Numerical Analysis Exercises

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Abstract

The topics of the course are:

- Floating-point arithmetic: different sources of the computational error; absolute vs relative errors; the floating point representation of real numbers; the round-off unit; the machine epsilon; floating-point operations; over- and under-flow; numerical cancellation.
- Numerical approximation of nonlinear equations: the bisection and the Newton methods; the fixed-point iteration; convergence analysis (global and local results); order of convergence; stopping criteria and corresponding reliability; generalization to the system of nonlinear equations (hints).
- Numerical approximation of systems of linear equations: direct methods (Gaussian elimination method; LU and Cholesky factorizations; pivoting; sparse systems: Thomas algorithm for tridiagonal systems); iterative methods (the stationary and the dynamic Richardson scheme; Jacobi, Gauss-Seidel, gradient, conjugate gradient methods (hints); choice of the preconditioner; stopping criteria and corresponding reliability); accuracy and stability of the approximation; the condition number of a matrix; over- and under-determined systems: the singular value decomposition (hints).
- Numerical approximation of functions and data: Polynomial interpolation (Lagrange form); piecewise interpolation; cubic interpolating splines; least-squares approximation of clouds of data.
- Numerical approximation of derivatives: finite difference schemes of the first and second order; the undetermined coefficient method.
- Numerical approximation of definite integrals: simple and composite formulas; midpoint, trapezoidal, Cavalieri-Simpson quadrature rules; Gaussian formulas; degree of exactness and order of accuracy of a quadrature rule.
- Numerical approximation of ODEs: the Cauchy problem; one-step methods (forward and backward Euler and Crank-Nicolson schemes); consistency, stability, and convergence (hints).

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Introduction to MATLAB

1.1 Main MATLAB operators

Assignment operator:

```
% Print output
a = 1
% Does not print output
b = 2;
```

The active variables can be found in the workspace and the value can be checked on the command window with:

```
% Value of all variables
whos
% Value of a
whos a
```

If you want to save the file:

```
% Save the command history
diary file_name.txt
% Save the whole workspace
save file_name
% Save only the variable a
save file_name_only_a a
% Load only the variable a
load file_name_only_a
% Load the whole workspace
load file_name
```

It is possible to clear variables with the following commands:

```
% Clear only the variable a clear a % Clear the whole workspace clear all
```

1.2 Vector and matrices

Most of the entities in MATLAB are matrices, even real numbers. The matrices can be defined in the following ways:

It is also possible to define various types of matrices:

```
% Zeros vector/matrix
A = zeros(row_length,column_length)
% Ones vector/matrix
A = ones(row_length,column_length)
% Identity matrix
A = eye(row_length,column_length)
% Diagonal matrix
d = [1:4]
D = diag(d)
% Set a not principal diagonal
D = diag(d, diagonal_index)
% Select only upper o lower trinagular
Ml = tril(M)
Mu = triu(M)
% Access an element in vector
% Access an element in matrix
```

```
C([2,3]);
% Access a part of the matrix
Q(rows,columns)
% Access the element in position (n,m)
Q(end, end)
% Dimension of a matrix
length(a);
numel(b);
size(a);
```

The operations on vectors are done in the following way:

```
% Given two row vectors a and b
% Vector sum
a + b
% Vector difference
a - b
% Scalar product
a * b'
dot(a,b)
% Tensor product
a' * b
% Elementwise product
a .* b
% Elementwise division
a ./ b
% Elementwise exponentiation
a .^ 2
```

The operations on matrices are done in the following way:

```
% Givcen two matrices A and B (both 3x2)
% Matrix sum
A + B
% Matrix difference
A - B
% Matrix product
K * L'
% Elementwise product
A .* B
% Elementwise division
A ./ B
% Elementwise exponentiation
A .^ 2
```

```
% Power matrix (useful only square)
A ^ 2
% Other useful values of the matrices
% Determinant
det(A)
% Trace
trace(A)
% Inverse of small matrix
inv(A)
% Given a column vector b ths olutio of Ax=b
A \ b
```

