

ON COMPLEX UNIVERSAL SERIES

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ABSTRACT. It is shown, in particular, that for a fixed complex number ζ , $|\zeta| = 1$, $\zeta^2 \neq 1$ the series

$$\sum_{n=1}^{\infty} \frac{1}{n} \zeta^n$$

is universal in the following sense: for each complex number z there exists a rearrangement of the series which converges to z .

რეზიუმე. ნაშრომში, კერძოდ, ნაჩვენებია, რომ ფიქსირებული კომპლექსური რიცხვისთვის ζ , $|\zeta| = 1$, $\zeta^2 \neq 1$, მწკრივი

$$\sum_{n=1}^{\infty} \frac{1}{n} \zeta^n$$

უნივერსალურია შემდეგი აზრით: ყოველი კომპლექსური z რიცხვისთვის არსებობს მწკრივის z -კენ კრებადი გადაწყობა.

1. INTRODUCTION

The famous memoir by Dirichlet (1805 - 1859) entitled "Sur la convergence des séries trigonométriques qui servent à représenter une fonction arbitraire entre des limites données" (1829) contains in particular the following statement:

Theorem 1.1 (Dirichlet's theorem). *Let*

$$\sum_{n=1}^{\infty} z_n \tag{1.1}$$

be an absolutely convergent series of real or complex numbers and $s := \sum_{n=1}^{\infty} z_n$. Then every rearrangement of (1.1) converges to s .

The Habilitationsschrift of Riemann (1826–1866) "Ueber die Darstellbarkeit durch eine trigonometrische Reihe" (written in 1853 and published in 1867), among other important results contains also the following statement:

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Theorem 1.2 (Riemann's theorem). *Let*

$$\sum_{n=1}^{\infty} x_n \quad (1.2)$$

be a series of real numbers, which converges but the series $\sum_{n=1}^{\infty} |x_n|$ is not convergent. Then for each real number x there exists a rearrangement of (1.2) which converges to x .

Paul Pierre Lévy (1886–1971) in 1905 published a note [3] in which the question of validity of an analogue of Theorem 1.2 for complex series was considered. To formulate his observations it is convenient to introduce the following terminology.

To a sequence (y_n) extracted from a topological vector space Y let us associate a subset $SR\left(\sum_{k=1}^{\infty} y_k\right)$ of Y as follows: an element $y \in Y$ belongs to $SR\left(\sum_{k=1}^{\infty} y_k\right)$ if there exists a permutation $\pi : \mathbb{N} \rightarrow \mathbb{N}$ such that the sequence $\left(\sum_{k=1}^n y_{\pi(k)}\right)_{n \in \mathbb{N}}$ converges to y . The set $SR\left(\sum_{k=1}^{\infty} y_k\right)$ is called *the sum range* of (y_n) (cf. [4, Definition 2.1.1]).

By using this notation P. Lévy's result can be formulated as follows:

Theorem 1.3. *Let $\sum_{n=1}^{\infty} z_n$ be a series of complex numbers, which converges but the series $\sum_{n=1}^{\infty} |z_n|$ is not convergent. Then either*

$$SR\left(\sum_{k=1}^{\infty} z_k\right) = c_1 + c_2\mathbb{R}$$

for some $c_1 \in \mathbb{C}$ and $c_2 \in \mathbb{C} \setminus \{0\}$, or

$$SR\left(\sum_{k=1}^{\infty} z_k\right) = \mathbb{C}.$$

This theorem is not a complete analogue of Theorem 1.2, it leaves open a question: for which complex series $\sum_{n=1}^{\infty} z_n$ one has the equality

$$SR\left(\sum_{k=1}^{\infty} z_k\right) = \mathbb{C}?$$

A series $\sum_{k=1}^{\infty} y_k$ in a topological vector space Y is called *universal* if

$$SR\left(\sum_{k=1}^{\infty} y_k\right) = Y.$$

Using this terminology, the Riemann's theorem can be formulated as follows: every convergent but not absolutely convergent series of real numbers is universal. A similar statement is not true for series of complex numbers. The following theorem gives a characterization of universal complex series.

