

ON THE MINIMUM RANK AMONG POSITIVE SEMIDEFINITE MATRICES WITH A GIVEN GRAPH

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Abstract. Let $\mathcal{P}(G)$ be the set of all positive semidefinite matrices whose graph is G , and $\text{msr}(G)$ be the minimum rank of all matrices in $\mathcal{P}(G)$. Upper and lower bounds for $\text{msr}(G)$ are given and used to determine $\text{msr}(G)$ for some well-known graphs, including chordal graphs, and for all simple graphs on less than seven vertices.

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1. Introduction. If A is an n -by- n Hermitian matrix, then its graph $G(A)$ is the undirected, simple graph on vertices $\{1, 2, \dots, n\}$ which has an edge between vertices i and j if and only if the i, j entry of A is nonzero and $i \neq j$. The graph is independent of the real diagonal entries of A . The set of all Hermitian matrices that share a common graph G is denoted $\mathcal{H}(G)$: $\mathcal{H}(G) = \{A \mid A = A^*, G(A) = G\}$. If G is a simple connected graph, then matrices in $\mathcal{H}(G)$ may be viewed as the discrete version of the continuous Schrödinger operators with magnetic fields ([3]).

The possible multiplicities of the eigenvalues among matrices in $\mathcal{H}(G)$ have been of much recent interest ([6, 7, 9, 10, 12]). It is known, for example, that if G is a tree, then the smallest eigenvalue of any matrix in $\mathcal{H}(G)$ has multiplicity one ([6]). This implies that any Hermitian positive semidefinite (PSD) matrix whose graph is a tree has rank at least $n - 1$. A converse to this statement, that for any non-tree the minimum rank of a PSD matrix is less than $n - 1$, was proved independently (Lemma 5, [8] and Theorem 4.1, [15]). This raises the following very interesting question: given a graph G , what is the minimum rank among PSD matrices in $\mathcal{H}(G)$?

Let $\mathcal{P}(G)$ denote the PSD matrices in $\mathcal{H}(G)$. Define the *minimum semidefinite rank of G* , $\text{msr}(G)$, as $\min\{\text{rank } A : A \in \mathcal{P}(G)\}$. We present here some results about $\text{msr}(G)$ which give $\text{msr}(G)$ for every chordal graph and for most graphs on fewer than seven vertices. It is equally interesting to find the minimum PSD rank over the

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symmetric real matrices instead of Hermitian matrices. It is not known if these two problems are different, though there can be differences in some related problems [11].

If G is not connected, it is clear that $\text{msr}(G)$ is the sum of the minimum semidefinite ranks of each of G 's connected components, so that we may (and do) confine our attention to connected graphs. Note that if G is a connected graph the diagonal entries of $A \in \mathcal{P}(G)$ are nonzero real numbers.

2. Lower Bounds using Induced Subgraphs. We will obtain several lower bounds using induced subgraphs. An *induced subgraph* H of a graph G is obtained by deleting all vertices except for the vertices in a subset S . Since a principal submatrix of a PSD matrix is PSD and the rank of a submatrix can never be greater than that of the matrix ([5, p. 397]), we have

LEMMA 2.1. *If H is an induced subgraph of the graph G , then $\text{msr}(H) \leq \text{msr}(G)$.*

Equality can occur in the inequality of Lemma 2.1 in important ways; of course, strict inequality is common. One case of equality is that in which the induced subgraph is the result of the deletion of a duplicate vertex from G . For a vertex w , let $n(w)$ denote the set of all vertices adjacent to w . The *closed neighborhood* of w is $n(w) \cup \{w\}$. A vertex u is a *duplicate* of a vertex v of G if u and v are adjacent and their closed neighborhoods are the same. We denote the induced subgraph of G resulting from the deletion of a vertex u by $G - u$. We then have

PROPOSITION 2.2. *Let G be a graph on three or more vertices. If u is a duplicate vertex of v in G , then $\text{msr}(G - u) = \text{msr}(G)$.*

Proof. From Lemma 2.1, $\text{msr}(G - u) \leq \text{msr}(G)$. Let $A' \in \mathcal{P}(G - u)$ be a PSD matrix such that $\text{rank } A' = \text{msr}(G - u)$. By permuting the rows and columns of A' let the first row and column of A' correspond to the vertex v . If $A' = B^*B$ then consider $A = \begin{bmatrix} B^* \\ e_1^T B^* \end{bmatrix} \begin{bmatrix} B & B e_1 \end{bmatrix}$ where $e_1^T = (1, 0, \dots, 0)$. Then $\text{rank } A = \text{rank } A'$ and $A \in \mathcal{P}(G)$. Thus $\text{msr}(G) \leq \text{msr}(G - u)$. \square

