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The Enhanced Principal Rank Characteristic Sequence for Hermitian Matrices

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THE ENHANCED PRINCIPAL RANK CHARACTERISTIC SEQUENCE FOR HERMITIAN MATRICES*

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Abstract. The enhanced principal rank characteristic sequence (epr-sequence) of an $n \times n$ matrix is a sequence $\ell_1 \ell_2 \cdots \ell_n$, where each ℓ_k is A, S, or N according as all, some, or none of its principal minors of order k are nonzero. There has been substantial work on epr-sequences of symmetric matrices (especially real symmetric matrices) and real skew-symmetric matrices, and incidental remarks have been made about results extending (or not extending) to (complex) Hermitian matrices. A systematic study of epr-sequences of Hermitian matrices is undertaken; the differences with the case of symmetric matrices are quite striking. Various results are established regarding the attainability by Hermitian matrices of epr-sequences that contain two Ns with a gap in between. Hermitian adjacency matrices of mixed graphs that begin with NAN are characterized. All attainable epr-sequences of Hermitian matrices of orders 2, 3, 4, and 5, are listed with justifications.

Key words. Principal rank characteristic sequence, Enhanced principal rank characteristic sequence, Mixed graph, Hermitian adjacency matrix, Minor.

AMS subject classifications. 15B57, 15A15, 15A03, 05C50.

1. Introduction. For a given real symmetric $n \times n$ matrix and a fixed $k \in \{1, \dots, n\}$, the existence of at least one (respectively, the nonexistence of any) nonsingular principal $k \times k$ submatrix was recorded with a 1 (respectively, 0) in position k in the principal rank characteristic sequence defined by Brualdi et al. [3]. They studied what sequences of 0s and 1s are attained by real symmetric (and in some cases complex symmetric or Hermitian) matrices. Barrett et al. [2] extended this study to matrices over other fields, especially those of characteristic 2. The enhanced principal rank characteristic sequence is a refinement of the principal rank sequence and was introduced in Butler et al. [4] to illuminate further the existence of singular as well as full rank principal submatrices of given dimension.

Throughout this paper, \mathbb{R}_n (respectively, \mathbb{C}_n , \mathbb{H}_n , \mathbb{K}_n) denotes the set of $n \times n$ real symmetric (respectively, complex symmetric, Hermitian, skew-Hermitian) matrices and \mathbb{F}_n denotes one of $\mathbb{R}_n, \mathbb{C}_n, \mathbb{H}_n, \mathbb{K}_n$.

The following definition is equivalent to [3, Definition 1.1].

DEFINITION 1.1. [3] The *principal rank characteristic sequence* of $B \in \mathbb{F}_n$ is the sequence (pr-sequence) $\text{pr}(B) = r_0 r_1 r_2 \cdots r_n$, where for $k = 1, \dots, n$,

$$r_k = \begin{cases} 1 & \text{if } B \text{ has a nonzero order-}k \text{ principal minor;} \\ 0 & \text{otherwise,} \end{cases}$$

and $r_0 = 1$ if and only if B has a 0 diagonal entry.

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DEFINITION 1.2. [4, Definition 1.1] The *enhanced principal rank characteristic sequence* of $B \in \mathbb{F}_n$ is the sequence (epr-sequence) $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$, where

$$\ell_k = \begin{cases} \text{A} & \text{if all order-}k \text{ principal minors are nonzero;} \\ \text{S} & \text{if some but not all order-}k \text{ principal minors are nonzero;} \\ \text{N} & \text{if none of the order-}k \text{ principal minors is nonzero, i.e., all are zero.} \end{cases}$$

A (pr- or epr-) sequence is *attainable* over \mathbb{F}_n if there exists a matrix $B \in \mathbb{F}_n$ that realizes the sequence, and is *forbidden* over \mathbb{F}_n if no such matrix exists. The set of all epr-sequences attainable by matrices in \mathbb{F}_n is denoted by $\text{attain}(\mathbb{F}_n)$.

The principal rank characteristic sequence was introduced in [3], where the focus was on pr-sequences of real symmetric matrices, with a simplification of the principal minor assignment problem [8] as a motivation. The study was continued in [2], where results over \mathbb{R}_n were extended and where the problem was investigated over various fields. The enhanced principal rank characteristic sequence was introduced in [4], where results over symmetric matrices, including constructions of attainable epr-sequences and forbidden subsequences over various fields, were presented. In [6], Fallat et al. considered the problem over skew-symmetric matrices and gave a complete characterization of the attainable epr-sequences for real skew-symmetric matrices. Further results on attainable pr- and epr-sequences, including classifications of some families of attainable sequences, were given by Martínez-Rivera in [10].

In this paper, we focus our study on the epr-sequences of Hermitian matrices. In Section 2, we identify certain subsequences forbidden over \mathbb{H}_n . In Section 3, we establish results regarding sequences in $\text{attain}(\mathbb{H}_n)$ that contain two Ns with a gap in between, and in particular those that have the subsequence NAN. Section 4 discusses epr-sequences attainable by Hermitian adjacency matrices. Probabilistic techniques are used in Section 5 to construct Hermitian matrices attaining a family of epr-sequences. In Section 6, we identify all epr-sequences attainable over \mathbb{H}_n but not over \mathbb{R}_n for $n \leq 5$. Finally, in Section 7, we discuss relationships between sets of epr-sequences attained by the various classes of matrices that we consider.

We denote $\{1, 2, \dots, n\}$ by $[n]$. For $B \in \mathbb{F}_n$, $\alpha, \beta \subseteq [n]$, the submatrix of B lying in rows indexed by α and columns indexed by β is denoted by $B[\alpha, \beta]$. Further, the complementary submatrix obtained from B by deleting the rows indexed by α and columns indexed by β is denoted by $B(\alpha, \beta)$. If $\alpha = \beta$, then the principal submatrix $B[\alpha, \alpha]$ is abbreviated to $B[\alpha]$, while the complementary principal submatrix is denoted by $B(\alpha)$. The all-ones vector of size n is denoted by $\mathbb{1}_n$ and the $n \times n$ all-ones matrix is denoted by J_n . Following the notation in [2], we let $\overline{\ell_i \cdots \ell_j}$ indicate that the (complete) sequence may be repeated as many times as desired (or may be omitted entirely).

1.1. Results used. The purpose of this section is to list results from the literature that we cite frequently and simple extensions to Hermitian matrices of results for real symmetric matrices. In many cases we give the results names. Note that some of the results cited are true more generally, e.g., for symmetric matrices over other fields, but here we specialize to the complex Hermitian case.

OBSERVATION 1.3. [4, Observation 2.2] An epr-sequence of a complex Hermitian matrix B must end in N or A.

THEOREM 1.4. [4, Theorem 2.3] (NN Theorem) *Suppose $B \in \mathbb{H}_n$, $\text{epr}(B) = \ell_1 \cdots \ell_n$, and $\ell_k = \ell_{k+1} = \mathbb{N}$ for some k . Then $\ell_i = \mathbb{N}$ for all $i \geq k$.*

THEOREM 1.5. [4, Theorem 2.4] (Inverse Theorem) *If $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_{n-1} \mathbb{A}$, then $\text{epr}(B^{-1}) = \ell_{n-1} \ell_{n-2} \cdots \ell_1 \mathbb{A}$.*

PROPOSITION 1.6. [4, Proposition 2.5] *The epr-sequence $\mathbb{S} \mathbb{N} \cdots \mathbb{A} \cdots$ is unattainable by Hermitian matrices.*

COROLLARY 1.7. [4, Corollary 2.7] (NSA Theorem) *No Hermitian matrix can have NSA in its epr-sequence. Further, no Hermitian matrix can have the epr-sequence $\cdots \mathbb{A} \mathbb{S} \mathbb{N} \cdots \mathbb{A} \cdots$.*

THEOREM 1.8. [4, Theorem 2.6] (Inheritance Theorem) *Suppose that $B \in \mathbb{H}_n$, $m \leq n$, and $1 \leq j \leq m$.*

1. *If $[\text{epr}(B)]_j = \mathbb{N}$, then $[\text{epr}(C)]_j = \mathbb{N}$ for all $m \times m$ principal submatrices C .*
2. *If $[\text{epr}(B)]_j = \mathbb{A}$, then $[\text{epr}(C)]_j = \mathbb{A}$ for all $m \times m$ principal submatrices C .*
3. *If $[\text{epr}(B)]_m = \mathbb{S}$, then there exist $m \times m$ principal submatrices C_A and C_N of B such that $[\text{epr}(C_A)]_m = \mathbb{A}$ and $[\text{epr}(C_N)]_m = \mathbb{N}$.*
4. *If $j < m$ and $[\text{epr}(B)]_j = \mathbb{S}$, then there exists an $m \times m$ principal submatrix C_S such that $[\text{epr}(C_S)]_j = \mathbb{S}$.*

THEOREM 1.9. (Real Skew Theorem) [6, Theorem 3.3] *An epr-sequence $\ell_1 \ell_2 \cdots \ell_n$ is attainable by a real skew-symmetric matrix if and only if the following conditions hold.*

1. $\ell_k = \mathbb{N}$ for k odd;
2. *If $\ell_k = \ell_{k+1} = \mathbb{N}$, then $\ell_j = \mathbb{N}$ for all $j \geq k$;*
3. $\ell_n \neq \mathbb{S}$.

