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ON UNIVALENCE OF A CONTINUED FRACTION

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1. Introduction. For a fixed positive integer α let K_{α} denote the class of functions f(z) which are regular at z = 0 and which have C-fraction expansions of the form

$$(1.1) \quad f(z) \sim \frac{z}{1} + \frac{a_1 z^{\alpha}}{1} + \frac{a_2 z^{\alpha}}{1} + \cdots + \frac{a_n z^{\alpha}}{1} + \cdots + \frac{a_n z^{\alpha}}{1} + \cdots + |a_n| \leq 1/4.$$

From an elementary convergence theorem for continued fractions [4, p.42], it follows that each function of the class K_{α} is regular for |z| < 1. This and the one-to-one correspondence between C-fractions and power series [4, p. 400] permit a replacement of the correspondence symbol in (1.1) by equality for |z| < 1.

The purpose of this paper is to determine for K_{α} the radius of univalence, $U(\alpha)$, and bounds for the starlike radius, $S(\alpha)$, and the radius of convexity, $C(\alpha)$. In the case of S-fractions it was shown by Thale [3] that $U(1) \ge 12\sqrt{2}$ -16 and Perron [2] established the fact that actual equality holds. This result is a special case of Theorem 2.1 whose proof employs value region techniques similar to those used by Thale and Perron. Moreover, the result $S(1) \ge 8/9$ in [3] is improved in Theorem 4.2.

The developments in this depend on the following value region theorem which is an immediate consequence of a result of Paydon and Wall [1]:

THEOREM 1.1. If $f(z) \in K_{\alpha}$ and $|z|^{\alpha} = \rho^{\alpha} \leq 4r(1-r), \ 0 \leq r \leq 1/2$, then

(1.2)
$$\left| \frac{f(z)}{z} - \frac{1}{1 - r^2} \right| \leq \frac{r}{1 - r^2}.$$

Moreover, for $z = \sqrt[m]{4r(1-r)} e^{im\pi/\alpha}$, $(m = 1, 2, \dots, \alpha)$, there is a value of f(z)/z on the boundary of the disc (1.2) if and only if there exists a φ , $0 \leq \varphi < 2\pi$, such that $f(z) \equiv f(z; \varphi)$, where

(1.3)
$$f(z;\varphi) = \frac{z}{1+\frac{\frac{1}{4}e^{i\varphi}z^{\alpha}}{1+\frac{1}{4}} + \frac{\frac{1}{4}z^{\alpha}}{1+\frac{1}{4}} + \cdots + \frac{\frac{1}{4}z^{\alpha}}{1+\frac{1}{4}} + \cdots$$

2. Determination of $U(\alpha)$. For $f(z) \in K_{\alpha}$ and for a fixed positive integer n put

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(2.1)
$$f_{0,n}(z) = z ,$$

$$f_{p+1,n}(z) = \frac{z}{1 + a_{n-p} z^{\alpha-1} f_{p,n}(z)} , \qquad (p = 0, 1, \dots, n-1) ,$$

where the numbers a_j are the coefficients in the *C*-fraction expansion (1.1) of f(z). It is easily seen that $f_{n,n}(z)$ is the approximant of (1.1) of order n + 1, and that $f_{p,n}(z) \in K_x$ for each p.

For non-negative integers s, t, and for non-zero numbers z_1, z_2 , (2.1) may be used to show that

$$(2.2) \qquad \begin{aligned} z_1^s z_2^t f_{p+1,n}(z_1) &- z_1^t z_2^s f_{p+1,n}(z_2) \\ &= \frac{f_{p+1,n}(z_1) f_{p+1,n}(z_2)}{z_1 z_2} \{ z_1^{s+1} z_2^t - z_1^t z_2^{s+1} - a_{n-p} [z_1^{t+\alpha-1} z_2^{s+1} f_{p,n}(z_1) \\ &- z_1^{s+1} z_2^{t+\alpha-1} f_{p,n}(z_2)] \}, \qquad (p = 0, 1, \dots, n-1) \end{aligned}$$

This identity plays a fundamental role in the proof of the following theorem.

