

Zero Problems in Theory and Applications

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TALK OVERVIEW

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- Is There a Problem with Zero?
- Why Care About Nothing (Zero)?
- On Zero Bounds and Adaptivity
- On Foundations of Real Computation
- Conclusions

PART I.

Is There a Problem with Zero?

*“The history of the **zero recognition** problem is somewhat confused by the fact that many people do not recognize it as a problem at all.”*

— Daniel Richardson (1996)

What Appears to be the Problem?

- Is a number equal to zero?
 - * Decision Problem – YES/NO answers

- Why is any effort needed at all?
 - * Numbers have canonical names
 - * E.g., zero, one, two, half, negative ten, square-root two, pi, etc
 - * In symbols, 0 , 1 , 2 , $\frac{1}{2}$, -10 , $\sqrt{2}$, π , ...

- Numerical Expressions (non-canonical!)
 - * $1 - 1 + 1 - 1$,
 - * $2^2 + 5 - 3^2$,
 - * $1 - \sum_{n=1}^{\infty} 2^{-n}$,
 - * $\sqrt{2} + \sqrt{3} - \sqrt{5 + 2\sqrt{6}}$
 - * These are all 0

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But is it REALLY zero?

- Two ways to decide zero:
 - * (A) Algebraically. E.g., repeated squaring
 - * (B) Numerically. E.g., by approximation

- We are interested in (B):

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$$\begin{aligned}
 \sqrt{2} + \sqrt{3} - \sqrt{5 + 2\sqrt{6}} &= 1.4142 + 1.7320 - \sqrt{5 + 2 \times 2.4494} \\
 &= 3.1462 - \sqrt{9.8989} \\
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Apparent Zeros

- Folklore:

$$* \left(3 \cdot \log(640320) / \sqrt{163} \right) - \pi < 10^{-15}$$

- R.Graham:

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$$\begin{aligned} & \left(\sqrt{1000001} + \sqrt{1000025} + \sqrt{1000031} + \sqrt{1000084} + \sqrt{1000087} \right. \\ & \quad \left. + \sqrt{1000134} + \sqrt{1000158} + \sqrt{1000182} + \sqrt{1000198} \right) \\ & - \left(\sqrt{1000002} + \sqrt{1000018} + \sqrt{1000042} + \sqrt{1000066} + \sqrt{1000113} \right. \\ & \quad \left. + \sqrt{1000116} + \sqrt{1000169} + \sqrt{1000175} + \sqrt{1000199} \right) \\ & < 10^{-36} \end{aligned}$$

- Many more...

- Richardson (2005)

$$* \text{ Let } F(x) = (1 + x)^{1/2} - 2(1 + 3x/4)^{1/3} + 1$$

$$* \text{ Then } F(F(10^{-126})) < 10^{-1141}$$

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The Zero Problems

- $\Omega =$ set of algebraic operators
 - * E.g., $\Omega = \{\pm, \times, \div\} \cup \mathbb{Z}$
- Let $\text{Expr}(\Omega)$ denote expressions over Ω
- Evaluation function:
 $\text{Val} : \text{Expr}(\Omega) \dashrightarrow \mathbb{C}$
 - * Say e is invalid if $\text{Val}(e) = \uparrow$
- Zero problem, $ZERO(\Omega)$:
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Error Notation

- NOTATION: $\tilde{x} = x \pm h$
 - * means $|\tilde{x} - x| \leq h$
- Absolute Error
 - * \tilde{x} is a absolute p -bit approximation of x if $\tilde{x} = x \pm 2^{-p}$
- Relative Error
 - * \tilde{x} is a relative p -bit approximation of x if $\tilde{x} = x(1 \pm 2^{-p}|x|)$
- Precision vs. Error
 - * (1) “precision” is a priori error
 - * (2) “error” is a posteriori error

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Partial Functions

- Partial function, $f : S \dashrightarrow T$
 - * Nominal domain: S
 - * Proper domain: $\text{dom}(f) = \{w \in S : f(w) = \downarrow\}$
 - * If $S = \text{dom}(f)$, then f is total, written $f : S \rightarrow \Sigma^*$

- Two cases of interest:
 - * (Discrete computation) Turing Machines for computing $f : S \subseteq \Sigma^* \dashrightarrow \Sigma^*$
 - * (Continuous computation) Real functions $f : S \subseteq \mathbb{R} \dashrightarrow \mathbb{R}$

