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Polynomial Identity Testing, Michael Forbes

- outline:
- 1) overview
 - 2) hitting sets \Rightarrow lower bounds
 - 3) sums of powers of linear polynomials
 - lower bounds
 - identity testing
 - 4) sums of powers of quad polynomials
 - lower bounds
 - identity testing

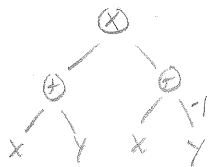
1) overview:

Q (polynomial identity testing (PIT)) given a polynomial $f(x_1, \dots, x_n)$, is $f \equiv 0$?
 ie: $f(x_1, \dots, x_n) = \sum_{\vec{a}} c_{\vec{a}} x^{\vec{a}}$ exponentially many monomials (used)
 $\vec{a} = \prod_i x_i^{a_i}$ \leftarrow deg d

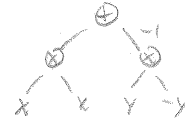
say " $f \equiv 0$ " if $\forall \vec{a}, c_{\vec{a}} = 0$

view as a function, eg $x^2 - x$ is zero over \mathbb{F}_2 [algebraic computation is restricted in that it must compute polynomials totally, not as functions]

we give a polynomial $f(\vec{x})$ by an algebraic circuit [implicit representation]



gives $(x+y)(x-y) = x^2 - y^2 =$



lem (Schwartz Zippel): $S \subseteq \mathbb{F}$, $\Pr_{\vec{a} \in S^n} [f(\vec{a}) = 0] \leq \frac{d}{|S|}$, if $f \neq 0$

randomized algo for PIT: given circuit C computing $f(\vec{x})$

use C to evaluate $f(\vec{a})$ for $\vec{a} \in S^n$, $|S| \geq 2d$
 say " $f(\vec{x}) \neq 0$ " if get " $f(\vec{a}) \neq 0$ "

types of PIT = black box: only use circuit C to evaluate $f(\vec{x})$, [$f(\vec{x})$ is in a black box] need \mathbb{F} large enough

white box: can use circuit C in any way

long term goal: efficient deterministic PIT algo for interesting models of restricted circuits

hitting set: $H \subseteq \mathbb{F}^n$, $f \equiv 0$ iff $f|_H \equiv 0$, $\forall f$ computed by small circuits

for circuits of size s , exist H w/ $|H| \leq \text{poly}(s)$
 construct explicit H ?

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Q = constant / any hitting set?

lem: $S \subseteq F, |S| = d+1$. Then S^n is a $(d+1)^n$ -size

hitting set for n -var, degree $\leq d$ polys. [Req for such polys computed by small circuits]

PF: $f(x)$ n var, $\deg \leq d$

$S \subseteq \Rightarrow P_{\bar{a} \in S^n} [f(\bar{a}) = 0] \leq \frac{d}{d+1} < 1$ if $f \neq 0$

$\Rightarrow \exists \bar{a} \in S^n$ s.t. $f(\bar{a}) \neq 0$.

principle: we have small hitting sets if n is small.

2) hitting sets \Rightarrow lower bounds

Prop: let $E_s = \{f(x) : f \text{ can be computed by circuit of size } s\}$

let H be a hitting set for E_s

if $|H| < \binom{n+d}{d}$ then we find an explicit $g(x)$ n var $\deg \leq d$

$\exists g(x) \notin E_s$

in poly $(s, |H|, n, d)$ time

getting $|H| = \binom{n+d}{d}$ is non-hard.

identically $|H| = \text{poly}(s)$

not $\deg \leq d, n$ -var poly

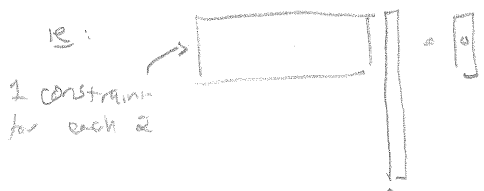
\rightarrow is $g(x)$ needs size $\geq s$ circuits [hard to prove]

