

# FASTER REAL FEASIBILITY AND DISCRIMINANT COMPLEXITY



Frederic Bihan  
Université de Savoie

J. Maurice Rojas\*  
Texas A&M University

Casey E. Stella  
ION



\*Partially supported by NSF CAREER grant DMS-0349309.

# MAIN QUESTION

*Can one compute, in time polynomial in the **sparse** size, an integer that is, with high probability, the number of connected components of the real zero set of a random input polynomial?*

# MAIN QUESTION

*Can one compute, in time polynomial in the **sparse** size, an integer that is, with high probability, the number of connected components of the real zero set of a random input polynomial?*

We take a step toward a positive answer through our results...

# WARM-UP...

Suppose you want to find the exact number of positive roots of

$$1 - 2x^{196418} + x^{317811} \dots$$

# THE RIGHT TOOL?

Suppose you want to find the exact number of positive roots of

$$1 - 2x^{196418} + x^{317811} \dots$$

Let's compare

**Sturm Sequences** and **Discriminant Chambers...**

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$
$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$



# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

⋮

$$f_{26} := [674206 \text{ digit number}] + [674209 \text{ digit number}]x^{610}$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

⋮

$$f_{26} := [674206 \text{ digit number}] + [674209 \text{ digit number}]x^{610}$$

⋮

$$f_{37} := \text{Out of Memory Error!}$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

⋮

$$f_{26} := [674206 \text{ digit number}] + [674209 \text{ digit number}]x^{610}$$

⋮

$$f_{37} := \text{Out of Memory Error!}$$

⋮

$$f_{58} := 0$$

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

⋮

$$f_{26} := [674206 \text{ digit number}] + [674209 \text{ digit number}]x^{610}$$

⋮

$$f_{37} := \text{Out of Memory Error!}$$

⋮

$$f_{58} := 0$$

...now count sign alternations in  $(f_0(t), f_1(t), \dots, f_{57}(t))$  for  $t=0$  and  $t=+\infty$ , and then subtract. (Should get **2** here.)

# STURM SEQUENCES...

$$f_0 := 1 - 2x^{196418} + x^{317811}$$

$$f_1 := f_0' = -392836x^{196417} + 317811x^{317810}$$

$$f_2 := -\text{rem}(f_0/f_1) = -317811 + 242786x^{196418}$$

$$f_3 := -\text{rem}(f_1/f_2) = -101003831721x^{121392} + 95375081096x^{196417}$$

⋮

$$f_{26} := [674206 \text{ digit number}] + [674209 \text{ digit number}]x^{610}$$

⋮

$$f_{37} := \text{Out of Memory Error!}$$

⋮

$$f_{58} := 0$$

Can we attain complexity polynomial in  $\log(\text{degree})$ ?

**YES!**

# THEOREM 1

[Bihan-Rojas-Stella] *Fix  $n$ . Then for any “honest”  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .*



# THEOREM 1

[Bihan-Rojas-Stella] *Fix  $n$ . Then for any “honest”  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .*

**Note:**

**Input size** := # of bits needed to write monomial term expansion.

e.g., **Size** $(a + b + cx_1^D x_2^D) = O(\log(a) + \log(b) + \log(c) + \log(D))$

# THEOREM 1

[Bihan-Rojas-Stella] *Fix  $n$ . Then for any “honest”  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .*

**Note:** All earlier algorithms (even much more general results of Basu, Gabrielov, and Zell) yield singly exponential time at best.

# KEY TRICK FOR $n = 1$

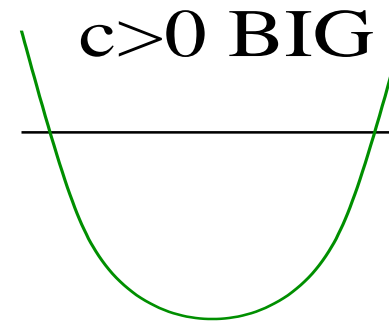
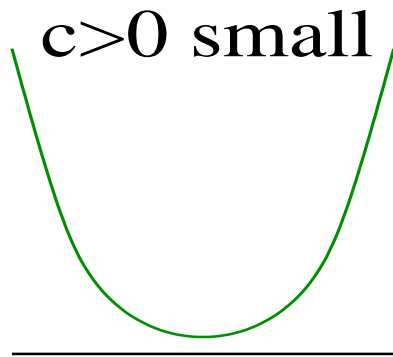
Look at the graph of

