

Lattices

Maria Eichlseder

Partially based on slides by Mario Lamberger

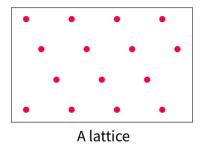
Applied Cryptography 2 – ST 2020

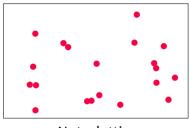
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= Outline

- # Introduction to Lattices
 - Definitions
 - Lattice properties
- Lattices in cryptography
 - Applications
 - Lattice problems
 - Post-quantum cryptography
- Lattice problems & reduced bases
 - Orthogonality and short vectors
 - Euclid's algorithm for dimension 2
 - The LLL algorithm
- 👸 Bleichenbacher's attack

Introduction to Lattices





Lattices

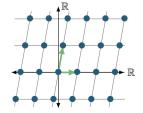
Definition:

A subset $\Lambda \subseteq \mathbb{R}^n$ is called lattice if there exist \mathbb{R} -linearly independent basis vectors $\boldsymbol{b}_1, \dots, \boldsymbol{b}_d \in \mathbb{R}^n$ such that

$$\Lambda = \mathbb{Z} \boldsymbol{b}_1 + \cdots + \mathbb{Z} \boldsymbol{b}_d = \left\{ \sum_{i=1}^d z_i \boldsymbol{b}_i \mid z_i \in \mathbb{Z} \right\}.$$

Example:

$$\boldsymbol{b}_1 = \begin{pmatrix} 1 \\ 0 \end{pmatrix}$$
, $\boldsymbol{b}_2 = \begin{pmatrix} 1/4 \\ \sqrt{2} \end{pmatrix}$



Lattices in the wild: Examples I







Lattices in the wild: Examples II

Solutions of homogeneous integer equations

Let $A \in \mathbb{Z}^{d \times n}$. Consider the system of linear equations

$$A \cdot \mathbf{x} = \mathbf{0}$$
.

The set of integer solutions $\{x \in \mathbb{Z}^n \mid A \cdot x = 0\}$ forms a lattice.

Solutions of modular equations in several variables

Let
$$\gcd(a_1 \dots a_d) = 1$$
, $N \in \mathbb{N}$. The solutions $(x_1 \dots x_d) \in \mathbb{Z}^d$ to

$$a_1x_1+\cdots+a_dx_d\equiv 0 \bmod N$$

form a *d*-dimensional lattice.

Lattice bases

Let $\boldsymbol{b}_1, \dots, \boldsymbol{b}_d$ be a basis of a lattice $\Lambda \subseteq \mathbb{R}^n$. Represent basis by matrix B of row vectors:

$$B = egin{pmatrix} oldsymbol{b}_1 \ dots \ oldsymbol{b}_d \end{pmatrix} = egin{pmatrix} b_{11} & \dots & b_{1n} \ dots & \ddots & dots \ b_{d1} & \dots & b_{dn} \end{pmatrix}$$

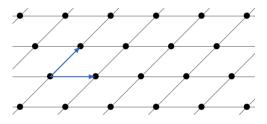
- In general, there is an infinite number of bases for a lattice.
- If $\boldsymbol{b}_1, \dots, \boldsymbol{b}_d$ is a basis, another basis is

$$oldsymbol{b}_1,\ldots,oldsymbol{b}_{i-1},oldsymbol{b}_i+koldsymbol{b}_j,oldsymbol{b}_{i+1}\ldots,oldsymbol{b}_d \qquad i
eq j, \quad k \in \mathbb{Z}.$$

■ Transition from one basis to another in general: multiply B with unimodular matrix M over \mathbb{Z} $(\det(M) = \pm 1)$

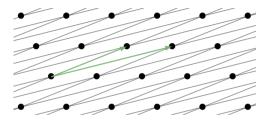
Lattice bases: Example I

 $\Lambda\subseteq\mathbb{R}^2$ is generated by $\emph{b}_1=(3,0)$ and $\emph{b}_2=(2,2)$:



Lattice bases: Example II

 Λ is also generated by $\boldsymbol{b}_1'=(8,2)$ and $\boldsymbol{b}_2'=(5,2)$:



Observation:

$$\begin{pmatrix} 3 & 0 \\ 2 & 2 \end{pmatrix} = \begin{pmatrix} 1 & -1 \\ -1 & 2 \end{pmatrix} \cdot \begin{pmatrix} 8 & 2 \\ 5 & 2 \end{pmatrix}$$

