

Canonical systems and non-commutative geometry

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ABSTRACT: Inspired by ideas from non-commutative geometry, unions of moduli spaces of linear control systems are identified as open subsets of infinite Grassmannians.

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For Michiel Hazewinkel on his 60th birthday.

1. Introduction

A linear control system Σ of type $(m, n, p) \in \mathbb{N}^3$ is determined by the system of linear differential equations

$$\begin{cases} \frac{dx}{dt} &= Ax + Bu \\ y &= Cx, \end{cases}$$

where $u(t) \in \mathbb{C}^m$ is the *input or control* at time t , $x(t) \in \mathbb{C}^n$ is the *state* of the system and $y(t) \in \mathbb{C}^p$ is its *output*. That is, Σ is described by a triple of matrices

$$\Sigma = (A, B, C) \in M_n(\mathbb{C}) \times M_{n \times m}(\mathbb{C}) \times M_{p \times n}(\mathbb{C}) = V_{m,n,p}$$

and is said to be equivalent to a system $\Sigma' = (A', B', C') \in V_{m,n,p}$ if and only if there is a basechange matrix $g \in GL_n = GL_n(\mathbb{C})$ in the state-space such that

$$\Sigma \sim \Sigma' \Leftrightarrow A' = gAg^{-1}, \quad B' = gB \quad \text{and} \quad C' = Cg^{-1}.$$

A system $\Sigma = (A, B, C) \in V_{m,n,p}$ is said to be *completely controllable* (resp. *completely observable*) if and only if the matrix

$$c(\Sigma) = \begin{bmatrix} B & AB & A^2B & \dots & A^{n-1}B \end{bmatrix} \quad (\text{resp.} \quad o(\Sigma) = \begin{bmatrix} C \\ CA \\ CA^2 \\ \vdots \\ CA^{n-1} \end{bmatrix})$$

is of maximal rank. These conditions define GL_n -open subsets $V_{m,n,p}^{cc}$, resp. $V_{m,n,p}^{co}$, consisting of systems with trivial GL_n -stabilizer, whence we have corresponding orbit spaces

$$\text{sys}_{m,n,p}^{cc} = V_{m,n,p}^{cc}/GL_n \quad \text{and} \quad \text{sys}_{m,n,p}^{co} = V_{m,n,p}^{co}/GL_n,$$

which are known to be smooth quasi-projective varieties of dimension $(m + p)n$, see for example [13, Part IV]. A system $\Sigma = (A, B, C) \in V_{m,n,p}$ is said to be *canonical* if it is both completely controllable and completely observable. The corresponding moduli space

$$\text{sys}_{m,n,p}^c = (V_{m,n,p}^{cc} \cap V_{m,n,p}^{co})/GL_n$$

classifies canonical systems having the same input-output behavior, that is, such that all the $p \times m$ matrices CA^iB for $i \in \mathbb{N}$ are equal [13, Part VI - VII]. Conversely, if $F = \{F_j : j \in \mathbb{N}_+\}$ is a sequence of $p \times m$ matrices such that the corresponding *Hankel matrices*

$$H_{ij}(F) = \begin{bmatrix} F_1 & F_2 & \dots & F_j \\ F_2 & F_3 & \dots & F_{j+1} \\ \vdots & \vdots & & \vdots \\ F_i & F_{i+1} & \dots & F_{i+j-1} \end{bmatrix}$$

are such that there exist integers r and s such that $rk H_{rs}(F) = rk H_{r+1,s+j}(F)$ for all $j \in \mathbb{N}_+$, then F is *realizable* by a canonical system $\Sigma = (A, B, C) \in V_{m,n,p}^c$ (for some n which is equal to $rk H_{rs}(F)$), that is,

$$F_j = CA^{j-1}B \quad \text{for all } j \in \mathbb{N}_+,$$

see for example [13, Part VI - VII] for connections between this realization problem and classical problems in analysis. These problems would be facilitated if there was an infinite dimensional manifold X together with a natural stratification

$$X = \bigsqcup_n \text{sys}_{m,n,p}^c$$

by the moduli spaces of canonical systems (for fixed m and p and varying n).

