

Math 8680 Apr. 16, 2021

Vectors, matroids and log-concavity conjectures

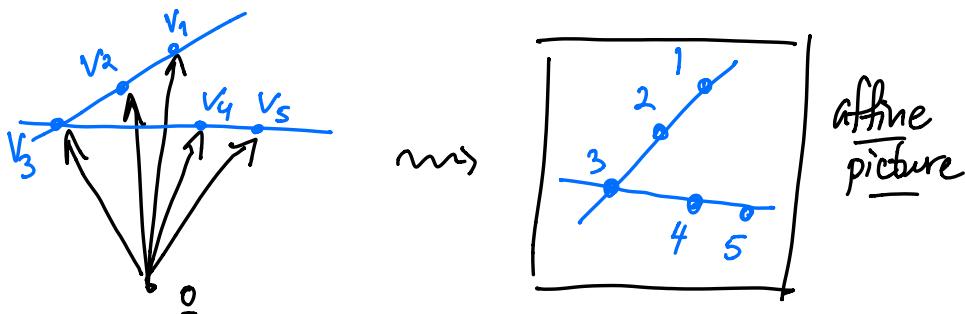
Recall from our overview in 1st week or so ...

$$\text{a list of vectors } \{v_1, v_2, \dots, v_n\} = (v_i)_{i \in E := \{1, 2, \dots, n\}}$$

$$\subseteq K^r \text{ for some field } r$$

give rise to various kinds of combinatorial data and sequences.

EXAMPLE: These $\{v_1, v_2, v_3, v_4, v_5\} \subset \mathbb{R}^3$



give rise to their collection of (linearly) independent subsets

$$\mathcal{I} = \mathcal{I}(v_i) = \{\emptyset, 1, 2, 3, 4, 5, 12, 13, 14, 15, 23, 24, 25, 34, 35, 45, 123, 124, 125, 134, 135, 145, 234, 235, 245, 345\}$$

with (i_0, i_1, \dots, i_r)

$$i_k = \#\left\{ \begin{array}{l} \text{lin. indep} \\ \text{subsets } I \in \mathcal{I} \text{ of} \\ \text{with } |I|=k \end{array} \right\}$$

$(1, 5, 10, 8)$

$i_0 \quad i_1 \quad i_2 \quad i_3$

\mathcal{I} will satisfy certain axioms:

$$(I_1) \emptyset \in \mathcal{I}$$

$$(I_2) J \subseteq I \in \mathcal{I} \Rightarrow J \in \mathcal{I}$$

$$(I_3) \text{ If } I, J \in \mathcal{I} \text{ with } |I| < |J| \text{ then } \exists j \in J \setminus I \text{ with } I \cup \{j\} \in \mathcal{I}$$

$\left. \begin{array}{l} \\ \\ \end{array} \right\} \mathcal{I} \text{ is an abstract simplicial complex on vertex set } E = \{1, 2, \dots, n\}$
 $\left. \begin{array}{l} \\ \\ \end{array} \right\} \text{(MacLane-Steinitz) exchange axiom}$

DEFIN: A matroid M on ground set $E = \{1, 2, \dots, n\}$ (specified by indep. sets) is a collection $\mathcal{I} \subset 2^E$ satisfying (I_1, I_2, I_3) above.

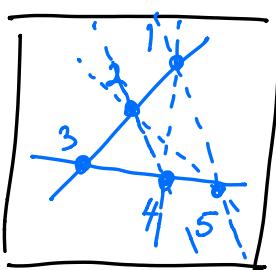
M is realized by $(v_i)_{i \in E} \subseteq K^n$ if it comes from such vectors.

(But some matroids are not realizable at all, and some only realizable over certain fields K)

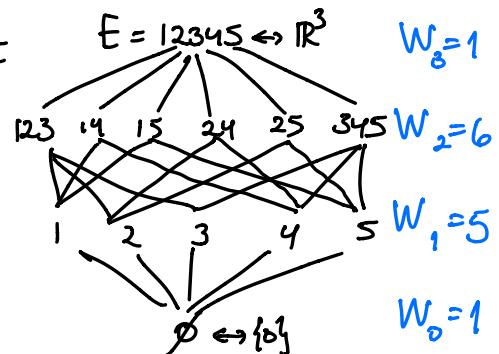
Everything we will say about realized matroids $(v_i)_{i \in E}$ will only use the data in \mathcal{I} , and only use the axioms (I_1, I_2, I_3) , not the coordinates of $(v_i)_{i \in E}$.

More matroid data we discussed...

The flats \mathcal{F} of $(v_i)_{i \in E}$ are the subsets $F \subseteq E$ closed under K -linear span.