Lattice volume

Let $\boldsymbol{b}_1, \dots, \boldsymbol{b}_d \in \mathbb{R}^n$ be a lattice basis. The Gram matrix $G \in \mathbb{R}^{d \times d}$ is defined as

$$G = B \cdot B^t = egin{pmatrix} \langle m{b}_1, m{b}_1
angle & \dots & \langle m{b}_1, m{b}_d
angle \\ dots & \ddots & dots \\ \langle m{b}_d, m{b}_1
angle & \dots & \langle m{b}_d, m{b}_d
angle \end{pmatrix}$$

Lattice volume

The volume or determinant of a lattice is

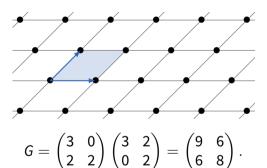
$$\operatorname{vol}(\Lambda) = \sqrt{\det(G)},$$

with G the Gram matrix for an arbitrary basis of Λ .

If B is already a square matrix (d = n), then this is simply $vol(\Lambda) = det(B)$.

Lattice volume: Example I

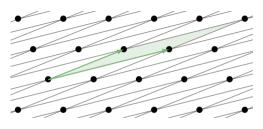
$$\Lambda = (3,0)\mathbb{Z} + (2,2)\mathbb{Z} \subseteq \mathbb{Z}^2$$
:



Thus,
$$\operatorname{vol}(\Lambda) = \sqrt{\det(G)} = \sqrt{36} = 6 \quad (= \det(B)).$$

Lattice volume: Example II

The same lattice is generated as $\Lambda' = (8,2)\mathbb{Z} + (5,2)\mathbb{Z} \subseteq \mathbb{Z}^2$:



$$G' = \begin{pmatrix} 8 & 2 \\ 5 & 2 \end{pmatrix} \begin{pmatrix} 8 & 5 \\ 2 & 2 \end{pmatrix} = \begin{pmatrix} 68 & 44 \\ 44 & 29 \end{pmatrix}.$$

G' has the same determinant: $vol(\Lambda') = \sqrt{\det(G')} = \sqrt{36} = 6$ (= $\det(B')$).

Lattices in cryptography

Applications of lattices in cryptography

Design of new cryptosystems from lattice problems SVP, CVP, BDD, LWE:

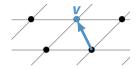
- Post-quantum public-key crypto^{Seminar}: GGH 🛂, NTRU, NIST PQC candidates, ...
- Provably "secure" hash functions: SWIFFT 🚨
- Fully homomorphic encryption Seminar

Analysis of other cryptosystems such as ECDSA, RSA, ...:

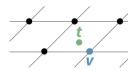
- Proof ingredient: factoring N = pq is equivalent to knowing d
- Coppersmith's attack on RSA
- Bleichenbacher's attack^{Lecture} on PKCS#1 v1.5

NP-hard problems: Given a lattice Λ, \dots

■ Shortest Vector Problem SVP: find shortest non-zero $\mathbf{v} \in \Lambda$



■ Closest Vector Problem CVP: find $\mathbf{v} \in \Lambda$ closest to some given target \mathbf{t}



- Bounded Distance Decoding BDD: find all $\mathbf{v} \in \Lambda$ close to \mathbf{t}
- Learning with Errors LWE (many variants, related to BDD)

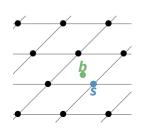
The Learning-with-Errors (LWE) problem (informally)

Solve a system of noisy linear equations with secret solution s (d unknowns, arbitrary number n of noisy equations mod p):

$$a_1^{(1)} \cdot s_1 + \ldots + a_d^{(1)} \cdot s_d \approx b^{(1)} \mod p$$
 $a_1^{(2)} \cdot s_1 + \ldots + a_d^{(2)} \cdot s_d \approx b^{(2)} \mod p$
 \vdots
 $a_1^{(n)} \cdot s_1 + \ldots + a_d^{(n)} \cdot s_d \approx b^{(n)} \mod p$

In lattice terms:

- Lattice \land with basis $\boldsymbol{a}_1, \ldots, \boldsymbol{a}_d$
- Secret lattice point $\mathbf{s} = \sum s_i \mathbf{a}_i$
- Gaussian error vector e
- Given \wedge and b = s + e, find s.



