

A NOTE ON MEDIATED SIMPLICES

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ABSTRACT. Many homogeneous polynomials that arise in the study of sums of squares and Hilbert’s 17th problem come from monomial substitutions into the arithmetic-geometric inequality. In 1989, the second author gave a necessary and sufficient condition for such a form to have a representation as a sum of squares of forms [*Math. Ann.* **283**, 431–464], involving the arrangement of lattice points in the simplex whose vertices were the n -tuples of the exponents used in the substitution. Further, a claim was made, and not proven, that sufficiently large dilations of any such simplex will also satisfy this condition. The aim of this short note is to prove the claim, and provide further context for the result, both in the study of Hilbert’s 17th Problem and the study of lattice point simplices.

1. INTRODUCTION

In 1989, the second author considered [14] a class of homogeneous polynomials (forms) which had arisen in the study of Hilbert’s 17th Problem as monomial substitutions into the arithmetic-geometric inequality. The goal was to determine when such a form, which must be positive semidefinite, had a representation as a sum of squares of forms. The answer was a necessary and sufficient condition involving the arrangement of lattice points in the simplex whose vertices were the n -tuples of the exponents used in the substitution. Further, a claim was made in [14], and not proven, that sufficiently large dilations of any such simplex will also satisfy this condition. The aim of this short note is to prove the claim, and provide further context for the result, both in the study of Hilbert’s 17th Problem and the study of lattice point simplices. The second author is happy to acknowledge that the return to this claim was triggered by two nearly simultaneous events: an invitation to speak at the 2019 SIAM Conference on Applied Algebraic Geometry, and a request from Jie Wang for a copy of [15], which was announced in [14] but never written.

2. PRELIMINARIES

We work with homogeneous polynomials (forms) in $\mathbb{R}[x] = \mathbb{R}[x_1, \dots, x_n]$, the ring of real polynomials in n variables. Write the monomial $x_1^{\alpha_1} \cdots x_n^{\alpha_n}$ as x^α , for $\alpha = (\alpha_1, \dots, \alpha_n) \in \mathbb{Z}^n$. For $p(x) = \sum_\alpha c(\alpha)x^\alpha \in \mathbb{R}[x]$, let $\text{supp}(p) = \{\alpha \mid c(\alpha) \neq 0\}$, write $\text{New}(p)$ for the *Newton polytope* of p , that is, the convex hull of $\text{supp}(p)$, and let $C(p) = \text{New}(p) \cap \mathbb{Z}^n$.

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A form $p \in \mathbb{R}[x]$ is *positive semidefinite* or *psd* if $p(x) \geq 0$ for all $x \in \mathbb{R}^n$. It is a *sum of squares* or *sos* if $p = \sum_j h_j^2$ for forms $h_j \in \mathbb{R}[x]$. Clearly, every sos form is psd. In 1888, D. Hilbert [8] proved that there exist psd forms which are not sos.

The *arithmetic-geometric inequality* (or *AGI*) states that if $t_i \geq 0$, $\lambda_i \geq 0$ and $\sum_{i=1}^n \lambda_i = 1$, then

$$\lambda_1 t_1 + \cdots + \lambda_n t_n \geq t_1^{\lambda_1} \cdots t_n^{\lambda_n},$$

with equality only if the t_i 's are equal. In 1891, A. Hurwitz [9] gave a proof of the AGI, in which the key step was setting $\lambda_i = a_i/N$ where $a_i \in \mathbb{Z}^n$ with $\sum a_i = N$ for even N , and $t_i = x_i^N$. Under this substitution and a scaling, one obtains the form

$$a_1 x_1^N + \cdots + a_n x_n^N - N x_1^{a_1} \cdots x_n^{a_n}.$$

Hurwitz then proves that each such form is sos (in fact, a sum of squares of binomials), and hence psd. (He cites [8] to observe that this is not automatic.) For example, after a scaling and relabeling of the x_i 's as x, y, z , we have

$$\begin{aligned} H(x, y, z) &:= x^6 + y^6 + z^6 - 3x^2 y^2 z^2 \\ &= \frac{3}{2}(x^2 y - y z^2)^2 + (x^3 - x y^2)^2 + \frac{1}{2}(x^2 y - y^3)^2 + (z^3 - y^2 z)^2 + \frac{1}{2}(y z^2 - y^3)^2. \end{aligned}$$

For more on Hurwitz' proof, see [13], where Eq. (3.5) gives a representation of H as a sum of four squares, one of which is the square of a trinomial.