PF: $H: f \geq 0$ iff $f|_H \geq 0 \forall f \in E_s$

$\Leftrightarrow f(x) = \sum_{\bar{a}} c_{\bar{a}} x^{\bar{a}} \Leftrightarrow \exists f(\bar{a}) = 0 \forall \bar{a} \in H$

$c_{\bar{a}} = 0 \forall \bar{a}$

$\sum_{\bar{a}} c_{\bar{a}} x^{\bar{a}} = 0$ is a homogeneous linear equation in the $c_{\bar{a}}$ \bar{a} 's and constants



$|H|$ constraints, $\binom{n+d}{d}$ constraints

$|H| < \binom{n+d}{d} \Rightarrow$ non zero solution

is $g(x) \neq 0, \forall \bar{a} \in H, g(\bar{a}) = 0$

$\Rightarrow g(x) \in E_s$

number of the $c_{\bar{a}}$'s $\binom{n+d}{d}$ dim

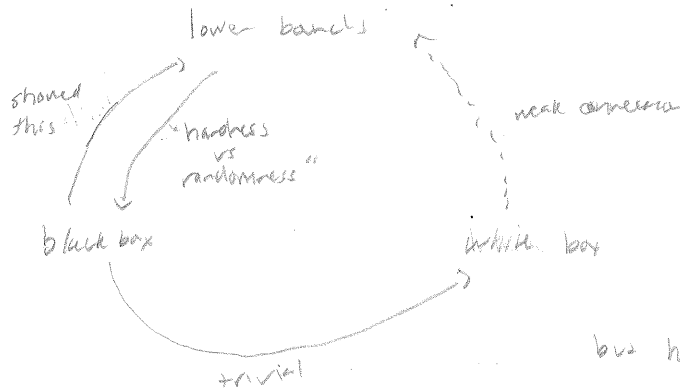
Computing $g(x)$: $\binom{n+d}{d}$ is too big



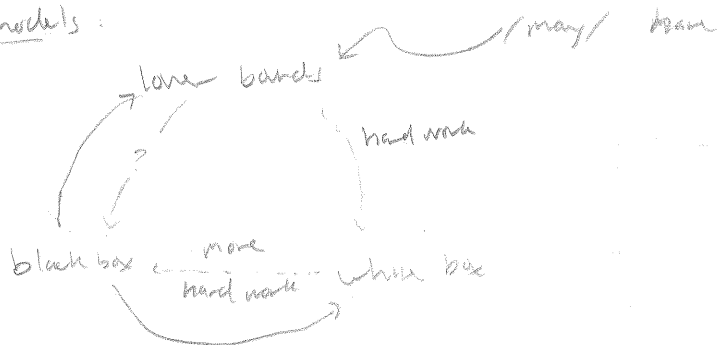
now poly $(|H|)$ -size linear system, so can solve.

QED

Circle of PIT of general circuits



Circle for restricted models:



3) Sums of powers of linear polynomials

defn: a sum of power of linear polynomials ($\Sigma \wedge \Sigma$) is

$$f(\vec{x}) = \sum_{i=1}^r (\alpha_{i,0} + \alpha_{i,1}x_1 + \dots + \alpha_{i,n}x_n)^{d_i} \quad , \quad d_i \in \mathbb{Z}, \alpha_{i,j} \in \mathbb{Q}$$

↑
↑ linear polynomial

"size" = nrd

ex: $(x+y)^2 - (x-y)^2 = 4xy \Rightarrow$ general powering circuits \equiv general circuits
 restriction to depth 3 is quite limiting, but nontrivial!

lem: $x_1 \dots x_n = \frac{1}{n!} \sum_{S \subseteq [n]} (-1)^{n-|S|} \left(\sum_{i \in S} x_i \right)^n$

↑
size $n \cdot 2^n \cdot n$ $\Sigma \wedge \Sigma$

Cor: any n -var degree d poly has a $\exp(n,d)$ -size $\Sigma \wedge \Sigma$ circuit

Q: explicit poly needs large $\Sigma \wedge \Sigma$ circuits?