The poset L_M of flats \mathcal{F} (lattice) ordered by inclusion



$W_k = k^{\text{th}} \text{ Whitney number of 2nd kind} = \# \text{ flats } F \text{ of rank } k$

$$\begin{matrix} W_0, W_1, W_2, W_3 \\ (1, 5, 6, 1) \end{matrix}$$

Flat axioms : (F1) $E \in \mathcal{F}$

(F2) $F, G \in \mathcal{F} \Rightarrow F \cap G \in \mathcal{F}$

(F3) $\forall F \in \mathcal{F}$ and $e \in E \setminus F$,

i.e. the elements
of $E \setminus F$ are a
disjoint union of
 $G \setminus F$ for flats G covering F

\exists a unique $G \in \mathcal{F}$ with $G \supset F \cup \{e\}$

and G covers F (i.e. $\nexists H \in \mathcal{F}$ with $G \subsetneq H \subsetneq F$)

One can also characterize M by the rank function for $A \subseteq E$

$$A \longleftrightarrow r_M(A) := \max \left\{ \# I : A \supseteq I \in \mathcal{L} \right\}$$

satisfying rank axioms :

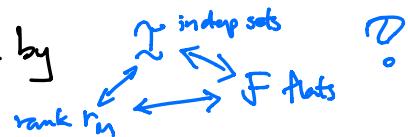
NOTATION: The rank of M
 $r(M) := r_M(E)$

(R1) $r_M(A) \in \{0, 1, 2, \dots\}$

(R2) $r(A \cup B) + r(A \cap B) \leq r(A) + r(B)$ (submodular inequality)

(R3) $\forall e \in E, A \subseteq E \quad r(A) \leq r(A \cup \{e\}) \leq r(A) + 1$

EXERCISE : How to pass between matroids M specified by

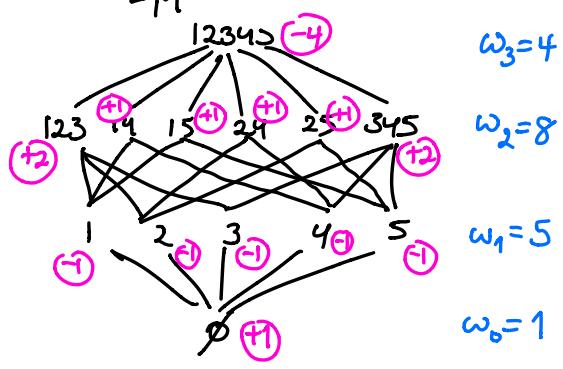


$\omega_k :=$ ^(signless) k^{th} Whitney number of 1st kind for $L_M =$ lattice of flats

$$:= \sum_{k\text{-dim'l flats } F} |\mu(\emptyset, F)|$$

Möbius function of L

$$\begin{cases} \mu(\emptyset, \emptyset) = +1 \\ \mu(\emptyset, F) = - \sum_{G: G < F} \mu(\emptyset, G) \end{cases}$$



$$(\omega_0, \omega_1, \omega_2, \omega_3) = (1, 5, 8, 4)$$

We stated these two classical matroid conjectures:

CONJ (Welsh, Mason) (1971, 1972) \mathcal{I} has (i_0, i_1, \dots, i_r) not only unimodal
 but also log-concave: $i_k^2 \geq i_{k-1} \cdot i_{k+1}$ for $2 \leq k \leq r-1$

e.g. $\begin{matrix} i_0 & i_1 & i_2 & i_3 \\ (1, 5, 10, 8) \end{matrix}$
 $5^2 \geq 1 \cdot 10, 10^2 \geq 5 \cdot 8$

CONJ (Read, Hoggatt, Rota, Heron, Welsh) (1968, 1974, 1971, 1972, 1976)
 $(\omega_0, \omega_1, \dots, \omega_r)$ is log-concave.

e.g. $\begin{matrix} \omega_0 & \omega_1 & \omega_2 & \omega_3 \\ (1, 5, 8, 4) \end{matrix}$
 $5^2 \geq 1 \cdot 8, 8^2 \geq 5 \cdot 4$

... and we said that they would both follow from a more basic result, that begins by factoring this polynomial

$$\omega_0 + \omega_1 t + \omega_2 t^2 + \dots + \omega_r t^r = (1+t)(\bar{\omega}_0 + \bar{\omega}_1 t + \bar{\omega}_2 t^2 + \dots + \bar{\omega}_{r-1} t^{r-1})$$

↓ ↑ ↑
 reduced (signless) Whitney numbers of
 the 1st kind for M

e.g. $(\omega_0, \omega_1, \omega_2, \omega_3) = (1, 5, 8, 4) \rightsquigarrow 1 + 5t + 8t^2 + 4t^3 = (1+t)(1+4t+4t^2)$
 $\Rightarrow (\bar{\omega}_0, \bar{\omega}_1, \bar{\omega}_2) = (1, 4, 4)$

THEOREM

(2010 Huh for M realized with $\text{char}(K)=0$)

$(\bar{\omega}_0, \bar{\omega}_1, \dots, \bar{\omega}_{r-1})$ is log-concave.

