

## Questions to understand the topic of the lecture

- ▶ If exists a symmetric form that corresponds to a given quadratic form, then it is unique.
- ▶ How the coefficients of an analytic expression change if we change the basis?
- ▶ Is it true that no form over a vector space of characteristic two can be diagonalized?
- ▶ Is it true that if symmetric matrix  $A$  can be diagonalized by  $RAR^T$ , then  $R$  can always be chosen lower triangular?
- ▶ Is it true that when a quadratic form  $g$  on  $V$  over  $\mathbb{R}$  has diagonal matrix with some  $1$  and some  $-1$ , then there exist vectors  $u, w \in V$  such that  $g(u) < 0 < g(w)$ ?

## Bilinear and quadratic forms

**Definition:** Let  $V$  be a vector space over a field  $\mathbb{K}$  and let a mapping  $f : V \times V \rightarrow \mathbb{K}$  satisfies:

- ▶  $\forall \mathbf{u}, \mathbf{v} \in V, \forall a \in \mathbb{K} : f(a\mathbf{u}, \mathbf{v}) = f(\mathbf{u}, a\mathbf{v}) = af(\mathbf{u}, \mathbf{v})$
- ▶  $\forall \mathbf{u}, \mathbf{v}, \mathbf{w} \in V : f(\mathbf{u} + \mathbf{v}, \mathbf{w}) = f(\mathbf{u}, \mathbf{w}) + f(\mathbf{v}, \mathbf{w})$
- ▶  $\forall \mathbf{u}, \mathbf{v}, \mathbf{w} \in V : f(\mathbf{u}, \mathbf{v} + \mathbf{w}) = f(\mathbf{u}, \mathbf{v}) + f(\mathbf{u}, \mathbf{w})$

Then  $f$  is called a *bilinear form* on  $V$ .

A bilinear form is *symmetric* if  $\forall \mathbf{u}, \mathbf{v} \in V : f(\mathbf{u}, \mathbf{v}) = f(\mathbf{v}, \mathbf{u})$ .

A mapping  $g : V \rightarrow \mathbb{K}$  is called a *quadratic form*, if there exists a bilinear form  $f$  such that  $g(\mathbf{u}) = f(\mathbf{u}, \mathbf{u})$  for all  $\mathbf{u} \in V$ .

**Examples:** Any inner product on a space over  $\mathbb{R}$ , *but not over  $\mathbb{C}$ !*

For  $V = \mathbb{Z}_5^2$ , a bilinear form:

$$f(\mathbf{u}, \mathbf{v}) = u_1v_1 + 2u_1v_2 + 4u_2v_1 + 3u_2v_2$$

The corresponding quadratic form:

$$g(\mathbf{u}) = f(\mathbf{u}, \mathbf{u}) = u_1u_1 + 2u_1u_2 + 4u_2u_1 + 3u_2u_2 = u_1^2 + u_1u_2 + 3u_2^2$$

## Matrices of forms

**Definition:** Let  $V$  be a vector space over a field  $\mathbb{K}$  and let  $X = (\mathbf{v}_1, \dots, \mathbf{v}_n)$  be its basis. The *matrix of a bilinear form  $f$  w.r.t. the basis  $X$*  is the matrix  $\mathbf{B}$  defined as  $b_{i,j} = f(\mathbf{v}_i, \mathbf{v}_j)$ .

The matrix of a quadratic form  $g$  is the matrix of a symmetric bilinear form  $f$  corresponding to  $g$ , if such symmetric  $f$  exists.

**Example:** For  $V = \mathbb{Z}_5^2$ , and the canonical basis  $K$ , the bilinear form

$f(\mathbf{u}, \mathbf{v}) = u_1v_1 + 2u_1v_2 + 4u_2v_1 + 3u_2v_2$  has matrix  $\mathbf{B} = \begin{pmatrix} 1 & 2 \\ 4 & 3 \end{pmatrix}$

and  $g(\mathbf{u}) = u_1^2 + u_1u_2 + 3u_2^2$  has matrix  $\mathbf{B} = \begin{pmatrix} 1 & 3 \\ 3 & 3 \end{pmatrix}$

On  $V = \mathbb{Z}_2^2$  the quadratic form  $g(\mathbf{u}) = u_1u_2$  corresponds e.g. to the bilinear form with matrix  $\mathbf{B} = \begin{pmatrix} 0 & 1 \\ 0 & 0 \end{pmatrix}$  but to no symmetric.

