

Unified PITs via the Jacobian

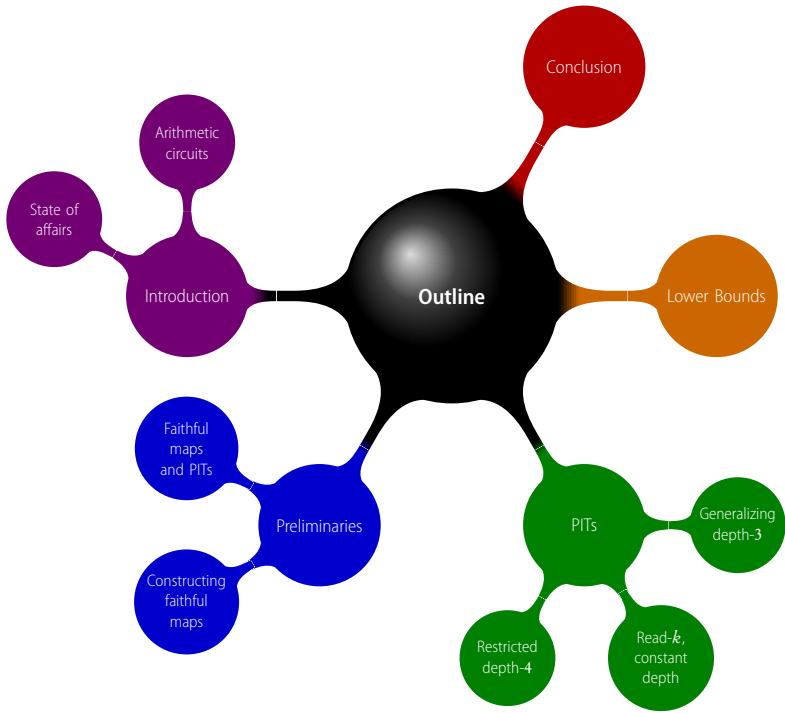
Manindra
Agrawal

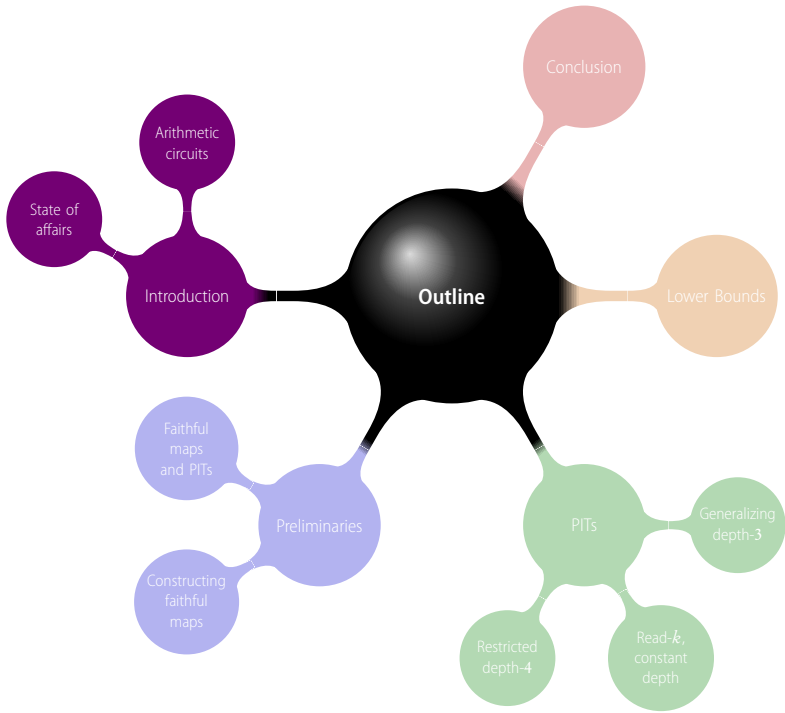
Chandan
Saha

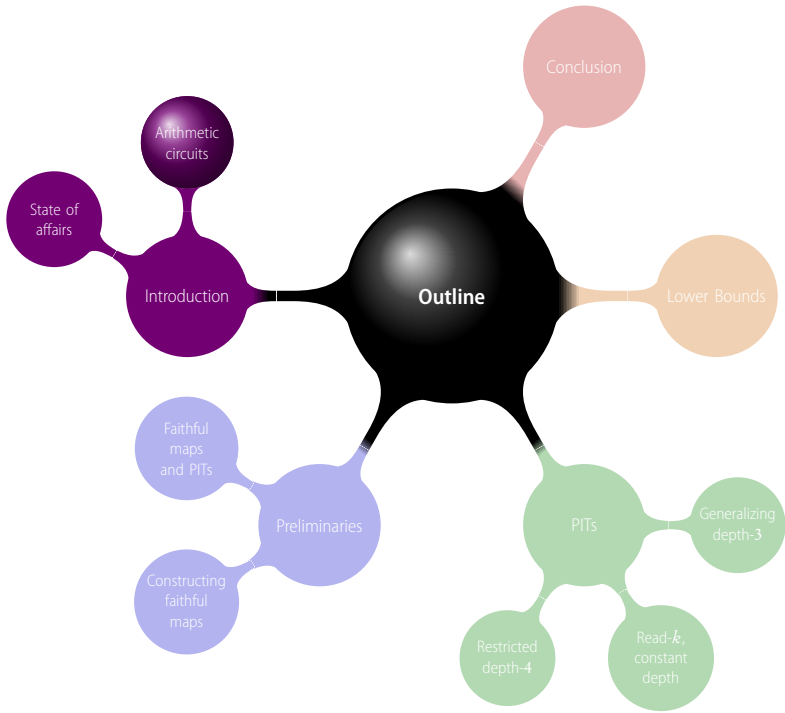
Ramprasad
Saptharishi

Nitin
Saxena

Microsoft Research India
January, 2012







Polynomials

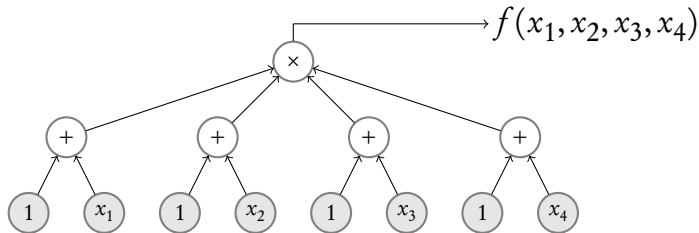
$$\begin{aligned} f(x_1, x_2, x_3, x_4) = & 1 + x_1 + x_2 + x_3 + x_4 \\ & + x_1x_2 + x_1x_3 + x_1x_4 + x_2x_3 + x_2x_4 + x_3x_4 \\ & + x_2x_3x_4 + x_1x_3x_4 + x_1x_2x_4 + x_1x_2x_3 \\ & + x_1x_2x_3x_4 \end{aligned}$$

Polynomials

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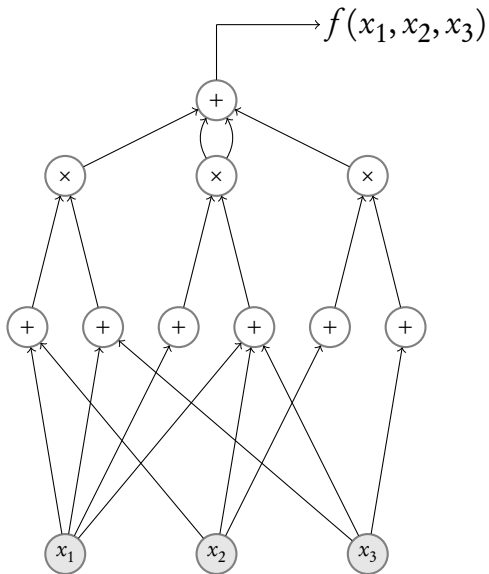
... certainly a more compact representation.

