

# MATH676 — Tropical Geometry

Based on the lectures by Renzo Cavalieri

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Fall 2023

Please note that these notes were not provided or endorsed by the lecturer and have been significantly altered after the class. They may not accurately reflect the content covered in class and any errors are solely my responsibility.

This is a topics course on this stuff

## Requirements

Knowledge on stuff

### TO DO:

- ◇ Write info on course description and requirements.
- ◇ Polish info from day 1
- ◇ Polish last part of day 2
- ◇ Continue adding info from Renzo's digital notes

# Contents

<b>Contents</b>	<b>2</b>
<b>1 Combinatorial Shadow of Algebraic Geometry</b>	<b>3</b>
1.1 Day 1   20230821	3
1.2 Day 2   20230823	4
1.3 Day 3   20230825	7
1.4 Interim	12
1.5 Day 4   20230828	12
1.6 Day 5   20230830	16
1.7 Day 6   20230901	21
1.8 Interim 2	26
<b>Index</b>	<b>31</b>
<b>Bibliography</b>	<b>33</b>

# Chapter 1

## Combinatorial Shadow of Algebraic Geometry

### 1.1 Day 1 | 20230821

Think of an algorithm where the input is an algebraic variety and the output is a combinatorial object, a piecewise linear object.

**Example 1.1.1.** Consider as an input a line in the plane. Say  $V(x + y - 1)$ , then an output would be a tropical line. If we remain in the plane and consider a higher degree polynomial, say an elliptic curve, as an output we obtain a tropical cubic.

Leaving the plane behind and thinking of abstract nodal curves, we can think of a sphere attached to a torus which is attached to a genus 2 torus, then the corresponding object is what we call the dual graph.

Right now we do not know the specific algorithm, but we can observe that the outputs are *more simple* than the inputs. So the important question is:

*What algebraic information does the simplified object remember? How do we extract the information the object remembers? And once we know how to work with this objects, can we return to algebraic geometry from any kind of these objects?*

Observe that the number of ends which go to infinity corresponds with the degree.

## 1.2 Day 2 | 20230823

### Algebraic Geometry on $\mathbb{T}$

Let us talk about ways to get into tropical geometry. We will first define the tropical semifield which the base set over which we will do algebraic geometry.

**Definition 1.2.1.** The tropical semifield is the set  $(\mathbb{R} \cup \{-\infty\})$  equipped with tropical addition and multiplication:

$$\begin{cases} x \oplus y = \max(x, y) \\ x \odot y = x + y \end{cases}$$

With this set we can make multivariable polynomials

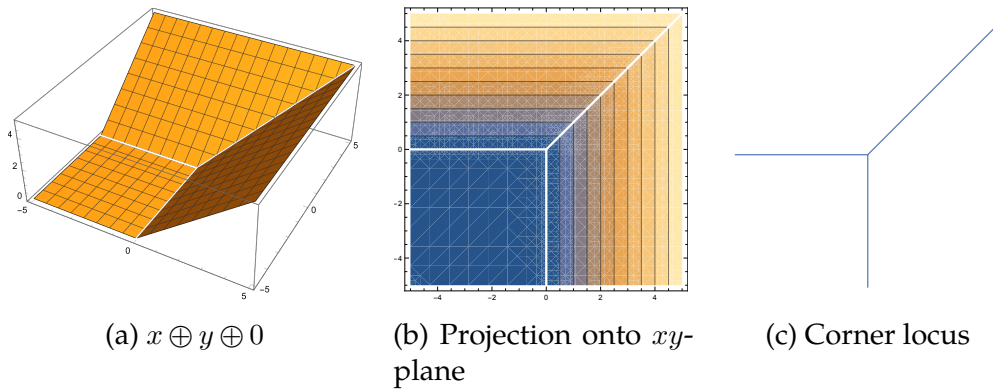
$$p(\underline{x}) : (\mathbb{R} \cup \{-\infty\})^n \rightarrow \mathbb{R} \cup \{-\infty\}$$

which gives rise to their *tropicalization*, a piecewise linear function  $\text{Trop}(p) : \mathbb{R}^n \rightarrow \mathbb{R}$ .

**Example 1.2.2.** Consider the polynomial

$$p(x, y) = x \oplus y \oplus 0,$$

its tropicalization is  $\text{Trop}(p)(x, y) = \max(x, y, 0)$  which indeed is a piecewise linear function from  $\mathbb{R}^2$  to  $\mathbb{R}$ . Observe that the surface is not smooth where the planes meet,



this is what we will call the *corner locus* or *tropical hypersurface*.

**Definition 1.2.3.** The tropical hypersurface  $V(\text{Trop}(p))$  is the codimension 1 locus in  $\mathbb{R}^n$  where the function is non-linear (corner locus).

**Example 1.2.4.** If we consider higher degree tropical polynomials, they will become linear in the usual sense. Consider

$$p(x) = 3x^2 = 3 \odot x \odot x = 3 + x + x = 3 + 2x$$

which is indeed linear.

### Valued fields

**Definition 1.2.5.** The field of Puiseux series or rational functions over  $\mathbb{C}$  is  $\mathbb{C}(t)$  where the elements are of the form

$$f(t) = \sum_{i=k_0}^{\infty} a_i t^{i/n}.$$

The lower bound  $k_0$  could be negative and the exponents, are rational with bounded denominators.

Consider the valuation

$$\text{val}_0 : \mathbb{C}(t) \rightarrow \mathbb{R} \cup \{\infty\}, \begin{cases} 0 \mapsto \infty \\ f \mapsto \text{order of vanishing at } 0. \end{cases}$$

This order of vanishing is the value  $\alpha$  such that  $f/t^\alpha$  approaches a finite non-zero value. The corresponding coefficient in the series expansion of  $f$  for this value is called the valuation coefficient.

**Example 1.2.6.** What happens to the order of vanishing when you add two functions? Consider  $f = t^2$ ,  $g = t^3$ , then  $f + g = t^2 + t^3$  which has order of vanishing 2. Observe that  $2 = \min(2, 3)$ .

In general what happens is that

$$\text{val}_0(f_1 + f_2) \geq \min(\text{val}_0 f_1, \text{val}_0 f_2), \quad \text{and} \quad \text{val}_0(f_1 f_2) = \text{val}_0(f_1) + \text{val}_0(f_2).$$

We can do algebraic geometry over this field! Let  $K$  be the field of rational functions, if  $p(\underline{x}) \in K[\underline{x}]$  then we consider the algebraic variety

$$X = V(p) = \{ \mathbf{x} : p(\mathbf{x}) = 0 \} \subseteq K^n.$$

Taking the image through the  $n$ -fold valuation, we will obtain a set in  $(\mathbb{R} \cup \{\infty\})^n$ . The tropicalization of  $X$  is the image via this map: and here  $\text{Trop}(V(p))$  is the tropical hypersurface for  $p$ .

$$\begin{array}{ccc}
 \text{val}_0 : K^n & \longrightarrow & (\mathbb{R} \cup \{\infty\})^n \\
 \cup & & \cup \\
 V(p) & \longmapsto & \overline{\text{val}_0(V(p))} \\
 \parallel & & \parallel \\
 \{\mathbf{x} : p(\mathbf{x}) = 0\} & & \text{Trop}(V(p))
 \end{array}$$

**Example 1.2.7.** Consider the polynomial in  $K[x, y]$

$$p(x, y) = tx + y + t^2,$$

then the variety is  $X = \{(x, y) : tx + y + t^2 = 0\}$  which we can solve to  $y = -tx - t^2$ .

If we choose  $x = 0$  then  $y$  becomes  $-t^2$ . Now we take the valuation of  $(0, -t^2)$  and so  $(\infty, 2) \in \text{Trop}(X)$ .