3a) $\Sigma \wedge \Sigma$ lbs

Thm: $x_1 \dots x_n$ needs $2^{\Omega(n)}$ size $\Sigma \wedge \Sigma$ circuits

strategy: complexity measure $\mu: \mathbb{Q}[\bar{x}] \rightarrow \mathbb{N}$

1st: $\mu(x_1 \dots x_n) \geq \text{large}$

$\mu(f) \leq \text{small}$, f has small $\Sigma \wedge \Sigma$ circuit

2nd: $\mu(f+g) \leq \mu(f) + \mu(g)$

$\mu(l^d) \leq \text{small}$ if $\deg l \leq 1$

\Rightarrow if $x_1 \dots x_n = \sum_{i=1}^r l_i^{d_i}$

then $r \geq \frac{\mu(x_1 \dots x_n)}{\mu(l^d)} \geq \frac{\text{large}}{\text{small}} = \text{large}$

fundamental measure: "size" of partial derivatives

ex: $f = (x_1 + \dots + x_n)^d \Rightarrow$ only 1 partial derivative of each order!

$$\partial_{x_i} f = d(x_1 + \dots + x_n)^{d-1}$$

$$\partial_{x_i x_j} f = d(d-1)(x_1 + \dots + x_n)^{d-2}$$

ex: $f(x,y) = (2x+y)^n$ chain rule: $\partial_x (f^d) = d \cdot f^{d-1} \cdot \partial_x f$

$\partial_x f = n(2x+y)^{n-1}$, $\partial_y f = (2x+y)^{n-1}$ \leftarrow 2 polys, but essentially the same

idea: measure size by linear algebra

$\mathbb{Q}[\bar{x}]^{\leq d}$ is a $\binom{n+d}{d}$ -dimensional \mathbb{Q} -vec space

each differentiation maps $\mathbb{Q}[\bar{x}]^{\leq d}$ into itself

defn (partial derivative method) = $\partial: \mathbb{Q}[\bar{x}]^{\leq d} \rightarrow \mathbb{Q}[\bar{x}]^{\leq d}$

$$\partial(f) = \{ \partial_{\bar{x}^{\bar{a}}} f \}_{\bar{a}}$$

\bar{a} set of all derivatives

$$\partial_{\bar{x}^{\bar{a}}} = \frac{\partial^{a_1 + \dots + a_n}}{\partial x_1^{a_1} \dots \partial x_n^{a_n}}$$

$$|\partial(f)| := \dim_{\mathbb{Q}} \partial(f)$$

ex: $f(x,y) = (2x+y)^2$, $\partial f = \{ (2x+y)^2, 2(2x+y), 2(2x+y), 4, 2, 1 \}$
 \uparrow $\dim = 3 = 2+1$

ex: $f(x,y) = xy$, $\partial f = \{ xy, x, y, 1 \}$
 \uparrow $\dim = 4 = 2^2$

[4 vs 3 not so big. -]

lem: $|\partial(f+g)| \leq |\partial(f)| + |\partial(g)|$

PF: linearity: $\partial_{\vec{x}}(f+g) = \partial_{\vec{x}}(f) + \partial_{\vec{x}}(g)$

thus $\partial(f+g) \in \text{span}\{\partial(f), \partial(g)\}$ □

lem: $l(\vec{x}) \text{ deg} \leq 1, \quad |\partial(l^d)| \leq d+1$

PF: $l(\vec{x})^d = (\alpha_0 + \alpha_1 x_1 + \dots + \alpha_n x_n)^d$ scalar

$\partial_{x_i}(l(\vec{x})^d) = d \alpha_i (\alpha_0 + \alpha_1 x_1 + \dots + \alpha_n x_n)^{d-1} \in \text{span } l(\vec{x})^{d-1}$

$\partial_{x_i x_j}(l(\vec{x})^d) = d(d-1) \alpha_i \alpha_j (\alpha_0 + \alpha_1 x_1 + \dots + \alpha_n x_n)^{d-2} \in \text{span } l(\vec{x})^{d-2}$

so $\partial(l^d) \in \text{span}(l(\vec{x})^d, l(\vec{x})^{d-1}, \dots, l(\vec{x}), 1)$

lem: $|\partial(x_1, \dots, x_n)| = 2^n$

PF: $\partial(x_1, \dots, x_n) = \{ \prod_{i \in S} x_i \mid S \subseteq [n] \}$

↑ all linearly indep

$\partial_{x_i} \prod_{j \in S} x_j = \begin{cases} 0 & i \notin S \\ \prod_{j \in S \setminus \{i\}} x_j & i \in S \end{cases}$

