ASYMPTOTICS FOR ORTHOGONAL POLYNOMIALS BEYOND THE ANALYTIC BOUNDARY

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ABSTRACT. Let μ be a finite positive measure on the unit circle and $w_m(z) = \prod_{j=1}^m (z-\alpha_j)$ for $|\alpha_j| > 1$, $j=1,\ldots,m$. Using a relation between the orthonormal polynomials with respect to the measures $d\mu/(2\pi)$ and $|w_m(e^{i\theta})|^2 d\mu/(2\pi)$, we derive the asymptotic behavior for orthonormal polynomials beyond the analytic boundary of the Szegő function. This is a generalization of some known results (see, e.g., [4] and [8]).

1. Introduction. Let μ be a finite positive measure on the unit circle. Let $\mu = \mu_a + \mu_s$ be its canonical decomposition into the absolutely continuous and the singular parts (with respect to Lebesgue measure on the unit circle). We denote by $\mu'(\theta)$ the Radon-Nikodym derivative of μ_a with respect to $d\theta$. Then $\mu' \in L^1[0, 2\pi)$, $\mu'(\theta) \geq 0$ almost everywhere, and we define its geometric mean $G(\mu')$ by

$$G(\mu') := \exp\bigg\{\frac{1}{2\pi} \int_0^{2\pi} \log \mu'(\theta) \, d\theta\bigg\}.$$

If $\log \mu' \in L^1[0,2\pi)$ one can define the Szegő function for |z| < 1 by

$$D(z) = D(d\mu, z) := \exp\left\{\frac{1}{4\pi} \int_0^{2\pi} \log \mu'(\theta) \frac{e^{i\theta} + z}{e^{i\theta} - z} d\theta\right\}.$$

It is known that (cf. [11, p. 276]) $D \in H^2(\{z : |z| < 1\})$ and for almost every $\theta \in [0, 2\pi)$

$$\lim_{r \nearrow 1} D(d\mu, re^{i\theta}) = D(d\mu, e^{i\theta})$$

exists and $|D(d\mu, e^{i\theta})|^2 = \mu'(\theta)$ for almost every $\theta \in [0, 2\pi)$. If $\log \mu' \notin L^1[0, 2\pi)$ we define $D(d\mu, z) \equiv 0$. Denote by \mathcal{P}_n the set of polynomials of degree at most n. The *-transform $p^*(z)$ of a polynomial of degree n is defined as $p^*(z) = z^n \overline{p_n(1/\bar{z})}$. Let $\phi_n(z) = \kappa_n z^n + \cdots \in \mathcal{P}_n$, $\kappa_n > 0$,

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be the nth orthonormal polynomial corresponding to $d\mu/(2\pi)$ on the unit circle, i.e.,

$$\frac{1}{2\pi} \int_0^{2\pi} \phi_n(z) z^{-k} d\mu(\theta) = \kappa_n^{-1} \delta_{k,n}, \qquad k = 0, 1, \dots, n, \quad z = e^{i\theta}.$$

It is well known that, from [11, Theorem 12.3.16],

(1)
$$\lim_{n \to \infty} \frac{\phi_n(z)}{z^n} = \overline{D^{-1}(1/\bar{z})},$$

holds locally uniformly for |z| > 1 if $\log \mu' \in L^1[0, 2\pi)$, here we say $D^{-1}(z) = 1/D(z)$. Furthermore, in [8], Nevai and Totik proved that if $D^{-1}(z)$ has an analytic continuation to $|z| < \rho$, $\rho > 1$, then (1) is also true for $|z| > 1/\rho$. The purpose of this paper is to study the asymptotic behavior of $\phi_n(z)$ outside of the analytic region of $D^{-1}(z)$.

