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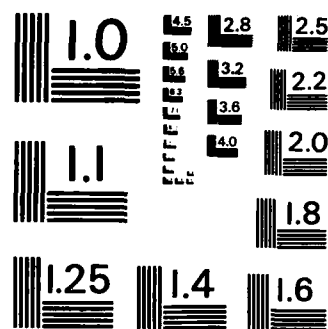
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ON A THEOREM OF SZEGÖ ON UNIVALENT
CONVEX MAPS OF THE UNIT CIRCLE

I. J. Schoenberg

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ABSTRACT

For a positive constant λ we denote by $K(\lambda) = \{f(z)\}$ the class of function $f(z)$ which are regular and univalent in $|z| < \lambda$ and map this circle on a convex domain. In 1928 G. Szegő [3] proved the

Theorem 1. If $f(z) = \sum_{v=0}^{\infty} c_v z^v \in K(1)$, then all its sections

$$S_n(z) = \sum_{v=0}^n c_v z^v \in K\left(\frac{1}{4}\right) \quad \text{for } n = 1, 2, \dots$$

An evident consequence is

Corollary 1. Since the geometric series

$$f_0(z) = \sum_{v=0}^{\infty} z^v \in K(1)$$

we have

$$\sum_{v=0}^n z^v \in K\left(\frac{1}{4}\right), \quad (n = 1, 2, \dots)$$

and therefore, on replacing z by $z/4$, we have

$$\sum_{v=0}^n \frac{1}{4^v} z^v \in K(1) \quad \text{for } n = 1, 2, \dots$$

In the present paper we prove directly Corollary 1, and derive from it Szegő's Theorem 1. This is done by appealing to Theorem 2 which was conjectured by Polya and Schoenberg [1] in 1958, but only proved in 1973 by St. Ruscheweyh and T. Sheil-Small [2].

AMS (MOS) Subject Classifications: 30C20, 52A10

Key Words: Convexity, Geometric Function Theory

Work Unit Number 6 (Miscellaneous Topics)

SIGNIFICANCE AND EXPLANATION

There is a fine interplay between two fundamental notions of geometry: Convexity and Conformal Mapping. The subject belongs to Geometric Function Theory. In 1928 Gabor Szegő showed that if a power series converges in the unit circle $|z| < 1$ and maps it onto a convex domain, then all its finite sections map the circle $|z| < \frac{1}{4}$ onto convex domains. The present paper shows that Szegő's theorem reduces to a study of the finite sections of the geometric series

$$1 + \frac{1}{4}z + \frac{1}{4^2}z^2 + \dots = \frac{1}{1 - \frac{1}{4}z} + \dots$$

Handwritten notes: 1/4 z squared, 4 to the 1 power, z to the 2 power

The main tool is a result conjectured in 1958 by Polya and Schoenberg, but only established in 1973 by St. Ruscheweyh and T. Sheil-Small.



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ON A THEOREM OF SZEGO ON UNIVALENT CONVEX MAPS OF THE UNIT CIRCLE

I. J. Schoenberg

1. INTRODUCTION. There is an interesting interplay between two fundamental notions of geometry: Convexity and Conformal Mapping. The subject belongs to Geometric Function Theory. We use the following notation: If $r > 0$, we denote $K(r) = \{f(z)\}$ the class of functions $f(z)$ which are univalent in the circle $|z| < r$, and map it onto a convex domain.

In 1958 Polya and Schoenberg conjectured that for $r = 1$ the class $K(1)$ form a semi-group with respect to Hadamard multiplication of power series. This was established in 1973 by St. Ruscheweyh and T. Sheil-Small in [2] by the following

Theorem 1. (Ruscheweyh and Sheil-Small). If

$$\sum_{v=0}^{\infty} a_v z^v \in K(1) \quad \text{and} \quad \sum_{v=0}^{\infty} b_v z^v \in K(1)$$

then

$$\sum_{v=0}^{\infty} a_v b_v z^v \in K(1) .$$

Before we pass to the work of Szegő, let us use Theorem 1 to establish a simple and well known