Non-commutative geometry, as outlined by M. Kontsevich in [9], offers a possibility to glue together closely related moduli spaces into an infinite dimensional variety controlled by a non-commutative algebra. The individual moduli spaces are then recovered as moduli spaces of simple representations (of specific dimension vectors) of the non-commutative algebra. An illustrative example is contained in the recent work by G. Wilson and Yu. Berest [15] [1] relating Calogero-Moser spaces to the adelic Grassmannian (see also [3] and [6] for the connection with non-commutative geometry). The main aim of the present paper is to offer another (and more elementary) example :

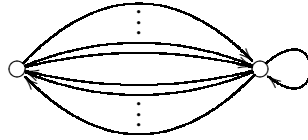
Theorem 1 *The equivalence classes of canonical systems with fixed input- and output-dimensions m and p form a specific open submanifold*

$$\bigsqcup_n \text{sys}_{m,n,p}^c \hookrightarrow \text{Gras}_{m+p}(\infty)$$

of the infinite Grassmannian of $m + p$ -dimensional subspaces.

This paper is organized as follows. In section two we show that Kontsevich's approach is applicable to moduli spaces of canonical systems by proving that there is a natural one-to-one correspondence between equivalence classes of canonical systems with n -dimensional state space and

isomorphism classes of simple representations of dimension vector $(1, n)$ of the formally smooth path algebra of the quiver



with m arrows pointing right and p arrows pointing left. This observation gives a short proof of the following result, due to M. Hazewinkel ([13, thm. VI.2.5] or [8, (2.5.7)]):

Theorem 2 (Hazewinkel) *The moduli space $\text{sys}_{m,n,p}^c$ of canonical systems is a quasi-affine variety.*

In section 3 we prove that the moduli spaces $\text{sys}_{m,n,p}^{cc}$ (resp. $\text{sys}_{m,n,p}^{co}$) of completely controllable (resp. completely observable) systems are isomorphic to moduli spaces (in the sense of A. King [10]) of θ -stable representations of dimension vector $(1, n)$ for this quiver, where $\theta = (-n, 1)$ (resp. $\theta = (n, -1)$). By computing the cohomology of these moduli spaces, as in [14], we were then led to

Theorem 3 *The moduli space $\text{sys}_{m,n,p}^{cc}$ of completely controllable systems has a cell decomposition identical to the natural cell decomposition of a vectorbundle of rank $(p + 1)n$ on the Grassmannian $\text{Gras}_n(m + n - 1)$ with respect to the Schubert cells on the Grassmannian.*

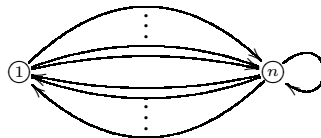
In an earlier version of this note we claimed that the moduli space itself is a vectorbundle over the Grassmannian. However, this cannot be the case when $m = n$ as the referee kindly pointed out.

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2. Proof of theorem 2

Consider the quiver setting (Q, α) where the dimension vector is $\alpha = (1, n)$ and the quiver Q



has m arrows $\{b_1, \dots, b_m\}$ from left to right and p arrows $\{c_1, \dots, c_p\}$ from right to left. We can identify $V_{m,n,p}$ with $\text{rep}_\alpha Q$, where we associate to a system $\Sigma = (A, B, C)$ the representation V_Σ which assigns to the arrow b_i (resp. c_j) the i -th column B_i of B (resp. the j -th row C^j of C) and the matrix A to the loop. The basechange action of $(\lambda, g) \in GL(\alpha) = \mathbb{C}^* \times GL_n$ acts on the representation $V_\Sigma = (A, B_1, \dots, B_m, C^1, \dots, C^p)$ as follows:

$$(\lambda, g).V_\Sigma = (gAg^{-1}, gB_1\lambda^{-1}, \dots, gB_m\lambda^{-1}, \lambda C^1g^{-1}, \dots, \lambda C^pg^{-1}),$$

and as the central subgroup $\mathbb{C}^*(1, \mathbf{1}_n)$ acts trivially on $\text{rep}_\alpha Q$, there is a natural one-to-one correspondence between equivalence classes of systems in $V_{m,n,p}$ and isomorphism classes of α -dimensional representations in $\text{rep}_\alpha Q$. If $\mathbb{C}Q$ denotes the *path algebra* of the quiver Q , then it is well known that $\mathbb{C}Q$ is a formally smooth algebra in the sense of [4], and that there is an equivalence of categories between finite dimensional right $\mathbb{C}Q$ -modules and representations of Q . It is perhaps surprising that the system theoretic notion of canonical system corresponds under these identifications to the algebraic notion of simple module.