From a sequential deletion of duplicate vertices and application of Proposition 2.2 we get

COROLLARY 2.3. *If H is the induced subgraph of G obtained by a sequential deletion of duplicate vertices of G and H has at least two vertices, then $\text{msr}(H) = \text{msr}(G)$.*

REMARK 2.4. *As an easy consequence of Corollary 2.3, we obtain that $\text{msr}(K_n) = 1$ where K_n denotes the complete graph on n vertices. Note that Proposition 2.2 is incorrect if applied to two nonadjacent vertices with the same neighbors. To see this, let G be K_4 minus an edge. Deletion of a degree 3 vertex gives $\text{msr}(G) = 2$ using Proposition 2.2, but deletion of a degree 2 vertex results in K_3 whose msr equals one.*

Another important application of Lemma 2.1 is that in which H is an induced tree on the maximum possible number of vertices as we know the msr for any tree. For a graph G , we consider its ‘‘tree size,’’ denoted $\text{ts}(G)$, which is the number of vertices in a maximum induced tree ([4]). When T is a tree, it is known that $\text{msr}(T)$ is one less than the number of vertices of T . This fact, combined with Lemma 2.1, immediately gives

LEMMA 2.5. *If G is any graph, $\text{msr}(G) \geq \text{ts}(G) - 1$.*

As mentioned in the introduction, equality in Lemma 2.5 occurs whenever G is a tree. It also occurs for any non-tree G on n vertices for which $\text{ts}(G) = n - 1$; in this case $\text{msr}(G) \geq n - 2$ by Lemma 2.5 and $\text{msr}(G) \leq n - 2$ because G is not a tree. Thus $\text{msr}(G) = n - 2$. For example, if G is a cycle on n vertices, the tree size is $n - 1$ (because deletion of any one vertex leaves a path on $n - 1$ vertices). Therefore, the msr of a cycle on n vertices is $n - 2$ (cf. [15, Theorem 4.3]).

For an induced forest of G with components T_1, T_2, \dots, T_k , count $\text{ts}(T_1) + \text{ts}(T_2) + \dots + \text{ts}(T_k) - (\text{the number of components that are not isolated vertices})$. Among all induced forests of G maximize this count and call this result $\text{fm}(G)$, the “forest measure” of G . Any isolated vertices occurring in an induced subgraph of a connected graph G contribute 1, rather than 0, to $\text{msr}(G)$, as an irreducible PSD matrix has positive diagonal entries. We then have

PROPOSITION 2.6. *If G is a graph, then $\text{msr}(G) \geq \text{fm}(G) \geq \text{ts}(G) - 1$. Figure 2.1 illustrates that strict inequality is possible in the second inequality of Proposition 2.6, as $\text{fm}(G) = 4$ by deleting any single interior vertex.*

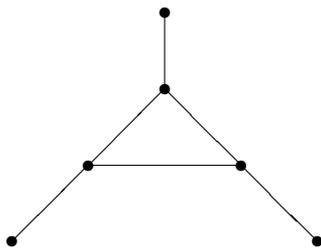


FIG. 2.1. $\text{fm}(G) = 4$

One special case of an induced forest is an induced set of isolated vertices. The maximum cardinality of such a set is the *independence number* $i(G)$, the greatest number of vertices among which there are no edges. Clearly $\text{fm}(G) \geq i(G)$, so that we have

COROLLARY 2.7. *For a graph G , $\text{msr}(G) \geq i(G)$.*

Suppose G is a connected graph with vertex set $V = \{v_1, v_2, \dots, v_n\}$. We call a set of vectors $\vec{V} = \{\vec{v}_1, \vec{v}_2, \dots, \vec{v}_n\}$ in \mathbb{C}^m a *vector representation* of G if

$$\begin{bmatrix} \vec{v}_1 \\ \vec{v}_2 \\ \vdots \\ \vec{v}_n \end{bmatrix} \begin{bmatrix} \vec{v}_1 \\ \vec{v}_2 \\ \vdots \\ \vec{v}_n \end{bmatrix}^* = A \in \mathcal{P}(G)$$

In other words, we associate a vector $\vec{v}_i \in \mathbb{C}^m$ to each vertex $v_i \in V(G)$ such that for $i \neq j$, $\langle \vec{v}_i, \vec{v}_j \rangle \neq 0$ if v_i and v_j are connected by an edge in G and $\langle \vec{v}_i, \vec{v}_j \rangle = 0$ if v_i and v_j are not connected. Since every PSD matrix $A \in \mathcal{P}(G)$ can be written as $A = B^*B$ for some matrix B , we can always find a vector representation of $G(A)$ that produces A . Also, the rank of the matrix and the rank of the vector representation are always the same ([5, p. 408]).