(2011 Huh-Katz for M realized over any K)

(2015 Adiprasito-Huh-Katz for any matroid M)

↓ EXERCISE #2(b) on
 2nd part HW list

$(\omega_0, \omega_1, \dots, \omega_r)$ is log-concave

We claimed that this also implies (i_0, i_1, \dots, i_r) is log-concave

because there is a matroid construction $M \rightsquigarrow M_{xe}$ such that

(Brylinski, Lenz)
1972 2011

(i_0, i_1, \dots, i_r) for M

$= (\bar{w}_0, \bar{w}_1, \dots, \bar{w}_r)$ for M_{xe}

So let's learn this matroid construction, along with the basic ones,
and tie things together with the Tutte polynomial $T_M(x, y)$.

Matroid constructions

Some are easier to describe

using the matroid M 's bases $\mathcal{B} = \{I \in \mathfrak{I} : I \text{ maximal under inclusion}\}$

which satisfy basis axioms:

$$(B1) \quad \mathcal{B} \neq \emptyset$$

$$(B2) \quad \forall B, B' \in \mathcal{B} \text{ with } B \neq B',$$

$\forall b \in B - B' \exists b' \in B' - B$ such that

$$\text{both } B - \{b\} \cup \{b'\}, B' - \{b'\} \cup \{b\} \in \mathcal{B}$$

(symmetric basis exchange)

- Deletion $M \setminus e$ has ground set $E \setminus e$

$$\text{and } \mathcal{I}(M \setminus e) = \{I \in \mathcal{I}(M) : e \notin I\}$$

$$\mathcal{B}(M \setminus e) = \{B \in \mathcal{B}(M) : e \notin B\}$$

models removing vector v_e from $(v_i)_{i \in E}$

Warning: Don't define $M \setminus e$ this way if e is an isthmus/coloop
that is, e lies in all bases $B \in \mathcal{B}$

- Contraction M/e also has ground set $E \setminus e$

$$\text{and } I(M/e) = \{ I - \{e\} \in I(M) : e \in I \}$$

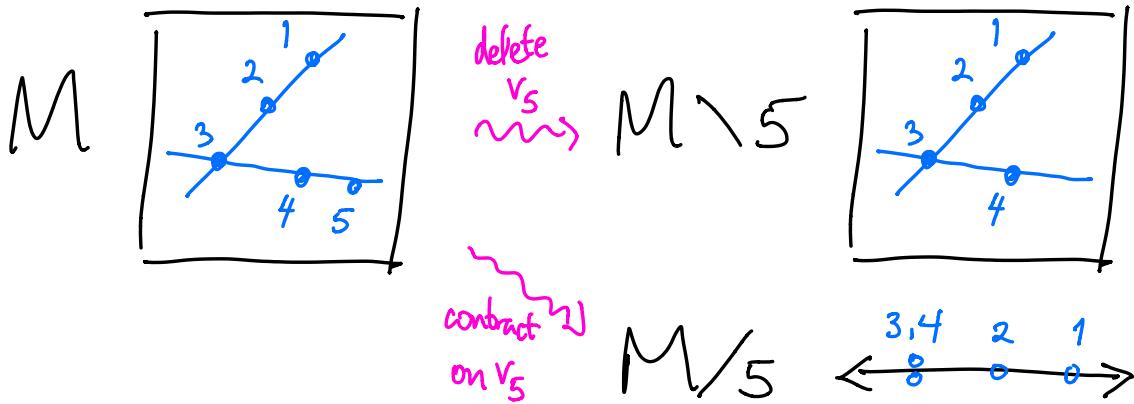
$$B(M/e) = \{ B - \{e\} \in B(M) : e \in B \}$$

models applying $K^r \xrightarrow{\pi} K^r / K_{v_e}$

$$(v_i)_{i \in E \setminus e} \mapsto (\pi(v_i))_{i \in E \setminus e}$$

Warning: Don't define M/e this way if e is a **loop**

that is, e lies in no bases $B \in B$



- Dual
Orthogonal

$M^* = M^\perp$ has same ground set E as M

$$\text{and } B(M^*) = \{ E \setminus B : B \in B(M) \}$$

This is a **remarkable operation** that models

• duality of Plücker coordinates in $\text{Gr}(r, K^n)$
 versus $\text{Gr}(n-r, K^n)$:

EXERCISE ↪

When matrices

$$M := \begin{bmatrix} | & | & & | \\ v_1 & v_2 & \cdots & v_n \\ | & | & & | \end{bmatrix} \quad \left\{ \begin{array}{l} r \\ n-r \end{array} \right.$$

$$M^\perp := \begin{bmatrix} |^* & |^* & \cdots & |^* \\ v_1^* & v_2^* & \cdots & v_n^* \\ | & | & & | \end{bmatrix} \quad \left\{ \begin{array}{l} n-r \\ n-r \end{array} \right.$$

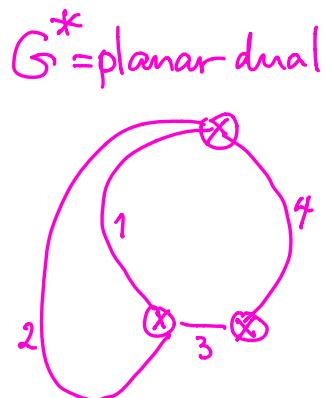
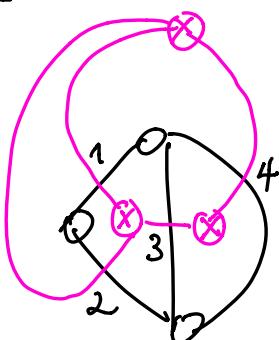
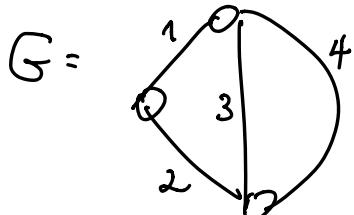
have an orthogonal decomposition

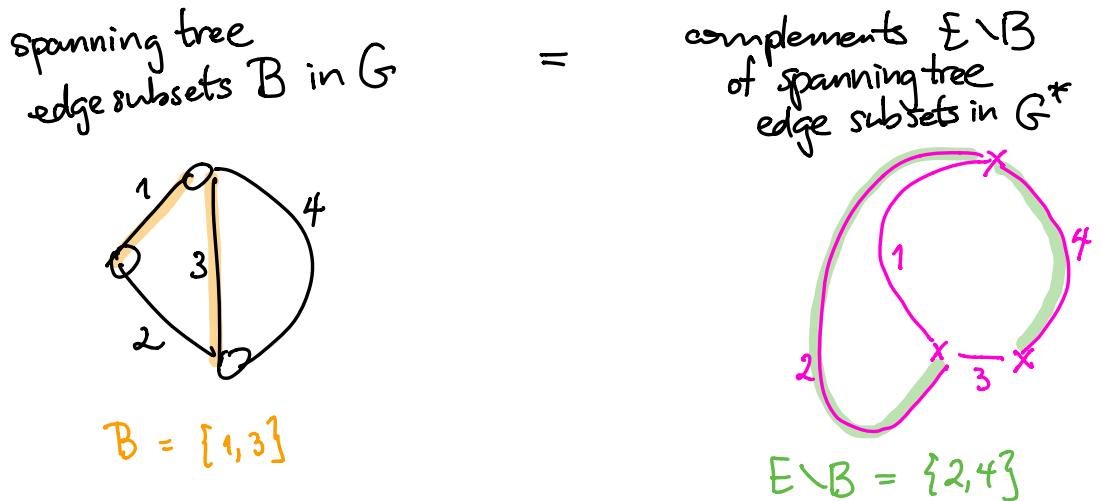
$$K^n = \text{RowSpace}(M) \oplus \text{RowSpace}(M^\perp)$$

then a minor of M corr. to column set B is $r \times r$ invertible

\Leftrightarrow the complementary minor $E - B$ of M^\perp is $(n-r) \times (n-r)$ invertible

... and it also models duality of spanning trees in
 planar dual graphs:





FACT: $(M^*)^* = M$ and $(M \setminus e)^* = M^*/e$ if e is neither loop nor coloop

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• Principal extension $M+e$

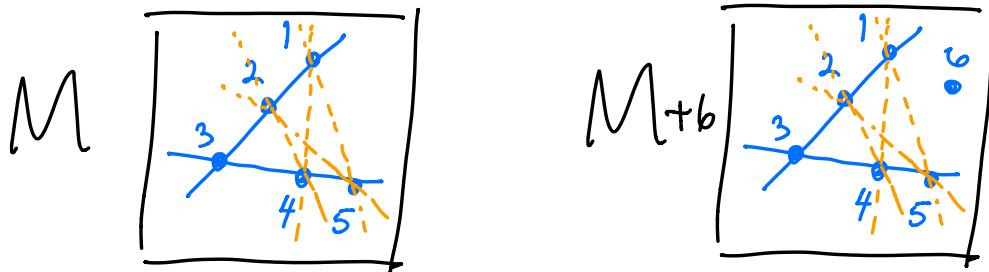
$M+e$ has ground set $E \cup \{e\}$
and this rank function:

$$\text{for } A \subseteq E, \quad r_{M+e}(A) = r_M(A)$$

$$\text{while } r_{M+e}(A \cup \{e\}) = \begin{cases} r_M(A) + 1 & \text{if } r_M(A) < r_M(E) \\ r_M(A) & \text{if } r_M(A) = r_M(E) \end{cases}$$

