Universidade Estadual de Campinas
Instituto de Computação

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The Dissertation or Thesis Title in English

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Dissertação apresentada ao Instituto de Computação da Universidade Estadual de Campinas como parte dos requisitos para a obtenção do título de Mestra em Ciência da Computação.

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Supervisor/Orientador: Prof. Dr. Ricardo Dahab

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Chapter 1

Introduction

Chapter 2

Mathematical Background

In this text we will consider the Natural Numbers $\mathbb{N}$ the set of all positive integers: $\mathbb{N} = \{1, 2, 3, \dots\}$.

2.1 Groups

Definition 2.1.1. A **group** is a set G closed under a binary operation $\cdot$ defined on G such that:

- **Associativity:** $\forall a, b, c \in G,\ a \cdot (b \cdot c) = (a \cdot b) \cdot c$
- **Identity element:** $\exists e \in G\ ;\ \forall a \in G,\ a \cdot e = e \cdot a = a$
- **Inverse element:** $\forall a \in G,\ \exists b \in G\ ;\ a \cdot b = b \cdot a = e$

And it is denoted by $\langle G, \cdot \rangle$, or simply G if the operation is implied.

Definition 2.1.2. A group is said to be **commutative** or **abelian** if $\forall a, b \in G,\ a \cdot b = b \cdot a$

A group is called **additive** or **multiplicative** if its operation is addition or multiplication, respectively.

Definition 2.1.3. A subset H of G is a **subgroup** of $\langle G, \cdot \rangle$ if it is closed under $\cdot$ induced by $\langle G, \cdot \rangle$.

Definition 2.1.4. The **order** of a group $\langle G, \cdot \rangle$ is the cardinality of the set G.

Definition 2.1.5. A subgroup H of G can be used to decompose G in uniform sized and disjoints subsets called **cosets**. Given an element $g \in G$:

- A **left coset** is defined by $gH := \{g \cdot h\ ;\ h \in H\}$
- A **right coset** is defined by $Hg := \{h \cdot g\ ;\ h \in H\}$

2.2 Rings and Fields

Definition 2.2.1. A **ring** is a set together with two binary operations, we will note by $+$ and $*$ and call it addition and multiplication, respectively, such that:

- $\langle R, + \rangle$ is an abelian group.

- $*$ is associative
- $*$ is distributive over $+$

And it is denoted by $\langle R, +, * \rangle$, or simply G if the operations are implied.

Definition 2.2.2. A ring is said to be **commutative** if its $*$ operation is commutative.

Definition 2.2.3. A ring is said to be **with unity** if $*$ has a identity element. We shall note it by 1 and it is called **unity**.

Definition 2.2.4. A **division ring** is a ring R where $\forall r \in R,\ \exists s \in R\ ;\ r * s = 1$.

Definition 2.2.5. A **field** is a commutative division ring.

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2.3 Lattices

Definition 2.3.1. A Lattice $\Lambda \subset \mathbb{R}^n$ is a subgroup of the additive group $\mathbb{R}^n$

In other words, given m linear independent vectors in $\mathbb{R}^n$, the set $\{v_1, v_2, ..., v_m\}$ is called a **basis** for Λ and the Lattice may defined by:

Definition 2.3.2.

$$\Lambda := \left\{ x = \sum_{i=1}^{m} \lambda_i v_i \in \mathbb{R}^n \mid \lambda_i \in \mathbb{Z} \right\}$$

I.e., any $\lambda \in \Lambda$ can be written as $\lambda = Mv$ where M is the **generator matrix** of Λ where each row is a vector from the basis and $v \in \mathbb{Z}^n$.

2.4 Learning Problemas

I this section we will describe some problems that are believed to be hard and used in cryptography.

2.4.1 Learning from Parity

The goal is to find $s \in \mathbb{Z}_2^n$ such that

$$< s, a_i > \approx_\epsilon \ b_i \ \ (mod\ 2)$$

For $i \in \{1, \ldots, n\}$ Where $a_i \leftarrow \mathbb{Z}_2^n$ uniformly and the equality holds with probability $1 - \epsilon$

2.4.2 Learning with Errors

LWE is a generalization of LFP with two new parameters $p \in \mathbb{N}$ and χ a probability distribution on $\mathbb{Z}_p$ so that we have:

$$< s, a_i > \approx_\chi \ b_i \ \ (mod\ p)$$

or

$$< s, a_i > + e_i \ = \ b_i \ \ (mod\ p)$$

Where $a_i \leftarrow \mathbb{Z}_p^n$ uniformly and $e_i \leftarrow \mathbb{Z}$ according to χ

2.4.3 Ring-LWE

Let $R = \mathbb{Z}[x]/f(x)$ be a polynomial ring and $R_q = R/qR$. The definitions follow regular LWE but instead of $\mathbb{Z}_p^n$ we have R_q^n

2.5 Number Fields

Definition 2.5.1. Let K and L be two fields, L is said to be a **field extension** of K if $L \subseteq K$ and we denote it by L/K

Note that in a field extension L/K, L has a structure of a vector space over K, where vector addition is in L and scalar multiplication $a \in K,\ v \in L \implies av \in L$. The dimension of L as a vector space is called **degree** and it is denoted by $[L : K]$.