Theorem 1.4. *For a convergent but not absolutely convergent series of complex numbers $\sum_{n=1}^{\infty} z_n$ the following statements are equivalent:*

- (i) *The series $\sum_{n=1}^{\infty} z_n$ is universal.*
- (ii) *$\sum_{n=1}^{\infty} |Re(wz_n)| = \infty$ for every $w \in \mathbb{C} \setminus \{0\}$.*

From this theorem we derive the following statement, which covers the assertion from the abstract and which gives many examples of complex universal series.

Theorem 1.5. *Let $\zeta \notin \{-1, 1\}$ be a complex number with $|\zeta| = 1$ and $(a_n)_{n \in \mathbb{N}}$ a sequence of non-negative real numbers such that*

$$a_n \rightarrow 0, \quad \sum_{n=1}^{\infty} |a_n - a_{n+1}| < \infty \quad \text{and} \quad \sum_{n=1}^{\infty} a_n = \infty.$$

Then the power series

$$\sum_{n=1}^{\infty} a_n \zeta^n \tag{1.3}$$

is universal.

Theorem 1.4 together with some other statements, which may have an independent interest (cf. Proposition 2.1) is proved in Section 2. Section 3 contains the proof of Theorem 1.5.

2. STEINITZ'S RANGE AND PROOF OF THEOREM 1.4.

We fix a topological vector space Y over \mathbb{R} with the topological dual space Y^* .

For a non-empty $\Gamma \subset Y^*$ we write:

$${}^{\perp}\Gamma = \{y \in Y : y^*(y) = 0, \quad \forall y^* \in \Gamma\}.$$

Moreover, for a sequence $\mathbf{y} = (y_n)$ in Y we write:

$$\Gamma_{\mathbf{y}} = \left\{ y^* \in Y^* : \sum_{k=1}^{\infty} |y^*(y_k)| < \infty \right\}.$$

To a sequence (y_n) in Y let us associate two subsets

$$WSR\left(\sum_{k=1}^{\infty} y_k\right) \quad \text{and} \quad StR\left(\sum_{k=1}^{\infty} y_k\right)$$

of Y as follows:

- an element $y \in Y$ belongs to $WSR\left(\sum_{k=1}^{\infty} y_k\right)$ if there exists a permutation $\pi : \mathbb{N} \rightarrow \mathbb{N}$ such that the sequence $\left(\sum_{k=1}^n y_{\pi(k)}\right)_{n \in \mathbb{N}}$ converges weakly to y . The set $WSR\left(\sum_{k=1}^{\infty} y_k\right)$ is called *the weak sum range* of (y_n) .
- an element $y \in Y$ belongs to $StR\left(\sum_{k=1}^{\infty} y_k\right)$ if

$$y^*(y) \in SR\left(\sum_{k=1}^{\infty} y^*(y_k)\right), \quad \forall y^* \in Y^*.$$

Let us call the set $StR\left(\sum_{k=1}^{\infty} y_k\right)$ *the Steinitz range* of (y_n) .

Proposition 2.1. *For a sequence $\mathbf{y} = (y_n)$ in a topological vector space Y over \mathbb{R} we have:*

- $SR\left(\sum_{k=1}^{\infty} y_k\right) \subset WSR\left(\sum_{k=1}^{\infty} y_k\right) \subset StR\left(\sum_{k=1}^{\infty} y_k\right)$.
- If $StR\left(\sum_{k=1}^{\infty} y_k\right) \neq \emptyset$ and $s \in StR\left(\sum_{k=1}^{\infty} y_k\right)$, then

$$StR\left(\sum_{k=1}^{\infty} y_k\right) = s + {}^{\perp}\Gamma_{\mathbf{y}}.$$

- If $StR\left(\sum_{k=1}^{\infty} y_k\right) \neq \emptyset$, then $StR\left(\sum_{k=1}^{\infty} y_k\right)$ is a weakly closed affine subset of Y .

Proof. (a) is evident.

