

On the exactness of moment relaxations

(joint work with Tom-Lukas Kriel)

Markus Schweighofer

Universität Konstanz

Dagstuhl seminar on limitations of convex programming

February 15-20, 2015

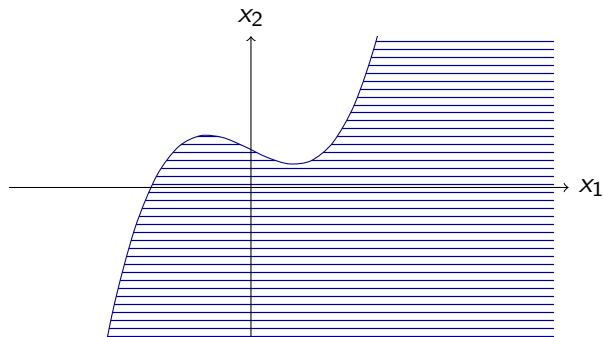
System of polynomial inequalities

$$\begin{array}{rcccccccc} & & & x_1^3 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ - & x_2^4 & + & 2x_1^2 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ & & - & x_1^2 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

System of polynomial inequalities

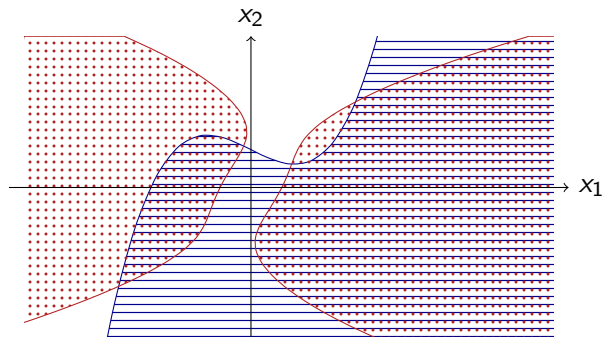
A

$$\begin{array}{rcccccccc} & & & x_1^3 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ - & x_2^4 & + & 2x_1^2 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ & & - & x_1^2 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$



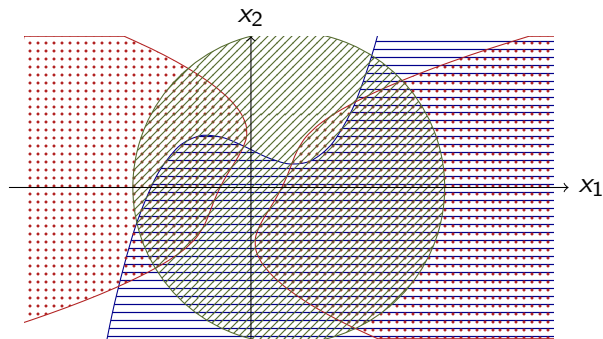
System of polynomial inequalities

$$\begin{array}{l} A \\ B \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$



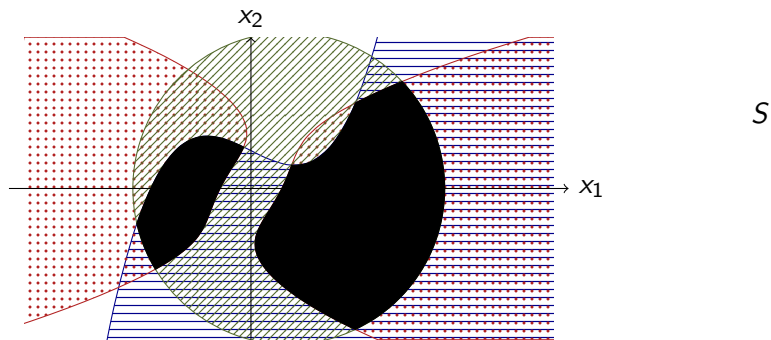
System of polynomial inequalities

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$



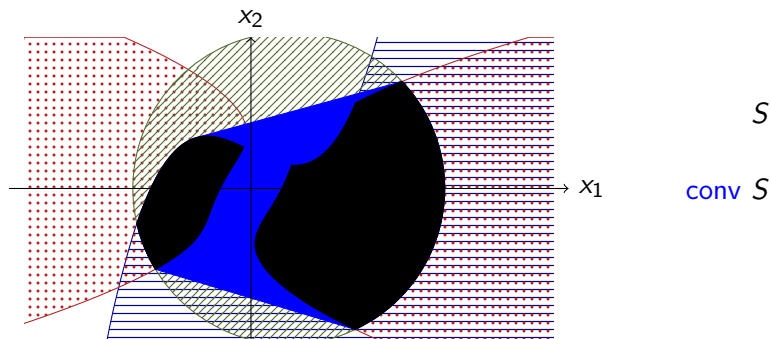
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System of polynomial inequalities

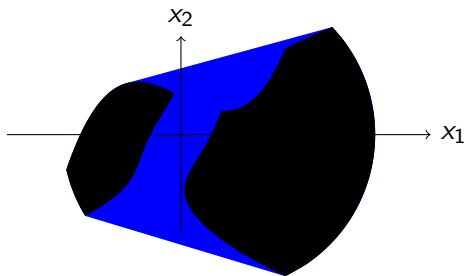
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System of polynomial inequalities

Very naive linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$



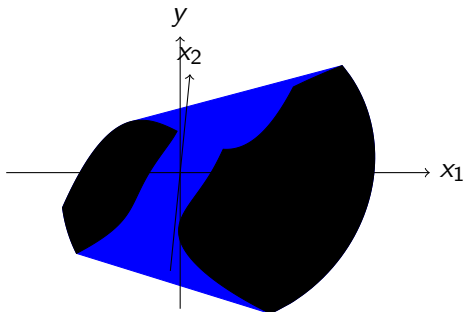
S

conv S

System of polynomial inequalities

Very naive linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$



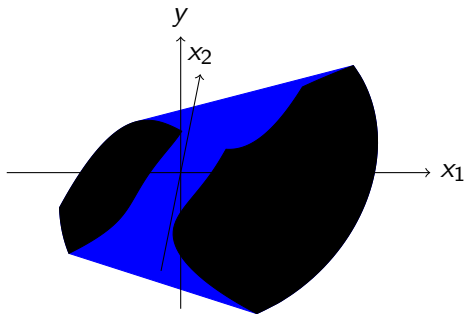
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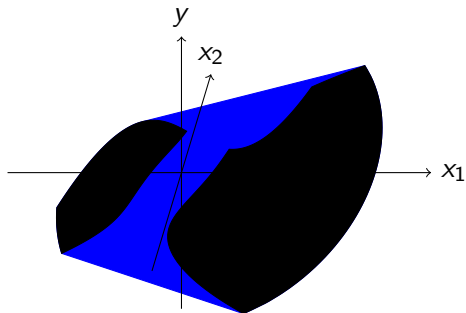
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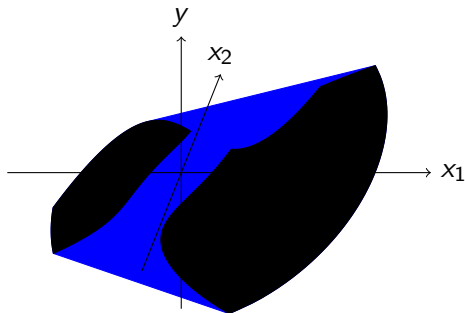
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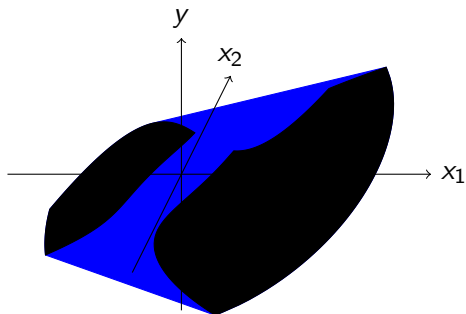
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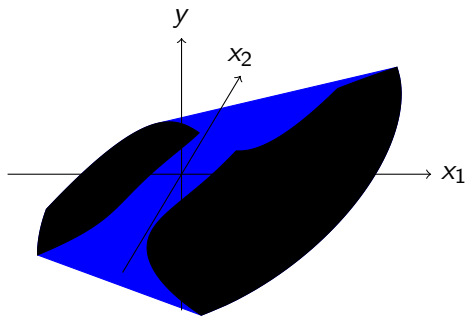
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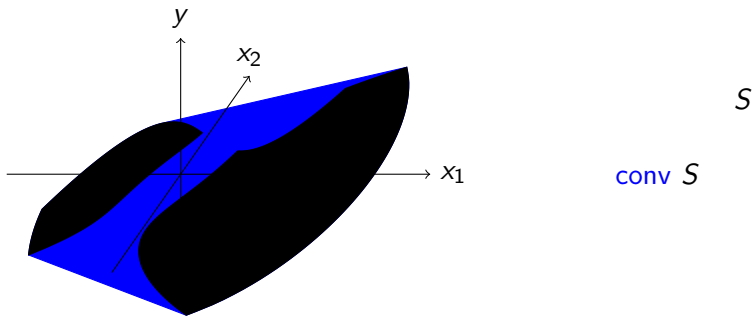
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System of polynomial inequalities

