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Inequalities for M -tensors

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Abstract

In this paper, we establish some important properties of M -tensors. We derive upper and lower bounds for the minimum eigenvalue of M -tensors, bounds for eigenvalues of M -tensors except the minimum eigenvalue are also presented; finally, we give the Ky Fan theorem for M -tensors.

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1 Introduction

Eigenvalue problems of higher-order tensors have become an important topic of study in a new applied mathematics branch, numerical multilinear algebra, and they have a wide range of practical applications [1–7].

If there are a complex number λ and a nonzero complex vector x that are solutions of the following homogeneous polynomial equations:

$$\mathcal{A}x^{m-1} = \lambda x^{[m-1]},$$

then λ is called the eigenvalue of \mathcal{A} and x the eigenvector of \mathcal{A} associated with λ , where $\mathcal{A}x^{m-1}$ and $x^{[m-1]}$ are vectors, whose i th component is

$$\mathcal{A}x^{m-1} := \left(\sum_{i_2, \dots, i_m=1}^n a_{ii_2 \dots i_m} x_{i_2} \cdots x_{i_m} \right)_{1 \leq i \leq n},$$
$$x^{[m-1]} := (x_i^{m-1})_{1 \leq i \leq n}.$$

This definition was introduced by Qi and Lim [8, 9] where they supposed that \mathcal{A} is an order m dimension n symmetric tensor and m is even. First, we introduce some results of nonnegative tensors [10–12], which are generalized from nonnegative matrices.

Definition 1.1 The tensor \mathcal{A} is called reducible if there exists a nonempty proper index subset $\mathbb{J} \subset \{1, 2, \dots, n\}$ such that $a_{i_1, i_2, \dots, i_m} = 0$, $\forall i_1 \in \mathbb{J}, \forall i_2, \dots, i_m \notin \mathbb{J}$. If \mathcal{A} is not reducible, then we call \mathcal{A} to be irreducible.

Let $\rho(\mathcal{A}) = \max\{|\lambda| : \lambda \text{ is an eigenvalue of } \mathcal{A}\}$, where $|\lambda|$ denotes the modulus of λ . We call $\rho(\mathcal{A})$ the spectral radius of tensor \mathcal{A} .

Theorem 1.2 *If \mathcal{A} is irreducible and nonnegative, then there exists a number $\rho(\mathcal{A}) > 0$ and a vector $x_0 > 0$ such that $\mathcal{A}x_0^{m-1} = \rho(\mathcal{A})x_0^{[m-1]}$. Moreover, if λ is an eigenvalue with a nonnegative eigenvector, then $\lambda = \rho(\mathcal{A})$. If λ is an eigenvalue of \mathcal{A} , then $|\lambda| \leq \rho(\mathcal{A})$.*

The authors in [13, 14] extended the notion of M -matrices to higher-order tensors and introduced the definition of an M -tensor.

Definition 1.3 Let \mathcal{A} be an m -order and n -dimensional tensor. \mathcal{A} is called an M -tensor if there exist a nonnegative tensor \mathcal{B} and a real number $c > \rho(\mathcal{B})$, where $\rho(\mathcal{B})$ is the spectral radius of \mathcal{B} , such that

$$\mathcal{A} = c\mathcal{I} - \mathcal{B}.$$

Theorem 1.4 *Let \mathcal{A} be an M -tensor and denote by $\tau(\mathcal{A})$ the minimal value of the real part of all eigenvalues of \mathcal{A} . Then $\tau(\mathcal{A}) > 0$ is an eigenvalue of \mathcal{A} with a nonnegative eigenvector. Moreover, there exist a nonnegative tensor \mathcal{B} and a real number $c > \rho(\mathcal{B})$ such that $\mathcal{A} = c\mathcal{I} - \mathcal{B}$. If \mathcal{A} is irreducible, then $\tau(\mathcal{A})$ is the unique eigenvalue with a positive eigenvector.*

In this paper, let $N = \{1, 2, \dots, n\}$, we define the i th row sum of \mathcal{A} as $R_i(\mathcal{A}) = \sum_{i_2, \dots, i_m=1}^n a_{ii_2 \dots i_m}$, and denote the largest and the smallest row sums of \mathcal{A} by

$$R_{\max}(\mathcal{A}) = \max_{i=1, \dots, n} R_i(\mathcal{A}), \quad R_{\min}(\mathcal{A}) = \min_{i=1, \dots, n} R_i(\mathcal{A}).$$