### Amoebas

Let us return to the usual stage and consider  $p \in \mathbb{C}[x]$  which defines an algebraic variety  $X = V(p) \subseteq \mathbb{C}^n$ . Now consider the map which sends every coordinate's modulus to its logarithm in base  $t$ :

$$\mathbb{C}^n \rightarrow (\mathbb{R} \cup \{-\infty\})^n, \quad (z_1, \dots, z_n) \rightarrow (\log_t |z_1|, \dots, \log_t |z_n|).$$

The image of  $X$  under this map,  $\log_t(X)$ , is the  $t$ -amoeba of  $X$ . If we take the limit as  $t \rightarrow \infty$  then we get the *spine* of the amoeba.

**Example 1.2.8.** When  $p(x, y) = x + y - 1$  then we can describe  $V(p)$  via the parametrization  $(x, 1 - x)$ . So the corresponding  $t$ -amoeba in the real case is

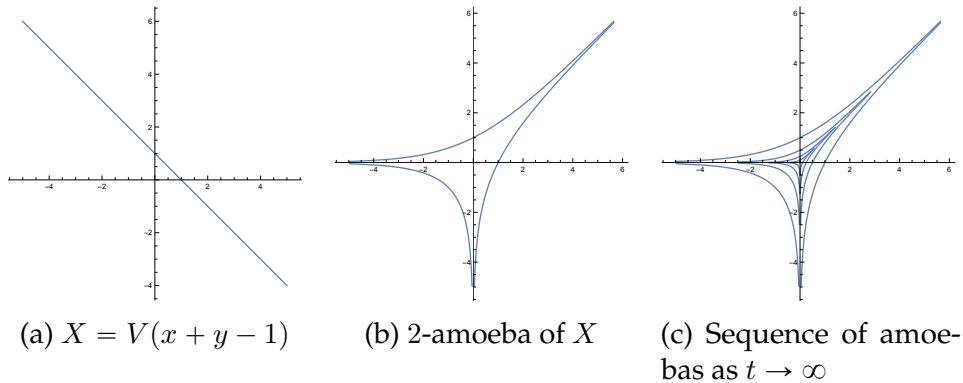
$$\{(\log_t |x|, \log_t |1 - x|) : x \in \mathbb{R}\}$$

and we ordinarily take the limit, we see that the functions converge to zero point-by-point. But the set is actually approaching the spine!

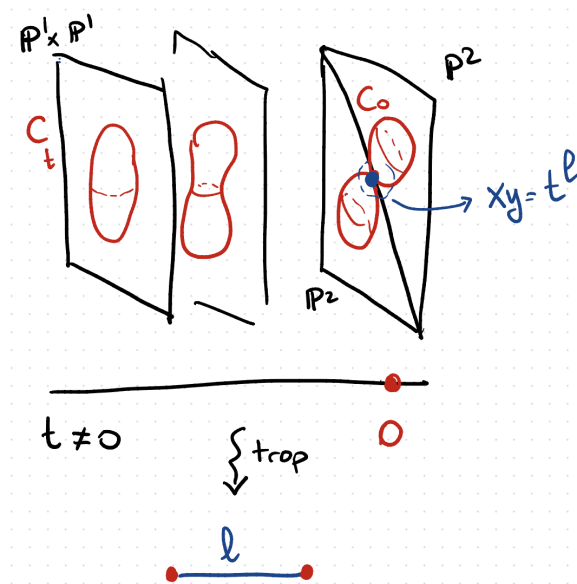
Observe that the spine approaches the tropical hypersurface associated to  $p$ . In other words we have that the tropical hypersurface is  $\lim_{t \rightarrow \infty} \log_t(V(p))$ .

### Degenerations

We may parametrize any algebraic variety with a time variable, then converting the information to a graph, edges code the information about how fast the node forms related to the length.



Consider a family of of what, what is this family of?! Stuff? Curve in  $P^1 \times P^1$  which eventually becomes  $P^2$ ?



It is too early to understand this point of view. We will set everything up to get to it.

In general, the big idea will be to explore and understand these perspectives in the case of plane curves. We want to show how they are equivalent and then recover classical algebraic geometry results in terms of tropical geometry.

### 1.3 Day 3 | 20230825

Recall that the last time we discussed the classical (25 to 30 years old) ways to get to tropical geometry. We now would like to answer the question

## 1. COMBINATORIAL SHADOW OF ALGEBRAIC GEOMETRY

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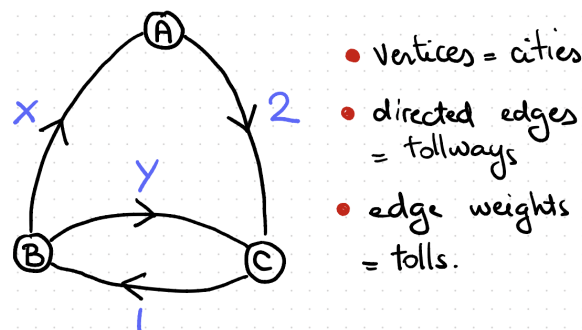
*Where do tropical numbers come from?*

So let us begin with an applications problem and see how the tropical numbers arise from the context of the problem.

### Tropical Arithmetics

#### Minimizing Tolls

Consider a set of cities connected by a network of toll-ways: If we only care about



minimizing toll expenses when traveling, what would be the cheapest way to go from one given city to another? Let us record the information as an incidence matrix:

$$M_{ij} = \text{price of going from city } i \text{ to city } j \text{ in at most one trip} \Rightarrow M = \begin{pmatrix} 0 & \infty & 2 \\ x & 0 & y \\ \infty & 1 & 0 \end{pmatrix}$$

In this matrix, the rows determine the outbound city, while the columns are the destination. Each entry records the cost of a toll and tolls are considered to be infinite when the road does not exist. We can also think of  $M$  as recording the cheapest toll to go from one city to another with at most one move.

How would we compute the best strategy of going from city  $i$  to  $j$  in *at most two trips*? If for example we want to find trips from  $A$  to  $B$  in two steps then we have three choices:

$$AAB, \quad ABB, \quad ACB.$$

The costs of each one are

$$(0, \infty), \quad (\infty, 0), \quad (2, 1)$$

so we sum them and take the minimum. That will be the optimal route from  $A$  to  $B$  in two steps. In fact, if we relate this to the entries of the matrix  $M$ , we could use  $M^2$ .



However we must redefine our basic operations as follows:

$$+ = \min, \quad \cdot = +$$

So we have the identification

$$(1, 2) \text{ entry of } M^2 = \sum_{j=1}^3 M_{1j} M_{j2} = \min(M_{11} + M_{12}, M_{12} + M_{22}, M_{13} + M_{32}).$$

In general:

$$\begin{aligned} \begin{pmatrix} 0 & \infty & 2 \\ x & 0 & y \\ \infty & 1 & 0 \end{pmatrix}^2 &= \begin{pmatrix} \min \begin{pmatrix} 0+0 \\ \infty+x \\ 2+\infty \end{pmatrix} & \min \begin{pmatrix} 0+\infty \\ \infty+0 \\ 2+1 \end{pmatrix} & \min \begin{pmatrix} 0+2 \\ \infty+y \\ 2+0 \end{pmatrix} \\ \min \begin{pmatrix} x+0 \\ 0+x \\ y+\infty \end{pmatrix} & \min \begin{pmatrix} x+\infty \\ 0+0 \\ y+1 \end{pmatrix} & \min \begin{pmatrix} x+2 \\ 0+y \\ y+0 \end{pmatrix} \\ \min \begin{pmatrix} \infty+0 \\ 1+x \\ 0+\infty \end{pmatrix} & \min \begin{pmatrix} \infty+\infty \\ 1+0 \\ 0+1 \end{pmatrix} & \min \begin{pmatrix} \infty+2 \\ 1+y \\ 0+0 \end{pmatrix} \end{pmatrix} \\ &= \begin{pmatrix} 0 & 3 & 2 \\ x & \min(0, y+1) & \min(x+2, y) \\ 1+x & 1 & \min(0, 1+y) \end{pmatrix}. \end{aligned}$$

Observe that  $1+y$  can be the minimum in the diagonal when we allow *negative tolls*.

