



**NYU**

**COURANT INSTITUTE OF  
MATHEMATICAL SCIENCES**

## Practical Advances in Complex Root Clustering

Collaborative and ongoing works

R. Imbach<sup>1</sup>, V. Pan<sup>2</sup>, M. Pouget<sup>3</sup>, C. Yap<sup>1</sup>

<sup>1</sup> Courant Institute of Mathematical Sciences, New York University, USA

<sup>2</sup> Lehman College, City University of New York, USA

<sup>3</sup> INRIA Nancy - Grand Est, France

## Example

**System:** Let  $\sigma \geq 3$  and  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  be:

$$\begin{cases} (z_1 - 2^{-\sigma})(z_1 + 2^{-\sigma}) = 0 \\ (z_2 + 2^\sigma z_1^2)(z_2 - 1)z_2 = 0 \end{cases}$$

**Solutions:**  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has 6 solutions, all real:

$$\mathbf{a}^1 = (2^{-\sigma}, 0)$$

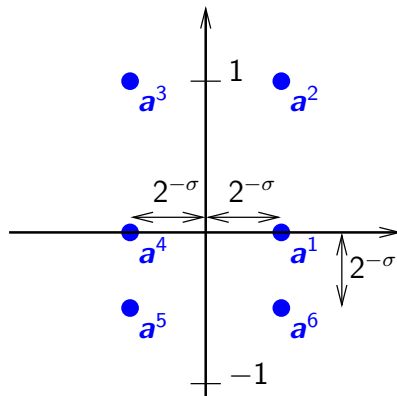
$$\mathbf{a}^2 = (2^{-\sigma}, 1)$$

$$\mathbf{a}^3 = (-2^{-\sigma}, 1)$$

$$\mathbf{a}^4 = (-2^{-\sigma}, 0)$$

$$\mathbf{a}^5 = (-2^{-\sigma}, -2^{-\sigma})$$

$$\mathbf{a}^6 = (2^{-\sigma}, -2^{-\sigma})$$



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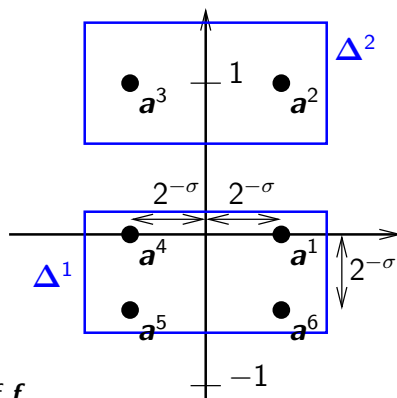
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Natural clusters:

$$(\Delta^1, 4)$$

$$(\Delta^2, 2)$$



Notations:  $m(\mathbf{a}, \mathbf{f})$ : multiplicity of  $\mathbf{a}$  as a sol. of  $\mathbf{f}$

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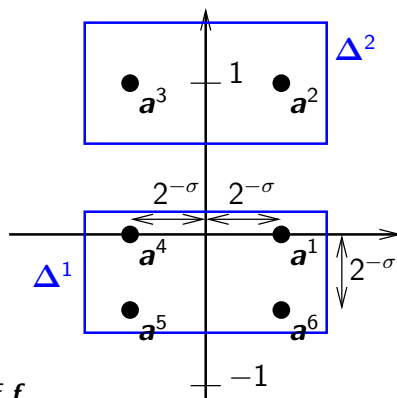
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## Local solution Clustering Problem (LCP)

**Input:** a polynomial map  $\mathbf{f} : \mathbb{C}^n \rightarrow \mathbb{C}^n$  (assume  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  is 0-dim),  
a polybox  $\mathbf{B} \subset \mathbb{C}^n$ , the Region of Interest (RoI),  
 $\epsilon > 0$

**Output:**

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**Definition:** a pair  $(\Delta, m)$  is called **natural cluster** (relative to  $\mathbf{f}$ )  
 when it satisfies:

$$m = \#(\Delta, \mathbf{f}) = \#(3\Delta, \mathbf{f}) \geq 1$$

if  $r(\Delta) \leq \epsilon$ , it is a **natural  $\epsilon$ -cluster**

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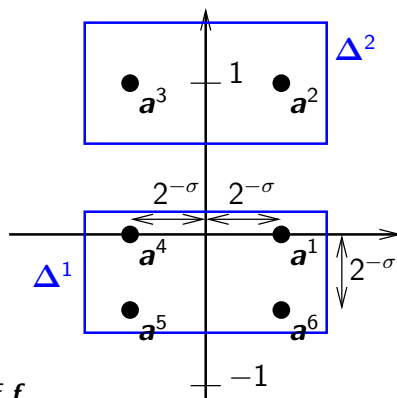
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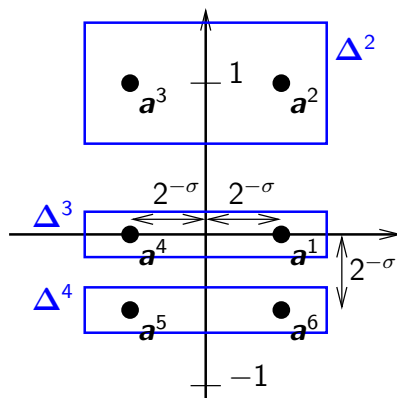
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$(\Delta^3, 3), (\Delta^4, 6)$  are not natural clusters



## Why root clustering instead of root isolation?

### Root isolation:

- input polynomials with  $\mathbb{Z}$  or  $\mathbb{Q}$  coefficients, or
- input polynomials **squarefree**

### Root clustering:

- input polynomials with any  $\mathbb{C}$  coefficients
- robust to **multiple roots**

# Menu

## 0 - Univariate case:

- [BSS+16] Ruben Becker, Michael Sagraloff, Vikram Sharma, Juan Xu, and Chee Yap.  
Complexity analysis of root clustering for a complex polynomial.  
In *ISSAC 16*, pages 71–78. ACM, 2016.

Near optimal: bit complexity  $\tilde{O}(d^2(\sigma + d))$   
for the benchmark problem

Efficient implementation `CcCluster` described in

- [IPY18] Rémi Imbach, Victor Y. Pan, and Chee Yap.  
Implementation of a near-optimal complex root clustering algorithm.  
In *Mathematical Software – ICMS 2018*, pages 235–244, Cham, 2018.

Notations:  $d, \sigma$ : degree, bit-size of  $f$

# Menu

## 0 - Univariate case:

## 1 - Multivariate triangular case

[IPY19] Rémi Imbach, Marc Pouget, and Chee Yap.

Clustering complex zeros of triangular systems of polynomials.

