

General T-Fractions Corresponding to Functions Satisfying Certain Boundedness Conditions

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1. DEFINITION AND INTRODUCTORY REMARKS

We shall use the symbol \mathbb{K} to denote a continued fraction (terminating or non-terminating) in a similar manner as the familiar symbols Σ and \prod are used to denote a sum and a product:

$$\mathbb{K}_{n=1}^N \frac{a_n}{b_n} = \frac{a_1}{b_1 + \frac{a_2}{b_2 + \frac{a_3}{b_3 + \dots + \frac{a_N}{b_N}}}},$$

$$\mathbb{K}_{n=1}^{\infty} \frac{a_n}{b_n} = \frac{a_1}{b_1 + \frac{a_2}{b_2 + \dots}}$$

The N th approximant of the nonterminating continued fraction

$$\mathbb{K}_{n=1}^{\infty} \frac{a_n}{b_n}$$

is

$$\mathbb{K}_{n=1}^N \frac{a_n}{b_n}.$$

Convergence of a nonterminating continued fraction means convergence of the sequence of approximants.

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A general T -fraction is a continued fraction of the form

$$P(z) + Q\left(\frac{1}{z}\right) + c_0 + \mathbf{K}_{n=1}^N \frac{F_n z}{1 + G_n z}, \quad (1.1)$$

where P and Q are polynomials $\equiv 0$ or without constant term and where c_0, F_n, G_n are complex numbers, $F_n \neq 0$ for $n < N + 1$. If $N = \infty$, the general T -fraction is called *infinite* or *nonterminating*, if $N < \infty$, it is *finite* or *terminating*. The case $N = 0$, where the K -expression is empty and hence 0, is also accepted.

In the nonterminating case and with $P(z) + Q(1/z) + c_0 = e_0 + d_0 z$, $e_0 \neq 0$ the general T -fraction has the equivalent form

$$e_0 + d_0 z + \mathbf{K}_{n=1}^{\infty} \frac{z}{e_n + d_n z}, \quad e_n \neq 0 \text{ for } n \geq 0. \quad (1.1')$$

Continued fractions of this form are referred to by Perron [8, p. 173] as "Thronsche Kettenbrüche," since they are generalizations of the continued fractions

$$1 + d_0 z + \mathbf{K}_{n=1}^{\infty} \frac{z}{1 + d_n z}, \quad (1.2)$$

introduced by Thron [9]. Later the continued fractions (1.2) are referred to as T -fractions. In addition to Perron's studies the continued fractions (1.1') or (1.1) have been studied by McCabe and Murphy (see, e.g., [7]) and independently by Jones and Thron [3].

Some of the most essential properties of general T -fractions have to do with their (possible) correspondence to pairs $(L(z), L^*(z))$ of formal Laurent series and with their relation to two-point Pade tables [3, 5]. The approximants of a general T -fraction (1.1) with $Q \equiv 0$ and $G_n \neq 0, n \geq 1$ form a diagonal in the two-point Pade table of $(L(z), L^*(z))$. General T -fractions have also proved useful in solving algebraic equations numerically [4] and in solving a certain moment problem [6].

The general T -fraction (1.1) is said to *correspond* to the ordered pair $(L(z), L^*(z))$ of formal Laurent series

$$\begin{aligned} L(z) &= Q\left(\frac{1}{z}\right) + c_0 + \sum_{k=1}^{\infty} c_k z^k, \\ L^*(z) &= P(z) + \sum_{k=-\infty}^0 c_k^* z^k \end{aligned} \quad (1.3)$$

if and only if P, Q, c_0 are the same in (1.1) and (1.3), and for any natural

number n the n th approximant of (1.1) has a Laurent expansion at 0 with the start

$$Q\left(\frac{1}{z}\right) + c_0 + \sum_{k=1}^n c_k z^k \quad (\text{correspondence at } 0),$$

and a Laurent expansion at ∞ with the start

$$P(z) + \sum_{k=-(n-1)}^0 c_k^* z^k \quad (\text{correspondence at } \infty),$$

where c_k and c_k^* have the same meaning as in (1.3) [3]. (In the terminating case all n th approximants for $n \geq N$ are equal to the N th approximant.) In paper [3] a set of necessary and sufficient conditions on the coefficients of $L(z)$ and $L^*(z)$ for existence of a corresponding general, nonterminating *T*-fraction with all $G_n \neq 0$ is given. It is easy to prove that $G_n \neq 0$ for all $n < N + 1$ is necessary (and sufficient) for a general *T*-fraction to correspond to some pair (1.3) of formal Laurent series [13], and hence the condition $G_n \neq 0$ does not represent any restriction. However, the theorem in [3] does not cover the terminating case.