$$f(x_1) := 1 - cx_1^d + x_1^D \quad (0 < d < D) \dots$$

# KEY TRICK FOR $n = 1$

Look at the graph of

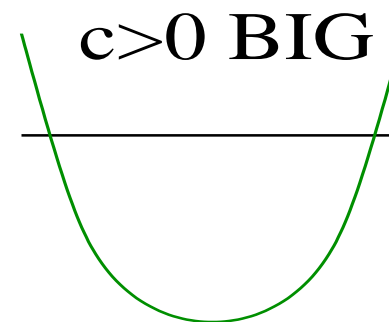
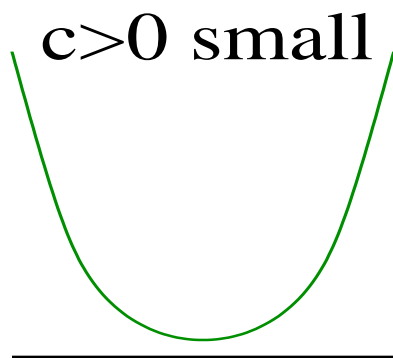
$$f(x_1) := 1 - cx_1^d + x_1^D \quad (0 < d < D)$$



# BASIC CALCULUS

Look at the graph of

$$f(x_1) := 1 - cx_1^d + x_1^D \quad (0 < d < D)$$

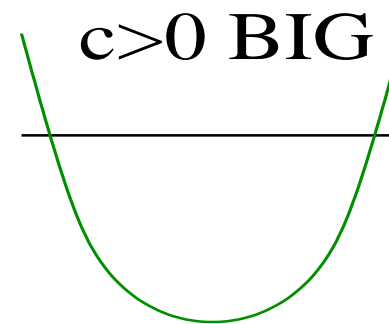
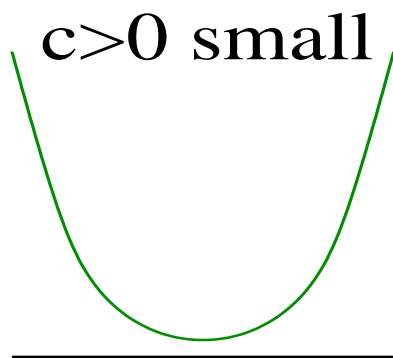


$f = f' = 0$  has a root  $\zeta \in \mathbb{C} \setminus \{0\} \iff [1, c\zeta^d, \zeta^D]^T$  is  
a right-null vector for  $\begin{bmatrix} 1 & 1 & 1 \\ 0 & d & D \end{bmatrix} \dots$

