Asymptotics of the Chebyshev Polynomials of General Sets

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Joint Work with Jacob Christiansen and Maxim Zinchenko
Part 1: Inv. Math, appear

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Part 1: Inv. Math, appear
and Peter Yuditskii (plus C&Z)
Part 2: in Preparation

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The *Chebyshev polynomial of degree n* is the monic polynomial, T_n, with

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The minimizer is unique (as we'll see below in the case that $\mathfrak{e} \subset \mathbb{R}$), It is well known that monic orthogonal polynomials minimize the $L^2(\mathfrak{e}, d\mu)$ norm if μ is a measure with compact support, $\mathfrak{e} \subset \mathbb{C}$. Chebyshev polynomials just replace L^2 by L^∞ (so only the support matters).

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The minimizer is unique (as we'll see below in the case that $\mathfrak{e} \subset \mathbb{R}$), so it is appropriate to speak of *the* Chebyshev polynomial rather than *a* Chebyshev polynomial.

Chebyshev Polynomials

Chebyshev invented his explicit polynomials which obey $Q_n(\cos(\theta)) = \cos(n\theta)$ not because of their functional relation but because they are the best approximation on $[-1, 1]$ to x^n by polynomials of degree $n - 1$. In this regard, Sodin and Yuditskii unearthed the following quote from a 1926 report by Lebesgue on the work of S. N. Bernstein.

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This quote is a little bizarre given that, as we'll see, Borel (who was Lebesgue's thesis advisor) made important contributions to the subject in 1905!

The Alternation Theorem

We will focus for most of this talk on the case $\mathfrak{e} \subset \mathbb{R}$, in which case, T_n is real, since on $\mathbb{R}$, $|\mathrm{Re}(T_n)|$ is smaller than $|T_n|$.

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We say that P_n, a degree n polynomial, has an *alternating set* in $\mathfrak{e} \subset \mathbb{R}$ if there exists $\{x_j\}_{j=0}^n \subset \mathfrak{e}$ with

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While the basic idea of the following theorem goes back to Chebyshev, the result itself is due to Borel and Markov, independently, around 1905.

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Conversely, let P_n be a degree n monic polynomial with an alternating set and suppose that $\|T_n\|_{\mathfrak{e}} < \|P_n\|_{\mathfrak{e}}$.

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At the alternating points for Q, we must have $T_n = S_n$, so they must be equal polynomials since there are $n+1$ points and their difference has degree at most $n-1$.

Alternation and Zeros

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Fact 1 All the zeros of the Chebyshev polynomials of a set $\mathfrak{e} \subset \mathbb{R}$ lie in $\mathbb{R}$ and all are simple and lie in $\mathrm{cvh}(\mathfrak{e})$.

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Here, $\mathrm{cvh}(\mathfrak{e})$ is the convex hull of $\mathfrak{e}$ and that result follows from $x_0, x_n \in \mathfrak{e}$.

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Above the top zero (resp. below the bottom zero) of T_n, $|T_n(x)|$ is monotone increasing (resp. decreasing). It follows that $x_n = \sup_{y \in \mathfrak{e}} y$ (resp $x_0 = \inf_{y \in \mathfrak{e}} y$) so

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$$\mathfrak{e}_n \equiv T_n^{-1}([-\|T_n\|_{\mathfrak{e}}, \|T_n\|_{\mathfrak{e}}]) \subset \mathrm{cvh}(\mathfrak{e})$$

Coulomb Energies and All That

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$$C(\mathfrak{e}) = \exp(-R(\mathfrak{e})) \qquad R(\mathfrak{e}) = \log(1/C(\mathfrak{e}))$$

Equilibrium Measures and All That

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The function $\Phi_{\mathfrak{e}}(z) = \int_{\mathfrak{e}} d\rho_{\mathfrak{e}}(x) \log |x - z|^{-1}$ is called the *equilibrium potential*.

Green's Function

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If $\mathfrak{e}$ is a period–n set, one can prove that $\mathfrak{e}_n = \mathfrak{e}$ so that all the period–n sets are precisely the possible $\mathfrak{e}_n$'s.

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so one can have equality in both lower bounds.

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As in the work of Faber, it is natural to look for an analytic function, $B_{\mathfrak{e}}(z)$, with $|B_{\mathfrak{e}}(z)| = \exp(-G_{\mathfrak{e}}(z))$ on Ω, the unbounded component of $(\mathbb{C} \cup \{\infty\}) \setminus \mathfrak{e}$.