Arithmetic Formulae

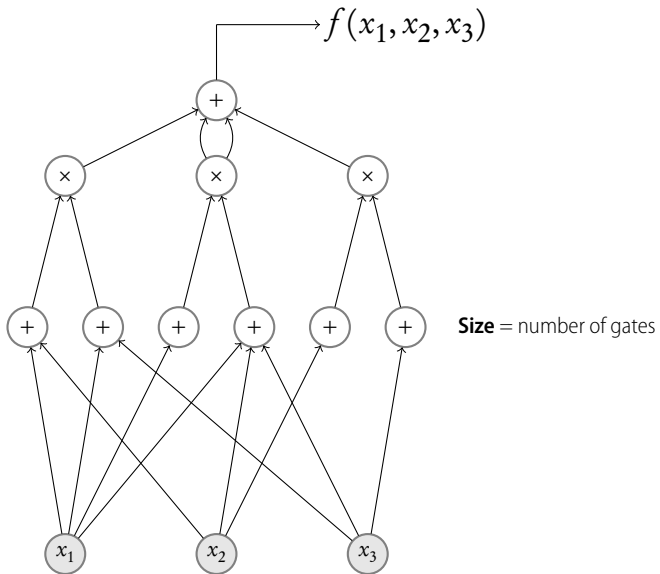


- Tree
- Leaves containing variables or constants

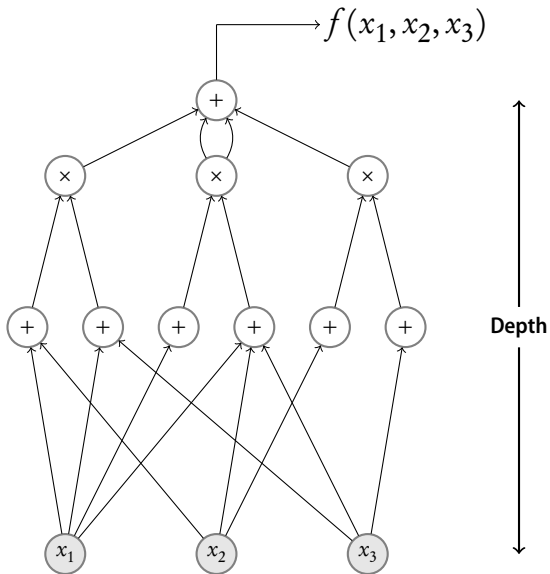
Arithmetic Circuits



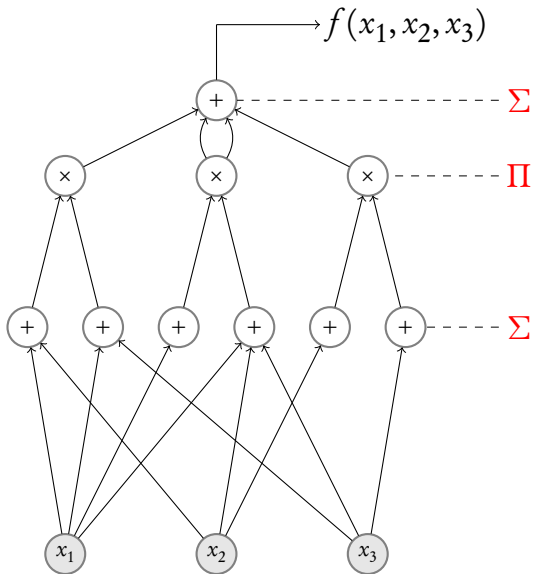
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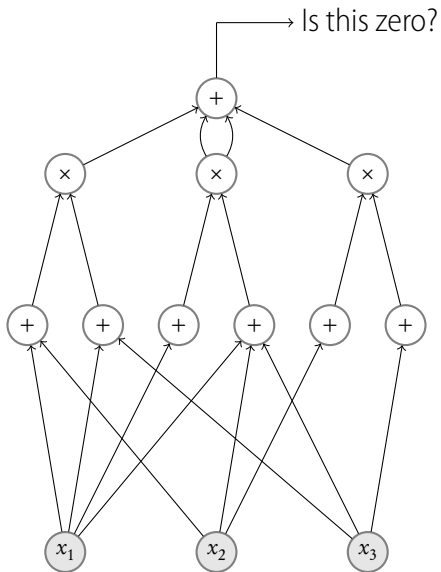
Arithmetic Circuits



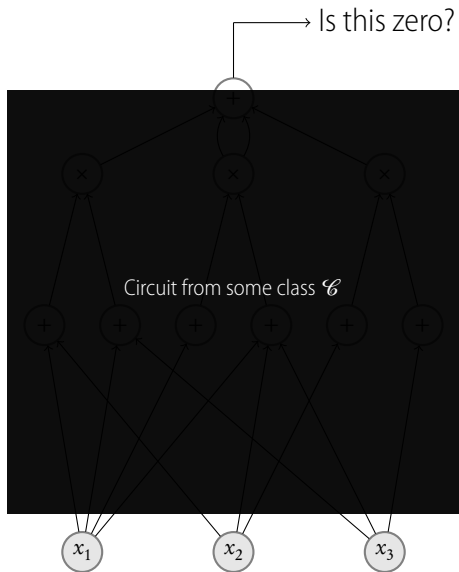
Arithmetic Circuits



Identity Testing of Arithmetic Circuits



Black-box Identity Testing of Arithmetic Circuits



The [Schwartz-Zippel-DeMillo-Lipton] Lemma

Lemma

Let f be a non-zero polynomial of degree d , and let $S \subseteq \mathbb{F}$. Then,

$$\Pr_{a_i \in S} [f(a_1, \dots, a_n) = 0] \leq \frac{d}{|S|}$$

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Thus, if $|S| \geq d + 1$, then S^n contains a witness.

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Big Question: If f is computable by a small circuit, do we have polynomial sized hitting set?

Why do we care?

Part of many important results like $\mathbf{IP} = \mathbf{PSPACE}$, the \mathbf{PCP} theorem, AKS primality test, etc.

Connections with lower bounds. [\[Kabanets-Impagliazzo03\]](#), [\[Agrawal05\]](#):
“Efficient PIT algorithms imply lower bounds”

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“For the pessimist, this indicates that derandomizing identity testing is a hopeless problem. For the optimist, this means on the contrary that to obtain an arithmetic circuit lower bound, we ‘simply’ have to prove a good upper bound on identity testing.”

- [Kayal-Saraf09]

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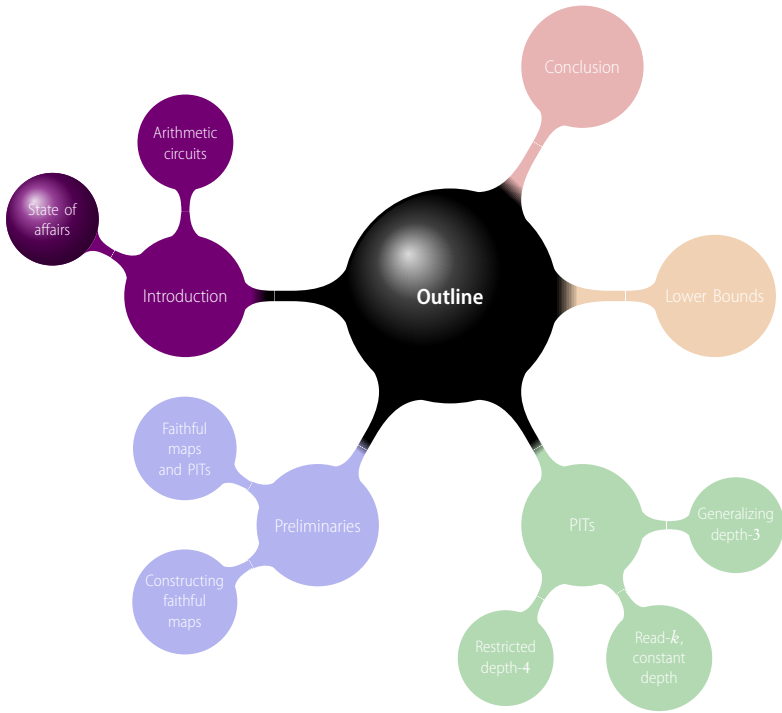
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Of course, it is a natural problem!



