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Eindhoven University of Technology (TU/e)

# Analysis and Properties of Error Patterns in the Lee Channel

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German Aerospace Center (DLR) &  
University of Zurich

joint work with Hannes Bartz, Gianluigi Liva  
and Joachim Rosenthal



Knowledge for Tomorrow

# Outline

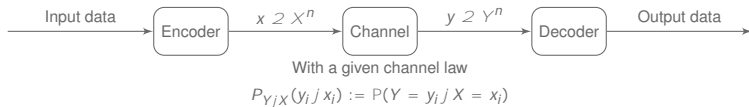
- 1 Introduction
- 2 The Lee Channel
- 3 Error Pattern Construction
- 4 Scalar Multiplication in the Lee Metric

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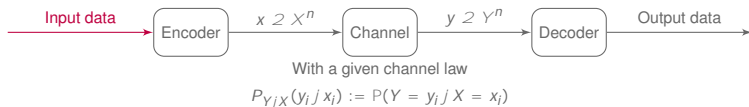
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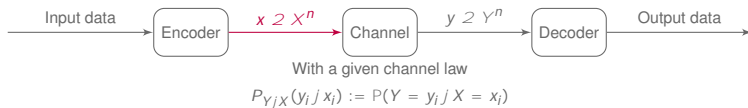
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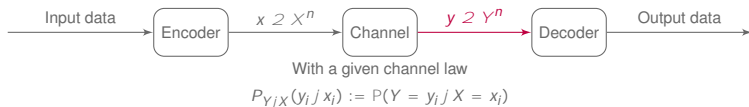
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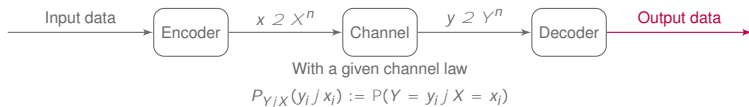
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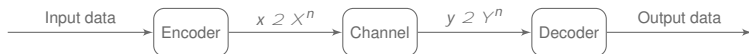
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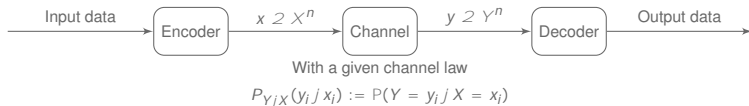


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**Example:**  $q$ -ary Symmetric Channel ( $q$ SC)

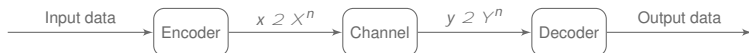
Alphabets:

$$X = Y = \{0, 1, \dots, q-1\}$$

Input	Output
0	0
1	1
⋮	⋮
$q-1$	$q-1$

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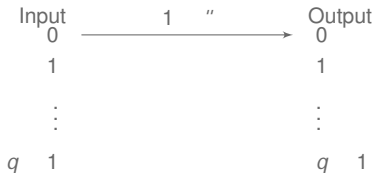
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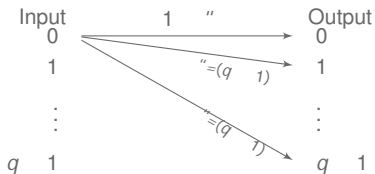
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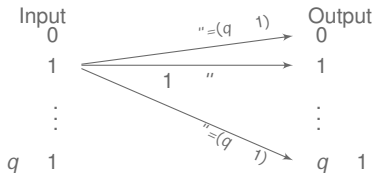
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# Linear Block Codes

Let  $F_q$  be a finite field of order  $q$  and let  $n$  be a positive integer.

## Definition [Linear Code]

An  $[n; k]_q$ -linear code  $C \subseteq F_q^n$  is a  $k$ -dimensional subspace of  $F_q^n$ . The elements of  $C$  are called *codewords*.

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$C = \{ (0; 0; 0; 0); (1; 1; 0; 0); (0; 0; 1; 1); (1; 1; 1; 1) \}$  is a  $[4; 2]_2$ -linear code.

