

Extended Local Convergence for High Order Schemes Under ω -Continuity Conditions

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Abstract: There is a plethora of schemes of the same convergence order for generating a sequence approximating a solution of an equation involving Banach space operators. But the set of convergence criteria is not the same in general. This makes the comparison between them challenging and only numerically. Moreover, the convergence is established using Taylor series and by assuming the existence of high order derivatives that do not even appear on these schemes. Furthermore, no computable error estimates, uniqueness for the solution results or a ball of convergence is given. We address all these problems by using only the first derivative that actually appears on these schemes and under the same set of convergence conditions. Our technique is so general that it can be used to extend the applicability of other schemes along the same lines.

Keywords: sixth convergence order, ball of convergence, convergence criteria **MSC**: 65H05, 65J15, 49M15

1. Introduction

There is a plethora of high convergence order iterative schemes (IS) producing a sequence approaching a solution x_* of equation

$$F(x) = 0.$$

Here $F: D \subset X \to Y$ with X, Y denoting Banach space; D a nonempty, open convex set and operator F continuously differentiable according to Fréchet. One needs to use IS, since the preferred closed form of x_* is obtainable in special situations. In particular, when $X = Y = \mathbb{R}^i$ (*i* a natural number) Chun and Neta ^[1] presented a unified way of dealing with the local convergence of the three step IS given for $x_0 \in D$ by

$$y_{n} = x_{n} - \alpha F'(x_{n})^{-1} F(x_{n})$$

$$y_{n} = x_{n} - \varphi_{1}(x_{n}, y_{n}) F'(x_{n})^{-1} F(x_{n})$$

$$x_{n+1} = z_{n} - \varphi_{2}(x_{n}, y_{n}) F'(x_{n})^{-1} F(x_{n}),$$
(2)

where $\alpha \in \mathbb{R}$ or $\alpha \in \mathbb{C}$, and $\varphi_1 : D \times D \to L(X, Y), \varphi_2 : D \times D \to L(X, Y)$ with L(X, Y) being the space of continuous linear operators mapping *X* into *Y*.

The weights α , φ_1 and φ_2 were chosen as

$$\alpha = \frac{2}{3},\tag{3}$$

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 $\varphi_1(x_n, y_n) = \alpha_1 I + \alpha_2 u_n + \alpha_3 v_n + \alpha_4 u_n^2 + \alpha_5 v_n^2 + \alpha_6 v_n^3$, $\varphi_2(x_n, y_n) = \beta_1 I + \beta_2 u_n + \beta_3 v_n + \beta_4 u_n^2 + \beta_5 v_n^2$ provided that $u_n = F'(y_n)^{-1} F(x_n)$ and $v_n = F'(x_n)^{-1} F'(y_n)$ and α_j , β_j , j = 1, 2, ..., 6 are scalars. The sixth order of convergence was established in [1] provided that the derivatives exist up to the seventh order

$$\alpha_{1} = -\frac{1}{2} + 3\alpha_{4} + 3\alpha_{5} + 8\alpha_{6},$$

$$\alpha_{2} = -\frac{9}{8} - 3\alpha_{4} - \alpha_{5} - 6\alpha_{6},$$
(4)
$$\alpha_{3} = -\frac{3}{8} - \alpha_{4} - 3\alpha_{5} - 6\alpha_{6},$$

$$\beta_{1} = -\frac{1}{2} - 2\beta_{3} + \beta_{4} - 3\beta_{5}$$

and $\beta_2 = \frac{3}{2} + \beta_3 - 2\beta_4 + 2\beta_5$, where α_4 , α_5 , α_6 , β_3 , β_4 , β_5 are free scalars. But these derivatives do not appear on (2) and also limit applicability.

For example: Let $X = Y = \mathbb{R}$ and $D = [-\frac{1}{2}, \frac{3}{2}]$. Define f on D by

$$f(t) = \begin{cases} t^3 \log t^2 + t^5 - t^4 & \text{if } t \neq 0\\ 0 & \text{if } t = 0. \end{cases}$$

Then, we have $x_* = 1$,

$$f'(t) = 3t^{2} \log t^{2} + 5t^{4} - 4t^{3} + 2t^{2},$$
$$f''(t) = 6t \log t^{2} + 20t^{3} - 12t^{2} + 10t,$$

and

$$f'''(t) = 6\log t^2 + 60t^2 - 24t + 22.$$

Obviously f'''(t) is not bounded on *D*. So, the convergence of schemes (2) and (3) are not guaranteed to converge by the analysis in [1].