It is easy to prove that the pair (1.3) corresponds to the general *T*-fraction (1.1) if and only if

$$\left(1 + \sum_{k=1}^{\infty} c_k z^k - P(z), 1 - c_0 + c_0^* + \sum_{k=-\infty}^{-1} c_k^* z^k - Q\left(\frac{1}{z}\right)\right)$$

corresponds to

$$1 + \mathbf{K}_{n=1}^N \frac{F_n z}{1 + G_n z}.$$

Hence, without loss of generality we may restrict ourselves to formal Laurent series of the types

$$L(z) = 1 + \sum_{k=1}^{\infty} c_k z^k, \tag{1.4}$$

$$L^*(z) = \sum_{k=-\infty}^0 c_k^* z^k,$$

and general *T*-fractions of the form

$$1 + \mathbf{K}_{n=1}^N \frac{F_k z}{1 + G_k z} \quad [13]. \tag{1.5}$$

Let $(L(z), L^*(z))$ be a pair of formal power series (1.4), and let for a fixed n , $1 \leq n < N + 1$,

$$1 + \prod_{k=1}^n \frac{F_k z}{1 + G_k z} \quad (1.6)$$

be a terminating general T -fraction with the property that for any integer k , $1 \leq k \leq n$, the k th approximant of (1.6) has a Laurent expansion at 0 with the start

$$1 + \sum_{\nu=1}^k c_\nu z^\nu$$

and a Laurent expansion at ∞ with the start

$$\sum_{\nu=-(k-1)}^0 c_\nu^* z^\nu,$$

c_ν and c_ν^* being the same as in (1.4). Then (1.6) shall be called a *proper start* (a proper n -start if we want to emphasize the length) of a possible general T -fraction corresponding to $(L(z), L^*(z))$, or briefly a proper start for $(L(z), L^*(z))$. It is obvious, that except for the case $L(z) = L^*(z) = 1$, when the corresponding general T -fraction is 1, a necessary condition for existence of a corresponding general T -fraction is the existence of proper starts of any length or a proper start which is the (terminating) general T -fraction corresponding to $(L(z), L^*(z))$. It is rather easy to prove that this is also sufficient (A crucial point is the uniqueness of the parameters F_k, G_k) [13].

It is a straightforward verification to prove that for any $(L(z), L^*(z)) \neq (1, 1)$ a proper 1-start exists if and only if $c_1 \neq 0$, $c_0^* \neq 1$, in which case

$$1 + \frac{F_1 z}{1 + G_1 z} \quad \text{with } F_1 = c_1, G_1 = \frac{c_1}{c_0^* - 1} \quad (1.7)$$

is the unique proper 1-start. If a proper 1-start exists, the formal identities

$$L(z) = 1 + \frac{F_1 z}{G_1 z + l(z)}, \quad L^*(z) = 1 + \frac{F_1 z}{G_1 z + l^*(z)} \quad (1.8)$$

define a new pair $(l(z), l^*(z))$ of formal Laurent series of the form (1.4). This pair is in [13] called the *descendant* of $(L(z), L^*(z))$. In the particular case when $(l(z), l^*(z)) = (1, 1)$ the terminating general T -fraction (1.7) is the corresponding general T -fraction of $(L(z), L^*(z))$. In all other cases,

$(l(z), l^*(z))$ may or may not have a proper 1-start. It is easy to prove that the following holds for any $n \geq 2$:

$$1 + \prod_{k=1}^n \frac{F_k z}{1 + G_k z}$$

is a proper n -start for $(L(z), L^*(z))$ if and only if

$$1 + \prod_{k=2}^n \frac{F_k z}{1 + G_k z}$$

is a proper $(n - 1)$ -start for $(l(z), l^*(z))$ [13].

