

Applications of Stable Polynomials

Polynomial Capacity: Theory, Applications, Generalizations

Jonathan Leake

Technische Universität Berlin

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Polynomial notation:

- $\mathbb{R}, \mathbb{R}_+, \mathbb{C} :=$ real, non-negative real, complex numbers.
- $\mathbb{C}[x] :=$ v.s. of complex polynomials in one variable.
- $\mathbb{C}^d[x] :=$ v.s. of polynomials of degree at most d .
- For $p \in \mathbb{C}^d[x]$, we write $p(x) = \sum_{k=0}^d p_k x^k$.
- $\mathbf{x}^\mu := \prod_i x_i^{\mu_i}$, $\binom{\lambda}{\mu} := \prod_i \binom{\lambda_i}{\mu_i}$, and $\boldsymbol{\mu} \leq \boldsymbol{\lambda}$ is entrywise.
- $\mathbb{C}[\mathbf{x}] :=$ v.s. of complex polynomials in n variables.
- $\mathbb{C}^\lambda[\mathbf{x}] :=$ v.s. of polynomials of degree at most λ_i in x_i .
- For $p \in \mathbb{C}^\lambda[\mathbf{x}]$, we write $p(\mathbf{x}) = \sum_{\mathbf{0} \leq \boldsymbol{\mu} \leq \boldsymbol{\lambda}} p_{\boldsymbol{\mu}} \mathbf{x}^\mu$.
- $\mathbb{R}[\mathbf{x}] :=$ v.s. of real polynomials in n variables.
- $\mathbb{R}^\lambda[\mathbf{x}] :=$ v.s. of real polynomials of degree at most λ_i in x_i .
- $\frac{d}{dx} = \frac{\partial}{\partial x} = \partial_x :=$ derivative with respect to x .
- $p(\mathbf{a} \cdot t + \mathbf{b}) = p(a_1 t + b_1, \dots, a_n t + b_n) \in \mathbb{C}^{\lambda_1 + \dots + \lambda_n}[t]$ is a **linear restriction** of the polynomial $p \in \mathbb{C}^\lambda[\mathbf{x}]$, where $\mathbf{a} \in \mathbb{R}_+^n$ and $\mathbf{b} \in \mathbb{R}^n$.

Recall: The big three

The **geometry of polynomials** is generally an investigation of the connections between the various properties of polynomials:

- **Algebraic**, via the roots/zeros of the polynomial.
- **Combinatorial**, via the coefficients of the polynomial.
- **Analytic**, via the evaluations of the polynomial.

Why do we care? We use features of the interplay between these three to prove facts about mathematical objects which a priori have nothing to do with polynomials.

Typical method:

- 1 Encode some object as a polynomial which has some nice properties.
- 2 Apply operations to that polynomial which preserve those properties.
- 3 Extract information at the end which relates back to the object.

- 1 The Borcea-Brändén characterization
 - Real stable polynomials
 - The BB characterization
 - Link between complex and real cases
- 2 Application: Multivariate matching polynomial
 - Univariate to multivariate
 - Real stability via the multiaffine part operator
 - Another proof of real stability
- 3 Application: Spanning tree polynomial
 - Real stability of the spanning tree polynomial
 - The strong Rayleigh conditions
 - Connection to matroids
- 4 Open problems

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Real stable polynomials

Recall: A polynomial $p \in \mathbb{C}[\mathbf{x}]$ is said to be **stable** if

$$p(x_1, \dots, x_n) \neq 0 \quad \text{whenever} \quad x_i \in \mathcal{H}_+ := \text{complex upper half-plane.}$$

If p has real coefficients, then it is said to be **real stable**.

Equivalent: p real stable if $p(\mathbf{x}) \neq 0$ whenever $\mathbf{x} \in \mathcal{H}_-^n$ (lower half-plane).

