

## ALGEBRAS OF ANALYTIC FUNCTIONS IN THE PLANE

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Let  $X$  be a compact subset of the complex plane and let  $A$  be an algebra of functions analytic near  $X$  which contains the polynomials and is complete in its natural topology. This paper is concerned with determining the spectrum of  $A$  and describing  $A$  in terms of its spectrum. It is shown that the spectrum of  $A$  is formed from the disjoint union of certain compact subsets of  $C$  (suitably topologized) by making certain identifications.  $A$  is closed under differentiation exactly when no identifications need be performed, and then  $A$  admits a simple, complete description. In particular, if  $X$  is connected, then the completion of  $A$  is merely the restriction to  $X$  of the algebra of all functions analytic near the union of  $X$  with some of the bounded components of  $C - X$ .

Our principal tool in these investigations is the theory of analytic structure in the spectrum of a function algebra developed by Bishop in [2] and extended by Bjork in [4, 5]. We view the algebra  $A$  as the inductive limit of function algebras and induce analytic structure in the spectrum of  $A$ . When  $A$  is closed under differentiation, topological considerations lead quickly to the desired results. In the general case, we pass to the smallest algebra  $B$  containing  $A$  which is closed under differentiation. By introducing differentiation in the spectrum of  $A$ , we show that every continuous complex-valued homomorphism of  $A$  may be extended to  $B$ . It follows that the spectrum of  $A$  is obtained from the spectrum of  $B$  by making certain identifications. When no identifications need be performed,  $A = B$ .

2. Preliminaries. If  $U$  is an open set, we let  $\mathcal{O}(U)$  denote the algebra of functions analytic on  $U$ , endowed with the topology of uniform convergence on compact sets. If  $V$  is an open subset of  $U$ , we let  $r_{UV}: \mathcal{O}(U) \rightarrow \mathcal{O}(V)$  be the restriction. If  $X$  is a compact set,  $\mathcal{O}(X)$  denotes the algebra of functions on  $X$  which have analytic extensions to a neighborhood of  $X$ . We view  $\mathcal{O}(X)$  as the inductive limit (in the sense of functions) of the system  $\{\mathcal{O}(U); r_{UV}\}$  and equip  $\mathcal{O}(X)$  with the inductive limit topology; i.e., the finest topology rendering the restriction maps  $r_U: \mathcal{O}(U) \rightarrow \mathcal{O}(X)$  continuous.

If  $A$  is a subalgebra of  $\mathcal{O}(X)$  and  $U$  is an open set containing  $X$ , we let  $A(U) = \{f \in \mathcal{O}(X): f|_X \in A\}$ . Similarly, if  $K$  is a compact set containing  $X$ , we let  $A(K) = \{f \in \mathcal{O}(K): f|_X \in A\}$ . For compact sets  $K, L$  with  $K \supset L$ , we let  $r_{KL}: \mathcal{O} \rightarrow \mathcal{O}(L)$  be the restriction. Then it is easy to see that:

$$\begin{aligned} A &= \text{inductive limit } \{A(U); r_{UV}\} \\ &= \text{inductive limit } \{A(K); r_{KL}\} \end{aligned}$$

and that the inductive limit topologies thus induced on  $A$  coincide with the relative topology from  $\mathcal{O}(X)$ .  $A$  is complete in this topology if and only if  $A(U)$  is closed in  $\mathcal{O}(U)$  for each open set  $U$  containing  $X$ . Details of the above may be found in §2 of [11].

We also regard a subalgebra  $A$  of  $\mathcal{O}(X)$  as a normed algebra with the norm:

$$\|f\|_X = \sup \{|f(x)| : x \in X\}.$$

We relate these two topologies in the following proposition.

