

The Mathematics of Lattices

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January 2020

Outline

- 1 Point Lattices and Lattice Parameters
- 2 Computational Problems
 - Coding Theory
- 3 The Dual Lattice
- 4 Q -ary Lattices and Cryptography

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- 2 Computational Problems
 - Coding Theory
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- 4 \mathbb{Q} -ary Lattices and Cryptography

(Point) Lattices

- Traditional area of mathematics



Lagrange



Gauss



Minkowski

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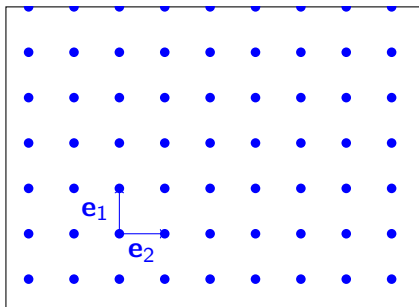
Minkowski

- Key to many algorithmic applications
 - Cryptanalysis (e.g., breaking low-exponent RSA)
 - Coding Theory (e.g., wireless communications)
 - Optimization (e.g., Integer Programming with fixed number of variables)
 - Cryptography (e.g., Cryptographic functions from worst-case complexity assumptions, Fully Homomorphic Encryption)

Lattice Cryptography: a Timeline

- 1982: LLL basis reduction algorithm
 - Traditional use of lattice algorithms as a cryptanalytic tool
- 1996: Ajtai's connection
 - Relates average-case and worst-case complexity of lattice problems
 - Application to one-way functions and collision resistant hashing
- 2002: Average-case/worst-case connection for structured lattices. Key to efficient lattice cryptography.
- 2005: (Quantum) Hardness of Learning With Errors (Regev)
 - Similar to Ajtai's connection, but for injective functions
 - Wide cryptographic applicability: PKE, IBE, ABE, FHE.

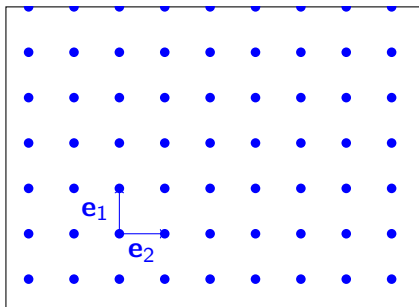
Lattices: Definition



The simplest lattice in n -dimensional space is the integer lattice

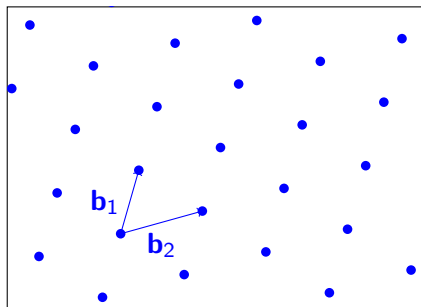
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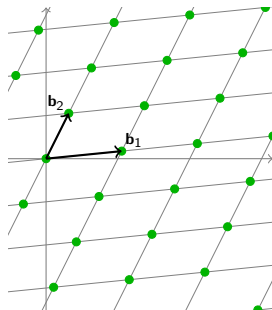
Other lattices are obtained by applying a linear transformation

$$\Lambda = \mathbf{B}\mathbb{Z}^n \quad (\mathbf{B} \in \mathbb{R}^{d \times n})$$

Lattices and Bases

A lattice is the set of all **integer** linear combinations of (linearly independent) **basis** vectors $\mathbf{B} = \{\mathbf{b}_1, \dots, \mathbf{b}_n\} \subset \mathbb{R}^n$:

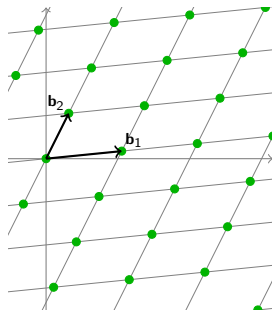
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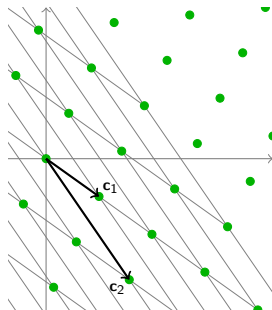
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The same lattice has many bases

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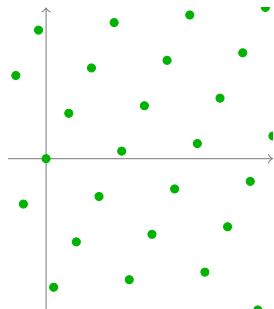
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Definition (Lattice)

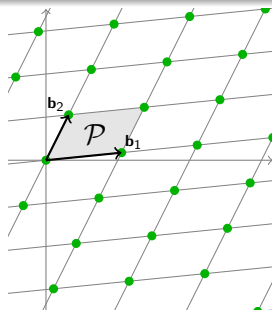
A discrete additive subgroup of \mathbb{R}^n



Determinant

Definition (Determinant)

$\det(\mathcal{L}) = \text{volume of the fundamental region } \mathcal{P} = \sum_i \mathbf{b}_i \cdot [0, 1)$

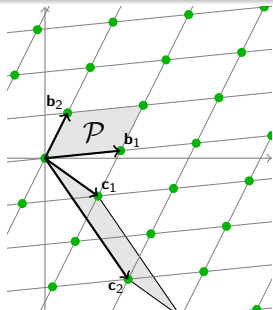


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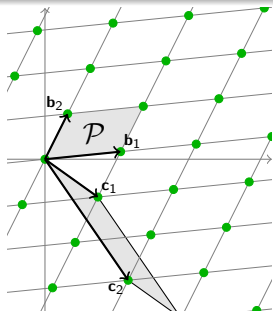


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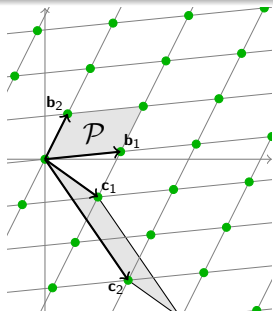


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- All fundamental regions have the same volume
- The determinant of a lattice can be efficiently computed from any basis.



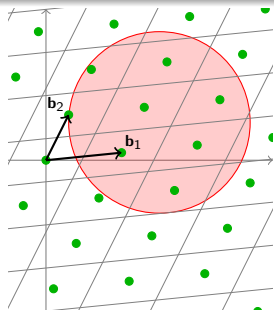
Density estimates

Definition (Centered Fundamental Parallelepiped)

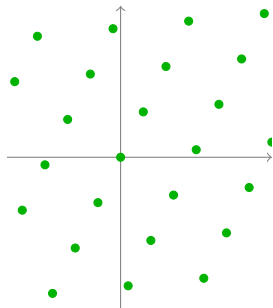
$$\mathcal{P} = \sum_i \mathbf{b}_i \cdot [-1/2, 1/2)$$

- $\text{vol}(\mathcal{P}(\mathbf{B})) = \det(\mathcal{L})$
- $\{\mathbf{x} + \mathcal{P}(\mathbf{B}) \mid \mathbf{x} \in \mathcal{L}\}$ partitions \mathbb{R}^n
- For all sufficiently large $S \subseteq \mathbb{R}^n$

$$|S \cap \mathcal{L}| \approx \text{vol}(S) / \det(\mathcal{L})$$



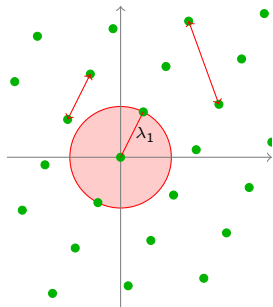
Minimum Distance and Successive Minima



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- Minimum distance

$$\begin{aligned}\lambda_1 &= \min_{\mathbf{x}, \mathbf{y} \in \mathcal{L}, \mathbf{x} \neq \mathbf{y}} \|\mathbf{x} - \mathbf{y}\| \\ &= \min_{\mathbf{x} \in \mathcal{L}, \mathbf{x} \neq \mathbf{0}} \|\mathbf{x}\|\end{aligned}$$



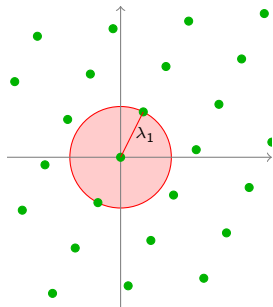
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$$\lambda_i = \min\{r : \dim \text{span}(\mathcal{B}(r) \cap \mathcal{L}) \geq i\}$$



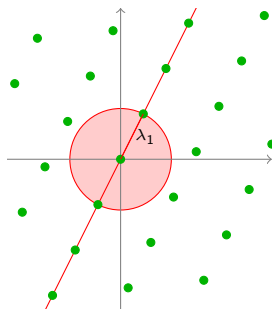
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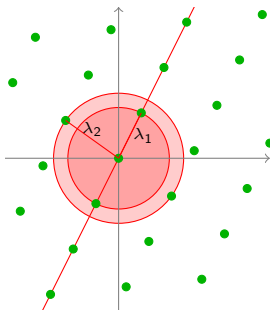
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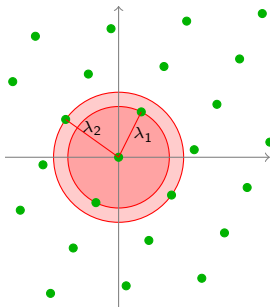
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- Examples

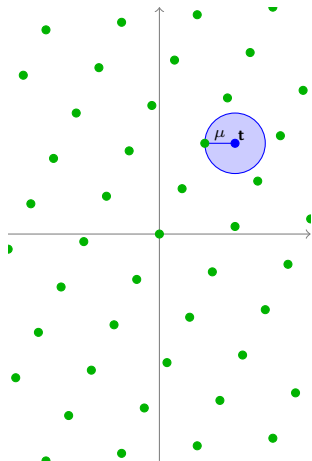
- \mathbb{Z}^n : $\lambda_1 = \lambda_2 = \dots = \lambda_n = 1$
- Always: $\lambda_1 \leq \lambda_2 \leq \dots \leq \lambda_n$



Distance Function and Covering Radius

- Distance function

$$\mu(\mathbf{t}, \mathcal{L}) = \min_{\mathbf{x} \in \mathcal{L}} \|\mathbf{t} - \mathbf{x}\|$$



