

# ITCT Homework 2

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## 1. [Prob. 3.1.]

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### a. Markov's Inequality

- By the definition of probability

$$E[X] = \int_{-\infty}^{\infty} xP(x) dx$$

- Since r.v.  $X$  is non-negative

$$E[X] = \int_0^{\infty} xP(x) dx$$

- By the property of integrals

$$E[X] = \int_0^t xP(x) dx + \int_t^{\infty} xP(x) dx \geq \int_t^{\infty} xP(x) dx \geq \int_t^{\infty} tP(x) dx = tP(X \geq t)$$

Thus

$$P(X \geq t) \leq \frac{E[X]}{t}$$

### b. Chebyshev's Inequality

- By the definition of mean and variance

- Mean :  $\mu = E[Y]$

- Variance :  $\sigma^2 = E[(Y - E[Y])^2] = E[(Y - \mu)^2] = E[X]$

- By Markov's inequality

$$P(X \geq \epsilon^2) \leq \frac{E[X]}{\epsilon^2}$$

Thus

$$P(|Y - \mu| \geq \epsilon) = P((Y - \mu)^2 \geq \epsilon^2) \leq \frac{E[(Y - \mu)^2]}{\epsilon^2} = \frac{\sigma^2}{\epsilon^2}$$

### c. Weak Law of Large Numbers

- Chebyshev's inequality

A r.v.  $X$  with its mean  $E(X) = \mu$  and variance  $Var(X) = \sigma^2$ , for any  $\epsilon \geq 0$

$$P(|X - \mu| \geq \epsilon) \leq \frac{\sigma^2}{\epsilon^2}$$

which is same as

$$P(|X - E(X)| \geq \epsilon) \leq \frac{Var(X)}{\epsilon^2}$$

- Find  $E(\bar{Z}_n)$  and  $Var(\bar{Z}_n)$

- $E(\bar{Z}_n) = E\left(\frac{1}{n} \sum_{i=1}^n Z_i\right) = \frac{1}{n} E\left(\sum_{i=1}^n Z_i\right) = \frac{1}{n} \sum_{i=1}^n E(Z_i) = \frac{1}{n}(n\mu) = \mu$

- $Var(\bar{Z}_n) = Var\left(\frac{1}{n} \sum_{i=1}^n Z_i\right) = \frac{1}{n^2} Var\left(\sum_{i=1}^n Z_i\right) = \frac{1}{n^2} \sum_{i=1}^n Var(Z_i) = \frac{1}{n^2}(n\sigma^2) = \frac{\sigma^2}{n}$

- Thus, by Chebyshev's inequality and the mean, variance of  $\bar{Z}_n$ , for any  $\epsilon \geq 0$

$$P(|\bar{Z}_n - E(\bar{Z}_n)| \geq \epsilon) \leq \frac{Var(\bar{Z}_n)}{\epsilon^2}$$

$$\Rightarrow P(|\bar{Z}_n - \mu| \geq \epsilon) \leq \frac{\sigma^2}{n\epsilon^2}$$

## 2. [Prob. 3.4.]

a.

- By AEP and the property of typical set  $A_\epsilon^{(n)}$  with respect to  $P(X)$  which is the set of sequence  $(X_1, X_2, \dots, X_n) \in X^n$

$$2^{-n(H(X)+\epsilon)} \leq P(X_1, X_2, \dots, X_n) \leq 2^{-n(H(X)-\epsilon)}$$

- Derive  $A^n$

$$\begin{aligned} A^n &= \left\{ x^n \in X^n : \left| -\frac{1}{n} \log P(x^n) - H(X) \right| \leq \epsilon \right\} \\ &= \left\{ x^n \in X^n : -\epsilon \leq -\frac{1}{n} \log P(x^n) - H(X) \leq \epsilon \right\} \\ &= \left\{ x^n \in X^n : 2^{-n(H(X)+\epsilon)} \leq P(x^n) \leq 2^{-n(H(X)-\epsilon)} \right\} \\ &= A_\epsilon^{(n)} \end{aligned}$$

$A^n$  is just the same as typical set

$$P\{X^n \in A^n\} = P\{X^n \in A_\epsilon^{(n)}\} \rightarrow 1 - \epsilon, \forall \epsilon > 0 \text{ as } n \rightarrow \infty$$

Thus,  $P\{X^n \in A^n\} \rightarrow 1$

b.

