

Lecture 12: Polynomial Capacity

Recall: Geom. of polys. method:

- (1) Encode object you care about as nice polynomial (stable, Lorentzian, ...)
- (2) Apply operators which preserve nice properties
- (3) Extract info relating back to original object

Before: info was log-concavity of coefficients/function, or Rayleigh condition

Theorem: For any Lorentzian polyn. p of deg. d , and any i, j ,

$$2\left(1 - \frac{1}{d}\right) \partial_{x_i} p \cdot \partial_{x_j} p - p \cdot \partial_{x_i} \partial_{x_j} p \geq 0$$

on $\mathbb{R}_{\geq 0}^n$.

(Note for $d=2$, this is the strong Rayleigh condition on $\mathbb{R}_{\geq 0}^n$.)

(Proof in HW.)

New info. we want to
Study: coefficients/evaluations/
inner products of polynomials.

First Motivation: Permanent of
a matrix / perfect matchings
of a bipartite graph.

Def.: Given a matrix A , its
permanent is given by

$$\text{per}(A) = \sum_{\sigma \in S_n} \prod_{i=1}^n a_{i, \sigma(i)}.$$

"Like the determinant, only simpler."

↳ poly-time comp. for det,
given by Gaussian elimination

↳ #P-hard to compute per
exactly, even for 0-1 matrix

(Note: can search for perf matching
in poly-time, but counting is
hard)

(How does this connect to polynomials?)

Given $A \in \mathbb{R}_{\geq 0}^{n \times n}$, define

$$p_A(x) = \prod_{i=1}^n \sum_{j=1}^n a_{ij} x_j \in \mathbb{R}_{\geq 0}[x_1, \dots, x_n]$$

is n -homog. and real stable
(which implies Lorentzian; HW).

I.e.:

$$A = \begin{bmatrix} a_{11} & a_{12} & a_{13} & \dots \\ a_{21} & a_{22} & a_{23} & \dots \\ a_{31} & a_{32} & a_{33} & \dots \\ \vdots & \vdots & \vdots & \ddots \end{bmatrix} \Rightarrow p_A(x) = \begin{aligned} &(a_{11}x_1 + a_{12}x_2 + a_{13}x_3 + \dots) \\ &\cdot (a_{21}x_1 + a_{22}x_2 + a_{23}x_3 + \dots) \\ &\cdot (a_{31}x_1 + a_{32}x_2 + a_{33}x_3 + \dots) \\ &\dots \end{aligned}$$

Expand $p_A \Rightarrow$ possible $x_1 x_2 \dots x_n$
terms correspond precisely to
 $\prod_{i=1}^n a_{i, \sigma(i)}$ for each $\sigma \in S_n$.

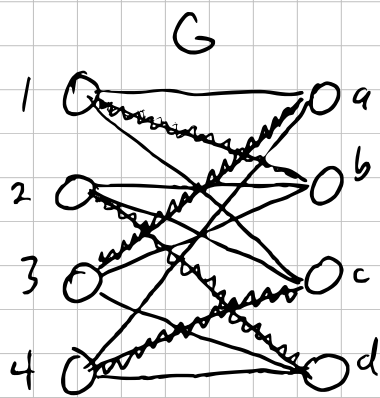
Thus, $\langle x^{\mathbf{I}} \rangle p_A = \text{per}(A)$.

I.e., $\text{per}(A) = \partial_{x_1}|_{x_1=0} \dots \partial_{x_n}|_{x_n=0} p$.

(This gives us a way to induct on degree/# vars, but not in such a simple way as w/ Matroid polynomials.)

Bipartite graph version:

Let G be a bipartite graph on $n+n$ vertices. E.g.:



bipartite adj. matrix A

$$A = \begin{bmatrix} a & b & c & d \\ 1 & 1 & 1 & 0 \\ 0 & 1 & 1 & 1 \\ 1 & 1 & 0 & 1 \\ 1 & 0 & 1 & 1 \end{bmatrix}$$

$$\# \text{ perf. matchings} = \text{per}(A)$$

$$d\text{-regular} \Leftrightarrow \text{row sums} = \text{col sums} = d$$

$$\# \text{pm}(G) = \text{per}(A) = \sum_{x_1=0}^1 \dots \sum_{x_n=0}^1$$

(existence of p.m. $\Leftrightarrow \text{per} > 0$)

Van der Waerden "conjecture" ('30s):

If row sums / col sums $A \in \mathbb{R}_{\geq 0}^{n \times n}$
are all equal to 1 ("doubly stochastic")
then: $\text{per}(A) \geq \frac{n!}{n^n}$.

