

# Factorization of holomorphic matrices

Frank Kutzschebauch, Universität Bern

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# Outline

- 1 Linear Algebra
- 2 History of the factorization problem
- 3 The main results
- 4 Bounds for the numbers of factors
- 5 Factorization and Bass stable rank
- 6 Product of exponentials

Any matrix  $A \in SL_n(\mathbb{C})$  is a product of elementary matrices of the form

$$Id + a_{ij}E_{ij} = \begin{pmatrix} 1 & & & 0 \\ & \ddots & & \\ 0 & a_{ij} & 1 & 0 \\ \vdots & & \vdots & \ddots \\ 0 & 0 & & 1 \end{pmatrix}$$

or equivalently a product of upper and lower triangular unipotent matrices.

$$A = \begin{pmatrix} 1 & 0 \\ G_1 & 1 \end{pmatrix} \begin{pmatrix} 1 & G_2 \\ 0 & 1 \end{pmatrix} \cdots \begin{pmatrix} 1 & G_N \\ 0 & 1 \end{pmatrix}, \text{ where } G_i \in \mathbb{C}^{n(n-1)/2}$$

Proof: Gauss elimination, it requires:

- 1.) Adding multiples of a row to another row
- 2.) Interchange of rows :

$$\begin{pmatrix} 0 & -1 \\ 1 & 0 \end{pmatrix} = \begin{pmatrix} 1 & -1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix} \begin{pmatrix} 1 & -1 \\ 0 & 1 \end{pmatrix}$$

- 3.) multiplication of rows by constants:

$$\begin{pmatrix} a & 0 \\ 0 & a^{-1} \end{pmatrix} = \begin{pmatrix} 1 & 0 \\ -a^{-1} & 1 \end{pmatrix} \begin{pmatrix} 1 & a-1 \\ 0 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ 1 & 1 \end{pmatrix} \begin{pmatrix} 1 & a^{-1}-1 \\ 0 & 1 \end{pmatrix}$$

(Whitehead lemma)

What if the matrix  $A$  depends on a parameter  $x$  (continuously, polynomially, holomorphically)? Can the upper and lower triangular unipotent matrices be chosen depending well on the parameter?

$$A(x) = \begin{pmatrix} 1 & 0 \\ G_1(x) & 1 \end{pmatrix} \begin{pmatrix} 1 & G_2(x) \\ 0 & 1 \end{pmatrix} \cdots \begin{pmatrix} 1 & G_N(x) \\ 0 & 1 \end{pmatrix}$$

Now the  $G_i$  are maps  $G_i : X \rightarrow \mathbb{C}^{n(n-1)/2}$ .

- Let  $R = \{f : X \rightarrow \mathbb{C}\}$  denote the ring of continuous/  
polynomial /holomorphic functions on a topological space/  
algebraic variety / complex space  $X$ .
- In the language of K-theory we are asking about factorization  
of  $SL_n(R)$  (special linear group over the ring  $R$ ) as product of  
elementary matrices over that ring.
- Given  $m \geq 2$  and an associative, commutative, unital ring  $R$ ,  
let  $E_n(R)$  denote the set of those  $n \times n$  matrices which are  
representable as products of unipotent matrices with entries in  
 $R$ . We ask about the relation of  $E_n(R)$  and  $SL_n(R)$ .
- The obstruction to this factorization is called the special  
 $K_1$ -group of the ring  $R$ , (more precise the  $n$ -th, where  $n$  is the  
size of the matrices).

# Symplectic Notation

Let  $I_n$  denote the  $(n \times n)$  identity matrix and  $0_n$  the  $(n \times n)$  zero matrix.

Recall  $Sp_{2n}(\mathbb{C}) := \{A \in Gl_{2n}(\mathbb{C}) : A^T J A = J\}$ , where

$J = \begin{pmatrix} 0_n & I_n \\ -I_n & 0_n \end{pmatrix}$  is the standard symplectic form.

