

# Polyhedral Methods to Solve Polynomial Systems I: computing pure dimensional solution sets

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# Outline

- 1 Introduction
  - solving polynomial systems
- 2 Solving Binomial Systems
  - unimodular coordinate transformations
  - computation of the degree and affine sets
- 3 Polyhedral Methods for Solution Curves
  - looking for power series as solutions
  - pretropisms and initial forms
- 4 Application to the Cyclic  $n$ -Roots Problem
  - a tropical version of Backelin's Lemma

# Solving Polynomial Systems by Polyhedral Methods I

## 1 Introduction

- solving polynomial systems

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## 4 Application to the Cyclic $n$ -Roots Problem

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# polynomial systems

Consider  $\mathbf{f}(\mathbf{x}) = \mathbf{0}$ , a system of equations defined by

- $N$  polynomials  $\mathbf{f} = (f_0, f_1, \dots, f_{N-1})$ ,
- in  $n$  variables  $\mathbf{x} = (x_0, x_1, \dots, x_{n-1})$ .

A polynomial in  $n$  variables consists of a vector of nonzero complex coefficients with corresponding exponents in  $A$ :

$$f_k(\mathbf{x}) = \sum_{\mathbf{a} \in A_k} c_{\mathbf{a}} \mathbf{x}^{\mathbf{a}}, \quad c_{\mathbf{a}} \in \mathbb{C} \setminus \{0\}, \quad \mathbf{x}^{\mathbf{a}} = x_0^{a_0} x_1^{a_1} \cdots x_{n-1}^{a_{n-1}}.$$

Input data:

- 1  $A = (A_0, A_1, \dots, A_{N-1})$  are sets of exponents, the *supports*.  
For  $\mathbf{a} \in \mathbb{Z}^n$ , we consider *Laurent* polynomials,  $f_k \in \mathbb{C}[\mathbf{x}^{\pm 1}]$   
 $\Rightarrow$  only solutions with coordinates in  $\mathbb{C}^* = \mathbb{C} \setminus \{0\}$  matter.
- 2  $\mathbf{c}_A = (\mathbf{c}_{A_0}, \mathbf{c}_{A_1}, \dots, \mathbf{c}_{A_{N-1}})$  are vectors of complex coefficients.  
Although  $A$  is exact, the coefficients may be approximate.

# solving systems – input/output specification

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Although  $A$  is exact, the coefficients may be approximate.

Output data:

*What do we want to know?*

- 1 For dimension zero:
  - 1 the number of isolated solutions, match a generic bound?
  - 2 approximations for the coordinates, regular or singular?
- 2 For positive dimension:
  - 1 the dimensions and the degrees of the solution sets?
  - 2 power series developments as approximations for the solutions?

## four influential publications

- D.N. Bernshteĭn. **The number of roots of a system of equations.** *Functional Anal. Appl.*, 9(3):183–185, 1975.
- J. Richter-Gebert, B. Sturmfels, and T. Theobald. **First steps in tropical geometry.** *Contemporary Mathematics* 377:289–317, AMS, 2005.
- T. Bogart, A.N. Jensen, D. Speyer, B. Sturmfels, and R.R. Thomas: **Computing tropical varieties.** *Journal of Symbolic Computation* 42(1): 54–73, 2007.
- A.N. Jensen, H. Markwig, and T. Markwig. **An algorithm for lifting points in a tropical variety.** *Collectanea Mathematica*, 59(2):129–165, 2008.

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# binomial systems

## Definition

A **binomial system** has exactly two monomials with nonzero coefficient in every equation.

The binomial equation  $c_a \mathbf{x}^{\mathbf{a}} - c_b \mathbf{x}^{\mathbf{b}} = 0$ ,  $\mathbf{a}, \mathbf{b} \in \mathbb{Z}^n$ ,  $c_a, c_b \in \mathbb{C} \setminus \{0\}$ , has normal representation  $\mathbf{x}^{\mathbf{a}-\mathbf{b}} = c_b/c_a$ .

A binomial system of  $N$  equations in  $n$  variables is then defined by an exponent matrix  $A \in \mathbb{Z}^{N \times n}$  and a coefficient vector  $\mathbf{c} \in (\mathbb{C}^*)^N$ :  $\mathbf{x}^A = \mathbf{c}$ .

Solutions of binomial systems are monomial maps.