(Proven by Falikman, Egorychev '81;
original proofs used AF Ineq.
and were complicated. Easy?)

Cor. If G is d -regular bipartite,
then $\#p.m.(G) \geq d^n \cdot \frac{n!}{n^n}$.

Cor.: 1 is an e^n -approximation
to $\text{per}(A)$ for any D.S. A .

PR: $1 \geq \text{per}(A) \geq \frac{n!}{n^n} \geq e^{-n}$
 \downarrow Stirling's approx.

$\langle x^i \rangle_{PA} \leq PA(1) \leq 1$.

Cor.: Approx. algo. to $\text{per}(A)$ for
any $A \in \mathbb{R}_{\geq 0}^{n \times n}$.

Pf.: Sinkhorn Scaling algo. iteratively
converts A into a D.S. matrix,
with easy-to-track changes to per .

Proof idea: Generalize conjecture
to Lorentzian polynomials.

$$\text{Notice, } p_A(\mathbb{1}) = \prod_{i=1}^n \sum_{j=1}^n a_{ij} = 1.$$

$$\text{Also, } (\sum_{k=1}^n \partial_{x_k} p_A)(\mathbb{1}) = \sum_{k=1}^n a_{k\ell} \cdot \prod_{i \neq k} \sum_{j=1}^n a_{ij} = 1.$$

(product rule)

$$\text{Thus, } p_A(\mathbb{1}) = 1, \quad \nabla p_A(\mathbb{1}) = \bar{\mathbb{1}}.$$

Call such a polynomial daddy
stochastic.

New conj.: The all-ones coeff
of a Lorentzian D.S. polynomial
is at least $\frac{n!}{n^n}$.

(Note that d -homog. \Rightarrow

$$d \cdot p(\mathbb{1}) = \sum_{i=1}^n (\partial_{x_i} p)(\mathbb{1}) = 1 \cdot \nabla p_A(\bar{\mathbb{1}}),$$

so that $d=n$ in this case.)

(We will prove this using
Gurvits' theorem. First need
notion of polynomial capacity.)

Defn.: Given $p \in \mathbb{R}_{\geq 0}[x_1, \dots, x_n]$
 and $\alpha \in \mathbb{R}_{> 0}^n$, define:

$$\text{Cap}_\alpha(p) := \inf_{\substack{x > 0 \\ (x \in \mathbb{R}_{> 0}^n)}} \frac{p(x)}{x^\alpha}.$$

(We will discuss more properties
 of this quantity later.)

Theorem (Gurvits '05, '09): If

$p \in \mathbb{R}_{\geq 0}[x_1, \dots, x_n]$ is d -homog. and
 Lorentzian, then $\forall \mu \in \mathbb{Z}_{\geq 0}^n$ with $|\mu| = d$,

$$\langle x^\mu \rangle_p \geq \binom{d}{\mu} \frac{\mu^\mu}{d^d} \cdot \text{Cap}_\mu p.$$

(proof next time)

(How to use to prove conj.?)

Cor.: For doubly stochastic
 Lorentzian p , we have

$$\langle x^{\bar{1}} \rangle_p \geq \frac{n!}{n^n} \cdot \text{Cap}_{\bar{1}}(p) = \frac{n!}{n^n}.$$

\uparrow Gurvits' thm. \uparrow How?

Lemma: Let $p \in \mathbb{R}_{\geq 0}^n [x_1, \dots, x_n]$
be st. $p(\bar{1}) = 1$ and $\nabla p(\bar{1}) = \alpha$.
Then $\text{Cap}_\alpha(p) = 1$.

Proof: Note that if $p(x) = \sum_{k \in \mathbb{Z}_{\geq 0}^n} p_k x^k$,
then $\alpha = \nabla p(\bar{1}) = \sum_{k \in \mathbb{Z}_{\geq 0}^n} p_k \cdot k$

Since $1 = p(\bar{1}) = \sum_{k \in \mathbb{Z}_{\geq 0}^n} p_k$,

α is the expectation
of the probability distribution μ
on $\mathbb{Z}_{\geq 0}^n$ given by $\mathbb{P}[\mu = k] = p_k$.

