Multidimensional Persistence: Theory and Applications

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Outline

- Motivation for multidimensional persistence.
- Elaboration of the algebraic objects that naturally arise from the study of multifiltrations: multigraded modules over a polynomial ring in multiple variables.
- Parameterization of these objects as a subset of a product of grassmannians together with a group action.
- By using this parameterization, show that there are no barcode-like invariants in dimension greater than one.

This talk is based on and inspired by G. Carlsson, A. Zomorodian, The Theory of Multidimensional Persistence, 2009.



M. Bleher, M. Carrière, L. Hahn, A. Ott, J. Patiño-Galindo and R. Rabadán, Topology identifies emerging adaptive mutations in SARS-CoV-2, 2021

















- Study of one-dimensional subfiltrations along the time and scaling parameter to obtain persistence information.
- This allows us to apply one-parameter persistent homology



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Betti numbers + ranks of transition maps

Barcodes of subfiltrations

Multifiltered Simplicial Complexes and Multigraded Modules

Definition (Partial order on \mathbb{N}^n)

For $(u_1, \ldots, u_n), (v_1, \ldots, v_n) \in \mathbb{N}^n$, we write

$$(u_1,\ldots,u_n) \preceq (v_1,\ldots,v_n)$$

if $u_i \leq v_i$ for all $i \in \{1, \ldots, n\}$.

Definition (*n***-filtered simplicial complex)**

Let X be a finite simplicial complex and $n \ge 1$. Then X is called *n*-filtered if there exists a familily of simplicial complexes $(X_u)_{u \in \mathbb{N}^n}$ such that

$$X = \bigcup_{u \in \mathbb{N}^n} X_u \quad \text{and} \quad X_u \subseteq X_v$$

for all $u, v \in \mathbb{N}^n$ with $u \preceq v$.

Definition (Polynomial ring)

For a field \mathbb{F} ,

$$\mathbb{F}[\boldsymbol{x}] := \mathbb{F}[x_1, \dots, x_n]$$

denotes the **polynomial ring in** *n* **variables**. For $v = (v_1, \ldots, v_n) \in \mathbb{N}^n$, we write

$$\boldsymbol{x}^{\boldsymbol{v}} := x_1^{\boldsymbol{v}_1} \cdot \cdots \cdot x_n^{\boldsymbol{v}_n}$$

Definition (*n***-graded Module)**

An $\mathbb{F}[x]$ -module M is called n-graded if M admits a direct sum decomposition into \mathbb{F} -vector spaces

$$M = \bigoplus_{v \in \mathbb{N}^n} M_v$$

such that for all $v, w \in \mathbb{N}^n$,

 $\boldsymbol{x}^{\boldsymbol{v}} \cdot M_{\boldsymbol{w}} \subseteq M_{\boldsymbol{v}+\boldsymbol{w}}.$

Definition (Homogeneous element)

Let M be an n-graded $\mathbb{F}[\mathbf{x}]$ -module and $v \in \mathbb{N}^n$. An element

 $y \in M_v \setminus \{0\}$

is called **homogenous of degree** v.

Definition (Graded homomorphism)

Let N, M be *n*-graded $\mathbb{F}[x]$ -modules. An $\mathbb{F}[x]$ -module homomorphism

$$f: M \longrightarrow N$$

is called graded if for all $v \in \mathbb{N}^n$,

 $f(M_v) \subseteq N_v.$

 $\mathbb{F}[\boldsymbol{x}]$ is *n*-graded over itself where for $u \in \mathbb{N}^n$,

$$\mathbb{F}[{m x}]_u := \langle {m x}^u
angle_{\mathbb{F}}.$$

For $v \in \mathbb{N}^n$, $\mathbb{F}[x](v)$ is defined by shifting the grading of $\mathbb{F}[x]$ via

$$\mathbb{F}[\boldsymbol{x}](v)_{u} := \begin{cases} \langle \boldsymbol{x}^{u-v} \rangle_{\mathbb{F}}, & u \in \mathbb{N}_{\succeq v}^{n} \\ 0, & \text{else} \end{cases}$$

