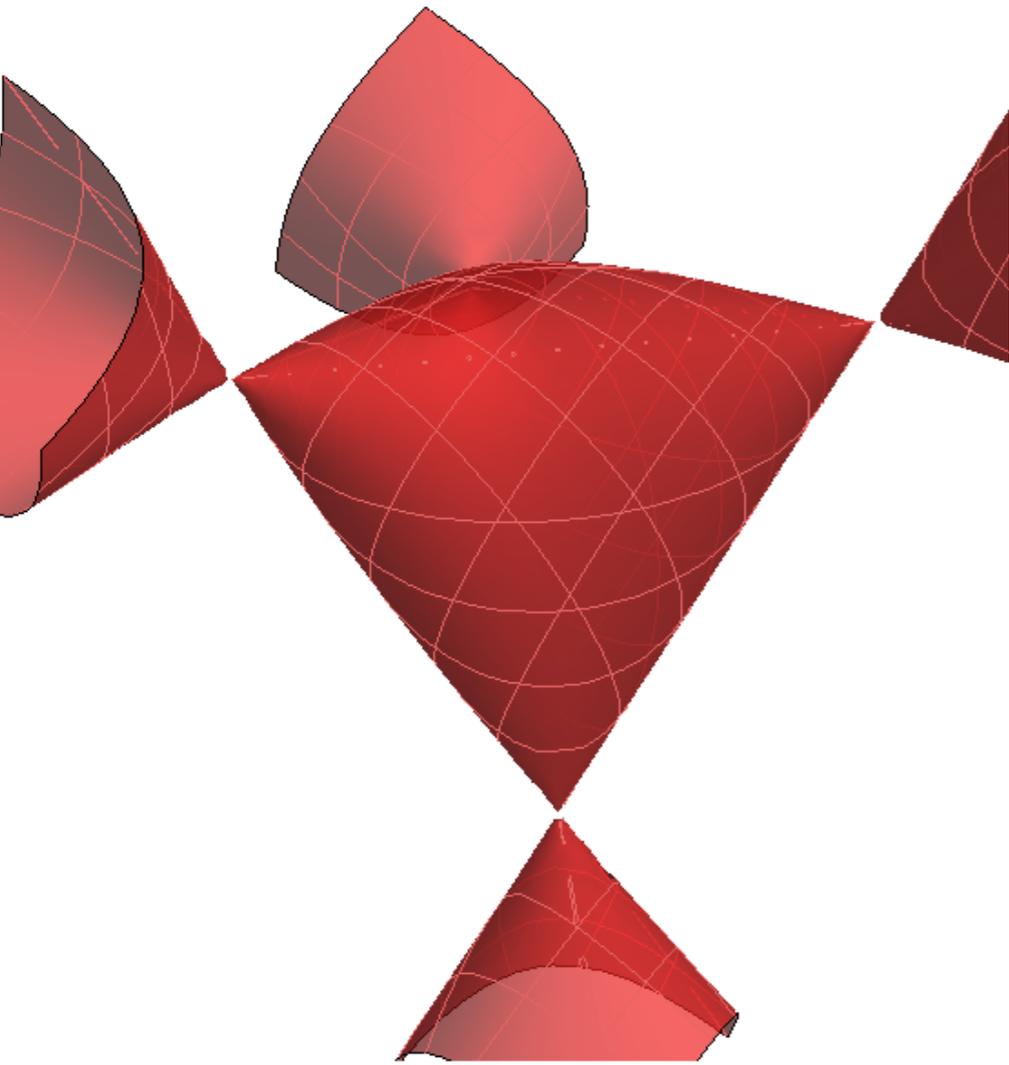


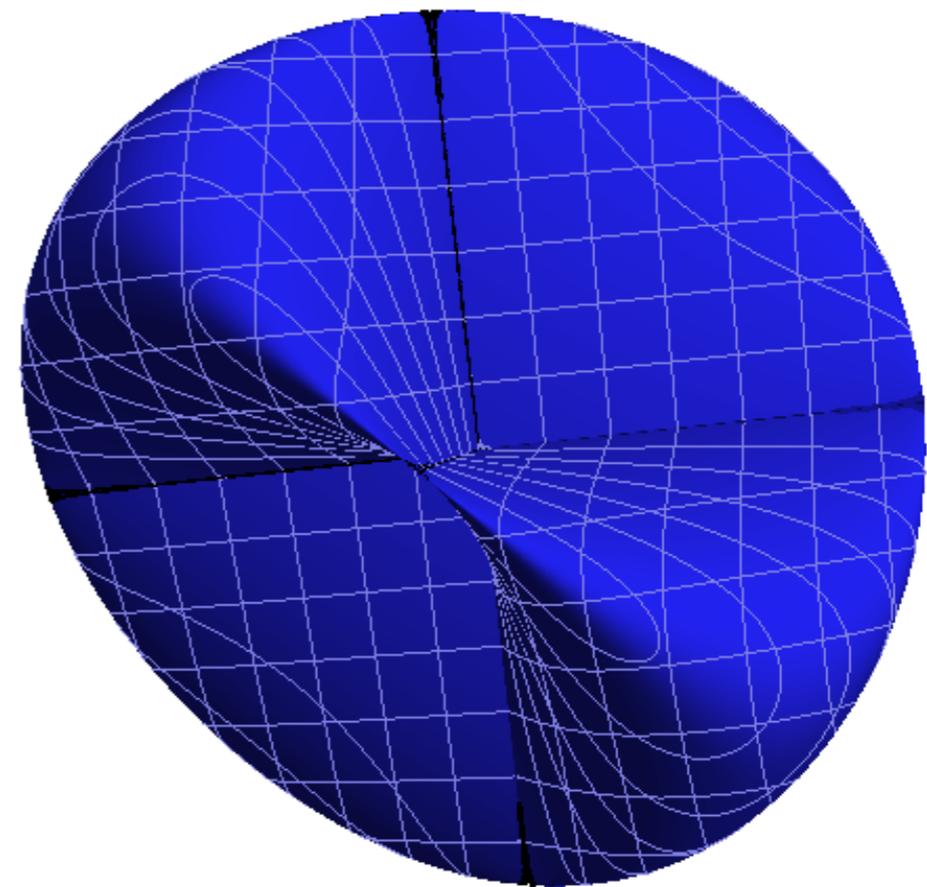
KIPPENHAHN'S THEOREM FOR THE JOINT NUMERICAL RANGE



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The numerical range

Let A be a complex $d \times d$ -matrix.

The **numerical range** of A is the set

$$W(A) = \left\{ \overline{x^T} Ax \mid x \in \mathbb{C}^d \text{ with } \|x\| = 1 \right\} \subset \mathbb{C}$$

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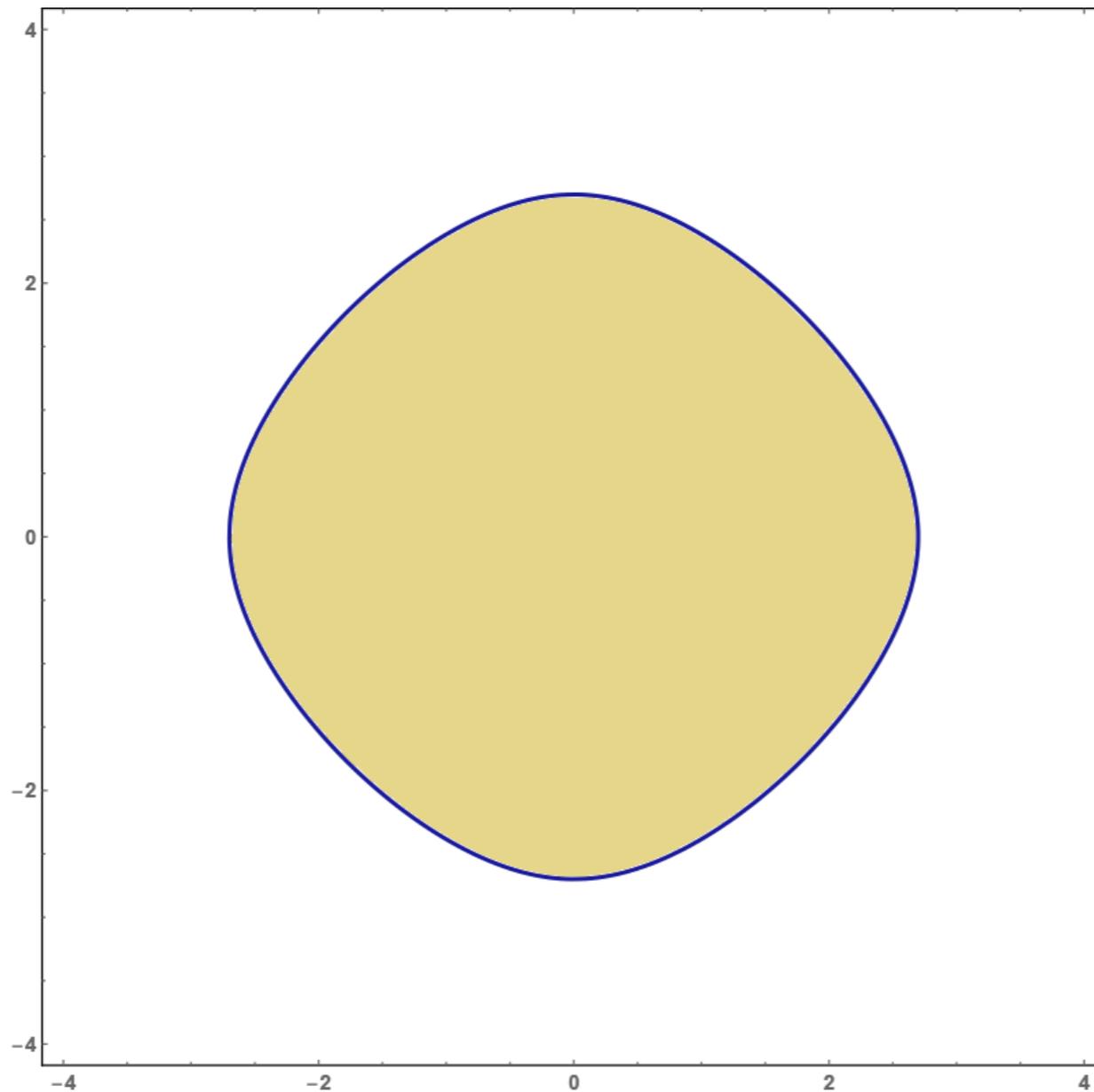
Toeplitz-Hausdorff Theorem (1919).

The set $W(A)$ is a convex subset of $\mathbb{C} = \mathbb{R}^2$.

