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






























# Operational notes

Document updated on **June 28, 2022**.

The following colors are **not** part of the final product, but serve as highlights in the editing/review process:

- text that needs attention from the Subject Matter Experts: Mirco, Anna,& Jan
- terms that have not yet been defined in the book
- things that need to be checked only at the very final typesetting stage (and it doesn't make sense to do them before)
- text that needs advice from the communications/marketing team: Aaron & Shane
- text that needs to be completed or otherwise edited (by Sylvia)

# 11 **Todo list**

12	 Sylvia: This subsection should be in the introduction of the book as it applies to the	
13	entire math part . . . . .	12
14	 zero-knowledge proofs . . . . .	12
15	 add references . . . . .	12
16	 Sylvia: This subsection should be in the introduction of the book as it applies to the	
17	entire math part . . . . .	13
18	 Sylvia: We should put this table into the same introduction as 3.1.1 . . . . .	14
19	 @jan @anna double check this definition. Is it clear enough? Proper definition re-	
20	quires the concept of equivalence or coprimeness first . . . . .	14
21	 Do we even need this quantum computing excursion? . . . . .	16
22	 @jan. You wrote: a and b are required to be non-zero in the definition above, so this	
23	can just be deleted. ... a can be zero and existence and uniqueness, non-zeroness	
24	are not obvious. Do you mean something else? . . . . .	17
25	 You wrote: if these should only satisfy the equation, why use definition symbols	
26	(:=) and not equality symbols (=)? But this is a definition the symbol a div b IS	
27	DEFINED to be the number b... Is that clear? . . . . .	17
28	 check algorithm floating . . . . .	24
29	 subtrahend . . . . .	34
30	 minuend . . . . .	34
31	 algorithm-floating . . . . .	36
32	 check algorithm floating . . . . .	39
33	 Sylvia: I would like to have a separate counter for definitions . . . . .	41
34	 are these going to be relevant later? yes, they are used in various snark proof systems	50
35	 Is there a term for this property? . . . . .	51
36	 a few examples? . . . . .	53
37	 check reference . . . . .	53
38	 TODO: DOUBLE CHECK THIS REASONING. . . . .	53
39	 Mirco: We can do better than this . . . . .	55
40	 check reference . . . . .	56
41	 add reference . . . . .	57
42	 pseudorandom . . . . .	57
43	 oracle . . . . .	57
44	 check reference . . . . .	57
45	 add reference . . . . .	61
46	 Abelian groups . . . . .	61
47	 codomain . . . . .	61
48	 Check change of wording . . . . .	61
49	 add reference . . . . .	65
50	 check reference . . . . .	65

















































51	check reference . . . . .	69
52	TODO: Elliptic Curve asymmetric cryptography examples. Private key, generator,	
53	public key. . . . .	72
54	add reference . . . . .	72
55	maybe remove this sentence? . . . . .	72
56	affine space . . . . .	72
57	cusps . . . . .	73
58	self-intersections . . . . .	73
59	check reference . . . . .	74
60	check reference . . . . .	75
61	jubjub . . . . .	75
62	check reference . . . . .	75
63	affine plane . . . . .	75
64	check reference . . . . .	76
65	check reference . . . . .	76
66	check reference . . . . .	77
67	sign . . . . .	77
68	more explanation of what the sign is . . . . .	77
69	check reference . . . . .	77
70	S: I don't follow this at all . . . . .	78
71	check reference . . . . .	78
72	add explanation of how this shows what we claim . . . . .	78
73	should this def. be moved even earlier? . . . . .	79
74	chord line . . . . .	79
75	tangential . . . . .	79
76	tangent line . . . . .	79
77	remove $Q$ ? . . . . .	79
78	where? . . . . .	80
79	check reference . . . . .	80
80	check reference . . . . .	80
81	check reference . . . . .	80
82	check reference . . . . .	81
83	check reference . . . . .	81
84	check reference . . . . .	82
85	check reference . . . . .	82
86	check reference . . . . .	83
87	add term . . . . .	83
88	add term . . . . .	83
89	add reference . . . . .	83
90	cofactor clearing . . . . .	83
91	add reference . . . . .	83
92	check reference . . . . .	83
93	check reference . . . . .	84
94	add reference . . . . .	84
95	add reference . . . . .	84
96	check reference . . . . .	84
97	check reference . . . . .	84
98	check reference . . . . .	85

---

99	check reference	85
100	check reference	85
101	Explain how	85
102	write example	86
103	check reference	86
104	add reference	86
105	check reference	86
106	add reference	87
107	check reference	87
108	add reference	87
109	check reference	87
110	add reference	87
111	check reference	87
112	add reference	87
113	add reference	87
114	add reference	87
115	check reference	87
116	check reference	87
117	Check if following Alg is floated too far	88
118	add reference	88
119	add reference	88
120	write up this part	88
121	is the label in L <sup>A</sup> T <sub>E</sub> X correct here?	90
122	check reference	90
123	check reference	90
124	check reference	90
125	check reference	91
126	check reference	91
127	check reference	92
128	check reference	92
129	check reference	92
130	check reference	92
131	check reference	92
132	add reference	92
133	check reference	94
134	check reference	94
135	check reference	94
136	check reference	94
137	check reference	94
138	check reference	96
139	check reference	96
140	check reference	97
141	either expand on this or delete it	97
142	add reference	97
143	check reference	97
144	check reference	97
145	check reference	97
146	check reference	97

147	check reference . . . . .	97
148	check reference . . . . .	98
149	check reference . . . . .	98
150	check reference . . . . .	99
151	check reference . . . . .	99
152	add reference . . . . .	99
153	add reference . . . . .	99
154	This needs to be written (in Algebra) . . . . .	99
155	add reference . . . . .	99
156	add reference . . . . .	99
157	check reference . . . . .	99
158	towers of curve extensions . . . . .	100
159	check reference . . . . .	100
160	check reference . . . . .	100
161	check reference . . . . .	100
162	check reference . . . . .	101
163	add reference . . . . .	101
164	check reference . . . . .	102
165	S: either add more explanation or move to a footnote . . . . .	102
166	type 3 pairing-based cryptography . . . . .	102
167	add references? . . . . .	102
168	check reference . . . . .	103
169	check reference . . . . .	103
170	check floating of algorithm . . . . .	104
171	add references . . . . .	104
172	check reference . . . . .	105
173	add reference . . . . .	105
174	check reference . . . . .	105
175	check reference . . . . .	105
176	add reference . . . . .	106
177	should all lines of all algorithms be numbered? . . . . .	106
178	check reference . . . . .	107
179	check reference . . . . .	107
180	check reference . . . . .	107
181	check if the algorithm is floated properly . . . . .	107
182	check reference . . . . .	107
183	again? . . . . .	109
184	check reference . . . . .	109
185	circuit . . . . .	109
186	signature schemes . . . . .	109
187	add reference . . . . .	109
188	check reference . . . . .	110
189	check reference . . . . .	110
190	add references . . . . .	110
191	add reference . . . . .	110
192	reference text to be written in Algebra . . . . .	110
193	check reference . . . . .	110
194	check reference . . . . .	110

195	check reference	111
196	add reference	111
197	algebraic closures	111
198	check reference	111
199	check reference	112
200	check reference	112
201	check reference	112
202	check reference	113
203	disambiguate	113
204	add reference	113
205	unify terminology	113
206	check reference	114
207	actually make this a table?	114
208	exercise still to be written?	115
209	add reference	115
210	check reference	115
211	check reference	115
212	add reference	116
213	check reference	117
214	check reference	117
215	check reference	117
216	add reference	118
217	check reference	118
218	check reference	118
219	check reference	119
220	what does this mean? Maybe just delete it	120
221	write up this part	121
222	add reference	121
223	check reference	121
224	cyclotomic polynomial	121
225	Pholaard-rho attack	121
226	todo	121
227	why? Because in this book elliptic curves are only defined for fields of chracteristic $> 3$	122
228	check reference	122
229	check reference	122
230	what does this mean?	122
231	add reference	122
232	add reference	122
233	check reference	122
234	check reference	123
235	add reference	124
236	add exercise	124
237	check reference	125
238	add reference	125
239	add reference	125
240	add reference	125
241	check reference	126
242	check reference	126

243	 add reference . . . . .	126
244	 add reference . . . . .	126
245	 add reference . . . . .	127
246	 check reference . . . . .	127
247	 add reference . . . . .	127
248	 add reference . . . . .	127
249	 finish writing this up . . . . .	128
250	 add reference . . . . .	128
251	 correct computations . . . . .	128
252	 fill in missing parts . . . . .	128
253	 add reference . . . . .	129
254	 check equation . . . . .	129
255	 Chapter 1? . . . . .	130
256	 "rigorous"? . . . . .	130
257	 "proving"? . . . . .	130
258	 Add example . . . . .	131
259	 M: 1:1 correspondence might actually be wrong . . . . .	131
260	 binary tuples . . . . .	131
261	 add reference . . . . .	132
262	 add reference . . . . .	132
263	 check reference . . . . .	132
264	 check reference . . . . .	132
265	 Are we using $w$ and $x$ interchangeably or is there a difference between them? . . . . .	133
266	 check reference . . . . .	133
267	 jubjub . . . . .	133
268	 check reference . . . . .	133
269	 check reference . . . . .	133
270	 check wording . . . . .	133
271	 check reference . . . . .	133
272	 check references . . . . .	134
273	 add reference . . . . .	134
274	 add reference . . . . .	134
275	 check reference . . . . .	135
276	 add reference . . . . .	135
277	 check reference . . . . .	136
278	 check reference . . . . .	136
279	 add reference . . . . .	136
280	 add reference . . . . .	137
281	 Schur/Hadamard product . . . . .	138
282	 add reference . . . . .	138
283	 check reference . . . . .	138
284	 check reference . . . . .	139
285	 add reference . . . . .	140
286	 check reference . . . . .	141
287	 check reference . . . . .	141
288	 check reference . . . . .	141
289	 check reference . . . . .	141
290	 check reference . . . . .	141

---

















































291	add reference . . . . .	142
292	add reference . . . . .	143
293	check reference . . . . .	143
294	check reference . . . . .	143
295	check reference . . . . .	144
296	check reference . . . . .	144
297	add reference . . . . .	145
298	check reference . . . . .	147
299	add reference . . . . .	147
300	check reference . . . . .	148
301	check reference . . . . .	148
302	check reference . . . . .	148
303	Should we refer to R1CS satisfiability (p. 141 here? . . . . .	149
304	check reference . . . . .	150
305	add reference . . . . .	150
306	check reference . . . . .	150
307	check reference . . . . .	151
308	check reference . . . . .	151
309	check reference . . . . .	152
310	check reference . . . . .	154
311	add reference . . . . .	155
312	"by"? . . . . .	155
313	check reference . . . . .	155
314	check reference . . . . .	155
315	add reference . . . . .	155
316	add reference . . . . .	155
317	check reference . . . . .	155
318	add reference . . . . .	155
319	clarify language . . . . .	157
320	check reference . . . . .	158
321	add reference . . . . .	158
322	check reference . . . . .	158
323	add reference . . . . .	158
324	check references . . . . .	161
325	add references to these languages? . . . . .	161
326	check reference . . . . .	164
327	check reference . . . . .	165
328	check reference . . . . .	165
329	check reference . . . . .	166
330	check reference . . . . .	167
331	check reference . . . . .	167
332	check reference . . . . .	169
333	check reference . . . . .	169
334	check reference . . . . .	170
335	add reference . . . . .	170
336	check reference . . . . .	170
337	add reference . . . . .	170
338	add reference . . . . .	170




---

339	check reference . . . . .	171
340	check reference . . . . .	171
341	check reference . . . . .	171
342	check reference . . . . .	171
343	add reference . . . . .	171
344	check reference . . . . .	172
345	check reference . . . . .	173
346	"constraints" or "constrained"? . . . . .	173
347	check reference . . . . .	174
348	"constraints" or "constrained"? . . . . .	174
349	add reference . . . . .	174
350	"constraints" or "constrained"? . . . . .	174
351	add reference . . . . .	175
352	check references . . . . .	175
353	check reference . . . . .	175
354	add reference . . . . .	176
355	can we rotate this by 90°? . . . . .	176
356	check reference . . . . .	177
357	add reference . . . . .	177
358	add reference . . . . .	177
359	shift . . . . .	179
360	bishift . . . . .	180
361	add reference . . . . .	181
362	check reference . . . . .	182
363	Add example . . . . .	183
364	add reference . . . . .	184
365	add reference . . . . .	185
366	check reference . . . . .	186
367	add reference . . . . .	186
368	add reference . . . . .	186
369	check reference . . . . .	187
370	add reference . . . . .	187
371	add reference . . . . .	187
372	add reference . . . . .	189
373	check reference . . . . .	190
374	check reference . . . . .	191
375	common reference string . . . . .	191
376	simulation trapdoor . . . . .	191
377	check reference . . . . .	191
378	check reference . . . . .	191
379	add reference . . . . .	192
380	check reference . . . . .	192
381	check reference . . . . .	192
382	check reference . . . . .	192
383	"invariable"? . . . . .	192
384	explain why . . . . .	193
385	4 examples have the same title. Change it to be distinct . . . . .	193
386	check reference . . . . .	193

---

387	 add reference . . . . .	193
388	 check reference . . . . .	193
389	 add reference . . . . .	193
390	 add reference . . . . .	194
391	 add reference . . . . .	195
392	 check reference . . . . .	196
393	 add reference . . . . .	196
394	 add reference . . . . .	197
395	 check reference . . . . .	197
396	 check reference . . . . .	197
397	 add reference . . . . .	197
398	 add reference . . . . .	197
399	 check reference . . . . .	198
400	 add reference . . . . .	198
401	 add reference . . . . .	198
402	 add reference . . . . .	198
403	 check reference . . . . .	198
404	 add reference . . . . .	198
405	 add reference . . . . .	198
406	 add reference . . . . .	198
407	 add reference . . . . .	198
408	 add reference . . . . .	199
409	 add reference . . . . .	199
410	 add reference . . . . .	199
411	 add reference . . . . .	199
412	 check reference . . . . .	201
413	 check reference . . . . .	201
414	 add reference . . . . .	201
415	 add reference . . . . .	201
416	 add reference . . . . .	201
417	 add reference . . . . .	201
418	 add reference . . . . .	202
419	 add reference . . . . .	202
420	 add reference . . . . .	202
421	 add reference . . . . .	202
422	 fix error . . . . .	202
423	 add reference . . . . .	202
424	 check reference . . . . .	203
425	 add reference . . . . .	203
426	 add reference . . . . .	203
427	 add reference . . . . .	203
428	 add reference . . . . .	204
429	 add reference . . . . .	204
430	 add reference . . . . .	204
431	 add reference . . . . .	204
432	 add reference . . . . .	204
433	 add reference . . . . .	204
434	 add reference . . . . .	204

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 add reference . . . . .	205
---	-----

436

# MoonMath manual

437

TechnoBob and the Least Scruples crew

438

June 28, 2022

# Contents

440	<b>1</b>	<b>Introduction</b>	<b>5</b>
441	1.1	Target audience . . . . .	5
442	1.2	The Zoo of Zero-Knowledge Proofs . . . . .	6
443		To Do List . . . . .	8
444		Points to cover while writing . . . . .	8
445	<b>2</b>	<b>Preliminaries</b>	<b>9</b>
446	2.1	Preface and Acknowledgements . . . . .	9
447	2.2	Purpose of the book . . . . .	9
448	2.3	How to read this book . . . . .	10
449	2.4	Cryptological Systems . . . . .	10
450	2.5	SNARKS . . . . .	10
451	2.6	complexity theory . . . . .	10
452	2.6.1	Runtime complexity . . . . .	10
453	2.7	Software Used in This Book . . . . .	11
454	2.7.1	Sagemath . . . . .	11
455	<b>3</b>	<b>arithmetic</b>	<b>12</b>
456	3.1	Introduction . . . . .	12
457	3.1.1	Aims and target audience . . . . .	12
458	3.1.2	The structure of this chapter . . . . .	13
459	3.2	Integer arithmetic . . . . .	13
460		Euclidean Division . . . . .	16
461		The Extended Euclidean Algorithm . . . . .	19
462		Coprime Integers . . . . .	20
463	3.3	Modular arithmetic . . . . .	20
464		Congruence . . . . .	21
465		Computational Rules . . . . .	21
466		The Chinese Remainder Theorem . . . . .	24
467		Remainder Class Representation . . . . .	25
468		Modular Inverses . . . . .	27
469	3.4	Polynomial arithmetic . . . . .	30
470		Polynomial arithmetic . . . . .	34
471		Euclidean Division . . . . .	35
472		Prime Factors . . . . .	37
473		Lagrange interpolation . . . . .	38

474	<b>4 Algebra</b>	<b>41</b>
475	4.1 Commutative Groups . . . . .	41
476	Finite groups . . . . .	43
477	Generators . . . . .	43
478	The exponential map . . . . .	44
479	Factor Groups . . . . .	46
480	Pairings . . . . .	47
481	4.1.1 Cryptographic Groups . . . . .	48
482	The discrete logarithm assumption . . . . .	48
483	The decisional Diffie–Hellman assumption . . . . .	49
484	The computational Diffie–Hellman assumption . . . . .	49
485	4.1.2 Hashing to Groups . . . . .	50
486	Hash functions . . . . .	50
487	Hashing to cyclic groups . . . . .	52
488	Hashing to modular arithmetics . . . . .	53
489	Pedersen Hashes . . . . .	57
490	MimC Hashes . . . . .	57
491	Pseudorandom Functions in DDH-A groups . . . . .	57
492	4.2 Commutative Rings . . . . .	57
493	Hashing to Commutative Rings . . . . .	61
494	4.3 Fields . . . . .	61
495	4.3.1 Prime fields . . . . .	62
496	Square Roots . . . . .	64
497	Hashing into prime fields . . . . .	65
498	MiMC Hash functions . . . . .	66
499	4.3.2 Prime Field Extensions . . . . .	66
500	Hashing into extension fields . . . . .	69
501	4.4 Projective Planes . . . . .	69
502	<b>5 Elliptic Curves</b>	<b>72</b>
503	5.1 Elliptic Curve Arithmetics . . . . .	72
504	5.1.1 Short Weierstraß Curves . . . . .	72
505	Affine short Weierstraß form . . . . .	73
506	Affine compressed representation . . . . .	77
507	Affine group law . . . . .	78
508	Scalar multiplication . . . . .	83
509	Projective short Weierstraß form . . . . .	86
510	Projective Group law . . . . .	87
511	Coordinate Transformations . . . . .	88
512	5.1.2 Montgomery Curves . . . . .	88
513	Affine Montgomery Form . . . . .	90
514	Affine Montgomery coordinate transformation . . . . .	91
515	Montgomery group law . . . . .	93
516	5.1.3 Twisted Edwards Curves . . . . .	94
517	Twisted Edwards Form . . . . .	94
518	Twisted Edwards group law . . . . .	96
519	5.2 Elliptic Curve Pairings . . . . .	97
520	Embedding Degrees . . . . .	97

521	Elliptic Curves over extension fields . . . . .	98
522	Full torsion groups . . . . .	99
523	Torsion subgroups . . . . .	102
524	The Weil pairing . . . . .	104
525	5.3 Hashing to Curves . . . . .	106
526	Try-and-increment hash functions . . . . .	107
527	5.4 Constructing elliptic curves . . . . .	109
528	The Trace of Frobenius . . . . .	110
529	The $j$ -invariant . . . . .	111
530	The Complex Multiplication Method . . . . .	112
531	The <i>BLS6_6</i> pen-and-paper curve . . . . .	121
532	Hashing to pairing groups . . . . .	128
533	<b>6 Statements</b>	<b>130</b>
534	6.1 Formal Languages . . . . .	130
535	Decision Functions . . . . .	131
536	Instance and Witness . . . . .	134
537	Modularity . . . . .	137
538	6.2 Statement Representations . . . . .	137
539	6.2.1 Rank-1 Quadratic Constraint Systems . . . . .	137
540	R1CS representation . . . . .	138
541	R1CS Satisfiability . . . . .	140
542	Modularity . . . . .	141
543	6.2.2 Algebraic Circuits . . . . .	142
544	Algebraic circuit representation . . . . .	142
545	Circuit Execution . . . . .	147
546	Circuit Satisfiability . . . . .	149
547	Associated Constraint Systems . . . . .	150
548	6.2.3 Quadratic Arithmetic Programs . . . . .	155
549	QAP representation . . . . .	155
550	QAP Satisfiability . . . . .	157
551	<b>7 Circuit Compilers</b>	<b>161</b>
552	7.1 A Pen-and-Paper Language . . . . .	161
553	7.1.1 The Grammar . . . . .	161
554	7.1.2 The Execution Phases . . . . .	163
555	The Setup Phase . . . . .	163
556	The Prover Phase . . . . .	165
557	7.2 Common Programing concepts . . . . .	165
558	7.2.1 Primitive Types . . . . .	165
559	The base-field type . . . . .	166
560	The Subtraction Constraint System . . . . .	169
561	The Inversion Constraint System . . . . .	170
562	The Division Constraint System . . . . .	171
563	The boolean Type . . . . .	172
564	The boolean Constraint System . . . . .	172
565	The AND operator constraint system . . . . .	173
566	The OR operator constraint system . . . . .	173

567		The NOT operator constraint system . . . . .	174
568		Modularity . . . . .	175
569		Arrays . . . . .	178
570		The Unsigned Integer Type . . . . .	178
571		The uN Constraint System . . . . .	179
572		The Unsigned Integer Operators . . . . .	180
573	7.2.2	Control Flow . . . . .	181
574		The Conditional Assignment . . . . .	181
575		Loops . . . . .	183
576	7.2.3	Binary Field Representations . . . . .	184
577	7.2.4	Cryptographic Primitives . . . . .	186
578		Twisted Edwards curves . . . . .	186
579		Twisted Edwards curve constraints . . . . .	186
580		Twisted Edwards curve addition . . . . .	187
581	<b>8</b>	<b>Zero Knowledge Protocols</b>	<b>189</b>
582	8.1	Proof Systems . . . . .	189
583	8.2	The “Groth16” Protocol . . . . .	190
584		The Setup Phase . . . . .	192
585		The Prover Phase . . . . .	197
586		The Verification Phase . . . . .	200
587		Proof Simulation . . . . .	202
588	<b>9</b>	<b>Exercises and Solutions</b>	<b>206</b>



# Chapter 1

## Introduction

This is dump from other papers as inspiration for the intro:

Zero knowledge proofs are a class of cryptographic protocols in which one can prove honest computation without revealing the inputs to that computation. A simple high-level example of a zero-knowledge proof is the ability to prove one is of legal voting age without revealing the respective age. In a typical zero knowledge proof system, there are two participants: a prover and a verifier. A prover will present a mathematical proof of computation to a verifier to prove honest computation. The verifier will then confirm whether the prover has performed honest computation based on predefined methods. Zero knowledge proofs are of particular interest to public blockchain activities as the verifier can be codified in smart contracts as opposed to trusted parties or third-party intermediaries.

Zero-knowledge proofs (ZKPs) are an important privacy-enhancing tool from cryptography. They allow proving the veracity of a statement, related to confidential data, without revealing any information beyond the validity of the statement. ZKPs were initially developed by the academic community in the 1980s, and have seen tremendous improvements since then. They are now of practical feasibility in multiple domains of interest to the industry, and to a large community of developers and researchers. ZKPs can have a positive impact in industries, agencies, and for personal use, by allowing privacy-preserving applications where designated private data can be made useful to third parties, despite not being disclosed to them.

ZKP systems involve at least two parties: a prover and a verifier. The goal of the prover is to convince the verifier that a statement is true, without revealing any additional information. For example, suppose the prover holds a birth certificate digitally signed by an authority. In order to access some service, the prover may have to prove being at least 18 years old, that is, that there exists a birth certificate, tied to the identity of the prover and digitally signed by a trusted certification authority, stating a birthdate consistent with the age claim. A ZKP allows this, without the prover having to reveal the birthdate.

### 1.1 Target audience

This book is accessible for both beginners and experienced developers alike. Concepts are gradually introduced in a logical and steady pace. Nonetheless, the chapters lend themselves rather well to being read in a different order. More experienced developers might get the most benefit by jumping to the chapters that interest them most. If you like to learn by example, then you should go straight to the chapter on Using Clarity.

It is assumed that you have a basic understanding of programming and the underlying logical concepts. The first chapter covers the general syntax of Clarity but it does not delve into what

programming itself is all about. If this is what you are looking for, then you might have a more difficult time working through this book unless you have an (undiscovered) natural affinity for such topics. Do not let that dissuade you though, find an introductory programming book and press on! The straightforward design of Clarity makes it a great first language to pick up.

## 1.2 The Zoo of Zero-Knowledge Proofs

First, a list of zero-knowledge proof systems:

1. Pinocchio (2013): Paper

- Notes: trusted setup

2. BCGTV (2013): Paper

- Notes: trusted setup, implementation

3. BCTV (2013): Paper

- Notes: trusted setup, implementation

4. Groth16 (2016): Paper

- Notes: trusted setup

- Other resources: Talk in 2019 by Georgios Konstantopoulos

5. GM17 (2017): Paper

- Notes: trusted setup

- Other resources: later Simulation extractability in ROM, 2018

6. Bulletproofs (2017): Paper

- Notes: no trusted setup

- Other resources: Polynomial Commitment Scheme on DL, 2016 and KZG10, Polynomial Commitment Scheme on Pairings, 2010

7. Ligero (2017): Paper

- Notes: no trusted setup

- Other resources:

8. Hyrax (2017): Paper

- Notes: no trusted setup

- Other resources:

9. STARKs (2018): Paper

- Notes: no trusted setup

- Other resources:

## 10. Aurora (2018): Paper

- Notes: transparent SNARK

- Other resources:

## 11. Sonic (2019): Paper

- Notes: SNORK - SNARK with universal and updateable trusted setup, PCS-based

- Other resources: Blog post by Mary Maller from 2019 and work on updateable and universal setup from 2018

## 12. Libra (2019): Paper

- Notes: trusted setup

- Other resources:

## 13. Spartan (2019): Paper

- Notes: transparent SNARK

- Other resources:

## 14. PLONK (2019): Paper

- Notes: SNORK, PCS-based

- Other resources: Discussion on Plonk systems and Awesome Plonk list

## 15. Halo (2019): Paper

- Notes: no trusted setup, PCS-based, recursive

- Other resources:

## 16. Marlin (2019): Paper

- Notes: SNORK, PCS-based

- Other resources: Rust Github

## 17. Fractal (2019): Paper

- Notes: Recursive, transparent SNARK

- Other resources:

## 18. SuperSonic (2019): Paper

- Notes: transparent SNARK, PCS-based

- Other resources: Attack on DARK compiler in 2021

## 19. Redshift (2019): Paper

- Notes: SNORK, PCS-based

- Other resources:

**Other resources on the zoo:** Awesome ZKP list on Github, ZKP community with the reference document

**To Do List**

- Make table for prover time, verifier time, and proof size
- Think of categories - *Achieved Goals*: Trusted setup or not, Post-quantum or not, ...
- Think of categories - *Mathematical background*: Polynomial commitment scheme, ...
- ... while we discuss the points above, we should also discuss a common notation/language for all these things. (E.g. transparent SNARK/no trusted setup/STARK)

**Points to cover while writing**

- Make a historical overview over the "discovery" of the different ZKP systems
- Make reader understand what paper is build on what result etc. - the tree of publications!
- Make reader understand the different terminology, e.g. SNARK/SNORK/STARK, PCS, R1CS, updateable, universal, ...
- Make reader understand the mathematical assumptions - and what this means for the zoo.
- Where will the development/evolution go? What are bottlenecks?

**Other topics I fell into while compiling this list**

- Vector commitments: <https://eprint.iacr.org/2020/527.pdf>
- Snark1: <http://ace.cs.ohio.edu/~gstewart/papers/snaark1.pdf>
- Virgo?: [https://people.eecs.berkeley.edu/~kubitron/courses/cs262a-F19/projects/reports/project5\\_report\\_ver2.pdf](https://people.eecs.berkeley.edu/~kubitron/courses/cs262a-F19/projects/reports/project5_report_ver2.pdf)

# Chapter 2

## Preliminaries

### 2.1 Preface and Acknowledgements

This book began as a set of lecture and notes accompanying the zk-Summit 0x and 0xx .... It arose from the desire to collect the scattered information of snarks [] and present them to an audience that does not have a strong background in cryptography []

### 2.2 Purpose of the book

The first version of this book is written by security auditors at Least Authority where we audited quite a few snark based systems. Its included "what we have learned" destilate of the time we spend on various audits.

We intend to let illustrative examples drive the discussion and present the key concepts of pairing computation with as little machinery as possible. For those that are fresh to pairing-based cryptography, it is our hope that this chapter might be particularly useful as a first read and prelude to more complete or advanced expositions (e.g. the related chapters in [Gal12]).

On the other hand, we also hope our beginner-friendly intentions do not leave any sophisticated readers dissatisfied by a lack of formality or generality, so in cases where our discussion does sacrifice completeness, we will at least endeavour to point to where a more thorough exposition can be found.

One advantage of writing a survey on pairing computation in 2012 is that, after more than a decade of intense and fast-paced research by mathematicians and cryptographers around the globe, the field is now racing towards full maturity. Therefore, an understanding of this text will equip the reader with most of what they need to know in order to tackle any of the vast literature in this remarkable field, at least for a while yet.

Since we are aiming the discussion at active readers, we have matched every example with a corresponding snippet of (hyperlinked) Magma [BCP97] code 1 , where we take inspiration from the helpful Magma pairing tutorial by Dominguez Perez et al. [DKS09].

Early in the book we will develop examples that we then later extend with most of the things we learn in each chapter. This way we incrementally build a few real world snarks but over full fledged cryptographic systems that are nevertheless simple enough to be computed by pen and paper to illustrate all steps in great detail.

## 2.3 How to read this book

Books and papers to read: XXXXXXXXXXXX

Software to try: XXXXXXXXXXXXXXXXXXXX

Correctly prescribing the best reading route for a beginner naturally requires individual diagnosis that depends on their prior knowledge and technical preparation.

## 2.4 Cryptological Systems

The science of information security is referred to as *cryptology*. In the broadest sense, it deals with encryption and decryption processes, with digital signatures, identification protocols, cryptographic hash functions, secrets sharing, electronic voting procedures and electronic money.  
EXPAND

## 2.5 SNARKS

## 2.6 complexity theory

Before we deal with the mathematics behind zero knowledge proof systems, we must first clarify what is meant by the runtime of an algorithm or the time complexity of an entire mathematical problem. This is particularly important for us when we analyze the various snark systems...

For the reader who is interested in complexity theory, we recommend, or example or , as well as the references contained therein.

### 2.6.1 Runtime complexity

The runtime complexity of an algorithm describes, roughly speaking, the amount of elementary computation steps that this algorithm requires in order to solve a problem, depending on the size of the input data.

Of course, the exact amount of arithmetic operations required depends on many factors such as the implementation, the operating system used, the CPU and many more. However, such accuracy is seldom required and is mostly meaningful to consider only the asymptotic computational effort.

In computer science, the runtime of an algorithm is therefore not specified in individual calculation steps, but instead looks for an upper limit which approximates the runtime as soon as the input quantity becomes very large. This can be done using the so-called *Landau notation* (also called big- $\mathcal{O}$ -notation) A precise definition would, however, go beyond the scope of this work and we therefore refer the reader to .

For us, only a rough understanding of transit times is important in order to be able to talk about the security of cryptographic systems. For example,  $\mathcal{O}(n)$  means that the running time of the algorithm to be considered is linearly dependent on the size of the input set  $n$ ,  $\mathcal{O}(n^k)$  means that the running time is polynomial and  $\mathcal{O}(2^n)$  stands for an exponential running time (chapter 2.4).

An algorithm which has a running time that is greater than a polynomial is often simply referred to as *slow*.

A generalization of the runtime complexity of an algorithm is the so-called *time complexity of a mathematical problem*, which is defined as the runtime of the fastest possible algorithm that can still solve this problem ( chapter 3.1).

Since the time complexity of a mathematical problem is concerned with the runtime analysis of all possible (and thus possibly still undiscovered) algorithms, this is often a very difficult and deep-seated question .

For us, the time complexity of the so-called discrete logarithm problem will be important. This is a problem for which we only know slow algorithms on classical computers at the moment, but for which at the same time we cannot rule out that faster algorithms also exist.

STUFF ON CRYPTOGRAPHIC HASH FUNCTIOND

## 2.7 Software Used in This Book

### 2.7.1 Sagemath

It order to provide an interactive learning experience, and to allow getting hands-on with the concepts described in this book, we give examples for how to program them in the Sage programming language. Sage is a dialect of the learning-friendly programming language Python, which was extended and optimized for computing with, in and over algebraic objects. Therefore, we recommend installing Sage before diving into the following chapters.

The installation steps for various system configurations are described on the sage websit<sup>1</sup>. Note however that we use Sage version 9, so if you are using Linux and your package manager only contains version 8, you may need to choose a different installation path, such as using prebuilt binaries.

We recommend the interested reader, who is not familiar with sagemath to read on the many tutorial before starting this book. For example

---

<sup>1</sup><https://doc.sagemath.org/html/en/installation/index.html>

# Chapter 3

## arithmetic

### 3.1 Introduction

#### 3.1.1 Aims and target audience

Sylvia: This subsection should be in the introduction of the book as it applies to the entire math part

How much mathematics do you need to understand **zero-knowledge proofs**? The answer, of course, depends on the level of understanding you aim for. It is possible to describe zero-knowledge proofs without using mathematics at all; however, to read a foundational paper like ? and to understand the internals of snark implementations, some knowledge of mathematics is needed to be able to follow the discussion.

The goal of this chapter is therefore to enable a reader who is starting out with nothing more than basic high school algebra to be able to solve simple tasks in the mathematics underlying most zero knowledge proofs without the need of a computer.

Without a solid grounding in mathematics, someone who is interested in learning the concepts of zero-knowledge proofs, but who has never seen or dealt with, say, a prime field 4.3.1, or an elliptic curve 5, may quickly become overwhelmed. This is not so much due to the complexity of the mathematics needed, but rather because of the vast amount of technical jargon, unknown terms, and obscure symbols that quickly makes a text unreadable, even though the concepts themselves are not actually that complicated. As a result, the reader might either lose interest, or pick up some incoherent bits and pieces of knowledge that, in the worst case scenario, result in immature and unsecure code.

This is why we dedicated this chapter to explaining the mathematical foundations needed to understand the basic concepts underlying snark development. We encourage the reader who is not familiar with basic number theory and elliptic curves to take the time and read this and the following chapters, until they are able to solve at least a few exercises in each chapter.

If, on the other hand, you are already skilled in elliptic curve cryptography, feel free to skip this chapter and only come back to it for reference and comparison. Maybe the most interesting parts are XXX .

We start our explanations at a very basic level, and only assume pre-existing knowledge of fundamental concepts like high school integer arithmetic. At the same time, we'll attempt to teach you to "think mathematically", and to show you that there are numbers and mathematical structures out there that appear to be very different from the things you learned about in high school, but on a deeper level, they are actually quite similar, as we will see in various examples below in this chapter.

Sylvia:  
This subsection should be in the introduction of the book as it applies to the entire math part

zero-knowledge proofs

add references



To make it easier to memorize new concepts and symbols, we might frequently link to definitions in the beginning, but as too many links render a text unreadable, we will assume the reader will become familiar with definitions as the text proceeds at which point we will not link them anymore.

We want to stress, however that this introduction is informal, incomplete and optimized to enable the reader to understand zero-knowledge concepts as efficiently as possible. Our focus and design choices are to include as little theory as necessary, focusing on a wealth of numerical examples. We believe that such an informal, example-driven approach to learning mathematics may make it easier for beginners to digest the material in the initial stages.

For instance, as a beginner, you would probably find it more beneficial to first compute a simple toy **snark** with pen and paper all the way through, before actually developing real-world production-ready systems. In addition, it's useful to have a few simple examples in your head before getting started with reading actual academic papers.

However, in order to be able to derive these toy examples, some mathematical groundwork is needed. This chapter therefore will help the inexperienced reader to focus on what we believe is important, accompanied by exercises that you are encouraged to recompute yourself. Every section usually ends with a list of additional exercises in increasing order of difficulty, to help the reader memorize and apply the concepts.

### 3.1.2 The structure of this chapter

**Sylvia:** This subsection should be in the introduction of the book as it applies to the entire math part

We start with a brief recapitulation of basic integer arithmetic like long division, the greatest common divisor and Euclid's algorithm. After that, we introduce modular arithmetic as **the most important skill** to compute our pen-and-paper examples. We then introduce polynomials, compute their analogs to integer arithmetic and introduce the important concept of Lagrange interpolation.

After this practical warm up, we introduce some basic algebraic terms like groups and fields, because those terms are used very frequently in academic papers relating to zero-knowledge proofs. The beginner is advised to memorize those terms and think about them: Why are they defined the way they are? Can you come up with a better definition? How and why is every rule important and what happens if that rule is dropped?

We define these terms in the general abstract way of mathematics, hoping that the non mathematical trained reader will gradually learn to become comfortable with this style. We then give basic examples and do basic computations with these examples to get familiar with the concepts.

**Sylvia:** This subsection should be in the introduction of the book as it applies to the entire math part

## 3.2 Integer arithmetic

In a sense, integer arithmetic is at the heart of large parts of modern cryptography. Fortunately, most readers will probably remember integer arithmetic from school. It is, however, important that you can confidently apply those concepts to understand and execute computations in the many pen-and-paper examples that form an integral part of the MoonMath Manual. We will therefore recapitulate basic arithmetic concepts to refresh your memory and fill any knowledge gaps.

In what follows, we use many mathematical notations, which we summarized in the following table 3.2:

Symbol	Meaning of Symbol
=	equals
:=	defining the symbol on the r
∈	element from a set
⇔	logical equivalence
$\sum_{j=n}^k a_j$	summation

Sylvia: We should put this table into the same introduction as 3.1.1

In this book, we use the symbol  $\mathbb{Z}$  as a short description for the set of all **integers**, that is we write:

$$\mathbb{Z} := \{\dots, -3, -2, -1, 0, 1, 2, 3, \dots\} \quad (3.1)$$

Integers are also known as **whole numbers**, that is, numbers that can be written without fractional parts. Examples of numbers that are **not** integers are  $\frac{2}{3}$ , 1.2 and  $-1280.006$ .

If  $a \in \mathbb{Z}$  is an integer, then we write  $|a|$  for the **absolute value** of  $a$ , that is, the the non-negative value of  $a$  without regard to its sign:

$$|4| = 4 \quad (3.2)$$

$$|-4| = 4 \quad (3.3)$$

We use the symbol  $\mathbb{N}$  for the set of all positive integers, usually called the set of **natural numbers** and  $\mathbb{N}_0$  for the set of all non negative integers. So whenever you see the symbol  $\mathbb{N}$ , think of the set of all positive integers excluding the number 0:

$$\mathbb{N} := \{1, 2, 3, \dots\} \quad \mathbb{N}_0 := \{0, 1, 2, 3, \dots\}$$

Let  $n \in \mathbb{N}_0$  be a non negative integer and  $(b_0, b_1, \dots, b_k)$  a string of **bits**  $b_j \in \{0, 1\} \subset \mathbb{N}_0$  for some non negative integer  $k \in \mathbb{N}$ , such that the following equation holds:

$$n = \sum_{j=0}^k b_j \cdot 2^j \quad (3.4)$$

In this case, we call  $(b_0, b_1, \dots, b_k)$  the **binary representation** of  $n$ , say that  $n$  is a  $k$ -bit number and call  $k$  the **bit length** of  $n$ . It can be shown, that the binary representation of any non negative integer is unique.

In addition, we use the symbol  $\mathbb{Q}$  for the set of all **rational numbers**, which can be represented as the set of all fractions  $\frac{n}{m}$ , where  $n \in \mathbb{Z}$  is an integer and  $m \in \mathbb{N}$  is a natural number, such that there is no other fraction  $\frac{n'}{m'}$  and natural number  $k \in \mathbb{N}$  with  $k \neq 1$  and

$$\frac{n}{m} = \frac{k \cdot n'}{k \cdot m'} \quad (3.5)$$

The sets  $\mathbb{N}$ ,  $\mathbb{Z}$  and  $\mathbb{Q}$  have a notion of addition and multiplication defined on them. Most of us are probably able to do many integer computations in our head, but this gets more and more difficult as these increase in complexity. We will frequently invoke the SageMath system (2.7.1) for more complicated computations (We define rings and fields later in this book):

Sylvia:  
We should  
put this  
table into  
the same  
introduc-  
tion as  
3.1.1

@jan  
@anna  
double  
check this  
definition.  
Is it clear  
enough?  
Proper  
definition  
requires  
the con-  
cept of  
equiv-  
alance or  
coprime-  
ness first

```

895 sage: ZZ # A sage notation for the integers 1
896 Integer Ring 2
897 sage: NN # A sage notation for the natural numbers 3
898 Non negative integer semiring 4
899 sage: QQ # A sage notation for the rational numbers 5
900 Rational Field 6
901 sage: ZZ(5) # Get an element from the integers 7
902 5 8
903 sage: ZZ(5) + ZZ(3) 9
904 8 10
905 sage: ZZ(5) * NN(3) 11
906 15 12
907 sage: ZZ.random_element(10**50) 13
908 25566069313870694529920886180936545039739782599916 14
909 sage: ZZ(27713).str(2) # Binary string representation 15
910 110110001000001 16
911 sage: NN(27713).str(2) # Binary string representation 17
912 110110001000001 18
913 sage: ZZ(27713).str(16) # Hexadecimal string representation 19
914 6c41 20

```

One set of numbers that is of particular interest to us is the set of **prime numbers**, which are natural numbers  $p \in \mathbb{N}$  with  $p \geq 2$ , which are only divisible by themselves and by 1. All prime numbers apart from the number 2 are called **odd prime numbers**. We write  $\mathbb{P}$  for the set of all prime numbers and  $\mathbb{P}_{\geq 3}$  for the set of all odd prime numbers. The set of prime numbers  $\mathbb{P}$  is an infinite set and can be ordered according to size, which means that for any prime number  $p \in \mathbb{P}$  one can always find another prime number  $p' \in \mathbb{P}$  with  $p < p'$ . It follows that there is no largest prime number. Since prime numbers can be ordered by size, we can write them as follows:

$$2, 3, 5, 7, 11, 13, 17, 19, 23, 29, 31, 37, 41, 43, 47, 53, 59, 61, 67, \dots \quad (3.6)$$

As the **fundamental theorem of arithmetic** tells us, prime numbers are, in a certain sense, the basic building blocks from which all other natural numbers are composed. To see that, let  $n \in \mathbb{N}$  be any natural number with  $n > 1$ . Then there are always prime numbers  $p_1, p_2, \dots, p_k \in \mathbb{P}$ , such that

$$n = p_1 \cdot p_2 \cdot \dots \cdot p_k. \quad (3.7)$$

This representation is unique for each natural number (except for the order of the factors) and is called the **prime factorization** of  $n$ .

*Example 1* (Prime Factorization). To see what we mean by prime factorization of a number, let's look at the number  $504 \in \mathbb{N}$ . To get its prime factors, we can successively divide it by all prime numbers in ascending order starting with 2:

$$504 = 2 \cdot 2 \cdot 2 \cdot 3 \cdot 3 \cdot 7$$

We can double check our findings invoking Sage, which provides an algorithm to factor natural numbers:

```

930 sage: n = NN(504) 21
931 sage: factor(n) 22

```

932  $2^3 * 3^2 * 7$

933 The computation from the previous example reveals an important observation: Computing  
 934 the factorization of an integer is computationally expensive, because we have to divide repeatedly  
 935 by all prime numbers smaller than the number itself until all factors are prime numbers themselves.  
 936 From this, an important question arises: How fast can we compute the prime factorization of a  
 937 natural number? This question is the famous **integer factorization problem** and, as far as we  
 938 know, there is currently no method known that can factor integers much faster than the naive  
 939 approach that just divides the given number by all prime numbers in ascending order.

940 On the other hand computing the product of a given set of prime numbers, is fast (just  
 941 multiply all factors) and this simple observation implies that the two processes "prime number  
 942 multiplication" on the one side and its inverse process "natural number factorization" have very  
 943 different computational costs. The factorization problem is therefore an example of a so-called  
 944 **one-way function**: An invertible function that is easy to compute in one direction, but hard to  
 945 compute in the other direction.

946 It should be pointed out, however, that the American mathematician Peter W. Shor devel-  
 947 oped an algorithm in [?] which can calculate the prime factorization of a natural number in  
 948 polynomial time on a quantum computer. The consequence of this is that cryptosystems, which  
 949 are based on the prime factor problem, are unsafe as soon as practically usable quantum com-  
 950 puters become available.

951 *Exercise 1.* What is the absolute value of the integers  $-123$ ,  $27$  and  $0$ ?

952 *Exercise 2.* Compute the factorization of  $30030$  and double check your results using Sage.

953 *Exercise 3.* Consider the following equation  $4 \cdot x + 21 = 5$ . Compute the set of all solutions for  
 954  $x$  under the following alternative assumptions:

955 1. The equation is defined over the natural numbers.

956 2. The equation is defined over the integers.

957 *Exercise 4.* Consider the following equation  $2x^3 - x^2 - 2x = -1$ . Compute the set of all solu-  
 958 tions  $x$  under the following assumptions:

959 1. The equation is defined over the natural numbers.

960 2. The equation is defined over the integers.

961 3. The equation is defined over the rational numbers.

962 **Euclidean Division** As we know from high school mathematics, integers can be added, sub-  
 963 tracted and multiplied and the result is guaranteed to always be an integer again. On the contrary  
 964 division in the commonly understood sense is not defined for integers, as, for example,  $7$  divided  
 965 by  $3$  will not be an integer again. However it is always possible to divide any two integers if we  
 966 consider division with remainder. So for example  $7$  divided by  $3$  is equal to  $2$  with a remainder  
 967 of  $1$ , since  $7 = 2 \cdot 3 + 1$ .

968 It is the content of this section to introduce division with remainder for integers which is  
 969 usually called **Euclidean division**. It is an essential technique underlying many concepts in this  
 970 book. The precise definition is as follows:

971 Let  $a \in \mathbb{Z}$  and  $b \in \mathbb{Z}$  be two integers with  $b \neq 0$ . Then there is always another integer  $m \in \mathbb{Z}$   
 972 and a natural number  $r \in \mathbb{N}$ , with  $0 \leq r < |b|$  such that

$$a = m \cdot b + r \quad (3.8)$$

Do we  
even need  
this quan-  
tum com-  
puting  
excuse?

This decomposition of  $a$  given  $b$  is called **Euclidean division**, where  $a$  is called the **dividend**,  $b$  is called the **divisor**,  $m$  is called the **quotient** and  $r$  is called the **remainder**. It can be shown that both the quotient and the remainder always exist and are unique, as long as the divisor is different from 0.

*Notation and Symbols* 1. Suppose that the numbers  $a, b, m$  and  $r$  satisfy equation (3.8). Then we often write

$$a \operatorname{div} b := m, \quad a \operatorname{mod} b := r \quad (3.9)$$

to describe the quotient and the remainder of the Euclidean division. We also say that an integer  $a$  is divisible by another integer  $b$  if  $a \operatorname{mod} b = 0$  holds. In this case we also write  $b|a$  and call the integer  $a \operatorname{div} b$  the **cofactor** of  $b$  in  $a$ .

So, in a nutshell Euclidean division is a process of dividing one integer by another in a way that produces a quotient and a non-negative remainder, the latter of which is smaller than the absolute value of the divisor.

A special situation occurs whenever the remainder is zero, because in this case the dividend is divisible by the divisor. Our notation  $b|a$  reflects that.

*Example 2.* Applying Euclidean division and our previously defined notation 3.9 to the dividend  $-17$  and the divisor  $4$ , we get

$$-17 \operatorname{div} 4 = -5, \quad -17 \operatorname{mod} 4 = 3$$

because  $-17 = -5 \cdot 4 + 3$  is the Euclidean division of  $-17$  and  $4$  (the remainder is, by definition, a non-negative number). In this case  $4$  does not divide  $-17$ , as the remainder is not zero. The truth value of the expression  $4|-17$  therefore is FALSE. On the other hand, the truth value of  $4|12$  is TRUE, since  $4$  divides  $12$ , as  $12 \operatorname{mod} 4 = 0$ . We can invoke sage to do the computation for us. We get the following:

```
sage: ZZ(-17) // ZZ(4) # Integer quotient
-5
sage: ZZ(-17) % ZZ(4) # remainder
3
sage: ZZ(4).divides(ZZ(-17)) # self divides other
False
sage: ZZ(4).divides(ZZ(12))
True
```

*Remark 1.* In 3.9 we defined the notation of  $a \operatorname{div} b$  and  $a \operatorname{mod} b$ , in terms of Euclidean division. It should be noted however that many programming languages like Python and Sage, implement both the operator  $(/)$  as well as the operator  $(\%)$  differently. Programmers should be aware of this, as the discrepancy between the mathematical notation and the implementation in programming languages might become the source of subtle bugs in implementations of cryptographic primitives.

To give an example consider the the dividend  $-17$  and the divisor  $-4$ . Note that in contrast to the previous example 2, we have a negative divisor. According to our definition we have

$$-17 \operatorname{div} -4 = 5, \quad -17 \operatorname{mod} -4 = 3$$

because  $-17 = 5 \cdot (-4) + 3$  is the Euclidean division of  $-17$  and  $-4$  (the remainder is, by definition, a non-negative number). However using the operators  $(/)$  and  $(\%)$  in Sage we get

@jan.  
You wrote: a and b are required to be non-zero in the definition above, so this can just be deleted.  
... a can be zero and existence and uniqueness, non-zeroness are not obvious. Do you mean something else?  
You wrote: If these should only satisfy the equation, why use definition symbols (:=) and not equality symbols (=)? But this is a definition the symbol a div b IS DEFINED to be the number b... Is that clear?

```

1008 sage: ZZ(-17) // ZZ(-4) # Integer quotient 32
1009 4 33
1010 sage: ZZ(-17) % ZZ(-4) # remainder 34
1011 -1 35
1012 sage: ZZ(-17).quo_rem(ZZ(-4)) # not Euclidean division 36
1013 (4, -1) 37

```

1014 Methods to compute Euclidean division for integers are called **integer division algorithms**.  
 1015 Probably the best known algorithm is the so-called **long division**, which most of us might have  
 1016 learned in school.

1017 As long division is the standard method used for pen-and-paper division of multi-digit num-  
 1018 bers expressed in decimal notation, the reader should become familiar with it as we use it  
 1019 throughout this book when we do simple pen-and-paper computations. However, instead of  
 1020 defining the algorithm formally, we rather give some examples that will hopefully make the  
 1021 process clear.

1022 In a nutshell, the algorithm loops through the digits of the dividend from the left to right,  
 1023 subtracting the largest possible multiple of the divisor (at the digit level) at each stage; the  
 1024 multiples then become the digits of the quotient, and the remainder is the first digit of the  
 1025 dividend.

1026 *Example 3 (Integer Long Division).* To give an example of integer long division algorithm, lets  
 1027 divide the integer  $a = 143785$  by the number  $b = 17$ . Our goal is therefore to find solutions  
 1028 to equation 3.8, that is, we need to find the quotient  $m \in \mathbb{Z}$  and the remainder  $r \in \mathbb{N}$  such that  
 1029  $143785 = m \cdot 17 + r$ . Using a notation that is mostly used in Commonwealth countries, we  
 1030 compute as follows:

$$\begin{array}{r}
 8457 \\
 17 \overline{) 143785} \\
 \underline{136} \phantom{00} \\
 77 \phantom{00} \\
 \underline{68} \phantom{00} \\
 98 \phantom{00} \\
 \underline{85} \phantom{00} \\
 135 \phantom{00} \\
 \underline{119} \phantom{00} \\
 16
 \end{array}
 \tag{3.10}$$

1031 We therefore get  $m = 8457$  as well as  $r = 16$  and indeed we have  $143785 = 8457 \cdot 17 + 16$ ,  
 1032 which we can double check invoking Sage:

```

1033 sage: ZZ(143785).quo_rem(ZZ(17)) 38
1034 (8457, 16) 39
1035 sage: ZZ(143785) == ZZ(8457)*ZZ(17) + ZZ(16) # check 40
1036 True 41

```

1037 *Exercise 5 (Integer Long Division).* Find an  $m \in \mathbb{Z}$  as well as an  $r \in \mathbb{N}$  with  $0 \leq r < |b|$  such that  
 1038  $a = m \cdot b + r$  holds for the following pairs  $(a, b) = (27, 5)$ ,  $(a, b) = (27, -5)$ ,  $(a, b) = (127, 0)$ ,  
 1039  $(a, b) = (-1687, 11)$  and  $(a, b) = (0, 7)$ . In which cases are your solutions unique?

1040 *Exercise 6 (Long Division Algorithm).* Write an algorithm that computes integer long division  
 1041 and handling all edge cases properly.

1042 *Exercise 7* (Binary Representation). Write an algorithm that computes the binary representation  
 1043 3.4 of any non-negative integer.

1044 **The Extended Euclidean Algorithm** One of the most critical parts in this book is the so  
 1045 called modular arithmetic which we will define in 3.3 and its application in the computations of  
 1046 **prime fields** as defined in 4.3.1. To be able to do computations in modular arithmetic, we have  
 1047 to get familiar with the so-called **extended Euclidean algorithm**. We therefore introduce this  
 1048 algorithm here.

1049 The **greatest common divisor** (GCD) of two non-zero integers  $a$  and  $b$ , is defined as the  
 1050 greatest non-zero natural number  $d$  such that  $d$  divides both  $a$  and  $b$ , that is,  $d|a$  as well as  $d|b$ .  
 1051 We write  $\gcd(a, b) := d$  for this number. Since the natural number 1 divides any other integer, 1  
 1052 is always a common divisor of any two non-zero integers. However it must not be the greatest.

1053 A common method to compute the greatest common divisor is the so called Eucliden algo-  
 1054 rithm. However since we don't need that algorithm in this book, we will introduce the Extended  
 1055 Euclidean algorithm which is a method to calculate the greatest common divisor of two natural  
 1056 numbers  $a$  and  $b \in \mathbb{N}$ , as well as two additional integers  $s, t \in \mathbb{Z}$ , such that the following equation  
 1057 holds:

$$\gcd(a, b) = s \cdot a + t \cdot b \quad (3.11)$$

1058 The pseudocode in algorithm 1 shows in detail how to calculate the greatest common divisor  
 1059 and the numbers  $s$  and  $t$  with the extended Euclidean algorithm:

---

**Algorithm 1** Extended Euclidean Algorithm

---

**Require:**  $a, b \in \mathbb{N}$  with  $a \geq b$

**procedure** EXT-EUCLID( $a, b$ )

$r_0 \leftarrow a$  and  $r_1 \leftarrow b$

$s_0 \leftarrow 1$  and  $s_1 \leftarrow 0$

$t_0 \leftarrow 0$  and  $t_1 \leftarrow 1$

$k \leftarrow 2$

**while**  $r_{k-1} \neq 0$  **do**

$q_k \leftarrow r_{k-2} \text{ div } r_{k-1}$

$r_k \leftarrow r_{k-2} \text{ mod } r_{k-1}$

$s_k \leftarrow s_{k-2} - q_k \cdot s_{k-1}$

$t_k \leftarrow t_{k-2} - q_k \cdot t_{k-1}$

$k \leftarrow k + 1$

**end while**

**return**  $\gcd(a, b) \leftarrow r_{k-2}$ ,  $s \leftarrow s_{k-2}$  and  $t \leftarrow t_{k-2}$

**end procedure**

**Ensure:**  $\gcd(a, b) = s \cdot a + t \cdot b$

---

1060 The algorithm is simple enough to be done effectively in pen-and-paper examples, where  
 1061 it is common to write it as a table where the rows represent the while-loop and the columns  
 1062 represent the values of the the array  $r$ ,  $s$  and  $t$  with index  $k$ . The following example provides a  
 1063 simple execution:

1064 *Example 4.* To illustrate algorithm 1, we apply it to the numbers  $a = 12$  and  $b = 5$ . Since  
 1065  $12, 5 \in \mathbb{N}$  as well as  $12 \geq 5$  all requirements are met and we compute as follows:



k	$r_k$	$s_k$	$t_k$
0	12	1	0
1	5	0	1
2	2	1	-2
3	1	-2	5
4	0		

From this we can see that the greatest common divisor of 12 and 5 is  $\gcd(12, 5) = 1$  and that the equation  $1 = (-2) \cdot 12 + 5 \cdot 5$  holds. We can also invoke sage to double check our findings:

```
sage: ZZ(12).xgcd(ZZ(5)) # (gcd(a,b), s, t) 42
      (1, -2, 5) 43
```

*Exercise 8* (Extended Euclidean Algorithm). Find integers  $s, t \in \mathbb{Z}$  such that  $\gcd(a, b) = s \cdot a + t \cdot b$  holds for the following pairs  $(a, b) = (45, 10)$ ,  $(a, b) = (13, 11)$ ,  $(a, b) = (13, 12)$ . What pairs  $(a, b)$  are coprime?

*Exercise 9* (Towards Prime fields). Let  $n \in \mathbb{N}$  be a natural number and  $p$  a prime number, such that  $n < p$ . What is the greatest common divisor  $\gcd(p, n)$ ?

*Exercise 10*. Find all numbers  $k \in \mathbb{N}$  with  $0 \leq k \leq 100$  such that  $\gcd(100, k) = 5$ .

*Exercise 11*. Show that  $\gcd(n, m) = \gcd(n + m, m)$  for all  $n, m \in \mathbb{N}$ .

**Coprime Integers** Coprime integers are integers that do not have a common prime number as a factor. As we will see in 3.3 those numbers are important for our purposes because in modular arithmetic, computation that involve coprime numbers are substantially different from computations on non-coprime numbers 3.3.

The naive way to decide if two integers are coprime would be to divide both number suces- sively by all prime numbers smaller then those numbers to see if they share a common prime factor. However two integers are coprime if and only if their greatest common divisor is 1 and hence computing the  $\gcd$  is the preferred method.

*Example 5*. Consider example 4 again. As we have seen, the greatest common divisor of 12 and 5 is 1. This implies that the integers 12 and 5 are coprime, since they share no divisor other then 1, which is not a prime number.

*Exercise 12*. Consider exercise 8 again. Which pairs  $(a, b)$  from that exercise are coprime?

### 3.3 Modular arithmetic

**Modular arithmetic** is a system of integer arithmetic, where numbers “wrap around” when reaching a certain value, much like calculations on a clock wrap around whenever the value exceeds the number 12. For example, if the clock shows that it is 11 o’clock, then 20 hours later it will be 7 o’clock, not 31 o’clock. The number 31 has no meaning on a normal clock that shows hours.

The number at which the wrap occurs is called the **modulus**. Modular arithmetic general- izes the clock example to arbitrary moduli and studies equations and phenomena that arise in this new kind of arithmetic. It is of central importance for understanding most modern crypto systems, in large parts because modular arithmetic provides the computational infrastrutute for algebraic types that have cryptographically useful examples of one-way functions.



Although modular arithmetic appears very different from ordinary integer arithmetic that we are all familiar with, we encourage the interested reader to work through the example and to discover that, once they get used to the idea that this is a new kind of calculations, it will seem much less daunting.

**Congruence** In what follows, let  $n \in \mathbb{N}$  with  $n \geq 2$  be a fixed natural number that we will call the **modulus** of our modular arithmetic system. With such an  $n$  given, we can then group integers into classes, by saying that two integers are in the same class, whenever their Euclidean division 3.2 by  $n$  will give the same remainder. We then say that two numbers are **congruent** whenever they are in the same class.

*Example 6.* If we choose  $n = 12$  as in our clock example, then the integers  $-7, 5, 17$  and  $29$  are all congruent with respect to  $12$ , since all of them have the remainder  $5$  if we perform Euclidean division on them by  $12$ . In the picture of an analog 12-hour clock, starting at 5 o'clock, when we add 12 hours we are again at 5 o'clock, representing the number  $17$ . On the other hand, when we subtract 12 hours, we are at 5 o'clock again, representing the number  $-7$ .

We can formalize this intuition of what congruence should be into a proper definition utilizing Euclidean division (as explained previously in 3.2): Let  $a, b \in \mathbb{Z}$  be two integers and  $n \in \mathbb{N}$  a natural number, such that  $n \geq 2$ . Then  $a$  and  $b$  are said to be **congruent with respect to the modulus  $n$** , if and only if the following equation holds

$$a \bmod n = b \bmod n \quad (3.12)$$

If, on the other hand, two numbers are not congruent with respect to a given modulus  $n$ , we call them **incongruent** w.r.t.  $n$ .

A **congruence** is then nothing but an equation "up to congruence", which means that the equation only needs to hold if we take the modulus on both sides. In which case we write

$$a \equiv b \pmod{n} \quad (3.13)$$

*Exercise 13.* Which of the following pairs of numbers are congruent with respect to the modulus  $13$ :  $(5, 19), (13, 0), (-4, 9), (0, 0)$ .

*Exercise 14.* Find all integers  $x$ , such that the congruence  $x \equiv 4 \pmod{6}$  is satisfied.

**Computational Rules** Having defined the notion of a congruence as an equation "up to a modulus", a follow up question is if we can manipulate a congruence similar to an equation. Indeed we can almost apply the same substitution rules to a congruency then to an equation, with the main difference being that for some non-zero integer  $k \in \mathbb{Z}$ , the congruence  $a \equiv b \pmod{n}$  is equivalent to the congruence  $k \cdot a \equiv k \cdot b \pmod{n}$  only, if  $k$  and the modulus  $n$  are coprime 3.2. The following list gives a set of useful rules:

Suppose that integers  $a_1, a_2, b_1, b_2, k \in \mathbb{Z}$  are given. Then the following arithmetic rules hold for congruencies:

- $a_1 \equiv b_1 \pmod{n} \Leftrightarrow a_1 + k \equiv b_1 + k \pmod{n}$  (compatibility with translation)
- $a_1 \equiv b_1 \pmod{n} \Rightarrow k \cdot a_1 \equiv k \cdot b_1 \pmod{n}$  (compatibility with scaling)
- $\gcd(k, n) = 1$  and  $k \cdot a_1 \equiv k \cdot b_1 \pmod{n} \Rightarrow a_1 \equiv b_1 \pmod{n}$
- $k \cdot a_1 \equiv k \cdot b_1 \pmod{k \cdot n} \Rightarrow a_1 \equiv b_1 \pmod{n}$

1138 •  $a_1 \equiv b_1 \pmod{n}$  and  $a_2 \equiv b_2 \pmod{n} \Rightarrow a_1 + a_2 \equiv b_1 + b_2 \pmod{n}$  (compatibil-  
 1139 ity with addition)

1140 •  $a_1 \equiv b_1 \pmod{n}$  and  $a_2 \equiv b_2 \pmod{n} \Rightarrow a_1 \cdot a_2 \equiv b_1 \cdot b_2 \pmod{n}$  (compatibility  
 1141 with multiplication)

1142 Other rules, such as compatibility with subtraction, follow from the rules above. For example,  
 1143 compatibility with subtraction follows from compatibility with scaling by  $k = -1$  and compat-  
 1144 ibility with addition.

1145 Another property of congruencies, not known in the traditional arithmetic of integers is  
 1146 **Fermat's Little Theorem**. In simple words, it states that, in modular arithmetic, every number  
 1147 raised to the power of a prime number modulus is congruent to the number itself. Or, to be more  
 1148 precise, if  $p \in \mathbb{P}$  is a prime number and  $k \in \mathbb{Z}$  is an integer, then:

$$k^p \equiv k \pmod{p}, \quad (3.14)$$

1149 If  $k$  is coprime to  $p$ , then we can divide both sides of this congruence by  $k$  and rewrite the  
 1150 expression into the equivalent form

$$k^{p-1} \equiv 1 \pmod{p} \quad (3.15)$$

1151 The following sage code computes example effects of Fermat's little theorem and highlights the  
 1152 effects of the exponent  $k$  being coprime and not coprime to  $p$ :

```

1153 sage: ZZ(137).gcd(ZZ(64))                                44
1154 1                                                            45
1155 sage: ZZ(64)^ZZ(137) % ZZ(137) == ZZ(64) % ZZ(137)      46
1156 True                                                         47
1157 sage: ZZ(64)^ZZ(137-1) % ZZ(137) == ZZ(1) % ZZ(137)      48
1158 True                                                         49
1159 sage: ZZ(1918).gcd(ZZ(137))                                50
1160 137                                                         51
1161 sage: ZZ(1918)^ZZ(137) % ZZ(137) == ZZ(1918) % ZZ(137)    52
1162 True                                                         53
1163 sage: ZZ(1918)^ZZ(137-1) % ZZ(137) == ZZ(1) % ZZ(137)    54
1164 False                                                        55

```

1165 Let's compute an example that contains most of the concepts described in this section:

*Example 7.* Assume that we consider the modulus 6 and that our task is to solve the following congruence for  $x \in \mathbb{Z}$

$$7 \cdot (2x + 21) + 11 \equiv x - 102 \pmod{6}$$

As many rules for congruencies are more or less same as for integers, we can proceed in a similar way as we would if we had an equation to solve. Since both sides of a congruence contain ordinary integers, we can rewrite the left side as follows:  $7 \cdot (2x + 21) + 11 = 14x + 147 + 11 = 14x + 158$ . We can therefore rewrite the congruence into the equivalent form

$$14x + 158 \equiv x - 102 \pmod{6}$$

In the next step we want to shift all instances of  $x$  to left and every other term to the right. So we apply the “compatibility with translation” rules two times. In a first step we choose  $k = -x$

and in a second step we choose  $k = -158$ . Since “compatibility with translation” transforms a congruence into an equivalent form, the solution set will not change and we get

$$\begin{aligned} 14x + 158 &\equiv x - 102 \pmod{6} \Leftrightarrow \\ 14x - x + 158 - 158 &\equiv x - x - 102 - 158 \pmod{6} \Leftrightarrow \\ 13x &\equiv -260 \pmod{6} \end{aligned}$$

If our congruence would just be a normal integer equation, we would divide both sides by 13 to get  $x = -20$  as our solution. However, in case of a congruence, we need to make sure that the modulus and the number we want to divide by are coprime first – only then will we get an equivalent expression (See rule XXX). So we need to find the greatest common divisor  $\gcd(13, 6)$ . Since 13 is prime and 6 is not a multiple of 13, we know that  $\gcd(13, 6) = 1$ , so these numbers are indeed coprime. We therefore compute

$$13x \equiv -260 \pmod{6} \Leftrightarrow x \equiv -20 \pmod{6}$$

Our task is now to find all integers  $x$ , such that  $x$  is congruent to  $-20$  with respect to the modulus 6. So we have to find all  $x$  such

$$x \bmod 6 = -20 \bmod 6$$

Since  $-4 \cdot 6 + 4 = -20$  we know  $-20 \bmod 6 = 4$  and hence we know that  $x = 4$  is a solution to this congruence. However, 22 is another solution since  $22 \bmod 6 = 4$  as well, and so is  $-20$ . In fact, there are infinitely many solutions given by the set

$$\{\dots, -8, -2, 4, 10, 16, \dots\} = \{4 + k \cdot 6 \mid k \in \mathbb{Z}\}$$

Putting all this together, we have shown that the every  $x$  from the set  $\{x = 4 + k \cdot 6 \mid k \in \mathbb{Z}\}$  is a solution to the congruence  $7 \cdot (2x + 21) + 11 \equiv x - 102 \pmod{6}$ . We double ckeck for, say,  $x = 4$  as well as  $x = 4 + 12 \cdot 6 = 76$  using sage:

```

1169 sage: (ZZ(7) * (ZZ(2) * ZZ(4) + ZZ(21)) + ZZ(11)) % ZZ(6) == (ZZ 56
1170         (4) - ZZ(102)) % ZZ(6)
1171 True 57
1172 sage: (ZZ(7) * (ZZ(2) * ZZ(76) + ZZ(21)) + ZZ(11)) % ZZ(6) == ( 58
1173         ZZ(76) - ZZ(102)) % ZZ(6)
1174 True 59

```

Readers who had not been familiar with modular arithmetic until now and who might be discouraged by how complicated modular arithmetic seems at this point, should keep two things in mind. First, computing congruencies in modular arithmetic is not really more complicated than computations in more familiar number systems (e.g. rational numbers), it is just a matter of getting used to it. Second, once we introduce the idea of remainder class representations 3.3, computations become conceptually cleaner and more easy to handle.

*Exercise 15.* Consider the modulus 13 and find all solutions  $x \in \mathbb{Z}$  to the following congruence  $5x + 4 \equiv 28 + 2x \pmod{13}$

*Exercise 16.* Consider the modulus 23 and find all solutions  $x \in \mathbb{Z}$  to the following congruence  $69x \equiv 5 \pmod{23}$

*Exercise 17.* Consider the modulus 23 and find all solutions  $x \in \mathbb{Z}$  to the following congruence  $69x \equiv 46 \pmod{23}$

- 1187 *Exercise 18.* Let  $a, b, k$  be integers, such that  $a \equiv b \pmod{n}$  holds. Show  $a^k \equiv b^k \pmod{n}$ .  
 1188 *Exercise 19.* Let  $a, n$  be integers, such that  $a$  and  $n$  are not coprime. For which  $b \in \mathbb{Z}$  does the  
 1189 congruence  $a \cdot x \equiv b \pmod{n}$  have a solution  $x$  and how does the solution set look in that  
 1190 case?

1191 **The Chinese Remainder Theorem** We have seen how to solve congruencies in modular  
 1192 arithmetic. However, one question that remains is how to solve systems of congruencies with  
 1193 different moduli? The answer is given by the **Chinese remainder theorem**, which states that  
 1194 for any  $k \in \mathbb{N}$  and coprime natural numbers  $n_1, \dots, n_k \in \mathbb{N}$  as well as integers  $a_1, \dots, a_k \in \mathbb{Z}$ , the  
 1195 so-called **simultaneous congruences**

$$\begin{aligned} x &\equiv a_1 \pmod{n_1} \\ x &\equiv a_2 \pmod{n_2} \\ &\dots \\ x &\equiv a_k \pmod{n_k} \end{aligned} \tag{3.16}$$

1196 has a solution, and all possible solutions of this congruence system are congruent modulo the  
 product  $N = n_1 \cdot \dots \cdot n_k$ .<sup>1</sup> In fact, the following algorithm computes the solution set:

---

**Algorithm 2** Chinese Remainder Theorem

---

**Require:**  $k \in \mathbb{Z}$ ,  $j \in \mathbb{N}_0$  and  $n_0, \dots, n_{k-1} \in \mathbb{N}$  coprime

**procedure** CONGRUENCE-SYSTEMS-SOLVER( $a_0, \dots, a_{k-1}$ )

$N \leftarrow n_0 \cdot \dots \cdot n_{k-1}$

**while**  $j < k$  **do**

$N_j \leftarrow N / n_j$

$(-, s_j, t_j) \leftarrow EXT - EUCLID(N_j, n_j)$   $\triangleright 1 = s_j \cdot N_j + t_j \cdot n_j$

**end while**

$x' \leftarrow \sum_{j=0}^{k-1} a_j \cdot s_j \cdot N_j$

$x \leftarrow x' \bmod N$

**return**  $\{x + m \cdot N \mid m \in \mathbb{Z}\}$

**end procedure**

**Ensure:**  $\{x + m \cdot N \mid m \in \mathbb{Z}\}$  is the complete solution set to 3.16.

---

check  
algorithm  
floating

1197

*Example 8.* To illustrate how to solve simultaneous congruences using the Chinese remainder theorem, let's look at the following system of congruencies:

$$\begin{aligned} x &\equiv 4 \pmod{7} \\ x &\equiv 1 \pmod{3} \\ x &\equiv 3 \pmod{5} \\ x &\equiv 0 \pmod{11} \end{aligned}$$

Clearly all moduli are coprime and we have  $N = 7 \cdot 3 \cdot 5 \cdot 11 = 1155$ , as well as  $N_1 = 165$ ,  $N_2 = 385$ ,  $N_3 = 231$  and  $N_4 = 105$ . From this we calculate with the extended Euclidean algorithm

$$\begin{aligned} 1 &= 2 \cdot 165 + (-47) \cdot 7 \\ 1 &= 1 \cdot 385 + (-128) \cdot 3 \\ 1 &= 1 \cdot 231 + (-46) \cdot 5 \\ 1 &= 2 \cdot 105 + (-19) \cdot 11 \end{aligned}$$

---

<sup>1</sup>This is the classical Chinese remainder theorem as it was already known in ancient China. Under certain circumstances, the theorem can be extended to non-coprime moduli  $n_1, \dots, n_k$  but this is beyond the scope of this book. Interested readers should consult XXX [add references](#)

1198 so we have  $x = 4 \cdot 2 \cdot 165 + 1 \cdot 1 \cdot 385 + 3 \cdot 1 \cdot 231 + 0 \cdot 2 \cdot 105 = 2398$  as one solution. Because  
 1199  $2398 \bmod 1155 = 88$  the set of all solutions is  $\{\dots, -2222, -1067, 88, 1243, 2398, \dots\}$ . We  
 1200 can invoke Sage's computation of the Chinese Remainder Theorem (CRT) to double check our  
 1201 findings:

```
1202 sage: CRT_list([4,1,3,0], [7,3,5,11]) 60
1203 88 61
```

1204 **Remainder Class Representation** As we have seen in various examples before, computing  
 1205 congruencies can be cumbersome and solution sets are large in general. It is therefore advan-  
 1206 taegous to find some kind of simplification for modular arithmetic.

1207 Fortunately, this is possible and relatively straightforward once we identify each set of num-  
 1208 bers with equal remainder with that remainder itself and call it the **remainder class** or **residue**  
 1209 **class** representation in modulo  $n$  arithmetic.

1210 It then follows from the properties of Euclidean division that there are exactly  $n$  different  
 1211 remainder classes for every modulus  $n$  and that integer addition and multiplication can be pro-  
 1212 jected to a new kind of addition and multiplication on those classes.

1213 Roughly speaking, the new rules for addition and multiplication are then computed by taking  
 1214 any element of the first remainder class and some element of the second, then add or multiply  
 1215 them in the usual way and see which remainder class the result is contained in. The following  
 1216 example makes this abstract description more concrete:

*Example 9* (Arithmetic modulo 6). Choosing the modulus  $n = 6$ , we have six remainder classes of integers which are congruent modulo 6 (they have the same remainder when divided by 6) and when we identify each of those remainder classes with the remainder, we get the following identification:

$$\begin{aligned} 0 &:= \{\dots, -6, 0, 6, 12, \dots\} \\ 1 &:= \{\dots, -5, 1, 7, 13, \dots\} \\ 2 &:= \{\dots, -4, 2, 8, 14, \dots\} \\ 3 &:= \{\dots, -3, 3, 9, 15, \dots\} \\ 4 &:= \{\dots, -2, 4, 10, 16, \dots\} \\ 5 &:= \{\dots, -1, 5, 11, 17, \dots\} \end{aligned}$$

1217 Now to compute the new addition law of those remainder class representatives, say  $2 + 5$ , one  
 1218 chooses arbitrary elements from both classes, say 14 and  $-1$ , adds those numbers in the usual  
 1219 way and then looks at the remainder class of the result.

1220 So we get  $14 + (-1) = 13$ , and 13 is in the remainder class (of) 1. Hence we find that  
 1221  $2 + 5 = 1$  in modular 6 arithmetic, which is a more readable way to write the congruence  $2 + 5 \equiv$   
 1222  $1 \pmod{6}$ .

1223 Applying the same reasoning to all remainder classes, addition and multiplication can be  
 1224 transferred to the representatives of the remainder classes. The results for modulus 6 arithmetic  
 1225 are summarized in the following addition and multiplication tables:

	+	0	1	2	3	4	5		·	0	1	2	3	4	5
	0	0	1	2	3	4	5		0	0	0	0	0	0	0
	1	1	2	3	4	5	0		1	0	1	2	3	4	5
1226	2	2	3	4	5	0	1		2	0	2	4	0	2	4
	3	3	4	5	0	1	2		3	0	3	0	3	0	3
	4	4	5	0	1	2	3		4	0	4	2	0	4	2
	5	5	0	1	2	3	4		5	0	5	4	3	2	1

1227 This way, we have defined a new arithmetic system that contains just 6 numbers and comes with  
 1228 its own definition of addition and multiplication. We call it **modular 6 arithmetic** and write  
 1229 the associated type as  $\mathbb{Z}_6$ .

1230 To see why such an identification of a remainder class with its remainder is useful and  
 1231 actually simplifies congruence computations a lot, lets go back to the congruence from example  
 1232 7 again:

$$7 \cdot (2x + 21) + 11 \equiv x - 102 \pmod{6} \quad (3.17)$$

1233 As shown in example 7, the arithmetic of congruencies can deviate from ordinary arithmetic:  
 1234 For example, division needs to check whether the modulus and the dividend are coprimes, and  
 1235 solutions are not unique in general.

We can rewrite this congruence as an **equation** over our new arithmetic type  $\mathbb{Z}_6$  by **projecting onto the remainder classes**. In particular, since  $7 \bmod 6 = 1$ ,  $21 \bmod 6 = 3$ ,  $11 \bmod 6 = 5$  and  $102 \bmod 6 = 0$  we have

$$\begin{aligned} 7 \cdot (2x + 21) + 11 \equiv x - 102 \pmod{6} \text{ over } \mathbb{Z} \\ \Leftrightarrow 1 \cdot (2x + 3) + 5 = x \text{ over } \mathbb{Z}_6 \end{aligned}$$

1236 We can use the multiplication and addition table above to solves the equation on the right like  
 1237 we would solve normal integer equations:

$$\begin{aligned} 1 \cdot (2x + 3) + 5 &= x \\ 2x + 3 + 5 &= x && \# \text{ addition-table: } 3 + 5 = 2 \\ 2x + 2 &= x && \# \text{ add 4 and } -x \text{ on both sides} \\ 2x + 2 + 4 - x &= x + 4 - x && \# \text{ addition-table: } 2 + 4 = 0 \\ x &= 4 \end{aligned}$$

1238 As we can see, despite the somewhat unfamiliar rules of addition and multiplication, solving  
 1239 congruencies this way is very similar to solving normal equations. And, indeed, the solution  
 1240 set is identical to the solution set of the original congruence, since 4 is identified with the set  
 1241  $\{4 + 6 \cdot k \mid k \in \mathbb{Z}\}$ .

1242 We can invoke Sage to do computations in our modular 6 arithmetic type. This is particularly  
 1243 useful to double-check our computations:

```
1244 sage: Z6 = Integers(6)                                     62
1245 sage: Z6(2) + Z6(5)                                         63
1246 1                                                            64
1247 sage: Z6(7) * (Z6(2) * Z6(4) + Z6(21)) + Z6(11) == Z6(4) - Z6(102) 65
1248 True                                                         66
```

1249 *Remark 2* ( $k$ -bit modulus). In cryptographic papers, we sometimes read phrases like “[...] using  
 1250 a 4096-bit modulus”. This means that the underlying modulus  $n$  of the modular arithmetic used  
 1251 in the system has a binary representation with a length of 4096 bits. In contrast, the number 6  
 1252 has the binary representation 110 and hence our example 9 describes a 3-bit modulus arithmetic  
 1253 system.

1254 *Exercise 20.* Define  $\mathbb{Z}_{13}$  as the the arithmetic modulo 13 analog to example 9. Then consider  
 1255 the congruence from exercise 15 and rewrite it into an equation in  $\mathbb{Z}_{13}$

**Modular Inverses** As we know, integers can be added, subtracted and multiplied so that the result is also an integer, but this is not true for the division of integers in general: for example,  $3/2$  is not an integer anymore. To see why this is, from a more theoretical perspective, let us consider the definition of a multiplicative inverse first. When we have a set that has some kind of multiplication defined on it and we have a distinguished element of that set that behaves neutrally with respect to that multiplication (doesn't change anything when multiplied with any other element), then we can define **multiplicative inverses** in the following way:

Let  $S$  be our set that has some notion  $a \cdot b$  of multiplication and a **neutral element**  $1 \in S$ , such that  $1 \cdot a = a$  for all elements  $a \in S$ . Then a **multiplicative inverse**  $a^{-1}$  of an element  $a \in S$  is defined as follows:

$$a \cdot a^{-1} = 1 \quad (3.18)$$

Informally speaking, the definition of a multiplicative inverse means that it “cancels” the original element to give 1 when they are multiplied.

Numbers that have multiplicative inverses are of particular interest, because they immediately lead to the definition of division by those numbers. In fact, if  $a$  is number such that the multiplicative inverse  $a^{-1}$  exists, then we define **division** by  $a$  simply as multiplication by the inverse:

$$\frac{b}{a} := b \cdot a^{-1} \quad (3.19)$$

*Example 10.* Consider the set of rational numbers, also known as fractions,  $\mathbb{Q}$ . For this set, the neutral element of multiplication is 1, since  $1 \cdot a = a$  for all rational numbers. For example,  $1 \cdot 4 = 4$ ,  $1 \cdot \frac{1}{4} = \frac{1}{4}$ , or  $1 \cdot 0 = 0$  and so on.

Every rational number  $a \neq 0$  has a multiplicative inverse, given by  $\frac{1}{a}$ . For example, the multiplicative inverse of 3 is  $\frac{1}{3}$ , since  $3 \cdot \frac{1}{3} = 1$ , the multiplicative inverse of  $\frac{5}{7}$  is  $\frac{7}{5}$ , since  $\frac{5}{7} \cdot \frac{7}{5} = 1$ , and so on.

*Example 11.* Looking at the set  $\mathbb{Z}$  of integers, we see that with respect to multiplication the neutral element is the number 1 and we notice that no integer other than 1 or  $-1$  has a multiplicative inverse, since the equation  $a \cdot x = 1$  has no integer solutions for  $a \neq 1$  or  $a \neq -1$ .

The definition of multiplicative inverse works verbatim for addition as well where it is called the additive inverse. In the case of integers, the neutral element with respect to addition is 0, since  $a + 0 = a$  for all integers  $a \in \mathbb{Z}$ . The additive inverse always exist and is given by the negative number  $-a$ , since  $a + (-a) = 0$ .

*Example 12.* Looking at the set  $\mathbb{Z}_6$  of residual classes modulo 6 from example 9, we can use the multiplication table to find multiplicative inverses. To do so, we look at the row of the element and then find the entry equal to 1. If such an entry exists, the element of that column is the multiplicative inverse. If, on the other hand, the row has no entry equal to 1, we know that the element has no multiplicative inverse.

For example in  $\mathbb{Z}_6$  the multiplicative inverse of 5 is 5 itself, since  $5 \cdot 5 = 1$ . We can also see that 5 and 1 are the only elements that have multiplicative inverses in  $\mathbb{Z}_6$ .

Now, since 5 has a multiplicative inverse in modulo 6 arithmetic, we can divide by 5 in  $\mathbb{Z}_6$ , since we have a notation of multiplicative inverse and division is nothing but multiplication by the multiplicative inverse. For example

$$\frac{4}{5} = 4 \cdot 5^{-1} = 4 \cdot 5 = 2$$

From the last example, we can make the interesting observation that while 5 has no multiplicative inverse as an integer, it has a multiplicative inverse in modular 6 arithmetic.

1294 This raises the question which numbers have multiplicative inverses in modular arithmetic.  
 1295 The answer is that, in modular  $n$  arithmetic, a number  $r$  has a multiplicative inverse, if and only  
 1296 if  $n$  and  $r$  are coprime. Since  $\gcd(n, r) = 1$  in that case, we know from the extended Euclidean  
 1297 algorithm that there are numbers  $s$  and  $t$ , such that

$$1 = s \cdot n + t \cdot r \quad (3.20)$$

1298 If we take the modulus  $n$  on both sides, the term  $s \cdot n$  vanishes, which tells us that  $t \bmod n$  is the  
 1299 multiplicative inverse of  $r$  in modular  $n$  arithmetic.

1300 *Example 13* (Multiplicative inverses in  $\mathbb{Z}_6$ ). In the previous example, we looked up multiplica-  
 1301 tive inverses in  $\mathbb{Z}_6$  from the lookup-table in Example 9. In real world examples, it is usually  
 1302 impossible to write down those lookup tables, as the modulus is way too large, and the sets  
 1303 occasionally contain more elements than there are atoms in the observable universe.

1304 Now, trying to determine that  $2 \in \mathbb{Z}_6$  has no multiplicative inverse in  $\mathbb{Z}_6$  without using the  
 1305 lookup table, we immediately observe that 2 and 6 are not coprime, since their greatest common  
 1306 divisor is 2. It follows that equation 3.20 has no solutions  $s$  and  $t$ , which means that 2 has no  
 1307 multiplicative inverse in  $\mathbb{Z}_6$ .

1308 The same reasoning works for 3 and 4, as neither of these are coprime with 6. The case  
 1309 of 5 is different, since  $\gcd(6, 5) = 1$ . To compute the multiplicative inverse of 5, we use the  
 1310 extended Euclidean algorithm and compute the following:

k	$r_k$	$s_k$	$t_k = (r_k - s_k \cdot a) \div b$
0	6	1	0
1	5	0	1
2	1	1	-1
3	0	.	.

1312 We get  $s = 1$  as well as  $t = -1$  and have  $1 = 1 \cdot 6 - 1 \cdot 5$ . From this, it follows that  $-1 \bmod 6 =$   
 1313 5 is the multiplicative inverse of 5 in modular 6 arithmetic. We can double check using Sage:

1314 **sage:** `ZZ(6).xgcd(ZZ(5))` 67  
 1315 `(1, 1, -1)` 68

At this point, the attentive reader might notice that the situation where the modulus is a prime number is of particular interest, because we know from exercise 9 that in these cases all remainder classes must have modular inverses, since  $\gcd(r, n) = 1$  for prime  $n$  and any  $r < n$ . In fact, Fermat's little theorem provides a way to compute multiplicative inverses in this situation, since in case of a prime modulus  $p$  and  $r < p$ , we get the following:

$$\begin{aligned} r^p &\equiv r \pmod{p} \Leftrightarrow \\ r^{p-1} &\equiv 1 \pmod{p} \Leftrightarrow \\ r \cdot r^{p-2} &\equiv 1 \pmod{p} \end{aligned}$$

1316 This tells us that the multiplicative inverse of a residue class  $r$  in modular  $p$  arithmetic is pre-  
 1317 cisely  $r^{p-2}$ .

