

Towards efficient algorithmic aspects of algebraic lattices

Thomas Espitau

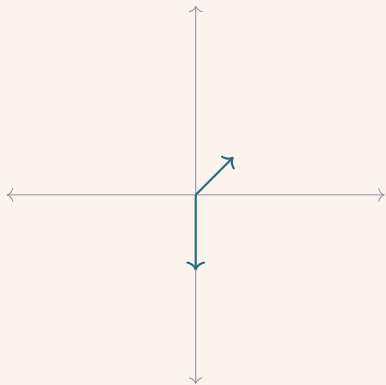
April 3, 2024, Bordeaux

Seminaire CHARM 2024

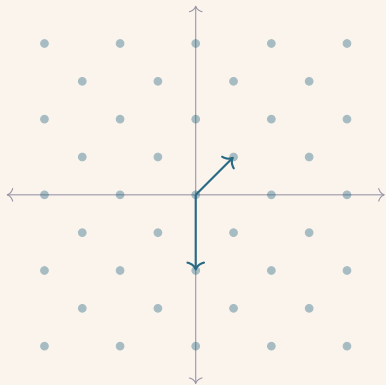
Lattices and their reductions

What is this all about?

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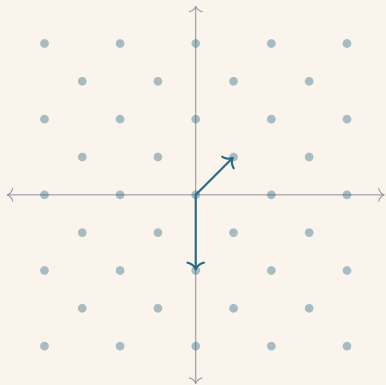
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Lattice

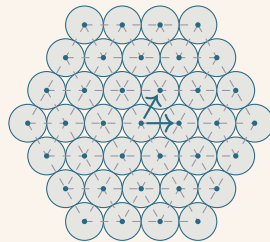
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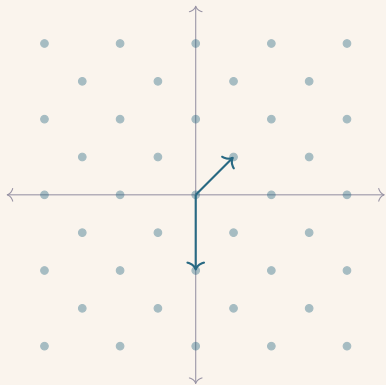
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Sphere Packing problem

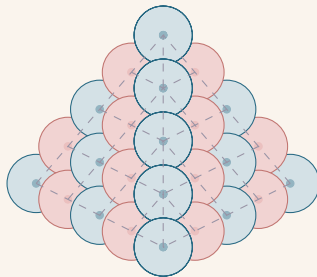
Hexagonal lattice | Lagrange 1773

What is this all about?



Lattice

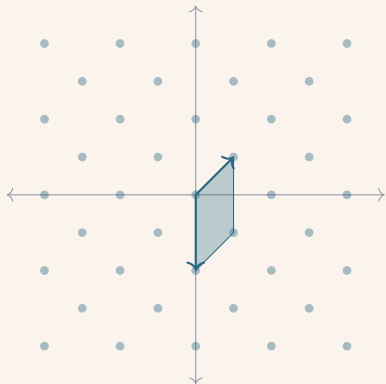
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Sphere Packing problem

Kepler's conjecture | Hales 1999

What is this all about?



Lattice

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The (co)volume $\text{covol}(\Lambda)$ of Λ is the quantity

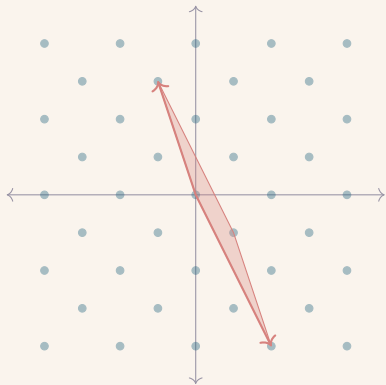
$$\text{covol}(\Lambda) = \sqrt{\det \langle v_i, v_j \rangle}$$

Corresponds to the volume of the fundamental domain

$$\left\{ \sum x_i v_i \mid 0 \leq x_i < 1 \right\}.$$

(also the volume (no "co") of the variety \mathbb{R}^n / Λ)

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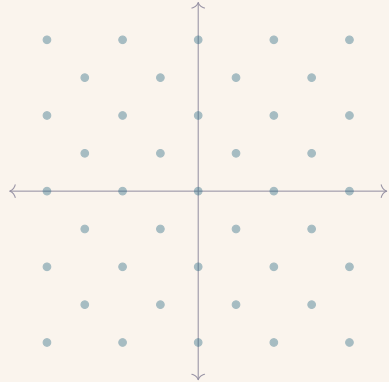
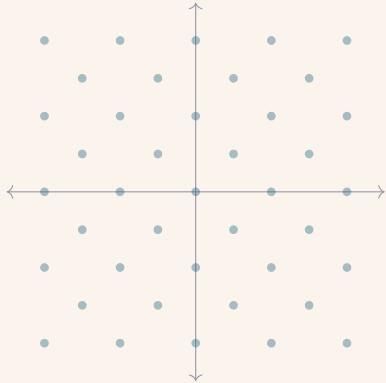
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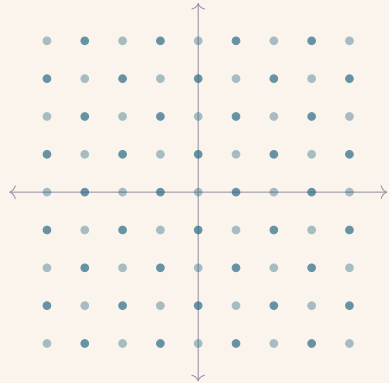
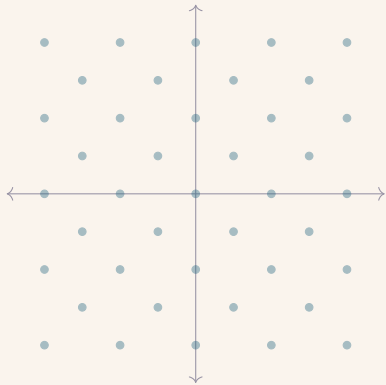
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Independent of the basis

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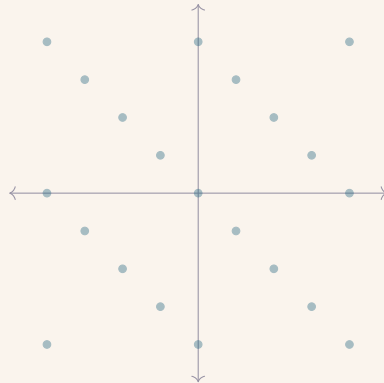
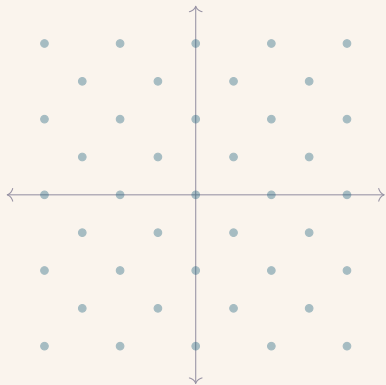


What is this all about?



$$\text{covol}(\Lambda) = 2 \text{covol}(\Lambda')$$

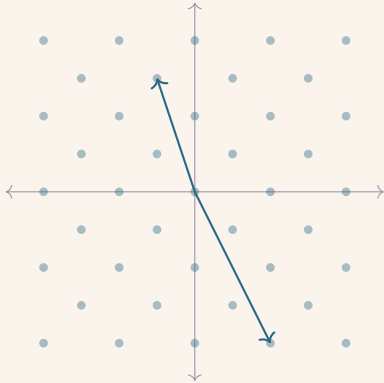
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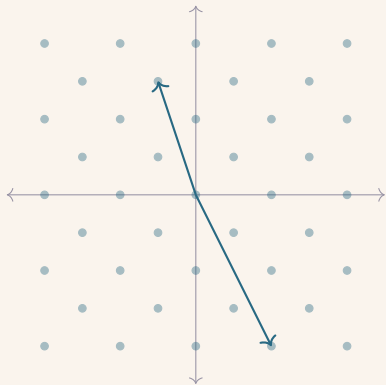
$$\text{covol}(\Lambda) = \frac{1}{2} \text{covol}(\Lambda')$$

What is this all about?

How to get a shorter basis?



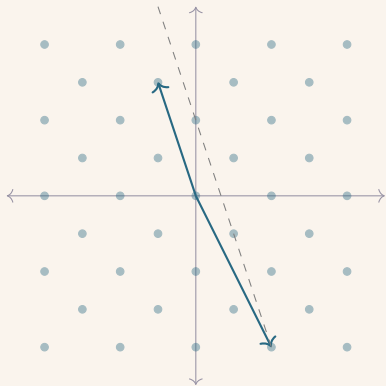
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How to get a shorter basis?

→ Use the shortest vector to reduce the longest one.

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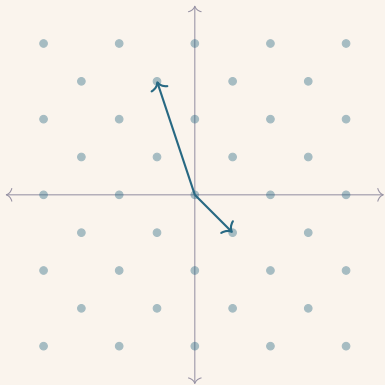


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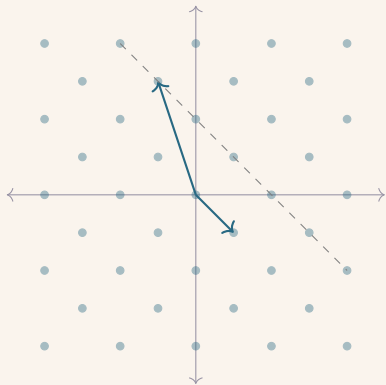


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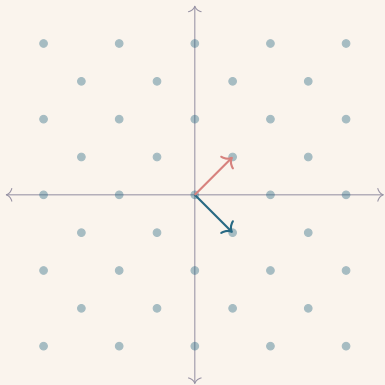


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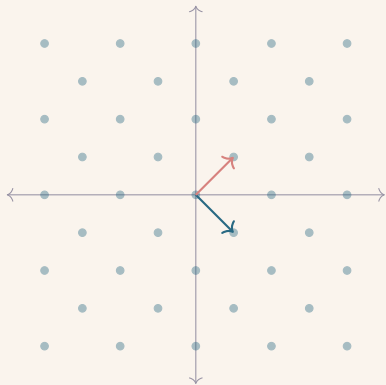