- By the strong law of large numbers

$$P\left(\lim_{n \rightarrow \infty} \frac{1}{n} \sum_{i=1}^n X_i = \mu\right) = 1$$

which can be rewrite as

$$\forall \epsilon > 0, P\left(\left|\left(\frac{1}{n} \sum_{i=1}^n X_i\right) - \mu\right| \leq \epsilon\right) \rightarrow 1, \text{ as } n \rightarrow \infty$$

- $B^n = \left\{ x^n \in X^n : \left|\left(\frac{1}{n} \sum_{i=1}^n X_i\right) - \mu\right| \leq \epsilon \right\}$

$$P\{X^n \in B^n\} \rightarrow 1$$

- By  $P\{X^n \in A^n\} \rightarrow 1$ , there exists  $\epsilon > 0$  and  $N_1$  such that  $P\{X^n \in A^n\} > 1 - \frac{\epsilon}{2}$  for all  $n > N_1$

By  $P\{X^n \in B^n\} \rightarrow 1$ , there exists  $\epsilon > 0$  and  $N_2$  such that  $P\{X^n \in B^n\} > 1 - \frac{\epsilon}{2}$  for all  $n > N_2$

- So, for all  $n > N = \max(N_1, N_2)$  and for any  $\epsilon > 0$

$$\begin{aligned} P\{X^n \in A^n \cap B^n\} &= P\{X^n \in A^n\} + P\{X^n \in B^n\} - P\{X^n \in A^n \cup B^n\} \\ &> 1 - \frac{\epsilon}{2} + 1 - \frac{\epsilon}{2} - 1 \\ &= 1 - \epsilon \end{aligned}$$

Thus

$$P\{X^n \in A^n \cap B^n\} \rightarrow 1 - \epsilon, \text{ for all } n > N \text{ and for any } \epsilon > 0$$

c.

- By the property of probability

$$\sum_{x^n \in A^n \cap B^n} P(x^n) \leq 1$$

- By the property of typical set, for  $x^n \in A^n$

$$P(x^n) \geq 2^{-n(H(X)+\epsilon)}$$

- Combine above two inequations

$$1 \geq \sum_{x^n \in A^n \cap B^n} P(x^n) \geq \sum_{x^n \in A^n \cap B^n} 2^{-n(H(X)+\epsilon)} \geq |A^n \cap B^n| 2^{-n(H(X)+\epsilon)}$$

Therefore

$$|A^n \cap B^n| \leq 2^{n(H(X)+\epsilon)}$$

**d.**

- From b.

$$P\{X^n \in A^n \cap B^n\} \rightarrow 1 - \epsilon, \text{ for all } n > \max(N_1, N_2) \text{ and for any } \epsilon > 0$$

Thus, there exists a number  $N$  such that  $P\{X^n \in A^n \cap B^n\} \geq \frac{1}{2}$ , for all  $n > N$

- By the property of typical set, for  $x^n \in A^n$

$$P(x^n) \leq 2^{-n(H(X)-\epsilon)}$$

- Combine above two inequations

$$\frac{1}{2} \leq P\{X^n \in A^n \cap B^n\} = \sum_{x^n \in A^n \cap B^n} P(x^n) \leq \sum_{x^n \in A^n \cap B^n} 2^{-n(H(X)-\epsilon)} = |A^n \cap B^n| 2^{-n(H(X)-\epsilon)}$$

Therefore

$$|A^n \cap B^n| \geq \left(\frac{1}{2}\right) 2^{n(H(X)-\epsilon)}$$

### 3. [Prob. 3.10.]

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- Define the notations

$$\log x = \log_2 x$$

$$\ln x = \log_e x$$

- The volume  $V_n = \prod_{i=1}^n X_i$

We can derive

$$\log(V_n)^{\frac{1}{n}} = \frac{1}{n} \log(V_n) = \frac{1}{n} \sum_{i=1}^n \log(X_i)$$

- By the strong law of large numbers, and  $X$  is uniform over  $[0, 1]$

$$\frac{1}{n} \sum_{i=1}^n \log(X_i) \rightarrow E[\log(X)] = \int_0^1 \log(x) dx = -\frac{1}{\ln 2}$$

