On Extensions And Generalizations Of Rivlin's Inequality^{*}

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Received 24 Feburary 2023

Abstract

In 1960, T.J. Rivlin proved a well-known inequality, also known as Rivlin's inequality. This inequality states that if P(z) is a polynomial of degree n having no zero in |z| < 1, then for $0 \le r \le 1$

$$\max_{|z|=r} |P(z)| \ge \left(\frac{1+r}{2}\right)^n \max_{|z|=1} |P(z)|.$$

In this paper, we prove some extensions and generalizations of the above inequality which also sharpen Rivlin's inequality as a special case. Some related results are also obtained and some important consequences of the results are discussed as well.

1 Introduction

If P(z) is a polynomial of degree n, then for $R \ge 1$

$$\max_{|z|=1} |P'(z)| \le n \max_{|z|=1} |P(z)| \tag{1}$$

and

$$\max_{|z|=R} |P(z)| \le R^n \max_{|z|=1} |P(z)|.$$
(2)

The above inequalities are the famous Bernstein inequalities [1] for polynomials. Inequality (1) is a direct consequence of Bernstein's theorem on the derivative of a trigonometric polynomial [2], and inequality (2) follows from the maximum modulus theorem (see [3, Problem 269]).

The reverse analogue of inequality (2) whenever $R \leq 1$ is given by Varga [4] by proving that if P(z) is a polynomial of degree n, then

$$\max_{|z|=r} |P(z)| \ge r^n \max_{|z|=1} |P(z)|, \tag{3}$$

whenever $0 \le r \le 1$. Inequality (3) attains equality whenever $P(z) = az^n$.

For the class of polynomials having no zero inside the unit circle, Rivlin [5] proved that if P(z) is a polynomial of degree n having no zero in |z| < 1, then for $0 \le r \le 1$

$$\max_{|z|=r} |P(z)| \ge \left(\frac{1+r}{2}\right)^n \max_{|z|=1} |P(z)|.$$
(4)

Equality holds in inequality (4) if $P(z) = (z + a)^n$ whenever |a| = 1.

Aziz [6] generalized Rivlin's inequality (4) by proving that if P(z) has no zero in $|z| < K, K \ge 1$, then for $0 \le r \le 1$

$$\max_{|z|=r} |P(z)| \ge \left(\frac{K+r}{K+1}\right)^n \max_{|z|=1} |P(z)|.$$
(5)

^{*}Mathematics Subject Classifications: 30A10, 30C10, 30C15.

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The above inequality is best possible and equality holds if $P(z) = (z + a)^n$ and |a| = K. In inequality (5), the bound does not address the issue of how far the zeros lie outside the disc |z| = K. Now there arises a question naturally; is there any way to refine inequality (5) by capturing some informations on the moduli of zeros? Can we obtain a bound via two extreme coefficients of P(z) which are informative about the distance of zeros from the origin? In view of the example for the equality case in inequality (5) which holds with the property $|a_0|/|a_n| = K^n$, it should be possible to improve upon the bound for polynomials $P(z) = \sum_{v=0}^{n} a_v z^v$ having no zero in $|z| < K, K \ge 1$, satisfying $|a_0|/|a_n| \neq K^n$.

As a way to this approach, Kumar and Milovanović [7] sharpened inequalities (4) and (5) significantly by proving that if $P(z) = \sum_{v=0}^{n} a_v z^v$ has no zero in $|z| < K, K \ge 1$, then for $0 \le r \le 1$

$$\max_{|z|=r} |P(z)| \ge \left\{ \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{|a_0| - |a_n|K^n}{|a_0| + |a_n|}\right) \left(\frac{1-r}{K+1}\right) \right\} \max_{|z|=1} |P(z)|.$$
(6)

The above result is sharp and equality holds if $P(z) = (z + K)^n$ and also for P(z) = z + a for any a with $|a| \ge K$.

In this paper, we prove some extensions and generalizations of inequality (6) which are sharpened forms of Rivlin's inequality.

2 Lemmas

We need the following lemmas to prove the theorems. The first lemma is due to Kumar and Milovanović [7].

