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# ON SOME NEW GENERALIZATIONS OF SHANNON'S INEQUALITY

PÁL FISCHER

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### PAL FISCHER

Let  $A_n = \{P \in \mathbb{R}^n : P = (p_1, p_2, \dots, p_n), \text{ where } \sum_{i=1}^n p_i = 1 \text{ and } p_i > 0 \text{ for } i = 1, 2, \dots, n\} \text{ and let } B_n = \{P \in A_n : p_1 \ge p_2 \ge \dots \ge p_n\}.$  We show that the inequality

(1) 
$$\sum_{i=1}^{n} p_i f(p_i) \geq \sum_{i=1}^{n} p_i f(q_i)$$

for all  $P, Q \in B_n$  and some integer  $n \ge 3$ , implies that  $f(p) = c \log p + d$ , where c is an arbitrary nonnegative number and d is an arbitrary real number. We show, furthermore, that if we restrict the domain of the inequality (1) to those  $P, Q \in B_n$  for which P > Q (Hardy-Littlewood-Pólya order), then any function that is convex and increasing satisfies (1).

### **1.** Let $P, Q \in A_n$ . Then the inequality

(2) 
$$\sum_{i=1}^{n} p_i \log p_i \ge \sum_{i=1}^{n} p_i \log q_i$$

holds with equality iff P = Q [9]. The inequality (2) has numerous applications in information theory [1]. Conversely, it was proved in [3], that the so-called Shannon-inequality

(3) 
$$\sum_{i=1}^{n} p_i \dot{f}(p_i) \ge \sum_{i=1}^{n} p_i f(q_i)$$

for all  $P, Q \in A_n$  and some integer  $n \ge 3$ , implies that

$$f(p) = c \log p + d$$
 for  $p \in (0, 1)$ 

where c is some nonnegative number and d is some real number.

The inequality (3) has other interpretations, too. Let us mention the following. Let  $E_1, E_2, \dots, E_n$  be a mutually exclusive and complete system of the events of an experiment with the probability distribution  $(p_1, p_2, \dots, p_n)$  with positive probabilities. Let  $q_1, q_2, \dots, q_n$  be the estimates of these probabilities  $(q_i > 0 \text{ for } i = 1, \dots, n)$ . If the *i*th event

occurs then the experiment results in the payment of  $f(q_i)$ . The pay-off function f must be chosen in such a way that the expected pay-off is maximized if the estimates coincide with the a priori distribution.

In some cases it is natural to modify this prescribed model. If the forecaster knows that  $p_1 \ge p_2 \ge \cdots \ge p_n$ , then evidently the estimation will be made so that  $q_1 \ge q_2 \ge \cdots \ge q_n$ . That way we restrict the domain of the inequality (1). A further restriction for the domain can be made by allowing P, Q pairs such that P,  $Q \in B_n$  and P > Q, i.e.

(4) 
$$\sum_{i=1}^{k} p_{i} \geq \sum_{i=1}^{k} q_{i} \qquad (k = 1, 2, \dots, n),$$

in addition to the conditions that define  $B_n$ .

The subject of this paper is to investigate the inequality (1) under these two types of restrictions. Similar types of inequalities are the topics of some recent papers, [4], [5], [6], [7].

**2.** In this section we consider the inequality (1) for all  $P, Q \in B_n$  in the case when n = 2. In that case (1) reduces to

(5) 
$$pf(p) + (1-p)f(I-p) \ge pf(q) + (1-p)f(1-q)$$

for all  $1 > p \ge \frac{1}{2}$ ,  $1 > q \ge \frac{1}{2}$ ,  $f: (0,1) \rightarrow R$ . It is easy to see that

(6) 
$$f(1-q) \ge f(1-p) \text{ implies that } f(p) \ge f(q).$$

By changing the roles of p and q in (5) and adding the thus obtained inequality to (5), we obtain

(7) 
$$(p-q)[f(p)-f(q)] \ge (q-p)[f(1-q)-f(1-p)].$$

Assume that  $1 > p > q \ge \frac{1}{2}$  and f(p) < f(q), then by (6) we get a contradiction. Therefore f is increasing on  $[\frac{1}{2}, 1)$ , and by using (6) again we see that f is increasing on (0, 1). Since in the previous argument 1 can be replaced by any positive number, and 0 can be replaced by any positive number b < a/2, we have shown the first part of the following theorem.

