

# The regularity of roots of smooth polynomials

Armin Rainer<sup>1</sup> (University of Vienna)  
*Joint work with Adam Parusiński (Université de Nice)*

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## The problem

Consider a monic complex polynomial

$$P_a(x)(Z) = P_{a(x)}(Z) = Z^n + \sum_{j=1}^n a_j(x)Z^{n-j},$$

where the coefficients  $a_j : \mathbb{R}^m \supseteq U \rightarrow \mathbb{C}$ ,  $j = 1, \dots, n$ , possess some smoothness ( $C^\omega$ ,  $C^\infty$ ,  $C^k$ , etc.).

*How regular can we parameterize the roots  $\lambda_j$  of  $P_a$ ?*

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- 2 Complex polynomials – Spagnolo's question
- 3 Optimal Sobolev regularity
- 4 Selections of bounded variation

# Hyperbolic polynomials: all roots are real

Bronshtein's theorem [Bronshstein '79], [Wakabayashi '86], [Parusiński, R. 14]

If  $a \in C^{n-1,1}(\mathbb{R}^m, \mathbb{R}^n)$  then any continuous root  $\lambda$  is  $C^{0,1}$ .

Note:  $\lambda_1(x) \leq \lambda_2(x) \leq \dots \leq \lambda_n(x)$  are  $C^0$  if  $a(x)$  is  $C^0$ .

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## Further Results

- If  $a \in C^\omega(\mathbb{R}, \mathbb{R}^n)$  then  $\lambda_i$  can be chosen  $C^\omega$ . [Rellich '37]
- If  $a \in C^n(\mathbb{R}, \mathbb{R}^n)$  then  $\lambda_i$  can be chosen  $C^1$ . [Colombini, Orrú, Pernazza '12], [Parusiński, R. '14]
- If  $a \in C^{2n}(\mathbb{R}, \mathbb{R}^n)$  then  $\lambda_i$  can be chosen twice differentiable. [Alekseevsky, Kriegel, Losik, Michor '98], [Colombini, Orrú, Pernazza '12]

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- If  $a \in C^\infty(\mathbb{R}, \mathbb{R}^n)$  then  $\lambda_i \notin C^{1,\omega}$  for any modulus of continuity  $\omega$ . [Bony, Broglia, Colombini, Pernazza '06]
- If  $a \in C^\infty(\mathbb{R}, \mathbb{R}^n)$  is definable then  $\lambda_i$  can be chosen  $C^\infty$ . [R. '11]

We have better behavior if no two (distinct) roots have infinite order of contact:

## Results

- If  $a \in C^\infty(\mathbb{R}, \mathbb{R}^n)$  and no two roots meet of infinite order, then  $\lambda_i$  can be chosen  $C^\infty$ . [Aleksievsky, Kriegl, Losik, Michor '98]

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- If  $a \in C^\omega(\mathbb{R}^m, \mathbb{R}^n)$  then there is a locally finite composite  $\pi$  of blow-ups such that the roots of  $P_a \circ \pi$  admit  $C^\omega$ -parameterizations locally. [Kurdyka, Paunescu '08]



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- There is a quasianalytic version of the latter result. [Chaumat, Chollet '04, 1-dim], [Nowak '11], [R. 2011].

# Application: Weakly hyperbolic Cauchy problem

## Theorem (Bronshtein '80)

Let  $x = (x_0, x') \in U \subseteq \mathbb{R}^{1+m}$ ,  $U$  a neighborhood of the origin, and consider

$$P(x, D)u(x) = \sum_{|\alpha| \leq n} a_\alpha(x) D^\alpha u(x) = f(x),$$

$$D_{x_0}^j u(x)|_{x_0=0} = g_j(x'), \quad 0 \leq j \leq n-1, \quad D_{x_j} = -i\partial_{x_j},$$

where  $a_{(n,0,\dots,0)} \neq 0$  and the differential operator  $P$  is *hyperbolic relative to  $x_0$* , i.e., for all  $(x, \xi') \in U \times \mathbb{R}^m$  the principal symbol  $P_n(x, \xi)$  is hyperbolic in  $\xi_0$ .