In *CASC 19*, to appear in *MCS*, 2019.

$$\left\{ \begin{array}{l} f_1(z_1) \\ f_2(z_1, z_2) \\ \dots \\ f_n(z_1, z_2, \dots, z_n) \end{array} \right. = 0, \deg_{z_i}(f_i) \geq 1$$

with: finite number of sols



## Symbolic-Numeric solving of systems of polynomials:

$$\begin{cases} p_1(z_1, z_2, \dots, z_n) = 0 \\ p_2(z_1, z_2, \dots, z_n) = 0 \\ \dots \\ p_n(z_1, z_2, \dots, z_n) = 0 \end{cases}$$

↓ rewriting step

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$S_4$	3.8	3.7	0.6	0.18
$S_5$	24.2	>1000	42.9	0.57

seq. times in s on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz  
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$$S_4 \begin{cases} z_1^4 - 57 * z_1^2 * z_2 - 86 * z_1 * z_2^2 - 160 * z_2^3 + 95 * z_2^2 * z_3 + 35 * z_1^2 - 106 * z_3 & = 0 \\ z_2^4 - 64 * z_2^3 - 190 * z_1 * z_2 + 186 * z_1 * z_3 - 119 * z_2 * z_3 + 188 * z_3 + 93 & = 0 \\ z_3^4 + 116 * z_1 * z_2^2 - 168 * z_1 * z_2 * z_3 + 135 * z_1 * z_3^2 + 29 * z_3^3 - 8 * z_1 * z_3 + 119 * z_2 * z_3 & = 0 \end{cases}$$

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# Menu

## 0 - Univariate case:

## 1 - Multivariate triangular case

## 2 - Back to univariate case

- polynomials with real coefficients
- new counting test

[IP19] Rémi Imbach and Victor Y. Pan.

New practical advances in polynomial root clustering.

In *MACIS 19*, 2019.

# Menu

## 0 - Univariate case:

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## Oracle numbers and polynomials

Let  $\alpha \in \mathbb{C}$ .

Oracle for  $\alpha$ : function  $\mathcal{O}_\alpha : \mathbb{Z} \rightarrow \square\mathbb{C}$

s.t.  $\alpha \in \mathcal{O}_\alpha(L)$  and  $w(\mathcal{O}_\alpha(L)) \leq 2^{-L}$

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Let  $f \in \mathbb{C}[z_1, \dots, z_n]$

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$\simeq$  oracles for the coeffs of  $f$

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$\square\mathbb{C}[z_1, \dots, z_n]$ : polynomials with coefficients in  $\square\mathbb{C}$



## Outline of [BSS<sup>+</sup>16]

Counting test:  $T^* : (\Delta, \mathcal{O}_f) \mapsto m \in \{-1, 0, \dots, d\}$   
 $T^*(\Delta, \mathcal{O}_f) \geq 0 \Rightarrow \#(\Delta, f) = m$

Discarding test:  $T^0 : (\Delta, \mathcal{O}_f) \mapsto m \in \{-1, 0\}$   
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Subdivision approach:

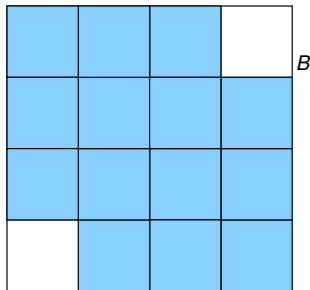
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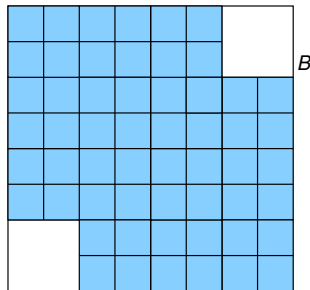
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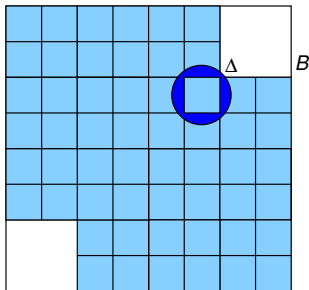
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Subdivision approach:



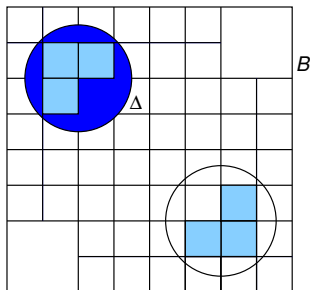
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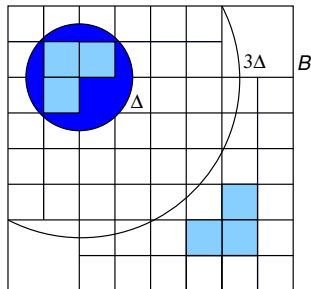
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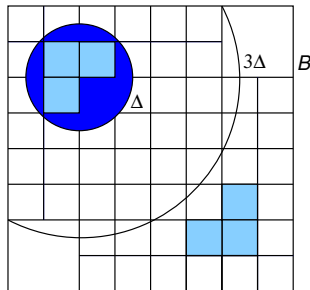
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## The Pellet's test

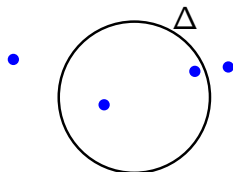
**Pellet's Theorem:** Let  $\Delta$  be a complex disc centered in  $c$  and radius  $r$ .

Let  $f \in \mathbb{C}[z]$ ,  $d = \deg(f)$  and  $f_\Delta = f(c + rz)$ .

If  $\exists 0 \leq m \leq d$  s.t.

$$|(f_\Delta)_m| > \sum_{i \neq m} |(f_\Delta)_i| \quad (1)$$

then  $f$  has exactly  $m$  roots in  $\Delta$ .



**Notations:**  $(f)_m$ : coeff. of the monomial of degree  $m$  of  $f$



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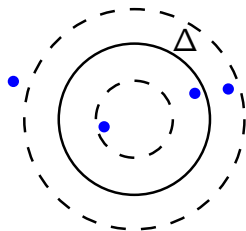
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If  $f$  has no root in this annulus  $\rightarrow$   
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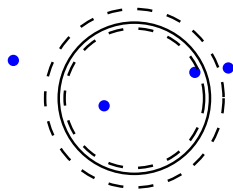
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**With Dandelin-Gräffe's iterations:**

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**PelletTest**( $\Delta, f$ ) *//Output in  $\{-1, 0, 1, \dots, d\}$*

1. compute  $f_\Delta$
2. **for**  $m$  **from** 0 **to**  $d$  **do**
3.       **if**  $|(f_\Delta)_m| > \sum_{i \neq m} |(f_\Delta)_i|$
4.               **return**  $m$  *//m roots (with mult.) in  $\Delta$*
5. **return**  $-1$  *//Roots near the boundary of  $\Delta$*

## The soft Pellet's test: for interval polynomials

**Pellet's Theorem:** Let  $\Delta$  be a complex disc centered in  $c$  and radius  $r$ .  
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If  $\exists 0 \leq m \leq d$  s.t.