2. A BOUNDEDNESS \Rightarrow CONVERGENCE THEOREM

In paper [10] it is, for ordinary T -fractions, proved that if f is holomorphic in a sufficiently large disk $|z| < R$, $f(0) = 1$, and $|f(z) - 1|$ is sufficiently small in the disk, then the corresponding T -fraction converges to $f(z)$ locally uniformly on the unit disk $|z| < 1$. In paper [11] a related theorem for correspondence at ∞ is proved. In both cases the T -fraction turns out to be limit periodic with $d_n \rightarrow -1$ as $n \rightarrow \infty$.

The purpose of the present paper is to prove that a similar connection between boundedness and convergence exists for general T -fractions. Since in case of correspondence the general T -fraction is governed by *two* formal series, it is likely that we must put conditions on both. It turns out that if $L(z)$ and $L^*(z)$ are Laurent series of *functions* satisfying sufficiently strong boundedness conditions, then the corresponding general T -fraction will exist and will converge to the “right” functions in neighborhoods of 0 and ∞ .

Notational Remarks. In the following L and L^* shall denote the functions having $L(z)$ and $L^*(z)$ as their Laurent expansions (at 0 and at ∞). Furthermore, for any fixed c_1 , we shall let \mathcal{L}_{c_1} denote the set of formal Laurent series

$$1 + c_1 z + c_2 z^2 + \dots$$

with that particular value of c_1 .

THEOREM. *For any fixed $c_1 \neq 0$ there exist two ordered pairs (α, R) , (β, ρ) of positive numbers,*

$$\rho < \frac{1}{|c_1|} < R,$$

such that the following holds for all $(L(z), L^(z))$ with $L(z) \in \mathcal{L}_{c_1}$:*

If

L is a holomorphic function in the disk
 $|z| < R$ and there satisfies the condition (2.1)

$$|L(z) - 1 - c_1 z| \leq \alpha$$

and

L^* is a holomorphic function in the domain
 $|z| > \rho$ and there satisfies the condition (2.2)

$$|L^*(z)| \leq \beta,$$

then $(L(z), L^*(z))$ has a corresponding nonterminating general T -fraction

$$1 + \prod_{n=1}^{\infty} \frac{F_n z}{1 + G_n z}$$

with the property that

$$\lim_{n \rightarrow \infty} F_n = - \lim_{n \rightarrow \infty} G_n = F$$

exists and is $\neq 0$. The general T -fraction converges to $L(z)$ locally uniformly in $|z| < 1/|F|$ and to $L^*(z)$ locally uniformly in $|z| > 1/|F|$.

Before proving the theorem we shall make some remarks:

Remark 1. For any fixed $c_1 \neq 0$ the pair $(L(z), L^*(z)) = (1 + c_1 z, 0)$ obviously satisfies the conditions (2.1) and (2.2), regardless of the values of α, R, β, ρ . It is easy to prove, that it has the corresponding general T -fraction

$$1 + \frac{c_1 z}{1 - c_1 z} + \frac{c_1 z}{1 - c_1 z} + \frac{c_1 z}{1 - c_1 z} + \dots$$

and that this converges to $1 + c_1 z$ locally uniformly in $|z| < 1/|c_1|$ and to 0 locally uniformly in $|z| > 1/|c_1|$. The theorem expresses the fact that if $(L(z), L^*(z))$ is close to $(1 + c_1 z, 0)$ in a certain sense, then it acts similarly as far as the corresponding general T -fraction is concerned.

Remark 2. If α, R, β, ρ "work" in the sense of the theorem, and $\alpha', R', \beta', \rho'$ are positive numbers with $\alpha' \leq \alpha, R' \geq R, \beta' \leq \beta, \rho' \leq \rho$ they will also "work" in the same meaning.

Remark 3. To any pair of series (1.4), which are Laurent expansions of functions, we can construct a pair (\tilde{L}, \tilde{L}^*) of functions, meeting the requirements (2.1) and (2.2). In fact

$$\begin{aligned} \tilde{L}(z) &= L(kz) + (1 - k) c_1 z, \\ \tilde{L}^*(z) &= L^*\left(\frac{z}{k}\right) \end{aligned}$$

will do for all sufficiently small $|k|$. Observe that this transformation does not change c_1 .

