

Factorization Theory of Matrices

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<http://www-rohan.sdsu.edu/~vadim/matrices.pdf>



Motivation

Factorization Theory \cap Matrix Theory = ?

Joint work with:

Donald Adams, Rene Ardila, David Hannasch, Audra Kosh, Hanah McCarthy, Ryan Rosenbaum
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Strategy

Choose a collection of square matrices:

- Interesting
- Multiplicatively closed and atomic

Study arithmetic properties:

- units
- atoms
- factorization of arbitrary elements
- factorization invariants



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Ideas from Factorization Theory

S multiplicatively closed set.

$u \in S$ is a **unit** if there is $v \in S$ and $uv = 1$. S^\times

$a \in S$ is an **atom** if $a \notin (S - S^\times)(S - S^\times)$. $\mathcal{A}(S)$

For $x \in S - S^\times$, set $\mathcal{L}(x) = \{t : x = a_1 \cdots a_t, a_i \in \mathcal{A}(S)\}$.

Set $L(x) = \max \mathcal{L}(x)$, $l(x) = \min \mathcal{L}(x)$, $\rho(x) = L(x)/l(x)$.

S is **half-factorial** if $l(x) = L(x)$; S is **bifurcus** if $l(x) \leq 2$.
(for all $x \in S - S^\times$)

Set $\Delta(x) = \{d : t_1, t_2 \in \mathcal{L}(x), \text{ consecutive, } t_2 - t_1 = d\}$.

Set $\rho(S) = \sup \rho(x)$, $\Delta(S) = \bigcup \Delta(x)$. (over all $x \in S$)

others...?



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Choosing S

Today, will consider only subsets of $M_n(\mathbb{Z})$, for $n \in \mathbb{N}$.

Natural restrictions:

- Replace \mathbb{Z} with sub-semiring, e.g. \mathbb{N} , \mathbb{N}_0 , $m\mathbb{Z}$, $m\mathbb{N}$
- Determinants in some multiplicative subsemigroup of \mathbb{Z} , e.g. $0, \mathbb{Z}^\times, \mathbb{N}, m\mathbb{Z}, \mathbb{Z}^\bullet$ (no zero divisors), composites
- Matrix structure



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Matrix Structure

$A = (a_{i,j})$ is:

- Triangular, if $a_{i,j} = 0$ for $i > j$.
- Unitriangular, if triangular and $a_{i,i} = 1$.
- Gaussian, if unitriangular and $\exists k, a_{i,j} = 0$ for $j \neq k, i$.
- Rank 1, if there is exactly one nonzero eigenvalue.
- Single-valued, if for some k , all $a_{i,j} = k$.
- Bistochastic, if all row and column sums are equal,
i.e. $\sum_i a_{i,j} = \sum_j a_{i,j}$



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Previous Work

[1966 Jacobson Wisner] $S = M_2(\mathbb{N}_0)$ with determinant=1.
Then $L = \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix}$, $R = \begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}$ are the only atoms, and every $x \in S$ has unique factorization.

Also, $S = M_2(\mathbb{Z})$ with determinant=1 has no atoms.

[1985 Chuan Chuan] $S = M_2(\mathbb{N})$ with determinant=1.
 $x \in S$ is an atom exactly when at least one of its entries is 1. Some atoms have two 1's in a row A_r , some atoms have two 1's in a column A_c . Canonical factorizations were found maximizing the number of atoms from A_r, A_c , which is the same. However, S is not half-factorial.

Conjectures: $\rho(S) \leq 2, \Delta(S) = 1$.



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Transfer Homomorphisms

S as before, T a semigroup, $\eta : S \rightarrow T$ a homomorphism.

Certainly $\eta(s_1 s_2) = \eta(s_1)\eta(s_2)$ because η is a homomorphism; η is transfer if the “converse” holds, i.e.:

If $\eta(s) = t_1 t_2$ with $t_1, t_2 \in T - T^\times$, then we can find $s_1, s_2 \in S - S^\times$ with $s = s_1 s_2$ and $t_1 = \eta(s_1), t_2 = \eta(s_2)$.

Factorization in S follows factorization in T .



Transfer Examples

Determinant is multiplicative, a homomorphism from S to \mathbb{Z} .

Therefore: $|u| = 1$ for all units $u \in S$. (don't need transfer)

Thm. $\det: M_n(\mathbb{Z})^\bullet \rightarrow \mathbb{Z}^\bullet$ is a transfer homomorphism.
atoms, $L(A) = I(A)$, half-factorial

Thm. $\det: T_n(\mathbb{Z})^\bullet \rightarrow \mathbb{Z}^\bullet$ is a transfer homomorphism.