The next result is stated in [4] for symmetric matrices over a field of characteristic not two, but the proof remains valid for Hermitian matrices.

THEOREM 1.10. [4, Proposition 2.13] (Schur Complement Theorem) *Suppose $B \in \mathbb{H}_n$ with $\text{rank } B = m$. Let $B[\alpha]$ be a nonsingular principal submatrix of B with $|\alpha| = k \leq m$ and let $C = B/B[\alpha]$ be the Schur complement of $B[\alpha]$ in B . Then the following results hold.*

1. $C \in \mathbb{H}_{n-k}$.
2. *Assuming the indexing of C is inherited from B , any principal minor of C is given by*

$$\det C[\gamma] = \det B[\gamma \cup \alpha] / \det B[\alpha].$$

3. $\text{rank } C = m - k$.
4. *Any nonsingular principal submatrix of B of order at most m is contained in a nonsingular principal submatrix of order m .*

We state next an immediate consequence of the Schur Complement Theorem that we use for subsequent results:

COROLLARY 1.11. *Suppose $B \in \mathbb{H}_n$, $\text{epr}(B) = \ell_1 \cdots \ell_n$, and let $B[\alpha]$ be a nonsingular principal submatrix of B with $|\alpha| = k \leq \text{rank } B$. Let $C = B/B[\alpha]$ be the Schur complement of $B[\alpha]$ in B and let $\text{epr}(C) = \ell'_1 \cdots \ell'_{n-k}$. Then $\ell'_j = \ell_{j+k}$ for $\ell_{j+k} \in \{\mathbb{A}, \mathbb{N}\}$ and $j = 1, \dots, n - k$.*

It was established in [3, Proposition 8.1] and [4, Theorem 5.1] that, for real symmetric matrices, any attainable epr-sequence starting with $\mathbb{A} \mathbb{N} \cdots$ is attainable by a real symmetric matrix with every entry equal to 1 or -1 . In Theorem 3.3, we demonstrate that the epr-sequence $\mathbb{A} \mathbb{N} \mathbb{A} \mathbb{N}$ is attainable by a Hermitian matrix; however, this sequence is not attainable by a real symmetric matrix (see [4, Table 1]), revealing that the result of [4, Theorem 5.1] does not

apply as stated to Hermitian matrices; there is, however, a natural extension, which we now present.

PROPOSITION 1.12. *Over \mathbb{H}_n , any attainable epr-sequence starting with $AN\cdots$ is attainable by a Hermitian matrix with each entry having modulus 1 and all entries in the first row, first column and diagonal equal to 1.*

Proof. Let $B = [b_{jk}]$ be a Hermitian matrix with $\text{epr}(B) = \ell_1\ell_2\cdots\ell_n$. Suppose $\ell_1\ell_2 = AN$. Observe that each entry of B is nonzero. Without loss of generality, assume that $b_{11} = 1$. Let $D = \text{diag}\left(1, \frac{1}{b_{12}}, \dots, \frac{1}{b_{1n}}\right)$. Then D^*BD is a Hermitian matrix with the same epr-sequence as B and with all entries in the first row (and hence, first column) equal to 1. Since each principal submatrix of D^*BD of order 2 including the $(1, 1)$ -entry is singular, each diagonal entry of D^*BD is 1. Since each principal submatrix of D^*BD of order 2 is singular, and because each diagonal entry is 1, each entry of D^*BD has modulus 1. \square

2. Forbidden (sub)sequences. In this section, we establish that epr-sequences of matrices in \mathbb{H}_n cannot include certain subsequences, or cannot include them in certain positions.

PROPOSITION 2.1. *No Hermitian matrix has an epr-sequence that begins $ANAN\cdots$ or $ANAS\cdots$.*

Proof. Suppose to the contrary that there exists a Hermitian matrix B with epr-sequence starting with $ANAN\cdots$ or $ANAS\cdots$. By the Inheritance Theorem, there exists a 4×4 principal submatrix C of B with epr-sequence $ANAN$; by Proposition 1.12, we may assume that

$$C = \begin{bmatrix} 1 & 1 & 1 & 1 \\ 1 & 1 & a & \bar{b} \\ 1 & \bar{a} & 1 & c \\ 1 & b & \bar{c} & 1 \end{bmatrix},$$

where a, b and c have modulus 1. Subtracting the first row of C from rows 2, 3 and 4, we see that

$$\begin{aligned} \det C &= \det \begin{bmatrix} 0 & a-1 & \bar{b}-1 \\ \bar{a}-1 & 0 & c-1 \\ b-1 & \bar{c}-1 & 0 \end{bmatrix} \\ &= (a-1)(b-1)(c-1) + (\bar{a}-1)(\bar{b}-1)(\bar{c}-1) \\ &= (a-1)(b-1)(c-1) + \frac{1}{a}(1-a)\frac{1}{b}(1-b)\frac{1}{c}(1-c) \\ &= (a-1)(b-1)(c-1) \left(1 - \frac{1}{abc}\right), \end{aligned}$$

with the third equality coming from the fact that each of a, b and c has modulus 1. Since C is singular, we conclude that either $a = 1, b = 1, c = 1$ or $abc = 1$. This contradicts the fact that $0 \neq \det C(\{4\}) = a + \bar{a} - 2, 0 \neq \det C(\{3\}) = b + \bar{b} - 2, 0 \neq \det C(\{2\}) = c + \bar{c} - 2$, and $0 \neq \det C(\{1\}) = abc + \bar{a}\bar{b}\bar{c} - 2$. \square

COROLLARY 2.2. *If the sequence $\ell_k\ell_{k+1}NAN$ occurs as a subsequence of the epr-sequence of a Hermitian matrix, then $\ell_k = N$ and $\ell_{k+1} \neq N$. In particular, the subsequences $A\ell_{k+1}NAN$ and $S\ell_{k+1}NAN$ are forbidden for $\ell_{k+1} \in \{A, S, N\}$.*

Proof. Suppose $B \in \mathbb{H}_n$ has an epr-sequence containing $\ell_k\ell_{k+1}NAN$. By the NN Theorem, $\ell_{k+1} \neq N$. To obtain a contradiction, suppose $\ell_k \in \{A, S\}$. Let $B[\alpha]$ be a $k \times k$ nonsingular principal submatrix of B . By Corollary 1.11, $B/B[\alpha]$ has epr-sequence $\ell'_1NAN\cdots$, where $\ell'_1 \in \{A, S, N\}$. By the NN Theorem, $\ell'_1 \neq N$. By Proposition 2.1, $\ell'_1 \neq A$. By Proposition 1.6, $SN\cdots A\cdots$ is prohibited, so $\ell'_1 \neq S$, and we have a contradiction. \square

According to [4, Corollary 2.10], the sequence SANA is prohibited in the epr-sequence of a symmetric matrix over a field of characteristic not 2. For Hermitian matrices, however, we demonstrate in Section 6 that ASANA is attainable, revealing that SANA is not prohibited in an attainable sequence. However, there is a necessary condition given in the next result.

PROPOSITION 2.3. *In the epr-sequence of a Hermitian matrix, the sequence SANA can occur only as the terminal subsequence.*

Proof. Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \cdots \ell_{k+3} = \text{SANA}$. For the sake of contradiction, suppose $n > k + 3$. By Corollary 2.2, SANAN is prohibited, implying that $\ell_{k+4} \neq \text{N}$. Now, suppose that $\ell_{k+4} = \text{A}$. By the Inheritance Theorem and the Inverse Theorem, B has a $(k + 4) \times (k + 4)$ principal submatrix whose inverse has epr-sequence ANAS \cdots A, a contradiction to Proposition 2.1. Hence, SANAA cannot occur in the epr-sequence of a Hermitian matrix.

Finally, suppose $\ell_{k+4} = \text{S}$. By the Inheritance Theorem, B has a $(k + 4) \times (k + 4)$ principal submatrix with epr-sequence $\cdots \text{SANA} \ell'_{k+4}$, where ℓ'_{k+4} is A or N, contradicting the assertions above. \square

The next result also restricts the location of a subsequence in attainable epr-sequences.

