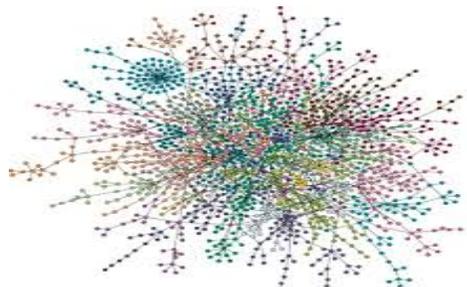
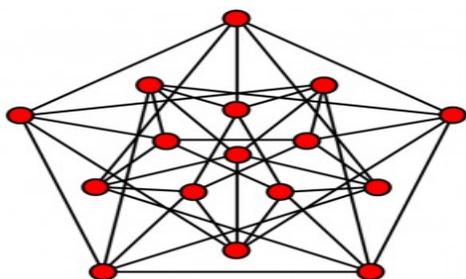


Pescara, Italy, July 2019



DIGRAPHS I

Mathematical Background:
Perron-Frobenius, Jordan Normal Form,
Cauchy-Binet, Jacobi's Formula

Based on various sources.

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SUMMARY:

* This is a review of four theorems from linear algebra that are important for the development of the algebraic theory of directed graphs. These theorems are the Perron-Frobenius theorem, the Cauchy-Binet formula, the Jordan Normal Form, and Jacobi's Formula.

OUTLINE:

The headings of this talk are color-coded as follows:

Graph Theory Definitions

Perron-Frobenius

Jordan Normal Form

Cauchy-Binet

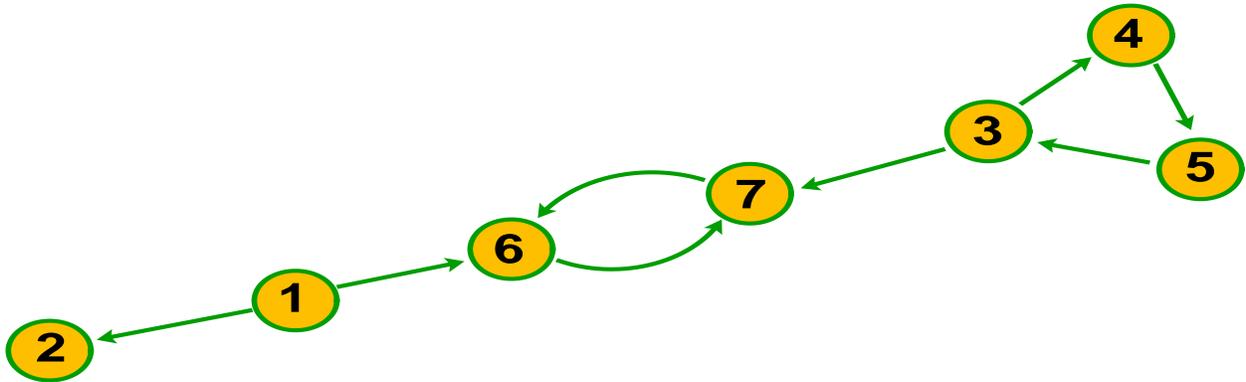
Jacobi's Formula

ELEMENTARY

GRAPH THEORY

Definitions: Digraphs

Definition: A directed graph (or **digraph**) is a set $V = \{1, \dots, n\}$ of **vertices** together with set of ordered pairs $E \subseteq V \times V$ (the **edges**).



A directed edge $j \rightarrow i$, also written as ji .

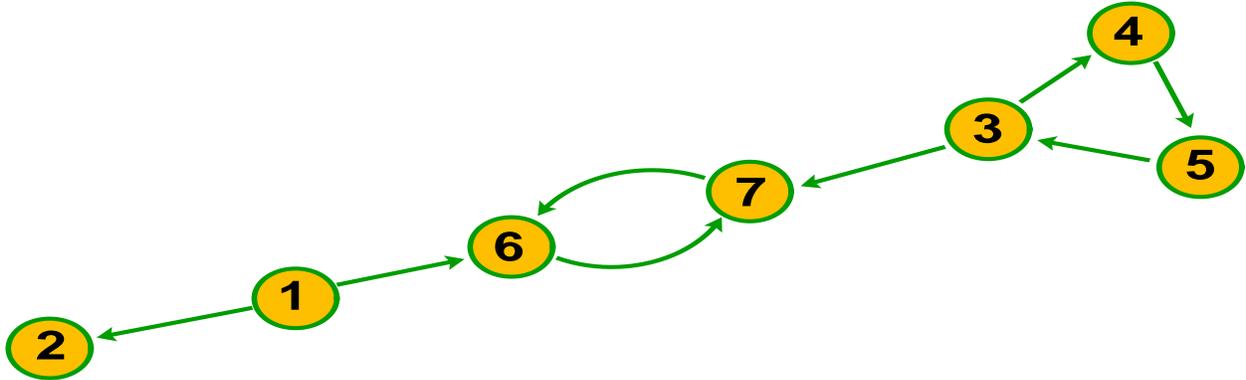
A directed path from j to i is written as $j \rightsquigarrow i$.

Digraphs are everywhere: models of the internet [6], social networks [7], food webs [11], epidemics [10], chemical reaction networks [12], databases [5], communication networks [4], and networks of autonomous agents in control theory [8], to name but a few.

A BIG topic: Much of mathematics can be translated into graph theory (discretization, triangulation, etc). In addition, many topics in graph theory that do not translate back to *continuous* mathematics.

Definitions: Connectedness of digraphs

Undirected graphs are connected or not. But...



Definition:

* A digraph G is **strongly connected** if for every ordered pair of vertices (i, j) , there is a path $i \rightsquigarrow j$. **SCC !**

* A digraph G is **unilaterally connected** if for every ordered pair of vertices (i, j) , there is a path $i \rightsquigarrow j$ or a path $j \rightsquigarrow i$.

