

Necessary conditions for metrics in integral Bernstein-type inequalities[☆]

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Abstract

Let \mathcal{T}_n be the set of all trigonometric polynomials of degree at most n . Denote by Φ^+ the class of all functions $\varphi: (0, \infty) \rightarrow \mathbb{R}$ of the form $\varphi(u) = \psi(\ln u)$, where ψ is nondecreasing and convex on $(-\infty, \infty)$. In 1979, Arestov extended the classical Bernstein inequality $\|T'_n\|_C \leq n\|T_n\|_C$, $T_n \in \mathcal{T}_n$, to metrics defined by $\varphi \in \Phi^+$:

$$\int_0^{2\pi} \varphi(|T'_n(t)|) dt \leq \int_0^{2\pi} \varphi(n|T_n(t)|) dt, \quad T_n \in \mathcal{T}_n.$$

We study the question whether it is possible to extend the class Φ^+ , and prove that under certain assumptions Φ^+ is the largest possible class.

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1. Introduction

Let \mathcal{T}_n be the set of all trigonometric polynomials of degree at most n with complex coefficients. The inequality

$$\|T'_n\|_C \leq n\|T_n\|_C, \quad T_n \in \mathcal{T}_n, \tag{1}$$

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is well known in approximation theory and is called the Bernstein inequality. Inequality (1) turns into equality iff $T_n(t) = a \cos nt + b \sin nt$, where $a, b \in \mathbb{C}$. The inequality was stated by Bernstein and Landau for polynomials with real coefficients (for details, see [5, Section 10, pp. 25–26; Section 3.4, p. 527], [8, Ch. 6, Theorems 1.2.4, 1.2.5]) in 1912–1914 and by Riesz for polynomials with complex coefficients ([10], [11, Vol. 2, Ch. 10]) in 1914.

We say that a function φ is increasing on an interval I if $\varphi(u_1) \leq \varphi(u_2)$ for all $u_1 \leq u_2$, $u_1, u_2 \in I$; φ is convex on I if $\varphi(\alpha u_1 + (1 - \alpha)u_2) \leq \alpha\varphi(u_1) + (1 - \alpha)\varphi(u_2)$ for all $u_1, u_2 \in I$ and $\alpha \in [0, 1]$; φ is concave on I if $-\varphi$ is convex on I .

In 1933, Zygmund [11, Vol. 2, Ch. 10, (3.25)] proved the following statement. If φ is an increasing and convex function on $[0, \infty)$, then

$$\int_0^{2\pi} \varphi(|T_n'(t)|) dt \leq \int_0^{2\pi} \varphi(n|T_n(t)|) dt, \quad T_n \in \mathcal{T}_n. \tag{2}$$

For $\varphi(u) = u^p$, $p \geq 1$, inequality (2) implies the Bernstein inequality in the space L_p :

$$\|T_n'\|_p \leq n\|T_n\|_p, \quad T_n \in \mathcal{T}_n,$$

where $\|f\|_p = \left(\frac{1}{2\pi} \int_0^{2\pi} |f(t)|^p dt\right)^{1/p}$.

In 1979, Arestov [1–3] found weaker conditions on functions φ which provide the validity of inequality (2). Before we give Arestov’s result, we introduce some notation [2,4].

We denote by Φ^+ the class of functions φ defined on $(0, \infty)$ with the following properties:

- (i) φ is locally absolutely continuous;
- (ii) φ increases on $(0, \infty)$;
- (iii) $u\varphi'(u)$ increases on $(0, \infty)$.

Put $\psi(v) = \varphi(e^v)$; that is, $\varphi(u) = \psi(\ln u)$. Clearly, φ belongs to Φ^+ iff the function ψ is increasing and convex on $(-\infty, \infty)$. For example, all increasing convex functions, the functions $\ln u$, $\ln^+ u = \max\{0, \ln u\}$, $\ln(1 + u^p)$, and u^p , $p > 0$, belong to Φ^+ .

