## Upper bounds for the density of universality

by

JÖRN STEUDING (Frankfurt)

1. Introduction and statement of results. The Riemann zeta-function is for Re s > 1 given by

$$\zeta(s) = \prod_{p \text{ prime}} \left(1 - \frac{1}{p^s}\right)^{-1} = \sum_{n=1}^{\infty} \frac{1}{n^s},$$

and by analytic continuation elsewhere, except for a simple pole at s = 1. Voronin [11] proved a remarkable universality property of the Riemann zetafunction, namely that every continuous function g(s), defined on the disc  $\{s \in \mathbb{C} : |s| \leq r\}$  with some r < 1/4, and analytic in the interior, can be approximated uniformly by shifts of the logarithm of the Riemann zetafunction in the strip  $1/2 < \operatorname{Re} s < 1$ .

Moreover, the set of translates  $\log \zeta(3/4 + s + i\tau)$  which approximate g(s) with a given accuracy has even a positive lower density: if meas A stands for the Lebesgue measure of the set A, then, for any  $\varepsilon > 0$ ,

$$\liminf_{T \to \infty} \frac{1}{T} \max\left\{ \tau \in [0,T] : \max_{|s| \le r} \left| \log \zeta \left( \frac{3}{4} + s + i\tau \right) - g(s) \right| < \varepsilon \right\} > 0.$$

Similar results were obtained for a large zoo of zeta-functions, for example, Dirichlet *L*-functions by Voronin [11], Dedekind zeta-functions by Reich [9], Hurwitz zeta-functions with certain parameters by Bagchi [1], Dirichlet series with multiplicative coefficients by Laurinčikas [6, §9.2], and Rankin– Selberg *L*-functions by Matsumoto [8].

The Linnik–Ibragimov conjecture states that all functions, given by a Dirichlet series, which are analytically continuable to the left of the halfplane of absolute convergence and satisfy additionally some natural growth conditions, are universal.

For more details on universality see [6] and [7].

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J. Steuding

However, the known proofs of universality theorems are ineffective, giving neither an estimate for the first approximating translate  $\tau$  nor bounds for the positive lower density. The aim of this paper is to prove upper bounds for the upper density of universality.

Denote by  $B_r$  the closed disc of radius r > 0 with center at the origin. For a meromorphic function L(s), an analytic function  $g : B_r \to \mathbb{C}$  with fixed  $r \in (0, 1/4)$ , and a positive  $\varepsilon$  we define the densities

$$\underline{d}(\varepsilon, g, L) := \liminf_{T \to \infty} \frac{1}{T} \max\left\{ \tau \in [0, T] : \max_{|s| \le r} \left| L\left(\frac{3}{4} + s + i\tau\right) - g(s) \right| < \varepsilon \right\},\$$
$$\overline{d}(\varepsilon, g, L) := \limsup_{T \to \infty} \frac{1}{T} \max\left\{ \tau \in [0, T] : \max_{|s| \le r} \left| L\left(\frac{3}{4} + s + i\tau\right) - g(s) \right| < \varepsilon \right\}.$$

For sufficiently large classes of functions L(s) and g(s), we will prove upper bounds for the upper density  $\overline{d}(\varepsilon, g, L)$  which tend to 0 as  $\varepsilon \to 0$ . For that purpose we consider analytic isomorphisms  $g: B_r \to B_1$ , i.e. the inverse  $g^{-1}$ exists and is analytic. Obviously, such a function g has exactly one simple zero  $\varrho$  in the interior of  $B_r$ ; moreover, it turns out (by the Schwarz lemma, see [5,  $\S$ VII.2]) that

(1) 
$$g(s) = r \exp(i\phi) \frac{\varrho - s}{r^2 - \overline{\varrho}s}$$
 with  $\phi \in \mathbb{R}, \ |\varrho| < r.$ 