# BASIC CALCULUS

Look at the graph of

$$f(x_1) := 1 - cx_1^d + x_1^D \quad (0 < d < D)$$



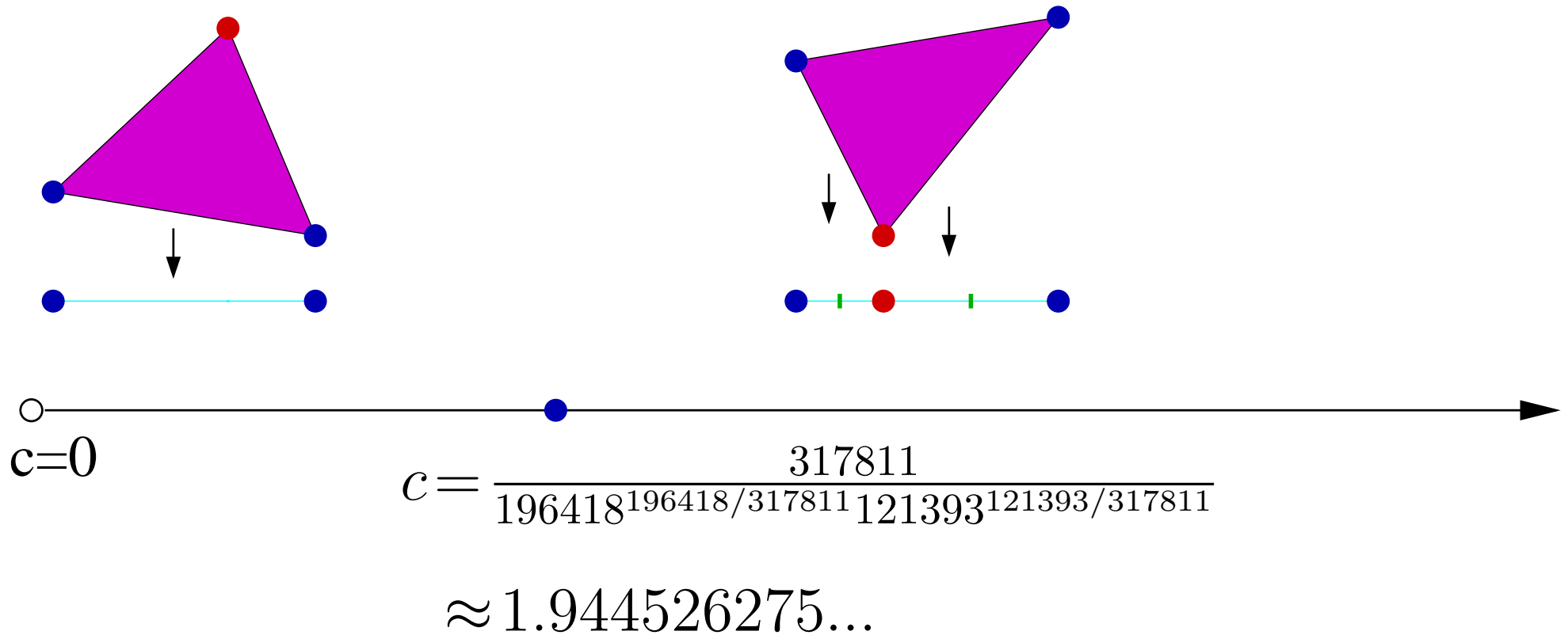
$f = f' = 0$  has a root  $\zeta \in \mathbb{C} \setminus \{0\} \iff$   
 $\Delta_{\{0,d,D\}}(f) := \left(\frac{1}{D-d}\right)^{D-d} \left(\frac{-c}{-D}\right)^{-D} \left(\frac{1}{d}\right)^d - 1$  vanishes!

# $b^2 - 4ac \longrightarrow \mathcal{A}$ -DISCRIMINANTS

We call any connected component of the **complement** of

$$\{c \in \mathbb{R} \setminus \{0\} \mid \bar{\Delta}_{\{0,d,D\}}(c) = 0\}$$

a **(reduced) discriminant chamber**.



# $b^2 - 4ac$ ON STEROIDS

So you can decide whether

$$1 - cx^{196418} + x^{317811}$$

has 0, 1, or 2 positive roots, just by checking whether

$196418^{196418} 121393^{121393} c^{317811} - 317811^{317811}$  is  $< 0$ ,  $= 0$ , or  $> 0$ ...



# $b^2 - 4ac$ ON STEROIDS

So you can decide whether

$$1 - cx^{196418} + x^{317811}$$

has 0, 1, or 2 positive roots, just by checking whether

$196418^{196418} 121393^{121393} c^{317811} - 317811^{317811}$  is  $< 0$ ,  $= 0$ , or  $> 0$ .

...and the preceding condition = checking the sign of  $196418 \log(196418) + 121393 \log(121393) + 317811 \log(c) - 317811 \log(317811)$ .

# DIOPHANTINE SIDE

So you can decide whether

$$1 - cx^{196418} + x^{317811}$$

has 0, 1, or 2 positive roots, just by checking whether

$196418^{196418} 121393^{121393} c^{317811} - 317811^{317811}$  is  $< 0$ ,  $= 0$ , or  $> 0$ .

...and the preceding condition = checking the sign of  $196418 \log(196418) + 121393 \log(121393) + 317811 \log(c) - 317811 \log(317811)$ , which can be done in polynomial time via **Baker's Theorem on Linear Forms in Logarithms!**

# DIOPHANTINE SIDE

So you can decide whether

$$1 - cx^{196418} + x^{317811}$$

has 0, 1, or 2 positive roots, just by checking whether

$196418^{196418} 121393^{121393} c^{317811} - 317811^{317811}$  is  $< 0$ ,  $= 0$ , or  $> 0$ .

...and the preceding condition = checking the sign of  $196418 \log(196418) + 121393 \log(121393) + 317811 \log(c) - 317811 \log(317811)$ , which can be done in polynomial time via **Baker's Theorem on Linear Forms in Logarithms!**

...and, availing to **Morse Theory**, this generalizes to arbitrary

$n$ ...

