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GENERALIZATIONS OF GONÇALVES' INEQUALITY

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ABSTRACT. Let $F(z) = \sum_{n=0}^{N} a_n z^n$ be a polynomial with complex coefficients and roots $\alpha_1, \ldots, \alpha_N$, let $||F||_p$ denote its L_p norm over the unit circle, and let $||F||_p$ denote Mahler's measure of F. Gonçalves' inequality asserts that

$$||F||_2 \ge |a_N| \left(\prod_{n=1}^N \max\{1, |\alpha_n|^2\} + \prod_{n=1}^N \min\{1, |\alpha_n|^2\} \right)^{1/2}$$
$$= ||F||_0 \left(1 + \frac{|a_0 a_N|^2}{||F||^4} \right)^{1/2}.$$

We prove that

$$||F||_p \ge B_p |a_N| \left(\prod_{n=1}^N \max\{1, |\alpha_n|^p\} + \prod_{n=1}^N \min\{1, |\alpha_n|^p\} \right)^{1/p}$$

for $1 \le p \le 2$, where B_p is an explicit constant, and that

$$||F||_p \ge ||F||_0 \left(1 + \frac{p^2 |a_0 a_N|^2}{4||F||^4}\right)^{1/p}$$

for $p \ge 1$. We also establish additional lower bounds on the L_p norms of a polynomial in terms of its coefficients.

1. Introduction

Let $\Delta \subset \mathbb{C}$ denote the open unit disc, $\overline{\Delta}$ its closure, and let $\mathcal{A}(\Delta)$ denote the algebra of continuous functions $f: \overline{\Delta} \to \mathbb{C}$ that are analytic on Δ . Then $\{\mathcal{A}(\Delta), ||\cdot||_{\infty}\}$ is a Banach algebra, where

$$||f||_{\infty} = \sup \{|f(z)| : z \in \overline{\Delta}\} = \sup \{|f(e(t))| : t \in \mathbb{R}/\mathbb{Z}\},$$

and e(t) denotes the function $e^{2\pi it}$. If $f \in \mathcal{A}(\Delta)$ and 0 , we also define

$$||f||_p = \left(\int_0^1 |f(e(t))|^p dt\right)^{1/p},$$

and we define

$$||f||_0 = \exp\left(\int_0^1 \log |f(e(t))| dt\right).$$

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It is known (see [2, Chapter 6]) that for each f in $\mathcal{A}(\Delta)$ the function $p \to ||f||_p$ is continuous on $[0, \infty]$, and if 0 , then these quantities satisfy the basic inequality

$$(1.1) ||f||_0 \le ||f||_p \le ||f||_q \le ||f||_{\infty}.$$

Clearly, equality can occur throughout (1.1) if f is constant. On the other hand, if f is not constant in $\mathcal{A}(\Delta)$, then the function $p \to ||f||_p$ is strictly increasing on $[0,\infty]$.

Now suppose that F is a polynomial in $\mathbb{C}[z]$ of degree $N \geq 1$, and write

(1.2)
$$F(z) = \sum_{n=0}^{N} a_n z^n = a_N \prod_{n=1}^{N} (z - \alpha_n).$$

In this case, the quantity $||F||_0$ is Mahler's measure of F, and by Jensen's formula one obtains the well-known identity

(1.3)
$$||F||_0 = |a_N| \prod_{n=1}^N \max\{1, |\alpha_n|\}.$$

Thus a special case of (1.1) is the inequality (often called Landau's inequality)

$$||F||_2 \ge |a_N| \prod_{n=1}^N \max\{1, |\alpha_n|\}.$$

For polynomials of positive degree, the sharper inequality

(1.4)
$$||F||_2 \ge |a_N| \left(\prod_{n=1}^N \max\{1, |\alpha_n|^2\} + \prod_{n=1}^N \min\{1, |\alpha_n|^2\} \right)^{1/2}$$

was obtained by Gonçalves [1]. Note that equality occurs in (1.4) for constant multiples of $z^N - 1$. Alternatively, the inequality (1.4) may be written in the less symmetrical form

(1.5)
$$||F||_2 \ge ||F||_0 \left(1 + \frac{|a_0 a_N|^2}{||F||_0^4}\right)^{1/2}.$$

For a positive real number p, define the real number B_p by

(1.6)
$$B_p = \left(\frac{1}{2} \int_0^1 |1 - e(t)|^p dt\right)^{1/p} = \left(\frac{\Gamma(p+1)}{2\Gamma(p/2+1)^2}\right)^{1/p},$$

and note that $B_1 = 2/\pi$ and $B_2 = 1$. In this article we establish the following generalizations of Gonçalves' inequality.

