

Expected number of components of random polynomial lemniscates

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Introduction To Polynomial Lemniscate:

Let $p(z)$ be a monic complex polynomial. The R -lemniscate of p is defined by

$$\Lambda_p(R) := \{z \in \mathbb{C} : |p(z)| < R\},$$

R-Lemniscate

$$\Lambda_p := \{z \in \mathbb{C} : |p(z)| < 1\}.$$

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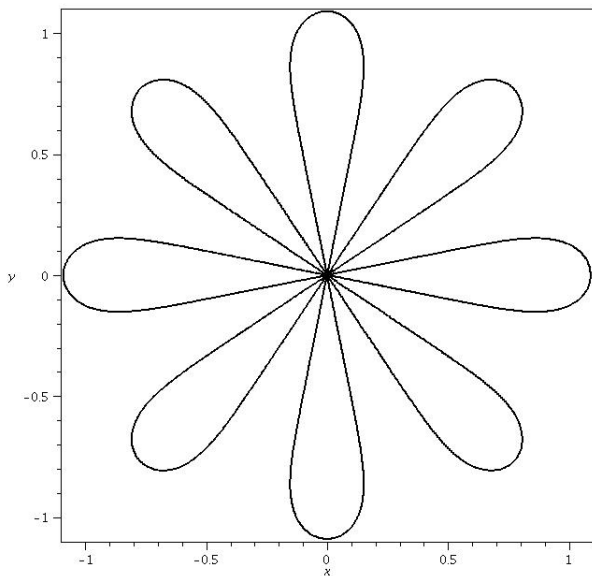
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- ▶ Each connected component of Λ_p Contains a **root** of the polynomial p .
- ▶ Let $C(\Lambda_p) :=$ Number of components of Λ_p , then

$$1 \leq C(\Lambda_p) \leq n$$

Erdős Lemniscate: $z^n - 1$



Two Facets of Random Polynomials

A monic complex polynomial $p(z)$ of degree n can be expressed in **two equivalent fundamental forms**.

1. Expanded Form

$$p(z) = \sum_{j=0}^n c_j z^j$$

Specified by its **coefficients**

$$\{c_j\}_{j=0}^n.$$

Random Coefficients Model

- Set the coefficients c_j as random variables (e.g., Kac, Kostlan, Weyl).

2. Factorised Form

$$p(z) = \prod_{j=1}^n (z - z_j)$$

Specified by its **zeros** $\{z_j\}_{j=1}^n$.

Random Roots Model

- Set the zeros z_j to be random variables.

History:(Lundberg & Ramachandran) JLMS (2017)

For the **Kac ensemble** $p_n(z) = \sum_{k=0}^n a_k z^k$ (i.i.d. $a_k \sim \mathcal{N}_{\mathbb{C}}(0, 1)$),
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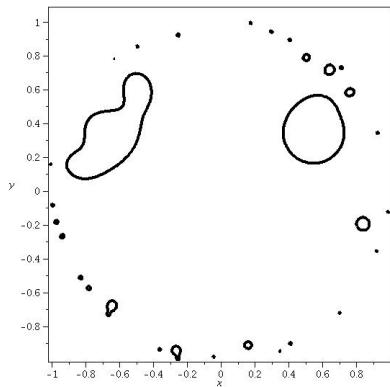
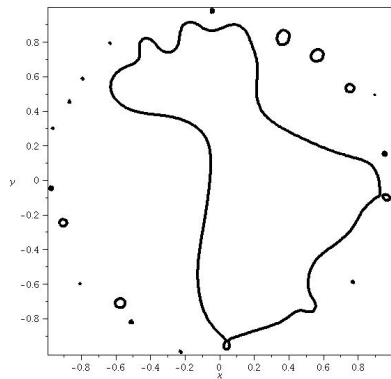
▶ **Existence of Giant Component:**

- ▶ For any fixed $r \in (0, 1)$, there is a **positive probability** (independent of n) that the lemniscate has a component that contains a ball of radius r .

$$\mathbb{P}(B(0, r) \subset \Lambda_{p_n}) > c(r) > 0$$

Probability of having a gaint component

Lemniscate of Kac the Polynomials



Random Setting

- ▶ Let $\{X_i(\omega)\}_{i=1}^{\infty}$ be i.i.d. random variables with law μ . We define

