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# THE CARTAN-THULLEN THEOREM FOR BANACH SPACES

by SEÁN DINEEN

The object of this paper is to give a characterization of domains of holomorphy which is similar to that given by Cartan-Thullen for finite dimensional spaces in [4]. In § 1 we recall some results from the theory of holomorphic functions on a Banach space, define domains of holomorphy and prove a number of fundamental lemmas. In § 2 we prove our main results. Our main reference for the theory of holomorphic functions on a Banach space is [16] and for domains of holomorphy in finite dimensions we refer to [2], [3], [4], [10], [13] and [15]. In [1], [2], [3], [6], [11] and [12] there are a number of interesting results concerning domains of holomorphy in infinite dimensions.

SECTION 1.  $E$  will represent a complex Banach space with unit ball  $B_1$ . For each positive integer  $m$  let  $\mathcal{L}({}^m E)$  denote the set of all continuous  $m$ -linear mappings from  $E^m = E \times E \times \dots \times E$  ( $m$  times) into  $\mathcal{C}$  (the complex numbers). Let  $\Delta_m$  denote the mapping from  $E$  into  $E^m$  which takes  $x$  into  $(x, x, \dots, x)$  ( $m$  times). A continuous  $m$ -homogeneous polynomial is a mapping from  $E$  into  $\mathcal{C}$  which is the composition of  $\Delta_m$  and an element of  $\mathcal{L}({}^m E)$ . We denote by  $\mathcal{P}({}^m E)$  the set of all continuous polynomials on  $E$  and we note that it forms a Banach space under the norm

$$\|P\| = \sup_{\substack{\|x\| \leq 1 \\ x \in E}} |P(x)|.$$

A complex valued function  $f$  defined on an open subset  $U$  of  $E$  is said to be holomorphic at  $\xi \in U$  if there exists a sequence  $(P_n(\xi))_{n=0}^{\infty}$  (where  $P_n(\xi) \in$

$\in \mathcal{P}(^n E)$  for each  $n$  such that

$$(1) \quad \limsup_{m \rightarrow \infty} \|P_m(\xi)\|^{1/m} < \infty$$

$$(2) \quad f(x) = \sum_{m=0}^{\infty} P_m(\xi)(x - \xi)^m$$

for all  $x$  in some neighbourhood of  $\xi$ .  $f$  is said to be holomorphic on  $U$  if it is holomorphic at all points of  $U$ . Since the expansion in (2) is unique

(see [16]) we write  $\frac{\widehat{d}^m f(\xi)}{m!} = P_m(\xi)$  and call (2) the Taylor series expansion

of  $f$  at  $\xi$ . For the remainder of this paper  $U$  will denote a connected open subset of  $E$  with a nonempty boundary  $\delta U$  (the questions we consider are trivial for  $U = E$ ).  $\mathcal{C}A$  will denote the complement with respect to  $E$  of the subset  $A$  of  $E$ . If  $A_1$  and  $A_2$  are subsets of  $E$  we denote by  $d(A_1, A_2)$  the distance between  $A_1$  and  $A_2$ , i. e.

$$d(A_1, A_2) = \inf_{\substack{x \in A_1 \\ y \in A_2}} \|x - y\|$$

**DEFINITION 1.**  $B \subset E$  is  $U$ -bounded if  $B$  is a bounded subset of  $E$  and  $d(B, \mathcal{C}U) > 0$ . We note if  $E$  is finite dimensional that the closed  $U$ -bounded sets are exactly the compact subsets of  $U$ .

**DEFINITION 2.** (a)  $\mathcal{H}(U)$  is the set of all complex-valued holomorphic functions on  $U$ .

(b)  $\mathcal{H}_b(U)$  is the set of all holomorphic functions on  $U$  which are bounded on all  $U$ -bounded sets.

**DEFINITION 3.** Let  $B \subset U$  then  $\widehat{B}_U$  (resp.  $\widehat{B}_{U,b}$ ) is the set of all  $\zeta \in U$  such that

$$|f(\zeta)| \leq \sup_{x \in B} |f(x)|$$

for all  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) and is called the  $U$  (resp.  $U_b$ )-holomorphic hull of  $B$ .