Other concerns include the facts that no computable estimates on $||x_n - x_*||$ or uniqueness of x_* results are given either.

α	$\varphi_1(x_n,y_n)$	$\varphi_2(x_n, y_n)$
1	$2[F'(x_n) + F'(y_n)]^{-1}F(x_n)$	u_n
γ	$(1+rac{1}{2\gamma})l-rac{1}{2\gamma}v_n$	$(1+\frac{1}{\gamma})l-\frac{1}{\gamma}v_n$
$\frac{2}{3}$	$-\frac{1}{2}l + \frac{9}{8}u_n + \frac{3}{8}v_n$	$\frac{11}{8}l - \frac{9}{4}u_n + \frac{15}{8}u_n^2$
$\frac{2}{3}$	$\frac{5}{8}l + \frac{3}{8}u_n^2$	$\frac{11}{8}l - \frac{9}{4}u_n + \frac{15}{8}u_n^2$
$\frac{2}{3}$	$\frac{23}{8}l - 3v_n + \frac{9}{8}v_n^2$	$\frac{5}{2}l - \frac{3}{2}v_n$
$\frac{2}{3}$	$l + \frac{21}{8}v_n - \frac{9}{2}v_n^2 + \frac{15}{8}v_n^3$	$3l - \frac{5}{2}v_n + \frac{1}{2}v_n^2$

Table 1. Weight functions

Hence, there is a need to address these matters using conditions on F' which only appears on (2), and on the more general setting of Banach space valued operators. Moreover, we do not specialize α , φ_1 , φ_2 to satisfy (3) or (4). This way we include all other specializations of (2) listed in the Table 1.

The idea presented is general enough, so it can be utilized for the extension of other schemes ^[1-41].

2. Convergence

The local convergence of scheme (2) requires some scalar functions and parameters. Set $M = [0, \infty)$. Suppose that there exist function $\omega_0 : M \to M$ continuous and nondecreasing such that equation

$$\omega_0(t) - 1 = 0 \tag{5}$$

has a minimal positive solution ρ_0 . Set $M_0 = [0, \rho_0)$.

Suppose there exit functions $\omega: M_0 \to M, \omega_1: M_0 \to M$ continuous and nondecreasing such that for

$$f_{1}(t) = \frac{\int_{0}^{1} \omega((1-\theta)t)d\theta + |1-\alpha| \int_{0}^{1} \omega_{1}(\theta t)dt}{1-\omega_{0}(t)}$$

and equation

$$f_1(t) = f_1(t) - 1 \tag{6}$$

has a minimal solution $\rho_1 \in (0, \rho_0)$. Consider a continuous and nondecreasing function $\psi_1 : M_0 \to M$. Suppose that for functions

$$f_{2}(t) = \frac{\int_{0}^{1} \omega((1-\theta)t)d\theta + \psi_{1}(t)\int_{0}^{1} \omega_{1}(\theta t)d\theta}{1-\omega_{0}(t)}$$
$$\overline{f}_{2}(t) = f_{2}(t) - 1,$$

equation

$$\overline{f_2}(t) = 0 \tag{7}$$

has a minimal solution $\rho_2 \in (0, \rho_0)$. Suppose that equation

$$\omega_2(f_2(t)t) - 1 = 0 \tag{8}$$

has a minimal solution $\overline{\rho}_2 \in (0, \rho_0)$. Set $M_1 = [0, \overline{\rho}_2)$. Suppose that for all $t \in M_1$

$$\begin{split} f_{3}(t) &= \left[\frac{\int_{0}^{1} \omega((1-\theta)f_{2}(t)t)d\theta}{1-\omega_{0}(f_{2}(t)t)} + \frac{(\omega_{0}(t)+\omega_{0}(f_{2}(t)t))\int_{0}^{1} \omega_{1}(\theta f_{2}(t)t)d\theta}{(1-\omega_{0}(t))(1-\omega_{0}(f_{2}(t)t))} \right. \\ &+ \frac{\psi_{2}(t)\int_{0}^{1} \omega_{1}(\theta t)d\theta}{1-\omega_{0}(t)}\right]f_{2}(t), \\ \overline{f_{3}}(t) &= f_{3}(t)-1, \end{split}$$

