

# Polynomial Real Root Isolation Using Vincent's Theorem of 1836

Alkiviadis G. Akritas

Professor Emeritus  
University of Thessaly  
Department of Electrical and Computer Engineering  
Volos, Greece

October 2018

# What is isolation?

# What is isolation?

► **Isolation** of the real roots of a polynomial is the process of finding real open intervals such that each interval contains exactly one real root and every real root is contained in some interval.

# What is isolation?

- ▶ **Isolation** of the real roots of a polynomial is the process of finding real open intervals such that each interval contains exactly one real root and every real root is contained in some interval.
- ▶ To determine the values of the real roots, isolation is followed by **approximation** to any desired degree of accuracy.

# What is isolation?

- ▶ **Isolation** of the real roots of a polynomial is the process of finding real open intervals such that each interval contains exactly one real root and every real root is contained in some interval.
- ▶ To determine the values of the real roots, isolation is followed by **approximation** to any desired degree of accuracy.
- ▶ One of — if not — the first to employ the **isolation / approximation** approach was Budan and we begin our talk with him.

# Outline of the talk

## Outline of the talk

- Budan's theorem and some other discoveries described in his book of 1807.

## Outline of the talk

- Budan's theorem and some other discoveries described in his book of 1807.
- Vincent's theorem of 1836, which is based on the one by Budan.



## Outline of the talk

- Budan's theorem and some other discoveries described in his book of 1807.
- Vincent's theorem of 1836, which is based on the one by Budan.
- Uspensky's extension of Vincent's theorem, which appeared in his book published posthumously in 1948.

## Outline of the talk

- Budan's theorem and some other discoveries described in his book of 1807.
- Vincent's theorem of 1836, which is based on the one by Budan.
- Uspensky's extension of Vincent's theorem, which appeared in his book published posthumously in 1948.
- VAS, one of the three methods derived from Vincent's theorem for the isolation of the real roots of polynomials.

## Outline of the talk

- Budan's theorem and some other discoveries described in his book of 1807.
- Vincent's theorem of 1836, which is based on the one by Budan.
- Uspensky's extension of Vincent's theorem, which appeared in his book published posthumously in 1948.
- VAS, one of the three methods derived from Vincent's theorem for the isolation of the real roots of polynomials.
- Bounds on the values of the positive roots, which determine the efficiency of VAS.

# Descartes' rule of signs (1637) — saved from oblivion by Budan

# Descartes' rule of signs (1637) — saved from oblivion by Budan

Consider the polynomial

$$p(x) = a_n x^n + \cdots + a_1 x + a_0,$$

where  $p(x) \in \mathbb{R}[x]$  and let  $\text{var}(p)$  represent the number of sign *changes* or *variations* (positive to negative and vice-versa) in the sequence of coefficients  $a_n, a_{n-1}, \dots, a_0$ .

# Descartes' rule of signs (1637) — saved from oblivion by Budan

Consider the polynomial

$$p(x) = a_n x^n + \cdots + a_1 x + a_0,$$

where  $p(x) \in \mathbb{R}[x]$  and let  $\text{var}(p)$  represent the number of sign *changes* or *variations* (positive to negative and vice-versa) in the sequence of coefficients  $a_n, a_{n-1}, \dots, a_0$ .

## Theorem

*The number  $\varrho_+(p)$  of real roots — multiplicities counted — of the polynomial  $p(x) \in \mathbb{R}[x]$  in the open interval  $(0, \infty)$  is **bounded above** by  $\text{var}(p)$ ; that is, we have  $\text{var}(p) \geq \varrho_+(p)$ . If  $\text{var}(p) > \varrho_+(p)$  then their difference is an **even** number.*

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

# Special cases of Descartes' rule of signs

## Special cases of Descartes' rule of signs

$$\blacktriangleright \text{var}(p) = 0 \Leftrightarrow \varrho_+(p) = 0.$$



## Special cases of Descartes' rule of signs

▶  $\text{var}(p) = 0 \Leftrightarrow \varrho_+(p) = 0.$

▶  $\text{var}(p) = 1 \Rightarrow \varrho_+(p) = 1.$

## Special cases of Descartes' rule of signs

►  $\text{var}(p) = 0 \Leftrightarrow \varrho_+(p) = 0.$

►  $\text{var}(p) = 1 \Rightarrow \varrho_+(p) = 1.$

Obreschkoff in 1920-23 provided the conditions under which  
 $\text{var}(p) = 1 \Leftarrow \varrho_+(p) = 1.$

## Special cases of Descartes' rule of signs

►  $\text{var}(p) = 0 \Leftrightarrow \varrho_+(p) = 0.$

►  $\text{var}(p) = 1 \Rightarrow \varrho_+(p) = 1.$

Obreschkoff in 1920-23 provided the conditions under which  
 $\text{var}(p) = 1 \Leftarrow \varrho_+(p) = 1.$

These two special cases above will be used as **termination criteria** in the real root isolation method VAS.

# Table of contents

- 1 Budan's work of 1807
  - Statement of Budan's theorem
  - Fate of Budan's theorem
  - Recapping
- 2 Vincent's Theorem of 1836
- 3 Uspensky's Extension of Vincent's Theorem
- 4 Various Implementations of Vincent's Theorem

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Historical Note on Budan (1761-1840)

## Historical Note on Budan (1761-1840)

► From Wikipedia we see that Ferdinand Francois Desire Budan de Boislaurent is considered an amateur mathematician, who is **best remembered** for his discovery of a rule which gives the necessary condition for a polynomial equation to have **no real roots within an open interval**.

## Historical Note on Budan (1761-1840)

► From Wikipedia we see that Ferdinand Francois Desire Budan de Boislaurent is considered an amateur mathematician, who is **best remembered** for his discovery of a rule which gives the necessary condition for a polynomial equation to have **no real roots within an open interval**.

► Taken together with Descartes' Rule of signs, his theorem leads to an **upper bound** on the number of the real roots a polynomial has inside an open interval.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Budan's Book of 1807



# Budan's Book of 1807

## NOUVELLE MÉTHODE POUR LA RÉOLUTION DES ÉQUATIONS NUMÉRIQUES

D'UN DEGRÉ QUELCONQUE;

*D'après laquelle tout le calcul exigé pour cette Résolution  
se réduit à l'emploi des deux premières règles de l'Arith-  
métique :*

PAR F. D. BUDAN, D. M. P.

« On peut regarder ce point comme le plus important de toute l'Analyse...  
» Il conviendrait de donner dans l'Arithmétique, les règles de la Résolution des  
» Equations numériques, soit à recourir à l'Algèbre la démonstration de celles  
» qui dépendent de la théorie générale des Equations ( Traité de la Résolution  
» des Equations numériques de tous les degrés, par J. L. LAGRANGE; Leçons  
» de math. entre aux Ecoles normales »).

A PARIS,

Chez COURCIER, Imprimeur-Libraire pour les Mathématiques,  
quai des Augustins, n° 57.

ANNÉE 1807.

A L'EMPEREUR ET ROI.

Figure:

Budan's theorem of 1807 — to be found in Budan's book,  
Vincent's paper of 1836 and our publications

# Budan's theorem of 1807 — to be found in Budan's book, Vincent's paper of 1836 and our publications

If in an equation  $p(x) = 0$  we make two substitutions,  $x \leftarrow x + a$  and  $x \leftarrow x + b$ , where  $a$  and  $b$  are real numbers such that  $a < b$ , then:

# Budán's theorem of 1807 — to be found in Budán's book, Vincent's paper of 1836 and our publications

If in an equation  $p(x) = 0$  we make two substitutions,  $x \leftarrow x + a$  and  $x \leftarrow x + b$ , where  $a$  and  $b$  are real numbers such that  $a < b$ , then:

►  $\text{var}(p(x + a)) \geq \text{var}(p(x + b))$ .