The numerical range

Example.

$$A = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 2 & 0 \\ 0 & 0 & 0 & 3 \\ 4 & 0 & 0 & 0 \end{pmatrix}$$



Trace trick

$$x^* Ax = \text{tr}(x^* Ax) = \text{tr}(A(xx^*)) = \langle A, xx^* \rangle$$

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By the Toeplitz-Hausdorff Theorem:

$$\begin{aligned} W(A) &= \{ \langle A, X \rangle : X \text{ Hermitian and psd, } \text{tr}(X) = 1, \text{rk}(X) = 1 \} \\ &= \{ \langle A, X \rangle : X \text{ Hermitian and psd, } \text{tr}(X) = 1 \} \\ &= \pi_A(\text{Her}_d^+ \cap \{ \text{tr} = 1 \}) \end{aligned}$$

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Define Hermitian matrices

$$\operatorname{Re}(A) = \frac{1}{2}(A + \overline{A}^T) \quad \text{and} \quad \operatorname{Im}(A) = \frac{1}{2i}(A - \overline{A}^T)$$

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$$A = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 2 & 0 \\ 0 & 0 & 0 & 3 \\ 4 & 0 & 0 & 0 \end{pmatrix} \quad \text{Re}(A) = \begin{pmatrix} 0 & \frac{1}{2} & 0 & 2 \\ \frac{1}{2} & 0 & 1 & 0 \\ 0 & 1 & 0 & \frac{3}{2} \\ 2 & 0 & \frac{3}{2} & 0 \end{pmatrix} \quad \text{Im}(A) = \begin{pmatrix} 0 & -\frac{i}{2} & 0 & 2i \\ \frac{i}{2} & 0 & -i & 0 \\ 0 & i & 0 & -\frac{3i}{2} \\ -2i & 0 & \frac{3i}{2} & 0 \end{pmatrix}$$

Kippenhahn's Theorem

Let A be a complex $d \times d$ matrix and let

$$p = \det(x_0 I_d + x_1 \operatorname{Re}(A) + x_2 \operatorname{Im}(A))$$

with spectrahedron

$$S(A) = \left\{ (a_1, a_2) \in \mathbb{R}^2 \mid I_d + a_1 \operatorname{Re}(A) + a_2 \operatorname{Im}(A) \succeq 0 \right\}$$

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Theorem. (Kippenhahn 1951)

The numerical range $W(A)$ is the convex dual

$$S(A)^\circ = \left\{ (u_1, u_2) \in \mathbb{R}^2 \mid \langle u, a \rangle \geq -1 \text{ for all } a \in S(A) \right\}$$

of $S(A)$. It is the convex hull of the points (u_1, u_2) for which $[1, u_1, u_2]$ lies on the **dual curve** of $V = \{p = 0\}$.

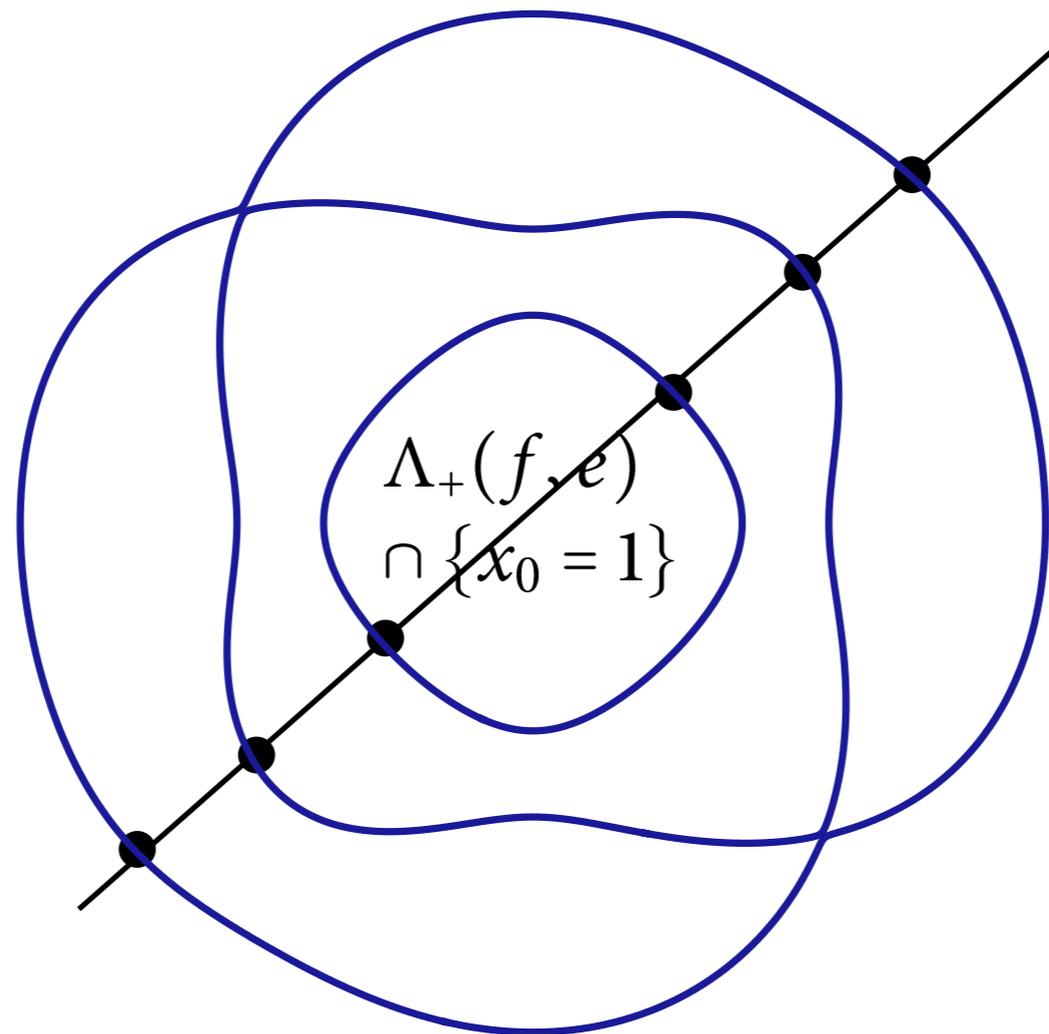
The dual curve V^* is the closure of the set of points $(1, u_1, u_2)$ for which the line

$$x_0 + u_1 x_1 + u_2 x_2 = 0$$

is tangent to V (at some regular point).

Hyperbolic Curves

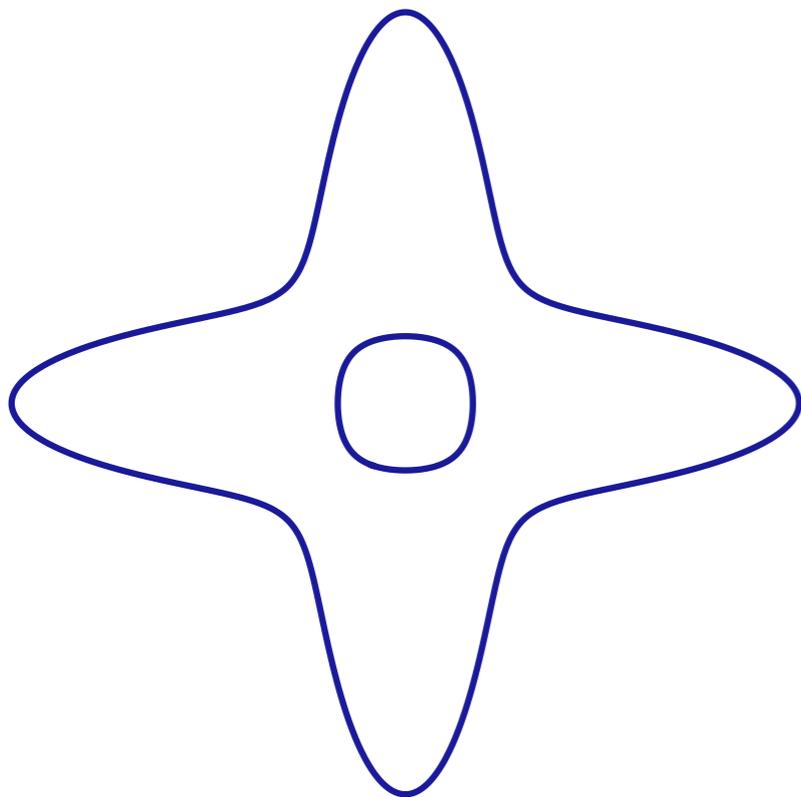
For any hermitian matrices A_1, A_2 , the polynomial $f = \det(x_0 I_d + x_1 A_1 + x_2 A_2)$ is hyperbolic with respect to $e = (1, 0, 0)$, i.e. all roots of $f(t, a_1, a_2)$ are real for all $(a_1, a_2) \in \mathbb{R}^2$.



Hyperbolic curves

$$A = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 2 & 0 \\ 0 & 0 & 0 & 3 \\ 4 & 0 & 0 & 0 \end{pmatrix} \quad \operatorname{Re}(A) = \begin{pmatrix} 0 & \frac{1}{2} & 0 & 2 \\ \frac{1}{2} & 0 & 1 & 0 \\ 0 & 1 & 0 & \frac{3}{2} \\ 2 & 0 & \frac{3}{2} & 0 \end{pmatrix} \quad \operatorname{Im}(A) = \begin{pmatrix} 0 & -\frac{i}{2} & 0 & 2i \\ \frac{i}{2} & 0 & -i & 0 \\ 0 & i & 0 & -\frac{3i}{2} \\ -2i & 0 & \frac{3i}{2} & 0 \end{pmatrix}$$

$$\begin{aligned} p &= \det(x_0 I_4 + x_1 \operatorname{Re}(A) + x_2 \operatorname{Im}(A)) \\ &= \frac{1}{16} \left(25x_1^4 + 25x_2^4 + 434x_1^2x_2^2 - 120x_0^2x_1^2 - 120x_0^2x_2^2 + 16x_0^4 \right) \end{aligned}$$