* A digraph G is **weakly connected** if the **underlying UNdirected graph** is connected.

* A digraph G is **not connected**: if it is not weakly connected.

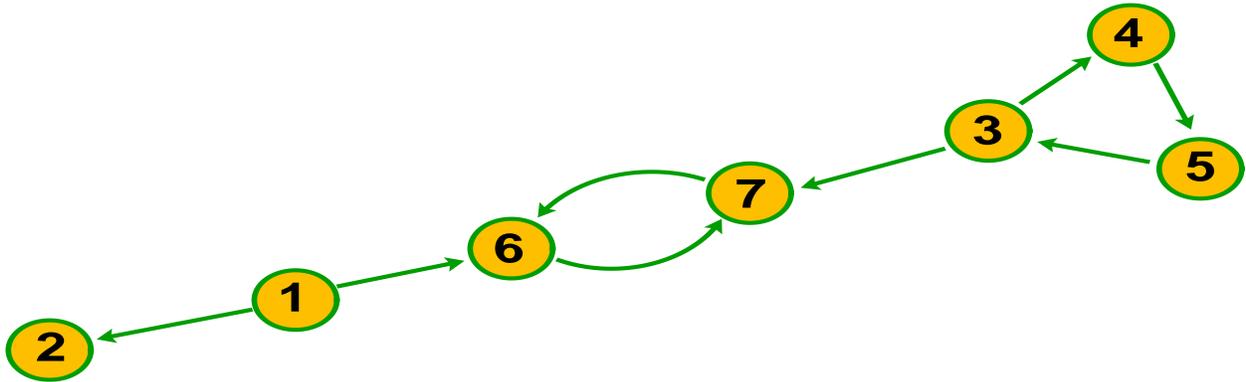
Definition:

Multilaterally connected: **weakly connected** but not **unilaterally connected**.

The Adjacency Matrix

Definition: The **combinatorial adjacency matrix** Q of the graph G is the matrix whose entry $Q_{ij} = 1$ if there is an edge ji and equals 0 otherwise.

Interpretation: We think of $Q_{ij} = 1$ as information going from j to i . Or: i “sees” j . In the graph below, both 2 and 6 “see” 1. So $Q_{21} = Q_{61} = 1$.



$$Q = \begin{pmatrix} 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 & 0 & 1 & 0 \end{pmatrix}$$

THE
PERRON
FROBENIUS
THEOREM

Non-Negative Matrices

Definition: A non-negative matrix Q is **irreducible** if for every i, j , there is a k such that $(Q^k)_{ij} > 0$.

OR: for all i, j , there is path from j to i : $j \rightsquigarrow i$.

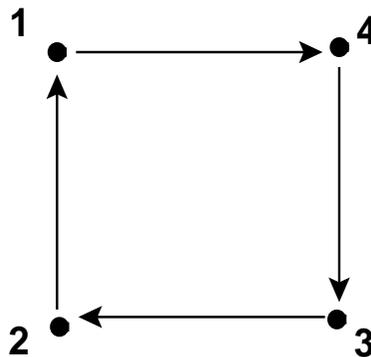
Definition: A non-negative matrix Q is **primitive** if there is a k such that for every i, j , we have $(Q^k)_{ij} > 0$.

OR: $\exists k$ such that for all i, j , there is $j \rightsquigarrow i$ of length k .

Q is adjacency matrix of graph G . Both imply that G is SCC.

Irreducible but **not primitive**: any cyclic permutation.

$$Q = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 1 & 0 & 0 & 0 \end{pmatrix}$$



Perron-Frobenius

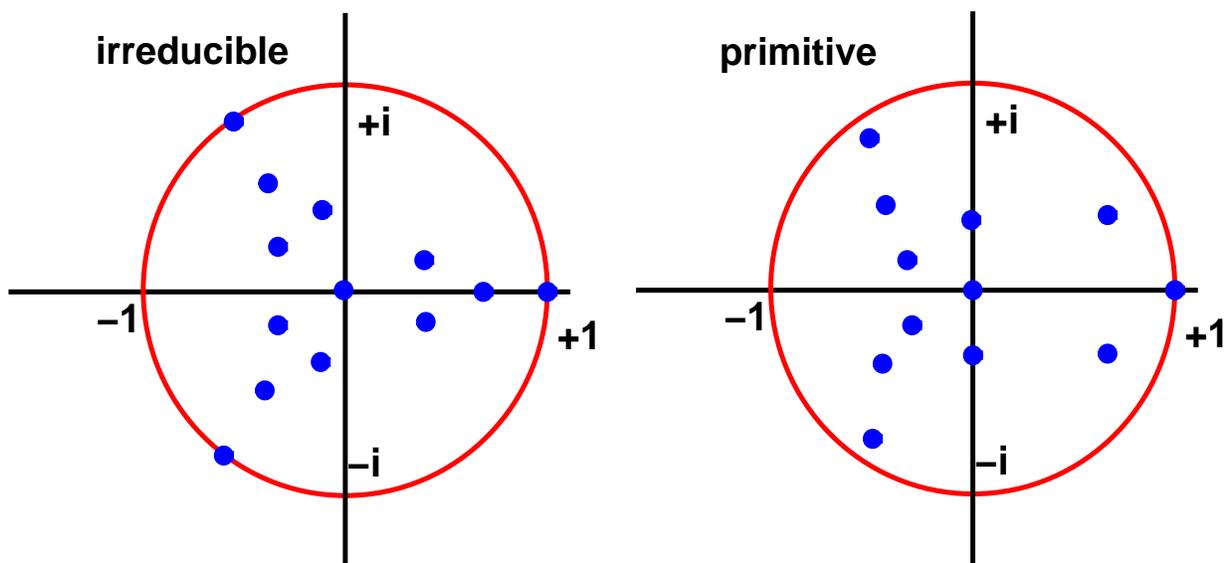
The single most important theorem in algebraic graph theory!!
Gives leading eigenpair of many important matrices.
1st order description of dynamical processes on graphs.
More details in [1] and [13].