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Put differently, $B_\mathfrak{e}(z)$ can be continued along any curve in Ω and there is a map from the fundamental group of Ω to $\partial\mathbb{D}$, which is a character (i.e. group homomorphism), so that after continuation around a closed curve, $B_\mathfrak{e}(z)$ is multiplied by the character applied to that curve.

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If $T_n(z)B_{\mathfrak{e}}(z)^n C(\mathfrak{e})^{-n}$ had a limit, that limit cannot be n independent since the character is n dependent. Widom had the idea that there should be functions $F_\chi(z)$ defined for each χ in the character group and continuous in χ so the limit is the F_χ, call it F_n, associated to the character of $B_{\mathfrak{e}}(z)^n$. As a function of n, the limit will be almost periodic!

Widom's Minimizers

He even found a candidate for the functions! Let $F_\chi(z)$ be that function among all character automorphic functions, $A(z)$, on Ω with character χ and with $A(\infty) = 1$, that minimizes $\sup_{z\in\Omega}\{|A(z)|\}$.

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Widom proved uniqueness of the minimizer and found a formula for it (in terms of some theta functions and solutions of some implicit equations). He also proved that $\|F_\chi\|_\Omega$ is continuous in χ. Because of the uniqueness, one can prove that the functions, $F_\chi(z)$, defined for $z \in \Omega$, are continuous in χ on the compact set of characters, uniformly locally in z (but as functions on the covering space not uniformly in all z).

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where the limit is uniform on compact subsets of Ω.

Since $|B_{\mathfrak{e}}(z)| \to 1$ and $\|F_n\|_{\Omega}$ is taken as $z \to \mathfrak{e}$, the z asymptotics and norm limit fit together.

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Theorem (*Widom*) Let $\mathfrak{e}$ be a finite gap subset of $\mathbb{R}$. Let $F_n(z)$ be as above. Then

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The norm, $\|T_n\|_{\mathfrak{e}}$ is twice as large as one might expect! Note: This is Widom's conjecture for $\mathfrak{e} \subset \mathbb{R}$; he made the conjecture for more general cases of $\mathfrak{e} \subset \mathbb{C}$.

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It was this example that led Widom to his conjecture.

Outer Approximation for General Sets

In order to extend Markov and other polynomial inequalities to general sets, Totik proved that:

Theorem (*Totik's Approximation Theorem*) For any compact set $\mathfrak{e} \subset \mathbb{R}$, there exist period n sets $\tilde{\mathfrak{e}}_n \supset \mathfrak{e}$ so that $C(\tilde{\mathfrak{e}}_n) \to C(\mathfrak{e})$

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Totik published his approximation theorem in 2001. In 2009, he published an improvement for finite gap case:

Totik–Widom bounds

Theorem (Totik's $1/n$ bound) If $\mathfrak{e}$ is a finite gap set, the period n sets $\tilde{\mathfrak{e}}_n \supset \mathfrak{e}$ can be chosen so that $C(\tilde{\mathfrak{e}}_n) \leq C(\mathfrak{e})\left(1 + \frac{E}{n}\right)$ for some constant E.

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This complements the $2C(\mathfrak{e})^n$ lower bound. Because of his asymptotic result, Widom already had this bound in 1969 but Totik's proof was much simpler. Neither proof has very explicit estimates for D. Even though they only had the result for finite gap sets, we will say that a general set $\mathfrak{e}$ has *Totik–Widom bounds*, if there is an upper bound of the above form.

Canonical Generators

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It seems to us likely that, in some sense, this condition holds generically. It follows from results of Totik that among the 2ν dimensional set of unions of exactly ν disjoint unions, the set where the condition fails is a countable union of varieties of dimension $\nu + 1$ so the set where it fails is both of 2ν Lebesgue measure zero and a nowhere dense F_σ.

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To state the main new results in part 2, I need to discuss PW (for Parreau–Widom) and DCT (for Direct Cauchy Theorem) sets. We'll act as if these are properties of $\mathfrak{e}$ although they are really properties of $\Omega \equiv (\mathbb{C} \cup \{\infty\}) \setminus \mathfrak{e}$ as an infinitely connected Riemann surface. Each has been heavily studied in the literature on such surfaces and each is known to be a family of many different looking equivalent conditions. I'll define the properties via a condition that relates directly to the Widom minimizer problem.