Very naive linearization

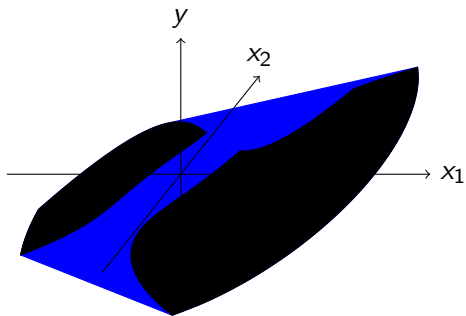
$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$



System of polynomial inequalities

Very naive linearization

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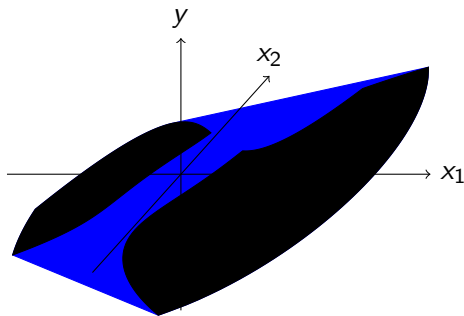
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System of polynomial inequalities

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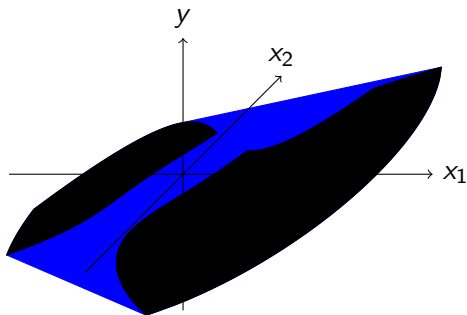


conv S

System of polynomial inequalities

Very naive linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \begin{array}{r} x_2^4 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \begin{array}{r} x_1^3 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

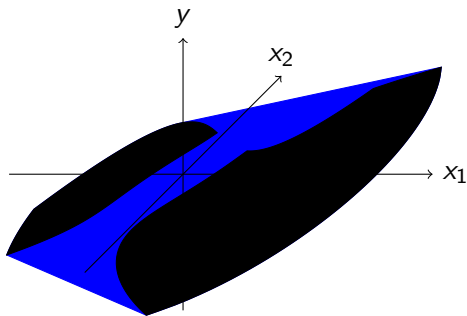


conv S

System of polynomial inequalities

Very naive linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ - \\ - \end{array} \quad \begin{array}{r} y_1 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ + \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

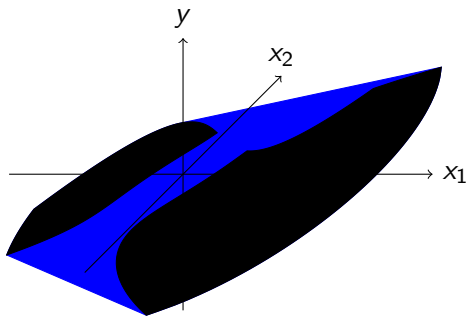


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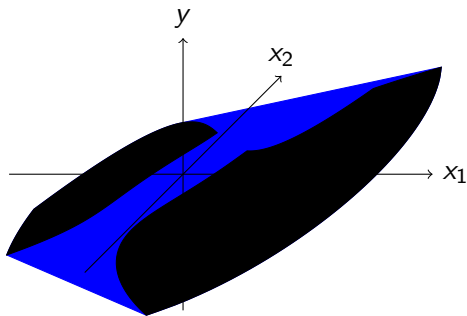


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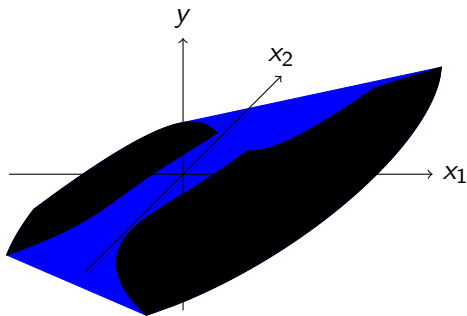


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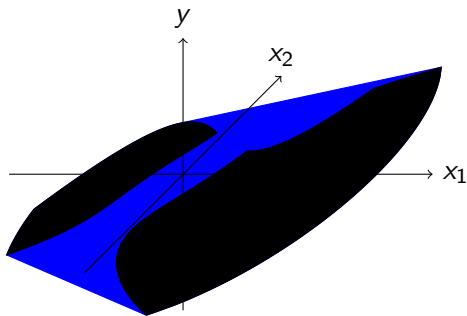


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System of polynomial inequalities

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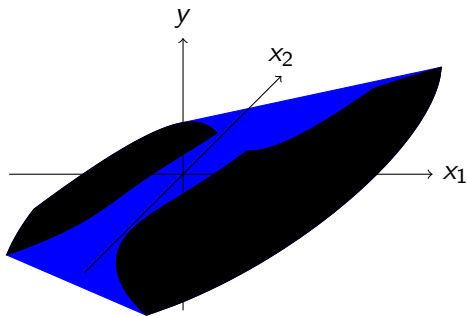


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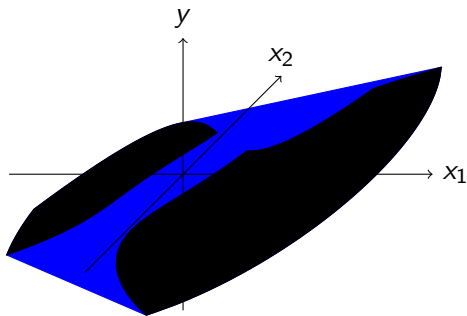