Theorem 1A: Let $A \geq 0$ be irreducible. Then:
(a) Its spectral radius $\rho(A)$ is a simple eval of A .
(b) Its associated evec is the only strictly positive evec.

Thus its largest eval is simple, real, and positive. But there may be other evals of the same modulus.

Theorem 1B: Let $A \geq 0$ be primitive. Then also:
All other evals have modulus strictly smaller than $\rho(A)$.

(Note 3-fold rotational symmetry in irreducible case.)



Irreducible Has Period p

In the irreducible case, the matrix A has a **period** $p > 1$. That is: after permutation of vertices, A is **block cyclic**.

Example: $p = 3$:

$$A = \begin{pmatrix} 0 & A_1 & 0 \\ 0 & 0 & A_2 \\ A_3 & 0 & 0 \end{pmatrix}$$

In this **cyclic block form**, the A_i are **rectangular**!

Exercise 1: Show that

$$A^3 = \begin{pmatrix} A_1 A_2 A_3 & 0 & 0 \\ 0 & A_2 A_3 A_1 & 0 \\ 0 & 0 & A_3 A_1 A_2 \end{pmatrix}$$

Now, the diagonal blocks are primitive.

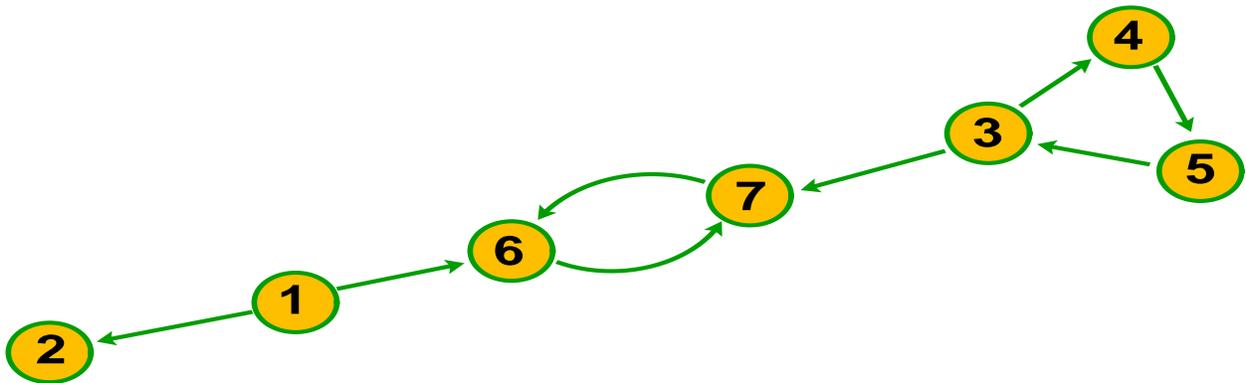
By **Cauchy-Binet** (later):

each diagonal block D of A^3 has same non-zero spectrum.

Suppose non-zero spectrum D is: $\{\lambda_i\}_{i=1}^s$.

The non-zero spectrum of A consists of **all 3rd roots** of these.

Example



$$\sum_{i=1}^7 A^i = \begin{pmatrix} 0 & 0 & 0 & 0 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 0 & 0 & 0 \\ 0 & 0 & 2 & 2 & 3 & 0 & 0 \\ 0 & 0 & 3 & 2 & 2 & 0 & 0 \\ 0 & 0 & 2 & 3 & 2 & 0 & 0 \\ 4 & 0 & 5 & 3 & 4 & 3 & 4 \\ 3 & 0 & 7 & 4 & 5 & 14 & 3 \end{pmatrix}$$

So, Q is block-triangular and thus *not* irreducible. But:
 The two non-trivial blocks are **irreducible but not primitive**. Notice the grouping of the evals.

The spectrum is $\{0, 0, 1, e^{2\pi i/3}, e^{-2\pi i/3}, 1, -1\}$.

Other Eigenvectors

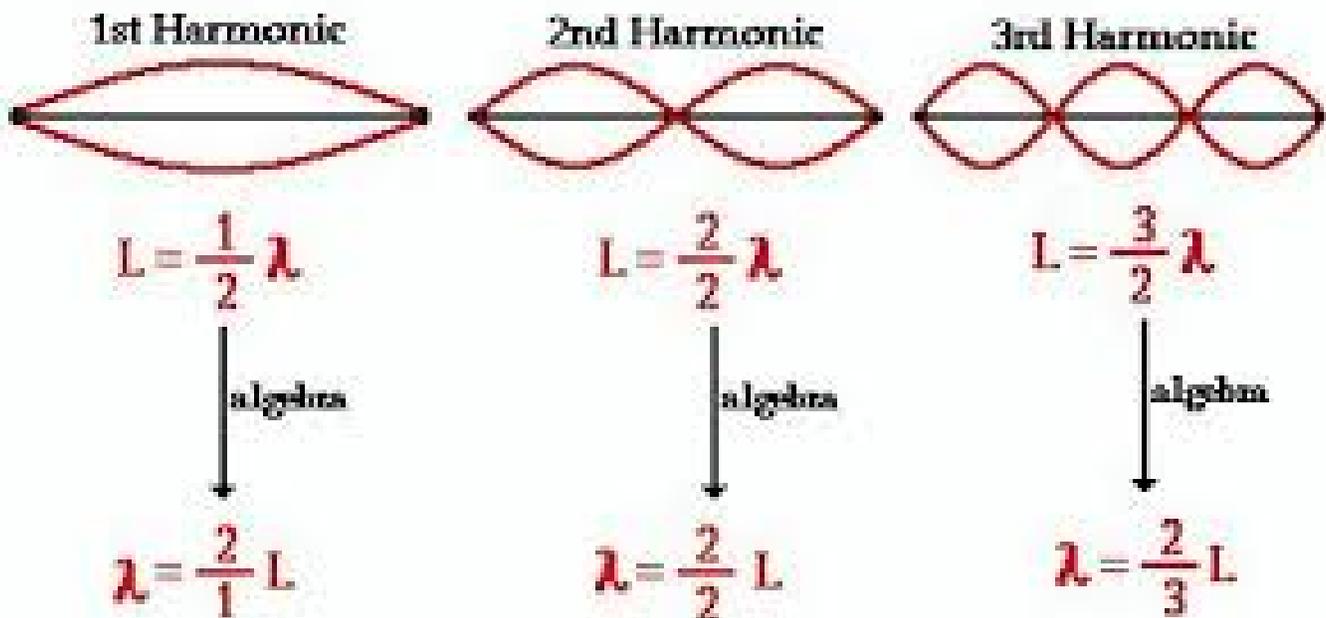
Theorem 1C: Let A be irreducible. Any other evec but the leading cannot be real and non-negative.