Instead of $d\mu/(2\pi)$, we consider the new measure $|w_m(e^{i\theta})|^2 d\mu/(2\pi)$ on the unit circle, where $w_m(z) := \prod_{i=1}^m (z-\alpha_i)$. Suppose $D^{-1}(z)$ is analytic in $|z| < \rho$, $\rho > 1$, and $\rho > \max_{1 \le i \le m} \{|\alpha_i|\}$, then $D_w^{-1} := D^{-1}(|w_m|^2 d\mu, z) = D^{-1}(z)/w_m(z)$ will create some "bad" points at $\alpha_1, \ldots, \alpha_m$. Let $\psi_n(z) = \eta_n z^n + \cdots \in \mathcal{P}_n$, $\eta_n > 0$, be the *n*th orthonormal polynomial corresponding to $|w_m(e^{i\theta})|^2 d\mu/(2\pi)$ on the unit circle, i.e.,

$$\frac{1}{2\pi} \int_0^{2\pi} \psi_n(z) z^{-k} |w_m(z)|^2 d\mu(\theta) = \eta_n^{-1} \delta_{k,n},$$
$$k = 0, 1, \dots, n, \quad z = e^{i\theta}.$$

From the theorems in [8], we only know that $\lim_{n\to\infty} \psi_n(z)/z^n = \overline{D_w^{-1}(1/\bar{z})}$ in $|z| > 1/\alpha$, $\alpha := \min_{1\leq i\leq m}\{|\alpha_i|\}$. Our goal is to use a representation of $\psi_n(z)$ in terms of $\phi_n(z)$ (Theorem 1) in order to find the asymptotic behavior of $\psi_n(z)$ in $|z| > 1/\rho$ (Theorem 7). The special case $d\mu = d\theta$ of this asymptotic result has been studied by Ismail and Ruedemann [4].

The asymptotic behavior of $\psi_n(z)$ in $|z| < 1/\rho$ is discussed in Section 4. The representation of $\psi_n(z)$ is given in Section 2. Section 3 is devoted to some lemmas needed for the proof in Section 4.

2. Comparison of $\psi_n(z)$ and $\phi_n(z)$. Our aim is to investigate the relationship between the orthonormal polynomials $\phi_n(z)$ and $\psi_n(z)$.

The situation is very similar to adding m mass points distribution to the measure μ and comparing the corresponding polynomials. Surprisingly similar results are valid (cf. [5]). In this section we derive a representation of $\psi_n(z)$ in terms of $\phi_n(z)$. The determinant representation can be found in [1, 3, 4] and [10].

Theorem 1. For n > m, we have

(2)
$$w_m(z)\psi_{n-m}(z) = \frac{\eta_{n-m}}{\kappa_n}\phi_n(z) + \sum_{k=1}^m A_{n,k}K_{n-1}(z,\alpha_k),$$

and the ratio of the two leading coefficients satisfies

(3)
$$\frac{\eta_{n-m}}{\kappa_n} - \frac{\kappa_n}{\eta_{n-m}} = \sum_{k=1}^m A_{n,k} \overline{\phi_n(\alpha_k)},$$

where

$$A_{n,k} := \frac{1}{2\pi} \int_0^{2\pi} w_m(z) \psi_{n-m}(z) \overline{l_k(z)} \, d\mu, \qquad z = e^{i\theta},$$

$$l_k(z) := \prod_{i \neq k} (z - \alpha_i) / (\alpha_k - \alpha_i), \text{ and }$$

$$K_n(z,\xi) := \sum_{i=0}^n \overline{\phi_i(\xi)} \phi_i(z)$$

is the kernel polynomial associated with the orthonormal polynomials $\phi_n(z)$.

Remark. One can obtain $A_{n,k}$ by letting $z = \alpha_k$, $k = 1, \ldots, m$ in (2), and solve for $A_{n,k}$ in terms of $\phi_n(\alpha_i)$ and $K_{n-1}(\alpha_i, \alpha_j)$, $i, j = 1, \ldots, m$.

Proof of Theorem 1. It is clear that a Fourier expansion

(4)
$$w_m(z)\psi_{n-m}(z) = \frac{\eta_{n-m}}{\kappa_n}\phi_n(z) + \sum_{j=0}^{n-1} a_j\phi_j(z)$$

always exists and that the Fourier coefficients are given by

$$a_j = rac{1}{2\pi} \int_0^{2\pi} w_m(z) \psi_{n-m}(z) \overline{\phi_j(z)} \, d\mu, \qquad z = e^{i\theta},$$

for $j=0,\ldots,n-1$. We now express a_j in terms of $\phi_j(\alpha_k),\ k=1,\ldots,m$. When $j=0,\ldots,m-1$, we have an expansion