equation

$$\overline{f}_3(t) = 0 \tag{9}$$

has a minimal solution $\rho_3 \in (0, \overline{\rho}_2)$, where $\psi_2 : M_1 \to M$ is a continuous and nondecreasing function. We shall show that

$$\rho = \min\{\rho_i\}, \ j = 1, 2, 3 \tag{10}$$

is a radius of convergence for scheme (2). Notice that by these definitions for all $t \in [0, \rho)$

$$0 \le \omega_0(t) < 1 \tag{11}$$

$$0 \le \omega_0(f_1(t)t) \le 1 \tag{12}$$

and

$$0 \le f_i(t) < 1. \tag{13}$$

The notations $U(u, \lambda)$, $\overline{U}(u, \lambda)$ are used for the open and closed balls in X with center $u \in X$ and of radius $\lambda > 0$. Next, the local convergence of scheme (2) is provided based on conditions (Γ): (Γ_1) There exists a simple solution $x_* \in D$ of equation F(x) = 0.

 (Γ_2) There exists a continuous and nondecreasing function $\omega_0: M \to M$ such that for all $x \in D$

$$||F'(x_*)^{-1}(F'(x) - F'(x_*))|| \le \omega_0(||x - x_*||).$$

Set $U_0 = D \cap U(x_*, \rho_0)$.

(Γ_3) There exist continuous and nondecreasing functions $\omega : M_0 \to M, \omega_1 : M_0 \to M, \psi_1 : M_0 \to M, \psi_2 : M_0 \to M$ such that for each $x, y \in U_0$

 $||F'(x_*)^{-1}(F'(y) - F'(x))|| \le \omega(||y - x||),$

 $||F'(x_*)^{-1}F'(x)|| \le \omega_1(||x-x_*||),$

$$|| I - \varphi_1(x, y)|| \le \psi_1(|| x - x_*||)$$

and

$$|| I - \varphi_2(x, y)|| \le \psi_2(|| x - x_*||)$$

for $y = x - \alpha F'(x)^{-1}F(x)$. $(\Gamma_4) \overline{U}(x_*, \rho) \subseteq D$ and (Γ_5) There exists $\rho_* \ge \rho$ such that

 $\int_0^1 \omega_0(\theta \rho_*) d\theta < 1.$

Set $U_1 = D \cap \overline{U}(x_*, \rho_*)$.

Theorem 2.1 Suppose the conditions (Γ) are satisfied. Then, starting from $x_0 \in U(x_*, \rho) - \{x_*\}$, sequence $\{x_n\}$ generated by scheme (2) is well defined in $U(x_*, \rho)$, remains in $U(x_*, \rho)$ for each n = 0, 1, 2, ... and $\lim_{n \to \infty} x_n = x_*$. Moreover, the following items hold for $e_n = ||x_n - x_*||$

$$\|y_n - x_*\| \le f_1(e_n)e_n \le e_n < \rho, \tag{14}$$

Volume 1 Issue 5|2020| 455

$$\|z_n - x_*\| \le f_2(e_n)e_n \le e_n, \tag{15}$$

and

$$\boldsymbol{e}_{n+1} \le f_3(\boldsymbol{e}_n) \boldsymbol{e}_n \le \boldsymbol{e}_n, \tag{16}$$

where functions f_j are given previously and ρ is defined in (10). Furthermore, the limit point x_* is the only solution of equation F(x) = 0 in the set U_1 given in (Γ_5).

Proof. We shall show using mathematical induction on *k* that first iterates exist for all *k*; remain in $U(x_*, \rho)$; converge to x_* and secondly the solution is unique on the set U_1 given in (Γ_5).

