

# ON UNIVALENCE OF A CONTINUED FRACTION

E. P. MERKES AND W. T. SCOTT

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

$$(1.1) \quad f(z) \sim \frac{z}{1} + \frac{a_1 z^\alpha}{1} + \frac{a_2 z^{2\alpha}}{1} + \dots + \frac{a_n z^{n\alpha}}{1} + \dots, |a_n| \leq 1/4.$$

From an elementary convergence theorem for continued fractions [4, p.42], it follows that each function of the class  $K_\alpha$  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  $K_\alpha$  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  $U(1) \geq 12\sqrt{2}-16$  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  $S(1) \geq 8/9$  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*

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

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

$$(1.3) \quad f(z; \varphi) = \frac{z}{1} + \frac{\frac{1}{2}e^{i\varphi}z^\alpha}{1} + \frac{\frac{1}{2}z^\alpha}{1} + \dots + \frac{\frac{1}{2}z^\alpha}{1} + \dots.$$

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

---

Received April 27, 1959, and in revised form July 31, 1959.

$$(2.1) \quad \begin{aligned} f_{0,n}(z) &= z, \\ f_{p+1,n}(z) &= \frac{z}{1 + a_{n-p}z^{\alpha-1}f_{p,n}(z)}, \quad (p = 0, 1, \dots, n - 1), \end{aligned}$$

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

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

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

**THEOREM 2.1.** *The radius of univalence of  $K_\alpha$  is given by*

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

*There is no larger region, containing the disc  $|z| < U(\alpha)$ , in which all functions of  $K_\alpha$  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

$$(2.5) \quad \begin{aligned} & a_1 [ z_1^{\alpha-1} z_2 f_{n-1,n}(z_1) - z_1 z_2^{\alpha-1} f_{n-1,n}(z_2) ] \\ &= \sum_{j=1}^{m+1} (z_1 z_2)^{(j-1)\alpha+1} (z_1^{\alpha-1} - z_2^{\alpha-1}) \prod_{p=1}^{2j-1} a_p \frac{f_{n-p,n}(z_1) f_{n-p,n}(z_2)}{z_1 z_2} \\ & \quad - \sum_{j=1}^m (z_1 z_2)^{j\alpha} (z_1 - z_2) \prod_{p=1}^{2j} a_p \frac{f_{n-p,n}(z_1) f_{n-p,n}(z_2)}{z_1 z_2}. \end{aligned}$$

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

$$\begin{aligned} & | \alpha_1 | | z_1^{\alpha-1} z_2 f_{n-1,n}(z_1) - z_1 z_2^{\alpha-1} f_{n-1,n}(z_2) | \\ & \leq | z - z_2 | \left[ \sum_{j=1}^{m+1} (\alpha - 1) \left( \frac{r}{1-r} \right)^{2j-1} + \sum_{j=1}^m \left( \frac{r}{1-r} \right)^{2j} \right] \\ & < | z_1 - z_2 | \frac{r}{1-2r} [\alpha - 1 - (\alpha - 2)r] . \end{aligned}$$

This inequality and (2.4) give

$$(2.6) \quad \begin{aligned} & | f_{n,n}(z_1) - f_{n,n}(z_2) | \\ & \geq \frac{| f_{n,n}(z_1) f_{n,n}(z_2) |}{| z_1 z_2 |} | z_1 - z_2 | \left\{ 1 - \frac{r[\alpha - 1 - (\alpha - 2)r]}{1 - 2r} \right\} . \end{aligned}$$

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

$$\begin{aligned} r_0(2) &= 1/3 \\ r_0(\alpha) &= \frac{\alpha + 1 - \sqrt{\alpha^2 - 2\alpha + 9}}{2(\alpha - 2)} , \quad (\alpha = 1, 3, 4, \dots) , \end{aligned}$$

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  $K_\alpha$  is the value  $U(\alpha)$  given in (2.3), it suffices to exhibit a function of  $K_\alpha$  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,

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

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  $\theta$ ,  $e^{-i\theta} f(e^{i\theta} z) \in K_\alpha$

whenever  $f(z) \in K_\alpha$ .

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

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

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

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

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

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

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

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*

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

*and is contained in the disc*

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

*These results are sharp.*

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

$\rho_1(\alpha)$  such that every function of  $K_\alpha$  is starlike in the disc  $|z| < \rho_1(\alpha)$ .