PROPOSITION 2.4. *No Hermitian matrix can have an epr-sequence starting with NSSNA \cdots .*

Proof. Suppose $B \in \mathbb{H}_n$ has epr-sequence NSSNA \cdots . By the Inheritance Theorem, B has an appropriate principal submatrix C with $\text{epr}(C) = \text{NS} \ell'_3 \text{NA}$, where $\ell'_3 \in \{\text{A}, \text{S}, \text{N}\}$. By the NN and NSA Theorems, $\ell'_3 = \text{S}$, so that $\text{epr}(C) = \text{NSSNA}$. By the Inverse Theorem, $\text{epr}(C^{-1}) = \text{NSSNA}$. Since C has a zero minor of order 2, we assume, without loss of generality, that $C[\{1, 2\}]$ is singular; as each diagonal entry of C is zero, $C[\{1, 2\}] = O_{2 \times 2}$. From this and the fact that $CC^{-1} = I_5$,

$$O_{2 \times 3} = (CC^{-1})[\{1, 2\}, \{3, 4, 5\}] = C[\{1, 2\}, \{3, 4, 5\}]C^{-1}[\{3, 4, 5\}].$$

As C is nonsingular, $C[\{1, 2\}, \{3, 4, 5\}]$ has full rank, i.e., it has rank 2; thus, the null space of $C[\{1, 2\}, \{3, 4, 5\}]$ has dimension 1. Since the column space of $C^{-1}[\{3, 4, 5\}]$ is contained in the null space of $C[\{1, 2\}, \{3, 4, 5\}]$, $C^{-1}[\{3, 4, 5\}]$ has at most one linearly independent column; then, as every diagonal entry of $C^{-1}[\{3, 4, 5\}]$ is zero, the fact that $C^{-1}[\{3, 4, 5\}]$ is Hermitian implies that $C^{-1}[\{3, 4, 5\}] = O_{3 \times 3}$. It follows that C^{-1} is singular, a contradiction. \square

3. Gaps between two Ns. Consider the following problem raised in [3, Question 6.6]: Fix some $s \geq 1$. Is it the case that for any $n \times n$ real symmetric matrix B with $\text{pr}(B) = r_0]r_1 \cdots r_n$, if $r_k = r_{k+s} = 0$, then $r_i = 0$ for all i with $k + s \leq i \leq n$? As noted in [3], the 00 theorem (the pr-sequence form of the NN Theorem) implies the answer to the question is yes when $s = 1$. It was also shown there that the answer is yes for $s = 3$ but is no for s even and $s = 5$ in [3, Theorem 6.5, Lemmas 3.3, 3.6, and Example 6.7]. The positive answer for $s = 3$ is used in [10] to determine all attainable pr-sequences that have a 0 in each subsequence of length 3 and all attainable epr-sequences that have an N in each subsequence of length 3. We translate the question to the language of epr-sequences.

QUESTION 3.1. Let $s \geq 1$ be a fixed integer and let B be a Hermitian matrix. Does $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$ with $\ell_k = \ell_{k+s} = \text{N}$ imply that $\ell_q = \text{N}$ for all $q \geq k + s$?

Because of the NN Theorem, we know the answer is affirmative when $s = 1$. Section 3.1 answers this question negatively for $s \geq 2$, showing that Hermitian matrices behave differently from real symmetric matrices. Section 3.2 discusses in more detail the form of sequences containing a NAN subsequence (which has $\ell_k = \ell_{k+2} = \text{N}$).

3.1. Answer to Question 3.1. Before answering Question 3.1 negatively for all $s \geq 2$ in Theorem 3.3 below, we need the following lemma.

LEMMA 3.2. For $t \neq 0$, let T_n be the $n \times n$ matrix with 0s on the main diagonal, t in every entry above the main diagonal, and $(1/t)$ in every entry below the main diagonal. Then, for $n \geq 1$,

$$\det T_n = \frac{(-1)^{n+1}}{t^{n-2}} \sum_{j=0}^{n-2} t^{2j}.$$

Thus, $\det T_n = 0$ if and only if $\sum_{j=0}^{n-2} t^{2j} = 0$.

Proof. We proceed by induction. For the case $n = 1$, we have $\det T_1 = 0$, while the right-hand side is an empty sum (which by convention is 0). For the case $n = 2$, we have

$$\det \begin{bmatrix} 0 & t \\ 1/t & 0 \end{bmatrix} = -1 = \frac{(-1)^3}{t^0} \sum_{j=0}^0 t^{2j}.$$

Now assume the result holds up through some value of k , and consider what happens for the case $k + 1$. We have that

$$\begin{aligned} \det(T_{k+1}) &= \det \begin{bmatrix} 0 & t & t & \cdots & t & t \\ 1/t & 0 & t & \cdots & t & t \\ 1/t & 1/t & 0 & \cdots & t & t \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots \\ 1/t & 1/t & 1/t & \cdots & 0 & t \\ 1/t & 1/t & 1/t & \cdots & 1/t & 0 \end{bmatrix} \\ &= \det \begin{bmatrix} 0 & t & t & \cdots & t & t \\ 1/t & -t & 0 & \cdots & 0 & 0 \\ 0 & 1/t & -t & \cdots & 0 & 0 \\ \vdots & \vdots & \vdots & \ddots & \vdots & \vdots \\ 0 & 0 & 0 & \cdots & -t & 0 \\ 0 & 0 & 0 & \cdots & 1/t & -t \end{bmatrix} = (-1)^{k+2} t (1/t)^k - t \det(T_k). \end{aligned}$$

The second equality is obtained by starting with the last row and subtracting the previous row, and then repeating this process going up a row at a time. The third equality is obtained by expanding the determinant along the last column.

We can now conclude

$$\begin{aligned} (-1)^{k+2} t^{k-1} \det T_{k+1} &= (-1)^{k+2} t^{k-1} ((-1)^{k+2} / t^{k-1} - t \det T_k) \\ &= 1 + (-1)^{k+1} t^k \det T_k \\ &= 1 + t^2 \sum_{j=0}^{k-2} t^{2j} = \sum_{j=0}^{k-1} t^{2j}. \end{aligned}$$

This establishes the formula for the determinant of T_{k+1} . \square

THEOREM 3.3. Let $s \geq 2$ and $1 \leq k \leq s - 1$. Then the epr-sequence of order n having $\ell_j = \mathbb{N}$ for $j \equiv k \pmod{s}$ and \mathbb{A} s in all other positions is attainable by a Hermitian matrix.

Proof. It will suffice to establish this for $k = 1$. To see this, suppose $2 \leq k \leq s - 1$, choose n' with $n' > n$ and $n' \equiv k + 1 \pmod{s}$, and consider the matrix B realizing the epr-sequence of order n' where there are \mathbb{N} s in positions

congruent to 1 (mod s) and As in all other positions. By assumption, the last letter will be A (since $n' \not\equiv 1 \pmod{s}$). Thus, the matrix B is invertible, and the epr-sequence of B^{-1} will have Ns in positions congruent to $k \pmod{s}$ and As in all other locations by the Inverse Theorem. Finally, any principal submatrix of B^{-1} of order n gives the desired realization by the Inheritance Theorem.

For the case $k = 1$, we claim that the matrix T_n with $t = e^{\pi i/s}$ from Lemma 3.2 is a realization. In particular, since a principal submatrix of order m for such a matrix is T_m , with $t = e^{\pi i/s}$, it will suffice to show that T_m has zero determinant if and only if $m \equiv 1 \pmod{s}$. By Lemma 3.2, we have

$$\det T_m = 0 \Leftrightarrow \sum_{j=0}^{m-2} (e^{2\pi i/s})^j = 0.$$

The sum of all s of the s -th roots of unity is 0 and the sum of any q consecutive s th roots of unity is nonzero for $q < s$, so the sum is nonzero if and only if the number of terms in the sum (i.e., $m - 1$) is not a multiple of s . That is, $\det T_m \neq 0$ if and only if $m \not\equiv 1 \pmod{s}$. \square

This naturally raises the question of what happens when we want the Ns to occur in the positions congruent to $s \pmod{s}$ and all other values equal to A. This leads to the following question, which has an affirmative answer when $s = 2$ (see Proposition 2.1).

QUESTION 3.4. For $s \geq 2$, is the sequence of order $2s$ with Ns in positions s and $2s$, and with As in all other positions, unattainable by a Hermitian matrix?

3.2. NAN and real skew-like sequences. The next remark relates the epr-sequences of Hermitian matrices and skew-Hermitian matrices.

REMARK 3.5. If K is a skew-Hermitian matrix, then iK is Hermitian, and if H is a Hermitian matrix then iH is skew-Hermitian. Thus, $\text{attain}(\mathbb{H}_n) = \text{attain}(\mathbb{K}_n)$, so by Theorem 1.9 every epr-sequence $\ell_1 \cdots \ell_n$ that has $\ell_k = \mathbb{N}$ for every odd k , obeys the NN Theorem, and has $\ell_n \neq \mathbb{S}$ is attained by a Hermitian matrix.

Motivated by Theorem 1.9, we make the following definition.

DEFINITION 3.6. The sequence $\ell_1 \ell_2 \cdots \ell_n$ is *real skew-like* if $\ell_1 \ell_2 \cdots \ell_n \in \text{attain}(\mathbb{H}_n)$ and $\ell_j = \mathbb{N}$ for every odd j with $1 \leq j \leq n$. For an odd integer p , a subsequence $\ell_p \cdots \ell_q$ of an attainable epr-sequence $\ell_1 \ell_2 \cdots \ell_n$ is *real skew-like* if $\ell_j = \mathbb{N}$ for every odd j with $p \leq j \leq q$.