Let $u \in U(x_*, \rho)$. It then follows by (Γ_1) , (Γ_2) , (10), and (11) that

$$\|F'(x_*)^{-1}(F'(u) - F'(x_*))\| \le \omega_0(\|u - x_*\|) \le \omega_0(\rho) < 1,$$
(17)

so $F'(u)^{-1}$ exists and

$$\|F'(u)^{-1}F'(x_*)\| \le \frac{1}{1 - \omega_0(\|u - x_*\|)}$$
(18)

holds by the lemma on invertible operators due to Banach ^[25]. If one sets set $u = x_0$, then y_0, z_0, x_1 exist by scheme (2), if n = 0. We can write by the first substep of scheme (2), (10), (13) (for m = 1), (Γ_1), (Γ_3) and (17) for $u = x_0$

$$||y_{0} - x_{*}|| \leq ||x_{0} - x_{*} - F'(x_{0})^{-1}F(x_{0}) + (1 - \alpha)F'(x_{0})^{-1}F'(x_{0})||$$

$$\leq ||F'(x_{0})^{-1}F'(x_{*})|| \times ||\int_{0}^{1}F'(x_{*})^{-1}(F'(x_{*} + \theta(x_{0} - x_{*})) - F'(x_{0}))(x_{0} - x_{*})d\theta||$$

$$+ |1 - \alpha|||F'(x_{0})^{-1}F'(x_{*})|| ||F'(x_{*})^{-1}F'(x_{0})||$$

$$\leq f_{1}(e_{0})e_{0} \leq e_{0} < \rho, \qquad (19)$$

showing $y_0 \in U(x_*, \rho)$ and (14) for n = 0. Moreover, by (10), (13) (for m = 2, 3), we obtain in turn

$$||z_0 - x_*|| \le ||(x_0 - x_* - F'(x_0)^{-1}F(x_0))| + (I - \varphi_1(x_0, y_0)F'(x_0)^{-1}F(x_0))||]e_0$$

$$\le f_2(e_0)e_0 \le e_0,$$
(20)

and

$$e_{1} \leq \|(z_{0} - x_{*} - F'(z_{0})^{-1}F(z_{0})) + (I - \varphi_{2}(x_{0}, y_{0}))F'(x_{0})^{-1}F(z_{0}))\| \\ = \left[\frac{\int_{0}^{1}\omega((1-\theta)\||z_{0} - x_{*}\|)d\theta}{1 - \omega_{0}(\||z_{0} - x_{*}\|)} + \frac{(\omega_{0}(\||z_{0} - x_{*}\|) + \omega_{0}(e_{0}))\int_{0}^{1}\omega_{1}(\theta\||z_{0} - x_{*}\|)d\theta}{(1 - \omega_{0}(\||z_{0} - x_{*}\|))(1 - \omega_{0}(e_{0}))} \\ + \frac{\psi_{1}(e_{0})\int_{0}^{1}\omega_{1}(\theta e_{0})d\theta}{1 - \omega_{0}(e_{0})}\right] \|z_{0} - x_{*}\| \\ \leq f_{3}(e_{0})e_{0} \leq e_{0},$$

$$(21)$$

Contemporary Mathematics

so $z_0, x_1 \in U(x_*, \rho)$ and (15), (16) hold for n = 0. Hence, the induction for (14)-(16) is shown for n = 0. Suppose these estimations hold for all k = 0, 1, 2, ..., n. Then, by simply switching x_0, y_0, x_1 by x_k, y_k, x_{k+1} in the preceding calculations, we conclude (14)-(16) hold for all n. Then, from

$$e_{k+1} \le c e_k < \rho, \tag{22}$$

where $c = f_3(e_0) \in [0, 1)$, we have $\lim_{k \to \infty} x_k = x_*$, and $x_{k+1} \in U(x_*, \rho)$. Let $q \in D_1$ be such that F(q) = 0. Set $T = \int_0^1 F'(x_* + \theta(q - x_*))d\theta$. Then, by (Γ_2) and (Γ_5) ,

$$\|F'(x_{*})^{-1}(T - F'(x_{*}))\| \leq \|\int_{0}^{1} F'(x_{*})^{-1}(F'(x_{*} + \theta(q - x_{*})) - F'(x_{*}))d\theta\|$$

$$\leq \int_{0}^{1} \omega_{0}(\theta \|x_{*} - q\|)d\theta < 1,$$
(23)

so T^{-1} exists, by the Banach lemma on invertible operators ^[25], and $x_* = q$ follows from $0 = F(x_*) - F(q) = T(x_* - q)$. **Remark 2.2** 1. By (a2), and the estimate

$$||F'(x^*)^{-1}F'(x)|| = ||F'(x^*)^{-1}(F'(x) - F'(x^*)) + I||$$

$$\leq 1 + ||F'(x^*)^{-1}(F'(x) - F'(x^*))|| \leq 1 + w_0(||x - x^*||)$$

second condition in (a3) can be dropped, and w_1 be defined as

$$w_1(t) = 1 + w_0(t) \text{ or } w_1(t) = 2.$$
 (24)

