Towards hitting-sets for multilinear depth-3 circuits

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- Polynomial identity testing
- Depth-3 circuits
- The multilinear model whitebox
- Rank concentration idea
- Concentration in set-multilinear depth-3
- Concentration in low-distance multilinear depth-3
- Concentration in invertible ROABP
- Conclusion

Polynomial identity testing

- Given an arithmetic circuit $C(x_1, ..., x_n)$ of size s, whether it is zero?
 - In poly(s) many bit operations?
 - Think of field $\mathbf{F} =$ finite field or rationals.
- Brute-force expansion is as expensive as s^s.
- Randomization gives a practical solution.
 - Evaluate $C(x_1, ..., x_n)$ at a random point in F^n .
 - Ore 1922), (DeMillo & Lipton 1978), (Zippel 1979), (Schwartz 1980).
- This test is blackbox, i.e. one does not need to see C.
 - Whitebox PIT where we are allowed to look inside C.
- Blackbox PIT is equivalent to designing a hitting-set $H \subset F^n$.
 - H contains a non-root of each nonzero $C(x_1, ..., x_n)$ of size s.

Polynomial identity testing

- Question of interest: Design hitting-sets for circuits.
- Appears in numerous guises in computation:
- Complexity results
 - Interactive protocol (Babai,Lund,Fortnow,Karloff,Nisan,Shamir 1990), PCP theorem (Arora,Safra,Lund,Motwani,Sudan,Szegedy 1998), ...
- Algorithms
 - Graph matching in parallel, matrix completion (Lovász 1979), equivalence of branching programs (Blum, et al 1980), interpolation (Clausen, et al 1991), primality (Agrawal,Kayal,S. 2002), learning (Klivans, Shpilka 2006), polynomial solvability (Kopparty, Yekhanin 2008), factoring (Shpilka, Volkovich 2010 & Kopparty, Saraf, Shpilka 2014), ...

Polynomial identity testing

- Hitting-sets relate to circuit lower bounds.
- It is conjectured that $VP \neq VNP$.
 - Or, permanent is harder than determinant?
- "proving permanent hardness" flips to "designing hitting-sets".
 - Almost, (Heintz,Schnorr 1980), (Kabanets,Impagliazzo 2004), (Agrawal 2005 2006), (Dvir,Shpilka,Yehudayoff 2009), (Koiran 2011) ...
- Designing an efficient algorithm seems more doable than proving one doesn't exist!
- Connections to Geometric Complexity Theory and derandomizing the Noether's normalization lemma. (Mulmuley 2011, 2012)

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Depth-3 circuits

- The smallest, yet mysterious, circuit model is depth-3.
 - Computes a polynomial of the form $C(x_1,...,x_n) = \sum_i \prod_j L_{ij}$, where L_{ij} are *linear* polynomials in $F[x_1,...,x_n]$.
- First serious study by (Dvir,Shpilka 2005).
 - They gave a rank bound for identities C=0.
- Depth-3 is more than a mere curiousity now.
 - (Gupta, Kamath, Kayal, Saptharishi 2013) showed that PIT (resp. lower bounds) for depth-3 implies nontrivial results for general circuits.
- Depth-3 PIT is open except for restricted models.
 - Set-multilinear, bounded fanin, diagonal, etc.

Depth-3 circuits

- Let $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [d]} L_{ij}$.
- C is set-multilinear if there is a partition P of [n] s.t. the variables in L_{ii} come only from the j-th part of P.
 - (Raz, Shpilka 2004) gave a poly-time PIT for set-multilinear depth-3.
 - Uses linear algebra. Whitebox.
- C is bounded fanin if the top fanin k is ``small".
 - Sequence of works (Dvir, Shpilka '05; Kayal, S. '06; Karnin, Shpilka '08; S., Seshadhri '09; Kayal, Saraf '09; S., Seshadhri '10; S., Seshadhri '11) gave a poly(nd^k) time hitting-set.
 - Tools in (S., Seshadhri '11) are ideal theory & Vandermonde map.
- C is diagonal if each product gate is a d-th power.
 - ✤ (S. '08) gave a poly-time PIT. Devised a *dual form*. Whitebox.