Lemma 1 *The following are equivalent:*

1. $\Sigma = (A, B, C) \in V_{m,n,p}$ is a canonical system,
2. $V_\Sigma = (A, B_1, \dots, B_m, C^1, \dots, C^p) \in \text{rep}_\alpha Q$ is a simple representation.

Proof. $1 \Rightarrow 2$: If V_Σ has a proper subrepresentation of dimension vector $\beta = (1, l)$ for some $l < n$, then the rank of the control-matrix $c(\Sigma)$ is at most l , contradicting complete controllability. If V_Σ has a proper subrepresentation of dimension vector $\beta' = (0, l)$ with $l \neq 0$, then the observation-matrix $o(\Sigma)$ has rank at most $n - l$, contradicting complete observability. $2 \Rightarrow 1$: If $\text{rk } c(\Sigma) = l < n$ then there is a proper subrepresentation of dimension vector $(1, l)$ of V_Σ . If $\text{rk } o(\Sigma) = n - l$ with $l > 0$, then there is a proper subrepresentation of dimension vector $(0, l)$ of V_Σ .

From [12] we recall that for a general quiver setting (Q, α) the isomorphism classes of α -dimensional semi-simple representations are classified by the *affine* algebraic quotient variety

$$\text{rep}_\alpha Q // GL(\alpha) = \text{iss}_\alpha Q$$

whose coordinate ring is generated by all traces along oriented cycles in the quiver Q . If α is the dimension vector of a simple representation, this affine quotient has dimension $1 - \chi_Q(\alpha, \alpha)$ where χ_Q is the *Euler form* of Q . Moreover, the isomorphism classes of *simple* representations form a Zariski open *smooth subvariety* of $\text{iss}_\alpha Q$. Specializing these general results from [12] to the case of interest, we recover Hazewinkels theorem.

Theorem 4 (Hazewinkel) *The moduli space $\text{sys}_{m,n,p}^c$ of canonical systems is a smooth quasi-affine variety of dimension $(m + p)n$.*

In fact, combining the theory of local quivers (see for example [11]) with the classification of all quiver settings having a smooth quotient variety due to Raf Bocklandt [2], it follows that (unless $m = p = 1$) $\text{sys}_{m,n,p}^c$ is precisely the smooth locus of the affine quotient variety $\text{iss}_\alpha Q$.

3. Proof of theorem 3

For (Q, α) a quiver setting on k vertices and if $\theta \in \mathbb{Z}^k$, a representation $V \in \text{rep}_\alpha Q$ is said to be θ -*semistable* (resp. θ -*stable*) if and only if for every *proper* non-zero subrepresentation W of V we have that $\theta \cdot \beta \geq 0$ (resp. $\theta \cdot \beta > 0$), where β is the dimension vector of W . In the special case

when $\alpha = (1, n)$ and Q is the quiver introduced before, there are essentially two different *stability structures* on $\text{rep}_\alpha Q$ determined by the integral vectors

$$\theta_+ = (-n, 1) \quad \text{and} \quad \theta_- = (n, -1)$$

By the identification of $\text{rep}_\alpha Q$ with $V_{m,n,p}$ and the proof of lemma 1 we have

Lemma 2 For $\theta_+ = (-n, 1)$ the following are equivalent:

1. $\Sigma \in V_{m,n,p}$ is completely controllable,
2. $V_\Sigma \in \text{rep}_\alpha Q$ is θ_+ -stable.

For $\theta_- = (n, -1)$ the following are equivalent:

1. $\Sigma \in V_{m,n,p}$ is completely controllable,
2. $V_\Sigma \in \text{rep}_\alpha Q$ is θ_- -stable.