THEOREM 2.1. The radius of univalence of K_{α} is given by

(2.3)
$$U(2) = 2\sqrt{2/3}$$
,
 $[U(\alpha)]^{\alpha} = \left[\frac{6\sqrt{\alpha^2 - 2\alpha + 9} - 2(\alpha + 7)}{(\alpha - 2)^2}\right], \quad (\alpha = 1, 3, 4, \cdots).$

There is no larger region, containing the disc $|z| < U(\alpha)$, in which all functions of K_{α} are univalent.

Proof. For $f(z) \in K_{\alpha}$ and for a fixed positive odd integer n=2m+1 it follows from (2.2) that

$$(2.4) \quad \begin{aligned} & f_{n,n}(z_1) - f_{n,n}(z_2) \\ & = \frac{f_{n,n}(z_1) f_{n,n}(z_2)}{z_1 z_2} \{ z_1 - z_2 - a_1 [z_1^{\alpha - 1} z_2 f_{n - 1,n}(z_1) - z_1 z_2^{\alpha - 1} f_{n - 1,n}(z_2)] \} \;. \end{aligned}$$

Repeated application of (2.2) yields

$$(2.5) \qquad a_{1}[z_{1}^{\alpha-1}z_{2}f_{n-1,n}(z_{1}) - z_{1}z_{2}^{\alpha-1}f_{n-1,n}(z_{2})] \\ = \sum_{j=1}^{m+1} (z_{1}z_{2})^{(j-1)\alpha+1} (z_{1}^{\alpha-1} - z_{2}^{\alpha-1}) \prod_{p=1}^{2j-1} a_{p} \frac{f_{n-p,n}(z_{1})f_{n-p,n}(z_{2})}{z_{1}z_{2}} \\ - \sum_{j=1}^{m} (z_{1}z_{2})^{j\alpha} (z_{1} - z_{2}) \prod_{p=1}^{2j} a_{p} \frac{f_{n-p,n}(z_{1})f_{n-p,n}(z_{2})}{z_{1}z_{2}} .$$

For z_1 and z_2 in the disc |z| < 1, r can be chosen with 0 < r < 1/2 such that $|z_i|^{\alpha} \leq 4r(1-r)$, (i = 1, 2), and by Theorem 1.1, $|f_{p.n}(z_i)/z_i| \leq 1/(1-r)$, $(i = 1, 2; p = 0, 1, \dots, n)$. When the triangle inequality is applied to the right member of (2.5) and the indicated bounds are used, there

results

$$egin{array}{l} | \ | \ z_1^{lpha-1} z_2 f_{n-1,n}(z_1) - z_1 z_2^{lpha-1} f_{n-1,n}(z_2) \ | \ & \leq | \ z - z_2 \, | \Big[\sum\limits_{j=1}^{m+1} (lpha-1) \Big(rac{r}{1-r} \Big)^{2j-1} + \sum\limits_{j=1}^{m} \Big(rac{r}{1-r} \Big)^{2j} \Big] \ & < | \ z_1 - z_2 \, | rac{r}{1-2r} [lpha-1-(lpha-2)r] \ . \end{array}$$

This inequality and (2.4) give

$$(2.6) \qquad |f_{n,n}(z_1) - f_{n,n}(z_2)| \\ \ge \frac{|f_{n,n}(z_1)f_{n,n}(z_2)|}{|z_1z_2|} |z_1 - z_2| \left\{ 1 - \frac{r[\alpha - 1 - (\alpha - 2)r]}{1 - 2r} \right\}.$$

Since Theorem 1.1 shows that neither of the factors $|f_{n,n}(z_i)/z_i|$, (i=1, 2), is zero, it follows from (2.6) that $f_{n,n}(z_1) \neq f_{n,n}(z_2)$ for $z_1 \neq z_2$ if r is such that $1 - 2r > r[\alpha - 1 - (\alpha - 2)r]$. This is equivalent to the condition $r < r_0(\alpha)$ where

$$egin{aligned} r_{\scriptscriptstyle 0}(2) &= 1/3 \ r_{\scriptscriptstyle 0}(lpha) &= rac{lpha+1-\sqrt{lpha^2-2lpha+9}}{2(lpha-2)} \ , \qquad (lpha=1,\,3,\,4,\,\cdots) \ , \end{aligned}$$

and it is easily seen that $f_{2m+1,2m+1}(z)$ is univalent for $|z|^{\alpha} < [U(\alpha)]^{\alpha} = 4r_0(\alpha)[1 - r_0(\alpha)].$