Important properties for real stable $p \in \mathbb{R}^\lambda[\mathbf{x}]$:

- 1 **Generalizes real-rootedness:** If p is univariate, then p is real-rooted.
- 2 **Linear restrictions:** $p(\mathbf{a} \cdot t + \mathbf{b}) \in \mathbb{R}^{\lambda_1 + \dots + \lambda_n}[t]$ is real-rooted for all $\mathbf{a} \in \mathbb{R}_+^n$ (positive orthant) and $\mathbf{b} \in \mathbb{R}^n$.
- 3 **Strong Rayleigh [Brändén '07]:** For p multiaffine ($\lambda = \mathbf{1}$),

$$R_{ij}(p) := \partial_{x_i} p \cdot \partial_{x_j} p - p \cdot \partial_{x_i} \partial_{x_j} p \geq 0 \quad \text{for } \mathbf{x} \in \mathbb{R}^n, \text{ all } i, j.$$

- 4 **Multiaffine equivalence:** Walsh coincidence theorem says real stability of p is equivalent to that of its multiaffine **polarization**.

The Borcea-Brändén characterization (stable)

Definition: The **symbol** of a linear operator $T : \mathbb{C}^\lambda[\mathbf{x}] \rightarrow \mathbb{C}[\mathbf{x}]$:

$$\text{Symb}^\lambda[T](\mathbf{x}, \mathbf{z}) := T \left[\prod_{i=1}^n (x_i + z_i)^{\lambda_i} \right] = \sum_{\mathbf{0} \leq \boldsymbol{\mu} \leq \boldsymbol{\lambda}} \binom{\boldsymbol{\lambda}}{\boldsymbol{\mu}} \mathbf{z}^{\boldsymbol{\lambda} - \boldsymbol{\mu}} T[\mathbf{x}^\boldsymbol{\mu}].$$

Here T acts only on \mathbf{x} , $\boldsymbol{\mu} \leq \boldsymbol{\lambda}$ is entrywise, and $\binom{\boldsymbol{\lambda}}{\boldsymbol{\mu}} := \prod_i \binom{\lambda_i}{\mu_i}$.

Theorem (Borcea-Brändén '09)

For a given linear operator $T : \mathbb{C}^\lambda[\mathbf{x}] \rightarrow \mathbb{C}[\mathbf{x}]$, we have that T preserves stability (allowing $\equiv 0$) if and only if one of the following holds:

- 1 $\text{Symb}^\lambda[T](\mathbf{x}, \mathbf{z})$ is stable.
- 2 The image of T is a one-dimensional space of stable polynomials.

Conceptual takeaway: T preserves stability “iff” its symbol is stable.

The Borcea-Brändén characterization (real stable)

Definition: The **symbol** of a linear operator $T : \mathbb{R}^\lambda[\mathbf{x}] \rightarrow \mathbb{R}[\mathbf{x}]$:

$$\text{Symb}^\lambda[T](\mathbf{x}, \mathbf{z}) := T \left[\prod_{i=1}^n (x_i + z_i)^{\lambda_i} \right] = \sum_{\mathbf{0} \leq \boldsymbol{\mu} \leq \boldsymbol{\lambda}} \binom{\boldsymbol{\lambda}}{\boldsymbol{\mu}} \mathbf{z}^{\boldsymbol{\lambda} - \boldsymbol{\mu}} T[\mathbf{x}^{\boldsymbol{\mu}}].$$

Theorem (Borcea-Brändén '09)

For a given linear operator $T : \mathbb{R}^\lambda[\mathbf{x}] \rightarrow \mathbb{R}[\mathbf{x}]$, we have that T preserves real stability (allowing $\equiv 0$) if and only if one of the following holds:

- 1 $\text{Symb}^\lambda[T](\mathbf{x}, \mathbf{z})$ is real stable.
- 2 $\text{Symb}^\lambda[T](\mathbf{x} \cdot \mathbf{z}, \mathbf{1})$ is real stable (where $\mathbf{x} \cdot \mathbf{z}$ is entrywise).
- 3 The image of T is a two-dimensional space of real stable polynomials.

Two conditions now? Real stable iff \mathcal{H}_+^n -stable iff \mathcal{H}_-^n -stable.

- 1 $\text{Symb}^\lambda[T](\mathbf{x}, \mathbf{z})$: preserves \mathcal{H}_+^n -stability by previous theorem.
- 2 $\text{Symb}^\lambda[T](\mathbf{x} \cdot \mathbf{z}, \mathbf{1})$: maps \mathcal{H}_-^n -stable to \mathcal{H}_+^n -stable by prev. theorem.

Link between complex and real cases

For the real case: Need a link between real stability and complex stability.

