

Algebraic algorithms

Freely using the textbook: Victor Shoup's "A Computational Introduction to Number Theory and Algebra"

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The class structure

See the course homepage.

Mathematical preliminaries

Logic

Logical operations: $\wedge, \neg, \vee, \Rightarrow, \Leftrightarrow, \forall, \exists$.

Example

x divides y , or y is divisible by x : $x|y \Leftrightarrow \exists z(x * z = y)$.

Notation: $\{2, 3, 5\}$. $x \in A$. The empty set.

Some important sets: $\mathbb{N}, \mathbb{Z}, \mathbb{Q}, \mathbb{R}, \mathbb{C}$.

Example

x divides y more precisely: $x|y \Leftrightarrow \exists z \in \mathbb{Z}(x * z = y)$.

Set notation using conditions:

$$\{x \in \mathbb{Z} : 3|x\} = \{3x : x \in \mathbb{Z}\}.$$

Note that x has a different role on the left-hand side and on the right-hand side. The x in this notation is a **bound variable**: its meaning is unrelated to everything outside the braces.

Example

Composite numbers: $\{xy : x, y \in \mathbb{Z} \setminus \{-1, 1\}\}$.

$A \subseteq B, A \subset B$ will mean the same! Proper subset: $A \subsetneq B$.

Set operations: $A \cup B, A \cap B, A \setminus B$. Disjoint sets: $A \cap B = \emptyset$.

The set of all subsets of a set A is denoted by 2^A .

The notation $f : A \rightarrow B$.

Example

$g(x) = 1/(x^2 - 1)$. It maps from $\mathbb{R} \setminus \{-1, 1\}$, to \mathbb{R} , so

$$g : \mathbb{R} \setminus \{-1, 1\} \rightarrow \mathbb{R}. \quad (1)$$

$\text{Domain}(g) = \mathbb{R} \setminus \{-1, 1\}$.

In general,

$$\text{Range}(f) = \{f(x) : x \in \text{Domain}(f)\}.$$

In the example,

$$\text{Range}(g) = (-\infty, -1] \cup (0, \infty) = \mathbb{R} \setminus (-1, 0].$$

Note that $(0, \infty)$ is an **open interval**.

We could write $g : \mathbb{R} \setminus \{-1, 1\} \rightarrow \mathbb{R} \setminus (-1, 0)$, but (1) is correct, too: it says that g is a function **mapping from** $\mathbb{R} \setminus \{-1, 1\}$ **into** \mathbb{R} . On the other hand, g is mapping **onto** $\mathbb{R} \setminus (-1, 0)$. An “onto” function is also called **surjective**.

Injective and surjective

A function is **one-to-one (injective)** if $f(x) = f(y)$ implies $x = y$.

Theorem

If a set A is finite then a function $f : A \rightarrow A$ is onto if and only if it is one-to-one.

The proof is left for **exercise**.

The theorem is false for infinite A .

Example

A one-to-one function that is not onto: the function $f : \mathbb{Z} \rightarrow \mathbb{Z}$ defined by $f(x) = 2x$.

An onto function that is not one-to-one: **exercise**.

We will also use the notation

$$x \mapsto 2x$$

to denote this function. (The \mapsto notation is similar to the lambda notation used in the logic of programming languages.)

A function is called **invertible** if it is onto and one-to-one. For an invertible function $f : A \rightarrow B$, the inverse function $f^{-1} : B \rightarrow A$ is always defined uniquely: $f^{-1}(b) = a$ if and only if $f(a) = b$.

An invertible function $f : A \rightarrow A$ is also called a **permutation**.

Ordered pair (x, y) , **unordered pair** $\{x, y\}$. (The (x, y) notation conflicts with the same notation for open intervals. So, sometimes $\langle x, y \rangle$ is used.) The Cartesian product

$$A \times B = \{ (x, y) : x \in A, y \in B \}.$$

A function of **two arguments**: we will use the notation

$$f : A \times B \rightarrow C$$

when $f(x, y) \in C$ for $x \in A, y \in B$. Indeed, f can be regarded as a one-argument function of the ordered pair (x, y) .

Ordered triple, and so on. **Sequence** (x_1, \dots, x_n) .

Inverse image

For a function $f : A \rightarrow B$, and a set $C \subseteq A$ we will write

$$f(C) = \{f(x) : x \in C\}.$$

Thus, $\text{Range}(f) = f(A)$.

Example: $2\mathbb{Z}$ is the set of even numbers.

For $D \subseteq B$, we will write

$$f^{-1}(D) = \{x : f(x) \in D\}.$$

Note that this makes sense even if the function is not invertible.

However, $f^{-1}(D)$ is always a set, and it may be empty.

Example

If $f : \mathbb{Z} \rightarrow \mathbb{Z}$ is the function with $f(x) = 2\lfloor x/2 \rfloor$ then $f^{-1}(0) = \{0, 1\}$, $f^{-1}(\{1\}) = \emptyset = \{\}$, $f^{-1}(2) = \{2, 3\}$, $f^{-1}(\{3\}) = \emptyset$, and so on.

Partitions

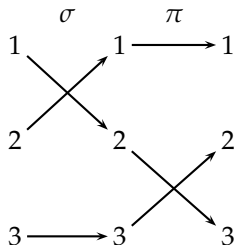
A **partition** of a set A is a finite sequence (A_1, \dots, A_n) of pairwise disjoint subsets of A such that $A_1 \cup \dots \cup A_n = A$. Given any function $f : A \rightarrow \{1, \dots, n\}$, it gives rise to a partition $(f^{-1}(\{1\}), \dots, f^{-1}(\{n\}))$. And every partition defines such a function.

We will also talk about infinite partitions. A partition in this case is a function $p : B \rightarrow 2^A$ such that $\bigcup_{b \in B} p(b) = A$ and for $b \neq c$ we have $p(b) \cap p(c) = \emptyset$.

Functions are sometimes also called **operations**. Especially, functions of the form $f : A \rightarrow A$ or $g : A \times A \rightarrow A$. For example, $(x, y) \mapsto x + y$ for $x, y \in \mathbb{R}$ is the addition operation.

Associativity. Example: functions $f : A \rightarrow A$, with the composition operation.

Commutativity. Same example, say the permutations σ, π over $\{1, 2, 3\}$ on the right do not commute.



Distributivity. Examples: $*$ through $+$, further \cap through \cup and \cup through \cap .