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The multilinear model

- Let $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [d]} L_{ij}$ be multilinear.
 - ✓i, ∃ partition P_i of [n] s.t. the variables in L_{ij} come only from the j-th part of P_i.
 - Clearly, $d \le n$.
- Eg. the defining polynomial of any immanant is multilinear.
 - (Raz, Yehudayoff 2008) showed an *exponential* lower bound against multilinear depth-3.
 - Clever use of the partial derivatives method.
- No subexponential PIT is known though.
 - A good model to test new hitting-set-design ideas!
- Recent developments have focussed on restricting the partitions P_i .

The multilinear model

- Let $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [d]} L_{ij}$ be set-multilinear.
 - Partitions $P_1 = P_2 = \dots = P_k$.
- Eg. $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [n]} (c_{ij} + a_{ij} x_j)$.
- (Raz, Shpilka 2004) poly-time PIT repeatedly uses two operations on the product-gates:
 - Brute-force expansion of the initial divisor, till the sparsity grows beyond k.
 - Contraction of these k divisors, using ≤k fresh variables, keeping the F-linear-dependencies unchanged.
- Whitebox, as the operations require the knowledge of the coeffs.
 - (Forbes, Shpilka '12) turned this idea into a n^{log n} time-contructible hittingset, assuming the partition known.

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- Let $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [d]} L_{ij}$.
 - With $L_{ij} = (a_{ij,0} + a_{ij,1}x_1 + \dots + a_{ij,n}x_n)$.
- To reduce the study to a simpler model, we consider vectors & their Hadamard product:

•
$$\mathbf{D}(\mathbf{x}_1,...,\mathbf{x}_n) := \begin{pmatrix} \mathbf{L}_{11} \\ \mathbf{L}_{21} \\ \vdots \\ \mathbf{L}_{k1} \end{pmatrix} * \cdots * \begin{pmatrix} \mathbf{L}_{1d} \\ \mathbf{L}_{2d} \\ \vdots \\ \mathbf{L}_{kd} \end{pmatrix}$$

• Clearly, $C(x_1,...,x_n)$ is the dot-product $\mathbf{1}^T \cdot D(x_1,...,x_n)$.

• Further, rewrite $D(x_1,...,x_n) = \prod_{j \in [d]} (z_{j,0} + z_{j,1}x_1 + \dots + z_{j,n}x_n)$.

• Where, the i-th entry of $z_{j,m}$ is $(z_{j,m})_i = a_{ij,m}$ in the base field F.

- We call $D(x_1,...,x_n) = \prod_{j \in [d]} (z_{j,0} + z_{j,1}x_1 + \cdots + z_{j,n}x_n)$ a $\prod \sum_{i=1}^{n} c_{ircuit}$ over $H_k(F)$.
 - $H_k(F) := (F^k, +, *)$ is an algebra. (With 0/1 as the zero/unity.)
 - An F-vector space endowed with the Hadamard product.
 - In this talk you could keep any commutative F-algebra of dimension k in mind.
- Consider the F-span span(D) of all coeffs of D.
 - It has dimension at most k.
 - Define l := 2 + lg k.
- We want to focus on the coeffs of low-support monomials M in D.
 - Define $|\mathbf{M}|_0$ as the number of variables that nontrivially appear in \mathbf{M} .
 - Consider the F-span $\text{span}_{l}(D)$ of $\{\text{coef}_{D}(M) \mid |M|_{0} < l \}$.

- Conjecture 0: $span_1(D) = span(D)$.
 - Since the low-support span includes at least 2k coeffs of D, don't we have a good shot of spanning everything?
- An easy counter-example is $D := x_1 x_2 \cdots x_n$.
 - Here, $span_{n-1}(D) = \{0\}.$
- But, $D(x_1+1, x_2+1, ..., x_n+1)$ satisfies Conjecture 0 !
 - Merely, $span_1(D) = span(D)$.