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Restricting Determinant

Let S be those elements of $\{M_n(\mathbb{Z})^\bullet, T_n(\mathbb{Z})^\bullet\}$ whose determinant is in a multiplicatively closed subset $T \subseteq \mathbb{Z}^\bullet$. Then $\det: S \rightarrow T$ is transfer.

- $T = \{x : x > 1\}$
- $T = \{x : x \text{ is composite} \}$

Let $r : \mathbb{Z}^\bullet \rightarrow \mathbb{N}_0$ counts prime factors (with multiplicity).

Thm. $r : T \rightarrow \langle 2, 3 \rangle$ is a transfer homomorphism, where $\langle 2, 3 \rangle$ is a subsemigroup of $(\mathbb{N}_0, +)$

atoms, $L(A) = \lfloor \frac{r(|A|)}{2} \rfloor$, $l(a) = \lceil \frac{r(|A|)}{3} \rceil$,
 $\rho(S) = 1.5$, $\Delta(S) = \{1\}$.



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Determinant in $m\mathbb{Z}$

Fix $m > 0$ and let $T = m\mathbb{Z}$.

For $x, y \in \mathbb{Z}^\bullet$, let $\nu_y(x) = \max\{s : y^s | x\}$.

Thm. Let $A \in S$. Then:

- $L(A) = \nu_m(|A|)$
- If m is not a prime power, then S is bifurcus.
- If $m = p^k$ then $l(A) = \lceil \frac{\nu_p(|A|) + 2k - 2}{2k - 1} \rceil$ and $\rho(S) = \frac{2k - 1}{k}$
- $\Delta(S) \subseteq \{1\}$



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Single-valued matrices

Let $S = \{A \in M_n(\mathbb{Z}) : \exists a \in \mathbb{Z}, \forall i, j, a_{i,j} = a\}$. Write $A = [a]$.

Properties: $[a] + [b] = [a + b]$, $[a][b] = [na]$, semiring.

Note that $\phi : S \rightarrow n\mathbb{Z}$ via $\phi([a]) = na$ is a transfer homomorphism.

Thm. Let $[a] \in S^\circ$. Then:

- $L([a]) = \nu_n(a) + 1$
- If n is not a prime power, then S is bifurcus.
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Gaussian Matrices

Let G_n^k be those unitriangular matrices with all nonzero offdiagonal entries located in column k . Commutative(!).
 Let $\phi : G_n^k \rightarrow \mathbb{Z}^{n-k}$ take the entries below the diagonal in column k .

Thm. $\phi : G_n^k(\mathbb{N}_0) \rightarrow \mathbb{N}_0^{n-k}$ is a transfer homomorphism.
 atoms, factorial

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Thm. $\phi : G_n^k(\mathbb{Z}) \rightarrow \mathbb{Z}^{n-k}$ is a transfer homomorphism.
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Gaussian Matrices

Let G_n^k be those unitriangular matrices with all nonzero offdiagonal entries located in column k . Commutative(!). Let $\phi : G_n^k \rightarrow \mathbb{Z}^{n-k}$ take the entries below the diagonal in column k .

Thm. $\phi : G_n^k(\mathbb{N}_0) \rightarrow \mathbb{N}_0^{n-k}$ is a transfer homomorphism.
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Preliminaries

Set $R_n = \{A \in M_n, \text{rank of } A = 1\}$.

Matrix theory: $A \in R_n(\mathbb{Z})$ if and only if there are vectors $u, v \in \mathbb{Z}^n$ with $A = uv^T$.

Note that if $u, v \in \mathbb{N}^n$, then $A \in M_n(\mathbb{N}) = M_n(\mathbb{N})^\bullet$.

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The only proof today

Thm. $A \in R$ is an atom iff $\gcd(A) < n$. Also R is bifurcus.

Proof. Suppose

$$A = A_1 A_2 = (u_1 v_1^T)(u_2 v_2^T) = u_1 (v_1^T u_2) v_2^T = (v_1^T u_2) u_1 v_2^T.$$

Hence $\gcd(A) \geq v_1^T u_2 \geq n$.