Observe that an epr-sequence is real skew-like if and only if it is attainable by a real skew-symmetric matrix; this follows from Theorem 1.9 and the fact that the set of epr-sequences attainable by real skew-symmetric matrices is contained in $\text{attain}(\mathbb{H}_n)$.

PROPOSITION 3.7. *Over \mathbb{H}_n , an epr-sequence starting with NAN... is attainable if and only if it is attained by a real skew-symmetric matrix, if and only if it is real skew-like. In particular, if $B \in \mathbb{H}_n$ and $\text{epr}(B) = \text{NAN}\ell_3 \cdots \ell_n$, then there is a diagonal matrix D with $|d_{jj}| = \left| \frac{1}{b_{1j}} \right|$ for $j = 2, \dots, n$, such that $D^*BD = iK$ and K is a real skew-symmetric matrix.*

Proof. We establish the second statement, which implies the first, since conjugation by a nonsingular diagonal matrix does not change the epr-sequence. Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \text{NAN}\ell_3 \cdots \ell_n$. Since B has zero diagonal, the condition $\ell_2 = \mathbb{A}$ implies that every off-diagonal entry of B is nonzero. Let $D_1 = \text{diag} \left(1, \frac{1}{b_{12}}, \dots, \frac{1}{b_{1n}} \right)$, $B' = D_1^*BD_1$ and $B' = [b'_{kj}]$. Now, observe that

$$B' = \begin{bmatrix} 0 & \mathbb{1}^T \\ \mathbb{1} & B'(\{1\}) \end{bmatrix}.$$

Since $\text{epr}(B') = \text{epr}(B)$, and because $\ell_3 = \mathbb{N}$,

$$0 = \det B'[\{1, k, j\}] = \det \begin{bmatrix} 0 & 1 & 1 \\ 1 & 0 & x \\ 1 & \bar{x} & 0 \end{bmatrix} = x + \bar{x} = 2\text{Re}(x),$$

for some x . Thus, $B'(\{1\}) = iK'$, where K' is an $(n-1) \times (n-1)$ real skew-symmetric matrix. Let $D_2 = \text{diag}(1, i, \dots, i)$, $B'' = D_2^* B' D_2$ and $B''' = [b''_{kj}]$. For $k, j > 1$, observe that $b''_{kj} = b'_{kj}$, $b''_{1j} = i$ and $b''_{j1} = -i$. Thus, $iK'' = B''' = D^* B D$, where K'' is real and skew-symmetric and $D = D_1 D_2$. \square

A result reminiscent of the NN Theorem is now established:

COROLLARY 3.8. *Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \ell_{k+1} \ell_{k+2} = \text{NAN}$. Then $\ell_{k+2j} = \mathbb{N}$ for j with $k \leq k+2j \leq n$.*

Proof. Since the case with $k = 1$ is covered by Proposition 3.7, assume $k \geq 2$. Suppose to the contrary that $\ell_{k+2j} \neq \mathbb{N}$ for some $j \geq 2$. By the Inheritance Theorem, B has a $(k+2j) \times (k+2j)$ principal submatrix B' with $\text{epr}(B') = \ell'_1 \ell'_2 \cdots \ell'_{k+2j}$ having $\ell'_k \ell'_{k+1} \ell'_{k+2} = \text{NAN}$ and $\ell'_{k+2j} = \text{A}$. By the NN Theorem, $\ell'_{k-1} \neq \mathbb{N}$, implying that B' has a nonsingular $(k-1) \times (k-1)$ principal submatrix, say $B'/[\alpha]$. It follows from Corollary 1.11 that $B'/B'[\alpha]$ is a (Hermitian) matrix of order $(k+2j) - (k-1) = 2j+1$, with $\text{epr}(B'/B'[\alpha]) = \text{NAN} \cdots \text{A}$; since $\text{epr}(B'/B'[\alpha])$ does not contain \mathbb{N} in the odd position $2j+1$, $\text{epr}(B'/B'[\alpha])$ is not real skew-like, a contradiction to Proposition 3.7. \square

Corollary 3.8 raises the question of what can be said about the remainder of an epr-sequence after the occurrence of NAN when the number of As in $\bar{\text{A}}$ is a fixed integer $k \geq 2$. When $k = 2$, [10, Proposition 2.4] provides an answer if the question is restricted to real symmetric matrices, namely that there must be \mathbb{N} s from that point forward; however, this does not hold for Hermitian matrices, since NAANA is attainable by a Hermitian matrix (see Theorem 3.3).

Unlike for symmetric matrices over a field of characteristic not 2 (see [4, Theorem 2.14]), it is shown in Theorem 5.1 and Example 6.1 that the sequence NAS is not prohibited in the epr-sequence of a Hermitian matrix; however, NAS is prohibited if it occurs in the subsequence ANAS .

PROPOSITION 3.9. *The sequence ANAS cannot occur as a subsequence of the epr-sequence of a Hermitian matrix.*

Proof. Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \cdots \ell_{k+3} = \text{ANAS}$. By Proposition 2.1, $k \geq 2$. Then, by Proposition 2.3 and Corollary 3.8, $\ell_{k-1} = \text{A}$. By the Inheritance Theorem, B has a $(k+3) \times (k+3)$ principal submatrix C with epr-sequence $\cdots \text{AANAN}$. By Corollary 1.11, the epr-sequence of the Schur complement in C of a (necessarily nonsingular) $(k-1) \times (k-1)$ principal submatrix, has epr-sequence ANAN , contradicting Proposition 2.1. \square

Another result reminiscent of the NN Theorem is stated next.

PROPOSITION 3.10. *Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \ell_{k+1} \ell_{k+2} = \text{NAN}$, where k is even. Then $\ell_j = \mathbb{N}$ for all $j \geq k+2$.*

Proof. By the NN Theorem, it suffices to show that $\ell_{k+3} = \mathbb{N}$. Suppose to the contrary that $\ell_{k+3} \neq \mathbb{N}$. By the Inheritance Theorem and the Inverse Theorem, B has a nonsingular $(k+3) \times (k+3)$ principal submatrix whose inverse has epr-sequence $\text{NAN} \cdots \text{A}$. This contradicts Proposition 3.7, since $k+3$ is odd. \square

The next result provides an affirmative answer to a special case of Conjecture 3.13 below.

THEOREM 3.11. *Over \mathbb{H}_n , every attainable epr-sequence containing NANA is real skew-like.*

Proof. Let $B \in \mathbb{H}_n$ with $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \ell_{k+1} \ell_{k+2} \ell_{k+3} = \text{NANA}$. By Proposition 3.10, k is odd. By Corollary 3.8, $\ell_k \cdots \ell_n$ is real skew-like. To conclude, we show that $\ell_1 \cdots \ell_{k-1}$ is real skew-like. For the sake of contradiction, suppose $\ell_j \neq \text{N}$ for some odd j with $1 \leq j \leq k-1$. By the Inheritance Theorem, B has a nonsingular $(k+3) \times (k+3)$ principal submatrix B' whose epr-sequence $\ell'_1 \ell'_2 \cdots \ell'_{k+3}$ has $\ell'_k \cdots \ell'_{k+3} = \text{NANA}$ and $\ell'_j \neq \text{N}$. By the Inverse Theorem, $\text{epr}((B')^{-1}) = \text{NAN} \cdots$ does not have N in position $(k+3) - j$, contradicting Proposition 3.7, because $(k+3) - j$ is odd. \square

Now we consider another special case of Conjecture 3.13, which may be helpful towards settling this conjecture.

COROLLARY 3.12. *Let $B \in \mathbb{H}_n$ and $\text{epr}(B) = \ell_1 \ell_2 \cdots \ell_n$. Suppose $\ell_k \ell_{k+1} \ell_{k+2} \ell_{k+3} = \text{NANS}$, where $n > k+3$. Then the following hold.*

1. k is odd.
2. $\ell_k \cdots \ell_n$ is real skew-like.
3. $\ell_j \neq \text{A}$ for odd j .

Proof. (1): By Proposition 3.10, k is odd.

(2): The assertion that $\ell_k \cdots \ell_n$ is real skew-like follows from Corollary 3.8.

(3): The conclusion is already established in (2) for odd $j \geq k$. Now, suppose to the contrary that $\ell_j = \text{A}$ for some odd $j \leq k-2$. By the Inheritance Theorem, B has a $(k+3) \times (k+3)$ principal submatrix B' with $\text{epr}(B') = \cdots \text{A} \cdots \text{NANA}$ having A in the odd position j , implying that $\text{epr}(B')$ is not real skew-like, a contradiction to Theorem 3.11. \square

CONJECTURE 3.13. *Over \mathbb{H}_n , every attainable epr-sequence containing NAN is real skew-like.*

If Conjecture 3.13 is true, then every attainable epr-sequence that contains the subsequence NAN is attained by a real skew-symmetric matrix. We have established that Conjecture 3.13 is true in certain cases: when NAN occurs at the start of the sequence (Proposition 3.7), or NAN is immediately followed by A (Theorem 3.11).