The first explicit example of a psd form which is not sos was presented in 1967 by T. Motzkin [11]. It, too, arises as a substitution into the AGI: let $t_1 = x^4 y^2, t_2 = x^2 y^4, t_3 = z^6$, $\lambda_i = \frac{1}{3}$ and scale:

$$M(x, y, z) := x^4 y^2 + x^2 y^4 + z^6 - 3x^2 y^2 z^2.$$

The proof that M is not sos was based on a preliminary argument that if $M = \sum h_j^2$, then $h_j(x, y, z) = c_{1j} x^2 y + c_{2j} x y^2 + c_{3j} z^3 + c_{4j} x y z$: the coefficient of $x^2 y^2 z^2$ in $\sum h_j^2$ is then $\sum c_{4j}^2 \neq -3$. The argument of Motzkin's proof was formalized in [12], where it is shown that, in general, $p = \sum h_j^2$ implies that $C(h_j) \subseteq \frac{1}{2}C(p)$.

The following machinery was developed in [12, 14] to analyze such forms. Suppose $\{u_1, \dots, u_n\}$ with $u_i \in (2\mathbb{Z}_{\geq 0})^n$ and $\sum_{j=1}^n u_{ij} = 2d$. We further assume that $\mathcal{U} = \text{conv}(\{u_1, \dots, u_n\})$ is a simplex, and that $w \in \mathcal{U} \cap \mathbb{Z}^n$ has the barycentric representation $w = \sum \lambda_i u_i$, $\lambda_i \geq 0$ and $\sum_{i=1}^n \lambda_i = 1$. In this way, the substitution $\{t_i = x^{u_i}\}$ into the AGI yields a psd form of degree $2d$,

$$p(x) = \lambda_1 x^{u_1} + \cdots + \lambda_n x^{u_n} - x^w.$$

This was called an *agiform* in [14]. Observe that $C(p) = \mathcal{U} \cap \mathbb{Z}^n$. More generally, a polynomial for which $\text{supp}(p) = \{u_1, \dots, u_n, w\}$ is called a *circuit polynomial*. Circuit polynomials have recently been studied by M. Dressler, J. Forsgård, S. Ilman, T. de Wolff, and J. Wang; see for example [10], [2], [3], [16]. Interest in circuit polynomials is in part due to their use in finding efficiently-computable certificates of positivity based on the AGI, which are then independent of sos representations.

There is a geometric criterion which determines whether an agiform is sos.

Definition. Suppose \mathcal{U} is given as above, and let $S \subset \mathcal{U} \cap \mathbb{Z}^n$ be a set of lattice points containing the u_i 's. Then S is \mathcal{U} -mediated if for every $y \in S$, either $y = u_i$ for some i , or there exist $z_1 \neq z_2 \in S \cap (2\mathbb{Z})^n$ so that $y = \frac{1}{2}(z_1 + z_2)$. In other words, S is \mathcal{U} -mediated if every point in S is either a vertex of \mathcal{U} or an average of two different even points in \mathcal{U} .