# Budán's theorem of 1807 — to be found in Budán's book, Vincent's paper of 1836 and our publications

If in an equation  $p(x) = 0$  we make two substitutions,  $x \leftarrow x + a$  and  $x \leftarrow x + b$ , where  $a$  and  $b$  are real numbers such that  $a < b$ , then:

- ▶  $\text{var}(p(x + a)) \geq \text{var}(p(x + b))$ .
- ▶ the number  $\varrho_{ab}(p)$  of real roots of  $p(x)$  located between  $a$  and  $b$ , satisfies the inequality  $\varrho_{ab}(p) \leq \text{var}(p(x + a)) - \text{var}(p(x + b))$ .

# Budán's theorem of 1807 — to be found in Budán's book, Vincent's paper of 1836 and our publications

If in an equation  $p(x) = 0$  we make two substitutions,  $x \leftarrow x + a$  and  $x \leftarrow x + b$ , where  $a$  and  $b$  are real numbers such that  $a < b$ , then:

- ▶  $\text{var}(p(x + a)) \geq \text{var}(p(x + b))$ .
- ▶ the number  $\varrho_{ab}(p)$  of real roots of  $p(x)$  located between  $a$  and  $b$ , satisfies the inequality  $\varrho_{ab}(p) \leq \text{var}(p(x + a)) - \text{var}(p(x + b))$ .
- ▶ if  $\varrho_{ab}(p) < \text{var}(p(x + a)) - \text{var}(p(x + b))$ , then  $\{\text{var}(p(x + a)) - \text{var}(p(x + b))\} - \varrho_{ab}(p) = 2k, k \in \mathbb{N}$ .

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Remarks on Budan's theorem

## Remarks on Budán's theorem

► From Budán's theorem it follows that if the polynomials  $p(x)$  and  $p(x+1)$  have the **same number of sign variations** then  $p(x)$  has **no real roots** in the interval  $(0, 1)$ .



## Remarks on Budán's theorem

► From Budán's theorem it follows that if the polynomials  $p(x)$  and  $p(x+1)$  have the **same number of sign variations** then  $p(x)$  has **no real roots** in the interval  $(0, 1)$ .

► On the other hand, if  $p(x)$  has **more sign variations** than  $p(x+1)$ , Budán investigates the **existence** or **absence** of real roots in the interval  $(0, 1)$  by **mapping those roots in the interval  $(0, \infty)$  so that he can use Descartes' rule of signs.**

# Budan's termination criterion for the interval $(0, 1)$

## Budán's termination criterion for the interval $(0, 1)$

► To map the real roots of the interval  $(0, 1)$  in the interval  $(0, \infty)$  Budán makes the pair of substitutions  $x \leftarrow \frac{1}{x}$  and  $x \leftarrow 1 + x$  (which is equivalent to the substitution  $x \leftarrow \frac{1}{1+x}$ ). His **termination criterion** states that ...

# Budán's termination criterion for the interval $(0, 1)$

► To map the real roots of the interval  $(0, 1)$  in the interval  $(0, \infty)$  Budan makes the pair of substitutions  $x \leftarrow \frac{1}{x}$  and  $x \leftarrow 1 + x$  (which is equivalent to the substitution  $x \leftarrow \frac{1}{1+x}$ ). His **termination criterion** states that ...

► The number  $\varrho_{01}(p)$  of real roots in the open interval  $(0, 1)$  — multiplicities counted — of the polynomial  $p(x) \in \mathbb{R}[x]$ , is **bounded above** by the number of sign variations  $\text{var}_{01}(p)$ , where

$$\text{var}_{01}(p) = \text{var}((x + 1)^{\deg(p)} p(\frac{1}{x + 1})).$$

That is, we have  $\text{var}_{01}(p) \geq \varrho_{01}(p)$ .

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Budan's Theorem overshadowed by Fourier's Theorem — a

# Budan's Theorem overshadowed by Fourier's Theorem — a

- ▶ Following a priority dispute, Budan's theorem was overshadowed by an equivalent theorem by Fourier, which appears under the names **Budan** or **Fourier** or **Fourier-Budan** or **Budan-Fourier**.

# Budan's Theorem overshadowed by Fourier's Theorem — a

- Following a priority dispute, Budan's theorem was overshadowed by an equivalent theorem by Fourier, which appears under the names **Budan** or **Fourier** or **Fourier-Budan** or **Budan-Fourier**.

121. THÉORÈME DE BUDAN. — *Étant donnée une équation quelconque  $f(x) = 0$  de degré  $m$ , si dans les  $m + 1$  fonctions*

$$(1) \quad f(x), f'(x), f''(x), \dots, f^{(m)}(x)$$

*on substitue deux quantités réelles quelconques  $\alpha$  et*

Figure: **Fourier's theorem** in Serret's Algebra, Vol. 1, 1877.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Budan's Theorem overshadowed by Fourier's Theorem — b



# Budán's Theorem overshadowed by Fourier's Theorem — b

► **CAVEAT:** From Budán's statement it is **easier to deduce that**  
 $\text{var}(p(x)) - \text{var}(p(x+1)) = 0 \Rightarrow \varrho_{01}(p) = 0$ , than it is from  
 Fourier's statement.

# Budán's Theorem overshadowed by Fourier's Theorem — b

► **CAVEAT:** From Budán's statement it is **easier to deduce that**  $\text{var}(p(x)) - \text{var}(p(x+1)) = 0 \Rightarrow \varrho_{01}(p) = 0$ , than it is from Fourier's statement.

► In his paper of 1836, **Vincent** presented **both** the Budan and the Fourier statement of this crucial theorem.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Recapping Budan's achievements — a

## Recapping Budan's achievements — a

► He had developed all the basic ingredients needed for the isolation of the real roots of polynomials and had a **very modern** point of view. However, he did not present a unifying theorem.

## Recapping Budan's achievements — a

► He had developed all the basic ingredients needed for the isolation of the real roots of polynomials and had a **very modern** point of view. However, he did not present a unifying theorem.

► He **revived** Descartes' rule of signs — forgotten for about 160 years — and first isolates the **positive** roots. To isolate the **negative** roots he sets  $x \leftarrow -x$  and treats them as positive.

## Recapping Budan's achievements — a

- ▶ He had developed all the basic ingredients needed for the isolation of the real roots of polynomials and had a **very modern** point of view. However, he did not present a unifying theorem.
- ▶ He **revived** Descartes' rule of signs — forgotten for about 160 years — and first isolates the **positive** roots. To isolate the **negative** roots he sets  $x \leftarrow -x$  and treats them as positive.
- ▶ To compute the coefficients of  $p(x + 1)$  Budan developed in 1803 the special case,  $a = 1$ , of the **Ruffini** method to compute the coefficients of  $p(x + a)$ . Ruffini's method appeared in 1804 — and was independently rediscovered by **Horner** in 1819.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

Fate of Budan's theorem

Recapping

# Recapping Budan's achievements — b

# Recapping Budan's achievements — b

► He uses his method to compute radicals, as in  $x^3 - 1745$ .



## Recapping Budán's achievements — b

► He uses his method to compute radicals, as in  $x^3 - 1745$ .

► If he knows the roots to be “far” away from 0 he can speed up his method by introducing substitutions of the form  $x \leftarrow kx$ , for  $k = 10, 20$ , etc. For example, with seven substitutions he can determine that  $\sqrt[3]{1745}$  is in the interval (12, 13).

## Recapping Budán's achievements — b

- ▶ He uses his method to compute radicals, as in  $x^3 - 1745$ .
- ▶ If he knows the roots to be “far” away from 0 he can speed up his method by introducing substitutions of the form  $x \leftarrow kx$ , for  $k = 10, 20$ , etc. For example, with seven substitutions he can determine that  $\sqrt[3]{1745}$  is in the interval  $(12, 13)$ .
- ▶ However, in general, his method for real root isolation has exponential computing time.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of Budan's theorem

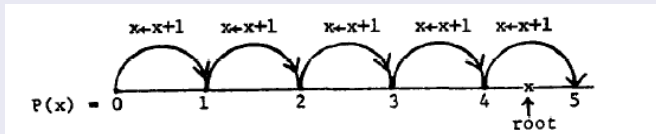
Fate of Budan's theorem

Recapping

# Recapping Budan's achievements — c

# Recapping Budán's achievements — c

- In other words, searching for a real root Budan proceeds by taking *unit* steps of the form  $x \leftarrow x + 1$ .



