

New Upper Bound for the B-Spline Basis Condition Number

II. A Proof of de Boor's 2^k -Conjecture

K. Scherer

Institut für Angewandte Mathematik, Universität Bonn, 53115 Bonn, Germany

and

A. Yu. Shadrin*

Computing Center, Siberian Branch, Russian Academy of Sciences, 630090 Novosibirsk, Russia

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For the p -norm condition number $\kappa_{k,p}$ of the B-spline basis of order k we prove the upper estimate $\kappa_{k,p} < k2^k$. This proves de Boor's 2^k -conjecture up to a polynomial factor. © 1999 Academic Press

1. INTRODUCTION

It is of central importance for working with B-spline series that its condition number is bounded independently of the underlying knot sequence. This fact was proved by C. de Boor in 1968 for the sup-norm and in 1973 for any L_p -norm (see [B1] for references). In the paper [B2] he gave the direct estimate

$$\kappa_{k,p} < k9^k \tag{1.1}$$

for $\kappa_{k,p}$, the worst condition number with respect to the p -norm of a B-spline basis of order k , and conjectured that the real value of $\kappa_{k,p}$ grows like 2^k ,

$$\kappa_{k,p} \sim 2^k, \tag{1.2}$$

which is seen to be far better than (1.1).

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The conjecture was based on numerical calculations of some related constants which moreover gave some evidence that the extreme case occurs for a knot sequence without interior knots (the so-called Bernstein knots). Maybe due to this reason, a few papers devoted to the 2^k -conjecture for $\kappa_{k,p}$ were concerned only with the “Bernstein knots” conjecture for the extreme knot sequence, see [B3, C, Ly, S].

These papers gave further support for de Boor’s conjecture (1.2), in particular T. Lyche [Ly] obtained a lower bound for $\kappa_{k,\infty}$ from which it follows [S] that

$$\kappa_{k,p} > ck^{-1/p}2^k. \quad (1.3)$$

In the unpublished manuscript [SS1] we returned to de Boor’s direct approach in [B2], and considered the possibility of improving his 9^k -estimate by several modifications of his method. In particular, a slight revision based on Kolmogorov’s estimate for intermediate derivatives had shown that

$$\kappa_{k,p} < k\gamma^k, \quad \gamma = 6.25.$$

In the previous paper [SS2] we developed a further approach to obtain

$$\kappa_{k,p} < k^{1/2}4^k.$$

In this paper using the same approach we give a surprisingly short and elementary proof of

THEOREM 1. *For all k and all $p \in [1, \infty]$,*

$$\kappa_{k,p} < k2^k. \quad (1.4)$$

With respect to (1.2)–(1.3), this confirms C. de Boor’s conjecture up to a polynomial factor.

We show also that the optimal factor which can be obtained in (1.4) within this approach is $k^{1/2}$ and discuss further possible approaches by which this factor could be removed.

2. CONDITION NUMBER AND RELATED CONSTANTS

Let $\{\hat{N}_j\}$ be the B-spline basis of order k on a knot sequence $t = (t_j)$, $t_j < t_{j+k}$, normalized with respect to the L_p -norm ($1 \leq p \leq \infty$), i.e.,

$$\hat{N}_j(x) = (k/(t_{j+k} - t_j))^{1/p} N_j(x),$$

where $\{N_j\}$ is the B-spline basis which forms a partition of unity. Recall here that

$$N_j(t) = ([t_j, \dots, t_{j+k-1}] - [t_{j+1}, \dots, t_{j+k}])(\cdot - t)_+^{k-1}$$

and that

$$N_j(x) > 0, \quad x \in (t_j, t_{j+k}); \quad N_j(x) = 0, \quad x \notin [t_j, t_{j+k}]; \quad \sum N_j = 1.$$

The condition number of the L_p -normalized basis $\{\hat{N}_j\}$ is defined as

$$\begin{aligned} \kappa_{k,p,t} &:= \sup_b \frac{\|b\|_{L_p}}{\|\sum b_j \hat{N}_j\|_{L_p}} \sup_b \frac{\|\sum b_j \hat{N}_j\|_{L_p}}{\|b\|_{L_p}} \\ &= \sup_b \frac{\|b\|_{L_p}}{\|\sum b_j \hat{N}_j\|_{L_p}}, \end{aligned}$$

where the L_p -norm is taken with respect to the smallest interval containing the knot sequence (t_i) .

