EXPONENTIAL SUMS IN CODING THEORY, CRYPTOLOGY AND ALGORITHMS

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1. Introduction

In these lecture notes we will try to exhibit, in a very informal way, some useful and sometimes surprising relations between exponential sums, which is a celebrated tool on analytical number theory, and several important problems of such applied areas as coding theory, cryptology and algorithms.

One can certainly ask two natural questions:

- *Why Exponential Sums?*
  This is because:
  - they are beautiful and I like them;
  - exponential sums allow us to show the existence of objects with some special properties.
- *Why Coding Theory, Cryptology and Algorithms?*
  This is because:
  - they are beautiful and I like them as well;
  - to design/analyze some codes and cryptographic schemes we need to find objects with some special properties:
    * "*good*" for designs;
    * "*bad*" for attacks.

The main goal of this work is to show that exponential sums are very useful, yet user friendly objects, provided you know how to approach them.

I will also provide a necessary background for everybody who would like to learn about this powerful tool and to be able to use it in her and his own work. I do not pretend to give a systematic introduction to the subject but rather I intend help to get started in making exponential sums an active working tool, at least in the situation where their application does not require any sophisticated technique or advanced analytical methods. I hope that this brief introduction to the theory of exponential sums and their applications should help to develop some feeling of the kinds of questions where exponential sums can be useful and if you see that the actual application is beyond your level of expertise you can always seek an advise from one of the numerous experts in number theory (who probably otherwise would never know about your problem).

It is well know that for many years number theory was the main area of applications of exponential sums. Such applications include (but are not limited to)

- Uniform distribution (H. Weyl);
- Additive problems such as the Goldbach and Waring problems (G. H. Hardy, J. E. Littlewood, R. Vaughan, I. M. Vinogradov);
- Riemann zeta function and distribution of prime numbers (J. Littlewood, N. M. Korobov, Yu. V. Linnik, E. C. Titchmarsh, I. M. Vinogradov).

However it has turned out that exponential sums provide a valuable tool for a variety of problems of theoretical computer science, coding theory and cryptography, see [86,87].

I will try to explain:

- What we call exponential sums.
- How we estimate exponential sums (and why we need this at all).
- What is current state of affairs.
- What kind of questions can be answered with exponential sums.
- How various cryptographic and coding theory problems lead to questions about exponential sums.

Unfortunately there is no systematic textbook on exponential sums. However one can find a variety of results and applications of exponential sums in [42,60,50,86,98].

Although many sophisticated (and not so) method and applications of

exponential sums are not even mentioned in this work, I still hope that it can prepare the reader to start independent explorations of this beautiful area and maybe even try some open problems, new or old, as well as to look for new applications. In particular, a little set of tutorial problems at the end of the notes (a few of them contain some hints) may help to a smooth transition from learning to pursuing independent research.

As a rule, the choice of examples to demonstrate various methods of estimation and applications of exponential sums has been limited to ones admitting a straight forward approach, exhibiting main ideas without gory technical details. The only opposite example is the result of BCH codes of Section 7.2. It has been done to show that even with exponential sums "life is not always easy" (other example can somewhat lead to this false conclusion) and also to show one very useful trick which is discussed in Section 7.2.4.

We remark, that there is one more important area of application of exponential sums which unfortunately is not considered in these notes. Namely, we do not discuss applications to pseudo-random number generators; these topic is too extensive and requires a separate treatment. We recommend however to consult [73,74,75] to get some impression how the area has been developping.

Acknowledgment. I would like to thank Harald Niederreiter for the very careful reading of the manuscript and the numerous helpful suggestions. Also, without his constant help and encouragement these lecture notes would have never appeared in their present form and would just remain to be merely a set of slides. I am certainly thankful to San Ling, Chaoping Xing and other colleagues involved in the organisation of this workshop, for their invitation and for the opportunity to give these lectures. I am also thankful to Arnaldo Garcia and Alev Topuzoglu who invited me to repeat a slightly extended version of the original lectures at IMPA (Rio de Janeiro) and Sabanci University (Istanbul). Last but not least, I would like to express my deepest gratitude to the great audience of these lectures, whose active participation and curiosity, asking "simple" and "hard" questions, made it a very enjoyable experience for me.