# Table of contents

- 1 Budán's work of 1807
- 2 Vincent's Theorem of 1836
  - Statement of the Theorem
  - Fate of Vincent's theorem
  - Recapping
- 3 Uspensky's Extension of Vincent's Theorem
- 4 Various Implementations of Vincent's Theorem

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Historical Note on Vincent (1797-1868)

## Historical Note on Vincent (1797-1868)

► Until 1979 he was known as M. Vincent. (M. for Monsieur; see Lloyd, E. K.: “On the forgotten Mr. Vincent”; *Historia Mathematica*, 6, (1979), 448–450).

## Historical Note on Vincent (1797-1868)

► Until 1979 he was known as M. Vincent. (M. for Monsieur; see Lloyd, E. K.: “On the forgotten Mr. Vincent”; *Historia Mathematica*, 6, (1979), 448–450).

► Vincent is best known for his [Cours de Géométrie Élémentaire, 1826](#), which reached a sixth edition and was published in German as well.



## Historical Note on Vincent (1797-1868)

- ▶ Until 1979 he was known as M. Vincent. (M. for Monsieur; see Lloyd, E. K.: "On the forgotten Mr. Vincent"; *Historia Mathematica*, 6, (1979), 448–450).
- ▶ Vincent is best known for his [Cours de Géométrie Élémentaire, 1826](#), which reached a sixth edition and was published in German as well.
- ▶ He was a polymath. He wrote at least 30 papers on topics such as Mathematics, Archaeology, Philosophy, Ancient Greek Music etc.

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

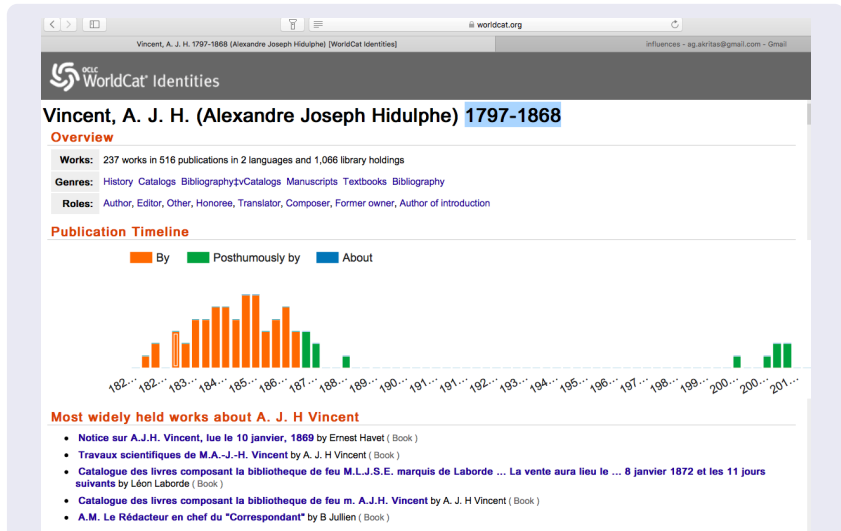
Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Vincent's Publications Timeline

# Vincent's Publications Timeline



Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Vincent's theorem of 1836

# Vincent's theorem of 1836

If in a polynomial,  $p(x)$ , of degree  $n$ , with rational coefficients and **simple** roots we perform sequentially replacements of the form

$$x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$$

where  $\alpha_1 \geq 0$  is an arbitrary non negative integer and  $\alpha_2, \alpha_3, \dots$  are arbitrary positive integers,  $\alpha_i > 0$ ,  $i > 1$ , then the resulting polynomial either has **no sign variations** or it has **one sign variation**. In the first case there are **no** positive roots whereas in the last case the equation has exactly **one** positive root, represented by the continued fraction

$$\alpha_1 + \frac{1}{\alpha_2 + \frac{1}{\alpha_3 + \frac{1}{\ddots}}}$$

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Remarks on Vincent's Theorem — a

# Remarks on Vincent's Theorem — a

► The requirement of the theorem that the roots of the polynomial be simple, does not restrict its generality, because we can always apply **square free factorization** and obtain polynomials with simple roots. That is, employing **polynomial gcd computations**, we can always obtain the factorization

$$p(x) = p_1(x)p_2(x)^2 \cdots p_k(x)^k,$$

where the roots of each  $p_i(x)$ ,  $i = 1, \dots, k$  are simple.

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Remarks on Vincent's Theorem — b



## Remarks on Vincent's Theorem — b

► The substitutions of the form  $x \leftarrow \alpha_1 + \frac{1}{x}, \dots$  can be compactly written in the form of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$ .

## Remarks on Vincent's Theorem — b

► The substitutions of the form  $x \leftarrow \alpha_1 + \frac{1}{x}, \dots$  can be compactly written in the form of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$ .

► It employs **Descartes' termination test**, which is very efficiently executed.

## Remarks on Vincent's Theorem — b

► The substitutions of the form  $x \leftarrow \alpha_1 + \frac{1}{x}, \dots$  can be compactly written in the form of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$ .

► It employs **Descartes' termination test**, which is very efficiently executed.

► The theorem **does not provide a bound** on the number of substitutions  $x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$  that need to be performed in order to obtain a polynomial with **at most** one sign variation.

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

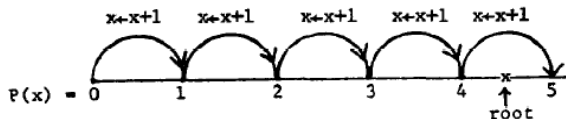
# Vincent's search for a root

## Vincent's search for a root

Like Budan, Vincent searches for roots — that is, he computes each partial quotient  $\alpha_i$  — by performing substitutions of the form  $x \leftarrow x + 1$  — which correspond to  $\alpha_i \leftarrow \alpha_i + 1$  — until the number of sign variations changes. Then he needs to investigate the **existence or absence** of real roots in  $(0, 1)$  using **Budan's termination criterion**.

# Vincent's search for a root

Like Budan, Vincent searches for roots — that is, he computes each partial quotient  $\alpha_i$  — by performing substitutions of the form  $x \leftarrow x + 1$  — which correspond to  $\alpha_i \leftarrow \alpha_i + 1$  — until the number of sign variations changes. Then he needs to investigate the **existence or absence** of real roots in  $(0, 1)$  using **Budan's termination criterion**.



Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

**Fate of Vincent's theorem**

Recapping

## References to Vincent's theorem — a

## References to Vincent's theorem — a

► Vincent's article appeared a few years after Sturm had already solved the real root isolation problem using bisections (1827). Hence, there was little or no interest in Vincent's method, which was correctly perceived as exponential.



## References to Vincent's theorem — a

▶ Vincent's article appeared a few years after Sturm had already solved the real root isolation problem using bisections (1827). Hence, there was little or no interest in Vincent's method, which was correctly perceived as exponential.

▶ In the 19-th century the theorem appeared **with its proof but without examples only** in Serret's Algebra — at least in the fourth edition of 1877 — and in its Russian translation.

## References to Vincent's theorem — b

## References to Vincent's theorem — b

- ▶ The theorem was kept alive by Uspensky — in his book *Theory of Equations* (1948)...

## References to Vincent's theorem — b

► The theorem was kept alive by Uspensky — in his book *Theory of Equations* (1948)...

► ... where it was rediscovered by me in 1975 and formed the subject of my Ph.D. Thesis (1978).

Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Recapping Vincent's achievements — a

## Recapping Vincent's achievements — a

► He presented and proved a theorem that unified the basic ingredients needed for the isolation of the real roots of polynomials. His theorem lacked a certain feature, but nonetheless was a significant step forward.

## Recapping Vincent's achievements — a

- ▶ He presented and proved a theorem that unified the basic ingredients needed for the isolation of the real roots of polynomials. His theorem lacked a certain feature, but nonetheless was a significant step forward.
- ▶ He was fully aware of Budán's work and used **almost** all the tools developed by Budán in 1807.

