

# A New Algorithm Producing Generalized Sturm Sequence for Polynomials with Symbolic Coefficients\*

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## Abstract

As we know, Sturm sequence plays a very important role in real roots classification of algebraic equations, but it is very difficult to compute the Sturm sequence for polynomials with symbolic coefficients. In [GLRR89], González L. et al introduced the Sturm-Habicht sequence which generalized Habicht's work [H48], the polynomials in this sequence are multiple of polynomials of the Sturm sequence with some changes of signs and repetitions. In [YHZ96], Yang L. et al established a complete discriminant sequence from the principal coefficients of subresultant chain. Both of the above sequences are easier to compute compared with the conventional approach, but these sequences are not the Sturm sequence in usual sense because there might be zero-polynomials in these sequences and some revision of signs are needed. In this paper, for a polynomial with symbolic coefficients, we discuss how to produce its generalized Sturm sequence by subresultant chain aided by computer. The obtained sequence contains no zero-polynomials and no revision of signs is needed, it's clear that our sequence is the Sturm sequence properly. As a main theorem in our paper, the sign relation of generalized Sturm sequence and subresultant chain is found and proved firstly, and an algorithm is given for computing the leading coefficients of the generalized Sturm sequence only by principal subresultant coefficients for the infinite interval case.

## 1 Introduction

Let  $I$  be an integral domain,  $I[\mathbf{u}, x]$  be the polynomial ring over  $I$ ,  $\mathbf{u} = u_1, \dots$ .  $A, B \in I(\mathbf{u}, x)$  be polynomials of degree  $m$  and  $n$  respectively with

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**Definition 2** Let  $A, B \in I[\mathbf{u}, x]$  be two polynomials of degree  $m$  and  $n$ , and  $S_k$  ( $0 \leq k < \min(m, n)$ ) be the  $k$ -th subresultant of  $A$  and  $B$  defined as in Definition 1. We call  $S_k$  is defective of degree  $k$  if  $\deg(S_k) = r < k$  and regular otherwise.

**Theorem 1** Let  $S_{n+1}, S_n, \dots, S_0$  be a subresultant chain in  $I[x]$  of  $S_{n+1}$  and  $S_n$ . Let  $S_{j+1}$  be regular and  $S_j$  be defective of degree  $r < j$  (with  $\deg(0) = -1$ ). Then

$$S_{j-1} = S_{j-2} = \dots = S_{r+1} = 0, \quad -1 \leq r < j < n, \quad (1)$$

$$R_{j+1}^{j-r} S_r = \text{lc}(S_j)^{j-r} S_j, \quad 0 \leq r \leq j < n, \quad (2)$$

$$(-1)^{j-r} R_{j+1}^{j-r+2} S_{r-1} = \text{prem}(S_{j+1}, S_j), \quad 0 < r \leq j < n. \quad (3)$$

Where  $\text{prem}(S_{j+1}, S_j)$  stands for the pseudo remainder of  $S_{j+1}$  and  $S_j$ .

The next result gives the general relation of polynomial remainder sequence to the subresultant chain. (See [L82] for the definition of polynomial remainder sequence).

**Theorem 2** Let  $A_1, \dots, A_r$  be a polynomial remainder sequence over  $I[\mathbf{u}, x]$  satisfying for  $e_i, f_i \in I[\mathbf{u}]$ , both non-zero

$$e_i A_i = Q_i A_{i+1} + f_i A_{i+2} \quad (1 \leq i \leq r-2)$$

Let  $n_1, n_2, \dots, n_r$  be the degree sequence and let  $c_1, c_2, \dots, c_r$  be the leading coefficient  $\text{lc}(A_i)$  sequence of  $(A_1, \dots, A_r)$ . For any  $j$ ,  $2 \leq j \leq r-1$ ,