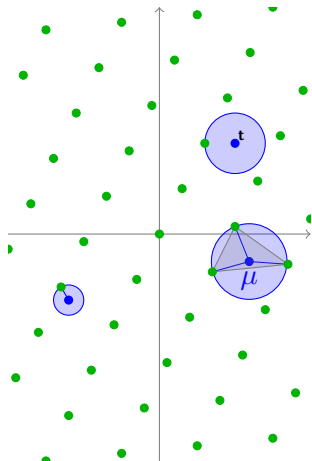
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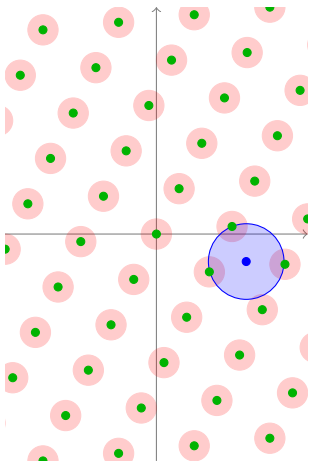
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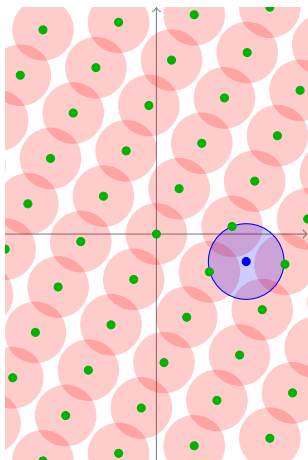
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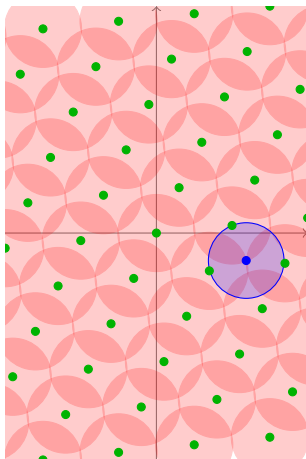
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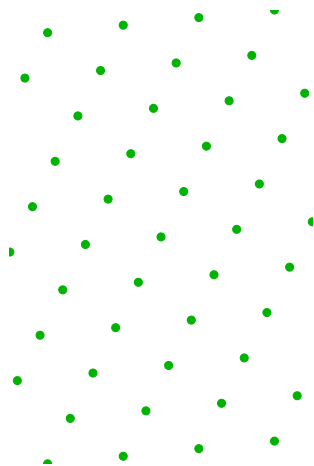
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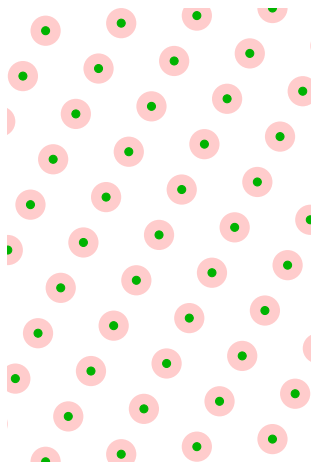
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Consider an arbitrary lattice, and . . .



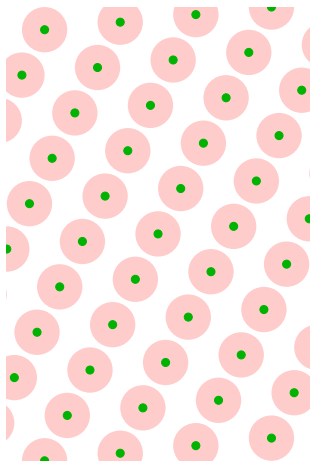
Smoothing a lattice

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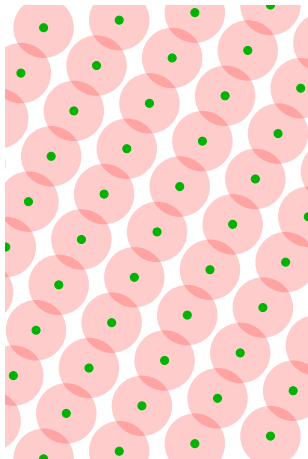
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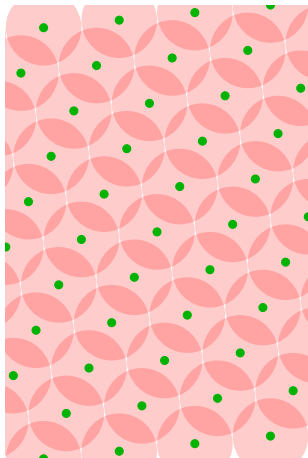
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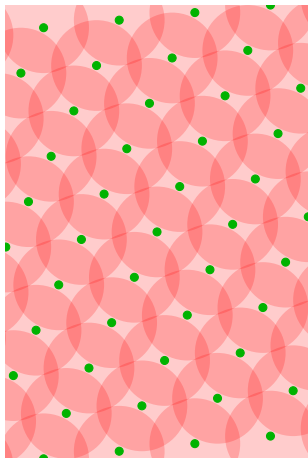
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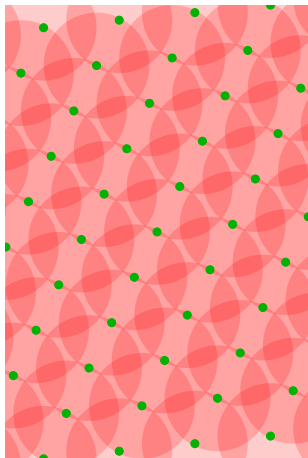
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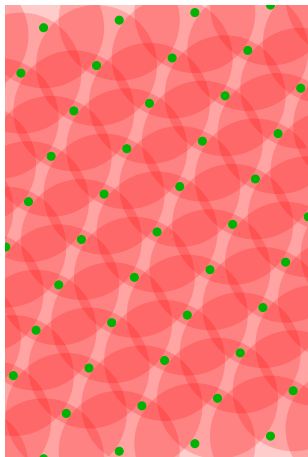
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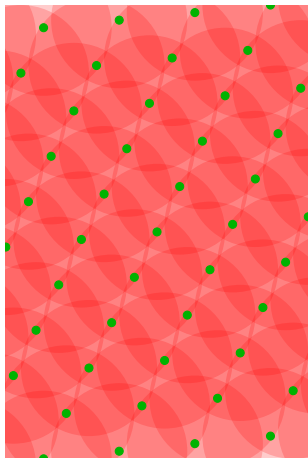
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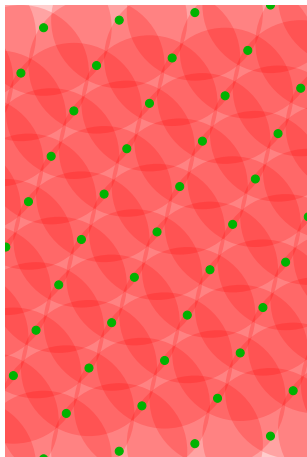


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How much noise is needed?

At most $\|\mathbf{r}\| \leq (\log n) \cdot \sqrt{n\lambda_n}$



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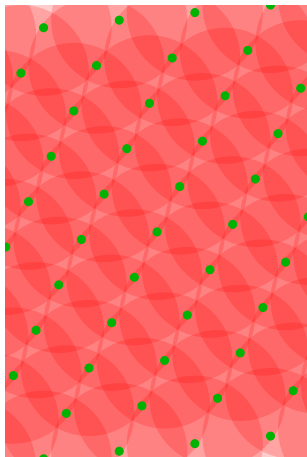
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Best done using **Gaussian** noise \mathbf{r} of width

$$|r_i| \approx \eta_\epsilon \leq (\log n)\lambda_n.$$

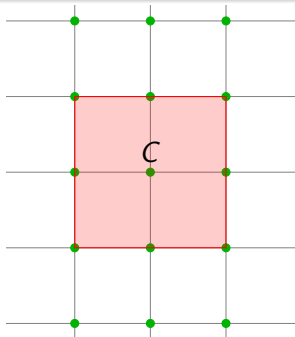
η_ϵ : the “smoothing parameter” of a lattice [MR04].



Minkowski's convex body theorem

Theorem (Convex Body)

Let $C \subset \mathbb{R}^n$ be a symmetric convex body. If $\text{vol}(C) > 2^n$, then C contains a nonzero integer vector

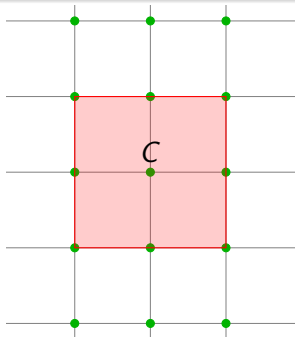


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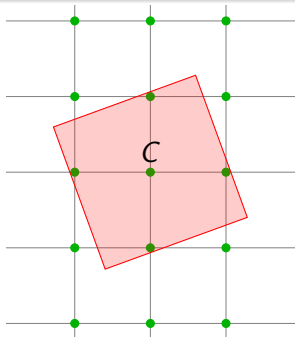
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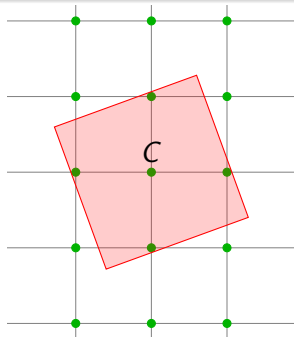
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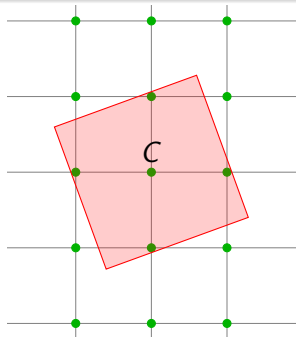
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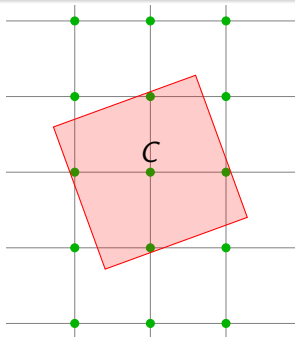
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- $\mathbf{B}C = [-r, r]^n$ contains $\mathbf{B}\mathbf{x}$
- $\lambda_1(\mathcal{L}) \leq \sqrt{n}r = \sqrt{n}\det(\mathcal{L})^{1/n}$



Minkowski's second theorem

Theorem (Minkowski)

$$\lambda_1(\mathcal{L}) \leq \left(\prod_i \lambda_i(\mathcal{L}) \right)^{1/n} \leq \sqrt{n} \det(\mathcal{L})^{1/n}$$

- For \mathbb{Z}^n , $\lambda_1 = (\prod_i \lambda_i)^{1/n} = 1$ is smaller than Minkowski's bound by \sqrt{n}
- $\lambda_1(\mathcal{L})$ can be arbitrarily smaller than Minkowski's bound
- $(\prod_i \lambda_i(\mathcal{L}))^{1/n}$ is never smaller than Minkowski's bound by more than \sqrt{n}
- Can you find lattices with $(\prod_i \lambda_i(\mathcal{L}))^{1/n} \geq \Omega(\sqrt{n}) \det(\mathcal{L})^{1/n}$ within a constant from Minkowski's bound?