Proposition. If

$$(1.1) \quad f(z) = \sum_{v=0}^{\infty} a_v z^v \in K(1)$$

and $0 < \lambda < 1$, then

$$(1.2) \quad f(z) = \sum_{v=0}^{\infty} a_v z^v \in K(\lambda) .$$

Proof: We start from the geometric series

$$(1.3) \quad f_0(z) = \sum_0^{\infty} z^v = \frac{1}{1-z} \in K(1) ,$$

because it maps $|z| < 1$ onto the half-plane $\operatorname{Re} z > \frac{1}{2}$. However, $w = f_0(z) = 1/(1-z)$ clearly maps $|z| < \lambda$ onto a circle, and so

$$\sum_0^{\infty} z^v \in K(\lambda) .$$

Replacing z by λz , we obtain that

$$(1.4) \quad \sum_0^{\infty} \lambda^v z^v \in K(1) .$$

However, from (1.1) and (1.4), by Theorem 1 we obtain

$$\sum_0^{\infty} \lambda^v a_v z^v \in K(1) ,$$

or, replacing λz by z , we have

$$\sum_0^{\infty} a_v z^v \in K(\lambda) ,$$

which is the desired conclusion (1.2). ■

Remark. Our derivation of the conclusion (1.2) from the special case of the geometric series (1.3) justifies Polya's statement that within the class $K(1)$ the geometric series (1.3) "sets the fashion" (in German: "tonangebend").

Szegő's question: If

$$(1.5) \quad f(z) = \sum_0^{\infty} c_v z^v \in K(1) ,$$

what can we say about its sections

$$S_n(z) = \sum_{v=0}^n c_v z^v ?$$

In 1928 G. Szegő [3, Satz II', page 204] established

Theorem 2 (Szegő). If (1.5) holds, then

$$(1.6) \quad S_n(z) = \sum_0^n c_v z^v \in K\left(\frac{1}{4}\right) \quad \text{for } n = 1, 2, \dots$$

Using Theorem 1 we will show in §2 that we can reduce Theorem 2 to the question concerning the section of the geometric series

$$f_0(z) = 1 + \frac{1}{4}z + \dots + \frac{1}{4^n}z^n + \dots$$

Theorem 3. Let λ be a constant satisfying

$$0 < \lambda < 1.$$

If (1.5) holds, then

$$(1.7) \quad S_n(z) = \sum_0^n c_v z^v \in K(\lambda) \quad \text{for all } n \geq m(\lambda),$$

where

$$(1.8) \quad m(\lambda) \text{ is the least integer such that (1.7) holds.}$$

Evidently

$$(1.9) \quad m(\lambda) = 1 \quad \text{if } \lambda \leq \frac{1}{4},$$

by Theorem 2. It is equally evident that

$$(1.10) \quad \lambda_1 < \lambda_2 \quad \text{implies that } m(\lambda_1) \leq m(\lambda_2),$$

for if $S_n(z) \in K(\lambda_2)$, then also $S_n(z) \in K(\lambda_1)$.

The main difficulty in Theorem 3 is an explicit determination of $m(\lambda)$, if $\lambda > \frac{1}{4}$, and we will do that for the value

$$(1.11) \quad \lambda = \frac{1}{3}$$

only, and find that

$$(1.12) \quad m\left(\frac{1}{3}\right) = 4.$$

We state this result as

Theorem 4. If

$$(1.13) \quad f(z) = \sum_0^{\infty} c_v z^v \in K(1)$$

then

$$(1.14) \quad s_n(z) = \sum_0^n c_v z^v \in K\left(\frac{1}{3}\right) \quad \text{for } n \geq 4,$$

but not necessarily for $n = 2$ or 3 .

In establishing Theorems 3 and 4 I greatly acknowledge the help of Fred W. Sauer, of the Computing Staff of the Mathematics Research Center.

2. THE NEW APPROACH TO SZEGÖ'S THEOREM 2. Since evidently

$$(2.1) \quad f_0(z) = \sum_0^{\infty} z^v \in K(1)$$

we conclude by Szegő's Theorem 2 that

$$(2.2) \quad \sum_0^n z^v \in K\left(\frac{1}{4}\right) \quad \text{for all } n = 1, 2, \dots$$

Replacing z by $z/4$ we may restate (2.2) as

Corollary 1. We have

$$(2.3) \quad s_n^{(0)}(z) = \sum_0^n \frac{1}{4^v} z^v \in K(1) \quad \text{for } n = 1, 2, \dots,$$

The new approach to Theorem 1 is to establish Corollary 1 directly. If now

$$(2.4) \quad f(z) = \sum_0^{\infty} c_v z^v \in K(1)$$

is an arbitrary element of $K(1)$ we argue as follows: Applying Theorem 1 to (2.3) and

(2.4) we conclude that

$$\sum_{v=0}^n \frac{1}{4^v} c_v z^v \in K(1)$$

and therefore

$$(2.5) \quad \sum_{v=0}^n c_v z^v \in K\left(\frac{1}{4}\right) \quad \text{for } n = 1, 2, \dots,$$

which is the conclusion (1.6) of Theorem 2.