Definition (Associated *n***-graded module)**

If X is a finite n-filtered simplicial complex, then

$$M_{\ell}(X) := \bigoplus_{u \in \mathbb{N}^n} H_{\ell}(X_u, \mathbb{F})$$

defines a f.g. *n*-graded $\mathbb{F}[x]$ -module where the variable action is given via the induced maps on homology

$$\boldsymbol{x}^{v-u}: H_{\ell}(X_u, \mathbb{F}) \longrightarrow H_{\ell}(X_v, \mathbb{F})$$

for $u \leq v$.

Theorem (Realization)

Assume that $\mathbb{F} = \mathbb{F}_p$ where $p \in \mathbb{N}$ is a prime number or that $\mathbb{F} = \mathbb{Q}$. Let M be a f.g. n-graded $\mathbb{F}[x]$ -module. Then for every $\ell \geq 1$, there exists an n-filtered finite simplicial complex X such that

 $M_{\ell}(X) \cong M.$

For a proof see H. A. Harrington, N. Otter, H. Schenck, U. Tillmann, Stratifying multiparameter persistent homology, arXiv 2019.

Conclusion

The study of finite *n*-filtered simplicial complexes translates into the study of f.g. *n*-graded $\mathbb{F}[x]$ -modules.

Invariants

Definition (Invariant)

An invariant is a function

$$\mathcal{I}_n^{\mathbb{F}}: \{ \text{f.g.} n \text{-} \text{graded } \mathbb{F}[\boldsymbol{x}] \text{-} \text{modules} \} /_{\cong} \longrightarrow Q_n^{\mathbb{F}}$$

where $Q_n^{\mathbb{F}}$ is a set. $\mathcal{I}_n^{\mathbb{F}}$ is called

- discrete if $Q_n^{\mathbb{F}} = Q_n^{\mathbb{T}}$ for all fields \mathbb{F}, \mathbb{T} and if $\mathcal{I}_n^{\mathbb{F}}$ has countable image.
- complete if $\mathcal{I}_n^{\mathbb{F}}$ is injective, i.e. each isomorphism class [M] is completely determined by $\mathcal{I}_n^{\mathbb{F}}([M])$.

Theorem (Barcode)

In dimension one (n = 1), the persistence barcode defines a discrete and complete invariant.

• Are there Barcode-like invariants in dimension $n \ge 2$?

Definition (Rank invariant)

Let

$$\mathbb{D}^n := \{(u, v) \in \mathbb{N}^n \times \mathbb{N}^n \mid u \leq v\} \subseteq \mathbb{N}^n \times \mathbb{N}^n$$

be the subset above the diagonal. The assignment

$$\rho_n^{\mathbb{F}}: \{ \text{f.g.} n \text{-graded } \mathbb{F}[\boldsymbol{x}] \text{-modules} \} /_{\cong} \longrightarrow \text{Hom}_{\text{Sets}}(\mathbb{D}^n, \mathbb{N}^2)$$

which maps an isomorphism class [M] to the function

$$\mathbb{D}^n \longrightarrow \mathbb{N}^2$$
, $(u, v) \longmapsto (\operatorname{rank}(\boldsymbol{x}^{v-u} : M_u \to M_v), \dim_{\mathbb{F}}(M_u))$

defines a discrete invariant $\rho_n^{\mathbb{F}}$, the so-called **rank invariant**.

Theorem

In dimension one, the rank invariant $\rho_1^{\mathbb{F}}$ is equivalent to the barcode and hence complete.

Conclusion

The rank invariant $\rho_n^{\mathbb{F}}$ is a discrete generalization of the persistence barcode to dimension $n \ge 2$.

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Theorem

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Conclusion

The rank invariant $\rho_n^{\mathbb{F}}$ is a discrete generalization of the persistence barcode to dimension $n \ge 2$.