This is clear if the eigenvalue is non-real. So only needs proof for real evecs.

This is the beginning of the study of **Nodal Domains**.

A classical problem in analysis (since Courant): count the number of nodal domains of e.fns to the Laplace operator. See Figure.

Lowest Three Natural Frequencies of a Guitar String



For undirected graphs there are many results. But for digraphs very little is known. (After all, evecs may not be real!)

JORDAN NORMAL FORM

Spectral Theorem

From now: A is $n \times n$ matrix with real or complex coeff's:

real symmetric \subset self-adjoint \subset normal.

(A is normal if $A^*A = AA^*$.)

Theorem 2 (spectral): A has orthonormal basis of evecs $\{v_i\}_{i=1}^n$ iff A normal.

These evals are real, if A is self-adjoint.

Computations simplify (e.g. quantum mechanics and statistical physics):

Let A a (normal) matrix with e.pairs $\{\lambda_i, v_i\}$.

Suppose $\dot{x} = Ax$ with initial condition $x(0) = x_0$. Then:

$$x(t) = \sum_i (v_i, x_0) e^{\lambda_i t} v_i$$

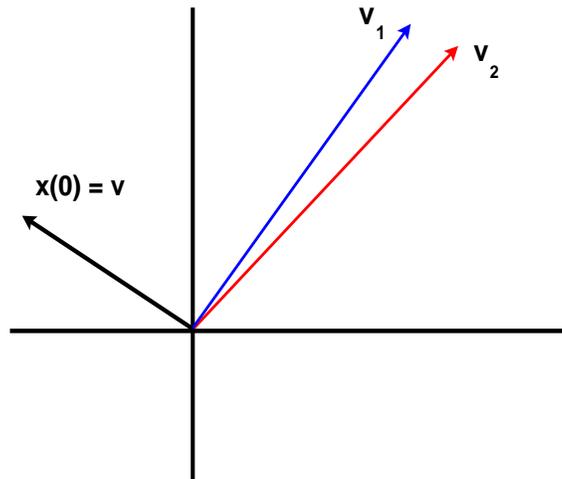
where (\cdot, \cdot) is real or Hermitian inner product.

(v_i, x_0) is the orthogonal projection of x_0 onto v_i .

Exercise 2: The matrix norm $\|A\| \equiv \sup_x \{Ax \mid |x| = 1\}$ equals norm of its largest eval if A is normal.

(Hints: a) Show $\sum (v_i, x)^2 = 1$; b) Show that $Ax = \sum \lambda_i (v_i, x) v_i$; c) Show that (Ax, Ax) is a weighted mean of λ_i^2 .)

Life in a Non-normal Universe

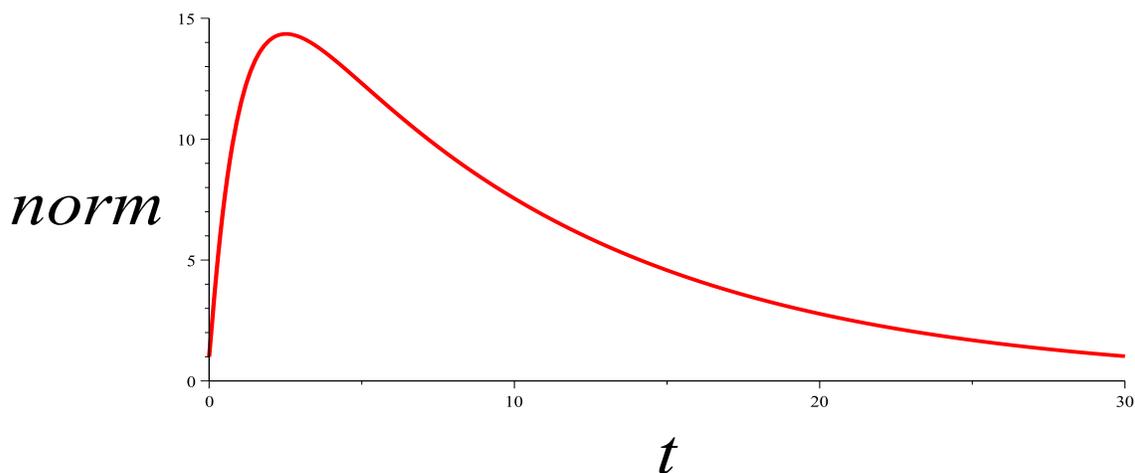


Let $\dot{x} = Ax$. Sps evecs v_1 and v_2 nearly parallel.

$$x(t) = A_1 e^{\lambda_1 t} v_1 + A_2 e^{\lambda_2 t} v_2$$

Example: $\lambda_i = \{-0.1, -1.0\}$ and init. condn $x(0)$ as indicated.