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**SoftCompare**( $\square a, \square b$ )

//  $\square a, \square b$  are real intervals

**Input:**  $\square a, \square b$  real intervals

**Output:** a number in  $\{-2, -1, 1\}$  s.t.:

1  $\Rightarrow \square a > \square b$

-1  $\Rightarrow \square a < \square b$  or  $\square a, \square b$  are too close

-2  $\Rightarrow \square a \cap \square b \neq \emptyset$



## The soft Pellet's test: for oracle polynomials

```
SoftPelletTest( $\Delta, \square f$ )           //Output in  $\{-2, -1, 0, 1, \dots, d\}$ 
```

1. compute  $\square f_{\Delta}$
2. **for**  $m$  **from** 0 **to** deg **do**
3.  $R \leftarrow \text{SoftCompare}(|(\square f_{\Delta})_m|, \sum_{i \neq k} |(\square f_{\Delta})_i|)$
4. **if**  $R \geq 0$  **then return**  $m$  *//any  $f \in \square f$  has  $m$  roots*  
*// (with mult.) in  $\Delta$*
5. **if**  $R = -2$  **then return**  $-2$  *// $\square f$  is too wide*
6. **return**  $-1$  *//Roots near the boundary of  $\Delta$*

Loop on precision:

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Loop on precision:

```
 $T^*(\Delta, \mathcal{O}_f)$  //Output in  $\{-1, 0, 1, \dots, d\}$ 
```

1.  $L \leftarrow 53$ ,  $\square f \leftarrow \mathcal{O}_f(L)$ ,  $m \leftarrow \text{SoftPelletTest}(\Delta, \square f)$
2. **while**  $m = -2$  **do**
3.  $L \leftarrow 2L$ ,  $\square f \leftarrow \mathcal{O}_f(L)$ ,  $m \leftarrow \text{SoftPelletTest}(\Delta, \square f)$
4. **return**  $m$



## Univariate root clustering algorithms

**ClusterOracle:** solves the LCP in 1D ([BSS<sup>+</sup>16])  
 $T^*$  embedded in a subdivision framework  
accepts oracle polynomials in input

[BSS<sup>+</sup>16] Ruben Becker, Michael Sagraloff, Vikram Sharma, Juan Xu, and Chee Yap.  
Complexity analysis of root clustering for a complex polynomial.  
In *ISSAC 16*, pages 71–78. ACM, 2016.

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**ClusterInterval:** solves the LCP in 1D

**Input:** interval polynomial

**Output:** a flag in **{success, fail}**, a list of natural clusters  
SoftPelletTest embedded in a subdivision framework  
returns **fail** when SoftPelletTest returns -2

[BSS<sup>+</sup>16] [Ruben Becker, Michael Sagraloff, Vikram Sharma, Juan Xu, and Chee Yap. Complexity analysis of root clustering for a complex polynomial. In \*ISSAC 16\*, pages 71–78. ACM, 2016.](#)

# Menu

## 0 - Univariate case:

## 1 - Multivariate triangular case

[IPY19] Rémi Imbach, Marc Pouget, and Chee Yap.

Clustering complex zeros of triangular systems of polynomials.

In *CASC 19*, to appear in *MCS*, 2019.

Rational, bivariate

$$\begin{cases} f_1(z_1) & = 0 \\ f_2(z_1, z_2) & = 0 \end{cases}, \deg_{z_i}(f_i) \geq 1, f_i \in \mathbb{Q}[z_1, z_2]$$

## Oracle numbers and polynomials

Let  $\alpha \in \mathbb{C}$ .

Oracle for  $\alpha$ : function  $\mathcal{O}_\alpha : \mathbb{Z} \rightarrow \square\mathbb{C}$

$$\text{s.t. } \alpha \in \mathcal{O}_\alpha(L) \text{ and } w(\mathcal{O}_\alpha(L)) \leq 2^{-L}$$

Let  $f \in \mathbb{C}[z_1, \dots, z_n]$

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$\simeq$  oracles for the coeffs of  $f$

Let  $f_2 \in \mathbb{Q}[z_1, z_2]$  and  $\alpha_1 \in \mathbb{C}$

Partial specialization of  $f_2$ :  $f_2(\alpha_1) \in \mathbb{C}[z_2]$

Notations:  $\square\mathbb{C}$ : set of complex interval

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## Number of solutions in a polydisc

Let  $\Delta = (\Delta_1, \Delta_2)$  and  $\mathbf{m} = (m_1, m_2)$ .

**Proposition 1:** Suppose

(i)  $f_1$  has  $m_1$  roots in  $\Delta_1$  with multiplicity

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**Proof:** direct consequence of

**Theorem [ZFX11]:** Let  $\alpha \in Z(\mathbb{C}^2, \mathbf{f})$ ,  $\alpha = (\alpha_1, \alpha_2)$ . Then

$$m(\alpha, \mathbf{f}) = m(\alpha_2, f_2(\alpha_1)) \times m(\alpha_1, f_1)$$

[ZFX11] Zhihai Zhang, Tian Fang, and Bican Xia.

Real solution isolation with multiplicity of zero-dimensional triangular systems.

*Science China Information Sciences*, 54(1):60–69, 2011.

## Example

System: Let  $\sigma \geq 3$  and  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  be:

$$\begin{cases} (z_1 - 2^{-\sigma})^2(z_1 + 2^{-\sigma}) = 0 \\ (z_2 + 2^\sigma z_1^2)^2(z_2 - 1)z_2 = 0 \end{cases}$$

Solutions:  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has 6 solutions, all real:

$$\mathbf{a}^1 = (2^{-\sigma}, 0) \leftarrow m(\mathbf{a}^1, \mathbf{f}) = 2 = 1 \times 2$$

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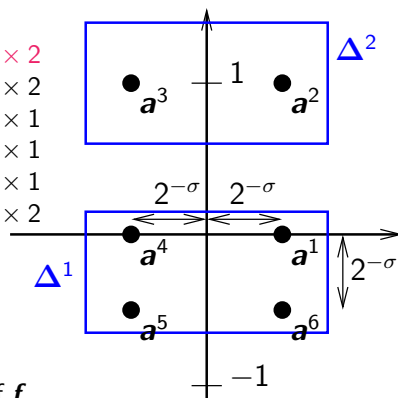
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Natural clusters:

$$(\Delta^1, 9)$$

$$(\Delta^2, 3)$$

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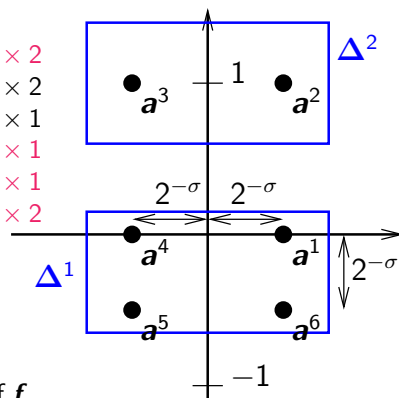
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Natural clusters:

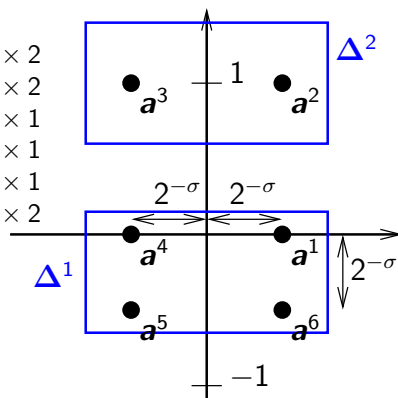
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Natural towers:

$$(\Delta^1, (3, 3))$$

$$(\Delta^2, (1, 3))$$



## Pellet's test and natural towers

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- $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has  $m_2 \times m_1$  solutions in  $\Delta$  with multiplicity.

