

# Reconstruction algorithms for sums of affine powers

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- ① Algebraic Complexity
- ② Models
- ③ Structural results
- ④ Tools
- ⑤ Algorithms
- ⑥ The multivariate case

Motivation: algebraic complexity

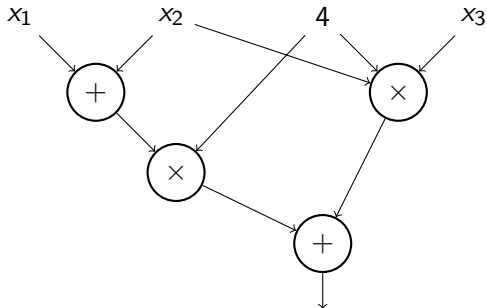
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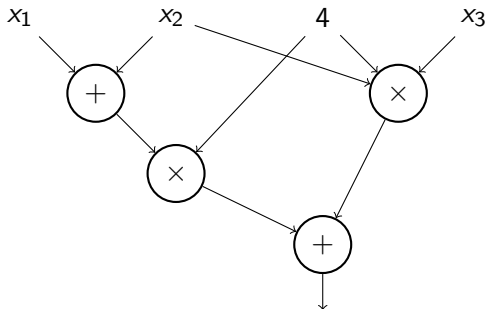


Figure: Circuit computing the polynomial  $4(x_1 + x_2) + 4x_2x_3$ .

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- Models: formula, straight-line programs, circuits, ...

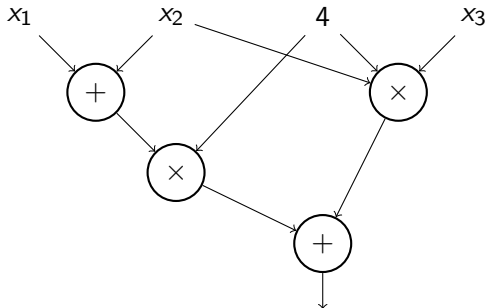


Figure: Circuit computing the polynomial  $4(x_1 + x_2) + 4x_2x_3$ .

- Hardness in the case of circuits: *depth* and *size*.





## Definition (VP)

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## Example

$$\text{DET}_n(X) = \sum_{\sigma \in S_n} \text{sgn}(\sigma) \prod_{i=1}^n x_{i,\sigma(i)}$$

## Definition (VNP)

The class VNP consists of all families of polynomials  $\{f_n\}$  such that there exists a family  $\{g_n\}$  in VP with:

$$f_n(x_1, \dots, x_{k(n)}) = \sum_{w \in \{0,1\}^{p(n)}} g_{p(n)}(x_1, \dots, x_{k(n)}, w_1, \dots, w_{p(n)})$$

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PERM is VNP-complete.

# Models of interest

Let  $\mathbb{F}$  be any characteristic zero field. We consider  $f$  an **univariate** polynomial with **coefficients in  $\mathbb{F}$** , this is,  $f \in \mathbb{F}[x]$ .



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Model (Univariate  $\Sigma \wedge \Sigma$ )

$$\sum_{i=1}^k \alpha_i (x - a_i)^{e_i} \quad \text{with } \alpha_i, a_i \in \mathbb{F}$$

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A polynomial can be written in many ways in this model, for example  $f = 10x^4 + 20x^2 + 2 \in \mathbb{R}[x]$  can be written as:

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$$\begin{aligned} f &= 10(x-0)^4 + 20(x-0)^2 + 2(x-0)^0 = \\ &= (x+1)^5 - (x-1)^5 \end{aligned}$$

For  $f \in \mathbb{F}[x]$ ,

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$$\text{AffPow}_{\mathbb{K}}(f) := \min \left\{ k : f(x) = \sum_{i=1}^k \alpha_i (x - a_i)^{e_i} \quad \text{with } \alpha_i, a_i \in \mathbb{K} \right\}$$

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In fact,  $\text{AffPow}_{\mathbb{R}}(f) = 2$ .

### Model (Sparsest shift)

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### Model (Waring decomposition)

$$f(x) = \sum_{i=1}^s \alpha_i (x - a_i)^d \text{ where } d = \deg(f)$$

$f = (x + 1)^5 - (x - 1)^5$  is not a Waring decomposition!



