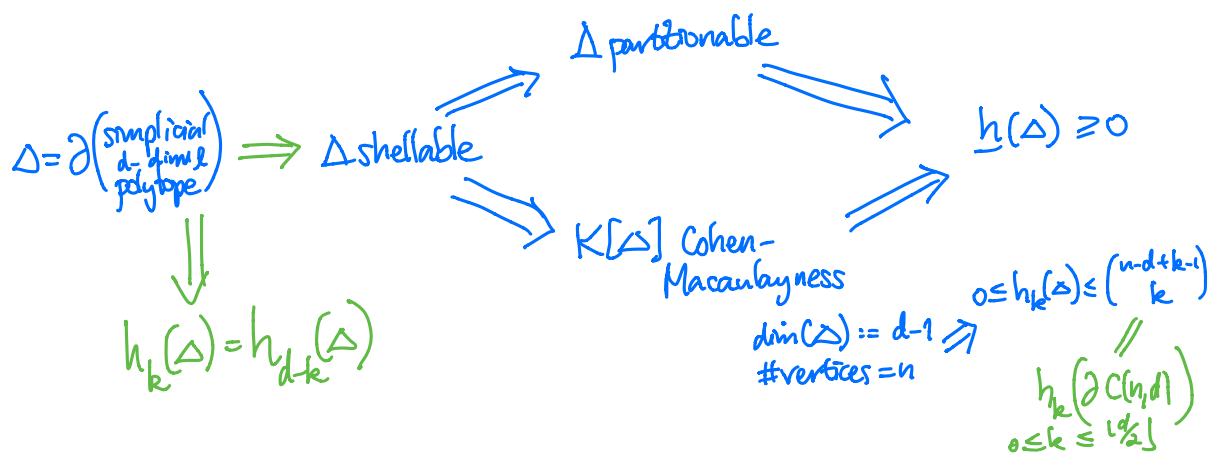


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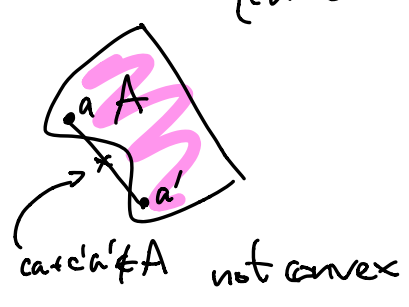
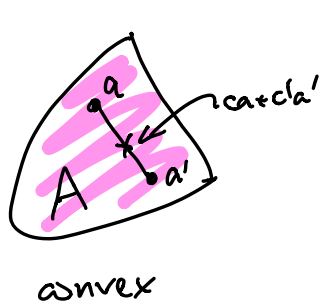
What remains to be done from our mini-overview?
The green things below.



Polytopes !!

[See Ziegler's "Lectures on polytopes"]

DEF'NS: $A \subseteq \mathbb{R}^d$ is convex if $\forall a, a' \in A$ the points $\{ca + c'a' : c, c' \geq 0, c + c' = 1\} \subseteq A$

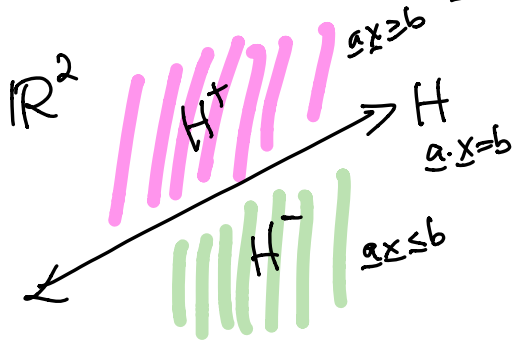


The convex hull $\text{conv}(A) =$ "smallest" convex set $C \supseteq A$
 $:= \bigcap_{\substack{C \text{ convex} \\ C \subseteq \mathbb{R}^d \\ C \supseteq A}} C = \left\{ \sum_{i=1}^s c_i a_i : \begin{matrix} a_i \in A \\ c_i \geq 0 \\ \sum_{i=1}^s c_i = 1 \end{matrix} \right\}$

A hyperplane $H = \{x \in \mathbb{R}^d : \underline{a} \cdot x = b\}$ for some $\underline{a} \neq \underline{0}$ in \mathbb{R}^d and $b \in \mathbb{R}$

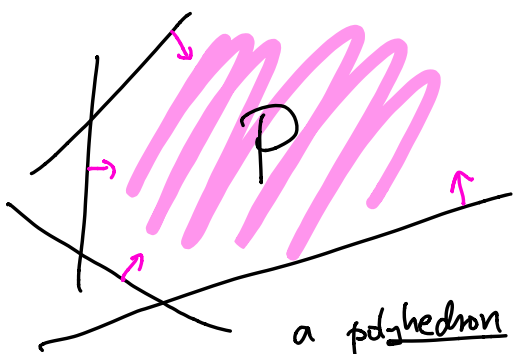
and has two half-spaces $H^+ = \{x \in \mathbb{R}^d : \underline{a} \cdot x \geq b\}$

$H^- = \{x \in \mathbb{R}^d : \underline{a} \cdot x \leq b\}$

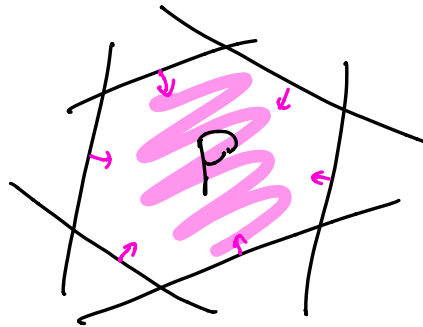


A polyhedron $P \subset \mathbb{R}^d$ is a finite intersection $P = \bigcap_{i=1}^n H_i^+$ of half-spaces

and if it is bounded, it is called a (convex) polytope.



a polyhedron,
not a polytope

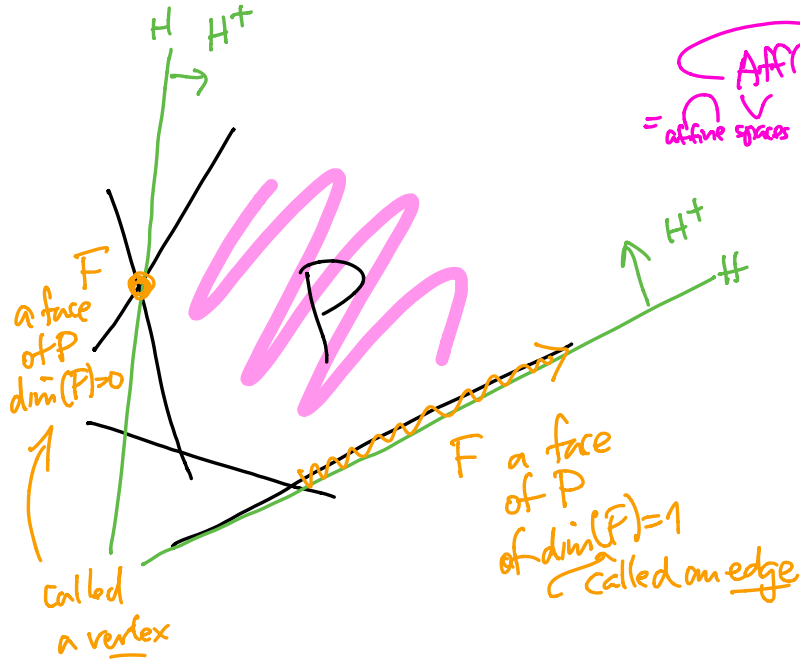


a polytope

A face $F \subset P$ a polyhedron is an intersection $F = H \cap P$ where $H^+ \supseteq P$

(say H^+ supports P)

Faces F have a dimension $\dim(F) := \dim(\text{Aff}(F))$



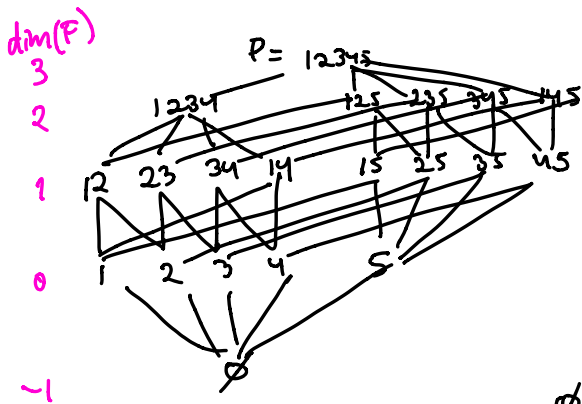
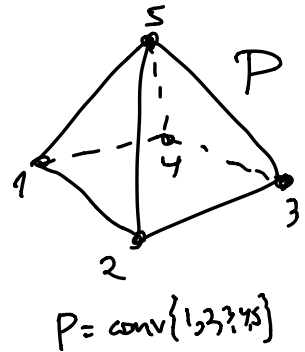
$\text{Aff}(A) :=$ affine hull of $A \subset \mathbb{R}^d$
 $=$ smallest affine space containing A
 $= \bigcap \{ \text{affine spaces } V \supseteq A \} = \left\{ \sum_{i=1}^n c_i a_i : a_i \in A, \sum_{i=1}^n c_i = 1 \right\}$

\emptyset empty set is a face
 $\dim(\emptyset) = -1$

CONVENTION:
 $F = P$ is the (improper) face of P
 $\partial P = \{ \text{proper faces of } P \mid F \neq P \}$

POLYTOPE FACES (see Ziegler)

- A polytope $P = \text{conv}(\{ \text{vertices of } P \})$
- The poset of faces of P ordered by inclusion
 $\text{Faces}(P)$ has ...



