

# Sets of matrix polynomials with bounded rank and degree and their generic eigenstructures

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Online Seminar in Linear Algebra and  
Operator Theory (Oselot)

June 25, 2020



## Setting (I): The ambient vector space and its metric

- We will consider the vector space

$$\text{POL}_d^{m \times n} := \left\{ \begin{array}{l} m \times n \text{ complex matrix polynomials} \\ \text{with degree at most } d \end{array} \right\}.$$

- The Euclidean distance in  $\text{POL}_d^{m \times n}$  is defined as follows. Given

$$P(\lambda) = \lambda^d P_d + \cdots + \lambda P_1 + P_0 \in \text{POL}_d^{m \times n}, \quad (P_i \in \mathbb{C}^{m \times n}),$$

$$Q(\lambda) = \lambda^d Q_d + \cdots + \lambda Q_1 + Q_0 \in \text{POL}_d^{m \times n}, \quad (Q_i \in \mathbb{C}^{m \times n}),$$

$$\rho(P, Q) := \sqrt{\sum_{i=0}^d \|P_i - Q_i\|_F^2}.$$

- It makes  $\text{POL}_d^{m \times n}$  a metric space and we can consider closures of subsets of  $\text{POL}_d^{m \times n}$ , as well as any other topological concept.
- The closure of any set  $\mathcal{A}$  is denoted by  $\overline{\mathcal{A}}$ .

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## Setting (II): The subsets of $\text{POL}_d^{m \times n}$ studied in this talk

- Our main goal is to describe the sets

$$\text{POL}_{d,r}^{m \times n} := \left\{ \begin{array}{l} m \times n \text{ complex matrix polynomials} \\ \text{with degree at most } d \\ \text{and (normal) rank at most } r \end{array} \right\} \subseteq \text{POL}_d^{m \times n},$$

- where  $r$  is a fixed positive integer such that
  - $r \leq \min\{m, n\}$ , if  $m \neq n$ ,
  - $r \leq (n - 1)$ , if  $m = n$ .
- This means that we consider sets of singular polynomials.
- The set  $\text{POL}_{d,r}^{m \times n}$  contains matrix polynomials with many different properties, but **generically** (most of the times) the matrix polynomials of  $\text{POL}_{d,r}^{m \times n}$  have just a few possible eigenstructures.
- In this talk, **generically** means that “all the matrix polynomials in an open dense subset of  $\text{POL}_{d,r}^{m \times n}$  have just a few possible eigenstructures”.
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## Setting (III): Reminder about the eigenstructure of matrix polynomials (1)

- Matrix polynomials have finite and infinite eigenvalues and, when they are singular, also **left and right minimal indices**.
- **Example:**

$$P(\lambda) = \left[ \begin{array}{ccccc|c} \lambda & -\lambda^4 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & -\lambda & 0 & 0 \\ 0 & 0 & 0 & 1 & -\lambda & 0 \\ \hline 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 & 0 & \lambda^2 \end{array} \right] \in \mathbb{C}[\lambda]^{6 \times 6}, \quad \deg P(\lambda) = 4.$$

- $\text{rank}_{\mathbb{C}(\lambda)} P(\lambda) = 4 \quad (\det P(\lambda) \equiv 0)$ .
- $\text{rank}_{\mathbb{C}} P(0) = 3 \implies \lambda = 0$  is an eigenvalue (partial multiplicities 0, 0, 0, 1).
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- Bases of right and left rational null spaces of  $P(\lambda)$ :

$$B_{\text{right}} = \left\{ \begin{bmatrix} \lambda^3 \\ 1 \\ 0 \\ 0 \\ 0 \\ 0 \end{bmatrix}, \begin{bmatrix} 0 \\ 0 \\ \lambda^2 \\ \lambda \\ 1 \\ 0 \end{bmatrix} \right\} \quad \text{and} \quad B_{\text{left}} = \left\{ \begin{bmatrix} 0 \\ 0 \\ 0 \\ 0 \\ \lambda^2 \\ -1 \end{bmatrix}, \begin{bmatrix} 0 \\ 0 \\ 0 \\ 1 \\ -1 \\ 0 \end{bmatrix} \right\}$$

- There are many other polynomial bases but each of these ones have minimal sum of the degrees of its vectors.
- Thus, right minimal indices of  $P(\lambda)$  are  $\{3, 2\}$  and left minimal indices of  $P(\lambda)$  are  $\{2, 0\}$ .