State of affairs

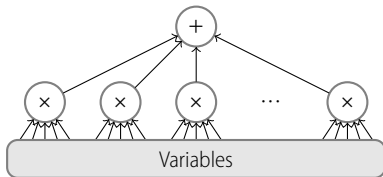
"If you can't solve a problem, then there is an easier problem you can solve: find it."

- George Pólya

Identity tests of restricted types of circuits:

- Formulae:
 - 1 Bounded depth formulae?
 - 2 Bounded read formulae?

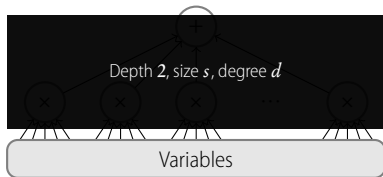
State of affairs for $\Sigma\Pi$ Circuits



$$f = \sum_{i=1}^{\text{poly}} \text{monomial}_i$$

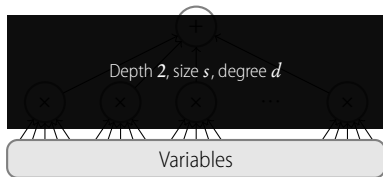
Depth **2** is easy (sparse polynomials)

State of affairs for $\Sigma\Pi$ Circuits



Black-box not-too-hard as well.

State of affairs for $\Sigma\Pi$ Circuits

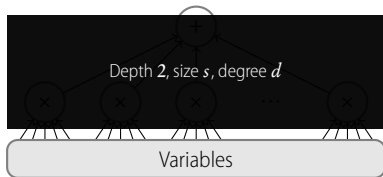


Black-box not-too-hard as well.

$$\Phi : x_i \mapsto u^{(d+1)^i}$$

Works, but exponential degree

State of affairs for $\Sigma\Pi$ Circuits



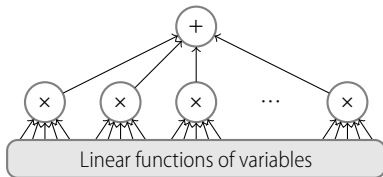
Black-box not-too-hard as well.

$$\Phi_r : x_i \mapsto u^{(d+1)^i} \bmod r$$

Not too many bad r 's

Hint: u^a and u^b collide if and only if $r \mid (a - b)$

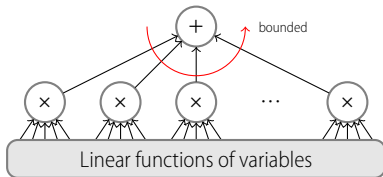
State of affairs for $\Sigma\Pi\Sigma$ Circuits



$$f = \sum_{i=1}^k l_{i1} \cdots l_{id}$$

PIT for even depth **3** circuits is open.

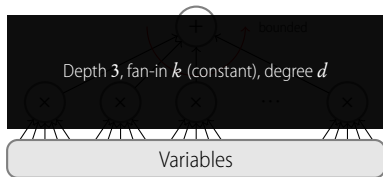
State of affairs for $\Sigma\Pi\Sigma(k)$ Circuits



$$f = \sum_{i=1}^k l_{i1} \cdots l_{id}$$

[KayalSaxena07] : PIT in time $\text{poly}(s^k)$

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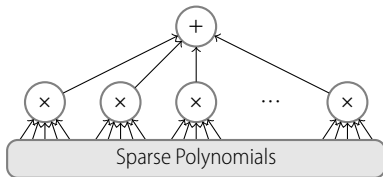


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[KayalSaxena07]: PIT in time $\text{poly}(s^k)$

[SaxenaSeshadri11]: Black-box PIT in time $\text{poly}(s^k)$

State of affairs for $\Sigma\Pi\Sigma\Pi$ Circuits

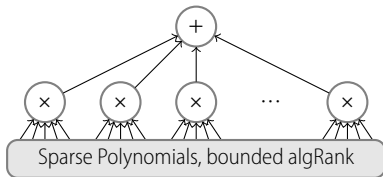


$$f = \sum_{i=1}^{\text{poly}} g_{i1} \cdots g_{id}$$

[AgrawalVinay08] : Black-box PIT for depth 4 implies $n^{O(\log n)}$ black-box PIT for any depth!

Depth 4 is (almost) as hard as the general case.

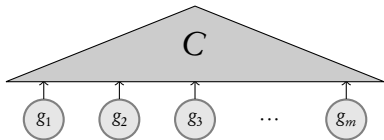
State of affairs for $\Sigma\Pi\Sigma\Pi$ Circuits



$$f = \sum_{i=1}^{\text{poly}} g_{i1} \cdots g_{id} \quad \text{with } \text{algRank} \{g_{ij}\} \leq k$$

[BeeckenMittmannSaxena11]: Polynomial time black-box PIT

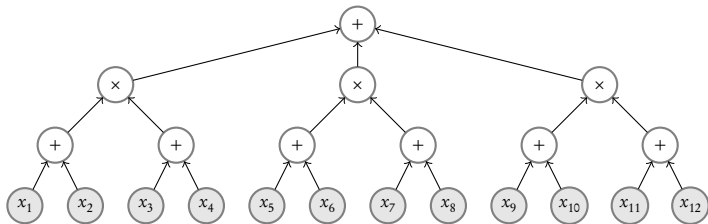
State of affairs for $\Sigma\Pi\Sigma\Pi$ Circuits



$$f = C(g_1, \dots, g_m) \quad \text{with } \text{algRank} \{g_i\} \leq k$$

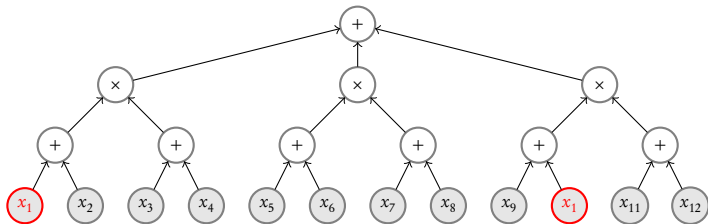
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State of affairs for bounded read formulae



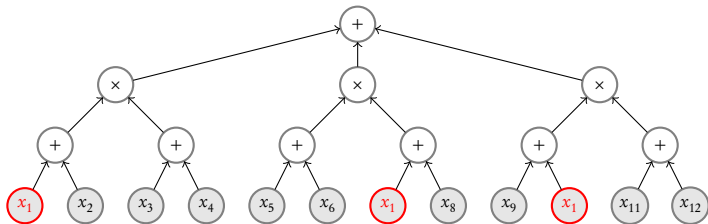
Read-1 formula

State of affairs for bounded read formulae



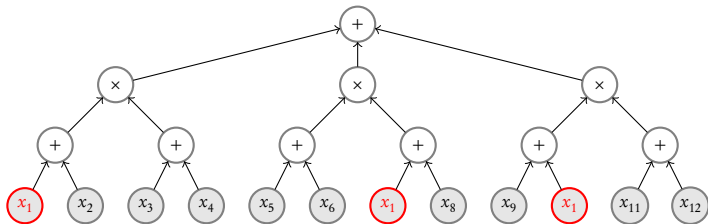
Read-2 formula

State of affairs for bounded read formulae



Read-3 formula

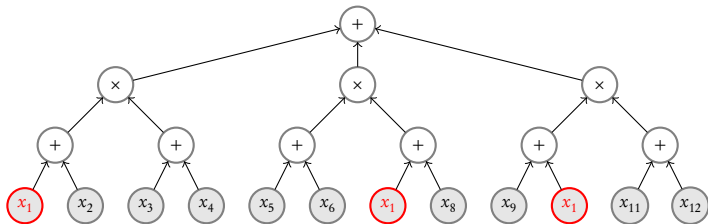
State of affairs for bounded read formulae



Read- k formula

Status of PIT:

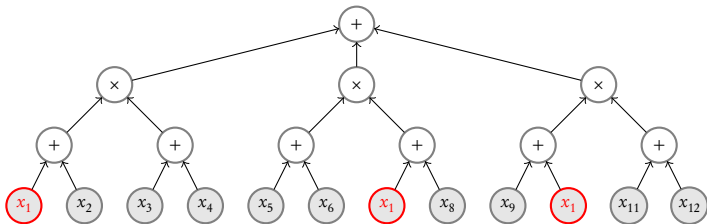
State of affairs for bounded read formulae



Read- k formula

Status of PIT: Open!