# Goal: reconstruction algorithms

## Problem

Given a polynomial  $f \in \mathbb{F}[x]$ , compute the exact value  $s = \text{AffPow}_{\mathbb{F}}(f)$  and a decomposition with  $s$  terms.

$$f = \sum_{i=0}^d f_i x^i$$



**Algorithm**



$$\text{AffPow}(f) = s$$

$$f = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i}$$

# Structural results

Structural results

Real polynomials

## Theorem (Koiran, Garcia-Marco'15)

Consider a polynomial identity of the form:

$$\sum_{i=1}^k \alpha_i (x - a_i)^{e_i} = 0$$

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Define  $n_e := \#\{e_i : e_i \leq e\}$ .

If  $2n_e < \lceil (e + 3)/2 \rceil$  for all  $e \in \mathbb{N}$ , then  $\text{AffPow}_{\mathbb{R}}(f) = s$  and the optimal representation of  $f$  is unique.

- Let  $f = (x + 1)^d - (x - 1)^d + i(x + i)^d - i(x - i)^d \in \mathbb{R}[X]$ .  
 $\text{AffPow}_{\mathbb{C}}(f) \leq 4$  but  $\text{AffPow}_{\mathbb{R}}(f) = \lfloor (d + 1)/4 \rfloor$ .



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- Orthogonality of Waring rank and sparsest shift:  
For  $f \in \mathbb{R}[X]$ ,

$$\text{Waring}_{\mathbb{R}}(f) + \text{Sparsest}_{\mathbb{R}}(f) \geq \frac{d + 3}{2}$$

except if  $f = \alpha(x - a)^d$ .

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- $2\text{Waring}_{\mathbb{R}}(f) \geq \text{Waring}_{\mathbb{R}}(f) + \text{AffPow}_{\mathbb{R}}(f) \geq \frac{d+3}{2}$ ,  
except if  $\text{Waring}_{\mathbb{R}}(f) = \text{AffPow}_{\mathbb{R}}(f)$ .

Structural results

Characteristic zero

## Proposition

*Consider a polynomial identity of the form:*

$$\sum_{i=1}^k \alpha_i (x - a_i)^{e_i} = 0$$

*with  $(a_i, e_i) \neq (a_j, e_j)$  for all  $i \neq j$ , and  $\alpha_i \neq 0$ .*

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# An unexpected consequence

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## Proposition

If  $f$  is a **generic** polynomial, then  $\text{AffPow}_{\mathbb{F}}(f) = \left\lceil \frac{d+1}{2} \right\rceil$

# Characteristic zero

- Let  $f = (x + 1)^d - dx^{d-1}$ .  $\text{AffPow}_{\mathbb{C}}(f) = 2$  but  $\text{Waring}_{\mathbb{C}}(f) \geq d - 1$  and  $\text{Sparsest}_{\mathbb{C}}(f) \geq (d + 1)/2$ .

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- This is tight for

$$f = \sum_{j=1}^{\sqrt{d}} (x + \xi^j)^d = \sqrt{d} \sum_{\substack{0 \leq i \leq d \\ i \equiv 0 \pmod{\sqrt{d}}}} \binom{d}{i} x^{d-i}$$

where  $\xi$  is a  $\sqrt{d}$ -th primitive root of unity:

$$\text{Waring}_{\mathbb{C}}(f) \leq \sqrt{d} \text{ and } \text{Sparsest}_{\mathbb{C}}(f) \leq \lceil (d + 1)/\sqrt{d} \rceil.$$

The tool: Shifted Differential Equations

## Definition (SDE)

A **SDE( $k$ )** is an order  $k$  differential equation

$$\sum_{i=0}^k P_i(x) g^{(i)}(x) = 0$$

where  $P_i \in \mathbb{F}[x]$  is a polynomial of degree  $\deg P_i \leq i$ .

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## Remark

$f$  satisfies an **SDE( $k$ )**



$\{x^j f^{(i)}(x) : 0 \leq i \leq k, 0 \leq j \leq i\}$  is  $\mathbb{F}$ -linearly dependent.