Thm: x_1, \dots, x_n needs $2^{\Omega(n)}$ size $\Sigma \wedge \Sigma$

PF: $l(\vec{x}) = \sum_{i=1}^r l_i(\vec{x})^{d_i} \Rightarrow |\partial(f)| \leq \sum_i |\partial(l_i^{d_i})|$

$\leq \sum_i (d_i + 1)$

$\leq r(d+1) \leq \text{size} = dr$

so if $f(\vec{x}) = x_1, \dots, x_n$, need $r \geq 2^n / (d+1)$ □

this "closes" the lower bounds question

but not identity testing: no hardness vs randomness - no exploit

Thm: given f , size $S \leq \Sigma \wedge \Sigma$, can decide whether " $f=0$ " in $\text{poly}(S)$ steps

↳ white box, deterministic

Thm: there are explicit $\text{poly}(S)^{1/9S}$ -size hitting sets for $\Sigma \wedge \Sigma$ circuits today

Thm: " $\text{poly}(S)^{1/9S}$ " "

↑ best, despite simplicity of $\Sigma \wedge \Sigma$

↳ PL: idea: "scale down" an inner bound

"set max" from lower bound

i.e. say $f(\bar{x}) = \sum_{i=1}^d l_i(\bar{x})^{d_i}$, $d_i \leq d$, what do we know?

If $r \ll 2^n$ then $f \neq x_1 \dots x_n$

scale down: $f \neq x_{i_1} \dots x_{i_n}$, $i_1 < \dots < i_n$ for $k \gg \lg r$

so $\Sigma \Delta \Sigma$ size can "only" compute $\log(S)$ -size monomials

~~XXXX~~ $(x_1 + \dots + x_n)^n = n! x_1 \dots x_n + \dots + x_1^n + \dots$

large monomial! only involves $\leq n$ var

we want to say this doesn't degrade under summation!

Main Prop: $f \neq 0$ size $S \Sigma \Delta \Sigma$, $f = \sum_{\bar{a}} c_{\bar{a}} \bar{x}^{\bar{a}}$

$\Rightarrow \exists \bar{a}, c_{\bar{a}} \neq 0$ so $\bar{x}^{\bar{a}}$ involves $\leq \log(S)$ variables

in fact: \bar{a} is the lexicographically first nonzero monomial [robust form of low bound]

defn: the lexicographic ordering on monomials $\bar{x}^{\bar{a}}$ is [dictionary order]

$\bar{x}^{\bar{a}} < \bar{x}^{\bar{b}}$ iff $a_1 - a_n$ is lexicographically before $b_1 - b_n$

$\bar{a}, \bar{b} \in \mathbb{N}^n$ i.e. $\bar{b} - \bar{a}$ has its first nonzero coordinate positive

ex: $x > y \Rightarrow z$: $x > y^{10} \geq z^{100}$

$x^{10} > yz \geq z^{100}$

ex: $(x_1 + \dots + x_n)^n = x_1^n + \dots + x_n^n$

first (last)

Thm: explicit hitting set H for size $S \Sigma \Delta \Sigma$, $|H| \leq \text{poly}(S)^{\lg S}$

Prf: 1) guess the $\lg S$ variables in leading monomial $\rightarrow \binom{n}{\lg S}$ choices

2) zero out other variables \leftarrow preserve nonzeros

\Rightarrow get deg $\leq d$ poly in $\lg S$ vars

3) brute force hitting set on remaining $\lg(S) - \lg S$ $\rightarrow (d+1)^{\lg S}$ choices

formally: $S \in \mathbb{F}$ w/ $|S| = d+1$, $0 \in S \Rightarrow S^k$ is hitting set for deg $\leq d$, k -var poly

