## **3.1** Extrema on an Interval

- Understand the definition of extrema of a function on an interval.
- Understand the definition of relative extrema of a function on an open interval.
- Find extrema on a closed interval.

## **Extrema of a Function**

In calculus, much effort is devoted to determining the behavior of a function f on an interval I. Does f have a maximum value on I? Does it have a minimum value? Where is the function increasing? Where is it decreasing? In this chapter, you will learn how derivatives can be used to answer these questions. You will also see why these questions are important in real-life applications.

## Definition of Extrema

Let f be defined on an interval I containing c.

- **1.** f(c) is the **minimum of** f on I when  $f(c) \le f(x)$  for all x in I.
- **2.** f(c) is the **maximum of** f on I when  $f(c) \ge f(x)$  for all x in I.

The minimum and maximum of a function on an interval are the **extreme values**, or **extrema** (the singular form of extrema is extremum), of the function on the interval. The minimum and maximum of a function on an interval are also called the **absolute minimum** and **absolute maximum**, or the **global minimum** and **global maximum**, on the interval. Extrema can occur at interior points or endpoints of an interval (see Figure 3.1). Extrema that occur at the endpoints are called **endpoint extrema**.

A function need not have a minimum or a maximum on an interval. For instance, in Figure 3.1(a) and (b), you can see that the function  $f(x) = x^2 + 1$  has both a minimum and a maximum on the closed interval [-1, 2], but does not have a maximum on the open interval (-1, 2). Moreover, in Figure 3.1(c), you can see that continuity (or the lack of it) can affect the existence of an extremum on the interval. This suggests the theorem below. (Although the Extreme Value Theorem is intuitively plausible, a proof of this theorem is not within the scope of this text.)

#### THEOREM 3.1 The Extreme Value Theorem

If f is continuous on a closed interval [a, b], then f has both a minimum and a maximum on the interval.

## Exploration

*Finding Minimum and Maximum Values* The Extreme Value Theorem (like the Intermediate Value Theorem) is an *existence theorem* because it tells of the existence of minimum and maximum values but does not show how to find these values. Use the *minimum* and *maximum* features of a graphing utility to find the extrema of each function. In each case, do you think the *x*-values are exact or approximate? Explain your reasoning.

a. f(x) = x<sup>2</sup> - 4x + 5 on the closed interval [-1, 3]
b. f(x) = x<sup>3</sup> - 2x<sup>2</sup> - 3x - 2 on the closed interval [-1, 3]

y 5 - (2, 5) 4 -  $f(x) = x^2 + 1$ 3 - (0, 1) Minimum -1 1 2 3

(a) f is continuous, [-1, 2] is closed.



(**b**) f is continuous, (-1, 2) is open.



(c) g is not continuous, [-1, 2] is closed. Figure 3.1



*f* has a relative maximum at (0, 0) and a relative minimum at (2, -4). **Figure 3.2** 











## **Relative Extrema and Critical Numbers**

In Figure 3.2, the graph of  $f(x) = x^3 - 3x^2$  has a **relative maximum** at the point (0, 0) and a **relative minimum** at the point (2, -4). Informally, for a continuous function, you can think of a relative maximum as occurring on a "hill" on the graph, and a relative minimum as occurring in a "valley" on the graph. Such a hill and valley can occur in two ways. When the hill (or valley) is smooth and rounded, the graph has a horizontal tangent line at the high point (or low point). When the hill (or valley) is sharp and peaked, the graph represents a function that is not differentiable at the high point (or low point).

#### **Definition of Relative Extrema**

- 1. If there is an open interval containing c on which f(c) is a maximum, then f(c) is called a **relative maximum** of f, or you can say that f has a **relative maximum at** (c, f(c)).
- 2. If there is an open interval containing c on which f(c) is a minimum, then f(c) is called a **relative minimum** of f, or you can say that f has a **relative minimum at** (c, f(c)).

The plural of relative maximum is relative maxima, and the plural of relative minimum is relative minima. Relative maximum and relative minimum are sometimes called **local maximum** and **local minimum**, respectively.

