

Riesz inequality for the system of root functions of second order ordinary differential operator

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Abstract: - An ordinary differential operator of second order with coefficients is considered. The Riesz property of the system of root functions of the given operator is studied. The criterion of Bessel property in L_p of root functions system is established and use it to obtain sufficient conditions for the Riesz property of a system of normalized root functions of this operator in L_p .

Key-Words: - Root functions, Bessel property criterion, Riesz property

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1 Introduction

We consider the differential operator

$$Lu = u'' + P_1(x)u' + P_2(x)u,$$

in the interval $G = (0,1)$ with summable coefficients $P_l(x) \in L_1(G)$, $l = 1, 2$.

The root functions of the operator L are understood in generalized interpretation (without respect to boundary conditions) [1].

Consider an arbitrary system $\{u_k(x)\}_{k=1}^{\infty}$ consisting of eigen-function and associated functions (root functions) of the operator L . Let $\{\lambda_k\}_{k=1}^{\infty}$ be the corresponding system of eigenvalues of this operator. We require that, together with each associated function of order S , $S \geq 1$, the system $\{u_k(x)\}_{k=1}^{\infty}$ also contains the corresponding eigen-function and all associated functions 0 order $< S$. This means that each element of the system $\{u_k(x)\}_{k=1}^{\infty}$ is identically non-zero, is absolutely continuous together with its first order derivative on \overline{G} , and almost everywhere in G satisfies the equation $Lu_k + \lambda_k u_k = \theta_k u_{k-1}$, where θ_k equals either 0 (in this case $u_k(x)$ is an eigen-function), or 1 (in this case $u_k(x)$ is an associated

function of order $r \geq 1$, and $u_{k-1}(x)$ is an associated function of order $r - 1$,

$$\lambda_k = \lambda_{k-1} = \dots = \lambda_{k-r},$$

$$\theta_k = \theta_{k-1} = \dots = \theta_{k-r+1} = 1$$

and $\theta_{k-r} = 0$.

The highest order of root functions responding to the given eigen function will be called the rank of this eigen function.

In such a generalized understanding of root functions V.A. Il'in [1] first established the Bessel property, necessary and sufficient conditions of unconditional basicity in L_2 of the system of root functions of the operator L for $P_1(x) \equiv 0$, $P_2(x) \in L_1(G)$.

In the papers [2 - 9] these and other problems were studied for a higher order differential operator. This time, for the Bessel property it was always assumed that $P_1(x) \in L_2(G)$.

In the present paper we study the Bessel and Riesz property for the system of root functions of the operator L with the coefficients $P_l(x) \in L_1(G)$, $l = 1, 2$

Definition 1. The system $\{v_k(x)\}_{k=1}^{\infty} \subset L_2(G)$ is called Bessel (or satisfies the Bessel inequality) if

there exists a constant M such that for any function $f(x) \in L_2(G)$ the following inequality is fulfilled:

$$\left(\sum_{k=1}^{\infty} \left| (f, v_k) \right|^2 \right)^{1/2} \leq M \|f\|_2.$$

Definition 2. The system $\{v_k(x)\}_{k=1}^{\infty} \subset L_q(G)$ satisfies the Riesz inequality in there exists a constant $M = M(P)$ such that

$$\left(\sum_{k=1}^{\infty} \left| (f, v_k) \right|^q \right)^{1/q} \leq M \|f\|_p, \quad q = p/(p-1),$$

for an arbitrary function

$$f(x) \in L_p(G), \quad 1 < p \leq 2.$$

In the paper we prove the following assertions.

Theorem 1 (Sufficient conditions for the Riesz property). Let $P_l(x) \in L_1(G)$, $l=1,2$ and there exist such a constant C_0 that

$$|\operatorname{Im} \mu_k| \leq C_0, \quad k = 1, 2, \dots \quad (1)$$

Then for the Riesz property of the system $\{u_k(x)\}_{k=1}^{\infty}$ it is sufficient the existence of a constant M_1 such that

$$\sum_{\tau \leq \operatorname{Re} \mu_k \leq \tau+1} 1 \leq M_1, \quad (2)$$

where τ is an arbitrary non-negative number, $\mu_k = \sqrt{\lambda_k}$, $\operatorname{Re} \mu_k \geq 0$.