$$\phi_j(z) = \sum_{k=1}^m \phi_j(\alpha_k) l_k(z),$$

and so

$$a_{j} = \frac{1}{2\pi} \int_{0}^{2\pi} w_{m}(z) \psi_{n-m}(z) \overline{\phi_{j}(z)} d\mu$$

$$= \frac{1}{2\pi} \int_{0}^{2\pi} w_{m}(z) \psi_{n-m}(z) \sum_{k=1}^{m} \overline{\phi_{j}(\alpha_{k}) l_{k}(z)} d\mu$$

$$= \sum_{k=1}^{m} A_{n,k} \overline{\phi_{j}(\alpha_{k})}, \qquad z = e^{i\theta}.$$

On the other hand, for $j = m, \ldots, n-1$, we also have

$$a_{j} = \frac{1}{2\pi} \int_{0}^{2\pi} w_{m}(z)\psi_{n-m}(z)\overline{\phi_{j}(z)} d\mu$$

$$= \frac{1}{2\pi} \int_{0}^{2\pi} |w_{m}(z)|^{2}\psi_{n-m}(z) \left[\frac{\overline{\phi_{j}(z) - \sum_{k=1}^{m} \phi_{j}(\alpha_{k})l_{k}(z)}}{w_{m}(z)} \right] d\mu$$

$$+ \frac{1}{2\pi} \int_{0}^{2\pi} w_{m}(z)\psi_{n-m}(z) \sum_{k=1}^{m} \overline{\phi_{j}(\alpha_{k})l_{k}(z)} d\mu$$

$$= \frac{1}{2\pi} \int_{0}^{2\pi} w_{m}(z)\psi_{n-m}(z) \sum_{k=1}^{m} \overline{\phi_{j}(\alpha_{k})l_{k}(z)} d\mu$$

$$= \sum_{k=1}^{m} A_{n,k} \overline{\phi_{j}(\alpha_{k})}, \qquad z = e^{i\theta},$$

the third equality being true because

$$\left\{\phi_j(z) - \sum_{k=1}^m \phi_j(\alpha_k) l_k(z)\right\} / w_m(z) \in \mathcal{P}_{n-m-1},$$

and then use the orthonormality of $\psi_{n-m}(z)$ with respect to $|w_m(z)|^2 d\mu$. Thus, by (4), (5) and (6), we see that

$$w_m(z)\psi_{n-m}(z) = \frac{\eta_{n-m}}{\kappa_n}\phi_n(z)$$

$$+ \sum_{j=0}^{n-1} \left(\sum_{k=1}^m A_{n,k}\overline{\phi_j(\alpha_k)}\right)\phi_j(z)$$

$$= \frac{\eta_{n-m}}{\kappa_n}\phi_n(z) + \sum_{k=1}^m A_{n,k}K_{n-1}(z,\alpha_k).$$

In order to prove (3), from (4) we have

$$\begin{split} \frac{\eta_{n-m}}{\kappa_n} &= \frac{1}{2\pi} \int_0^{2\pi} w_m(z) \psi_{n-m}(z) \overline{\phi_n(z)} \, d\mu \\ &= \frac{1}{2\pi} \int_0^{2\pi} |w_m(z)|^2 \psi_{n-m}(z) \left[\frac{\overline{\phi_n(z) - \sum_{k=1}^m \phi_n(\alpha_k) l_k(z)}}{w_m(z)} \right] d\mu \\ &+ \frac{1}{2\pi} \int_0^{2\pi} w_m(z) \psi_{n-m}(z) \sum_{k=1}^m \overline{\phi_n(\alpha_k) l_k(z)} \, d\mu \\ &= \frac{1}{2\pi} \int_0^{2\pi} |w_m(z)|^2 \psi_{n-m}(z) \kappa_n z^{m-n} \, d\mu \\ &+ \frac{1}{2\pi} \int_0^{2\pi} w_m(z) \psi_{n-m}(z) \sum_{k=1}^m \overline{\phi_n(\alpha_k) l_k(z)} \, d\mu \\ &= \frac{\kappa_n}{\eta_{n-m}} + \sum_{k=1}^m A_{n,k} \overline{\phi_n(\alpha_k)}, \qquad z = e^{i\theta}, \end{split}$$

the third equality being valid because

$$\left\{\phi_n(z) - \sum_{k=1}^m \phi_n(\alpha_k) l_k(z)\right\} / w_m(z) = \kappa_n z^{n-m} + \cdots$$

and then use the orthonormality of $\psi_{n-m}(z)$ with respect to $|w_m(z)|^2 d\mu$.