The function used to plot a graph are the following:

```
% To plot y=f(x) in [a,b]
x = a:step_length:b;
y = f(x);
figure
plot(x,y,color)
% To add y2=f2(x) in [c,d]
hold on
x2 = c:step_length:d;
y2 = f2(x);
plot(x2,y2,color)
% Show graph's grid
grid on
% Set the axis limit
axis([xmin xmax ymin ymax])
% Set the same scaling for both axis
axis equal
```

To handle functions the commands are:

```
% Define a function handle to g(x)
f = @g(x);
% Evaluation of f in a
f(a)
% Define an anonymous function
% It is useful to modify other functions
f = @(argument-list) expression
```

The operators that u logical values are:

```
% Smaller than
```

```
a < b
% Greater than
a > b
% Smaller or equal than
a <= b
% Equal to
a == b
% Different from
a ~= b
% And
(a < b) & (b > c)
% Or
(a < b) | (b > c)
```

The control-flow statement are:

```
% if-then-else statements
if (condition1)
   block1
elseif (condition2)
   block2
else
   block3
end
% for loops
for (index=start:step:end)
   instruction block
end
% while loops
while (condition)
   instruction block
end
```

There are two categories of m-files:

- Scripts: these files contain instructions that are executed in sequence in the command line if the script file is called. The variables are saved in the current workspace.
- Functions: they take some input arguments and return some outputs after a series of instructions are performed. The variables defined in the function are local to the scope of the function itself.

Laboratory I

2.1 Row vector

Define the row vector:

$$\bar{v_k} = [1, 9, 25, \dots, (2k+1)^2] \in \mathbb{R}$$

with k = 8 using the following strategies:

- 1. A for loop to define one by one each element of the vector.
- 2. The vector syntax to build it in just one shot.

```
k = 8;
% For loop strategy
vk = zeros(1, k+1);
for (ii = 0:k)
    vk(ii+1) = (2*ii + 1)^2;
end
vk
% Vector syntax
vk = [1:2:2*k+1].^2;
```

2.2 Vector's function

Define a function which, for an input value k, returns the corresponding vector v_k as defined in the previous exercise.

```
function vk = ex_1_2(k)
vk = [1:2:2*k+1].^2;
end
```

2.3 Matrix

Using the function of the previous exercise write another function that returns, for a generic value k, the $2(k+1) \times 2(k+1)$ matrix.

$$m_k = \begin{bmatrix} 2 & 0 & 0 & 0 & 0 & 0 & \cdots & 0 & 0 \\ 0 & \sqrt[2]{2} & 0 & 0 & 0 & 0 & \cdots & 0 & 1 \\ 0 & 0 & \sqrt[3]{2} & 0 & 0 & 0 & \cdots & 0 & 0 \\ 0 & 0 & 0 & \sqrt[4]{2} & 0 & 0 & \cdots & 0 & 9 \\ 0 & 0 & 0 & 0 & \sqrt[5]{2} & 0 & \cdots & 0 & 0 \\ 0 & 0 & 0 & 0 & \sqrt[6]{2} & \cdots & 0 & 25 \\ \vdots & \vdots & \vdots & \vdots & \vdots & \vdots & \ddots & \vdots & \vdots \\ 0 & 0 & 0 & 0 & 0 & 0 & \cdots & \frac{(2k+1)\sqrt{2}}{2} & 0 \\ 1 & 1 & 9 & 9 & 25 & 25 & \cdots & (2k+1)^2 & (2k+1)^2 \end{bmatrix}$$

```
function Mk = ex_1_3(k)
% Create a diagonal matrix with the right elements and dimension
Mk = diag(2.^(1./[1:2*(k+1)]))
% The bottom right element will be overwritten
% Last column
Mk(2:2:end, end) = ex_1_2(k)
% Last line
Mk(end, 1:2:end) = ex_1_2(k)
Mk(end, 2:2:end) = ex_1_2(k)
end
```

2.4 Machine epsilon

Find the machine epsilon by implementing an ad hoc procedure. Comment and justify the obtained results.

```
k = 0;
EPS = 1/2;
while (1 + EPS) > 1
     EPS_old = EPS;  % keep track of the value
     EPS = EPS / 2;
     k = k + 1;
end
format long
EPS_old
(1 + EPS_old) > 1
EPS
(1 + EPS) > 1
k     % Number of iterations, which is also the numer of digits in the mantissa, according to the standard
eps
```