*Example 14* (Modular 5 arithmetic). To see the unique properties of modular arithmetic when the modulus is a prime number, we will replicate our findings from example 9, but this time for the prime modulus 5. For  $n = 5$  we have five equivalence classes of integers which are



congruent modulo 5. We write this as follows:

$$\begin{aligned} 0 &:= \{\dots, -5, 0, 5, 10, \dots\} \\ 1 &:= \{\dots, -4, 1, 6, 11, \dots\} \\ 2 &:= \{\dots, -3, 2, 7, 12, \dots\} \\ 3 &:= \{\dots, -2, 3, 8, 13, \dots\} \\ 4 &:= \{\dots, -1, 4, 9, 14, \dots\} \end{aligned}$$

1318 Addition and multiplication can be transferred to the equivalence classes, in a way exactly  
1319 parallel to Example 9. This results in the following addition and multiplication tables:

	+	0	1	2	3	4		·	0	1	2	3	4
	0	0	1	2	3	4		0	0	0	0	0	0
	1	1	2	3	4	0		1	0	1	2	3	4
1320	2	2	3	4	0	1		2	0	2	4	1	3
	3	3	4	0	1	2		3	0	3	1	4	2
	4	4	0	1	2	3		4	0	4	3	2	1

1321 Calling the set of remainder classes in modular 5 arithmetic with this addition and multiplication  
1322  $\mathbb{Z}_5$ , we see some subtle but important differences to the situation in  $\mathbb{Z}_6$ . In particular, we see  
1323 that in the multiplication table, every remainder  $r \neq 0$  has the entry 1 in its row and therefore  
1324 has a multiplicative inverse. In addition, there are no non-zero elements such that their product  
1325 is zero.

1326 To use Fermat's little theorem in  $\mathbb{Z}_5$  for computing multiplicative inverses (instead of using  
1327 the multiplication table), let's consider  $3 \in \mathbb{Z}_5$ . We know that the multiplicative inverse is given  
1328 by the remainder class that contains  $3^{5-2} = 3^3 = 3 \cdot 3 \cdot 3 = 4 \cdot 3 = 2$ . And indeed  $3^{-1} = 2$ , since  
1329  $3 \cdot 2 = 1$  in  $\mathbb{Z}_5$ .

1330 We can invoke Sage to do computations in our modular 5 arithmetic type to double-check  
1331 our computations:

```

1332 sage: Z5 = Integers(5)                                     69
1333 sage: Z5(3) ** (5-2)                                       70
1334 2                                                         71
1335 sage: Z5(3) ** (-1)                                       72
1336 2                                                         73
1337 sage: Z5(3) ** (5-2) == Z5(3) ** (-1)                   74
1338 True                                                       75

```

*Example 15.* To understand one of the principal differences between prime number modular arithmetic and non-prime number modular arithmetic, consider the linear equation  $a \cdot x + b = 0$  defined over both types  $\mathbb{Z}_5$  and  $\mathbb{Z}_6$ . Since in  $\mathbb{Z}_5$  every non-zero element has a multiplicative inverse, we can always solve these equations in  $\mathbb{Z}_5$ , which is not true in  $\mathbb{Z}_6$ . To see that, consider the equation  $3x + 3 = 0$ . In  $\mathbb{Z}_5$  we have the following:

$$\begin{aligned} 3x + 3 &= 0 && \# \text{ add 2 and on both sides} \\ 3x + 3 + 2 &= 2 && \# \text{ addition-table: } 2 + 3 = 0 \\ 3x &= 2 && \# \text{ divide by 3 (which equals multiplication by 2)} \\ 2 \cdot (3x) &= 2 \cdot 2 && \# \text{ multiplication-table: } 2 \cdot 2 = 4 \\ x &= 4 \end{aligned}$$

So in the case of our prime number modular arithmetic, we get the unique solution  $x = 4$ . Now consider  $\mathbb{Z}_6$ :

$$\begin{array}{ll} 3x + 3 = 0 & \# \text{ add 3 and on both sides} \\ 3x + 3 + 3 = 3 & \# \text{ addition-table: } 3 + 3 = 0 \\ 3x = 3 & \# \text{ division not possible (no multiplicative inverse of 3 exists)} \end{array}$$

So, in this case, we cannot solve the equation for  $x$  by dividing by 3. And, indeed, when we look at the multiplication table of  $\mathbb{Z}_6$  (Example 9), we find that there are three solutions  $x \in \{1, 3, 5\}$ , such that  $3x + 3 = 0$  holds true for all of them.

*Exercise 21.* Consider the modulus  $n = 24$ . Which of the integers 7, 1, 0, 805,  $-4255$  have multiplicative inverses in modular 24 arithmetic? Compute the inverses, in case they exist.

*Exercise 22.* Find the set of all solutions to the congruence  $17(2x + 5) - 4 \equiv 2x + 4 \pmod{5}$ . Then project the congruence into  $\mathbb{Z}_5$  and solve the resulting equation in  $\mathbb{Z}_5$ . Compare the results.

*Exercise 23.* Find the set of all solutions to the congruence  $17(2x + 5) - 4 \equiv 2x + 4 \pmod{6}$ . Then project the congruence into  $\mathbb{Z}_6$  and try to solve the resulting equation in  $\mathbb{Z}_6$ .

## 3.4 Polynomial arithmetic

A polynomial is an expression consisting of variables (also called indeterminates) and coefficients that involves only the operations of addition, subtraction and multiplication. All coefficients of a polynomial must have the same type, e.g. being integers or rational numbers etc. To be more precise an *univariate polynomial* is an expression

$$P(x) := \sum_{j=0}^m a_j x^j = a_m x^m + a_{m-1} x^{m-1} + \cdots + a_1 x + a_0, \quad (3.21)$$

where  $x$  is called the **indeterminate**, each  $a_j$  is called a **coefficient**. If  $R$  is the type of the coefficients, then the set of all **univariate<sup>2</sup> polynomials with coefficients in  $R$**  is written as  $R[x]$ . We often simply use **polynomial** instead of univariate polynomial, write  $P(x) \in R[x]$  for a polynomial and denote the constant term  $a_0$  as  $P(0)$ .

A polynomial is called the **zero polynomial** if all coefficients are zero and a polynomial is called the **one polynomial** if the constant term is 1 and all other coefficients are zero.

Given an univariate polynomial  $P(x) = \sum_{j=0}^m a_j x^j$  that is not the zero polynomial, we call the non-negative integer  $\deg(P) := m$  the *degree* of  $P$  and define the degree of the zero polynomial to be  $-\infty$ , where  $-\infty$  (negative infinity) is a symbol with the properties that  $-\infty + m = -\infty$  and  $-\infty < m$  for all non-negative integers  $m \in \mathbb{N}_0$ . In addition, we write

$$Lc(P) := a_m \quad (3.22)$$

and call it the **leading coefficient** of the polynomial  $P$ . We can restrict the set  $R[x]$  of all polynomials with coefficients in  $R$ , to the set of all such polynomials that have a degree that does not exceed a certain value. If  $m$  is the maximum degree allowed, we write  $R_{\leq m}[x]$  for the set of all polynomials with a degree less than or equal to  $m$ .

<sup>2</sup>in our context the term univariate means that the polynomial contains a single variable only

*Example 16* (Integer Polynomials). The coefficients of a polynomial must all have the same type. The set of polynomials with integer coefficients is written as  $\mathbb{Z}[x]$ . Examples of such polynomials are:

$$\begin{array}{ll}
 P_1(x) = 2x^2 - 4x + 17 & \# \text{ with } \deg(P_1) = 2 \text{ and } Lc(P_1) = 2 \\
 P_2(x) = x^{23} & \# \text{ with } \deg(P_2) = 23 \text{ and } Lc(P_2) = 1 \\
 P_3(x) = x & \# \text{ with } \deg(P_3) = 1 \text{ and } Lc(P_3) = 1 \\
 P_4(x) = 174 & \# \text{ with } \deg(P_4) = 0 \text{ and } Lc(P_4) = 174 \\
 P_5(x) = 1 & \# \text{ with } \deg(P_5) = 0 \text{ and } Lc(P_5) = 1 \\
 P_6(x) = 0 & \# \text{ with } \deg(P_6) = -\infty \text{ and } Lc(P_6) = 0 \\
 P_7(x) = (x-2)(x+3)(x-5)
 \end{array}$$

In particular, every integer can be seen as an integer polynomial of degree zero.  $P_7$  is a polynomial, because we can expand its definition into  $P_7(x) = x^3 - 4x^2 - 11x + 30$ , which is a polynomial of degree 3 and leading coefficient 1. The following expressions are not integer polynomials:

$$\begin{aligned}
 Q_1(x) &= 2x^2 + 4 + 3x^{-2} \\
 Q_2(x) &= 0.5x^4 - 2x \\
 Q_3(x) &= 2^x
 \end{aligned}$$

1367 In particular  $Q_1$  is not an integer polynomial, because the expression  $x^{-2}$  has a negative expo-  
 1368 nent,  $Q_2$  is not an integer polynomial because the coefficient 0.5 is not an integer and  $Q_3$  is not  
 1369 an integer polynomial because the indeterminate appears in the exponent of of a coefficient.

1370 We can invoke Sage to do computations with polynomials. To do so, we have to specify the  
 1371 symbol for the indeterminate and the type for the coefficients (For the definition of rings see  
 1372 4.2). Note, however that Sage defines the degree of the zero polynomial to be  $-1$ .

```

1373 sage: Zx = ZZ['x'] # integer polynomials with indeterminate x 76
1374 sage: Zt.<t> = ZZ[] # integer polynomials with indeterminate t 77
1375 sage: Zx 78
1376 Univariate Polynomial Ring in x over Integer Ring 79
1377 sage: Zt 80
1378 Univariate Polynomial Ring in t over Integer Ring 81
1379 sage: p1 = Zx([17,-4,2]) 82
1380 sage: p1 83
1381 2*x^2 - 4*x + 17 84
1382 sage: p1.degree() 85
1383 2 86
1384 sage: p1.leading_coefficient() 87
1385 2 88
1386 sage: p2 = Zt(t^23) 89
1387 sage: p2 90
1388 t^23 91
1389 sage: p6 = Zx([0]) 92
1390 sage: p6.degree() 93
1391 -1 94

```

*Example 17* (Polynomials over  $\mathbb{Z}_6$ ). Recall the definition of modular 6 arithmetics  $\mathbb{Z}_6$  as defined in example 9. The set of all polynomials with indeterminate  $x$  and coefficients in  $\mathbb{Z}_6$  is symbolized as  $\mathbb{Z}_6[x]$ . Example of polynomials from  $\mathbb{Z}_6[x]$  are:

$$\begin{array}{ll}
 P_1(x) = 2x^2 - 4x + 5 & \# \text{ with } \deg(P_1) = 2 \text{ and } Lc(P_1) = 2 \\
 P_2(x) = x^{23} & \# \text{ with } \deg(P_2) = 23 \text{ and } Lc(P_2) = 1 \\
 P_3(x) = x & \# \text{ with } \deg(P_3) = 1 \text{ and } Lc(P_3) = 1 \\
 P_4(x) = 3 & \# \text{ with } \deg(P_4) = 0 \text{ and } Lc(P_4) = 3 \\
 P_5(x) = 1 & \# \text{ with } \deg(P_5) = 0 \text{ and } Lc(P_5) = 1 \\
 P_6(x) = 0 & \# \text{ with } \deg(P_6) = -\infty \text{ and } Lc(P_6) = 0 \\
 P_7(x) = (x-2)(x+3)(x-5) & 
 \end{array}$$

Just like in the previous example,  $P_7$  is a polynomial. However, since we are working with coefficients from  $\mathbb{Z}_6$  now the expansion of  $P_7$  is computed differently, as we have to invoke addition and multiplication in  $\mathbb{Z}_6$  as defined in XXX. We get the following:

$$\begin{aligned}
 (x-2)(x+3)(x-5) &= (x+4)(x+3)(x+1) && \# \text{ additive inverses in } \mathbb{Z}_6 \\
 &= (x^2 + 4x + 3x + 3 \cdot 4)(x+1) && \# \text{ bracket expansion} \\
 &= (x^2 + 1x + 0)(x+1) && \# \text{ computation in } \mathbb{Z}_6 \\
 &= x^3 + x^2 + x^2 + x && \# \text{ bracket expansion} \\
 &= x^3 + 2x^2 + x
 \end{aligned}$$

1392 Again, we can use Sage to do computations with polynomials that have their coefficients in  $\mathbb{Z}_6$   
 1393 (For the definition of rings see 4.2). To do so, we have to specify the symbol for the indertemi-  
 1394 nate and the type for the coefficients:

```

1395 sage: Z6 = Integers(6)                                     95
1396 sage: Z6x = Z6['x']                                       96
1397 sage: Z6x                                                 97
1398 Univariate Polynomial Ring in x over Ring of integers modulo 6 98
1399 sage: p1 = Z6x([5,-4,2])                                  99
1400 sage: p1                                                  100
1401 2*x^2 + 2*x + 5                                           101
1402 sage: p1 = Z6x([17,-4,2])                                 102
1403 sage: p1                                                  103
1404 2*x^2 + 2*x + 5                                           104
1405 sage: Z6x(x-2)*Z6x(x+3)*Z6x(x-5) == Z6x(x^3 + 2*x^2 + x) 105
1406 True                                                    106

```

1407 Given some element from the same type as the coefficients of a polynomial, the poly-  
 1408 nomial can be evaluated at that element, which means that we insert the given element for every  
 1409 occurrence of the indeterminate  $x$  in the polynomial expression.

1410 To be more precise, let  $P \in R[x]$ , with  $P(x) = \sum_{j=0}^m a_j x^j$  be a polynomial with a coefficient  
 1411 of type  $R$  and let  $b \in R$  be an element of that type. Then the **evaluation** of  $P$  at  $b$  is given as  
 1412 follows:

$$P(b) = \sum_{j=0}^m a_j b^j \quad (3.23)$$

*Example 18.* Consider the integer polynomials from example 16 again. To evaluate them at given points, we have to insert the point for all occurrences of  $x$  in the polynomial expression. Inserting arbitrary values from  $\mathbb{Z}$ , we get:

$$\begin{aligned} P_1(2) &= 2 \cdot 2^2 - 4 \cdot 2 + 17 = 17 \\ P_2(3) &= 3^{23} = 94143178827 \\ P_3(-4) &= -4 = -4 \\ P_4(15) &= 174 \\ P_5(0) &= 1 \\ P_6(1274) &= 0 \\ P_7(-6) &= (-6-2)(-6+3)(-6-5) = -264 \end{aligned}$$

1413 Note, however, that it is not possible to evaluate any of those polynomial on values of different  
1414 type. For example, it is not strictly correct to write  $P_1(0.5)$ , since 0.5 is not an integer. We can  
1415 verify our computations using Sage:

```
1416 sage: Zx = ZZ['x'] 107
1417 sage: p1 = Zx([17, -4, 2]) 108
1418 sage: p7 = Zx(x-2)*Zx(x+3)*Zx(x-5) 109
1419 sage: p1(ZZ(2)) 110
1420 17 111
1421 sage: p7(ZZ(-6)) == ZZ(-264) 112
1422 True 113
```

*Example 19.* Consider the polynomials with coefficients in  $\mathbb{Z}_6$  from example again. To evaluate them at given values from  $\mathbb{Z}_6$ , we have to insert the point for all occurrences of  $x$  in the polynomial expression. We get the following:

$$\begin{aligned} P_1(2) &= 2 \cdot 2^2 - 4 \cdot 2 + 5 = 2 - 2 + 5 = 5 \\ P_2(3) &= 3^{23} = 3 \\ P_3(-4) &= P_3(2) = 2 \\ P_5(0) &= 1 \\ P_6(4) &= 0 \end{aligned}$$

```
1423
1424 sage: Z6 = Integers(6) 114
1425 sage: Z6x = Z6['x'] 115
1426 sage: p1 = Z6x([5, -4, 2]) 116
1427 sage: p1(Z6(2)) == Z6(5) 117
1428 True 118
```

1429 *Exercise 24.* Compare both expansions of  $P_7$  from  $\mathbb{Z}[x]$  and from  $\mathbb{Z}_6[x]$  in example 16 and  
1430 example 19 ,and consider the definition of  $\mathbb{Z}_6$  as given in example 9. Can you see how the  
1431 definition of  $P_7$  over  $\mathbb{Z}$  projects to the definition over  $\mathbb{Z}_6$  if you consider the residue classes of  
1432  $\mathbb{Z}_6$ ?

**Polynomial arithmetic** Polynomials behave like integers in many ways. In particular, they can be added, subtracted and multiplied. In addition, they have their own notion of Euclidean division. Informally speaking, we can add two polynomials by simply adding the coefficients of the same index, and we can multiply them by applying the distributive property, that is, by multiplying every term of the left factor with every term of the right factor and adding the results together.

To be more precise let  $\sum_{n=0}^{m_1} a_n x^n$  and  $\sum_{n=0}^{m_2} b_n x^n$  be two polynomials from  $R[x]$ . Then the **sum** and the **product** of these polynomials is defined as follows:

$$\sum_{n=0}^{m_1} a_n x^n + \sum_{n=0}^{m_2} b_n x^n = \sum_{n=0}^{\max(\{m_1, m_2\})} (a_n + b_n) x^n \quad (3.24)$$

$$\left( \sum_{n=0}^{m_1} a_n x^n \right) \cdot \left( \sum_{n=0}^{m_2} b_n x^n \right) = \sum_{n=0}^{m_1+m_2} \sum_{i=0}^n a_i b_{n-i} x^n \quad (3.25)$$

A rule for polynomial subtraction can be deduced from these two rules by first multiplying the **subtrahend** with (the polynomial)  $-1$  and then add the result to the **minuend**.

Regarding the definition of the degree of a polynomial, we see that the degree of the sum is always the maximum of the degrees of both summands, and the degree of the product is always the degree of the sum of the factors, since we defined  $-\infty + m = -\infty$  for every integer  $m \in \mathbb{Z}$ .

*Example 20.* To give an example of how polynomial arithmetic works, consider the following two integer polynomials  $P, Q \in \mathbb{Z}[x]$  with  $P(x) = 5x^2 - 4x + 2$  and  $Q(x) = x^3 - 2x^2 + 5$ . The sum of these two polynomials is computed by adding the coefficients of each term with equal exponent in  $x$ . This gives the following:

$$\begin{aligned} (P + Q)(x) &= (0 + 1)x^3 + (5 - 2)x^2 + (-4 + 0)x + (2 + 5) \\ &= x^3 + 3x^2 - 4x + 7 \end{aligned}$$

The product of these two polynomials is computed by multiplication of each term in the first factor with each term in the second factor. We get the following:

$$\begin{aligned} (P \cdot Q)(x) &= (5x^2 - 4x + 2) \cdot (x^3 - 2x^2 + 5) \\ &= (5x^5 - 10x^4 + 25x^2) + (-4x^4 + 8x^3 - 20x) + (2x^3 - 4x^2 + 10) \\ &= 5x^5 - 14x^4 + 10x^3 + 21x^2 - 20x + 10 \end{aligned}$$

```

1447
1448 sage: Zx = ZZ['x']                               119
1449 sage: P = Zx([2, -4, 5])                           120
1450 sage: Q = Zx([5, 0, -2, 1])                         121
1451 sage: P+Q == Zx(x^3 +3*x^2 -4*x +7)                 122
1452 True                                                123
1453 sage: P*Q == Zx(5*x^5 -14*x^4 +10*x^3+21*x^2-20*x +10) 124
1454 True                                                125

```

*Example 21.* Let us consider the polynomials of the previous example but interpreted in modular 6 arithmetic. So we consider  $P, Q \in \mathbb{Z}_6[x]$  again with  $P(x) = 5x^2 - 4x + 2$  and  $Q(x) = x^3 - 2x^2 +$

5. This time we get the following:

$$\begin{aligned}(P + Q)(x) &= (0 + 1)x^3 + (5 - 2)x^2 + (-4 + 0)x + (2 + 5) \\ &= (0 + 1)x^3 + (5 + 4)x^2 + (2 + 0)x + (2 + 5) \\ &= x^3 + 3x^2 + 2x + 1\end{aligned}$$

$$\begin{aligned}(P \cdot Q)(x) &= (5x^2 - 4x + 2) \cdot (x^3 - 2x^2 + 5) \\ &= (5x^2 + 2x + 2) \cdot (x^3 + 4x^2 + 5) \\ &= (5x^5 + 2x^4 + 1x^2) + (2x^4 + 2x^3 + 4x) + (2x^3 + 2x^2 + 4) \\ &= 5x^5 + 4x^4 + 4x^3 + 3x^2 + 4x + 4\end{aligned}$$

1455

1456	<code>sage: Z6x = Integers(6) ['x']</code>	126
1457	<code>sage: P = Z6x([2, -4, 5])</code>	127
1458	<code>sage: Q = Z6x([5, 0, -2, 1])</code>	128
1459	<code>sage: P+Q == Z6x(x^3 +3*x^2 +2*x +1)</code>	129
1460	<code>True</code>	130
1461	<code>sage: P*Q == Z6x(5*x^5 +4*x^4 +4*x^3+3*x^2+4*x +4)</code>	131
1462	<code>True</code>	132

1463 *Exercise 25.* Compare the sum  $P + Q$  and the product  $P \cdot Q$  from the previous two examples  
 1464 20 and 21 and consider the definition of  $\mathbb{Z}_6$  as given in example 9. How can we derive the  
 1465 computations in  $\mathbb{Z}_6[x]$  from the computations in  $\mathbb{Z}[x]$ ?

1466 **Euklidean Division** The arithmetic of polynomials share a lot of properties with the arith-  
 1467 metic of integers and as a consequence the concept of Euclidean division and the algorithm of  
 1468 long division is also defined for polynomials. Recalling the Euclidean division of integers 3.2,  
 1469 we know that, given two integers  $a$  and  $b \neq 0$ , there is always another integer  $m$  and a natural  
 1470 number  $r$  with  $r < |b|$  such that  $a = m \cdot b + r$  holds.

1471 We can generalize this to polynomials whenever the leading coefficient of the dividend  
 1472 polynomial has a notion of multiplicative inverse. In fact, given two polynomials  $A$  and  $B \neq 0$   
 1473 from  $R[x]$  such that  $Lc(B)^{-1}$  exists in  $R$ , there exist two polynomials  $Q$  (the quotient) and  $P$  (the  
 1474 remainder), such that the following equation holds:

$$A = Q \cdot B + P \tag{3.26}$$

1475 and  $\deg(P) < \deg(B)$ . Similarly to integer Euclidean division, both  $Q$  and  $P$  are uniquely  
 1476 defined by these relations.

1477 *Notation and Symbols 2.* Suppose that the polynomials  $A, B, Q$  and  $P$  satisfy equation 3.26. We  
 1478 often use the following notation to describe the quotient and the remainder polynomials of the  
 1479 Euclidean division:

$$A \operatorname{div} B := Q, \quad A \operatorname{mod} B := P \tag{3.27}$$

1480 We also say that a polynomial  $A$  is divisible by another polynomial  $B$  if  $A \operatorname{mod} B = 0$  holds. In  
 1481 this case, we also write  $B|A$  and call  $B$  a *factor* of  $A$ .

---

**Algorithm 3** Polynomial Euclidean Algorithm

---

**Require:**  $A, B \in R[x]$  with  $B \neq 0$ , such that  $Lc(B)^{-1}$  exists in  $R$

**procedure** POLY-LONG-DIVISION( $A, B$ )

$$Q \leftarrow 0$$
$$P \leftarrow A$$
$$d \leftarrow \deg(B)$$
$$c \leftarrow Lc(B)$$
**while**  $\deg(P) \geq d$  **do**
$$S := Lc(P) \cdot c^{-1} \cdot x^{\deg(P)-d}$$
$$Q \leftarrow Q + S$$
$$P \leftarrow P - S \cdot B$$
**end while****return**  $(Q, P)$ 

**end procedure**

**Ensure:**  $A = Q \cdot B + P$

Analogously to integers, methods to compute Euclidean division for polynomials are called **polynomial division algorithms**. Probably the best known algorithm is the so called **polynomial long division**.

This algorithm works only when there is a notion of division by the leading coefficient of  $B$ . It can be generalized, but we will only need this somewhat simpler method in what follows.

*Example 22* (Polynomial Long Division). To give an example of how the previous algorithm works, let us divide the integer polynomial  $A(x) = x^5 + 2x^3 - 9 \in \mathbb{Z}[x]$  by the integer polynomial  $B(x) = x^2 + 4x - 1 \in \mathbb{Z}[x]$ . Since  $B$  is not the zero polynomial and the leading coefficient of  $B$  is 1, which is invertible as an integer, we can apply algorithm 1. Our goal is to find solutions to equation XXX, that is, we need to find the quotient polynomial  $Q \in \mathbb{Z}[x]$  and the remainder polynomial  $P \in \mathbb{Z}[x]$  such that  $x^5 + 2x^3 - 9 = Q(x) \cdot (x^2 + 4x - 1) + P(x)$ . Using a notation that is mostly used in anglophone countries, we compute as follows:

$$X^2 + 4X - 1) \begin{array}{r} X^3 - 4X^2 + 19X - 80 \\ X^5 + 2X^3 - 9 \\ -X^5 - 4X^4 + X^3 \\ \hline -4X^4 + 3X^3 \\ 4X^4 + 16X^3 - 4X^2 \\ \hline 19X^3 - 4X^2 \\ -19X^3 - 76X^2 + 19X \\ \hline -80X^2 + 19X - 9 \\ 80X^2 + 320X - 80 \\ \hline 339X - 89 \end{array} \quad (3.28)$$

We therefore get  $Q(x) = x^3 - 4x^2 + 19x - 80$  as well as  $P(x) = 339x - 89$  and indeed we have  $x^5 + 2x^3 - 9 = (x^3 - 4x^2 + 19x - 80) \cdot (x^2 + 4x - 1) + (339x - 89)$ , which we can double check invoking Sage:

```
sage: Zx = ZZ['x']
```

```
sage: A = Zx([-9, 0, 0, 2, 0, 1])
```

```
sage: B = Zx([-1, 4, 1])
```

algorithm-floating

133

134

135



```

1500 sage: Q = Zx([-80, 19, -4, 1]) 136
1501 sage: P = Zx([-89, 339]) 137
1502 sage: A == Q*B + P 138
1503 True 139

```

1504 *Example 23.* In the previous example, polynomial division gave a non-trivial (non-vanishing,  
 1505 i.e non-zero) remainder. Of special interest are divisions that don't give a remainder. Such  
 1506 divisors are called factors of the dividend.

1507 For example, consider the integer polynomial  $P_7$  from example 16 again. As we have shown,  
 1508 it can be written both as  $x^3 - 4x^2 - 11x + 30$  and as  $(x - 2)(x + 3)(x - 5)$ . From this, we can  
 1509 see that the polynomials  $F_1(x) = (x - 2)$ ,  $F_2(x) = (x + 3)$  and  $F_3(x) = (x - 5)$  are all factors of  
 1510  $x^3 - 4x^2 - 11x + 30$ , since division of  $P_7$  by any of these factors will result in a zero remainder.

1511 *Exercise 26.* Consider the polynomial expressions  $A(x) := -3x^4 + 4x^3 + 2x^2 + 4$  and  $B(x) =$   
 1512  $x^2 - 4x + 2$ . Compute the Euclidean division of  $A$  by  $B$  in the following types:

1513 1.  $A, B \in \mathbb{Z}[x]$

1514 2.  $A, B \in \mathbb{Z}_6[x]$

1515 3.  $A, B \in \mathbb{Z}_5[x]$

1516 Now consider the result in  $\mathbb{Z}[x]$  and in  $\mathbb{Z}_6[x]$ . How can we compute the result in  $\mathbb{Z}_6[x]$  from the  
 1517 result in  $\mathbb{Z}[x]$ ?

1518 *Exercise 27.* Show that the polynomial  $B(x) = 2x^4 - 3x + 4 \in \mathbb{Z}_5[x]$  is a factor of the polynomial  
 1519  $A(x) = x^7 + 4x^6 + 4x^5 + x^3 + 2x^2 + 2x + 3 \in \mathbb{Z}_5[x]$  that is show  $B|A$ . What is  $B \text{ div } A$ ?

1520 **Prime Factors** Recall that the fundamental theorem of arithmetic 3.7 tells us that every natu-  
 1521 ral number is the product of prime numbers. In this chapter we will see that something similar  
 1522 holds for univariate polynomials  $R[x]$ , too<sup>3</sup>.

1523 The polynomial analog to a prime number is a so called an **irreducible polynomial**, which  
 1524 is defined as a polynomial that cannot be factored into the product of two non-constant poly-  
 1525 nomials using Euclidean division. Irreducible polynomials are for polynomials what prime  
 1526 numbers are for integer: They are the basic building blocks from which all other polynomials  
 1527 can be constructed. To be more precise, let  $P \in R[x]$  be any polynomial. Then there are always  
 1528 irreducible polynomials  $F_1, F_2, \dots, F_k \in R[x]$ , such that the following holds:

$$P = F_1 \cdot F_2 \cdot \dots \cdot F_k . \quad (3.29)$$

1529 This representation is unique, except for permutations in the factors and is called the **prime**  
 1530 **factorization** of  $P$ . Moreover each factor  $F_i$  is called a **prime factor** of  $P$ .

1531 *Example 24.* Consider the polynomial expression  $P = x^2 - 3$ . When we interpret  $P$  as an integer  
 1532 polynomial  $P \in \mathbb{Z}[x]$ , we find that this polynomial is irreducible, since any factorization other  
 1533 than  $1 \cdot (x^2 - 3)$ , must look like  $(x - a)(x + a)$  for some integer  $a$ , but there is no integers  $a$  with  
 1534  $a^2 = 3$ .

```

1535 sage: Zx = ZZ['x'] 140
1536 sage: p = Zx(x^2-3) 141

```

<sup>3</sup>Strictly speaking this is not true for polynomials over arbitrary types  $R$ . However in this book we assume  $R$  to be a so called unique factorization domain for which the content of this section holds.

```

1537 sage: p.factor() 142
1538 x^2 - 3 143

```

1539 On the other hand interpreting  $P$  as a polynomial  $P \in \mathbb{Z}_6[x]$  in modulo 6 arithmetic, we see that  $P$   
 1540 has two factors  $F_1 = (x - 3)$  and  $F_2 = (x + 3)$ , since  $(x - 3)(x + 3) = x^2 - 3x + 3x - 3 \cdot 3 = x^2 - 3$ .

1541 Points where a polynomial evaluates to zero are called **roots** of the polynomial. To be more  
 1542 precise, let  $P \in R[x]$  be a polynomial. Then a root is a point  $x_0 \in R$  with  $P(x_0) = 0$  and the set  
 1543 of all roots of  $P$  is defined as follows:

$$R_0(P) := \{x_0 \in R \mid P(x_0) = 0\} \quad (3.30)$$

1544 The roots of a polynomial are of special interest with respect to its prime factorization, since it  
 1545 can be shown that for any given root  $x_0$  of  $P$  the polynomial  $F(x) = (x - x_0)$  is a prime factor of  
 1546  $P$ .

1547 Finding the roots of a polynomial is sometimes called **solving the polynomial**. It is a hard  
 1548 problem and has been the subject of much research throughout history.

1549 It can be shown that if  $m$  is the degree of a polynomial  $P$ , then  $P$  can not have more than  $m$   
 1550 roots. However, in general, polynomials can have less than  $m$  roots.

1551 *Example 25.* Consider the integer polynomial  $P_7(x) = x^3 - 4x^2 - 11x + 30$  from example 16  
 1552 again. We know that its set of roots is given by  $R_0(P_7) = \{-3, 2, 5\}$ .

1553 On the other hand, we know from example 24 that the integer polynomial  $x^2 - 3$  is irre-  
 1554 ducible. It follows that it has no roots, since every root defines a prime factor.

1555 *Example 26.* To give another example, consider the integer polynomial  $P = x^7 + 3x^6 + 3x^5 +$   
 1556  $x^4 - x^3 - 3x^2 - 3x - 1$ . We can invoke Sage to compute the roots and prime factors of  $P$ :

```

1557 sage: Zx = ZZ['x'] 144
1558 sage: p = Zx(x^7 + 3*x^6 + 3*x^5 + x^4 - x^3 - 3*x^2 - 3*x - 1) 145
1559 )
1560 sage: p.roots() 146
1561 [(1, 1), (-1, 4)] 147
1562 sage: p.factor() 148
1563 (x - 1) * (x + 1)^4 * (x^2 + 1) 149

```

We see that  $P$  has the root 1 and that the associated prime factor  $(x - 1)$  occurs once in  $P$  and  
 that it has the root  $-1$ , where the associated prime factor  $(x + 1)$  occurs 4 times in  $P$ . This gives  
 the following prime factorization:

$$P = (x - 1)(x + 1)^4(x^2 + 1)$$

1564 *Exercise 28.* Show that if a polynomial  $P \in R[x]$  of degree  $\deg(P) = m$  has less than  $m$  roots, it  
 1565 must have a prime factor  $F$  of degree  $\deg(F) > 1$ .

1566 *Exercise 29.* Consider the polynomial  $P = x^7 + 3x^6 + 3x^5 + x^4 - x^3 - 3x^2 - 3x - 1 \in \mathbb{Z}_6[x]$ .  
 1567 Compute the set of all roots of  $R_0(P)$  and then compute the prime factorization of  $P$ .

1568 **Lagrange interpolation** One particularly useful property of polynomials is that a polynomial  
 1569 of degree  $m$  is completely determined on  $m + 1$  evaluation points, which implies that we can  
 1570 uniquely derive a polynomial of degree  $m$  from a set  $S$ :

$$S = \{(x_0, y_0), (x_1, y_1), \dots, (x_m, y_m) \mid x_i \neq x_j \text{ for all indices } i \text{ and } j\} \quad (3.31)$$

1571 Polynomials therefore have the property that  $m + 1$  pairs of points  $(x_i, y_i)$  for  $x_i \neq x_j$  are enough  
 1572 to determine the set of pairs  $(x, P(x))$  for all  $x \in R$ . This “few too many” property of polynomials  
 1573 is used in many places, like for example in erasure codes. It is also of importance in snarks and  
 1574 we therefore need to understand a method to actually compute a polynomial from a set of points.

1575 If the coefficients of the polynomial we want to find have a notion of multiplicative inverse,  
 1576 it is always possible to find such a polynomial using a method called **Lagrange interpolation**,  
 1577 which works as follows: Given a set like 3.31, a polynomial  $P$  of degree  $m$  with  $P(x_i) = y_i$  for  
 1578 all pairs  $(x_i, y_i)$  from  $S$  is given by the following algorithm:

check  
algorithm  
floating

---

**Algorithm 4** Lagrange Interpolation

---

**Require:**  $R$  must have multiplicative inverses

**Require:**  $S = \{(x_0, y_0), (x_1, y_1), \dots, (x_m, y_m) \mid x_i, y_i \in R, x_i \neq x_j \text{ for all indices } i \text{ and } j\}$

**procedure** LAGRANGE-INTERPOLATION( $S$ )

**for**  $j \in (0 \dots m)$  **do**

$$l_j(x) \leftarrow \prod_{i=0; i \neq j}^m \frac{x - x_i}{x_j - x_i} = \frac{(x - x_0)}{(x_j - x_0)} \dots \frac{(x - x_{j-1})}{(x_j - x_{j-1})} \frac{(x - x_{j+1})}{(x_j - x_{j+1})} \dots \frac{(x - x_m)}{(x_j - x_m)}$$

**end for**

$$P \leftarrow \sum_{j=0}^m y_j \cdot l_j$$

**return**  $P$

**end procedure**

**Ensure:**  $P \in R[x]$  with  $\deg(P) = m$

**Ensure:**  $P(x_j) = y_j$  for all pairs  $(x_j, y_j) \in S$

---

*Example 27.* Let us consider the set  $S = \{(0, 4), (-2, 1), (2, 3)\}$ . Our task is to compute a polynomial of degree 2 in  $\mathbb{Q}[x]$  with coefficients from the rational numbers  $\mathbb{Q}$ . Since  $\mathbb{Q}$  has multiplicative inverses, we can use the Lagrange interpolation algorithm from 4, to compute the polynomial.

$$\begin{aligned} l_0(x) &= \frac{x - x_1}{x_0 - x_1} \cdot \frac{x - x_2}{x_0 - x_2} = \frac{x + 2}{0 + 2} \cdot \frac{x - 2}{0 - 2} = -\frac{(x + 2)(x - 2)}{4} \\ &= -\frac{1}{4}(x^2 - 4) \\ l_1(x) &= \frac{x - x_0}{x_1 - x_0} \cdot \frac{x - x_2}{x_1 - x_2} = \frac{x - 0}{-2 - 0} \cdot \frac{x - 2}{-2 - 2} = \frac{x(x - 2)}{8} \\ &= \frac{1}{8}(x^2 - 2x) \\ l_2(x) &= \frac{x - x_0}{x_2 - x_0} \cdot \frac{x - x_1}{x_2 - x_1} = \frac{x - 0}{2 - 0} \cdot \frac{x + 2}{2 + 2} = \frac{x(x + 2)}{8} \\ &= \frac{1}{8}(x^2 + 2x) \\ P(x) &= 4 \cdot \left(-\frac{1}{4}(x^2 - 4)\right) + 1 \cdot \frac{1}{8}(x^2 - 2x) + 3 \cdot \frac{1}{8}(x^2 + 2x) \\ &= -x^2 + 4 + \frac{1}{8}x^2 - \frac{1}{4}x + \frac{3}{8}x^2 + \frac{3}{4}x \\ &= -\frac{1}{2}x^2 + \frac{1}{2}x + 4 \end{aligned}$$

1579 And, indeed, evaluation of  $P$  on the  $x$ -values of  $S$  gives the correct points, since  $P(0) = 4$ ,  
 1580  $P(-2) = 1$  and  $P(2) = 3$ . Sage provides the following function:

```

1581 sage: Qx = QQ['x'] 150
1582 sage: S=[(0,4),(-2,1),(2,3)] 151
1583 sage: Qx.lagrange_polynomial(S) 152
1584 -1/2*x^2 + 1/2*x + 4 153

```

*Example 28.* To give another example more relevant to the topics of this book, let us consider the same set  $S = \{(0,4), (-2,1), (2,3)\}$  as in the previous example. This time, the task is to compute a polynomial  $P \in \mathbb{Z}_5[x]$  from this data. Since we know from example 14 that multiplicative inverses exist in  $\mathbb{Z}_5$ , algorithm 4 applies and we can compute a unique polynomial of degree 2 in  $\mathbb{Z}_5[x]$  from  $S$ . We can use the lookup tables from example 14 for computation in  $\mathbb{Z}_5$  and get the following:

$$\begin{aligned}
l_0(x) &= \frac{x-x_1}{x_0-x_1} \cdot \frac{x-x_2}{x_0-x_2} = \frac{x+2}{0+2} \cdot \frac{x-2}{0-2} = \frac{(x+2)(x-2)}{-4} = \frac{(x+2)(x+3)}{1} \\
&= x^2 + 1 \\
l_1(x) &= \frac{x-x_0}{x_1-x_0} \cdot \frac{x-x_2}{x_1-x_2} = \frac{x-0}{-2-0} \cdot \frac{x-2}{-2-2} = \frac{x}{3} \cdot \frac{x+3}{1} = 2(x^2 + 3x) \\
&= 2x^2 + x \\
l_2(x) &= \frac{x-x_0}{x_2-x_0} \cdot \frac{x-x_1}{x_2-x_1} = \frac{x-0}{2-0} \cdot \frac{x+2}{2+2} = \frac{x(x+2)}{3} = 2(x^2 + 2x) \\
&= 2x^2 + 4x \\
P(x) &= 4 \cdot (x^2 + 1) + 1 \cdot (2x^2 + x) + 3 \cdot (2x^2 + 4x) \\
&= 4x^2 + 4 + 2x^2 + x + x^2 + 2x \\
&= 2x^2 + 3x + 4
\end{aligned}$$

1585 And, indeed, evaluation of  $P$  on the  $x$ -values of  $S$  gives the correct points, since  $P(0) = 4$ ,  
1586  $P(-2) = 1$  and  $P(2) = 3$ . We can doublecheck our findings using Sage:

```

1587 sage: F5 = GF(5) 154
1588 sage: F5x = F5['x'] 155
1589 sage: S=[(0,4),(-2,1),(2,3)] 156
1590 sage: F5x.lagrange_polynomial(S) 157
1591 2*x^2 + 3*x + 4 158

```

1592 *Exercise 30.* Consider modular 5 arithmetic from example 14 and the set  $S = \{(0,0), (1,1), (2,2), (3,2)\}$ .  
1593 Find a polynomial  $P \in \mathbb{Z}_5[x]$  such that  $P(x_i) = y_i$  for all  $(x_i, y_i) \in S$ .

1594 *Exercise 31.* Consider the set  $S$  from the previous example. Why is it not possible to apply  
1595 algorithm 4 to construct a polynomial  $P \in \mathbb{Z}_6[x]$ , such that  $P(x_i) = y_i$  for all  $(x_i, y_i) \in S$ ?

# Chapter 4

## Algebra

In the previous chapter, we gave an introduction to the basic computational tools needed for a pen-and-paper approach to SNARKs and in this chapter we provide a more abstract clarification of relevant mathematical terminology such as **groups**, **rings** and **fields**.

Scientific literature on cryptography frequently contain such terms, and it is necessary to get at least some understanding of these terms to be able to follow the literature.

### 4.1 Commutative Groups

Commutative groups are abstractions that capture the essence of mathematical phenomena, like addition and subtraction, or multiplication and division.

To understand commutative groups, let us think back to when we learned about the addition and subtraction of integers in school. We have learned that, whenever we add two integers, the result is guaranteed to be an integer as well. We have also learned that adding zero to any integer means that “nothing happens”, that is, the result of the addition is the same integer we started with. Furthermore, we have learned that the order in which we add two (or more) integers does not matter, that brackets have no influence on the result of addition, and that, for every integer, there is always another integer (the negative) such that we get zero when we add them together.

These conditions are the defining properties of a commutative group, and mathematicians have realized that the exact same set of rules can be found in very different mathematical structures. It therefore makes sense to abstract from integers and to give a formal definition of what a group should be, detached from any concrete examples. This lets us handle entities of very different mathematical origins in a flexible way, while retaining essential structural aspects of many objects in abstract algebra and beyond.

Distilling these rules to the smallest independent list of properties and making them abstract, we arrive at the following definition of a commutative group:

*Sylvia: I would like to have a separate counter for definitions*

**Definition 4.1.0.1.** A **commutative group**  $(\mathbb{G}, \cdot)$  is a set  $\mathbb{G}$ , together with a **map**  $\cdot : \mathbb{G} \times \mathbb{G} \rightarrow \mathbb{G}$  called the **group law**, that combines two elements of the set  $\mathbb{G}$  into a third one such that the following properties hold:

- **Commutativity:** For all  $g_1, g_2 \in \mathbb{G}$ , the equation  $g_1 \cdot g_2 = g_2 \cdot g_1$  holds.
- **Associativity:** For every  $g_1, g_2, g_3 \in \mathbb{G}$  the equation  $g_1 \cdot (g_2 \cdot g_3) = (g_1 \cdot g_2) \cdot g_3$  holds.
- **Existence of a neutral element:** There is a  $e \in \mathbb{G}$  for all  $g \in \mathbb{G}$ , such that  $e \cdot g = g$ .

*Sylvia: I would like to have a separate counter for definitions*

- **Existence of an inverse:** For every  $g \in \mathbb{G}$  there is a  $g^{-1} \in \mathbb{G}$ , such that  $g \cdot g^{-1} = e$ .

If  $(\mathbb{G}, \cdot)$  is a group and  $\mathbb{G}' \subset \mathbb{G}$  is a subset of  $\mathbb{G}$ , such that the restriction of the group law  $\cdot : \mathbb{G}' \times \mathbb{G}' \rightarrow \mathbb{G}'$  is a group law on  $\mathbb{G}'$ , then  $(\mathbb{G}', \cdot)$  is called a **subgroup** of  $(\mathbb{G}, \cdot)$ .

Rephrasing the abstract definition in layman's terms, a group is something where we can do computations in a way that resembles the behavior of the addition of integers. Specifically, this means we can combine some element with another element into a new element in a way that is reversible and where the order of combining elements doesn't matter.

*Notation and Symbols 3.* Since we are exclusively concerned with commutative groups in this book, we often just call them groups, keeping the notation of commutativity implicit. Commutative groups are also called **Abelian groups**. A set  $\mathbb{G}$  with a map  $\cdot$  that satisfies all previously mentioned rules, except for the commutativity law is called a non-commutative group.

If there is no risk of ambiguity (about what the group law of that group is), we frequently drop the symbol  $\cdot$  and simply write  $\mathbb{G}$  as notation for the group, keeping the group law implicit. In this case we also say that  $\mathbb{G}$  is of group type, indicating that  $\mathbb{G}$  is not simply a set but a set together with a group law.

For commutative groups  $(\mathbb{G}, \cdot)$ , we sometimes use the so-called **additive notation**  $(\mathbb{G}, +)$ , that is, we write  $+$  instead of  $\cdot$  for the group law,  $0$  for the neutral element and  $-g := g^{-1}$  for the inverse of an element  $g \in \mathbb{G}$ .

As we will see in the following chapters, groups are heavily used in cryptography and in SNARKs. But let us look at some more familiar examples first:

*Example 29 (Integer Addition and Subtraction).* The set  $(\mathbb{Z}, +)$  of integers with integer addition is the archetypical example of a commutative group, where the group law is traditionally written in additive notation 3.

To compare integer addition against the abstract axioms of a commutative group, we first see that integer addition is commutative and associative, since  $a + b = b + a$  as well as  $(a + b) + c = a + (b + c)$  for all integers  $a, b, c \in \mathbb{Z}$ . The neutral element  $e$  is the number  $0$ , since  $a + 0 = a$  for all integers  $a \in \mathbb{Z}$ . Furthermore, the inverse of a number is its negative counterpart, since  $a + (-a) = 0$ , for all  $a \in \mathbb{Z}$ . This implies that integers with addition are indeed a commutative group in the abstract sense.

To give an example of a subgroup for the group of integers, consider the set  $\mathbb{Z}_{\text{even}} := \{\dots, -4, -2, 0, 2, 4, \dots\}$  of even numbers, including  $0$ . We can see that this set is a subgroup of  $(\mathbb{Z}, +)$ , since the sum of two even numbers is always an even number again, since the neutral element  $0$  is a member of  $\mathbb{Z}_{\text{even}}$  and since the negative of an even number is itself an even number.

*Example 30 (The trivial group).* The most basic example of a commutative group is the group with just one element  $\{\bullet\}$  and the group law  $\bullet \cdot \bullet = \bullet$ . We call it the **trivial group**.

The trivial group is a subgroup of any group. To see that let  $(\mathbb{G}, \cdot)$  be a group with neutral element  $e \in \mathbb{G}$ . Then  $e \cdot e = e$  as well as  $e^{-1} = e$  and it follows that the set  $\{e\}$  is a subgroup of  $\mathbb{G}$ . In particular  $\{0\}$  is a subgroup of  $(\mathbb{Z}, +)$ , since  $0 + 0 = 0$ .

*Example 31.* Consider the addition in modulo 6 arithmetics  $(\mathbb{Z}_6, +)$  as defined in in example 9. As we see, the remainder  $0$  is the neutral element in modulo 6 addition and the inverse of a remainder  $r$  is given by  $6 - r$ , because  $r + (6 - r) = 6$ , which is congruent to  $0$ , since  $6 \bmod 6 = 0$ . Moreover,  $r_1 + r_2 = r_2 + r_1$  as well as  $(r_1 + r_2) + r_3 = r_1 + (r_2 + r_3)$  are inherited from integer addition. We therefore see that  $(\mathbb{Z}_6, +)$  is a group.

The previous example of a commutative group is a very important one for this book. Abstracting from this example and considering residue classes  $(\mathbb{Z}_n, +)$  for arbitrary moduli  $n$ , it can be shown that  $(\mathbb{Z}_n, +)$  is a commutative group with the neutral element  $0$  and the additive

inverse  $n - r$  for any element  $r \in \mathbb{Z}_n$ . We call such a group the **remainder class group** of modulus  $n$ .

*Exercise 32.* Consider example 14 again and let  $\mathbb{Z}_5^*$  be the set of all remainder classes from  $\mathbb{Z}_5$  without the class 0. Then  $\mathbb{Z}_5^* = \{1, 2, 3, 4\}$ . Show that  $(\mathbb{Z}_5^*, \cdot)$  is a commutative group.

*Exercise 33.* Generalizing the previous exercise, consider the general modulus  $n$ , and let  $\mathbb{Z}_n^*$  be the set of all remainder classes from  $\mathbb{Z}_n$  without the class 0. Then  $\mathbb{Z}_n^* = \{1, 2, \dots, n - 1\}$ . Provide a counter-example to show that  $(\mathbb{Z}_n^*, \cdot)$  is not a group in general.

Find a condition such that  $(\mathbb{Z}_n^*, \cdot)$  is a commutative group, compute the neutral element, give a closed form for the inverse of any element and prove the commutative group axioms.

**Finite groups** As we have seen in the previous examples, groups can either contain infinitely many elements (such as integers) or finitely many elements (as for example the remainder class groups  $(\mathbb{Z}_n, +)$ ). To capture this distinction, a group is called a **finite group** if the underlying set of elements is finite. In that case, the number of elements of that group is called its **order**.

*Notation and Symbols 4.* Let  $\mathbb{G}$  be a finite group. We write  $\text{ord}(\mathbb{G})$  or  $|\mathbb{G}|$  for the order of  $\mathbb{G}$ .

*Example 32.* Consider the remainder class groups  $(\mathbb{Z}_6, +)$  from example 9, the group  $(\mathbb{Z}_5, +)$  from example 14, and the group  $(\mathbb{Z}_5^*, \cdot)$  from exercise 32. We can easily see that the order of  $(\mathbb{Z}_6, +)$  is 6, the order of  $(\mathbb{Z}_5, +)$  is 5 and the order of  $(\mathbb{Z}_5^*, \cdot)$  is 4.

*Exercise 34.* Let  $n \in \mathbb{N}$  with  $n \geq 2$  be some modulus. What is the order of the remainder class group  $(\mathbb{Z}_n, +)$ .

**Generators** The set of elements of a group can be complicated and it is not always obvious how to actually compute elements of a given group. From a practical point of view it is therefore desirable, if a group has a small subset of elements, such that all other elements can be generated by applying the group law repeatedly to the elements of that subset or their inverses only. Sets with these properties are called **generator sets**.

Of course, every group  $\mathbb{G}$  has a trivial set of generators, when we just consider every element of the group to be in the generator set. The more interesting question is to find smallest possible sets of generators for a given group. Of particular interest in this regard are groups that have a generator set that contains a single element only. In this case, there exists a (not necessarily unique) element  $g \in \mathbb{G}$  such that every other element from  $\mathbb{G}$  can be computed by the repeated combination of  $g$  and its inverse  $g^{-1}$  only. Groups with single, not necessarily unique, generators are called **cyclic groups** and any element  $g \in \mathbb{G}$  that is able to generate  $\mathbb{G}$  is called a **generator**.

*Example 33.* The most basic example of a cyclic group is the group of integers  $(\mathbb{Z}, +)$  with integer addition. In this case, the number 1 is a generator of  $\mathbb{Z}$ , since every integer can be obtained by repeatedly adding either 1 or its inverse  $-1$  to itself. For example  $-4$  is generated by 1, since  $-4 = -1 + (-1) + (-1) + (-1)$ . Another generator of  $\mathbb{Z}$  is the number  $-1$ .

*Example 34.* Consider the group  $(\mathbb{Z}_5^*, \cdot)$  from exercise 32. Since  $2^1 = 2$ ,  $2^2 = 4$ ,  $2^3 = 3$  and  $2^4 = 1$ , the element 2 is a generator of  $(\mathbb{Z}_5^*, \cdot)$ . Moreover since  $3^1 = 3$ ,  $3^2 = 4$ ,  $3^3 = 2$  and  $3^4 = 1$ , the element 3 is another generator of  $(\mathbb{Z}_5^*, \cdot)$ . Cyclic groups can therefore have more than one generator. However since  $4^1 = 4$ ,  $4^2 = 1$ ,  $4^3 = 4$  and in general  $4^k = 4$  for  $k$  odd and  $4^k = 1$  for  $k$  even the element 4 is not a generator of  $(\mathbb{Z}_5^*, \cdot)$ . It follows that in general not every element of a finite cyclic group is a generator.

1716 *Example 35.* Consider a modulus  $n$  and the remainder class groups  $(\mathbb{Z}_n, +)$  from exercise 34.  
 1717 These groups are cyclic, with generator 1, since every other element of that group can be con-  
 1718 structed by repeatedly adding the remainder class 1 to itself. Since  $\mathbb{Z}_n$  is also finite, we know  
 1719 that  $(\mathbb{Z}_n, +)$  is a finite cyclic group of order  $n$ .

1720 *Exercise 35.* Consider the group  $(\mathbb{Z}_6, +)$  of modular 6 addition from example 9. Show that  
 1721  $5 \in \mathbb{Z}_6$  is a generator and then show that  $2 \in \mathbb{Z}_6$  is not a generator.

1722 *Exercise 36.* Let  $p \in \mathbb{P}$  be prime number and  $(\mathbb{Z}_p^*, \cdot)$  the finite group from exercise 33. Show  
 1723 that  $(\mathbb{Z}_p^*, \cdot)$  is cyclic.

1724 **The exponential map** Observe that, when  $\mathbb{G}$  is a cyclic group of order  $n$  and  $g \in \mathbb{G}$  is a  
 1725 generator of  $\mathbb{G}$ , then there is the following map with respect to the generator  $g$ :

$$g^{(\cdot)} : \mathbb{Z}_n \rightarrow \mathbb{G} \quad x \mapsto g^x \quad (4.1)$$

1726 In the map above,  $g^x$  means “multiply  $g$   $x$ -times by itself” and  $g^0 = e_{\mathbb{G}}$ . This map, called  
 1727 the **exponential map**, has the remarkable property that it maps the additive group law of the  
 1728 remainder class group  $(\mathbb{Z}_n, +)$  in a one-to-one correspondence to the group law of  $\mathbb{G}$ .

1729 To see this, first observe that, since  $g^0 := e_{\mathbb{G}}$  by definition, the neutral element of  $\mathbb{Z}_n$  is  
 1730 mapped to the neutral element of  $\mathbb{G}$ , and, since  $g^{x+y} = g^x \cdot g^y$ , the map respects the group law.

1731 *Remark 3* (Scalar multiplication). If a group  $(\mathbb{G}, +)$  is written in additive notation 3, then the  
 1732 exponential map is often called **scalar multiplication** and written as

$$(\cdot) \cdot g : \mathbb{Z}_n \rightarrow \mathbb{G} ; x \mapsto x \cdot g \quad (4.2)$$

1733 In this notation the symbol  $x \cdot g$  is defined as “add the generator  $g$   $x$ -times to itself” and the  
 1734 symbol  $0 \cdot g$  is defined to be the neutral element in  $\mathbb{G}$ .

1735 Cryptographic applications often utilize finite cyclic groups of very large order  $n$  and com-  
 1736 puting the exponential map by repeated multiplication of the generator with itself is infeasible,  
 1737 for very large remainder classes. The following so called **square and multiply** algorithm solves  
 1738 this problem as it computes the exponential map in approximately  $k$  steps, where  $k$  is the bit  
 1739 length of the exponent 3.4:

1740 Because the exponential map respects the group law, it doesn’t matter if we do our compu-  
 1741 tation in  $\mathbb{Z}_n$  before we write the result into the exponent of  $g$  or afterwards: the result will be the  
 1742 same in both cases. This is usually referred to as doing computations “in the exponent”. In cryp-  
 1743 tography in general, and in SNARK development in particular, we often perform computations  
 1744 “in the exponent” of a generator.

*Example 36.* Consider the multiplicative group  $(\mathbb{Z}_5^*, \cdot)$  from exercise 32. We know from 36 that  
 $\mathbb{Z}_5^*$  is a cyclic group of order 4, and that the element  $3 \in \mathbb{Z}_5^*$  is a generator. We then know that  
 the following map respects the group law of addition in  $\mathbb{Z}_4$  and the group law of multiplication  
 in  $\mathbb{Z}_5^*$ :

$$3^{(\cdot)} : \mathbb{Z}_4 \rightarrow \mathbb{Z}_5^* ; x \mapsto 3^x$$

To do an example computation “in the exponent” of 3, let’s perform the calculation  $1 + 3 + 2$   
 in the exponent of the generator 3:

$$\begin{aligned} 3^{1+3+2} &= 3^2 \\ &= 4 \end{aligned}$$



**Algorithm 5** Cyclic Group Exponentiation**Require:**  $g$  group generator of order  $n$ **Require:**  $x \in \mathbb{Z}_n$ **procedure** EXPONENTIATION( $g, x$ )Let  $(b_0, \dots, b_k)$  be a binary representation of  $x$ 

▷ see example XXX

 $h \leftarrow g$  $y \leftarrow e_{\mathbb{G}}$ **for**  $0 \leq j < k$  **do**  **if**  $b_j = 1$  **then**     $y \leftarrow y \cdot h$ 

▷ multiply

**end if**   $h \leftarrow h \cdot h$ 

▷ square

**end for****return**  $y$ **end procedure****Ensure:**  $y = g^x$ 

1745 What we did is, we first performed the computation  $1 + 3 + 2 = 1$  in the remainder class group  
 1746  $(\mathbb{Z}_4, +)$  and then applied the exponential map  $3^{(\cdot)}$  to the result.

1747 However since the exponential map 4.1 "respects the group law" we also could map each  
 1748 summand into  $(\mathbb{F}_5^*, \cdot)$  first and then apply the group law of  $(\mathbb{F}_5^*, \cdot)$ . The result is guranteed to be  
 1749 the same:

$$\begin{aligned} 3^1 \cdot 3^3 \cdot 3^2 &= 3 \cdot 2 \cdot 4 \\ &= 1 \cdot 4 \\ &= 4 \end{aligned}$$

1750 Since the exponential map is a one-to-one correspondence that respects the group law, it  
 1751 can be shown that this map has an inverse with respect to the base  $g$ , called the **base  $g$  discrete**  
 1752 **logarithm map**:

$$\log_g(\cdot) : \mathbb{G} \rightarrow \mathbb{Z}_n \quad x \mapsto \log_g(x) \quad (4.3)$$

1753 Discrete logarithms are highly important in cryptography, because there are finite cyclic groups  
 1754 where the exponential map and its inverse, the discrete logarithm map, are believed to be one-  
 1755 way functions, which informally means that computing the exponential map is fast, while com-  
 1756 puting the logarithm map is slow (We will look into a more precise definition in 4.1.1).

*Example 37.* Consider the exponential map  $3^{(\cdot)}$  from example 36. Its inverse is the discrete logarithm to the base 3 and it is given by the map

$$\log_3(\cdot) : \mathbb{Z}_5^* \rightarrow \mathbb{Z}_4 \quad x \mapsto \log_3(x)$$

In contrast to the exponential map  $3^{(\cdot)}$ , we have no way to actually compute this map, other than by trying all elements of the group until we find the correct one. For example in order to compute  $\log_3(4)$ , we have to find some  $x \in \mathbb{Z}_4$ , such that  $3^x = 4$  and all we can do is repeatedly insert elements  $x$  into the exponent of 3 until the result is 4. To do this let's write down all the images of  $3^{(\cdot)}$ :

$$3^0 = 1, \quad 3^1 = 3, \quad 3^2 = 4, \quad 3^3 = 2$$

Since the discrete logarithm  $\log_3(\cdot)$  is defined as the inverse to this function, we can use those images to compute the discrete logarithm:

$$\log_3(1) = 0, \quad \log_3(2) = 3, \quad \log_3(3) = 1, \quad \log_3(4) = 2$$

Note that this computation was only possible, because we were able to write down all images of the exponential map. However, in real world applications the groups in consideration are too large to write down the images of the exponential map.

*Exercise 37* (Efficient Scalar Multiplication). Let  $(\mathbb{G}, +)$  be a finite cyclic group of order  $n$ . Consider algorithm 5 and define it's analog for groups in additive notation.

**Factor Groups** As we know from the fundamental theorem of arithmetics 3.7, every natural number  $n$  is a product of factors, the most basic of which are prime numbers. This reflects into subgroups of a finite cyclic group in an interesting way: If  $\mathbb{G}$ , is a finite cyclic group of order  $n$ , then every subgroup  $\mathbb{G}'$  of  $\mathbb{G}$ , is finite and cyclic and the order of  $\mathbb{G}'$ , is a factor of  $n$ . Moreover for each factor  $k$  of  $n$ ,  $\mathbb{G}$  has exactly one subgroup of order  $k$ . This is known as the **fundamental theorem of finite cyclic groups**.

*Notation and Symbols 5.* If  $\mathbb{G}$  is a finite cyclic group of order  $n$  and  $k$  is a factor of  $n$ , then we write  $\mathbb{G}[k]$  for the unique finite cyclic group, which is the order  $k$  subgroup of  $\mathbb{G}$  and call it a **factor group** of  $\mathbb{G}$ .

One particular interesting situation occurs if the order of a given finite cyclic group is a prime number. As we know from the fundamental theorem of arithmetics 3.7, prime numbers have only two factors, given by the number 1 and the prime number itself. It then follows from the fundamental theorem of finite cyclic groups 4.1, that those groups have no subgroups other than the trivial group 30 and the group itself.

Cryptographic protocols often assume the existence of finite cyclic groups of prime order but sometimes real world implementations of those protocols are not defined on prime order groups, but on groups where the order consist of a (usually large) prime number that has small cofactors 1. In this case a method called **cofactor clearing** has to be applied to ensure that the computations are not done in the group itself but in its (large) prime order subgroup.

To understand cofactor clearing in detail, let  $\mathbb{G}$  be a finite cyclic group of order  $n$  and let  $k$  be a factor of  $n$  with associated factor group  $\mathbb{G}[k]$ . We can project any element  $g \in \mathbb{G}[k]$  onto the neutral element  $e$  of  $\mathbb{G}$  by multiplying  $g$   $k$ -times with itself:

$$g^k = e \tag{4.4}$$

From this follows that if  $c := n \div k$  is the cofactor 1 of  $k$  in  $n$  then any element from the full group  $g \in \mathbb{G}$  can be projected into the factor group  $\mathbb{G}[k]$  by multiplying  $g$   $c$ -times with itself. This defines the following map, which is often called **cofactor clearing** in the cryptographic literature:

$$(\cdot)^c : \mathbb{G} \rightarrow \mathbb{G}[k] : g \mapsto g^c \tag{4.5}$$

*Example 38.* Consider the finite cyclic group  $(\mathbb{Z}_5^*, \cdot)$  from example 34. Since the order of  $\mathbb{Z}_5^*$  is 4 and 4 has the factors 1, 2 and 4, it follows from the fundamental theorem of finite cyclic groups, that  $\mathbb{Z}_5^*$  has 3 unique subgroups. In fact the unique subgroup  $\mathbb{Z}_5^*[1]$  of order 1 is given by the trivial group  $\{1\}$  that contains only the multiplicative neutral element 1 and the unique subgroup  $\mathbb{Z}_5^*[4]$  of order 4 is  $\mathbb{Z}_5^*$  itself, since by definition every group is trivially a subgroup of itself. The unique subgroup  $\mathbb{Z}_5^*[2]$  of order 2 is more interesting and is given by the set  $\mathbb{Z}_5^*[2] = \{1, 4\}$ .

Since  $\mathbb{Z}_5^*$  is not a prime order group and since the only prime factor of 4 is 2, the "large" prime order subgroup of  $\mathbb{Z}_5^*$  is  $\mathbb{Z}_5^*[2]$ . Moreover since the cofactor of 2 in 4 is also 2, we have the cofactor clearing map  $(\cdot)^2 : \mathbb{Z}_5^* \rightarrow \mathbb{Z}_5^*[2]$  and indeed applying this map to all elements from  $\mathbb{Z}_5^*$  we see that it maps onto the elements of  $\mathbb{Z}_5^*[2]$  only:

$$1^2 = 1, \quad 2^2 = 4, \quad 3^2 = 4, \quad 4^2 = 1$$

1794 We can therefore use this map to "clear the cofactor" of any element from  $\mathbb{Z}_5^*$  which means that  
1795 the element is projected into the "large" prime order subgroup  $\mathbb{Z}_5^*[2]$ .

1796 *Exercise 38.* Consider the previous example 38 and show that  $\mathbb{Z}_5^*[2]$  is a commutative group.

1797 *Exercise 39.* Consider the finite cyclic group  $(\mathbb{Z}_6, +)$  of modular 6 addition from example 35.  
1798 Describe all subgroups of  $(\mathbb{Z}_6, +)$ . Identify the large prime order subgroup of  $\mathbb{Z}_6$ , define its  
1799 cofactor clearing map and apply that map to all elements of  $\mathbb{Z}_6$ .

1800 *Exercise 40.* Let  $(\mathbb{Z}_p^*, \cdot)$  be the cyclic group from exercise 36. Show that for  $p \geq 5$ , not every  
1801 element  $x \in \mathbb{F}_p^*$  is a generator of  $\mathbb{F}_p^*$ .

1802 **Pairings** Of particular importance for the development of SNARKs are so-called pairing maps  
1803 on commutative groups. To see the definition, let  $\mathbb{G}_1, \mathbb{G}_2$  and  $\mathbb{G}_3$  be three commutative groups.  
1804 Then a **pairing map** is a function

$$e(\cdot, \cdot) : \mathbb{G}_1 \times \mathbb{G}_2 \rightarrow \mathbb{G}_3 \quad (4.6)$$

1805 This function takes pairs  $(g_1, g_2)$  of elements from  $\mathbb{G}_1$  and  $\mathbb{G}_2$ , and maps them to elements  
1806 from  $\mathbb{G}_3$ , such that the **bilinearity** property holds, which means that for all  $g_1, g'_1 \in \mathbb{G}_1$  and  
1807  $g_2, g'_2 \in \mathbb{G}_2$  the following two identities are satisfied:

$$e(g_1 \cdot g'_1, g_2) = e(g_1, g_2) \cdot e(g'_1, g_2) \quad \text{and} \quad e(g_1, g_2 \cdot g'_2) = e(g_1, g_2) \cdot e(g_1, g'_2) \quad (4.7)$$

1808 Informally speaking, bilinearity means that it doesn't matter if we first execute the group law  
1809 on one side and then apply the bilinear map, or if we first apply the bilinear map and then apply  
1810 the group law in  $\mathbb{G}_3$ .

1811 A pairing map is called **non-degenerate** if, whenever the result of the pairing is the neutral  
1812 element in  $\mathbb{G}_3$ , one of the input values is the neutral element of  $\mathbb{G}_1$  or  $\mathbb{G}_2$ . To be more precise,  
1813  $e(g_1, g_2) = e_{\mathbb{G}_3}$  implies  $g_1 = e_{\mathbb{G}_1}$  or  $g_2 = e_{\mathbb{G}_2}$ .

*Example 39.* One of the most basic examples of a non-degenerate pairing involves  $\mathbb{G}_1, \mathbb{G}_2$  and  
 $\mathbb{G}_3$  all to be the group of integers with addition  $(\mathbb{Z}, +)$ . Then the following map defines a  
non-degenerate pairing:

$$e(\cdot, \cdot) : \mathbb{Z} \times \mathbb{Z} \rightarrow \mathbb{Z} \quad (a, b) \mapsto a \cdot b$$

1814 Note that bilinearity follows from the distributive law of integers, since for  $a, b, c \in \mathbb{Z}$ , we have  
1815  $e(a + b, c) = (a + b) \cdot c = a \cdot c + b \cdot c = e(a, c) + e(b, c)$  and the same reasoning is true for the  
1816 second argument.

1817 To see that  $e(\cdot, \cdot)$  is non-degenerate, assume that  $e(a, b) = 0$ . Then  $a \cdot b = 0$  implies that  $a$  or  
1818  $b$  must be zero.

1819 *Exercise 41* (Arithmetic laws for pairing maps). Let  $\mathbb{G}_1, \mathbb{G}_2$  as well as  $\mathbb{G}_3$  be finite cyclic groups  
1820 of the same order  $n$  and let  $e(\cdot, \cdot) : \mathbb{G}_1 \times \mathbb{G}_2 \rightarrow \mathbb{G}_3$  be a pairing map. Show that for given  $g_1 \in \mathbb{G}_1$   
1821 and  $g_2 \in \mathbb{G}_2$  and all  $a, b \in \mathbb{Z}_n$  the following identity holds:

$$e(g_1^a, g_2^b) = e(g_1, g_2)^{a \cdot b} \quad (4.8)$$

*Exercise 42.* Consider the remainder class groups  $(\mathbb{Z}_n, +)$  from example 34 for some modulus  $n$ . Show that the map

$$e(\cdot, \cdot) : \mathbb{Z}_n \times \mathbb{Z}_n \rightarrow \mathbb{Z}_n (a, b) \mapsto a \cdot b$$

is a pairing map. Why is the pairing not non-degenerate in general and what condition must be imposed on  $n$ , such that the pairing will be non-degenerate?

### 4.1.1 Cryptographic Groups

In this section, we will look at classes of groups that are believed to satisfy certain **computational hardness assumptions**, namely that it is not feasible to solve a particular problem.

*Example 40.* To give an example for a well-known computational hardness assumption, consider the problem of factorization, i.e. computing the prime factors of a composite integer. If the prime factors are very large, this is infeasible to do, and is expected to remain infeasible. We assume the problem is **computationally hard** or **infeasible**.

Note that in the example, we say that the problem is infeasible to solve *if the prime factors are large enough*. In the cryptographic standard model we have a security parameter and we say that "there exists a security parameter, such that it is not feasible to compute a solution to the problem". In the following examples, the security parameter roughly correlates with the order of the group in consideration. In this book, we do not include the security parameter in our definitions, since we only aim to provide an intuitive understanding of the cryptographic assumptions, not teach the ability to perform rigorous analysis.

Furthermore, understand that these are *assumptions*. Academics have been looking for efficient prime factorization algorithms for a long time, and they have been getting better and better and computers have become faster and faster - but there always was a higher security parameter for which the problem still was infeasible.

In what follows, we will describe a few problems that are assumed to be infeasible that arise in the context of groups in cryptography. We will refer to them throughout the book.

**The discrete logarithm assumption** The so-called **discrete logarithm problem (DLP)** is one of the most fundamental assumptions in cryptography. To define it, let  $\mathbb{G}$  be a finite cyclic group of order  $r$  and let  $g$  be a generator of  $\mathbb{G}$ . We know from 4.1 that there is an exponential map  $g^{(\cdot)} : \mathbb{Z}_r \rightarrow \mathbb{G} ; x \mapsto g^x$  that maps the residue classes from modulo  $r$  arithmetic onto the group in a 1 : 1 correspondence. The **discrete logarithm problem** is the task of finding an inverse to this map, that is, to find a solution  $x \in \mathbb{Z}_r$  to the following equation for some given  $h, g \in \mathbb{G}$ :

$$h = g^x \tag{4.9}$$

There are groups in which the DLP is assumed to be infeasible to solve, and there are groups in which it isn't. We call the former group **DL-secure** groups.

Rephrasing the previous definition, it is believed that in DL-secure groups there is a number  $n$  (as that corresponds to the security parameter), such that it is infeasible to compute some number  $x$  that solves the equation  $h = g^x$  for a given  $h$  and  $g$ , assuming that the order of the group  $n$  is large enough.

*Example 41* (Public key cryptography). One the most basic examples of an application for DL-secure groups is in public key cryptography, where the parties publicly agree on some pair  $(\mathbb{G}, g)$  such that  $\mathbb{G}$  is a finite cyclic group of appropriate order  $n$ , where  $\mathbb{G}$  is believed to be a DL-secure group, and  $g$  is a generator of  $\mathbb{G}$ .

In this setting, a secret key is some number  $sk \in \mathbb{Z}_r$  and the associated public key  $pk$  is the group element  $pk = g^{sk}$ . Since discrete logarithms are assumed to be hard, it is infeasible for an attacker to compute the secret key from the public key, since it is believed to be infeasible to find solutions  $x$  to the following equation:

$$pk = g^x \quad (4.10)$$

As the previous example shows, identifying DL-secure groups is an important practical problem. Unfortunately, it is easy to see that it does not make sense to assume the hardness of the discrete logarithm problem in all finite cyclic groups: Counterexamples are common and easy to construct.

**The decisional Diffie–Hellman assumption** Let  $\mathbb{G}$  be a finite cyclic group of order  $n$  and let  $g$  be a generator of  $\mathbb{G}$ . The decisional Diffie–Hellman (DDH) problem is to distinguish  $(g^a, g^b, g^{ab})$  from the triple  $(g^a, g^b, g^c)$  for uniformly random values  $a, b, c \in \mathbb{Z}_r$ . If we assume the DDH problem is infeasible to solve in  $\mathbb{G}$ , we call  $\mathbb{G}$  a **DDH-secure** group.

DDH-security is a stronger assumption than DL-security 4.1.1, in the sense that if the DDH problem is infeasible, so is the DLP, but not necessarily the other way around.

To see why this is the case, assume that the discrete logarithm assumption does not hold. In that case, given a generator  $g$  and a group element  $h$ , it is easy to compute some element  $x \in \mathbb{Z}_p$  with  $h = g^x$ . Then the decisional Diffie–Hellman assumption cannot hold, since given some triple  $(g^a, g^b, z)$ , one could efficiently decide whether  $z = g^{ab}$  is true by first computing the discrete logarithm  $b$  of  $g^b$ , then computing  $g^{ab} = (g^a)^b$  and deciding whether or not  $z = g^{ab}$ .

On the other hand, the following example shows that there are groups where the discrete logarithm assumption holds but the decisional Diffie–Hellman assumption does not.

*Example 42* (Efficiently computable bilinear pairings). Let  $\mathbb{G}$  be a DL-secure, finite, cyclic group of order  $r$  with generator  $g$  and  $\mathbb{G}_T$  another group, such that there is an efficiently computable pairing map  $e(\cdot, \cdot) : \mathbb{G} \times \mathbb{G} \rightarrow \mathbb{G}_T$  that is bilinear and non degenerate 4.6.

In a setting like this, it is easy to show that solving DDH cannot be infeasible, since given some triple  $(g^a, g^b, z)$ , it is possible to efficiently check whether  $z = g^{ab}$  by making use of the pairing:

$$e(g^a, g^b) \stackrel{?}{=} e(g, z) \quad (4.11)$$

Since the bilinearity properties of  $e(\cdot, \cdot)$  imply  $e(g^a, g^b) = e(g, g)^{ab} = e(g, g^{ab})$ , and  $e(g, y) = e(g, y')$  implies  $y = y'$  due to the non-degenerate property, the equality means  $z = g^{ab}$ .

It follows that the DDH assumption is indeed stronger than the discrete log assumption, and groups with efficient pairings cannot be DDH-secure groups.

**The computational Diffie–Hellman assumption** Let  $\mathbb{G}$  be a finite cyclic group of order  $n$  and let  $g$  be a generator of  $\mathbb{G}$ . The computational Diffie–Hellman assumption stipulates that, given randomly and independently chosen elements  $a, b \in \mathbb{Z}_r$ , it is not possible to compute  $g^{ab}$  if only  $g, g^a$  and  $g^b$  (but not  $a$  and  $b$ ) are known. If this is the case for  $\mathbb{G}$ , we call  $\mathbb{G}$  a **CDH-secure** group.

In general, we don't know if CDH-security is a stronger assumption than DL-security, or if both assumptions are equivalent. We know that DL-security is necessary for CDH-security, but the other direction is currently not well understood. In particular, there are no DL-security groups known that are not also CDH-secure

To see why the discrete logarithm assumption is necessary, assume that it does not hold. So, given a generator  $g$  and a group element  $h$ , it is easy to compute some element  $x \in \mathbb{Z}_p$  with  $h = g^x$ . In that case, the computational Diffie–Hellman assumption cannot hold, since, given  $g, g^a$  and  $g^b$ , one can efficiently compute  $b$  and hence is able to compute  $g^{ab} = (g^a)^b$  from this data.

The computational Diffie–Hellman assumption is a weaker assumption than the decisional Diffie–Hellman assumption. This means that there are groups where CDH holds and DDH does not hold, while there cannot be groups in which DDH holds but CDH does not hold. To see that, assume that it is efficiently possible to compute  $g^{ab}$  from  $g, g^a$  and  $g^b$ . Then, given  $(g^a, g^b, z)$  it is easy to decide whether  $z = g^{ab}$  holds or not.

Several variations and special cases of CDH exist. For example, the **square computational Diffie–Hellman assumption** assumes that, given  $g$  and  $g^x$ , it is computationally hard to compute  $g^{x^2}$ . The **inverse computational Diffie–Hellman assumption** assumes that, given  $g$  and  $g^x$ , it is computationally hard to compute  $g^{x^{-1}}$ .

### 4.1.2 Hashing to Groups

**Hash functions** Generally speaking, a hash function is any function that can be used to map data of arbitrary size to fixed-size values. Since binary strings of arbitrary length are a general way to represent arbitrary data, we can understand a general **hash function** as the following map where  $\{0, 1\}^*$  represents the set of all binary strings of arbitrary but finite length and  $\{0, 1\}^k$  represents the set of all binary strings that have a length of exactly  $k$  bits:

$$H : \{0, 1\}^* \rightarrow \{0, 1\}^k \quad (4.12)$$

In our definition, a hash function maps binary strings of arbitrary size onto binary strings of size exactly  $k$ . The **images** of  $H$ , that is, the values returned by the hash function  $H$ , are called **hash values**, **digests**, or simply **hashes**.

A hash function must be deterministic, that is, when we insert the same input  $x$  into  $H$ , the image  $H(x)$  must always be the same. In addition, a hash function should be as uniform as possible, which means that it should map input values as evenly as possible over its output range. In mathematical terms, every string of length  $k$  from  $\{0, 1\}^k$  should be generated with roughly the same probability.

*Example 43 ( $k$ -truncation hash).* One of the most basic hash functions  $H_k : \{0, 1\}^* \rightarrow \{0, 1\}^k$  is given by simply truncating every binary string  $s$  of size  $s.len() > k$  to a string of size  $k$  and by filling any string  $s'$  of size  $s'.len() < k$  with zeros. To make this hash function deterministic, we define that both truncation and filling should happen “on the left”.

For example, if  $k = 3$ ,  $x_1 = (0000101011101010011101010101)$  and  $x_2 = 1$ , then  $H(x_1) = (101)$  and  $H(x_2) = (001)$ . It is easy to see that this hash function is deterministic and uniform.

Of particular interest are so-called **cryptographic** hash functions, which are hash functions that are also **one-way functions**, which essentially means that, given a string  $y$  from  $\{0, 1\}^k$  it is practically infeasible to find a string  $x \in \{0, 1\}^*$  such that  $H(x) = y$  holds. This property is usually called **preimage-resistance**.

In addition, it should be infeasible to find two strings  $x_1, x_2 \in \{0, 1\}^*$ , such that  $H(x_1) = H(x_2)$ , which is called **collision resistance**. It is important to note, though, that collisions always exist, since a function  $H : \{0, 1\}^* \rightarrow \{0, 1\}^k$  inevitably maps infinitely many values onto the same hash. In fact, for any hash function with digests of length  $k$ , finding a preimage to a given digest can always be done using a brute force search in  $2^k$  evaluation steps. It should just

be practically impossible to compute those values, and statistically very unlikely to generate two of them by chance.

A third property of a cryptographic hash function is that small changes in the input string, like changing a single bit, should generate hash values that look completely different from each other.

Because cryptographically secure hash functions map tiny changes in input values onto large changes in the output, implementation errors that change the outcome are usually easy to spot by comparing them to expected output values. The definitions of cryptographically secure hash functions are therefore usually accompanied by some test vectors of common inputs and expected digests. Since the empty string  $''$  is the only string of length 0, a common test vector is the expected digest of the empty string.

*Example 44* ( $k$ -truncation hash). Consider the  $k$ -truncation hash from example 43. Since the empty string has length 0, it follows that the digest of the empty string is string of length  $k$  that only contains 0's:

$$H_k('') = (000 \dots 000) \quad (4.13)$$

It is pretty obvious from the definition of  $H_k$  that this simple hash function is not a cryptographic hash function. In particular, every digest is its own preimage, since  $H_k(y) = y$  for every string of size exactly  $k$ . Finding preimages is therefore easy, so the property of preimage resistance does not hold.

In addition, it is easy to construct collisions as all strings of size  $> k$  that share the same  $k$ -bits "on the right" are mapped to the same hash value, so this function is not collision resistant, either.

Finally, this hash function is not very chaotic, as changing bits that are not part of the  $k$  right-most bits don't change the digest at all.

Computing cryptographically secure hash functions in pen-and-paper style is possible but tedious. Fortunately, Sage can import the **hashlib** library, which is intended to provide a reliable and stable base for writing Python programs that require cryptographic functions. The following examples explain how to use hashlib in Sage.

*Example 45.* An example of a hash function that is generally believed to be a cryptographically secure hash function is the so-called **SHA256** hash, which, in our notation, is a function that maps binary strings of arbitrary length onto binary strings of length 256:

$$SHA256 : \{0, 1\}^* \rightarrow \{0, 1\}^{256} \quad (4.14)$$

To evaluate a proper implementation of the *SHA256* hash function, the digest of the empty string is supposed to be

$$SHA256('') = e3b0c44298fc1c149afb4c8996fb92427ae41e4649b934ca495991b7852b855 \quad (4.15)$$

For better human readability, it is common practice to represent the digest of a string not in its binary form, but in a hexadecimal representation. We can use Sage to compute *SHA256* and freely transit between binary, hexadecimal and decimal representations. To do so, we import hashlib's implementation of *SHA256*:

```
sage: import hashlib
sage: test = 'e3b0c44298fc1c149afb4c8996fb92427ae41e4649b934
ca495991b7852b855'
sage: hasher = hashlib.sha256(b'')
```

Is there  
a term  
for this  
property?

```

1984 sage: str = hasher.hexdigest() 162
1985 sage: type(str) 163
1986 <class 'str'> 164
1987 sage: d = ZZ('0x' + str) # conversion to integer type 165
1988 sage: d.str(16) == str 166
1989 True 167
1990 sage: d.str(16) == test 168
1991 True 169
1992 sage: d.str(16) 170
1993 e3b0c44298fc1c149afb4c8996fb92427ae41e4649b934ca495991b7852b8 171
1994 55
1995 sage: d.str(2) 172
1996 11100011101100001100010001000010100110001111110000011100000101 173
1997 001001101011111011111010011001000100110010110111101110010
1998 01001000010011110101110010000011110010001100100100110111001
1999 00110100110010100100100101011001100100011011011110000101001
2000 01011100001010101
2001 sage: d.str(10) 174
2002 10298733624955409702953521232258132278979990064819803499337939 175
2003 7001115665086549

```

**Hashing to cyclic groups** As we have seen in the previous paragraph, general hash functions map binary strings of arbitrary length onto binary strings of length  $k$ . However, it is desirable in various cryptographic primitives to not simply hash to binary strings of fixed length but to hash into algebraic structures like groups, while keeping (some of) the properties like preimage resistance or collision resistance.

Hash functions like this can be defined for various algebraic structures, but, in a sense, the most fundamental ones are hash functions that map into groups, because they can be easily extended to map into other structures like rings or fields.

To give a more precise definition, let  $\mathbb{G}$  be a group and  $\{0, 1\}^*$  the set of all finite, binary strings, then a **hash-to-group** function is a deterministic map

$$H : \{0, 1\}^* \rightarrow \mathbb{G} \quad (4.16)$$

Common properties of hash functions, like uniformity, are desirable but not always realized in real-world instantiations of hash-to-group functions, so we skip those requirements for now and keep the definition very general.

As the following example shows, hashing to finite cyclic groups can be trivially achieved for the price of some undesirable properties of the hash function:

*Example 46* (Naive cyclic group hash). Let  $\mathbb{G}$  be a finite cyclic group. If the task is to implement a hash-to-group function, one immediate approach can be based on the observation that binary strings of size  $k$  can be interpreted as integers  $z \in \mathbb{Z}$  in the range  $0 \leq z < 2^k$ .

To be more precise, choose an ordinary hash function  $H : \{0, 1\}^* \rightarrow \{0, 1\}^k$  for some parameter  $k$  and a generator  $g$  of  $\mathbb{G}$ . Then the expression below is a positive integer (where  $H(s)_j$  means the bit at the  $j$ -th position of  $H(s)$ ):

$$z_{H(s)} = H(s)_0 \cdot 2^0 + H(s)_1 \cdot 2^1 + \dots + H(s)_k \cdot 2^k \quad (4.17)$$



2025 A hash-to-group function for the group  $\mathbb{G}$  can then be defined as a concatenation of the  
 2026 exponential map  $g^{(\cdot)}$  of  $g$  with the interpretation of  $H(s)$  as an integer:

$$H_g : \{0, 1\}^* \rightarrow \mathbb{G} : s \mapsto g^{z_{H(s)}} \quad (4.18)$$

2027 Constructing a hash-to-group function like this is easy for cyclic groups, and it might be  
 2028 good enough in certain applications. It is, however, almost never adequate in cryptographic  
 2029 applications, as discrete log relations might be constructible between two given hash values  
 2030  $H_g(s)$  and  $H_g(t)$ .

a few ex-  
amples?

To see that, assume that  $\mathbb{G}$  is of order  $r$  and that  $z_{H(s)}$  has a multiplicative inverse in modular  
 $r$  arithmetics. In that case, we can compute  $x = z_{H(t)} \cdot z_{H(s)}^{-1}$  in  $\mathbb{Z}_r$  and find a discrete log relation  
 between the group hash values, that is, find some  $x$  with  $H_g(t) = (H_g(s))^x$ :

$$\begin{aligned} H_g(t) &= (H_g(s))^x && \Leftrightarrow \\ g^{z_{H(t)}} &= g^{z_{H(s)} \cdot x} && \Leftrightarrow \\ g^{z_{H(t)}} &= g^{z_{H(t)}} \end{aligned}$$

2031 Therefore applications where discrete log relations between hash values are undesirable  
 2032 need different approaches. Many of these approaches start with a way to hash into the set  $\mathbb{Z}_r$  of  
 2033 modular  $r$  arithmetics.