Denote by  $\mathcal{A}_r$  the class of analytic isomorphisms from  $B_r$  (with fixed 0 < r < 1/4) to the unit disc. Further, let  $N(\sigma_1, \sigma_2, T; L)$  count the number of zeros of L(s) in  $1/2 < \sigma_1 < \operatorname{Re} s < \sigma_2 < 1$ ,  $0 \leq \operatorname{Im} s < T$  (according multiplicities). Our main result is

THEOREM 1. Suppose that  $g \in \mathcal{A}_r$ . Assume that L(s) is analytic in Res  $\geq 3/4 - r$  except for at most o(T) many singularities inside Res  $\geq 3/4 - r$ ,  $0 \leq \text{Im } s \leq T$  as  $T \to \infty$ , and that  $\underline{d}(\varepsilon, g, L) > 0$  for all  $\varepsilon > 0$ . Then, for any  $\varepsilon \in (0, (2r)^{-1}(1/4 + \text{Re} |\varrho|))$ ,

(2) 
$$\overline{d}(\varepsilon, g, L) \leq \frac{8r^3\varepsilon}{r^2 - |\varrho|^2} \times \limsup_{T \to \infty} \frac{1}{T} N\left(\frac{3}{4} + \operatorname{Re} \varrho - 2r\varepsilon, \frac{3}{4} + \operatorname{Re} \varrho + 2r\varepsilon, T; L\right).$$

This theorem relates the density of universality to the value distribution of L. Note that one can obtain similar estimates for other c-values instead of c = 0 whenever c lies in the interior of  $B_r$ . Since too many well distributed zeros of L(s) in 1/2 < Re s < 1 violate the universality property, it seems very likely that the limit in (2) exists in general.

Applying this to  $L(s) = \log \zeta(s)$ , we deduce

COROLLARY 2. Let 
$$g \in \mathcal{A}_r$$
. Then, for any  $\varepsilon \in (0, (2r)^{-1}(1/4 + \operatorname{Re}|\varrho|))$ ,  
 $\overline{d}(\varepsilon, \exp g, \zeta(s)) \leq \frac{8er^3\varepsilon}{r^2 - |\varrho|^2}$   
 $\times \lim_{T \to \infty} \frac{1}{T} N\left(\frac{3}{4} + \operatorname{Re} \varrho - 2r\varepsilon, \frac{3}{4} + \operatorname{Re} \varrho + 2r\varepsilon, T; \log \zeta(s)\right)$   
 $= o(\varepsilon).$ 

Therefore, the decay of  $\overline{d}(\varepsilon, f, \zeta)$  as  $\varepsilon \to 0$  is more than linear in  $\varepsilon$ .

For a further application we consider Dirichlet series with periodic coefficients  $~~\sim$ 

$$L(s,f) := \sum_{n=1}^{\infty} \frac{f(n)}{n^s}, \quad \text{where} \quad f(n+q) = f(n)$$

for all  $n \in \mathbb{N}$  and some  $q \in \mathbb{N}$ . Obviously, such series converge absolutely in  $\operatorname{Re} s > 1$ . By the periodicity of f,

$$L(s,f) = \frac{1}{q^s} \sum_{a=1}^q f(a) \zeta\left(s, \frac{a}{q}\right), \quad \text{where} \quad \zeta(s,x) := \sum_{n=0}^\infty \frac{1}{(n+x)^s}$$

for fixed  $0 < x \leq 1$  and  $\operatorname{Re} s > 1$  is the Hurwitz zeta-function. In view of well known properties of Hurwitz zeta-functions, it turns out that L(s, f) is analytically continuable throughout  $\mathbb{C}$  with at most one simple pole at s = 1. As an immediate consequence of the joint universality of Dirichlet *L*-functions we obtain

THEOREM 3. Suppose that q is an odd prime, f is not a multiple of a character mod q, and f(q) = 0. Let g(s) be a continuous function on  $B_r$  which is analytic in the interior of  $B_r$ . Then, for any  $\varepsilon > 0$ ,

$$\underline{d}(\varepsilon, g, L(s, f)) > 0.$$

For example, the Davenport–Heilbronn zeta-function, given by

$$\frac{1-i\kappa}{2}L(s,\chi) + \frac{1+i\kappa}{2}L(s,\overline{\chi}), \quad \text{where} \quad \kappa := \frac{\sqrt{10-2\sqrt{5}-2}}{\sqrt{5}-1}$$

and  $\chi$  is the character mod 5 with  $\chi(2) = i$ , satisfies the conditions of the universality theorem above.