If the function f(z) has a non-terminating C-fraction (1.1), the univalence of f(z) for $|z| < U(\alpha)$ is an immediate consequence of the fact that f(z) is the uniform limit of its sequence of even approximants, $f_{2m+1,2m+1}(z)$, for $|z| \leq \rho < 1$. The case where f(z) has a C-fraction expansion (1.1) terminating with an odd number of partial quotients may be reduced to the previously considered case for even approximants by adding a partial quotient, $a_{2m}z^{\alpha}/1$ with $a_{2m}=0$, and noting that $f_{2m-1,2m-1}(z) = f_{2m,2m}(z)$ in this case.

In order to complete the proof that the radius of univalence of K_{α} is the value $U(\alpha)$ given in (2.3), it suffices to exhibit a function of K_{α} which is not univalent in $|z| < \rho$ for any $\rho > U(\alpha)$. Such a function is the function $f(z, \pi)$ of (1.3), that is,

$$f(z,\pi) = rac{2z}{3-\sqrt{1+z^{lpha}}}$$
 ,

where the branch of the radical with positive real part for |z| < 1 is used. This function is not univalent at the points $e^{im\pi/\alpha}U(\alpha)$, $(m = 1, 2, \dots, \alpha)$, where its derivative vanishes.

The final statement in Theorem 2.1 may be verified by applying to the function $f(z, \pi)$ the observation that, for every real θ , $e^{-i\theta}f(e^{i\theta}z) \in K_{\alpha}$ whenever $f(z) \in K_{\alpha}$.

3. A covering theorem. The value region inequality (1.2) can be rewritten as

(3.1)
$$\left| \frac{f(z)}{z} - \frac{4}{2 + \rho^{\alpha} + 2\sqrt{1 - \rho^{\alpha}}} \right| \leq \frac{2(1 - \sqrt{1 - \rho^{\alpha}})}{2 + \rho^{\alpha} + 2\sqrt{1 - \rho^{\alpha}}},$$

where $|z| = \rho$ and $f(z) \in K_{\alpha}$. Thus for $|z| = \rho$ the following inequalities, which provide a means of comparison between K_{α} and various classes of univalent functions, are obtained:

(3.2)
$$\frac{2}{3-\sqrt{1-\rho^{\alpha}}} \leq \Re\left\{\frac{f(z)}{z}\right\} \leq \frac{2}{1+\sqrt{1-\rho^{\alpha}}},$$

(3.3)
$$\left|\Im \mathfrak{M} \frac{f(z)}{z}\right| \leq \frac{2(1-\sqrt{1-\rho^{x}})}{2+\rho^{x}+2\sqrt{1-\rho^{x}}},$$

(3.4)
$$\frac{2\rho}{3-\sqrt{1-\rho^{\alpha}}} \le |f(z)| \le \frac{2(1-\sqrt{1-\rho^{\alpha}})}{\rho^{\alpha-1}},$$

(3.5)
$$\left|\arg\frac{f(z)}{z}\right| \leq \arcsin\frac{1-\sqrt{1-\rho^{\alpha}}}{2}.$$

Each of the inequalities (3.2)-(3.5) is sharp. This fact follows at once from Theorem 1.1 since equality in any one of (3.2)-(3.5) depends on the attainment by f(z)/z of a suitable boundary value for the disc (3.1) or (1.2).

The following theorem is an immediate consequence of (3.4) and Theorem 2.1:

THEOREM 3.1. If $f(z) \in K_{\alpha}$, then the image of $|z| < U(\alpha)$ by w = f(z) contains the disc

(3.6)
$$|w| < \frac{2U(\alpha)}{3 - \sqrt{1 - [U(\alpha)]^{\alpha}}},$$

and is contained in the disc

$$(3.7) |w| < 2\frac{1-\sqrt{1-[U(\alpha)]^{\alpha}}}{[U(\alpha)]^{\alpha-1}}$$

These results are sharp.

4. A lower bound for $S(\alpha)$. An upper bound for $S(\alpha)$, the starlike radius for the class K_{α} , is evidently the value $U(\alpha)$ determined in §2. In this section a lower bound for $S(\alpha)$ is found by determining a number

 $\rho_{i}(\alpha)$ such that every function of K_{α} is starlike in the disc $|z| < \rho_{i}(\alpha)$.

