Baby SNARKs

Ashvni Narayanan, for Yatima Inc

July 21, 2022*

This file describes the implementation of the soundness proof of the Baby SNARKs program. The aim is to explain the code of the proof of soundness in [1]. The mathematics is given in [2], and the code shall be explained in the same notation.

1 Setup

Some notes:

- The open_locale big_operators command lets us use the local notation for sums (\sum) and products (\prod) , as defined in the file [3].
- By declaring universes u, one assumes that all elements have Type u.
- parameters is the same as variables, and is used to declare variables that have scope in a given section. In this case, they are valid throughout the file.
- It would help to open polynomial (open the namespace polynomial) at the beginning of the file, one then does not need to add the prefix to each lemma that is called from that namespace.

We have as variables F, which is a field (although it is mentioned that this is the finite field parameter of the SNARK, the finiteness is nowhere stated or used). We also have the natural number variables m, n_stmt and n_wit. These are m, l and n-l in [2]. n is defined to be the sum of n_stmt and n_wit.

The collection of polynomials $u_0, u_1, \dots u_{l-1}$ are defined here. The author defines it in terms of a function $\mathtt{u_stmt}$, which takes an element of $\mathbb{Z}/l\mathbb{Z}$ and returns a polynomial with F-coefficients. Note that $\mathtt{fin}\ \mathtt{n_stmt}$ is nothing but the set of natural numbers up to l, or equivalently, $\mathbb{Z}/l\mathbb{Z}$. $\mathtt{u_wit}$ is defined similarly to denote the polynomials $u_l, u_{l+1}, \dots u_{n-1}$. The roots of the polynomial t are defined in the same fashion, with $\mathtt{r}\ \mathtt{i}$ denoting r_i , for $0 \le i \le m-1$.

The polynomial t is then defined as $t = \prod_{i=0}^{m-1} (X - r_i)$ here. polynomial.X denotes X as a polynomial in F[X], and polynomial.C (r i) denotes the constant polynomial r_i .

2 Properties of t

The lemma nat_degree_t says :

Lemma 1. The degree of t is m.

nat_degree returns the degree of the polynomial as a natural number. This differs from polynomial.degree only when the polynomial is zero. The proof follows simply by noting that the degree of the product of the polynomials $\prod_{i=0}^{m-1} (X-r_i)$ is the sum of the degrees of $X-r_i$ (nat_degree_prod), as long as each of these are nonzero (X_sub_C_ne_zero).

The lemma monic_t then says:

^{*}This document may be updated frequently.

Lemma 2. The polynomial t is monic.

The proof follows from the fact that a product of monic polynomials is monic (monic_prod_of_monic), and that each $(X - r_i)$ is monic (monic_X_sub_C).

The next lemma degree_t_pos tells us:

Lemma 3. If 0 < m, then the degree of t is positive.

Note that this lemma uses degree instead of nat_degree . As a result, we must prove that m is nonzero implies t being nonzero, in which case nat_degree and degree coincide.

Before getting into the proof, let us first understand the reason for the distinction between $\mathtt{nat_degree}$ and \mathtt{degree} . Lean uses the inductive type option. Basically, given A, option A comprises of none (the undefined element) and some a for all elements a of A. The function option.get_or_else a returns b when given some b and a when given none. Given a polynomial p, degree p returns some of the supremum of all numbers n such that X^n has a nonzero coefficient in p. When p=0, this returns the supremum of the empty set, \bot , which is the same as none. nat_degree is then defined to be (degree p).get_or_else 0: if degree p is \bot , it returns 0, and (degree p) otherwise.

We first show that it suffices to prove that degree t = some m. This follows easily from the fact that 0 < some m implies 0 < m (with_bot.some_lt_some). The proof is then by induction on degree t. If degree t = none, then a contradiction is derived, since we then have that some m = none, which then implies m < m, which is false. In the other case, we have that degree t = some val for some value val. Then by the definition of option.get_or_else, we get that m = val, and the proof follows simply from Lemma 1.

3 Some definitions

One of the fundamental concepts used in this proof is that single variable polynomials can also be thought of as multi-variable polynomials. In this section, we give the mechanism to translate between the two, as well as define the polynomials V_w , V_s , B_w , V, H etc, sometimes separately as both single and multivariable polynomials.