$H := \{ \bar{x} : \bar{x} \in S^n, \bar{x} \text{ has } \leq \lg S \text{ nonzero values} \}$

$|H| \leq \binom{n}{\lg S} (d+1)^{\lg S}$, is hitting set

lem: 1) $<$ is a total order on monomials

2) $|\bar{x}^{\bar{a}}| < |\bar{x}^{\bar{b}}|$

3) $\bar{x}^{\bar{a}} < \bar{x}^{\bar{b}} \Rightarrow \bar{x}^{\bar{a}+\bar{c}} < \bar{x}^{\bar{b}+\bar{c}}$

Prf: 1) by defn

2) $\bar{a} - \bar{b} = \bar{a}$ \Rightarrow first nonzero coord positive

3) if first nonzero coord of $\bar{b} - \bar{a}$ is positive, so is $(\bar{b} + \bar{c}) - (\bar{a} + \bar{c})$

lem: $\bar{x}^{\bar{a}} < \bar{x}^{\bar{b}}$. Suppose $\partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{a}}), \partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{b}}) \neq 0$, Δ
 then $\partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{a}}) < \partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{b}})$

Pf: $\partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{a}}) = \text{const} \cdot \bar{x}^{\bar{a}-\bar{c}}$, nonzero $\Rightarrow \bar{a} \geq \bar{c}$
 $\partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{b}}) = \text{const} \cdot \bar{x}^{\bar{b}-\bar{c}}$ $\bar{b} \geq \bar{c}$
 $\bar{x}^{\bar{a}} < \bar{x}^{\bar{b}} \Rightarrow \bar{x}^{\bar{a}-\bar{c}} < \bar{x}^{\bar{b}-\bar{c}}$

Main lemma: $|\partial(f)| \geq |\partial(\text{LM}(f))|$
 when $\text{LM}(f)$ is the leading monomial of f
 so if $c_{\bar{a}} \bar{x}^{\bar{a}}$ then $f = c_{\bar{a}} \bar{x}^{\bar{a}} + \text{lower terms}$

Main lemma \Rightarrow Main prop: f size $s \Rightarrow |\partial(f)| \leq s$

if $\text{LM}(f)$ involves k vars $\Rightarrow |\partial(\text{LM}(f))| \geq 2^k$
 as before

\Rightarrow leading monomial involves $\leq \log_2 s$ variables

Pf of Main lemma: let's do $|\partial(f)| \geq 2^k$, $k = \# \text{vars in LM}(f)$

ex: $f = xy + \text{lower}$, $\text{LM}(f) = xy$

$$\partial_x = y + \text{lower}$$

$$\partial_y = x + \text{lower}$$

$$\partial_{xy} = 1 + \text{lower}$$

$$\partial_z = 0 + \text{lower}$$

Claim: $f = c_{\bar{a}} \bar{x}^{\bar{a}} + \text{lower}$

if $\partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{a}}) \neq 0 \Rightarrow \partial_{\bar{x}} \bar{c}(\bar{x}^{\bar{a}})$ is leading monomial of $\partial_{\bar{x}} \bar{c}(f)$
 \uparrow iff $\bar{a} \geq \bar{c}$ iff $\bar{x}^{\bar{a}} > \bar{x}^{\bar{c}}$

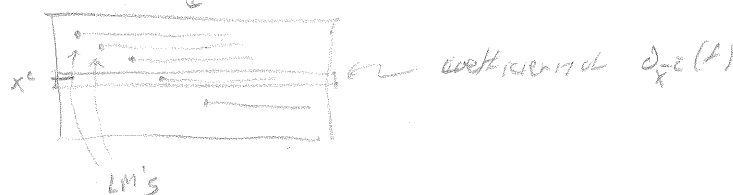
suggests $c_{\bar{a}} \bar{x}^{\bar{a}} + \text{lower}$

consider $\{ \partial_{\bar{x}} \bar{c}(f) : 0 \leq \bar{c} \leq \bar{a} \}$ $\leftarrow \geq 2^k$ such \bar{c} , $\bar{x}^{\bar{a}}$ involves k vars