$$S_k = 0, \quad 0 \leq k < n_r, \quad n_{j+1} < k < n_j - 1,$$

$$\left\{ \prod_{i=1}^{j-1} e_i^{n_{i+1}-n_{j+1}} \right\} S_{n_{j-1}} = \left\{ \prod_{i=1}^{j-1} (-1)^{(n_i-n_j+1)(n_{i+1}-n_j+1)} f_i^{n_{i+1}-n_j+1} c_{i+1}^{n_i-n_{i+2}} \right\} \times c_j^{-n_j+n_{j+1}+1} A_{j+1} \quad (1 < j < r) \quad (4)$$

$$\left\{ \prod_{i=1}^{j-1} e_i^{n_{i+1}-n_{j+1}} \right\} S_{n_{j+1}} = \left\{ \prod_{i=1}^{j-1} (-1)^{(n_i-n_{j+1})(n_{i+1}-n_{j+1})} f_i^{n_{i+1}-n_{j+1}} c_i^{n_i-n_{i+2}} \right\} \times c_{j+1}^{n_j-n_{j+1}-1} A_{j+1} \quad (1 < j < r) \quad (5)$$

## 2 Generalized Sturm Sequence and Subresultant Chain

The goal of this section is to establish a sign relation of generalized Sturm sequence with the subresultant chain of a given polynomial and its derivative. Tarski's concept of generalized Sturm sequence is a very important tool in automated theorem proving, real algebraic geometry and many other applications [T51].

**Definition 3** Let  $A_1, A_2 \in I[\mathbf{u}, x]$ . The generalized Sturm sequence (G.S.S. for short) of  $A_1$  and  $A_2$  is a polynomial remainder sequence  $A_1, A_2, \dots$  satisfying

$$e_i A_i = Q_i A_{i+1} + f_i A_{i+2}, \quad e_i = c_{i+1}^{2*(n_i - n_{i+1} + 1)}, \quad f_i = -1$$

where  $Q_i \in I[\mathbf{u}, x]$ ,  $n_i = \deg(A_i)$ ,  $c_i = \text{lc}(A_i)$ .

For convenience, we introduce a similar relation for two polynomials as following.

**Definition 4** Let  $A, B \in I[\mathbf{u}, x]$ ,  $A$  and  $B$  are called similar,  $A \sim B$ , if and only if there exist non-zero  $a, b \in I[\mathbf{u}]$  such that  $a^2 A = b^2 B$ .

It is clear that similar is an equivalence relation, and satisfies the following two properties:

1. If  $A, B, C, D \in I[\mathbf{u}, x]$  and  $A \sim B$ ,  $C \sim D$ , then  $A \cdot C \sim B \cdot D$ .
2. If  $A, B \in I[\mathbf{u}, x]$  and  $A \sim B$ , then  $\text{lc}(A) \sim \text{lc}(B)$ .

The following is our main result.

**Theorem 3** Let  $A_i$  be the generalized Sturm sequence defined above,  $S_k$  be the  $k$ -th subresultant of  $A_1$  and  $A_2$ . Then

$$S_{n_{j-1}} S_{n_j} \sim (-1)^{n_1 - n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i - n_{i+2}} \right\} A_j A_{j+1}$$

**Proof:** Let  $\delta_i = n_i - n_{i+1}$ . According to the definition of Generalized Sturm Sequence and Theorem 2, we have

$$\begin{aligned} \prod_{i=1}^{j-1} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j+1)} S_{n_{j-1}} &= \prod_{i=1}^{j-1} (-1)^{(n_i-n_j+1)(n_{i+1}-n_j+1)} f_i^{(n_{i+1}-n_j+1)} c_{i+1}^{n_i-n_{i+2}} \\ &\quad \times c_j^{-n_j+n_{j+1}+1} A_{j+1}, \end{aligned} \quad (6)$$

$$\begin{aligned} \prod_{i=1}^{j-2} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j)} S_{n_j} &= \prod_{i=1}^{j-2} (-1)^{(n_i-n_j)(n_{i+1}-n_j)} f_i^{(n_{i+1}-n_j)} c_i^{n_i-n_{i+2}} \\ &\quad \times c_j^{n_{j-1}-n_j-1} A_j. \end{aligned} \quad (7)$$