State of affairs for bounded read formulae



Read- k multilinear formula

Status of PIT:

- [SarafVolkovich 11]: Polytime black-box PIT for multilinear $\Sigma\Pi\Sigma\Pi(k)$.
- [Anderson-vanMelkebeek-Volkovich 11]: Polytime black-box PIT for constant depth, multilinear, read- k formulae.
Quasi-poly black-box PIT for arbitrary depth, multilinear read- k formulae, and polynomial time non-blackbox PIT.

Summary of results

Model	Best known PIT	Idea
$\Sigma\Pi\Sigma(k)$	s^k black-box	CRT over local rings
bounded <code>algRank</code> $\Sigma\Pi\Sigma\Pi$	Polytime black-box	Jacobian
$\Sigma\Pi\Sigma\Pi(k)$ multilinear	s^{k^3} black-box	sparsity bounds
multilinear read- k	Quasi-poly black-box	shattering, fragmentation under partial derivatives

Summary of results

Model	Best known PIT	Idea
$T_1 + \dots + T_k \stackrel{?}{=} 0$	s^k black-box	CRT over local rings
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Summary of our results

Model*	Best known PIT	Idea
$C(T_1, \dots, T_m) \stackrel{?}{=} 0$ $\text{algRank} \{T_1, \dots, T_m\} \leq k$	s^k black-box	CRT over local rings
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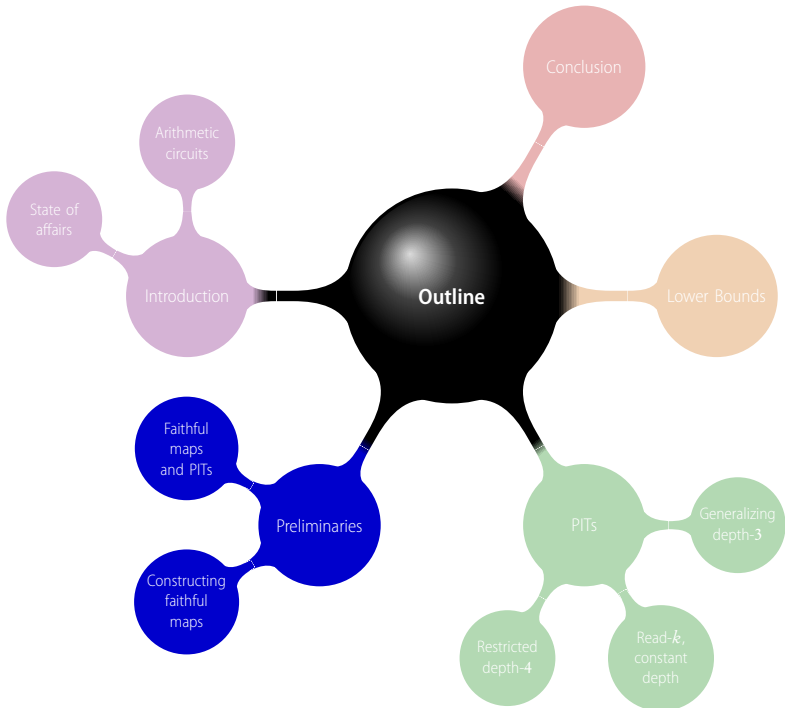
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*: $\text{char}(\mathbb{F}) = 0$ or large



Rank of a $\Sigma\Pi\Sigma$ circuit

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If $\text{rank}(C)$ is "small" (say less than k):

- 1 Construct a linear transformation $\Psi : \mathbb{F}[x_{[n]}] \mapsto \mathbb{F}[y_{[k]}]$ such that $\dim \{ \ell_{ij} \} = \dim \{ \Psi(\ell_{ij}) \}$.
- 2 Show that this preserves non-zerosness of C .
- 3 Use [\[DLSZ\]](#) on $\Psi(C)$ to get a hitting set of size $(d+1)^k$.

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- 2 Show that this preserves non-zerosness of C .
- 3 Use [DLSZ] on $\Psi(C)$ to get a hitting set of size $(\text{poly}(d) + 1)^k$.

Formal definitions

Definition

$\{f_1, \dots, f_m\}$ are **algebraically independent** if there is no non-trivial polynomial relation between them. That is,

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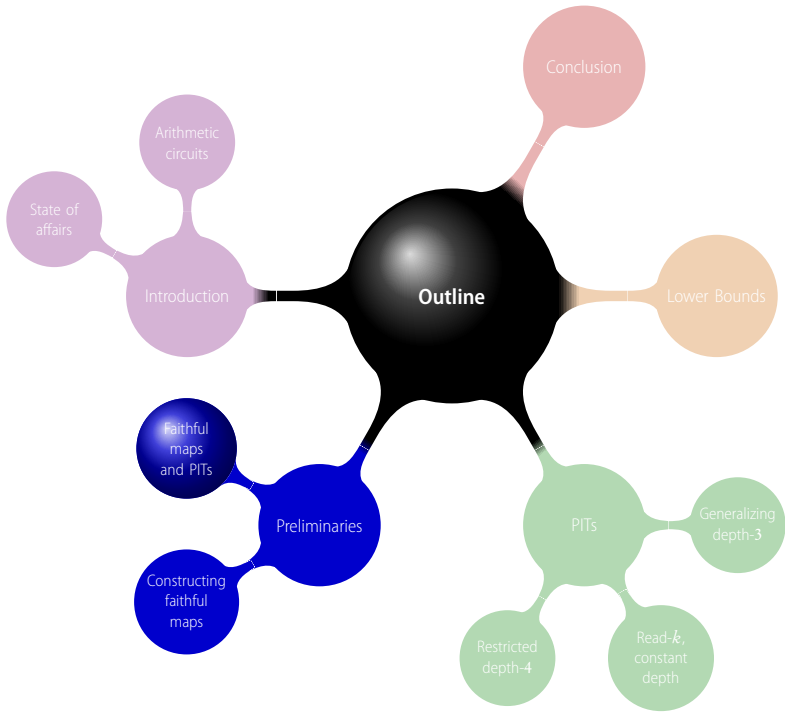
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Definition

A map $\Psi : \mathbb{F}[x_1, \dots, x_n] \rightarrow \mathbb{F}[y_1, \dots, y_k]$ is **faithful** for $\{f_1, \dots, f_m\}$ if

$$\text{algRank} \{f_1, \dots, f_m\} = \text{algRank} \{\Psi(f_1), \dots, \Psi(f_m)\}$$



Faithful maps preserve non-zerosness

Theorem (Beecken-Mittmann-Saxena)

If $\Psi : \mathbb{F}[x_1, \dots, x_n] \rightarrow \mathbb{F}[y_1, \dots, y_k]$ is faithful for $\{f_1, \dots, f_m\}$, then for any

C

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Proof.



