# Upper and Lower Degree Bounds for Generating Invariants

Harm Derksen (University of Michigan) joint work with Visu Makam (IAS)

Geometric Methods in Representation Theory November 17, 2018

## Invariant Theory

```
K = \mathbb{C} base field G reductive algebraic group (e.g., GL_n, semi-simple, finite,...) V n-dimensional representation of G \mathbb{C}[V] ring of polynomial functions on V
```

## Invariant Theory

```
K = \mathbb{C} base field G reductive algebraic group (e.g., GL_n, semi-simple, finite,...) V n-dimensional representation of G \mathbb{C}[V] ring of polynomial functions on V
```

G acts on  $\mathbb{C}[V]$ 

#### Definition

$$\mathbb{C}[V]^G = \{ f \in \mathbb{C}[V] \mid \forall g \in G \ g \cdot f = f \}$$
 invariant ring

## Invariant Theory

```
K = \mathbb{C} base field
```

*G* **reductive** algebraic group (e.g.,  $GL_n$ , semi-simple, finite,...)

V *n*-dimensional representation of G

 $\mathbb{C}[V]$  ring of polynomial functions on V

G acts on  $\mathbb{C}[V]$ 

#### Definition

$$\mathbb{C}[V]^G = \{ f \in \mathbb{C}[V] \mid \forall g \in G \ g \cdot f = f \}$$
 invariant ring

## Theorem (Hilbert 1890)

 $\mathbb{C}[V]^G$  is a finitely generated  $\mathbb{C}$ -algebra

#### Definition

 $\beta_G(V) = \min\{d \mid \mathbb{C}[V]^G \text{ generated by invariants of degree} \le d\}$ 

#### Definition

 $\beta_{\mathcal{G}}(V) = \min\{d \mid \mathbb{C}[V]^{\mathcal{G}} \text{ generated by invariants of degree} \leq d\}$ 

When do we have "polynomial" bounds for  $\beta_G(V)$ ?

#### Definition

 $\beta_{\mathcal{G}}(V) = \min\{d \mid \mathbb{C}[V]^{\mathcal{G}} \text{ generated by invariants of degree} \leq d\}$ 

When do we have "polynomial" bounds for  $\beta_G(V)$ ?

Example: 
$$\mathsf{SL}_2$$
 acts on  $V_d = \{a_0 X^d + a_1 X^{d-1} Y + \dots + a_d Y^d\}$  (binary forms of degree  $d$ )  $K[V_d] = K[a_0, a_1, \dots, a_d]$   $K[V_2]^{\mathsf{SL}_2} = K[a_1^2 - 4a_0a_2]$ 

#### Definition

 $\beta_G(V) = \min\{d \mid \mathbb{C}[V]^G \text{ generated by invariants of degree} \le d\}$ 

When do we have "polynomial" bounds for  $\beta_G(V)$ ?

Example: 
$$\mathsf{SL}_2$$
 acts on  $V_d = \{a_0 X^d + a_1 X^{d-1} Y + \dots + a_d Y^d\}$  (binary forms of degree  $d$ )  $K[V_d] = K[a_0, a_1, \dots, a_d]$   $K[V_2]^{\mathsf{SL}_2} = K[a_1^2 - 4a_0a_2]$ 

## Theorem (C. Jordan 1876)

$$\beta_{\mathsf{SL}_2}(V_d) \leq d^6$$

#### Definition

 $\beta_{\mathcal{G}}(V) = \min\{d \mid \mathbb{C}[V]^{\mathcal{G}} \text{ generated by invariants of degree} \leq d\}$ 

When do we have "polynomial" bounds for  $\beta_G(V)$ ?

Example:  $SL_2$  acts on  $V_d = \{a_0X^d + a_1X^{d-1}Y + \cdots + a_dY^d\}$  (binary forms of degree d)  $K[V_d] = K[a_0, a_1, \dots, a_d]$   $K[V_2]^{SL_2} = K[a_1^2 - 4a_0a_2]$ 

## Theorem (C. Jordan 1876)

$$\beta_{\mathsf{SL}_2}(V_d) \leq d^6$$

Example: G finite, V representation of G

## Theorem (E. Noether 1916)

 $\beta_G(V) \leq |G|$  (constant bound if G fixed)

