

On another characterization of Askey-Wilson polynomials

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Baylor Analysis Fest

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Sponsored by

the ERDF and Consejería de Economía, Conocimiento, Empresas y Universidad de la Junta de Andalucía (grant UAL18-FQM-B025-A)

27th May 2022

Introduction

The algebraic theory on OPS due to P. Maroni.

Let \mathcal{P} be the space of all polynomials with complex coefficients. If \mathcal{P} is equipped with his finer topology, then his algebraic dual \mathcal{P}^* , and his topological dual \mathcal{P}' coincide: $\mathcal{P}^* = \mathcal{P}'$.

To any simple set of polynomials $\{P_n\}_{n \geq 0}$, we can associate a corresponding dual basis $\{a_n\}_{n \geq 0}$ in \mathcal{P}' such that

$$\langle a_n, P_m \rangle = \delta_{n,m} .$$

In addition, every u in \mathcal{P}' can be written as

$$u = \sum_{n=0}^{\infty} \langle u, P_n \rangle a_n$$

Orthogonal polynomial sequence (OPS)

Definition

Let $(P_n)_{n \geq 0}$ be a sequence in \mathcal{P} and $u \in \mathcal{P}'$. Then

- $(P_n)_{n \geq 0}$ is an **OPS** with respect to u if $(P_n)_{n \geq 0}$ is a simple set and for all $n \in \mathbb{N}$, there is $h_n \in \mathbb{C} \setminus \{0\}$ such that

$$\langle u, P_n P_m \rangle = h_n \delta_{n,m}$$

Favard's Theorem

Monic orthogonal polynomials sequences (OPS) are characterized by a three term recurrence relation (TTRR) of the form

$$P_{n+1}(x) = (x - B_n) P_n(x) - C_n P_{n-1}(x)$$

with $P_{-1}(x) = 0$ where $C_n \neq 0$ for all $n \geq 1$.

Notations and definitions

A lattice is a mapping $x(s)$, $s \in \mathbb{C}$, given by (N. M. Atakishiev et al. 1995)

$$x(s) := \begin{cases} c_1 q^{-s} + c_2 q^s + c_3 & \text{if } q \neq 1, \\ c_4 s^2 + c_5 s + c_6 & \text{if } q = 1. \end{cases}$$

We define

$$\alpha_n := \frac{q^{n/2} + q^{-n/2}}{2}, \quad \gamma_n := \frac{q^{n/2} - q^{-n/2}}{q^{1/2} - q^{-1/2}},$$

with $\alpha := \alpha_1$ and $\beta := (1 - \alpha)c_3$ for $n = 0, 1, 2, \dots$

Notations and definitions

For $\mathbf{u} \in \mathcal{P}^*$, we define $D_x f$, $S_x f$, $D_x \mathbf{u}$ and $S_x \mathbf{u}$ by (A. F. Nikiforov, S. K. Suslov, V. B. Uvarov 1991 and M. Foupouagnigni 2011)

$$D_x f(x(s)) := \frac{f\left(x\left(s + \frac{1}{2}\right)\right) - f\left(x\left(s - \frac{1}{2}\right)\right)}{x\left(s + \frac{1}{2}\right) - x\left(s - \frac{1}{2}\right)},$$

$$S_x f(x(s)) := \frac{f\left(x\left(s + \frac{1}{2}\right)\right) + f\left(x\left(s - \frac{1}{2}\right)\right)}{2},$$

$$\langle D_x \mathbf{u}, f \rangle = -\langle \mathbf{u}, D_x f \rangle, \quad \langle S_x \mathbf{u}, f \rangle = \langle \mathbf{u}, S_x f \rangle, \quad f \in \mathcal{P}.$$

Classical OPS on lattices

Definition

A regular functional $u \in \mathcal{P}'$ is called **classical functional** on lattices if it satisfies the following **distributional equation**

$$\mathbf{D}_x(\phi u) = \mathbf{S}_x(\psi u) ,$$

where ϕ and ψ are polynomials such that $\deg(\phi) \leq 2$ and $\deg(\psi) = 1$.