Large **transient**! Stable system may initially “look” unstable. Below we plot $|x(t)|$.



Exercise 3: Define a 2-dim. system of ODE plus initial condition that exhibits this type of behavior.

Case I: n Eigenvectors

Let A be $n \times n$ matrix.

In general, it may have real and/or complex epairs.

Evals are the solutions $\{\lambda_i\}_{i=1}^k$ (with $k \leq n$) of

$$\det(A - \lambda I) = 0$$

Case I: n linearly independent evects $\{v_i\}_{i=1}^n$.

Given λ_i , then $\{v_i\}$ is the solution of

$$(A - \lambda_i I)v = 0$$

Let H the matrix whose i th column equals v_i . Then A is **diagonalizable**, or:

$$D = H^{-1}AH$$

with D diagonal with $D_{ii} = \lambda_i$ (real if A is self-adjoint).

Application: Suppose $\dot{x} = Ax$ with init. cond. x_0 . Then:

$$x(t) = \sum_i \alpha_i e^{-\lambda_i t} v_i$$

But the α_i are less simple to calculate. Set $t = 0$, you get:

$$H\alpha = x_0$$

Case II: Less than n Eigenvectors

Let A be $n \times n$ matrix.

Case II: less than n **linearly independent** evecs $\{v_i\}_{i=1}^n$.

This happens when for some i , λ_i is a root of order \underline{k} of

$$\det(A - \lambda I) = 0$$

but

$$(A - \lambda_i I)v = 0$$

has less than k linearly independent solutions for v .

Definition: The **algebraic multiplicity** of an eigenvalue λ_i of A is the **order** of the root λ_i of $\det(A - \lambda I)$.

The **geometric multiplicity** of λ_i is the **number** of linearly independent evecs associated with λ_i .

In this case A is not diagonalizable but **block diagonalizable**. There is matrix H so that

$$J = H^{-1}AH$$

Exercise 4: J has diagonal **Jordan blocks** (or JB), all of the form:

$$B_i = \begin{pmatrix} \lambda_i & 1 & 0 & \dots \\ 0 & \lambda_i & 1 & \dots \\ \dots & \dots & \dots & 1 \\ \dots & \dots & 0 & \lambda_i \end{pmatrix}$$

Case II: Not Enough LI Eigenvectors

Find all evals λ satisfying

$$\det(A - \lambda I) = 0$$

For each eval λ_i , find its evecs:

$$(A - \lambda_i I)v = 0$$

These vectors span the **eigenspace** of λ_i .

For simplicity: assume there is only one: v_i .

If $\text{geom mult}(\lambda_i) < \text{alg mult}(\lambda_i)$:

Start with evec v_i .

Find vector w_{i1} such that

$$(A - \lambda_i I)w_{i1} = v_i$$

Find w_{i2} such that

$$(A - \lambda_i I)w_{i2} = w_{i1}$$

Etc. The v_i together with w_{ij} are **generalized eigenvectors**. They span the **generalized eigenspace** of λ_i .

Thus there are exactly n **linearly independent** generalized eigenvectors v_i .

Case II: Construction of the Matrix H

H is the matrix whose columns are:

$$\{\mathbf{v}_1, \mathbf{w}_{11}, \dots, \mathbf{w}_{1n_1}, \mathbf{v}_2, \mathbf{w}_{21}, \dots, \mathbf{w}_{2n_2}, \dots, \mathbf{v}_k, \mathbf{w}_{k1}, \dots, \mathbf{w}_{kn_k}\}$$

equals v_i . Then

$$J = H^{-1}AH$$

and J has non-trivial Jordan blocks.

Example: If 1st block has $\dim \geq 3$ (or $n_1 \geq 2$):

$$\lambda_1 e_1 \xleftarrow{H^{-1}} \lambda_1 v_1 \xleftarrow{A} v_1 \xleftarrow{H} e_1$$

$$\lambda_1 e_2 + e_1 \xleftarrow{H^{-1}} \lambda_1 w_{11} + v_1 \xleftarrow{A} w_{11} \xleftarrow{H} e_2$$

$$\lambda_1 e_3 + e_2 \xleftarrow{H^{-1}} \lambda_1 w_{12} + w_{11} \xleftarrow{A} w_{12} \xleftarrow{H} e_3$$

Definition: Thus J becomes:

$$\begin{pmatrix} \lambda_1 & 1 & 0 & \dots & \dots \\ 0 & \lambda_1 & 1 & \dots & \dots \\ 0 & 0 & \lambda_1 & \dots & \dots \\ \dots & \dots & \dots & \dots & \dots \end{pmatrix}$$

This is called **Jordan normal form**.

$\dot{x} = Ax$, General Case

Exercise 1: Let I be the identity and

$$N = \begin{pmatrix} 0 & 1 \\ 0 & 0 \end{pmatrix} \quad \text{and} \quad J = \lambda I + N = \begin{pmatrix} \lambda & 1 \\ 0 & \lambda \end{pmatrix}$$

a) Compute e^{Jt} via the usual expansion.

(Hint: $e^{\lambda t} \begin{pmatrix} 1 & t \\ 0 & 1 \end{pmatrix}$.)

b) Use a) to give solutions of $\dot{x} = Jx$, where $x(0) = (a_1, a_2)^T$.

(Hint: $e^{\lambda t} \begin{pmatrix} a_1 + a_2 t \\ a_2 \end{pmatrix}$.)