Lemma 1 For any $0 \le r \le 1$ and $R_k \ge K \ge 1, 1 \le k \le n$, then

$$\prod_{k=1}^{n} \frac{r+R_k}{1+R_k} \ge \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{R_1R_2...R_n - K^n}{R_1R_2...R_n + 1}\right) \left(\frac{1-r}{K+1}\right)^n.$$
(7)

Lemma 2 The function

$$f(x) = \frac{x - |a_n|K^n}{x + |a_n|}, \ x \neq -|a_n|,$$

is a non-decreasing function for $K \ge 1$, $a_n \in C$ and n is a positive integer.

Proof. The result follows by the first derivative test.

Lemma 3 If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree n such that $P(z) \neq 0$ in |z| < K, K > 0, then

$$|P(z)| \ge m \quad for \quad |z| \le K,\tag{8}$$

where $m = \min_{|z|=K} |P(z)|$.

The above lemma is due to Gardner et al. [9, see Lemma 2.6].

Lemma 4 If $P(z) = \sum_{\nu=0}^{n} a_{\nu} z^{\nu}$ is a polynomial of degree *n* having no zero in |z| < K, $K \ge 1$, then for any complex number λ with $|\lambda| < 1$ and $m = \min_{|z|=K} |P(z)|$

$$K^n|a_n| \le |a_0| - |\lambda|m.$$

Proof. By hypothesis, P(z) has no zero in |z| < K. So, P(z) has all its zeros in $|z| \ge K$. Then, the polynomial $S(z) = e^{-i \arg a_0} P(z)$ has the same zeros as P(z). Here,

$$S(z) = e^{-i \arg a_0} \left\{ |a_0| e^{i \arg a_0} + a_1 z + \dots + a_{n-1} z^{n-1} + a_n z^n \right\}$$

= $|a_0| + e^{-i \arg a_0} \left\{ a_1 z + \dots + a_{n-1} z^{n-1} + a_n z^n \right\}.$

 $|\lambda| \, m < m \le |S(z)|.$

Then by Rouche's theorem, $T(z) = S(z) - |\lambda|m$ has all its zeros in $|z| \ge K$ and in case m = 0, T(z) = S(z). Thus, in any case, T(z) has all its zeros in $|z| \ge K$. Now, applying Vieta's formula to T(z), we get

$$\frac{|a_0| - |\lambda|m}{|a_n|} \ge K^n,$$

i.e.

$$K^n|a_n| \le |a_0| - |\lambda|m,$$

which completes the proof of Lemma 4. \blacksquare

3 Main Results

Our first result extends and generalizes inequality (6) which in turn sharpens and generalizes inequality (4) due to Rivlin [5]. In fact, we prove the following result.

Theorem 1 If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree *n* having no zero in $|z| < K, K \ge 1$ and R_k , k = 1, 2, ..., n, are the moduli of the zeros of $P(z) + \lambda m$, where λ is some fixed complex number with $|\lambda| < 1$, then for $0 \le r \le 1$

$$\max_{|z|=r} |P(z)| \geq \left\{ \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{|a_0| - |\lambda|m - |a_n|K^n}{|a_0| - |\lambda|m + |a_n|}\right) \left(\frac{1-r}{K+1}\right)^n \right\} \max_{|z|=1} |P(z)| + \left\{ 1 - \left(\prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) \right\} |\lambda|m,$$

where $m = \min_{|z|=K} |P(z)|$.