**DEFINITION 4.** A connected open subset  $U$  of  $E$  is a domain of holomorphy (resp.  $b$  domain of holomorphy) if there exists  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) which cannot be extended to an element of  $\mathcal{H}(U_1)$  (resp.  $\mathcal{H}_b(U_1)$ ) where  $U_1$  is a connected open subset of  $E$  which properly contains  $U$ .

For a subset  $V$  of  $(\mathcal{P}(^m E))'$  (the dual of  $\mathcal{P}(^m E)$ ) we let  $\|P\|_V = \sup_{\Phi \in V} |\Phi(P)|$  for all  $P \in \mathcal{P}(^m E)$ .

LEMMA 1. Let  $B \subset U$  and  $V \subset (\mathcal{P}({}^m E))'$  then for all  $\zeta \in \widehat{B}_U$  (resp.  $\widehat{B}_{U,b}$ ) we have

$$\|\widehat{d}^m f(\zeta)\|_V \leq \sup_{x \in B} \|\widehat{d}^m f(x)\|_V$$

for each integer  $m$  and all  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ).

PROOF. Let  $\Phi \in V$  and  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) then by the definition of holomorphic hull

$$|\Phi(\widehat{d}^m f(\zeta))| \leq \sup_{x \in B} |\Phi(\widehat{d}^m f(x))| \leq \sup_{x \in B} \|\widehat{d}^m f(x)\|_V$$

Hence

$$\sup_{\Phi \in V} |\Phi(\widehat{d}^m f(\zeta))| \leq \sup_{x \in B} \|\widehat{d}^m f(x)\|_V$$

i. e.

$$\|\widehat{d}^m f(\zeta)\|_V \leq \sup_{x \in B} \|\widehat{d}^m f(x)\|_V.$$

LEMMA 2. Let  $B \subset U$  and  $\alpha > 0$  be such that  $B + \alpha B_1 \subset U$ . If  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) is bounded on  $B + \alpha B_1$  then  $f$  is holomorphic (by analytic continuation if necessary) on  $\widehat{B}_U + \alpha B_1$  (resp.  $\widehat{B}_{U,b} + \alpha B_1$ ) and

$$|f(x + y)| \leq \sup_{w \in B + \alpha B_1} |f(w)| \cdot \frac{\alpha}{\alpha - \|y\|}$$

where  $x \in \widehat{B}_U$  (resp.  $\widehat{B}_{U,b}$ ) and  $\|y\| < \alpha$ .

PROOF. By Cauchy's inequalities (see [16], p. 22) we get

$$\sup_{x \in B} \left\| \frac{\widehat{d}^m f(x)}{m!} \right\| \leq \frac{M}{\alpha^m} \text{ for } m = 0, 1, \dots$$

where  $M = \sup_{x \in B + \alpha B_1} |f(x)|$ . By lemma 1 this implies (taking  $V = B_1$ )

$$\sup_{x \in \widehat{B}_U \text{ (resp. } \widehat{B}_{U,b})} \left\| \frac{\widehat{d}^m f(x)}{m!} \right\| \leq \frac{M}{\alpha^m}.$$

By the Cauchy-Hadamard formula ([16], P. 10)  $f$  is holomorphic (by analytic continuation if necessary) on  $\widehat{B}_U + \alpha B_1$  (resp.  $\widehat{B}_{U,b} + \alpha B_1$ ) and for  $x \in \widehat{B}_U$

(resp.  $\widehat{B}_{U,b}$ ) and  $\|y\| < \alpha$  we have

$$|f(x + y)| \leq \sum_{n=0}^{\infty} \left\| \frac{d^n f(x)}{n!} \right\| \cdot \|y\|^n \leq \sup_{x \in B + \alpha B_1} |f(x)| \cdot \frac{\alpha}{\alpha - \|y\|}.$$

If  $\alpha$  is a positive real number and  $A \subset E$  we say  $A + \alpha B_1$  is an  $\alpha$  neighbourhood of  $A$ .