- Why have both S and partial f ?
 - * In analysis: we often choose S to be nice
 - * In algebra: we have no choice about S , and f may be partial (E.g., \div)

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Classic (Discrete) Computability Theory

- f is **partial recursive** if there is a Turing machine M :
 - * (1) For all $w \in \text{dom}(f)$, M halts with outputs $f(w)$
 - * (2) For all $w \notin \text{dom}(f)$, M does not halt

- f is **recursive** if ...
 - * (1) For all $w \in \text{dom}(f)$, ...
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- E.g., $\div : \mathbb{Q} \times \mathbb{Q} \dashrightarrow \mathbb{Q}$ a recursive partial (!) function

- $Rec =$ Recursive functions;
 $Prec =$ Partial Recursive functions

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- $Rec \subseteq Prec$
 - * There exists a function $HALT$ in $Prec \setminus Rec$
 - * Every $f \in Prec$ is reducible to $HALT$
- What happens to the Halting Problem in the continuous domain?

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Real Approximations

- A set \mathbb{F} of **base reals** is any subset $\mathbb{F} \subseteq \mathbb{R}$ such that
 - * (1) \mathbb{F} is a ring extension of \mathbb{Z}
 - * (2) \mathbb{F} is countably dense in \mathbb{R}
 - * (3) Ring operations, $x \mapsto x/2$ and comparisons of \mathbb{F} are efficient
- E.g., $\mathbb{F} = \mathbb{Q}$ or $\mathbb{F} = \{n2^m : n, m \in \mathbb{Z}\}$
- Let $f : S \subseteq \mathbb{R} \dashrightarrow \mathbb{R}$ and $\tilde{f} : \mathbb{F} \times \mathbb{Z} \dashrightarrow \mathbb{F}$
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 - for all $x \in \mathbb{F}$, $\tilde{f}(x; p) \equiv f(x) \pm 2^{-p}$.
 - * Similarly for \mathcal{R} -approximable.

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- Let \mathcal{A}_f denote (an arbitrary member of) the set of all \mathcal{A} -approximations of f .¹³
- f is \mathcal{A} -approxible if some $f \in \mathcal{A}_f$ is computable by a halting Turing machine
 - * Similarly for \mathcal{R} -approximable and the set \mathcal{R}_f .
- E.g., the field operations \pm, \times, \div and \exp, \log are all \mathcal{R} -approximable.

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Sign Lemma

- SIGN LEMMA:
 $\text{sign}(f(x)) = \text{sign}(\mathcal{R}_f(x; 1))$
- Proof: $\mathcal{R}_f(x; 1) = f(x)(1 \pm 2^{-1})$.

Zero Problem in Real Approximations

- $Zero(f)$ is the problem of deciding for $x \in \mathbb{F}$, whether $f(x) = 0$
- THEOREM: The following is equivalent:
 - * f is \mathcal{R} -approximable
 - * f is \mathcal{A} -approximable and $Zero(f)$ is decidable
- Proof: (\Rightarrow) Given x and p , we want to compute $\mathcal{A}_f(x; p)$.
 - * (1) compute $c = \mathcal{R}_f(x; 1)$
 - * (2) $x \in Zero(f)$ iff $c = 0$ (by SIGN LEMMA)
 - * (3) If $c \neq 0$, OUTPUT $\mathcal{R}_f(x, p + 1 + \lceil \lg |c| \rceil)$
- Proof: (\Leftarrow) Given x and p , we want to compute $\mathcal{R}_f(x; p)$.
 - * (1) If $f(x) = 0$, OUTPUT 0
 - * (2) Find the first n such that $|\mathcal{A}_f(x; n)| \geq 2^{1-n}$
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Separation of *Abs* and *Rel*

- THEOREM: There is an \mathcal{A} -approximable function that is not \mathcal{R} -approximable.
- Proof: Let $H : \mathbb{N} \rightarrow \mathbb{F}$ where $H(i) = \begin{cases} 0 & \text{if } i\text{-th TM on } 0 \text{ halts} \\ 2^{-k} & \text{if } i\text{-th TM on } 0 \text{ halts in } k \text{ steps} \end{cases}$
 - * H is not \mathcal{R} -approximable: otherwise $HALT$ is recursive.
 - * H is \mathcal{A} -approximable: on i, j we can compute $\tilde{H}(i; j)$ such that $|\tilde{H}(i; j) - H(i)| \leq 2^{-j}$
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Complexity of Zero Problems