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## Definition [Hamming Weight/Distance]

For any two codewords  $x; y \in C$  we define

the Hamming weight of  $x$ ,  $wt_H(x) = \sum_{i=1}^n \mathbb{1}_{x_i \neq 0}$

the Hamming distance between  $x$  and  $y$ ,  $d_H(x; y) := wt_H(x - y)$



## The Lee Metric

We will denote by  $Z_q$  the ring of integers modulo  $q$ .

### Definition [Lee weight]

For any integer  $a \in Z_q$  its Lee weight is defined as

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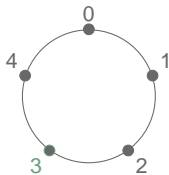
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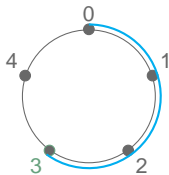
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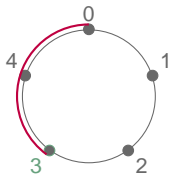
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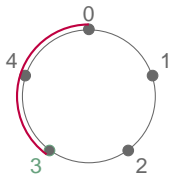
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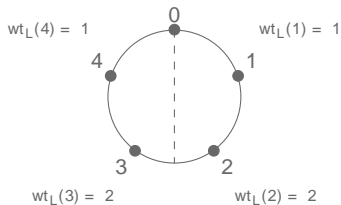
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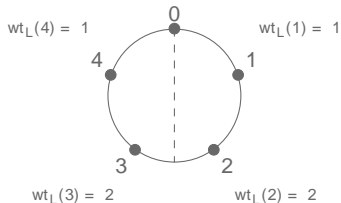
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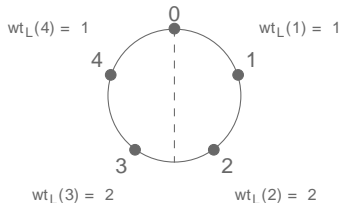
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$$wt_H(a) \leq wt_L(a)$$

If  $q \equiv 2 \pmod{3}$ , the Lee weight is equivalent to the Hamming weight.

## Example



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Let  $x = (x_1; \dots; x_n) \in \mathbb{Z}_q^n$  be a tuple of length  $n$ . The Lee weight of  $x$  is the sum of the Lee weight of its entries, i.e.,

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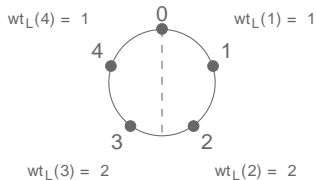
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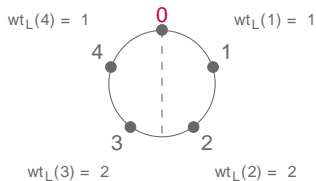
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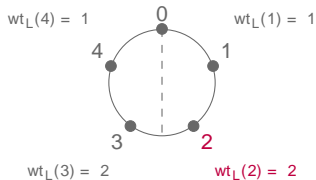
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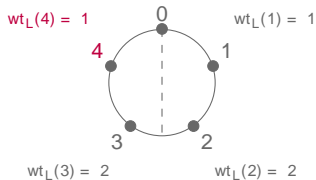
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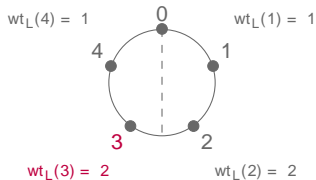
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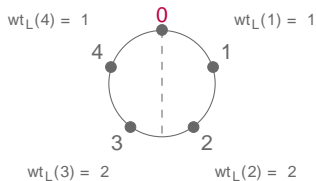
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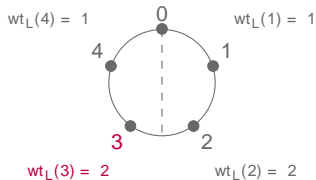
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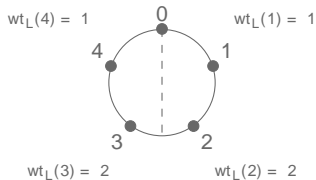
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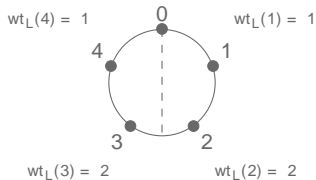
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$$wt_H(x) = 4$$



## Why Lee Metric?

Transmitting symbols over a nonbinary noisy channel  
! primarily those using phase-shift keying modulation

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<sup>1</sup>Anna-Lena Horlemann-Trautmann and Violetta Weger. "Information set decoding in the Lee metric with applications to cryptography". In: *Applied and Computational Mathematics* (2019).