# TRIVARIATE EXAMPLE

Consider

$$c_1 + c_2 x_1^{999} + c_3 x_1^{73} x_3 + c_4 x_2^{2009} + c_5 x_1^{2009} x_2^{6027} x_3^{18081} \dots$$

# TRIVARIATE EXAMPLE

Consider

$$f(x) := c_1 + c_2 x_1^{999} + c_3 x_1^{73} x_3 + c_4 x_2^{2009} + c_5 x_1^{2009} x_2^{6027} x_3^{18081}$$

Then  $Z_+(f)$  has topology varying according to...

# TRIVARIATE EXAMPLE

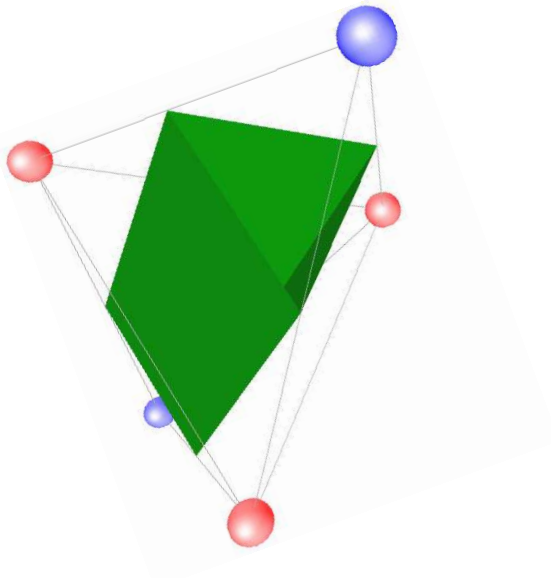
Consider

$$f(x) := c_1 + c_2 x_1^{999} + c_3 x_1^{73} x_3 + c_4 x_2^{2009} + c_5 x_1^{2009} x_2^{6027} x_3^{18081}$$

Then  $Z_+(f)$  has topology varying according to

$$16747013 \log(16747013) + 1317904 \log(1317904) + 999 \log(999) + 18062919 \log(c_3) + 2997 \log(c_4) \\ - 18062919 \log(18062919) - 2997 \log(2997) - 16747013 \log(c_1) - 1317904 \log(c_2) - 999 \log(c_5)$$

being positive...



# TRIVARIATE EXAMPLE

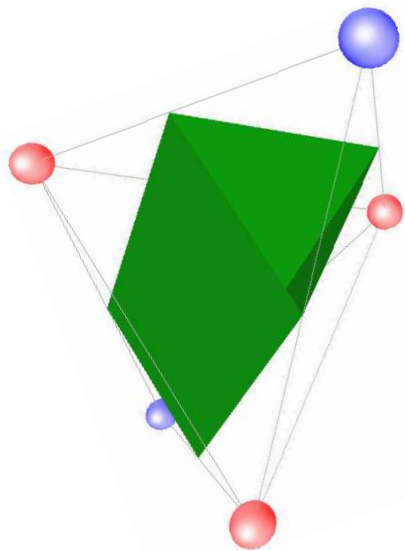
Consider

$$f(x) := c_1 + c_2 x_1^{999} + c_3 x_1^{73} x_3 + c_4 x_2^{2009} + c_5 x_1^{2009} x_2^{6027} x_3^{18081}$$

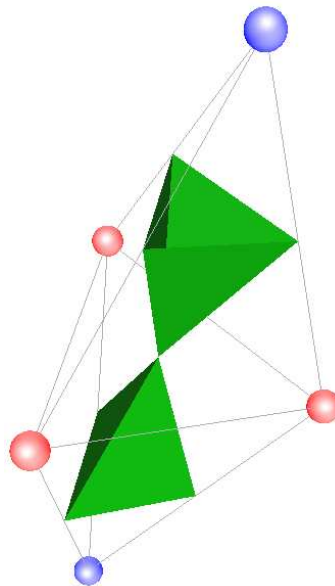
Then  $Z_+(f)$  has topology varying according to

$$16747013 \log(16747013) + 1317904 \log(1317904) + 999 \log(999) + 18062919 \log(c_3) + 2997 \log(c_4) \\ - 18062919 \log(18062919) - 2997 \log(2997) - 16747013 \log(c_1) - 1317904 \log(c_2) - 999 \log(c_5)$$

being positive...



zero...



