

## ON ZEROS OF MATRIX-VALUED ANALYTIC FUNCTIONS

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*Abstract.* We extend a result proved by Dirr and Wimmer [IEEE Trans. Automat. Control 52(2007)] for polynomials to the matrix valued analytic functions and thereby obtain generalizations of some well-known results concerning the zero free regions of a class of analytic functions.

### 1. Introduction and statement of results

Let  $\Omega \subseteq \mathbb{C}$  be an open set,  $\mathbb{M}_n$  be the set of  $n \times n$  matrices,  $n \geq 1$ , with entries in  $\mathbb{C}$  and  $\|\cdot\|$  denote the operator norm, induced by the Euclidean norm on  $\mathbb{C}^n$ . Then a matrix-valued function  $F : \Omega \rightarrow \mathbb{M}_n$  is said to be analytic in  $\Omega$ , if for each  $z_0 \in \mathbb{M}_n$ , there is a member of  $\mathbb{M}_n$ , denoted by  $F'(z_0)$ , such that  $\left\| \frac{F(z) - F(z_0)}{z - z_0} - F'(z_0) \right\| \rightarrow 0$  as  $z \rightarrow z_0$ . A number  $\lambda \in \mathbb{C}$  is said to be a zero of  $F(z)$  if there exists a vector  $x \in \mathbb{C}^n \setminus \{0\}$  such that  $F(\lambda)x = 0$ . In other words  $\lambda$  is a zero of  $F(z)$ , if  $F(\lambda)$  is less than full rank. Some authors also refer to  $\lambda$  (see e.g. [2]), as an eigenvalue of  $F(z)$ .

Many differential equations in science and engineering lead to the consideration of the matrix-valued analytic functions. For instance, the standard model of an RLC circuit, gives rise to the formulation of the problem,  $x'(t) = Ax(t)$ , where  $A \in \mathbb{M}_n$  and  $x(t)$  is a vector valued function. Its solution is of the form of  $e^{At} = \sum_{j=0}^{\infty} \frac{A^j t^j}{j!}$  and the decay of these solutions is controlled by the operator norm  $\|e^{At}\|$ . Matrix-valued functions also play an important role in the spectral analysis of a matrix  $A \in \mathbb{M}_n$ . After all,  $\lambda \in \mathbb{C}$ , is an eigenvalue of a matrix  $A$  if and only if the resolvent function defined by  $z \rightarrow (A - zI)^{-1}$  has a singularity at  $z = \lambda$ , that is,  $A - \lambda I$  is not invertible. Here  $I$  represents the identity matrix.

Analytic matrix-valued functions also appear in many other areas such as harmonic analysis of an operator on a Hilbert space, for example, finite-rank perturbation of self-adjoint and unitary operator. As a result they also arise in mathematical physics, for example, Schrödinger operators. Practically, problems related to spectral properties of an operator are generally solved with the help of matrix-valued analytic functions defined on the upper-half plane, called characteristic functions.

For matrices  $A, B \in \mathbb{M}_n$ , we write  $A \geq 0$  or  $A > 0$ , if  $A$  is positive semi-definite or positive definite respectively. Similarly  $A \geq B$ , means  $A - B \geq 0$  and  $A > B$  implies  $A -$

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$B > 0$ . Also,  $A^*$  and  $tr(A)$  denote the transpose conjugate and trace of  $A$ , respectively. In the same way,  $x^*$  denotes the conjugate transpose of a vector  $x \in \mathbb{C}^n$ . A vector  $u$  is unit vector if  $\|u\| := \sqrt{u^*u} = 1$ . It should also be noted that every matrix  $A$  can be uniquely expressed as  $A = H + iK$ , where  $H = \frac{A + A^*}{2}$  and  $K = \frac{A - A^*}{2i}$  are Hermitian. We call  $H$  and  $K$  the real and imaginary parts of  $A$  and write  $\Re(A) = H$  and  $\Im(A) = K$ . Also  $\lambda_{\max}(A)$  and  $\lambda_{\min}(A)$  denote the maximum and minimum of all the eigenvalues of a Hermitian matrix  $A$ , respectively.