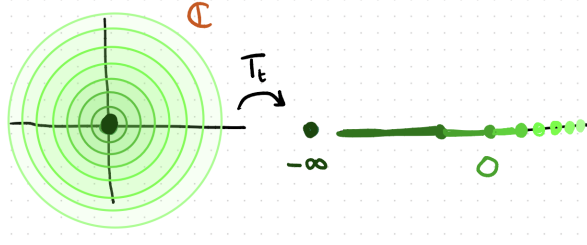
*Remark 1.3.1.* If we disallow negative tolls, the products  $M^n$  eventually stabilize to a matrix whose entries record the cheapest way to get from one city to another in  $n$  steps.

This gives us an intuition that minimization problems correspond to linear algebra problems over  $(\mathbb{T}, +, \cdot)$  which is precisely  $(\mathbb{R} \cup \{\infty\}, \min, +)$ .

### Forgetting phases

Recall that any complex number can be written as  $z = re^{i\theta}$  where  $r \geq 0$ . Consider the map  $T_t : \mathbb{C} \rightarrow \{-\infty\} \cup \mathbb{R}$ ,  $z \mapsto \log_t(r)$ . This map is surjective, and this we can see by checking it is right-invertible. Observe that:

$$\begin{cases} T_t^{-1}(x) = \{t^x e^{i\theta}\} \subseteq \mathbb{C}, & \text{for } x \in \mathbb{R}, \\ T_t^{-1}(-\infty) = 0. \end{cases}$$



With this in hand, we wish to define an exotic addition and multiplication on  $\{-\infty\} \cup \mathbb{R}$  using  $T_t$ . We will dequantize!

We begin with **hyper-addition**, the output will be a subset of  $\{-\infty\}$  so it's not a binary operation by itself.

$$x \diamondsuit_t y := T_t(T_t^{-1}(x) + T_t^{-1}(y)) = [\log_t(|t^x - t^y|), \log_t(t^x + t^y)].$$

This is an interval in  $\{-\infty\} \cup \mathbb{R}$ , in order to make  $\diamondsuit_t$  into an operation we take a limit:

$$\begin{array}{ccc} x \diamondsuit_t y & \xrightarrow{\lim_{t \rightarrow \infty}} & x \diamondsuit y = \lim_{t \rightarrow \infty} x \diamondsuit_t y \\ \downarrow \max & & \downarrow \max \\ x +_t y & \xrightarrow{\lim_{t \rightarrow \infty}} & x + y = \max(x, y) \end{array}$$

*Remark 1.3.2.* Note that  $\diamondsuit$  is still a hyperoperation. Its output is not a singleton *only* when adding a number to itself:

$$x \diamondsuit y = \begin{cases} \max(x, y), & x \neq y \\ [-\infty, x], & x = y \end{cases}$$

Formally this process, taking a limit of a family of operations, is known as *dequantization*.

In the case of multiplication, things go a lot smoother when defining it:

$$x \cdot y = T_t[T_t^{-1}(x) \cdot T_t^{-1}(y)] = \log_t[(t^x e^{i\theta})(t^y e^{i\varphi})] = \log_t(t^{x+y} e^{i(\theta+\varphi)})$$

Separating the logarithm we get  $(x + y) + \log(e^{i(\theta+\varphi)})/\log(t)$ , then letting  $t$  grow without bound we see that the operation converges to  $x + y$ .

**Example 1.3.3.** Let us consider a small example like summing 2 and 4. Observe that

$$4 \diamondsuit_t 2 = T_t(T_t^{-1}(4) + T_t^{-1}(2)) = T_t(t^4 e^{i\theta} + t^2 e^{i\varphi})$$

and the term on the inside can be simplified to  $t^4(e^{i\theta} + t^{-2}e^{i\varphi})$ .  $T_t$  takes that expression to

$$4 + \log_t(e^{i\theta} + t^{-2}e^{i\varphi}) = 4 + \frac{\log(e^{i\theta} + t^{-2}e^{i\varphi})}{\log t}.$$

What happens if we take the limit as  $t \rightarrow \infty$ ? We get an independent from  $t$  result! The term on the right vanishes and we are left with  $4 = \max(4, 2)$ . So it got a tad bit better, but it's still a hyperoperation!

**Exercise 1.3.4.** Check how the definition of  $+$  and  $\cdot$  extend to the *number*  $-\infty$ .

The point of this exercise is to operate  $-\infty$  with finite numbers and itself. For a finite  $x$  we will find  $x + (-\infty)$ . This is the limit of the previous hyperoperation:

$$x \diamondsuit_t (-\infty) = T_t(T_t^{-1}(x) + T_t^{-1}(-\infty)) = T_t(T_t^{-1}(x) + 0) = T_t(T_t^{-1}(x)) = x.$$

If we let  $t$  grow, the result doesn't change and so this goes according to  $\max(x, -\infty) = x$ .

On the other hand when taking the product:

$$x \cdot (-\infty) = T_t[T_t^{-1}(x) \cdot T_t^{-1}(-\infty)] = T_t[T_t^{-1}(x) \cdot 0] = T_t(0) = \log_t(0) \rightarrow -\infty$$

which is also similar to the notion of  $x + (-\infty) = -\infty$ .

We can now proceed to operate  $-\infty$  with itself:

$$(-\infty) \diamondsuit_t (-\infty) = T_t(0) = \log_t(0) = -\infty = \max(-\infty, -\infty),$$

and when taking the product:

$$(-\infty) \cdot (-\infty) = T_t(0) \log_t(0) = -\infty = (-\infty) + (-\infty)$$

where the last sum is a sum in the usual sense.

So, summarizing this process:

- ◇ We forgot about the phase of the complex numbers and only looked at them radially.
- ◇ The modulus of these numbers was scaled logarithmically.

- ◇ Finally we took the limit of these operations and obtained the desired (somewhat) result.

This is known as Maslov<sup>1</sup> dequantization and with this we can see  $(\mathbb{T}, +, \cdot)$  as  $(\{-\infty\} \cup \mathbb{R}, \max, +)$ . Also, we will abbreviate  $\lim_{t \rightarrow \infty} T_t$  with  $T_{t \rightarrow \infty}$ .

## 1.4 Interim

## 1.5 Day 4 | 20230828

We have seen where our ideas come from. Certain kinds of minimization problems give rise to our tropical numbers. Also by expressing complex numbers in a logarithmic scale without phase then when inducing a sum we actually get a hypersum. The way we converted into an operation is by taking a limit. Then the algebraic structure we obtained was once again the tropical numbers. Let us talk about the perspective of valued fields.

### Puiseux series

Recall from our times in Calculus 1 that when resolving indeterminate limits, the relevant information is contained in the order of vanishing of the function.

**Example 1.5.1.** Consider the limit  $\lim_{t \rightarrow 0} \frac{\sin(x)}{x} = 1$ . Near  $t = 0$  we have

$$\sin(t) = t + o(t) \sim t^1 \quad \text{and} \quad \frac{1}{t} = t^{-1} \quad \text{so} \quad t^1 t^{-1} = t^0 = 1.$$

From this, we care to study the orders of zeroes and poles of Laurent series. In order to extend the class of functions to an algebraically closed field, we consider Puiseux series, or rational functions. We can identify Puiseux series as

$$\mathbb{C}\{\{t\}\} = \bigcup_{n \in \mathbb{N}} \mathbb{C}(t^{1/n}).$$

Concretely, elements here are Laurent series with rational exponents and the exponents of terms with non-zero coefficients have a common denominator.

**Example 1.5.2.** The series  $\sum_{k=-37}^{\infty} t^{k/42}$  is a Puiseux series while  $\sum_{k=1}^{\infty} t^{1/k}$  is not because the exponents keep getting smaller and smaller.