Theorem 2.1. [14, Cor. 4.9] *With \mathcal{U}, λ_i as above, the agiform $\lambda_1 x^{u_1} + \dots + \lambda_n x^{u_n} - x^w$ is sos if and only if there is a \mathcal{U} -mediated set containing w .*

Up to scaling, both H and M are agiforms, since $w = (2, 2, 2)$ is the centroid to both $\mathcal{U}_1 = \{(4, 2, 0), (2, 4, 0), (0, 0, 6)\}$ and $\mathcal{U}_2 = \{(6, 0, 0), (0, 6, 0), (0, 0, 6)\}$. By Theorem 2.1, M is not sos because $\mathcal{U}_1 \cap (2\mathbb{Z})^3 = \mathcal{U}_1 \cup \{w\}$ and it is impossible to write w as an average of two different members of this set. However, it is easy to check that the set

$$S = \{(6, 0, 0), (0, 6, 0), (0, 0, 6), (2, 2, 2), (4, 2, 0), (2, 4, 0), (0, 2, 4), (0, 4, 2)\}$$

is \mathcal{U}_2 -mediated, providing an independent proof that H is sos.

We refer the reader to [14] for the separate proofs of the necessity and sufficiency in Theorem 2.1.

3. MAIN THEOREM

The following theorem was asserted in [14, Prop.2.7].

Theorem 3.1. *For every integer $k \geq \max\{2, n - 2\}$, $k\mathcal{U} \cap \mathbb{Z}^n$ is $(k\mathcal{U})$ -mediated.*

Corollary 3.2. *Any agiform $p \in \mathbb{R}[x_1, \dots, x_n]$ can be written as a sum of squares of forms in the variables $x_i^{1/k}$ for $k \geq \max\{2, n - 2\}$.*

To prove Theorem 3.1, we show that $k\mathcal{U} \cap \mathbb{Z}^n$ is $k\mathcal{U}$ -mediated. That is, we show that any non-vertex $w \in k\mathcal{U} \cap \mathbb{Z}^n$ is the average of two different points in $k\mathcal{U} \cap (2\mathbb{Z})^n$. For ease of exposition, we first prove a weaker version (Theorem 3.5) in which $k \geq n - 1$. The full proof for $n \geq 4$ and $k = n - 2$ (Theorem 3.6) is more delicate. We defer the discussion of Corollary 3.2 to the next section.

We start with some notation and lemmas. First, recall that $t \in \mathbb{R}$ may be written as $t = \lfloor t \rfloor + \{t\}$, where $\lfloor t \rfloor \in \mathbb{Z}$ and $\{t\} \in [0, 1)$. Also, if $v = \sum a_i u_i \in k\mathcal{U}$ with $a_i \in \mathbb{Z}_{\geq 0}$, $\sum a_i = k$, then we say that v is a *bead*. Observe that beads are always even.

Lemma 3.3. *Suppose $k > 1$ and $v \in k\mathcal{U} \cap \mathbb{Z}^n$ is a non-vertex bead. Then v is an average of two different beads in $k\mathcal{U}$.*

Proof. Suppose that $v = \sum a_i u_i$ is a non-vertex bead. At least two of the a_i 's must be positive; without loss of generality, suppose $a_1, a_2 \geq 1$. Then v is the average of the beads $v \pm (u_1 - u_2)$ in $k\mathcal{U}$. \square

Lemma 3.4. *Suppose non-negative integers b_i are given and $\sum_{i=1}^n b_i = R$. If $S \leq R$, then there exist non-negative integers a_i so that $a_i \leq b_i$ and $\sum_{i=1}^n a_i = S$.*

Proof. Define the partial sums $s_k := \sum_{i=1}^k b_i$ and choose the largest k so that $s_k \leq S$. Then set $a_i = b_i$ for $i = 1, \dots, k$; $a_{k+1} = S - s_k$; and $a_j = 0$ for $j = k + 2, \dots, n$. \square

Theorem 3.5. *If $k \geq n - 1$, then $k\mathcal{U} \cap \mathbb{Z}^n$ is $(k\mathcal{U})$ -mediated.*

Proof. Suppose $w \in k\mathcal{U} \cap \mathbb{Z}^n$ is not a vertex, then we must show that w is an average of two different points in $k\mathcal{U} \cap (2\mathbb{Z})^n$. If w is a bead, we are done by Lemma 3.3, so assume that w is not a bead. If we can find a bead $v = \sum a_i u_i \in k\mathcal{U}$ such that $2w - v \in k\mathcal{U}$, then w is the average of v and $2w - v$, both of which are even. Further, $v \neq 2w - v$ since v is a bead and w is not.

