

# A quick overview of lattice reduction and LLL

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ENS de Lyon

September 8th

# The Road Map

What LLL does

Why so useful

How it works

Behavior and Complexity

# Overview of LLL

What LLL does

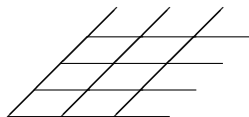
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# Introducing Lattices

A lattice,  $L$



The same lattice,  $L$



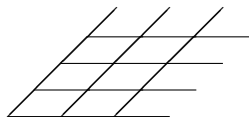
## Definition

A lattice,  $L$ , is all integer combinations of some vectors.  
Any minimal spanning set of  $L$  is called a basis of  $L$ .

Every lattice has many bases. . . and we want a good basis!

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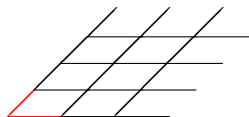
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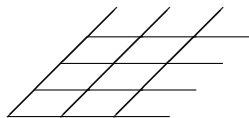
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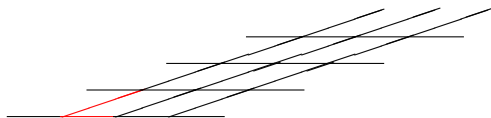
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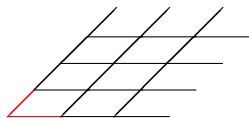
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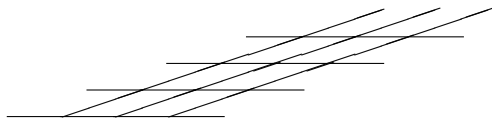
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Every lattice has many bases. . . and we want a **good** basis!



# From one basis to another

## A Generic Lattice Reduction Algorithm

**Input:** A basis  $\mathbf{b}_1, \dots, \mathbf{b}_d$  of  $L$ .

**Output:** A 'reduced' basis  $\mathbf{b}'_1, \dots, \mathbf{b}'_d$  of  $L$  (I'll define reduced in a moment).

- LLL [Lenstra, Lenstra, Lovász 1982] is the name of the first and most popular lattice reduction algorithm.
- Let  $B$  (resp.  $B'$ ) have columns  $\mathbf{b}_j$  (resp.  $\mathbf{b}'_j$ ). Then  $B' = BU$  for some unimodular transformation  $U$ .

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## Quick reminder of Gram-Schmidt

Given a set of vectors  $\mathbf{b}_1, \dots, \mathbf{b}_d \in \mathbb{R}^n$  the Gram-Schmidt (G-S) process returns orthogonal vectors  $\mathbf{b}_1^*, \dots, \mathbf{b}_d^*$ . Inductively:

- $\mathbf{b}_1^* := \mathbf{b}_1$
- For  $i$  from 2 to  $d$ :
  - For  $j$  from 1 to  $i - 1$  let  $\mu_{i,j}$  be  $\frac{\langle \mathbf{b}_i, \mathbf{b}_j^* \rangle}{\langle \mathbf{b}_j^*, \mathbf{b}_j^* \rangle}$   
(coefficient of projection of  $\mathbf{b}_i$  onto  $\mathbf{b}_j^*$ )
  - Define  $\mathbf{b}_i^* := \mathbf{b}_i - \left( \sum_{j=1}^{i-1} \mu_{i,j} \cdot \mathbf{b}_j^* \right)$ .

### Intuition of GSO

My favorite way to think of G-S vectors is that  $\mathbf{b}_i^*$  is  $\mathbf{b}_i$  **modded out** by  $\mathbf{b}_1, \dots, \mathbf{b}_{i-1}$  over  $\mathbb{R}$ .

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# LLL Reduced Bases

## Size-reduced basis

A lattice basis is said to be **size-reduced** if  $|\mu_{i,j}| \leq \frac{1}{2}$  for all  $j < i$ .