2034 **Hashing to modular arithmetics** One of the most widely used applications of hash-into-  
 2035 group functions are hash functions that map into the set  $\mathbb{Z}_r$  of modular  $r$  arithmetics for some  
 2036 modulus  $r$ . Different approaches to construct such a function are known, but probably the most  
 2037 widely used ones are based on the insight that the images of arbitrary hash functions can be  
 2038 interpreted as binary representations of integers, as explained in example 46.

check  
reference

2039 It follows from this interpretation that one simple method of hashing into  $\mathbb{Z}_r$  is constructed  
 2040 by observing that if  $r$  is a modulus with a bit-length of  $k = r.\text{nbits}()$ , then every binary string  
 2041  $(b_0, b_1, \dots, b_{k-2})$  of length  $k - 1$  defines an integer  $z$  in the range  $0 \leq z < 2^{k-1} \leq r$ , by defining  $z$ :

$$z = b_0 \cdot 2^0 + b_1 \cdot 2^1 + \dots + b_{k-2} \cdot 2^{k-2} \quad (4.19)$$

2042 Now, since  $z < r$ , we know that  $z$  is guaranteed to be in the set  $\{0, 1, \dots, r-1\}$ , and hence it can  
 2043 be interpreted as an element of  $\mathbb{Z}_r$ . From this it follows that if  $H : \{0, 1\}^* \rightarrow \{0, 1\}^{k-1}$  is a hash  
 2044 function, then a hash-to-group function can be constructed as follows (where  $H(s)_j$  means the  
 2045  $j$ -th bit of the image binary string  $H(s)$  of the original binary hash function):

$$H_{r.\text{nbits}()-1} : \{0, 1\}^* \rightarrow \mathbb{Z}_r : s \mapsto H(s)_0 \cdot 2^0 + H(s)_1 \cdot 2^1 + \dots + H(s)_{k-2} \cdot 2^{k-2} \quad (4.20)$$

2046 A drawback of this hash function is that the distribution of the hash values in  $\mathbb{Z}_r$  is not  
 2047 necessarily uniform. In fact, if  $r - 2^{k-1} \neq 0$ , then by design  $H_{r.\text{nbits}()-1}$  will never hash onto  
 2048 values  $z \geq 2^{k-1}$ . Good moduli  $r$  are therefore as close to  $2^{k-1}$  as possible, while less good  
 2049 moduli are closer to  $2^k$ . In the worst case, when  $r = 2^k - 1$ , it misses  $2^{k-1} - 1$ , that is, almost  
 2050 half of all elements, from  $\mathbb{Z}_r$ .

2051 An advantage of this approach is that properties like preimage resistance or collision resis-  
 2052 tance of the original hash function  $H(\cdot)$  are preserved.

*Example 47.* To give an implementation of the  $H_{r.\text{nbits}()-1}$  hash function, we use a 5-bit trunca-  
 tion of the *SHA256* hash from example 45 and define a hash into  $\mathbb{Z}_{16}$  as follows:

$$H_{16.\text{nbits}()-1} : \{0, 1\}^* \rightarrow \mathbb{Z}_{16} : s \mapsto \text{SHA256}(s)_0 \cdot 2^0 + \text{SHA256}(s)_1 \cdot 2^1 + \dots + \text{SHA256}(s)_4 \cdot 2^4$$

TODO:  
DOUBLE  
CHECK  
THIS  
REA-  
SONING.

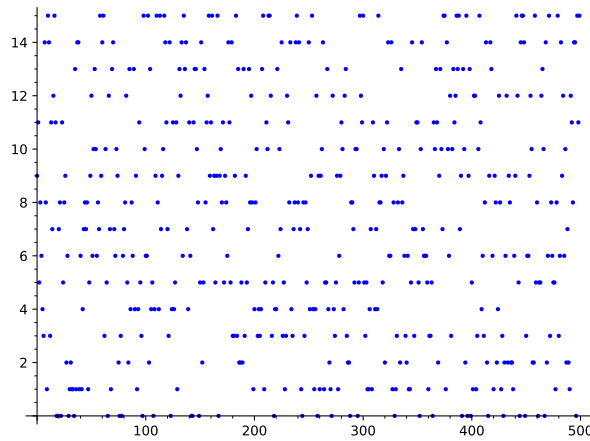
2053 Since  $k = 16.nbits() = 5$  and  $16 - 2^{k-1} = 0$ , this hash maps uniformly onto  $\mathbb{Z}_{16}$ . We can invoke  
 2054 Sage to implement it:

```

2055 sage: import hashlib                                176
2056 sage: def Hash5(x):                                  177
2057     ....:     hasher = hashlib.sha256(x)             178
2058     ....:     digest = hasher.hexdigest()           179
2059     ....:     d = ZZ(digest, base=16)               180
2060     ....:     d = d.str(2)[-4:]                     181
2061     ....:     return ZZ(d, base=2)                  182
2062 sage: Hash5(b' ')                                    183
2063 5                                                    184

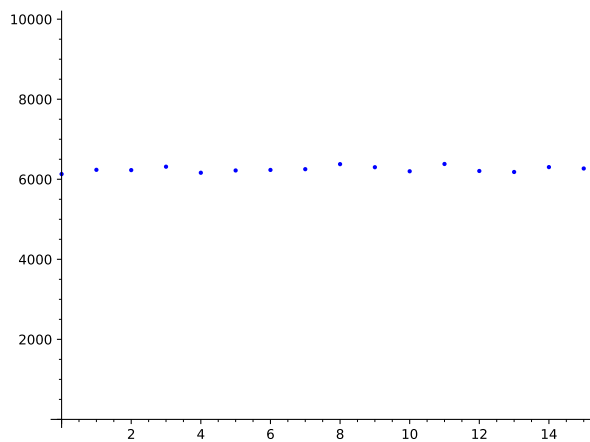
```

2064 We can then use Sage to apply this function to a large set of input values in order to plot a  
 2065 visualization of the distribution over the set  $\{0, \dots, 15\}$ . Executing over 500 input values gives  
 2066 the following plot:



2067

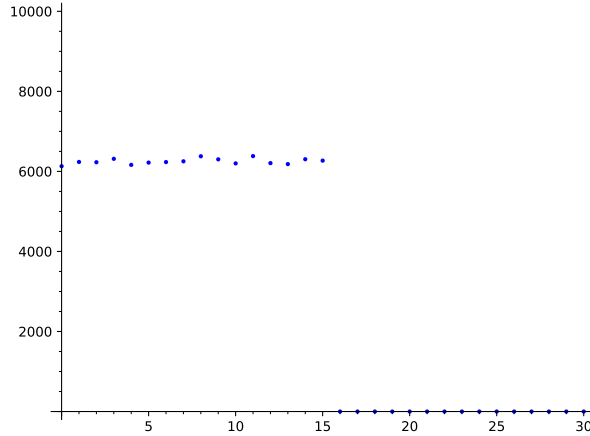
2068 To get an intuition of uniformity, we can count the number of times the hash function  $H_{16.nbits()-1}$   
 2069 maps onto each number in the set  $\{0, 1, \dots, 15\}$  in a loop of 100000 hashes, and compare that  
 2070 to the ideal uniform distribution, which would map exactly 6250 samples to each element. This  
 2071 gives the following result:



2072

2073 The uniformity of distribution problem becomes apparent if we want to construct a similar hash  
 2074 function for  $\mathbb{Z}_r$  for any  $r$  in the range  $17 \leq r \leq 31$ . In this case, the definition of the hash  
 2075 function is exactly the same as for  $\mathbb{Z}_{16}$ , and hence, the images will not exceed the value 16.

2076 So, for example, even in the case of hashing to  $\mathbb{Z}_{31}$ , the hash function never maps to any value  
 2077 larger than 16, leaving almost half of all numbers out of the image range.



2078  
 2079

2080 The second widely used method of hashing into  $\mathbb{Z}_r$  is constructed by observing the follow-  
 2081 ing: If  $r$  is a modulus with a bit-length of  $r.bits() = k_1$  and  $H : \{0, 1\}^* \rightarrow \{0, 1\}^{k_2}$  is a hash  
 2082 function that produces digests of size  $k_2$ , with  $k_2 \geq k_1$ , then a hash-to-group function can be  
 2083 constructed by interpreting the image of  $H$  as a binary representation of an integer and then  
 2084 taking the modulus by  $r$  to map into  $\mathbb{Z}_r$ . This is formalized in the equation below, where  $H(s)_j$   
 2085 means the  $j$ 'th bit of the image binary string  $H(s)$  of the original binary hash function.

$$H'_{mod_r} : \{0, 1\}^* \rightarrow \mathbb{Z}_r : s \mapsto \left( H(s)_0 \cdot 2^0 + H(s)_1 \cdot 2^1 + \dots + H(s)_{k_2} \cdot 2^{k_2} \right) \bmod r \quad (4.21)$$

2086 A drawback of this hash function is that computing the modulus requires some computa-  
 2087 tional effort. In addition, the distribution of the hash values in  $\mathbb{Z}_r$  might not be even, depending  
 2088 on the difference  $2^{k_2+1} - r$ . An advantage of it is that potential properties of the original hash  
 2089 function  $H(\cdot)$  (like preimage resistance or collision resistance) are preserved, and the distribu-  
 2090 tion can be made almost uniform, with only negligible bias depending on what modulus  $r$  and  
 2091 images size  $k_2$  are chosen.

*Example 48.* To give an implementation of the  $H_{mod_r}$  hash function, we use  $k_2$ -bit truncation of the *SHA256* hash from example 45, and define a hash into  $\mathbb{Z}_{23}$  as follows:

$$H_{mod_{23}, k_2} : \{0, 1\}^* \rightarrow \mathbb{Z}_{23} : \\ s \mapsto \left( SHA256(s)_0 \cdot 2^0 + SHA256(s)_1 \cdot 2^1 + \dots + SHA256(s)_{k_2} \cdot 2^{k_2} \right) \bmod 23$$

2092 We want to use various instantiations of  $k_2$  to visualize the impact of truncation length on the  
 2093 distribution of the hashes in  $\mathbb{Z}_{23}$ . We can invoke Sage to implement it as follows:

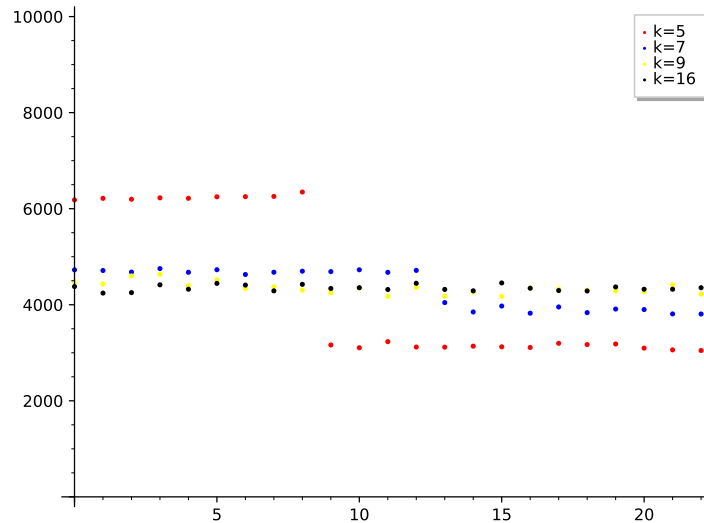
```

2094 sage: import hashlib                                     185
2095 sage: Z23 = Integers(23)                                 186
2096 sage: def Hash_mod23(x, k2):                             187
2097     ....:     hasher = hashlib.sha256(x.encode('utf-8')) 188
2098     ....:     digest = hasher.hexdigest()                 189
2099     ....:     d = ZZ(digest, base=16)                     190
2100     ....:     d = d.str(2)[-k2:]                          191
2101     ....:     d = ZZ(d, base=2)                           192
2102     ....:     return Z23(d)                               193

```

Mirco:  
 We can  
 do better  
 than this

We can then use Sage to apply this function to a large set of input values in order to plot visualizations of the distribution over the set  $\{0, \dots, 22\}$  for various values of  $k_2$ , by counting the number of times it maps onto each number in a loop of 100000 hashes. We get the following plot:



A third method that can sometimes be found in implementations is the so-called “**try-and-increment**” method. To understand this method, we define an integer  $z \in \mathbb{Z}$  from any hash value  $H(s)$  as we did in the previous methods, that is, we define  $z = H(s)_0 \cdot 2^0 + H(s)_1 \cdot 2^1 + \dots + H(s)_{k-1} \cdot 2^k$ .

Hashing into  $\mathbb{Z}_r$  is then achievable by first computing  $z$ , and then trying to see if  $z \in \mathbb{Z}_r$ . If it is, then the hash is done; if not, the string  $s$  is modified in a deterministic way and the process is repeated until a suitable number  $z$  is found. A suitable, deterministic modification could be to concatenate the original string by some bit counter. A “try-and-increment” algorithm would then work like in algorithm 6.

check  
reference

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**Algorithm 6** Hash-to- $\mathbb{Z}_n$ 


---

**Require:**  $r \in \mathbb{Z}$  with  $r.\text{nbits}() = k$  and  $s \in \{0, 1\}^*$

**procedure** TRY-AND-INCREMENT( $r, k, s$ )

$c \leftarrow 0$

**repeat**

$s' \leftarrow s || c\_bits()$

$z \leftarrow H(s')_0 \cdot 2^0 + H(s')_1 \cdot 2^1 + \dots + H(s')_k \cdot 2^k$

$c \leftarrow c + 1$

**until**  $z < r$

**return**  $x$

**end procedure**

**Ensure:**  $z \in \mathbb{Z}_r$

---

Depending on the parameters, this method can be very efficient. In fact, if  $k$  is sufficiently large and  $r$  is close to  $2^{k+1}$ , the probability for  $z < r$  is very high and the repeat loop will almost always be executed a single time only. A drawback is, however, that the probability of having to execute the loop multiple times is not zero.

Once some hash function into modular arithmetics is found, it can often be combined with additional techniques to hash into more general finite cyclic groups. The following paragraphs describe a few of those methods widely adopted in SNARK development.

**Pedersen Hashes** The so-called **Pedersen hash function** [?] provides a way to map binary inputs of fixed size  $k$  onto elements of finite cyclic groups that avoids discrete log relations between the images as they occur in the naive approach XXX. Combining it with a classical hash function provides a hash function that maps strings of arbitrary length onto group elements.

add reference

To be more precise, let  $j$  be an integer,  $\mathbb{G}$  a finite cyclic group of order  $r$  and  $\{g_1, \dots, g_j\} \subset \mathbb{G}$  a uniform randomly generated set of generators of  $\mathbb{G}$ . Then **Pedersen's hash function** is defined as follows:

$$H_{Ped} : (\mathbb{Z}_r)^j \rightarrow \mathbb{G} : (x_1, \dots, x_j) \mapsto \prod_{i=1}^j g_i^{x_i} \quad (4.22)$$

It can be shown that Pedersen's hash function is collision-resistant under the assumption that  $\mathbb{G}$  is a DL-A group. However, it is important to note that Pedersen hashes cannot be assumed to be **pseudorandom** and should therefore not be used where a hash function serves as an approximation of a random **oracle**. **will these be explained in the initial chapters?**

pseudorandom

From an implementation perspective, it is important to derive the set of generators  $\{g_1, \dots, g_j\}$  in such a way that they are as uniform and random as possible. In particular, any known discrete log relation between two generators, that is, any known  $x \in \mathbb{Z}_r$  with  $g_h = (g_i)^x$  must be avoided.

oracle

To see how Pedersen hashes can be used to define an actual hash-to-group function according to our definition, we can use any of the hash-to- $\mathbb{Z}_r$  functions as we have derived them in equation 4.20.

check reference

**MimC Hashes** [?]

**Pseudorandom Functions in DDH-A groups** As noted in above, Pederson's hash function does not have the properties a random function and should therefore not be instantiated as such. To see an example of a random oracle function in groups where the decisional Diffie–Hellman construction is assumed to hold true, let  $\mathbb{G}$  be a DDH-A group of order  $r$  with generator  $g$  and  $\{a_0, a_1, \dots, a_k\} \subset \mathbb{Z}_r^*$  a uniform randomly generated set of numbers invertible in modular  $r$  arithmetics. Then a pseudo-random function is given by the as follows:

$$F_{rand} : \{0, 1\}^{k+1} \rightarrow \mathbb{G} : (b_0, \dots, b_k) \mapsto g^{b_0 \cdot \prod_{i=1}^k a_i^{b_i}} \quad (4.23)$$

Of course, if  $H : \{0, 1\}^* \rightarrow \{0, 1\}^{k+1}$  is a random oracle, then the concatenation of  $F_{rand}$  and  $H$  also defines a random oracle

$$H_{rand, \mathbb{G}} : \{0, 1\}^* \rightarrow \mathbb{G} : s \mapsto F_{rand}(H(s)) \quad (4.24)$$

## 4.2 Commutative Rings

In the previous section we have seen that integers are a commutative group with respect to integer addition, but as we know there are in fact two arithmetic operations defined on integers: addition and multiplication. However, in contrast to addition, multiplication does not define a group structure, given that integers generally don't have multiplicative inverses. Configurations like these constitute so-called **commutative rings with unit** and the following definition will make the structure explicit:

**Definition 4.2.0.1** (Commutative ring with unit). A **commutative ring with unit**  $(R, +, \cdot, 1)$  is a set  $R$  provided with two maps  $+: R \times R \rightarrow R$  and  $\cdot: R \times R \rightarrow R$ , called **addition** and **multiplication** and an element  $1 \in R$ , called the **unit**, such that the following conditions hold:

- $(R, +)$  is a commutative group, where the neutral element is denoted with 0.

- **Commutativity of multiplication:**  $r_1 \cdot r_2 = r_2 \cdot r_1$  for all  $r_1, r_2 \in R$ .
- **Multiplicative neutral unit :**  $1 \cdot g = g$  for all  $g \in R$ .
- **Associativity:** For every  $g_1, g_2, g_3 \in \mathbb{G}$  the equation  $g_1 \cdot (g_2 \cdot g_3) = (g_1 \cdot g_2) \cdot g_3$  holds.
- **Distributivity:** For all  $g_1, g_2, g_3 \in R$  the distributive law  $g_1 \cdot (g_2 + g_3) = g_1 \cdot g_2 + g_1 \cdot g_3$  holds.

If  $(R, +, \cdot, 1)$  is a commutative ring with unit and  $R' \subset R$  is a subset of  $R$ , such that the restriction of addition and multiplication to  $R'$  define a commutative ring with addition  $+: R' \times R' \rightarrow R'$ , multiplication  $\cdot: R' \times R' \rightarrow R'$  and unit 1 on  $R'$ , then  $(R', +, \cdot, 1)$  is called a **subring** of  $(R, +, \cdot, 1)$ .

*Notation and Symbols 6.* Since we are exclusively concerned with commutative rings in this book, we often just call them rings, keeping the notation of commutativity implicit. A set  $R$  with two maps  $+$  and  $\cdot$  that satisfies all previously mentioned rules, except for the commutativity law of the multiplication is called a non-commutative ring.

If there is no risk of ambiguity (about what the addition and multiplication maps of a ring are), we frequently drop the symbols  $+$  and  $\cdot$  and simply write  $R$  as notation for the ring, keeping those maps implicit. In this case we also say that  $R$  is of ring type, indicating that  $R$  is not simply a set but a set together with an addition and a multiplication map.

*Example 49* (The ring of integers). The set  $\mathbb{Z}$  of integers with the usual addition and multiplication is the archetypical example of a commutative ring with unit 1.

**sage: ZZ**

194

**Integer Ring**

195

*Example 50* (Underlying commutative group of a ring). Every commutative ring with unit  $(R, +, \cdot, 1)$  gives rise to a group, if we disregard multiplication.

The following example is somewhat unusual, but we encourage you to think through it because it helps to detach the mind from familiar styles of computation and concentrate on the abstract algebraic explanation.

*Example 51.* Let  $S := \{\bullet, \star, \odot, \otimes\}$  be a set that contains four elements, and let addition and multiplication on  $S$  be defined as follows:

$\cup$	$\bullet$	$\star$	$\odot$	$\otimes$		$\circ$	$\bullet$	$\star$	$\odot$	$\otimes$
$\bullet$	$\bullet$	$\star$	$\odot$	$\otimes$		$\bullet$	$\bullet$	$\bullet$	$\bullet$	$\bullet$
$\star$	$\star$	$\odot$	$\otimes$	$\bullet$		$\star$	$\bullet$	$\star$	$\odot$	$\otimes$
$\odot$	$\odot$	$\otimes$	$\bullet$	$\star$		$\odot$	$\bullet$	$\odot$	$\bullet$	$\odot$
$\otimes$	$\otimes$	$\bullet$	$\star$	$\odot$		$\otimes$	$\bullet$	$\otimes$	$\odot$	$\star$

Then  $(S, \cup, \circ, \star)$  is a ring with unit  $\star$  and zero  $\bullet$ . It therefore makes sense to ask for solutions to equations like this one: Find  $x \in S$  such that

$$\otimes \circ (x \cup \odot) = \star$$

To see how such a “moonmath equation” can be solved, we have to keep in mind that rings behaves mostly like normal numbers when it comes to bracketing and computation rules. The

only differences are the symbols, and the actual way to add and multiply them. With this in mind, we solve the equation for  $x$  in the “usual way”<sup>1</sup>:

$$\begin{array}{ll}
 \otimes \circ (x \cup \odot) = \star & \# \text{ apply the distributive law} \\
 \otimes \circ x \cup \otimes \circ \odot = \star & \# \otimes \circ \odot = \odot \\
 \otimes \circ x \cup \odot = \star & \# \text{ concatenate the } \cup \text{ inverse of } \odot \text{ to both sides} \\
 \otimes \circ x \cup \odot \cup -\odot = \star \cup -\odot & \# \odot \cup -\odot = \bullet \\
 \otimes \circ x \cup \bullet = \star \cup -\odot & \# \bullet \text{ is the } \cup \text{ neutral element} \\
 \otimes \circ x = \star \cup -\odot & \# \text{ for } \cup \text{ we have } -\odot = \odot \\
 \otimes \circ x = \star \cup \odot & \# \star \cup \odot = \otimes \\
 \otimes \circ x = \otimes & \# \text{ concatenate the } \circ \text{ inverse of } \otimes \text{ to both sides} \\
 (\otimes)^{-1} \circ \otimes \circ x = (\otimes)^{-1} \circ \otimes & \# \text{ multiply with the multiplicative inverse} \\
 \star \circ x = \star & \\
 x = \star & 
 \end{array}$$

2189 So, even though this equation looked really alien at first glance, we could solve it basically  
 2190 exactly the way we solve “normal” equations containing numbers.

2191 Note, however, that whenever a multiplicative inverse would be needed to solve an equation  
 2192 in the usual way in a ring, things can be very different than most of us are used to. For example,  
 2193 the following equation cannot be solved for  $x$  in the usual way, since there is no multiplicative  
 2194 inverse for  $\odot$  in our ring.

$$\odot \circ x = \otimes \quad (4.25)$$

2195 We can confirm this by looking at the multiplication table to see that no such  $x$  exists.

2196 As another example, the following equation does not have a single solution but two:  $x \in$   
 2197  $\{\star, \otimes\}$ .

$$\odot \circ x = \odot \quad (4.26)$$

2198 Having no solution or two solutions is certainly not something to expect from types like the  
 2199 rational numbers  $\mathbb{Q}$ .

2200 *Example 52* (Ring of Polynomials). Considering the definition of polynomials from 3.4 again,  
 2201 we notice that what we have informally called the type  $R$  of the coefficients must in fact be a  
 2202 commutative ring with a unit, since we need addition, multiplication, commutativity and the  
 2203 existence of a unit for  $R[x]$  to have the properties we expect.

2204 In fact if we consider  $R$  to be a ring and we define addition and multiplication of polyno-  
 2205 mials as in 3.24, the set  $R[x]$  is a commutative ring with a unit, where the polynomial 1 is the  
 2206 multiplicative unit. We call this ring the **ring of polynomials with coefficients in  $R$** .

2207 **sage: ZZ['x']**

196

2208 **Univariate Polynomial Ring in x over Integer Ring**

197

2209 *Example 53* (Ring of modular  $n$  arithmetic). Let  $n$  be a modulus and  $(\mathbb{Z}_n, +, \cdot)$  the set of all re-  
 2210 mainder classes of integers modulo  $n$ , with the projection of integer addition and multiplication  
 2211 as defined in 3.3. Then  $(\mathbb{Z}_n, +, \cdot)$  is a commutative ring with unit 1.

<sup>1</sup>Note that there are more efficient ways to solve this equation. The point of our computation is to show how the axioms of a ring can be used to solve the equation



2212 **sage: Integers(6)**

198

2213 **Ring of integers modulo 6**

199

2214 *Example 54* (Binary Representations in Modular Arithmetic). TODO (Non unique)

2215 *Example 55* (Polynomial evaluation in the exponent of group generators). As we show in 6.2.3,  
2216 a key insights in many zero knowledge protocols is the ability to encode computations as poly-  
2217 nomials and then to hide the information of that computation by evaluating the polynomial "in  
2218 the exponent" of certain cryptographic groups 8.2.

To understand the underlying principle of this idea, consider the exponential map 44 again. If  $\mathbb{G}$  is a finite cyclic group of order  $n$  with generator  $g \in \mathbb{G}$ , then the ring structure of  $(\mathbb{Z}_n, +, \cdot)$  corresponds to the group structure of  $\mathbb{G}$  in the following way:

$$g^{x+y} = g^x \cdot g^y \quad g^{x \cdot y} = (g^x)^y \quad \text{for all } x, y \in \mathbb{Z}_n \quad (4.27)$$

This correspondence allows polynomials with coefficients in  $\mathbb{Z}_n$  to be evaluated "in the exponent" of a group generator. To see what this means, let  $p \in \mathbb{Z}_n[x]$  be a polynomial with  $p(x) = a_m \cdot x^m + a_{m-1}x^{m-1} + \dots + a_1x + a_0$  and let  $s \in \mathbb{Z}_n$  be an evaluation point. Then the previously defined exponential laws 4.27 imply the following identity:

$$\begin{aligned} g^{p(s)} &= g^{a_m \cdot s^m + a_{m-1}s^{m-1} + \dots + a_1s + a_0} \\ &= \left(g^{s^m}\right)^{a_m} \cdot \left(g^{s^{m-1}}\right)^{a_{m-1}} \cdot \dots \cdot (g^s)^{a_1} \cdot g^{a_0} \end{aligned} \quad (4.28)$$

2219 Utilizing these identities, it is possible to evaluate any polynomial  $p$  of degree  $\deg(p) \leq m$  at a  
2220 "secret" evaluation point  $s$  in the exponent of  $g$  without any knowledge about  $s$ , assuming that  
2221  $\mathbb{G}$  is a DL-group. To see this assume that the set  $\{g, g^s, g^{s^2}, \dots, g^{s^m}\}$  is given, but  $s$  is unknown.  
2222 Then  $g^{p(s)}$  can be computed using 4.28, however it is not feasible to compute  $s$ .

*Example 56.* To give an example of the evaluation of a polynomial in the exponent of a finite cyclic group, consider the exponential map from example 36:

$$3^{(\cdot)} : \mathbb{Z}_4 \rightarrow \mathbb{Z}_5^* \quad x \mapsto 3^x$$

Choosing the polynomial  $p(x) = 2x^2 + 3x + 1$  from  $\mathbb{Z}_4[x]$ , we first evaluate the polynomial at the point  $s = 2$  and then write the result into the exponent 3 as follows:

$$\begin{aligned} 3^{p(2)} &= 3^{2 \cdot 2^2 + 3 \cdot 2 + 1} \\ &= 3^{2 \cdot 0 + 2 + 1} \\ &= 3^3 \\ &= 2 \end{aligned}$$

This was possible, because we had access to the evaluation point 2. On the other hand, if we only had access to the set  $\{3, 4, 1\}$  and we knew that this set represents the set  $\{3, 3^s, 3^{s^2}\}$  for some secret value  $s$ , we could evaluate  $p$  at the point  $s$  in the exponent of 3 as

$$\begin{aligned} 3^{p(s)} &= 1^2 \cdot 4^3 \cdot 3^1 \\ &= 1 \cdot 4 \cdot 3 \\ &= 2 \end{aligned}$$

2223 Both computations agree, since the secret point  $s$  was equal to 2 in this example. However the  
2224 second evaluation was possible without any knowledge about  $s$ .



**Hashing to Commutative Rings** As we have seen in XXX, various constructions for hashing-to-groups are known and used in applications. As commutative rings are **Abelian groups**, when we disregard the multiplicative structure, hash-to-group constructions can be applied for hashing into commutative rings, too. This is possible in general, as the **codomain** of a general hash function  $\{0, 1\}^*$  is just the set of binary strings of arbitrary but finite length, which has no algebraic structure that the hash function must respect.

add reference

codomain groups

## 4.3 Fields

We started this chapter with the definition of a group 4.1, which we then expanded into the definition of a commutative ring with a unit 4.2. Such rings generalize the behavior of integers. In this section, we will look at those special cases of commutative rings where every element other than the neutral element of addition has a multiplicative inverse. Those structures behave very much like the rational numbers  $\mathbb{Q}$ . Rational numbers are, in a sense, an extension of the ring of integers, that is, they are constructed by including newly defined multiplicative inverses (fractions) to the integers. The following definition makes the definition of a field precise:

**Definition 4.3.0.1 (Field).** A **field**  $(\mathbb{F}, +, \cdot)$  is a set  $\mathbb{F}$  provided with two maps  $+: \mathbb{F} \times \mathbb{F} \rightarrow \mathbb{F}$  and  $\cdot: \mathbb{F} \times \mathbb{F} \rightarrow \mathbb{F}$ , called **addition** and **multiplication**, such that the following conditions hold:

- $(\mathbb{F}, +)$  is a commutative group, where the neutral element is denoted by 0.
- $(\mathbb{F} \setminus \{0\}, \cdot)$  is a commutative group, where the neutral element is denoted by 1.
- (Distributivity) The equation  $g_1 \cdot (g_2 + g_3) = g_1 \cdot g_2 + g_1 \cdot g_3$  holds for all  $g_1, g_2, g_3 \in \mathbb{F}$ .

If  $(\mathbb{F}, +, \cdot)$  is a field and  $\mathbb{F}' \subset \mathbb{F}$  is a subset of  $\mathbb{F}$ , such that the restriction of addition and multiplication to  $\mathbb{F}'$  define a field with addition  $+: \mathbb{F}' \times \mathbb{F}' \rightarrow \mathbb{F}'$  and multiplication  $\cdot: \mathbb{F}' \times \mathbb{F}' \rightarrow \mathbb{F}'$  on  $\mathbb{F}'$ , then  $(\mathbb{F}', +, \cdot)$  is called a **subfield** of  $(\mathbb{F}, +, \cdot)$  and  $(\mathbb{F}, +, \cdot)$  is called an **extension field** of  $(\mathbb{F}', +, \cdot)$ .

**Notation and Symbols 7.** If there is no risk of ambiguity (about what the addition and multiplication maps of a field are), we frequently drop the symbols  $+$  and  $\cdot$  and simply write  $\mathbb{F}$  as notation for the field, keeping those maps implicit. In this case we also say that  $\mathbb{F}$  is of field type, indicating that  $\mathbb{F}$  is not simply a set but a set together with an addition and a multiplication map that satisfy the field axioms 4.3.0.1.

We call  $(\mathbb{F}, +)$  the **additive group** of the field, write  $\mathbb{F}^* := \mathbb{F} \setminus \{0\}$  for the set of all elements excluding the neutral element of addition and call the group  $(\mathbb{F}^*, \cdot)$  the **multiplicative group** of the field.

The **characteristic** of a field  $\mathbb{F}$ , represented as  $\text{char}(\mathbb{F})$ , is the smallest natural number  $n \geq 1$  for which the  $n$ -fold sum of the multiplicative neutral element 1 equals zero, i.e. for which  $\sum_{i=1}^n 1 = 0$ . If such an  $n > 0$  exists, the field is also said to have a **finite characteristic**. If, on the other hand, every finite sum of 1 is such that it is not equal to zero, then the field is defined to have characteristic 0. **S: Tried to disambiguate the scope of negation between 1. “It is true of every finite sum of 1 that it is not equal to 0” and 2. “It is not true of every finite sum of 1 that it is equal to 0” From the example below, it looks like 1. is the intended meaning here, correct?**

Check change of wording

**Example 57 (Field of rational numbers).** Probably the best known example of a field is the set of rational numbers  $\mathbb{Q}$  together with the usual definition of addition, subtraction, multiplication and division. Since there is no natural number  $n \in \mathbb{N}$ , such that  $\sum_{j=0}^n 1 = 0$  in the set of rational numbers, the characteristic of the field  $\mathbb{Q}$  is given by  $\text{char}(\mathbb{Q}) = 0$ .

2267 **sage: QQ** 200  
 2268 **Rational Field** 201

2269 *Example 58* (Field with two elements). It can be shown that, in any field, the neutral element  
 2270 of addition 0 must be different from the neutral element of multiplication 1, that is,  $0 \neq 1$   
 2271 always holds in a field. From this, it follows that the smallest field must contain at least two  
 2272 elements. As the following addition and multiplication tables show, there is indeed a field with  
 2273 two elements, which is usually called  $\mathbb{F}_2$ :

2274 Let  $\mathbb{F}_2 := \{0, 1\}$  be a set that contains two elements and let addition and multiplication on  
 2275  $\mathbb{F}_2$  be defined as follows:

2276	$  \begin{array}{c cc}  + & 0 & 1 \\  \hline  0 & 0 & 1 \\  1 & 1 & 0  \end{array}  $	$  \begin{array}{c cc}  \cdot & 0 & 1 \\  \hline  0 & 0 & 0 \\  1 & 0 & 1  \end{array}  $
------	---	---

2277 Since  $1 + 1 = 0$  in the field  $\mathbb{F}_2$ , we know that the characteristic of  $\mathbb{F}_2$  given by  $\text{char}(\mathbb{F}_2) = 2$  and  
 2278 the multiplicative subgroup  $\mathbb{F}_2^*$  of  $\mathbb{F}_2$  is given by the trivial group  $\{1\}$ .

2279 **sage: F2 = GF(2)** 202  
 2280 **sage: F2(1) # Get an element from GF(2)** 203  
 2281 **1** 204  
 2282 **sage: F2(1) + F2(1) # Addition** 205  
 2283 **0** 206  
 2284 **sage: F2(1) / F2(1) # Division** 207  
 2285 **1** 208

2286 *Exercise 43.* Consider the ring of modular 5 arithmetics  $(\mathbb{Z}_5, +, \cdot)$  from example 14. Show that  
 2287  $(\mathbb{Z}_5, +, \cdot)$  is a field. What is the characteristic of  $\mathbb{Z}_5$ ? Proof that the equation  $a \cdot x = b$  has only a  
 2288 single solution  $x \in \mathbb{Z}_5$  for any given  $a, b \in \mathbb{Z}_5^*$ .

2289 *Exercise 44.* Consider the ring of modular 6 arithmetics  $(\mathbb{Z}_6, +, \cdot)$  from example 9. Show that  
 2290  $(\mathbb{Z}_6, +, \cdot)$  is not a field.

### 2291 4.3.1 Prime fields

2292 As we have seen in the various examples of the previous sections, modular arithmetics behaves  
 2293 similarly to the ordinary arithmetics of integers in many ways. This is due to the fact that  
 2294 remainder class sets  $\mathbb{Z}_n$  are commutative rings with units 53.

2295 However, we have also seen in 36 that, whenever the modulus is a prime number, every  
 2296 remainder class other than the zero class has a modular multiplicative inverse. This is an impor-  
 2297 tant observation, since it immediately implies that, in case the modulus is a prime number, the  
 2298 remainder class set  $\mathbb{Z}_n$  is not just a ring but actually a **field**. Moreover, since  $\sum_{j=0}^n 1 = 0$  in  $\mathbb{Z}_n$ ,  
 2299 we know that those fields have the finite characteristic  $n$ .

2300 *Notation and Symbols 8* (Prime Fields). Let  $p \in \mathbb{P}$  be a prime number and  $(\mathbb{Z}_p, +, \cdot)$  the ring  
 2301 of modular  $p$  arithmetics 53. To distinguish prime fields from arbitrary modular arithmetic  
 2302 rings, we write  $(\mathbb{F}_p, +, \cdot)$  for the ring of modular  $p$  arithmetics and call it the **prime field** of  
 2303 characteristic  $p$ .

2304 Prime fields are the foundation for many of the contemporary algebra-based cryptographic  
 2305 systems, as they have some desirable properties. One of them is that any prime field of char-  
 2306 acteristic  $p$  contain exactly  $p$  elements which can be represented on a computer with not more

then  $\log_2(p)$  many bits. On the other hand fields like the rational numbers, require a potentially unbounded amount of bits for any full-precision representation.

Since prime fields are special cases of modular arithmetic rings, addition and multiplication can be computed by first doing normal integer addition and multiplication, and then considering the remainder in Euclidean division by  $p$  as the result. For any prime field element  $x \in \mathbb{F}_p$ , its additive inverse (the negative) is given by  $-x = p - x \bmod p$ . For  $x \neq 0$  the multiplicative inverse always exists and is given by  $x^{-1} = x^{p-2}$ . Division is then defined by multiplication with the multiplicative inverse as explained in 3.3. Alternative the multiplicative inverse can be computed using the Extended Euclidean Algorithm as explained in 3.20.

*Example 59.* The smallest field is the field  $\mathbb{F}_2$  of characteristic 2 as we have seen in example 58. It is the prime field of the prime number 2.

*Example 60.* The field  $\mathbb{F}_5$  from example 14 as defined by its addition and multiplication table is a prime field.

*Example 61.* To summarize the basic aspects of computation in prime fields, let us consider the prime field  $\mathbb{F}_5$  and simplify the following expression:

$$\left(\frac{2}{3} - 2\right) \cdot 2$$

A first thing to note is that since  $\mathbb{F}_5$  is a field, all rules are identical to the rules we learned in school when we where dealing with rational, real or complex numbers. This means we can use e.g. bracketing (distributivity) or addition as usual:

$$\begin{aligned} \left(\frac{2}{3} - 2\right) \cdot 2 &= \frac{2}{3} \cdot 2 - 2 \cdot 2 && \# \text{ distributive law} \\ &= \frac{2 \cdot 2}{3} - 2 \cdot 2 && 4 \bmod 5 = 4 \\ &= \frac{4}{3} - 4 && \# \text{ multiplicative inverse of 3 is } 3^{5-2} \bmod 5 = 2 \\ &= 4 \cdot 2 - 4 && \# \text{ additive inverse of 4 is } 5 - 4 = 1 \\ &= 4 \cdot 2 + 1 && 8 \bmod 5 = 3 \\ &= 3 + 1 && 4 \bmod 5 = 4 \\ &= 4 \end{aligned}$$

In this computation, we computed the multiplicative inverse of 3 using the identity  $x^{-1} = x^{p-2}$  in a prime field. This is impractical for large prime numbers. Recall that another way of computing the multiplicative inverse is the Extended Euclidean Algorithm (see 3.11). To refresh our memory, the algorithm solves the equation  $x^{-1} \cdot 3 + t \cdot 5 = 1$ , for  $x^{-1}$ , even though in this case  $t$  is irrelevant. We get:

k	$r_k$	$x_k^{-1}$	$t_k$
0	3	1	.
1	5	0	.
2	3	1	.
3	2	-1	.
4	1	2	.

So the multiplicative inverse of 3 in  $\mathbb{Z}_5$  is 2, and, indeed, if we compute the product of 3 with its multiplicative inverse 2 we get the neutral element 1 in  $\mathbb{F}_5$ .

2328 *Exercise 45* (Prime field  $\mathbb{F}_3$ ). Construct the addition and multiplication table of the prime field  
2329  $\mathbb{F}_3$ .

2330 *Exercise 46* (Prime field  $\mathbb{F}_{13}$ ). Construct the addition and multiplication table of the prime field  
2331  $\mathbb{F}_{13}$ .

*Exercise 47.* Consider the prime field  $\mathbb{F}_{13}$  from exercise ???. Find the set of all pairs  $(x, y) \in \mathbb{F}_{13} \times \mathbb{F}_{13}$  that satisfy the equation

$$x^2 + y^2 = 1 + 7 \cdot x^2 \cdot y^2$$

2332 **Square Roots** As we know from integer arithmetics some integers like 4 or 9 are squares of  
2333 other integers, as for example  $4 = 2^2$  and  $9 = 3^2$ . However we also know that not all integers  
2334 are squares of other integers, as for example there is no integers  $x \in \mathbb{Z}$  such that  $x^2 = 2$ . If an  
2335 integer  $a$  is square of another integer  $b$ , then it make sense to define the square-root of  $a$  to be  $b$ .

2336 In the context of prime fields an element that is a square of another element is also called a  
2337 **quadratic residue** and an element that is not a square of another element is called a **quadratic**  
2338 **non-residue**. Those notations are of particular importance in our studies on elliptic curves in  
2339 chapter 5, as only square numbers can actually be points on an elliptic curve.

2340 To make the intuition of quadratic residues and their roots precise, let  $p \in \mathbb{P}$  be a prime  
2341 number and  $\mathbb{F}_p$  its associated prime field. Then a number  $x \in \mathbb{F}_p$  is called a **square root** of  
2342 another number  $y \in \mathbb{F}_p$ , if  $x$  is a solution to the following equation:

$$x^2 = y \tag{4.29}$$

2343 In this case,  $y$  is called a **quadratic residue**. On the other hand, if  $y$  is given and the quadratic  
2344 equation has no solution  $x$ , we call  $y$  a **quadratic non-residue**. For any  $y \in \mathbb{F}_p$ , we denote the  
2345 set of all square roots of  $y$  in the prime field  $\mathbb{F}_p$  as follows:

$$\sqrt{y} := \{x \in \mathbb{F}_p \mid x^2 = y\} \tag{4.30}$$

2346 Informally speaking, quadratic residues are numbers such that we can take the square root of  
2347 them, while quadratic non-residues are numbers that don't have square roots. The situation  
2348 therefore parallels the familiar case of integers, where some integers like 4 or 9 have square  
2349 roots and others like 2 or 3 don't (as integers).

2350 If  $y$  is a quadratic non-residue, then  $\sqrt{y} = \emptyset$  (an empty set), and if  $y = 0$ , then  $\sqrt{y} = \{0\}$ .  
2351 Moreover if  $y \neq 0$  is a quadratic residue then it has precisely two roots  $\sqrt{y} = \{x, p - x\}$  for  
2352 some  $x \in \mathbb{F}_p$ . We adopt the convention to call the smaller one (when interpreted as an integer)  
2353 as the **positive** square root and the larger one as the **negative** square root. If  $p \in \mathbb{P}_{\geq 3}$  is an odd  
2354 prime number with associated prime field  $\mathbb{F}_p$ , then there are precisely  $(p + 1)/2$  many quadratic  
2355 residues and  $(p - 1)/2$  quadratic non residues.

2356 *Example 62* (Quadratic residues and roots in  $\mathbb{F}_5$ ). Let us consider the prime field  $\mathbb{F}_5$  14 again.  
2357 All square numbers can be found on the main diagonal of the multiplication table in example  
2358 14. As you can see, in  $\mathbb{F}_5$  only the numbers 0, 1 and 4 have square roots and we get  $\sqrt{0} = \{0\}$ ,  
2359  $\sqrt{1} = \{1, 4\}$ ,  $\sqrt{2} = \emptyset$ ,  $\sqrt{3} = \emptyset$  and  $\sqrt{4} = \{2, 3\}$ . The numbers 0, 1 and 4 are therefore quadratic  
2360 residues, while the numbers 2 and 3 are quadratic non-residues.

2361 In order to describe whether an element of a prime field is a square number or not, the  
2362 so-called **Legendre symbol** can sometimes be found in the literature, which is why we will  
2363 summerize it here:

2364 Let  $p \in \mathbb{P}$  be a prime number and  $y \in \mathbb{F}_p$  an element from the associated prime field. Then  
 2365 the *Legendre symbol* of  $y$  is defined as follows:

$$\left(\frac{y}{p}\right) := \begin{cases} 1 & \text{if } y \text{ has square roots} \\ -1 & \text{if } y \text{ has no square roots} \\ 0 & \text{if } y = 0 \end{cases} \quad (4.31)$$

2366 *Example 63.* Looking at the quadratic residues and non residues in  $\mathbb{F}_5$  from example 14 again,  
 2367 we can deduce the following Legendre symbols, from example 62.

$$\left(\frac{0}{5}\right) = 0, \quad \left(\frac{1}{5}\right) = 1, \quad \left(\frac{2}{5}\right) = -1, \quad \left(\frac{3}{5}\right) = -1, \quad \left(\frac{4}{5}\right) = 1.$$

2368 The Legendre symbol provides a criterion to decide whether or not an element from a prime  
 2369 field has a quadratic root or not. This, however, is not just of theoretical use: The so-called  
 2370 **Euler criterion** provides a compact way to actually compute the Legendre symbol. To see that,  
 2371 let  $p \in \mathbb{P}_{\geq 3}$  be an odd prime number and  $y \in \mathbb{F}_p$ . Then the Legendre symbol can be computed  
 2372 as follows:

$$\left(\frac{y}{p}\right) = y^{\frac{p-1}{2}}. \quad (4.32)$$

*Example 64.* Looking at the quadratic residues and non residues in  $\mathbb{F}_5$  from example 62 again,  
 we can compute the following Legendre symbols using the Euler criterion:

$$\begin{aligned} \left(\frac{0}{5}\right) &= 0^{\frac{5-1}{2}} = 0^2 = 0 \\ \left(\frac{1}{5}\right) &= 1^{\frac{5-1}{2}} = 1^2 = 1 \\ \left(\frac{2}{5}\right) &= 2^{\frac{5-1}{2}} = 2^2 = 4 = -1 \\ \left(\frac{3}{5}\right) &= 3^{\frac{5-1}{2}} = 3^2 = 4 = -1 \\ \left(\frac{4}{5}\right) &= 4^{\frac{5-1}{2}} = 4^2 = 1 \end{aligned}$$

2373 *Exercise 48.* Consider the prime field  $\mathbb{F}_{13}$  from exercise 46. Compute the Legendre symbol  
 2374  $\left(\frac{x}{13}\right)$  and the set of roots  $\sqrt{x}$  for all elements  $x \in \mathbb{F}_{13}$ .

### 2375 Hashing into prime fields

2376 An important problem in SNARK development is the ability to hash to (various subsets) of  
 2377 elliptic curves. As we will see in XXX, those curves are often defined over prime fields, and  
 2378 hashing to a curve might start with hashing to the prime field. It is therefore important to  
 2379 understand how to hash into prime fields.

2380 On pages 53–56, we looked at a few methods of hashing into the residue class rings  $\mathbb{Z}_n$  for  
 2381 arbitrary  $n > 1$ . As prime fields are just special instances of those rings, all methods for hashing  
 2382 into  $\mathbb{Z}_n$  functions can be used for hashing into prime fields, too.

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**MiMC Hash functions** As we will see in XXX,

To define a MiMC hash function, let  $\mathbb{F}_p$  be a prime field with prime modulus  $p \in \mathbb{P}$ , let  $n$  be the smallest natural number, such that  $\gcd(n, p-1) = 1$ . Let  $r$  be the smallest integer greater than or equal to  $\frac{\log(p)}{\log_2(3)}$  and let  $C = \{c_i \in \mathbb{F}_p \mid 0 \leq i \leq r\}$  be a set of randomly generated field elements. The definition of the MiMC hash function then starts with an invertible map

$$E(\cdot) : \mathbb{F}_p \rightarrow \mathbb{F}_p \quad x \mapsto F_{r-1}(\cdots F_1(F_0(x)) \cdots) \quad (4.33)$$

where  $F_i(x) = (x + c_i)^n$

### 4.3.2 Prime Field Extensions

Prime fields, as defined in the previous section, are basic building blocks in cryptography. However, as we will see in chapter 8 so-called pairing-based SNARK systems are crucially dependent on certain group pairings 4.6 defined on elliptic curves over **prime field extensions**. In this section we therefore introduce those extensions.

Given some prime number  $p \in \mathbb{P}$ , a natural number  $m \in \mathbb{N}$  and an irreducible polynomial  $P \in \mathbb{F}_p[x]$  of degree  $m$  with coefficients from the prime field  $\mathbb{F}_p$ , then a prime field extension  $(\mathbb{F}_{p^m}, +, \cdot)$  is defined as follows:

The set  $\mathbb{F}_{p^m}$  of the prime field extension is given by the set of all polynomials with a degree less than  $m$ :

$$\mathbb{F}_{p^m} := \{a_{m-1}x^{m-1} + a_{m-2}x^{m-2} + \cdots + a_1x + a_0 \mid a_i \in \mathbb{F}_p\} \quad (4.34)$$

The addition law of the prime field extension  $\mathbb{F}_{p^m}$  is given by the usual addition of polynomials as defined in 3.24:

$$+ : \mathbb{F}_{p^m} \times \mathbb{F}_{p^m} \rightarrow \mathbb{F}_{p^m}, (\sum_{j=0}^m a_j x^j, \sum_{j=0}^m b_j x^j) \mapsto \sum_{j=0}^m (a_j + b_j) x^j \quad (4.35)$$

The multiplication law of the prime field extension  $\mathbb{F}_{p^m}$  is given by first multiplying the two polynomials as defined in 3.25 and then divided the result by the irreducible polynomial  $P$  and keep the remainder:

$$\cdot : \mathbb{F}_{p^m} \times \mathbb{F}_{p^m} \rightarrow \mathbb{F}_{p^m}, (\sum_{j=0}^m a_j x^j, \sum_{j=0}^m b_j x^j) \mapsto (\sum_{n=0}^{2m} \sum_{i=0}^n a_i b_{n-i} x^n) \bmod P \quad (4.36)$$

The neutral element of the additive group  $(\mathbb{F}_{p^m}, +)$  is given by the zero polynomial 0 and the additive inverse is given by the polynomial with all negative coefficients. The neutral element of the multiplicative group  $(\mathbb{F}_{p^m}^*, \cdot)$  is given by the unit polynomial 1 and the multiplicative inverse can be computed by the extended Euclidean algorithm.

We can see from the definition of  $\mathbb{F}_{p^m}$  that the field is of characteristic  $p$ , since the multiplicative neutral element 1 is equivalent to the multiplicative element 1 from the underlying prime field, and hence  $\sum_{j=0}^p 1 = 0$ . Moreover,  $\mathbb{F}_{p^m}$  is finite and contains  $p^m$  many elements, since elements are polynomials of degree  $< m$ , and every coefficient  $a_j$  can have  $p$  many different values. In addition, we see that the prime field  $\mathbb{F}_p$  is a subfield of  $\mathbb{F}_{p^m}$  that occurs when we restrict the elements of  $\mathbb{F}_{p^m}$  to polynomials of degree zero.

One key point is that the construction of  $\mathbb{F}_{p^m}$  depends on the choice of an irreducible polynomial, and, in fact, different choices will give different multiplication tables, since the remainders from dividing a polynomial product by those polynomials will be different.

It can, however, be shown that the fields for different choices of  $P$  are **isomorphic**, which means that there is a one-to-one correspondence between all of them. Consequently, from an abstract point of view, they are the same thing. From an implementations point of view, however, some choices are preferable to others because they allow for faster computations.

*Remark 4.* Similar to the way prime fields  $\mathbb{F}_p$  are generated by starting with the ring of integers and then dividing by a prime number  $p$  and keeping the remainder, prime field extensions  $\mathbb{F}_{p^m}$  are generated by starting with the ring  $\mathbb{F}_p[x]$  of polynomials and then dividing them by an irreducible polynomial of degree  $m$  and keeping the remainder.

In fact it can be shown that  $\mathbb{F}_{p^m}$  is the set of all remainders when dividing any polynomial  $Q \in \mathbb{F}_p[x]$  by an irreducible polynomial  $P$  of degree  $m$ . This is analogous to how  $\mathbb{F}_p$  is the set of all remainders when dividing integers by  $p$ .

Any field  $\mathbb{F}_{p^m}$  constructed in the above manner is a field extension of  $\mathbb{F}_p$ . To be more general, a field  $\mathbb{F}_{p^{m_2}}$  is a field extension of a field  $\mathbb{F}_{p^{m_1}}$ , if and only if  $m_1$  divides  $m_2$ . From this, we can deduce that, for any given fixed prime number, there are nested sequences of subfields whenever the power  $m_j$  divides the power  $m_{j+1}$ :

$$\mathbb{F}_p \subset \mathbb{F}_{p^{m_1}} \subset \cdots \subset \mathbb{F}_{p^{m_k}} \quad (4.37)$$

To get a more intuitive picture of this, we construct an extension field of the prime field  $\mathbb{F}_3$  in the following example, and we can see how  $\mathbb{F}_3$  sits inside that extension field.

*Example 65* (The Extension field  $\mathbb{F}_{3^2}$ ). In exercise 45 we have constructed the prime field  $\mathbb{F}_3$ . In this example, we apply the definition of a field extension 4.34 to construct the extension field  $\mathbb{F}_{3^2}$ . We start by choosing an irreducible polynomial of degree 2 with coefficients in  $\mathbb{F}_3$ . We try  $P(t) = t^2 + 1$ . Possibly the fastest way to show that  $P$  is indeed irreducible is to just insert all elements from  $\mathbb{F}_3$  to see if the result is ever zero. We compute as follows:

$$P(0) = 0^2 + 1 = 1$$

$$P(1) = 1^2 + 1 = 2$$

$$P(2) = 2^2 + 1 = 1 + 1 = 2$$

This implies that  $P$  is irreducible, since all factors must be of the form  $(t - a)$  for  $a$  being a root of  $P$ . The set  $\mathbb{F}_{3^2}$  contains all polynomials of degrees lower than two, with coefficients in  $\mathbb{F}_3$ , which are precisely as listed below:

$$\mathbb{F}_{3^2} = \{0, 1, 2, t, t+1, t+2, 2t, 2t+1, 2t+2\}$$

As expected, our extension field contains 9 elements. Addition is defined as addition of polynomials; for example  $(t+2) + (2t+2) = (1+2)t + (2+2) = t$ . Doing this computation for all elements gives the following addition table

+	0	1	2	t	t+1	t+2	2t	2t+1	2t+2
0	0	1	2	t	t+1	t+2	2t	2t+1	2t+2
1	1	2	0	t+1	t+2	t	2t+1	2t+2	2t
2	2	0	1	t+2	t	t+1	2t+2	2t	2t+1
t	t	t+1	t+2	2t	2t+1	2t+2	0	1	2
t+1	t+1	t+2	t	2t+1	2t+2	2t	1	2	0
t+2	t+2	t	t+1	2t+2	2t	2t+1	2	0	1
2t	2t	2t+1	2t+2	0	1	2	t	t+1	t+2
2t+1	2t+1	2t+2	2t	1	2	0	t+1	t+2	t
2t+2	2t+2	2t	2t+1	2	0	1	t+2	t	t+1

As we can see, the group  $(\mathbb{F}_3, +)$  is a subgroup of the group  $(\mathbb{F}_{3^2}, +)$ , obtained by only considering the first three rows and columns of this table.

2440 We can use the addition table to deduce the additive inverse (the negative) of any element  
 2441 from  $\mathbb{F}_{32}$ . For example, in  $\mathbb{F}_{32}$  we have  $-(2t + 1) = t + 2$ , since  $(2t + 1) + (t + 2) = 0$

Multiplication needs a bit more computation, as we first have to multiply the polynomials, and whenever the result has a degree  $\geq 2$ , we have to apply a polynomial division algorithm like 3 to divide the product by the polynomial  $P$  and keep the remainder. To see how this works, let us compute the product of  $t + 2$  and  $2t + 2$  in  $\mathbb{F}_{32}$ :

$$\begin{aligned}(t + 2) \cdot (2t + 2) &= (2t^2 + 2t + t + 1) \bmod (t^2 + 1) \\ &= (2t^2 + 1) \bmod (t^2 + 1) & \# 2t^2 + 1 : t^2 + 1 = 2 + \frac{2}{t^2 + 1} \\ &= 2\end{aligned}$$

2442 This means that the product of  $t + 2$  and  $2t + 2$  in  $\mathbb{F}_{32}$  is 2. Performing this computation for all  
 2443 elements gives the following multiplication table:

·	0	1	2	t	t+1	t+2	2t	2t+1	2t+2
0	0	0	0	0	0	0	0	0	0
1	0	1	2	t	t+1	t+2	2t	2t+1	2t+2
2	0	2	1	2t	2t+2	2t+1	t	t+2	t+1
t	0	t	2t	2	t+2	2t+2	1	t+1	2t+1
t+1	0	t+1	2t+2	t+2	2t	1	2t+1	2	t
t+2	0	t+2	2t+1	2t+2	1	t	t+1	2t	2
2t	0	2t	t	1	2t+1	t+1	2	2t+2	t+2
2t+1	0	2t+1	t+2	t+1	2	2t	2t+2	t	1
2t+2	0	2t+2	t+1	2t+1	t	2	t+2	1	2t

2445 As it was the case in previous examples, we can use the table to deduce the multiplicative  
 2446 inverse of any non-zero element from  $\mathbb{F}_{32}$ . For example, in  $\mathbb{F}_{32}$  we have  $(2t + 1)^{-1} = 2t + 2$ ,  
 2447 since  $(2t + 1) \cdot (2t + 2) = 1$ .

2448 From the multiplication table, we can also see that the only quadratic residues in  $\mathbb{F}_{32}$  are  
 2449 from the set  $\{0, 1, 2, t, 2t\}$ , with  $\sqrt{0} = \{0\}$ ,  $\sqrt{1} = \{1, 2\}$ ,  $\sqrt{2} = \{t, 2t\}$ ,  $\sqrt{t} = \{t + 2, 2t + 1\}$  and  
 2450  $\sqrt{2t} = \{t + 1, 2t + 2\}$ .

Since  $\mathbb{F}_{32}$  is a field, we can solve equations as we would for other fields, (such as rational numbers). To see that, let us find all  $x \in \mathbb{F}_{32}$  that solve the quadratic equation  $(t + 1)(x^2 + (2t + 2)) = 2$ . We compute as follows:

$$\begin{aligned}(t + 1)(x^2 + (2t + 2)) &= 2 & \# 2 \text{ distributive law} \\ (t + 1)x^2 + (t + 1)(2t + 2) &= 2 \\ (t + 1)x^2 + (t) &= 2 & \# 2 \text{ add the additive inverse of } t \\ (t + 1)x^2 + (t) + (2t) &= (2) + (2t) \\ (t + 1)x^2 &= 2t + 2 & \# \text{ multiply with the multiplicative invers of } t + 1 \\ (t + 2)(t + 1)x^2 &= (t + 2)(2t + 2) & \# \text{ multiply with the multiplicative invers of } t + 1 \\ x^2 &= 2 & \# 2 \text{ is quadratic residue. Take the roots.} \\ x &\in \{t, 2t\}\end{aligned}$$

2451 Computations in extension fields are arguably on the edge of what can reasonably be done with  
 2452 pen and paper. Fortunately, Sage provides us with a simple way to do the computations.



```

2453 sage: Z3 = GF(3) # prime field 209
2454 sage: Z3t.<t> = Z3[] # polynomials over Z3 210
2455 sage: P = Z3t(t^2+1) 211
2456 sage: P.is_irreducible() 212
2457 True 213
2458 sage: F3_2.<t> = GF(3^2, name='t', modulus=P) 214
2459 sage: F3_2 215
2460 Finite Field in t of size 3^2 216
2461 sage: F3_2(t+2)*F3_2(2*t+2) == F3_2(2) 217
2462 True 218
2463 sage: F3_2(2*t+2)^(-1) # multiplicative inverse 219
2464 2*t + 1 220
2465 sage: # verify our solution to (t+1)(x^2 + (2t+2)) = 2 221
2466 sage: F3_2(t+1)*(F3_2(t)**2 + F3_2(2*t+2)) == F3_2(2) 222
2467 True 223
2468 sage: F3_2(t+1)*(F3_2(2*t)**2 + F3_2(2*t+2)) == F3_2(2) 224
2469 True 225

```

2470 *Exercise 49.* Consider the extension field  $\mathbb{F}_{3^2}$  from the previous example and find all pairs of  
 2471 elements  $(x, y) \in \mathbb{F}_{3^2}$ , for which the following equation holds:

$$y^2 = x^3 + 4 \quad (4.38)$$

2472 *Exercise 50.* Show that the polynomial  $Q = x^2 + x + 2$  from  $\mathbb{F}_3[x]$  is irreducible. Construct the  
 2473 multiplication table of  $\mathbb{F}_{3^2}$  with respect to  $Q$  and compare it to the multiplication table of  $\mathbb{F}_{3^2}$   
 2474 from example 65.

2475 *Exercise 51.* Show that the polynomial  $P = x^3 + x + 1$  from  $\mathbb{F}_5[x]$  is irreducible. Then consider  
 2476 the extension field  $\mathbb{F}_{5^3}$  defined relative to  $P$ . Compute the multiplicative inverse of  $(2t^2 + 4) \in$   
 2477  $\mathbb{F}_{5^3}$  using the extended Euclidean algorithm. Then find all  $x \in \mathbb{F}_{5^3}$  that solve the following  
 2478 equation:

$$(2t^2 + 4)(x - (t^2 + 4t + 2)) = (2t + 3) \quad (4.39)$$

2479 **Hashing into extension fields** On page 65, we have seen how to hash into prime fields. As  
 2480 elements of extension fields can be seen as polynomials over prime fields, hashing into extension  
 2481 fields is therefore possible if every coefficient of the polynomial is hashed independently.

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reference

## 2482 4.4 Projective Planes

2483 Projective planes are particular geometric constructs defined over a given field. In a sense,  
 2484 projective planes extend the concept of the ordinary Euclidean plane by including “points at  
 2485 infinity.”

2486 To understand the idea of constructing of projective planes, note that in an ordinary Eu-  
 2487 clidean plane, two lines either intersect in a single point or are parallel. In the latter case, both  
 2488 lines are either the same, that is, they intersect in all points, or do not intersect at all. A projec-  
 2489 tive plane can then be thought of as an ordinary plane, but equipped with additional “point at  
 2490 infinity” such that two different lines always intersect in a single point. Parallel lines intersect  
 2491 “at infinity”.

Such an inclusion of infinity points makes projective planes particularly useful in the description of elliptic curves, as the description of such a curve in an ordinary plane needs an additional symbol “the point at infinity” to give the set of points on the curve the structure of a group 5.1.1. Translating the curve into projective geometry includes this “point at infinity” more naturally into the set of all points on a projective plane.

To be more precise, let  $\mathbb{F}$  be a field,  $\mathbb{F}^3 := \mathbb{F} \times \mathbb{F} \times \mathbb{F}$  the set of all tuples of three elements over  $\mathbb{F}$  and  $x \in \mathbb{F}^3$  with  $x = (X, Y, Z)$ . Then there is exactly one *line* in  $\mathbb{F}^3$  that intersects both  $(0, 0, 0)$  and  $x$ . This line is given as follows:

$$[X : Y : Z] := \{(k \cdot X, k \cdot Y, k \cdot Z) \mid k \in \mathbb{F}\} \quad (4.40)$$

A **point** in the **projective plane** over  $\mathbb{F}$  is defined as such a **line**, and the projective plane is the set of all such points:

$$\mathbb{F}\mathbb{P}^2 := \{[X : Y : Z] \mid (X, Y, Z) \in \mathbb{F}^3 \text{ with } (X, Y, Z) \neq (0, 0, 0)\} \quad (4.41)$$

It can be shown that a projective plane over a finite field  $\mathbb{F}_{p^m}$  contains  $p^{2m} + p^m + 1$  number of elements.

To understand why  $[X : Y : Z]$  is called a line, consider the situation where the underlying field  $\mathbb{F}$  is the set of rational numbers  $\mathbb{Q}$ . In this case,  $\mathbb{Q}^3$  can be seen as the three-dimensional space, and  $[X : Y : Z]$  is an ordinary line in this 3-dimensional space that intersects zero and the point with coordinates  $X, Y$  and  $Z$ .

The key observation here is that points in the projective plane  $\mathbb{F}\mathbb{P}^2$  are lines in the 3-dimensional space  $\mathbb{F}^3$ . However it should be kept in mind that, for finite fields, the terms **space** and **line** share very little visual similarity with their counterparts over the set of rational numbers.

It follows from this that points  $[X : Y : Z] \in \mathbb{F}\mathbb{P}^2$  are not simply described by fixed coordinates  $(X, Y, Z)$ , but by **sets of coordinates**, where two different coordinates  $(X_1, Y_1, Z_1)$  and  $(X_2, Y_2, Z_2)$  describe the same point if and only if there is some field element  $k \in \mathbb{F}$  such that  $(X_1, Y_1, Z_1) = (k \cdot X_2, k \cdot Y_2, k \cdot Z_2)$ . Points  $[X : Y : Z]$  are called **projective coordinates**.

*Notation and Symbols 9* (Projective coordinates). Projective coordinates of the form  $[X : Y : 1]$  are descriptions of so-called **affine points**. Projective coordinates of the form  $[X : Y : 0]$  are descriptions of so-called **points at infinity**. In particular, the projective coordinate  $[1 : 0 : 0]$  describes the so-called **line at infinity**.

*Example 66.* Consider the field  $\mathbb{F}_3$  from exercise 45. As this field only contains three elements, it does not take too much effort to construct its associated projective plane  $\mathbb{F}_3\mathbb{P}^2$ , as we know that it only contains 13 elements.

To find  $\mathbb{F}_3\mathbb{P}^2$ , we have to compute the set of all lines in  $\mathbb{F}_3 \times \mathbb{F}_3 \times \mathbb{F}_3$  that intersect  $(0, 0, 0)$ .

Since those lines are parameterized by tuples  $(x_1, x_2, x_3)$ , we compute as follows:

$$\begin{aligned}
[0 : 0 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 0, 1), (0, 0, 2)\} \\
[0 : 0 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 0, 2), (0, 0, 1)\} = [0 : 0 : 1] \\
[0 : 1 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 1, 0), (0, 2, 0)\} \\
[0 : 1 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 1, 1), (0, 2, 2)\} \\
[0 : 1 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 1, 2), (0, 2, 1)\} \\
[0 : 2 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 2, 0), (0, 1, 0)\} = [0 : 1 : 0] \\
[0 : 2 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 2, 1), (0, 1, 2)\} = [0 : 1 : 2] \\
[0 : 2 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(0, 2, 2), (0, 1, 1)\} = [0 : 1 : 1] \\
[1 : 0 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 0, 0), (2, 0, 0)\} \\
[1 : 0 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 0, 1), (2, 0, 2)\} \\
[1 : 0 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 0, 2), (2, 0, 1)\} \\
[1 : 1 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 1, 0), (2, 2, 0)\} \\
[1 : 1 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 1, 1), (2, 2, 2)\} \\
[1 : 1 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 1, 2), (2, 2, 1)\} \\
[1 : 2 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 2, 0), (2, 1, 0)\} \\
[1 : 2 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 2, 1), (2, 1, 2)\} \\
[1 : 2 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(1, 2, 2), (2, 1, 1)\} \\
[2 : 0 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 0, 0), (1, 0, 0)\} = [1 : 0 : 0] \\
[2 : 0 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 0, 1), (1, 0, 2)\} = [1 : 0 : 2] \\
[2 : 0 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 0, 2), (1, 0, 1)\} = [1 : 0 : 1] \\
[2 : 1 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 1, 0), (1, 2, 0)\} = [1 : 2 : 0] \\
[2 : 1 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 1, 1), (1, 2, 2)\} = [1 : 2 : 2] \\
[2 : 1 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 1, 2), (1, 2, 1)\} = [1 : 2 : 1] \\
[2 : 2 : 0] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 2, 0), (1, 1, 0)\} = [1 : 1 : 0] \\
[2 : 2 : 1] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 2, 1), (1, 1, 2)\} = [1 : 1 : 2] \\
[2 : 2 : 2] &= \{(k \cdot x_1, k \cdot x_2, k \cdot x_3) \mid k \in \mathbb{F}_3\} = \{(2, 2, 2), (1, 1, 1)\} = [1 : 1 : 1]
\end{aligned}$$

These lines define the 13 points in the projective plane  $\mathbb{F}_3\mathbb{P}$ :

$$\begin{aligned}
\mathbb{F}_3\mathbb{P} = \{ & [0 : 0 : 1], [0 : 1 : 0], [0 : 1 : 1], [0 : 1 : 2], [1 : 0 : 0], [1 : 0 : 1], \\
& [1 : 0 : 2], [1 : 1 : 0], [1 : 1 : 1], [1 : 1 : 2], [1 : 2 : 0], [1 : 2 : 1], [1 : 2 : 2] \}
\end{aligned}$$

2523 This projective plane contains 9 affine points, three points at infinity and one line at infinity.

2524 To understand the ambiguity in projective coordinates a bit better, let us consider the point  
 2525  $[1 : 2 : 2]$ . As this point in the projective plane is a line in  $\mathbb{F}_3^3$ , it has the projective coordinates  
 2526  $(1, 2, 2)$  as well as  $(2, 1, 1)$ , since the former coordinate gives the latter when multiplied in  $\mathbb{F}_3$   
 2527 by the factor 2. In addition, note that, for the same reasons, the points  $[1 : 2 : 2]$  and  $[2 : 1 : 1]$   
 2528 are the same, since their underlying sets are equal.

2529 *Exercise 52.* Construct the so-called **Fano plane**, that is, the projective plane over the finite  
 2530 field  $\mathbb{F}_2$ .

## Chapter 5

# Elliptic Curves

Generally speaking, elliptic curves are “curves” defined in geometric planes like the Euclidean or the projective plane over some given field. One of the key features of elliptic curves over finite fields from the point of view of cryptography is that their set of points has a group law such that the resulting group is finite and cyclic, and it is believed that the discrete logarithm problem on these groups is hard.

A special class of elliptic curves are so-called **pairing-friendly curves**, which have a notation of a group pairing as defined in XXX. This pairing has cryptographically advantageous properties. Those curve are useful in the development of SNARKs, since they allow to compute so-called R1CS-satisfiability “in the exponent” **MIRCO: (THIS HAS TO BE REWRITTEN WITH WAY MORE DETAIL)**

In this chapter, we introduce epileptic curves as they are used in pairing-based approaches to the construction of SNARKs. The elliptic curves we consider are all defined over prime fields or prime field extensions and the reader should be familiar with the contend of the previous section on those fields.

In its most generality elliptic curves are defined as a smooth projective curve of genus 1 defined over some field  $\mathbb{F}$  with a distinguished  $\mathbb{F}$ -rational point, but this definition is not very useful for the introductory character of this book. We will therefore look at 3 more practical definitions in the following sections, by introducing Weierstraß, Montgomery and Edwards curves. All of them are widely used in cryptography, and understanding them is crucial to being able to follow the rest of this book.

## 5.1 Elliptic Curve Arithmetics

### 5.1.1 Short Weierstraß Curves

In this section, we introduce **short Weierstraß** curves, which are the most general types of curves over finite fields of characteristic greater than 3.

We start with their representation in **affine space**. This representation has the advantage that affine points correspond to pairs of numbers, which makes it more accessible for beginners. However, it has the disadvantage that a special “point at infinity”, that is not a point on the curve, is necessary to describe the group structure. We introduce the elliptic curve group law and describe elliptic curve scalar multiplication, which is an instantiation of the exponential map from general cyclic groups.

Then we look at the projective representation of short Weierstraß curves. This has the advantage that no special symbol is necessary to represent the point at infinity but comes with

TODO:  
Elliptic  
Curve  
asymmet-  
ric cryp-  
tography  
examples.  
Private  
key, gen-  
erator,  
public  
key.

add refer-  
ence

maybe re-  
move this  
sentence?

affine  
space

the drawback that projective points are classes of numbers, which might be a bit unusual for a beginner.

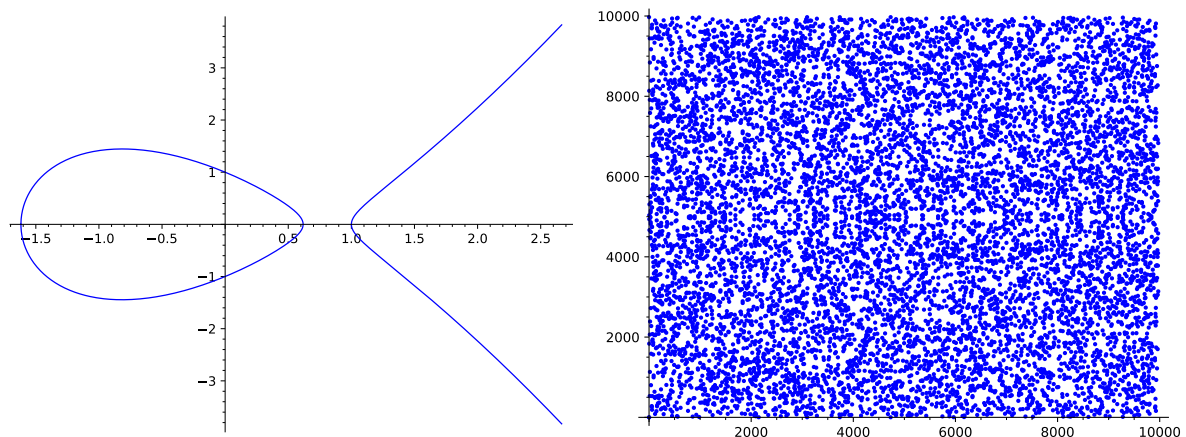
We finish this section with an explicit equivalence that transforms affine representations into projective ones and vice versa.

**Affine short Weierstraß form** Probably the least abstract and most straight-forward way to introduce elliptic curves for non-mathematicians and beginners is the so-called affine representation of a short Weierstraß curve. To see what this is, let  $\mathbb{F}$  be a finite field of order  $q$  and  $a, b \in \mathbb{F}$  two field elements such that  $4a^3 + 27b^2 \bmod q \neq 0$ . Then a **short Weierstraß elliptic curve**  $E(\mathbb{F})$  over  $\mathbb{F}$  in its affine representation is the set of all pairs of field elements  $(x, y) \in \mathbb{F} \times \mathbb{F}$  that satisfy the short Weierstraß cubic equation  $y^2 = x^3 + a \cdot x + b$ , together with a distinguished symbol  $\mathcal{O}$ , called the **point at infinity**:

$$E(\mathbb{F}) = \{(x, y) \in \mathbb{F} \times \mathbb{F} \mid y^2 = x^3 + a \cdot x + b\} \cup \{\mathcal{O}\} \quad (5.1)$$

*Notation and Symbols 10.* In the literature, the set  $E(\mathbb{F})$ , which includes the symbol  $\mathcal{O}$ , is often called the set of **rational points** of the elliptic curve, in which case the curve itself is usually written as  $E/\mathbb{F}$ . However, in what follows, we will frequently identify an elliptic curve with its set of rational points and therefore use the notation  $E(\mathbb{F})$  instead. This is possible in our case, since we only the group structure of the curve in consideration is relevant for us.

The term “curve” is used here because, in the ordinary 2 dimensional plane  $\mathbb{R}^2$ , the set of all points  $(x, y)$  that satisfy  $y^2 = x^3 + a \cdot x + b$  looks like a curve. We should note however that visualizing elliptic curves over finite fields as “curves” has its limitations, and we will therefore not stress the geometric picture too much, but focus on the computational properties instead. To understand the visual difference, consider the following two elliptic curves:



Both elliptic curves are defined by the same short Weierstraß equation  $y^2 = x^3 - 2x + 1$ , but the first curve is defined in the real affine plane  $\mathbb{R}^2$ , that is, the pair  $(x, y)$  contains real numbers, while the second one is defined in the affine plane  $\mathbb{F}_{9973}^2$ , which means that both  $x$  and  $y$  are from the prime field  $\mathbb{F}_{9973}$ . Every blue dot represents a pair  $(x, y)$ , that is a solution to  $y^2 = x^3 - 2x + 1$ . As we can see, the second curve hardly looks like a geometric structure one would naturally call a curve. This shows that our geometric intuitions from  $\mathbb{R}^2$  are obfuscated in curves over finite fields.

The identity  $6 \cdot (4a^3 + 27b^2) \bmod q \neq 0$  ensures that the curve is non-singular, which basically means that the curve has no **cusps** or **self-intersections**.

cusps

self-intersections

Throughout this book, the reader is advised to do as many computations in a pen-and-paper fashion as possible, as this helps getting a deeper understanding of the details. However, when dealing with elliptic curves, computations can quickly become cumbersome and tedious, and one might get lost in the details. Fortunately, Sage is very helpful in dealing with elliptic curves. This book introduces the reader to the great elliptic curve capabilities of Sage. The following snippet shows a way to define elliptic curves and work with them in Sage:

```

sage: F5 = GF(5) # define the base field
sage: a = F5(2) # parameter a
sage: b = F5(4) # parameter b
sage: # check non-singularity
sage: F5(6)*(F5(4)*a^3+F5(27)*b^2) != F5(0)
True
sage: # short Weierstrass curve
sage: E = EllipticCurve(F5,[a,b]) # y^2 == x^3 + ax +b
sage: P = E(0,2) # 2^2 == 0^3 + 2*0 + 4
sage: P.xy() # affine coordinates
(0, 2)
sage: INF = E(0) # point at infinity
sage: try: # point at infinity has no affine coordinates
.....:     INF.xy()
.....: except ZeroDivisionError:
.....:     pass
sage: P = E.plot() # create a plotted version

```

The following three examples give a more practical understanding of what an elliptic curve is and how we can compute it. The reader is advised to read them carefully, and ideally, to also carry out the computation themselves. We will repeatedly build on these examples in this chapter, and use the second example throughout this book.

*Example 67.* To provide the reader with an example of a small elliptic curve where all computation can be done with pen and paper, consider the prime field  $\mathbb{F}_5$  from example 61 (page 63), which should be quite familiar to readers who had worked through the examples and exercises in the previous chapter.

To define an elliptic curve over  $\mathbb{F}_5$ , we have to choose two numbers  $a$  and  $b$  from that field. Assuming we choose  $a = 1$  and  $b = 1$  then  $4a^3 + 27b^2 \equiv 1 \pmod{5}$  from which follows that the corresponding elliptic curve  $E_1(\mathbb{F}_5)$  is given by the set of all pairs  $(x, y)$  from  $\mathbb{F}_5$  that satisfy the equation  $y^2 = x^3 + x + 1$ , together with the special symbol  $\mathcal{O}$ , which represents the “point at infinity”.

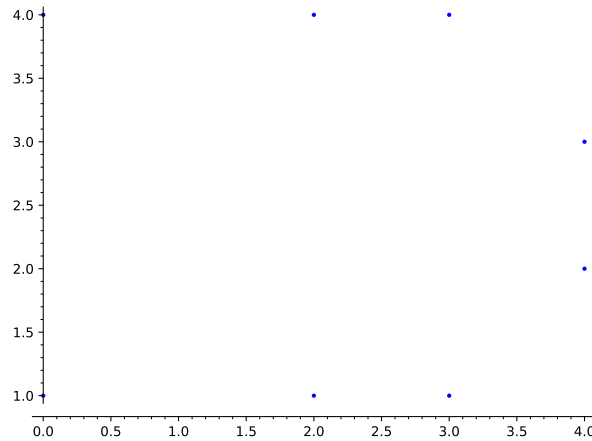
To get a better understanding of that curve, observe that if we choose arbitrarily the pair  $(x, y) = (1, 1)$ , we see that  $1^2 \neq 1^3 + 1 + 1$  and hence  $(1, 1)$  is not an element of the curve  $E_1(\mathbb{F}_5)$ . On the other hand choosing for example  $(x, y) = (2, 1)$  gives  $1^2 = 2^3 + 2 + 1$  and hence the pair  $(2, 1)$  is an element of  $E_1(\mathbb{F}_5)$  (Remember that all computations are done in modulo 5 arithmetics).

Now since the set  $\mathbb{F}_5 \times \mathbb{F}_5$  of all pairs  $(x, y)$  from  $\mathbb{F}_5$  contains only  $5 \cdot 5 = 25$  pairs, we can compute the curve, by just inserting every possible pair  $(x, y)$  into the short Weierstraß equation  $y^2 = x^3 + x + 1$ . If the equation holds, the pair is a curve point, if not that means that the point is not on the curve. Combining the result of this computation with the point at infinity gives the curve as follows:

$$E_1(\mathbb{F}_5) = \{\mathcal{O}, (0, 1), (2, 1), (3, 1), (4, 2), (4, 3), (0, 4), (2, 4), (3, 4)\}$$

check  
reference

2637 This means that our elliptic curve is a set of 9 elements, 8 of which are pairs of numbers and  
 2638 one special symbol  $\mathcal{O}$ . Visualizing  $E1$  gives the following plot:



2639

2640 In the development of SNARKs, it is sometimes necessary to do elliptic curve cryptography  
 2641 “in a circuit”, which basically means that the elliptic curves need to be implemented in a certain  
 2642 SNARK-friendly way. We will look at what this means in chapter 7. To be able to do this  
 2643 efficiently, it is desirable to have curves with special properties. The following example is a  
 2644 pen-and-paper version of such a curve, called **Baby-jubjub**, which resembles cryptographically  
 2645 secure curves extensively used in real-world SNARKs. The interested reader is advised to study  
 2646 this example carefully, as we will use it and build on it in various places throughout the book. S:  
 2647 I feel like a lot of people won’t get the Lewis Carroll reference unless we make it more explicit.  
 2648 M: The term Baby-JubJub is actually the name of a curve used in zCash and Ethereum a lot.  
 2649 IDK why they choosed that name.

check  
reference

jubjub

2650 *Example 68 (Tiny-Jubjub).* Consider the prime field  $\mathbb{F}_{13}$  from exercise ?? (page ??). If we  
 2651 choose  $a = 8$  and  $b = 8$ , then  $4a^3 + 27b^2 \equiv 6 \pmod{13}$  and the corresponding elliptic curve  
 2652 is given by all pairs  $(x, y)$  from  $\mathbb{F}_{13}$  such that  $y^2 = x^3 + 8x + 8$  holds. We call this curve the  
 2653 **Tiny-jubjub** curve, or  $TJJ\_13$  for short.

check  
reference

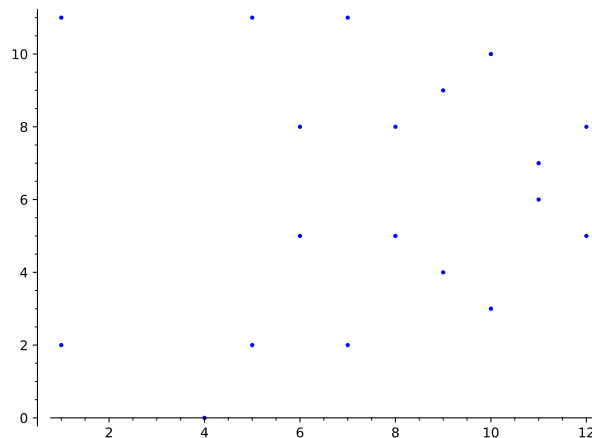
2654 Now, since the set  $\mathbb{F}_{13} \times \mathbb{F}_{13}$  of all pairs  $(x, y)$  from  $\mathbb{F}_{13}$  contains only  $13 \cdot 13 = 169$  pairs,  
 2655 we can compute the curve by just inserting every possible pair  $(x, y)$  into the short Weierstraß  
 2656 equation  $y^2 = x^3 + 8x + 8$ . We get the following result:

$$TJJ\_13 = \{\mathcal{O}, (1, 2), (1, 11), (4, 0), (5, 2), (5, 11), (6, 5), (6, 8), (7, 2), (7, 11), (8, 5), (8, 8), \\ (9, 4), (9, 9), (10, 3), (10, 10), (11, 6), (11, 7), (12, 5), (12, 8)\} \quad (5.2)$$

2657 As we can see, the curve consists of 20 points; 19 points from the affine plane and the point at  
 2658 infinity. To get a visual impression of the  $TJJ\_13$  curve, we might plot all of its points (except  
 2659 the point at infinity) in the  $\mathbb{F}_{13} \times \mathbb{F}_{13}$  affine plane. We get the following plot:

affine  
plane





As we will see in what follows, this curve is rather special, as it is possible to represent it in two alternative forms called the **Montgomery** and the **twisted Edwards form** (See sections 5.1.2 and 5.1.3, respectively).

check  
reference

Now that we have seen two pen-and-paper friendly elliptic curves, let us look at a curve, that is used in actual cryptography. Cryptographically secure elliptic curves are not **qualitatively** different from the curves we looked at so far, but the prime number modulus of their prime field is much larger. Typical examples use prime numbers that have binary representations in the magnitude of more than double the size of the desired security level. If, for example, a security of 128 bits is desired, a prime modulus of binary size  $\geq 256$  is chosen. The following example provides such a curve.

check  
reference

*Example 69* (Bitcoin's Secp256k1 curve). To give an example of a real-world, cryptographically secure curve, let us look at curve Secp256k1, which is famous for being used in the public key cryptography of Bitcoin. The prime field  $\mathbb{F}_p$  of Secp256k1 is defined by the following prime number:

$$p = 115792089237316195423570985008687907853269984665640564039457584007908834671663$$

The binary representation of this number needs 256 bits, which implies that the prime field  $\mathbb{F}_p$  contains approximately  $2^{256}$  many elements, which is considered quite large. To get a better impression of how large the base field is, consider that the number  $2^{256}$  is approximately in the same order of magnitude as the estimated number of atoms in the observable universe.

The curve Secp256k1 is defined by the parameters  $a, b \in \mathbb{F}_p$  with  $a = 0$  and  $b = 7$ . Since  $4 \cdot 0^3 + 27 \cdot 7^2 \bmod p = 1323$ , those parameters indeed define an elliptic curve given as follows:

$$\text{Secp256k1} = \{(x, y) \in \mathbb{F}_p \times \mathbb{F}_p \mid y^2 = x^3 + 7\}$$

Clearly, the Secp256k1 curve is too large to do computations by hand, since it can be shown that the number of its elements is a prime number  $r$  that also has a binary representation of 256 bits:

$$r = 115792089237316195423570985008687907852837564279074904382605163141518161494337$$

Cryptographically secure elliptic curves are therefore not useful in pen-and-paper computations. Fortunately, Sage handles large curves efficiently:

```
sage: p = 1157920892373161954235709850086879078532699846656405 243
      64039457584007908834671663
```



```

2679 sage: # Hexadecimal representation
2680 sage: p.str(16)
2681 ffffffffffffffffffffffffffffffffffffffffffffffffffffefffffc
2682 2f
2683 sage: p.is_prime()
2684 True
2685 sage: p.nbits()
2686 256
2687 sage: Fp = GF(p)
2688 sage: Secp256k1 = EllipticCurve(Fp, [0, 7])
2689 sage: r = Secp256k1.order() # number of elements
2690 sage: r.str(16)
2691 ffffffffffffffffffffffffffffffffebaaedce6af48a03bbfd25e8cd03641
2692 41
2693 sage: r.is_prime()
2694 True
2695 sage: r.nbits()
2696 256

```

2697 *Exercise 53.* Look up the definition of curve BLS12-381, implement it in Sage and compute its  
 2698 order.

2699 **Affine compressed representation** As we have seen in example 69, cryptographically secure  
 2700 elliptic curves are defined over large prime fields, where elements of those fields typically need  
 2701 more than 255 bits of storage on a computer. Since elliptic curve points consist of pairs of those  
 2702 field elements, they need double that amount of storage.