## Recapping Vincent's achievements — a

- ▶ He presented and proved a theorem that unified the basic ingredients needed for the isolation of the real roots of polynomials. His theorem lacked a certain feature, but nonetheless was a significant step forward.
- ▶ He was fully aware of Budán's work and used **almost** all the tools developed by Budán in 1807.
- ▶ What can be considered a step backward, is that he **did not use Budán's method** for computing the coefficients of  $p(x+1)$ . Instead, he computes them by employing **Pascal's triangle**.



Budan's work of 1807

**Vincent's Theorem of 1836**

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Statement of the Theorem

Fate of Vincent's theorem

Recapping

# Recapping Vincent's achievements — b

## Recapping Vincent's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3 \dots$  is not clear.

## Recapping Vincent's achievements — b

► The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3, \dots$  is not clear.

► Unclear is also the effect of the substitutions  $x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$  on the roots with positive real part.

## Recapping Vincent's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3 \dots$  is not clear.
- ▶ Unclear is also the effect of the substitutions  $x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$  on the roots with positive real part.
- ▶ Finally, as in Budán's case, his real root isolation method has **exponential** computing time.

# Table of contents

- 1 Budan's work of 1807
- 2 Vincent's Theorem of 1836
- 3 **Uspensky's Extension of Vincent's Theorem**
  - Uspensky's Bound on the Number of Substitutions
  - An Example
  - Recapping
- 4 Various Implementations of Vincent's Theorem

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

An Example

Recapping

# Historical Note on Uspensky (1883-1947)

## Historical Note on Uspensky (1883-1947)

- ▶ Uspensky was born in Mongolia, the son of a Russian diplomat.

## Historical Note on Uspensky (1883-1947)

- ▶ Uspensky was born in Mongolia, the son of a Russian diplomat.
- ▶ He graduated from the University of St. Petersburg in 1906 and received his doctorate from the University of St. Petersburg in 1910. He was a member of the Russian Academy of Sciences from 1921.



## Historical Note on Uspensky (1883-1947)

- ▶ Uspensky was born in Mongolia, the son of a Russian diplomat.
- ▶ He graduated from the University of St. Petersburg in 1906 and received his doctorate from the University of St. Petersburg in 1910. He was a member of the Russian Academy of Sciences from 1921.
- ▶ He joined the faculty of Stanford University in 1929-30 and 1930-31 as acting professor of mathematics. He was professor of mathematics at Stanford from 1931 until his death.

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

An Example

Recapping

# Extension of Vincent's theorem by Uspensky

## Extension of Vincent's theorem by Uspensky

If  $\Delta$  is the **smallest distance** between any two roots of  $p(x)$  having simple roots and degree  $n$  and  $F_i$  is the  $i$ -th **Fibonacci number** (seed numbers 1, 1) we need to perform at most  $m$  substitutions

$$x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots, x \leftarrow \alpha_m + \frac{1}{x}$$

to obtain **a polynomial with at most 1 sign variation**. The index  $m$  is defined by

$$F_{m-1}\Delta > \frac{1}{2}, \quad \Delta F_m F_{m-1} > 1 + \frac{1}{\epsilon}$$

where

$$\epsilon = \left(1 + \frac{1}{n}\right)^{\frac{1}{n-1}} - 1.$$

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

An Example

Recapping

# Remarks on Uspensky's Theorem

## Remarks on Uspensky's Theorem

- ▶ Uspensky's proof is unnecessarily complicated and the bound  $m$  on the number of substitutions is way too high.

## Remarks on Uspensky's Theorem

- ▶ Uspensky's proof is unnecessarily complicated and the bound  $m$  on the number of substitutions is way too high.
- ▶ From his theorem it follows that if a polynomial  $p(x)$  has **one positive root** and all other roots with positive real part have been moved — through a suitable Möbius substitution — **inside a circle with center at -1 and radius  $\epsilon$** , **then  $\text{var}(p) = 1$** .

## Remarks on Uspensky's Theorem

- ▶ Uspensky's proof is unnecessarily complicated and the bound  $m$  on the number of substitutions is way too high.
- ▶ From his theorem it follows that if a polynomial  $p(x)$  has **one positive root** and all other roots with positive real part have been moved — through a suitable Möbius substitution — **inside a circle with center at -1 and radius  $\epsilon$** , then  **$\text{var}(p) = 1$** .
- ▶ As we will see, the **circle at -1 with radius  $\epsilon$**  **greatly underestimates** the sector into which all other roots have to move, so that  $\text{var}(p) = 1 \Leftarrow \varrho_+(p) = 1$ .

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

**An Example**

Recapping

# Uspensky Uses the Same Example as Vincent — a



# Uspensky Uses the Same Example as Vincent — a

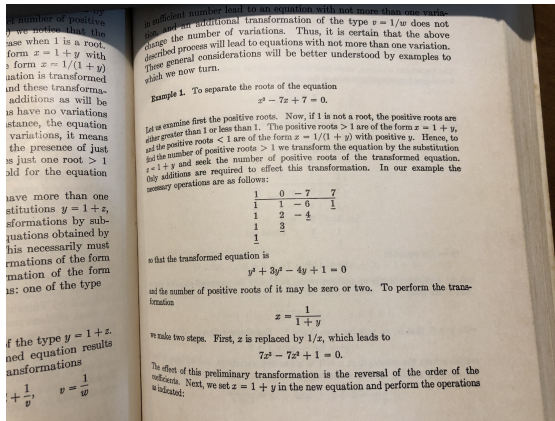


Figure: Uspensky uses Budan's method, by then a special case of the established Ruffini-Horner method.

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

**An Example**

Recapping

# Uspensky Uses the Same Example as Vincent — b

# Uspensky Uses the Same Example as Vincent — b

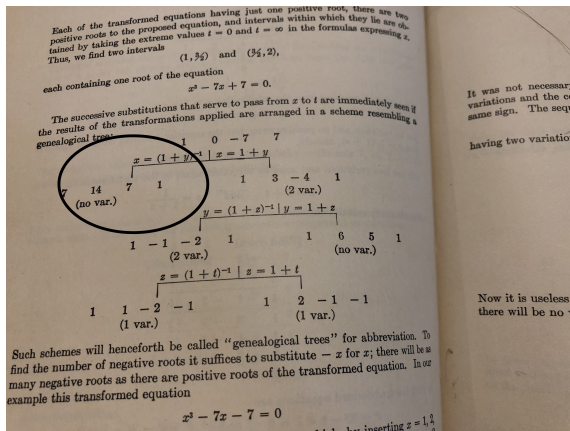


Figure: At the terminal nodes we have  $M_L(x) = \frac{2x+3}{x+2}$  and  $M_R(x) = \frac{x+3}{x+2}$ .

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

**An Example**

Recapping

# Uspensky's search for a root — a

## Uspensky's search for a root — a

Uspensky *was not able to deduce* from Fourier's statement that  $\text{var}(p(x)) - \text{var}(p(x+1)) = 0$  implies  $\varrho_{01}(p) = 0$ . So the fact that there is no sign variation loss after the substitution  $x \leftarrow x + 1$  means nothing to him.

## Uspensky's search for a root — a

Uspensky *was not able to deduce* from Fourier's statement that  $\text{var}(p(x)) - \text{var}(p(x+1)) = 0$  implies  $\varrho_{01}(p) = 0$ . So the fact that there is no sign variation loss after the substitution  $x \leftarrow x + 1$  means nothing to him.

To make sure there is no root in  $(0, 1)$  Uspensky “reinvented” Budán's **termination test** and after **each** substitution of the form  $x \leftarrow x + 1$ , he also performs the **redundant** substitution

$$x \leftarrow (x + 1)^{\deg(p)} p\left(\frac{1}{x + 1}\right).$$

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

**An Example**

Recapping

# Uspensky's search for a root — b

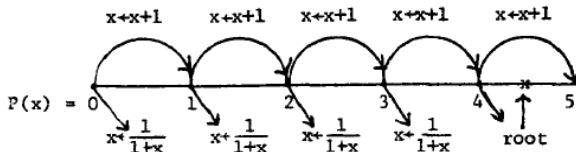
## Uspensky's search for a root — b

Therefore, Uspensky proceeds as shown in the next slide, and **doubles** the amount of work done by Vincent.