Furthermore, a real tensor of order m dimension n is called the unit tensor, if its entries are $\delta_{i_1 \dots i_m}$ for $i_1, \dots, i_m \in N$, where

$$\delta_{i_1 \dots i_m} = \begin{cases} 1, & \text{if } i_1 = \dots = i_m, \\ 0, & \text{otherwise.} \end{cases}$$

And we define $\sigma(\mathcal{A})$ as the set of all the eigenvalues of \mathcal{A} and

$$r_i(\mathcal{A}) = \sum_{\delta_{ii_2 \dots i_m}=0} |a_{ii_2 \dots i_m}|, \quad r_i^j(\mathcal{A}) = \sum_{\substack{\delta_{ii_2 \dots i_m}=0, \\ \delta_{ji_2 \dots i_m}=0}} |a_{ii_2 \dots i_m}| = r_i(\mathcal{A}) - |a_{ij \dots j}|.$$

In this paper, we continue this research on the eigenvalue problems for tensors. In Section 2, some bounds for the minimum eigenvalue of M -tensors are obtained, and proved to be tighter than those in Theorem 1.1 in [15]. In Section 3, some bounds for eigenvalues of M -tensors except the minimum eigenvalue are given. Moreover, the Ky Fan theorem for M -tensors is presented in Section 4.

2 Bounds for the minimum eigenvalue of M -tensors

Theorem 2.1 *Let \mathcal{A} be an irreducible M -tensor. Then*

$$\tau(\mathcal{A}) \leq \min\{a_{i \dots i}\}, \tag{1}$$

$$R_{\min}(\mathcal{A}) \leq \tau(\mathcal{A}) \leq R_{\max}(\mathcal{A}). \tag{2}$$

Proof Let $x > 0$ be an eigenvector of \mathcal{A} corresponding to $\tau(\mathcal{A})$, i.e., $\mathcal{A}x^{m-1} = \tau(\mathcal{A})x^{[m-1]}$. For each $i \in N$, we can get

$$(a_{i\dots i} - \tau(\mathcal{A}))x_i^{m-1} = - \sum_{\delta_{i_2\dots i_m}=0} a_{ii_2\dots i_m}x_{i_2} \cdots x_{i_m} \geq 0,$$

then

$$\tau(\mathcal{A}) \leq \min\{a_{i\dots i}\}.$$

Assume that x_s is the smallest component of x ,

$$(a_{s\dots s} - \tau(\mathcal{A}))x_s^{m-1} = - \sum_{\delta_{s i_2\dots i_m}=0} a_{s i_2\dots i_m}x_{i_2} \cdots x_{i_m} \geq 0.$$

That is,

$$\tau(\mathcal{A}) \leq \sum_{\delta_{s i_2\dots i_m}=0} a_{s i_2\dots i_m} + a_{s\dots s},$$

so

$$\tau(\mathcal{A}) \leq R_{\max}(\mathcal{A}).$$

Similarly, if we assume that $x_t = \{\max x_i, i \in N\}$, then we can get

$$\tau(\mathcal{A}) \geq \sum_{\delta_{t i_2\dots i_m}=0} a_{t i_2\dots i_m} + a_{t\dots t} \geq R_{\min}(\mathcal{A}).$$

Thus, we complete the proof. □

Theorem 2.2 *Let \mathcal{A} be an irreducible M -tensor. Then*

$$\begin{aligned} \min_{i,j \in N, j \neq i} \frac{1}{2} \{a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}) - \Delta_{i,j}^{\frac{1}{2}}(\mathcal{A})\} \\ \leq \tau(\mathcal{A}) \leq \max_{i,j \in N, j \neq i} \frac{1}{2} \{a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}) - \Delta_{i,j}^{\frac{1}{2}}(\mathcal{A})\}, \end{aligned} \tag{3}$$

where

$$\Delta_{i,j}(\mathcal{A}) = (a_{i\dots i} - a_{j\dots j} + r_i^j(\mathcal{A}))^2 - 4a_{ij\dots j}r_j(\mathcal{A}).$$

Proof Because $\tau(\mathcal{A})$ is an eigenvalue of \mathcal{A} , from Theorem 2.1 in [15], there are $i, j \in N, j \neq i$, such that

$$(|\tau(\mathcal{A}) - a_{i\dots i}| - r_i^j(\mathcal{A}))|\tau(\mathcal{A}) - a_{j\dots j}| \leq |a_{ij\dots j}|r_j(\mathcal{A}).$$