# TRIVARIATE EXAMPLE

Consider

$$f(x) := c_1 + c_2 x_1^{999} + c_3 x_1^{73} x_3 + c_4 x_2^{2009} + c_5 x_1^{2009} x_2^{6027} x_3^{18081}$$

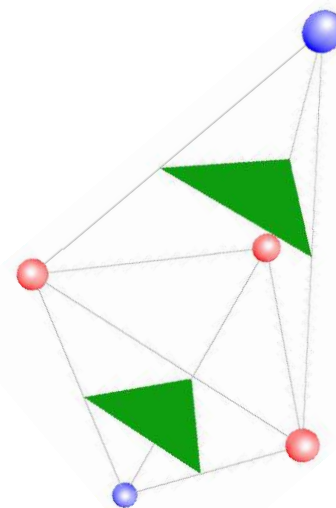
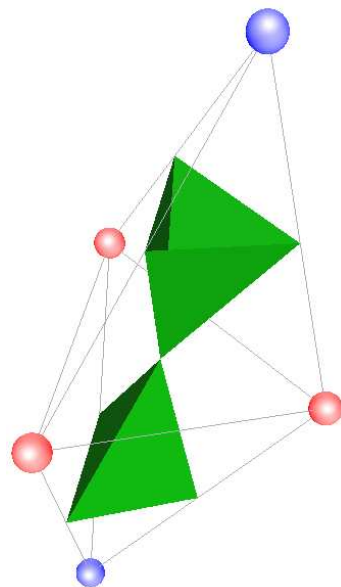
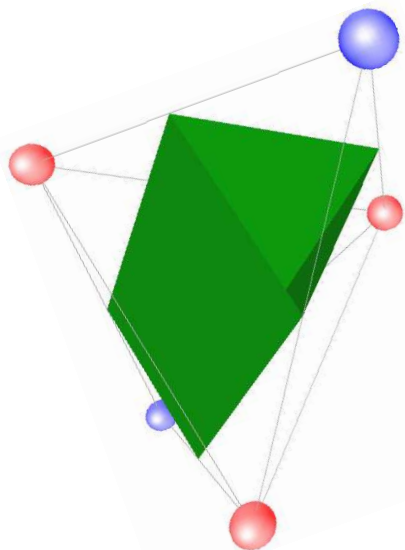
Then  $Z_+(f)$  has topology varying according to

$$16747013 \log(16747013) + 1317904 \log(1317904) + 999 \log(999) + 18062919 \log(c_3) + 2997 \log(c_4) \\ - 18062919 \log(18062919) - 2997 \log(2997) - 16747013 \log(c_1) - 1317904 \log(c_2) - 999 \log(c_5)$$

being positive...

zero...

or negative.





# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP.

1. Let  $P := \text{Conv}\mathcal{A}$ ...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP.
1. Let  $P := \text{Conv}\mathcal{A}$ .
2. If  $\mathcal{A} \cap \text{RelInt}P = \emptyset$  and the  $c_i$  do **not** all have the same sign, then say ‘ ‘Non-empty!’ ’ and STOP...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP.
1. Let  $P := \text{Conv}\mathcal{A}$ .
2. If  $\mathcal{A} \cap \text{RelInt}P = \emptyset$  and the  $c_i$  do **not** all have the same sign, then say ‘ ‘Non-empty!’ ’ and STOP.
3. If there is an  $(i, j)$  with  $c_i c_j < 0$  and  $a_i, a_j \in \partial P$  then say ‘ ‘Non-empty!’ ’ and STOP...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP.
1. Let  $P := \text{Conv}\mathcal{A}$ .
2. If  $\mathcal{A} \cap \text{RelInt}P = \emptyset$  and the  $c_i$  do **not** all have the same sign, then say ‘ ‘Non-empty!’ ’ and STOP.
3. If there is an  $(i, j)$  with  $c_i c_j < 0$  and  $a_i, a_j \in \partial P$  then say ‘ ‘Non-empty!’ ’ and STOP.
4. Check if  $\Delta_{\mathcal{A}}(f) \stackrel{?}{=} 0$ ...