Theorem 2 (Bessel property criterion). Let $P_l(x) \in L_1(G)$, $l=1,2$; the rank of eigen functions be uniformly bounded and condition (1) is satisfied.

Then for the Bessel property of the system $\{u_k(x)\}_{k=1}^{\infty}$ in $L_2(G)$ it is necessary and sufficient the existence of a constant M_1 such that condition (2) is satisfied.

Remark. In a sufficient part of the Theorem 2, the condition of uniform boundedness of the rank of eigen functions is knowingly fulfilled, because it is a corollary of inequality (2).

Firstly we prove the Theorem 2. Necessity. We fix an arbitrary number $\tau \geq 0$. Let

$$Q_{\tau} = \{k : \tau \leq \operatorname{Re} \mu_k \leq \tau + 1, |\operatorname{Im} \mu_k| \leq C_0\},$$

$$R_0 = (n_0(1 + C_0)^{3/2})^{-1},$$

where $n_0 \geq 1$ is chosen so that $R_0 \leq 1/4$ and for any set $E \subset \overline{G}$, $\operatorname{mes} E \leq 2R_0$, the following inequality is fulfilled:

$$\omega(R_0) = \sup_{E \in \overline{G}} \{ \|P_l\|_{1,E}, l=1,2 \} \leq N_0^{-1}, \quad (3)$$

where $\|P_l\|_{1,E} = \int_E |P_l(x)| dx$, $(\|\cdot\|_1 = \|\cdot\|_{1,G})$; N_0 is a positive number whose choice of value will be determined later.

Let $x \in [0, 1/2]$, $k \in Q_{\tau}$. We write the mean value formula [1] for the points $x, x+t, x+2t$ at $t \leq R_0$

$$u_k(x) = 2u_k(x+t) \cos \mu_k t - u_k(x-2t) + \frac{1}{\mu_k} \int_x^{x+2t} \{ P_1(\xi) u_k'(\xi) + P_2(\xi) u_k(\xi) - \theta_k u_{k-1}(\xi) \} \times \sin \mu_k (|x+t-\xi|-t) d\xi \quad (4)$$

Since by the theorem conditions the rank of eigen-functions is uniformly bounded, then it suffices to consider only the eigen-functions $u_k(x)$, i.e. the case $\theta_k = 0$. Then adding and subtracting in the right hand of formula the expression $2u_k(x+t) \cos \pi$ and by using the identity $\cos \alpha - \cos \beta = 2 \sin((\alpha + \beta)/2) \sin((\beta - \alpha)/2)$

and applying the operation $R_0^{-1} \int_0^{R_0} dt$, we obtain

$$u_k(x) = R_0^{-1} (u_k, v) + 4R_0^{-1} \int_0^{R_0} u_k(x+t) \sin \frac{\mu_k + \tau}{2} t \sin \frac{\tau - \mu_k}{2} t dt + (R_0 \mu_k)^{-1} \int_0^{R_0} \int_x^{x+2t} \{ P_1(\xi) u_k'(\xi) + P_2(\xi) u_k(\xi) \} \sin \mu_k (|x+t-\xi|-t) d\xi dt, \quad (5)$$

where $v(t) = 2 \cos \tau(x-t) - \frac{1}{2}$ for $t \in [x, x + R_0]$, $v(t) = -\frac{1}{2}$ for $t \in [x + R_0, x + 2R_0]$ and $v(t) = 0$ for $t \notin [x, x + 2R_0]$. Taking into account the shift formula (see [1])

$$\begin{aligned}
 u_k(x \pm t) &= u_k(x) \cos \mu_k t \pm \\
 &\pm \mu_k^{-1} \sin \mu_k t u'_k(x) \pm \\
 &\pm \mu_k^{-1} \int_x^{x \pm t} \{P_1(\xi) u'_k(\xi) + \\
 &+ P_2(\xi) u_k(\xi) - \theta_k u_{k-1}(\xi)\} \times \\
 &\times \sin \mu_k (|x - \xi| - t) d\xi
 \end{aligned} \tag{6}$$