If $\deg(\phi) \geq 0$ and $\deg(\psi) \geq 1$, then u is called semi-classical functional.

Characterization of classical OPS on lattices

Let $u \in \mathcal{P}'$ be a regular functional and let $\{P_n\}_{n \geq 0}$ be its corresponding monic OPS. Then the following are equivalent:

C1 u is classical. That is : $\exists \phi \in \mathcal{P}_2, \exists \psi \in \mathcal{P}_1$ with $\deg \psi = 1$ such that $\mathbf{D}_x(\phi u) = \mathbf{S}_x(\psi u)$

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- C2 $(D_x P_{n+1})_{n \geq 0}$ is an OPS,
- C3 $\forall n, \exists r_n, s_n \in \mathbb{C}$ such that

$$S_x P_n = a_n D_x P_{n+1} + b_n D_x P_n + c_n D_x P_{n-1} \quad (c_n \neq 0)$$

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C4 (Bochner-type) $\exists \phi, \psi \in \mathcal{P}, \exists \lambda_n \in \mathbb{C}$ with $\lambda_n \neq 0$ if $n \geq 1$ such that

$$\phi D_x^2 P_n + \psi S_x D_x P_n + \lambda_n P_n = 0$$

[M. Foupouagnigni, M. Kenfack, S. Mboutngam, 2011, 2012], [R.S. Costas-Santos and F. Marcellán, 2009], ... etc.

Theorem 1: classical OPS on a q -quadratic lattice

Consider the lattice $z = c_1 q^{-s} + c_2 q^s + c_3$.

Regularity conditions

Let $\mathbf{u} \in \mathcal{P}^* \setminus \{\mathbf{0}\}$ be such that

$$\mathbf{D}_x((az^2 + bz + c)\mathbf{u}) = \mathbf{S}_x((dz + e)\mathbf{u}).$$

Then \mathbf{u} is regular if and only if

$$d_n \neq 0, \quad \phi^{[n]} \left(c_3 - \frac{e_n}{d_{2n}} \right) \neq 0, \quad \forall n \in \mathbb{N}_0,$$

where $d_n := a\gamma_n + d\alpha_n$, $e_n := (b + 2ac_3)\gamma_n + (dc_3 + e)\alpha_n$,

$$\phi^{[n]}(z) := (d(\alpha^2 - 1)\gamma_{2n} + a\alpha_{2n})((z - c_3)^2 - 2c_1c_2) + ((b + 2ac_3)\alpha_n + (dc_3 + e)(\alpha^2 - 1)\gamma_n)(z - c_3) + ac_3^2 + bc_3 + 2ac_1c_2 + c.$$

Generalization for the lattice $z = c_1 q^{-s} + c_2 q^s + c_3$

Under these regularity conditions, the recurrence coefficients for the monic OPS $(P_n^{[k]})_{n \geq 0}$ are given by

$$B_n^{[k]} = c_3 + \frac{\gamma_n e_{n+k-1}}{d_{2n+2k-2}} - \frac{\gamma_{n+1} e_{n+k}}{d_{2n+2k}},$$

$$C_{n+1}^{[k]} = -\frac{\gamma_{n+1} d_{n+2k-1}}{d_{2n+2k-1} d_{2n+2k+1}} \phi^{[n+k]} \left(c_3 - \frac{e_{n+k}}{d_{2n+2k}} \right) \quad (n, k \in \mathbb{N}_0).$$

Here $P_n^{[k]} = \frac{\gamma_n!}{\gamma_{n+k}!} D_x^k P_{n+k}$, and

$$P_{-1}^{[k]}(z) = 0, \quad zP_n^{[k]} = P_{n+1}^{[k]} + B_n^{[k]} P_n^{[k]} + C_n^{[k]} P_{n-1}^{[k]}.$$

Theorem 2: classical OPS on a quadratic lattice

Let $x(s)$ be the quadratic lattice $z = x(s) = 4\beta s^2 + c_5 s + c_6$.