With regard to Theorem 1 we get

COROLLARY 4. Suppose that q is an odd prime, f is not a multiple of a character mod q satisfying f(1) = 1, f(q) = 0, and  $g \in \mathcal{A}_r$ . Then, for any  $\varepsilon \in (0, (2r)^{-1}(1/4 + \operatorname{Re} |\varrho|))$  and any  $\sigma_1 \in (1/2, 3/4 + \operatorname{Re} \varrho - 2r\varepsilon)$ ,

$$\overline{d}(\varepsilon, g, L(s, f)) \leq \frac{8r^{3}\varepsilon}{4\pi(r^{2} - |\varrho|^{2})(3/4 + \operatorname{Re} \varrho - 2r\varepsilon - \sigma_{1})} \times \log\left(\frac{1}{q^{2\sigma_{1}}}\sum_{a=1}^{q}|f(a)|^{2}\zeta\left(2\sigma_{1}, \frac{a}{q}\right)\right).$$

We conclude with one more example. Consider for an odd prime q,

$$L(s, 1_q) = \frac{1}{q^s} \zeta\left(s, \frac{1}{q}\right), \quad \text{where} \quad 1_q(n) := \begin{cases} 1 & \text{if } n \equiv 1 \mod q, \\ 0 & \text{if } n \not\equiv 1 \mod q. \end{cases}$$

By Theorem 3,  $L(s, 1_q)$  has the universality property, and, using Corollary 4, we obtain after some calculations, for sufficiently small  $\varepsilon > 0$ ,

$$\overline{d}(\varepsilon, g, L(s, 1_q)) \le \frac{2\zeta(9/8 + |\varrho|/2)r^3\varepsilon}{q^{9/8 + |\varrho|/2}\pi(r^2 - |\varrho|^2)},$$

which tends to zero as  $q \to \infty$ .

## 2. Proofs of Theorem 1 and Corollary 2

Proof of Theorem 1. The idea of the proof is that the zero  $\rho$  of g is related to some zeros of L(s) in  $1/2 < \operatorname{Re} s < 1$ . Since g maps the boundary of  $B_r$  onto the unit circle, Rouché's theorem (see [5, §VI.1]) implies the existence of one simple zero  $\lambda$  of L(z) in

$$K_{\tau} := \{ z = 3/4 + s + i\tau : s \in B_r \}$$

whenever

(3) 
$$\max_{s \in B_r} |L(3/4 + s + i\tau) - g(s)| < \varepsilon < 1 = \max_{s \in B_r} |g(s)|.$$

We may say that the zero  $\rho$  of g(s) generates such a zero  $\lambda$  of L(s).

Universality is a phenomenon that appears in intervals. We prove an upper bound for the distance of different translates generating the same zero  $\lambda$  of L(s):

LEMMA 5. Suppose that a zero  $\lambda$  of L(s), generated by  $\varrho$ , lies in two different translates  $K_{\tau_1}$  and  $K_{\tau_2}$ . Then

$$|\tau_1 - \tau_2| < \frac{8r^4\varepsilon}{r^2 - |\varrho|^2}.$$

*Proof.* Suppose that there exist

 $s_j = \operatorname{Re} \lambda - 3/4 + it_j \in B_r$  and  $\tau_j \in \mathbb{R}$  with  $L(3/4 + s_j + i\tau_j) = 0$ , for j = 1, 2, such that

$$\lambda = 3/4 + s_1 + i\tau_1 = 3/4 + s_2 + i\tau_2.$$

In view of (1),

$$|g(s_2) - g(s_1)| = r \frac{r^2 - |\varrho|^2}{|r^2 - \overline{\varrho}s_1| \cdot |r^2 - \overline{\varrho}s_2|} |s_2 - s_1|.$$