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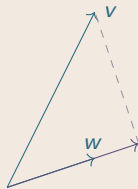


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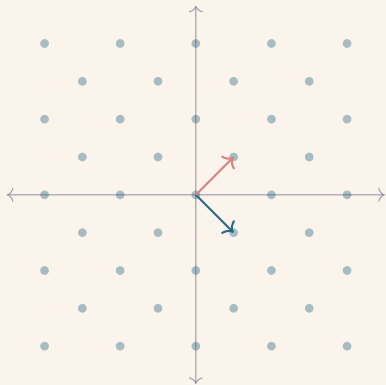
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Effective computing of this element:

1. Orthogonal projection $\frac{\langle w, v \rangle}{\langle w, w \rangle} w$



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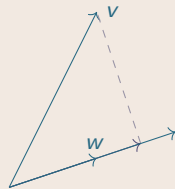


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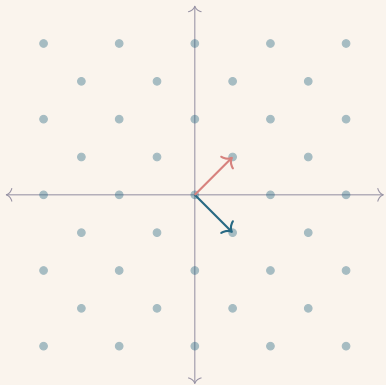
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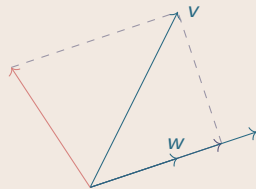
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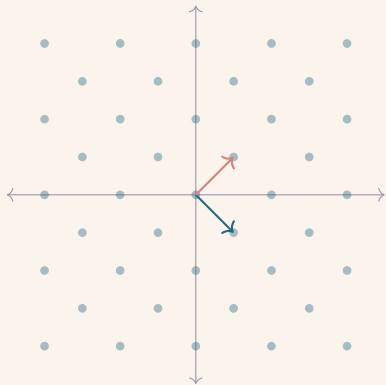
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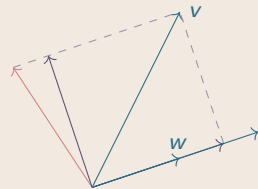


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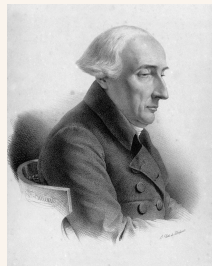
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In dim 2... The Gauss(-Lagrange) reduction algorithm

Gauss-Lagrange reduction

- 1 if $\|v\| < \|u\|$ then return
 Gauss(v, u);
- 2 $v' \leftarrow v - \left\lfloor \frac{\langle u, v \rangle}{\|u\|^2} \right\rfloor u$;
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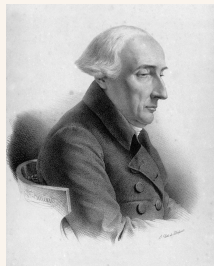
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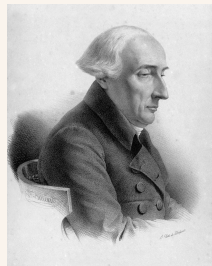
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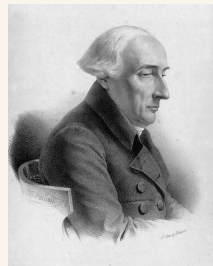
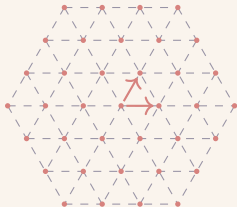
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- $\|u\|^2 \leq (4/3) \text{covol}(\Lambda)$

And now what?

Minkowski's theorem for first minima: For any lattice Λ of rank d ,

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Minkowski-Hermite's theorem for first minima: For any lattice Λ of rank d ,

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And now what?

Finding the shortest/closest vector in a lattice is **hard**

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[LLL82] *There exists a **polynomial-time algorithm**, which given any lattice Λ , produces a vector in Λ of Euclidean length **at most** a factor of 2^n longer than the shortest vector.*

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- Cryptanalysis Knapsack problem , RSA for small public exponents, lattice-based cryptography...
- Computations in algebraic number theory (ideal computations, HNF, control of size of elements...)

What can we do with a reduction in rank 2 ?

Any basis (v_1, \dots, v_d) of a lattice Λ yields a filtration given by $(\Lambda_i = v_1\mathbb{Z} \oplus \dots \oplus v_i\mathbb{Z})$

$$\{0\} = \Lambda_0 \subset \Lambda_1 \subset \dots \subset \Lambda_{i-1} \subset \Lambda_i \subset \Lambda_{i+1} \subset \dots \subset \Lambda_d = \Lambda$$



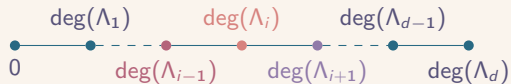
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- Profile (1 dim datum of the filtration):



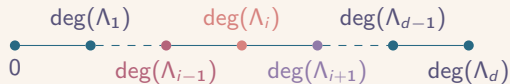
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- Where are the natural rank 2 lattices around here?

$$\Lambda^* = \Lambda_{i+1} / \Lambda_{i-1}$$

(endowed with the *quotient norm*)

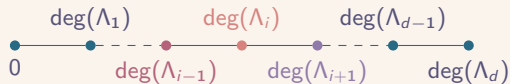
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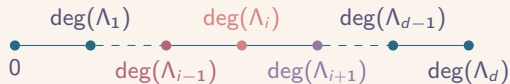
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Action of the reduction

$$2 \deg(\Lambda') \leq \deg(\Lambda^*) + \log\left(\frac{4}{3}\right)$$

(by *Hermite inequality + log*)

Continuing...

Lifting and replacing in the filtration: find Λ'_i

s.t.:

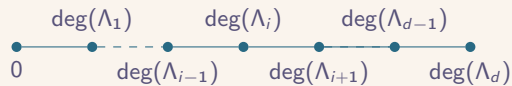
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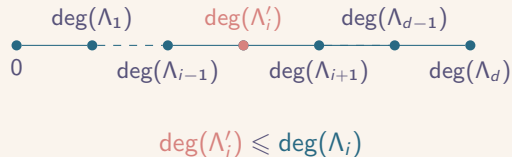


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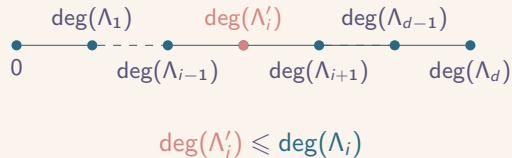


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Result on the profile space:



Gauss's reduction is a *local* tool for densifying the filtration

Effective lifting and size-reduction

Effective lifting

- Boils down to replace v_i by a *small* representative of a basis of $\Lambda' = v + \Lambda_{i-1}$:

CVP instance

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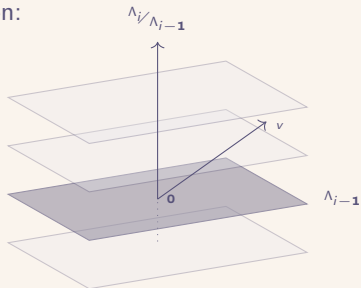
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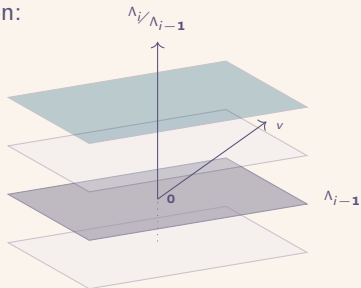
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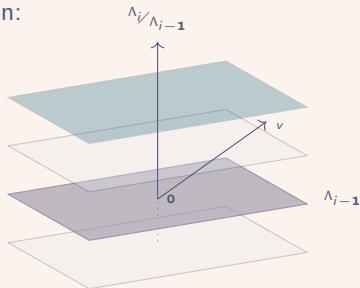
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Lifting

```
1 for  $j = k - 1$  down to 1 do  
2    $v \leftarrow v - \left\lfloor \frac{\langle v_k, \pi_j(v_j) \rangle}{\|\pi_j(v_j)\|^2} \right\rfloor \cdot v_j$   
3 end for
```

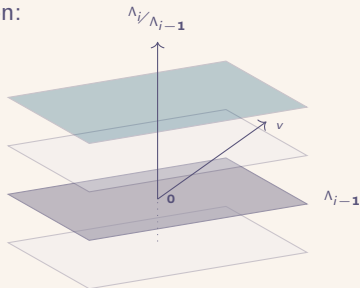

Effective lifting and size-reduction

Effective lifting

- Boils down to replace v_i by a *small* representative of a basis of $\Lambda' = v + \Lambda_{i-1}$:

CVP instance

- Perform an *approx-CVP* by using the filtration:



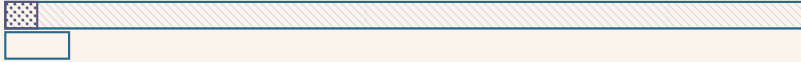
Size-reduction

```
1 for  $k = 2$  to  $d$  do
2   for  $j = k - 1$  down to 1 do
3      $v_k \leftarrow v_k - \left\lceil \frac{\langle v_k, \pi_j(v_j) \rangle}{\|\pi_j(v_j)\|^2} \right\rceil \cdot v_j$ 
4   end for
5 end for
6 return  $(v_1, \dots, v_d)$ 
```

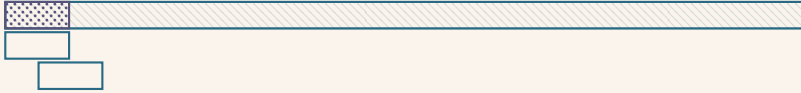
From local to global: an iterative strategy



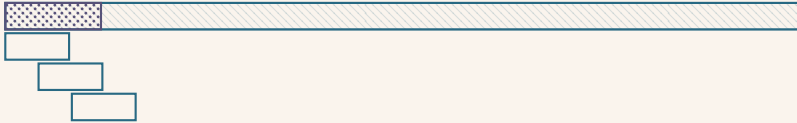
From local to global: an iterative strategy