Let $w = \sum_{i=1}^n \lambda_i (k u_i) = \sum_{i=1}^n \beta_i u_i$; since w is not a bead, at least one $\beta_i \notin \mathbb{Z}$. It remains to show that we can find $a_i, \dots, a_n \in \mathbb{Z}$ such that $\sum a_i u_i \in k\mathcal{U}$ and

$$2w - \sum_{i=1}^n a_i u_i = \sum_{i=1}^n (2\beta_i - a_i) v_i \in k\mathcal{U}.$$

That is, we need to show there exist $a_i \in \mathbb{Z}_{\geq 0}$ with $\sum a_i = k$, so that $2\beta_i \geq a_i$ for all i ; it suffices to find a_i so that $\lfloor 2\beta_i \rfloor \geq a_i$.

We have $\sum_{i=1}^n \lfloor 2\beta_i \rfloor > \sum_{i=1}^n (2\beta_i - 1) = 2k - n$, and since the $\lfloor 2\beta_i \rfloor$'s and $2k - n$ are integers, a strict inequality implies a gap of at least 1. Then

$$\sum_{i=1}^n \lfloor 2\beta_i \rfloor \geq 2k - n + 1 = k + (k - (n - 1)) \geq k.$$

By Lemma 3.4, this means we can find the desired a_i 's, completing the proof. \square

The Motzkin example shows that if $n = 3$, then $(3 - 2)\mathcal{U}_1 \cap \mathbb{Z}^3$ is not a mediated set; however, for larger n , a multiplier of $n - 2$ will work.

Theorem 3.6. *If $n \geq 4$, then $(n - 2)\mathcal{U} \cap \mathbb{Z}^n$ is $((n - 2)\mathcal{U})$ -mediated.*

Proof. We shall show that if $w \in (n - 2)\mathcal{U} \cap \mathbb{Z}^n$, then one of three things can occur. In many cases, the argument of Theorem 3.5 can be used to write w as an average of a bead and another even point. If this argument fails, we can construct a “new” interior point $\tilde{u} \in \mathcal{U} \cap (2\mathbb{Z})^n$. If $w = (n - 2)\tilde{u}$, we show that w is an average of two different even points in $(n - 2)\mathcal{U}$. Otherwise, we may subdivide \mathcal{U} into n subsimplices \mathcal{U}_ℓ , using \tilde{u} in place of each of the vertices in turn. Since w must belong to one of the $(n - 2)\mathcal{U}_\ell$'s, and is not a vertex, we may repeat the argument. The original simplex has only finitely many interior points, so this last case can only be invoked finitely many times, and this will complete the proof.

Let $w = \sum_{i=1}^n \beta_i u_i$ as before and assume w is neither a vertex nor a bead. We have

$$\sum_{i=1}^n \lfloor 2\beta_i \rfloor \geq 1 + \sum_{i=1}^n (2\beta_i - 1) = 1 + 2(n - 2) - n = n - 3.$$

If this sum is $\geq n - 2$, then we may proceed as in the proof of Theorem 3.5 and find a bead v so that $2w - v$ is in $(n - 2)\mathcal{U}$.

In the remaining case, $\sum_{i=1}^n \lfloor 2\beta_i \rfloor = n - 3$ implies

$$\sum_{i=1}^n \{2\beta_i\} = \sum_{i=1}^n (2\beta_i - \lfloor 2\beta_i \rfloor) = 2(n-2) - (n-3) = n-1.$$

Since each $\{2\beta_i\} < 1$, it follows that none of the summands is zero; that is, $2\beta_i \notin \mathbb{Z}$. Further, $\sum_{i=1}^n (1 - \{2\beta_i\}) = n - (n-1) = 1$, and each $1 - \{2\beta_i\}$ is positive. Define

$$\tilde{u} := \sum_{i=1}^n (1 - \{2\beta_i\})u_i = \sum_{i=1}^n (1 - (2\beta_i - \lfloor 2\beta_i \rfloor))u_i = \sum_{i=1}^n (1 + \lfloor 2\beta_i \rfloor)u_i - 2w.$$

Then \tilde{u} is strictly interior to \mathcal{U} (since $1 - \{2\beta_i\} > 0$) and is also an even point. In case $w \neq (n-2)\tilde{u}$, we proceed as noted at the beginning of the proof, subdivide and repeat. This step can only be invoked finitely many times.