A **binary relation** is a set $R \subseteq A \times B$. We will write $(x, y) \in R$ also as $R(x, y)$ (with Boolean value). Thus

$$R(x, y) \Leftrightarrow (x, y) \in R.$$

Frequently, infix notation. Example: $x < y$, where $< \subset \mathbb{R} \times \mathbb{R}$.

Ternary relation: $R \in A \times B \times C$.

Interesting properties of binary relations over a set A .

Reflexive.

Symmetric.

Transitive.

A binary relation can be represented by a graph. If the relation is symmetric the graph can be undirected, otherwise it must be directed. In all cases, at most one edge can be between nodes.

Equivalence relation

Equivalence relation over a set A : reflexive, symmetric transitive.
Example: equality. Other example: reachability in a graph.

Theorem

A relation $R \subset A \times A$ is an equivalence relation if and only if there is a function $f : A \rightarrow B$ such that $R(x, y) \Leftrightarrow f(x) = f(y)$.

Proof: **exercise**.

Each set of the form $C_x = \{y : R(x, y)\}$ is called an **equivalence class**.
An equivalence relation partitions the underlying set into the equivalence classes.

In a partition into equivalence classes, we frequently pick a **representative** in each class. Example: rays and unit vectors.

Preorder, partial order

A relation \leq is **antisymmetric** if $a \leq b$ and $b \leq a$ implies $a = b$.

Preorder \leq : reflexive, transitive.

A preorder is a **partial order** if it is antisymmetric. Simplest example:
 \leq among real numbers.

Example

The relation \subseteq among subsets of a set A is a partial order.

In a preorder, we can introduce a relation \sim : $x \sim y$ if $x \leq y$ and $y \leq x$. This is an equivalence relation, and the relation induced by \leq on the equivalence classes is a partial order.

Example

The relation $x|y$ over the set \mathbb{Z} of integers is a preorder. For every integer x , its equivalence class is $\{x, -x\}$.

Asymptotic analysis

$O()$, $o()$, $\Omega()$, $\Theta()$. More notation: $f(n) \ll g(n)$ for $f(n) = o(g(n))$,
 $f(n) \stackrel{*}{<} g(n)$ for $f(n) = O(g(n))$ and $\stackrel{*}{=}$ for ($\stackrel{*}{<}$ and $\stackrel{*}{>}$).

The relation $\stackrel{*}{<}$ is a preorder. On the equivalence classes of $\stackrel{*}{=}$ it turns into a partial order.

The most important function classes: log, logpower, linear, power, exponential. These are not all equivalence classes under $\stackrel{*}{=}$.

Some simplification rules

- Addition: take the maximum. Do this always to simplify expressions. *Warning*: do it only if the number of terms is constant!
- An expression $f(n)^{g(n)}$ is generally worth rewriting as $2^{g(n) \log f(n)}$. For example, $n^{\log n} = 2^{(\log n) \cdot (\log n)} = 2^{\log^2 n}$.
- But sometimes we make the reverse transformation:

$$3^{\log n} = 2^{(\log n) \cdot (\log 3)} = (2^{\log n})^{\log 3} = n^{\log 3}.$$

The last form is easiest to understand, showing n to a constant power $\log 3$.

Examples

$$n / \log \log n + \log^2 n \stackrel{*}{=} n / \log \log n.$$

Indeed, $\log \log n \ll \log n \ll n^{1/2}$, hence $n / \log \log n \gg n^{1/2} \gg \log^2 n$.

Order the following functions by growth rate:

$$n^2 - 3 \log \log n \quad \stackrel{*}{=} n^2,$$

$$\log n/n,$$

$$\log \log n,$$

$$n \log^2 n,$$

$$3 + 1/n \quad \stackrel{*}{=} 1,$$

$$\sqrt{(5n)}/2^n,$$

$$(1.2)^{n-1} + \sqrt{n} + \log n \quad \stackrel{*}{=} (1.2)^n.$$

Solution:

$$\begin{aligned} \sqrt{(5n)}/2^n &\ll \log n/n \ll 1 \ll \log \log n \\ &\ll n/\log \log n \ll n \log^2 n \ll n^2 \ll (1.2)^n. \end{aligned}$$

Sums: the art of simplification

Arithmetic series.

Geometric series: its rate of growth is equal to the rate of growth of its largest term.

Example

$$\log n! = \log 2 + \log 3 + \cdots + \log n = \Theta(n \log n).$$

Indeed, upper bound: $\log n! < n \log n$.

Lower bound:

$$\begin{aligned} \log n! &> \log(n/2) + \log(n/2 + 1) + \cdots + \log n > (n/2) \log(n/2) \\ &= (n/2)(\log n - 1) = (1/2)n \log n - n/2. \end{aligned}$$

Examples

Prove the following, via rough estimates:

- $1 + 2^3 + 3^3 + \dots + n^3 = \Theta(n^4)$.
- $1/3 + 2/3^2 + 3/3^3 + 4/3^4 + \dots < \infty$.

Example

$$1 + 1/2 + 1/3 + \dots + 1/n = \Theta(\log n).$$

Indeed, for $n = 2^{k-1}$, upper bound:

$$\begin{aligned} 1 + 1/2 + 1/2 + 1/4 + 1/4 + 1/4 + 1/4 + 1/8 + \dots \\ = 1 + 1 + \dots + 1 \text{ (} k \text{ times)}. \end{aligned}$$

Lower bound:

$$\begin{aligned} 1/2 + 1/4 + 1/4 + 1/8 + 1/8 + 1/8 + 1/8 + 1/16 + \dots \\ = 1/2 + 1/2 + \dots + 1/2 \text{ (} k \text{ times)}. \end{aligned}$$

Random access machine

Fixed number K of registers $R_j, j = 1, \dots, K$. Memory: one-way infinite tape: cell i contains natural number $T[i]$ of arbitrary size.

Program: a sequence of instructions, in the “program store”: a (potentially) infinite sequence of registers containing instructions. A program counter.

read j	$R_0 = T[R_j]$	(this is random access)
write j		
store j	$R_j = R_0$	
load j		
add j	$R_0 += R_j$	
add =c	$R_0 += c$	
sub j	$R_0 = R_0 - R_j ^+$	
sub =c		
half	$R_0 /= 2$	
jump s		
jpos s	if $R_0 > 0$ then jump s	
jzero s		
halt		

In our applications, we will impose some **bound k on the number of cells**.

