

EXTREMAL PROPERTIES OF CERTAIN SETS OF SPLINES
 AND THEIR APPLICATIONS

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1.

Let $u(x)$ and $v(x)$ be continuous functions increasing and respectively decreasing on the real line, $u(0) = v(0) = 0$ and strict monotone in some neighbourhood of the origin. With fixed numbers a and b we associate functions

$$w_{-1}(a, b; x) = -\min(u_-(x-b); v_-(x-a)), \quad w_{-1}(a; x) = -v_-(x-a),$$

$$w_1(a, b; x) = \min(u_+(x-a); v_+(x-b)), \quad w_1(a; x) = u_+(x-a),$$

where

$$f_+(t) = \max(f(t); 0),$$

$$f_-(t) = \max(-f(t); 0).$$

Let S_{rn} be the set of splines

$$s_r(x) = P_{r-1}(x) + \frac{1}{(r-1)!} \int_0^1 s(z, t) ((x-t)_+)^{r-1} dt, \quad (1)$$

where $P_{r-1} \in \mathcal{P}_{r-1}$, \mathcal{P}_m is the set of algebraic polynomials of degree at most m ,

$$s(z, x) = v_+(x-z_1) + \sum_{k=1}^{n-1} w_{(-1)^k}^{(z_k, z_{k+1}; x)} + w_{(-1)^n}^{(z_n; x)}, \quad (2)$$

the nodes

$$0 = z_0 \leq z_1 \leq \dots \leq z_n \leq z_{n+1} = 1$$

are arbitrary. It is clear that

$$s_r^{(r)}(x) = s(z, x) \quad (3)$$

\tilde{S}_{rn} is a similar set of 1-periodic splines

$$s_r(x) = a_0 + \int_0^1 \tilde{s}(z,t) D_r(x-t) dt,$$

where $a_0 \in \mathcal{T}_0$,

$$\tilde{s}(z,x) = \sum_{k=1}^n w_{(-1)^k} (z_k; z_{k+1}; x), \quad \int_0^1 \tilde{s}(z,x) dx = 0,$$

$$z_1 \leq z_2 \leq \dots \leq z_n \leq z_{n+1} = z_1 + 1,$$

$$D_m(x) = 2^{1-m} \mathcal{T}^{-m} \sum_{k=1}^{\infty} k^{-m} \cos(2\pi kx - \pi m/2).$$

2.

Let $C^r(0,1)$ be the space of functions $f(x)$ having r continuous derivatives on $[0,1]$ ($C^0(0,1) = C$), \tilde{C}^r is the analogous space of 1-periodic functions,

$$\|f\| = \max_x |f(x)|.$$

By $\mathcal{M}(f)$ we denote the number of sign changes of $f(x)$ on $[0,1]$ (or on a period when f is periodic) and $\mathcal{V}(f)$ is the number of zeros of $f(x)$ on $[0,1]$ (or on period) with due regard to their multiplicities. The multiplicity $\rho(t,s)$ of zero t of spline $s \in S_{rn}$ is defined in the usual way: $\rho(t,s) = \min\{i \leq r : s^{(i)}(t) \neq 0\}$, if $s^{(i)}(t) = 0$ ($i=0:r$) then $\rho(t,s) = 2 \lfloor (r+1)/2 \rfloor + 1$ when s changes sign at t and $\rho(t,s) = 2 \lfloor (r+2)/2 \rfloor$ in the other case.

In virtue of (3) the following statement holds true.

LEMMA 1. For every spline $s \in S_{rn}$ ($s \in \tilde{S}_{rn}$)

$$\begin{aligned} \mathcal{M}(s^{(j)}) &\leq n+r-j & (\mathcal{M}(s^{(j)}) &\leq 2 \lfloor n/2 \rfloor), \\ \mathcal{V}(s^{(j)}) &\leq n+r-j & (\mathcal{V}(s^{(j)}) &\leq 2 \lfloor (n+1)/2 \rfloor). \end{aligned}$$

LEMMA 2. Let functions u and v satisfy the additional restrictions

$$\mathcal{M}(u(x) - cu(x-y)) \leq 1, \quad \mathcal{M}(v(x) - cv(x-y)) \leq 1 \quad \forall y, c \quad (4)$$

and s_1, s_2 be functions of the form (2) with n and m nodes respectively. Then for every $c \geq 1$

$$\mathcal{M}(cs_1 - s_2) \leq n.$$

This follows from (4) and inequalities

$$M(\text{cu}(x-y)-s(x)) \leq 1, \quad M(\text{cv}(x-y)-s(x)) \leq 1 \quad \forall y, c$$

for every $s \in S_{rn}$.

