

## ON THE LOCAL ASYMPTOTICS OF FABER POLYNOMIALS

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*Dedicated to Professor D. Gaier on the occasion of his seventieth birthday.*

ABSTRACT. We study a local asymptotics of the (generalized) Faber polynomials at the boundary of the associated domain, under certain mild smoothness conditions on the weight function and geometric conditions on the boundary. The main result exhibits how this asymptotics depends on the corners at the boundary. Its proof is based on the continuity properties of the Visser-Ostrowski quotient at the corners.

### 1. INTRODUCTION AND MAIN RESULT

Let  $\Gamma$  be a simple bounded Jordan curve with the interior  $G$  and the exterior  $\Omega$ . Clearly,  $G$  and  $\Omega$  are Jordan domains and  $\infty \in \Omega$ . By the Riemann mapping theorem, there exists a canonical conformal mapping  $\Phi : \Omega \rightarrow D' := \{w : |w| > 1\}$  normalized by the conditions  $\Phi(\infty) = \infty$  and  $\lim_{z \rightarrow \infty} \Phi(z)/z > 0$ . It is well known that  $\Phi$  can be extended as a homeomorphism to the boundary  $\Gamma$  (cf. [11, p. 24]), so that we have  $\Phi : \overline{\Omega} \rightarrow \overline{D'}$ . Let  $\Psi := \Phi^{-1}$  be the inverse conformal mapping  $\Psi : \overline{D'} \rightarrow \overline{\Omega}$ .

Faber polynomials were introduced by Faber [5] in connection with a generalization of the Taylor series for an analytic function in  $G$ . One of the equivalent definitions of the Faber polynomials  $\{F_n(z)\}_{n=0}^{\infty}$ ,  $\deg F_n = n$ , is the following Laurent expansion (cf. [13] or [8])

$$(1.1) \quad \frac{\Psi'(w)}{\Psi(w) - z} = \sum_{n=0}^{\infty} \frac{F_n(z)}{w^{n+1}}, \quad z \in \overline{G}, \quad |w| > 1,$$

where the function on the left-hand side of (1.1) is called the generating function. Faber polynomials have found numerous applications in approximation theory (see, e.g., [8] and [13]) and in function theory (see references in [2]).

Let  $g(z)$  be an analytic function in  $\Omega$ . Then, following [6], we define the *generalized Faber polynomials*  $\{Q_n(z)\}_{n=0}^{\infty}$ ,  $\deg Q_n = n$ , as follows:

$$(1.2) \quad \frac{g(\Psi(w))\Psi'(w)}{\Psi(w) - z} = \sum_{n=0}^{\infty} \frac{Q_n(z)}{w^{n+1}}, \quad z \in \overline{G}, \quad |w| > 1.$$

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Clearly, if  $g(z) \equiv 1$ ,  $z \in \Omega$ , then  $Q_n(z) \equiv F_n(z)$  for any  $n = 0, 1, 2, \dots$ . The generalized Faber polynomials are of great importance in the study of asymptotics of various extremal polynomials, such as orthogonal polynomials (cf. [17, 13, 14, 15] and [18]) and Chebyshev polynomials (cf. [7, 18]). The asymptotic properties of the generalized Faber polynomials themselves are crucial in the above studies. In addition to the already mentioned surveys on Faber polynomials, we refer to the monograph [16] exclusively devoted to this subject, which contains many other references.

An equivalent way to define Faber polynomials is to consider the polynomial part of the Laurent expansion of  $\Phi^n(z)$  near  $z = \infty$ , i.e.,

$$(1.3) \quad \Phi^n(z) = F_n(z) + E_n(z),$$

where

$$(1.4) \quad E_n(z) = O\left(\frac{1}{z}\right), \quad \text{as } z \rightarrow \infty.$$

Correspondingly, we have for the generalized Faber polynomials that

$$(1.5) \quad g(z)\Phi^n(z) = Q_n(z) + H_n(z),$$

where

$$(1.6) \quad H_n(z) = O\left(\frac{1}{z}\right), \quad \text{as } z \rightarrow \infty$$