We denote by \mathcal{P}_n the set of all algebraic polynomials of degree at most n with complex coefficients. Let polynomials A_n and P_n from \mathcal{P}_n be given by $A_n(z) = \sum_{k=0}^n \binom{n}{k} \lambda_k z^k$ and $P_n(z) = \sum_{k=0}^n \binom{n}{k} c_k z^k$. The polynomial

$$A_n P_n(z) = \sum_{k=0}^n \binom{n}{k} \lambda_k c_k z^k \tag{3}$$

is called the composition of A_n and P_n (for details, see [9, Vol. 2, Section 5]). Suppose that A_n is fixed, then Eq. (3) defines a linear operator on \mathcal{P}_n , which we denote by the same symbol A_n . For example, if $A_n(z) = (1 + e^{i\theta} z)^n$, $\theta \in \mathbb{R}$, then $(A_n P_n)(z) = P_n(e^{i\theta} z)$ is the operator of rotation by angle θ ; in particular, $A_n(z) = (1 + z)^n$ defines the identity operator. The polynomial $\Delta_n(z) = \frac{n}{2}(1 + z)^{n-1}(z - 1)$ defines the differential operator

$$(\Delta_n P_n)(z) = zP_n'(z) - \frac{n}{2}P_n(z).$$

In the sequel, if $P_n \in \mathcal{P}_n$ has degree $m < n$, then we say that $z = \infty$ is a zero of P_n with multiplicity $n - m$. Let \mathcal{P}_n^0 be the set of all polynomials $P_n \in \mathcal{P}_n$ such that all n zeros of P_n lie in the unit disk $|z| \leq 1$, and let \mathcal{P}_n^∞ be the set of all polynomials $P_n \in \mathcal{P}_n$ such that all zeros of P_n lie in the domain $|z| \geq 1$. Furthermore, we say that an operator A_n belongs to the class

Ω_n^0 if $\Lambda_n \mathcal{P}_n^0 \subset \mathcal{P}_n^0$, and that Λ_n belongs to the class Ω_n^∞ if $\Lambda_n \mathcal{P}_n^\infty \subset \mathcal{P}_n^\infty$. Using Theorems 151 and 152 from [9, Section 5] (see also [2]), one can easily prove that $\Lambda_n \in \Omega_n^0$ iff the polynomial $\Lambda_n \in \mathcal{P}_n^0$, and that $\Lambda_n \in \Omega_n^\infty$ iff the polynomial $\Lambda_n \in \mathcal{P}_n^\infty$. Finally, let $\Omega_n = \Omega_n^0 \cup \Omega_n^\infty$.

Theorem A (Arestov [2]). *If $\varphi \in \Phi^+$ and $\Lambda_n \in \Omega_n$, then, for all $P_n \in \mathcal{P}_n$,*

$$\int_0^{2\pi} \varphi(|\Lambda_n P_n(e^{it})|) dt \leq \int_0^{2\pi} \varphi(C(\Lambda_n)|P_n(e^{it})|) dt, \tag{4}$$

where $C(\Lambda_n) = \max\{|\lambda_0|, |\lambda_n|\}$. Equality holds in (4) if and only if P_n has the form

$$P_n(z) = az^n, \quad P_n(z) \equiv a, \quad \text{or} \quad P_n(z) = az^n + b \quad (a, b \in \mathbb{C}),$$

depending on whether

$$\Lambda_n \in \Omega_n^0, \quad \Lambda_n \in \Omega_n^\infty, \quad \text{or} \quad \Lambda_n \in \Omega_n^0 \cap \Omega_n^\infty.$$

The space \mathcal{T}_n can be identified with the space \mathcal{P}_{2n} by the mapping $T_n(t) = e^{-int} P_{2n}(e^{it})$, $P_{2n} \in \mathcal{P}_{2n}$; moreover,

$$|T_n(t)| = |P_{2n}(e^{it})|, \quad |T'_n(t)| = |(\Delta_{2n} P_{2n})(e^{it})|.$$

Note that $\Delta_{2n} \in \Omega_{2n}^0 \cap \Omega_{2n}^\infty$ and $C(\Delta_{2n}) = n$. Hence, inequality (2) is a consequence of Theorem A.

Professor Arestov asked the author whether it is possible to extend the class Φ^+ in Theorem A. In this paper we prove that, under certain assumptions, Φ^+ is the largest possible class.

2. Main result

We study inequality (4) for the class $\Phi = \Phi_n$ of functions φ defined on $(0, \infty)$ with the following properties:

- (i) φ is continuous on $(0, \infty)$;
- (ii) φ increases on $(0, \infty)$;
- (iii) for all $P_n \in \mathcal{P}_n$, $\int_0^{2\pi} \varphi(|P_n(e^{it})|) dt < \infty$.

An example of the function $\varphi(u) = -\exp(1/u)$ shows that the third condition cannot be removed.