Remark 4. Let a and b be distinct complex numbers $\neq 0$, and let

$$L(z) = \frac{1 - abz^2}{1 - az}, \quad L^*(z) = 0.$$

Then obviously L^* satisfies the condition (2.2), regardless of the values of ρ and β . We also see, that $c_1 = a$, and that

$$L(z) - 1 - az = (a - b) \frac{az^2}{1 - az}.$$

On any fixed disk $|z| < R < 1/|a|$ this can be made arbitrarily small by taking b to be sufficiently close to a . This, however, is not enough to satisfy (2.1), since R cannot be taken to be $> 1/|c_1| = 1/|a|$. It is easy to see that the corresponding general T -fraction exists and is of the form

$$1 + \frac{az}{1 - az} + \frac{bz}{1 - bz} + \frac{az}{1 - az} + \frac{bz}{1 - bz} + \dots$$

Since $a \neq b$, this is obviously not limit periodic.

Proof of the Theorem. Without loss of generality we may assume that $|c_0^*| < 1$ and hence $c_0^* \neq 1$. Since we already have required $c_1 \neq 0$, we know that $(L(z), L^*(z))$ has a proper start

$$1 + \frac{F_1 z}{1 + G_1 z}, \quad F_1 = c_1, \quad G_1 = \frac{c_1}{c_0^* - 1},$$

and a descendant $(l(z), l^*(z))$:

$$\begin{aligned} l(z) &= 1 + d_1 z + d_2 z^2 + \dots, \\ l^*(z) &= d_0^* + d_{-1}^* z^{-1} + d_{-2}^* z^{-2} + \dots. \end{aligned} \tag{2.3}$$

In the proof we shall need the following formulas, which are proved by straightforward computations:

$$d_1 = \frac{c_1}{1 - c_0^*} - \frac{c_2}{c_1}, \tag{2.4}$$

$$l(z) - 1 - d_1 z = \frac{c_2}{c_1} z - \frac{\frac{L(z) - 1 - c_1 z}{L(z) - 1 - c_1 z} \frac{c_1 z}{c_1 z} + 1}{c_1 z}, \tag{2.5}$$

$$d_0^* = -\frac{c_1 c_{-1}^*}{(1 - c_0^*)^2}, \quad (2.6)$$

$$l^*(z) = \frac{(L^*(z) - c_0^*) c_1 z}{(L^*(z) - 1)(1 - c_0^*)}. \quad (2.7)$$

Let m and M be arbitrary positive numbers such that

$$m < |c_1| < M, \quad (2.8)$$

and let θ be an arbitrary positive number < 1 . After having chosen m , M , and θ , let α , R , β , ρ be positive numbers such that $\beta < 1$ and

$$mR \geq \alpha + \frac{2}{\theta}, \quad (2.9a)$$

$$\frac{\alpha}{mR^2} + \frac{\beta M}{1 - \beta} \leq (1 - \theta) \cdot \min\{M - |c_1|, |c_1| - m\}, \quad (2.9b)$$

$$\frac{2M\rho}{(1 - \beta)^2} \leq \theta. \quad (2.9c)$$

The existence of such numbers is trivial. We also see, that once such a quadruple is determined, any quadruple $(\alpha', R', \beta', \rho')$ of positive numbers with

$$\alpha' \leq \alpha, \quad R' \geq R, \quad \beta' \leq \beta, \quad \rho' \leq \rho$$

will satisfy (2.9). Furthermore, it follows from (2.9a) that $R > 1/|c_1|$ and from (2.9c) that $\rho < 1/|c_1|$. (We even see that $R > 2/|c_1|$ and $\rho < 1/(2|c_1|)$ for any R, ρ satisfying the set (2.9) of inequalities.)