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The matrix of a quadratic form  $g$  is the matrix of a symmetric bilinear form  $f$  corresponding to  $g$ , if such symmetric  $f$  exists.

**Observation:**  $b_{i,j} = f(\mathbf{v}_i, \mathbf{v}_j) = \frac{1}{2}(g(\mathbf{v}_i + \mathbf{v}_j) - g(\mathbf{v}_i) - g(\mathbf{v}_j))$

**Proof:**  $g(\mathbf{v}_i + \mathbf{v}_j) = f(\mathbf{v}_i + \mathbf{v}_j, \mathbf{v}_i + \mathbf{v}_j)$   
 $= f(\mathbf{v}_i, \mathbf{v}_i) + f(\mathbf{v}_i, \mathbf{v}_j) + f(\mathbf{v}_j, \mathbf{v}_i) + f(\mathbf{v}_j, \mathbf{v}_j)$   
 $g(\mathbf{v}_i + \mathbf{v}_j) - g(\mathbf{v}_i) - g(\mathbf{v}_j) = f(\mathbf{v}_i, \mathbf{v}_j) + f(\mathbf{v}_j, \mathbf{v}_i)$

**Observation:** The use of matrices of forms:

$$f(\mathbf{u}, \mathbf{v}) = [\mathbf{u}]_X^T \mathbf{B} [\mathbf{v}]_X, \quad g(\mathbf{u}) = [\mathbf{u}]_X^T \mathbf{B} [\mathbf{u}]_X.$$

**Proof:** When  $\mathbf{u} = \sum_{i=1}^n a_i \mathbf{v}_i$  and  $\mathbf{w} = \sum_{j=1}^n b_j \mathbf{v}_j$ , then

$$f(\mathbf{u}, \mathbf{w}) = f\left(\sum_{i=1}^n a_i \mathbf{v}_i, \sum_{j=1}^n b_j \mathbf{v}_j\right) = \sum_{i=1}^n \sum_{j=1}^n a_i f(\mathbf{v}_i, \mathbf{v}_j) b_j = [\mathbf{u}]_X^T \mathbf{B} [\mathbf{w}]_X$$

**Definition:** The *analytic expression* of a bilinear form  $f$  over  $\mathbb{K}^n$  with matrix  $\mathbf{B}$  is the homogeneous polynomial

$$f((x_1, \dots, x_n)^T, (y_1, \dots, y_n)^T) = \sum_{i=1}^n \sum_{j=1}^n b_{i,j} x_i y_j$$

... analogously for quadratic forms and/or relative to a basis  $X$ .

**Observation:** Let  $\mathbf{B}$  be a matrix of a b/q form w.r.t. a basis  $X$ . Then  $[id]_{YX}^T \mathbf{B} [id]_{YX}$  is the matrix of the same form w.r.t.  $Y$ .

**Proof:**  $[\mathbf{u}]_X = [id]_{YX} [\mathbf{u}]_Y$ ,  $[\mathbf{v}]_X = [id]_{YX} [\mathbf{v}]_Y$ ,

$$\begin{aligned} f(\mathbf{u}, \mathbf{v}) &= [\mathbf{u}]_X^T \mathbf{B} [\mathbf{v}]_X = ([id]_{YX} [\mathbf{u}]_Y)^T \mathbf{B} [id]_{YX} [\mathbf{v}]_Y \\ &= [\mathbf{u}]_Y^T [id]_{YX}^T \mathbf{B} [id]_{YX} [\mathbf{v}]_Y. \end{aligned}$$

## Diagonalization of forms

**Theorem:** If  $g$  is a quadratic form on a vector space  $V$  of finite dimension  $n$  over a field  $\mathbb{K}$  other characteristics than  $2$ , then the form  $g$  allows a diagonal matrix  $B$  w.r.t. a suitable basis  $X$ .