Example: 
$$T = (\mathbb{C}^{\times})^m$$
 *m*-dimensional torus for  $t = (t_1, \ldots, t_m) \in T$ ,  $a \in \mathbb{Z}^m$  we write  $t^a = t_1^{a_1} \cdots t_m^{a_m}$ 

```
Example: T = (\mathbb{C}^{\times})^m m-dimensional torus for t = (t_1, \ldots, t_m) \in T, a \in \mathbb{Z}^m we write t^a = t_1^{a_1} \cdots t_m^{a_m} V = K^n representations with weights \omega_1, \ldots, \omega_n \in \mathbb{Z}^m t \cdot (x_1, x_2, \ldots, x_n) = (t^{\omega_1} x_1, \ldots, t^{\omega_n} x_n)
```

```
Example: T = (\mathbb{C}^{\times})^m m-dimensional torus for t = (t_1, \ldots, t_m) \in T, a \in \mathbb{Z}^m we write t^a = t_1^{a_1} \cdots t_m^{a_m} V = K^n representations with weights \omega_1, \ldots, \omega_n \in \mathbb{Z}^m t \cdot (x_1, x_2, \ldots, x_n) = (t^{\omega_1} x_1, \ldots, t^{\omega_n} x_n)
```

#### Theorem (D. Wehlau 1993)

 $\beta_T(V) \leq nm! \text{ vol}(C)$ , where C is the convex hull of  $\omega_1, \dots, \omega_n$ 

```
Example: T = (\mathbb{C}^{\times})^m m-dimensional torus for t = (t_1, \ldots, t_m) \in T, a \in \mathbb{Z}^m we write t^a = t_1^{a_1} \cdots t_m^{a_m} V = K^n representations with weights \omega_1, \ldots, \omega_n \in \mathbb{Z}^m t \cdot (x_1, x_2, \ldots, x_n) = (t^{\omega_1} x_1, \ldots, t^{\omega_n} x_n)
```

#### Theorem (D. Wehlau 1993)

 $\beta_{\mathcal{T}}(V) \leq nm! \text{ vol}(\mathcal{C})$ , where  $\mathcal{C}$  is the convex hull of  $\omega_1, \ldots, \omega_n$ 

if T (and m) are fixed, then

$$\beta_T(V) = O(nL^m)$$

where  $L = \max\{\|\omega_1\|, \ldots, \|\omega_n\|\}$ 

V *n*-dim representation of G  $\mathcal{N} = \{v \in V \mid \forall f \in \mathbb{C}[V]^G \ f(v) = f(0)\}$  null cone

#### Definition

 $\sigma_G(V) = \min\{d \mid \mathcal{N} \text{ defined by invariants of degree} \leq d\}$ 

V *n*-dim representation of G $\mathcal{N} = \{ v \in V \mid \forall f \in \mathbb{C}[V]^G \ f(v) = f(0) \}$  null cone

#### Definition

$$\sigma_G(V) = \min\{d \mid \mathcal{N} \text{ defined by invariants of degree} \le d\}$$

## Theorem (D. 2001)

$$\beta_G(V) \le \max\{2, \frac{3}{8}n\sigma_G(V)^2\}$$

 $T \subseteq G^0$  max torus of rank r,  $\omega_1, \ldots, \omega_n$  weights of T acting on V  $L = \max\{\|\omega_1\|, \ldots, \|\omega_n\|\}$ 

Theorem (Kazarnovskii, Popov, Hiss)

$$\sigma_G(V) = O(L^m)$$
, where  $m = \dim G$ 

 $T \subseteq G^0$  max torus of rank r,  $\omega_1, \ldots, \omega_n$  weights of T acting on V  $L = \max\{\|\omega_1\|, \ldots, \|\omega_n\|\}$ 

Theorem (Kazarnovskii, Popov, Hiss)

$$\sigma_G(V) = O(L^m)$$
, where  $m = \dim G$ 

#### Corollary

$$\beta_G(V) = O(nL^{2m})$$

## Non-Constant Symmetric Group

$$G=S_n$$
 acts on  $V_n=\mathbb{C}^n$  by permutations  $\mathbb{C}[V_n]^{S_n}=\mathbb{C}[e_1,\ldots,e_n]$ , where