Assume now that L and L^* satisfy the conditions (2.1) and (2.2) with the values just chosen for α , R , β , ρ . From (2.1) it follows, by using Schwarz' Lemma twice:

$$\left| \frac{L(z) - 1 - c_1 z}{z} \right| \leq \frac{\alpha}{R} \quad \text{in } |z| < R, \quad (2.10)$$

$$\left| \frac{L(z) - 1 - c_1 z}{z^2} \right| \leq \frac{\alpha}{R^2} \quad \text{in } |z| < R. \quad (2.11)$$

This also holds at the origin (by removing the singularity in the usual way), and hence we have

$$|c_2| \leq \frac{\alpha}{R^2}. \quad (2.11')$$

From (2.5), (2.10), (2.11'), and (2.9a) it follows that l is holomorphic in $|z| < R$ and there satisfies the inequality

$$|l(z) - 1 - d_1z| \leq \frac{\alpha}{mR} + \frac{\alpha}{mR - \alpha} \leq \theta \cdot \alpha. \tag{2.12}$$

From (2.4), (2.2) with $z \rightarrow \infty$, (2.11'), and (2.9b) it follows that

$$\begin{aligned} |d_1 - c_1| &= \left| \frac{c_1c_0^*}{1 - c_0^*} - \frac{c_2}{c_1} \right| \leq \frac{M\beta}{1 - \beta} + \frac{\alpha}{mR^2} \\ &\leq (1 - \theta) \cdot \min\{M - |c_1|, |c_1| - m\}. \end{aligned} \tag{2.13}$$

From (2.2) we have

$$|L^*(z) - c_0^*| \leq 2\beta \quad \text{in } |z| > \rho$$

and

$$L^*(z) - c_0^* \rightarrow 0.$$

An "exterior domain version" of Schwarz's Lemma (obtained by using Schwarz's Lemma on $L^*(1/\zeta) - c_0^*$ in the disk $|\zeta| < 1/\rho$) thus gives

$$|(L^*(z) - c_0^*)z| \leq 2\beta\rho \quad \text{in } |z| > \rho,$$

and hence we have from (2.7) and (2.9c) that l^* is holomorphic in $|z| > \rho$ and

$$|l^*(z)| \leq \frac{2\beta M\rho}{(1 - \beta)^2} \leq \theta \cdot \beta. \tag{2.14}$$

Conditions (2.12) and (2.14) show that the descendant $(l(z), l^*(z))$ satisfies the conditions (2.1) and (2.2) with (α, β) replaced by $(\theta\alpha, \theta\beta)$. Furthermore, from (2.13) it follows that

$$m < |d_1| < M.$$

The inequalities (2.9) obviously hold when (α, β) is replaced by $(\theta\alpha, \theta\beta)$, (2.9b) even with

$$\theta(1 - \theta) \cdot \min\{M - |c_1|, |c_1| - m\} \leq (1 - \theta) \cdot \min\{M - |d_1|, |d_1| - m\}$$

on the right-hand side. Hence we may repeat the argument and obtain a descendant of $(l(z), l^*(z))$, satisfying (2.1) and (2.2) with (α, β) replaced by $(\theta^2\alpha, \theta^2\beta)$. This process may be continued as long as we know that the

coefficient of z in the first of the two series always is in the (m, M) -annulus (2.8). Denoting the possible k th descendant by $(L^{(k)}(z), L^{*(k)}(z))$,

$$L^{(k)}(z) = 1 + \sum_{n=1}^{\infty} c_n^{(k)} z^n, \quad L^{*(k)}(z) = \sum_{n=-\infty}^0 c_n^{*(k)} z^n,$$

we have

$$\begin{aligned} |c_1^{(k)} - c_1| &\leq |c_1^{(1)} - c_1| + |c_1^{(2)} - c_1^{(1)}| + \cdots + |c_1^{(k)} - c_1^{(k-1)}| \\ &\leq (1 - \theta)(1 + \theta + \cdots + \theta^{k-1}) \cdot \min\{M - |c_1|, |c_1| - m\} \\ &< \min\{M - |c_1|, |c_1| - m\}. \end{aligned}$$

Hence $m < |c_1^{(k)}| < M$ for all k , and all descendants exist, and hence the corresponding general T -fraction. Since the series $\sum |c_1^{(k)} - c_1^{(k-1)}|$ converges, the sequence $\{c_1^{(k)}\}$ must converge, and since $F_k = c_1^{(k)}$, we have

$$\lim_{k \rightarrow \infty} F_k = F, \quad \text{where } m \leq |F| \leq M.$$

Since furthermore $|c_0^{*(k)}| \leq \theta^k \cdot \beta$ and

$$G_k = \frac{c_1^{(k)}}{c_0^{*(k)} - 1},$$

we have

$$\lim_{k \rightarrow \infty} G_k = -F.$$

The ‘‘convergence part’’ of the statement in the theorem is a simple consequence of a theorem in Perron [8, p. 93] on limit periodic continued fractions. The argument is very similar to the one given in [10], and shall be omitted here.

