

PROBABILISTIC ASPECTS OF AL-SALAM–CHIHARA POLYNOMIALS

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ABSTRACT. We solve the connection coefficient problem between the Al-Salam–Chihara polynomials and the q -Hermite polynomials, and we use the resulting identity to answer a question from probability theory. We also derive the distribution of some Al-Salam–Chihara polynomials, and compute determinants of related Hankel matrices.

1. INTRODUCTION AND MAIN IDENTITY

The aim of the paper is to point out the connection of Al-Salam–Chihara polynomials with a regression problem in probability, and to use it to give a new simple derivation of their density. Our approach exploits identity (1.8) below, which connects the Al-Salam–Chihara polynomials to the continuous q -Hermite polynomials. This connection is more direct and elementary but less general than the technique of attachment exploited in [BI96, Section 2]. We also compute determinants of Hankel matrices with entries that are linear combinations of the q -Hermite polynomials.

The Al-Salam–Chihara polynomials were introduced in [ASC76], and their weight function was found in [AI84]. We are interested in the renormalized Al-Salam–Chihara polynomials $\{p_n(x|q, a, b)\}$, which are defined by the following three-term recurrence relation:

$$(1.1) \quad p_{n+1}(x) = (x - aq^n)p_n(x) - (1 - bq^{n-1})[n]_q p_{n-1}(x) \quad (n \geq 0),$$

with the usual initial conditions $p_{-1} = 0$, $p_0 = 1$. Here, we use the standard notation

$$\begin{aligned} [n]_q &= 1 + q + \cdots + q^{n-1}, \\ [n]_q! &= [1]_q [2]_q \cdots [n]_q, \\ \begin{bmatrix} n \\ k \end{bmatrix}_q &= \frac{[n]_q!}{[n-k]_q! [k]_q!}, \end{aligned}$$

with the usual conventions $[0]_q = 0$, $[0]_q! = 1$.

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For $|q| < 1$, their generating function

$$f(t, x|q, a, b) = \sum_{n=0}^{\infty} \frac{t^n}{[n]_q!} p_n(x|q, a, b)$$

is given by

$$(1.2) \quad f(t, x|q, a, b) = \prod_{k=0}^{\infty} \frac{1 - (1 - q)atq^k + (1 - q)bt^2q^{2k}}{1 - (1 - q)xtq^k + (1 - q)t^2q^{2k}};$$

compare [AI84, (3.6) and (3.10)].

The corresponding (renormalized) continuous q -Hermite polynomials $H_n(x|q) = p_n(x|q, 0, 0)$ satisfy the three-term recurrence relation

$$(1.3) \quad H_{n+1}(x) = xH_n(x) - [n]_q H_{n-1}(x).$$

For $|q| < 1$ their generating function $\phi(t, x|q) = \sum_{n=0}^{\infty} \frac{t^n}{[n]_q!} H_n(x|q)$ is

$$(1.4) \quad \phi(t, x|q) = \prod_{k=0}^{\infty} (1 - (1 - q)xtq^k + (1 - q)t^2q^{2k})^{-1}.$$

Of course, these are well-known special cases of (1.1) and (1.2); see [ISV87, (2.11) and (2.12)], which we state here for further reference.

We will also use polynomials $\{B_n(x|q)\}$ defined by the three-term recurrence relation

$$(1.5) \quad B_{n+1}(x) = -q^n x B_n(x) + q^{n-1} [n]_q B_{n-1}(x) \quad (n \geq 0)$$

with the usual initial conditions $B_{-1} = 0, B_0 = 1$. These polynomials are related to the q -Hermite polynomials by

$$(1.6) \quad B_n(x|q) = \begin{cases} i^n q^{n(n-2)/2} H_n(i\sqrt{q}x|\frac{1}{q}) & \text{if } q > 0, \\ (-1)^{n(n-1)/2} |q|^{n(n-2)/2} H_n(-\sqrt{|q|}x|\frac{1}{q}) & \text{if } q < 0 \end{cases}$$

and have been studied in [Ask89], [IM94]. Their generating function $\psi(t, x|q) = \sum_{n=0}^{\infty} \frac{t^n}{[n]_q!} B_n(x|q)$ is given by

$$(1.7) \quad \psi(t, x|q) = \prod_{k=0}^{\infty} (1 - (1 - q)xtq^k + (1 - q)t^2q^{2k}).$$