Roughly  $\mathbf{b}_i$  is **modded out** by  $\mathbf{b}_1, \dots, \mathbf{b}_{i-1}$  over  $\mathbb{Z}$  (similar to G-S but remaining in the lattice).

## LLL-reduced basis

A lattice basis is said to be LLL-reduced if it is **size-reduced** and  $\|\mathbf{b}_{i+1}^*\|^2 \geq \left(\frac{3}{4} - \mu_{i+1,i}\right) \|\mathbf{b}_i^*\|^2 \geq \frac{1}{2} \|\mathbf{b}_i^*\|^2$  for  $1 \leq i < d$

Intuitively this means that the G-S norms don't drop 'too fast'.

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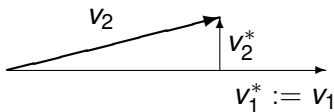
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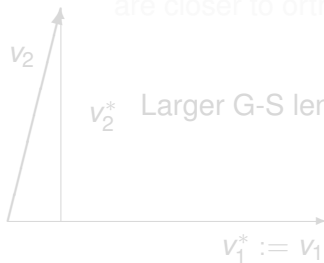
In this picture there are two vectors which are far from orthogonal.

Small G-S Length



In this one the vectors are closer to orthogonal.

Larger G-S length

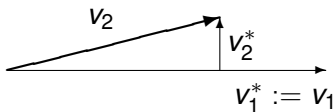


- A reduced basis is roughly sorted by G-S norms
- It is also a 'nearly orthogonal' basis

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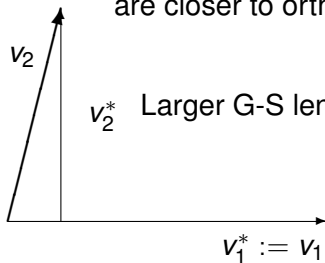
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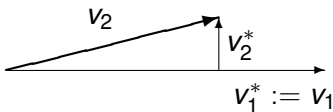


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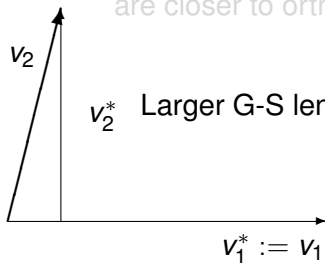
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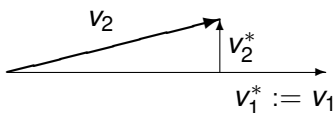


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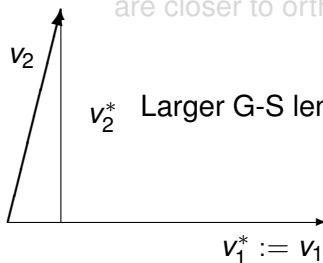
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# Overview of LLL

What LLL does

**Why so useful**

How it works

Behavior and Complexity

# Why a Reduced Basis is a Nice Basis

- The first vector of a reduced basis is small.
- For every  $\mathbf{v} \in L$  we have:

$$\| \mathbf{b}_1 \| \leq 2^{(d-1)/2} \| \mathbf{v} \|$$

- For every basis of  $s$  vectors the following holds:
- Let  $\mathbf{v} \in L$  with  $\| \mathbf{v} \|^2 \leq B$ . If  $\| \mathbf{b}_d^* \|^2 > B$  then  $\mathbf{v} \in \text{SPAN}_{\mathbb{Z}}(\mathbf{b}_1, \dots, \mathbf{b}_{s-1})$
- Reduced bases push large G-S norms to the rear helping to separate large and small.

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# The Most Common Lattice Question

## The Shortest Vector Problem

Given a lattice,  $L$ , find the Shortest Vector in  $L$ .

- The Shortest Vector Problem (SVP) is NP-hard to even approximate to within a constant.
- There are many interesting research problems which can be connected to the SVP.
- One of the primary uses of lattice reduction algorithms is to approximately solve the SVP in polynomial time.
- Sometimes approximating can be enough to solve these interesting problems.