Proof. Here, $m = \min_{|z|=K} |P(z)|$ and if $P(z) = \sum_{v=0}^{n} a_v z^v$ has a zero on |z| = K, $K \ge 1$, then m = 0. Henceforth, we assume that P(z) has no zero on |z| = K. Therefore, for |z| = K

$$m \le |P(z)|. \tag{9}$$

If λ is any real or complex number with $|\lambda| < 1$, we have on |z| = K

$$|\lambda| m < m \le |P(z)|.$$

By Rouche's theorem, it follows that the polynomial $F(z) = P(z) + \lambda m$ does not vanish in |z| < K for every real or complex number λ with $|\lambda| < 1$. If $R_k, k = 1, 2, ..., n$, are the moduli of the zeros of F(z), then $R_k \ge K, K \ge 1$. Now, for any $0 \le r \le 1$ and $0 \le \phi < 2\pi$,

$$\frac{F(re^{i\phi})}{F(e^{i\phi})} = \prod_{k=1}^{n} \left| \frac{re^{i\phi} - R_{k}e^{i\phi_{k}}}{e^{i\phi} - R_{k}e^{i\phi_{k}}} \right| \\
= \prod_{k=1}^{n} \left| \frac{re^{i(\phi-\phi_{k})} - R_{k}}{e^{i(\phi-\phi_{k})} - R_{k}} \right| \\
= \prod_{k=1}^{n} \left\{ \frac{r^{2} + R_{k}^{2} - 2rR_{k}cos(\phi - \phi_{k})}{1 + R_{k}^{2} - 2R_{k}cos(\phi - \phi_{k})} \right\}^{1/2} \\
\geq \prod_{k=1}^{n} \frac{r + R_{k}}{1 + R_{k}},$$

which is equivalent to

$$\left|F(re^{i\phi})\right| \ge \prod_{k=1}^{n} \frac{r+R_k}{1+R_k} |F(e^{i\phi})|,$$

which gives

$$\left|P(re^{i\phi}) + \lambda m\right| \ge \prod_{k=1}^{n} \frac{r + R_k}{1 + R_k} |P(e^{i\phi}) + \lambda m|.$$

$$\tag{10}$$

By Lemma 3, we have

$$P(e^{i\phi}) + \lambda m| \ge |P(e^{i\phi})| - |\lambda|m.$$
(11)

Using inequality (11) on the right hand side of inequality (10), we get

$$|P(re^{i\phi}) + \lambda m| \ge \prod_{k=1}^{n} \frac{r + R_k}{1 + R_k} \left\{ |P(e^{i\phi})| - |\lambda| m \right\} \ge 0.$$
(12)

Let ϕ_0 be such that $\max_{0 \le \phi < 2\pi} |P(e^{i\phi})| = |P(e^{i\phi_0})|$. Then, in particular, inequality (12) becomes

$$|P(re^{i\phi_0}) + \lambda m| \ge \prod_{k=1}^n \frac{r + R_k}{1 + R_k} \left\{ |P(e^{i\phi_0})| - |\lambda|m \right\}.$$
(13)

We choose the argument of λ suitably on the left hand side of inequality (13) such that

$$|P(re^{i\phi_0}) + \lambda m| = |P(re^{i\phi_0})| - |\lambda|m.$$
(14)

Using (14), inequality (13) becomes

$$|P(re^{i\phi_0})| - |\lambda|m \ge \prod_{k=1}^n \frac{r + R_k}{1 + R_k} \left\{ |P(e^{i\phi_0})| - |\lambda|m \right\},\$$

or equivalently

$$|P(re^{i\phi_0})| \ge \left(\prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) |P(e^{i\phi_0})| + \left(1 - \prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) |\lambda|m.$$
(15)

Using inequality (7) to the first term in the right hand side of inequality (15), we get

$$\begin{aligned} |P(re^{i\phi_0})| &\geq \left\{ \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{R_1 R_2 \dots R_n - K^n}{R_1 R_2 \dots R_n + 1}\right) \left(\frac{1-r}{K+1}\right)^n \right\} |P(e^{i\phi_0})| \\ &+ \left(1 - \prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) |\lambda|m, \end{aligned}$$

which is also equivalent to

$$|P(re^{i\phi_0})| \geq \left\{ \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{|a_0 + \lambda m| - |a_n|K^n}{|a_0 + \lambda m| + |a_n|}\right) \left(\frac{1-r}{K+1}\right)^n \right\} |P(e^{i\phi_0})| + \left(1 - \prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) |\lambda| m.$$
(16)