2. Exponential Sums — Basic Notions

2.1. *Getting Started*

2.1.1. *Exponential Sums — What Are They?*

Exponential sums are objects of the form

$$S(\mathcal{X}, F) = \sum_{x \in \mathcal{X}} \mathbf{e}(F(x))$$

where

$$\mathbf{e}(z) = \exp(2\pi i z),$$

$\mathcal{X}$ is an arbitrary set, F is a real-valued function on $\mathcal{X}$.

In fact $\mathcal{X}$ could be a set of vectors, in this case we talk about **multiple sums**.

2.1.2. *Exponential Sums — What Do We Want From Them?*

Certainly it would be very good to have a closed form expression for the sums $S(\mathcal{X}, F)$. Unfortunately there very few examples when we have such formulas. On the other hand, for main applications of exponential sums we do not need to know $S(\mathcal{X}, F)$ exactly. It is quite enough to have an **upper bound** on $S(\mathcal{X}, F)$, which is the main task of this area.

First of all we remark that because $|\mathbf{e}(z)| = 1$ for every real z,

$$|S(\mathcal{X}, F)| \le \#\mathcal{X}.$$

This is the **trivial bound**.

We are interested in getting stronger bounds. Of course, to be able to prove such a bound we need some conditions on $\mathcal{X}$ and F. For example, if F is an integer-valued function then $\mathbf{e}(F(x)) = 1$ and $S(\mathcal{X}, F) = \#\mathcal{X}$.

2.1.3. *Exponential Sums — How Do We Classify Them?*

There are exponentially many different types of exponential sums.

If $\mathcal{X}$ is a set of vectors, we talk about **multiple sums**. In particular in the two-dimensional case we talk about **double sums**. Double sum technique provides an invaluable tool in estimating one-dimensional sums.

A very important class of exponential sums consists of **rational sums**. Those are the sums with functions F of the form $F(x) = f(x)/m$ where

$f : \mathcal{X} \to \mathbb{Z}$ is an integer-valued function on $\mathcal{X}$. The number m is called the **denominator** of the exponential sum $S(\mathcal{X}, F)$.

It is convenient to introduce one more notation

$$\mathbf{e}_m(z) = \exp(2\pi iz/m)$$

(thus $\mathbf{e}_1(z) = \mathbf{e}(z)$). Therefore we have

$$S(\mathcal{X}, F) = \sum_{x \in \mathcal{X}} \mathbf{e}_m(f(x)).$$

2.2. *Timeline*

Exponential sums are almost 200 years old. It is a long history of triumphs and disappointments. Below I tried to outline some most important events of this dramatic history. It is certainly impossible to give a complete account of all achievements and contributors in within the frameworks of a few lectures, so I do apologise for all omissions of many distinguished events and researchers.

2.2.1. *Johann Carl Friedrich Gauss, 1811*

Exponential sums were introduced to number theory by **Gauss** in [28]. The sums he introduced and studied

$$G(a, m) = \sum_{x=0}^{m-1} e_m(ax^2)$$

are called "Gaussian sums" in his honor. Sometimes this name is extended to more general sums

$$G_n(a, m) = \sum_{x=0}^{m-1} e_m(ax^n)$$

as well. Gaussian sums $G(a, m)$ is one of very few examples when one can actually evaluate exponential sums explicitly. It should be noticed that the way Gauss used these sums is very different from modern applications of exponential sums.

2.2.2. *Hermann Klaus Hugo Weyl, 1916*

Hermann Weyl was probably the first mathematician who understood the great power and potential of this method. Besides creating the first general method of bounding exponential sums [103], he also found very important connections with uniform distribution of sequences which underlie many further applications of this method.

