

Large squares and sets of analyticity in tensor algebras

by

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1. Introduction. If X and Y are compact Hausdorff spaces, $V(X \times Y) = C(X) \otimes C(Y)$ will denote the projective tensor product of the Banach algebras $C(X)$ and $C(Y)$. $V(X \times Y)$ is a regular symmetric Banach algebra under the projective norm: for a detailed discussion of its definitions and elementary properties see [11]; a summary of them is to be found in [10].

If E is a closed subset of $X \times Y$, we define the closed ideal $I(E)$ by

$$I(E) = \{f \in V(X \times Y) : f(z) = 0 \text{ when } z \in E\}.$$

$V(E) = V(X \times Y)/I(E)$ is the algebra of restrictions to E of functions of $V(X \times Y)$. If $V(E) \cong C(E)$, we call E a *V-Helson set*.

Let φ be a continuous complex-valued function defined on the interval $[-1, 1]$ of the real line. φ is said to *operate* on the algebra $V(E)$ if $\varphi \circ f \in V(E)$ whenever $f \in V(E)$ has range in $[-1, 1]$. E is called a *set of analyticity* (for the algebra $V(X \times Y)$) if any function operating on $V(E)$ can be extended to an analytic function in a neighbourhood of $[-1, 1]$, i.e. E is a set of analyticity if "only the analytic functions" operate on $V(E)$.

For a compact abelian group G , we define $A(G)$ to be, as usual, the algebra of Gelfand (Fourier) transforms of $L^1(\hat{G})$, where \hat{G} is the dual group of G . If E is a compact subset of G , $I(E)$ and $A(E)$ are defined similarly to the respective cases above. If $A(E) \cong C(E)$, E is called a *Helson set*. E is a *set of analyticity* (for the algebra $A(G)$) if only the analytic functions operate on $A(E)$.

The dichotomy conjecture (cf. [4], [6]) is that every compact subset of a compact abelian group which is not a Helson set should be a set of analyticity. We can pose the same question in the context of the tensor algebra $V(X \times Y)$ and there too the answer is not known, however the following combinatorial characterization of countable *V-Helson sets* suggests combinatorial sufficient conditions for sets to be sets of analyticity.

If X and Y are compact Hausdorff spaces and n is a positive integer, we call *n-squares* those subsets of $X \times Y$ of the form $S_n = X_n \times Y_n$, where $X_n \subset X$, $Y_n \subset Y$ and $|X_n| = |Y_n| = n$.

THEOREM 1.1 (Varopoulos [11], 6.4]. *A countable closed subset $E \subset X \times Y$ is a V -Helson set if and only if there exists a positive integer λ such that $|E \cap S_n| < \lambda n$ for all n -squares S_n and for all positive integers n .*

In this paper, we consider the case of the intersection of a sequence of n -squares $\{S_n\}_{n=1}^\infty$ with $E \subset X \times Y$, showing first that if $|E \cap S_n| = n^2$, then E is a set of analyticity. Then, by a combinatorial refinement we show that it is sufficient to have $|E \cap S_n| \geq n^{2-\epsilon_n}$, where $\epsilon_n \rightarrow 0$ as $n \rightarrow \infty$. For the remaining results we use the methods developed by Katznelson and Malliavin [5, 6] to show that if $n|E \cap S_n|^{-1} \rightarrow 0$, then E is almost surely (with respect to a certain probability space) a set of analyticity. We also give similar results for a more specialised class of sets.

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2. LEMMA 2.1. *Let X, Y be compact Hausdorff spaces and let E be a closed subset of $X \times Y$. Let E contain an n -square for every positive integer n .*

Then E is a set of analyticity for the tensor algebra $V(X \times Y)$.

Proof. By T we shall denote the group of complex numbers with unit modulus, and by $Z(n)$ the cyclic group of order n . We shall identify $Z(n)$ with its embedding in T as the group of n^{th} roots of unity.