3. Estimation for $A_{n,k}$ **.** In order to estimate $\psi_n(z)$, we would like to obtain an asymptotic expression for $A_{n,k}$. We say $\mu \in N$ if

$$\lim_{n \to \infty} \frac{\phi_n(0)}{\kappa_n} = 0.$$

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It is well known that the condition $\mu' > 0$ almost everywhere on the unit circle implies $\mu \in N$ (cf. [6] or [9]). From now on, we will always assume that α 's are all distinct. Let

$$B(z) := \prod_{j=1}^{m} \frac{(z - \alpha_j)}{(1 - \bar{\alpha}_j z)}.$$

Since the set $\{(1 - \bar{\alpha}_j z)^{-1}\}_{j=1}^m$ is linearly independent, we have the unique expansion

(7)
$$B(z) = \frac{1}{B(0)} + \sum_{j=1}^{m} \frac{b_j}{1 - \bar{\alpha}_j z}.$$

We now discuss the asymptotic behavior for coefficients $A_{n,k}$.

Theorem 2. If $\mu \in N$, then

$$\lim_{n\to\infty} A_{n,k} \overline{\phi_n(\alpha_k)} = -\frac{\overline{B(0)}}{|B(0)|} b_k, \qquad k = 1, \dots, m,$$

where b_k , k = 1, ..., m are defined in (7).

Before we give the proof of the theorem, we need the following lemmas.

Lemma 3. If $\mu \in N$, then

$$\lim_{n \to \infty} \frac{K_{n-1}(z,\xi)}{\overline{\phi_n(\xi)}\phi_n(z)} = \frac{1}{\overline{\xi}z - 1},$$

holds locally uniformly for |z| > 1 and $|\xi| > 1$.

Proof. By the Christoffel-Darboux formula (cf. [2, p. 3]), we have

$$K_{n-1}(z,\xi) = \frac{\overline{\phi_n^*(\xi)}\phi_n^*(z) - \overline{\phi_n(\xi)}\phi_n(z)}{1 - \overline{\xi}z}.$$

It is proven in [7] that $\mu \in N$ implies

$$\lim_{n \to \infty} \frac{\phi_n^*(z)}{\phi_n(z)} = 0,$$

locally uniformly for |z|>1. The lemma then follows from the Christoffel-Darboux formula. \Box

Lemma 4. For points $\alpha_1, \ldots, \alpha_m$ outside the unit circle, the following matrix

$$\mathbf{C}_m := \left(\frac{1}{1 - \bar{\alpha}_j \alpha_i}\right)_{i,j=1}^m$$

is nonsingular. Furthermore,

$$\mathbf{C}_m^{-1}\mathbf{1} = -\overline{B(0)}(b_1,\ldots,b_m)^T,$$

where $\mathbf{1} = \mathbf{1}_m = (1, \dots, 1)^T$, and the b_k 's are defined in (7).

Proof. See [**5**]. □

Lemma 5. For all $n \geq m$, we have $\eta_{n-m}/\kappa_n \leq 1$.

Proof. From the extremal property of the monic polynomial $\kappa_n^{-1}\phi_n(z)$ (cf. [11, p. 289]),

$$\frac{1}{\kappa_n^2} = \min_{p \in \mathcal{P}_{n-1}} \frac{1}{2\pi} \int_0^{2\pi} |z^n + p(z)|^2 d\mu$$

$$\leq \frac{1}{2\pi} \int_0^{2\pi} \left| \frac{\psi_{n-m}(z)}{\eta_{n-m}} \right|^2 |w_m(z)|^2 d\mu$$

$$= \frac{1}{\eta_{n-m}^2}. \quad \Box$$

We are now ready to prove Theorem 2.

