GENERALIZED CONVEX FUNCTIONS AND BEST L_p APPROXIMATION

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(Communicated by Andrew M. Bruckner)

ABSTRACT. Some properties of generalized convex functions significant to approximation theory are obtained. The existence of a best L_p approximation $(1 \le p \le \infty)$ from subsets of these functions is established under certain conditions. Special cases of these functions include n-convex functions which are much investigated in the literature.

1. Introduction

Let I=(a,b) with $-\infty < a < b < \infty$, and C=C(I) be the space of real continuous functions on I. A family G of functions in C is said to be an n-parameter family $(n \ge 2)$ if for any n points x_i , $1 \le i \le n$, in I with $a=x_0 < x_1 < x_2 < \cdots < x_n < x_{n+1} = b$ and real numbers y_1, y_2, \ldots, y_n , there exists a unique function $g \in G$ satisfying $g(x_i) = y_i$, $1 \le i \le n$. A real function k on I is defined to be G-convex (or generalized convex with respect to G) if whenever $x_1 < x_2 < \cdots < x_n$ are points in I and $g \in G$ satisfies $g(x_i) = k(x_i)$, $1 \le i \le n$, then

$$(1.1) (-1)^{n+i-1}(k(s)-g(s)) \ge 0, s \in (x_{i-1}, x_i), \ 2 \le i \le n.$$

The unique g satisfying $g(x_i) = k(x_i)$ is said to interpolate k at $\{x_i\}$. We let K denote the set of all G-convex functions on I. Clearly, $G \subset K$. In general, K is not convex. If G is convex so is K, as may be easily verified. It is easy to show that $K \subset C$; a simple proof appears in [12], although this result was first proved in [14]. For completeness we present the following equivalent definition of G-convexity which is a part of the folklore: a real function k is G-convex if (1.1) holds for some fixed i where $1 \le i \le n$, and points $\{x_i\}$ and g are as in the above definition. For example, [9] (resp. [4]) requires that (1.1) hold with i = n (resp. all $1 \le i \le n + 1$). See [13] for a discussion of this point. We say that G is a linear family or a Tchebycheff system, if G is an n-parameter family which is a vector space of dimension n. The results of

Received by the editors September 18, 1990; presented by the second author at the 869 meeting of the AMS, Fargo, North Dakota, October 25, 1991.

¹⁹⁸⁰ Mathematics Subject Classification (1985 Revision). Primary 26A51, 41A30; Secondary 46E30.

The research of the second author was supported by the National Science Foundation under grant RII8610675.

this article, in their full generality, are applicable to G-convex functions even when G is a nonlinear family.

Various concepts of generalized convexity have evolved over several decades in the literature. See, e.g., [16] and other references given there; for generalized convexity induced by ECT-systems see [8, 10]. The above definitions for n=2appeared in [1,2] and, for an arbitrary n, in [4, 9, 21] following the lead of [15]. It was further extended in [12, 13]. If G is the set of algebraic polynomials of degree at most n-1, then functions in K are called n-convex. See, e.g., [3] and references in [16]. Note that 1-convex (resp. 2-convex) functions are monotone nondecreasing (resp. convex) on I. Much effort has been expended in the past to investigate the properties of generalized convex functions and, in particular, n-convex functions, but not mainly from the point of view of approximation theory. However, recently there has been considerable interest in approximation by n-convex functions [6, 20, 23-25] for $n \ge 2$, by generalized convex functions induced by ECT-systems [26], and the special case of monotone functions [5, 18, 19]. In this article, we investigate several properties of generalized convex function significant in approximation theory (§2). We then apply them to establish the existence of a best L_p -approximation $(1 \le p \le \infty)$ by nonconvex subsets of such functions and derive properties of L_p -convergent sequences (§3).