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$$C(f_1, \dots, f_m) \cdot Q(f_1, \dots, f_m) = 1$$



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Faithful maps preserve non-zerosness

Theorem (Beecken-Mittmann-Saxena)

If $\Psi : \mathbb{F}[x_1, \dots, x_n] \rightarrow \mathbb{F}[y_1, \dots, y_k]$ is faithful for $\{f_1, \dots, f_m\}$, then for any C

$$C(f_1, \dots, f_m) \neq 0 \quad \text{if and only if} \quad \Psi(C(f_1, \dots, f_m)) \neq 0$$

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$$\begin{array}{ccc} & \cap & \cap \\ & \mathbb{F}[f_1, \dots, f_m] & \mathbb{F}[f_1, \dots, f_r] \end{array}$$

□

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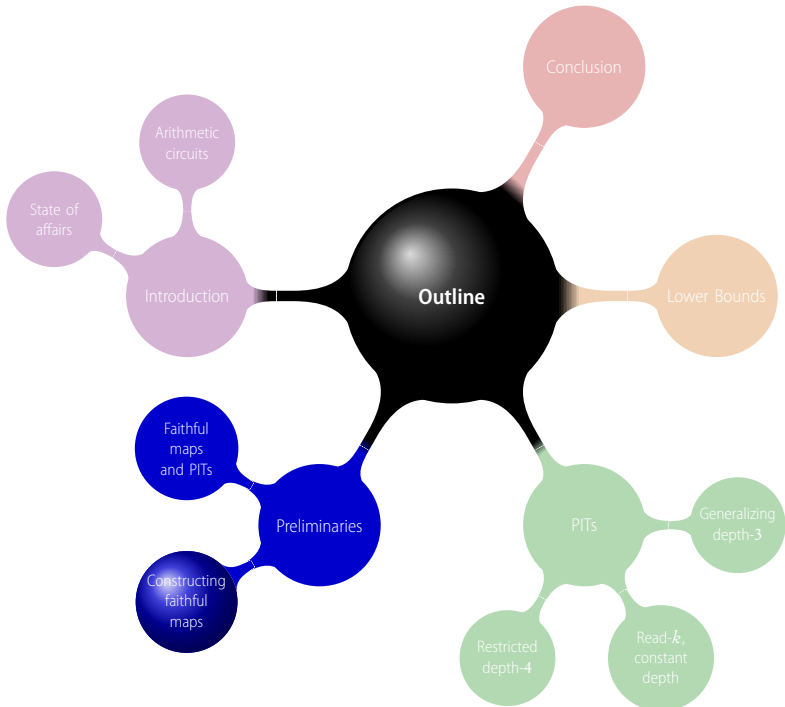
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Constructing faithful maps

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Question: Given polynomials f_1, \dots, f_m explicitly, can we even compute $\text{algRank}\{f_1, \dots, f_m\}$?

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Answer: Use the Jacobian!

The Jacobian

$$\mathcal{J}_{x_1, \dots, x_n}(f_1, \dots, f_m) = \begin{bmatrix} \frac{\partial f_1}{\partial x_1} & \cdots & \frac{\partial f_1}{\partial x_n} \\ \vdots & \ddots & \vdots \\ \frac{\partial f_m}{\partial x_1} & \cdots & \frac{\partial f_m}{\partial x_n} \end{bmatrix}_{m \times n}$$

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Theorem (Jacobi Criterion)

If $\text{char}(\mathbb{F}) = 0$ or "large enough",

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How do we use this to construct faithful maps?

Revisiting $\Sigma\Pi\Sigma$ circuits:

$$C = \Sigma\Pi\ell_{ij}$$

Say $\dim \{\ell_{ij}\}_{i,j} = k$.

How do preserve the rank in a blackbox fashion?

Rank preserving maps

Lemma (GabizonRaz05)

Given n, k , there is a set of $O(nk^2)$ of linear transformations $\{\Psi_t\} : \mathbb{F}^n \rightarrow \mathbb{F}^k$ such that for any subspace $V \subset \mathbb{F}^n$ of dimension k , there is at least one Ψ_t that is an isomorphism between V and \mathbb{F}^k .

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What do we need?

$$\begin{bmatrix} \partial_{x_1} f_1 & \cdots & \partial_{x_n} f_1 \\ \vdots & \ddots & \vdots \\ \partial_{x_1} f_m & \cdots & \partial_{x_n} f_m \end{bmatrix}_{m \times n}$$

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How does the Jacobian evolve?

Evolution of the Jacobian under homomorphism

$$\frac{\partial \Psi(f)}{\partial y} = \frac{\partial}{\partial y} f(\overline{\Psi(x)})$$

Evolution of the Jacobian under homomorphism

$$\begin{aligned}\frac{\partial \Psi(f)}{\partial y} &= \frac{\partial}{\partial y} f(\overline{\Psi(x)}) \\ &= \sum_{i=1}^n \frac{\partial f}{\partial x_i} [\overline{\Psi(x)}] \cdot \frac{\partial \Psi(x_i)}{\partial y}\end{aligned}$$

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$$\Psi : x_i \mapsto \sum_{j=1}^k y_j t^{ij} + \Phi(x_i)$$

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If $\text{rank}(\mathcal{J}(f_1, \dots, f_m)) = \text{rank}(\Phi \circ \mathcal{J}(f_1, \dots, f_m))$, we are done.

Recipe for constructing faithful maps

$$\mathcal{I}(f_1, \dots, f_m) = \boxed{\phantom{\text{[redacted]}}}$$

Recipe for constructing faithful maps

$$\mathcal{I}(f_1, \dots, f_m) = \left[\begin{array}{|c|c|} \hline \text{light gray} & \text{dark gray} \\ \hline \text{dark gray} & \text{dark gray} \\ \hline \end{array} \right]$$

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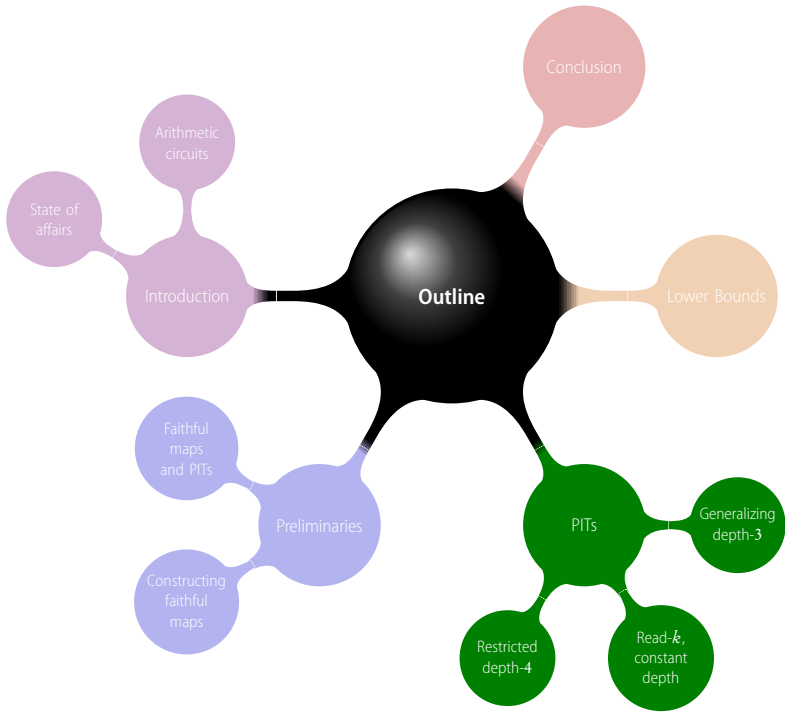
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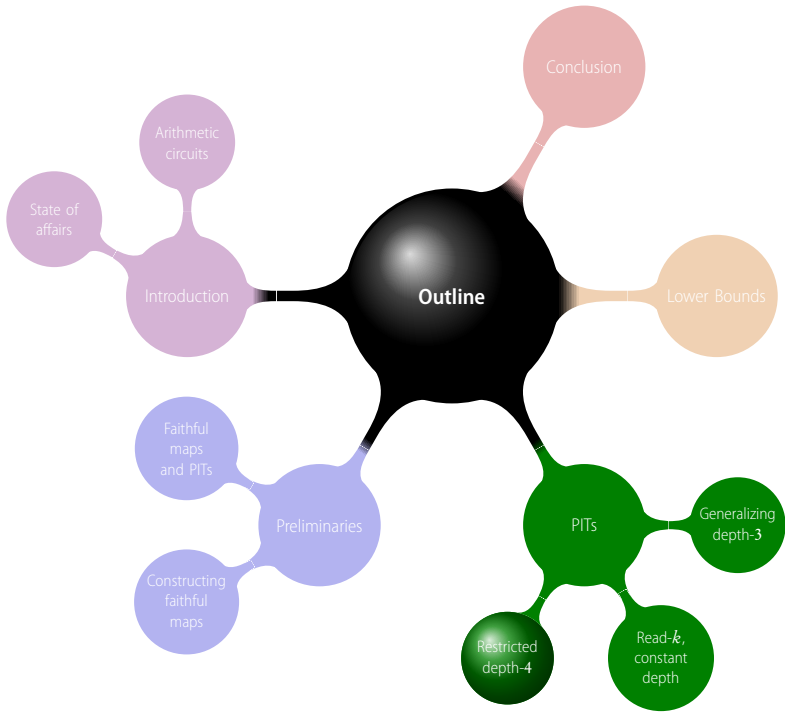
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Lemma (Composition Lemma)