The expansion of e^{Jt} in the exercise

$$e^{Jt} = I + Jt + \frac{J^2 t^2}{2} + \frac{J^3 t^3}{3!} + \dots$$

simplifies because $J = \lambda I + N$ and $N^2 = 0$.

Back to the general problem $\dot{x} = Ax$, $x(0) = x_0$.

Step 1: Write init. cond as sum of **gener. evects.**

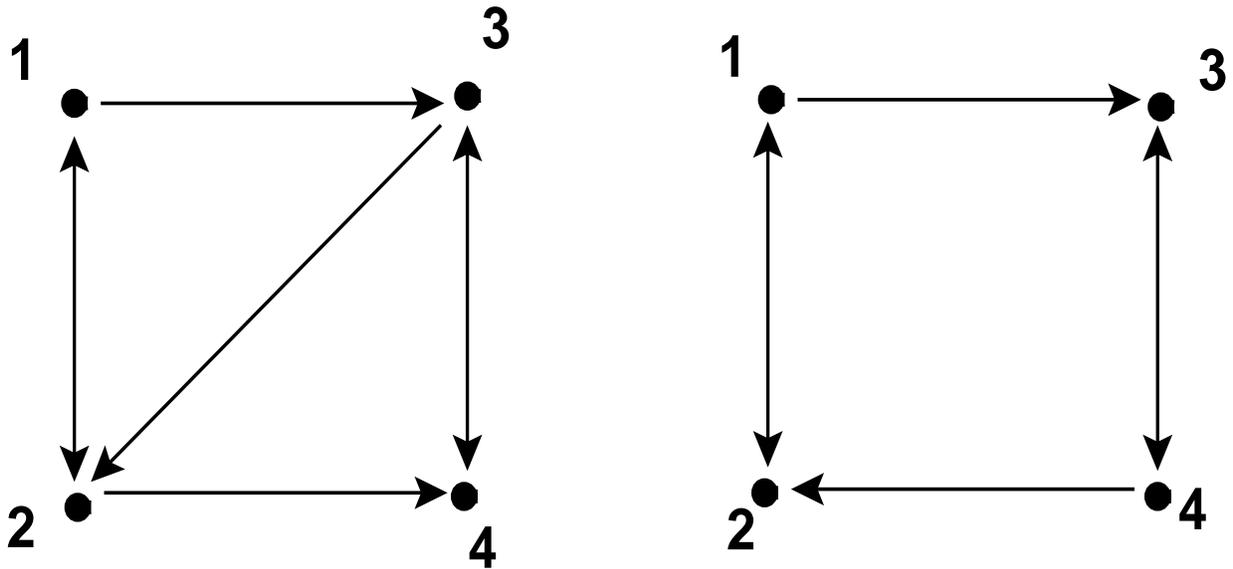
$$x_0 = \sum \alpha_i v_i \quad \text{where} \quad H\alpha = x_0$$

Step 2: Suppose $x_0 = \alpha_{12} w_{12}$. Then

$$x(t) = \alpha_{12} e^{\lambda t} \left(\frac{t^2}{2} v_1 + t w_{11} + w_{12} \right)$$

Step 3: Sum those contributions.

Examples



Two digraphs. The first has adjacency matrix

$$Q = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 1 & 0 & 1 & 0 \\ 1 & 0 & 0 & 1 \\ 0 & 1 & 1 & 0 \end{pmatrix}$$

with spectrum $\{1.68, -1.03 \pm 0.74i, 0.37\}$ (approximately).

The second has adjacency matrix

$$Q = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 1 & 0 & 0 & 1 \\ 1 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 \end{pmatrix}$$

with spectrum $\{0^{(2)}, \pm\sqrt{2}\}$. The eigenvalue 0 has an associated 2-dimensional Jordan block.

Additional Exercises

Exercise 2: Show that the matrix

$$\begin{pmatrix} a - b & c \\ -cd & a + b \end{pmatrix}$$

has a non-trivial Jordan block (JB) if $b^2 = c^2d$ and $c \neq 0$ and $d \neq 0$.

Exercise 3: So you may think JB's are rare (co-dimension one). But symmetries can change that. Show that

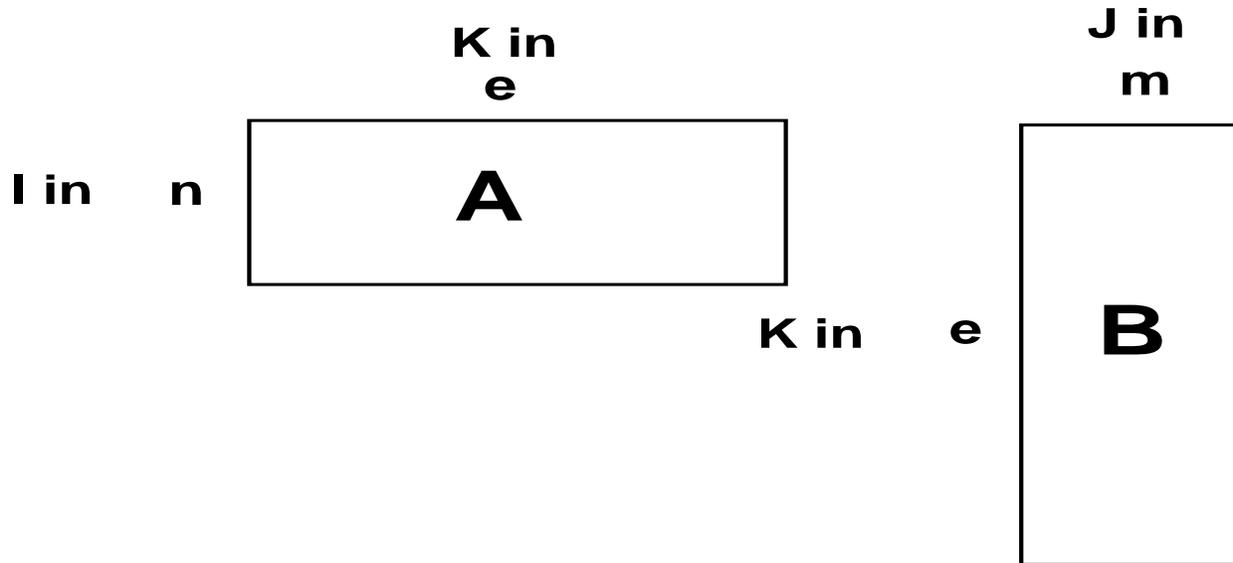
a) Newton's equation $\ddot{x} = 0$ gives rise to a JB.

b) That JB explains why two bodies without forcing separate linearly in time (Newton's first law).