By Lemma 3, we have for $|z| \leq K, K \geq 1$ and $|\lambda| < 1$

$$|P(z)| \ge m > |\lambda|m. \tag{17}$$

If we put z = 0 in inequality (17), then

$$|P(0)| > |\lambda|m$$

which gives

$$|a_0| > |\lambda|m. \tag{18}$$

By inequality (18), we have

$$|a_0 + \lambda m| \ge |a_0| - |\lambda|m. \tag{19}$$

Therefore by Lemma 2, we have

$$\frac{|a_0 + \lambda m| - |a_n|K^n}{|a_0 + \lambda m| + |a_n|} \ge \frac{|a_0| - |\lambda|m - |a_n|K^n}{|a_0| - |\lambda|m + |a_n|}.$$
(20)

It is worth to note from Lemma 4 that the right hand side of inequality (20) is always non-negative. Using inequality (20), inequality (16) gives

$$|P(re^{i\phi_0})| \geq \left\{ \left(\frac{K+r}{K+1}\right)^n + \frac{1}{K^{n-1}} \left(\frac{|a_0| - |\lambda|m - |a_n|K^n}{|a_0| - |\lambda|m + |a_n|}\right) \left(\frac{1-r}{K+1}\right)^n \right\} |P(e^{i\phi_0})| + \left(1 - \prod_{k=1}^n \frac{r+R_k}{1+R_k}\right) |\lambda|m.$$
(21)

Since

$$\max_{|z|=r} |P(re^{i\phi})| \ge |P(re^{i\phi_0})| \text{ and } \max_{|z|=1} |P(e^{i\phi})| = |P(e^{i\phi_0})|$$

we get the desired result from inequality (21).

Remark 1 When $\lambda = 0$, Theorem 1 reduces to inequality (6).

Remark 2 When $\lambda = 0$ and K = 1, Theorem 1 reduces to the following improvement of Rivlin's inequality due to Kumar [8].

Corollary 1 If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree *n* having no zero in |z| < 1, then for $0 \le r \le 1$,

$$\max_{|z|=r} |P(z)| \ge \left\{ \left(\frac{1+r}{2}\right)^n + \left(\frac{|a_0| - |a_n|}{|a_0| + |a_n|}\right) \left(\frac{1-r}{2}\right)^n \right\} \max_{|z|=1} |P(z)|.$$
(22)

Equality holds in inequality (22) if $P(z) = (z+a)^n$ whenever |a| = 1 and also for P(z) = z+a for any a with $|a| \ge 1$. As an interesting consequence of Theorem 1, we get an inequality for the class of polynomials having all its zeros in $|z| \le K$, $K \le 1$. To elaborate it, if $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree n having all its zeros in $|z| \le K$, $K \le 1$, then its reciprocal polynomial $Q(z) = z^n P(1/z)$ has no zero in |z| < 1/K, $1/K \ge 1$. If R_k , k = 1, 2, ..., n, are the moduli of the zeros of $P(z) + z^n \lambda m/K^n$, then $1/R_k$, k = 1, 2, ..., n, are the moduli of the zeros of $Q(z) + \lambda m_0$, where $m_0 = \min_{|z|=1/K} |Q(z)|$. Applying Theorem 1 to the polynomial Q(z) with r = 1/R, $R \ge 1$, we get

$$\max_{|z|=1/R} |Q(z)| \geq \left\{ \left(\frac{1/K + 1/R}{1/K + 1} \right)^n + K^{n-1} \left(\frac{|a_n| - |\lambda| m_0 - |a_0|/K^n}{|a_n| - |\lambda| m_0 + |a_0|} \right) \left(\frac{1 - 1/R}{1/K + 1} \right)^n \right\} \\ \times \max_{|z|=1} |Q(z)| + \left(1 - \prod_{k=1}^n \frac{r + 1/R_k}{1 + 1/R_k} \right) |\lambda| m_0.$$
(23)

Now,

$$m_0 = \min_{|z|=1/K} |Q(z)| = \frac{1}{K^n} \max_{|z|=K} |P(z)| = \frac{m}{K^n}.$$
(24)

Using equality (24) in inequality (23) and simplifying, the following corollary is obtained.