The **size of the numbers stored in each cell** will be bounded by k^c for some constant c . Thus, the **wordsize** of the machine will be logarithmic in the size of the memory, allowing to store the address of any position in a cell.

Basic integer arithmetic

Length of numbers

$$\text{len}(n) = \begin{cases} \lfloor \log |n| \rfloor + 1 & \text{if } n \neq 0, \\ 1 & \text{otherwise.} \end{cases}$$

This is essentially the same as $\log n$, but is always defined. We will generally use $\text{len}(n)$ in expressing complexities.

Upper bounds

On the complexity of addition, multiplication, division (with remainder), via the algorithms learned at school.

Theorem

The complexity of computing $(a, b) \mapsto (q, r)$ in the division with remainder $a = qb + r$ is $O(\text{len}(q)\text{len}(b))$.

Proof.

The long division algorithm has $\leq \text{len}(q)$ iterations, with numbers of length $\leq \text{len}(b)$. □

Theorem (Fundamental theorem of arithmetic)

Unique prime decomposition $\pm p_1^{e_1} \cdots p_k^{e_k}$.

The proof is not trivial, we will lead up to it. We will see analogous situations later in which the theorem does not hold.

Example

Irreducible family: one or two adult and some minors.

Later: the **ring** $\mathbb{Z}[\sqrt{-5}]$.

The above theorem is equivalent to the following lemma:

Lemma (Fundamental)

If p is prime and $a, b \in \mathbb{Z}$ then $p|ab$ if and only if $p|a$ or $p|b$.

In class, we have shown the equivalence.

If I, J are ideals so is $aI + bJ$.

$a\mathbb{Z} \subseteq b\mathbb{Z}$ if and only if $b|a$.

Careful: generally $a\mathbb{Z} + b\mathbb{Z} \neq (a + b)\mathbb{Z}$.

Example

$$2\mathbb{Z} + 3\mathbb{Z} = \mathbb{Z}.$$

Principal ideal

The following theorem is the crucial step in the proof of the Fundamental Theorem.

Theorem

In \mathbb{Z} , every ideal I is principal.

Proof.

Let d be the smallest positive integer in I . The proof shows $I = d\mathbb{Z}$, using **division with remainder**. □

Corollary

If $d > 0$ and $a\mathbb{Z} + b\mathbb{Z} = d\mathbb{Z}$ then $d = \gcd(a, b)$. In particular, we found that

- (a) Every other divisor of a, b divides $\gcd(a, b)$.
- (b) For all a, b there are $s, t \in \mathbb{Z}$ with $\gcd(a, b) = sa + tb$.

The proof of the theorem is non-algorithmic. It does not give us a method to calculate $\gcd(a, b)$: in particular, it does not give us the s, t in the above corollary. We will return to this.

Theorem

For a, b, c with $\gcd a, c = 1$ and $c|ab$ we have $c|b$.

This theorem implies the Fundamental Lemma announced above.

Proof.

Using $1 = sc + ta$, hence $b = scb + tab$. □

Some consequences of unique factorization

There are infinitely many primes.

The notation $\nu_p(a)$. gcd and minimum, lcm and maximum.

$$\text{lcm}(a, b) \cdot \text{gcd}(a, b) = |ab|$$

Pairwise relatively prime numbers.

Representing fractions in lowest terms.

Lowest common denominator.

Unless stated otherwise, commutative, with a unit element. The detailed properties of rings will be deduced later (see Section 9 of Shoup, in particular Theorem 9.2). We use rings here only as examples.

Examples

- $\mathbb{Z}, \mathbb{Q}, \mathbb{R}, \mathbb{C}$.
- The set of (say, 2×2) matrices over \mathbb{R} is also a ring, but is not commutative.
- The set $2\mathbb{Z}$ is also a ring, but has no unit element.
- If R is a commutative ring, then $R[x, y]$, the set of polynomials in x, y with coefficients in R , is also a ring.

Theorem

Let R be a ring. Then:

- (i) *the multiplicative identity is unique.*
- (ii) $0 \cdot a = 0$ for all a in R .
- (iii) $(-a)b = a(-b) = -(ab)$ for all $a, b \in R$.
- (iv) $(-a)(-b) = ab$ for all $a, b \in R$.
- (v) $(na)b = a(nb) = n(ab)$ for all $n \in \mathbb{Z}, a, b \in R$.

Ideals.

Example

A non-principal ideal: $x\mathbb{Z}[x, y] + y\mathbb{Z}[x, y]$ in $\mathbb{Z}[x, y]$.

Example

Non-unique irreducible factorization in a ring. Let the ring be $\mathbb{Z}[\sqrt{-5}]$.

$$6 = 2 \cdot 3 = (1 + \sqrt{-5})(1 - \sqrt{-5}).$$

How to show that $2, 3, (1 + \sqrt{-5}), (1 - \sqrt{-5})$ are irreducible? Let $N(a + b\sqrt{-5}) = a^2 + 5b^2$, then it is easy to see that $N(xy) = N(x)N(y)$, since $N(z)$ is the square absolute value of the complex number z . It is always integer here.

If $N(z) = 1$ then $z = \pm 1$.

If $N(z) > 1$ then $N(z) \geq 4$.

For $z = 2, 3, (1 + \sqrt{-5}), (1 - \sqrt{-5})$, we have $N(z) = 4, 9, 6, 6$. The only nontrivial factors of these numbers are 2 and 3, but there is no z with $N(z) \in \{2, 3\}$.

The basic Euclidean algorithm

Assume $a \geq b \geq 0$ are integers.

$$\begin{aligned} a &= r_0, & b &= r_1, \\ r_{i-1} &= r_i q_i + r_{i+1} & (0 < r_{i+1} < r_i), & \quad (1 \leq i < \ell) \\ & \vdots \\ r_{\ell-1} &= q_\ell r_\ell \end{aligned}$$

Upper bound on the number ℓ of iterations:

$$\ell \leq \log_\phi b + 1,$$

where $\phi = (1 + \sqrt{5})/2 \approx 1.62$. We only note $\ell = O(\log b)$ which is obvious from

$$r_{i+1} \leq r_{i-1}/2.$$

Theorem

Euclid's algorithm runs in time $O(\text{len}(a)\text{len}(b))$.

This is stronger than the upper bound seen above.

Proof.