2.2.3. *Godfrey Harold Hardy and John Edensor Littlewood, 1920*

Godfrey Hardy and John Littlewood [33] found new applications of exponential sums to some very important number theoretic problems and invented their "circle method" which is now routinely used for a large number of applications [98]. John Littlewood [61] also introduced exponential sums in studying the Riemann zeta function.

2.2.4. *Louis Joel Mordell, 1932*

Louis Mordell [66] created a new method of estimating rational exponential sums with polynomials with prime denominator. Despite that the method is obsolete and superseded by the Andre Weil method [102], it exhibited some very important principles and is has not lost its value as a teaching tool in the theory of exponential sums.

2.2.5. *Ivan Matveevich Vinogradov, 1935*

Ivan Vinogradov developed a principally new method of estimating general exponential sums with polynomials with irrational coefficients [100] (much stronger that H. Weyl's method) and also the method of bounding exponential sums where the set $\mathcal{X}$ consists of prime numbers of a certain interval [101]. He obtained extremely strong results for such classical problem as the *Waring problem* and the *Goldbach problem* and the bounds for the zeros of the Riemann zeta function. Even now, 65 years later we do not have anything essentially stronger.

2.2.6. *Loo-Keng Hua, 1947*

Loo-Keng Hua [41] created a new method of estimating rational exponential sums with arbitrary denominator. The method is based on Chinese

Remainder Theorem to reduce the general case to the case of prime power denominator, and then using a kind of Hensel lifting to reduce the case of prime power denominator to the case of prime denominator. Almost all works on exponential sums with arbitrary denominator follow this pattern.

2.2.7. *Andre Weil, 1948*

Andre Weil [102] invented an algebraic-geometry method of estimating "rational" exponential sums with prime denominator. In many case the result are close to best possible. It still remains the most powerful tool in this area.

2.2.8. *Pierre Deligne, 1972*

Pierre Deligne [21] has obtained a very important extension of the algebraic geometry method to bounds of multiple sums with polynomials and rational functions with prime denominator.

2.2.9. *You, ????*

There also have been many other exceptional researchers and outstanding results and methods but no " breakthroughs". An excellent outline of older results is given by Loo-Keng Hua [42]. Maybe its **your** turn now! The area deserves your attention.

2.3. *Some Terminology*

2.3.1. *Rational Exponential Sums*

We concentrate on the simplest, yet most useful, well-studied and attractive class of **rational exponential sums**. That is, the function $F(x) = f(x)/m$ takes rational values with integer denominator $m > 1$.

In fact very often we concentrate only on the case of prime denominators. Sometimes it is convenient to think that $f(x)$ is defined on elements of the finite field $\mathbb{F}_p$ of p elements.

Examples:

- $F(x) = f(x)/p$ where f is a polynomial with integer coefficients (alternatively one can think that f is a polynomial with coefficients from $\mathbb{F}_p$);

- $F(x) = g^x/p$ where $g > 1$ is an integer (alternatively one can think that $g \in \mathbb{F}_p$).

2.3.2. *Complete and Incomplete Exponential Sums*

Very often the function $f(x)$ in $F(x) = f(x)/m$ is purely periodic modulo m with period T. Then the sum

$$S(f) = \sum_{x=1}^{T} \mathbf{e}_m(f(x))$$

is called a **complete sum**.

A shorter sums

$$S(f, N) = \sum_{x=1}^{N} \mathbf{e}_m(f(x))$$

with $1 \le N \le T$ is called an **incomplete sum**.

Examples:

- If $f(x)$ a polynomial with integer coefficients then it is periodic modulo p with period p;
- $f(x) = g^x$ where $g > 1$ is an integer with $\gcd(g, p) = 1$ then it is periodic modulo p with period t where t is the multiplicative order of g modulo p.

Typically, incomplete sums (especially when N is relatively small to T) are much harder to estimate.

3. Simplest Bounds and Applications

3.1. *The Basic Case — Linear Sums*

Certainly the simplest (and easiest) exponential sums one can think of are **linear exponential sums**, that is, exponential sums with

$$F(x) = ax/p.$$

The following simple results give a complete description of such sums (a very unusual situation ...). It provides a very good warming up exercise.