It is known [2] that there exists a constant $\alpha > 0$ such that for any positive real number $R > 0$ there exists a real function $f \in A(T)$ with

$$\|f\|_{A(T)} < R \quad \text{and} \quad \|e^{i\varphi}\|_{A(T)} > e^{\alpha R}.$$

Let $\varphi \in A^*(T)$ be such that $\|\varphi\|_{A^*} = 1$ and $|\langle e^{i\varphi}, \varphi \rangle| > e^{\alpha R}$. By the method of Herz [7], there exists a sequence $(\varphi_n)_{n=1}^\infty$ of pseudomeasures $\varphi_n \in A^*(Z(n))$ such that $\|\varphi_n\| \leq 1$ and $\varphi_n \rightarrow \varphi$ in the weak star topology. Hence there exists n_0 such that for all $n > n_0$, $|\langle e^{i\varphi}, \varphi_n \rangle| > e^{\alpha R}$ and thus $\|e^{i\varphi}\|_{Z(n)}\|_{A(Z(n))} > e^{\alpha R}$. So, fixing $n > n_0$, we have a real function $f_1 = f|_{Z(n)} \in A(Z(n))$ such that

$$\|f_1\|_{A(Z(n))} < R \quad \text{and} \quad \|e^{i\varphi_1}\|_{A(Z(n))} > e^{\alpha R}.$$

Now let $S_n = X_n \times Y_n$ be an n -square in E . To transfer f_1 from $A(Z(n))$ to $V(S_n)$, we identify S_n with the set $Z(n) \times Z(n)$ and we consider the map $M: A(Z(n)) \rightarrow V(S_n)$ defined by

$$Mh(x, y) = h(x+y)$$

for any $h \in A(Z(n))$ and $x, y \in Z(n)$. This map is an isometric isomorphism identifying $A(Z(n))$ with a closed subalgebra of $V(S_n)$ ([11], 8.1), so we have a real function $g_1 \in V(S_n)$ satisfying

$$\|g_1\|_{V(S_n)} < R \quad \text{and} \quad \|e^{i\varphi_1}\|_{V(S_n)} > e^{\alpha R}.$$

Hence there is a function $g \in V(E)$ taking only real values and having

$$\|g\|_{V(E)} < 2R \quad \text{and} \quad \|e^{i\varphi}\|_{V(E)} > e^{\alpha R}$$

which is enough to show that E is a set of analyticity [3].

Comparing this result with theorem 1.1, it is natural to ask whether we can glean information from the type of intersection of a sequence of n -squares with a particular set.

We shall say that a sequence $\{S_n\}_{n=1}^\infty$ of n -squares has *incidence* $d(n)$ in a subset E of $X \times Y$ if $d(n)$ is a function on the positive integers such that

$$|E \cap S_n| \geq d(n)$$

for an infinity of values of n .

THEOREM 2.2. *Let X, Y be compact Hausdorff spaces, let E be a closed subset of $X \times Y$ and let $\{S_n\}_{n=1}^\infty$ be a sequence of n -squares in $X \times Y$ having incidence $n^{2-\epsilon_n}$ in E , where $\epsilon_n \rightarrow 0$ as $n \rightarrow \infty$.*

Then E is a set of analyticity for the tensor algebra $V(X \times Y)$.

This theorem immediately follows from lemma 2.1 and the following proposition, due to Kővari, Sós and Turán [8]:

PROPOSITION 2.3. *Let X, Y be arbitrary sets, let E be a subset of $X \times Y$ and let $\{S_n\}_{n=1}^\infty$ be a sequence of n -squares having incidence $n^{2-\epsilon_n}$ in E , where $\epsilon_n \rightarrow 0$ as $n \rightarrow \infty$.*

Then we can find a sequence of n -squares $\{T_n\}_{n=1}^\infty$ such that $T_n \subset E$ for each n .

Proof. Without loss of generality we shall assume that n^{ϵ_n} is an integer. To avoid unnecessary complication we shall suppose also that $|(S_n \cap E)| \geq n^{2-\epsilon_n}$ for every $n \geq 1$.