For set S_{rn} we have the following theorem on zeros.

THEOREM 1. For arbitrary nodes $0 < t_1 < \dots < t_k < 1$, sets $A, B \in N_r = \{0, \dots, r\}$ and integers ρ_i ($1 \leq \rho_i \leq r+2$),

$$\sum_{i=1}^k \rho_i + |A| + |B| = n+r,$$

where $|G|$ is the number of elements of G , in S_{rn} there exists spline s such that

$$s^{(j)}(t_i) = 0 \quad (i=1:k; j=0: \rho_i-1), \quad (5)$$

$$s^{(j)}(0) = 0 \quad (j \in A), \quad s^{(j)}(1) = 0 \quad (j \in B). \quad (6)$$

Proof. For $r=0$ the theorem is easy (in this case all $\rho_i=1$ and $z_i=t_i$ in (2)). Let $r \geq 1$, $\rho_i \leq r+1$ ($i=1:k$). The set of derivatives

$$P(f) = \{ f^{(j)}(t_i) \ (i=1:k, j=0: \rho_i-1), f^{(a)}(0) \ (a \in A), f^{(b)}(1) \ (b \in B) \}$$

of arbitrary function $f \in C^r(0,1)$ we order

$$P(f) = \{ p_1(f), \dots, p_{n+r}(f) \}$$

in the following way:

$$p_{j+1} = f^{(j)}(t_1) \ (j=0: \rho_1-1), \dots, p_{j+1+\rho_1+\dots+\rho_{k-1}}(f) = f^{(j)}(t_k) \ (j=\rho_k-1).$$

Then we number $f^{(a)}(0)$ ($a \in A$) and $f^{(b)}(1)$ ($b \in B$).

Now we construct a continuous odd map p from the sphere

$$D = \{ d = (d_1, \dots, d_{n+1}), \sum_{i=1}^{n+1} |d_i| = 1 \}$$

into R_n . Let

$$z_0 = 0, \quad z_i = \sum_{j=1}^i |d_j| \quad (i=1:n+1), \quad \sigma_i = \text{sgn } d_i,$$

$$s(d, x) = \sigma_1 v_+(x-z_1) + \sum_{k=1}^{n-1} \sigma_{k+1} w_{(-1)^k}^{(z_k, z_{k+1}; x)} + \sigma_{n+1} w_{(-1)^n}^{(z_n, x)}$$

$$s_r(d, x) = P_{r-1}(x) + \frac{1}{(r-1)!} \int_0^1 s(d, t) ((x-t)_+)^{r-1} dt ,$$

where $P_{r-1} \in \mathcal{H}_{r-1}$ satisfies requirements

$$p_i(s_r) = 0 \quad (i=1:r) .$$

With each point $d \in D$ we associate the vector $p(d) \in R_n$

$$p(d) = \{ p_{r+1}(s_r), \dots, p_{r+n}(s_r) \} .$$

It is clear that the map $p: D \rightarrow R_n$ is continuous and odd. By Borsuk's theorem /1/ there is a point $d_0 \in D$ such that $p(d_0) = 0$. The function $s_{r_0}(x) = s_r(d_0, x)$ satisfies (5)-(6). And $\mathcal{M}(s_{r_0}) \geq n$, i.e. $\mathcal{M}(s(d_0, x)) \geq n$. On the other hand, it is obvious that $\mathcal{M}(s(d_0, x)) \leq n$. And for $\beta_i \leq r$ ($i=1:k$) the equality holds if and only if $d_i d_{i+1} > 0$ ($i=1:n$). Consequently, either $s_{r_0} \in S_{rn}$ or $-s_{r_0} \in S_{rn}$. In case $\beta_m > r$ ($1 \leq m \leq k$) there should be analogous constructions on $[0, t_m]$ and on $[t_m, 1]$. Theorem 1 is proved.

Analogous theorem holds for periodic splines.