We have

$$\text{len}(b) \sum_{i=1}^{\ell} \text{len}(q_i) \leq \text{len}(b) \sum_{i=1}^{\ell} (1 + \log(q_i)) \leq \text{len}(b) (\ell + \log(\prod_{i=1}^{\ell} q_i)).$$

Now,

$$a = r_0 \geq r_1 q_1 \geq r_2 q_2 q_1 \geq \dots \geq r_{\ell} q_{\ell} \dots q_1.$$



The extended Euclidean algorithm

$$s_0 = 1,$$

$$s_1 = 0,$$

$$s_{i+1} = s_{i-1} - s_i q_i,$$

$$t_0 = 0,$$

$$t_1 = 1,$$

same for t_i .

Theorem

The following relations hold.

- (i) $s_i a + t_i b = r_i$.
- (ii) $s_i t_{i+1} - t_i s_{i+1} = (-1)^i$.
- (iii) $\gcd(s_i, t_i) = 1$.
- (iv) $t_i t_{i+1} \leq 0$, $|t_i| \leq |t_{i+1}|$, same for s_i .
- (v) $r_{i-1} |t_i| \leq a$, $r_{i-1} |s_i| \leq b$.

Proof.

(i),(ii): induction. (i) follows from (ii). (iv): induction. (v): combining (i) for i and $i - 1$. □

Matrix representation

$$\begin{pmatrix} r_i \\ r_{i+1} \end{pmatrix} = \begin{pmatrix} 0 & 1 \\ 1 & -q_i \end{pmatrix} \begin{pmatrix} r_{i-1} \\ r_i \end{pmatrix} = Q_i \begin{pmatrix} r_{i-1} \\ r_i \end{pmatrix}.$$

Define $M_i = Q_i \cdots Q_1$, then

$$M_i = \begin{pmatrix} s_i & t_i \\ s_{i+1} & t_{i+1} \end{pmatrix}.$$

Now the relation $s_i t_{i+1} - t_i s_{i+1} = (-1)^i$ above says

$$\det M_i = \prod_{j=1}^i \det Q_j = (-1)^i.$$

Congruences

$a \equiv b \pmod{m}$ if $m|b - a$.

More generally, in a ring with some ideal I , we write $a \equiv b \pmod{I}$ if $(b - a) \in I$.

Theorem

The relation \equiv has the following properties, when I is fixed.

- (a) It is an equivalence relation.
- (b) Addition and multiplication of congruences.

Example (From Emil Kiss)

Is the equation $x^2 + 5y = 1002$ solvable among integers?

This seems hard until we take the remainders modulo 5, then it says:

$x^2 \equiv 2 \pmod{5}$. The squares modulo 5 are 0, 1, 4, 4, 1, so 2 is not a square.

The ring of congruence classes

For an integer x , let

$$[x]_m = \{ y \in \mathbb{Z} : y \equiv x \pmod{m} \}$$

denote the **residue class** of x modulo m . We choose a **representative** for each class $[x]_m$: its smallest nonnegative element.

Example

The set $[-3]_5$ is $\{\dots, -8, -3, 2, 7, \dots\}$. Its representative is 2.

Definition of the operations $+$, \cdot on these classes. This is possible **due to the additivity and multiplicativity** of \equiv .

The set of classes with these operations is turned into a **ring** which we denote by \mathbb{Z}_m . We frequently write $\mathbb{Z}_m = \{0, 1, \dots, (m-1)\}$, that is we use the representative of class $[i]_m$ to denote the class.

Division of congruences

Does $c \cdot a \equiv c \cdot b \pmod{m}$ imply $a \equiv b \pmod{m}$ when $c \not\equiv 0 \pmod{m}$?
Not always.

Example

$2 \cdot 3 = 6 \equiv 0 \equiv 2 \cdot 0 \pmod{6}$, but $3 \not\equiv 0 \pmod{6}$.

The numbers 2,3 are called here **zero divisors**. In general, an element $x \neq 0$ of a ring R is a zero divisor if there is an element $y \neq 0$ in R with $x \cdot y = 0$.

Theorem

In a finite ring R , if b is not a zero divisor then the equation $x \cdot b = c$ has a unique solution for each c : that is, we can divide by b .

Proof.

The mapping $x \rightarrow x \cdot b$ is one-to-one. Indeed, if it is not then there would be different elements x, y with $x \cdot b = y \cdot b$, but $(x - y) \cdot b \neq 0$, since b is not a zero divisor.

At the beginning of class, we have seen that in a finite set, if a class is one-to-one then it is also onto. Therefore for each c there is an x with $x \cdot b = c$. The one-to-one property implies that x is unique. \square

Observe that this proof is **non-constructive**: it does not help finding x from b, c .

Actually we only need to find b^{-1} , that is the solution of $x \cdot b = 1$

Finding the inverse

Proposition

An element of $b \in \mathbb{Z}_m$ is not a zero divisor if and only if $\gcd(b, m) = 1$.

To find the inverse x of b , we need to solve the equation $x \cdot b + y \cdot m = 1$. Euclid's algorithm gives us these x, y , and then $x \equiv b^{-1} \pmod{m}$.

Example

Inverse of 8 modulo 15.

Characterizing the set of all solutions of the equation

$$a \cdot x \equiv b \pmod{m}.$$

Corollary (Cancellation law of congruences)

If $\gcd(c, m) = 1$ and $ac \equiv bc \pmod{m}$ then $a \equiv b \pmod{m}$.

Examples

- We have $5 \cdot 2 \equiv 5 \cdot (-4) \pmod{6}$. This implies $2 \equiv -4 \pmod{6}$.
- We have $3 \cdot 5 \equiv 3 \cdot 3 \pmod{6}$, but $5 \not\equiv 3 \pmod{6}$.

What can we do in the second case? Simplify as follows.

Proposition

For all a, b, c the relation $ac \equiv bc \pmod{mc}$ implies $a \equiv b \pmod{m}$.

The proof is immediate.

In the above example, from $3 \cdot 5 \equiv 3 \cdot 3 \pmod{6}$ we can imply $5 \equiv 3 \pmod{2}$.