- Useful complexity classification
- Zero Hierarchy
 - * Polynomial: $\Omega_0 := \{+, -, \times\} \cup \mathbb{Z}$
 - * Rational: $\Omega_1 := \Omega_0 \cup \{\div\}$
 - * Radical: $\Omega_2 := \Omega_1 \cup \{\sqrt[k]{\cdot} : k \geq 2\}$
 - * Algebraic: $\Omega_3 := \Omega_2 \cup \{\text{RootOf}\}$
 - * Elementary: $\Omega_4 = \Omega_3 \cup \{\exp, \log\}$
- Complexity
 - * $\text{ZERO}(\Omega_1)$ is in *PSPACE* and *P*-complete [Mehlhorn-Schmitt-Yap]
 - * $\text{ZERO}(\Omega_3)$ is decidable in Single Exponential Time [Tarski, Grigoriev, etc]
 - * $\text{ZERO}(\Omega_4)$ is decidable provided Schanuel's conjecture holds [Richardson]
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PART II.

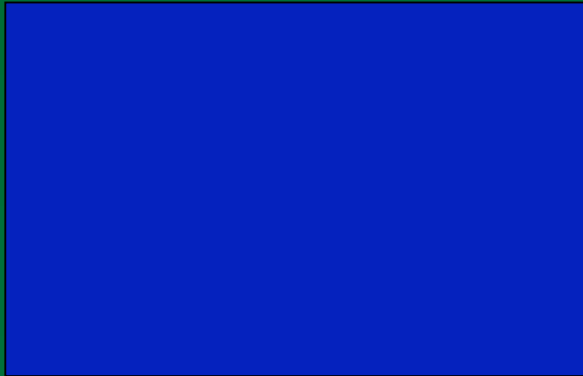
Why Care About Nothing (Zero)?

Much Ado About Nothing

– Shakespeare (1600)

Points and Lines

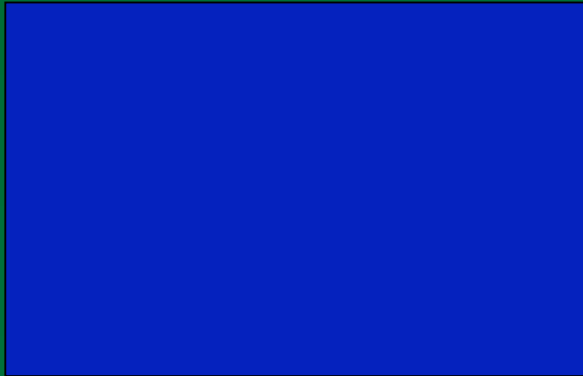
- Simple geometric test:
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- P is on $L \iff ax_0 + by_0 + c = 0$
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- In Meshing Applications
 - * Point Classification Problem: Is P IN/OUT/ON a given triangle?
 - * Sign determination
- Upshot
 - * Knowing zero (and sign) is necessary for computing correct geometry

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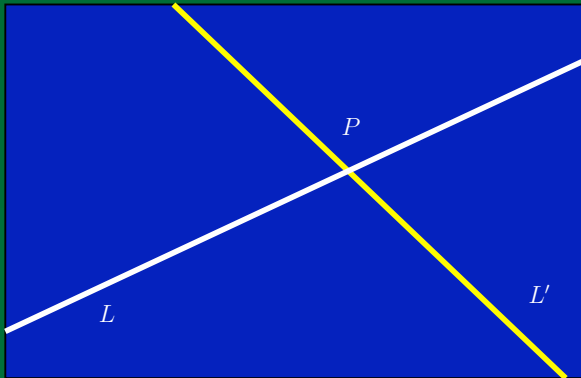
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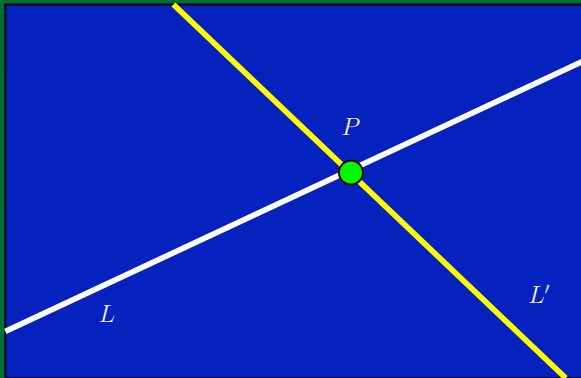
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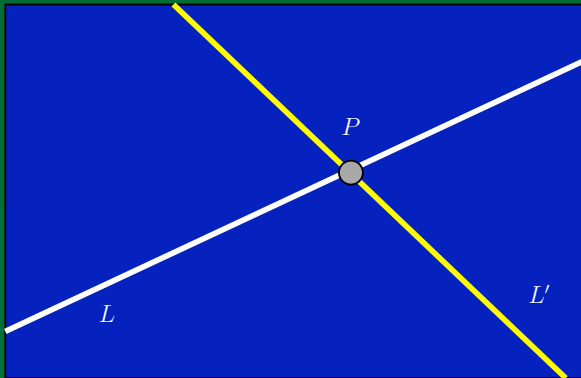