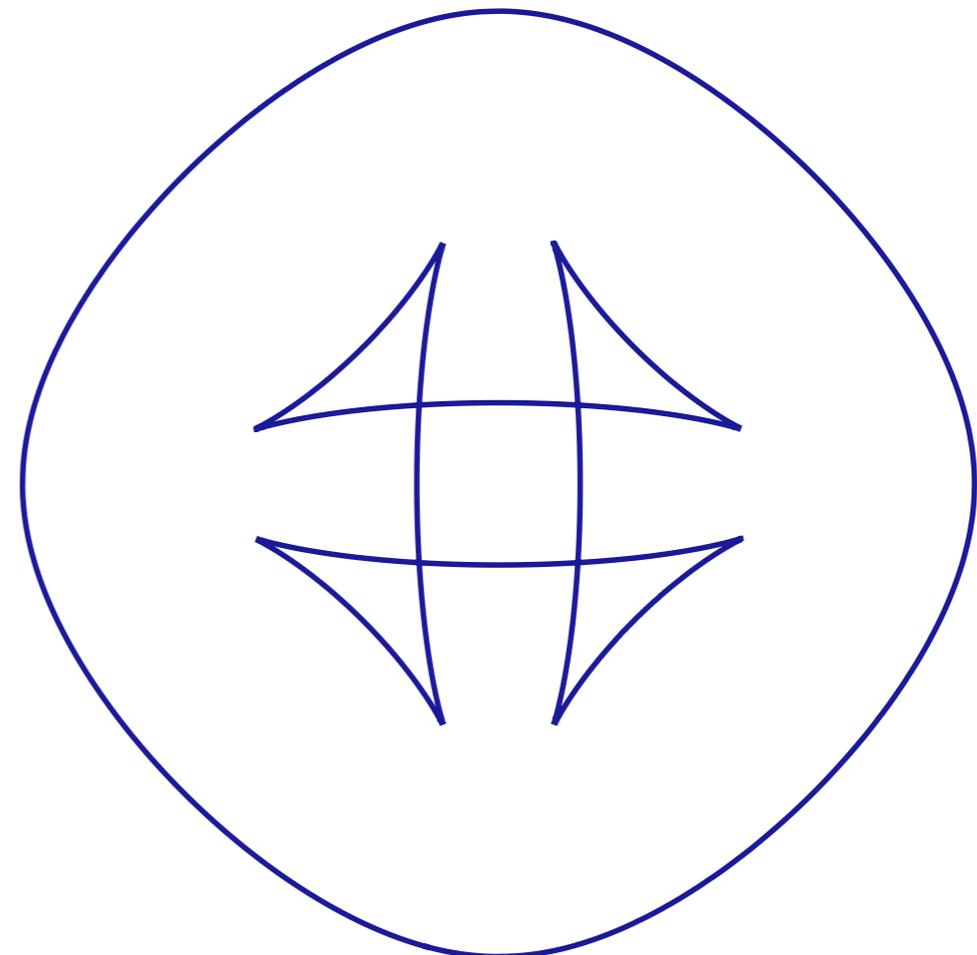
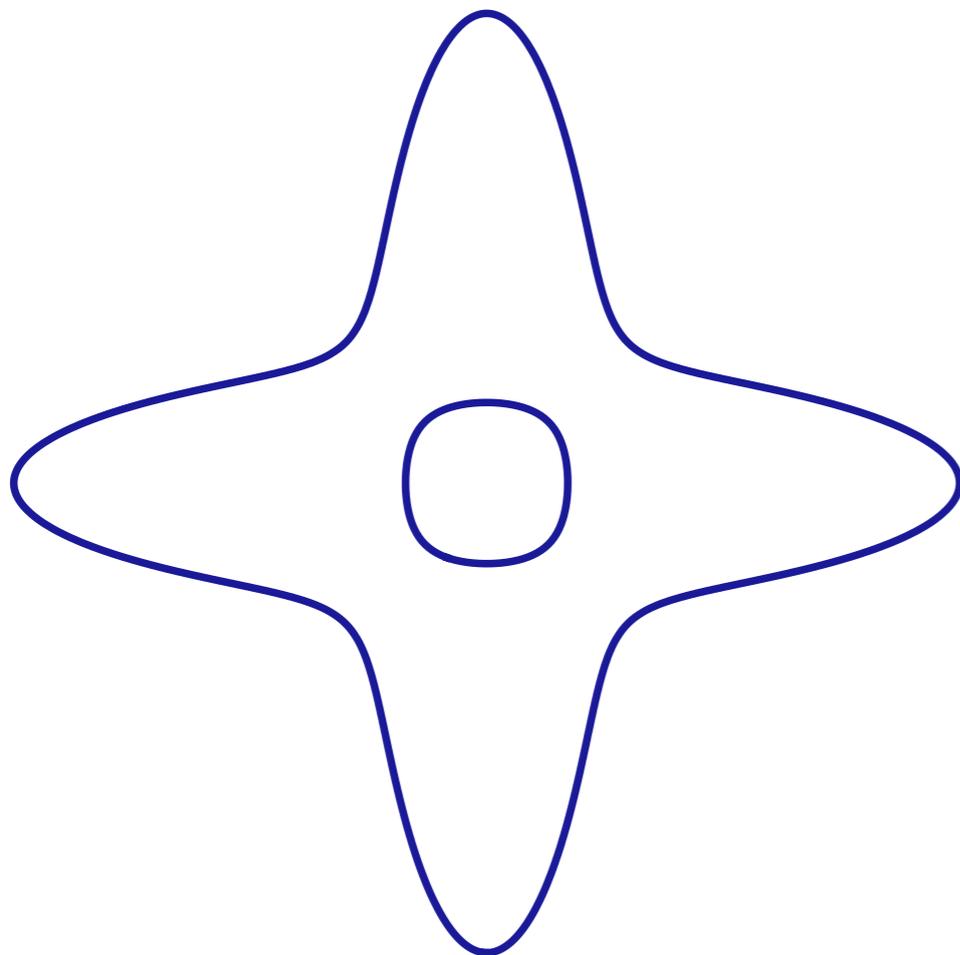


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Dual curve is given by

$$\begin{aligned} & 250000u_1^{12} + 4380000u_1^{10}u_2^2 - 5475000u_0^2u_1^{10} + 1446000u_1^8u_2^4 - 68559000u_0^2u_1^8u_2^2 + 47610625u_0^4u_1^8 + 8787776u_1^6u_2^6 \\ & + 179739600u_0^2u_1^6u_2^4 + 429249700u_0^4u_1^6u_2^2 - 209547000u_0^6u_1^6 + 1446000u_1^4u_2^8 + 179739600u_0^2u_1^4u_2^6 - 1058169786u_0^4u_1^4u_2^4 \\ & - 1493997480u_0^6u_1^4u_2^2 + 476341350u_0^8u_1^4 + 4380000u_1^2u_2^{10} - 68559000u_0^2u_1^2u_2^8 + 429249700u_0^4u_1^2u_2^6 - 1493997480u_0^6u_1^2u_2^4 \\ & + 2442311100u_0^8u_1^2u_2^2 - 476982000u_0^{10}u_1^2 + 250000u_2^{12} - 5475000u_0^2u_2^{10} + 47610625u_0^4u_2^8 - 209547000u_0^6u_2^6 + 476341350u_0^8u_2^4 \\ & - 476982000u_0^{10}u_2^2 + 82355625u_0^{12} = 0 \end{aligned}$$



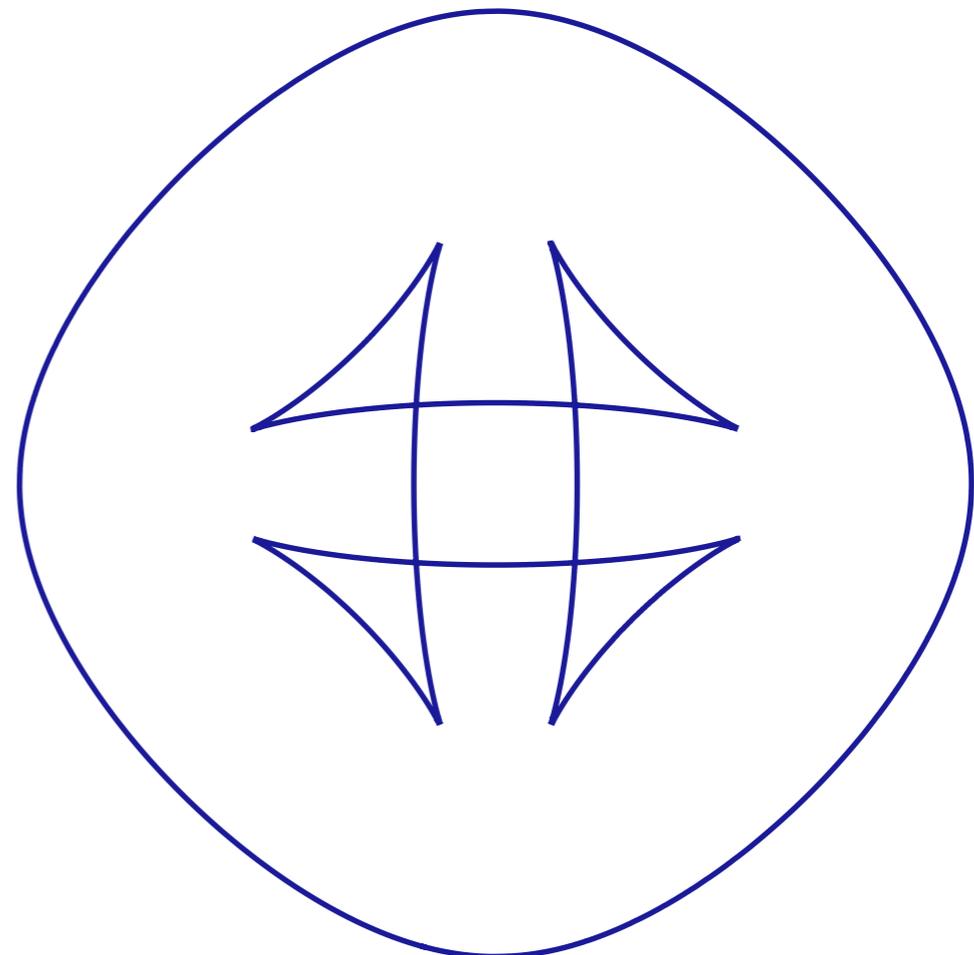
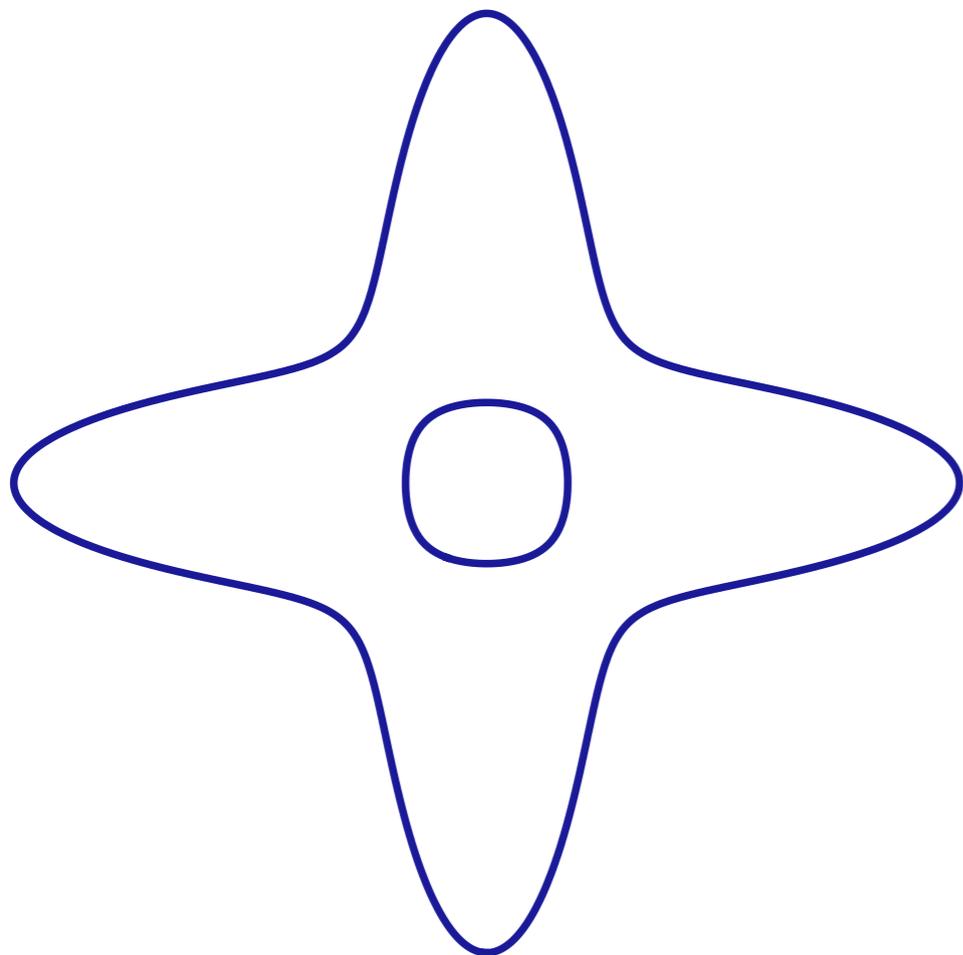
Duality for plane curves