By rows (respectively columns) of S_n we shall understand sets of the form $x_0 \times Y_n$ (respectively $X_n \times y_0$), where $x_0 \in X_n$ ($y_0 \in Y_n$). Let r be a positive integer and suppose n_0 is such that $\epsilon_n < 1/r$ for $n \geq n_0$. For some such n we select a subset $S'_n \subset S_n$ consisting of $t = rn^{\epsilon_n}$ rows of S_n and containing at least rn points of E . Let s be the number of columns of S'_n containing at least r points of E . Then, calculating an upper bound for the number of points in S'_n , we obtain $st + (n-s)(r-1) \geq rn$ and hence $st \geq n$ for $r > 1$ (the case $r = 1$ is, of course, trivial). In any column of S'_n containing at least r points of E , r points of E can be arranged in $\binom{t}{r}$ ways, so if $s > r \binom{t}{r}$, we shall have obtained an r -square $T_r \subset E$. To do this we observe that

$$r \binom{t}{r} < t^r = r^r n^{r\epsilon_n} \quad \text{and} \quad s \geq (n^{1-\epsilon_n})/r,$$

so if n is large enough, we obtain the desired result.

3. We follow Katznelson and Malliavin [5] in introducing the definitions below.

Let F be a finite-dimensional vector space over \mathbb{R} and let $\|\cdot\|_1, \|\cdot\|_2$ be two norms on F such that $\|\cdot\|_2 \leq \|\cdot\|_1$. Let $\|\cdot\|_1^*$ be the dual norm on the dual F^* of $(F, \|\cdot\|_1)$. A set of majoration of $\|\cdot\|_1$ with respect to $\|\cdot\|_2$ is a subset S of the unit ball of $(F, \|\cdot\|_2)$ such that

$$\|\mu\|_1^* \leq 2 \sup_S |\langle \mu, f \rangle|$$

for all $\mu \in F^*$. The scale of $\|\cdot\|_1$ compared with $\|\cdot\|_2$ is the cardinal of a smallest possible set of majoration. If X, Y are two compact spaces and E is a finite subset of $X \times Y$, the arithmetic diameter $d(E)$ of E is the scale of $\|\cdot\|_{V(E)}$ compared with $\|\cdot\|_{C(E)}$ (this latter definition being applicable also when considering $V(E), C(E)$ as complex vector spaces).

LEMMA 3.1. Let X, Y be finite sets having $|X| = |Y| = n$, a positive integer. Then $d(E) \leq 2^{4n}$ for any subset E of $X \times Y$.

Proof. Let μ be a measure on E . Then

$$\|\mu\|_{A^*(E)} = \sup |\langle \mu, f \otimes g \rangle|,$$

where $f \in C(X), g \in C(Y)$ and $\|f\|_\infty = \|g\|_\infty = 1$.

Put

$$F = \{f \in C(X): f(x) = e^{2\pi i r x/4}; r = 0, 1, 2, 3; x \in X\},$$

$$G = \{g \in C(Y): g(y) = e^{2\pi i r y/4}; r = 0, 1, 2, 3; y \in Y\}.$$

Then $S = \{f \otimes g: f \in F, g \in G\}$ is a set of majoration. To show this, let $f' \in C(X), g' \in C(Y), \|f'\|_\infty = \|g'\|_\infty = 1$. Consider

$$\langle \mu, f' \otimes g' \rangle = \sum_{x,y} \mu(x,y) f'(x) g'(y) = \varrho e^{i\theta}, \quad \text{say.}$$

For each x , replace $f'(x)$ by $f(x) = \exp(2\pi i r(x)/4)$, where $r(x) \in \{0, 1, 2, 3\}$ in such a way that

$$\left| \arg \left\{ f(x) \sum_y \mu(x,y) g'(y) \right\} - \theta \right| \leq \pi/4.$$

It is then clear that

$$|\langle \mu, f \otimes g' \rangle| \geq \frac{1}{\sqrt{2}} \varrho.$$

Similarly, replacing g' by $g \in G$, we obtain

$$\|\mu\|_{A^*(E)} = \sup |\langle \mu, f' \otimes g' \rangle| \leq 2 \sup_S |\langle \mu, f \otimes g \rangle|.$$

THEOREM 3.2. Let X, Y be compact Hausdorff spaces and let $\{S_n\}_{n=1}^\infty$ be a collection of n -squares of $X \times Y$. Let δ_x be the Dirac measure of a point $x \in S_n$ and let $\Delta_n = \{\delta_x\}_{x \in S_n}$. Let also θ_n be a random measure equidistributed in Δ_n and put

$$\xi_n = \frac{1}{p_n} \sum_{j=1}^{p_n} \theta_{nj},$$

where the θ_{nj} are p_n independent copies of θ_n . ξ_n and ξ_m are to be independent when $n \neq m$. Put $E_n = \text{supp } \xi_n$.