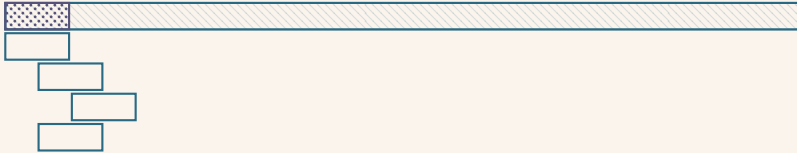
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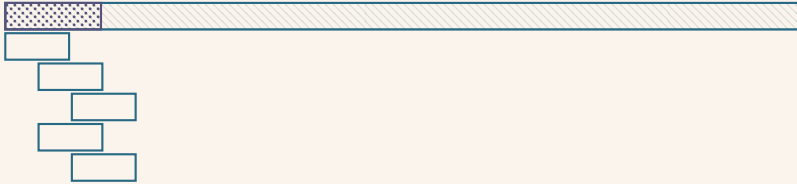
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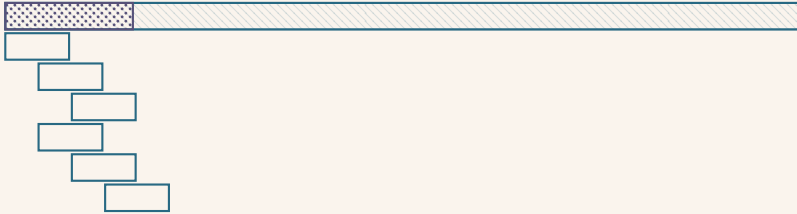
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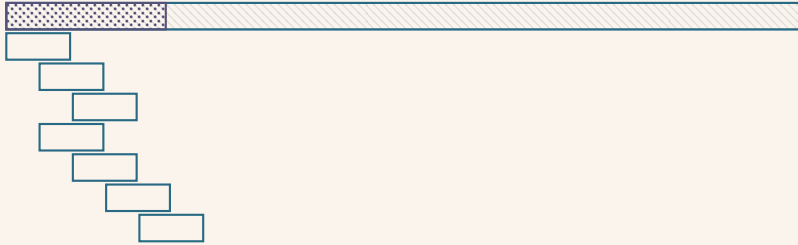
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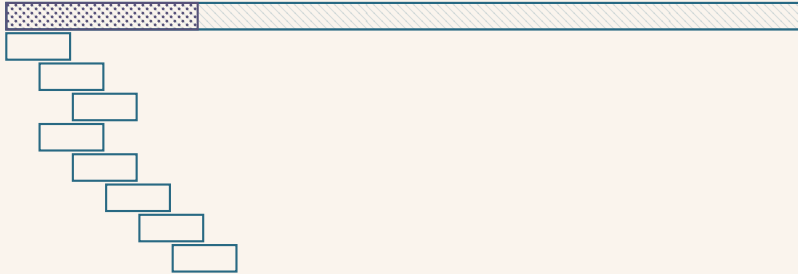
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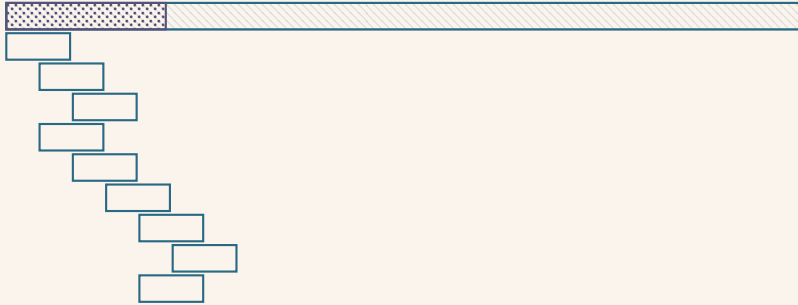
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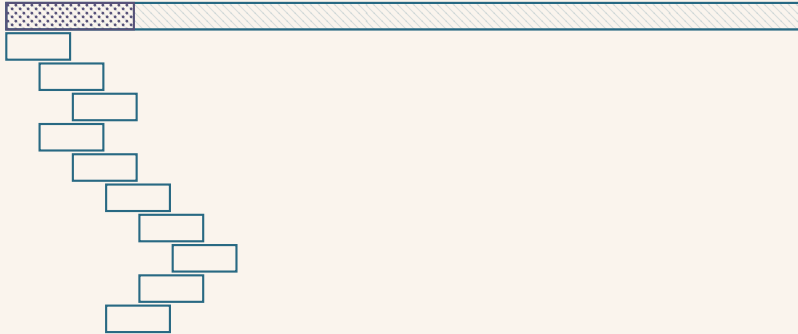
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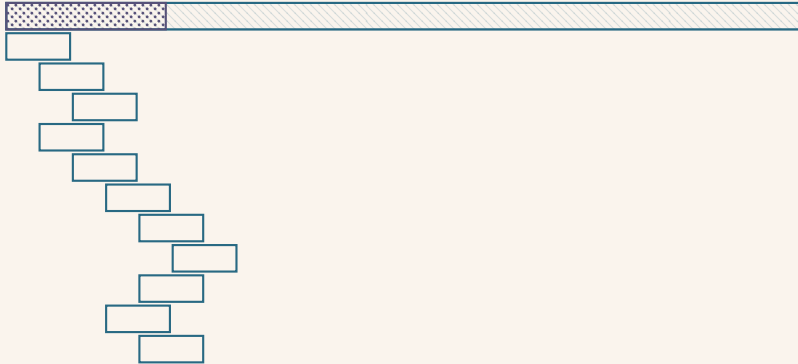
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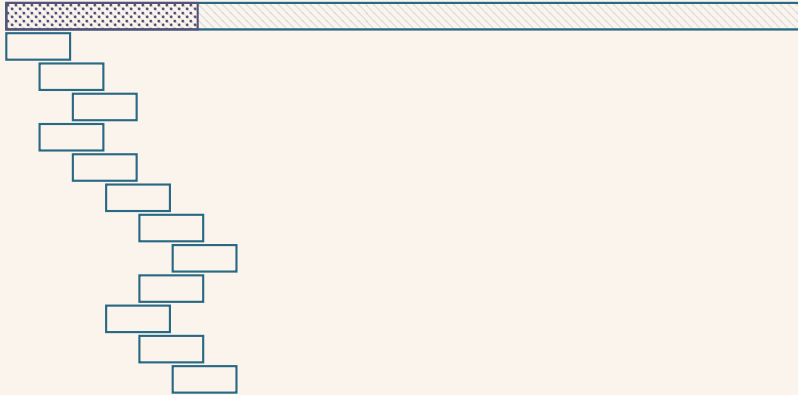
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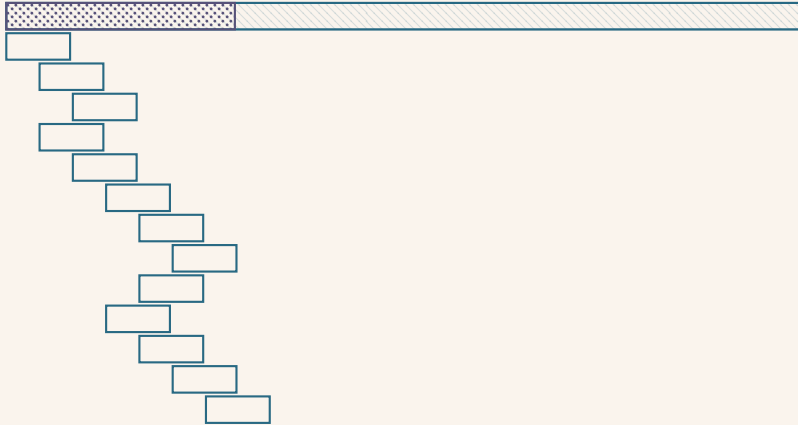
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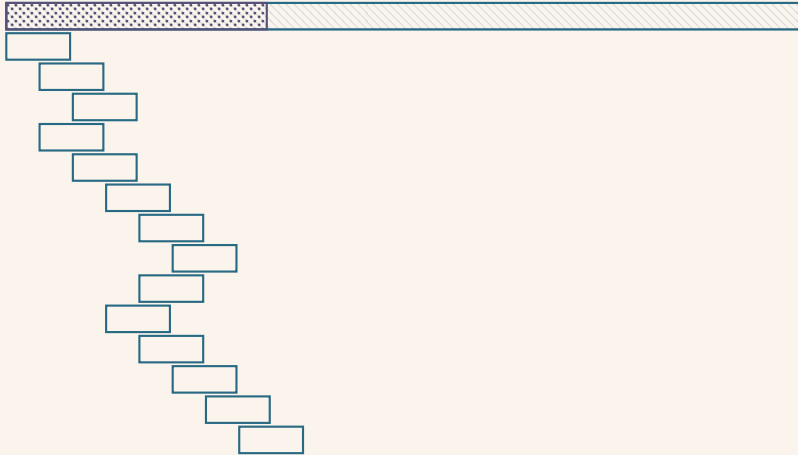
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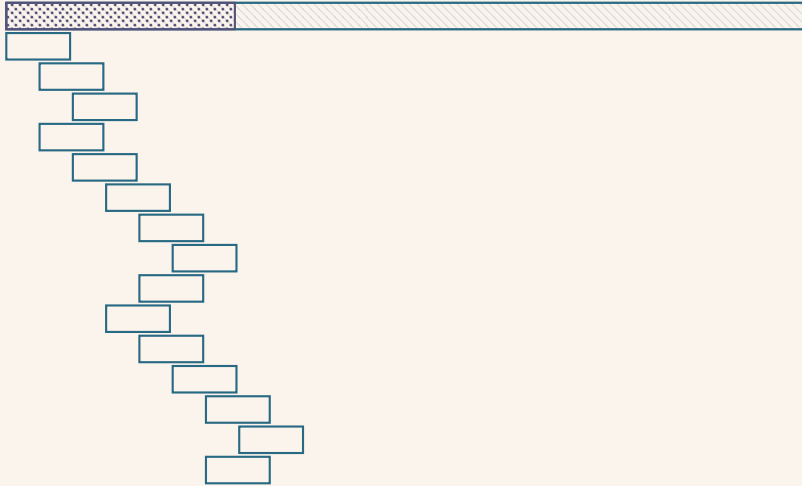
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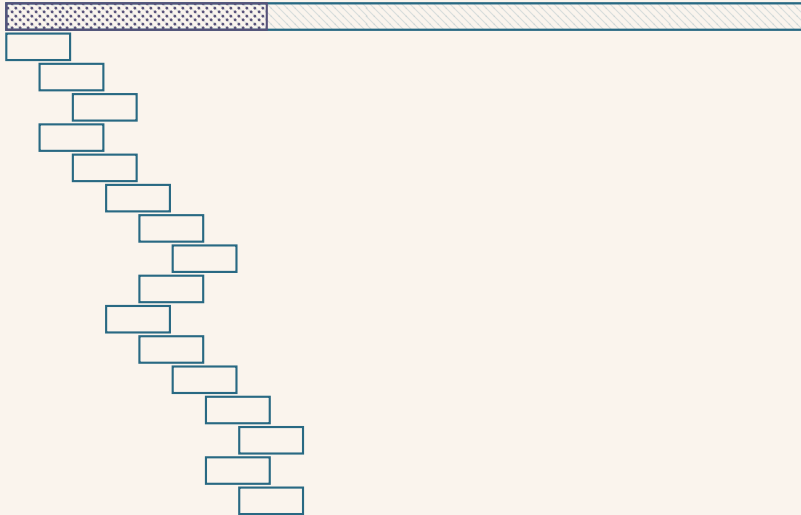
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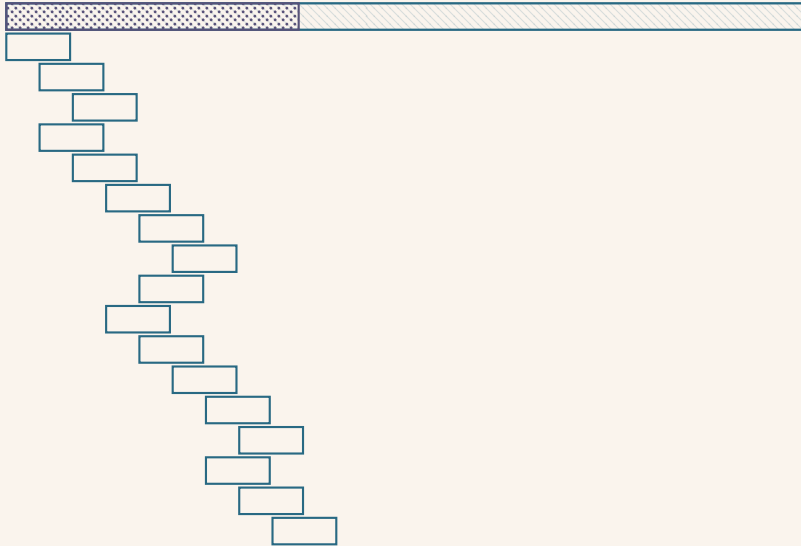
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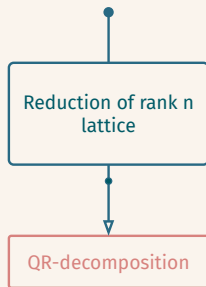
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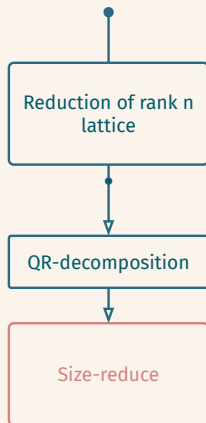
Diagrammatically !