$$P_n(z) := P_n(z, \omega) := \prod_{i=1}^n (z - X_i(\omega))$$

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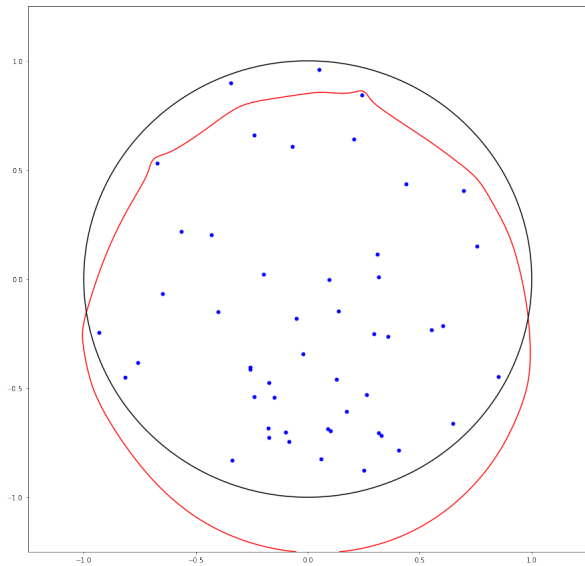
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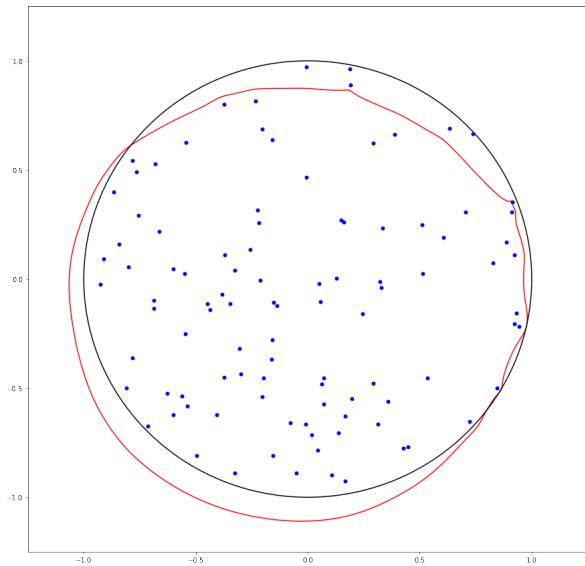
- ▶ **Goal:** To investigate the asymptotic behaviour of $\mathbb{E}[C(\Lambda_n)]$ for

$$(i) \mu = \text{unif}(\mathbb{D}) \quad \& \quad (ii) \mu = \text{unif}(\mathbb{S}^1)$$

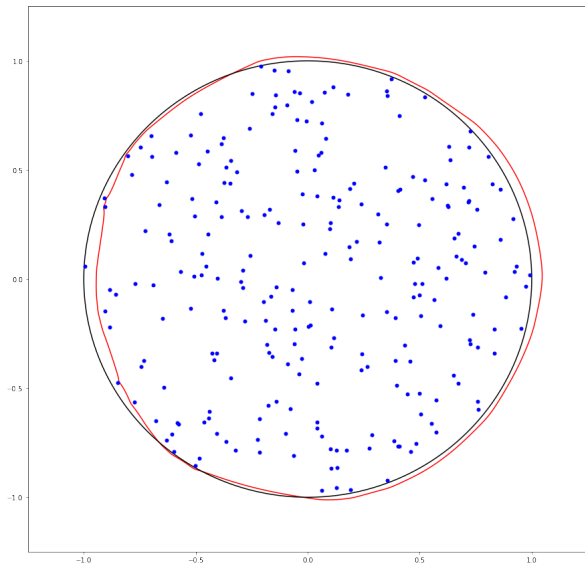
Simulations: $n = 50$, $\mu = \text{unif}(\mathbb{D})$



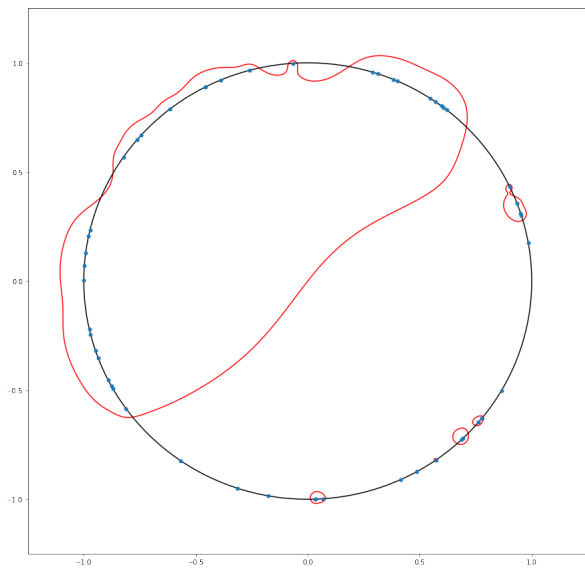
Simulations: $n = 100$, $\mu = \text{unif}(\mathbb{D})$