Now we will introduce a class $\Phi^- \subset \Phi$ with the property that, for every $\varphi \in \Phi^-$, inequality (4) is not satisfied (as will be stated in Theorem 1).

Definition. Denote by Φ^- the set of all functions $\varphi(u) = \psi(\ln u)$, where $\varphi \in \Phi$, and there exist points $v_1 < v_* < v_2$ and a real number k such that the function

$$\psi(v) - k \cdot v$$

- (i) increases on $[v_1, v_*]$ and decreases on $[v_*, v_2]$,
- (ii) does not coincide with a constant in any neighborhood of the point v_* .

Remark 1. Let us clarify this definition. Suppose that $\varphi \notin \Phi^+$ and the corresponding function ψ has a locally absolutely continuous derivative ψ' everywhere. Then $\psi''(v_*) < 0$ for some v_* . Hence, there exist points $v_1 < v_* < v_2$ such that

$$\begin{aligned} \psi'(v) &> \psi'(v_*), & v \in [v_1, v_*], \\ \psi'(v) &< \psi'(v_*), & v \in [v_*, v_2]. \end{aligned} \tag{5}$$

Furthermore, for the function ψ we have the representation

$$\psi(v) - \psi'(v_*)(v - v_*) = \psi(v_*) + \int_{v_*}^v (\psi'(\eta) - \psi'(v_*)) d\eta.$$

It follows from (5) that the function $\psi(v) - \psi'(v_*)(v - v_*)$ increases on $[v_1, v_*]$ and decreases on $[v_*, v_2]$. Therefore, φ belongs to Φ^- .

Thus, if $\varphi \in \Phi$ has a locally absolutely continuous derivative on $(0, \infty)$, then either $\varphi \in \Phi^+$ or $\varphi \in \Phi^-$.

Remark 2. If ψ is strictly concave on some interval $[v_1, v_2]$, then $\varphi \in \Phi^-$.

Remark 3. Let us give two examples of functions from Φ^- . For the function $\varphi(u) = u/(1 + u)$, by means of which convergence in measure can be defined [6, Ch. 4, Ex. 4.7.60°], the corresponding function $\psi(v) = e^v/(1 + e^v)$ is concave on $[0, \infty)$ and, therefore, $\varphi \in \Phi^-$.

Let $C_0(v)$, $v \in [0, 1]$, be the Cantor function [6, Ch. 3, Prop. 3.6.5], and let $[v]$ denote the integer part of v . The singular function φ defined by $\varphi(e^v) = C_0(v - [v]) + [v]$ also belongs to Φ^- .

Remark 4. It is sufficient to consider only one of the following two cases: $A_n \in \Omega_n^0$ or $A_n \in \Omega_n^\infty$. Indeed, applying the methods of de Bruijn and Springer [7] and Arestov [3], consider the map $I = I_n$ on \mathcal{P}_n defined by

$$(IP_n)(z) = z^n P_n(1/z), \quad P_n \in \mathcal{P}_n.$$

It is clear that $|P_n(e^{it})| = |(IP_n)(e^{-it})|$, $t \in [0, 2\pi]$, $P_n \in \mathcal{P}_n$, and

$$\left| (A_n P_n)(e^{it}) \right| = \left| (I(A_n P_n))(e^{-it}) \right| = \left| (IA_n)(IP_n)(e^{-it}) \right|, \quad A_n \in \Omega_n.$$

Moreover, the map I is a bijection of \mathcal{P}_n^∞ onto \mathcal{P}_n^0 . Therefore, if, say, $A_n \in \Omega_n^\infty$, then $IA_n \in \Omega_n^0$. Thus, inequality (7) is valid for an operator A_n and a polynomial P_n iff it is valid for IA_n and IP_n .

The polynomial $A_n(z) = c(1 + e^{i\theta}z)^n$ defines on \mathcal{P}_n the operator

$$(A_n P_n)(z) = cP_n(e^{i\theta}z), \quad c \in \mathbb{C}, \theta \in \mathbb{R}. \tag{6}$$

For this operator, inequality (4) turns into equality for every $P_n \in \mathcal{P}_n$, and so operators (6) are excluded from the further consideration.