Theorem 1. Let $F(z) \in \mathbb{C}[z]$ be given by (1.2). If $1 \le p \le 2$, then

(1.7)
$$||F||_{p} \geq B_{p} |a_{N}| \left(\prod_{n=1}^{N} \max\{1, |\alpha_{n}|^{p}\} + \prod_{n=1}^{N} \min\{1, |\alpha_{n}|^{p}\} \right)^{1/p}$$
$$= B_{p} ||F||_{0} \left(1 + \frac{|a_{0}a_{N}|^{p}}{||F||_{0}^{2p}} \right)^{1/p},$$

and if $p \ge 1$, then

(1.8)
$$||F||_{p} \ge ||F||_{0} \left(1 + \frac{p^{2} |a_{0}a_{N}|^{2}}{4 ||F||_{0}^{4}}\right)^{1/p}.$$

Equality occurs in (1.7) for constant multiples of $z^N - 1$. The inequality (1.8) is never sharp for $p \neq 2$, but since $B_p < 1$ for $1 \leq p < 2$ it is clearly stronger than (1.7) in this range when $||F||_0^2 / |a_0 a_N|$ is large. For example, one may verify that (1.8) produces a better bound in the case p = 1 whenever

$$\frac{||F||_0^2}{|a_0 a_N|} > \frac{\pi}{2\left(2 - \sqrt{4 + 2\pi - \pi^2}\right)} = 1.1576382\dots$$

Also, for fixed F the right side of (1.8) achieves a maximum at $p = 2c ||F||_0^2 / |a_0 a_N|$, where c = 1.9802913... is the unique positive number satisfying

$$2c^2 = (1+c^2)\log(1+c^2).$$

In view of (1.1), inequality (1.8) is therefore only of interest when $1 \le p \le 2c ||F||_0^2 / |a_0 a_N|$.

To prove Theorem 1, we first establish some lower bounds on the L_p norms of a polynomial in terms of two of its coefficients a_L and a_M , provided |M-L| is sufficiently large. These inequalities have some independent interest, and we record the results in the following theorem.

Theorem 2. Let $F(z) \in \mathbb{C}[z]$ be given by (1.2), and let L and M be integers satisfying $0 \le L < M \le N$ and $M - L > \max\{L, N - M\}$. Then

$$(1.9) ||F||_{\infty} \ge |a_L| + |a_M|.$$

Further, if 1 , then

$$(1.10) ||F||_p \ge B_p \left(|a_L|^p + |a_M|^p \right)^{1/p},$$

and if $p \ge 1$ and a_L and a_M are not both 0, then

$$(1.11) ||F||_p \ge \max\{|a_L|, |a_M|\} \left(1 + \left(\frac{p \min\{|a_L|, |a_M|\}}{2 \max\{|a_L|, |a_M|\}}\right)^2\right)^{1/p}.$$

At this point, it is instructive to recall the Hausdorff-Young inequality. If p = 2 and F(z) is given by (1.2), then by Parseval's identity we have

(1.12)
$$||F||_2 = \left(|a_0|^2 + |a_1|^2 + \dots + |a_N|^2\right)^{1/2}.$$

If p=1, then the inequality

$$(1.13) ||F||_1 \ge \max\{|a_0|, |a_1|, \dots, |a_N|\}$$

follows immediately from the identity

$$a_n = \int_0^1 F(e(t))e(-nt) dt.$$

Now suppose that 1 and let <math>q be the conjugate exponent for p, so $p^{-1} + q^{-1} = 1$. Then the Hausdorff-Young inequality [3, p. 123] asserts that

$$(1.14) ||F||_p \ge (|a_0|^q + |a_1|^q + \dots + |a_N|^q)^{1/q},$$

and so interpolates between (1.12) and (1.13). If p=2, then (1.10) and (1.11) are equivalent and clearly follow from the identity (1.12). But for 1 , the inequalities <math>(1.10) and (1.11) are not immediate consequences of (1.14). In fact, it is easy to see that the lower bounds in (1.10), (1.11), and (1.14) are not comparable. If p=1, the same remarks apply to (1.10), (1.11), and (1.13).