(holds also for symmetric bilinear forms)

Rephrased in terms of matrices:

**Theorem:** For any symmetric matrix  $A \in \mathbb{K}^{n \times n}$  with  $\text{char}(\mathbb{K}) \neq 2$  there is a regular matrix  $R$  such that  $R^T A R$  is diagonal.

Compare with the diagonalization of *real* symmetric matrices (of linear maps) — there  $R$  could indeed be *orthogonal*:

$R^T = R^{-1}$ , hence  $R^T A R = R^{-1} A R$ .

**Example:** No way to diagonalize  $\begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$  over  $\mathbb{Z}_2$ ,

but over  $\mathbb{Z}_3$  it is possible:  $\begin{pmatrix} 1 & 1 \\ 1 & 2 \end{pmatrix} \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix} \begin{pmatrix} 1 & 1 \\ 1 & 2 \end{pmatrix} = \begin{pmatrix} 2 & 0 \\ 0 & 1 \end{pmatrix}$

**Theorem:** For any symmetric matrix  $\mathbf{A} \in \mathbb{K}^{n \times n}$  with  $\text{char}(\mathbb{K}) \neq 2$  there is a regular matrix  $\mathbf{R}$  such that  $\mathbf{RAR}^T$  is diagonal.

**Proof:** By induction on  $n$ .

$$\text{Denote } \mathbf{A} = \mathbf{A}_n = \begin{bmatrix} \alpha & \mathbf{a}^T \\ \mathbf{a} & \tilde{\mathbf{A}} \end{bmatrix}.$$

$$\text{If } \alpha \neq 0, \text{ let } \mathbf{P}_n = \begin{bmatrix} 1 & \mathbf{0}^T \\ -\frac{1}{\alpha}\mathbf{a} & \mathbf{I}_{n-1} \end{bmatrix}.$$

$$\begin{aligned} \text{Then } \mathbf{P}_n \mathbf{A}_n \mathbf{P}_n^T &= \begin{bmatrix} 1 & \mathbf{0}^T \\ -\frac{1}{\alpha}\mathbf{a} & \mathbf{I}_{n-1} \end{bmatrix} \cdot \begin{bmatrix} \alpha & \mathbf{a}^T \\ \mathbf{a} & \tilde{\mathbf{A}} \end{bmatrix} \cdot \begin{bmatrix} 1 & -\frac{1}{\alpha}\mathbf{a}^T \\ \mathbf{0} & \mathbf{I}_{n-1} \end{bmatrix} \\ &= \begin{bmatrix} \alpha & \mathbf{a}^T \\ \mathbf{0} & -\frac{1}{\alpha}\mathbf{a}\mathbf{a}^T + \tilde{\mathbf{A}} \end{bmatrix} \cdot \begin{bmatrix} 1 & -\frac{1}{\alpha}\mathbf{a}^T \\ \mathbf{0} & \mathbf{I}_{n-1} \end{bmatrix} = \begin{bmatrix} \alpha & \mathbf{0}^T \\ \mathbf{0} & \mathbf{A}_{n-1} \end{bmatrix} \end{aligned}$$

where  $\mathbf{A}_{n-1} = \tilde{\mathbf{A}} - \frac{1}{\alpha}\mathbf{a}\mathbf{a}^T$  is symmetric.

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with  $\mathbf{A}_{n-1}$  symmetric. By induction hyp.

there exists  $\mathbf{R}_{n-1}$  for  $\mathbf{A}_{n-1}$ . We choose  $\mathbf{R}_n = \begin{bmatrix} 1 & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1} \end{bmatrix} \cdot \mathbf{P}_n$

$$\text{Then } \mathbf{R}_n \mathbf{A}_n \mathbf{R}_n^T = \begin{bmatrix} 1 & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1} \end{bmatrix} \cdot \mathbf{P}_n \mathbf{A}_n \mathbf{P}_n^T \cdot \begin{bmatrix} 1 & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1}^T \end{bmatrix}$$

$$= \begin{bmatrix} \alpha & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1} \mathbf{A}_{n-1} \mathbf{R}_{n-1}^T \end{bmatrix} \text{ is diagonal.}$$