C(x+t) has an uncancelled monomial of support below l, if C(x) ≠ 0.

- I-conc. Conjecture: After a suitable small shift D' of D, we have span_l(D') = span(D').
 - We can afford at most a subexp-time shift & an l = o(n).
 - An equivalent formulation is $D' = 0 \pmod{\text{span}(D')}$.

- Claim: A random shift makes D l-concentrated for l:=2+lg k.
 We need to study the *transfer* from D to D'.
- Let $D(x_1,...,x_n) = \prod_{j \in [d]} (z_{j,0} + z_{j,1}x_1 + \cdots + z_{j,n}x_n)$ be a multilinear circuit over $H_k(F)$.
 - Denote the j-th factor by L_i.
- Let us apply the formal shift: • $D'(\mathbf{x}) := D(\mathbf{x}+\mathbf{t}) = \prod_{j \in [d]} (L_j(\mathbf{t}) + z_{j,1}x_1 + \dots + z_{j,n}x_n)$.
- We would like to study how the F-dependencies of the coeffs of D change under the shift.
 - → Let Z be the coeffs matrix [$coef_D(S) : S \subseteq [n]$].
 - We define the null-vectors matrix N(Z) := [v : Zv=0].

• Z has its rows resp. cols indexed by [k] resp. $2^{[n]}$.

- → N(Z) has its rows indexed by 2^[n].
- Agrawal, Saha, S. 2013) studied the relationship between N(Z) and N(Z').
 - (Forbes, Saptharishi, Shpilka 2014) instead took the primal approach, i.e. only focussing on Z & Z'.
- From $D(\mathbf{x}) = D'(\mathbf{x} \mathbf{t})$ we deduce that for every coefficient $z_T = \sum_{T \subseteq S} z'_S \cdot (-t)_{S \setminus T}$.
- We collect such equations for all T to get the matrix equation: $Z = Z' A M A^{-1}$, where
 - M(S,T) = 1 if $T \subseteq S$, else =0.
 - A is a diagonal matrix with $A(S,S) = (-t)_{S}$.

 $(-t)_{S}$ refers to the signed monomial $\prod_{i \in S} (-t_{i})$.

• We now go modulo $\operatorname{span}_{l}(D')$ to get the truncated form: $Z \equiv Z'_{l} A_{l} M_{l} A^{-1} \pmod{\operatorname{span}_{l}(D')}$, where

- $[n]_{\geq l}$ denotes the subsets of size $\geq l$.
- M_1 has its rows resp. cols indexed by $[n]_{\geq 1}$ resp. $2^{[n]}$.
- → With $M_1(S,T) = 1$ if $T \subseteq S$, else =0.
- → A_l is a diagonal matrix, indexed by $[n]_{\geq l}$, with $A_l(S,S) = (-t)_s$.
- → Z'_{l} has its rows resp. cols indexed by [k] resp. $[n]_{\geq l}$.
- Transfer Equation: $0 \equiv Z'_{l} A_{l} M_{l} A^{-1} N(Z) \pmod{\text{span}(D')}$.

Source of l-conc.: If $M_l A^{-1} N(Z)$ is full rank then $0 \equiv Z'_l \pmod{\text{span}_l(D')}$.

Goal: To understand the properties of the transfer matrix M_l and the null-vectors N(Z).

null-vector of Z gets transformed to a null-vector of Z' (even Z'₁)

- Lemma 1 (Agrawal, Gurjar, Korwar, S. 2013): Any nontrivial combination of the rows of M₁ has at least 2^l nonzero entries.
 - → Assume $\lfloor \leq n$. Apply induction on n.
- Lemma 2: The column-space of N(Z) is generated by the columns of sparsity at most (k+1).
 - Simply because any (k+1) columns of Z are F-dependent.
- These two lemmas can be used to analyze the *formal* (or *random*) shift.
 - Using a monomial ordering on t, order the cols of Z.
 - → Let B be the least basis of Z. Note that $|B| \le k$.
 - → Every column $v \notin B$, of Z, depends on B.
 - → Focus on these ``good" null-vectors $G(Z) \subseteq N(Z)$.
 - They are 2ⁿ-k many and F-linearly independent.