- Finally we can derive  $\lim_{n \rightarrow \infty} (V_n)^{\frac{1}{n}}$

$$\lim_{n \rightarrow \infty} (V_n)^{\frac{1}{n}} = e^{\lim_{n \rightarrow \infty} \ln(V_n)^{\frac{1}{n}}} = e^{\ln 2 \left( \lim_{n \rightarrow \infty} \log(V_n)^{\frac{1}{n}} \right)} = e^{\ln 2 \left( -\frac{1}{\ln 2} \right)} = \frac{1}{e}$$

- $(E[V_n])^{\frac{1}{n}} = \left( E \left[ \prod_{i=1}^n X_i \right] \right)^{\frac{1}{n}} = \left( \prod_{i=1}^n E[X_i] \right)^{\frac{1}{n}} = \left( \left( \frac{1}{2} \right)^n \right)^{\frac{1}{n}} = \frac{1}{2} \neq \frac{1}{e}$

Thus, the expected edge length does not capture the idea of the volume of the box.

### 4. [Prob. 3.11.]

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**a.**

- By definition and the property of probability

$$P(A) > 1 - \epsilon_1$$

$$P(B) > 1 - \epsilon_2$$

$$P(A \cup B) \leq 1 \Rightarrow -P(A \cup B) \geq -1$$

- We can obtain the probability of the intersection of  $A$  and  $B$

$$P(A \cap B) = P(A) + P(B) - P(A \cup B) \geq 1 - \epsilon_1 + 1 - \epsilon_2 - 1 = 1 - \epsilon_1 - \epsilon_2$$

**b.**

- (a) from a.

$$1 - \delta - \epsilon \leq P\left(A_\epsilon^{(n)} \cap B_\delta^{(n)}\right)$$

- (b) by the definition of probability of a set

$$P\left(A_\epsilon^{(n)} \cap B_\delta^{(n)}\right) = \sum_{x^n \in A_\epsilon^{(n)} \cap B_\delta^{(n)}} P(x^n)$$

- (c) by the property of typical set that  $x^n \in A_\epsilon^{(n)}$

$P(x^n)$  has upper bound  $2^{-n(H-\epsilon)}$

$$\sum_{x^n \in A_\epsilon^{(n)} \cap B_\delta^{(n)}} P(x^n) \leq \sum_{x^n \in A_\epsilon^{(n)} \cap B_\delta^{(n)}} 2^{-n(H-\epsilon)}$$

- (d) by the definition of the cardinality of a set

$$\sum_{x^n \in A_\epsilon^{(n)} \cap B_\delta^{(n)}} 2^{-n(H-\epsilon)} = \left|A_\epsilon^{(n)} \cap B_\delta^{(n)}\right| 2^{-n(H-\epsilon)}$$

- (e) by the property that  $A_\epsilon^{(n)} \cap B_\delta^{(n)} \subseteq B_\delta^{(n)}$

$$\left|A_\epsilon^{(n)} \cap B_\delta^{(n)}\right| 2^{-n(H-\epsilon)} \leq \left|B_\delta^{(n)}\right| 2^{-n(H-\epsilon)}$$

**c.**

- We apply similar steps in b.

$$\begin{aligned} 1 - \delta &\leq P\left(B_\delta^{(n)}\right) \\ &= \sum_{x^n \in B_\delta^{(n)}} P(x^n) \\ &\leq \sum_{x^n \in B_\delta^{(n)}} 2^{-n(H-\delta)} \\ &= \left|B_\delta^{(n)}\right| 2^{-n(H-\delta)} \end{aligned}$$

- Let  $\delta' = \delta - \frac{1}{n} \log(1 - \delta) > 0$

Finally we can get

$$\frac{1}{n} \log \left|B_\delta^{(n)}\right| \geq H - \delta'$$

## 5. [Prob. 4.6.]

**a.**

- By the chain rule for entropy

$$\begin{aligned} \frac{1}{n} H(X_1, X_2, \dots, X_n) &= \frac{1}{n} \sum_{i=1}^n H(X_i | X_{i-1}, \dots, X_1) \\ &= \frac{1}{n} \left( H(X_n | X_{n-1}, \dots, X_1) + \sum_{i=1}^{n-1} H(X_i | X_{i-1}, \dots, X_1) \right) \\ &= \frac{1}{n} (H(X_n | X_{n-1}, \dots, X_1) + H(X_1, X_2, \dots, X_{n-1})) \end{aligned}$$