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## Setting (IV): Main “informal” results of this talk

**Generically** a matrix polynomial in  $\text{POL}_{d,r}^{m \times n}$

- does not have eigenvalues,
- that is, its eigenstructure has only minimal indices,
- its left minimal indices differ at most by one (they try to be as equal as possible),
- and, its right minimal indices also differ at most by one (they also try to be as equal as possible).
- We refer to this property as “the minimal indices are generically almost homogeneous”.

Of course, these properties do not tell the whole story since the generic possible values of the minimal indices have to be determined.

- **Structured matrix polynomials** (in this talk, symmetric and skew-symmetric) may have different properties but the fact that “the minimal indices are generically almost homogeneous” seems to be universal.

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- **Structured matrix polynomials** (in this talk, symmetric and skew-symmetric) may have different properties but the fact that “the minimal indices are generically almost homogeneous” seems to be universal.

## Setting (IV): Main “informal” results of this talk

**Generically** a matrix polynomial in  $\text{POL}_{d,r}^{m \times n}$

- does not have eigenvalues,
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## Setting (V): Motivation for the problems considered in this talk

- Many papers have studied (many very recently) the effect of “low rank” perturbations on the eigenstructure of **matrices, pencils of matrices and linear operators**
- from many different perspectives: generic, nongeneric, for several classes of structured matrices and pencils, etc.
- Some names involved in this research area are: Azizov, Baragaña, Batzke, Behrndt, De Terán, Dodig, D., Gernandt, Hörmander, Leben, Marques de Sá, Martínez-Pería, Mehrmann, Melin, Moro, Möws, Philipp, Roca, Rodman, Trunk, Savchenko, Silva, Stošić, Thompson, Winkler, Zaballa, ...
- However, there are essentially no papers on the effect of “low rank” perturbations on the complete eigenstructure of **matrix polynomials of given degree**, which is a more difficult problem.
- We think that such difficulty is related to the fact that for any fixed (low) rank the structure of the set of matrix polynomials that have (at most) that given rank and a certain bounded degree is not well understood.
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### Theorem (Van Dooren, 1978)

Let  $P(\lambda)$  be a matrix polynomial of *degree  $d$  and normal rank  $r$* . Then, the sum of the partial multiplicities of all the eigenvalues (infinity included) of  $P(\lambda)$  plus the sum of all the minimal indices of  $P(\lambda)$  is equal to  *$d r$* .

Questions, comments, clarifications, so far?

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# Matrix pencils and Kronecker Canonical Form

- **All the  $m \times n$  pencils with the same complete eigenstructure form an orbit** under strict equivalence:

$$\mathcal{O}(\lambda A + B) := \{P(\lambda A + B)Q \mid \det P \cdot \det Q \neq 0\}.$$

- The complete eigenstructure of a pencil is determined by its **Kronecker canonical form (KCF)** under strict equivalence, which is a direct sum of four types of canonical matrix pencils:
- the regular  $k \times k$  Jordan blocks for **finite and infinite eigenvalues**

$$\mathcal{J}_k(\mu) := \begin{bmatrix} \lambda - \mu & 1 & & \\ & \lambda - \mu & \ddots & \\ & & \ddots & 1 \\ & & & \lambda - \mu \end{bmatrix}, \quad \mathcal{J}_k(\infty) := \begin{bmatrix} 1 & \lambda & & \\ & 1 & \ddots & \\ & & \ddots & \lambda \\ & & & 1 \end{bmatrix} \quad k = 1, 2, 3, \dots$$