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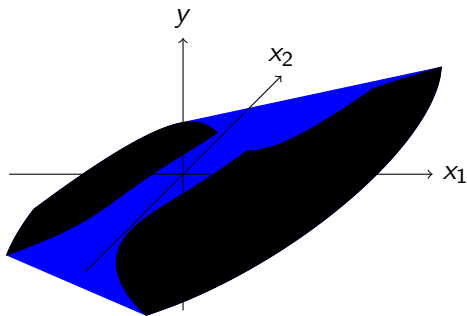


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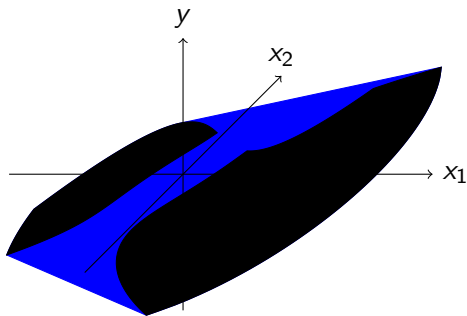


conv S

System of linear inequalities

Very naive linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

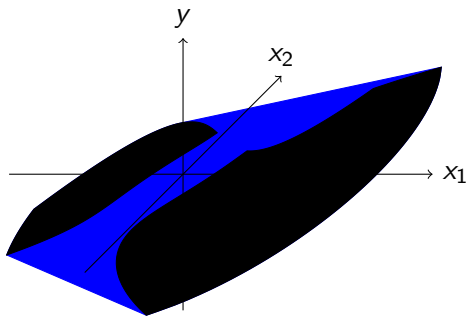


conv S

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conv S

System of polynomial inequalities

Less naive linearization

$$\begin{array}{rcccccccccccc} A & & & & x_1^3 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & x_2^4 & + & 2x_1^2 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & x_1^2 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

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redundant:

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{redundant:} \\ AB \end{array} \begin{array}{r} \\ - \\ \\ - \\ - \end{array} \begin{array}{r} \\ x_2^4 \\ \\ x_1^3 x_2^4 \\ \end{array} \begin{array}{r} \\ + \\ - \\ + \\ + \end{array} \begin{array}{r} \\ 2x_1^2 \\ x_1^2 \\ \dots \\ \end{array} \begin{array}{r} \\ - \\ - \\ + \\ + \end{array} \begin{array}{r} \\ 2x_1 x_2 \\ x_2^2 \\ x_2^2 \\ x_2^2 \\ \end{array} \begin{array}{r} \\ + \\ + \\ + \\ + \end{array} \begin{array}{r} \\ x_2^2 \\ x_1 \\ x_1 \\ \frac{2}{3}x_2 \\ \end{array} \begin{array}{r} \\ - \\ + \\ + \\ - \end{array} \begin{array}{r} \\ 1 \\ \frac{1}{3} \\ 4 \\ \frac{1}{3} \\ \end{array} \begin{array}{r} \\ \geq \\ \geq \\ \geq \\ \geq \\ \end{array} \begin{array}{r} \\ 0 \\ 0 \\ 0 \\ 0 \\ \end{array}$$

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{redundant:} \\ AB \\ AC \end{array} \begin{array}{r} \\ - \\ \\ - \\ - \end{array} \begin{array}{r} \\ x_2^4 \\ \\ x_1^3 x_2^4 \\ x_1^5 \end{array} \begin{array}{r} \\ + \\ - \\ + \\ + \end{array} \begin{array}{r} \\ 2x_1^2 \\ \\ \dots \\ \dots \end{array} \begin{array}{r} \\ - \\ - \\ + \\ - \end{array} \begin{array}{r} \\ x_1 \\ x_2^2 \\ x_2^2 \\ x_2^2 \\ x_1 \end{array} \begin{array}{r} \\ + \\ + \\ + \\ + \end{array} \begin{array}{r} \\ x_2^2 \\ x_2^2 \\ x_1 \\ \frac{2}{3}x_2 \\ 8x_2 \end{array} \begin{array}{r} \\ - \\ + \\ - \\ - \end{array} \begin{array}{r} \\ \frac{1}{3} \\ 4 \\ \frac{1}{3} \\ 4 \end{array} \begin{array}{r} \\ \geq \\ \geq \\ \geq \\ \geq \end{array} \begin{array}{r} \\ 0 \\ 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{redundant:} \\ AB \\ AC \\ ABC \end{array} \begin{array}{r} \\ - \\ \\ \\ - \\ - \\ - \end{array} \begin{array}{r} \\ x_2^4 \\ \\ x_1^3 x_2^4 \\ x_1^5 \\ x_1^5 x_2^4 \end{array} \begin{array}{r} \\ + \\ - \\ + \\ + \\ + \\ + \end{array} \begin{array}{r} \\ 2x_1^2 \\ x_1^2 \\ \dots \\ \dots \\ \dots \end{array} \begin{array}{r} \\ - \\ - \\ + \\ - \\ - \\ - \end{array} \begin{array}{r} \\ x_1 \\ 2x_1 x_2 \\ x_2^2 \\ x_2^2 \\ x_1 \\ x_2^2 \\ x_1 \\ x_1 \\ \frac{13}{3} x_2^2 \end{array} \begin{array}{r} \\ + \\ + \\ + \\ + \\ + \\ + \end{array} \begin{array}{r} \\ x_2^2 \\ x_2^2 \\ x_1 \\ \frac{2}{3} x_2 \\ 8x_2 \\ \frac{8}{3} x_2 \end{array} \begin{array}{r} \\ + \\ - \\ + \\ - \\ - \\ + \end{array} \begin{array}{r} \\ 1 \\ \frac{1}{3} \\ 4 \\ \frac{1}{3} \\ 4 \\ \frac{4}{3} \end{array} \begin{array}{r} \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \end{array} \begin{array}{r} \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

A				x_1^3	$-$	x_1	$-$	$2x_2$	$+$	1	\geq	0		
B	$-$	x_2^4	$+$	$2x_1^2$	$-$	$2x_1x_2$	$+$	x_2^2	$-$	$\frac{1}{3}$	\geq	0		
C			$-$	x_1^2	$-$	x_2^2	$+$	x_1	$+$	4	\geq	0		
redundant:														
AB	$-$	$x_1^3x_2^4$	$+$	\dots	$+$	x_2^2	$+$	$\frac{2}{3}x_2$	$-$	$\frac{1}{3}$	\geq	0		
AC			$+$	x_1^5	$+$	\dots	$-$	x_1	$+$	$8x_2$	$-$	4	\geq	0
ABC	$-$	$x_1^5x_2^4$	$+$	\dots	$-$	$\frac{13}{3}x_2^2$	$-$	$\frac{8}{3}x_2$	$+$	$\frac{4}{3}$	\geq	0		
D^2						x_1^2	$-$	$2x_1x_2$	$+$	x_2^2	\geq	0		
D^2C	$-$	x_1^4	$+$	\dots	$+$	$4x_1^2$	$+$	$4x_1x_2$	$+$	$4x_2^2$	\geq	0		

System of polynomial inequalities

Less naive linearization

A				x_1^3	-	x_1	-	$2x_2$	+	1	\geq	0
B	-	x_2^4	+	$2x_1^2$	-	$2x_1x_2$	+	x_2^2	-	$\frac{1}{3}$	\geq	0
C			-	x_1^2	-	x_2^2	+	x_1	+	4	\geq	0
redundant:												
AB	-	$x_1^3x_2^4$	+	...	+	x_2^2	+	$\frac{2}{3}x_2$	-	$\frac{1}{3}$	\geq	0
AC		x_1^5	+	...	-	x_1	+	$8x_2$	-	4	\geq	0
ABC	-	$x_1^5x_2^4$	+	...	-	$\frac{13}{3}x_2^2$	-	$\frac{8}{3}x_2$	+	$\frac{4}{3}$	\geq	0
D^2						x_1^2	-	$2x_1x_2$	+	x_2^2	\geq	0
D^2C	-	x_1^4	+	...	+	$4x_1^2$	+	$4x_1x_2$	+	$4x_2^2$	\geq	0