In section 2 we develop some preliminary results concerning lower bounds on L_p norms of binomials, and we use these facts to establish Theorems 1 and 2 in section 3.

2. Norms of binomials

For 0 < r < 1 and real t, recall that the Poisson kernel is defined by

$$P(r,t) = \sum_{n=-\infty}^{\infty} r^{|n|} e(nt) = \Re\left(\frac{1+re(t)}{1-re(t)}\right) = \frac{1-r^2}{|1-re(t)|^2}.$$

This is a positive summability kernel that satisfies

$$\int_0^1 P(r,t) \, dt = 1$$

and

$$\lim_{r \to 1-} \int_{\epsilon}^{1-\epsilon} P(r,t) dt = 0$$

for $0 < \epsilon < 1/2$.

Lemma 3. If p > 0, then

$$\lim_{r \to 1-} \int_0^1 |1 - re(t)|^p P(r, t) dt = 0.$$

Proof. Let $0 < \epsilon < 1/2$ so that

$$\int_{0}^{1} |1 - re(t)|^{p} P(r,t) dt = \int_{-\epsilon}^{\epsilon} |1 - re(t)|^{p} P(r,t) dt + \int_{\epsilon}^{1-\epsilon} |1 - re(t)|^{p} P(r,t) dt$$

$$\leq |1 - re(\epsilon)|^{p} \int_{-\epsilon}^{\epsilon} P(r,t) dt + 2^{p} \int_{\epsilon}^{1-\epsilon} P(r,t) dt$$

$$\leq |1 - re(\epsilon)|^{p} + 2^{p} \int_{\epsilon}^{1-\epsilon} P(r,t) dt.$$

We conclude that

$$\limsup_{r \to 1^{-}} \int_{0}^{1} |1 - re(t)|^{p} P(r, t) dt \le |1 - e(\epsilon)|^{p} \le (2\pi\epsilon)^{p},$$

and the statement follows.

For positive numbers p and r, we define

(2.1)
$$\mathcal{I}_{p}(r) = \int_{0}^{1} \left| 1 - r^{1/p} e(t) \right|^{p} dt.$$

It follows easily that $r \to \mathcal{I}_p(r)$ is a continuous, positive, real-valued function that satisfies the functional equation

(2.2)
$$\mathcal{I}_p(r) = r\mathcal{I}_p(1/r)$$

for all positive r. Also, if 0 < r < 1, then $(1 - r^{1/p}e(t))^{p/2}$ has the absolutely convergent Fourier expansion

$$\left(1 - r^{1/p}e(t)\right)^{p/2} = \sum_{m>0} \binom{p/2}{m} (-1)^m r^{m/p}e(mt),$$

so by Parseval's identity, we have

(2.3)
$$\mathcal{I}_{p}(r) = \sum_{m>0} {\binom{p/2}{m}}^{2} r^{2m/p}.$$

The following lemmas record some further information about this function.

Lemma 4. For any positive number p, the function $r \to \mathcal{I}_p(r)$ has a continuous derivative at each point of $(0,\infty)$ and satisfies the identity $\mathcal{I}'_p(1) = \mathcal{I}_p(1)/2$.

Proof. Suppose first that 0 < r < 1. Then (2.3) shows that $r \to \mathcal{I}_p(r)$ is represented on (0,1) by a convergent power series in $r^{1/p}$ and therefore has infinitely many continuous derivatives on this interval. Next, we observe that

$$\frac{\partial}{\partial r} \left| 1 - r^{1/p} e(t) \right|^p = \frac{\left| 1 - r^{1/p} e(t) \right|^p}{2r} \left(1 - P(r^{1/p}, t) \right).$$

It follows that if $0 < \epsilon \le 1/4$ and $\epsilon \le r \le 1-\epsilon$, then there exists a positive constant $C(\epsilon, p)$ such that

$$\left| \frac{\partial}{\partial r} \left| 1 - r^{1/p} e(t) \right|^p \right| \le C(\epsilon, p).$$