In the block notation

$$M = \begin{pmatrix} A & B \\ C & D \end{pmatrix} \in \mathrm{Sp}_{2n}(\mathbb{C}),$$

the symplectic condition  $MJM^T = J$  is satisfied by the following matrices, we call them *elementary symplectic matrices*.

- (i):  $\begin{pmatrix} I & B \\ 0 & I \end{pmatrix}$ , upper triangular with symmetric  $B = B^T$ .
- (ii):  $\begin{pmatrix} I & 0 \\ C & I \end{pmatrix}$ , lower triangular with symmetric  $C = C^T$ .



# Algebraic results

- $SL_n(\mathbb{C}[z_1])$  factorizes, more generally for Euclidean rings  $R$   
 $SL_n(R)$  factorizes, however there is no universal bound on the number of factors! van der Kallen, W.,  $SL_3(\mathbb{C}[X])$  does not have bounded word length, Algebraic K-theory, Part I (Oberwolfach, 1980), Lecture Notes in Math., 966, 357–361, 1982
- $SL_2(\mathbb{C}[z_1, z_2, \dots, z_n])$  does not factorize for  $n \geq 2$   
 counterexample found by Cohn (1966)

$$\begin{pmatrix} 1 - z_1 z_2 & z_1^2 \\ -z_2^2 & 1 + z_1 z_2 \end{pmatrix} \in SL_2(\mathbb{C}[z_1, z_2])$$

P. M. Cohn, On the structure of the  $GL_2$  of a ring, *Inst. Hautes Études Sci. Publ. Math.* (1966), no. 30, 5–53

- $SL_n(\mathbb{C}[z_1, z_2, \dots, z_m])$  does factorize for all  $m$  and all  $n \geq 3$

A. A. Suslin, The structure of the special linear group over rings of polynomials, *Izv. Akad. Nauk SSSR Ser. Mat.* 41 (1977), no. 2, 235–252, 477

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## Algebraic symplectic results

- $Sp_{2n}(\mathbb{Z}[z_1, z_2, \dots, z_m])$  does factorize for all  $m$  and all  $n \geq 2$

Grunewald, Fritz; Mennicke, Jens; Vaserstein, Leonid On symplectic groups over polynomial rings. Math. Z. 206 (1991)

- $Sp_{2n}(\mathbb{C}[z_1, z_2, \dots, z_m])$  does factorize for all  $m$  and all  $n \geq 2$

Kopeiko, V. I. On the structure of the symplectic group of polynomial rings over regular rings. (Russian) Fundam. Prikl. Mat. 1 (1995), no. 2, 545–548

Kopeiko, V. I. Stabilization of symplectic groups over a ring of polynomials. (Russian) Mat. Sb. (N.S.) 106(148) (1978), no. 1, 94–107

# Topological results

- $SL_n(\text{Cont}(\mathbb{R}^3))$  factorizes

W. Thurston and L. Vaserstein, On  $K_1$ -theory of the Euclidean space, *Topology Appl.* 23 (1986), no. 2, 145–148

- A general observation:

$$A_t(x) = \begin{pmatrix} 1 & 0 \\ tG_1(x) & 1 \end{pmatrix} \begin{pmatrix} 1 & tG_2(x) \\ 0 & 1 \end{pmatrix} \cdots \begin{pmatrix} 1 & tG_N(x) \\ 0 & 1 \end{pmatrix} \quad t \in [0, 1]$$

gives a homotopy of the map  $A : X \rightarrow SL_m(\mathbb{C})$  to a constant map. Such maps are called null-homotopic. **If a map factorizes, then it is necessarily null-homotopic.**