By the weighted AM-GM inequality
(side board; e.g. via Jensen's inequality), we have:

$$\sum_k p_k x^k \geq \prod_k (x^k)^{p_k} = x^{\sum_k p_k \cdot k} = x^\alpha$$

for all $x \in \mathbb{R}_{> 0}^n$.

$$\text{Thus } \frac{\sum_k p_k x^k}{x^\alpha} \geq 1 \quad \forall x \in \mathbb{R}_{> 0}^n.$$

Further, $\frac{p(\bar{1})}{(\bar{1})^\alpha} = 1 \Rightarrow$

$$\text{Cap}_\alpha(p) = \inf_{x > 0} \frac{p(x)}{x^\alpha} = 1. \quad \square$$

(Proof hints at bigger picture
for the interpretation of capacity.)

Lecture 13: Polynomial Capacity and Gurvits Theorem

Last time: Given $A \in \mathbb{R}_{\geq 0}^{n \times n}$,
construct

$$p_A(x) = \prod_{i=1}^n (Ax)_i = \prod_{i=1}^n \sum_{j=1}^n a_{ij} x_j.$$

Then $\langle x^2 \rangle p_A(x) = \text{per}(A)$.

(If A is bipartite adjacency matrix, then this also counts perfect matchings.)

Gurvits' Theorem: If $p \in \mathbb{R}_{\geq 0}(x_1, \dots, x_n)$
is d -homog. and Lorentzian,

then for all $\mu \in \mathbb{Z}_{\geq 0}^n$, $|\mu| = d$,

$$\text{Cap}_{\mu}(p) \geq \langle x^{\mu} \rangle p(x) \geq \binom{d}{\mu} \frac{\mu^{\mu}}{d^d} \cdot \text{Cap}_{\mu}(p).$$

$$\text{Stirling } \rightarrow \geq \sqrt{2\pi d} \cdot \prod_{i=1}^n \frac{1}{\sqrt{2\pi \mu_i}} \cdot \text{Cap}_{\mu}(p).$$

Cor.: For D.S. $A \in \mathbb{R}_{\geq 0}^{n \times n}$, $1 \geq \text{per}(A) \geq \frac{n!}{n^n}$

Also recall:

Lemma: Let $p \in \mathbb{R}_{\geq 0}[x_1, \dots, x_n]$
be st. $p(\bar{1}) = 1$ and $\nabla p(\bar{1}) = \alpha$.

Then $\text{Cap}_\alpha(p) = 1$.

Proof used following fact:

Since $1 = p(\bar{1}) = \sum_{k \in \mathbb{Z}_{\geq 0}^n} p_k$,

α is the expectation
of the probability distribution μ
on $\mathbb{Z}_{\geq 0}^n$ given by $\mathbb{P}[\mu = k] = p_k$.

That is, $\nabla p(\bar{1})$ is the
vector of marginal probabilities
of μ (when p is multivariate).

$$\left(\text{Cap}_\alpha(p) = \inf_{x \geq 0} \frac{p(x)}{x \cdot \alpha} \right)$$

Other properties of Capacity:

For $p \in \mathbb{R}_{\geq 0}[x_1, \dots, x_n]$, $p(\mathbf{1}) = 1$,

(1) $\text{Cap}_\alpha(p) \leq 1, \forall \alpha \in \mathbb{R}_{\geq 0}^n$

(2) If $\mu \in \text{Supp}(p)$, then $p_\mu \leq \text{Cap}_\mu(p)$.

(3) $\text{Cap}_\alpha(p) > 0 \Leftrightarrow \alpha \in \text{Newt}(p)$

(4) $\log \text{Cap}_\alpha(p)$ is a convex Carnewton polytope of p

Fenchel conjugate program via $x \mapsto e^y$, so that it is efficiently computable.

$$\log \text{Cap}_\alpha(p) = \inf_{y \in \mathbb{R}^n} \left[-\langle y, \alpha \rangle + \log \sum_k p_k e^{\langle y, k \rangle} \right]$$

(5) $x^* = \text{arg Cap}_\alpha(p) \Rightarrow$ coeff. of $\frac{p(x^* \circ x)}{p(x^*)}$ give the "entropy maximizing distr." on $\text{supp}(p)$ with expectation α .