Then the system is locally solvable in the Gevrey class  $G^s$  for  $1 \leq s \leq \frac{n}{n-1}$ .

$f \in G^s(\Omega)$  if and only if  $f \in C^\infty(\Omega)$  and

$$\forall K \subseteq \Omega \text{ cp. } \exists C > 0 \forall x \in K \forall \alpha : |f^{(\alpha)}(x)| \leq C^{|\alpha|+1} |\alpha|!^s$$

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## Theorem (Spagnolo 00)

Let  $I \times U \subseteq \mathbb{R} \times \mathbb{R}^m$  be open. Consider the pseudodifferential  $n \times n$  system

$$u_t + iA(t, D_x)u + B(t, D_x)u = f(t, x), \quad (t, x) \in I \times U,$$

where  $A(t, \xi)$ ,  $B(t, \xi)$  are matrix symbols of order 1, resp. 0, and  $A(t, \xi)$  is homogeneous of degree 1 in  $\xi$  for  $|\xi| \geq 1$ .

Assume that the eigenvalues of  $A(t, \xi)$  admit a parameterization  $\lambda_j(t, \xi)$  such that

- ①  $\lambda_j(t, \xi)$  are absolutely continuous (AC) in  $t$  uniformly w.r.t.  $\xi$
- ②  $\forall \xi$  either  $\operatorname{Im} \lambda_j(t, \xi) \geq 0 \forall t, j$  or  $\operatorname{Im} \lambda_j(t, \xi) \leq 0 \forall t, j$

Then the system is locally solvable in the Gevrey class  $G^s$  for  $1 \leq s \leq \frac{n}{n-1}$  and semi-globally solvable in  $G^s$  for  $1 < s < \frac{n}{n-1}$ .

More precisely,  $A \in [C^\infty(I, S^1(\mathbb{R}^m))]^{n \times n}$ ,  $B \in [C^0(I, S^0(\mathbb{R}^m))]^{n \times n}$ , where  $S^k(\mathbb{R}^m)$  is the set of all  $a \in C^\infty(\mathbb{R}^m)$  such that for all  $\alpha \in \mathbb{N}^m$  there exists  $C_\alpha > 0$  such that

$$|\partial^\alpha a(\xi)| \leq C_\alpha \langle \xi \rangle^{k-|\alpha|} \quad \text{for all } \xi \in \mathbb{R}^m, \quad \langle \xi \rangle = (1 + |\xi|^2)^{\frac{1}{2}}.$$

## Open problem

*Does a  $C^\infty$ -curve  $\mathbb{R} \ni t \mapsto P_a(t)$  of complex monic polynomials admit a parameterization of its roots that is locally absolutely continuous?*

*If so is this possible in a uniform way?*

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- Note that in the absence of hyperbolicity we cannot expect that the roots are locally Lipschitz, e.g.,  $Z^2 = t$ ,  $t \in \mathbb{R}$ .
- If  $a \in C^0(\mathbb{R}, \mathbb{C}^n)$  then the  $\lambda_i$  can be chosen  $C^0$ . [Kato 1976]

## Theorem (Ghisi, Gobbino '13)

Let  $k \in \mathbb{N}_{\geq 1}$ ,  $\alpha \in (0, 1]$ , and let  $I \subseteq \mathbb{R}$  be an open bounded interval. Assume that  $f \in C^0(I, \mathbb{R})$  and there exists  $g \in C^{k, \alpha}(\bar{I}, \mathbb{R})$  such that

$$|f|^{k+\alpha} = |g|.$$

Let  $p$  be defined by  $\frac{1}{p} + \frac{1}{k+\alpha} = 1$ . Then we have  $f' \in L^p_w(I)$  and

$$\|f'\|_{p, w, I} \leq C(k) \max \left\{ \left( \text{Höld}_{\alpha, I}(g^{(k)}) \right)^{\frac{1}{k+\alpha}} |I|^{\frac{1}{p}}, \|g'\|_{L^\infty(I)}^{\frac{1}{k+\alpha}} \right\}.$$