**Proposition 3:** Suppose

- (i) **SoftPelletTest** $(\Delta_1, f_1)$  returns  $m_1 \geq 1$
- (ii) **SoftPelletTest** $(\Delta_2, f_2(\square \Delta_1))$  returns  $m_2 \geq 1$

Then  $(\Delta, \mathbf{m})$  is a natural tower relative to  $\mathbf{f}$ .

## Pellet's test and natural towers

**Definition:** A pair  $(\Delta, \mathbf{m})$  is a natural tower (relative to  $\mathbf{f}$ ) if

(i)  $(\Delta_1, m_1)$  is a natural cluster relative to  $f_1$

(ii)  $\forall \alpha_1 \in \Delta_1, (\Delta_2, m_2)$  is a natural cluster relative to  $f_2(\alpha_1)$

$\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has  $m_2 \times m_1$  solutions in  $\Delta$  with multiplicity.

**Proposition 3:** Suppose

(i)  $\text{SoftPelletTest}(\Delta_1, f_1)$  returns  $m_1 \geq 1$

(ii)  $\text{SoftPelletTest}(\Delta_2, f_2(\square \Delta_1))$  returns  $m_2 \geq 1$

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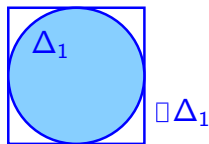
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Then  $(\Delta, \mathbf{m})$  is a natural tower relative to  $\mathbf{f}$ .



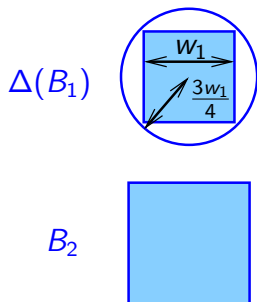
## Main data structure

 $B_1$  $B_2$ 

A **tower** is a triple  $\mathcal{T} = \langle \ell, \mathbf{B}, \mathbf{L} \rangle$  where

- $\ell$  is an integer in  $\{0, 1, 2\}$  called **level**
- $\mathbf{B} = (B_1, B_2)$  is a polybox called **domain**
- $\mathbf{L} = (L_1, L_2)$  is a vector in  $(\mathbb{Z})^2$  called **precision**

## Main data structure



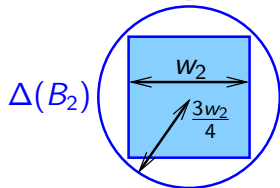
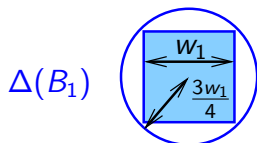
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We will guarantee that if  $\ell = 1$ ,  $\exists m_1$  so that:

- (i)  $\text{SoftPelletTest}(\Delta(B_1), f_1)$  returns  $m_1$  and  $r(\Delta(B_1)) < 2^{-L_1}$

## Main data structure



A **tower** is a triple  $\mathcal{T} = \langle \ell, \mathbf{B}, \mathbf{L} \rangle$  where

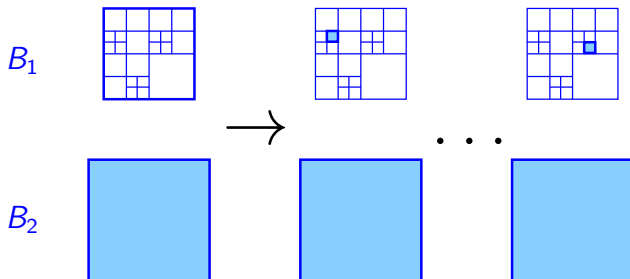
- $\ell$  is an integer in  $\{0, 1, 2\}$  called **level**
- $\mathbf{B} = (B_1, B_2)$  is a polybox called **domain**
- $\mathbf{L} = (L_1, L_2)$  is a vector in  $(\mathbb{Z})^2$  called **precision**

We will guarantee that if  $\ell = 2$ ,  $\exists(m_1, m_2)$  so that:

- $\text{SoftPelletTest}(\Delta(B_1), f_1)$  returns  $m_1$  and  $r(\Delta(B_1)) < 2^{-L_1}$
- $\text{SoftPelletTest}(\Delta(B_2), f_2(\square\Delta(B_1)))$  returns  $m_2$  and  $r(\Delta(B_2)) < 2^{-L_2}$

From proposition 3:  $(\Delta(\mathbf{B}), \mathbf{m})$  is a natural tower (relative to  $\mathbf{f}$ ) and  $\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has  $m_2 \times m_1$  sols in  $\Delta(\mathbf{B})$  with mult.

## Lift of a tower from level 0 to level 1



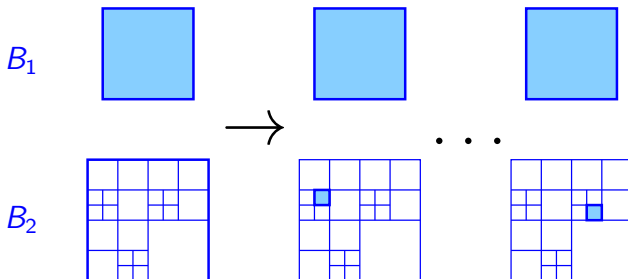
$\text{Cluster1}(f, \mathcal{T})$  //for  $f$  with exact coefficients

**Input:**  $f = (f_1, f_2)$ ,  $\mathcal{T} = \langle \ell, \mathbf{B}, \mathbf{L} \rangle$  a tower at any level

**Output:** a list of towers at level 1

1. calls ClusterOracle ([BSS+16]) for  $f_1, B_1, 2^{-L_1}$

## Lift of a tower from level 1 to level 2



`Cluster2(  $f, \mathcal{T}$  )` //for  $f$  with exact coefficients

**Input:**  $f = (f_1, f_2)$ ,  $\mathcal{T} = \langle \ell, \mathbf{B}, \mathbf{L} \rangle$  a tower at level 1

**Output:** a flag in  $\{\mathbf{success}, \mathbf{fail}\}$  and a list of towers at level 2

1. calls ClusterInterval for  $f_2(\square\Delta(B_1))$ ,  $B_2$ ,  $2^{-L_2}$

**fail** if SoftPelletTest returns -2 (i.e. not enough prec. on  $\square\Delta(B_1)$ )

# Main algorithm

**ClusterTri**( $f, \mathbf{B}, L$ ) *//for  $f$  with exact coefficients*

**Input:** a triangular system  $f(\mathbf{z}) = \mathbf{0}$ , a polybox  $\mathbf{B}$ ,  $L > 0$

**Output:** a set of natural  $2^{-L}$ -towers solving the LCP

1.  $Q.push(\langle 0, \mathbf{B}, (L, L) \rangle)$
2. **while**  $Q$  contains towers of level  $< 2$  **do**
3.      $\mathcal{T} = \langle \ell, \mathbf{B}, (L_1, L_2) \rangle \leftarrow Q.pop()$  with  $\ell < 2$
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
12. **return**  $Q$



# Main algorithm

**ClusterTri**( $f, \mathbf{B}, L$ ) *//for  $f$  with exact coefficients*

**Input:** a triangular system  $f(\mathbf{z}) = \mathbf{0}$ , a polybox  $\mathbf{B}$ ,  $L > 0$

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3.      $\mathcal{T} = \langle \ell, \mathbf{B}, (L_1, L_2) \rangle \leftarrow Q.pop()$  with  $\ell < 2$
4.     **if**  $\ell = 0$  **then**
5.          $Q.push(\text{Cluster1}(f, \mathcal{T}))$
6.     **else**
- 7.
- 8.
- 9.
- 10.
- 11.
12. **return**  $Q$