Let $\chi \in \pi_1^*$ and let $H^\infty(\Omega, \chi)$ be the family of bounded character automorphic analytic functions on Ω. We say that a compact set, $\mathfrak{e} \in \mathbb{C}$, has the PW *property* if and only if for every $\chi \in \pi_1^*$, we have that $H^\infty(\Omega, \chi)$ contains non–constant functions.

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$$PW(\mathfrak{e}) \equiv \sum_{w \in \mathcal{C}} G_{\mathfrak{e}}(w) < \infty$$

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where $\mathcal{C}$ is the set of critical points of $G_{\mathfrak{e}}$ (i.e. points in the unbounded component of Ω where $G'_{\mathfrak{e}}(w) = 0$). In particular, any connected set has PW.

PW and DCT sets

In the case of $\mathfrak{e} \subset \mathbb{R}$ which are regular (i.e. $G_\mathfrak{e}$ continuous on $\mathfrak{e}$), there is one critical point in each gap and the value of $G_\mathfrak{e}$ there is the maximum value in the gap.

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$$Q_\chi = F_\chi / \|F_\chi\|_\infty, \quad F_\chi = Q_\chi / Q_\chi(\infty),$$

$$Q_\chi(\infty) = 1/\|F_\chi\|_\infty$$

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Totik Widom Bounds

Recall that we say that $\mathfrak{e} \subset \mathbb{R}$ obeys a Totik-Widom bound if there is a D with $\|T_n\|_{\mathfrak{e}} \leq DC(\mathfrak{e})^n$ and that this was only known for finite gap sets.

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Theorem If $\mathfrak{e} \subset \mathbb{R}$ is a regular Parreau-Widom set, then

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Homogeneous sets are regular and obey a Parreau Widom condition (a theorem of Jones and Marshall). This explicit constant is interesting even for the finite gap case. We also proved a weak converse:

Theorem If $\mathfrak{e} \subset \mathbb{C}$ is a regular set for which a TW bound holds and $\mathfrak{e}$ has a canonical generator, then $\mathfrak{e}$ is a PW set.

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For a time I suspected the answer was yes but now I'd guess not. A key example is the solid Koch snowflake. Since it is simply connected, it is a PW set. On the other hand the fact that its boundary has dimension greater than 1 makes it a candidate for failure of TW bounds if the theorem does not extend to the general complex case.

Chebyshev Polynomials

Alternation Theorem

Potential Theory

Lower Bounds and Special Sets

Faber Fekete Szegő Theorem

Widom's Work

Totik Approximation

Main Results

Totik Widom Bounds

Szegő–Widom Asymptotics

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The proof of this in Part 2 is simpler than the proof of Part 1 (and doesn't require Widom's result on the norm apriori but rather proves it).

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Since almost periodicity of the limit is part of Szegő–Widom asymptotics, this is a kind of converse to

DCT⇒Szegő–Widom asymptotics.

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since regularity of $\mathfrak{e}$ implies $G_{\mathfrak{e}}$ vanishes at the ends of each gap so the maximum is taken a critical point w_j. Exponentiating and using $\|T_n\|_{\mathfrak{e}} \leq 2C(\mathfrak{e}_n)^n$ we get the result. $\blacksquare$

Proof of the Lemma

Because the integrated equilibrium measure of $\mathfrak{e}_n$ is $\frac{1}{\pi n}\arccos\left(\frac{T_n(x)}{\|T_n\|_{\mathfrak{e}}}\right)$, each band of $\mathfrak{e}_n$ has $\rho_{\mathfrak{e}_n}$ measure $\frac{1}{n}$ and the part of a band from a zero of T_n to a nearby band edge has $\rho_{\mathfrak{e}_n}$ measure $\frac{1}{2n}$.

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Case 2 (T_n *has a zero in* K) By the Alternation Theorem, one of the two extreme points immediately below the zero must lie in $\mathfrak{e}$, so there is at most a half band below the zero. Similarly, at most a half band above, so no more than a full band. $\blacksquare$

Size of $\mathfrak{e}_n \setminus \mathfrak{e}$

In fact, one can prove if there is a zero not too close to a gap edge and n is large, then there is exactly a full exponentially small (in Lebesgue measure) band of $\mathfrak{e}_n$ totally inside K.