- 1 A unimodular coordinate transformation provides a monomial parametrization for the solution set.
- 2 Finding all solutions with zero coordinates can happen via a generalized permanent calculation.



## an example

Consider as an example for  $\mathbf{x}^A = \mathbf{c}$  the system

$$\begin{cases} x_0^2 x_1 x_2^4 x_3^3 - 1 = 0 \\ x_0 x_1 x_2 x_3 - 1 = 0 \end{cases} \quad A = \begin{bmatrix} 2 & 1 & 4 & 3 \\ 1 & 1 & 1 & 1 \end{bmatrix}^T \quad \mathbf{c} = \begin{bmatrix} 1 \\ 1 \end{bmatrix}.$$

As basis of the null space of  $A$  we can for example take  $\mathbf{u} = (-3, 2, 1, 0)$  and  $\mathbf{v} = (-2, 1, 0, 1)$ .

The vectors  $\mathbf{u}$  and  $\mathbf{v}$  are tropisms for a two dimensional algebraic set.

Placing  $\mathbf{u}$  and  $\mathbf{v}$  in the first two rows of a matrix  $M$ , extended so  $\det(M) = 1$ , we obtain a coordinate transformation,  $\mathbf{x} = \mathbf{y}^M$ :

$$M = \begin{bmatrix} -3 & 2 & 1 & 0 \\ -2 & 1 & 0 & 1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \end{bmatrix} \quad \begin{cases} x_0 = y_0^{-3} y_1^{-2} y_2 \\ x_1 = y_0^2 y_1 y_3 \\ x_2 = y_0 \\ x_3 = y_1. \end{cases}$$

## monomial transformations

By construction, as  $A\mathbf{u} = \mathbf{0}$  and  $A\mathbf{v} = \mathbf{0}$ :

$$MA = \begin{bmatrix} -3 & 2 & 1 & 0 \\ -2 & 1 & 0 & 1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \end{bmatrix} \begin{bmatrix} 2 & 1 \\ 1 & 1 \\ 4 & 1 \\ 3 & 1 \end{bmatrix} = \begin{bmatrix} 0 & 0 \\ 0 & 0 \\ 2 & 1 \\ 1 & 1 \end{bmatrix} = B.$$

The corresponding monomial transformation  $\mathbf{x} = \mathbf{y}^M$  performed on  $\mathbf{x}^A = \mathbf{c}$  yields  $\mathbf{y}^{MA} = \mathbf{y}^B = \mathbf{c}$ , eliminating the first two variables:

$$\begin{cases} y_2^2 y_3 - 1 = 0 \\ y_2 y_3 - 1 = 0. \end{cases}$$

Solving this reduced system gives values  $z_2$  and  $z_3$  for  $y_2$  and  $y_3$ . Leaving  $y_0$  and  $y_1$  as parameters  $t_0$  and  $t_1$  we find as solution

$$(x_0 = z_2 t_0^{-3} t_1^{-2}, x_1 = z_3 t_0^2 t_1, x_2 = t_0, x_3 = t_1).$$

# unimodular coordinate transformations

## Definition

A **unimodular coordinate transformation**  $\mathbf{x} = \mathbf{y}^M$  is determined by an invertible matrix  $M \in \mathbb{Z}^{n \times n}$ :  $\det(M) = \pm 1$ .

For a  $d$  dimensional solution set of a binomial system:

- 1 The null space of  $A$  gives  $d$  tropisms, stored in the rows of a  $d$ -by- $n$ -matrix  $B$ .
- 2 Compute the Smith normal form  $S$  of  $B$ :  $UBV = S$ .
- 3 There are three cases:
  - 1  $U = I \Rightarrow M = V^{-1}$
  - 2 If  $U \neq I$  and  $S$  has ones on its diagonal, then extend  $U^{-1}$  with an identity matrix to form  $M$ .
  - 3 Compute the Hermite normal form  $H$  of  $B$

and let  $D$  be the diagonal elements of  $H$ , then  $M = \begin{bmatrix} D^{-1} \cdot B \\ \mathbf{0} & I \end{bmatrix}$ .