From Theorem 2.1, we can get

$$(a_{i\dots i} - \tau(\mathcal{A}) - r_i^j(\mathcal{A}))(a_{j\dots j} - \tau(\mathcal{A})) \leq -a_{ij\dots j}r_j(\mathcal{A}),$$

equivalently,

$$\tau(\mathcal{A})^2 - (a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}))\tau(\mathcal{A}) + a_{j\dots j}(a_{i\dots i} - r_i^j(\mathcal{A})) + a_{ij\dots j}r_j(\mathcal{A}) \leq 0.$$

Then, solving for $\tau(\mathcal{A})$,

$$\tau(\mathcal{A}) \geq \frac{1}{2} \{a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}) - \Delta_{ij}^{\frac{1}{2}}(\mathcal{A})\} \geq \min_{i,j \in N, j \neq i} \frac{1}{2} \{a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}) - \Delta_{ij}^{\frac{1}{2}}(\mathcal{A})\}.$$

Let $x > 0$ be an eigenvector of \mathcal{A} corresponding to $\tau(\mathcal{A})$, i.e., $\mathcal{A}x^{m-1} = \tau(\mathcal{A})x^{[m-1]}$, x_s is the smallest component of x . For each $s, t \in N, s \neq t$, we can get

$$(a_{t\dots t} - \tau(\mathcal{A}))x_t^{m-1} = - \sum_{\delta_{ti_2\dots i_m}=0} a_{ti_2\dots i_m}x_{i_2} \cdots x_{i_m} \geq r_t(\mathcal{A})x_s^{m-1}, \tag{4}$$

$$(a_{s\dots s} - \tau(\mathcal{A}))x_s^{m-1} = - \sum_{\substack{\delta_{ti_2\dots i_m}=0, \\ \delta_{si_2\dots i_m}=0}} a_{ti_2\dots i_m}x_{i_2} \cdots x_{i_m} - a_{st\dots t}x_t^{m-1} \geq r_t^s(\mathcal{A})x_s^{m-1} - a_{st\dots t}x_t^{m-1},$$

$$(a_{s\dots s} - \tau(\mathcal{A}) - r_t^s(\mathcal{A}))x_s^{m-1} \geq -a_{st\dots t}x_t^{m-1}. \tag{5}$$

Multiplying equations (4) and (5), we get

$$(a_{t\dots t} - \tau(\mathcal{A}))(a_{s\dots s} - \tau(\mathcal{A}) - r_t^s(\mathcal{A})) \geq -a_{st\dots t}r_t(\mathcal{A}).$$

Then, solving for $\tau(\mathcal{A})$,

$$\tau(\mathcal{A}) \leq \frac{1}{2} \{a_{t\dots t} + a_{s\dots s} - r_t^s(\mathcal{A}) - \Delta_{t,s}^{\frac{1}{2}}(\mathcal{A})\} \leq \max_{i,j \in N, j \neq i} \frac{1}{2} \{a_{i\dots i} + a_{j\dots j} - r_i^j(\mathcal{A}) - \Delta_{ij}^{\frac{1}{2}}(\mathcal{A})\}.$$

Thus, we complete the proof. □

We now show that the bounds in Theorem 2.2 are tight and sharper than those in Theorem 1.1 in [15] by the following example. Consider the M -tensor $\mathcal{A} = (a_{ijkl})$ of order 4 dimension 2 with entries defined as follows:

$$\begin{aligned} a_{1111} &= 3, & a_{1222} &= -1, \\ a_{2111} &= -2, & a_{2222} &= 2, \end{aligned}$$

other $a_{ijkl} = 0$. By Theorem 1.1 in [15], we have

$$-2 \leq \tau(\mathcal{A}) \leq 4.$$

By Theorem 2.1, we have

$$0 \leq \tau(\mathcal{A}) \leq 2.$$

By Theorem 2.2, we have

$$\frac{1}{2}(5 - \sqrt{17}) \leq \tau(\mathcal{A}) \leq \frac{1}{2}(5 - \sqrt{5}).$$

In fact, $\tau(\mathcal{A}) = 1$. Hence, the bounds in Theorem 2.2 are tight and sharper than those in Theorem 1.1 in [15].

3 Bounds for eigenvalues of M -tensors except the minimum eigenvalue

In this section, we introduce the stochastic M -tensor, which is a generalization of the non-negative stochastic tensor.

Definition 3.1 An M -tensor \mathcal{A} of order m dimension n is called stochastic provided

$$R_i(\mathcal{A}) = \sum_{i_2, \dots, i_m=1}^n a_{ii_2 \dots i_m} \equiv 1, \quad i = 1, \dots, n.$$

Obviously, when \mathcal{A} is a stochastic M -tensor, 1 is the minimum eigenvalue of \mathcal{A} and e is an eigenvector corresponding to 1, where e is an all-ones vector.

