

Recent Advances on Inverse Problems for Matrix Polynomials: The Inverse Row-Degree Problem for Dual Minimal Bases

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joint work with **Fernando De Terán** (UC3M),
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Definition

The complete eigenstructure of an $m \times n$ matrix polynomial $P(\lambda)$ of **rank** r is given by:

- r invariant polynomials $p_1(\lambda), \dots, p_r(\lambda)$,
(equivalently the finite eigenvalues of $P(\lambda)$ and their Jordan structures),
- r infinite partial multiplicities $\gamma_1, \dots, \gamma_r$,
(equivalently the Jordan structure of the infinite eigenvalue of $P(\lambda)$),
- $n - r$ right minimal indices $\varepsilon_1, \dots, \varepsilon_{n-r}$, and
- $m - r$ left minimal indices $\eta_1, \dots, \eta_{m-r}$.

Remark

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The complete inverse eigenstructure problem of matrix polynomials

If a **complete eigenstructure** and a **degree d** are **prescribed**, one wants

- 1 to find necessary and sufficient conditions for the existence of a matrix polynomial $P(\lambda)$ with precisely this eigenstructure and this degree,
- 2 to construct such $P(\lambda)$,
- 3 and, ideally, to construct $P(\lambda)$ in such a way that reveals “as simply as possible” the realized complete eigenstructure or a significant part of it.

Remarks:

- If the degree is not prescribed, the problem is trivial: $d = 1$ via the KCF.
- Goals 1 and 2 achieved in [De Terán, D, Van Dooren, SIMAX, 2015](#) and the solution is heavily based on **dual minimal bases**.
- Goal 3 still under development → **see key advances in Van Dooren's talk** and more to come soon.

Fundamental tool in Goal 3: Polynomial Zigzag Matrices for solving the inverse row-degree problem for dual minimal bases

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- 2 The inverse row-degree problem for dual minimal bases
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- 4 Solving the inverse row-degree problem for dual minimal bases
- 5 Conclusions

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Definition (Minimal Indices of a Matrix Pencil)

Let $A - \lambda B$ be a matrix pencil with Kronecker Canonical Form

$$U(A - \lambda B)V = L_{\varepsilon_1} \oplus \cdots \oplus L_{\varepsilon_p} \oplus L_{\eta_1}^T \oplus \cdots \oplus L_{\eta_q}^T \\ \oplus J_{k_1}(\lambda - \lambda_1) \oplus \cdots \oplus J_{k_f}(\lambda - \lambda_f) \oplus N_{\ell_1}(\lambda) \oplus \cdots \oplus N_{\ell_s}(\lambda),$$

where

$$L_\varepsilon = \begin{bmatrix} 1 & \lambda & & & \\ & \ddots & \ddots & & \\ & & \ddots & \ddots & \\ & & & 1 & \lambda \end{bmatrix}_{\varepsilon \times (\varepsilon+1)}, \quad L_\eta^T = \begin{bmatrix} 1 & & & & \\ \lambda & \ddots & & & \\ & \ddots & \ddots & & \\ & & \ddots & 1 & \\ & & & \lambda & \end{bmatrix}_{(\eta+1) \times \eta}.$$

Then $\varepsilon_1, \dots, \varepsilon_p$ are the **right minimal indices** of $A - \lambda B$ and η_1, \dots, η_q are the **left minimal indices** of $A - \lambda B$.

To extend the notion of minimal indices to matrix polynomials of arbitrary degree requires some additional concepts.

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In this talk:

- \mathbb{F} is an arbitrary field and
- $\mathbb{F}[\lambda]$ is the ring of polynomials with coefficients in \mathbb{F} .
- In addition, $\mathbb{F}(\lambda)$ is the field of rational functions over \mathbb{F} and
- $\mathbb{F}(\lambda)^n$ is the vector space over $\mathbb{F}(\lambda)$ of n-tuples with entries in $\mathbb{F}(\lambda)$.