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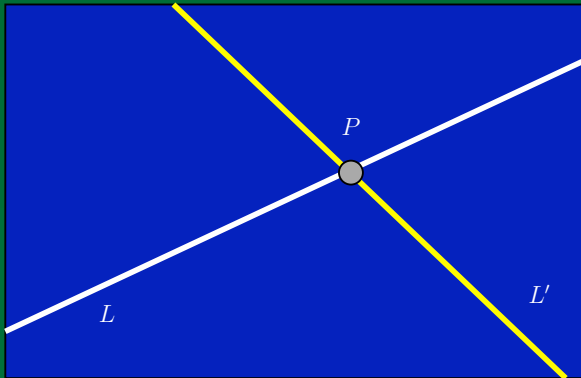
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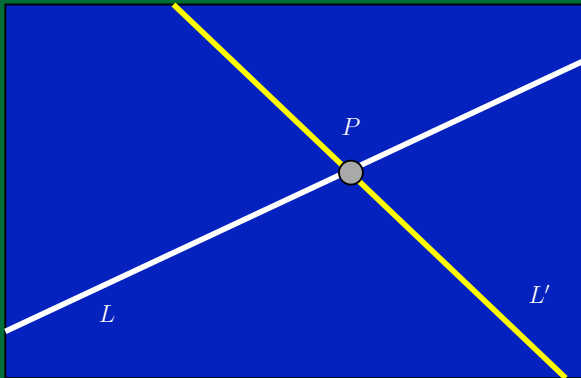
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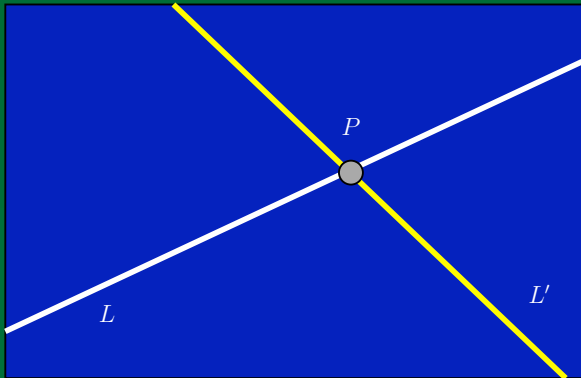
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Again, What is Geometry?

- Geometric vein permeates all of Mathematics
 - * Number theory, algebraic & differential geometry, topology, probability, ...
- What is Geometry?
 - * Euclid: Axiomatic Approach
 - * Descartes: Algebraization of Geometry
 - * Klein: Transformation Groups
 - * Hilbert: Logical Foundations
 - * Tarski: Elementary Geometry and Algebra
 - * Erdos: Combinatorial Vein
- Computational Perspective:
 - * (1) Geometry is comprised of discrete relations among geometric objects
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- Widespread numerical nonrobustness issues in computational science and engineering
 - * Computer Science's dirty secret...
- Geometric Computation is inherently discontinuous



- Upshot: if we can efficiently solve the zero problem
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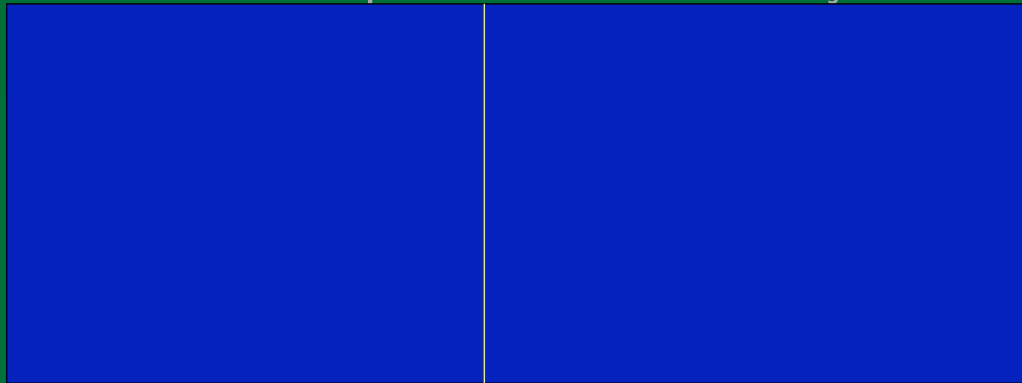