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- | Generic decoding is NP-hard in the Lee Metric<sup>1</sup>

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Design code-based cryptosystems with reduced key sizes

Used in magnetic and DNA storage systems.

Recently: gained attention in cryptographic applications

- | Generic decoding is NP-hard in the Lee Metric<sup>1</sup>
- | Low-Lee-Density Parity-Check Codes were defined<sup>2</sup>

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<sup>1</sup>Anna-Lena Horlemann-Trautmann and Violetta Weger. "Information set decoding in the Lee metric with applications to cryptography". In: *Applied and Computational Mathematics* (2019).

<sup>2</sup>Paolo Santini et al. "Low-Lee-Density Parity-Check Codes". In: *ICC 2020-2020 IEEE International Conference on Communications (ICC)*. IEEE, 2020, pp. 1–6.

# Outline

- 1 Introduction
- 2 The Lee Channel
- 3 Error Pattern Construction
- 4 Scalar Multiplication in the Lee Metric

# The Lee Channel

Originally introduced by Chiang and Wolf<sup>3</sup>.

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Assume the alphabet is  $Z_q$ .

**Goal:** Describe  $P(i \rightarrow j) = P(i \rightarrow j | 0)$ .




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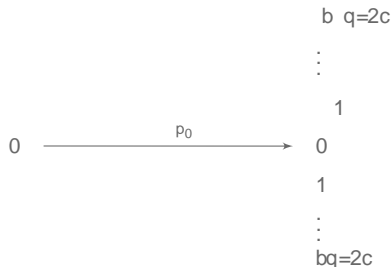
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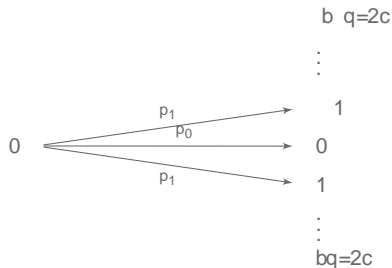
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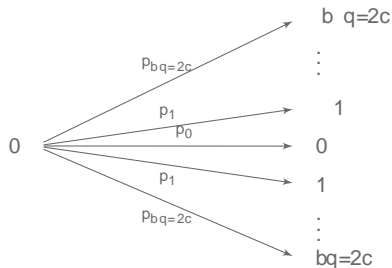
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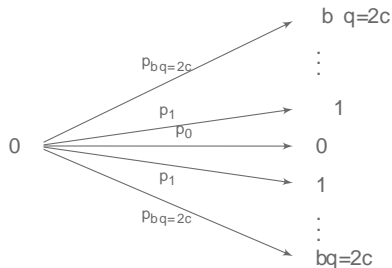
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**Question:** How is  $p_i$  defined?




---

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## The Lee Channel Law

For  $y; x; e \in \mathbb{Z}_q$ , consider a discrete memoryless channel (DMC)

$$\begin{array}{c} y \\ \text{channel output} \end{array} = \begin{array}{c} x \\ \text{channel input} \end{array} + \begin{array}{c} e \\ \text{additive error term} \end{array} \quad (3)$$

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Restrict to:  $e$  a realization of a random variable  $E$  with

$$P(E = e) / \exp(-wt_L(e)); \quad > 0;$$

$$P_{Y|X}(y|x) = \frac{1}{Z} \exp(-d_L(x; y)); \quad Z := \sum_{e=0}^{q-1} \exp(-wt_L(e))$$

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### Note

The expectation of  $wt_L(E)$  can be written as  $= \frac{d \log Z(\cdot)}{d}$ :