Proof of Theorem 2. We first show the existence of $\lim_{n\to\infty} \eta_{n-m}/\kappa_n$ and calculate the value of this limit. By Lemma 5, every subsequence

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of $\{\eta_{n-m}/\kappa_n\}_{n=m}^{\infty}$ contains a convergent subsequence. Let $r \geq 0$ be a limit point of this sequence, and $\Lambda \subseteq \{m, m+1, \dots\}$ satisfy

(8)
$$\lim_{\substack{n \to \infty \\ n \in \Lambda}} \eta_{n-m} / \kappa_n = r.$$

From Theorem 1, we know that

(9)
$$\frac{w_m(z)\psi_{n-m}(z)}{\phi_n(z)} = \frac{\eta_{n-m}}{\kappa_n} + \sum_{j=1}^m \left\{ A_{n,j} \overline{\phi_n(\alpha_j)} \frac{(1 - \bar{\alpha}_j z) K_{n-1}(z, \alpha_j)}{\overline{\phi_n(\alpha_j)} \phi_n(z)} \right\} \frac{1}{1 - \bar{\alpha}_j z}.$$

Setting $z = \alpha_1, \ldots, \alpha_m$, by Lemma 3, we can obtain

$$\frac{\eta_{n-m}}{\kappa_n} \mathbf{1} = \mathbf{C}_m[\mathbf{X}(1+o(1))], \qquad n \to \infty,$$

where $\mathbf{C}_{\underline{m}}$ is defined as in Lemma 4, $\mathbf{X} := (x_1, x_2, \dots, x_m)^T$, and $x_i := A_{n,i} \phi_n(\alpha_i)$, $i = 1, \dots, m$. From Lemma 4, we have

$$\mathbf{X}(1+o(1)) = \frac{\eta_{n-m}}{\kappa_n} \mathbf{C}_m^{-1} \mathbf{1} = -\frac{\eta_{n-m}}{\kappa_n} \overline{B(0)} (b_1, \dots, b_m)^T,$$

and so, by use of (8),

(10)
$$\lim_{\substack{n \to \infty \\ n \in \Lambda}} x_j = \lim_{\substack{n \to \infty \\ n \in \Lambda}} A_{n,j} \overline{\phi_n(\alpha_j)} = -r \overline{B(0)} b_j,$$
$$j = 1, \dots, m.$$

Now let $n \to \infty$ and $n \in \Lambda$ in (3) yield

$$r - \frac{1}{r} = -r\overline{B(0)}\sum_{j=1}^{m} b_j = -r\overline{B(0)}[B(0) - 1/\overline{B(0)}].$$

Hence, $r = |B(0)|^{-1}$. Since r is an arbitrary limit point of $\{\eta_{n-m}/\kappa_n\}$, we see that the $\lim_{n\to\infty} \eta_{n-m}/\kappa_n$ must exist and be equal to $|B(0)|^{-1}$. Finally from (10) we see that

$$\lim_{n\to\infty} A_{n,k} \overline{\phi_n(\alpha_k)} = -\frac{\overline{B(0)}}{|B(0)|} b_k, \qquad k=1,\ldots,m.$$

This completes the proof of the theorem. \Box

The following result is a special case of theorems in [7].

Corollary 6. If $\mu \in N$, then

$$\lim_{n\to\infty}\frac{\psi_{n-m}(z)}{\phi_n(z)}=\frac{\overline{B(0)}}{|B(0)|}\frac{1}{\prod_{j=1}^m(1-\bar{\alpha}_jz)}$$

holds locally uniformly in |z| > 1.

Proof. The proof follows from (9) in the proof of Theorem 2, Theorem 2, Lemma 3 and the expansion of B(z) in (7). \Box

4. Asymptotic behavior outside the analytic region. We now have all results needed for proving the asymptotic behavior of $\psi_n(z)$ in $|z| > 1/\rho$.

Theorem 7. Suppose $D^{-1}(z)$ has an analytic continuation to the disk $|z| < \rho$, and $\rho > \max_{1 \le i \le m} \{|\alpha_i|\}$. Then

$$\psi_{n-m}(z)w_m(z) = \frac{\overline{B(0)}}{|B(0)|} \left[\frac{B(z)z^n}{\overline{D(1/z)}} - \sum_{j=1}^m \frac{b_j}{(1-\bar{\alpha}_j z)} \frac{D^2(1/\bar{\alpha}_j)}{D(z)} \frac{1}{\bar{\alpha}_j^n} \right] + o(\alpha_z^n)$$

holds locally uniformly for $1/\rho < |z| < \rho$, where $\alpha_z := \max\{|z|, 1/\alpha\}$ and $\alpha := \min_{1 \le i \le m} \{|\alpha_i|\}$.