• **Example:**

$$\begin{bmatrix} \frac{\lambda + 2}{\lambda^2} \\ 1 \\ \frac{1}{(\lambda + 1)^3} \end{bmatrix} \in \mathbb{F}(\lambda)^2$$

- $\mathbb{F}(\lambda)^n$ is said to be a rational vector space and its subspaces are rational vector subspaces. (Wolovich-1974, Forney-1975)

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Minimal bases of rational vector subspaces

- Any rational subspace $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$ has bases consisting entirely of vector polynomials.
- Example:**

$$\begin{bmatrix} \frac{\lambda+2}{\lambda^2} \\ 1 \\ \frac{1}{(\lambda+1)^3} \end{bmatrix} \in \mathcal{V} \implies \lambda^2 (\lambda+1)^3 \begin{bmatrix} \frac{\lambda+2}{\lambda^2} \\ 1 \\ \frac{1}{(\lambda+1)^3} \end{bmatrix} = \begin{bmatrix} (\lambda+2)(\lambda+1)^3 \\ \lambda^2 \\ 1 \end{bmatrix} \in \mathcal{V}$$

Definition (Minimal basis)

A **minimal basis** of the rational subspace $\mathcal{V} \in \mathbb{F}(\lambda)^n$ is a basis

- consisting of vector polynomials
- whose sum of degrees is minimal among all bases of \mathcal{V} consisting of vector polynomials.

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Minimal indices of rational vector subspaces

There are infinitely many minimal bases of a rational subspace $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$, but...

Theorem (Forney, 1975. Gantmacher, 1959...probably known before)

The ordered list of degrees of the vector polynomials in any minimal basis of $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$ is always the same.

Definition

These degrees are called the **minimal indices** of $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$.

Minimal bases and indices were introduced by Plemelj-1908, Muskhelishvili and Vekua-1943, but **Forney-1975 made this concept very important in Multivariable Linear System Theory**, then appeared in the book by Kailath-1980, ...

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Minimal bases and indices were introduced by Plemelj-1908, Muskhelishvili and Vekua-1943, but **Forney-1975 made this concept very important in Multivariable Linear System Theory**, then appeared in the book by Kailath-1980, ...

Minimal indices of rational vector subspaces

There are infinitely many minimal bases of a rational subspace $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$, but...

Theorem (Forney, 1975. Gantmacher, 1959...probably known before)

The ordered list of degrees of the vector polynomials in any minimal basis of $\mathcal{V} \subseteq \mathbb{F}(\lambda)^n$ is always the same.

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An $m \times n$ matrix polynomial $P(\lambda)$ whose rank r is smaller than m and/or n has non-trivial left and/or right rational null-spaces (over the field $\mathbb{F}(\lambda)$ of rational functions):

$$\mathcal{N}_\ell(P) := \{y(\lambda)^T \in \mathbb{F}(\lambda)^{1 \times m} : y(\lambda)^T P(\lambda) \equiv 0^T\},$$

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Definition (Right minimal bases and indices of $P(\lambda)$)

The **right minimal bases and indices** of $P(\lambda)$ are those of $\mathcal{N}_r(P)$.

Analogous definitions for **left minimal** bases and indices.

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Example of right minimal basis and indices of a matrix polynomial

$$P(\lambda) = \begin{bmatrix} 1 & -\lambda^3 & & & \\ & & 1 & -\lambda & \\ & & & 1 & -\lambda \\ & & & & \\ & & & & \end{bmatrix} \in \mathbb{R}[\lambda]^{3 \times 5}$$

$$\mathcal{N}_r(P) = \text{Span} \left\{ \underbrace{\begin{bmatrix} \lambda^3 \\ 1 \\ 0 \\ 0 \\ 0 \end{bmatrix}}_{u_1}, \underbrace{\begin{bmatrix} 0 \\ 0 \\ \lambda^2 \\ \lambda \\ 1 \end{bmatrix}}_{u_2} \right\} = \text{Span} \left\{ \underbrace{\begin{bmatrix} \lambda^3 \\ 1 \\ \lambda^3 \\ \lambda^2 \\ \lambda \end{bmatrix}}_{w_1}, \underbrace{\begin{bmatrix} \lambda^5 \\ \lambda^2 \\ \lambda^2 \\ \lambda \\ 1 \end{bmatrix}}_{w_2} \right\}$$

Sum of degrees of $\{u_1, u_2\} = 3 + 2 = 5$ (right minimal bases of $P(\lambda)$)

Sum of degrees of $\{w_1, w_2\} = 3 + 5 = 8$

Right minimal indices of $P(\lambda) = \{2, 3\}$

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REMARK: We often arrange minimal bases as the rows of matrices and call “basis” to the matrix.

Theorem (Forney 1975...probably known before)

The rows of a matrix polynomial $N(\lambda)$ over a field \mathbb{F} are a minimal basis of the subspace they span if and only if

- (a) $N(\lambda_0)$ has full row rank for all $\lambda_0 \in \overline{\mathbb{F}}$, and
- (b) the highest-row-degree coefficient matrix of $N(\lambda)$ has also full row rank.