**PROPOSITION.** *Let  $A$  be a subalgebra of  $\mathcal{O}(X)$  containing the constants. Then the norm topology and the inductive limit topology on  $A$  admit the same continuous complex-valued homomorphisms.*

*Proof.* If this were not so, there would be a homomorphism  $\phi$  of  $A$ , continuous relative to the inductive limit topology, and a function  $f$  in  $A$  such that

$$\phi(f) = 1 > \|f\|_X.$$

We could then find an open set  $U$  containing  $X$  and a function  $F$  in  $A(U)$  such that  $F|_X = f$  and  $|F| < 1$  on  $U$ . Then  $(1 - F)$  would be invertible in the closure of  $A(U)$  in  $\mathcal{O}(U)$ . Moreover,  $\phi \cdot r_U$  would be a continuous homomorphism of  $A(U)$ , and would thus extend to its closure. Since  $\phi \cdot r_U(1 - F) = \phi(1 - f) = 0$ , we would then have the following contradictory chain of equalities:

$$1 = \phi \cdot r_U[(1 - F)(1 - F)^{-1}] = \{\phi \cdot r_U(1 - F)\}\{\phi \cdot r_U[(1 - F)^{-1}]\} = 0.$$

This contradiction establishes the proposition.

If  $B$  is a topological algebra, we denote the spectrum of  $B$  (the space of nonzero continuous complex-valued homomorphisms, with the weak\* topology) by  $M_B$ . We may regard an element  $b$  of  $B$  as a function of  $M_B$  via the Gelfand transform  $\hat{b}(\phi) = \phi(b)$ , for each  $\phi$  in  $M_B$ . If  $B$  is a normed algebra with identity, then  $M_B$  is compact. Then if  $A$  is a subalgebra of  $\mathcal{O}(X)$  containing the constants,  $M_A$  is compact and a standard argument may be used to show that (see [11]):

$$\begin{aligned} M_A &= \text{projective limit } \{M_{A(U)}; r_{UV}^*\} \\ &= \text{projective limit } \{M_{A(K)}; r_{KL}^*\} \end{aligned}$$

where  $r_{UV}^*$  and  $r_{KL}^*$  are the adjoints of the restrictions.

We refer to [6] for standard material concerning function algebras. If  $B$  is a function algebra with spectrum  $M_B$  we denote its Silov boundary by  $S_B$ . We make use of the techniques developed by Bishop and Bjork in [2, 4, 5] and assume some familiarity with these papers. In particular, if  $f$  is an element of  $B$  we say that a component  $W$  of  $C - \hat{f}(S_B)$  is  $f$ -regular of multiplicity  $n$  if for each  $w$  in  $W$  there are at most  $n$  homomorphisms  $\zeta$  in  $M_B$  for which  $\hat{f}(\zeta) = w$ ; and that for some  $w$  there are exactly  $n$  such homomorphisms. In that case, there is a discrete subset  $E$  of  $W$  such that for each  $\zeta$  in  $M_B$  such that  $\hat{f}(\zeta) \in (W - E)$ , there is a neighborhood  $Q$  of  $\zeta$  in  $M_B$  mapped homeomorphically by  $\hat{f}$  onto a disk, and such that  $\hat{g} \circ (\hat{f}|_Q)^{-1}$  is analytic for each  $g$  in  $B$ . The neighborhood  $Q$  is called an analytic disk about  $\zeta$ , relative to the function  $\hat{f}$ .

We conclude this section with a topological lemma.

**LEMMA.** *Let  $M$  be a compact connected real 2-manifold with boundary and let  $p$  be a continuous map of  $M$  into the 2-sphere  $S^2$ . If  $p$  is locally one-to-one and is one-to-one on the boundary of  $M$ , then  $p$  is one-to-one.*