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<sup>1</sup>Viktor Pavlovich Maslov (1930615-20230803)

This is the most natural algebraically closed field with a *canonical* valuation. This is the function:

$$\text{val} : \mathbb{C}\{\{t\}\} \rightarrow \mathbb{R} \cup \{\infty\}, \begin{cases} 0 \mapsto \infty \\ t^{p/q} + \text{higher order} \mapsto p/q \end{cases}$$

In other words the valuation sends  $\sum_{k=k_0}^{\infty} a_k t^{q_k}$  to  $q_{k_0}$ .

**Proposition 1.5.3.** *The previous valuation enjoys the following properties:*

- i.  $\text{val}(\alpha \cdot \beta) = \text{val}(\alpha) + \text{val}(\beta)$ .
- ii.  $\text{val}(\alpha + \beta) \geq \min(\text{val}(\alpha), \text{val}(\beta))$ .

Equality holds when  $\text{val}(\alpha) \neq \text{val}(\beta)$ .

So if we decide to define operations on  $\mathbb{R} \cup \{\infty\}$  by inducing them from the operations on  $\mathbb{C}\{\{t\}\}$ , then we obtain

$$x \diamond y = \text{val}(\text{val}^{-1}(x) + \text{val}^{-1}(y)), \quad x \cdot y = \text{val}(\text{val}^{-1}(x) \cdot \text{val}^{-1}(y)).$$

Now  $\cdot$  coincides with usual addition and  $+$  is the hyperoperation

$$x \diamond y = \begin{cases} \min(x, y) & \text{when } x \neq y, \\ [\min(x, y), \infty] & \text{when } x = y. \end{cases}$$

**Example 1.5.4.** If we try to sum 0 with itself, we get

$$0 \diamond 0 = \text{val}((a_0 + a_1 t^{q_1} + \dots) + (-a_0 + b_1 t^{r_1} + \dots))$$

The only natural way to turn this into an operation is to define  $x + y = \min(x, y)$ . In conclusion, the field of Puiseux series with the order of vanishing and poles is congruent to  $(\mathbb{T}, +, \cdot)$  which in this case is  $(\mathbb{R} \cup \{\infty\}, \min, +)$ .

## The Tropical Semifield

**Definition 1.5.5.** The tropical semifield is  $(\mathbb{T}, +, \cdot)$  where we can choose:

- $\diamond \mathbb{T} = \mathbb{R} \cup \infty, + = \min$  and  $\cdot = +$ , the min convention.
- $\diamond \mathbb{T} = \{-\infty\} \cup \mathbb{R}, + = \max$  and  $\cdot = +$ , the max convention.

There is a natural isomorphism between the two choices given by  $x \mapsto -x$ . As we have mentioned, different contexts may be more natural than the other when using certain conventions. We will typically use the  $\max$  convention.

**Proposition 1.5.6.** *The following algebraic properties hold for  $(\mathbb{T}, +, \cdot)$ :*

- i.  $0_{\mathbb{T}} = -\infty$ .
- ii.  $1_{\mathbb{T}} = 0$ .
- iii.  $x + y = 0_{\mathbb{T}}$  only has the solution  $x = y = 0_{\mathbb{T}}$ . This means that only  $-\infty$  has an additive inverse.
- iv. Addition is idempotent:  $x + x = x$ .
- v. Every non-zero element has a multiplicative inverse:  $1/x = -x$ .

**Proof**

- i. Observe that  $x + 0_{\mathbb{T}} = \max(x, -\infty) = x$ .
- ii.  $x \cdot 1_{\mathbb{T}} = x + 0 = x$ .
- iii.  $x + y = 0_{\mathbb{T}} \iff \max(x, y) = -\infty \Rightarrow x = y = -\infty$ .
- iv.  $x + x = \max(x, x) = x$ .
- v.  $x \cdot (1/x) = x + (-x) = 0 = 1_{\mathbb{T}}$ .

Observe that it is not possible to adjoin formal additive inverses. Suppose that for  $x \in \mathbb{T}$  there exists a  $y$  such that  $x + y = 0_{\mathbb{T}}$ , then

$$(x + x) + y = x + y = 0_{\mathbb{T}} \quad \text{and} \quad x + (x + y) = x + 0_{\mathbb{T}} = x \quad \text{but} \quad x \neq 0_{\mathbb{T}}.$$

This means that any invertible element necessarily has to be  $-\infty$ .

**Exercise 1.5.7 (2-).** Which other algebraic properties do these operations enjoy? We have claimed for example that  $+$  is associative. Prove this.

Are the operations commutative? Do they distribute with respect to each other?

**Proposition 1.5.8** (Weird Fun Facts). *Recall that the usual Pascal Triangle is built by adding the previous two elements to get the next one. In the tropical case we have*

$$\begin{array}{ccccccc} & & 1_{\mathbb{T}} & & & & 0 \\ & 1_{\mathbb{T}} & & 1_{\mathbb{T}} & = & 0 & 0 \\ 1_{\mathbb{T}} & & 1_{\mathbb{T}} & & 1_{\mathbb{T}} & & 0 & 0 & 0 \end{array}$$

and this extends downwards with the same pattern.

In the case of the tropical binomial theorem, the identity is

$$(x + y)^n = x^n + y^n \iff n \max(x, y) = \max(nx, ny).$$

**Exercise 1.5.9 (2).** Recall that the coefficients in the expansion for the binomial theorem are the corresponding elements in the rows of the Pascal Triangle. Verify if the coefficients agree in the tropical case for the binomial theorem.

### The Optimal Assignment Problem

Suppose we have  $n$  jobs for  $n$  workers. Each worker can only work one job and once the job is taken, no one else can do it. We wish to assign a job to each worker in order to maximize our company's profit.

**Example 1.5.10.** As a little example consider Alice and Bob's hydroponics farm. When working with the weeds Alice produces 5 credits while working with the water she produces 6. On the other hand Bob produces 3 and 5 respectively.

It is easy to see that Alice should be assigned to the weed and Bob to the water in order to maximize. But let us apply what we know with tropical arithmetics.

Call

$$M_{ij} = \text{amount of credits work } i \text{ produces when doing job } j.$$

Then we can summarize the previous information in a matrix

$$M = \begin{pmatrix} 5 & 6 \\ 3 & 5 \end{pmatrix}$$

and if we take the tropical determinant (which is really a permanent since we lack subtraction) we get

$$\text{Trop det } M = 5 \cdot 5 + 6 \cdot 3 = \max(5 + 5, 6 + 3) = 10$$

which is the maximal profit we can make by assigning our workers.

**Exercise 1.5.11.** Do the following:

- (1-) Construct a  $3 \times 3$  matrix with non-permuted entries such that there's more than one possible assignment for the optimal jobs.
- (1) Use the combinatorial definition of permanent to show that the tropical determinant of  $M$  is indeed the maximal profit. [Hint: The definition of permanent is the same as the determinant but without the  $(-1)^{\text{sgn } \sigma}$ .]
- (5) Assuming you know the tropical determinant of a matrix, devise a way to identify one job combination which reaches the optimum value.

## 1.6 Day 5 | 20230830

The last time we talked about the algebraic structure of the value group of the Puiseux series. We now have plenty of motivation of why would we define the tropical numbers.

### Tropical Polynomials and Roots

An univariate, tropical, (Laurent) monomial is equivalent to an affine linear function with integer coefficients. Such a monomial is an expression of the form

$$a \odot x^{\odot m}, \quad a \in \mathbb{T}, \quad m \in \mathbb{Z}.$$

**Example 1.6.1.** We have for example:

$$5x^2 \leftrightarrow 5 + 2x, \quad 2x^{-3} \leftrightarrow 2 - 3x \text{ (Laurent)}.$$

Also consider  $\sqrt{5} \odot x^{\odot 3}$  which corresponds to  $y = \sqrt{5} + 3y$ . Notice how the slope is always an integer, meanwhile the translation can be any number.