- Is the rank invariant $\rho_n^{\mathbb{F}}$ complete for $n \geq 2$?
- Unfortunenately, the answer is no.

Goal

Show that if $n \ge 2$ there exists **no discrete and complete invariant** for

 $\{\text{f.g.}\,n\text{-}\text{graded}\,\mathbb{F}[\boldsymbol{x}]\text{-}\text{modules}\}\,/_{\cong}$

Free Hulls and Graded Free Resolutions

Definition (*n***-dimensional multiset)**

An *n*-dimensional multiset is a pair $\xi = (V, \mu)$ where $V \subseteq \mathbb{N}^n$ and $\mu : V \to \mathbb{N}_{\geq 1}$ is a function such that

$$\xi = (V, \mu) = \bigcup_{v \in V} \{ (v, 1), \dots, (v, \mu(v)) \}.$$

 μ is also called **the mulitplicity function of** ξ .

Proposition

Every f.g. n-graded free $\mathbb{F}[x]$ -module is isomorphic to

$$\mathcal{F}_n^{\mathbb{F}}(\xi) := \bigoplus_{v \in V} \mathbb{F}[\boldsymbol{x}](v)^{\mu(v)}$$

where $\xi = (V, \mu)$ is a finite *n*-dimensional multiset.

 ${\mathcal X}$ \mathbb{F} \mathbb{F} 0

$$\xi = \{(1,1),(2,1)\}$$
$$\mathcal{F}_1^{\mathbb{F}}(\xi) = \mathbb{F}[x](1) \oplus \mathbb{F}[x](2)$$



• Recall that by the **structure theorem** every f.g. one-graded $\mathbb{F}[x]$ -module M admits a graded isomorphism

$$M \cong \bigoplus_{i=1}^{m} \bigoplus_{j=1}^{d_i} \mathbb{F}[x] / \langle x^{t_{i,j}} \rangle_{\mathbb{F}[x]}(v_{i,j}) \oplus \bigoplus_{i=m+1}^{r} \bigoplus_{j=1}^{d_i} \mathbb{F}[x](v_{i,j}).$$

• Thus, we obtain a commutative diagram:



• ξ_0 corresponds to the start points of the **barcode** of M and ξ_1 to the endpoints.

- What about $n \ge 2$?
- We have a graded exact sequence

$$\mathcal{F}_n^{\mathbb{F}}(\xi_1) \longrightarrow \mathcal{F}_n^{\mathbb{F}}(\xi_0) \longrightarrow M$$

• **Problem:** in general, the left arrow is not injective. The reason is that for $n \ge 2$, submodules of free $\mathbb{F}[x]$ -modules are generally not free again.

• Nonetheless, M admits a **minimal graded free resolution**

$$\cdots \longrightarrow \mathcal{F}_n^{\mathbb{F}}(\xi_2) \longrightarrow \mathcal{F}_n^{\mathbb{F}}(\xi_1) \longrightarrow \mathcal{F}_n^{\mathbb{F}}(\xi_0) \longrightarrow M$$

- Here **minimal** means that each arrow maps a homogeneous basis of $\mathcal{F}_n^{\mathbb{F}}(\xi_i)$ to a minimal system of homogeneous generators of its image.
- The multisets ξ_i only depend on the isomorphism class of M. The ξ_i are also called **the** *i*-**th type of** M and we write

$$\operatorname{Type}_i(M) = \xi_i.$$

• $\mathcal{F}_n^{\mathbb{F}}(\xi_0)$ is also called **the free hull of** M. It keeps track of the degree and number of a minimal system of homogeneous generators of M.

Goal

Show that for $n \ge 2$ there exists **no discrete and complete invariant** for

 $\{\text{f.g.} n\text{-}\text{graded } \mathbb{F}[x]\text{-}\text{modules}\} /\cong$

Definition

Let

 $I_n^{\mathbb{F}}(\xi_0,\xi_1) \subseteq \{\text{f.g. } n\text{-}\text{graded } \mathbb{F}[\boldsymbol{x}]\text{-}\text{modules}\}/\cong$

be the subset of all [M] such that $Type_0(M) = \xi_0$ and $Type_1(M) = \xi_1$.