# THE ALGORITHM

Given  $f(x) := \sum_{i=1}^{n+2} c_i x^{a_i}$  with  $\mathcal{A} := \{a_1, \dots, a_{n+2}\}$  of cardinality

$n + 2$  and  $\begin{bmatrix} 1 & \cdots & 1 \\ & \mathcal{A} & \end{bmatrix}$  of rank  $n$ ...

0. If the  $c_i$  all have the same sign then say ‘ ‘Empty!’ ’ and STOP.
1. Let  $P := \text{Conv}\mathcal{A}$ .
2. If  $\mathcal{A} \cap \text{RelInt}P = \emptyset$  and the  $c_i$  do **not** all have the same sign, then say ‘ ‘Non-empty!’ ’ and STOP.
3. If there is an  $(i, j)$  with  $c_i c_j < 0$  and  $a_i, a_j \in \partial P$  then say ‘ ‘Non-empty!’ ’ and STOP.
4. Check if  $\Delta_{\mathcal{A}}(f) \stackrel{?}{=} 0$ ...
5. Check if  $s_f \Delta_{\mathcal{A}}(f) \stackrel{?}{>} 0$ ...

# HIGH PROBABILITY?

**Corollary 1** *For uniformly distributed sign, you can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{NC}^2$  on a fraction of  $1 - \frac{1}{2^{n+2}}$  of the inputs, even if  $n$  is not fixed a priori!*



# HIGH PROBABILITY?

**Corollary 1** *For uniformly distributed sign, you can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{NC}^2$  on a fraction of  $1 - \frac{1}{2^{n+2}}$  of the inputs, even if  $n$  is not fixed a priori!*

Other improvements?

# DIOPHANTINE REFINEMENT

[Bihan-Rojas-Stella] *Fix  $n$ . Then for any “honest”  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .*

**Corollary 2** [Rojas, 2008] *Assuming **Baker’s refinement of the abc-Conjecture**, we have polynomiality in  $n$  as well!*

# DIOPHANTINE REFINEMENT

**Corollary 2** [*Rojas, 2008*] Assume **Baker's refinement of the abc-Conjecture**. Then for any  $n$  and any "honest"  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .

## Baker's Refined abc-Conjecture (1998)

Let  $N(s) := \prod_{p|s \text{ and } p \text{ prime}} p$  for any integer  $s \dots$

# DIOPHANTINE REFINEMENT

**Corollary 2** [*Rojas, 2008*] Assume **Baker's refinement of the abc-Conjecture**. Then for any  $n$  and any "honest"  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .

## Baker's Refined abc-Conjecture (1998)

Let  $N(s) := \prod_{p|s \text{ and } p \text{ prime}} p$  for any integer  $s$  and define  $\omega(s) := \#\{p : p|s \text{ and } p \text{ prime}\} \dots$

# DIOPHANTINE REFINEMENT

**Corollary 2** [*Rojas, 2008*] Assume **Baker's refinement of the abc-Conjecture**. Then for any  $n$  and any "honest"  $n$ -variate  $(n + 2)$ -nomial  $f$ , one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .

## Baker's Refined abc-Conjecture (1998)

Let  $N(s) := \prod_{p|s \text{ and } p \text{ prime}} p$  for any integer  $s$  and define

$\omega(s) := \#\{p : p|s \text{ and } p \text{ prime}\}$ . Then for any  $a, b, c \in \mathbb{N}$  with  $a + b = c$  and no common factor, we have

$$c = O\left(\frac{\log^{\omega(abc)} N(abc)}{\omega(abc)!} N(abc)\right).$$

# DIOPHANTINE REFINEMENT

**Corollary 2** [*Rojas, 2008*] Assume **Baker's refinement of the abc-Conjecture**. Then... *...one can decide  $Z_+(f) \stackrel{?}{=} \emptyset$  in  $\mathbf{P}$ .*