We deduce from (3) that  $|g(s_j)| < \varepsilon$  for j = 1, 2, and therefore

$$|\tau_1 - \tau_2| = |t_2 - t_1| \le \frac{4r^3}{r^2 - |\varrho|^2} |g(s_2) - g(s_1)| < \frac{8r^3\varepsilon}{r^2 - |\varrho|^2},$$

which proves the lemma.

198

We continue with the proof of the theorem. Denote by  $\mathcal{I}_j(T)$  the disjoint intervals in [0, T] such that (3) is valid exactly for

$$\tau \in \bigcup_j \mathcal{I}_j(T) =: \mathcal{I}(T).$$

Using Lemma 5, in every interval  $\mathcal{I}_i(T)$  lie at least

$$1 + \left[\frac{r^2 - |\varrho|^2}{8r^3\varepsilon} \operatorname{meas} \mathcal{I}_j(T)\right] \ge \frac{r^2 - |\varrho|^2}{8r^3\varepsilon} \operatorname{meas} \mathcal{I}_j(T)$$

zeros  $\lambda$  of L(s) in the strip 1/2 < Re s < 1; here [x] stands for the greatest integer  $\leq x$ . Therefore, the number  $\mathcal{N}(T)$  of such zeros  $\lambda$  satisfies the estimate

(4) 
$$\frac{8r^3\varepsilon}{r^2 - |\varrho|^2} \mathcal{N}(T) \ge \operatorname{meas} \mathcal{I}(T).$$

The next step is to replace  $\mathcal{N}(T)$  by the zero counting function appearing in the theorem.

Obviously, the value distribution of L(z) in  $K_{\tau}$  is ruled by that of g(s) in  $B_r$ . This gives a restriction on the real parts of zeros  $\lambda$ .

LEMMA 6. Let  $\lambda$  be a zero of L(s) generated by  $\varrho$ . Then

$$|\operatorname{Re} \lambda - 3/4 - \operatorname{Re} \varrho| < 2r\varepsilon.$$

*Proof.* Let  $s \in B_r$ . If  $|g(s)| \ge \varepsilon$ , then, in view of (3),

$$|L(3/4 + s + i\tau)| \ge |g(s)| - |g(s) - L(3/4 + s + i\tau)| > 0.$$

Since (1) implies  $|g(s)| \ge |\varrho - s|/(2r)$ , we obtain the estimate of the lemma by taking the real parts.

From Lemma 6 we find that

(5) 
$$\mathcal{N}(T) \leq N(3/4 + \operatorname{Re} \varrho - 2r\varepsilon, 3/4 + \operatorname{Re} \varrho + 2r\varepsilon, T; L).$$

On the other hand, since  $\underline{d}(\varepsilon, g, L) > 0$ , there exists an increasing sequence  $(T_k)$  with  $\lim_{k\to\infty} T_k = \infty$  such that for any  $\delta > 0$ ,

meas 
$$\mathcal{I}(T_k) \ge (\overline{d}(\varepsilon, g, L) - \delta)T_k.$$

Consequently, this together with (5) and (4) leads to

$$\frac{8r^3\varepsilon}{r^2 - |\varrho|^2} N\left(\frac{3}{4} + \operatorname{Re} \varrho - 2r\varepsilon, \frac{3}{4} + \operatorname{Re} \varrho + 2r\varepsilon, T_k; L\right) \ge (\overline{d}(\varepsilon, g, L) - \delta)T_k.$$

Sending  $\delta \to 0$  yields the estimate (2) of the theorem. Since the set of singularities of L(s) in  $\sigma \geq 3/4 - r$  has zero density but  $\underline{d}(\varepsilon, g, L) > 0$ , the singularities do not affect the above observations. The theorem is proved.