2.5 Function analysis

Consider the following function:

$$f(x) = \frac{e^x - 1}{x}$$

- 1. Evaluate f(x) for values of x around zero (try with $x_k = 10^{-k}$, $k \in [1, 20]$). What do you obtain? Explain the results.
- 2. Propose an approach for fixing the problem. (Hint: Use Taylor expansions to get an approximation of f(x) around x = 0).
- 3. How many terms in the Taylor expansion are needed to get double precision accuracy (16 decimal digits) $\forall x \in \left[0, \frac{1}{2}\right]$?

```
Evaluate f(x) for values of x around zero (try with xk =
   10^{-k}, k in [1,20]). What do you obtain? Explain the results.
k = [1:20];
x = 10.^(-k);
f = 0(x) (exp(x) - 1) ./ x;
format long
[k \times f(x)]
figure;
plot(x, f(x), **)
f_{taylor_5} = @(x) 1 + 1/2*x + 1/6*x.^2 + 1/24*x.^3 + 1/120*x.^4;
[k \times f(x) f_{taylor_5(x)}]
format short e
n = [1:20];
err = 1./factorial(n+2) .* (0.5).^(n+1).*exp(0.5);
[n err]
   Therefore n* = 13$.
```

2.6 Sequence

The sequence:

$$1, \frac{1}{3}, \frac{1}{9}, \dots, \frac{1}{3^n}, \dots$$

can be generated with the following recursive relations:

$$\begin{cases} p_n = \frac{10}{3} p_{n-1} = p_{n-2} \\ p_1 = \frac{1}{3}, \ p_0 = 1 \end{cases}$$

$$\begin{cases} q_n = \frac{1}{3}q_{n-1} \\ q_0 = 1 \end{cases}$$

- 1. Implement the two relations in order to generate the first 100 terms of the sequence.
- 2. Study the stability of the two algorithms and justify the obtained results.

```
p(1) = 1;
p(2) = 1/3;
for i = 2:100
   p(i+1) = 10/3*p(i) - p(i-1);
end
figure
subplot(2,1,1)
plot(0:100, p, 'LineWidth',3)
% gca return the current axes
% setting the fontsize on axes
set(gca,'FontSize',16)
xlabel('n','FontSize',16)
ylabel('p_n','FontSize',16)
% The sequence explodes!
q(1) = 1;
for i=1:100
   q(i+1) = 1/3*q(i);
end
```

```
subplot(2,1,2)
plot(0:100, q, 'LineWidth',3)
set(gca,'FontSize',16)
xlabel('n','FontSize',16)
ylabel('q_n','FontSize',16)
% The sequence is ok.
```

Laboratory session II

3.1 Bisection method

Consider the following function

$$f(x) = x^3 - (2+e)x^2 + (2e+1)x + (1-e) - \cosh(x-1) \ x \in [0.5, 5.5]$$

- Plot the function f and determine two intervals that contain its roots.
- Implement the bisection method:

```
function [x,x_iter]=bisection(f,a,b,tol)
```

where x is the solution, x_iter is the vector of the approximations at each iteration, f is the function, defined as handle function, a, b are the end points of the interval, tol is the required tolerance.

• For which roots the bisection method can be used? Compute the number of needed iterations for the bisection method to converge with a tolerance of 10⁻³, when the interval [3, 5] is chosen as starting interval.

```
1. f= @(x) x.^3-(2 + exp(1))*x.^2 + (2*exp(1) + 1)*x + (1 -
exp(1)) - cosh(x - 1);
a=0.5;
b=5.5;
x_plot=linspace(a,b,1000);
plot(x_plot,f(x_plot));
grid on
```

```
2. function [x,x_iter]=bisection(f,a,b,tol)
       Nmax = ceil(log((b-a)/tol)/log(2));
       for i=1:Nmax
           x_{iter(i)=(b+a)/2;}
           if f(x_iter(i))*f(a)<0
              b=x_iter(i);
           else
              a=x_iter(i);
           end
       end
       x=x_iter(end);
   end
3. a=3;
   b=5;
   tol=1.e-3;
   [x,x_iter]=bisection(f,a,b,tol);
   x_plot=linspace(a,b,1000);
   figure
   plot(x_plot,f(x_plot));
   title("Iterations required to reach the tollerance:",
       length(x_iter))
   grid on
   hold on
```