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Then  $\mathbf{R}_n \mathbf{A}_n \mathbf{R}_n^T$  is diagonal.

$$\text{Example: } \mathbb{K} = \mathbb{Z}_3, \mathbf{A}_3 = \begin{pmatrix} 2 & 2 & 1 \\ 2 & 0 & 2 \\ 1 & 2 & 1 \end{pmatrix}, \alpha = 2, \mathbf{P}_3 = \begin{pmatrix} 1 & 0 & 0 \\ 2 & 1 & 0 \\ 1 & 0 & 1 \end{pmatrix},$$

$$\mathbf{A}_2 = \tilde{\mathbf{A}} - \frac{1}{\alpha} \mathbf{a} \mathbf{a}^T = \begin{pmatrix} 0 & 2 \\ 2 & 1 \end{pmatrix} - \frac{1}{2} \begin{pmatrix} 2 \\ 1 \end{pmatrix} (2, 1) = \begin{pmatrix} 1 & 1 \\ 1 & 2 \end{pmatrix}, \mathbf{R}_2 = \begin{pmatrix} 1 & 0 \\ 2 & 1 \end{pmatrix},$$

$$\mathbf{R}_3 = \begin{pmatrix} 1 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 2 & 1 \end{pmatrix} \begin{pmatrix} 1 & 0 & 0 \\ 2 & 1 & 0 \\ 1 & 0 & 1 \end{pmatrix} = \begin{pmatrix} 1 & 0 & 0 \\ 2 & 1 & 0 \\ 2 & 2 & 1 \end{pmatrix}, \mathbf{R}_3 \mathbf{A}_3 \mathbf{R}_3^T = \begin{pmatrix} 2 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{pmatrix}$$

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there exists  $\mathbf{R}_{n-1}$  for  $\mathbf{A}_{n-1}$ . We choose  $\mathbf{R}_n = \begin{bmatrix} 1 & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1} \end{bmatrix} \cdot \mathbf{P}_n$

Then  $\mathbf{R}_n \mathbf{A}_n \mathbf{R}_n^T$  is diagonal.

If  $\alpha = 0$  but  $\mathbf{a} \neq \mathbf{0}$ , then  $a_{i,1} \neq 0$  for some  $i$ . Use the elementary matrix  $\mathbf{E}$  for adding the  $i$ -th row to the first. Take  $\mathbf{A}' = \mathbf{EAE}^T$  instead of  $\mathbf{A}$ . As  $\alpha' = 2a_{i,1} \neq 0$ , we may follow the previous case.

$$\text{If } \alpha = 0 \text{ and } \mathbf{a} = \mathbf{0}, \text{ then let } \mathbf{A}_{n-1} = \tilde{\mathbf{A}} \text{ and get } \mathbf{R}_n = \begin{bmatrix} 1 & \mathbf{0}^T \\ \mathbf{0} & \mathbf{R}_{n-1} \end{bmatrix}.$$

## Sylvester's law of inertia

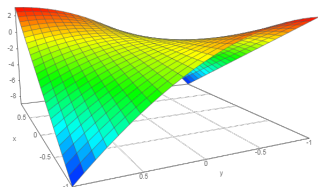
**Theorem:** Every quadratic form on a finitely generated *real* vector space allows a diagonal matrix with only **1**, **-1** and **0**.

Moreover, all such diagonal matrices corresponding to the same form have the same number of **1**'s and the same number of **-1**'s.

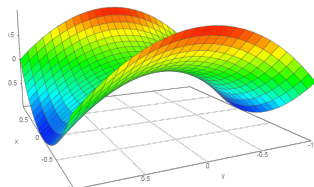
**Example:**  $g : \mathbb{R}^2 \rightarrow \mathbb{R}$  given by  $\mathbf{B} = \begin{pmatrix} 0 & 3 \\ 3 & -3 \end{pmatrix}$  w.r.t.  $K$ .