It is clear that

$$\begin{aligned} \prod_{i=1}^{j-1} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j+1)} S_{n_{j-1}} &\sim S_{n_{j-1}}, \\ \prod_{i=1}^{j-2} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j)} S_{n_j} &\sim S_{n_j}, \end{aligned}$$

and therefore

$$\left\{ \prod_{i=1}^{j-1} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j+1)} S_{n_{j-1}} \right\} \cdot \left\{ \prod_{i=1}^{j-2} c_{i+1}^{2(\delta_i+1)(n_{i+1}-n_j)} S_{n_j} \right\} \sim S_{n_{j-1}} S_{n_j}.$$

On the other hand, by substituting  $f_i = -1$  into the right sides of (6) and (7) and multiplying the results, we have

$$\begin{aligned} & \left\{ \prod_{i=1}^{j-1} (-1)^{(n_i-n_j+1)(n_{i+1}-n_j+1)} (-1)^{(n_{i+1}-n_j+1)} c_{i+1}^{n_i-n_{i+2}} \times c_j^{-n_j+n_{j+1}+1} A_{j+1}, \right\} \\ & \cdot \left\{ \prod_{i=1}^{j-2} (-1)^{(n_i-n_j)(n_{i+1}-n_j)} (-1)^{(n_{i+1}-n_j)} c_i^{n_i-n_{i+2}} \times c_j^{n_{j-1}-n_j-1} A_j \right\} \\ = & \left\{ \prod_{i=1}^{j-2} (-1)^{(n_i-n_j)(n_{i+1}-n_j+1)} c_{i+1}^{n_i-n_{i+2}} \right\} \cdot (-1)^{n_{j-1}-n_j} c_j^{n_{j-1}-n_j+1} A_{j+1} \\ & \cdot \left\{ \prod_{i=1}^{j-2} (-1)^{(n_i-n_j+1)(n_{i+1}-n_j)} c_i^{n_i-n_{i+2}} \right\} \cdot c_j^{n_{j-1}-n_j-1} A_j \\ \sim & (-1)^{n_{j-1}-n_j} \left\{ \prod_{i=1}^{j-2} (-1)^{2(n_i-n_j)(n_{i+1}-n_j)+n_i+n_{i+1}-2n_j} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} A_j A_{j+1} \\ = & (-1)^{n_{j-1}-n_j} \left\{ \prod_{i=1}^{j-2} (-1)^{n_i+n_{i+1}} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} A_j A_{j+1} \\ = & (-1)^{n_1-n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} A_j A_{j+1} \end{aligned}$$

Hence,

$$S_{n_{j-1}} S_{n_j} \sim (-1)^{n_1-n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} A_j A_{j+1},$$

as claimed in Theorem 3.

### 3 Leading Coefficients of G.S.S. and Principal Subresultant Coefficients

In many cases, people only concern about the real root classification of a polynomial in the whole interval  $(-\infty, +\infty)$ , the case for closed interval  $[a, b]$  can also be transformed into infinite interval case. In fact, the Sturm sequence of a polynomial in  $(-\infty, +\infty)$  is just the leading coefficients of G.S.S., and the subresultant chain corresponds to principal subresultant coefficients. Let  $x \rightarrow \infty$  in Theorem 3, we get the following corollary for the leading coefficients of G.S.S. and principal subresultant coefficients.

**Corollary 1** Let  $\{R_j\}$  be the principal subresultant coefficients of a given polynomial and its derivative, and  $\{c_j\}, \{n_j\}$  be the leading coefficients and degrees of the generalized Sturm sequence respectively, then

$$R_{n_{j-1}}R_{n_j} \sim (-1)^{n_1-n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} c_j c_{j+1} \quad (8)$$

for all  $j \geq 2$ .