It models adding a new vector v_e to $(v_i)_{i \in E} \subseteq K^r$
in general position, i.e., on none of the proper flats $F \subsetneq E$

Realizing $M+e$ might require passing to a field extension $K \subset \bar{K}$



We'd like to show that the construction

$$M \mapsto M+e := (M^*+e)^*$$

has the desired property that (i_0, i_1, \dots, i_r) for M
 $\quad\quad\quad (\bar{\omega}_0, \bar{\omega}_1, \dots, \bar{\omega}_r)$ for $M+e$

Tutte polynomial (1947)

This is an amazing 2-variate polynomial $T_M(x, y)$ that specializes to generating functions for (i_0, i_1, \dots, i_r) and $(\omega_0, \omega_1, \dots, \omega_r)$, and many other interesting invariants.

DEF'N: For a matroid M with rank function $r(A) = r_M(A)$,

$$T_M(x, y) := \sum_{A \subseteq E} (x-1)^{r(E)-r(A)} (y-1)^{\#A-r(A)}$$

Equivalently, (Gropp 1967) $T_M(x+1, y+1) = \sum_{A \subseteq E} x^{r(E)-r(A)} y^{\#A-r(A)}$ Whitney's "corank-nullity polynomial"

$$T_M(x+1, 1) = \sum_{I \in \binom{E}{r} \text{ independent}} x^{r(E)-\#I} = i_0 x^r + i_1 x^{r-1} + \dots + i_{r-1} x + i_r$$

$$T_M(1, y+1) = \sum_{S \subseteq E \text{ spanning}, \text{ i.e. } r(S)=r(E)} y^{\#S-r(E)}$$

$$T_M(1, 1) = \# B = \text{number of bases}$$

PROPOSITION: The Tutte polynomial $T_M(x, y)$ satisfies

$$(T1) \quad T_M = T_{M \setminus e} + T_{M/e} \quad \text{if } e \text{ is neither a loop nor a coloop of } M$$

$$(T2) \quad T_M = \begin{cases} x T_{M/e} & \text{if } e \text{ is a coloop} \\ y T_{M \setminus e} & \text{if } e \text{ is a loop} \end{cases}$$

$$(T3) \quad T_M = 1 \quad \text{if } E = \emptyset$$

and is the **unique** invariant of matroids in $\mathbb{Z}[x, y]$ with properties (T1, T2, T3).

Furthermore,

$$(T4) \quad T_{M^*}(x, y) = T_M(y, x)$$

$$(T5) \quad T_M(x, y) \in \mathbb{N}[x, y], \text{i.e. it has nonnegative coefficients}$$

proof sketch: It's not hard to show $T_M(x, y)$ satisfies (T_1, T_2, T_3) , with (T_1) coming from classifying $A \subseteq E$ according to $e \notin A$ versus $e \in A$.

It's then easy to see (T_1, T_2, T_3) characterize it using induction on $\#E$. And then it's also easy to show (T_4, T_5) follow by induction on $\#E$. \blacksquare

A key fact for us is that $T_M(x, y)$ also captures $(\omega_0, \omega_1, \dots, \omega_r)$:

PROP: The characteristic polynomial

$$\begin{aligned} \chi_M(t) &\stackrel{\text{DEFIN}}{=} \sum_{\text{flats } F \in \mathcal{F}} \mu(\phi_F) t^{r(M) - r(F)} \\ &= (-1)^{r(M)} T_M(1-t, 0) \end{aligned}$$

and has coefficients that alternate in sign, that is

$$\chi_M(t) = \omega_0 t^r - \omega_1 t^{r-1} + \omega_2 t^{r-2} - \dots + (-1)^r \omega_r \quad \text{with } \omega_0 = 1 \text{ and} \\ \text{nonnegative } (\omega_0, \omega_1, \dots, \omega_r).$$

In particular,

$$\omega_0 t^r - \omega_1 t^{r-1} + \dots + \omega_r = T_M(1-t, 0)$$

proof: Compute

$$(-1)^{r(M)} T_M(1-t, 0) = (-1)^{r(M)} \sum_{A \subseteq E} (-t)^{r(M)-r(A)} (-1)^{\#A - r(A)}$$