LEMMA 4.1. If
$$f(z) \in K_{\alpha}$$
 and $|a| \leq 1/4$, then

(4.1)
$$w(z) = -\frac{az^{\alpha-1}f(z)}{1+az^{\alpha-1}f(z)}$$

satisfies

(4.2)
$$\left| w - \frac{r^2}{1 - r^2} \right| \leq \frac{r}{1 - r^2}$$

whenever $|z|^{\alpha} \leq 4r(1-r)$, $0 \leq r \leq 1/2$.

Proof. The lemma is obvious when a = 0. For $0 < |a| \le 1/4$, (4.1) yields

$$rac{f(z)}{z}=rac{1}{az^{lpha}}\cdotrac{-w(z)}{1+w(z)}$$
 ,

and the desired result is easily obtained by applying the inequality $|f(z)/z| \leq 1/(1-r)$, which is a consequence of Theorem 1.1.

LEMMA 4.2. If α is a positive integer and if for fixed r, 0 < r < 1/2, c and d are numbers such that

$$0(4.3) \qquad 0 \leq c \leq rac{1+(lpha-2)r^2}{1-2r^2} \;, \;\; 0 < d = rac{1+(lpha-2)r}{1-2r} - c \;,$$

then $\sigma = 1$ satisfies

$$(4.4) \qquad \qquad |\sigma - c| \leq d \; .$$

Moreover, if w is a parameter satisfying (4.2) and if σ_0 satisfies (4.4), then σ_1 satisfies (4.4) where

(4.5)
$$\sigma_1 = 1 + w(\sigma_0 + \alpha - 1)$$
.

Proof. It is obvious that $1 - c \leq d$ holds for all r, 0 < r < 1/2, and that $-d \leq 1 - c$ holds provided

$$c \leq rac{2+(lpha-4)r}{2(1-2r)}$$

The fact that $\sigma = 1$ satisfies (4.4) may be verified by noting that the upper bound of c in this last inequality exceeds the upper bound on c in (4.3) for all r, 0 < r < 1/2.

The proof of the second statement is obtained by using (4.2), (4.3),

(4.4), (4.5), and the triangle inequality to show that

$$egin{aligned} &| \ \sigma_1 - c \ &| \ &\leq \left| 1 - c + rac{(c + lpha - 1)r^2}{1 - r^2}
ight| \ &+ (c + lpha - 1) \left| w - rac{r^2}{1 - r^2}
ight| + | \ w \ &|| \ \sigma_0 - c \ &| \ &\leq rac{1 + (lpha - 2)r^2 - (1 - 2r^2)c}{1 - r^2} + rac{(c + lpha - 1)r}{1 - r^2} + rac{rd}{1 - r^2} = d \ . \end{aligned}$$

LEMMA 4.3. If (4.3) holds for 0 < r < 1/2, there is a value of c satisfying $c \ge d$ if and only if $0 < r \le r_1(\alpha)$, where $r_1(\alpha)$ is the smallest positive root of

(4.6)
$$1-(\alpha+2)r+2(\alpha-1)r^2-2(\alpha-2)r^3=0$$
.

Proof. By (4.3) the inequality $c \ge d$ holds if and only if

$$rac{1+(lpha-2)r^{^2}}{1-2r^{^2}} \geq rac{1+(lpha-2)r}{2(1-2r)}$$
 ,

which is equivalent to the statement that the left member of (4.6) is nonnegative. Clearly $r_1(\alpha) < 1/2$.

THEOREM 4.1. If $f(z) \in K_{\alpha}$ and c, d satisfy (4.3), where $|z|^{\alpha} = \rho^{\alpha} \leq 4r(1-r)$, then

(4.7)
$$\left|z\frac{f'(z)}{f(z)}-c\right| \leq d$$
.