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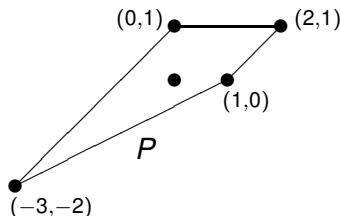
## computation of the degree

To compute the degree of  $(x_0 = z_2 t_0^{-3} t_1^{-2}, x_1 = z_3 t_0^2 t_1, x_2 = t_0, x_3 = t_1)$  we use two random linear equations:

$$\begin{cases} c_{10}x_0 + c_{11}x_1 + c_{12}x_2 + c_{13}x_3 + c_{14} = 0 \\ c_{20}x_0 + c_{21}x_1 + c_{22}x_2 + c_{23}x_3 + c_{24} = 0 \end{cases}$$

after substitution:

$$\begin{cases} c'_{10}t_0^{-3}t_1^{-2} + c'_{11}t_0^2t_1 + c_{12}t_0 + c_{13}t_1 + c_{14} = 0 \\ c'_{20}t_0^{-3}t_1^{-2} + c'_{21}t_0^2t_1 + c_{22}t_0 + c_{23}t_1 + c_{24} = 0 \end{cases}$$



### Theorem (Koushnirenko's Theorem)

*If all  $n$  polynomials in  $\mathbf{f}$  share the same Newton polytope  $P$ , then the number of isolated solutions of  $\mathbf{f}(\mathbf{x}) = \mathbf{0}$  in  $(\mathbb{C}^*)^n \leq$  the volume of  $P$ .*

As the area of the Newton polygon equals 8, the surface has degree 8.

## an application: adjacent minors

All adjacent 2-by-2 minors of a general 2-by-4 matrix:

$$X = \begin{bmatrix} x_{11} & x_{12} & x_{13} & x_{14} \\ x_{21} & x_{22} & x_{23} & x_{24} \end{bmatrix} \quad \mathbf{f}(\mathbf{x}) = \begin{cases} x_{11}x_{22} - x_{21}x_{12} = 0 \\ x_{12}x_{23} - x_{22}x_{13} = 0 \\ x_{13}x_{24} - x_{23}x_{14} = 0 \end{cases}$$

which has

- one 5-dimensional solution of degree four, with all its components different from zero; and
- two affine solutions, each of degree two.

Three references:

- *Lattice Walks and Primary Decomposition*, by Diaconis, Eisenbud, and Sturmfels, 1998.
- *Combinatorics of binomial primary decomposition*, by Dickenstein, Matusevich, and Miller, 2010.
- *Affine solution sets of sparse polynomial systems*, by Herrero, Jeronimo, and Sabia, 2012.

## affine solution sets

An incidence matrix  $M$  of a bipartite graph:

$$\mathbf{f}(\mathbf{x}) = \begin{cases} x_{11}x_{22} - x_{21}x_{12} = 0 \\ x_{12}x_{23} - x_{22}x_{13} = 0 \end{cases} \quad M[\mathbf{x}^a, x_k] = \begin{cases} 1 & \text{if } a_k > 0 \\ 0 & \text{if } a_k = 0. \end{cases}$$

Meaning of  $M[\mathbf{x}^a, x_k] = 1$ :  $x_k = 0 \Rightarrow \mathbf{x}^a = 0$ .

The matrix linking monomials to variables is

$$M[\mathbf{x}^a, x_k] = \begin{array}{c|cccccc} & x_{11} & x_{12} & x_{13} & x_{21} & x_{22} & x_{23} \\ \hline x_{11}x_{22} & 1 & 0 & 0 & 0 & 1 & 0 \\ x_{21}x_{12} & 0 & 1 & 0 & 1 & 0 & 0 \\ x_{12}x_{23} & 0 & 1 & 0 & 0 & 0 & 1 \\ x_{22}x_{13} & 0 & 0 & 1 & 0 & 1 & 0 \end{array} .$$

Observe: overlapping columns  $x_{12}$  with  $x_{22}$  gives all ones.

# enumerating all candidate affine solution sets

Apply row expansion on the matrix

$$M[\mathbf{x}^a, x_k] = \left[ \begin{array}{c|cccccc} & x_{11} & x_{12} & x_{13} & x_{21} & x_{22} & x_{23} \\ \hline x_{11}x_{22} & 1 & 0 & 0 & 0 & 1 & 0 \\ x_{21}x_{12} & 0 & 1 & 0 & 1 & 0 & 0 \\ x_{12}x_{23} & 0 & 1 & 0 & 0 & 0 & 1 \\ x_{22}x_{13} & 0 & 0 & 1 & 0 & 1 & 0 \end{array} \right].$$

- Selecting 1 means setting the corresponding variable to zero.
- Monomials must be considered in pairs: if one monomial in an equation vanishes, then so must the other one.
- For all affine sets, we must skip pairs of rows, preventing from certain variables to be set to zero.
- To decide whether one candidate set  $C_1$  belongs to another set  $C_2$ , we construct the defining equations  $I(C_1)$  and  $I(C_2)$  and apply  $C_1 \subseteq C_2 \Leftrightarrow I(C_1) \supseteq I(C_2)$ .



