

CAUCHY TYPE INTEGRALS AND A D -MOMENT PROBLEM

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ABSTRACT. We consider a Cauchy-type integral $F(z) = \int_{\Gamma} \frac{g(\xi) d\xi}{\xi - z}$, where g is a piecewise analytic function satisfying an n -th order linear homogeneous differential equation $Ly = \frac{d^n y}{dz^n} + c_{n-1} \frac{d^{n-1} y}{dz^{n-1}} + \cdots + c_0 y = 0$ with coefficients $c_k \in \mathbb{C}(z)$ rational functions. Our main theorem asserts that the function F satisfies a linear non-homogeneous equation $Ly = R$ with R a rational function. The precise description of R leads to the solution of a vanishing problem and to the solution of a moment-type problem, which we call D-moment problem.

RÉSUMÉ. On considère une intégrale du type Cauchy $F(z) = \int_{\Gamma} \frac{g(\xi) d\xi}{\xi - z}$, où g est une fonction analytique par morceaux satisfaisant une équation différentielle linéaire homogène d'ordre n , $Ly = \frac{d^n y}{dz^n} + c_{n-1} \frac{d^{n-1} y}{dz^{n-1}} + \cdots + c_0 y = 0$, aux coefficients $c_k \in \mathbb{C}(z)$ rationnels. Notre théorème principal affirme que la fonction F satisfait une équation linéaire non-homogène $Ly = R$ avec R rationnelle. La description précise de R mène à la solution du problème d'évanescence et à la solution d'un problème du type moment que nous appelons problème de D-moment.

1. Introduction The present paper was inspired by a question of a piecewise polynomial moment problem, posed to us by Y. Yomdin, and by the results of F. Pakovich, N. Roytvarf and Y. Yomdin [PRY] and Roytvarf and Yomdin [RY]. We consider a Cauchy-type integral $F(z) = \int_{\Gamma} \frac{g(\xi) d\xi}{\xi - z}$, where g is a piecewise analytic function satisfying a linear homogeneous equation $Ly = \frac{d^n y}{dz^n} + c_{n-1} \frac{d^{n-1} y}{dz^{n-1}} + \cdots + c_0 y = 0$ with coefficients $c_k \in \mathbb{C}(z)$ rational functions. Theorem 2.1 asserts that the function F satisfies a linear non-homogeneous equation $Ly = R$ with R a rational function. The precise description of the singularities of the function R , given in Proposition 2.2, leads to the solution of a certain vanishing problem (Theorem 3.1); and combined with the explicit formulas from Lemma 3.3 leads to the solution of the D-moment problem (Theorem 3.2). Theorem 2.4 provides an explicit linear recurrence relation with rational coefficients for the sequence of moments of a piecewise analytic function g as above. The possibility of such a relation was pointed out by Yomdin. This is a brief version of the paper, the complete one will appear elsewhere. We would like to

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thank Y. Yomdin for bringing the problem to our attention and for stimulating discussions.

2. Main theorems We start by establishing some notations. Throughout the paper, by a holomorphic function in a domain $D \subset \mathbb{C}$ we mean a univalued analytic function in D . In contrast, an analytic function in D may be, and in our paper usually is, multivalued.

On the complex line \mathbb{C}^1 with a fixed coordinate z we consider a linear differential operator $L = \frac{d^n}{dz^n} + c_{n-1} \frac{d^{n-1}}{dz^{n-1}} + \cdots + c_0$ with coefficients $c_k \in \mathbb{C}(z)$ rational functions. We denote by $\Omega \subset \mathbb{C}$ the set of poles of all the coefficients c_k . In the complement $\mathbb{C} \setminus \Omega$ the coefficients of the differential operator L are holomorphic functions, and thus in a sufficiently small neighborhood of any point z_0 solutions of the homogeneous differential equation $Ly = 0$ form an n -dimensional vector space.