*Proof.* We will reduce to the case of a 2-manifold without boundary. To this end, suppose that  $M$  has  $k$  boundary components  $J_1, \dots, J_k$ . Each  $J_i$  is a 1-sphere, so that  $p(J_i)$  is a 1-sphere in  $S^2$  for each  $i$ . Hence  $S^2 - p(J_i)$  consists of two disjoint connected open sets. A compactness argument, using the fact that  $p$  is locally one-to-one, may be used to show that there is a connected neighborhood of  $J_i$  in  $M$  on which  $p$  is one-to-one. It follows that we may choose a neighborhood  $W_i$  of  $J_i$  such that  $p$  is one-to-one on  $W_i$  and  $p(W_i)$  does not intersect one of the components of  $S^2 - p(J_i)$ . It is easy to see that we may attach a disk to  $M$  along  $J_i$  and extend  $p$  to this disk; since  $p(W_i)$  lies in only one component of  $S^2 - p(J_i)$  this may be effected in such a way that the extension remains locally one-to-one. If we perform this surgery for each boundary component  $J_i$  we arrive at a compact connected real 2-manifold  $N$  without boundary and a continuous map  $q$  of  $N$  into  $S^2$  which is locally one-to-one. If  $q$  is one-to-one then  $p$  must certainly be.

For each  $x$  in  $S^2$ , the fiber  $q^{-1}(x)$  is compact and discrete (since  $q$  is locally one-to-one) and hence finite. Then, using the invariance of domain, we may choose an open set  $U$  about  $x$  such that  $q^{-1}(U)$  consists of open, connected components, each mapped homeomorphically onto  $U$  by  $q$ ; thus  $q$  is a covering map. Since  $S^2$  is its own universal covering space, it follows that  $q$ , and hence  $p$ , must be one-to-one, as desired.

3. **Main results.** If  $A$  is a subalgebra of  $\mathcal{O}(X)$  that contains the constants and the coordinate function  $Z$ , we say that  $A$  is *stable* if it is complete in the inductive limit topology and each of the algebras  $A(U)$  is closed under differentiation.

In order to see how stable algebras may arise, consider the following construction. Let  $X$  be a compact subset of  $C$  and let  $\{X_\alpha\}$  be a partitioning of  $X$  into disjoint closed sets. For each  $\alpha$  let  $Y_\alpha$  be the union of  $X_\alpha$  with some of the bounded components of  $C - X_\alpha$ . Then let

$$A = \{f \in \mathcal{O}(X): f|X_\alpha \in \mathcal{O}(Y_\alpha)|X_\alpha \text{ for each } \alpha\}.$$

It is easy to see that  $A$  is a stable algebra and that the spectrum of  $A$  is the disjoint union of the  $Y_\alpha$ , suitably topologized. The following theorem shows that this is the only way in which stable algebras may arise.

**THEOREM 1.** *Let  $A$  be a stable subalgebra of  $\mathcal{O}(X)$  and let  $Y'_\alpha$  be a component of  $M_A$ . Then  $\hat{Z}|Y'_\alpha$  is a homeomorphism. The set  $Y_\alpha = \hat{Z}(Y'_\alpha)$  is the union of  $X_\alpha = X \cap Y_\alpha$  with some of the bounded components of  $C - X_\alpha$ . Finally, the collection  $\{X_\alpha: Y'_\alpha \text{ is a component of } M_A\}$  is a partitioning of  $X$  into disjoint closed sets and  $A = \{f \in \mathcal{O}(X): f|X_\alpha \in \mathcal{O}(Y_\alpha)|X_\alpha \text{ for each component } Y'_\alpha \text{ of } M_A\}$ .*

*Proof.* Let  $K$  be a compact set whose interior contains  $X$  and whose boundary is the disjoint union of a finite number of smooth, simple closed curves. Let  $A(K)^*$  denote the completion of the algebra  $A(K)$  in the norm  $\|\cdot\|_K$ . We proceed by examining the algebra  $A(K)^*$  and its spectrum and then passing to the projective limit.