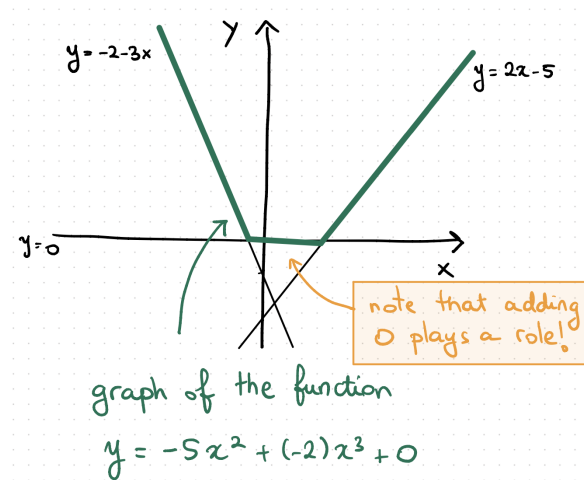
An univariate tropical (Laurent) polynomial is a finite sum of monomials which give rise to a *convex*, continuous, piecewise, affine linear function with integer slopes.

**Example 1.6.2.** Consider the function  $-5 \odot x^{\odot 2} \oplus (-2) \odot x^{\odot -3} \oplus 0$  which corresponds to

$$\max(-5 + 2x, -2 - 3x, 0).$$

If we graph this functions we obtain Observe that this function is indeed convex, and fulfills all of the previous properties from before.





In fact the map from  $\mathbb{T}[x]$  to convex, affine piecewise linear functions with *finitely* many distinct regions of linearity is surjective. If we don't want to take the finiteness condition into consideration, we have to amplify the domain to tropical Laurent series.

A small measure of care should be taken because there are multiple tropical polynomials which map to the same function.

**Example 1.6.3.** Consider the functions

$$p_1 = x + \frac{1}{x} + 0, \quad p_2 = x + \frac{1}{x} - 2.$$

When converting we get

$$\max(x, -x, 0), \quad \max(x, -x, -2)$$

which produce  $|x|$  in both cases. Adding something which is smaller than the minimum value of the function doesn't change it in general. It also doesn't have to be a constant in general. In the previous example, the monomial  $(-4) \odot x^{\odot 1}$  is smaller than any of the linear functions, so adding it changes nothing.

To talk about the roots, we will start with a purely combinatorial definition.

**Definition 1.6.4.** Given a polynomial  $p \in \mathbb{T}[x]$  of degree  $d$  we say the following:

- ◇  $-\infty$  is a root of  $p$  if the slope of the piecewise linear function is non-zero for  $x \ll 0$ .
- ◇  $x_0 \in \mathbb{R}$  is a root of  $p$  if  $p'(x_0)$  is undefined. Observe that the derivative is undefined only when there's a change in slope.

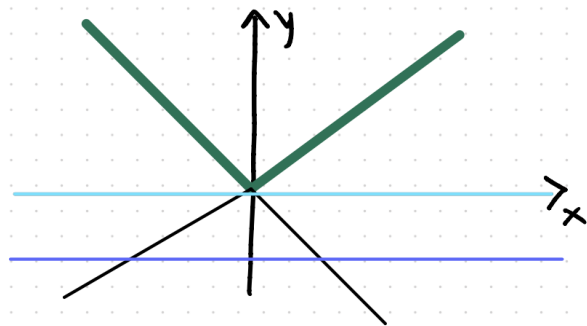
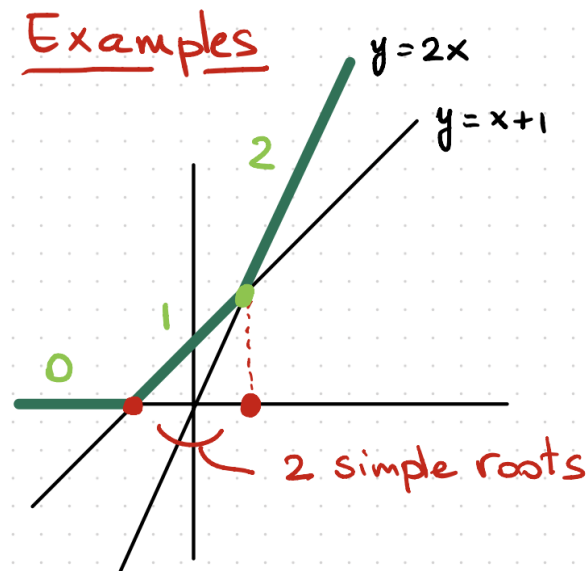


Figure 1.3: Failure of injectivity as both functions map to  $|x|$  with  $y = 0$  and  $y = -2$  shown.

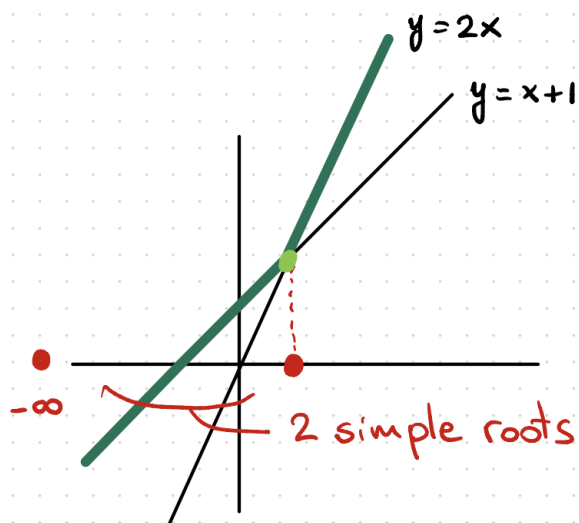
We say that the multiplicity of  $x_0$  is the difference between slopes across  $x_0$ . If  $-\infty$  is a root, then its multiplicity is equal to the slope of the associated function for  $x \ll 0$ .

**Example 1.6.5.** Consider the polynomial  $x^{\odot 2} \oplus 1 \odot x^1 \oplus 0 = \max(2x, x, 0)$ . We can see



that there are changes in slope at  $x_1 = -1$  and  $x_2 = 1$ . The number of roots coincides with the degree of the polynomial as in the usual sense.

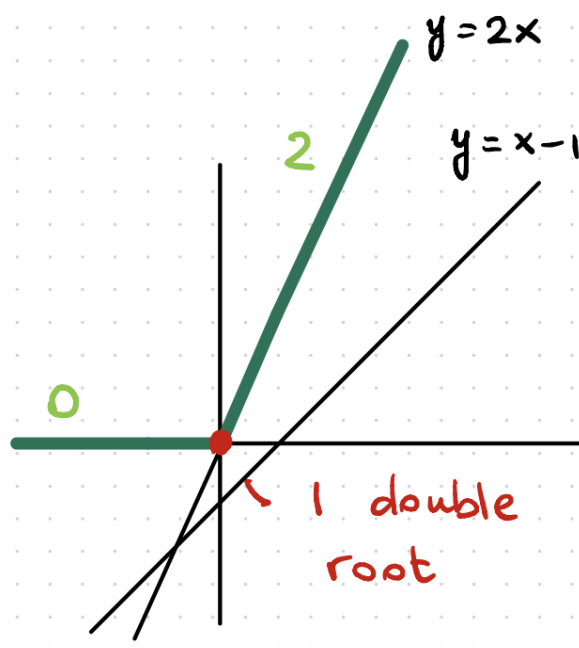
**Example 1.6.6.** Let's remove the zero, recall zero isn't the additive identity, so the polynomial we have is  $x^{\odot 2} \oplus 1 \odot x^1 = \max(2x, x)$ . Now one of the roots is still  $x = 1$ , but remember that if the slope is non-zero when  $x \ll 0$ , then  $-\infty$  is a root of  $p$ . This is the case here because the slope is 1 as  $x \rightarrow -\infty$ . Once again there's two roots  $x_1 = -\infty$  and  $x_2 = 1$ .