Claim: all polys in \uparrow are linearly indep

Pf: $\text{LM}(\partial_{\bar{x}} \bar{c}(f)) = \bar{x}^{\bar{a}-\bar{c}}$ \leftarrow distinct to distinct $\bar{x}^{\bar{c}}$

so get triangular system \leftarrow monomial basis



linear algebra \Rightarrow polys are lin indep

- Recap:
- defined $\Sigma \wedge \Sigma$ - x_1, \dots, x_n has size $2^n \Sigma \wedge \Sigma$
 - define $|\partial(f)| \leftarrow$ complexity measure
 - $|\partial(x_1, \dots, x_n)| \geq 2^n$ } \Rightarrow need 2^n size $\Sigma \wedge \Sigma$ for x_1, \dots, x_n
 - $|\partial(\text{size } s \Sigma \wedge \Sigma)| \leq s$
 - "Scale down" and "grow up" from lower bound
 - f size $s \Sigma \wedge \Sigma \Rightarrow \text{LM}(f)$ involves $\leq g(s)$ variables
 - use structural results to get hierarchy size

4) sums of powers of quad. polynomials
 we considered $\sum_{i=1}^r l_i(x)^{d_i}$ where $\deg(l_i) \leq 1$ ($\Sigma \wedge \Sigma$)

Q: what if $\deg(l_i) \leq 2$? $\leftarrow \Sigma \wedge \Sigma \Pi^2$
 ↑ $\text{turn } 2$

scenarios:

1) $\Sigma \wedge \Sigma \Pi^2$ size $s \Rightarrow \Sigma \wedge \Sigma$ size $\text{poly}(s)$

[Vose I]

2) some f small $\Sigma \wedge \Sigma \Pi^2$ $\Rightarrow f$ needs large $\Sigma \wedge \Sigma$

More scenarios: 1) x_1, \dots, x_n has small $\Sigma \wedge \Sigma \Pi^2$ circuit

2) x_1, \dots, x_n needs large $\Sigma \wedge \Sigma \Pi^2$ circuits July 2012!

Prop: $f := (x_1^2 + \dots + x_n^2)^n$

a) f has small $\Sigma \wedge \Sigma \Pi^2$

b) f needs $2^{\Omega(n)}$ $\Sigma \wedge \Sigma$

Pf: (a) by defn

(b) want $|\partial(f)| \geq 2^n$

$$f(x,y) = (x^2 + y^2)^2$$

$$\partial_x = 2 \cdot 2x(x^2 + y^2)$$

$$\partial_y = 2 \cdot 2y(x^2 + y^2)$$

$$\partial_{xy} = 8xy$$

$$\text{Claim: } \sum_{i=1}^n \partial_{x_i} f = \sum_{i=1}^n 2x_i (x_1^2 + \dots + x_n^2)^{n-1} = \text{const} \cdot \prod_{i=1}^n x_i (x_1^2 + \dots + x_n^2)^{n-1}$$

Pf induction:

$$S = \{x_i\} \quad f_S(x) = (x_1^2 + \dots + x_n^2)^n$$

$$S \rightarrow S \cup \{x_i\} \quad \partial_{x_i} \prod_{j \in S} x_j (x_1^2 + \dots + x_n^2)^{n-1}$$

\leftarrow indep x_i

$$= 2(n-1) \prod_{j \in S} x_j (x_1^2 + \dots + x_n^2)^{n-1-1}$$

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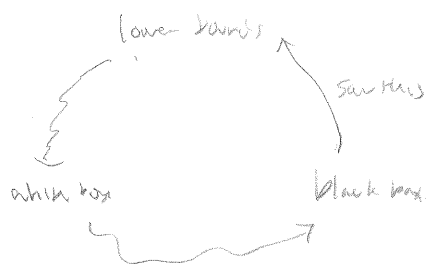
outline = 1) review

2) identity testing of sums of powers of linear polys

2) sums of powers of quadratic polys (?)