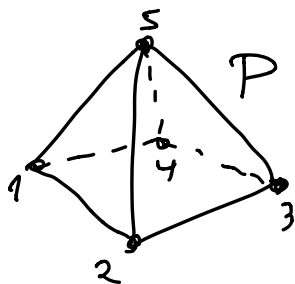
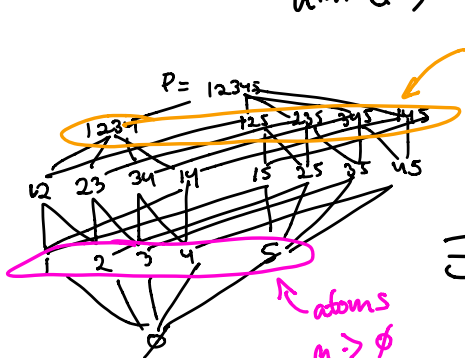
- $\text{Faces}(P)$ is finite
- Has every maximal chain under inclusion of the same length

$$\emptyset \subset F_0 \subset F_1 \subset F_2 \subset \dots \subset F_{\dim(P)-1} \subset P$$

\parallel \parallel \parallel \parallel \parallel
 F_{-1} F_0 F_1 F_2 $F_{\dim(P)-1}$ $F_{\dim(P)}$

called a facet

- Faces(P) is a graded/ranked poset, ranked by $\dim(F)$, i.e. if $F < F'$ then $\dim(F) = \dim(F') - 1$.



- Faces(P) is a lattice, meaning $\forall F, G$
 $\exists F \wedge G :=$ greatest lower bound for F, G
 $= F \cap G$

$F \vee G :=$ smallest upper bound for F, G

$$= \bigwedge_{H \in \text{Faces}(P)} H = \bigcap_{H \supseteq F, G} H$$

- Faces(P) is coatomic, i.e. $F = \bigwedge_{\substack{c \\ \text{contains} \\ c \supseteq F}} c$

i.e. face $F = \bigcap_{\substack{\text{faces } G: \\ G \supseteq F}} G$

- Faces(P) is atomic,

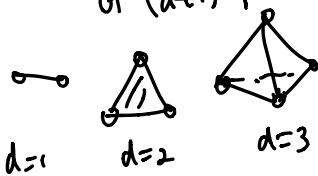
$$\text{i.e. } F = \bigvee_{\substack{a \\ \text{atoms} \\ a \leq F}} a$$

i.e. a face $F =$ smallest face containing its vertices (=conv(vertices))

- When P is simplicial, meaning all (proper) faces/facets

are simplices

d-diml convex hull of (d+1)-points



, then $\Delta := \partial P =$ boundary faces of P is an (abstract) simplicial complex on vertex set $V =$ vertices(P)



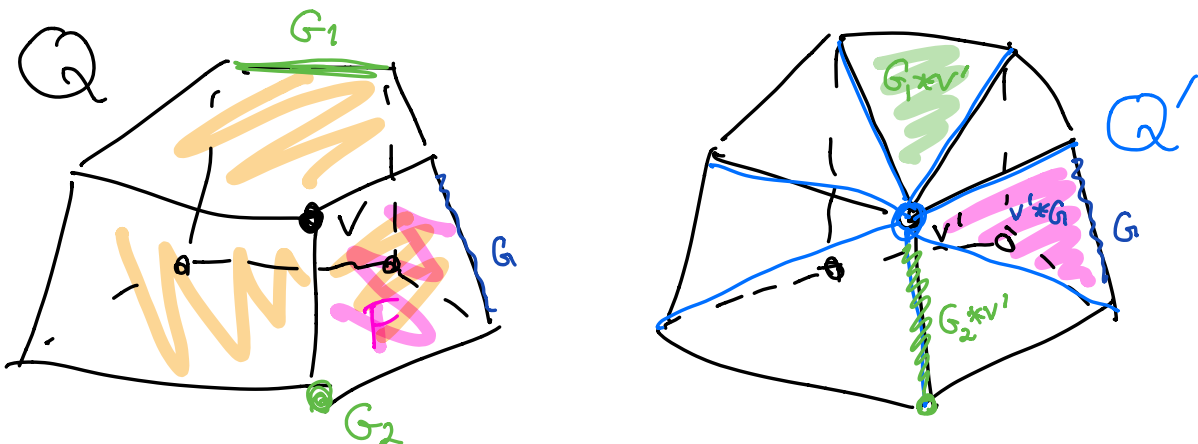
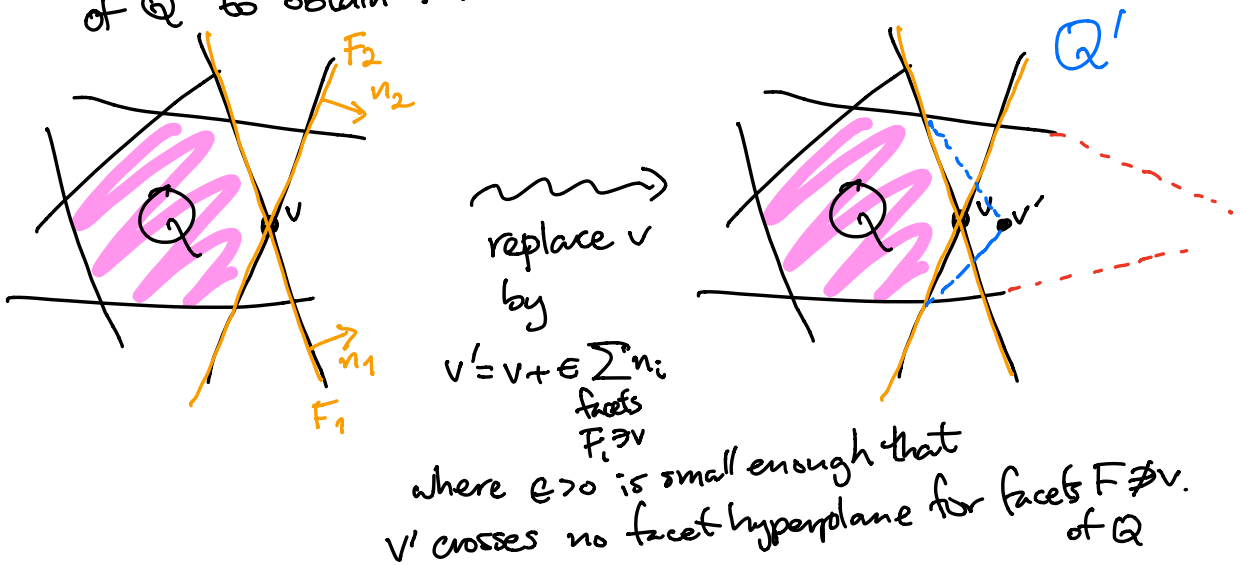
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The upper bound conjecture

Q: Fixing d, n , how large can $f_k(P)$ be for a d -dim'l polytope with $f_0(P) = n$ vertices?