System of polynomial inequalities

Less naive linearization

A				y_1	$-$	x_1	$-$	$2x_2$	$+$	1	\geq	0
B	$-$	x_2^4	$+$	$2x_1^2$	$-$	$2x_1x_2$	$+$	x_2^2	$-$	$\frac{1}{3}$	\geq	0
C			$-$	x_1^2	$-$	x_2^2	$+$	x_1	$+$	4	\geq	0
irredundant:												
AB	$-$	$x_1^3x_2^4$	$+$	\dots	$+$	x_2^2	$+$	$\frac{2}{3}x_2$	$-$	$\frac{1}{3}$	\geq	0
AC		x_1^5	$+$	\dots	$-$	x_1	$+$	$8x_2$	$-$	4	\geq	0
ABC	$-$	$x_1^5x_2^4$	$+$	\dots	$-$	$\frac{13}{3}x_2^2$	$-$	$\frac{8}{3}x_2$	$+$	$\frac{4}{3}$	\geq	0
D^2						x_1^2	$-$	$2x_1x_2$	$+$	x_2^2	\geq	0
D^2C	$-$	x_1^4	$+$	\dots	$+$	$4x_1^2$	$+$	$4x_1x_2$	$+$	$4x_2^2$	\geq	0

System of polynomial inequalities

Less naive linearization

A				y_1	$-$	x_1	$-$	$2x_2$	$+$	1	\geq	0
B	$-$	y_2	$+$	$2x_1^2$	$-$	$2x_1x_2$	$+$	x_2^2	$-$	$\frac{1}{3}$	\geq	0
C			$-$	x_1^2	$-$	x_2^2	$+$	x_1	$+$	4	\geq	0
irredundant:												
AB	$-$	$x_1^3x_2^4$	$+$	\dots	$+$	x_2^2	$+$	$\frac{2}{3}x_2$	$-$	$\frac{1}{3}$	\geq	0
AC		x_1^5	$+$	\dots	$-$	x_1	$+$	$8x_2$	$-$	4	\geq	0
ABC	$-$	$x_1^5x_2^4$	$+$	\dots	$-$	$\frac{13}{3}x_2^2$	$-$	$\frac{8}{3}x_2$	$+$	$\frac{4}{3}$	\geq	0
D^2						x_1^2	$-$	$2x_1x_2$	$+$	x_2^2	\geq	0
D^2C	$-$	x_1^4	$+$	\dots	$+$	$4x_1^2$	$+$	$4x_1x_2$	$+$	$4x_2^2$	\geq	0

System of polynomial inequalities

Less naive linearization

$$A \quad y_1 - x_1 - 2x_2 + 1 \geq 0$$

$$B \quad -y_2 + 2y_3 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0$$

$$C \quad -y_3 - x_2^2 + x_1 + 4 \geq 0$$

irredundant:

$$AB \quad -x_1^3x_2^4 + \dots + x_2^2 + \frac{2}{3}x_2 - \frac{1}{3} \geq 0$$

$$AC \quad x_1^5 + \dots - x_1 + 8x_2 - 4 \geq 0$$

$$ABC \quad -x_1^5x_2^4 + \dots - \frac{13}{3}x_2^2 - \frac{8}{3}x_2 + \frac{4}{3} \geq 0$$

$$D^2 \quad y_3 - 2x_1x_2 + x_2^2 \geq 0$$

$$D^2C \quad -x_1^4 + \dots + 4y_3 + 4x_1x_2 + 4x_2^2 \geq 0$$

System of polynomial inequalities

Less naive linearization

A				y_1	$-$	x_1	$-$	$2x_2$	$+$	1	\geq	0
B	$-$	y_2	$+$	$2y_3$	$-$	$2y_4$	$+$	x_2^2	$-$	$\frac{1}{3}$	\geq	0
C			$-$	y_3	$-$	x_2^2	$+$	x_1	$+$	4	\geq	0
irredundant:												
AB	$-$	$x_1^3 x_2^4$	$+$	\dots	$+$	x_2^2	$+$	$\frac{2}{3}x_2$	$-$	$\frac{1}{3}$	\geq	0
AC		x_1^5	$+$	\dots	$-$	x_1	$+$	$8x_2$	$-$	4	\geq	0
ABC	$-$	$x_1^5 x_2^4$	$+$	\dots	$-$	$\frac{13}{3}x_2^2$	$-$	$\frac{8}{3}x_2$	$+$	$\frac{4}{3}$	\geq	0
D^2						y_3	$-$	$2y_4$	$+$	x_2^2	\geq	0
D^2C	$-$	x_1^4	$+$	\dots	$+$	$4y_3$	$+$	$4y_4$	$+$	$4x_2^2$	\geq	0

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{irredundant:} \\ AB \\ AC \\ ABC \\ D^2 \\ D^2C \end{array} \begin{array}{l} \\ - \\ \\ \\ - \\ - \\ - \\ - \\ - \end{array} \begin{array}{l} \\ y_2 \\ \\ x_1^3 x_2^4 \\ x_1^5 \\ x_1^5 x_2^4 \\ \\ x_1^4 \end{array} \begin{array}{l} \\ + \\ - \\ + \\ + \\ + \\ + \\ + \\ + \end{array} \begin{array}{l} y_1 \\ 2y_3 \\ y_3 \\ \dots \\ \dots \\ \dots \\ \dots \\ \dots \end{array} \begin{array}{l} - \\ - \\ - \\ + \\ - \\ - \\ - \\ + \\ + \end{array} \begin{array}{l} x_1 \\ 2y_4 \\ y_5 \\ y_5 \\ x_1 \\ y_3 \\ 4y_3 \end{array} \begin{array}{l} - \\ + \\ + \\ + \\ + \\ - \\ - \\ - \\ + \end{array} \begin{array}{l} 2x_2 \\ y_5 \\ x_1 \\ \frac{2}{3}x_2 \\ 8x_2 \\ \frac{8}{3}x_2 \\ 2y_4 \\ 4y_4 \end{array} \begin{array}{l} + \\ - \\ + \\ - \\ - \\ + \\ + \\ + \end{array} \begin{array}{l} 1 \\ \frac{1}{3} \\ 4 \\ \frac{1}{3} \\ 4 \\ \frac{4}{3} \\ y_5 \\ 4y_5 \end{array} \begin{array}{l} \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \end{array} \begin{array}{l} 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

A				y_1	$-$	x_1	$-$	$2x_2$	$+$	1	\geq	0
B	$-$	y_2	$+$	$2y_3$	$-$	$2y_4$	$+$	y_5	$-$	$\frac{1}{3}$	\geq	0
C			$-$	y_3	$-$	y_5	$+$	x_1	$+$	4	\geq	0
irredundant:												
AB	$-$	$x_1^3 x_2^4$	$+$	\dots	$+$	y_5	$+$	$\frac{2}{3}x_2$	$-$	$\frac{1}{3}$	\geq	0
AC		x_1^5	$+$	\dots	$-$	x_1	$+$	$8x_2$	$-$	4	\geq	0
ABC	$-$	$x_1^5 x_2^4$	$+$	\dots	$-$	$\frac{13}{3}y_5$	$-$	$\frac{8}{3}x_2$	$+$	$\frac{4}{3}$	\geq	0
D^2						y_3	$-$	$2y_4$	$+$	y_5	\geq	0
D^2C	$-$	x_1^4	$+$	\dots	$+$	$4y_3$	$+$	$4y_4$	$+$	$4y_5$	\geq	0