Recall: In the univariate case, the following are equivalent.

- 1 (Interlacing roots) $p \ll q$ or $q \ll p$.
- 2 (Hermite-Kekeya-Obreschkoff) $ap + bq$ is real-rooted for all $a, b \in \mathbb{R}$.
- 3 (Hermite-Biehler) $p + iq$ is either \mathcal{H}_+ -stable or \mathcal{H}_- -stable.

Fact: This extends to multivariate stable and real stable polynomials.

We write $p \ll q$ if $p(\mathbf{a} \cdot t + \mathbf{b}) \ll q(\mathbf{a} \cdot t + \mathbf{b})$ for all $\mathbf{a} \in \mathbb{R}_+^n$ and $\mathbf{b} \in \mathbb{R}^n$.

Some interlacing property of the real varieties.

Idea: T preserves real stability and $p + iq$ stable \implies

$T[ap + bq] = aT[p] + bT[q]$ real stable for all $a, b \in \mathbb{R} \implies$

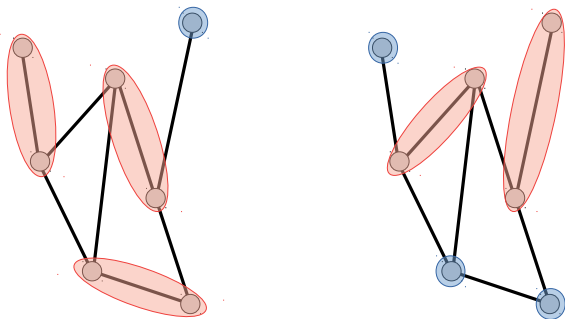
$T[p] + iT[q] = T[p + iq]$ is \mathcal{H}_+^n -stable or \mathcal{H}_-^n -stable.

Now: One-dimension condition, plus HKO \implies two-dimension condition.

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Univariate matching polynomial

Given a graph $G = (V, E)$, a k -**matching** M of G is a selection of k edges for which no two edges touch the same vertex.



Univariate matching polynomial: $M_G(t) := \sum_{k=0}^{\lfloor |V|/2 \rfloor} (-1)^k m_k t^{|V|-2k}.$

Multivariate matching polynomial

Multivariate matching polynomial:

$$\mu_G(\mathbf{x}) = \mu_G((x_v)_{v \in V}) := \sum_M \prod_{\substack{u \sim v \\ u, v \in M}} -x_u x_v \in \mathbb{R}^1[\mathbf{x}].$$

How does this relate to the univariate polynomial?

$$\sum_{k=0}^{\lfloor |V|/2 \rfloor} (-1)^k m_k t^{|V|-2k} = M_G(t) = t^{|V|} \cdot \mu_G(t^{-1}, \dots, t^{-1}).$$

Generalization of Heilmann-Lieb theorem: μ_G is real stable. **True?**

The polynomial μ_G much more naturally corresponds to the graph G .

Geometry of polynomials principle: More variables make things easier.

Key idea: We can exploit this to get much simpler expressions for μ_G than for M_G (recall the deletion-contraction recursion for M_G).

Expressing the multivariate matching polynomial

First consider:

$$p_G(\mathbf{x}) := \prod_{(u,v) \in E} (1 - x_u x_v) = \sum_{S \subseteq E} \prod_{(u,v) \in S} -x_u x_v.$$

This is a real stable polynomial. **How does this relate to matchings?**

$S \subseteq E$ corresponds to a matching iff $\prod_{(u,v) \in S} -x_u x_v$ is multiaffine.

Why? k edges incident on $v \in V$ yields x_v^k in the term associated to S .

Next question: How does the following linear operator relate to stability?

$$\text{MAP} : \mathbb{R}^\lambda[\mathbf{x}] \rightarrow \mathbb{R}^1[\mathbf{x}] \quad \text{via} \quad \text{MAP} : \mathbf{x}^\mu \mapsto \begin{cases} \mathbf{x}^\mu & \forall i, \mu_i \in \{0, 1\} \\ 0 & \exists i, \mu_i \geq 2 \end{cases}.$$

$\text{MAP} :=$ “MultiAffine Part” and $\mu_G = \text{MAP}(p_G)$.

