

ESTIMATES FOR THE MODULI OF THE ZEROS OF A POLYNOMIAL

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Abstract. In this paper, we prove a more general result concerning the location of the zeros of a polynomial in a ring shaped region from which we deduce an interesting and significant refinement of a classical result of Cauchy. A variety of other results, which in particular include several known extensions and generalizations of Enestrom - Kakeya Theorem, can be established from this result by a fairly uniform procedure.

1. Introduction and statement of results

It is a fundamental problem of algebra to find the solution of algebraic equations. Quite a few results giving bounds for some or all the zeros of a polynomial in terms of its coefficients may be found in [1, 2, 5, 6-8]. More recently, J. L. Diaz-Barrero [3] has obtained an annulus containing all the zeros of a polynomial involving binomial coefficients and Fibonacci's numbers $F_k = F_{k-1} + F_{k-2}$ for $k \geq 2$, where $F_0 = 0$ and $F_1 = 1$. In fact, he has proved the following result.

THEOREM A. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

be a non-constant complex polynomial of degree n . Then all the zeros of $P(z)$ lie in the annulus $R = \{z \in \mathbb{C} : r_1 \leq |z| \leq r_2\}$, where

$$r_1 = \frac{3}{2} \min_{1 \leq k \leq n} \left\{ \frac{2^n F_k C(n, k)}{F_{4n}} \left| \frac{a_0}{a_k} \right| \right\}^{1/k} \quad \text{and}$$

$$r_2 = \frac{2}{3} \max_{1 \leq k \leq n} \left\{ \frac{F_{4n}}{2^n F_k C(n, k)} \left| \frac{a_{n-k}}{a_n} \right| \right\}^{1/k}.$$

The main aim of this paper is to prove the following more general result (Theorem 1) which includes not only Theorem A as a special case but also a variety of other interesting results can be established from Theorem 1 by a fairly uniform procedure.

THEOREM 1. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

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be a non-constant complex polynomial of degree n . If $\lambda_1, \lambda_2, \dots, \lambda_n$ is any set of n real or complex numbers such that

$$\sum_{k=1}^n |\lambda_k| \leq 1,$$

then all the zeros of $P(z)$ lie in the annulus $R = \{z \in \mathbb{C} : r_1 \leq |z| \leq r_2\}$, where

$$r_1 = \min_{1 \leq k \leq n} \left| \lambda_k \frac{a_0}{a_k} \right|^{1/k} \quad \text{and} \quad r_2 = \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_{n-k}}{a_n} \right|^{1/k}.$$

REMARK 1. If we take in Theorem 1,

$$\lambda_k = \frac{3^k 2^n F_k C(n, k)}{2^k F_{4n}}, \quad k = 1, 2, \dots, n,$$

and make use of the identity [3],

$$\sum_{k=1}^n 2^{n-k} 3^k F_k C(n, k) = F_{4n}$$

involving binomial coefficients and Fibonacci's numbers, then

$$\sum_{k=1}^n |\lambda_k| = \sum_{k=1}^n \lambda_k = 1$$

and we get Theorem A immediately.

If in Theorem 1, we take

$$\lambda_k = \frac{F_k}{F_{n+2} - 1}, \quad k = 1, 2, \dots, n,$$

and make use of another identity [10, p. 99] concerning Fibonacci's numbers F_k namely

$$\sum_{k=1}^n F_k = F_{n+2} - 1,$$

which can be easily established with the help of mathematical induction, we shall obtain the following interesting result.

COROLLARY 1. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_1 z + a_0,$$

be a non-constant complex polynomial of degree n . Then all the zeros of $P(z)$ lie in the annulus $R = \{z \in \mathbb{C} : r_1 \leq |z| \leq r_2\}$, where

$$r_1 = \min_{1 \leq k \leq n} \left\{ \frac{F_k}{F_{n+2} - 1} \left| \frac{a_0}{a_k} \right| \right\}^{1/k} \quad \text{and} \quad r_2 = \max_{1 \leq k \leq n} \left\{ \frac{F_{n+2} - 1}{F_k} \left| \frac{a_{n-k}}{a_n} \right| \right\}^{1/k}.$$

Let

$$R = \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right|.$$

In Theorem 1, we take

$$\lambda_k = \frac{1}{R} \left\{ \frac{a_{n-k}}{a_n} \right\}$$

then

$$\sum_{k=1}^n |\lambda_k| = \frac{1}{R} \sum_{k=1}^n \left\{ \frac{a_{n-k}}{a_n} \right\} = 1$$

and it can be easily seen that

$$r_2 = \max_{1 \leq k \leq n} R^{1/k} = \max \left\{ R, R^{1/n} \right\}.$$

Hence we get the following result.