Example 1 examines the derivatives of functions at *given* relative extrema. (Much more is said about *finding* the relative extrema of a function in Section 3.3.)

## EXAMPLE 1 The Value of the Derivative at Relative Extrema

Find the value of the derivative at each relative extremum shown in Figure 3.3.

#### Solution

a. T

he derivative of $f(x) = \frac{9(x^2 - 3)}{x^3}$ is	
$f'(x) = \frac{x^3(18x) - (9)(x^2 - 3)(3x^2)}{(x^3)^2}$	Differentiate using Quotient Rule.
$=rac{9(9-x^2)}{x^4}.$	Simplify.

At the point (3, 2), the value of the derivative is f'(3) = 0 [see Figure 3.3(a)].

**b.** At x = 0, the derivative of f(x) = |x| *does not exist* because the following one-sided limits differ [see Figure 3.3(b)].

$$\lim_{x \to 0^{-}} \frac{f(x) - f(0)}{x - 0} = \lim_{x \to 0^{-}} \frac{|x|}{x} = -1$$
Limit from the left
$$\lim_{x \to 0^{+}} \frac{f(x) - f(0)}{x - 0} = \lim_{x \to 0^{+}} \frac{|x|}{x} = 1$$
Limit from the right

**c.** The derivative of  $f(x) = \sin x$  is

 $f'(x) = \cos x.$ 

At the point  $(\pi/2, 1)$ , the value of the derivative is  $f'(\pi/2) = \cos(\pi/2) = 0$ . At the point  $(3\pi/2, -1)$ , the value of the derivative is  $f'(3\pi/2) = \cos(3\pi/2) = 0$  [see Figure 3.3(c)].

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Note in Example 1 that at each relative extremum, the derivative either is zero or does not exist. The *x*-values at these special points are called **critical numbers**. Figure 3.4 illustrates the two types of critical numbers. Notice in the definition that the critical number *c* has to be in the domain of *f*, but *c* does not have to be in the domain of f'.

#### **Definition of a Critical Number**

Let f be defined at c. If f'(c) = 0 or if f is not differentiable at c, then c is a **critical number** of f.





**THEOREM 3.2** Relative Extrema Occur Only at Critical Numbers If *f* has a relative minimum or relative maximum at x = c, then *c* is a critical number of *f*.

#### Proof

*Case 1:* If *f* is *not* differentiable at x = c, then, by definition, *c* is a critical number of *f* and the theorem is valid.

**Case 2:** If f is differentiable at x = c, then f'(c) must be positive, negative, or 0. Suppose f'(c) is positive. Then

$$f'(c) = \lim_{x \to c} \frac{f(x) - f(c)}{x - c} > 0$$

which implies that there exists an interval (a, b) containing c such that

$$\frac{f(x) - f(c)}{x - c} > 0, \text{ for all } x \neq c \text{ in } (a, b).$$
 [See Exercise 78(b), Section 1.2.]

Because this quotient is positive, the signs of the denominator and numerator must agree. This produces the following inequalities for x-values in the interval (a, b).

Left of c: 
$$x < c$$
 and  $f(x) < f(c) \implies f(c)$  is not a relative minimum.  
Right of c:  $x > c$  and  $f(x) > f(c) \implies f(c)$  is not a relative maximum.

So, the assumption that f'(c) > 0 contradicts the hypothesis that f(c) is a relative extremum. Assuming that f'(c) < 0 produces a similar contradiction, you are left with only one possibility—namely, f'(c) = 0. So, by definition, c is a critical number of f and the theorem is valid.

See LarsonCalculus.com for Bruce Edwards's video of this proof.

The Print Collector/Alamy



For Fermat, who was trained as a lawyer, mathematics was more of a hobby than a profession.

geometry, number theory, calculus, and probability. In letters to friends, he wrote of many of the fundamental ideas of calculus, long before Newton or Leibniz.

Nevertheless, Fermat made many contributions to analytic

For instance, Theorem 3.2 is

more of this biography.

sometimes attributed to Fermat.

