Two affine structures imposed in the polynomials with degree four

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Abstract

In the paper of [NF97b] we studied the geometrical and topological properties of the moduli space of polynomial maps of degree 3 from a viewpoint of complex dynamical systems. Making use of the discussion of [FN97] and [NF97a], we decide the branch locus and give the "topological partition" of the real moduli space of polynomial maps of degree 4.

1 Polynomials of degree 4

1.1 Coefficient coordinate on polynomials of degree 4

Let $Poly_4(C)$ be the space of all polynomial maps of the form

$$p: \mathbf{C} \to \mathbf{C},$$

 $p(z) = a_4 z^4 + a_3 z^3 + a_2 z^2 + a_1 z + a_0 \quad (a_4 \neq 0).$

The group $\mathfrak{A}(C)$ of all affine transformations acts on $Poly_4(C)$ by conjugation:

$$g \circ p \circ g^{-1} \in \text{Poly}_4(\mathbb{C})$$
 for $g \in \mathfrak{A}(\mathbb{C}), p \in \text{Poly}_4(\mathbb{C}).$

Two maps $p_1, p_2 \in \text{Poly}_4(\mathbb{C})$ are holomorphically conjugate if and only if there exists $g \in \mathfrak{A}(\mathbb{C})$ with $g \circ p_1 \circ g^{-1} = p_2$. The quotient space of $\text{Poly}_4(\mathbb{C})$ under this action will be denoted by $M_4(\mathbb{C})$, and called the moduli space of holomorphic conjugacy classes $\langle p \rangle$ of polynomial maps p of degree 4.

Under the conjugacy of the action of $\mathfrak{A}(\mathbb{C})$, it can be assumed that any map in $\operatorname{Poly}_4(\mathbb{C})$ is "monic" and "centered", i.e.,

$$p(z) = z^4 + c_2 z^2 + c_1 z + c_0.$$

This p is determined up to the action of the group G(3) of 3-rd roots of unity, where each $\eta \in G(3)$ acts on $p \in \text{Poly}_4(\mathbb{C})$ by the transformation $p(z) \mapsto p(\eta z)/\eta$.

Let $\mathcal{P}_1(4)$ be the affine space of all monic and centered polynomials of degree 4 with coordinate (c_0, c_1, c_2) . Then we have an three-to-one canonical projection

$$\Phi: \mathcal{P}_1(4) \to M_4(\mathbf{C})$$

from $\mathcal{P}_1(4)$ onto $M_4(\mathbf{C})$. Thus we can use $\mathcal{P}_1(4)$ as coordinate space for $M_4(\mathbf{C})$ though there remains the ambiguity up to the group G(3).

Now we introduce "multipliers' coordinates" in $M_4(\mathbb{C})$ (see [Mil93]):

for each $p(z) \in \text{Poly}_4(\mathbf{C})$, let $z_1, \dots, z_4, z_5 (=\infty)$ be the fixed points of p and μ_i the multipliers of z_i ; $\mu_i = p'(z_i)$ $(1 \le i \le 4)$, and $\mu_5 = 0$. Consider the elementary symmetric functions of the four multipliers,

$$\begin{split} &\sigma_{4,1} = \mu_1 + \mu_2 + \mu_3 + \mu_4, \\ &\sigma_{4,2} = \mu_1 \mu_2 + \mu_1 \mu_3 + \mu_1 \mu_4 + \mu_2 \mu_3 + \mu_2 \mu_4 + \mu_3 \mu_4 \\ &\sigma_{4,3} = \mu_1 \mu_2 \mu_3 + \mu_1 \mu_2 \mu_4 + \mu_1 \mu_3 \mu_4 + \mu_2 \mu_3 \mu_4, \\ &\sigma_{4,4} = \mu_1 \mu_2 \mu_3 \mu_4 \\ &\sigma_{4,5} = 0. \end{split}$$

Note that these are well-defined on the moduli space $M_n(\mathbb{C})$, since μ_i 's are invariant by affine conjugacy. Applying the Fatou index theorem, we have a linear relation ([NF97b]):

$$4 - 3\sigma_{4,1} + 2\sigma_{4,2} - \sigma_{4,3} = 0. (1)$$

Let $\Sigma(4)$ be an affine space with coordinates $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4})$, so-called multipliers' coordinates.