# Main algorithm

**ClusterTri**( $f, \mathbf{B}, L$ ) *//for  $f$  with exact coefficients*


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3.      $\mathcal{T} = \langle \ell, \mathbf{B}, (L_1, L_2) \rangle \leftarrow Q.pop()$  with  $\ell < 2$
4.     **if**  $\ell = 0$  **then**
5.          $Q.push(\text{Cluster1}(f, \mathcal{T}))$
6.     **else**
7.         flag,  $S \leftarrow \text{Cluster2}(f, \mathcal{T})$
8.         **if** flag = **success** **then**
9.              $Q.push(S)$
10.         **else** *// not enough precision on  $B_1$*
11.              $Q.push(\langle 0, \mathbf{B}, (2L_1, L_2) \rangle)$
12. **return**  $Q$

## Our implementation

**Ccluster**: library in C based on

- FLINT<sup>1</sup>: arithmetic for the geometric algorithm
-  Arb<sup>2</sup>: arbitrary precision floating arithmetic with error bounds

Available at <https://github.com/rimbach/Ccluster>

**Ccluster.jl**: package for  <sup>3</sup> based on  $\text{Ne}^m\mathcal{O}^4$

- interface for Ccluster
- **Tcluster**: implemetation of ClusterTri

Available at <https://github.com/rimbach/Ccluster.jl>

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<sup>1</sup><https://github.com/wbhart/flint2>

<sup>2</sup><http://arblib.org/>

<sup>3</sup><https://julialang.org/>

<sup>4</sup><http://nemocas.org/>

## Benchmark: systems

Type of a triangular system:

$\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has type  $(d_1, \dots, d_n)$  if  $f_i$  has degree  $d_i$  in  $z_i$ ,  $\forall 1 \leq i \leq n$

Table: for each type, average on 5 random dense systems

seq. times on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz

type									
Systems with only simple solutions									
(9,9,9)									
(6,6,6,6)									
(9,9,9,9)									
(6,6,6,6,6)									
(9,9,9,9,9)									
(2,2,2,2,2,2,2,2,2,2)									
Systems with multiple solutions									
(9,9)									
(6,6,6)									
(9,9,9)									
(6,6,6,6)									

## Benchmark: local vs global comparison

Type of a triangular system:

$\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has type  $(d_1, \dots, d_n)$  if  $f_i$  has degree  $d_i$  in  $z_i$ ,  $\forall 1 \leq i \leq n$

**Table:** for each type, average on 5 random dense systems

seq. times on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz

type	Tcluster <b>local</b>		Tcluster <b>global</b>					
	(#Clus, #Sols)	$t$ (s)	(#Clus, #Sols)	$t$ (s)				
Systems with only simple solutions								
(9,9,9)	(149 : 149)	0.24	(729 : 729)	1.21				
(6,6,6,6)	(63.4 : 63.4)	0.10	(1296 : 1296)	1.73				
(9,9,9,9)	(559 : 559)	1.06	(6561 : 6561)	12.9				
(6,6,6,6,6)	(155 : 155)	0.37	(7776 : 7776)	11.1				
(9,9,9,9,9)	(1739 : 1739)	4.83	(59049 : 59049)	113				
(2,2,2,2,2,2,2,2,2,2)	(0 : 0)	0.13	(1024 : 1024)	2.42				
Systems with multiple solutions								
(9,9)	(23.8 : 13.6)	0.03	(81 : 45)	0.15				
(6,6,6)	(35.2 : 8.80)	0.05	(216 : 54)	0.24				
(9,9,9)	(113 : 37.6)	0.22	(729 : 225)	1.06				
(6,6,6,6)	(81.6 : 10.2)	0.21	(1296 : 162)	1.28				

Tcluster **local** :  $\mathbf{B} = ([-1, 1] + i[-1, 1])^2$ ,  $\epsilon = 2^{-53}$

Tcluster **global**:  $\mathbf{B}$  chosen with upper bound for roots

## Benchmark: extern comparison

Type of a triangular system:

$\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has type  $(d_1, \dots, d_n)$  if  $f_i$  has degree  $d_i$  in  $z_i$ ,  $\forall 1 \leq i \leq n$

**Table:** for each type, average on 5 random dense systems

seq. times on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz

type	Tcluster <b>local</b>		Tcluster <b>global</b>		HomCont.jl			
	(#Clus, #Sols)	t (s)	(#Clus, #Sols)	t (s)	#Sols	t (s)		
Systems with only simple solutions								
(9,9,9)	(149 : 149)	0.24	(729 : 729)	1.21	729	4.21		
(6,6,6,6)	(63.4 : 63.4)	0.10	(1296 : 1296)	1.73	1296	4.70		
(9,9,9,9)	(559 : 559)	1.06	(6561 : 6561)	12.9	6561	14.0		
(6,6,6,6,6)	(155 : 155)	0.37	(7776 : 7776)	11.1	7776	11.5		
(9,9,9,9,9)	(1739 : 1739)	4.83	(59049 : 59049)	113	59049	116		
(2,2,2,2,2,2,2,2,2,2)	(0 : 0)	0.13	(1024 : 1024)	2.42	1024	4.84		
Systems with multiple solutions								
(9,9)	(23.8 : 13.6)	0.03	(81 : 45)	0.15	33.6	3.27		
(6,6,6)	(35.2 : 8.80)	0.05	(216 : 54)	0.24	53.2	2.75		
(9,9,9)	(113 : 37.6)	0.22	(729 : 225)	1.06	159	28.4		
(6,6,6,6)	(81.6 : 10.2)	0.21	(1296 : 162)	1.28	134	8.06		

Tcluster **local** :  $\mathbf{B} = ([-1, 1] + \imath[-1, 1])^2$ ,  $\epsilon = 2^{-53}$

Tcluster **global**:  $\mathbf{B}$  chosen with upper bound for roots

HomCont.jl: HomotopyContinuation.jl

## Benchmark:

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type	Tcluster <b>local</b>		Tcluster <b>global</b>		HomCont.jl			
	(#Clus, #Sols)	t (s)	(#Clus, #Sols)	t (s)	#Sols	t (s)		
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(9,9,9,9)	(559 : 559)	1.06	(6561 : 6561)	12.9	6561	14.0		
(6,6,6,6,6)	(155 : 155)	0.37	(7776 : 7776)	11.1	7776	11.5		
(9,9,9,9,9)	(1739 : 1739)	4.83	(59049 : 59049)	113	59049	116		
(2,2,2,2,2,2,2,2,2,2)	(0 : 0)	0.13	(1024 : 1024)	2.42	1024	4.84		
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(9,9)	(23.8 : 13.6)	0.03	(81 : 45)	0.15	33.6	3.27		
(6,6,6)	(35.2 : 8.80)	0.05	(216 : 54)	0.24	53.2	2.75		
(9,9,9)	(113 : 37.6)	0.22	(729 : 225)	1.06	159	28.4		
(6,6,6,6)	(81.6 : 10.2)	0.21	(1296 : 162)	1.28	134	8.06		