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- 2 The inverse row-degree problem for dual minimal bases**
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Definition (Dual Minimal Bases. (Forney, 1975))

Matrix polynomials $M(\lambda) \in \mathbb{F}[\lambda]^{m \times n}$ and $N(\lambda) \in \mathbb{F}[\lambda]^{k \times n}$ are said to be **dual minimal bases** if

- (a) both are minimal bases,
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- (c) and $M(\lambda) N(\lambda)^T = 0$.

Remark

- Dual minimal bases have classical applications in Linear System Theory for constructing left and right coprime factorizations of transfer functions,
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In general, for dual minimal bases $M(\lambda)N(\lambda)^T = 0$:

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Theorem (Forney 1975, but probably known before)

Let $M(\lambda) \in \mathbb{F}[\lambda]^{m \times n}$ and $N(\lambda) \in \mathbb{F}[\lambda]^{k \times n}$ be dual minimal bases with row degrees (η_1, \dots, η_m) and $(\varepsilon_1, \dots, \varepsilon_k)$, respectively. Then

$$\sum_{i=1}^m \eta_i = \sum_{j=1}^k \varepsilon_j .$$

GOAL OF THE TALK: Solve the corresponding INVERSE PROBLEM

Given any two lists of nonnegative integers (η_1, \dots, η_m) and $(\varepsilon_1, \dots, \varepsilon_k)$ that have the same sum:

- do there exist dual minimal bases having these numbers as their row degrees?
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Example of forward Zigzag matrix:

$$Z(\lambda) = \begin{bmatrix} 1 & \lambda^2 & \lambda^7 & \lambda^8 & & & & & & & \\ & & & 1 & \lambda^3 & & & & & & \\ & & & & 1 & \lambda & \lambda^4 & \lambda^8 & \lambda^{15} & & \\ & & & & & & & & & 1 & \lambda^2 & \lambda^3 \\ & & & & & & & & & & & \end{bmatrix}$$

- **Every zigzag matrix is a minimal basis.**
- Zigzag matrices generalize, in a nontrivial way, to degrees larger than 1 right singular blocks of the KCF of pencils, which are the unique zigzag matrices that have all the row-degrees equal to 1.

Definition

Suppose

- 1 $Z(\lambda) \in \mathbb{F}[\lambda]^{m \times n}$ is a forward-zigzag matrix and
- 2 $Z^\diamond(\lambda) \in \mathbb{F}[\lambda]^{k \times n}$ is a backward-zigzag matrix

with the same number of columns. Then $Z(\lambda)$ and $Z^\diamond(\lambda)$ are said to be **dual zigzag matrices**, if they have

- (a) the same degree-gap sequence, but
- (b) complementary unit column sequences, where U and N are each other's complement.

Example of Dual Zigzag Matrices

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2, 5, 1, 3, 1, 3, 4, 7, 2, 1

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Theorem (from dual Zigzag to dual minimal bases)

Suppose

- $Z(\lambda) \in \mathbb{F}[\lambda]^{m \times n}$ and $Z^\diamond(\lambda) \in \mathbb{F}[\lambda]^{(n-m) \times n}$ are dual Zigzag matrices, and
- $\Sigma_n := \text{diag}(1, -1, 1, -1, \dots, (-1)^{n-1})$.

Then $Z(\lambda)$ and $(Z^\diamond(\lambda) \cdot \Sigma_n)$ are dual minimal bases.

$$Z(\lambda) = \begin{bmatrix} 1 & \lambda^2 & \lambda^7 & \lambda^8 & & & & & & & & \\ & & & 1 & \lambda^3 & & & & & & & \\ & & & & 1 & \lambda & \lambda^4 & & & & & \\ & & & & & & & \lambda^8 & & & & \\ & & & & & & & & \lambda^{15} & & & \\ & & & & & & & & & 1 & \lambda^2 & \lambda^3 \end{bmatrix}$$

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Second Key result on Dual Zigzag Matrices: $Z(\lambda)$ reveals transparently the row degrees of its dual

, i.e., $Z(\lambda)$ reveals transparently its right minimal indices.