- the singular  $k \times (k + 1)$  and  $(k + 1) \times k$  blocks for right and left **minimal indices** of value  $k$

$$\mathcal{L}_k := \begin{bmatrix} \lambda & 1 & & \\ & \ddots & \ddots & \\ & & \lambda & 1 \end{bmatrix}, \quad \mathcal{L}_k^T, \quad k = 0, 1, 2, \dots$$

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# The set of matrix pencils with rank at most $r$

## Theorem (De Terán and D., SIMAX, 2008)

Let  $m, n$ , and  $r$  be integers such that  $m, n \geq 2$  and  $1 \leq r \leq \min\{m, n\} - 1$ . Then

$$\text{POL}_{1,r}^{m \times n} = \left\{ \begin{array}{l} m \times n \text{ complex matrix pencils} \\ \text{with rank at most } r \end{array} \right\} = \bigcup_{0 \leq a \leq r} \overline{O}(\mathcal{K}_a),$$

where the  $m \times n$  complex matrix pencils  $\mathcal{K}_a, a = 0, 1, \dots, r$ , have rank  $r$  and the KCF

$$\mathcal{K}_a = \text{diag} \left( \begin{array}{cc} \overbrace{\mathcal{L}_{\alpha+1}, \dots, \mathcal{L}_{\alpha+1}, \mathcal{L}_{\alpha}, \dots, \mathcal{L}_{\alpha}}^{\text{right minimal indices}} & \overbrace{\mathcal{L}_{\beta+1}^T, \dots, \mathcal{L}_{\beta+1}^T, \mathcal{L}_{\beta}^T, \dots, \mathcal{L}_{\beta}^T}^{\text{left minimal indices}} \\ \underbrace{\hspace{10em}}_{s} & \underbrace{\hspace{10em}}_{t} \\ \underbrace{\hspace{10em}}_{\text{rank}=a} & \underbrace{\hspace{10em}}_{\text{rank}=r-a} \end{array} \right)$$

with  $\alpha = \lfloor a/(n-r) \rfloor$  and  $s = a \bmod (n-r)$ ,

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Moreover,  $\overline{O}(\mathcal{K}_a) \cap O(\mathcal{K}_{a'}) = \emptyset$  whenever  $a \neq a'$  (but  $\overline{O}(\mathcal{K}_a) \cap \overline{O}(\mathcal{K}_{a'}) \neq \emptyset$ ).

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$\bigcup_{0 \leq a \leq r} \text{O}(\mathcal{K}_a)$  is an open dense subset of  $\text{POL}_{1,r}^{m \times n}$  (in the topology of  $\text{POL}_{1,r}^{m \times n}$ ). So,

**generically, the  $m \times n$  pencils with rank at most  $r$  have only  $r + 1$  possible KCFs given by  $\mathcal{K}_a$  for  $a = 0, 1, \dots, r$ .**

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# Complete eigenstructure of matrix polynomials

$$P(\lambda) = \lambda^d P_d + \cdots + \lambda P_1 + P_0, \quad P_i \in \mathbb{C}^{m \times n}$$

- **Essentially the same as in pencils** but definitions more complicated since there is NOT KCF.
- **Finite and infinite eigenvalues and their elementary divisors** defined with Smith Form under unimodular equivalence of  $P(\lambda)$  and  $\text{rev}P(\lambda)$ :

$$U(\lambda)P(\lambda)V(\lambda) = \text{diag}(g_1(\lambda), \dots, g_r(\lambda)) \oplus 0_{(m-r) \times (n-r)}, \quad g_j(\lambda) \mid g_{j+1}(\lambda).$$

Invariant polynomials:  $g_j(\lambda) = (\lambda - \alpha_1)^{\delta_{j1}} \cdot (\lambda - \alpha_2)^{\delta_{j2}} \cdot \dots \cdot (\lambda - \alpha_{l_j})^{\delta_{jl_j}}$ .

Elementary divisors:  $(\lambda - \alpha_k)^{\delta_{jk}}$ .