**THE
CAUCHY - BINET
FORMULA**

Generalized Cauchy-Binet

A is a $n \times e$ matrix and B is a $e \times m$ matrix.



Notation: $k \leq n, m \leq e$. (See figure). Let $I \subseteq \{1, \dots, n\}$, $J \subseteq \{1, \dots, m\}$, and $K \subseteq \{1, \dots, e\}$. All subsets have the same cardinality k .

Definition: The matrix consisting of the entries of A in $I \times K$ is called a **minor** of A . **Principal minor** if $I = K$. It is denoted by $A[I, K]$.

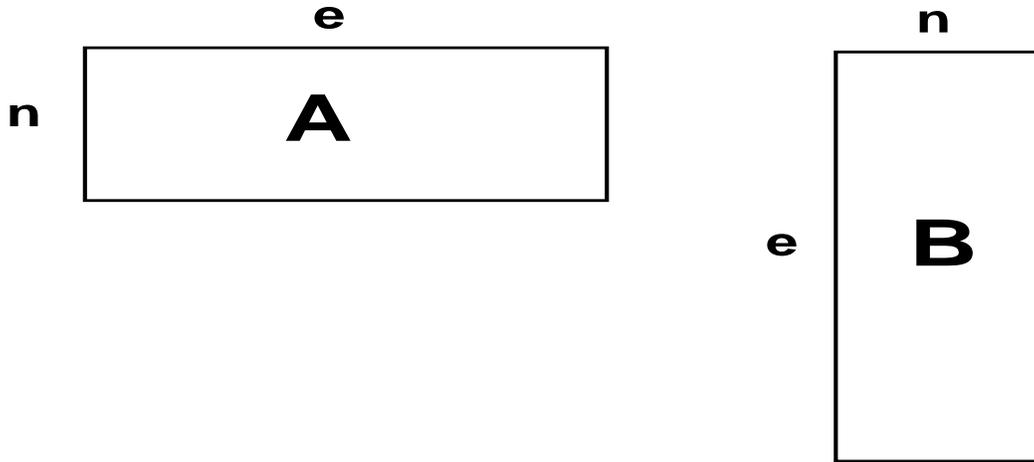
Theorem 3 (generalized Cauchy-Binet):

$$\det((AB)[I, J]) = \sum_K \det(A[I, K]) \det(B[K, J])$$

where the sum is over all $K \subseteq \{1, \dots, e\}$ with $|K| = k$.

Corollaries

A and B as depicted, where $n \leq e$. Now $I = J = \{1, \dots, n\}$



Corollary (Cauchy-Binet): We have

$$\det(AB) = \sum \det(A[J, K]) \det(B[K, J])$$

where the sum is over all $K \subseteq \{1, \dots, e\}$ with $|K| = n$.

If X is $n \times n$, by standard matrix computation

$$\det(X + z Id) = \dots + z^{n-k} \sum_{|K|=k} \det X[K, K] + \dots$$

By generalized C-B, we also have for $k \leq n$:

$$\sum_{|K|=k} \sum_{|L|=k} \det A[K, L] \det B[L, K]$$

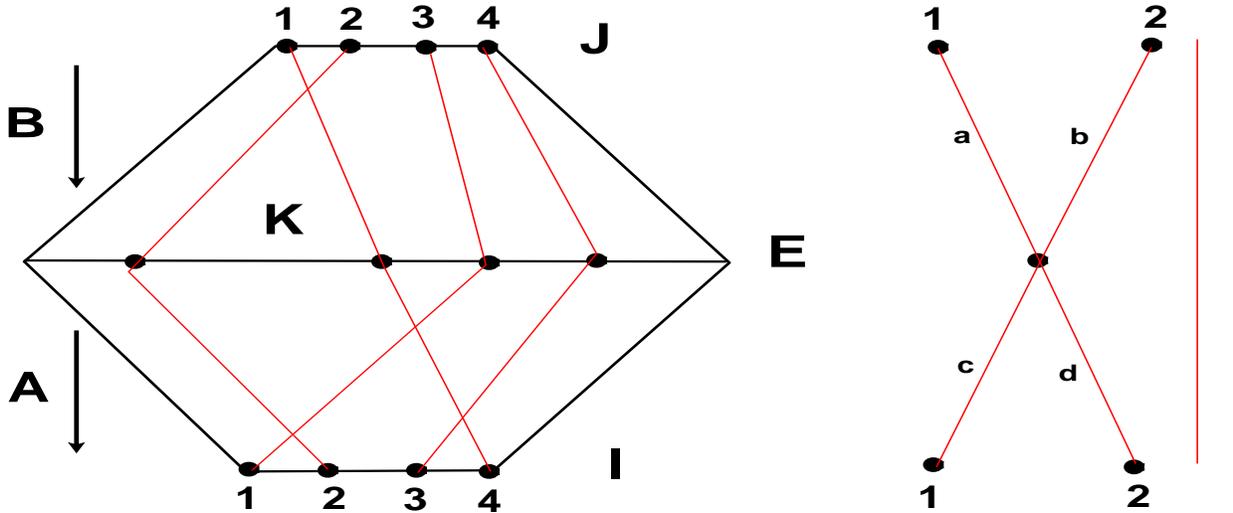
equals $\sum_{|K|=k} \det(AB)[K, K]$ and $\sum_{|L|=k} \det(BA)[L, L]$.