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{irredundant:} \\ AB \\ AC \\ ABC \\ D^2 \\ D^2C \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ - \\ - \\ - \\ - \end{array} \begin{array}{l} \\ y_2 \\ \\ y_6 \\ x_1^5 \\ x_1^5 x_2^4 \\ \\ x_1^4 \\ \\ \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ + \\ + \\ + \\ + \end{array} \begin{array}{l} \\ 2y_3 \\ \\ \dots \\ \dots \\ \dots \\ \dots \\ \dots \end{array} \begin{array}{l} \\ - \\ \\ + \\ - \\ - \\ - \\ + \\ + \end{array} \begin{array}{l} \\ 2y_4 \\ \\ y_5 \\ x_1 \\ x_1 \\ \frac{13}{3}y_5 \\ y_3 \\ 4y_3 \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ - \\ - \\ + \\ + \end{array} \begin{array}{l} \\ y_5 \\ \\ \frac{2}{3}x_2 \\ 8x_2 \\ \frac{8}{3}x_2 \\ 2y_4 \\ 4y_4 \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ + \\ + \\ + \end{array} \begin{array}{l} \\ \frac{1}{3} \\ \\ \frac{1}{3} \\ 4 \\ \frac{4}{3} \\ y_5 \\ 4y_5 \end{array} \begin{array}{l} \\ \geq \\ \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \end{array} \begin{array}{l} \\ 0 \\ \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{irredundant:} \\ AB \\ AC \\ ABC \\ D^2 \\ D^2C \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ - \\ - \\ - \\ - \end{array} \begin{array}{l} \\ y_2 \\ \\ y_6 \\ x_1^5 \\ x_1^5 x_2^4 \\ \\ x_1^4 \\ x_1^4 \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ + \\ + \\ + \\ + \end{array} \begin{array}{l} \\ 2y_3 \\ \\ \dots \\ \dots \\ \dots \\ \\ \dots \\ \dots \end{array} \begin{array}{l} \\ - \\ \\ + \\ - \\ - \\ \\ + \\ + \end{array} \begin{array}{l} \\ 2y_4 \\ \\ y_5 \\ x_1 \\ x_1 \\ \frac{13}{3}y_5 \\ y_3 \\ 4y_3 \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ - \\ \\ - \\ + \end{array} \begin{array}{l} \\ y_5 \\ \\ \frac{2}{3}x_2 \\ 8x_2 \\ \frac{8}{3}x_2 \\ 2y_4 \\ 4y_4 \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ + \\ \\ + \\ + \end{array} \begin{array}{l} \\ \frac{1}{3} \\ \\ \frac{1}{3} \\ 4 \\ \frac{4}{3} \\ y_5 \\ 4y_5 \end{array} \begin{array}{l} \\ \geq \\ \\ \geq \\ \geq \\ \geq \\ \\ \geq \\ \geq \end{array} \begin{array}{l} \\ 0 \\ \\ 0 \\ 0 \\ 0 \\ \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

$$\begin{array}{l} A \\ B \\ C \\ \text{irredundant:} \\ AB \\ AC \\ ABC \\ D^2 \\ D^2C \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ - \\ - \\ - \\ - \end{array} \begin{array}{l} \\ y_2 \\ \\ y_6 \\ y_{10} \\ x_1^5 x_2^4 \\ \\ x_1^4 \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ + \\ + \\ + \\ + \end{array} \begin{array}{l} \\ 2y_3 \\ \\ \dots \\ \dots \\ \dots \\ \dots \\ \dots \end{array} \begin{array}{l} \\ - \\ \\ + \\ - \\ - \\ - \\ + \\ + \end{array} \begin{array}{l} \\ 2y_4 \\ \\ y_5 \\ y_5 \\ x_1 \\ y_3 \\ 4y_3 \end{array} \begin{array}{l} \\ + \\ \\ + \\ + \\ - \\ - \\ + \\ + \end{array} \begin{array}{l} \\ y_5 \\ \\ \frac{2}{3}x_2 \\ 8x_2 \\ \frac{8}{3}x_2 \\ 2y_4 \\ 4y_4 \end{array} \begin{array}{l} \\ - \\ \\ - \\ - \\ + \\ + \\ + \end{array} \begin{array}{l} \\ \frac{1}{3} \\ \\ \frac{1}{3} \\ 4 \\ \frac{4}{3} \\ y_5 \\ 4y_5 \end{array} \begin{array}{l} \\ \geq \\ \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \\ \geq \end{array} \begin{array}{l} \\ 0 \\ \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Less naive linearization

$$A \quad y_1 - x_1 - 2x_2 + 1 \geq 0$$

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$$C \quad -y_3 - y_5 + x_1 + 4 \geq 0$$

irredundant:

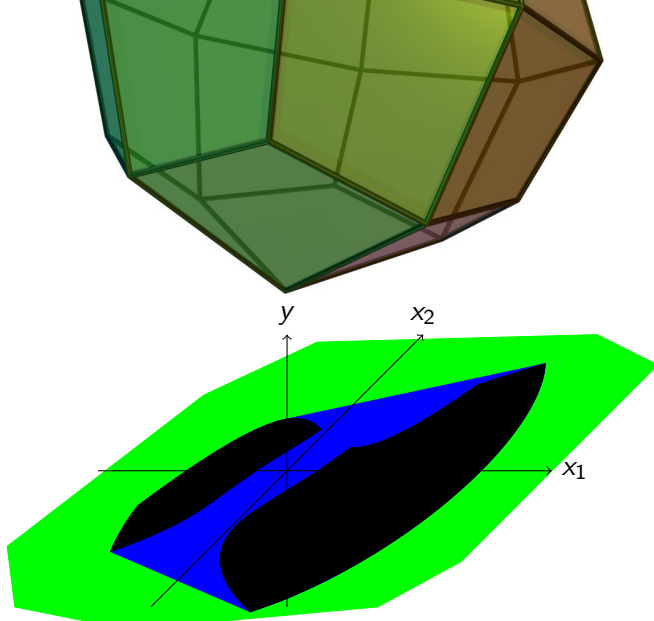
$$AB \quad -y_6 + \dots + y_5 + \frac{2}{3}x_2 - \frac{1}{3} \geq 0$$

$$AC \quad y_{10} + \dots - x_1 + 8x_2 - 4 \geq 0$$

$$ABC \quad -y_{13} + \dots - \frac{13}{3}y_5 - \frac{8}{3}x_2 + \frac{4}{3} \geq 0$$

$$D^2 \quad y_3 - 2y_4 + y_5 \geq 0$$

$$D^2C \quad -y_{18} + \dots + 4y_3 + 4y_4 + 4y_5 \geq 0$$



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The Positivstellensatz from real algebraic geometry

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To each given **unsolvable** (finite) **system of** (non-strict) **polynomial inequalities** (in several variables), in the just described (less naive) linearization procedure, you can always add finitely many **blue inequalities** such that the resulting system of **linear inequalities** is **unsolvable**.