THEOREM 1. The general solution of the inequality

(8) 
$$p_1 f(p_1) + p_2 f(p_2) \ge p_1 f(q_1) + p_2 f(q_2)$$

for all  $p_1 \ge p_2 \ge b$ ,  $q_1 \ge q_2 \ge b$ ,  $p_1 + p_2 = a$ ,  $q_1 + q_2 = a$ ,  $f:(b, a - b) \to R$ , is

increasing in the interval (b, a - b), where a and b are fixed nonnegative numbers, b < a/2. Furthermore, if f is differentiable at a point  $p \in (b, a - b)$ , then it is differentiable at a - p, too, and

(9) 
$$pf'(p) = (a-p)f'(a-p).$$

*Proof.* According to our previous remark, we have to show only the second part of this theorem.

Without loss of generality we can assume that p > a/2. Setting first  $p_1 = p + h$ ,  $q_1 = p$  and setting secondly  $p_1 = p$  and  $q_1 = p + h$  in the inequality (8), where |h| is sufficiently small, we obtain

(10) 
$$\frac{p+h}{a-p-h} \left[ f(p+h) - f(p) \right] \ge f(a-p) - f(a-p-h)$$

$$\ge \frac{p}{a-p} \left[ f(p+h) - f(p) \right].$$

Dividing (10) by  $h \neq 0$ , and tending with h to 0, we obtain the proof of this theorem.

**3.** In this section we consider the inequality (1) for all  $P, Q \in B_n$  in the case where  $n \ge 3$ . We prove the following theorem.

THEOREM 2. Let  $f: (0,1) \rightarrow R$ . Then f satisfies the inequality

(11) 
$$\sum_{i=1}^{n} p_i f(p_i) \geq \sum_{i=1}^{n} p_i f(q_i)$$

for all  $P, Q \in B_n$ , where n is a fixed positive integer,  $n \ge 3$  only if f has the form  $f(p) = c \log p + d$ , where c is an arbitrary nonnegative number and d is an arbitrary real number.

*Proof.* First we show that f is increasing in (0,1). Let  $p_3 = \cdots = p_n = q_3 = \cdots = q_n < 1/n$ . Then (11) reduces to

(12) 
$$p_1f(p_1) + p_2f(p_2) \ge p_1f(q_1) + p_2f(q_2)$$

for all  $p_1 \ge p_2 \ge p_3$ ,  $q_1 \ge q_2 \ge p_3$  such that  $p_1 + p_2 = q_1 + q_2 = 1 - (n-2)p_3$ . By Theorem 1 we can conclude that f is increasing in the interval  $(p_3, 1 - (n-1)p_3)$ . Since we can choose  $p_3$  to be arbitrarily small positive number we see that f is increasing in the interval (0, 1).

Secondly we show that f is differentiable in (0,1). Assume that

there exists a point  $p_0$  where f is not differentiable, then by choosing  $a > p_0$ ,  $p_3 = q_3 = \cdots = p_n = q_n < \min(p_0, a - p_0)$ , we see by Theorem 1 that f is not differentiable at  $a - p_0$ . By changing a and  $p_3 = \cdots = q_n$  adequately the set of points  $a - p_0$  forms a set of positive measure, but this is impossible because, according to a theorem of Lebesgue, an increasing function is differentiable almost everywhere.

Finally, by Theorem 1 we can conclude, that  $pf'(p) = \frac{1}{2}f'(\frac{1}{2})$  for all  $p \in (0, 1)$ , that is

(13) 
$$pf'(p) \equiv c \text{ for all } p \in (0,1),$$

where c is nonnegative, since f is increasing. From (13) this theorem follows immediately.