2703 However, we can reduce the amount of space needed to represent a curve point by using  
 2704 a technique called **point compression**. Note that, up to a **sign**, the y coordinate of a curve  
 2705 point can be computed from the  $x$  coordinate by simply inserting  $x$  into the Weierstraß equation  
 2706 and then computing the roots of the result. This gives two results, and it means that we can  
 2707 represent a curve point in **compressed form** by simply storing the  $x$  coordinate together with  
 2708 a single sign bit only, the latter of which deterministically decides which of the two roots to  
 2709 choose. One convention could be to always choose the root closer to 0 when the sign bit is 0,  
 2710 and the root closer to the order of  $\mathbb{F}$  when the sign bit is 1. In case the  $y$  coordinate is zero, both  
 2711 sign bits give the same result.

*Example 70* (Tiny-jubjub). To understand the concept of compressed curve points a bit better,  
 consider the *TJJ\_13* curve from example 68 again. Since this curve is defined over the prime  
 field  $\mathbb{F}_{13}$ , and numbers between 0 and 13 need approximately 4 bits to be represented, each  
*TJJ\_13* point on this curve needs 8 bits of storage in uncompressed form. The following set  
 represents the uncompressed form of the points on this curve:

$$TJJ\_13 = \{\mathcal{O}, (1, 2), (1, 11), (4, 0), (5, 2), (5, 11), (6, 5), (6, 8), (7, 2), (7, 11), \\ (8, 5), (8, 8), (9, 4), (9, 9), (10, 3), (10, 10), (11, 6), (11, 7), (12, 5), (12, 8)\}$$

Using the technique of point compression, we can reduce the bits needed to represent the points  
 on this curve to 5 per point. To achieve this, we can replace the  $y$  coordinate in each  $(x, y)$  pair  
 by a sign bit indicating whether or not  $y$  is closer to 0 or to 13. As a result  $y$  values in the range  
 $[0, \dots, 6]$  will have the sign bit 0, while  $y$ -values in the range  $[7, \dots, 12]$  will have the sign bit 1.

check  
reference

sign

more ex-  
planation  
of what  
the sign is

check  
reference

Applying this to the points in *TJJ\_13* gives the compressed representation as follows:

$$TJJ_{13} = \{\mathcal{O}, (1,0), (1,1), (4,0), (5,0), (5,1), (6,0), (6,1), (7,0), (7,1), \\ (8,0), (8,1), (9,0), (9,1), (10,0), (10,1), (11,0), (11,1), (12,0), (12,1)\}$$

Note that the numbers  $7, \dots, 12$  are the negatives (additive inverses) of the numbers  $1, \dots, 6$  in modular 13 arithmetics and that  $-0 = 0$ . Calling the compression bit a “sign bit” therefore makes sense.

To recover the uncompressed counterpart of, say, the compressed point  $(5, 1)$ , we insert the  $x$  coordinate 5 into the Weierstraß equation and get  $y^2 = 5^3 + 8 \cdot 5 + 8 = 4$ . As expected, 4 is a quadratic residue in  $\mathbb{F}_{13}$  with roots  $\sqrt{4} = \{2, 11\}$ . Since the sign bit of the point is 1, we have to choose the root closer to the modulus 13, which is 11. The uncompressed point is therefore  $(5, 11)$ .

Looking at the previous examples, the compression rate does not look very impressive. However, looking at the real-life example of the Secp256k1 curve shows that compression is has significant practical advantages.

*Example 71.* Consider the Secp256k1 curve from example 69 again. The following code invokes Sage to generate a random affine curve point, then applies our compression method to it:

```
sage: P = Secp256k1.random_point().xy()
sage: P
(1031516485458923212431072684560215298570682976470118124170755
 31297966297499499, 9654376537625196092932975916044184443049
 5341599136462789254941180034691599894)
sage: # uncompressed affine point size
sage: ZZ(P[0]).nbits()+ZZ(P[1]).nbits()
512
sage: # compute the compression
sage: if P[1] > Fp(-1)/Fp(2):
.....:     PARITY = 1
.....: else:
.....:     PARITY = 0
sage: PCOMPRESSED = [P[0], PARITY]
sage: PCOMPRESSED
[1031516485458923212431072684560215298570682976470118124170755
 31297966297499499, 1]
sage: # compressed affine point size
sage: ZZ(PCOMPRESSED[0]).nbits()+ZZ(PCOMPRESSED[1]).nbits()
257
```

S: I don't follow this at all

check reference

**Affine group law** One of the key properties of an elliptic curve is that it is possible to define a group law on the set of its rational points such that the point at infinity serves as the neutral element and inverses are reflections on the  $x$ -axis.

The origin of this law can be understood in a geometric picture and is known as the **chord-and-tangent rule**. In the affine representation of a short Weierstraß curve, the rule can be described in the following way:

add explanation of how this shows what we claim

### Definition 5.1.1.1. Chord-and-tangent rule

- (Point at infinity) We define the point at infinity  $\mathcal{O}$  as the neutral element of addition, that is, we define  $P + \mathcal{O} = P$  for all points  $P \in E(\mathbb{F})$ .

should  
this def.  
be moved  
even ear-  
lier?

- (Point addition) Let  $P, Q \in E(\mathbb{F}) \setminus \{\mathcal{O}\}$  with  $P \neq Q$  be two distinct points on an elliptic curve, neither of them the point at infinity. The sum of  $P$  and  $Q$  is defined as follows: Consider the line  $l$  which intersects the curve in  $P$  and  $Q$ . If  $l$  intersects the elliptic curve at a third point  $R'$ , define the sum  $R = P \oplus Q$  of  $P$  and  $Q$  as the reflection of  $R'$  at the  $x$ -axis. If the line  $l$  does not intersect the curve at a third point, define the sum to be the point at infinity  $\mathcal{O}$ . It can be shown that no such **chord line** will intersect the curve in more than three points, so addition is not ambiguous.

chord line

- (Point doubling) Let  $P \in E(\mathbb{F}) \setminus \{\mathcal{O}\}$  be a point on an elliptic curve, that is not the point at infinity. The sum of  $P$  with itself (the doubling of  $P$ ) is defined as follows: Consider the line which is **tangential** to the elliptic curve at  $P$ . If this line intersects the elliptic curve at a second point  $R'$ , the sum  $2P = P + P$  is the reflection of  $R'$  at the  $x$ -axis. If it does not intersect the curve at a third, point define the sum to be the point at infinity  $\mathcal{O}$ . It can be shown that no such **tangent line** will intersect the curve in more than two points, so addition is not ambiguous.

tangential

tangent  
line

It can be shown that the points of an elliptic curve form a commutative group with respect to the tangent-and-chord rule such that  $\mathcal{O}$  acts the neutral element, and the inverse of any element  $P \in E(\mathbb{F})$  is the reflection of  $P$  on the  $x$ -axis.

To translate the geometric description into algebraic equations, first observe that, for any two given curve points  $(x_1, y_1), (x_2, y_2) \in E(\mathbb{F})$ , it can be shown that the identity  $x_1 = x_2$  implies  $y_2 = \pm y_1$ , which shows that the following rules are a complete description of the affine addition law.

### Definition 5.1.1.2. Chord-and-tangent rule: algebraic equations

- (Neutral element) The point at infinity  $\mathcal{O}$  is the neutral element.
- (Additive inverse ) The additive inverse of  $\mathcal{O}$  is  $\mathcal{O}$ . For any other curve point  $(x, y) \in E(\mathbb{F}) \setminus \{\mathcal{O}\}$ , the additive inverse is given by  $(x, -y)$ .
- (Addition rule) For any two curve points  $P, Q \in E(\mathbb{F})$ , addition is defined by one of the following three cases:

1. (Adding the neutral element) If  $Q = \mathcal{O}$ , then the sum is defined as  $P \oplus Q = P$ .
2. (Adding inverse elements) If  $P = (x, y)$  and  $Q = (x, -y)$ , the sum is defined as  $P \oplus Q = \mathcal{O}$ .
3. (Adding non-self-inverse equal points) If  $P = (x, y)$  and  $Q = (x, y)$  with  $y \neq 0$ , the sum  $2P = (x', y')$  is defined as follows: **We only referred to  $P$  in the definition of point doubling above so  $Q$  seems a bit confusing here even though it's defined as equal to  $P$**

remove  
 $Q$ ?

$$x' = \left( \frac{3x^2 + a}{2y} \right)^2 - 2x \quad , \quad y' = \left( \frac{3x^2 + a}{2y} \right)^2 (x - x') - y$$

4. (Adding non-inverse different points) If  $P = (x_1, y_1)$  and  $Q = (x_2, y_2)$  such that  $x_1 \neq x_2$ , the sum  $R = P + Q$  with  $R = (x_3, y_3)$  is defined as follows:

$$x_3 = \left( \frac{y_2 - y_1}{x_2 - x_1} \right)^2 - x_1 - x_2 \quad , \quad y_3 = \left( \frac{y_2 - y_1}{x_2 - x_1} \right) (x_1 - x_3) - y_1$$

2786 Note that short Weierstraß curve points  $P$  with  $P = (x, 0)$  are inverses of themselves, which  
 2787 implies  $2P = \mathcal{O}$  in this case.

2788 *Notation and Symbols 11.* Let  $\mathbb{F}$  be a field and  $E(\mathbb{F})$  be an elliptic curve over  $\mathbb{F}$ . We write  $\oplus$  for  
 2789 the group law on  $E(\mathbb{F})$  and  $(E(\mathbb{F}), \oplus)$  for the group of rational points.

2790 As we can see, it is very efficient to compute inverses on elliptic curves. However, com-  
 2791 puting the addition of elliptic curve points in the affine representation needs to consider many  
 2792 cases and involves extensive finite field divisions. As we will see in the next paragraph, this can  
 2793 be simplified in projective coordinates.

2794 To get some practical impression of how the group law on an elliptic curve is computed,  
 2795 let's look at some actual cases:

*Example 72.* Consider the elliptic curve  $E_1(\mathbb{F}_5)$  from example 67 again. As we have seen, the  
 set of rational points contains 9 elements:

$$E_1(\mathbb{F}_5) = \{\mathcal{O}, (0, 1), (2, 1), (3, 1), (4, 2), (4, 3), (0, 4), (2, 4), (3, 4)\}$$

2796 We know that this set defines a group, so we can add any two elements from  $E_1(\mathbb{F}_5)$  to get a  
 2797 third element.

To give an example, consider the elements  $(0, 1)$  and  $(4, 2)$ . Neither of these elements is  
 the neutral element  $\mathcal{O}$ , and since, the  $x$  coordinate of  $(0, 1)$  is different from the  $x$  coordinate of  
 $(4, 2)$ , we know that we have to use the chord rule, that is, rule number 4 from definition 5.1.1.2  
 to compute the sum  $(0, 1) \oplus (4, 2)$ :

$$\begin{aligned} x_3 &= \left( \frac{y_2 - y_1}{x_2 - x_1} \right)^2 - x_1 - x_2 && \# \text{ insert points} \\ &= \left( \frac{2 - 1}{4 - 0} \right)^2 - 0 - 4 && \# \text{ simplify in } \mathbb{F}_5 \\ &= \left( \frac{1}{4} \right)^2 + 1 = 4^2 + 1 = 1 + 1 = 2 \end{aligned}$$

$$\begin{aligned} y_3 &= \left( \frac{y_2 - y_1}{x_2 - x_1} \right) (x_1 - x_3) - y_1 && \# \text{ insert points} \\ &= \left( \frac{2 - 1}{4 - 0} \right) (0 - 2) - 1 && \# \text{ simplify in } \mathbb{F}_5 \\ &= \left( \frac{1}{4} \right) \cdot 3 + 4 = 4 \cdot 3 + 4 = 2 + 4 = 1 \end{aligned}$$

So, in our elliptic curve  $E_1(\mathbb{F}_5)$  we get  $(0, 1) \oplus (4, 2) = (2, 1)$ , and, indeed, the pair  $(2, 1)$  is an  
 element of  $E_1(\mathbb{F}_5)$  as expected. On the other hand,  $(0, 1) \oplus (0, 4) = \mathcal{O}$ , since both points have  
 equal  $x$  coordinates and inverse  $y$  coordinates, rendering them inverses of each other. Adding  
 the point  $(4, 2)$  to itself, we have to use the tangent rule, that is, rule 3 from definition 5.1.1.2:

where?

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$$\begin{aligned}
 x' &= \left( \frac{3x^2 + a}{2y} \right)^2 - 2x && \# \text{ insert points} \\
 &= \left( \frac{3 \cdot 4^2 + 1}{2 \cdot 2} \right)^2 - 2 \cdot 4 && \# \text{ simplify in } \mathbb{F}_5 \\
 &= \left( \frac{3 \cdot 1 + 1}{4} \right)^2 + 3 \cdot 4 = \left( \frac{4}{4} \right)^2 + 2 = 1 + 2 = 3
 \end{aligned}$$

$$\begin{aligned}
 y' &= \left( \frac{3x^2 + a}{2y} \right)^2 (x - x') - y && \# \text{ insert points} \\
 &= \left( \frac{3 \cdot 4^2 + 1}{2 \cdot 2} \right)^2 (4 - 3) - 2 && \# \text{ simplify in } \mathbb{F}_5 \\
 &= 1 \cdot 1 + 3 = 4
 \end{aligned}$$

2798 So, in our elliptic curve  $E_1(\mathbb{F}_5)$ , we get the doubling of  $(4, 2)$ , that is,  $(4, 2) \oplus (4, 2) = (3, 4)$ ,  
 2799 and, indeed the pair  $(3, 4)$  is an element of  $E_1(\mathbb{F}_5)$  as expected. The group  $E_1(\mathbb{F}_5)$  has no self-  
 2800 inverse points other than the neutral element  $\mathcal{O}$ , since no point has 0 as its y coordinate. We can  
 2801 invoke Sage to double-check the computations.

```

2802 sage: F5 = GF(5)                                     277
2803 sage: E1 = EllipticCurve(F5, [1, 1])                 278
2804 sage: INF = E1(0) # point at infinity                 279
2805 sage: P1 = E1(0, 1)                                   280
2806 sage: P2 = E1(4, 2)                                   281
2807 sage: P3 = E1(0, 4)                                   282
2808 sage: R1 = E1(2, 1)                                   283
2809 sage: R2 = E1(3, 4)                                   284
2810 sage: R1 == P1+P2                                     285
2811 True                                                  286
2812 sage: INF == P1+P3                                    287
2813 True                                                  288
2814 sage: R2 == P2+P2                                     289
2815 True                                                  290
2816 sage: R2 == 2*P2                                     291
2817 True                                                  292
2818 sage: P3 == P3 + INF                                  293
2819 True                                                  294

```

*Example 73* (Tiny-jubjub). Consider the *TJJ\_13*-curve from example 68 again and recall that its group of rational points is given as follows:

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reference

$$\begin{aligned}
 TJJ_{13} = \{ &\mathcal{O}, (1, 2), (1, 11), (4, 0), (5, 2), (5, 11), (6, 5), (6, 8), (7, 2), (7, 11), \\
 &(8, 5), (8, 8), (9, 4), (9, 9), (10, 3), (10, 10), (11, 6), (11, 7), (12, 5), (12, 8) \}
 \end{aligned}$$

2820 In contrast to the group from the previous example, this group contains a self-inverse point,  
 2821 which is different from the neutral element, defined by  $(4, 0)$ . To see what this means, observe  
 2822 that we cannot add  $(4, 0)$  to itself using the tangent rule 3 from definition 5.1.1.2, as the y  
 2823 coordinate is zero. Instead, we have to use rule 2, since  $0 = -0$ . We therefore get  $(4, 0) \oplus$

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2824  $(4,0) = \mathcal{O}$  in *TJJ\_13*. The point  $(4,0)$  is therefore the inverse of itself, as adding it to itself  
 2825 results in the neutral element.

```

2826 sage: F13 = GF(13)                                295
2827 sage: MJJ = EllipticCurve(F13, [8, 8])              296
2828 sage: P = MJJ(4, 0)                                  297
2829 sage: INF = MJJ(0) # Point at infinity              298
2830 sage: INF == P+P                                     299
2831 True                                                300
2832 sage: INF == 2*P                                     301
2833 True                                                302

```

2834 *Example 74.* Consider the Secp256k1 curve from example 69 again. The following code in-  
 2835 vokes Sage to generate a random affine curve point, then applies our compression method:

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reference

```

2836 sage: P = Secp256k1.random_point()                  303
2837 sage: Q = Secp256k1.random_point()                  304
2838 sage: INF = Secp256k1(0)                             305
2839 sage: R1 = -P                                         306
2840 sage: R2 = P + Q                                     307
2841 sage: R3 = Secp256k1.order()*P                       308
2842 sage: P.xy()                                         309
2843 (4693324551387010171607236610287446477446880864085889415738070 310
2844      8221482004401226, 50977877985656086694891507925675689060732
2845      157246333726365319478278495727506720)
2846 sage: Q.xy()                                         311
2847 (4165936974647719035556980504277562089799429426081463940794235 312
2848      6958526858675225, 22652021841062826376995594023289180635768
2849      52666383787557950579915185027860314)
2850 sage: (ZZ(R1[0]).str(16), ZZ(R1[1]).str(16))         313
2851 ('67c3468d5154a95a876a7c6e23d9cb6a47771773a8f8fb834506441f4fbc 314
2852      4c4a', '8f4b8b26442024e01d847fd0dfcd5998b432dbb5184dc0b296
2853      05a2520b8270f')
2854 sage: R2.xy()                                         315
2855 (1084222454095274307638493649009502123041150439478734138946697 316
2856      56066597672279285, 1180069212255859673575499876395978437957
2857      2883996627759636219136100352930888591)
2858 sage: R3 == INF                                       317
2859 True                                                  318
2860 sage: P[1]+R1[1] == Fp(0) # -(x,y) = (x,-y)         319
2861 True                                                  320

```

2862 *Exercise 54.* Consider the *TJJ\_13*-curve from example 68.

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reference

- 2863 1. Compute the inverse of  $(10,10)$ ,  $\mathcal{O}$ ,  $(4,0)$  and  $(1,2)$ .
- 2864 2. Compute the expression  $3 \cdot (1,11) - (9,9)$ .
- 2865 3. Solve the equation  $x + 2(9,4) = (5,2)$  for some  $x \in TJJ_{13}$
- 2866 4. Solve the equation  $x \cdot (7,11) = (8,5)$  for  $x \in \mathbb{Z}$



**Scalar multiplication** As we have seen in the previous section, elliptic curves  $E(\mathbb{F})$  have the structure of a commutative group associated to them. Moreover, It can moreover be shown that this group is finite and cyclic whenever the field is finite.

To understand elliptic curve scalar multiplication, recall from page 43 that every finite cyclic group of order  $q$  has a generator  $g$  and an associated exponential map  $g^{(\cdot)} : \mathbb{Z}_q \rightarrow \mathbb{G}$ , where  $g^n$  is the  $n$ -fold product of  $g$  with itself.

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Elliptic curve scalar multiplication is the exponential map written in additive notation. To be more precise, let  $\mathbb{F}$  be a finite field,  $E(\mathbb{F})$  an elliptic curve of order  $r$ , and  $P$  a generator of  $E(\mathbb{F})$ . Then the **elliptic curve scalar multiplication** with base  $P$  is defined as follows (where  $[0]P = \mathcal{O}$  and  $[m]P = P + P + \dots + P$  is the  $m$ -fold sum of  $P$  with itself):

$$[\cdot]P : \mathbb{Z}_r \rightarrow E(\mathbb{F}); m \mapsto [m]P$$

therefore, elliptic curve scalar multiplication is an instantiation of the general exponential map using additive instead of multiplicative notation. This map is a homomorph of groups, which means that  $[n + m]P = [n]P \oplus [m]P$ .

As with all finite, cyclic groups, the inverse of the exponential map exists and is usually called the **elliptic curve discrete logarithm map**. However, elliptic curves are believed to be XXX-groups, which means that we don't know of any efficient way to actually compute this map.

add term

Scalar multiplication and its inverse, the elliptic curve discrete logarithm, define the **elliptic curve discrete logarithm problem**, which consists of finding solutions  $m \in \mathbb{Z}_r$  such that the following equation holds:

$$P = [m]Q \quad (5.3)$$

Any solution  $m$  is usually called a **discrete logarithm relation** between  $P$  and  $Q$ . If  $Q$  is a generator of the curve, then there is a discrete logarithm relation between  $Q$  and any other point, since  $Q$  generates the group by repeatedly adding  $Q$  to itself. Therefore, we know that some discrete logarithm relation exists for generator  $Q$  and point  $P$ . However, since elliptic curves are believed to be XXX-groups, finding actual relations  $m$  is computationally hard, with runtimes being approximately the size of the order of the group. In practice, we often need the assumption that a discrete logarithm relation exists, while the relation itself is not known.

add term

One useful property of the exponential map in regard to the examples in this book is that it can be used to greatly simplify pen-and-paper computations. As we have seen in example XXX, computing the elliptic curve addition law takes quite a bit of effort when done without a computer. However, when  $g$  is a generator of a small pen-and-paper elliptic curve group of order  $r$ , we can use the exponential map to write the group using **cofactor clearing**, which implies that  $[r]g = \mathcal{O}$ :

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encecofactor  
clearing

$$\mathbb{G} = \{[1]g \rightarrow [2]g \rightarrow [3]g \rightarrow \dots \rightarrow [r-1]g \rightarrow \mathcal{O}\} \quad (5.4)$$

“Logarithmic ordering” like this greatly simplifies complicated elliptic curve addition to the much simpler case of modular  $r$  addition. In order to add two curve points  $P$  and  $Q$ , we only have to look up their discrete log relations with the generator, say  $P = [n]g$  and  $Q = [m]g$ , and compute the sum as  $P \oplus Q = [n + m]g$ . This is, of course, only possible for small groups where we can keep a clear overview, such as XXX.

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ence

In the following example, we will look at some implications of the fact that elliptic curves are finite cyclic groups. We will apply the fundamental theorem of finite cyclic groups and look how it reflects on the curves in consideration.

*Example 75.* Consider the elliptic curve group  $E_1(\mathbb{F}_5)$  from example 67. Since it is a finite cyclic group of order 9, and the prime factorization of 9 is  $3 \cdot 3$ , we can use the fundamental

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theorem of finite cyclic groups to reason about all its subgroups. In fact, since the only prime factor of 9 is 3, we know that  $E_1(\mathbb{F}_5)$  has the following subgroups:

- $\mathbb{G}_1 = E_1(\mathbb{F}_5)$  is a subgroup of order 9. By definition, any group is a subgroup of itself.
- $\mathbb{G}_2 = \{(2, 1), (2, 4), \mathcal{O}\}$  is a subgroup of order 3. This is the subgroup associated to the prime factor 3.
- $\mathbb{G}_3 = \{\mathcal{O}\}$  is a subgroup of order 1. This is the trivial subgroup.

Moreover, since  $E_1(\mathbb{F}_5)$  and all its subgroups are cyclic, we know from page 43 that they must have generators. For example, the curve point  $(2, 1)$  is a generator of the order 3 subgroup  $\mathbb{G}_2$ , since every element of  $\mathbb{G}_2$  can be generated by repeatedly adding  $(2, 1)$  to itself:

$$\begin{aligned}[1](2, 1) &= (2, 1) \\ [2](2, 1) &= (2, 4) \\ [3](2, 1) &= \mathcal{O}\end{aligned}$$

Since  $(2, 1)$  is a generator, we know from XXX that it gives rise to an exponential map from the finite field  $\mathbb{F}_3$  onto  $\mathbb{G}_2$  defined by scalar multiplication:

$$[\cdot](2, 1) : \mathbb{F}_3 \rightarrow \mathbb{G}_2 : x \mapsto [x](2, 1)$$

To give an example of a generator that generates the entire group  $E_1(\mathbb{F}_5)$ , consider the point  $(0, 1)$ . Applying the tangent rule repeatedly, we compute as follows:

$$\begin{array}{ll} [0](0, 1) = \mathcal{O} & [1](0, 1) = (0, 1) \\ [2](0, 1) = (4, 2) & [3](0, 1) = (2, 1) \\ [4](0, 1) = (3, 4) & [5](0, 1) = (3, 1) \\ [6](0, 1) = (2, 4) & [7](0, 1) = (4, 3) \\ [8](0, 1) = (0, 4) & [9](0, 1) = \mathcal{O} \end{array}$$

Again, since  $(2, 1)$  is a generator, we know from XXX that it gives rise to an exponential map. However, since the group order is not a prime number, the exponential map does not map from any field, but from the residue class ring  $\mathbb{Z}_9$  only:

$$[\cdot](0, 1) : \mathbb{Z}_9 \rightarrow \mathbb{G}_1 : x \mapsto [x](0, 1)$$

Using the generator  $(0, 1)$  and its associated exponential map, we can write  $E(\mathbb{F}_1)$  i logarithmic order with respect to  $(0, 1)$  as explained in equation 5.4. We get the following:

$$E_1(\mathbb{F}_5) = \{(0, 1) \rightarrow (4, 2) \rightarrow (2, 1) \rightarrow (3, 4) \rightarrow (3, 1) \rightarrow (2, 4) \rightarrow (4, 3) \rightarrow (0, 4) \rightarrow \mathcal{O}\}$$

This indicates that the first element is a generator, and the  $n$ -th element is the scalar product of  $n$  and the generator. To see how logarithmic orders like this simplify the computations in small elliptic curve groups, consider example 72 again. In that example, we use the chord-and-tangent rule to compute  $(0, 1) \oplus (4, 2)$ . Now, in the logarithmic order of  $E_1(\mathbb{F})$ , we can compute that sum much easier, since we can directly see that  $(0, 1) = [1](0, 1)$  and  $(4, 2) = [2](0, 1)$ . We can then deduce  $(0, 1) \oplus (4, 2) = (2, 1)$  immediately, since  $[1](0, 1) \oplus [2](0, 1) = [3](0, 1) = (2, 1)$ .

To give another example, we can immediately see that  $(3, 4) \oplus (4, 3) = (4, 2)$ , without doing any expensive elliptic curve addition, since we know  $(3, 4) = [4](0, 1)$  as well as  $(4, 3) =$



2920  $[7](0, 1)$  from the logarithmic representation of  $E_1(\mathbb{F}_5)$ . Since  $4 + 7 = 2$  in  $\mathbb{Z}_9$ , the result must  
 2921 be  $[2](0, 1) = (4, 2)$ .

2922 Finally we can use  $E_1(\mathbb{F}_5)$  as an example to understand the concept of cofactor clearing from  
 2923 5.4. Since the order of  $E_1(\mathbb{F}_5)$  is 9, we only have a single factor, which happen to be the cofactor  
 2924 as well. Cofactor clearing then implies that we can map any element from  $E_1(\mathbb{F}_5)$  onto its prime  
 2925 factor group  $\mathbb{G}_2$  by scalar multiplication with 3. For example, taking the element  $(3, 4)$ , which  
 2926 is not in  $\mathbb{G}_2$ , and multiplying it with 3, we get  $[3](3, 4) = (2, 1)$ , which is an element of  $\mathbb{G}_2$  as  
 2927 expected.

check  
reference

2928 In the following example, we will look at the subgroups of our tiny-jubjub curve, define  
 2929 generators, and compute the logarithmic order for pen-and-paper computations. Then we take  
 2930 another look at the principle of cofactor clearing.

2931 *Example 76.* Consider the tiny-jubjub curve *TJJ\_13* from example 68 again. Since the order of  
 2932 *TJJ\_13* is 20, and the prime factorization of 20 is  $2^2 \cdot 5$ , we know that the *TJJ\_13* contains a  
 2933 “large” prime-order subgroup of size 5 and a small prime order subgroup of size 2.

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reference

2934 To compute those groups, we can apply the technique of cofactor clearing in a try-and-repeat  
 2935 loop. We start the loop by arbitrarily choosing an element  $P \in TJJ\_13$ , then multiplying that  
 2936 element with the cofactor of the group that we want to compute. If the result is  $\mathcal{O}$ , we try a  
 2937 different element and repeat the process until the result is different from the point at infinity  $\mathcal{O}$ .

2938 To compute a generator for the small prime-order subgroup  $(TJJ\_13)_2$ , first observe that the  
 2939 cofactor is 10, since  $20 = 2 \cdot 10$ . We then arbitrarily choose the curve point  $(5, 11) \in TJJ\_13$   
 2940 and compute  $[10](5, 11) = \mathcal{O}$ . Since the result is the point at infinity, we have to try another  
 2941 curve point, say  $(9, 4)$ . We get  $[10](9, 4) = (4, 0)$  and we can deduce that  $(4, 0)$  is a generator  
 2942 of  $(TJJ\_13)_2$ . Logarithmic order then gives  $(TJJ\_13)_2 = \{(4, 0) \rightarrow \mathcal{O}\}$  as expected, since we  
 2943 know from example 73 that  $(4, 0)$  is self-inverse, with  $(4, 0) \oplus (4, 0) = \mathcal{O}$ . We double check the  
 2944 computations using Sage:

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2945	<b>sage:</b> <code>F13 = GF(13)</code>	321
2946	<b>sage:</b> <code>TJJ = EllipticCurve(F13, [8, 8])</code>	322
2947	<b>sage:</b> <code>P = TJJ(5, 11)</code>	323
2948	<b>sage:</b> <code>INF = TJJ(0)</code>	324
2949	<b>sage:</b> <code>10*P == INF</code>	325
2950	<b>True</b>	326
2951	<b>sage:</b> <code>Q = TJJ(9, 4)</code>	327
2952	<b>sage:</b> <code>R = TJJ(4, 0)</code>	328
2953	<b>sage:</b> <code>10*Q == R</code>	329
2954	<b>True</b>	330

We can apply the same reasoning to the “large” prime-order subgroup  $(TJJ\_13)_5$ , which contains 5 elements. To compute a generator for this group, first observe that the associated cofactor is 4, since  $20 = 5 \cdot 4$ . We choose the curve point  $(9, 4) \in TJJ\_13$  again, and compute  $[4](9, 4) = (7, 11)$ . We can deduce that  $(7, 11)$  is a generator of  $(TJJ\_13)_5$ . Using the generator  $(7, 11)$ , we compute the exponential map  $[\cdot](7, 11) : \mathbb{F}_5 \rightarrow TJJ\_13$  and get the following:

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how

$$\begin{aligned}
 [0](7, 11) &= \mathcal{O} \\
 [1](7, 11) &= (7, 11) \\
 [2](7, 11) &= (8, 5) \\
 [3](7, 11) &= (8, 8) \\
 [4](7, 11) &= (7, 2)
 \end{aligned}$$

We can use this computation to write the large-order prime group  $(TJJ\_13)_5$  of the tiny-jubjub curve in logarithmic order, which we will use quite frequently in what follows. We get the following:

$$(TJJ\_13)_5 = \{(7, 11) \rightarrow (8, 5) \rightarrow (8, 8) \rightarrow (7, 2) \rightarrow \mathcal{O}\} \quad (5.5)$$

From this, we can immediately see, for example that  $(8, 8) \oplus (7, 2) = (8, 5)$ , since  $3 + 4 = 2$  in  $\mathbb{F}_5$ .

From the previous two examples, the reader might get the impression that elliptic curve computation can be largely replaced by modular arithmetics. This however, is not true in general, but only an artifact of small groups, where it is possible to write the entire group in a logarithmic order. The following example gives some understanding of why this is not possible in cryptographically secure groups.

*Example 77.* SEKTP BICOIN. DISCRETE LOG HARDNESS PROHIBITS ADDITION IN THE FIELD...

write example

**Projective short Weierstraß form** As we have seen in the previous section, describing elliptic curves as pairs of points that satisfy a certain equation is relatively straight-forward. However, in order to define a group structure on the set of points, we had to add a special point at infinity to act as the neutral element.

Recalling from the definition of projective planes (section 4.4), we know that points at infinity are handled as ordinary points in projective geometry. Therefore, it makes sense to look at the definition of a short Weierstraß curve in projective geometry.

check reference

To see what a short Weierstraß curve in projective coordinates is, let  $\mathbb{F}$  be a finite field of order  $q$  and characteristic  $> 3$ , let  $a, b \in \mathbb{F}$  be two field elements such that  $4a^3 + 27b^2 \bmod q \neq 0$  and let  $\mathbb{FP}^2$  be the projective plane over  $\mathbb{F}$ . Then a **short Weierstraß elliptic curve** over  $\mathbb{F}$  in its projective representation is the set of all points  $[X : Y : Z] \in \mathbb{FP}^2$  from the projective plane that satisfy the **homogenous** cubic equation  $Y^2 \cdot Z = X^3 + a \cdot X \cdot Z^2 + b \cdot Z^3$ :

$$E(\mathbb{FP}^2) = \{[X : Y : Z] \in \mathbb{FP}^2 \mid Y^2 \cdot Z = X^3 + a \cdot X \cdot Z^2 + b \cdot Z^3\} \quad (5.6)$$

To understand how the point at infinity is unified in this definition, recall from XXX that, in projective geometry, points at infinity are given by homogeneous coordinates  $[X : Y : 0]$ . Inserting representatives  $(x_1, y_1, 0) \in [X : Y : 0]$  from those classes into the defining homogenous cubic equations gives the following:

add reference

$$\begin{aligned} y_1^2 \cdot 0 &= x_1^3 + a \cdot x_1 \cdot 0^2 + b \cdot 0^3 \\ 0 &= x_1^3 \end{aligned} \quad \Leftrightarrow$$

This shows that the only point at infinity, that is also a point on a projective short Weierstraß curve is the class  $[0, 1, 0] = \{(0, y, 0) \mid y \in \mathbb{F}\}$ .

This point is the projective representation of  $\mathcal{O}$ . The projective representation of a short Weierstraß curve, therefore, has the advantage that it does not need a special symbol to represent the point at infinity  $\mathcal{O}$  from the affine definition.

*Example 78.* To get an intuition of how an elliptic curve in projective geometry looks, consider curve  $E_1(\mathbb{F}_5)$  from example (67). We know that, in its affine representation, the set of rational points is given as follows:

check reference

$$E_1(\mathbb{F}_5) = \{\mathcal{O}, (0, 1), (2, 1), (3, 1), (4, 2), (4, 3), (0, 4), (2, 4), (3, 4)\} \quad (5.7)$$

2987 This is defined as the set of all pairs  $(x, y) \in \mathbb{F}_5 \times \mathbb{F}_5$  such that the affine short Weierstraß  
 2988 equation  $y^2 = x^3 + ax + b$  with  $a = 1$  and  $b = 1$  is satisfied.

2989 To find the projective representation of a short Weierstraß curve with the same parameters  
 2990  $a = 1$  and  $b = 1$ , we have to compute the set of projective points  $[X : Y : Z]$  from the projec-  
 2991 tive plane  $\mathbb{F}_5\mathbb{P}^2$  that satisfy the following homogenous cubic equation for any representative  
 2992  $(x_1, y_1, z_1) \in [X : Y : Z]$ :

$$y_1^2 z_1 = x_1^3 + 1 \cdot x_1 z_1^2 + 1 \cdot z_1^3 \quad (5.8)$$

2993 We know from XXX that the projective plane  $\mathbb{F}_5\mathbb{P}^2$  contains  $5^2 + 5 + 1 = 31$  elements, so we  
 2994 can take the effort and insert all elements into equation 5.8 and see if both sides match.

For example, consider the projective point  $[0 : 4 : 1]$ . We know from XXX that this point in  
 the projective plane represents the following line in the three-dimensional space  $\mathbb{F}^3$ :

$$[0 : 4 : 1] = \{(0, 0, 0), (0, 4, 1), (0, 3, 2), (0, 2, 3), (0, 1, 4)\}$$

To check whether or not  $[0 : 4 : 1]$  satisfies 5.8, we can insert any representative, in other words,  
 any element from XXX. Each element satisfies the equation if and only if all other elements  
 satisfy the equation. So, we insert  $(0, 4, 1)$  and get the following result:

$$1^2 \cdot 1 = 0^3 + 1 \cdot 0 \cdot 1^2 + 1 \cdot 1^3$$

This tells us that the affine point  $[0 : 4 : 1]$  is indeed a solution to the equation 5.8, but we  
 could just as well have inserted any other representative. For example, inserting  $(0, 3, 2)$  also  
 satisfies 5.8:

$$3^2 \cdot 2 = 0^3 + 1 \cdot 0 \cdot 2^2 + 1 \cdot 2^3$$

2995 To find the projective representation of  $E_1$ , we first observe that the projective line at infinity  
 2996  $[1 : 0 : 0]$  is not a curve point on any projective short Weierstraß curve, since it cannot satisfy  
 2997 XXX for any parameter  $a$  and  $b$ . Therefore, we can exclude it from our consideration.

2998 Moreover, a point at infinity  $[X : Y : 0]$  can only satisfy equation XXX for any  $a$  and  $b$ , if  
 2999  $X = 0$ , which implies that the only point at infinity relevant for short Weierstraß elliptic curves  
 3000 is  $[0 : 1 : 0]$ , since  $[0 : k : 0] = [0 : 1 : 0]$  for all  $k$  from the finite field. Therefore, we can exclude  
 3001 all points at infinity except the point  $[0 : 1 : 0]$ .

3002 All points that remain are the affine points  $[X : Y : 1]$ . Inserting all of them into XXX, we  
 3003 get the set of all projective curve points as follows:

$$E_1(\mathbb{F}_5\mathbb{P}^2) = \{[0 : 1 : 0], [0 : 1 : 1], [2 : 1 : 1], [3 : 1 : 1], \\ [4 : 2 : 1], [4 : 3 : 1], [0 : 4 : 1], [2 : 4 : 1], [3 : 4 : 1]\}$$

3004 If we compare this with the affine representation, we see that there is a 1:1 correspondence  
 3005 between the points in the affine representation in 5.7 and the affine points in projective geometry,  
 3006 and that the point  $[0 : 1 : 0]$  represents the additional point  $\mathcal{O}$  in the projective representation.

3007 *Exercise 55.* Compute the projective representation of the tiny-jubjub curve and the logarithmic  
 3008 order of its large prime-order subgroup with respect to the generator  $(7, 11)$ .

3009 **Projective Group law** As we have seen on page 72, one of the key properties of an elliptic  
 3010 curve is that it comes with a definition of a group law on the set of its rational points, described  
 3011 geometrically by the chord-and-tangent rule (definition 5.1.1.1). This rule was kind of intuitive,

with the exception of the distinguished point at infinity, which appeared whenever the chord or the tangent did not have a third intersection point with the curve.

One of the key features of projective coordinates is that, in projective space, it is guaranteed that any chord will always intersect the curve in three points, and any tangent will intersect it in two points including the tangent point. So, the geometric picture simplifies, as we don't need to consider external symbols and associated cases.

Again, it can be shown that the points of an elliptic curve in projective space form a commutative group with respect to the tangent-and-chord rule such that the projective point  $[0 : 1 : 0]$  is the neutral element, and the additive inverse of a point  $[X : Y : Z]$  is given by  $[X : -Y : Z]$ . The addition law is usually described by the following algorithm, minimizing the number of necessary additions and multiplications in the base field.

*Exercise 56.* Compare the affine addition law for short Weierstraß curves with the projective addition rule. Which branch in the projective rule corresponds to which case in the affine law?

Check if following Alg is floated too far

**Coordinate Transformations** As we have seen in example XXX, there was a close relation between the affine and the projective representation of a short Weierstraß curve. This was not a coincidence. In fact, from a mathematical point of view, projective and affine short Weierstraß curves describe the same thing, as there is a one-to-one correspondence (an isomorphism) between both representations for any arbitrary parameters  $a$  and  $b$ .

add reference

To specify the isomorphism, let  $E(\mathbb{F})$  and  $E(\mathbb{FP}^2)$  be an affine and a projective short Weierstraß curve defined for the same parameters  $a$  and  $b$ . Then the map in 5.9 maps points from the affine representation to points from the projective representation of a short Weierstraß curve. In other words, if the pair of points  $(x, y)$  satisfies the affine equation  $y^2 = x^3 + ax + b$ , then all homogeneous coordinates  $(x_1, y_1, z_1) \in [x : y : 1]$  satisfy the projective equation  $y_1^2 \cdot z_1 = x_1^3 + ay_1 \cdot z_1^2 + b \cdot z_1^3$ .

$$\Phi : E(\mathbb{F}) \rightarrow E(\mathbb{FP}^2) : \begin{array}{ll} (x, y) & \mapsto [x : y : 1] \\ \mathcal{O} & \mapsto [0 : 1 : 0] \end{array} \quad (5.9)$$

The inverse is given by the following map:

$$\Phi^{-1} : E(\mathbb{FP}^2) \rightarrow E(\mathbb{F}) : [X : Y : Z] \mapsto \begin{cases} (\frac{X}{Z}, \frac{Y}{Z}) & \text{if } Z \neq 0 \\ \mathcal{O} & \text{if } Z = 0 \end{cases} \quad (5.10)$$

Note that the only projective point  $[X : Y : Z]$  with  $Z \neq 0$  that satisfies XXX is given by the class  $[0 : 1 : 0]$ .

add reference

One key feature of  $\Phi$  and its inverse is that it respects the group structure, which means that  $\Phi((x_1, y_1) \oplus (x_2, y_2))$  is equal to  $\Phi(x_1, y_1) \oplus \Phi(x_2, y_2)$ . The same holds true for the inverse map  $\Phi^{-1}$ .

Maps with these properties are called **group isomorphisms**, and, from a mathematical point of view, the existence of  $\Phi$  implies that these two definitions are equivalent, and implementations can choose freely between these representations.

## 5.1.2 Montgomery Curves

History and use of them (optimized scalar multiplication)

write up this part

**Algorithm 7** Projective Weierstraß Addition Law

---

**Require:**  $[X_1 : Y_1 : Z_1], [X_2 : Y_2 : Z_2] \in E(\mathbb{F}_{\mathbb{P}}^2)$

**procedure** ADD-RULE( $[X_1 : Y_1 : Z_1], [X_2 : Y_2 : Z_2]$ )

**if**  $[X_1 : Y_1 : Z_1] == [0 : 1 : 0]$  **then**

$[X_3 : Y_3 : Z_3] \leftarrow [X_2 : Y_2 : Z_2]$

**else if**  $[X_2 : Y_2 : Z_2] == [0 : 1 : 0]$  **then**

$[X_3 : Y_3 : Z_3] \leftarrow [X_1 : Y_1 : Z_1]$

**else**

$U_1 \leftarrow Y_2 \cdot Z_1$

$U_2 \leftarrow Y_1 \cdot Z_2$

$V_1 \leftarrow X_2 \cdot Z_1$

$V_2 \leftarrow X_1 \cdot Z_2$

**if**  $V_1 == V_2$  **then**

**if**  $U_1 \neq U_2$  **then**  $[X_3 : Y_3 : Z_3] \leftarrow [0 : 1 : 0]$

**else**

**if**  $Y_1 == 0$  **then**  $[X_3 : Y_3 : Z_3] \leftarrow [0 : 1 : 0]$

**else**

$W \leftarrow a \cdot Z_1^2 + 3 \cdot X_1^2$

$S \leftarrow Y_1 \cdot Z_1$

$B \leftarrow X_1 \cdot Y_1 \cdot S$

$H \leftarrow W^2 - 8 \cdot B$

$X' \leftarrow 2 \cdot H \cdot S$

$Y' \leftarrow W \cdot (4 \cdot B - H) - 8 \cdot Y_1^2 \cdot S^2$

$Z' \leftarrow 8 \cdot S^3$

$[X_3 : Y_3 : Z_3] \leftarrow [X' : Y' : Z']$

**end if**

**end if**

**else**

$U = U_1 - U_2$

$V = V_1 - V_2$

$W = Z_1 \cdot Z_2$

$A = U^2 \cdot W - V^3 - 2 \cdot V^2 \cdot V_2$

$X' = V \cdot A$

$Y' = U \cdot (V^2 \cdot V_2 - A) - V^3 \cdot U_2$

$Z' = V^3 \cdot W$

$[X_3 : Y_3 : Z_3] \leftarrow [X' : Y' : Z']$

**end if**

**end if**

**return**  $[X_3 : Y_3 : Z_3]$

**end procedure**

**Ensure:**  $[X_3 : Y_3 : Z_3] == [X_1 : Y_1 : Z_1] \oplus [X_2 : Y_2 : Z_2]$

---

**Affine Montgomery Form** To see what a Montgomery curve in affine coordinates is, let  $\mathbb{F}$  be a finite field of characteristic  $> 2$ , and let  $A, B \in \mathbb{F}$  be two field elements such that  $B \neq 0$  and  $A^2 \neq 4$ . A **Montgomery elliptic curve**  $M(\mathbb{F})$  over  $\mathbb{F}$  in its affine representation is the set of all pairs of field elements  $(x, y) \in \mathbb{F} \times \mathbb{F}$  that satisfy the Montgomery cubic equation  $B \cdot y^2 = x^3 + A \cdot x^2 + x$ , together with a distinguished symbol  $\mathcal{O}$ , called the **point at infinity**.

$$M(\mathbb{F}) = \{(x, y) \in \mathbb{F} \times \mathbb{F} \mid B \cdot y^2 = x^3 + A \cdot x^2 + x\} \cup \{\mathcal{O}\} \quad (5.11)$$

Despite the fact that Montgomery curves look different from short Weierstraß curves, they are just a special way to describe certain short Weierstraß curves. In fact, every curve in affine Montgomery form can be transformed into an elliptic curve in Weierstraß form. To see that, assume that a curve is given in Montgomery form  $By^2 = x^3 + Ax^2 + x$ . The associated Weierstraß form is then as follows:

$$y^2 = x^3 + \frac{3 - A^2}{3B^2} \cdot x + \frac{2A^3 - 9A}{27B^3} \quad (5.12)$$

On the other hand, an elliptic curve  $E(\mathbb{F})$  over base field  $\mathbb{F}$  in Weierstraß form  $y^2 = x^3 + ax + b$  can be converted to Montgomery form if and only if the following conditions hold:

**Definition 5.1.2.1. Requirements for Montgomery curves**

- The number of points on  $E(F)$  is divisible by 4
- The polynomial  $z^3 + az + b \in \mathbb{F}[z]$  has at least one root  $z_0 \in \mathbb{F}$
- $3z_0^2 + a$  is a quadratic residue in  $\mathbb{F}$ .

When these conditions are satisfied, then for  $s = (\sqrt{3z_0^2 + a})^{-1}$ , the equivalent Montgomery curve is defined by the following equation:

$$sy^2 = x^3 + (3z_0s)x^2 + x \quad (5.13)$$

In the following example we will look at our tiny-jubjub curve again, and show that it is actually a Montgomery curve.

**Example 79.** Consider the prime field  $\mathbb{F}_{13}$  and the tiny-jubjub curve *TJJ\_13* from example 68. To see that it is a Montgomery curve, we have to check the requirements from 5.1.2.1:

Since the order of *TJJ\_13* is 20, which is divisible by 4, the first requirement is met.

Next, since  $a = 8$  and  $b = 8$ , we have to check if the polynomial  $P(z) = z^3 + 8z + 8$  has a root in  $\mathbb{F}_{13}$ . We simply evaluate  $P$  at all numbers  $z \in \mathbb{F}_{13}$ , and find that  $P(4) = 0$ , so a root is given by  $z_0 = 4$ .

In the last step, we have to check that  $3 \cdot z_0^2 + a$  has a root in  $\mathbb{F}_{13}$ . We compute as follows:

$$\begin{aligned} 3z_0^2 + a &= 3 \cdot 4^2 + 8 \\ &= 3 \cdot 3 + 8 \\ &= 9 + 8 \\ &= 4 \end{aligned}$$

To see if 4 is a quadratic residue, we can use Euler's criterion (4.32) to compute the Legendre symbol of 4. We get the following:

is the label in L<sup>A</sup>T<sub>E</sub>X correct here?

check reference

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$$\left(\frac{4}{13}\right) = 4^{\frac{13-1}{2}} = 4^6 = 1$$

3076 This means that 4 does have a root in  $\mathbb{F}_{13}$ . In fact, computing a root of 4 in  $\mathbb{F}_{13}$  is easy, since  
 3077 the integer root 2 of 4 is also one of its roots in  $\mathbb{F}_{13}$ . The other root is given by  $13 - 4 = 9$ .

Since all requirements are met, we have now shown that *TJJ\_13* is indeed a Montgomery curve, and we can use 5.13 to compute its associated Montgomery form. We compute as follows:

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reference

$$\begin{aligned} s &= \left( \sqrt{3 \cdot z_0^2 + 8} \right)^{-1} \\ &= 2^{-1} && \# \text{ Fermat's little theorem} \\ &= 2^{13-2} && \# 2048 \bmod 13 = 7 \\ &= 7 \end{aligned}$$

The defining equation for the Montgomery form of our tiny-jubjub curve is then given by the following equation:

$$\begin{aligned} sy^2 &= x^3 + (3z_0s)x^2 + x && \Rightarrow \\ 7 \cdot y^2 &= x^3 + (3 \cdot 4 \cdot 7)x^2 + x && \Leftrightarrow \\ 7 \cdot y^2 &= x^3 + 6x^2 + x \end{aligned}$$

3078 So, we get the defining parameters as  $B = 7$  and  $A = 6$ , and we can write the tiny-jubjub curve  
 3079 in its affine Montgomery representation as follows:

$$TJJ\_13 = \{(x, y) \in \mathbb{F}_{13} \times \mathbb{F}_{13} \mid 7 \cdot y^2 = x^3 + 6x^2 + x\} \cup \{\mathcal{O}\} \quad (5.14)$$

Now that we have the abstract definition of our tiny-jubjub curve in Montgomery form, we can compute the set of points by inserting all pairs  $(x, y) \in \mathbb{F}_{13} \times \mathbb{F}_{13}$  similarly to how we computed the curve points in its Weierstraß representation. We get the following:

$$TJJ\_13 = \{\mathcal{O}, (0, 0), (1, 4), (1, 9), (2, 4), (2, 9), (3, 5), (3, 8), (4, 4), (4, 9), (5, 1), (5, 12), (7, 1), (7, 12), (8, 1), (8, 12), (9, 2), (9, 11), (10, 3), (10, 10)\}$$

3080

```

3081 sage: F13 = GF(13)                                     331
3082 sage: L_MTJJ = []                                       332
3083 .....: for x in F13:                                     333
3084 .....:     for y in F13:                                 334
3085 .....:         if F13(7)*y^2 == x^3 + F13(6)*x^2 + x:   335
3086 .....:             L_MTJJ.append((x, y))                 336
3087 sage: MTJJ = Set(L_MTJJ)                                 337
3088 sage: # does not compute the point at infinity          338

```

3089 **Affine Montgomery coordinate transformation** Comparing the Montgomery representa-  
 3090 tion of the previous example (equation 5.14) with the Weierstraß representation of the same  
 3091 curve (equation 5.2), we see that there is a 1:1 correspondence between the curve points in both

check  
reference



examples. This is no accident. In fact, if  $M_{A,B}$  is a Montgomery curve, and  $E_{a,b}$  a Weierstraß curve with  $a = \frac{3-A^2}{3B^2}$  and  $b = \frac{2A^2-9A}{27B^3}$  then the following function maps all points in Montgomery representation onto the points in Weierstraß representation:

$$\Phi : M_{A,B} \rightarrow E_{a,b} : (x,y) \mapsto \left( \frac{3x+A}{3B}, \frac{y}{B} \right) \quad (5.15)$$

This map is a 1:1 correspondence (an isomorphism), and its inverse map is given by the following equation (where  $z_0$  is a root of the polynomial  $z^3 + az + b \in \mathbb{F}[z]$  and  $s = (\sqrt{3z_0^2 + a})^{-1}$ ).

$$\Phi^{-1} : E_{a,b} \rightarrow M_{A,B} : (x,y) \mapsto (s \cdot (x - z_0), s \cdot y) \quad (5.16)$$

Using this map, it is therefore possible for implementations of Montgomery curves to freely transit between the Weierstraß and the Montgomery representation. However, as we saw in definition 5.1.2.1, not every Weierstraß curve is a Montgomery curve, as all criteria in 5.1.2.1 have to be satisfied. This means that the map  $\Phi^{-1}$  does not always exist.

*Example 80.* Consider our tiny-jubjub curve again. In equation 5.2 we derived its Weierstraß representation and in example 5.14, we derived its Montgomery representation.

To see how coordinate transformation  $\Phi$  works in this example, let's map points from the Montgomery representation onto points from the Weierstraß representation. Inserting, for example, the point  $(0,0)$  from the Montgomery representation 5.14 into  $\Phi$  gives the following:

$$\begin{aligned} \Phi(0,0) &= \left( \frac{3 \cdot 0 + A}{3B}, \frac{0}{B} \right) \\ &= \left( \frac{3 \cdot 0 + 6}{3 \cdot 7}, \frac{0}{7} \right) \\ &= \left( \frac{6}{8}, 0 \right) \\ &= (4,0) \end{aligned}$$

As we can see, the Montgomery point  $(0,0)$  maps to the self-inverse point  $(4,0)$  of the Weierstraß representation. On the other hand, we can use our computations of  $s = 7$  and  $z_0 = 4$  from XXX to compute the inverse map  $\Phi^{-1}$ , which maps points on the Weierstraß representation to points on the Montgomery form. Inserting, for example,  $(4,0)$  we get the following:

$$\begin{aligned} \Phi^{-1}(4,0) &= (s \cdot (4 - z_0), s \cdot 0) \\ &= (7 \cdot (4 - 4), 0) \\ &= (0,0) \end{aligned}$$

As expected, the inverse map maps the Weierstraß point back to where it originated in the Montgomery form. We can invoke Sage to check that our computation of  $\Phi$  is correct:

```

3105 sage: # Compute PHI of Montgomery form: 339
3106 sage: L_PHI_MTJJ = [] 340
3107 sage: for (x,y) in L_MTJJ: # LMJJ as defined previously 341
3108     ....:     v = (F13(3)*x + F13(6)) / (F13(3)*F13(7)) 342
3109     ....:     w = y/F13(7) 343
3110     ....:     L_PHI_MTJJ.append((v,w)) 344

```

check  
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ence



```

3111 sage: PHI_MTJJ = Set(L_PHI_MTJJ) 345
3112 sage: # Computation Weierstrass form 346
3113 sage: C_WTJJ = EllipticCurve(F13, [8, 8]) 347
3114 sage: L_WTJJ = [P.xy() for P in C_WTJJ.points() if P.order() > 348
3115 1]
3116 sage: WTJJ = Set(L_WTJJ) 349
3117 sage: # check PHI(Montgomery) == Weierstrass 350
3118 sage: WTJJ == PHI_MTJJ 351
3119 True 352
3120 sage: # check the inverse map PHI^(-1) 353
3121 sage: L_PHIINV_WTJJ = [] 354
3122 sage: for (v,w) in L_WTJJ: 355
3123 ....:     x = F13(7)*(v-F13(4)) 356
3124 ....:     y = F13(7)*w 357
3125 ....:     L_PHIINV_WTJJ.append((x,y)) 358
3126 sage: PHIINV_WTJJ = Set(L_PHIINV_WTJJ) 359
3127 sage: MTJJ == PHIINV_WTJJ 360
3128 True 361

```

3129 **Montgomery group law** We have seen that Montgomery curves special cases of short Weier-  
3130 straß curves. As such, they have a group structure defined on the set of their points, which can  
3131 also be derived from the chord-and-tangent rule. In accordance with short Weierstraß curves, it  
3132 can be shown that the identity  $x_1 = x_2$  implies  $y_2 = \pm y_1$ , meaning that the following rules are a  
3133 complete description of the affine addition law.

3134 *Definition 5.1.2.2. Montgomery group law*

- 3135 • (Neutral element) Point at infinity  $\mathcal{O}$  is the neutral element.
- 3136 • (Additive inverse ) The additive inverse of  $\mathcal{O}$  is  $\mathcal{O}$ . For any other curve point  $(x,y) \in$   
3137  $M(\mathbb{F}_q) \setminus \{\mathcal{O}\}$ , the additive inverse is given by  $(x, -y)$ .
- 3138 • (Addition rule) For any two curve points  $P, Q \in M(\mathbb{F}_q)$ , addition is defined by one of the  
3139 following cases:
  - 3140 1. (Adding the neutral element) If  $Q = \mathcal{O}$ , then the sum is defined as  $P + Q = P$ .
  - 3141 2. (Adding inverse elements) If  $P = (x,y)$  and  $Q = (x, -y)$ , the sum is defined as  $P +$   
3142  $Q = \mathcal{O}$ .
  3. (Adding non-self-inverse equal points) If  $P = (x,y)$  and  $Q = (x,y)$  with  $y \neq 0$ , the  
sum  $2P = (x', y')$  is defined as follows:

$$x' = \left( \frac{3x_1^2 + 2Ax_1 + 1}{2By_1} \right)^2 \cdot B - (x_1 + x_2) - A, \quad y' = \frac{3x_1^2 + 2Ax_1 + 1}{2By_1} (x_1 - x') - y_1$$

4. (Adding non-inverse different points) If  $P = (x_1, y_1)$  and  $Q = (x_2, y_2)$  such that  $x_1 \neq$   
 $x_2$ , the sum  $R = P + Q$  with  $R = (x_3, y_3)$  is defined as follows:

$$x' = \left( \frac{y_2 - y_1}{x_2 - x_1} \right)^2 B - (x_1 + x_2) - A, \quad y' = \frac{y_2 - y_1}{x_2 - x_1} (x_1 - x') - y_1$$

### 5.1.3 Twisted Edwards Curves

As we have seen in 5.1.2.2 both Weierstraß and Montgomery curves have somewhat complicated addition and doubling laws, as many cases have to be distinguished. Those various cases translate to branches in computer programs.

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reference

In the context of SNARK development, two computational models for bounded computations are used, called **circuits** and **rank-1 constraint systems**. Program branches are undesirably costly when implemented in those models. It is therefore advantageous to look for curves with an addition/doubling rule that requires no branches and as few field operations as possible.

**Twisted Edwards curves** are particularly useful here, as a subclass of these curves has a compact and easily implementable addition law that works for all points including the point at infinity. Implementing this law needs no branching.

**Twisted Edwards Form** To see what an affine **twisted Edwards curve** looks like, let  $\mathbb{F}$  be a finite field of characteristic  $> 2$ , and let  $a, d \in \mathbb{F} \setminus \{0\}$  be two non-zero field elements with  $a \neq d$ . A **twisted Edwards elliptic curve** in its affine representation is the set of all pairs  $(x, y)$  from  $\mathbb{F} \times \mathbb{F}$  that satisfy the twisted Edwards equation  $a \cdot x^2 + y^2 = 1 + d \cdot x^2 y^2$ , given below:

$$E(\mathbb{F}) = \{(x, y) \in \mathbb{F} \times \mathbb{F} \mid a \cdot x^2 + y^2 = 1 + d \cdot x^2 y^2\} \quad (5.17)$$

A twisted Edwards curve is called an **Edwards curve (non-twisted)**, if the parameter  $a$  is equal to 1, and it is called a **SNARK-friendly twisted Edwards curve** if the parameter  $a$  is a quadratic residue and the parameter  $d$  is a quadratic non-residue.

As we can see from the definition, affine twisted Edwards curves look somewhat different from Weierstraß curves, as their affine representation does not need a special symbol to represent the point at infinity. In fact, we will see that the pair  $(0, 1)$  is always a point on any twisted Edwards curve, and that it takes the role of the point at infinity.

Despite their different appearances however, twisted Edwards curves are equivalent to Montgomery curves in the sense that, for every twisted Edwards curve, there is a Montgomery curve, and a way to map the points of one curve in a 1:1 correspondence onto the other and vice versa. To see that, assume that a curve in twisted Edwards form  $a \cdot x^2 + y^2 = 1 + d \cdot x^2 y^2$  is given. The associated Montgomery curve is then defined by the Montgomery equation:

$$\frac{4}{a-d} y^2 = x^3 + \frac{2(a+d)}{a-d} \cdot x^2 + x \quad (5.18)$$

On the other hand, a Montgomery curve  $By^2 = x^3 + Ax^2 + x$  with  $B \neq 0$  and  $A^2 \neq 4$  can give rise to a twisted Edwards curve defined by the following equation:

$$\left(\frac{A+2}{B}\right)x^2 + y^2 = 1 + \left(\frac{A-2}{B}\right)x^2 y^2 \quad (5.19)$$

As we have seen in equation 5.12 and the following discussion, Montgomery curves are just a special class of Weierstraß curves. Furthermore we now know that twisted Edwards curves are special Weierstraß curves too. This means that the more general way to describe elliptic curves is as Weierstraß curves.

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*Example 81.* Consider the tiny-jubjub curve from example 68 again. We know from example 79 that it is a Montgomery curve, and, since Montgomery curves are equivalent to twisted Edwards curves, we want to write this curve in twisted Edwards form. We use equation 5.19,

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and compute the parameters  $a$  and  $d$  as follows:

$$\begin{aligned}
 a &= \frac{A+2}{B} && \# \text{ insert } A=6 \text{ and } B=7 \\
 &= \frac{8}{7} = 3 && \# 7^{-1} = 2 \\
 \\ 
 d &= \frac{A-2}{B} \\
 &= \frac{4}{7} = 8
 \end{aligned}$$

Thus, we get the defining parameters as  $a = 3$  and  $d = 8$ . Since our goal is to use this curve later on in implementations of pen-and-paper SNARKs, let us show that tiny-jubjub is also a **SNARK-friendly** twisted Edwards curve. To see that, we have to show that  $a$  is a quadratic residue and  $d$  is a quadratic non-residue. We therefore compute the Legendre symbols of  $a$  and  $d$  using Euler's criterion. We get the following:

$$\begin{aligned}
 \left( \frac{3}{13} \right) &= 3^{\frac{13-1}{2}} \\
 &= 3^6 = 1
 \end{aligned}$$

$$\begin{aligned}
 \left( \frac{8}{13} \right) &= 8^{\frac{13-1}{2}} \\
 &= 8^6 = 12 = -1
 \end{aligned}$$

3176 This proves that tiny-jubjub is SNARK-friendly. We can write the tiny-jubjub curve in its  
3177 affine twisted Edwards representation as follows:

$$TJJ_{13} = \{(x, y) \in \mathbb{F}_{13} \times \mathbb{F}_{13} \mid 3 \cdot x^2 + y^2 = 1 + 8 \cdot x^2 \cdot y^2\} \quad (5.20)$$

3178 Now that we have the abstract definition of our tiny-jubjub curve in twisted Edwards form,  
3179 we can compute the set of points by inserting all pairs  $(x, y) \in \mathbb{F}_{13} \times \mathbb{F}_{13}$ , similarly to how we  
3180 computed the curve points in its Weierstraß or Edwards representation. We get the following:

$$\begin{aligned}
 TJJ_{13} = \{ &(0, 1), (0, 12), (1, 2), (1, 11), (2, 6), (2, 7), (3, 0), (5, 5), (5, 8), (6, 4), \\
 &(6, 9), (7, 4), (7, 9), (8, 5), (8, 8), (10, 0), (11, 6), (11, 7), (12, 2), (12, 11) \}
 \end{aligned} \quad (5.21)$$

3181

```

3182 sage: F13 = GF(13)                                     362
3183 sage: L_ETJJ = []                                       363
3184 .....: for x in F13:                                    364
3185 .....:     for y in F13:                                365
3186 .....:         if F13(3)*x^2 + y^2 == 1+ F13(8)*x^2*y^2: 366
3187 .....:             L_ETJJ.append((x, y))                367
3188 sage: ETJJ = Set(L_ETJJ)                                368

```

**Twisted Edwards group law** As we have seen, twisted Edwards curves are equivalent to Montgomery curves, and, as such, also have a group law. However, in contrast to Montgomery and Weierstraß curves, the group law of SNARK-friendly twisted Edwards curves can be described by a single computation that works in all cases, no matter if we add the neutral element, the inverse, or if we have to double a point. To see what the group law looks like, first observe that the point  $(0, 1)$  is a solution to  $a \cdot x^2 + y^2 = 1 + d \cdot x^2 \cdot y^2$  for any curve. The sum of any two points  $(x_1, y_1), (x_2, y_2)$  on an Edwards curve  $E(\mathbb{F})$  is then given by the following equation:

$$(x_1, y_1) \oplus (x_2, y_2) = \left( \frac{x_1 y_2 + y_1 x_2}{1 + d x_1 x_2 y_1 y_2}, \frac{y_1 y_2 - a x_1 x_2}{1 - d x_1 x_2 y_1 y_2} \right) \quad (5.22)$$

and it can be shown that the point  $(0, 1)$  serves as the neutral element and the inverse of a point  $(x_1, y_1)$  is given by  $(-x_1, y_1)$ .

*Example 82.* Lets look at the tiny-jubjub curve in Edwards form from example 5.20 again. As we have seen, this curve is given by

$$TJJ\_13 = \{(0, 1), (0, 12), (1, 2), (1, 11), (2, 6), (2, 7), (3, 0), (5, 5), (5, 8), (6, 4), (6, 9), (7, 4), (7, 9), (8, 5), (8, 8), (10, 0), (11, 6), (11, 7), (12, 2), (12, 11)\}$$

To get an understanding of the twisted Edwards addition law, let's first add the neutral element  $(0, 1)$  to itself. We apply the group law 5.22 and get the following:

$$\begin{aligned} (0, 1) \oplus (0, 1) &= \left( \frac{0 \cdot 1 + 1 \cdot 0}{1 + 8 \cdot 0 \cdot 0 \cdot 1 \cdot 1}, \frac{1 \cdot 1 - 3 \cdot 0 \cdot 0}{1 - 8 \cdot 0 \cdot 0 \cdot 1 \cdot 1} \right) \\ &= (0, 1) \end{aligned}$$

So, as expected, the neutral element added to itself gives the neutral element again. Now let's add the neutral element to some other curve point. We get the following:

$$\begin{aligned} (0, 1) \oplus (8, 5) &= \left( \frac{0 \cdot 5 + 1 \cdot 8}{1 + 8 \cdot 0 \cdot 8 \cdot 1 \cdot 5}, \frac{1 \cdot 5 - 3 \cdot 0 \cdot 8}{1 - 8 \cdot 0 \cdot 8 \cdot 1 \cdot 5} \right) \\ &= (8, 5) \end{aligned}$$

Again, as expected, adding the neutral element to any element will result in that element again. Given any curve point  $(x, y)$ , we know that its inverse is given by  $(-x, y)$ . To see how the addition of a point to its inverse works, we compute as follows:

$$\begin{aligned} (5, 5) \oplus (8, 5) &= \left( \frac{5 \cdot 5 + 5 \cdot 8}{1 + 8 \cdot 5 \cdot 8 \cdot 5 \cdot 5}, \frac{5 \cdot 5 - 3 \cdot 5 \cdot 8}{1 - 8 \cdot 5 \cdot 8 \cdot 5 \cdot 5} \right) \\ &= \left( \frac{12 + 1}{1 + 5}, \frac{12 - 3}{1 - 5} \right) \\ &= \left( \frac{0}{6}, \frac{12 + 10}{1 + 8} \right) \\ &= \left( 0, \frac{9}{9} \right) \\ &= (0, 1) \end{aligned}$$

Adding a curve point to its inverse gives the neutral element, as expected. As we have seen from these examples, the twisted Edwards addition law handles edge cases particularly well and in a unified way.

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## 5.2 Elliptic Curve Pairings

As we have seen in equation 4.6, some groups come with the notation of a so-called pairing map, which is a non-degenerate bilinear map from two groups into another group.

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In this section, we discuss **pairings on elliptic curves**, which form the basis of several zk-SNARKs and other zero-knowledge proof schemes. The SNARKs derived from pairings have the advantage of constant proof sizes, which is crucial to blockchains.

We start out by defining elliptic curve pairings and discussing a simple application which bears some resemblance to more advanced SNARKs. We then introduce the pairings arising from elliptic curves and describe Miller's algorithm, which makes these pairings practical rather than just theoretically interesting.

Elliptic curves have a few structures, like the Weil or the Tate map that qualifies as pairing.

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**Embedding Degrees** As we will see in what follows, every elliptic curve gives rise to a pairing map. However, we will also see in example XXX that not every such pairing can be efficiently computed. In order to distinguish curves with efficiently computable pairings from the rest, we need to start with an introduction to the so-called **embedding degree** of a curve.

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ence

### Definition 5.2.0.1. Embedding degree

Let  $\mathbb{F}$  be a finite field, let  $E(\mathbb{F})$  be an elliptic curve over  $\mathbb{F}$ , and let  $n$  be a prime number that divides the order of  $E(\mathbb{F})$ . The embedding degree of  $E(\mathbb{F})$  with respect to  $n$  is then the smallest integer  $k$  such that  $n$  divides  $q^k - 1$ .

Fermat's little theorem (page 22 ff.) implies that every curve has at least **some** embedding degree  $k$ , since at least  $k = n - 1$  is always a solution to the congruency  $q^k \equiv 1 \pmod{n}$ . This implies that the remainder of the integer division of  $q^k - 1$  by  $n$  is 0.

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*Example 83.* To get a better intuition of the embedding degree, let's consider the elliptic curve  $E_1(\mathbb{F}_5)$  from example 67. We know from 67 that the order of  $E_1(\mathbb{F}_5)$  is 9, and, since the only prime factor of 9 is 3, we compute the embedding degree of  $E_1(\mathbb{F}_5)$  with respect to 3.

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To find the embedding degree, we have to find the smallest integer  $k$  such that 3 divides  $q^k - 1 = 5^k - 1$ . We try and increment until we find a proper  $k$ .

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$$k = 1: 5^1 - 1 = 4$$

not divisible by 3

$$k = 2: 5^2 - 1 = 24$$

divisible by 3

Now we know that the embedding degree of  $E_1(\mathbb{F}_5)$  is 2 relative to the prime factor 3.

*Example 84.* Let us consider the tiny-jubjub curve  $TJJ\_13$  from example 68. We know from 68 that the order of  $TJJ\_13$  is 20, and that the order therefore has two prime factors. A "large" prime factor 5 and a small prime factor 2.

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We start by computing the embedding degree of  $TJJ\_13$  with respect to the large prime factor 5. To find that embedding degree, we have to find the smallest integer  $k$  such that 5 divides  $q^k - 1 = 13^k - 1$ . We try and increment until we find a proper  $k$ .

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$$k = 1: 13^1 - 1 = 12$$

not divisible by 5

$$k = 2: 13^2 - 1 = 168$$

not divisible by 5

$$k = 3: 13^3 - 1 = 2196$$

not divisible by 5

$$k = 4: 13^4 - 1 = 28560$$

divisible by 5

Now we know that the embedding degree of  $TJJ\_13$  is 4 relative to the prime factor 5.

In real-world applications, like on pairing-friendly elliptic curves such as BLS\_12-381, usually only the embedding degree of the large prime factor is relevant, which in the case of our tiny-jubjub curve is represented by 5. It should be noted, however that every prime factor of a curve's order has its own notation of embedding degree despite the fact that this is mostly irrelevant in applications.

To find the embedding degree of the small prime factor 2, we have to find the smallest integer  $k$  such that 2 divides  $q^k - 1 = 13^k - 1$ . We try and increment until we find a proper  $k$ .

$$k = 1: 13^1 - 1 = 12 \quad \text{divisible by 2}$$

Now we know that the embedding degree of  $TJJ\_13$  is 1 relative to the prime factor 2. As we have seen, different prime factors can have different embedding degrees in general.

```

sage: p = 13
sage: # large prime factor
sage: n = 5
sage: for k in range(1,5): # Fermat's little theorem
.....:     if (p^k-1)%n == 0:
.....:         break
sage: k
4
sage: # small prime factor
sage: n = 2
sage: for k in range(1,2): # Fermat's little theorem
.....:     if (p^k-1)%n == 0:
.....:         break
sage: k
1

```

*Example 85.* To give an example of a cryptographically secure real-world elliptic curve that does not have a small embedding degree, let's look at curve Secp256k1 again. We know from 69 that the order of this curve is a prime number, so we only have a single embedding degree.

To test potential embedding degrees  $k$ , say, in the range  $1 \dots 1000$ , we can invoke Sage and compute as follows:

```

sage: p = 1157920892373161954235709850086879078532699846656405
      64039457584007908834671663
sage: n = 1157920892373161954235709850086879078528375642790749
      04382605163141518161494337
sage: for k in range(1,1000):
.....:     if (p^k-1)%n == 0:
.....:         break
sage: k
999

```

We see that Secp256k1 has at least no embedding degree  $k < 1000$ , which renders Secp256k1 a curve that has no small embedding degree. This property will be of importance later on.

**Elliptic Curves over extension fields** Suppose that  $p$  is a prime number, and  $\mathbb{F}_p$  its associated prime field. We know from equation 4.34 that the fields  $\mathbb{F}_{p^m}$  are extensions of  $\mathbb{F}_p$  in the sense

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3273 that  $\mathbb{F}_p$  is a subfield of  $\mathbb{F}_{p^m}$ . This implies that we can extend the affine plane that an elliptic  
 3274 curve is defined on by changing the base field to any extension field. To be more precise, let  
 3275  $E(\mathbb{F}) = \{(x, y) \in \mathbb{F} \times \mathbb{F} \mid y^2 = x^3 + a \cdot x + b\}$  be an affine short Weierstraß curve, with parameters  
 3276  $a$  and  $b$  taken from  $\mathbb{F}$ . If  $\mathbb{F}'$  is an extension field of  $\mathbb{F}$ , then we extend the domain of the curve  
 3277 by defining  $E(\mathbb{F}')$  as follows:

$$E(\mathbb{F}') = \{(x, y) \in \mathbb{F}' \times \mathbb{F}' \mid y^2 = x^3 + a \cdot x + b\} \quad (5.23)$$

3278 While we did not change the defining parameters, we consider curve points from the affine  
 3279 plane over the extension field now. Since  $\mathbb{F} \subset \mathbb{F}'$ , it can be shown that the original elliptic curve  
 3280  $E(\mathbb{F})$  is a sub-curve of the extension curve  $E(\mathbb{F}')$ .

*Example 86.* Consider the prime field  $\mathbb{F}_5$  from example 61 and the elliptic curve  $E_1(\mathbb{F}_5)$  from  
 example 67. Since we know from XXX that  $\mathbb{F}_{5^2}$  is an extension field of  $\mathbb{F}_5$ , we can extend the  
 definition of  $E_1(\mathbb{F}_5)$  to define a curve over  $\mathbb{F}_{5^2}$ :

$$E_1(\mathbb{F}_{5^2}) = \{(x, y) \in \mathbb{F} \times \mathbb{F} \mid y^2 = x^3 + x + 1\}$$

3281 Since  $\mathbb{F}_{5^2}$  contains 25 points, in order to compute the set  $E_1(\mathbb{F}_{5^2})$ , we have to try  $25 \cdot 25 = 625$   
 3282 pairs, which is probably a bit too much for the average motivated reader. Instead, we invoke  
 3283 Sage to compute the curve for us. To do, we so choose the representation of  $\mathbb{F}_{5^2}$  from XXX. We  
 3284 get:

3285	<code>sage: F5= GF(5)</code>	391
3286	<code>sage: F5t.&lt;t&gt; = F5[]</code>	392
3287	<code>sage: P = F5t(t^2+2)</code>	393
3288	<code>sage: P.is_irreducible()</code>	394
3289	<code>True</code>	395
3290	<code>sage: F5_2.&lt;t&gt; = GF(5^2, name='t', modulus=P)</code>	396
3291	<code>sage: E1F5_2 = EllipticCurve(F5_2, [1, 1])</code>	397
3292	<code>sage: E1F5_2.order()</code>	398
3293	<code>27</code>	399

The curve  $E_1(\mathbb{F}_{5^2})$  consist of 27 points, in contrast to curve  $E_1(\mathbb{F}_5)$ , which consists of 9 points.  
 Printing the points gives the following:

$$\begin{aligned} E_1(\mathbb{F}_{5^2}) = \{ & \mathcal{O}, (0, 4), (0, 1), (3, 4), (3, 1), (4, 3), (4, 2), (2, 4), (2, 1), \\ & (4t + 3, 3t + 4), (4t + 3, 2t + 1), (3t + 2, t), (3t + 2, 4t), \\ & (2t + 2, t), (2t + 2, 4t), (2t + 1, 4t + 4), (2t + 1, t + 1), \\ & (2t + 3, 3), (2t + 3, 2), (t + 3, 2t + 4), (t + 3, 3t + 1), \\ & (3t + 1, t + 4), (3t + 1, 4t + 1), (3t + 3, 3), (3t + 3, 2), (1, 4t) \} \end{aligned}$$

3294 As we can see, curve  $E_1(\mathbb{F}_5)$  sits inside curve  $E(\mathbb{F}_{5^2})$ , which is implied by  $\mathbb{F}_5$  being a subfield  
 3295 of  $\mathbb{F}_{5^2}$ .

3296 **Full torsion groups** The fundamental theorem of finite cyclic groups XXX implies that every  
 3297 prime factor  $n$  of a cyclic group's order defines a subgroup of the size of the prime factor. Such  
 3298 a subgroup is called an  $n$ -torsion group. We have seen many of those subgroups in the examples  
 3299 XXX and XXX.

3300 When we consider elliptic curve extensions as defined in 5.23, we could ask what happens  
 3301 to the  $n$ -torsion groups in the extension. One might intuitively think that their extension just



parallels the extension of the curve. For example, when  $E(\mathbb{F}_p)$  is a curve over prime field  $\mathbb{F}_p$ , with some  $n$ -torsion group  $\mathbb{G}$  and when we extend the curve to  $E(\mathbb{F}_{p^m})$ , then there is a bigger  $n$ -torsion group such that  $\mathbb{G}$  is a subgroup. This might make intuitive sense, as  $E(\mathbb{F}_p)$  is a sub-curve of  $E(\mathbb{F}_{p^m})$ .

However, the actual situation is a bit more surprising than that. To see that, let  $\mathbb{F}_p$  be a prime field and let  $E(\mathbb{F}_p)$  be an elliptic curve of order  $r$ , with embedding degree  $k$  and  $n$ -torsion group  $E(\mathbb{F}_p)[n]$  for the same prime factor  $n$  of  $r$ . Then it can be shown that the  $n$ -torsion group  $E(\mathbb{F}_{p^m})[n]$  of a curve extension is equal to  $E(\mathbb{F}_p)[n]$ , as long as the power  $m$  is less than the embedding degree  $k$  of  $E(\mathbb{F}_p)$ .

However, for the prime power  $p^m$ , for any  $m \geq k$ ,  $E(\mathbb{F}_{p^m})[n]$  is strictly larger than  $E(\mathbb{F}_p)[n]$  and contains  $E(\mathbb{F}_p)[n]$  as a subgroup. We call the  $n$ -torsion group  $E(\mathbb{F}_{p^k})[n]$  of the extension of  $E$  over  $\mathbb{F}_{p^k}$  the **full  $n$ -torsion group** of that elliptic curve. It can be shown that it contains  $n^2$  many elements and consists of  $n + 1$  subgroups, one of which is  $E(\mathbb{F}_p)[n]$ .

So, roughly speaking, when we consider **towers of curve extensions**  $E(\mathbb{F}_{p^m})$  ordered by the prime power  $m$ , then the  $n$ -torsion group stays constant for every level  $m$ , that is smaller than the embedding degree, while it suddenly blossoms into a larger group on level  $k$  with  $n + 1$  subgroups, and then stays like that for any level  $m$  larger than  $k$ . In other words, once the extension field is big enough to find one more point of order  $n$  (that is not defined over the base field), then we actually find all of the points in the full torsion group.

*Example 87.* Consider curve  $E_1(\mathbb{F}_5)$  again. We know that it contains a 3-torsion group and that the embedding degree of 3 is 2. From this we can deduce that we can find the full 3-torsion group  $E_1[3]$  in the curve extension  $E_1(\mathbb{F}_{5^2})$ , the latter of which we computed in example 86.

Since that curve is small, in order to find the full 3-torsion, we can loop through all elements of  $E_1(\mathbb{F}_{5^2})$  and check the defining equation  $[3]P = \mathcal{O}$ . Invoking Sage, we compute as follows:

```
sage: INF = E1F5_2(0) # Point at infinity          400
sage: L_E1_3 = []                                     401
sage: for p in E1F5_2:                               402
....:     if 3*p == INF:                             403
....:         L_E1_3.append(p)                       404
sage: E1_3 = Set(L_E1_3) # Full 3-torsion set       405
```

We get the following result:

$$E_1[3] = \{\mathcal{O}, (1, t), (1, 4t), (2, 1), (2, 4), (2t + 1, t + 1), (2t + 1, 4t + 4), (3t + 1, t + 4), (3t + 1, 4t + 1)\}$$

*Example 88.* Consider the tiny-jubjub curve from example 68. We know from example 84 that it contains a 5-torsion group and that the embedding degree of 5 is 4. This implies that we can find the full 5-torsion group  $TJJ\_13[5]$  in the curve extension  $TJJ\_13(\mathbb{F}_{13^4})$ .

To compute the full torsion, first observe that, since  $\mathbb{F}_{13^4}$  contains 28561 elements, computing  $TJJ\_13(\mathbb{F}_{13^4})$  means checking  $28561^2 = 815730721$  elements. From each of these curve points  $P$ , we then have to check the equation  $[5]P = \mathcal{O}$ . Doing this for 815730721 is a bit too slow even on a computer.