(Notice we have

$$\log \text{Cap}_\alpha(p) = \inf_{y \in \mathbb{R}^n} \log \sum_k p_k e^{\langle y, k - \alpha \rangle},$$

$$\text{and } \nabla|_{y=0}(\text{obj.}) = \frac{\sum_k p_k (k - \alpha)}{\sum_k p_k} = \nabla p(\mathbf{1}) - \alpha.)$$

Proof: (1) Plug in $x = \bar{I}$.

$$(2) \text{Cap}_m(p) = \inf_{x > 0} \frac{p(x)}{x^m} \geq \inf_{x > 0} \frac{p_m x^m}{x^m} = p_m$$

(3) (\Leftarrow) Let $\alpha = \sum_{k \in \text{supp}(p)} c_k \cdot k$, convex combo,
and let $\gamma = \min_{k \in \text{supp}(p)} \frac{p_k}{c_k} > 0$.

By weighted AM-GM Ineq.,

$$\begin{aligned} p(x) &= \sum_k p_k x^k = \sum_k \frac{p_k}{c_k} c_k x^k \geq \gamma \cdot \sum_k c_k x^k \\ &\geq \gamma \cdot \prod_k (x^k)^{c_k} = \gamma \cdot x^{\sum_k c_k \cdot k} = \gamma \cdot x^\alpha, \end{aligned}$$

for all $x > 0$. Thus,

$$\text{Cap}_\alpha(p) = \inf_{x > 0} \frac{p(x)}{x^\alpha} \geq \inf_{x > 0} \frac{\gamma \cdot x^\alpha}{x^\alpha} = \gamma > 0.$$

(\Rightarrow) Contrapositive. Suppose $\alpha \notin \text{Newt}(p)$.

Then \exists separating hyperplane, i.e.,

$$\exists \beta \in \mathbb{R}^n \text{ s.t. } \langle \beta, k - \alpha \rangle < 0$$

$\forall k \in \text{supp}(p)$. By (4), $\log(\text{Cap}_\alpha(p))$

$$\begin{aligned} &\leq \inf_{t \in \mathbb{R}} \left[-\langle t\beta, \alpha \rangle + \log \sum_k p_k e^{t\langle \beta, k \rangle} \right] \\ &= \inf_{t \in \mathbb{R}} \log \sum_k p_k e^{t\langle \beta, k - \alpha \rangle} = -\infty. \end{aligned}$$

Thus, $\text{Cap}_\alpha(p) = 0$.

Proof of Gurov's theorem

(Need a few lemmas.)

Lemma (BLP '20): Let $q, w \in \mathbb{R}_{\geq 0}^d[x]$

be such that w has all pos. coeff. and $(\frac{q_k}{w_k})_{k=0}^d$ forms a log-concave sequence (with no holes). Then for all $0 \leq k \leq d$, we have

$$q_k \geq \frac{w_k}{\text{Cap}_k(w)} \cdot \text{Cap}_k(q).$$

Proof: Define $a_k = \frac{q_k}{w_k}$. Equiv.:

$$\text{Cap}_k(w) \geq \frac{\text{Cap}_k(q)}{a_k} = \inf_{t > 0} \sum_{i=0}^d \frac{a_i w_i}{a_k} t^{i-k}.$$

WLOG, we may assume $a_k = 1 \Rightarrow$

(divide a_i seq. by a_k)

To prove: $\text{Cap}_k(w) \geq \inf_{t > 0} \sum_{i=0}^d a_i w_i t^{i-k}$.

Log-concavity of (a_i) : $a_i^2 \geq a_{i-1} a_{i+1}$

$$\Rightarrow a_{i+1} \leq \frac{a_i^2}{a_{i-1}}, \quad a_{i-1} \leq \frac{a_i^2}{a_{i+1}} \\ \frac{a_{i+1}}{a_i} \leq \frac{a_i}{a_{i-1}}, \quad \frac{a_{i-1}}{a_i} \leq \frac{a_i}{a_{i+1}}.$$

Now, $a_k = 1$ by assumption.