Corollary 2 If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree *n* having all its zeros in $|z| \leq K$, $K \leq 1$ and R_k , k = 1, 2, ..., n, are the moduli of the zeros of $P(z) + z^n \lambda m/K^n$, where λ is some fixed complex number with $|\lambda| < 1$, then for r = 1/R, $R \geq 1$,

$$\max_{|z|=R} |P(z)| \geq \left\{ \left(\frac{K+R}{K+1}\right)^n + K^{n-1} \left(\frac{|a_n|K^n - |\lambda|m - |a_0|}{|a_n| - |\lambda|m/K^n + |a_0|}\right) \left(\frac{R-1}{K+1}\right)^n \right\} \max_{|z|=1} |P(z)| \\
+ \left(\frac{R}{K}\right)^n \left(1 - \prod_{k=1}^n \frac{rR_k + 1}{R_k + 1}\right) |\lambda|m,$$

where $m = \min_{|z|=K} |P(z)|$.

Govil [10] generalized inequality (4) by studying the relative growth of a polynomial P(z) having no zero in the open disk, with respect to two circles |z| = r and |z| = R whenever $0 \le r < R \le 1$. In particular, he proved that if P(z) is a polynomial of degree n having no zero in |z| < 1, then for $0 \le r < R \le 1$

$$\max_{|z|=r} |P(z)| \ge \left(\frac{1+r}{1+R}\right)^n \max_{|z|=R} |P(z)|.$$
(25)

Our next result sharpens inequality (25) and it also extends and generalizes some results as special cases.

Theorem 2 If $P(z) = \sum_{v=0}^{n} a_v z^v$ has no zero in |z| < K, K > 0 and R_k , k = 1, 2, ..., n, are the moduli of the zeros of $P(z) + \lambda m$, where λ is some fixed complex number with $|\lambda| < 1$, then for $0 \le r < R \le K$,

$$\max_{|z|=r} |P(z)| \geq \left\{ \left(\frac{K+r}{K+R}\right)^n + \left(\frac{R}{K}\right)^{n-1} \left(\frac{|a_0| - |\lambda|m - |a_n|K^n}{|a_0| - |\lambda|m + |a_n|R^n}\right) \left(\frac{R-r}{K+R}\right)^n \right\} \max_{|z|=R} |P(z)| + \left(1 - \prod_{k=1}^n \frac{r+R_k}{R+R_k}\right) |\lambda|m,$$
(26)

where $m = \min_{|z|=K} |P(z)|$.

Proof. If P(z) has no zero in |z| < K, then the polynomial P(Rz) has no zero in |z| < K/R, where $K/R \ge 1$. Then the polynomial P(Rz) satisfies the hypothesis of Theorem 1 and applying Theorem 1 to P(Rz), we have

$$\max_{|z|=r/R} |P(Rz)| \geq \left\{ \left(\frac{K/R + r/R}{K/R + 1} \right)^n + \left(\frac{R}{K} \right)^{n-1} \left(\frac{|a_0| - |\lambda| m' - |a_n R^n| (K/R)^n}{|a_0| - |\lambda| m' + |a_n R^n|} \right) \times \left(\frac{1 - r/R}{K/R + 1} \right)^n \right\} \max_{|z|=1} |P(Rz)| + \left(1 - \prod_{k=1}^n \frac{r/R + R_k/R}{1 + R_k/R} \right) |\lambda| m',$$
(27)

where $m' = \min_{|z|=K/R} |P(Rz)|$. Now,

$$m' = \min_{|z|=K/R} |P(Rz)| = \min_{|z|=K} |P(z)| = m$$

Using this equality in inequality (27) and simplifying, we get

$$\max_{|z|=r} |P(z)| \geq \left\{ \left(\frac{K+r}{K+R}\right)^n + \left(\frac{R}{K}\right)^{n-1} \left(\frac{|a_0| - |\lambda|m - |a_n|K^n}{|a_0| - |\lambda|m + |a_n|R^n}\right) \left(\frac{R-r}{K+R}\right)^n \right\} \max_{|z|=R} |P(z)| + \left(1 - \prod_{k=1}^n \frac{r+R_k}{R+R_k}\right) |\lambda|m.$$

This completes the proof of the theorem. \blacksquare

Remark 3 When $\lambda = 0$ and K = 1, Theorem 2 reduces to the following result due to Kumar and Milovanović [7] which is an improvement and generalization of inequality (25).