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# Continuous result

## Theorem (Vaserstein)

*For any natural number  $n$  and an integer  $d \geq 0$  there is a natural number  $K$  such that for any finite dimensional normal topological space  $X$  of dimension  $d$  and null-homotopic continuous mapping  $A: X \rightarrow SL_n(\mathbb{C})$  the mapping can be written as a finite product of no more than  $K = K(d, n)$  unipotent matrices. That is, one can find continuous mappings  $G_I: X \rightarrow \mathbb{C}^{n(n-1)/2}$ ,  $1 \leq I \leq K$  such that*

$$A(x) = \begin{pmatrix} 1 & 0 \\ G_1(x) & 1 \end{pmatrix} \begin{pmatrix} 1 & G_2(x) \\ 0 & 1 \end{pmatrix} \cdots \begin{pmatrix} 1 & G_K(x) \\ 0 & 1 \end{pmatrix}$$

*for every  $x \in X$ .*

L. Vaserstein, Reduction of a matrix depending on parameters to a diagonal form by addition operations,

Proc. Amer. Math. Soc. 103 (1988), no. 3, 741–746

Let

$$U_n(x_1, \dots, x_{n(n+1)/2}) = \begin{pmatrix} x_1 & x_2 & \dots & x_n \\ x_2 & x_{n+1} & \dots & x_{2n-1} \\ \vdots & \vdots & \ddots & \vdots \\ x_n & x_{2n-1} & \dots & x_{n(n+1)/2} \end{pmatrix}.$$

Given a map  $G: X \rightarrow \mathbb{C}^{n(n+1)/2}$  let

$U_n(G(x)) = U_n(G_1(x), \dots, G_{n(n+1)/2}(x))$  where the  $G_j$ 's are components of the map  $G$ .



# Symplectic continuous result

## Theorem (Ivarsson, Kutzschebauch, Løw, 2020)

Let  $X$  be a  $d$ -dimensional normal topological space and  $f: X \rightarrow \mathrm{Sp}_{2n}(\mathbb{C})$  be a continuous mapping that is null-homotopic. Then there exist a natural number  $K = K_{\mathrm{cont}}(n, d)$  and continuous mappings  $G_1, \dots, G_K: X \rightarrow \mathbb{C}^{n(n+1)/2}$  such that

$$f(x) = \begin{pmatrix} I_n & 0_n \\ U_n(G_1(x)) & I_n \end{pmatrix} \begin{pmatrix} I_n & U_n(G_2(x)) \\ 0_n & I_n \end{pmatrix} \cdots \begin{pmatrix} I_n & U_n(G_K(x)) \\ 0_n & I_n \end{pmatrix}$$

Ivarsson, B.; Kutzschebauch, F.; Løw, Erik Factorization of symplectic matrices into elementary factors. Proc. Amer. Math. Soc. 148 (2020), no. 5, 1963–1970.

## The first holomorphic result: Gromov-Vaserstein problem for $SL_n$

### Theorem

Let  $X$  be a finite dimensional reduced Stein space and  $A: X \rightarrow SL_n(\mathbb{C})$  be a holomorphic mapping that is null-homotopic. Then there exist a natural number  $K = K(\dim X, n)$  and holomorphic mappings  $G_1, \dots, G_K: X \rightarrow \mathbb{C}^{n(n-1)/2}$  such that  $A$  can be written as a product of upper and lower diagonal unipotent matrices

$$A(x) = \begin{pmatrix} 1 & 0 \\ G_1(x) & 1 \end{pmatrix} \begin{pmatrix} 1 & G_2(x) \\ 0 & 1 \end{pmatrix} \cdots \begin{pmatrix} 1 & G_K(x) \\ 0 & 1 \end{pmatrix}$$

for every  $x \in X$ .