4. Hermitian adjacency matrices of mixed graphs. Introduced by Liu and Li in [9], and independently by Guo and Mohar in [7], the Hermitian adjacency matrix associates a Hermitian matrix with a (simple) mixed graph or (simple) digraph. The term *simple* means that loops and duplicate edges (directed or undirected) are not allowed; since all our graphs and digraphs are simple we omit the term ‘simple’ and define graphs and digraphs to prohibit loops and multiple edges. Technically, a mixed graph may have both undirected edges and directed edges but may not have more than one edge of any kind between a given pair of vertices, whereas in a digraph all edges are directed and it is permitted to have both directed edges (u, v) and (v, u) but more than one copy of any directed edge is prohibited. There is a one-to-one correspondence between mixed graphs and digraphs, by associating an undirected edge $\{u, v\}$ with the pair of directed edges (u, v) and (v, u) . We use the term mixed graph, since that was the original term in [9] and more naturally generalizes the adjacency matrix of an (undirected) graph. We will use uv to denote an edge between u and v , either directed or undirected (i.e., any one of (u, v) , (v, u) , or $\{u, v\}$). The underlying graph G_Γ of a mixed graph Γ is the graph obtained from Γ by replacing every directed edge (u, v) by the undirected edge $\{u, v\}$.

Let Γ be a mixed graph on n vertices. The *Hermitian adjacency matrix* $\mathcal{H}(\Gamma) = [h_{kj}]$ is the $n \times n$ matrix with

entries over the complex field given by

$$h_{kj} = \begin{cases} 1 & \text{if } \Gamma \text{ has an undirected edge from } k \text{ to } j; \\ i & \text{if } \Gamma \text{ has an directed edge from } k \text{ to } j; \\ -i & \text{if } \Gamma \text{ has an directed edge from } j \text{ to } k; \\ 0 & \text{otherwise.} \end{cases}$$

This generalizes the usual real symmetric adjacency matrix for an undirected graph.

EXAMPLE 4.1. The 6×6 Hermitian adjacency matrix corresponding to the mixed graph shown in Figure 4.1 is

$$M_{\text{NSNASA}} = \begin{bmatrix} 0 & 0 & i & -i & 1 & 0 \\ 0 & 0 & 0 & 1 & 1 & -i \\ -i & 0 & 0 & 0 & 1 & 1 \\ i & 1 & 0 & 0 & 0 & 1 \\ 1 & 1 & 1 & 0 & 0 & 0 \\ 0 & i & 1 & 1 & 0 & 0 \end{bmatrix},$$

which has epr-sequence NSNASA.

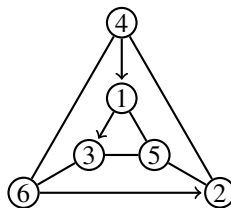


FIGURE 4.1. The mixed graph for Example 4.1.

We now consider the epr-sequences attainable by Hermitian adjacency matrices, which must start with N. There are additional restrictions on any Hermitian adjacency matrix with epr-sequence starting with NA.

PROPOSITION 4.2. Suppose Γ is a mixed graph of order n , let $\mathcal{H}(\Gamma) = H = [h_{kj}]$, and $\text{epr}(H) = \ell_1 \cdots \ell_n$. Then:

1. $\ell_1 = \text{N}$.
2. For $n \geq 2$, $\ell_2 = \text{A}$ if and only if G_Γ is a complete graph.
3. For $n \geq 4$, $\ell_2 = \text{A}$ implies $\ell_4 = \text{A}$.

Proof. The first two statements are clear. For the third, let $H' = [h'_{kj}]$ be an arbitrary 4×4 principal submatrix of H . By the Inheritance Theorem, $\text{epr}(H')$ starts with NA, which implies that every off-diagonal entry of H' is nonzero.

With $D = \text{diag} \left(1, \frac{1}{h'_{12}}, \frac{1}{h'_{13}}, \frac{1}{h'_{14}} \right)$,

$$D^* H' D = \begin{bmatrix} 0 & 1 & 1 & 1 \\ 1 & 0 & a & \bar{b} \\ 1 & \bar{a} & 0 & c \\ 1 & b & \bar{c} & 0 \end{bmatrix},$$

for some $a, b, c \in \{\pm 1, \pm i\}$. It follows that

$$\det(D^* H' D) = |a|^2 + |b|^2 + |c|^2 - 2\text{Re}(ab + ac + bc) = 3 - 2\text{Re}(ab + ac + bc) \neq 0.$$

Thus, $D^*H'D$, and therefore H' , is nonsingular. \square

Theorem 4.3 below characterizes Hermitian adjacency matrices that begin with NAN, strengthening Proposition 3.7 for such matrices. A *tournament* is an oriented complete graph, i.e., every edge is directed. Thus, the Hermitian adjacency matrix of a tournament has a 0 diagonal and $\pm i$ off-diagonal entries signed such that the matrix is Hermitian.

THEOREM 4.3. *Suppose H is the Hermitian adjacency matrix of a mixed graph Γ of order n . The following are equivalent.*

1. $\text{epr}(H) = \text{NAN}\cdots$.
2. G_Γ is complete and each triangle in Γ contains an odd number of directed edges.
3. G_Γ is complete and either
 - (a) Γ is a tournament, or
 - (b) every vertex is incident with an undirected edge and the subgraph of undirected edges is a complete bipartite graph.

If these conditions hold, then $\text{epr}(H) = \text{NAN}\overline{\text{N}}$ if n is odd, and $\text{epr}(H) = \text{NAN}\overline{\text{N}}\overline{\text{N}}$ if n is even.

Proof. For $u, s, t \in V(\Gamma)$, $H[\{u, s, t\}] = \begin{bmatrix} 0 & a & \bar{c} \\ \bar{a} & 0 & b \\ c & \bar{b} & 0 \end{bmatrix}$ with $a, b, c \in \{1, \pm i\}$, and $\det H[\{u, s, t\}] = abc + \overline{abc} =$

$2\text{Re}(abc) = 0$ if and only if abc is purely imaginary.

(1) \Rightarrow (2): Since every 2×2 principal submatrix is nonsingular, every off-diagonal entry is nonzero, and G_Γ is complete. Since every 3×3 principal submatrix is singular, abc is purely imaginary. Since $a, b, c \in \{1, \pm i\}$, exactly one or three of a, b, c are purely imaginary, i.e., one or three of the pairs of vertices taken from u, s, t are directed.

(2) \Rightarrow (3): If Γ has no undirected edges, then Γ is a tournament, because the underlying graph of Γ is complete. So suppose Γ has an undirected edge and v is a vertex incident with an undirected edge. Partition the vertices of Γ as follows: V_1 is v together with the set of vertices x adjacent to v by a directed edge (either (v, x) or (x, v)) and V_2 is the set of vertices adjacent to v by an undirected edge. Since the underlying graph is complete, every vertex is in one of these sets and the sets are clearly disjoint. Let G be the subgraph of Γ having $V(G) = V(\Gamma)$ and $E(G)$ is the set of undirected edges in Γ . We show G is a complete bipartite graph with partite sets V_1 and V_2 . Suppose that $x, y \in V_1$ and $w, z \in V_2$. By definition of V_1 , vx and vy are directed edges. Since $\Gamma[\{v, x, y\}]$ does not have exactly two directed edges, xy is directed. By definition of V_2 , vw and vz are undirected. Since $\Gamma[\{v, w, z\}]$ must have at least one directed edge, zw is directed. Thus, all edges of G (undirected edges of Γ) are between V_1 and V_2 , so G is bipartite. By definition of V_1 and V_2 , vx is directed and vw is undirected. Since $\Gamma[\{v, x, w\}]$ does not have exactly two directed edges, xw is undirected. Thus, G is the complete bipartite graph with partite sets V_1 and V_2 .

(3) \Rightarrow (1): If Γ is a tournament, then Γ has no undirected edges and the values a, b , and c in $H[\{u, s, t\}]$ are all purely imaginary, so abc is purely imaginary and $H[\{u, s, t\}]$ is singular. So assume every vertex is incident with an undirected edge and the subgraph of undirected edges is complete bipartite. If u, s and t are all in the same partite set, then they form a triangle with 3 directed edges, and as before $H[\{u, s, t\}]$ is singular. If two are in one partite set and one in the other, then without loss of generality $a = 1, b = 1$ and $c = \pm i$, so $abc = \pm i$ and $H[\{u, s, t\}]$ is singular. This completes the proof of the equivalence of the three conditions.

Now assume $n \geq 4$ and $\text{epr}(H) = \text{NAN}\ell_4 \cdots \ell_n$. By Proposition 3.7, $D^*HD = iK$ where K is a real skew-symmetric matrix and D is diagonal with $|d_{jj}| = \left| \frac{1}{h_{1j}} \right|$. Since every off-diagonal entry of H has modulus 1, every off-diagonal entry of K has modulus 1, i.e., is equal to 1 or -1 . Every principal submatrix of K is also such a skew-symmetric matrix.