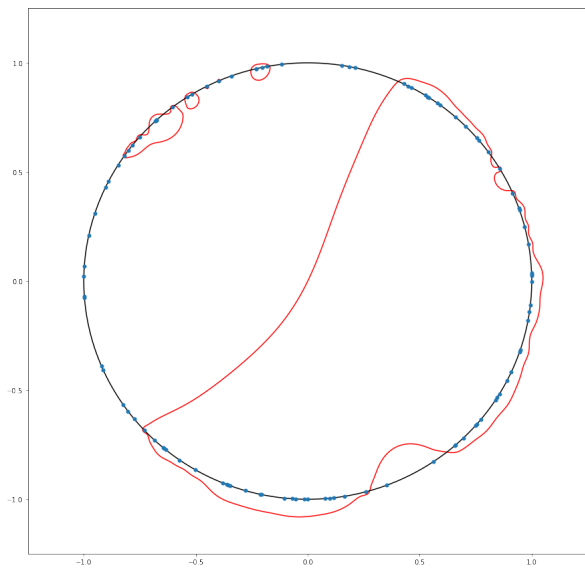
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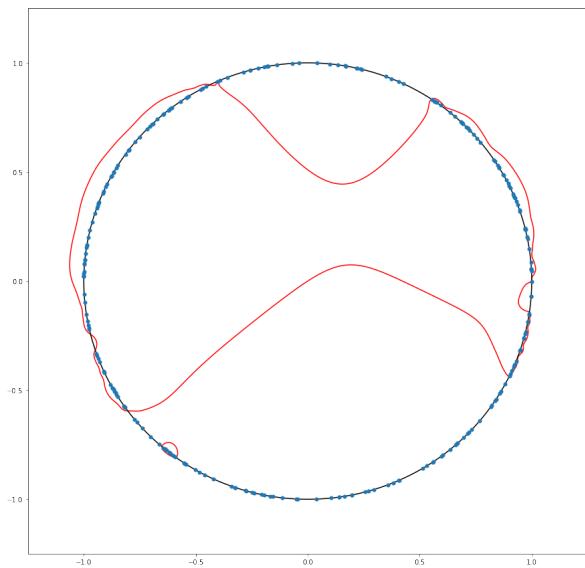
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Main Results:

Theorem 3 (S. Ghosh, 2024, EJP)

Let $\mu = \text{unif}(\mathbb{D})$. Then there exist constants $C_1, C_2 > 0$ such that

$$C_1\sqrt{n} \leq \mathbb{E}[C(\Lambda_n)] \leq C_2\sqrt{n}$$

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Theorem 4 (S. Ghosh, 2024, EJP)

Let $\mu = \text{unif}(\mathbb{S}^1)$. Then

$$\lim_{n \rightarrow \infty} \frac{\mathbb{E}[C(\Lambda_n)]}{n} = \frac{1}{2}$$

Potential Theory Preliminaries

- ▶ Let $K \subset \mathbb{C}$ be a non-empty compact set, and let μ be a Borel probability measure on K . Then

$$U_\mu(z) := \int_K \log |z - w| d\mu(w) \quad z \in \mathbb{C}.$$

logarithmic potential

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$$U_{\mu_p}(z) = \frac{1}{\deg(p)} \sum_{z_0 \in Z_p} \log |z - z_0| = \frac{1}{\deg(p)} \log |p(z)|$$

potential of empirical measure

Lemniscates and Potentials

Therefore,

$$\Lambda_p = \{z \in \mathbb{C} : \log |p(z)| < 0\} = \{z \in \mathbb{C} : U_{\mu_p}(z) < 0\}.$$

Most Important Identity

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- ▶ If the roots of the random polynomial are chosen independently from μ , then for large degree random polynomials

$$\mu_p \approx \mu$$

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$$U_{\mu_p} \approx U_{\mu}.$$

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- ▶ The probabilistic meaning: for $z \in \mathbb{C}$

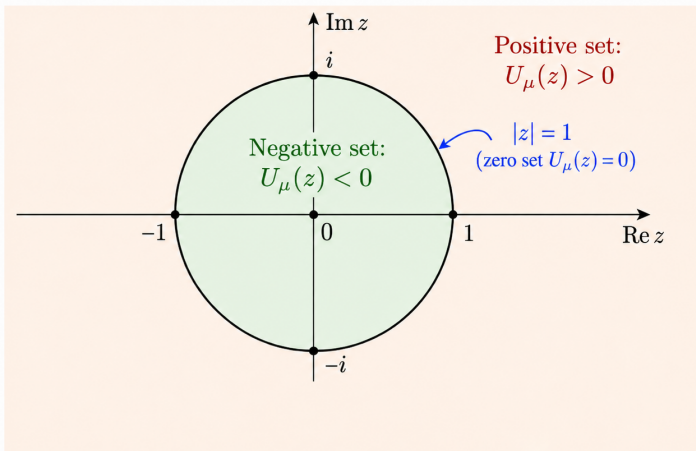
$$\mathbb{E} \left[\frac{1}{n} \log |P_n(z)| \right] = \mathbb{E}[\log |z - X_1|] = U_\mu(z), \quad z \in \mathbb{C}.$$

Thus, heuristically,

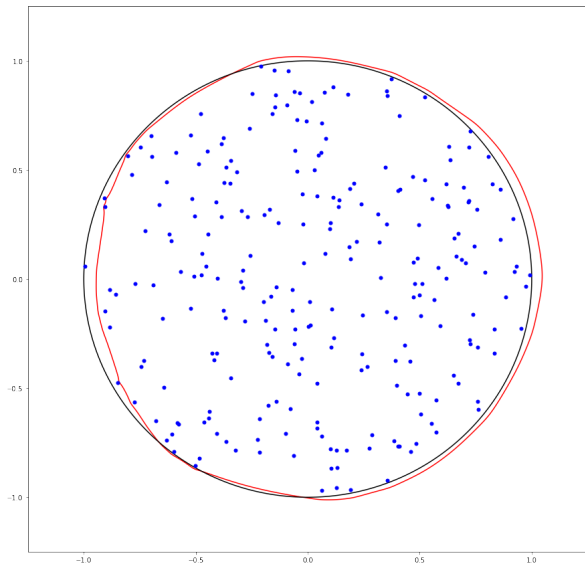
$$|P_n(z)| \approx \exp \left(n U_\mu(z) \right).$$