Let $\Gamma \subset \mathbb{C} \setminus \Omega$ be a smooth realization of an abstract oriented finite graph $\tilde{\Gamma}$ without loops. We recall that the graph $\tilde{\Gamma}$ is a collection of its vertices V and its edges E ; its orientation is given by the choice of the initial, $\text{in}(e)$ and the end, $\text{end}(e)$ vertices for every edge e . By a smooth realization we mean the following:

- (i) a finite collection of pairwise distinct points z_v in $\mathbb{C} \setminus \Omega$ indexed by the vertices of the graph $\tilde{\Gamma}$;
- (ii) a finite collection of smooth embeddings $\gamma_e: [0, 1] \mapsto \mathbb{C} \setminus \Omega$ indexed by the edges of the graph $\tilde{\Gamma}$ with $\gamma_e(0) = z_{\text{in}(e)}$ and $\gamma_e(1) = z_{\text{end}(e)}$;
- (iii) a natural orientation from $\gamma_e(0)$ to $\gamma_e(1)$ on each curve $\gamma_e([0, 1])$.

Now assume that a function $g_{e, \text{in}(e)}$ is a solution of the homogeneous n -th order differential equation $Ly = 0$ and is defined in a small neighborhood of the point $\gamma_e(0) = z_{\text{in}(e)}$. Let us denote by g_e the analytic continuation of the germ $g_{e, \text{in}(e)}$ along the curve $\gamma_e([0, 1])$. It is convenient to think of g_e as a density of the mass distribution along the curve $\gamma_e([0, 1])$. Given a germ $g_{e, \text{in}(e)}$ for every edge of the graph, the number $m_n = \int_{\Gamma} z^n g_e dz := \sum_{\gamma_e | e \in E} \int_{\gamma_e([0, 1])} z^n g_e dz$ is called the n -th moment of the system of masses (Γ, g_e) . We denote by G_v the function in a neighborhood of a vertex z_v defined as $\sum \pm g_{e, \text{in}(e)}$, where the summation goes over all the edges that contain the vertex v ; the sign is chosen to be “+” if the vertex v is the initial for the edge e and “−” otherwise. Clearly, for any vertex z_v the function G_v is a solution of the differential equation $Ly = 0$. Finally, we denote by \vec{G}_v the vector $(G_v|_{z=z_v}, \frac{dG}{dz}|_{z=z_v}, \dots, \frac{d^{n-1}G}{dz^{n-1}}|_{z=z_v})$ of the initial values at the point z_v .

Now we are ready to formulate our first main result.

THEOREM 2.1. *The Cauchy-type integral $-\int_{\Gamma} \frac{g(\xi) d\xi}{\xi - z}$ in $\mathbb{C} \setminus \Gamma$ allows for an analytic continuation $F(z)$ in $\mathbb{C} \setminus \Omega$ with the following properties:*

- (i) *The germ of the original branch of the function F at infinity is $\sum_{k=0}^{\infty} \frac{m_k}{z^{k+1}}$.*
- (ii) *The function F is a solution of an n -th order non-homogeneous equation $LF = R$ with R a rational function.*

(iii) In a neighborhood of a vertex z_v , $F(z) = G_v(z) \ln(z - z_v) + h(z)$ with h holomorphic in a neighborhood of z_v .

Denote by $\text{ord}_a f$ the order of the pole of a rational function f at a point a . The next proposition describes poles of the rational function $R = LF$ from the previous theorem.

PROPOSITION 2.2. Poles of the function R are located in the union of the set Ω and the set of the points z_v . Moreover:

(i) For every point $a \in \Omega$ the function R has a pole of order at most

$$\max_{k=0, \dots, n-1} \text{ord}_a c_k.$$

(ii) For every point z_v the function R has a pole of order at most n ; there is a lower triangular unipotent (with 1 on the main diagonal) matrix M of rational functions that depends on the operator L only such that $M \vec{G}_v$ evaluated at z_v is (a_n, \dots, a_1) , where $\frac{a_n}{(z-z_v)^n} + \dots + \frac{a_1}{(z-z_v)}$ is the principal part of the Laurent series of the function R at the point z_v .

Proofs of Theorem 2.1 and Proposition 2.2 are based on a well-known fact about Cauchy-type integrals. For convenience we will state it below (Lemma 2.3). Let a, b be two points on the complex line and $\gamma: [0, 1] \mapsto \mathbb{C}$ be a smooth embedding such that $\gamma(0) = a$, $\gamma(1) = b$. Consider a Cauchy-type integral $I(z) = \int_{\gamma([0,1])} \frac{g(\xi)d\xi}{\xi-z}$, where the curve $\gamma([0, 1])$ is oriented from point a to b , and g is a function holomorphic in a small neighborhood of the curve. The curve $\gamma([0, 1])$ divides a sufficiently small neighborhood U of a point $c \in \gamma((0, 1))$ into the “right side” U_+ and the “left side” U_- . We denote by I_+ and I_- the function I restricted to U_+ and the function F restricted to U_- , respectively.