Then if $np_n^{-1} \rightarrow 0$ as $n \rightarrow \infty$, the set $H = \bigcup_{n=1}^\infty E_n$ is almost surely a set of analyticity.

We start by proving two lemmas.

LEMMA 3.3. Let m and t be relatively prime positive integers and put $n = mt$. Let μ and ν denote the Haar measures on $\mathbf{Z}(m), \mathbf{Z}(n)$ respectively. Then to any real function $f \in A(\mathbf{Z}(m))$ there corresponds a real function, $g \in A(\mathbf{Z}(n))$ with

$$\|f\|_A = \|g\|_A \quad \text{and} \quad \|\mu e^{if}\|_{A^*} = \|\nu e^{ig}\|_{A^*}.$$

Proof. Since $(m, t) = 1$, we can write $\mathbf{Z}(n) = \mathbf{Z}(m) \times \mathbf{Z}(t)$ and $\mathbf{Z}(n)^\wedge = \mathbf{Z}(m)^\wedge \times \mathbf{Z}(t)^\wedge$. Let p be the corresponding quotient map $p: \mathbf{Z}(n) \rightarrow \mathbf{Z}(m)$. Given $f \in A(\mathbf{Z}(m))$, we define $g = \check{p}f \in A(\mathbf{Z}(n))$ by $g(z) = f(pz)$ for each $z \in \mathbf{Z}(n)$. Clearly the map \check{p} is a monomorphism and if f is a real function so is g .

Any character $\chi \in \mathbf{Z}(n)^\wedge$ can be written in the form $\chi = (\chi_m, \chi_t)$, where χ_m, χ_t are elements of $\mathbf{Z}(m)^\wedge, \mathbf{Z}(t)^\wedge$ respectively. Similarly, we write $z = (x, y) \in \mathbf{Z}(n)$, where $x \in \mathbf{Z}(m)$ and $y \in \mathbf{Z}(t)$. Then we have

$$\begin{aligned} \hat{g}(\chi) &= (1/n) \sum_{\mathbf{Z}(n)} g(z) \bar{\chi}(z) \\ &= (1/t) \sum_{\mathbf{Z}(t)} \left(1/m \sum_{\mathbf{Z}(m)} f(x) \bar{\chi}_m(x) \right) \bar{\chi}_t(y) \\ &= \begin{cases} \hat{f}(\chi_m) & \text{if } \chi_t \equiv 1, \\ 0 & \text{otherwise.} \end{cases} \end{aligned}$$

Hence $\|f\|_A = \|g\|_A$ and similarly, $\|\mu e^{if}\|_{A^*} = \|\nu e^{ig}\|_{A^*}$.

In the next lemma, $C > 0$ and $\alpha > 0$ are absolute constants, the values of which are irrelevant for our purposes.

LEMMA 3.4. Let t be a positive integer. We can find a positive integer n such that if R is any integer with $0 < R \leq t$, then there exists a real function $f \in A(Z(n))$ satisfying

$$\|f\|_A < R \quad \text{and} \quad \|ve^{if}\|_{A^*} < e^{-aR},$$

where v is the Haar measure on $Z(n)$.

Proof. By [5] there are positive real numbers k_1, k_2 such that if $m > k_1$ is a positive integer, there exists a real function $f \in A(Z(m))$ with

$$\|f\|_A < k_2 \log m \quad \text{and} \quad \|\mu e^{if}\|_{A^*} < m^{-1/4},$$

where μ is the Haar measure on $Z(m)$. Writing $R = [k_2 \log m] + 1$, we obtain

$$(3.5) \quad \|f\|_A < R \quad \text{and} \quad \|\mu e^{if}\|_{A^*} < e^{-aR}$$

for some $a > 0$. It follows that if R is a large enough positive integer, there is an integer m' such that for any integer m with $m' \leq m \leq 2m'$, we can find a real function $f \in A(Z(m))$ satisfying (3.5). By Bertrand's postulate (see e.g. [1]), we can find a prime, m_R say, such that $m' \leq m_R \leq 2m'$. If we put $n = \text{l.c.m.}\{m_R\}_{0 < R \leq t}$, it follows from lemma 3.3 that for any R with $0 < R \leq t$, we can find $f \in A(Z(n))$ satisfying the inequalities of lemma 3.4.