The last equality in the above definition follows from normalization

$$\hat{N}_j(x) = M_j^{1/p}(x) N_j^{1/q}(x), \quad M_j(x) := \frac{k}{t_{j+k} - t_j} N_j(x), \quad \int M_j(x) dx = 1,$$

so that

$$\begin{aligned} \left\| \sum b_j \hat{N}_j \right\|_{L_p} &= \left\| \sum b_j M_j^{1/p} N_j^{1/q} \right\|_{L_p} \leq \left\| \left(\sum b_j^p M_j \right)^{1/p} \left(\sum N_j \right)^{1/q} \right\|_{L_p} \\ &= \left\| \left(\sum b_j^p M_j \right)^{1/p} \right\|_{L_p} = \left\| \sum b_j^p M_j \right\|_{L_1}^{1/p} \\ &\leq \|b\|_{L_p}, \end{aligned}$$

with equalities for $b_j = ((t_{j+k} - t_j)/k)^{1/p}$.

The worst B-spline condition number is defined then as

$$\kappa_{k,p} := \sup_t \kappa_{k,p,t}.$$

Its value gives a measure for the uniform stability of the B-spline basis and is important for numerical calculations with B-splines.

Following [B2] we introduce now related constants that are upper bounds for $\kappa_{k,p}$. This has been done already in [SS2] but for convenience of the reader we state here again the relevant lemmas. More details can be found in [B1, B2, S].

LEMMA A. *Let H_i be the class of functions $h \in L_q$ such that*

$$(1) \quad \text{supp } h \subset [t_i, t_{i+k}]$$

$$(2) \quad \int h N_j = \delta_{ij}$$

and let

$$D_{k,p} := \sup_t \sup_i \inf_{h \in H_i} \{ (t_{i+k} - t_i)^{1/p} \|h\|_q \},$$

where $1/p + 1/q = 1$. Then

$$\kappa_{k,p} \leq D_{k,p}.$$

Now set

$$\psi_i(x) := \frac{1}{(k-1)!} \prod_{v=1}^{k-1} (x - t_{i+v}).$$

Then an easy way for obtaining $h \in H_i$ is to set $h = (g\psi_i)^{(k)}$ for some appropriate smooth function g . We formulate this as

LEMMA B. *Let G_i be the class of functions g such that*

$$(1) \quad g\psi_i \in W_q^k[t_i, t_{i+k}],$$

$$(2) \quad g\psi_i = \begin{cases} 0, & k\text{-fold at } t_i, \\ \psi_i, & k\text{-fold at } t_{i+k}, \end{cases}$$

and let $G_i^{(k)} := \{ (g\psi_i)^{(k)} : g \in G_i \}$. Then

$$G_i^{(k)} \subset H_i.$$

Combining Lemmas A and B gives

$$\text{COROLLARY.} \quad \kappa_{k,p} \leq B_{k,p} := \sup_t \sup_i \inf_{g \in G_i} \{ (t_{i+k} - t_i)^{1/p} \| (g\psi_i)^{(k)} \|_q \}.$$

Finally, due to the local character of the quantity $B_{k,p}$, it is sufficient to restrict attention to the meshes Δ of the form

$$\Delta = (t_0 \leq t_1 \leq \dots \leq t_k), \quad t_0 < t_k.$$

Set also

$$\omega(x) := \omega_\Delta(x) = \frac{1}{(k-1)!} \prod_{i=1}^{k-1} (x - t_i) = \psi_0(x), \quad (2.1)$$

and

$$N(t) = N_\Delta(t) = ([t_0, \dots, t_{k-1}] - [t_1, \dots, t_k])(\cdot - t)_+^{k-1}.$$

LEMMA C. For ω given via Δ as in (2.1), let G_Δ be the class of functions g such that

$$\begin{aligned} (1) \quad & g\omega \in W_q^k[t_0, t_k], \\ (2) \quad & g\omega = \begin{cases} 0, & k\text{-fold at } t_0, \\ \omega, & k\text{-fold at } t_k, \end{cases} \end{aligned}$$

and let

$$B_{k,p} := \sup_{\Delta} \inf_{g \in G_\Delta} (t_k - t_0)^{1/p} \|(g\omega)^{(k)}\|_q.$$