Notice that, if $w_1(t) < 1 + w_0(t)$, then ρ can be larger (see Example 3.1).

2. The results obtained here can be used for operators G satisfying autonomous differential equations ^[3-10] of the form

$$F'(x) = T(F(x))$$

where *T* is a continuous operator. Then, since $F'(x^*) = T(F(x^*)) = T(0)$, we can apply the results without actually knowing x^* . For example, let $F(x) = e^x - 1$. Then, we can choose: T(x) = x + 1.

3. The local results obtained here can be used for projection schemes such as the Arnoldi's algorithm, the generalized minimum residual algorithm (GMRES), the generalized conjugate algorithm (GCA) for combined Newton/finite projection schemes and in connection to the mesh independence principle can be used to develop the cheapest and most efficient mesh refinement strategies ^[3-10, 17].

4. Let $w_0(t) = L_0 t$, and w(t) = Lt. The parameter $r_A = \frac{2}{2L_0 + L}$ was shown by us to be the convergence radius of Newton's algorithm^[3]

$$x_{n+1} = x_n - F'(x_n)^{-1} F(x_n) \text{ for each } n = 0, 1, 2, \cdots$$
(25)

under the conditions (a1)-(a3) (w_1 is not used). It follows that the convergence radius *R* of algorithm (2) cannot be larger than the convergence radius r_A of the second order Newton's algorithm (25). As already noted in [4] r_A is at least as large as the convergence ball given by Rheinboldt ^[20]

$$r_{TR}=\frac{2}{3L_1},$$

where L_1 is the Lipschitz constant on Ω , $L_0 \leq L_1$ and $L \leq L_1$. In particular, for $L_0 < L_1$ or $L < L_1$, we have that

 $r_{TR} < r_A$

and

Volume 1 Issue 5|2020| 457

$$\frac{r_{TR}}{r_A} \rightarrow \frac{1}{3} \text{ as } \frac{L_0}{L_1} \rightarrow 0.$$

That is our convergence ball r_A is at most three times larger than Rheinboldt's. The same value for r_{TR} was given by Traub^[24].

5. It is worth noticing that solver (2) is not changing, when we use the conditions (A) of Theorem 2.1 instead of the stronger conditions used in [12, 14]. Moreover, we can compute the computational order of convergence (COC) defined by

$$\xi = \ln \left(\frac{\| x_{n+1} - x^* \|}{\| x_n - x^* \|} \right) / \ln \left(\frac{\| x_n - x^* \|}{\| x_{n-1} - x^* \|} \right)$$

or the approximate computational order of convergence

$$\xi_{1} = \ln\left(\frac{\|x_{n+1} - x_{n}\|}{\|x_{n} - x_{n-1}\|}\right) / \ln\left(\frac{\|x_{n} - x_{n-1}\|}{\|x_{n-1} - x_{n-2}\|}\right).$$

This way we obtain in practice the order of convergence in a way that avoids the existence of the seventh Fréchet derivative for operator F.

3. Numerical examples

As in [1], we choose $\alpha_4 = \frac{63}{64}$, $\alpha_5 = 0$, $\alpha_6 = 0$, $\beta_3 = \frac{15}{8}$, $\beta_5 = 0$ and $\beta_4 = 0$. **Example 3.1** Let $B_1 = B_2 = D = \mathbb{R}$. Define $F(x) = \sin x$. Then, we get that $x_* = 0$, and by (Γ_2) and the first condition in (Γ_3)

$$||F'(x_*)^{-1}(F'(x) - F'(x_*))|| = |1(\cos x - \cos x_*)|$$

= $|\cos x - \cos x_*|$
= $|\cos v (x - x_*)|$
= $|\cos v| |x - x_*|$
 $\leq |x - x_*| (v \in \mathbb{R}),$

so $w_0(t) = w(t) = t$. Then, obtain the roots by solving (6), (7), (9) (knowing now w_0 , w, w_1 , ψ_1 , ψ_2) using Mathematica. Then, we determine the radii using (10). The same is done in the rest of the examples. One can also see examples about how these scalar functions are found in [3-10, 21, 25]. Further, we have the following error estimates for Example 3.1.