Defining  $p_i := P(wt_L(e) = i) = \frac{1}{Z} \exp(-i)$  for  $i \in \{0, 1, \dots, bq=2c\}$ , we easily see

$$p_0 > p_1 \quad \text{and} \quad p_i = \frac{p_1^i}{p_0^{i-1}} \quad \text{for all } i = 2, \dots, bq=2c:$$

## The Constant Lee Weight Channel

Consider now  $y; x; e \in \mathbb{Z}_q^n$  and  $y = x + e$ , where  $e$  has a fixed Lee weight  $t \in \mathbb{Z}$  and is drawn uniformly at random from  $S_{t;q}^n := \{x \in \mathbb{Z}_q^n \mid \text{wt}_L(x) = t\}$ :

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### Theorem

For every  $j \in \{1, \dots, n\}$  the marginal weight distribution of an entry  $e_j$  is given by

$$p_i := P(\text{wt}_L(e_j) = i) = \frac{1}{\sum_{j=0}^{q-1} \exp(-\text{wt}_L(j))} \exp(-i); \quad i \in \{0, \dots, bq=2c\}$$

where  $\gamma > 0$  is the solution to  $\frac{\gamma}{n} = \frac{(r-1)e^{(r+1)}}{(e^{-r}-1)(e^{-1}-1)}$  with  $r = bq=2c+1$ .

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Proof idea.

Solve an optimization problem to find a distribution  $(p_0; p_1; \dots; p_{bq=2c})$  that is

$$\begin{aligned} \dots & \text{ maximizing } H(p_0; \dots; p_{bq=2c}) := \sum_{i=0}^{bq=2c} p_i \log(p_i), \\ \dots & \text{ subject to } \sum_{i=0}^{bq=2c} p_i = \frac{t}{n}. \end{aligned}$$

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# Integer Partitions

## Definition [Integer Partition]

Let  $t$  be a positive integer. An (integer) partition of  $t$  of length  $k$  is a  $k$ -tuple  $\pi = (\pi_1; \dots; \pi_k)$  satisfying

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Notation:

$P(t)$ : Set of integer partitions of a positive integer  $t \in \mathbb{Z}$ .

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## Example

Let us consider  $t = 4$ .

$$P(4) = \{ (3; 1); (2; 2); (2; 1; 1); (1; 1; 1; 1) \}$$

$$P_2(4) = \{ (2; 2); (2; 1; 1); (1; 1; 1; 1) \}$$

$$P_1(4) = \{ (1; 1; 1; 1) \}$$

## Tuples of Weight Decomposition over $Z_q$

### Definition [Vectors of Weight Decomposition]

For a positive integer  $n$  and a given partition  $\lambda$  of a positive integer  $t$ , we say that a length- $n$  vector  $x$  has weight decomposition over  $Z_q$  if there is a one-to-one correspondence between the Lee weight of the nonzero entries of  $x$  and the parts of  $\lambda$ .

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Consider  $Z_5$ ,  $t = n = 4$  and  $\lambda = (2; 1; 1)$  a partition of  $t$  over  $Z_5$ .

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2 elements of Lee weight 1 (e.g. 1 and/or 4)

$$V_{4;(2;1;1)}^{(4)} = \{ (2; 1; 1; 0); (2; 1; 0; 1); \dots; (1; 2; 1; 0); \dots; (3; 4; 1; 0); \dots \}$$

## Number of Tuples of weight decomposition over $Z_q$

### Lemma

Let  $n$ ;  $q$  and  $t$  be positive integers and consider the set of partitions  $P_{bq=2c}(t)$  of  $t$  with part sizes not exceeding  $bq=2c$ . For any  $\lambda \in P_{bq=2c}(t)$  the number of vectors of length  $n$  over  $Z_q$  of type  $\lambda$  is given by

$$V_{q;t}^{(n)} = \begin{cases} 2^{\sum_j j \lambda_j} & \text{if } q \text{ is odd;} \\ 2^{\sum_j c_{bq=2c; j} \lambda_j} & \text{else} \end{cases} \quad (4)$$

where  $c_{bq=2c; j} = \lfloor j/2 \rfloor + \lfloor j/4 \rfloor + \dots + \lfloor j/2^k \rfloor$ ,  $g_j = bq=2cg_j$ .