# Uspensky's search for a root — b

Therefore, Uspensky proceeds as shown in the next slide, and **doubles** the amount of work done by Vincent.



Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

An Example

Recapping

# Recapping Uspensky's achievements — a

## Recapping Uspensky's achievements — a

- ▶ He definitely kept Vincent's theorem alive, and extended it by including the missing feature.

## Recapping Uspensky's achievements — a

► He definitely kept Vincent's theorem alive, and extended it by including the missing feature.

► He proved that the purpose of the substitutions  $x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$  is to force the roots with positive real part **inside a circle with center at -1 and radius  $\epsilon$ .**

## Recapping Uspensky's achievements — a

► He definitely kept Vincent's theorem alive, and extended it by including the missing feature.

► He proved that the purpose of the substitutions  $x \leftarrow \alpha_1 + \frac{1}{x}, x \leftarrow \alpha_2 + \frac{1}{x}, x \leftarrow \alpha_3 + \frac{1}{x}, \dots$  is to force the roots with positive real part **inside a circle with center at -1 and radius  $\epsilon$** .

► He presented the real root isolation process in tree form and **reintroduced Budan's method** for computing the coefficients of  $p(x + 1)$ .

Budan's work of 1807

Vincent's Theorem of 1836

**Uspensky's Extension of Vincent's Theorem**

Various Implementations of Vincent's Theorem

Uspensky's Bound on the Number of Substitutions

An Example

Recapping

# Recapping Uspensky's achievements — b

## Recapping Uspensky's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3, \dots, \alpha_m$  is still not clear.

## Recapping Uspensky's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3, \dots, \alpha_m$  is still not clear.
- ▶ Uspensky unwittingly claimed in the preface of his book that he had developed a new method based on Vincent's theorem.



## Recapping Uspensky's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3, \dots, \alpha_m$  is still not clear.
- ▶ Uspensky unwittingly claimed in the preface of his book that he had developed a new method based on Vincent's theorem.
- ▶ As we saw, he just doubled the computing time of Vincent's method.

## Recapping Uspensky's achievements — b

- ▶ The nature of the partial quotients  $\alpha_1, \alpha_2, \alpha_3, \dots, \alpha_m$  is still not clear.
- ▶ Uspensky unwittingly claimed in the preface of his book that he had developed a new method based on Vincent's theorem.
- ▶ As we saw, he just doubled the computing time of Vincent's method.
- ▶ Therefore, as in Budan's and Vincent's cases, the presented real root isolation method has **exponential** computing time.

# Table of contents

- 1 Budan's work of 1807
- 2 Vincent's Theorem of 1836
- 3 Uspensky's Extension of Vincent's Theorem
- 4 Various Implementations of Vincent's Theorem
  - Vincent's theorem by Alesina and Galuzzi (2000)
  - The VAS continued fractions method
  - Bounds on the values of the positive roots of polynomials

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

# Historical note on Alesina and Galuzzi

## Historical note on Alesina and Galuzzi

► Alesina and Galuzzi understood Vincent's theorem so thoroughly that they gave an equivalent version of it — **the bisections version** — and provided a generalization of Budan's **termination test** for the interval  $(0, 1)$ .

## Historical note on Alesina and Galuzzi

- ▶ Alesina and Galuzzi understood Vincent's theorem so thoroughly that they gave an equivalent version of it — **the bisections version** — and provided a generalization of Budan's **termination test** for the interval  $(0, 1)$ .
- ▶ Moreover, they were the ones who discovered Obreschkoff's Sector (or Cone) and Circles theorem in his book of 1963 and used it to prove Vincent's theorem.

# Vincent's Bisections theorem — by Alesina and Galuzzi, 2000

Let  $f(z)$ , be a real polynomial of degree  $n$ , which has only simple roots. It is possible to determine a positive quantity  $\delta$  so that for every pair of positive real numbers  $a, b$  with  $|b - a| < \delta$ , every transformed polynomial of the form

$$\phi(z) = (1 + z)^n f\left(\frac{a + bz}{1 + z}\right)$$

has exactly 0 or 1 variations. The second case is possible if and only if  $f(z)$  has a simple root within the open interval  $(a, b)$ .

# Sketch of the proof of Vincent's theorem



## Sketch of the proof of Vincent's theorem

► Obreschkoff's theorem of 1920-23, gives a much superior bound (to Uspensky's) on the number of interval bisections (or equivalently substitutions) that need to be performed in order to obtain a polynomial with one sign variation. It states that ...

## Sketch of the proof of Vincent's theorem

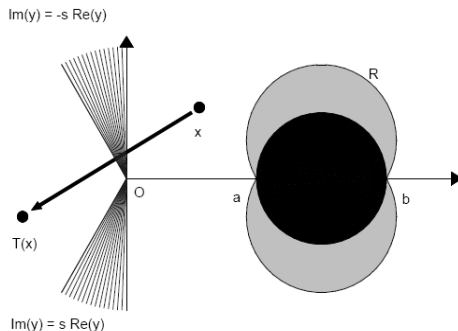
► **Obreschkoff's theorem of 1920-23**, gives a much superior bound (to Uspensky's) on the number of interval bisections (or equivalently substitutions) that need to be performed in order to obtain a polynomial with one sign variation. It states that ...

If a real polynomial has **one** positive simple root  $x_0$  and all the other — possibly multiple — roots lie in the sector

$$S_{\sqrt{3}} = \{x = -\alpha + i\beta \mid \alpha > 0 \text{ and } \beta^2 \leq 3\alpha^2\}$$

then the sequence of its coefficients has exactly **one** sign variation.

# View of Obreschkoff's Cone and Circles. Diagram by Alesina and Galuzzi, 2000.



## Real root isolation using Vincent's theorem

To isolate the positive roots of a polynomial  $p(x)$ , all we have to do is compute — for *each* root — the variables  $a, b, c, d$  of the corresponding Möbius substitution

$$M(x) = \frac{ax + b}{cx + d}$$

that leads to a transformed polynomial

$$f(x) = (cx + d)^n p\left(\frac{ax + b}{cx + d}\right)$$

with one sign variation.

# Two different ways to isolate the real roots:

## Two different ways to isolate the real roots:

### Crucial observation:

The variables  $a, b, c, d$  of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$  (in Vincent's theorem) leading to a transformed polynomial with one sign variation can be computed:

## Two different ways to isolate the real roots:

### Crucial observation:

The variables  $a, b, c, d$  of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$  (in Vincent's theorem) leading to a transformed polynomial with one sign variation can be computed:

► either **by continued fractions**, leading to the continued fractions method developed by Vincent, Akritas and Strzeboński, (1978 / 1993 / 2008) the **VAS continued fractions** method,

## Two different ways to isolate the real roots:

### Crucial observation:

The variables  $a, b, c, d$  of a Möbius substitution  $M(x) = \frac{ax+b}{cx+d}$  (in Vincent's theorem) leading to a transformed polynomial with one sign variation can be computed:

- ▶ either **by continued fractions**, leading to the continued fractions method developed by Vincent, Akritas and Strzeboński, (1978 / 1993 / 2008) the **VAS continued fractions** method,
- ▶ or, **by bisections**, leading to the methods developed by:
  - (a) Vincent, Collins and Akritas (1976), the **VCA bisection** method, and
  - (b) Vincent, Alesina and Galuzzi (2000), the **VAG bisection** method.



# The second method derived from Vincent's Theorem

## The second method derived from Vincent's Theorem

► As we pointed out, Vincent's method is **exponential** because each partial quotient  $\alpha_i$  is computed by a series of *unit* increments  
 $\alpha_i \leftarrow \alpha_i + 1$  — equivalent to substitutions of the form  $x \leftarrow x + 1$

## The second method derived from Vincent's Theorem

- ▶ As we pointed out, Vincent's method is **exponential** because each partial quotient  $\alpha_i$  is computed by a series of *unit* increments  $\alpha_i \leftarrow \alpha_i + 1$  — equivalent to substitutions of the form  $x \leftarrow x + 1$
- ▶ In 1978 I completed my Ph.D. thesis where I computed each partial quotient  $\alpha_i$  as the **lower bound,  $\ell b$ , on the values of the positive roots of a polynomial**. This made Vincent's method **polynomial**.