Let Φ be a map such that $\Phi(J) \neq 0$. Then the map Ψ is faithful to $\{f_1, \dots, f_m\}$:

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[BeeckenMittmannSaxena]'s PIT

Theorem

There is a black-box PIT for circuits of the form $C(f_1, \dots, f_m)$ where each f_i is "sparse" and $\text{algRank}\{f_1, \dots, f_m\} \leq k$.

Proof.

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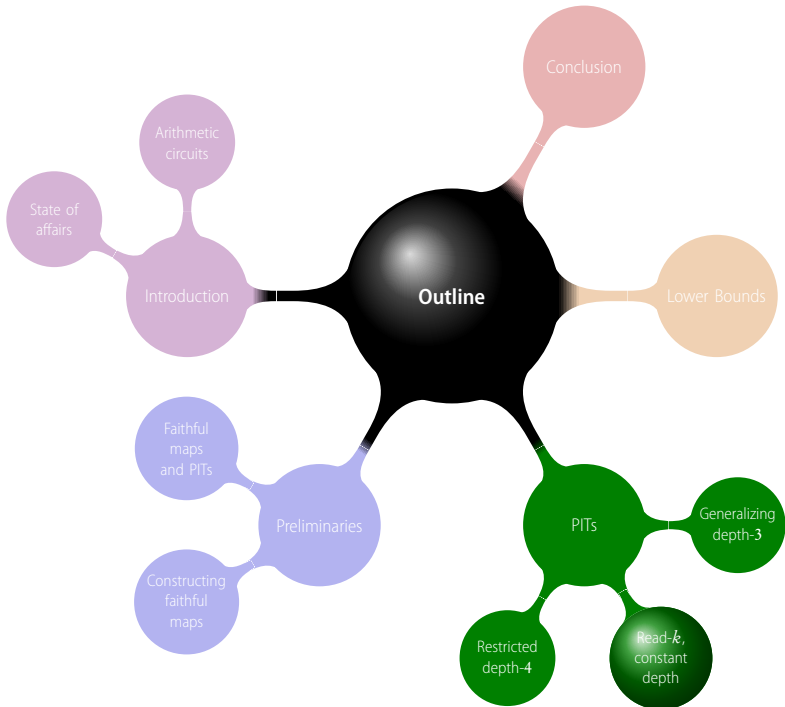
Proof.

$$\mathcal{J}(f_1, \dots, f_m) = \left[\begin{array}{|c|} \hline \text{[shaded box]} \\ \hline \end{array} \right]$$

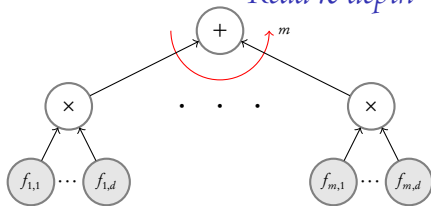
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which is a sparse poly!

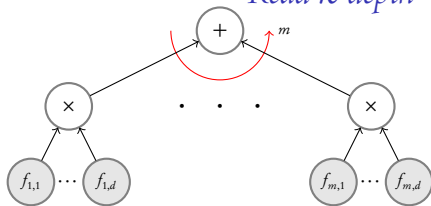




Read- k depth-4 formulae



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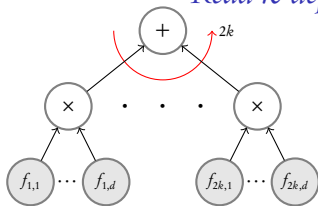
Observation

If $C(x_1, \dots, x_n) \neq 0$, then there exists an i such that

$$C(x_1, \dots, x_i + 1, \dots, x_n) - C(x_1, \dots, x_i, \dots, x_n) \neq 0$$

In fact, any x_i that C non-trivially depends on.

Read- k depth-4 formulae



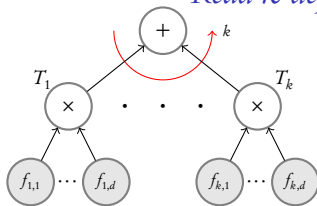
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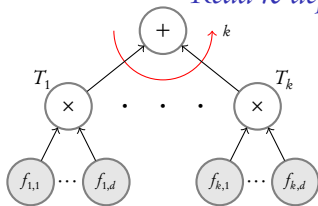
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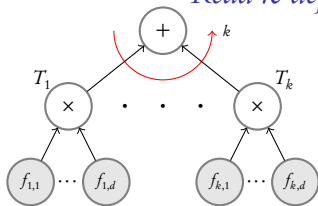
Read- k depth-4 formulae



$$\mathcal{J}(T_1, \dots, T_k) = \left[\begin{array}{c} \text{[shaded box]} \\ \text{[shaded box]} \end{array} \right]$$

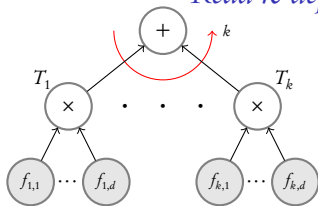
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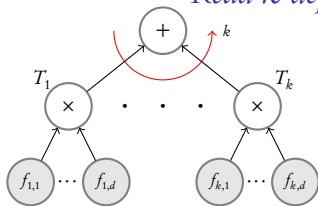


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Observation

At most rk of the f_{ij} 's depend on x_1, \dots, x_r .

Read- k depth-4 formulae

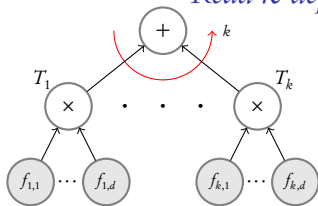


$$J = \begin{vmatrix} \partial_{x_1} T_1 & \cdots & \partial_{x_r} T_1 \\ \vdots & \ddots & \vdots \\ \partial_{x_1} T_r & \cdots & \partial_{x_r} T_r \end{vmatrix} = (\prod f_{ij}) \cdot \begin{vmatrix} \partial_{x_1} T'_1 & \cdots & \partial_{x_r} T'_1 \\ \vdots & \ddots & \vdots \\ \partial_{x_1} T'_r & \cdots & \partial_{x_r} T'_r \end{vmatrix}$$

... a product of sparse polys!