## running times in seconds on adjacent minors

$n$	$2^{n-1}$	#maps	search	witness
3	4	2	0.00	0.03
4	8	3	0.00	0.16
5	16	5	0.00	0.68
6	32	8	0.00	2.07
7	64	13	0.01	7.68
8	128	21	0.01	28.10
9	256	34	0.02	71.80
10	512	55	0.05	206.01
11	1024	89	0.10	525.46
12	2048	144	0.24	—
13	4096	233	0.57	—
14	8192	377	1.39	—
15	16384	610	3.33	—
16	32768	987	8.57	—
17	65536	1597	21.36	—
18	131072	2584	55.95	—
19	262144	4181	140.84	—
20	524288	6765	372.62	—
21	1048576	10946	994.11	—

- For a general 2-by- $n$  matrix, consider adjacent 2-by-2 minors.
- The degree of the solution set is  $2^{n-1}$ , for  $2n$  variables.
- The number of irreducible factors is the  $n$ -th Fibonacci number. This number equals #maps.
- Times are in seconds, on 1 core of a 3.49GHz Linux workstation. Times are  $< 1,000$  seconds.
- The “witness” column times the computation of  $2^{n-1}$  generic points.
- The “search” column times the computation of all monomial maps.
- Conclusion: it works!

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# the cyclic 4-roots problem

$$\mathbf{f}(\mathbf{x}) = \begin{cases} x_0 + x_1 + x_2 + x_3 = 0 \\ x_0x_1 + x_1x_2 + x_2x_3 + x_3x_0 = 0 \\ x_0x_1x_2 + x_1x_2x_3 + x_2x_3x_0 + x_3x_0x_1 = 0 \\ x_0x_1x_2x_3 - 1 = 0 \end{cases}$$

- The cyclic  $n$ -roots system is a benchmark in computer algebra.
- Its solutions are important in the study of biunimodular vectors.
- Haagerup: for prime  $p$ , there are  $\binom{2p-2}{p-1}$  isolated roots.
- Backelin: for  $n = \ell m^2$ , there are infinitely many cyclic  $n$ -roots.
- Björck and Saffari conjecture: if  $n$  is not divisible by a square, then the set of cyclic  $n$ -roots is finite.

# power series as solutions

If we expect that

$$\mathbf{f}(\mathbf{x}) = \begin{cases} x_0 + x_1 + x_2 + x_3 = 0 \\ x_0x_1 + x_1x_2 + x_2x_3 + x_3x_0 = 0 \\ x_0x_1x_2 + x_1x_2x_3 + x_2x_3x_0 + x_3x_0x_1 = 0 \\ x_0x_1x_2x_3 - 1 = 0 \end{cases}$$

has a solution curve, then we look for solutions of the form

$$x_0 = t^{v_0}, x_1 = c_1 t^{v_1} (1 + O(t)), x_2 = c_2 t^{v_2} (1 + O(t)), x_3 = c_3 t^{v_3} (1 + O(t)),$$

where

- the leading exponents  $v_0, v_1, v_2,$  and  $v_3$  are integer numbers; and
- the leading coefficients  $c_1, c_2,$  and  $c_3$  are *nonzero* complex coefficients.

## conditions on the exponents

We can compute the exponents of the power series solutions, *before* computing the coefficients.