1 Point Lattices and Lattice Parameters

2 Computational Problems

- Coding Theory

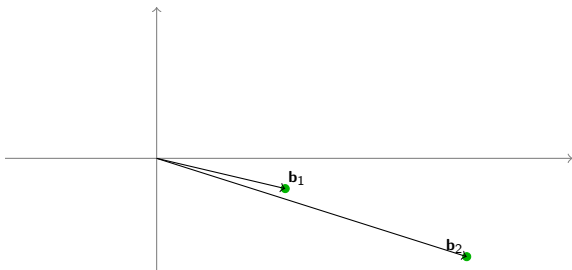
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Shortest Vector Problem

Definition (Shortest Vector Problem, SVP)

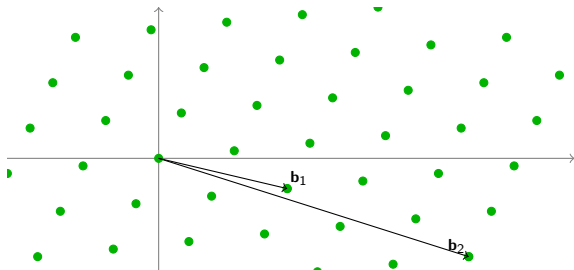
Given a lattice $\mathcal{L}(\mathbf{B})$, find a (nonzero) lattice vector $\mathbf{B}\mathbf{x}$ (with $\mathbf{x} \in \mathbb{Z}^k$) of length (at most) $\|\mathbf{B}\mathbf{x}\| \leq \lambda_1$



Shortest Vector Problem

Definition (Shortest Vector Problem, SVP)

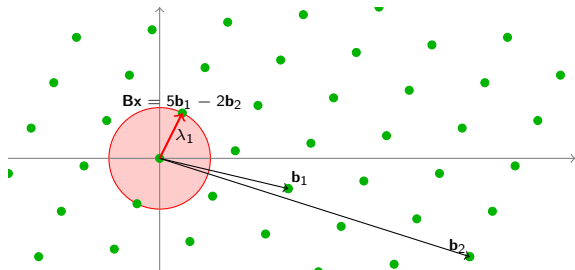
Given a lattice $\mathcal{L}(\mathbf{B})$, find a (nonzero) lattice vector $\mathbf{B}\mathbf{x}$ (with $\mathbf{x} \in \mathbb{Z}^k$) of length (at most) $\|\mathbf{B}\mathbf{x}\| \leq \lambda_1$



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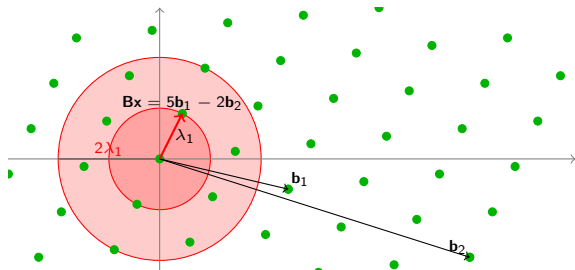
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Shortest Vector Problem

Definition (Shortest Vector Problem, SVP_γ)

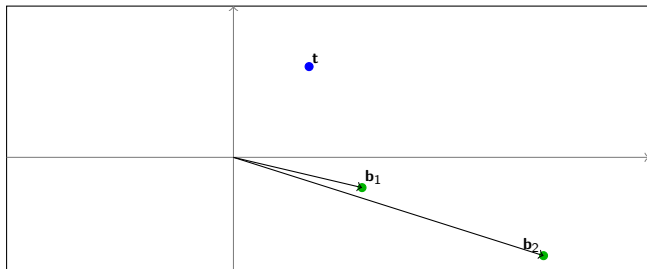
Given a lattice $\mathcal{L}(\mathbf{B})$, find a (nonzero) lattice vector \mathbf{Bx} (with $\mathbf{x} \in \mathbb{Z}^k$) of length (at most) $\|\mathbf{Bx}\| \leq \gamma \lambda_1$



Closest Vector Problem

Definition (Closest Vector Problem, CVP)

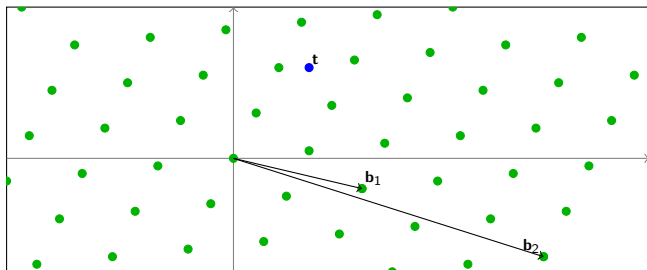
Given a lattice $\mathcal{L}(\mathbf{B})$ and a target point \mathbf{t} , find a lattice vector $\mathbf{B}\mathbf{x}$ within distance $\|\mathbf{B}\mathbf{x} - \mathbf{t}\| \leq \mu$ from the target



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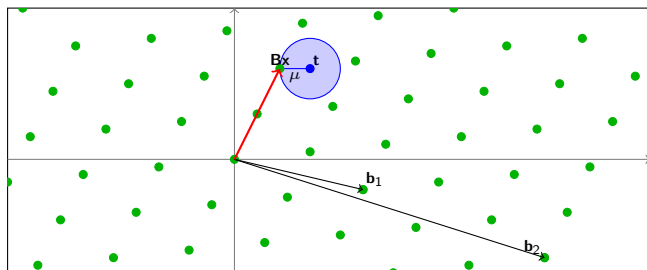
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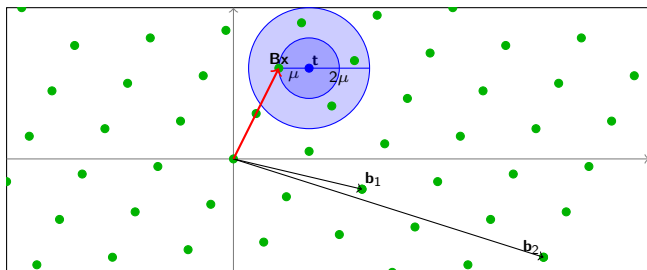
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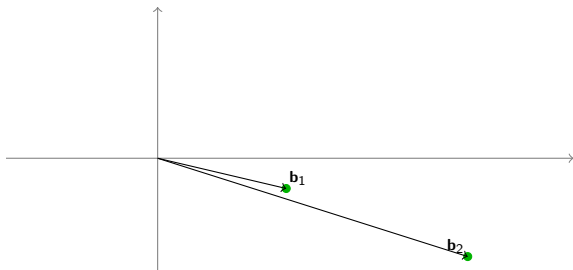
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Shortest Independent Vectors Problem

Definition (Shortest Independent Vectors Problem, SIVP)

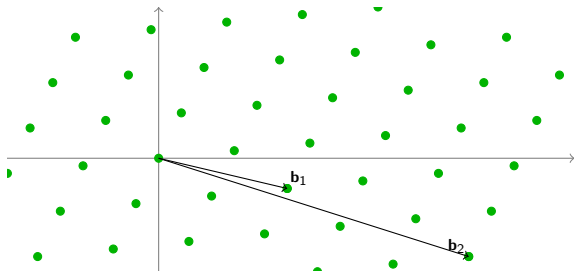
Given a lattice $\mathcal{L}(\mathbf{B})$, find n linearly independent lattice vectors $\mathbf{B}\mathbf{x}_1, \dots, \mathbf{B}\mathbf{x}_n$ of length (at most) $\max_i \|\mathbf{B}\mathbf{x}_i\| \leq \lambda_n$



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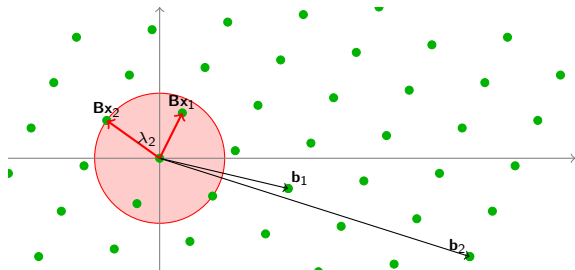
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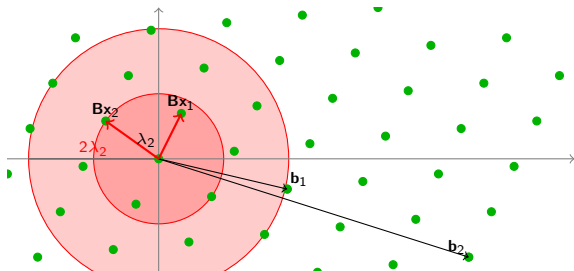
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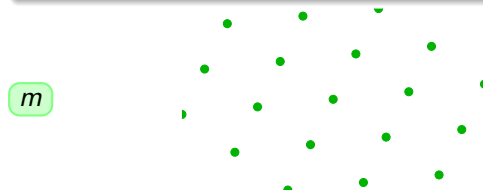
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Coding theory

Problem

Reliable transmission of information over noisy channels

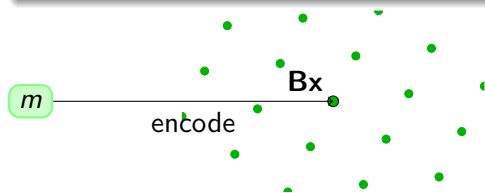


Sender wants to transmit a message m

Coding theory

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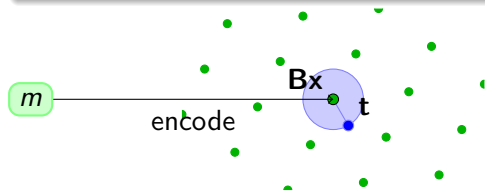


The sender encodes m as a lattice point Bx and transmits it over a noisy channel (e.g., multiantenna system)

Coding theory

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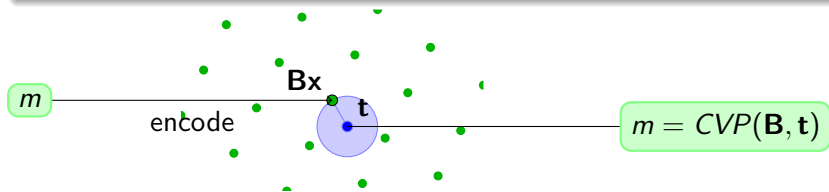


Receiver receives a perturbed lattice point $\mathbf{t} = \mathbf{Bx} + \mathbf{e}$, where \mathbf{e} is a small error vector

Coding theory

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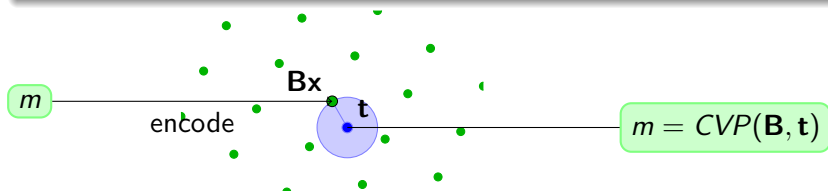


Receiver recovers the original message m by finding the lattice point \mathbf{Bx} closest to the target \mathbf{t} .