PROP: One can restrict attention to simplicial polytopes, since for every d -polytope Q , \exists a simplicial polytope P having $f_0(P) = f_0(Q)$ and $f_k(P) \geq f_k(Q) \forall k$.
(see Grünbaum's "Convex polytopes" §5.2)

proof sketch: Apply the following vertex-pulling process at each vertex of Q to obtain P :



One can show that Q' has exactly these faces:

(a) faces F of Q with $v \notin F$

(b) faces of form $G * v'$ for faces G of Q
 not containing v
 with $G \subseteq F$ a face of Q
 containing v

cone/pyramid
 with base G
 and apex v'



Note we get an injection

$$\{k\text{-faces of } Q\} \hookrightarrow \{k\text{-faces of } Q'\}$$

$$F \mapsto \begin{cases} F & \text{if } v \notin F \\ G * v' & \text{for any facet } G \text{ of } F \\ & G \ni v \\ & \text{if } v \in F \end{cases}$$

Now pull every vertex of Q to get P ,
 and P is simplicial \square

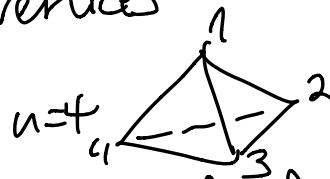
Note that in a simplicial polytope P ,

$$f_{k-1}(P) \leq \binom{n}{k} \text{ where } n = f_0(P)$$

since $\partial P = \Delta$ is a simplicial complex with n vertices

Can we have equality here?

Yes, the $(n-1)$ -simplex does



$$\underline{f} = (f_{-1}, f_0, f_1, f_2, f_3) \\ = (1, 4, 6, 4, 1)$$

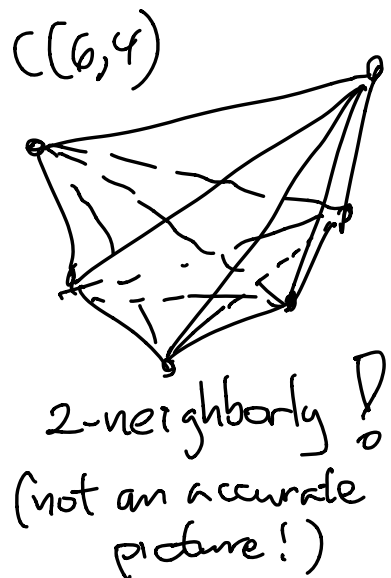
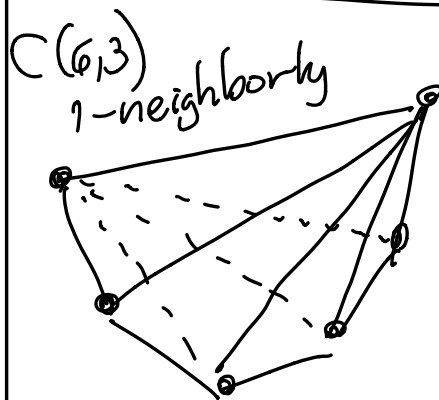
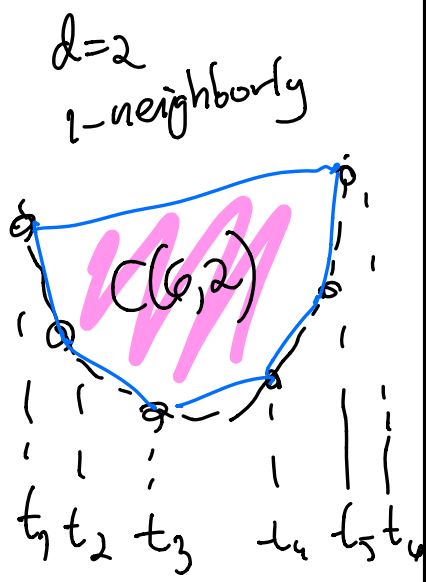
It can happen for non-simplices that $f_{k-1}(P) = \binom{n}{k}$, in which case we call P a k -neighborly polytopes

PROP: Any d -dim'l cyclic polytope with n vertices

$$C(n, d) := \text{conv} \{ \underline{x}(t_1), \underline{x}(t_2), \dots, \underline{x}(t_n) \} \subset \mathbb{R}^d$$

where $\underline{x}(t) = \begin{bmatrix} t \\ t^2 \\ t^3 \\ \vdots \\ t^d \end{bmatrix}$ and $t_1 < t_2 < \dots < t_n$

is simplicial and $\lfloor \frac{d}{2} \rfloor$ -neighborly



REMARKS:

① A d -polytope cannot be $\lfloor \frac{d}{2} \rfloor + 1$ -neighborly without being a simplex, i.e. $d = n - 1$
(maybe an EXERCISE for HW?)

② Motzkin thought maybe all $\lfloor \frac{d}{2} \rfloor$ -neighborly polytopes have same face poset as $C(n, d)$, but that's vastly false.

③ HW Exercise 5 is telling us the facial structure of $C(n, d)$ (Gale's evenness criterion)

④ Points on the curve $\begin{bmatrix} t \\ t^2 \\ t^3 \\ \vdots \\ t^d \end{bmatrix}$ also come up in

real algebraic geometry (Shapiro-Shapiro Conj, e.g.)

proof: If $C(n,d)$ were not simplicial, then

some facet has $\geq d+1$ vertices $\underline{x}(t_1), \underline{x}(t_2), \dots, \underline{x}(t_{d+1})$

lying on some affine hyperplane $c_0 + c_1 x_1 + c_2 x_2 + \dots + c_d x_d = 0$ in \mathbb{R}^d
(i.e. $\underline{c} \cdot \underline{x} = -c_0$)

giving a nontrivial solution to

$$\begin{bmatrix} 1 & t_1 & t_1^2 & \dots & t_1^d \\ 1 & t_2 & t_2^2 & \dots & t_2^d \\ \vdots & \vdots & \vdots & \ddots & \vdots \\ 1 & t_{d+1} & t_{d+1}^2 & \dots & t_{d+1}^d \end{bmatrix} \begin{bmatrix} c_0 \\ c_1 \\ c_2 \\ \vdots \\ c_d \end{bmatrix} = \begin{bmatrix} 0 \\ 0 \\ 0 \\ \vdots \\ 0 \end{bmatrix}$$

invertible, Vandermonde matrix with $t_1 < t_2 < \dots < t_{d+1}$

$$\det = \prod_{1 \leq i < j \leq d+1} (t_j - t_i) \neq 0 \quad \text{Contradiction}$$

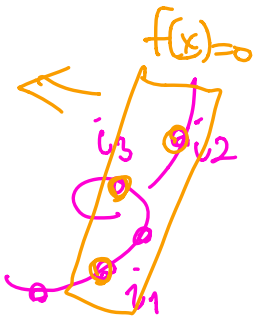
To show $C(n,d)$ is $\lfloor \frac{d}{2} \rfloor$ -neighborly, given any

$$F = \{i_1, i_2, \dots, i_k\} \subset \{1, 2, \dots, n\} \text{ with } 2k \leq d$$

we'll find an affine function $f: \mathbb{R}^d \rightarrow \mathbb{R}$

with $f(\underline{x}(t_i)) = 0$ for $i \in F$

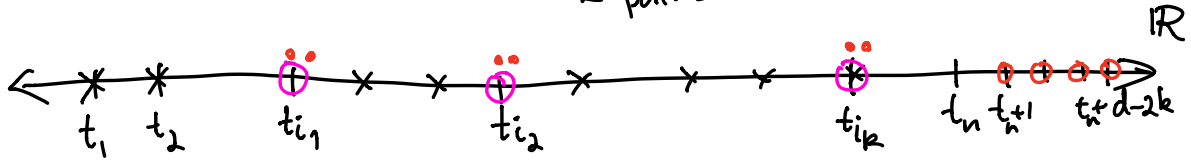
$$\left. \begin{array}{l} f(\underline{x}(t_i)) > 0 \\ f(\underline{x}(t_i)) < 0 \end{array} \right\} \text{same sign for } i \notin F$$



We CLAIM: This $f(x)$ does it:

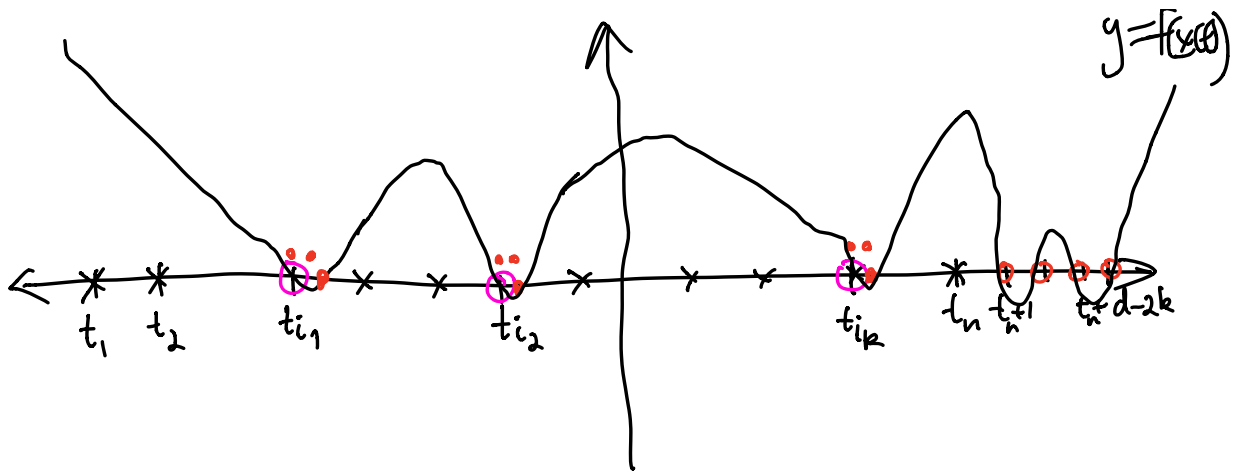
$$f(x) = \det \begin{pmatrix} 1 & 1 & 1 & \dots & 1 & 1 & 1 & \dots & 1 \\ x_1 & \{ & \{ & \dots & \{ & \{ & \{ & \dots & \{ \\ x_2 & x(t_{i_1}) & x(t_{i_1+\epsilon}) & \dots & x(t_{i_k}) & x(t_{i_k+\epsilon}) & x(t_n) & x(t_{n+1}) & x(t_{n+d-2k}) \\ \vdots & \{ & \{ & \dots & \{ & \{ & \{ & \dots & \{ \\ x_d & \{ & \{ & \dots & \{ & \{ & \{ & \dots & \{ \end{pmatrix}$$

$\underbrace{\hspace{15em}}_{k \text{ pairs}}$
 $\underbrace{\hspace{10em}}_{d-2k \text{ more columns}}$



Note • $f(x)$ is affine-linear $\mathbb{R}^d \rightarrow \mathbb{R}$

- $f(x(t))$ is a polynomial in t , of degree of degree d because the t^d coefficient is a nonvanishing Vandermonde determinant
- We've exhibited d roots already due to due to repeated matrix columns, namely $t = t_{i_1}, t_{i_1+\epsilon}, \dots, t_{i_k}, t_{i_k+\epsilon}, t_{n+1}, t_{n+1}, \dots, t_{n+d-2k}$



i.e. $f(x(t_i)) > 0$ for $i \notin F = \{i_1, \dots, i_k\}$



Hence

Motzkin conjectured:

$$(UBC) \quad f_k(P) \leq f_k(C(n, d))$$

\forall d -polytopes with n vertices.

COROLLARY: Any cyclic polytope $C(n, d)$

(or any $\lfloor \frac{d}{2} \rfloor$ -neighborly ^{simplicial} polytope)

has $f_{k-1}(C(n, d)) = \binom{n}{k}$ for $0 \leq k \leq \lfloor \frac{d}{2} \rfloor$
by definition of $\lfloor \frac{d}{2} \rfloor$ -neighborly

and $h_k(C(n, d)) = \binom{(n-d)+k-1}{k}$ for $0 \leq k \leq \lfloor \frac{d}{2} \rfloor$

proof: We saw that when we have two sequences, with d fixed,

$$\underline{f} = (f_{-1}, f_0, f_1, \dots)$$

$$\underline{h} = (h_0, h_1, h_2, \dots)$$

related by
$$\sum_{k=0}^{\infty} f_{k-1} \left(\frac{t}{1-t} \right)^k = \frac{\sum_{k=0}^{\infty} h_k t^k}{(1-t)^d}$$

then \underline{f} and \underline{h} have the untriangular relation for $\underline{h}(\Delta), \underline{f}(\Delta)$ of $(d-1)$ -dim'd simplicial complex for all j .
 (h_0, h_1, \dots, h_j) vs. $(f_{-1}, f_0, \dots, f_{j-1})$

Take $f_k = \binom{n}{k}$ for $k=0, 1, 2, \dots, n$ (so this is $f_k(C(n, d))$ only for $k \leq \lfloor \frac{d}{2} \rfloor$)

$$\text{and then } \sum_{k=0}^{\infty} \binom{n}{k} \left(\frac{t}{1-t} \right)^k = \sum_{k=0}^n \binom{n}{k} \left(\frac{t}{1-t} \right)^k = \left(t \frac{t}{1-t} \right)^n$$

$$= \frac{t}{(1-t)^n} = \frac{1}{(1-t)^d} \frac{1}{(1-t)^{n-d}}$$

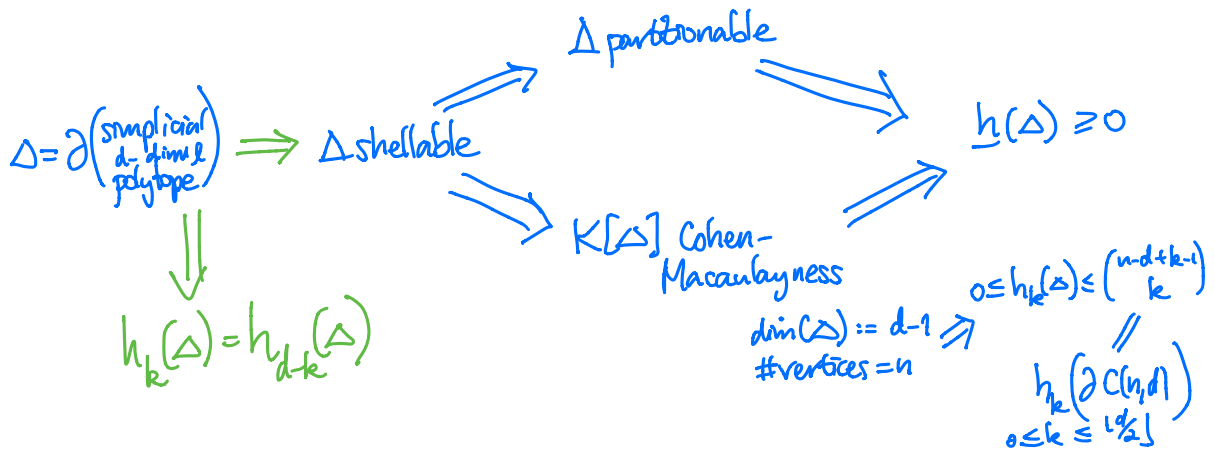
$$= \frac{1}{(1-t)^d} (1-t)^{-(n-d)}$$

$$= \frac{1}{(1-t)^d} \sum_{k=0}^{\infty} (-t)^k \binom{-(n-d)}{k}$$

$$= \frac{1}{(1-t)^d} \sum_{k=0}^{\infty} t^k \binom{(n-d)+k-1}{k}$$

Hence $h_k(C(n,d)) = \binom{(n-d)+k-1}{k}$ for $0 \leq k \leq \lfloor \frac{d}{2} \rfloor$.

Where are we?