The above definition of generalized convexity allows for many classes of functions other than the n-convex functions. Examples for n=2 appear in [1]. For an arbitrary n, let $\alpha=(\alpha_0,\alpha_1,\ldots,\alpha_{n-1})\in R^n$ denote a parameter, and G consist of functions of the form (i) $g_{\alpha}(s)=\sum_{i=0}^{n-1}\alpha_is^i+As^n+Bs^{n+1}$, where A and B are fixed constants, or (ii) $g_{\alpha}(s)=\sum_{i=0}^{n-1}\alpha_i\exp(-(\rho_i-s)^2)$, where ρ_i , $0\leq i\leq n-1$, are fixed distinct numbers. Then, in each case, G is a linear family, (In (ii) above, the unique interpolation property follows as in [8, Example 5, p. 11].) Other examples are given in §2. Now let G be a linear family spanned by a basis e_i , $0\leq i\leq n-1$, in C, and τ be a strictly increasing continuous function whose domain and range are the entire real line R. Define $f_{\alpha}(s)=\tau(\sum_{i=0}^{n-1}\alpha_ie_i)$, $\alpha\in R^n$, and $F=\{f_{\alpha}:\alpha\in R^n\}$. It is easy to see that F is a nonlinear family when τ is not the identity function; for example, if $\tau(t)=t^3$ or $\tau(t)=\log(1+t)$, $t\geq 0$, and $\tau(t)=-\tau(-t)$, t<0.

2. Properties of G-convex functions

A point $x \in I$ is said to be a local maximum (resp. minimum) of $f \in C$ if there exists an $\varepsilon > 0$ such that $f(x) \ge f(s)$ (resp. $f(x) \le f(s)$) for all $s \in (x - \varepsilon, x + \varepsilon) \cap I$. A local maximum or minimum is referred to as a local extremum. A function f in C is said to have r alternating local extrema if there exist points $x_1 < x_2 < \cdots < x_r$ in I such that exactly one of the following condition holds. (i) Points x_i with odd (resp. even) indices are local maxima (resp. minima) with $(-1)^i f(x_{i-1}) > (-1)^i f(x_i)$ for $2 \le i \le r$. (ii) Points x_i with odd (resp. even) indices are local minima (resp. maxima) with $(-1)^i f(x_{i-1}) < (-1)^i f(x_i)$ for $2 \le i \le r$. A constant function has zero alternating local extrema. If f has exactly f alternating local extrema, then the set f of all local extrema of f has f connected components in f where each component is a closed interval on which the function is constant. However, if f has f connected components, it does not necessarily follow that f has

r alternating local extrema. For example, consider a nondecreasing function which is constant on disjoint subintervals of I.

Theorem 2.1. In the following (a) implies (b) which implies (c).

- (a) Every g in G has at most n-2 alternating local extrema in I.
- (b) Every k in K has at most n-1 alternating local extrema in I. If k in K has exactly n-1 alternating local extrema $x_1 < x_2 < \cdots < x_{n-1}$ in I, then x_{n-1} is a local minimum, k is nondecreasing on (x_{n-1}, b) , and $(-1)^{n-1}k$ is nondecreasing on (a, x_1) .
- (c) The total variation V(k, J) of every $k \in K$ is bounded on a compact interval $J \subset I$ with $V(k, J) \leq 2n \max\{|k(s)| : s \in J\}$.