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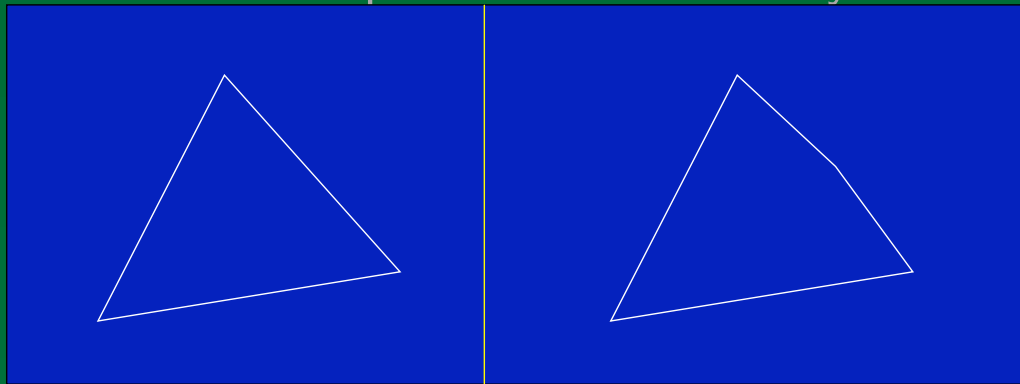
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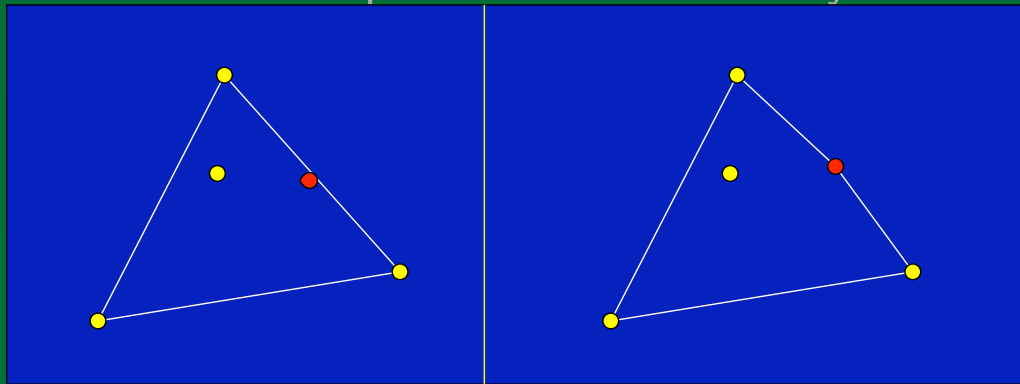
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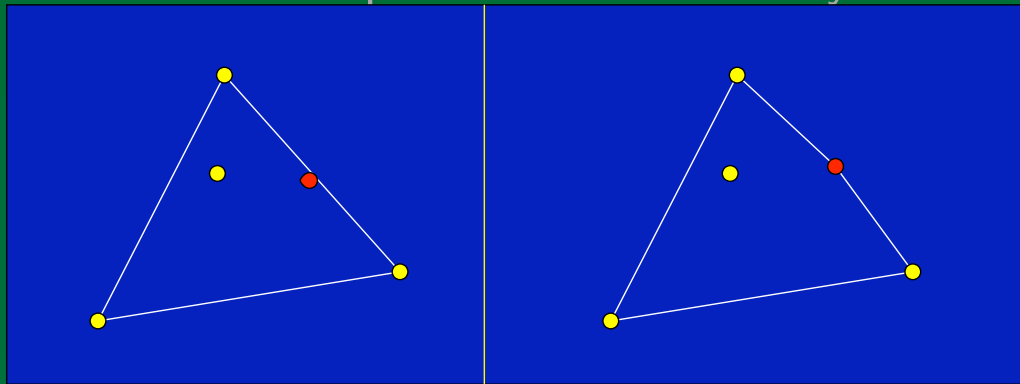
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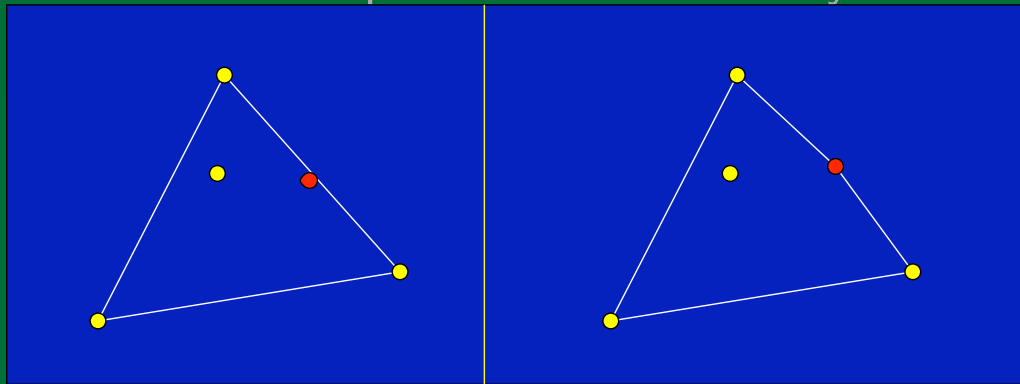
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Other Applications of Zero Problems