See LarsonCalculus.com to read

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## Finding Extrema on a Closed Interval

Theorem 3.2 states that the relative extrema of a function can occur *only* at the critical numbers of the function. Knowing this, you can use the following guidelines to find extrema on a closed interval.

#### **GUIDELINES FOR FINDING EXTREMA ON A CLOSED INTERVAL**

To find the extrema of a continuous function f on a closed interval [a, b], use these steps.

- **1.** Find the critical numbers of f in (a, b).
- **2.** Evaluate f at each critical number in (a, b).
- **3.** Evaluate f at each endpoint of [a, b].
- 4. The least of these values is the minimum. The greatest is the maximum.

The next three examples show how to apply these guidelines. Be sure you see that finding the critical numbers of the function is only part of the procedure. Evaluating the function at the critical numbers *and* the endpoints is the other part.

#### EXAMPLE 2 Finding Extrema on a Closed Interval

Find the extrema of

 $f(x) = 3x^4 - 4x^3$ 

on the interval [-1, 2].

**Solution** Begin by differentiating the function.

$f(x) = 3x^4 - 4x^3$	Write original function.
$f'(x) = 12x^3 - 12x^2$	Differentiate.

To find the critical numbers of f in the interval (-1, 2), you must find all x-values for which f'(x) = 0 and all x-values for which f'(x) does not exist.

$12x^3 - 12x^2 = 0$	Set $f'(x)$ equal to 0.
$12x^2(x-1) = 0$	Factor.
x = 0, 1	Critical numbers

Because f' is defined for all x, you can conclude that these are the only critical numbers of f. By evaluating f at these two critical numbers and at the endpoints of [-1, 2], you can determine that the maximum is f(2) = 16 and the minimum is f(1) = -1, as shown in the table. The graph of f is shown in Figure 3.5.

Left	Critical	Critical	Right
Endpoint	Number	Number	Endpoint
f(-1) = 7	f(0) = 0	f(1) = -1 Minimum	

In Figure 3.5, note that the critical number x = 0 does not yield a relative minimum or a relative maximum. This tells you that the converse of Theorem 3.2 is not true. In other words, *the critical numbers of a function need not produce relative extrema*.



On the closed interval [-1, 2], *f* has a minimum at (1, -1) and a maximum at (2, 16). **Figure 3.5** 



On the closed interval [-1, 3], f has a minimum at (-1, -5) and a maximum at (0, 0).

Figure 3.6

#### EXAMPLE 3

f

## Finding Extrema on a Closed Interval

Find the extrema of  $f(x) = 2x - 3x^{2/3}$  on the interval [-1, 3].

**Solution** Begin by differentiating the function.

$$f(x) = 2x - 3x^{2/3}$$
$$f'(x) = 2 - \frac{2}{x^{1/3}}$$
$$= 2\left(\frac{x^{1/3} - 1}{x^{1/3}}\right)$$

Differentiate Simplify.

Write original function.

From this derivative, you can see that the function has two critical numbers in the interval (-1, 3). The number 1 is a critical number because f'(1) = 0, and the number 0 is a critical number because f'(0) does not exist. By evaluating f at these two numbers and at the endpoints of the interval, you can conclude that the minimum is f(-1) = -5 and the maximum is f(0) = 0, as shown in the table. The graph of f is shown in Figure 3.6.

Left	Critical	Critical	Right
Endpoint	Number	Number	Endpoint
f(-1) = -5Minimum	f(0) = 0 Maximum	f(1) = -1	

#### 4 $\left(\frac{\pi}{2},3\right)$ Maximum 3 $f(x) = 2\sin x - \cos 2x$ 2 1 $\frac{3\pi}{2}$ -1 $\frac{\pi}{2}$ $(2\pi, -1)$ (0, -1)-2 -3 Minima

On the closed interval  $[0, 2\pi]$ , f has two minima at  $(7\pi/6, -3/2)$  and  $(11\pi/6, -3/2)$  and a maximum at  $(\pi/2, 3)$ . Figure 3.7

#### EXAMPLE 4

### Finding Extrema on a Closed Interval

•••• See LarsonCalculus.com for an interactive version of this type of example.