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Krivine's work came too early to be noticed. The result was rediscovered ten years later by each Prestel and Stengle and is often attributed to Stengle who already saw a connection to optimization. It can be seen as the starting point of **modern real algebra**. It builds upon Artin's solution¹ of Hilbert's 17th Problem and on Tarski's real quantifier elimination.

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All proofs use the Positivstellensatz (from Krivine). Schmüdgen's original proof uses in addition functional analysis. The first purely algebraic proof was found by Wörmann in 1998.

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To each given system of polynomial inequalities with **compact solution set**, if some **strict** polynomial inequality holds on this solution set, then the corresponding non-strict inequality is a sum of **blue inequalities**.

All proofs use the Positivstellensatz (from Krivine). Schmüdgen's original proof uses in addition functional analysis. The first purely algebraic proof was found by Wörmann in 1998.

In 1993, Putinar showed that products like $A \cdot B$ are not needed in Schmüdgen's theorem when the compactness assumption is replaced by a stronger technical assumption, namely the **archimedean condition**, which is for practical purposes not far from compactness.

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} \\ - \\ \\ \end{array} \begin{array}{r} \\ x_2^4 \\ \\ \end{array} \quad \begin{array}{r} \\ + \\ - \\ \end{array} \begin{array}{r} \\ 2x_1^2 \\ x_1^2 \\ \end{array} \quad \begin{array}{r} \\ - \\ - \\ \end{array} \begin{array}{r} \\ 2x_1x_2 \\ x_2^2 \\ \end{array} \quad \begin{array}{r} \\ + \\ + \\ \end{array} \begin{array}{r} \\ x_2^2 \\ x_1 \\ \end{array} \quad \begin{array}{r} \\ - \\ + \\ \end{array} \begin{array}{r} \\ 1 \\ \frac{1}{3} \\ 4 \\ \end{array} \quad \begin{array}{r} \\ \geq \\ \geq \\ \geq \\ \end{array} \begin{array}{r} \\ 0 \\ 0 \\ 0 \\ \end{array}$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} \\ - \\ - \end{array} \quad \begin{array}{r} x_1^3 \\ x_2^4 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_1 \\ 2x_1^2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} \\ - \\ - \end{array} \quad \begin{array}{r} x_1^3 \\ x_2^4 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2 + dx_1^2 + ex_1x_2 + fx_2^2)^2 \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

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$$(a + bx_1 + cx_2 + dx_1^2 + ex_1x_2 + fx_2^2)^2 \geq 0 \quad \iff$$

$$(a + bx_1 + cx_2 + dx_1^2 + ex_1x_2 + fx_2^2) \begin{pmatrix} 1 \\ x_1 \\ x_2 \\ x_1^2 \\ x_1x_2 \\ x_2^2 \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2 + dx_1^2 + ex_1x_2 + fx_2^2)^2 \geq 0 \quad \Leftrightarrow$$

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 \\ x_1 \\ x_2 \\ x_1^2 \\ x_1x_2 \\ x_2^2 \end{pmatrix} (1 \quad x_1 \quad x_2 \quad x_1^2 \quad x_1x_2 \quad x_2^2) \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

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$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & x_1^2 & x_1x_2 & x_2^2 \\ x_1 & x_1^2 & x_1x_2 & x_1^3 & x_1^2x_2 & x_1x_2^2 \\ x_2 & x_1x_2 & x_2^2 & x_1^2x_2 & x_1x_2^2 & x_2^3 \\ x_1^2 & x_1^3 & x_1^2x_2 & x_1^4 & x_1^3x_2 & x_1^2x_2^2 \\ x_1x_2 & x_1^2x_2 & x_1x_2^2 & x_1^3x_2 & x_1^2x_2^2 & x_1x_2^3 \\ x_2^2 & x_1x_2^2 & x_2^3 & x_1^2x_2^2 & x_1x_2^3 & x_2^4 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^4 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1x_2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} + \\ + \\ + \end{array} \quad \begin{array}{r} x_2^2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} - \\ - \\ + \end{array} \quad \begin{array}{r} \frac{1}{3} \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & x_1^2 & x_1x_2 & x_2^2 \\ x_1 & x_1^2 & x_1x_2 & x_1^3 & x_1^2x_2 & x_1x_2^2 \\ x_2 & x_1x_2 & x_2^2 & x_1^2x_2 & x_1x_2^2 & x_2^3 \\ x_1^2 & x_1^3 & x_1^2x_2 & x_1^4 & x_1^3x_2 & x_1^2x_2^2 \\ x_1x_2 & x_1^2x_2 & x_1x_2^2 & x_1^3x_2 & x_1^2x_2^2 & x_1x_2^3 \\ x_2^2 & x_1x_2^2 & x_2^3 & x_1^2x_2^2 & x_1x_2^3 & x_2^4 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1x_2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} + \\ + \\ + \end{array} \quad \begin{array}{r} x_2^2 \\ x_1 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

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$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & x_1^2 & x_1x_2 & x_2^2 \\ x_1 & x_1^2 & x_1x_2 & x_1^3 & x_1^2x_2 & x_1x_2^2 \\ x_2 & x_1x_2 & x_2^2 & x_1^2x_2 & x_1x_2^2 & x_2^3 \\ x_1^2 & x_1^3 & x_1^2x_2 & x_1^4 & x_1^3x_2 & x_1^2x_2^2 \\ x_1x_2 & x_1^2x_2 & x_1x_2^2 & x_1^3x_2 & x_1^2x_2^2 & x_1x_2^3 \\ x_2^2 & x_1x_2^2 & x_2^3 & x_1^2x_2^2 & x_1x_2^3 & x_2^4 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

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Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_2^4 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1x_2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} + \\ + \\ + \end{array} \quad \begin{array}{r} x_2^2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

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$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} x_1 \\ x_2 \\ x_1 \end{array} \quad \begin{array}{r} - \\ - \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

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Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

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$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & x_2^3 \\ y_3 & y_1 & y_6 & y_8 & x_1^3 x_2 & x_1^2 x_2^2 \\ y_4 & y_6 & y_7 & x_1^3 x_2 & x_1^2 x_2^2 & x_1 x_2^3 \\ y_5 & y_7 & x_2^3 & x_1^2 x_2^2 & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & x_1^3 x_2 & x_1^2 x_2^2 \\ y_4 & y_6 & y_7 & x_1^3 x_2 & x_1^2 x_2^2 & x_1 x_2^3 \\ y_5 & y_7 & y_9 & x_1^2 x_2^2 & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c \ d \ e \ f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & x_1^3 x_2 & x_1^2 x_2^2 \\ y_4 & y_6 & y_7 & x_1^3 x_2 & x_1^2 x_2^2 & x_1 x_2^3 \\ y_5 & y_7 & y_9 & x_1^2 x_2^2 & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c \ d \ e \ f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & x_1^2 x_2^2 \\ y_4 & y_6 & y_7 & y_{10} & x_1^2 x_2^2 & x_1 x_2^3 \\ y_5 & y_7 & y_9 & x_1^2 x_2^2 & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{rcccccccc} A & & & y_1 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & y_2 & + & 2y_3 & - & 2y_4 & + & y_5 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & y_3 & - & y_5 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & x_1^2 x_2^2 \\ y_4 & y_6 & y_7 & y_{10} & x_1^2 x_2^2 & x_1 x_2^3 \\ y_5 & y_7 & y_9 & x_1^2 x_2^2 & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c \quad d \quad e \quad f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & y_{11} \\ y_4 & y_6 & y_7 & y_{10} & y_{11} & x_1 x_2^3 \\ y_5 & y_7 & y_9 & y_{11} & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c \ d \ e \ f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & y_{11} \\ y_4 & y_6 & y_7 & y_{10} & y_{11} & x_1 x_2^3 \\ y_5 & y_7 & y_9 & y_{11} & x_1 x_2^3 & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c \ d \ e \ f) \begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & y_{11} \\ y_4 & y_6 & y_7 & y_{10} & y_{11} & y_{12} \\ y_5 & y_7 & y_9 & y_{11} & y_{12} & y_2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \\ d \\ e \\ f \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$\begin{pmatrix} 1 & x_1 & x_2 & y_3 & y_4 & y_5 \\ x_1 & y_3 & y_4 & y_1 & y_6 & y_7 \\ x_2 & y_4 & y_5 & y_6 & y_7 & y_9 \\ y_3 & y_1 & y_6 & y_8 & y_{10} & y_{11} \\ y_4 & y_6 & y_7 & y_{10} & y_{11} & y_{12} \\ y_5 & y_7 & y_9 & y_{11} & y_{12} & y_2 \end{pmatrix} \succeq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^3 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ x_1 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ - \\ + \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{rcccccccc} A & & & x_1^3 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & x_2^4 & + & 2x_1^2 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & x_1^2 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2)^2(-x_1^2 - x_2^2 + x_1 + 4) \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2)^2(-x_1^2 - x_2^2 + x_1 + 4) \geq 0 \quad \iff$$