(b) Let us see first that

$$StR\left(\sum_{k=1}^{\infty} y_k\right) \subset {}^{\perp}\Gamma_{\mathbf{y}} + s.$$

Fix $y \in StR\left(\sum_{k=1}^{\infty} y_k\right)$ and $y^* \in \Gamma_{\mathbf{y}}$. Then for some permutation $\pi : \mathbb{N} \rightarrow \mathbb{N}$ we have:

$$y^*(y) = \sum_{k=1}^{\infty} y^*(y_{\pi(k)}).$$

As $s \in StR\left(\sum_{k=1}^{\infty} y_k\right)$ as well, for some permutation $\sigma : \mathbb{N} \rightarrow \mathbb{N}$ we have also:

$$y^*(s) = \sum_{k=1}^{\infty} y^*(y_{\sigma(k)}).$$

Since $\sum_{k=1}^{\infty} |y^*(y_k)| < \infty$, by Theorem 1.1 we have:

$$\sum_{k=1}^{\infty} y^*(y_{\pi(k)}) = \sum_{k=1}^{\infty} y^*(y_{\sigma(k)}).$$

Hence, $y^*(y) = y^*(s)$. Therefore $y^*(y - s) = 0$. As $y^* \in \Gamma_{\mathbf{y}}$ is arbitrary, we conclude that $y - s \in {}^{\perp}\Gamma_{\mathbf{y}}$ and so, $y \in {}^{\perp}F + s$.

Let us see now that

$$StR\left(\sum_{k=1}^{\infty} y_k\right) \supset {}^{\perp}\Gamma_{\mathbf{y}} + s.$$

Fix $y \in {}^{\perp}\Gamma_{\mathbf{y}} + s$ and $y^* \in Y^*$. We need to verify that

$$y^*(y) \in SR\left(\sum_{k=1}^{\infty} y^*(y_k)\right).$$

Let first $y^* \in \Gamma_{\mathbf{y}}$; then (as $y \in {}^{\perp}\Gamma_{\mathbf{y}} + s$) we have $y^*(y) = y^*(s)$. As $s \in StR\left(\sum_{k=1}^{\infty} y_k\right)$, for some permutation $\sigma : \mathbb{N} \rightarrow \mathbb{N}$ we have:

$$y^*(s) = \sum_{k=1}^{\infty} y^*(y_{\sigma(k)}).$$

From this (as $y^*(y) = y^*(s)$), we get

$$y^*(y) = \sum_{k=1}^{\infty} y^*(y_{\sigma(k)})$$

and so

$$y^*(y) \in SR\left(\sum_{k=1}^{\infty} y^*(y_k)\right).$$

Let now $y^* \in Y^* \setminus \Gamma_{\mathbf{y}}$; then as $StR\left(\sum_{k=1}^{\infty} y_k\right) \neq \emptyset$, we have $SR\left(\sum_{k=1}^{\infty} y^*(y_k)\right) \neq \emptyset$

and $\sum_{k=1}^{\infty} |y^*(y_k)| = \infty$. So, by *Riemann's theorem* (only in this place we use the assumption that Y is a vector space over \mathbb{R}) there is a permutation $\pi : \mathbb{N} \rightarrow \mathbb{N}$ such that

$$y^*(y) = \sum_{k=1}^{\infty} y^*(y_{\pi(k)}).$$

Therefore

$$y^*(y) \in SR\left(\sum_{k=1}^{\infty} y^*(y_k)\right)$$

in this case too.

(c) follows from (b). \square

Remark 2.2. For a convergent series $\sum_{k=1}^{\infty} y_k$ in $Y = l_2$ the inclusions in Proposition 2.1(a) may be strict. Namely

(1) The set $SR\left(\sum_{k=1}^{\infty} y_k\right)$ may not be convex (Marcinkiewicz-Nikishin-Kornilov), but $WSR\left(\sum_{k=1}^{\infty} y_k\right) = Y$ [4, Example 3.1.2 and Exercise 3.1.6],

(2) The set $WSR\left(\sum_{k=1}^{\infty} y_k\right)$ may not be convex [4, Theorem 8.1.1], while $StR\left(\sum_{k=1}^{\infty} y_k\right)$ always is convex by Proposition 2.1(c).

Corollary 2.3. *For a sequence (y_n) in a topological vector space Y over \mathbb{R} the implication*

$$SR\left(\sum_{k=1}^{\infty} y_k\right) = Y \implies \sum_{k=1}^{\infty} |y^*(y_k)| = \infty \quad \forall y^* \in Y^* \setminus \{0\} \quad (2.1)$$

is true.