Regularity conditions

Let $\mathbf{u} \in \mathcal{P}^* \setminus \{\mathbf{0}\}$ be such that

$$\mathbf{D}_x((az^2 + bz + c)\mathbf{u}) = \mathbf{S}_x((dz + e)\mathbf{u}).$$

Then \mathbf{u} is regular if and only if

$$d_n \neq 0, \quad \phi^{[n]} \left(-\beta n^2 - \frac{e_n}{d_{2n}} \right) \neq 0, \quad \forall n \in \mathbb{N}_0.$$

where where $d_n := an + d$, $e_n := bn + e + 2d\beta n^2$, $\psi(z) = dz + e$ and

$$\begin{aligned} \phi^{[n]}(z) := & az^2 + (b + 6\beta n d_n)z + a\beta^2 n^4 + b\beta n^2 + c + 2\beta n\psi(\beta n^2) \\ & - n(4\beta c_6 - \frac{1}{4}c_5^2) d_n. \end{aligned}$$

Generalization for the lattice $x(s) = 4\beta s^2 + c_5 s + c_6$

Under these regularity conditions, the recurrence coefficients of the monic OPS $(P_n^{[k]})_{n \geq 0}$ are given by

$$B_n^{[k]} = \frac{ne_{n+k-1}}{d_{2n+2k-2}} - \frac{(n+1)e_{n+k}}{d_{2n+2k}} - 2\beta \left((n+k)^2 - n - \frac{1}{2}k^2 \right),$$

$$C_{n+1}^{[k]} = -\frac{(n+1)d_{n+2k-1}}{d_{2n+2k-1}d_{2n+2k+1}} \phi^{[n+k]} \left(-\beta(n+k)^2 - \frac{e_{n+k}}{d_{2n+2k}} \right).$$

Application 1: for the lattice $x(s) = c_1 q^{-s} + c_2 q^s + c_3$

Consider the following equation.

$$\pi(z)D_x P_n(z) = (a_n z + b_n)P_n(z) + c_n P_{n-1}(z), \quad c_n \neq 0. \quad (1)$$

Conjecture 24.7.8, M. E. H. Ismail (2005)

Up to an affine transformation of the variable, the **only** monic OPS $(P_n)_{n \geq 0}$ satisfying (1) are the **continuous q -Jacobi polynomials** or the **Al-Salam-Chihara polynomials** or **special or limiting cases of them**.

Sketch of the Proof

We assume that $0 < q < 1$. Let $\mathbf{u} \in \mathcal{P}^*$ be the regular functional with respect to the monic OPS $(P_n)_{n \geq 0}$ satisfying (1).

- I. \mathbf{u} is x -classical. Moreover $D_x(\phi \mathbf{u}) = S_x(\psi \mathbf{u})$, where ϕ and ψ are polynomials given by

$$\phi(z) := (\alpha z - \mathfrak{b})(z - B_0) - (\alpha + \alpha)C_1, \quad \psi(z) := z - B_0,$$

with

$$\alpha := \frac{(a_2 C_2 + c_2) C_1}{(a_1 C_1 + c_1) C_2} - \alpha, \quad \mathfrak{b} := \beta - B_0 + (\alpha + \alpha) B_1 - \frac{b_1 + a_1 B_1}{c_1 + a_1 C_1} C_1.$$

Sketch of the proof

- II. The coefficients B_n and C_n of the TTRR satisfied by $(P_n)_{n \geq 0}$ fulfill the following system of equations:

$$a_{n+2} - 2\alpha a_{n+1} + a_n = 0 ,$$

$$t_{n+2} - 2\alpha t_{n+1} + t_n = 0 , \quad t_n := c_n / C_n, \quad r_n := t_n + a_n - a_{n-1},$$

$$r_{n+3}(B_{n+2} - c_3) - (r_{n+2} + r_{n+1})(B_{n+1} - c_3) + r_n(B_n - c_3) = 0,$$

$$(r_{n+1} + r_{n+2})(C_{n+1} - c_1 c_2) - 2(1 + \alpha)r_n(C_n - c_1 c_2) + (r_{n-1} + r_{n-2}) \times \\ (C_{n-1} - c_1 c_2) = r_n \left[(B_n - c_3)^2 - 2\alpha(B_n - c_3)(B_{n-1} - c_3) + (B_{n-1} - c_3)^2 \right].$$