## An example

Let  $f = x^d + x^{d-1}$ . The polynomials:

$$\left. \begin{aligned} f &= x^d + x^{d-1} \\ f' &= d x^{d-1} + (d-1) x^{d-2} \\ x f' &= d x^d + (d-1) x^{d-1} \\ f'' &= d(d-1) x^{d-2} + (d-1)(d-2) x^{d-3} \\ x f'' &= d(d-1) x^{d-1} + (d-1)(d-2) x^{d-2} \\ x^2 f'' &= d(d-1) x^d + (d-1)(d-2) x^{d-1} \end{aligned} \right\}$$

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so  $f$  satisfies the following SDE(2):

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## Proposition

*If  $f(x) = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i}$ , then  $f$  satisfies an SDE( $2s - 1$ ), which is also satisfied by the  $(x - a_i)^{e_i}$ 's.*

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Therefore,  $C_k((x - a)^e) \leq k + 1$ .

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It is enough to have

$$s(k + 1) < \frac{(k + 1)(k + 2)}{2}$$



# Algorithms

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- 2 **Find the solutions of the SDE of the form  $(x - a)^e$ .**
- 3 **Write  $f$  as a linear combination of these solutions**  
(and hope it is the good one)

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Issue:

What if we do not find the 'good' SDE?

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Some issues:

- How large should  $e$  be?  $\Rightarrow$  **solved by the unexpected corollary**
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Some issues:

- What if there are several solutions?
- How do we find the “shortest one”?

Distinct nodes

Large exponents

## Lemma

Let  $f \in \mathbb{F}[x]$  be written as

$$f = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i},$$

where the  $a_i \in \mathbb{F}$  are **all distinct**. Whenever  $f$  satisfies a  $SDE(k)$ , if

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$$e_i \geq ks + \binom{s}{2}$$

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# An algorithm for large exponents

$$f = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i} \quad \text{with distinct } a_i, \quad e_i > \frac{5s^2}{2}$$



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## Lemma

*We have  $|B| \leq r$  and  $B$  is  $\mathbb{F}$ -linearly independent.*

Distinct nodes

Large and small exponents

## Theorem

Let  $f(x) = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i}$  with

- $a_i \in \mathbb{F}$  all distinct
- $n_k \leq (3k/4)^{1/3} - 1$

Then  $\text{AffPow}(f) = s$  and there is an polynomial time algorithm for the reconstruction problem.

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# Weaken the hypothesis

## Theorem

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Idea: if there is a **gap** in the exponents sequence, taking the “right” derivative of  $f$  make large exponents “appear”.

- Find a  $\text{SDE}(t)$  satisfied by  $f$ .
- Compute the set of large exponents solutions
- Reconstruct coefficients of large exponents using the right derivative.
- Subtract them and go on until 0 is found.



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Towards repeated nodes.

Let  $\delta \in \mathbb{N}$ . We aim now at reconstructing expressions of the form

$$f = \sum_{i=1}^s \alpha_i (x - a_i)^{e_i}$$

such that whenever  $a_i = a_j$ , then  $|e_i - e_j| \leq \delta$ .

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We **rewrite**  $f$  as

$$f = \sum_{i=1}^t Q_i(x) (x - a_i)^{e_i},$$

where

- $Q_i$  is a polynomial of degree  $\leq \delta$ , and
- $a_i \neq a_j$  when  $i \neq j$ .



## Repeated nodes: the key lemma

### Lemma

Let  $\delta \in \mathbb{N}$  and let  $f \in \mathbb{F}[x]$  be written as

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with *distinct*  $a_i \in \mathbb{F}$  and  $\deg(Q_i) \leq \delta$ .

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If  $f$  satisfies a  $SDE(k)$  and

$$e_i \geq t(k + \delta) + \binom{t}{2},$$

then  $Q_i(x) (x - a_i)^{e_i}$  satisfies the same  $SDE$ .

# The algorithm

Let

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**Step 3.** Write  $f = \sum_{i=1}^p \lambda_i g_i$  with  $\lambda_i \in \mathbb{F}$  and output the expression.