Corollary: We have

$$\det(BA + z Id) = z^{e-n} \det(AB + z Id)$$

Sketch of Proof of Cauchy-Binet

Inspired by Gessel-Viennot [9].



$I = J = \{1, \dots, n\}$ and $E = \{1, \dots, e\}$ with $n \leq e$. ($n = 4$.)

$$\begin{aligned} \det AB &= \sum_{\sigma} \operatorname{sgn} \sigma \prod_i (AB)_{i\sigma(i)} \\ &= \sum_{\sigma} \operatorname{sgn} \sigma \prod_{i \in I} \sum_{\ell \in E} A_{i\ell} B_{\ell\sigma(i)} \end{aligned}$$

Crossing paths give canceling contributions.

For the crossing as pictured (right figure):

$$(AB)_{11}(AB)_{22}(AB)_{3\sigma(3)} \cdots = (AB)_{12}(AB)_{21}(AB)_{3\sigma(3)} \cdots$$

All other terms equal. But σ changes by 1 transpos.: $1 \leftrightarrow 2$.

Thus:

$$\prod_{i \in I} \sum_{\ell \in E} A_{i\ell} B_{\ell\sigma(i)} = \left(\sum_{\ell_1} A_{1\ell_1} B_{\ell_1\sigma(1)} \right) \left(\sum_{\ell_2} A_{2\ell_2} B_{\ell_2\sigma(2)} \right) \cdots \left(\sum_{\ell_n} A_{n\ell_n} B_{\ell_n\sigma(n)} \right)$$

Where now $\bar{\ell} \equiv (\ell_1, \dots, \ell_n)$ runs over ALL n -tuples of distinct members of E . (No two ℓ_i 's are the same.)

Sketch of Proof Continued

Idea: Regroup the sums so that for any given $K \subset E$ of size n , the permutations of K are grouped together. Then:

$$\prod_{i \in I} \sum_{\ell \in E} A_{i\ell} B_{\ell\sigma(i)} = \sum_{K, |K|=n} \left(\sum_{\ell_1} A_{1\ell_1} B_{\ell_1\sigma(1)} \right) \cdots \left(\sum_{\ell_n} A_{n\ell_n} B_{\ell_n\sigma(n)} \right)$$

For each K , the ℓ_i run over the permutations of K .

For fixed K , choose permutations ρ and τ :

$$I \xrightarrow{\tau} K \xrightarrow{\rho} J \text{ so that } \rho(\tau) = \sigma : \\ \cdots = \sum_{|K|=4} \prod_i \sum_{\tau} A_{i\tau(i)} B_{\tau(i)\rho(\tau(i))}$$

We obtain:

$$\det AB = \sum_{|K|=4} \sum_{\sigma} \text{sgn}\sigma \prod_i \sum_{\tau} A_{i\tau(i)} B_{\tau(i)\rho(\tau(i))}$$

For fixed K , this is determ. of product of **square** matrices:

$$\cdots = \sum_{|K|=4} \det(A[I, K]) \det(B[K, J])$$

JACOBI'S
FORMULA

The Formula and Its Corollaries

A a square matrix, $\text{adj}(A)$ its **adjugate**:

$$A \text{adj}(A) = \text{adj}(A) A = \det(A) I$$

Suppose A depends (differentiably) on a parameter t .

Theorem 4:
$$\frac{d}{dt} \det(A) = \text{Tr} \left(\text{adj}(A) \frac{dA}{dt} \right).$$

We give some common corollaries as easy exercises.

Replace $\frac{dA}{dt}$ by B whose only non-zero entry is $B_{kl} = 1$:

Exercise 4: Show
$$\frac{d}{dA_{kl}} \det(A) = (\text{adj}(A))_{lk}.$$

Instead, replace A by e^{Bt} and so $\text{adj}(A)$ by $e^{-Bt} \det(e^{Bt})$:

Exercise 5: Show
$$\frac{d}{dt} \det(e^{tB}) = \text{Tr}(B) \det(e^{tB}).$$

The latter gives an ODE. Solve it:

Exercise 6: Show the latter implies:
$$\det(e^{tB}) = e^{\text{Tr}(Bt)}.$$

Sketch of Proof

B has evals λ_i (with mult.). Then $I + \epsilon B$ has evals $1 + \epsilon\lambda_i$:

$$\det(I + \epsilon B) = \prod_i (1 + \epsilon\lambda_i)$$

Thus

$$\lim_{\epsilon \rightarrow 0} \frac{\det(I + \epsilon B) - \det(I)}{\epsilon} = \sum_i \lambda_i = \text{Tr}(B)$$

For an invertible A :

$$\begin{aligned} \lim_{\epsilon \rightarrow 0} \frac{\det(A + \epsilon B) - \det(A)}{\epsilon} &= \\ \lim_{\epsilon \rightarrow 0} \frac{\det(A) [\det(I + \epsilon A^{-1} B) - \det(I)]}{\epsilon} &= \\ \det(A) \text{Tr}(A^{-1} B) & \end{aligned}$$

Extend to non-invertible: replace $\det(A) A^{-1}$ by $\text{adj}(A)$:

$$\dots = \text{Tr}(\text{adj}(A) B)$$

... And replace B by $\frac{dA}{dt}$:

$$\dots = \text{Tr} \left(\text{adj}(A) \frac{dA}{dt} \right)$$

.





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