Example: Simple LWE public-key encryption (Regev)

Alice's keypair: private s, public n noisy equations ($\mathbf{a}^{(i)}, b^{(i)}$):

$$a_1^{(i)} \cdot s_1 + \ldots + a_d^{(i)} \cdot s_d \approx b^{(i)} \mod p$$

- 1 Bob wants to send an encrypted plaintext bit x to Alice
- 2 He selects and sums a random subset σ of the n equations to produce a new noisy equation $(\mathbf{a}^{(\sigma)}, b^{(\sigma)})$:

$$a_1^{(\sigma)} \cdot s_1 + \ldots + a_d^{(\sigma)} \cdot s_d \approx b^{(\sigma)} \mod p$$

3 He sends $(\boldsymbol{a}^{(\sigma)}, c^{(\sigma)})$ to Alice, where

$$c^{(\sigma)} = \begin{cases} b^{(\sigma)} & \text{if bit } x = 0\\ b^{(\sigma)} + \left\lfloor \frac{p}{2} \right\rfloor & \text{if bit } x = 1 \end{cases}$$

4 Alice uses s to check if $(a^{(\sigma)}, c^{(\sigma)})$ is roughly correct (x = 0) or very wrong (x = 1)

Properties of lattice-based cryptosystems

- Use finite-field versions of lattices (instead of \mathbb{R}^n)
- ✓ Post-quantum security: No known quantum algorithms faster than classical algorithms
- ✓ Worst-case hardness: Breaking cryptosystem implies solving any problem instance
- Lattice-based designs often fall in one of two classes:
 - Provably secure but not so efficient in practice (large keys)
 - Wery efficient but not provably secure / well-analyzed
- A history of (somewhat) broken schemes...

NIST's Post-Quantum Crypto Competition (PQC) – Round ± 2

Submissions	Signatures	KEM/Encryption	Total
Lattice-based	5 3	21 9	26 12
Code-based	3 0	18 7	21 7
Multivariate	9 4	4 0	11 4
Hash-based	2 1		2 1
Other (Isogeny,)	1 1	6 1	8 2
Total	22 9	49 17	68 26

Lattice-based examples:

NTRU variants, NewHope, CRYSTALS (KYBER/DILITHIUM), Frodo...

https://csrc.nist.gov/Projects/Post-Quantum-Cryptography https://www.safecrypto.eu/pqclounge/

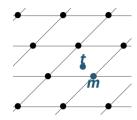
Lattice problems & reduced bases

Babai's rounding technique to approximate CVP

Closest Vector Problem (CVP)

In lattice Λ of dimension d with basis matrix B:

Given t, find the closest $m \in \Lambda$.



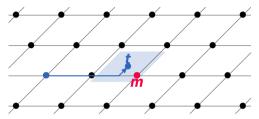
Babai's rounding technique can find an approximate solution ("reasonably close \tilde{m} ") with approximation factor $1 + 2d(\frac{9}{2})^{d/2}$:

- 1 Reduce the lattice basis **B** with LLL to get **B'**
- 2 Solve $\mathbf{x} \cdot \mathbf{B'} = \mathbf{t}$ over \mathbb{R}^d
- 3 A lattice vector \tilde{m} close to t is obtained by rounding:

$$\tilde{\boldsymbol{m}} = \lfloor \boldsymbol{x} \rceil \cdot \boldsymbol{B'} = (\lfloor x_1 \rceil, \dots, \lfloor x_d \rceil) \cdot \boldsymbol{B'}$$

Babai's rounding technique: Example I

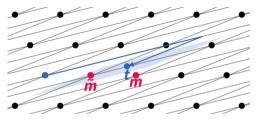
$$\Lambda = (3,0)\mathbb{Z} + (2,2)\mathbb{Z} \subseteq \mathbb{Z}^2$$
, target vector $\mathbf{t} = (5.4,0.6)$:



- 2 Find **x** such that $\mathbf{x} \cdot \mathbf{B} = \mathbf{t}$: $(1.6, 0.3) \cdot \begin{pmatrix} 3 & 0 \\ 2 & 2 \end{pmatrix} = (5.4, 0.6)$
- 3 Approximate $\tilde{\mathbf{m}} = [\mathbf{x}] \cdot \mathbf{B} = (2,0) \cdot \begin{pmatrix} 3 & 0 \\ 2 & 2 \end{pmatrix} = (6,0) = \mathbf{m}$