COROLLARY 2. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

be a non-constant polynomial of degree n then all the zeros of $P(z)$ lie in the disk

$$|z| \leq \max \left\{ R, R^{1/n} \right\}$$

where

$$R = \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right|.$$

Next we use Theorem 1 to prove the following interesting and significant refinement of a classical result of Cauchy [5, p. 123] which states that all the zeros of a polynomial

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0, \quad a_n \neq 0, \quad (1)$$

lie in the disk

$$|z| < 1 + M \quad \text{where} \quad M = \max_{1 \leq k \leq n} \left| \frac{a_{n-k}}{a_n} \right|.$$

THEOREM 2. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

be a non-constant polynomial of degree n , then all the zeros of $P(z)$ lie in the disk

$$|z| \leq \left\{ (1 + M)^n - 1 \right\}^{1/n} \quad \text{where} \quad M = \max_{1 \leq k \leq n} \left| \frac{a_{n-k}}{a_n} \right|.$$

REMARK 2. Using

$$\{ (1 + M)^n - 1 \}^{1/n} < 1 + M,$$

in Theorem 2, we immediately get the above mentioned classical result of Cauchy.

REMARK 3. Let r be the positive root of the equation

$$|a_0| + |a_1|z + \dots + |a_{n-1}|z^{n-1} - |a_n|z^n = 0, \quad a_n \neq 0, \tag{2}$$

then clearly

$$\left| \frac{a_0}{a_n} \right| \frac{1}{r^n} + \left| \frac{a_1}{a_n} \right| \frac{1}{r^{n-1}} + \dots + \left| \frac{a_{n-1}}{a_n} \right| \frac{1}{r} = 1. \tag{3}$$

If we choose

$$\lambda_k = \left(\frac{a_{n-k}}{a_n} \right) \frac{1}{r^k}, \quad k = 1, 2, \dots, n,$$

then by (3), we have

$$\sum_{k=1}^n |\lambda_k| = \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right| \frac{1}{r^k} = 1 \quad \text{and} \quad r_2 = \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_{n-k}}{a_n} \right|^{1/k} = r.$$

Hence from Theorem 1, it follows that all the zeros of $P(z)$ defined by (1) lie in the closed disk $|z| \leq r$ where r is the positive root of the equation defined by (2). This is another classical result also due to Cauchy [5, p.122].

Many other interesting results can be easily deduced from Theorem 1. Here we mention a few of these. First we state the following result which is obtained by applying Theorem 1 to the $(n + 1)$ th degree polynomial

$$P(z) = (z - t)P(z)$$

where $P(z)$ is defined by (1) and t is any real or a complex number.

THEOREM 3. Let

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_1 z + a_0,$$

be a non constant complex polynomial of degree n . If $\lambda_1, \lambda_2, \dots, \lambda_n, \lambda_{n+1}$ is any set of $(n + 1)$ real or complex numbers such that

$$\sum_{k=1}^n |\lambda_k| \leq 1,$$

then for any real or a complex number t , all the zeros of $P(z)$ lie in the annulus

$$R = \{z \in \mathbb{C} : r_1 \leq |z| \leq r_2\}$$

where

$$r_1 = \min_{1 \leq k \leq n+1} \left| \lambda_k \frac{ta_0}{(a_{k-1} - ta_k)} \right|^{1/k}, \quad (a_{n+1} = 0)$$

and

$$r_2 = \max_{1 \leq k \leq n+1} \left| \frac{1}{\lambda_k} \frac{(a_{n-k} - ta_{n-k+1})}{a_n} \right|^{1/k}, \quad (a_{-1} = 0).$$

The following corollary immediately follows from Theorem 3 by taking $t = 1$.