Theorem 3.2 Let \mathcal{A} be an order m dimension n irreducible M -tensor. Then there exists a diagonal matrix D with positive main diagonal entries such that

$$\tau(\mathcal{A}) \cdot \mathcal{B} = \mathcal{A} \cdot D^{(1-m)} \cdot \overbrace{D \cdot \dots \cdot D}^{m-1},$$

where \mathcal{B} is a stochastic irreducible M -tensor. Furthermore, \mathcal{B} is unique, and the diagonal entries of D are exactly the components of the unique positive eigenvector corresponding to $\tau(\mathcal{A})$.

Proof Let x be the unique positive eigenvector corresponding to $\tau(\mathcal{A})$, i.e.,

$$\mathcal{A}x^{m-1} = \tau(\mathcal{A})x^{[m-1]}.$$

Let D be the diagonal matrix such that its diagonal entries are components of x , let us check the tensor $\mathcal{C} = \mathcal{A} \cdot D^{(1-m)} \cdot D \cdot \dots \cdot D$. It is clear that for $i = 1, 2, \dots, n$,

$$\sum_{i_2, \dots, i_m=1}^n C_{ii_2 \dots i_m} = (\mathcal{C}e^{m-1})_i = (\mathcal{A} \cdot D^{(1-m)} \cdot \overbrace{D \cdot \dots \cdot D}^{m-1} e^{m-1})_i = \tau(\mathcal{A}).$$

Hence $\mathcal{B} = \mathcal{C}/\tau(\mathcal{A})$ is the desired stochastic M -tensor. Since the positive eigenvector is unique, then \mathcal{B} is unique, and the diagonal entries of D are exactly the components of the unique positive eigenvector corresponding to $\tau(\mathcal{A})$. \square

Theorem 3.3 Let \mathcal{A} be an order m dimension n stochastic irreducible nonnegative tensor, $\omega = \min a_{i \dots i}$, $\lambda \in \sigma(\mathcal{A})$. Then

$$|\lambda - \omega| \leq 1 - \omega.$$

Proof Let λ be an eigenvalue of the stochastic irreducible nonnegative tensor \mathcal{A} , x is the eigenvector corresponding to λ , i.e.,

$$\mathcal{A}x^{m-1} = \lambda x^{[m-1]}.$$

Assume that $0 < |x_s| = \max_i |x_i|$, then we can get

$$(\lambda - a_{s\dots s})x_s^{m-1} = \sum_{\delta_{si_2\dots i_m}=0} a_{si_2\dots i_m}x_{i_2}\cdots x_{i_m}.$$

Then

$$|\lambda - a_{s\dots s}| \leq \sum_{\delta_{si_2\dots i_m}=0} a_{si_2\dots i_m} = r_s(\mathcal{A}) = 1 - a_{s\dots s},$$

and therefore,

$$\begin{aligned} |\lambda - \omega| &\leq |\lambda - a_{s\dots s} + a_{s\dots s} - \omega| \\ &\leq |\lambda - a_{s\dots s}| + |a_{s\dots s} - \omega| \\ &\leq (1 - a_{s\dots s}) + (a_{s\dots s} - \omega) \\ &= 1 - \omega. \end{aligned} \tag{6}$$

Thus, we complete the proof. \square

Theorem 3.4 *Let \mathcal{A} be an order m dimension n irreducible M -tensor, $\Omega = \max a_{i\dots i}$, $\lambda \in \sigma(\mathcal{A})$. Then*

$$|\Omega - \lambda| \leq \Omega - \tau(\mathcal{A}).$$

Proof From Theorem 3.2, we may evidently take $\tau(\mathcal{A}) = 1$, and after performing a similarity transformation with a positive diagonal matrix, we may assume that \mathcal{A} is stochastic. Then, for $\theta \in (0, 1)$, the matrix $\mathcal{A}(\theta) = (1 + \theta)\mathcal{I} - \theta\mathcal{A}$ is irreducible nonnegative stochastic, by Theorem 3.3, if $\lambda(\theta) \in \sigma(\mathcal{A}(\theta))$, $\omega(\theta) = \min a_{i\dots i}(\theta)$, we can get

$$|\lambda(\theta) - \omega(\theta)| \leq 1 - \omega(\theta).$$

That is,

$$|1 + \theta - \theta\lambda - (1 + \theta - \theta \max a_{i\dots i})| \leq 1 - (1 + \theta - \theta \max a_{i\dots i}).$$

Then

$$|\Omega - \lambda| \leq \Omega - 1.$$

Transforming back to \mathcal{A} , we get

$$|\Omega - \lambda| \leq \Omega - \tau(\mathcal{A}).$$

Thus, we complete the proof. \square

4 Ky Fan theorem for M -tensors

In this section we give the Ky Fan theorem for M -tensors. Denote by \mathbb{Z} the set of m -order and n -dimensional real tensors whose off-diagonal entries are nonpositive.