LEMMA 3. Let  $U$  be a domain of holomorphy (resp.  $b$ -domain of holomorphy) and let  $B$  be  $U$ -bounded. If each  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) is bounded on some  $\alpha(f)$  neighbourhood of  $B$  then  $\widehat{B}_U$  (resp.  $\widehat{B}_{U,b}$ ) is  $U$ -bounded.

PROOF. It is easy to check that  $\widehat{B}_U$  (resp.  $\widehat{B}_{U,b}$ ) is always a bounded subset of  $E$  so there remains only to show that  $d(\widehat{B}_U, \mathcal{C}U) > 0$  (resp.  $d(\widehat{B}_{U,b}, \mathcal{C}U) > 0$ ). If not there exists a sequence,  $(\xi_n)_{n=0}^{\infty}$ , of elements belonging to  $B_U$  (resp.  $B_{U,b}$ ) such that  $d(\xi_n, \mathcal{C}U) \rightarrow 0$  as  $n \rightarrow \infty$ . Lemma 2 implies that every  $f \in \mathcal{H}(U)$  (resp.  $\mathcal{H}_b(U)$ ) has an extension to a holomorphic function in some  $\alpha(f)$  neighbourhood of each  $\xi_n$ . Since  $U$  is a domain of holomorphy (resp.  $b$ -domain of holomorphy) and  $d(\xi_n, \mathcal{C}U) \rightarrow 0$  as  $n \rightarrow \infty$  this is a contradiction.

LEMMA 4. Let  $U$  be a connected open subset of  $E$  such that it is impossible to find two open connected subsets  $U_1$  and  $U_2$  of  $E$  with the following properties.

- (1)  $U \cap U_1 \supset U_2 \not\equiv \emptyset$  and  $U_1 \not\subset U$
- (2) For every  $f \in \mathcal{H}_b(U)$  there exists an  $f_1 \in \mathcal{H}_b(U_1)$  such that  $f = f_1$  on  $U_2$

then  $\widehat{B}_{U,b}$  is  $U$ -bounded for each  $U$ -bounded set  $B$  and  $d(\widehat{B}, \mathcal{C}U) = d(B_{U,b}, \mathcal{C}U)$ .

PROOF. Since  $B \subset \widehat{B}_{U,b}$  we get immediately that  $d(B, \mathcal{C}U) \geq d(\widehat{B}_{U,b}, \mathcal{C}U)$ . Suppose  $d(B, \mathcal{C}U) > d(\widehat{B}_{U,b}, \mathcal{C}U)$ . Choose  $\xi_1 \in \widehat{B}_{U,b}$ ,  $\xi_2 \in \mathcal{C}U$  and  $\alpha > 0$  such that  $B + \underline{\xi_2 - \xi_1} + \alpha B_1 \subset U$  and is  $U$ -bounded where  $\underline{\xi_2 - \xi_1}$  denotes the convex balanced hull of  $\xi_2 - \xi_1$  (choose  $\xi_1, \xi_2$  such that  $\|\xi_2 - \xi_1\| < d(B, \mathcal{C}U)$  and take  $0 < \alpha < 1/2 [d(B, \mathcal{C}U) - \|\xi_2 - \xi_1\|]$ ). For  $z \in \widehat{B}_{U,b}$  we get by Cauchy's inequalities and lemma 1 that

$$\left\| \frac{\widehat{d}^n f(z)}{n!} \right\|_{\underline{\xi_2 - \xi_1} + \alpha B_1} \leq \sup_{y \in B} \left\| \frac{\widehat{d}^n f(y)}{n!} \right\|_{\underline{\xi_2 - \xi_1} + \alpha B_1} \leq \sup_{y \in B + \underline{\xi_2 - \xi_1} + \alpha B_1} |f(y)|$$

(this is meaningful when we identify  $E$  with a subset of  $(\mathcal{P}({}^n E))'$  by means of the mapping  $P \rightarrow P(x)$  for all  $P \in \mathcal{P}({}^n E)$ ). Lemma 2 implies that  $f$  is holomorphic on the set  $\widehat{B}_{U, b} + \underline{\xi_2 - \xi_1} + \alpha B_1$  and for  $\alpha_1 < \alpha$  we have

$$\sup_{y \in \widehat{B}_{U, b} + \underline{\xi_2 - \xi_1} + \alpha_1 B_1} |f(y)| < \infty.$$

But  $\xi_2 \in (\widehat{B}_{U, b} + \underline{\xi_2 - \xi_1}) \cap \mathcal{C}U$  and this contradicts the hypothesis for  $U$  and hence proves the lemma.