# Multivariate reconstruction

## Model (Multivariate AffPow)

$$\sum_{i=1}^k \alpha_i l_i^{\mathbf{e}_i} \quad \text{with } \alpha_i \in \mathbb{F}, \deg(l_i) = 1$$



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We will design algorithms in the “black box” setting: they have access to the input polynomial only through an oracle so that for any point  $a \in \mathbb{F}^n$ , we can obtain  $f(a)$  in a single step by querying this oracle. We will use:

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- Change of basis
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- Homogeneous components

$$f(x_1, x_2, x_3) = x_1^3 + x_1^2 x_2 - 2x_1^2 x_3 - 2x_1 x_2 x_3 + x_1 x_3^2 + x_2 x_3^2$$



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$$g(y_1, y_2) = f(z_1, y_1 + y_2 - z_1, z_1 - y_2) = y_1 y_2^2 + y_2^3$$

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## Proposition (Carlini)

For a polynomial  $f \in \mathbb{F}[X]$ , we have

$$\text{EssVar}(f) = \dim_{\mathbb{F}} \left\langle \frac{\partial f}{\partial x_i} \mid 1 \leq i \leq n \right\rangle$$

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$\text{AffPow}(f) = \text{EssVar}(f) \Leftrightarrow f \equiv g$  with  $g = \sum_{i=1}^n x_i^{e_i}$  for some  $(e_i) \in \mathbb{N}^n$

$$H_f(X) = \begin{pmatrix} \frac{\partial^2 f}{\partial x_1 \partial x_1} & \cdots & \frac{\partial^2 f}{\partial x_1 \partial x_n} \\ \vdots & \ddots & \vdots \\ \frac{\partial^2 f}{\partial x_n \partial x_1} & \cdots & \frac{\partial^2 f}{\partial x_n \partial x_n} \end{pmatrix}$$

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Let  $g \in \mathbb{F}[X]$  be an  $n$ -variate polynomial. Let  $A \in \mathcal{M}_n(\mathbb{F})$  be a linear transformation, and let  $b \in \mathbb{F}^n$ . Let  $f(X) = g(A \cdot X + b)$ . Then,

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In particular,

$$\det(H_f(X)) = \det(A)^2 \det(H_g(A \cdot X + b)).$$

## Algorithm overview

When  $g = \sum_{i=1}^n x_i^{e_i}$ , we have

$$\frac{\partial^2 g}{\partial x_i \cdot \partial x_j} = \begin{cases} 0 & \text{if } i \neq j, \\ e_i(e_i - 1)x_i^{e_i-2} & \text{if } i = j \end{cases}$$

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Let  $f$  be a regular polynomial such that  $f(X) = \sum_{i=1}^n \ell_i(X)^{e_i}$  where  $\ell_1(X), \dots, \ell_n(X)$  are affine forms and  $e_i \geq 2$ . Then we have

$$\det(H_f(X)) = c \cdot \prod_{i=1}^n \ell_i(X)^{e_i-2}$$

where  $c \in \mathbb{F}$  is a nonzero constant.



## Proposition (Folklore)

Let  $\mathbb{F}$  be an algebraically closed field of characteristic different from 2 and let  $f, g \in \mathbb{F}[X]$  be homogeneous quadratic polynomials. Then,

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## Theorem

Let  $\mathbb{F}$  be an algebraically closed field of characteristic different from 2 and let  $f \in \mathbb{F}[X]$  be a polynomial of degree at most 2. Then, there exists a unique  $r \in \llbracket 0, n \rrbracket$  such that

- i)  $f \equiv \sum_{i=1}^r x_i^2$ ,
- ii)  $f \equiv \sum_{i=1}^r x_i^2 + c$  with  $c \in \mathbb{F} \setminus \{0\}$ , or
- iii)  $f \equiv \sum_{i=1}^{r-1} x_i^2 + x_r$ .

Moreover, only one of these three scenarios can hold and  $r = \text{EssVar}(f)$ .

If  $g = \sum_{i=1}^{n-1} x_i^{e_i} + x_n = h + x_n$  and  $f = g(A \cdot X + b)$ , then

## Linear term

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*There exists a polynomial-time randomized algorithm that receives as input a blackbox access to a regular polynomial  $f \in \mathbb{F}[X]$  and finds an optimal decomposition of  $f$  in the Affine Powers model if  $\text{AffPow}(f) = n$ , or rejects otherwise.*

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- If  $D = 0$ , repeat previous procedure with  $\det([H_f(X)]_{k,k})$  for all  $k$ .