3.2 Newton method

Consider the following function in the interval [-0.5, 1.5]

$$f(x) = \sin(x)(1-x)^2$$

- 1. Plot f in order to find some intervals containing the roots.
- 2. Implement the Newton method by using a stopping criterion based on the error estimator $|x^k x^{k-1}|$. The signature of the function is:

```
function [x,x_iter]=newton(f,df,x0,tol,Nmax)
```

where x is the approximate, x_iter is the vector of the approximations at each iteration, f, df are the function and its first derivative, defined as handle functions, x0 is the initial guess, tol is the tolerance demanded by user and Nmax is the maximum number of allowed iterations.

- 3. Use Newton method to find the roots with a tolerance equal to 10^{-6} , by considering as initial guess x0 = 0.3 and x0 = 0.5.
- 4. Compute an estimate of the convergence rate.

```
1. f=0(x) \sin(x).*(1-x).^2;
   df=Q(x) cos(x).*(1-x).^2-2*sin(x).*(1-x);
   x_plot=linspace(-0.5,1.5,1000);
   plot(x_plot,f(x_plot));
2. function [x,x_iter]=newton(f,df,x0,tol,Nmax)
       i=1;
       err=1+tol;
       x_{iter(i)=x0};
       while i<=Nmax && err>tol
           if(abs(df(x_iter(i))) < 1e-8)</pre>
               break;
           x_iter(i+1)=x_iter(i)-f(x_iter(i))/df(x_iter(i));
           err=abs(x_iter(i+1)-x_iter(i));
           i=i+1;
       end
       x=x_iter(end);
```

```
end
3. [x1,x1_{iter}]=newton(f,df,0.3,1.e-6,100);
   err1=abs(x1_iter-0)
4. function p = conv_order(e) % e is the error
       p = log(e(3:end)./e(2:end-1))./log(e(2:end-1)./e(1:end-2));
   end
   p = conv_order(err1)
   figure;
   plot(p);
   title('convergence order, root x1=0');
   [x2,x2\_iter] = newton(f,df,0.5,1.e-6,100);
   err2=abs(x2_iter-1);
   p = conv_order(err2)
   figure;
   plot(p);
   title('convergence order, root x2=1');
```

3.3 Newton method for system

1. Implement the Newton method for systems. The signature of the function is:

```
function
    [x,res,niter,difv,x_vect]=newtonsys(Ffun,Jfun,x0,tol,
    kmax,normtype,varargin)
```

where Ffun is the function handle to vector function f(x), Jfun is Jacobian handle matrix, x0 is the initial value for iterative process, nmax is the maximum number of allowed iterations, tol is the absolute error tolerance, normtype is the type of norm used in the error estimation, and varargin is an input variable in a function definition statement that enables the function to accept any number of input arguments.

2. Use Newton method for the given system and the given parameters.

```
1. function [x,res,niter,difv,x_vect] =
   newtonsys(Ffun, Jfun, x0, tol, kmax, normtype, varargin)
   k = 0;
   x_{vect} = x0;
   err = tol + 1; difv=[];
   x = x0;
   if normtype == 2
       nor = 2;
   else
       nor = inf;
   end
   while err >= tol && k < kmax
       J = Jfun(x,varargin{:});
       F = Ffun(x, varargin{:});
       delta = - J \ ;
       x = x + delta;
       err = norm(delta,nor);
       difv=[difv; err];
       x_{\text{vect}} = [x_{\text{vect}} x];
       k = k + 1;
   end
   res = norm(Ffun(x, varargin{:}));
```

Laboratory session III

4.1 Fixed-point iteration

Given $\xi = \sqrt{5}$, using the fixed point iteration method:

- 1. Check if $\phi(x) = 5 + x x^2$ converges in ξ .
- 2. Check if $\phi(x) = 5/x$ converges in ξ .
- 3. Check if $\phi(x) = 1 + x (1/5) * x^2$ converges in ξ .
- 4. Check if $\phi(x) = (1/2) * (x + 5/x)$ converges in ξ and the order of convergence.
- 5. Apply the fixed point iteration method in all previous cases.

```
1. xi = sqrt(5);
   phi1 = @(x) 5 + x - x.^2;
   dphi1 = @(x) 1 - 2*x;
   abs(dphi1(xi))
   % The absolute value of the derivative of phi at xi
   % is greater than 1: the method will not converge.
2. xi = sqrt(5);
   phi2 = @(x) 5./x;
   dphi2 = @(x) -5./x.^2;
   abs(dphi2(xi))
   % The absolute value of the derivative of phi at xi
   % is equal to 1: no theoretical conclusion can be stated in this case.
```

```
3. xi = sqrt(5);
   phi3 = 0(x) 1 + x - 1/5*x.^2;
   dphi3 = @(x) 1 - 2/5*x;
   abs(dphi3(xi))
   % The absolute value of the derivative of phi at xi
   % is less than 1: the method will converge provided that the
       initial guess x\{(0)\} is close enough to xi (local
       convergence).
4. xi = sqrt(5);
   phi4 = 0(x) \frac{1}{2}(x + 5./x);
   dphi4 = @(x) 1/2 - 5./(2*x.^2);
   abs(dphi4(xi))
   % The absolute value of the derivative of phi at xi
   % is zero (i.e. less than 1): the method will converge provided
       that the initial guess x\{(0)\} is close enough to xi (local
       convergence).
   d2phi4 = @(x) 5./x.^3;
   abs(d2phi4(xi))
   % The second derivative is different from zero,
   % so method 4 is expected to be of second order.
5. function [xi, x_iter] = fixed_point(phi, x0, tol, maxit)
       x_{iter}(1) = x0;
       for (iter = 1:maxit)
       x_iter(iter+1) = phi(x_iter(iter));
       if (abs (x_iter(iter+1) - x_iter(iter)) < tol)</pre>
           break;
       end
       end
       xi = x_iter(end);
   end
   tol = 1e-6;
   maxit = 1000;
   x0 = xi + 0.001;
   [xi1, x1] = fixed_point(phi1, x0, tol, maxit);
   xi1
   iter1 = numel(x1) - 1
    [xi1, x1] = fixed_point_FV(phi1, x0, tol, maxit);
   xi1
   iter1 = numel(x1) - 1
   % The approximation xi is incorrect and the number of performed
       iterations is the maximum: as expected, the method did not
       converge.
```

```
x0 = 3;
[xi2, x2] = fixed_point(phi2, x0, tol, maxit);
% number of iterations of method 2
iter2 = numel(x2) - 1
% different implementation of fixed point method
[xi2, x2] = fixed_point_FV(phi2, x0, tol, maxit);
xi2
iter2 = numel(x2) - 1
% The approximation xi is incorrect and the number of performed
   iterations is the maximum: the method did not converge.
x0 = 4;
[xi3, x3] = fixed_point(phi3, x0, tol, maxit);
xi3
iter3 = numel(x3) - 1
[xi3, x3] = fixed_point_FV(phi3, x0, tol, maxit);
xi3
iter3 = numel(x3) - 1
\mbox{\ensuremath{\mbox{\%}}} The method converged locally to xi.
x0 = 10;
[xi3, x3] = fixed_point(phi3, x0, tol, maxit);
iter3 = numel(x3) - 1
[xi3, x3] = fixed_point_FV(phi3, x0, tol, maxit);
xi3
iter3 = numel(x3) - 1
% With a different initial guess, the method may not converge
   to xi.
x0 = 4;
[xi4, x4] = fixed_point(phi4, x0, tol, maxit);
iter4 = numel(x4) - 1
[xi4, x4] = fixed_point_FV(phi4, x0, tol, maxit);
xi4
iter4 = numel(x4) - 1
% The method converged to xi.
```

4.2 Bisection

Consider the following function in the interval [-1, 6]

$$f(x) = \arctan \left[7\left(x - \frac{\pi}{2}\right)\right] + \sin \left[\left(x - \frac{\pi}{2}\right)^3\right]$$