$$|y_5 - x_*|| = 0.0266 \le e_5 = 0.0802 < \rho = 0.195081,$$

$$||z_5 - x_*|| = 0.0373 \le e_5 = 0.0802 < \rho = 0.195081,$$

and

 $||x_6 - x_*|| = 0.0056 \le e_5 = 0.0802 < \rho = 0.195081.$

Radius	$\omega_1(t) = 1$	$\omega_1(t) = 1 + \omega_0(t)$
r_1	0.44444	0.4
r_2	0.473532	0.437925
<i>r</i> ₃	0.195081	0.187903

Table 2. Radius for Example 3.1

Example 3.2 Let $B_1 = B_2 = C[0, 1]$, be the space of continuous functions defined on [0, 1] with the max norm. Let $D = \overline{U}(0, 1)$. Define function *F* on *D* by

$$F(\varphi)(x) = \varphi(x) - 5\int_0^1 x\theta\varphi(\theta)^3 d\theta.$$
(26)

We have that

 $F'(\varphi(\xi))(x) = \xi(x) - 15 \int_0^1 x \theta \varphi(\theta)^2 \xi(\theta) d\theta$, for each $\xi \in D$.

Then, we get that $x_* = 0$, $F'(x_*) = I$, $\omega_0(t) = \frac{15}{2}t$, $\omega(t) = 15t$ and $\omega_1(t) = 2$. This way, we have that

$\omega_1(t) = 2$	$\omega_1(t) = 1 + \omega_0(t)$
0.0296296	0.0533
0.231907	0.0903624
0.0126373	0.0284867
	0.0296296 0.231907

Table 3. Radius for Example 3.2

Example 3.3 Let $B_1 = B_2 = \mathbb{R}^3$, D = U(0, 1), $x_* = (0, 0, 0)^T$, and define *F* on *D* by

$$F(x) = F(u_1, u_2, u_3) = (e^{u_1} - 1, \frac{e - 1}{2}u_2^2 + u_2, u_3)^T.$$
(27)

For the points $u = (u_1, u_2, u_3)^T$, the Fréchet derivative is given by

$$F'(u) = \begin{pmatrix} e^{u_1} & 0 & 0 \\ 0 & (e-1)u_2 + 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}.$$

Using the norm of the maximum of the rows and since $G'(x_*) = \text{diag}(1, 1, 1)$, we get by conditions $(A) \omega_0(t) = (e - 1)t$, $\omega(t) = \frac{1}{e^{e^{-1}}}t$, and $\omega_1(t) = \frac{1}{e^{e^{-1}}}$. Then we have

Example 3.4 Returning back to the motivational example at the introduction of this study, we have $\omega_0(t) = \omega(t) = 96.662907t$, $\omega_1(t) = 1.0631$. Then, we have

	Table 4. Radius for Example 3.3		
•	Radius	$\omega_1(t) = \frac{1}{e^{e-1}}$	$\omega_1(t) = 1 + \omega_0(t)$
	r_1	0.073878	0.229929
	r_2	0.911242	0.309664
	r_3	0.0600865	0.115891

Radius	$\omega_1(t) = \frac{1}{e^{e^{-1}}}$	$\omega_1(t) = 1 + \omega_0(t)$
r_1	0.00445282	0.00413809
r_2	0.0145963	0.00749138
<i>r</i> ₃	0.002212	no solution

Further, we have the following error estimates for Example 3.4.

 $||y_{10} - x_*|| = 0.0006 \le e_{10} = 0.0008 < \rho = 0.002212,$

$$||z_{10} - x_*|| = 0.0006 \le e_{10} = 0.0008 < \rho = 0.002212,$$

and

 $||x_{11} - x_*|| = 0.0004 \le e_{10} = 0.0008 < \rho = 0.002212.$

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