Tcluster **local** :  $\mathbf{B} = ([-1, 1] + \imath[-1, 1])^2$ ,  $\epsilon = 2^{-53}$

Tcluster **global**:  $\mathbf{B}$  chosen with upper bound for roots

HomCont.jl: HomotopyContinuation.jl

## Benchmark:

Type of a triangular system:

$\mathbf{f}(\mathbf{z}) = \mathbf{0}$  has type  $(d_1, \dots, d_n)$  if  $f_i$  has degree  $d_i$  in  $z_i$ ,  $\forall 1 \leq i \leq n$

Table: for each type, average on 5 random dense systems

seq. times on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz

type	Tcluster <b>local</b>		Tcluster <b>global</b>		HomCont.jl		triang_solve	
	(#Clus, #Sols)	t (s)	(#Clus, #Sols)	t (s)	#Sols	t (s)	#Sols	t (s)
Systems with only simple solutions								
(9,9,9)	(149 : 149)	0.24	(729 : 729)	<b>1.21</b>	729	4.21	729	<b>0.37</b>
(6,6,6,6)	(63.4 : 63.4)	0.10	(1296 : 1296)	<b>1.73</b>	1296	4.70	1296	<b>0.93</b>
(9,9,9,9)	(559 : 559)	1.06	(6561 : 6561)	<b>12.9</b>	6561	14.0	6561	<b>8.57</b>
(6,6,6,6,6)	(155 : 155)	0.37	(7776 : 7776)	<b>11.1</b>	7776	11.5	7776	<b>19.1</b>
(9,9,9,9,9)	(1739 : 1739)	4.83	(59049 : 59049)	<b>113</b>	59049	116	59049	<b>702</b>
(2,2,2,2,2,2,2,2,2,2)	(0 : 0)	0.13	(1024 : 1024)	<b>2.42</b>	1024	4.84	1024	<b>3.9</b>
Systems with multiple solutions								
(9,9)	(23.8 : 13.6)	0.03	(81 : 45)	<b>0.15</b>	33.6	3.27	45	<b>0.03</b>
(6,6,6)	(35.2 : 8.80)	0.05	(216 : 54)	<b>0.24</b>	53.2	2.75	54	<b>0.05</b>
(9,9,9)	(113 : 37.6)	0.22	(729 : 225)	<b>1.06</b>	159	28.4	225	<b>0.23</b>
(6,6,6,6)	(81.6 : 10.2)	0.21	(1296 : 162)	<b>1.28</b>	134	8.06	162	<b>0.15</b>

Tcluster **local** :  $\mathbf{B} = ([-1, 1] + \imath[-1, 1])^2$ ,  $\epsilon = 2^{-53}$

Tcluster **global**:  $\mathbf{B}$  chosen with upper bound for roots

HomCont.jl: HomotopyContinuation.jl

**triang\_solve**: Singular solver for triangular systems



# Menu

## 0 - Univariate case:

## 1 - Multivariate triangular case

## 2 - Back to univariate case

- polynomials with real coefficients
- new counting test

[IP19] Rémi Imbach and Victor Y. Pan.

New practical advances in polynomial root clustering.

In *MACIS 19*, 2019.

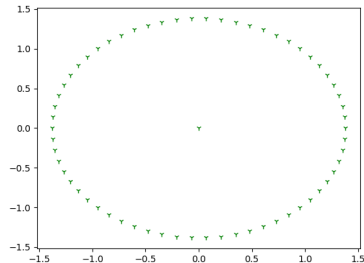
## Pols with real coefficients

Example:

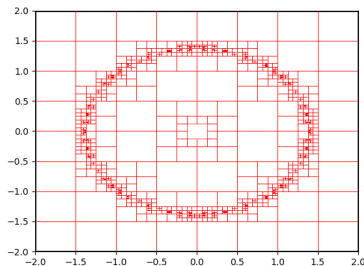
$$\text{Mign}_d(z) = z^d - 2(2^{14}z - 1)^2$$

$d$  even  $\Rightarrow$  4 real roots

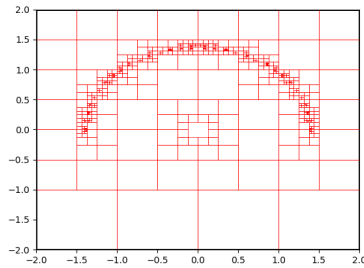
$d = 64$



Subdivision tree:



2044  $T^0$ -tests



1072  $T^0$ -tests (ratio  $\simeq 0.52$ )

## Pols with real coefficients (II)

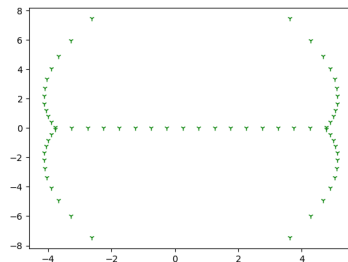
Example:

$$\text{Bern}_d(z) = \sum_{k=0}^d \binom{d}{k} b_{d-k} z^k$$

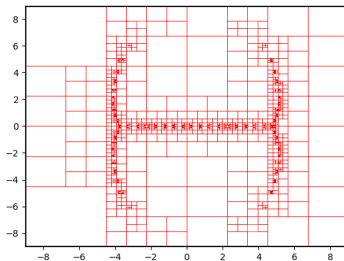
$b_i$ 's: Bernoulli numbers

$d$  even  $\Rightarrow d/4$  real roots

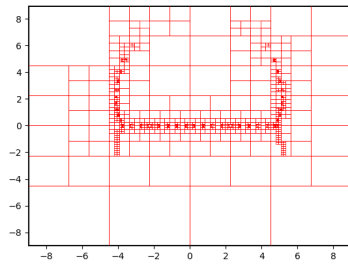
$d = 64$



Subdivision tree:



2492  $T^0$ -tests



1476  $T^0$ -tests (ratio  $\simeq 0.6$ )

## Results (I)

**Ccluster:** version of [IPY18]

$t_1$ : time;  $s_1$ : number of  $T^0$ -tests

**CclusterR:** Ccluster for polynomials in  $\mathbb{R}[z]$

$t_2$ : time;  $s_2$ : number of  $T^0$ -tests

	Ccluster			CclusterR	
	(#Clus, #Sols)	$s_1$	$t_1$	$s_2$	$t_1/t_2$
Bern <sub>128</sub>	(128, 128)	4732	6.30	2712	1.72
Bern <sub>191</sub>	(191, 191)	7220	20.2	4152	1.74
Bern <sub>256</sub>	(256, 256)	9980	41.8	5698	1.67
Bern <sub>383</sub>	(383, 383)	14504	120	8198	1.82
Mign <sub>128</sub>	(127, 128)	4508	5.00	2292	1.92
Mign <sub>191</sub>	(190, 191)	6260	15.5	3180	2.01
Mign <sub>256</sub>	(255, 256)	8452	31.8	4304	2.04
Mign <sub>383</sub>	(382, 383)	12564	79.7	6410	1.98

sequential times in s. on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz machine with Linux

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New practical advances in polynomial root clustering.

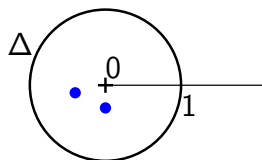
In *MACIS 19*, 2019.