We have a natural projection:

$$\Psi: M_4(\mathbf{C}) \to \Sigma(4)$$
.

Definition 1 $\operatorname{Per}_1(\mu) \subset \operatorname{M}_4(\mathbf{C})$ is the locus of all classes having a fixed point with multiplier μ . Similarly, $\operatorname{Preper}_{(n)} 1$ is the locus of all classes having a pre-fixed critical orbit with tale-length $n \neq 0$.

2 Comparison between Poly₃(C) and Poly₄(C)

Now we summarize the properties of the $Poly_3(C)$ and $Poly_4(C)$ given by [Mil92], [NF97b] and [FN97].

2.1 $Poly_3(C)$ case

Moduli space:

- The moduli space $M_3(\mathbf{C})$ is isomorphic to the space $\Sigma(3)$, hence it is isomorphic to \mathbf{C}^2 .
- $\mathcal{P}_1(3)$ is a two-sheeted ramified covering of \mathbb{C}^2

Real moduli space: The real moduli space $M_3(\mathbf{R})$ has one-to-one correspondence with \mathbf{R}^2 , excepting on the symmetry locus. While on the symmetry locus, there is two-to-one correspondence.

Multiplier's Coordinates: $(\sigma_{3,1}, \sigma_{3,3})$ with the linear relation $3 - 2\sigma_{3,1} + \sigma_{3,2} = 0$.

Normal Forms $(\mathcal{P}_1(3))$: $\{f(z) = z^3 + c_1 z + c_0\}$

Transformation formula:

$$\sigma_{3,1} = -3c_1 + 6,$$

$$\sigma_{3,3} = 27c_0^2 + a(2c_1 - 3)^2$$

Dynamical curves:

• $\operatorname{Per}_1(\mu)$: $\sigma_{3,3} = (-\mu^2 + 2\mu)\sigma_{3,1} + \mu^3 - 3\mu$

• $\operatorname{Per}_2(\mu)$: cubic algebraic curve

•
$$\operatorname{Per}_1(-1) \subset \operatorname{Per}_2(1)$$

Symmetry locus: The symmetry locus coincides with the envelope of the lines family $\{Per_1(\mu)\}$. And it forms an irreducible algebraic curve in $M_3(\mathbf{C})$:

$$S_3(\sigma_{3,1}, \sigma_{3,3}) = 4\sigma_{3,1}^3 - 36\sigma_{3,1}^2 + 81\sigma_{3,1} + 27\sigma_{3,3} - 54 = 0.$$

And its normal form is given by a one parameter family $\{z^3 + az\}$.

Topological partition: The real moduli space is divided into the following four parts \mathcal{R}_0 , \mathcal{R}_1 , \mathcal{R}_2 , \mathcal{R}_3 . And its boundary curves are the following dynamical curves:

$$Per_1(1)$$
, $Per_2(1)$, $Preper_{(1)}1$, $Preper_{(1)}2$, Symmetry locus

2.2 Poly₄(C) case

Moduli space: The number of the inverse images of the space $\Sigma(4)$ under the map Ψ is 0, 1, 2, or ∞ . The space $\mathcal{P}_1(4)$ is a three-sheeted ramified covering of \mathbb{C}^3

Multiplier's Coordinates: $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4})$ with linear relation $4 - 3\sigma_{4,1} + 2\sigma_{4,2} - \sigma_{4,3} = 0$

Normal Forms
$$(\mathcal{P}_1(4))$$
: $\{f(z) = z^4 + c_2 z^2 + c_1 z + c_0\}$

Transformation formula:

$$\sigma_{4,1} = -8c_1 + 12 \tag{2}$$

$$\sigma_{4,2} = 4c_2^3 - 16c_0c_2 + 18c_1^2 - 60c + 1 + 48 \tag{3}$$

$$\sigma_{4,4} = 16c_0c_2^4 + (-4c_1^2 + 8c_1)c_2^3 - 128c_0^2c_2^2 + (144c_0c_1^2 - 288c_0c_1 + 128c_0)c_2 - 27c_1^4 + 108c_1^3 - 144c_1^2 + 64c_1 + 256c_0^3$$
(4)

Dynamical curves:

$$\Psi\left(\operatorname{Per}_{1}(\mu)\right) : \mu^{4} - \sigma_{4,1}\mu^{3} + \sigma_{4,2}\mu^{2} + (3\sigma_{4,1} - 2\sigma_{4,2} - 4)\mu + \sigma_{4,4} = 0$$