# Uniqueness

For  $s \in \mathbb{N}^*$ , denote by  $E_n := \{\underline{e} = (e_1, \dots, e_n) \in (\mathbb{N}^*)^n \mid e_1 \geq \dots \geq e_n\}$ .

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with  $\ell_i, t_i$  linear forms and  $\underline{e} = (e_1, \dots, e_n), \underline{d} = (d_1, \dots, d_n) \in E_n$ , then,  $e_i = d_i$  for all  $i$ , and there exists a permutation  $\sigma \in \mathfrak{S}_n$  such that  $\alpha_i \ell_i^{e_i} = \beta_{\sigma(i)} t_{\sigma(i)}^{d_{\sigma(i)}}$  if  $e_i \geq 3$ .

Repeated affine forms.

# Univariate decompositions

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If  $f$  has a univariate decomposition, does taking an optimal decomposition for each  $g_i$  yield an optimal decomposition of  $f$  ?

## Proposition

Let  $f \in \mathbb{F}[X]$ , and let the  $g_i$ 's be univariate polynomials sorted by decreasing degree. Let  $d_i := \deg(g_i)$  and  $k := \max\{i : d_i \geq 3\}$ . Let  $\ell_1, \dots, \ell_n$  be linear forms such that  $f = \sum_{i=1}^n g_i(\ell_i)$ . Then,



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Moreover, if  $\ell_1, \dots, \ell_n$  are linearly independent, for any solution  $X_0 \in \mathbb{F}^n$  to the system  $B \cdot X_0 = (\alpha_{1,1}, \dots, \alpha_{k,1})^T$ , where  $B$  is the  $k \times n$  matrix whose rows are the coefficients of the  $\ell_1, \dots, \ell_k$ , we have that

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where  $c \in \mathbb{F}$ , and  $\alpha_{i,j}$  are the roots of  $g_i''(x)$  for  $1 \leq i \leq k$ .

Moreover, if  $\ell_1, \dots, \ell_n$  are linearly independent, for any solution  $X_0 \in \mathbb{F}^n$  to the system  $B \cdot X_0 = (\alpha_{1,1}, \dots, \alpha_{k,1})^T$ , where  $B$  is the  $k \times n$  matrix whose rows are the coefficients of the  $\ell_1, \dots, \ell_k$ , we have that

- (a)  $[f(X + X_0)]_{\geq 3} = \sum_{i=1}^k h_i(\ell_i)$  for some unique  $h_i \in \mathbb{F}[x]$ , and
- (b)  $\text{EssVar}([f(X + X_0)]_2) = |\{i \mid \deg(g_i) = 2\}|$ .

## The bivariate case

If  $f = f_1(x_1) + f_2(x_2)$ , set  $s_i := \text{AffPow}(f_i)$  and write

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If  $e_{1,1} \leq 1$  and  $e_{2,1} \leq 1$ , define  $\text{UnivAffPow}(f) := s_1 + s_2 - 1$ , and otherwise  $\text{UnivAffPow}(f) := s_1 + s_2$ .

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*Let  $f_1 \in \mathbb{F}[x_1], f_2 \in \mathbb{F}[x_2]$ , then  $\text{AffPow}(f_1 + f_2) = \text{UnivAffPow}(f_1 + f_2)$ .*

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## Lemma

Let  $s, d \in \mathbb{Z}^+$  and  $b_1, \dots, b_s$  different nonzero elements of  $\mathbb{F}$ . If

$$\lambda_1 x_1^d + \lambda_2 x_2^d = \sum_{i=1}^s \gamma_i (x_1 + b_i x_2)^d,$$

with  $\lambda_1, \lambda_2 \in \mathbb{F}$  and  $\gamma_i \in \mathbb{F}$  not all zero, then  $s \geq d$ .

Allowing more affine forms.



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Base case:  $f \equiv g$  with  $g = \sum_{i=1}^n x_i^{e_i} + \ell^e = h + \ell^e$ .

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### Lemma (Folklore)

Let  $A \in \mathcal{M}_n(\mathbb{F})$  and  $u, v \in \mathbb{F}^n$  two column vectors. Then,

$$\det(A + uv^T) = \det(A) + v^T \operatorname{adj}(A)u,$$

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with  $P(X) = \sum_{i=1}^n \beta_i^2 \left( \prod_{j \neq i} e_j^2 \ell_j(X)^{e_j-2} \right) \in \mathbb{F}[X]$ .