THEOREM 2. For all sets of points $t_1 < \dots < t_k < t_1 + 1$ and integers β_1, \dots, β_k ($1 \leq \beta_i \leq r+2$), $\sum_{i=1}^k \beta_i = 2m = n$, there is spline $s \in \tilde{S}_{rn}$ satisfying (5).

Proof. For $r=0$ the theorem is easy. Let $r \geq 1$. The idea of proof is similar to the preceding one. But it has a special difference in construction of the map p . Let $\beta_i \leq r+1$ ($i=1:k$) and $p(f) = \{ f^{(j)}(t_i) \ (i=1:k, j=0: \beta_i - 1) \} = \{ p_1(f), \dots, p_n(f) \}$.

We construct a map p from the sphere

$$D = \left\{ d = (d_1, \dots, d_n) , \sum_{i=1}^n |d_i| = 1 \right\}$$

into R_{n-1} in the following way. With $d \in D$ we associate the values :

$$z_0 = 0 , \quad z_i = \sum_{j=1}^i |d_j| \quad (i=1:n) , \quad \sigma_i = \text{sgn } d_i ,$$

$$s(d, x) = \sum_{k=0}^{n-1} \sigma_{k+1} w_{(-1)^k} (z_k, z_{k+1}; x) ,$$

$$s_{rn}(d,x) = \int_0^1 s(d,t) D_r(x-t) dt ,$$

$$x_d = \inf \{ x \in [0,1) : s_{r0}(d,x_d) = s_{r0}(d,x_d+t_2-t_1) \} \quad \text{if } \rho_1 = 1 ,$$

$$x_d = \inf \{ x \in [0,1) : s'_{r0}(d,x_d) = 0 \} \quad \text{if } \rho_1 > 1 ,$$

$$s_r(d,x) = s_{r0}(d,x+x_d-t_1) - s_{r0}(d,x_d) ,$$

$$p(d) = \left\{ p_3(s_r), \dots, p_n(s_r), \int_0^1 s(d,x) dx \right\} .$$

Now the proof of theorem 2 is completed similar to the preceding one.

REMARK 1. If functions u and v satisfy conditions (4) then there is unique spline $s \in S_{rn}$ with properties (5)-(6); and there are exactly two splines $s_1, s_2 \in S_{rn}$ satisfying (5).

This can be proved using lemma 2 analogous to /2/.

We note that in the case $\rho_1 = 2$ ($i=1:k$) the theorem 2 was proved in /3/.

From the theorems 1 and 2 similar theorems for monosplines (see /4,5,2/ for example) and perfect splines (see /6,7/ for example) follow. It may be obtained if we define $u(x) = x$, $v(x) = -ax$ and

$$u(x) = -v(x) = \begin{cases} ax , & x \in [-1/a, 1/a] \\ 1 , & x > 1/a \\ -1 , & x < -1/a \end{cases}$$

and pass to the limit with $a \rightarrow +\infty$.

3.

In this section we obtain the theorems on snakes. For the polynomials those theorems are established by S.Karlin /8/ and extended by other authors (see /9,10/ for example). For the monosplines they are obtained in /11/.

THEOREM 3. Let $f, g \in C$ be functions between which there exists polynomial $Q \in \Pi_{r-1}$

$$g(x) < Q(x) < f(x) , \quad x \in [0,1] . \quad (7)$$

If functions u and v satisfy conditions (4) then there exist exactly two splines $s_1, s_2 \in S_{rn}$ and constants c_1, c_2 ($(-1)^r c_1 > 0$, $c_1 c_2 < 0$) such that

$$g(x) \leq c_1 s_1(x) \leq f(x) , \quad x \in [0,1] \quad (i=1:2) \quad (8)$$

and for some points

$$0 \leq \xi_1 < \dots < \xi_{n+r+1} \leq 1, \quad 0 \leq \eta_1 < \dots < \eta_{n+r+1} \leq 1,$$

$$c_1 s_1(\xi_i) = f(\xi_i), \quad c_2 s_2(\eta_i) = g(\eta_i) \quad (i \text{ odd}) \quad (9)$$

$$c_1 s_1(\xi_i) = g(\xi_i), \quad c_2 s_2(\eta_i) = f(\eta_i) \quad (i \text{ even}) \quad (10)$$