Let us first understand the conversion between single and multivariable polynomials. The author defines vars to be an inductive type used to index 3-variable polynomials (we shall assume the variables are X, Y and Z throughout). They then define singlify to convert 3-variable polynomials to a single variable one: singlify replaces the coefficients Y and Z with 1 and leaves X as it is.

On the other side, X_poly , Y_poly and Z_poly are X, Y and Z thought of as elements of F[X, Y, Z].

Any finitely supported function taking values in $\mathbb N$ can be thought of as a polynomial. As an example, any finitely supported function $m: \mathtt{vars} \to \mathbb N$ can be thought of as a monomial of the form $X^{m(\mathtt{vars}.\mathtt{X})}Y^{m(\mathtt{vars}.\mathtt{Y})}Z^{m(\mathtt{vars}.\mathtt{Z})}$. Then, given a multivariable polynomial p(X,Y,Z), $\mathtt{mv_polynomial.coeff}$ p m denotes the coefficient of p at the monomial m.

Given a ring S, a multivariable polynomial $p:=\sum_{m\in\sigma}a_\sigma m$ (σ is a set of monomials) with coefficients in R, a function $f:R\to S$, and a function $g:\sigma\to S$, mv_polynomial.eval_2 f g p := $\sum_{m\in\sigma}f(a_\sigma)g(m)$ returns the evaluation of p with respect to f and g. In our case, we get, for $p:=\sum_{i,j,k=0}^1a_{i,j,k}X^iY^jZ^k$, we get mv_polynomial.eval_2 polynomial.C singlify p := $\sum_{i,j,k=0}^1a_{i,j,k}X^i$ as an element of F[X].

We now give the definitions of various single and multivariable polynomials:

- V_wit_sv : Given $a_w = (a_l, \cdots, a_{n-1})$, returns $V_w(X) := \sum_{i=l}^{n-1} a_w(i)u_i(X)$ as an element of F[X].
- V_stmt_sv : Given $a_s=(a_0,\cdots,a_{l-1}),$ returns $V_s(X):=\sum_{i=0}^{l-1}a_s(i)u_i(X)$ as an element of F[X].
- V_stmt_mv: Given $a_s = (a_0, \dots, a_{l-1})$, returns $V_s(X, Y, Z) := V_s(X)$ as an element of F[X, Y, Z].
- t_mv : Returns t(X, Y, Z) := t(X) as an element of F[X, Y, Z].
- crs_powers_of_t : Given $i \in \{0, \dots, m-1\}$, returns X^i as an element of F[X, Y, Z].

- crs_g: Returns Z as an element of F[X, Y, Z].
- crs_gb : Returns ZY as an element of F[X, Y, Z].
- crs_b_ssps : Given $i \in \{l, \dots, n-1\}$, returns $Yu_i(X)$ as an element of F[X, Y, Z].

We also have the variables b, v and h which are functions/strings of length m, $\mathbb{Z}/m\mathbb{Z} \to F$ representing $(b_i)_{i=0}^{m-1}$, $(v_i)_{i=0}^{m-1}$ and $(h_i)_{i=0}^{m-1}$ respectively; b', v' and h' which are functions/strings of length n-l, $\mathbb{Z}/(n-l)\mathbb{Z} \to F$ representing $(b_i')_{i=l}^{n-l-1}$, $(v_i')_{i=l}^{n-l-1}$ and $(h_i')_{i=l}^{n-l-1}$ respectively; and b_g v_g h_g b_gb v_gb h_gb, which are elements of F, representing $b_\gamma, v_\gamma, h_\gamma, b_{\gamma\beta}, v_{\gamma\beta}, h_{\gamma\beta}$ respectively.