For a general stability structure θ and quiver setting (Q, α) , A. King [10] introduced and studied the *moduli space* $\text{moduli}_\alpha^\theta Q$ of θ -semistable representations, the points of which classify isomorphism classes of direct sums of θ -stable representations. In the case of interest to us we have

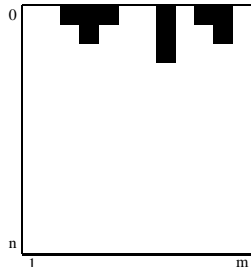
$$\text{sys}_{m,n,p}^{cc} = \text{moduli}_\alpha^{\theta_+} Q \quad \text{and} \quad \text{sys}_{m,n,p}^{co} = \text{moduli}_\alpha^{\theta_-} Q.$$

In [14] the Harder-Narasimham filtration associated to a stability structure was used to compute the cohomology of the moduli spaces $\text{moduli}_\alpha^\theta Q$ (at least if the quiver Q has no oriented cycles). For general quivers the same methods can be applied to compute the number of \mathbb{F}_q -points of these moduli spaces, where \mathbb{F}_q is the finite field of $q = p^l$ elements. In the case of interest to us, we get the rational functions

$$\begin{cases} \# \text{moduli}_\alpha^{\theta_+} Q(\mathbb{F}_q) &= q^{n(p+1)} \prod_{i=1}^n \frac{q^{m+i-1}-1}{q^i-1} \\ \# \text{moduli}_\alpha^{\theta_-} Q(\mathbb{F}_q) &= q^{n(m+1)} \prod_{i=1}^n \frac{q^{p+i-1}-1}{q^i-1}, \end{cases}$$

which suggests that the moduli space $\text{sys}_{m,n,p}^{cc}$ is a vectorbundle of rank $n(p+1)$ over the Grassmannian $\text{Gras}_n(m+n-1)$, and that the moduli space $\text{sys}_{m,n,p}^{co}$ is a vectorbundle of rank $n(m+1)$ over $\text{Gras}_n(p+n-1)$.

To a completely controllable $\Sigma = (A, B, C)$ one associates its *Kalman code* K_Σ , which is an array of $n \times m$ boxes $\{(i, j) \mid 0 \leq i < n, 1 \leq j \leq m\}$, ordered lexicographically, with exactly n boxes painted black. If the column $A^i B_j$ is linearly independent of all column vectors $A^k B_l$ with $(k, l) < (i, j)$ we paint box (i, j) black. From this rule it is clear that if (i, j) is a black box so are (i', j) for all $i' \leq i$. That is, the Kalman code K_Σ (which only depends on the GL_n -orbit of Σ) looks like



Assume $\kappa = K_\Sigma$ has k black boxes on its first row at places $(0, i_1), \dots, (0, i_k)$. Then we assign to κ the strictly increasing sequence

$$1 \leq j_\kappa(1) = i_1 < j_\kappa(2) = i_2 < \dots < j_\kappa(k) = i_k \leq m$$

and another sequence $p_\kappa(1), \dots, p_\kappa(k)$, where $p_\kappa(j)$ is the total number of black boxes in the i_j -th column of κ , that is,

$$p_\kappa(1) + p_\kappa(2) + \dots + p_\kappa(k) = n.$$

It is clear that there is a one-to-one correspondence between Kalman codes and pairs of functions satisfying these conditions. Further, define the strictly increasing sequence

$$h_\kappa(0) = 0 < h_\kappa(1) = p_\kappa(1) < \dots < h_\kappa(j) = \sum_{i=1}^j p_\kappa(i) < \dots < h_\kappa(k) = n.$$

With these notations we have the following canonical form for $\Sigma = (A, B, C) \in V_{m,n,p}^{cc}$ which is essentially [5, lemma 3.2]:

Lemma 3 *For a completely reachable system $\Sigma = (A, B, C)$ with Kalman code $\kappa = K_\Sigma$, there is a unique $g \in GL_n$ such that $g.(A, B, C) = (A', B', C')$ with*

- $B'_{j_\kappa(i)} = \mathbf{1}_{h_\kappa(i-1)+1}$ for all $1 \leq i \leq k$.
- $A'_i = \mathbf{1}_{i+1}$ for all $i \notin \{h_\kappa(1), h_\kappa(2), \dots, h_\kappa(k)\}$.
- All entries in the remaining columns of A' and B' are determined as the quotient of two specific $n \times n$ minors of $c(\Sigma)$.
- $C' = Cg^{-1}$.