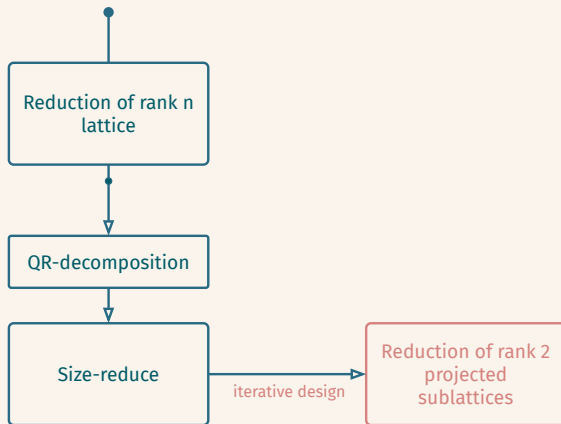
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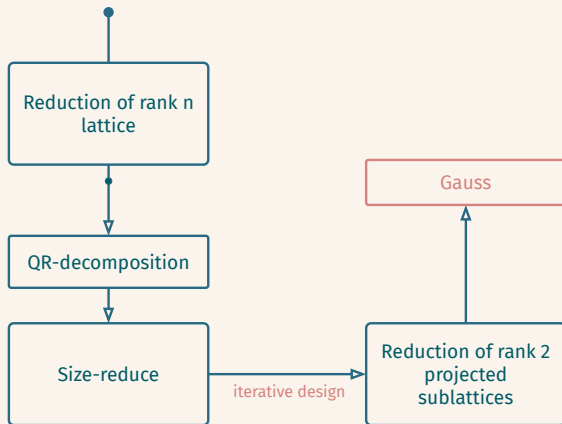
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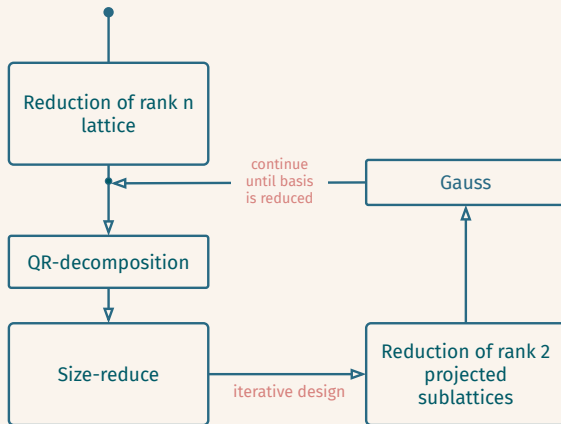
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LLL reduced basis

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- Size-Reduction condition
(*lifts is as good as possible*)

$$\forall i < j, \quad |\langle v_j, \pi_i(v_i) \rangle| \leq \frac{1}{2} \|\pi_i(v_i)\|^2$$

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(*Each quotients are reduced*)

$$\forall i, \quad \delta \operatorname{covol}(\Lambda_i) \leq \operatorname{covol}(\Lambda_{i-1} \oplus v_{i+1} \mathbb{Z})$$

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Effective version of Hermite's inequality:

$$\gamma_d \leq \gamma_2^{d-1}$$

Guarantees offered by LLL

$$\operatorname{covol}(\Lambda_k) \leq \left(\delta - \frac{1}{4} \right)^{-\frac{(d-k)k}{4}} \operatorname{covol}(\Lambda)^{\frac{k}{d}}$$

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Peter van Emde Boas, László Lovász, Hendrik Lenstra and Arjen Lenstra.

(Bonn on 27/02/1982)

But... How fast is this reduction?

	Variant	Complexity	
naive arithmetic		$O(d^6 \log^3 \ B\ _\infty)$	naive
	Textbook	$O\left(\frac{d^5 \log^2 \ B\ _\infty}{d + \log \ B\ _\infty} M(d + \log \ B\ _\infty)\right)$	refined
	» Bottleneck: size of numerators/denominators in GSO computations «		
floating point	Nguyen-Stehlé (2009)	$O(d^5(d + \log(\ B\ _\infty)) \log(\ B\ _\infty))$	lazy size-reduction
	Neumaier-Stehlé (2016)	$O(d^{4+\epsilon} \log(\ B\ _\infty)^{1+\epsilon})$	recursive strategy

Generalization: towards algebraic lattices

Number fields and algebraic lattices

Number field

- Finite extension of \mathbb{Q} :

$$L \cong \mathbb{Q}[X]_{/(P)}$$

- Ring of integers:

$$\mathcal{O}_L = \{\alpha \mid \exists R \in \mathbb{Z}[X] \text{ monic, } R(\alpha) = 0\}$$

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$$\mathcal{O}_{\mathbb{Q}} = \mathbb{Z}$$

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Lattice

A (Euclidean) lattice Λ is a *discrete* subgroup of a Euclidean space (say \mathbb{R}^n).

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Let's look at the trace on $(L \otimes \mathbb{R})^d$

Number fields and algebraic lattices

(Natural?) Hermitian structure

Take your favorite sesquilinear map

$$g : \Lambda_{\mathbb{R}} \times \Lambda_{\mathbb{R}} \rightarrow L_{\mathbb{R}} \text{ (for instance as vectors)}$$
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Trace tr

Additive notion

encode the length of the element when seen as a vector in $\mathbb{C}^{\deg(L)}$.

Better for the geometry !

Norm N

Multiplicative notion

encode the $\deg(L)$ - "volume" of the lattice spanned by the element)

better with the arithmetic !

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$$\langle x, Hy \rangle = \sum_{\sigma: L \rightarrow \mathbb{C}} \langle x, H_{\sigma} y \rangle_{\sigma}$$

Corresponds to **Humbert forms** ("posdef symmetric" matrix over L)

Algebraic lattice

An algebraic lattice Λ is a projective \mathcal{O}_L -module of finite rank, endowed with a Humbert form on the space $\Lambda \otimes_{\mathbb{Z}} \mathbb{R}$.

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Examples I

- $\mathcal{O}_{\mathbb{Q}}^n = \mathbb{Z}^n$ is a rank n lattice for the form Id (!)
- \mathcal{O}_L is a rank 1 lattice for the form $\text{Id}_1 = (1)$
- \mathcal{O}_L^2 is a rank 2 lattice for the form Id_2
- $\begin{pmatrix} f \\ g \end{pmatrix} \mathcal{O}_L \oplus \begin{pmatrix} F \\ G \end{pmatrix} \mathcal{O}_L$ is a rank 2 lattice... (if f, g are small it's nothing less than NTRU).

Algebraic lattice

An algebraic lattice Λ is a **projective** \mathcal{O}_L -module of finite rank, endowed with a **Humbert form** on the space $\Lambda \otimes_{\mathbb{Z}} \mathbb{R}$.

Examples II

- More complicated, adding projectivity in the mix:

$\mathfrak{a} \subset (\mathcal{O}_L, \text{Id}_1)$ is a sublattice of rank 1 (not free unless \mathfrak{a} is principal)

- As \mathcal{O}_L is a **Dedekind domain**:

$$\mathcal{O}_L \cong v_1 \mathfrak{a}_1 \oplus v_2 \mathfrak{a}_2 \oplus \cdots \oplus v_n \mathfrak{a}_n$$

is the general form of a projective module of rank n .

Algebraic lattice

An algebraic lattice Λ is a projective \mathcal{O}_L -module of finite rank, endowed with a Humbert form on the space $\Lambda \otimes_{\mathbb{Z}} \mathbb{R}$.

Generic form of an algebraic lattice

$$(v_1 \mathfrak{a}_1 \oplus v_2 \mathfrak{a}_2 \oplus \cdots \oplus v_n \mathfrak{a}_n, (H_\sigma)_{\sigma: L \rightarrow \mathbb{C}})$$

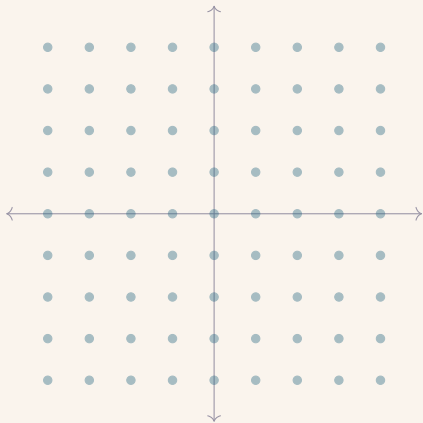
Algebraic lattice

An algebraic lattice Λ is a projective \mathcal{O}_L -module of finite rank, endowed with a Humbert form on the space $\Lambda \otimes_{\mathbb{Z}} \mathbb{R}$.

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A bit more examples, this time with drawings



The Gaussian integers

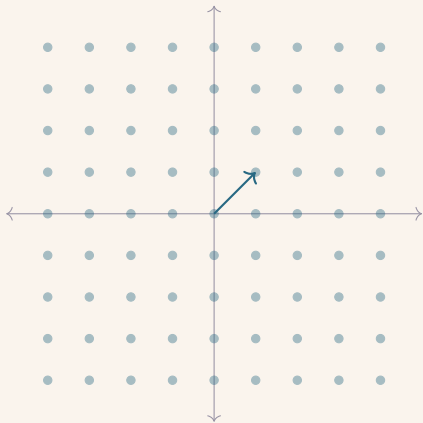
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$$L = \mathbb{Q}(i) = \mathbb{Z}[T]/T^2 + 1$$

- $\mathcal{O} = \mathbb{Z}[i] := \{a + ib \mid a, b \in \mathbb{Z}^2\}$
- We take the identity form Id , so that the L -inner product is simply the multiplication: $(x, y) \mapsto \bar{x}y$.