Find the extrema of

$$f(x) = 2\sin x - \cos 2x$$

on the interval  $[0, 2\pi]$ .

**Solution** Begin by differentiating the function.

$f(x) = 2\sin x - \cos 2x$	Write original function.
$f'(x) = 2\cos x + 2\sin 2x$	Differentiate.
$= 2\cos x + 4\cos x\sin x$	$\sin 2x = 2\cos x \sin x$
$= 2(\cos x)(1+2\sin x)$	Factor.

Because f is differentiable for all real x, you can find all critical numbers of f by finding the zeros of its derivative. Considering  $2(\cos x)(1 + 2\sin x) = 0$  in the interval  $(0, 2\pi)$ , the factor  $\cos x$  is zero when  $x = \pi/2$  and when  $x = 3\pi/2$ . The factor  $(1 + 2 \sin x)$  is zero when  $x = 7\pi/6$  and when  $x = 11\pi/6$ . By evaluating f at these four critical numbers and at the endpoints of the interval, you can conclude that the maximum is  $f(\pi/2) = 3$  and the minimum occurs at *two* points,  $f(7\pi/6) = -3/2$  and  $f(11\pi/6) = -3/2$ , as shown in the table. The graph is shown in Figure 3.7.

Left	Critical	Critical	Critical	Critical	Right
Endpoi	nt Number	Number	Number	Number	Endpoint
f(0) = -	$-1  f\left(\frac{\pi}{2}\right) = 3$ Maximum	$f\left(\frac{7\pi}{6}\right) = -\frac{3}{2}$ Minimum	$f\left(\frac{3\pi}{2}\right) = -1$	$f\left(\frac{11\pi}{6}\right) = -\frac{3}{2}$ Minimum	$f(2\pi) = -1$

# **3.1** Exercises

See CalcChat.com for tutorial help and worked-out solutions to odd-numbered exercises.

Finding the Value of the Derivative at Relative Extrema In Exercises 1–6, find the value of the derivative (if it exists) at each indicated extremum.



**Approximating Critical Numbers** In Exercises 7–10, approximate the critical numbers of the function shown in the graph. Determine whether the function has a relative maximum, a relative minimum, an absolute maximum, an absolute minimum, or none of these at each critical number on the interval shown.





**Finding Critical Numbers** In Exercises 11–16, find the critical numbers of the function.

<b>11.</b> $f(x) = x^3 - 3x^2$	<b>12.</b> $g(x) = x^4 - 8x^2$
<b>13.</b> $g(t) = t\sqrt{4-t}, t < 3$	<b>14.</b> $f(x) = \frac{4x}{x^2 + 1}$
<b>15.</b> $h(x) = \sin^2 x + \cos x$	<b>16.</b> $f(\theta) = 2 \sec \theta + \tan \theta$
$0 < x < 2\pi$	$0 < \theta < 2\pi$

**Finding Extrema on a Closed Interval** In Exercises 17–36, find the absolute extrema of the function on the closed interval.

**17.** f(x) = 3 - x, [-1, 2]**18.**  $f(x) = \frac{3}{4}x + 2, [0, 4]$ **19.**  $g(x) = 2x^2 - 8x, [0, 6]$ **20.**  $h(x) = 5 - x^2, [-3, 1]$ **21.**  $f(x) = x^3 - \frac{3}{2}x^2, [-1, 2]$ **22.**  $f(x) = 2x^3 - 6x, [0, 3]$ **23.**  $y = 3x^{2/3} - 2x, [-1, 1]$ **24.**  $g(x) = \sqrt[3]{x}, [-8, 8]$ **25.**  $g(t) = \frac{t^2}{t^2 + 3}, [-1, 1]$ **26.**  $f(x) = \frac{2x}{x^2 + 1}, [-2, 2]$ **27.**  $h(s) = \frac{1}{s - 2}, [0, 1]$ **28.**  $h(t) = \frac{t}{t + 3}, [-1, 6]$ **29.** y = 3 - |t - 3|, [-1, 5]**30.** g(x) = |x + 4|, [-7, 1]**31.** f(x) = [x], [-2, 2]**32.** h(x) = [2 - x], [-2, 2]**33.**  $f(x) = \sin x, \left[\frac{5\pi}{6}, \frac{11\pi}{6}\right]$ **34.**  $g(x) = \sec x, \left[-\frac{\pi}{6}, \frac{\pi}{3}\right]$ **35.**  $y = 3\cos x, [0, 2\pi]$ **36.**  $y = \tan\left(\frac{\pi x}{8}\right), [0, 2]$ 