The analogous lemma for  $\mathcal{H}(U)$  can be proved in a similar fashion and we get

LEMMA 5. Let  $U$  be an open connected subset of  $E$  such that for each  $\xi \in \delta U$  there exists  $f \in \mathcal{H}(U)$  which cannot be extended to a holomorphic function in a neighbourhood of  $\xi$ . Then the holomorphic hull of each compact subset  $K$  of  $U$ ,  $\widehat{K}_U$ , is a compact subset of  $U$  and  $d(K, \mathcal{C}U) = d(\widehat{K}_U, \mathcal{C}U)$ .

In the next two lemmas we concern ourselves with topologies on  $\mathcal{H}(U)$  (see [5], [7] and [16]). Let  $T_0$  denote the compact open topology on  $\mathcal{H}(U)$  and let  $T$  denote the bornological topology associated with  $T_0$  (see [7]). Since  $T_0$  is complete (see [16]),  $T$  is also complete and barrelled.

LEMMA 6. Let  $x_n \in U$  for  $n = 1, 2, \dots$  and suppose  $\sup_n |f(x_n)| < \infty$  for all  $f \in \mathcal{H}(U)$  then  $p(f) = \sup_n |f(x_n)|$  defines a continuous semi-norm on  $(\mathcal{H}(U), T)$ .

PROOF. Let  $B_p = \{f; p(f) \leq 1\}$ . Then  $B_p$  is absorbing (by hypothesis) and since  $B_p = \bigcap_p \{f; |f(x_n)| \leq 1\}$  it is closed and convex. Since  $(\mathcal{H}(U), T)$  is barrelled this completes the proof.

LEMMA 7. Let  $p$  be a continuous semi-norm on the space  $(\mathcal{H}(U), T)$  and suppose  $(V_n)_{n=1}^\infty$  is an increasing sequence of open subsets of  $U$  such that  $\bigcup_{n=1}^\infty V_n = U$  then there exists a positive integer  $n_0$  and  $C > 0$  such that

$$p(f) \leq C \sup_{x \in \overline{V}_{n_0}} |f(x)|.$$

PROOF. Suppose the result is not true. Then for each positive integer  $n$  we can choose  $f_n \in \mathcal{H}(U)$  such that  $p(f_n) \geq n$  and  $\sup_{x \in \overline{V}_n} |f_n(x)| \leq 1/n$ .

The sequence  $(f_n)_{n=1}^\infty$  is a bounded subset of  $(\mathcal{H}(U), T_0)$  and consequently of  $(\mathcal{H}(U), T)$  but  $p(f_n) \rightarrow \infty$  as  $n \rightarrow \infty$  which is a contradiction.

## SECTION 2.

**THEOREM (Cartan-Thullen I).** *Let  $U$  be a connected open subset of the Banach space  $E$ . For the properties listed below we have (1)  $\implies$  (2)  $\iff$  (3)  $\iff$  (4)  $\iff$  (5)  $\iff$  (6). (2)  $\implies$  (1) if  $E$  is separable but this does not hold for arbitrary  $E$ .*

- (1)  $U$  is a  $b$ -domain of holomorphy
- (2) For each  $\xi \in \delta U$  there exists  $f \in \mathcal{H}_b(U)$  which cannot be extended analytically to a neighbourhood of  $\xi$ .
- (3) It is impossible to find two open connected subsets  $U_1$  and  $U_2$  of  $E$  such that:

- (a)  $U \cap U_1 \supset U_2 \neq \emptyset$  and  $U \not\supset U_1$
- (b) For every  $f \in \mathcal{H}_b(U)$  there exists an  $f_1 \in \mathcal{H}_b(U_1)$  such that  $f = f_1$  on  $U_2$

(4) If  $B$  is  $U$ -bounded then  $\widehat{B}_{U,b}$  is  $U$ -bounded and  $d(B, \mathcal{C}U) = d(\widehat{B}_{U,b}, \mathcal{C}U)$ .