Proof. Let $SR\left(\sum_{k=1}^{\infty} y_k\right) = Y$. Then by Proposition 2.1 (a) we have $StR\left(\sum_{k=1}^{\infty} y_k\right) = Y$. The last equality by Proposition 2.1 (b) implies ${}^{\perp}\Gamma_{\mathbf{y}} = Y$. Take an arbitrary $y^* \in \Gamma_{\mathbf{y}}$; we have $y^*(y) = 0$ for every $y \in Y$, i.e., $y^* = 0$. Consequently, $\Gamma_{\mathbf{y}} = \{0\}$. \square

Corollary 2.4. *For a sequence (y_n) in a topological vector space Y over \mathbb{C} the implication*

$$SR\left(\sum_{k=1}^{\infty} y_k\right) = Y \implies \sum_{k=1}^{\infty} |\operatorname{Re}(y^*(y_k))| = \infty \quad \forall y^* \in Y^* \setminus \{0\} \quad (2.2)$$

is true.

Proof. Denote by $Y_{\mathbb{R}}$ the space Y considered as a topological vector space over \mathbb{R} . Clearly if $y^* \in Y^*$, then $\operatorname{Re}y^* \in (Y_{\mathbb{R}})^*$. Note that if $y^* \in Y^* \setminus \{0\}$, then $\operatorname{Re}y^* \in (Y_{\mathbb{R}})^* \setminus \{0\}$. (In fact, suppose that for some $y^* \in Y^*$ we have $\operatorname{Re}y^* = 0$, i.e., $\operatorname{Re}y^*(y) = 0 \forall y \in Y$; then $\operatorname{Im}y^*(y) = -\operatorname{Re}y^*(iy) = 0 \forall y \in Y$. Hence, $\operatorname{Im}y^* = 0$. Now from $\operatorname{Re}y^* = 0$ and $\operatorname{Im}y^* = 0$ we get $y^* = 0$.)

Let $SR\left(\sum_{k=1}^{\infty} y_k\right) = Y$. Fix $y^* \in Y^* \setminus \{0\}$. Then $\text{Re}y^* \in (Y_{\mathbb{R}})^* \setminus \{0\}$.

Hence, by Corollary 2.3, $\sum_{k=1}^{\infty} |\text{Re}(y^*(y_k))| = \infty$. \square

We will use the following remarkable result.

Theorem 2.5 (Steinitz's theorem, see [4, Theorem 2.1.1]). *Let $\mathbf{y} = (y_n)$ be a sequence in a finite-dimensional Hausdorff topological vector space Y over \mathbb{R} for which the series $\sum_{n=1}^{\infty} y_n$ converges and $s := \sum_{n=1}^{\infty} y_n$. Then*

$$SR\left(\sum_{k=1}^{\infty} y_k\right) = s + {}^{\perp}\Gamma_{\mathbf{y}}.$$

Remark 2.6. Theorem 2.5 appeared in E. Steinitz' cycle of articles [6], where the bases of the finite-dimensional linear algebra is developed as well. Later in [1] W. Banaszczyk succeeded to show that the theorem remains true for all nuclear Frechet spaces over \mathbb{R} (the result of [1] is exposed also in [4, pp. 110–117]).

Using Theorem 2.5 we obtain the following criterion of universality of series in finite-dimensional case.

Proposition 2.7. *For a sequence $\mathbf{y} = (y_n)$ in a finite-dimensional Hausdorff topological vector space Y over \mathbb{R} for which the series $\sum_{n=1}^{\infty} y_n$ converges the following are equivalent:*

- (i) $SR\left(\sum_{k=1}^{\infty} y_k\right) = Y$.
- (ii) $\Gamma_{\mathbf{y}} = \{0\}$.
- (iii) $\sum_{k=1}^{\infty} |y^*(y_k)| = \infty \quad \forall y^* \in Y^* \setminus \{0\}$.

Proof. The equivalence (ii) \iff (iii) is evident.

The implication (i) \implies (iii) is proved in Corollary 2.3.