Let $V = \{p = 0\}$ be a plane curve of degree d .

If V is smooth, the dual curve V^* is irreducible of degree $d(d - 1)$.

If V is generic (and smooth), then V^* has two types of singularities:

- The **bitangent lines** of V correspond to **nodes** of V^* .
- The **inflection lines** of V correspond to **cusps** of V^* .

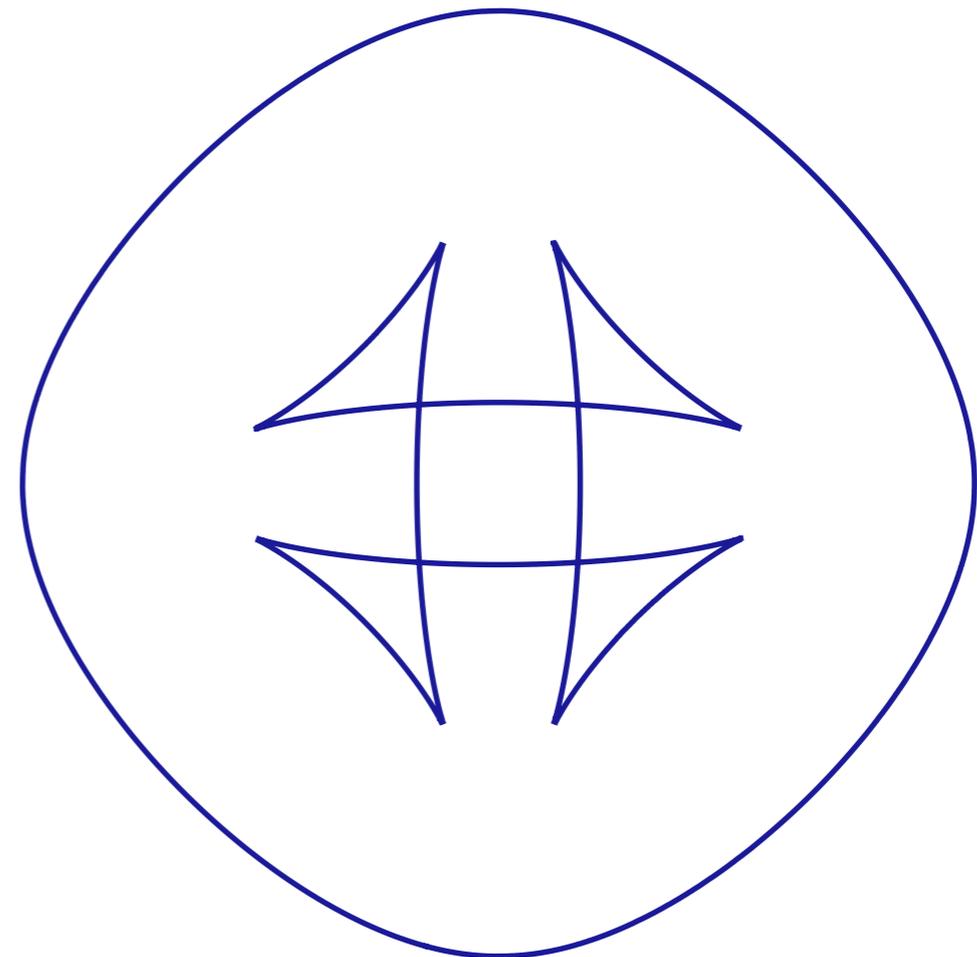
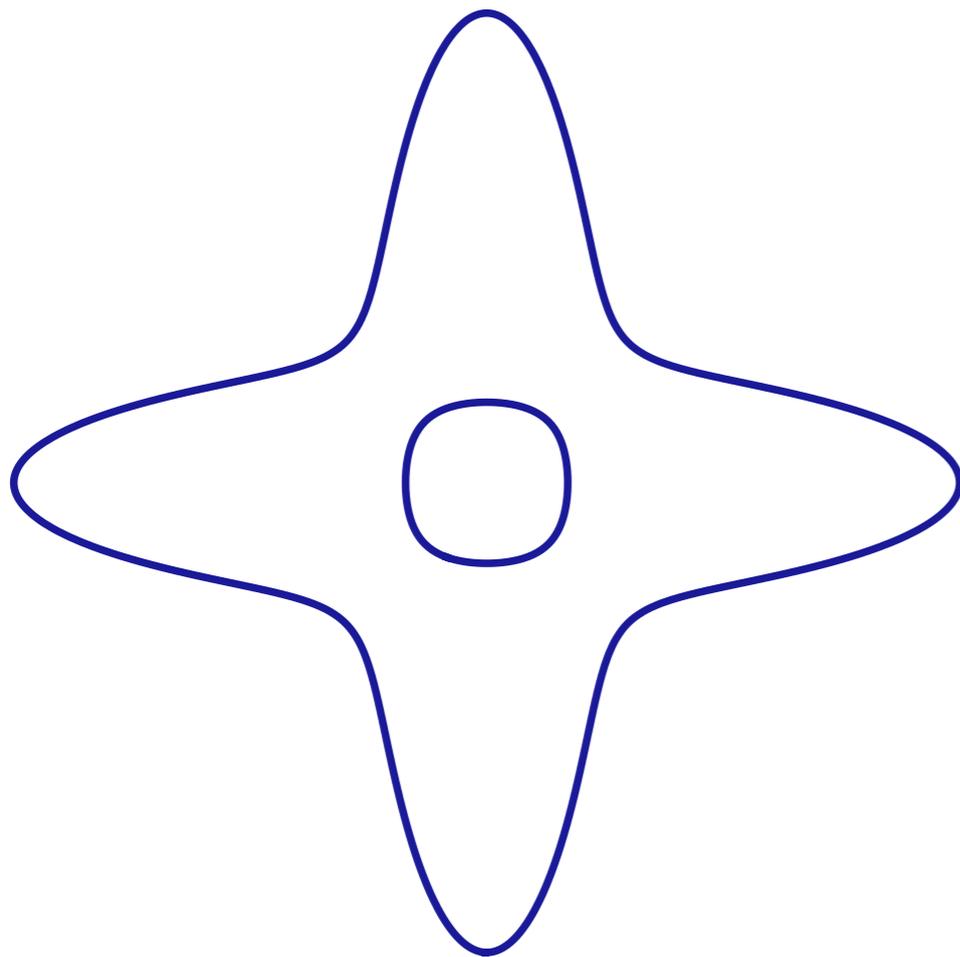


Duality for hyperbolic curves

Theorem. (Kippenhahn for hyperbolic curves)

Let $p \in \mathbb{R}[x_0, x_1, x_2]$ be hyperbolic with respect to $e = (1, 0, 0)$.

The convex dual of the hyperbolicity region $\Lambda_+(f, e) \cap \{x_0 = 1\}$ is the convex hull of the dual curve of $\{f = 0\}$ in the dual plane $\{u_0 = 1\}$.