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Similarly if, for j large T_{n_j} has a zero, x_j, in K and $x_j \to x_\infty \in K$, then only x_∞ is asymptotically in $\mathfrak{e}_{n_j} \cap K$ in the sense that $\bigcap_{k=1}^{\infty} \bigcup_{j=k}^{\infty} (K \cap \mathfrak{e}_{n_j}) = \{x_\infty\}$.

Overall Strategy

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The proof has two steps: first, prove that the limit is the Blaschke product of this gap set and, secondly, prove that any such product is a dual Widom maximizer. The proof of the second half follows, in part, ideas of Volberg–Yuditskii, who considered a related problem and uses some deep 1997 results of Sodin–Yuditskii on the Abel map in this setting.

Limits of M_n are Gap Blaschke Products

Rather than control M_n globally, it suffices, by a little complex analysis, to prove convergence of the absolute values and only for z in a small neighborhood of ∞. Taking into account the formula we had for $|M_n(z)|$ and taking logs, it suffices to prove that, for z near ∞, we have that

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Part 1, we proved Totik–Widom bounds for PW sets, $\mathfrak{e} \subset \mathbb{R}$ by using that when $z = \infty$, we have that

$$h_n(\infty) = \int_{\bigcup_{K_j \in \mathcal{G}} K_j} G_{\mathfrak{e}}(x) d\rho_n(x)$$

A Poisson Formula

We proved this by thinking of $d\rho_n$ as harmonic measure at ∞, i.e. if H is harmonic on $(\mathbb{C} \cup \{\infty\}) \setminus \mathfrak{e}_n$ with boundary values $H(x)$ on $\mathfrak{e}_n$, then $H(\infty) = \int_{\mathfrak{e}_n} H(x) d\rho_n(x)$.

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By using the PW bound and the fact that $\int G_{\mathfrak{e}}(x,z)\delta(x-x_k) = G_{\mathfrak{e}}(x_k,z)$, it suffices to prove that, for all $K \in \mathcal{G}$, we have that

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If the zeros in a gap have a limit, x_k, in the gap, there is a single narrow band of ρ_n–weight $1/n$ near the point so the first case is handled. If there is a zero that approaches an edge, the limit is 0 since regularity implies the Green's function $G_{\mathfrak{e}}(x,z) = G_{\mathfrak{e}}(z,x)$ vanishes as x approaches $\mathfrak{e}$. $\blacksquare$

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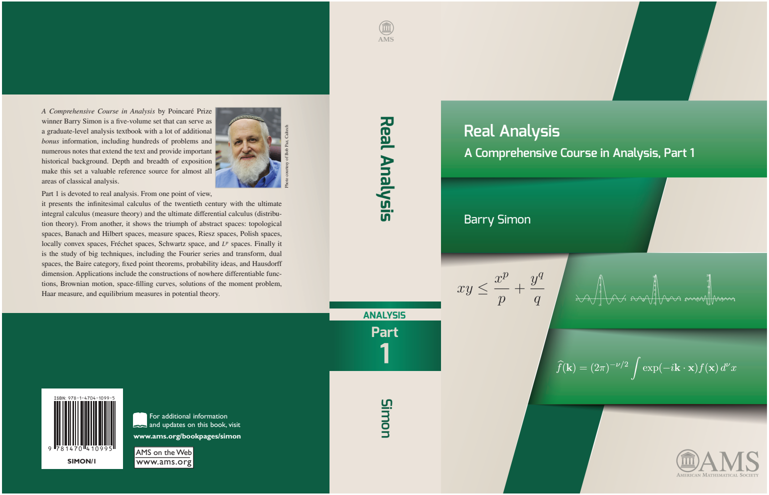

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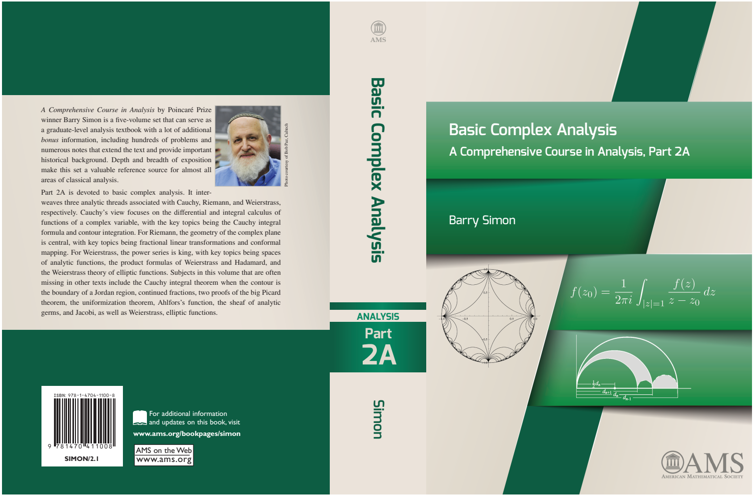