Sketch of the proof

$$\begin{aligned}
 & \left(2(1 - \alpha)(a_n B_n + b_n) - 4\beta a_n \right) B_n^2 + (t_{n+1} + a_{n+1} - a_{n+2}) B_{n+1} C_{n+1} \\
 & + (t_n + a_{n-1} - a_{n-2}) B_{n-1} C_n + [(2a_n - a_{n+2} - a_{n-1}) C_{n+1} \\
 & + (2a_n - a_{n+1} - a_{n-2}) C_n + (1 - 2\alpha)(c_n + c_{n+1}) - 4\beta b_n + (\beta^2 - \delta) a_n] B_n \\
 & + 2 \left(b_n - \alpha b_{n+1} - \beta(a_n + a_{n+1} + t_{n+1}) \right) C_{n+1} \\
 & + 2 \left(b_n - \alpha b_{n-1} - \beta(a_{n-1} + a_n + t_n) \right) C_n = b_n(\delta - \beta^2),
 \end{aligned}$$

where $\delta = U_2(2c_3)$.

Sketch of the proof: case $\deg \pi = 0$

- III. Solve the system separately according to the degree of $\deg \pi$.
 Recall the monic Al-Salam Chihara polynomials
 $(Q_n(z; c, d|q))_{n \geq 0}$:

$$B_n := \frac{1}{2}(c + d)q^n, \quad C_{n+1} := \frac{1}{4}(1 - cdq^n)(1 - q^{n+1}).$$

Up to an affine transformation of the variable, the only monic OPS $(P_n)_{n \geq 0}$ satisfying $D_x P_n(z) = c_n P_{n-1}(z)$, $n \in \mathbb{N}_0$, are the monic Al-Salam Chihara polynomials with parameters $c = d = 0$:

$$P_n(z) = 2^n (c_1 c_2)^{n/2} Q_n \left(\frac{z - c_3}{2\sqrt{c_1 c_2}}; 0, 0 | q \right), \quad n \in \mathbb{N}_0.$$

Sketch of the proof: case $\deg \pi = 1$

Let r be a complex number.

Up to an affine transformation of the variable, the only OPS $(P_n)_{n \geq 0}$ satisfying $(z - c_3 - r)D_x P_n(z) = b_n P_n(z) + c_n P_{n-1}(z)$, $n \in \mathbb{N}_0$, are the monic **Al-Salam Chihara polynomials** with parameters c and d both **nonzero** and satisfying $c/d = q^{\pm 1/2}$:

$$P_n(z) = 2^n (c_1 c_2)^{n/2} Q_n \left(\frac{z - c_3}{2\sqrt{c_1 c_2}}; c, d \mid q \right), \quad n \in \mathbb{N}_0.$$

Remark: The monic Continuous q -Laguerre polynomial is special case of the solution.

Sketch of the proof: case $\deg \pi = 2$

Let's consider $r, s \in \mathbb{C}$. Recall the monic continuous q -Jacobi polynomials $(P_n^{(a,b)}(z|q))_{n \geq 0}$:

$$B_n := \frac{(1 + q^{1/2})(1 - q^{(a+b)/2})(q^{a/2} - q^{b/2})q^{n+1/4}}{2(1 - q^{n+(a+b)/2})(1 - q^{n+1+(a+b)/2})},$$

$$C_n := \frac{(1 - q^n)(1 - q^{n+a+b})(1 - q^{n+a})(1 - q^{n+b})}{4(1 - q^{n+(a+b-1)/2})(1 - q^{n+(a+b)/2})^2(1 - q^{n+(a+b+1)/2})}.$$

Up to an affine transformation of the variable, the only OPS satisfying $(z - c_3 - r)(z - c_3 - s)D_x P_n(z) = (a_n z + b_n)P_n(z) + c_n P_{n-1}(z)$, for each $n \in \mathbb{N}_0$, are the **Chebyshev polynomials of the first kind** and the **continuous q -Jacobi polynomials**:

$$P_n(z) = 2^n (c_1 c_2)^{n/2} P_n^{(a,b)} \left(\frac{z - c_3}{2\sqrt{c_1 c_2}} \middle| q \right), \quad n \in \mathbb{N}_0.$$