$\underset{x}{\cancel{x}} \quad \underset{y}{\cancel{y}}$

$$= \sum_{A \subseteq E} (-1)^{\#A} t^{r(M)-r(A)}$$

$$= \sum_{\substack{\text{for all } F \in \mathcal{F} \\ \emptyset \subseteq F \subseteq G}} t^{r(M)-r(F)} \sum_{\substack{\text{for all } A \subseteq F: \\ r(A)=r(F)}} (-1)^{\#A}$$

Call this $m(F)$

We claim $m(F) = \mu(\emptyset, F)$, since it satisfies its defining recursion for this Möbius function:

$$\forall G \in \mathcal{F}, \sum_{\substack{F \in \mathcal{F}: \\ \emptyset \subseteq F \subseteq G}} m(F) = \sum_{\substack{F \in \mathcal{F}: \\ \emptyset \subseteq F \subseteq G}} \sum_{\substack{A \subseteq F: \\ r(A)=r(F)}} (-1)^{\#A}$$

$$= \sum_{A \subseteq G} (-1)^{\#A} = \begin{cases} 1 & \text{if } G = \emptyset \\ 0 & \text{else} \end{cases}$$

Hence $(-1)^{r(M)} T_M(1-t, 0) = \sum_{F \in \mathcal{F}} \mu(\emptyset, F) t^{r(M)-r(F)} = X_M(t)$.

This then implies by property (T^1) of $T_M(x, y)$ that

$$X_M(t) = X_{M \setminus e}(t) - X_{M/e}(t) \quad \text{for nonloop, noncdoop } e$$

and lets one check by induction on $\#E$ that the

coefficients of $X_M(t)$ will alternate in sign. \blacksquare

The final piece is this fact (which was news to me!):

$$\text{LEMMA: } T_{M+e}(0, 1+t) = (1+t)T_M(1, 1+t)$$

proof:

$$\text{LHS} = \sum_{A \subseteq E \cup \{e\}} (-1)^{r(M+e) - r(A)} t^{\#A - r_{M+e}(A)}$$

$$= \sum_{A \subseteq E} \left(\underbrace{(-1)^{r(M) - r(A)} t^{\#A - r_M(A)}}_{\text{Call this } X} + \underbrace{(-1)^{r(M+e) - r(A \cup \{e\})} t^{\#A+1 - r_{M+e}(A \cup \{e\})}}_{\begin{array}{l} \text{Since } r_M(A) < r(M) \text{ implies} \\ r_{M+e}(A \cup \{e\}) = r_M(A) + 1, \\ \text{this term is} \\ \begin{cases} -X & \text{if } r_M(A) < r(M) \\ t \cdot X & \text{if } r_M(A) = r(M) \end{cases} \end{array}} \right)$$

$$= (1+t) \sum_{\substack{A \subseteq E: \\ r_M(A) = r(M)}} t^{\#A - r(M)}$$

$r_M(A) = r(M) \iff$ i.e. A is spanning for M

$$= (1+t) T_M(1, 1+t) \quad \blacksquare$$

COROLLARY: Defining $M \times e := (M^* + e)^*$, one has

$$(i_0, i_1, \dots, i_r) \text{ for } M$$

$$(\bar{\omega}_0, \bar{\omega}_1, \dots, \bar{\omega}_r) \text{ for } M \times e$$

proof: Let $r = r(M)$, so that $r(M^*) = n - r = r(M^* + e)$

$$\text{and } r(M \times e) = (n+1) - (n-r) = r+1$$

Also let $(\omega_0, \omega_1, \dots, \omega_r, \omega_{r+1})$ be the signless Whitney numbers for $M \times e$

Then
$$(t+1)(\bar{\omega}_0 t^r + \bar{\omega}_1 t^{r-1} + \dots + \bar{\omega}_r t + \bar{\omega}_{r+1}) \quad \} \text{ for } M \times e$$

 $= \omega_0 t^{r+1} + \omega_1 t^r + \dots + \omega_r t + \omega_{r+1}$

$$= X_{M \times e}(t) = T_{M \times e}(1+t, 0) \quad \} \text{ DEF'N of } M \times e$$

$$= T_{(M^* + e)^*}(1+t, 0) \quad \} \text{ DUALITY}$$

$$= T_{M^* + e}(0, 1+t)$$

$$= (1+t) T_{M^*}(1, 1+t) \quad \} \text{ LEMMA}$$

$$= (1+t) T_M(1+t, 1) \quad \} \text{ DUALITY}$$

$$= (1+t) (i_0 t^r + i_1 t^{r-1} + \dots + i_{r-1} t + i_r) \text{ for } M$$

Hence
$$\sum_{k=0}^r \bar{\omega}_k \cdot t^{r-k} = \sum_{k=0}^r i_k \cdot t^{r-k} \quad \} \text{ for } M \times e \quad \square$$

DIGRESSION: What do $X_M(t) = w_0 t^r - w_1 t^{r-1} + \dots + (-1)^r w_r$
 and $\bar{X}_M(t) = \bar{w}_0 t^{r-1} - \bar{w}_1 t^{r-2} + \dots + (-1)^{r-1} \bar{w}_{r-1}$ mean?