- **Left and right minimal indices** defined through the minimal bases of left and right rational null spaces of  $P(\lambda)$ :

$$\mathcal{N}_{\text{left}}(P) := \{y(\lambda)^T \in \mathbb{C}(\lambda)^{1 \times m} : y(\lambda)^T P(\lambda) = 0_{1 \times n}\},$$

$$\mathcal{N}_{\text{right}}(P) := \{x(\lambda) \in \mathbb{C}(\lambda)^{n \times 1} : P(\lambda)x(\lambda) = 0_{m \times 1}\}.$$

- **The definition of orbit does not involve a group action**

$$\mathcal{O}(P) = \left\{ \begin{array}{l} \text{matrix polynomials of the same size, degree,} \\ \text{and with the same complete eigenstructure as } P(\lambda) \end{array} \right\}$$

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# Complete eigenstructure of matrix polynomials

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# The set of matrix polynomials with degree at most $d$ and rank at most $r$

## Theorem (Dmytryshyn and D., LAA, 2017)

Let  $m, n, r$  and  $d$  be integers such that  $m, n \geq 2$ ,  $d \geq 1$  and  $1 \leq r \leq \min\{m, n\} - 1$ . Then

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where the  $m \times n$  complex matrix polynomial  $K_a, a = 0, 1, \dots, rd$ , has

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$\bigcup_{0 \leq a \leq rd} \mathcal{O}(K_a)$  is an open dense subset of  $\text{POL}_{d,r}^{m \times n}$  (in the topology of  $\text{POL}_{d,r}^{m \times n}$ ). So,

**generically, the  $m \times n$  matrix polys with degree at most  $d$  and with rank at most  $r$  have only  $rd + 1$  possible complete eigenstructures given by  $K_a$  for  $a = 0, 1, \dots, rd$ .**

## Corollaries 1 and 2 of previous MAIN theorem: Analytical interpretation

Let  $m, n, r$  and  $d$  be integers such that  $m, n \geq 2$ ,  $d \geq 1$ , and  $1 \leq r \leq \min\{m, n\} - 1$ .

### Corollary

For every  $M \in \text{POL}_{d,r}^{m \times n}$  and every  $\varepsilon > 0$  there exists  $M' \in \text{POL}_{d,r}^{m \times n}$  such that

- 1  $M'$  has the complete eigenstructure  $\mathbf{K}_a$  for some  $a \in \{0, 1, \dots, rd\}$  and
- 2  $d(M, M') < \varepsilon$ .

### Corollary

Let  $a \in \{0, 1, \dots, rd\}$ . Then for every  $M' \in \text{POL}_{d,r}^{m \times n}$  with the complete eigenstructure  $\mathbf{K}_a$ , there exists  $\varepsilon > 0$  such that all the matrix polynomials in

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## Corollary 3 of MAIN theorem: the set of SQUARE singular matrix polynomials with degree at most $d$

**Remark:** an  $n \times n$  matrix polynomial is singular if and only if its rank is at most  $n - 1$ .

Corollary (The main theorem with  $m = n$  and  $r = n - 1$ )

$$\left\{ \begin{array}{l} \text{singular } n \times n \text{ complex matrix} \\ \text{polynomials of degree at most } d \end{array} \right\} = \bigcup_{0 \leq a \leq (n-1)d} \overline{O}(K_a),$$

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## Comments on the proof of the main theorem (I)

- The proof is delicate.
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## The first Frobenius companion form

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$$\mathcal{C}_P^1 = \lambda \begin{bmatrix} A_d & & & \\ & I_n & & \\ & & \ddots & \\ & & & I_n \end{bmatrix} + \begin{bmatrix} A_{d-1} & A_{d-2} & \cdots & A_0 \\ -I_n & 0 & \cdots & 0 \\ & \ddots & \ddots & \vdots \\ 0 & & -I_n & 0 \end{bmatrix}$$

- $\mathcal{C}_P^1$  has size  $(m + n(d-1)) \times nd$ .
- $\mathcal{C}_P^1$  and  $P$  have the same finite and infinite elementary divisors.
- The left minimal indices of  $\mathcal{C}_P^1$  are equal to those of  $P$ .
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## The set $\text{POL}_d^{m \times n}$ when $m < n$