Theorem 4.1 *Let $\mathcal{A}, \mathcal{B} \in \mathbb{Z}$, assume that \mathcal{A} is an M -tensor and $\mathcal{B} \geq \mathcal{A}$. Then \mathcal{B} is an M -tensor, and*

$$\tau(\mathcal{A}) \leq \tau(\mathcal{B}).$$

Proof If $x > 0$, from assume that \mathcal{A} is an M -tensor and condition (D4) in [14], we know

$$\mathcal{A}x^{m-1} > 0.$$

Because $\mathcal{B} \geq \mathcal{A}$, we can get

$$\mathcal{B}x^{m-1} \geq \mathcal{A}x^{m-1} > 0,$$

then \mathcal{B} is an M -tensor.

Let $a = \max_{1 \leq i \leq n} \mathcal{B}_{i \dots i}$, from Theorem 3.1 and Corollary 3.2 in [13], assume that

$$\mathcal{B} = a\mathcal{I} - \mathcal{C}_B, \quad \mathcal{A} = a\mathcal{I} - \mathcal{C}_A,$$

where $\mathcal{C}_A, \mathcal{C}_B$ are nonnegative tensors.

Because $\mathcal{A}, \mathcal{B} \in \mathbb{Z}$ and $\mathcal{B} \geq \mathcal{A}$, then we can get

$$\mathcal{C}_A \geq \mathcal{C}_B.$$

From Lemma 3.5 in [12], we can get

$$\rho(\mathcal{C}_A) \geq \rho(\mathcal{C}_B).$$

Therefore,

$$\tau(\mathcal{A}) \leq \tau(\mathcal{B}).$$

Thus, we complete the proof. □

Theorem 4.2 *Let \mathcal{A}, \mathcal{B} be of order m dimension n , suppose that \mathcal{B} is an M -tensor and $|b_{i_1 \dots i_m}| \geq |a_{i_1 \dots i_m}|$ for all $i_1 \neq \dots \neq i_m$. Then, for any eigenvalue λ of \mathcal{A} , there exists $i \in 1, \dots, n$ such that $|\lambda - a_{i \dots i}| \leq b_{i \dots i} - \tau(\mathcal{B})$.*

Proof We first suppose that \mathcal{B} is an M -tensor, $\tau(\mathcal{B})$ is an eigenvalue of \mathcal{B} with a positive corresponding eigenvector v . Denote

$$W = \text{diag}(v_1, \dots, v_n),$$

where v_i is the i th component of v . Let

$$C = A \cdot W^{1-m} \overbrace{W \cdots W}^{[m-1]}$$

and let λ be an eigenvalue of A with x , a corresponding eigenvector, *i.e.*, $Ax^{m-1} = \lambda x^{[m-1]}$. Then, as in the proof of Theorem 4.1 in [12], we have

$$C(W^{-1}x)^{m-1} = \lambda(W^{-1}x)^{m-1}.$$

By the definition of C , we have $c_{i \dots i} = a_{i \dots i}$, $i = 1, \dots, n$. Applying the first conclusion of Theorem 6 of [8], we can get

$$\begin{aligned} |\lambda - c_{i \dots i}| &\leq \sum_{\delta_{i i_2 \dots i_m} = 0} |c_{i i_2 \dots i_m}| \\ &= v_i^{1-m} \sum |a_{i i_2 \dots i_m}| v_{i_2} \cdots v_{i_m} \\ &\leq v_i^{1-m} \sum |b_{i i_2 \dots i_m}| v_{i_2} \cdots v_{i_m} \\ &= v_i^{1-m} \left(b_{i \dots i} v^{m-1} - \sum_{i_1, \dots, i_m=1} b_{i i_2 \dots i_m} v_{i_2} \cdots v_{i_m} \right) \\ &= b_{i \dots i} - \tau(B). \end{aligned} \tag{7}$$

Thus, we complete the proof. □

Competing interests

The authors declare that they have no competing interests.

Authors' contributions

All authors contributed equally to this work. All authors read and approved the final manuscript.

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