Fortunately, Sage has a way to loop through points of a given order efficiently. The following Sage code provides a way to compute the full torsion group:

```
sage: # define the extension field                    406
sage: F13= GF(13) # prime field                      407
sage: F13t.<t> = F13[] # polynomials over t          408
```

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of curve  
extensions

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```

3345 sage: P = F13t(t^4+2) # irreducible polynomial of degree 4 409
3346 sage: P.is_irreducible() 410
3347 True 411
3348 sage: F13_4.<t> = GF(13^4, name='t', modulus=P) # F_{13^4} 412
3349 sage: TJJF13_4 = EllipticCurve(F13_4,[8,8]) # tiny-jubjub 413
3350 extension
3351 sage: # compute the full 5-torsion 414
3352 sage: L_TJJF13_4_5 = [] 415
3353 sage: INF = TJJF13_4(0) 416
3354 sage: for P in INF.division_points(5): # [5]P == INF 417
3355 ....:     L_TJJF13_4_5.append(P) 418
3356 sage: len(L_TJJF13_4_5) 419
3357 25 420
3358 sage: TJJF13_4_5 = Set(L_TJJF13_4_5) 421

```

3359 As expected, we get a group that contains  $5^2 = 25$  elements. As it's rather tedious to write  
 3360 this group down, and as we don't need it in what follows, we forgo doing this. To see that the  
 3361 embedding degree 4 is actually the smallest prime power to find the full 5-torsion group, let's  
 3362 compute the 5-torsion group over of the tiny-jubjub curve of the extension field  $\mathbb{F}_{13^3}$ . We get  
 3363 the following:

```

3364 sage: # define the extension field 422
3365 sage: P = F13t(t^3+2) # irreducible polynomial of degree 3 423
3366 sage: P.is_irreducible() 424
3367 True 425
3368 sage: F13_3.<t> = GF(13^3, name='t', modulus=P) # F_{13^3} 426
3369 sage: TJJF13_3 = EllipticCurve(F13_3,[8,8]) # tiny-jubjub 427
3370 extension
3371 sage: # compute the 5-torsion 428
3372 sage: L_TJJF13_3_5 = [] 429
3373 sage: INF = TJJF13_3(0) 430
3374 sage: for P in INF.division_points(5): # [5]P == INF 431
3375 ....:     L_TJJF13_3_5.append(P) 432
3376 sage: len(L_TJJF13_3_5) 433
3377 5 434
3378 sage: TJJF13_3_5 = Set(L_TJJF13_3_5) # full 5-torsion 435

```

3379 As we can see, the 5-torsion group of tiny-jubjub over  $\mathbb{F}_{13^3}$  is equal to the 5-torsion group  
 3380 of tiny-jubjub over  $\mathbb{F}_{13}$  itself.

3381 *Example 89.* Let's look at the curve Secp256k1. We know from example 69 that the curve is of  
 3382 some prime order  $r$ . Because of this, the only  $n$ -torsion group to consider is the curve itself, so  
 3383 the curve group is the  $r$ -torsion.

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However, in order to find the full  $r$ -torsion of Secp256k1, we need to compute the embed-  
 ding degree  $k$ . And as we have seen in XXX it is at least not small. However, we know from  
 Fermat's little theorem (page 22 ff.) that a finite embedding degree must exist. It can be shown  
 that it is given by the following 256-bit number:

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$$k = 192986815395526992372618308347813175472927379845817397100860523586360249056$$

3384 This means that the embedding degree is **very large**, which implies that the field extension  $\mathbb{F}_{p^k}$  is  
 3385 very large too. To understand how big  $\mathbb{F}_{p^k}$  is, recall that an element of  $\mathbb{F}_{p^m}$  can be represented as

3386 a string  $[x_0, \dots, x_m]$  of  $m$  elements, each containing a number from the prime field  $\mathbb{F}_p$ . Now, in  
 3387 the case of Secp256k1, such a representation has  $k$ -many entries, each of them 256 bits in size.  
 3388 So, without any optimizations, representing such an element would need  $k \cdot 256$  bits, which is  
 3389 too much to be represented in the observable universe.

3390 **Torsion subgroups** As we have stated above, any full  $n$ -torsion group contains  $n + 1$  cyclic  
 3391 subgroups, two of which are of particular interest in pairing-based elliptic curve cryptography.  
 3392 To characterize these groups, we need to consider the so-called **Frobenius endomorphism** of  
 3393 an elliptic curve  $E(\mathbb{F})$  over some finite field  $\mathbb{F}$  of characteristic  $p$ :

$$\pi : E(\mathbb{F}) \rightarrow E(\mathbb{F}) : \begin{array}{ccc} (x, y) & \mapsto & (x^p, y^p) \\ \mathcal{O} & \mapsto & \mathcal{O} \end{array} \quad (5.24)$$

3394 It can be shown that  $\pi$  maps curve points to curve points. The first thing to note is that, in case  
 3395  $\mathbb{F}$  is a prime field, the Frobenius endomorphism acts trivially, since  $(x^p, y^p) = (x, y)$  on prime  
 3396 fields due to Fermat's little theorem (page 22 ff.). This means that the Frobenius map is more  
 3397 interesting over prime field extensions.

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3398 With the Frobenius map at hand, we can characterize two important subgroups of the full  
 3399  $n$ -torsion. The first subgroup is the  $n$ -torsion group that already exists in the curve over the  
 3400 base field. In pairing-based cryptography, this group is usually written as  $\mathbb{G}_1$ , assuming that the  
 3401 prime factor  $n$  in the definition is implicitly given. Since we know that the Frobenius map acts  
 3402 trivially on curves over the prime field, we can define  $\mathbb{G}_1$  as follows:

$$\mathbb{G}_1[n] := \{(x, y) \in E[n] \mid \pi(x, y) = (x, y)\} \quad (5.25)$$

3403 In more mathematical terms, this definition means that  $\mathbb{G}_1$  is the **Eigenspace** of the Frobenius  
 3404 map with respect to the **Eigenvalue** 1.

3405 It can be shown that there is another subgroup of the full  $n$ -torsion group that can be char-  
 3406 acterized by the Frobenius map. In the context of so-called **type 3 pairing-based cryptography**,  
 3407 this subgroup is usually called  $\mathbb{G}_2$  and it is defined as follows:

$$\mathbb{G}_2[n] := \{(x, y) \in E[n] \mid \pi(x, y) = [p](x, y)\} \quad (5.26)$$

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3408 In mathematical terms,  $\mathbb{G}_2$  is the ~~Eigenspace of the Frobenius map with respect to the~~  
 3409 **Eigenvalue**  $p$ .

3410 *Notation and Symbols* 12. If the prime factor  $n$  of a curve's order is clear from the context, we  
 3411 sometimes simply write  $\mathbb{G}_1$  and  $\mathbb{G}_2$  to mean  $\mathbb{G}_1[n]$  and  $\mathbb{G}_2[n]$ , respectively.

3412 It should be noted, however that other definitions of  $\mathbb{G}_2$  also exists in the literature. However,  
 3413 in the context of pairing-based cryptography, this is the most common one. It is particularly  
 3414 useful because we can define hash functions that map into  $\mathbb{G}_2$ , which is not possible for all  
 3415 subgroups of the full  $n$ -torsion.

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3416 *Example 90.* Consider the curve  $E_1(\mathbb{F}_5)$  from example 67 again. As we have seen, this curve  
 3417 has the embedding degree  $k = 2$ , and a full 3-torsion group is given as follows:

$$\begin{aligned} E_1[3] = \{ & \mathcal{O}, (2, 1), (2, 4), (1, t), (1, 4t), (2t + 1, t + 1), \\ & (2t + 1, 4t + 4), (3t + 1, t + 4), (3t + 1, 4t + 1) \} \end{aligned} \quad (5.27)$$

3418 According to the general theory,  $E_1[3]$  contains 4 subgroups, and we can characterize the  
 3419 subgroups  $\mathbb{G}_1$  and  $\mathbb{G}_2$  using the Frobenius endomorphism. Unfortunately, at the time of writing,

Sage does not have a predefined Frobenius endomorphism for elliptic curves, so we have to use the Frobenius endomorphism of the underlying field as a temporary workaround. We compute as follows:

```

3423 sage: L_G1 = []
3424 sage: for P in E1_3:
3425     ....:     PiP = E1F5_2([a.frobenius() for a in P]) # pi(P)
3426     ....:     if P == PiP:
3427     ....:         L_G1.append(P)
3428 sage: G1 = Set(L_G1)

```

As expected, the group  $\mathbb{G}_1 = \{\mathcal{O}, (2, 4), (2, 1)\}$  is identical to the 3-torsion group of the (unextended) curve over the prime field  $E_1(\mathbb{F}_5)$ . We can use almost the same algorithm to compute the group  $\mathbb{G}_2$  and get the following:

```

3432 sage: L_G2 = []
3433 sage: for P in E1_3:
3434     ....:     PiP = E1F5_2([a.frobenius() for a in P]) # pi(P)
3435     ....:     pP = 5*P # [5]P
3436     ....:     if pP == PiP:
3437     ....:         L_G2.append(P)
3438 sage: G2 = Set(L_G2)

```

Thus, we have computed the the second subgroup of the full 3-torsion group of curve  $E_1$  as the set  $\mathbb{G}_2 = \{\mathcal{O}, (1, t), (1, 4t)\}$ .

*Example 91.* Consider the tiny-jubjub curve *TJJ\_13* from example 68. In example 88, we computed its full 5 torsion, which is a group that has 6 subgroups. We compute  $G_1$  using Sage as follows:

```

3444 sage: L_TJJ_G1 = []
3445 sage: for P in TJJF13_4_5:
3446     ....:     PiP = TJJF13_4([a.frobenius() for a in P]) # pi(P)
3447     ....:     if P == PiP:
3448     ....:         L_TJJ_G1.append(P)
3449 sage: TJJ_G1 = Set(L_TJJ_G1)

```

We get  $\mathbb{G}_1 = \{\mathcal{O}, (7, 2), (8, 8), (8, 5), (7, 11)\}$

```

3451 sage: L_TJJ_G1 = []
3452 sage: for P in TJJF13_4_5:
3453     ....:     PiP = TJJF13_4([a.frobenius() for a in P]) # pi(P)
3454     ....:     pP = 13*P # [5]P
3455     ....:     if pP == PiP:
3456     ....:         L_TJJ_G1.append(P)
3457 sage: TJJ_G1 = Set(L_TJJ_G1)

```

$\mathbb{G}_2 = \{\mathcal{O}, (9t^2 + 7, t^3 + 11t), (9t^2 + 7, 12t^3 + 2t), (4t^2 + 7, 5t^3 + 10t), (4t^2 + 7, 8t^3 + 3t)\}$

*Example 92.* Consider Bitcoin's curve Secp256k1 again. Since the group  $\mathbb{G}_1$  is identical to the torsion group of the unextended curve, and since Secp256k1 has prime order, we know that, in this case,  $\mathbb{G}_1$  is identical to Secp256k1. It is however, infeasible not to compute not only  $\mathbb{G}_2$  itself, but to even compute an average element of  $\mathbb{G}_2$ , as elements need too much storage to be

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3463 representable in this universe.

3464 **The Weil pairing** In this part, we consider a pairing function defined on the subgroups  $\mathbb{G}_1[r]$   
 3465 and  $\mathbb{G}_2[r]$  of the full  $r$ -torsion  $E[r]$  of a short Weierstraß elliptic curve. To be more precise, let  
 3466  $E(\mathbb{F}_p)$  be an elliptic curve of embedding degree  $k$  such that  $r$  is a prime factor of its order. Then  
 3467 the **Weil pairing** is a bilinear, non-degenerate map:

$$e(\cdot, \cdot) : \mathbb{G}_1[r] \times \mathbb{G}_2[r] \rightarrow \mathbb{F}_{p^k} ; (P, Q) \mapsto (-1)^r \cdot \frac{f_{r,P}(Q)}{f_{r,Q}(P)} \quad (5.28)$$

The extension field elements  $f_{r,P}(Q), f_{r,Q}(P) \in \mathbb{F}_{p^k}$  are computed by **Miller's algorithm**:

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---

**Algorithm 8** Miller's algorithm for short Weierstraß curves  $y^2 = x^3 + ax + b$

---

**Require:**  $r > 3, P \in E[r], Q \in E[r]$  and

$b_0, \dots, b_t \in \{0, 1\}$  with  $r = b_0 \cdot 2^0 + b_1 \cdot 2^1 + \dots + b_t \cdot 2^t$  and  $b_t = 1$

**procedure** MILLER'S ALGORITHM( $P, Q$ )

**if**  $P = \mathcal{O}$  or  $Q = \mathcal{O}$  or  $P = Q$  **then**

**return**  $f_{r,P}(Q) \leftarrow (-1)^r$

**end if**

$(x_T, y_T) \leftarrow (x_P, y_P)$

$f_1 \leftarrow 1$

$f_2 \leftarrow 1$

**for**  $j \leftarrow t - 1, \dots, 0$  **do**

$m \leftarrow \frac{3 \cdot x_T^2 + a}{2 \cdot y_T}$

$f_1 \leftarrow f_1^2 \cdot (y_Q - y_T - m \cdot (x_Q - x_T))$

$f_2 \leftarrow f_2^2 \cdot (x_Q + 2x_T - m^2)$

$x_{2T} \leftarrow m^2 - 2x_T$

$y_{2T} \leftarrow -y_T - m \cdot (x_{2T} - x_T)$

$(x_T, y_T) \leftarrow (x_{2T}, y_{2T})$

**if**  $b_j = 1$  **then**

$m \leftarrow \frac{y_T - y_P}{x_T - x_P}$

$f_1 \leftarrow f_1 \cdot (y_Q - y_T - m \cdot (x_Q - x_T))$

$f_2 \leftarrow f_2 \cdot (x_Q + (x_P + x_T) - m^2)$

$x_{T+P} \leftarrow m^2 - x_T - x_P$

$y_{T+P} \leftarrow -y_T - m \cdot (x_{T+P} - x_T)$

$(x_T, y_T) \leftarrow (x_{T+P}, y_{T+P})$

**end if**

**end for**

$f_1 \leftarrow f_1 \cdot (x_Q - x_T)$

**return**  $f_{r,P}(Q) \leftarrow \frac{f_1}{f_2}$

**end procedure**

---

3468

3469

Understanding how the algorithm works in detail requires the concept of **divisors**, which is outside of the scope this book. The interested reader might look at XXX.

3470

3471

In real-world applications of pairing-friendly elliptic curves, the embedding degree is usually a small number like 2, 4, 6 or 12, and the number  $r$  is the largest prime factor of the curve's order.

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3474 *Example 93.* Consider curve  $E_1(\mathbb{F}_5)$  from example 67. Since the only prime factor of the  
 3475 group's order is 3, we cannot compute the Weil pairing on this group using our definition of  
 3476 Miller's algorithm. In fact, since  $\mathbb{G}_1$  is of order 3, executing the if statement on line XXX will  
 3477 lead to a "division by zero" error in the computation of the slope  $m$ .

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*Example 94.* Consider the tiny-jubjub curve  $TJJ\_13(\mathbb{F}_{13})$  from example 68 again. We want to  
 instantiate the general definition of the Weil pairing for this example. To do so, recall that, as we  
 have see in example 84, its embedding degree is 4, and that we have the following type-3 pairing  
 groups (where  $\mathbb{G}_1$  and  $\mathbb{G}_2$  are subgroups of the full 5-torsion found in the curve  $TJJ\_13(\mathbb{F}_{13^4})$ ):

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$$\mathbb{G}_1 = \{\mathcal{O}, (7, 2), (8, 8), (8, 5), (7, 11)\}$$

$$\mathbb{G}_2 = \{\mathcal{O}, (9t^2 + 7, t^3 + 11t), (9t^2 + 7, 12t^3 + 2t), (4t^2 + 7, 5t^3 + 10t), (4t^2 + 7, 8t^3 + 3t)\}$$

3478 The type-3 Weil pairing is a map  $e(\cdot, \cdot) : \mathbb{G}_1 \times \mathbb{G}_2 \rightarrow \mathbb{F}_{13^4}$ . From the first if-statement in  
 3479 Miller's algorithm, we can deduce that  $e(\mathcal{O}, Q) = 1$  as well as  $e(P, \mathcal{O}) = 1$  for all arguments  
 3480  $P \in \mathbb{G}_1$  and  $Q \in \mathbb{G}_2$ . In order to compute a non-trivial Weil pairing, we choose the arguments  
 3481  $P = (7, 2)$  and  $Q = (9t^2 + 7, 12t^3 + 2t)$ .

3482 To compute the pairing  $e((7, 2), (9t^2 + 7, 12t^3 + 2t))$ , we have to compute the extension field  
 3483 elements  $f_{5,P}(Q)$  and  $f_{5,Q}(P)$  by applying Miller's algorithm. Do do so, observe that we have  
 3484  $5 = 1 \cdot 2^0 + 0 \cdot 2^1 + 1 \cdot 2^2$ , so we get  $t = 2$  as well as  $b_0 = 1, b_1 = 0$  and  $b_2 = 1$ . The loop therefore  
 3485 needs to be executed two times.

Computing  $f_{5,P}(Q)$ , we initiate  $(x_T, y_T) = (7, 2)$  as well as  $f_1 = 1$  and  $f_2 = 1$ . Then we  
 proceed as follows:

$j$	$b_j$	$m$	$f_1$	$f_2$	$x_{2T}$	$y_{2T}$	$x_{T+P}$	$y_{T+P}$
1	.							

$$\begin{aligned}
m &= \frac{3 \cdot x_T^2 + a}{2 \cdot y_T} \\
&= \frac{3 \cdot 2^2 + 1}{2 \cdot 4} = \frac{3}{3} \\
&= 1
\end{aligned}$$

$$\begin{aligned}
f_1 &= f_1^2 \cdot (y_Q - y_T - m \cdot (x_Q - x_T)) \\
&= 1^2 \cdot (t - 4 - 1 \cdot (1 - 2)) = t - 4 + 1 \\
&= t + 2
\end{aligned}$$

$$\begin{aligned}
f_2 &= f_2^2 \cdot (x_Q + 2x_T - m^2) \\
&= 1^2 \cdot (1 + 2 \cdot 2 - 1^2) = (1 + 4 - 1) \\
&= 4
\end{aligned}$$

$$\begin{aligned}
x_{2T} &= m^2 - 2x_T \\
&= 1^2 - 2 \cdot 2 = -3 \\
&= 2
\end{aligned}$$

$$\begin{aligned}
y_{2T} &= -y_T - m \cdot (x_{2T} - x_T) \\
&= -4 - 1 \cdot (2 - 2) = -4 \\
&= 1
\end{aligned}$$

We update  $(x_T, y_T) = (2, 1)$  and, since  $b_0 = 1$ , we have to execute the if statement on line XXX in the **for** loop. However, since we only loop a single time, we don't need to compute  $y_{T+P}$ , since we only need the updated  $x_T$  in the final step. We get:

$$\begin{aligned}
m &= \frac{y_T - y_P}{x_T - x_P} \\
&= \frac{1 - 4}{2 - x_P}
\end{aligned}$$

$$f_1 = f_1 \cdot (y_Q - y_T - m \cdot (x_Q - x_T))$$

$$f_2 = f_2 \cdot (x_Q + (x_P + x_T) - m^2)$$

$$x_{T+P} = m^2 - x_T - x_P$$

add reference

should all lines of all algorithms be numbered?

## 5.3 Hashing to Curves

Elliptic curve cryptography frequently requires the ability to hash data onto elliptic curves. If the order of the curve is not a prime number, hashing to prime number subgroups is also of

importance. In the context of pairing-friendly curves, it is also sometimes necessary to hash specifically onto the group  $\mathbb{G}_1$  or  $\mathbb{G}_2$ .

As we have seen in section 4.1.2, many general methods are known for hashing into groups in general, and finite cyclic groups in particular. As elliptic groups are cyclic, those methods can be utilized in this case, too. However, in what follows we want to describe some methods specific to elliptic curves that are frequently used in real-world applications.

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**Try-and-increment hash functions** One of the most straight-forward ways of hashing a bit-string onto an elliptic curve point in a secure way is to use a cryptographic hash function together with one of the methods we described in section 4.1.2 to hash to the modular arithmetic base field of the curve. Ideally, the hash function generates an image that is at least one bit longer than the bit representation of the base field modulus.

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The image in the base field can then be interpreted as the  $x$  coordinate of the curve point, and the two possible  $y$  coordinates are derived from the curve equation, while one of the bits that exceeded the modulus determines which of the two  $y$  coordinates to choose.

Such an approach would be deterministic and easy to implement, and it would conserve the cryptographic properties of the original hash function. However, not all  $x$  coordinates generated in such a way will result in quadratic residues when inserted into the defining equation. It follows that not all field elements give rise to actual curve points. In fact, on a prime field, only half of the field elements are quadratic residues. Hence, assuming an even distribution of the hash values in the field, this method would fail to generate a curve point in about half of the attempts.

One way to account for this problem is the so-called **try-and-increment** method. Its basic assumption is that, when hashing different values, the result will eventually lead to a valid curve point.

Therefore, instead of simply hashing a string  $s$  to the field, we hash the concatenation of  $s$  with additional bytes to the field instead. In other words, we use a try-and-increment hash as described in 6. If the first try of hashing to the field does not result in a valid curve point, the counter is incremented, and the hashing is repeated again. This is done until a valid curve point is found.

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This method has a number of advantages: It is relatively easy to implement in code, and it maintains the cryptographic properties of the original hash function. However, it is not guaranteed to find a valid curve point, as there is a chance that all possible values in the chosen size of the counter will fail to generate a quadratic residue. Fortunately, it is possible to make the probability for this arbitrarily small by choosing large enough counters and relying on the (approximate) uniformity of the hash-to-field function.

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If the curve is not of prime order, the result will be a general curve point that might not be in the “large” prime-order subgroup. In this case, a **cofactor clearing** step is then necessary to project the curve point onto the subgroup. This is done by scalar multiplication with the cofactor of prime order with respect to the curves order.

*Example 95.* Consider the tiny-jubjub curve from example 68. We want to construct a try-and-increment hash function that hashes a binary string  $s$  of arbitrary length onto the large prime-order subgroup of size 5.

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Since the curve, as well as our targeted subgroup, is defined over the field  $\mathbb{F}_{13}$ , and the binary representation of 13 is  $13.bits() = 1101$ , we apply SHA256 from Sage’s hashlib library on the concatenation  $s||c$  for some binary counter string, and use the first 4 bits of the image to try to hash into  $\mathbb{F}_{13}$ . In case we are able to hash to a value  $z$  such that  $z^3 + 8 \cdot z + 8$  is a quadratic residue in  $\mathbb{F}_{13}$ , we use the 5-th bit to decide which of the two possible roots of  $z^3 + 8 \cdot z + 8$  we



**Algorithm 9** Hash-to- $E(\mathbb{F}_r)$ **Require:**  $r \in \mathbb{Z}$  with  $r.\text{nbits}() = k$  and  $s \in \{0, 1\}^*$ **Require:** Curve equation  $y^2 = x^3 + ax + b$  over  $\mathbb{F}_r$ **procedure** TRY-AND-INCREMENT( $r, k, s$ ) $c \leftarrow 0$ **repeat** $s' \leftarrow s || c.\text{bits}()$  $z \leftarrow H(s')_0 \cdot 2^0 + H(s')_1 \cdot 2^1 + \dots + H(s')_k \cdot 2^k$  $x \leftarrow z^3 + a \cdot z + b$  $c \leftarrow c + 1$ **until**  $z < r$  and  $x^{\frac{r-1}{2}} \bmod r = 1$ **if**  $H(s')_{k+1} == 0$  **then** $y \leftarrow \sqrt{x} \#(\text{root in } \mathbb{F}_r)$ **else** $y \leftarrow r - \sqrt{x} \#(\text{root in } \mathbb{F}_r)$ **end if****return**  $(x, y)$ **end procedure****Ensure:**  $(x, y) \in E(\mathbb{F}_r)$ 

will choose as the  $y$  coordinate. The result is a curve point different from the point at infinity. To project it to a point of  $\mathbb{G}_1$ , we multiply it with the cofactor 4. If the result is still not the point at infinity, it is the result of the hash.

To make this concrete, let  $s = '10011001111010110100000111'$  be our binary string that we want to hash onto  $\mathbb{G}_1$ . We use a 4-bit binary counter starting at zero, that is, we choose  $c = 0000$ . Invoking Sage, we define the try-hash function as follows:

```

sage: import hashlib                                462
sage: def try_hash(s, c):                            463
.....:     s_1 = s+c                                464
.....:     hasher = hashlib.sha256(s_1.encode('utf-8')) 465
.....:     digest = hasher.hexdigest()                466
.....:     d = Integer(digest, base=16)               467
.....:     sign = d.str(2)[-5:-4]                     468
.....:     d = d.str(2)[-4:]                          469
.....:     z = Integer(d, base=2)                     470
.....:     return (z, sign)                           471
sage: try_hash('10011001111010110100000111', '0000') 472
(15, '1')                                           473

```

As we can see, our first attempt to hash into  $\mathbb{F}_{13}$  was not successful, as 15 is not a number in  $\mathbb{F}_{13}$ , so we increment the binary counter by 1 and try again:

```

sage: try_hash('10011001111010110100000111', '0001') 474
(3, '0')                                           475

```

With this try, we found a hash into  $\mathbb{F}_{13}$ . However, this point is not guaranteed to define a curve point. To see that, we insert  $z = 3$  into the right side of the Weierstraß equation of the tiny-jubjub curve, and compute  $3^3 + 8 * 3 + 8 = 7$ . However, 7 is not a quadratic residue in



3561  $\mathbb{F}_{13}$ , since  $7^{\frac{13-1}{2}} = 7^6 = 12 = -1$ . This means that 3 is not a suitable point, and we have to  
 3562 increment the counter two more times:

```

3563 sage: try_hash('10011001111010110100000111', '0010')      476
3564 (3, '0')                                                    477
3565 sage: try_hash('10011001111010110100000111', '0011')      478
3566 (6, '1')                                                    479

```

Since  $6^3 + 8 \cdot 6 + 8 = 12$ , and we have  $\sqrt{12} \in \{5, 8\}$ , we finally found the valid  $x$  coordinate  $x = 6$  for the curve point hash. Now, since the sign bit of this hash is 1, we choose the larger root  $y = 8$  as the  $y$  coordinate and get the following hash which is a valid curve point point on the tiny-jubjub curve:

$$H('10011001111010110100000111') = (6, 8)$$

In order to project this onto the “large” prime-order subgroup, we have to do cofactor clearing, that is, we have to multiply the point with the cofactor 4. We get the following:

$$[4](6, 8) = \mathcal{O}$$

3567 This means that the hash value is still not right. We therefore have to increment the counter  
 3568 two more times again, until we finally find a correct hash to  $\mathbb{G}_1$ :

```

3569 sage: try_hash('10011001111010110100000111', '0100')      480
3570 (0, '1')                                                    481
3571 sage: try_hash('10011001111010110100000111', '0101')      482
3572 (12, '0')                                                  483

```

Since  $12^3 + 8 \cdot 12 + 8 = 12$ , and we have  $\sqrt{12} \in \{5, 8\}$ , we found another valid  $x$  coordinate  $x = 12$  for the curve point hash. Since the sign bit of this hash is 0, we choose the smaller root  $y = 5$  as the  $y$  coordinate, and get the following hash, which is a valid curve point point on the tiny-jubjub curve:

$$H('10011001111010110100000111') = (12, 5)$$

In order to project this onto the “large” prime-order subgroup we have to do cofactor clearing, again? that is, we have to multiply the point with the cofactor 4. We get the following:

$$[4](12, 5) = (8, 5)$$

3573 So, hashing the binary string '10011001111010110100000111' onto  $\mathbb{G}_1$  gives the hash value  
 3574 (8, 5) as a result.

## 3575 5.4 Constructing elliptic curves

3576 Cryptographically secure elliptic curves like Secp256k1 from example 69 have been known for  
 3577 quite some time. Given the latest advancements of cryptography, however, it is often necessary  
 3578 to design and instantiate elliptic curves from scratch that satisfy certain very specific properties.

3579 For example, in the context of SNARK development, it was necessary to design a curve that  
 3580 can be efficiently implemented inside of a so-called **circuit** in order to enable primitives like  
 3581 elliptic curve **signature schemes** in a zero-knowledge proof. Such a curve is given by the Baby-  
 3582 jubjub curve in XXX, and we have paralleled its definition by introducing the tiny-jubjub curve.

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from example 68. As we have seen, those curves are instances of so-called twisted Edwards curves, and as such have easy to implement addition laws that work without branching. However, we introduced the tiny-jubjub curve out of thin air, as we just gave the curve parameters without explaining how we came up with them.

Another requirement in the context of many so-called **pairing-based zero-knowledge proofing systems** is the existence of a suitable, pairing-friendly curve with a specified security level and a low embedding degree as defined in 5.2.0.1. Famous examples are the BLS\_12 and the NMT curves.

The major goal of this section is to explain the most important method of designing elliptic curves with predefined properties from scratch, called the **complex multiplication method**. We will apply this method in section XXX to synthesize a particular BLS\_6 curve, which is one of the most insecure curves, but it will serve as the main curve to build our pen-and-paper SNARKs on. As we will see, this curve has a “large” prime factor subgroup of order 13, which implies that we can use our tiny-jubjub curve to implement certain elliptic curve cryptographic primitives in circuits over that BLS\_6 curve.

Before we introduce the complex multiplication method, we have to explain a few properties of elliptic curves that are of key importance in understanding the complex multiplication method.

**The Trace of Frobenius** To understand the complex multiplication method of elliptic curves, we have to define the so-called **trace** of an elliptic curve first.

We know from XXX that elliptic curves over finite fields are products of cyclic groups of finite order. Therefore, an interesting question is whether it is possible to estimate the number of elements that this curve contains. Since an affine short Weierstraß curve consists of pairs  $(x, y)$  of elements from a finite field  $\mathbb{F}_q$  plus the point at infinity, and the field  $\mathbb{F}_q$  contains  $q$  elements, the number of curve points cannot be arbitrarily large, since it can contain at most  $q^2 + 1$  many elements.

There is however, a more precise estimation, usually called the **Hasse bound**. To understand it, let  $E(\mathbb{F}_q)$  be an affine short Weierstraß curve over a finite field  $\mathbb{F}_q$  of order  $q$ , and let  $|E(\mathbb{F}_q)|$  be the order of the curve. Then there is an integer  $t \in \mathbb{Z}$ , called the **trace of Frobenius** of the curve, such that  $|t| \leq 2\sqrt{q}$  and the following equation holds:

$$|E(\mathbb{F})| = q + 1 - t \quad (5.29)$$

A positive trace, therefore, implies that the curve contains less points than the underlying field, whereas a negative trace means that the curve contains more points. However, the estimation  $|t| \leq 2\sqrt{q}$  implies that the difference is not very large in either direction, and the number of elements in an elliptic curve is always approximately in the same order of magnitude as the size of the curve’s base field.

*Example 96.* Consider the elliptic curve  $E_1(\mathbb{F}_5)$  from example 67. We know that it contains 9 curve points. Since the order of  $\mathbb{F}_5$  is 5, we compute the trace of  $E_1(\mathbb{F})$  to be  $t = -3$ , since the Hasse bound is given by the following equation:

$$9 = 5 + 1 - (-3)$$

Indeed, we have  $|t| \leq 2\sqrt{q}$ , since  $\sqrt{5} > 2.23$  and  $|-3| = 3 \leq 4.46 = 2 \cdot 2.23 < 2 \cdot \sqrt{5}$ .

*Example 97.* To compute the trace of the tiny-jubjub curve, recall from example 76 that the order of  $TJJ\_13$  is 20. Since the order of  $\mathbb{F}_{13}$  is 13, we can therefore use the Hasse bound and compute the trace as  $t = -6$ :

$$20 = 13 + 1 - (-6) \quad (5.30)$$

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3622 Again, we have  $|t| \leq 2\sqrt{q}$ , since  $\sqrt{13} > 3.60$  and  $|-6| = 6 \leq 7.20 = 2 \cdot 3.60 < 2 \cdot \sqrt{13}$ .

*Example 98.* To compute the trace of Secp256k1, recall from example 69 that this curve is defined over a prime field with  $p$  elements, and that the order of that group is given by  $r$ :

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$p = 115792089237316195423570985008687907853269984665640564039457584007908834671663$   
 $r = 115792089237316195423570985008687907852837564279074904382605163141518161494337$

Using the Hesse bound  $r = p + 1 - t$ , we therefore compute  $t = p + 1 - r$ , which gives the trace of curve Secp256k1 as follows:

$t = 432420386565659656852420866390673177327$

3623 As we can see, Secp256k1 contains less elements than its underlying field. However, the  
 3624 difference is tiny, since the order of Secp256k1 is in the same order of magnitude as the order  
 3625 of the underlying field. Compared to  $p$  and  $r$ ,  $t$  is tiny.

```
3626 sage: p = 1157920892373161954235709850086879078532699846656405 484
3627         64039457584007908834671663
3628 sage: r = 1157920892373161954235709850086879078528375642790749 485
3629         04382605163141518161494337
3630 sage: t = p + 1 - r 486
3631 sage: t.nbits() 487
3632 129 488
3633 sage: abs(RR(t)) <= 2*sqrt(RR(p)) 489
3634 True 490
```

3635 **The  $j$ -invariant** As we have seen in XXX, two elliptic curves  $E_1(\mathbb{F})$  defined by  $y^2 = x^3 + ax + b$  and  $E_2(\mathbb{F})$  defined by  $y^2 + a'x + b'$  are strictly isomorphic if and only if there is a quadratic  
 3636 residue  $d \in \mathbb{F}$  such that  $a' = ad^2$  and  $b' = bd^3$ .  
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3638 There is, however, a more general way to classify elliptic curves over finite fields  $\mathbb{F}_q$ , based  
 3639 on the so-called  **$j$ -invariant** of an elliptic curve with  $j(E(\mathbb{F}_q)) \in \mathbb{F}_q$ , as defined below:

$$j(E(\mathbb{F}_q)) = (1728 \bmod q) \frac{4 \cdot a^3}{4 \cdot a^3 + (27 \bmod q) \cdot b^2} \quad (5.31)$$

3640 A detailed description of the  $j$ -invariant is beyond the scope of this book. For our present  
 3641 purposes, it is sufficient to note that two elliptic curves  $E_1(\mathbb{F})$  and  $E_2(\mathbb{F}')$  are isomorphic over  
 3642 the algebraic closures of  $\mathbb{F}$  and  $\mathbb{F}'$ , if and only if  $\overline{\mathbb{F}} = \overline{\mathbb{F}'}$  and  $j(E_1) = j(E_2)$ .

algebraic  
closures

3643 So, the  $j$ -invariant is an important tool to classify elliptic curves and it is needed in the com-  
 3644 plex multiplication method to decide on an actual curve instantiation that implements abstractly  
 3645 chosen properties.

*Example 99.* Consider the elliptic curve  $E_1(\mathbb{F}_5)$  from example 67. We compute its  $j$ -invariant as follows:

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$$\begin{aligned} j(E_1(\mathbb{F}_5)) &= (1728 \bmod 5) \frac{4 \cdot 1^3}{4 \cdot 1^3 + (27 \bmod 5) \cdot 1^2} \\ &= 3 \frac{4}{4 + 2} \\ &= 3 \cdot 4 = 2 \end{aligned}$$

*Example 100.* Consider the elliptic curve *TJJ\_13* from example 68. We compute its *j*-invariant as follows:

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$$\begin{aligned}
 j(E_1(\mathbb{F}_5)) &= (1728 \bmod 13) \frac{4 \cdot 8^3}{4 \cdot 8^3 + (27 \bmod 13) \cdot 8^2} \\
 &= 12 \cdot \frac{4 \cdot 5}{4 \cdot 5 + 1 \cdot 12} \\
 &= 12 \cdot \frac{7}{7 + 12} \\
 &= 12 \cdot 7 \cdot 6^{-1} \\
 &= 12 \cdot 7 \cdot 11 \\
 &01
 \end{aligned}$$

*Example 101.* Consider Secp256k1 from example Secp256k1. We compute its *j*-invariant using Sage:

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```

3648 sage: p = 1157920892373161954235709850086879078532699846656405 491
3649       64039457584007908834671663
3650 sage: F = GF(p) 492
3651 sage: j = F(1728) * ( (F(4) * F(0) ^3) / (F(4) * F(0) ^3 + F(27) * F(7) ^2) ) 493
3652 sage: j == F(0) 494
3653 True 495

```

**The Complex Multiplication Method** As we have seen in the previous sections, elliptic curves have various defining properties, like their order, their prime factors, the embedding degree, or the cardinality (number of elements) of the base field. The **complex multiplication** (CM) method provides a practical way of constructing elliptic curves with pre-defined restrictions on the order and the base field.

The method usually starts by choosing a base field  $\mathbb{F}_q$  of the curve  $E(\mathbb{F}_q)$  we want to construct such that  $q = p^m$  for some prime number  $p$ , and “ $m \in \mathbb{N}$  with  $m \geq 1$ . We assume  $p > 3$  to simplify things in what follows.

Next, the trace of Frobenius  $t \in \mathbb{Z}$  of the curve is chosen such that  $p$  and  $t$  are coprime, that is,  $\gcd(p, t) = 1$  holds true. The choice of  $t$  also defines the curve’s order  $r$ , since  $r = p + 1 - t$  by the Hasse bound (equation 5.29), so choosing  $t$  will define the large order subgroup as well as all small cofactors.  $r$  has to be defined in such a way that the elliptic curve meets the security requirements of the application it is designed for.

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Note that the choice of  $p$  and  $t$  also determines the embedding degree  $k$  of any prime-order subgroup of the curve, since  $k$  is defined as the smallest number such that the prime order  $n$  divides the number  $q^k - 1$ .

$$\begin{aligned}
 D &< 0 \\
 D \bmod 4 &= 0 \text{ or } D \bmod 4 = 1 \\
 4q &= t^2 + |D|v^2
 \end{aligned} \tag{5.32}$$

In order for the complex multiplication method to work, neither  $q$  nor  $t$  can be arbitrary, but must be chosen in such a way that two additional integers  $D \in \mathbb{Z}$  and  $v \in \mathbb{Z}$  exist and the following conditions hold:

If such numbers exist, we call  $D$  the **CM-discriminant**, and we know that we can construct a curve  $E(\mathbb{F}_q)$  over a finite field  $\mathbb{F}_q$  such that the order of the curve is  $|E(\mathbb{F}_q)| = q + 1 - t$ .

It is the content of the complex multiplication method to actually construct such a curve, that is finding the parameters  $a$  and  $b$  from  $\mathbb{F}_q$  in the defining Weierstraß equation such that the curve has the desired order  $r$ .

Finding solutions to equation 5.29,= can be achieved in different ways, but we will forego the fine detail here. In general, it can be said that there are well-known constraints for elliptic curve families (e.g. the BLS (ECT) families) that provides families of solutions. In what follows, we will look at one type curve in the BLS-family, which gives an entire range of solutions. Are we looking at a subtype of BLS or is BLS the specific type we're referring to?

Assuming that the proper parameters  $q$ ,  $t$ ,  $D$  and  $v$  are found, we have to compute the so-called **Hilbert class polynomial**  $H_D \in \mathbb{Z}[x]$  of the CM-discriminant  $D$ , which is a polynomial with integer coefficients. To do so, we first have to compute the following set:

$$ICG(D) = \{(A, B, C) \mid A, B, C \in \mathbb{Z}, D = B^2 - 4AC, \gcd(A, B, C) = 1,$$

$$|B| \leq A \leq \sqrt{\frac{|D|}{3}}, A \leq C, \text{ if } B < 0 \text{ then } |B| < A < C\}$$

One way to compute this set is to first compute the integer  $A_{\max} = \text{Floor}(\sqrt{\frac{|D|}{3}})$ , then loop through all the integers  $A$  in the range  $[0, \dots, A_{\max}]$ , as well as through all the integers  $B$  in the range  $[-A_{\max}, \dots, A_{\max}]$ , then see if there is an integer  $C$  that satisfies  $D = B^2 - 4AC$  and the rest of the requirements in XXX.

To compute the Hilbert class polynomial, the so-called  **$j$ -function** (or  $j$ -invariant) is needed, which is a complex function defined on the upper half  $\mathbb{H}$  of the complex plane  $\mathbb{C}$ , usually written as follows: is this the same as equation eq:j-invariant1 No they just sound very similar. But they are very different?

$$j : \mathbb{H} \rightarrow \mathbb{C} \quad (5.33)$$

Roughly speaking, what this means is that the  $j$ -functions takes complex numbers  $(x + i \cdot y)$  with a positive imaginary part  $y > 0$  as inputs and returns a complex number  $j(x + i \cdot y)$  as a result.

For the purposes of this book, it is not important to understand the  $j$ -function in detail, and we can use Sage to compute it in a similar way that we would use Sage to compute any other well-known function. It should be noted, however, that the computation of the  $j$ -function in Sage is sometimes prone to precision errors. For example, the  $j$ -function has a root in  $\frac{-1+i\sqrt{3}}{2}$ , which Sage only approximates. Therefore, when using Sage to compute the  $j$ -function, we need to take precision loss into account and possibly round to the nearest integer.

```
sage: z = ComplexField(100) (0, 1) 496
sage: z # (0+1i) 497
1.00000000000000000000000000000000*I 498
sage: elliptic_j(z) 499
1728.000000000000000000000000000000 500
sage: # j-function only defined for positive imaginary 501
arguments
sage: z = ComplexField(100) (1, -1) 502
sage: try: 503
.....:     elliptic_j(z) 504
.....: except PariError: 505
```

```

3711     ....:         pass
3712 sage: # root at (-1+i sqrt(3))/2
3713 sage: z = ComplexField(100)(-1, sqrt(3))/2
3714 sage: elliptic_j(z)
3715 -2.6445453750358706361219364880e-88
3716 sage: elliptic_j(z).imag().round()
3717 0
3718 sage: elliptic_j(z).real().round()
3719 0

```

3720 With a way to compute the  $j$ -function and the precomputed set  $ICG(D)$  at hand, we can now  
 3721 compute the Hilbert class polynomial as follows:

$$H_D(x) = \prod_{(A,B,C) \in ICG(D)} \left( x - j \left( \frac{-B + \sqrt{D}}{2A} \right) \right) \quad (5.34)$$

3722 In other words, we loop over all elements  $(A, B, C)$  from the set  $ICG(D)$  and compute the  
 3723  $j$ -function at the point  $\frac{-B + \sqrt{D}}{2A}$ , where  $D$  is the CM-discriminant that we chose in a previous  
 3724 step. The result defines a factor of the Hilbert class polynomial and all factors are multiplied  
 3725 together.

3726 It can be shown that the Hilbert class polynomial is an integer polynomial, but actual com-  
 3727 putations need high-precision arithmetics to avoid approximation errors that usually occur in  
 3728 computer approximations of the  $j$ -function (as shown above). So, in case the calculated Hilbert  
 3729 class polynomial does not have integer coefficients, we need to round the result to the nearest  
 3730 integer. Given that the precision we used was high enough, the result will be correct.

In the next step, we use the Hilbert class polynomial  $H_D \in \mathbb{Z}[x]$ , and project it to a poly-  
 nomial  $H_{D,q} \in \mathbb{F}_q[x]$  with coefficients in the base field  $\mathbb{F}_q$  as chosen in the first step. We do  
 this by simply computing the new coefficients as the old coefficients modulus  $p$ , that is, if  
 $H_D(x) = a_m x^m + a_{m-1} x^{m-1} + \dots + a_1 x + a_0$ , we compute the  $q$ -modulus of each coefficient  
 $\tilde{a}_j = a_j \bmod p$ , which defines the **projected Hilbert class polynomial** as follows:

$$H_{D,p}(x) = \tilde{a}_m x^m + \tilde{a}_{m-1} x^{m-1} + \dots + \tilde{a}_1 x + \tilde{a}_0$$

3731 We then search for roots of  $H_{D,p}$ , since every root  $j_0$  of  $H_{D,p}$  defines a family of elliptic curves  
 3732 over  $\mathbb{F}_q$ , which all have a  $j$ -invariant 5.31 or 5.33 equal to  $j_0$ . We can pick any root, since all of  
 3733 them will lead to proper curves eventually.

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3734 However, some of the curves with the correct  $j$ -invariant might have an order different from  
 3735 the one we initially decided on. Therefore, we need a way to decide on a curve with the correct  
 3736 order.

3737 To compute such a curve, we have to distinguish a few different cases based on our choice  
 3738 of the root  $j_0$  and of the CM-discriminant  $D$ . If  $j_0 \neq 0$  or  $j_0 \neq 1728 \bmod q$ , we compute  
 3739  $c_1 = \frac{j_0}{(1728 \bmod q) - j_0}$ , then we chose some arbitrary quadratic non-residue  $c_2 \in \mathbb{F}_q$ , and some  
 3740 arbitrary cubic non-residue  $c_3 \in \mathbb{F}_q$ .

3741 The following table is guaranteed to define a curve with the correct order  $r = q + 1 - t$  for  
 3742 the trace of Frobenius  $t$  we initially decided on:

actually  
make this  
a table?

3743 **Definition 5.4.0.1.** • Case  $j_0 \neq 0$  and  $j_0 \neq 1728 \bmod q$ . A curve with the correct order is  
 3744 defined by one of the following equations:

$$y^2 = x^3 + 3c_1 x + 2c_1 \quad \text{or} \quad y^2 = x^3 + 3c_1 c_2^2 x + 2c_1 c_2^3 \quad (5.35)$$



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- Case  $j_0 = 0$  and  $D \neq -3$ . A curve with the correct order is defined by one of the following equations:

$$y^2 = x^3 + 1 \quad \text{or} \quad y^2 = x^3 + c_2^3 \quad (5.36)$$

- Case  $j_0 = 0$  and  $D = -3$ . A curve with the correct order is defined by one of the following equations:

$$\begin{aligned} y^2 &= x^3 + 1 \quad \text{or} \quad y^2 = x^3 + c_2^3 \quad \text{or} \\ y^2 &= x^3 + c_3^2 \quad \text{or} \quad y^2 = c_3^2 c_2^3 \quad \text{or} \\ y^2 &= x^3 + c_3^{-2} \quad \text{or} \quad y^2 = x^3 + c_3^{-2} c_2^3 \end{aligned}$$

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- Case  $j_0 = 1728 \bmod q$  and  $D \neq -4$ . A curve with the correct order is defined by one of the following equations:

$$y^2 = x^3 + x \quad \text{or} \quad y^2 = x^3 + c_2^2 x \quad (5.37)$$

- Case  $j_0 = 1728 \bmod q$  and  $D = -4$ . A curve with the correct order is defined by one of the following equations:

$$\begin{aligned} y^2 &= x^3 + x \quad \text{or} \quad y^2 = x^3 + c_2 x \quad \text{or} \\ y^2 &= x^3 + c_2^2 x \quad \text{or} \quad y^2 = x^3 + c_2^3 x \end{aligned}$$

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To decide the proper defining Weierstraß equation, we therefore have to compute the order of any of the potential curves above, and then choose the one that fits our initial requirements. Since it can be shown that the Hilbert class polynomials for the CM-discriminants  $D = -3$  and  $D = -4$  are given by  $H_{-3,q}(x) = x$  and  $H_{-4,q}(x) = x - (1728 \bmod q)$  (EXERCISE), the previous cases are exhaustive.

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To summarize, using the complex multiplication method, it is possible to synthesize elliptic curves with predefined order over predefined base fields from scratch. However, the curves that are constructed this way are just some representatives of a larger class of curves, all of which have the same order. Therefore, in real-world applications, it is sometimes more advantageous to choose a different representative from that class. To do so recall from XXX that any curve defined by the Weierstraß equation  $y^2 = x^3 + ax + b$  is isomorphic to a curve of the form  $y^2 = x^3 + ad^2x + bd^3$  for some quadratic residue  $d \in \mathbb{F}_q$ .

In order to find a suitable representative (e.g. with small parameters  $a$  and  $b$ ) in the last step, the curve designer might choose a quadratic residue  $d$  such that the transformed curve has the properties they wanted.

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*Example 102.* Consider curve  $E_1(\mathbb{F}_5)$  from example 67. We want to use the complex multiplication method to derive that curve from scratch. Since  $E_1(\mathbb{F}_5)$  is a curve of order  $r = 9$  over the prime field of order  $q = 5$ , we know from example 96 that its trace of Frobenius is  $t = -3$ , which also implies that  $q$  and  $|t|$  are coprime.

We then have to find parameters  $D, v \in \mathbb{Z}$  such that the criteria in 5.32 hold. We get the following:

$$\begin{aligned} 4q &= t^2 + |D|v^2 && \Rightarrow \\ 20 &= (-3)^2 + |D|v^2 && \Leftrightarrow \\ 11 &= |D|v^2 \end{aligned}$$

exercise  
still to be  
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Now, since 11 is a prime number, the only solution is  $|D| = 11$  and  $v = 1$  here. With  $D = -11$  and the Euclidean division of  $-11$  by 4 being  $-11 = -3 \cdot 4 + 1$ , we have  $-11 \bmod 4 = 1$ , which shows that  $D = -11$  is a proper choice.

In the next step, we have to compute the Hilbert class polynomial  $H_{-11}$ . To do so, we first have to find the set  $ICG(D)$ . To compute that set, observe that, since  $\sqrt{\frac{|D|}{3}} \approx 1.915 < 2$ , we know from  $A \leq \sqrt{\frac{|D|}{3}}$  and  $A \in \mathbb{Z}$  that  $A$  must be either 0 or 1.

For  $A = 0$ , we know  $B = 0$  from the constraint  $|B| \leq A$ . However, in this case, there could be no  $C$  satisfying  $-11 = B^2 - 4AC$ . So we try  $A = 1$  and deduce  $B \in \{-1, 0, 1\}$  from the constraint  $|B| \leq A$ . The case  $B = -1$  can be excluded, since then  $B < 0$  has to imply  $|B| < A$ . The case  $B = 0$  can also be excluded, as there cannot be an integer  $C$  with  $-11 = -4C$ , since 11 is a prime number.

This leaves the case  $B = 1$ , and we compute  $C = 3$  from the equation  $-11 = 1^2 - 4C$ , which gives the solution  $(A, B, C) = (1, 1, 3)$ :

$$ICG(D) = \{(1, 1, 3)\}$$

With the set  $ICG(D)$  at hand, we can compute the Hilbert class polynomial of  $D = -11$ . To do so, we have to insert the term  $\frac{-1+\sqrt{-11}}{2}$  into the  $j$ -function. To do so, first observe that  $\sqrt{-11} = i\sqrt{11}$ , where  $i$  is the imaginary unit, defined by  $i^2 = -1$ . Using this, we can invoke Sage to compute the  $j$ -invariant and get the following:

$$H_{-11}(x) = x - j\left(\frac{-1+i\sqrt{11}}{2}\right) = x + 32768$$

As we can see, in this particular case, the Hilbert class polynomial is a linear function with a single integer coefficient. In the next step, we have to project it onto a polynomial from  $\mathbb{F}_5[x]$  by computing the modular 5 remainder of the coefficients 1 and 32768. We get  $32768 \bmod 5 = 3$ , from which it follows that the projected Hilbert class polynomial is considered a polynomial from  $\mathbb{F}_5[x]$ :

$$H_{-11,5}(x) = x + 3$$

As we can see, the only root of this polynomial is  $j = 2$ , since  $H_{-11,5}(2) = 2 + 3 = 0$ . We therefore have a situation with  $j \neq 0$  and  $j \neq 1728$ , which tells us that we have to compute the parameter  $c_1$  in modular 5 arithmetics:

$$c_1 = \frac{2}{1728 - 2}$$

Since  $1728 \bmod 5 = 3$ , we get  $c_1 = 2$ .

Next, we have to check if the curve  $E(\mathbb{F}_5)$  defined by the Weierstraß equation  $y^2 = x^3 + 3 \cdot 2x + 2 \cdot 2$  has the correct order. We invoke Sage, and find that the order is indeed 9, so it is a curve with the required parameters. Thus, we have successfully constructed the curve with the desired properties.

Note, however, that in real-world applications, it might be useful to choose parameters  $a$  and  $b$  that have certain properties, e.g. to be as small as possible. As we know from XXX, choosing any quadratic residue  $d \in \mathbb{F}_5$  gives a curve of the same order defined by  $y^2 = x^2 + ak^2x + bk^3$ . Since 4 is a quadratic residue in  $\mathbb{F}_4$ , we can transform the curve defined by  $y^2 = x^3 + x + 4$  into the curve  $y^2 = x^3 + 4^2 + 4 \cdot 4^3$  which gives the following:

$$y^2 = x^3 + x + 1$$

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3784 This is the curve  $E_1(\mathbb{F}_5)$  that we used extensively throughout this book. Thus, using the  
 3785 complex multiplication method, we were able to derive a curve with specific properties from  
 3786 scratch.

3787 *Example 103.* Consider the tiny-jubjub curve  $TJJ\_13$  from example 68. We want to use the  
 3788 complex multiplication method to derive that curve from scratch. Since  $TJJ\_13$  is a curve of  
 3789 order  $r = 20$  over the prime field of order  $q = 13$ , we know from example 97 that its trace of  
 3790 Frobenius is  $t = -6$ , which also implies that  $q$  and  $|t|$  are coprime.

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We then have to find parameters  $D, v \in \mathbb{Z}$  such that 5.32 holds. We get the following:

$$\begin{aligned} 4q &= t^2 + |D|v^2 && \Rightarrow \\ 4 \cdot 13 &= (-6)^2 + |D|v^2 && \Rightarrow \\ 52 &= 36 + |D|v^2 && \Leftrightarrow \\ 16 &= |D|v^2 \end{aligned}$$

3791 This equation has two solutions for  $(D, v)$ , namely  $(-4, \pm 2)$  and  $(-16, \pm 1)$ . Looking at the  
 3792 first solution, we know that  $D = -4$  implies  $j = 1728$ , and the constructed curve is defined by  
 3793 a Weierstraß equation 5.1 that has a vanishing parameter  $b = 0$ . We can therefore conclude that  
 3794 choosing  $D = -4$  will not help us reconstructing  $TJJ\_13$ . It will produce curves with order 20,  
 3795 just not the one we are looking for.

check  
reference

So we choose the second solution  $D = -16$ . In the next step, we have to compute the Hilbert class polynomial  $H_{-16}$ . To do so, we first have to find the set  $ICG(D)$ . To compute that set, observe that since  $\sqrt{\frac{|-16|}{3}} \approx 2.31 < 3$ , we know from  $A \leq \sqrt{\frac{|-16|}{3}}$  and  $A \in \mathbb{Z}$  that  $A$  must be in the range  $0..2$ . So we loop through all possible values of  $A$  and through all possible values of  $B$  under the constraints  $|B| \leq A$ , and if  $B < 0$  then  $|B| < A$ . Then we compute potential  $C$ 's from  $-16 = B^2 - 4AC$ . We get the following two solutions for  $ICG(D)$ : we get

$$ICG(D) = \{(1, 0, 4), (2, 0, 2)\}$$

With the set  $ICG(D)$  at hand, we can compute the Hilbert class polynomial of  $D = -16$ . We can invoke Sage to compute the  $j$ -invariant and get the following:

$$\begin{aligned} H_{-16}(x) &= \left( x - j \left( \frac{i\sqrt{16}}{2} \right) \right) \left( x - j \left( \frac{i\sqrt{16}}{4} \right) \right) \\ &= (x - 287496)(x - 1728) \end{aligned}$$

As we can see, in this particular case, the Hilbert class polynomial is a quadratic function with two integer coefficients. In the next step, we have to project it onto a polynomial from  $\mathbb{F}_5[x]$  by computing the modular 5 remainder of the coefficients 1, 287496 and 1728. We get  $287496 \bmod 13 = 1$  and  $1728 \bmod 13 = 2$ , which means that the projected Hilbert class polynomial is as follows:

$$H_{-11,5}(x) = (x - 1)(x - 12) = (x + 12)(x + 1)$$

3796 This is considered a polynomial from  $\mathbb{F}_5[x]$ . Thus, we have two roots, namely  $j = 1$  and  $j =$   
 3797 12. We already know that  $j = 12$  is the wrong root to construct the tiny-jubjub curve, since  
 3798  $1728 \bmod 13 = 2$ , and that case is not compatible with a curve with  $b \neq 0$ . So we choose  $j = 1$ .

Another way to decide the proper root is to compute the  $j$ -invariant of the tiny-jubjub curve. We get the following:

$$\begin{aligned} j(TJJ\_13) &= 12 \frac{4 \cdot 8^3}{4 \cdot 8^3 + 1 \cdot 8^2} \\ &= 12 \frac{4 \cdot 5}{4 \cdot 5 + 12} \\ &= 12 \frac{7}{7 + 12} \\ &= 12 \frac{7}{7 + 12} \\ &= 1 \end{aligned}$$

This is equal to the root  $j = 1$  of the Hilbert class polynomial  $H_{-16,13}$  as expected. We therefore have a situation with  $j \neq 0$  and  $j \neq 1728$ , which tells us that we have to compute the parameter  $c_1$  in modular 5 arithmetics:

$$c_1 = \frac{1}{12 - 1} = 6$$

Since  $1728 \bmod 13 = 12$ , we get  $c_1 = 6$ . Then we have to check if the curve  $E(\mathbb{F}_5)$  defined by the Weierstraß equation  $y^2 = x^3 + 3 \cdot 6x + 2 \cdot 6$ , which is equivalent to  $y^2 = x^3 + 5x + 12$ , has the correct order. We invoke Sage and find that the order is 8, which implies that the trace of this curve is 6, not  $-6$  as required. So we have to consider the second possibility, and choose some quadratic non-residue  $c_2 \in \mathbb{F}_{13}$ . We choose  $c_2 = 5$  and compute the Weierstraß equation  $y^2 = x^3 + 5c_2^2 + 12c_2^3$  as follows:

$$y^2 = x^3 + 8x + 5$$

We invoke Sage and find that the order is 20, which is indeed the correct one. As we know from XXX, choosing any quadratic residue  $d \in \mathbb{F}_5$  gives a curve of the same order defined by  $y^2 = x^2 + ad^2x + bd^3$ . Since 12 is a quadratic residue in  $\mathbb{F}_{13}$ , we can transform the curve defined by  $y^2 = x^3 + 8x + 5$  into the curve  $y^2 = x^3 + 12^2 \cdot 8 + 5 \cdot 12^3$  which gives the following:

$$y^2 = x^3 + 8x + 8$$

add reference

3799 This is the tiny-jubjub curve that we used extensively throughout this book. So using the  
3800 complex multiplication method, we were able to derive a curve with specific properties from  
3801 scratch.

*Example 104.* To consider a real-world example, we want to use the complex multiplication method in combination with Sage to compute Secp256k1 from scratch. So based on example 69, we decided to compute an elliptic curve over a prime field  $\mathbb{F}_p$  of order  $r$  for the following security parameters:

check reference

$$\begin{aligned} p &= 115792089237316195423570985008687907853269984665640564039457584007908834671663 \\ r &= 115792089237316195423570985008687907852837564279074904382605163141518161494337 \end{aligned}$$

According to example 98, this gives the following trace of Frobenius:

$$t = 43242038656559656852420866390673177327$$

check reference

3802 We also decided that we want a curve of the form  $y^2 = x^3 + b$ , that is, we want the parameter  
3803  $a$  to be zero. This implies that the  $j$ -invariant of our curve must be zero.

In a first step, we have to find a CM-discriminant  $D$  and some integer  $v$  such that the equation  $4p = t^2 + |D|v^2$  is satisfied. Since we aim for a vanishing  $j$ -invariant, the first thing to try is  $D = -3$ . In this case, we can compute  $v^2 = (4p - t^2)$ , and if  $v^2$  happens to be an integer that has a square root  $v$ , we are done. Invoking Sage we compute as follows:

```

3808 sage: D = -3
3809 sage: p = 1157920892373161954235709850086879078532699846656405
3810       64039457584007908834671663
3811 sage: r = 1157920892373161954235709850086879078528375642790749
3812       04382605163141518161494337
3813 sage: t = p+1-r
3814 sage: v_sqr = (4*p - t^2)/abs(D)
3815 sage: v_sqr.is_integer()
3816 True
3817 sage: v = sqrt(v_sqr)
3818 sage: v.is_integer()
3819 True
3820 sage: 4*p == t^2 + abs(D)*v^2
3821 True
3822 sage: v
3823 303414439467246543595250775667605759171

```

The pair  $(D, v) = (-3, 303414439467246543595250775667605759171)$  does indeed solve the equation, which tells us that there is a curve of order  $r$  over a prime field of order  $p$ , defined by a Weierstraß equation  $y^2 = x^3 + b$  for some  $b \in \mathbb{F}_p$ . Now we need to compute  $b$ .

For  $D = -3$ , we already know that the associated Hilbert class polynomial is given by  $H_{-3}(x) = x$ , which gives the projected Hilbert class polynomial as  $H_{-3,p} = x$  and the  $j$ -invariant of our curve is guaranteed to be  $j = 0$ . Now, looking at 5.4.0.1, we see that there are 6 possible cases to construct a curve with the correct order  $r$ . In order to construct the curves in question, we have to choose some arbitrary quadratic and cubic non-residue. So we loop through  $\mathbb{F}_p$  to find them, invoking Sage:

```

3833 sage: F = GF(p)
3834 sage: for c2 in F:
3835     ....:     try: # quadratic residue
3836     ....:         _ = c2.nth_root(2)
3837     ....:     except ValueError: # quadratic non-residue
3838     ....:         break
3839 sage: c2
3840 3
3841 sage: for c3 in F:
3842     ....:     try:
3843     ....:         _ = c3.nth_root(3)
3844     ....:     except ValueError:
3845     ....:         break
3846 sage: c3
3847 2

```

We found the quadratic non-residue  $c_2 = 3$  and the cubic non-residue  $c_3 = 2$ . Using those numbers, we check the six cases against the the expected order  $r$  of the curve we want to

check  
reference

3850 synthesize:

```

3851 sage: C1 = EllipticCurve(F, [0, 1])           544
3852 sage: C1.order() == r                         545
3853 False                                         546
3854 sage: C2 = EllipticCurve(F, [0, c2^3])        547
3855 sage: C2.order() == r                         548
3856 False                                         549
3857 sage: C3 = EllipticCurve(F, [0, c3^2])        550
3858 sage: C3.order() == r                         551
3859 False                                         552
3860 sage: C4 = EllipticCurve(F, [0, c3^2*c2^3])   553
3861 sage: C4.order() == r                         554
3862 False                                         555
3863 sage: C5 = EllipticCurve(F, [0, c3^(-2)])      556
3864 sage: C5.order() == r                         557
3865 False                                         558
3866 sage: C6 = EllipticCurve(F, [0, c3^(-2)*c2^3]) 559
3867 sage: C6.order() == r                         560
3868 True                                          561

```

As expected, we found an elliptic curve of the correct order  $r$  over a prime field of size  $p$ . In principle, we are done, as we have found a curve with the same basic properties as Secp256k1. However, the curve is defined by the following equation, which uses a very large parameter  $b_1$ , and so it might perform too slowly in certain algorithms.

$$y^2 = x^3 + 86844066927987146567678238756515930889952488499230423029593188005931626003754$$

It is also not very elegant to be written down by hand. It might therefore be advantageous to find an isomorphic curve with the smallest possible parameter  $b_2$ . In order to find such a  $b_2$ , we have to choose a quadratic residue  $d$  such that  $b_2 = b_1 \cdot d^3$  is as small as possible. To do so, we rewrite the last equation into the following form:

$$d = \sqrt[3]{\frac{b_2}{b_1}}$$

what does this mean? Maybe just delete it

3869 Then we invoke Sage to loop through values  $b_2 \in \mathbb{F}_p$  until it finds some number such that  
 3870 the quotient  $\frac{b_2}{b_1}$  has a cube root  $d$  and this cube root itself is a quadratic residue.

```

3871 sage: b1=86844066927987146567678238756515930889952488499230423 562
3872       029593188005931626003754
3873 sage: for b2 in F:                               563
3874     ....:     try:                               564
3875     ....:         d = (b2/b1).nth_root(3)        565
3876     ....:         try:                           566
3877     ....:             _ = d.nth_root(2)          567
3878     ....:             if d != 0:                 568
3879     ....:                 break                  569
3880     ....:         except ValueError:              570
3881     ....:             pass                        571
3882     ....:     except ValueError:                 572
3883     ....:         pass                           573

```

3884 **sage: b2**  
 3885 **7**

574  
 575

3886 Indeed, the smallest possible value is  $b_2 = 7$  and the defining Weierstraß equation of a curve  
 3887 over  $\mathbb{F}_p$  with prime order  $r$  is  $y^2 = x^3 + 7$ , which we might call Secp256k1. As we have just  
 3888 seen, the complex multiplication method is powerful enough to derive cryptographically secure  
 3889 curves like Secp256k1 from scratch.

3890 **The BLS6\_6 pen-and-paper curve** In this paragraph, we summarize our understanding of  
 3891 elliptic curves to derive our main pen-and-paper example for the rest of the book. To do so, we  
 3892 want to use the complex multiplication method to derive a pairing-friendly elliptic curve that  
 3893 has similar properties to curves that are used in actual cryptographic protocols. However, we  
 3894 design the curve specifically to be useful in pen-and-paper examples, which mostly means that  
 3895 the curve should contain only a few points so that we are able to derive exhaustive addition and  
 3896 pairing tables.

3897 A well-understood family of pairing-friendly curves is the the group of BLS curves (STUFF  
 3898 ABOUT THE HISTORY AND THE NAMING CONVENTION), which are derived in [XXX].  
 3899 BLS curves are particularly useful in our case if the embedding degree  $k$  satisfies  $k \equiv 6 \pmod{0}$ .  
 3900 Of course, the smallest embedding degree  $k$  that satisfies this congruency is  $k = 6$  and we there-  
 3901 fore aim for a BLS6 curve as our main pen-and-paper example.

write up  
this part

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ence

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reference

3902 To apply the complex multiplication method from page 112 ff., recall that this method starts  
 3903 with a definition of the base field  $\mathbb{F}_{p^m}$ , as well as the trace of Frobenius  $t$  and the order of the  
 3904 curve. If the order  $p^m + 1 - t$  is not a prime number, then the order  $r$  of the largest prime factor  
 3905 group needs to be controlled.

3906 In the case of BLS\_6 curves, the parameter  $m$  is chosen to be 1, which means that the  
 3907 curves are defined over prime fields. All relevant parameters  $p$ ,  $t$  and  $r$  are then themselves  
 3908 parameterized by the following three polynomials:

$$\begin{aligned} r(x) &= \Phi_6(x) \\ t(x) &= x + 1 \\ q(x) &= \frac{1}{3}(x-1)^2(x^2 - x + 1) + x \end{aligned} \tag{5.38}$$

3909 In the equations above,  $\Phi_6$  is the 6-th cyclotomic polynomial and  $x \in \mathbb{N}$  is a parameter  
 3910 that the designer has to choose in such a way that the evaluation of  $p$ ,  $t$  and  $r$  at the point  $x$   
 3911 gives integers that have the proper size to meet the security requirements of the curve that they  
 3912 want to design. It is then guaranteed that the complex multiplication method can be used in  
 3913 combination with those parameters to define an elliptic curve with CM-discriminant  $D = -3$ ,  
 3914 embedding degree  $k = 6$ , and curve equation  $y^2 = x^3 + b$  for some  $b \in \mathbb{F}_p$ .

cyclotomic  
polyno-  
mial

3915 For example, if the curve should target the 128-bit security level, due to the Pholaard-rho  
 3916 attack (TODO) the parameter  $r$  should be prime number of at least 256 bits.

Pholaard-  
rho attack

3917 In order to design the smallest BLS\_6 curve, we therefore have to find a parameter  $x$  such  
 3918 that  $r(x)$ ,  $t(x)$  and  $q(x)$  are the smallest natural numbers that satisfy  $q(x) > 3$  and  $r(x) > 3$ .<sup>1</sup>

todo

We therefore initiate the design process of our BLS6 curve by looking up the 6-th cyclo-  
 tomic polynomial, which is  $\Phi_6 = x^2 - x + 1$ , and then insert small values for  $x$  into the defining

<sup>1</sup>The smallest BLS curve will also be the most insecure BLS curve. However, since our goal with this curve is ease of pen-and-paper computation rather than security, it fits the purposes of this book.

polynomials  $r, t, q$ . We get the following results:

$$\begin{array}{lll} x = 1 & (r(x), t(x), q(x)) & (1, 2, 1) \\ x = 2 & (r(x), t(x), q(x)) & (3, 3, 3) \\ x = 3 & (r(x), t(x), q(x)) & (7, 4, \frac{37}{3}) \\ x = 4 & (r(x), t(x), q(x)) & (13, 5, 43) \end{array}$$

3919 Since  $q(1) = 1$  is not a prime number, the first  $x$  that gives a proper curve is  $x = 2$ . However,  
3920 such a curve would be defined over a base field of characteristic 3, and we would rather like to  
3921 avoid that. We therefore find  $x = 4$ , which defines a curve over the prime field of characteristic  
3922 43 that has a trace of Frobenius  $t = 5$  and a larger order prime group of size  $r = 13$ .

3923 Since the prime field  $\mathbb{F}_{43}$  has 43 elements and 43's binary representation is  $43_2 = 101011$ ,  
3924 which consists of 6 digits, the name of our pen-and-paper curve should be *BLS6\_6*, since its is  
3925 common to name a BLS curve by its embedding degree and the bit-length of the modulus in the  
3926 base field. We call *BLS6\_6* the **moon-math-curve**.

3927 Based on 5.29, we know that the Hasse bound implies that *BLS6\_6* will contain exactly 39  
3928 elements. Since the prime factorization of 39 is  $39 = 3 \cdot 13$ , we have a “large” prime factor  
3929 group of size 13, as expected, and a small cofactor group of size 3. Fortunately, a subgroup of  
3930 order 13 is well suited for our purposes, as 13 elements can be easily handled in the associated  
3931 addition, scalar multiplication and pairing tables in a pen-and-paper style.

3932 We can check that the embedding degree is indeed 6 as expected, since  $k = 6$  is the smallest  
3933 number  $k$  such that  $r = 13$  divides  $43^k - 1$ .

```
3934 sage: for k in range(1, 42): # Fermat's little theorem
3935     ....:     if (43^k - 1) % 13 == 0:
3936     ....:         break
3937 sage: k
3938 6
```

3939 In order to compute the defining equation  $y^2 = x^3 + ax + b$  of *BLS6\_6*, we use the complex  
3940 multiplication method as described in 5.4. The goal is to find  $a, b \in \mathbb{F}_{43}$  representations that  
3941 are particularly nice to work with. The authors of XXX showed that the CM-discriminant of  
3942 every BLS curve is  $D = -3$  and, indeed, the following equation has the four solutions  $(D, v) \in$   
3943  $\{(-3, -7), (-3, 7), (-49, -1), (-49, 1)\}$  if  $D$  is required to be negative, as expected:

$$\begin{array}{ll} 4p = t^2 + |D|v^2 & \Rightarrow \\ 4 \cdot 43 = 5^2 + |D|v^2 & \Rightarrow \\ 172 = 25 + |D|v^2 & \Leftrightarrow \\ 49 = |D|v^2 & \end{array}$$

3944 This means that  $D = -3$  is indeed a proper CM-discriminant, and we can deduce that the  
3945 parameter  $a$  has to be 0, and that the Hilbert class polynomial is given by  $H_{-3, 43}(x) = x$ .

3946 This implies that the  $j$ -invariant of *BLS6\_6* is given by  $j(\text{BLS6\_6}) = 0$ . We therefore have  
3947 to look at case XXX in table 5.4.0.1 to derive a parameter  $b$ . To decide the proper case for  
3948  $j_0 = 0$  and  $D = -3$ , we therefore have to choose some arbitrary quadratic non-residue  $c_2$  and  
3949 cubic non-residue  $c_3$  in  $\mathbb{F}_{43}$ . We choose  $c_2 = 5$  and  $c_3 = 36$ . We check these with Sage:

```
3950 sage: F43 = GF(43)
```

why? Be-  
cause in  
this book  
elliptic  
curves are  
only de-  
fined for  
fields of  
characteris-  
tic  $> 3$

check  
reference

check  
reference

what  
does this  
mean?

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ence

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ence

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```

3951 sage: c2 = F43(5) 582
3952 ..... try: # quadratic residue 583
3953 ..... c2.nth_root(2) 584
3954 ..... except ValueError: # quadratic non-residue 585
3955 ..... c2 586
3956 sage: c3 = F43(36) 587
3957 ..... try: 588
3958 ..... c3.nth_root(3) 589
3959 ..... except ValueError: 590
3960 ..... c3 591

```

3961 Using those numbers we check the six possible cases from 5.4.0.1 against the the expected  
 3962 order 39 of the curve we want to synthesize:

check  
reference

```

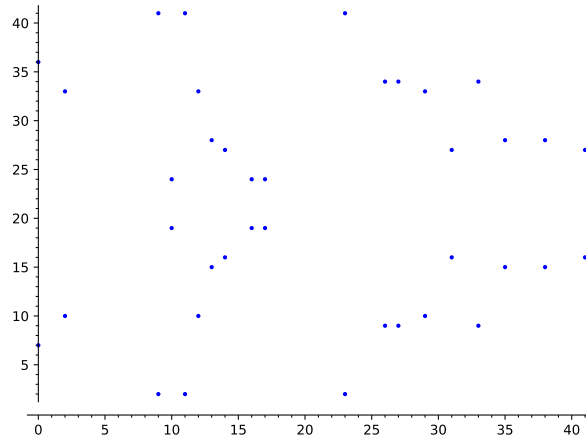
3963 sage: BLS61 = EllipticCurve(F43, [0, 1]) 592
3964 sage: BLS61.order() == 39 593
3965 False 594
3966 sage: BLS62 = EllipticCurve(F43, [0, c2^3]) 595
3967 sage: BLS62.order() == 39 596
3968 False 597
3969 sage: BLS63 = EllipticCurve(F43, [0, c3^2]) 598
3970 sage: BLS63.order() == 39 599
3971 True 600
3972 sage: BLS64 = EllipticCurve(F43, [0, c3^2*c2^3]) 601
3973 sage: BLS64.order() == 39 602
3974 False 603
3975 sage: BLS65 = EllipticCurve(F43, [0, c3^(-2)]) 604
3976 sage: BLS65.order() == 39 605
3977 False 606
3978 sage: BLS66 = EllipticCurve(F43, [0, c3^(-2)*c2^3]) 607
3979 sage: BLS66.order() == 39 608
3980 False 609
3981 sage: BLS6 = BLS63 # our BLS6 curve in the book 610

```

3982 As expected, we found an elliptic curve of the correct order 39 over a prime field of size 43,  
 3983 defined by the following equation:

$$BLS6\_6 := \{(x, y) \mid y^2 = x^3 + 6 \text{ for all } x, y \in \mathbb{F}_{43}\} \quad (5.39)$$

3984 There are other choices for  $b$ , such as  $b = 10$  or  $b = 23$ , but all these curves are isomorphic,  
 3985 and hence represent the same curve in a different way. Since BLS6-6 only contains 39 points, it  
 3986 is possible to give a visual impression of the curve:



3987

3988 As we can see, our curve has some desirable properties: it does not contain self-inverse  
 3989 points, that is, points with  $y = 0$ . It follows that the addition law can be optimized, since the  
 3990 branch for those cases can be eliminated.

3991 Summarizing the previous procedure, we have used the method of Barreto, Lynn and Scott  
 3992 to construct a pairing-friendly elliptic curve of embedding degree 6. However, in order to do  
 3993 elliptic curve cryptography on this curve, note that, since the order of  $BLS6\_6$  is 39, its group  
 3994 of rational points is not a finite cyclic group of prime order. We therefore have to find a suitable  
 3995 subgroup as our main target. Since  $39 = 13 \cdot 3$ , we know that the curve must contain a “large”  
 3996 prime-order group of size 13 and a small cofactor group of order 3.

3997 The following step is to construct this group. One way to do so is to find a generator. We  
 3998 can achieve this by choosing an arbitrary element of the group that is not the point at infinity,  
 3999 and then multiply that point with the cofactor of the group’s order. If the result is not the point  
 4000 at infinity, the result will be a generator. If it is the point at infinity we have to choose a different  
 4001 element.

In order to find a generator for the large order subgroup of size 13, we first notice that the cofactor of 13 is 3, since  $39 = 3 \cdot 13$ . We then need to construct an arbitrary element from  $BLS6\_6$ . To do so in a pen-and-paper style, we can choose some *arbitrary*  $x \in \mathbb{F}_{43}$  and see if there is some solution  $y \in \mathbb{F}_{43}$  that satisfies the defining Weierstraß equation  $y^2 = x^3 + 6$ . We choose  $x = 9$ , and check that  $y = 2$  is a proper solution:

$$\begin{aligned} y^2 &= x^3 + 6 && \Rightarrow \\ 2^2 &= 9^3 + 6 && \Leftrightarrow \\ 4 &= 4 \end{aligned}$$

4002 This implies that  $P = (9, 2)$  is therefore a point on  $BLS6\_6$ . To see if we can project this  
 4003 point onto a generator of the large order prime group  $BLS6\_6[13]$ , we have to multiply  $P$  with  
 4004 the cofactor, that is, we have to compute  $[3](9, 2)$ . After some computation (EXERCISE) we  
 4005 get  $[3](9, 2) = (13, 15)$ . Since this is not the point at infinity, we know that  $(13, 15)$  must be a  
 4006 generator of  $BLS6\_6[13]$ . The generator  $g_{BLS6\_6[13]}$ , which we will use in pairing computations  
 4007 in the remainder of this book, is given as follows:

$$g_{BLS6\_6[13]} = (13, 15) \tag{5.40}$$

4008 Since  $g_{BLS6\_6[13]}$  is a generator, we can use it to construct the subgroup  $BLS6\_6[13]$  by re-  
 4009 peatedly adding the generator to itself. Using Sage, we get the following:

4010 **sage:** `P = BLS6(9, 2)`

add refer-  
ence

add exer-  
cise



```

4011 sage: Q = 3*P 612
4012 sage: Q.xy() 613
4013 (13, 15) 614
4014 sage: BLS6_13 = [] 615
4015 sage: for x in range(0,13): # cyclic of order 13 616
4016 .....:     P = x*Q 617
4017 .....:     BLS6_13.append(P) 618

```

Repeatedly adding a generator to itself, as we just did, will generate small groups in logarithmic order with respect to the generator as, explained on page 43 ff. We therefore get the following description of the large prime-order subgroup of  $BLS6\_6$ :

check  
reference

$$\begin{aligned}
 BLS6\_6[13] = \\
 \{ (13, 15) \rightarrow (33, 34) \rightarrow (38, 15) \rightarrow (35, 28) \rightarrow (26, 34) \rightarrow (27, 34) \rightarrow \\
 (27, 9) \rightarrow (26, 9) \rightarrow (35, 15) \rightarrow (38, 28) \rightarrow (33, 9) \rightarrow (13, 28) \rightarrow \mathcal{O} \} \quad (5.41)
 \end{aligned}$$

Having a logarithmic description of this group is tremendously helpful in pen-and-paper computations. To see that, observe that we know from XXX that there is an exponential map from the scalar field  $\mathbb{F}_{13}$  to  $BLS6\_6[13]$  with respect to our generator, which generates the group in logarithmic order:

add refer-  
ence

$$[\cdot]_{(13,15)} : \mathbb{F}_{13} \rightarrow BLS6\_6[13] ; x \mapsto [x](13, 15)$$

So, for example, we have  $[1]_{(13,15)} = (13, 15)$ ,  $[7]_{(13,15)} = (27, 9)$  and  $[0]_{(13,15)} = \mathcal{O}$  and so on. The relevant point here is that we can use this representation to do computations in  $BLS6\_6[13]$  efficiently in our head using XXX, as in the following example:

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$$\begin{aligned}
 (27, 34) \oplus (33, 9) &= [6](13, 15) \oplus [11](13, 15) \\
 &= [6 + 11](13, 15) \\
 &= [4](13, 15) \\
 &= (35, 28)
 \end{aligned}$$

So XXX is really all we need to do computations in  $BLS6\_6[13]$  in this book efficiently. However, out of convenience, the following picture lists the entire addition table of that group, as it might be useful in pen-and-paper computations:

add refer-  
ence

$\oplus$	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)
$\mathcal{O}$	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)
(13, 15)	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$
(33, 34)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)
(38, 15)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)
(35, 28)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)
(26, 34)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)
(27, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)
(27, 9)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)
(26, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)
(35, 15)	(35, 15)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)
(38, 28)	(38, 28)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)
(33, 9)	(33, 9)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)
(13, 28)	(13, 28)	$\mathcal{O}$	(13, 15)	(33, 34)	(38, 15)	(35, 28)	(26, 34)	(27, 34)	(27, 9)	(26, 9)	(35, 15)	(38, 28)	(33, 9)

Now that we have constructed a “large” cyclic prime-order subgroup of  $BLS6\_6$  suitable for many pen-and-paper computations in elliptic curve cryptography, we have to look at how to do pairings in this context. We know that  $BLS6\_6$  is a pairing-friendly curve by design, since it has a small embedding degree  $k = 6$ . It is therefore possible to compute Weil pairings efficiently. However, in order to do so, we have to decide the groups  $\mathbb{G}_1$  and  $\mathbb{G}_2$  as explained in exercise 75.

check  
reference

Since  $BLS6\_6$  has two non-trivial subgroups, it would be possible to use any of them as the  $n$ -torsion group. However, in cryptography, the only secure choice is to use the large prime-order subgroup, which in our case is  $BLS6\_6[13]$ . We therefore decide to consider the 13-torsion and define  $G_1[13]$  as the first argument for the Weil pairing function:

$$\mathbb{G}_1[13] = \{(13, 15) \rightarrow (33, 34) \rightarrow (38, 15) \rightarrow (35, 28) \rightarrow (26, 34) \rightarrow (27, 34) \rightarrow (27, 9) \rightarrow (26, 9) \rightarrow (35, 15) \rightarrow (38, 28) \rightarrow (33, 9) \rightarrow (13, 28) \rightarrow \mathcal{O}\}$$

In order to construct the domain for the second argument, we need to construct  $\mathbb{G}_2[13]$ , which, according to the general theory, should be defined by those elements  $P$  of the full 13-torsion group  $BLS6\_6[13]$  that are mapped to  $43 \cdot P$  under the Frobenius endomorphism (equation 5.24).

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reference

To compute  $\mathbb{G}_2[13]$ , we therefore have to find the full 13-torsion group first. To do so, we use the technique from XXX, which tells us that the full 13-torsion can be found in the curve extension over the extension field  $\mathbb{F}_{43^6}$ , since the embedding degree of  $BLS6\_6$  is 6:

$$BLS6\_6 := \{(x, y) \mid y^2 = x^3 + 6 \text{ for all } x, y \in \mathbb{F}_{43^6}\} \quad (5.42)$$

Thus, we have to construct  $\mathbb{F}_{43^6}$ , a field that contains 6321363049 elements. In order to do so, we use the procedure of XXX and start by choosing a non-reducible polynomial of degree 6 from the ring of polynomials  $\mathbb{F}_{43}[t]$ . We choose  $p(t) = t^6 + 6$ . Using Sage, we get the following:

add refer-  
ence

```
sage: F43 = GF(43) 619
sage: F43t.<t> = F43[] 620
sage: p = F43t(t^6+6) 621
sage: p.is_irreducible() 622
True 623
sage: F43_6.<v> = GF(43^6, name='v', modulus=p) 624
```

Recall from XXX that elements  $x \in \mathbb{F}_{43^6}$  can be seen as polynomials  $a_0 + a_1v + a_2v^2 + \dots + a_5v^5$  with the usual addition of polynomials and multiplication modulo  $t^6 + 6$ .

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In order to compute  $\mathbb{G}_2[13]$ , we first have to extend  $BLS6\_6$  to  $\mathbb{F}_{43^6}$ , that is, we keep the defining equation, but expand the domain from  $\mathbb{F}_{43}$  to  $\mathbb{F}_{43^6}$ . After that, we have to find at least one element  $P$  from that curve that is not the point at infinity, is in the full 13-torsion and satisfies the identity  $\pi(P) = [43]P$ . We can then use this element as our generator of  $\mathbb{G}_2[13]$  and construct all other elements by repeatedly adding the generator to itself.

Since  $BLS6(\mathbb{F}_{43^6})$  contains 6321251664 elements, it's not a good strategy to simply loop through all elements. Fortunately, Sage has a way to loop through elements from the torsion group directly:

```
sage: BLS6 = EllipticCurve(F43_6, [0, 6]) # curve extension 625
sage: INF = BLS6(0) # point at infinity 626
```

```

4060 sage: for P in INF.division_points(13): # full 13-torsion          627
4061     ....: # PI(P) == [q]P                                          628
4062     ....:     if P.order() == 13: # exclude point at infinity      629
4063     ....:         PiP = BLS6([a.frobenius() for a in P])           630
4064     ....:         qP = 43*P                                          631
4065     ....:         if PiP == qP:                                       632
4066     ....:             break                                           633
4067 sage: P.xy()                                                         634
4068 (7*v^2, 16*v^3)                                                     635

```

4069 We found an element from the full 13-torsion that is in the Eigenspace of the Eigenvalue 43,  
 4070 which implies that it is an element of  $\mathbb{G}_2[13]$ . As  $\mathbb{G}_2[13]$  is cyclic of prime order, this element  
 4071 must be a generator:

$$g_{\mathbb{G}_2[13]} = (7v^2, 16v^3) \quad (5.43)$$

4072 We can use this generator to compute  $\mathbb{G}_2$  in logarithmic order with respect to  $g_{\mathbb{G}_2[13]}$ . Using  
 4073 Sage we get the following:

```

4074 sage: Q = BLS6(7*v^2, 16*v^3)                                       636
4075 sage: BLS6_13_2 = []                                                637
4076 sage: for x in range(0, 13):                                         638
4077     ....:     P = x*Q                                                 639
4078     ....:     BLS6_13_2.append(P)                                     640

```

$$\begin{aligned} \mathbb{G}_2 = \{ & (7v^2, 16v^3) \rightarrow (10v^2, 28v^3) \rightarrow (42v^2, 16v^3) \rightarrow (37v^2, 27v^3) \rightarrow \\ & (16v^2, 28v^3) \rightarrow (17v^2, 28v^3) \rightarrow (17v^2, 15v^3) \rightarrow (16v^2, 15v^3) \rightarrow \\ & (37v^2, 16v^3) \rightarrow (42v^2, 27v^3) \rightarrow (10v^2, 15v^3) \rightarrow (7v^2, 27v^3) \rightarrow \mathcal{O} \} \end{aligned}$$

Again, having a logarithmic description of  $\mathbb{G}_2[13]$  is tremendously helpful in pen-and-paper computations, as it reduces complicated computation in the extended curves to modular 13 arithmetics, as in the following example:

$$\begin{aligned} (17v^2, 28v^3) \oplus (10v^2, 15v^3) &= [6](7v^2, 16v^3) \oplus [11](7v^2, 16v^3) \\ &= [6 + 11](7v^2, 16v^3) \\ &= [4](7v^2, 16v^3) \\ &= (37v^2, 27v^3) \end{aligned}$$

4079 So XXX is really all we need to do computations in  $\mathbb{G}_2[13]$  in this book efficiently.

4080 To summarize the previous steps, we have found two subgroups,  $\mathbb{G}_1[13]$  and  $\mathbb{G}_2[13]$  suit-  
 4081 able to do Weil pairings on  $BLS6\_6$  as explained in 5.28. Using the logarithmic order XXX  
 4082 of  $\mathbb{G}_1[13]$ , the logarithmic order XXX of  $\mathbb{G}_2[13]$  and the bilinearity in 5.44, we can do Weil  
 4083 pairings on  $BLS6\_6$  in a pen-and-paper style:

$$e([k_1]g_{BLS6\_6[13]}, [k_2]g_{\mathbb{G}_2[13]}) = e(g_{BLS6\_6[13]}, g_{\mathbb{G}_2[13]})^{k_1 \cdot k_2} \quad (5.44)$$

4084 Observe that the Weil pairing between our two generators is given by the following identity:

$$e(g_{BLS6\_6[13]}, g_{\mathbb{G}_2[13]}) = 5v^5 + 16v^4 + 16v^3 + 15v^2 + 3v + 41 \quad (5.45)$$

add refer-  
ence

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```

4085 sage: g1 = BLS6([13,15])
4086 sage: g2 = BLS6([7*v^2, 16*v^3])
4087 sage: g1.weil_pairing(g2,13)
4088 5*v^5 + 16*v^4 + 16*v^3 + 15*v^2 + 3*v + 41

```

4089 **Hashing to pairing groups** We give various constructions to hash into  $\mathbb{G}_1$  and  $\mathbb{G}_2$ .  
 4090 We start with hashing to the scalar field... **TO APPEAR**  
 4091 None of these techniques work for hashing into  $\mathbb{G}_2$ . We therefore implement Pederson's  
 4092 Hash for BLS6.  
 We start with  $\mathbb{G}_1$ . Our goal is to define an 12-bit bounded hash function:

$$H_1 : \{0,1\}^{12} \rightarrow \mathbb{G}_1$$

Since  $12 = 3 \cdot 4$  we “randomly” select 4 uniformly distributed generators  $\{(38,15), (35,28), (27,34), (38,28)\}$  from  $\mathbb{G}_1$  and use the pseudo-random function from XXX. Therefore, we have to choose a set of 4 randomly generated invertible elements from  $\mathbb{F}_{13}$  for every generator. We choose the following:

$$\begin{aligned}
 (38,15) &: \{2,7,5,9\} \\
 (35,28) &: \{11,4,7,7\} \\
 (27,34) &: \{5,3,7,12\} \\
 (38,28) &: \{6,5,1,8\}
 \end{aligned}$$

4093 Our hash function is then computed as follows:

$$\begin{aligned}
 H_1(x_{11}, x_1, \dots, x_0) = & [2 \cdot 7^{x_{11}} \cdot 5^{x_{10}} \cdot 9^{x_9}](38,15) + [11 \cdot 4^{x_8} \cdot 7^{x_7} \cdot 7^{x_6}](35,28) + \\
 & [5 \cdot 3^{x_5} \cdot 7^{x_4} \cdot 12^{x_3}](27,34) + [6 \cdot 5^{x_2} \cdot 1^{x_1} \cdot 8^{x_0}](38,28)
 \end{aligned}$$

4094 Note that  $a^x = 1$  when  $x = 0$ . Hence, those terms can be omitted in the computation. In  
 4095 particular, the hash of the 12-bit zero string is given as follows:

**WRONG – ORDERING – REDO**

$$\begin{aligned}
 H_1(0) = & [2](38,15) + [11](35,28) + [5](27,34) + [6](38,28) = \\
 & (27,34) + (26,34) + (35,28) + (26,9) = (33,9) + (13,28) = (38,28)
 \end{aligned}$$

The hash of 011010101100 is given as follows:

$$\begin{aligned}
 H_1(011010101100) = & \text{WRONG – ORDERING – REDO} \\
 & [2 \cdot 7^0 \cdot 5^1 \cdot 9^1](38,15) + [11 \cdot 4^0 \cdot 7^1 \cdot 7^0](35,28) + [5 \cdot 3^1 \cdot 7^0 \cdot 12^1](27,34) + [6 \cdot 5^1 \cdot 1^0 \cdot 8^0](38,28) = \\
 & [2 \cdot 5 \cdot 9](38,15) + [11 \cdot 7](35,28) + [5 \cdot 3 \cdot 12](27,34) + [6 \cdot 5](38,28) = \\
 & [12](38,15) + [12](35,28) + [11](27,34) + [4](38,28) =
 \end{aligned}$$

**TO APPEAR**

We can use the same technique to define a 12-bit bounded hash function in  $\mathbb{G}_2$ :

$$H_2 : \{0,1\}^{12} \rightarrow \mathbb{G}_2$$

Again, we “randomly” select 4 uniformly distributed generators  $\{(7v^2, 16v^3), (42v^2, 16v^3), (17v^2, 15v^3), (10v^2, 15v^3)\}$  from  $\mathbb{G}_2$ , and use the pseudo-random function from XXX. Therefore, we have to choose a set of 4 randomly generated invertible elements from  $\mathbb{F}_{13}$  for every generator:

add reference

$$\begin{aligned} (7v^2, 16v^3) &: \{8, 4, 5, 7\} \\ (42v^2, 16v^3) &: \{12, 1, 3, 8\} \\ (17v^2, 15v^3) &: \{2, 3, 9, 11\} \\ (10v^2, 15v^3) &: \{3, 6, 9, 10\} \end{aligned}$$

Our hash function is then computed like this:

$$H_1(x_{11}, x_{10}, \dots, x_0) = [8 \cdot 4^{x_{11}} \cdot 5^{x_{10}} \cdot 7^{x_9}](7v^2, 16v^3) + [12 \cdot 1^{x_8} \cdot 3^{x_7} \cdot 8^{x_6}](42v^2, 16v^3) + [2 \cdot 3^{x_5} \cdot 9^{x_4} \cdot 11^{x_3}](17v^2, 15v^3) + [3 \cdot 6^{x_2} \cdot 9^{x_1} \cdot 10^{x_0}](10v^2, 15v^3)$$

We extend this to a hash function that maps unbounded bitstrings to  $\mathbb{G}_2$  by precomposing with an actual hash function like MD5, and feed the first 12 bits of its outcome into our previously defined hash function, with  $TinyMD5_{\mathbb{G}_2}(s) = H_2(MD5(s)_{11}, \dots, MD5(s)_0)$ :

$$TinyMD5_{\mathbb{G}_2} : \{0, 1\}^* \rightarrow \mathbb{G}_2$$

For example, since  $MD5(“”) =$

$0xd41d8cd98f00b204e9800998ecf8427e$ , and the binary representation of the hexadecimal number  $0x27e$  is  $001001111110$ , we compute  $TinyMD5_{\mathbb{G}_2}$  of the empty string as follows:

$$TinyMD5_{\mathbb{G}_2}(“”) = H_2(MD5(s)_{11}, \dots, MD5(s)_0) = H_2(001001111110) =$$

4096

check equation

# Chapter 6

## Statements

As we have seen in the informal introduction XXX, a SNARK is a short non-interactive argument of knowledge, where the knowledge-proof attests to the correctness of statements like “The prover knows the prime factorization of a given number” or “The prover knows the preimage to a given SHA2 digest value” and similar things. However, human-readable statements like these are imprecise and not very useful from a formal perspective.