Proof. For the functions $f_{p,n}(z)$ of (2.1) put

$$\sigma_{{}_{p,n}}=zrac{f'_{p,n}}{f_{p,n}}$$
 , $w_{{}_{p,n}}=-~rac{a_{n-p}z^{lpha-1}f_{p+1,n}}{1+a_{n-p}z^{lpha-1}f_{p+1,n}}$,

and note by differentiation that $\sigma_{p+1,n} = 1 + w_{p,n}(\sigma_{p,n} + \alpha - 1)$. For $|z| = \rho$ inductive application of Lemmas 4.1 and 4.2 shows that (4.7) holds for $f_{n,n}$, and the validity of (4.7) in this case for $|z| \leq \rho$ follows from the maximum property for harmonic functions. Inasmuch as $f_{n,n}$ is the (n + 1)th approximant of (1.1) the theorem holds for functions of K_{α} having terminating C-fraction expansions. The validity of the theorem in the case of non-terminating C-fractions (1.1) is an immediate consequence of the uniform convergence of $f_{n,n}$ to f on any closed subset of |z| < 1.

THEOREM 4.2. The starlike radius of K_{α} satisfies $S(\alpha) \geq \rho_1(\alpha)$ where

 $[\rho_1(\alpha)]^{\alpha} = 4r_1(\alpha)[1 - r_1(\alpha)]$ and where $r_1(\alpha)$ is the smallest positive root of (4.6).

Proof. For $r \leq r_i(\alpha)$ Lemma 4.3 shows that Theorem 4.1 can be applied to any function $f(z) \in K_{\alpha}$ with $c \geq d$, and hence that

$$\mathfrak{Re}\,zrac{f^{\,\prime}(z)}{f(z)}\geqq 0,\quad \mid z\mid\leqq
ho_{ ext{ iny I}}(lpha)\;.$$

Since this inequality insures that f(z) is starlike for $|z| < \rho_1(\alpha)$ the proof is complete.

In particular, $r_1(1) = (\sqrt{3} - 1)/2$ and $S(1) \ge 4\sqrt{3} - 6$ which improves the lower bound of 8/9 obtained for S(1) in [3].

5. A lower bound for $C(\alpha)$. It is clear that $S(\alpha)$ and $U(\alpha)$ are upper bounds for $C(\alpha)$, the radius of convexity of K_{α} . In this section a lower bound for $C(\alpha)$ is found by determining a number $\rho_2(\alpha)$ such that every function of K_{α} is convex for $|z| < \rho_2(\alpha)$.

LEMMA 5.1. Let α denote a positive integer and let $r_2(\alpha)$ be the smallest positive root of the equation:

$$\begin{array}{ll} (5.1) & 1-(\alpha^2+2\alpha+6)r+6(\alpha^2+\alpha+2)r^2-4(3\alpha^2+2)r^3\\ & +12(\alpha-1)\alpha r^4-4\alpha(\alpha-2)r^5=0 \,\,. \end{array}$$

If for fixed r, $0 < r \leq r_2(lpha)$, $\sigma_{\scriptscriptstyle 0}$ and $\sigma_{\scriptscriptstyle 1}$ are numbers which satisfy

$$|\sigma_{\scriptscriptstyle 0}-c| \leq d, \ |\sigma_{\scriptscriptstyle 1}-c| \leq d ,$$

where

$$(5.3) \quad \frac{1+(\alpha-2)r}{2(1-2r)} \leq c \leq \frac{1+(\alpha-2)r^2}{1-2r^2} \,, \ \ d = \frac{1+(\alpha-2)r}{1-2r} - c \,\,,$$

and if

(5.4)
$$\gamma_1 = 2(\sigma_1 - 1) + \frac{\sigma_1 - 1}{\sigma_1} \left[\gamma_0 \frac{\sigma_0}{\sigma_0 + \alpha - 1} + (\alpha - 1) \frac{2\sigma_0 + \alpha - 2}{\sigma_0 + \alpha - 1} \right],$$

then $|\gamma_0| \leq 1$ implies $|\gamma_1| \leq 1$.

Proof. For $0 < r < r_1(\alpha)$, where $r_1(\alpha)$ is as determined in Theorem 4.2, 0 < d < c and

$$c^2-d^2-c \leq -rac{lpha r^2[(lpha-1)-2(lpha-2)r+2(lpha-2)r^2]}{(1-2r)^2(1-2r^2)} \leq 0 \; .$$

Thus by (5.2)

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$$\left|rac{\sigma_1-1}{\sigma_1}-rac{c^2-d^2-c}{c^2-d^2}
ight| \leq rac{d}{c^2-d^2}$$

and it follows that

$$\left|\frac{\sigma_1-1}{\sigma_1}\right| \leq \frac{1}{c-d}-1$$
.

