Fresnel diffraction and fractal patterns from polygonal apertures

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Received April 28, 2006; accepted June 7, 2006; posted June 20, 2006 (Doc. ID 70311)

Two compact analytical descriptions of Fresnel diffraction patterns from polygonal apertures under uniform illumination are detailed. In particular, a simple expression for the diffracted field from constituent edges is derived. These results have fundamental importance as well as specific applications, and they promise new physical insights into diffraction-related phenomena. The usefulness of the formulations is illuminated in the context of a virtual source theory that accounts for two transverse dimensions. This application permits calculation of fractal unstable-resonator modes of arbitrary order and unprecedented accuracy. © 2006 Optical Society of America


1. INTRODUCTION

In scalar diffraction theory, the semi-infinite space beyond an aperture contains two paraxial regions—the near field and the far field—where Fresnel and Fraunhofer theories are valid, respectively. While analytical descriptions of Fraunhofer patterns from regular-polygon apertures have been known for many years,1–3 there appears to be almost no published material on the corresponding Fresnel patterns. The lack of development in this area is reflected in standard textbooks,4–7 where near-field treatments tend to be restricted to considerations of infinite straight edges and of closed apertures with rectangular and circular shapes. In each of these cases, the Fresnel patterns are essentially one-dimensional in character.

In this paper, we present two complementary analytical techniques for calculating the Fresnel diffraction patterns from hard-edged polygonal apertures illuminated by a plane wave. These frameworks are exact, in that they do not involve any further approximation beyond the (paraxial) Fresnel diffraction integral. We consider regular polygonal apertures, but the approaches can be readily extended to describe near-field diffraction from closed apertures of arbitrary shape. Our results are of fundamental importance and have specific applications where standard methods, such as fast Fourier transform (FFT) techniques, fail. For example, in unstable-resonator-mode calculations, both (paraxial beam) ABCD matrix modeling and existing semi-analytical methods can give accurate results only in limited parameter regimes in which the Fresnel number of the resonator is low. Consequently, a complete and detailed study of the fractal laser modes arising from unstable cavities8–13 has not previously been possible. A specific advantage of our formalisms over, for example, FFT-based methods is their ability to calculate the fine details of only a small portion of one, or many, complex diffraction patterns. It is this property that allows us to apply our results in the calculation of fractal laser modes of unprecedented accuracy.

The explicit mathematical form of our results may also lend physical insight into other diffraction-related phenomena in physics; for example, the origins of excess quantum noise in lasers, where the transverse symmetry of the aperturing element has been shown to play a central role in the observed phenomena.14–17 In Fraunhofer theory, the far-field approximation allows diffraction patterns and derivative concepts (for example, holography, filtering, convolution, and coherence) to be expressed in terms of simple Fourier integrals and transform theorems, respectively. Our main results describe the physical and mathematical character of near-field diffraction patterns in terms of their elemental spatial structures (edge waves). It is also plausible that our results could open future doors in the development of derivative concepts in Fresnel optics.

2. THEORY

When a plane monochromatic wave of complex amplitude \( U_0 \) illuminates a hard-edged aperture, the field \( U(x,y) \) in a plane at distance \( L \) beyond the aperture can be expressed as the area integral:

\[
U(x,y) = \frac{k U_0}{2 \pi i L} \int_{\Omega} d\xi d\eta \exp \left\{ \frac{i}{2L} \left[ (x - \xi)^2 + (y - \eta)^2 \right] \right\},
\]

(1)

where \( k \) is the wavenumber of the incident plane wave and \( \Omega \) denotes the aperture area (see Fig. 1). \( (x,y) \) and \( (\xi, \eta) \) are the observation- and aperture-plane coordinate axes, respectively. The paraxial approximation, employed in the derivation of the Fresnel diffraction integral (1), strictly requires the inequality \( L^3 \gg kb^4 / 8 \) to be satisfied, where \( b \) is the largest characteristic length associated with the aperture.

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Within an edge-wave representation of diffraction patterns, the field in the observation plane is regarded as the superposition of the transmitted plane wave and an edge-wave field $E(x,y)$ arising from the boundary of the aperture:

$$U(x,y) = \varepsilon U_0 + E(x,y).$$  

(2)

Here, $\varepsilon$ is equal to unity if the point $(x,y)$ lies within the bright geometrical shadow of the aperture, and is zero if it is outside this region. We now express the edge-wave field in terms of two different formulations to obtain two methods for calculating the resulting Fresnel diffraction patterns. Results are then presented and a brief comparison of the two methods is made.