Proof. Consider the simplex

$$D = \left\{ d = (d_0, \dots, d_{n+r}), d_i \geq 0, \sum_{i=0}^{n+r} d_i = 1 \right\},$$

$$t_0 = 0, \quad t_i = t_i(d) = \sum_{j=0}^{i-1} d_j \quad (i=1:n+r+1).$$

$0 \leq \tau_1 < \dots < \tau_k \leq 1$ are different points of $T_d = \{t_1, \dots, t_{n+r}\}$, r_i is a number of knots coinciding with t_i ,

$$p_i = \min(r_i, r + (3 + (-1)^{r_i - r})/2), \quad m = \sum_{i=1}^k p_i - r.$$

By theorem 1 and remark 1 with each point $d \in D$ we associate a unique spline $s_d \in S_{rm}$ such that

$$s_d^{(j)}(t_i) = 0 \quad (i = 1:k, j = 0:p_i - 1).$$

According to lemma 1

$$(-1)^{r+i} s_d(x) \geq 0, \quad x \in [t_i, t_{i+1}] \quad (i = 0:n+r).$$

Therefore the functions

$$p_d(x) = \begin{cases} s_d(x)/(f(x) - Q(x)), & x \in [t_{i-1}, t_i] \quad (i \text{ odd}) \\ s_d(x)/(g(x) - Q(x)), & x \in [t_{i-1}, t_i] \quad (i \text{ even}), \end{cases}$$

$$q_d(x) = \begin{cases} s_d(x)/(g(x) - Q(x)), & x \in [t_{i-1}, t_i] \quad (i \text{ odd}) \\ s_d(x)/(f(x) - Q(x)), & x \in [t_{i-1}, t_i] \quad (i \text{ even}) \end{cases}$$

are bounded and one of them is nonnegative and the other is nonpositive. Values

$$P_i(d) = \sup \left\{ |p_d(x)|, x \in [t_i, t_{i+1}] \right\} \quad (i=0:n+r),$$

$$Q_i(d) = \sup \left\{ |q_d(x)|, x \in [t_i, t_{i+1}] \right\} \quad (i=0:n+r)$$

continuously depend on $d \in D$ and

$$P_i(d) = 0, Q_i(d) = 0 \iff d_i = 0 \quad (i=0:n+r). \quad (11)$$

Now we show that there exists a point $d^* \in D$ at which

$$P_i(d^*) = P_{i+1}(d^*) = \|p_{d^*}\| \quad (i=0:n+r).$$

Suppose the contrary: $\forall d \in D \exists i=i(d)$ such that $P_i(d) < \|p_d\|$.

Then

$$P(d) = \sum_{i=0}^{n+r} (P_i(d) - p(d)) > 0, \quad p(d) = \min_i P_i(d), \quad (12)$$

and the map $h : D \rightarrow D$, $h(d) = (h_0(d), \dots, h_{n+r}(d))$,

$$h_{j-1}(d) = (P_j(d) - p(d))/P(d) \quad (i=1:n+r+1), \quad P_{n+r+1}(d) = P_0(d),$$

is continuous on D . According to the Browder's fixed-point theorem there is $d_0 \in D$ such that

$$h(d_0) = d_0 = (d_0^0, \dots, d_{n+r}^0),$$

$$d_{j-1}^0 = (P_j(d_0) - p(d_0))/P(d_0) \quad (i=1:n+r+1). \quad (13)$$

Let $P_1(d_0) = p(d_0)$. Then from (11) and (13) we have

$$d_{1-1}^0 = 0 \Rightarrow \{P_{1-1}(d_0) = 0, p(d_0) = 0\} \Rightarrow P_{1-2}(d_0) = 0 \Rightarrow d_{1-2}^0 = 0 \text{ etc.}$$

We obtain the equality $P(d_0) = 0$. It contradicts to (12)

Thus, there exists a point $d^* \in D$ such that all

$$P_i(d^*) = p(d^*) = \|p_{d^*}\| \neq 0$$

and consequently all $d_i^* > 0$.

In view of continuity of $p_{d^*}(x)$ on intervals (t_i, t_{i+1}) there are points ξ_i ($i=0:n+r$) at which $p_{d^*}(\xi_i) = \|p_{d^*}\|$. The number

$c_1 = 1/p_{d^*}(\xi_0)$ and spline $s_1 = s_{d^*} + P/c_1$ satisfy requirements of the theorem. The second spline is being constructed analogously with the help of function $q_d(x)$.