## The second method derived from Vincent's Theorem

- ▶ As we pointed out, Vincent's method is **exponential** because each partial quotient  $\alpha_i$  is computed by a series of *unit* increments  $\alpha_i \leftarrow \alpha_i + 1$  — equivalent to substitutions of the form  $x \leftarrow x + 1$
- ▶ In 1978 I completed my Ph.D. thesis where I computed each partial quotient  $\alpha_i$  as the **lower bound,  $\ell b$ , on the values of the positive roots of a polynomial**. This made Vincent's method **polynomial**.
- ▶ In my thesis I made 2 plausible **assumptions**: (a) that  $\ell b$  computes the **integer part of the smallest positive root**, and (b) that its value is bounded by the size of the polynomial coefficients.

## The second method derived from Vincent's Theorem

- ▶ As we pointed out, Vincent's method is **exponential** because each partial quotient  $\alpha_i$  is computed by a series of *unit* increments  $\alpha_i \leftarrow \alpha_i + 1$  — equivalent to substitutions of the form  $x \leftarrow x + 1$
- ▶ In 1978 I completed my Ph.D. thesis where I computed each partial quotient  $\alpha_i$  as the **lower bound,  $\ell b$ , on the values of the positive roots of a polynomial**. This made Vincent's method **polynomial**.
- ▶ In my thesis I made 2 plausible **assumptions**: (a) that  $\ell b$  computes the **integer part of the smallest positive root**, and (b) that its value is bounded by the size of the polynomial coefficients.
- ▶ That is, we now set  $\alpha_i \leftarrow \ell b$  or, equivalently, we perform the substitution  $x \leftarrow x + \ell b$ , which takes about the same time as the substitution  $x \leftarrow x + 1$ .

# The *ideal* step

## The *ideal* step

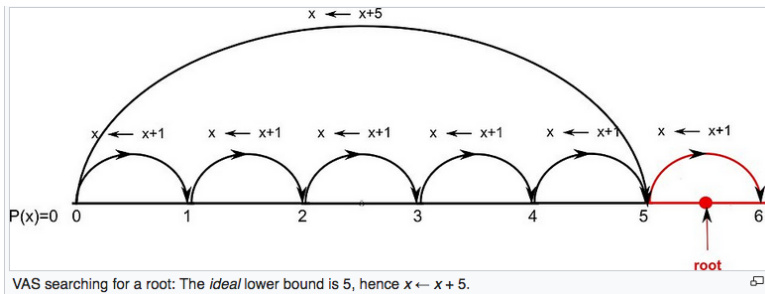


Figure: This way the theoretical computing time of Vincent's method became **polynomial**.

# Ideal vs computed lower bound



## Ideal vs computed lower bound

- ▶ Note that in general the ideal lower bound is bigger than the computed bound, i.e.

$$\ell b > \ell b_{\text{computed}}.$$

## Ideal vs computed lower bound

- Note that in general the ideal lower bound is bigger than the computed bound, i.e.

$$\ell b > \ell b_{\text{computed}}.$$

- The efficiency of the VAS algorithm depends on the algorithm used to evaluate  $\ell b_{\text{computed}}$ .

## Ideal vs computed lower bound

- ▶ Note that in general the ideal lower bound is bigger than the computed bound, i.e.

$$lb > lb_{computed}.$$

- ▶ The efficiency of the VAS algorithm depends on the algorithm used to evaluate  $lb_{computed}$ .

- ▶ In the next section we will present two algorithms for evaluating  $lb_{computed}$ .

# The VAS algorithm — Input / Output

# The VAS algorithm — Input / Output

## VAS, 1978:

**Input:** The square-free polynomial  $p(x) \in \mathbb{Z}[x]$ ,  $p(0) \neq 0$ , and the Möbius transformation  $M(x) = \frac{ax+b}{cx+d} = x$ ,  $a, b, c, d \in \mathbb{Z}$

**Output:** A list of isolating intervals of the **positive** roots of  $p(x)$

**Figure:** The fastest implementation of Vincent's theorem.

# The VAS algorithm

# The VAS algorithm

```

1  var ← the number of sign changes of  $p(x)$ ;
2  if var = 0 then RETURN  $\emptyset$ ;
3  if var = 1 then RETURN  $\{a, b\}$  //  $a = \min(M(0), M(\infty))$ ,  $b =$ 
    max( $M(0), M(\infty)$ );
4   $\ell b \leftarrow$  a lower bound on the positive roots of  $p(x)$ ;
5  if  $\ell b > 1$  then  $\{p \leftarrow p(x + \ell b), M \leftarrow M(x + \ell b)\}$ ;
6   $p_{01} \leftarrow (x + 1)^{\deg(p)} p(\frac{1}{x+1})$ ,  $M_{01} \leftarrow M(\frac{1}{x+1})$  // Look for real roots in
     $]0, 1[$ ;
7   $m \leftarrow M(1)$  // Is 1 a root? ;
8   $p_{1\infty} \leftarrow p(x + 1)$ ,  $M_{1\infty} \leftarrow M(x + 1)$  // Look for real roots in
     $]1, +\infty[$ ;
9  if  $p(1) \neq 0$  then
10 |   RETURN  $\text{VAS}(p_{01}, M_{01}) \cup \text{VAS}(p_{1\infty}, M_{1\infty})$ 
11 else
12 |   RETURN  $\text{VAS}(p_{01}, M_{01}) \cup \{[m, m]\} \cup \text{VAS}(p_{1\infty}, M_{1\infty})$ 
13 end
    
```

Figure: The fastest implementation of Vincent's theorem.

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
**The VAS continued fractions method**  
Bounds on the values of the positive roots of polynomials

# Computing time analysis of VAS



# Computing time analysis of VAS

► Because of the **assumptions** made in my thesis, VAS was considered exponential until Sharma's Ph.D. Thesis came out in 2007.

# Computing time analysis of VAS

► Because of the **assumptions** made in my thesis, VAS was **considered exponential until Sharma's Ph.D. Thesis came out in 2007.**

► With the help of the Alesina-Galuzzi papers and without any assumptions, Sharma proved that VAS has polynomial computing time.

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
**The VAS continued fractions method**  
Bounds on the values of the positive roots of polynomials

# Strzeboński's contribution to Vincent's method

## Strzeboński's contribution to Vincent's method

► It was Adam Strzeboński of [Wolfram Research](#), who in 1993 implemented “VAS” in *Mathematica* and at the same time introduced the substitution  $x \leftarrow \ell b_{\text{computed}} \cdot x$ , whenever  $\ell b_{\text{computed}} > 16$ . The value 16 was determined experimentally.

## Strzeboński's contribution to Vincent's method

► It was Adam Strzeboński of [Wolfram Research](#), who in 1993 implemented “VAS” in *Mathematica* and at the same time introduced the substitution  $x \leftarrow \ell b_{\text{computed}} \cdot x$ , whenever  $\ell b_{\text{computed}} > 16$ . The value 16 was determined experimentally.

► The Strzeboński substitution improved VAS even further.

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

# Bounds on the values of the positive roots

## Bounds on the values of the positive roots

► To compute the lower bound  $lb$  of  $p(x)$  we replace  $x \leftarrow \frac{1}{x}$ , compute the upper bound  $ub$  of  $p(\frac{1}{x})$  and set  $lb = \frac{1}{ub}$ .

## Bounds on the values of the positive roots

► To compute the lower bound  $lb$  of  $p(x)$  we replace  $x \leftarrow \frac{1}{x}$ , compute the upper bound  $ub$  of  $p(\frac{1}{x})$  and set  $lb = \frac{1}{ub}$ .