Proof of Corollary 2. We apply Theorem 1 to  $L(s) = \log \zeta(s)$ . Bohr and Landau proved that the number of zeros of  $\zeta(s)$  in Re  $s > \sigma, 0 < \text{Im } s \leq T$ 

is o(T) for any fixed  $\sigma > 1/2$  (see [10, §9.17]); hence, the set of singularities of log  $\zeta(s)$  has density zero. As shown by Bohr and Jessen, the limit

$$\lim_{T \to \infty} \frac{1}{T} N\left(\frac{3}{4} + \operatorname{Re} \varrho - \delta, \frac{3}{4} + \operatorname{Re} \varrho + \delta, T; \log \zeta\right)$$

exists, and tends to 0 as  $\varepsilon \to 0$  (see [2, Hilfssatz 6]). Further, one has

$$\begin{split} \max_{s \in B_r} |\zeta(3/4 + s + i\tau) - \exp g(s)| \\ &\leq \max_{s \in B_r} |\exp g(s)| \cdot \max_{s \in B_r} |\exp(\log \zeta(3/4 + s + i\tau) - g(s)) - 1| \\ &\leq e \max_{s \in B_r} |\zeta(3/4 + s + i\tau) - \exp g(s)|. \end{split}$$

The corollary is shown.

## 3. Proofs of Theorem 3 and Corollary 4

Proof of Theorem 3. Denote by  $\varphi$  Euler's totient. For the  $\varphi(q)$  pairwise inequivalent characters  $\chi_j \mod q$  define the matrix

$$\Xi = (\chi_j(n))_{1 \le n, j \le \varphi(q)}.$$

By the properties of characters to a prime modulus the matrix  $\Xi$  is invertible (since pairwise inequivalent characters are linearly independent over  $\mathbb{C}$ , and det  $\Xi$  is a Vandermonde determinant). Hence there exist uniquely determined complex numbers  $c_1, \ldots, c_{\varphi(q)}$  such that

$$f(a) = \sum_{j=1}^{\varphi(q)} c_j \chi_j(a) \quad \text{ for } a = 1, \dots, \varphi(q),$$

where at least two distinct coefficients  $c_j$  are non-vanishing (since f is not a multiple of a character mod q). In view of f(q) = 0 we obtain the representation

(6) 
$$L(s,f) = \sum_{j=1}^{\varphi(q)} c_j L(s,\chi_j).$$

Put  $l_g := 1 + \sup_{s \in B_r} |g(s)|$ . Then  $g(s) + l_g \neq 0$  for  $s \in B_r$ . Without loss of generality we may assume that  $c_1, c_2 \neq 0$ . Now define

$$g_{\chi_1}(s) = \frac{g(s) + l_g}{c_1}, \quad g_{\chi_2} = -\frac{l_g}{c_2} \text{ and } g_{\chi_j}(s) = \eta \text{ for } j = 3, \dots, \varphi(q),$$

where  $\eta$  is a small positive parameter, to be chosen later. Using the joint universality of Dirichlet *L*-functions [1], for any  $\delta > 0$  we obtain

$$\liminf_{T \to \infty} \frac{1}{T} \operatorname{meas}(\tau \in [0, T]) : \max_{1 \le j \le \varphi(q)} \max_{s \in B_r} |L(s + i\tau, \chi_j) - g_{\chi_j}(s)| < \delta) > 0.$$

Consequently, (6) implies

200

Upper bounds for the density of universality

$$\max_{s \in B_r} |L(s+i\tau, f) - g(s)| \le \sum_{j=1}^{\varphi(q)} |c_j| \max_{s \in B_r} |L(s+i\tau, \chi_j) - g_{\chi_j}(s)| + \eta \sum_{j=3}^{\varphi(q)} |c_j| \le \delta(q-1) \max_{1 \le j \le q-1} |c_j| + \eta(q-3).$$

For sufficiently small  $\delta$  and  $\eta$  the assertion of the theorem follows.