- From stationarity, for all  $1 \leq i \leq n$

$$H(X_n | X_{n-1}, \dots, X_1) \leq H(X_i | X_{i-1}, \dots, X_1)$$

We can derive

$$H(X_n | X_{n-1}, \dots, X_1) \leq \frac{1}{n-1} \sum_{i=1}^{n-1} H(X_i | X_{i-1}, \dots, X_1) = \frac{1}{n-1} H(X_1, X_2, \dots, X_{n-1})$$

- Finally we can get

$$\frac{1}{n} H(X_1, X_2, \dots, X_n) \leq \frac{1}{n} \left( \frac{1}{n-1} H(X_1, X_2, \dots, X_{n-1}) + H(X_1, X_2, \dots, X_{n-1}) \right) = \frac{1}{n-1} H(X_1, X_2, \dots, X_{n-1})$$

**b.**

- By the stationarity, for all  $1 \leq i \leq n$

$$H(X_n | X_{n-1}, \dots, X_1) \leq H(X_i | X_{i-1}, \dots, X_1)$$

- Thus we can derive

$$\begin{aligned} H(X_n | X_{n-1}, \dots, X_1) &= \frac{1}{n} \sum_{i=1}^n H(X_n | X_{n-1}, \dots, X_1) \\ &\leq \frac{1}{n} \sum_{i=1}^n H(X_i | X_{i-1}, \dots, X_1) \\ &= \frac{1}{n} H(X_1, X_2, \dots, X_n) \end{aligned}$$

## 6. [Prob. 4.8.]

- By the definition of entropy and  $p_1 + p_2 = 1$

$$H(X) = -p_1 \log p_1 - p_2 \log p_2 = -p_1 \log p_1 - (1 - p_1) \log (1 - p_1)$$

- Define r.v.  $T = \{t_1, t_2\}$  is the symbol duration of r.v.  $X$

$$E[T] = p_1 t_1 + p_2 t_2 = p_1 + 2p_2 = 2 - p_1$$

- Define  $f(p_1)$  is the source entropy per unit time controlled by  $p_1$

$$f(p_1) = \frac{H(X)}{E[T]} = \frac{-p_1 \log p_1 - (1-p_1) \log (1-p_1)}{2-p_1}$$

- Since  $f(0) = f(1) = 0$ , the maximum point occurs between  $0 < p_1 < 1$ , thus we take 1st derivative of  $f$  and set it to 0 to find optimal  $p_1^*$  such that  $f(p_1^*)$  has maximum

$$\frac{d}{dp_1} \left( \frac{-p_1 \log p_1 - (1-p_1) \log (1-p_1)}{2-p_1} \right) = \frac{1}{(2-p_1)^2} [\ln(1-p_1) - 2 \ln p_1] = 0$$

We can get

$$1 - p_1 = (p_1)^2 \Rightarrow p_1^* = -\frac{1}{2} \pm \frac{\sqrt{5}}{2}$$

Since  $0 < p_1 < 1$

$$p_1^* = -\frac{1}{2} + \frac{\sqrt{5}}{2}$$

- Organize the equation

$$\begin{aligned} f(p_1) &= \frac{-p_1 \log p_1 - (1-p_1) \log (1-p_1)}{2-p_1} \\ &= \frac{-p_1 \log p_1 - (1-p_1) \log (1-p_1)}{1 + (1-p_1)} \\ &= \frac{-p_1 \log p_1 - (p_1)^2 \log (p_1)^2}{1 + (p_1)^2} \\ &= \frac{-\left(1 - (p_1)^2\right) \log p_1 - 2(p_1)^2 \log p_1}{1 + (p_1)^2} \\ &= \frac{-\left(1 + (p_1)^2\right) \log p_1}{1 + (p_1)^2} \\ &= -\log p_1 \end{aligned}$$

Finally we can get

$$-\log p_1^* = -\log\left(-\frac{1}{2} + \frac{\sqrt{5}}{2}\right) \approx 0.6942$$

## 7. [Prob. 4.12.]

a.

- The dog's walk is 2nd order Markov, because we need the previous 2 position to know the previous position and direction.