Chapter 1?

In this chapter we therefore look more closely at ways to formalize statements in mathematically rigorous ways, useful for SNARK development. We start by introducing formal languages as a way to define statements properly (section 6.1). We will then look at algebraic circuits and rank-1 constraint systems as two particularly useful ways to define statements in certain formal languages (section 6.2). After that, we will have a look at fundamental building blocks of compilers that compile high-level languages to circuits and associated rank-1 constraint systems.

Proper statement design should be of high priority in the development of SNARKs, since unintended true statements can lead to potentially severe and almost undetectable security vulnerabilities in the applications of SNARKs.

### 6.1 Formal Languages

Formal languages provide the theoretical background in which statements can be formulated in a logically rigorous way and where proving the correctness of any given statement can be realized by computing words in that language.

"rigorous"?

One might argue that the understanding of formal languages is not very important in SNARK development and associated statement design, but terms from that field of research are standard jargon in many papers on zero-knowledge proofs. We therefore believe that at least some introduction to formal languages and how they fit into the picture of SNARK development is beneficial, mostly to give developers a better intuition about where all this is located in the bigger picture of the logic landscape. In addition, formal languages give a better understanding of what a formal proof for a statement actually is.

"proving"?

Roughly speaking, a formal language (or just language for short) is nothing but a set of words, *th*. Words, in turn, are strings of letters taken from some alphabet and formed according to some defining rules of the language.

To be more precise, let  $\Sigma$  be any set and  $\Sigma^*$  the set of all finite **tuples** (ordered lists)  $(x_1, \dots, x_n)$  of elements  $x_j$  from  $\Sigma$  including the empty tuple  $() \in \Sigma^*$ . Then, a **language**  $L$ , in its most general definition, is nothing but a subset of  $\Sigma^*$ . In this context, the set  $\Sigma$  is called the **alphabet** of the language  $L$ , elements from  $\Sigma$  are called letters and elements from  $L$  are called **words**. The rules that specify which tuples from  $\Sigma^*$  belong to the language and which don't,

are called the **grammar** of the language. *S: I suggest adding an example based on English, e.g. “tea” and “eat” are words of English, but “aet” and “tae” are not*

Add ex-ample

If  $L_1$  and  $L_2$  are two formal languages over the same alphabet, we call  $L_1$  and  $L_2$  **equivalent** if they generate the same set of words.

M: 1:1 correspondence might actually be wrong

**Decision Functions** Our previous definition of formal languages is very general and many subclasses of languages are known in the literature. However, in the context of SNARK development, languages are commonly defined as **decision problems** where a so-called **deciding relation**  $R \subset \Sigma^*$  decides whether a given tuple  $x \in \Sigma^*$  is a word in the language or not. If  $x \in R$  then  $x$  is a word in the associated language  $L_R$  and if  $x \notin R$  then not. The relation  $R$  therefore summarizes the grammar of language  $L_R$ .

Unfortunately, in some literature on proof systems,  $x \in R$  is often written as  $R(x)$ , which is misleading since in general  $R$  is not a function but a relation in  $\Sigma^*$ . For the sake of this book, we therefore adopt a different point of view and work with what we might call a **decision function** instead:

$$R : \Sigma^* \rightarrow \{true, false\} \quad (6.1)$$

Decision functions decide if a tuple  $x \in \Sigma^*$  is an element of a language or not. In case a decision function is given, the associated language itself can be written as the set of all tuples that are decided by  $R$ , i.e as the set:

$$L_R := \{x \in \Sigma^* \mid R(x) = true\} \quad (6.2)$$

In the context of formal languages and decision problems, a **statement**  $S$  is the claim that language  $L$  contains a word  $x$ , i.e a statement claims that there exist some  $x \in L$ . A constructive **proof** for statement  $S$  is given by some string  $P \in \Sigma^*$  and such a proof is **verified** by checking  $R(P) = true$ . In this case,  $P$  is called an **instance** of the statement  $S$ .

While the term **language** might suggest a deeper relation to the well known **natural languages** like English, formal languages and natural languages differ in many ways. The following examples will provide some intuition about formal languages, highlighting the concepts of statements, proofs and instances:

*Example 105 (Alternating Binary strings).* To consider a very basic formal language with an almost trivial grammar, consider the set  $\{0, 1\}$  of the two letters 0 and 1 as our alphabet  $\Sigma$  and imply the rule that a proper word must consist of alternating binary letters of arbitrary length.

Then, the associated language  $L_{alt}$  is the set of all finite binary tuples, where a 1 must follow a 0 and vice versa. So, for example,  $(1, 0, 1, 0, 1, 0, 1, 0, 1) \in L_{alt}$  is a proper word in this languages as is  $(0) \in L_{alt}$  or the empty word  $( ) \in L_{alt}$ . However, the binary tuple  $(1, 0, 1, 0, 1, 0, 1, 1, 1) \in \{0, 1\}^*$  is not a proper word, as it violates the grammar of  $L_{alt}$ : the last3 letters are all 1. Furthermore, the tuple  $(0, A, 0, A, 0, A, 0)$  is not a proper word, as not all its letters are not from the proper alphabet: we defined the alphabet  $\Sigma$  as the set  $\{0, 1\}$ , and  $A$  is not part of that set.

Attempting to write the grammar of this language in a more formal way, we can define the following decision function:

$$R : \{0, 1\}^* \rightarrow \{true, false\} ; (x_0, x_1, \dots, x_n) \mapsto \begin{cases} true & x_{j-1} \neq x_j \text{ for all } 1 \leq j \leq n \\ false & \text{else} \end{cases}$$

We can use this function to decide if arbitrary binary tuples are words in  $L_{alt}$  or not. Some examples are given below:

binary tuples

- $R(1, 0, 1) = true$ ,



- 4170 •  $R(0) = \text{true}$ ,
- 4171 •  $R() = \text{true}$ ,
- 4172 • but  $R(1, 1) = \text{false}$ .

4173 Inside our language  $L_{alt}$ , it makes sense to claim the following statement: “There exists an  
 4174 alternating string.” One way to prove this statement constructively is by providing an actual  
 4175 instance, that is, finding actual alternating string like  $x = (1, 0, 1)$ . Constructing string  $(1, 0, 1)$   
 4176 therefore proves the statement “There exists an alternating string.”, because it is easy to verify  
 4177 that  $R(1, 0, 1) = \text{true}$ .

4178 *Example 106 (Programming Language).* Programming languages are a very important class of  
 4179 formal languages. For these languages, the alphabet is usually (a subset) of the ASCII table,  
 4180 and the grammar is defined by the rules of the programming language’s compiler. Words, then,  
 4181 are nothing but properly written computer programs that the compiler accepts. The compiler  
 4182 can therefore be interpreted as the decision function.

4183 To give an unusual example strange enough to highlight the point, consider the program-  
 4184 ming language Malbolge as defined in XXX. This language was specifically designed to be  
 4185 almost impossible to use and writing programs in this language is a difficult task. An inter-  
 4186 esting claim is therefore the statement: “There exists a computer program in Malbolge”. As it  
 4187 turned out, proving this statement constructively, that is, by providing an actual instance of such  
 4188 a program, was not an easy task, as it took two years after the introduction of Malbolge to write  
 4189 a program that its compiler accepts. So, for two years, no one was able to prove the statement  
 4190 constructively.

add refer-  
ence

To look at this high-level description more formally, we write  $L_{Malbolge}$  for the language that  
 uses the ASCII table as its alphabet and its words are tuples of ASCII letters that the Malbolge  
 compiler accepts. Proving the statement “There exists a computer program in Malbolge” is then  
 equivalent to the task of finding some word  $x \in L_{Malbolge}$ . The string

(=<#9] 6ZY327Uv4-QsqpMn&+Ij''E%e{Ab w=\_:]Kw%o44Uqp0/Q?xNvL:'H%c#DD2^WV>gY;dts76qKJImZkj

4191 is an example of such a proof, as it is excepted by the Malbolge compiler and is compiled to  
 4192 an executable binary that displays “Hello, World.” (See XXX). In this example, the Malbolge  
 4193 compiler therefore serves as the verification process.

add refer-  
ence

*Example 107 (The Empty Language).* To see that not every language has even one word, con-  
 sider the alphabet  $\Sigma = \mathbb{Z}_6$ , where  $\mathbb{Z}_6$  is the ring of modular 6 arithmetics as derived in example  
 9 in chapter ??, together with the following decision function

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$$R_\emptyset : \mathbb{Z}_6^* \rightarrow \{\text{true}, \text{false}\} ; (x_1, \dots, x_n) \mapsto \begin{cases} \text{true} & n = 4 \text{ and } x_1 \cdot x_1 = 2 \\ \text{true} & \text{else} \end{cases}$$

4194 We write  $L_\emptyset$  for the associated language. As we can see from the multiplication table of  $\mathbb{Z}_6$  in  
 4195 example 9 in chapter ??, the ring  $\mathbb{Z}_6$  does not contain any element  $x$  such that  $x^2 = 2$ , which  
 4196 implies  $R_\emptyset(x_1, \dots, x_n) = \text{false}$  for all tuples  $(x_1, \dots, x_n) \in \Sigma^*$ . The language therefore does  
 4197 not contain any words. Proving the statement “There exists a word in  $L_\emptyset$ ” constructively by  
 4198 providing an instance is therefore impossible. The verification will never check any tuple.

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4199 *Example 108 (3-Factorization).* We will use the following simple example repeatedly through-  
 4200 out this book. The task is to develop a SNARK that proves knowledge of three factors of an  
 4201 element from the finite field  $\mathbb{F}_{13}$ . There is nothing particularly useful about this example from



an application point of view, however, in a sense, it is the most simple example that gives rise to a non trivial SNARK in some of the most common zero-knowledge proof systems.

Formalizing the high-level description, we use  $\Sigma := \mathbb{F}_{13}$  as the underlying alphabet of this problem and define the language  $L_{3.fac}$  to consists of those tuples of field elements from  $\mathbb{F}_{13}$  that contain exactly 4 letters  $w_1, w_2, w_3, w_4$  which satisfy the equation  $w_1 \cdot w_2 \cdot w_3 = w_4$ .

So, for example, the tuple  $(2, 12, 4, 5)$  is a word in  $L_{3.fac}$ , while neither  $(2, 12, 11)$ , nor  $(2, 12, 4, 7)$  nor  $(2, 12, 7, 168)$  are words in  $L_{3.fac}$  as they don't satisfy the grammar or are not define over the proper alphabet.

We can describe the language  $L_{3.fac}$  more formally by introducing a decision function (as described in equation 6.1):

$$R_{3.fac} : \mathbb{F}_{13}^* \rightarrow \{true, false\} ; (x_1, \dots, x_n) \mapsto \begin{cases} true & n = 4 \text{ and } x_1 \cdot x_2 \cdot x_3 = x_4 \\ false & \text{else} \end{cases}$$

Having defined the language  $L_{3.fac}$ , it then makes sense to claim the statement “There is a word in  $L_{3.fac}$ ”. The way  $L_{3.fac}$  is designed, this statement is equivalent to the statement “There are four elements  $w_1, w_2, w_3, w_4$  from the finite field  $\mathbb{F}_{13}$  such that the equation  $w_1 \cdot w_2 \cdot w_3 = w_4$  holds.”

Proving the correctness of this statement constructively means to actually find some concrete field elements like  $x_1 = 2, x_2 = 12, x_3 = 4$  and  $x_4 = 5$  that satisfy the relation  $R_{3.fac}$ . The tuple  $(2, 12, 4, 5)$  is therefore a constructive proof for the statement and the computation  $R_{3.fac}(2, 12, 4, 5) = true$  is a verification of that proof. In contrast, the tuple  $(2, 12, 4, 7)$  is not a proof of the statement, since the check  $R_{3.fac}(2, 12, 4, 7) = false$  does not verify the proof.

**Example 109 (Tiny-jubjub Membership).** In one of our main examples, we derive a SNARK that proves a pair  $(x, y)$  of field elements from  $\mathbb{F}_{13}$  to be a point on the tiny-jubjub curve in its Edwards form (see section 5.1.3).

In the first step, we define a language such that points on the tiny-jubjub curve are in 1:1 correspondence with words in that language.

Since the tiny-jubjub curve is an elliptic curve over the field  $\mathbb{F}_{13}$ , we choose the alphabet  $\Sigma = \mathbb{F}_{13}$ . In this case, the set  $\mathbb{F}_{13}^*$  consists of all finite strings of field elements from  $\mathbb{F}_{13}$ . To define the grammar, recall from 68 that a point on the tiny-jubjub curve is a pair  $(x, y)$  of field elements such that  $3 \cdot x^2 + y^2 = 1 + 8 \cdot x^2 \cdot y^2$ . We can use this equation to derive the following decision function:

$$R_{tiny.jj} : \mathbb{F}_{13}^* \rightarrow \{true, false\} ; (x_1, \dots, x_n) \mapsto \begin{cases} true & n = 2 \text{ and } 3 \cdot x_1^2 + x_2^2 = 1 + 8 \cdot x_1^2 \cdot x_2^2 \\ false & \text{else} \end{cases}$$

The associated language  $L_{tiny.jj}$  is then given as the set of all strings from  $\mathbb{F}_{13}^*$  that are mapped onto *true* by  $R_{tiny.jj}$ . We get

$$L_{tiny.jj} = \{(x_1, \dots, x_n) \in \mathbb{F}_{13}^* \mid R_{tiny.jj}(x_1, \dots, x_n) = true\}$$

We can claim the statement “There is a word in  $L_{tiny.jj}$ ” and because  $L_{tiny.jj}$  is defined by  $R_{tiny.jj}$ , this statement is equivalent to the claim “The tiny-jubjub curve in its Edwards form has curve a point.”

A constructive proof for this statement is a pair  $(x, y)$  of field elements that satisfies the Edwards equation. Example 68 therefore implies that the tuple  $(11, 6)$  is a constructive proof and the computation  $R_{tiny.jj}(11, 6) = true$  is a proof verification. In contrast, the tuple  $(1, 1)$  is not a proof of the statement, since the check  $R_{tiny.jj}(1, 1) = false$  does not verify the proof.

Are we using  $w$  and  $x$  interchangeably or is there a difference between them?

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jubjub

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*Exercise 57.* Consider exercise XXX again. Define a decision function such that the associated language  $L_{\text{Exercise}_{XX}}$  consist precisely of all solutions to the equation  $5x + 4 = 28 + 2x$  over  $\mathbb{F}_{13}$ . Provide a constructive proof for the claim: “There exist a word in  $L_{\text{Exercise}_{XX}}$  and verify the proof.

*Exercise 58.* Consider the modular 6 arithmetics  $\mathbb{Z}_6$  from example 9 in chapter ??, the alphabet  $\Sigma = \mathbb{Z}_6$  and the decision function

$$R_{\text{example}_9} : \Sigma^* \rightarrow \{true, false\} ; x \mapsto \begin{cases} true & x.\text{len}() = 1 \text{ and } 3 \cdot x + 3 = 0 \\ false & \text{else} \end{cases}$$

Compute all words in the associated language  $L_{\text{example}_9}$ , provide a constructive proof for the statement “There exist a word in  $L_{\text{example}_9}$ ” and verify the proof.

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**Instance and Witness** As we have seen in the previous paragraph, statements provide membership claims in formal languages, and instances serve as constructive proofs for those claims. However, in the context of **zero-knowledge** proof systems, our naive notion of constructive proofs is refined in such a way that its possible to hide parts of the proof instance and still be able to prove the statement. In this context, it is therefore necessary to split a proof into a **public part** called the **instance** and a private part called a **witness**.

To account for this separation of a proof instance into a public and a private part, our previous definition of formal languages needs a refinement in the context of zero-knowledge proof systems. Instead of a single alphabet, the refined definition considers two alphabets  $\Sigma_I$  and  $\Sigma_W$ , and a decision function defined as follows:

$$R : \Sigma_I^* \times \Sigma_W^* \rightarrow \{true, false\} ; (i; w) \mapsto R(i; w) \quad (6.3)$$

Words are therefore tuples  $(i; w) \in \Sigma_I^* \times \Sigma_W^*$  with  $R(i; w) = true$ . The refined definition differentiates between public inputs  $i \in \Sigma_I$  and private inputs  $w \in \Sigma_W$ . The public input  $i$  is called an **instance** and the private input  $w$  is called a **witness** of  $R$ .

If a decision function is given, the associated language is defined as the set of all tuples from the underlying alphabet that are verified by the decision function:

$$L_R := \{(i; w) \in \Sigma_I^* \times \Sigma_W^* \mid R(i; w) = true\} \quad (6.4)$$

In this refined context, a **statement**  $S$  is a claim that, given an instance  $i \in \Sigma_I^*$ , there is a witness  $w \in \Sigma_W^*$  such that language  $L$  contains a word  $(i; w)$ . A constructive **proof** for statement  $S$  is given by some string  $P = (i; w) \in \Sigma_I^* \times \Sigma_W^*$  and a proof is **verified** by checking  $R(P) = true$ .

It is worth understanding the difference between statements as defined in XXX and the refined notion of statements from this paragraph. While statements in the sense of the previous paragraph can be seen as membership claims, statements in the refined definition can be seen as knowledge-proofs, where a prover claims knowledge of a witness for a given instance. For a more detailed discussion on this topic see [XXX sec 1.4]

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*Example 110 (SHA256 – Knowledge of Preimage).* One of the most common examples in the context of zero-knowledge proof systems is the **knowledge-of-a-preimage proof** for some cryptographic hash function like *SHA256*, where a publicly known *SHA256* digest value is given, and the task is to prove knowledge of a preimage for that digest under the *SHA256* function, without revealing that preimage.

To understand this problem in detail, we have to introduce a language able to describe the knowledge-of-preimage problem in such a way that the claim “Given digest  $i$ , there is a

preimage  $w$  such that  $SHA256(w) = i$ ” becomes a statement in that language. Since  $SHA256$  is a function

$$SHA256 : \{0, 1\}^* \rightarrow \{0, 1\}^{256}$$

that maps binary strings of arbitrary length onto binary strings of length 256 and we want to prove knowledge of preimages, we have to consider binary strings of size 256 as instances and binary strings of arbitrary length as witnesses.

An appropriate alphabet  $\Sigma_I$  for the set of all instances and an appropriate alphabet  $\Sigma_W$  for the set of all witnesses is therefore given by the set  $\{0, 1\}$  of the two binary letters and a proper decision function is given by:

$$R_{SHA256} : \{0, 1\}^* \times \{0, 1\}^* \rightarrow \{true, false\};$$

$$(i; w) \mapsto \begin{cases} true & i.len() = 256, i = SHA256(w) \\ false & else \end{cases}$$

We write  $L_{SHA256}$  for the associated language and note that it consists of words, which are tuples  $(i; w)$  such that the instance  $i$  is the  $SHA256$  image of the witness  $w$ .

Given some instance  $i \in \{0, 1\}^{256}$ , a statement in  $L_{SHA256}$  is the claim “Given digest  $i$ , there is a preimage  $w$  such that  $SHA256(w) = i$ ”, which is exactly what the knowledge-of-preimage problem is about. A constructive proof for this statement is therefore given by a preimage  $w$  to the digest  $i$  and proof verification is achieved by checking that  $SHA256(w) = i$ .

*Example 111 (3-factorization).* To give an intuition about the implication of refined languages, consider  $L_{3, fac}$  from example 108 again. As we have seen, a constructive proof in  $L_{3, fac}$  is given by 4 field elements  $x_1, x_2, x_3$  and  $x_4$  from  $\mathbb{F}_{13}$  such that the product in modular 13 arithmetics of the first three elements is equal to the 4'th element.

Splitting words from  $L_{3, fac}$  into private and public parts, we can reformulate the problem and introduce different levels of privacy into the problem. For example, we could reformulate the membership statement of  $L_{3, fac}$  into a statement where all factors  $x_1, x_2, x_3$  of  $x_4$  are private and only the product  $x_4$  is public. A statement for this reformulation is then expressed by the claim: “Given a publicly known field element  $x_4$ , there are three private factors of  $x_4$ ”. Assuming some instance  $x_4$ , a constructive proof for the associated knowledge claim is then provided by any tuple  $(x_1, x_2, x_3)$  such that  $x_1 \cdot x_2 \cdot x_3 = x_4$ .

At this point, it is important to note that, while constructive proofs in the refinement don't look very different from constructive proofs in the original language, we will see in XXX that there are proof systems able to prove the statement (at least with high probability) without revealing anything about the factors  $x_1, x_2$ , or  $x_3$ . This is why the importance of the refinement only becomes clear once more elaborate proofing methods beyond naive constructive proofs are provided.

We can formalize this new language, which we might call  $L_{3, fac\_zk}$ , by defining the following decision function:

*Definition 6.1.0.1.*

$$R_{3, fac\_zk} : \mathbb{F}_{13}^* \times \mathbb{F}_{13}^* \rightarrow \{true, false\};$$

$$((i_1, \dots, i_n); (w_1, \dots, w_m)) \mapsto \begin{cases} true & n = 1, m = 3, i_1 = w_1 \cdot w_2 \cdot w_3 \\ false & else \end{cases}$$

The associated language  $L_{3, fac\_zk}$  is defined by all tuples from  $\mathbb{F}_{13}^* \times \mathbb{F}_{13}^*$  that are mapped onto *true* under the decision function  $R_{3, fac\_zk}$ .

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Considering the distinction we made between the instance and the witness part in  $L_{3, fac\_zk}$ , one might ask why we chose the factors  $x_1$ ,  $x_2$  and  $x_3$  to be the witness and the product  $x_4$  to be the instance and why we didn't choose another combination? This was an arbitrary choice in the example. Every other combination of private and public factors would be equally valid. For example, it would be possible to declare all variables as private or to declare all variables as public. Actual choices are determined by the application only.

*Example 112 (The Tiny-Jubjub Curve).* Consider the language  $L_{tiny.jj}$  from example 109. As we have seen, a constructive proof in  $L_{tiny.jj}$  is given by a pair  $(x_1, x_2)$  of field elements from  $\mathbb{F}_{13}$  such that the pair is a point of the tiny-jubjub curve in its Edwards representation.

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We look at a reasonable splitting of words from  $L_{tiny.jj}$  into private and public parts. The two obvious choices are to either choose both coordinates  $x_1$  as  $x_2$  as public inputs, or to choose both coordinates  $x_1$  as  $x_2$  as private inputs.

In case both coordinates are public, we define the grammar of the associated language by introducing the following decision function:

$$R_{tiny.jj.1} : \mathbb{F}_{13}^* \times \mathbb{F}_{13}^* \rightarrow \{true, false\};$$

$$(I_1, \dots, I_n; W_1, \dots, W_m) \mapsto \begin{cases} true & n = 2, m = 0 \text{ and } 3 \cdot I_1^2 + I_2^2 = 1 + 8 \cdot I_1^2 \cdot I_2^2 \\ false & else \end{cases}$$

The language  $L_{tiny.jj.1}$  is defined as the set of all strings from  $\mathbb{F}_{13}^* \times \mathbb{F}_{13}^*$  that are mapped onto *true* by  $R_{tiny.jj.1}$ .

In case both coordinates are private, we define the grammar of the associated refined language by introducing the following decision function:

$$R_{tiny.jj.zk} : \mathbb{F}_{13}^* \times \mathbb{F}_{13}^* \rightarrow \{true, false\};$$

$$(I_1, \dots, I_n; W_1, \dots, W_m) \mapsto \begin{cases} true & n = 0, m = m \text{ and } 3 \cdot W_1^2 + W_2^2 = 1 + 8 \cdot W_1^2 \cdot W_2^2 \\ false & else \end{cases}$$

The language  $L_{tiny.jj.zk}$  is defined as the set of all strings from  $\mathbb{F}_{13}^* \times \mathbb{F}_{13}^*$  that are mapped onto *true* by  $R_{tiny.jj.zk}$ .

*Exercise 59.* Consider the modular 6 arithmetics  $\mathbb{Z}_6$  from example 9 in chapter ?? as alphabets  $\Sigma_I$  and  $\Sigma_W$  and the following decision function

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$$R_{linear} : \Sigma^* \times \Sigma^* \rightarrow \{true, false\};$$

$$(i; w) \mapsto \begin{cases} true & i.len() = 3 \text{ and } w.len() = 1 \text{ and } i_1 \cdot w_1 + i_2 = i_3 \\ false & else \end{cases}$$

Which of the following instances  $(i_1, i_2, i_3)$  has a proof of knowledge in  $L_{linear}$ ?

• (3, 3, 0)

• (2, 1, 0)

• (4, 4, 2)

*Exercise 60 (Edwards Addition on Tiny-Jubjub).* Consider the tiny-jubjub curve together with its Edwards addition law from example XXX. Define an instance alphabet  $\Sigma_I$ , a witness alphabet  $\Sigma_W$  and a decision function  $R_{add}$  with associated language  $L_{add}$  such that a string  $(i; w) \in \Sigma_I^* \times$

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4319  $\Sigma_W^*$  is a word in  $L_{add}$  if and only if  $i$  is a pair of curve points on the tiny-jubjub curve in Edwards  
 4320 form and  $w$  is the Edwards sum of those curve points.

4321 Choose some instance  $i \in \Sigma_I^*$ , provide a constructive proof for the statement “There is a  
 4322 witness  $w \in \Sigma_W^*$  such that  $(i;w)$  is a word in  $L_{add}$ ” and verify that proof. Then find some  
 4323 instance  $i \in \Sigma_I^*$  such that  $i$  has no knowledge proof in  $L_{add}$ .

4324 **Modularity** From a developers perspective, it is often useful to construct complex statements  
 4325 and their representing languages from simple ones. In the context of zero-knowledge proof  
 4326 systems, those simple building blocks are often called **gadgets**, and gadget libraries usually  
 4327 contain representations of atomic types like booleans, integers, various hash functions, elliptic  
 4328 curve cryptography and many more. In order to synthesize statements, developers then combine  
 4329 predefined gadgets into complex logic. We call the ability to combine statements into more  
 4330 complex statements **modularity**.

4331 To understand the concept of modularity on the level of formal languages defined by deci-  
 4332 sion functions, we need to look at the **intersection** of two languages, which exists whenever  
 4333 both languages are defined over the same alphabet. In this case, the intersection is a language  
 4334 that consists of strings which are words in both languages.

4335 To be more precise, let  $L_1$  and  $L_2$  be two languages defined over the same instance and  
 4336 witness alphabets  $\Sigma_I$  and  $\Sigma_W$ . Then the intersection  $L_1 \cap L_2$  of  $L_1$  and  $L_2$  is defined as

$$L_1 \cap L_2 := \{x \mid x \in L_1 \text{ and } x \in L_2\} \quad (6.5)$$

4337 If both languages are defined by decision functions  $R_1$  and  $R_2$ , the following function is a  
 4338 decision function for the intersection language  $L_1 \cap L_2$ :

$$R_{L_1 \cap L_2} : \Sigma_I^* \times \Sigma_W^* \rightarrow \{true, false\}; (i, w) \mapsto R_1(i, w) \text{ and } R_2(i, w) \quad (6.6)$$

4339 Thus, the intersection of two decision-function-based languages is a also decision-function-  
 4340 based language. This is important from an implementations point of view: It allows us to  
 4341 construct complex decision functions, their languages and associated statements from simple  
 4342 building blocks. Given a publicly known instance  $i \in \Sigma_I^*$  a statement in an intersection language  
 4343 then claims knowledge of a witness that satisfies all relations simultaneously.

## 4344 6.2 Statement Representations

4345 As we have seen in the previous section, formal languages and their definitions by decision  
 4346 functions are a powerful tool to describe statements in a formally rigorous manner.

4347 However, from the perspective of existing zero-knowledge proof systems, not all ways to  
 4348 actually represent decision functions are equally useful. Depending on the proof system, some  
 4349 are more suitable than others. In this section, will describe two of the most common ways to  
 4350 represent decision functions and their statements.

### 4351 6.2.1 Rank-1 Quadratic Constraint Systems

4352 Although decision functions are expressible in various ways, many contemporary proofing sys-  
 4353 tems require the deciding relation to be expressed in terms of a system of quadratic equations  
 4354 over a finite field. This is true in particular for pairing-based proofing systems like XXX,  
 4355 roughly because it is possible to check solutions to those equations “in the exponent” of pairing-  
 4356 friendly cryptographic groups.

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In this section, we will therefore have a closer look at a particular type of quadratic equation called **rank-1 quadratic constraints systems**, which are a common standard in zero-knowledge proof systems. We will start with a general introduction to those systems and then look at their relation to formal languages. We will look into a common way to compute solutions to those systems, and then show how a simple compiler might derive rank-1 constraint systems from more high-level programming code.

**R1CS representation** To understand what **rank-1 (quadratic) constraint systems** are in detail, let  $\mathbb{F}$  be a field,  $n, m$  and  $k \in \mathbb{N}$  three numbers and  $a_j^i, b_j^i$  and  $c_j^i \in \mathbb{F}$  constants from  $\mathbb{F}$  for every index  $0 \leq j \leq n+m$  and  $1 \leq i \leq k$ . Then a rank-1 constraint system (R1CS) is defined as follows:

*Definition 6.2.1.1. R1CS representation*

$$\begin{aligned} (a_0^1 + \sum_{j=1}^n a_j^1 \cdot I_j + \sum_{j=1}^m a_{n+j}^1 \cdot W_j) \cdot (b_0^1 + \sum_{j=1}^n b_j^1 \cdot I_j + \sum_{j=1}^m b_{n+j}^1 \cdot W_j) &= c_0^1 + \sum_{j=1}^n c_j^1 \cdot I_j + \sum_{j=1}^m c_{n+j}^1 \cdot W_j \\ &\vdots \\ (a_0^k + \sum_{j=1}^n a_j^k \cdot I_j + \sum_{j=1}^m a_{n+j}^k \cdot W_j) \cdot (b_0^k + \sum_{j=1}^n b_j^k \cdot I_j + \sum_{j=1}^m b_{n+j}^k \cdot W_j) &= c_0^k + \sum_{j=1}^n c_j^k \cdot I_j + \sum_{j=1}^m c_{n+j}^k \cdot W_j \end{aligned}$$

If a rank-1 constraint system is given, the parameter  $k$  is called the **number of constraints**. If a tuple  $(I_1, \dots, I_n; W_1, \dots, W_m)$  of field elements satisfies these equations,  $(I_1, \dots, I_n)$  is called an **instance** and  $(W_1, \dots, W_m)$  is called an associated **witness** of the system.

*Remark 5 (Matrix notation).* The presentation of rank-1 constraint systems can be simplified using the notation of vectors and matrices, which abstracts over the indices. In fact if  $x = (1, I, W) \in \mathbb{F}^{1+n+m}$  is a  $(n+m+1)$ -dimensional vector,  $A, B, C$  are  $(n+m+1) \times k$ -dimensional matrices and  $\odot$  is the **Schur/Hadamard product**, then a R1CS can be written as

$$Ax \odot Bx = Cx$$

However, since we did not introduced matrix calculus in the book, we use XXX as the defining equation for rank-1 constraints systems. We only highlighted the matrix notation, because it is sometimes used in the literature.

Generally speaking, the idea of a rank-1 constraint system is to keep track of all the values that any variable can assume during a computation and to bind the relationships among all those variables that are implied by the computation itself. Enforcing relations between all the steps of a computer program, the execution is then constrained to be computed in exactly the expected way without any opportunity for deviations. In this sense, solutions to rank-1 constraint systems are proofs of proper program execution.

*Example 113 (3-Factorization).* To provide a better intuition of rank-1 constraint systems, consider the language  $L_{3, fac\_zk}$  from example 108 again. As we have seen,  $L_{3, fac\_zk}$  consists of words  $(I_1; W_1, W_2, W_3)$  over the alphabet  $\mathbb{F}_{13}$  such that  $I_1 = W_1 \cdot W_2 \cdot W_3$ . We show how to rewrite the decision function as a rank-1 constraint system.

Since R1CS are systems of quadratic equations, expressions like  $W_1 \cdot W_2 \cdot W_3$  which contain products of more than two factors (which are therefore not quadratic) have to be rewritten in a process often called **flattening**. To flatten the defining equation  $I_1 = W_1 \cdot W_2 \cdot W_3$  of  $L_{3, fac\_zk}$  we introduce a new variable  $W_4$ , which captures two of the three multiplications in  $W_1 \cdot W_2 \cdot W_3$ . We get the following two constraints

$$\begin{aligned} W_1 \cdot W_2 &= W_4 && \text{constraint 1} \\ W_4 \cdot W_3 &= I_1 && \text{constraint 2} \end{aligned}$$

Schur/Hadamard product

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Given some instance  $I_1$ , any solution  $(W_1, W_2, W_3, W_4)$  to this system of equations provides a solution to the original equation  $I_1 = W_1 \cdot W_2 \cdot W_3$  and vice versa. Both equations are therefore equivalent in the sense that solutions are in a 1:1 correspondence.

Looking at both equations, we see how each constraint enforces a step in the computation. In fact, the first constraint forces any computation to multiply the witness  $W_1$  and  $W_2$  first. Otherwise it would not be possible to compute the witness  $W_4$ , which is needed to solve the second constraint. Witness  $W_4$  therefore expresses the constraining of an intermediate computational state.

At this point, one might ask why equation 1 constrains the system to compute  $W_1 \cdot W_2$  first, since computing  $W_2 \cdot W_3$ , or  $W_1 \cdot W_3$  in the beginning and then multiplying with the remaining factor gives the exact same result. The reason is that the way we designed the R1CS prohibits any of these alternative computations, which shows that R1CS are in general **not unique** descriptions of a language: many different R1CS are able to describe the same problem.

To see that the two quadratic equations qualify as a rank-1 constraint system, choose the parameter  $n = 1, m = 4$  and  $k = 2$  as well as

$$\begin{aligned} a_0^1 &= 0 & a_1^1 &= 0 & a_2^1 &= 1 & a_3^1 &= 0 & a_4^1 &= 0 & a_5^1 &= 0 \\ a_0^2 &= 0 & a_1^2 &= 0 & a_2^2 &= 0 & a_3^2 &= 0 & a_4^2 &= 0 & a_5^2 &= 1 \\ b_0^1 &= 0 & b_1^1 &= 0 & b_2^1 &= 0 & b_3^1 &= 1 & b_4^1 &= 0 & b_5^1 &= 0 \\ b_0^2 &= 0 & b_1^2 &= 0 & b_2^2 &= 0 & b_3^2 &= 0 & b_4^2 &= 1 & b_5^2 &= 0 \\ c_0^1 &= 0 & c_1^1 &= 0 & c_2^1 &= 0 & c_3^1 &= 0 & c_4^1 &= 0 & c_5^1 &= 1 \\ c_0^2 &= 0 & c_1^2 &= 1 & c_2^2 &= 0 & c_3^2 &= 0 & c_4^2 &= 0 & c_5^2 &= 0 \end{aligned}$$

With this choice, the rank-1 constraint system of our 3-factorization problem can be written in its most general form as follows:

$$\begin{aligned} (a_0^1 + a_1^1 I_1 + a_2^1 W_1 + a_3^1 W_2 + a_4^1 W_3 + a_5^1 W_4) \cdot (b_0^1 + b_1^1 I_1 + b_2^1 W_1 + b_3^1 W_2 + b_4^1 W_3 + b_5^1 W_4) &= (c_0^1 + c_1^1 I_1 + c_2^1 W_1 + c_3^1 W_2 + c_4^1 W_3 + c_5^1 W_4) \\ (a_0^2 + a_1^2 I_1 + a_2^2 W_2 + a_3^2 W_2 + a_4^2 W_3 + a_5^2 W_4) \cdot (b_0^2 + b_1^2 I_1 + b_2^2 W_2 + b_3^2 W_2 + b_4^2 W_3 + b_5^2 W_4) &= (c_0^2 + c_1^2 I_1 + c_2^2 W_2 + c_3^2 W_2 + c_4^2 W_3 + c_5^2 W_4) \end{aligned}$$

*Example 114* (The Tiny-Jubjub curve). Consider the languages  $L_{\text{tiny.jj.1}}$  from example 109, which consist of words  $(I_1, I_2)$  over the alphabet  $\mathbb{F}_{13}$  such that  $3 \cdot I_1^2 + I_2^2 = 1 + 8 \cdot I_1^2 \cdot I_2^2$ .

We derive a rank-1 constraint system such that its associated language is equivalent to  $L_{\text{tiny.jj.1}}$ . To achieve this, we first rewrite the defining equation:

$$\begin{aligned} 3 \cdot I_1^2 + I_2^2 &= 1 + 8 \cdot I_1^2 \cdot I_2^2 && \Leftrightarrow \\ 0 &= 1 + 8 \cdot I_1^2 \cdot I_2^2 - 3 \cdot I_1^2 - I_2^2 && \Leftrightarrow \\ 0 &= 1 + 8 \cdot I_1^2 \cdot I_2^2 + 10 \cdot I_1^2 + 12 \cdot I_2^2 \end{aligned}$$

Since R1CSs are systems of quadratic equations, we have to reformulate this expression into a system of quadratic equations. To do so, we have to introduce new variables that constrain intermediate steps in the computation and we have to decide if those variables should be public or private. We decide to declare all new variables as private and get the following constraints

$$\begin{aligned} I_1 \cdot I_1 &= W_1 && \text{constraint 1} \\ I_2 \cdot I_2 &= W_2 && \text{constraint 2} \\ (8 \cdot W_1) \cdot W_2 &= W_3 && \text{constraint 3} \\ (12 \cdot W_2 + W_3 + 10 \cdot W_1 + 1) \cdot 1 &= 0 && \text{constraint 4} \end{aligned}$$

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reference

To see that these four quadratic equations qualify as a rank-1 constraint system according to definition XXX, choose the parameter  $n = 2$ ,  $m = 3$  and  $k = 4$ :

add reference

$$\begin{array}{llllll} a_0^1 = 0 & a_1^1 = 1 & a_2^1 = 0 & a_3^1 = 0 & a_4^1 = 0 & a_5^1 = 0 \\ a_0^2 = 0 & a_1^2 = 0 & a_2^2 = 1 & a_3^2 = 0 & a_4^2 = 0 & a_5^2 = 0 \\ a_0^3 = 0 & a_1^3 = 0 & a_2^3 = 0 & a_3^3 = 8 & a_4^3 = 0 & a_5^3 = 0 \\ a_0^4 = 1 & a_1^4 = 0 & a_2^4 = 0 & a_3^4 = 10 & a_4^4 = 12 & a_5^4 = 1 \end{array}$$

$$\begin{array}{llllll} b_0^1 = 0 & b_1^1 = 1 & b_2^1 = 0 & b_3^1 = 0 & b_4^1 = 0 & b_5^1 = 0 \\ b_0^2 = 0 & b_1^2 = 0 & b_2^2 = 1 & b_3^2 = 0 & b_4^2 = 0 & b_5^2 = 0 \\ b_0^3 = 0 & b_1^3 = 0 & b_2^3 = 0 & b_3^3 = 0 & b_4^3 = 1 & b_5^3 = 0 \\ b_0^4 = 1 & b_1^4 = 0 & b_2^4 = 0 & b_3^4 = 0 & b_4^4 = 0 & b_5^4 = 0 \end{array}$$

$$\begin{array}{llllll} c_0^1 = 0 & c_1^1 = 0 & c_2^1 = 0 & c_3^1 = 1 & c_4^1 = 0 & c_5^1 = 0 \\ c_0^2 = 0 & c_1^2 = 0 & c_2^2 = 0 & c_3^2 = 0 & c_4^2 = 1 & c_5^2 = 0 \\ c_0^3 = 0 & c_1^3 = 0 & c_2^3 = 0 & c_3^3 = 0 & c_4^3 = 0 & c_5^3 = 1 \\ c_0^4 = 0 & c_1^4 = 0 & c_2^4 = 0 & c_3^4 = 0 & c_4^4 = 0 & c_5^4 = 0 \end{array}$$

With this choice, the rank-1 constraint system of our tiny-jubjub curve point problem can be written in its most general form as follows:

$$\begin{aligned} (a_0^1 + a_1^1 I_1 + a_2^1 I_2 + a_3^1 W_1 + a_4^1 W_2 + a_5^1 W_3) \cdot (b_0^1 + b_1^1 I_1 + b_2^1 I_2 + b_3^1 W_1 + b_4^1 W_2 + b_5^1 W_3) &= (c_0^1 + c_1^1 I_1 + c_2^1 I_2 + c_3^1 W_1 + c_4^1 W_2 + c_5^1 W_3) \\ (a_0^2 + a_1^2 I_1 + a_2^2 I_2 + a_3^2 W_1 + a_4^2 W_2 + a_5^2 W_3) \cdot (b_0^2 + b_1^2 I_1 + b_2^2 I_2 + b_3^2 W_1 + b_4^2 W_2 + b_5^2 W_3) &= (c_0^2 + c_1^2 I_1 + c_2^2 I_2 + c_3^2 W_1 + c_4^2 W_2 + c_5^2 W_3) \\ (a_0^3 + a_1^3 I_1 + a_2^3 I_2 + a_3^3 W_1 + a_4^3 W_2 + a_5^3 W_3) \cdot (b_0^3 + b_1^3 I_1 + b_2^3 I_2 + b_3^3 W_1 + b_4^3 W_2 + b_5^3 W_3) &= (c_0^3 + c_1^3 I_1 + c_2^3 I_2 + c_3^3 W_1 + c_4^3 W_2 + c_5^3 W_3) \\ (a_0^4 + a_1^4 I_1 + a_2^4 I_2 + a_3^4 W_1 + a_4^4 W_2 + a_5^4 W_3) \cdot (b_0^4 + b_1^4 I_1 + b_2^4 I_2 + b_3^4 W_1 + b_4^4 W_2 + b_5^4 W_3) &= (c_0^4 + c_1^4 I_1 + c_2^4 I_2 + c_3^4 W_1 + c_4^4 W_2 + c_5^4 W_3) \end{aligned}$$

4398 In what follows, we write  $L_{jubjub}$  for the associated language that consists of solutions to the  
4399 R1CS.

4400 To see that  $L_{jubjub}$  is equivalent to  $L_{tiny.jj.1}$ , let  $(I_1, I_2; W_1, W_2, W_3)$  be a word in  $L_{jubjub}$ , then  
4401  $(I_1, I_2)$  is a word in  $L_{tiny.jj.1}$ , since the defining R1CS of  $L_{jubjub}$  implies that  $I_1$  and  $I_2$  satisfy the  
4402 Edwards equation of the tiny-jubjub curve. On the other hand, let  $(I_1, I_2)$  be a word in  $L_{tiny.jj.1}$ .  
4403 Then  $(I_1, I_2; I_1^2, I_2^2, 8 \cdot I_1^2 \cdot I_2^2)$  is a word in  $L_{jubjub}$  and both maps are inverses of each other.

4404 **Exercise 61.** Consider the language  $L_{tiny.jj\_zk}$  and define a rank-1 constraint relation with a  
4405 decision function such that the associated language is equivalent to  $L_{tiny.jj\_zk}$ .

4406 **R1CS Satisfiability** To understand how rank-1 constraint systems define formal languages,  
4407 observe that every R1CS over a field  $\mathbb{F}$  defines a decision function over the alphabet  $\Sigma_I \times \Sigma_W =$   
4408  $\mathbb{F} \times \mathbb{F}$  in the following way:

$$R_{R1CS} : \mathbb{F}^* \times \mathbb{F}^* \rightarrow \{true, false\} ; (I; W) \mapsto \begin{cases} true & (I; W) \text{ satisfies R1CS} \\ false & \text{else} \end{cases} \quad (6.7)$$

4409 Every R1CS therefore defines a formal language. The grammar of this language is encoded  
4410 in the constraints, words are solutions to the equations and a **statement** is a knowledge claim  
4411 “Given instance  $I$ , there is a witness  $W$  such that  $(I; W)$  is a solution to the rank-1 constraint  
4412 system”. A constructive proof to this claim is therefore an assignment of a field element to every  
4413 witness variable, which is verified whenever the set of all instance and witness variables solves  
4414 the R1CS.



*Remark 6 (R1CS satisfiability).* It should be noted that in our definition, every R1CS defines its own language. However, in more theoretical approaches, another language usually called **R1CS satisfiability** is often considered, which is useful when it comes to more abstract problems like expressiveness or the computational complexity of the class of **all** R1CS. From our perspective, the R1CS satisfiability language is obtained by the union of all R1CS languages that are in our definition. To be more precise, let the alphabet  $\Sigma = \mathbb{F}$  be a field. Then

$$L_{R1CS\_SAT}(\mathbb{F}) = \{(i; w) \in \Sigma^* \times \Sigma^* \mid \text{there is a R1CS } R \text{ such that } R(i; w) = \text{true}\}$$

4415 *Example 115 (3-Factorization).* Consider the language  $L_{3\_fac\_zk}$  from example 108 and the  
 4416 R1CS defined in example ex:3-factorization-r1cs. As we have seen in ex:3-factorization-r1cs,  
 4417 solutions to the R1CS are in 1:1 correspondence with solutions to the decision function of  
 4418  $L_{3\_fac\_zk}$ . Both languages are therefore equivalent in the sense that there is a 1:1 correspon-  
 4419 dence between words in both languages.

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To give an intuition of what constructive proofs in  $L_{3\_fac\_zk}$  look like, consider the instance  $I_1 = 11$ . To prove the statement “There exists a witness  $W$  such that  $(I_1; W)$  is a word in  $L_{3\_fac\_zk}$ ” constructively, a proof has to provide assignments to all witness variables  $W_1, W_2, W_3$  and  $W_4$ . Since the alphabet is  $\mathbb{F}_{13}$ , an example assignment is given by  $W = (2, 3, 4, 6)$  since  $(I_1; W)$  satisfies the R1CS

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$$\begin{array}{ll} W_1 \cdot W_2 = W_4 & \# 2 \cdot 3 = 6 \\ W_4 \cdot W_3 = I_1 & \# 6 \cdot 4 = 11 \end{array}$$

4420 A proper constructive proof is therefore given by  $P = (2, 3, 4, 6)$ . Of course,  $P$  is not the only  
 4421 possible proof for this statement. Since factorization is not unique in a field in general, another  
 4422 constructive proof is given by  $P' = (3, 5, 12, 2)$ .

*Example 116 (The tiny-jubjub curve).* Consider the language  $L_{jubjub}$  from example 109 and its associated R1CS. To see how constructive proofs in  $L_{jubjub}$  look like, consider the instance  $(I_1, I_2) = (11, 6)$ . To prove the statement “There exists a witness  $W$  such that  $(I_1, I_2; W)$  is a word in  $L_{jubjub}$ ” constructively, a proof has to provide assignments to all witness variables  $W_1, W_2$  and  $W_3$ . Since the alphabet is  $\mathbb{F}_{13}$ , an example assignment is given by  $W = (4, 10, 8)$  since  $(I_1, I_2; W)$  satisfies the R1CS

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$$\begin{array}{ll} I_1 \cdot I_1 = W_1 & 11 \cdot 11 = 4 \\ I_2 \cdot I_2 = W_2 & 6 \cdot 6 = 10 \\ (8 \cdot W_1) \cdot W_2 = W_3 & (8 \cdot 4) \cdot 10 = 8 \\ (12 \cdot W_2 + W_3 + 10 \cdot W_1 + 1) \cdot 1 = 0 & 12 \cdot 10 + 8 + 10 \cdot 4 + 1 = 0 \end{array}$$

4423 A proper constructive proof is therefore given by  $P = (4, 10, 8)$ , which shows that the instance  
 4424  $(11, 6)$  is a point on the tiny-jubjub curve.

4425 **Modularity** As we discussed on page 137 XXX, it is often useful to construct complex state-  
 4426 ments and their representing languages from simple ones. Rank-1 constraint systems are par-  
 4427 ticularly useful for this, as the intersection of two R1CS over the same alphabet results in a new  
 4428 R1CS over that same alphabet.

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4429 To be more precise, let  $S_1$  and  $S_2$  be two R1CS over  $\mathbb{F}$ , then a new R1CS  $S_3$  is obtained  
 4430 by the intersection  $S_3 = S_1 \cap S_2$  of  $S_1$  and  $S_2$ . In this context, intersection means that both the  
 4431 equations of  $S_1$  **and** the equations of  $S_2$  have to be satisfied in order to provide a solution for the  
 4432 system  $S_3$ .

As a consequence, developers are able to construct complex R1CS from simple ones and this modularity provides the theoretical foundation for many R1CS compilers, as we will see in XXX.

add reference

## 6.2.2 Algebraic Circuits

As we have seen in the previous paragraphs, rank-1 constraint systems are quadratic equations such that solutions are knowledge proofs for the existence of words in associated languages. From the perspective of a proofer, it is therefore important to solve those equations efficiently.

However, in contrast to systems of linear equation, no general methods are known that solve systems of quadratic equations efficiently. Rank-1 constraint systems are therefore impractical from a proofers perspective and auxiliary information is needed that helps to compute solutions efficiently.

Methods which compute R1CS solutions are sometimes called **witness generator functions**. To provide a common example, we introduce another class of decision functions called **algebraic circuits**. As we will see, every algebraic circuit defines an associated R1CS and also provides an efficient way to compute solutions for that R1CS.

It can be shown that every space- and time-bounded computation is expressible as an algebraic circuit. Transforming high-level computer programs into those circuits is a process often called **flattening**.

To understand this in more detail, we will introduce our model for algebraic circuits and look at the concept of circuit execution and valid assignments. After that, we will show how to derive rank-1 constraint systems from circuits and how circuits are useful to compute solutions to their R1CS efficiently.

**Algebraic circuit representation** To see what algebraic circuits are, let  $\mathbb{F}$  be a field. An algebraic circuit is then a directed acyclic (multi)graph that computes a polynomial function over  $\mathbb{F}$ . Nodes with only outgoing edges (source nodes) represent the variables and constants of the function and nodes with only incoming edges (sink nodes) represent the outcome of the function. All other nodes have exactly two incoming edges and represent the defining field operations **addition** as well as **multiplication**. Graph edges represent the flow of the computation along the nodes.

To be more precise, we call a directed acyclic multi-graph  $C(\mathbb{F})$  an **algebraic circuit** over  $\mathbb{F}$  in this book if the following conditions hold:

*Definition 6.2.2.1. Algebraic circuit*

- The set of edges has a total order.
- Every source node has a label that represents either a variable or a constant from the field  $\mathbb{F}$ .
- Every sink node has exactly one incoming edge and a label that represents either a variable or a constant from the field  $\mathbb{F}$ .
- Every node that is neither a source nor a sink has exactly two incoming edges and a label from the set  $\{+, *\}$  that represents either addition or multiplication in  $\mathbb{F}$ .
- All outgoing edges from a node have the same label.
- Outgoing edges from a node with a label that represents a variable have a label.

- Outgoing edges from a node with a label that represents multiplication have a label, if there is at least one labeled edge in both input path.
- All incoming edges to sink nodes have a label.
- If an edge has two labels  $S_i$  and  $S_j$  it gets a new label  $S_i = S_j$ .
- No other edge has a label.
- Incoming edges to sink nodes that are labeled with a constant  $c \in \mathbb{F}$  are labeled with the same constant. Every other edge label is taken from the set  $\{W, I\}$  and indexed compatible with the order of the edge set.

It should be noted that the details in the definitions of algebraic circuits vary between different sources. We use this definition as it is conceptually straightforward and well-suited for pen-and-paper computations.

To get a better intuition of our definition, let  $C(\mathbb{F})$  be an algebraic circuit. Source nodes are the inputs to the circuit and either represent variables or constants. In a similar way, sink nodes represent termination points of the circuit and are either output variables or constants. Constant sink nodes enforce computational outputs to take on certain values.

Nodes that are neither source nodes nor sink nodes are called **arithmetic gates**. Arithmetic gates that are decorated with the “+”-label are called **addition-gates** and arithmetic gates that are decorated with the “·”-label are called **multiplication-gates**. Every arithmetic gate has exactly two inputs, represented by the two incoming edges.

Since the set of edges is ordered, we can write it as  $\{E_1, E_2, \dots, E_n\}$  for some  $n \in \mathbb{N}$  and we use those indices to index the edge labels, too. Edge labels are therefore either constants or symbols like  $I_j$ ,  $W_j$  or  $S_j$ , where  $j$  is an index compatible with the edge order. Labels  $I_j$  represent instance variables, labels  $W_j$  witness variables. Labels on the outgoing edges of input variables constrain the associated variable to that edge. Every other edge defines a constraining equation in the associated R1CS. We will explain this in more detail in XXX.

*Notation and Symbols* 13. In synthesizing algebraic circuits, assigning instance  $I_j$  or witness  $W_j$  labels to appropriate edges is often the final step. It is therefore convenient to not distinguish these two types of edges in previous steps. To account for that, we often simply write  $S_j$  for an edge label, indicating that the private/public property of the label is unspecified and it might represent an instance or a witness label.

*Example 117* (Generalized factorization SNARK). To give a simple example of an algebraic circuit, consider our 3-factorization problem from example 108 again. To express the problem in the algebraic circuit model, consider the following function

$$f_{3.fac} : \mathbb{F}_{13} \times \mathbb{F}_{13} \times \mathbb{F}_{13} \rightarrow \mathbb{F}_{13}; (x_1, x_2, x_3) \mapsto x_1 \cdot x_2 \cdot x_3$$

Using this function, we can describe the zero-knowledge 3-factorization problem from 108, in the following way: Given instance  $I_1 \in \mathbb{F}_{13}$ , a valid witness is a preimage of  $f_{3.fac}$  at the point  $I_1$ , i.e., a valid witness consists of three values  $W_1$ ,  $W_2$  and  $W_3$  from  $\mathbb{F}_{13}$  such that  $f_{3.fac}(W_1, W_2, W_3) = I_1$ .

To see how this function can be transformed into an algebraic circuit over  $\mathbb{F}_{13}$ , it is a common first step to introduce brackets into the function’s definition and then write the operations as binary operators, in order to highlight how exactly every field operation acts on its two inputs.

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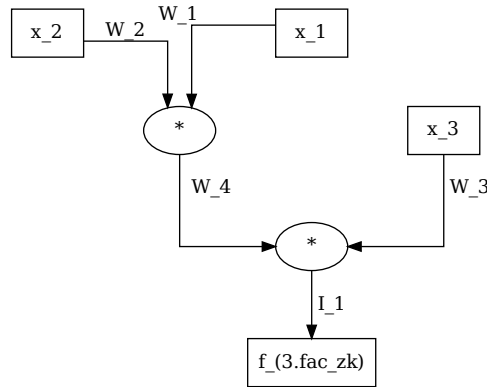
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Due to the associativity laws in a field, we have several choices. We choose

$$\begin{aligned}
 f_{3.fac}(x_1, x_2, x_3) &= x_1 \cdot x_2 \cdot x_3 && \# \text{ bracket choice} \\
 &= (x_1 \cdot x_2) \cdot x_3 && \# \text{ operator notation} \\
 &= MUL(MUL(x_1, x_2), x_3)
 \end{aligned}$$

4511 Using this expression, we can write an associated algebraic circuit by first constraining the  
 4512 variables to edge labels  $W_1 = x_1$ ,  $W_2 = x_2$  and  $W_3 = x_3$  as well as  $I_1 = f_{3.fac}(x_1, x_2, x_3)$ , taking  
 4513 the distinction between private and public inputs into account. We then rewrite the operator  
 4514 representation of  $f_{3.fac}$  into circuit nodes and get the following:



4515

4516 In this case, the directed acyclic multi-graph is a binary tree with three leaves (the source  
 4517 nodes) labeled by  $x_1$ ,  $x_2$  and  $x_3$ , one root (the single sink node) labeled by  $f(x_1, x_2, x_3)$  and two  
 4518 internal nodes, which are labeled as multiplication gates.

4519 The order we use to label the edges is chosen to make the edge labeling consistent with  
 4520 the choice of  $W_4$  as defined in definition 6.2.2.1. This order can be obtained by a depth-first  
 4521 right-to-left-first traversal algorithm.

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*Example 118.* To give a more realistic example of an algebraic circuit, look at the defining equation of the tiny-jubjub curve (68) again. A pair of field elements  $(x, y) \in \mathbb{F}_{13}^2$  is a curve point, precisely if the following equation holds:

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$$3 \cdot x^2 + y^2 = 1 + 8 \cdot x^2 \cdot y^2$$

To understand how one might transform this identity into an algebraic circuit, we first rewrite this equation by shifting all terms to the right. We get the following:

$$\begin{aligned}
 3 \cdot x^2 + y^2 &= 1 + 8 \cdot x^2 \cdot y^2 && \Leftrightarrow \\
 0 &= 1 + 8 \cdot x^2 \cdot y^2 - 3 \cdot x^2 - y^2 && \Leftrightarrow \\
 0 &= 1 + 8 \cdot x^2 \cdot y^2 + 10 \cdot x^2 + 12 \cdot y^2
 \end{aligned}$$

Then we use this expression to define a function such that all points of the tiny-jubjub curve are characterized as the function preimages at 0.

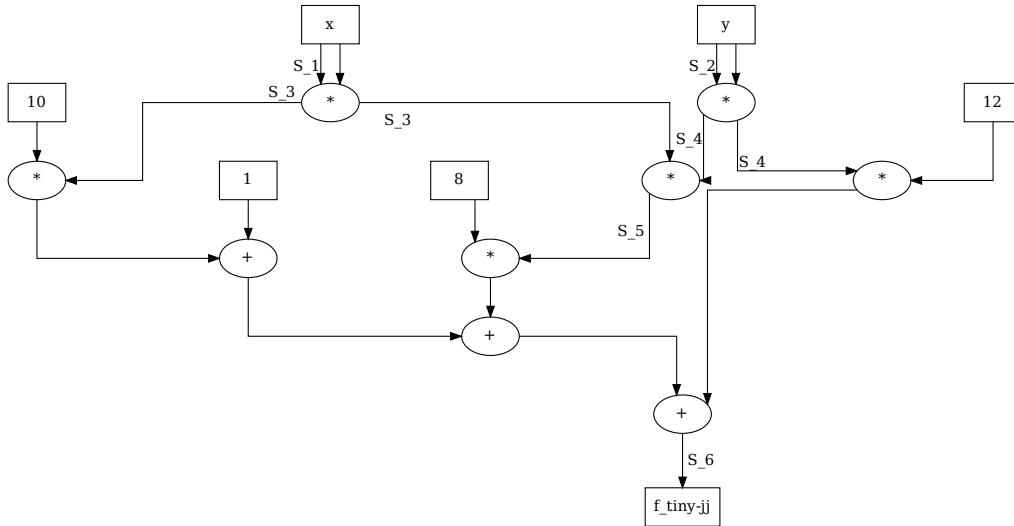
$$f_{tiny-jj} : \mathbb{F}_{13} \times \mathbb{F}_{13} \rightarrow \mathbb{F}_{13} ; (x, y) \mapsto 1 + 8 \cdot x^2 \cdot y^2 + 10 \cdot x^2 + 12 \cdot y^2$$

Every pair of points  $(x, y) \in \mathbb{F}_{13}^2$  with  $f_{\text{tiny-jj}}(x, y) = 0$  is a point on the tiny-jubjub curve, and there are no other curve points. The preimage  $f_{\text{tiny-jj}}^{-1}(0)$  is therefore a complete description of the tiny-jubjub curve.

We can transform this function into an algebraic circuit over  $\mathbb{F}_{13}$ . We first introduce brackets into potentially ambiguous expressions and then rewrite the function in terms of binary operators. We get the following:

$$\begin{aligned}
 f_{\text{tiny-jj}}(x, y) &= 1 + 8 \cdot x^2 \cdot y^2 + 10 \cdot x^2 + 12y^2 && \Leftrightarrow \\
 &= ((8 \cdot ((x \cdot x) \cdot (y \cdot y))) + (1 + 10 \cdot (x \cdot x))) + (12 \cdot (y \cdot y)) && \Leftrightarrow \\
 &= \text{ADD}(\text{ADD}(\text{MUL}(8, \text{MUL}(\text{MUL}(x, x), \text{MUL}(y, y))), \text{ADD}(1, \text{MUL}(10, \text{MUL}(x, x)))), \text{MUL}(12, \text{MUL}(y, y)))
 \end{aligned}$$

Since we haven't decided which part of the computation should be public and which part should be private, we use the unspecified symbol  $S$  to represent edge labels. Constraining all variables to edge labels  $S_1 = x$ ,  $S_2 = y$  and  $S_6 = f_{\text{tiny-jj}}$ , we get the following circuit, representing the function  $f_{\text{tiny-jj}}$ , by inductively replacing binary operators with their associated arithmetic gates:



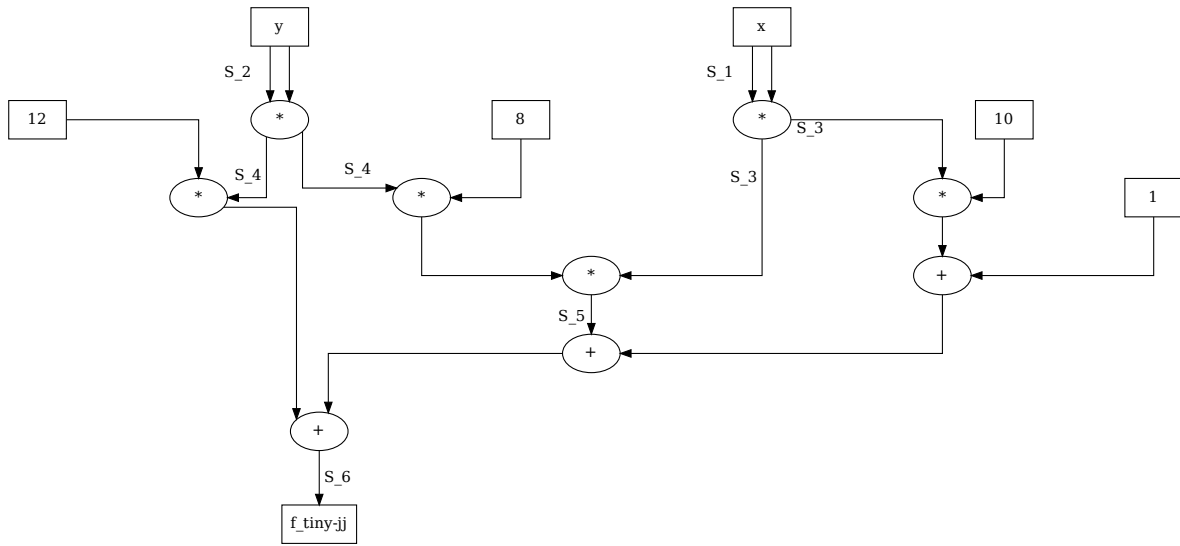
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This circuit is not a graph, but a multigraph, since there is more than one edge between some of the nodes.

In the process of designing of circuits from functions, it should be noted that circuit representations are not unique in general. In case of the function  $f_{\text{tiny-jj}}$ , the circuit shape is dependent on our choice of bracketing in XXX. An alternative design is, for example, given by the following circuit, which occurs when the bracketed expression  $8 \cdot ((x \cdot x) \cdot (y \cdot y))$  is replaced by the expression  $(x \cdot x) \cdot (8 \cdot (y \cdot y))$ .

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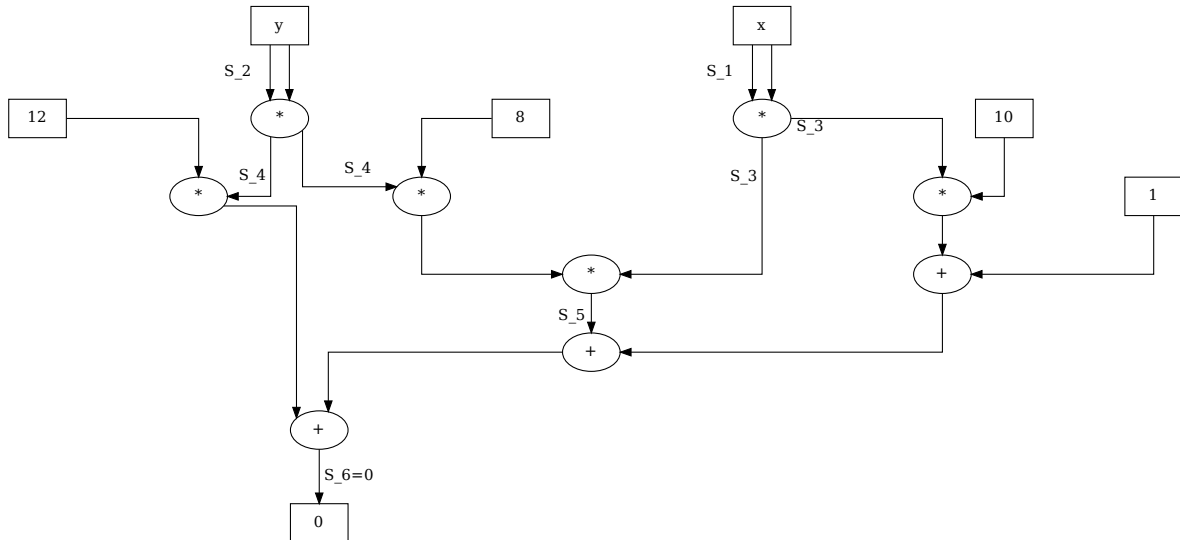
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4540

4541 Of course, both circuits represent the same function, due to the associativity and commutativity  
 4542 laws that hold true in any field.

4543 With a circuit that represents the function  $f_{\text{tiny-jj}}$ , we can now proceed to derive a circuit  
 4544 that constrains arbitrary pairs  $(x, y)$  of field elements to be points on the tiny-jubjub curve. To do  
 4545 so, we have to constrain the output to be zero, that is, we have to constrain  $S_6 = 0$ . To indicate  
 4546 this in the circuit, we replace the output variable by the constant 0 and constrain the related edge  
 4547 label accordingly. We get the following:

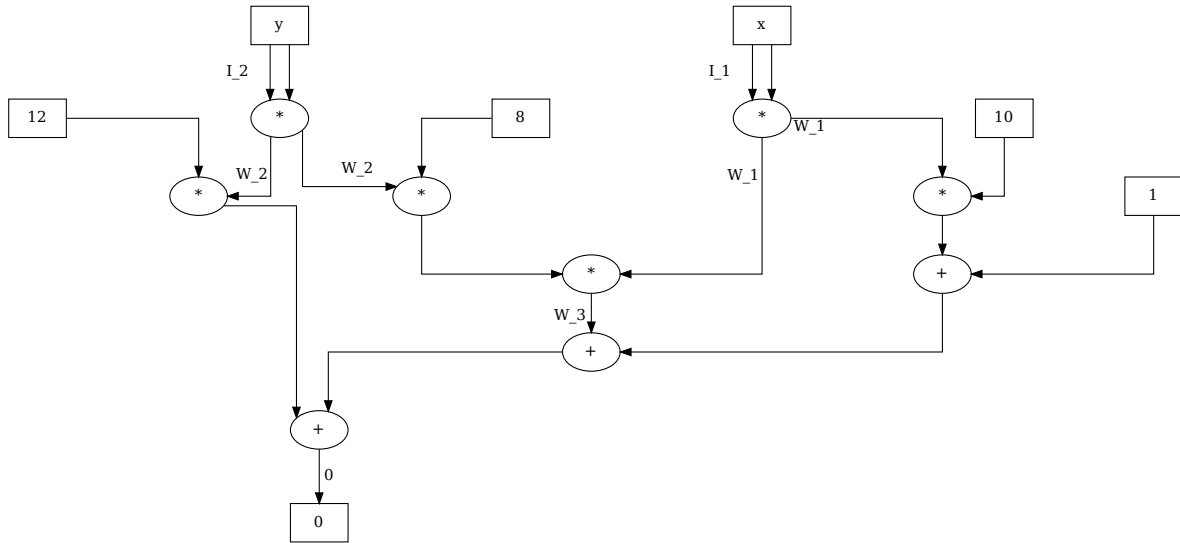
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4550

4551 The previous circuit enforces input values assigned to the labels  $S_1$  and  $S_2$  to be points on the  
 4552 tiny-jubjub curve. However, it does not specify which labels are considered public and which  
 4553 are considered private. The following circuit defines the inputs to be public, while all other  
 4554 labels are private:



It can be shown that every space- and time-bounded computation can be transformed into an algebraic circuit. We call any process that transforms a bounded computation into a circuit **flattening**.

**Circuit Execution** Algebraic circuits are directed, acyclic multi-graphs, where nodes represent variables, constants, or addition and multiplication gates. In particular, every algebraic circuit with  $n$  input nodes decorated with variable symbols and  $m$  output nodes decorated with variables can be seen as a function that transforms an input tuple  $(x_1, \dots, x_n)$  from  $\mathbb{F}^n$  into an output tuple  $(f_1, \dots, f_m)$  from  $\mathbb{F}^m$ . The transformation is done by sending values associated to nodes along their outgoing edges to other nodes. If those nodes are gates, then the values are transformed according to the gate label and the process is repeated along all edges until a sink node is reached. We call this computation **circuit execution**.

When executing a circuit, it is possible to not only compute the output values of the circuit but to derive field elements for all edges, and, in particular, for all edge labels in the circuit. The result is a tuple  $(S_1, S_2, \dots, S_n)$  of field elements associated to all labeled edges, which we call a **valid assignment** to the circuit. In contrast, any assignment  $(S'_1, S'_2, \dots, S'_n)$  of field elements to edge labels that can not arise from circuit execution is called an **invalid assignment**.

Valid assignments can be interpreted as **proofs for proper circuit execution** because they keep a record of the computational result as well as intermediate computational steps.

*Example 119 (3-factorization).* Consider the 3-factorization problem from example 108 and its representation as an algebraic circuit from XXX. We know that the set of edge labels is given by  $S := \{I_1, W_1, W_2, W_3, W_4\}$ .

To understand how this circuit is executed, consider the variables  $x_1 = 2$ ,  $x_2 = 3$  as well as  $x_3 = 4$ . Following all edges in the graph, we get the assignments  $W_1 = 2$ ,  $W_2 = 3$  and  $W_3 = 4$ . Then the assignments of  $W_1$  and  $W_2$  enter a multiplication gate and the output of the gate is  $2 \cdot 3 = 6$ , which we assign to  $W_4$ , i.e.  $W_4 = 6$ . The values  $W_4$  and  $W_3$  then enter the second multiplication gate and the output of the gate is  $6 \cdot 4 = 24$ , which we assign to  $I_1$ , i.e.  $I_1 = 24$ .

A valid assignment to the 3-factorization circuit  $C_{3, \text{fac}}(\mathbb{F}_{13})$  is therefore given by the following set:

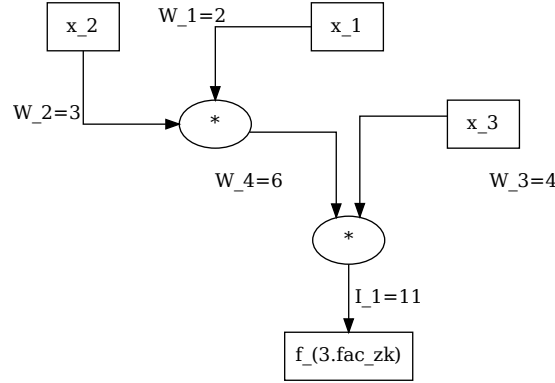
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$$S_{\text{valid}} := \{11; 2, 3, 4, 6\} \quad (6.8)$$

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We can visualise this assignment in the circuit as follows:

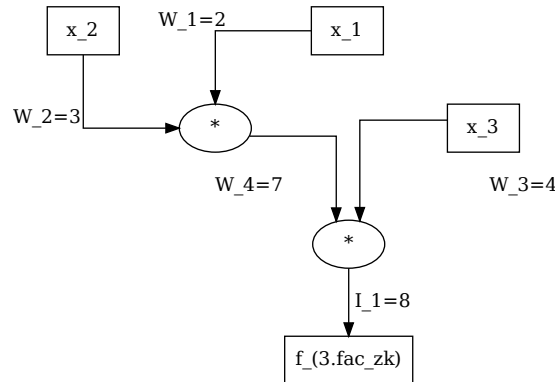


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To see what an invalid assignment looks like, consider the assignment  $S_{\text{err}} := \{8; 2, 3, 4, 7\}$ . In this assignment, the input values are the same as in the previous case. The associated circuit is:

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This assignment is invalid, as the assignments of  $I_1$  and  $W_4$  cannot be obtained by executing the circuit.

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*Example 120.* To compute a more realistic algebraic circuit execution, consider the defining circuit  $C_{\text{tiny-jj}}(\mathbb{F}_{13})$  from example 116 again. We already know from the way this circuit is constructed that any valid assignment with  $S_1 = x$ ,  $S_2 = y$  and  $S_6 = 0$  will ensure that the pair  $(x, y)$  is a point on the tiny-jubjub curve in its Edwards representation (equation 5.20).

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From example 116, we know that the pair  $(11, 6)$  is a proper point on the tiny-jubjub curve and we use this point as input to a circuit execution. We get the following:

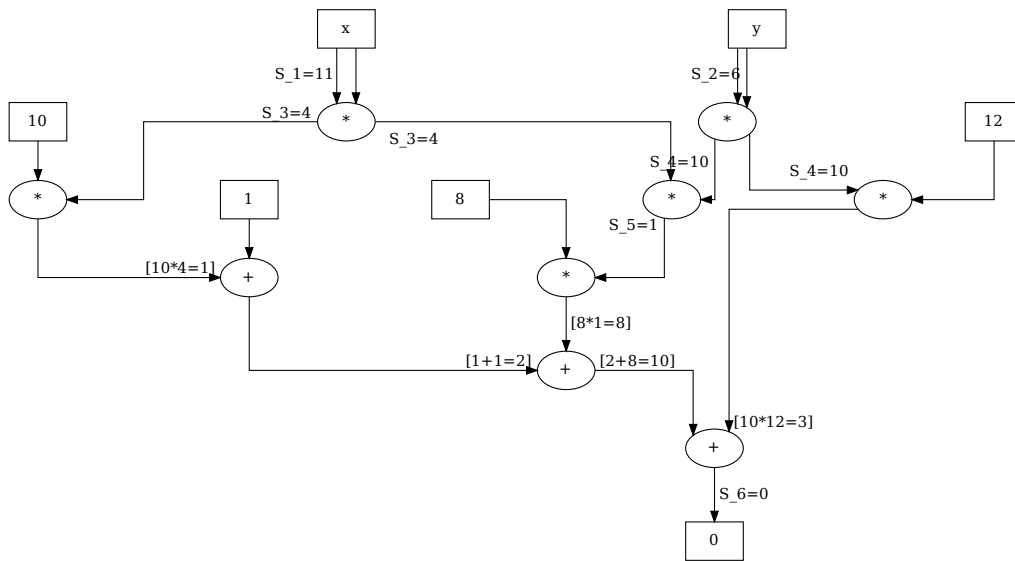
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Executing the circuit, we indeed compute  $S_6 = 0$  as expected, which proves that  $(11, 6)$  is a point on the tiny-jubjub curve in its Edwards representation. A valid assignment of  $C_{\text{tiny-jj}}(\mathbb{F}_{13})$  is therefore given by the following equation:

$$S_{\text{tiny-jj}} = \{S_1, S_2, S_3, S_4, S_5, S_6\} = \{11, 6, 4, 10, 1, 0\}$$

4600 **Circuit Satisfiability** To understand how algebraic circuits give rise to formal languages, ob-  
 4601 serve that every algebraic circuit  $C(\mathbb{F})$  over a fields  $\mathbb{F}$  defines a decision function over the al-  
 4602 phabet  $\Sigma_I \times \Sigma_W = \mathbb{F} \times \mathbb{F}$  in the following way:

$$R_{C(\mathbb{F})} : \mathbb{F}^* \times \mathbb{F}^* \rightarrow \{true, false\} ; (I; W) \mapsto \begin{cases} true & (I; W) \text{ is valid assignment to } C(\mathbb{F}) \\ false & \text{else} \end{cases} \quad (6.9)$$

4603 Every algebraic circuit therefore defines a formal language. The grammar of this language is  
 4604 encoded in the shape of the circuit, words are assignments to edge labels that are derived from  
 4605 circuit execution, and **statements** are knowledge claims “Given instance  $I$ , there is a witness  
 4606  $W$  such that  $(I; W)$  is a valid assignment to the circuit”. A constructive proof to this claim  
 4607 is therefore an assignment of a field element to every witness variable, which is verified by  
 4608 executing the circuit to see if the assignment of the execution meets the assignment of the  
 4609 proof.

4610 In the context of zero-knowledge proof systems, executing circuits is also often called **wit-**  
 4611 **ness generation**, since in applications the instance part is usually public, while its the task of a  
 4612 prover to compute the witness part.

*Remark 7* (Circuit satisfiability). It should be noted that, in our definition, every circuit defines its own language. However, in more theoretical approaches another language usually called **circuit satisfiability** is often considered, which is useful when it comes to more abstract problems like expressiveness, or computational complexity of the class of **all** algebraic circuits over a given field. From our perspective the circuit satisfiability language is obtained by union of all circuit languages that are in our definition. To be more precise, let the alphabet  $\Sigma = \mathbb{F}$  be a field. Then

$$L_{\text{CIRCUIT\_SAT}(\mathbb{F})} = \{(i; w) \in \Sigma^* \times \Sigma^* \mid \text{there is a circuit } C(\mathbb{F}) \text{ such that } (i; w) \text{ is valid assignment}\}$$

Should we refer to RICS satisfiability (p. 141 here?)

*Example 121 (3-Factorization).* Consider the circuit  $C_{3\_fac}$  from equation 6.8 again. We call the associated language  $L_{3\_fac\_circ}$ .

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To understand how a constructive proof of a statement in  $L_{3\_fac\_circ}$  looks like, consider the instance  $I_1 = 11$ . To provide a proof for the statement “There exist a witness  $W$  such that  $(I_1; W)$  is a word in  $L_{3\_fac\_circ}$ ” a proof therefore has to consists of proper values for the variables  $W_1$ ,  $W_2$ ,  $W_3$  and  $W_4$ . Any proofer therefore has to find input values for  $W_1$ ,  $W_2$  and  $W_3$  and then execute the circuit to compute  $W_4$  under the assumption  $I_1 = 11$ .

Example XXX implies that  $(2, 3, 4, 6)$  is a proper constructive proof and in order to verify the proof a verifier needs to execute the circuit with instance  $I_1 = 11$  and inputs  $W_1 = 2$ ,  $W_2 = 3$  and  $W_3 = 4$  to decide whether the proof is a valid assignment or not.

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**Associated Constraint Systems** As we have seen in 6.2.1.1, rank-1 constraint systems define a way to represent statements in terms of a system of quadratic equations over finite fields, suitable for pairing-based zero-knowledge proof systems. However, those equations provide no practical way for a proofer to actually compute a solution. On the other hand, algebraic circuits can be executed in order to derive valid assignments efficiently.

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In this paragraph, we show how to transform any algebraic circuit into a rank-1 constraint system such that valid circuit assignments are in 1:1 correspondence with solutions to the associated R1CS.

To see this, let  $C(\mathbb{F})$  be an algebraic circuit over a finite field  $\mathbb{F}$ , with a set of edge labels  $\{S_1, S_2, \dots, S_n\}$ . Then one of the following steps is executed for every edge label  $S_j$  from that set:

*Definition 6.2.2.2.* • If the edge label  $S_j$  is an outgoing edge of a multiplication gate, the R1CS gets a new quadratic constraint

$$(\text{left input}) \cdot (\text{right input}) = S_j \quad (6.10)$$

where (left input) respectively (right input) is the output from the symbolic execution of the subgraph that consists of the left respectively right input edge of this gate, and all edges and nodes that have this edge in their path, starting with constant inputs or labeled outgoing edges of other nodes.

• If the edge label  $S_j$  is an outgoing edge of an addition gate, the R1CS gets a new quadratic constraint

$$(\text{left input} + \text{right input}) \cdot 1 = S_j \quad (6.11)$$

where (left input) respectively (right input) is the output from the symbolic execution of the subgraph that consists of the left respectively right input edge of this gate and all edges and nodes that have this edge in their path, starting with constant inputs or labeled outgoing edges of other nodes.

• No other edge label adds a constraint to the system.

The result of this method is a rank-1 constraint system, and, in this sense, every algebraic circuit  $C(\mathbb{F})$  generates a R1CS  $R$ , which we call the **associated R1CS** of the circuit. It can be shown that a tuple of field elements  $(S_1, S_2, \dots, S_n)$  is a valid assignment to a circuit if and only if the same tuple is a solution to the associated R1CS. Circuit executions therefore compute solutions to rank-1 constraints systems efficiently.

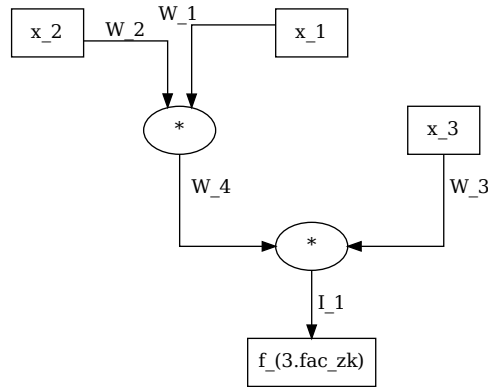
To understand the contribution of algebraic gates to the number of constraints, note that, by definition, multiplication gates have labels on their outgoing edges if and only if there is at least

one labeled edge in both input paths, or if the outgoing edge is an input to a sink node. This implies that multiplication with a constant is essentially free in the sense that it doesn't add a new constraint to the system, as long as that multiplication gate is not an input to an output node.

Moreover, addition gates have labels on their outgoing edges if and only if they are inputs to sink nodes. This implies that addition is essentially free in the sense that it doesn't add a new constraint to the system, as long as that addition gate is not an input to an output node.

*Example 122 (3-factorization).* Consider our 3-factorization problem from equation 6.8 and the associated circuit  $C_{3.fac}(\mathbb{F}_{13})$ . Our task is to transform this circuit into an equivalent rank-1 constraint system.

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We start with an empty R1CS, and, in order to generate all constraints, we have to iterate over the set of edge labels  $\{I_1; W_1, W_2, W_3, W_4\}$ .

Starting with the edge label  $I_1$ , we see that it is an outgoing edge of a multiplication gate, and, since both input edges are labeled, we have to add the following constraint to the system:

$$\begin{aligned} (\text{left input}) \cdot (\text{right input}) &= I_1 \\ W_4 \cdot W_3 &= I_1 \end{aligned} \quad \Leftrightarrow$$

Next, we consider the edge label  $W_1$  and, since, it's not an outgoing edge of a multiplication or addition label, we don't add a constraint to the system. The same holds true for the labels  $W_2$  and  $W_3$ .

For edge label  $W_4$ , we see that it is an outgoing edge of a multiplication gate, and, since both input edges are labeled, we have to add the following constraint to the system:

$$\begin{aligned} (\text{left input}) \cdot (\text{right input}) &= W_4 \\ W_2 \cdot W_1 &= W_4 \end{aligned} \quad \Leftrightarrow$$

Since there are no more labeled edges, all constraints are generated, and we have to combine them to get the associated R1CS of  $C_{3.fac}(\mathbb{F}_{13})$ :

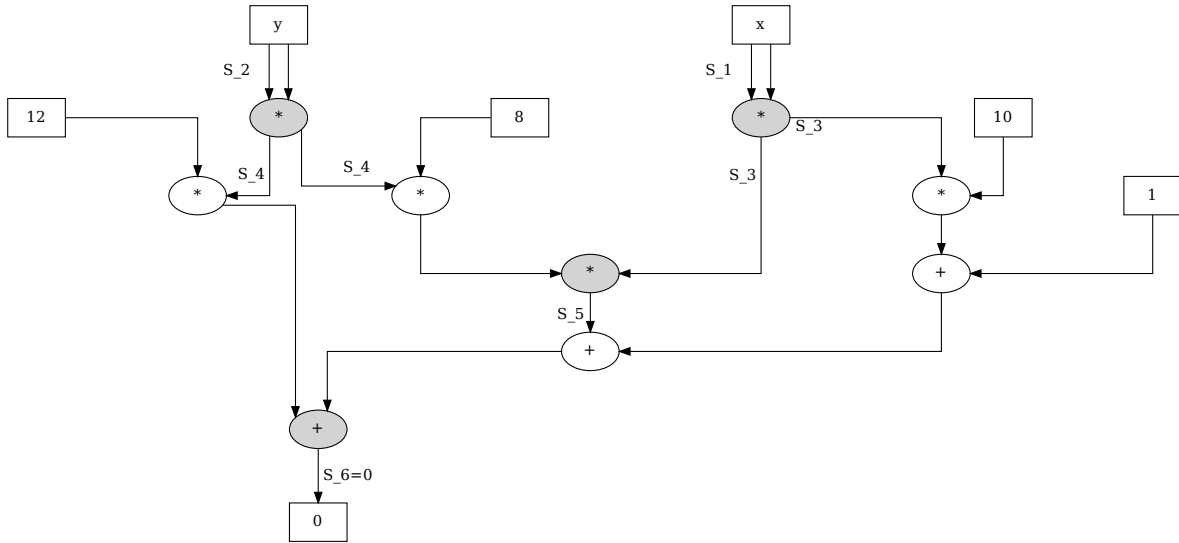
$$\begin{aligned} W_4 \cdot W_3 &= I_1 \\ W_2 \cdot W_1 &= W_4 \end{aligned}$$

This system is equivalent to the R1CS we derived in example 113. The languages  $L_{3.fac\_zk}$  and  $L_{3.fac\_circ}$  are therefore equivalent and both the circuit as well as the R1CS are just two different ways of expressing the same language.

