly increasing sequence of natural numbers $\{n_{\nu}\}_{\nu=1}^{\infty}$ such that each of the sequences $\{a_{n_{\nu}}^{(r)}\}_{\nu=1}^{\infty}$ ($r = \overline{1, N}$) converges.

Consequently, according to (3.11) and (3.15) we can assume (if it is necessary passing to the subsequence) that at $j = 1, 2$ and $l = \overline{1, m}$

$$\lim_{k \rightarrow \infty} H_{k,l}^{(j)} \|U_k\|_p^{-1} = h_l^{(j)}, \quad (3.16)$$

$$\lim_{k \rightarrow \infty} G_{k,l}^{(j)} \|V_k\|_q^{-1} = g_l^{(j)}, \quad (3.17)$$

are true, where $h_l^{(j)}, g_l^{(j)}$ are some numbers.

Assume that

$$\beta_{k,l}^{(j)} = [H_{k,l}^{(1)} G_{k,l}^{(j)} + H_{k,l}^{(2)} G_{k,l}^{(3-j)}] \|U_k\|_p^{-1} \|V_k\|_q^{-1}, \quad (3.18)$$

$$\beta_{k,l}^{(2+j)} = [H_{k,l}^{(1)} G_{k+1,l}^{(j)} + H_{k,l}^{(2)} G_{k+1,l}^{(3-j)}] \|U_k\|_p^{-1} \|V_{k+1}\|_q^{-1}, \quad (3.19)$$

$$\beta_{k,l} = [|H_{k,l}^{(1)}| + |H_{k,l}^{(2)}|] \|U_k\|_p^{-1}, \quad (3.20)$$

$$\beta_{k,l}^* = [|G_{k,l}^{(1)}| + |G_{k,l}^{(2)}|] \|V_k\|_q^{-1}, \quad (3.21)$$

where $j = 1, 2; k \in \mathbf{N}, l \in \mathbf{N}$. According to (3.11) and (3.15)-(3.21) we have

$$\lim_{k \rightarrow \infty} \beta_{k,l}^{(1)} = \lim_{k \rightarrow \infty} \beta_{k,l}^{(3)} = h_l^{(1)} g_l^{(1)} + h_l^{(2)} g_l^{(2)}, \quad (3.22)$$

$$\sum_{j=1}^4 \sum_{l=1}^{m+1} |\beta_{k,l}^{(j)}| + \sum_{l=1}^{m+1} \beta_{k,l} + \sum_{l=1}^{m+1} \beta_{k,l}^* \leq C, k \in N. \quad (3.23)$$

Using the introduced above notation by the immediate calculations we can see that at $k \in \mathbf{N}$ and $l = \overline{1, m+1}$ the

$$\begin{aligned} \frac{(U_k, V_k)}{\|U_k\|_p \|V_k\|_q} &= \frac{\sum_{l=1}^{m+1} (U_k, V_k)_{G_l}}{\|U_k\|_p \|V_k\|_q} = \frac{\text{Im } \Lambda_k}{i \Lambda_k} \sum_{l=1}^{m+1} \beta_{k,l}^{(1)} \{ \exp [2i \Lambda_k (\xi_l - \xi_{l-1})] - 1 \} + \\ &+ 2 \text{Im } \Lambda_k \sum_{l=1}^{m+1} \beta_{k,l}^{(2)} (\xi_l - \xi_{l-1}) \exp [i \Lambda_k (\xi_l - \xi_{l-1})] + \frac{\sum_{l=1}^{m+1} \beta_{k,l}}{\Lambda_k} O(1) + \\ &+ \frac{\sum_{l=1}^{m+1} \beta_{k,l}^*}{\Lambda_k} O(1) + \frac{\text{Im } \Lambda_k}{\Lambda_k^2} O(1), \end{aligned} \quad (3.24)$$

$$\frac{(U_k, V_{k+1})}{\|U_k\|_p \|V_{k+1}\|_q} = \frac{\sum_{l=1}^{m+1} (U_k, V_{k+1})_{G_l}}{\|U_k\|_p \|V_{k+1}\|_q} = 2 (\text{Im } \Lambda_k)^{1/p} (\text{Im } \Lambda_{k+1})^{1/q} \times$$

$$\begin{aligned} & \times \left\{ \frac{1}{i(\Lambda_{k+1} + \Lambda_k)} \sum_{l=1}^{m+1} \beta_{k,l}^{(3)} (\exp [i(\xi_l - \xi_{l-1})(\Lambda_{k+1} - \Lambda_k)] - 1) + \right. \\ & + \frac{1}{i(\Lambda_{k+1} - \Lambda_k)} \sum_{l=1}^{m+1} \beta_{k,l}^{(4)} (\exp [i\Lambda_{k+1}(\xi_l - \xi_{l-1})] - \exp [i\Lambda_k(\xi_l - \xi_{l-1})]) + \\ & \left. + \frac{\sum_{l=1}^{m+1} \beta_{k,l}}{\Lambda_{k+1} \operatorname{Im} \Lambda_k} O(1) + \frac{\sum_{l=1}^{m+1} \beta_{k,l}^*}{\Lambda_k \operatorname{Im} \Lambda_{k+1}} O(1) + \frac{O(1)}{\Lambda_k \Lambda_{k+1}} \right\} \end{aligned} \quad (3.25)$$

are true, where $O(1)$ means the bounded function from k not necessarily the same.