LEMMA 2.3. Functions I , I_+ , and I_- satisfy the following properties.

- (i) The function $I(z) = -\sum_{k=0}^{\infty} \frac{m_k}{z^{k+1}}$ in the neighborhood of infinity, where $m_k = \int_{\gamma} z^k g(z) dz$.
- (ii) Functions I_+ , I_- can be extended to holomorphic functions \tilde{I}_+ , \tilde{I}_- on the whole neighborhood U ; moreover, the following identity holds $\tilde{I}_+ - \tilde{I}_- = g$.
- (iii) Near point a (resp. point b) the function $I(z) = -g(z) \ln(z - a) + h_a(z)$ (resp. $I(z) = g(z) \ln(z - b) + h_b(z)$) with h_a (resp. h_b) holomorphic in a neighborhood of point a (resp. point b).

Sketch of proofs of Theorem 2.1 and Proposition 2.2. Since

$$-\frac{g(\xi)d\xi}{\xi-z} = \frac{g(\xi)d\xi}{z(1-\xi/z)} = \sum_{k=0}^{\infty} \frac{g(\xi)\xi^k d\xi}{z^{k+1}}$$

for $|z| \gg 0$, we have $F(z) = \sum_{k=0}^{\infty} \frac{m_k}{z^{k+1}}$ at infinity. This proves Theorem 2.1(i).

To verify Theorem 2.1(ii) and Proposition 2.2, it is sufficient to consider the case when the graph $\tilde{\Gamma}$ has only one edge e . Denote by Ω' the union of the set Ω and the set $\{z_{\text{in}(e)}, z_{\text{end}(e)}\}$.

Next we prove Theorem 2.1(ii) and Proposition 2.2. We first verify that the function F is analytic in $\mathbb{C} \setminus \Omega'$, and simultaneously we will show that the function LF is holomorphic in $\mathbb{C} \setminus \Omega'$.

Pick a point $a \in \mathbb{C} \setminus \Omega'$. Take a smooth closed path $\alpha: [0, 1] \mapsto \mathbb{C} \setminus \Omega'$ ($\alpha(0) = \alpha(1) = a$) that transversely intersects the curve $\gamma_e([0, 1])$ in a finite number of points z_1, \dots, z_s at times $0 < t_1 < \dots < t_s < 1$ with $\alpha(t_i) = z_i$. We denote by g_i , $i = 1, \dots, s$, the germ of the function g_e at the point z_i . According to the second part of Lemma 2.3, there is an analytic continuation \tilde{F} of the function F along the curve $\alpha([0, 1])$ and, moreover, $\tilde{F}(z) - F(z) = \sum_{i=1}^s \pm \tilde{g}_i(z)$, where $\tilde{g}_i(z)$ is the analytic continuation of the germ g_i along the curve $\alpha([t_i, 1])$. In particular, $L\tilde{F} = LF + L(\pm \tilde{g}_i(z)) = LF$.

According to Lemma 2.3(iii), the function F and therefore the function LF grow slowly when approaching points $z_{\text{in}(e)}, z_{\text{end}(e)}$. Near a point $a \in \Omega$ the function F is holomorphic, so the function LF has at most a pole of order $\max_{k=0, \dots, n-1} \text{ord}_a c_k$. At infinity the function F is holomorphic, so the function LF has at most a pole. Hence, the function LF is rational. This proves Proposition 2.2(i).

Theorem 2.1(iii) directly follows from Lemma 2.3(iii) and the definition of the functions G_v .

For the proof of Proposition 2.2(ii) we need the following calculation, which can be easily proved by induction. For any $k \in \mathbb{N}$:

$$\begin{aligned} \frac{d^k}{dz^k} [g(z) \ln(z - z_0)] &= g(z_0) \left(\frac{1}{z - z_0} \right)^{(k-1)} + g'(z_0) \left(\frac{1}{z - z_0} \right)^{(k-2)} \\ &+ g''(z_0) \left(\frac{1}{z - z_0} \right)^{(k-3)} + \dots + g^{(k-1)}(z_0) \left(\frac{1}{z - z_0} \right) + g^{(k)}(z) \ln(z - z_0) + h(z), \end{aligned}$$

with h and g holomorphic functions in a neighborhood of a point $z_0 \in \mathbb{C}$.