We now point out the mutual relationship between the Al-Salam–Chihara polynomials $\{p_n(x|q, a, b)\}$ and the polynomials $\{H_n(x|q)\}_{n \geq 0}$ and $\{B_n(x|q)\}_{n \geq 0}$.

Theorem 1. *For all $a, c, q \in \mathbb{C}, c \neq 0$, and $n \geq 1$ we have*

$$(1.8) \quad p_n(x|q, a, b) = \sum_{k=1}^n \begin{bmatrix} n \\ k \end{bmatrix}_q c^{n-k} B_{n-k}(\frac{a}{c}|q) \left(H_k(x|q) - c^k H_k(\frac{a}{c}|q) \right),$$

where $b = c^2$.

Proof. From the recurrence relations (1.1), (1.3), and (1.5), it is clear that $p_n(x|q, a, b)$, $H_n(x|q)$, and $B_n(x|q)$ are given by polynomial expressions in the variable q . The q -binomial coefficient $\begin{bmatrix} n \\ k \end{bmatrix}_q$ is also a polynomial in q . Therefore, we see that identity (1.8) is equivalent to a polynomial identity in variable $q \in \mathbb{C}$.

Hence it is enough to prove that (1.8) holds true for all $|q| < 1$. When $|q| < 1$, inspecting (1.2), (1.4), and (1.7) we notice that for $b = c^2$ we have

$$(1.9) \quad f(t, x|q, a, b) = \psi(ct, a/c|q)\phi(t, x|q)$$

and

$$(1.10) \quad \psi(t, x|q)\phi(t, x|q) = 1.$$

Therefore,

$$f(t, x|q, a, b) = 1 + \psi(ct, a/c|q) (\phi(t, x|q) - \phi(ct, a/c|q)),$$

which is valid for all small enough $|t|$. Comparing the coefficients at t^n for $n \geq 1$ and taking into account that $H_k(x|q) - c^k H_k(\frac{a}{c}|q) = 0$ for $k = 0$, we get (1.8). \square

Remark 1. One could split (1.8) into the following two separate identities, which are implied by (1.9) and (1.10) respectively:

$$(1.11) \quad \forall n \geq 0 : p_n(x|q, a, c^2) = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix}_q c^{n-k} B_{n-k}(\frac{a}{c}|q) H_k(x|q),$$

$$(1.12) \quad \forall n \geq 1 : \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix}_q B_{n-k}(x|q) H_k(x|q) = 0.$$

Formula (1.11) is a renormalized inverse of formula [IRS99, (4.7)], which expresses the q -Hermite polynomials as linear combinations of Al-Salam-Chihara polynomials. Formula (1.12) resembles [Car56, (2.28)], which considers q -Hermite polynomials of the form $h_n(x|q) = \sum_{k=0}^n \begin{bmatrix} n \\ k \end{bmatrix}_q x^k$, paired with $b_n(x|q) = h_n(x|1/q)$.

2. PROBABILISTIC ASPECTS

Quadratic regression questions in the paper [Bry01] lead to the problem of determining all probability distributions μ which are defined indirectly by the relationships

$$(2.1) \quad \int H_n(x|q)\mu(dx) = \rho^n H_n(y|q), \quad n = 1, 2, \dots,$$

where $y, \rho, q \in \mathbb{R}$ are fixed parameters, and $\{H_n\}_{n \geq 0}$ is the family of the q -Hermite polynomials.

Our next result shows that this problem can be solved using the Al-Salam-Chihara polynomials.