### A. S-Function Method

Our first approach is based upon exploiting the mathematical framework introduced by Silverman and Strange. We define the dimensionless relative spatial coordinates $u = \sqrt{2/\lambda L}(x - \xi)$ and $v = \sqrt{2/\lambda L}(y - \eta)$ that simplify the Fresnel diffraction integral (1) to

$$U(x,y) = \frac{U_0}{(1 + i)^2} \int_0^1 \int_0^{\infty} \frac{dudv \exp \left[ \frac{i}{2}(u^2 + v^2) \right]}{\chi_1 \chi_2}.$$  

(3)

To facilitate the analytical evaluation of the area integral (3), we introduce the following $S$-function:

$$S(\chi_1, \chi_2) = -1 + \frac{1}{(1 + i)} \int_{\chi_2}^{\chi_1} dv \exp \left( \frac{i}{2} v^2 \right).$$  

(4)

The $\chi_j (j=1,2)$ limits denote the boundary of an infinite slit aperture in one direction. Physically, $S$ represents the edge-wave pattern from this slit when the slit is illuminated by a unit plane wave, and this can be written as a superposition of two components (from the constituent edges):

$$S(\chi_1, \chi_2) = D(\chi_1) + D(-\chi_2),$$  

(5)

where

$$D(\chi_i) = -\frac{i}{1+i} \phi(\chi_i) \exp \left( \frac{i}{2} \chi_i^2 \right),$$  

(6a)

and

$$\phi(\chi_i) = f(\chi_i) + ig(\chi_i).$$  

(6b)

The auxiliary Fresnel functions, $f$ and $g$, are defined through

$$c(\chi_i) = \frac{1}{2} + f(\chi_i) \sin \left( \frac{\pi}{2} \chi_i^2 \right) - g(\chi_i) \cos \left( \frac{\pi}{2} \chi_i^2 \right),$$  

(7a)

$$s(\chi_i) = \frac{1}{2} - f(\chi_i) \cos \left( \frac{\pi}{2} \chi_i^2 \right) - g(\chi_i) \sin \left( \frac{\pi}{2} \chi_i^2 \right),$$  

(7b)

where $c(\chi_i) = \int_0^\chi \cos(\pi \chi^2/2) d\tau$ and $s(\chi_i) = \int_0^\chi \sin(\pi \chi^2/2) d\tau$ are the familiar Fresnel cosine and sine integrals, respectively. The auxiliary Fresnel functions can be evaluated efficiently using rational approximations of the required accuracy. When $\chi_i$ is nonnegative, one may choose

$$f(\chi_i) = \frac{1 + 0.926 \chi_i^2}{2 + 1.792 \chi_i^2 + 3.104 \chi_i^4},$$  

(8a)

$$g(\chi_i) = \frac{1}{2 + 4.142 \chi_i^2 + 3.492 \chi_i^4 + 6.67 \chi_i^6};$$  

(8b)

When $\chi_i < 0$, the auxiliary functions are evaluated using

$$f(-|\chi_i|) = f(|\chi_i|) - 2 \left( c(|\chi_i|) \sin \left( \frac{\pi}{2} \chi_i^2 \right) - s(|\chi_i|) \cos \left( \frac{\pi}{2} \chi_i^2 \right) \right),$$  

(9a)

$$g(-|\chi_i|) = g(|\chi_i|) + 2 \left( c(|\chi_i|) \cos \left( \frac{\pi}{2} \chi_i^2 \right) + s(|\chi_i|) \sin \left( \frac{\pi}{2} \chi_i^2 \right) \right),$$  

(9b)

These relations follow from consideration of the symmetry of the Fresnel integrals. By substituting Eq. (4) into Eq. (3), one obtains

$$U(x,y) = U_0 \left[ 1 + S(u_2, u_1) + \frac{1}{1+i} \int_{u_1}^{u_2} du S[v_1(u), v_2(u)] \exp \left( \frac{i}{2} u^2 \right) \right],$$  