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A measurable  $u : I \rightarrow \mathbb{C}$  belongs to the **weak Lebesgue space**  $L_w^p(I)$  if

$$\|u\|_{p, w, I} := \sup_{r \geq 0} r |\{x \in I : |u(x)| > r\}|^{\frac{1}{p}} < \infty.$$

For  $1 \leq q < p < \infty$  we have  $L^p(I) \subsetneq L_w^p(I) \subsetneq L^q(I) \subsetneq L_w^q(I)$ .

- The conclusion is optimal:  $f'$  is in general not in  $L^p$ . Indeed, for  $g : (-1, 1) \rightarrow \mathbb{R}$ ,  $g(t) = t$ , we have

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- **The assumptions are optimal.** There exists a non-negative function  $f : I \rightarrow \mathbb{R}$  which belongs to  $C^{k,\beta}(\bar{I}) \cap C^\infty(I)$  for every  $\beta < \alpha$ , but not for  $\beta = \alpha$ , and whose non-negative  $(k + \alpha)$ -root has unbounded variation in  $I$ .

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# The general case

$$P_{a(t)}(Z) = Z^n + \sum_{j=1}^n a_j(t)Z^{n-j}$$

Theorem (Parusiński, R., Ann. Sci. Éc. Norm. Supér. (4), to appear)

Let  $(\alpha, \beta) \subseteq \mathbb{R}$  be a bounded open interval.

- If  $a \in C^{n-1,1}([\alpha, \beta], \mathbb{C}^n)$  then any  $C^0$ -root  $\lambda$  is AC.

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- 3 *Uniformity:*

$$\|\lambda'\|_{L^p((\alpha, \beta))} \leq C(n, p) \max\{1, (\beta - \alpha)^{1/p}\} \max_{1 \leq j \leq n} \|a_j\|_{C^{n-1,1}([\alpha, \beta])}^{1/j}.$$

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# Remarks

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in general  $\|f\|_{p,w,I}^p \neq \sum_j \|f\|_{p,w,I_j}^p$  if  $I = \bigsqcup_j I_j$  (countable)

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- Are there scale invariant estimates which could replace the above bound?
- What happens if the coefficients depend on several variables?

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## Theorem (Parusiński, R.)

Let  $\Omega \subseteq \mathbb{R}^m$  be a bounded open Lipschitz domain. Let  $P_a$  be a monic polynomial of degree  $n$  with coefficients  $a_j \in C^{n-1,1}(\overline{\Omega})$ ,  $j = 1, \dots, n$ . Let  $\lambda \in C^0(V)$  be a root of  $P_a$  on an open subset  $V \subseteq \Omega$ . Then  $\lambda$  belongs to the Sobolev space  $W^{1,p}(V)$  for every  $1 \leq p < n/(n-1)$ . The distributional gradient  $\nabla \lambda$  satisfies

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Here we must **impose continuity of  $\lambda$** ! E.g.  $Z^2 = w$ ,  $w \in \mathbb{C}$ , has no solution that is continuous (or  $W^{1,1}$ ) near the origin.

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A natural candidate for a space

- larger than  $W^{1,1}$ , and
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*Do the roots of monic polynomials with smooth coefficients in several variables admit representations by BV-functions?*

- Let  $U \subseteq \mathbb{R}^m$  be open. A function  $f \in L^1(U)$  is a **BV-function** in  $U$  if its distributional derivative is a finite Radon measure, i.e.,

$$\int_U f \partial_i \varphi \, dx = - \int_U \varphi \, dD_i f, \quad \forall \varphi \in C_c^\infty(U), i = 1, \dots, m,$$

for some  $\mathbb{R}^m$ -valued measure  $Df = (D_1 f, \dots, D_m f)$  in  $U$ .