Read- k depth-4 formulae



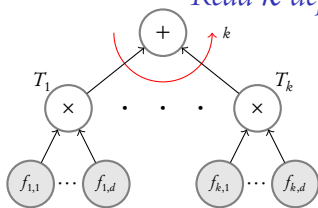
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$$\Psi_r : x_i \mapsto u^{d^i \bmod r} \text{ preserves } J$$



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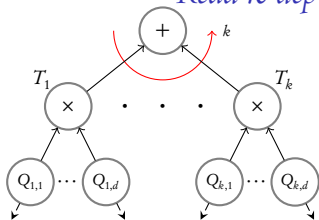
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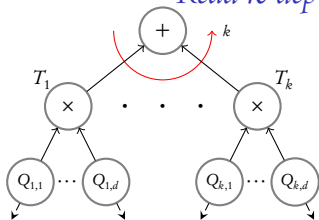
$$\Phi_r : x_i \mapsto \sum_{j=1}^k y_j t^{ij} + u^{d^i \bmod r} \quad \text{is a black-box PIT}$$



Read- k depth- D formulae



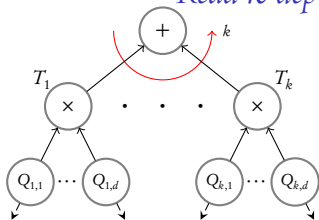
Read- k depth- D formulae



$$\mathcal{J}(T_1, \dots, T_k) = \left[\begin{array}{c} \text{[shaded box]} \\ \text{[shaded box]} \end{array} \right]$$

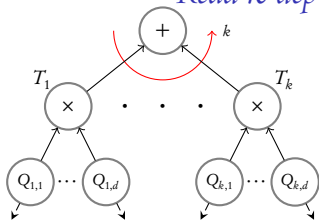
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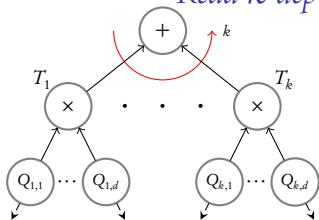
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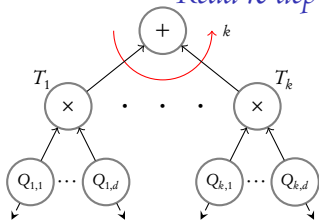
Function of "few" Q_{ij} 's

Read- k depth- D formulae



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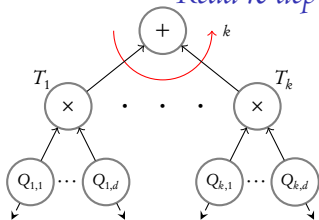
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To preserve non-zerosness of C it suffices to preserve non-zerosness of J .

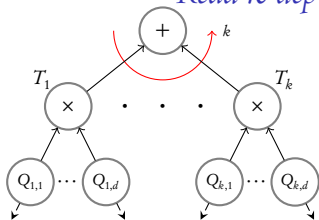
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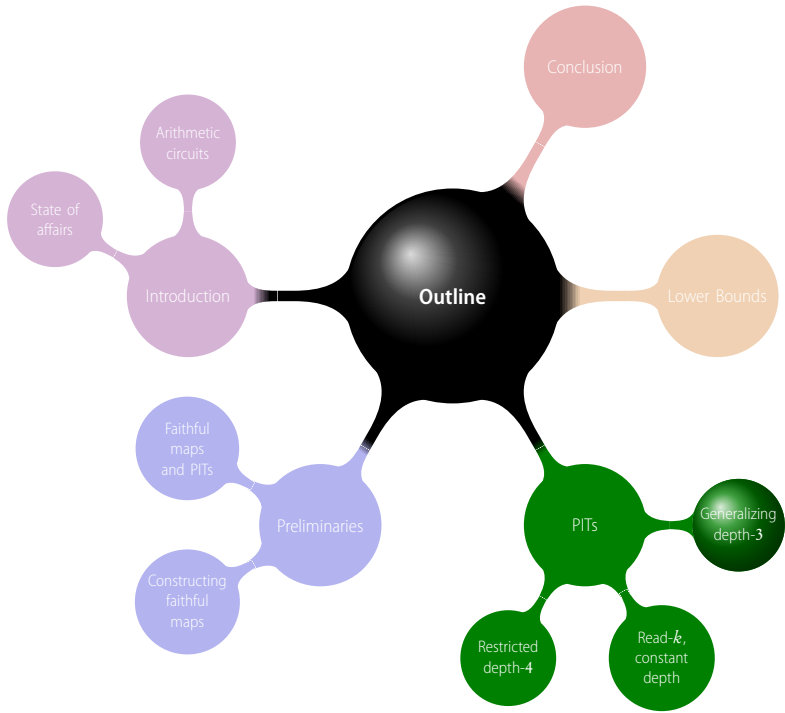
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Hence, suffices to preserve the **Jacobian of the Q_{ij} 's**.

Read- k depth- D formulae



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To preserve non-zerosness of C it suffices to preserve non-zerosness of J .
Hence, suffices to preserve the **Jacobian of the Q_{ij} 's**. Recurse! □



Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$f = C(T_1, \dots, T_k) \quad \text{where } T_i = \prod_{j=1}^d \ell_{ij}$$

Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$J(T_1, \dots, T_m) = \begin{vmatrix} \partial_{x_1} T_1 & \cdots & \partial_{x_r} T_1 \\ \vdots & \ddots & \vdots \\ \partial_{x_1} T_r & \cdots & \partial_{x_r} T_r \end{vmatrix}$$

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Lemma

$$\partial_x P \cdot Q = PQ \cdot \left(\frac{\partial_x P}{P} + \frac{\partial_x Q}{Q} \right)$$

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Lemma

$$\det \begin{bmatrix} \mathbf{b}_1 & + & \mathbf{b}'_1 \\ \mathbf{a}_2 & & \\ \vdots & & \\ \mathbf{a}_n & & \end{bmatrix} = \det \begin{bmatrix} \mathbf{b}_1 \\ \mathbf{a}_2 \\ \vdots \\ \mathbf{a}_n \end{bmatrix} + \det \begin{bmatrix} \mathbf{b}'_1 \\ \mathbf{a}_2 \\ \vdots \\ \mathbf{a}_n \end{bmatrix}$$

Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$\begin{aligned} J(T_1, \dots, T_m) &= \begin{vmatrix} \partial_{x_1} T_1 & \cdots & \partial_{x_r} T_1 \\ \vdots & \ddots & \vdots \\ \partial_{x_1} T_r & \cdots & \partial_{x_r} T_r \end{vmatrix} \\ &= T_1 \cdots T_k \cdot \sum_{\ell_i \in T_i} \frac{J(\ell_1, \dots, \ell_k)}{\ell_1 \cdots \ell_k} \end{aligned}$$

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A similar analysis (slightly simpler due to lack of multiplicities)

Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$C = T \cdot \sum \frac{\alpha_L}{\ell_1 \cdots \ell_k}$$

Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$C = T \cdot \sum \frac{\alpha_i}{\ell_i}$$

Generalizing $\Sigma\Pi\Sigma(k)$ PITs

$$C = T \cdot \sum \frac{\alpha_i}{\ell_i}$$

- Degree = $|T| - 1$.

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- Hence $C \bmod \ell \neq 0$ for some $\ell \in T$. [CRT]

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$$C \bmod \ell = \frac{T}{\ell}$$

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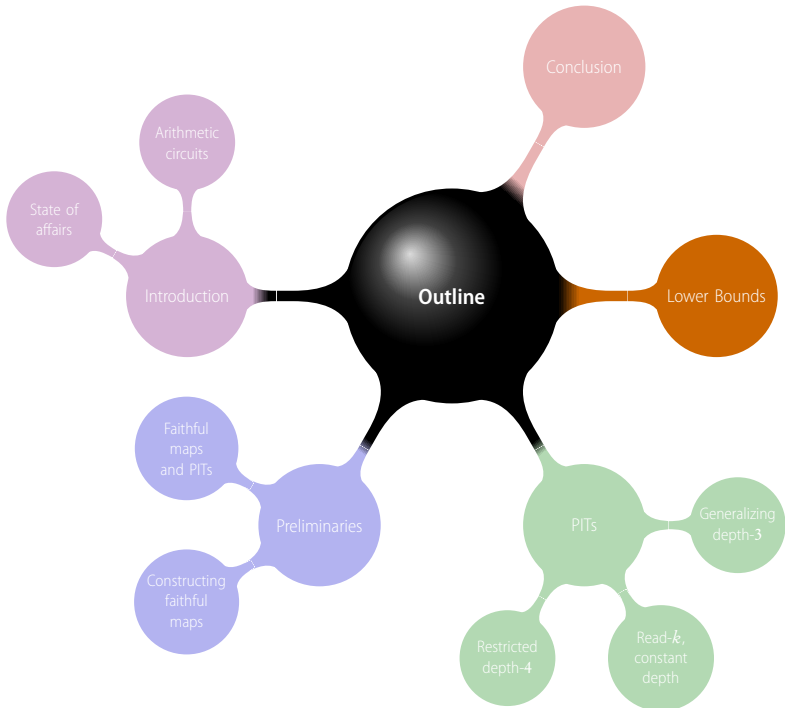
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...recurse