Theorem 3.1:

$$\sum_{x=0}^{m-1} \mathbf{e}_m(ax) = \begin{cases} 0, & \text{if } a \not\equiv 0 \pmod m, \\ m, & \text{if } a \equiv 0 \pmod m. \end{cases}$$

Proof: The case $a \equiv 0 \pmod m$ is obvious because each term is equal to 1.

The case $a \not\equiv 0 \pmod m$ ... is obvious as well, because it is a sum of a geometric progressions with denominator $q = \mathbf{e}_m(a) \neq 1$ thus

$$\sum_{x=0}^{m-1} \mathbf{e}_m(ax) = \sum_{x=0}^{m-1} q^x = \frac{q^m - 1}{q - 1} = \frac{\mathbf{e}_m(ma) - 1}{\mathbf{e}_m(a) - 1} = \frac{1 - 1}{\mathbf{e}_p(a) - 1} = 0. \qquad \square$$

3.2. *Nice Result Almost for Free*

The following statement is a very instructive example showing the great power of the exponential sum method. The result is a rather **nontrivial** statement which follows immediately from **trivial** Theorem 3.1. In fact I am not aware of any alternative proof of this statement whose formulation has nothing to do with exponential sums.

Let $\mathcal{X}$ be **any** set of $\mathbb{Z}$ and let f be function $f : \mathcal{X} \to \mathbb{F}_p$.

Let $N_k(a)$ be the number of solutions of

$$f(x_1) + \ldots + f(x_k) \equiv f(x_{k+1}) + \ldots + f(x_{2k}) + a \pmod p.$$

where $x_1, \ldots, x_{2k} \in \mathcal{X}$ and a is an integer.

Theorem 3.2: $N_k(a) \leq N_k(0)$.

Proof: By Theorem 3.1

$$N_k(a) = \sum_{x_1,\ldots,x_{2k} \in \mathcal{X}} \frac{1}{p} \sum_{c=0}^{p-1} \mathbf{e}_p\Big(c\big(f(x_1) + \ldots + f(x_k) - f(x_{k+1}) - \ldots - f(x_{2k}) - a\big)\Big).$$

Rearranging,

$$N_k(a) = \frac{1}{p} \sum_{c=0}^{p-1} \mathbf{e}_p(-ca) \left(\sum_{x \in \mathcal{X}} \mathbf{e}_p\left(cf(x)\right) \right)^k \left(\sum_{x \in \mathcal{X}} \mathbf{e}_p\left(-cf(x)\right) \right)^k.$$

Because for any real u,

$$\mathbf{e}_p(-u) = \overline{\mathbf{e}_p(u)}$$

and for any complex z,

$$z\overline{z} = |z|^2,$$

we obtain

$$\begin{aligned} N_k(a) &= \frac{1}{p}\sum_{c=0}^{p-1}\mathbf{e}_p(-ca)\left|\sum_{x\in\mathcal{X}}\mathbf{e}_p\left(cf(x)\right)\right|^{2k} \\ &\le \frac{1}{p}\sum_{c=0}^{p-1}\left|\sum_{x\in\mathcal{X}}\mathbf{e}_p\left(cf(x)\right)\right|^{2k} = N_k(0). \end{aligned}$$

□

It is obvious that

$$\sum_{a=0}^{p-1} N_k(a) = \#\mathcal{X}^{2k}.$$

Indeed, any $2k$-tuple $(x_1, \ldots, x_{2k}) \in \mathcal{X}^{2k}$ corresponds to one and only one congruence and will be counted exactly once.

Using Theorem 3.2 and the previous observation, we immediately obtain the following inequality:

$$N_k(0) \ge \frac{1}{p}\sum_{a=0}^{p-1} N_k(a) \ge \frac{\#\mathcal{X}^{2k}}{p}.$$

As we have seen, Theorem 3.2 follows from the explicit expression of $N_k(a)$ via exponential sums. It also gives a lower bound on $N_k(0)$. Now we show that having some extra information about exponential sums involved in this expression one can show that all values of $N_k(a)$ are close to their expected value $\#\mathcal{X}^{2k}/p$.