- $W^{1,1}(U) \subsetneq BV(U)$  with  $Df = \nabla f \mathcal{L}^m$ .
- $f \in BV(U)$  if and only if

$$\text{Var}(f, U) := \sup \left\{ \int_U f \operatorname{div} \varphi \, dx : \varphi \in C_c^\infty(U, \mathbb{R}^m), \|\varphi\|_\infty \leq 1 \right\} < \infty.$$

Then  $\text{Var}(f, U) = |Df|(U)$ .

- The **variation**  $\text{Var}(f, U)$  is lsc:

$$\text{Var}(f, U) \leq \liminf_{k \rightarrow \infty} \text{Var}(f_k, U), \quad \text{for } f_k \rightarrow f \text{ in } L^1_{\text{loc}}.$$

- $(BV(U), \|f\|_{BV} = \|f\|_{L^1(U)} + |Df|(U))$  is a Banach space.

# Approximate discontinuities and jump points

- $f \in L^1_{\text{loc}}(U, \mathbb{R}^\ell)$  has an **approximate limit** at  $x \in U$  if

$$\exists z \in \mathbb{R}^\ell : \lim_{r \downarrow 0} \int_{B_r(x)} |f(y) - z| dy = 0.$$

The **approximate discontinuity set**  $S_f$  is the set of  $x \in U$ , where this is not true.

- $x \in U$  is an **approximate jump point** of  $f$  if

$$\exists a^\pm \in \mathbb{R}^\ell, a^- \neq a^+, \nu \in \mathbb{S}^{m-1} : \lim_{r \downarrow 0} \int_{B_r^\pm(x, \nu)} |f(y) - a^\pm| dy = 0,$$

$$\text{where } B_r^\pm(x, \nu) := \{y \in B_r(x) : \pm \langle y - x, \nu \rangle > 0\}.$$

- The set  $J_f$  of approximate jump points is a Borel subset of  $S_f$ , and  $f^\pm : J_f \rightarrow \mathbb{R}^\ell$  and  $\nu_f : J_f \rightarrow \mathbb{S}^{m-1}$  defined by  $(f^+(x), f^-(x), \nu_f(x)) := (a^+, a^-, \nu)$  are Borel functions.

# Decomposition of $Df$

- Let  $f \in BV(U, \mathbb{R}^\ell)$ . The Lebesgue decomposition gives

$$Df = D^a f + D^s f;$$

$D^a f$  is the absolutely continuous and  $D^s f$  is the singular part of  $Df$  w.r.t.  $\mathcal{L}^m$ .

- We have ( $Df = 0$  on  $S_f \setminus J_f$  which is  $\mathcal{H}^{m-1}$ -negligible.)

$$Df = D^a f + D^j f + D^c f \quad \text{where}$$

$$D^j f := D^s f \llcorner J_f \quad \dots \text{ the jump part of } Df$$

$$D^c f := D^s \llcorner (U \setminus S_f) \quad \dots \text{ the Cantor part of } Df.$$

A  $BV$ -function  $f$  is a **SBV-function** if  $D^c f = 0$ .

- By the Federer–Vol'pert theorem

$$D^a f = \nabla f \mathcal{L}^m,$$

$$D^j f = (f^+ - f^-) \otimes \nu_f \mathcal{H}^{m-1} \llcorner J_f.$$

# Discontinuity set of radicals of smooth functions

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## Lemma

*Let  $n, m, k$  be integers with  $n \geq 2$ ,  $m \geq 2$ , and  $k \geq m - 1$ . Let  $U \subseteq \mathbb{R}^m$  be open and  $f \in C^{k,1}(U, \mathbb{C})$ . Then there exist a  $C^k$ -hypersurface  $E \subseteq U$  (possibly empty) and functions  $\lambda_j \in C^0(U \setminus E, \mathbb{C})$ ,  $j = 1, \dots, n$ , s.t.*

$$Z^n - f = \prod_{j=1}^n (Z - \lambda_j).$$

Proof: Apply Sard's theorem to  $\text{sgn}(f) = f/|f| : U \setminus f^{-1}(0) \rightarrow \mathbb{S}^1$ .