(see [2, 8] and [13], for example). A standard approach to the asymptotic representations of the (generalized) Faber polynomials is to show in (1.3) or (1.5) that

$$(1.7) \quad E_n(z) = o(1) \text{ or } H_n(z) = o(1), \quad \text{as } n \rightarrow \infty,$$

for  $z \in \Omega$ . Furthermore, one can even strengthen this to include the boundary  $\Gamma$ , under certain smoothness assumptions on  $\Gamma$  and the values of  $g(z)$  on  $\Gamma$ , which is usually more difficult to accomplish. The asymptotic relation then takes the form

$$(1.8) \quad Q_n(z) = g(z)\Phi^n(z) + o(1), \quad \text{as } n \rightarrow \infty,$$

where  $z \in \overline{\Omega}$  (cf. [17, 18] and [16]). We study a local version of the asymptotics for the generalized Faber polynomials on the boundary of  $\Omega$ , i.e., for  $z \in \Gamma$ . This allows us to considerably relax conditions imposed on  $\Gamma$  and  $g(z)$ . In particular, we treat non-smooth cases of the function  $g(z)$  and the boundary  $\Gamma$ , exhibiting the dependence of the asymptotics on the geometry of  $\Gamma$ , e.g., on the corners at the boundary.

For a continuous function  $f$  on a compact set  $K \subset \mathbb{C}$ , we define its modulus of continuity  $\omega(f, \delta)$  by (cf. [10, p. 43] and [11, p. 46]):

$$(1.9) \quad \omega(f, \delta) := \sup\{|f(z_1) - f(z_2)| : |z_1 - z_2| \leq \delta \text{ and } z_1, z_2 \in K\}.$$

It is not difficult to see that  $\omega(f, \delta)$ ,  $\delta \in [0, \text{diam}(K)]$ , has the following properties (see [10, p. 43]):

- (i)  $\omega(f, \delta)$  is positive and increasing;
- (ii)  $\lim_{\delta \rightarrow 0} \omega(f, \delta) = 0$ ;
- (iii) if  $K$  is convex, then  $\omega(f, \delta)$  is subadditive, i.e.,

$$\omega(f, \delta_1 + \delta_2) \leq \omega(f, \delta_1) + \omega(f, \delta_2).$$

Any function  $\omega(\delta)$ ,  $\delta \in [0, l]$ , satisfying (i)-(iii), is called a *modulus of continuity*. Typical examples of moduli of continuity are  $\omega(\delta) = \delta^s$ ,  $0 < s \leq 1$ , and  $\omega(\delta) = (-\log \delta)^{-t}$ ,  $t > 0$ . A modulus of continuity is said to satisfy the Alper condition if

$$(1.10) \quad \int_0^\epsilon \frac{\omega(x)}{x} \log \frac{1}{x} dx < \infty,$$

for some  $\epsilon > 0$ .

A Jordan curve  $\Gamma$  is said to be of class  $C^\omega$  if it has a parametrization  $\tau : [0, 2\pi) \rightarrow \Gamma$  that is differentiable, with  $\tau'(x) \neq 0$  for any  $x \in [0, 2\pi)$  and with  $\tau'(x)$  satisfying a continuity condition

$$(1.11) \quad |\tau'(x_1) - \tau'(x_2)| \leq \omega(|x_1 - x_2|), \quad x_1, x_2 \in [0, 2\pi),$$

where  $\omega$  is a modulus of continuity. A Jordan arc is of class  $C^\omega$  if it is a subarc of a Jordan curve of class  $C^\omega$ .

Let  $H^\infty(\Omega)$  be the Hardy space of bounded analytic functions in  $\Omega$  (cf. [3, p. 167]).