Theorem 1. *If $\varphi \in \Phi^-$, $A_n \in \Omega_n$, and A_n is not of the form (6), then there exists a polynomial $P_n \in \mathcal{P}_n$ such that*

$$\int_0^{2\pi} \varphi \left(|(A_n P_n)(e^{it})| \right) dt > \int_0^{2\pi} \varphi \left(C(A_n) |P_n(e^{it})| \right) dt, \tag{7}$$

where $C(A_n) = \max\{|\lambda_0|, |\lambda_n|\}$.

Proof. In view of Remark 4, it is sufficient to prove the theorem for

$$A_n \in \Omega_n^0, \quad A_n(z) \neq c(1 + e^{i\theta}z)^n, \quad c \in \mathbb{C}, \theta \in \mathbb{R}. \tag{8}$$

Without loss of generality, we can assume that $\lambda_n = 1$. We claim that $|\lambda_0| \leq 1$ and $|\lambda_{n-1}| < 1$. Indeed, by conditions (8), A_n has n zeros according to multiplicity z_1, \dots, z_n and all the zeros lie on the unit circle. Consequently,

$$|\lambda_0| = |z_1 \cdots z_n| \leq 1, \quad |\lambda_{n-1}| = \left| \frac{1}{n}(z_1 + \cdots + z_n) \right| \leq 1.$$

The last inequality turns into equality only if $z_1 = \cdots = z_n = e^{i\theta}$ for some $\theta \in \mathbb{R}$, but then A_n is an operator of the form (6) and we do not consider such operators. Consequently, under our assumptions, $C(A_n) = \max\{|\lambda_0|, |\lambda_n|\} = 1$, and we must prove that there exists a polynomial $P \in \mathcal{P}_n$ such that

$$\int_0^{2\pi} \varphi(|A_n P(e^{it})|) dt - \int_0^{2\pi} \varphi(|P(e^{it})|) dt > 0. \tag{9}$$

Suppose that $\varphi(u) = \psi(\ln u)$, points $v_1 < v_* < v_2$ and a constant k satisfy conditions (i) and (ii) of the definition of the class Φ^- . Consider the function

$$\tilde{\varphi}(u) = \varphi(u) - k \cdot \ln u = \psi(\ln u) - k \cdot \ln u,$$

and set $u_1 = e^{v_1}, u_2 = e^{v_2}, u_* = e^{v_*}$. Clearly, $\tilde{\varphi}$ increases on $[u_1, u_*]$, decreases on $[u_*, u_2]$, and does not coincide with a constant in any neighborhood of the point u_* .

Let us construct a polynomial $P \in \mathcal{P}_n$ that satisfies (9) in the form

$$P(z) = mz^{n-1}(z - a), \quad a \in (0, 1), \quad m > 0.$$

We have $A_n P(z) = m(z^n - \lambda_{n-1}az^{n-1}) = mz^{n-1}(z - \lambda_{n-1}a)$,

$$\int_0^{2\pi} |A_n P(e^{it})| dt = \int_0^{2\pi} m |e^{it} - \lambda_{n-1}a| dt = \int_0^{2\pi} m |e^{it} - |\lambda_{n-1}a|| dt.$$

Let $Q(e^{it}) = m(e^{it} - |\lambda_{n-1}a|)$; then inequality (9) is equivalent to the inequality

$$\int_0^{2\pi} \left[\varphi(|Q(e^{it})|) - \varphi(|P(e^{it})|) \right] dt > 0. \tag{10}$$

Let us compare $|P(e^{it})|^2$ and $|Q(e^{it})|^2$ on the interval $[0, 2\pi]$. We have

$$\begin{aligned} |P(e^{it})|^2 &= m^2(1 + a^2 - 2a \cos t), \\ |Q(e^{it})|^2 &= m^2 \left(1 + |\lambda_{n-1}|^2 a^2 - 2|\lambda_{n-1}|a \cos t \right), \end{aligned} \tag{11}$$

and, consequently,

$$\begin{aligned} \frac{1}{m^2} \left(|P(e^{it})|^2 - |Q(e^{it})|^2 \right) &= 1 + a^2 - 2a \cos t - 1 - |\lambda_{n-1}|^2 a^2 + 2|\lambda_{n-1}|a \cos t \\ &= a(1 - |\lambda_{n-1}|)(a + |\lambda_{n-1}|a - 2 \cos t). \end{aligned} \tag{12}$$