According to Theorem 2.1(iii), to find the Laurent series for the function $R = LF$ at the point z_v , we consider $\left[\frac{d^n}{dz^n} + c_{n-1} \frac{d^{n-1}}{dz^{n-1}} + \dots + c_0 \right] (G_v(z) \ln(z - z_v))$. Applying the above calculation, we derive Proposition 2.2(ii). \square

REMARK 1. Under some natural assumptions on the growth of the functions g_e , the first two parts of Theorem 2.1 remain valid even if some vertices of the graph Γ belong to the set Ω . We will employ this remark in the complete version of this paper.

REMARK 2. As follows from the proof of Proposition 2.2, the entries of the matrix M are certain linear combinations of the coefficients c_{n-1}, \dots, c_0 and its derivatives.

According to Theorem 2.1, the Laurent series $L(\sum_{i=0}^{\infty} \frac{m_i}{z^{i+1}})$, which is equal to $\sum_{i=-l}^{\infty} \frac{M_i}{z^{i+1}}$ for some $M_i \in \mathbb{C}$ and $l \in \mathbb{Z}$, is a Laurent series of a rational function. In particular, it implies that the sequence $\{M_i\}_{i=-l}^{\infty}$ satisfies a linear recurrence relation with constant coefficients. Since each M_i is a certain linear combination of the initial moments m_i , one may expect that the sequence $\{m_i\}_{i=0}^{\infty}$ satisfies a linear recurrence relation with rational coefficients (for the precise meaning, see Theorem 2.4 below).

Having multiplied the operator L by the common denominator of its coefficients, we may assume that $L = p_n \frac{d^n}{dz^n} + p_{n-1} \frac{d^{n-1}}{dz^{n-1}} + \dots + p_0$, where $p_i \in \mathbb{C}[z]$ are polynomials. Consider the formal adjoint operator $L^* = \sum_{k=0}^n (-1)^k \frac{d^k}{dz^k} (p_k)$. The operator L^* is an n -th order linear differential operator with polynomial coefficients and $L^* = (-1)^n p_n \frac{d^n}{dz^n} + \dots$. In particular, L^* is not identically equal to zero.

THEOREM 2.4. *The sequence $\{m_i\}_{i=0}^{\infty}$ satisfies the following recurrence relation*

$$q_{N-1}(r + N - 1)m_{r+N-1} + q_{N-2}(r + N - 2)m_{r+N-2} + \dots + q_0(r)m_r = 0,$$

where q_0, \dots, q_{N-1} are polynomials of the complex variable z .

PROOF. Let $Q(z) = ((z - z_1) \dots (z - z_s))^n$, where s is a number of vertices of the graph $\tilde{\Gamma}$ and z_i are corresponding points in $\mathbb{C} \setminus \Omega$. By Stokes' formula (applied several times) $\int_{\Gamma} L^*(z^r Q) g_e dz = \int_{\Gamma} (z^r Q) L(g_e) dz = 0$. Notice that for every $k, l, r \in \mathbb{N}$, $z^k \frac{d}{dz^l} (z^r) = r(r-1) \dots (r-l+1) z^{r+k-l} = q_{kl}(r+k-1) z^{r+k-l}$, where $q_{kl}(z) = (z - k + 1)(z - k + 2) \dots (z - k + l - 1)$ is a polynomial of the complex variable z . By the linearity, $L^*(z^r Q) = \sum_{i=0}^N q_i(r+i) z^{r+i}$, where N is some integer and q_i ($i = 1, \dots, N$) are some polynomials. \square

3. Applications In this section we adhere to the previous notations. Recall that $\Gamma \subset \mathbb{C} \setminus \Omega$ is an aggregate of a finite number of points z_v and smooth oriented paths between them. Points of Γ correspond to the vertices of an abstract oriented finite graph $\tilde{\Gamma}$, paths correspond to the (oriented) edges; Ω is a singular set of a linear n -th order differential operator L with rational coefficients. Abusing the notation, we will refer to Γ as to a graph. We will also call the points z_v and the paths between them vertices and edges of the graph Γ , respectively.