## **Baker's Refined abc-Conjecture (1998)**

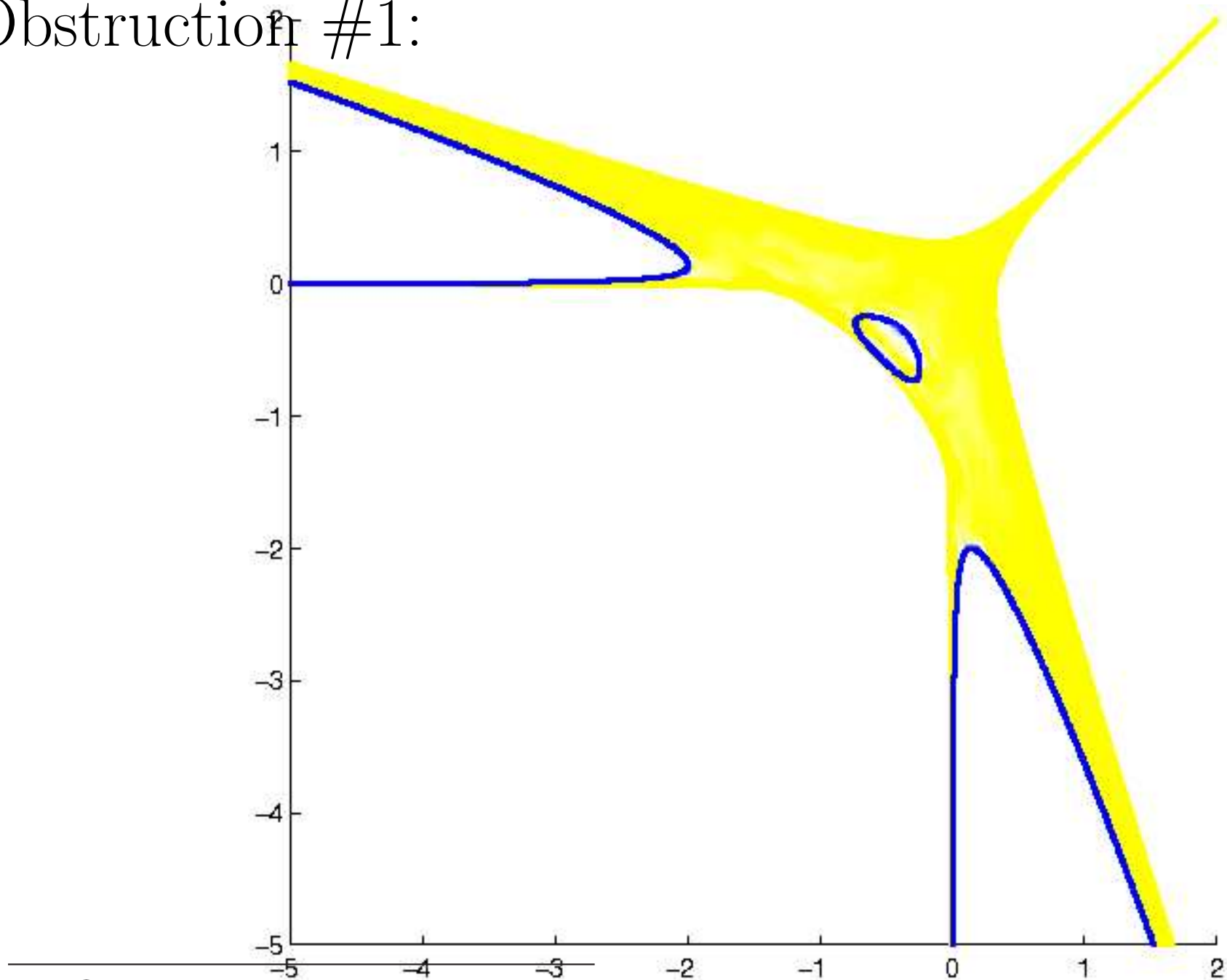
Let  $N(s) := \prod_{p|s \text{ and } p \text{ prime}} p$  and define  $\omega(s) := \#\{p : p|s \text{ and } p \text{ prime}\}$ . Then for any  $a, b, c \in \mathbb{N}$  with  $a + b = c$  and no common factor, we have

$$c = O\left(\frac{\log^{\omega(abc)} N(abc)}{\omega(abc)!} N(abc)\right).$$

**Note:** **Baker's Refined abc-Conjecture** implies: (1) Effective Falting's Theorem [Elkies '91], (2) Effective Roth's Theorem [Bombieri '94, Surroca '07], (3) non-existence of Siegel zeroes for certain  $L$ -functions [Granville '00]. Conversely, suitably sharp versions of (1) or (2) imply variants of abc! [Surroca '07, van Frankenhuisen '07]

# $n$ -VARIATE $(n + 3)$ -NOMIALS?

Obstruction #1:





Thank you for listening!

Please see...

[www.math.tamu.edu/~rojas](http://www.math.tamu.edu/~rojas)

for on-line papers and further information.