## Definition (Symmetric 4-th order Hessian)

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## Proposition

Let  $n \in \mathbb{N}^*$ ,  $m := \binom{n+1}{2}$  and  $f = \sum_{i=1}^m \ell_i^{e_i}$ , with  $\ell_i = \sum_{j=1}^n b_{i,j} x_j + b_{i,0}$  affine forms and  $e_i \geq 4$  for all  $i$ . Let  $U$  be the square  $m \times m$  matrix with entries  $U_{(i,j),k} := b_{k,i} b_{k,j}$  for all  $1 \leq k \leq m$ ,  $1 \leq i \leq j \leq n$ . If  $\det(U) \neq 0$ , there exists  $c \neq 0$  such that

$$\det(\bar{H}_f(X)) = c \cdot \prod_{i=1}^m \ell_i^{e_i-4},$$

By linearity of the symmetric 4-th order Hessian, we have

$$\bar{H}_f(X) = \sum_{k=1}^m \bar{H}_{\ell_k}(X) = \sum_{k=1}^m e_k^4 \ell_k^{e_k-4} (u_k \cdot u_k^T) = U \cdot D \cdot U^T,$$

where  $D = \text{Diag}(e_1^4 \ell_1^{e_1-4}, \dots, e_m^4 \ell_m^{e_m-4})$ , and  $u_k$  is the column vector whose  $(i, j)$ -th entry is  $b_{k,i} b_{k,j}$  with  $1 \leq i \leq j \leq n$ . Thus,

$$\det(\bar{H}_f(X)) = \det(U)^2 \prod_{k=1}^m e_k^4 \ell_k^{e_k-4}.$$



## Lemma

Let  $n \in \mathbb{N}^*$  and  $m := \binom{n+1}{2}$ , and consider the set of variables  $\mathcal{V} := \{y_{(k,l),i} \mid 1 \leq k \leq l \leq n, 1 \leq i \leq n\}$ . Let  $U$  be the  $m \times m$  square matrix with entries  $U_{(i,j),(k,l)} := y_{(k,l),i} y_{(k,l),j}$ , where  $1 \leq i \leq j \leq n$ ,  $1 \leq k \leq l \leq n$ . Then,  $\det(U) \in \mathbb{Z}[\mathcal{V}]$  is a nonzero polynomial of degree  $2m$ .

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## Theorem

Let  $n \geq 2$  and  $m := \binom{n+1}{2}$ . Let  $\ell_i = \sum_{j=1}^n b_{i,j} x_j + b_{i,0} : 1 \leq i \leq m$  whose coefficients  $b_{i,j}$  are taken uniformly at random from a finite set  $S$  and take  $f := \sum_{i=1}^m \ell_i^{e_i} \in \mathbb{F}[X]$  with  $e_i \geq 4$  for all  $i$ . Then,  $\det(\overline{H}_f(X)) \neq 0$  with probability at least  $1 - \frac{2m}{|S|}$ .

# Conclusion

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- Can we bound the bit size of an optimal decomposition by a polynomial function of the size of  $f$ ?
  - Does Algorithm *Distinct Nodes* run in polynomial time?

## Open questions II

A **generic** polynomial  $f$  of degree  $d$  has  $\text{AffPow}(f) = \lceil \frac{d+1}{2} \rceil$ .

- For each  $d \in \mathbb{N}$ , can you provide a polynomial  $f_d$  of degree  $d$  and  $\text{AffPow}(f_d) = \lceil \frac{d+1}{2} \rceil$ ?



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### Best answers known:

Theorem (Kayal, Koiran, Pecatte & Saha (2015))

For every  $k \in \mathbb{N}$  and  $a_1, a_2 \in \mathbb{F}$ , the polynomial  $f = [(x - a_1)(x - a_2)]^k$  of degree  $d = 2k$  satisfies that

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Theorem

When  $\mathbb{F} = \mathbb{R}$ , we provide polynomials  $f$  of degree  $d$  such that  $\text{AffPow}(f) \geq d/4$ .

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- Can we design algorithms for more repeated affine form?
- We proved that  $\text{UnivAffPow}(f) = \text{AffPow}(f)$  for bivariate polynomials. What about the general case?

Thank you for your attention!