This allows us to prove theorem 3 :

Theorem 5 *The moduli space $\text{sys}_{m,n,p}^{cc}$ of completely controllable systems has a cell decomposition identical to the natural cell decomposition of a vectorbundle of rank $n(p+1)$ over the Grassmann manifold $\text{Gras}_n(m+n-1)$.*

Proof. Define a map $V_{m,n,p}^{cc} \xrightarrow{\phi} \text{Gras}_n(m+n-1)$ by sending a completely reachable system $\Sigma = (A, B, C)$ to the point in $\text{Gras}_n(m+n-1)$ determined by the $n \times (m+n-1)$ matrix

$$M_\Sigma = \begin{bmatrix} B'_1 & \dots & B'_m & A'_1 & \dots & A'_{n-1} \end{bmatrix},$$

where (A', B', C') is the canonical form of Σ given by the previous lemma. By construction, M_Σ has rank n with invertible $n \times n$ matrix determined by the columns

$$I_\kappa = \{j_\kappa(1) < \dots < j_\kappa(k) < m + c_1 < \dots < m + c_{n-k}\} \subset \{1, \dots, m+n-1\},$$

where $\{c_1, \dots, c_{n-k}\} = \{1, \dots, n\} - \{h_\kappa(1), \dots, h_\kappa(k)\}$. As all remaining entries of (A', B') are determined by $c(\Sigma)$ it follows that $\phi(\Sigma)$ depends only on the GL_n -orbit of Σ , whence the map factorizes through

$$\text{sys}_{m,n,p}^{cc} \xrightarrow{\psi} \text{Gras}_n(m+n-1),$$

and we claim that ψ is surjective. To begin, all multi-indices $I = \{1 \leq d_1 < d_2 < \dots < d_n \leq n + m - 1\}$ are of the form I_κ for some Kalman code κ . Define

$$\{d_1, \dots, d_n\} = \{i_1, \dots, i_k\} \cup \{m + c_1, \dots, m + c_{n-k}\}$$

with $i_j \leq m$ and $1 \leq c_j < n$, and let $\{e_1 < \dots < e_k\} = \{1, \dots, n\} - \{c_1, \dots, c_{n-k}\}$, and set $e_0 = 0$. Construct the Kalman code κ having $e_j - e_{j-1}$ black boxes in the i_j -th column and verify that I is indeed I_κ .

$\text{Gras}_n(m + n - 1)$ is covered by modified Schubert cells S_I (isomorphic to some affine space) consisting of points such that the I -minor is invertible, where I is a multi-index $\{d_1, \dots, d_n\}$, and the dimension of the subspace spanned by the first k columns is i iff $k < d_{i+1}$. A point in S_I can be taken such that the d_i -th column is equal to

$$\begin{cases} \mathbf{1}_{h_\kappa(i-1)+1} & \text{for } d_i \leq m \\ \mathbf{1}_{j+1} & \text{for } d_i = m + i, \end{cases}$$

where $I = I_\kappa$. This determines a $n \times (n + m - 1)$ matrix $[B_1 \dots B_m \ A_1 \dots A_{n-1}]$, and choosing any last column A_n and any $p \times n$ matrix C we obtain a system $\Sigma = (A, B, C)$ which is completely controllable, and which is mapped to the given point under ψ . This finishes the proof.

Because the map $(A, B, C) \longrightarrow (A^{tr}, C^{tr}, B^{tr})$ defines a duality between $V_{m,n,p}^{co}$ and $V_{p,n,m}^{cc}$, we have a similar result for the moduli spaces of completely observable systems.

Theorem 6 *The moduli space of completely observable systems $\text{sys}_{m,n,p}^{co}$ has a cell decomposition identical to that of a vectorbundle of rank $n(p+1)$ over the Grassmann manifold $\text{Gras}_n(p+n-1)$.*

4. Proof of theorem 1

The counting argument of the previous section gives us also a conjectural description of the infinite dimensional variety admitting a stratification by the moduli spaces $\text{sys}_{m,n,p}^{cc}$. It follows from the explicit rational form of $\# \text{sys}_{m,n,p}^{cc}(\mathbb{F}_q)$ and the *q-binomial theorem* that

$$\sum_{n=0}^{\infty} \# \text{sys}_{m,n,p}^{cc}(\mathbb{F}_q) t^n = \prod_{i=1}^m \frac{1}{1 - q^{p+i}t}$$

In the special case when $p = 0$ we recover the cohomology of the infinite Grassmannian $\text{Gras}_m(\infty)$ of m -dimensional subspaces of a countably infinite dimensional vectorspace. For $p \geq 1$ we only get a factor of the cohomology of $\text{Gras}_{m+p}(\infty)$, which led to the following result.