(in dim 2, already in \mathbb{Q} : unclear why we need to norm or trace)

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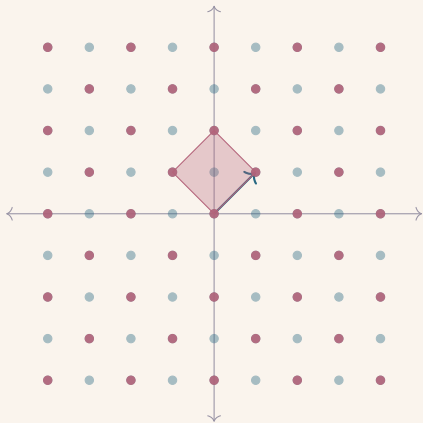
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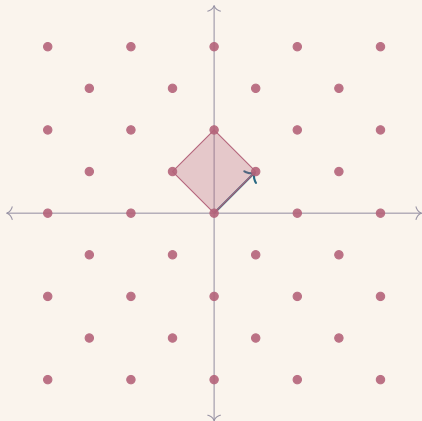
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A bit more examples, this time with drawings



\mathfrak{a} is both a dim 1 lattice (over \mathcal{O}) and a 2 dimensional lattice (over \mathbb{Z})

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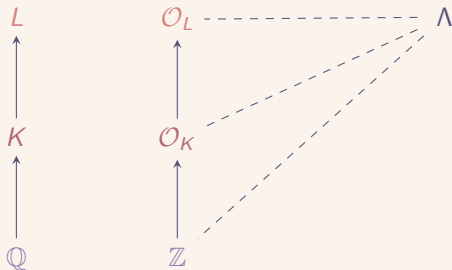
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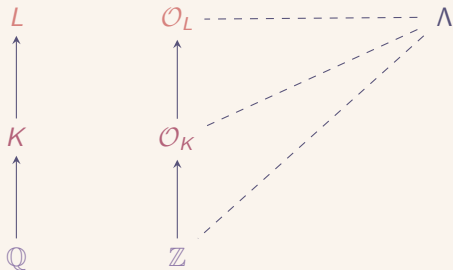
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On the recursive structure of algebraic lattices: baby Galois descent



- The structure of an algebraic module is not **unique**. It depends on the **base ring**.
- For a tower $\mathbb{Q} \subset K \subset L$, an \mathcal{O}_L lattice can be *descended* to:
 - an \mathcal{O}_K lattice (of rank $\times [L : K]$)
 - a \mathbb{Z} lattice (of rank $\times [L : \mathbb{Q}]$).
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- The form is descended *canonically*
- Over \mathbb{Z} , recovers the **trace norm** (here we know how to do the reduction !)

How to do reduction at the top level, for the norm?

A very philosophical question

What is the *right* notion of λ_1 ?

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What is the *right* notion of λ_1 ?

- Is it the shortest vector? (vector taken for trace norm) (in this case use \mathbb{Z} -lattice reduction for tr)
- Is it the densest (free? projective?) sublattice of rank 1? (vector/vector+ideal taken by the volume) ... but **How?**

A very philosophical question

What is the *right* notion of λ_1 ?



"I can't cut the grass until I find the lawnmower and I can't find the lawnmower until I cut the grass"

Reduction of algebraic lattices

How to attack the reduction problem?

→ **Idea:** Try to keep the core design principles of what we saw.

How to attack the reduction problem?

(Pseudo)-basis $(v_1\mathfrak{a}_1, \dots, v_d\mathfrak{a}_d)$ gives

$$\Lambda_i = v_1\mathcal{O}_L \oplus \dots \oplus v_i\mathcal{O}_L$$

$$\{0\} \subset \Lambda_1 \subset \dots \subset \Lambda_i \subset \dots \subset \Lambda_d = \Lambda$$

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- Work on \mathcal{O}_L -filtrations of the lattice

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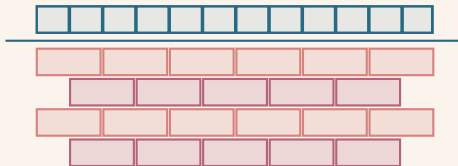
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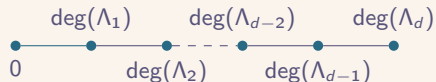
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A round of local reductions acts as a *discretized* Laplacian operator on the profile space':



- (discrete) *diffusion property* of the solution of the heat equation

$$\frac{\partial u}{\partial t} = \alpha \Delta u$$

- Characteristic time is *quadratic* in the diameter of the space $\rightarrow O(d^2)$ steps

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- Work on \mathcal{O}_L -filtrations of the lattice
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- Over \mathbb{Z} : requires integral rounding



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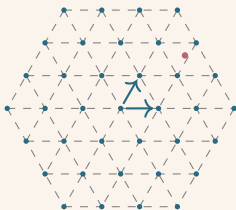
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- Translated over \mathcal{O}_L : find the closest element in the ring: instance of CVP



- Approx-CVP suffices (just do the coefficient-wise rounding!)

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In $L = \mathbb{Q}[\zeta_{16}]$:

$$x = \frac{65210}{3}\zeta^7 + \frac{78658}{3}\zeta^6 - 41412\zeta^5 + \frac{16567}{3}\zeta^4 + \\ 36970\zeta^3 - \frac{100235}{3}\zeta^2 - \frac{145843}{12}\zeta + \frac{86961}{2}.$$

- We have: $N_{L/\mathbb{Q}}(x)^{\frac{1}{8}} \approx 6.6758$
- Embeddings:

$$|\sigma_1(x)| = |\sigma_{15}(x)| \approx 2771.189$$

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Unit rounding for cyclotomics

There is a quasi-linear randomized algorithm that given $x \in (\mathbb{R} \otimes K)^\times$ finds unit $u \in \mathcal{O}_K^\times$ such that for any field embedding $\sigma : K \rightarrow \mathbb{C}$:

$$\sigma(xu^{-1}) = 2^{O(\sqrt{f \log f})} N_{K/\mathbb{Q}}(x)^{\frac{1}{\varphi(f)}}$$

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- We have: $N_{L/\mathbb{Q}}(x)^{\frac{1}{8}} \approx 6.6758$
- When using **Unit**:

$$\begin{aligned} \left| \sigma_1 \left(\frac{x}{u} \right) \right| &= \left| \sigma_{15} \left(\frac{x}{u} \right) \right| \approx 7.83729 \\ \left| \sigma_3 \left(\frac{x}{u} \right) \right| &= \left| \sigma_{13} \left(\frac{x}{u} \right) \right| \approx 7.33868 \\ \left| \sigma_5 \left(\frac{x}{u} \right) \right| &= \left| \sigma_{11} \left(\frac{x}{u} \right) \right| \approx 5.93346 \\ \left| \sigma_7 \left(\frac{x}{u} \right) \right| &= \left| \sigma_9 \left(\frac{x}{u} \right) \right| \approx 5.82028. \end{aligned}$$

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Size-Reduce

```
1  $U \leftarrow \text{Id}_{d,d}$ 
2 for  $i = 1$  to  $d$  do
3    $D \leftarrow D_i(\text{Unit}(R_{i,i}));$ 
4    $(U, R) \leftarrow (U, R) \cdot D^{-1};$ 
5   for  $j = i - 1$  down to  $1$  do
6      $\sum_{\ell=0}^{n-1} r_{\ell} X^{\ell} \leftarrow R_{i,j}/R_{j,j}$ 
7      $\mu \leftarrow \sum_{\ell=0}^{n-1} \lfloor r_{\ell} \rfloor X^{\ell}$ 
8      $(U, R)^* = T_{i,j}(-\mu)$ 
9   end for
10 end for
11 return  $U$ 
```

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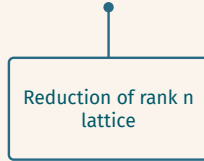
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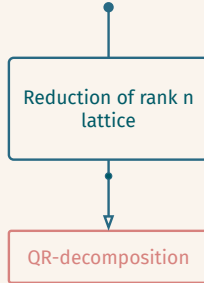
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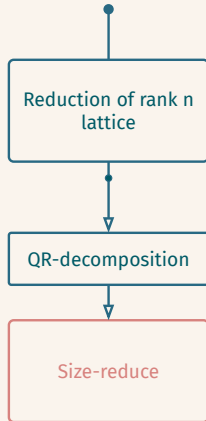
As a flowchart