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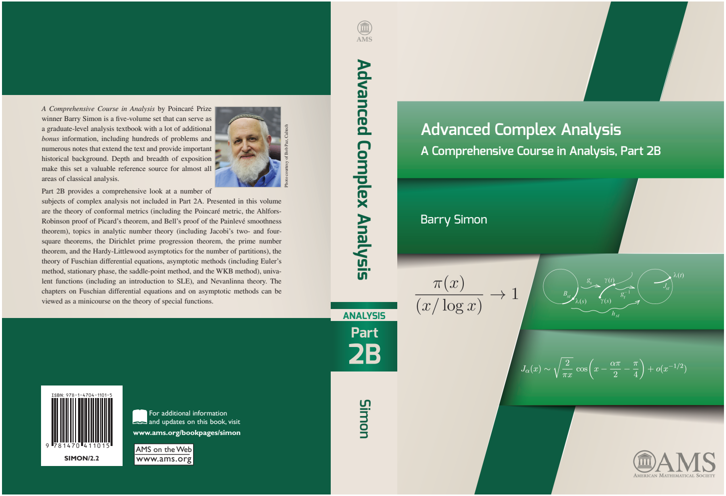

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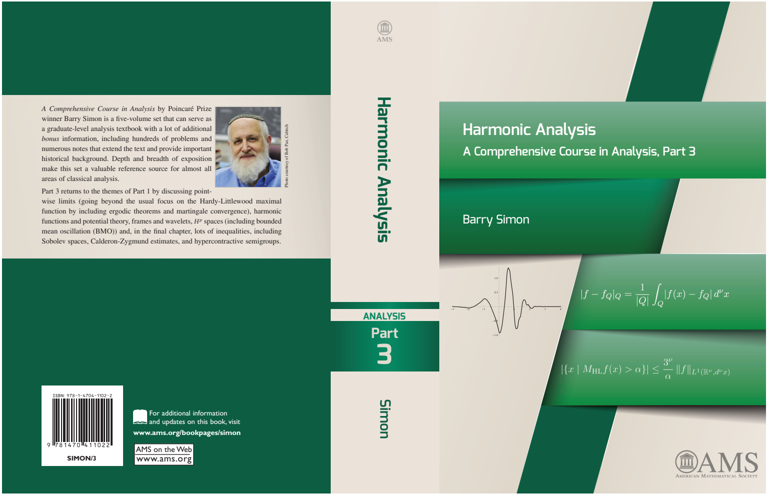

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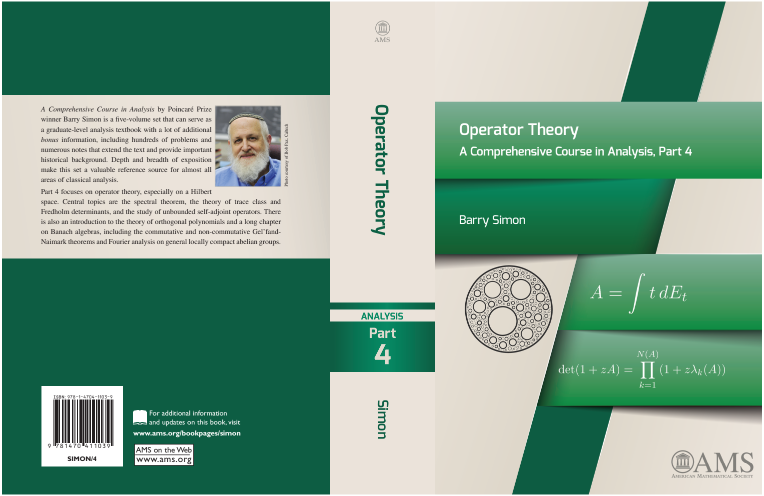

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