Corollary 3 If $P(z) = \sum_{v=0}^{n} a_v z^v$ has no zero in |z| < 1, then for $0 \le r < R \le 1$,

$$\max_{|z|=r} |P(z)| \ge \left\{ \left(\frac{1+r}{1+R}\right)^n + R^{n-1} \left(\frac{|a_0| - |a_n|}{|a_0| + |a_n|R^n}\right) \left(\frac{R-r}{1+R}\right)^n \right\} \max_{|z|=R} |P(z)|.$$
(28)

The result is best possible and equality holds in inequality (28) if $P(z) = (z+a)^n$ where |a| = 1 and also for P(z) = z + a for any a with $|a| \ge 1$.

Remark 4 When $\lambda = 0$, K = 1 and R = 1, Theorem 2 reduces to Corollary 1, which is an improved version of Rivlin's inequality.

If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree *n* having all its zeros in $|z| \leq K, K \geq 1$, then the reciprocal polynomial $Q(z) = z^n P(1/z)$ has all its zeros in $|z| \geq 1/K$. Now if $R_k, k = 1, 2, ..., n$, are the moduli of the zeros of $P(z) + z^n \lambda m/K^n$, then $1/R_k, k = 1, 2, ..., n$, are the moduli of the zeros of $Q(z) + \lambda m_0$ where $m_0 = \min_{|z|=1/K} |Q(z)|$. Also if $1 \leq K \leq R < r$, then $0 \leq 1/r < 1/R \leq 1/K$. Applying Theorem 2 to the polynomial Q(z), we get for some fixed complex number λ with $|\lambda| < 1$

$$\max_{|z|=1/r} |Q(z)| \geq \left\{ \left(\frac{1/K + 1/r}{1/K + 1/R} \right)^n + \left(\frac{K}{R} \right)^{n-1} \left(\frac{|a_n| - |\lambda| m_0 - |a_0|/K^n}{|a_n| - |\lambda| m_0 + |a_0|/R^n} \right) \left(\frac{1/R - 1/r}{1/R + 1/K} \right)^n \right\} \times \max_{|z|=1/R} |Q(z)| + \left(1 - \prod_{k=1}^n \frac{1/r + 1/R_k}{1/R + 1/R_k} \right) |\lambda| m_0.$$
(29)

Using equality (24) in inequality (29) and simplifying, the following corollary is obtained.

Corollary 4 If $P(z) = \sum_{v=0}^{n} a_v z^v$ is a polynomial of degree *n* having all its zeros in $|z| \leq K$, $K \geq 1$ and R_k , k = 1, 2, ..., n, are the moduli of the zeros of $P(z) + z^n \lambda m/K^n$, where λ is some fixed complex number with $|\lambda| < 1$, then for $1 \leq K \leq R < r$,

$$\max_{|z|=r} |P(z)| \geq \left\{ \left(\frac{K+r}{K+R}\right)^n + \left(\frac{K}{R}\right)^{n-1} \left(\frac{|a_n|K^n - |\lambda|m - |a_0|}{|a_n|R^n - |\lambda|m \left(R/K\right)^n + |a_0|}\right) \left(\frac{r-R}{K+R}\right)^n \right\} \times \max_{|z|=R} |P(z)| + \frac{1}{K^n} \left(r^n - R^n \prod_{k=1}^n \frac{r+R_k}{R+R_k}\right) |\lambda|m,$$
(30)

where $m = \min_{|z|=K} |P(z)|$.

Acknowledgment. We are very grateful to the referee for the valuable and useful suggestions or comments in upgrading the paper to the present form. We are also thankful to National Institute of Technology Manipur for financial support.

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