Potential function of $\mu = \text{Unif}(\mathbb{D})$

$$U_\mu(z) = \begin{cases} \frac{|z|^2 - 1}{2}, & |z| \leq 1, \\ \log |z|, & |z| > 1. \end{cases}$$

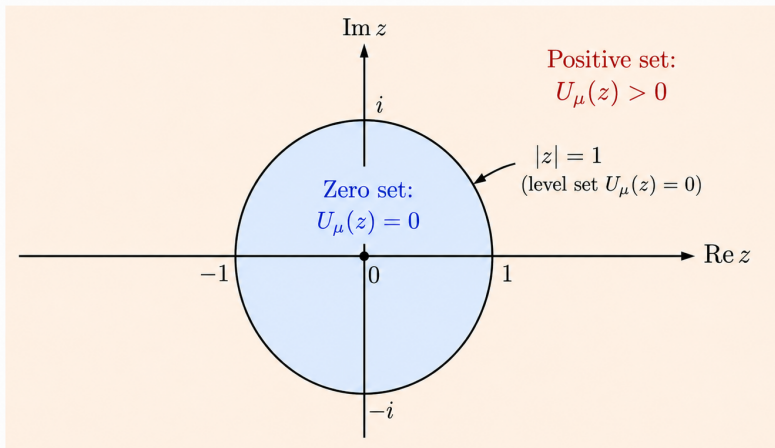


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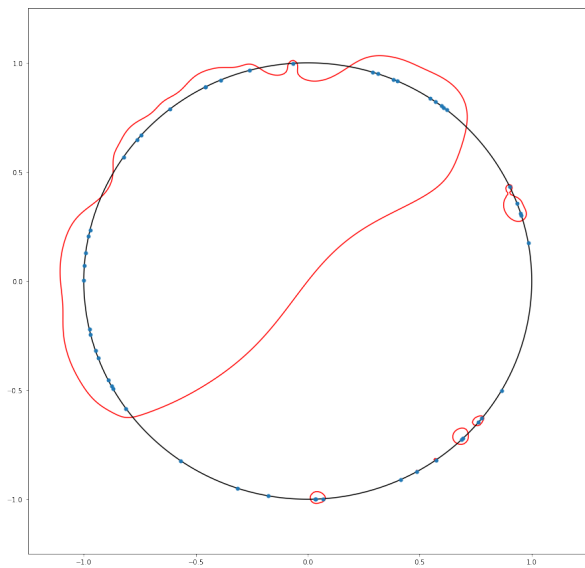


Potential function of $\mu = \text{Unif}(\mathbb{S}^1)$

$$U_\mu(z) = \log^+ |z| = \begin{cases} 0, & |z| \leq 1, \\ \log |z|, & |z| > 1. \end{cases}$$



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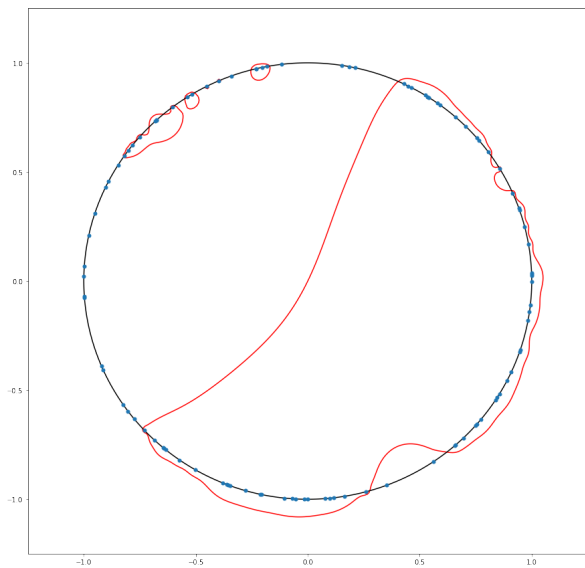


Disk Model

Proof of Lower Bound

$$C_1\sqrt{n} \leq \mathbb{E}[C(\Lambda_n)]$$

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Lonely Component

- ▶ We say that a root X_j forms a *lonely component* if there exists a ball \mathcal{B} containing X_j such that

$$\begin{cases} z_k \notin \mathcal{B}, & \forall k \neq j, \\ |P_n(z)| \geq 1, & \forall z \in \partial\mathcal{B} \end{cases}$$

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- ▶ Taking expectations, we get

$$\mathbb{E}[C(\Lambda_n)] \geq \sum_{i=1}^n \mathbb{P}(L_i) = n \mathbb{P}(L_1)$$

Proof of Sufficient Condition

- ▶ We need to choose r small enough, such that with high probability

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$$|P_n(z)| = \left| P_n(X_1) + P'_n(X_1)(z - X_1) + \sum_{k=2}^n P_n^{(k)}(X_1) \frac{(z - X_1)^k}{k!} \right|$$