Goal (refined)

Show that for $n \ge 2$, there exist mulitsets ξ_0 and ξ_1 such that $I_n^{\mathbb{F}}(\xi_0, \xi_1)$ is uncountable if \mathbb{F} is uncountable.

Idea

Parameterize $I_n^{\mathbb{F}}(\xi_0, \xi_1)$ as a subset of a product of **Grassmannians** together with a group action of $\operatorname{Aut}(\mathcal{F}_n^{\mathbb{F}}(\xi_0))$.

Parameterization

 As a consequence of the *n*-graded version of Nakayama's Lemma (see *E. Miller, B. Sturmfels, Combinatorial Commutative Algebra, 2005*), we have the following:

Proposition

Let M be a finitely generated n-graded $\mathbb{F}[x]$ -module. Then

 $p: \mathcal{F}_n^{\mathbb{F}}(\xi_0) \longrightarrow M$

is a free hull of M (i.e. p maps a homogeneous basis to a minimal set of homogeneous generators of M), if and only if

$$\mathrm{id}_{\mathbb{F}} \otimes_{\mathbb{F}[\boldsymbol{x}]} p : \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} \mathcal{F}_n^{\mathbb{F}}(\xi_0) \longrightarrow \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} M$$

is an isomorphism of *n*-graded \mathbb{F} -vector spaces. Here $\mathbb{F}[x]$ acts on \mathbb{F} by setting the variable action identical to zero.

Theorem (Parameterization, Part 1)

Let

$$S_n^{\mathbb{F}}(\xi_0,\xi_1) := \left\{ \begin{array}{ll} L \subseteq \mathcal{F}_n^{\mathbb{F}}(\xi_0) \text{ graded submodule}: \\ 1. \quad \text{Type}_0(L) = \xi_1 \\ 2. \quad \text{im} \left(\mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} L \to \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} \mathcal{F}_n^{\mathbb{F}}(\xi_0) \right) = 0 \end{array} \right\}.$$

We have a bijection of sets

Theorem (Parameterization, Part 1)

Let

$$S_{n}^{\mathbb{F}}(\xi_{0},\xi_{1}) := \left\{ \begin{array}{ll} L \subseteq \mathcal{F}_{n}^{\mathbb{F}}(\xi_{0}) \text{ graded submodule}: \\ 1. \quad \operatorname{Type}_{0}(L) = \xi_{1} \\ 2. \quad \operatorname{im} \left(\mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} L \to \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} \mathcal{F}_{n}^{\mathbb{F}}(\xi_{0}) \right) = 0 \end{array} \right\}$$

We have a bijection of sets

• Condition 2, which we also call **tensor-condition**, ensures that $\mathcal{F}_n^{\mathbb{F}}(\xi_0)$ is a free hull of $\mathcal{F}_n^{\mathbb{F}}(\xi_0)/L$ or equivalently that $\operatorname{Type}_0(\mathcal{F}_n^{\mathbb{F}}(\xi_0)/L) = \xi_0$.





Theorem (Parameterization, Part 1)

Let

$$S_n^{\mathbb{F}}(\xi_0,\xi_1) := \left\{ \begin{array}{ll} L \subseteq \mathcal{F}_n^{\mathbb{F}}(\xi_0) \text{ graded submodule}: \\ 1. \quad \text{Type}_0(L) = \xi_1 \\ 2. \quad \text{im} \left(\mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} L \to \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} \mathcal{F}_n^{\mathbb{F}}(\xi_0) \right) = 0 \end{array} \right\}.$$

We have a bijection of sets

Proposition (Automorphism group)