- The amount of good null-vectors is $|G(Z)| \ge 2^n \cdot k \ge |[n]_{\ge 1}|$.
 - → Let us pick $|G(Z)| = |[n]_{\geq 1}|$.
 - What is the determinant of M₁ A⁻¹ G(Z) ?
- By considering the leading t-monomial of this determinant and Lemma 1, we deduce its nonzeroness.
- Thm: Under a formal shift, D gets $(2+\lg k)$ -concentrated over F(t).
- For a suitably large \mathbf{F} , a random efficient shift works as well!
- We didn't use the $\prod \sum$ structure of **D**, at all, in this proof.
- Key: To efficiently derandomize this shift, we need to somehow use the special structure of D.

 M_1 is

[n]_{≥l} x 2ⁿ. G(Z) is

 $2^{n} x [n]_{>1}$

- We could work towards the conc.-conjecture by studying simpler models.
- Diagonal model: $D(x_1,...,x_n) = (1 + z_1x_1 + \cdots + z_nx_n)^d \in H_k(F)[\mathbf{x}].$
- Theorem: D is already [-concentrated!
- Proof: Order the coefficients z_{S}^{e} wrt to deg-lex ($x_{1} < ... < x_{n}$).
 - → Let B be the least basis of the coefficients. Note that $|B| \le k$.
 - Consider a monomial z_{S}^{e} in B. Pick a submonomial $z_{S'}^{e'}$.
 - Suppose z_S^{e'} is not in B.
 - Then, $z_{S'}^{e'}$ is F-dependent on some *smaller* monomials in B.
 - Implying, z_{S}^{e} is F-dependent on some *smaller* monomials in B. A $\frac{1}{2}$.
 - Thus, B is closed under submonomials!

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Concentration in set-multilr depth-3

- Let $C(x_1,...,x_n) = \sum_{i \in [k]} \prod_{j \in [d]} L_{ij}$ be set-multilinear.
 - Each product gate respects the partition P. (P has parts.)
 - Corresponding $D(\mathbf{x}) = \prod_{p \in P} (z_{p,0} + \sum_{i \in p} z_{p,i} x_i) \in H_k(F)[\mathbf{x}]$.
- We want to design an efficient map φ s.t. the shift φ(t) makes D lconcentrated, for l:=2+lg k.
- Theorem (Agrawal, Saha, S. 2013): D can be made lconcentrated in time n^{O(1)}.
 - The idea of the proof *Tiny factors* of D!
 - → Define for a subset of parts S, $D_{S}(\mathbf{x}) := \prod_{p \in S} (z_{p,0} + \sum_{i \in p} z_{p,i} x_{i})$.
- Lemma 3: D'(x) := D(x+t) is l-concentrated, if ∀S⊆P, |S|=l, D'_s(x) is l-concentrated.

Concentration in set-multilr depth-3

Let us prove the Theorem using Lemma 3.