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Sufficient Condition for a Lonely Component

- Suppose that, for the root X_1 , there exists $r > 0$ (for us $r = n^{-10}$ is good enough) such that

$$\left\{ \begin{array}{l} |P'_n(X_1)r| \gg 1 \\ \text{dominant linear term} \\ \left| \frac{P_n^{(k)}(X_1)r^{k-1}}{P'_n(X_1)k!} \right| < \frac{1}{2n^2}, \quad k = 2, \dots, n \\ \text{higher-order terms are small} \end{array} \right.$$

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- ▶ Notice that, conditioned on $X_1 = z$ and, for $k = 2, \dots, n$,

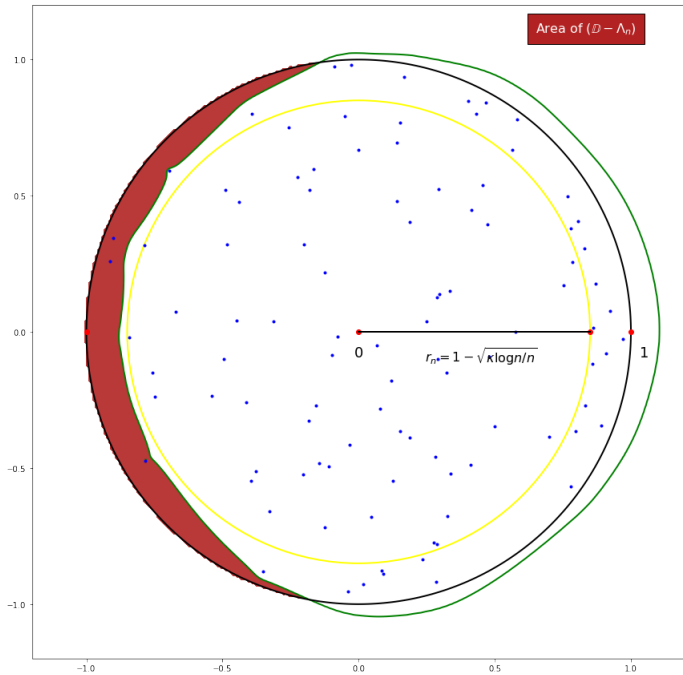
$$1) \quad |P'_n(X_1)| = \prod_{j=2}^n |z - X_j|$$

$$2) \quad \mathbb{E} \left[\frac{|P_n^{(k)}(X_1)|}{|P'_n(X_1)k!} \mid X_1 = z \right] \leq \binom{n-1}{k-1} \mathbb{E} \left[\frac{r}{|z - X_2|} \right]^{k-1}$$

Disk Model

Proof of Upper Bound

$$\mathbb{E}[C(\Lambda_n)] \leq C_2\sqrt{n}$$



Components and Critical Points

Lemma: Let $P(z)$ be a monic polynomial and $\Lambda_P(R)$ its R lemniscate. Let $\{\beta_j\}_{j=1}^{n-1}$ denote the critical points of P .

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$$\begin{aligned} C(\Lambda_P(R)) &= 1 + \#\text{Critical points outside } \Lambda_P(R) \\ \text{no. of components} & \\ &= 1 + \left| \left\{ j : |P(\beta_j)| \geq R \right\} \right| \end{aligned}$$

► **Question:** Why do critical points contribute to **components**?

Example:

Polynomial: $P(z) = z^2(z^3 - 1)(z^2 + 2) = z^7 + 2z^5 - z^4 - 2z^2.$

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Critical point	Critical value	Modulus
$-0.060312 + 1.185215i$	$0.830736 + 1.334413i$	1.571872
$-0.060312 - 1.185215i$	$0.830736 - 1.334413i$	1.571872
0.766273	-0.835615	0.835615
$-0.322825 + 0.652134i$	$0.403398 + 0.408102i$	0.573827
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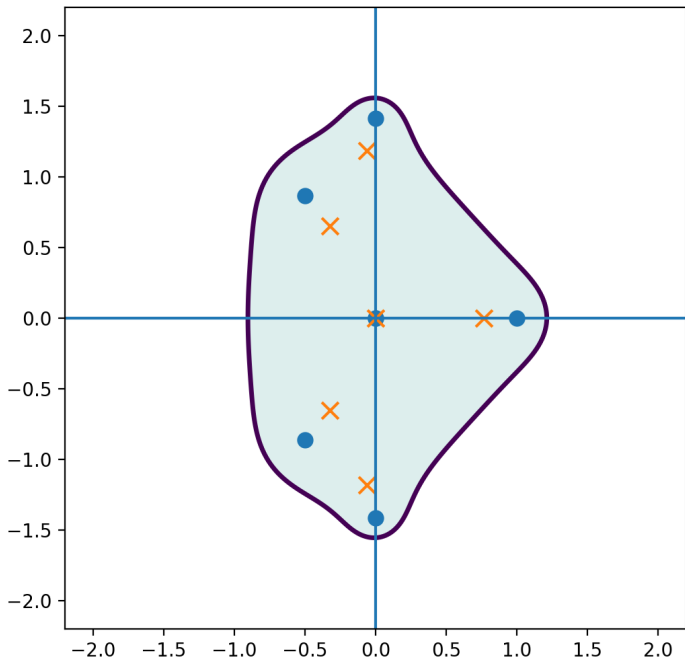
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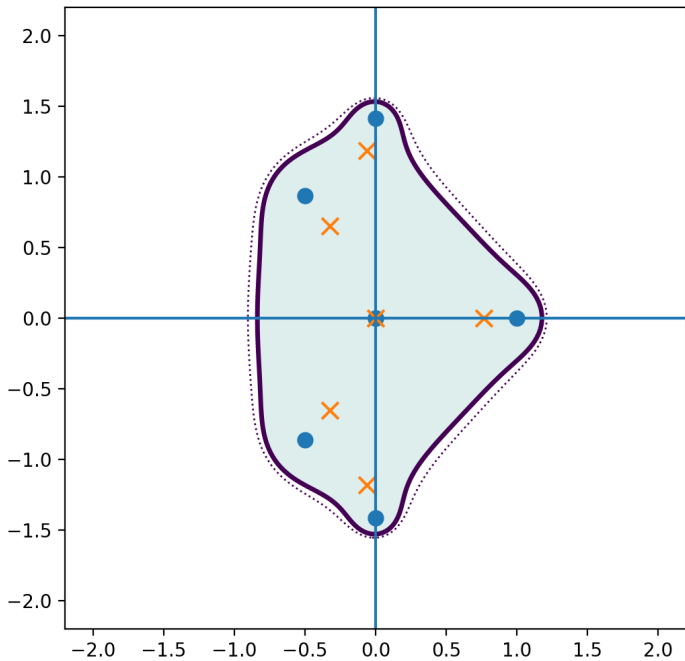
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0	0	0

- In this example the unit lemniscate has 3 components!