Similarly, (5.2) can be used to show that

$$igg|rac{\sigma_{_0}}{\sigma_{_0}+lpha-1}igg| \leq rac{c+d}{c+d+lpha-1}\,, \ igg|(lpha-1)rac{2\sigma_{_0}+lpha-2}{\sigma_{_0}+lpha-1}igg| \leq (lpha-1)rac{2(c+d)+lpha-2}{c+d+lpha-1}$$

For $|\gamma_0| \leq 1$ application to (5.4) of the triangle inequality, (5.2) and the bounds determined above lead to the inequality

(5.5)
$$|\gamma_1| \leq 2(c+d-1) + \left[\frac{1}{c-d} - 1\right] \frac{(2\alpha-1)(c+d) + (\alpha-1)(\alpha-2)}{c+d+\alpha-1}$$
.

The desired inequality, $|\gamma_1| \leq 1$, will hold for those values of $r < r_1(\alpha)$ for which the right member of (5.5) does not exceed 1, or equivalently, for which

Since 2c = (c + d) + (c - d), (5.3) shows that the existence of a value of c satisfying (5.6) is insured for all $r < r_1(\alpha)$ for which

(5.7)
$$2\frac{1+(\alpha-2)r^2}{1-2r^2} \ge (c+d)+D$$
 .

This last inequality is equivalent to the requirement that the polynomial in the left member of (5.1) be non-negative.

The proof of the lemma will be completed by establishing the existence of a smallest positive zero, $r_2(\alpha)$ of (5.1) for which $r_2(\alpha) < r_1(\alpha)$. Since the equation (4.7) determining $r_1(\alpha)$ is equivalent to

$$2rac{1+(lpha-2)r^2}{1-2r^2}=c+d$$
 ,

and since D > 0 for $r = r_1(\alpha)$, it follows that (5.7) fails to hold for $r = r_1(\alpha)$. The desired conclusion about $r_2(\alpha)$ is then easily obtained by noting that (5.7) holds with strict inequality for r = 0.

THOREM 5.1. The radius of convexity of K_{α} satisfies

(5.8)
$$[C(\alpha)]^{\alpha} \ge 4r_2(\alpha)[1-r_2(\alpha)] = [\rho_2(\alpha)]^{\alpha}$$

where $r_2(\alpha)$ is the smallest positive root of (5.1)

Proof. For the functions $f_{v,n}(z)$ of (2.1) put

$$\sigma_{{}_{p,n}}=zrac{f'_{p,n}}{f_{p,n}}\,,\qquad \gamma_{{}_{p,n}}=zrac{f''_{q,n}}{f'_{p,n}}\,,$$

It is easily verified from (2.1) that

$$\gamma_{p+1} = 2(\sigma_{p+1}-1) + \frac{\sigma_{p+1}-1}{\sigma_{p+1}} \Big[\frac{\gamma_p \sigma_p}{\sigma_p + \alpha - 1} + (\alpha - 1) \frac{2\sigma_p + \alpha - 2}{\sigma_p + \alpha - 1} \Big]$$

where the subscript *n* has been omitted. Theorem 4.1 and the fact that $\gamma_{0,n} = 0$ show that the hypotheses of Lemma 5.1 are satisfied, and inductive application of the lemma yields $|\gamma_{n,n}| \leq 1$. It follows that

$$\Re e[1+\gamma_{n,n}] \geqq 0$$
 , $|\,z\,| \leqq
ho_2(lpha)$,

which insures the convexity of the (n + 1)th approximant of any C-fraction (1.1) for $|z| < \rho_2(\alpha)$, and the proof of the theorem may be completed, as in Theorem 4.1, by reference to uniform convergence.

It is found that $\rho_2(1) > .641$. An upper bound for $C(\alpha)$ can be obtained by finding for the function $f(z, \pi)$ of (1.3) the zeros of $zf''(z, \pi) + f'(z, \pi)$ with smallest modulus. For $\alpha = 1$ this smallest modulus is approximately .707.

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