Chinese remainder theorem

Consider two different moduli: m_1 and m_2 . Do all residue classes of m_1 intersect with all residue classes of m_2 ? That is, given a_1, a_2 , we are looking for an x with

$$x \equiv a_1 \pmod{m_1}, \quad x \equiv a_2 \pmod{m_2}.$$

There is not always a solution. For example, there is no x with

$$x \equiv 0 \pmod{2}, \quad x \equiv 1 \pmod{4}.$$

But if m_1, m_2 are coprime, there is always a solution. More generally:

Theorem

If m_1, \dots, m_k are relatively prime with $M = m_1 \cdots m_k$ then for all $a_1, \dots, a_k \in \mathbb{Z}$ there is a unique $0 \leq x < M$ with $x \equiv a_i \pmod{m_i}$ for all $i = 1, \dots, k$.

Proof.

Let $I(n) = \{0, \dots, n - 1\}$. The sets $U = I(M)$ and $V = I(m_1) \times \dots \times I(m_k)$ both have size M . We define a mapping $f : U \rightarrow V$ as follows:

$$f(x) = (x \bmod m_1, \dots, x \bmod m_k).$$

Let us show that this mapping is one-to-one. Indeed, if $f(x) = f(y)$ for some $x \leq y$ then $x \equiv y \pmod{m_i}$ and hence $m_i | (y - x)$ for each i . Since m_i are relatively prime this implies $M | (y - x)$, hence $y - x = 0$. Since the sets are finite and have the same size, it follows that the mapping f is also invertible, which is exactly the statement of the theorem. □

Note that the theorem is **not constructive** (just like the theorem about the modular inverse).

Chinese remainder algorithm

How to find the x in the Chinese remainder theorem?

Let $M_i = M/m_i$, for example $M_1 = m_2 \cdots m_k$. Let m'_i be $(M_i)^{-1}$ modulo m_i (it exists). Let

$$x = a_1 M_1 m'_1 + \cdots + a_k M_k m'_k \pmod{M}.$$

Let us show for example $x \equiv a_1 \pmod{m_1}$. We have $a_i M_i m'_i \equiv 0 \pmod{m_1}$ for each $i > 1$, since $m_1 | M_i$.

On the other hand, $a_1 M_1 m'_1 \equiv a_1 \cdot 1 \pmod{m_1}$.

Fractions in \mathbb{Z}_m

Look at the equation $r \equiv yt \pmod{m}$, where m, y is given. Typically there is no unique solution for r, t ; however, the quotient r/t (as a rational number) is uniquely determined if r, t are required to be small compared to m .

Theorem (Rational reconstruction)

Let $r^*, t^* > 0$ and y be integers with $2r^*t^* < m$. Let us call the pair (r, t) of integers *admissible* if $|r| \leq r^*$, $0 < t \leq t^*$, and $r \equiv yt \pmod{m}$. Then, there is a rational number q_y such that $r/t = q_y$ for all admissible pairs (r, t) .

Proof.

Suppose that both (r_1, t_1) and (r_2, t_2) are admissible pairs: we want to prove $r_1/t_1 = r_2/t_2$. We have, modulo m :

$$r_1 \equiv t_1 y,$$

$$r_2 \equiv t_2 y.$$

Linear combination gives $r_1 t_2 - r_2 t_1 \equiv 0$, hence $m | (r_1 t_2 - r_2 t_1)$. Since $m > 2r^* t^*$ this implies $r_1 t_2 = r_2 t_1$. Dividing by $t_1 t_2$ gives the result. \square

Finding an admissible pair (if it exists) under the condition

$$n \geq 4r^* t^*,$$

by the Euclidean algorithm: see the book.

Error correction

Let m_1, \dots, m_k be mutually coprime moduli, $M = m_1 \cdots m_k$. Let $0 < Z < M$ and $0 < P$ be integers. A set $B \subset \{1, \dots, k\}$ is called **P -admissible** if $\prod_{i \in B} m_i \leq P$.

Example

If $(m_1, m_2, m_3, m_4) = (2, 3, 5, 7)$ and $P = 8$ then the admissible sets are $\{1\}, \{2\}, \{1, 2\}, \{3\}, \{4\}$.

Let y be an arbitrary integer. An integer $0 \leq z \leq Z$ is called **(Z, P) -admissible** for y if the set of indices

$$B = \{i : z \not\equiv y \pmod{m_i}\}$$

is P -admissible. We can say y has **errors** compared to z in the residues $y \bmod m_i$ for $i \in B$.

An admissible z can be recovered from y , provided Z, P are small:

Theorem

If $M > 2PZ^2$ then for every y and there is at most one z that is (Z, P) -admissible for it.

Proof.

Let $t = \prod_{i \in B} m_i$. Then it is easy to see that

$$tz \equiv ty \pmod{M}$$

holds. Let $r = tz$, $r^* = PZ$, $t^* = P$, then $|tz| \leq r^*$ and $t \leq t^*$ while $M > 2r^*t^*$. The Rational Reconstruction Theorem implies therefore that $z = r/t$ is uniquely determined by y . □

If the stronger condition $M > 4P^2Z$ is required then following the book, the value z can also be **found** efficiently using the Euclidean algorithm.

Euler's phi function

See the definition in the book. Computing it for p, p^α, pq .
The **multiplicative order** of a residue.

Theorem (Euler)

For $a \in \mathbb{Z}_m^*$ we have $a^{\phi(m)} \equiv 1 \pmod{m}$.

Proof.

Corollary

Fermat's little theorem.

Some properties of phi

Theorem

For positive integers m, n with $\gcd(m, n) = 1$ we have $\phi(mn) = \phi(m)\phi(n)$.

Proof.

One-to-one map between \mathbb{Z}_{mn}^* and $\mathbb{Z}_m^* \times \mathbb{Z}_n^*$. □

Application: formula for $\phi(n)$.

Theorem

We have $\sum_{d|n} \phi(d) = n$.

Proof.

To each $0 \leq k < n$ let us assign the pair (d, k') where $d = \gcd(k, n)$ and $k' = k/d$. Then for each divisor d of n , the numbers k' occurring in some (d, k') will run through each element of $\mathbb{Z}_{n/d}^*$ once, hence $\sum_{d|n} \phi(n/d) = n$. □

Modular exponentiation

In the exponents, we compute modulo $\phi(m)$.

Examples

- For prime $p > 2$ and $\gcd(a, p) = 1$, we have $a^{\frac{p-1}{2}} \equiv \pm 1$.
- For composite m , this is no more the case. If $m = pq$ with primes $p, q > 2$ then $x^2 \equiv 1$ has 4 solutions, since $x \bmod p = \pm 1$ and $x \bmod q = \pm 1$ can be independently of each other. See $p = 3, q = 5$.

Fast modular exponentiation: the **repeated squaring trick**.