From the mean value theorem and the dominated convergence theorem, we find that

$$\mathcal{I}'_p(r) = \frac{1}{2r} \int_0^1 \left| 1 - r^{1/p} e(t) \right|^p \left(1 - P(r^{1/p}, t) \right) dt,$$

and therefore

$$\mathcal{I}_p(r) - 2r\mathcal{I}'_p(r) = \int_0^1 \left| 1 - r^{1/p} e(t) \right|^p P(r^{1/p}, t) dt.$$

Using the continuity of $r \to \mathcal{I}_p(r)$ and Lemma 3, we conclude that

(2.4)
$$\lim_{r \to 1} \mathcal{I}'_p(r) = \mathcal{I}_p(1)/2.$$

Again using the mean value theorem, it follows that $r \to \mathcal{I}_p(r)$ has a left-hand derivative at 1 with the value $\mathcal{I}_p(1)/2$.

Suppose then that r > 1. From (2.2) and (2.3) we find that

(2.5)
$$\mathcal{I}_p(r) = r \left(\sum_{m \ge 0} {\binom{p/2}{m}}^2 r^{-2m/p} \right).$$

Thus $r \to \mathcal{I}_p(r)$ is represented by r times a convergent power series in $r^{-1/p}$, and so has infinitely many continuous derivatives on the interval $(1, \infty)$. We differentiate both sides of (2.2) to obtain the identity

$$\mathcal{I}_p'(r) = \mathcal{I}_p(1/r) - \frac{\mathcal{I}_p'(1/r)}{r}$$

for r > 1, and using the continuity of $r \to \mathcal{I}_p(r)$ and (2.4), we conclude that

$$\lim_{r \to 1+} \mathcal{I}'_p(r) = \mathcal{I}_p(1) - \lim_{s \to 1-} \mathcal{I}'_p(s) = \mathcal{I}_p(1)/2.$$

It follows that $r \to \mathcal{I}_p(r)$ has a right-hand derivative at 1 with value $\mathcal{I}_p(1)/2$.

We conclude then that $r \to \mathcal{I}_p(r)$ is continuously differentiable on $(0, \infty)$ and $\mathcal{I}'_p(1) = \mathcal{I}_p(1)/2$.

The following lower bound is obtained by establishing the convexity of the function $r \to \mathcal{I}_p(r)$ for each fixed p in (0,2].

Lemma 5. If $0 , then the function <math>r \to \mathcal{I}_p(r)$ satisfies the inequality

(2.6)
$$\mathcal{I}_p(r) \ge \frac{\mathcal{I}_p(1)(1+r)}{2}$$

for r > 0.

Proof. If p = 2, then $\mathcal{I}_2(r) = 1 + r$ and the result is trivial. Suppose then that 0 . If <math>r < 1, then we may differentiate the power series (2.3) termwise to obtain

$$\mathcal{I}'_p(r) = \sum_{m>0} \binom{p/2}{m}^2 \frac{2m}{p} r^{(2m/p)-1}.$$

As $0 , it follows that <math>r \to \mathcal{I}'_p(r)$ is strictly increasing on (0,1), so $r \to \mathcal{I}_p(r)$ is strictly convex on this interval. Thus, if r and s are in (0,1), then

(2.7)
$$\mathcal{I}_p(r) \ge \mathcal{I}_p(s) + (r - s)\mathcal{I}'_p(s).$$

Letting $s \to 1$ — and using Lemma 4, we obtain

(2.8)
$$\mathcal{I}_p(r) \ge \mathcal{I}_p(1) + \mathcal{I}'_p(1)(r-1) = \frac{\mathcal{I}_p(1)(1+r)}{2}$$

for 0 < r < 1.

In a similar manner, if r > 1, we differentiate (2.5) termwise to obtain

$$\mathcal{I}'_{p}(r) = \sum_{m>0} {\binom{p/2}{m}}^{2} \left(1 - \frac{2m}{p}\right) r^{-2m/p},$$

and again $r \to \mathcal{I}'_p(r)$ is strictly increasing on $(1, \infty)$, so $r \to \mathcal{I}_p(r)$ is strictly convex on this interval. Thus (2.7) holds as well for r > 1 and s > 1, and letting $s \to 1+$ we obtain (2.8) for r > 1.