The matrix of  $g$  w.r.t. the basis:  $X = \{(\frac{2}{3}, \frac{1}{3})^T, (-\frac{1}{3}, \frac{1}{3})^T\}$  is

$$\mathbf{B}' = [\text{id}]_{XK}^T \mathbf{B} [\text{id}]_{XK} = \begin{pmatrix} \frac{2}{3} & \frac{1}{3} \\ -\frac{1}{3} & \frac{1}{3} \end{pmatrix} \begin{pmatrix} 0 & 3 \\ 3 & -3 \end{pmatrix} \begin{pmatrix} \frac{2}{3} & -\frac{1}{3} \\ \frac{1}{3} & \frac{1}{3} \end{pmatrix} = \begin{pmatrix} 1 & 0 \\ 0 & -1 \end{pmatrix}$$

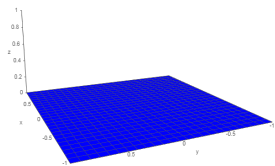


$$6x_1x_2 - 3x_2^2$$

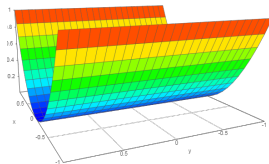


$$x_1^2 - x_2^2$$

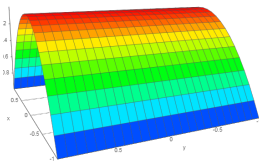
# The six cases of diagonalized quadratic forms $\mathbb{R}^2 \rightarrow \mathbb{R}$



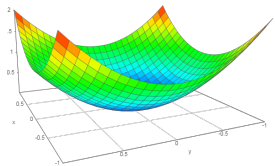
$$0$$



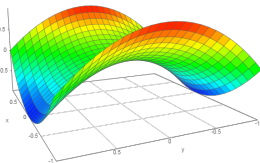
$$x_1^2$$



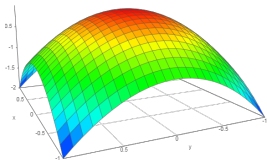
$$-x_1^2$$



$$x_1^2 + x_2^2$$



$$x_1^2 - x_2^2$$



$$-x_1^2 - x_2^2$$

(ordered by the rank and then 1 before  $-1$ )

## Sylvester's law of inertia

**Theorem:** Every quadratic form on a finitely generated *real* vector space allows a diagonal matrix with only **1**, **-1** and **0**.

Moreover, all such diagonal matrices corresponding to the same form have the same number of **1**'s and the same number of **-1**'s.

**Proof:**

1. Existence: Let **B** be the matrix of the form. w.r.t. some basis **X**. Real symmetric matrices can be diagonalized, i.e. any  $\mathbf{B} = \mathbf{R}^T \mathbf{D} \mathbf{R}$  for a regular **R**.

Split **D** as  $\mathbf{S}^T \mathbf{D}' \mathbf{S}$  where  $d_{i,j}$   $\begin{cases} = 0 & d'_{i,j} = 0, & s_{i,j} = 1 \\ > 0 & d'_{i,j} = 1, & s_{i,j} = \sqrt{d_{i,j}} \\ < 0 & d'_{i,j} = -1, & s_{i,j} = \sqrt{-d_{i,j}} \end{cases}$

Now **SR** is regular and  $\mathbf{B} = (\mathbf{SR})^T \mathbf{D}' \mathbf{SR}$ .

Choose the basis **Y**, the coordinates of vectors of **Y** w.r.t. **X** are the columns of **SR**, i.e.  $[id]_{YX} = \mathbf{SR}$  and also  $[id]_{XY} = (\mathbf{SR})^{-1}$ .

Now  $[id]_{XY}^T \mathbf{B} [id]_{XY} = ((\mathbf{SR})^{-1})^T (\mathbf{SR})^T \mathbf{D}' \mathbf{SR} (\mathbf{SR})^{-1} = \mathbf{D}'$  is the desired diagonal matrix of the form.