(10)

where $v_1(u)$ and $v_2(u)$ are parametric expressions describing the shape of the aperture in the relative coordinate system (see Fig. 2). The edge-wave field $E(x,y)$ is then given by Eq. (2). In many cases it proves to be more efficient to consider a specific aperture shape as broken down into an assembly of subapertures. Babinet’s principle can then be employed to generate diffraction patterns. Here we focus our attention on apertures that are regular polygons. For a polygon with $N$ sides, the most obvious decom-
position is that involving \( N \) congruent isosceles triangles [Fig. 3(a)], each of which has a diffraction pattern that can be calculated with Eq. (10). Babinet’s principle can then be stated as

\[
U(x, y) = U_0 e + E(x, y),
\]

where

\[
E(x, y) = \sum_{j=1}^{N} E_j(x, y),
\]

For an isosceles triangle [e.g., triangle 1 in Fig. 3(a)] of half-angle \( \theta = \pi/N \), whose vertex is at the origin and whose perpendicular length \( a \) is aligned along the \( \xi \)-axis, the edge-wave contributions are given by

\[
E(x', y') = U_0 \left[ 1 - e^{i \frac{\pi}{2}} S(x', x' - A) \right] + \frac{1}{1 + i} \int_{x'=A}^{x'_{\infty}} du S(w_1, w_2) \exp \left( i \frac{\pi}{2} u^2 \right),
\]

where

\[
w_1(u, x', y', \theta) = y' - (u - x') \tan \theta, \quad (12a)
\]

\[
w_2(u, x', y', \theta) = y' + (u - x') \tan \theta, \quad (12b)
\]

and \( A = a \sqrt{2/3L} \). An intuitive way of generating the edge-wave pattern of each of the other component triangles [e.g., triangles 2, 3, ..., and 8 in Fig. 3(a)] is through rotational transformation. A rotational transform of an angle \( \phi \) about the \( x \)-axis is equivalent to considering the system with new observation-plane coordinates \( x' = x \cos \phi + y \sin \phi \) and \( y' = y \sin \phi - x \cos \phi \).

However, we find that a more efficient approach to the \( N \)-sided polygonal aperture problem is to replace triangle ensembles with combinations of triangles and trapezoids [see Fig. 3(b)]. In cases with an even number of sides, one can also exploit the presence of a central rectangle. For example, calculations for an octagonal aperture require just two integrations—one for each trapezoid on either side of this rectangle. In contrast, adding together eight triangles, each with half-angle \( \theta = \pi/8 \) and with a diffractive contribution resembling Eq. (12), could require eight integrations (one per triangle). Triangle ensembles are therefore not necessarily efficient computational constructs, though the physical symmetry of the problem is more explicitly preserved when they are used.

### B. Line-Integral Method

In this formulation, we define two vectors in complex-number notation, \( p = x + iy \) and \( q = \xi + i \eta \), and recast the Fresnel diffraction integral (1) as

\[
U(p) = \frac{k U_0}{2 \pi L} \int_{i}^{L} d^2 q \exp \left( \frac{i k}{2L} |p - q|^2 \right). \tag{13}
\]

By applying a low-dimensional divergence theorem, Eq. (13) can be transformed from an integral over the planar area of the aperture to one around its simple closed-curve boundary.\(^{20,21}\) The diffraction integral (13) is then given by the circulation,

\[
U(p) = U_0 \left[ \frac{1}{2 \pi \sigma} \oint_{\sigma} \exp \left( \frac{i k}{2L} |q - p|^2 \right) \frac{q - p}{|q - p|^2} \cdot n \, dl \right], \tag{14}
\]

where \( n \) is the unit outward normal vector to the edge (within the aperture plane), \( dl \) is the line element along the edge, and \( \sigma \) denotes the aperture boundary. The parameter \( \varepsilon \) is equal to unity if point \( p \) lies within the bright geometric projection of this aperture, and it is zero if \( p \) is outside this region.