We have therefore verified (2.6) at each point r in $(0,1) \cup (1,\infty)$, and it is trivial at r=1.

Next, we use these facts about the function $r \to \mathcal{I}_p(r)$ to establish some lower bounds on $||F||_p$ when F has just two terms.

Proposition 6. Let $0 \le L < M$ be integers and let α and β be complex numbers. If p > 0 and α and β are not both zero, then

$$(2.9) \qquad \left\|\alpha z^L + \beta z^M\right\|_p \geq \max\{\left|\alpha\right|,\left|\beta\right|\} \left(1 + \left(\frac{p\min\{\left|\alpha\right|,\left|\beta\right|\}}{2\max\{\left|\alpha\right|,\left|\beta\right|\}}\right)^2\right)^{1/p},$$

with equality precisely when $\alpha\beta = 0$ or p = 2. Also, if 0 , then

(2.10)
$$\|\alpha z^{L} + \beta z^{M}\|_{p} \geq B_{p} (|\alpha|^{p} + |\beta|^{p})^{1/p}.$$

Proof. The results are trivial if either α or β is zero, so we assume that this is not the case. We may then assume by homogeneity that $\alpha = 1$, and it is clear from the definition of $||f||_p$ that we may assume that L = 0, M = 1, and that β is real and negative. Suppose p > 0. If $|\beta| < 1$, then taking $r = |\beta|^p$ in (2.3) and keeping just the first two terms of the sum, we obtain

$$||1 + \beta z||_p^p \ge 1 + \frac{p^2 |\beta|^2}{4}.$$

If $|\beta| > 1$, then

$$||1 + \beta z||_p^p = |\beta|^p ||\beta^{-1} + z||_p^p = |\beta|^p ||1 + z/\beta||_p^p.$$

So taking $r = |\beta|^{-p}$, we obtain in the same way

$$||1 + \beta z||_p^p \ge |\beta|^p \left(1 + \frac{p^2}{4|\beta|^2}\right).$$

The case $\beta = -1$ follows by continuity, and this establishes (2.9). For the case of equality, notice that the sum (2.3) has precisely two nonzero terms only when p = 2.

Last, using Lemma 5 we find

$$||1 + \beta z||_{p}^{p} = \mathcal{I}_{p}(|\beta|^{p})$$

$$\geq \frac{\mathcal{I}_{p}(1)(1 + |\beta|^{p})}{2}$$

$$= B_{p}^{p}(1 + |\beta|^{p}),$$

establishing (2.10).

3. Proofs of the theorems

The proof of Theorem 2 employs an averaging argument and makes use of the triangle inequality for L_p norms. We therefore require the restriction $p \ge 1$ in the statement of the theorem.

Proof of Theorem 2. Suppose that $F(z) = \sum_{n=0}^{N} a_n z^n$ is a polynomial with complex coefficients, and L and M are as in the statement of the theorem. Set K = M - L, and let ζ_K denote a primitive Kth root of unity in \mathbb{C} . Then

$$\begin{split} \frac{1}{K} \sum_{k=1}^{K} \zeta_K^{-kL} F\left(\zeta_K^k z\right) &= \frac{1}{K} \sum_{n=0}^{N} \left(\sum_{k=1}^{K} \zeta_K^{k(n-L)}\right) a_n z^n \\ &= \sum_{\substack{0 \le n \le N \\ n \equiv L \pmod{K}}} a_n z^n \\ &= a_L z^L + a_M z^M. \end{split}$$

Using the triangle inequality and the fact that the polynomials $\zeta_K^{-kL} F(\zeta_K^k z)$ all have the same L_p norm, we find that

(3.1)
$$||F||_{p} \ge \left\| \frac{1}{K} \sum_{k=1}^{K} \zeta_{K}^{-kL} F\left(\zeta_{K}^{k} z\right) \right\|_{p} = \left\| a_{L} z^{L} + a_{M} z^{M} \right\|_{p}$$

for $1 \le p \le \infty$. Inequalities (1.10) and (1.11) are then established by combining (3.1) with (2.10) and (2.9), respectively. When $p = \infty$, inequality (1.9) follows by selecting a complex number z of unit modulus so that $a_L z^L$ and $a_M z^M$ have the same argument.