- In this case, the set  $\text{POL}_d^{m \times n}$  is equal to  $\text{POL}_{d,m}^{m \times n}$ , i.e., the set of matrix polynomials of rank at most  $m$ ,
- but main result assumes (and uses)  $r \leq \min\{m, n\} - 1$ . Nevertheless,
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Theorem (Dmytryshyn and D., LAA, 2017)

$$\text{POL}_d^{m \times n} = \overline{\text{O}}(K_{rp}),$$

where  $K_{rp}$  is an  $m \times n$  complex matrix polynomial of degree exactly  $d$  and rank exactly  $m$  with the complete eigenstructure

$$\mathbf{K}_{rp} : \overbrace{\{\alpha + 1, \dots, \alpha + 1, \alpha, \dots, \alpha\}}^{\text{right minimal indices}},$$

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with  $\alpha = \lfloor md / (n - m) \rfloor$  and  $s = md \bmod (n - m)$ .

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Questions, comments, clarifications, so far?

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## A few properties of skew-symmetric matrix polynomials

- **Definition:**  $P(\lambda) = \lambda^d A_d + \dots + \lambda A_1 + A_0$  with  $A_i^T = -A_i \in \mathbb{C}^{m \times m}$ .
- Skew-symmetric matrix polynomials with size  $m \times m$  and degree at most  $d$  form a vector space and we can define on it the same Euclidean distance as before.
- Their **rank is always even**.
- Their **invariant polynomials are paired-up and their left minimal indices are equal to the right ones** (Mackey, Mackey, Mehl, Mehrmann, LAA, 2013).
- **When the (at most) degree is odd, they can be always strongly linearized through a skew-symmetric block-tridiagonal companion form** (Antoniou-Vologianidis, ELA, 2004 and Mackey et al, LAA, 2013) **that allows us to recover via a shift the minimal indices of the polynomial** (Dmytryshyn, LAA, 2017).



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## Theorem (Dmytryshyn and D., LAA, 2018)

Let  $m, r$  and  $d$  be integers such that  $m \geq 2$ ,  $d \geq 1$  is odd, and  $2 \leq 2r \leq (m - 1)$ .  
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The effect of imposing structure is dramatic since in the skew-symmetric case **there is only one** generic eigenstructure compared to the  $(2r)d + 1$  generic eigenstructures of the unstructured case.

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## A few properties of symmetric matrix polynomials

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## Definition and example of bundle

### Definition (Bundle of a symmetric polynomial)

The bundle of a symmetric matrix polynomial  $P(\lambda)$  is defined as

$$B(P) = \left\{ \begin{array}{l} \text{symmetric matrix polynomials with the same size and grade,} \\ \text{and with the same complete eigenstructure as } P(\lambda), \\ \text{except that the values of the eigenvalues are unspecified} \end{array} \right\}$$

### Example

$$P(\lambda) = \begin{bmatrix} (\lambda - 1)(\lambda - 2) & 0 & 0 & 0 \\ 0 & 0 & 0 & \lambda^2 \\ 0 & 0 & 0 & 1 \\ 0 & \lambda^2 & 1 & 0 \end{bmatrix}, \quad Q(\lambda) = \begin{bmatrix} (\lambda - 6)(\lambda - 7) & 0 & 0 & 0 \\ 0 & 0 & 0 & \lambda^2 \\ 0 & 0 & 0 & 1 \\ 0 & \lambda^2 & 1 & 0 \end{bmatrix}$$

#### Complete eigenstructure

$(\lambda - 1), (\lambda - 2)$  elementary divisors  
2 is the unique left minimal index  
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# The set of symmetric polys with degree at most $d$ and rank at most $r$

## Theorem (De Terán, Dmytryshyn and D., to appear, SIMAX, 2020)

Let  $n, r$  and  $d$  be integers such that  $n \geq 2$ ,  $d \geq 1$  is odd, and  $1 \leq r \leq (n-1)$ . Then

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The effect of imposing the symmetric structure is very strong in two senses:

- **There are only  $\lfloor \frac{rd}{2} \rfloor + 1$  generic eigenstructures** instead of  $rd + 1$ .
- **The generic eigenstructures include eigenvalues.**

Questions, comments, clarifications, so far?