## Drawing Tuples of Fixed Lee Weight

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$$S_q^n(t) = \frac{1}{|S_q^n(t)|} \sum_{b \in S_q^n(t)} V_{q;t}^{(n)}(b)$$

### Idea

1. Choose an integer partition  $\lambda = (\lambda_1, \dots, \lambda_k)$  of  $t$  with probability

$$p = \frac{V_{q;t}^{(n)}(\lambda)}{\sum_{\lambda \in S_q^n(t)} V_{q;t}^{(n)}(\lambda)} \text{ over } Z_q.$$

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2. Assign to  $\rho_j$  an element  $a_j \in Z_q$  with  $wt_L(a_j) = \rho_j$ .

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2. Assign to  $\rho_i$  an element  $a_i \in Z_q$  with  $w_L(a_i) = \rho_i$ .
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3. Choose randomly  $k$  positions of the tuple  $x$  and assign the values  $a_1; \dots; a_k$  to them.
4. The remaining entries are zero.

## Drawing Tuples of Fixed Lee Weight

### Example

Consider  $Z_7 = \{0, 1, 2, 3, 4, 5, 6\}$  with  $b = 7$  and  $c = 3$  is the maximal Lee weight for an entry. Say we want a tuple  $x = (x_1, x_2, x_3, x_4, x_5, x_6)$  of length 6 with Lee weight  $t = 4$ .

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1. The partitions of  $t = 4$  with no part exceeding 3 are:

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(2; 1; 1)

(2; 2)

(3; 1)

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 (1; 1; 1; 1) & (2; 1; 1) & (2; 2) & (3; 1) \\
 V_{4;(1;1;1;1)}^{(6)} = 240 & V_{4;(2;1;1)}^{(6)} = 480 & V_{4;(2;2)}^{(6)} = 60 & V_{4;(3;1)}^{(6)} = 120
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## Drawing Tuples of Fixed Lee Weight

### Example

Consider  $Z_7 = \langle b \mid 7=2c = 3 \rangle$  is the maximal Lee weight for an entry. Say we want a tuple  $x = (x_1; x_2; x_3; x_4; x_5; x_6)$  of length 6 with Lee weight  $t = 4$ .

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 \end{array}$$

Say we pick  $(x_1; x_2; x_3) = (2; 1; 1)$ .

2. Assign to each  $x_i$  an element  $a_i \in Z_7$  with  $\text{wt}_L(a_i) = x_i$ :

$$x_1 = 2! \quad 5; \quad x_2 = 1! \quad 1; \quad x_3 = 1! \quad 6$$

## Drawing Tuples of Fixed Lee Weight

### Example

Consider  $Z_7 = \{0, 1, 2, 3, 4, 5, 6\}$ .  $7=2c+3$  is the maximal Lee weight for an entry. Say we want a tuple  $x = (x_1; x_2; x_3; x_4; x_5; x_6)$  of length 6 with Lee weight  $t = 4$ .

1. The partitions of  $t = 4$  with no part exceeding 3 are:

$$\begin{array}{cccc}
 (1; 1; 1; 1) & (2; 1; 1) & (2; 2) & (3; 1) \\
 V_{4;(1;1;1;1)}^{(6)} = 240 & V_{4;(2;1;1)}^{(6)} = 480 & V_{4;(2;2)}^{(6)} = 60 & V_{4;(3;1)}^{(6)} = 120
 \end{array}$$

Say we pick  $(x_1; x_2; x_3) = (2; 1; 1)$ .