**Example 1.6.7.** Let us change a sign in a coefficient, take  $x^2 - 1 \cdot x^1 + 0$ . But what is tropical subtraction? It's not that, let's convert this slowly into what it's supposed to be:

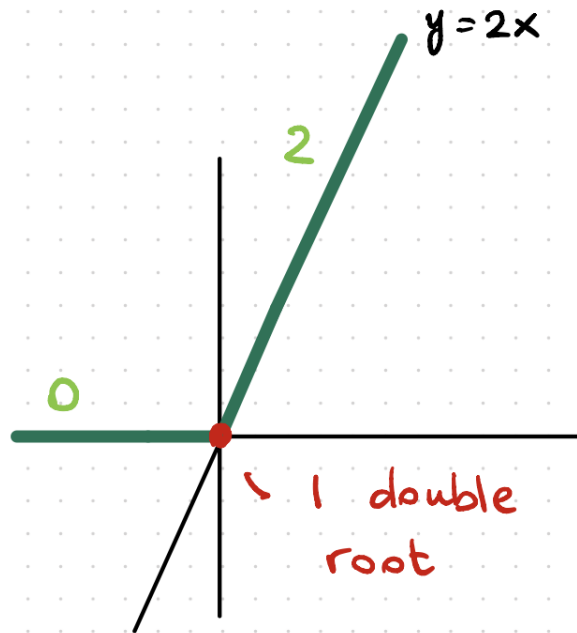
$$x^2 - 1 \cdot x^1 + 0 = (x \cdot x) + (-1) \cdot x + 0 = (2x) + (x + (-1)) + 0 = \max(2x, x - 1, 0).$$

Observe that because the line  $y = x - 1$  is below our graphs, it doesn't interfere with



the calculation of zeroes. So the only place where there occurs a change in sign is  $x = 0$ . The slope on the right is 2 and on the left is 0 so the multiplicity is  $2 - 0 = 2$ .

**Example 1.6.8.** In a similar fashion,  $x^2 + 0$  also has a double root at  $x = 0$ . There is



only one change in slope once again at  $x = 0$  and the difference in slopes is 2.

**Lemma 1.6.9.** For a tropical polynomial  $p$ , a finite  $x_0$  is a root of  $f$  if and only if when we write the function as a max of linear functions, at  $x_0$  the maximum value is obtained at least twice.

The multiplicity of the root is equal to the difference in the two extremal positions where the max is attained.

This should be more or less obvious. Being a root means that we are an intersection of two lines which are above all the others. It's pretty useful to have this notions around.

Questions arise:

Which functions have only one simple zero at  $-\infty$ ? What would a function with an order 2 zero at  $-\infty$  look like?

**Exercise 1.6.10.** Do the following:

- (5) Is it possible for a function to have only a simple zero at  $-\infty$ ? Provide an example of function with one simple zero at  $-\infty$  or prove that such function cannot exist.

- (5) Do functions with zeroes at  $-\infty$  have infinite order at such zero or is it arbitrarily high? If a function has a finite order zero at  $-\infty$  provide an example of one with a double zero at  $-\infty$ . Else, prove that such functions have infinite order at that zero.

## 1.7 Day 6 | 20230901

How do we know that the notions of roots are natural or useful?

### Factorization of Tropical Polynomials

Suppose a polynomial  $p \in \mathbb{T}[x]$  has roots  $a_k$  with multiplicity  $m_k$ . Then we may factor  $p$  as a product of linear polynomials

$$p(x) = c_0 \odot (x \oplus a_k)^{m_k}.$$

This  $p$  is the affine piecewise-linear function, not the formal object. And so, in a sense,  $\mathbb{T}$  is algebraically closed. But instead of proving this, we will sketch the proof to get an idea of how things *work* with a couple of examples.

The idea of the proof is that we check that product does define a P.L. function with the right slopes and then  $c_0$  gives the translation factor.

**Example 1.7.1.** First let's deal with the case where  $-\infty$  is not a root. Consider the polynomial

$$p(x) = (-1) \oplus (-1) \odot x \oplus (-4) \odot x^4 = \max(-1, x - 1, 4x - 4).$$

Remember, as in the case of real polynomials, the square and cube terms are still there. The coefficient that goes along them is just  $-\infty$ . We can graph the polynomial in order to see the roots: The points where there is a change in slope are  $a_1 = 0$  and  $a_2 = 1$ . Then their multiplicities are  $1 - 0 = 1$  and  $4 - 1 = 3$  respectively. We may write  $p$  as

$$p(x) = c_0 \odot (x \oplus 0) \odot (x \oplus 1)^3 = c_0 + \max(x, 0) + \max(3x, 3).$$

Whatever function we have, we can write as the sum of three terms. So let us subdivide the tropical line in order to see which terms goes where. The constant can be determined by plugging in  $x = -\infty$ . We can see that

$$\begin{aligned} p(-\infty) &= (-1) \oplus (-1) \odot (-\infty) \oplus (-4) \odot (-\infty)^4 = -1 \\ &= c_0 \odot (-\infty \oplus 0) \odot (-\infty \oplus 1)^3 = c_0 \odot 0 \odot 1^{\odot 3}. \end{aligned}$$

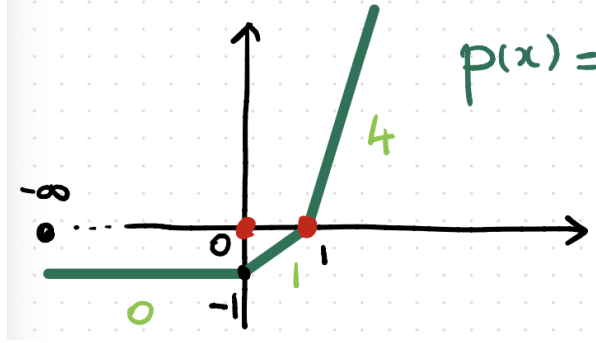


Figure 1.4: Graph of  $p(x)$  with roots shown

$x \leq 0$	$0 \leq x \leq 1$	$1 \leq x$
$c_0$	$c_0$	$c_0$
$0$	$x$	$x$
$3$	$3$	$3x$
$c_0 + 3$	$c_0 + 3 + x$	$c_0 + 4x$

Behavior of  $p(x)$  across  $\mathbb{T}$

This gives us the equation  $c_0 + 0 + 3 = -1$  which leads us to  $c_0 = -4$ . With this we verify that

$$p(x) = \begin{cases} -1 & x \leq 0 \\ x - 1 & 0 \leq x \leq 1 \\ 4x - 4 & 1 \leq x \end{cases}$$

So in this case  $c_0 = p(-\infty) - \sum m_k a_k \in \mathbb{R}$ .

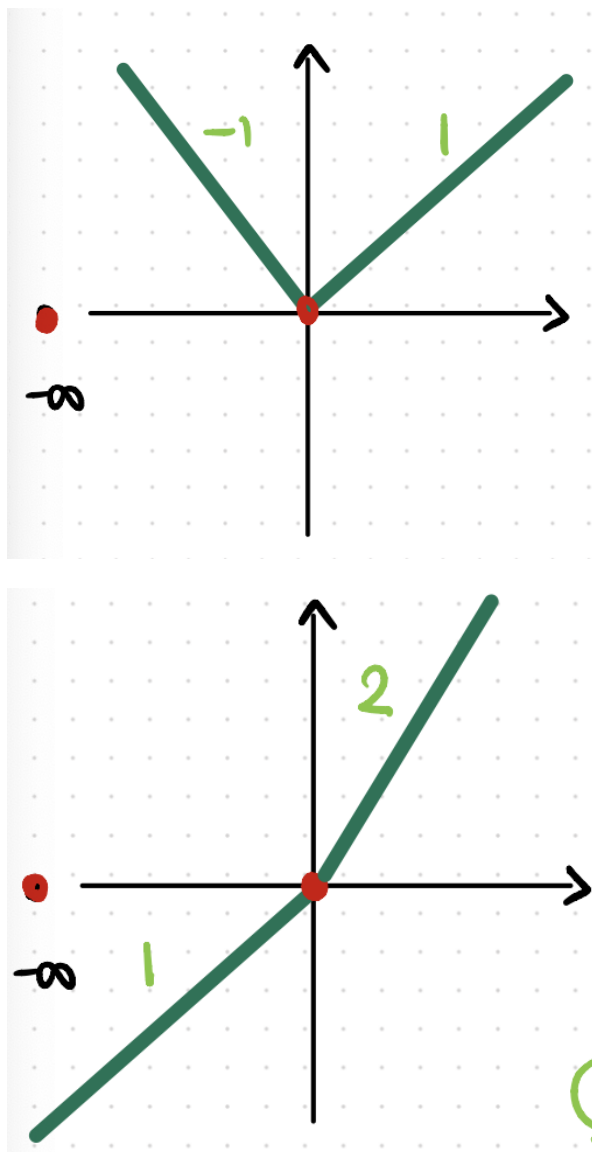
**Example 1.7.2.** We now explore the case where  $-\infty$  is a root or a pole. The argument will essentially be the same with a small modification.