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# Generic eigenstructures of sets of general and structured matrix polynomials with bounded rank and degree: Solved and Open problems

In table:  $r$  = rank,  $d$  = degree, # = number of generic eigenstructures.

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<b>T-(anti)palindromic</b>	De Terán, 2018, # = 1	open
<b>T-even and odd</b>	De Terán, 2018, # = 1	open
<b>Symmetric</b>	De Terán, Dmytryshyn and D., 2019 $\lfloor r/2 \rfloor + 1$	De Terán, Dmytryshyn and D., 2020 ( $d$ <b>odd</b> ) $\lfloor rd/2 \rfloor + 1$
<b>Hermitian</b>	open	open

F. De Terán, [A geometric description of the sets of palindromic and alternating matrix pencils with bounded rank](#), SIAM J. Matrix Anal. Appl., 39 (2018) 1116–1134.

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- Any  $m \times n$  constant matrix  $A$  of rank  $r$  can be written as

$$A = LR, \quad \text{where} \quad \begin{cases} L \text{ is } m \times r \text{ and } \text{rank } L = r, \\ R \text{ is } r \times n \text{ and } \text{rank } R = r. \end{cases}$$

- The idea is to get a similar description of  $\text{POL}_{d,r}^{m \times n}$  but the degree of the factors makes the problem not trivial: it might be cancellations of “high degrees”, how to distribute degrees between the factors, etc.
- Nevertheless, generically, i.e., using closures of open dense sets, we can prove that if  $P(\lambda) \in \text{POL}_{d,r}^{m \times n}$

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where

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- $\deg \text{col}_i(L(\lambda)) + \deg \text{row}_i(R(\lambda)) = d$ , for  $i = 1, \dots, r$ .

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## The precise result

### Theorem (Dmytryshyn, D., and Van Dooren, in progress, ...)

$$\text{POL}_{d,r}^{m \times n} = \left\{ \begin{array}{l} m \times n \text{ complex matrix polynomials} \\ \text{with degree at most } d, \text{ with rank at most } r \end{array} \right\} = \bigcup_{0 \leq a \leq rd} \overline{\mathcal{B}}_a,$$

where, for  $a = 0, 1, \dots, rd$ ,

$$\mathcal{B}_a := \left\{ L(\lambda)R(\lambda) : \begin{array}{l} L(\lambda) \in \mathbb{C}[\lambda]^{m \times r}, R(\lambda) \in \mathbb{C}[\lambda]^{r \times n}, \\ \deg \text{row}_i(R) = d_R + 1, \quad \text{for } i = 1, \dots, t_R, \\ \deg \text{row}_i(R) = d_R, \quad \text{for } i = t_R + 1, \dots, r, \\ \deg \text{col}_i(L) = d - \deg \text{row}_i(R), \quad \text{for } i = 1, \dots, r \end{array} \right\},$$

with  $d_R = \lfloor a/r \rfloor$  and  $t_R = a \bmod r$ . Moreover,

$$\overline{\mathcal{B}}_a = \overline{\mathcal{O}}(K_a),$$

where  $K_a$  are the  $m \times n$  matrix polynomials of degree exactly  $d$  and rank exactly  $r$  with the generic eigenstructures defined in the first part of the talk.

A. Dmytryshyn, F.M. Dopico, and P. Van Dooren, [Generic minimal rank and degree factorizations for sets of matrix polynomials with bounded rank and degree](#), in preparation.

## Theorem (Dmytryshyn, D., and Van Dooren, in progress, ...)

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## The precise result

### Theorem (Dmytryshyn, D., and Van Dooren, in progress, ...)

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where, for  $a = 0, 1, \dots, rd$ ,

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A. Dmytryshyn, F.M. Dopico, and P. Van Dooren, [Generic minimal rank and degree factorizations for sets of matrix polynomials with bounded rank and degree](#), in preparation.

THANK YOU VERY MUCH FOR YOUR ATTENTION!!