Primitive root (generator).

Example

If g is a primitive root modulo a prime $p > 2$ then $a^{\frac{p-1}{2}} \equiv -1$.

Theorem

Primitive root exists for m if and only if $m = 2, 4, p^\alpha, 2p^\alpha$ for odd prime p .

Proof later.

When there is a primitive root, the multiplicative structure (group) \mathbb{Z}_m^* is the same as (isomorphic to) the additive group $\mathbb{Z}_{\phi(m)}^+$.

Chebyshev's theorem

Binomial coefficients. The definition of $\pi(n), \vartheta(n)$.

Proposition

$$4^n / (n + 1) < \binom{2n}{n} < \binom{2n + 1}{n + 1} < 4^n.$$

Lemma (Upper bound on $\vartheta(n)$)

We have $\vartheta(n) \leq 2n$.

Proof.

We have $\vartheta(2m + 1) - \vartheta(m + 1) \leq \log \binom{2m+1}{m+1} \leq 2m$. From here, induction using $\vartheta(2m - 1) = \vartheta(2m)$. □

Proposition

$$v_p(n!) = \sum_{k \geq 1} \lfloor n/p^k \rfloor.$$

Lemma (Lower bound in $\pi(n)$)

$$\pi(n) \geq (1/2)n / \log n.$$

Proof.

For $N = \binom{2m}{m}$ we have

$$v_p(N) = \sum_{k \geq 1} (\lfloor 2m/p^k \rfloor - 2\lfloor m/p^k \rfloor).$$

Recall the exercise showing $0 \leq \lfloor 2x \rfloor - 2\lfloor x \rfloor \leq 1$, hence this is sum is between 0 and $\leq \log_p(2m)$. So,

$$\begin{aligned} m \leq \log N &\leq \sum_{p \leq 2m} v_p(N) \log p \leq \sum_{p \leq 2m} \log_p(2m) \log p \\ &= \sum_{p \leq 2m} \log(2m) = \pi(2m) \log(2m), \end{aligned}$$

$$(1/2)(2m) / \log(2m) \leq \pi(2m).$$

For odd n , note $\pi(2m-1) = \pi(2m)$ and that $x \log x$ is monotone. \square

Theorem

We have $\vartheta(n) \approx \pi(n) \log n$, that is $\frac{\vartheta(n)}{\pi(n) \log n} \rightarrow 1$.

Proof.

$\vartheta(n) \leq \pi(n) \log n$ is immediate. For the lower bound, cut the sum at $p \geq n^\lambda$ for some constant $0 < \lambda < 1$. □

From all the above, we found

Theorem (Chebyshev)

We have $\pi(n) \stackrel{*}{\asymp} \frac{n}{\log n}$.

Abelian groups

Proposition

Identity and inverse are unique.

Examples

$\mathbb{Z}^+, \mathbb{Q}^+, \mathbb{R}^+, \mathbb{C}^+, n\mathbb{Z}^+, \mathbb{Z}_n^+, \mathbb{Z}_n^*$.

$\mathbb{Q}^* \setminus \{0\}$ and $[0, \infty) \cap \mathbb{Q}^*$ for multiplication.

Examples

Non-abelian groups:

- 2×2 integer matrices with determinant ± 1
- 2×2 integer matrices with determinant 1
- All permutations of $\{1, \dots, n\}$.

To create new groups

Cyclic groups, examples. Generators of a cyclic group.

Direct product $G_1 \times G_2$.

Example

The set of all ± 1 strings of length n with respect to termwise multiplication: this is “essentially the same” as \mathbb{Z}_2^n .

When is a direct product of two cyclic groups cyclic? Examples.

Subgroups

A subset closed with respect to addition and inverse. Then it is also a group.

Examples

- mG (or G^m in multiplicative notation).
- $G\{m\} = \{g \in G : mg = 0\}$.

Theorem

Every subgroup of \mathbb{Z} is of the form $m\mathbb{Z}$.

We proved this already since subgroups of $(\mathbb{Z}, +)$ are just the ideals of $(\mathbb{Z}, +, *)$

Theorem

If H is finite then it is a subgroup already if it is closed under addition.

Creating new subgroups

$$H_1 + H_2, H_1 \cap H_2.$$

Example

Let $G = G_1 \times G_2$, $\bar{G}_1 = G_1 \times \{0_{G_2}\}$, $\bar{G}_2 = \{0_{G_1}\} \times G_2$. Then \bar{G}_i are subgroups of G , and

$$\bar{G}_1 \cap \bar{G}_2 = \{0_G\}, \quad \bar{G}_1 + \bar{G}_2 = G.$$

So in a way, the direct product can, with the sum notation, be also called the **direct sum**.

Congruences

$a \equiv b \pmod{H}$ if $b - a \in H$.

We have seen for rings earlier already that if H is an ideal, this is an equivalence relation and you can add congruences. The same proof shows that if H is a subgroup you can do this.

The equivalence classes $a + H$ are called **cosets**.

Theorem

All cosets have the same size as H .

Proof.

If $C = a + H$ then $x \mapsto a + x$ is a bijection between H and C . \square

Corollary (Lagrange theorem, for commutative groups)

If G is finite and H is its subgroup then $|H|$ divides $|G|$.

Corollary

For any element a , its order $\text{ord}_G(a)$ is the order of the cyclic group generated by a , hence it divides $|G|$ if $|G|$ is finite.

Thus, we always have $|G| \cdot a = 0$.

The quotient group

Group operation among congruence classes, just as modulo m . This is the group G/H .

Examples

- If $G = G_1 \times G_2$ then recall $\overline{G}_1, \overline{G}_2$. Each element of G/\overline{G}_1 can be written as $(0, g_2) + \overline{G}_1$ for some g_2 . So, elements of \overline{G}_2 form a set of **representatives** for the cosets, and these representatives form a subgroup.
- $\mathbb{Z}/m\mathbb{Z} = \mathbb{Z}_m$. The class representatives do not form a subgroup.
- $\mathbb{Z}_4/2\mathbb{Z}_4$ consists of the classes $[0] = \{0, 2\}, [1] = \{1, 3\}$. The class representatives do not form a subgroup.

Two-dimensional picture.

Isomorphism, homomorphism

Isomorphism.