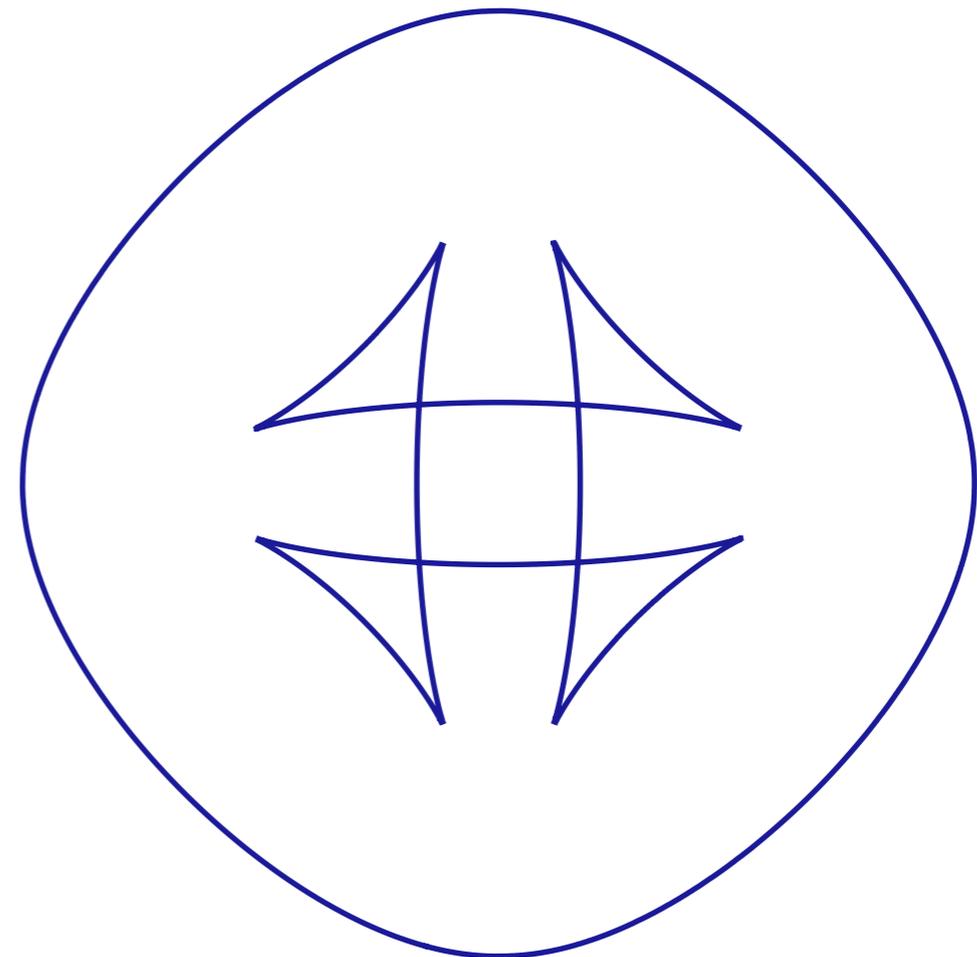
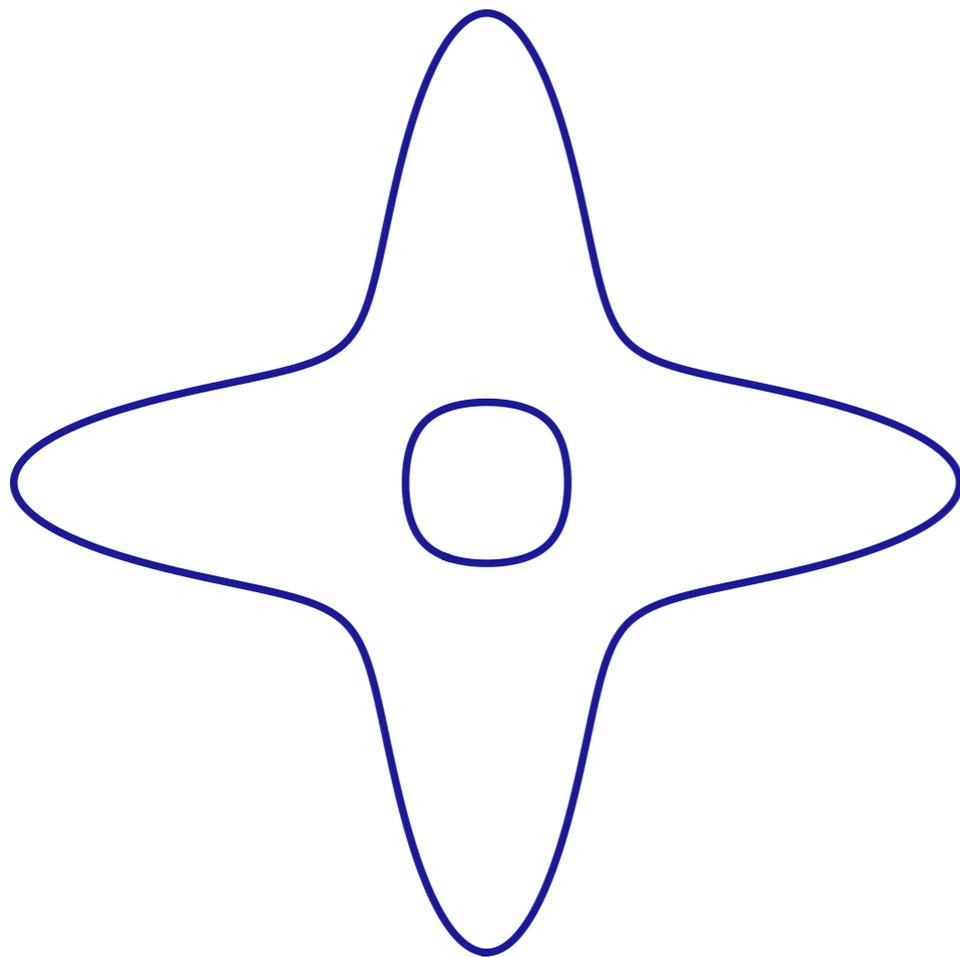


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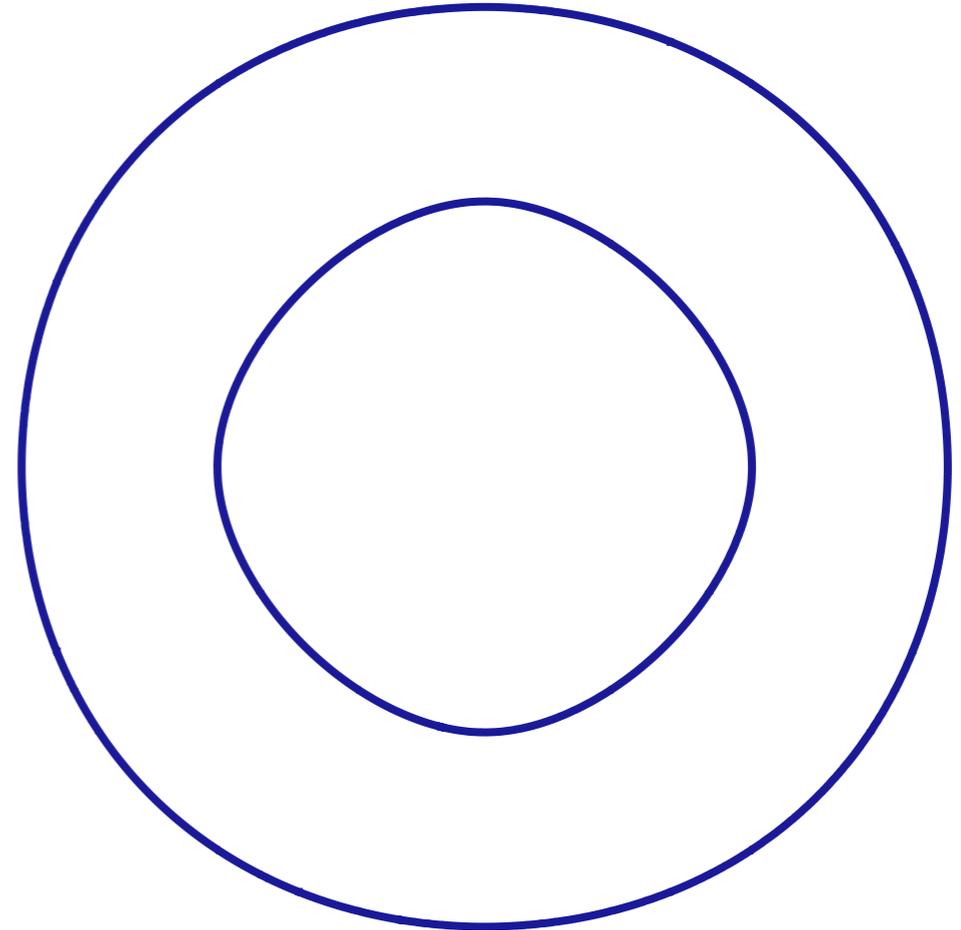
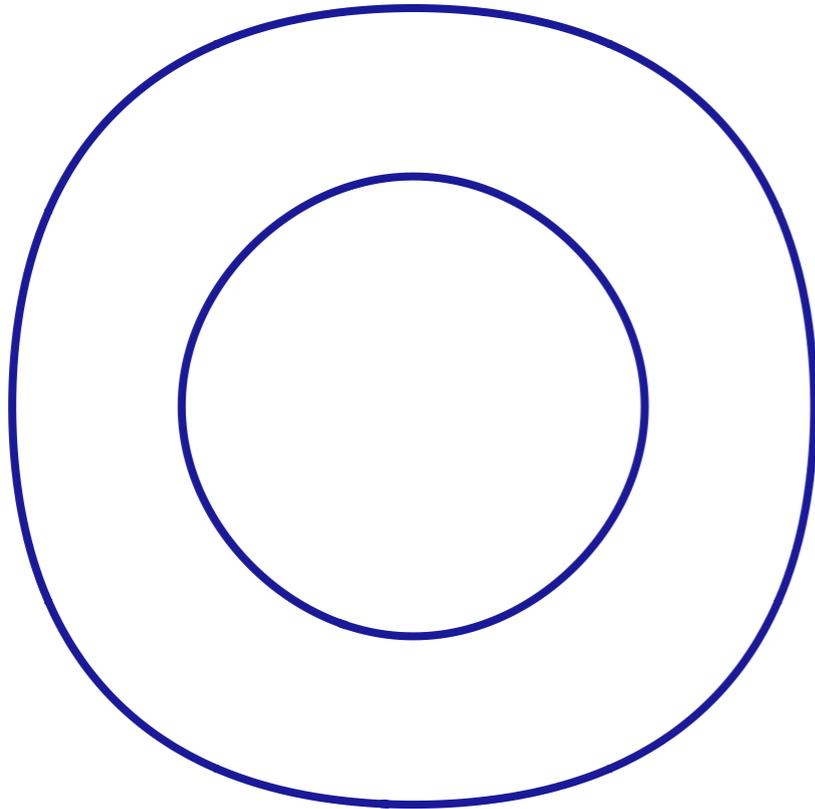
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Problem: What about isolated real points (nodes) of the dual curve?