Then

$$\kappa_{k,p} \leq B_{k,p} \leq B_{k,1}. \quad (2.2)$$

Remark. Lemma A is taken from [B2, p. 123] whereas Lemma B and, respectively, C are somewhat more accurate versions of what is given in [B2, Eq. (4.1)]. Namely, they show the possibility to choose a smoothing function g depending on ω . C. de Boor's estimate of $B_{k,1}$ resulting in (1.1) was based on the inequalities

$$\begin{aligned} B_{k,1} &\leq \inf_{g \in G_\Delta} \sup_{\omega} \|(g\omega)^{(k)}\|_\infty \leq \inf_{g \in G_\Delta} \sum_{i=m}^k \binom{k}{m} \|g^{(m)}\|_\infty \sup_{\omega} \|\omega^{(k-m)}\|_\infty \\ &\leq \sum_{i=m}^k \binom{k}{m} \|g_*^{(m)}\|_\infty \sup_{\omega} \|\omega^{(k-m)}\|_\infty, \end{aligned}$$

with some special choice of $g_* \in G := \bigcap G_\Delta$ that is seen to be independent of ω . Notice, that in the latter sum for any choice of $g_* \in G$ the term with $m=k$ is equal at least to 4^{k-1} (see [B2, p. 132]).

3. PROOF OF THEOREM 1

The idea in the previous paper [SS2] was to choose $g \in G_\Delta$ as the indefinite integral of the L_∞ -normalized B-spline, i.e.,

$$g_\Delta(x) := \frac{k}{t_k - t_0} \int_{t_0}^x N_\Delta(t) dt.$$

Then, the inclusion $g_\Delta \in G_\Delta$ is almost evident (see [SS2]), and thus we can majorize the constant $B_{k,1}$ by

$$B_{k,1} \leq S_{k,1} := \sup_\Delta (t_k - t_0) \|s_\Delta^{(k)}\|_\infty, \quad (3.1)$$

where

$$s_\Delta := g_\Delta \omega_\Delta. \quad (3.2)$$

Notice that $\text{supp } s_\Delta^{(k)} \subset [t_0, t_k]$, so that actually the L_∞ -norm in (3.1) is taken over $[t_0, t_k]$.

In view of

$$(t_k - t_0) s_\Delta^{(k)}(x) = k \sum_{m=1}^k \binom{k}{m} N_\Delta^{(m-1)}(x) \omega_\Delta^{(k-m)}(x), \quad (3.3)$$

we showed in [SS2] that, for any Δ and $m = 1, \dots, k$,

$$\|N_\Delta^{(m-1)} \omega_\Delta^{(k-m)}\|_\infty \leq \binom{k-1}{m-1}, \quad (3.4)$$

which, by Lemma C and (3.1)–(3.3), implies the bound

$$\kappa_{k,p} < k^{1/2} 4^k.$$

Here we improve (3.4) by

LEMMA 1. *For any Δ , and $m = 1, \dots, k$*

$$\|N_\Delta^{(m-1)} \omega_\Delta^{(k-m)}\|_\infty \leq 1. \quad (3.5)$$

Now, by (3.1)–(3.5) and Lemma C,

$$\kappa_{k,p} \leq S_{k,1} \leq k \sum_{m=1}^k \binom{k}{m} = k(2^k - 1) < k2^k$$

which proves Theorem 1.

Remark. If ω has a multiple zero

$$\tau_v := t_{\mu_v} = t_{\mu_v+1} = \cdots = t_{\mu_v+p_v-1}$$

of multiplicity p_v , then $N_{\Delta}^{(k-p_v)}$ has a jump at τ_v . In this case we can define the value $N_{\Delta}^{(k-p_v+q)}(\tau_v) \omega^{(p_v-1-q)}(\tau_v)$ as a limit either from the left or from the right. This limit is equal to zero, if $\tau_v \in (t_0, t_k)$. Also this definition justifies the equality (3.3).