The proof of Theorem 1 proceeds by applying Theorem 2 to a polynomial having the same values over the unit circle as the given polynomial F. Ostrowski [6] and Mignotte [5] (see also [4, p. 80]) employ a similar construction in their proofs of Gonçalves' inequality (1.5) in the case p = 2.

Proof of Theorem 1. Suppose that $F(z) = \sum_{n=0}^{N} a_n z^n = a_N \prod_{n=1}^{N} (z - \alpha_n)$ is a polynomial with complex coefficients. If F(z) has a root at z = 0, then (1.7) and (1.8) follow immediately from (1.1), so we assume that $a_0 \neq 0$. Let \mathcal{E} denote the collection of all subsets of $\{1, 2, ..., N\}$, and for each E in \mathcal{E} , let E' denote the complement of E in $\{1, 2, ..., N\}$. For each set E in \mathcal{E} , we define the finite Blaschke product $B_E(z)$ by

$$B_E(z) = \prod_{n \in E} \frac{1 - \overline{\alpha_n} z}{z - \alpha_n}$$

and the polynomial $G_E(z)$ by

$$G_E(z) = B_E(z)F(z) = \sum_{n=0}^{N} b_n(E)z^n.$$

Clearly,

$$b_0(E) = a_N \prod_{m \in E'} (-\alpha_m)$$

and

$$b_N(E) = a_N \prod_{n \in E} (-\overline{\alpha_n}).$$

If |z|=1, then the Blaschke product satisfies $|B_E(z)|=1$, so $||G_E(z)||_p=||F||_p$ for $0 \le p \le \infty$ and every E in \mathcal{E} . Now select L=0 and M=N for the polynomial $G_E(z)$ in Theorem 2. Then from (1.10) we obtain

(3.2)
$$||F||_{p} \ge B_{p} |a_{N}| \left(\prod_{m \in E'} |\alpha_{m}|^{p} + \prod_{n \in E} |\alpha_{n}|^{p} \right)^{1/p}$$

for $1 \le p \le 2$. Also, since $|b_0(E)b_N(E)| = |a_0a_N|$, we find from (1.11) that

(3.3)
$$||F||_{p} \ge \max\{|b_{0}(E)|, |b_{N}(E)|\} \left(1 + \frac{p^{2}|a_{0}a_{N}|^{2}}{4(\max\{|b_{0}(E)|, |b_{N}(E)|\})^{4}}\right)^{1/p}$$

for $p \ge 1$. Inequalities (1.7) and (1.8) then follow from (3.2) and (3.3) by choosing $E = \{n : |\alpha_n| \le 1\}$.

We remark that the choice of E in the preceding proof produces the best possible inequality in (3.2). To establish this, suppose that $E \in \mathcal{E}$ has $|b_0(E)| = ||F||_0 / r$ for some real number r, so $|b_N(E)| = r |a_0 a_N| / ||F||_0$. Then certainly $1 \le r \le ||F||_0^2 / |a_0 a_N|$, and it is easy to check that

$$\frac{||F||_0}{r} + \frac{r|a_0 a_N|}{||F||_0} \le ||F||_0 + \frac{|a_0 a_N|}{||F||_0}$$

in this range, with equality occurring only at the endpoints.

It is possible, however, that a different choice for E in (3.3) could produce a bound better than (1.8) for a particular polynomial. Specifically, if $E \in \mathcal{E}$ has $|b_0(E)| = ||F||_0/r$, again with $1 \le r \le ||F||_0^2/|a_0a_N|$, then we obtain an improved bound whenever

$$\left(4\left||F||_{0}^{4}+p^{2}\left|a_{0}a_{N}\right|^{2}\right)r^{p}<4\left||F||_{0}^{4}+p^{2}\left|a_{0}a_{N}\right|^{2}r^{4},$$

and this may occur when p is small. For example, the polynomial $F(z) = 18z^2 - 101z + 90$ has roots $\alpha_1 = 9/2$ and $\alpha_2 = 10/9$; choosing $E = \{\}$ with p = 1 yields $||F||_1 \ge 90.9$, but selecting $E = \{1\}$ (so r = 9/2) produces a lower bound slightly larger than 102.

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