For an inner product  $\langle \cdot, \cdot \rangle$  on a vector space  $V$  over the field  $\mathbb{F}$  ( $\mathbb{F} = \mathbb{C}$  or  $\mathbb{R}$ ),  $\angle(x, y) := \cos^{-1} \Re \left( \frac{\langle x, y \rangle}{\langle x, x \rangle^{\frac{1}{2}} \langle y, y \rangle^{\frac{1}{2}}} \right)$  defines an angle between vectors  $x, y \in V \setminus \{0\}$ . We also note that for the vector space  $V = \mathbb{M}_n$ , over  $\mathbb{C}$ , the function  $\langle \cdot, \cdot \rangle : V \times V \rightarrow \mathbb{C}$  given by  $\langle A, B \rangle = tr(B^*A)$ , defines an inner product called Frobenius inner product and the corresponding induced norm, denoted by  $\|\cdot\|_F$ , is called the Frobenius norm.

We must also mark down that any matrix-valued function  $F(z)$  analytic in  $|z| \leq 1$  can be expressed as a power series  $F(z) = \sum_{j=0}^{\infty} A_j z^j$ ,  $A_j \in \mathbb{M}_n$ ,  $|z| \leq 1$  (for ref. see [13]).

The following theorem of Eneström and Kakeya is well-known in the theory of distribution of zeros of a polynomial.

**THEOREM A.** *If  $p(z) := \sum_{j=0}^n a_j z^j$  is a polynomial with real coefficients such that  $a_n \geq a_{n-1} \geq \dots \geq a_0 > 0$ . Then all the zeros of  $p(z)$  lie in  $|z| \leq 1$ .*

Theorem A was first proved by Gustov Eneström [3], while he was studying a problem in the theory of pension funds. Kakeya [10] independently proved the following more general result and published it in English.

**THEOREM B.** *Let  $p(z) := \sum_{j=0}^n a_j z^j$ , be a polynomial with real and positive coefficients, then all the zeros of  $p(z)$  lie in the annulus  $R_1 \leq |z| \leq R_2$ , where  $R_1 = \min_{j=0, \dots, n-1} \left\{ \frac{a_j}{a_{j+1}} \right\}$ ,  $R_2 = \max_{j=0, \dots, n-1} \left\{ \frac{a_j}{a_{j+1}} \right\}$ .*

Eneström [4] later published a French translation of his earlier proof and it is due to these reasons that the result is known as Eneström-Kakeya theorem. For a detailed survey of the result and its generalizations, see [8, 12].

Joyal, Labelle and Rahman [9] generalized Theorem A by dropping the condition of non-negativity and maintaining the condition of monotonicity. They proved:

**THEOREM C.** *If  $p(z) := \sum_{j=0}^n a_j z^j$  is a polynomial of degree  $n$  such that  $a_n \geq a_{n-1} \geq \dots \geq a_1 \geq a_0$ . Then all the zeros of  $p(z)$  lie in  $|z| \leq \frac{1}{|a_n|} (a_n - a_0 + |a_0|)$ .*

Theorem C like the Eneström-Keakeya theorem is only applicable to the polynomials with real coefficients. Govil and Rahman [6] proved the following result for polynomials with complex coefficients.

**THEOREM D.** Let  $p(z) := \sum_{j=0}^n a_j z^j$ , be a polynomial of degree  $n$  with complex coefficients such that for some real  $\beta$ ,  $|\arg a_j - \beta| \leq \alpha \leq \frac{\pi}{2}$ , for  $0 \leq j \leq n$  and  $|a_n| \geq |a_{n-1}| \geq \dots \geq |a_1| \geq |a_0|$ . Then all zeros of  $p(z)$  lie in the disk  $|z| \leq (\sin \alpha + \cos \alpha) + \frac{2 \sin \alpha}{|a_n|} \sum_{j=0}^{n-1} |a_j|$ .

Govil and Rahman [6], in the same paper, extended the above result to complex valued analytic functions with similar conditions on the angles and moduli of the coefficients, appearing in their series representation. They proved

**THEOREM E.** Let  $f(z) := \sum_{j=0}^{\infty} a_j z^j$ , be analytic in  $|z| \leq 1$ , such that for some real  $\beta$ ,  $|\arg a_j - \beta| \leq \alpha \leq \frac{\pi}{2}$ , for  $j = 0, 1, 2, \dots$  and  $|a_0| \geq |a_1| \geq |a_2| \geq \dots$ . Then  $f(z)$  does not vanish in the disk  $|z| \leq \left( \sin \alpha + \cos \alpha + \frac{2 \sin \alpha}{|a_0|} \sum_{j=0}^{n-1} |a_j| \right)^{-1}$ .