Proof. We show (a) implies (b). Suppose (a) holds and $k \in K$. Assume that k has r alternating local extrema x_i in I with $x_1 < x_2 < \cdots < x_r$, where $r \geq n$. We reach a contradiction as shown below. Assume first that x_r is a local maximum. Set $z_{n-i} = x_{r-i+1}$, $1 \le i \le n-1$. Now choose $z_{n-1} < z_n < b$ with $k(z_n) \le k(z_{n-1})$. Since $z_{n-1} = x_r$ is a local maximum, this is possible. Now let $g \in G$ so that $g(z_i) = k(z_i)$, $1 \le i \le n$, and apply (1.1) with $\{z_i: 1 \le i \le n\}$. We conclude that $g(s) \ge k(s)$ for $s \in (z_{n-1}, z_n)$ and $g(s) \le k(s)$ for $s \in (z_{n-2}, z_{n-1})$. Since $g(z_n) = k(z_n)$ and $g(z_{n-1}) =$ $k(z_{n-1})$, there exists a local maximum t_{n-1} of g with $t_{n-1} \in [z_{n-1}, z_n)$. (z_{n-1}, z_n) . Similarly, there exists a local minimum t_{n-2} of g with $t_{n-2} \in$ $[z_{n-2}, z_{n-1})$. Now $g(t_{n-2}) \le k(z_{n-2}) < k(z_{n-1}) \le g(t_{n-1})$. Applying this procedure to each interval $[z_{i-1}, z_i], i \ge 2$, we obtain $t_{i-1} \in [z_{i-1}, z_i)$ with $g(t_{n-1}) > g(t_{n-2}) < g(t_{n-3}) \cdots$. Hence, t_i , $1 \le i \le n-1$, are n-1 alternating local extrema of g which is a contradiction. Now suppose that x_r is a local minimum. Then set $z_{n-i} = x_{r-i}$, $1 \le i \le n-1$. Now $z_{n-1} = x_{r-1}$ is a local maximum. Hence a contradiction is reached by arguments as above. Now let x_i , $1 \le i \le n-1$, be as in the second statement of (b), where x_{n-1} is a local maximum. Then exactly as above, by letting $z_i = x_i$, $1 \le i \le n-1$, we reach a contradiction. Hence, x_{n-1} is a local minimum. The monotonicity of kon (x_{n-1}, b) and (a, x_1) follows because without it there would be additional extrema of k. To show that (b) implies (c), we observe that if k has ralternating local extrema x_i in I, then k is monotone on each subinterval $(x_{i-1}, x_i), 1 \le i \le r+1$, where $x_0 = a$ and $x_{r+1} = b$. Since $r \le n-1$, the result follows. The proof is complete.

The next result will be established using Tornheim's convergence theorem [21, Theorem 5].

Proposition 2.2. Let $K' \subset K$ be a nonempty set of functions which are pointwise bounded on a dense subset I' of I. Let $x_1 < x_2 < \cdots < x_n$ be n points in I'. Then

$$G' = \{ g \in G : g(x_i) = k(x_i), \ 1 \le i \le n, \ k \in K' \},\$$

is pointwise bounded on I.

Proof. If for some t in I, $\{g(t): g \in G'\}$ is not bounded above, then there exists a sequence $g_j \in G'$ such that $g_j(t) \to \infty$. If $k_j \in K'$ with $g_j(x_i) = k_j(x_i)$, $1 \le i \le n$, then, by hypothesis, the set of real numbers $A_i = \{k_j(x_i): j \ge 1\}$ is bounded for each i. Hence, $t \ne x_i$ for any i. Since A_i is bounded, there exists a subsequence of g_j which converges at each x_i . Assume, for

convenience, that $g_j(x_i) \to y_i$ for each i where the y_i are real. Let g in K satisfy $g(x_i) = y_i$. Then by [21, Theorem 5], $g_j \to g$ pointwise on I. Hence, $g(t) = \infty$, which is a contradiction since g is real valued. Thus $\{g(t): g \in G'\}$ is bounded above. Similarly, it is bounded below. The proof is complete.

A subset F of C is called equi-Lipschitzian on a compact interval $J \subset I$ if $|f(s) - f(t)| \le c|s - t|$ holds for all f in F, all s, t in J, and some c > 0 possibly depending upon J.

Theorem 2.3. Let $J \subset I$ be a compact interval and I' be a dense subset of I. The following conditions are equivalent.

- (a) Every subset G' of G, which is pointwise bounded on I', is equi-Lipschitzian on J.
- (b) Every subset K' of K, which is pointwise bounded on I', is equi-Lipschitzian on J.