The determinant of such a skew-symmetric matrix is zero for all odd orders, and is nonzero for all even orders [11, Proposition 1]. Thus, $\text{epr}(D^*HD) = \text{NANAN}$ if n is odd, $\text{epr}(D^*HD) = \text{NANANA}$ if n is even, and $\text{epr}(H) = \text{epr}(D^*HD)$. \square

Note that the epr-sequence NAN is not attainable by any real symmetric matrix [4, Theorem 2.14], but, by Theorem 4.3, it is attainable by the Hermitian adjacency matrix of a tournament of order 3. The next result gives another restriction for epr-sequences of real symmetric adjacency matrices.

PROPOSITION 4.4. *Let $n \geq 5$ and B be a real symmetric adjacency matrix with $\text{epr}(B) = \text{N}\ell_2\ell_3\text{A}\ell_5 \cdots \ell_n$. Then $\ell_5 = \text{A}$.*

Proof. Suppose to the contrary that $\ell_5 \neq \text{A}$. By the Inheritance Theorem, B has a 5×5 principal submatrix $B' = [b'_{kj}]$ having $\text{epr}(B') = \text{N}\ell'_2\ell'_3\text{AN}$. By the NN Theorem, $\ell'_2 \neq \text{N}$. We claim that $\ell'_2 = \text{S}$: Otherwise, $\ell'_2 = \text{A}$, and therefore each off-diagonal entry of B' must be nonzero. This would imply that $B' = J_5 - I_5$, which is impossible since $J_5 - I_5$ is nonsingular. Thus, $\ell'_2 = \text{S}$.

Therefore B' must have a singular 2×2 principal submatrix, which must be $O_{2 \times 2}$. We may assume, without loss of generality, that $B'[\{1, 2\}] = O_{2 \times 2}$. Since every 4×4 principal submatrix of B' is nonsingular, each row (and column) of B' must contain at least two nonzero entries (otherwise B' would have a 4×4 principal submatrix with a row consisting of only zeros); without loss of generality, we may assume that $b'_{13} = b'_{14} = 1$. Similarly, the second row (and column) must contain at least two nonzero entries, implying that at least one of b'_{23} and b'_{24} must be nonzero; we may assume that $b'_{23} = 1$. Since $B'[\{1, 2\}] = O_{2 \times 2}$, and because every 4×4 principal submatrix of B' is nonsingular, every 2×2 submatrix of $B'[\{1, 2\}, \{3, 4, 5\}]$ must be nonsingular, implying that $b'_{24} = 0$, and consequently that $b'_{25} = 1$ and $b'_{15} = 0$. It follows that $0 = \det(B') = 2(b'_{45} - b'_{34} - b'_{35})$; thus, $b'_{45} - b'_{34} - b'_{35} = 0$. Now we have $b'_{34}{}^2 = (b'_{45} - b'_{35})^2 = \det B'[\{1, 3, 4, 5\}] \neq 0$ and $b'_{35}{}^2 = (b'_{45} - b'_{34})^2 = \det B'[\{2, 3, 4, 5\}] \neq 0$, implying that $b'_{34} = b'_{35} = 1$, and therefore that $b'_{45} = 2$, a contradiction, since B' is a real symmetric adjacency matrix. \square

Using Propositions 4.2 and 4.4, we can deduce that an epr-sequence of order $n = 2, 3, 4$, or 5 is attainable by a real symmetric adjacency matrix if and only if the realization provided in [4, Tables 2–5] is a real symmetric adjacency matrix (that is, the listed matrix is given as an adjacency matrix, a matrix of the form $(J_s - I_s) \oplus 0_{n-s}$, or a zero matrix).

REMARK 4.5. It follows from Proposition 4.4 that the epr-sequences NAAAN and NSSAN cannot be realized by a real symmetric adjacency matrix; however, they are attainable by real symmetric matrices (see [4, Example 5.6]) and, as the next example shows, by Hermitian adjacency matrices.

EXAMPLE 4.6. The Hermitian adjacency matrices M_{NAAAN} and M_{NSSAN} below have epr-sequences NAAAN and NSSAN , respectively:

$$M_{\text{NAAAN}} = \begin{bmatrix} 0 & 1 & 1 & i & i \\ 1 & 0 & 1 & i & -i \\ 1 & 1 & 0 & -i & -i \\ -i & -i & i & 0 & 1 \\ -i & i & i & 1 & 0 \end{bmatrix} \quad \text{and} \quad M_{\text{NSSAN}} = \begin{bmatrix} 0 & 0 & i & 0 & -i \\ 0 & 0 & 0 & 1 & 1 \\ -i & 0 & 0 & 0 & 1 \\ 0 & 1 & 0 & 0 & 1 \\ i & 1 & 1 & 1 & 0 \end{bmatrix}.$$

5. Probabilistic techniques for constructing attainable sequences. In this section, we use probabilistic methods to establish that any epr-sequence that begins with an N , followed by zero or more A s, S s, and N s in that order, can

be realized by a Hermitian matrix.

THEOREM 5.1. *Every epr-sequence of the form $N\overline{A}\overline{S}\overline{N}$ that does not end in S is attained by a Hermitian matrix.*

Proof. First we introduce notation for some parameters that specify which epr-sequence of the form $N\overline{A}\overline{S}\overline{N}$ is desired. If there is at least one A, let a denote the position of the last A; otherwise set $a = 1$. If there is at least one S, let s denote the position of the last S; otherwise set $s = a$. As usual, let n denote the order of the matrix. In general, $1 \leq a \leq s \leq n$. The zero matrix of order n satisfies the case $s = 1$, so henceforth we assume $s \geq 2$. The fact that the sequence does not end in S is equivalent to requiring that $s > a$ implies $n > s$.

Let D be the $s \times s$ diagonal matrix whose first $s - 1$ diagonal entries are 1, followed by a single -1 . We give a construction of an $s \times n$ matrix T in such a way that, with probability 1, the $n \times n$ matrix $B = T^*DT$ has the desired epr-sequence (in particular, *some* matrix T works). We divide T into two blocks: Its first $s - 1$ rows will be called U , and its last row will have every entry equal to 1. The block U is further divided into blocks consisting of an identity matrix of width $s - 1$, a vector \mathbf{z} (obviously of width 1), and a matrix R of width $n - s$, as follows:

$$T = \begin{bmatrix} U \\ \mathbf{1}_n^T \end{bmatrix} \quad \text{and} \quad U = [I_{s-1} \quad \mathbf{z} \quad R].$$

The columns of R are chosen randomly and independently from the set of unit vectors in \mathbb{C}^{s-1} . (To be concrete, their real and imaginary parts are chosen from the standard measure on the unit sphere of dimension $2s - 3$ embedded in \mathbb{R}^{2s-2} .) In the extreme case of $s = 2$, for example, the columns of R are scalars chosen from the unit circle in the complex plane, which generically means that no two of them are equal and none is equal to 1.

The vector \mathbf{z} is constructed in a way that depends on the values of a and s , according to these three cases:

1. For $s = a$, \mathbf{z} is a random unit vector in \mathbb{C}^{s-1} , chosen in the same way as the columns of R .
2. For $1 = a < s$, \mathbf{z} is a repetition of the first column of I_{s-1} .
3. For $1 < a < s$, $\mathbf{z} = [z_j]$ is given by

$$\begin{aligned} z_1 &= \frac{1}{a} + i\sqrt{\frac{a-1}{2a}}, \\ z_2 &= \frac{1}{a} - i\sqrt{\frac{a-1}{2a}}, \\ z_3 &= \cdots = z_a = \frac{1}{a}, \\ z_{a+1} &= \cdots = z_{s-1} = 0. \end{aligned}$$

In all cases, \mathbf{z} is a unit vector in \mathbb{C}^{s-1} . Whenever $a < s$, that is, whenever the desired epr-sequence contains at least one S, \mathbf{z} is designed in such a way that the sum of its entries is 1 and it has nonzero entries in exactly the first a rows.

Let $\text{epr}(B) = \ell_1 \cdots \ell_n$. To complete the proof, we show the four necessary conclusions:

- (A) $\ell_k = N$ for $k = 1$,
- (B) $\ell_k = A$ for $1 < k \leq a$,
- (C) $\ell_k = S$ for $a < k \leq s$, and
- (D) $\ell_k = N$ for $s < k \leq n$,

which must hold with probability 1 in all cases. Given $\alpha \subseteq [n]$, we let T_α and U_α denote respectively the matrices $T[[s], \alpha]$ and $U[[s-1], \alpha]$ that select the subset α of columns. Since $B[\alpha] = T_\alpha^*DT_\alpha$, the rank of $B[\alpha]$ is at most the rank of D , namely s , which establishes Conclusion (D).

We define the matrix $H = U^*U$. Since every column of U is a unit vector, H is a complex correlation matrix. We observe that for every $\alpha \subseteq [n]$, letting $k = |\alpha|$,

$$B[\alpha] = T_\alpha^*DT_\alpha = U_\alpha^*U_\alpha - \mathbb{1}_k\mathbb{1}_k^T = H[\alpha] - J_k. \quad (5.1)$$

For $k = 1$, so $\alpha = \{j\}$, this becomes

$$B[\{j\}] = U_{\{j\}}^*U_{\{j\}} - 1 = H[\{j\}] - J_1 = 0,$$

which establishes Conclusion (A).