COROLLARY 3. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

of degree $n \geq 1$. If $\lambda_1, \lambda_2, \dots, \lambda_n, \lambda_{n+1}$ is any set of $(n+1)$ real or complex numbers such that

$$\sum_{k=1}^{n+1} |\lambda_k| \leq 1,$$

then all the zeros of $P(z)$ lie in the annulus

$$R = \{z \in \mathbb{C} : r_1 \leq |z| \leq r_2\}$$

where

$$r_1 = \min_{1 \leq k \leq n+1} \left| \lambda_k \frac{a_0}{(a_k - a_{k-1})} \right|^{1/k}, \quad (a_{n+1} = 0)$$

and

$$r_2 = \max_{1 \leq k \leq n+1} \left| \frac{1}{\lambda_k} \frac{(a_{n-k+1} - a_{n-k})}{a_n} \right|^{1/k}, \quad (a_{-1} = 0).$$

Let

$$L = \sum_{k=1}^{n+1} \left| \frac{a_{n-k+1} - a_{n-k}}{a_n} \right|, \quad (a_{-1} = 0),$$

then

$$L \geq \left| \sum_{k=1}^{n+1} \frac{a_{n-k+1} - a_{n-k}}{a_n} \right| = \frac{1}{|a_n|} |a_n - a_{n-1} + a_{n-1} - a_{n-2} + \cdots + a_1 - a_0 + a_0| = \frac{|a_n|}{|a_n|} = 1. \quad (4)$$

Choosing

$$\lambda_k = \frac{1}{L} \left\{ \frac{a_{n-k+1} - a_{n-k}}{a_n} \right\}, \quad k = 1, 2, \dots, n,$$

so that

$$\sum_{k=1}^{n+1} |\lambda_k| = \frac{1}{L} \sum_{k=1}^{n+1} \left| \frac{a_{n-k+1} - a_{n-k}}{a_n} \right| = 1$$

and noting by (4) that

$$r_2 = \max_{1 \leq k \leq n+1} \{L\}^{1/k} = L,$$

the following result is an immediate consequence of Corollary 3.

COROLLARY 4. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

be a polynomial of degree $n \geq 1$. Then all the zeros of $P(z)$ lie in the closed disk $|z| \leq L$, where

$$L = \sum_{k=1}^{n+1} \left| \frac{a_{n-k+1} - a_{n-k}}{a_n} \right|, \quad (a_{-1} = 0).$$

Again if we take

$$R = \sum_{k=1}^{n+1} \left| \frac{a_k - a_{k-1}}{a_0} \right|, \quad (a_{n+1} = 0),$$

where we may assume $a_0 \neq 0$, then clearly as before $R \geq 1$. Choosing now

$$\lambda_k = \frac{1}{R} \left\{ \frac{a_k - a_{k-1}}{a_0} \right\}, \quad k = 1, 2, \dots, n+1,$$

which gives

$$\sum_{k=1}^{n+1} |\lambda_k| = \frac{1}{R} \sum_{k=1}^{n+1} \left| \frac{a_k - a_{k-1}}{a_0} \right| = 1.$$

Since

$$r_1 = \min_{1 \leq k \leq n+1} \left| \lambda_k \frac{a_0}{(a_k - a_{k-1})} \right|^{1/k} = \min_{1 \leq k \leq n+1} \left\{ \frac{1}{R} \right\}^{1/k} = \frac{1}{R},$$

from Corollary 3, we immediately get the following interesting result.

COROLLARY 5. *Let*

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_1 z + a_0,$$

be a polynomial of degree $n \geq 1$. Then $P(z)$ does not vanish in the disk

$$|z| < \frac{1}{R} = \frac{|a_0|}{\sum_{k=1}^{n+1} |a_k - a_{k-1}|}.$$

If

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \dots + a_1 z + a_0,$$

be a polynomial of degree n such that

$$a_n \geq a_{n-1} \geq \dots \geq a_1 \geq a_0 \geq 0,$$

then clearly

$$L = \sum_{k=1}^{n+1} \left| \frac{a_{n-k+1} - a_{n-k}}{a_n} \right| = \sum_{k=1}^{n+1} \frac{(a_{n-k+1} - a_{n-k})}{a_n} = \frac{a_n}{a_n} = 1, \quad (a_{-1} = 0)$$

and from Corollary 4, it follows that all the zeros of $P(z)$ lie in the closed unit disk $|z| \leq 1$. This is a famous result known as Eneström-Kakeya Theorem [5, p.136].