for $\theta_k = 0$ in the second addend from the right hand side of relation (5), we get

$$\begin{aligned}
 u_k(x) &= R_0^{-1}(u_k, v) + 4R_0^{-1} \times \\
 &\times \int_0^{R_0} \cos \mu_k t \sin \frac{\mu_k + \tau}{2} t \sin \frac{\tau - \mu_k}{2} t dt + \\
 &+ 4(\mu_k R_0)^{-1} u'_k(x) \int_0^{R_0} \sin \mu_k t \sin \frac{\mu_k + \tau}{2} t \times \\
 &\times \sin \frac{\tau - \mu_k}{2} t dt + 4(\mu_k R_0)^{-1} \times \\
 &\times \int_0^{R_0} \sin \frac{\mu_k + \tau}{2} t \sin \frac{\tau - \mu_k}{2} t dt \times \\
 &\times \int_x^{x+t} \{P_1(\xi) u'_k(\xi) + P_2(\xi) u_k(\xi)\} \times \\
 &\times \sin \mu_k (|x - \xi| - t) d\xi dt + \\
 &+ (\mu_k R_0)^{-1} \int_0^{R_0} \int_x^{x+2t} \{P_1(\xi) u'_k(\xi) + \\
 &+ P_2(\xi) u_k(\xi)\} \sin \mu_k (|x + t - \xi| - t) d\xi dt = \\
 &= R_0^{-1}(u_k, v) + \sum_{j=1}^4 T_j.
 \end{aligned} \tag{7}$$

Let us estimate the integrals $T_j, j = \overline{1, 4}$.

Taking into account $k \in Q_\tau$ and using the inequality

$$|\sin z| \leq 2, |\cos z| \leq 2, |\sin z| \leq 2|z|,$$

for $\text{Im } z \leq 1$ we get

$$\begin{aligned}
 |T_1| &\leq 8R_0 |\tau - \mu_k| \|u_k(x)\| \leq 8R_0(1 + C_0) \times \\
 &\times \|u_k(x)\| \leq 8n_0^{-1} \|u_k(x)\|, \\
 |T_2| &\leq 8R_0 |\tau - \mu_k| \|\mu_k^{-1}\| \|u'_k(x)\| \leq 8R_0(1 + C_0) \times \\
 &\times \|\mu_k^{-1}\| \|u'_k(x)\| \leq 8n_0^{-1} \|\mu_k\|^{-1} \|u'_k(x)\|
 \end{aligned}$$

We estimate T_3 for $|\mu_k| \geq 1, k \in Q_\tau$. Using the estimations (see [6])

$$\begin{aligned}
 \|u_k^{(s)}\|_\infty &\leq C_1(1 + |\mu_k|)^s (1 + |\text{Im } \mu_k|)^{1/p} \times \\
 &\times \left\{ \|u_k\|_p + \theta_k |\mu_k|^{-1} (1 + |\text{Im } \mu_k|)^{-1} \|u_{k-1}\|_p \right\}, \tag{8} \\
 1 &\leq p < \infty, s = 0, 1;
 \end{aligned}$$

$$\begin{aligned}
 \|u'_k\|_p &\leq C_2(1 + |\mu_k|) \left\{ \|u_k\|_p + \theta_k |\mu_k|^{-1} \times \right. \\
 &\times \left. (1 + |\text{Im } \mu_k|)^{-1} \|u_{k-1}\|_p \right\}, p \geq 1,
 \end{aligned} \tag{9}$$