We can now define the main polynomials used :

- B_wit : Returns $B_w := \sum_{i=0}^{m-1} b_i X^i + b_\gamma Z + b_{\gamma\beta} YZ + \sum_{i=l}^{n-1} b_i' Y u_i(X)$ as an element of F[X,Y,Z]
- V_wit : Returns $V_w := \sum_{i=0}^{m-1} v_i X^i + v_\gamma Z + v_{\gamma\beta} Y Z + \sum_{i=l}^{n-1} v_i' Y u_i(X)$ as an element of F[X,Y,Z]
- H: Returns $H:=\sum_{i=0}^{m-1}h_iX^i+h_{\gamma}Z+h_{\gamma\beta}YZ+\sum_{i=l}^{n-1}h_i'Yu_i(X)$ as an element of F[X,Y,Z]
- V: Given $a_s = (a_0, \dots, a_{l-1})$, returns $V := V_w + V_s$ as an element of F[X, Y, Z]

The above information is encapsulated in the following table:

Lean	\mathbf{Text}	Description	\mathbf{Type}
$X_{-}poly$	X	X^{-}	F[X,Y,Z]
$Y_{-}poly$	Y	Y	F[X,Y,Z]
${\tt Z_poly}$	Z	Z	F[X,Y,Z]
$V_{\mathtt{wit}}$ sv	$V_w(X)$	$\sum_{i=1}^{n-1} a_w(i) u_i(X)$	F[X]
${\tt V_stmt_sv}$	$V_s(X)$	$\sum_{i=l}^{n-1} a_w(i) u_i(X) \sum_{i=0}^{l-1} a_s(i) u_i(X) \sum_{i=0}^{l-1} a_s(i) u_i(X)$	F[X]
V_stmt_mv	$V_s(X)$	$\sum_{i=0}^{l-1} a_s(i) u_i(X)$	F[X, Y, Z]
t_mv	t(X)	$t(X) \ X^i$	F[X,Y,Z]
crs_powers_of_t i	X^i	X^i	F[X,Y,Z]
crs_g	Z	Z	F[X,Y,Z]
crs_gb	ZY	ZY	F[X,Y,Z]
crs_b_ssps i	$Yu_i(X)$	F[X,Y,Z]	
Ъ	$(b_i)_{i=0}^{m-1}$	$(b_i)_{i=0}^{m-1}$	$\mathbb{Z}/m\mathbb{Z} \to F$
V	$(v_i)_{i=0}^{m-1}$	$(v_i)_{i=0}^{m-1}$	$\mathbb{Z}/m\mathbb{Z} \to F$
h	$(h_i)_{i=0}^{m-1}$	$(h_i)_{i=0}^{m-1}$	$\mathbb{Z}/m\mathbb{Z} \to F$
b'	$(b_i')_{i=l}^{n-l-1}$	$(b_i')_{i=0}^{i=0} \ (b_i')_{i=l}^{n-l-1}$	$\mathbb{Z}/(n-l)\mathbb{Z} \to F$
v ,	$(v_i')_{i=l}^{n-l-1}$	$(v_i')_{i=l}^{n-l-1}$	$\mathbb{Z}/(n-l)\mathbb{Z} \to F$
h'	$(h_i')_{i=l}^{n-l-1}$	$(h_i')_{\substack{i=l \ i=l}}^{n-l-1}$	$\mathbb{Z}/(n-l)\mathbb{Z} \to F$
$b_{-}g$	b_{γ}	b_{γ}	F
$v_{-}g$	v_{γ}	v_{γ}	F
$h_{-}g$	h_{γ}	h_{γ}	F
b_gb	b_{\gammaeta}	b_{\gammaeta}	F
$v_{-}gb$	$v_{\gamma eta}$	$v_{\gamma eta}$	F
$h_{-}gb$	$h_{\gamma eta}$	F	
${\tt B_wit}$	B_w	$\sum_{i=0}^{m-1} b_i X^i + b_{\gamma} Z + b_{\gamma\beta} Y Z + \sum_{i=0}^{m-1} b'_i Y u_i(X)$	F[X,Y,Z]
${\sf V}_{\sf -}{\sf wit}$	V_w	$ \sum_{i=0}^{m-1} b_i X^i + b_{\gamma} Z + b_{\gamma\beta} Y Z + \sum_{i=l}^{n-1} b_i' Y u_i(X) \sum_{i=0}^{m-1} v_i X^i + v_{\gamma} Z + v_{\gamma\beta} Y Z + \sum_{i=l}^{n-1} v_i' Y u_i(X) \sum_{i=0}^{m-1} h_i X^i + h_{\gamma} Z + h_{\gamma\beta} Y Z + \sum_{i=l}^{n-1} h_i' Y u_i(X) $	F[X,Y,Z]
H	H	$\sum_{i=0}^{m-1} h_i X^i + h_{\gamma} Z + h_{\gamma\beta} Y Z + \sum_{i=1}^{m-1} h'_i Y u_i(X)$	F[X,Y,Z]
V	V	$V_s + V_w$	F[X,Y,Z]