Proof of theorem 3.2. For any positive integer n we identify S_n once and for all with $Z(n) \times Z(n)$. The map $M: A(Z(n)) \rightarrow V(S_n)$ of lemma 2.1 identifies $A(Z(n))$ isometrically with a closed subalgebra, $A'(S_n)$, of $V(S_n)$. $A'(S_n)$ consists of those functions g of $V(S_n)$ which satisfy $g(x, y) = g(z, t)$ whenever $x + y = z + t$ ([11], 8.1).

Let t be a positive integer. By lemma 3.4 and the remarks above, there is a positive integer $n = n_t$ such that for any integer R with $0 < R \leq t$ there is a real function $f = f_{R, \epsilon} \in A'(S_n)$ such that

$$\|f\|_{V(S_n)} < R \quad \text{and} \quad \|e^{if} v_n\|_{A'(S_n)^*} < e^{-aR},$$

where v_n is the equidistributed positive measure of total mass 1 on S_n , and C and a are the constants of lemma 3.4.

Moreover,

$$\|e^{if} v_n\|_{V^*(S_n)} < e^{-aR}$$

for if not, there exists $g \in V(S_n)$ with

$$\|g\|_V \leq 1 \quad \text{and} \quad |\langle g, e^{if} v_n \rangle| \geq e^{-aR}.$$

Consider

$$\tilde{g} = \frac{1}{n} \sum_{x \in Z(n)} g_x,$$

where g_x is defined by

$$g_x(y, z) = g(y + x, z - x)$$

for all $y, z \in Z(n)$. Clearly $\tilde{g} \in A'(S_n)$,

$$\|\tilde{g}\|_V \leq 1 \quad \text{and} \quad |\langle \tilde{g}, e^{if} v_n \rangle| \geq e^{-aR},$$

which is a contradiction. So we have a real function $f \in V(S_n)$ with

$$\|f\|_V < R \quad \text{and} \quad \|e^{if} v_n\|_{V^*} < e^{-aR}.$$

Let ξ_n be the random measure of the statement of the theorem. Let $\{k_1, \dots, k_s\}$ be a set of majoration of $\|\cdot\|_{V(S_n)}$ with respect to $\|\cdot\|_\infty$, where s is the arithmetic diameter of S_n . Then we have

$$(3.6) \quad \|e^{if} \xi_n\|_{V^*} \leq 2 \sup_{r=1, \dots, s} |\langle k_r, e^{if} \xi_n \rangle|.$$

Let Z^r be the random variable defined by

$$Z^r(x, y) = k_r(x, y) \exp(if(x, y))$$

as (x, y) is chosen at random in S_n . Then we have

$$|\mathcal{E}(Z^r)| \leq \|e^{if} v_n\|_{V^*} < e^{-aR}$$

and

$$\langle k_r, e^{if} \xi_n \rangle = \frac{1}{p_n} \sum_{q=1}^{p_n} Z_q^r,$$

where Z_q^r is a copy of Z^r . We shall use the following lemma (for a proof see [9]):

LEMMA 3.7. Let Z be a complex-valued random variable with $|Z| \leq 1$ and $\mathcal{E}(Z) = \alpha$. Let Z_1, \dots, Z_p be p independent copies of Z and let

$$Z^* = p^{-1}(Z_1 + \dots + Z_p).$$

Then, for any $\varepsilon > 0$,

$$P\{|Z^* - \alpha| > \varepsilon\} < 4e^{-\beta p \varepsilon^2}$$

for some $\beta > 0$.