For example, for cyclic 4-roots, substituting the series

$$x_0 = t^{v_0}, x_1 = c_1 t^{v_1} (1 + O(t)), x_2 = c_2 t^{v_2} (1 + O(t)), x_3 = c_3 t^{v_3} (1 + O(t)),$$

into the last equation:

$$x_0 x_1 x_2 x_3 - 1 = 0$$

leads to

$$c_1 c_2 c_3 t^{v_0+v_1+v_2+v_3} (1 + O(t)) - 1 = 0.$$

For all coefficients to be nonzero:  $c_1 c_2 c_3 - 1 = 0$  is equivalent to

$$v_0 + v_1 + v_2 + v_3 = 0.$$

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## initial forms

Substituting  $x_k = c_k t^{v_k} (1 + O(t))$  into  $f(\mathbf{x}) = \sum_{\mathbf{a} \in A} c_{\mathbf{a}} \mathbf{x}^{\mathbf{a}}$  leads to

$$\begin{aligned} f(x_0 = t^{v_0}, x_1 = c_1 t^{v_1} (1 + O(t)), \dots, x_{n-1} = c_{n-1} t^{v_{n-1}} (1 + O(t))) \\ &= \sum_{\mathbf{a} \in A} (t^{v_0})^{a_0} (c_1 t^{v_1} (1 + O(t)))^{a_1} \cdots (c_{n-1} t^{v_{n-1}} (1 + O(t)))^{a_{n-1}} \\ &= \sum_{\mathbf{a} \in A} (c_1^{a_1} \cdots c_{n-1}^{a_{n-1}}) t^{\underbrace{v_0 a_0 + v_1 a_1 + \cdots + v_{n-1} a_{n-1}}_{= \langle \mathbf{v}, \mathbf{a} \rangle}} (1 + O(t)) \end{aligned}$$

### Definition

For  $\mathbf{v} \neq \mathbf{0}$ , and a polynomial  $f$  supported on  $A$ , **the initial form**  $\text{in}_{\mathbf{v}}(f)$  is

$$\text{in}_{\mathbf{v}}(f)(\mathbf{x}) = \sum_{\langle \mathbf{v}, \mathbf{a} \rangle = m_{\mathbf{v}}(A)} c_{\mathbf{a}} \mathbf{x}^{\mathbf{a}}, \quad m_{\mathbf{v}}(A) = \min_{\mathbf{a} \in A} \langle \mathbf{v}, \mathbf{a} \rangle.$$

## curves of cyclic 4-roots

$$\mathbf{f}(\mathbf{x}) = \begin{cases} x_0 + x_1 + x_2 + x_3 = 0 \\ x_0x_1 + x_1x_2 + x_2x_3 + x_3x_0 = 0 \\ x_0x_1x_2 + x_1x_2x_3 + x_2x_3x_0 + x_3x_0x_1 = 0 \\ x_0x_1x_2x_3 - 1 = 0 \end{cases}$$

One tropism  $\mathbf{v} = (+1, -1, +1, -1)$  with  $\text{in}_{\mathbf{v}}(\mathbf{f})(\mathbf{z}) = \mathbf{0}$ :

$$\text{in}_{\mathbf{v}}(\mathbf{f})(\mathbf{x}) = \begin{cases} x_1 + x_3 = 0 \\ x_0x_1 + x_1x_2 + x_2x_3 + x_3x_0 = 0 \\ x_1x_2x_3 + x_3x_0x_1 = 0 \\ x_0x_1x_2x_3 - 1 = 0. \end{cases}$$

We look for solutions of the form

$$(x_0 = t^{+1}, x_1 = z_1t^{-1}, x_2 = z_2t^{+1}, x_3 = z_3t^{-1}).$$



## solving the initial form system

Substitute  $(x_0 = t^{+1}, x_1 = z_1 t^{-1}, x_2 = z_2 t^{+1}, x_3 = z_3 t^{-1})$ :

$\text{in}_{\mathbf{v}}(\mathbf{f})(x_0 = t^{+1}, x_1 = z_1 t^{-1}, x_2 = z_2 t^{+1}, x_3 = z_3 t^{-1})$

$$= \begin{cases} (1 + z_2)t^{+1} = 0 \\ z_1 + z_1 z_2 + z_2 z_3 + z_3 = 0 \\ (z_1 z_2 + z_3 z_1)t^{+1} = 0 \\ z_1 z_2 z_3 - 1 = 0. \end{cases}$$

We find two solutions:  $(z_1 = -1, z_2 = -1, z_3 = +1)$   
and  $(z_1 = +1, z_2 = -1, z_3 = -1)$ .

Two space curves  $(t, -t^{-1}, -t, t^{-1})$  and  $(t, t^{-1}, -t, -t^{-1})$   
satisfy the entire cyclic 4-roots system.

# overview of our polyhedral methods

- finding pretropisms and solving initial forms

Initial forms with at least two monomials in every equation define the intersection points of the solution set with the coordinate hyperplanes.