Otherwise,

$$\begin{aligned} w &= (n-2)\tilde{u} = (n-2) \left(\sum_{i=1}^n (1 + \lfloor 2\beta_i \rfloor)u_i - 2w \right) \implies \\ (2n-3)w &= (n-2) \left(\sum_{i=1}^n (1 + \lfloor 2\beta_i \rfloor)u_i \right) = (n-2)y, \end{aligned}$$

for some bead $y \in (2n-3)\mathcal{U}$. Let $d_i := 1 + \lfloor 2\beta_i \rfloor \geq 0$, so that $\tilde{u} = \sum_{i=1}^n \frac{d_i}{2n-3}u_i$, where $1 \leq d_i \in \mathbb{Z}$ and $\sum_i d_i = 2n-3$. Since $n \geq 4$, $2n-3 > n$, thus at least one of the d_i 's is > 1 . Without loss of generality assume that $d_1 \geq 2$.

We now note that $w = (n-2)\tilde{u}$ is the average of $(n-3)\tilde{u} + u_1$ and $(n-1)\tilde{u} - u_1$, both of which are evidently even points. The first is obviously in $(n-2)\mathcal{U}$. The second, $(n-1)\tilde{u} - u_1$, can be written as

$$(n-1) \left(\sum_{i=1}^n \frac{d_i}{2n-3}u_i \right) - u_1 = \left(\frac{(n-1)d_1}{2n-3} - 1 \right) u_1 + \sum_{i=2}^n \frac{(n-1)d_i}{2n-3}u_i.$$

Since $d_1 \geq 2$, the coefficient of u_1 is $\geq \frac{2n-2}{2n-3} - 1 > 0$. Thus, $(n-1)\tilde{u} - u_1$ is in $(n-2)\mathcal{U}$, so w is an average of two different even points in $(n-2)\mathcal{U}$, completing the proof. \square

4. IMPLICATION FOR HILBERT'S 17TH PROBLEM

Proof of Corollary 3.2. Suppose $p(x) = \lambda_1 x^{u_1} + \dots + \lambda_n x^{u_n} - x^w$. Let

$$q(x_1, \dots, x_n) := p(x_1^k, \dots, x_n^k) = \lambda_1 x^{ku_1} + \dots + \lambda_n x^{ku_n} - x^{kw},$$

which is also an agiform. By Theorems 2.1 and 3.1, q is sos, and so

$$q = \sum_{j=1}^r h_j^2 \implies p(x_1, \dots, x_n) = \sum_{j=1}^r h_j^2(x_1^{1/k}, \dots, x_n^{1/k}),$$

which shows that p has the desired representation. \square

At the time that [14] was written, and the proof given here was relegated to the proposed preprint [15], the second author entertained the possibility that such a result might be true for any psd form. Unfortunately, he discovered that the so-called ‘‘Horn form’’ was a counterexample, and then abandoned writing [15]. The Horn form was communicated to M. Hall by A. Horn in the early 1960s, as a counterexample to a conjecture of P. H. Diananda (see [1, p.25] and [4, p.334-5]).