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4673 *Example 123.* To consider a more general transformation, we consider the tiny-jubjub circuit  
 4674 from example 116 again. A proper circuit is given by

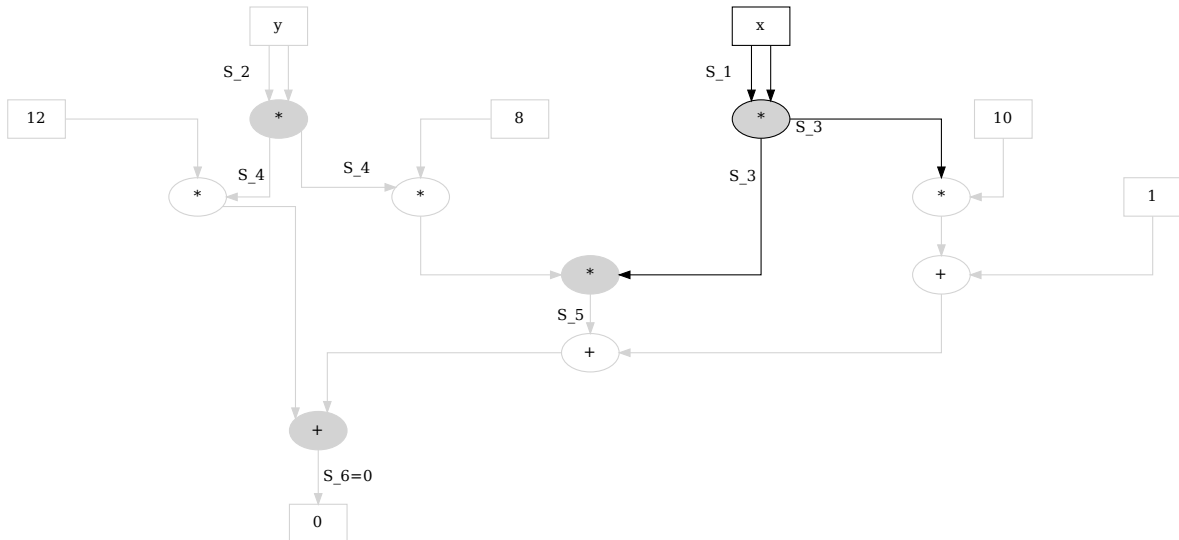
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4676 To compute the number of constraints, observe that we have 3 multiplication gates that have  
 4677 labels on their outgoing edges and 1 addition gate that has a label on its outgoing edge. We  
 4678 therefore have to compute 4 quadratic constraints.

4681 In order to derive the associated R1CS, we have start with an empty R1CS and then iterate  
 4682 over the set  $\{S_1, S_2, S_3, S_4, S_5, S_6 = 0\}$  of all edge labels, in order to generate the constraints.

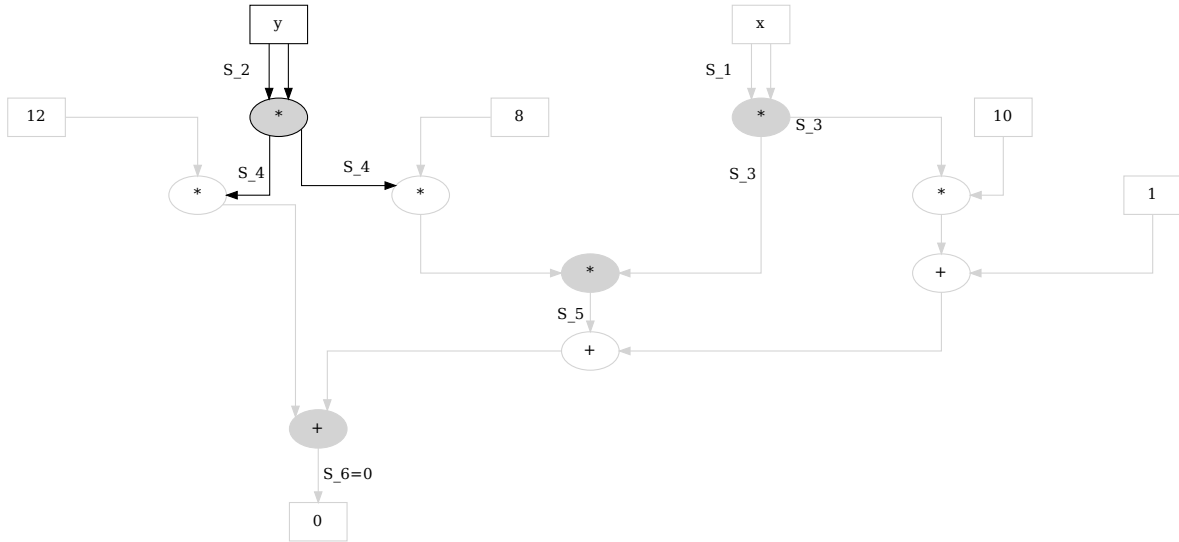
4683 Considering edge label  $S_1$ , we see that the associated edges are not outgoing edges of any  
 4684 algebraic gate, and we therefore have to add no new constraint to the system. The same holds  
 4685 true for edge label  $S_2$ . Looking at edge label  $S_3$ , we see that the associated edges are outgoing  
 4686 edges of a multiplication gate and that the associated subgraph is given by:



Both the left and the right input to this multiplication gate are labeled by  $S_1$ . We therefore have to add the following constraint to the system:

$$S_1 \cdot S_1 = S_3$$

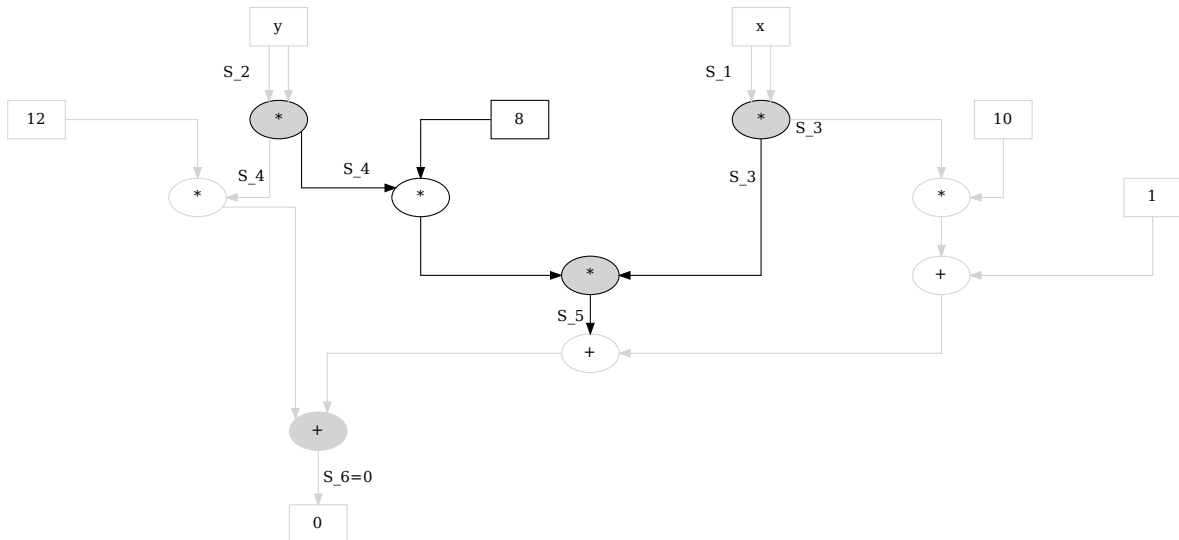
Looking at edge label  $S_4$ , we see that the associated edges are outgoing edges of a multiplication gate and that the associated subgraph is given by:



Both the left and the right input to this multiplication gate are labeled by  $S_2$  and we therefore have to add the following constraint to the system:

$$S_2 \cdot S_2 = S_4$$

Edge label  $S_5$  is more interesting. To see if it implies a constraint, we have to construct the associated subgraph first, which consists of all edges and all nodes in all path starting either at a constant input or a labeled edge. We get



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The right input to the associated multiplication gate is given by the labeled edge  $S_3$ . However, the left input is not a labeled edge, but has a labeled edge in one of its path. This implies that we have to add a constraint to the system. To compute the left factor of that constraint, we have to compute the output of subgraph associated to the left edge, which is  $8 \cdot W_2$ . This gives the constraint

$$(S_4 \cdot 8) \cdot S_3 = S_5$$

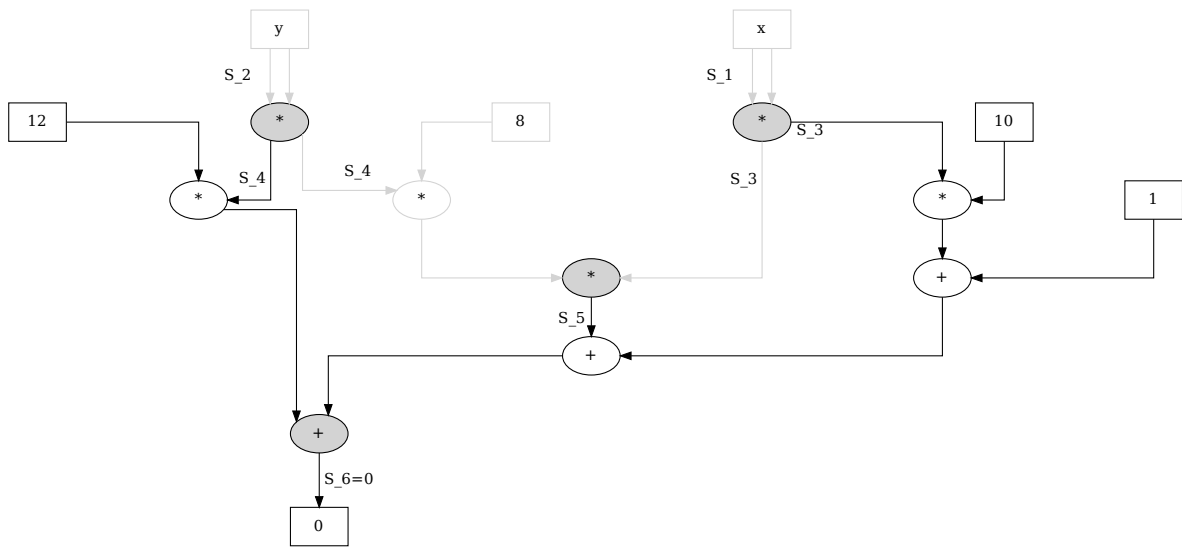
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The last edge label is the constant  $S_6 = 0$ . To see if it implies a constraint, we have to construct the associated subgraph, which consists of all edges and all nodes in all path starting either at a constant input or a labeled edge. We get

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Both the left and the right input are unlabeled, but have a labeled edges in their path. This implies that we have to add a constraint to the system. Since the gate is an addition gate, the right factor in the quadratic constraint is always 1 and the left factor is computed by symbolically executing all inputs to all gates in sub-circuit. We get

$$(12 \cdot S_4 + S_5 + 10 \cdot S_3 + 1) \cdot 1 = 0$$

Since there are no more labeled outgoing edges, we are done deriving the constraints. Combining all constraints together, we get the following R1CS:

$$S_1 \cdot S_1 = S_3$$

$$S_2 \cdot S_2 = S_4$$

$$(S_4 \cdot 8) \cdot S_3 = S_5$$

$$(12 \cdot S_4 + S_5 + 10 \cdot S_3 + 1) \cdot 1 = 0$$

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which is equivalent to the R1CS we derived in example 116. The languages  $L_{3, fac\_zk}$  and  $L_{3, fac\_circ}$  are therefore equivalent and both the circuit as well as the R1CS are just two different ways to express the same language.

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### 6.2.3 Quadratic Arithmetic Programs

We have introduced algebraic circuits and their associated rank-1 constraints systems as two particular models able to represent space- and time-bounded computation. Both models define formal languages, and associated membership as well as knowledge claims can be constructively proved by executing the circuit in order to compute solutions to its associated R1CS.

One reason why those systems are useful in the context of succinct zero-knowledge proof systems is because any R1CS can be transformed into another computational model called **quadratic arithmetic programs** (QAP), which serve as the basis for some of the most efficient succinct non-interactive zero-knowledge proof generators that currently exist.

As we will see, proving statements for languages that have checking relations defined by quadratic arithmetic programs can be achieved by providing certain polynomials, and those proofs can be verified by checking a particular divisibility property.

**QAP representation** To understand what quadratic arithmetic programs are in detail, let  $\mathbb{F}$  be a field and  $R$  a rank-1 constraints system over  $\mathbb{F}$  such that the number of non-zero elements in  $\mathbb{F}$  is strictly larger than the number  $k$  of constraints in  $R$ . Moreover, let  $a_j^i, b_j^i$  and  $c_j^i \in \mathbb{F}$  for every index  $0 \leq j \leq n + m$  and  $1 \leq i \leq k$ , be the defining constants of the R1CS and  $m_1, \dots, m_k$  be arbitrary, invertible and distinct elements from  $\mathbb{F}$ .

Then a **quadratic arithmetic program** [QAP] of the R1CS is the following set of polynomials over  $\mathbb{F}$ :

$$QAP(R) = \left\{ T \in \mathbb{F}[x], \{A_j, B_j, C_j \in \mathbb{F}[x]\}_{h=0}^{n+m} \right\} \quad (6.12)$$

In the equation above,  $T(x) := \prod_{l=1}^k (x - m_l)$  is a polynomial of degree  $k$ , called the **target polynomial** of the QAP and  $A_j, B_j$  as well as  $C_j$  are the unique degree  $k - 1$  polynomials defined by the following equation:

$$A_j(m_i) = a_j^i \quad B_j(m_i) = b_j^i \quad C_j(m_i) = c_j^i \quad j = 1, \dots, n + m + 1, i = 1, \dots, k \quad (6.13)$$

Given some rank-1 constraint system, an associated quadratic arithmetic program is therefore nothing but a set of polynomials, computed from the constants in the R1CS. To see that the polynomials  $A_j, B_j$  and  $C_j$  are uniquely defined by the equations in XXX, recall that a polynomial of degree  $k - 1$  is completely determined on  $k$  evaluation points and the equation 4 precisely determines those  $k$  evaluation points.

Since we only consider polynomials over fields, Lagrange's interpolation method from 3.31 in chapter ?? can be used to derive the polynomials  $A_j, B_j$  and  $C_j$  from their defining equations XXX. A practical method to compute a QAP from a given R1CS therefore consists of two steps. If the R1CS consists of  $k$  constraints, first choose  $k$  invertible and mutually different points from the underlying field. Every choice defines a different QAP for the same R1CS. Then use Lagrange's method and equation XXX to compute the polynomials  $A_j, B_j$  and  $C_j$  for every  $1 \leq j \leq k$ .

*Example 124* (Generalized factorization SNARK). To provide a better intuition of quadratic arithmetic programs and how they are computed from their associated rank-1 constraint systems, consider the language  $L_{3, fac\_zk}$  from example 108 and its associated R1CS:

$$\begin{array}{ll} W_1 \cdot W_2 = W_4 & \text{constraint 1} \\ W_4 \cdot W_3 = I_1 & \text{constraint 2} \end{array}$$

In this example we want to transform this R1CS into an associated QAP. In a first step, we have to compute the defining constants  $a_j^i, b_j^i$  and  $c_j^i$  of the R1CS. According to XXX, we have

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$$\begin{array}{cccccc} a_0^1 = 0 & a_1^1 = 0 & a_2^1 = 1 & a_3^1 = 0 & a_4^1 = 0 & a_5^1 = 0 \\ a_0^2 = 0 & a_1^2 = 0 & a_2^2 = 0 & a_3^2 = 0 & a_4^2 = 0 & a_5^2 = 1 \end{array}$$

$$\begin{array}{cccccc} b_0^1 = 0 & b_1^1 = 0 & b_2^1 = 0 & b_3^1 = 1 & b_4^1 = 0 & b_5^1 = 0 \\ b_0^2 = 0 & b_1^2 = 0 & b_2^2 = 0 & b_3^2 = 0 & b_4^2 = 1 & b_5^2 = 0 \end{array}$$

$$\begin{array}{cccccc} c_0^1 = 0 & c_1^1 = 0 & c_2^1 = 0 & c_3^1 = 0 & c_4^1 = 0 & c_5^1 = 1 \\ c_0^2 = 0 & c_1^2 = 1 & c_2^2 = 0 & c_3^2 = 0 & c_4^2 = 0 & c_5^2 = 0 \end{array}$$

Since the R1CS is defined over the field  $\mathbb{F}_{13}$  and has two constraining equations, we need to choose two arbitrary but distinct elements  $m_1$  and  $m_2$  from  $\mathbb{F}_{13}$ . We choose  $m_1 = 5$ , and  $m_2 = 7$  and with this choice we get the target polynomial

$$\begin{aligned} T(x) &= (x - m_1)(x - m_2) && \# \text{ Definition of } T \\ &= (x - 5)(x - 7) && \# \text{ Insert our choice} \\ &= (x + 8)(x + 6) && \# \text{ Negatives in } \mathbb{F}_{13} \\ &= x^2 + x + 9 && \# \text{ expand} \end{aligned}$$

4744 Then we have to compute the polynomials  $A_j$ ,  $B_j$  and  $C_j$  by their defining equation from the  
4745 R1CS coefficients. Since the R1CS has two constraining equations, those polynomials are of  
4746 degree 1 and they are defined by their evaluation at the point  $m_1 = 5$  and the point  $m_2 = 7$ .

At point  $m_1$ , each polynomial  $A_j$  is defined to be  $a_j^1$  and at point  $m_2$ , each polynomial  $A_j$  is defined to be  $a_j^2$ . The same holds true for the polynomials  $B_j$  as well as  $C_j$ . Writing all these equations now, we get:

$$\begin{array}{cccccc} A_0(5) = 0, & A_1(5) = 0, & A_2(5) = 1, & A_3(5) = 0, & A_4(5) = 0, & A_5(5) = 0 \\ A_0(7) = 0, & A_1(7) = 0, & A_2(7) = 0, & A_3(7) = 0, & A_4(7) = 0, & A_5(7) = 1 \end{array}$$

$$\begin{array}{cccccc} B_0(5) = 0, & B_1(5) = 0, & B_2(5) = 0, & B_3(5) = 1, & B_4(5) = 0, & B_5(5) = 0 \\ B_0(7) = 0, & B_1(7) = 0, & B_2(7) = 0, & B_3(7) = 0, & B_4(7) = 1, & B_5(7) = 0 \end{array}$$

$$\begin{array}{cccccc} C_0(5) = 0, & C_1(5) = 0, & C_2(5) = 0, & C_3(5) = 0, & C_4(5) = 0, & C_5(5) = 1 \\ C_0(7) = 0, & C_1(7) = 1, & C_2(7) = 0, & C_3(7) = 0, & C_4(7) = 0, & C_5(7) = 0 \end{array}$$

4747 Lagrange's interpolation implies that a polynomial of degree  $k$ , that is, that zero on  $k + 1$  points  
4748 has to be the zero polynomial. Since our polynomials are of degree 1 and determined on 2  
4749 points, we therefore know that the only non-zero polynomials in our QAP are  $A_2$ ,  $A_5$ ,  $B_3$ ,  $B_4$ ,  
4750  $C_1$  and  $C_5$ , and that we can use Lagrange's interpolation to compute them.

To compute  $A_2$  we note that the set  $S$  in our version of Lagrange's method is given by  $S = \{(x_0, y_0), (x_1, y_1)\} = \{(5, 1), (7, 0)\}$ . Using this set we get:

$$\begin{aligned} A_2(x) &= y_0 \cdot l_0 + y_1 \cdot l_1 \\ &= y_0 \cdot \left( \frac{x - x_1}{x_0 - x_1} \right) + y_1 \cdot \left( \frac{x - x_0}{x_1 - x_0} \right) = 1 \cdot \left( \frac{x - 7}{5 - 7} \right) + 0 \cdot \left( \frac{x - 5}{7 - 5} \right) \\ &= \frac{x - 7}{-2} = \frac{x - 7}{11} && \# 11^{-1} = 6 \\ &= 6(x - 7) = 6x + 10 && \# -7 = 6 \text{ and } 6 \cdot 6 = 10 \end{aligned}$$



To compute  $A_5$ , we note that the set  $S$  in our version of Lagrange's method is given by  $S = \{(x_0, y_0), (x_1, y_1)\} = \{(5, 0), (7, 1)\}$ . Using this set we get:

$$\begin{aligned}
 A_5(x) &= y_0 \cdot l_0 + y_1 \cdot l_1 \\
 &= y_0 \cdot \left(\frac{x - x_1}{x_0 - x_1}\right) + y_1 \cdot \left(\frac{x - x_0}{x_1 - x_0}\right) = 0 \cdot \left(\frac{x - 7}{5 - 7}\right) + 1 \cdot \left(\frac{x - 5}{7 - 5}\right) \\
 &= \frac{x - 5}{2} \quad \# 2^{-1} = 7 \\
 &= 7(x - 5) = 7x + 4 \quad \# -5 = 8 \text{ and } 7 \cdot 8 = 4
 \end{aligned}$$

4751 Using Lagrange's interpolation, we can deduce that  $A_2 = B_3 = C_5$  as well as  $A_5 = B_4 = C_1$ ,  
 4752 since they are polynomials of degree 1 that evaluate to same values on 2 points. Using this, we  
 4753 get the following set of polynomials

$A_0(x) = 0$	$B_0(x) = 0$	$C_0(x) = 0$
$A_1(x) = 0$	$B_1(x) = 0$	$C_1(x) = 7x + 4$
$A_2(x) = 6x + 10$	$B_2(x) = 0$	$C_2(x) = 0$
$A_3(x) = 0$	$B_3(x) = 6x + 10$	$C_3(x) = 0$
$A_4(x) = 0$	$B_4(x) = 7x + 4$	$C_4(x) = 0$
$A_5(x) = 7x + 4$	$B_5(x) = 0$	$C_5(x) = 6x + 10$

4755 We can invoke Sage to verify our computation. In sage every polynomial ring has a function  
 4756 `lagrange_polynomial` that takes the defining points as inputs and the associated Lagrange  
 4757 polynomial as output.

```

4758 sage: F13 = GF(13)
4759 sage: F13t.<t> = F13[]
4760 sage: T = F13t((t-5)*(t-7))
4761 sage: A2 = F13t.lagrange_polynomial([(5, 1), (7, 0)])
4762 sage: A5 = F13t.lagrange_polynomial([(5, 0), (7, 1)])
4763 sage: T == F13t(t^2 + t + 9)
4764 True
4765 sage: A2 == F13t(6*t + 10)
4766 True
4767 sage: A5 == F13t(7*t + 4)
4768 True

```

4769 Combining this computation with the target polynomial we derived earlier, a quadratic arith-  
 4770 metic program associated to the rank-1 constraint system  $R_{3.fac\_zk}$  is given as follows:

$$\begin{aligned}
 QAP(R_{3.fac\_zk}) &= \{x^2 + x + 9, \\
 \{0, 0, 6x + 10, 0, 0, 7x + 4\}, \{0, 0, 0, 6x + 10, 7x + 4, 0\}, \{0, 7x + 4, 0, 0, 0, 6x + 10\}\}
 \end{aligned} \quad (6.14)$$

4771 **QAP Satisfiability** One of the major points of quadratic arithmetic programs in proofing sys-  
 4772 tems is that solutions of their associated rank-1 constraints systems are in 1:1 correspondence  
 4773 with certain polynomials  $P$  such that  $P$  is divisible by the target polynomial  $T$  of the QAP if and  
 4774 only if **the solution id a solution**. Verifying solutions to the R1CS and hence, checking proper  
 4775 circuit execution is then achievable by polynomial division of  $P$  by  $T$ .

4776 To be more specific, let  $R$  be some rank-1 constraints system with associated assignment  
 4777 variables  $(I_1, \dots, I_n; W_1, \dots, W_m)$  and let  $QAP(R)$  be a quadratic arithmetic program of  $R$ . Then

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language

the tuple  $(I_1, \dots, I_n; W_1, \dots, W_m)$  is a solution to the R1CS if and only if the following polynomial is divisible by the target polynomial  $T$ :

$$P_{(I;W)} = (A_0 + \sum_j^n I_j \cdot A_j + \sum_j^m W_j \cdot A_{n+j}) \cdot (B_0 + \sum_j^n I_j \cdot B_j + \sum_j^m W_j \cdot B_{n+j}) - (C_0 + \sum_j^n I_j \cdot C_j + \sum_j^m W_j \cdot C_{n+j}) \quad (6.15)$$

Every tuple  $(I; W)$  defines a polynomial  $P_{(I;W)}$ , and, since each polynomial  $A_j$ ,  $B_j$  and  $C_j$  is of degree  $k-1$ ,  $P_{(I;W)}$  is of degree  $(k-1) \cdot (k-1) = k^2 - 2k + 1$ .

To understand how quadratic arithmetic programs define formal languages, observe that every QAP over a field  $\mathbb{F}$  defines a decision function over the alphabet  $\Sigma_I \times \Sigma_W = \mathbb{F} \times \mathbb{F}$  in the following way:

$$R_{QAP} : \mathbb{F}^* \times \mathbb{F}^* \rightarrow \{true, false\} ; (I; W) \mapsto \begin{cases} true & P_{(I;W)} \text{ is divisible by } T \\ false & \text{else} \end{cases} \quad (6.16)$$

This means that every QAP defines a formal language, and, if the QAP is associated to an R1CS, it can be shown that the two languages are equivalent. A **statement** is a membership claim “There is a word  $(I; W)$  in  $L_{QAP}$ ”. A proof to this claim is therefore a polynomial  $P_{(I;W)}$ , which is verified by dividing  $P_{(I;W)}$  by  $T$ .

Note the structural similarity to the definition of an R1CS in 6.2.1.1 and the different ways of computing proofs in both systems. For circuits and their associated rank-1 constraints systems, a constructive proof consists of a valid assignment of field elements to the edges of the circuit, or the variables in the R1CS. However, in the case of QAPs, a valid proof consists of a polynomial  $P_{(I;W)}$ .

To compute a proof for a statement in  $L_{QAP}$  given some instance  $I$ , a proofer first needs to compute a constructive proof  $W$ , e.g. by executing the circuit. With  $(I; W)$  at hand, the proofer can then compute the polynomial  $P_{(I;W)}$  and publish it as proof.

Verifying a constructive proof in the case of a circuit is achieved by executing the circuit, comparing the result to the given proof, and verifying the same proof in the R1CS picture means checking if the elements of the proof satisfy all equation.

In contrast, verifying a proof in the case of a QAP is done by polynomial division of the proof  $P$  by the target polynomial  $T$  of the QAP. The proof checks out if and only if  $P$  is divisible by  $T$ .

*Example 125.* Consider the quadratic arithmetic program  $QAP(R_{3, fac\_zk})$  from example XXX and its associated R1CS from equation 6.1.0.1. To give an intuition of how proofs in the language  $L_{QAP(R_{3, fac\_zk})}$  let's consider the instance  $I_1 = 11$ . As we know from example XXX,  $(W_1, W_2, W_3, W_5) = (2, 3, 4, 6)$  is a proper witness, since  $(I_1; W_1, W_2, W_3, W_5) = (11; 2, 3, 4, 6)$  is a valid circuit assignment and hence, a solution to  $R_{3, fac\_zk}$  and a constructive proof for language  $L_{R_{3, fac\_zk}}$ .

In order to transform this constructive proof into a membership proof in language  $L_{QAP(R_{3, fac\_zk})}$  a proofer has to use the elements of the constructive proof, to compute the polynomial  $P_{(I;W)}$ .

In the case of  $(I_1; W_1, W_2, W_3, W_5) = (11; 2, 3, 4, 6)$ , the associated proof is computed as fol-

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lows:

$$\begin{aligned}
P_{(I;W)} &= (A_0 + \sum_j^n I_j \cdot A_j + \sum_j^m W_j \cdot A_{n+j}) \cdot (B_0 + \sum_j^n I_j \cdot B_j + \sum_j^m W_j \cdot B_{n+j}) - (C_0 + \sum_j^n I_j \cdot C_j + \sum_j^m W_j \cdot C_{n+j}) \\
&= (2(6x + 10) + 6(7x + 4)) \cdot (3(6x + 10) + 4(7x + 4)) - (11(7x + 4) + 6(6x + 10)) \\
&= ((12x + 7) + (3x + 11)) \cdot ((5x + 4) + (2x + 3)) - ((12x + 5) + (10x + 8)) \\
&= (2x + 5) \cdot (7x + 7) - (9x) \\
&= (x^2 + 2 \cdot 7x + 5 \cdot 7x + 5 \cdot 7) - (9x) \\
&= (x^2 + x + 9x + 9) - (9x) \\
&= x^2 + x + 9
\end{aligned}$$

4811 Given instance  $I_1 = 11$  a prover therefore provides the polynomial  $x^2 + x + 9$  as proof. To verify  
4812 this proof, any verifier can then look up the target polynomial  $T$  from the QAP and divide  $P_{(I;W)}$   
4813 by  $T$ . In this particular example,  $P_{(I;W)}$  is equal to the target polynomial  $T$ , and hence, it is  
4814 divisible by  $T$  with  $P/T = 1$ . The verification therefore checks the proof.

```

4815 sage: F13 = GF(13) 656
4816 sage: F13t.<t> = F13[] 657
4817 sage: T = F13t(t^2 + t + 9) 658
4818 sage: P = F13t((2*(6*t+10)+6*(7*t+4))*(3*(6*t+10)+4*(7*t+4)) 659
4819             -(11*(7*t+4)+6*(6*t+10)))
4820 sage: P == T 660
4821 True 661
4822 sage: P % T # remainder 662
4823 0 663

```

To give an example of a false proof, consider the tuple  $(I_1; W_1, W_2, W_3, W_4) = (11, 2, 3, 4, 8)$ . Executing the circuit, we can see that this is not a valid assignment and not a solution to the R1CS, and hence, not a constructive knowledge proof in  $L_{3.fac\_zk}$ . However, a prover might use these values to construct a false proof  $P_{(I;W)}$ :

$$\begin{aligned}
P'_{(I;W)} &= (A_0 + \sum_j^n I_j \cdot A_j + \sum_j^m W_j \cdot A_{n+j}) \cdot (B_0 + \sum_j^n I_j \cdot B_j + \sum_j^m W_j \cdot B_{n+j}) - (C_0 + \sum_j^n I_j \cdot C_j + \sum_j^m W_j \cdot C_{n+j}) \\
&= (2(6x + 10) + 8(7x + 4)) \cdot (3(6x + 10) + 4(7x + 4)) - (8(6x + 10) + 11(7x + 4)) \\
&= 8x^2 + 6
\end{aligned}$$

Given instance  $I_1 = 11$ , a prover therefore provides the polynomial  $8x^2 + 6$  as proof. To verify this proof, any verifier can look up the target polynomial  $T$  from the QAP and divide  $P_{(I;W)}$  by  $T$ . However, polynomial division has the following remainder:

$$(8x^2 + 6)/(x^2 + x + 9) = 8 + \frac{5x + 12}{x^2 + x + 9}$$

4824 This implies that  $P_{(I;W)}$  is not divisible by  $T$ , and hence, the verification does not check the  
4825 proof. Any verifier can therefore show that the proof is false.

```

4826 sage: F13 = GF(13) 664
4827 sage: F13t.<t> = F13[] 665
4828 sage: T = F13t(t^2 + t + 9) 666
4829 sage: P = F13t((2*(6*t+10)+8*(7*t+4))*(3*(6*t+10)+4*(7*t+4))-( 667
4830             8*(6*t+10)+11*(7*t+4)))

```

4831	<code>sage: P == F13t(8*t^2 + 6)</code>	668
4832	<code>True</code>	669
4833	<code>sage: P % T # remainder</code>	670
4834	<code>5*t + 12</code>	671

# Chapter 7

## Circuit Compilers

As we have seen in the previous chapter, statements can be formalized as membership or knowledge claims in formal language, and algebraic circuits as well as rank-1 constraint systems are two practically important ways to define those languages.

However, both algebraic circuits and rank-1 constraint systems are not ideal from a developers point of view, because they deviate substantially from common programming paradigms. Writing real-world applications as circuits and the associated verification in terms of rank-1 constraint systems is at least as troublesome as writing any other low-level language like assembler code. To allow for complex statement design, it is therefore necessary to have some kind of compiler framework, capable of transforming high-level languages into arithmetic circuits and associated rank-1 constraint systems.

As we have seen in chapter 6 and in 6.2.1.1., both arithmetic circuits and rank-1 constraint systems have a modularity property by which it is possible to synthesize complex circuits from simple ones. A basic approach taken by many circuit/R1CS compilers is therefore to provide a library of atomic and simple circuits and then define a way to combine those basic building blocks into arbitrary complex systems.

In this chapter, we provide an introduction to basic concepts of so-called **circuit compilers** and derive a toy language which we can “compile” in a pen-and-paper approach into algebraic circuits and their associated rank-1 constraint systems.

We start with a general introduction to our language, and then introduce atomic types like booleans and unsigned integers. Then we define the fundamental control flow primitives like the if-then-else conditional and the bounded loop. We will look at basic functionality primitives like elliptic curve cryptography. Primitives like these are often called **gadgets** in the literature.

### 7.1 A Pen-and-Paper Language

To explain basic concepts of circuit compilers and their associated high-level languages, we derive an informal toy language and associated “brain-compiler” which we name PAPER (**Pen-And-Paper Execution Rules**). PAPER allows programmers to define statements in Rust-like pseudo-code. The language is inspired by [ZOKRATES](#) and [circom](#).

#### 7.1.1 The Grammar

In PAPER, any statement is defined as an ordered list of functions, where any function has to be declared in the list before it is called in another function of that list. The last entry in a statement has to be a special function, called `main`. Functions take a list of typed parameters as inputs

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and compute a tuple of typed variables as output, where types are special functions that define how to transform that type into another type, ultimately transforming any type into elements of the base field where the circuit is defined over.

Any statement is parameterized over the field that the circuit will be defined on, and has additional optional parameters of unsigned type, needed to define the size of array or the counter of bounded loops. The following definition makes the grammar of a statement precise using a command line language like description:

```
statement <Name> {F:<Field> [ , <N_1: unsigned>, ... ] } {
  [fn <Name>([[pub]<Arg>:<Type>, ...]) -> (<Type>, ...)] {
    [let [pub] <Var>:<Type> ; ... ]
    [let const <Const>:<Type>=<Value> ; ... ]
    Var<==>(fn ([<Arg>|<Const>|<Var>, ...]) | (<Arg>|<Const>|<Var>)) ;
    return (<Var>, ...) ;
  } ; ...]
  fn main([[pub]<Arg>:<Type>, ...]) -> (<Type>, ...) {
    [let [pub] <Var>:<Type> ; ... ]
    [let const <Const>:<Type>=<Value> ; ... ]
    Var<==>(fn ([<Arg>|<Const>|<Var>, ...]) | (<Arg>|<Const>|<Var>)) ;
    return (<Var>, ...) ;
  } ;
}
```

Function arguments and variables are private by default, but can be declared as public by the `pub` specifier. Declaring arguments and variables as public always overwrites any previous or conflicting private declarations. Every argument, constant or variable has a type, and every type is defined as a function that transforms that type into another type:

```
type <TYPE>( t1 : <TYPE_1>) -> TYPE_2{
  let t2: TYPE_2 <== fn(TYPE_1)
  return t2
}
```

Many real-world circuit languages are based on a similar, but of course more sophisticated approach than PAPER. The purpose of PAPER is to show basic principles of circuit compilers and their associated high-level languages.

*Example 126.* To get a better understanding of the grammar of PAPER, the following constitutes proper high-level code that follows the grammar of the PAPER language, assuming that all types in that code have been defined elsewhere.

```
statement MOCK_CODE {F: F_43, N_1 = 1024, N_2 = 8} {
  fn foo(in_1 : F, pub in_2 : TYPE_2) -> F {
    let const c_1 : F = 0 ;
    let const c_2 : TYPE_2 = SOME_VALUE ;
    let pub out_1 : F ;
    out_1<== c_1 ;
    return out_1 ;
  } ;

  fn bar(pub in_1 : F) -> F {
    let out_1 : F ;
    out_1<==foo(in_1);
    return out_1 ;
  } ;
}
```

```

4916     } ;
4917
4918     fn main(in_1 : TYPE_1) -> (F, TYPE_2) {
4919         let const c_1 : TYPE_1 = SOME_VALUE ;
4920         let const c_2 : F = 2;
4921         let const c_3 : TYPE_2 = SOME_VALUE ;
4922         let pub out_1 : F ;
4923         let out_2 : TYPE_2 ;
4924         c_1 <== in_1 ;
4925         out_1 <== foo(c_2) ;
4926         out_2 <== TYPE_2 ;
4927         return (out_1, out_2) ;
4928     } ;
4929 }

```

### 7.1.2 The Execution Phases

In contrast to normal executable programs, programs for circuit compilers have two modes of execution. The first mode, usually called the **setup phase**, is executed in order to generate the circuit and its associated rank-1 constraint system, the latter of which is then usually used as input to some zero-knowledge proof system.

The second mode of execution is usually called the **prover phase**. In this phase, a prover usually computes a valid assignment to the circuit. Depending on the use case, this valid assignment is then either directly used as constructive proof for proper circuit execution or is transferred as input to the proof generation algorithm of some zero-knowledge proof system, where the full-sized, non hiding constructive proof is processed into a succinct proof with various levels of zero knowledge.

Modern circuit languages and their associated compilers abstract over those two phases and provide a unified **interphase** to the developer, who then writes a single program that can be used in both phases.

To give the reader a clear, conceptual distinction between the two phases, PAPER keeps them separated. Code can be “brain-compiled” during the **setup-phase** in a pen-and-paper approach into visual circuits. Once a circuit is derived, it can be executed in a **prover phase** to generate a valid assignment. The valid assignment is then interpreted as a constructive proof for a knowledge claim in the associated language.

**The Setup Phase** In PAPER, the task of the setup phase is to compile code in the PAPER language into a visual representation of an algebraic circuit. Deriving the circuit from the code in a pen-and-paper style is what we call **brain-compiling**.

Given some statement description that adheres to the correct grammar, we start circuit development with an empty circuit, compile the main function first and then inductively compile all other functions as they are called during the process.

For every function we compile, we draw a box-node for every argument, every variable and every constant of that function. If the node represents a variable, we label it with that variable’s name, and if it represents a constant, we label it with that constant’s value. We group arguments into a subgraph labeled “inputs” and return values into a subgraph labeled “outputs”. We then group everything into a subgraph and label that subgraph with the function’s name.

After this is done, we have to do a consistency and type check for every occurrence of the

assignment operator `<==`. We have to ensure that the expression on the right side of the operator is well defined and that the types of both side match.

Then we compile the right side of every occurrence of the assignment operator `<==`. If the right side is a constant or variable defined in this function, we draw a dotted line from the box-node that represents the left side of `<==` to the box node that represents the right side of the same operator. If the right side represents an argument of that function we draw a line from the box-node that represents the left side of `<==` to the box node that represents the right side of the same operator.

If the right side of the `<==` operator is a function, we look into our database, find its associated circuit and draw it. If no circuit is associated to that function yet, we repeat the compilation process for that function, drawing edges from the function's argument to its input nodes and from the functions output nodes to the nodes on the right side of `<==`.

During that process, edge labels are drawn according to the rules from 6.2.2.1. If the associated variable represents a private value, we use the *W* label to indicate a witness, and if it represents a public value, we use the *I* label to indicate an instance.

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Once this is done, we compile all occurring types in a function, by compiling the function of each type. We do this inductively until we reach the type of the base field. Circuits have no notion of types, only of field elements; hence, every type needs to be compiled to the field type in a sequence of compilation steps.

The compilation stops once we have inductively replaced all functions by their circuits. The result is a circuit that contains many unnecessary box nodes. In a final optimization step, all box nodes that are directly linked to each other are collapsed into a single node, and all box nodes that represent the same constants are collapsed into a single node.

Of course, PAPER's brain-compiler is not properly defined in any formal manner. Its purpose is to highlight important steps that real-world compilers undergo in their setup phases.

*Example 127 (A trivial Circuit).* To give an intuition of how to write and compile circuits in the PAPER language, consider the following statement description:

```
statement trivial_circuit {F:F_13} {
  fn main{F}(in1 : F, pub in2 : F) -> (F,F) {
    let const outc1 : F = 0 ;
    let const incl : F = 7 ;
    let out1 : F ;
    let out2 : F ;
    out1 <== incl;
    out2 <== in1;
    outc1 <== in2;
    return (out1, out2) ;
  }
}
```

To brain-compile this statement into an algebraic circuit with PAPER, we start with an empty circuit and evaluate function `main`, which is the only function in this statement.

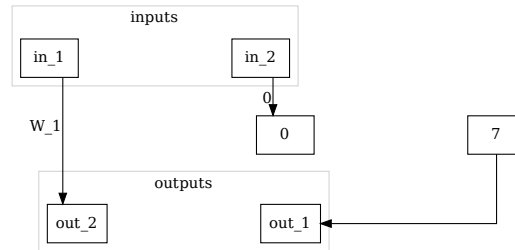
We draw box-nodes for every argument, every constant and every variable of the function and label them with their names or values, respectively. Then we do a consistency and type check for every `<==` operator in the function. Since the circuit only wires inputs to outputs and all elements have the same type, the check is valid.

Then we evaluate the right side of the assignment operators. Since, in our case, the right side of each operator is not a function, we draw edges from the box-nodes on the right side to the associated box node on the left side. To label those edges, we use the general rules of



algebraic circuits as defined in 6.2.2.1. According to those rules, every incoming edge of a sink node has a label and every outgoing edge of a source node has a label, if the node is labeled with a variable. Since nodes that represent constants are implicitly assumed to be private, and since the public specifier determines if an edge is labeled with  $W$  or  $I$ , we get the following circuit:

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**The Prover Phase** In PAPER, a so-called **prover phase** can be executed once the setup phase has generated a circuit image from its associated high-level code. This is done by executing the circuit while assigning proper values to all input nodes of the circuit. However, in contrast to most real-world compilers, PAPER does not tell the prover how to find proper input values to a given circuit. Real-world programming languages usually provide this data by computations that are done outside of the circuit.

*Example 128.* Consider the circuit from example 127. Valid assignments to this circuit are constructive proofs that the pair of inputs  $(S_1, S_2)$  is a point on the tiny-jubjub curve. However, the circuit does not provide a way to actually compute proper values for  $S_1$  and  $S_2$ . Any real-world system therefore needs an auxiliary computation that provides those values.

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## 7.2 Common Programing concepts

In this section, we cover concepts that appear in almost every programming language, and see how they can be implemented in circuit compilers.

### 7.2.1 Primitive Types

Primitive data types like booleans, (unsigned) integers, or strings are the most basic building blocks one can expect to find in every general high-level programming language. In order to write statements as computer programs that compile into circuits, it is therefore necessary to implement primitive types as constraint systems, and define their associated operations as circuits.

In this section, we look at some common ways to achieve this. After a recapitulation of the atomic type of prime field elements, we start with an implementation of the boolean type and its associated boolean algebra as circuits. After that, we define unsigned integers based on the boolean type, and leave the implementation of signed integers as an exercise to the reader.

It should be noted, however, that while primitive data types in common programming languages (like C, Go, or Rust) have a one-to-one correspondence with objects in the computer's memory, this is not the case for most languages that compile into algebraic circuits. As we will see in the following paragraphs, common primitives like booleans or unsigned integers require many constraints and memory. Primitives different from the underlying field elements can be expensive.

### The base-field type

Since both algebraic circuits and their associated rank-1 constraint systems are defined over a finite field, elements from that field are the atomic informational units in those models. In this sense, field elements  $x \in \mathbb{F}$  are for algebraic circuits what bits are for computers.

In PAPER, we write `F` for this type and specify the actual field instance for every statement in curly brackets after the name of that statement. Two functions are associated to this type, which are induced by the **addition** and **multiplication** law in the field `F`. We write

$$\text{MUL} : F \times F \rightarrow F ; (x, y) \mapsto \text{MUL}(x, y) \quad (7.1)$$

$$\text{ADD} : F \times F \rightarrow F ; (x, y) \mapsto \text{ADD}(x, y) \quad (7.2)$$

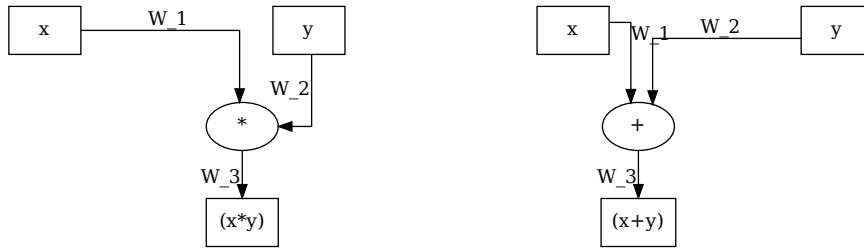
Circuit compilers have to compile these functions into algebraic gates, as explained in 6.2.2.2. Every other function has to be expressed in terms of them and proper wiring.

To represent addition and multiplication in the PAPER language, we define the following two functions:

```
fn MUL(x : F, y : F) -> (MUL(x, y) : F) {}
```

```
fn ADD(x : F, y : F) -> (ADD(x, y) : F) {}
```

The compiler then compiles every occurrence of the `MUL` or the `ADD` function into the following circuits:



*Example 129* (Basic gates). To give an intuition of how a real-world compiler might transform addition and multiplication in algebraic expressions into a circuit, consider the following PAPER statement:

```
statement basic_ops {F:F_13} {
  fn main(in_1 : F, pub in_2 : F) -> (out_1:F, out_2:F) {
    out_1 <== MUL(in_1, in_2) ;
    out_2 <== ADD(in_1, in_2) ;
  }
}
```

To compile this into an algebraic circuit, we start with an empty circuit and evaluate the function `main`, which is the only function in this statement.

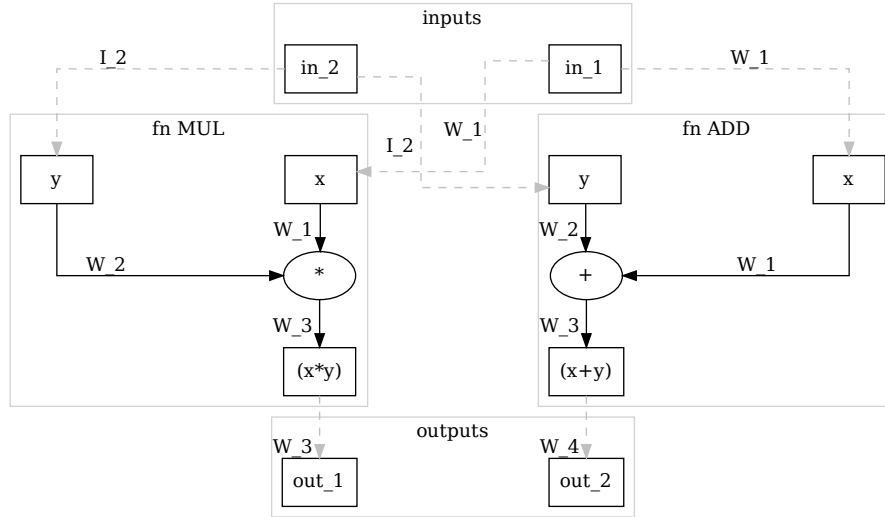
We draw an inputs subgraph containing box-nodes for every argument of the function, and an outputs subgraph containing box-nodes for every factor in the return value. Since all of these nodes represent variables of the `field` type, we don't have to add any type constraints to the circuit.

We check the validity of every expression on the right side of every `<==` operator including a type check. In our case, every variable is of the `field` type and hence the types match the types of the `MUL` as well as the `ADD` function and the type of the left sides of `<==` operators.

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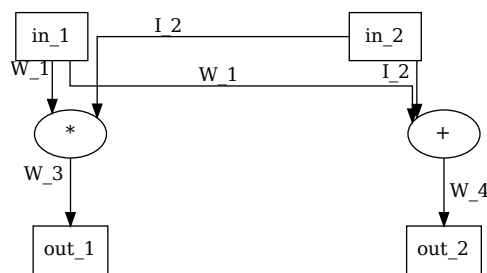
We evaluate the expressions on the right side of every `<==` operator inductively, replacing every occurrence of a function with a subgraph that represents its associated circuit.

According to PAPER, every occurrence of the `public` specifier overwrites the associate `private` default value. Using the appropriate edge labels we get:



Any real-world compiler might process its associated high-level language in a similar way, replacing functions, or gadgets by predefined associated circuits. This process is often followed by various optimization steps that try to reduce the number of constraints as much as possible.

In PAPER, we optimize this circuit by collapsing all box nodes that are directly connected to other box nodes, adhering to the rule that a variable's `public` specifier overwrites any `private` specifier. Reindexing edge labels, we get the following circuit as our pen and pencil compiler output:



*Example 130 (3-factorization).* Consider our 3-factorization problem from example 108 and the associated circuit  $C_{3.\text{fac\_zk}}(\mathbb{F}_{13})$  we provided in equation 6.8. To understand the process of replacing high-level functions by their associated circuits inductively, we want define a PAPER statement that we brain-compile into an algebraic circuit equivalent to  $C_{3.\text{fac\_zk}}(\mathbb{F}_{13})$ :

```
statement 3_fac_zk {F:F_13} {
  fn main(x_1 : F, x_2 : F, x_3 : F) -> (pub 3_fac_zk : F) {
    f_3.fac_zk <== MUL( MUL( x_1 , x_2 ) , x_3 ) ;
  }
}
```

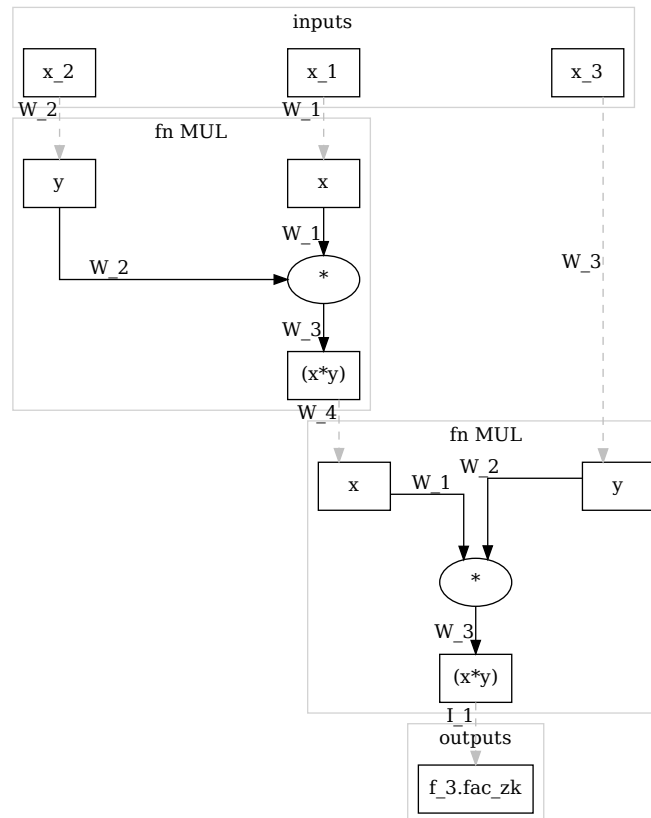
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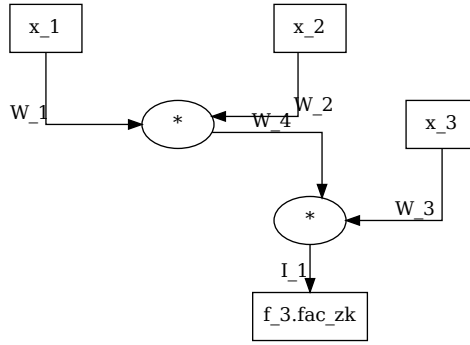
Using PAPER, we start with an empty circuit and then add 3 input nodes to the input subgraph as well as 1 output node to the output subgraph. All these nodes are decorated with the associated variable names. Since all of these nodes represent variables of the `field` type, we don't have to add any type constraints to the circuit.

We check the validity of every expression on the right side of the single `<==` operator including a type check.

We evaluate the expressions on the right side of every `<==` operator inductively. We have two nested multiplication functions and we replace them by the associated multiplication circuits, starting with the most outer function. We get:



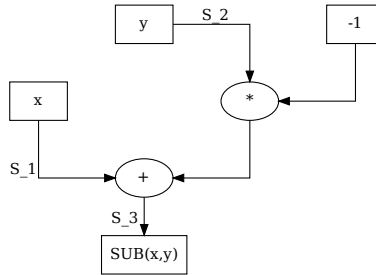
In a final optimization step, we collapse all box nodes directly connected to other box nodes, adhering to the rule that a variable's `public` specifier overwrites any `private` specifier. Reindexing edge labels we get the following circuit:



5112

5113 **The Subtraction Constraint System** By definition, algebraic circuits only contain addition  
 5114 and multiplication gates, and it follows that there is no single gate for field subtraction, despite  
 5115 the fact that subtraction is a native operation in every field.

5116 High-level languages and their associated circuit compilers, therefore, need another way to  
 5117 deal with subtraction. To see how this can be achieved, recall that subtraction is defined by addi-  
 5118 tion with the additive inverse, and that the inverse can be computed efficiently by multiplication  
 5119 with  $-1$ . A circuit for field subtraction is therefore given by



5120

5121 Using the general method from 6.2.1.1, the circuits associated rank-1 constraint system is given  
 5122 by:

$$(S_1 + (-1) \cdot S_2) \cdot 1 = S_3 \quad (7.3)$$

5123 Any valid assignment  $\{S_1, S_2, S_3\}$  to this circuit therefore enforces the value  $S_3$  to be the differ-  
 5124 ence  $S_1 - S_2$ .

5125 Real-world compilers usually provide a gadget or a function to abstract over this circuit  
 5126 such that programers can use subtraction as if it were native to circuits. In PAPER, we define  
 5127 the following subtraction function that compiles to the previous circuit:

```
5128 fn SUB(x : F, y : F) -> (SUB(x, y) : F) {
5129   constant c : F = -1 ;
5130   SUB <== ADD(x , MUL( y , c ) );
5131 }
```

5132 In the setup phase of a statement, we compile every occurrence of the SUB function into an  
 5133 instance of its associated subtraction circuit, and edge labels are generated according to the  
 5134 rules from 6.2.2.1.

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reference

**The Inversion Constraint System** By definition, algebraic circuits only contain addition and multiplication gates, and it follows that there is no single gate for field inversion, despite the fact that inversion is a native operation in every field.

If the underlying field is a prime field, one approach would be to use Fermat’s little theorem 3.3 to compute the multiplicative inverse inside the circuit. To see how this works, let  $\mathbb{F}_p$  be the prime field. The multiplicative inverse  $x^{-1}$  of a field element  $x \in \mathbb{F}$  with  $x \neq 0$  is then given by  $x^{-1} = x^{p-2}$ , and computing  $x^{p-2}$  in the circuit therefore computes the multiplicative inverse.

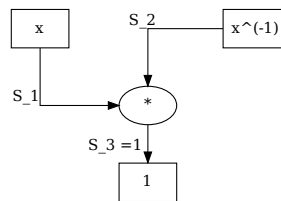
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Unfortunately, real-world primes  $p$  are large and computing  $x^{p-2}$  by repeated multiplication of  $x$  with itself is infeasible. A “double and multiply” approach (as described in XXX) is faster, as it computes the power in roughly  $\log_2(p)$  steps, but still adds a lot of constraints to the circuit.

add refer-  
ence

Computing inverses in the circuit makes no use of the fact that inversion is a native operation in any field. A more constraints friendly approach is therefore to compute the multiplicative inverse outside of the circuit and then only enforce correctness of the computation in the circuit.

To understand how this can be achieved, observe that a field element  $y \in \mathbb{F}$  is the multiplicative inverse of a field element  $x \in \mathbb{F}$  if and only if  $x \cdot y = 1$  in  $\mathbb{F}$ . We can use this, and define a circuit that has two inputs,  $x$  and  $y$ , and enforces  $x \cdot y = 1$ . It is then guaranteed that  $y$  is the multiplicative inverse of  $x$ . The price we pay is that we can not compute  $y$  by circuit execution, but auxiliary data is needed to tell any prover which value of  $y$  is needed for a valid circuit assignment. The following circuit defines the constraint



Using the general method from 6.2.1.1, the circuit is transformed into the following rank-1 constraint system:

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reference

$$S_1 \cdot S_2 = 1 \quad (7.4)$$

Any valid assignment  $\{S_1, S_2\}$  to this circuit enforces that  $S_2$  is the multiplicative inverse of  $S_1$ , and, since there is no field element  $S_2$  such that  $0 \cdot S_2 = 1$ , it also handles the fact that the multiplicative inverse of 0 is not defined in any field.

Real-world compilers usually provide a gadget or a function to abstract over this circuit, and those functions compute the inverse  $x^{-1}$  as part of their witness generation process. Programmers then don’t have to care about providing the inverse as auxiliary data to the circuit. In PAPER, we define the following inversion function that compiles to the previous circuit:

```
fn INV(x : F, y : F) -> (x_inv : F) {
  constant c : F = 1 ;
  c <== MUL( x , y ) ;
  x_inv <== y ;
}
```

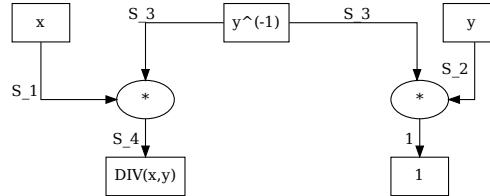
As we see, this functions takes two inputs, the field value and its inverse. It therefore does not handle the computation of the inverse by itself. This is to keep PAPER as simple as possible.

In the setup phase, we compile every occurrence of the INV function into an instance of the inversion circuit XXX, and edge labels are generated according to the rules from XXX.

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enceadd refer-  
ence

**The Division Constraint System** By definition, algebraic circuits only contain addition and multiplication gates, and it follows that there is no single gate for field division, despite the fact that division is a native operation in every field.

Implementing division as a circuit, we use the fact that division is multiplication with the multiplicative inverse. We therefore define division as a circuit using the inversion circuit and constraint system from the previous paragraph. Expensive inversion is computed outside of the circuit and then provided as circuit input. We get



Using the method from 6.2.1.1, we transform this circuit into the following rank-1 constraint system:

$$\begin{aligned} S_2 \cdot S_3 &= 1 \\ S_1 \cdot S_3 &= S_4 \end{aligned}$$

Any valid assignment  $\{S_1, S_2, S_3, S_4\}$  to this circuit enforces  $S_4$  to be the field division of  $S_1$  by  $S_2$ . It handles the fact that division by 0 is not defined, since there is no valid assignment in case  $S_2 = 0$ .

In PAPER, we define the following division function that compiles to the previous circuit:

```
fn DIV(x : F, y : F, y_inv : F) -> (DIV : F) {
  DIV <== MUL( x , INV( y, y_inv ) ) ;
}
```

In the setup phase, we compile every occurrence of the binary INV operator into an instance of the inversion circuit.

**Exercise 62.** Let  $F$  be the field  $\mathbb{F}_5$  of modular 5 arithmetics from example 14. Brain-compile the following PAPER statement into an algebraic circuit:

```
statement STUPID_CIRC {F: F_5} {
  fn foo(in_1 : F, in_2 : F)->(out_1 : F, out_2 : F){
    constant c_1 : F = 3 ;
    out_1<== ADD( MUL( c_1 , in_1 ) , in_1 ) ;
    out_2<== INV( c_1 , in_2 ) ;
  } ;

  fn main(in_1 : F, in_2 : F)->(out_1 : F, out_2 : TYPE_2){
    constant (c_1,c_2) : (F,F) = (3,2) ;
    (out_1,out_2) <== foo(in_1, in_2) ;
  } ;
}
```

**Exercise 63.** Consider the tiny-jubjub curve from example 68 and its associated circuit 127. Write a statement in PAPER that brain-compiles the statement into a circuit equivalent to the one derived in XXX, assuming that curve points are instances and every other assignment is a witness.

5208 *Exercise 64.* Let  $F = \mathbb{F}_{13}$  be the modular 13 prime field and  $x \in F$  some field element. Define a  
 5209 statement in PAPER such that given instance  $x$  a field element  $y \in F$  is a witness for the statement  
 5210 if and only if  $y$  is the square root of  $x$ .

5211 Brain-compile the statement into a circuit and derive its associated rank-1 constraint system.  
 5212 Consider the instance  $x = 9$  and compute a constructive proof for the statement.

### 5213 The boolean Type

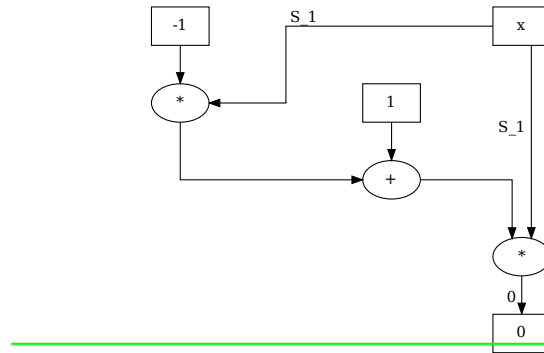
5214 Booleans are a classical primitive type, implemented by virtually every higher programing lan-  
 5215 guage. It is therefore important to implement booleans in circuits. One of the most common  
 5216 ways to do this is by interpreting the additive and multiplicative neutral element  $\{0, 1\} \subset \mathbb{F}$  as  
 5217 the two boolean values such that 0 represents *false* and 1 represents *true*. boolean operators  
 5218 like *and*, *or*, or *xor* are then expressible as algebraic computations inside  $\mathbb{F}$ .

5219 Representing booleans this way is convenient, because the elements 0 and 1 are defined in  
 5220 any field. The representation is therefore independent of the actual field in consideration.

5221 To fix boolean algebra notation, we write 0 to represent *false* and 1 to represent *true*, and  
 5222 we write  $\wedge$  to represent the boolean AND as well as  $\vee$  to represent the boolean OR operator.  
 5223 The boolean NOT operator is written as  $\neg$ .

5224 **The boolean Constraint System** To represent booleans by the additive and multiplicative  
 5225 neutral elements of a field, a constraint is required to actually enforce variables of boolean type  
 5226 to be either 1 or 0. In fact, many of the following circuits that represent boolean functions are  
 5227 only correct under the assumption that their input variables are constrained to be either 0 or 1.  
 5228 Not constraining boolean variables is a common problem in circuit design.

5229 In order to constrain an arbitrary field element  $x \in \mathbb{F}$  to be 1 or 0, the key observation is  
 5230 that the equation  $x \cdot (1 - x) = 0$  has only two solutions 0 and 1 in any field. Implementing this  
 5231 equation as a circuit therefore generates the correct constraint:



5232

Using the method from 6.2.1.1, we transform this circuit into the following rank-1 constraint system:

$$S_1 \cdot (1 - S_1) = 0$$

5233 Any valid assignment  $\{S_1\}$  to this circuit enforces  $S_1$  to be either 0 or 1.

5234 Some real-world circuit compilers (like ZOKRATES or BELLMAN) are typed, while others  
 5235 (like circom) are not. However, all of them have their way of dealing with the binary con-  
 5236 straint. In PAPER, we define the following boolean type that compiles to the previous circuit:

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reference



```

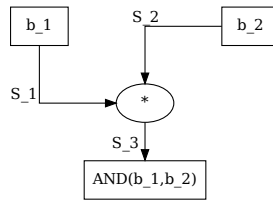
5237 type BOOL(b : BOOL) -> (x : F) {
5238     constant c1 : F = 0 ;
5239     constant c2 : F = 1 ;
5240     constant c3 : F = -1 ;
5241     c1 <== MUL( x , ADD( c2 , MUL( x , c3 ) ) ) ;
5242     x <== b ;
5243 }

```

5244 In the setup phase of a statement, we compile every occurrence of a variable of boolean type  
 5245 into an instance of its associated boolean circuit.

5246 **The AND operator constraint system** Given two field elements  $b_1$  and  $b_2$  from  $\mathbb{F}$  that are  
 5247 constrained to represent boolean variables, we want to find a circuit that computes the logical  
 5248 **and** operator  $AND(b_1, b_2)$  as well as its associated R1CS that enforces  $b_1, b_2, AND(b_1, b_2)$  to  
 5249 satisfy the constraint system if and only if  $b_1 \wedge b_2 = AND(b_1, b_2)$  holds true.

5250 The key insight here is that, given three boolean constraint variables  $b_1, b_2$  and  $b_3$ , the  
 5251 equation  $b_1 \cdot b_2 = b_3$  is satisfied in  $\mathbb{F}$  if and only if the equation  $b_1 \wedge b_2 = b_3$  is satisfied in  
 5252 boolean algebra. The logical operator  $\wedge$  is therefore implementable in  $\mathbb{F}$  by field multiplication  
 5253 of its arguments and the following circuit computes the  $\wedge$  operator in  $\mathbb{F}$ , assuming all inputs are  
 5254 restricted to be 0 or 1:



5255

5256 The associated rank-1 constraint system can be deduced from the general process 6.2.1.1 and  
 5257 consists of the following constraint:

$$S_1 \cdot S_2 = S_3 \quad (7.5)$$

check  
reference

5258 Common circuit languages typically provide a gadget or a function to abstract over this circuit  
 5259 such that programers can use the  $\wedge$  operator without caring about the associated circuit. In  
 5260 PAPER, we define the following function that compiles to the  $\wedge$ -operator's circuit:

```

5261 fn AND(b_1 : BOOL, b_2 : BOOL) -> AND(b_1, b_2) : BOOL{
5262     AND(b_1, b_2) <== MUL( b_1 , b_2 ) ;
5263 }

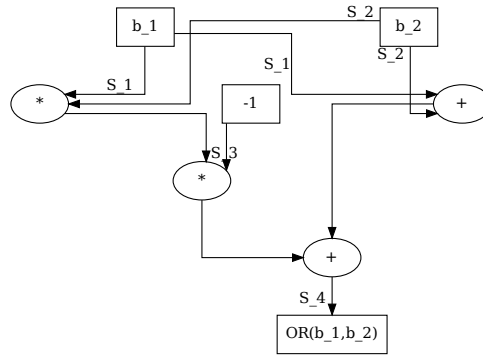
```

5264 In the setup phase of a statement, we compile every occurrence of the AND function into an  
 5265 instance of its associated  $\wedge$ -operator's circuit.

5266 **The OR operator constraint system** Given two field elements  $b_1$  and  $b_2$  from  $\mathbb{F}$  that are  
 5267 constrained to represent boolean variables, we want to find a circuit that computes the logical  
 5268 **or** operator  $OR(b_1, b_2)$  as well as its associated R1CS that enforces  $b_1, b_2, OR(b_1, b_2)$  to satisfy  
 5269 the constraint system if and only if  $b_1 \vee b_2 = OR(b_1, b_2)$  holds true.

5270 Assuming that three variables  $b_1, b_2$  and  $b_3$  are boolean constraint, the equation  $b_1 + b_2 - b_1 \cdot$   
 5271  $b_2 = b_3$  is satisfied in  $\mathbb{F}$  if and only if the equation  $b_1 \vee b_2 = b_3$  is satisfied in boolean algebra.  
 5272 The logical operator  $\vee$  is therefore implementable in  $\mathbb{F}$  by the following circuit, assuming all  
 5273 inputs are restricted to be 0 or 1:

"constraints"  
or "con-  
strained"?



5274

The associated rank-1 constraint system can be deduced from the general process 6.2.1.1 and consists of the following constraints:

check  
reference

$$\begin{aligned} S_1 \cdot S_2 &= S_3 \\ (S_1 + S_2 - S_3) \cdot 1 &= S_4 \end{aligned}$$

5275 Common circuit languages typically provide a gadget or a function to abstract over this circuit  
5276 such that programers can use the  $\vee$  operator without caring about the associated circuit. In  
5277 PAPER, we define the following function that compiles to the  $\vee$ -operator's circuit:

```
5278 fn OR(b_1 : BOOL, b_2 : BOOL) -> OR(b_1,b_2) : BOOL{
5279   constant c1 : F = -1 ;
5280   OR(b_1,b_2) <== ADD(ADD(b_1,b_2),MUL(c1,MUL(b_1,b_2))) ;
5281 }
```

5282 In the setup phase of a statement, we compile every occurrence of the OR function into an  
5283 instance of its associated  $\vee$ -operator's circuit.

5284 *Exercise 65.* Let  $\mathbb{F}$  be a finite field and let  $b_1$  as well as  $b_2$  two boolean constraint variables from  
5285  $\mathbb{F}$ . Show that the equation  $OR(b_1, b_2) = 1 - (1 - b_1) \cdot (1 - b_2)$  holds true.

5286 Use this equation to derive an algebraic circuit with ingoing variables  $b_1$  and  $b_2$  and out-  
5287 going variable  $OR(b_1, b_2)$  such that  $b_1$  and  $b_2$  are boolean **constraint** and the circuit has a valid  
5288 assignment, if and only if  $OR(b_1, b_2) = b_1 \vee b_2$ .

"constraints"  
or "con-  
strained"?

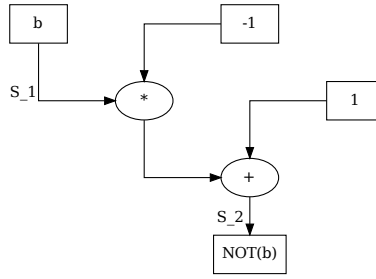
5289 Use the technique from XXX to transform this circuit into a rank-1 constraint system and  
5290 find its full solution set. Define a PAPER function that brain-compiles into the circuit.

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ence

5291 **The NOT operator constraint system** Given a field element  $b$  from  $\mathbb{F}$  that is constrained to  
5292 represent a boolean variable, we want to find a circuit that computes the logical **NOT** operator  
5293  $NOT(b)$  as well as its associated RICS that enforces  $b, NOT(b)$  to satisfy the constraint system  
5294 if and only if  $\neg b = NOT(b)$  holds true.

5295 Assuming that two variables  $b_1$  and  $b_2$  are boolean **constraint**, the equation  $(1 - b_1) = b_2$  is  
5296 satisfied in  $\mathbb{F}$  if and only if the equation  $\neg b_1 = b_2$  is satisfied in boolean algebra. The logical  
5297 operator  $\neg$  is therefore implementable in  $\mathbb{F}$  by the following circuit, assuming all inputs are  
5298 restricted to be 0 or 1:

"constraints"  
or "con-  
strained"?



5299

The associated rank-1 constraint system can be deduced from the general process XXX and consists of the following constraints

add reference

$$(1 - S_1) \cdot 1 = S_2$$

5300 Common circuit languages typically provide a gadget or a function to abstract over this circuit  
 5301 such that programers can use the  $\neg$  operator without caring about the associated circuit. In  
 5302 PAPER, we define the following function that compiles to the  $\neg$ -operator's circuit:

```
5303 fn NOT(b : BOOL -> NOT(b) : BOOL{
5304   constant c1 = 1 ;
5305   constant c2 = -1 ;
5306   NOT(b_1) <== ADD( c1 , MUL( c2 , b ) ) ;
5307 }
```

5308 In the setup phase of a statement, we compile every occurrence of the NOT function into an  
 5309 instance of its associated  $\neg$ -operator's circuit.

5310 *Exercise 66.* Let  $\mathbb{F}$  be a finite field. Derive the algebraic circuit and associated rank-1 constraint  
 5311 system for the following operators: NOR, XOR, NAND, EQU.

5312 **Modularity** As we have seen in chapter 6,, both algebraic circuits and R1CS have a modular-  
 5313 ity property, and as we have seen in this section, all basic boolean functions are expressible in  
 5314 circuits. Combining those two properties, show that it is possible to express arbitrary boolean  
 5315 functions as algebraic circuits.

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5316 This shows that the expressiveness of algebraic circuits and therefore rank-1 constraint sys-  
 5317 tems is as general as the expressiveness of boolean circuits. An important implication is that  
 5318 the languages  $L_{R1CS-SAT}$  and  $L_{Circuit-SAT}$  as defined in 6, are as general as the famous language  
 5319  $L_{3-SAT}$ , which is known to be  $\mathcal{NP}$ -complete.

check reference

5320 *Example 131.* To give an example of how a compiler might construct complex boolean expres-  
 5321 sions in algebraic circuits from simple ones and how we derive their associated rank-1 constraint  
 5322 systems, let's look at the following PAPER statement:

```
5323 statement BOOLEAN_STAT {F: F_p} {
5324   fn main(b_1:BOOL,b_2:BOOL,b_3:BOOL,b_4:BOOL )-> pub b_5:BOOL {
5325     b_5 <== AND( OR( b_1 , b_2 ) , AND( b_3 , NOT( b_4 ) ) ) ;
5326   } ;
5327 }
```

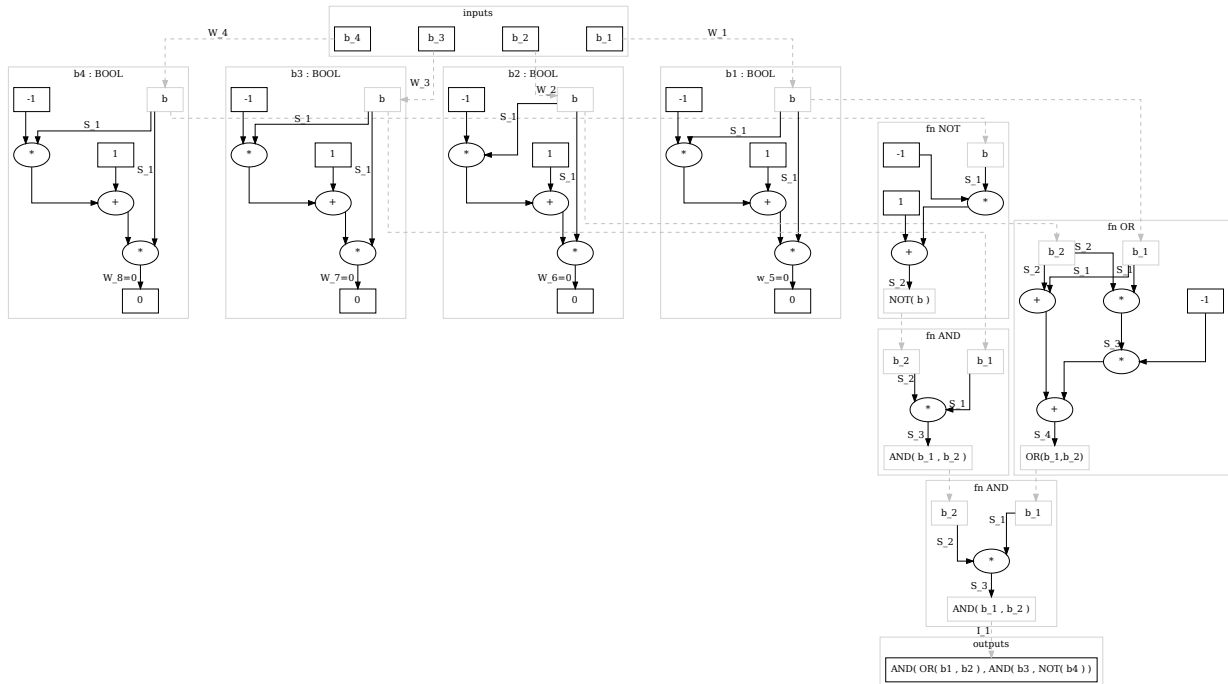
The code describes a circuit that takes four private inputs  $b_1, b_2, b_3$  and  $b_4$  of boolean type and computes a public output  $b_5$  such that the following boolean expression holds true:

$$(b_1 \vee b_2) \wedge (b_3 \wedge \neg b_4) = b_5$$

During a setup-phase, a circuit compiler transforms this high-level language statement into a circuit and associated rank-1 constraint systems and hence defines a language  $L_{BOOLEAN\_STAT}$ .

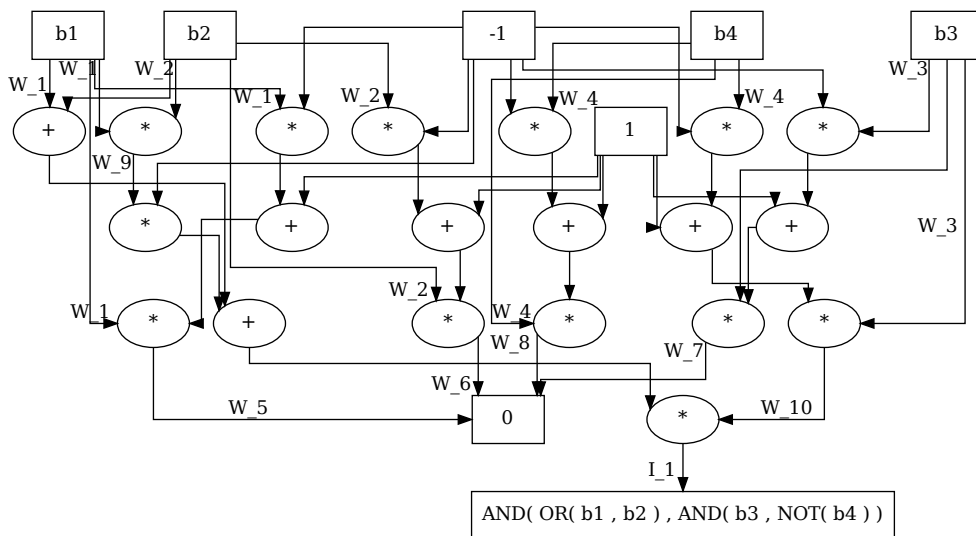
To see how this might be achieved, we use PAPER as an example to execute the setup-phase and compile `BOOLEAN_STAT` into a circuit. Taking the definition of the boolean constraint `XXX` as well as the definitions of the appropriate boolean operators into account, we get the following circuit:

add reference



Simple optimization then collapses all box-nodes that are directly linked and all box nodes that represent the same constants. After relabeling the edges, the following circuit represents the circuit associated to the `BOOLEAN_STAT` statement:

can we rotate this by 90°?



5342 Given some public input  $I_1$  from  $\mathbb{F}_{13}$ , a valid assignment to this circuit consists of private inputs  
 5343  $W_1, W_2, W_3, W_4$  from  $\mathbb{F}_{13}$  such that the equation  $I_1 = (W_1 \vee W_2) \wedge (W_3 \wedge \neg W_4)$  holds true. In  
 5344 addition, a valid assignment also has to contain private inputs  $W_5, W_6, W_7, W_8, W_9$  and  $W_{10}$ ,  
 5345 which can be derived from circuit execution. The inputs  $W_5, \dots, W_8$  ensure that the first four  
 5346 private inputs are either 0 or 1 but not any other field element, and the others enforce the boolean  
 5347 operations in the expression.

To compute the associated R1CS, we can use the general method from 6.2.1.1 and look at every labeled outgoing edge not coming from a source node. We declare the edges coming from input nodes as well as the edge going to the single output node as public, and every other edge as private input. In this case we get:

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$$\begin{aligned}
 W_5 : W_1 \cdot (1 - W_1) &= 0 && \text{boolean constraints} \\
 W_6 : W_2 \cdot (1 - W_2) &= 0 \\
 W_7 : W_3 \cdot (1 - W_3) &= 0 \\
 W_8 : W_4 \cdot (1 - W_4) &= 0 \\
 W_9 : W_1 \cdot W_2 &= W_9 && \text{first OR-operator constraint} \\
 W_{10} : W_3 \cdot (1 - W_4) &= W_{10} && \text{AND(.,NOT(.))-operator constraints} \\
 I_1 : (W_1 + W_2 - W_9) \cdot W_{10} &= I_1 && \text{AND-operator constraints}
 \end{aligned}$$

5348 The reason why this R1CS only contains a single constraint for the multiplication gate in the  
 5349 OR-circuit, while the general definition XXX requires two constraints, is that the second con-  
 5350 straint in XXX only appears because the final addition gate is connected to an output node. In  
 5351 this case, however, the final addition gate from the OR-circuit is enforced in the left factor of  
 5352 the  $I_1$  constraint. Something similar holds true for the negation circuit.

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During a prover-phase, some public instance  $I_5$  must be given. To compute a constructive proof for the statement of the associated languages with respect to instance  $I_5$ , a prover has to find four boolean values  $W_1, W_2, W_3$  and  $W_4$  such that

$$(W_1 \vee W_2) \wedge (W_3 \wedge \neg W_4) = I_5$$

5353 holds true. In our case neither the circuit nor the PAPER statement specifies how to find those  
 5354 values, and it is a problem that any prover has to solve outside of the circuit. This might or  
 5355 might not be true for other problems, too. In any case, once the prover found those values, they  
 5356 can execute the circuit to find a valid assignment.

To give a concrete example, let  $I_1 = 1$  and assume  $W_1 = 1, W_2 = 0, W_3 = 1$  and  $W_4 = 0$ . Since  $(1 \vee 0) \wedge (1 \wedge \neg 0) = 1$ , those values satisfy the problem and we can use them to execute the circuit. We get

$$\begin{aligned}
 W_5 &= W_1 \cdot (1 - W_1) = 0 \\
 W_6 &= W_2 \cdot (1 - W_2) = 0 \\
 W_7 &= W_3 \cdot (1 - W_3) = 0 \\
 W_8 &= W_4 \cdot (1 - W_4) = 0 \\
 W_9 &= W_1 \cdot W_2 = 0 \\
 W_{10} &= W_3 \cdot (1 - W_4) = 1 \\
 I_1 &= (W_1 + W_2 - W_9) \cdot W_{10} = 1
 \end{aligned}$$

5357 A constructive proof of knowledge of a witness, for instance,  $I_1 = 1$ , is therefore given by the  
 5358 tuple  $P = (W_5, W_6, W_7, W_8, W_9, W_{10}) = (0, 0, 0, 0, 0, 1)$ .

## Arrays

The `array` type represents a fixed-size collection of elements of equal type, each selectable by one or more indices that can be computed at run time during program execution.

Arrays are a classical type, implemented by many higher programming languages that compile to circuits or rank-1 constraint systems. However, most high-level circuit languages support **static** arrays, i.e., arrays whose length is known at compile time only.

The most common way to compile arrays to circuits is to transform any array of a given type  $\tau$  and size  $N$  into  $N$  circuit variables of type  $\tau$ . Arrays are therefore **syntactic sugar**, that is, parts of the formal language that makes the code easier for humans to read, which the compiler transforms into input nodes, much like any other variable. In PAPER, we define the following array type:

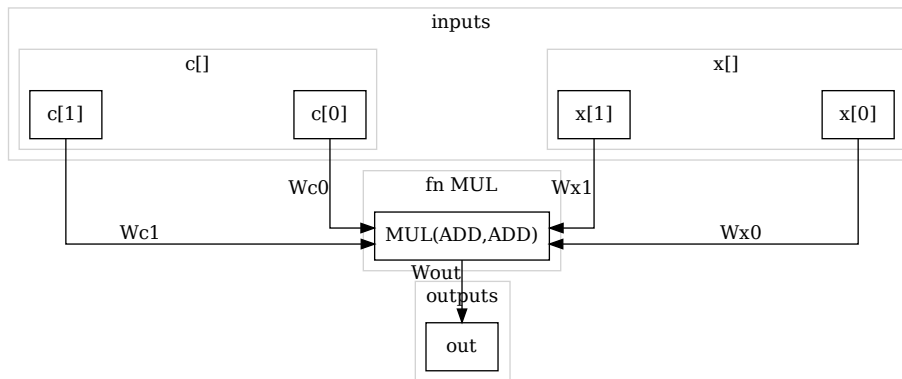
```
type <Name>: <Type>[N : unsigned] -> (Type,...) {
  return (<Name>[0],...)
}
```

In the setup phase of a statement, we compile every occurrence of an array of size  $N$  that contains elements of type `Type` into  $N$  variables of type `Type`.

*Example 132.* To give an intuition of how a real-world compiler might transform arrays into circuit variables, consider the following PAPER statement:

```
statement ARRAY_TYPE {F: F_5} {
  fn main(x: F[2]) -> F {
    let constant c: F[2] = [2,4] ;
    let out:F <== MUL(ADD(x[1],c[0]),ADD(x[0],c[1])) ;
    return out ;
  } ;
}
```

During a setup phase, a circuit compiler might then replace any occurrence of the array type by a tuple of variables of the underlying type, and then use those variables in the circuit synthesis process instead. To see how this can be achieved, we use PAPER as an example. Abstracting over the sub-circuit of the computation, we get the following circuit:



## The Unsigned Integer Type

Unsigned integers of size  $N$ , where  $N$  is usually a power of two, represent non-negative integers in the range  $0 \dots 2^N - 1$ . They have a notion of addition, subtraction and multiplication, defined

5392 by modular  $2^N$  arithmetics. If some  $N$  is given, we write  $\text{uN}$  for the associated type.

5393 **The  $\text{uN}$  Constraint System** Many high-level circuit languages define the the various  $\text{uN}$  types  
 5394 as arrays of size  $N$ , where each element is of boolean type. This is similar to their representa-  
 5395 tion on common computer hardware and allows for efficient and straightforward definition of  
 5396 common operators, like the various **shift**, or logical operators.

shift

5397 If some unsigned integer  $N$  is known at compile time in PAPER, we define the following  $\text{uN}$   
 5398 type:

```
5399 type uN -> BOOL[N] {
5400   let base2 : BOOL[N] <== BASE_2 (uN) ;
5401   return base2 ;
5402 }
```

To enforce an  $N$ -tuple of field elements  $(b_0, \dots, b_{N-1})$  to represent an element of type  $\text{uN}$  we therefore need  $N$  boolean constraints

$$\begin{aligned} S_0 \cdot (1 - S_0) &= 0 \\ S_1 \cdot (1 - S_1) &= 0 \\ &\dots \\ S_{N-1} \cdot (1 - S_{N-1}) &= 0 \end{aligned}$$

5403 In the setup phase of a statement, we compile every occurrence of the  $\text{uN}$  type by a size  $N$  array  
 5404 of boolean type. During a=the prover phase, actual elements of the  $\text{uN}$  type are first transformed  
 5405 into binary representation and then this binary representation is assigned to the boolean array  
 5406 that represents the  $\text{uN}$  type.