(5) If  $B$  is  $U$ -bounded then  $\widehat{B}_{U,b}$  is  $U$ -bounded.

(6) For each sequence  $(\xi_n)_{n=1}^\infty$  of elements of  $U$  such that  $\xi_n \rightarrow \xi \in \delta U$  as  $n \rightarrow \infty$  there exists  $f \in \mathcal{H}_b(U)$  such that  $\sup_n |f(\xi_n)| = \infty$ .

**PROOF.** (1)  $\implies$  (2)  $\implies$  (3), (4)  $\implies$  (5) and (6)  $\implies$  (2) are obvious.

Suppose (5) holds and (6) does not. Then there exists a sequence,  $(\xi_n)_{n=0}^\infty$ , of elements of  $U$  such that  $\xi_n \rightarrow \xi \in \delta U$  as  $n \rightarrow \infty$  and  $\sup_n |f(\xi_n)| < \infty$  for all  $f \in \mathcal{H}_b(U)$ .

Now  $\mathcal{H}_b(U)$  endowed with the topology of uniform convergence on  $U$ -bounded sets is a Frechet space and the mapping  $f \rightarrow f(\xi_n)$  ( $f \in \mathcal{H}_b(U)$ ) is continuous with respect to this topology for each  $n$ . Hence  $p(f) = \sup_n |f(\xi_n)|$  defines a continuous semi-norm on  $\mathcal{H}_b(U)$  and thus there exists  $B \subset U$ ,  $U$ -bounded and  $C > 0$  such that

$$\sup_n |f(\xi_n)| \leq C \sup_{x \in B} |f(x)|$$

for all  $f \in \mathcal{H}_b(U)$ . By using the fact that  $\mathcal{H}_b(U)$  is an algebra we easily show that  $C$  can be taken equal to 1.

Therefore  $\xi_n \in \widehat{B}_{U,b}$  for each  $n$  which contradicts the fact that  $\widehat{B}_{U,b}$  is  $U$ -bounded. Hence (5)  $\implies$  (6). (3)  $\implies$  (4) by lemma 4.

In [12] there is an example of a Banach space whose unit ball is not a  $b$  domain of holomorphy. This gives an example in which (2)  $\implies$  (1).

We complete the proof by showing (4)  $\implies$  (1) if  $E$  is separable. Since  $E$  is separable,  $U$  contains a countable dense subset  $M$ . Let  $(\xi_n)_{n=2}^\infty$  be a sequence of elements in  $M$  containing each point in  $M$  infinitely often. For each  $\xi_n$  let  $A_n$  be the open ball with centre  $\xi_n$  and radius  $d(\xi_n, \mathcal{C}U)$ . If (4) holds we can construct by induction a sequence  $(B_n)_{n=2}^\infty$  of  $U$ -bounded sets and a sequence  $(z_n)_{n=2}^\infty$  of points of  $U$  with the following properties:

- 1)  $B_2 = \xi_2 = z_2$
- 2)  $z_{n+1} \in A_n \cap \widehat{B_{n, U, b}}$   $z_{n+1} \in B_{n+1}$
- 3)  $B_n$  is an increasing sequence and each  $U$ -bounded set is contained