## Approximating Power Sums

Let  $\Delta = \Delta(0, 1)$ ,  $f$  has deg.  $d$ ,  
dist. roots  $\alpha_1, \dots, \alpha_{d_\Delta}$  in  $\Delta$  with mults  $m_1, \dots, m_{d_\Delta}$

Power Sums: let  $h \in \mathbb{Z}$

$$s_h = m_1 \times \alpha_1^h + \dots + m_{d_\Delta} \times \alpha_{d_\Delta}^h$$



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Theorem [S82, P18]:

if no root in  $\{z \in \mathbb{C} \mid \frac{1}{\rho} < |z| < \rho\}$

use evaluations of  $f$  and  $f'$  at  $q$  points  
 to approximate  $s_h$  within error  $\simeq d\rho^{-q}$

[Pan18] Victor Y Pan.

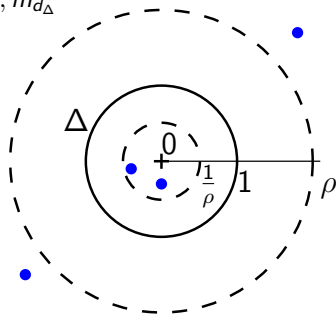
Old and new nearly optimal polynomial root-finders.

*arXiv preprint arXiv:1805.12042, 2018.*

[Sch82] Arnold Schönhage.

The fundamental theorem of algebra in terms of computational complexity.

*Manuscript. Univ. of Tübingen, Germany, 1982.*



## Approximating 0-th Power Sum

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Power Sums: let  $h \in \mathbb{Z}$

$$s_0 = m_1 \times \alpha_1^0 + \dots + m_{d_\Delta} \times \alpha_{d_\Delta}^0 = \#(\Delta, f)$$

Theorem [S82, P18]:

if no root in  $\{z \in \mathbb{C} \mid \frac{1}{\rho} < |z| < \rho\}$

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[Pan18] Victor Y Pan.

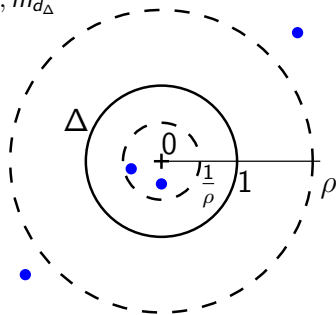
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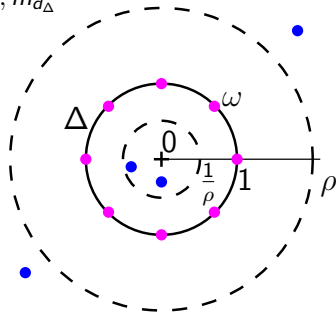
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0-th Power Sum:

$$s_0 = \#(\Delta, f)$$

Approximation formula: let  $q \in \mathbb{N}_*$ ,  $\omega = e^{\frac{2\pi i}{q}}$

$$s_0^* = \frac{1}{q} \sum_{g=0}^{q-1} \omega^g \frac{f'(\omega^g)}{f(\omega^g)}$$



## Approximating 0-th Power Sum

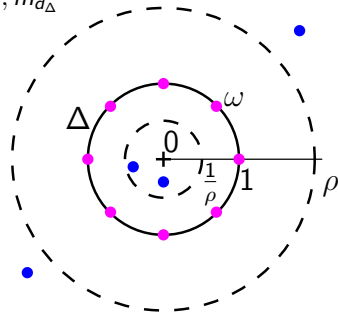
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Corollary of [S82, P18]: if no root in  $\{z \in \mathbb{C} \mid \frac{1}{\rho} < |z| < \rho\}$ ,  $\theta = 1/\rho$ , then

$$(i) \quad |s_0^* - s_0| \leq \frac{d\theta^q}{1 - \theta^q}.$$

$$(ii) \quad \text{Fix } \delta > 0. \text{ If } q = \lceil \log_\theta \left( \frac{\delta}{d+\delta} \right) \rceil \text{ then } |s_0^* - s_0| \leq \delta.$$

## Oracle numbers and polynomials

Let  $\alpha \in \mathbb{C}$ .

Oracle for  $\alpha$ : function  $\mathcal{O}_\alpha : \mathbb{Z} \rightarrow \square\mathbb{C}$

$$\text{s.t. } \alpha \in \mathcal{O}_\alpha(L) \text{ and } w(\mathcal{O}_\alpha(L)) \leq 2^{-L}$$

Let  $f \in \mathbb{C}[z]$

Evaluation oracle for  $f$ : function  $\mathcal{I}_f : \mathbb{Z} \times (\mathbb{Z} \rightarrow \square\mathbb{C}) \rightarrow \square\mathbb{C}$

$$\text{s.t. } f(\alpha) \in \mathcal{I}_f(L, \mathcal{O}_\alpha) \text{ and } w(\mathcal{I}_f(L, \mathcal{O}_\alpha)) \leq 2^{-L}$$

Notations:  $\square\mathbb{C}$ : set of complex interval

$\mathbb{Z} \rightarrow \square\mathbb{C}$ : set of oracle numbers

# The $P^*$ -test

 $P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, \rho)$ 
*//Output in  $\{0, 1, \dots, d\}$* 

**Input:**  $\mathcal{I}_f, \mathcal{I}_{f'}$  evaluation oracles for  $f$  and  $f'$ ,  $\Delta$  a disc  $\rho$ -isolated

**Output:**  $\#(\Delta, f)$

1.  $\delta \leftarrow 1/4, \theta \leftarrow 1/\rho$
2.  $q \leftarrow \lceil \log_{\theta}(\frac{\delta}{d+\delta}) \rceil$
- 3.
- 4.
- 5.

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5. **return** the **unique integer** in  $\square s_0$

**Example:**  $f$  has degree 500,  $\rho = 2$

evaluate  $f$  and  $f'$  at  $q = 11$  points

then get  $\#(\Delta, f)$  in  $O(q)$  arithmetic operations

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**Efficiency:** directly related to evaluation



# The $P^*$ -test

	Discarding tests					
	nb	$T^*$ -tests		$P^*$ -tests		
		$t_0$	$t_0/t$ (%)	$t'_0$	$n_{-1}$	$n_{err}$
Bern <sub>128</sub>	4732	5.50	86.9	1.38	269	10
Bern <sub>256</sub>	9980	36.3	87.8	7.61	561	20
Mign <sub>128</sub>	4508	4.73	90.9	0.25	276	12
Mign <sub>256</sub>	8452	27.8	91.2	0.60	544	20

