Bounding the Number of Components of Polynomial Hypersurfaces

Bounding the Number of Components of Polynomial Hypersurfaces

Daniel Smith

UC Berkeley

2011-07-27

Example

A familiar problem: if we have a stationary car whose acceleration is a constant a, and we want to determine how long it will take the car to travel a distance d, we are interested in the solutions of

▲ロト ▲帰ト ▲ヨト ▲ヨト 三日 - の々ぐ

Example

A familiar problem: if we have a stationary car whose acceleration is a constant a, and we want to determine how long it will take the car to travel a distance d, we are interested in the solutions of

$$\frac{1}{2}at^2 - d = 0$$

▲ロト ▲帰ト ▲ヨト ▲ヨト 三日 - の々ぐ

Example

A familiar problem: if we have a stationary car whose acceleration is a constant a, and we want to determine how long it will take the car to travel a distance d, we are interested in the solutions of

$$\frac{1}{2}at^2 - d = 0$$

That is, we are interested in the zero set of $\frac{1}{2}at^2 - d$.

Some Caveats





But often, we're only interested in particular types of zero sets.





- But often, we're only interested in particular types of zero sets.
- And a lot of the time, we have to use numerical methods to find solutions.



- But often, we're only interested in particular types of zero sets.
- And a lot of the time, we have to use numerical methods to find solutions.
- In these cases, it helps to know how many solutions there are.

◆□▶ ◆□▶ ◆三▶ ◆三▶ 三三 のへぐ

Example

Consider the polynomial $f = x^5 - 3x - 1$.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Example

Consider the polynomial $f = x^5 - 3x - 1$.

▶ FTOA: *f* has *exactly* 5 complex roots

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Bounding the Number of Components of Polynomial Hypersurfaces

Example

Consider the polynomial $f = x^5 - 3x - 1$.

- ► FTOA: *f* has *exactly* 5 complex roots
- ► Descartes' rule of signs: there is *at most* 1 real positive root.

Bounding the Number of Components of Polynomial Hypersurfaces

Example

Consider the polynomial $f = x^5 - 3x - 1$.

- ▶ FTOA: *f* has *exactly* 5 complex roots
- ▶ Descartes' rule of signs: there is *at most* 1 real positive root.



▲□▶ ▲□▶ ▲□▶ ▲□▶ ▲□ ● ● ●

Example

Consider the polynomial $f = x^5 - 3x - 1$.

- FTOA: f has exactly 5 complex roots
- ► Descartes' rule of signs: there is *at most* 1 real positive root.



Idea: we can tell when to stop looking if we know how many roots there are.

Bounding the Number of Components of Polynomial Hypersurfaces

Notation Given $\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n$ and $\mathbf{a} = (a_1, \dots, a_n) \in \mathbb{R}^n$, we define $\mathbf{x}^a = x_1^{a_1} \cdots x_n^{a_n}$

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Bounding the Number of Components of Polynomial Hypersurfaces

Notation Given $\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n$ and $\mathbf{a} = (a_1, \dots, a_n) \in \mathbb{R}^n$, we define $\mathbf{x}^a = x_1^{a_1} \cdots x_n^{a_n}$

Example

We can write

$$x_1^2 + 2x_1x_2 + 3x_2^2$$

Notation Given $\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n$ and $\mathbf{a} = (a_1, \dots, a_n) \in \mathbb{R}^n$, we define $\mathbf{x}^a = x_1^{a_1} \cdots x_n^{a_n}$

Example

We can write

$$x_1^2 + 2x_1x_2 + 3x_2^2$$

as

$$x^{a_1} + 2x^{a_2} + 3x^{a_3}$$

where $a_1 = (2,0)$, $a_2 = (1,1)$, and $a_3 = (0,2)$.

For our purposes, we'll use the following definition of a polynomial:

Definition

An *n*-variate *m*-nomial is a polynomial in *n* variables with *m* terms, that is, a function $f : \mathbb{R}^n \to \mathbb{R}$ of the form

$$f = \sum_{i=1}^{m} c_i \mathbf{x}^{a_i}$$

where $c_i \in \mathbb{R}$, $\mathbf{x} = (x_1, \ldots, x_n) \in \mathbb{R}^n$, and $a_i = (a_{i,1}, \ldots, a_{i,n}) \in \mathbb{Z}^n$.

(日) (日) (日) (日) (日) (日) (日) (日)

For our purposes, we'll use the following definition of a polynomial:

Definition

An *n*-variate *m*-nomial is a polynomial in *n* variables with *m* terms, that is, a function $f : \mathbb{R}^n \to \mathbb{R}$ of the form

$$f=\sum_{i=1}^m c_i \mathbf{x}^{a_i}$$

where $c_i \in \mathbb{R}$, $\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n$, and $a_i = (a_{i,1}, \dots, a_{i,n}) \in \mathbb{Z}^n$.

Example

 $f = 5x_1x_2^2 + 7x_2 + 3x_1^4 - 8x_1^3x_2 - x_2^5$ is a 2-variate 5-nomial.