(ii) \implies (i). Let $s := \sum_{n=1}^{\infty} y_n$. As ${}^{\perp}\{0\} = Y$, By Theorem 2.5

$$SR\left(\sum_{k=1}^{\infty} y_k\right) = s + {}^{\perp}\Gamma_{\mathbf{y}} = s + {}^{\perp}\{0\} = s + Y = Y$$

and (i) is proved. \square

Remark 2.8. In [5] it was posed a question of validity of implication (iii) \implies (i) of Proposition 2.7 when Y is an infinite-dimensional real separable Banach space. In [2] it was provided a negative answer to this question when $Y = l_2$.

It seems to be unknown whether for a convergent series $\sum_{k=1}^{\infty} y_k$ in $Y = l_2$ the condition (iii) of Proposition 2.7 implies the equality $WSR\left(\sum_{k=1}^{\infty} y_k\right) = Y$.

Proof of Theorem 1.4. For a fixed $w \in \mathbb{C}$ define $l_w : \mathbb{C} \rightarrow \mathbb{C}$ by the equality:

$$l_w(z) = zw \quad \forall z \in \mathbb{C}.$$

Then

$$\mathbb{C}^* = \{l_w : w \in \mathbb{C}\}. \quad (2.3)$$

The implication (i) \implies (ii) of Theorem 1.4 follows from Corollary 2.4 applied for $Y = \mathbb{C}$ and the equality (2.3).

Denote by $\mathbb{C}_{\mathbb{R}}$ the space \mathbb{C} considered as a topological vector space over \mathbb{R} . It is easy to see that

$$(\mathbb{C}_{\mathbb{R}})^* = \{Rel_w : w \in \mathbb{C}\}. \quad (2.4)$$

The implication (ii) \implies (i) of Theorem 1.4 follows from the implication (iii) \implies (i) of Proposition 2.7 applied for $Y = \mathbb{C}_{\mathbb{R}}$ and the equality (2.4). \square

3. DIRICHLET'S TEST FOR SERIES AND PROOF OF THEOREM 1.5

We need the following known statement. For the sake of completeness we include its proof.

Proposition 3.1 (Dirichlet). *Let (a_n) and (b_n) be the sequences of complex numbers such that $\lim_n a_n = 0$, $\sum_{n=1}^{\infty} |a_n - a_{n+1}| < \infty$ and $\beta = \sup_{n \in \mathbb{N}} \left| \sum_{k=1}^n b_k \right| < \infty$. Then the series $\sum_{n=1}^{\infty} a_n b_n$ converges.*

Proof. Write $B_0 = 0$, $B_n = \sum_{k=1}^n b_k$, $n = 1, 2, \dots$. Fix natural numbers $n > 2$ and $m \leq n - 2$. We have:

$$\begin{aligned} \sum_{k=m+1}^n a_k b_k &= \sum_{k=m+1}^n a_k (B_k - B_{k-1}) = \sum_{k=m+1}^n a_k B_k - \sum_{k=m+1}^n a_k B_{k-1} = \\ &= \sum_{k=m+1}^n a_k B_k - \sum_{k=m}^{n-1} a_{k+1} B_k = \sum_{k=m+1}^{n-1} (a_k - a_{k+1}) B_k + a_n B_n - a_{m+1} B_m. \end{aligned}$$

Consequently we have the *Abel's formula*:

$$\sum_{k=m+1}^n a_k b_k = \sum_{k=m+1}^{n-1} (a_k - a_{k+1}) B_k + a_n B_n - a_{m+1} B_m. \quad (3.1)$$

From (3.1) we get:

$$\left| \sum_{k=m+1}^n a_k b_k \right| \leq \beta \left(\sum_{k=m+1}^{n-1} |a_k - a_{k+1}| + |a_n| + |a_{m+1}| \right). \quad (3.2)$$

From (3.2) as $\sum_{n=1}^{\infty} |a_n - a_{n+1}| < \infty$ and $\lim_n a_n = 0$, we obtain that $\lim_{m,n} \left| \sum_{k=m+1}^n a_k b_k \right| = 0$. Hence the series $\sum_{n=1}^{\infty} a_n b_n$ converges. \square

We need also the following lemma.