Szegő's theorem is therefore made to depend on the proof that all sections of the geometric series

$$(2.6) \quad f(z) = \sum_{v=0}^{\infty} \frac{1}{4^v} z^v, \quad (|z| < 4)$$

are in $K(1)$.

3. A DIRECT PROOF OF COROLLARY 1. We begin with

Lemma 1. All sections

$$(3.1) \quad f_n(z) = \sum_{v=0}^n \frac{1}{4^v} z^v \quad (n = 1, 2, \dots)$$

are univalent in the closed unit circle $\bar{U} = \{|z| \leq 1\}$

Proof: We are to show that

$$(3.2) \quad |z| \leq 1, \quad |z_2| \leq 1, \quad z_1 \neq z_2 \quad \text{imply that} \quad f_n(z_1) \neq f_n(z_2).$$

Observe that

$$(3.3) \quad |f_n(z_1) - f_n(z_2)| = \left| \sum_{v=1}^n \frac{1}{4^v} (z_1^v - z_2^v) \right|$$

$$= \frac{|z_1 - z_2|}{4} \cdot \left| 1 + \frac{z_1 + z_2}{4} + \frac{z_1^2 + z_1 z_2 + z_2^2}{4^2} + \dots + \frac{z_1^{n-1} + z_1^{n-2} z_2 + \dots + z_2^{n-1}}{4^{n-1}} \right|$$

However, by (3.2),

$$\left| \frac{z_1 + z_2}{4} + \dots + \frac{z_1^{n-1} + \dots + z_2^{n-1}}{4^{n-1}} \right| \leq \frac{2}{4} + \frac{3}{4^2} + \dots + \frac{n}{4^{n-1}} = \frac{7}{9} - \frac{3n+4}{9 \cdot 4^{n-1}},$$

the last equality being easily obtained by summation, or by complete induction. The last member being < 1 . We obtain from (3.3) that

$$|f_n(z_1) - f_n(z_2)| > \frac{|z_1 - z_2|}{4} \left| 1 - \left(\frac{7}{9} - \frac{3n+4}{9 \cdot 4^{n-1}} \right) \right| = \frac{|z_1 - z_2|}{4} \left| \frac{2}{9} + \frac{3n+4}{9 \cdot 4^{n-1}} \right| > 0,$$

and (3.2) is established.

Lemma 1 shows that the polynomial (3.1) maps the circle $|z| = 1$ onto a closed Jordan curve C_n . Separating real and imaginary parts by

$$(3.4) \quad f_n(e^{it}) = x_n(t) + iy_n(t)$$

we obtain for C_n the parametric representation

$$(3.5) \quad C_n : x = x_n(t), y = y_n(t), \quad (0 \leq t \leq 2\pi).$$

Wishing to study its curvature

$$(3.6) \quad \frac{1}{R} = \frac{x'_n y''_n - y'_n x''_n}{(x'^2_n + y'^2_n)^{3/2}}$$

we first establish

Lemma 2. Defining

$$(3.7) \quad T_n(t) = x'_n(t)y''_n(t) - y'_n(t)x''_n(t),$$

we have

$$(3.8) \quad T_n(t) \geq 0 \quad \text{for} \quad -\pi \leq t \leq \pi, \quad \text{and} \quad n = 1, 2, \dots$$

Proof: From (3.1) and (3.4) we have

$$(3.9) \quad x_n(t) = 1 + \sum_{\alpha=1}^n \frac{\cos \alpha t}{4^\alpha}, \quad y_n(t) = \sum_{\alpha=1}^n \frac{\sin \alpha t}{4^\alpha}$$

and (3.7) becomes

$$T_n(t) = \begin{vmatrix} x'_n & x''_n \\ y'_n & y''_n \end{vmatrix} = \begin{vmatrix} -\sum_{\alpha=1}^n 4^{-\alpha} \alpha \sin \alpha t & -\sum_{\beta=1}^n 4^{-\beta} \beta^2 \cos \beta t \\ \sum_{\alpha=1}^n 4^{-\alpha} \alpha \cos \alpha t & -\sum_{\beta=1}^n 4^{-\beta} \beta^2 \sin \beta t \end{vmatrix}.$$