**Corollary 2** For any  $j \geq 2$ , if the number of zeros between  $R_{n_j}$  and  $R_{n_{j+1}}$  in the subresultant chain  $R_{n_1}, \dots, R_0$  is odd, then

$$R_{n_{j+1}}R_{n_j} \sim (-1)^{n_1-n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} c_j c_{j+1}. \quad (9)$$

**Proof:** By substituting  $j$  and  $r$  with  $n_j - 1$  and  $n_{j+1}$  into (2) in Theorem 1, we obtain

$$R_{n_j}^{n_j-n_{j+1}-1} \cdot S_{n_{j+1}} = \text{lc}(S_{n_j-1})^{n_j-n_{j+1}-1} \cdot S_{n_j-1} = R_{n_j-1}^{n_j-n_{j+1}-1} \cdot S_{n_j-1},$$

which implies that

$$R_{n_j}^{n_j-n_{j+1}-1} \cdot R_{n_{j+1}} = R_{n_j-1}^{n_j-n_{j+1}}.$$

It follows immediately that

$$\left( R_{n_{j-1}}R_{n_j} \right)^{n_j-n_{j+1}} \sim R_{n_j}R_{n_{j+1}}.$$

If the number of zeros between  $R_{n_j}$  and  $R_{n_{j+1}}$  in the principal subresultant chain is odd, i.e.,  $R_{n_j-1} \neq 0$ , and

$$R_{n_{j-2}} = \dots = R_{n_{j+1}+1} = 0, \quad l = (n_j - 2) - (n_{j+1} + 1) + 1 = 1 \pmod{2}$$

then  $n_j - n_{j+1} = l + 2 = 1 \pmod{2}$ . Hence, we have

$$R_{n_{j-1}}R_{n_j} \sim R_{n_j}R_{n_{j+1}}$$

and

$$R_{n_{j+1}}R_{n_j} \sim (-1)^{n_1-n_j} \left\{ \prod_{i=1}^{j-2} (c_i c_{i+1})^{n_i-n_{i+2}} \right\} c_j c_{j+1}.$$

**Corollary 3** If  $R_j \neq 0$  and  $S_j$  is regular for all  $j \geq 2$ , then

$$R_{n_{j+1}}R_{n_j} \sim (-1)^{n_1-n_j} c_j c_{j+1}. \quad (10)$$

**Proof:** Because all  $R_j \neq 0$  and  $S_j$  is regular, then  $R_{n_{j-1}} = R_{n_{j+1}}$  and hence  $n_j - n_{j+2} = 2$ , by Corollary 1, we have

$$R_{n_{j+1}}R_{n_j} \sim (-1)^{n_1-n_j} c_j c_{j+1}.$$

## 4 Algorithm and Implementation

In this section, we give an algorithm for a polynomial to produce the sequence of  $\{c_j\}$  by its non-zero principal subresultant coefficients  $\{R_{n_j}\}$ .

Before stating our algorithm, we firstly demonstrate how to obtain the sequence of  $\{n_j\}$  from the all principal subresultant coefficients  $\{R_j\}$ . By Theorem 1, it is obvious that any  $n_j$  should satisfy  $R_{n_j} \neq 0$  and  $R_{n_j-1} \neq 0$ . Therefore, all zero elements and all non-zero elements of which successors are zeros in  $\{R_j\}$  must be removed, the resulting sequence is just the sequence  $\{R_{n_j}\}$ . The following example is given to explain above procedure. Suppose the given  $R_j$  sequence is:

$$[R_{15} \ R_{14} \ R_{13} \ 0 \ 0 \ 0 \ R_9 \ R_8 \ 0 \ 0 \ R_5 \ R_4 \ R_3 \ 0 \ 0 \ 0],$$

in which  $R_{12} = R_{11} = R_{10} = R_7 = R_6 = R_2 = R_1 = R_0 = 0$ .