For a polygonal aperture (see Fig. 4), the position of a vertex \( A_j \) is given by the position vector \( q_j \). It is also convenient to define vectors \( L_{p} = q_{j-1} - q_{j} \) and \( L_{q} = q_{j} - q_{j+1} \) denoting the unit outward normal of side \( L_{p} \). The position vector of a general point on the side of length \( L_{p} \) can then be represented as \( q = q_{j} + t L_{p} \), where \( t \) is the distance from the vertex \( A_j \). Using these constructs, it is possible to rewrite Eq. (14) in a form more suitable for describing the diffraction pattern from an \( N \)-sided regular polygon:

\[
U(p) = U_0 \left[ - \sum_{j=1}^{N} L_{p} \sum_{j=1}^{N} I_{j}(q_j, t_j) \right], \tag{15}
\]

where

\[
I_{j}(q_j, t_j) = \int_{0}^{L_{p}} \exp \left( \frac{i k}{2L} |q_j + t L_{p} - p|^2 \right) \frac{q_j + t L_{p} - p}{|q_j + t L_{p} - p|^2} \cdot n_{j} \, dl. \tag{16a}
\]

After some manipulation, Eq. (16a) can be simplified to

Fig. 3. Two schemes for dividing a regular polygon into subapertures: (a) a triangle ensemble, and (b) a combination of other shapes.

Fig. 4. Geometrical constructs used in the formulation of the line-integral method.
Then expressed as

\[
I_j(q_j, t_j) = (q_j - p) \cdot n_j \exp \left( \frac{i k}{2L} ||q_j - p||^2 \right) 
\]

\[
\times \int_{(q_j - p + t_j)}^{(q_j - p)} \frac{dI}{I^2 + ||q_j - p||^2} \exp \left( \frac{k}{2L} I^2 \right).
\]

(16b)

The edge-wave field, in the line-integral representation, is then expressed as

\[
E(p) = \frac{U_0}{2\pi} \sum_{j=1}^{N} I_j(q_j, t_j).
\]

(17)

The physical meaning of Eq. (17) is obvious—the total edge wave from the aperture is a sum of the edge-wave contributions arising from each of the straight edges, of finite length, that make up the aperture. These individual contributions, each represented by a line integral, are of a more involved and general character than the relatively trivial, but more familiar, contributions that arise from straight edges of infinite length. Equation (15), combined with Eq. (16b), can be used to calculate Fresnel diffraction patterns from a polygonal aperture of nonregular shape and with an arbitrary number of sides. The formulation of the diffractive wave contribution from each straight edge of a closed aperture, Eq. (16), is a key result of this paper that invites geometrical interpretation. The relative transverse displacement and orientation of the observation point \( p \) and the \( j \)th edge of the aperture are found to be expressed in terms of new orthogonal coordinates that map perpendicular distance, \( (q_j - p) \cdot n_j \), to the line of the edge and the displacement of apex \( A_j \) from \( p \) along a direction parallel to this edge, \( (q_j - p) \cdot t_j \).

For an \( N \)-sided regular polygonal aperture, one can set

\[
q_j = R \cos(\varphi_0 + 2\pi j/N) + iR \sin(\varphi_0 + 2\pi j/N),
\]

(18a)

\[
p_m = r \cos(\theta_0 + 2\pi m/N) + i r \sin(\theta_0 + 2\pi m/N),
\]

(18b)

where \( \varphi_0 \) and \( \theta_0 \) are arbitrary constants. Then,

\[
(q_j - p_m) \cdot n_j = (q_{i+1} - p_{m+1}) \cdot n_{i+1},
\]

(19c)

and

\[
(q_j - p_m) \cdot t_j = (q_{i+1} - p_{m+1}) \cdot t_{i+1},
\]

(19d)

Substitution of these results into Eq. (15) yields

\[
U(p_m) = U(p_{m+1}).
\]

(20)

demonstrating mathematically that the diffraction pattern of an \( N \)-sided regular polygonal aperture has \( N \)-fold rotational symmetry. Finally, we note that the integrand in Eq. (16b) oscillates more rapidly as \( L \) is decreased. As expected, an accurate computation of the integrals thus requires the number of sampling points to be increased as the observation plane approaches the aperture.