By splitting the columns we rewrite the determinant as a sum of n^2 determinants obtaining

$$T_n(t) = \sum_{\alpha=1}^n \sum_{\beta=1}^n 4^{-\alpha-\beta} \alpha \beta^2 (\sin \alpha t \sin \beta t + \cos \alpha t \cos \beta t),$$

and finally

$$(3.10) \quad T_n(t) = \sum_{\alpha, \beta=1}^n \frac{\alpha \beta^2}{4^{\alpha+\beta}} \cos(\alpha - \beta)t,$$

which is a cosine polynomial of order $n - 1$.

Establishing the non-negativity of a cosine polynomial is in general a difficult problem. Fortunately, in our case it is easy due to the structure of the infinite matrix

$$(3.11) \quad \left| \frac{\alpha \beta^2}{4^{\alpha+\beta}} \right|_{\alpha, \beta = 1, 2, \dots}$$

of the coefficients of all (3.10). For instance, we obtain $T_3(t)$ as the sum of the elements of the 3×3 matrix (3.11) provided with appropriate cosine factors:

$$T_3(t) = \begin{cases} \frac{1 \cdot 1^2}{4^2} & + \frac{1 \cdot 2^2}{4^3} \cos t + \frac{1 \cdot 3^2}{4^4} \cos 2t \\ + \frac{2 \cdot 1^2}{4^3} \cos t & + \frac{2 \cdot 2^2}{4^4} & + \frac{2 \cdot 3^2}{4^5} \cos t \\ + \frac{3 \cdot 1^2}{4^4} \cos 2t & + \frac{3 \cdot 2^2}{4^5} \cos t + \frac{3 \cdot 3^2}{4^6} \end{cases}.$$

Since $T_n(t)$ is a cosine polynomial, we may restrict t to $0 \leq t \leq \pi$.

For $n = 2$ (3.8) presents no difficulty since

$$(3.13) \quad T_2(t) = \frac{3}{32} (1 + \cos t),$$

which is non-negative. I owe to Fred Sauer the positivity of $T_3(t)$, $T_4(t)$ and $T_5(t)$ who provided the following (positive) minima

$$\begin{aligned} \min_t T_3(t) &= .01309 \\ \min_t T_4(t) &= .01221 \\ (3.14) \quad \min_t T_5(t) &= .01600. \end{aligned}$$

I claim that the last result (3.14) allows us to show that

$$(3.15) \quad \min_t T_n(t) > 0 \quad \text{for all } n \geq 6,$$

but this requires some elementary Algebraic Analysis.

The sum of all elements of the infinite matrix (3.11) is

$$(3.16) \quad \sum_{\alpha, \beta=1}^{\infty} \frac{\alpha \beta^2}{4^{\alpha+\beta}} = \left(\sum_{\alpha=1}^{\infty} \frac{\alpha}{4^{\alpha}} \right) \left(\sum_{\beta=1}^{\infty} \frac{\beta^2}{4^{\beta}} \right).$$

From this sum we subtract the sum of the elements of the principal $n \times n$ minor of (3.11), and define the new sequence

$$(3.17) \quad N_n = \left(\sum_{\alpha=1}^{\infty} \frac{\alpha}{4^{\alpha}} \right) \left(\sum_{\beta=1}^{\infty} \frac{\beta^2}{4^{\beta}} \right) - \left(\sum_{\alpha=1}^n \frac{\alpha}{4^{\alpha}} \right) \left(\sum_{\beta=1}^n \frac{\beta^2}{4^{\beta}} \right).$$