Because the successors of  $R_{13}, R_8$  and  $R_3$  are  $R_{10}, R_6$  and  $R_2$  respectively, we remove above zero elements and  $R_{13}, R_8$  and  $R_3$ , get

$$[R_{15} \ R_{14} \ R_9 \ R_5 \ R_4],$$

and

$$[n_1 \ n_2 \ n_3 \ n_4 \ n_5] = [15 \ 14 \ 9 \ 5 \ 4]$$

The following is our algorithm:

**Step 0.** Input a polynomial  $f = a_1x^{d_1} + \cdots + a_{d_1+1}$ ,  
let  $g = f' = d_1a_1x^{d_1-1} + \cdots + a_{d_1}$ , and  $c_1 = a_1, c_2 = d_1a_1$   
and  $R_{d_1} = a_1, R_{d_1-1} = d_1a_1$ .

**Step 1** Compute  $[R_{d_1}, \cdots, R_0]$ , the principal subresultant coefficients of  $f$  and  $g$ .

**Step 2.** Remove all zero elements and all non-zero elements of which successors are zeros in  $[R_{d_1}, \cdots, R_0]$ , get  $\{n_j\}$  sequences.

**Step 3.** Construct all  $c_{j+1}, 2 \leq j$  according to the recursive formula given in Corollary 1.

Besides, if  $\{R_{n_j}\}$  satisfies the condition of Corollary 2 or Corollary 3, above algorithm can be simplified. For explaining clearly the algorithm in defective case, we give a polynomial with constant coefficients as an example.

**Example 1.** Consider the following polynomial of degree 16:

$$f(x) = x^{16} + x^{15} - x^{14} - x^3 + 2x - 1$$

Step 1: The principal subresultant coefficients of  $f(x)$  and  $f'(x)$  are

$$\begin{aligned} & [1, 16, -47, -70, 910, 0, 0, 0, 0, 0, 0, -57101150470, 186542099873397, \\ & \quad -153071917876088452, -54432582050918473944, \\ & \quad 9286590776365807319304, -5673497056650749683440] \\ \sim & [1, 1, -1, -1, 1, 0, 0, 0, 0, 0, -1, 1, -1, -1, 1, -1] \end{aligned}$$

Step 2: Computing  $n_j$  for  $j = 1, 2, \dots$ ,

$$n_1 = 16, n_2 = 15, n_3 = 14, n_4 = 13, n_5 = 5, n_6 = 4, n_7 = 3, n_8 = 2, n_9 = 1, n_{10} = 0$$

Step 3: Computing  $c_j$  recursively by using Corollary 1:

$$\text{Initial: } c_1 = 1,$$

$$c_2 \sim 1;$$

$$(1): c_2 c_3 \sim (-1)^{n_1 - n_2} R_{n_2 - 1} R_{n_2} = (-1) \cdot R_{14} R_{15} \sim 1,$$

$$\Rightarrow c_3 \sim 1;$$

$$(2): c_3 c_4 \sim (-1)^{n_1 - n_3} R_{n_3 - 1} R_{n_3} \cdot (c_1 c_2)^{n_1 - n_3} \sim R_{13} R_{14} \sim 1,$$

$$\Rightarrow c_4 \sim 1;$$

$$(3): c_4 c_5 \sim (-1)^{n_1 - n_4} R_{n_4 - 1} R_{n_4} \cdot \prod_{i=1}^2 (c_i c_{i+1})^{n_i - n_{i+2}} \sim (-1) \cdot R_{12} R_{13} \sim 1,$$

$$\Rightarrow c_5 \sim 1;$$

$$(4): c_5 c_6 \sim (-1)^{n_1 - n_5} R_{n_5 - 1} R_{n_5} \cdot \prod_{i=1}^3 (c_i c_{i+1})^{n_i - n_{i+2}} \sim (-1) \cdot R_4 R_5 \sim 1$$

$$\Rightarrow c_6 \sim 1$$

$$(5): c_6 c_7 \sim (-1)^{n_1 - n_6} R_{n_6 - 1} R_{n_6} \cdot \prod_{i=1}^4 (c_i c_{i+1})^{n_i - n_{i+2}} \sim R_3 R_4 \sim -1$$