Proof of Theorem 7. From Theorem 1, we obtain that

(11)
$$w_m(z)\psi_{n-m}(z) = \frac{\eta_{n-m}}{\kappa_n}\phi_n(z) + \sum_{k=1}^m A_{n,k}K_{n-1}(z,\alpha_k).$$

Next we want to estimate the righthand side of (11). First from the theorems in [8], we have

(12)
$$\lim_{n \to \infty} \frac{\phi_n(z)}{z^n} = \overline{D^{-1}(1/\bar{z})}$$

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locally uniformly for $|z| > 1/\rho$. Thus, for $1/\rho < |z|$, we see that

(13)
$$\phi_n(z) = z^n \overline{D^{-1}(1/\bar{z})} + o(|z|^n).$$

On the other hand, from (1), we have

(14)
$$\phi_n^*(z) = D^{-1}(z) + o(1)$$

for $|z| < \rho$, and so

(15)
$$\phi_n^*(\alpha_k) = D^{-1}(\alpha_k) + o(1)$$

for k = 1, ..., m. Also from Theorem 2 and (13), we have

(16)
$$A_{n,k} = -\frac{\overline{B(0)}}{|B(0)|} \frac{b_k D(1/\bar{\alpha}_k)}{\bar{\alpha}_k^n} + o\left(\frac{1}{|\alpha_k|^n}\right)$$

for k = 1, 2, ..., m. According to the proof of Theorem 2, we see that

(17)
$$\frac{\eta_{n-m}}{\kappa_n} = \frac{1}{|B(0)|} + o(1).$$

From Christoffel-Darboux formula, (11), (13), (14), (15), (16) and (17) we have, for $|z| > 1/\rho$,

$$\begin{split} w_m(z)\psi_{n-m}(z) &= \frac{\eta_{n-m}}{\kappa_n}\phi_n(z) \\ &+ \sum_{k=1}^m A_{n,k} \overline{\frac{\phi_n^*(\alpha_k)}{\sigma_n^*(z)} - \overline{\phi_n(\alpha_k)}\phi_n(z)}}{1 - \bar{\alpha}_k z} \\ &= \left[\frac{\eta_{n-m}}{\kappa_n} - \sum_{k=1}^m \frac{A_{n,k} \overline{\phi_n^*(\alpha_k)}}{1 - \bar{\alpha}_k z} \right] \phi_n(z) \\ &+ \left[\sum_{k=1}^m \frac{A_{n,k} \overline{\phi_n^*(\alpha_k)}}{1 - \bar{\alpha}_k z} \right] \phi_n^*(z) \\ &= \frac{\overline{B(0)}}{|B(0)|} \left[\frac{1}{\overline{B(0)}} + \sum_{k=1}^m \frac{b_k}{1 - \bar{\alpha}_k z} \right] \frac{z^n}{\overline{D(1/\bar{z})}} \\ &- \frac{\overline{B(0)}}{|B(0)|} \sum_{k=1}^m \frac{b_j D(1/\bar{\alpha}_k)}{(1 - \bar{\alpha}_k z) \bar{\alpha}_k^n \overline{D(\alpha_k)} D(z)} \\ &+ o(|z|^n) + o(\alpha^{-n}) \\ &= \frac{\overline{B(0)}}{|B(0)|} \left[\frac{B(z)z^n}{\overline{D(1/\bar{z})}} \\ &- \sum_{i=1}^m \frac{b_j D(1/\bar{\alpha}_j)}{(1 - \bar{\alpha}_i z) \bar{\alpha}_i^n \overline{D(\alpha_j)} D(z)} \right] + o(\alpha_z^n), \end{split}$$

the last equality being valid because of the expansion of B(z) in (7). Together with $\overline{D(\alpha_j)} = D^{-1}(1/\bar{\alpha}_j), j = 1, \ldots, m$, we complete the proof of the theorem.

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