2. Assign to each  $x_i$  an element  $a_i \in Z_7$  with  $\text{wt}_L(a_i) = x_i$ :

$$x_1 = 2! \quad 5; \quad x_2 = 1! \quad 1; \quad x_3 = 1! \quad 6$$

3. Choose randomly 3 positions of  $x$  and assign them to one of the above values

$$x = (x_1; 6; x_2; 5; 1; x_3)$$

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$$x = (x_1; 6; x_2; 5; 1; x_3)$$

4.  $x = (0; 6; 0; 5; 1; 0)$



# Distribution

## Theorem

Let  $n$ ;  $q$  and  $t$  be positive integers. When sampling a sufficiently large number of  $n$ -tuples using the before shown algorithm, we obtain a uniform distribution on  $S_q^n(t)$ .

# Outline

- 1 Introduction
- 2 The Lee Channel
- 3 Error Pattern Construction
- 4 Scalar Multiplication in the Lee Metric**

## Generic Decoding

Assume we receive a vector  $y = \underset{\text{original message}}{x} + \underset{\text{error vector}}{e}$ .

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Information set decoding (ISD) is a method to find  $e$ .

Is NP-hard for the Hamming- and the Lee metric.

## Introduction to the Problem

### Example 1

Let  $x = (0; 2; 3; 1; 0; 3) \in \mathbb{Z}_5^6$

Lee                  Hamming  
 $wt_L(x) = 7; \quad wt_H(x) = 4$



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$$\text{wt}_L(x) = 9; \quad \text{wt}_H(x) = 5$$

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Generic (or syndrome) decoding is based on the weight of the error term.

The smaller this weight, the easier to find a solution.

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Generic (or syndrome) decoding is based on the weight of the error term.

The smaller this weight, the easier to find a solution.

Risk: From a cryptographic point of view, an attacker could decrease the weight and retrieve the original message.

## Problem Statement

### Problem

Consider the ring of integers  $Z_q$ , with  $q > 3$ . Given a tuple  $x \in Z_q^n$  of average Lee weight  $\bar{w} = t/n$  per entry. Let  $a \in Z_q$  be a nonzero element, and the probability that the Lee weight of  $a \cdot x$  is less than the Lee weight of  $x$ , i.e.

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To give an answer to that question we need to understand

1. the way  $x$  is generated,
2. the distribution of the entries of  $x$ .

Goal: We want this probability to be small!

## Preparation

Let us consider the following setup.

$x \in \mathbb{Z}_q^n$  with average Lee weight  $\bar{w} = t/n$  drawn as shown,  
 $Q$  the empirical distribution of the entries of  $x$

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$F := \{x \in \mathbb{Z}_q^n \mid \text{wt}_L(ax) < \text{wt}_L(x)\}$ .

$B$  the marginal distribution of the constant Lee weight channel model

$p_i := P(\text{wt}_L(x_j) = i) = \frac{1}{q} \exp(-\beta i) ; \beta \geq 0 ; i \in \{0, \dots, q-1\}$ .

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$p_i := P(w_L(x_j) = i) = \exp(-\beta i) / \sum_{i=0}^{q-1} \exp(-\beta i)$ ;  $\beta \geq 0$ ;  $q \geq 2$ .

Applying the union bound, we have

$$\begin{aligned}
 P(F) &= P(w_L(a \cdot x) < w_L(x) \mid Q \text{ is "close" to } B) P(Q \text{ is "close" to } B) \\
 &\quad + P(w_L(a \cdot x) < w_L(x) \mid Q \text{ is "not close" to } B) P(Q \text{ is "not close" to } B) \\
 &= P(w_L(a \cdot x) < w_L(x) \mid Q \text{ is "close" to } B) + P(Q \text{ is "not close" to } B)
 \end{aligned}$$

## "Close" Distributions

### Definition [Kullback-Leibler divergence]

Let  $X$  be a random variable over an alphabet  $\mathcal{X}$  with probability distribution  $P$ , where  $P(x) := P(X = x)$ . Furthermore, let us assume that  $X$  can be approximated by another distribution  $Q \in \mathcal{P}$ . We define the Kullback-Leibler divergence of  $Q$  and  $P$  by

$$D(P \parallel Q) := \sum_{x \in \mathcal{X}} P(x) \log \frac{P(x)}{Q(x)} \quad (6)$$

### Note

By convention:  $0 \log(0) = 0$ .