C. Fresnel Diffraction Patterns

The \( S \)-function and line-integral approaches have been used to calculate the diffraction patterns for \( N \)-sided regular-polygonal apertures with \( N = 3 \) to \( N = 10 \). The numerical integrations are calculated using an extended trapezoidal rule. When denoting \( x_0, x_1, \ldots, x_N \) as a sequence of equally spaced positions, separated by a constant step \( h_{i} = x_{i} + \lambda \) and \( i = 1, \ldots, N \), the integration of a function \( f(x) \) in the interval \( [x_0, x_N] \), \( \int_{x_0}^{x_N} f(x)dx \), is approximated as \( h \int_{i}^{i+1} f(x_{i+1} - x_{i})/2 \), where \( f(x) \) is the value of the function at position \( x_i \). For brevity, we present only a selection of patterns: those for the isosceles triangle \( (N = 3) \), the pentagon \( (N = 5) \), the hexagon \( (N = 6) \), and the decahedron \( (N = 10) \). These are shown in Fig. 5. The optical wavelength was chosen to be \( \lambda = 0.5 \mu m \), corresponding to illumination with green light that is readily obtainable from a green laser pointer. It is thus straightforward to reproduce these patterns experimentally. The radial distance \( R \) from the center of the polygon to a circle enclosing the aperture (upon whose circumference all apices lie) is taken as \( R = 1 \) mm, and the distance between aperture and image planes is set to \( L = 100 \) mm (satisfying the paraxiality condition). Figure 5 shows that the pattern acquires an increasing degree of fine structure as \( N \) increases. As predicted by Eq. (20), patterns from \( N \)-sided regular polygonal apertures have \( N \)-fold rotation symmetry. Also, corners with smaller angles tend to contribute more widely diffracted light.

Figure 6 demonstrates typical variation in the Fresnel pattern as the observation plane moves toward the aperture plane. A definition of the Fresnel number \( F_{eff} \) for polygons given in Ref. 22

\[
F_{eff} = \frac{a^2}{\lambda L} + \frac{1}{f(N)},
\]

(21)

where, as earlier, \( a \) is the radius of the inscribed circle of the polygon. Equation (21) contains two terms; the first is the conventional Fresnel number for a circular aperture, and the second has been proposed to account for additional pattern detail arising from the geometrical nature of the aperture, where
For example, \( F_{\text{eff}} \) can vary with either a change in the number of aperture sides (see Fig. 5) or a change in \( L \) for a fixed aperture (see Fig. 6).

D. Comparison of Methods

The diffraction patterns calculated using the \( S \)-function and line-integral approaches have been checked independently using the standard FFT method.\(^{23}\) The three methods have their own distinct advantages and disadvantages.

For a single, complete, and low \( F_{\text{eff}} \) pattern that is sampled with a uniform transverse grid, the FFT approach is most efficient. This is because the other methods can require many numerical integrations. For example, a decahedron aperture many involve four integrations using the \( S \)-function method (assuming appropriate aperture decomposition), while the line-integral method could involve one integration per polygon side. However, FFT methods involve computation of complete diffraction patterns and further require the use of spatial grids that sample a sufficient amount of the dark background surrounding each pattern. When one requires accurate knowledge of the detailed structure of one or many higher \( F_{\text{eff}} \) patterns or sections of high resolution patterns (e.g., dense and/or nonuniform sampling of a small area), or simply calculation of the optical field at a single transverse point, then the efficiency of the other two methods tends to be far greater.

Implementation of the FFT approach in such contexts can also lead to reduced accuracy in the data acquired. Deployment of rational approximations in the \( S \)-function method introduces some truncation errors, but high-accuracy approximations\(^{24,25}\) can be used without entailing great computational overhead. Finally, the numerical accuracy of the line-integral approach, which can be the most time-consuming, is essentially limited only by machine precision.

Our original motivation for the reformulations of the Fresnel diffraction problem was the complete failure of FFT approaches in two-dimensional (2D) transverse unstable-resonator mode calculations when moderate-to-high cavity Fresnel numbers were considered.\(^{20}\) The resolution of this problem, which involves the superposition of sections from very many distinct diffraction patterns of widely varying size, is detailed in the following section.

### 3. EXAMPLE OF APPLICATION

The virtual source (VS) method\(^ {26-30}\) is a semi-analytical technique that unfolds an unstable cavity into a sequence of equivalent virtual apertures. Accurate approximations of the cavity mode profiles can be obtained using a weighted summation of edge waves diffracted from these apertures. In particular, computation of \( 2D \) unstable-cavity eigenmodes using this approach requires knowledge of only sections of the patterns from these aperturing elements. Moreover, the sampling density of the final mode pattern dictates the resolution of each of these pattern sections. FFT methods can be used for calculating edge-wave patterns (as an alternative to Fresnel integral approximations). This works well in one-dimensional VS codes. However, the FFT approach becomes impractical when fully \( 2D \) virtual apertures are involved (due to the demands placed on computer memory and processing time). A distinct advantage over existing (fully numerical) Fox–Li techniques\(^{31}\) for calculating unstable-cavity laser modes is that virtual source approaches enable the simultaneous calculation of a whole family of modes. In contrast, the Fox–Li algorithm needs to be manipulated non-trivially when dealing with different higher-order modes, and in each application only a single pattern can be obtained.\(^ {30}\)