$P^*$ -tests:  $P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, 2)$

nb: nb of discarding tests performed

$t$ : time in Ccluster

$t_0$ : time in discarding  $T^*$ -tests

$t'_0$ : time in  $P^*$ -tests

**Example:**  $f$  has degree 500,  $\rho = 2$

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$P^*$ -tests:  $P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, 2)$

nb: nb of discarding tests performed

$n_{-1}$ : nb of times  $\square_{S_0}$  does not contains integer

$n_{err}$ : nb of times result is not correct

**Example:**  $f$  has degree 500,  $\rho = 2$

evaluate  $f$  and  $f'$  at  $q = 11$  points

then get  $\#(\Delta, f)$  in  $O(q)$  arithmetic operations

**Efficiency:** directly related to evaluation

**But:** requires  $\rho$  to be known and  $> 1$ .

## Using the $P^*$ -test as a filter

The  $C^0$ -test:

$$C^0(\Delta) := \begin{cases} -1 & \text{if } P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, 2) \neq 0, \\ -1 & \text{if } P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, 2) = 0 \text{ and } T^*(\Delta, \mathcal{O}_f) \neq 0, \\ 0 & \text{if } P^*(\mathcal{I}_f, \mathcal{I}_{f'}, \Delta, 2) = 0 \text{ and } T^*(\Delta, \mathcal{O}_f) = 0. \end{cases}$$

## Results (I)

**Ccluster:** version of [IPY18]

$t_1$ : time;  $s_1$ : number of  $T^0$ -tests

**CclusterR:** Ccluster for polynomials in  $\mathbb{R}[z]$

$t_2$ : time;  $s_2$ : number of  $T^0$ -tests

**CclusterP:** CclusterR with  $P^*$ -test as a filter

$t_3$ : time;  $s_3$ : number of  $T^0$ -tests

	Ccluster			CclusterR		CclusterP		
	(#Clus, #Sols)	$s_1$	$t_1$	$s_2$	$t_1/t_2$	$s_3$	$t_3$	$t_2/t_3$
Bern <sub>128</sub>	(128, 128)	4732	6.30	2712	1.72	1983	3.30	1.10
Bern <sub>191</sub>	(191, 191)	7220	20.2	4152	1.74	3073	10.7	1.08
Bern <sub>256</sub>	(256, 256)	9980	41.8	5698	1.67	4067	21.9	1.14
Bern <sub>383</sub>	(383, 383)	14504	120	8198	1.82	5813	53.5	1.23
Mign <sub>128</sub>	(127, 128)	4508	5.00	2292	1.92	1668	1.81	1.43
Mign <sub>191</sub>	(190, 191)	6260	15.5	3180	2.01	2431	4.34	1.77
Mign <sub>256</sub>	(255, 256)	8452	31.8	4304	2.04	3223	10.7	1.44
Mign <sub>383</sub>	(382, 383)	12564	79.7	6410	1.98	4883	26.8	1.49

sequential times in s. on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz machine with Linux

## Pols with real coefficients

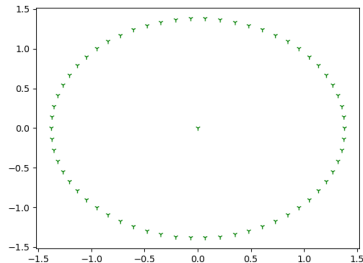
Example:

$$\text{Mign}_d(z) = z^d - 2(2^{14}z - 1)^2$$

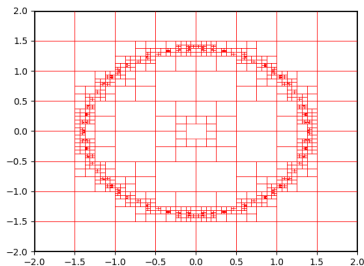
$d$  even  $\Rightarrow$  4 real roots

only 4 non-zero coeffs

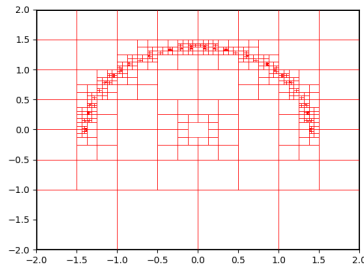
$d = 64$



Subdivision tree:



2044  $T^0$ -tests



1072  $T^0$ -tests (ratio  $\simeq 0.52$ )

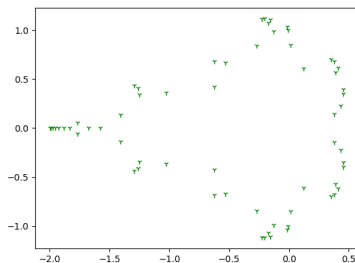
## Procedural polynomials

**Procedure:**  $\text{Mand}_k(z)$

**Input:**  $k \in \mathbb{N}^*$ ,  $z \in \mathbb{C}$

**Output:**  $r \in \mathbb{C}$

1. if  $k = 1$  then
2.     return  $z$
3. else
4.     return  $z\text{Mand}_{k-1}(z)^2 + 1$



$k = 6$  (deg = 63)

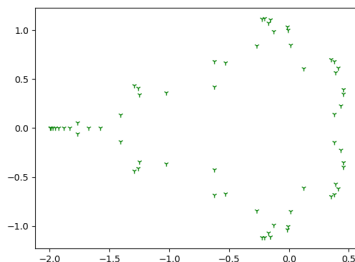
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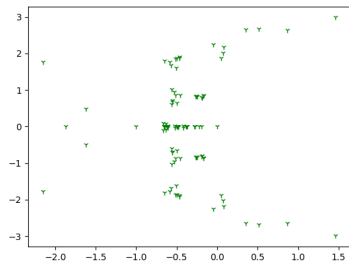
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$k = 6$  (deg = 63)



$k = 8$  (deg = 170)

**Procedure:**  $\text{Runn}_k(z)$

**Input:**  $k \in \mathbb{N}, z \in \mathbb{C}$

**Output:**  $r \in \mathbb{C}$

1. if  $k = 0$  then
2.     return 1
3. else if  $k = 1$  then
4.     return  $z$
5. else
6.     return  $\text{Runn}_{k-1}(z)^2 + z\text{Runn}_{k-2}(z)^4$



## Results (II)

**Ccluster**: version of [IPY18]

$t_1$ : time

**CclusterR**: Ccluster for polynomials in  $\mathbb{R}[z]$

$t_2$ : time

**CclusterP**: CclusterR with  $P^*$ -test as a filter

$t_3$ : time

	Ccluster (#Clus, #Sols)	$t_1$	CclusterR $t_1/t_2$	CclusterP $t_3$ $t_2/t_3$	
Mand <sub>6</sub>	(63, 63)	0.99	1.69	0.44	1.30
Mand <sub>7</sub>	(127, 127)	7.17	1.62	2.88	1.52
Mand <sub>8</sub>	(255, 255)	40.6	1.71	15.1	1.56
Runn <sub>7</sub>	(54, 85)	2.15	1.58	0.97	1.39
Runn <sub>8</sub>	(107, 170)	13.3	1.61	6.51	1.26
Runn <sub>9</sub>	(214, 341)	76.2	1.70	32.2	1.38

sequential times in s. on a Intel(R) Core(TM) i7-7600U CPU @ 2.80GHz machine with Linux

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Mand <sub>6</sub>	(63, 63)	0.99	1.69	0.44   1.30	0.01
Mand <sub>7</sub>	(127, 127)	7.17	1.62	2.88   1.52	0.06
Mand <sub>8</sub>	(255, 255)	40.6	1.71	15.1   1.56	0.39
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Runn <sub>8</sub>	(107, 170)	13.3	1.61	6.51   1.26	0.04
Runn <sub>9</sub>	(214, 341)	76.2	1.70	32.2   1.38	0.32

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Thank you for your attention!