4. LEE'S FORMULA AND A LEMMA OF INTERPOLATION

For arbitrary $r \in \mathbf{Z}_+$ and $t \in \mathbf{R}$, set

$$\phi_r(x, t) := \frac{1}{r!} (x-t)_+^r,$$

and define $Q_{\delta_1}(x, t)$ and $Q_{\delta_2}(x, t)$ as algebraic polynomials of degree $k-1$ with respect to x that interpolate the function $\phi_{k-1}(\cdot, t)$ on the meshes

$$\delta_1 = (t_0, t_1, \dots, t_{k-1}), \quad \delta_2 = (t_1, \dots, t_{k-1}, t_k),$$

respectively.

The following nice formula is due to Lee [L].

LEMMA D [L]. *For any Δ ,*

$$N(t) \omega(x) = Q_{\delta_1}(x, t) - Q_{\delta_2}(x, t). \quad (4.1)$$

Proof [L]. The difference on the right-hand side is an algebraic polynomial of degree $k-1$ with respect to x that is equal to zero at $x = t_1, \dots, t_{k-1}$, hence

$$Q_{\delta_1}(x, t) - Q_{\delta_2}(x, t) = c(t) \prod_{i=1}^{k-1} (x-t_i).$$

Further, since the leading coefficient of the Lagrange interpolant to f on the mesh $(\tau_i)_{i=1}^k$ is equal to $[\tau_1, \dots, \tau_k] f$, we have

$$c(t) = ([t_0, \dots, t_{k-1}] - [t_1, \dots, t_k]) \phi_{k-1}(\cdot, t) =: \frac{1}{(k-1)!} N(t),$$

and the lemma is proved.

We will use Lee's formula (4.1) to evaluate the product $N^{(m-1)}(t) \omega^{(k-m)}(t)$ by taking the corresponding partial derivatives with respect to x and t in (4.1) and setting $x = t$.

Our next two lemmas give a bound for the values obtained in that way on the right-hand side of (4.1).

For arbitrary $p \in \mathbf{N}$, $p > r$, and any sequence

$$\delta = (\tau_0 \leq \tau_1 \leq \dots \leq \tau_p),$$

define, for a fixed t ,

$$Q_t(x) := Q(x, t) := Q(x, t; \phi_r, \delta)$$

as the polynomial of degree p with respect to x that interpolates $\phi_r(\cdot, t)$ at δ .

LEMMA 2. For any admissible p, r, t, δ ,

$$0 \leq Q_t^{(r)}(x)|_{x=t} \leq 1, \quad (4.2)$$

where the derivative is taken with respect to x .

Proof. First we prove

(A) The case $r = 0$. Then $Q_t(\cdot)$ is a polynomial of degree $\leq p$ that interpolates, for this fixed t , the function

$$(x-t)_+^0 := \begin{cases} 1, & x \geq t; \\ 0, & x < t. \end{cases}$$

We have to prove that

$$0 \leq Q_t(x)|_{x=t} \leq 1 \quad (4.3)$$

and distinguish the following cases:

(A1) If $t = \tau_i$ for some i , then (4.3) is evident.

(A2) If all the points of interpolation lie either to the left or to the right of t , i.e., if

$$\tau_p < t, \quad \text{or} \quad t < \tau_0,$$

then

$$Q_t \equiv 0, \quad \text{or} \quad Q_t \equiv 1,$$

respectively, and (4.3) holds.

(A3) If t lies between two points, i.e., for some ν

$$\tau_0 \leq \dots \leq \tau_\nu < t < \tau_{\nu+1} \leq \dots \leq \tau_p,$$

then in view of $Q'_t(x) = [Q_t - \phi_0(\cdot, t)]'(x)$ for $x \neq t$, the polynomial $Q'_t(x)$ has at least ν zeros on the left of τ_ν , and at least $p - \nu - 1$ zeros on the right of $\tau_{\nu+1}$, which gives $p - 1$ zeros in total. Hence Q'_t has no zeros in $(\tau_\nu, \tau_{\nu+1})$, so that Q_t is monotone in $(\tau_\nu, \tau_{\nu+1})$, that is,

$$0 = Q_t(\tau_\nu) < Q_t(t) < Q_t(\tau_{\nu+1}) = 1.$$

(B) *The case $r > 0$.* This case is reduced to the case $r = 0$ by Rolle's theorem. The difference $\phi_r(\cdot, t) - Q_t$ has $p + 1$ zeros (counting multiplicity), thus its r th derivative $\phi_0(\cdot, t) - Q_t^{(r)}$ must have at least $p + 1 - r$ changes of sign.