Claim: $a_{k+i} \leq a_{k+1}^i \quad \forall i \in \mathbb{Z}$

(if $a_{k+1} \neq 0$; proof easier if $a_{k+1} = 0$)

By two-sided induction.

($i=0, 1$ → trivial.) $i > 1$ →

$$\begin{aligned} a_{k+i} &\leq \frac{a_{k+i-1}^2}{a_{k+i-2}} \leq a_{k+i-1} \left(\frac{a_{k+1}}{a_k} \right) \\ &\leq a_{k+1}^{i-1} \cdot a_{k+1} = a_{k+1}^i. \end{aligned}$$

$i < 0$ →

$$\begin{aligned} a_{k+i} &\leq \frac{a_{k+i+1}^2}{a_{k+i+2}} \leq a_{k+i+1} \left(\frac{a_k}{a_{k+1}} \right) \\ &\leq a_{k+1}^{i+1} \cdot a_{k+1}^{-1} = a_{k+1}^i. \end{aligned}$$

(Really this is just log-concavity of $(a_i)_i$ as a discrete function.)

Thus, $\inf_{x \geq 0} \sum_{i=0}^d a_i w_i x^{i-k}$

$$= \inf_{x \geq 0} \sum_{i=-k}^{d-k} w_{k+i} a_{k+i} x^i$$

$$\leq \inf_{x \geq 0} \sum_{i=-k}^{d-k} w_{k+i} (a_{k+1} x)^i$$

$$\begin{aligned}
&= \inf_{x > 0} \sum_{i=-k}^{d-k} w_{k+i} x^i \\
&= \inf_{x > 0} \sum_{i=0}^d w_i x^{i-k} \\
&= \text{Cap}_k(w).
\end{aligned}$$

If $a_{k+i} = 0$, then no holes \Rightarrow

$$\begin{aligned}
&\inf_{x > 0} \sum_{i=0}^d a_i w_i x^{i-k} \\
&= \inf_{x > 0} \left[\sum_{i=0}^{k-1} a_i w_i x^{i-k} + w_k \right] \\
&= w_k + \inf_{x > 0} \sum_{i=-k}^{-1} a_{k+i} w_{k+i} x^i \\
&= w_k \leq \text{Cap}_k(w). \quad \square
\end{aligned}$$

Lemma: If $w(t) = (t+1)^d$,
then $\text{Cap}_k(w) = \frac{d^d}{k^k (d-k)^{d-k}}$.

(Note: $w(t) = (t+1)^d \Rightarrow$
 $\frac{q_k}{w_k}$ log-concave $\Leftrightarrow q_k$ ultra log-concave.)

Proof: $\text{Cap}_k(w) = \inf_{t>0} \frac{(1+t)^d}{t^k}$

$$= \left[\inf_{t>0} \frac{1+t}{t^{k/d}} \right]^d = \left[\inf_{t>0} (t^{-k/d} + t^{1-k/d}) \right]^d$$

$$0 = \partial_t [t^{-k/d} + t^{1-k/d}] = -\frac{k}{d} t^{-1-k/d} + (1-\frac{k}{d}) t^{-k/d}$$

$$= t^{-1-k/d} \left(-\frac{k}{d} + (1-\frac{k}{d})t \right)$$

$$\Rightarrow t = \frac{k/d}{1-k/d} = \frac{k}{d-k}$$

$$\Rightarrow \text{Cap}_k(w) = \frac{(1+\frac{k}{d-k})^d}{(\frac{k}{d-k})^k} = \frac{d^d}{k^k (d-k)^{d-k}} \quad \square$$

Gurwits' Theorem: If $p \in \mathcal{P}_{\geq 0}(x_1, \dots, x_n)$ is d -homog. and Lorentzian, then for all $\mu \in \mathbb{Z}_{\geq 0}^n$, $|\mu|=d$, $\text{Cap}_\mu(p) \geq \langle x^\mu \rangle p(x) \geq \binom{d}{\mu} \frac{\mu^{\mu}}{d^d} \cdot \text{Cap}_\mu(p)$.

Proof: Induction on n . Trivial for $n=1$ ($\mu=(d)$).