- By the chain rule of entropy

$$H(X_0, X_1, \dots, X_n) = \sum_{i=0}^n H(X_i | X_{i-1}, \dots, X_0) = H(X_0) + H(X_1 | X_0) + \sum_{i=2}^n H(X_i | X_{i-1}, \dots, X_0)$$

- The initial position is deterministic  $\Rightarrow H(X_0) = 0$

The first move is equally likely to positive or negative  $\Rightarrow H(X_1 | X_0) = H\left(\frac{1}{2}, \frac{1}{2}\right) = 1$

The rest of the move follow the rule defined by the problem

$$\sum_{i=2}^n H(X_i | X_{i-1}, \dots, X_0) = \sum_{i=2}^n H\left(\frac{1}{10}, \frac{9}{10}\right) = (n-1) H\left(\frac{1}{10}, \frac{9}{10}\right)$$

- Thus we have

$$H(X_0, X_1, \dots, X_n) = 1 + (n-1) H\left(\frac{1}{10}, \frac{9}{10}\right)$$

b.

- The entropy rate

$$\frac{H(X_0, X_1, \dots, X_n)}{n+1} = \frac{1 + (n-1) H\left(\frac{1}{10}, \frac{9}{10}\right)}{n+1} \rightarrow H\left(\frac{1}{10}, \frac{9}{10}\right) \text{ as } n \rightarrow \infty$$

c. ?

- Let r.v.  $S$  be the number of steps taken between reversals, we have

$$E(S) = \sum_{s=1}^{\infty} s \left(\frac{9}{10}\right)^{s-1} \frac{1}{10} = 10$$

- Thus the expected number of steps the dog takes before reversing direction is

$$10 + 1 = 11$$

## 8. [Prob. 4.19.]

- Define r.v.  $V_n \in \{1, 2, 3, 4, 5\}$  is the vertex position at time  $n$

- Define r.v.  $X_n = \begin{bmatrix} P(V_n = 1) \\ P(V_n = 2) \\ P(V_n = 3) \\ P(V_n = 4) \\ P(V_n = 5) \end{bmatrix}$  is the vertex position distribution at time  $n$

- The state transition matrix  $p$

$$P_{ij} = P(V_{n+1} = j | V_n = i) = \begin{bmatrix} 0 & \frac{1}{3} & 0 & \frac{1}{3} & \frac{1}{3} \\ \frac{1}{3} & 0 & \frac{1}{3} & 0 & \frac{1}{3} \\ 0 & \frac{1}{3} & 0 & \frac{1}{3} & \frac{1}{3} \\ \frac{1}{3} & 0 & \frac{1}{3} & 0 & \frac{1}{3} \\ \frac{1}{4} & \frac{1}{4} & \frac{1}{4} & \frac{1}{4} & 0 \end{bmatrix}$$

a.

- The stationary distribution of vertex position  $X_n^*$

$$X_n^* = \lim_{n \rightarrow \infty} X_n = \left[ \frac{3}{16} \quad \frac{3}{16} \quad \frac{3}{16} \quad \frac{3}{16} \quad \frac{4}{16} \right]^T \text{ such that } X_n^* = P_{ij} \cdot X_n^*$$

**b.**

- By the definition of entropy rate

$$H(X) = \lim_{n \rightarrow \infty} \frac{1}{n} H(X_1, X_2, \dots, X_n)$$

- Since  $X_n$  is a stationary process and it's also a Markov chain

$$H(X) = H'(X) = \lim_{n \rightarrow \infty} H(X_n | X_{n-1}, \dots, X_0) = H(X_1 | X_0)$$

$$H(X_1 | X_0) = - \sum_{i=1}^5 \left( P(V_0 = i) \sum_{j=1}^5 P(V_1 = j | V_0 = i) \log P(V_1 = j | V_0 = i) \right) = 4 \cdot \frac{3}{16} \log 3 + \frac{4}{16} \log 4$$

**c.**

- By the definition of mutual information

$$\begin{aligned} I(X_{n+1}; X_n) &= H(X_{n+1}) - H(X_{n+1} | X_n) \\ &= H(X_{n+1}) - H(X_1 | X_0) \\ &= \left[ 4 \cdot \frac{3}{16} \log \frac{16}{3} + \frac{4}{16} \log \frac{16}{4} \right] - \left[ 4 \cdot \frac{3}{16} \log 3 + \frac{4}{16} \log 4 \right] \\ &= \frac{3}{4} \log \frac{16}{9} \end{aligned}$$