4. In this section we make further restrictions to the domain of the inequality (1). We shall need the following lemma.

LEMMA 1. Let  $a_1, a_2, \dots, a_n$  be a sequence of reals such that

(14) 
$$s_k = \sum_{i=1}^k a_i \ge 0 \quad \text{for} \quad 1 \le k \le n.$$

Let  $\lambda_1 \ge \lambda_2 \ge \cdots \ge \lambda_n \ge 0$  be a sequence of reals. Then  $\sum_{i=1}^n \lambda_i a_i \ge 0$ .

*Proof.* This lemma is implicitly contained in Lemmas 3 and 5 in [7]. Now we shall prove a theorem, which is analogous to a result of L. Fuchs [8].

THEOREM 3. Let  $x_1 \ge \cdots \ge x_n$ ,  $y_1 \ge \cdots \ge y_n$  be arbitrary real numbers, and let  $p_1, \cdots, p_n$  be arbitrary nonnegative numbers. Then the inequality

(15) 
$$\sum_{i=1}^{n} p_{i}f(x_{i}) \geq \sum_{i=1}^{n} p_{i}f(y_{i})$$

holds for every continuous convex and increasing function  $f: [(\min(x_n, y_n), \max(x_1, y_1)] \rightarrow R \text{ if}$ 

(16) 
$$\sum_{i=1}^k p_i x_i \geq \sum_{i=1}^k p_i y_i \quad \text{for} \quad k = 1, \dots, n.$$

*Proof.* Since f is a continuous convex and increasing function on the interval  $[(\min(x_n, y_n), \max(x_1, y_1)],$  there is on the interval

 $[\min(x_n, y_n), \max(x_1, y_1))$  an increasing and nonnegative function h such that

(17) 
$$f(p) = c + \int_{\alpha}^{p} h(q)dq$$

where  $\alpha \in (\min(x_n, y_n), \max(x_1, y_1))$ . It may be necessary to interpret (17) as an improper integral when p is an endpoint.

In order to show the inequality (15), we have to establish that

(18) 
$$\sum_{i=1}^{n} p_{i}(f(x_{i}) - f(y_{i})) = \sum_{i=1}^{n} p_{i} \int_{y_{i}}^{x_{i}} h(q) dq \geq 0,$$

or equivalently, we have to show that

(19) 
$$\sum_{x_i \geq y_i} p_i \int_{y_i}^{x_i} h(q) dq \geq \sum_{x_i < y_i} p_i \int_{x_i}^{y_i} h(q) dq.$$

Using the fact that h is increasing, we see that

(20) 
$$\sum_{x_i \leq y_i} p_i \int_{x_i}^{y_i} h(q) dq \leq \sum_{x_i \leq y_i} p_i (y_i - x_i) h(y_i)$$

and

(21) 
$$\sum_{x_i \geq y_i} p_i \int_{y_i}^{x_i} h(q) dq \geq \sum_{x_i \geq y_i} p_i(x_i - y_i) h(y_i).$$

In order to prove (18) it is sufficient to show that

(22) 
$$\sum_{x_{i} \geq y_{i}} p_{i}(x_{i} - y_{i})h(y_{i}) \geq \sum_{x_{i} \geq y_{i}} p_{i}(y_{i} - x_{i})h(y_{i}),$$

that is to show that

(23) 
$$\sum_{i=1}^{n} (x_{i} - y_{i}) p_{i} h(y_{i}) \geq 0.$$

Lemma 1 yields (23) by letting  $p_i(x_i - y_i) = a_i$  and  $h(y_i) = \lambda_i$  for  $1 \le i \le n$ .

The following lemma can be found implicitly in Mitrinović [10, pp. 337–338].

LEMMA 2. Let  $b_1, b_2, \dots, b_n$  be real numbers, let  $a_1 \ge \dots \ge a_n \ge 0$ , and let

(24) 
$$\sum_{i=1}^{k} a_i \leq \sum_{i=1}^{k} b_i \quad \text{for} \quad k = 1, \dots, n.$$

Then  $\sum_{i=1}^{n} a_{i}^{2} \leq \sum_{i=1}^{n} a_{i} b_{i} \leq \sum_{i=1}^{n} b_{i}^{2}$ .

Now, we can prove the main result of this section.