From this, and the inequalities above, we obtain

$$P\{|\langle k_r, e^{if} \xi_n \rangle - \mathcal{E}(Z^r)| > \varepsilon \text{ for some } r \in [1, 2, \dots, s]\} < 4se^{-\beta p_n \varepsilon^2} \\ \leq 4^{2n+1} e^{-\beta p_n \varepsilon^2}.$$

Hence

$$P\{\|e^{if} \xi_n\|_{V^*} > 2e^{-aR} + 2\varepsilon\} \leq \exp\{k(2n+1) - \beta p_n \varepsilon^2\}.$$

Writing f_n for $f|_{E_n}$, we have

$$\langle e^{ij} \xi_n, e^{-ij} \rangle = 1$$

and, extending f_n to a real function $g \in V(H)$ such that $\|g\|_{V(H)} < 2R$, we get

$$P\{\|e^{ig}\|_{V(H)} < (2e^{-aR} + 2e)^{-1}\} < \exp[k(2n+1) - \beta p_n e^2].$$

We now choose positive numbers ε_n such that $\varepsilon_n \rightarrow 0$ and $n/p_n \varepsilon_n \rightarrow 0$ as $n \rightarrow \infty$ and we consider the functions $g_{R,t} \in V(H)$ corresponding to $f_{R,t} \in V(S_n)$. Since

$$P\{\|e^{ig_{R,t}}\|_V < (2e^{-aR} + 2\varepsilon_n)^{-1}\} < \exp[k(2n_t+1) - \beta p_{n_t} \varepsilon_n^2],$$

it is clear that, given $\delta > 0$, we can find, for each $R > C$, an integer t_R such that

$$P\{\|e^{ig_R}\|_V \leq \frac{1}{3} e^{aR}\} < \delta/2^R$$

(where $g_R = g_{R,t_R} \in V(H)$). But $\|g_R\|_V < 2R$, so we can deduce (by the criterion of [3]) that

$$P\{H \text{ is not a set of analyticity}\} < \delta.$$

Hence H is almost surely a set of analyticity.

4. For some particular subsets of $X \times Y$ we can get direct transpositions of the results of Malliavin and Katznelson [5], [6].

Definition 4.1. Let X, Y be sets and let $S_n = X_n \times Y_n$ be an n -square in $X \times Y$. If G is an abelian group of order n and X_n, Y_n are identified with G , the G -fibres of S_n are the equivalence classes of points of S_n corresponding to the relation

$$(x, y) \sim (z, t) \Leftrightarrow x + y = z + t.$$

A subset E of S_n is called a G -diagonal subset if

$$(x, y) \in E \Leftrightarrow (z, t) \in E$$

for all $x, y, z, t \in G$ having $x + y = z + t$. (These definitions are, of course, dependent on the particular identifications of X_n, Y_n with G .)

THEOREM 4.2. Let X, Y be compact Hausdorff spaces and let H be a closed subset of $X \times Y$. Suppose H contains a set of the form $\bigcup_{n=1}^{\infty} E_n$, where each E_n is a $Z(n)$ -diagonal subset of an n -square S_n .

Then if

$$\lim_{n \rightarrow \infty} |E_n| > n^{1+\varepsilon}$$

for some $\varepsilon > 0$, H is a set of analyticity.

Proof. Let $F_n = \{z \in Z(n) : z = x + y \text{ for some } (x, y) \in E_n\}$. Clearly $|F_n| = |E_n|/n$ and thus

$$\lim_{n \rightarrow \infty} |F_n| > n^\varepsilon.$$

It then follows from [5], that, given $R > 0$, we can find a real function $f \in A(F_n)$ for some n , having

$$\|f\|_{A(F_n)} < R \quad \text{and} \quad \|e^{if}\|_{A(F_n)} > e^{aR}$$

for some positive constant a . Applying the mapping $M: A(Z(n)) \rightarrow V(S_n)$ we obtain the required result.

THEOREM 4.3. Let X, Y be compact Hausdorff spaces and let H be a closed subset of $X \times Y$. Let H contain a set of the form $\bigcup_{n=1}^{\infty} E_n$, where E_n is the union of $|E_n|/n$ $Z(n)$ -fibres of S_n chosen at random.

Then if

$$(n \log n) |E_n|^{-1} \rightarrow 0$$

as $n \rightarrow \infty$, H is almost surely a set of analyticity.

Proof. As above, using [6], Theorem 1, in place of [5].

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