Definition 2.5.2. A field extension is called **number field** when it is over $\mathbb{Q}$.

Definition 2.5.3. Let $\alpha \in L$ where L/K is a field extension. We say that α is **algebraic over** K if $\exists p \in K[X]\ ;\ p(\alpha) = 0$. p is said to be **the minimal polynomial of** α **over** K denoted by p_α. If $\alpha \in L = \mathbb{Q}[\theta]$, we simply call α an **algebraic number**.

Example 2.5.1. It is known that $\mathbb{Q}$ is a field. If we add $\sqrt{2}$ to the set, we can build a new field adding also all the powers and multiples of $\mathbb{Q}$. This new field is denoted by $\mathbb{Q}[\sqrt{2}]$, note that $\sqrt{2}$ is algebraic and its minimal polynomial $p_{\sqrt{2}} = x^2 - 2$. All elements of $\mathbb{Q}[\sqrt{2}]$ are in the form $\{a + b\sqrt{2} \mid a, b \in \mathbb{Q}\}$ and one of its basis is $\{1, \sqrt{2}\}$, so it has degree is 2.

Example 2.5.2. If we add $\sqrt[3]{2}$ to $\mathbb{Q}$ instead, its elements would have the form $\{a+b\sqrt[3]{2}+c\sqrt[3]{4} \mid a, b, c \in \mathbb{Q}\}$, so one of its basis is $\{1, \sqrt[3]{2}, \sqrt[3]{4}\}$, $p_\alpha = x^3 - 2$ and its degree is 3.

Theorem 2.5.1 (add font 45 p.40)**.** *If K is a number field, then $K = \mathbb{Q}[\theta]$ for some algebraic number $\theta \in K$, called primitive element.*

Then we conclude that $\{1, \theta, \theta^2, ..., \theta^{n-1}\}$ is a basis for the vector space $K = \mathbb{Q}[\theta]$ over $\mathbb{Q}$. Note that we can represent an number $a \in K$ as a linear combination of θ, *i.e* $a = \sum_{i=0}^{n} a_i\theta^i$ or as a polynomial $a(x) = \sum_{i=0}^{n} a_i x^i$.

Definition 2.5.4. A number α is said to be an **algebraic integer** if $p \in \mathbb{Z}[X]\ ;\ p(\alpha) = 0$. The set of all algebraic integers of K forms a ring called **ring of ingegers** of K and is denoted by $\mathcal{O}_K$.

Definition 2.5.5. An **integral basis** is a basis for a ring of integers.

2.6 The inner product space H

Definition 2.6.1. Let $r, s, n \in \mathbb{Z}_+$ such that $n = r + 2s > 0$. The space $H \subset \mathbb{C}^n$ is defined as:

$$H = \{(a_1, \ldots, a_r, b_1, \ldots, b_s, \overline{b_1}, \ldots, \overline{b_s}) \in \mathbb{C}^n\}$$

where $a_i \in \mathbb{R},\ \forall i \in \{1, \ldots, r\}$ and $b_j \in \mathbb{C}\backslash\mathbb{R},\ j \in \{1, \ldots, s\}$. For all $x = (x_1, \ldots, x_n), y = (y_1, \ldots, y_n) \in H$ the space H is endowed with inner product $\langle x, y\rangle_H$ defined as:

$$\langle x, y\rangle_H = \sum_{i=1}^{n} x_i\overline{y_i} = \sum_{i=1}^{r} x_i\overline{y_i} + \sum_{i=1}^{s} x_{i+r}\overline{y_{i+r}} + \sum_{i=1}^{s} \overline{x_{i+r}}y_{i+r}$$

The ℓ_2-norm and infinity norm of any $x \in H$ are defined as $\|x\| = \sqrt{\langle x, x\rangle_H}$ and $\|x\|_\infty = \max\{|x_i|\}_{i=1}^{n}$.

2.7 Twisted Embeddings

2.7.1 Embeddings

Definition 2.7.1. Let K and L be two field extensions and a homomorphism $\phi : K \to L$. ϕ is said to be a $\mathbb{Q}$**-homomorphism** if $\phi(a) = a, ; \forall a \in \mathbb{Q}$

Definition 2.7.2. A $\mathbb{Q} - homomorphism; \phi : K \to \mathbb{C}$ is callend an **embedding**.