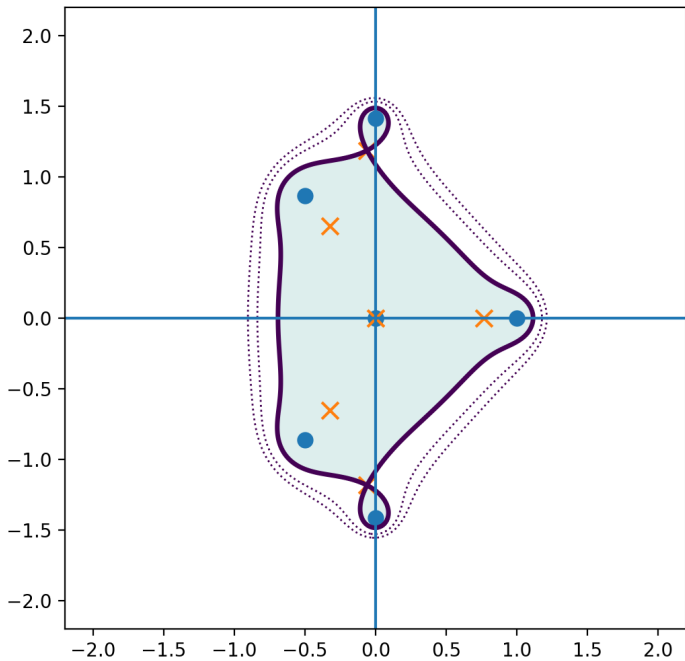
R = 4



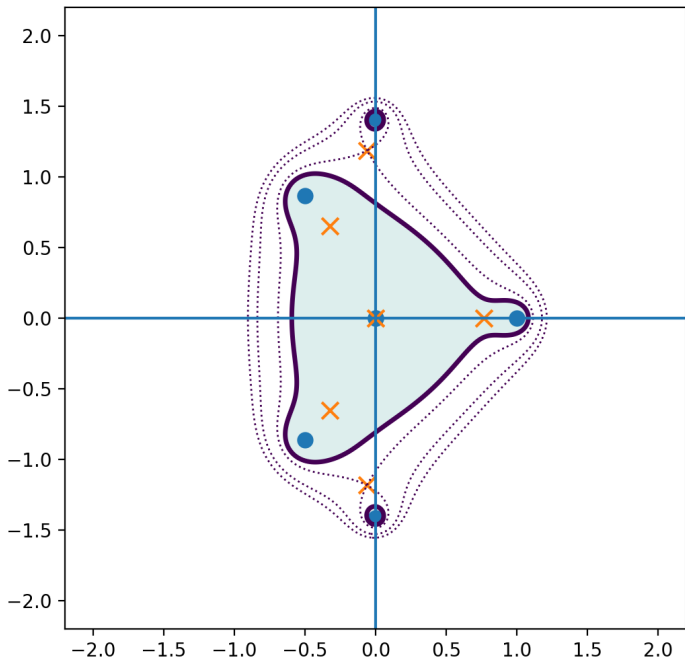
R = 3



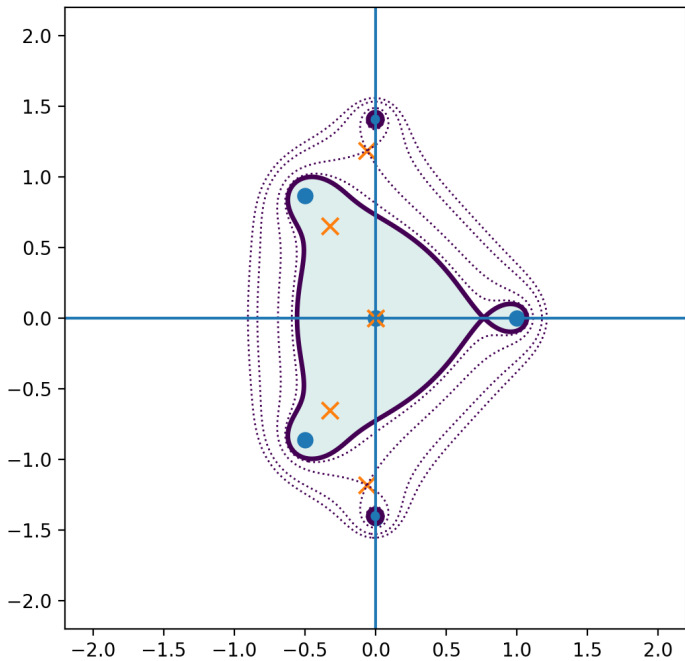
$R = 1.571872$



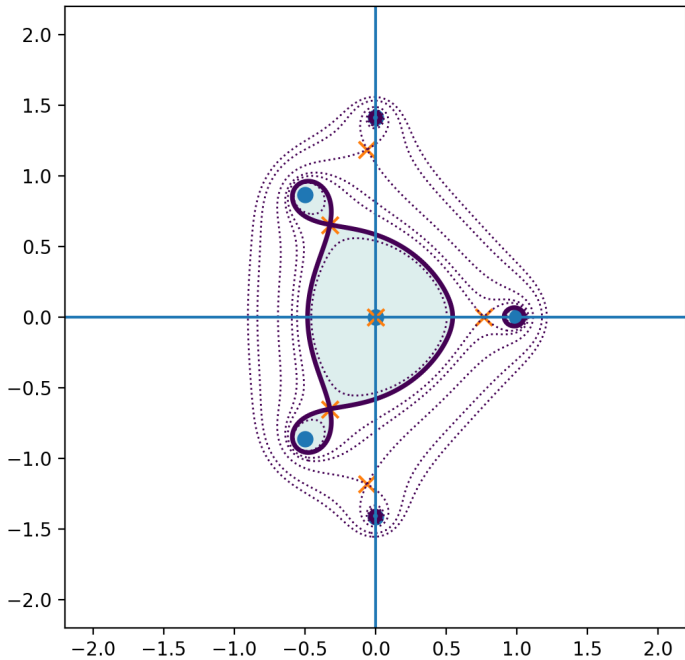
$R = 1$



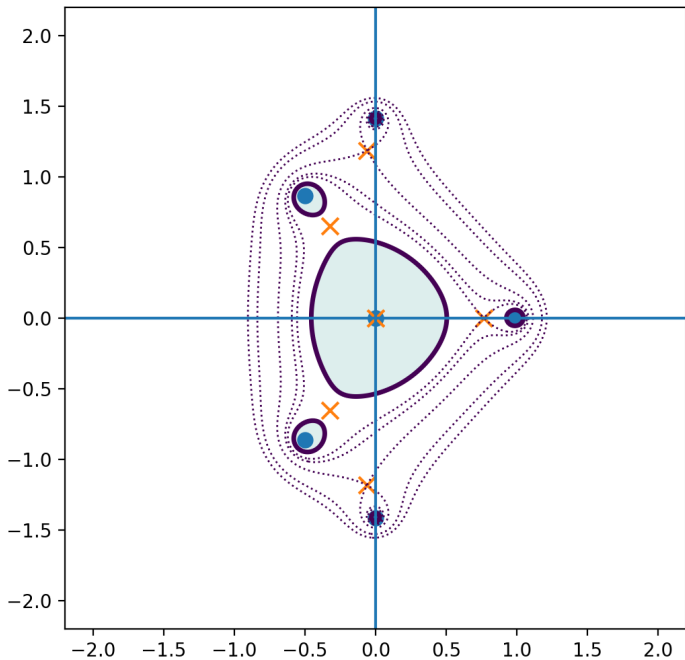
R = 0.835615



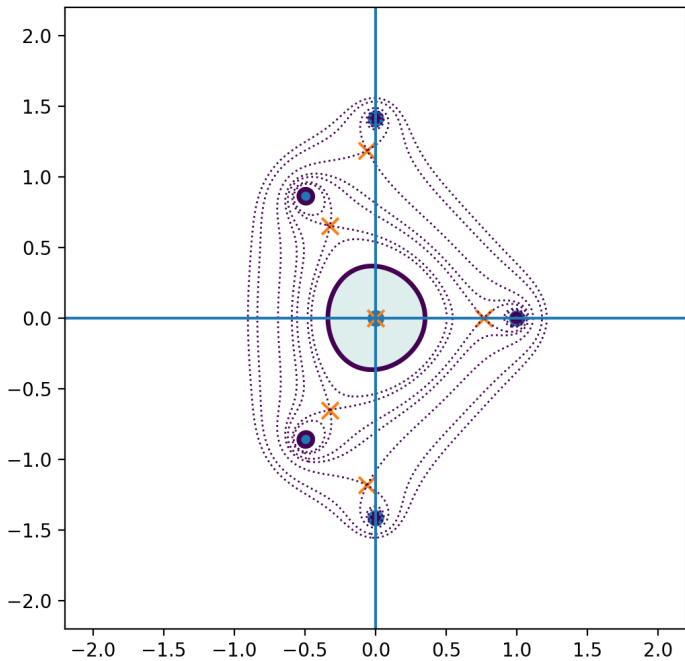
$R = 0.573827$



$R = 0.5$



R = 0.25



Components and Critical Points

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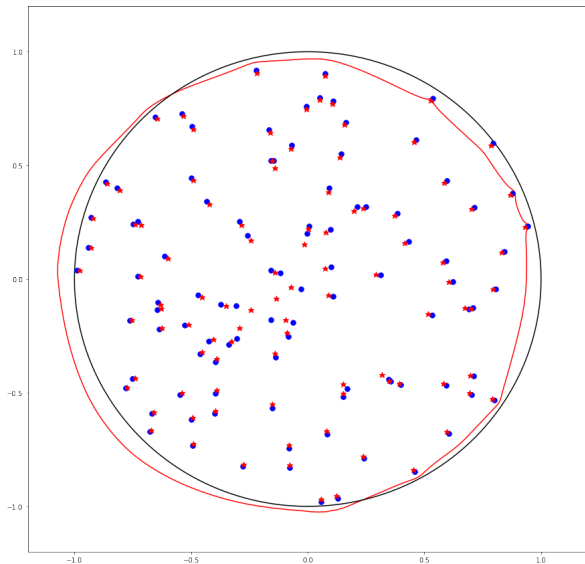
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- **Question:** How do we compute the **critical points** and **critical values** of the random polynomial P_n ?

Pairing of zeroes and critical points in Random polynomials:



Pairing Continued

Theorem (Kabluchko–Seidel, EJP, 2019)

Assume that μ has a **Lebesgue density** which is continuous on some open set. Suppose also that its **Cauchy transform** is non-zero a.e.

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Then

$$\lim_{n \rightarrow \infty} \mathbb{P} \left[\begin{array}{c} \text{there is a unique critical point} \\ \text{in } B(X_1, r_n) \end{array} \right] = 1$$