If we assume that the coefficients of the polynomial $P(z)$ are monotonic but not necessarily non-negative, that is, if

$$0 < a_n \geq a_{n-1} \geq \dots \geq a_1 \geq a_0,$$

then it can be easily seen that

$$L = \frac{a_n - a_0 + |a_0|}{|a_n|} \quad \text{and} \quad \frac{1}{R} = \frac{|a_0|}{2a_n - a_0}.$$

In the first case, an application of Corollary 4 shows that all the zeros of $P(z)$ lie in the closed disk

$$|z| \leq \frac{1}{|a_n|} \{a_n - a_0 + |a_0|\},$$

which is an extension of Enestrome-Kakeya Theorem due to Joyal. Labelle and Rahman [4] whereas, in the second case Corollary 5 allows us to conclude that the polynomial $P(z)$ does not vanish in the disk

$$|z| < \frac{|a_0|}{2a_n - a_0}.$$

This result was earlier proved by A. Aziz and Q. G. Mohammad [1] for polynomials with non-negative coefficients. A number of other interesting results which include several known extensions and generalizations of Enestrome-Kakeya Theorem can be established from above theorems and corollaries by a fairly uniform procedure. Here, in this paper, we shall finally deduce from Theorem 1 a well known result due to Walsh [11] and thereby present an independent proof of this result according to which all the zeros of a polynomial

$$P(z) = a_n z^n + a_{n-1} z^{n-1} + \cdots + a_1 z + a_0,$$

be a polynomial of degree n lie in the disk

$$|z| \leq R = \sum_{j=1}^n \left| \frac{a_{n-j}}{a_n} \right|^{1/j}. \quad (5)$$

To deduce Walsh's result from Theorem 1, we take

$$\lambda_k = \left(\frac{a_{n-k}}{a_n} \right) \frac{1}{R^k}, \quad k = 1, 2, \dots, n.$$

Then

$$\sum_{k=1}^n |\lambda_k|^{1/k} = \sum_{k=1}^n \frac{1}{R} \left| \frac{a_{n-k}}{a_n} \right|^{1/k} = \frac{1}{R} \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right|^{1/k} = \frac{R}{R} = 1. \quad (6)$$

Since

$$\left| \frac{a_{n-k}}{a_n} \right|^{1/k} \leq \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right|^{1/k} = R,$$

for all $k = 1, 2, \dots, n$, we have

$$\left| \frac{a_{n-k}}{a_n} \right| \leq R^k, \quad k = 1, 2, \dots, n.$$

This gives

$$0 \leq |\lambda_k| \leq 1, \quad k = 1, 2, \dots, n,$$

which implies

$$|\lambda_k| \leq |\lambda_k|^{1/k}, \quad k = 1, 2, \dots, n.$$

Hence by (6),

$$\sum_{k=1}^n |\lambda_k| \leq \sum_{k=1}^n |\lambda_k|^{1/k} = 1.$$

Using Theorem 1, it follows that all the zeros of $P(z)$ lie in the disk

$$|z| \leq \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_{n-k}}{a_n} \right|^{1/k} = R,$$

which establishes (5).

2. Proof of the theorems

Proof of Theorem 1. We first show that all the zeros of $P(z)$ lie in

$$|z| \leq r_2 = \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_{n-k}}{a_n} \right|^{1/k}. \tag{7}$$

From (7) it follows that

$$\left| \frac{a_{n-k}}{a_n} \right| \leq |\lambda_k| r_2^k, \quad k = 1, 2, \dots, n,$$

and hence

$$\sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right| \frac{1}{r_2^k} \leq \sum_{k=1}^n |\lambda_k|. \tag{8}$$

Now for $|z| > r_2$, we have

$$\begin{aligned} |P(z)| &= |a_n z^n + a_{n-1} z^{n-1} + \dots + a_1 z + a_0| \\ &\geq |a_n| |z|^n \left\{ 1 - \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right| \frac{1}{|z|^k} \right\} \\ &> |a_n| |z|^n \left\{ 1 - \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right| \frac{1}{r_2^k} \right\}. \end{aligned}$$

Using (8) and noting that by hypothesis,

$$\sum_{k=1}^n |\lambda_k| \leq 1,$$

we obtain for $|z| > r_2$,

$$|P(z)| > |a_n| |z|^n \left\{ 1 - \sum_{k=1}^n |\lambda_k| \right\} \geq 0.$$

Thus $|P(z)| > 0$ for $|z| > r_2$. Consequently all the zeros of $P(z)$ lie in $|z| \leq r_2$ and this proves the second part of Theorem 1.