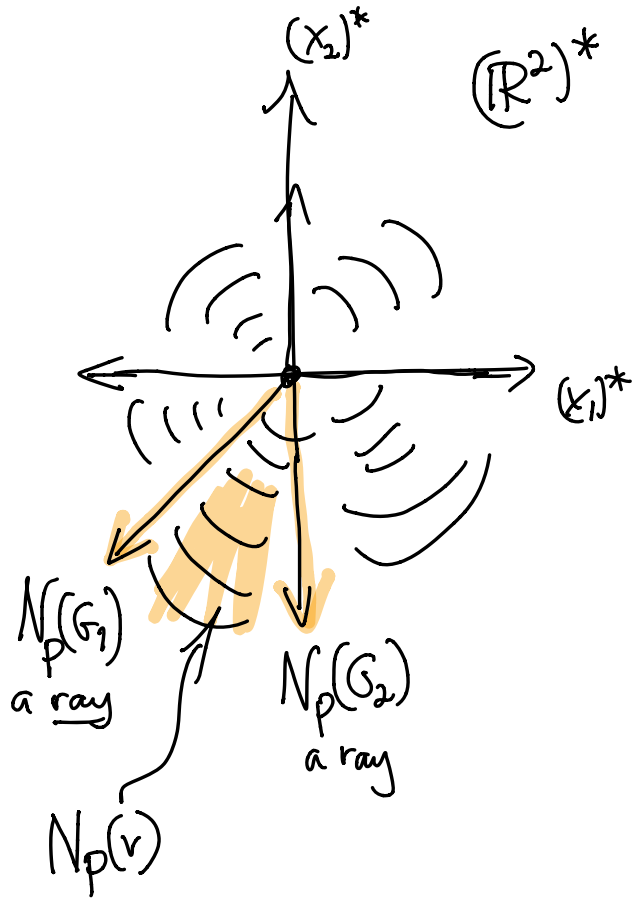
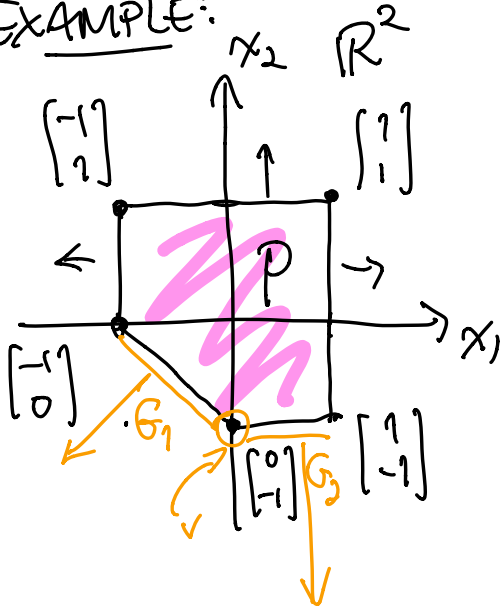
Fans, normal fans, face fans & polar duals

To shell a simplicial polytope's boundary, we'll order its facets by a (linear) functional on vertices of its polar dual polytope!

DEF'N: Given a polytope $P \subset \mathbb{R}^d$ and a (proper) boundary face $G \subsetneq P$, let $N_P(G) := \{ \text{linear functionals } f \in (\mathbb{R}^d)^* : f \text{ achieves its max value on } P \text{ at all } p \in G \}$.
 (closed) normal cone of P at G

$N_p^{\text{open}}(G) := \left\{ \begin{array}{l} \text{same except not achieved on} \\ \text{any } p \in F \neq G \text{ in } P \end{array} \right\}$
 (relatively open) normal cone of P at G

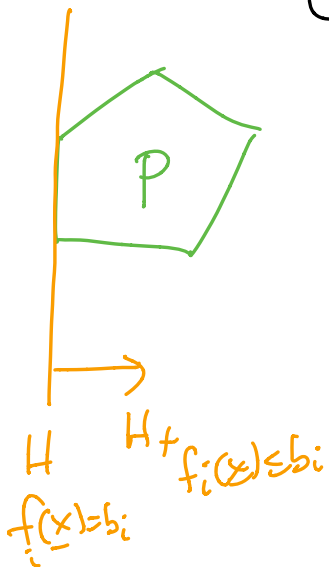
EXAMPLE:



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PROP: If G a face of P has facets containing G being $\{F_1, \dots, F_s\}$ with

$$F_i = \underbrace{\{x \in \mathbb{R}^d : f_i(x) = b_i\}}_{H_i} \cap P, \quad H_i^+ = \{x \in \mathbb{R}^d : f_i(x) \leq b_i\}$$



then $N_P(G) = \mathbb{R}_{\geq 0} \cdot f_1 + \dots + \mathbb{R}_{\geq 0} \cdot f_s$
 = cone spanned by $\{f_1, \dots, f_s\}$ in $(\mathbb{R}^d)^*$

$$N_P^{\text{open}}(G) = \mathbb{R}_{> 0} \cdot f_1 + \dots + \mathbb{R}_{> 0} \cdot f_s$$

(half) proof: At least both inclusions \supseteq are not hard:

If $f = \sum_{i=1}^s c_i f_i$ with $c_i > 0$, then

then any $p \in P$ has

$$f(p) = \sum_{i=1}^s \underbrace{c_i}_{> 0} \underbrace{f_i(p)}_{\leq b_i} \text{ with equality } \Leftrightarrow p \in F_i$$

$$\leq \sum_{i=1}^s c_i b_i \text{ with equality } \Leftrightarrow p \in F_1, \dots, F_s$$

$$\Leftrightarrow p \in G \quad \blacksquare$$

DEFIN: A polyhedral cone $C \subset \mathbb{R}^d$ (or $(\mathbb{R}^d)^*$)

is a finite intersection of linear halfspaces

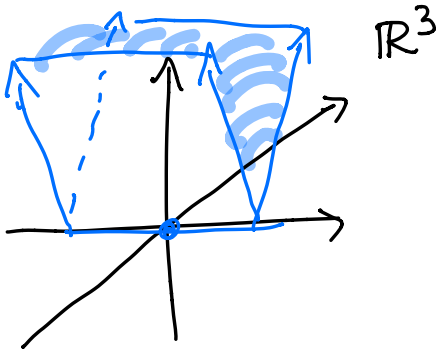
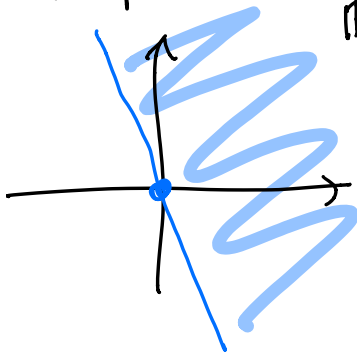
$$C = \bigcap_{i=1}^s H_i^+ \quad \text{where } H_i^+ = \{x \in \mathbb{R}^d : f_i(x) \geq 0\}$$

for some $f_i \in (\mathbb{R}^d)^*$

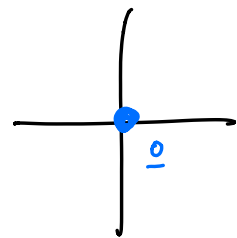
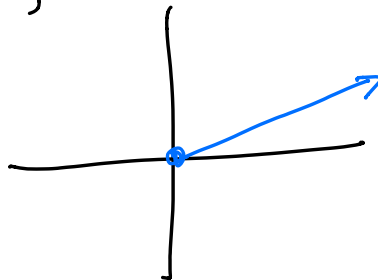
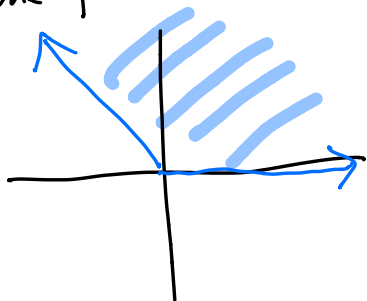
(so $0 \in C$ always)

It's called pointed if it contains no lines through 0 .

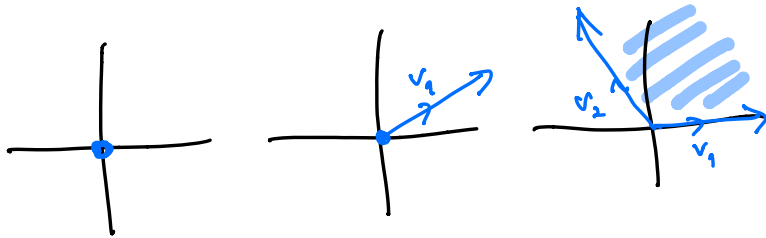
two non-pointed cones: \mathbb{R}^2



Some pointed cones: in \mathbb{R}^2

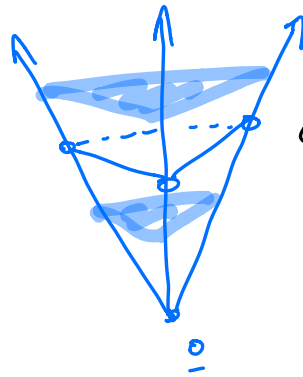
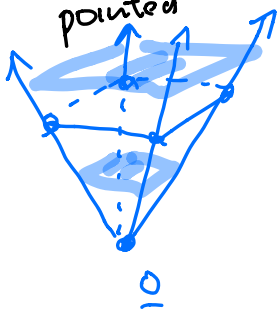


A pointed cone C is called a simplicial cone if $\exists \{v_1, \dots, v_s\}$ s.t. $C = \mathbb{R}_{\geq 0} \cdot v_1 + \mathbb{R}_{\geq 0} \cdot v_2 + \dots + \mathbb{R}_{\geq 0} \cdot v_s$ for some $\{v_1, \dots, v_s\} \subset \mathbb{R}^d$ linear independent!