Coding theory

Problem

Reliable transmission of information over noisy channels



CVP Decoding algorithm

SVP Evaluating error correction radius $\lambda_1/2$

SIVP Related to distortion in vector quantization

Special Versions of CVP

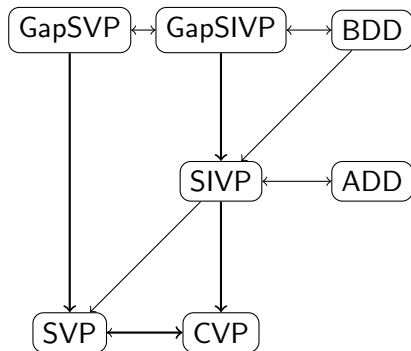
Definition (Closest Vector Problem (CVP))

Given $(\mathcal{L}, \mathbf{t}, d)$, with $\mu(\mathbf{t}, \mathcal{L}) \leq d$, find a lattice point within distance d from \mathbf{t} .

- If d is arbitrary, then one can find the closest lattice vector by binary search on d .
- **Bounded Distance Decoding (BDD)**: If $d < \lambda_1(\mathcal{L})/2$, then there is at most one solution. Solution is the closest lattice vector.
- **Absolute Distance Decoding (ADD)**: If $d \geq \mu(\mathcal{L})$, then there is always at least one solution. Solution may not be closest lattice vector.

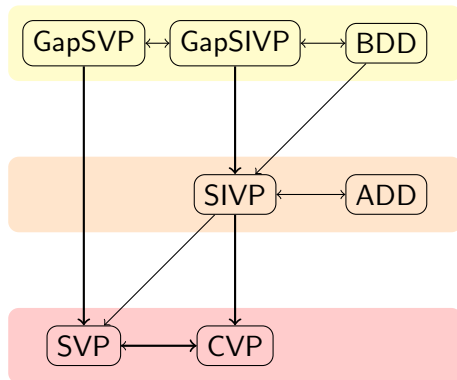
Relations among lattice problems

- $\text{SIVP} \approx \text{ADD}$ [MG'01]
- $\text{SVP} \leq \text{CVP}$ [GMSS'99]
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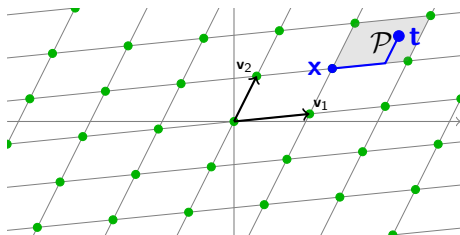
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ADD reduces to SIVP

ADD input: \mathcal{L} and arbitrary \mathbf{t}

- Compute short vectors $\mathbf{V} = \text{SIVP}(\mathcal{L})$
- Use \mathbf{V} to find a lattice vector within distance $\sum_i \frac{1}{2} \|\mathbf{v}_i\| \leq (n/2)\lambda_n \leq n\mu$ from \mathbf{t}



Geometry of Lattices

- Geometry is a powerful tool to attack combinatorial problems
 - LP/SDP relaxation + randomized rounding
 - Lattices: reduce Subset-Sum to CVP

Geometry of Lattices

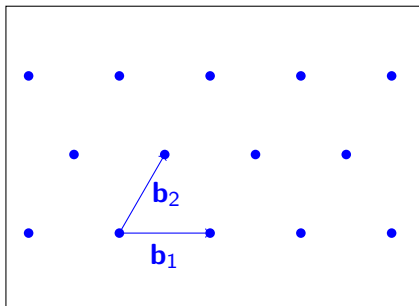
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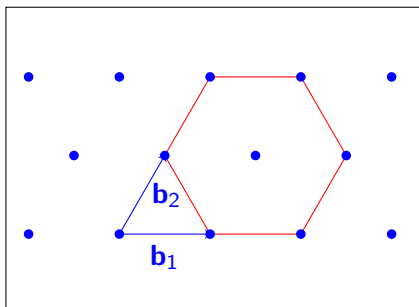
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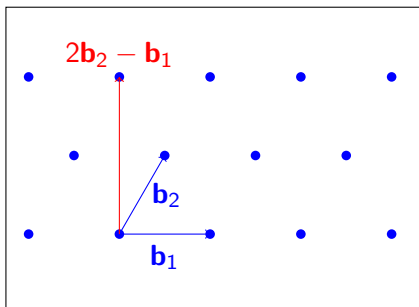
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Geometry of Lattices

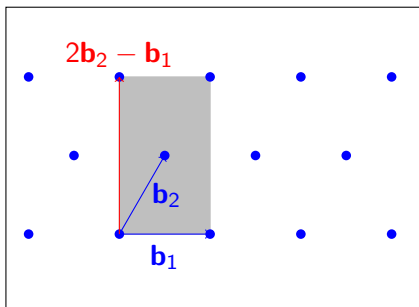
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- $\mathbf{b}_1 \perp (2\mathbf{b}_2 - \mathbf{b}_1)$

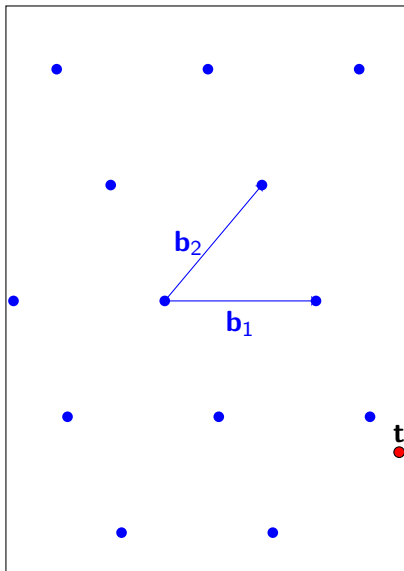
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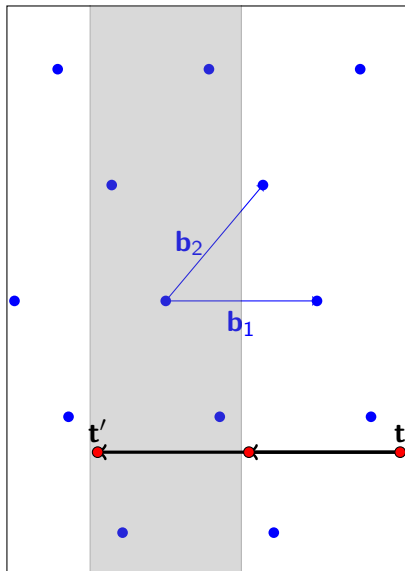
- Not all lattices have an orthogonal basis
- E.g. “exagonal” lattice
- $\mathbf{b}_1 \perp (2\mathbf{b}_2 - \mathbf{b}_1)$
- But they only generate a sublattice

Size Reduction



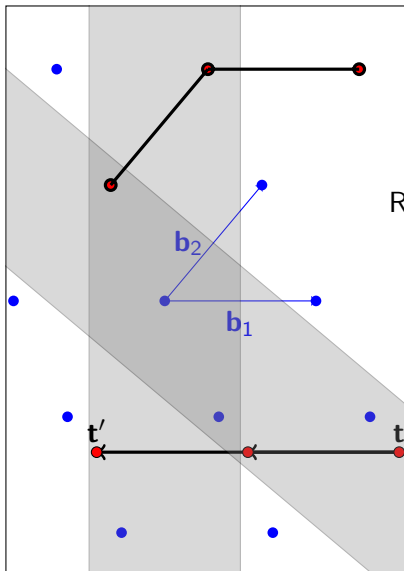
- b_1 : (short) lattice vector
- t : arbitrary point

Size Reduction



- \mathbf{b}_1 : (short) lattice vector
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- Can make \mathbf{t} shorter by adding $\pm\mathbf{b}_1$
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Remarks

- $\mathbf{t} - \mathbf{t}' \in \Lambda$
- Key step in [LLL'82] basis reduction algorithm
- Technique is used in most other lattice algorithms

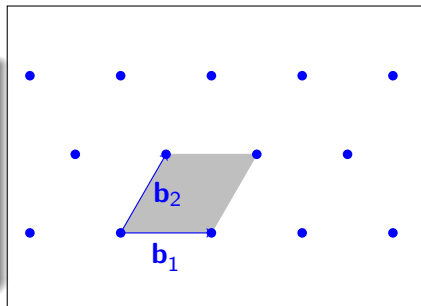
Gram-Schmidt Orthogonalized Basis

Definition (Gram-Schmidt)