The two distributions  $Q$  and  $P$  are close to each other if  $D(Q \parallel P) < \epsilon$ , for some  $\epsilon > 0$ .



## Conditional Limit Theorem

### Theorem

#### Conditional Limit Theorem

Let  $E$  be a closed convex set of probability distributions over an alphabet  $X$  and let  $Q$  be a distribution over  $X$  but not in  $E$ . Let  $X_1; \dots; X_n$  be discrete random variables drawn i.i.d.  $Q$ . Define  $X^n = (X_1; \dots; X_n)$  and let  $P^* = \arg \min_{P \in E} D(P \| Q)$ . Then

$$P(X_1 = a | P_{X^n} \in E) \rightarrow P^*(a)$$

in probability as  $n$  grows large for any  $a \in X$ .

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<sup>4</sup>Thomas M Cover. Elements of information theory. John Wiley & Sons, 1999

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$$P(X_1 = a \mid X^n \in E) \rightarrow P^?(a)$$

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4

In our case:

$Q = U(Z_q)$ ;  $E$  set of distributions of tuples in  $S_q^n(t)$ . Then  $B = \arg \min_{P \in E} D(P \parallel Q)$ .

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<sup>4</sup>Cover, Elements of information theory

## Asymptotic Regime

Recall,  $F = \{x \mid \text{wt}_L(a - x) < \text{wt}_L(x)\}$  and

$$P(F) = P(\text{wt}_L(a - x) < \text{wt}_L(x) \mid Q \text{ is "close" to } B) + P(Q \text{ is "not close" to } B)$$

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Recall,  $F = \{x \in \mathbb{Z}_q^n \mid \text{wt}_L(x) < \frac{n}{2}\}$  and

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Let  $x \in \mathbb{Z}_q^n$ , for some positive integer  $q > 3$ , of average Lee weight  $\frac{1}{n} \sum_{i=1}^n \text{wt}_L(x_i) = \frac{n}{2}$  be drawn randomly from  $S_q^n(t)$  with the shown algorithm. Let  $Q$  denote the empirical distribution of the entries of  $x$ . For any nonzero  $a \in \mathbb{Z}_q$  it holds

$$P(Q \text{ not close to } B) \rightarrow 0 \text{ as } n \rightarrow \infty$$

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Hence

As  $n \rightarrow \infty$ ,  $P(F) \rightarrow P(\text{wt}_L(a \cdot x) < \text{wt}_L(x) \mid Q \text{ is "close" to } B)$ .  
 By CLT  $P(\text{wt}_L(a \cdot x) < \text{wt}_L(x) \mid Q = B)$

## Asymptotic Regime

$$\begin{aligned}
 P(F) &= P(\text{wt}_L(a \cdot x) < \text{wt}_L(x) \mid Q = B) \\
 &= P\left(\sum_{i=1}^{bq-2c} e^{-i \text{wt}_L([a_i]_q)} < \sum_{i=1}^{bq-2c} e^{-i} \mid A\right) \\
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Recall: **depends on**  $t=n$  but stays invariant as  $n \rightarrow \infty$ .



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The difference  $(\sum_{i=1}^{bq-2c} e^{-i \text{wt}_L([a \cdot i]_q)})$  **depends on**  $q$ .

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**Question:** What is the maximal value  $\beta$  of the average Lee weight per entry such that  $\sum_{i=1}^{bq-2c} e^{-i \beta \text{wt}_L([a \cdot i]_q)} > 0$ ?

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 \end{aligned}$$

### Note

Recall: **depends on**  $t=n$  but stays invariant as  $n \rightarrow 1$ .

The difference  $(i \text{wt}_L([a \cdot i]_q))$  **depends on**  $q$ .

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q	5	7	8	9	11	31	33	53
$bq=2c$	2	3	4	4	5	15	16	26
?	1	1.5	1.534	1.703	2.5	7.5	7.03	13

## Open Questions and Future Work

1. What is the probability that the average weight decomposition of an  $n$ -tuple drawn uniformly at random from  $S_q^n(t)$  is less than  $bq=4c$ ?

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Thank you for your attention!