$$e_k = \sum_{i_1 < i_2 < \cdots < i_k} x_{i_1} x_{i_2} \cdots x_{i_k}$$

is k-th elementary symmetric function, so  $\beta_{S_n}(V_n) = n$ 

## Non-Constant Symmetric Group

$$G=S_n$$
 acts on  $V_n=\mathbb{C}^n$  by permutations  $\mathbb{C}[V_n]^{S_n}=\mathbb{C}[e_1,\ldots,e_n]$ , where

$$\mathsf{e}_k = \sum_{i_1 < i_2 < \dots < i_k} \mathsf{x}_{i_1} \mathsf{x}_{i_2} \cdots \mathsf{x}_{i_k}$$

is k-th elementary symmetric function, so  $\beta_{S_n}(V_n) = n$ 

## Theorem (Göbel 1995)

if 
$$G \subseteq S_n$$
, then  $\beta_G(V_n) \le \max\{n, \binom{n}{2}\}$ 

## Non-Constant Symmetric Group

 $G=S_n$  acts on  $V_n=\mathbb{C}^n$  by permutations  $\mathbb{C}[V_n]^{S_n}=\mathbb{C}[e_1,\ldots,e_n]$ , where

$$e_k = \sum_{i_1 < i_2 < \cdots < i_k} x_{i_1} x_{i_2} \cdots x_{i_k}$$

is k-th elementary symmetric function, so  $\beta_{S_n}(V_n) = n$ 

#### Theorem (Göbel 1995)

if  $G \subseteq S_n$ , then  $\beta_G(V_n) \le \max\{n, \binom{n}{2}\}$ 

For example, for fixed d and  $S_n \subseteq S_{n^d}$  we get

$$\beta_{S_n}(\underbrace{V_n \otimes \cdots \otimes V_n}_{d}) = \beta_{S_n}(V_{n^d}) = O(n^{2d})$$

(for d = 2 one gets graph invariants)



#### Matrix Invariants

 $GL_n$  acts on  $Mat_{n,n}$  by conjugation

## Theorem (Procesi 1976, Razmyslov 1974)

 $\mathbb{C}[\mathsf{Mat}_{n,n}^s]^{\mathsf{GL}_n}$  generated by invariants of the form  $(A_1,\ldots,A_s)\mapsto \mathsf{Tr}(A_{i_1}A_{i_2}\cdots A_{i_r})$  with  $r\leq n^2$ , so  $\beta_{\mathsf{GL}_n}(\mathsf{Mat}_{n,n}^s)\leq n^2$ 

#### Matrix Invariants

 $GL_n$  acts on  $Mat_{n,n}$  by conjugation

## Theorem (Procesi 1976, Razmyslov 1974)

$$\mathbb{C}[\mathsf{Mat}_{n,n}^s]^{\mathsf{GL}_n}$$
 generated by invariants of the form  $(A_1,\ldots,A_s)\mapsto \mathsf{Tr}(A_{i_1}A_{i_2}\cdots A_{i_r})$  with  $r\leq n^2$ , so  $\beta_{\mathsf{GL}_n}(\mathsf{Mat}_{n,n}^s)\leq n^2$ 

 $\mathsf{SL}_n \times \mathsf{SL}_n$  acts on  $\mathsf{Mat}_{n,n}$  by left-right multiplication

## Theorem (D.-Makam 2015)

$$\mathbb{C}[\mathsf{Mat}_{n,n}^s]^{\mathsf{SL}_n}$$
 is generated by invariants of the form  $(A_1,\ldots,A_s)\mapsto \det(A_1\otimes T_1+\cdots+A_s\otimes T_s)$  with  $T_1,\ldots,T_s\in \mathsf{Mat}_{d,d}$  and  $d< n^5$  and  $eta_{\mathsf{SL}_n\times\mathsf{SL}_n}(\mathsf{Mat}_{n,n}^m)< n^6$ 

#### Non-Constant Torus Action

suppose that  $T_n=(\mathbb{C}^\times)^n$  acts on  $W_n=\mathbb{C}^{n+1}$  with weights

$$(-2,0,\ldots,0)$$

$$(1,-2,0,\ldots,0)$$

$$(0,1,-2,\ldots,0)$$

$$\left(0,\dots,0,1,-2\right)$$

$$(0,\ldots,0,0,1)$$

#### Non-Constant Torus Action

suppose that  $T_n=(\mathbb{C}^{\times})^n$  acts on  $W_n=\mathbb{C}^{n+1}$  with weights

$$(-2,0,\ldots,0)$$
  
 $(1,-2,0,\ldots,0)$   
 $(0,1,-2,\ldots,0)$   
 $(0,\ldots,0,1,-2)$   
 $(0,\ldots,0,0,1)$ 

we have

$$\mathbb{C}[W_n]^{T_n} = \mathbb{C}[x_1 x_2^2 x_3^4 \cdots x_{n+1}^{2^n}]$$

and 
$$\beta_{T_n}(W_n) = 2^{n+1} - 1$$

Exponential Growth!!