**9.**

- Define the notation

$$X \in \{a, b, c\}$$

$$Y \in \{a', b', c'\}$$

and we have the following equation

$$\bar{P} + 2\bar{Q} = 1$$

- By the definition of channel capacity

$$C = \max_{P_X} I(X; Y)$$

- Find the formula of mutual information

$$\begin{aligned} I(X; Y) &= H(X) - H(X | Y) \\ &= -\bar{P} \ln \bar{P} - 2\bar{Q} \ln \bar{Q} - \left[ - \sum_{x \in X} \sum_{y \in Y} P(X = x, Y = y) \ln P(X = x | Y = y) \right] \\ &= -\bar{P} \ln \bar{P} - 2\bar{Q} \ln \bar{Q} + 2\bar{Q}q \ln q + 2\bar{Q}(1-q) \ln(1-q) \\ &= -(1-2\bar{Q}) \ln(1-2\bar{Q}) - 2\bar{Q} \ln \bar{Q} + 2\bar{Q}q \ln q + 2\bar{Q}(1-q) \ln(1-q) \end{aligned}$$

- To find the maximum value, we take 1st derivative of mutual information with  $\bar{Q}$  and set it to 0

$$\begin{aligned} \frac{dI(X; Y)}{d\bar{Q}} &= \frac{d \left[ -(1-2\bar{Q}) \ln(1-2\bar{Q}) - 2\bar{Q} \ln \bar{Q} + 2\bar{Q}q \ln q + 2\bar{Q}(1-q) \ln(1-q) \right]}{d\bar{Q}} \\ &= 2 \ln(1-2\bar{Q}) - 2 \ln \bar{Q} + 2[q \ln q + (1-q) \ln(1-q)] = 0 \end{aligned}$$

$$\text{Let } \alpha = q^q(1-q)^{(1-q)}$$

$$\text{The optimal } \bar{Q}^* = \frac{\alpha}{1+2\alpha}$$

- Set  $\bar{Q} = \bar{Q}^*$

$$\begin{aligned}
I_{\bar{Q}^*}(X; Y) &= - (1 - 2\bar{Q}^*) \ln(1 - 2\bar{Q}^*) - 2\bar{Q}^* \ln \bar{Q}^* + 2\bar{Q}^* q \ln q + 2\bar{Q}^* (1 - q) \ln(1 - q) \\
&= - \left(1 - 2\frac{\alpha}{1 + 2\alpha}\right) \ln \left(1 - 2\frac{\alpha}{1 + 2\alpha}\right) - 2\frac{\alpha}{1 + 2\alpha} \ln \frac{\alpha}{1 + 2\alpha} + 2\frac{\alpha}{1 + 2\alpha} q \ln q + 2\frac{\alpha}{1 + 2\alpha} (1 - q) \ln(1 - q) \\
&= \ln(1 + 2\alpha) \\
&= \ln \left(1 + 2q^q(1 - q)^{(1-q)}\right)
\end{aligned}$$

## 10.

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**a.**

- $P(y_0) = P(x_0, y_0) + P(x_1, y_0) = \frac{1}{2} \frac{99}{100} + \frac{1}{2} \frac{1}{100} = \frac{1}{2}$
- $P(y_1) = P(x_0, y_1) + P(x_1, y_1) = \frac{1}{2} \frac{1}{100} + \frac{1}{2} \frac{99}{100} = \frac{1}{2}$

**b.**

- $H(Y) = \frac{1}{2} \log 2 + \frac{1}{2} \log 2 = 1$

**c.**

- By the definition of mutual information

$$\begin{aligned}
I(X; Y) &= H(X) - H(Y|X) \\
&= 1 - \left[ \frac{1}{2} \frac{99}{100} \log \frac{100}{99} + \frac{1}{2} \frac{1}{100} \log \frac{100}{1} + \frac{1}{2} \frac{99}{100} \log \frac{100}{99} + \frac{1}{2} \frac{1}{100} \log \frac{100}{1} \right] \\
&= 1 - \frac{99}{100} \log \frac{100}{99} - \frac{1}{100} \log \frac{100}{1} \\
&\approx 0.9192
\end{aligned}$$