Theorem 2. *If $\mu = \mu(dx|\rho, y)$ satisfies (2.1), then its orthogonal polynomials are Al-Salam-Chihara polynomials $\{p_n(x|q, a, b)\}$ with $a = \rho y, b = \rho^2$.*

Proof. Recall that $H_n(x|q) = p_n(x|q, 0, 0)$. Thus if $\rho = 0$, then (2.1) implies that $\int p_n(x|q, a, b)\mu(dx) = 0$ for all $n = 1, 2, \dots$. Suppose now that $\rho \neq 0$. Combining (1.8) with (2.1) we get

$$\int p_n(x|q, a, b)\mu(dx) = \sum_{k=1}^n \begin{bmatrix} n \\ k \end{bmatrix}_q \rho^{n-k} B_{n-k}(y|q) \int (H_k(x|q) - \rho^k H_k(y|q)) \mu(dx) = 0$$

for all $n = 1, 2, \dots$. Since $\{p_n\}$ satisfy a three-step recurrence, this implies $\int p_k(x)p_n(x)\mu(dx) = 0$ for all $0 \leq k < n$. \square

Next we answer an unresolved case from [Bry01].

Corollary 1. *Fix $q > 1, y \in \mathbb{R}$. Let $\mathcal{R}_q = \{1, 1/q, 1/q^2, \dots, 1/q^n, \dots, 0\}$.*

- (i) *If $\rho^2 \notin \mathcal{R}_q$, then (2.1) has no probabilistic solution μ .*
- (ii) *If $\rho^2 \in \mathcal{R}_q$ is non-zero, then the probabilistic solution of (2.1) exists, and is a discrete measure supported on $1 + \log_q 1/\rho^2$ points.*

Proof. Suppose that μ is positive and solves (2.1). Therefore its monic orthogonal polynomials satisfy the three-term recurrence relation

$$(2.2) \quad p_{n+1}(x) = (x - \rho y q^n)p_n(x) - (1 - \rho^2 q^{n-1})p_{n-1}(x).$$

For a positive non-degenerate measure $\mu_y(dx)$, and $n \geq 1$ we have

$$(2.3) \quad \int p_n^2(x)\mu_y(dx) = (1 - \rho^2 q^{n-1}) \int p_{n-1}^2(x)\mu_y(dx).$$

If $\rho^2 \notin \mathcal{R}_q$, then $(1 - \rho^2 q^{n-1}) \neq 0$ for all n . Since $\int p_0^2(x)\mu_y(dx) > 0$, this shows that $\int p_n^2(x)\mu_y(dx) > 0$ for all $n \geq 0$. But then the coefficients $1 - \rho^2 q^{n-1}$ must be non-negative for all n , which is false. This proves (i).

To conclude the proof it remains to notice that if $\rho^2 = 1/q^m$, then from (2.2) and (the proof of) Favard’s theorem, see [Fre71, Theorem II.1.5], it follows that the solution of (2.1) is given by a measure supported on the roots of the polynomial p_{m+1} . Indeed, (2.2) implies that the polynomial p_{m+2} is divisible by p_{m+1} . Therefore, p_{m+1} is the common factor of all polynomials $\{p_k : k \geq m + 1\}$. It is also known, see [Fre71, Theorem I.2.2], that p_{m+1} has exactly $m + 1$ distinct real roots x_1, \dots, x_{m+1} . Thus, any measure $\mu(dx) = \sum \lambda_j \delta_{x_j}$ supported on the roots of the polynomial p_{m+1} satisfies $\int p_{m+1+k}\mu(dx) = 0$. Solving the remaining $m + 1$ equations $\int p_0\mu(dx) = 1$, and $\int p_k(x)\mu(dx) = 0, k = 1, 2, \dots, m$ for λ_j , we get a measure that solves (2.1). This measure is non-negative since the coefficients at the third term in the recurrence (2.2) are non-negative for $n = 1, \dots, m$; see [Fre71, page 58]. \square

From Theorem 2 it follows that if the solution of (2.1) exists, then it is given by the distribution of the Al-Salam–Chihara polynomials. The distribution of the Al-Salam–Chihara polynomials is derived in [AI84, Chapter 3]. However, in [Bry01, Proposition 8.1] we found the solution of (2.1) that relies solely on the facts about the q -Hermite polynomials. We repeat the latter argument here, and then use it to re-derive the distribution of the corresponding Al-Salam–Chihara polynomials.