3. FINAL REMARKS

Let $c_1 \neq 0$ be given, and let R and ρ be any two positive numbers such that

$$R > \frac{2}{|c_1|}, \quad \rho < \frac{1}{2|c_1|}.$$

Then there exist numbers $\alpha > 0, \beta > 0$, such that if $L(z) \in \mathcal{L}_{c_1}$ and (2.1) and (2.2) are satisfied, then the corresponding general T -fraction exists, is limit periodic with $F_n \rightarrow F \neq 0, G_n \rightarrow -F$, and converges to $L(z)$ locally uniformly on $|z| < 1/|F|$ and to $L^*(z)$ locally uniformly on $|z| > 1/|F|$.

In order to see this we may proceed as follows: Pick m, M such that

$$\frac{2}{R} < m < |c_1| < M < \frac{1}{2\rho},$$

and pick $\theta \in (0, 1)$ such that

$$\frac{2}{R\theta} < m \quad \text{and} \quad \frac{M}{\theta} < \frac{1}{2\rho}.$$

Then, for any $\alpha > 0$ with $\alpha/R \leq m - 2/R\theta$ (2.9a) holds, and for any $\beta > 0$ with $\beta < 1$ and $(1 - \beta)^2 \geq 2M\rho/\theta$ (2.9c) holds. Observe that if (2.9a) and (2.9c) hold for a certain pair (α, β) , they hold for all (α', β') , where $0 < \alpha' < \alpha$, $0 < \beta' < \beta$. Since the left-hand side expression of (2.9b) tends to 0 when α and β both tend to 0, (2.9b) holds for all sufficiently small α, β . Hence, if $R > 2/|c_1|$ and $\rho < 1/(2|c_1|)$, it is possible to find numbers $m, M, \theta, \alpha, \beta$, such that (2.8) and (2.9) hold.

The proof of the theorem does not offer any values of R and ρ better than $2/|c_1|$ and $1/(2|c_1|)$. Based upon the Hovstad result [2] on ordinary T -fractions a nearby conjecture would be that any pair (R, ρ) with

$$\rho < \frac{1}{|c_1|} < R$$

works.

For a limit-periodic continued fraction the use of converging factors [14] is usually worth a try, since it may increase the domain of convergence and the speed of the convergence. This has been done successfully for ordinary T -fractions in [12], and is discussed more generally by Gill in several papers, e.g., [1]. In the present case the method would mean to replace $S_n(0)$ by $S_n(Fz)$ at 0 (or rather $S_n(F_n z)$, since F usually is not known), and to replace $S_n(0)$ by $S_n(-1)$ at ∞ , where

$$S_n(w) = 1 + \frac{F_1 z}{1 + G_1 z} + \dots + \frac{F_n z}{1 + G_n z + w}.$$

Numerical examples seem to indicate that in some cases very much can be gained by such a modification.

EXAMPLE. It can be proved, that the continued fraction

$$1 + \mathbf{K}_{k=1}^{\infty} \frac{z}{1 - \left(1 + \frac{1}{5^{k+1}}\right) z} \tag{3.1}$$

corresponds at 0 to a series, representing a function f , meromorphic in the disk $|z| < 5$. It can furthermore be proved, that the continued fraction (3.1) converges to $f(z)$ in $|z| < 1$ and in no larger disk, but that the sequence $\{S_n(z)\}$ converges to $f(z)$ in $|z| < 5$ (except at possible poles).

As for the speed of convergence, the values

$$f(-0.9) = 0.498, \quad f(0.9) = 1.568,$$

rounded in the 3rd decimal place need $n = 46$ and $n = 80$ in the usual continued fraction algorithm (i.e., $S_n(0)$), whereas they are obtained already for $n = 3$ with the modification (i.e., $S_n(z)$).

The use of converging factors will be discussed in more detail in a subsequent paper.

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