Let $t_* = \arccos((a + |\lambda_{n-1}|a)/2)$. Evidently, $t_* \in (0, \pi)$, and it can be verified easily that

$$|P(e^{it_*})| = |Q(e^{it_*})| = m\sqrt{1 - |\lambda_{n-1}|a^2}. \tag{13}$$

It follows from (11) that the absolute values $|P(e^{it})|$ and $|Q(e^{it})|$ are even functions of t that are increasing on $[0, \pi]$; by (12),

$$|Q(e^{it})| > |P(e^{it})|, \quad t \in [0, t_*], \quad \text{and} \quad |Q(e^{it})| < |P(e^{it})|, \quad t \in (t_*, \pi]. \tag{14}$$

Thus, we conclude that the values $|Q(e^{it})|$ and $|P(e^{it})|$ belong to the interval $[|P(1)|, |P(-1)|]$ for all $t \in [0, 2\pi]$ and

$$|P(1)| = m(1 - a), \quad |P(-1)| = m(1 + a). \tag{15}$$

Now, we choose parameters m and a such that

$$|P(e^{it_*})| = |Q(e^{it_*})| = u_* \quad \text{and} \quad [|P(1)|, |P(-1)|] \subset [u_1, u_2]. \tag{16}$$

This can be done the following way. Let a_k be a sequence such that $a_k \rightarrow +0, k \rightarrow \infty$. Define m_k by

$$m_k\sqrt{1 - |\lambda_{n-1}|a_k^2} = u_*.$$

Then $m_k \rightarrow u_*, k \rightarrow \infty$. Therefore,

$$m_k(1 - a_k) \rightarrow u_* > u_1, \quad \text{and} \quad m_k(1 + a_k) \rightarrow u_* < u_2.$$

Thus we can take $a = a_k$ and $m = m_k$ for a sufficiently large value of k .

Combining (14) and (16), we conclude that

$$\begin{aligned} u_1 &\leq |P(1)| < |P(e^{it})| < |Q(e^{it})| < u_*, \quad t \in (0, t_*), \\ u_* &< |Q(e^{it})| < |P(e^{it})| < |P(-1)| \leq u_2, \quad t \in (t_*, \pi). \end{aligned} \tag{17}$$

It remains to verify inequality (10) for the constructed polynomial P . By the well-known Jensen formula (see, for example, [9, Section 3, Problem 175]),

$$\begin{aligned} \int_0^{2\pi} \ln |P(e^{it})| \, dt &= \int_0^{2\pi} \ln |m(e^{it} - a)| \, dt = 2\pi \ln m, \\ \int_0^{2\pi} \ln |Q(e^{it})| \, dt &= \int_0^{2\pi} \ln |m(e^{it} - |\lambda_{n-1}|a)| \, dt = 2\pi \ln m. \end{aligned}$$

Thus,

$$\begin{aligned} &\int_0^{2\pi} \left[\varphi(|Q(e^{it})|) - \varphi(|P(e^{it})|) \right] dt \\ &= \int_0^{2\pi} \left[\varphi(|Q(e^{it})|) - \varphi(|P(e^{it})|) - k \ln |Q(e^{it})| + k \ln |P(e^{it})| \right] dt \\ &= 2 \int_0^\pi \left[\tilde{\varphi}(|Q(e^{it})|) - \tilde{\varphi}(|P(e^{it})|) \right] dt \\ &= 2 \int_0^{t_*} \left[\tilde{\varphi}(|Q(e^{it})|) - \tilde{\varphi}(|P(e^{it})|) \right] dt + 2 \int_{t_*}^\pi \left[\tilde{\varphi}(|Q(e^{it})|) - \tilde{\varphi}(|P(e^{it})|) \right] dt. \end{aligned}$$

Relations (17) yield that the last expression is greater than 0. This completes the proof of the theorem. \square

Corollary 1. *For any $\varphi \in \Phi^-$, there exists $T_n \in \mathcal{T}_n$ such that*

$$\int_0^{2\pi} \varphi (|T_n'(t)|) dt > \int_0^{2\pi} \varphi (n|T_n(t)|) dt.$$

For smooth functions $\varphi \in \Phi$, Arestov's theorem and [Theorem 1](#) give the necessary and sufficient conditions on φ for validity of inequality (4).

Corollary 2. *Suppose that an operator $\Lambda_n \in \Omega_n$ is not of the form (6) and a function $\varphi \in \Phi$ has a locally absolutely continuous derivative. Then inequality (4) is valid if and only if $\varphi \in \Phi^+$.*

The proof immediately follows from [Theorem A](#), [Remark 1](#), and [Theorem 1](#).

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