## Exponential Lower Bounds for Cubic Forms

Suppose that  $G_n = \operatorname{SL}_{3n}$  acts on  $V_n = S^3(\mathbb{C}^{3n})$  be the space of cubic forms

## Theorem (D.-Makam)

$$\beta_{G_n}(V_n^4) \geq \frac{2}{3}(4^n - 1)$$

## Exponential Lower Bounds for Cubic Forms

Suppose that  $G_n = \operatorname{SL}_{3n}$  acts on  $V_n = S^3(\mathbb{C}^{3n})$  be the space of cubic forms

## Theorem (D.-Makam)

$$\beta_{G_n}(V_n^4) \geq \frac{2}{3}(4^n - 1)$$

we use the Grosshans principle to reduce the theorem to finding exponential lower bounds for the maximal torus  $T_n \subseteq G_n$ 

we sketch the proof

```
V a representation of G, H \subseteq G subgroup H acts by right multiplication on G: h \cdot g = gh^{-1} G acts on the left on G and on V
```

V a representation of G,  $H \subseteq G$  subgroup H acts by right multiplication on G:  $h \cdot g = gh^{-1}G$  acts on the left on G and on V

## Theorem (Grosshans)

there is an isomorphism between  $\mathbb{C}[V]^H$  and  $(\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G$ 

V a representation of G,  $H \subseteq G$  subgroup H acts by right multiplication on G:  $h \cdot g = gh^{-1}G$  acts on the left on G and on V

#### Theorem (Grosshans)

there is an isomorphism between  $\mathbb{C}[V]^H$  and  $(\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G$ 

## Corollary

if W is a representation of V,  $w \in W$  has a closed orbit and stabilizer H then  $\beta_G(V \oplus W) \ge \beta_H(V)$ 

V a representation of G,  $H \subseteq G$  subgroup H acts by right multiplication on G:  $h \cdot g = gh^{-1}$  G acts on the left on G and on V

## Theorem (Grosshans)

there is an isomorphism between  $\mathbb{C}[V]^H$  and  $(\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G$ 

## Corollary

if W is a representation of V,  $w \in W$  has a closed orbit and stabilizer H then  $\beta_G(V \oplus W) \geq \beta_H(V)$ 

$$\mathsf{proof:} \ \mathbb{C}[W] \twoheadrightarrow \mathbb{C}[\overline{\mathit{Gw}}] = \mathbb{C}[\mathit{Gw}] \cong \mathbb{C}[\mathit{G}]^H$$

V a representation of G,  $H \subseteq G$  subgroup H acts by right multiplication on G:  $h \cdot g = gh^{-1}G$  acts on the left on G and on V

#### Theorem (Grosshans)

there is an isomorphism between  $\mathbb{C}[V]^H$  and  $(\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G$ 

## Corollary

if W is a representation of V,  $w \in W$  has a closed orbit and stabilizer H then  $\beta_G(V \oplus W) \ge \beta_H(V)$ 

proof: 
$$\mathbb{C}[W] \twoheadrightarrow \mathbb{C}[\overline{Gw}] = \mathbb{C}[Gw] \cong \mathbb{C}[G]^H$$
  
 $\mathbb{C}[W \oplus V] \twoheadrightarrow \mathbb{C}[G]^H \otimes \mathbb{C}[V]$  (*G*-equivariant)

V a representation of G,  $H \subseteq G$  subgroup H acts by right multiplication on G:  $h \cdot g = gh^{-1}G$  acts on the left on G and on V

## Theorem (Grosshans)

there is an isomorphism between  $\mathbb{C}[V]^H$  and  $(\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G$ 

## Corollary

if W is a representation of V,  $w \in W$  has a closed orbit and stabilizer H then  $\beta_G(V \oplus W) \ge \beta_H(V)$ 

proof: 
$$\mathbb{C}[W] \twoheadrightarrow \mathbb{C}[\overline{Gw}] = \mathbb{C}[Gw] \cong \mathbb{C}[G]^H$$
  