To prove the first part of this theorem, we shall use the second part. If $a_0 = 0$, then clearly

$$r_1 = \min_{1 \leq k \leq n} \left| \lambda_k \frac{a_0}{a_k} \right| = 0$$

and there is nothing to prove. So we assume that $a_0 \neq 0$. Consider the polynomial

$$Q(z) = z^n P\left(\frac{1}{z}\right) = a_0 z^n + a_1 z^{n-1} + \cdots + a_{n-1} z + a_n.$$

By the second part of the theorem, all the zeros of the polynomial $Q(z)$ lie in

$$\begin{aligned} |z| &\leq \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_k}{a_0} \right|^{1/k} = \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k \frac{a_0}{a_k}} \right|^{1/k} \\ &= \max_{1 \leq k \leq n} \left\{ \frac{1}{\left| \lambda_k \frac{a_0}{a_k} \right|^{1/k}} \right\} = \frac{1}{\min_{1 \leq k \leq n} \left| \lambda_k \frac{a_0}{a_k} \right|^{1/k}} = \frac{1}{r_1}. \end{aligned}$$

Replacing z by $\frac{1}{z}$ and observing that $P(z) = z^n Q\left(\frac{1}{z}\right)$, we conclude that all the zeros of $P(z)$ lie in

$$|z| \geq r_1 = \min_{1 \leq k \leq n} \left| \lambda_k \frac{a_0}{a_k} \right|^{1/k}. \quad (9)$$

The desired result follows by combining (7) and (9).

Proof of Theorem 2. Since

$$M = \max_{1 \leq k \leq n} \left| \frac{a_{n-k}}{a_n} \right|,$$

we have

$$\left| \frac{a_{n-k}}{a_n} \right| \leq M, \quad k = 1, 2, \dots, n. \quad (10)$$

We take

$$\lambda_k = \left\{ \frac{(1+M)^n}{(1+M)^n - 1} \right\} \left\{ \frac{a_{n-k}}{a_n (1+M)^k} \right\}, \quad k = 1, 2, \dots, n. \quad (11)$$

Then with the help of (10), we get

$$\sum_{k=1}^n |\lambda_k| = \frac{(1+M)^n}{(1+M)^n - 1} \sum_{k=1}^n \left| \frac{a_{n-k}}{a_n} \right| \frac{1}{(1+M)^k} \leq \left\{ \frac{(1+M)^n}{(1+M)^n - 1} \right\} \sum_{k=1}^n \frac{M}{(1+M)^k}. \quad (12)$$

Now

$$\begin{aligned} \sum_{k=1}^n \frac{M}{(1+M)^k} &= \frac{M}{(1+M)} \left\{ 1 + \frac{1}{(1+M)} + \cdots + \frac{1}{(1+M)^{n-1}} \right\} \\ &= \frac{M}{(1+M)} \left\{ \frac{1 - \frac{1}{(1+M)^n}}{1 - \frac{1}{(1+M)}} \right\} = \frac{(1+M)^n - 1}{(1+M)^n}. \end{aligned}$$

Using this in (12), we see that

$$\sum_{k=1}^n |\lambda_k| \leq 1.$$

Applying Theorem 1 with λ_k defined by (11), it follows that all the zeros of $P(z)$ lie in the disk

$$\begin{aligned} |z| \leq r_2 &= \max_{1 \leq k \leq n} \left| \frac{1}{\lambda_k} \frac{a_{n-k}}{a_n} \right|^{1/k} = \max_{1 \leq k \leq n} \left\{ \frac{(1+M)^n - 1}{(1+M)^n} \right\}^{1/k} (1+M) \\ &= (1+M) \max_{1 \leq k \leq n} \left\{ 1 - \frac{1}{(1+M)^n} \right\}^{1/k} = (1+M) \left\{ 1 - \frac{1}{(1+M)^n} \right\}^{1/n} \\ &= \{(1+M)^n - 1\}^{1/n}, \end{aligned}$$

and this completes the proof of Theorem 2.

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