$$(-x_1^2 - x_2^2 + x_1 + 4)(a + bx_1 + cx_2) \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2)^2(-x_1^2 - x_2^2 + x_1 + 4) \geq 0 \quad \iff$$

$$(-x_1^2 - x_2^2 + x_1 + 4) \begin{pmatrix} a & b & c \end{pmatrix} \begin{pmatrix} 1 \\ x_1 \\ x_2 \end{pmatrix} (1 \quad x_1 \quad x_2) \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2)^2(-x_1^2 - x_2^2 + x_1 + 4) \geq 0 \quad \iff$$

$$(a \quad b \quad c) (-x_1^2 - x_2^2 + x_1 + 4) \begin{pmatrix} 1 \\ x_1 \\ x_2 \end{pmatrix} (1 \quad x_1 \quad x_2) \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} x_1^3 - x_1 - 2x_2 + 1 \geq 0 \\ -x_2^4 + 2x_1^2 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -x_1^2 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a + bx_1 + cx_2)^2(-x_1^2 - x_2^2 + x_1 + 4) \geq 0 \quad \iff$$

$$(a \quad b \quad c) (-x_1^2 - x_2^2 + x_1 + 4) \begin{pmatrix} 1 & x_1 & x_2 \\ x_1 & x_1^2 & x_1x_2 \\ x_2 & x_1x_2 & x_2^2 \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_1^3 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -x_1^3 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_2^4 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \quad \begin{array}{r} x_1^3 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

redundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -x_1^3 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} x_2^4 \\ x_2^4 \\ x_1^2 \end{array} \quad \begin{array}{r} + \\ + \\ - \end{array} \quad \begin{array}{r} 2x_1^2 \\ 2x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \quad \begin{array}{r} 2x_1x_2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} + \\ + \\ + \end{array} \quad \begin{array}{r} x_2^2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} - \\ - \\ - \end{array} \begin{array}{l} x_2^4 \\ x_1^2 \\ x_1^2 \end{array} \quad \begin{array}{l} + \\ + \\ - \end{array} \begin{array}{l} 2x_1^2 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{l} - \\ + \\ + \end{array} \begin{array}{l} x_1 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{l} - \\ + \\ + \end{array} \begin{array}{l} 2x_2 \\ x_2^2 \\ 4 \end{array} \quad \begin{array}{l} + \\ - \\ + \end{array} \begin{array}{l} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{l} \geq \\ \geq \\ \geq \end{array} \begin{array}{l} 0 \\ 0 \\ 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{rcccccccc} A & & & y_1 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & y_2 & + & 2x_1^2 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & x_1^2 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 \\ -y_2 \\ -x_1^2 \end{array} \quad \begin{array}{r} - \\ + \\ - \end{array} \quad \begin{array}{r} x_1 \\ 2x_1x_2 \\ x_2^2 \end{array} \quad \begin{array}{r} - \\ + \\ + \end{array} \quad \begin{array}{r} 2x_2 \\ x_2^2 \\ x_1 \end{array} \quad \begin{array}{r} + \\ - \\ + \end{array} \quad \begin{array}{r} 1 \\ \frac{1}{3} \\ 4 \end{array} \quad \begin{array}{r} \geq \\ \geq \\ \geq \end{array} \quad \begin{array}{r} 0 \\ 0 \\ 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -x_1^2 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + x_1^2 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{rcccccccc} A & & & y_1 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & y_2 & + & 2y_3 & - & 2x_1x_2 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & y_3 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c) \begin{pmatrix} -y_3 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + y_3 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2x_1x_2 + x_2^2 - \frac{1}{3} \geq 0 \\ -y_3 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \ b \ c) \begin{pmatrix} -y_3 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1x_2^2 + y_3 + 4x_1 & \dots & \dots \\ -x_1^2x_2 - x_2^3 + x_1x_2 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + x_2^2 - \frac{1}{3} \geq 0 \\ -y_3 - x_2^2 + x_1 + 4 \geq 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -y_3 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1 x_2^2 + y_3 + 4x_1 & \dots & \dots \\ -x_1^2 x_2 - x_2^3 + y_4 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{rcccccccc} A & & & y_1 & - & x_1 & - & 2x_2 & + & 1 & \geq & 0 \\ B & - & y_2 & + & 2y_3 & - & 2y_4 & + & x_2^2 & - & \frac{1}{3} & \geq & 0 \\ C & & & - & y_3 & - & x_2^2 & + & x_1 & + & 4 & \geq & 0 \end{array}$$

irredundant families (parametrized by a, b, c, \dots):

$$(a \quad b \quad c) \begin{pmatrix} -y_3 - x_2^2 + x_1 + 4 & \dots & \dots \\ -y_1 - x_1 x_2^2 + y_3 + 4x_1 & \dots & \dots \\ -x_1^2 x_2 - x_2^3 + y_4 + 4x_2 & \dots & \dots \end{pmatrix} \begin{pmatrix} a \\ b \\ c \end{pmatrix} \geq 0$$

System of polynomial inequalities

Systematic linearization

$$\begin{array}{l} A \\ B \\ C \end{array} \quad \begin{array}{r} y_1 - x_1 - 2x_2 + 1 \geq 0 \\ -y_2 + 2y_3 - 2y_4 + y_5 - \frac{1}{3} \geq 0 \\ -y_3 - y_5 + x_1 + 4 \geq 0 \end{array}$$

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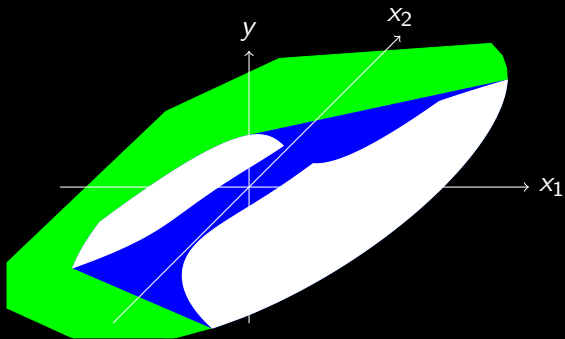
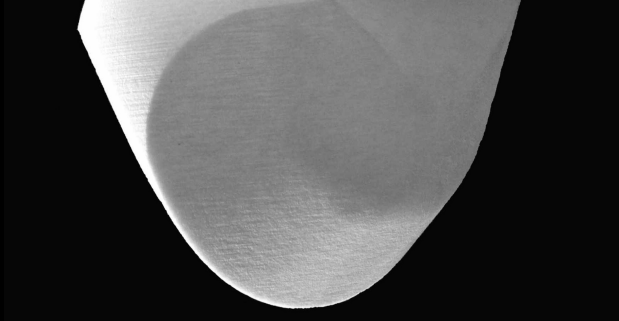
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conv S

Putinar's Positivstellensatz

Denote by $\underline{X} := (\underline{X}_1, \dots, \underline{X}_n)$ a tuple of variables, let $g_1, \dots, g_m \in \mathbb{R}[\underline{X}]$ be polynomials and set $g_0 := 1 \in \mathbb{R}[\underline{X}]$.