Babai's rounding technique: Example II

$$\Lambda = (8,2)\mathbb{Z} + (5,2)\mathbb{Z} \subseteq \mathbb{Z}^2$$
, target vector $t = (5.4, 0.6)$:



- 2 Find **x** such that $\mathbf{x} \cdot \mathbf{B} = \mathbf{t}$: $(1.3, -1) \cdot \begin{pmatrix} 8 & 2 \\ 5 & 2 \end{pmatrix} = (5.4, 0.6)$
- 3 Approximate $\tilde{\mathbf{m}} = [\mathbf{x}] \cdot \mathbf{B} = (1, -1) \cdot \begin{pmatrix} 8 & 2 \\ 5 & 2 \end{pmatrix} = (3, 0) \neq \mathbf{m}$

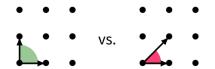
→ This only works well if **B** is a "nice" basis!

How "nice" is a particular basis for a lattice?

Short vectors are nice:

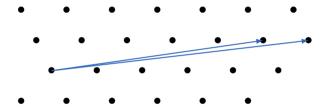


• (Near-)Orthogonality ($\langle x, y \rangle \approx 0$ for $x \neq y$) is nice:

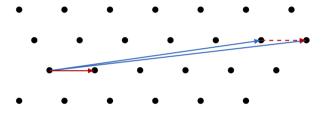


Question: How to find a better basis?

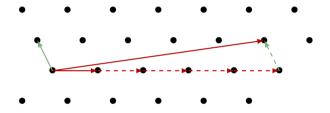
If $dim(\Lambda) = 2$, Euclid does the trick:



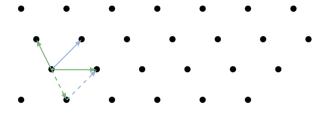
If $dim(\Lambda) = 2$, Euclid does the trick:



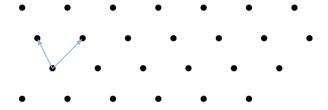
If $dim(\Lambda) = 2$, Euclid does the trick:



If $dim(\Lambda) = 2$, Euclid does the trick:



If $dim(\Lambda) = 2$, Euclid does the trick:



Orthogonality

How to measure the quality of a basis in terms of orthogonality?

Orthogonality defect

The orthogonality defect of a basis $\boldsymbol{a}_1, \dots, \boldsymbol{a}_d$ of a lattice Λ is

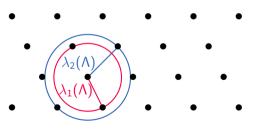
$$\mathsf{def}(\pmb{a}_1,\ldots,\pmb{a}_d) = \frac{\|\pmb{a}_1\|\cdots\|\pmb{a}_d\|}{\mathsf{vol}(\pmb{\Lambda})} \geq 1.$$

The larger the orthogonality defect, the less orthogonal the basis!

Short vectors

Radius $\lambda_i(\Lambda)$

Let $\Lambda \subseteq \mathbb{R}^n$ be a d-dimensional lattice. For $i \leq d$, $\lambda_i(\Lambda)$ is the minimum radius r such that $B(\mathbf{0}, r) = \{\mathbf{x} \in \mathbb{R}^n \mid ||\mathbf{x}|| \leq r\}$ contains i linearly independent lattice vectors.



Reduced lattice bases

Different definitions:

- Informally: Basis of "short" and "nearly orthogonal" vectors
- Ideally: Basis vectors $\mathbf{a}_1 \dots \mathbf{a}_d$ have lengths $\lambda_1 \dots \lambda_d$ Not clear how to compute for $d \geq 5$!
- Minkowski, HKZ: Very strong reduction of vector lengths.
- LLL, BKZ: Weaker definitions, better to calculate

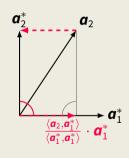
LLL is implemented in most computer algebra systems!