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

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

*satisfies*

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

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

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

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

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  $\alpha$  is a positive integer and if for fixed  $r$ ,  $0 < r < 1/2$ ,  $c$  and  $d$  are numbers such that*

$$(4.3) \quad 0 \leq c \leq \frac{1 + (\alpha - 2)r^2}{1 - 2r^2}, \quad 0 < d = \frac{1 + (\alpha - 2)r}{1 - 2r} - c,$$

*then  $\sigma = 1$  satisfies*

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

*Moreover, if  $w$  is a parameter satisfying (4.2) and if  $\sigma_0$  satisfies (4.4), then  $\sigma_1$  satisfies (4.4) where*

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

*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

$$c \leq \frac{2 + (\alpha - 4)r}{2(1 - 2r)}.$$

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

$$\begin{aligned}
 |\sigma_1 - c| &\leq \left| 1 - c + \frac{(c + \alpha - 1)r^2}{1 - r^2} \right| \\
 &\quad + (c + \alpha - 1) \left| w - \frac{r^2}{1 - r^2} \right| + |w| |\sigma_0 - c| \\
 &\leq \frac{1 + (\alpha - 2)r^2 - (1 - 2r^2)c}{1 - r^2} + \frac{(c + \alpha - 1)r}{1 - r^2} + \frac{rd}{1 - r^2} = d.
 \end{aligned}$$

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

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

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

$$\frac{1 + (\alpha - 2)r^2}{1 - 2r^2} \geq \frac{1 + (\alpha - 2)r}{2(1 - 2r)},$$

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*

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

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

$$\sigma_{p,n} = z \frac{f'_{p,n}}{f_{p,n}}, \quad w_{p,n} = - \frac{a_{n-p} z^{\alpha-1} f_{p+1,n}}{1 + a_{n-p} z^{\alpha-1} f_{p+1,n}},$$

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  $K_\alpha$  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  $K_\alpha$  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  $r \leq r_1(\alpha)$  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

$$\Re z \frac{f'(z)}{f(z)} \geq 0, \quad |z| \leq \rho_1(\alpha).$$

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  $S(1) \geq 4\sqrt{3} - 6$  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  $K_\alpha$ . In this section a lower bound for  $C(\alpha)$  is found by determining a number  $\rho_2(\alpha)$  such that every function of  $K_\alpha$  is convex for  $|z| < \rho_2(\alpha)$ .

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

$$(5.1) \quad 1 - (\alpha^2 + 2\alpha + 6)r + 6(\alpha^2 + \alpha + 2)r^2 - 4(3\alpha^2 + 2)r^3 + 12(\alpha - 1)\alpha r^4 - 4\alpha(\alpha - 2)r^5 = 0.$$

If for fixed  $r$ ,  $0 < r \leq r_2(\alpha)$ ,  $\sigma_0$  and  $\sigma_1$  are numbers which satisfy

$$(5.2) \quad |\sigma_0 - c| \leq d, \quad |\sigma_1 - c| \leq d,$$

where

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

and if

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

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

$$c^2 - d^2 - c \leq -\frac{\alpha r^2 [(\alpha - 1) - 2(\alpha - 2)r + 2(\alpha - 2)r^2]}{(1 - 2r)^2(1 - 2r^2)} \leq 0.$$

Thus by (5.2)

$$\left| \frac{\sigma_1 - 1}{\sigma_1} - \frac{c^2 - d^2 - c}{c^2 - d^2} \right| \leq \frac{d}{c^2 - d^2}$$

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

$$\left| \frac{\sigma_0}{\sigma_0 + \alpha - 1} \right| \leq \frac{c + d}{c + d + \alpha - 1},$$

$$\left| (\alpha - 1) \frac{2\sigma_0 + \alpha - 2}{\sigma_0 + \alpha - 1} \right| \leq (\alpha - 1) \frac{2(c + d) + \alpha - 2}{c + d + \alpha - 1}.$$

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

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

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

$$(5.6) \quad c - d \geq \frac{(2\alpha - 1)(c + d) + (\alpha - 1)(\alpha - 2)}{(2\alpha - 1)(c + d) + (\alpha - 1)(\alpha - 2) + [3 - 2(c + d)][c + d + \alpha - 1]} = D.$$

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

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

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

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

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  $r = 0$ .



THEOREM 5.1. *The radius of convexity of  $K_\omega$  satisfies*

$$(5.8) \quad [C(\alpha)]^\alpha \geq 4r_2(\alpha)[1 - r_2(\alpha)] = [\rho_2(\alpha)]^\alpha$$

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

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

$$\sigma_{p,n} = z \frac{f'_{p,n}}{f_{p,n}}, \quad \gamma_{p,n} = z \frac{f''_{p,n}}{f'_{p,n}}.$$

It is easily verified from (2.1) that

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

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

$$\Re[1 + \gamma_{n,n}] \geq 0, \quad |z| \leq \rho_2(\alpha),$$

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.

#### REFERENCES

1. J. F. Paydon and H. S. Wall, *The continued fraction as a sequence of linear transformations*, Duke Math. J., **9** (1942), 360-372.
2. O. Perron, *Über ein Schlichtheitschranke von James S. Thale*, S.-B. Math.-Nat. Kl. Bayer. Akad. Wiss. 1956.
3. J. S. Thale, *Univalence of continued fractions and Stieltjes transforms*, Proc. Amer. Math. Soc., **7** (1956), 232-244.
4. H. S. Wall, *Analytic theory of continued fractions*, Van Nostrand, New York, 1948.

DE PAUL UNIVERSITY  
NORTHWESTERN UNIVERSITY