## The new symplectic holomorphic result: The symplectic Gromov-Vaserstein problem

Theorem (Schott 2022, proved in the smallest dimension for  $n=2$  by Ivarsson, Kutzschebauch, Løw)

Let  $X$  be a  $d$ -dimensional reduced Stein space and  $f: X \rightarrow \mathrm{Sp}_{2n}(\mathbb{C})$  be a holomorphic mapping that is null-homotopic. Then there exist a natural number  $K_{\mathrm{symp}} = K_{\mathrm{symp}}(n, d)$  and holomorphic mappings  $G_1, \dots, G_K: X \rightarrow \mathbb{C}^{n(n-1)}$  such that

$$f(x) = \begin{pmatrix} I_n & 0_n \\ U_n(G_1(x)) & I_n \end{pmatrix} \begin{pmatrix} I_n & U_n(G_2(x)) \\ 0_n & I_n \end{pmatrix} \cdots \begin{pmatrix} I_n & U_n(G_K(x)) \\ 0_n & I_n \end{pmatrix}$$

Ivarsson, B.; Kutzschebauch, F.; Løw, Erik Holomorphic factorization of mappings into  $\mathrm{Sp}_4(\mathbb{C})$ , Anal. PDE, 16, 2023, 1, 233–277

Schott, J. Holomorphic factorization of mappings into  $\mathrm{Sp}_{2n}(\mathbb{C})$ , arXiv:2207.05389, to appear in J. Eur. Math. Soc.

## Number of factors for the special linear group

Analytic techniques (Ivarsson-K.) can be used to show:

$$K(2, 1) = 4 \quad \text{and} \quad K(2, 2) = 5$$

K-theoretic arguments (Dennis, Vaserstein, Vavilov, Smolenskii, Sury, generalized by Huang, Kutzschebauch, Schott) guarantee  $K(n, d) \geq K(n + 1, d)$ , the optimal bounds satisfy

$$K(n, 1) = 4 \quad \forall n,$$

$$4 \leq K(n, 2) \leq 5 = K(2, 2) \quad \forall n,$$

for each  $d$ , there exists  $n(d)$  such that  $K(n, d) \leq 6$  for all  $n \geq n(d)$ ,

## K-theorists use another symplectic form

There is another simple type of symplectic matrices, namely

$\begin{pmatrix} A & 0 \\ 0 & D \end{pmatrix}$  block diagonal with  $A \in \mathrm{GL}_n(\mathbb{C})$  and  $D = (A^{-1})^T$

If block  $A$  is upper triangular, then  $D = (A^{-1})^T$  is lower triangular.

In fact,  $A$  and  $D$  are simultaneously upper or lower triangular in another basis, obtained from the old one by reversing the order of the last  $n$  basis elements, giving a Gramian matrix

$$\tilde{J} = \begin{pmatrix} 0 & L \\ -L & 0 \end{pmatrix},$$

where  $L$  is the  $n \times n$  matrix with 1 along the skew-diagonal.

Matrices of type (i) and (ii) remain upper or lower triangular with respect to  $\tilde{J}$ , respectively. If we allow these matrices too the number of factors will be denoted by  $\tilde{K}_{\mathrm{symp}}(n, d)$

## Number of factors for the symplectic group

$K_{\text{symp}}(n, d)$  is not well understood, only recently the optimal number of factors, namely 5, over the field of complex numbers was established

Jin, Pengzhan and Lin, Zhangli and Xiao, Bo, *Optimal unit triangular factorization of symplectic matrices*, Linear Algebra Appl., 650, 2022, 236–247

For  $\tilde{K}_{\text{symp}}(n, d)$  we can again use K-theory to get:

$$\begin{aligned}\tilde{K}_{\text{symp}}(n, d) &\geq \tilde{K}_{\text{symp}}(n+1, d) \\ \tilde{K}_{\text{symp}}(n, 1) &= 4 \quad \forall n, \\ 4 &\leq \tilde{K}_{\text{symp}}(n, 2) \leq 5 = \tilde{K}_{\text{symp}}(1, 2) \quad \forall n\end{aligned}$$

## Number of factors for the symplectic group, continued

### Theorem (Tran 2024)

$$K_{\text{symp}}(2, d) \leq 4\tilde{K}_{\text{symp}}(2, d), \quad K_{\text{symp}}(3, d) \leq 4\tilde{K}_{\text{symp}}(3, d), \\ 6 \leq K_{\text{symp}}(n, d) \leq 8\tilde{K}_{\text{symp}}(n, d) \quad \forall n \geq 4.$$