1) review

Q (polynomial identity testing): given a polynomial $f(x_1, \dots, x_n)$, is $f=0$?



defn: sums of powers of linear forms (ΣAL)

$$f(\vec{x}) = \sum_{i=1}^r \ell_i(\vec{x})^{d_i}, \text{ deg } \ell_i \leq d, \text{ id } \leq d$$

Prog: x_1, \dots, x_n has 2^n size ΣAL

Thm: x_1, \dots, x_n needs $2^{\Omega(n)}$ size ΣAL

defn: $\partial: \mathbb{Q}[x] \rightarrow \sum \mathbb{Q}[x]$

$$f \mapsto \{ \partial_{\vec{x}} f \}_{\mathbb{Z}}$$

$$\| \partial f \| := \dim_{\mathbb{Q}} (\partial f) \leftarrow \text{dimension of partial derivatives}$$

we saw: $\| \partial x_1, \dots, x_n \| \geq 2^n$

$\| \partial \ell^d \| \leq dr$

$\| \cdot \|$ is subadditive

} \Rightarrow gives theorem

so we "understand" ΣALs

Qn: $\{ \prod_{i \in S} x_i (x_i^2 + \dots + x_n^2)^{n-|S|} \}_{S \subseteq [n]}$ are lin indep

pf: deg \uparrow is $|S| + 2(n-|S|) = 2n - |S|$

so only compare for fixed $|S|$, but $\{ \prod_{i \in S} x_i \}_{S \subseteq [n]}$

are lin indep, so mult by

$(x_1^2 + \dots + x_n^2)^n$ remains so \square

Thus $f = (x_1^2 + \dots + x_n^2)^n, \partial f \geq \{ \partial \prod_{i \in S} x_i \}_{S \subseteq [n]}$

\uparrow 2^n lin indep polys

thus: $\Sigma AL \Pi^2$ is exponentially more powerful than ΣAL

more scenarios: 1) $x_1 \dots x_n$ has small $\Sigma \Lambda \Sigma \Pi^d$
 2) $x_1 \dots x_n$ needs large $\Sigma \Lambda \Sigma \Pi^d$ // work

Qm: $x_1 \dots x_n$ has 2nd size $\Sigma \Lambda \Sigma \Pi^d$
 Pf: use ~~size~~ 2nd size $\Sigma \Lambda \Sigma$ to get $y_1 \dots y_{nd}$
 then substitute $y_1 = x_1 \dots x_d$
 $y_2 = x_{d+1} \dots x_{2d}$
 \vdots
 $y_{nd} = x_{(n-1)d+1} \dots x_n$

This: $x_1 \dots x_n$ needs $2^{R(M,N)}$ size $\Sigma \Lambda \Sigma \Pi^d$
 only in 2012!

This: the leading monomial of size $\Sigma \Lambda \Sigma \Pi^d$ involves
 $\leq d(d+1)$ variables
 \Rightarrow hitting set of size $\text{poly}(s)^{d(d+1)}$ to $\Sigma \Lambda \Sigma \Pi^d$
 2015!

intuition: consider $\underline{d} \leq k, m$ operators of order $\leq k$ derivatives

- a) $\underline{d} \leq k, m$ $x_1 \dots x_n \Rightarrow \{ \text{ties } x_i \} \subseteq \mathbb{C}^n$
- b) $\underline{d} \leq k, m$ $(x_1^2 + \dots + x_n^2)^{n-k} \Rightarrow \{ \text{ties } x_i (x_1^2 + \dots + x_n^2)^{n-k} \} \subseteq \mathbb{C}^n$

both sets are of same size
 but (a) is degree $n-k$ high
 (b) is degree k ; w.r to global $(x_1^2 + \dots + x_n^2)^{n-k}$ low
 \uparrow "4 dimensional"

key property of deg: low deg, low deg \Rightarrow low-deg

new measure: $\bar{x} \leq R$ $\underline{d} \leq k$ $(f) = \{ \bar{x}^{\bar{\alpha}} \partial_{\bar{x}^{\bar{\alpha}}} (f) : \deg \bar{x}^{\bar{\alpha}} \leq d, \deg \bar{x}^{\bar{\alpha}} \leq k \}$
 \uparrow "shifted partial derivatives"

lots of existing recent work on this measure
 \Rightarrow proving the 2nd lb not too hard, but arduous then