Now consider

$$\inf_{x>0} \frac{p(x)}{x^\mu} = \inf_{x_1>0} \dots \inf_{x_n>0} \frac{p(x_1, \dots, x_n)}{x_1^{\mu_1} \dots x_n^{\mu_n}}$$

Fix $x_1, \dots, x_{n-1} > 0$. Then:

$$\inf_{x_n > 0} \frac{p(x_1, \dots, x_{n-1}, x_n)}{x_n^{\mu_n}}$$

$$= \inf_{x > 0} \frac{p(x_1, \dots, x_{n-1}, x)}{x^{\mu_n}} = \text{Cap}_{\mu_n}(q)$$

where $q(x) := p(x_1, \dots, x_{n-1}, x)$

Defining $f(x, s) := p(x_1, s, \dots, x_{n-1}, s, x)$

$f(s, x)$ is Lorentzian degree d ,

so the coeff. of q are ultra log-concave (w.r.t. degree d).

Thus by the lemmas using $w(x) = (x+1)^d$, we have

$$\text{Cap}_{\mu_n} \geq \frac{w_{\mu_n}}{\text{Cap}_{\mu_n}(w)} \cdot \text{Cap}_{\mu_n}(q)$$

$$= \frac{d!}{\mu_n!(d-\mu_n)!} \cdot \frac{\mu_n^{\mu_n} (d-\mu_n)^{d-\mu_n}}{d^d}$$

$$\cdot \inf_{x_n > 0} \frac{p(x_1, \dots, x_{n-1}, x_n)}{x_n^{\mu_n}}$$

Divide by $x_i^{\mu_i}$ ($1 \leq i \leq n-1$)
and take inf to get:

$$\inf_{x_1, \dots, x_{n-1} > 0} \frac{q_{\mu_n}(x_1, \dots, x_{n-1})}{x_1^{\mu_1} \dots x_{n-1}^{\mu_{n-1}}} \geq \frac{d!}{\mu_n! (d - \mu_n)!} \cdot \frac{\mu_n^{\mu_n} (d - \mu_n)^{d - \mu_n}}{d^d} C_{\mu_n} \text{Cap}_{\mu}(p).$$

$$\text{Now, } q_{\mu_n}(x_1, \dots, x_{n-1}) = \frac{1}{\mu_n!} \partial_{x_n}^{\mu_n} \big|_{x_n=0} p(x)$$

$$\Rightarrow \text{Cap}_{(\mu_1, \dots, \mu_{n-1})} \left(\frac{1}{\mu_n!} \partial_{x_n}^{\mu_n} \big|_{x_n=0} p(x) \right) \geq C_{\mu_n} \cdot \text{Cap}_{\mu}(p)$$

(Idea of "Capacity preserving operators": derivative operator can only decrease Capacity by so much)

Now, by induction,

$$P_{\mu} = \langle x_1^{\mu_1} \dots x_{n-1}^{\mu_{n-1}} \rangle \frac{1}{\mu_n!} \partial_{x_n}^{\mu_n} \Big|_{x_n=0} p(x)$$

$$\geq \binom{d-\mu_n}{\mu_1, \dots, \mu_{n-1}} \cdot \frac{\mu_1^{\mu_1} \dots \mu_{n-1}^{\mu_{n-1}}}{(d-\mu_n)^{d-\mu_n}}$$

$$\cdot \text{Cap}_{(\mu_1, \dots, \mu_{n-1})} \left(\frac{1}{\mu_n!} \partial_{x_n}^{\mu_n} \Big|_{x_n=0} p \right),$$

$$\text{since } \deg \left(\frac{1}{\mu_n!} \partial_{x_n}^{\mu_n} \Big|_{x_n=0} p \right) = d - \mu_n.$$

Thus,

$$P_{\mu} \geq \frac{(d-\mu_n)!}{\mu_1! \dots \mu_{n-1}!} \cdot \frac{\mu_1^{\mu_1} \dots \mu_{n-1}^{\mu_{n-1}}}{(d-\mu_n)^{d-\mu_n}}$$

$$\cdot \frac{d!}{\mu_n! (d-\mu_n)!} \cdot \frac{\mu_n^{\mu_n} (d-\mu_n)^{d-\mu_n}}{d^d} \cdot \text{Cap}_{\mu}(p)$$

(Simplifying gives the result.) \square

(Note that if p real stable, $q(t)$ has ultra log-concave coeff. w.r.t. $\deg(q(t)) \Rightarrow$ better bounds via per-variable deg.)