In \mathbb{R}^n , we know how to get nice bases: Gram-Schmidt algorithm

Reminder: Gram-Schmidt orthogonalization in \mathbb{R}^n

Let $\mathbf{a}_1, \dots, \mathbf{a}_d \in \mathbb{R}^n$ be linearly independent vectors. Compute:

$$egin{aligned} oldsymbol{a}_1^* &= oldsymbol{a}_1 \ oldsymbol{a}_2^* &= oldsymbol{a}_2 - rac{\left\langle oldsymbol{a}_2, oldsymbol{a}_1^*
ight
angle}{\left\langle oldsymbol{a}_1^*, oldsymbol{a}_1^*
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angle} \cdot oldsymbol{a}_1^* \ oldsymbol{a}_3^* &= oldsymbol{a}_3 - rac{\left\langle oldsymbol{a}_3, oldsymbol{a}_1^*
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angle} \cdot oldsymbol{a}_1^* - rac{\left\langle oldsymbol{a}_3, oldsymbol{a}_2^*
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angle}{\left\langle oldsymbol{a}_i, oldsymbol{a}_j^*
ight
angle} \cdot oldsymbol{a}_j^* \ & \cdots \ oldsymbol{a}_i^* &= oldsymbol{a}_i - \sum_{1 \leq i < i} rac{\left\langle oldsymbol{a}_i, oldsymbol{a}_j^*
ight
angle}{\left\langle oldsymbol{a}_i^*, oldsymbol{a}_j^*
ight
angle} \cdot oldsymbol{a}_j^* \ \end{aligned}$$



LLL algorithm (Lenstra, Lenstra, Lovász)

- Goal: "reduce" basis $\boldsymbol{a}_1, \dots, \boldsymbol{a}_d$ of Λ
 - more orthogonal
 - shorter vectors
- Inspiration from \mathbb{R}^n : Gram-Schmidt orthogonalization
 - Get "as close as possible" to ideal GS values $\boldsymbol{a}_1^* \dots \boldsymbol{a}_d^*$
 - $\|m{a}_i\|^2 = \|m{a}_i^*\|^2 + \sum_{j < i} \mu_{ij}^2 \|m{a}_j^*\|^2 o ext{change } m{a}_i ext{ to minimize } \mu_{ij}$
- Idea: Investigate effect of standard basis changes:
 - Replacing $\mathbf{a}_i \leftarrow \mathbf{a}_i + m \cdot \mathbf{a}_j$
 - Swapping $\boldsymbol{a}_{i-1} \leftrightarrow \boldsymbol{a}_i$

LLL algorithm

LLL Algorithm

```
Let \frac{1}{4} < c < 1 be a constant (usually c = \frac{3}{4}).
Let \boldsymbol{a}_1, \ldots, \boldsymbol{a}_d be the basis of a lattice \Lambda \subseteq \mathbb{R}^n.
Let \pmb{a}_1^*,\ldots,\pmb{a}_d^* be the GS vectors, \mu_{ij}=\frac{\langle \pmb{a}_i,\pmb{a}_j^*\rangle}{\langle \pmb{a}_i^*,\pmb{a}_i^*\rangle} (\bigstar update here!)
   i \leftarrow 2
   while i < d do
        for i = i - 1 to 1 do
              if |\mu_{ii}| > \frac{1}{2}: Replace \boldsymbol{a}_i \leftarrow \boldsymbol{a}_i - |\mu_{ii}| \boldsymbol{a}_i \star
        if \|\mu_{i,i-1} \boldsymbol{a}_{i-1}^* + \boldsymbol{a}_i^*\|^2 < c \|\boldsymbol{a}_{i-1}^*\|^2: Swap \boldsymbol{a}_{i-1} \leftrightarrow \boldsymbol{a}_i \star, i \leftarrow i-1
         else: i \leftarrow i + 1
```

LLL algorithm: Properties

A lattice basis is LLL-reduced if the algorithm leaves it unchanged:

Theorem

Let $\boldsymbol{a}_1, \dots, \boldsymbol{a}_d$ be an LLL-reduced lattice basis in \mathbb{R}^n . Then:

- 1 Orthogonality defect: $1 \leq \operatorname{def}(\boldsymbol{a}_1, \dots, \boldsymbol{a}_d) \leq 2^{\frac{d(d-1)}{4}}$.
- 2 Short vectors: $\|\boldsymbol{a}_1\| \leq 2^{\frac{d-1}{2}} \lambda_1(\Lambda)$.

Worst-case running time: $\mathcal{O}(d^5 n \log^3(B))$ if $\|\boldsymbol{a}_i\|^2 \leq B$ for all i.