Our example comes from squaring the variables in the Horn form, but the essence of this proof is found in the original. Let

$$F(x_1, \dots, x_5) = \left(\sum_{j=1}^5 x_j^2 \right)^2 - 4 \sum_{j=1}^5 x_j^2 x_{j+1}^2.$$

We view the subscripts cyclically mod 5, so that the coefficient of $x_j^2 x_k^2$ is -2 (resp. 2) if $|k - j| = 1$ (resp. $|k - j| = 2$); F is cyclically symmetric:

$$F(x_1, x_2, x_3, x_4, x_5) = F(x_2, x_3, x_4, x_5, x_1) = \dots$$

We first show that F is psd. Consider $a \in \mathbb{R}^5$; by the cyclic symmetry, we may assume that $a_1^2 \leq a_2^2$. We have the alternate representation

$$F(x_1, \dots, x_5) = (x_1^2 - x_2^2 + x_3^2 - x_4^2 + x_5^2)^2 + 4(x_2^2 - x_1^2)x_5^2 + 4x_1^2 x_4^2,$$

hence $F(a) \geq 0$, and so F is psd.

Suppose $F = \sum h_j^2$ and let the coefficient of x_ℓ^2 in h_j be $b_{j\ell}$. Then

$$(x_1^2 - x_2^2 + x_3^2)^2 = F(x_1, x_2, x_3, 0, 0) = \sum_{j=1}^r h_j^2(x_1, x_2, x_3, 0, 0).$$

Since the quadratic form $h_j(x_1, x_2, x_3, 0, 0)$ vanishes on the (irreducible) real cone $g(x_1, x_2, x_3) = x_1^2 - x_2^2 + x_3^2 = 0$, it must be a multiple of g ; thus, $b_{j1} = -b_{j2} = b_{j3}$. By cycling the variables, we see that $b_{j2} = -b_{j3} = b_{j4}$, $b_{j3} = -b_{j4} = b_{j5}$ and $b_{j4} = -b_{j5} = b_{j1}$, so that $b_{j1} = -b_{j1} = 0$ for all j . This implies that the coefficient of x_1^4 in h_j is $\sum_j b_{j1}^2 = 0$, so each $h_j(x_1, x_2, x_3, 0, 0) = 0 \cdot g$, a contradiction.

Suppose $F(x_1^k, \dots, x_5^k)$ is sos. The proof proceeds as before, leading to the equation

$$(x_1^{2k} - x_2^{2k} + x_3^{2k})^2 = F(x_1^k, x_2^k, x_3^k, 0, 0) = \sum_{j=1}^r h_j^2(x_1, x_2, x_3, 0, 0).$$

Each form $h_j(x_1, x_2, x_3, 0, 0)$, which has degree $2k$, vanishes on the irreducible real variety $x_1^{2k} - x_2^{2k} + x_3^{2k} = 0$, and hence must be a multiple of it. We obtain the same fatal alternation of the coefficients of x_ℓ^{2k} which leads to the contradiction. Therefore, $F(x_1^k, x_2^k, x_3^k, x_4^k, x_5^k)$ is never sos.

5. IMPLICATION FOR POLYTOPES

From the point of view of polytopes, one would more naturally write $\mathcal{U} = 2\mathcal{P}$, where P is a lattice-point simplex in \mathbb{R}^n . Further, the conditions that the vertices lie on a hyperplane and have non-negative coefficients seem artificial. In this way, we can drop the n -th component, so that \mathcal{P} is the usual n -point lattice simplex in \mathbb{R}^{n-1} .

Let $d = n - 1$. Then Theorem 3.1 says that if $k \geq \max\{2, d - 1\}$, then a non-vertex $w \in 2k\mathcal{P} \cap Z^d$ can be written as a sum of two different points in $w \in k\mathcal{P} \cap Z^d$.

Requiring different points comes from the application to agiforms. There is some literature on this subject without that requirement, which means that one needn't treat vertices as a special case. The question then becomes: when can $w \in 2k\mathcal{P} \cap Z^d$ be written as a sum of two points in $k\mathcal{P} \cap Z^d$? This has been studied by D. Handelman [5, 6, 7]. In particular, [7] contains a proof using the Shapley-Folkman Lemma that if $k \geq d - 1$ (even for $n - 1 = d = 2$), then every point in $2k\mathcal{P} \cap Z^d$ is a sum of two (not necessarily distinct) points in $k\mathcal{P} \cap Z^d$.

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