 $\mathbb{C}[W \oplus V] \twoheadrightarrow \mathbb{C}[G]^H \otimes \mathbb{C}[V]$  (*G*-equivariant)  
 $\mathbb{C}[W \oplus V]^G \twoheadrightarrow (\mathbb{C}[G]^H \otimes \mathbb{C}[V])^G = \mathbb{C}[V]^H$ 

let 
$$w = (\sum_{i=1}^n x_i^2 z_i, \sum_{i=1}^n y_i^2 z_i, \sum_{i=1}^n \alpha_i x_i y_i z_i) \in W$$
, where  $W := V_n^3 = S^3(\mathbb{C}^{3n})^3$ 

let 
$$w = (\sum_{i=1}^{n} x_i^2 z_i, \sum_{i=1}^{n} y_i^2 z_i, \sum_{i=1}^{n} \alpha_i x_i y_i z_i) \in W$$
, where  $W := V_n^3 = S^3(\mathbb{C}^{3n})^3$ 

the stabilizer of w in  $G_n = \operatorname{SL}_{3n}$  is a torus  $H_n \subseteq G_n$  (of dim. n)  $t = (t_1, \ldots, t_n) \in H_n$  acts by  $t \cdot x_i = t_i x_i$ ,  $t \cdot y_i = t_i y_i$ ,  $t \cdot z_i = t^{-2} z_i$ 

let 
$$w = (\sum_{i=1}^{n} x_i^2 z_i, \sum_{i=1}^{n} y_i^2 z_i, \sum_{i=1}^{n} \alpha_i x_i y_i z_i) \in W$$
, where  $W := V_n^3 = S^3(\mathbb{C}^{3n})^3$ 

the stabilizer of w in  $G_n = \operatorname{SL}_{3n}$  is a torus  $H_n \subseteq G_n$  (of dim. n)  $t = (t_1, \ldots, t_n) \in H_n$  acts by  $t \cdot x_i = t_i x_i$ ,  $t \cdot y_i = t_i y_i$ ,  $t \cdot z_i = t^{-2} z_i$ 

by studying the moment map we see that w is a critical point for the function  $v \mapsto ||v||^2$  on the orbit  $SU_{3n} \cdot w$ 

let 
$$w = (\sum_{i=1}^{n} x_i^2 z_i, \sum_{i=1}^{n} y_i^2 z_i, \sum_{i=1}^{n} \alpha_i x_i y_i z_i) \in W$$
, where  $W := V_n^3 = S^3(\mathbb{C}^{3n})^3$ 

the stabilizer of w in  $G_n = \operatorname{SL}_{3n}$  is a torus  $H_n \subseteq G_n$  (of dim. n)  $t = (t_1, \ldots, t_n) \in H_n$  acts by  $t \cdot x_i = t_i x_i$ ,  $t \cdot y_i = t_i y_i$ ,  $t \cdot z_i = t^{-2} z_i$ 

by studying the moment map we see that w is a critical point for the function  $v \mapsto ||v||^2$  on the orbit  $SU_{3n} \cdot w$ 

from Kempf-Ness theory follows that the orbit  $G_n$  is closed

let 
$$w = (\sum_{i=1}^{n} x_i^2 z_i, \sum_{i=1}^{n} y_i^2 z_i, \sum_{i=1}^{n} \alpha_i x_i y_i z_i) \in W$$
, where  $W := V_n^3 = S^3(\mathbb{C}^{3n})^3$ 

the stabilizer of w in  $G_n = \operatorname{SL}_{3n}$  is a torus  $H_n \subseteq G_n$  (of dim. n)  $t = (t_1, \ldots, t_n) \in H_n$  acts by  $t \cdot x_i = t_i x_i$ ,  $t \cdot y_i = t_i y_i$ ,  $t \cdot z_i = t^{-2} z_i$ 

by studying the moment map we see that w is a critical point for the function  $v \mapsto ||v||^2$  on the orbit  $SU_{3n} \cdot w$ 

from Kempf-Ness theory follows that the orbit  $G_n$  is closed

from the Corollary we get

$$\beta_{G_n}(V_n^4) = \beta_{G_n}(W \oplus V_n) \ge \beta_{H_n}(V_n) \ge \frac{2}{3}(4^n - 1).$$