Lemma

Suppose $Z(\lambda) \in \mathbb{F}[\lambda]^{m \times n}$ is a forward-zigzag matrix with structure sequence

$$\mathcal{S} = [s_1 \quad \delta_1 \quad s_2 \quad \delta_2 \quad \dots \quad s_{n-1} \quad \delta_{n-1} \quad s_n].$$

Then its dual, $Z^\diamond(\lambda)$, has row degrees equal to the partial sums of degree gaps before the first N and between any two consecutive N 's.

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- 1 Preliminary concepts
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Solution of the inverse row-degree problem for dual minimal bases

- The two key properties of dual Zigzag matrices and the simplicity of Zigzag matrices allow us

to solve the inverse row-degree problem

Given **any two lists of nonnegative integers** (η_1, \dots, η_m) and $(\varepsilon_1, \dots, \varepsilon_k)$ **that have the same sum:**

- do there exist dual minimal bases $M(\lambda)$ and $N(\lambda)$ having these numbers as their row degrees? **Yes.**
- can we **explicitly construct** such dual minimal bases? **Yes.**
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- easily in such a way that $M(\lambda)$ and $N(\lambda)$ are constructed as **(direct sums of)** dual Zigzag matrices via a simple algorithm.

- The two key properties of dual Zigzag matrices and the simplicity of Zigzag matrices allow us

to solve the inverse row-degree problem

Given **any two lists of nonnegative integers** (η_1, \dots, η_m) and $(\varepsilon_1, \dots, \varepsilon_k)$ **that have the same sum:**

- do there exist dual minimal bases $M(\lambda)$ and $N(\lambda)$ having these numbers as their row degrees? **Yes.**
- can we **explicitly construct** such dual minimal bases? **Yes.**
- can we do it in such a way that $M(\lambda)$ **reveals transparently** $(\varepsilon_1, \dots, \varepsilon_k)$ and vice versa? **Yes.**
- easily in such a way that $M(\lambda)$ and $N(\lambda)$ are constructed as **(direct sums of)** dual Zigzag matrices via a simple algorithm.

Solving the inverse problem for dual Zigzag matrices: Construction

Example: $(\eta_1, \eta_2, \eta_3, \eta_4) = (8, 3, 15, 3)$, $(\varepsilon_1, \varepsilon_2, \dots, \varepsilon_7) = (2, 5, 5, 3, 4, 9, 1)$.

(1) Define the partial sums $l_0 := 0$,

$$l_\alpha := \sum_{i=1}^{\alpha} \eta_i, \quad \alpha = 1, 2, 3, \quad \text{and} \quad r_\beta := \sum_{i=1}^{\beta} \varepsilon_i, \quad \beta = 1, \dots, 7.$$

(2) Order them in two lists

$$\begin{bmatrix} l_0 & l_1 & l_2 & l_3 \\ 0 & 8 & 11 & 26 \end{bmatrix} \quad \text{and} \quad \begin{bmatrix} r_1 & r_2 & r_3 & r_4 & r_5 & r_6 & r_7 \\ 2 & 7 & 12 & 15 & 19 & 28 & 29 \end{bmatrix}.$$

(3) Merge both lists in one ordered list

$$\begin{bmatrix} l_0 & r_1 & r_2 & l_1 & l_2 & r_3 & r_4 & r_5 & l_3 & r_6 & r_7 \\ 0 & 2 & 7 & 8 & 11 & 12 & 15 & 19 & 26 & 28 & 29 \end{bmatrix}.$$

(4) Replacements $l_i \rightarrow \mathbf{U}$, $r_j \rightarrow \mathbf{N}$ gives unit column sequence of $Z(\lambda)$:

$\mathbf{U, N, N, U, U, N, N, N, U, N, N}$

(5) Differences of consecutive terms gives the degree gap sequence of $Z(\lambda)$:

$2, 5, 1, 3, 1, 3, 4, 7, 2, 1$

- 1 Preliminary concepts
- 2 The inverse row-degree problem for dual minimal bases
- 3 Polynomial Zigzag Matrices
- 4 Solving the inverse row-degree problem for dual minimal bases
- 5 Conclusions**

- We have found an **explicit simple solution** of the **inverse row degree problem for dual minimal bases** via the new class of **Zigzag matrices**.
- This solution has been used (or is being used) by us and others (Lawrence, Pérez, Van Barel, ...) for:
- constructing strong linearizations and ℓ -ifications of matrix polynomials with certain desired properties,
- in backward error analyses of numerical algorithms for solving polynomial eigenvalue problems via linearizations, and
- in spectral-structure-revealing solutions of complete inverse eigenstructure problems for matrix polynomials.

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