all pointed cones
in \mathbb{R}^2
are simplicial

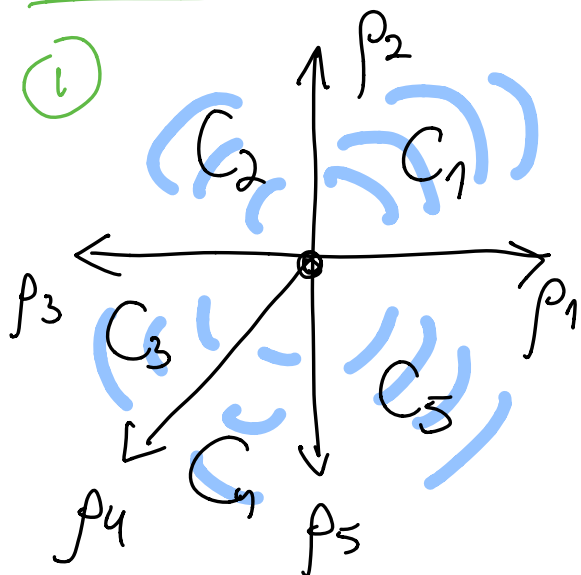
In \mathbb{R}^3 , here's a non simplicial
pointed cone



a simplicial
cone
in \mathbb{R}^3

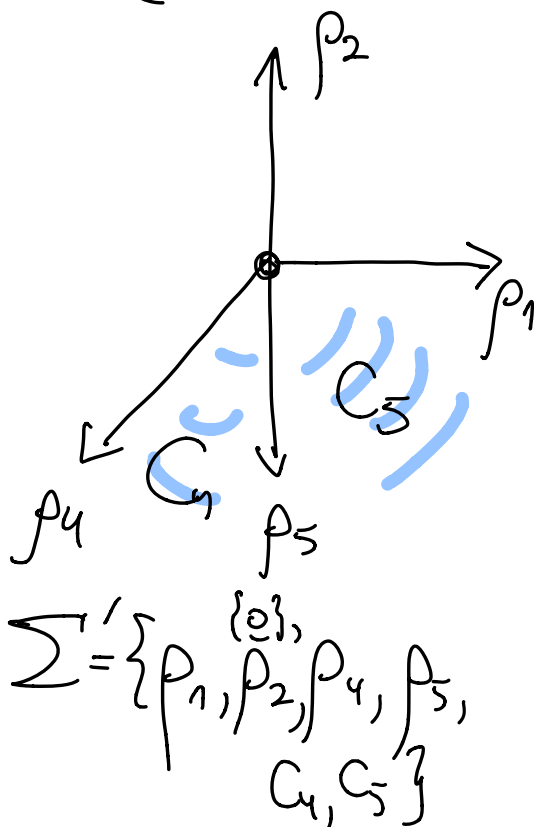
A fan $\Sigma = \{C_i\}$ in \mathbb{R}^d is a collection of cones C_i which is closed under taking faces/subcones and has $C_i \cap C_j$ is a face of each C_i, C_j .
Say Σ is a complete fan (in \mathbb{R}^d) if $\bigcup_i C_i = \mathbb{R}^d$

EXAMPLES



$\Sigma = \left\{ \{0\}, \rho_1, \rho_2, \rho_3, \rho_4, \rho_5, \right.$
 $\left. C_1, C_2, C_3, C_4, C_5 \right\}$
 is a complete fan in \mathbb{R}^2

② A non-complete (sub-)fan in \mathbb{R}^2



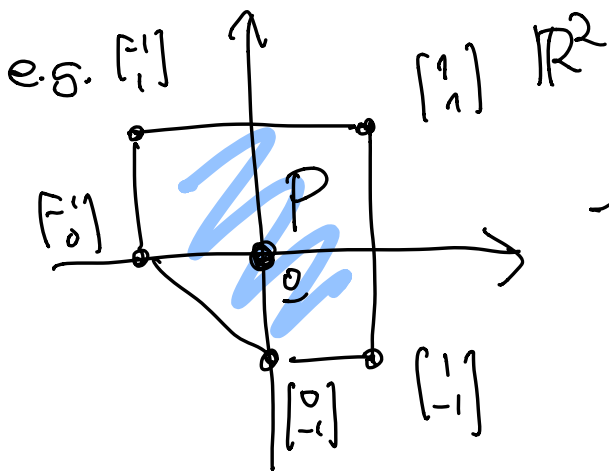
③ Every d -dim polytope $P \subset \mathbb{R}^d$, containing the origin in its interior, has three related objects ...

• face fan $F(P) \subset \mathbb{R}^d$

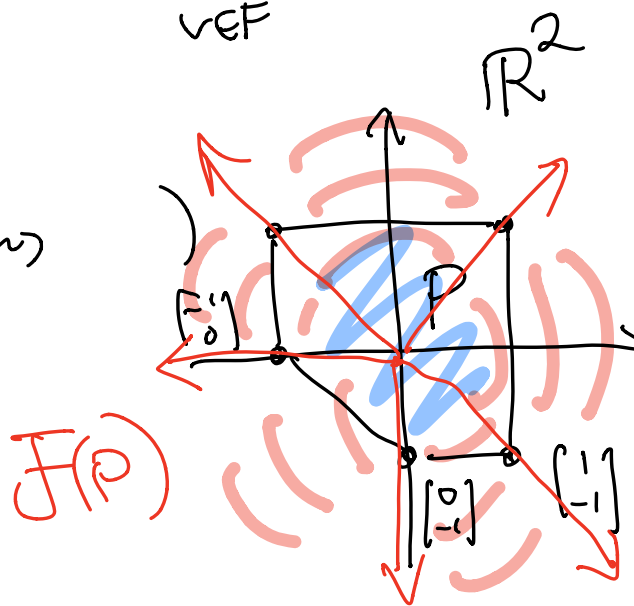
a complete fan

$:= \{ \text{cones } C_F \text{ through each proper face } F \subsetneq P \}$

i.e. $C_F := \sum_{\substack{\text{vertices} \\ v \in F}} \mathbb{R}_{\geq 0} \cdot v$