We consider a geometrically unstable resonator with a single polygonal aperturing element whose edge is represented by the equation \( h(\xi, \eta) = 0 \). After the cavity is unfolded, the edge of the \( k \)th virtual aperture of the system can be described by the equation

\[
 h_k = h_k(\xi M^{-k}, \eta M^{-k}) = 0, \tag{23}
\]

where \( M \) is the magnification of the resonator. This virtual source of diffracted waves is located at a longitudinal position \( Z_k \) relative to the center of the aperture, where

\[
 Z_k = BM \frac{M^{2k} - 1}{M^2 - 1}, \tag{24}
\]

and \( B \) is the second element of its \( ABCD \) matrix.\(^ {27-30}\) The mode profile \( V(x, y) \) of the unstable resonator is then represented by the weighted superposition\(^ {27-30}\)

\[
 V(x, y) = e_0 \left[ \frac{E_{N_k+1}(x, y)}{\sigma^N(a - 1) + \sum_{k=1}^N \alpha^{-k} E_k(x, y)} \right], \tag{25}
\]

where \( N_k \) is the number of virtual sources and \( E_k(x, y) \) is the edge wave generated at the \( k \)th aperture; \( E_k(x, y) \) can be calculated by using either the \( S \)-function or line-
integral method, and \((x_c, y_c)\) represents the coordinates of an arbitrary point on the boundary of the system aperture. For polygonal apertures, we choose this to be the point farthest from the center of the aperture. \(e_q\) is the planar field amplitude at the point \((x_c, y_c)\) in the output plane. In Eq. (25), \(\alpha\) is the mode eigenvalue satisfying the polynomial equation

\[
a^{N_s+1} + \sum_{k=0}^{N_s} [E_k(x_c, y_c) - E_{k+1}(x_c, y_c)]a^{N_s-k} = 0, \tag{26}
\]

where \(E_0(x_c, y_c) = -1\). The accuracy of the 2DVS calculation increases as \(N_s \to \infty\). Southwell suggested that to ensure a reliable result, the number of virtual sources must be chosen so that

\[
N_s \geq \frac{\log(250N_{eq})}{\log(M)}
\]

where the equivalent Fresnel number \(N_{eq}\) of an unstable resonator is given by

\[
N_{eq} = \left( \frac{a^2}{\lambda B} \right) \left( \frac{M^2 - 1}{2M} \right)
\]

and \(\lambda\) is the wavelength of the intracavity field. An alternative expression for the required number of virtual apertures is given in Ref. 30.

4. CONCLUSIONS
We have presented two complementary analytical descriptions of Fresnel diffraction patterns from polygonal apertures. Two different, but entirely equivalent, mathematical routes have been taken to formulate this problem, and supporting numerical work has verified that they produce identical results.

The two analytical forms for the edge waves concerned provide a potential physical framework for interpreting diffraction-related phenomena in the Fresnel regime. They also make possible an accurate generalization of Southwell’s virtual source method to include two transverse dimensions. This can allow calculation of 2D eigenmode patterns with arbitrary order and to unprecedented accuracy. Further applications may, for example, be possible in the area of understanding excess quantum noise, where the transverse symmetry of a resonator is known to have a significant effect.

Fig. 7. (Color online) Lowest-order mode of an unstable resonator with triangular aperture \((M=4, N_{eq}=7.4604, R=1\ \text{mm})\).

Fig. 8. (Color online) Lowest-order modes of unstable resonators \((M=1.5, R=1\ \text{mm})\) with (a) triangular \((N_{eq}=12.5)\), (b) pentagonal \((N_{eq}=32.725)\), (c) hexagonal \((N_{eq}=37.5)\), and (d) decahedral \((N_{eq}=45.225)\) apertures. Note that a redefinition of \(a\) to be the radius of the circumcircle of each polygon yields a value of 50 for \(N_{eq}\) in each of these four configurations.
ACKNOWLEDGMENTS

This work is supported by Overseas Research Studentship award 2002035004 and the University of Salford.

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