Consider the function  $\frac{1}{x} \oplus x$ . We have  $-\infty$  as a pole of order 1 and 0 is a root of order  $1 - (-1) = 2$ . So this can be factored as

$$p(x) = c_0 \odot (x^{-1}) \odot (x + \oplus 1)^2$$

and even if  $-\infty$  doesn't give us a particular value for the function, we can still find  $c_0 = 0$  from the equation  $p(0) = 0$ .

If on the other hand we have a negative slope then we have a zero at  $-\infty$ . Consider the function  $p(x) = x + x^2$ : This function has two simple roots at  $-\infty$  and 0. We may



factor it as

$$p(x) = c_0 \odot (x \oplus -\infty) \odot (x \oplus 0)$$

and even if  $p(-\infty) = -\infty$  we can plug in 0 to get 0 back in order to get  $c_0 = 1$ .

## Correspondence Theorems

Recall the maps

$$\begin{cases} T_t : \mathbb{C} \rightarrow \mathbb{T} & (\text{with max}), \\ \text{val} : \mathbb{C}\{\{t\}\} \rightarrow \mathbb{T} & (\text{with min}). \end{cases}$$

If we consider a polynomial

$$p(X) \in \mathbb{C}[X] \quad \text{or} \quad p(x) \in \mathbb{C}\{\{t\}\}[X]$$

then we can produce a tropical polynomial as follows:

- i. Apply  $T_t$  or  $\text{val}$  to the coefficients, and
- ii. Perform tropical operations.

We expect that if  $r \in \mathbb{C}$  or  $r \in \mathbb{C}\{\{t\}\}$  is a root of  $p$ , then  $\lim_{t \rightarrow \infty} T_t(r)$  will be a root of the new polynomial.

Or the other way around, given  $p \in \mathbb{T}[x]$ , we can lift the coefficients to  $\mathbb{C}$  or the Puiseux series via the above maps. We can find the roots of the corresponding polynomials in  $\mathbb{C}[x]$  or  $\mathbb{C}\{\{t\}\}[x]$  and then the image of those roots via  $T_t$  or  $\text{val}$  are the tropical roots of  $p(x)$ .

**Example 1.7.3.** Consider the polynomial  $p(x) = 2 \odot x \oplus 3 \in \mathbb{T}[x]$ . We wish to construct a polynomial in  $\mathbb{C}[x]$  which tropicalizes to  $p$ . Take the polynomial

$$q(x) = t^2 X + t^3 \in \mathbb{C}[x], \quad t > 0$$

We could certainly add phase as  $e^{i\theta}$  to the  $t^k$ 's, but that won't change anything. Taking the logarithm of the coefficients we get

$$t^2 \mapsto 2 \quad \text{and} \quad t^3 \mapsto 3.$$

Then switching the operations to tropical operations we have

$$t^2 X + t^3 \xrightarrow{\text{Trop}} 2 \odot X \oplus 3$$

which was our original polynomial  $p$ .

Additionally if we solve the equation  $q = 0$  we obtain the root  $X = -t^3/t^2 = -t$ . Now  $\log_t |-t| = 1$ . Lo and behold, this is the same root of  $p(x)$ .

We should be skeptical because this was only an example of a linear polynomial. Lets increase the degree and see what happens. Eventually this correspondence must be shown to hold in its entirety.



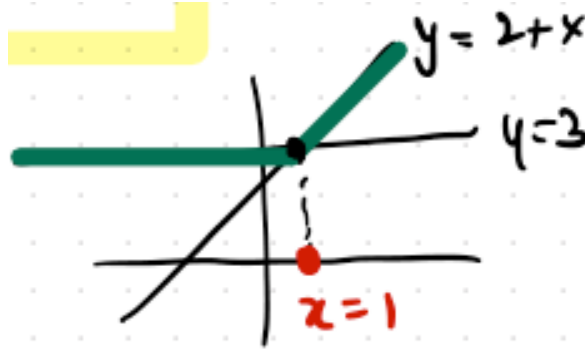


Figure 1.5: Root of  $p(x)$  in correspondence with  $-t$  of  $q(x)$

**Example 1.7.4.** Consider the polynomial

$$q(X) = X^2 + t^2 X + 1 \in \mathbb{C}[X] \xrightarrow{\text{Trop}} p(x) = x^2 \oplus 2 \odot x \oplus 0.$$

We can identify the roots of  $p$  as  $-2$  and  $2$ . However, we may find it difficult to interpret the roots of  $q$  as roots of  $p$ . Observe that using the quadratic formula we may derive those to be:

$$X_{1,2} = \frac{-t^2}{2} \pm \frac{\sqrt{t^4 - 4}}{2} = \frac{-t^2}{2} \left( 1 \pm \sqrt{1 - \frac{4}{t^4}} \right).$$

Even if taking the logarithm seems hard, we are not interested in the logarithm itself, just the limit! Observe that

$$\lim_{t \rightarrow \infty} \log_t \left| \frac{-t^2}{2} \left( 1 + \sqrt{1 - \frac{4}{t^4}} \right) \right| = 2 + \lim_{t \rightarrow \infty} \frac{1}{\log(t)} \log \left| \frac{1}{2} \left( 1 + \sqrt{1 - \frac{4}{t^4}} \right) \right|$$

and the quantity on the right tends to  $1/\infty$  which collapses to zero and then the logarithm only has 1 as its argument. So overall we find one of our original roots: 2! The next limit has a different sign so it is not as direct. We may calculate that limit as follows:

$$\lim_{t \rightarrow \infty} \log_t \left| \frac{1}{2} \left( 1 - \sqrt{1 - \frac{4}{t^4}} \right) \right| \approx \lim_{t \rightarrow \infty} \log_t \left| \frac{1}{2} \left( 1 - \left( 1 - \frac{4}{2t^4} \right) \right) \right| = \lim_{t \rightarrow \infty} \log_t \frac{1}{t^4} = -4.$$

So for the negative root we would actually obtain  $2 - 4 = -2$  which is the other root of our polynomial.

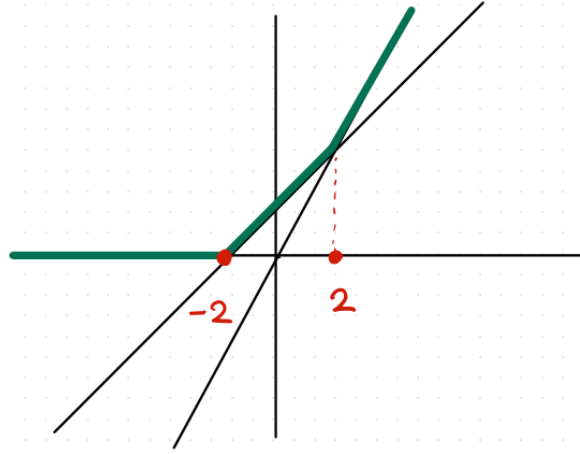


Figure 1.6: Indeed the roots of  $q$  correspond with  $p$ 's

## 1.8 Interim 2

**Definition 1.8.1.** If  $q(x) = \sum a_k x^k \in \mathbb{C}[X]$  or  $\mathbb{C}\{\{t\}\}[x]$ , then the tropicalization of  $q$  is

$$\text{Trop}(q) = \sum T_{t \rightarrow \infty}(a_k) x^k$$

or respectively with the valuation. In this case we omit the notation for tropical operations but the sum and product are tropical.