**Theorem 1.1.** *Let  $\Gamma$  be a rectifiable Jordan curve and let  $g(z) \in H^\infty(\Omega)$ . For  $z_0 \in \Gamma$ , assume that  $\Gamma$  has an exterior angle of opening  $\alpha\pi$  at  $z_0$ ,  $0 < \alpha \leq 2$ , formed by  $C^\omega$  arcs, where  $\omega(x)$  satisfies the Alper condition (1.10). Suppose that the boundary values of  $g(z)$  satisfy a Dini condition at  $z_0$ :*

$$(1.12) \quad |g(z) - g(z_0)| \leq \lambda(|z - z_0|), \quad |z - z_0| < \delta, \quad z \in \Gamma,$$

with  $\delta > 0$  and a modulus of continuity  $\lambda(x)$  such that

$$(1.13) \quad \int_0^\delta \frac{\lambda(x)}{x} dx < \infty.$$

Then, the generalized Faber polynomials satisfy

$$(1.14) \quad Q_n(z_0) = \alpha g(z_0) \Phi^n(z_0) + o(1), \quad \text{as } n \rightarrow \infty.$$

It is often sufficient for applications to consider  $\omega(x) = x^\beta$  and  $\lambda(x) = x^\gamma$ , with  $0 < \beta, \gamma \leq 1$ .

*Remark 1.2.* The above theorem corrects an erroneous statement in [16, p. 102-103] that the asymptotic relation (1.8) remains the same for the case of angles at the boundary. If  $\alpha = 1$ , then we obtain the familiar asymptotics (1.8) from (1.14).

*Remark 1.3.* It is possible to estimate the rate at which  $o(1)$  approaches zero, as  $n \rightarrow \infty$ , by imposing additional restrictions on  $\Gamma$  and  $g(z)$ .

*Remark 1.4.* Assuming that  $\overline{G}$  is convex and  $\alpha\pi$  is the largest exterior angle at the boundary  $\Gamma$ , it was shown in [12] (see Satz 3 and its proof) that, for the case  $g(z) \equiv 1$ ,

$$(1.15) \quad \max_{z \in \overline{G}} |F_n(z)| \rightarrow \alpha, \quad \text{as } n \rightarrow \infty.$$

Moreover, the proof indicates that

$$(1.16) \quad |F_n(z_0)| \rightarrow \alpha, \quad \text{as } n \rightarrow \infty.$$

However, Theorem 1.1 gives more precise information about boundary asymptotics of Faber polynomials under more general conditions.

2. VISSER-OSTROWSKI QUOTIENT IN CONFORMAL MAPPING

Let  $w_0 := \Phi(z_0)$ , where  $z_0 \in \Gamma$ . Define

$$(2.1) \quad h(w) := \frac{w - w_0}{\Psi(w) - \Psi(w_0)} \Psi'(w), \quad |w| \geq 1.$$

We remark that  $h(w)$  is the well known Visser-Ostrowski quotient, which has been studied in many papers (see [11] and [9] for surveys). However, those researches were mainly devoted to the questions of the existence and the value of nontangential limit of  $h(w)$ , as  $w \rightarrow w_0$ . We are interested in the continuity properties of  $h(w)$  near  $w_0$ .

**Theorem 2.1.** *Let  $\Gamma$  be a Jordan curve and let  $z_0 \in \Gamma$ . Assume that  $\Gamma$  has an exterior angle of opening  $\alpha\pi$  at  $z_0$ ,  $0 < \alpha \leq 2$ , formed by  $C^\omega$  arcs, where  $\omega(x)$  satisfies the Alper condition (1.10). Then  $h(w)$  is continuous at  $w_0 = e^{i\theta_0} := \Phi(z_0)$ , with*

$$(2.2) \quad h(w_0) := \lim_{\theta \rightarrow \theta_0} h(e^{i\theta}) = \alpha.$$

Furthermore, there exists  $\epsilon > 0$  such that

$$(2.3) \quad \int_{-\epsilon}^{\epsilon} \frac{|h(e^{i(\theta_0+y)}) - \alpha|}{|y|} dy < \infty.$$

*Proof.* Observe that  $\omega(x)$  satisfies a Dini condition by (1.10):

$$\int_0^\delta \frac{\omega(x)}{x} dx < \infty.$$

Thus, the assumptions of Theorem 2.1 imply that we have a Dini-smooth corner at  $z_0$ , using the terminology of [11, p. 52]. An application of Theorem 3.9 of [11] immediately gives that the functions

$$(2.4) \quad \frac{\Psi(w) - \Psi(w_0)}{(w - w_0)^\alpha} \quad \text{and} \quad \frac{\Psi'(w)}{(w - w_0)^{\alpha-1}}$$

are continuous and different from zero in  $\overline{U}$ , where  $U := \{|w - w_0| < \delta\} \cap D'$ , for some  $\delta > 0$ . Consequently,  $h(w)$  is also continuous and different from zero in  $\overline{U}$ , but this is not sufficient for our purposes. We shall follow the proof of Theorem 3.9 of [11] to extract the order of continuity of  $h(w)$  near  $w_0$  from that argument.