Theorem 2.7.1 (inserir fonte 45, p.41)**.** *If K is a number field with degree n then there are exactly n embeddings $\sigma_i : K \to \mathbb{C}$ where by $\sigma_i(\theta) = \theta_i$ where $\theta_i \in \mathbb{C}$ is a distinct zero of the K's mininum polynomial.*

Definition 2.7.3 (Trace and Norm)**.** Let $x \in K$ be an element of a number field and $\{\sigma_i\}_{i=1}^n$ the possible embeddings. The elements $\{\sigma_i(x)\}_{i=1}^n$ are called **conjugates** of x and we define the **norm** of x $N(x)$ and **Trace** of x $Tr(x)$ respectively:

$$N(x) = \prod_{i=1}^{n} \sigma_i(x) \ , \ Tr(x) = \sum_{i=1}^{n} \sigma_i(x)$$

Theorem 2.7.2 (inserir referencia 45, p54)**.** *For any $x \in K$, we have $N(x), Tr(x) \in \mathbb{Q}$. If $x \in \mathcal{O}_K$, we have $N(x), Tr(x) \in \mathbb{Z}$.*

Definition 2.7.4. Let $\{\sigma_i\}_n$ the possible embeddings of a number field K. Let r the number of embeddings with real images and $2s$ the complex ones, then $r + 2s = n$. The pair (r, s) is called **signature** of K.

Definition 2.7.5. The homomorphism $\sigma : K \to \mathbb{R}^r \times \mathbb{C}^s$, where (r, s) is the signature of K, is said to be the **canonical embedding** and is defined by:

$$\sigma(x) = (\sigma_1(x), ..., \sigma_r(x), \sigma_{r+1}(x), ..., \sigma_{r+s}(x))$$

Note that we could rewrite the canonical embedding as $\sigma : K \to \mathbb{R}^n$

$$\sigma(x) = (\sigma_1(x), ..., \sigma_r(x), \Re(\sigma_{r+1}(x)), \Im(\sigma_{r+1}(x)), ..., \Re(\sigma_{r+s}(x)), \Im(\sigma_{r+s}(x)))$$

For now on we will denote it simply by:

$$\sigma(x) = (\sigma_1(x), \ldots, \sigma_r(x), \sigma_{r+1}(x), \ldots, \sigma_{r+2s}(x))$$

2.7.2 Algebraic Lattices

Theorem 2.7.3 (adicionar citaçao 45, p155)**.** *Let $\{\omega_1, ..., \omega_n\}$ be an integral basis of K, The n vectors $v_i = \sigma(\omega_i) \in \mathbb{R}^n$ are linearly independent, so thety define a full rank algebraic lattice $\Lambda = \Lambda(\mathcal{O}_K) = \sigma(\mathcal{O}_K)$.*

The generator matrix of $\Lambda = \sigma(\mathcal{O}_K)$ is defined by:

$$\begin{pmatrix} \sigma_1(\omega_1) & \ldots & \sigma_{r+2s}(\omega_1) \\ & \vdots & \\ \sigma_1(\omega_n) & \ldots & \sigma_{r+2s}(\omega_n) \end{pmatrix} \tag{2.1}$$

Remark 2.7.1. An embedding creates the correspondence between a point $\lambda \in \Lambda \subset \mathbb{R}^n$ of an algebraic lattice (Theo. 2.7.3) and an integer in $\mathcal{O}_K$:

Let λ be a point of a lattice Λ:

$$\begin{aligned}\lambda &= (\lambda_1, \dots, \lambda_{r+2s}) \in \Lambda \\ &= \left(\sum_{i=1}^{n} z_i \sigma_1(\omega_i), \dots, \sum_{i=1}^{n} z_i \sigma_{r+2s}(\omega_i) \right) \\ &= \left(\sigma_1 \left(\sum_{i=1}^{n} z_i \omega_i \right), \dots, \sigma_{r+2s} \left(\sum_{i=1}^{n} z_i \omega_i \right) \right)\end{aligned}$$

where $z_i \in \mathbb{Z}$. Since any element $x \in \mathcal{O}_K$ has the form $x = \sum_{i=1}^{n} \lambda_i \omega_i$, we can conclude that:

$$\lambda = (\sigma_1(x), \dots, \sigma_{r+2s}(x)) = \sigma(x)$$

2.7.3 Twisted Embeddings

Definition 2.7.6. Let K be a number field with degree n and σ an embedding. We say that a number $\tau \in K$ is **totally positive** if $\forall i \in 1, \dots, n,\ \sigma_i(\tau) \in \mathbb{R}_+^*$

Definition 2.7.7 (Twisted Embedding)**.** Given τ a totally positive number, the **τ-twisted embedding**, or simply twisted embedding, is the monomorphism defined as:

$$\sigma_\tau(x) = (\sqrt{\tau_1}\sigma_1(x), \dots, \sqrt{\tau_{r+2s}}\sigma_{r+2s}(x))$$

where $\tau_i = \sigma_i(\tau)$.

Chapter 3

Objectives

Chapter 4

Methodology

Bibliography