If (4.2) does not hold, then this function does not change sign at $x = t$, and $Q_t^{(r)}$ is a polynomial of degree $p - r$ that interpolates $\phi_0(\cdot, t)$ at $p - r + 1$ points all distinct from t . But according to the Case (A3) this would imply (4.2), a contradiction.

Hence, (4.2) holds, and the lemma is proved.

LEMMA 3. For any admissible p, r, t, δ ,

$$0 \leq (-1)^s \frac{\partial^{r-s}}{\partial x^{r-s}} \frac{\partial^s}{\partial t^s} Q(x, t)|_{x=t} \leq 1. \quad (4.4)$$

Proof. Let l_i be the fundamental Lagrange polynomials of degree p for the mesh δ , i.e., $l_i(\tau_j) = \delta_{ij}$. Then $Q_t = Q(\cdot, t)$, which is the Lagrange interpolant to $\phi_r(\cdot, t)$, can be expressed as

$$Q(x, t) = \frac{1}{r!} \sum_{i=0}^p (\tau_i - t)_+^r l_i(x).$$

Thus, we obtain

$$(-1)^s \frac{\partial^s}{\partial t^s} Q(x, t) = \frac{1}{(r-s)!} \sum_{i=0}^p (\tau_i - t)_+^{r-s} l_i(x).$$

It is readily seen that

$$Q_{0, r}(x) := Q_0(x, t) := (-1)^s \frac{\partial^s}{\partial t^s} Q(x, t)$$

is a polynomial of degree p with respect to x that interpolates

$$\phi_{r-s}(\cdot, t) = \frac{1}{(r-s)!} (\cdot - t)_+^{r-s}$$

at the same mesh δ . Now (4.4) follows from Lemma 2.

5. PROOF OF LEMMA 1

We need to bound

$$N^{(s)}(t) \omega^{(k-1-s)}(t) = N^{(s)}(t) \omega^{(k-1-s)}(x)|_{x=t}, \quad s = 0, 1, \dots, k-1.$$

Now according to Lemma D

$$N^{(s)}(t) \omega^{(k-1-s)}(x) = \frac{\partial^{k-1-s}}{\partial x^{k-1-s}} \frac{\partial^s}{\partial t^s} Q_{\delta_1}(x, t) - \frac{\partial^{k-1-s}}{\partial x^{k-1-s}} \frac{\partial^s}{\partial t^s} Q_{\delta_2}(x, t),$$

and by Lemma 3 for any δ

$$0 \leq (-1)^s \frac{\partial^{k-1-s}}{\partial x^{k-1-s}} \frac{\partial^s}{\partial t^s} Q_{\delta}(x, t)|_{x=t} \leq 1.$$

Hence, since both terms are of the same sign and of absolute value ≤ 1 ,

$$|N^{(s)}(t) \cdot \omega^{(k-1-s)}(t)| \leq 1,$$

which proves Lemma 1.

6. ON THE FACTOR k IN THEOREM 1

Numerical computations [B3] show that

$$\kappa_{k,p} \leq c 2^k, \tag{6.1}$$

so a natural question is whether the factor k in the bound

$$\kappa_{k,p} < k 2^k \tag{6.2}$$

of Theorem 1 can be removed.

A simple example will show now that within the particular method we used in Section 3 (see (3.1)), an extra polynomial factor \sqrt{k} appears unavoidably. Namely, one can prove that for some choice of Δ_*

$$S_{k,1} \geq (t_k - t_0) \|s_{\Delta_*}^{(k)}\|_\infty \geq ck^{1/2}2^k.$$

In fact, in the case of the Bernstein knots Δ_v in $[0, 1]$, i.e., for

$$\omega_v(x) = \frac{1}{(k-1)!} x^v (x-1)^{k-1-v},$$

we have

$$N_v(x) = \binom{k-1}{v} x^{k-1-v} (1-x)^v,$$

and obtain

$$\begin{aligned} s_{\Delta_v}^{(k)}(x) &= \frac{k}{(k-1)!} \binom{k-1}{v} \\ &\times \sum_{m=1}^k \binom{k}{m} [x^{k-1-v} (1-x)^v]^{(m-1)} [x^v (x-1)^{k-1-v}]^{(k-m)}. \end{aligned}$$