**Finding Extrema on an Interval** In Exercises 37–40, find the absolute extrema of the function (if any exist) on each interval.

<b>37.</b> f	f(x) = 2x - 3	3	<b>38.</b> $f(x) = 5 - x$	
(	(a) [0, 2]	(b) [0, 2)	(a) [1, 4]	(b) [1, 4)
(	(c) (0, 2]	(d) (0, 2)	(c) (1, 4]	(d) (1, 4)
<b>39.</b> f	$f(x) = x^2 - 2$	2x	<b>40.</b> $f(x) = \sqrt{4}$	$x^2$
(	a) [-1, 2]	(b) (1,3]	(a) [-2, 2]	(b) [-2, 0)
(	(c) (0, 2)	(d) [1, 4)	(c) $(-2, 2)$	(d) [1, 2)

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Finding Absolute Extrema In Exercises 41–44, use a graphing utility to graph the function and find the absolute extrema of the function on the given interval.

**41.** 
$$f(x) = \frac{3}{x-1}$$
, (1, 4]  
**42.**  $f(x) = \frac{2}{2-x}$ , [0, 2)  
**43.**  $f(x) = x^4 - 2x^3 + x + 1$ , [-1, 3]  
**44.**  $f(x) = \sqrt{x} + \cos\frac{x}{2}$ , [0,  $2\pi$ ]

Finding Extrema Using Technology In Exercises 45 and 46, (a) use a computer algebra system to graph the function and approximate any absolute extrema on the given interval. (b) Use the utility to find any critical numbers, and use them to find any absolute extrema not located at the endpoints. Compare the results with those in part (a).

**45.** 
$$f(x) = 3.2x^5 + 5x^3 - 3.5x$$
, [0, 1]  
**46.**  $f(x) = \frac{4}{3}x\sqrt{3-x}$ , [0, 3]

Finding Maximum Values Using Technology In Exercises 47 and 48, use a computer algebra system to find the maximum value of |f''(x)| on the closed interval. (This value is used in the error estimate for the Trapezoidal Rule, as discussed in Section 4.6.)

**47.** 
$$f(x) = \sqrt{1 + x^3}$$
,  $[0, 2]$  **48.**  $f(x) = \frac{1}{x^2 + 1}$ ,  $\left[\frac{1}{2}, 3\right]$ 

Finding Maximum Values Using Technology In Exercises 49 and 50, use a computer algebra system to find the maximum value of  $|f^{(4)}(x)|$  on the closed interval. (This value is used in the error estimate for Simpson's Rule, as discussed in Section 4.6.)

**49.** 
$$f(x) = (x + 1)^{2/3}$$
, [0, 2]  
**50.**  $f(x) = \frac{1}{x^2 + 1}$ , [-1, 1]

**51. Writing** Write a short paragraph explaining why a continuous function on an open interval may not have a maximum or minimum. Illustrate your explanation with a sketch of the graph of such a function.





#### WRITING ABOUT CONCEPTS

**Creating the Graph of a Function** In Exercises 53 and 54, graph a function on the interval [-2, 5] having the given characteristics.