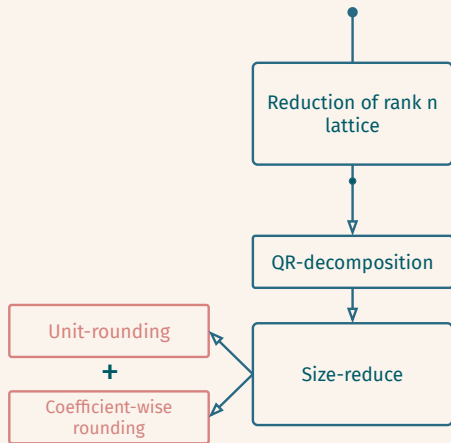
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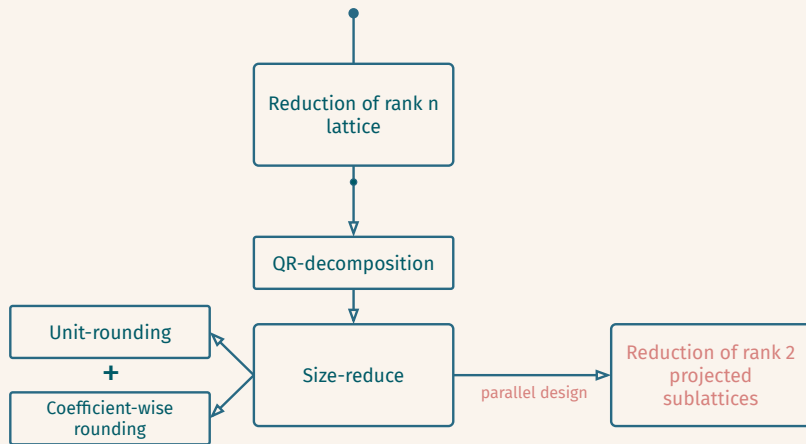
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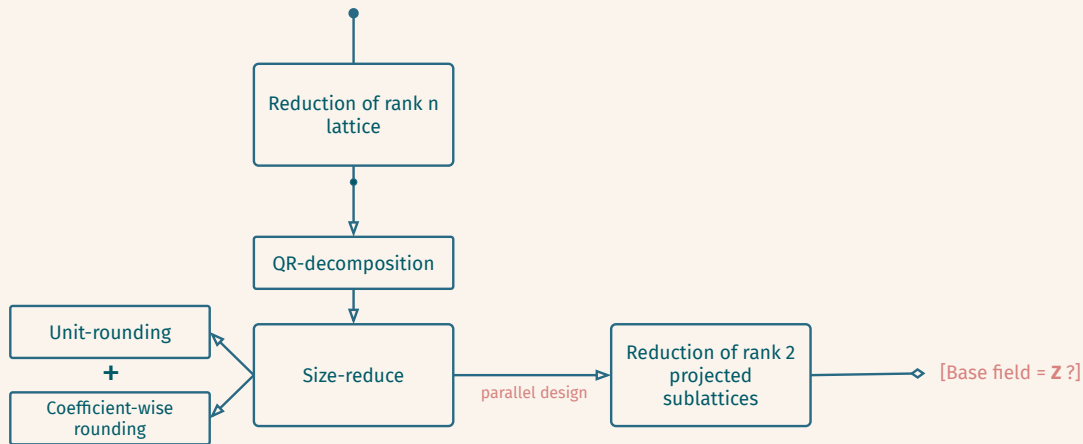
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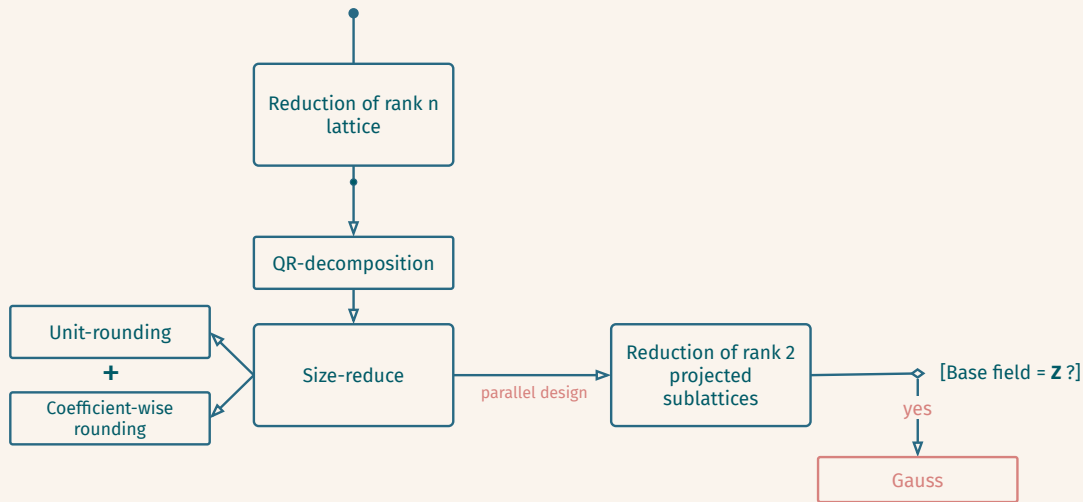
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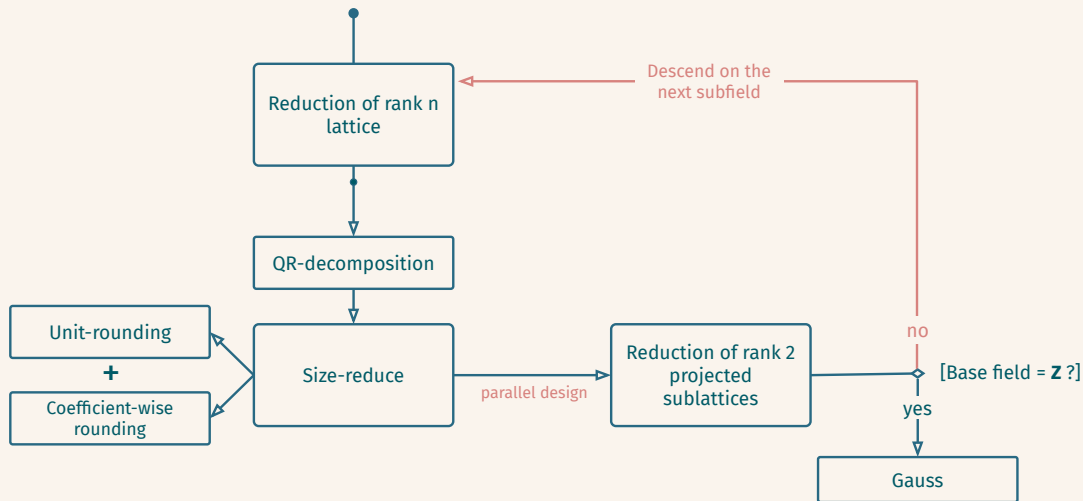
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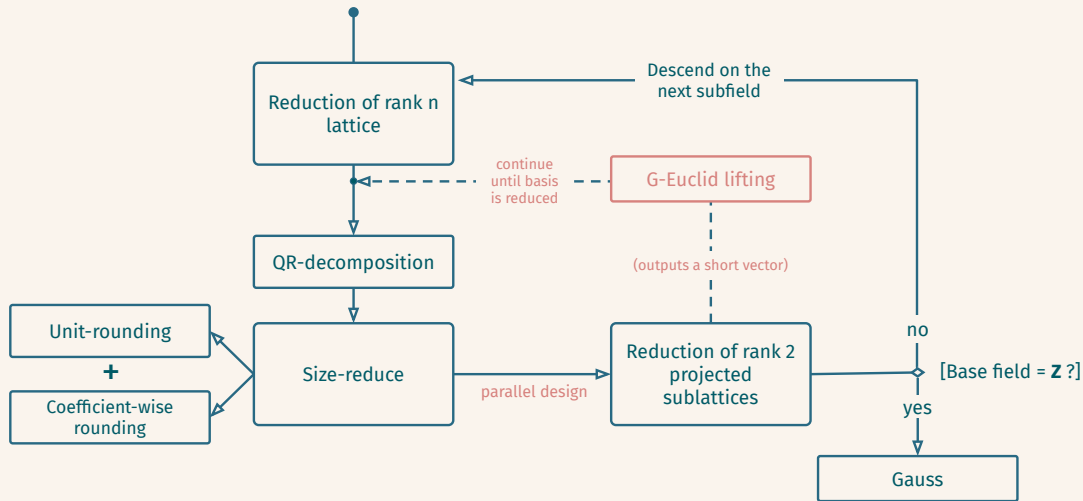
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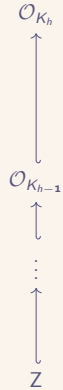
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General strategy