We end this section by giving a sufficient condition on G so that $\text{msr}(G) = \text{ts}(G) - 1$. To prove the result we need the following lemma.

LEMMA 2.8. *Suppose X_1, \dots, X_m , $X_i \subseteq \mathbb{C}^n$ for $1 \leq i \leq m$, are vector representations of subgraphs G_1, \dots, G_m of G such that*

- *for every pair of vertices v, w of G connected by an edge in G , there exists an i such that v and w are connected by an edge in G_i , and*
- *for every pair of vertices v, w of G that are not connected in G , if \vec{x}_v represents vertex v in X_i and \vec{x}_w represents vertex w in X_j , $\langle \vec{x}_v, \vec{x}_w \rangle = 0$,*

then there exists a vector representation X of G with

$$\text{rank } X \leq \text{rank} \left(\bigcup_{1 \leq i \leq m} \text{span } X_i \right) \leq \sum_{1 \leq i \leq m} \text{rank } X_i.$$

Proof. We prove the statement for the case of two vector representations as the result can be easily generalized. Let $X_1 = \{\vec{x}_i\}$ and $X_2 = \{\vec{w}_i\}$ be vector representations of subgraphs G_1 and G_2 of a graph G . Extend X_1 and X_2 to represent all vertices of G by adding copies of the zero vector if need be. We claim there exists $c \in \mathbb{R}$ such that $\{\vec{x}_i + c\vec{w}_i\}$ is a vector representation of G .

If $(v_i, v_j) \notin E$, then $\langle \vec{x}_i, \vec{x}_j \rangle = \langle \vec{w}_i, \vec{w}_j \rangle = 0$. This implies that $\langle \vec{x}_i + c\vec{w}_i, \vec{x}_j + c\vec{w}_j \rangle = 0$ for any $c \in \mathbb{C}$. If v_i and v_j are connected by an edge, then $\{\langle \vec{x}_i + c\vec{w}_i, \vec{x}_j + c\vec{w}_j \rangle\}$ is a set of quadratics in c having finitely many roots. Thus we may choose $c \in \mathbb{R}$ so that $\{\vec{x}_i + c\vec{w}_i\}$ is a vector representation of G . \square

Suppose T is a maximum induced tree. If w is a vertex not belonging to T , denote by $\mathcal{E}(w)$ the edge set of all paths in T between every pair of vertices of T that are adjacent to w .

THEOREM 2.9. *For a connected graph G , $\text{msr}(G) = \text{ts}(G) - 1$ if the following condition \circledast holds:*

\circledast *There exists a maximum induced tree T such that for u and w not on T , $\mathcal{E}(u) \cap \mathcal{E}(w) \neq \emptyset$ if and only if u and w are connected by an edge in G .*

Proof. Using Lemma 2.8 we will cover G with subgraphs that have vector representations possessing the desired properties. If \circledast holds for a maximum induced tree T of G , then every vertex w not on T must be adjacent to some vertex on T . Moreover, by the definition of T , w is adjacent to at least two vertices of T . Assign an orthonormal set of vectors $\{\vec{x}_e\}$ of dimension $(\text{ts}(G) - 1)$ to the edges of T , one vector per edge. If $v \in V(T)$, assign the vector $\vec{v} = \sum_e \vec{x}_e$ to v , where the summation is over all edges incident to v . This gives a vector representation \vec{T} of T .

For any path $p = (e_1, e_2, \dots, e_m)$ in T , let

$$\vec{p} = \sum_{j=1}^m (-1)^j \vec{x}_{e_j}.$$

Given a vertex w not on T and a vertex v_1 on T connected by an edge, w must have another neighbor v_2 on T . If p is a path between v_1 and v_2 in T , letting \vec{p} represent w and \vec{T} represent T yields a vector representation of a subgraph of G containing the edge between w and v_1 .