They also [6] proved a different result for polynomials with complex coefficients while imposing a non-negative and monotone condition on the real parts of the coefficients of a polynomial, as follows:

**THEOREM F.** Let  $p(z) := \sum_{j=0}^n a_j z^j$ , be a polynomial of degree  $n$  with complex coefficients such that  $\Re(a_j) = \alpha_j$  and  $\Im a_j = \beta_j$  for  $j = 0, 1, 2, \dots, n$  satisfying  $\alpha_n \geq \alpha_{n-1} \geq \dots \geq \alpha_1 \geq 0$ ,  $\alpha_n \neq 0$ . Then all the zeros of  $p(z)$  lie in  $|z| \leq 1 + \frac{2}{\alpha_n} \sum_{j=0}^n |\beta_j|$ .

Dirr and Wimmer [2] extended Theorem A to matrix polynomials and proved the following result concerning the bound estimate of the zeros of a matrix polynomial.

**THEOREM G.** Let  $P(z) := \sum_{j=0}^n A_j z^j$ ,  $A_j \in \mathbb{M}_k$ ,  $k > 0$ ,  $0 \leq j \leq n$  be a matrix polynomial of degree  $n$  such that

$$A_n \geq A_{n-1} \geq \dots \geq A_0 \geq 0, A_n > 0. \tag{1.1}$$

Then the zeros of  $P(z)$  lie in the closed unit disk  $|z| \leq 1$ .

Le, Du and Nguyen [11] extended Theorem B to matrix polynomials as follows.

**THEOREM H.** Let  $P(z) := \sum_{j=0}^n A_j z^j$ , where  $A_j \in \mathbb{M}_k$ ,  $k > 0$  are positive-definite, be a matrix polynomial of degree  $n$ . Then the eigenvalues of  $P(z)$  lie in the annulus  $R'_1 \leq |z| \leq R'_2$ , where  $R'_1 = \min_{j=0, \dots, n-1} \left\{ \frac{\lambda_{\min}(A_j)}{\lambda_{\max}(A_{j+1})} \right\}$  and  $R'_2 = \max_{j=0, \dots, n-1} \left\{ \frac{\lambda_{\max}(A_j)}{\lambda_{\min}(A_{j+1})} \right\}$ .

In this paper we extend Theorem G to matrix valued analytic functions by associating a monotone condition of the form of (1.1), on coefficients of the Taylor series expansion of a matrix valued analytic function. We further extend Theorem E and Theorem F by firstly restricting the angle and then binding the real parts of the coefficients of a matrix valued analytic function. We first prove:

**THEOREM 1.** Let  $F(z) := \sum_{j=0}^{\infty} A_j z^j$ ,  $A_j \in \mathbb{M}_n$ ,  $j = 0, 1, \dots$ , be analytic in  $|z| \leq 1$ . Assume  $A_0 \geq A_1 \geq \dots$ ,  $A_0 > 0$ . Then the zeros of  $F(z)$  lie outside the disk  $|z| < 1$ .

We next prove:

**THEOREM 2.** Let  $F(z) := \sum_{j=0}^{\infty} A_j z^j$ ,  $\det(A_0) \neq 0$ ,  $A_j \in \mathbb{M}_n$ ,  $j = 0, 1, \dots$ , be analytic in  $|z| \leq 1$ . Assume  $\|A_0\|_F \geq \|A_1\|_F \geq \dots$ , and  $\angle(A_j, C) \leq \alpha \leq \frac{\pi}{2}$ ,  $j = 0, 1, \dots$ , for some non-zero matrix  $C \in \mathbb{M}_n$ . Then the zeros of  $F(z)$  lie outside the disk

$$|z| < \frac{1}{\|A_0^{-1}\|_F} \left\{ \|A_0\|_F (\cos \alpha + \sin \alpha) + 2 \sin \alpha \sum_{j=1}^{\infty} \|A_j\|_F \right\}^{-1}. \tag{1.2}$$

Finally we prove:

**THEOREM 3.** Let  $F(z) := \sum_{j=0}^{\infty} A_j z^j$ ,  $A_j \in \mathbb{M}_n$ ,  $j = 0, 1, \dots$ , be analytic in  $|z| \leq 1$ . Let  $\Re(A_j) = B_j$  and  $\Im(A_j) = C_j$ ,  $j = 0, 1, \dots$ , and assume  $B_0 \geq B_1 \geq \dots$ ,  $B_0 > 0$ . Then the zeros of  $F(z)$  lie outside the disk

$$|z| < \frac{1}{1 + \frac{2}{\lambda_{\min}(B_0)} \sum_{j=0}^{\infty} |r(C_j)|}. \tag{1.3}$$

where, for a matrix  $A \in \mathbb{M}_n$ ,  $r(A) = \max\{\|u^* A u\|; \|u\| = 1\}$ .

For  $C_j = 0$ , Theorem 3 reduces to Theorem 1. We also note that for a matrix  $A$ ,  $r(A)$  is called the numerical radius of  $A$ .

### 2. Lemmas and proofs of theorems

For the proofs of these theorems, we need the following lemmas.

LEMMA 1. *Let  $A, B \in \mathbb{M}_n$ , be such that  $\|A\|_F \geq \|B\|_F$  and  $\angle(A, B) = \theta \leq 2\alpha \leq \pi$ , then*

$$\|A - B\|_F \leq (\|A\|_F - \|B\|_F) \cos \alpha + (\|A\|_F + \|B\|_F) \sin \alpha. \tag{2.1}$$

*Proof.*

$$\begin{aligned} \|A - B\|_F^2 &= \|A\|_F^2 + \|B\|_F^2 - 2\|A\|_F\|B\|_F \cos \theta \\ &\leq \|A\|_F^2 + \|B\|_F^2 - 2\|A\|_F\|B\|_F \cos(2\alpha) \\ &= (\|A\|_F - \|B\|_F)^2 \cos^2 \alpha + (\|A\|_F + \|B\|_F)^2 \sin^2 \alpha \\ &\leq ((\|A\|_F - \|B\|_F) \cos \alpha + (\|A\|_F + \|B\|_F) \sin \alpha)^2. \end{aligned}$$

Thus

$$\|A - B\|_F \leq (\|A\|_F - \|B\|_F) \cos \alpha + (\|A\|_F + \|B\|_F) \sin \alpha.$$

This proves Lemma 1.  $\square$

LEMMA 2. *Let  $\langle \cdot, \cdot \rangle$  be an inner product on a vector space  $V$  over  $\mathbb{F}$ . Let  $a, b, c \in V \setminus \{0\}$  such that  $\angle(a, b) = \theta_1 \leq \frac{\pi}{2}$ ,  $\angle(b, c) = \theta_2 \leq \frac{\pi}{2}$ , then*

$$\angle(a, c) = \theta \leq \theta_1 + \theta_2.$$

*Proof.* Without loss of generality we assume  $\langle a, a \rangle = \langle b, b \rangle = \langle c, c \rangle = 1$ . Since  $\Re \langle x, y \rangle$ ,  $x, y \in V$  defines an inner product on  $V$  and determinant of a gram matrix is non-negative, therefore

$$\begin{vmatrix} \Re \langle a, a \rangle & \Re \langle a, b \rangle & \Re \langle a, c \rangle \\ \Re \langle b, a \rangle & \Re \langle b, b \rangle & \Re \langle b, c \rangle \\ \Re \langle c, a \rangle & \Re \langle c, b \rangle & \Re \langle c, c \rangle \end{vmatrix} \geq 0.$$

That is

$$\begin{vmatrix} 1 & \cos \theta_1 & \cos \theta \\ \cos \theta_1 & 1 & \cos \theta_2 \\ \cos \theta & \cos \theta_2 & 1 \end{vmatrix} \geq 0.$$

This gives

$$1 - \cos^2 \theta_1 - \cos^2 \theta_2 - \cos^2 \theta + 2 \cos \theta_1 \cos \theta_2 \cos \theta \geq 0.$$

That is

$$(1 - \cos^2 \theta_1)(1 - \cos^2 \theta_2) - (\cos \theta - \cos \theta_1 \cos \theta_2)^2 \geq 0,$$

or

$$|\cos \theta - \cos \theta_1 \cos \theta_2| \leq \sin \theta_1 \sin \theta_2.$$

Equivalently

$$\cos \theta \geq \cos \theta_1 \cos \theta_2 - \sin \theta_1 \sin \theta_2 = \cos(\theta_1 + \theta_2).$$

This gives

$$\theta \leq \theta_1 + \theta_2.$$

This proves Lemma 2.  $\square$

We also need following lemmas (for ref. see [7]) for the proof of the theorems.