Good Root

- We say that a root X_1 is *good* if there exists $r > 0$ (for us $r = n^{-3/4}$ is good enough) such that

$$\left\{ \begin{array}{l} B(X_1, r) \subset \Lambda_n \\ \text{ball lies inside the lemniscate} \\ \min_{2 \leq j \leq n} |X_1 - X_j| > 3r \\ \text{no other roots nearby} \\ \exists \text{ a unique critical point } \xi \in B(X_1, r) . \\ \text{paired critical point inside ball} \end{array} \right.$$

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- ▶ Let G_j be the event that X_j is a good root. With this definition we immediately get

$$C(\Lambda_n) \leq n - \sum_{j=1}^n \mathbb{1}_{G_j} .$$

Let $\mu = \text{unif}(\mathbb{D})$. Then

$$\frac{\mathbb{E}[C(\Lambda_n)]}{\sqrt{n}} = \gamma + O\left(\frac{1}{\log n}\right).$$

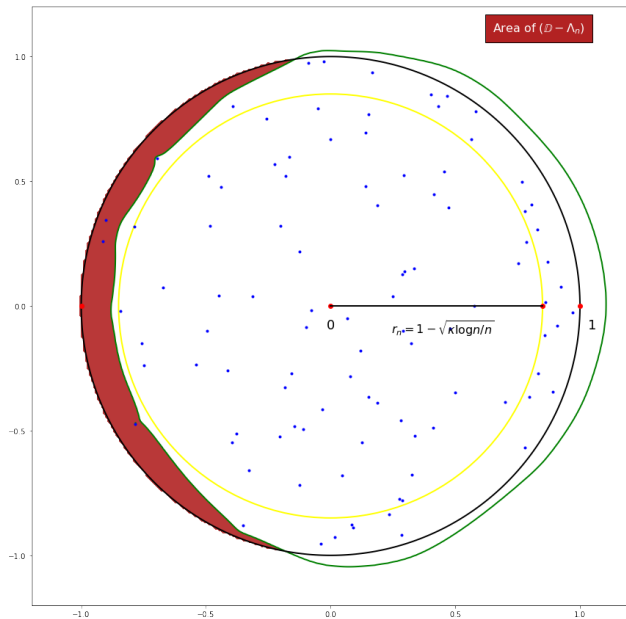
In particular,

$$\lim_{n \rightarrow \infty} \frac{\mathbb{E}[C(\Lambda_n)]}{\sqrt{n}} = \gamma.$$

where,

$$\gamma = \sqrt{\frac{\text{Var}(\log |1 - X_1|)}{2\pi}} = \sqrt{\frac{\zeta(2) - 1}{\pi}}.$$

Area Outside The Lemniscate



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**Thank you for your
attention!!**