- 1. Plot f in order to find an interval containing a root. What is the multiplicity of the root?
- 2. Use the Newton method to find the root with a tolerance of 10^{-10} and initial guess $x^{(0)} = 1.5$. Compute the error.
- 3. Use the Newton method to find the root with a tolerance of 10^{-10} and initial guess $x^{(0)} = 4$. Compute the error.
- 4. If possible, apply the bisection method on the interval [a, b] = [-1, 6] and tolerance $\frac{b-a}{20^{30}}$. Compute the error.
- 5. Write a function bisection_newton.m to find ξ using the Newton method starting from an initial guess obtained after few iterations of a bisection method. Test with [a, b] = [-1, 6], 5 iterations of the bisection method and tolerance 10^{-10} for the Newton method.

```
function rootfinding_function_plot(f, a, b, new_figure)
    if ((nargin < 4) || new_figure)</pre>
    figure
    end
    hold on, box on
    x_{plot} = linspace(a, b, 1000);
    plot(x_plot, f(x_plot), 'LineWidth', 2)
    plot(x_plot, 0*x_plot, 'k-', 'LineWidth', 1)
    xlabel('x', 'FontSize', 16)
    ylabel('f(x)', 'FontSize', 16)
    set(gca,'FontSize', 16)
    set(gca, 'LineWidth', 1.5)
end
a = -1;
b = 6;
f = O(x) atan(7*(x - pi/2)) + sin((x-pi/2).^3);
```

```
rootfinding_function_plot(f, a, b, true);
   xi_ex = pi/2;
   df = Q(x) 7 . / (1 + 49 * (x-pi/2).^2) + 3 * (x-pi/2).^2 .*
       \cos((x-pi/2).^3);
   df(xi_ex);
2. x0 = 1.5;
   tol = 1e-10;
   maxit = 1000;
    [xi1, x_iter1] = newton(f, df, x0, tol, maxit);
   iter1 = numel(x_iter1) - 1
   err1 = abs(xi1 - xi_ex)
   % Newton method converges to xi
3. x0 = 4;
   tol = 1e-10;
   maxit = 1000;
   [xi2, x_iter2] = newton(f, df, x0, tol, maxit);
   iter2 = numel(x_iter2) - 1
   err2 = abs(xi2 - xi_ex)
   % Newton method does not converge to xi
4. tol = (b-a)/(2^30);
    [xi3, x_iter3] = bisection(f, a, b, tol);
   xi3
   iter3=numel(x_iter3)
   tol_bisection = (b-a)/(2^5);
   tol_newton = 1e-10;
   maxit_newton = 1000;
    [xi4, x_iter4_bisection, x_iter4_newton] = bisection_newton(f,
       df, a, b, tol_bisection, tol_newton, maxit_newton);
   xi4
   iter4_bisection=numel(x_iter4_bisection)
   iter4_newton=numel(x_iter4_newton)
   err4 = abs(xi4 - xi_ex)
5. function [xi, x_iter_bisection, x_iter_newton] =
   bisection_newton(f, df, a, b, tol_bisection, tol_newton,
   maxit_newton, multiplicity)
       if (nargin < 8)</pre>
       multiplicity = 1;
       end
       [xi_bisection, x_iter_bisection] = bisection(f, a, b,
          tol_bisection);
```

```
[xi_newton, x_iter_newton] = newton(f, df, xi_bisection,
       tol_newton, maxit_newton, multiplicity);
   xi = xi_newton;
end
function [xi, x_iter] = bisection(f, a, b, tol)
   max_iterb = ceil(log((b - a)/tol)/log(2));
   for (iter = 1:max_iterb)
   x_{iter(iter)} = a + (b-a)/2;
   f_iter(iter) = f(x_iter(iter));
   if (f(b)*f_iter(iter) < 0 )</pre>
       a = x_iter(iter);
   elseif ( f(a)*f_iter(iter) < 0 )</pre>
       b = x_iter(iter);
   else % f(x) = 0
       break:
   end
   end
   xi = x_iter(end);
end
function [xi, x_iter] = newton(f, df, x0, tol, maxit,
   multiplicity)
   if (nargin < 6)</pre>
   multiplicity = 1;
   end
   x_{iter}(1) = x0;
   for (iter = 1:maxit)
   newton_method = Q(x) \times - \text{multiplicity}*f(x)/df(x);
   x_iter(iter+1) = newton_method(x_iter(iter));
   if (abs (x_iter(iter+1) - x_iter(iter)) < tol)</pre>
       break;
   end
   end
   xi = x_iter(end);
end
```

Chapter 5 Laboratory session IV