Finally, we say that the pair $(a_i)_{i=0}^{l-1}$ and $(a_i)_{i=l}^{n-1}$ is satisfying if

$$\sum_{i=0}^{l-1} a_i u_i(X) + \sum_{i=l}^{n-1} a_i u_i(X) \equiv 1 \mod t$$

that is, on dividing the above polynomial by t, the remainder obtained is 1. The significance of looking at these sums separately is that the witness information is only available to the prover, not the verifier.

4 Supporting lemmas

In this section we state some lemmas that shall assist us in the proof of the final theorem.

The lemma my_multivariable_to_single_variable states that :

Lemma 4. Given a polynomial p in F[X], we have $(mv_polynomial.eval_2 polynomial.C singlify <math>(eval_2 mv_polynomial.C X_poly p)) = p$

This gives tells us that converting a single variable polynomial to a multivariable polynomial and reducing it to a single variable polynomial returns the original polynomial. The proof remains the same if singlify is replaced with an arbitrary function. Thus we use the lemma multivariable_to_single_variable. The proof of this lemma follows simply by unfolding the definitions, using properties of monomials, and the fact that any polynomial p can be written as $\sum_{n} coef f_{p}(X^{n})X^{n}$, along with some simp lemmas.

The following lemma eq_helper is used in h2_1:

Lemma 5. Given natural numbers x and n, $x = j \iff x = j \lor (x = 0 \land j = 0)$

This lemma seems obvious, however, it is quite useful to state beforehand, so it can be used directly in the next lemma. The proof is simple, we split the goal into two statements and get two goals : $x=j \to x=j \lor (x=0 \land j=0)$ and $x=j \lor (x=0 \land j=0) \to x=j$. The first implication is trivial. We must split the second implication into 2 cases : $x=j \to x=j$ and $x=0 \land j=0 \to x=j$. Both implications are trivial.

The next lemma, $h2_1$ states that:

Lemma 6. $\forall 0 \leq i < m$, the coefficient of X^i in B_w (or B_-wit) is b_i .

The lemma follows by tracking quotients, unfolding various definitions, removing coercions and applying the lemmas finsupp.single_eq_single_iff, eq_helper and fin.eq_iff_veq. This is done by applying the tactics simp and unfold_coes. For a full list of lemmas that simp uses, one can apply squeeze_simp.

Following a similar proof as above, the lemma h3_1 is proved:

Lemma 7. The coefficient of Z in B_w (or B_-wit) is b_{γ} .

In fact, a single simp proves this, with an addition of finsupp.single_eq_single_iff.

The lemma $h4_1$ says:

Lemma 8. Suppose that, $\forall 0 \leq i < m, b_i = 0$. Then, $b_i X^i = 0$. Equivalently, the function defined as $f(i) := b_i \cdot X^i$ is the same as the zero function.

The lemma is stated in the function form. Here, \cdot represents scalar multiplication of F on F[X]. The proof uses the tactic ext, which says that functions f and g are equal if and only if $\forall x, f(x) = g(x)$. The conclusion follows from using the hypothesis and applying zero_smul.

The lemma $h5_1$ says:

Lemma 9.
$$b_{\gamma\beta} \cdot ZY = Y(b_{\gamma\beta} \cdot Z)$$

The lemma uses the fact mv_polynomial.smul_eq_C_mul, which says that scalar multiplication of a polynomial by a constant in F is the same as multiplication of the polynomial by the constant polynomial, that is $b \cdot p(X) = b(X) * p(X)$, where $b \in F$ and a polynomial $p(X) \in F[X]$. The tactic ring then finishes the proof by using associativity and commutativity of multiplication. One can check what ring does by looking at show_term{ring}.