Symmetry locus: The symmetry locus is a proper subspace of the envelope of the plane family $\{Per_1(\mu)\}$. The symmetry locus S_4 in $M_4(C)$ forms the following algebraic curve:

$$\begin{cases} \sigma_{4,1} = s \\ \sigma_{4,2} = 3(3s - 4)(s + 4)/32 \\ \sigma_{4,4} = -(3s - 4)^3(s - 12)/4096. \end{cases}$$

And its normal form is given by a one parameter family $\{z^4 + az\}$.

Remark A. F. Beardon [Bea90] studies symmetries of Julia sets. He gave a sufficient and necessary condition for the Julia set of two polynomials P and Q are same. There are significant relations between symmetries of Julia sets and the symmetry locus ([FN]).

3 Branch locus

In the case of cubic polynomials, the envelope of the line family $\{Per_1(\mu)\}_{\mu}$ coincides with the symmetry locus ([NF97b]). But, in the case of polynomials of degree 4, the symmetry locus is the proper subspace of the envelope ([NF97a]).

In fact, the images of the surfaces $Per_1(\mu)$ are easily obtained by using the linear relation (1):

$$\Psi(\operatorname{Per}_{1}(\mu)) : \mu^{4} - \sigma_{4,1}\mu^{3} + \sigma_{4,2}\mu^{2} + (3\sigma_{4,1} - 2\sigma_{4,2} - 4)\mu + \sigma_{4,4} = 0.$$

And a defining equation of the envelope of $\{\Psi(\operatorname{Per}_1(\mu))\}_{\mu}$ is

$$ENV: 54\sigma_{4,1}^5 + (-81\sigma_{4,2} - 27\sigma_{4,4} - 135)\sigma_{4,1}^4 + (36\sigma_{4,2}^2 - 144\sigma_{4,2} - 1008)\sigma_{4,1}^3 + (-4\sigma_{4,2}^3 + 360\sigma_{4,2}^2 + (144\sigma_{4,4} + 2976)\sigma_{4,2} + 576\sigma_{4,4} + 4192)\sigma_{4,1}^2 + (-160\sigma_{4,2}^3 - 2176\sigma_{4,2}^2 + (-384\sigma_{4,4} - 6400)\sigma_{4,2} - 1280\sigma_{4,4} - 5376)\sigma_{4,1} + 16\sigma_{4,2}^4 + 448\sigma_{4,2}^3 + (-128\sigma_{4,4} + 2176)\sigma_{4,2}^2 + (256\sigma_{4,4} + 3840)\sigma_{4,2} + 256\sigma_{4,4}^2 + 768\sigma_{4,4} + 2304 = 0.$$

This defining equation is obtained by seeking the common factor of $\Psi(\operatorname{Per}_1(\mu))$ and $\frac{\partial}{\partial \mu}\Psi(\operatorname{Per}_1(\mu))$ where the singular factor $\Psi(\operatorname{Per}_1(1))$ is removed.

A defining equation of the symmetry locus satisfies a defining equation of ENV.

To say more intuitively, the symmetry locus corresponds with the condition that the equation $Per_1(\mu)$ has triple root, while the envelope corresponds with the condition of double root.

In the case of polynomials of degree 4, the envelope deeply concerns the branch locus.

In this paper, branch locus is defined the locus where the number of inverse images is not two.

Theorem 1 The branch locus is characterized as follows; branch locus = $\{\sigma_{4,1} - 4 = 0\} \cup ENV$.

Before proving this theorem, we need "inverse problem" described in [NF97a] (Proposition 2): for any $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4})$ given, there exists (c_0, c_1, c_2) satisfying the transformation formula or not.