Since $\{U_k(x)\}_1^\infty$ is a basis of the space $L_p(G)$ and $\{V_k(x)\}_1^\infty$ is a system biorthogonally conjugated to $\{U_k(x)\}_1^\infty$, then it is well-known (see for example [4, p.370]) that

$$1 \leq \|U_k\|_p \|V_k\|_q \leq C, \quad k \in N.$$

Consequently, not losing generality, we can assume (if it is necessary passing to the subsequence) that it holds

$$\lim_{k \rightarrow \infty} \|U_k\|_p \|V_k\|_q = \alpha, \quad (3.26)$$

where $\alpha \geq 1$.

Note, that $(U_k, V_k) = 1$ ($k \in \mathbf{N}$). From here and from (3.23)-(3.24) we conclude that at $k \in N$ the relation

$$\frac{1}{\|U_k\|_p \|V_k\|_q} = -\frac{\operatorname{Im} \Lambda_k}{i\Lambda_k} \sum_{l=1}^{m+1} \beta_{k,l}^{(1)} + \frac{O(1)}{\operatorname{Im} \Lambda_k}.$$

is true.

Consequently, by virtue of (3.26) we have

$$\lim_{k \rightarrow \infty} \frac{\operatorname{Im} \Lambda_k}{i\Lambda_k} \sum_{l=1}^{m+1} \beta_{k,l}^{(1)} = -\alpha^{-1} \neq 0.$$

Allowing for the last relation and (3.22) we obtain

$$\lim_{k \rightarrow \infty} \sum_{l=1}^{m+1} \beta_{k,l}^{(1)} = \sum_{l=1}^{m+1} (h_l^{(1)} g_l^{(1)} + h_l^{(2)} g_l^{(2)}) \equiv \beta \neq 0, \quad (3.27)$$

$$\lim_{k \rightarrow \infty} \frac{\operatorname{Im} \Lambda_k}{i\Lambda_k} = -(\alpha\beta)^{-1} \neq 0. \quad (3.28)$$

Since $(U_k, V_{k+1}) = 0$ ($k \in \mathbf{N}$), then from (3.24) we have

$$0 = \sum_{l=1}^{m+1} \beta_{k,l}^{(3)} (\exp [i(\xi_l - \xi_{l-1})(\Lambda_{k+1} - \Lambda_k)] - 1) +$$

$$\begin{aligned}
 & + \frac{\Lambda_{k+1} + \Lambda_k}{\Lambda_{k+1} - \Lambda_k} \sum_{l=1}^{m+1} \beta_{k,l}^{(4)} (\exp [i\Lambda_{k+1} (\xi_l - \xi_{l-1})] - \exp [i\Lambda_k (\xi_l - \xi_{l-1})]) + \\
 & + \frac{i (\Lambda_{k+1} + \Lambda_k)}{\Lambda_{k+1} \operatorname{Im} \Lambda_k} \left(\sum_{l=1}^{m+1} \beta_{k,l} \right) O(1) + \frac{i (\Lambda_{k+1} + \Lambda_k) \left(\sum_{l=1}^{m+1} \beta_{k,l}^* \right) O(1)}{\Lambda_k \operatorname{Im} \Lambda_{k+1}} + \\
 & + \frac{i (\Lambda_{k+1} + \Lambda_k)}{\Lambda_k \Lambda_{k+1}} O(1). \tag{3.29}
 \end{aligned}$$

Further, according to (3.4), (3.5), (3.6*) and (3.28) at $k \in \mathbf{N}$ we have

$$\begin{aligned}
 \exp [i (\xi_l - \xi_{l-1}) (\Lambda_{k+1} - \Lambda_k)] & = \frac{O(1)}{\Lambda_k}, \\
 \frac{\Lambda_{k+1} + \Lambda_k}{\Lambda_{k+1} - \Lambda_k} \exp [i\Lambda_{k+1} (\xi_l - \xi_{l-1})] - \exp [i\Lambda_k (\xi_l - \xi_{l-1})] & = \frac{O(1)}{\Lambda_k} \\
 \frac{i (\Lambda_{k+1} + \Lambda_k)}{\Lambda_{k+1} \operatorname{Im} \Lambda_k} = \frac{O(1)}{\Lambda_k}, \quad \frac{i (\Lambda_{k+1} + \Lambda_k)}{\Lambda_k \operatorname{Im} \Lambda_{k+1}} = \frac{O(1)}{\Lambda_k}, \quad \frac{i (\Lambda_{k+1} + \Lambda_k)}{\Lambda_k \Lambda_{k+1}} & = \frac{O(1)}{\Lambda_k}.
 \end{aligned}$$

By virtue of (3.29) and the last three relations we have

$$0 = - \sum_{l=1}^{m+1} \beta_{k,l}^{(3)} + O(1) / \Lambda_k.$$

Hence, it follows that $\lim_{k \rightarrow \infty} \sum_{l=1}^{m+1} \beta_{k,l}^{(3)} = 0$. Then by virtue of (3.22) we have

$\lim_{k \rightarrow \infty} \sum_{l=1}^{m+1} \beta_{k,l}^{(1)} = 0$, that contradicts to (3.27). Theorem 2 is proved.

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