for $\theta_k = 0$ and applying the above elementary inequalities, we have

$$\begin{aligned}
 |T_3| &\leq 32R_0 \|\mu_k^{-1}\| \int_0^{R_0} \int_x^{x+t} |P_1(\xi)| |u'_k(\xi)| d\xi dt + \\
 &+ 32R_0 \int_0^{R_0} \int_x^{x+t} |P_2(\xi)| d\xi dt \leq 32\omega(R_0) \|\mu_k\|^{-1} \|u'_k\|_\infty + \\
 &+ 16R_0 \omega(R_0) \|u_k\|_\infty \leq 32\omega(R_0) \times \\
 &C_1(1 + |\mu_k|^{-1})(1 + |\text{Im } \mu_k|)^{1/2} \|u_k\|_2 + \\
 &+ 16R_0 \omega(R_0) C_1(1 + |\text{Im } \mu_k|)^{1/2} \|u_k\|_2 \leq \\
 &\leq 64\omega(R_0)(1 + C_0)^{1/2} C_1 \|u_k\|_2 + \\
 &+ 16C_1(1 + C_0)^{1/2} R_0 \omega(R_0) \|u_k\|_2 \leq \\
 &\leq C_3 \omega(R_0) \|u_k\|_2 \leq C_4 N_0^{-1} \|u_k\|_2.
 \end{aligned}$$

The same estimation is fulfilled also for the integral T_4 for $k \in Q_\tau, |\mu_k| \geq 1$. Consequently, from (7) we get

$$\begin{aligned}
 \|u_k(x)\| \|u_k\|_2^{-1} &\leq R_0^{-1} \|(u_k, v)\| + 8n_0^{-1} \|u_k(x)\| \|u_k\|_2^{-1} + \\
 &+ 8n_0^{-1} \|\mu_k\|^{-1} \|u'_k(x)\| \|u_k\|_2^{-1} + C_4 N_0^{-1}
 \end{aligned}$$

By virtue of symmetry (see formulas (4), (6)) this inequality is valid in the case $x \in [1/2, 1]$ as well.

This time the function $v(t)$ is determined by the formula: $v(t) = -1/2$ for $t \in [x - 2R_0, x - R_0]$, $v(t) = 2 \cos \tau(x - t) - 1/2$ for $t \in [x - R_0, x]$, $v(t) = 0$ for $t \notin [x - 2R_0, x]$.

Hence, for $n_0 \geq 16$ it follows that

$$\begin{aligned}
 \|u_k(x)\| \|u_k\|_2^{-1} &\leq 2R_0^{-1} \|(u_k, v)\| + 16n_0^{-1} \|\mu_k\|^{-1} \times \\
 &\times \|u'_k(x)\| \|u_k\|_2^{-1} + 2C_4 N_0^{-1}
 \end{aligned}$$

We square every part of this inequality, integrate with respect to x from 0 to 1, sum over $k \in Q_\tau = \{k : k \in Q_\tau, |\mu_k| \geq 1\}$, and by using estimate

(9) for $p = 2, \theta_k = 0$ apply the Bessel inequality, and with regard to the equality $\|v\|_2^2 = O(R_0)$, get

$$\sum_{k \in Q'_r} 1 \leq O(R_0^{-1}) + \{C_7 n_0^{-2} + C_8 N_0^{-2}\} \sum_{k \in Q'_r} 1.$$

Choosing the numbers n_0 and N_0 so that $C_7 n_0^{-2} + C_8 N_0^{-2} \leq \frac{1}{2}$, we arrive at the inequality

$\sum_{k \in Q'_r} 1 \leq const$. Consequently, for $|\mu_k| \geq 1$ the necessity of condition (2) is established.

For $|\mu_k| < 1$ the validity of condition (2) is proved in the following way. We consider the equation $Lu_k - 2u_k + \lambda'_k u_k = 0$, where $\lambda'_k = \lambda_k + 2, |\lambda_k| < 1$. Then $|\operatorname{Re} \lambda'_k| \geq 1$ and the system $\{u_k\}$ does not change. Therefore inequality (2) is fulfilled in the case $|\mu_k| < 1$ as well. The necessity of condition (2) is established.