The lemma $h6_2$ says:

Lemma 10. The coefficient of Z^2 in Ht + 1 is 0.

The coefficient of Z^2 in Ht+1 is precisely the coefficient of Z^2 in Ht, which is the same as $\sum_{i=0}^2 coeff_H(Z^i)coeff_t(Z^{2-i})$. We know that $coeff_t(Z^i)$ is 0 for every i, which concludes the proof.

The lemma $h6_3$ says:

Lemma 11. Given $(a_i)_{i=0}^{l-1}$, the coefficient of Z^2 in $(b_{\gamma\beta} \cdot Z + \sum_{i=0}^{l-1} a_i u_i(X) + \sum_{j=l}^{n-1} b'_i u_i(X))^2$ is $b_{\gamma\beta}^2$.

The mathematical proof follows by looking at the coefficients. The code relies on first computing the power. This is done by looking at $z^2 = z * z$. One then uses mv_polynomial.coeff_mul to write out the coefficients in terms of sums over the antidiagonal, which is the same as using the binomial theorem. Given a finitely supported function s taking values in the natural numbers, antidiagonal s is the set $\{(m,n)|m+n=s\}$. Given an element s of type s, the function finsupp.single s is should be interpreted as taking value s at s and s at all other elements of vars. Then, it is easy to see that the lemma single_2_antidiagonal follows:

Lemma 12. Given an element s of a random type S,

antidiagonal (finsupp.single s 2) = $\{$ (finsupp.single s 0, finsupp.single s 2), (finsupp.single s 1, finsupp.single s 2, finsupp.single s 0), $\}$

We then use finset.sum_insert (writing the sum over a union of sets as an addition of the sums over each of the sets), finsupp.single_eq_single_iff (finsupp.single a c = finsupp.single b d \iff $a = b \land c = d \lor c = d = 0$) and finset.sum_singleton (evaluating sums over singleton sets), along with some simp lemmas.

5 Main theorem

Let us first make a definition. We define the extractor to be the function $b': \mathbb{Z}/(n-l)\mathbb{Z} \to F$.

We are now ready to prove that the Baby SNARK protocol satisfies the property of knowledge soundness. This means that, if an adversary produces polynomials B(X,Y,Z), V(X,Y,Z), H(X,Y,Z) which satisfy

$$B_w = YV_w \tag{1}$$

$$Ht = V^2 - 1 \tag{2}$$

then one can extract a suitable satisfying witness that the adversary must have knowledge of, which is precisely b'.

We now look at Case 1 in the paper [2], that is, when the above equations hold for all X, Y, Z. This is called $case_1$:

Theorem 1. Given $(a_i)_{i=0}^{l-1}$, m > 0, and B_w, V_w, H satisfy the equations (1) and (2) then a_s and the extractor b' are satisfying.

The proof is done combining 12 sub-lemmas.

5.1 Sub-lemmas

The lemma h1 states that:

Lemma 13. Given a monomial m not having a Y-term (thought of as a finitely supported function from vars to \mathbb{N}), the coefficient of m in B_w is 0.

This follows directly from (1) and $\mathtt{mul_var_no_constant}$, which says that given a monomial m with no s-term and a multivariable polynomial a, the coefficient of m in a * s is 0.

The lemma h2 states that :

Lemma 14. $\forall 0 \le i \le m-1, b_i = 0.$

Given $0 \le i \le m-1$, using 4, we must prove that the coefficient of X^i in B_w is 0. One then uses 1, mul_var_no_constant and finsupp.single_apply ((finsupp.single a b) a' is b if a = a', otherwise it is 0), along with some simp lemmas.

The lemma h3 states that:

Lemma 15. $b_{\gamma} = 0$

First, one uses 4, which reduces to showing that the coefficient of Z in B_w is 0. The proof then follows using 1, mul_var_no_constant and finsupp.single_apply, along with some simp lemmas.

The lemma h4 states that:

Lemma 16.
$$B_w = b_{\gamma\beta}ZY + \sum_{i=1}^{n-1} b_i'Yu_i(X)$$

It suffices to prove that $\sum_{i=0}^{m-1} X^i = b_{\gamma} Z = 0$. The former claim follows from 8 and 14, and the latter from 15, along with some simp lemmas.