LEMMA 3. Let  $A \in \mathbb{M}_n$ , then

$$r(A) \leq \|A\| \leq \|A\|_F,$$

LEMMA 4. Let  $A \in M_n$ , be a Hermitian matrix, then

$$\lambda_{\min}(A) = \min_{\|u\|=1} \{u^*Au\} \leq \max_{\|u\|=1} \{u^*Au\} = \lambda_{\max}(A).$$

*Proof of Theorem 1.* Let  $u$  be a unit vector and define  $F_u(z) = u^*(1-z)F(z)u = \sum_{j=0}^{\infty} (1-z)u^*A_juz^j$ . Since  $F(z)$  is analytic in  $|z| \leq 1$ , therefore  $F_u(z)$  is analytic in  $|z| \leq 1$ . Also  $A_j \geq A_{j+1}$ ,  $A_0 > 0$ , therefore

$$u^*A_ju \geq u^*A_{j+1}u, \quad u^*A_0u > 0, \quad j = 0, 1, \dots \quad (2.2)$$

Now for  $|z| \leq 1$ , we have

$$\begin{aligned} |F_u(z)| &= |u^*(1-z)F(z)u| \\ &= |u^*A_0u + z \sum_{j=0}^{\infty} u^*(A_{j+1} - A_j)uz^j| \\ &\geq |u^*A_0u| - |z| \sum_{j=0}^{\infty} |u^*(A_{j+1} - A_j)u|. \end{aligned}$$

This gives on using (2.2),

$$\begin{aligned} |F_u(z)| &\geq u^*A_0u(1 - |z|) \\ &> 0, \text{ if } |z| < 1. \end{aligned}$$

This shows that the zeros of  $F_u(z)$  and therefore, the zeros of  $F(z)$  lie outside the disk  $|z| < 1$ .  $\square$

*Proof of Theorem 2.* Since  $\angle(A_j, C) \leq \alpha \leq \frac{\pi}{2}$ ,  $j = 0, 1, \dots$ , therefore by Lemma 2,  $\angle(A_{j-1}, A_j) \leq 2\alpha \leq \pi$ ,  $j = 1, 2, \dots$ . Define  $G(z) = (1-z)F(z)$  and let  $u$  be a unit

vector, then we have for  $|z| \leq 1$ ,

$$\begin{aligned} \|G(z)u\| &= \|(1-z)F(z)u\| \\ &= \left\| A_0u - \sum_{j=0}^{\infty} (A_{j+1} - A_j)uz^{j+1} \right\| \\ &\geq \|A_0u\| - \left\| \sum_{j=1}^{\infty} (A_{j+1} - A_j)uz^{j+1} \right\| \\ &\geq \|A_0^{-1}\|^{-1} - |z| \left\| \sum_{j=0}^{\infty} (A_{j+1} - A_j)z^j \right\| \\ &\geq \|A_0^{-1}\|^{-1} - |z| \sum_{j=0}^{\infty} \|A_{j+1} - A_j\|. \end{aligned}$$

This gives with the help of Lemma 3,

$$\|G(z)u\| \geq \|A_0^{-1}\|_F^{-1} - |z| \sum_{j=0}^{\infty} \|A_{j+1} - A_j\|_F.$$

Therefore by using Lemma 1, we get

$$\begin{aligned} \|G(z)u\| &\geq \|A_0^{-1}\|_F^{-1} - |z| \sum_{j=0}^{\infty} \{ (\|A_j\|_F - \|A_{j+1}\|_F) \cos \alpha + (\|A_j\|_F + \|A_{j+1}\|_F) \sin \alpha \} \\ &= \|A_0^{-1}\|_F^{-1} - |z| \left\{ \|A_0\|_F (\cos \alpha + \sin \alpha) + 2 \sin \alpha \sum_{j=1}^{\infty} \|A_j\|_F \right\} \\ &> 0, \end{aligned}$$

if

$$|z| < \frac{1}{\|A_0^{-1}\|_F} \left( \|A_0\|_F (\cos \alpha + \sin \alpha) + 2 \sin \alpha \sum_{j=1}^{\infty} \|A_j\|_F \right)^{-1} \leq 1.$$