We can conclude

$$K_{\text{symp}}(N, d) \leq 8K_{\text{symp}}(n, d) \quad \forall N \geq n + 1$$

$$5 \leq K_{\text{symp}}(n, 1) \leq 16 \quad \text{for } n = 2, 3$$

$$6 \leq K_{\text{symp}}(n, 1) \leq 32 \quad \forall n$$

$$5 \leq K_{\text{symp}}(n, 2) \leq 20 \quad \text{for } n = 2, 3$$

$$6 \leq K_{\text{symp}}(n, 2) \leq 40 \quad \forall n$$

## Definitions

Let  $R$  be a commutative unital ring. An element  $(x_1, \dots, x_k) \in R^k$  is called *unimodular* if

$$\sum_{j=1}^k x_j R = R.$$

Let  $U_k(R)$  the set of all unimodular elements in  $R^k$ .

An element  $x = (x_1, \dots, x_{k+1}) \in U_{k+1}(R)$  is called *reducible* if there exists  $(y_1, \dots, y_k) \in R^k$  such that

$$(x_1 + y_1 x_{k+1}, \dots, x_k + y_k x_{k+1}) \in U_k(R).$$

The *Bass stable rank* of  $R$ , denoted by  $\text{bsr}(R)$  is the least  $k \in \mathbb{N}$  such that every  $x \in U_{k+1}(R)$  is reducible. If there is no such  $k \in \mathbb{N}$ , then we set  $\text{bsr}(R) = \infty$ .



## A sufficient condition for factorization

### Remark

The identity  $\text{bsr}(R) = 1$  is equivalent to the following property: For any  $x_1, x_2 \in R$  such that  $x_1R + x_2R = R$ , there exist  $y \in R$  such that  $x_1 + yx_2 \in R^*$ .

### Theorem (Vavilov, Smolenskii, Sury)

*Let  $R$  be a unital commutative ring and  $n \geq 2$ . If  $\text{bsr}(R) = 1$ , then  $E_n(R) = SL_n(R)$  and  $\text{Ep}_{2n}(R) = Sp_{2n}(R)$ . Moreover the number of elementary factors is 4.*

Vavilov, N. A.; Smolenskii, A. V.; Sury, B. Unitriangular factorizations of Chevalley groups. (Russian) Zap. Nauchn. Sem. S.-Peterburg. Otdel. Mat. Inst. Steklov. (POMI) 388 (2011), Voprosy Teorii Predstavlenii Algebr i Grupp. 21, 17–47, 309–310; translation in J. Math. Sci. (N.Y.) 183 (2012), no. 5, 584–599

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## Examples

- Holomorphic functions  $\mathcal{O}(X)$  on open Riemann surfaces  $X$   
Herta Florack 1948:  $\text{bsr}(\mathcal{O}(X)) = 1$ .
- Jones, Marshall and Wolff (1986) and independently Corach and Suárez (1985):  $\text{bsr}(A(\mathbb{D})) = 1$
- for an open Riemann surface  $\Omega$  with boundary, Leiterer (2021)  
 $\text{bsr}(A(\Omega)) = 1$
- Treil (1992):  $\text{bsr}(H^\infty(\mathbb{D})) = 1$ ,
- Tolokonnikov (1995):  $\text{bsr}(H^\infty(G)) = 1$  for any finitely connected open Riemann surface  $G$  and for certain infinitely connected planar domains  $G$  (Behrens domains).