First, we apply the transformation  $z \rightarrow (z - z_0)^{1/\alpha}$  to  $\Psi(U)$  and straighten the angle at  $z_0$ . It is shown in the proof of Theorem 3.9 of [11] (see p. 53) that the arcs  $C^\pm$ , forming the  $\alpha\pi$  angle at  $z_0$ , are mapped onto one Dini-smooth arc containing point 0, which is a part of the boundary of a Dini-smooth domain  $H$  contained in the image of  $\Psi(U)$  under the transformation  $z \rightarrow (z - z_0)^{1/\alpha}$ . Furthermore, it is also shown that if  $\tau_\pm(x)$ ,  $0 \leq x \leq b_1$ , are the parametrizations of  $C^\pm$  such that  $\tau_\pm(0) = z_0$  and  $\tau'_\pm(x) \neq 0$ , then the corresponding arc of  $\partial H$  can be parametrized by

$$v_\pm(t) = (\tau(c_\pm t^\alpha) - z_0)^{1/\alpha}, \quad 0 \leq t \leq b_2,$$

where  $c_\pm = 1/|\tau'_\pm(0)|$ , and

$$\omega(v'_\pm, t) \leq M\omega(\tau'_\pm, c_\pm t^\alpha),$$

with  $M > 0$ . Using the assumptions (1.11)-(1.10), we obtain from the above inequality that

$$\omega(v'_\pm, t) = O(\omega(t^\alpha)), \quad \text{as } t \rightarrow 0.$$

Hence a parametrization of  $\partial H$  in the whole, denoted by  $v(t)$ ,  $t \in [0, 2\pi)$ , can be chosen to satisfy

$$(2.5) \quad \omega(v', t) = O(\omega(t^\alpha)), \quad \text{as } t \rightarrow 0.$$

Let  $\psi$  be a conformal mapping of the unit disk  $D := \{w : |w| < 1\}$  onto  $H$ , such that  $\psi(1) = 0$ . Since  $U \subset D'$ , there exists a conformal mapping  $\phi$  of  $D$  into  $D'$ , with  $\phi(1) = w_0$ , which satisfies

$$\psi(s) = (\Psi(\phi(s)) - \Psi(w_0))^{1/\alpha}, \quad s \in D.$$

Note that  $\phi(s)$  is conformal in a neighborhood of  $s = 1$  by reflection principle. With the notation  $w = \phi(s)$ , we obtain

$$\Psi(\phi(s)) - \Psi(w_0) = \psi^\alpha(s)$$

and

$$\Psi'(\phi(s)) = \frac{\alpha\psi^{\alpha-1}(s)\psi'(s)}{\phi'(s)}.$$

It follows that

$$(2.6) \quad h(\phi(s)) = \alpha \frac{\phi(s) - \phi(1)}{(s - 1)\phi'(s)} \frac{s - 1}{\psi(s) - \psi(1)} \psi'(s), \quad s \in D.$$

Clearly,

$$h_1(s) := \frac{\phi(s) - \phi(1)}{(s - 1)\phi'(s)}$$

is analytic in a neighborhood of  $s = 1$ , so that  $h_1(1) = 1$ . In view of this fact, our problem reduces to the study of

$$(2.7) \quad h_2(s) := \frac{s - 1}{\psi(s) - \psi(1)} \psi'(s),$$

which is the Visser-Ostrowski quotient for the conformal mapping  $\psi(s)$  at  $s = 1$ . Since  $\psi$  maps  $D$  onto the domain  $H$  with Dini-smooth boundary, we obtain from Theorem 3.5 of [11] that  $\psi'(s)$  has a continuous extension to  $\overline{D}$ , such that

$$\frac{\psi(s) - \psi(1)}{s - 1} \rightarrow \psi'(1) \neq 0, \quad \text{as } s \rightarrow 1, \quad s \in \overline{D}.$$