We identify  $K$  with a subset of  $M_{A(K)^*}$ . Clearly,  $S_{A(K)^*}$  is contained in the boundary (relative to  $C$ ) of  $K$ . Let  $A$  denote the set of points in  $M_{A(K)^*}$  having a neighborhood which is an analytic disk (relative to the function  $\hat{Z}$ ). We show that  $M_{A(K)^*} - S_{A(K)^*} - A$  is at most countable. First, a standard argument shows that the unbounded component of  $C - \hat{Z}(S_{A(K)^*})$  is  $Z$ -regular of multiplicity 0. If  $T$  is the boundary of this component, then it follows from [5] that there are no points  $\zeta$  of  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\zeta)$  belongs to  $T$ . We conclude from [5] that each component of  $C - \hat{Z}(S_{A(K)^*})$  that adjoins the unbounded component is  $Z$ -regular of multiplicity at most 1. Similarly, if  $T'$  denotes the boundary of one of these components, then there is at most one point  $\zeta$  in  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\zeta) \in T'$ . Then each component of  $C - \hat{Z}(S_{A(K)^*})$  that adjoins one of these components is  $Z$ -regular of multiplicity at most 2. Proceeding inward in this way, we see that each component of  $C - \hat{Z}(S_{A(K)^*})$  is  $Z$ -regular of some multiplicity. Again from [5], it follows that there is a discrete subset

$E$  of  $C - \hat{Z}(S_{A(K)^*})$  such that each  $\xi$  in  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\xi)$  does not lie in  $E \cup \hat{Z}(S_{A(K)^*})$ , is a point of  $A$ . Moreover, if  $x$  is in  $E$ , then there are only finitely many homomorphisms  $\psi$  for which  $\hat{Z}(\psi) = x$ .

Now let us turn to the points  $\xi$  of  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\xi) \in \hat{Z}(S_{A(K)^*})$ . Since the boundary of  $K$  is the finite union of smooth curves, it follows that each boundary point is a triangle point in the sense of Bishop [2]. Hence for each  $\xi$  in  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\xi) \in \hat{Z}(S_{A(K)^*})$ , there is a deleted neighborhood  $W_\xi$  lying in  $A$ . From the compactness of the boundary of  $K$  and the fact that for each point  $y$  of the boundary there are only finitely many homomorphisms  $\zeta$  for which  $\hat{Z}(\zeta) = y$ , it follows that all but finitely many of the points  $\xi$  of  $M_{A(K)^*} - S_{A(K)^*}$  for which  $\hat{Z}(\xi) \in \hat{Z}(S_{A(K)^*})$  actually lie in  $A$ . Then  $M_{A(K)^*} - S_{A(K)^*} - A$  is a countable set, as was asserted.

Now let  $L$  be a connected component of  $M_{A(K)^*}$ . We assert that  $\hat{Z}|L$  is a homeomorphism. If this were not so, we could find homomorphisms  $\phi$  and  $\lambda$  in  $L$  such that  $\hat{Z}(\phi) = \hat{Z}(\lambda)$ . Since  $M_{A(K)^*} = M_{A(K)}$ , we could then find an open set  $U$  containing  $K$  and a function  $f$  in  $A(U)$  such that  $\phi(f|K) \neq \lambda(f|K)$ . Since  $A(U)$  is complete, closed under differentiation and contains the polynomials, it follows from a theorem of Bishop [3] that  $M_{A(U)}$  is a 1-dimensional complex analytic manifold and that  $\hat{Z}$  on  $M_{A(U)}$  is a local analytic isomorphism. Let  $\rho: A(U) \rightarrow A(K)$  be the restriction and  $\rho^*: M_{A(K)} \rightarrow M_{A(U)}$  be its adjoint. Then  $\rho^*(L)$  is a compact connected subset of  $M_{A(U)}$ . By the invariance of domain theorem,  $\rho^*(A)$  lies in the interior of  $\rho^*(L)$ . Hence  $\hat{Z}$  is one-to-one on the boundary of  $\rho^*(L)$ . Since  $\hat{Z}$  is a local homeomorphism on  $M_{A(U)}$ , we may find a compact connected set  $L'$  containing  $\rho^*(L)$  in its interior such that  $\hat{Z}$  is one-to-one on the boundary of  $L'$  and  $L'$  is a 2-manifold with boundary. Regarding  $C$  as a subset of  $S^2$ , we may then apply the lemma to conclude that  $\hat{Z}$  is one-to-one on  $L'$  and hence on  $\rho^*(L)$ . But  $\phi$  and  $\lambda$  restrict to different homomorphisms of  $A(U)$  so that  $\rho^*(\phi) \neq \rho^*(\lambda)$ , while  $\hat{Z}[\rho^*(\phi)] = \hat{Z}[\rho^*(\lambda)]$ , which is a contradiction. It must be therefore, that  $\hat{Z}|L$  is a homeomorphism.