The multiaffine part (MAP) operator

Definition of MAP:

$$\text{MAP} : \mathbb{R}^\lambda[\mathbf{x}] \rightarrow \mathbb{R}^1[\mathbf{x}] \quad \text{via} \quad \text{MAP} : \mathbf{x}^\mu \mapsto \begin{cases} \mathbf{x}^\mu & \forall i, \mu_i \in \{0, 1\} \\ 0 & \exists i, \mu_i \geq 2 \end{cases}.$$

Symbol of MAP (here $\mathbf{x}^\lambda := \prod_{i \in S} x_i$):

$$\begin{aligned} \text{MAP} \left[\prod_{i=1}^n (x_i + z_i)^{\lambda_i} \right] &= \sum_{\mu \leq \lambda} \binom{\lambda}{\mu} z^{\lambda - \mu} \cdot \text{MAP}[\mathbf{x}^\mu] = z^\lambda \sum_{\mu \leq 1} \frac{\lambda^\mu \mathbf{x}^\mu}{z^\mu} \\ &= z^\lambda \prod_{i=1}^n \left(\frac{\lambda_i x_i}{z_i} + 1 \right) = z^{\lambda - 1} \prod_{i=1}^n (\lambda_i x_i + z_i). \end{aligned}$$

This is a real stable polynomial. \implies MAP **preserves real stability**.

Corollary: p_G is real stable $\implies \mu_G = \text{MAP}(p_G)$ is real stable. \implies

Strengthening of the Heilmann-Lieb theorem with straightforward proof!

Another proof of real stability

Consider the following polynomial, given a graph $G = (V, E)$:

$$p_G(\mathbf{x}) := \prod_{(u,v) \in E} (1 - \partial_{x_u} \partial_{x_v}) \prod_{v \in V} x_v = \sum_{S \subseteq E} \prod_{(u,v) \in S} (-\partial_{x_u} \partial_{x_v}) \prod_{v \in V} x_v \in \mathbb{R}^1[\mathbf{x}].$$

If $S \subseteq E$ contains k edges incident on the same vertex u , then $\partial_{x_u}^k$ appears. This maps $\prod_{v \in V} x_v$ to 0 for $k \geq 2$. **Therefore:** The only non-zero terms correspond to matchings of G :

$$p_G(\mathbf{x}) = \sum_M \prod_{(u,v) \in M} (-\partial_{x_u} \partial_{x_v}) \prod_{v \in V} x_v = \mathbf{x}^1 \cdot \mu_G(x_{v_1}^{-1}, \dots, x_{v_n}^{-1}).$$

Now: $\prod_{v \in V} x_v$ is real stable. **To show:** $1 - \partial_{x_u} \partial_{x_v}$ preserves real stability.

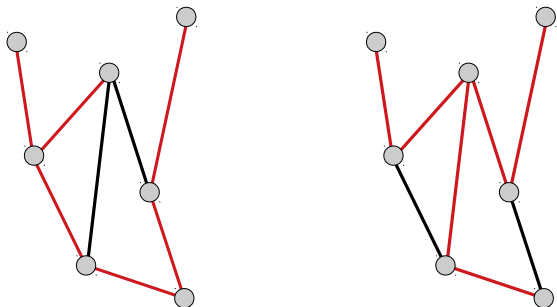
$$(1 - \partial_{x_j} \partial_{x_k}) \left[\prod_{i=1}^n (x_i + z_i) \right] = [(x_j + z_j)(x_k + z_k) - 1] \cdot \prod_{i \neq j, k} (x_i + z_i).$$

Finally: $x_j, z_j, x_k, z_k \in \mathcal{H}_+ \implies (x_j + z_j)(x_k + z_k) \neq 1$.

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Spanning trees of a graph

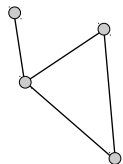
Given a connected graph $G = (V, E)$, a **spanning tree** T of G is a selection of $|V| - 1$ edges which touch every vertex and contain no cycles.



Spanning tree polynomial: $T_G(\mathbf{x}) := \sum_T \mathbf{x}^T = \sum_T \prod_{e \in T} x_e \in \mathbb{R}^1[\mathbf{x}]$.