Basis $\mathbf{B} = [\mathbf{b}_1, \dots, \mathbf{b}_n]$

$$\mathbf{b}_i^* \in \mathbf{b}_i + [\mathbf{b}_1, \dots, \mathbf{b}_{i-1}] \mathbb{R}^{i-1}$$

$$\mathbf{b}_i^* \perp \mathbf{b}_1, \dots, \mathbf{b}_{i-1}$$



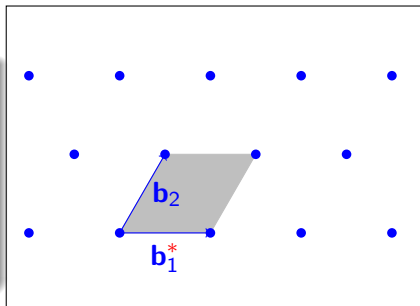
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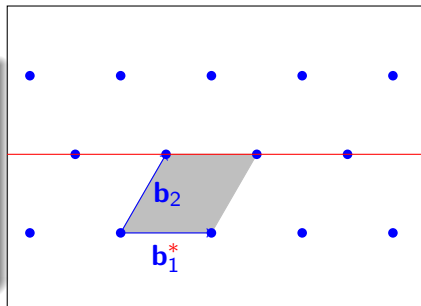
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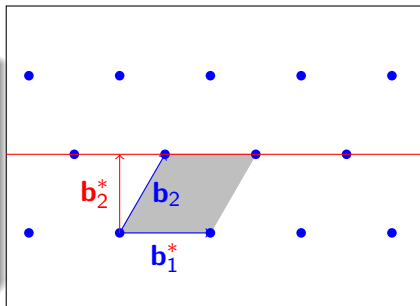
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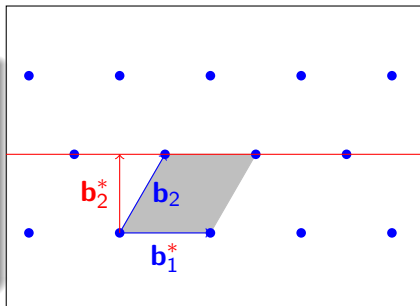
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- \mathbf{B}^* is an orthogonal basis for the vector space $\mathbf{B}\mathbb{R}^n$

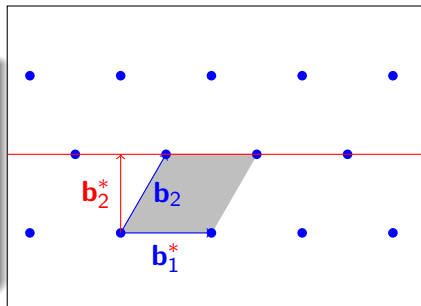
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- \mathbf{B}^* is an orthogonal basis for the vector space $\mathbf{B}\mathbb{R}^n$
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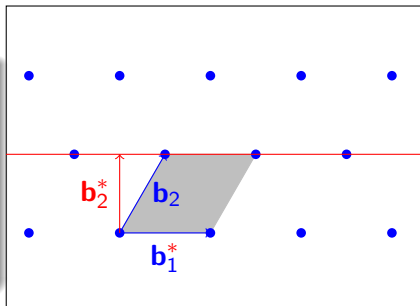
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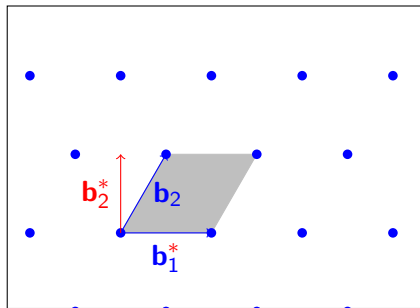
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- \mathbf{B}^* is an orthogonal basis for the vector space $\mathbf{B}\mathbb{R}^n$
- \mathbf{B}^* is **not** a lattice basis for $\mathbf{B}\mathbb{Z}^n$
- Still, \mathbf{B}^* is useful to evaluate the quality of lattice basis \mathbf{B}

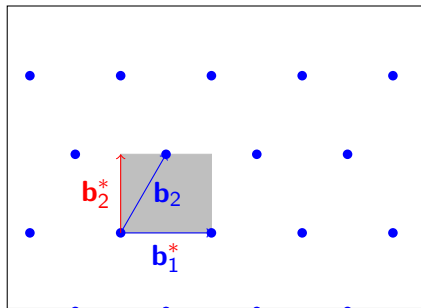
$$\det(\Lambda) = \prod_i \|\mathbf{b}_i^*\| \leq \prod_i \|\mathbf{b}_i\| \quad (\text{Hadamard})$$

Lattice rounding



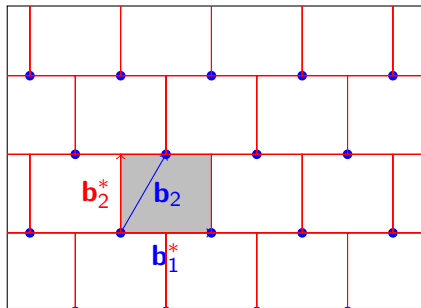
Lattice rounding

- $\mathbf{B}^*[0, 1]^n$ is also a fundamental region for Λ



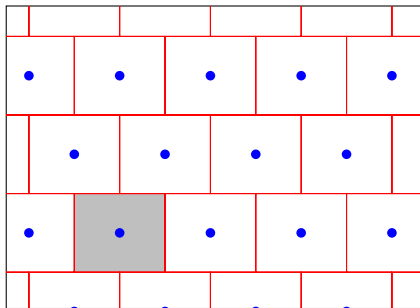
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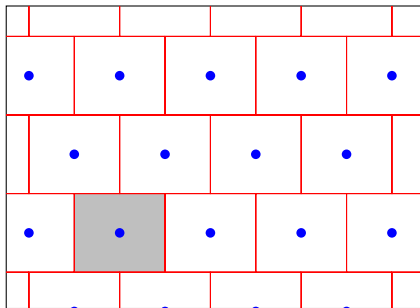
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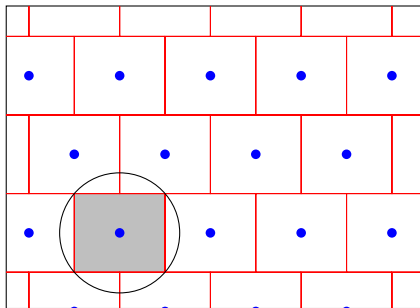
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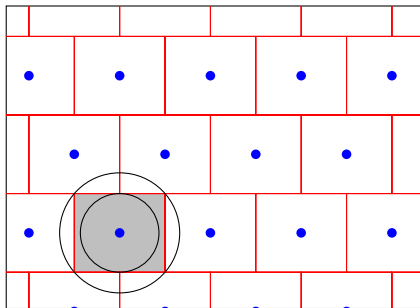
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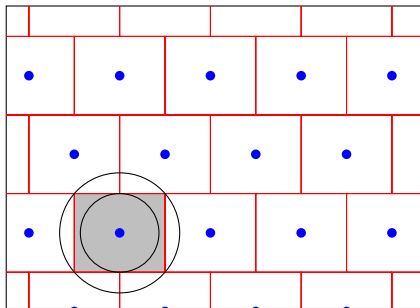
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Lemma (Nearest Plane Algorithm [Babai 1986])

Rounding w.r.t \mathbf{B}^* approximates CVP within $\sqrt{n} \cdot \frac{\max_i \|\mathbf{b}_i^*\|}{\min_i \|\mathbf{b}_i^*\|}$

- 1 Point Lattices and Lattice Parameters
- 2 Computational Problems
 - Coding Theory
- 3 The Dual Lattice**
- 4 Q -ary Lattices and Cryptography

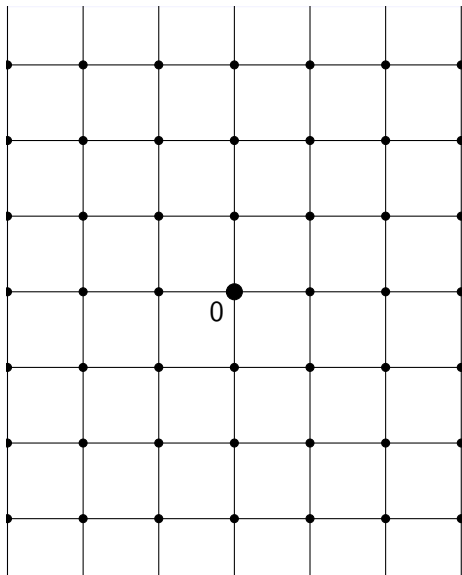
The Dual Lattice

- A vector space over \mathbb{R} is a set of vectors V with
 - a vector addition operation $\mathbf{x} + \mathbf{y} \in V$
 - a scalar multiplication $a \cdot \mathbf{x} \in V$
- The dual of a vector space V is the set $V^\vee = \text{Hom}(V, \mathbb{R})$ of linear functions $\phi : V \rightarrow \mathbb{R}$, typically represented as vectors $\mathbf{x} \in V$, where $\phi_{\mathbf{x}}(\mathbf{y}) = \langle \mathbf{x}, \mathbf{y} \rangle$
- The dual of a lattice Λ is defined similarly as the set of linear functions $\phi_{\mathbf{x}} : \Lambda \rightarrow \mathbb{Z}$ represented as vectors $\mathbf{x} \in \text{span}(\Lambda)$.

Definition (Dual lattice)

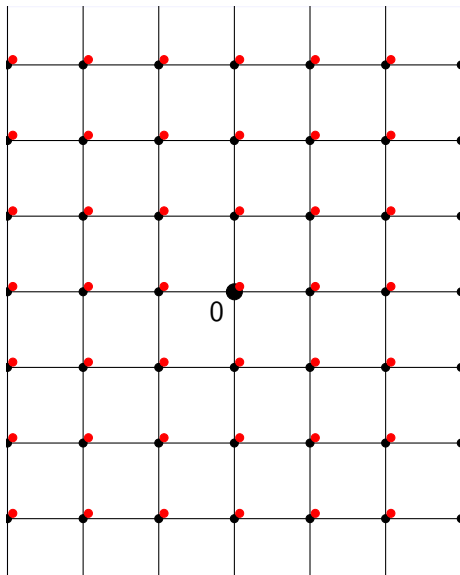
The dual of a lattice Λ is the set of all vectors $\mathbf{x} \in \text{span}(\Lambda)$ such that $\langle \mathbf{x}, \mathbf{v} \rangle \in \mathbb{Z}$ for all $\mathbf{v} \in \Lambda$