By iteration of $z(d/dz)$ applied to $\sum_{v=1}^n (z/4)^v$ we obtain the identities

$$(3.18) \quad \sum_{v=1}^n \frac{v}{4^v} = \frac{4 \cdot 4^n - 3n - 4}{9 \cdot 4^n}, \quad \sum_{v=1}^n \frac{v^2}{4^v} = \frac{20 \cdot 4^n - 9n^2 - 24n - 20}{27 \cdot 4^n},$$

and letting $n \rightarrow \infty$ we obtain

$$(3.19) \quad \sum_{1}^{\infty} \frac{\alpha}{4^{\alpha}} = \frac{4}{9}, \quad \sum_{1}^{\infty} \frac{\beta^2}{4^{\beta}} = \frac{20}{27}.$$

Now the sequence (3.17) may be explicitly written as

$$(3.20) \quad N_n = \frac{4}{9} \cdot \frac{20}{27} - \frac{4 \cdot 4^n - 3n - 4}{9 \cdot 4^n} \cdot \frac{20 \cdot 4^n - 9n^2 - 24n - 20}{27 \cdot 4^n},$$

which yield the numerical values

$$N_4 = .0216009195$$

and

$$(3.21) \quad N_5 = .0073673303 < .0074.$$

I claim that this last inequality completes our proof of Lemma 2: Indeed, from (3.21) and the definition (3.17) of N_5 we conclude that all $T_n(t)$ are positive for all $n > 5$, for in view of the relations (3.14) and (3.21) we have for $n > 5$ and all real t

$$T_n(t) > T_5(t) - N_5 \geq \min_t T_5(t) - N_5 > .0160 - .0074 = .0086 > 0.$$

4. PROOF OF THEOREM 3. Our previous discussion makes it clear that it suffices to consider the geometric series

$$(4.1) \quad f(z) = \sum_{0}^{\infty} \lambda^{\nu} z^{\nu} = \frac{1}{1 - \lambda z} \quad (|z| < \lambda^{-1}),$$

and prove

Lemma 3. For its partial sums we have

$$(4.2) \quad S_n(z) = \sum_{0}^n \lambda^{\nu} z^{\nu} \in K(1) \quad \text{for all } n \geq m(\lambda),$$

where

$$(4.3) \quad m(\lambda) \text{ is the least integer such that (4.2) holds.}$$

Proof of Lemma 3. Notice that

$$(4.4) \quad f(e^{it}) = \frac{1}{1 - \lambda e^{it}} = x(t) + iy(t)$$

traces out a circle C having the interval of reals $[1/(1 + \lambda), 1/(1 - \lambda)]$ as diameter and therefore the radius

$$(4.5) \quad R = \frac{\lambda}{1 - \lambda^2}.$$

Setting

$$(4.6) \quad s_n(e^{it}) = x_n(t) + iy_n(t),$$

and observing that $|z| = 1$ is well within the circle of convergence of (4.1), it should be clear that the real periodic functions

$$x_n(t), y_n(t), x(t), y(t)$$

are regular in a neighborhood of the real t -axis. Also that $x_n(t)$ and $y_n(t)$, as well as their derivatives, converge uniformly to the corresponding derivatives of $x(t)$ and $y(t)$, respectively. It follows that the closed curve $C_n = (x_n(t), y_n(t))$ converges to the circle C and that its curvature

$$\frac{x'_n(t)y''_n(t) - y'_n(t)x''_n(t)}{(x'_n(t)^2 + y'_n(t)^2)^{3/2}}$$

converges uniformly in t , as $n \rightarrow \infty$, to the curvature $1/R$ of C . This establishes Lemma 3.

The determination of $m(\lambda)$, satisfying (4.3), is difficult and will be solved for $\lambda = 1/3$ only.

5. THE CASE $\lambda = \frac{1}{3}$: PROOF OF THEOREM 4. As an analogue of Lemma 1 we should prove that the image of $|z| = 1$ by

$$(5.1) \quad f_n(z) = \sum_{v=0}^n \frac{1}{3^v} z^v \quad (n = 1, 2, \dots)$$

are all simple closed curves. However, our simple proof of Lemma 1 does not generalize.

Rather we consider

$$(5.2) \quad w = f_n(z) - 1 = \sum_{v=1}^n \frac{1}{3^v} z^v = \frac{z}{3} \frac{1 - (z/3)^n}{1 - (z/3)}$$

and show that it maps $z = e^{it}$ into a curve which is star-shaped with respect to the origin. This requires two facts: 1°. That as t varies from $-\pi$ to $+\pi$, the argument of the function (5.2) increases by 2π . 2°. That we have

$$(5.3) \quad \operatorname{Im}\left(\frac{\partial w}{\partial t} / w\right) > 0 \text{ for all } t.$$

However, we omit the tedious calculations.