From the Silov idempotent theorem, it follows that each component of  $M_{A(K)^*}$  contains a component of the boundary of  $K$ . It follows that for each component  $L$  of  $M_{A(K)^*}$ , the boundary of  $\hat{Z}(L)$  coincides with  $\hat{Z}(S_{A(K)^*} \cap L)$ , so that  $\hat{Z}(L)$  is formed from  $K \cap \hat{Z}(L)$  by the addition of certain components of  $C - K \cap \hat{Z}(L)$ .

Now let us return to  $M_A$ . For a component  $Y'_\alpha$  of  $M_A$ , and a compact set  $K$  with smooth boundary, containing  $X$  in its interior, let  $r_K: A(K)^* \rightarrow A$  be the restriction and let  $r_K^*: M_A \rightarrow M_{A(K)^*}$  be its adjoint. Let  $K'_\alpha$  be the component of  $M_{A(K)^*}$  that contains  $r_K(Y'_\alpha)$ . It is clear that

$$Y'_\alpha = \text{projective limit } \{K'_\alpha; r_{K_L}^*\}.$$

From the description of  $K'_\alpha$  derived above, it follows that  $\hat{Z}|Y'_\alpha$  is a homeomorphism and that  $\hat{Z}(Y'_\alpha)$  is the union of  $X \cap \hat{Z}(Y'_\alpha) = X_\alpha$  with some of the bounded components of  $C - X_\alpha$ .

If  $f$  belongs to  $A$ , then it is in  $A(K)^*$  for some compact  $K$  with smooth boundary containing  $X$  in its interior. Since  $\hat{Z}$  is a homeomorphism on each component of  $M_{A(K)^*}$ , it follows that  $A$ , the set of points in  $M_{A(K)^*}$  having neighborhoods which are analytic disks, is all of  $M_{A(K)^*} - S_{A(K)^*}$ . Now we may see that  $f|(K \cap \hat{Z}(L'))$  belongs to  $\mathcal{O}(\hat{Z}(L'))|(K \cap \hat{Z}(L'))$  for each component  $L'$  of  $M_{A(K)^*}$ . It follows that  $f|(X \cap \hat{Z}(Y'_\alpha))$  belongs to  $\mathcal{O}(\hat{Z}(Y'_\alpha))|(X \cap \hat{Z}(Y'_\alpha))$  for each component  $Y'_\alpha$  of  $M_A$ .

Finally, suppose that  $U$  is an open set containing  $X$  and that  $f$  is a function in  $\mathcal{O}(U)$  such that  $f|(X \cap \hat{Z}(Y'_\alpha))$  belongs to