5407 *Remark 8.* Representing the  $\text{uN}$  type as boolean arrays is conceptually clean and works over  
 5408 generic base fields. However, representing unsigned integers in this way requires a lot of space  
 5409 as every bit is represented as a field element and if the base field is large, those field elements  
 5410 require considerable space in hardware.

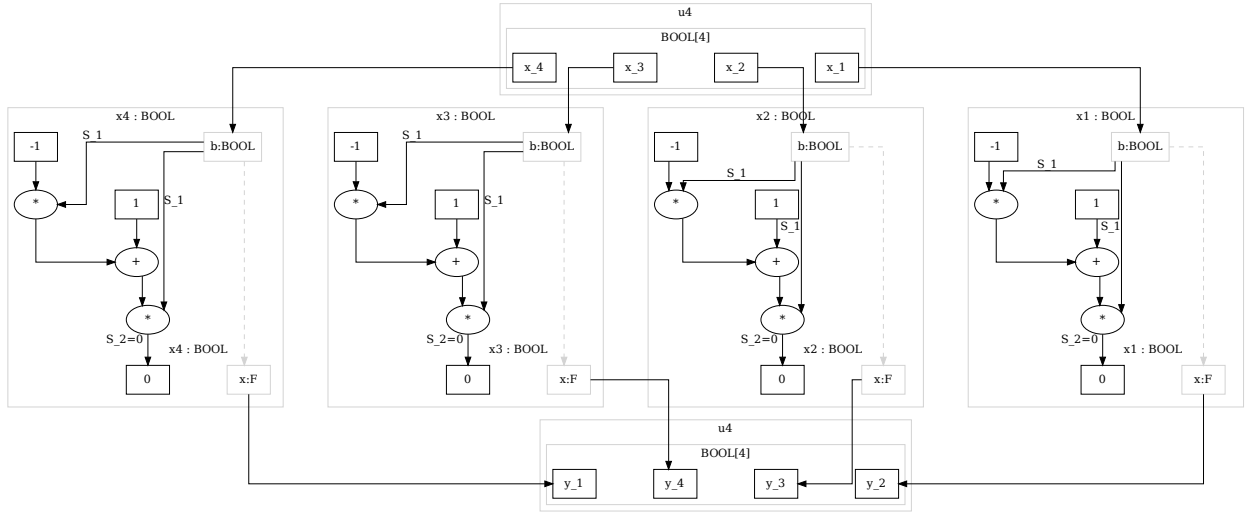
5411 It should be noted that, in some cases, there is another, more space- and constraint-efficient  
 5412 approach for representing unsigned integers that can be used whenever the underlying base field  
 5413 is sufficiently large. To understand this, recall that addition and multiplication in a prime field  
 5414  $\mathbb{F}_p$  is equal to addition and multiplication of integers, as long as the sum or the product does  
 5415 not exceed the modulus  $p$ . It is therefore possible to represent the  $\text{uN}$  type inside the base-field  
 5416 type whenever  $N$  is small enough. In this case, however, care has to be taken to never overflow  
 5417 the modulus. It is also important to make sure that, in the case of subtraction, the subtrahend is  
 5418 never larger than the minuend.

5419 *Example 133.* To give an intuition of how a real-world compiler might transform unsigned  
 5420 integers into circuit variables, consider the following PAPER statement:

```
5421 statement RING_SHIFT{F: F_p, N=4} {
5422   fn main(x: uN) -> uN {
5423     let y:uN <== [x[1], x[2], x[3], x[0]] ;
5424     return y ;
5425   } ;
5426 }
```

5427 During the setup-phase, a circuit compiler might then replace any occurrence of the  $\text{uN}$  type  
 5428 by  $N$  variables of `boolean` type. Using the definition of booleans, each of these variables is

then transformed into the `field` type and a boolean constraint system. To see how this can be achieved, we use PAPER as an example and get the following circuit:



During the prover phase, the function `main` is called with an actual input of `u4` type, say  $x=14$ . The high-level language then has to transform the decimal value 14 into its 4-bit binary representation  $14_2 = (0, 1, 1, 1)$  outside of the circuit. Then the array of field values  $x[4] = [0, 1, 1, 1]$  is used as an input to the circuit. Since all 4 field elements are either 0 or 1, the four boolean constraints are satisfiable and the output is an array of the four field elements  $[1, 1, 1, 0]$ , which represents the `u4` element 7.

**The Unigned Integer Operators** Since elements of `uN` type are represented as boolean arrays, shift operators are implemented in circuits simply by rewiring the boolean input variables to the output variables accordingly.

Logical operators, like AND, OR, or NOT are defined on the `uN` type by invoking the appropriate boolean operators bitwise to every bit in the boolean array that represents the `uN` element.

Addition and multiplication can be represented similarly to how machines represent those operations. Addition can be implemented by first defining the **full adder** circuit and then combining  $N$  of these circuits into a circuit that adds two elements from the `uN` type.

**Exercise 67.** Let  $F = \mathbb{F}_{13}$  and  $N=4$  be fixed. Define circuits and associated R1CS for the left and right **bishift** operators  $x \ll 2$  as well as  $x \gg 2$  that operate on the `uN` type. Execute the associated circuit for  $x : u4 = 11$ .

**Exercise 68.** Let  $F = \mathbb{F}_{13}$  and  $N=2$  be fixed. Define a circuit and associated R1CS for the addition operator  $\text{ADD} : F \times F \rightarrow F$ . Execute the associated circuit to compute  $\text{ADD}(2, 7)$ .

**Exercise 69.** Brain-compile the following PAPER code into a circuit and derive the associated R1CS.

```
statement MASK_MERGE {F:F_5, N=4} {
  fn main(pub a : uN, pub b : uN) -> F {
    let constant mask : uN = 10 ;
    let r : uN <== XOR(a, AND(XOR(a, b), mask)) ;
    return r ;
  }
}
```



```
5460     }
5461 }
```

5462 Let  $L_{mask\_merge}$  be the language defined by the circuit. Provide a constructive knowledge proof  
5463 in  $L_{mask\_merge}$  for the instance  $I = (I_a, I_b) = (14, 7)$ .

## 5464 7.2.2 Control Flow

5465 Most programming languages of the imperative or functional style have some notion of basic  
5466 control structures to direct the order in which instructions are evaluated. Contemporary circuit  
5467 compilers usually provide a single thread of execution and provide basic flow constructs that  
5468 implement control flow in circuits.

### 5469 The Conditional Assignment

5470 Writing high-level code that compiles to circuits, it is often necessary to have a way for condi-  
5471 tional assignment of values or computational output to variables.

5472 One way to realize this in many programming languages is in terms of the conditional  
5473 ternary assignment operator  $?:$  that branches the control flow of a program according to some  
5474 condition and then assigns the output of the computed branch to some variable.

```
5475 variable = condition ? value_if_true : value_if_false
```

5476 In this description, `condition` is a boolean expression and `value_if_true` as well as  
5477 `value_if_false` are expressions that evaluate to the same type as `variable`.

5478 In programming languages like Rust, another way to write the conditional assignment oper-  
5479 ator that is more familiar to many programmers is given by

```
5480 variable = if condition then {
5481     value_if_true
5482 } else {
5483     value_if_false
5484 }
```

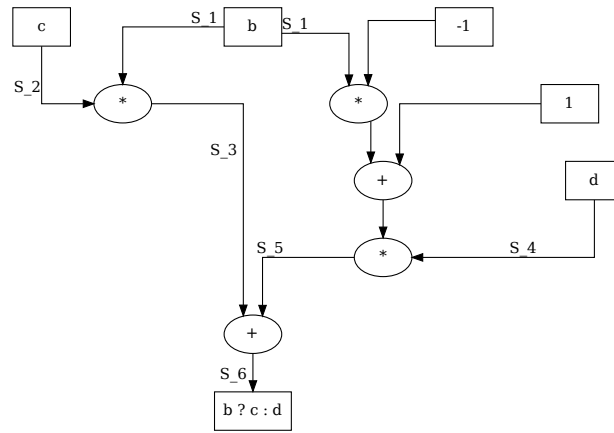
5485 In most programming languages, it is a key property of the ternary assignment operator that  
5486 the expression `value_if_true` is only evaluated if `condition` evaluates to true and the  
5487 expression `value_if_false` is only evaluated if `condition` evaluates to false. In fact,  
5488 computer programs would turn out to be very inefficient if the ternary operator would evaluate  
5489 both expressions regardless of the value of `condition`.

5490 A simple way to implement conditional assignment operator as a circuit can be achieved  
5491 if the requirement that only one branch of the conditional operator is executed is dropped. To  
5492 see that, let  $b$ ,  $c$  and  $d$  be field elements such that  $b$  is a boolean constraint. In this case, the  
5493 following equation enforces a field element  $x$  to be the result of the conditional assignment  
5494 operator:

$$x = b \cdot c + (1 - b) \cdot d \quad (7.6)$$

5495 Expressing this equation in terms of the addition and multiplication operators from XXX, we  
5496 can flatten it into the following algebraic circuit:

add refer-  
ence



5497

5498 Note that, in order to compute a valid assignment to this circuit, both  $S_2$  as well as  $S_4$  are  
 5499 necessary. If the inputs to the nodes  $c$  and  $d$  are circuits themselves, both circuits need valid  
 5500 assignments and therefore have to be executed. As a consequence, this implementation of  
 5501 the conditional assignment operator has to execute all branches of all circuits, which is very  
 5502 different from the execution of common computer programs and contributes to the increased  
 5503 computational effort any prover has to invest, in contrast to the execution in other programming  
 5504 models.

We can use the general technique from 6.2.1.1 to derive the associated rank-1 constraint system of the conditional assignment operator. We get the following:

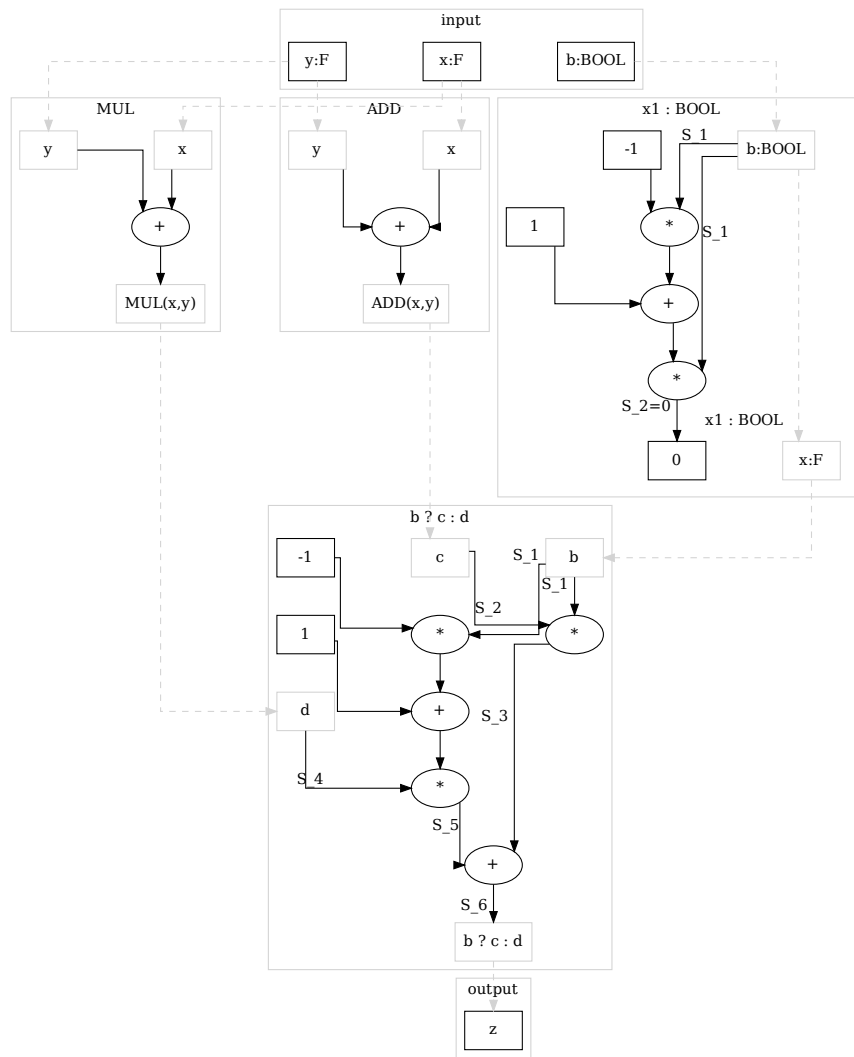
check  
reference

$$\begin{aligned} S_1 \cdot S_2 &= S_3 \\ (1 - S_1) \cdot S_4 &= S_5 \\ (S_3 + S_5) \cdot 1 &= S_6 \end{aligned}$$

5505 *Example 134.* To give an intuition of how a real-world circuit compiler might transform any  
 5506 high-level description of the conditional assignment operator into a circuit, consider the follow-  
 5507 ing PAPER code:

```
5508 statement CONDITIONAL_OP {F:F_p} {
5509   fn main(x : F, y : F, b : BOOL) -> F {
5510     let z : F <== if b then {
5511       ADD(x,y)
5512     } else {
5513       MUL(x,y)
5514     } ;
5515     return z ;
5516   }
5517 }
```

5518 Brain-compiling this code into a circuit, we first draw box nodes for all input and output vari-  
 5519 ables, and then transform the boolean type into the field type together with its associated con-  
 5520 straint. Then we evaluate the assignments to the output variables. Since the conditional assign-  
 5521 ment operator is the top level function, we draw its circuit and then draw the circuits for both  
 5522 conditional expressions. We get the following:



5523

## 5524 Loops

5525 In many programming languages, various loop control structures are defined that allow devel-  
 5526 opers to execute expressions with a specified number of repetitions or arguments. In particular,  
 5527 it is often possible to implement unbounded loops like the loop structure give below, where the  
 5528 number of executions depends on execution inputs and is therefore unknown at compile time:

```
5529 while true do { }
5530
```

5531 **M:** Add another example where the loop actually depends on the input.

Add ex-  
ample

5532 In contrast to this, it should be noted that algebraic circuits and rank-1 constraint systems  
 5533 are not general enough to express arbitrary computation, but bounded computation only. As a  
 5534 consequence, it is not possible to implement unbounded loops, or loops with bounds that are  
 5535 unknown at compile time in those models. This can be easily seen since circuits are acyclic  
 5536 by definition, and implementing an unbounded loop as an acyclic graph requires a circuits of  
 5537 unbounded size.

5538 However, circuits are general enough to express bounded loops, where the upper bound on  
 5539 its execution is known at compile time. Those loop can be implemented in circuits by enrolling  
 5540 the loop.

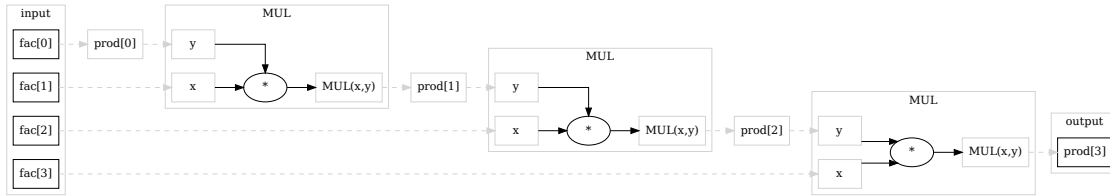
As a consequence, any programming language that compiles to algebraic circuits can only provide loop structures where the bound is a constant known at compile time. This implies that loops cannot depend on execution inputs, but on compile time parameters only.

*Example 135.* To give an intuition of how a real-world circuit compiler might transform any high-level description of a bounded `for` loop into a circuit, consider the following PAPER code:

```
statement FOR_LOOP {F:F_p, N: unsigned = 4} {
  fn main(fac : F[N]) -> F {
    let prod[N] : F ;
    prod[0] <== fac[0] ;
    for unsigned i in 1..N do [{
      prod[i] <== MUL(fac[i], prod[i-1]) ;
    }]
    return prod[N] ;
  }
}
```

Note that, in a program like this, the loop counter `i` has no expression in the derived circuit. It is pure syntactic sugar, telling the compiler how to unroll the loop.

Brain-compiling this code into a circuit, we first draw box nodes for all input and output variables, noting that the loop counter is not represented in the circuit. Since all variables are of `field` type, we don't have to compile any type constraints. Then we evaluate the assignments to the output variables by unrolling the loop into 3 individual assignment operators. We get:



### 7.2.3 Binary Field Representations

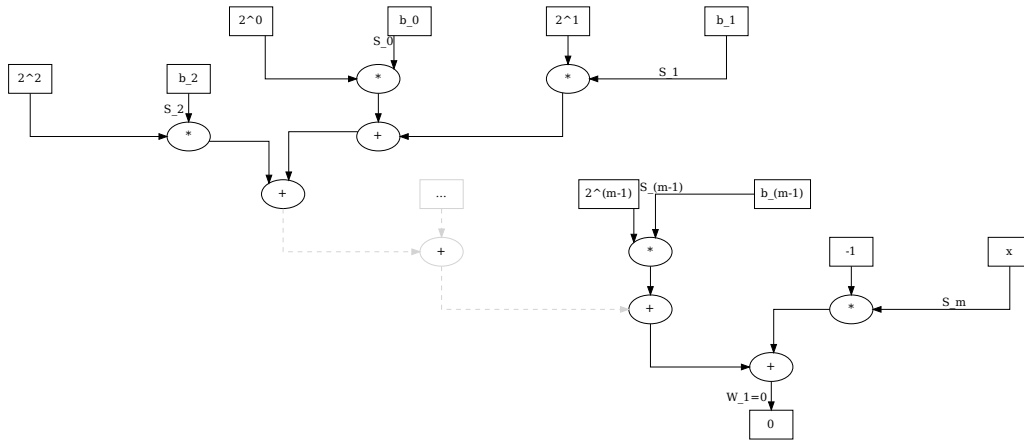
In applications, it is often necessary to enforce a binary representation of elements from the `field` type. To derive an appropriate circuit over a prime field  $\mathbb{F}_p$ , let  $m = \lceil \log_2 p \rceil$  be the smallest number of bits necessary to represent the prime modulus  $p$ . Then a bitstring  $(b_0, \dots, b_{m-1}) \in \{0, 1\}^m$  is a binary representation of a field element  $x \in \mathbb{F}_p$ , if and only if

$$x = b_0 \cdot 2^0 + b_1 \cdot 2^1 + \dots + b_{m-1} \cdot 2^{m-1}$$

In this expression, addition and exponentiation is considered to be executed in  $\mathbb{F}_p$ , which is well defined since all terms  $2^j$  for  $0 \leq j < m$  are elements of  $\mathbb{F}_p$ . Note, however, that in contrast to the binary representation of unsigned integers  $n \in \mathbb{N}$ , this representation is not unique in general, since the modular  $p$  equivalence class might contain more than one binary representative.

Considering that the underlying prime field is fixed and the most significant bit of the prime modulus is  $m$ , the following circuit flattens equation XXX, assuming all inputs  $b_1, \dots, b_m$  are of boolean type.

add reference



5572

Applying the general transformation rule to compute the associated rank-1 constraint systems, we see that we actually only need a single constraint to enforce some binary representation of any field element. We get

$$(S_0 \cdot 2^0 + S_1 \cdot 2^1 + \dots + S_{m-1} \cdot 2^{m-1} - S_m) \cdot 1 = 0$$

5573 Given an array `BOOL[N]` of  $N$  boolean constraint field elements and another field element  $x$ ,  
 5574 the circuit enforces `BOOL[N]` to be one of the binary representations of  $x$ . If `BOOL[N]` is not  
 5575 a binary representation of  $x$ , no valid assignment and hence no solution to the associated R1CS  
 5576 can exist.

5577 *Example 136.* Consider the prime field  $\mathbb{F}_{13}$ . To compute binary representations of elements  
 5578 from that field, we start with the binary representation of the prime modulus 13, which is  $|13|_2 =$   
 5579  $(1, 0, 1, 1)$  since  $13 = 1 \cdot 2^0 + 0 \cdot 2^1 + 1 \cdot 2^2 + 1 \cdot 2^3$ . So  $m = 4$  and we need up to 4 bits to represent  
 5580 any element  $x \in \mathbb{F}_{13}$ .

To see that binary representations are not unique in general, consider the element  $2 \in \mathbb{F}_{13}$ . It has the binary representations  $|2|_2 = (0, 1, 0, 0)$  and  $|2|_2 = (1, 1, 1, 1)$ , since in  $\mathbb{F}_{13}$  we have

$$2 = \begin{cases} 0 \cdot 2^0 + 1 \cdot 2^1 + 0 \cdot 2^2 + 0 \cdot 2^3 \\ 1 \cdot 2^0 + 1 \cdot 2^1 + 1 \cdot 2^2 + 1 \cdot 2^3 \end{cases}$$

5581 This is because the unsigned integers 2 and 15 are both in the modular 13 remainder class of 2  
 5582 and hence are both representatives of 2 in  $\mathbb{F}_{13}$ .

To see how circuit XXX works, we want to enforce the binary representation of  $7 \in \mathbb{F}_{13}$ . Since  $m = 4$  we have to enforce a 4-bit representation for 7, which is  $(1, 1, 1, 0)$ , since  $7 = 1 \cdot 2^0 + 1 \cdot 2^1 + 1 \cdot 2^2 + 0 \cdot 2^3$ . A valid circuit assignment is therefore given by  $(S_0, S_1, S_2, S_3, S_4) = (1, 1, 1, 0, 7)$  and, indeed, the assignment satisfies the required 5 constraints including the 4 boolean constraints for  $S_0, \dots, S_3$ :

$$\begin{aligned} 1 \cdot (1 - 1) &= 0 & // \text{boolean constraints} \\ 1 \cdot (1 - 1) &= 0 \\ 1 \cdot (1 - 1) &= 0 \\ 0 \cdot (1 - 0) &= 0 \\ (1 + 2 + 4 + 0 - 7) \cdot 1 &= 0 & // \text{binary rep. constraint} \end{aligned}$$

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ence

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$$(12 \cdot S_4 + S_5 + 10 \cdot S_3 + 1) \cdot 1 = 0$$

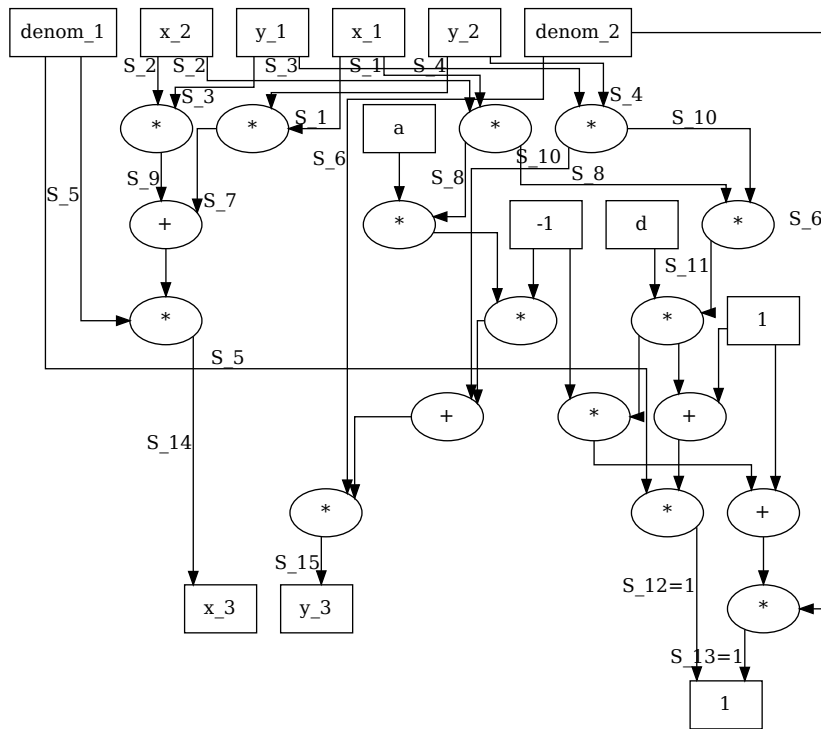
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**Twisted Edwards curve addition** As we have seen in 5.1.3, a major advantage of twisted Edwards curves is the existence of an addition law that contains no branching and is valid for all curve points. Moreover, the neutral element is not “at infinity” but the actual curve point  $(0, 1)$ . In fact, given two points  $(x_1, y_1)$  and  $(x_2, y_2)$  on a twisted Edwards curve, their sum is defined as

$$(x_3, y_3) = \left( \frac{x_1 y_2 + y_1 x_2}{1 + d \cdot x_1 x_2 y_1 y_2}, \frac{y_1 y_2 - a \cdot x_1 x_2}{1 - d \cdot x_1 x_2 y_1 y_2} \right)$$

We can use the division circuit from XXX to flatten this equation into an algebraic circuit. Inputs to the circuit are then not only the two curve points  $(x_1, y_1)$  and  $(x_2, y_2)$ , but also the two denominators  $denum_1 = 1 + d \cdot x_1 x_2 y_1 y_2$  as well as  $denum_2 = 1 - d \cdot x_1 x_2 y_1 y_2$ , which any prover needs to compute outside of the circuit. We get



Using the general technique from XXX to derive the associated rank-1 constraint system, we get the following result:

$$\begin{aligned} S_1 \cdot S_4 &= S_7 \\ S_1 \cdot S_2 &= S_8 \\ S_2 \cdot S_3 &= S_9 \\ S_3 \cdot S_4 &= S_{10} \\ S_8 \cdot S_{10} &= S_{11} \\ S_5 \cdot (1 + d \cdot S_{11}) &= 1 \\ S_6 \cdot (1 - d \cdot S_{11}) &= 1 \\ S_5 \cdot (S_9 + S_7) &= S_{14} \\ S_6 \cdot (S_{10} - a \cdot S_8) &= S_{15} \end{aligned}$$

5610 *Exercise 71.* Let  $\mathbb{F}$  be a field. Define a circuit that enforces field inversion for a point of a  
5611 twisted Edwards curve over  $\mathbb{F}$ .



## Chapter 8

# Zero Knowledge Protocols

A so-called **zero-knowledge protocol** is a set of mathematical rules by which one party (usually called **the prover**) can convince another party (usually called **the verifier**) that a given statement is true, while not revealing any additional information apart from the truth of the statement.

As we have seen in chapter 6, given some language  $L$  and instance  $I$ , the knowledge claim “there is a witness  $W$  such that  $(I; W)$  is a word in  $L$ ” is constructively provable by providing  $W$  to the verifier. However, the challenge for a zero-knowledge protocol is to prove knowledge of a witness without revealing any information beyond its bare existence.

In this chapter, we look at various systems that exist to solve this task. We start with an introduction to the basic concepts and terminology in zero-knowledge proving systems and then introduce the so-called Groth\_16 protocol as one of the most efficient systems. We plan to update this chapter with new inventions in future versions of this book.

add reference

## 8.1 Proof Systems

From an abstract point of view, a proof system is a set of rules which models the generation and exchange of messages between two parties: a prover and a verifier. Its task is to ascertain whether a given string belongs to a formal language or not.

Proof systems are often classified by certain trust assumptions and the computational capabilities of both parties. In its most general form, the prover usually possesses unlimited computational resources but cannot be trusted, while the verifier has bounded computation power but is assumed to be honest.

Proving the membership statement for some string is executed by the generation of certain messages that are sent between prover and verifier, until the verifier is convinced that the string is an element of the language in consideration.

To be more specific, let  $\Sigma$  be an alphabet, and let  $L$  be a formal language defined over  $\Sigma$ . Then a **proof system** for language  $L$  is a pair of probabilistic interactive algorithms  $(P, V)$ , where  $P$  is called the **prover** and  $V$  is called the **verifier**.

Both algorithms are able to send messages to one another, and each algorithm has its own state, some shared initial state and access to the messages. The verifier is bounded to a number of steps which is polynomial in the size of the shared initial state, after which it stops and outputs either `accept` or `reject` indicating that it accepts or rejects a given string to be in  $L$ . In contrast, there are bounds on the computational power of the prover.

When the execution of the verifier algorithm stops the following conditions are required to hold:

- (Completeness) If the tuple  $x \in \Sigma^*$  is a word in language  $L$  and both prover and verifier follow the protocol, the verifier outputs `accept`.
- (Soundness) If the tuple  $x \in \Sigma^*$  is not a word in language  $L$  and the verifier follows the protocol, the verifier outputs `reject`, except with some small probability.

In addition, a proof system is called **zero-knowledge** if the verifier learns nothing about  $x$  other than  $x \in L$ .

The previous definition of proof systems is very general, and many subclasses of proving systems are known in the field. The type of languages that a proof system can support crucially depends on the abilities of the verifier (for example, whether it can make random choices) or on the nature and number of the messages that can be exchanged. If the system only requires to send a single message from the prover to the verifier, the proof system is called **non-interactive**, because no interaction other than sending the actual proof is required. In contrast, any other proof system is called **interactive**.

A proof system is usually called **succinct** if the size of the proof is shorter than the witness necessary to generate the proof. Moreover, a proof system is called **computationally sound** if soundness only holds under the assumption that the computational capabilities of the prover are polynomially bound. To distinguish general proofs from computationally sound proofs, the latter are often called **arguments**. Zero-knowledge, succinct, non-interactive arguments of knowledge claims are often abbreviated **zk-SNARKs**.

*Example 137 (Constructive Proofs for Algebraic Circuits).* To formalize our previous notion of constructive proofs for algebraic circuits, let  $\mathbb{F}$  be a finite field, and let  $C(\mathbb{F})$  be an algebraic circuit over  $\mathbb{F}$  with associated language  $L_{C(\mathbb{F})}$ . A non-interactive proof system for  $L_{C(\mathbb{F})}$  is given by the following two algorithms:

Given some instance  $I$ , the prover algorithm  $P$  uses its unlimited computational power to compute a witness  $W$  such that the pair  $(I; W)$  is a valid assignment to  $C(\mathbb{F})$  whenever the circuit is satisfiable for  $I$ . The prover then sends the constructive proof  $(I; W)$  to the verifier.

On receiving a message  $(I; W)$ , the verifier algorithm  $V$  assigns the constructive proof  $(I; W)$  to circuit  $C(\mathbb{F})$ , and decides whether the assignment is valid by executing all gates in the circuit. The runtime is polynomial in the number of gates. If the assignment is valid, the verifier returns `accepts`, if not, it returns `reject`.

To see that this proof system has the completeness and soundness properties, let  $C(\mathbb{F})$  be a circuit of the field  $\mathbb{F}$ , and let  $I$  be an instance. The circuit may or may not have a witness  $W$  such that  $(I; W)$  is a valid assignment to  $C(\mathbb{F})$ .

If no  $W$  exists,  $I$  is not part of any word in  $L_{C(\mathbb{F})}$ , and there is no way for  $P$  to generate a valid assignment. It follows that the verifier will not accept any claimed proof sent by  $P$ , which implies that the system has **soundness**.

If, on the other hand,  $W$  exists and  $P$  is honest,  $P$  can use its unlimited computational power to compute  $W$  and send  $(I; W)$  to  $V$ , which  $V$  will accept in polynomial time. This implies that the system has **completeness**.

The system is non-interactive because the prover only sends a single message to the verifier, which contains the proof itself. Because in this simple system the witness itself is the proof, the proof system is **not** succinct.

## 8.2 The “Groth16” Protocol

In chapter 6, we have introduced algebraic circuits, their associated rank-1 constraint systems and their induced quadratic arithmetic programs. These models define formal languages, and

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associated memberships and knowledge claims can be constructively proofed by executing the circuit to compute a solution to its associated R1CS. The solution can then be transformed into a polynomial such that the polynomial is divisible by another polynomial if and only if the solution is correct.

In [\[1\]](#), Jens Groth provides a method that can transform those proofs into zero-knowledge succinct non-interactive arguments of knowledge. Assuming that the pairing groups  $(\mathbb{G}_1, \mathbb{G}_2, \mathbb{G}_T, b)$  are given, the arguments are of constant size and consist of 2 elements from  $\mathbb{G}_1$  and a single element from  $\mathbb{G}_2$ , regardless of the size of the witness. They are zero-knowledge in the sense that the verifier learns nothing about the witness beside the fact that the instance-witness pair is a proper word in the language of the problem.

Verification is non-interactive and needs to compute a number of exponentiations proportional to the size of the instance, together with 3 group pairings in order to check a single equation.

The generated argument is perfectly zero-knowledge has perfect completeness and soundness in the generic bilinear group model, assuming the existence of a trusted third party that executes a preprocessing phase to generate a **common reference string** and a **simulation trapdoor**. This party must be trusted to delete the simulation trapdoor, since everyone in possession of it can simulate proofs.

To be more precise, let  $R$  be a rank-1 constraint system defined over some finite field  $\mathbb{F}_r$ . Then **Groth\_16 parameters** for  $R$  are given by the following set:

$$\text{Groth\_16} - \text{Param}(R) = (r, \mathbb{G}_1, \mathbb{G}_2, e(\cdot, \cdot), g_1, g_2) \quad (8.1)$$

In the equation above,  $\mathbb{G}_1$  and  $\mathbb{G}_2$  are finite cyclic groups of order  $r$ ,  $g_1$  is a generator of  $\mathbb{G}_1$ ,  $g_2$  is a generator of  $\mathbb{G}_2$  and  $e : \mathbb{G}_1 \times \mathbb{G}_2 \rightarrow \mathbb{G}_T$  is a non-degenerate, bilinear pairing for some target group  $\mathbb{G}_T$ . In real-world applications, the parameter set is usually agreed on in advance.

Given some Groth\_16 parameters, a **Groth\_16 protocol** is then a quadruple of probabilistic polynomial algorithms (SETUP, PROVE, VFY, SIM) such that the following conditions hold:

- (Setup-Phase):  $(CRS, \tau) \leftarrow \text{Setup}(R)$ : Algorithm Setup takes the R1CS  $R$  as input and computes a common reference string  $CRS$  and a simulation trapdoor  $\tau$ .
- (Prover-Phase):  $\pi \leftarrow \text{Prove}(R, CRS, I, W)$ : Given a constructive proof  $(I, W)$  for  $R$ , algorithm Prove takes the R1CS  $R$ , the common reference string  $CRS$  and the constructive proof  $(I, W)$  as input and computes an zk-SNARK  $\pi$ .
- Verify:  $\{\text{accept}, \text{reject}\} \leftarrow \text{Vfy}(R, CRS, I, \pi)$ : Algorithm Vfy takes the R1CS  $R$ , the common reference string  $CRS$ , the instance  $I$  and the zk-SNARK  $\pi$  as input and returns reject or accept.
- $\pi \leftarrow \text{Sim}(R, \tau, CRS, I)$ : Algorithm Sim takes the R1CS  $R$ , the common reference string  $CRS$ , the simulation trapdoor  $\tau$  and the instance  $I$  as input and returns a zk-SNARK  $\pi$ .

We will explain these algorithms together with detailed examples in the remainder of this section.

Assuming a trusted third party for the setup, the protocol is able to compute a zk-SNARK from a constructive proof for  $R$ , provided that  $r$  is sufficiently large, and, in particular, larger than the number of constraints in the associated R1CS.

**Example 138** (The 3-Factorization Problem). Consider the 3-factorization problem from 108 and its associated algebraic circuit and rank-1 constraint system from 6.8. In this example,

we want to agree on a parameter set  $(R, r, \mathbb{G}_1, \mathbb{G}_2, e(\cdot, \cdot), g_1, g_2)$  in order to use the Groth\_16 protocol for our 3-factorization problem.

To find proper parameters, first observe that the circuit XXX, as well as its associated R1CS  $R_{3.fac\_zk}$  ex:3-factorization-r1cs and the derived QAP 6.14, are defined over the field  $\mathbb{F}_{13}$ . We therefore have  $r = 13$  and need pairing groups  $\mathbb{G}_1$  and  $\mathbb{G}_2$  of order 13.

We know from 5.4 that the moon-math curve BLS6\_6 has two subgroups  $\mathbb{G}_1[13]$  and  $\mathbb{G}_2[13]$ , which are both of order 13. The associated Weil pairing  $b$  (5.45) is a proper bilinear map. We therefore choose those groups and the Weil pairing together with the generators  $g_1 = (13, 15)$  and  $g_2 = (7v^2, 16v^3)$  of  $\mathbb{G}_1[13]$  and  $\mathbb{G}_2[13]$ , as a parameter:

$$\text{Groth\_16} - \text{Param}(R_{3.fac\_zk}) = (r, \mathbb{G}_1[13], \mathbb{G}_2[13], e(\cdot, \cdot), (13, 15), (7v^2, 16v^3))$$

It should be noted that our choice is not unique. Every pair of finite cyclic groups of order 13 that has a proper bilinear pairing qualifies as a Groth\_16 parameter set. The situation is similar to real-world applications, where SNARKs with equivalent behavior are defined over different curves, used in different applications.

**The Setup Phase** To generate zk-SNARKs from constructive knowledge proofs in the Groth16 protocol, a preprocessing phase is required. This has to be executed a single time for every rank-1 constraint system and any associated quadratic arithmetic program. The outcome of this phase is a common reference string that prover and verifier need in order to generate and verify the zk-SNARK. In addition, a simulation trapdoor is produced that can be used to simulate proofs.

To be more precise, let  $L$  be a language defined by some rank-1 constraint system  $R$  such that a constructive proof of knowledge for an instance  $(I_1, \dots, I_n)$  in  $L$  consists of a witness  $(W_1, \dots, W_m)$ . Let  $QAP(R) = \{T \in \mathbb{F}[x], \{A_j, B_j, C_j \in \mathbb{F}[x]\}_{j=0}^{n+m}\}$  be a quadratic arithmetic program associated to  $R$ , and let  $\{\mathbb{G}_1, \mathbb{G}_2, e(\cdot, \cdot), g_1, g_2, \mathbb{F}_r\}$  be the set of Groth\_16 parameters.

The setup phase then samples 5 random, **inverible** elements  $\alpha, \beta, \gamma, \delta$  and  $s$  from the scalar field  $\mathbb{F}_r$  of the protocol and outputs the **simulation trapdoor**  $\tau$ :

$$\tau = (\alpha, \beta, \gamma, \delta, s) \quad (8.2)$$

In addition, the setup phase uses those 5 random elements together with the two generators  $g_1$  and  $g_2$  and the quadratic arithmetic program to generate a **common reference string**  $CRS_{QAP} = (CRS_{\mathbb{G}_1}, CRS_{\mathbb{G}_2})$  of language  $L$ :

$$CRS_{\mathbb{G}_1} = \left\{ g_1^\alpha, g_1^\beta, g_1^\delta, \left( g_1^{s^j}, \dots \right)_{j=0}^{deg(T)-1}, \left( g_1^{\frac{\beta \cdot A_j(s) + \alpha \cdot B_j(s) + C_j(s)}{\gamma}}, \dots \right)_{j=0}^n, \left( g_1^{\frac{\beta \cdot A_{j+n}(s) + \alpha \cdot B_{j+n}(s) + C_{j+n}(s)}{\delta}}, \dots \right)_{j=1}^m, \left( g_1^{\frac{s^j \cdot T(s)}{\delta}}, \dots \right)_{j=0}^{deg(T)-2} \right\}$$

$$CRS_{\mathbb{G}_2} = \left\{ g_2^\beta, g_2^\gamma, g_2^\delta, \left( g_2^{s^j}, \dots \right)_{j=0}^{deg(T)-1} \right\}$$

Common reference strings depend on the simulation trapdoor, and are therefore not unique to the problem. Any language can have more than one common reference string. The size of a common reference string is linear in the size of the instance and the size of the witness.

If a simulation trapdoor  $\tau = (\alpha, \beta, \gamma, \delta, s)$  is given, we call the element  $s$  a **secret evaluation point** of the protocol, because if  $\mathbb{F}_r$  is the scalar field of the finite cyclic groups  $\mathbb{G}_1$  and  $\mathbb{G}_2$ , then

a key feature of any common reference string is that it provides data to compute the evaluation of any polynomial  $P \in \mathbb{F}_r[x]$  of degree  $\deg(P) < \deg(T)$  at the point  $s$  in the exponent of the generator  $g_1$  or  $g_2$ , without knowing  $s$ .

To be more precise, let  $s$  be the secret evaluation point and let  $P(x) = a_0 \cdot x^0 + a_1 \cdot x^1 + \dots + a_k \cdot x^k$  be a polynomial of degree  $k < \deg(T)$  with coefficients in  $\mathbb{F}_r$ . Then we can compute  $g_1^{P(s)}$  without knowing what the actual value of  $s$  is:

$$\begin{aligned} g_1^{P(s)} &= g_1^{a_0 \cdot s^0 + a_1 \cdot s^1 + \dots + a_k \cdot s^k} \\ &= g_1^{a_0 \cdot s^0} \cdot g_1^{a_1 \cdot s^1} \cdot \dots \cdot g_1^{a_k \cdot s^k} \\ &= \left(g_1^{s^0}\right)^{a_0} \cdot \left(g_1^{s^1}\right)^{a_1} \cdot \dots \cdot \left(g_1^{s^k}\right)^{a_k} \end{aligned}$$

In this expression, all group points  $g_1^{s^j}$  are part of the common reference string, hence, they can be used to compute the result. The same holds true for the evaluation of  $g_2^{P(s)}$ , since the  $\mathbb{G}_2$  part of the common reference string contains the points  $g_2^{s^j}$ .

In real-world applications, the simulation trapdoor is often called the **toxic waste** of the setup-phase, while a common reference string is also-called the pair of **prover and verifier key**.

In order to make the protocol secure, the setup needs to be executed in a way that guarantees that the simulation trapdoor is deleted. Anyone in possession of it can generate arguments without knowledge of a constructive proof. The most simple approach to achieving deletion of the toxic waste is by a so-called **trusted third party**, where the trust assumption is that that the party generates the common reference string precisely as defined and deletes the simulation backdoor afterwards.

However, as trusted third parties are not easy to find, more sophisticated protocols exist in real-world applications. They execute the setup phase as a multi party computation, where the proper execution can be publicly verified and the simulation trapdoor is deleted if at least one participant deletes their individual contribution to the randomness. Each participant only possesses a fraction of the simulation trapdoor, so it can only be recovered if all participants collude and share their fraction.

*Example 139* (The 3-factorization Problem). To see how the setup phase of a Groth\_16 zk-SNARK can be computed, consider the 3-factorization problem from 108 and the parameters from page 192. As we have seen in 6.14, an associated quadratic arithmetic program is given as follows:

$$QAP(R_{3, fac\_zk}) = \{x^2 + x + 9, \{0, 0, 6x + 10, 0, 0, 7x + 4\}, \{0, 0, 0, 6x + 10, 7x + 4, 0\}, \{0, 7x + 4, 0, 0, 0, 6x + 10\}\}$$

To transform this QAP into a common reference string, we choose the field elements  $\alpha = 6$ ,  $\beta = 5$ ,  $\gamma = 4$ ,  $\delta = 3$ ,  $s = 2$  from  $\mathbb{F}_{13}$ . In real-world applications, it is important to sample those values randomly from the scalar field, but in our approach, we choose those non-random values to make them more memorizable, which helps in pen-and-paper computations. Our simulation trapdoor is then given as follows:

$$\tau = (6, 5, 4, 3, 2)$$

We keep this secret in order to simulate proofs later on, but we are careful though to hide  $\tau$  from anyone who hasn't read this book. Then we instantiate the common reference string XXX

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5781 from those values. Since our groups are subgroups of the  $\text{BLS}_{6\_6}$  elliptic curve, we use scalar  
 5782 product notation instead of exponentiation.

To compute the  $\mathbb{G}_1$  part of the common reference string, we use the logarithmic order of the group  $\mathbb{G}_1$  XXX, the generator  $g_1 = (13, 15)$ , as well as the values from the simulation backdoor. Since  $\deg(T) = 2$ , we get the following:

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$$\begin{aligned} [\alpha]g_1 &= [6](13, 15) = (27, 34) \\ [\beta]g_1 &= [5](13, 15) = (26, 34) \\ [\delta]g_1 &= [3](13, 15) = (38, 15) \end{aligned}$$

To compute the rest of the  $\mathbb{G}_1$  part of the common reference string, we expand the indexed tuples and insert the secret random elements from the simulation backdoor. We get the following:

$$\begin{aligned} \left( [s^j]g_1, \dots \right)_{j=0}^1 &= ([2^0](13, 15), [2^1](13, 15)) \\ &= ((13, 15), (33, 34)) \\ \left( \left[ \frac{\beta A_j(s) + \alpha B_j(s) + C_j(s)}{\gamma} \right]g_1, \dots \right)_{j=0}^1 &= \left( \left[ \frac{5A_0(2) + 6B_0(2) + C_0(2)}{4} \right](13, 15), \right. \\ &\quad \left. \left[ \frac{5A_1(2) + 6B_1(2) + C_1(2)}{4} \right](13, 15) \right) \\ \left( \left[ \frac{\beta A_{j+n}(s) + \alpha B_{j+n}(s) + C_{j+n}(s)}{\delta} \right]g_1, \dots \right)_{j=1}^4 &= \left( \left[ \frac{5A_2(2) + 6B_2(2) + C_2(2)}{3} \right](13, 15), \right. \\ &\quad \left[ \frac{5A_3(2) + 6B_3(2) + C_3(2)}{3} \right](13, 15), \\ &\quad \left[ \frac{5A_4(2) + 6B_4(2) + C_4(2)}{3} \right](13, 15), \\ &\quad \left. \left[ \frac{5A_5(2) + 6B_5(2) + C_6(2)}{3} \right](13, 15) \right) \\ \left( \left[ \frac{s^j \cdot T(s)}{\delta} \right]g_1 \right)_{j=0}^0 &= \left( \left[ \frac{2^0 \cdot T(2)}{3} \right](13, 15) \right) \end{aligned}$$

To compute the curve points on the right side of these expressions, we need the polynomials from the associated quadratic arithmetic program and evaluate them on the secret point  $s = 2$ .



Since  $4^{-1} = 10$  and  $3^{-1} = 9$  in  $\mathbb{F}_{13}$ , we get the following:

$$\left\lfloor \frac{5A_0(2) + 6B_0(2) + C_0(2)}{4} \right\rfloor(13, 15) = [(5 \cdot 0 + 6 \cdot 0 + 0) \cdot 10](13, 15) = [0](13, 15) =$$

$\emptyset$

$$\left\lfloor \frac{5A_1(2) + 6B_1(2) + C_1(2)}{4} \right\rfloor(13, 15) = [(5 \cdot 0 + 6 \cdot 0 + (7 \cdot 2 + 4)) \cdot 10](13, 15) = [11](13, 15) =$$

(33, 9)

$$\left\lfloor \frac{5A_2(2) + 6B_2(2) + C_2(2)}{3} \right\rfloor(13, 15) = [(5 \cdot (6 \cdot 2 + 10) + 6 \cdot 0 + 0) \cdot 9](13, 15) = [2](13, 15) =$$

(33, 34)

$$\left\lfloor \frac{5A_3(2) + 6B_3(2) + C_3(2)}{3} \right\rfloor(13, 15) = [(5 \cdot 0 + 6 \cdot (6 \cdot 2 + 10) + 0) \cdot 9](13, 15) = [5](13, 15) =$$

(26, 34)

$$\left\lfloor \frac{5A_4(2) + 6B_4(2) + C_4(2)}{3} \right\rfloor(13, 15) = [(5 \cdot 0 + 6 \cdot (7 \cdot 2 + 4) + 0) \cdot 9](13, 15) = [10](13, 15) =$$

(38, 28)

$$\left\lfloor \frac{5A_5(2) + 6B_5(2) + C_5(2)}{3} \right\rfloor(13, 15) = [(5 \cdot (7 \cdot 2 + 4) + 6 \cdot 0 + 0) \cdot 9](13, 15) = [4](13, 15) =$$

(35, 28)

$$\left\lfloor \frac{2^0 \cdot T(2)}{3} \right\rfloor(13, 15) = [1 \cdot (2^2 + 2 + 9) \cdot 9](13, 15) = [5](13, 15) =$$

(26, 34)

Putting all those values together, we see that the  $\mathbb{G}_1$  part of the common reference string is given by the following set of 12 points from the  $\text{BLS6\_6}$  13-torsion group  $\mathbb{G}_1$ :

$$CRS_{\mathbb{G}_1} = \left\{ \begin{array}{l} (27, 34), (26, 34), (38, 15), \left( (13, 15), (33, 34) \right), \left( \emptyset, (33, 9) \right) \\ \left( (33, 34), (26, 34), (38, 28), (35, 28) \right), \left( (26, 34) \right) \end{array} \right\}$$

To compute the  $\mathbb{G}_2$  part of the common reference string, we use the logarithmic order of the group  $\mathbb{G}_2$  XXX, the generator  $g_2 = (7v^2, 16v^3)$ , as well as the values from the simulation backdoor. Since  $\deg(T) = 2$ , we get the following:

$$[\beta]g_2 = [5](7v^2, 16v^3) = (16v^2, 28v^3)$$

$$[\gamma]g_2 = [4](7v^2, 16v^3) = (37v^2, 27v^3)$$

$$[\delta]g_2 = [3](7v^2, 16v^3) = (42v^2, 16v^3)$$

To compute the rest of the  $\mathbb{G}_2$  part of the common reference string, we expand the indexed tuple and insert the secret random elements from the simulation backdoor. We get the following:

$$\begin{aligned} \left( [s^j]g_2, \dots \right)_{j=0}^1 &= ([2^0](7v^2, 16v^3), [2^1](7v^2, 16v^3)) \\ &= ((7v^2, 16v^3), (10v^2, 28v^3)) \end{aligned}$$

Putting all these values together, we see that the  $\mathbb{G}_2$  part of the common reference string is given by the following set of 5 points from the  $\text{BLS6\_6}$  13-torsion group  $\mathbb{G}_2$ :

$$CRS_{\mathbb{G}_2} = \left\{ (16v^2, 28v^3), (37v^2, 27v^3), (42v^2, 16v^3), (7v^2, 16v^3), (10v^2, 28v^3) \right\}$$

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Given the simulation trapdoor  $\tau$  and the quadratic arithmetic program 6.14, the associated common reference string of the 3-factorization problem is as follows:

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$$\begin{aligned} CRS_{\mathbb{G}_1} &= \left\{ (27, 34), (26, 34), (38, 15), \left( (13, 15), (33, 34) \right), \left( \mathcal{O}, (33, 9) \right) \right\} \\ &\quad \left\{ \left( (33, 34), (26, 34), (38, 28), (35, 28) \right), \left( (26, 34) \right) \right\} \\ CRS_{\mathbb{G}_2} &= \left\{ (16v^2, 28v^3), (37v^2, 27v^3), (42v^2, 16v^3), \left( 7v^2, 16v^3 \right), (10v^2, 28v^3) \right\} \end{aligned}$$

We then publish this data to everyone who wants to participate in the generation of a zk-SNARK or its verification in the 3-factorization problem.

To understand how this common reference string can be used to evaluate polynomials at the secret evaluation point in the exponent of a generator, let's assume that we have deleted the simulation trapdoor. In that case, we have no way to know the secret evaluation point anymore, hence, we cannot evaluate polynomials at that point. However, we can evaluate polynomials of smaller degree than the degree of the target polynomial in the exponent of both generators at that point.

To see that, consider e.g. the polynomials  $A_2(x) = 6x + 10$  and  $A_5(x) = 7x + 4$  from the QAP of this problem. To evaluate these polynomials in the exponent of  $g_1$  and  $g_2$  at the secret point  $s$  without knowing the value of  $s$  (which is 2), we can use the common reference string and equation XXX. Using the scalar product notation instead of exponentiation, we get the following:

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ence

$$\begin{aligned} [A_2(s)]g_1 &= [6 \cdot s^1 + 10 \cdot s^0]g_1 \\ &= [6](33, 34) + [10](13, 15) & \# [s^0]g_1 = (13, 15), [s^1]g_1 = (33, 34) \\ &= [6 \cdot 2](13, 15) + [10](13, 15) = [9](13, 15) & \# \text{logarithmic order on } \mathbb{G}_1 \\ &= (35, 15) \\ [A_5(s)]g_1 &= [7 \cdot s^1 + 4 \cdot s^0]g_1 \\ &= [7](33, 34) + [4](13, 15) \\ &= [7 \cdot 2](13, 15) + [4](13, 15) = [5](13, 15) \\ &= (26, 34) \end{aligned}$$

Indeed, we are able to evaluate the polynomials in the exponent at a secret evaluation point, because that point is encrypted in the curve point  $(33, 34)$  and its secrecy is protected by the discrete logarithm assumption. Of course, in our computation, we recovered the secret point  $s = 2$ , but that was only possible because we have a group of logarithmic order in order to simplify our pen-and-paper computations. Such an order is infeasible for computing in cryptographically secure curves. We can do the same computation on  $\mathbb{G}_2$  and get the following:

$$\begin{aligned} [A_2(s)]g_2 &= [6 \cdot s^1 + 10 \cdot s^0]g_2 \\ &= [6](10v^2, 28v^3) + [10](7v^2, 16v^3) \\ &= [6 \cdot 2](7v^2, 16v^3) + [10](7v^2, 16v^3) = [9](7v^2, 16v^3) \\ &= (37v^2, 16v^3) \\ [A_5(s)]g_2 &= [7 \cdot s^1 + 4 \cdot s^0]g_2 \\ &= [7](10v^2, 28v^3) + [4](7v^2, 16v^3) \\ &= [7 \cdot 2](7v^2, 16v^3) + [4](7v^2, 16v^3) = [5](7v^2, 16v^3) \\ &= (16v^2, 28v^3) \end{aligned}$$



Apart from the target polynomial  $T$ , all other polynomials of the quadratic arithmetic program can be evaluated in the exponent this way.

**The Prover Phase** Given some rank-1 constraint system  $R$  and instance  $I = (I_1, \dots, I_n)$ , the task of the prover phase is to convince any verifier that a prover knows a witness  $W$  to instance  $I$  such that  $(I; W)$  is a word in the language  $L_R$  of the system, without revealing anything about  $W$ .

To achieve this in the Groth\_16 protocol, we assume that any prover has access to the rank-1 constraint system of the problem, in addition to some algorithm that tells the prover how to compute constructive proofs for the R1CS. In addition, the prover has access to a common reference string and its associated quadratic arithmetic program.

In order to generate a zk-SNARK for this instance, the prover first computes a valid constructive proof as explained in XXX, that is, the prover generates a proper witness  $W = (W_1, \dots, W_m)$  such that  $(I_1, \dots, I_n; W_1, \dots, W_m)$  is a solution to the rank-1 constraint system  $R$ .

The prover then uses the quadratic arithmetic program and computes the polynomial  $P_{(I;W)}$ , as explained in 6.15. They then divide  $P_{(I;W)}$  by the target polynomial  $T$  of the quadratic arithmetic program. Since  $P_{(I;W)}$  is constructed from a valid solution to the R1CS, we know from 6.15 that it is divisible by  $T$ . This implies that polynomial division of  $P$  by  $T$  generates another polynomial  $H := P/T$ , with  $\deg(H) < \deg(T)$ .

The prover then evaluates the polynomial  $(H \cdot T)\delta^{-1}$  in the exponent of the generator  $g_1$  at the secret point  $s$ , as explained in XXX. To see how this can be achieved, let  $H(x)$  be the quotient polynomial  $P/T$ :

$$H(x) = H_0 \cdot x^0 + H_1 \cdot x^1 + \dots + H_k \cdot x^k \quad (8.3)$$

To evaluate  $H \cdot T$  at  $s$  in the exponent of  $g_1$ , the prover uses the common reference string and computes as follows:

$$g_1^{\frac{H(s) \cdot T(s)}{\delta}} = \left(g_1^{\frac{s^0 \cdot T(s)}{\delta}}\right)^{H_0} \cdot \left(g_1^{\frac{s^1 \cdot T(s)}{\delta}}\right)^{H_1} \dots \left(g_1^{\frac{s^k \cdot T(s)}{\delta}}\right)^{H_k}$$

After this has been done, the prover samples two random field elements  $r, t \in \mathbb{F}_r$ , and uses the common reference string, the instance variables  $I_1, \dots, I_n$  and the witness variables  $W_1, \dots, W_m$  to compute the following curve points:

$$\begin{aligned} g_1^W &= \left(g_1^{\frac{\beta \cdot A_{1+n}(s) + \alpha \cdot B_{1+n}(s) + C_{1+n}(s)}{\delta}}\right)^{W_1} \dots \left(g_1^{\frac{\beta \cdot A_{m+n}(s) + \alpha \cdot B_{m+n}(s) + C_{m+n}(s)}{\delta}}\right)^{W_m} \\ g_1^A &= g_1^\alpha \cdot g_1^{A_0(s)} \cdot \left(g_1^{A_1(s)}\right)^{I_1} \dots \left(g_1^{A_n(s)}\right)^{I_n} \cdot \left(g_1^{A_{n+1}(s)}\right)^{W_1} \dots \left(g_1^{A_{n+m}(s)}\right)^{W_m} \cdot \left(g_1^\delta\right)^r \\ g_1^B &= g_1^\beta \cdot g_1^{B_0(s)} \cdot \left(g_1^{B_1(s)}\right)^{I_1} \dots \left(g_1^{B_n(s)}\right)^{I_n} \cdot \left(g_1^{B_{n+1}(s)}\right)^{W_1} \dots \left(g_1^{B_{n+m}(s)}\right)^{W_m} \cdot \left(g_1^\delta\right)^t \\ g_2^B &= g_2^\beta \cdot g_2^{B_0(s)} \cdot \left(g_2^{B_1(s)}\right)^{I_1} \dots \left(g_2^{B_n(s)}\right)^{I_n} \cdot \left(g_2^{B_{n+1}(s)}\right)^{W_1} \dots \left(g_2^{B_{n+m}(s)}\right)^{W_m} \cdot \left(g_2^\delta\right)^t \\ g_1^C &= g_1^W \cdot g_1^{\frac{H(s) \cdot T(s)}{\delta}} \cdot \left(g_1^A\right)^r \cdot \left(g_1^B\right)^t \cdot \left(g_1^\delta\right)^{-r \cdot t} \end{aligned}$$

In this computation, the group elements  $g_1^{A_j(s)}$ ,  $g_1^{B_j(s)}$  and  $g_2^{B_j(s)}$  can be derived from the common reference string and the quadratic arithmetic program of the problem, as we have seen in XXX. In fact, those points only have to be computed once, and can be published and reused.

for multiple proof generations because they are the same for all instances and witnesses. All other group elements are part of the common reference string.

After all these computations have been done, a valid zero-knowledge succinct non-interactive argument of knowledge  $\pi$  in the Groth\_16 protocol is given by the following three curve points:

$$\pi = (g_1^A, g_1^C, g_2^B) \quad (8.4)$$

As we can see, a Groth\_16 zk-SNARK consists of 3 curve points, two points from  $\mathbb{G}_1$  and 1 point from  $\mathbb{G}_2$ . The argument is specifically designed this way because, in typical applications,  $\mathbb{G}_1$  is a torsion group of an elliptic curve over some prime field, while  $\mathbb{G}_2$  is a subgroup of a torsion group over an extension field. Elements from  $\mathbb{G}_1$  therefore need less space to be stored, and computations in  $\mathbb{G}_1$  are typically faster than in  $\mathbb{G}_2$ .

Since the witness is encoded in the exponent of a generator of a cryptographically secure elliptic curve, it is hidden from anyone but the prover. Moreover, since any proof is randomized by the occurrence of the random field elements  $r$  and  $t$ , proofs are not unique to any given witness. This is an important feature because, if all proofs for the same witness would be the same, knowledge of a witness would destroy the zero-knowledge property of those proofs.

*Example 140* (The 3-factorization Problem). To see how a prover might compute a zk-SNARK, consider the 3-factorization problem from 108, our protocol parameters from XXX as well as the common reference string from XXX.

Our task is to compute a zk-SNARK for the instance  $I_1 = 11$  and its constructive proof  $(W_1, W_2, W_3, W_4) = (2, 3, 4, 6)$  as computed in XXX. As we know from 6.15, the associated polynomial  $P_{(I;W)}$  of the quadratic arithmetic program from XXX is given by the following equation:

$$P_{(I;W)} = x^2 + x + 9$$

Since  $P_{(I;W)}$  is identical to the target polynomial  $T(x) = x^2 + x + 9$  in this example, we know from XXX that the quotient polynomial  $H = P/T$  is the constant degree 0 polynomial:

$$H(x) = H_0 \cdot x^0 = 1 \cdot x^0$$

We therefore use  $[\frac{s^0 \cdot T(s)}{\delta}]_{g_1} = (26, 34)$  from our common reference string XXX of the 3-factorization problem and compute as follows:

$$\begin{aligned} [\frac{H(s) \cdot T(s)}{\delta}]_{g_1} &= [H_0](26, 34) = [1](26, 34) \\ &= (26, 34) \end{aligned}$$

In the next step, we have to compute all group elements required for a proper Groth16 zk-SNARK. We start with  $g_1^W$ . Using scalar products instead of the exponential notation, and  $\oplus$  for the group law on the BLS6\_6 curve, we have to compute the point  $[W]g_1$ :

$$\begin{aligned} [W]g_1 &= [W_1]g_1 \frac{\beta \cdot A_2(s) + \alpha \cdot B_2(s) + C_2(s)}{\delta} \oplus [W_2]g_1 \frac{\beta \cdot A_3(s) + \alpha \cdot B_3(s) + C_3(s)}{\delta} \oplus [W_3]g_1 \frac{\beta \cdot A_4(s) + \alpha \cdot B_4(s) + C_4(s)}{\delta} \\ &\quad \oplus [W_4]g_1 \frac{\beta \cdot A_5(s) + \alpha \cdot B_5(s) + C_5(s)}{\delta} \end{aligned}$$

To compute this point, we have to remember that a prover should not be in possession of the simulation trapdoor, hence, they do not know what  $\alpha$ ,  $\beta$ ,  $\delta$  and  $s$  are. In order to compute this group element, the prover therefore needs the common reference string. Using the logarithmic order from XXX and the witness, we get the following:

$$\begin{aligned}
[W]g_1 &= [2](33, 34) \oplus [3](26, 34) \oplus [4](38, 28) \oplus [6](35, 28) \\
&= [2 \cdot 2](13, 15) \oplus [3 \cdot 5](13, 15) \oplus [4 \cdot 10](13, 15) \oplus [6 \cdot 4](13, 15) \\
&= [2 \cdot 2 + 3 \cdot 5 + 4 \cdot 10 + 6 \cdot 4](13, 15) = [5](13, 15) \\
&= (26, 34)
\end{aligned}$$

5836 In a next step, we compute  $g_1^A$ . We sample the random point  $r = 11$  from  $\mathbb{F}_{13}$ , using scalar  
5837 products instead of the exponential notation, and  $\oplus$  for the group law on the BLS6\_6 curve.  
5838 We then have to compute the following expression:

$$\begin{aligned}
[A]g_1 &= [\alpha]g_1 \oplus [A_0(s)]g_1 \oplus [I_1][A_1(s)]g_1 \oplus [W_1][A_2(s)]g_1 \oplus [W_2][A_3(s)]g_1 \\
&\quad \oplus [W_3][A_4(s)]g_1 \oplus [W_4][A_5(s)]g_1 \oplus [r][\delta]g_1
\end{aligned}$$

Since we don't know what  $\alpha$ ,  $\delta$  and  $s$  are, we look up  $[\alpha]g_1$  and  $[\delta]g_1$  from the common reference string. Recall from XXX that we can evaluate  $[A_j(s)]g_1$  without knowing the secret evaluation point  $s$ . According to XXX, we have  $[A_2(s)]g_1 = (35, 15)$ ,  $[A_5(s)]g_1 = (26, 34)$  and  $[A_j(s)]g_1 = \mathcal{O}$  for all other indices  $0 \leq j \leq 5$ . Since  $\mathcal{O}$  is the neutral element on  $\mathbb{G}_1$ , we get the following:

$$\begin{aligned}
[A]g_1 &= (27, 34) \oplus \mathcal{O} \oplus [11]\mathcal{O} \oplus [2](35, 15) \oplus [3]\mathcal{O} \oplus [4]\mathcal{O} \oplus [6](26, 34) \oplus [11](38, 15) \\
&= (27, 34) \oplus [2](35, 15) \oplus [6](26, 34) \oplus [11](38, 15) \\
&= [6](13, 15) \oplus [2 \cdot 9](13, 15) \oplus [6 \cdot 5](13, 15) \oplus [11 \cdot 3](13, 15) \\
&= [6 + 2 \cdot 9 + 6 \cdot 5 + 11 \cdot 3](13, 15) = [9](13, 15) \\
&= (35, 15)
\end{aligned}$$

5839 In order to compute the two curve points  $[B]g_1$  and  $[B]g_2$ , we sample another random element  
5840  $t = 4$  from  $\mathbb{F}_{13}$ . Using the scalar product instead of the exponential notation, and  $\oplus$  for the group  
5841 law on the BLS6\_6 curve, we have to compute the following expressions:

$$\begin{aligned}
[B]g_1 &= [\beta]g_1 \oplus [B_0(s)]g_1 \oplus [I_1][B_1(s)]g_1 \oplus [W_1][B_2(s)]g_1 \oplus [W_2][B_3(s)]g_1 \\
&\quad \oplus [W_3][B_4(s)]g_1 \oplus [W_4][B_5(s)]g_1 \oplus [t][\delta]g_1 \\
[B]g_2 &= [\beta]g_2 \oplus [B_0(s)]g_2 \oplus [I_1][B_1(s)]g_2 \oplus [W_1][B_2(s)]g_2 \oplus [W_2][B_3(s)]g_2 \\
&\quad \oplus [W_3][B_4(s)]g_2 \oplus [W_4][B_5(s)]g_2 \oplus [t][\delta]g_2
\end{aligned}$$

Since we don't know what  $\beta$ ,  $\delta$  and  $s$  are, we look up the associated group elements from the common reference string. Recall from XXX that we can evaluate  $[B_j(s)]g_1$  without knowing the secret evaluation point  $s$ . Since  $B_3 = A_2$  and  $B_4 = A_5$ , we have  $[B_3(s)]g_1 = (35, 15)$ ,  $[B_4(s)]g_1 = (26, 34)$  according to XXX, and  $[B_j(s)]g_1 = \mathcal{O}$  for all other indices  $0 \leq j \leq 5$ . Since  $\mathcal{O}$  is the neutral element on  $\mathbb{G}_1$ , we get the following:

$$\begin{aligned}
[B]g_1 &= (26, 34) \oplus \mathcal{O} \oplus [11]\mathcal{O} \oplus [2]\mathcal{O} \oplus [3](35, 15) \oplus [4](26, 34) \oplus [6]\mathcal{O} \oplus [4](38, 15) \\
&= (26, 34) \oplus [3](35, 15) \oplus [4](26, 34) \oplus [4](38, 15) \\
&= [5](13, 15) \oplus [3 \cdot 9](13, 15) \oplus [4 \cdot 5](13, 15) \oplus [4 \cdot 3](13, 15) \\
&= [5 + 3 \cdot 9 + 4 \cdot 5 + 4 \cdot 3](13, 15) = [12](13, 15) \\
&= (13, 28)
\end{aligned}$$

$$\begin{aligned}
 [B]g_2 &= (16v^2, 28v^3) \oplus \mathcal{O} \oplus [11]\mathcal{O} \oplus [2]\mathcal{O} \oplus [3](37v^2, 16v^3) \oplus [4](16v^2, 28v^3) \oplus [6]\mathcal{O} \oplus [4](42v^2, 16v^3) \\
 &= (16v^2, 28v^3) \oplus [3](37v^2, 16v^3) \oplus [4](16v^2, 28v^3) \oplus [4](42v^2, 16v^3) \\
 &= [5](7v^2, 16v^3) \oplus [3 \cdot 9](7v^2, 16v^3) \oplus [4 \cdot 5](7v^2, 16v^3) \oplus [4 \cdot 3](7v^2, 16v^3) \\
 &= [5 + 3 \cdot 9 + 4 \cdot 5 + 4 \cdot 3](7v^2, 16v^3) = [12](7v^2 + 16v^3) \\
 &= (7v^2, 27v^3)
 \end{aligned}$$

In a last step, we combine the previous computations to compute the point  $[C]g_1$  in the group  $\mathbb{G}_1$  as follows:

$$\begin{aligned}
 [C]g_1 &= [W]g_1 \oplus \left[ \frac{H(s) \cdot T(s)}{\delta} \right]g_1 \oplus [t][A]g_1 \oplus [r][B]g_1 \oplus [-r \cdot t][\delta]g_1 \\
 &= (26, 34) \oplus (26, 34) \oplus [4](35, 15) \oplus [11](13, 28) \oplus [-11 \cdot 4](38, 15) \\
 &= [5](13, 15) \oplus [5](13, 15) \oplus [4 \cdot 9](13, 15) \oplus [11 \cdot 12](13, 15) \oplus [-11 \cdot 4 \cdot 3](13, 15) \\
 &= [5 + 5 + 4 \cdot 9 + 11 \cdot 12 - 11 \cdot 4 \cdot 3](13, 15) = [7](13, 15) \\
 &= (27, 9)
 \end{aligned}$$

Given the instance  $I_1 = 11$ , we can now combine these computations and see that the following 3 curve points are a zk-SNARK for the witness  $(W_1, W_2, W_3, W_4) = (2, 3, 4, 6)$ :

$$\pi = ((35, 15), (27, 9), (7v^2, 27v^3))$$

5842 We can now publish this zk-SNARK, or send it to a designated verifier. Note that, if we had  
 5843 sampled different values for  $r$  and  $t$ , we would have computed a different SNARK for the same  
 5844 witness. The SNARK, therefore, hides the witness perfectly, which means that it is impossible  
 5845 to reconstruct the witness from the SNARK.

5846 **The Verification Phase** Given some rank-1 constraint system  $R$ , instance  $I = (I_1, \dots, I_n)$  and  
 5847 zk-SNARK  $\pi$ , the task of the verification phase is to check that  $\pi$  is indeed an argument for  
 5848 a constructive proof. Assuming that the simulation trapdoor does not exist anymore and the  
 5849 verification checks the proof, the verifier can be convinced that someone knows a witness  $W =$   
 5850  $(W_1, \dots, W_m)$  such that  $(I; W)$  is a word in the language of  $R$ .

To achieve this in the Groth16 protocol, we assume that any verifier is able to compute the pairing map  $e(\cdot, \cdot)$  efficiently, and has access to the common reference string used to produce the SNARK  $\pi$ . In order to verify the SNARK with respect to the instance  $(I_1, \dots, I_n)$ , the verifier computes the following curve point:

$$g_1^I = \left( g_1^{\frac{\beta \cdot A_0(s) + \alpha \cdot B_0(s) + C_0(s)}{\gamma}} \right) \cdot \left( g_1^{\frac{\beta \cdot A_1(s) + \alpha \cdot B_1(s) + C_1(s)}{\gamma}} \right)^{I_1} \cdots \left( g_1^{\frac{\beta \cdot A_n(s) + \alpha \cdot B_n(s) + C_n(s)}{\gamma}} \right)^{I_n}$$

5851 With this group element, the verifier is able to verify the SNARK  $\pi = (g_1^A, g_1^C, g_2^B)$  by checking  
 5852 the following equation using the pairing map:

$$e(g_1^A, g_2^B) = e(g_1^\alpha, g_2^\beta) \cdot e(g_1^I, g_2^\gamma) \cdot e(g_1^C, g_2^\delta) \quad (8.5)$$

5853 If the equation holds true, the SNARK is accepted. If the equation does not hold, the  
 5854 SNARK is rejected.

*Remark 9.* We know from chapter 5 that computing pairings in cryptographically secure pairing groups is computationally expensive. As we can see, in the Groth16 protocol, 3 pairings are required to verify the SNARK, because the pairing  $e(g_1^\alpha, g_2^\beta)$  is independent of the proof, meaning that can be computed once and then stored as an amendment to the verifier key.

check  
reference

In [?], the author showed that 2 is the minimal amount of pairings that any protocol with similar properties has to use. This protocol is therefore close to the theoretical minimum. In the same paper, the author outlined an adaptation that only uses 2 pairings. However, that reduction comes with the price of much more overhead computation. Having 3 pairings is therefore a compromise that gives the overall best performance. To date, the Groth16 protocol is the most efficient in its class.

*Example 141* (The 3-factorization Problem). To see how a verifier might check a zk-SNARK for some given instance  $I$ , consider the 3-factorization problem from 108, our protocol parameters from XXX, the common reference string from XXX as well as the zk-SNARK  $\pi = ((35, 15), (27, 9), (7v^2, 27v^3))$ , which claims to be an argument of knowledge for a witness for the instance  $I_1 = 11$ .

check  
reference

In order to verify the zk-SNARK for that instance, we first compute the curve point  $g_1^I$ . Using scalar products instead of the exponential notation, and  $\oplus$  for the group law on the BLS6\_6 curve, we have to compute the point  $[I]g_1$  as follows:

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ence

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$$[I]g_1 = \left[ \frac{\beta \cdot A_0(s) + \alpha \cdot B_0(s) + C_0(s)}{\gamma} \right]_{g_1} \oplus [I_1] \left[ \frac{\beta \cdot A_1(s) + \alpha \cdot B_1(s) + C_1(s)}{\gamma} \right]_{g_1}$$

To compute this point, we have to remember that a verifier should not be in possession of the simulation trapdoor, which means that they do not know what  $\alpha$ ,  $\beta$ ,  $\gamma$  and  $s$  are. In order to compute this group element, the verifier therefore needs the common reference string. Using the logarithmic order from XXX and instance  $I_1$ , we get the following:

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ence

$$\begin{aligned} [I]g_1 &= \left[ \frac{\beta \cdot A_0(s) + \alpha \cdot B_0(s) + C_0(s)}{\gamma} \right]_{g_1} \oplus [I_1] \left[ \frac{\beta \cdot A_1(s) + \alpha \cdot B_1(s) + C_1(s)}{\gamma} \right]_{g_1} \\ &= \mathcal{O} \oplus [11](33, 9) \\ &= [11 \cdot 11](13, 15) = [4](13, 15) \\ &= (35, 28) \end{aligned}$$

In the next step, we have to compute all the pairings involved in equation XXX. Using the logarithmic order on  $\mathbb{G}_1$  and  $\mathbb{G}_2$  as well as the bilinearity property of the pairing map we get the following:

add refer-  
ence

$$\begin{aligned}
e([A]_{g_1}, [B]_{g_2}) &= e((35, 15), (7v^2, 27v^3)) = e([9](13, 15), [12](7v^2, 16v^3)) \\
&= e((13, 15), (7v^2, 16v^3))^{9 \cdot 12} \\
&= e((13, 15), (7v^2, 16v^3))^{108} \\
e([\alpha]_{g_1}, [\beta]_{g_2}) &= e((27, 34), (16v^2, 28v^3)) = e([6](13, 15), [5](7v^2, 16v^3)) \\
&= e((13, 15), (7v^2, 16v^3))^{6 \cdot 5} \\
&= e((13, 15), (7v^2, 16v^3))^{30} \\
e([I]_{g_1}, [\gamma]_{g_2}) &= e((35, 28), (37v^2, 27v^3)) = e([4](13, 15), [4](7v^2, 16v^3)) \\
&= e((13, 15), (7v^2, 16v^3))^{4 \cdot 4} \\
&= e((13, 15), (7v^2, 16v^3))^{16} \\
e([C]_{g_1}, [\delta]_{g_2}) &= e((27, 9), (42v^2, 16v^3)) = e([7](13, 15), [3](7v^2, 16v^3)) \\
&= e((13, 15), (7v^2, 16v^3))^{7 \cdot 3} \\
&= e((13, 15), (7v^2, 16v^3))^{21}
\end{aligned}$$

5880 In order to check equation XXX, observe that the target group  $\mathbb{G}_T$  of the Weil pairing is  
5881 a finite cyclic group of order 13. Exponentiation is therefore done in modular 13 arithmetics.  
5882 Accordingly, since  $108 \bmod 13 = 4$ , we evaluate the left side of equation XXX as follows:

$$e([A]_{g_1}, [B]_{g_2}) = e((13, 15), (7v^2, 16v^3))^{108} = e((13, 15), (7v^2, 16v^3))^4$$

5883 Similarly, we evaluate the right side of equation XXX using modular 13 arithmetics and the  
5884 exponential law  $a^x \cdot a^y = a^{x+y}$ :

$$\begin{aligned}
&e([\alpha]_{g_1}, [\beta]_{g_2}) \cdot e([I]_{g_1}, [\gamma]_{g_2}) \cdot e([C]_{g_1}, [\delta]_{g_2}) = \\
&e((13, 15), (7v^2, 16v^3))^{30} \cdot e((13, 15), (7v^2, 16v^3))^{16} \cdot e((13, 15), (7v^2, 16v^3))^{21} = \\
&e((13, 15), (7v^2, 16v^3))^4 \cdot e((13, 15), (7v^2, 16v^3))^3 \cdot e((13, 15), (7v^2, 16v^3))^8 = \\
&e((13, 15), (7v^2, 16v^3))^{4+3+8} = \\
&e((13, 15), (7v^2, 16v^3))^2
\end{aligned}$$

5885 As we can see, both the left and the right side of equation XXX are identical, which implies  
5886 that the verification process accepts the simulated proof.

5887 **NOTE: UNFORTUNATELY NOT! :-( (HENCE THERE IS AN ERROR SOMEWHERE ...**  
5888 **NEED TO FIX IT AFTER VACATION**

5889 **Proof Simulation** During the execution of a setup phase, a common reference string is gen-  
5890 erated, along with a simulation trapdoor, the latter of which must be deleted at the end of the  
5891 setup-phase. As an alternative, a more complicated multi-party protocol like [XXX] can be  
5892 used to split the knowledge of the simulation trapdoor among many different parties.

5893 In this paragraph, we will show why knowledge of the simulation trapdoor is problematic,  
5894 and how it can be used to generate zk-SNARKs for a given instance without any knowledge or  
5895 the existence of associated witness.

5896 To be more precise, let  $I$  be an instance for some R1CS language  $L_R$ . We call a zk-SNARK  
5897 for  $L_R$  **forged** or **simulated** if it passes a verification but its generation does not require the  
5898 existence of a witness  $W$  such that  $(I; W)$  is a word in  $L_R$ .

To see how simulated zk-SNARKs can be computed, assume that a forger has knowledge of proper Groth\_16 parameters, a quadratic arithmetic program of the problem, a common reference string and its associated simulation trapdoor  $\tau$ :

$$\tau = (\alpha, \beta, \gamma, \delta, s) \quad (8.6)$$

Given some instance  $I$ , the forger’s task is to generate a zk-SNARK for this instance that passes the verification process, without having access to any other zk-SNARKs for this instance and without knowledge of a valid witness  $W$ .

To achieve this in the Groth\_16 protocol, the forger can use the simulation trapdoor in combination with the QAP and two arbitrary field elements  $A$  and  $B$  from the scalar field  $\mathbb{F}_r$  of the pairing groups to  $g_1^C$  compute for the instance  $(I_1, \dots, I_n)$  as follows:

$$g_1^C = g_1^{\frac{A \cdot B}{\delta}} \cdot g_1^{-\frac{\alpha \cdot \beta}{\delta}} \cdot g_1^{-\frac{\beta A_0(s) + \alpha B_0(s) + C_0(s)}{\delta}} \cdot \left( g_1^{-\frac{\beta A_1(s) + \alpha B_1(s) + C_1(s)}{\delta}} \right)^{I_1} \cdots \left( g_1^{-\frac{\beta A_n(s) + \alpha B_n(s) + C_n(s)}{\delta}} \right)^{I_n}$$

The forger then publishes the zk-SNARK  $\pi_{\text{forged}} = (g_1^A, g_1^C, g_2^B)$ , which will pass the verification process and is computable without the existence of a witness  $(W_1, \dots, W_m)$ .

To see that the simulation trapdoor is necessary and sufficient to compute the simulated proof  $\pi_{\text{forged}}$ , first observe that both generators  $g_1$  and  $g_2$  are known to the forger, as they are part of the common reference string, encoded as  $g_1^{s^0}$  and  $g_2^{s^0}$ . The forger is therefore able to compute  $g_1^{A \cdot B}$ . Moreover, since the forger knows  $\alpha, \beta, \delta$  and  $s$  from the trapdoor, they are able to compute all factors in the computation of  $g_1^C$ .

If, on the other hand, the simulation trapdoor is unknown, it is not possible to compute  $g_1^C$ , since, for example, the computational Diffie-Hellman assumption makes the derivation of  $g_1^{\alpha \cdot \beta}$  from  $g_1^\alpha$  and  $g_1^\beta$  infeasible.

**Example 142** (The 3-factorization Problem). To see how a forger might simulate a zk-SNARK for some given instance  $I$ , consider the 3-factorization problem from 108, our protocol parameters from XXX, the common reference string from XXX and the simulation trapdoor  $\tau = (6, 5, 4, 3, 2)$  of that CRS.

In order to forge a zk-SNARK for instance  $I_1 = 11$ , we don’t need a constructive proof for the associated rank-1 constraint system, which implies that we don’t have to execute the circuit  $C_{3.\text{fac}}(\mathbb{F}_{13})$ . Instead, we have to choose 2 arbitrary elements  $A$  and  $B$  from  $\mathbb{F}_{13}$ , and compute  $g_1^A, g_2^B$  and  $g_1^C$  as defined in XXX. We choose  $A = 9$  and  $B = 3$ , and, since  $\delta^{-1} = 3$ , we compute as follows:

$$\begin{aligned} [A]g_1 &= [9](13, 15) = (35, 15) \\ [B]g_2 &= [3](7v^2, 16v^3) = (42v^2, 16v^3) \\ [C]g_1 &= \left[ \frac{A \cdot B}{\delta} \right] g_1 \oplus \left[ -\frac{\alpha \cdot \beta}{\delta} \right] g_1 \oplus \left[ -\frac{\beta A_0(s) + \alpha B_0(s) + C_0(s)}{\delta} \right] g_1 \oplus \\ &\quad [I_1] \left[ -\frac{\beta A_1(s) + \alpha B_1(s) + C_1(s)}{\delta} \right] g_1 \\ &= [(9 \cdot 3) \cdot 9](13, 15) \oplus [-(6 \cdot 5) \cdot 9](13, 15) \oplus [0](13, 15) \oplus [11][-(7 \cdot 2 + 4) \cdot 9](13, 15) \\ &= [9](13, 15) \oplus [3](13, 15) \oplus [12](13, 15) = [11](13, 15) \\ &= (33, 9) \end{aligned}$$

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This is all we need to generate our forged proof for the 3-factorization problem. We publish the simulated zk-SNARK:

$$\pi_{fake} = ((35, 15), (33, 9), (42v^2, 16v^3))$$

5927 Despite the fact that this zk-SNARK was generated without knowledge of a proper witness,  
5928 it is indistinguishable from a zk-SNARK that proves knowledge of a proper witness.

5929 To see that, we show that our forged SNARK passes the verification process. In order to  
5930 verify  $\pi_{fake}$ , we proceed as in XXX, and compute the curve point  $g_1^I$  for the instance  $I_1 = 11$ .  
5931 Since the instance is the same as in example XXX, we can parallel the computation from XXX:

$$\begin{aligned} [I]g_1 &= \left[ \frac{\beta \cdot A_0(s) + \alpha \cdot B_0(s) + C_0(s)}{\gamma} \right]_{g_1} \oplus [I_1] \left[ \frac{\beta \cdot A_1(s) + \alpha \cdot B_1(s) + C_1(s)}{\gamma} \right]_{g_1} \\ &= (35, 28) \end{aligned}$$

In a next step we have to compute all the pairings involved in equation XXX. Using the logarithmic order on  $\mathbb{G}_1$  and  $\mathbb{G}_2$  as well as the bilinearity property of the pairing map we get

$$\begin{aligned} e([A]g_1, [B]g_2) &= e((35, 15), (42v^2, 16v^3)) = e([9](13, 15), [3](7v^2, 16v^3)) \\ &= e((13, 15), (7v^2, 16v^3))^{9 \cdot 3} \\ &= e((13, 15), (7v^2, 16v^3))^{27} \\ e([\alpha]g_1, [\beta]g_2) &= e((27, 34), (16v^2, 28v^3)) = e([6](13, 15), [5](7v^2, 16v^3)) \\ &= e((13, 15), (7v^2, 16v^3))^{6 \cdot 5} \\ &= e((13, 15), (7v^2, 16v^3))^{30} \\ e([I]g_1, [\gamma]g_2) &= e((35, 28), (37v^2, 27v^3)) = e([4](13, 15), [4](7v^2, 16v^3)) \\ &= e((13, 15), (7v^2, 16v^3))^{4 \cdot 4} \\ &= e((13, 15), (7v^2, 16v^3))^{16} \\ e([C]g_1, [\delta]g_2) &= e((33, 9), (42v^2, 16v^3)) = e([11](13, 15), [3](7v^2, 16v^3)) \\ &= e((13, 15), (7v^2, 16v^3))^{11 \cdot 3} \\ &= e((13, 15), (7v^2, 16v^3))^{33} \end{aligned}$$

In order to check equation XXX, observe that the target group  $\mathbb{G}_T$  of the Weil pairing is a finite cyclic group of order 13. Exponentiation is therefore done in modular 13 arithmetics. Using this, we evaluate the left side of equation XXX as follows:

$$e([A]g_1, [B]g_2) = e((13, 15), (7v^2, 16v^3))^{27} = e((13, 15), (7v^2, 16v^3))^1$$

since  $27 \bmod 13 = 1$ . Similarly, we evaluate the right side of equation XXX using modular 13 arithmetics and the exponential law  $a^x \cdot a^y = a^{x+y}$ . We get

$$\begin{aligned} e([\alpha]g_1, [\beta]g_2) \cdot e([I]g_1, [\gamma]g_2) \cdot e([C]g_1, [\delta]g_2) &= \\ e((13, 15), (7v^2, 16v^3))^{30} \cdot e((13, 15), (7v^2, 16v^3))^{16} \cdot e((13, 15), (7v^2, 16v^3))^{33} &= \\ e((13, 15), (7v^2, 16v^3))^4 \cdot e((13, 15), (7v^2, 16v^3))^3 \cdot e((13, 15), (7v^2, 16v^3))^7 &= \\ e((13, 15), (7v^2, 16v^3))^{4+3+7} &= \\ e((13, 15), (7v^2, 16v^3))^1 &= \end{aligned}$$



5932 As we can see, both the left and the right side of equation XXX are identical, which implies  
5933 that the verification process accepts the simulated proof.  $\pi_{fake}$  therefore convinces the veri-  
5934 fier that a witness to the 3-factorization problem exists. However, no such witness was really  
5935 necessary to generate the proof.

add refer-  
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## 5936 **Chapter 9**

## 5937 **Exercises and Solutions**

5938 TODO: All exercises we provided should have a solution, which we give here in all detail.