- For an S⊆P, |S|=l, we make D'_s(x) l-concentrated by following the formal shift proof.
- It only requires the **t**-monomials appearing in $D'_{s}(\mathbf{x})$ to be distinct.
- → Since, these are monomials of degree bounded by], we can easily design a morphism φ in time $n^{O(1)}$, that keeps them all distinct.
- Pf Lemma 3: It will be convenient to work with a normalized D'(x) :
 - $E(\mathbf{x}) := \prod_{p \in P} (1 + \sum_{i \in p} z'_{p,i} x_i) \in H_k(F(\mathbf{t}))[\mathbf{x}]$.
 - Clearly, D'(x) is \lfloor -conc. iff E(x) is \lfloor -conc.
 - → Suppose $\forall S \subseteq P$, $|S| = \lfloor$, $E_s(\mathbf{x})$ is \lfloor -conc.
 - → $\Rightarrow \prod_{p \in S} z'_{p, i(p)}$ is F-dependent on the (<)-support coeffs. of $E_{s}(\mathbf{x})$.
 - → \Rightarrow $z'_{q,i}$ • $\prod_{p \in S} z'_{p,i(p)}$ is F-dep. on (<[+1)-support coeffs. of $E_{S \cup \{q\}}(\mathbf{x})$. \Box

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- Can rank-conc. idea deal with multilinear models where no subexptime PIT algorithms are known?
 - Eg. When there are two *different* underlying partitions?
- Let $D(\mathbf{x}) = \prod_{j \in [d]} (z_{j,0} + z_{j,1}x_1 + \dots + z_{j,n}x_n)$ be a multilinear $\prod \sum_{i=1}^{n} c_{ii} c_{i$
 - ➡ Each of the top k₁ rows respect a partition P₁ and the rest of the k₂ = kk₁ rows respect a partition P₂.
 - Product gates of the former resp. latter kind we call P₁-type resp. P₂type.
 - The monomials x_S that can possibly appear in a P₁-type product we collect as $\chi P_1 := \{ S ⊆ [n] | elements of S come from distinct parts of P₁ \}.$
 - Similarly, define χP_2 the P_2 -type monomials.

- We could now divide our study of D(x) into three monomial-cases, based on where a monomial lives:
- Case I S $\in \chi P_1 \setminus \chi P_2$:
 - → Such an S contains $i \neq j$ which belong to the same part of P_2 .
 - → If we take the partial derivative of D wrt $x_i \& x_i$ then:
 - $\partial_{i,i} D(\mathbf{x})$ is zeroed out in the bottom \mathbf{k}_2 part,
 - thus, $\partial_{i,i} D(\mathbf{x})$ is set-multilinear wrt P_1 .
 - ➡ Within Case-I monomials we have (2+)-concentration.
- Case II S $\in \chi P_2 \setminus \chi P_1$: Similar as above. \Box
- Case III S $\in \chi P_1 \cap \chi P_2$: Need new ideas to design the map φ .
 - No tiny factors of D available!

- Let us make a ``simplification": Assume that $P_1 \leq P_2$ is a refinement.
 - I.e. Every part in P_2 is a *union* of parts in P_1 .
 - **► Eg.** { {1}, {2}, {3}, {4} } \leq { {1, 2}, {3, 4} }.
- Lemma 4: If $P_1 \leq P_2$ then $\chi P_1 \cap \chi P_2 = \chi P_2$.

The parts in the top are the subsets of those that appear in S.

- This inspires a ``tiny" factor $D_s(\mathbf{x}) := \prod_{p \in S} (z_{p,0} + \sum_{i \in [n]} z_{p,i} x_i)$ for every $S \subseteq P_2$, |S| = l.
 - Though its lower P_2 -part is degree l, the upper P_1 -part can be *arbitrary*.
- Say, we work with the normalized shift D'(x) and the factors D'_{s} .
 - So, the sole P_1 -monomials in $D'_s(\mathbf{x})$ are already handled in Case-I.
 - The remaining monomials in D'_{s} are few $n^{O(1)}$ many.
 - This provides -concentration in Case-III as well! □

- We could get more mileage from this approach by relaxing the $P_1 \leq P_2$ condition to low-distance δ .
 - → For every part $p \in P_2$ there is $p \in N \subseteq P_2$, $|N| \le \delta$, s.t. the union of S is a *union* of some parts in P_1 . (N is a neighborhood.)
 - Eg. a refinement case $P_1 \le P_2$ has distance one.
 - Eg. { {1,2}, {3,4}, {5,6} } and { {1,4}, {3,6}, {5,2} } have distance three.
- The previous proof extends in this case as well.
 - → Pick `tiny' factors $D_{s}(\mathbf{x}) := \prod_{p \in S} (z_{p,0} + \sum_{i \in [n]} z_{p,i} x_{i})$ for every $S \subseteq P_{2}$, $|S| \le \delta$, where S contains [parts & their neighborhoods.
 - We get (2+)-concentration in D'_{s} . Cost of ϕ grows as $n^{O(\delta \mid)}$.