$$\mathcal{O}(\hat{Z}(Y'_\alpha))|(X \cap \hat{Z}(Y'_\alpha))$$

for each component  $Y'_\alpha$  of  $M_A$ . For each such  $Y'_\alpha$ , choose a compact set  $K_\alpha$  with smooth boundary containing  $X$  in its interior and such that  $Z(L'_\alpha) \subset (U \cup \hat{Z}(Y'_\alpha))$  where  $L'_\alpha$  is the component of  $M_{A(K)^*}$  that contains  $r_K^*(Y'_\alpha)$ . If  $Y'_\beta$  is sufficiently close to  $Y'_\alpha$ , we may choose  $K_\beta$  to be  $K_\alpha$ . Then the compactness of  $M_A$  enables us to choose a single compact set  $K'$  with smooth boundary, containing  $X$  in its interior, and such that  $\hat{Z}(L'_\alpha) \subset (U \cup \hat{Z}(Y'_\alpha))$  for each  $\alpha$ , where  $L'_\alpha$  is the component of  $M_{A(K')^*}$  that contains  $r_{K'}^*(Y'_\alpha)$ . Without loss, we may assume that every component of  $K'$  contains a point of  $X$ . Then for each component  $L'$  of  $M_{A(K')^*}$  we see that  $f|(K' \cap \hat{Z}(L'))$  belongs to  $\mathcal{O}(\hat{Z}(L'))|(K' \cap \hat{Z}(L'))$ . The Silov idempotent theorem and the Arens-Calderon theorem then imply that  $f|K'$  belongs to  $A(K')^*$ . Since  $A$  is complete and  $K'$  contains  $X$  in its interior, it follows that  $f|X$  belongs to  $A$ , which completes the proof.

The above theorem gives a complete description of stable algebras. In what follows, we use stable algebras to describe the structure of more general subalgebras of  $\mathcal{O}(X)$ . We let  $A$  be a complete subalgebra of  $\mathcal{O}(X)$  containing the polynomials and let  $A_0$  be the smallest stable algebra containing  $A$ ;  $A_0$  is the completion of the algebra generated by the functions in  $A$  together with all their derivatives. We let  $i: A \rightarrow A_0$  be the inclusion and  $i^*: M_{A_0} \rightarrow M_A$  be its adjoint (the restriction map).

**THEOREM 2.** *The map  $i^*: M_{A_0} \rightarrow M_A$  is onto. If  $Y$  and  $Y'$  are components of  $M_{A_0}$  then  $i^*|Y$  and  $i^*|Y'$  are one-to-one and there are at most finitely many pairs  $(\mu, \nu)$  in  $Y \times Y'$  such that  $i^*(\mu) = i^*(\nu)$ . If  $f^*$  is a homeomorphism, then  $A = A_0$ .*

*Proof.* We show first that  $i^*$  is onto. Choose a compact set  $K$  with smooth boundary, whose interior contains  $X$  and is dense in  $K$ , and each component of which meets  $X$ . Let  $A_1$  be the (non-complete) subalgebra of  $\mathcal{O}(X)$  generated by the functions in  $A$  and all their derivatives. Let  $i_K: A(K) \rightarrow A_1(K)$  be the inclusion and  $i_K^*: M_{A_1(K)^*} \rightarrow M_{A(K)^*}$  be its adjoint. If we show that  $i_K^*$  is onto for each  $K$  belonging to a fundamental system of neighborhoods of  $X$ , then by passage to the projective limit, it will follow that  $i^*$  is onto. So suppose that for a particular choice of  $K$ ,  $i_K^*$  is not onto.

Let  $A$  be the set of points of  $M_{A(K)^*}$  which have a neighborhood which is an analytic disk relative to  $\hat{Z}$ . As in the proof of Theorem 1, we see that  $M_{A(K)^*} - S_{A(K)^*} - A = E$  is at most countable. In view of the Silov idempotent theorem, no point of  $M_{A(K)^*}$  is isolated, so that there is an open subset of  $A$  disjoint from  $i_K^*(M_{A_1(K)^*})$ . Let  $W$  be a component of  $A$  containing such an open set. We distinguish two cases.

