

Elementary recursive bounds for Hilbert 17th problem (Part I)

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joint work with

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Hilbert 17th problem

$$P \geq 0 \text{ in } \mathbb{R}^k \implies P = \sum_i G_i^2, \quad G_i \in \mathbb{R}(x_1, \dots, x_k) ?$$

- Artin '27: Affirmative answer. Non-constructive.
- Kreisel '57 - Daykin '61 - Lombardi '90 - Schmid '00:
Constructive proofs leading to primitive recursive degree bounds depending on k and $d = \deg P$.
- Our work: Constructive proof leading to an elementary recursive degree bound:

$$2^{2^{2^{d^{4k}}}}.$$

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Positivstellensatz (Krivine '64, Stengle '74)

- $\mathbf{K}$ an ordered field, $\mathbf{R}$ a real closed extension of $\mathbf{K}$,
- $P_1, \dots, P_s \in \mathbf{K}[x_1, \dots, x_k]$, • $I_{\neq}, I_{\geq}, I_{=} \subset \{1, \dots, s\}$,

$$\mathcal{H}(x) : \begin{cases} P_i(x) \neq 0 & \text{for } i \in I_{\neq} \\ P_i(x) \geq 0 & \text{for } i \in I_{\geq} \\ P_i(x) = 0 & \text{for } i \in I_{=} \end{cases} \quad \text{no solution in } \mathbf{R}^k \quad \Longleftrightarrow$$

$$\exists \quad S = \prod_{i \in I_{\neq}} P_i^{2e_i}, \quad N = \sum_{I \subset I_{\geq}} \left(\sum_j k_{I,j} Q_{I,j}^2 \right) \prod_{i \in I} P_i \quad (k_{I,j} > 0),$$

$$Z \in \langle P_i \mid i \in I_{=} \rangle \subset \mathbf{K}[x]$$

such that

$$\underbrace{S}_{>0} + \underbrace{N}_{\geq 0} + \underbrace{Z}_{=0} = 0.$$

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Incompatibilities

$$\mathcal{H}(x) : \begin{cases} P_i(x) \neq 0 & \text{for } i \in I_{\neq} \\ P_i(x) \geq 0 & \text{for } i \in I_{\geq} \\ P_i(x) = 0 & \text{for } i \in I_{=} \end{cases}$$

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with

$$S \in \left\{ \prod_{i \in I_{\neq}} P_i^{2\theta_i} \right\} \quad \leftarrow \text{monoid associated to } \mathcal{H}$$

$$N \in \left\{ \sum_{I \subset I_{\geq}} \left(\sum_j k_{I,j} Q_{I,j}^2 \right) \prod_{i \in I} P_i \right\} \quad \leftarrow \text{cone associated to } \mathcal{H}$$

$$Z \in \langle P_i \mid i \in I_{=} \rangle \quad \leftarrow \text{ideal associated to } \mathcal{H}$$

Degree of an incompatibility

$$\mathcal{H}(x) : \begin{cases} P_i(x) \neq 0 & \text{for } i \in I_{\neq} \\ P_i(x) \geq 0 & \text{for } i \in I_{\geq} \\ P_i(x) = 0 & \text{for } i \in I_{=} \end{cases}$$

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the **degree** of $\mathcal{H}$ is the maximum degree of

$$S = \prod_{i \in I_{\neq}} P_i^{2e_i}, \quad Q_{I,j}^2 \prod_{i \in I} P_i \quad (I \subset I_{\geq}, j), \quad Q_i P_i \quad (i \in I_{=}).$$

Example :

$$\begin{cases} x & \neq 0 \\ y - x^2 - 1 & \geq 0 \\ xy & = 0 \end{cases} \quad \text{no solution in } \mathbb{R}^2$$

$\downarrow x \neq 0, y - x^2 - 1 \geq 0, xy = 0 \downarrow$:

$$\underbrace{x^2}_{>0} + \underbrace{x^2(y - x^2 - 1) + x^4}_{\geq 0} + \underbrace{(-x^2y)}_{=0} = 0.$$

The **degree** of this incompatibility is 4.

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Example 2:

$$\begin{cases} x > 0 \\ y - x \geq 0 \\ xy \leq 0 \end{cases} \quad \text{no solution in } \mathbb{R}^2$$

$\downarrow x > 0, y - x \geq 0, xy \leq 0 \downarrow$ equivalent to

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The degree of this incompatibility is 2.

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Positivstellensatz: Constructive proofs

- Lombardi '90, Schmid '00: Primitive recursive degree bounds on k , $d = \max \deg P_i$ and $s = \#P_i$.

Lombardi '90: Based on Hörmander algorithm for quantifier elimination:

- exponential tower of height $k + 4$,
- $d \log(d) + \log \log(s) + c$ on the top.