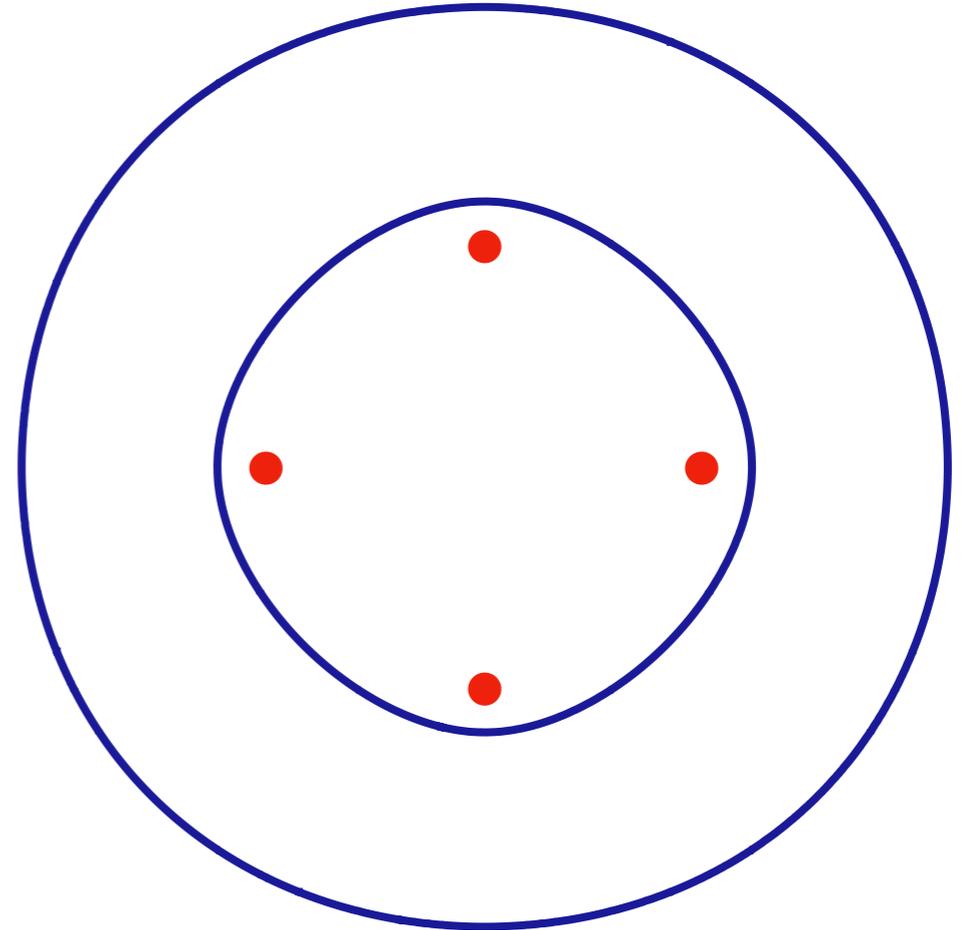
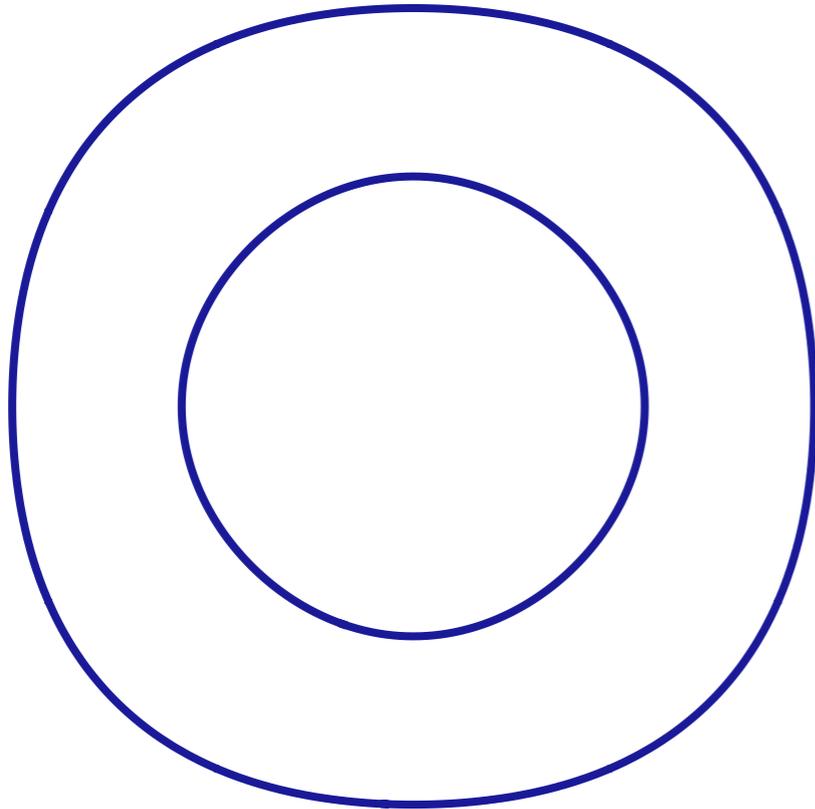
Duality for hyperbolic curves



$$x_1^4 + x_2^4 + \frac{7}{4}x_1^2x_2^2 - 4x_0^2x_1^2 - 4x_0^2x_2^2 + 3x_0^4 = 0$$

$$\begin{aligned} &12288u_1^{12} + 89088u_1^{10}u_2^2 - 4096u_1^{10}u_0^2 + 248064u_1^8u_2^4 - 150784u_1^8u_2^2u_0^2 - 14976u_1^8u_0^4 + 340800u_1^6u_2^6 - 410560u_1^6u_2^4u_0^2 \\ &+ 137328u_1^6u_2^2u_0^4 + 4800u_1^6u_0^6 + 248064u_1^4u_2^8 - 410560u_1^4u_2^6u_0^2 + 283881u_1^4u_2^4u_0^4 - 85260u_1^4u_2^2u_0^6 + 3619u_1^4u_0^8 \\ &+ 89088u_1^2u_2^{10} - 150784u_1^2u_2^8u_0^2 + 137328u_1^2u_2^6u_0^4 - 85260u_1^2u_2^4u_0^6 + 23152u_1^2u_2^2u_0^8 - 1860u_1^2u_0^{10} + 12288u_2^{12} \\ &- 4096u_2^{10}u_0^2 - 14976u_2^8u_0^4 + 4800u_2^6u_0^6 + 3619u_2^4u_0^8 - 1860u_2^2u_0^{10} + 225u_0^{12} = 0 \end{aligned}$$

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The joint numerical range

Let A_1, \dots, A_n be Hermitian $d \times d$ -matrices.

The **joint numerical range** of A_1, \dots, A_n is the set

$$W(A_1, \dots, A_n) = \left\{ (\bar{x}^T A_1 x, \dots, \bar{x}^T A_n x) \mid x \in \mathbb{C}^n \text{ with } \|x\| = 1 \right\} \subset \mathbb{R}^n$$

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The convex hull can be described as

$$\text{conv} W(A_1, \dots, A_n) = \left\{ (\langle A_1, X \rangle, \dots, \langle A_n, X \rangle) \mid X \geq 0, \text{trace}(X) = 1 \right\}$$

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The set $\text{conv} W(A_1, \dots, A_n)$ is again the convex dual of the spectrahedron

$$\left\{ x \in \mathbb{R}^n \mid I_d + x_1 A_1 + \dots + x_n A_n \geq 0 \right\}$$

Projective duality in higher dimensions

Let $V \subset \mathbb{P}^n$ be a projective variety. The **dual variety** of V (over \mathbb{C}) is

$$V^* = \overline{\left\{ u \in (\mathbb{P}^n)^* \mid \exists p \in V_{\text{reg}}: T_p(V) \subset \left\{ \sum u_i x_i = 0 \right\} \right\}}.$$

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Facts:

- (1) If V is irreducible, then **biduality** holds: $(V^*)^* = V$.
- (2) If $V = \{f = 0\}$ is a **generic** hypersurface of degree d , then V^* is a hypersurface of degree $d(d-1)^{n-1}$.

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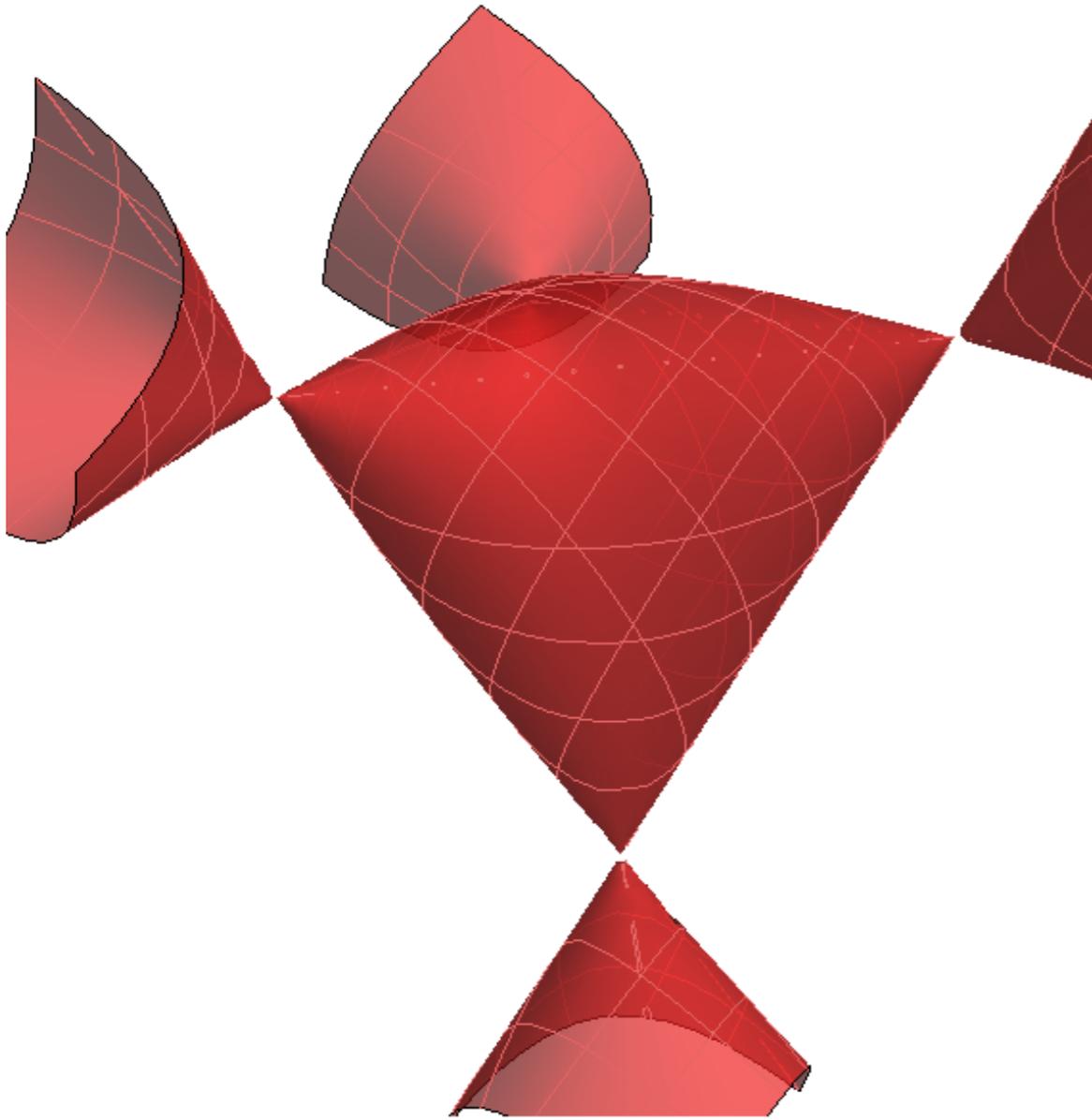
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Examples. For the general determinantal hypersurface $\{\det(X) = 0\}$ in the space $\mathbb{P}^{\binom{d+1}{2}}$ of all symmetric $d \times d$ -matrices, the dual variety is the set of all symmetric matrices of rank 1 (the **Veronese variety**).