Proposition 2 in [NF97a] The composition $\Psi \circ \Phi : \mathcal{P}_1(4) \to \Sigma(4)$ is not surjective: this map has no inverse image for any point on the "punctured" curve \mathcal{E} :

$$(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) = (4, s, s^2/4 - 2s + 4), s \neq 6.$$

Proof of outline of "inverse problem" Fix a point $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) \in \Sigma(4)$. The following equation is obtained by substituting the equation (2) to (3) of transformation formula:

$$4c_2^3 - 16c_0c_2 = -\sigma_{4,2} - \frac{9}{32}\sigma_{4,1}^2 - \frac{3}{4}\sigma_{4,1} + \frac{3}{2}$$
 (5)

Let V be the value of the right hand of the relation (5):

$$V = \frac{1}{32}(-32\sigma_{4,2} + 9\sigma_{4,1}^2 + 24\sigma_{4,1} - 48) \tag{6}$$

First we start the case of V = 0. We put $c_1 = \frac{12 - \sigma_{4,1}}{8}$ and $c_2 = 0$. Then c_0 is a one of the solutions of the equation given by (4):

$$1048576c_0^3 - 4096\sigma_{4,4} - 27\sigma_{4,1}^4 + 432\sigma_{4,1}^3 - 1440\sigma_{4,1}^2 + 1792\sigma_{4,1} - 768 = 0.$$

It is important that the coefficient of the c_0^3 term does not vanish.

Second, we assume that $V \neq 0$. From the relation (5), if there exists inverse images then we have $c_2 \neq 0$. Therefore dividing (3) by c_2 , and substituting it into (4) we obtain the following equation:

$$Ac_2^6 + Bc_2^3 + C = 0 (7)$$

where

$$A = 262144(\sigma_{4,1} - 4)^{2},$$

$$B = 1024(128\sigma_{4,2} + (-144\sigma_{4,1}^{2} + 384\sigma_{4,1} - 256)\sigma_{4,2} - 512\sigma_{4,4} + 27\sigma_{4,1}^{4} - 576\sigma_{4,1}^{2} + 1280\sigma_{4,1} - 768),$$

$$C = -(32\sigma_{4,2} - 9\sigma_{4,1}^{2} - 24\sigma_{4,1} + 48)^{3}.$$

Here, we will make sure that the above equation (7) have solution(s) c_2 in the cases of $A \neq 0$ or $B \neq 0$. Now we note that $C = (32V)^3 \neq 0$.

- 1. If $A \neq 0$ or $B \neq 0$ then the equation (7) has solution(s) c_2 . Substituting these c_2 to (3), c_0 is also obtained. The parameter c_1 depends only on $\sigma_{4,1}$.
- 2. If A=0 and B=0, then we have $\sigma_{4,1}=4$ and $\sigma_{4,4}=(\sigma_{4,2}^2-8\sigma_{4,2}+16)/4$. Now, suppose the equation (7) has solution(s) c_2 . Substituting above two conditions into the transformation formula, we have a relation $4c_0-c_2^2=0$. As this relation is a factor of the left hand of the equation (5), it contradicts to the condition $C\neq 0$.

Therefore there is not a solution c_2 satisfying the equation (7).

We remark that if C is also 0 (that is $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) = (4, 6, 1)$) then there are infinitely many inverse images $(c_0, c_1, c_2) = (c_2^2/4, c_1, c_2)$. However, in this case, we mention again V = 0.

Therefore the equation (7) always has solution(s) c_2 , except for $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) = (4, s, s^2/4 - 2s + 4)$, $s \neq 6$. If there is solution(s) c_2 , substituting these c_2 to (3), c_0 is also obtained. The parameter c_1 depends only on $\sigma_{4,1}$.

Making use of this proof, we prove Theorem 1 as below.

Proof of Theorem 1 If V = 0, then $c_2 = 0$ or $4c_0 - c_2^2 = 0$.

- In the case of $c_2 = 0$ and $4c_0 c_2^2 = 0$: The points $(0, c_1, 0)$ correspond with the symmetry locus on $\Sigma(4)$ and the number of the inverse image is one. Hence these points (symmetry locus) belong to the branch locus and it is already known that the symmetry locus is a proper subspace of ENV.
- In the case that one of c_2 or $4c_0 c_2^2$ is equal to zero:
 - 1. In the case of $c_2=0$ and $4c_0-c_2^2\neq 0$: We have $c_1=(12-\sigma_{4,1})/8$ and c_0 is a root of the equation $1048576c_0^3-4096\sigma_{4,4}-27\sigma_{4,1}^4+432\sigma_{4,1}^3-1440\sigma_{4,1}^2+1792\sigma_{4,1}-768=0.$

The above equation have three roots $c_0 = k, k\omega, k\omega^2$, however, these three maps $(c_0, c_1, c_2) \in \mathcal{P}_1(4)$ belong to same conjugacy class.