Recall that $\xi_0 = (V_0, \mu_0)$. Let

$$\operatorname{Aut}_{\leq}^{\mathbb{F}}(\xi_{0}) := \left\{ \begin{array}{l} f \in \operatorname{Aut}\left(\bigoplus_{v \in V_{0}} \mathbb{F}^{\mu_{0}(v)}\right) :\\ f\left(\mathbb{F}^{\mu_{0}(v)}\right) \subseteq \bigoplus_{w \leq v} \mathbb{F}^{\mu_{0}(w)} \text{ for all } v \in V_{0} \end{array} \right\}$$

Then

$$\operatorname{Aut}(\mathcal{F}_n^{\mathbb{F}}(\xi_0)) \cong \operatorname{Aut}_{\preceq}^{\mathbb{F}}(\xi_0)$$

Example

Let

$$\xi_0 = \{(v, 1), \dots, (v, \mu_0(v))\}.$$

Then

$$\operatorname{Aut}_{\preceq}^{\mathbb{F}}(\xi_0) = \operatorname{GL}_{\mu_0(v)}(\mathbb{F}).$$

The formula

$$f\left(\mathbb{F}^{\mu_0(v)}\right) \subseteq \bigoplus_{w \leq v} \mathbb{F}^{\mu_0(w)}$$

can be interpreted as a vanishing condition on the entries of the transformation matrix of $f \in Aut_{\leq}^{\mathbb{F}}(\xi_0)$:

$$\xi_0 = \{(1,1), (1,2), (2,1), (3,1)\}$$

$$\begin{pmatrix} a_{21} & a_{22} & a_{23} & a_{24} \\ a_{21} & a_{22} & a_{23} & a_{24} \\ 0 & 0 & a_{33} & a_{34} \\ 0 & 0 & 0 & a_{44} \end{pmatrix} \begin{pmatrix} 1 \le 1 & 1 \le 1 & 1 \le 2 & 1 \le 3 \\ 1 \le 1 & 1 \le 1 & 1 \le 2 & 1 \le 3 \\ 2 \nleq 1 & 2 \nleq 1 & 2 \le 2 & 2 \le 3 \\ 3 \nleq 1 & 3 \nleq 1 & 3 \nleq 2 & 3 \le 3 \end{pmatrix}$$

The formula

$$f\left(\mathbb{F}^{\mu_0(v)}\right) \subseteq \bigoplus_{w \preceq v} \mathbb{F}^{\mu_0(w)}$$

can be interpreted as a vanishing condition on the entries of the transformation matrix of $f \in Aut_{\leq}^{\mathbb{F}}(\xi_0)$:

 $\xi_0 = \{((0,3),1), ((1,3),1), ((0,4),1)\}$

$$\begin{pmatrix} a_{11} & a_{12} & a_{13} \\ 0 & a_{22} & 0 \\ 0 & 0 & a_{33} \end{pmatrix} \begin{pmatrix} (0,3) \leq (0,3) \leq (0,3) \leq (1,3) & (0,3) \leq (0,4) \\ (1,3) \nleq (0,3) & (1,3) \leq (1,3) & (1,3) \nleq (0,4) \\ (0,4) \nleq (0,3) & (0,4) \nleq (1,3) & (0,4) \leq (0,4) \end{pmatrix}$$

Theorem (Parameterization, Part 1)

Let

$$S_n^{\mathbb{F}}(\xi_0,\xi_1) := \left\{ \begin{array}{ll} L \subseteq \mathcal{F}_n^{\mathbb{F}}(\xi_0) \text{ graded submodule}: \\ 1. \quad \text{Type}_0(L) = \xi_1 \\ 2. \quad \text{im} \left(\mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} L \to \mathbb{F} \otimes_{\mathbb{F}[\boldsymbol{x}]} \mathcal{F}_n^{\mathbb{F}}(\xi_0) \right) = 0 \end{array} \right\}.$$

We have a bijection of sets

• Recall that $\xi_1 = (V_1, \mu_1)$. Let $L \in S_n^{\mathbb{F}}(\xi_0, \xi_1)$. Now map L to the familiy of \mathbb{F} -vector spaces

$$(L_w)_{w \in V_1} \in \prod_{w \in V_1} \operatorname{Grass}_{\mathbb{F}}(\dim_{\mathbb{F}}(\mathcal{F}_n^{\mathbb{F}}(\xi_1)_w), |\xi_0|)$$

• $(L_w)_{w \in V_1}$ defines a so-called relation family over (ξ_0, ξ_1) .