2. Uniqueness of the numbers of 1's,  $-1$ 's (and hence also 0's):  
 Let  $X = (\mathbf{u}_1, \dots, \mathbf{u}_n)$ ,  $Y = (\mathbf{v}_1, \dots, \mathbf{v}_n)$  be two bases s.t. the corresponding matrices  $\mathbf{B}$  and  $\mathbf{B}'$  of the form  $g$  are diagonal with 1's,  $-1$ 's and 0's ordered. s.t. 1's are first, then  $-1$ 's and 0's are last.

As products with regular matrices  $[id]_{XY}$  do not change the rank:  
 $\#0$ 's in  $\mathbf{B} = n - \text{rank}(\mathbf{B}) = n - \text{rank}(\mathbf{B}') = \#0$ 's in  $\mathbf{B}'$ .

Let  $r = \#1$ 's in  $\mathbf{B}$ ,  $s = \#1$ 's in  $\mathbf{B}'$ . If  $r > s$ , then consider the subspaces  $\mathcal{L}(\mathbf{u}_1, \dots, \mathbf{u}_r)$  and  $\mathcal{L}(\mathbf{v}_{s+1}, \dots, \mathbf{v}_n)$ . The sum of their dimensions  $r + n - s$  exceeds  $n$ , hence have a nontrivial intersection.

Choose  $\mathbf{w} \in (\mathcal{L}(\mathbf{u}_1, \dots, \mathbf{u}_r) \cap \mathcal{L}(\mathbf{v}_{s+1}, \dots, \mathbf{v}_n)) \setminus \mathbf{0}$ , hence  
 $[\mathbf{w}]_X = (x_1, \dots, x_r, 0, \dots, 0)^T$ ,  $[\mathbf{w}]_Y = (0, \dots, 0, y_{s+1}, \dots, y_n)^T$ .

Now  $g(\mathbf{w}) = [\mathbf{w}]_X^T \mathbf{B} [\mathbf{w}]_X = x_1^2 + \dots + x_r^2 > 0$  ( $>$  as  $\mathbf{w} \neq \mathbf{0}$ ), but  
 $g(\mathbf{w}) = [\mathbf{w}]_Y^T \mathbf{B}' [\mathbf{w}]_Y = -y_{s+1}^2 - \dots - y_{\text{rank}(\mathbf{B}')}^2 \leq 0$ , contradiction.

Therefore  $r \not> s$ , by symmetry also  $s \not> r$ , hence  $r = s$ .

## Comments

**Observation:** Forms with *real* positive definite matrices are those that could be diagonalized into  $I_n$

— compare Cholesky factorization  $\mathbf{A} = \mathbf{U}^H \mathbf{U} = \mathbf{U}^T \mathbf{I}_n \mathbf{U}$ .

**Observation:** An analogous statement for *complex symmetric* forms (other property than Hermitian!) yields diagonal matrices with 1's and 0's on the diagonal; including the inertia.

## Quizz

1. True or false? The quadratic form obtained from an inner product on  $\mathbb{R}$  is the norm.
2. How many bilinear forms correspond to a quad. form on  $\mathbb{Z}_5^3$ ?  
a) 1      b) 5      c) 15      d) 125      e) infinitely many
3. True or false? For any bilinear form  $f$  it holds that  $h(\mathbf{u}, \mathbf{w}) = f(\mathbf{u}, \mathbf{w}) + f(\mathbf{w}, \mathbf{u})$  is a symmetric bilinear form.
4. The analytic expressions  $g((x_1, x_2)^T)$  of a quadratic form  $g$  over  $\mathbb{R}^2$  w.r.t.  $K$  and w.r.t. the basis  $\{(0, 1)^T, (1, 0)^T\}$   
a) are the same, which holds even for any other basis  
b) are the same for this particular choice of bases  
c) have the coefficients by  $x_1^2$  and  $x_2^2$  are exchanged  
d) have no direct relationship between the coefficients
5. The triple  $(\#1, \# - 1, \#0)$  is called the *signature* of a form. How many distinct signatures exist for forms in  $\mathbb{R}^3$ ?  
a) 3      b) 9      c) 10      d) 27      e) infinitely many