Matrix tree theorem

Graph Laplacian: [diagonal matrix of degrees] – [incidence matrix]



$$\implies L_G = \begin{bmatrix} 1 & -1 & 0 & 0 \\ -1 & 3 & -1 & -1 \\ 0 & -1 & 2 & -1 \\ 0 & -1 & -1 & 2 \end{bmatrix} \implies L_G \cdot \mathbf{1} = \mathbf{0}.$$

Kirchoff: Any size $|V| - 1$ principal minor counts spanning trees.

$$\det \begin{bmatrix} 1 & -1 & 0 \\ -1 & 3 & -1 \\ 0 & -1 & 2 \end{bmatrix} = 1 \cdot (6 - 1) - (-1) \cdot (-2 - 0) + 0 \cdot (1 - 0) = 3.$$

How to generalize? Want an edge-weighted count, via variables. **First:**

$$L_G := \begin{bmatrix} 1 & 0 & 0 & 0 \\ -1 & 1 & 1 & 0 \\ 0 & -1 & 0 & 1 \\ 0 & 0 & -1 & -1 \end{bmatrix} \cdot \begin{bmatrix} 1 & 0 & 0 & 0 \\ -1 & 1 & 1 & 0 \\ 0 & -1 & 0 & 1 \\ 0 & 0 & -1 & -1 \end{bmatrix}^T \longleftarrow \text{“edge matrix”}.$$

Generalized matrix tree theorem

Now add variables:

$$L_G(\mathbf{x}) := \begin{bmatrix} 1 & 0 & 0 & 0 \\ -1 & 1 & 1 & 0 \\ 0 & -1 & 0 & 1 \\ 0 & 0 & -1 & -1 \end{bmatrix} \cdot \text{diag}(\mathbf{x}) \cdot \begin{bmatrix} 1 & 0 & 0 & 0 \\ -1 & 1 & 1 & 0 \\ 0 & -1 & 0 & 1 \\ 0 & 0 & -1 & -1 \end{bmatrix}^\top.$$

Setting $x_e \in \{0, 1\}$ gives L_H for a subgraph H with specified edges. Then, any size $|V| - 1$ principal minor counts spanning trees in the subgraph.

Proposition: $T_G(\mathbf{x}) = p(\mathbf{x}) :=$ any size $|V| - 1$ principal minor of $L_G(\mathbf{x})$.

Proof: We have $2^{|E|}$ evaluations and $2^{|E|}$ coefficients. The coefficients can be computed explicitly via induction:

$$p_{\mathbf{0}} = p(\mathbf{0}), \quad p_{\mathbf{e}_k} = p(\mathbf{e}_k) - p(\mathbf{0}), \quad p_{\mathbf{e}_j + \mathbf{e}_k} = p(\mathbf{e}_j + \mathbf{e}_k) - p(\mathbf{e}_j) - p(\mathbf{e}_k) + p(\mathbf{0}), \quad \dots$$

This shows that all coefficients are computable via these evaluations. Since T_G and p agree on these evaluations, they must be equal.

Real stability of the spanning tree polynomial

Therefore: $T_G(\mathbf{x}) = \det(A \cdot \text{diag}(\mathbf{x}) \cdot A^\top)$ for some real matrix A .

Corollary: $T_G(\mathbf{x})$ is a real stable polynomial.

Proof: For any $\mathbf{x} = \mathbf{a} + i \cdot \mathbf{b} \in \mathcal{H}_+^n$, we have

$$T_G(\mathbf{x}) = \det(A \cdot \text{diag}(\mathbf{a} + i \cdot \mathbf{b}) \cdot A^\top) = \det(H + i \cdot P),$$

where H is Hermitian and P is positive definite (or else $T_G(\mathbf{b}) = 0 \equiv T_G$).

Now for any $\mathbf{w} \in \mathbb{C}^n$, we have

$$\mathbf{w}^*(H + i \cdot P)\mathbf{w} = r + i \cdot p,$$

where $r \in \mathbb{R}$ and $p > 0$.

Therefore $H + i \cdot P$ is nonsingular, and this completes the proof.

Fact: $p|_{\mathbf{x}_e=0} = \text{deletion}$, $\partial_{\mathbf{x}_e} = \text{contraction}$ (stability preservers).