・ロト ・ 日本・ 小田 ・ 小田 ・ 今日・

And now for the objects of our interest:

Definition

The **positive real zero set** of a polynomial $f : \mathbb{R}^n \to \mathbb{R}$ is the set $Z_+(f) = \{\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n : x_i > 0 \text{ and } f(\mathbf{x}) = 0\}.$

And now for the objects of our interest:

Definition

The **positive real zero set** of a polynomial $f : \mathbb{R}^n \to \mathbb{R}$ is the set $Z_+(f) = \{\mathbf{x} = (x_1, \dots, x_n) \in \mathbb{R}^n : x_i > 0 \text{ and } f(\mathbf{x}) = 0\}.$

For polynomials in one variable, these are finite (unless the polynomial itself is 0). For multivariate polynomials, though, this need not be true.

Bounding the Number of Components of Polynomial Hypersurfaces



◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 の�?



The connected components are the distinct curves in this set. Compact components are closed and bounded.



► For univariate polynomials, Descartes' rule of signs.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 の�?

- ► For univariate polynomials, Descartes' rule of signs.
- ► Khovanskii [2] gives a bound around 2^(m-1)₂(2n³)ⁿ⁻¹ for connected components.

< □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > <

- ► For univariate polynomials, Descartes' rule of signs.
- ► Khovanskii [2] gives a bound around 2^(m-1)₂(2n³)ⁿ⁻¹ for connected components.
- ▶ Bihan & Sottile [1] give a bound around $2^{\binom{m-n-1}{2}}(m-n-1)n^{m-n-2}$ for *compact* components.

< □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > <

- ► For univariate polynomials, Descartes' rule of signs.
- Khovanskii [2] gives a bound around 2^(m-1)₂(2n³)ⁿ⁻¹ for connected components.
- ▶ Bihan & Sottile [1] give a bound around $2^{\binom{m-n-1}{2}}(m-n-1)n^{m-n-2}$ for *compact* components.

But these are huge.



Khovanskii: 1024



◆□▶ ◆□▶ ◆三▶ ◆三▶ 三三 のへぐ

- Khovanskii: 1024
- Bihan & Sottile: 9 (though actually they reduce it to 5)

- Khovanskii: 1024
- Bihan & Sottile: 9 (though actually they reduce it to 5)

And these still seem to high



▲ロト ▲帰 ト ▲ ヨ ト ▲ ヨ ト ・ ヨ ・ の Q ()

Can we be any more precise?



Can we be any more precise?

Yes.

Can we be any more precise?

Yes.

Viro diagrams are diffeotopic to positive real zero sets in certain conditions.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

In order to tell, we have to look at \mathcal{A} -discriminant amoebae.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Example

Consider
$$f = \frac{21}{20} - x^2y + x^3y^2 - x^4y^4 + \frac{3}{4000}x^5$$
.
The \mathcal{A} -discriminant amoeba is

In order to tell, we have to look at \mathcal{A} -discriminant amoebae.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 の�?

Example

Consider
$$f = \frac{21}{20} - x^2y + x^3y^2 - x^4y^4 + \frac{3}{4000}x^5$$
.
The \mathcal{A} -discriminant amoeba is



In order to tell, we have to look at \mathcal{A} -discriminant amoebae.

Example

Consider
$$f = \frac{21}{20} - x^2y + x^3y^2 - x^4y^4 + \frac{3}{4000}x^5$$
.
The \mathcal{A} -discriminant amoeba is



◆□▶ ◆□▶ ◆三▶ ◆三▶ 三三 少へ⊙

Example Plotting the Viro diagram gives us

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Bounding the Number of Components of Polynomial Hypersurfaces

Example

Plotting the Viro diagram gives us



Example

Plotting the Viro diagram gives us



And the zero set is as above.

Unfortunately, this doesn't always work.

Unfortunately, this doesn't always work.

Example

Take $g = x^4y^2 - x^2y^4 - 3x^2y - 9xy^2 + 22$. Its viro diagram is

▲ロト ▲帰 ト ▲ ヨ ト ▲ ヨ ト ・ ヨ ・ の Q ()



Unfortunately, this doesn't always work.

Example

Take $g = x^4y^2 - x^2y^4 - 3x^2y - 9xy^2 + 22$. Its viro diagram is



And here the zero set doesn't match.

Bounding the Number of Components of Polynomial Hypersurfaces

Back to bounds

So we look for bounds again.

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 のへぐ

Back to bounds

So we look for bounds again. Perrucci [3] found a way to bound compact components of 2-variate 4-nomials.

◆□▶ ◆□▶ ◆三▶ ◆三▶ 三三 のへぐ

(ロ)、(型)、(E)、(E)、 E) の(の)

◆□▶ ◆□▶ ◆臣▶ ◆臣▶ 臣 の�?





▲□▶ ▲圖▶ ★ 国▶ ★ 国▶ - 国 - のへで



Using this method, we are working to improve the bound on 2-variate 5-nomials to less than 5.

Acknowledgments

Thanks to Dr. Rojas for guidance, background, and introducing this project.

Thanks to Korben Rusek for help; thanks to Daniel Perrucci, Frédérick Bihan and Frank Sottile, whose papers gave ideas for approaching this situation.

Thanks to Texas A&M University for hosting this REU program.

< □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > <

References I

[1] Frédéric Bihan and Frank Sottile.

New fewnomial upper bounds from gale dual polynomial systems.

Moscow Mathematics Journal, 7(3):387–407, 2007.

[2] Askold Khovanskii.

A class of systems of transcendental equations. Dokl. Akad. Nauk. SSSR, 255(4):804–807, 1980.

[3] Daniel Perrucci.

Some bounds for the number of components of real zero sets of sparse polynomials.

Discrete and Computational Geometry, 34(3):475-495, 2005.