$$\Rightarrow c_7 \sim -1$$

$$(6): c_7 c_8 \sim (-1)^{n_1 - n_7} R_{n_7 - 1} R_{n_7} \cdot \prod_{i=1}^5 (c_i c_{i+1})^{n_i - n_{i+2}} \sim (-1) \cdot R_2 R_3 \sim -1$$

$$\Rightarrow c_8 \sim 1$$

$$(7): c_8 c_9 \sim (-1)^{n_1 - n_8} R_{n_8 - 1} R_{n_8} \cdot \prod_{i=1}^6 (c_i c_{i+1})^{n_i - n_{i+2}} \sim R_1 R_2 \sim -1$$

$$\Rightarrow c_9 \sim -1$$

$$(8): c_9 c_{10} \sim (-1)^{n_1 - n_9} R_{n_9 - 1} R_{n_9} \cdot \prod_{i=1}^7 (c_i c_{i+1})^{n_i - n_{i+2}} \sim (-1) \cdot R_0 R_1 \sim 1$$

$$\Rightarrow c_{10} \sim -1$$

**Example 2.** Let  $p(x)$  be the general polynomial of degree 7:

$$p(x) = x^7 + ax^5 + bx^4 + cx^3 + dx^2 + ex + f$$



Then the principal subresultant coefficients of  $p(x)$  and  $p'(x)$  are

$$\begin{aligned}
R_7 &= 1, \\
R_6 &= 7, \\
R_5 &= 14a, \\
R_4 &= 20a^3 + 63b^2 - 56ac, \\
R_3 &= -54b^4 + 207b^2ac + 189b^2e - 8b^2a^3 - 420bdc - 80ba^2d + 20ca^4 \\
&\quad - 168eca + 60ea^3 + 244c^3 - 136a^2c^2 + 175ad^2, \\
R_2 &\text{ is a polynomial of 51 terms,} \\
R_1 &\text{ is a polynomial of 159 terms,} \\
R_0 &\text{ is a polynomial of 320 terms.}
\end{aligned}$$

In this example we have  $n_j = 8 - j$  for  $j = 1, 2, \dots, 8$ . The following is the procedure for computing  $c_j$ .

$$\begin{aligned}
\text{Initial: } \quad c_1 &= 1, \\
c_2 &\sim 1; \\
(1): \quad c_2c_3 &\sim (-1)^{n_1-n_2} R_{n_3}R_{n_2} = (-1) \cdot 14a, \\
&\Rightarrow c_3 \sim -a; \\
(2): \quad c_3c_4 &\sim (-1)^{n_1-n_3} R_{n_4}R_{n_3} = 14a \cdot (20a^3 + 63b^2 - 56ac), \\
&\Rightarrow c_4 \sim -(20a^3 + 63b^2 - 56ac); \\
(3): \quad c_4c_5 &\sim (-1)^{n_1-n_4} R_{n_5}R_{n_4} = (-1) \cdot (20a^3 + 63b^2 - 56ac) \cdot R_3, \\
&\Rightarrow c_5 \sim R_3; \\
(4): \quad c_5c_6 &\sim (-1)^{n_1-n_5} R_{n_6}R_{n_5} = R_2 \cdot R_3, \\
&\Rightarrow c_6 \sim R_2; \\
(5): \quad c_6c_7 &\sim (-1)^{n_1-n_6} R_{n_7}R_{n_6} = (-1) \cdot R_1 \cdot R_2, \\
&\Rightarrow c_7 \sim -R_1; \\
(6): \quad c_7c_8 &\sim (-1)^{n_1-n_7} R_{n_8}R_{n_7} = R_0 \cdot R_1, \\
&\Rightarrow c_8 \sim -R_0.
\end{aligned}$$

This algorithm has been implemented by symbolic software Maple. Many examples we computed show that the algorithm is efficient, and practical for studying the real-root classification and proving the inequality in real algebra domain [CH91].

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