The lemma h5 states that:

Lemma 17.
$$V_w = b_{\gamma\beta} Z + \sum_{i=1}^{n-1} b_i' u_i(X)$$

We first multiply both sides by Y using left_cancel_X_mul vars.Y. The result then follows by using 1, 5.1 and 4, along with some simp lemmas.

The lemma h6 states that:

Lemma 18.
$$V(a_i)_{i=0}^l = b_{\gamma\beta}Z + \sum_{i=0}^{l-1} a_i u_i(X) + \sum_{i=1}^{n-1} b_i' u_i(X)$$

This follows easily from the definition of V, and using 17 along with some simp lemmas.

The lemma h7 states that:

Lemma 19.
$$b_{\gamma\beta}=0$$

Consider 2, and expand on it using 18. The statement h6_1 then says that the coefficient of Z^2 in both sides of the equation must be the same. Finally, using 10 and 11, one obtains $b_{\gamma\beta}^2 = 0$, from which the result follows easily, since the field F has no zero divisors.

The lemma h8 states that :

Lemma 20.
$$V(a_i)_{i=0}^l = \sum_{i=0}^{l-1} a_i u_i(X) + \sum_{i=l}^{n-1} b_i' u_i(X)$$

The lemma follows easily using 18, 19 and simp.

The lemma h10 states that:

Lemma 21.
$$(Ht+1) \equiv (V(a_i)_{i=0}^l)^2 \pmod{t}$$

Here, singlify has been used to think of them as single variable polynomials in terms of X. This follows directly from 2.

The lemma h12 states that:

Lemma 22. The multivariable constant polynomial 1 is the same as the multivariable polynomial $\sum_{n}(coef f_1(X^n))X^n$, where, given a polynomial $p \in F[X]$, $coef f_p(X^n)$ denotes the coefficient of X^n in p.

This lemma is dependent on the definition of polynomial.eval_2. The definition of this is very complicated, however, we shall remark that the proof follows directly from the lemma polynomial.eval_2_C.

The lemma h13 states that:

Lemma 23. $(Ht + 1) \equiv H(mod \ t)$ and $(Ht + 1) \equiv 1 \pmod{t}$, where these polynomials are thought of as single variable polynomials.

We first apply polynomial.div_mod_by_monic_unique, which says that, given polynomials f, g, q, r, with g monic, such that f = gq + r and deg(r) < deg(g), then, $f \div_m g = q$ and $f \pmod{g} \equiv r$. Here, \div_m means the quotient when f is divided by g. We must then prove that t is monic (follows from 2), and that the degree of the constant polynomial 1 is larger than deg(t) (follows from 3), along with some simp lemmas.

We are now ready to tackle the proof of the theorem.

5.2 Proof of main theorem

We must prove that, given $(a_i)_{i=0}^{l-1}$,

$$\sum_{i=0}^{l-1} a_i u_i(X) + \sum_{i=l}^{n-1} b_i' u_i(X) \equiv 1 \mod t$$

First, we define h9 to be 20, seen as an element of F[X]. We then use the additivity properties of the eval_2 map, and the lemma 4 on h9. Using h9, it now suffices to prove that mv_polynomial.eval_2 polynomial.C singlify $(V \text{ a.stmt})^2 \equiv 1 \pmod{t}$.

We then use 21 and 4 to change the statement to $(mv_polynomial.eval_2 polynomial.eval_2 polynomial.C singlify H * t + mv_polynomial.eval_2 polynomial.C singlify <math>(mv_polynomial.C 1)$ $\equiv 1 \pmod{t}$.

Finally, the result follows from applying 22,23 and 4 along with some simp lemmas. Yay!

References

- [1] Bolton Bailey. Knowledge soundness of baby snarks. https://github.com/BoltonBailey/formal-snarks-project/blob/master/src/snarks/babysnark/knowledge_soundness.lean, 2021.
- [2] Ye Zhang Andrew Miller and Sanket Kanjalkar. Baby snark (do do dodo dodo). https://github.com/initc3/babySNARK/blob/master/babysnark.pdf, 2020.
- [3] Lean 3. https://github.com/leanprover-community/mathlib/blob/master/src/algebra/big_operators/basic.lean.