Definition (Relation family)

Recall that $\xi_0 = (V_0, \mu_0)$ and $\xi_1 = (V_1, \mu_1)$. A relation family is a family

$$(L_w)_{w \in V_1} \in \prod_{w \in V_1} \operatorname{Grass}_{\mathbb{F}}(\dim_{\mathbb{F}}(\mathcal{F}_n^{\mathbb{F}}(\xi_1)_w), |\xi_0|)$$

such that for all $w \in V_1$:

• $\pi_v(L_w) = 0$ for all $v \in V_0$ with $v \not\prec w$ where $\pi_v : \mathbb{F}^{|\xi_0|} \to \mathbb{F}^{\mu_0(v)}$ denotes the canonical projection (note that $\mathbb{F}^{|\xi_0|} = \bigoplus_{v \in V_0} \mathbb{F}^{\mu_0(v)}$).

• if
$$v \in V_1$$
 with $v \prec w$, then $L_v \subseteq L_w$.

• dim_{$$\mathbb{F}$$} $\left(L_w / \sum_{v \prec w} L_v\right) = \mu_1(w)$.

 $Y_n^{\mathbb{F}}(\xi_0,\xi_1)$ denotes the set of all relations families over (ξ_0,ξ_1) .

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Theorem (Parameterization, Part 2)

We have a bijection of sets

$$S_n^{\mathbb{F}}(\xi_0,\xi_1) \xrightarrow{\sim} Y_n^{\mathbb{F}}(\xi_0,\xi_1)$$

where L mapped to the familiy of \mathbb{F} -vector spaces $(L_w)_{w \in V_1}$. The inverse is given by mapping $(L_w)_{w \in V_1}$ to $\langle \bigcup_{w \in V_1} L_w \rangle_{\mathbb{F}[x]}$. This leads to a bijection of sets on the orbit spaces

$$S_n^{\mathbb{F}}(\xi_0,\xi_1)/\operatorname{Aut}(\mathcal{F}_n^{\mathbb{F}}(\xi_0)) \xrightarrow{\sim} Y_n^{\mathbb{F}}(\xi_0,\xi_1)/\operatorname{Aut}_{\preceq}^{\mathbb{F}}(\xi_0).$$

Thus,

$$I_n^{\mathbb{F}}(\xi_0,\xi_1) \cong Y_n^{\mathbb{F}}(\xi_0,\xi_1) / \operatorname{Aut}_{\preceq}^{\mathbb{F}}(\xi_0).$$







$$\xi_0 = \{((0,0),1), ((0,0),2)\}$$

$$\xi_1 = \{((3,0),1), ((2,1),1), ((1,2),1), ((0,3),1)\}$$

• We have

$$Y_2^{\mathbb{F}}(\xi_0,\xi_1)/\operatorname{Aut}_{\leq}^{\mathbb{F}}(\xi_0) = \operatorname{Grass}_{\mathbb{F}}(1,2)^4/\operatorname{GL}_2(\mathbb{F}) = \mathbb{P}_1(\mathbb{F})^4/\operatorname{GL}_2(\mathbb{F})$$

which is uncountable if \mathbb{F} is uncountable. Thus,

$$\{\text{f.g. }n\text{-graded }\mathbb{F}[\boldsymbol{x}]\text{-modules}\} \geq I_2^{\mathbb{F}}(\xi_0,\xi_1) \cong \mathbb{P}_1(\mathbb{F})^4/\mathrm{GL}_2(\mathbb{F})$$

is uncountable if \mathbb{F} is uncountable which shows that there is **no discrete and complete invariant.**

• For n > 2, append zeros to the entries of ξ_0 and ξ_1 .

Thanks for your attention!