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Proof: Apply Sard's theorem to  $\text{sgn}(f) = f/|f| : U \setminus f^{-1}(0) \rightarrow \mathbb{S}^1$ .

But in general we cannot choose the radicals of  $f$  in such a way that its discontinuity set has finite  $\mathcal{H}^{m-1}$ -measure!

## Example

*There exists  $f \in C_c^\infty(\mathbb{R}^2)$  such that for any  $\lambda : \mathbb{R}^2 \rightarrow \mathbb{C}$  with  $\lambda^2 = f$  we have  $\mathcal{H}^1(S_\lambda) = \infty$ .*

## Theorem

Let  $k \in \mathbb{N}_+$ ,  $\alpha \in (0, 1]$ , and set  $s = k + \alpha$ . Let  $\Omega \subseteq \mathbb{R}^m$  be a bounded Lipschitz domain and  $f \in C^{k,\alpha}(\overline{\Omega}, \mathbb{R}^{\ell+1})$ , where  $m \geq \ell \geq 1$ . Then there is a constant  $C = C(m, \ell, k, \alpha, \Omega)$  such that for each small  $\varepsilon > 0$

$$\mathcal{H}^\ell \left( \left\{ y \in \mathbb{S}^\ell : \int_{\text{sgn}(f)^{-1}(y)} |f|^{\ell/s} d\mathcal{H}^{m-\ell} \geq \varepsilon^{-1} C \|f\|_{C^{k,\alpha}(\overline{\Omega})}^{\ell/s} \right\} \right) \leq \varepsilon.$$

In particular: the jump height of a suitable selection of a radical is integrable along its discontinuity set:

$$\int_{\text{sgn}(f)^{-1}(y)} |f|^{1/n} d\mathcal{H}^{m-1} < \infty \quad \text{for } \mathcal{H}^1\text{-a.e. } y \in \mathbb{S}^1.$$

Proof: Optimal regularity of radicals and coarea formula;

$$\int_{\Omega} g(x) |J_\ell h(x)| dx = \int_{\mathbb{R}^\ell} \int_{h^{-1}(y)} g d\mathcal{H}^{m-\ell} dy, \quad \text{where } m \geq \ell \geq 1$$

$h \in W_{\text{loc}}^{1,p}(\Omega, \mathbb{R}^\ell)$  precisely represented,  $p > \ell$  or  $p \geq \ell = 1$ ,  $g \geq 0$  measurable



## Theorem

Let  $k \in \mathbb{N}_+$ ,  $\alpha \in (0, 1]$ , and set  $s = k + \alpha$ . Let  $\Omega \subseteq \mathbb{R}^m$  be a bounded Lipschitz domain and  $f \in C^{k,\alpha}(\overline{\Omega}, \mathbb{R}^{\ell+1})$ ,  $f \not\equiv 0$ . Then there is a constant  $C = C(m, \ell, k, \alpha, \Omega)$  such that for all  $0 < \varepsilon \leq 1$  and all small  $\delta > 0$  we have

$$|\{y \in (0, \delta) : y^{1/s} \mathcal{H}^{m-1}(|f|^{-1}(y)) \geq \varepsilon^{-1} C \|f\|_{C^{k,\alpha}(\overline{\Omega})}^{1/s}\}| \leq \varepsilon \delta.$$

Proof: Coarea formula and optimal regularity of radicals.