in some  $B_n$ . (This is possible since  $d(A_n, \mathcal{C}U) = 0$  and  $d(\widehat{B_{n, U, b}}, \mathcal{C}U) > 0$ ). By construction we can choose  $f_n \in \mathcal{H}_b(U)$  such that  $\sup_{x \in B_n} |f_n(x)| \leq 1/2^n$  and  $|f_n(z_{n+1})| > 2^n + |\sum_{i=1}^{n-1} f_i(z_{n+1})|$ . Let  $f = \sum_{n=2}^\infty f_n$ . Since  $f_n \in \mathcal{H}_b(U)$  for all  $n$  and  $\sum_{n=m+1}^\infty \|f_n\|_{B_m} \leq \sum_{n=m+1}^\infty 1/2^n < \infty$  for each  $m$ , we have  $f \in \mathcal{H}_b(U)$ . Also

$$|f(z_n)| \geq |f_{n-1}(z_n)| - |\sum_{i=1}^{n-2} f_i(z_n)| - |\sum_{i=n}^\infty f_i(z_n)| \geq 2^{n-1} - \sum_{i=n}^\infty 1/2^i \geq 2^{n-1}.$$

Hence  $f(z_n) \rightarrow \infty$  as  $n \rightarrow \infty$ . This implies that if  $\xi \in \delta U$  and  $\varepsilon > 0$  is arbitrary

$$\sup_{x \in (\xi + \varepsilon B_1) \cap U} |f(x)| = \infty.$$

Thus  $f$  has no extension as a holomorphic function to a larger subset of  $E$  than  $U$ . This completes the proof.

As regards  $\mathcal{H}(U)$  we do not know if the converse to lemma 5 is true even if  $E$  is separable. We now prove some results about  $\mathcal{H}(U)$  similar to theorem 1.

**THEOREM (Cartan-Thullen II).**

Let  $U$  be an open connected subset of the separable Banach space  $E$  then the following are equivalent

- (1)  $U$  is a domain of holomorphy
- (2) There exists an increasing sequence of  $U$ -bounded sets,  $(B_n)_{n=2}^\infty$ , such that  $B_n = \widehat{B_{n, U}}$  and each compact set is contained in the interior of some  $B_n$ .

**PROOF.** Suppose (1) is true; then there exists  $f \in \mathcal{H}(U)$  which has  $U$  as its natural domain of existence. For each compact subset  $K$  of  $U$  choose  $\alpha(K) > 0$  such that  $f$  is bounded on  $K + 2\alpha(K)B_1$ . The sets  $K + \alpha(K)B_1$



cover  $U$  as  $K$  ranges over all compact subsets of  $U$ . Since  $E$  is separable we can choose a sequence  $(K_n)_{n=2}^{\infty}$  of compact subsets of  $U$  such that  $U = \bigcup_{n=2}^{\infty} \{K_n + \alpha(K_n)B_1\}$ . Now let  $\beta_n = \inf_{i \leq n} \alpha(K_i)$  and define  $B_n = \bigcup_{i=2}^n \{K_i + \alpha(K_i)B_1\}$ . Then  $B_n$  is an increasing sequence of  $U$ -bounded sets and  $f$  is bounded on  $B_n + \beta_n B_1$ . Lemma 2 implies that  $f$  is holomorphic (by analytic continuation if necessary) on  $\widehat{B}_{n,U} + \beta_n B_1$ . Since  $f$  has  $U$  as its natural domain of existence this implies  $d(\widehat{B}_{n,U}, \mathcal{C}U) \geq \beta_n > 0$ . Since  $B_n$  is  $U$ -bounded for each  $n$  this means that  $\widehat{B}_{n,U}$  is  $U$ -bounded for each  $n$ . Each compact subset of  $U$  is easily seen to be contained in the interior of some  $B_n$ . To complete the proof we note that the sequence  $\widehat{B}_{n,U}$  has all the required properties.

(2)  $\implies$  (1) This is quite similar to the proof that (4)  $\implies$  (1) in the previous theorem. Let  $(B_n)_{n=2}^{\infty}$  be the sequence of  $U$ -bounded given by hypothesis. Let  $M$  be a countable dense subset of  $U$  and take  $(\xi_n)_{n=2}^{\infty}$  as a sequence of elements in  $M$  containing each point in  $M$  infinitely often. For each  $\xi_n$  let  $A_n$  be the open ball with centre  $\xi_n$  and radius  $d(\xi_n, \mathcal{C}U)$ . Let  $C_2 = B_2$  and choose  $z_2 \in A_2 \cap \mathcal{C}B_2$  (this is possible since  $d(A_2, \mathcal{C}U) = 0$  and  $B_2$  is  $U$ -bounded).