Since Frobenius norm is submultiplicative and  $0 \leq \alpha \leq \frac{\pi}{2}$ , therefore the inequality on the right is true. This shows that all the zeros of  $G(z)$ , and therefore of  $F(z)$  lie in

$$|z| \geq \frac{1}{\|A_0^{-1}\|_F} \left( \|A_0\|_F (\cos \alpha + \sin \alpha) + 2 \sin \alpha \sum_{j=1}^{\infty} \|A_j\|_F \right)^{-1}. \quad \square$$

Since  $A \geq B$ , implies  $\|A\|_F \geq \|B\|_F$ , therefore on using Lemma 3 and Lemma 4 we have the following:

**COROLLARY 1.** Let  $F(z) := \sum_{j=0}^{\infty} A_j z^j$ ,  $A_j \in \mathbb{M}_n$ ,  $j = 0, 1, \dots$ , be analytic in  $|z| \leq$

1. Assume  $A_0 \geq A_1 \geq \dots$ , and  $\angle(A_j, C) \leq \alpha \leq \frac{\pi}{2}$ ,  $j = 0, 1, \dots$ , for some non-zero

matrix  $C \in \mathbb{M}_n$ . Then the zeros of  $F(z)$  lie outside the disk

$$|z| < \frac{1}{\lambda_{\max}(A_0^{-1})} \left\{ \lambda_{\max}(A_0)(\cos \alpha + \sin \alpha) + 2\sin \alpha \sum_{j=1}^{\infty} \lambda_{\max}(A_j) \right\}^{-1}. \tag{2.3}$$

*Proof of Theorem 3.* Let  $u$  be a unit vector. Define  $F_u(z) = u^*(1 - z)F(z)u$ , then  $F_u(z)$  is a complex function analytic in  $|z| \leq 1$ . Now for  $|z| \leq 1$ , we have

$$\begin{aligned} |F_u(z)| &= |u^*A_0u - z \sum_{j=0}^{\infty} u^*(A_{j+1} - A_j)uz^j| \\ &\geq |u^*A_0u| - |z| \sum_{j=0}^{\infty} |u^*(B_{j+1} - B_j)u + iu^*(C_{j+1} - C_j)u| \\ &\geq u^*B_0u - |z|(u^*B_0u - |u^*C_0u| + 2 \sum_{j=0}^{\infty} |u^*C_ju|) \\ &\geq u^*B_0u - |z|(u^*B_0u + 2 \sum_{j=0}^{\infty} |u^*C_ju|) \\ &> 0, \end{aligned}$$

if

$$|z| < \frac{1}{1 + \frac{2}{|u^*B_0u|} \sum_{j=0}^{\infty} |u^*C_ju|}.$$

Using Lemma 3 and Lemma 4, this is possible if

$$|z| < \frac{1}{1 + \frac{2}{\lambda_{\min}(B_0)} \sum_{j=0}^{\infty} |r(C_j)|}.$$

This shows that all the zeros of  $F_u(z)$  and therefore the zeros of  $F(z)$  lie outside the disk

$$|z| < \frac{1}{1 + \frac{2}{\lambda_{\min}(B_0)} \sum_{j=0}^{\infty} |r(C_j)|}. \quad \square$$

The following can be easily obtained from the above theorem by using Lemma 3 and Lemma 4:

**COROLLARY 2.** Let  $F(z) := \sum_{j=0}^{\infty} A_jz^j$ ,  $A_j \in \mathbb{M}_n$ ,  $j = 0, 1, \dots$  be analytic in  $|z| \leq 1$ .

Let  $\Re(A_j) = B_j$  and  $\Im(A_j) = C_j$ ,  $j = 0, 1, \dots$  and assume  $B_0 \geq B_1 \geq \dots$ ,  $B_0 > 0$ . Then the zeros of  $F(z)$  lie outside the disk

$$|z| < \frac{1}{1 + \frac{2}{\|B_0^{-1}\|^{-1}} \sum_{j=0}^{\infty} \|C_j\|}. \tag{2.4}$$



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