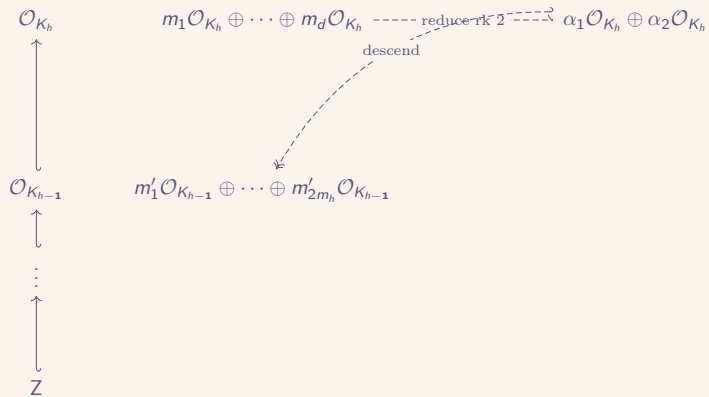
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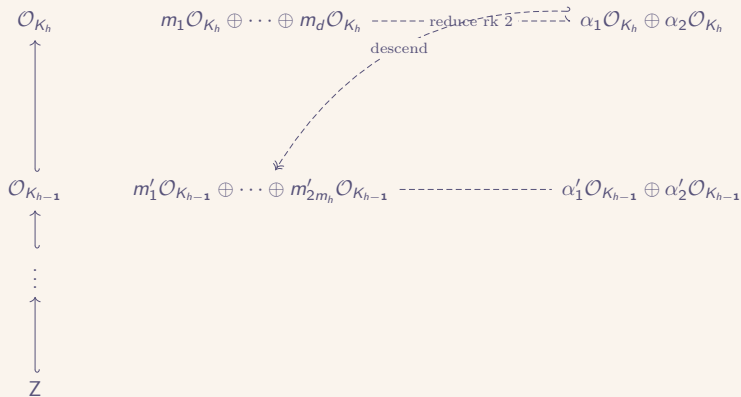
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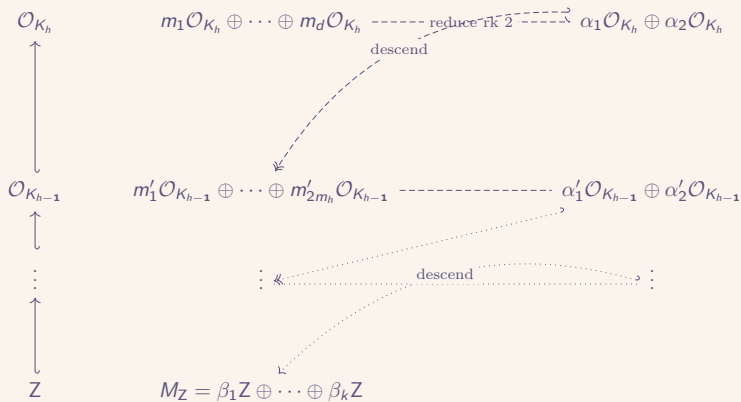
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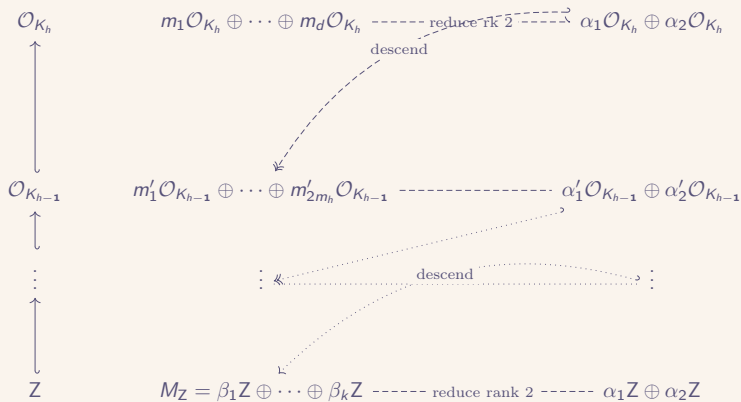
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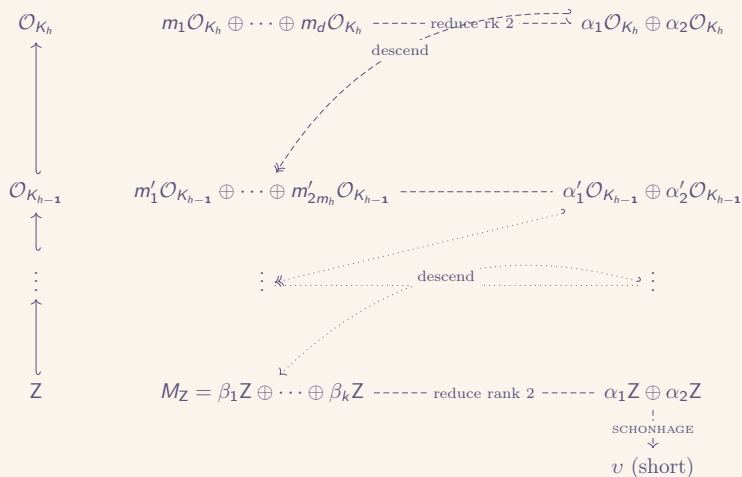
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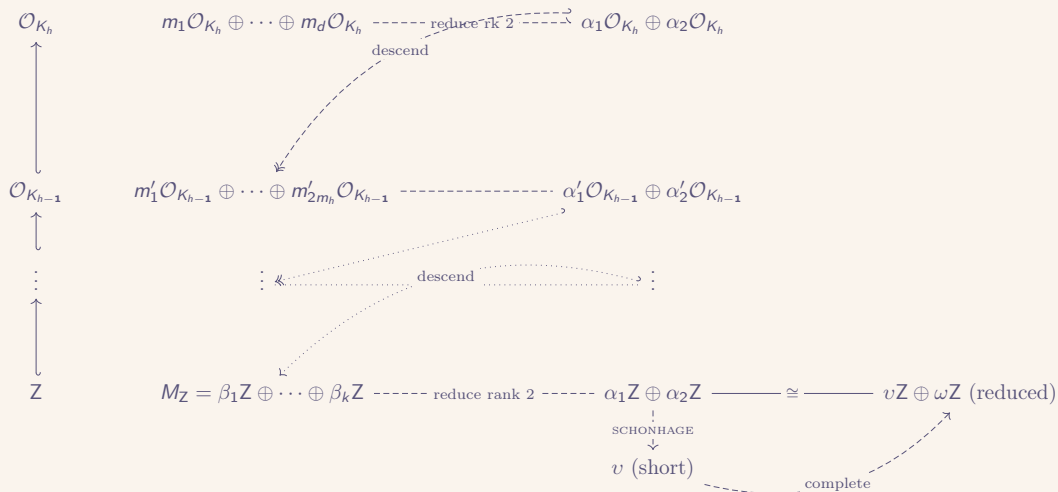
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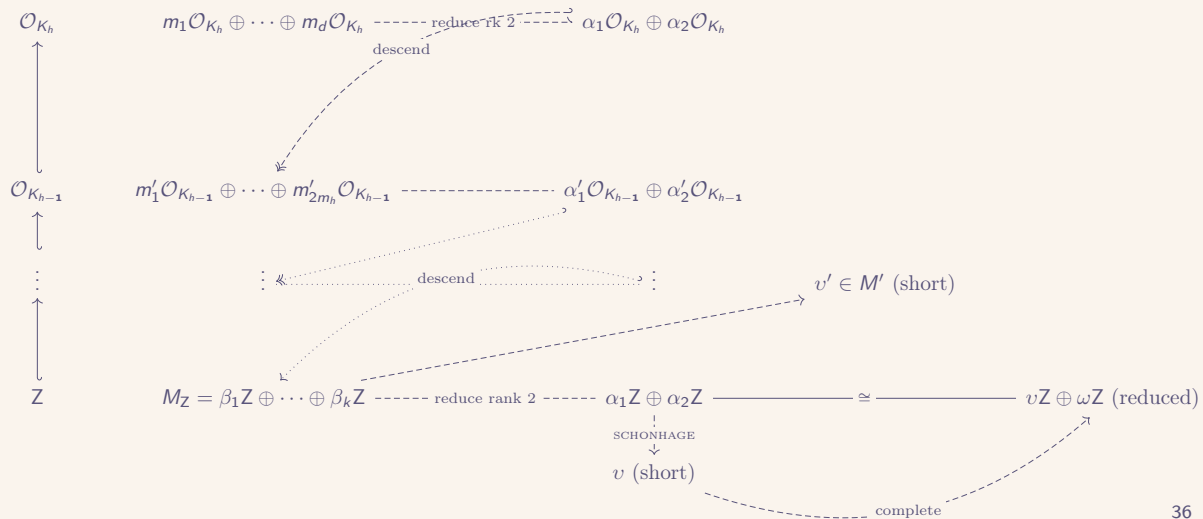
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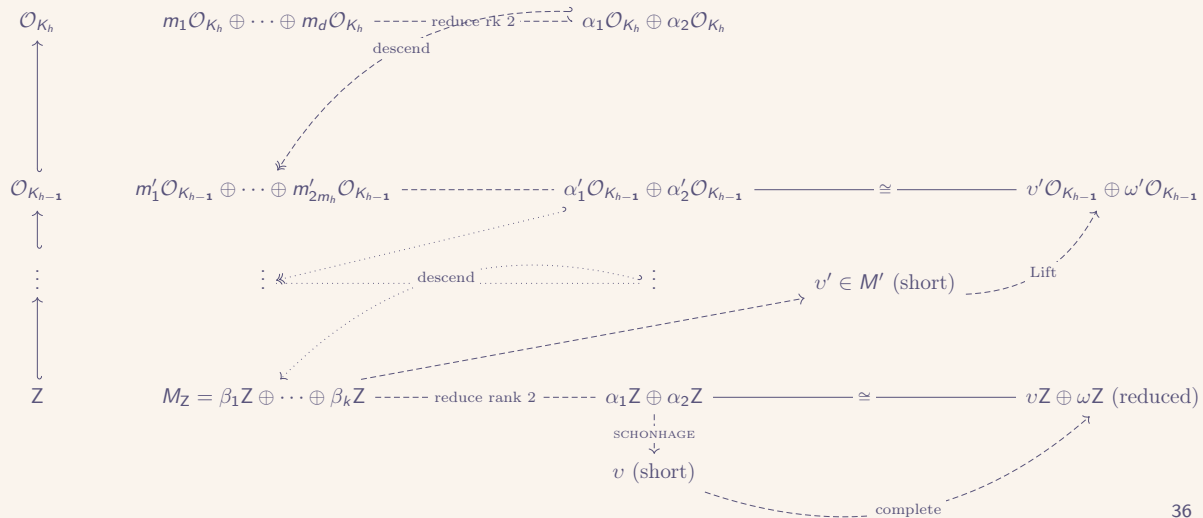
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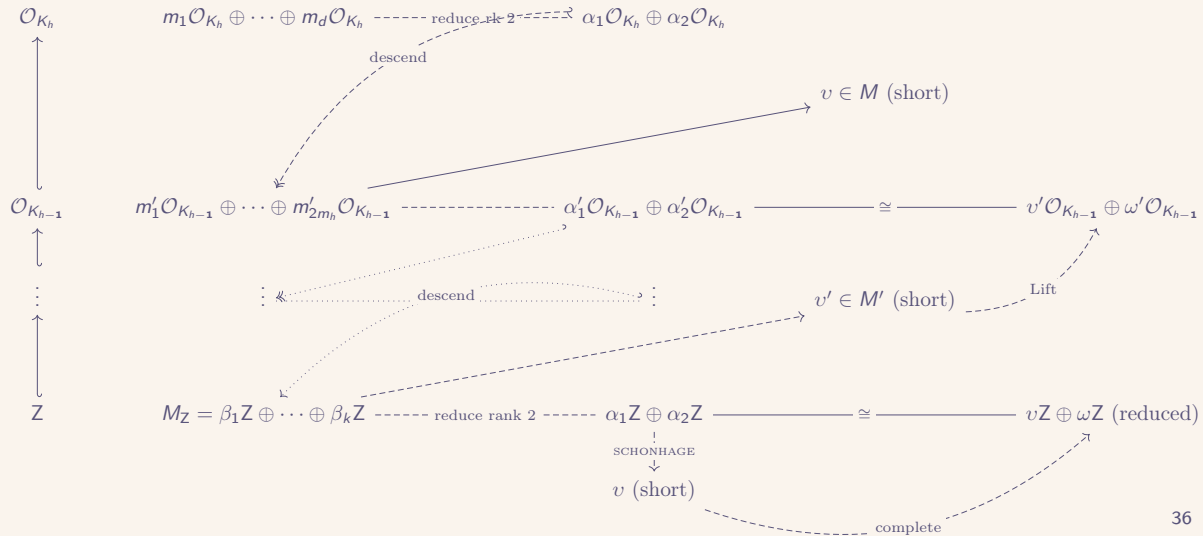
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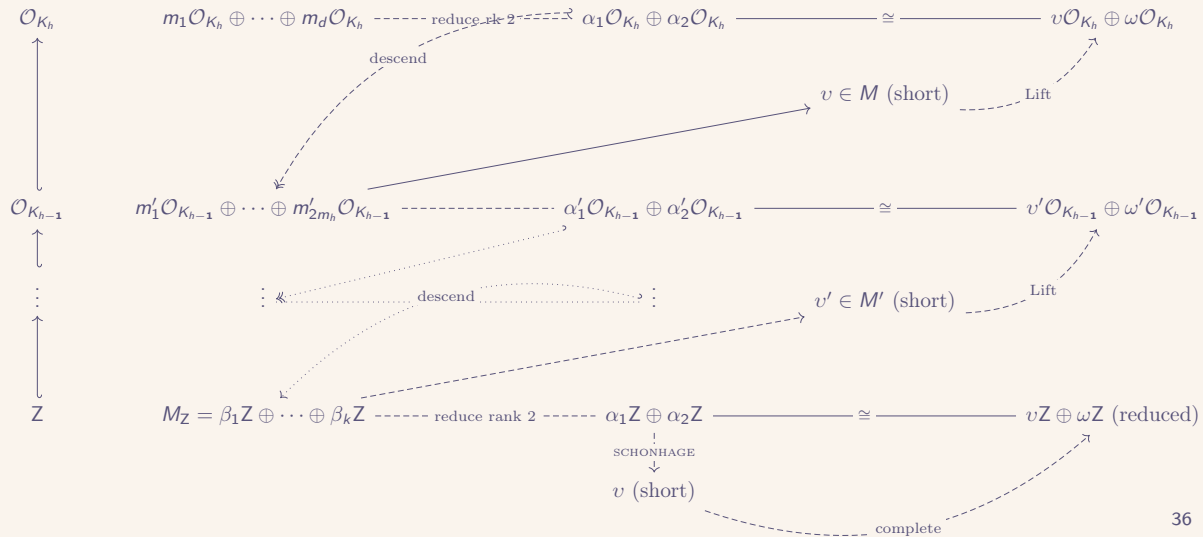
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Use **Size-reduce** !