Suppose  $C_2, \dots, C_n$  and  $z_2, \dots, z_n$  have been chosen. Choose  $k_{n+1}$  such that  $B_{k_{n+1}} \supset C_n$ ,  $z_n \in B_{k_{n+1}}$ . Let  $C_{n+1} = B_{k_{n+1}}$  and choose  $z_{n+1} \in A_{n+1} \cap \mathcal{C}C_{n+1}$ . For each  $n$  there exists  $f_n \in \mathcal{H}(U)$  such that

$$\sup_{x \in B_n} |f_n(x)| < 1/2^n \text{ and } |f_n(z_n)| > 2^n + |\sum_{i=2}^n f_i(z_n)|.$$

The function  $f = \sum_{n=2}^{\infty} f_n \in \mathcal{H}(U)$  and has  $U$  as its natural domain of existence. Hence (2)  $\implies$  (1).

The example quoted in theorem 1 also shows that the separability condition was essential in theorem II.

#### THEOREM (Cartan-Thullen III).

Let  $U$  be a connected open subset of a Banach space  $E$  then the following are equivalent:

(1) For each  $\xi \in \delta U$  there exists  $f \in \mathcal{H}(U)$  which cannot be extended to a holomorphic function in a neighbourhood of  $\xi$ .

(2) For each sequence,  $(\xi_n)_{n=1}^{\infty}$ , of elements of  $U$  which converges to some point in  $\delta U$  there exists  $f \in \mathcal{H}(U)$  such that  $\sup_n |f(\xi_n)| = \infty$ .

PROOF. (2)  $\implies$  (1) is obvious. We now show if (2) is not true then (1) is not true.

If (2) is not true there exists a sequence,  $(\xi_n)_{n=1}^\infty$ , of elements of  $U$  which converges to  $\xi \in \delta U$  and such that  $\sup_n |f(\xi_n)| < \infty$  for all  $f \in \mathcal{H}(U)$ .

By lemma 6  $p(f) = \sup_n |f(\xi_n)|$  is a continuous semi-norm on  $(\mathcal{H}(U), T)$ . Let  $f \in \mathcal{H}(U)$  be arbitrarily chosen. For each positive integer  $n$  let

$$U_n = \{x, |f(x)| < n\} \text{ and take}$$

$$V_n = \{x; x \in U_n \text{ and } d(x, \delta U_n) < 1/n\}.$$

$(V_n)_{n=1}^\infty$  is an increasing sequence of subsets of  $U$  and  $\bigcup_{n=1}^\infty V_n = U$ . By lemma 7 there exists  $n_0$  and  $C$  such that

$$p(f) = \sup_n |f(\xi_n)| \leq C \sup_{x \in V_{n_0}} |f(x)|.$$

Since  $\mathcal{H}(U)$  is an algebra we can take  $C = 1$  and hence  $\xi_n \in \widehat{V}_{n_0, U}$  for each  $n$ . By our choice of the  $V_n$ 's,  $f$  is bounded on a  $1/n_0$  neighbourhood of  $V_{n_0}$ .

Lemma 2 implies  $f$  can be continued as a holomorphic function in a  $1/n_0$  neighbourhood of  $\xi_n$  for each  $n$  and hence in some neighbourhood of  $\xi$ . This completes this proof.

If the closed bounded subsets of  $E'$  (the dual of  $E$ ) are weak\*-sequentially compact condition (2) of the last theorem can be replaced by the following equivalent condition (see [8]).

(2') For each sequence,  $(\xi_n)_{n=1}^\infty$ , of elements of  $U$  which has no limit point in  $U$  there exists  $f \in \mathcal{H}(U)$  such that

$$\sup_n |f(\xi_n)| = \infty.$$

In particular (2')  $\iff$  (2) if  $E$  is separable or reflexive.

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