Bleichenbacher's attack

PKCS1-V1_5 Encryption

PKCS#1 v1.5 padding for RSA

- **1** Generate $(|n|-|m|)/8-3\geq 8$ non-zero random bytes
- 00 02 random bytes 00 message m
- **3** Convert to \mathbb{Z}_n and encrypt with RSA

- Intuitive "ad hoc" design, no proof
- Rationale: Randomness required for semantic security
- Decryption: Error if $m = c^d \mod n$ is not of this format, i.e., c is not "PKCS-conforming (PKCSc)"

Bleichenbacher's Attack

- Goal: Recover message m from $c = m^e \mod n$
- Adaptive chosen-ciphertext attack:
 - Many SSLv3.0 servers behave like "PKCSc oracle"
 - Attacker adapts queries based on c and previous answers
 - Based on high-dimension lattices
- Practical setting, practical complexity

Bleichenbacher's Attack: Lattice Version

- Goal: find m, given $c = m^e \mod n$.
- Generate modified ciphertexts $c'_i = cs^e_i \mod n$
 - Compute $c' = cs^e \mod n$ (ciphertext of m' = ms) for random s
 - c' is accepted by "PKCSc oracle" with probability $\approx 2^{-16}$
 - Repeat to get N accepted values with s_1, \ldots, s_N
- Approximate plaintexts $m'_i = ms_i \mod n$:
 - If we know m'_i for some i, we can recover m.
 - However, we only know "approximations" of $m_i' = 00 02 ? \dots ?$:

$$2A \le m_i' < 3A$$
 or $|m_i' - 2.5A| \le 0.5A$, where $A = \boxed{00 \ 01 \ 00 \ \cdots \ 00} = 2^{|n|-16} \approx n \cdot 2^{-16}$.

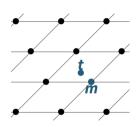
"Hidden Number Problem"

Solving the Hidden Number Problem via CVP I

Idea: write as Closest Vector Problem in a lattice Λ

Lattice Λ spanned by rows of the basis matrix **B**:

$$\mathbf{B} = \begin{pmatrix} 2^{-16} & s_1 & s_2 & \dots & s_N \\ 0 & n & 0 & \dots & 0 \\ 0 & 0 & n & \dots & 0 \\ \vdots & & & \ddots & \vdots \\ 0 & 0 & \dots & 0 & n \end{pmatrix}$$



Unknown lattice vector $\mathbf{m} = \begin{pmatrix} m \cdot 2^{-16} & m_1' & m_2' & \dots & m_N' \end{pmatrix}$ Known target vector $\mathbf{t} = \begin{pmatrix} 0.5A & 2.5A & 2.5A & \dots & 2.5A \end{pmatrix}$

Solving the Hidden Number Problem via CVP II

The vectors' distance is

$$\| \mathbf{m} - \mathbf{t} \| \le \sqrt{N+1} \cdot 0.5 A \le \sqrt{N+1} \cdot n \cdot 2^{-16}.$$

An average lattice distance is about

$$d_{\mathsf{avg}} pprox \sqrt{d} \cdot \mathsf{vol}(\Lambda)^{1/d} = \sqrt{N+1} (n^N \cdot 2^{-16})^{\frac{1}{N+1}}.$$

- If $\| \boldsymbol{m} \boldsymbol{t} \| \ll d_{\text{avg}}$, we expect \boldsymbol{m} is the closest vector to \boldsymbol{t} .
- Solve CVP for t to get m with Babai's Rounding Technique!

Attack in Practice

Complexity in practice:

■ 1024-bit n: need $N+1\gg 60$ or $80\cdot 2^{16}\approx 5.2$ million queries

Application to SSL v3 handshake (client attacks server):

- 1 Client sends chosen ciphertext c' as PreMasterSecret
- 2 If c' is not PKCSc, server aborts the connection
 - Failure after ClientKeyExchange
- If c' is PKCSc, server continues, but attacker's reply invalid
 - Failure after Finished

Other scenarios: detailed error messages, timing attack, ...

Conclusion

- There are various complexity-theoretically hard problems related to lattices
- A Solving those problems is much easier when knowing a good basis
- No fast quantum algorithm to solve them is known
- Applications in crypto:
 - Design of post-quantum secure signatures and public-key encryption
 - Cryptanalysis tool for solving "approximate equations"

Questions you should be able to answer

- 1. What is a lattice? What are basic and desirable properties of a lattice basis?
- 2. Define the Closest Vector Problem (CVP) in a lattice. Explain Babai's algorithm to solve the CVP, and illustrate why it requires a reduced basis to work well.
- 3. What is an LLL-reduced lattice basis? Briefly describe the two basic steps of the LLL algorithm.
- 4. Explain the basic idea of the lattice version of Bleichenbacher's attack on PKCS#1.5 padding.

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