Proof. Since $G \subset K$, (b) implies (a). To show (a) implies (b), let K' be as in (b), J = [c, d], and c < s < t < d. Choose points x_i in I' with $x_1 < x_2 < \cdots < x_{n-1} < s < x_n < t$. Define G' as in Proposition 2.2. Then, by that proposition, G' is pointwise bounded on I and, hence, equi-Lipschitzian on J. Suppose $k \in K'$, and $g \in G'$ with $g(x_i) = k(x_i)$, $1 \le i \le n$. Then we must have $k(t) \ge g(t)$ and $k(s) \le g(s)$. Hence $k(s) - k(t) \le g(s) - g(t) \le c|s-t|$ for some c > 0 by the equi-Lipschitzian condition on G'. Again, choosing points x_i in I' with $x_1 < x_2 < \cdots < x_{n-2} < s < x_{n-1} < t < x_n$, we may show as above that $k(t) - k(s) \le c|s-t|$. The proof is complete.

The proofs of the following theorems are identical to [17, Theorems 10.8 and 10.9].

Theorem 2.4. Suppose that Theorems 2.3(a) holds for some compact interval $J \subset I$. Let (k_j) be a sequence in K which converges pointwise on a dense subset of I. The limit then exists for every s in I and the function k given by $k(s) = \liminf k_j(s)$ as $j \to \infty$ and s in I is in K. Moreover, (k_j) converges to k uniformly on J.

Theorem 2.5. Suppose that Theorem 2.3(a) holds for some compact interval $J \subset I$. Let (k_j) be a sequence in K which is pointwise bounded on I or a dense subset of I. Then there exists a subsequence of (k_j) which converges pointwise on I to some function in K, and it does so uniformly on J.

The following are some examples to which Theorem 2.1 (a) and Theorem 2.3 (a) apply. Let I=(0,1) and $\alpha\in R^n$ be a parameter as in §1. Let G, in the respective examples, consist of functions of the form (i) $g_{\alpha}(s)=\alpha_0+\sum_{i=1}^{n-1}\alpha_is^i$; (ii) $g_{\alpha}(s)=\alpha_0+\sum_{i=1}^{n-1}\alpha_i(\rho_i+s)^{-1}$, where ρ_i are fixed distinct numbers in I; and (iii) $g_{\alpha}(s)=\alpha_0+\sum_{i=1}^{n-1}\alpha_i\exp(\rho_is)$, where ρ_i are as in (ii). The fact that in each case G has the unique interpolating property and Theorem 2.1 (a) applies may be shown by arguments as in [8, Examples, p. 9]. It is easy to see that Theorem 2.3 (a) holds for the cited linear families G of differentiable functions and every compact $J \subset I$. Indeed, in this case, G' is uniformly bounded on any fixed n points in J, and n interpolating values uniquely determine the parameter α of a $g \in G'$. It follows that these parameters are bounded for $g \in G'$, and, hence, the derivative of $g \in G'$ is

also bounded on J. Consequently, Theorem 2.3(a) holds. As was observed in §1, K in example (i) above is the well-known n-convex functions. The equi-Lipschitzian property of Theorem 2.3 (b) then applies to K on every compact $J \subset I$. For convex functions this result and the conclusions of Theorems 2.4 and 2.5 are established in [17], and for n-convex functions in [25]. Several results on the number and properties of components of the set of local extrema of n-convex functions are mentioned in [15, §1.4]. Now let τ be a strictly increasing nonidentity function as in §1 but also differentiable with its derivative $\tau' > 0$ on R. Then $F = \{\tau(g_\alpha) : \alpha \in R^n\}$, where g_α , is as in any of the above examples, is an n-parameter nonlinear family which satisfies Theorems 2.1 (a) and 2.3 (a).

3. Applications to L_p -approximation

Let H be the set of all extended real functions on I. Let L_p , $1 \le p < \infty$, denote the Banach space of all (equivalence classes of) Lebesgue measurable functions f in H with $\int |f|^p < \infty$ and the norm $||f||_p = (\int |f|^p)^{1/p}$. Similarly, let L_∞ be the Banach space of (equivalence classes of) essentially bounded functions f with norm $||f||_\infty = \text{ess sup}\,|f|$. Let $P \subset K$ be any nonempty set. Given $f \in L_p$, define $\Delta = \inf\{||f - k||_p : k \in P \cap L_p\}$. The approximation problem is to find $h \in P \cap L_p$ so that $\Delta = ||f - h||_p$; such an h is called a best approximation to f from K in the given norm.