Regard  $K$  as a subset of  $M_{A(K)^*}$  and consider first the case in which  $W$  contains a point of  $K$ . Then  $W$  is a Riemann surface with the local coordinate  $\hat{Z}$ . If  $f$  is a function in  $A(K)$ , then  $\hat{f}$  is analytic on  $W$ . Denote the derivative of  $\hat{f}$  with respect to the coordinate  $\hat{Z}$  by  $D\hat{f}$  and the derivative of  $f$  with respect to  $Z$  by  $f'$ . If  $f$  and  $f'$  both belong to  $A(K)$ , then the connectedness of  $W$ , together with the fact that  $W$  contains a point of  $K$  and hence an open subset of  $K$ , implies that  $D\hat{f} = \hat{f}'$  on  $W$ .

Let  $h$  belong to  $A(K)$  and let  $g = h'$ . Define a function  $\tilde{g}$  on  $W$  by  $\tilde{g}(\zeta) = D\hat{h}(\zeta)$ . The analysis of the previous paragraph implies that  $\tilde{g} = \hat{g}$  if  $g = h'$  belongs to  $A(K)$ . Thus the functions in  $A(K)$  together with their first derivatives, extend to be analytic on  $W$ . By iteration of this process, we may extend each of the functions  $g$  in  $A_1(K)$  to an analytic function  $\tilde{g}$  on  $W$ ; since  $W$  is connected, this extension is unique.

Thus if  $\delta$  is a homomorphism in  $W$ ,  $\delta$  extends to a homomorphism of  $A_1(K)$  by defining  $\bar{\delta}(g) = \tilde{g}(\delta)$ . If we show that  $\bar{\delta}$  is a continuous homomorphism of  $A_1(K)$ , and thus extends to  $A_1(K)^*$ , then we will have that  $i_K^*(\bar{\delta}) = \delta$  and this contradiction will complete the analysis of this case.

To this end, let us consider the boundary of  $W$  in  $M_{A(K)^*}$ . Since  $W$  is a connected component of  $A$ , no point of  $A$  is a boundary point of  $W$ . Thus the boundary points of  $W$  belong either to  $K$  or to  $E$ . If  $p$  is a boundary point of  $W$  that belongs to  $K$ , the fact that the interior of  $K$  is dense in  $K$  and that the boundary of  $K$  is smooth implies that there is a half-disk about  $p$  belonging to  $K$ . By enlarging  $K$  slightly we may effect a modification of  $K$  so that some half-disk around  $p$  belongs to  $K \cap W$ . An argument using the compactness of the part of the boundary of  $W$  that lies in  $K$  shows that all the

boundary points of  $W$  that belong to  $K$  may be assumed to have half-disks in  $K \cap W$  about them (modifying  $K$  as necessary).

Now consider the boundary points of  $W$  that belong to  $E$ . If  $q$  is one of these points, then the results of [2] imply that there is a neighborhood  $Q$  of  $q$  with the property that  $Q - q$  lies in  $A$  and consists of finitely many components, each of which is mapped by  $\hat{Z}$  homeomorphically onto a disk minus its center. Thus we may cover  $W \cup \{q\}$  with a Riemann surface  $W_q$  in such a way that the functions in  $A(K)$  extend to be analytic on  $W_q$ . We may certainly do this for each of the boundary points of  $W$  lying in  $E$ . Thus, passing to a covering Riemann surface when necessary, and modifying  $W$  as necessary (by enlargement of  $K$ ), we arrive at a Riemann surface  $W'$  which has a subset of the interior of  $K$  as a neighborhood of its boundary, and to which the functions in  $A(K)$  extend naturally. As before, we see that the functions in  $A_1(K)$  extend to  $W'$ . Hence no function in  $A_1(K)$  assumes a larger value on  $W$  than on  $K$ . It follows that  $\delta$  is indeed a continuous homomorphism of  $A_1(K)$ .