The strong Rayleigh (SR) conditions revisited

The (multiaffine) spanning tree polynomial is real stable:

$$T_G(\mathbf{x}) = \sum_T \prod_{e \in T} x_e \in \mathbb{R}^1[\mathbf{x}].$$

Multiaffine \implies strong Rayleigh conditions. **What do they mean?**

First: Let's just evaluate the Rayleigh expression R_{ef} at $\mathbf{1}$:

$$\begin{aligned} R_{ef}[T_G](\mathbf{1}) &= \partial_{x_e} T_G \cdot \partial_{x_f} T_G - T_G \cdot \partial_{x_e} \partial_{x_f} T_G|_{\mathbf{x}=\mathbf{1}} \\ &= \#(e \in T) \cdot \#(f \in T) - \#(T) \cdot \#(e, f \in T) \geq 0. \end{aligned}$$

Equivalent: Divide through by $\#(T)^2$ and rearrange to get:

$$\mathbb{P}[e \in T] \geq \frac{\mathbb{P}[e, f \in T]}{\mathbb{P}[f \in T]} = \mathbb{P}[e \in T \mid f \in T].$$

“Negative correlation”. Other evaluations give the same conclusion for edge-weighted probability distributions on the spanning trees of G .

Foreshadowing: Matroid basis-generating polynomials

The spanning trees of $G =$ **set of bases of a graphic matroid**.

Matroid: $M = (E, \mathcal{I})$ where E is the **ground set** and $\mathcal{I} \subseteq 2^E$ are the **independent** subsets, which satisfy:

- 1 **Nonempty:** $\mathcal{I} \neq \emptyset$.
- 2 **Hereditary:** $B \in \mathcal{I}$ and $A \subseteq B$ implies $A \in \mathcal{I}$.
- 3 **Exchange/Augmentation:** For all $A, B \in \mathcal{I}$ such that $|A| < |B|$, there exists $e \in B \setminus A$ such that $A \cup \{e\} \in \mathcal{I}$.

E.g.: A set of vectors in a vector space, with \mathcal{I} given by linearly independent subsets (**linear matroid**). The set of edges of a graph, with \mathcal{I} given by subsets with no cycles (**graphic matroid**). **Many more...**

Maximal $B \in \mathcal{I}$ are the **bases**, $\mathcal{B} \subset \mathcal{I}$, of M . **Another definition of M :**

- 3 **Exchange:** For any bases $B_1, B_2 \in \mathcal{B}$ and any $e_1 \in B_1 \setminus B_2$, there exists $e_2 \in B_2 \setminus B_1$ such that $(B_1 \setminus \{e_1\}) \cup \{e_2\} \in \mathcal{B}$.

The spanning tree polynomial is a basis-generating polynomial. **Others?**

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Rayleigh conditions

Usually only care about strong Rayleigh conditions evaluated in the positive orthant, for homogeneous multiaffine polynomials. Or even just evaluated at $\mathbf{x} = \mathbf{1}$.

Strong Rayleigh is stronger: allows all real evaluations.

Open question: Is there a property which implies Rayleigh conditions in the positive orthant (which is weaker than real stability), which has a nice theory of linear preservers (something like the BB characterization)?

Next week: Lorentzian (aka strongly/completely log-concave) polynomials have a Rayleigh-type property, but it is slightly too weak.

Application: Random cluster model in the “fewer clusters” regime ($q < 1$).

Unitary BB characterization

BB characterization: T preserves real stability if $T \left[\prod_{i=1}^n (x_i z_i + 1)^{\lambda_k} \right]$ is real stable. This is related to an $SU_2(\mathbb{C})$ -invariant bilinear form.

Unitary version for $SU_n(\mathbb{C})$: Let T be a map between spaces of homogeneous polynomials $\mathbb{R}_h^d[x_1 : \dots : x_n]$ of **total** degree d . Consider a different symbol of T :

$$\text{Symb}[T](x_1 : \dots : x_n, z_1 : \dots : z_n) := T \left[\left(\sum_{i=1}^n x_i z_i \right)^d \right].$$

Open question: Is there a BB-like characterization for some nice class of polynomials using this symbol?

Really want some class which generalizes real stable polynomials. This could imply Gurvits's capacity conjecture. **Maybe Rayleigh conditions?**