\rightsquigarrow



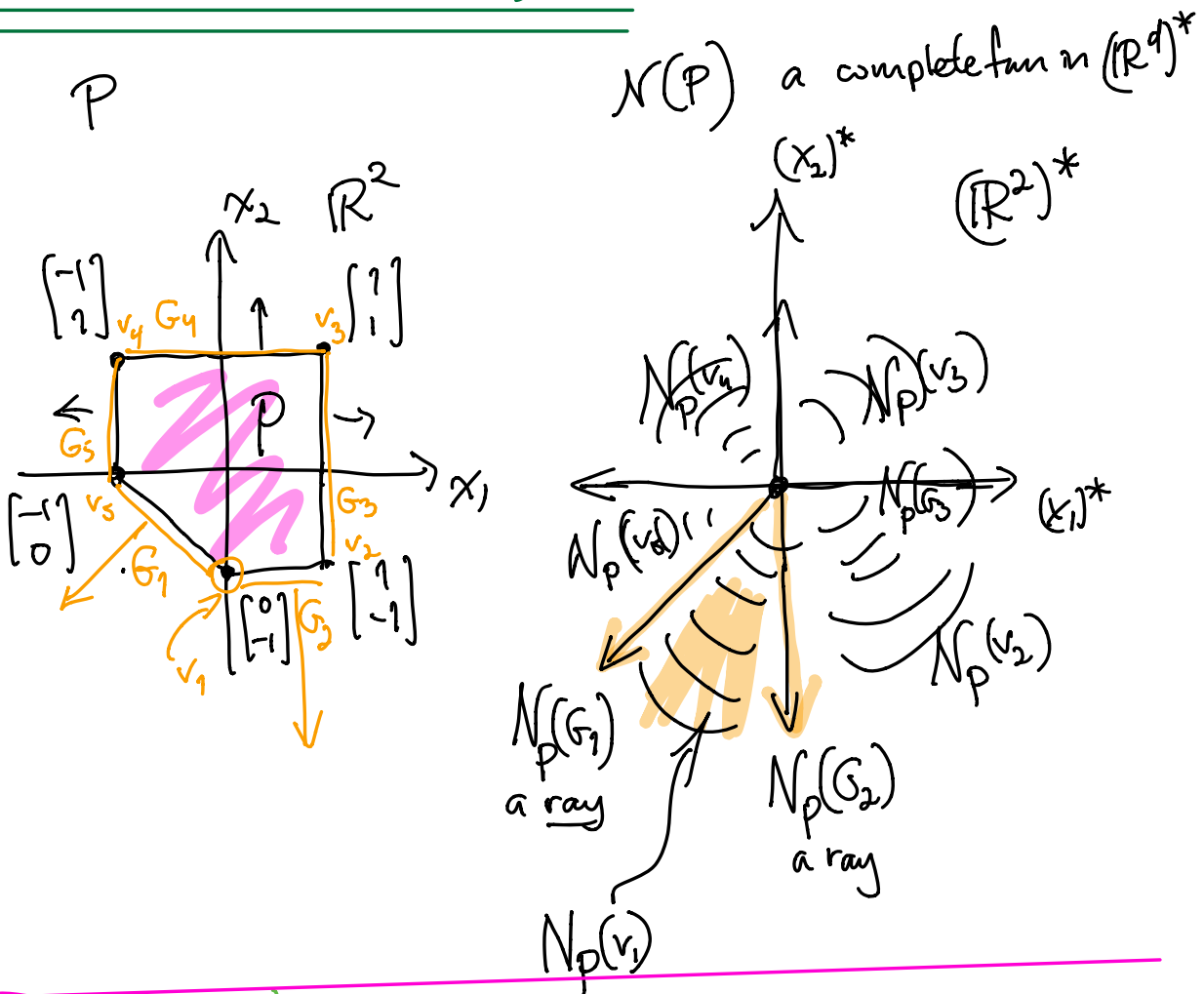
• normal fan

$N(P) := \{ N_P(G) : \text{non-empty faces } G \neq \emptyset \text{ of } P \}$
 $\subseteq (\mathbb{R}^d)^*$

• polar polytope

$P^\Delta := \{ f \in (\mathbb{R}^d)^* : f(p) \leq 1 \ \forall p \in P \}$
 $\subset (\mathbb{R}^d)^*$

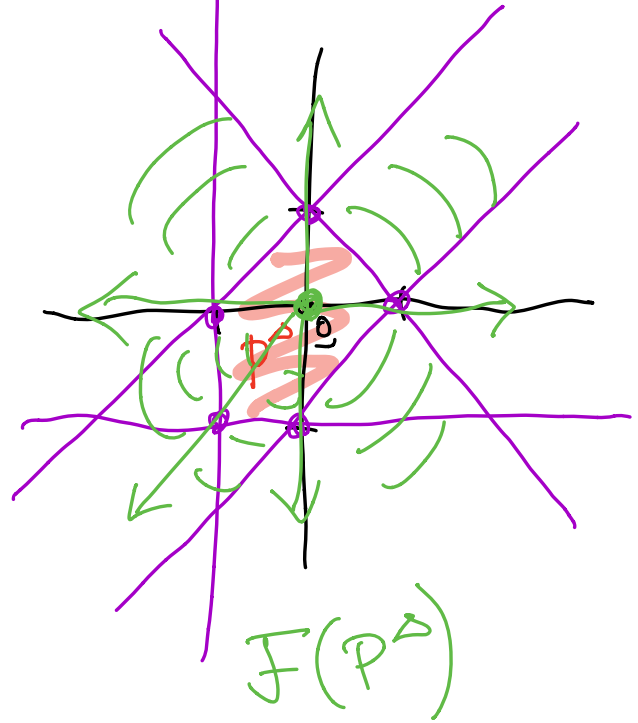
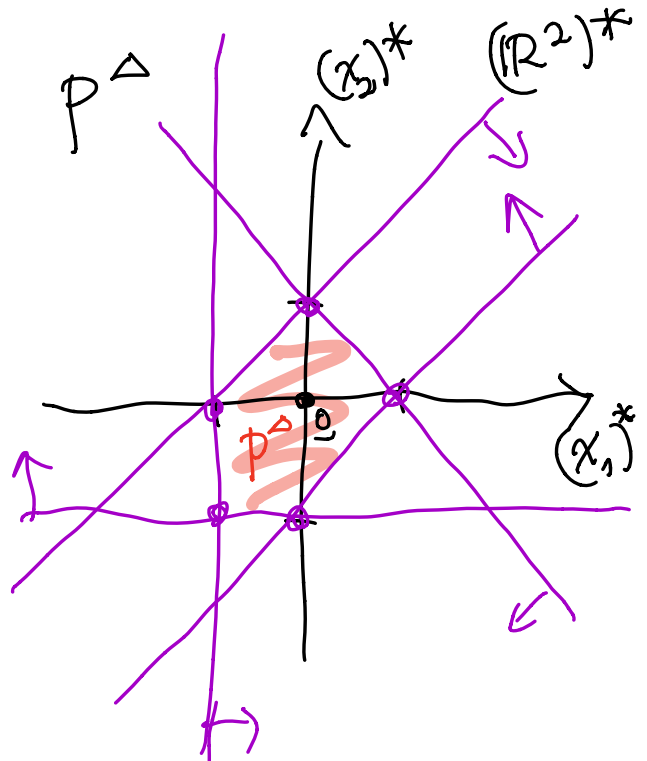
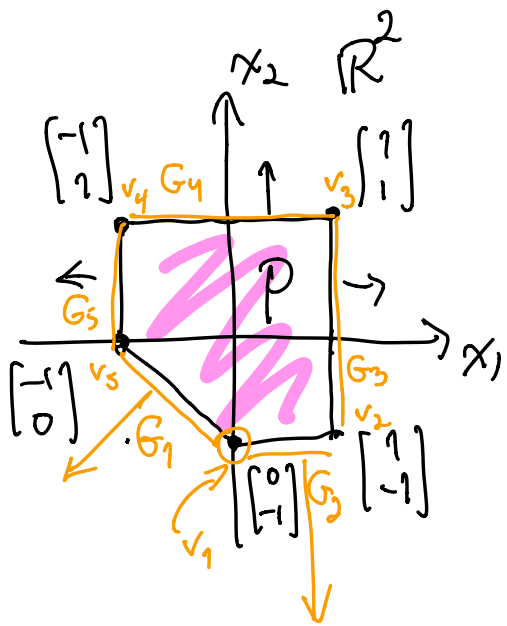
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polar polytope

$$P^\Delta := \{ f \in (\mathbb{R}^d)^* : f(p) \leq 1 \ \forall p \in P \}$$

$$C(\mathbb{R}^d)^* = \{ f \in (\mathbb{R}^d)^* : f(v) \leq 1 \ \forall \text{ vertices } v \in P \}$$



FACIS:

- $(P^\Delta)^\Delta = P$

- The face posets $\text{Faces}(P) \xrightarrow{\sim} \text{Faces}(P^\Delta)$ are in bijection

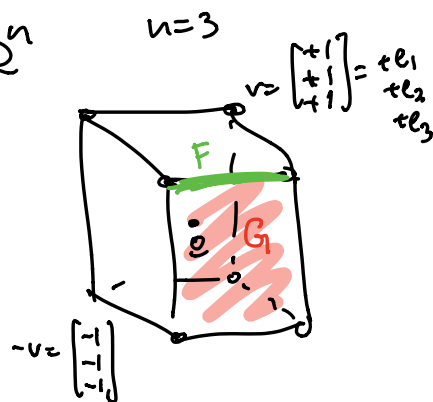
$$F \longmapsto \left\{ f \in (\mathbb{R}^d)^* : \begin{array}{l} f(p) = 1 \quad \forall p \in F \\ f(p) < 1 \quad \forall p \notin F \end{array} \right\}$$

with $F \subseteq G$ in $P \iff F^* \supseteq G^*$ in P^Δ

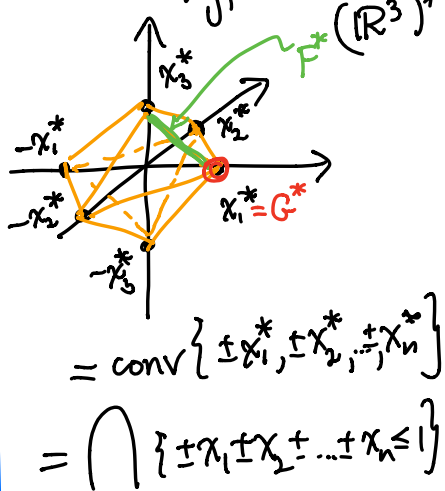
i.e. $\text{Faces}(P^\Delta)$ is the opposite/dual poset of $\text{Faces}(P)$

EXAMPLE:

$P = n\text{-cube in } \mathbb{R}^n$
 \mathbb{Q}_n
 $= [-1, +1]^n$
 $= \text{conv}\{ \pm e_1, \pm e_2, \dots, \pm e_n \}$
 $= \bigcap_{i=1}^n \{x_i \leq 1\} \wedge \bigcap_{i=1}^n \{x_i \geq -1\}$



$P^\Delta = \text{cross-polytope/hyperoctahedron}$



• $\dim P = d$
 P is simplicial
 all facets/faces
 are simplices;
 so every facet has
 exactly d vertices

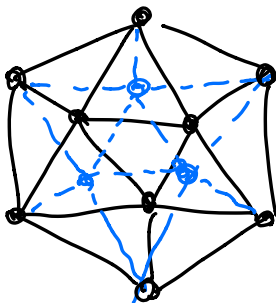
$\Leftrightarrow P^\Delta$ is simple
 every vertex v
 lies on exactly d edges
 (or exactly d facets)
 equivalently

e.g.