Other solved conjecture

Classical orthogonal polynomials on lattices are characterized by the following equation [M. Kenfack, K. Jordaan, 2018, 2019]

$$\pi(z)D_x^2 P_n(z) = \sum_{j=-2}^2 a_{n,j} P_{n+j}(z) \quad (n = 0, 1, \dots).$$

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$(P_n)_{n \geq 0}$ and $(D_x^k P_{n+k})_{n \geq 0}$ are OPS for some fixed k . Then P_n is Askey-Wilson or special or limiting case.

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$(P_n)_{n \geq 0}$ and $(D_x^k P_{n+k})_{n \geq 0}$ are OPS for some fixed k . Then P_n is Askey-Wilson or special or limiting case.

More generally we have

$$\pi(z) D_x^k P_n(z) = \sum_{j=-m}^m a_{n,j} P_{n+j}(z) \quad (n = 0, 1, \dots),$$

with $\deg \pi \leq 2k$.

Application 2: For the lattice $x(s) = c_1 q^{-s} + c_2 q^s + c_3$

Theorem 3

If $(P_n)_{n \geq 0}$ is a monic OPS such that

$$\pi(z)D_x P_n(z) = a_n S_x P_{n+1}(z) + b_n S_x P_n(z) + c_n S_x P_{n-1}(z),$$

where π is a well chosen polynomial of degree at most two and $c_n \neq 0$, then $(P_n)_{n \geq 0}$ are multiple of Askey-Wilson polynomials, or special or limiting cases of them.

The monic Askey-Wilson polynomial

The coefficients of the TTRR satisfied by the monic Askey-Wilson polynomials $(Q_n(z, a, b, c, d|q))_{n \geq 0}$ are given by

$$B_n = \frac{1}{2} \left[a + \frac{1}{a} - \frac{(1 - abq^n)(1 - acq^n)(1 - adq^n)(1 - abcdq^{n-1})}{a(1 - abcdq^{2n-1})(1 - abcdq^{2n})} - \frac{a(1 - q^n)(1 - bcq^{n-1})(1 - bdq^{n-1})(1 - cdq^{n-1})}{(1 - abcdq^{2n-1})(1 - abcdq^{2n-2})} \right],$$

$$C_{n+1} = (1 - q^{n+1})(1 - abcdq^{n-1})(1 - abq^n) \times \frac{(1 - acq^n)(1 - adq^n)(1 - bcq^n)(1 - bdq^n)(1 - cdq^n)}{4(1 - abcdq^{2n-1})(1 - abcdq^{2n})^2(1 - abcdq^{2n+1})}.$$

Case where $\deg \pi = 0$

Theorem 3-a

Up to an affine transformation of the variable, the only monic OPS, $(P_n)_{n \geq 0}$, satisfying

$$D_x P_{n+1}(z) = \alpha_n^{-1} \gamma_{n+1} S_x P_n(z),$$

are those of the **Askey-Wilson polynomials**

$$P_n(z) = 2^n (c_1 c_2)^{n/2} Q_n \left(\frac{z - c_3}{2\sqrt{c_1 c_2}}; a, -a, iq^{-1/2}/a, -iq^{-1/2}/a \mid q \right),$$

with $a \notin \{\pm q^{(n-1)/2}, \pm iq^{-n/2} \mid n = 0, 1, \dots\}$.

Sketch of the proof

We first prove that

$$\mathbf{D}_x \left((\gamma_{n+1} \mathbf{U}_1 P_{n+1} + \alpha_n C_{n+1} P_n) \mathbf{u} \right) = -\alpha \gamma_{n+1} \mathbf{S}_x (P_{n+1} \mathbf{u}). \quad (2)$$

Indeed let $(\mathbf{a}_n)_{n \geq 0}$ and $(\mathbf{a}_n^{[1]})_{n \geq 0}$ be the dual basis associated to the sequences $(P_n)_{n \geq 0}$ and $(P_n^{[1]})_{n \geq 0}$, respectively. Let

$$zP_n = P_{n+1} + B_n P_n + C_n P_{n-1}$$

be the TTRR satisfied by $(P_n)_{n \geq 0}$. Then we have

$$D_x P_{n+1} = r_n S_x P_n \quad \Rightarrow \quad \mathbf{S}_x \mathbf{a}_n^{[1]} = \alpha_n \mathbf{a}_n.$$

We then apply D_x to above equation to obtain (2).