Givn $P \subset H$, we define \overline{P} to be the set of all functions f in H such that $f_j \to f$ pointwise on I for some sequence (f_j) in P. Such sets are useful in approximation [24]. Later we shall apply the results of [24]. The definition of \overline{P} given here is weaker than the one in [24]; however, it will be seen that all the results of [24] hold with this change. Note that if $P \subset K$, then \overline{P} is not necessarily a subset of K since the functions in \overline{P} may take the values $\pm \infty$.

Proposition 3.1. Let (k_j) be a sequence in K which converges pointwise to an extended real valued function k on I. Suppose $x_1 < x_2 < \cdots < x_{n+1}$ are points in I at which k is finite. Then k is finite on $[x_1, x_{n+1}]$.

Proof. Let $g_j \in G$ interpolate k_j at x_i , $2 \le i \le n+1$, and let $h_j \in G$ interpolate k_j at x_i , $1 \le i \le n$. Let g and h, respectively, interpolate k at x_i , $2 \le i \le n+1$, and x_i , $1 \le i \le n$. Then by [21, Theorem 5], $g_j \to g$ and $h_j \to h$ pointwise on I. Since (1.1) holds for k_j and g_j , in the limit it must hold for k and g. We therefore obtain $(-1)^{n+i}(k(s)-g(s)) \ge 0$ for $s \in (x_{i-1},x_i)$, $3 \le i \le n+1$, and $(-1)^n(k(s))-g(s) \ge 0$ for $s \in (a,x_2)$. Similarly, considering k_j and k_j we obtain $(-1)^{n+i-1}(k(s)-h(s)) \ge 0$ for $s \in (x_{i-1},x_i)$, $1 \le i \le n$, and $k(s)-h(s) \ge 0$ for $s \in (x_n,b)$. We therefore conclude that $(-1)^{n+i}g(s) \le (-1)^{n+i}k(s) \le (-1)^{n+i}h(s)$ for $s \in (x_{i-1},x_i)$, $3 \le i \le n$. Also, $g(s) \ge k(s) \ge h(s)$ for $s \in (x_n,x_{n+1})$, and $(-1)^ng(s) \le (-1)^nk(s) \le (-1)^nh(s)$ for $s \in (x_1,x_2)$. It follows that k is finite on $[x_1,x_{n+1}]$. The proof is complete.

Proposition 3.2. $K \cap L_p = \overline{K} \cap L_p$ for $1 \le p \le \infty$.

Proof. Let $k \in \overline{K} \cap L_p$. Then there exists a sequence (k_j) in K such that $k_j \to k$ pointwise on I. Let $c, d \in I$ with c < d. Since $k \in L_p$, the set $\{s \in I : |k(s)| = \infty\}$ has Lebesque measure zero. Hence, we can find points $x_1 < x_2 < \cdots < x_{n+1}$ in I with $x_1 < c < d < x_{n+1}$ such that $|k(x_i)| < \infty$,

 $1 \le i \le n+1$. By Proposition 3.1, k is finite on [c,d] and hence on I since c and d are arbitrary. Since each k_j is in K so is k. Hence, $k \in K \cap L_p$ and the proof is complete.

Theorem 3.3. Suppose that Theorem 2.1(a) holds. Let $1 \le p \le \infty$ and $P \subset K$ be nonempty satisfying $P \cap L_p = \overline{P} \cap L_p$.

- (i) Let (k_j) be a sequence of functions in $P \cap L_p$ such that $||k_j||_p \leq D$ for all j and some D > 0. Then there exists a subsequence (h_j) of (k_j) and h in $P \cap L_p$ such that $h_j \to h$ pointwise on I and $||h||_p \leq D$. In particular, the above holds for P = K.
- (ii) $P \cap L_p$ is closed in L_p , and a best approximation to f in L_p from $P \cap L_p$ exists if $P \cap L_p$ is nonempty. In particular, the above holds for P = K.