We have shown that each compact set  $K$  whose interior contains  $X$  and is dense in  $K$ , and all of whose components meet  $X$ , can be modified slightly to produce another such compact set  $K'$  with the property that  $i_K^*: M_{A_1(K)^*} \rightarrow M_{A(K)^*}$  is onto. Since the collection of such sets  $K'$  forms a fundamental system of neighborhoods of  $X$ , it follows from a passage to the projective limit that  $i^*: M_{A_0} \rightarrow M_A$  is onto.

Now let  $Y$  and  $Y'$  be distinct components of  $M_{A_0}$ . Considered as a map on  $M_{A_0}$ ,  $\hat{Z}|Y$  is one-to-one and  $\hat{Z} = \hat{Z} \circ i^*$  so that  $i^*$  is certainly one-to-one. If there are infinitely many pairs  $(\mu, \nu)$  in  $Y \times Y'$  such that  $i^*(\mu) = i^*(\nu)$  then some point  $(\lambda, \xi)$  is a limit point of such pairs. We may choose a compact set  $K$  with smooth boundary, whose interior contains  $X$  and is dense in  $K$ , and such that  $i_K^*(Y)$  and  $i_K^*(Y')$  belong to different components of  $M_{A(K)^*}$ ; say  $T$  and  $T'$  respectively. If  $f$  is in  $A(K)$ , then  $\hat{f}$  is analytic on  $T - (T \cap S_{A(K)^*})$  and  $T' - (T' \cap S_{A(K)^*})$ , and the derivative of  $\hat{f}$  may be obtained, as in the first part of the proof, by differentiating with respect to the local coordinate  $\hat{Z}$ . Then the functions  $\hat{f} \circ (\hat{Z}|T)^{-1}$  and  $\hat{f} \circ (\hat{Z}|T')^{-1}$  are analytic in a neighborhood of  $\hat{Z}(\xi) = \hat{Z}(\lambda)$  and agree to infinite order there. Now it follows that  $\hat{g}(i_K^*(\xi)) = \hat{g}(i_K^*(\lambda))$  for each  $g$  in  $A_1(K)$ , since  $A_1(K)$  is generated by functions in  $A(K)$  and their derivatives. It follows that  $i_K^*(\lambda) = i_K^*(\xi)$  which is a contradiction. It follows that only finitely many pairs in  $Y \times Y'$  are not separated by  $i^*$ , as desired.

Finally, suppose that  $i^*$  is a homeomorphism, and let  $f$  be in  $A_0(U)$  for some open set  $U$  containing  $X$ . As in the proof of Theorem 1, we may choose a compact set containing  $X$  in its interior such that  $f|(K \cap \hat{Z}(L))$  belongs to  $\mathcal{O}(\hat{Z}(L))|(K \cap \hat{Z}(L))$  for each component  $L$  of  $M_{A(K)^*}$ . As before, we may then conclude that  $f$  belongs to  $A(K)^*$

and hence that  $f|X$  belongs to  $A$ . Since  $U$  is arbitrary, this completes the proof.

**COROLLARY 1.** *Let  $X$  be compact and connected. If  $A$  is a complete subalgebra of  $\mathcal{O}(X)$  containing the polynomials, then there is a compact connected set  $X'$  containing  $X$  and such that  $X' - X$  is open and  $A = \mathcal{O}(X')$ .*

*Proof.* Let  $A_0$  be the stable algebra generated by  $A$ . The Silov idempotent theorem implies that  $M_{A_0}$  is connected and the corollary now follows quickly from Theorems 1 and 2.

The above results have easy applications to questions of approximation on open sets as well. We mention one result that seems particularly striking.

**COROLLARY 2.** *Let  $U$  be a connected open set and let  $g$  be an analytic function on  $U$  that admits no analytic extension to the union of  $U$  with any of the bounded components of  $C - U$ . Then every analytic function on  $U$  is the limit, uniformly on compact subsets of  $U$ , of polynomials in  $g$  and  $Z$ .*

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