- unimodular coordinate transformations

Via the Smith normal form we obtain nice representations for solutions at infinity.

Solutions of binomial systems are monomial maps.

- computing terms of power series

Although solutions to any initial forms may be monomial maps, in general we need more terms in the power series expansion to distinguish between

- ▶ a positive dimensional solution set, and
- ▶ an isolated solution at infinity.

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# a tropical version of Backelin's Lemma

## Lemma (Tropical Version of Backelin's Lemma, CASC 2013)

For  $n = m^2\ell$ , where  $\ell \in \mathbb{N} \setminus \{0\}$  and  $\ell$  is no multiple of  $k^2$ , for  $k \geq 2$ , there is an  $(m-1)$ -dimensional set of cyclic  $n$ -roots, represented exactly as

$$\begin{aligned}x_{km+0} &= u^k t_0 \\x_{km+1} &= u^k t_0 t_1 \\x_{km+2} &= u^k t_0 t_1 t_2 \\&\vdots \\x_{km+m-2} &= u^k t_0 t_1 t_2 \cdots t_{m-2} \\x_{km+m-1} &= \gamma u^k t_0^{-m+1} t_1^{-m+2} \cdots t_{m-3}^{-2} t_{m-2}^{-1}\end{aligned}$$

for  $k = 0, 1, 2, \dots, \ell m - 1$ , free parameters  $t_0, t_1, \dots, t_{m-2}$ , constants  $u = e^{\frac{i2\pi}{m\ell}}$ ,  $\gamma = e^{\frac{i\pi\beta}{m\ell}}$ , with  $\beta = (\alpha \bmod 2)$ , and  $\alpha = m(m\ell - 1)$ .

## one polyhedral cone for cyclic 16-roots

For cyclic 16-roots, there is a *three* dimensional solution set.  
The rays in the tropical version of Backelin's Lemma are

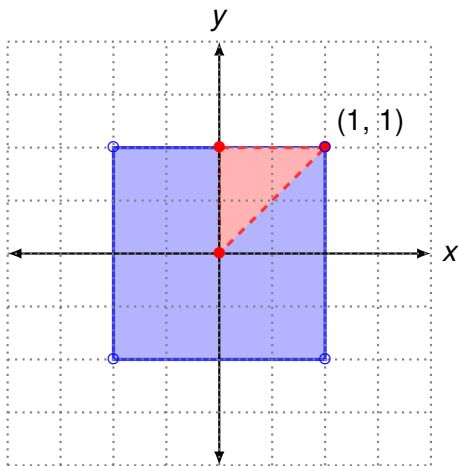
$$\begin{aligned}(1, 1, 1, -3, 1, 1, 1, -3, 1, 1, 1, -3, 1, 1, 1, -3), \\ (0, 1, 1, -2, 0, 1, 1, -2, 0, 1, 1, -2, 0, 1, 1, -2), \\ (0, 0, 1, -1, 0, 0, 1, -1, 0, 0, 1, -1, 0, 0, 1, -1).\end{aligned}$$

Based on the tropical prevariety (PASCO 2017), the cone spanned by the rays above are contained in the relative interior of a cone spanned by the following *four* rays:

$$\begin{aligned}(1, 1, 1, -3, 1, 1, 1, -3, 1, 1, 1, -3, 1, 1, 1, -3), \\ (-1, -1, 3, -1, -1, -1, 3, -1, -1, -1, 3, -1, -1, -1, 3, -1), \\ (1, -1, 1, -1, 1, -1, 1, -1, 1, -1, 1, -1, 1, -1, 1, -1), \\ (-1, 1, 1, -1, -1, 1, 1, -1, -1, 1, 1, -1, -1, 1, 1, -1).\end{aligned}$$

## one polyhedral cone for cyclic 16-roots – continued

Every ray in the interior of the two polyhedral cones defines the *same* initial form system.



# conclusions

*Sparse polynomial systems may have sparse solution sets.*

- Solution sets of binomial systems are monomial maps.
- Interested in a solution set of dimension  $d$ ?  
→ Examine the initial form systems defined by the cones in the tropical prevariety of dimension  $d$ .
- Solution curves are represented by power series:
  - ▶ The leading powers of the series define initial form systems.
  - ▶ The leading coefficients of the power series are solutions of the initial form systems.
- Encouraging results for the cyclic  $n$ -roots problem.