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# An Example: Algebraic Number Reconstruction

**Finding a minpoly:** Given an approximation

$$\tilde{\alpha} = \operatorname{Re}(\tilde{\alpha}) + i \cdot \operatorname{Im}(\tilde{\alpha}).$$

Make a lattice,  $L$ , like this:

$$\begin{pmatrix} 1 & 0 & 0 & 0 & C \cdot \operatorname{Re}(\tilde{\alpha}^0) & C \cdot \operatorname{Im}(\tilde{\alpha}^0) \\ 0 & 1 & 0 & 0 & C \cdot \operatorname{Re}(\tilde{\alpha}^1) & C \cdot \operatorname{Im}(\tilde{\alpha}^1) \\ 0 & 0 & 1 & 0 & C \cdot \operatorname{Re}(\tilde{\alpha}^2) & C \cdot \operatorname{Im}(\tilde{\alpha}^2) \\ 0 & 0 & 0 & 1 & C \cdot \operatorname{Re}(\tilde{\alpha}^3) & C \cdot \operatorname{Im}(\tilde{\alpha}^3) \end{pmatrix}$$

Where  $C$  is a very large constant.

Let  $\operatorname{minpoly}(\alpha) =: c_0 + c_1x + c_2x^2 + c_3x^3$ .

Then  $(c_0, c_1, c_2, c_3, 0, 0) \in L$  and is smaller in size than the other vectors.

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## A quick 'hit-list' of some applications

- Polynomial Factoring
- Integer Relations/Algebraic Relations
- Cryptography (both attacking and encoding)
- Diophantine Equations
- Linear Programming
- Conjecture testing
- the Knapsack problem
- GCDs and kernels
- Table Maker's Dilemma :)

# Overview of LLL

What LLL does

Why so useful

**How it works**

Behavior and Complexity



# A Lattice Reduction Algorithm

Most variants of LLL perform the following steps in one form or another:

1. (*Gram-Schmidt over  $\mathbb{Z}$* ). By subtracting suitable  $\mathbb{Z}$ -linear combinations of  $\mathbf{b}_1, \dots, \mathbf{b}_{k-1}$  from  $\mathbf{b}_k$ .
2. (*LLL Switch*). If interchanging  $\mathbf{b}_k$  and  $\mathbf{b}_{k+1}$  will increase  $\|\mathbf{b}_{k+1}^*\|^2$  by a factor 2, then do so.
3. (*Repeat*). If there was no such  $k$  in Step 2, then the algorithm stops. Otherwise go back to Step 1.

The cost of this algorithm has been roughly approximated as:  
**'the number of switches'** times **'the cost per switch'**

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# A Tightly Packed Example

$$\begin{pmatrix} 10 & 0 & 0 & 0 \\ 10 & 20 & 0 & 0 \\ 10 & 20 & 5 & 0 \\ 10 & 20 & 5 & 1 \end{pmatrix}
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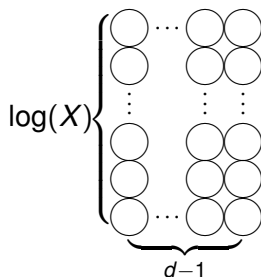
Behavior and Complexity

# Counting Switches

LLL[82] counts switches:

$$\mathcal{O}(d^2 \log(X))$$

0 switches

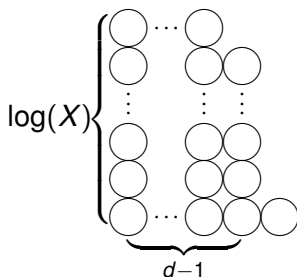


# Counting Switches

LLL[82] counts switches:

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1 switch



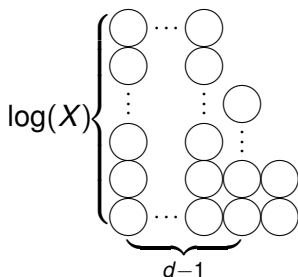


# Counting Switches

LLL[82] counts switches:

$$\mathcal{O}(d^2 \log(X))$$

2 switches



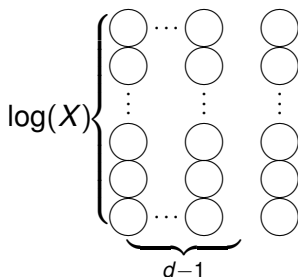
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$\log(X)$  switches



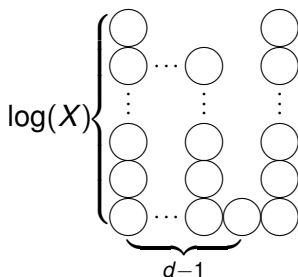
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$\log(X) + 1$  switches

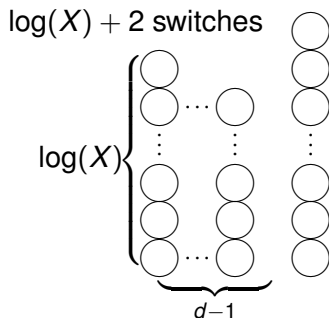


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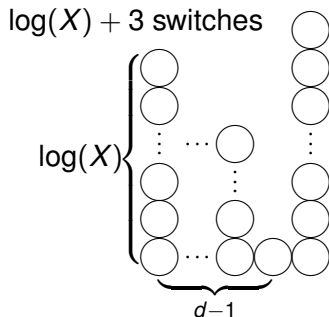


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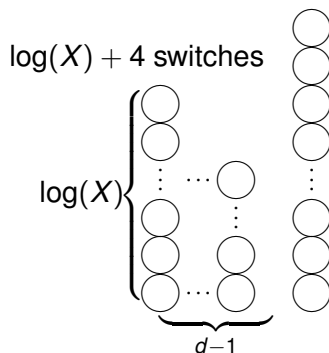
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$$\dots + (d - 1) \log(X)$$



# Complexity of LLL

## Parameters

Given a lattice basis,  $\mathbf{b}_1, \dots, \mathbf{b}_d \in \mathbb{R}^n$  with  $\|\mathbf{b}_i\|^2 \leq X$  for all  $i$ .  
Return a reduced basis.

- The 1982 LLL paper does this in  $\mathcal{O}(d^5 n \log^3(X)) = \mathcal{O}(d^2 \log X) \times \mathcal{O}(d) \times \mathcal{O}(n) \times \mathcal{M}(d \log X)$
- Several results weaken the strength of reduction to gain a complexity savings.
- Recent floating-point versions of LLL have attacked the cost of the size-reductions.
- We've attacked the number of switches if the user can bound the size of target vectors.

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# An Example of an improvement strategy

$$\begin{pmatrix} 0 & 0 & 0 & 200001 \\ 1 & 0 & 0 & 90102 \\ 0 & 1 & 0 & 90403 \\ 0 & 0 & 1 & 90904 \end{pmatrix} \text{ has a vector of length } \sqrt{102}$$

$$\begin{pmatrix} 0 & 0 & 0 & 200 \\ 1 & 0 & 0 & 90 \\ 0 & 1 & 0 & 90 \\ 0 & 0 & 1 & 90 \end{pmatrix} \begin{pmatrix} -1 & 1 & 0 & 0 \\ -1 & 0 & 1 & 0 \\ 3 & 3 & 3 & 10 \\ -6 & -7 & -7 & 0 \end{pmatrix} \text{ (7 swaps)}$$

$$\begin{pmatrix} -1 & 1 & 0 & 301 \\ -1 & 0 & 1 & 802 \end{pmatrix} \begin{pmatrix} 5 & -8 & 3 & -2 \\ -8 & 13 & -5 & -97 \end{pmatrix} \text{ (2 swaps)}$$

A single call to LLL uses 24 swaps.

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# Thanks!

Thank you for your attention.