It is not hard to see that at $x=1$ the m th term vanishes, unless $m=v+1$, which gives

$$|s_{\Delta_v}^{(k)}(1)| = \frac{k}{(k-1)!} \binom{k-1}{v} \cdot \binom{k}{v+1} v! (k-1-v)! = k \binom{k}{v+1}.$$

With this, we take $v_* + 1 = \lfloor k/2 \rfloor$ to obtain

$$|s_{\Delta_*}^{(k)}(1)| = k \binom{k}{\lfloor k/2 \rfloor} > ck^{1/2}2^k.$$

7. POSSIBLE REFINEMENTS

We describe here some further approaches that may permit removal of the polynomial factor in the upper bound for the sup-norm condition number $\kappa_{k,\infty}$.

(1) The first approach is to majorize $\kappa_{k, \infty}$ using the intermediate estimate (2.2) with the value $B_{k, \infty}$ instead of $B_{k, 1}$ used in Theorem 1, that is,

$$\kappa_{k, \infty} \leq B_{k, \infty}.$$

Then the desired 2^k -bound without an extra factor will follow from the following

Conjecture. For any $\omega = \omega_{\Delta}$, there exists a function $g_* \in G_{\Delta}$ such that

$$\text{sign } g_*^{(m)}(x) = \text{sign } \omega^{(k-m)}(x), \quad x \in [t_0, t_k], \quad m = 1, \dots, k. \quad (7.1)$$

This conjecture implies that

$$\|g_*^{(m)}\omega^{(k-m)}\|_{L_1[t_0, t_k]} = \left| \int_{t_0}^{t_k} g_*^{(m)}(x) \omega^{(k-m)}(x) dx \right|.$$

Then observe that, because of the boundary conditions satisfied by g_* and the way g_* and ω_{Δ} are normalized,

$$(-1)^m \int_{t_0}^{t_k} g_*^{(m)}(x) \omega^{(k-m)}(x) dx = \int_{t_0}^{t_k} g_*'(x) \omega^{(k-1)}(x) dx = 1.$$

Hence

$$\|g_*^{(m)}\omega^{(k-m)}\|_{L_1[t_0, t_k]} = 1, \quad m = 1, \dots, k, \quad (7.2)$$

and using this bound, one could show, exactly as in Section 3, that

$$\kappa_{k, \infty} \leq B_{k, \infty} \leq \sum_{m=1}^k \binom{k}{m} = 2^k - 1.$$

Remark. (1) A function g_* satisfying (7.1) should in a sense be close to the function g_{Δ} considered in Section 3 (though it is not necessarily unique). Moreover, g_{Δ} can serve as g_* for the polynomials ω_{Δ_v} with the Bernstein knots

$$\omega_{\Delta_v}(x) = c(x-t_0)^v (x-t_k)^{k-1-v}.$$

Also, it looks quite probable that, even though the equality (7.2) is not valid with $g_* = g_{\Delta}$ for arbitrary Δ , there holds

$$\|g_{\Delta}^{(m)}\omega_{\Delta}^{(k-m)}\|_{L_1[t_0, t_k]} \leq c, \quad m = 1, \dots, k,$$

that is, for the B-spline $M_{\Delta}(x) = (k/(t_k - t_0)) N_{\Delta}(x)$ we have

$$\|M_{\Delta}^{(m-1)} \omega_{\Delta}^{(k-m)}\|_{L_1[t_0, t_k]} \leq c.$$

(2) Another possibility to improve the result of Theorem 1 would be to find a sharp bound for one of the related constants considered in [S]. In this respect it is known, e.g., that

$$\kappa_{k, \infty} \leq E_{k, p}^{-1}, \quad (7.3)$$

where

$$E_{k, p} := \inf_{\Delta} \inf_j \inf_{c_i} \left\{ \left\| N_j - \sum_{i \neq j} c_i N_i \right\|_p \right\}.$$

In particular, there is equality in (7.3) for $p = \infty$.

The hope is to prove that the knot sequence at which the value $E_{k, p}$ is attained for $p=1$ or $p=2$ is the Bernstein one, in which case the inequalities

$$E_{k, 1}^{-1} < c2^k, \quad \text{or} \quad E_{k, 2}^{-1} < c2^k$$

would follow. (It is known that the Bernstein knot sequence is not extreme for $p = \infty$, see [B3].)

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