Sufficiency. Let conditions (1) and (2) be fulfilled. Prove that the system $\{u_k(x) \|u_k\|_2^{-1}\}_{k=1}^\infty$ is Bessel in $L_2(G)$. By formula (6), conditions (1) and (2) for the convergence of the series $\sum_{k=1}^\infty \left| \left(f, u_k \|u_k\|_2^{-1} \right) \right|^2$ it suffices to prove the validity of the following inequalities:

$$\begin{aligned} & \sum_{|\mu_k| \geq 1} \left| \int_0^1 \overline{f(t)} \cos \mu_k t dt \right|^2 \|u_k\|_2^{-2} |u_k(0)|^2 \leq C \|f\|_2^2; \\ & \sum_{|\mu_k| \geq 1} |\mu_k|^{-2} \left| \int_0^1 \overline{f(t)} \sin \mu_k t dt \right|^2 |u'_k(0)|^2 \|u_k\|_2^{-2} \leq C \|f\|_2^2; \\ & \sum_{|\mu_k| \geq 1} |\mu_k|^{-2} \left| \int_0^t \overline{f(t)} \int_0^t P_1(\xi) u'_k(\xi) \times \right. \\ & \quad \left. \times \sin \mu_k (\xi - t) d\xi dt \right|^2 \|u_k\|_2^{-2} \leq C \|f\|_2^2 \\ & \sum_{|\mu_k| \geq 1} |\mu_k|^{-2} \left| \int_0^t \overline{f(t)} \int_0^t P_2(\xi) u_k(\xi) \times \right. \\ & \quad \left. \times \sin \mu_k (\xi - t) d\xi dt \right|^2 \|u_k\|_2^{-2} \leq C \|f\|_2^2 \\ & \sum_{|\mu_k| \geq 1} \left| \theta_k \int_0^t \overline{f(t)} \int_0^t u_{k-1}(\xi) \sin \mu_k (\xi - t) d\xi dt \right|^2 \times \\ & \quad \times \|u_k\|_2^{-2} |\mu_k|^{-2} \leq C \|f\|_2^2 \end{aligned}$$

where $f \in L_2(G)$.

The validity of these inequalities except the third inequality, was established in [1]. Prove the validity of the third inequality. Denote

$$\eta(t, \xi) = \begin{cases} f(t + \xi), & 0 \leq t \leq 1 - \xi, \\ 0, & 1 - \xi < t \leq 1, \end{cases}$$

where $\xi \in [0, 1]$.

Then

$$\begin{aligned} S_k &= |\mu_k|^{-2} \times \\ & \times \left| \int_0^1 \overline{f(t)} \int_0^t P_1(\xi) u'_k(\xi) \sin \mu_k (\xi - t) d\xi dt \right|^2 \|u_k\|_2^{-2} = \\ &= \int_0^t P_1(\xi) u'_k(\xi) \mu_k^{-1} \|u_k\|_2^{-1} \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt d\xi \times \\ & \times \int_0^1 \overline{P_1(z)} u'_k(z) \mu_k^{-1} \|u_k\|_2^{-1} \int_0^1 \eta(r, z) \sin \mu_k r dr dz = \\ &= \int_0^1 \int_0^1 P_1(\xi) \overline{P_1(z)} u'_k(\xi) \mu_k^{-1} \|u_k\|_2^{-1} \overline{u'_k(z)} \mu_k^{-1} \|u_k\|_2^{-1} \times \\ & \quad \times \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt \int_0^1 \eta(r, z) \sin \mu_k r dr d\xi dz. \end{aligned}$$

Applying here the estimation

$$\|u'_k\|_\infty \leq C_9 (1 + |\mu_k|) \|u_k\|_2 \quad (10)$$

(see [10]), we get that at $|\mu_k| \geq 1$ for S_k the following inequality is fulfilled:

$$\begin{aligned} S_k &\leq C_{10} \int_0^1 \int_0^1 |P_1(\xi)| |P_1(z)| \left| \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt \right| \times \\ & \quad \times \left| \int_0^1 \eta(r, z) \sin \mu_k r dr \right| d\xi dz. \end{aligned}$$