It follows immediately from the above and (2.6) that

$$h_2(s) \rightarrow 1 \quad \text{and} \quad h(\phi(s)) \rightarrow \alpha, \quad \text{as } s \rightarrow 1, \quad s \in \overline{D},$$

proving (2.2). Moreover, since  $\omega(v', t)$  satisfies the Alper condition by (1.10) and (2.5), we obtain from [1] that the modulus of continuity of  $\psi'(s)$  on  $\overline{D}$  satisfies the Dini condition

$$(2.8) \quad \int_0^\epsilon \frac{\omega(\psi', x)}{x} dx < \infty.$$

Let

$$q(s) := \frac{\psi(s) - \psi(1)}{s - 1} = \int_0^1 \psi'(1 + t(s - 1)) dt, \quad s \in \overline{D}.$$

Then

$$\begin{aligned} |q(s_1) - q(s_2)| &\leq \int_0^1 |\psi'(1+t(s_1-1)) - \psi'(1+t(s_2-1))| dt \\ &\leq \omega(\psi', |s_1 - s_2|), \quad s_1, s_2 \in \overline{D}. \end{aligned}$$

It is now easy to see from (2.7) and the above inequality that

$$|h_2(s_1) - h_2(s_2)| = O(\omega(\psi', |s_1 - s_2|)), \quad s_1, s_2 \in \overline{D}.$$

Finally, we deduce from (2.6) that

$$|h(\phi(s)) - h(\phi(1))| = O(\omega(\psi', |s - 1|)), \quad \text{as } s \rightarrow 1, \quad s \in \overline{D},$$

so that

$$|h(w) - h(w_0)| = O(\omega(\psi', |w - w_0|)), \quad \text{as } w \rightarrow w_0, \quad w \in \overline{D'},$$

because  $\phi(s)$  is conformal in a neighborhood of  $s = 1$ . Hence (2.3) follows at once from (2.8).  $\square$

### 3. PROOF OF THEOREM 1.1

Let  $w_0 := \Phi(z_0)$ , where  $z_0 \in \Gamma$ . Then one can write

$$(3.1) \quad g(\Psi(w)) \frac{w - w_0}{\Psi(w) - \Psi(w_0)} \Psi'(w) = \sum_{n=0}^{\infty} \frac{a_n(z_0)}{w^n}, \quad |w| > 1,$$

because the function on the left of (3.1) is analytic in  $D'$ . Using this series expansion, we obtain the following representation for the generalized Faber polynomials (cf. [16], we give a simple proof below).

**Lemma 3.1.** *For  $z_0 \in \Gamma$ , we have*

$$(3.2) \quad Q_n(z_0) = \Phi^n(z_0) \sum_{k=0}^n \frac{a_k(z_0)}{\Phi^k(z_0)}, \quad n = 0, 1, 2, \dots$$

*Proof.* From the definition of the generalized Faber polynomials (1.2), one can immediately see that

$$\begin{aligned} g(\Psi(w)) \frac{w - w_0}{\Psi(w) - \Psi(w_0)} \Psi'(w) &= (w - w_0) \sum_{n=0}^{\infty} \frac{Q_n(z_0)}{w^{n+1}} \\ &= Q_0(z_0) + \sum_{n=1}^{\infty} \frac{Q_n(z_0) - w_0 Q_{n-1}(z_0)}{w^n}. \end{aligned}$$

It follows by comparing the above series with (3.1) that

$$(3.3) \quad a_0(z_0) = Q_0(z_0) \text{ and } a_n(z_0) = Q_n(z_0) - w_0 Q_{n-1}(z_0), \quad n \in \mathbb{N}.$$