Proof. Since (a) of Theorem 2.1 implies (b), if $k \in K$, then k has $r \le n-1$ alternating local extrema $x_1 < x_2 < \cdots < x_r$ in I. Consequently, k is monotone (nondecreasing or nonincreasing) on each interval (x_{i-1}, x_i) , $1 \le i \le r+1$, where $x_0 = a$ and $x_{r+1} = b$. Hence, conditions (1) and (2) of [24, p. 224] hold. The required conclusions (i) and (ii) for $P \cap L_p$ then follow from [24, Theorems 2.1 and 2.2]. Since, by Proposition 3.1, $P \cap L_p = \overline{P} \cap L_p$ holds when P = K, the required conclusions also hold for $K \cap L_p$. The proof is complete.

The special case of the above theorem as applied to n-convex functions appears in [24, p. 235]. The existence of a best L_1 -(resp. L_{∞}) approximation by n-convex functions is also established in [6] (resp. [25]) by different methods. For the problem of L_{∞} -approximation by convex functions, [23] characterizes the maximal best approximation to f as the shift of the greatest convex minorant of f, and develops efficient algorithm for its computation. The existence of a best L_p -approximation, $1 \le p \le \infty$, to f in C([a, b]) from G and certain uniqueness results are established in [21, 22].

Lemma 3.4. Suppose that Theorem 2.1(a) holds. Let $1 \le p \le \infty$ and $K' \subset K \cap L_p$ be nonempty such that $||k||_p \le D$ for all $k \in K'$ and some D > 0. Then K' is pointwise bounded on I.

Proof. Suppose K' is not bounded above for some $t \in I$. Then there exists a subsequence (k_j) in K' such that $k_j(t) \to \infty$. By Theorem 3.3 (i) with P = K, there exists a subsequence (h_j) of (k_j) and $h \in K \cap L_p$ such that $h_j \to h$ pointwise on I. It follows that $h(t) = \infty$, which is a contradiction since h is real valued. Similarly, K' is bounded below. The proof is complete.

Theorem 3.5. Let $J \subset I$ be a compact interval. Suppose that Theorem 2.1(a) and Theorem 2.3(a) hold. Let $1 \leq p \leq \infty$, $k \in C$, and (k_j) be a sequence in $K \cap L_p$. If $||k_j - k||_p \to 0$, then $k_j \to k$ uniformly on J.

Proof. There exists D>0 such that $\|k_j\|_p \leq D$ for all j. Hence, by Lemma 3.4, $K'=\{k_j\}$ is pointwise bounded on I. Theorem 2.3(b) then applies to give $|k_j(s)-k_j(t)|\leq c|s-t|$ for all j, for all $s,t\in J$, and some c>0. We first show that $k_j\to k$ on J. Suppose $s\in J$, $\varepsilon>0$, and $\theta=\varepsilon/(2c)$. By the continuity of k at s, there exists $0<\delta<\theta$ such that if $J'=J\cap(s-\delta,s+\delta)$, then $|k(s)-k(t)|\leq \varepsilon/2$ for all $t\in J'$. Hence, $|k_j(t)-k(t)|\geq |k_j(s)-k(s)|-\varepsilon$ for all $t\in J'$, for all $t\in J'$, then indicator function of t, then

 $||k_j - k||_p (k_j - k)\chi||_p \ge \max\{|k_j(s) - k(s)| - \varepsilon, 0\}\mu(J')^{1/p}$. Letting $j \to \infty$, we conclude that $k_j(s) \to k(s)$ on J. It follows that $|k(s) - k(t)| \le c|s - t|$ for all $s, t \in J$. The result now follows by Theorem 2.4. The proof is complete.

The special case of the above theorem as applied to n-convex functions is established by different methods in [11].

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