Roughly, $X_M(t)$ counts points in the hyperplane arrangement complements

$$M_{\mathbb{F}_p} := \mathbb{F}_p^r \setminus \bigcup_{i \in E} v_i^\perp \quad \text{when } t \text{ is a large prime } p$$

the arrangement of
hyperplanes normal to v_i

and $\bar{X}_M(t)$ does same in the projectivized complement $M_{\mathbb{F}_p}/\mathbb{F}_p^\times$
 or the deconed affine arrangements where we send a hyperplane to ∞

Topologically, their signless and rescaled versions

$$\pi_M(t) = w_0 + w_1 t + w_2 t^2 + \dots + w_r t^r \quad (= t^r X_M(t^-))$$

$$\bar{\pi}_M(t) = \bar{w}_0 + \bar{w}_1 t + \dots + \bar{w}_{r-1} t^{r-1} \quad (= t^{r-1} \bar{X}_M(t^-))$$

give the Poincaré polynomials (= Betti # generating functions)

for the complex hyperplane complement

$$M_C := \mathbb{C}^r \setminus \bigcup_{i \in E} v_i^\perp, \quad \pi_M(t) = \sum_{i=0}^r t^i \cdot \text{rank}_{\mathbb{Z}} H^i(M_C, \mathbb{Z})$$

and the projectivized complement

$$M_C/\mathbb{C}^\times, \quad \bar{\pi}_M(t) = \sum_{i=0}^r t^i \cdot \text{rank}_{\mathbb{Z}} H^i(M_C/\mathbb{C}^\times, \mathbb{Z})$$

(or for the affine deconed arrangements)

This is closely related to the original occurrence of

$X_M(t)$ for graphic matroids M of a graph G

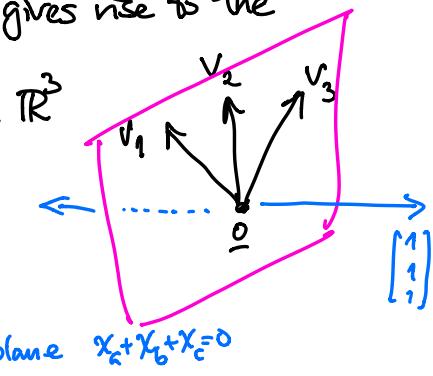
in the work of Birkhoff and Lewis on the graph chromatic polynomial
 (1912)

$$X_G(t) = \# \text{proper vertex-colorings of } G \text{ with } t \text{ colors}$$

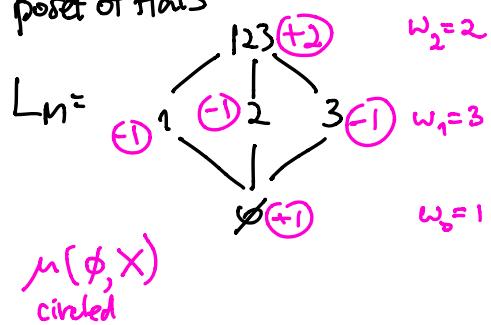
$$= t^{\# \text{conn. components of } G} \cdot X_M(t)$$

EXAMPLE: This graph $G =$

gives rise to the realized graphic matroid $M = \{v_1 = e_a - e_b, v_2 = e_a - e_c, v_3 = e_b - e_c\}$ in \mathbb{R}^3

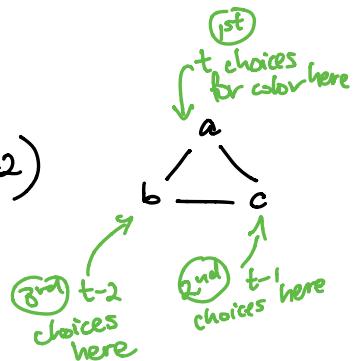


having poset of flats



$$X_M(t) = t^2 - 3t + 2 = (t-1)(t-2)$$

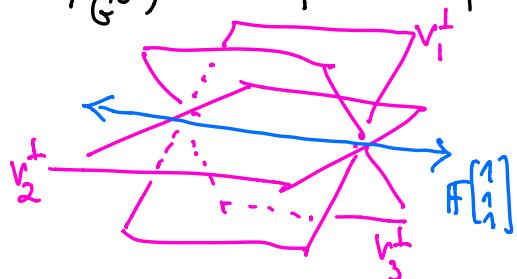
$$\pi_M(t) = 1 + 3t + 2t^2 = (1+t)(1+2t)$$