Dual lattice: Examples



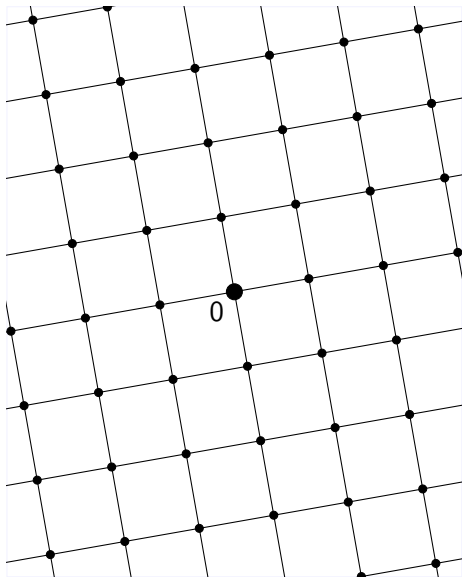
- Integer lattice $(\mathbb{Z}^n)^V$

Dual lattice: Examples



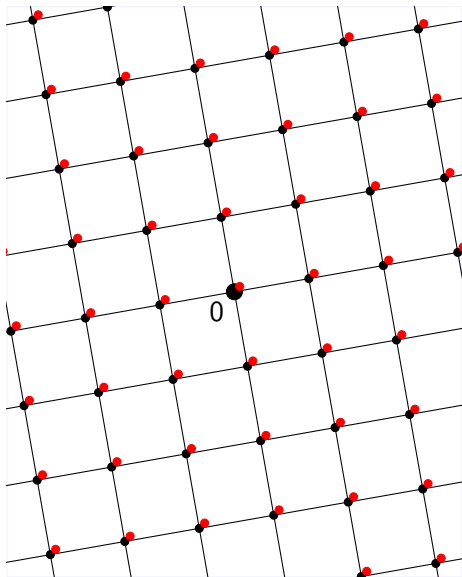
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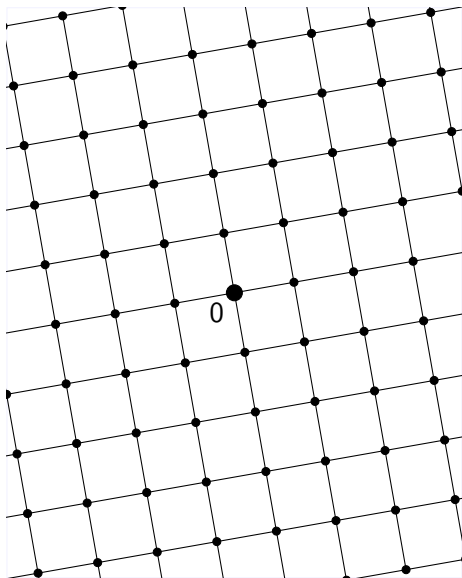
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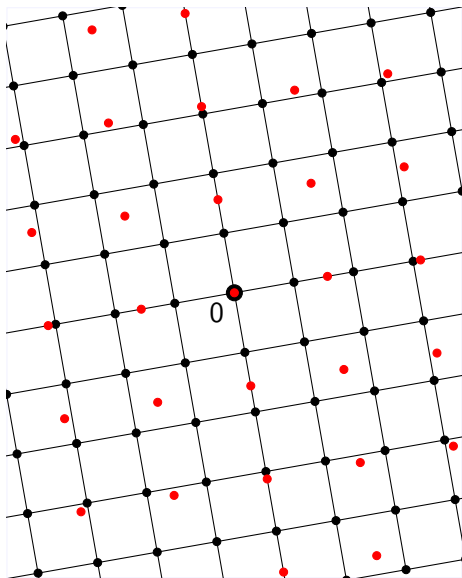
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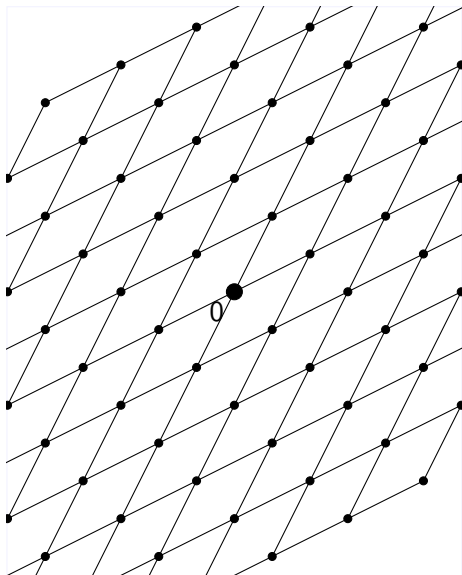
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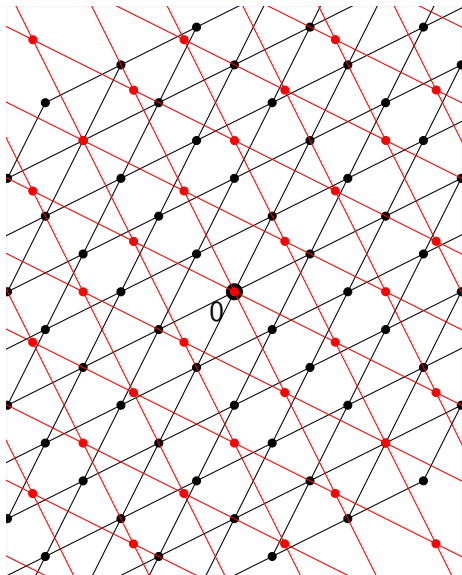
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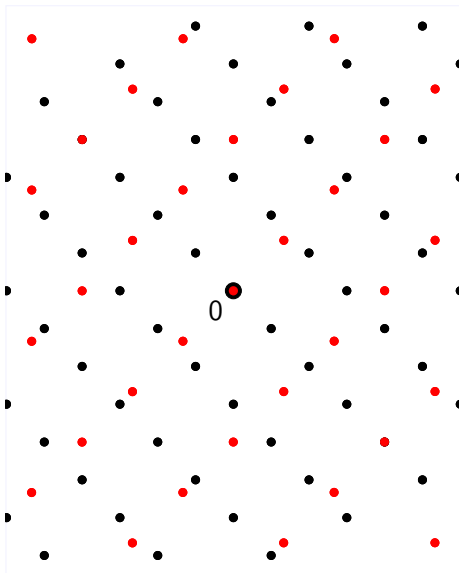
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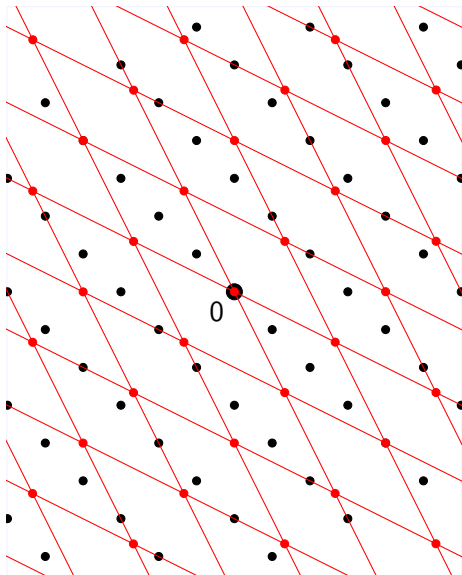
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Dual lattice: Examples



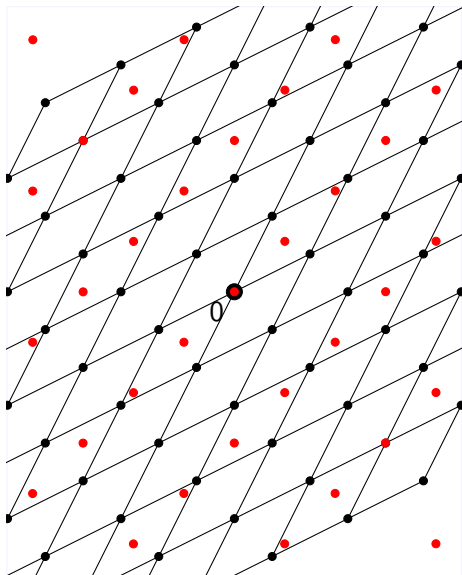
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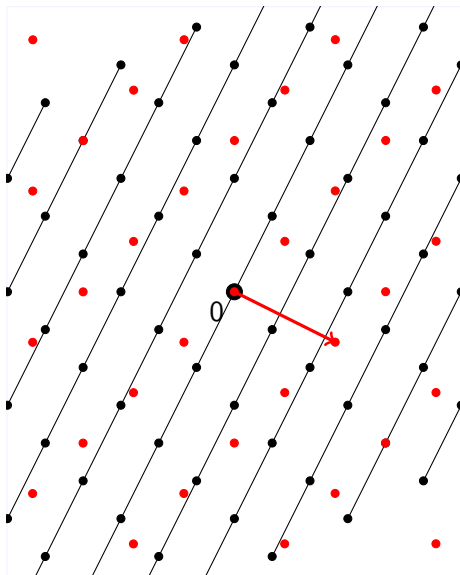
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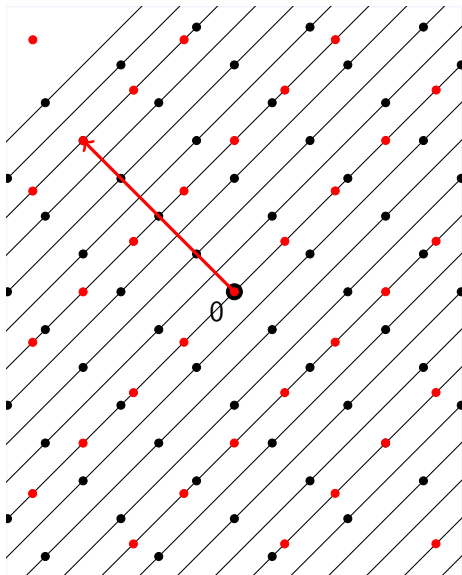
Lattice Layers



- Each dual vector $\mathbf{v} \in \mathcal{L}^\vee$, partitions the lattice \mathcal{L} into layers orthogonal to \mathbf{v}

$$L_i = \{\mathbf{x} \in \mathcal{L} \mid \mathbf{x} \cdot \mathbf{v} = i\}$$

Lattice Layers

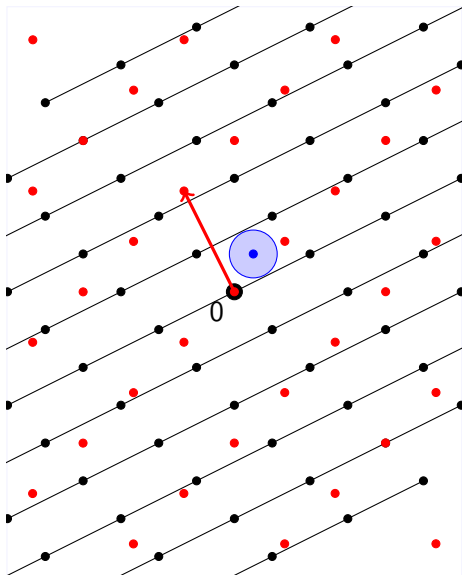


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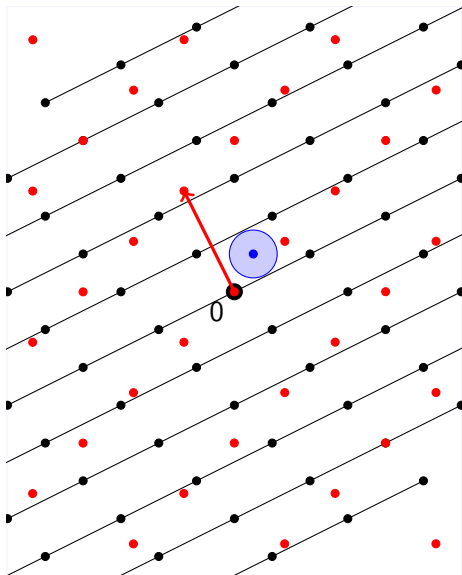