2. In the case of $c_2 \neq 0$ and $4c_0 - c_2^2 = 0$: The one parameter family $\{(c_2^2/4, 1, c_2)\}_{c_2}$ corresponds to one point $(4, 6, 1) \in \Sigma(4)$. Only on this point, there are infinitely many inverse images.

For the other points $(c_2^2/4, c_1, c_2)$, we know that there is only one inverse image (conjugacy class) by using the same argument as above case 1.

Putting together above two cases, there are two inverse images except for the point (4,6,1). The point (4,6,1) belongs to the symmetry locus (of course it belongs to the ENV). Although this point does not belong to the "branch locus", we treat this point is an element of the branch locus in meaning that the number of inverse images is not two.

On the other hand, if $V \neq 0$ then the equation $Ac_2^6 + Bc_2^3 + C = 0$ is obtained from the inverse problem. This equation has multiple roots if and only if A = 0 or discriminant = 0. A = 0 means $\sigma_{4,1} = 4$ and the discriminant = 0 coincides with the defining equation ENV.

At last, we note that the exceptional curve \mathcal{E} is included in the plane $\sigma_{4,1} = 4$. Therefore there are two inverse images except for $\sigma_{4,1} = 0$ or on ENV.

4 Real moduli space

4.1 coordinates of real moduli space

Let $\operatorname{Poly}_4(\mathbf{R})$ be the set of real polynomials of degree 4. Then it is easily shown that the parameters $\sigma_{4,i}$ $(1 \leq i \leq 4)$ are all real. But "real inverse problem" is not so easy.

Now we discuss the following real inverse problem for a while: for any $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) \in \mathbb{R}^3$ given, whether there exists $(c_0, c_1, c_2) \in \mathbb{R}^3$ satisfying the transformation formula or not.

Fix any $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) \in \mathbb{R}^3$. For the case V = 0 it is clear from a proof of inverse problem that there exists suitable $(c_0, c_1, c_2) \in \mathbb{R}^3$.

In the case of $V \neq 0$, put $c_2^3 = t$. If the discriminant $D = B^2 - 4AC$ of the quadratic equation (7) of t variable is negative, then any root is not real number.

Here, the discriminant D is as follows:

$$D = 54\sigma_{4,1}^5 - 27(3\sigma_{4,2} + \sigma_{4,4} + 5)\sigma_{4,1}^4 + 36(\sigma_{4,2}^2 - 4\sigma_{4,2} - 28)\sigma_{4,1}^3 + 4(-\sigma_{4,2}^3 + 90\sigma_{4,2}^2 + (36\sigma_{4,4} + 744)\sigma_{4,2} + 144\sigma_{4,4} + 1048)\sigma_{4,1}^2 + 32(-5\sigma_{4,2}^3 - 68\sigma_{4,2}^2 + (-12\sigma_{4,4} - 200)\sigma_{4,2} - 40\sigma_{4,4} - 168)\sigma_{4,1} + 16(\sigma_{4,2}^4 + 28\sigma_{4,2}^3 + (-8\sigma_{4,4} + 136)\sigma_{4,2}^2 + (16\sigma_{4,4} + 240)\sigma_{4,2} + 16\sigma_{4,4}^2 + 48\sigma_{4,4} + 144).$$

Therefore, for $\sigma_{4,1} \ll -1$ this discriminant is negative and $c_2 \in \mathbb{C} \setminus \mathbb{R}$. Hence we conclude that for suitable $(\sigma_{4,1}, \sigma_{4,2}, \sigma_{4,4}) \in \mathbb{R}^3$, we can not find a real polynomial corresponding to this coordinate. Precise arguments are written in [NF97a].

Under the conjugacy of the action $\mathfrak{A}(\mathbf{R})$, it can be assumed any map in $\operatorname{Poly}_4(\mathbf{R})$ is in the suitable branch of the real part of $\mathcal{P}_1(4)$. Note that this correspondence makes bijective map. Hence $M_4(\mathbf{R}) \simeq \Re{\{\mathcal{P}_1(4)\}} \simeq \mathbf{R}^3$.

From now on, to carry out topological partition, we use the real part of $\mathcal{P}_1(4)$, denoted by $\Re \mathcal{P}_1(4)$, and the real (c_0, c_1, c_2) -space.