When $s > a$, define the subset $\beta = [a] \cup \{s\}$ of cardinality $a + 1$. Since only the first a entries of \mathbf{z} are nonzero, and these sum to 1, the last row of T_β is the sum of its first a rows, and all of its other rows are zero. It follows that the columns of T_β form a linearly dependent set. Thus, for any α containing β as a subset, and in particular for $\alpha = [k-1] \cup \{s\}$ in the range $a < k \leq s$, the columns of T_α are also linearly dependent and $B[\alpha] = T_\alpha^*DT_\alpha$ is singular. This shows the existence of a singular $k \times k$ principal submatrix $a < k \leq s$, which gives part of Conclusion (C) (it remains to show the existence of a nonsingular $k \times k$ principal submatrix).

Let $\alpha \subseteq [n]$ with $|\alpha| = k$. We have shown that $B[\alpha]$ is singular when $k = 1$, when $k > s$, or when $s > a$ (so β is defined) and $\beta \subseteq \alpha$. In fact we will show that these are, with probability 1, the only conditions giving rise to singular $B[\alpha]$, which will allow us to establish Conclusion (B) and the remainder of Conclusion (C), thereby completing the proof. To that end we will establish the following three claims under the assumptions that $1 < k \leq s$ and either $a = s$, or $a < s$ and $\beta \not\subseteq \alpha$:

- (i) If $k \leq s-1$, then the columns of U_α are linearly independent with probability 1.
- (ii) If $k = s$, then the columns of T_α are linearly independent with probability 1.
- (iii) $B[\alpha]$ is nonsingular.

Before establishing the claims, we show that they are sufficient to complete the proof. When $1 < k \leq a$, either $a = s$ (and β is not defined) or $\beta \not\subseteq \alpha$ because $|\beta| = a + 1$. Thus, $B[\alpha]$ is nonsingular, and Conclusion (B) is true. When $a = s$, Conclusion (C) is vacuous. When $a < s$, we have $n > s$ and in particular that the index $s + 1$ exists. The nonsingularity of $B[\alpha]$ for the sets $\alpha = [k-1] \cup \{s+1\}$ in the range $a < k \leq s$ completes the proof of Conclusion (C), thus completing the proof (once the claims have been established).

We now establish the claims, and thus, assume $1 < k \leq s$ and either $a = s$, or $a < s$ and $\beta \not\subseteq \alpha$. Claim (i) is verified by induction on k , where $1 < k \leq s-1$. For $k = 1$ the fact that the columns of U are nonzero suffices. Suppose then that $\alpha = \{\alpha_1, \dots, \alpha_k\}$ with $\alpha_j \leq \alpha_{j+1}$ for $j = 1, \dots, k-1$, and that the columns of U indexed by $\{\alpha_1, \dots, \alpha_{k-1}\}$ are linearly independent. If $\alpha_k < s$, then U_α is a linearly independent subset of the columns of I_{s-1} . If $\alpha_k = s$ and $s > a$, then the k th column of U_α is \mathbf{z} and $\beta \not\subseteq \alpha$ means that one of the nonzero entries (i.e., the first a entries) of \mathbf{z} is the only nonzero entry in its row of U_α . Therefore the k th column of U_α is not in the span of the first $k-1$ columns. The remaining possibilities are $\alpha_k = s = a$ or $\alpha_k > s$; in either case, the k th column of U_α is a randomly chosen unit vector. The first $k-1$ columns of U_α span a subspace of dimension $k-1 < s-1$ in which a randomly chosen unit vector will not lie, giving with probability 1 a linearly independent set of columns for U_α .

For Claim (ii), $k = s$ and either $a = s$ or $a < s$ and $\beta \not\subseteq \alpha$ imply that the last column \mathbf{t} of T_α must be of the form $\mathbf{t} = \begin{bmatrix} \mathbf{u} \\ 1 \end{bmatrix}$, with \mathbf{u} one of the columns of U that were chosen at random. The independence of the first $s-1$ columns of U_α (established in Claim (i)) implies the independence of the first $s-1$ columns of T_α . Let V_{s-1} be the complex span of the first $s-1$ columns of T_α , and let V_s be the complex span of the first s columns of T_α . Let W_{s-1} and W_s be the real vector spaces consisting of the interleaved real and imaginary parts of entries of vectors in V_{s-1} and V_s , respectively,

whose dimensions as real vector spaces are twice the dimensions of their complex counterparts. In particular, W_{s-1} has dimension exactly $2s - 2$, and Claim (ii) is equivalent to the statement that W_s includes W_{s-1} properly with probability 1. Suppose then that $W_s = W_{s-1}$ has dimension $2s - 2$. Since \mathbf{t} has a last entry whose real and imaginary parts are $(1, 0)$ and the complex span of \mathbf{t} belongs to V_s , for every pair of real numbers (x, y) there is a vector in W_s whose last two entries are x and y . Consider then the set X of all vectors in W_s whose last two entries are 1 and 0. Since this imposes independent constraints on x and y , X is an affine subspace of \mathbb{R}^{2s} and a real manifold of dimension $2s - 4$. The projection of X that ignores the last two entries of every vector is an affine subspace of \mathbb{R}^{2s-2} , still of dimension $2s - 4$, and the intersection S of this projection with the entire unit sphere in \mathbb{R}^{2s-2} is either empty, a single point, or a spherical manifold of dimension $2s - 5$. The set S is completely specified by the first $s - 1$ columns of U under the assumption that $W_s = W_{s-1}$, but S also contains the vector representing the real and imaginary parts of \mathbf{u} , which was chosen at random from the unit sphere of dimension $2s - 3$ in \mathbb{R}^{2s-2} . Since such a choice would have happened with probability 0, Claim (ii) follows: With probability 1 the columns of T_α are linearly independent.

For Claim (iii), first assume $1 < k \leq s - 1$, so Claim (i) establishes with probability 1 that $H[\alpha]$ is positive definite. We denote the eigenvalues of a $k \times k$ Hermitian matrix M by $\lambda_1(M) \geq \dots \geq \lambda_k(M)$. From the definition of H and (5.1), $B[\alpha] = H[\alpha] - J_k$ is a nonzero Hermitian matrix with zeros on the diagonal, implying that its least eigenvalue $\lambda_k(B[\alpha])$ is negative. Since $\lambda_{k-1}(-J) = 0$, by one of Weyl's Inequalities (see, for example, [1, Fact 9.2.3]), for $j \leq k - 1$,

$$0 < \lambda_{j+1}(H[\alpha]) = \lambda_{j+1}(H[\alpha]) + \lambda_{k-1}(-J_k) \leq \lambda_{(j+1)+(k-1)-k}(H[\alpha] - J_k) = \lambda_j(H[\alpha] - J_k).$$

Thus, $B[\alpha]$ is nonsingular. For $k = s$, Claim (ii) establishes that T_α is an invertible $s \times s$ matrix, and so $B[\alpha] = T_\alpha^* D T_\alpha$ is also nonsingular. \square

6. Epr-sequences attainable by Hermitian matrices but not by real symmetric matrices. This section is devoted to classifying all the epr-sequences of order $n \leq 5$ that are attainable by Hermitian matrices but not by real symmetric matrices. For $n \leq 5$, all sequences attainable over \mathbb{R}_n are listed in [4, Tables 2–5]. Note that $\text{attain}(\mathbb{H}_1) = \text{attain}(\mathbb{R}_1)$ and $\text{attain}(\mathbb{H}_2) = \text{attain}(\mathbb{R}_2)$. The only epr-sequences of order 3 that are not attainable over \mathbb{R}_n are NAN, NNA, NSA, and SNA. Since NNA, NSA, and SNA are prohibited by the NN Theorem, the NSA Theorem, and Proposition 1.6, NAN is the only epr-sequence of order 3 that could be attained by a Hermitian matrix but not by a real symmetric matrix. In fact, NAN is attained by the Hermitian adjacency matrix of a tournament (see Theorem 4.3).

We list all attainable sequences over \mathbb{H}_n that are not attainable over \mathbb{R}_n for $n = 4$ and 5 in Tables 6.1 and 6.2 below. By the Inverse Theorem, the attainability of $\ell_1 \ell_2 \dots \ell_{n-1} \mathbf{A}$ implies the attainability of $\ell_{n-1} \ell_{n-2} \dots \ell_1 \mathbf{A}$, and vice versa; thus, for the sake of brevity, we say that $\ell_{n-1} \ell_{n-2} \dots \ell_1 \mathbf{A}$ is the “inverse of $\ell_1 \ell_2 \dots \ell_{n-1} \mathbf{A}$.” Again, for brevity, when the attainability of a sequence is established with a realization that is a tournament, we simply say “tournament,” instead of providing a matrix. Hermitian adjacency matrices (that are not tournaments) are also identified in the table. If no matrix realization is provided for a sequence, then a result is cited.

To complete the classification, we need some more matrix examples.