THEOREM 4. Any increasing and convex function  $f:(0,1) \rightarrow R$  satisfies the inequality

(25) 
$$\sum_{i=1}^{n} p_i f(p_i) \ge \sum_{i=1}^{n} p_i f(q_i)$$

for all  $P, Q \in B_n, P > Q$ .

*Proof.* Let  $P, Q \in B_n$ , P > Q, then by Lemma 2

$$\sum_{i=1}^n p_i q_i \leq \sum_{i=1}^n p_i^2.$$

Therefore, according to Theorem 3, by setting  $x_i = p_i$ ,  $y_i = q_i$  into (16)  $(i = 1, \dots, n)$  we see that any increasing and convex function f satisfies (25), since f is continuous on  $[\min(p_n, q_n), p_1]$ .

5. In the previous section we have shown that any convex and increasing function satisfies (1) for all  $P, Q \in B_n$  such that P > Q. In this section we establish the same result by an alternative proof without the use of any additional lemmas.

Alternative proof. Since f is increasing and convex, f has an integral representation of the form

(26) 
$$f(p) = \alpha_0 + \int_{\alpha}^{p} h(t)dt, \qquad \alpha \in (0,1)$$

where h is nonnegative and increasing function on (0,1). In order to prove (25), we have to show that

$$\sum p_i[f(p_i)-f(q_i)]=\sum p_i\int_{q_i}^{p_i}h(t)dt\geq 0;$$

equivalently, we have to show that

$$\sum_{p_{i} \geq q_{i}} p_{i} \int_{q_{i}}^{p_{i}} h(t)dt \geq \sum_{p_{i} < q_{i}} p_{i} \int_{p_{i}}^{q_{i}} h(t)dt.$$

We see that

$$\sum_{p_i \geq q_i} (p_i - q_i) = \sum_{q_i > p_i} (q_i - p_i)$$

and

$$\sum_{\substack{p_i \geq q_i \\ 1 \leq i_i \leq k}} (p_i - q_i) \geqq \sum_{\substack{q_i > p_i \\ 1 \leq i_i \leq k}} (q_i - p_i)$$

for  $1 \le k \le n$ . Let  $i_1$  be the smallest index i for which  $q_i > p_i$ , let  $i_2$  be the smallest index i such that  $i_2 > i_1$  and  $p_i > q_i$ , let  $i_3$  be the smallest index i such that  $i_3 > i_2$  and  $q_i > p_i$ , and so on. We shall show that

(27) 
$$\sum_{i=1}^{t_1-1} p_i \int_{q_i}^{p_i} h(t) dt \ge \sum_{i=t_1}^{t_2-1} p_i \int_{p_i}^{q_i} h(t) dt.$$

Furthermore if  $\sum_{i=1}^{i_i-1} (p_i - q_i) > \sum_{i=1}^{i_2-1} (q_i - p_i)$ , we shall show that

(28) 
$$\sum_{i=1}^{i_1^*-1} p_i \int_{q_1^*}^{p_i} h(t) dt \ge \sum_{i=i_1}^{i_2-1} p_i \int_{p_i}^{q_i} h(t) dt,$$

where  $q_i^* = q_i$  for all  $i \le i_1^* - 1$ , except possibly for  $i = i_1^* - 1$ , and  $i_1^* - 1$  and  $q_{i_1-1}^*$  are determined by the relation

$$\sum_{i=1}^{t_1^*-1} (p_i - q_i^*) = \sum_{i=t_1}^{t_2^*-1} (q_i - p_i).$$

(This last relation determines  $i_i^*$  uniquely, unless  $p_i = q_i$  for some i, but in this latter case we can choose any of these indices.)