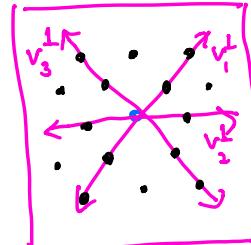
The chromatic polynomial is $X_G(t) = t(t-1)(t-2)$

$$= t \cdot X_M(t)$$

$X_G(t)$ counts points in $\mathbb{F}_p^3 \setminus \bigcup_{i=1,2,3} v_i^\perp$ for p large primes



essentialize by
modding out
 $\mathbb{F}_p[1]$



$X_M(t)$ counts points in $(\mathbb{F}_p^3 / \mathbb{F}_p[1]) \setminus \bigcup_{i=1,2,3} v_i^\perp$ for p large primes

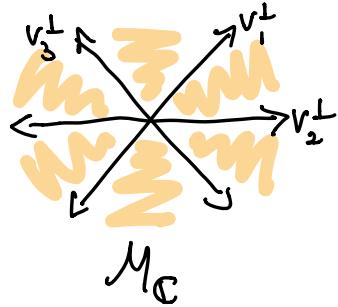
$\underbrace{\quad}_{M_{\mathbb{F}_p}} :=$

$$M_{\mathbb{F}_p} :=$$

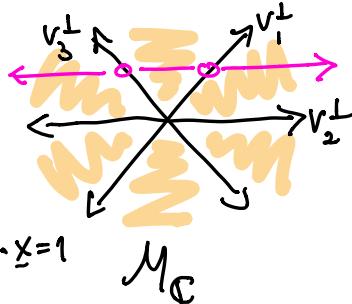
Working instead over \mathbb{C} (but drawing pictures over \mathbb{R})

if we start with the complement $M_{\mathbb{C}} := \mathbb{C}^r \setminus \bigcup_{i=1,2,3} v_i^\perp$ and

pick one of its hyperplanes v_2^\perp to make the "hyperplane at ∞ "

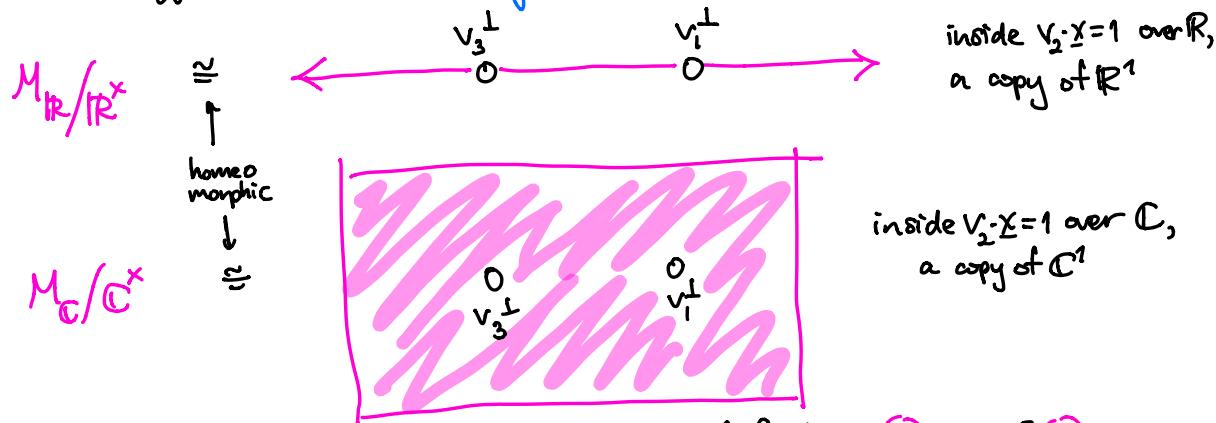


decone the arrangement using v_2^\perp
 \rightsquigarrow
 = intersect with affine hyperplane $v_2 \cdot x = 1$



one can understand the points of the projectivized complement $M_{\mathbb{C}}/\mathbb{C}^\times$ as represented by the point in the complement of this

deconed **affine arrangement** inside the hyperplane $v_2 \cdot x = 1$:



The affine arrangement has a poset of flats with characteristic polynomial, Poincaré polynomial

$$= \bar{X}_n(t) = \frac{X_n(t)}{t-1}$$

$$= \bar{\pi}_n(t) = \frac{\pi_M(t)}{1+t}$$

$$= \sum_i t^i \cdot \text{rank}_{\mathbb{Z}} H^i(M_{\mathbb{C}}/\mathbb{C}^\times, \mathbb{Z})$$