Given two vertices w_1 and w_2 not on T that are connected by an edge, by \circledast there exist intersecting paths p_1 and p_2 in T so that the end vertices of p_i are neighbors of w_i , $i = 1, 2$. Letting \vec{p}_i represent w_i for $i = 1, 2$ and \vec{T} represent T yields a representation of a subgraph of G containing the edge connecting w_1 and w_2 .

By construction, these representations cover all edges of G , are contained in

$$\text{span}\{\vec{x}_e : e \text{ an edge of } T\},$$

and satisfy the conditions of Lemma 2.8, so that $\text{msr}(G) \leq \text{ts}(G) - 1$. \square

3. Chordal Graphs. The sum of two PSD matrices is PSD and the rank of a sum is never more than the sum of the ranks [5, p. 13]. If we cover all edges of

a graph G with (not necessarily induced) subgraphs of known msr, this can lead to useful upper bounds for $\text{msr}(G)$. First, suppose that G is labeled and that G_1, \dots, G_k are (labeled) subgraphs of G , that is, each $G_i, i = 1, \dots, k$ is the result of deleting some edges and/or vertices from G . We say that G_1, \dots, G_k *cover* G if each vertex of G is an vertex of at least one G_i and for every pair of vertices v, w of G that are connected by an edge in G , v and w are connected by an edge in at least one G_i . The cover C_1, \dots, C_k of G is called a *clique cover* of G if each of C_1, \dots, C_k is a clique of G . The *clique cover number* (see [13]) of G , $\text{cc}(G)$, is the minimum value of k for which there is a clique cover C_1, \dots, C_k of G .

PROPOSITION 3.1. *For any simple graph G , $\text{msr}(G) \leq \text{cc}(G)$.*

Proof. Follows from Lemma 2.8 and Remark 2.4. \square

Since the clique cover number of a cycle on n vertices is n but its msr is $n - 2$, strict inequality is possible in Proposition 3.1.

Given a vector representation \vec{V} of G , with \vec{v} representing vertex v , replace each vector $\vec{w} \in \vec{V}$ with the orthogonal projection

$$\vec{w} - \frac{\langle \vec{v}, \vec{w} \rangle}{\langle \vec{v}, \vec{v} \rangle} \vec{v}$$

to yield a set of vectors denoted $\vec{V} \ominus \vec{v}$.

Consider the graph corresponding to $\vec{V} \ominus \vec{v}$. It is obtained from the original graph G , first by removing the vertex v and then modifying the graph in the following manner: for $u, w \in n(v)$, if (u, w) is not an edge of G then (u, w) is an edge of the modified graph and if (u, w) is an edge of G then (u, w) may or may not be an edge of the modified graph. Notice in the latter case that the ‘may or may not’ depends on the choice of vector representation \vec{V} . In what follows, we consider graphs which have multiple edges. This allows us to define below ‘ $G \ominus v$,’ which better captures the relationship between $\vec{V} \ominus \vec{v}$ and the ‘orthogonal removal of vertex v .’

The following definition is found in [15]. Let G be an undirected graph with no loops but possibly multiple edges, with vertex set $V = \{1, 2, \dots, n\}$. Let \mathcal{H}_G be the set of all n -by- n Hermitian matrices $A = [a_{ij}]$ such that

- $a_{ij} \neq 0$ if i and j are connected by exactly one edge
- $a_{ij} = 0$ if i and j are not adjacent, and $i \neq j$

Notice that we make no restriction on a_{ij} if i and j are connected by more than one edge. Now, $\vec{V} = \{\vec{v}_1, \dots, \vec{v}_n\}$ in \mathbb{C}^m is a *vector representation* of a graph G with multiple edges when $\langle \vec{v}_i, \vec{v}_j \rangle \neq 0$ if i and j are connected by a single edge and $\langle \vec{v}_i, \vec{v}_j \rangle = 0$ if i and j are not connected.

Let G be a graph (with multiple edges). The graph $G \ominus v$ called the *orthogonal removal of v from G* is obtained as follows: in the induced subgraph $G - v$ of G , between any $u, w \in n(v)$ add $e - 1$ edges, where e is the sum of the number of edges between u and v and the number of edges between w and v .