Corollary 2. *If $\rho, q, y \in \mathbb{R}$ are such that $|\rho| < 1, |q| < 1$, and $y^2(1 - q) < 4$, then the probabilistic solution of (2.1) is given by the absolutely continuous measure μ with the density on $x^2 < 4/(1 - q)$ given by*

$$\frac{\sqrt{1 - q}}{2\pi\sqrt{4 - (1 - q)x^2}} \prod_{k=0}^{\infty} \frac{(1 - \rho^2 q^k)(1 - q^{k+1})((1 + q^k)^2 - (1 - q)x^2 q^k)}{(1 - \rho^2 q^{2k})^2 - (1 - q)\rho q^k(1 + \rho^2 q^{2k})xy + (1 - q)\rho^2(x^2 + y^2)q^{2k}}.$$

Proof. The distribution of the q -Hermite polynomials $H_n(x|q)$ is supported on $x^2 < 4/(1 - q)$ with the density

$$f_H(x) = \frac{\sqrt{1 - q}}{2\pi\sqrt{4 - (1 - q)x^2}} \prod_{k=0}^{\infty} ((1 + q^k)^2 - (1 - q)x^2 q^k) \prod_{k=0}^{\infty} (1 - q^{k+1});$$

see [ISV87, (2.15)]. Moreover, since $|H_n(x)| \leq C_q(n+1)(1-q)^{-n/2}$ when $x^2, y^2 \leq 4/(1-q)$, the series

$$(2.4) \quad g_H(x, y, \rho) = \sum_{n=0}^{\infty} \frac{\rho^n}{[n]_q!} H_n(x)H_n(y)$$

converges uniformly and defines the Poisson-Mehler kernel, which is given by (2.5)

$$g_H(x, y, \rho) = \prod_{k=0}^{\infty} \frac{(1 - \rho^2 q^k)}{(1 - \rho^2 q^{2k})^2 - (1 - q)\rho q^k(1 + \rho^2 q^{2k})xy + (1 - q)\rho^2(x^2 + y^2)q^{2k}};$$

this is the renormalized version of the well-known result; see e.g. [IS88, (2.2)], which considers the q -Hermite polynomials given by $\{(1 - q)^{n/2} H_n(2x/\sqrt{1 - q}|q)\}$ instead of our $\{H_n(x|q)\}$.

Since (1.3) implies that $\int H_n^2(x|q)f_H(x)dx = [n]_q!$, it follows from (2.4) that

$$\int_{-2/\sqrt{1-q}}^{2/\sqrt{1-q}} H_n(x|q)g_H(x, y, \rho)f_H(x) dx = \rho^n H_n(y).$$

□

Corollary 3. *If $q, a, b \in \mathbb{R}$ are such that $|q| < 1, 0 < b < 1$, and $a^2(1 - q) < 4b$, then the distribution of the Al-Salam-Chihara polynomials $\{p_n(x|q, a, b)\}$ is absolutely continuous with the density on $x^2 < 4/(1 - q)$ given by*

$$\frac{\sqrt{1 - q}}{2\pi\sqrt{4 - (1 - q)x^2}} \prod_{k=0}^{\infty} \frac{(1 - bq^k)(1 - q^{k+1})((1 + q^k)^2 - (1 - q)x^2 q^k)}{(1 - bq^{2k})^2 - (1 - q)aq^k(1 + bq^{2k})x + (1 - q)(bx^2 + a^2)q^{2k}}.$$