This gives a recurrence relation for the generalized Faber polynomials:

$$(3.4) \quad Q_0(z_0) = a_0(z_0) \text{ and } Q_n(z_0) = a_n(z_0) + \Phi(z_0) Q_{n-1}(z_0), \quad n \in \mathbb{N},$$

which readily yields (3.2).  $\square$

Observe that the sum on the right of (3.2) is just a partial sum of the series (3.1) for  $w = w_0 = \Phi(z_0)$ . Thus, if (3.1) converges at the boundary point  $w_0 = \Phi(z_0)$ , then we obtain a certain asymptotics of the generalized Faber polynomials at  $z = z_0$  from (3.2), because  $|\Phi(z_0)| = 1$ . The questions to be answered here are about the conditions to insure convergence of the series in (3.1) and about the value of its sum at  $w_0 = \Phi(z_0)$ , i.e., when this series converges to the boundary value of the function on the left of (3.1) at  $w_0 = \Phi(z_0)$ .

*Proof of Theorem 1.1.* Note that  $\Psi'(w) \in H^1(D')$  because  $\Gamma$  is rectifiable (cf. [11, p. 134]). Since the function  $h(e^{i\theta})$  of (2.1) is continuous at  $\theta_0 = \arg w_0$  by Theorem 2.1, then  $h(e^{i\theta}) \in L^1[0, 2\pi)$ . Denoting

$$(3.5) \quad f(w) := g(\Psi(w)) \frac{w - w_0}{\Psi(w) - \Psi(w_0)} \Psi'(w) = g(\Psi(w)) h(w), \quad |w| \geq 1,$$

we conclude that  $f(e^{i\theta}) \in L^1[0, 2\pi)$ , as  $g(\Psi(e^{i\theta})) \in L^\infty[0, 2\pi)$ . It follows that  $f(w) \in H^1(D')$  and that the series (3.1) is the Fourier series of the boundary values  $f(e^{i\theta})$  for  $w = e^{i\theta}$  (cf. [3, p. 38]).

Observe that we have by (1.12) and (2.4):

$$\begin{aligned} |g(\Psi(e^{i\theta})) - g(\Psi(e^{i\theta_0}))| &\leq \lambda(|\Psi(e^{i\theta}) - \Psi(e^{i\theta_0})|) \\ &\leq M_1 \lambda(|e^{i\theta} - e^{i\theta_0}|^\alpha) \leq M_2 \lambda(|\theta - \theta_0|^\alpha), \end{aligned}$$

where  $\theta$  is close to  $\theta_0$  and  $M_1, M_2 > 0$ . Furthermore, using (3.5), Theorem 2.1 and the last inequality, we conclude that  $f(e^{i\theta})$  is continuous at  $\theta = \theta_0$ , with

$$(3.6) \quad f(e^{i\theta_0}) = \alpha g(\Psi(e^{i\theta_0})) = \alpha g(z_0).$$

Applying Dini's test for  $f(e^{i\theta})$  at  $\theta = \theta_0$ , (see [4, p. 160]), we obtain by (1.13) and (2.3):

$$\begin{aligned} &\int_0^\delta \left| \frac{f(e^{i(\theta_0+y)}) + f(e^{i(\theta_0-y)})}{2} - f(e^{i\theta_0}) \right| \frac{dy}{y} \\ &\leq \int_{-\delta}^\delta \frac{|f(e^{i(\theta_0+y)}) - f(e^{i\theta_0})|}{2|y|} dy \\ &\leq M_3 \int_0^\delta \frac{\lambda(y^\alpha)}{y} dy + M_4 \int_{-\delta}^\delta \frac{|h(e^{i(\theta_0+y)}) - \alpha|}{|y|} dy < \infty, \end{aligned}$$

where  $M_3, M_4 > 0$ . Hence the Fourier series of  $f(e^{i\theta})$  in (3.1) converges to  $f(e^{i\theta_0})$  at  $\theta = \theta_0$ , i.e.,

$$(3.7) \quad \lim_{n \rightarrow \infty} \sum_{k=0}^n \frac{a_k(z_0)}{w_0^k} = \lim_{n \rightarrow \infty} \sum_{k=0}^n \frac{a_k(z_0)}{\Phi^k(z_0)} = \alpha g(z_0).$$

Thus, (1.14) follows from (3.2) and (3.7) because  $|\Phi(z_0)| = 1$ . □

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