4.2 Topological Partition

At first, we will divide real (c_0, c_1, c_2) -space into two parts; the maps with three real critical points and the maps with one real critical point and a pair of complex conjugate critical point.

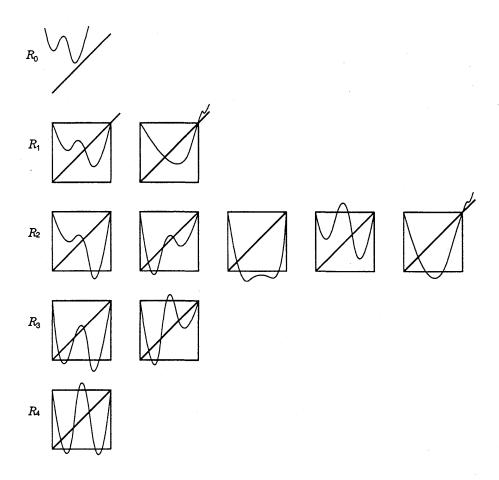


Figure 1: \mathcal{R}_0 to \mathcal{R}_4 , for the case of $\text{Poly}_4(\mathbf{R})$.

Let p(x) be a monic and centered polynomial of degree 4 with real coefficients, i.e., $p(x) = x^4 + c_2x^2 + c_1x + c_0$. The discriminant of the equation $p'(x) = 4x^3 + 2c_2x + c_0 = 0$ is given by $D = -(c_2^3 + \frac{27}{16}c_1^2)$. Hence, a map p(x) have a pair of complex conjugate critical points if and only if p(x) in the region $\{(c_0, c_1, c_2); c_2^3 + \frac{27}{16}c_1^2 > 0\}$.

Next, we give a topological partition on this space. For map $p \in \Re \mathcal{P}_1(4)$, if the real filled-in Julia set of p is a single point then it is said that p in the class \mathcal{R}_0 . Let J be the smallest closed interval which contains the real filled-in Julia set of p. For $p \notin \mathcal{R}_0$, it is said that p belongs to the class \mathcal{R}_n if the graph of p intersected with $J \times J$ has p distinct components [Mil92]. In this case, $0 \le n \le 4$.

The boundary curves which give the above partitions are as follows:

- $Per_1(1)$: $\{-16c_0c_2^4 + (4c_1^2 8c_1 + 4)c_2^3 + 128c_0^2c_2^2 + (-144c_0c_1^2 + 288c_0c_1 144c_0)c_2 + 27c_1^4 108c_1^3 + 162c_1^2 108c_1 256c_0^3 + 27 = 0\}$
- $\begin{array}{lll} \bullet & Preper_{(1)}1: & \{-256c_2^9-256c_0^2c_2^8+(128c_0c_1^2+256c_0c_1+4096c_0)c_2^7+\\ & (-16c_1^4-64c_1^3-3776c_1^2-7168c_1+4096c_0^3-4096)c_2^6+(-5632c_0^2c_1^2-11264c_0^2c_1-28672c_0^2)c_2^5+(2016c_0c_1^4+8064c_0c_1^3+38912c_0c_1^2+57344c_0c_1-24576c_0^4+32768c_0)c_2^4+(-216c_1^6-1296c_1^5-17856c_1^4-59648c_1^3+(38912c_0^3-49152)c_1^2+(77824c_0^3-24576)c_1+98304c_0^3-16384)c_2^3+\\ & (-27648c_0^2c_1^4-110592c_0^2c_1^3-175104c_0^2c_1^2-139264c_0^2c_1+65536c_0^5-81920c_0^2)c_2^2+(7776c_0c_0^6+46656c_0c_1^5+96768c_0c_1^4+73728c_0c_1^3+(-73728c_0^4-147456c_0)c_1^2+(-147456c_0^4-147456c_0)c_1-131072c_0^4)c_2-729c_1^8-5832c_1^7-27216c_1^6-76032c_1^5+(13824c_0^3-145152)c_1^4+(55296c_0^3-165888)c_1^3+(-73728c_0^3-110592)c_1^2-163840c_0^3c_1-65536c_0^6=0 \} \end{array}$
- $Preper_{(2)}1$: the degree of this defining equation is 33 with respect to c_0 , 44 with respect to c_1 , and 47 with respect to c_2 .

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