By analogy to /2, theorem 5.3/ it is easy to established that in S_{rn} there are no other splines satisfying the conditions of the theorem. Theorem 3 is proved.

The following statement can be obtained in the similar way.
THEOREM 4. Let $f, g \in \tilde{C}$ satisfy (7), where $Q \in \mathcal{H}_0$, and u, v have properties (4). Then for arbitrary point t_0 there exist exactly two splines $s_1, s_2 \in \tilde{S}_{rn}$ and positive (negative) constants c_1, c_2 satisfying (8),

$$c_1 s_1(t_0) = c_2 s_2(t_0) = Q(t_0),$$

and at some points $\xi_1 < \dots < \xi_{n+1} < \xi_1 + 1$, $\eta_1 < \dots < \eta_{n+1} < \eta_1 + 1$, the requirements (9)-(10) are fulfilled.

As in /11/ it is possible to obtain similar theorems if in (8) the symbol of equality occurs at some points.

4.

We introduce in the set of continuous functions the so-called nonsymmetric norm (Minkowski functional). Let $\varphi, \psi \in C$ be strict positive functions. Assume

$$\|f\|_{\varphi, \psi} = \|f_+ \varphi + f_- \psi\|.$$

THEOREM 5. Let u and v satisfy conditions (4). Then there is a unique spline $\hat{s} \in S_{rn}$ having $n+r+1$ alternation points $0 \leq x_1 < \dots < x_{n+r+1} \leq 1$ i.e.

$$|\hat{s}(x_i)| = \|\hat{s}\|_{\varphi, \psi} \quad \hat{s}(x_i) \hat{s}(x_{i+1}) < 0$$

This \hat{s} is the only element of S_{rn} with minimal (φ, ψ) -norm:

$$\|\hat{s}\|_{\varphi, \psi} < \|s\|_{\varphi, \psi} \quad \forall s \in S_{rn} \quad (s \neq \hat{s}).$$

Proof. According to theorem 3 there exists a unique spline $\hat{s} \in S_{rn}$ and positive constant c satisfying (8),(9) (r odd) or (8),(10) (r even) where $f = 1/\varphi$, $g = -1/\psi$:

$$-1/\psi \leq c\hat{s} \leq 1/\varphi.$$

Hence $\hat{s}_+ \varphi \leq 1/c$, $\hat{s}_- \psi \leq 1/c$ and

$$\|\hat{s}\|_{\varphi, \psi} = \|\hat{s}_+ \varphi + \hat{s}_- \psi\| \leq 1/c.$$

At $n+r+1$ points x_i $|\hat{s}(x_i)| = 1/c$ and $\hat{s}(x_i) \hat{s}(x_{i+1}) < 0$.

In analogy with /2, theorem 5.3/ it is possible to prove that \hat{s} has a minimal (φ, ψ) -norm and the uniqueness of the optimal spline. This completes the proof of theorem 5.

The following statement is derived from theorem 4 in a similar way.

THEOREM 6. Let u and v satisfy (4). There exists in \tilde{S}_{rn} a unique spline \hat{s} with the node $\hat{z}_1 = z$ (z is fixed arbitrary) alternating n times on the period. This \hat{s} is the only element of $\tilde{S}_{rn}(z) = \{s \in \tilde{S}_{rn} : z_1 = z\}$ with minimal (φ, ψ) -norm (in this case we assume that $\varphi, \psi \in \tilde{C}$).

We apply theorem 5 and 6 to estimates from below of the widths of classes of functions defined by the upper restrictions on the moduli of continuity.

$W^{rH\omega}$ is the class of functions $f \in C^r(0,1)$ whose moduli of continuity $\omega(f^{(r)}, t)$ do not exceed a given concave $\omega(t)$. $\widehat{W}^{rH\omega}$ is the analogous class of 1-periodic functions; and

$$u(x) = v(-x) = \begin{cases} 1/2 & (2x), \quad x \geq 0, \\ -1/2 & (-2x), \quad x < 0, \end{cases} \quad (14)$$

The number

$$d_n(M) = \inf_{L_n \subset X} \sup_{f \in M} \inf_{g \in L_n} \|f - g\|_X$$

is called a n -width in the sense of Kolmogorov of the set $M \subset X$, where L_n denote n -dimensional subspaces of X .