- Our work: Based on cylindrical algebraic decomposition + sign determination + Hermite theory + Laplace's proof of FTA. Elementary recursive degree bound in k , d and s :

$$2^{2^{2^{\max\{2,d\}4^k} + s^{2^{\max\{2,d\}16^k \text{bit}(d)}}}}.$$

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Positivstellensatz implies Hilbert 17th problem

$$P \geq 0 \text{ in } \mathbb{R}^k \iff \{ P(x) < 0 \text{ no solution}$$

$$\iff \begin{cases} P(x) \neq 0 \\ -P(x) \geq 0 \end{cases} \text{ no solution}$$

$$\iff \underbrace{P^{2e}}_{>0} + \underbrace{\sum_i Q_i^2 - (\sum_j R_j^2)P}_{\geq 0} = 0$$

$$\implies P = \frac{(\sum_j R_j^2)P^2}{P^{2e} + \sum_i Q_i^2} = \frac{(\sum_j R_j^2)P^2(P^{2e} + \sum_i Q_i^2)}{(P^{2e} + \sum_i Q_i^2)^2}.$$

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Weak inferences: example

$$A > 0, \quad B \geq 0 \quad \Longrightarrow \quad A + B > 0.$$

Let $\mathcal{H}$ be any system of sign conditions.

$$\downarrow \mathcal{H}, \quad A + B > 0 \quad \downarrow \quad \Rightarrow \quad \left\{ \begin{array}{l} \mathcal{H}(x) \\ A(x) + B(x) > 0 \end{array} \right. \quad \text{no solution}$$

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What about degrees?

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initial incompatibility

degree

$$\leq \delta$$

final incompatibility

degree

$$\leq \delta + \max\{1, 2e\} \cdot$$

$$(\max\{\deg A, \deg B\} - \deg\{A + B\})$$

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$$(\max\{\deg A, \deg B\} - \deg\{A + B\})$$

$$A \neq 0 \implies A < 0 \vee A > 0$$

Let $\mathcal{H}$ be any system of sign conditions.

$$\downarrow \mathcal{H}, A < 0 \downarrow \Rightarrow \left\{ \begin{array}{l} \mathcal{H}(x) \\ A(x) < 0 \end{array} \right. \text{ no solution}$$

$$\downarrow \mathcal{H}, A > 0 \downarrow \Rightarrow \left\{ \begin{array}{l} \mathcal{H}(x) \\ A(x) > 0 \end{array} \right. \text{ no solution}$$

$$\downarrow \mathcal{H}, A \neq 0 \downarrow \Leftarrow \left\{ \begin{array}{l} \mathcal{H}(x) \\ A(x) \neq 0 \end{array} \right. \text{ no solution}$$

$$A \neq 0 \vdash A < 0 \vee A > 0$$

Again, from right to left.

$$A \neq 0 \implies A < 0 \vee A > 0$$

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$$\downarrow \mathcal{H}, A \neq 0 \downarrow \Leftarrow \left\{ \begin{array}{l} \mathcal{H}(x) \\ A(x) \end{array} \neq 0 \right. \text{ no solution} \quad \Downarrow$$

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$$\downarrow \mathcal{H}, A < 0 \downarrow \text{degree} \leq \delta_1$$

$$\downarrow \mathcal{H}, A > 0 \downarrow \text{degree} \leq \delta_2$$

$$\underbrace{A^{2e_1} S_1}_{>0} + \underbrace{N_1 - N'_1 A}_{\geq 0} + \underbrace{Z_1}_{=0} = 0$$

$$A^{2e_1} S_1 + N_1 + Z_1 = N'_1 A$$

$$\underbrace{A^{2e_2} S_2}_{>0} + \underbrace{N_2 + N'_2 A}_{\geq 0} + \underbrace{Z_2}_{=0} = 0$$

$$A^{2e_2} S_2 + N_2 + Z_2 = -N'_2 A$$

multiplying these we obtain:

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$$\begin{array}{rcl}
 & A = 0 & \vee \quad A \neq 0 \\
 A \neq 0 & \implies & A < 0 \quad \vee \quad A > 0
 \end{array}$$

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Similarly,

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as follows:

$$\begin{array}{ccccc} \downarrow \mathcal{H}, A = 0 \downarrow & & \downarrow \mathcal{H}, A < 0 \downarrow & & \downarrow \mathcal{H}, A > 0 \downarrow \\ & \downarrow & & \swarrow & \swarrow \\ \downarrow \mathcal{H}, A = 0 \downarrow & & & \downarrow \mathcal{H}, A \neq 0 \downarrow & \\ & \swarrow & & \swarrow & \\ & & \downarrow \mathcal{H} \downarrow & & \end{array}$$

Weak Existence

$$\exists t \mid At = 1 \vdash A \neq 0$$

$$\downarrow \mathcal{H}, A \neq 0 \downarrow$$

$$\underbrace{A^{2e}S}_{>0} + \underbrace{N}_{\geq 0} + \underbrace{Z}_{=0} = 0$$

$$\underbrace{S}_{>0} + \underbrace{t^{2e}N}_{\geq 0} + \underbrace{t^{2e}Z + ((At)^{2e} - 1)S}_{=0} = 0$$

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$$A \neq 0 \vdash \exists t \mid At = 1$$

$$\downarrow \mathcal{H}, At = 1 \downarrow$$

involves variable t

$$\underbrace{S}_{>0} + \underbrace{\sum (\sum k_{l,j} Q_{l,j}^2(t)) \prod P_i}_{\geq 0} + \underbrace{\sum W_j(t) P_j + W(t)(At - 1)}_{=0} = 0$$

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variable t is **eliminated**

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Simple weak inferences are combined to obtain more interesting weak inferences (**Marie-Françoise's talk.**)

Example

We want an incompatibility

$$\downarrow y - x \neq 0, y^3 - x^3 = 0 \downarrow$$

$$(y - x)^{2e} + N + W(y^3 - x^3) = 0.$$

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Thank you for your attention!