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- Let  $\mathbb{T} = \partial\mathbb{D}$  denote the unit circle. Given a function  $f \in H^\infty(\mathbb{D})$ , it is well-known that the radial limit  $\lim_{r \rightarrow 1^-} f(r\zeta)$  exists for almost all  $\zeta \in \mathbb{T}$  with respect to Lebesgue measure on  $\mathbb{T}$ . So, let  $H^\infty(\mathbb{T})$  denote the space of the corresponding radial values. It is known that  $H^\infty(\mathbb{T}) + C(\mathbb{T})$  is an algebra,  
Mortini, Wick:  $\text{bsr}(H^\infty(\mathbb{T}) + C(\mathbb{T})) = 1$
- Now, let  $B$  denote a Blaschke product in  $\mathbb{D}$ . Then  $\mathbb{C} + BH^\infty(\mathbb{D})$  is an algebra.  
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- Brudnyi (2019): for Stein spaces:  $\text{bsr}(\mathcal{O}(X)) = \lfloor \frac{1}{2} \dim X \rfloor + 1$



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- Let  $\mathbb{T} = \partial\mathbb{D}$  denote the unit circle. Given a function  $f \in H^\infty(\mathbb{D})$ , it is well-known that the radial limit  $\lim_{r \rightarrow 1^-} f(r\zeta)$  exists for almost all  $\zeta \in \mathbb{T}$  with respect to Lebesgue measure on  $\mathbb{T}$ . So, let  $H^\infty(\mathbb{T})$  denote the space of the corresponding radial values. It is known that  $H^\infty(\mathbb{T}) + C(\mathbb{T})$  is an algebra,  
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- Now, let  $B$  denote a Blaschke product in  $\mathbb{D}$ . Then  $\mathbb{C} + BH^\infty(\mathbb{D})$  is an algebra.  
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Let  $R$  be a  $m$ -convex Frechet algebra with 1.

When is a matrix  $F \in GL_n(R)$  representable as a product of exponentials, that is,  $F = \exp G_1 \dots \exp G_k$  with  $G_j \in M_n(R)$ ?

### Example

$$A(z) = \begin{pmatrix} 1 & 1 \\ 0 & e^{4\pi iz} \end{pmatrix}, z \in \Delta.$$

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### Lemma

*Let  $X \in SL_n(R)$  be a unipotent matrix. Then  $X$  is an exponential.  
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## Corollary (Doubtsov, Kutzschebauch)

Let  $X$  be a Stein space of dimension  $d$  and let  $A \in GL_n(\mathcal{O}(X))$ . Then there exists a number  $e(n, d)$  such that the following properties are equivalent:

- (i)  $A$  is null-homotopic;
- (ii)  $A$  is a product of  $e(n, d)$  exponentials.

## Theorem (Kutzschebauch, Studer 2019)

Any null-homotopic holomorphic map from an open Riemann surface to the linear group  $GL_2(\mathbb{C})$  is a product of two exponentials.

E. Doubtsov, F. Kutzschebauch: Factorization by elementary matrices, null-homotopy and products of exponentials for invertible matrices over rings, F. Anal. Math. Phys. (2019).

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# Product of symplectic Exponentials

## Theorem (Huang, Kutzschebauch, Schott)

Let  $X$  be a reduced Stein space of dimension  $d$  and let  $f : X \rightarrow \mathrm{Sp}_{2n}(\mathbb{C})$  be a null-homotopic holomorphic mapping with  $n \geq 2$ . Then

- a** There exist a natural number  $e = e_{\mathrm{symp}}(n, d)$  and holomorphic mappings  $A_1, \dots, A_e : X \rightarrow \mathfrak{sp}_{2n}(\mathbb{C})$  such that

$$f(x) = \exp(A_1(x)) \cdots \exp(A_e(x)).$$

- b**  $2 \leq e_{\mathrm{symp}}(n, 1) \leq e_{\mathrm{symp}}(n, 2) \leq 3 \quad \forall n.$

G. Huang, F. Kutzschebauch, J. Schott, Factorization of Holomorphic Matrices and Kazhdan's property (T), Bull. Sci. Math. 190 (2024)



THANK YOU!  
ALL THE BEST TO YOU HANSPETER!