We address the following two questions.

- Given a system of masses g_e distributed on the graph Γ . How many first moments should vanish so that all the moments vanish? See Theorem 3.1.
- D -moment problem: Given a (generic) system of masses distributed on the graph Γ , find vertices of the graph Γ and masses given the finite number of moments. Theorem 3.2 provides a partial answer.

Let us multiply the operator L by the common denominator of its coefficients and denote the result by \tilde{L} . The operator $\tilde{L} = p_n \frac{d^n}{dz^n} + p_{n-1} \frac{d^{n-1}}{dz^{n-1}} + \dots + p_0$, where p_i are polynomials of the complex variable z . We will call the number $c(L, \Gamma) = dn + \max_{i=1, \dots, n} \deg(p_i)$, where d is the number of vertices in the graph Γ , the *complexity* of the system of masses (Γ, g_e) .

THEOREM 3.1. *If the first $c(L, \Gamma)$ moments of the system of masses (Γ, g_e) vanish, then all the moments vanish.*

THEOREM 3.2. *For a (generic) system of masses (Γ, g_e) there is a rational function $W = \frac{P}{Q}$ with the following properties.*

- (i) *The function W has poles only at vertices of the graph Γ .*
- (ii) *Every coefficient b of polynomials P and Q has the form $W_b(m_1, \dots, m_{c(\Gamma, L)})$, where W_b is a polynomial in $c(\Gamma, L)$ variables with complex coefficients. The polynomials W_b depend only on the operator L and the number of vertices.*
- (iii) *For every vertex z_v the function W has a pole of order n ; there is a polynomial matrix M that depends only on the operator \tilde{L} such that the matrix M evaluated at z_v is non-degenerate and $M\tilde{G}_v$ evaluated at z_v is (a_n, \dots, a_1) , where $\frac{a_n}{(z-z_i)^n} + \dots + \frac{a_1}{(z-z_i)}$ is the principle part of the Laurent series of the function W at the point z_v .*

We would like to illustrate our proof of Theorem 3.2 together with its application to the D-moment problem with the following example.

Example (piecewise polynomial moment problem). Given the differential operator $L = \frac{d^n}{dz^n}$, where $n \in \mathbb{N}$, any solution of the equation $Ly = 0$ is a polynomial of degree smaller than n . Assume that points $x_1 < \dots < x_{k+1}$ on the real line are vertices of the graph Γ , segments $[x_1, x_2], \dots, [x_k, x_{k+1}]$ are edges, and polynomials $P_1, \dots, P_k \in \mathbb{C}[z]$ of degree smaller than n are masses on the intervals $[x_1, x_2], \dots, [x_k, x_{k+1}]$, respectively. According to Theorem 2.1, the function

$$R = -\frac{d^n}{dz^n} \left(\int_{x_1}^{x_2} \frac{P_1(\xi) d\xi}{\xi - z} + \dots + \int_{x_k}^{x_{k+1}} \frac{P_k(\xi) d\xi}{\xi - z} \right)$$

is rational and is equal to $\frac{d^n}{dz^n} \left(\sum_{j=0}^{\infty} \frac{m_j}{z^{j+1}} \right)$ in a neighborhood of infinity, where m_j are moments. It has poles only at the points $x_1 < \dots < x_{k+1}$. At the point x_i ($1 \leq i \leq k+1$) the principle part of the function R is equal to (see the proof of Proposition 2.2(ii)):

$$G_i(x_i) \left(\frac{1}{z - x_i} \right)^{(n-1)} + G'_i(x_i) \left(\frac{1}{z - x_i} \right)^{(n-2)} + G''_i(x_i) \left(\frac{1}{z - x_i} \right)^{(n-3)} + \dots + G_i^{(n-1)}(x_i) \left(\frac{1}{z - x_i} \right)$$

with $G_1 = P_1, G_2 = P_2 - P_1, G_3 = P_3 - P_2, \dots, G_k = P_k - P_{k-1}, G_{k+1} = -P_k$. For a generic k -tuple of polynomials P_1, \dots, P_k the function R has poles of order precisely n at the $(k + 1)$ points x_1, \dots, x_{k+1} . Lemma 3.3 below provides the explicit formulas for the rational function R in terms of the first $2n(k + 1)$ coefficients in its Taylor expansion at infinity. Note that the first $2n(k + 1)$ coefficients in $\frac{d^n}{dz^n} \left(\sum_{j=0}^{\infty} \frac{m_j}{z^{j+1}} \right)$ are determined by the first $2n(k + 1) - n$ moments m_j .