Proof. By Theorem 2, the distribution of polynomials p_n solves (2.1) with $\rho = \sqrt{b}, y = a/\rho$. Thus the formula follows from Corollary 2. □

Remark 2. Iterating (2.1) we see that the measure corresponding to the parameter $\rho_1\rho_2$ instead of ρ is given by

$$(2.6) \quad \mu(\cdot|\rho_1\rho_2, x) = \int \mu(\cdot|\rho_1, y)\mu(dy|\rho_2, x).$$

For $|q| < 1, |\rho| < 1$ the density of μ is given in Corollary 2; hence, after simplifying common factors and substituting $x = 2\xi/\sqrt{1 - q}, y = 2\eta/\sqrt{1 - q}, z = 2\zeta/\sqrt{1 - q}$, the relationship (2.6) takes the following form:

$$\begin{aligned} & \int_{-1}^1 \prod_{k=0}^{\infty} \frac{(1 - \rho_1^2 q^k)(1 - q^{k+1})((1 + q^k)^2 - 4\eta^2 q^k)}{(1 - \rho_1^2 q^{2k})^2 - 4\rho_1 q^k(1 + \rho_1^2 q^{2k})\eta\zeta + 4\rho_1^2(\eta^2 + \zeta^2)q^{2k}} \\ & \times \prod_{k=0}^{\infty} \frac{(1 - \rho_2^2 q^k)}{(1 - \rho_2^2 q^{2k})^2 - 4\rho_2 q^k(1 + \rho_2^2 q^{2k})\xi\eta + 4\rho_2^2(\eta^2 + \xi^2)q^{2k}} \frac{d\eta}{2\pi\sqrt{1 - \eta^2}} \\ & = \prod_{k=0}^{\infty} \frac{(1 - \rho_1^2 \rho_2^2 q^k)}{(1 - \rho_1^2 \rho_2^2 q^{2k})^2 - 4\rho_1 \rho_2 q^k(1 + \rho_1^2 \rho_2^2 q^{2k})\xi\zeta + 4\rho_1^2 \rho_2^2(\zeta^2 + \xi^2)q^{2k}}. \end{aligned}$$

3. DETERMINANTS OF HANKEL MATRICES

In this section we are interested in calculating the determinants of the Hankel matrices

$$M_n = [m_{i+j}]_{i,j=0,\dots,n-1},$$

where $m_i = \int x^i \mu(dx)$ are the moments of a certain (perhaps signed) measure μ . It is well known that for positive measures we must have $\det M_n \geq 0$, and that these determinants can be read out from the three-term recurrence for the corresponding monic orthogonal polynomials.

Consider first the moments $m_k(y) = \int x^k \mu(dx)$ of the (perhaps signed) measure $\mu = \mu_{y,\rho}$, which solves (2.1). Then $m_k(y)$ are polynomials of degree k in the variable y and can be written as follows. Let $a_{n,2i}, i \leq \lfloor n/2 \rfloor$ be the coefficients in the expansion of the monomial x^n into the q -Hermite polynomials,

$$x^n = \sum_{i=0}^{\lfloor n/2 \rfloor} a_{n,2i} H_{n-2i}(x|q), \quad n \geq 0.$$

Then

$$m_n(y) = \int x^n d\mu(x) = \sum_{k=0}^{\lfloor n/2 \rfloor} \rho^{n-2k} a_{n,2k} H_{n-2k}(y|q).$$

Let S_n be the Hankel matrix of moments $m_k(y)$,

$$S_n(y|q, \rho) = \begin{bmatrix} m_0(y) & m_1(y) & \dots & m_{n-1}(y) \\ m_1(y) & m_2(y) & & \\ \vdots & & \ddots & \vdots \\ m_{n-1}(y) & & \dots & m_{2n-2}(y) \end{bmatrix}.$$

It is well known that $\det S_n$ is the product of the coefficients at the third term of (2.2), which implies the following.