Now suppose $\gcd(A) \geq n$; we write $\gcd(A) = x^T y$ for $x^T = [(\gcd(A) - n + 1)1 \cdots 1]$, $y = [11 \cdots 1]^T$. Write $A = \gcd(A)B$ for some $B = uv^T$ with $\gcd(B) = 1$.

$$A = (x^T y) uv^T = u(x^T y) v^T = (ux^T)(yv^T).$$

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$L(A)$ in $R_n(\mathbb{N})$

Fix $A \in R_n(\mathbb{N})$. Factor $\gcd(A) = m_0 m_1 \cdots m_t$ with $1 \leq m_0 < n \leq m_i$ ($i \geq 1$), to maximize t .

Note: If $n = 2$, then $t = r(\gcd(A))$; otherwise $t \leq r(\gcd(A))$.

Thm. $L(A) = t + 1$, where t maximal as above.

Thm. Finding t is an NP-complete problem.



$R_n(m\mathbb{N})$

Fix $m \in \mathbb{N}$, consider $R_n(m\mathbb{N})$.

Thm. Let $A \in R_n(m\mathbb{N})$. A is an atom if and only if:

- $m^2 \nmid \gcd(A)$, or
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$$T_n(m\mathbb{Z})$$

Set $S = T_n(m\mathbb{Z})$, with $n, m \geq 2$.

Thm. Let $A \in S$. Then $L(A) = \nu_m(\gcd(A))$. Also, S is bifurcus.

Contrast with:

- For $S = T_n(\mathbb{Z}), M_n(\mathbb{Z})$ with determinant in $m\mathbb{Z}$, $L(A) = \nu_m(|A|)$ and $m = p^k$ determines ρ .
- For $S = \{[a] : a \in \mathbb{Z}\}$, $L(A) = \nu_n(a) + 1$ and $n = p^k$ determines ρ .



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Unitriangular Matrices

Set S to be the set of n -triangular matrices with 1 along the diagonal.

For $A \in S(\mathbb{N}_0)$, set $\sigma(A) = \sum_{i < j} a_{i,j}$.

Thm. For $A \in S(\mathbb{N}_0)$, $L(A) = \sigma(A)$.

Thm. If $n = 2$ then $S(\mathbb{N}_0)$ is factorial; if $n \geq 3$ then $\rho(S(\mathbb{N}_0)) = \infty$.

Open: $l(A), \Delta(A)$

Thm. Let $n \geq 4$. Then $S(\mathbb{N})$ is bifurcus.

Note: $n = 2$ Gaussian, but $n = 3$ is open



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$T_2(\mathbb{N})$

$$S = \left\{ \begin{pmatrix} a & b \\ 0 & c \end{pmatrix} \right\}, \text{ with } a, b, c \in \mathbb{N}.$$

Thm. Let $A \in S$. Then $L(A) = b$. Also, $\rho(S) = \infty$ and $p - 1 \in \Delta(S)$ for every rational prime p .

Conjecture: $\Delta(S) = 2\mathbb{N} \cup \{1\}$.

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$T_2(\mathbb{N}_0)^\bullet$

$S = \left\{ \begin{pmatrix} a & b \\ 0 & c \end{pmatrix} \right\}$, with $a, b, c \in \mathbb{N}_0$, $ac \neq 0$.

Thm. $\mathcal{A}(S)$ are $\begin{pmatrix} 1 & 1 \\ 0 & 1 \end{pmatrix}$, $\begin{pmatrix} 1 & 0 \\ 0 & p \end{pmatrix}$, $\begin{pmatrix} p & 0 \\ 0 & 1 \end{pmatrix}$ (p rational prime).

Recall $r(x)$ counts prime factors of x by multiplicity.

Thm. Let $A = \begin{pmatrix} a & b \\ 0 & c \end{pmatrix} \in S$. Then $L(A) = r(ac) + b$.
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Bistochastic 2-matrices

$$S = \left\{ \begin{pmatrix} a & b \\ b & a \end{pmatrix} \right\}, \text{ with } a, b \in \mathbb{N}.$$

Suppose $|A|$ is odd. Then $a \equiv b \pmod{2}$. Set $u = \frac{a+b}{2}$, $v = \frac{a-b}{2}$. Note that $u, v \in \mathbb{Z}$ with $u \geq |v| + 2$ and $u \equiv v \pmod{2}$. Write $A = [u, v]$.

Thm. $[u, v][x, y] = [ux, vy]$, $|A| = uv$. Let $d \in \mathbb{Z}$ be odd. If d is a square then there are no atoms with determinant d ; otherwise there is exactly one atom with determinant d .

Preliminary Problem: Find atoms with determinant d .

Conjecture: If d is a square, then one if $16|d$, none if $16 \nmid d$. If d is a nonsquare, then two if $16|d$, one if $16 \nmid d$.

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