To prove (28), we remark that any interval of the type  $(q_i^*, p_i)$  is to the right of the interval  $(p_i, q_i)$  for  $i_1 \le i \le i_2 - 1$  and that  $\{p_i\}$  is a nonnegative and decreasing sequence. These things, together with the fact that h is a nonnegative and increasing function, prove (28). The next step of the proof consists in showing that

(29) 
$$p_{i\uparrow-1} \int_{q_{i\uparrow-1}}^{q_{i\uparrow-1}} h(t)dt + \sum_{i=i\uparrow}^{i_1-1} p_i \int_{q_i}^{p_i} h(t)dt + \sum_{i=i_2}^{i_3-1} p_i \int_{q_i}^{p_i} h(t)dt \\ \geqq \sum_{i=i_3}^{i_4-1} p_i \int_{p_i}^{q_i} h(t)dt$$

and in proving the analogue of inequality (28) if

$$\sum_{i=1}^{t_i-1} (p_i - q_i) + \sum_{i=t_2}^{t_3-1} (p_i - q_i) > \sum_{i=t_1}^{t_2-1} (q_i - p_i) + \sum_{i=t_3}^{t_3-1} (q_i - p_i).$$

By repeating the argument we obtain the proof of this theorem.

**6.** With the aid of simple examples one can see that (1) may fail for some  $P, Q \in B_n$  with P > Q if we assume that f is merely increasing, or that f is merely convex, or merely concave.

We shall next present, some related inequalities which may be of independent interest.

We need the following lemma.

LEMMA 3. Let  $u_1, u_2, \dots, u_n$  be a sequence of real numbers such that

(30) 
$$S_k = \sum_{i=1}^k u_i \ge 0 \quad \text{for} \quad 1 \le k \le n-1$$

and

(31) 
$$S_n = \sum_{i=1}^n u_i = 0.$$

Let  $0 \le \lambda_1 \le \lambda_2 \le \cdots \le \lambda_n$ , then

$$(32) \sum_{i=1}^n \lambda_i u_i \leq 0.$$

*Proof.* The relation (31) implies that  $\lambda_1 u_1 + \lambda_1 \sum_{i=2}^n u_i = 0$ . Clearly  $\sum_{i=k}^n u_i \le 0$  for  $1 \le k \le n$ . Therefore

$$\lambda_1 \sum_{i=2}^n u_i \ge \lambda_2 \sum_{i=2}^n u_i$$
, i.e.

$$0 \ge \lambda_1 u_1 + \lambda_2 u_2 + \lambda_2 \sum_{i=3}^n u_i.$$

By repeating the argument we obtain the proof of this lemma.

Our next result will show, among other things, that the function  $f(p) = 1/p^{\alpha}$  ( $\alpha \ge 1$ ) satisfies the inequality (1) for all  $P, Q \in B_n, P > Q$ .

THEOREM 5. Let  $P, Q \in B_n$ , P > Q. Then

*Proof.* The right-hand side of (33) is, of course, well-known; we mention it only because it shows that  $1/p^{\alpha}$  for  $\alpha \ge 1$  satisfies (1) for all  $P, Q \in B_n$ , P > Q. It is a special case of a theorem of Hardy-Littlewood-Pólya, which says that if P > Q,  $p_1 \ge p_2 \ge \cdots \ge p_n$ ,  $q_1 \ge \cdots \ge q_n$ , and  $f: [p_n, p_1] \to R$  is a continuous and convex function, then

(34) 
$$\sum_{i=1}^{n} f(p_i) \ge \sum_{i=1}^{n} f(q_i).$$

Let  $u_i = p_i - q_i$  for  $i = 1, 2, \dots, n$ . It is easy to see that  $\sum_{i=1}^k u_i \ge 0$  for  $1 \le k \le n - 1$  and  $\sum_{i=1}^n u_i = 0$ . Thus

$$\sum_{i=1}^{n} \frac{p_{i}}{q_{i}^{\alpha}} = \sum_{i=1}^{n} \frac{u_{i}}{q_{i}^{\alpha}} + \sum_{i=1}^{n} \frac{1}{q_{i}^{\alpha-1}} \leq \sum_{i=1}^{n} \frac{1}{q_{i}^{\alpha-1}}$$

since by Lemma 3  $\sum_{i=1}^{n} u_i/q_i^{\alpha} \leq 0$ .

Finally we note two special cases of the previous theorem. If  $P, Q \in B_n$  and P > Q, then

and

(36) 
$$\sum_{i=1}^{n} \frac{p_{i}}{q_{i}^{2}} \leq \sum_{i=1}^{n} \frac{1}{q_{i}}.$$

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