► **Snag in 1978:** Even though Cauchy and Lagrange had presented upper bounds on **the values of the positive roots** of a real polynomial, the only suitable bounds available in the English mathematical literature **before my Ph.D, thesis in 1978** were on the **absolute values** of the roots.



## Bounds on the values of the positive roots

► To compute the lower bound  $lb$  of  $p(x)$  we replace  $x \leftarrow \frac{1}{x}$ , compute the upper bound  $ub$  of  $p(\frac{1}{x})$  and set  $lb = \frac{1}{ub}$ .

► **Snag in 1978:** Even though Cauchy and Lagrange had presented upper bounds on **the values of the positive roots** of a real polynomial, the only suitable bounds available in the English mathematical literature **before my Ph.D, thesis in 1978** were on the **absolute values** of the roots.

► Bounds on the absolute values of the roots work fine for the bisection methods, where they are computed only **once** at the start of the process.

# Bounds on the values of the positive roots

► To compute the lower bound  $lb$  of  $p(x)$  we replace  $x \leftarrow \frac{1}{x}$ , compute the upper bound  $ub$  of  $p(\frac{1}{x})$  and set  $lb = \frac{1}{ub}$ .

► **Snag in 1978:** Even though Cauchy and Lagrange had presented upper bounds on **the values of the positive roots** of a real polynomial, the only suitable bounds available in the English mathematical literature **before my Ph.D, thesis in 1978** were on the **absolute values** of the roots.

► Bounds on the absolute values of the roots work fine for the bisection methods, where they are computed only **once** at the start of the process.

► By contrast, **at each step of the process**, the VAS continued fractions method relies heavily on the **repeated** estimation of lower bounds on the values of the positive roots of polynomials.

Budan's work of 1807

Vincent's Theorem of 1836

Uspensky's Extension of Vincent's Theorem

Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)

The VAS continued fractions method

Bounds on the values of the positive roots of polynomials

# Cauchy's bound

# Cauchy's bound

► I came across Cauchy's theorem in N. Obreschkoff's book *Verteilung und Berechnung der Nullstellen reeller Polynome*, (East) Berlin, 1963. It states the following:

## Cauchy's bound

► I came across Cauchy's theorem in N. Obreschkoff's book *Verteilung und Berechnung der Nullstellen reeller Polynome*, (East) Berlin, 1963. It states the following:

Let  $p(x) = \alpha_n x^n + \alpha_{n-1} x^{n-1} + \dots + \alpha_0$ , ( $\alpha_n > 0$ ) be a polynomial of degree  $n > 0$ , with  $\alpha_{n-k} < 0$  for at least one  $k$ ,  $1 \leq k \leq n$ . If  $\lambda$  is the number of negative coefficients, then an upper bound on the values of the positive roots of  $p(x)$  is given by

$$ub_C = \max_{\{1 \leq k \leq n: \alpha_{n-k} < 0\}} \sqrt[k]{-\frac{\lambda \alpha_{n-k}}{\alpha_n}}.$$

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

# Ştefănescu's theorem for pairing terms

## Ştefănescu's theorem for pairing terms

► (*Ştefănescu's theorem, 2005*) Let  $p(x) \in R[x]$  be such that the number of variations of signs of its coefficients is **even**. If

$$p(x) = c_1x^{d_1} - b_1x^{m_1} + c_2x^{d_2} - b_2x^{m_2} + \dots + c_kx^{d_k} - b_kx^{m_k} + g(x),$$

with  $g(x) \in R_+[x]$ ,  $c_i > 0$ ,  $b_i > 0$ ,  $d_i > m_i > d_{i+1}$  for all  $i$ , the number

$$ub_S = \max \left\{ \left( \frac{b_1}{c_1} \right)^{1/(d_1-m_1)}, \dots, \left( \frac{b_k}{c_k} \right)^{1/(d_k-m_k)} \right\}$$

is an upper bound for the positive roots of the polynomial  $p$  for any **choice** of  $c_1, \dots, c_k$ .

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

# Our splitting and pairing of terms in Cauchy's bound



## Our splitting and pairing of terms in Cauchy's bound

- ▶ We were inspired by Ștefănescu's theorem of 2005 and introduced the concept of **splitting terms**. By employing the principle of **splitting and pairing terms** they developed various improved bounds of **linear** and **quadratic** computational complexity.

## Our splitting and pairing of terms in Cauchy's bound

- ▶ We were inspired by Ștefănescu's theorem of 2005 and introduced the concept of **splitting terms**. By employing the principle of **splitting and pairing terms** they developed various improved bounds of **linear** and **quadratic** computational complexity.
- ▶ For Cauchy's bound, the splitting and pairing of terms can be seen if we rewrite the formula as

## Our splitting and pairing of terms in Cauchy's bound

- ▶ We were inspired by Ștefănescu's theorem of 2005 and introduced the concept of **splitting terms**. By employing the principle of **splitting and pairing terms** they developed various improved bounds of **linear** and **quadratic** computational complexity.
- ▶ For Cauchy's bound, the splitting and pairing of terms can be seen if we rewrite the formula as

$$ub_C = \max_{\{1 \leq k \leq n: \alpha_{n-k} < 0\}} \sqrt[k]{-\frac{\alpha_{n-k}}{\frac{\alpha_n}{\lambda}}}$$

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

# Bounds with quadratic complexity

## Bounds with quadratic complexity

- ▶ Cauchy's upper bound has **linear** time complexity; that is, each negative coefficient is paired with just one positive coefficient.

## Bounds with quadratic complexity

- ▶ Cauchy's upper bound has **linear** time complexity; that is, each negative coefficient is paired with just one positive coefficient.

### Main idea of quadratic bounds:

- ▶ **Each** negative coefficient of the polynomial is paired with **all the preceding** positive coefficients and the **minimum** of the computed values is associated with this coefficient. The **maximum** of all those minimums is taken as the estimate of the bound.

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

## Local Max Quadratic, (LMQ)

## Local Max Quadratic, (LMQ)

► For the polynomial  $p(x) \in \mathbb{R}[x]$

$$p(x) = \alpha_n x^n + \alpha_{n-1} x^{n-1} + \dots + \alpha_0, \quad (\alpha_n > 0),$$

each negative coefficient  $a_j < 0$  is “paired” with each one of the preceding positive coefficients  $a_j$  divided by  $2^{t_j}$  — where  $t_j$  is initially set to 1 and is incremented each time the positive coefficient  $a_j$  is used — and the minimum is taken over all  $j$ ; subsequently, the maximum is taken over all  $i$ .

That is, we have:

$$ub_{LMQ} = \max_{\{a_i < 0\}} \min_{\{a_j > 0: j > i\}} \sqrt[j-i]{-\frac{a_j}{2^{t_j}}}.$$



## Example

Consider the polynomial

$$x^3 + 10^{100}x^2 - 10^{100}x - 1,$$

which has one sign variation and, hence, one positive root **equal to 1**

## Example

Consider the polynomial

$$x^3 + 10^{100}x^2 - 10^{100}x - 1,$$

which has one sign variation and, hence, one positive root **equal to 1**

With **Cauchy's** linear bound, we pair the terms:

►  $\{\frac{x^3}{2}, -10^{100}x\}$  and  $\{\frac{x^3}{2}, -1\}$ ,

and taking the maximum of the radicals we obtain a bound estimate of  **$1.41421 * 10^{50}$** .

## Example

Consider the polynomial

$$x^3 + 10^{100}x^2 - 10^{100}x - 1,$$

which has one sign variation and, hence, one positive root **equal to 1**

With **LMQ**, the “Local Max” quadratic bound, we compute:

- ▶ the **minimum** of the two radicals obtained from the pairs of terms  $\{\frac{x^3}{2}, -10^{100}x\}$  and  $\{\frac{10^{100}x^2}{2}, -10^{100}x\}$  which is **2**, and
- ▶ the **minimum** of the two radicals obtained from the pairs of terms  $\{\frac{x^3}{2^2}, -1\}$  and  $\{\frac{10^{100}x^2}{2^2}, -1\}$  which is  $\frac{2}{10^{50}}$ .
- ▶ Therefore, the obtained estimate of the bound is  $\max\{2, \frac{2}{10^{50}}\} = 2$ .