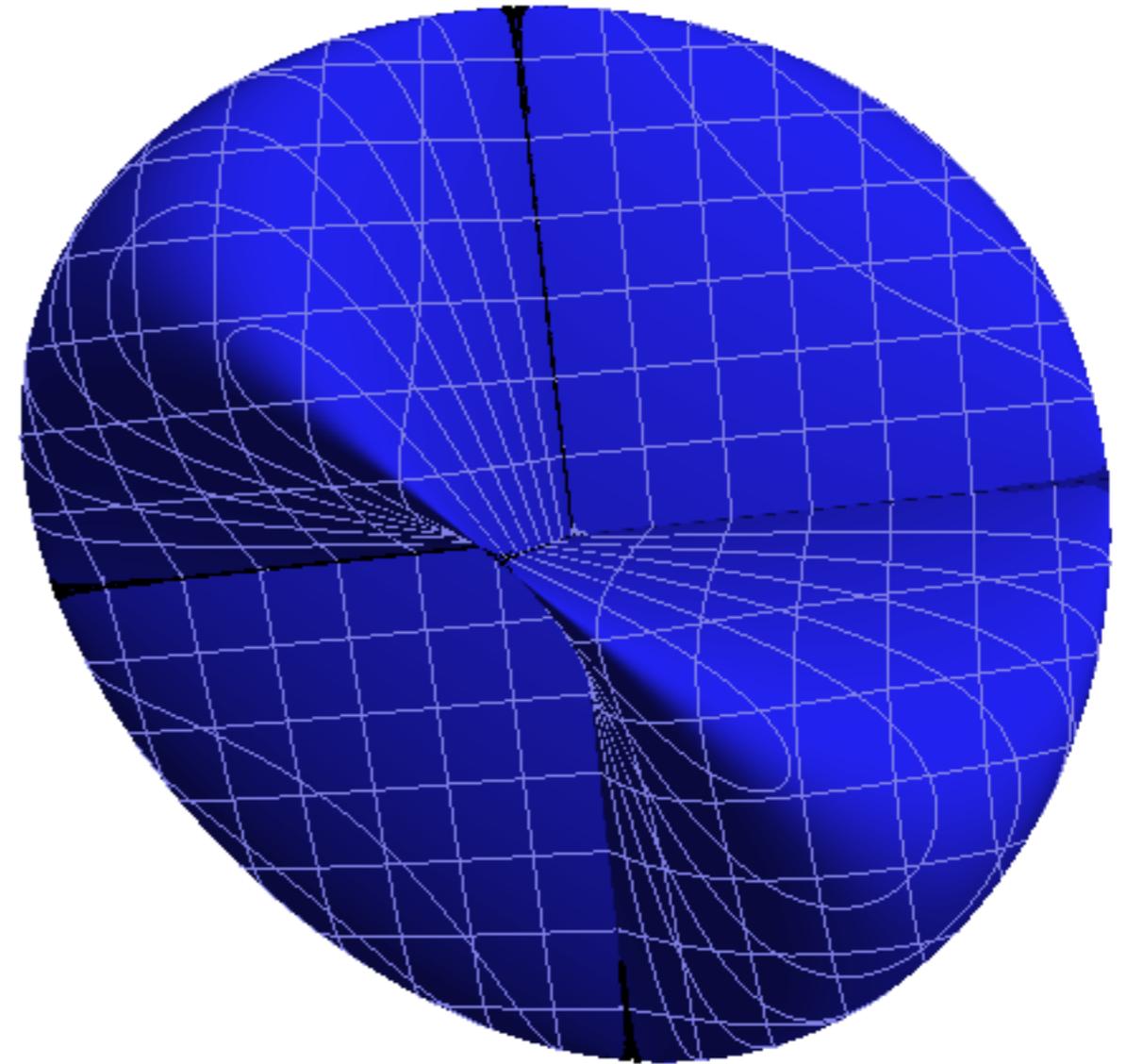
Famous example



Cayley's cubic

$$2x_1x_2x_3 - x_0x_1^2 - x_0x_2^2 - x_0x_3^2 + x_0^3$$

$$= \det \begin{pmatrix} x_0 & x_1 & x_2 \\ x_1 & x_0 & x_3 \\ x_2 & x_3 & x_0 \end{pmatrix} = 0$$



Steiner's quartic

$$u_1^2u_2^2 - u_1^2u_3^2 - u_2^2u_3^2 - 2u_0u_1u_2u_3 = 0$$

Example

$$A_1 = \begin{pmatrix} 1 & 0 & 0 \\ 0 & -1 & 1 \\ 0 & 1 & 0 \end{pmatrix}, \quad A_2 = \begin{pmatrix} 0 & 0 & -i \\ 0 & 0 & 0 \\ i & 0 & 0 \end{pmatrix}, \quad A_3 = \begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ 0 & 0 & 1 \end{pmatrix}.$$

(Chien and Nakazato 2010)

$$\begin{aligned} p(u_0, u_1, u_2, u_3) &= \det(u_0 \text{id} + u_1 A_1 + u_2 A_2 + u_3 A_3) \\ &= u_0^3 + u_0^2 u_3 - 2u_0 u_1^2 - u_0 u_2^2 - u_1^3 - u_1^2 u_3 + u_1 u_2^2 \end{aligned}$$

The projective dual is a surface defined by

$$\begin{aligned} q(x_0, x_1, x_2, x_3) &= 4x_0^2 x_3^2 + 8x_0 x_1 x_3^2 - 4x_0 x_2^2 x_3 - 24x_0 x_3^3 + 4x_1^2 x_3^2 \\ &\quad - 4x_1 x_2^2 x_3 - 8x_1 x_3^3 + x_2^4 + 8x_2^2 x_3^2 + 20x_3^4. \end{aligned}$$

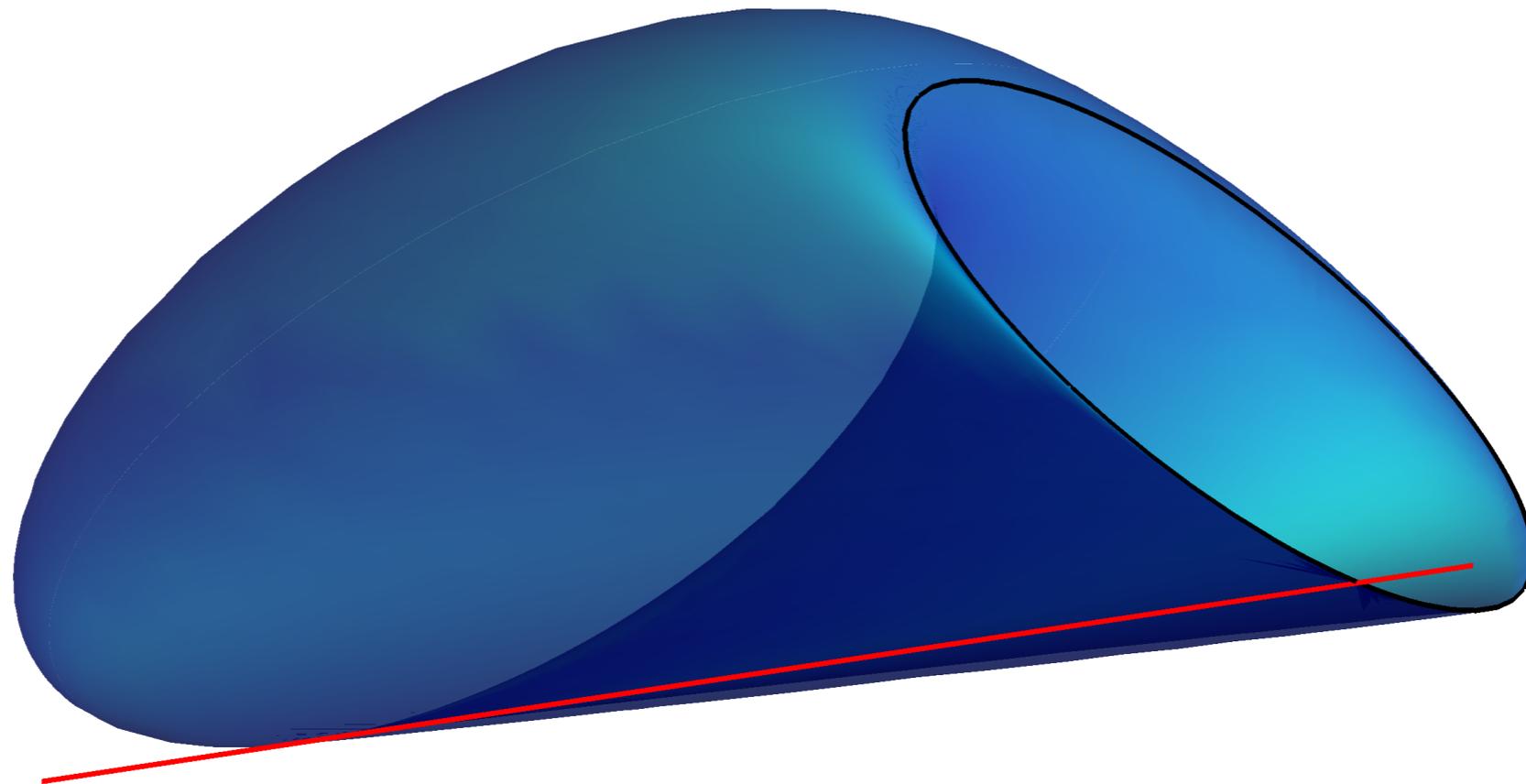
Its singular locus is $\{(x_0, x_1, x_2, x_3) \in \mathbb{P}^3 : x_2 = x_3 = 0\}$