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Transference Theorems

Theorem (Banasczyk)

For any lattice \mathcal{L}

$$1 \leq 2\lambda_1(\mathcal{L}) \cdot \mu(\mathcal{L}^\vee) \leq n.$$

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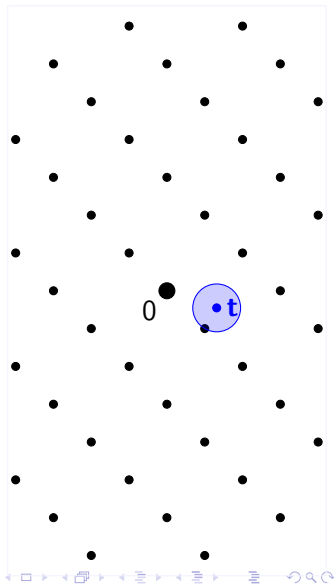
For every i ,

$$1 \leq \lambda_i(\mathcal{L}) \cdot \lambda_{n-i+1}(\mathcal{L}^\vee) \leq n.$$

- Approximating $\lambda_1(\mathcal{L})$ within a factor n is in $NP \cap coNP$
- Same is true for $\lambda_i, \dots, \lambda_n$ and μ .

BDD reduces to SIVP

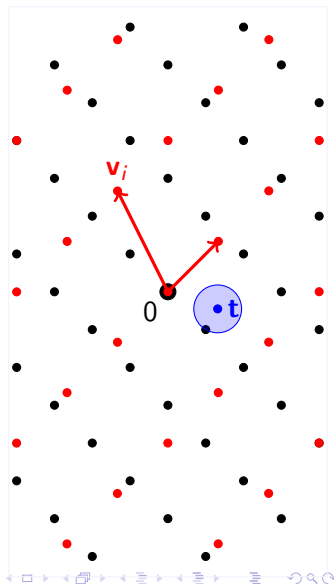
BDD input: \mathbf{t} close to \mathcal{L}



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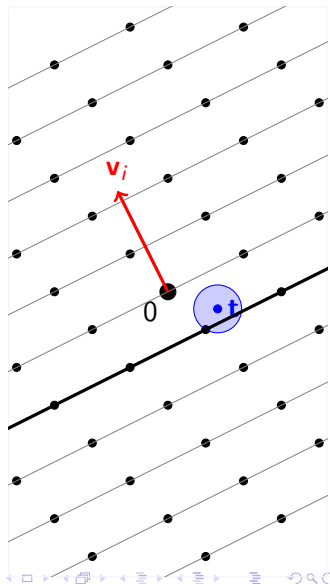
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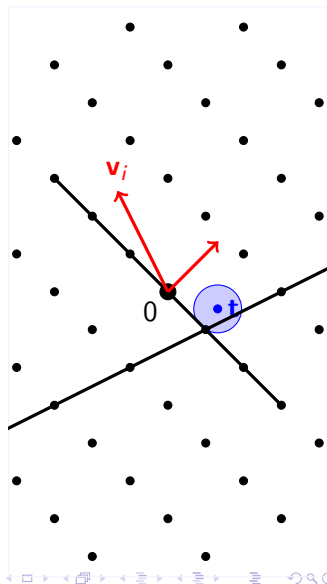
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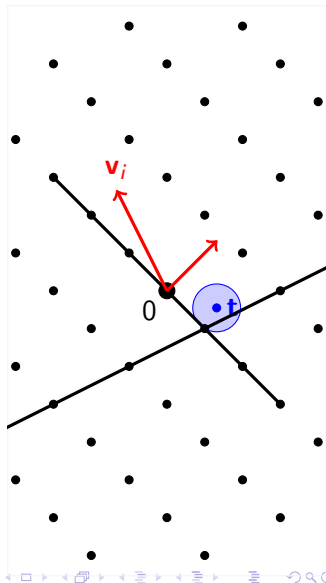


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- Output is correct as long as

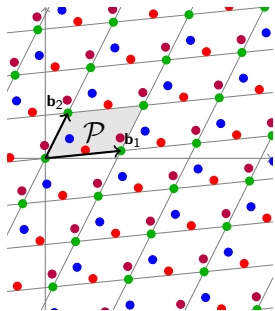
$$\mu(\mathbf{t}, \mathcal{L}) \leq \frac{\lambda_1}{2n} \leq \frac{1}{2\lambda_n^\vee} \leq \frac{1}{2\|\mathbf{v}_i\|}$$



Working modulo a lattice

Definition (Fundamental Region of a lattice)

$P \subset \mathbb{R}^n$: $\{P + \mathbf{x} \mid \mathbf{x} \in \mathcal{L}\}$ is a partition of \mathbb{R}^n .

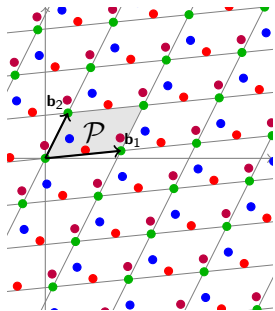


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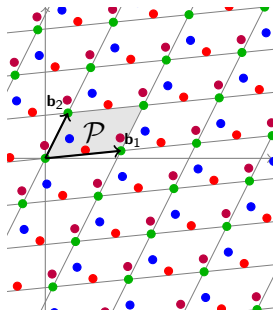


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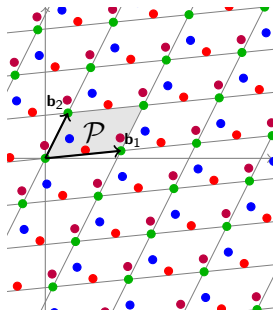


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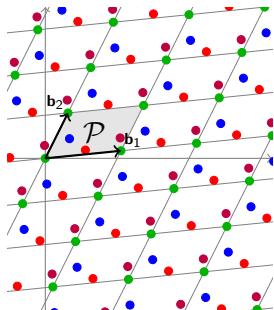


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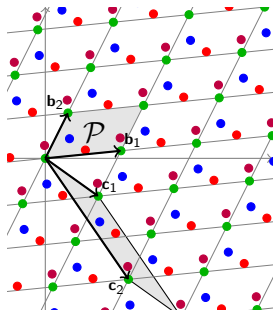


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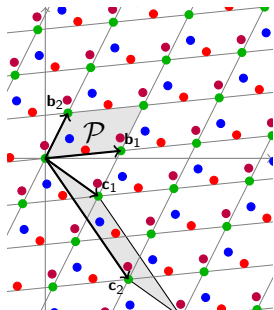
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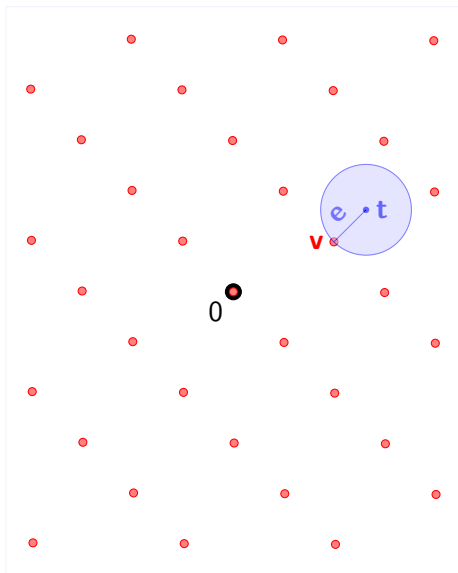
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$$(\mathbf{B}^\vee) \mathbf{t} \pmod{1}$$



CVP and lattice cosets

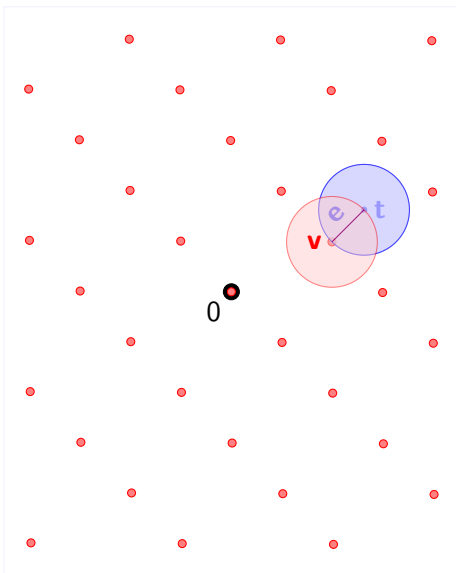


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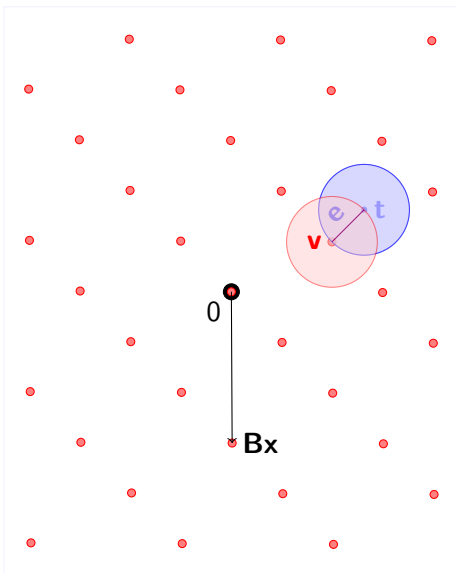