- Surface-Surface Intersection (SSI) (Farouki)
 - * “The single greatest cause of poor reliability of CAD systems is lack of topologically consistent surface intersection algorithms” .
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- Computer-Aided Theorem Proving
 - * E.g., Kepler’s conjecture (T. Hale)
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PART III.

On Zero Bounds and Adaptivity

“It can be of no practical use to know that π is irrational, but if we can know, it surely would be intolerable not to know.”

— E.C. Titchmarsh

The Numerical Halting Problem

- To decide if $e = 0$, we compute approximations
 - * e_1, e_2, e_3, \dots
 - * where $e = e_n \pm 2^{-n}$
- OUTPUT “ $e \neq 0$ ” when $|e_n| > 2^{-n}$
- What if $e = 0$?
- The ZERO PROBLEM is the continuous analogue of the HALTING problem
 - * — like the halting problem, ZERO is “semi-decidable”
- The HALTING problem is complete for *Prec*
We will show the continuous analogue.

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Two Ways to to Use Zero Bounds

- Suppose we have $B(e) > 0$ such that:
 - * if $\text{Val}(e) \neq 0$, then $|\text{Val}(e)| > B(e)$
 - * B is a (conditional) zero bound function

- METHOD 1: Compute approximation \tilde{e} for e so that $|\tilde{e} - e| < B(e)/2$
 - * If $|\tilde{e}| \geq B(e)$, then OUTPUT “ $e \neq 0$ ”
 - * Otherwise, OUTPUT “ $e = 0$ ”

- METHOD 2: Compute sequence (e_1, e_2, e_3, \dots) as before
 - * If $|e_n| > 2^{-n}$, OUTPUT “ $e \neq 0$ ”
 - * If $2^{-n} < \frac{B(e)}{2}$, OUTPUT “ $e = 0$ ”

- Semi-adaptivity of METHOD 2
 - * if $x \neq y$, the complexity depends on $-\log_2 |x - y|$

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- Adaptive Complexity
 - * (1) The numerical method (B) is adaptive...
 - * (2) Algebraic methods are inherently non-adaptive, too inefficient
 - * (3) Only algebraic information: Zero Bounds
- Other advantages:
 - * simpler algorithms
 - * exploits geometry
 - * algorithms are independent of bounds
- General trend in computer algebra
 - * (1) PROBLEM: most adaptive algorithms are incomplete
 - * (2) E.g., no known adaptive complete algorithm for topological analysis of curve
 - * (3) ONE SOLUTION: Hybrid algorithms
- OPEN PROBLEM:
Construct Complete and Fully Adaptive Algorithms for basic problems
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Where do we get Zero Bounds?