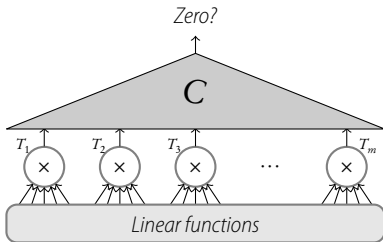
General philosophy

If you have black-box PITs for a class \mathcal{C} , then you have determinant/permanent lower bounds for (almost) \mathcal{C}' .

[KabanetsImpagliazzo03], [Agrawal05], [DvirShpilkaYehudayoff08] etc...

PITs & Lower bounds

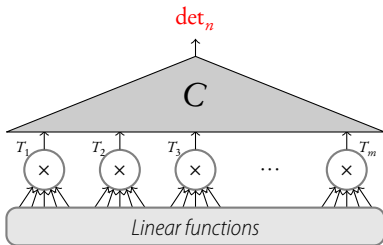
Theorem



Black-box PIT if $\text{algRank}\{T_1, \dots, T_m\} = O(1)$.

PITs & Lower bounds

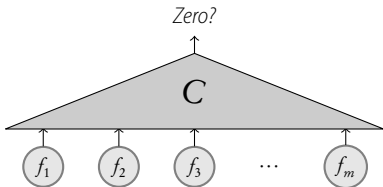
Theorem



Then, $\text{algRank}\{T_1, \dots, T_m\} = \Omega(n)$.

PITs & Lower bounds

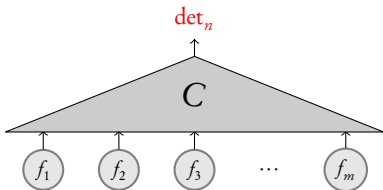
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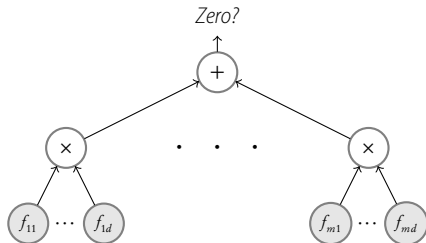
Theorem



If $\text{algRank}\{f_1, \dots, f_m\} = k$, then $\text{size}(f_i) \geq 2^{n/k^2}$

PITs & Lower bounds

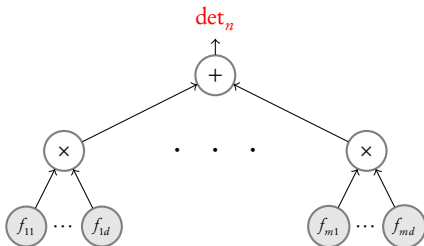
Theorem



Black-box PIT if at most $\mathbf{O}(1)$ of the f_i 's depend on any \mathbf{x}_j .

PITs & Lower bounds

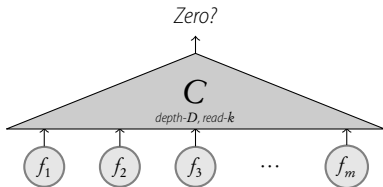
Theorem



If at most k of the f_i 's depend on any x_j , then $\text{size}(f_i) \geq 2^n/k^3$

PITs & Lower bounds

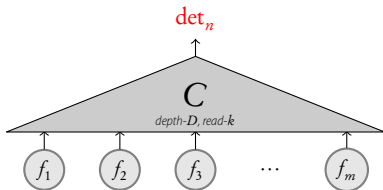
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Black-box PIT if at most $\mathbf{O(1)}$ of the f_i 's depend on any $\mathbf{x_j}$.

PITs & Lower bounds

Theorem



If at most $O(1)$ of the f_i 's depend on any x_j , then $\text{size}(f_i) \geq 2^{\Omega(n)}$, assuming a conjecture about determinants is true.

An illustrative example

Theorem

If $\det_n = C(f_1, \dots, f_k)$, then one of the f_i 's has $2^{n/k^2}$ monomials.

Proof

$$\mathcal{J}(\det_n, f_1, \dots, f_k) = \left[\begin{array}{c} \text{[shaded box]} \\ \text{[shaded box]} \end{array} \right]$$

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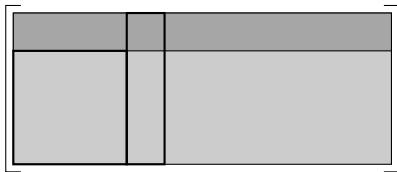
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↓

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Is this possible?!

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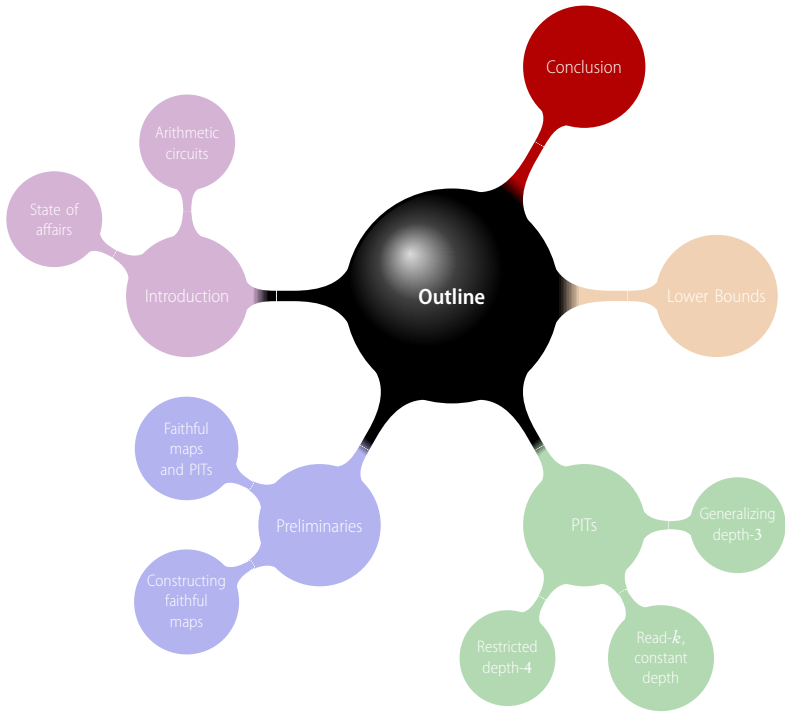
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Concluding Remarks

- Generalizes all known polynomial time black-box PITs for sub-classes of constant depth formulae.
- Unified approach.
- Simpler proofs.

Open Problems

Models where PIT is known but not hit by the Jacobian (yet!)

- Arbitrary depth, read- k formulae

However, Jacobian gives a quasipoly blackbox test for arbitrary depth read-1 formulae

- Diagonal circuits: $\ell_1^d + \dots + \ell_m^d \stackrel{?}{=} 0$

Polynomial time non-blackbox known [Kayal09,Saxena08]

Others problems

- PIT for bounded fan-in depth-4 circuits? With constant degree sparse polynomials?
- PITs for polynomials with low dimension partial-derivative space?
- Conjecture on independence of minors
- Fields of small characteristic

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Thanks!

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