THEOREM 7. The following relations hold for $n \geq r$:

$$d_n(W^{rH\omega})_{\varphi, \psi} \geq \|s_{rn}\|_{\varphi, \psi},$$

where s_{rn} is the spline of minimal (φ, ψ) -norm in the set S_{rn} constructed on the basis of functions (14).

Proof. We follow the reasoning due to N.P.Korneichuk /14, §10.4/.

Consider the $(n+r+1)$ -dimensional subspace S_n^r of functions

$$s_r(x) = P_{r-1}(x) + \frac{1}{(r-1)!} \int_0^1 s(z,t) ((x-t)_+)^{r-1} dt, \quad (15)$$

where $P_{r-1} \in \Pi_{r-1}$,

$$s(z,x) = c_0 v_+(x-z_1) + \sum_{k=1}^{n-1} c_k w_{(-1)^k}^{(z_k, z_{k+1}, x)} + c_n w_{(-1)^n}^{(z_n, x)}, \quad (16)$$

z_i are nodes of spline s_{rn} , c_i are real numbers.

Let x_i ($i = 0:n+r$) be alternation points of s_{rn} .

LEMMA 3. If $s \in S_n^r$ and

$$|s(x_i)| \leq \|s_{rn}\|_{\varphi, \psi} := d \quad (i = 0:n+r) \quad (17)$$

then the coefficients c_i of the representation (15)-(16) of the spline s satisfy the estimates

$$|c_i| \leq 1 \quad (i = 0:n)$$

and, consequently, $s \in W^{rH\omega}$.

Proof. Assume the contrary: S_n^r contains an element s satisfying (17) but $|c_j| > 1$ for some j . Then

$$|s(x_i)/c_j| < d \quad (i = 0:n+r)$$

and the difference $h = s_{rn} - s/c_j$ changes sign on $(0,1)$ $n+r$ times at least: $M(h) \geq n+r$. Therefore

$$M(h^{(r)}) \geq n.$$

On the other hand,

$$M(h^{(r)}) \leq n-1$$

because $h^{(r)} \equiv 0$ on (z_j, z_{j+1}) . This contradiction proves lemma 3.

It is not difficult to verify that

$$s_1(x_i) = s_2(x_i) \quad (i = 0:n+r) \implies s_1 = s_2.$$

Therefore for any real y_1 the set S_n^r contains interpolating element s :

$$s(x_i) = y_1 \quad (i = 0:n+r).$$

Let L_n be an arbitrary n -dimensional subspace from $C(0,1)$.

In analogy with [14, p.271] it is not difficult to show that there is an element $s_L \in S_n^r$ such that

$$\max_i |s_L(x_i)| = d$$

and

$$\inf_{l \in L_n} \max_{0 \leq i \leq n+r} \left((s_L(x_i) - l(x_i))_+ (x_i) + (s_L(x_i) - l(x_i))_- (x_i) \right) = d.$$

Hence

$$\inf_{l \in L_n} \|s_L - l\|_{\varphi, \psi} \geq d$$

according to lemma 3

$$d_n(W^{rH\omega})_{\varphi, \psi} \geq d.$$

Theorem 7 is proved.

Similar theorems hold for the classes

$$W^{rH\omega}(\Lambda, B) = \left\{ f \in W^{rH\omega} : f^{(i)}(0) = 0 \ (i \in \Lambda), f^{(j)}(1) = 0 \ (j \in B) \right\},$$

where Λ and B are subsets of $N_r = \{0, \dots, r\}$, and for $\widehat{W}^{rH\omega}$.

THEOREM 8. For every $r, n = 1, 2, \dots$ the following estimate is true

$$d_n(\widehat{W}^{rH\omega})_{\varphi, \psi} \geq \| \tilde{s}_{rn} \|_{\varphi, \psi},$$

where s_{rn} is the spline of minimal (φ, ψ) -norm in the set S_{rk} , $k = 2 \lfloor (n+1)/2 \rfloor$, constructed on the basis of functions (14).

Those results can be to apply to the problem of optimal recovery of functions.

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