Theorem 7 *The disjoint union $\bigsqcup_n \text{sys}_{m,n,p}^{cc}$ is the open subset of the infinite dimensional Grassmann manifold $\text{Gras}_{m+p}(\infty)$ which is the union of all standard affine open sets corresponding to a multi-index set $I = \{1 \leq d_1 < d_2 < \dots < d_{m+p}\}$ such that*

$$\{m + 1, m + 2, \dots, m + p, m + p + n\} \subset I.$$

Proof. Let $\Sigma = (A, B, C)$ be a completely controllable system in canonical form represented by the point $p_\Sigma \in \text{sys}_{m,n,p}^{cc}$. Consider the $n \times (m + p + n)$ matrix

$$L_\Sigma = \begin{bmatrix} B & C^{tr} & A \end{bmatrix}.$$

The submatrix $M_\Sigma = \begin{bmatrix} B_1 & \dots & B_m & A_1 & \dots & A_{n-1} \end{bmatrix}$ has rank n , whence so has L_Σ , and p_Σ determines a point in $\text{Gras}_n(n + m + p)$. Under the natural duality

$$\text{Gras}_n(m + p + n) \xrightarrow{D} \text{Gras}_{m+p}(m + p + n),$$

the point p_Σ is mapped to the point determined by the $(m + p) \times (m + p + n)$ matrix N_Σ whose rows give a basis for the linear relations holding among the columns of L_Σ . Because M_Σ has rank n it follows that the columns of C^{tr} and the last column A_n of A are linearly dependent of those of M_Σ . As a consequence the matrix

$$N_\Sigma = \begin{bmatrix} U_1 & \dots & U_m & V_1 & \dots & V_p & W_1 & \dots & W_n \end{bmatrix}$$

has the property that the submatrix $\begin{bmatrix} V_1 & \dots & V_p & W_n \end{bmatrix}$ has rank $p + 1$. This procedure defines a morphism

$$\text{sys}_{m,n,p}^{cc} \xrightarrow{\gamma_n} \text{Gras}_{m+p}(m + p + n),$$

the image of which is the open union of all standard affine opens determined by a multi-index set $I = \{1 \leq d_1 < d_2 < \dots < d_{m+p} \leq m + p + n\}$ satisfying

$$\{m + 1, m + 2, \dots, m + p, m + p + n\} \subset I.$$

Therefore, the image of the morphism

$$\bigsqcup_n \text{sys}_{m,n,p}^{cc} \xrightarrow{\sqcup \gamma_n} \text{Gras}_{m+p}(\infty)$$

is the one of the statement of the theorem. The dimension n of the system corresponding to a point in this open set of $\text{Gras}_{m+p}(\infty)$ is determined by $d_{m+p} = m + p + n$.

By the duality between $V_{m,n,p}^{cc}$ and $V_{p,n,m}^{co}$ used in the previous section we deduce:

Theorem 8 *The disjoint union $\bigsqcup_n \text{sys}_{m,n,p}^{co}$ is the open subset of $\text{Gras}_{m+p}(\infty)$ which is the union of all standard affine opens corresponding to a multi-index set $I = \{1 \leq d_1 < d_2 < \dots < d_{m+p}\}$ such that*

$$\{1, 2, \dots, m, m + p + n\} \subset I.$$

This, in turn, proves theorem 1 :

Theorem 9 *The disjoint union $\bigsqcup_n \text{sys}_{m,n,p}^c$ of all moduli spaces of canonical systems with fixed input- and output-dimension m and p is the open subset of the infinite Grassmannian $\text{Gras}_{m+p}(\infty)$ of $m + p$ -dimensional subspaces of a countably infinite dimensional vectorspace which is the intersection of all possible standard open subsets X_I and X_J , where I and J are multi-index sets satisfying the conditions*

$$\{m + 1, m + 2, \dots, m + p, m + p + n\} \subset I \quad \text{and} \quad \{1, 2, \dots, m, m + p + n\} \subset J.$$

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