Lemma 3.2. *Let ζ be a complex number with $|\zeta| = 1$. Then*

- (a) $2|\operatorname{Re}(\zeta)| \geq 1 + \operatorname{Re}(\zeta^2)$.
- (b) *For a complex number w with $|w| = 1$ we have:*

$$2|\operatorname{Re}(\zeta^n w)| \geq 1 + \operatorname{Re}(\zeta^{2n} w^2), \quad n = 1, 2, \dots$$

Proof. (a) We have: $2\operatorname{Re}(\zeta) = \zeta + \bar{\zeta}$. This implies:

$$4(\operatorname{Re}(\zeta))^2 = (\zeta + \bar{\zeta})^2 = \zeta^2 + 2\zeta\bar{\zeta} + (\bar{\zeta})^2 = 2 + \zeta^2 + (\bar{\zeta})^2 = 2 + 2\operatorname{Re}(\zeta^2).$$

Hence,

$$2(\operatorname{Re}(\zeta))^2 = 1 + \operatorname{Re}(\zeta^2).$$

From this equality, as $|\operatorname{Re}(\zeta)| \leq 1$, we get

$$2|\operatorname{Re}(\zeta)| \geq 2(\operatorname{Re}(\zeta))^2 = 1 + \operatorname{Re}(\zeta^2).$$

(b) An application of (a) for ζw instead of ζ gives:

$$2|\operatorname{Re}(\zeta w)| \geq 1 + \operatorname{Re}(\zeta^2 w^2). \quad (3.3)$$

Fix a natural number n ; an application of (3.3) for ζ^n instead of ζ proves (b). \square

Lemma 3.3. *Let $\zeta \neq 1$ be a complex number with $|\zeta| = 1$ and (a_n) be a sequence of real numbers such that*

$$a_n \rightarrow 0, \quad \sum_{n=1}^{\infty} |a_n - a_{n+1}| < \infty.$$

Then

- (a) *The series $\sum_{n=1}^{\infty} a_n \zeta^n$ is convergent.*
- (b) *If $\zeta^2 \neq 1$ as well, then the series $\sum_{n=1}^{\infty} a_n \zeta^{2n}$ is convergent too.*

Proof. (a) For a fixed natural number n we have:

$$\sum_{k=1}^n \zeta^k = \frac{\zeta - \zeta^{n+1}}{1 - \zeta}.$$

Hence,

$$\beta := \sup_{n \in \mathbb{N}} \left| \sum_{k=1}^n \zeta^k \right| \leq \frac{2}{|1-\zeta|} < \infty.$$

So, an application of Proposition 3.1 for $b_n := \zeta^n$, $n = 1, 2, \dots$ proves (a).

(b) follows from (a) applied to $\zeta^2 \neq 1$ instead of ζ . \square

Proof of Theorem 1.5. The series (1.3) converges by Lemma 3.3(a). To show that this series is universal, by Theorem 1.4 it is sufficient to verify that for each $w \in \mathbb{C} \setminus \{0\}$

$$\sum_{n=1}^{\infty} |\operatorname{Re}(wa_n\zeta^n)| = \infty.$$

So, fix $w \in \mathbb{C} \setminus \{0\}$. We can suppose without loss of generality that $|w| = 1$. Assume on the contrary, that

$$\sum_{n=1}^{\infty} |\operatorname{Re}(wa_n\zeta^n)| < \infty. \quad (3.4)$$

Since a_n , $n = 1, 2, \dots$ are non-negative real numbers, from (3.4) we get:

$$\sum_{n=1}^{\infty} a_n |\operatorname{Re}(w\zeta^n)| < \infty. \quad (3.5)$$

From (3.5) by Lemma 3.2(b) we obtain

$$\sum_{n=1}^{\infty} a_n (1 + \operatorname{Re}(\zeta^{2n}w^2)) < \infty. \quad (3.6)$$

As $\zeta^2 \neq 1$, from Lemma 3.3(b) we have that the series

$$\sum_{n=1}^{\infty} a_n \operatorname{Re}(\zeta^{2n}w^2) \quad (3.7)$$

converges. Clearly, (3.6) and the convergence of (3.7) imply $\sum_{n=1}^{\infty} a_n < \infty$.

This leads to the contradiction.

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