- 53. Absolute maximum at x = -2Absolute minimum at x = 1Relative maximum at x = 3
- 54. Relative minimum at x = -1Critical number (but no extremum) at x = 0Absolute maximum at x = 2Absolute minimum at x = 5

**Using Graphs** In Exercises 55–58, determine from the graph whether f has a minimum in the open interval (a, b).



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$$P = VI - RI^2$$

where *V* is the electromotive force in volts, *R* is the resistance in ohms, and *I* is the current in amperes. Find the current that corresponds to a maximum value of *P* in a battery for which V = 12 volts and R = 0.5 ohm. Assume that a 15-ampere fuse bounds the output in the interval  $0 \le I \le 15$ . Could the power output be increased by replacing the 15-ampere fuse with a 20-ampere fuse? Explain.

**60.** Lawn Sprinkler A lawn sprinkler is constructed in such a way that  $d\theta/dt$  is constant, where  $\theta$  ranges between 45° and 135° (see figure). The distance the water travels horizontally is

$$x = \frac{v^2 \sin 2\theta}{32}, \quad 45^\circ \le \theta \le 135^\circ$$

where v is the speed of the water. Find dx/dt and explain why this lawn sprinkler does not water evenly. What part of the lawn receives the most water?



Water sprinkler:  $45^{\circ} \le \theta \le 135^{\circ}$ 

**FOR FURTHER INFORMATION** For more information on the "calculus of lawn sprinklers," see the article "Design of an Oscillating Sprinkler" by Bart Braden in *Mathematics Magazine*. To view this article, go to *MathArticles.com*.

61. Honeycomb The surface area of a cell in a honeycomb is

$$S = 6hs + \frac{3s^2}{2} \left( \frac{\sqrt{3} - \cos \theta}{\sin \theta} \right)$$

where *h* and *s* are positive constants and  $\theta$  is the angle at which the upper faces meet the altitude of the cell (see figure). Find the angle  $\theta$  ( $\pi/6 \le \theta \le \pi/2$ ) that minimizes the surface area *S*.



**FOR FURTHER INFORMATION** For more information on the geometric structure of a honeycomb cell, see the article "The Design of Honeycombs" by Anthony L. Peressini in UMAP Module 502, published by COMAP, Inc., Suite 210, 57 Bedford Street, Lexington, MA.

**62. Highway Design** In order to build a highway, it is necessary to fill a section of a valley where the grades (slopes) of the sides are 9% and 6% (see figure). The top of the filled region will have the shape of a parabolic arc that is tangent to the two slopes at the points *A* and *B*. The horizontal distances from *A* to the *y*-axis and from *B* to the *y*-axis are both 500 feet.



- (a) Find the coordinates of A and B.
- (b) Find a quadratic function  $y = ax^2 + bx + c$  for  $-500 \le x \le 500$  that describes the top of the filled region.
- (c) Construct a table giving the depths d of the fill for x = -500, -400, -300, -200, -100, 0, 100, 200, 300, 400, and 500.
- (d) What will be the lowest point on the completed highway? Will it be directly over the point where the two hillsides come together?

**True or False?** In Exercises 63–66, determine whether the statement is true or false. If it is false, explain why or give an example that shows it is false.

- **63.** The maximum of a function that is continuous on a closed interval can occur at two different values in the interval.
- **64.** If a function is continuous on a closed interval, then it must have a minimum on the interval.
- **65.** If x = c is a critical number of the function *f*, then it is also a critical number of the function g(x) = f(x) + k, where *k* is a constant.
- **66.** If x = c is a critical number of the function f, then it is also a critical number of the function g(x) = f(x k), where k is a constant.
- **67. Functions** Let the function f be differentiable on an interval I containing c. If f has a maximum value at x = c, show that -f has a minimum value at x = c.
- **68. Critical Numbers** Consider the cubic function  $f(x) = ax^3 + bx^2 + cx + d$ , where  $a \neq 0$ . Show that *f* can have zero, one, or two critical numbers and give an example of each case.

#### PUTNAM EXAM CHALLENGE

**69.** Determine all real numbers a > 0 for which there exists a nonnegative continuous function f(x) defined on [0, a] with the property that the region  $R = \{(x, y); 0 \le x \le a, 0 \le y \le f(x)\}$  has perimeter *k* units and area *k* square units for some real number *k*.

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