EXAMPLE 6.1. Matrices for Tables 6.1 and 6.2:

$$M_{\text{AANSN}} = \begin{bmatrix} 1 & 0 & 1 & 1 & 1 \\ 0 & 1 & -1 & i & i \\ 1 & -1 & 2 & 1-i & 0 \\ 1 & -i & 1+i & 2 & 1-i \\ 1 & -i & 0 & 1+i & 2 \end{bmatrix}, \quad M_{\text{NASAA}} = \begin{bmatrix} 0 & 1 & 1 & 1 & 1 \\ 1 & 0 & 1 & 1 & 1 \\ 1 & 1 & 0 & 1 & 1 \\ 1 & 1 & 1 & 0 & i \\ 1 & 1 & 1 & -i & 0 \end{bmatrix},$$

$$M_{\text{NASAN}} = \begin{bmatrix} 0 & 1 & 1 & 1 & 1 \\ 1 & 0 & i & 1 & 1 \\ 1 & -i & 0 & 1 & 1 \\ 1 & 1 & 1 & 0 & i \\ 1 & 1 & 1 & -i & 0 \end{bmatrix}, \quad M_{\text{NASSA}} = \begin{bmatrix} 0 & 1 & 1 & 1 & 1 \\ 1 & 0 & i & 1 & 1-i \\ 1 & -i & 0 & 1-i & -1 \\ 1 & 1 & 1+i & 0 & 2+i \\ 1 & 1+i & -1 & 2-i & 0 \end{bmatrix},$$

$$M_{\text{NSNAN}} = \begin{bmatrix} 0 & 0 & i & 1 & 0 \\ 0 & 0 & 0 & 1 & 1 \\ -i & 0 & 0 & 0 & 1 \\ 1 & 1 & 0 & 0 & 0 \\ 0 & 1 & 1 & 0 & 0 \end{bmatrix}, \quad M_{\text{SANSN}} = \begin{bmatrix} -1 & 1-i & i & -1-2i & 1+i \\ 1+i & 0 & -1-i & 1+i & 2-2i \\ -i & -1+i & 1 & i & 1+i \\ -1+2i & 1-i & -i & -1 & 1+i \\ 1-i & 2+2i & 1-i & 1-i & 0 \end{bmatrix}.$$

For $n = 4$, there are 54 epr-sequences that end in N or A. Of these sequences, 39 are attained by matrices in \mathbb{H}_n . This is seen in that 5 are listed in Table 6.1, while the remaining 34 are attainable over the reals [4, Table 4]. Of the remaining 15 sequences, 7 are not attainable by the NN Theorem and 5 more are forbidden by the NSA Theorem. The remaining 3 sequences are forbidden by Proposition 1.6 or Proposition 2.1. For each unattainable sequence, the specific reason that it is forbidden is listed in [5], and similarly for order 5.

TABLE 6.1
 All epr-sequences of order 4 attainable by Hermitian matrices but not by real symmetric matrices.

epr-sequence	Hermitian matrix	Result
NANA	tournament	Theorem 4.3
NANN		Remark 3.5
NASA	$M_{\text{NASAA}}(\{1\})$ (Hermitian adjacency matrix)	Example 6.1
NASN		Theorem 5.1
SANA		inverse of NASA

For $n = 5$, there are 162 epr-sequences ending in A or N. Of these 162 sequences, we discard the 33 sequences containing the prohibited subsequences NNA and NNS (NN Theorem). Of the 129 sequences remaining, 16 contain NSA, and so they may be discarded (NSA Theorem). Among the 113 sequences remaining, 5 are of the form $\cdots \text{ASN} \cdots \text{A}$, which is forbidden (NSA Theorem); that leaves 108 sequences. Discarding the 6 sequences having one of the prohibited *initial* subsequences ANAN, ANAS and SANA (see Propositions 2.1 and 2.3) leaves 102 sequences.

The epr-sequences AANAN, SSNAN, NANAA and NSSNA are each unattainable (see Corollary 2.2 and Propositions 3.7 and 2.4), and thus are discarded. Among the remaining 98 sequences, 8 have the unattainable form $\text{SN} \cdots \text{A} \cdots$ (see Proposition 1.6). That leaves 90 sequences, which we claim are all attainable. Of these 90 sequences, 75 are the sequences attainable by real symmetric matrices (see [4, Table 5]). The remaining 15 sequences, appearing in Table 6.2, are those attainable by Hermitian matrices but not by real symmetric matrices.

A natural question now arises: Are all the sequences starting with N in the tables above attainable by Hermitian adjacency matrices? Observe that each sequence starting with N whose attainability was not established with a Hermitian adjacency matrix starts with NA and does not have A in the 4th position. For a Hermitian adjacency matrix, this pattern is not allowed by Proposition 4.2, implying that any sequence starting with N listed in Table 6.1 or 6.2 is attainable by a Hermitian adjacency matrix if and only if the realization provided in these tables is a Hermitian adjacency matrix.

We conclude by noting that, for $n = 2, 3, 4, 5$, the set of epr-sequences attainable by an $n \times n$ Hermitian adjacency matrix but not by a real symmetric adjacency matrix consists of NAAAN, NSSAN (see Remark 4.5), NAN, and each sequence in Tables 6.1 and 6.2 whose corresponding realization is a Hermitian adjacency matrix.

7. Relationships for attainability of epr-sequences. Here we summarize the relationships regarding attainability of epr-sequences over the various classes of matrices that we consider. In addition to the notation $\mathbb{R}_n, \mathbb{C}_n$ and \mathbb{H}_n already defined, we denote the $n \times n$ real symmetric adjacency matrices by \mathbb{G}_n , and the $n \times n$ Hermitian adjacency matrices of mixed graphs by \mathbb{D}_n .

TABLE 6.2

All epr-sequences of order 5 attainable by Hermitian matrices but not by real symmetric matrices.

epr-sequence	Hermitian matrix	Result
AANSN	M_{AANSN}	Example 6.1
ANAAN		Theorem 3.3
ASANA		inverse of NASAA
NAANA		Theorem 3.3
NANAN	tournament	Theorem 4.3
NANNN		Remark 3.5
NANSN		Remark 3.5
NASAA	M_{NASAA} (Hermitian adjacency matrix)	Example 6.1
NASAN	M_{NASAN} (Hermitian adjacency matrix)	Example 6.1
NASNN		Theorem 5.1
NASSA	M_{NASSA}	Example 6.1
NASSN		Theorem 5.1
NSNAN	M_{NSNAN} (Hermitian adjacency matrix)	Example 6.1
SANSN	M_{SANSN}	Example 6.1
SSANA		inverse of NASSA

Clearly, $\text{attain}(\mathbb{R}_n) \subseteq \text{attain}(\mathbb{C}_n)$, $\text{attain}(\mathbb{R}_n) \subseteq \text{attain}(\mathbb{H}_n)$, $\text{attain}(\mathbb{G}_n) \subseteq \text{attain}(\mathbb{D}_n)$, $\text{attain}(\mathbb{G}_n) \subseteq \text{attain}(\mathbb{R}_n)$, and $\text{attain}(\mathbb{D}_n) \subseteq \text{attain}(\mathbb{H}_n)$. All five classes $\text{attain}(\mathbb{R}_n)$, $\text{attain}(\mathbb{C}_n)$, $\text{attain}(\mathbb{H}_n)$, $\text{attain}(\mathbb{G}_n)$, and $\text{attain}(\mathbb{D}_n)$ are distinct (examples are cited below). The epr-sequence NAN shows $\text{attain}(\mathbb{H}_n) \not\subseteq \text{attain}(\mathbb{C}_n)$ [4, Proposition 2.8 and Example 2.9]. For $\text{attain}(\mathbb{C}_n) \not\subseteq \text{attain}(\mathbb{R}_n)$ see [3, Example 6.8] (when containment fails for pr-sequences it necessarily also fails for epr-sequences). An obvious open question is the epr-version of a question raised in [2, p. 235].

QUESTION 7.1. Is $\text{attain}(\mathbb{C}_n) \subset \text{attain}(\mathbb{H}_n)$?

For real symmetric adjacency matrices, Hermitian mixed graph adjacency matrices, real symmetric matrices, and (complex) Hermitian matrices, the relationships among attainable epr-sequences are known, and in the next table we summarize these relationships. If there is an example of an epr-sequence attainable in one class and not in another, an example is given; otherwise, a dash denotes an impossible combination. There are many possible examples, but we have selected small and/or meaningful ones (e.g., for a sequence not attainable by the adjacency matrix of a graph or mixed graph, we have selected an example beginning with N).

TABLE 7.1

Attainability of epr-sequences by various classes of matrices.

	$\in \text{attain}(\mathbb{G}_n)$	$\in \text{attain}(\mathbb{D}_n)$	$\in \text{attain}(\mathbb{R}_n)$	$\in \text{attain}(\mathbb{H}_n)$
$\notin \text{attain}(\mathbb{G}_n)$	–	NAN	NAAN	NAAN
$\notin \text{attain}(\mathbb{D}_n)$	–	–	NAAN	NAAN
$\notin \text{attain}(\mathbb{R}_n)$	–	NAN	–	NAN
$\notin \text{attain}(\mathbb{H}_n)$	–	–	–	–

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