REMARK 3.2. *If \vec{V} is a vector representation of a graph G , then $\vec{V} \ominus \vec{v}$ is a vector representation of $G \ominus v$. This process results in a representation that has rank one less than $\text{rank } \vec{V}$. Unfortunately, $\text{msr}(G) - \text{msr}(G \ominus v)$ may be arbitrarily large as demonstrated by the complete bipartite graph $K_{2,n}$: for $n \geq 3$, by Corollary 2.7, $\text{msr}(K_{2,n}) \geq n$, but orthogonal removal of a vertex from the smaller independent set yields the complete graph on $n + 1$ vertices, K_{n+1} , and $\text{msr}(K_{n+1}) = 1$ by Remark 2.4.*

Observe that results proved in §2, especially Proposition 2.2 and Lemma 2.8, are true for graphs with multiple edges and their vector representations.

Recall that a vertex v such that $n(v)$ induces a complete graph is said to be *simplicial*.

LEMMA 3.3. *Suppose v is a simplicial vertex of a graph G that is not a duplicate of any other vertex and is connected to at least one neighbor by exactly one edge. Then $\text{msr}(G) = \text{msr}(G \ominus v) + 1$.*

Proof. From Remark 3.2, we have that $\text{msr}(G) \geq \text{msr}(G \ominus v) + 1$. From Remark 2.4, we may find a vector representation of rank one of the subgraph of G induced by v and its neighbors. Choosing this representation to be orthogonal to a representation of $G \ominus v$, we may apply Lemma 2.8 to see that $\text{msr}(G) \leq \text{msr}(G \ominus v) + 1$. \square

The following corollary simplifies finding the minimum rank of graphs with *pendant* vertices, which are simply vertices of degree 1. [15, Lemma 3.6] comes close to this result.

COROLLARY 3.4. *If a graph G has a pendant vertex v , then $\text{msr}(G) = \text{msr}(G - v) + 1$.*

A graph is said to be *chordal* if it has no induced cycles C_n with $n \geq 4$. It is known that every non-empty chordal graph has at least one simplicial vertex [2, p. 175]. A clique cover of a graph G with multiple edges is a collection of cliques that cover every *single* edge between vertices of G . We are now able to show that for chordal graphs the msr is the clique cover number.

THEOREM 3.5. *Let G be a chordal graph. Then $\text{msr}(G) = \text{cc}(G)$.*

Proof. Induct on the number of vertices of G . We start the induction with an edge. For graphs with three or more vertices, identify a simplicial vertex, v , of G . If v is a duplicate vertex, then $\text{cc}(G - v) = \text{cc}(G)$ and $\text{msr}(G - v) = \text{msr}(G)$. If v is not a duplicate vertex and not connected to any other vertex by exactly one edge, then $\text{cc}(G - v) = \text{cc}(G)$ and $\text{msr}(G - v) = \text{msr}(G)$. Finally, if v is not a duplicate vertex and is connected to at least one other vertex by exactly one edge, $\text{cc}(G \ominus v) = \text{cc}(G) - 1$ and Lemma 3.3 gives $\text{msr}(G \ominus v) + 1 = \text{msr}(G)$. \square

4. Minimum PSD Rank for Graphs on Less Than Seven Vertices. For all the graphs G with $|V(G)| \leq 6$, with a few exceptions listed below, we can determine $\text{msr}(G)$ using results discussed in this paper. A catalog of these graphs can be found in [14]. We have listed below the minimum PSD ranks of *connected* graphs on 2 or more vertices but less than seven vertices using the numbering found in [14].

$\text{msr}(G)$	Graph
5	G77–81 and G83.
4	G29–31, G92–100, G102–105, G111–115, G118, G120–125, G127–129, G135–139, G145–149, G152, G161, G162, G164, and G167.
3	G13, G14, G34–38, G40, G41, G43, G44, G46, G47, G117, G119, G126, G130, G133, G134, G140–144, G150, G151, G153, G154, G156–160, G163, G166, and G168–175.
2	G6, G15–17, G42, G45, G48–51, G165, G190, G191, G194, G195, G199, G200, and G203–207.
1	G3, G7, G18, G52, and G208.

We now detail how to use the results of this paper to find the msr of the above graphs. The graphs G174, G175, G197, G198, and G204 are the exceptional cases

which cannot be handled by the theory presented above. We provide alternate methods for these graphs.

The complete graphs G3, G7, G18, G52, and G208 have msr equal to 1 by Remark 2.4.

As mentioned in the introduction, the msr of a tree is one less than the number of vertices. This gives the msr for the trees G3, G6, G13, G14, G29–31, G77–81, and G83.