**Theorem 1.8.2.** For a polynomial  $q$ ,  $r_k$  is a root of  $q(x)$  with multiplicity  $m_k$  if and only if  $T_{t \rightarrow \infty}(r_k)$  is a root of  $\text{Trop}(q)$  of multiplicity  $m_k$ .

In the univariate case, we may prove the theorem using the following lemmas.

**Lemma 1.8.3.** Trop is a multiplicative function on polynomials. That is

$$\text{Trop}(pq) = \text{Trop}(p) \text{Trop}(q) \quad \text{for } p, q \in \mathbb{C}[x].$$

**Lemma 1.8.4.** The roots of  $\text{Trop}(p) \text{Trop}(q)$  are the union of the roots of the factors. If a root is repeated then the multiplicities are added.

**Exercise 1.8.5 (2).** Prove the preceding lemmas and then conclude the theorem as a result.

Otherwise, we may prove the correspondence theorem in a different way. This is more conducive to a higher number of variables. This is helpful, as in higher dimensions we don't have a fundamental theorem of algebra. But, in this case, the

most convenient perspective is the valued field perspective. So let us switch to that point of view and interpret

$$x \oplus y = \min(x, y).$$

**Theorem 1.8.6.** *Let  $q \in \mathbb{C}\{\{t\}\}[x]$ , then  $r \in \mathbb{C}\{\{t\}\}$  is a root of  $q$  if and only if  $\text{val}(r) \in \mathbb{T} \cap \mathbb{Q}$  is a root of  $\text{Trop}(q)$ .*

### Proof

Let us begin by considering a root  $r$  of  $q$ , then  $q(r) = 0$  which means that

$$a_0 + a_1 r + \cdots + a_d r^d = 0.$$

This is formal sum of monomials which in order to vanish, at least two of the monomials must reach a minimum order of vanishing to cancel. This is equivalent to  $\text{val}(r)$  being a root of  $\text{Trop}(q)$ .

The other direction is substantially more difficult. This will be an instance of a realizability question. We have two cases,  $r$  is a finite root or  $r = \infty$ . We will assume that  $r$  is finite and do a proof by example.

**Example 1.8.7.** Consider the polynomial

$$q(x) = tx^3 + x^2 + x + t \Rightarrow \text{Trop } q(x) = 1 \cdot x^3 + x^2 + x + 1$$

The roots of this polynomial are  $-1, 0$ , and  $1$ . We will now find a root  $r_1 \in \mathbb{C}\{\{t\}\}$  of

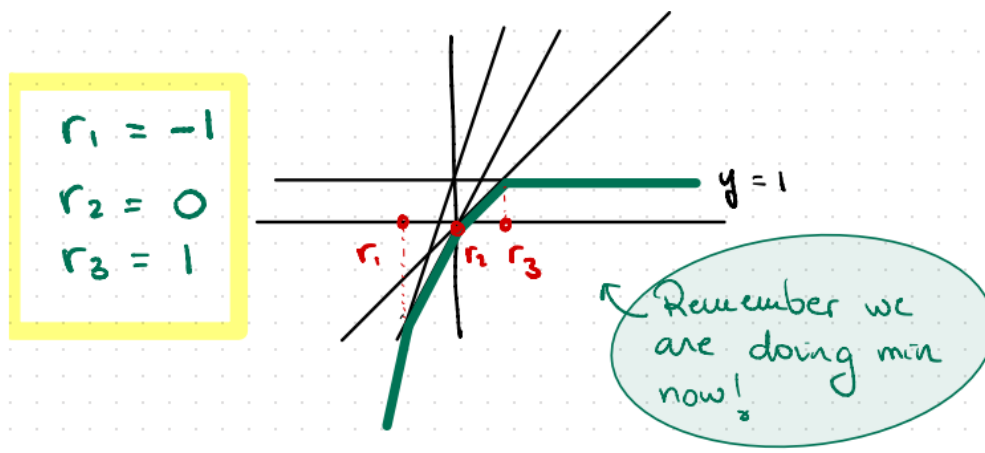


Figure 1.7: Tropicalization of  $q$  in min convention

## 1. COMBINATORIAL SHADOW OF ALGEBRAIC GEOMETRY

$q$  with  $\text{val}(r_1) = r_1$ . For this to happen we require

$$r_1 = yt^{-1} + z \quad \text{where} \quad y \in \mathbb{C} \quad \text{and} \quad z \in \mathbb{C}\{\{t\}\}, \text{val } z > r_1.$$

We now plug in  $r_1$  into  $q$  and we obtain

$$\begin{aligned} q(r_1) &= t(yt^{-1} + z)^3 + (yt^{-1} + z)^2 + (yt^{-1} + z) + t \\ &= \underline{y^3 t^{-2}} + 3y^2 z t^{-1} + 3yz^2 + z^3 t + \underline{y^2 t^{-2}} + 2yz t^{-1} + z^2 + yt^{-1} + z + t \end{aligned}$$

Extracting the coefficients we get  $y^3 + y^2 = 0$  which means that  $y = -1$ . Plugging this back into our expression as  $y$  we get

$$3zt^{-1} - 3z^2 + z^3 t - 2zt^{-1} + z^2 - t^{-1} + z + t = tz^3 - 2z^2 + (t^{-1} + 1)z + (-t^{-1} + t).$$

Tropicalizing (is it actually or is it the reverse operation?) we get

$$1 \cdot z^3 + z^2 + (-1)z + (-1)$$

which has as a root  $1 > -1$  So

$$z = y + z_1 \quad \text{with} \quad y \in \mathbb{C}, \quad z_1 \in \mathbb{C}\{\{t\}\}.$$

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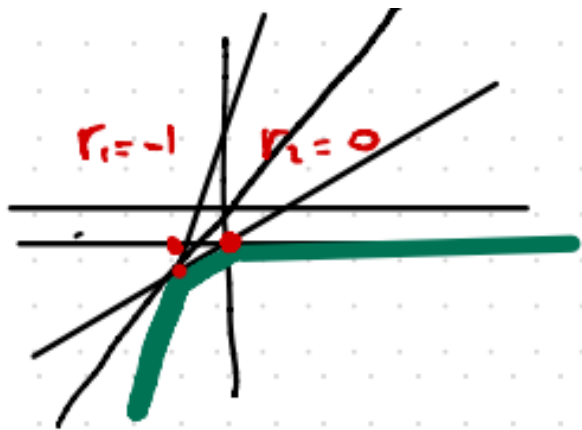


Figure 1.8: I don't know what this is

The question now is: how do we turn this idea into a formal proof?

i. We do one root at a time, starting with the rightmost one.

- ii. Observe that if  $r$  is a tropical root and  $\alpha = yt^r$  with  $y$  chosen so cancellation happens, then denoting  $\tilde{q}$ ,  $q$  without the  $x^0$  term:

$$\text{Trop}(q(x + \alpha)) > \text{Trop}(\tilde{q}) \oplus \text{Trop}(q(\alpha)).$$

- iii. Finally we iterate and check that the sequence of  $r_i$ 's goes to  $\infty$ .



# Index

dual graph, 3

multiplicity, 18

Puiseux series, 5

tropical hypersurface, 4

tropical semifield, 4, 13

tropicalization, 26





# Bibliography

- [1] D. Maclagan and B. Sturmfels. *Introduction to Tropical Geometry*. Graduate Studies in Mathematics. American Mathematical Society, 2021.