Corollary 4. $\det S_{n+1} / \det S_n = [n]_q! \prod_{i=1}^n (1 - \rho^2 q^{i-1})$.

Our second Hankel matrix has an even simpler form. As indicated in [IS97], [IS02] the q -Hermite polynomials can be viewed as moments of a signed measure, $H_n(x|q) = \int u^n \mu(du|x, q)$. It turns out that if $q \neq 0$, the measure $\mu(du|x, q)$ cannot be positive even for a single value of x . To see this, consider the following $n \times n$ matrices:

$$M_n(x|q) = \begin{bmatrix} H_0(x|q) & H_1(x|q) & H_2(x|q) & \dots & H_{n-1}(x|q) \\ H_1(x|q) & H_2(x|q) & & & H_n(x|q) \\ H_2(x|q) & & \ddots & & H_{n+1}(x|q) \\ \vdots & & & \ddots & \vdots \\ H_{n-1}(x|q) & H_n(x|q) & & \dots & H_{2n-2}(x|q) \end{bmatrix}.$$

The following q -generalization of [Kra99, (3.55)] shows that the determinants $\det M_n(x|q)$ are free of the variable x and take negative values.

Theorem 3.

$$\frac{\det M_{n+1}}{\det M_n} = (-1)^n q^{n(n-1)/2} [n]_q!.$$

Proof. Using (1.3), we row-reduce the first column of the matrix. Namely, from the second row of M_{n+1} , we subtract the first one multiplied by x . Similarly, for $i \geq 3$, we subtract x times row $i - 1$ and add the $(i - 2)$ -th row multiplied by $[i - 1]_q$. Taking (1.3) into account, $\det M_{n+1}(x|q)$ becomes

$$\det \begin{bmatrix} H_0 & H_1 & H_2 & \dots & H_n \\ 0 & ([0] - [1])H_0 & ([0] - [2])H_1 & \dots & ([0] - [n])H_{n-1} \\ 0 & ([1] - [2])H_1 & ([1] - [3])H_2 & \dots & ([1] - [n + 1])H_n \\ \vdots & & & \ddots & \vdots \\ 0 & ([n-1] - [n])H_{n-1} & ([n-1] - [n+1])H_n & \dots & ([n-1] - [2n-1])H_{2n-2} \end{bmatrix}.$$

Now, we use the fact that for $m \leq n$ we have $[n]_q - [m]_q = q^m [n - m]_q$. Thus $\det M_{n+1}(x|q)$ becomes

$$\det \begin{bmatrix} H_0 & H_1 & H_2 & \dots & H_{n-1} \\ 0 & -[1]H_0 & -[2]H_1 & \dots & -[n]H_{n-1} \\ 0 & -q[1]H_1 & -q[2]H_2 & \dots & -q[n]H_n \\ \vdots & & & \ddots & \vdots \\ 0 & -q^{n-1}[1]H_{n-1} & -q^{n-1}[2]H_n & \dots & -q^{n-1}[n]H_{2n-2} \end{bmatrix}.$$

Expanding $\det M_{n+1}$ with respect to the first column, and factoring out the common factors $-q^{i-1}$ from the i -th row and $[j]_q$ from the j -th column of the resulting matrix, we get

$$\det M_{n+1} = (-1)^n q^{\sum_{i=1}^{n-1} i} \prod_{j=1}^n [j]_q \det M_n = (-1)^n q^{n(n-1)/2} [n]_q! \det M_n. \quad \square$$

The formula stated in Corollary 4 was originally discovered through symbolic computations and motivated this paper. We were unable to find a direct algebraic proof along the lines of the proof of Theorem 3, and our search for the explanation of why $\det S_n(y)$ does not depend on y led us to Al-Salam-Chihara polynomials and identity (1.8).

The fact that Hankel determinants formed of certain linear combinations of the q -Hermite polynomials do not depend on the argument of these polynomials as exposed in Theorem 3 and Corollary 4 is striking and unexpected to us. A natural question arises whether other linear combinations have this property.

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