For an arbitrary finite subset J' of the set of indices $J = \{k : |\mu_k| \geq 1\}$ we obtain

$$\begin{aligned} \sum_{k \in J'} S_k &\leq C_{10} \sum_{k \in J'} \int_0^1 \int_0^1 |P_1(\xi)| |P_1(z)| \left| \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt \right| \times \\ & \quad \times \left| \int_0^1 \eta(r, z) \sin \mu_k r dr \right| d\xi dz = \\ &= C_{10} \int_0^1 \int_0^1 |P_1(\xi)| |P_1(z)| \times \end{aligned}$$

$$\begin{aligned} & \times \sum_{k \in J'} \left| \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt \int_0^1 \overline{\eta(r, z)} \sin \mu_k r dr \right| d\xi dz \leq \\ & \leq C_{10} \int_0^1 \int_0^1 |P_1(\xi)| |P_1(z)| \left(\sum_{k \in J'} \left| \int_0^1 \overline{\eta(t, \xi)} \sin \mu_k t dt \right|^2 \right)^{1/2} \times \\ & \quad \times \left(\sum_{k \in J'} \left| \int_0^1 \overline{\eta(r, z)} \sin \mu_k r dr \right|^2 \right)^{1/2} d\xi dz \leq \\ & \leq C_{11} \int_0^1 \int_0^1 |P_1(\xi)| |P_1(z)| \|\eta(\cdot, \xi)\|_2 \|\eta(\cdot, z)\|_2 d\xi dz. \end{aligned}$$

Taking into account that for any $\xi \in [0,1]$ we have the inequality $\|\eta(\cdot, \xi)\|_2 \leq \|f\|_2$, we obtain

$$\sum_{k \in J'} S_k \leq C_{11} \|P_1\|_1^2 \|f\|_2^2.$$

Hence, from arbitrariness of $J' \subset J$, it follows the inequality $\sum_{k \in J} S_k \leq C_{12} \|f\|_2^2$.

The Theorem 2 is completely proved.

Proof of theorem 1. Let conditions (1) and (2) be fulfilled. Then by virtue of the sufficiency part of Theorem 2, for an arbitrary function $f(x) \in L_2(G)$ the following Bessel inequality is fulfilled:

$$\left(\sum_{k=1}^{\infty} |(f, u_k \|u_k\|_2^{-1})|^2 \right)^{1/2} \leq M \|f\|_2. \quad (11)$$

On the other hand, for any $f(x) \in L_1(G)$

$$\sup_k |(f, u_k \|u_k\|_2^{-1})| \leq \sup_k \{ \|u_k\|_{\infty} \|u_k\|_2^{-1} \} \|f\|_1.$$

Hence, by virtue of the inequality

$$\|u_k\|_r \leq c_{11} \|u_k\|_{\gamma}, \quad \gamma \geq 1, r \geq 1 \text{ (see [10])} \quad (12)$$

we get that for any function $f(x) \in L_1(G)$ the following inequality is valid:

$$\sup_k \left\{ |(f, u_k \|u_k\|_2^{-1})| \right\} \leq M_2 \|f\|_2. \quad (13)$$

By virtue of the Riesz-Torin interpolational theorem (see [11], p. 144) from inequalities (11) and (13) it follows that the system $\{u_k(x) \|u_k\|_2^{-1}\}_{k=1}^{\infty}$ satisfies the Riesz inequality, i.e.

$$\left(\sum_{k=1}^{\infty} |(f, u_k \|u_k\|_2^{-1})|^q \right)^{1/q} \leq M(p) \|f\|_p$$

for $1 < p \leq 2, q = p/(p-1)$.

Since

$$\frac{u_k(x)}{\|u_k\|_2} = \frac{u_k(x)}{\|u_k\|_q} \frac{\|u_k\|_q}{\|u_k\|_2}$$

and by virtue of inequality (12), the estimation

$$\frac{\|u_k\|_q}{\|u_k\|_2} \leq C_{12}$$

is fulfilled, then the system $\{u_k(x) \|u_k\|_q^{-1}\}_{k=1}^{\infty}$ satisfies the Riesz inequality as well, i.e. the inequality

$$\begin{aligned} & \left(\sum_{k=1}^{\infty} |(f, u_k \|u_k\|_q^{-1})|^q \right)^{1/q} \leq \\ & \leq M_2(p) \|f\|_p, \quad q = p/(p-1), \end{aligned}$$

is fulfilled for any $f(x) \in L_p(G), 1 < p \leq 2$.

Theorem 2 is proved. In [12] and [13] some similar studies can be found.

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