Example

$\mathbb{Z}_2 \times \mathbb{Z}_3 \cong \mathbb{Z}_6$. But $2\mathbb{Z}_4 \cong \mathbb{Z}_2$, $\mathbb{Z}_4/2\mathbb{Z}_4 \cong \mathbb{Z}_2$ and $\mathbb{Z}_2 \times \mathbb{Z}_2 \not\cong \mathbb{Z}_4$.

Homomorphism, image, kernel.

Examples

- The multiplication map, $\mathbb{Z} \rightarrow m\mathbb{Z}$. Its kernel is $\mathbb{Z}\{m\}$.
- For $a = (a_1, a_2) \in \mathbb{Z}^2$, let $\phi_a : G \times G \rightarrow G$ be defined as $(g_1, g_2) \mapsto a_1g_1 + a_2g_2$.
- This also defines a homomorphism $\psi_g : \mathbb{Z}^2 \rightarrow G$, if we fix $g = (g_1, g_2) \in G^2$ and view a_1, a_2 as variable.

Properties of a homomorphism

Proposition

Let $\rho : G \rightarrow G'$ be a homomorphism.

- (i) $\rho(0_G) = 0_{G'}$, $\rho(-g) = -\rho(g)$, $\rho(ng) = n\rho(g)$.
- (ii) For any subgroup H of G , $\rho(H)$ is a subgroup of G' .
- (iii) $\ker(\rho)$ is a subgroup of G .
- (iv) ρ is injective if and only if $\ker(\rho) = \{0_G\}$.
- (v) $\rho(a) = \rho(b)$ if and only if $a \equiv b \pmod{\ker(\rho)}$.
- (vi) For every subgroup H' of G' , $\rho^{-1}(H')$ is a subgroup of G containing $\ker(\rho)$.

Composition of homomorphisms.

Homomorphisms into and from $G_1 \times G_2$.

Theorem

For any subgroup H of an Abelian group G , the map $\rho : G \rightarrow G/H$, where $\rho(a) = a + H$ is a surjective homomorphism, with kernel H , called the *natural map* from G to G/H .

Conversely, for any homomorphism ρ , the factorgroup $G / \ker(\rho)$ is isomorphic to $\rho(G)$.

Examples

- The image of the multiplication map $\mathbb{Z}_8 \rightarrow \mathbb{Z}_8, a \mapsto 2a$ is the subgroup $2\mathbb{Z}_8$ of \mathbb{Z}_8 . The kernel is $\mathbb{Z}_8\{2\}$, and we have $\mathbb{Z}_8 / \mathbb{Z}_8\{2\} \cong 2\mathbb{Z}_8 \cong \mathbb{Z}_4$.
- (Chinese Remainder Theorem) For m_1, \dots, m_k , the map $\mathbb{Z} \rightarrow \mathbb{Z}_{m_1} \times \dots \times \mathbb{Z}_{m_k}$ given by taking the remainders modulo m_i . Surjective iff the m_i are pairwise relatively prime.

Theorem

Let H_1, H_2 be subgroups of G . The the map $\rho : H_1 \times H_2 \rightarrow H_1 + H_2$ with $\rho(h_1, h_2) = h_1 + h_2$ is a surjective group homomorphism that is an isomorphism iff $H_1 \cap H_2 = \{0\}$.

Cyclic groups, classification

For a generator a of cyclic G , look at homomorphism $\rho_a : \mathbb{Z} \rightarrow G$, defined by $z \mapsto za$. Then $\ker(\rho_a)$ is either $\{0\}$ or $m\mathbb{Z}$ for some m . In the first case, $G \cong \mathbb{Z}$, else $G \cong \mathbb{Z}_m$

Examples

- An element n of \mathbb{Z}_m generates a subgroup of order $m / \gcd(m, n)$.
- $\mathbb{Z}_{m_1} \times \mathbb{Z}_{m_2}$ is cyclic iff $\gcd(m_1, m_2) = 1$.

Subgroups

All subgroups of \mathbb{Z} are of the form $m\mathbb{Z}$.

Theorem

On subgroups of a finite cyclic group $G = \mathbb{Z}_m$:

- (i) All subgroups are of the form $dG = G\{m/d\}$ where $d|m$, and $dG \subseteq d'G$ iff $d'|d$.
- (ii) For any divisor d of m , the number of elements of order d is $\phi(d)$.
- (iii) For any integer n we have $nG = dG$ and $G\{n\} = G\{d\}$ where $d = \gcd(m, n)$.

Theorem

- (i) If G is of prime order then it is cyclic.
- (ii) Subgroups of a cyclic group are cyclic.
- (iii) Homomorphic images of a cyclic group are cyclic.

The **exponent** of an Abelian group G : the smallest $m > 0$ with $mG = \{0\}$, or 0 if there is no such $m > 0$.

Theorem

Let m be the exponent of G .

- (i) m divides $|G|$.
- (ii) If $m \neq 0$ is then the order of every element divides it.
- (iii) G has an element of order m .

Theorem

- (i) If prime p divides $|G|$ then G contains an element of order p .
- (ii) The primes dividing the exponent are the same as the primes dividing the order.

We have introduced rings earlier, now we will learn more about them.

Example

Complex numbers: pairs (a, b) with $a, b \in \mathbb{R}$, and the known operations.

Conjugation: a ring isomorphism. Norm: $z\bar{z} = a^2 + b^2$, and its properties.

Characteristic: the exponent of the additive group.

Units and fields

An element is a **unit** if it has a multiplicative inverse. The set of units of ring R is denoted by R^* . This is a group.

Examples

- For $z \in \mathbb{C}$, we have $z^{-1} = \bar{z}/N(z)$.
- Units in \mathbb{Z} , \mathbb{Z}_m .
- The Gaussian integers, and units among them.
- Units in $R_1 + R_2$.

Zero divisors and integral domains

R is an **integral domain** if it has no zero divisors.

Examples

- When is \mathbb{Z}_m an integral domain?
- When is an element of $R_1 \times R_2$ a zero divisor?

Theorem

- $a|b$ implies unique quotient.
- $a|b$ and $b|a$ implies they differ by a unit.

Theorem

- (i) *The characteristic of an integral domain is a prime.*
- (ii) *Any finite integral domain is a field.*
- (iii) *Any finite field has prime power cardinality.*

Examples

- Gaussian integers
- \mathbb{Q}_m .

Polynomial rings

The ring $R[\mathbf{X}]$.

The formal polynomial versus the polynomial function. In algebra, \mathbf{X} is frequently called an **indeterminate** to make the distinction clear.