Sketch of the proof of Theorem 3.1. According to Theorem 2.1, the function $\tilde{L}F$, where $F(z) = \int_{\Gamma} \frac{g_e(\xi)d\xi}{\xi-z}$, is rational. It has poles of order at most n at d vertices of the graph Γ . It also has a zero at infinity of order at least $nd + 1$ as the condition of vanishing the first $c(L, \Gamma)$ moments implies. Thus $\tilde{L}F \equiv 0$.

In particular, for any vertex z_v the function $G_v = 0$ (see Proposition 2.2(iii)), which implies that F is holomorphic (see Theorem 2.1(iii)) on the whole complex line. At infinity the function F is also holomorphic and is equal to zero. We conclude that $F \equiv 0$ and thus all the moments are equal to zero. \square

Sketch of the proof of Theorem 3.2. We claim that the function $W = \tilde{L}F - P_{\infty}(\tilde{L}F)$, where $P_{\infty}(\tilde{L}F)$ is the principle part of the function $\tilde{L}F$ at infinity, satisfies the conditions of Theorem 3.2. Indeed, Theorem 3.2(i) and (iii) easily follow from Theorem 2.1. Explicit formulas for polynomials P and Q follow from the lemma below. \square

Let F be a rational function given as a quotient P/Q of two relatively prime polynomials P and Q with complex coefficients. We assume that Q is a monic polynomial of degree n ($n \in \mathbb{N}$) and P is a polynomial of degree strictly less than n . In other words, $P = b_{n-1}z^{n-1} + \dots + b_0$ and $Q = z^n + a_{n-1}z^{n-1} + \dots + a_0$, where a_i, b_j are complex numbers. Consider the Taylor series of the function F at infinity: $F = \sum_{k=1}^{\infty} \frac{s_k}{z^k}$. Denote

$$\Delta = \begin{pmatrix} s_1 & s_2 & \cdots & s_n \\ s_2 & s_3 & \cdots & s_{n+1} \\ \vdots & \vdots & \ddots & \vdots \\ s_n & s_{n+1} & \cdots & s_{2n-1} \end{pmatrix}, \quad \Delta(z) = \begin{pmatrix} s_1 & s_2 & \cdots & s_n & s_{n+1} \\ s_2 & s_3 & \cdots & s_{n+1} & s_{n+2} \\ \vdots & \vdots & \ddots & \vdots & \\ s_n & s_{n+1} & \cdots & s_{2n-1} & s_{2n} \\ 1 & z & \cdots & z^{n-1} & z^n \end{pmatrix}.$$

LEMMA 3.3.

- (i) *The determinant of the matrix Δ is not zero.*
- (ii) *Polynomial $Q(z)$ is equal to $\det \Delta(z) / \det \Delta$.*
- (iii) *If (b_{n-1}, \dots, b_0) and $(1, a_{n-1}, \dots, a_1)$ are vectors constructed from coefficients of polynomials P and Q respectively, then*

$$\begin{pmatrix} b_{n-1} \\ b_{n-2} \\ \vdots \\ b_0 \end{pmatrix} = \begin{pmatrix} s_1 & 0 & 0 & \cdots & 0 \\ s_2 & s_1 & 0 & \cdots & 0 \\ \vdots & \vdots & \ddots & \vdots & \vdots \\ s_n & s_{n-1} & s_{n-2} & \cdots & s_1 \end{pmatrix} \begin{pmatrix} 1 \\ a_{n-1} \\ \vdots \\ a_1 \end{pmatrix}$$

REMARK 3. Interestingly, moments $m_1, \dots, m_{c(\Gamma, L)}$ are not independent. For instance, if $L = \frac{d^n}{dz^n}$, Γ is a segment on the real line, and g is a polynomial (with complex coefficients) of degree at most $n - 1$, then our formulas require $3n$ first moments to reconstruct the polynomial and the end points of the segment. However, one can show that already the first $2n$ moments determine the same data uniquely.

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