$P =$

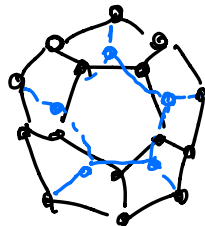
\cap

\mathbb{R}^3

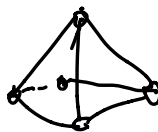


simplicial

P^Δ



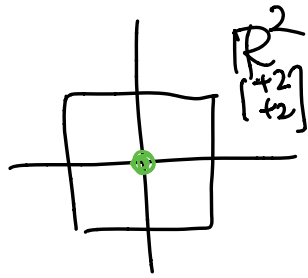
simple



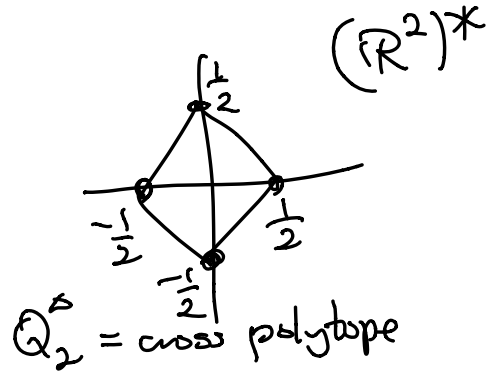
neither
 simplicial nor
 simple

REMARK: Changing the choice of \circ in
 interior of P does change P^Δ in $(\mathbb{R}^d)^*$
 but doesn't affect the comb. structure of
 P^Δ or $\mathcal{F}(P)$ or $\mathcal{F}(P^\Delta) = \mathcal{N}(P)$
 i.e. $\text{Faces}(P) = \text{Faces}(P^\Delta)^{\text{opp}}$ are all
 \nearrow
 poset unchanged

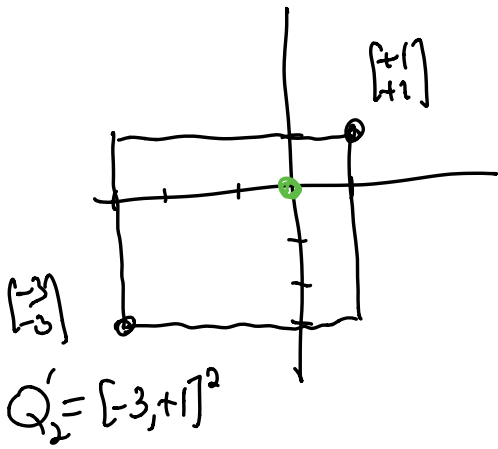
e.g.



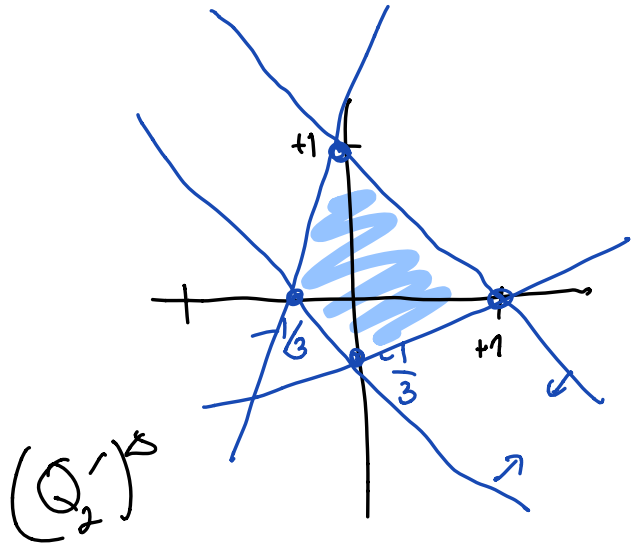
$$Q_2 = [-2, +2]^2$$



$$Q_2^\Delta = \text{cross polytope}$$

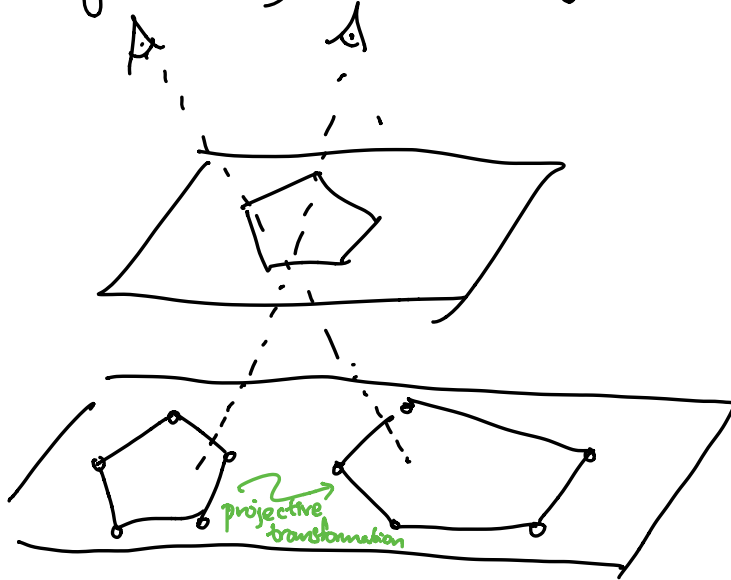


$$Q_2' = [-3, +1]^2$$



$$(Q_2')^\Delta$$

In general, P^Δ changes by a projective transformation in $(\mathbb{R}^d)^*$

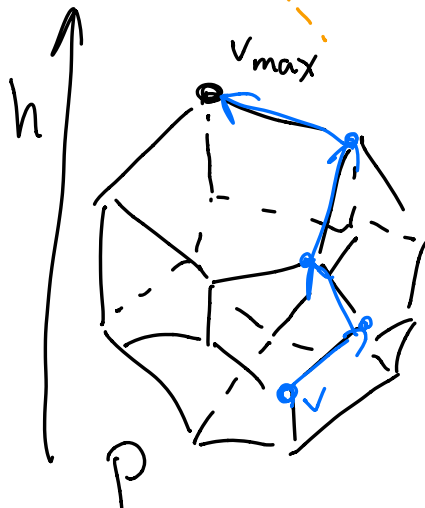
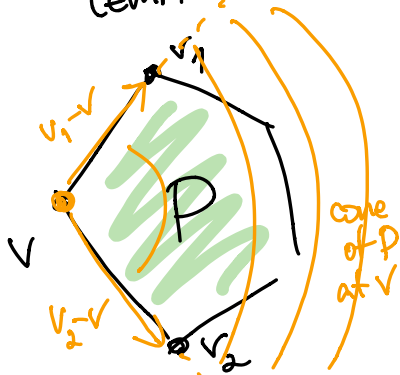


We'll need one further fact:

LEMMA: In a polytope P , if a vertex v has edge neighbors $\{v_1, v_2, \dots, v_s\}$, then

(see Ziegler's LEMMA 3.6)

$$P \subset v + \underbrace{R_{\geq 0}(v_1 - v) + \dots + R_{\geq 0}(v_s - v)}_{\text{called the vertex cone of } P \text{ at } v}$$



COROLLARY: If $h \in (\mathbb{R}^d)^*$ has $h(v) \neq h(v')$ \forall vertices v of P , then \exists a unique h -maximizing vertex v_{\max} of P , and every other vertex v of P has a path

$$v_0 \rightarrow v_1 \rightarrow v_2 \rightarrow \dots \rightarrow v_{l-1} \rightarrow v_l$$

with $h(v_i) > h(v_{i-1}) \quad \forall i \geq 1$

$v_0 = v$ $v_l = v_{\max}$