For each $a \in R$, the substitution $\rho_a : R[\mathbf{X}] \rightarrow R$ defined by $\rho_a(f(\mathbf{X})) = f(a)$ is a ring homomorphism.

Example

$\mathbb{Z}_2[\mathbf{X}]$ is our first example of a ring with finite characteristic that is not a field.

Degree $\deg(f)$. **Leading coefficient** $\text{lc}(f)$. **Monic polynomial**: when the leading coefficient is 1. **Constant term**.

Degree Convention: $\deg(0) = -\infty$.

$\deg(fg) \leq \deg(f) + \deg(g)$, equality if the leading coefficients are not zero divisors.

Proposition

If D is an integral domain then $(D[\mathbf{X}])^* = D^*$.

Warning: different polynomials can give rise to the same polynomial function. Example: $\mathbf{X}^p - \mathbf{X}$ over \mathbb{Z}_p defines the 0 function.

Theorem (Division with remainder)

Let $f, g \in R[\mathbf{X}]$ with $g \neq 0_R$ and $\text{lc}(g) \in R^*$. Then there is a q with

$$f = q \cdot g + r, \quad \deg(r) < \deg(g).$$

Notice the resemblance to and difference from number division.

The **long division** algorithm.

Theorem

Dividing by $X - \alpha$:

$$f(X) = q \cdot (X - \alpha) + f(\alpha).$$

Roots of a polynomial.

Corollary

- (i) α is a root of $f(X)$ iff $f(X)$ is divisible by $X - \alpha$.
- (ii) In an integral domain, a polynomial of degree n has at most n roots.

Theorem

If D is an integral domain then every finite subgroup G of D^* is cyclic.

Proof.

The exponent of m of G is equal to $|G|$, since $x^m - 1$ has at most m roots. By an earlier theorem, G has an element whose order is the exponent. □

Corollary

Modulo any prime p , there is a primitive root.

Ideals and homomorphisms

We defined ideals earlier, this is partly a review.

Generated ideal (a) , (a, b, c) . Principal ideal.

Congruence modulo an ideal. Quotient ring.

Example

Let f be a monic polynomial, consider $E = R[X]/(f \cdot R[X]) = R[X]/(f)$.

- $\mathbb{R}[X]/(X^2 + 1) \cong \mathbb{C}$.
- $\mathbb{Z}_2[X]/(X^2 + X + 1)$. Elements are $[0], [1], [X], [X + 1]$. Multiplication using the rule $X^2 \equiv X + 1$. Since $X(X + 1) \equiv 1$ every element has an inverse, and E is a field of size 4.

Prime ideal: If $ab \in I$ implies $a \in I$ or $b \in I$.

Maximal ideal.

Examples

- In the ring \mathbb{Z} , the ideal $m\mathbb{Z}$ is a prime ideal if and only if m is prime. In this case it is also maximal.
- In the ring $\mathbb{R}[X, Y]$, the ideal (X) is prime, but not maximal. Indeed, $(X) \subsetneq (X, Y) \neq \mathbb{R}[X, Y]$

Proposition

- I is prime iff R/I is an integral domain.*
- I is maximal iff R/I is a field.*

Proposition

Let $\rho : R \rightarrow R'$ be a homomorphism.

- (i) Images of subrings are subrings. Images of ideals are ideals of $\rho(R)$.
- (ii) The kernel is an ideal. ρ is injective (an *embedding*) iff it is $\{0\}$.
- (iii) The inverse image of an ideal is an ideal containing the kernel.

Proposition

The natural map $\rho : R \rightarrow R/I$ is a homomorphism.

Isomorphism between $R/\ker(\rho)$ and $\rho(R)$.

Examples

- $\mathbb{Z} \rightarrow \mathbb{Z}/m\mathbb{Z}$ is not only a group homomorphism but also a ring homomorphism.
- The mapping for the Chinese Remainder Theorem.

Polynomial factorization and congruences

(See 17.3-4 of Shoup)

We will consider elements of $F[X]$ over a field F .

The **associate** relation between elements of $F[X]$.

Theorem

Unique factorization in $F[X]$. The monic irreducible factors are unique.

The proof parallels the proof of unique factorization for integers, using division with remainder.

- Every ideal is principal.
- If f, g are relatively prime then there are s, t with

$$f \cdot s + g \cdot t = 1. \quad (2)$$

- Polynomial p is irreducible iff $p \cdot F[X]$ is a prime ideal, and iff it is a maximal ideal, so iff $F[X]/(p)$ is a field.
Warning: here we cannot use counting argument (as for integers) to show the existence of the inverse. We rely on (2) directly.
- Congruences modulo a polynomial. Inverse.
- Chinese remainder theorem. Interpolation.

The following theorem is also true, but its proof is longer (see 17.8 of Shoup).

Theorem

There is unique factorization over the following rings as well:

$$\mathbb{Z}[X_1, \dots, X_n], F[X_1, \dots, X_n],$$

where F is an arbitrary field.

Complex and real numbers

Theorem

Every polynomial in $\mathbb{C}[x]$ has a root.

We will not prove this. It implies that all irreducible polynomials in \mathbb{C} have degree 1.

Theorem

Every irreducible polynomial over \mathbb{R} has degree 1 or 2.

Proof.

Let $f(x)$ be a monic polynomial with no real roots, and let

$$f(x) = (x - \alpha_1) \cdots (x - \alpha_n)$$

over the complex numbers. Then

$$f(x) = \overline{f(x)} = (x - \bar{\alpha}_1) \cdots (x - \bar{\alpha}_n).$$

Since the factorization is unique, the conjugation just permuted the roots. All the roots are in pairs: $\beta_1, \bar{\beta}_1, \beta_2, \bar{\beta}_2$, and so on. We have

$$(x - \beta)(x - \bar{\beta}) = x^2 - (\beta + \bar{\beta})x + \beta\bar{\beta}.$$

Since these coefficients are their own conjugates, they are real. Thus f is the product of real polynomials of degree 2. \square

Roots of unity

Complex multiplication: addition of angles.

Roots of unity form a cyclic group (as a finite subgroup of the multiplicative group of a field).

Primitive n th root of unity: a generator of this group. One such generator is the root with the smallest angle.

Proposition

If ε is a root of unity different from 1 then $\sum_{i=1}^n \varepsilon^i = 0$.

Fourier transform

Interpolation is particularly simple if the polynomial is evaluated at roots of unity.