- The proof extends to arbitrary many partitions of low-distance.
 - The proof divides the monomials into phases depending on which partitions could possibly produce them.
 - We could prove $(1+\delta+1)$ -concentration, with the cost of the morphism ϕ being $n^{O(\delta 1)}$.
- Another extension is to the model of sum-of-set-multilinear depth-3.
- Theorem (Agrawal, Gurjar, Korwar, S. 2013): Whitebox PIT for a sum of *c* set-multilinear depth-3 circuits can be done in $n^{O(n^{1-\epsilon}\log k)}$ time, where $\epsilon := 1/2^{c-1}$.
 - First subexponential PIT for this class.

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Concentration in invertible ROABP

- Width-w ABP is a matrix product $D(x_1, ..., x_n) = \prod_{i \in [d]} D_i(\mathbf{x})$.
 - Where, $D_i(\mathbf{x})$ is a $\mathbf{w} \times \mathbf{w}$ matrix with entries as *linear* polynomials from $F[\mathbf{x}]$.
 - ✓ We say that a polynomial f ∈ F[x] is computable by an ABP, if it appears as the (1,1)-th entry of an ABP D.
- Ben-Or, Cleve '92) showed that any *poly-sized* formula can be reduced to an efficient width-3 ABP.
 - It has an additional property of invertibility, i.e. each D_i is an invertible formal matrix.
- (Saha, Saptharishi, S. '09) showed that depth-3 PIT reduces to that of invertible width-2 ABP.
- Since $w \ge w$ matrices over F[x] form an F-vector space, we can talk about the l-concentration of the ABP D. Say, for $l := 1 + w^2$.

Concentration in invertible ROABP

- The analogue of set-multilinear here is called read-once ABP (ROABP) $D(\mathbf{x}) = \prod_{i \in [d]} D_i(\mathbf{x})$.
 - → \exists partition P of [n] s.t. the variables in D_i come from the i-th part of P.
- Theorem (Agrawal, Gurjar, Korwar, S. 2013): An invertible width-w ROABP can be made [-concentrated in poly(nw) time.
 - Poly-time hitting-set for constant w.
- Proof sketch: We show this for the instructive case where the D_i's are univariate.
 - i.e. $D(\mathbf{x}) = \prod_{i \in [n]} (A_i + B_i X_i)$.
 - Where, A_i and B_i are w x w matrices over F.
 - Wlog we assume that A_i is *invertible*.
 - Easy to achieve via a shift.

Concentration in invertible ROABP

- We will show that D is already -concentrated !
- Consider a typical coeff. in D. Say, $M := A_1 B_2 A_3 B_4 A_5 B_6$.
 - It is the coeff. of $x_2 x_4 x_6$ in D.
- We define a partial ordering on the submonomials of M, by replacing one of the two end B's by A's.



Claim: An F-dependency within descendants lifts all the way to the root.

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At the end ...

- Rank concentration, after a shift, puts to good use the combinatorial structure of the multilinear depth-3 model.
 - It studies this via matrix equations.
 - The transfer matrix acts on the null-space of the coefficients.
 - The transfer matrix is strongly full-rank for any polynomial.
- The null-space was rich enough in various models set-multilinear depth-3, low-distance multilinear, sum-of-set-multilinears, etc.
- OPEN: Can we further exploit the null-space of the coefficients of a multilinear ∏∑-circuit over H_k(F) to design an efficient shift?