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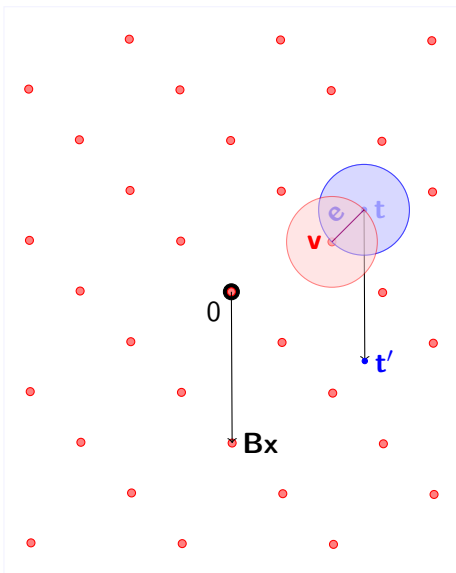


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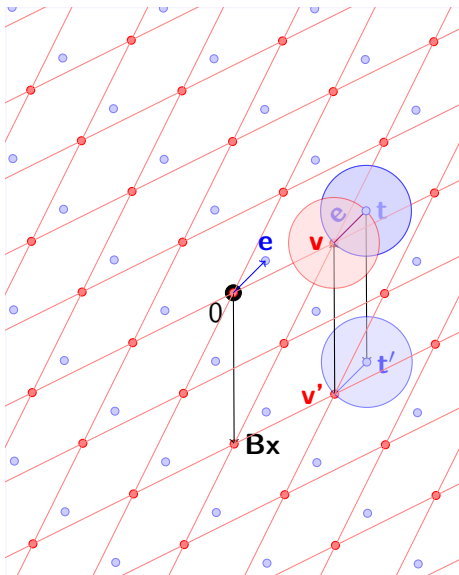


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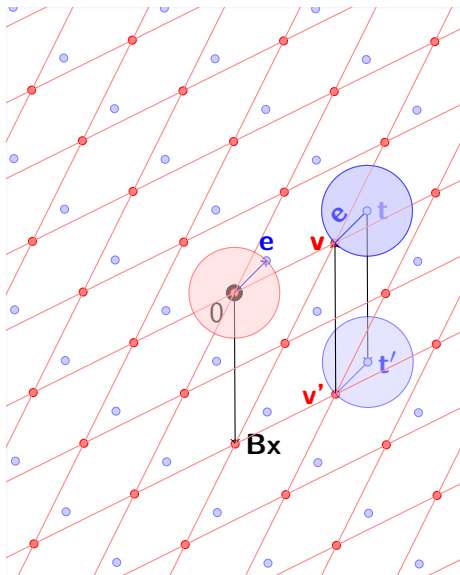


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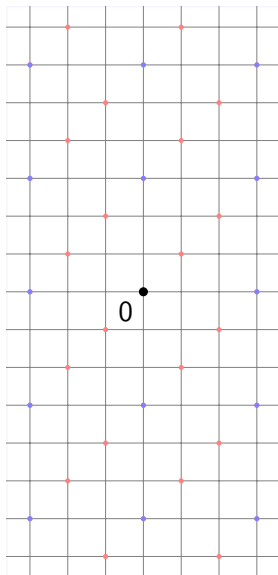
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- 1 Point Lattices and Lattice Parameters
- 2 Computational Problems
 - Coding Theory
- 3 The Dual Lattice
- 4 Q-ary Lattices and Cryptography

Random lattices in Cryptography



- Cryptography typically uses (random) lattices Λ such that
 - $\Lambda \subseteq \mathbb{Z}^d$ is an integer lattice
 - $q\mathbb{Z}^d \subseteq \Lambda$ is periodic modulo a small integer q .
- Cryptographic functions based on q -ary lattices involve only arithmetic modulo q .

Definition (q -ary lattice)

Λ is a q -ary lattice if $q\mathbb{Z}^n \subseteq \Lambda \subseteq \mathbb{Z}^n$

Examples of q -ary lattices

Examples (for any $\mathbf{A} \in \mathbb{Z}_q^{n \times d}$)

- $\Lambda_q(\mathbf{A}) = \{\mathbf{x} \mid \mathbf{x} \bmod q \in \mathbf{A}^T \mathbb{Z}_q^n\} \subseteq \mathbb{Z}^d$
- $\Lambda_q^\perp(\mathbf{A}) = \{\mathbf{x} \mid \mathbf{A}\mathbf{x} = \mathbf{0} \bmod q\} \subseteq \mathbb{Z}^d$

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Theorem

For any lattice Λ the following conditions are equivalent:

- $q\mathbb{Z}^d \subseteq \Lambda \subseteq \mathbb{Z}^d$
- $\Lambda = \Lambda_q(\mathbf{A})$ for some \mathbf{A}
- $\Lambda = \Lambda_q^\perp(\mathbf{A})$ for some \mathbf{A}

For any fixed \mathbf{A} , the lattices $\Lambda_q(\mathbf{A})$ and $\Lambda_q^\perp(\mathbf{A})$ are **different**

Duality of q -ary lattices

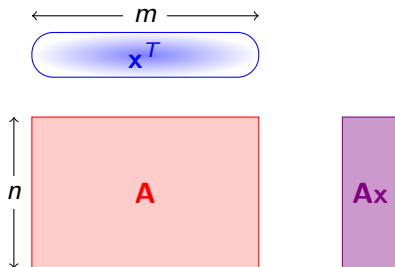
- For any fixed \mathbf{A} , the lattices $\Lambda_q(\mathbf{A})$ and $\Lambda_q^\perp(\mathbf{A})$ are **different**
- For any $\mathbf{A} \in \mathbb{Z}_q^{n \times d}$ there is a $\mathbf{A}' \in \mathbb{Z}_q^{k \times d}$ such that $\Lambda_q(\mathbf{A}) = \Lambda_q^\perp(\mathbf{A}')$.
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- The q -ary lattices associated to \mathbf{A} are dual (up to scaling)

$$\Lambda_q(\mathbf{A})^\vee = \frac{1}{q} \Lambda_q^\perp(\mathbf{A})$$

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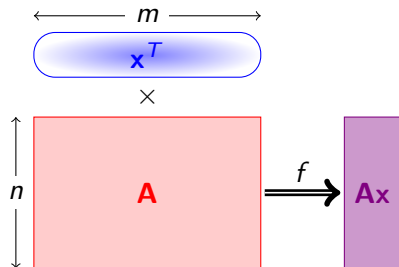
Ajtai's one-way function (SIS)

- Parameters: $m, n, q \in \mathbb{Z}$
- Key: $\mathbf{A} \in \mathbb{Z}_q^{n \times m}$
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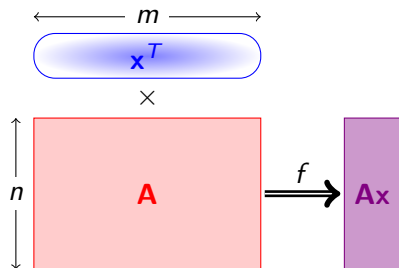
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Ajtai's one-way function (SIS)

- Parameters: $m, n, q \in \mathbb{Z}$
- Key: $\mathbf{A} \in \mathbb{Z}_q^{n \times m}$
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Theorem (A'96)

For $m > n \lg q$, if lattice problems (SIVP) are hard to approximate in the worst-case, then $f_{\mathbf{A}}(\mathbf{x}) = \mathbf{Ax} \bmod q$ is a one-way function.

Applications: OWF [A'96], Hashing [GGH'97], Commit [KTX'08], ID schemes [L'08], Signatures [LM'08, GPV'08, ..., DDLL'13] ...

Ajtai's function and q -ary lattices

- $f_{\mathbf{A}}(\mathbf{x}) = \mathbf{Ax} \bmod q$, where \mathbf{x} is short

Ajtai's function and q -ary lattices

- $f_{\mathbf{A}}(\mathbf{x}) = \mathbf{A}\mathbf{x} \bmod q$, where \mathbf{x} is short
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Ajtai's function and q -ary lattices

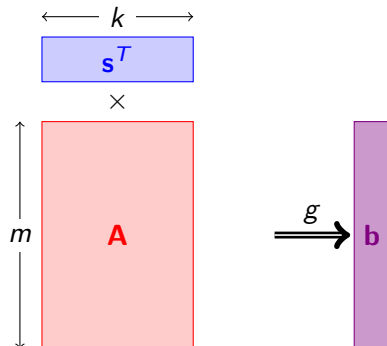
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- For $f_{\mathbf{A}}$ to be a compression function, \mathbf{x} is longer than $\frac{1}{2}\lambda_1(\Lambda_q^\perp(\mathbf{A}))$

Remark

SIS \equiv *Approximate ADD (Absolute Distance Decoding)*

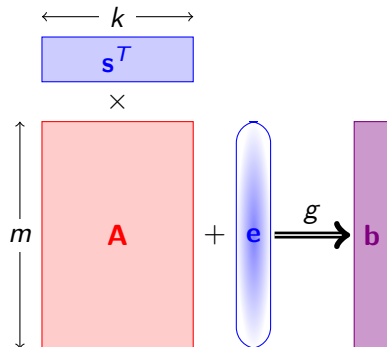
Regev's Learning With Errors (LWE)

- $\mathbf{A} \in \mathbb{Z}_q^{m \times k}$, $\mathbf{s} \in \mathbb{Z}_q^k$, $\mathbf{e} \in \mathcal{E}^m$.
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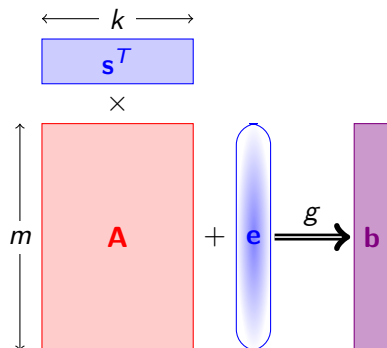
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Theorem (R'05)

The function $g_{\mathbf{A}}(\mathbf{s}, \mathbf{e})$ is hard to invert on the average, assuming SIVP is hard to approximate in the worst-case.

Applications: CPA PKE [R'05], CCA PKE [PW'08], (H)IBE [GPV'08,CHKP'10,ABB'10], FHE [... ,B'12,AP'13,GSW'13], ...



LWE and q -ary lattices

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 - Input: $\mathbf{A} \in \mathbb{Z}_q^{m \times n}$ and $\mathbf{As} + \mathbf{e}$, where \mathbf{e} is small and \mathbf{s} is arbitrary
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Remark

LWE \equiv Approximate BDD (Bounded Distance Decoding)

Much more ...

Not covered in this introduction:

- Gaussian measures and harmonic analysis
- Lattices from Algebraic Number Theory
- Other norms
- Sphere packings
- Average-case to Worst-case connection