## Theorem (Parusiński, R. '18)

Let  $r \in \mathbb{R}_{>0}$ ,  $m \in \mathbb{N}_{\geq 2}$ . Let  $k \in \mathbb{N}$ ,  $\alpha \in (0, 1]$  be s.t.  $k + \alpha \geq \max\{r, m\}$ . Let  $\Omega \subseteq \mathbb{R}^m$  be a bounded Lipschitz domain. Let  $f \in C^{k,\alpha}(\overline{\Omega})$ . Then there exists a solution  $\lambda \in SBV(\Omega)$  of the equation  $Z^r = f$  s.t.

$$\|\lambda\|_{BV(\Omega)} \leq C(m, k, \alpha, \Omega) \|f\|_{C^{k,\alpha}(\overline{\Omega})}^{1/r}.$$

There is a  $C^k$ -hypersurface  $E \subseteq \Omega$  (possibly empty) such that  $\lambda$  is continuous on  $\Omega \setminus E$  and satisfies  $\nabla \lambda \in L_w^p(\Omega \setminus \overline{E})$  for  $p = \frac{r}{r-1}$ . We have

$$\|\nabla \lambda\|_{L_w^p(\Omega \setminus \overline{E})} \leq C(m, k, \alpha, \Omega) \|f\|_{C^{k,\alpha}(\overline{\Omega})}^{1/r},$$

and

$$\int_E |f|^{1/r} d\mathcal{H}^{m-1} \leq C(m, k, \alpha, \Omega) \|f\|_{C^{k,\alpha}(\overline{\Omega})}^{1/r}.$$

All discontinuities are jump discontinuities.

# Roots of bounded variation

## Theorem (Parusiński, R. '18)

For all integers  $n, m \geq 2$  there is an integer  $k = k(n, m) \geq \max(n, m)$  s.t. the following holds. Let  $\Omega \subseteq \mathbb{R}^m$  be a bounded Lipschitz domain and

$$P_a(x)(Z) = P_{a(x)}(Z) = Z^n + \sum_{j=1}^n a_j(x) Z^{n-j}, \quad x \in \Omega,$$

a monic polynomial with coefficients  $a = (a_1, \dots, a_n) \in C^{k-1,1}(\bar{\Omega}, \mathbb{C}^n)$ . Then the roots of  $P_a$  admit a parameterization  $\lambda = (\lambda_1, \dots, \lambda_n)$  by SBV-functions on  $\Omega$  such that

$$\|\lambda\|_{BV(\Omega)} \leq C(n, m, \Omega) \max\{1, \|a\|_{L^\infty(\Omega)}\} \max\{1, \|a\|_{C^{k-1,1}(\bar{\Omega})}\}.$$

There is a finite collection of  $C^{k-1}$ -hypersurfaces  $E_j$  in  $\Omega$  such that  $\lambda$  is continuous in the complement of  $E := \bigcup_j E_j$ . All discontinuities of  $\lambda$  are jump discontinuities. For all  $1 \leq p < \frac{n}{n-1}$ ,

$$\|\lambda\|_{W^{1,p}(\Omega \setminus \bar{E})} \leq C(n, m, p, \Omega) \max_{1 \leq j \leq n} \|a_j\|_{C^{n-1,1}(\bar{\Omega})}^{1/j}.$$

# Idea of the proof in the general case

- In [Parusiński, R., Ann. Sc. Norm. Super. Pisa Cl. Sci. (5), '16] we proved formulas for the roots of the universal polynomial  $P_a$ ,  $a \in \mathbb{C}^n$ . The roots are expressed as finite sums of functions analytic in radicals of local coordinates on a resolution space (a blowing up of  $\mathbb{C}^n$ ).

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- We choose parameterizations of the involved radicals. In this way we obtain *SBV*-parameterizations of these summands.
- But then a new difficulty arises which comes from the fact that these summands are defined only locally on the resolution space. (Actually, they cannot be defined neither globally nor canonically.) We solve this problem by cutting and pasting these locally defined summands which introduces new discontinuities. In order to stay in the class *SBV* we must ascertain integrability of the new jumps along these discontinuities. This is again based on a consequence of Ghisi and Gobbino's result for radicals and the coarea formula.

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- The degree of differentiability  $k$  is not sharp; it is sharp in the radical case.
- The method of our proof is local. This forces us to deal with the global monodromy by cutting and pasting the local choices of the roots. It introduces additional discontinuities some of which are perhaps not necessary. It would be interesting to have a global understanding of the monodromy and the discontinuities it necessitates.

Thank you for your attention!