- Classical Root Bounds
 - * Constructive Root Bounds

- BFMS Bound

$$* B(e) = \frac{1}{L(e)U(e)^{D(e)^2-1}}$$

	e	$U(e)$	$L(e)$
1.	rational a/b	a	b
2.	$e_1 \pm e_2$	$U(e_1)L(e_2) + L(e_1)U(e_2)$	$L(e_1)L(e_2)$
3.	$e_1 \times e_2$	$U(e_1)U(e_2)$	$L(e_1)L(e_2)$
4.	$e_1 \div e_2$	$U(e_1)L(e_2)$	$L(e_1)U(e_2)$
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- Other Constructive Bounds:
BFMSS, Mahler Measure, Li-Yap, k-ary, etc

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The Central Algorithm

- Guaranteed precision computation
 - * Viewed as a generalization of EGC
- Basic idea:

Each Operator $f \in \Omega$ is computed by \mathcal{R}_f

 - * Precision (a priori error) is driven down
 - * Approximation (+ a posteriori error) is propagated up
 - * \mathcal{R}_f is applied to approximations, and propagated up (unless)

	Precision in x	Precision in y	Operation Precision
$z = x \pm y$	$p + 2$	$p + 2$	∞
$z = x \times y$	$p + 2 + \mu^+(y)$	$p + 1 + \mu^+(x)$	∞
$z = x/y$	$p + 2 - \mu^-(y)$	$\max\{1 - \mu^-(y),$ $p + 2 - 2\mu^-(y) + 2\mu^+(x)\}$	$p + 1$ $p + 1$
$z = \sqrt{x}$	$\max\{p + 1, 1 - \mu^-(x)/2$		$p + 1$
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- Cast of Characters

Three Musketeers and a friend:

- * (A) $\alpha(e; p)$ — absolute approximation
- * (M) $\mu^+(e)$ — upper bound on $\mu(e) = \lg |\text{Val}(e)|$
- * (S) $\text{sign}(e)$ — sign of $\text{Val}(e)$
- * (B) $\beta(e)$ — root bound function

- OPEN PROBLEM: What is the optimal algorithm for evaluation?

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Transcendental Number Theory

- Another conditional zero bound:

$$B(e) = 1$$

- * (Fundamental Theorem of TNT)

- How do you prove that $\beta = \sum_{n=0}^{\infty} (2/3)^{2^n}$ is irrational?

- Outline of TNT (D.Masser)

- * (AP) Construction of Auxilliary Polynomial
 - * (UB) Obtaining an upper bound
 - * (LB) Obtaining a lower bound
 - * (NV) Proving non-vanishing

- Let $\beta_n = \sum_{n=0}^n (2/3)^{2^n}$, $R_n = \beta - \beta_n$

- * (AP) Let $P(X, Y) = 2XY^2 + 4XY - 3Y^2 + X - Y$

- * (UB) $|\alpha_n| < (1/10)^{2^{n+1}}$ where $|P((2/3)^{2^{n+1}}, R_n)| < (1/10)^{2^{n+1}}$

- * (LB) If $\beta = r/s$ and $\alpha_n \neq 0$, then $|P((2/3)^{2^{n+1}}, R_n)| \geq s^{-2}(1/9)^{2^{n+1}}$

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- * (UB) Obtaining an upper bound
- * (LB) Obtaining a lower bound
- * (NV) Proving non-vanishing

- Let $\beta_n = \sum_{n=0}^n (2/3)^{2^n}$, $R_n = \beta - \beta_n$
 - * (AP) Let $P(X, Y) = 2XY^2 + 4XY - 3Y^2 + X - Y$
 - * (UB) $|\alpha_n| < (1/10)^{2^{n+1}}$ where $|P((2/3)^{2^{n+1}}, R_n)| < (1/10)^{2^{n+1}}$
 - * (LB) If $\beta = r/s$ and $\alpha_n \neq 0$, then $|P((2/3)^{2^{n+1}}, R_n)| \geq s^{-2}(1/9)^{2^{n+1}}$
 - * (NV) $\alpha_n \neq 0$

- From irrationality/transcendence to transcendence measures

Transcendental Number Theory

- Another conditional zero bound:

$$B(e) = 1$$

- * (Fundamental Theorem of TNT)

- How do you prove that $\beta = \sum_{n=0}^{\infty} (2/3)^{2^n}$ is irrational?

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PART IV

On Foundations of Real Computation

“There is a substantial conflict between theoretical computer science and numerical analysis. ... The conflict has at its roots another age-old conflict, that between the continuous and the discrete. ”

— Blum, Cucker, Shub, Smale (1996, Manifesto)

Two Approaches to Real Computation

- Analytic Approach
 - * Turing(1936), Grzegorzcyk(1955), Weihrauch, Ko, etc
 - * Real numbers represented by rapidly converging Cauchy sequences
 - * Extend Turing machines to compute with infinite input/output sequences
- Algebraic Approach
 - * Blum-Shub-Smale (BSS) model, Real RAMs
 - * Real numbers directly represented as atomic objects
 - * Real numbers are compared without error
 - * Algebraic operators are carried out without error

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Where is the Zero Problem?