Sketch of the proof

We denote by \mathbf{u} the regular functional whose $(P_n)_{n \geq 0}$ is the corresponding monic OPS. Taking $n = 0$ in (2), we see that \mathbf{u} is x -classical. Moreover,

$$\mathbf{D}_x(\phi \mathbf{u}) = \mathbf{S}_x(\psi \mathbf{u}),$$

where

$$\psi(z) = z - B_0, \quad \phi(z) = -(\alpha - \alpha^{-1})(z - c_3)(z - B_0) - \alpha^{-1} C_1.$$

We now use the initials conditions in the given equation to find a possible relation between B_0 and C_1 .

Sketch of the proof

From the given equation we obtain

$$B_n = c_3 + \frac{\alpha}{\alpha_{n-1}\alpha_n}(B_0 - c_3).$$

But from the theory developed, we have

$$B_n = c_3 + (1+q)(B_0 - c_3)q^{n-2} \frac{(q-1)(1-q^{2n-2}) + (1+q)q^{n-1}}{(1+q^{2n-3})(1+q^{2n-1})}.$$

Assume that $0 < q < 1$, then we obtain

$$2(1+q^{-1})(B_0 - c_3) = \lim_{n \rightarrow +\infty} q^{-n}(B_n - c_3) = (1 - q^{-2})(B_0 - c_3).$$

Therefore

$$B_0 = c_3.$$

Sketch of the proof

We now apply the general formula to obtain

$$B_n = c_3$$

$$C_{n+1} = c_1 c_2 \frac{(1 + q^{n-2})(1 - q^{n+1})(1 + rq^n)(1 - r^{-1}q^{n-1})}{(1 + q^{2n-2})(1 + q^{2n})}$$

where

$$C_1 = \frac{1}{2}(1 - q^{-1})(1 + r^{-1})(1 - rq)c_1 c_2 ,$$

and the result follows.

Case where $\deg \pi = 1$

Theorem 3-b

Let $(P_n)_{n \geq 0}$ be a monic OPS satisfying

$$(z - c_3 - r)D_x P_n(z) = b_n S_x P_n(z) + c_n S_x P_{n-1}(z),$$

with $c_n \neq 0$ for $n = 0, 1, \dots$, where the constant parameter r is chosen such that

$$2(2\alpha^2 - 1)(C_2 + \alpha(B_1 - B_0)r) = (B_1 - c_3)^2 - (B_0 - c_3)^2.$$

Then P_n is a specific case of the monic Askey-Wilson polynomial:

$$P_n(z) = 2^n (c_1 c_2)^{n/2} Q_n \left(\frac{z - c_3}{2\sqrt{c_1 c_2}}; a_1, a_2, a_3, a_4 \mid q \right),$$

Case where $\deg \pi = 1$

where a_1, a_2, a_3 and a_4 are complex numbers solutions of the following equation

$$Z^4 - RZ^3 + TZ^2 - SZ - q^{-1} = 0 ,$$





with




$$(R, T, S) \in \left\{ \left(2 \frac{qB_0 - B_1}{q-1}, T_1, 2 \frac{q^{-1}B_0 - B_1}{q-1} \right), \right. \\ \left. \left(2 \frac{(q+1)B_0}{q-1}, \frac{4(3\alpha^2 - 1)}{q-1}, 2 \frac{(1+q^{-1})B_0}{q-1} \right) \right\} ,$$

where

$$T_1 = 1 - q^{-1} + 8 \frac{(B_0^2 - \alpha^2)((4\alpha^2 - 3)B_1 - B_0)}{(B_1 + (4\alpha^2 - 1)B_0)(q-1)} - 4 \frac{(B_1 - B_0)B_0}{q-1} .$$

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THANK YOU !!