We rather pass to considering the curvature of the curve; here matters are very close to those of §3 and obtained from them by replacing $\frac{1}{4}$ by $\frac{1}{3}$. We shall also use the same notations.

Setting

$$(5.4) \quad f_n(e^{it}) = x_n(t) + iy_n(t),$$

we have as an analogue of Lemma 2 the

Lemma 3. Defining

$$(5.5) \quad T_n(t) = x_n'(t)y_n''(t) - y_n'(t)x_n''(t),$$

we have

$$(5.6) \quad T_n(t) > 0 \text{ for } -\pi \leq t \leq \pi \text{ and } n \geq 4,$$

but not for $n = 2$ and $n = 3$.

Proof: For the analogues of (3.10) and (3.17) we find

$$(5.7) \quad T_n(t) = \sum_{\alpha, \beta=1}^n \frac{\alpha\beta^2}{3^{\alpha+\beta}} \cos(\alpha - \beta)t$$

and

$$(5.8) \quad N_n = \left(\sum_{\alpha=1}^{\infty} \frac{\alpha}{3^{\alpha}}\right) \left(\sum_{\beta=1}^{\infty} \frac{\beta^2}{3^{\beta}}\right) - \left(\sum_{\alpha=1}^n \frac{\alpha}{3^{\alpha}}\right) \left(\sum_{\beta=1}^n \frac{\beta^2}{3^{\beta}}\right)$$

and explicitly

$$(5.9) \quad N_n = \frac{9}{8} - \left(\frac{3^{n+1} - 2n - 3}{3^{n+4}} \right) \left(\frac{3^{n+1} - n^2 - 3n - 3}{3^{n+2}} \right).$$

Rounding off Fred Sauer's values to six decimal places, we have

$$\min_t T_2(t) = -.012346$$

$$\min_t T_3(t) = -.002057$$

$$\min_t T_4(t) = .004268$$

$$\min_t T_5(t) = .013733$$

$$\min_t T_6(t) = .014480, \quad N_6 = .036836$$

$$(5.10) \quad \min_t T_7(t) = .017663, \quad N_7 = .015400.$$

The first two minima being negative shows that the curves $C_2 = (x_2(t), y_2(t))$ and $C_3 = (x_3(t), y_3(t))$ are not convex. However, from (5.10) we can conclude that (5.6) holds: From the above data we see that $T_4(z)$, $T_5(t)$, $T_6(t)$, and $T_7(t)$ are everywhere positive. Now (5.10) show that if $n > 7$ then

$$T_n(t) \geq T_7(t) - N_7 \geq \min_t T_7(t) - N_7 > .0176 - .0155 = .0021 > 0.$$

Thus $T_n(t) \geq 0$ for all t and $n = 4, 5, \dots$, proving Theorem 4.

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18. SUPPLEMENTARY NOTES		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Convexity, Geometric Function Theory		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) For a positive constant λ we denote by $K(\lambda) = \{f(z)\}$ the class of function $f(z)$ which are regular and univalent in $ z < \lambda$ and map this circle on a convex domain. In 1928 G. Szegö [3] proved the (cont.)		

ABSTRACT (cont.)

Theorem 1. If $f(z) = \sum_0^{\infty} c_v z^v \in K(1)$, then all its sections

$$s_n(z) = \sum_0^n c_v z^v \in K\left(\frac{1}{4}\right) \quad \text{for } n = 1, 2, \dots$$

An evident consequence is

Corollary 1. Since the geometric series

$$f_0(z) = \sum_0^{\infty} z^v \in K(1)$$

we have

$$\sum_0^n z^v \in K\left(\frac{1}{4}\right), \quad (n = 1, 2, \dots)$$

and therefore, on replacing z by $z/4$, we have

$$\sum_0^n \frac{1}{4^v} z^v \in K(1) \quad \text{for } n = 1, 2, \dots$$

In the present paper we prove directly Corollary 1, and derive from it Szegő's Theorem 1. This is done by appealing to Theorem 2 which was conjectured by Polya and Schoenberg [1] in 1958, but only proved in 1973 by St. Ruscheweyh and T. Sheil-Small [2].

END

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