Proof of Corollary 4. Denote by  $N(\sigma, T)$  the number of zeros of L(s, f) in the region  $\operatorname{Re} s > \sigma$ ,  $0 < \operatorname{Im} s \leq T$ . Then Littlewood's lemma (see [10, §9.9]) states that

(7) 
$$\int_{\sigma_1}^{\sigma_2} N(\sigma, T) \, d\sigma = \frac{1}{2\pi i} \int_{\mathcal{R}} \log L(s, f) \, ds + O(1),$$

where  $\mathcal{R}$  is the rectangular contour with vertices  $\sigma_1, \sigma_2, \sigma_1 + iT, \sigma_2 + iT$  with  $1/2 < \sigma_1 < 1 < \sigma_2$ , and where the error term arises from the possible pole of L(s, f) at s = 1 (to define here  $\log L(s, f)$  we choose the principal branch of the logarithm on the real axis whereas for other points s the value of the logarithm is obtained by analytic continuation). Obviously, we may choose  $\sigma_2$  such that L(s, f) has no zeros in the half-plane  $\operatorname{Re} s \geq \sigma_2$ . Since f(1) = 1 a standard application of Jensen's formula (see [5, §IX.1] and [3]) shows that the right hand side of (7) equals

$$\frac{1}{2\pi} \int_{0}^{T} \log |L(\sigma_{1} + it, f)| \, dt + O(\log T)$$
  
$$\leq \frac{T}{4\pi} \log \left(\frac{1}{T} \int_{0}^{T} |L(\sigma_{1} + it)|^{2} \, dt\right) + O(\log T).$$

Therefore, using the mean square formula [4]

$$\lim_{T \to \infty} \frac{1}{T} \int_{0}^{T} |L(\sigma + it, f)|^2 dt = \frac{1}{q^{2\sigma}} \sum_{a=1}^{q} |f(a)|^2 \zeta \left( 2\sigma, \frac{a}{q} \right),$$

valid for  $\sigma > 1/2$ , we may replace (7) by

(8) 
$$\sum_{\substack{\operatorname{Re}\lambda > \sigma_1\\0 < \operatorname{Im}\lambda \le T}} (\operatorname{Re}\lambda - \sigma_1) \le \frac{T}{4\pi} \log\left(\frac{1}{q^{2\sigma}} \sum_{a=1}^q |f(a)|^2 \zeta\left(2\sigma, \frac{a}{q}\right)\right) + O(\log T)$$

as  $T \to \infty$ ; here the sum on the left hand side is taken over all zeros  $\lambda$  of L(s, f), not necessarily generated by  $\varrho$ . Since, for  $1/2 < \sigma_1 < \sigma_3$ ,

$$N(\sigma_3, T) \leq \frac{1}{\sigma_3 - \sigma_1} \sum_{\substack{\operatorname{Re} \lambda > \sigma_1 \\ 0 < \operatorname{Im} \lambda \leq T}} (\operatorname{Re} \lambda - \sigma_1),$$

we may estimate

201

$$N(3/4 + \operatorname{Re} \varrho - 2r\varepsilon, 3/4 + \operatorname{Re} \varrho + 2r\varepsilon, T; L(s, f))$$

$$\leq \frac{T}{4\pi(3/4 + \operatorname{Re} \varrho - 2r\varepsilon - \sigma_1)} \log\left(\frac{1}{q^{2\sigma_1}} \sum_{a=1}^q |f(a)|^2 \zeta\left(2\sigma_1, \frac{a}{q}\right)\right) + O(\log T).$$

This leads in view of (2) to the estimate in the corollary.

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Institut für Algebra und Geometrie Johann Wolfgang Goethe-Universität Frankfurt Robert-Mayer-Str. 10 60054 Frankfurt, Germany E-mail: steuding@math.uni-frankfurt.de

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(4155)