Among the non-tree, non-complete graphs, the following are chordal graphs: G15, G17, G34–36, G40–42, G45–47, G49, G51, G92–95, G97, G100, G102, G111–115, G117, G119, G120, G123, G130, G133–137, G139, G142, G144, G150, G156, G157, G160–165, G167, G177–181, G183, G191–193, G195, G200, G202. Theorem 3.5 gives that the msr of a chordal graph is its clique covering number. For example, we have $cc(G168) = msr(G168) = 3$ (Figure 4.1).

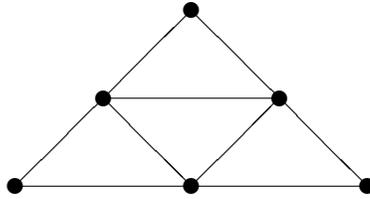


FIG. 4.1. G168

There are 21 non-chordal graphs whose msr is 4. All but graph G152 satisfy $ts(G) = n - 1$. The discussion following Lemma 2.5 shows that for these graphs, $msr(G) = n - 2$. For G152, if we let * indicate a nonzero entry in

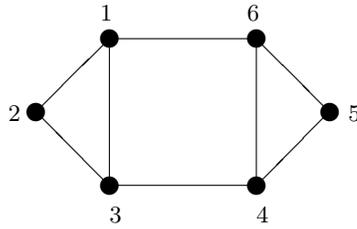


FIG. 4.2. G152

$$\begin{bmatrix} * & * & * & 0 & 0 & * \\ * & * & * & 0 & 0 & 0 \\ * & * & * & * & 0 & 0 \\ 0 & 0 & * & * & * & * \\ 0 & 0 & 0 & * & * & * \\ * & 0 & 0 & * & * & * \end{bmatrix}$$

this matrix, it is easy to observe that rows 1 through 4 are linearly independent. In addition, G152 is not chordal but $msr(G) = cc(G) = 4$, indicating that the converse to Theorem 3.5 is false.

Among the 29 non-chordal graphs whose msr is 3, G37, G38, G43, and G44 have $ts(G) = n - 1$, hence have $msr(G) = n - 2$. The graphs G140, G151, G153, G154, G166, G169, G170–173, G182, G184–186, G188, and G196 satisfy the sufficient

condition of Theorem 2.9. In G158 and G159, the condition of Theorem 2.9 is satisfied after removing a pendant vertex (Corollary 3.4). A duplicate vertex is removed in G126, G168, G189, and G201 and the resulting graph on 5 vertices has $msr = 3$. The four exceptional cases are G174, G175, G197, and G198. These four graphs could be handled using a construction as shown below or by applying Theorem 3.1 and Proposition 3.2 of [15].

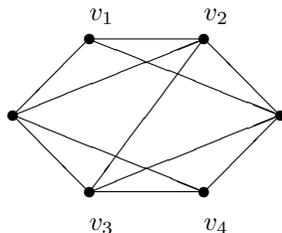


FIG. 4.3. G_{198}

A maximum induced tree of G198 (Figure 4.3) is induced by $\{v_1, v_2, v_3, v_4\}$. Using the Laplacian matrix of this tree in the top left 4-by-4 block we construct rows 5 and 6 to represent the graph G198,

$$\begin{bmatrix} 1 & -1 & 0 & 0 & -1 & 1 \\ -1 & 2 & -1 & 0 & 1 & -1 \\ 0 & -1 & 2 & -1 & 1 & 1 \\ 0 & 0 & -1 & 1 & -1 & -1 \\ -1 & 1 & 1 & -1 & 2 & 0 \\ 1 & -1 & 1 & -1 & 0 & 2 \end{bmatrix}.$$

The graph G198 is an example which shows that the \otimes condition of Theorem 2.9 is not necessary.

Among the 11 non-chordal graphs whose msr is 2, G16, G48, and G50 satisfy Theorem 2.9. The graphs G205 and G207 satisfy $ts(G) - 1 = cc(G)$ and using Lemma 2.5 and Proposition 3.1, we have that $ts(G) - 1 \leq msr(G) \leq cc(G)$. Removing a duplicate vertex from G190, G194, G199, G203, and G206 reduces the graph to a known case. The one exceptional case is G204. Here, the msr may be found using a construction similar to the one mentioned above. Also, note that the characterization of connected graphs with $msr(G) \leq 2$ given as Theorem 15 in [1] may be used instead.

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