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Warning. “ $>$ ” cannot be replaced by “ \geq ”.

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Warning. Relies on **degree cancellation**: $\deg p_{ij} \gg \deg f$ frequently occurs.

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Warning. Even for $\ell \in \mathbb{R}[\underline{X}]$ **linear**, that is $\deg \ell \leq 1$: If $\ell \geq 0$ on S but ℓ has a zero on S , then for $f := \ell + \varepsilon$ the **degrees of the p_{ij} might explode** when $\varepsilon > 0$ tends to zero.

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Hope. If **by chance**, for the given g_1, \dots, g_m , we have a **degree bound N** such that for all **linear f** with $f \geq 0$ on S we have such a representation with $\deg p_{ij} \leq N$, then our “linearization” works perfectly well.

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sos-concavity

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We call $A^T A \in \mathbb{R}[\underline{X}]^{r \times r}$ the **square** of A .

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We call a polynomial $g \in \mathbb{R}[\underline{X}]$ **sos-concave** if its negated Hessian $-g'' \in \mathcal{S}\mathbb{R}[\underline{X}]^{n \times n}$ is sos.

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Concavity and quasi-concavity

The following **local second-order** notions are convenient for us:

We call $g \in \mathbb{R}[\underline{X}]$ on S

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Hol & Scherer's Positivstellensatz

Remember our task to find a “sum of squares representation” of

$$F_{i,u} = \int_{t=0}^1 \int_{s=0}^t (-g_i'')(u + s(\underline{X} - u)) \in \mathcal{S}\mathbb{R}[\underline{X}]^{n \times n}$$

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Remember our task to find a “sum of squares representation” of

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Theorem (Hol & Scherer). If $F \in \mathbb{SR}[\underline{X}]^{r \times r}$ satisfies $F \succ 0$ on S , then there exist sos matrix polynomials $P_i \in \mathbb{SR}[\underline{X}]^{r \times r}$ such that

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Warning. Should not apply it with $F = -g_i''$ since we have to deal with $(-g_i'')(u + s(\underline{X} - u)) = \sum_{i=0}^m g_i(u + s(\underline{X} - u)) P_i(u + s(\underline{X} - u))$ afterwards: $P_i(u + s(\underline{X} - u))$ is sos but don't know what to do with $g_i(u + s(\underline{X} - u))$.

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Idea of Helton & Nie: Apply it with $F = F_{i,u}$. Since this depends on $u \in S$ we have to take care of the degree of the representation.

↪ Prove quantitative version of Hol & Scherer's theorem.

Helton & Nie's Positivstellensatz

The following is the needed quantitative version of Hol & Scherer:

Theorem (Helton & Nie). To any given $r, N \in \mathbb{N}$, there exists $D \in \mathbb{N}$ (depending on n, m, g_1, \dots, g_m, r and N) such that for all $F \in \mathbb{SR}[\underline{X}]^{r \times r}$ satisfying $\|F\| \leq N$ and $F \succeq \frac{1}{N}$ on S , there exist sos matrix polynomials $P_i \in \mathbb{SR}[\underline{X}]^{r \times r}$ of degree at most D such that

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The proof of this was initially hard but Kriel found in his master's thesis an amazingly short way of reducing this to Hol & Scherer.

Let again $i \in \{1, \dots, m\}$ and $u \in S$ with $g_i(u) = 0$ and consider

$$F_{i,u} = \int_{t=0}^1 \int_{s=0}^t (-g_i'')(u + s(\underline{X} - u)) \in S\mathbb{R}[\underline{X}]^{n \times n}.$$

If g_i is sos-concave, then $F_{i,u}$ is an sos matrix polynomial of degree at most $\deg(g_i) - 2$.

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If g_i is strictly quasi-concave on S , then Helton & Nie instead look at $\ell - \sum_{i=1}^m \lambda_i \tilde{g}_i$ where $\tilde{g}_i = g_i h(g_i)$ for a one variable polynomial $h \in \mathbb{R}[T]$ making $h(g_i) > 0$ on S , \tilde{g}_i strictly concave on S and $\tilde{S} \cap U = S$ for some open set U .

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If g_i is strictly concave on S , then $F_{i,u} \succ 0$ on S and by Hol & Scherer $F_{i,u}$ is sum of sos matrix polynomials weighted by the g_i . Applying Helton & Nie's quantitative version of Hol & Scherer's result, the degree of the sos matrix polynomials in these representation can be bounded uniformly in u .

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Let again $i \in \{1, \dots, m\}$ and $u \in S$ with $g_i(u) = 0$ and consider

$$F_{i,u} = \int_{t=0}^1 \int_{s=0}^t (-g_i'')(u + s(\underline{X} - u)) \in \mathbb{S}\mathbb{R}[\underline{X}]^{n \times n}.$$

If g_i is sos-concave, then $F_{i,u}$ is an sos matrix polynomial of degree at most $\deg(g_i) - 2$.

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Suppose now that S has non-empty interior and each g_i is quasi-concave on $S_i := \{x \in \mathbb{R}^n \mid g_i(x) = 0\}$.

Then it is easy to see that $S_i \subseteq \partial S$ and therefore $\partial S = \bigcup_{i=1}^m S_i$.

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Helton & Nie therefore use compactness of the boundary of S to cover it with finitely many small balls intersecting S only where \tilde{g}_i is strictly concave. On each such ball, they do a moment relaxation and glue together the obtained spectrahedral liftings to a single semidefinite representation (which does not come from a moment relaxation anymore).

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We had the following new idea: Establish an additional property of $h \in \mathbb{R}[T]$ so that the Hessian of $\tilde{g}_i = g_i h(g_i)$ decays rapidly in norm when moving from the boundary to the inside of S .

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We had the following new idea: Establish an additional property of $h \in \mathbb{R}[T]$ so that the Hessian of $\tilde{g}_i = g_i h(g_i)$ decays rapidly in norm when moving from the boundary to the inside of S . While double-integrating on the line segment in

$$F_{i,u} = \int_{t=0}^1 \int_{s=0}^t (-g_i'')(u + s(\underline{X} - u)) \in \mathcal{S}\mathbb{R}[\underline{X}]^{n \times n}$$

you accumulate very close to the boundary so much positive-definiteness that some of it will stay until you arrive at the inner end of the segment.

Main Theorem

Theorem (Kriel & S.) Suppose S is convex with non-empty interior and each g_i is sos-convex or quasi-concave on S_i . Then the moment relaxations of sufficiently high degree are exact.

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Outlook

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Theorem (Scheiderer). True for $n = 2$.

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