- Zero Problem is
 - * undecidable in Analytic Approach
 - * trivial in Algebraic Approach
 - * more nuanced in our Approximation Approach
- Other Issues
 - * (Analytic) Only continuous functions are computable (no geometry!)
 - * (Algebraic) Exponential function is not computable
 - * (Approximation) Composition is not automatic
- THEOREM: There exists \mathcal{R} -approximable f, g such that their composition $f \circ g$ is not \mathcal{A} -approximable

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How We Solve Numerical Problems

- E.g., Solving a PDE model, A numerical optimization, etc
- STEP A:
 - * Design an ideal Algorithm A
 - * Assume certain operations such as \pm , \times , $\exp()$
 - * Show that problem is solvable by Algorithm A
- STEP B:
 - * Implement Algorithm A as a Numerical Program B
 - * Account for numerical representation, errors, convergence, etc
 - * Specify the “correctness” criteria

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A New Synthesis

- Step A:
 - * Algorithm A belongs to an Algebraic Model (e.g., BSS Model)
 - * Basis $\Omega = \{\pm, \times, \exp(), \dots\}$
- Step B:
 - * Program B belongs to some numerical model (Turing or Pointer Model)
- Critical Question:
 - * Can Algorithm A be implemented by some Program B?
- Validity:
 - Even numerical analysis books proceed to Step B via Step A
- The algebraic and numerical models play complementary roles!

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Transfer Theorem

- Algebraic Pointer Model:
 - * Schönhage's Pointer Machines, augmented with algebraic operations from Ω
- Numerical Pointer Model:
 - * like the Algebraic Pointer Model, but replace $f \in \Omega$ by \mathcal{R}_f
- Approximation in the EGC sense
 - * Combinatorially exact, but numerically approximate
- THEOREM:
The following are equivalent:
 - * (I) Val_Ω is \mathcal{R} -approximable over Ω
 - * (II) For all problems F , if F is Ω -computable (in algebraic model) then F is Ω -approximable (in numerical model).
- OPEN PROBLEM: Explore other transfer theorems

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Connection to Analytic School

- THEOREM: Let $f : S \subseteq \mathbb{R} \dashrightarrow \mathbb{R}$ and S regular.
The following are equivalent:
 - * f is computable (in analytic model)
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- Thus, approximability of f gives up precisely one thing: continuity of f

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PART V

CONCLUSION

“Why is $\alpha_n \neq 0$? This innocent question will become more and more of a nuisance until it almost takes over the subject.”

— David Masser (2000)

Other Zero Problems (This Workshop)

- Functional Zero Problems (Van Der Hoeven)
 - * — in our framework, we may admit variables in Ω
 - * — cf. Constant Zero Problem, Singularity Theory, Canonicity
- Zero Finding (Myunghi, Sharma, Shub, Verschelde)
 - * — viewed as the inverse of Constant Zero Problem
 - * — condition numbers as counter part to zero bounds
- Applications (Choi, Farouki, Wang)
 - * — positive results from TNT!
 - * — approaches to non-robustness in CAD
 - * — theorem proving
- Elementary Problems (Choi, Richardson)
 - * — frontier of solvable Zero Problems
- Theory of Real Computation (Ziegler)
 - * — rich interplay possible between algebraic and analytic views
 - * — complexity of zero problems and real approximation

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END OF TALK

Thanks for Listening!

“A rapacious monster lurks within every computer,
and it dines exclusively on accurate digits.”

– B.D. McCullough (2000)

- Software and Papers can be downloaded from <http://cs.nyu.edu/exact/>
- ★ Core Library Software
- ★ “Theory of Real Computation according to EGC”,
Issue from Dagstuhl Workshop on Real Computation, 2006.
- ★ “Complete Subdivision Algorithms 1: Intersecting Bezier Curves”,
SoCG’06.
- ★ “Complete Numerical Isolation of Real Zeros in General Triangular
Systems”,

(with Jin-San Cheng and Xiao-shan Gao, ISSAC'07

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END OF TALK

Schönhage's Pointer Model

-
- Δ -graph G : a labelled digraph
 - * Pointer machine transforms G by re-directing edges

Type	Name	Instruction	Meaning
(i)	Node Assignment	$w \leftarrow w'$	$[w]_{G'} = [w']_G$
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(iv)	Halt and Output	HALT (w)	Output $G w$
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