# Good old quadratic complexity bounds

## Good old quadratic complexity bounds

- ▶ Using *LMQ*, the performance of the VAS real root isolation method was speeded up by an average overall factor of 40%.

# VAS vs VCA on Mignotte polynomials

## VAS vs VCA on Mignotte polynomials

- ▶ The Mignotte polynomials are of the form  $x^n - 2(c \cdot x - 1)^2$ , for  $c, n \geq 3$ , have only 4 real roots and as the degree increases, 2 of the 3 positive roots get closer and closer together.

## VAS vs VCA on Mignotte polynomials

► The Mignotte polynomials are of the form  $x^n - 2(c \cdot x - 1)^2$ , for  $c, n \geq 3$ , have only 4 real roots and as the degree increases, 2 of the 3 positive roots get closer and closer together.

► We test our methods on the Mignotte polynomial

$$x^{300} - 2(5x - 1)^2$$



VAS has been implemented in *Mathematica* — version 7  
shown below

VAS has been implemented in *Mathematica* — version 7 shown below

► — and it takes **0.046 seconds** to **isolate** and **approximate** the roots of Mignotte's polynomial of degree 300.

VAS has been implemented in *Mathematica* — version 7 shown below

► — and it takes **0.046 seconds** to **isolate** and **approximate** the roots of Mignotte's polynomial of degree 300.

```
In[1] := f := x^300 - 2 (5 x - 1)^2;

In[9] := ints = RootIntervals[f][[1]] // Timing

Out[9] = {0.031, {{-2, 0}, {0,  $\frac{1}{5}$ }, { $\frac{1}{5}$ ,  $\frac{1}{4}$ }, {1, 3}}}
```

---

```
In[10] := ints = Last[ints];

FindRoot[f, {x, #[[1]], #[[2]]}, Method → Brent, WorkingPrecision → 150, MaxIterations → 200] &/@ints //
Timing

Out[10] = {0.015, {{x →
```

Figure: Isolating and approximating real roots with Mma 7

VCA has been implemented in maple — version 11 shown below

# VCA has been implemented in maple — version 11 shown below

— and it takes 170 seconds to just isolate the roots of Mignotte's polynomial of degree 300.

# VCA has been implemented in maple — version 11 shown below

— and it takes **170 seconds** to **just isolate** the roots of Mignotte's polynomial of degree 300.

```
> with(RootFinding) :
> f := x300 - 2(5 x - 1)2;
                                     f := x300 - 2(5 x - 1)2
> st := time( ) : Isolate(f, digits = 250) : time( ) - st;
                                     170.431
>
```

Figure: To isolate Mignotte's poly of degree 300

Therefore, ...

# Therefore, ...

**VAS** can be many thousand times faster than the fastest implementation of **VCA**.



# Therefore, ...

**VAS** can be many thousand times faster than the fastest implementation of **VCA**.

Moreover, as the following frames indicate, **VAS** can be many times faster than numeric methods, which **cannot** compute just the positive roots! They compute **all** the roots (real and complex).

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

## Using Mma 7 (1/3 frames)

## Using Mma 7 (1/3 frames)

Consider the polynomial

$$f = 10^{999}(x - 1)^{50} - 1$$

with the 2 positive roots  $\neq 1$ .

## Using Mma 7 (1/3 frames)

Consider the polynomial

$$f = 10^{999}(x - 1)^{50} - 1$$

with the 2 positive roots  $\neq 1$ .

► The numeric method `NRoots` used in Mma 7 takes **12.933 seconds** to find the two positive roots with 30 digits of accuracy.

## Using Mma 7 (1/3 frames)

Consider the polynomial

$$f = 10^{999}(x - 1)^{50} - 1$$

with the 2 positive roots  $\neq 1$ .

- ▶ The numeric method NRoots used in Mma 7 takes 12.933 seconds to find the two positive roots with 30 digits of accuracy.

```
f := 10999 (x - 1)50 - 1  
  
Select[NRoots[f == 0, x, 30], Im[#[[2]]] == 0 &] //  
Timing  
  
{12.933, x = 0.999999999999999999989528714519 ||  
    x = 1.0000000000000000000001047128548}
```

Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

## Using Mma 7 (2/3 frames)

## Using Mma 7 (2/3 frames)

- ▶ On the other hand, the function `RootIntervals`, i.e. the **VAS continued fractions method**, isolates the two positive roots in  $5 * 10^{-16}$  seconds ...

## Using Mma 7 (2/3 frames)

- ▶ On the other hand, the function `RootIntervals`, i.e. the **VAS continued fractions method**, isolates the two positive roots in  $5 * 10^{-16}$  seconds ...

```
ints = RootIntervals[f][[1]] // Timing  
{5.60316 × 10-16, {{0, 1}, {1, 2}}}
```

Figure: Using the function `RootIntervals` in Mma 7



Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

## Using Mma 7 (3/3 frames)

## Using Mma 7 (3/3 frames)

► ... and approximates them to 30 digits of accuracy in practically no time at all!

- ▶ ...and approximates them to 30 digits of accuracy in practically no time at all!

Figure: Using the function FindRoot in Mma 7

## Concluding remarks

## Concluding remarks

- ▶ The theoretical results by Alesina-Galuzzi and Sharma improved our understanding of Vincents theorem.

## Concluding remarks

- ▶ The theoretical results by Alesina-Galuzzi and Sharma improved our understanding of Vincents theorem.
- ▶ Additionally, Ștefănescu's theorem of 2005 and our discovery and use of LMQ, the quadratic complexity bound on the values of the positive roots, made VAS the fastest real root isolation method.

## Concluding remarks

- ▶ The theoretical results by Alesina-Galuzzi and Sharma improved our understanding of Vincents theorem.
- ▶ Additionally, Ștefănescu's theorem of 2005 and our discovery and use of LMQ, the quadratic complexity bound on the values of the positive roots, made VAS the fastest real root isolation method.
- ▶ However, when we try to isolate the roots of a **sparse polynomial** of very large degree, say 100000, most CASs run out of memory.

## Concluding remarks

- ▶ The theoretical results by Alesina-Galuzzi and Sharma improved our understanding of Vincents theorem.
- ▶ Additionally, Ștefănescu's theorem of 2005 and our discovery and use of LMQ, the quadratic complexity bound on the values of the positive roots, made VAS the fastest real root isolation method.
- ▶ However, when we try to isolate the roots of a **sparse polynomial** of very large degree, say 100000, most CASs run out of memory.
- ▶ To solve the problem the VAS continued fractions method has been implemented using **interval arithmetic**.



Budan's work of 1807  
Vincent's Theorem of 1836  
Uspensky's Extension of Vincent's Theorem  
Various Implementations of Vincent's Theorem

Vincent's theorem by Alesina and Galuzzi (2000)  
The VAS continued fractions method  
Bounds on the values of the positive roots of polynomials

## References

## References

- ▶ Alesina, A., Galuzzi, M.: "A new proof of Vincent's theorem"; *L'Enseignement Mathématique* **44**, (1998), 219–256.
- ▶ Alesina, A., Galuzzi, M.: Addendum to the paper "A new proof of Vincent's theorem"; *L'Enseignement Mathématique* 45, (1999), 379–380.
- ▶ Alesina, A., Galuzzi, M.: "Vincent's Theorem from a Modern Point of View"; (Betti, R. and Lawvere W.F. (eds.)), *Categorical Studies in Italy 2000*, *Rendiconti del Circolo Matematico di Palermo, Serie II*, n. 64, (2000), 179–191.

## References

- ▶ Herbert Schröder: Der Fundamentalsatz der Algebra, Dortmund 2017.
- ▶ Ștefănescu, D.: "New bounds for positive roots of polynomials"; *Journal of Universal Computer Science* **11**(12), (2005), 2132–2141.
- ▶ Vincent, A. J. H.: "Sur la resolution des équations numériques"; *Journal de Mathématiques Pures et Appliquées* 1, (1836), 341–372.