Generalized Euclidean algorithm

G-Euclide, Lift

```
1 Function G-Euclide:  
2   if  $K_h = \mathbb{Q}$  then return ExGcd( $a, b$ );  
3    $\mu, \nu \leftarrow \mathbf{G-Euclide}\left(K_{h-1}^\uparrow, N_{K_h/K_{h-1}}(a), N_{K_h/K_{h-1}}(b)\right);$   
4    $\mu', \nu' \leftarrow \mu a^{-1} N_{K_h/K_{h-1}}(a), \nu b^{-1} N_{K_h/K_{h-1}}(b);$   
5    $W \leftarrow \begin{pmatrix} a & \nu' \\ b & \mu' \end{pmatrix};$   
6    $V \leftarrow \mathbf{Size-Reduce}(\mathbf{Orthogonalize}(W));$  return  $W \cdot V[2]$   
7 Function Lift:  
8    $a, b \leftarrow \mathbf{Ascend}(K_h, U[1]);$   $\mu, \nu \leftarrow \mathbf{G-Euclide}\left(K_{h-1}^\uparrow, a, b\right);$   
9    $U \leftarrow \begin{pmatrix} a & \nu \\ b & \mu \end{pmatrix};$   
10  return  $U$ 
```

On the complexity of the reduction

Complexity [E-Kirchner-Fouque 2019]

Let f be a log-smooth integer. The complexity of the algorithm **Reduce** on rank two modules over $K = \mathbb{Q}[x]/\Phi_f(x)$, represented as a matrix M whose number of bits in the input coefficients is uniformly bounded by $B > n$, is *heuristically* a $\tilde{O}(n^2 B)$ with $n = \varphi(f)$. The first column of the reduced matrix has its coefficients uniformly bounded by $2^{\tilde{O}(n)} \text{covol}(M)^{\frac{1}{2n}}$.

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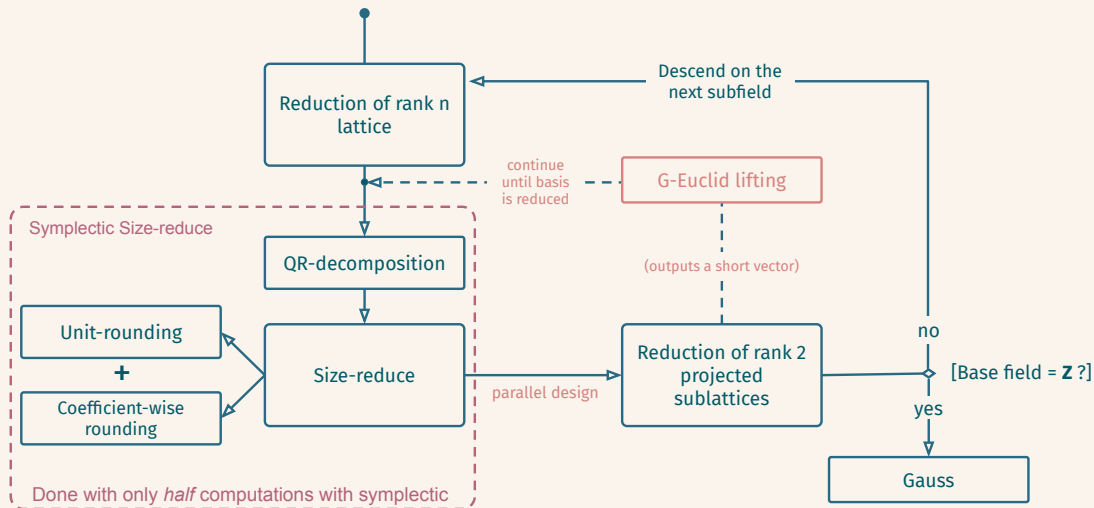
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- Sum at each level to conclude on the complexity.

What if i want an actual SVP?

A reduction a la Lovasz

There exists a reduction to γ -HSVP over \mathcal{O}_L from γ^2 -SVP over \mathcal{O}_L using at most 2rk calls to the Hermite-SVP oracle.

Wait there is more !



Faster with symplectic symmetries

A nano-primer on symplectic geometry

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Euclidean space

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- *Nice* bases: **Orthonormal** bases

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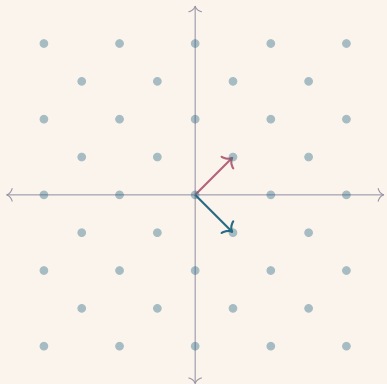
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More on Darboux base

sorry, symplectic spaces are of even dimension, so the first non-trivial case is of dim 4... no cute drawing today!



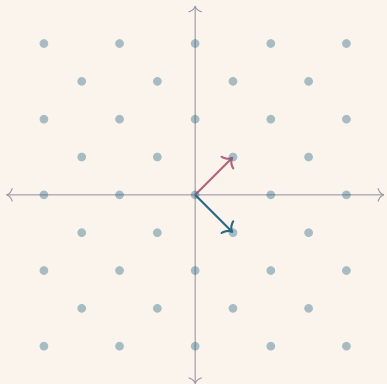
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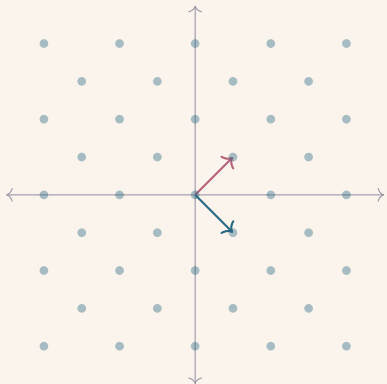
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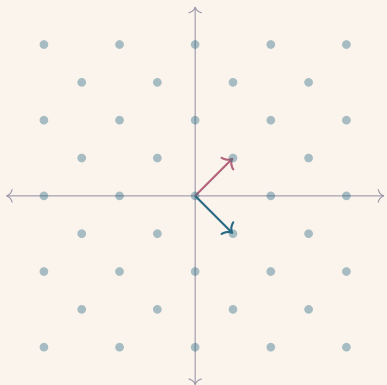
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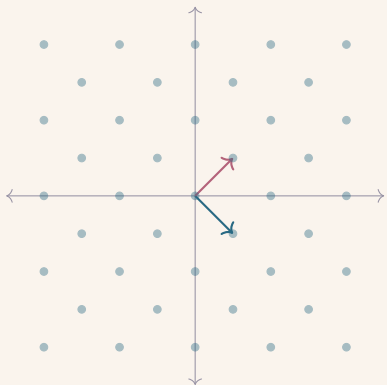
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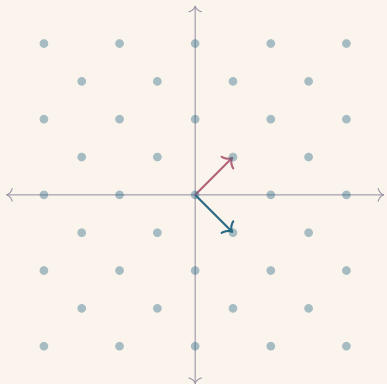
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4. Take a x_i such that $\omega(x_3, x_4) \neq 0$, scale, etc.

Elementary transformations compatible with J' -symplectism

Symplectic structure is compatible
with the QR -decomposition
(for corresponding inner product).

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Local reductions occurring during the reduction, **swaps** and **transvections** can preserve the J -symplectism.

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Symplectic-Size-Reduce

```
1 Set  $A, U$  such that  $\begin{pmatrix} A & AU \\ 0 & A^{-s} \end{pmatrix} = R$ ;  
2  $V \leftarrow \text{Size-Reduce}(A)$ ;  
3 return  $\begin{pmatrix} V & -V[U] \\ 0 & V^{-s} \end{pmatrix}$ 
```

- R is upper-triangular, only depends on the first half of Q ,
- We compute only the part above the antidiagonal of AU . Enough to compute the part above the antidiagonal of $A^{-1}(AU)$, which is persymmetric.

Speeding up lattice reduction with symplectic symmetries

Symplectic bases \Rightarrow Gram-Schmidt (Gram-Darboux) vectors are paired.

Size-reduction is cut in half ! (size-red half, apply blindly)

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LLL can be made 2 times faster !

(thank you for attention, bye!)

Going further with symplectic symmetries in a recursive tower

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Compatibility with decompositions

Fix a basis of the symplectic space where the matrix corresponding to J'_h is $\begin{pmatrix} 0 & R_{d_h} \\ -R_{d_h} & 0 \end{pmatrix}$.

Then, for any M a J'_h -symplectic matrix and QR its QR decomposition, both Q and R are J'_h -symplectic.

Improved complexity [E-Kirchner-Fouque 2019]

Select an integer f a power of $q = O(\log f)$ and let $n = \varphi(f)$. The complexity for reducing matrices M of dimension two over $L = \mathbb{Q}[x]/\Phi_f(x)$ with B the number of bits in the input coefficients is *heuristically*

$$\tilde{O}\left(n^{2+\varepsilon(q)} B\right) + n^{O(\log \log n)}, \quad \varepsilon(q) = \frac{\log(1/2 + 1/2q)}{\log q} < 0$$

and the first column of the reduced matrix has coefficients bounded by

$$2^{\tilde{O}(n)} |N_{K_h/\mathbb{Q}}(\det M)|^{\frac{1}{2n}}.$$

From that preliminary work...

Exploitation of the symplectic symmetries:

1. **Decrease** the complexity, but...
2. **Increase** the approximation factor

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- Getting further using higher-order symplectic structures

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- 2-elements representation: multiplying $\mathfrak{a} = \alpha_1 \mathcal{O}_L + \alpha_2 \mathcal{O}_L$, $\mathfrak{b} = \beta_1 \mathcal{O}_L + \beta_2 \mathcal{O}_L$ consists in the reduction of the ideal generated by $(\alpha_i \beta_j)_{1 \leq i, j \leq 2}$ (module spanned by 4 elements)

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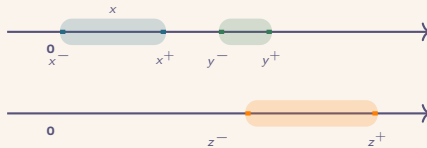
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Cross recursive algorithms: reduction and ideal multiplication

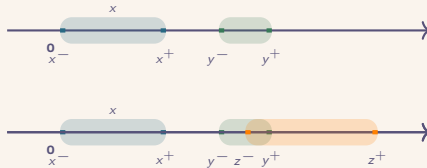
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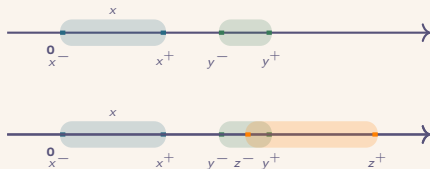
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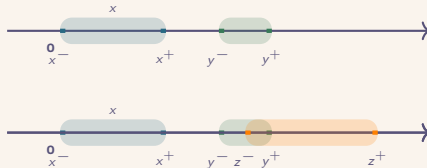
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→ Certified reduction + use quasi-optimal precision with adaptive strategy

Proved, certified and efficient framework
for reducing *general* algebraic lattices

Thank you !