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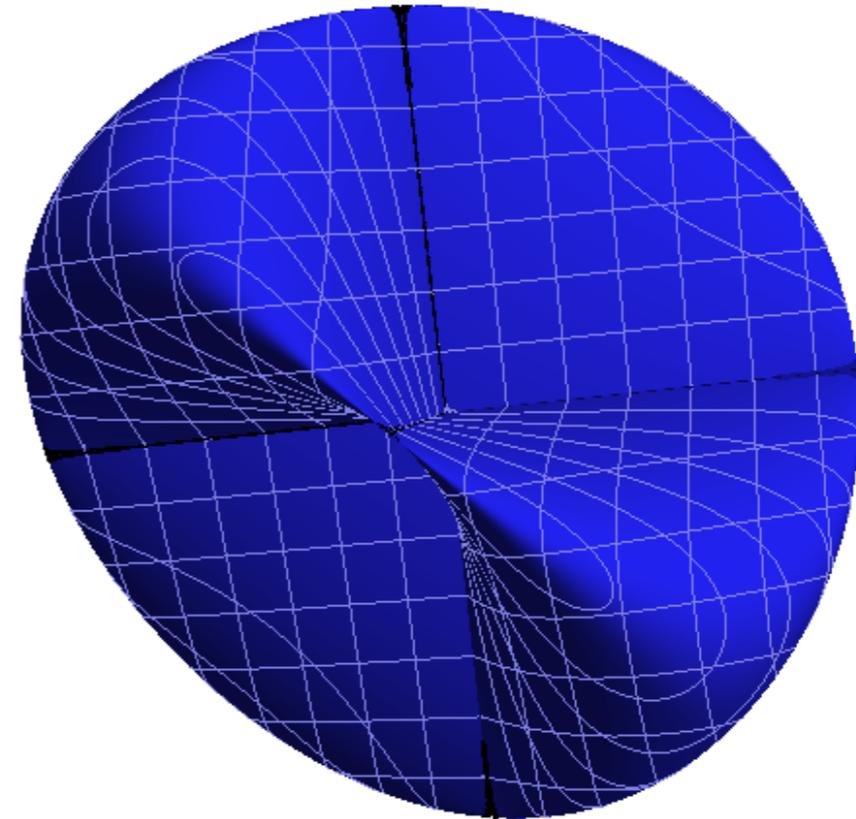
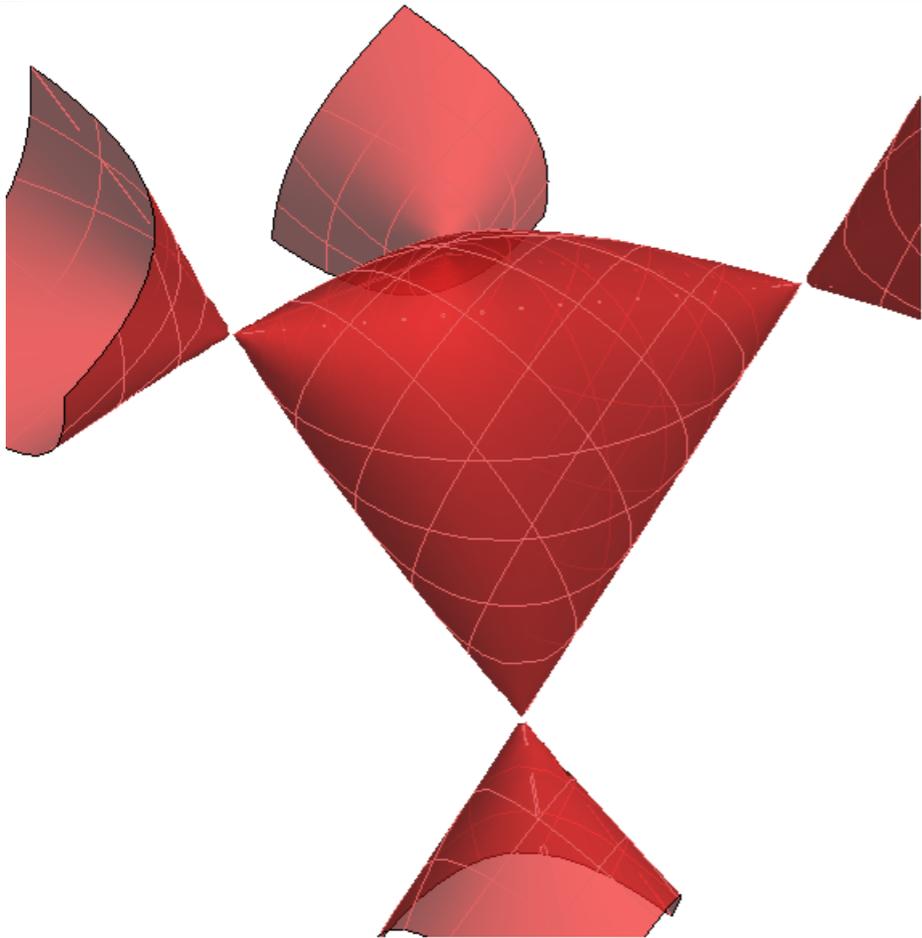
How to fix it

Theorem. (Sinn 2015/P-Sinn-Weis 2019)

Let $p \in \mathbb{R}[x_0, \dots, x_n]$ be irreducible and hyperbolic with respect to $e = (1, 0, \dots, 0)$.

Let $V = \{p = 0\} \subset \mathbb{P}^n$ and let V^* be the dual projective variety.

The convex dual of the hyperbolicity region $C(p, e) \cap \{x_0 = 1\}$ is the closure of the convex hull of $V_{\text{reg}}^*(\mathbb{R}) \cap \{u_0 = 1\}$, where $V_{\text{reg}}(\mathbb{R})$ is the set of regular real points of V^* .



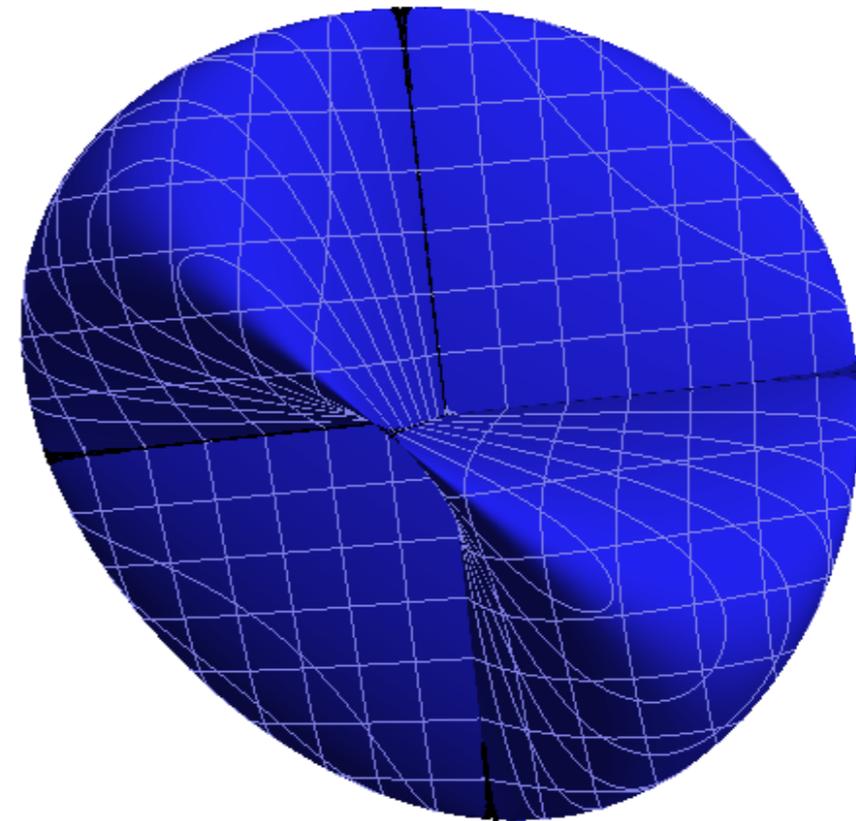
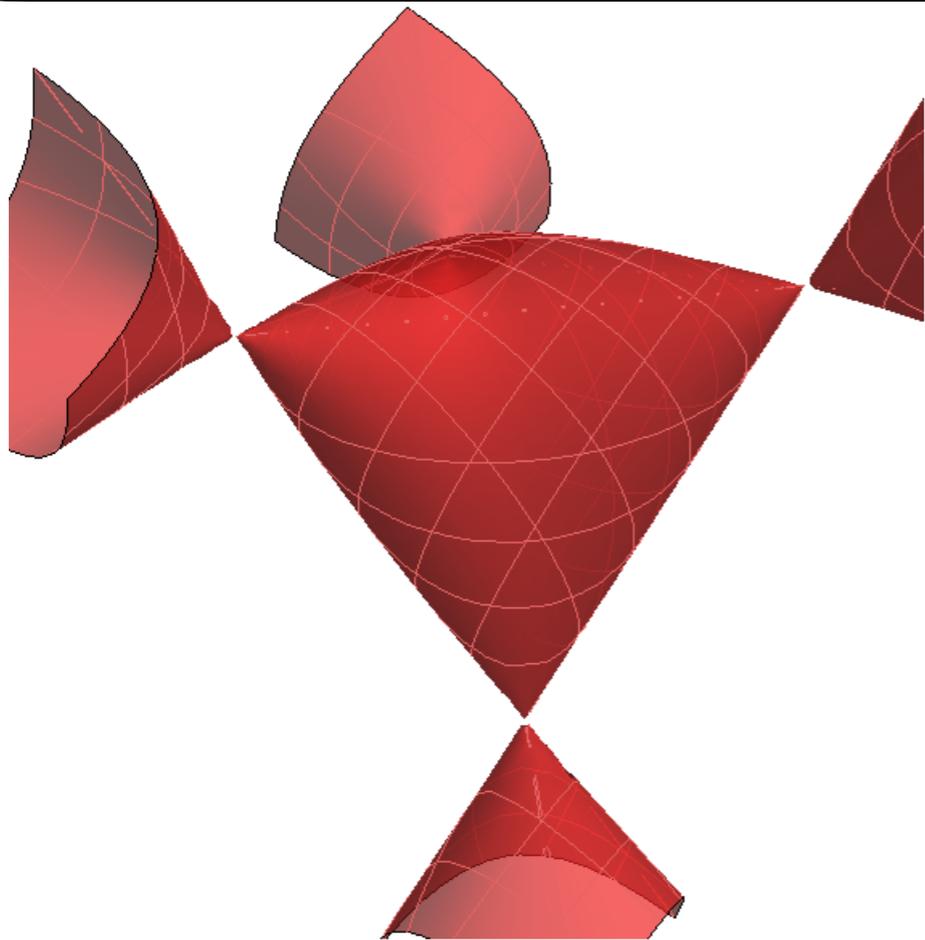
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Corollary. (PSW 2019) The convex hull of the joint numerical range of Hermitian $d \times d$ matrices A_1, \dots, A_n is the closure of the convex hull of the real non-singular part of the dual variety of the hyperbolic hypersurface $\det(x_0 I_d + x_1 A_1 + \dots + x_n A_n)$.