In the formula

$$N_k(a) = \frac{1}{p}\sum_{c=0}^{p-1}\mathbf{e}_p(-ca)\left|\sum_{x\in\mathcal{X}}\mathbf{e}_p\left(cf(x)\right)\right|^{2k}$$

the term corresponding to $c = 0$ is $\#\mathcal{X}^{2k}/p$. Assume that we know a **non-trivial** upper bound

$$\max_{1\le c\le p-1}\left|\sum_{x\in\mathcal{X}}\mathbf{e}_p\left(cf(x)\right)\right| \le \#X\Delta$$

with some $0 \leq \Delta < 1$. Then each of the other $p-1$ terms is at most $\#\mathcal{X}^{2k}\Delta^{2k}$. Therefore

$$\left| N_k(a) - \frac{\#\mathcal{X}^{2k}}{p} \right| \leq \#\mathcal{X}^{2k}\Delta^{2k}$$

For some k we get $\Delta^{2k} < p^{-1}$ and we have an asymptotic formula.

The smaller the value of Δ, the smaller the value of k is needed. If $\Delta = p^{-\delta}$ one can take $k = \lfloor 1/2\delta \rfloor + 1$.

Moral:

(1) The **expected value** of $N_k(a)$ is given by the term corresponding to $c = 0$.
(2) The **error term** depends on the quality of our bound of exponential sums.

3.3. *Gaussian Sums*

Here we show that the absolute value of Gaussian sums can be explicitly evaluated. We consider only the case of prime denominators, but the arguments can easily be carried over to arbitrary denominators (although the final formula needs some adjustments). So our purpose to evaluate the absolute value of

$$G(a,p) = \sum_{x=1}^{p} \mathbf{e}_p(ax^2)$$

where p is prime

Theorem 3.3: For any prime $p \geq 3$ and any integer a with $\gcd(a,p) = 1$,

$$|G(a,p)| = p^{1/2}.$$

Proof: We have

$$\begin{aligned}|G(a)|^2 &= \sum_{x,y=1}^{p} \mathbf{e}_p\left(a\left(x^2-y^2\right)\right)\\ &= \sum_{y=1}^{p}\sum_{x=1}^{p} \mathbf{e}_p\left(a\left((x+y)^2-y^2\right)\right)\\ &= \sum_{y=1}^{p}\sum_{x=1}^{p} \mathbf{e}_p\left(a\left(x^2+2xy\right)\right)\\ &= \sum_{x=1}^{p} \mathbf{e}_p\left(ax^2\right)\sum_{y=1}^{p} \mathbf{e}_p\left(2axy\right).\end{aligned}$$

Because $p \geq 3$ and $\gcd(a,p) = 1$, from Theorem 3.1 we see that the last sum vanishes unless $x = p$ in which case it is equal to p and $\mathbf{e}_p\left(ax^2\right) = \mathbf{e}_p\left(ap^2\right) = 1$. □

Let us make a very important observation that for any polynomial $f(x)$ of degree n, squaring the sum with $\mathbf{e}_p(f(x))$ leads to a sum with $\mathbf{e}_p(f(x+y)-f(y))$ which, for every x, is a polynomial of y of degree $n-1$. The procedure can be iterated until we arrived to to linear sums. This is essential the method of H. Weyl [103].

3.4. *Linear Sums Once Again*

In Theorem 3.1 the argument x runs through the whole field $\mathbb{F}_p$ of p elements. A natural question to ask is: What if we take shorter sums

$$T_a(h) = \sum_{x=0}^{h-1} \mathbf{e}_m(ax)$$

with $0 \leq h \leq p-1$?

It is still the sum of a geometric progression with denominator $q = \mathbf{e}_m(a) \neq 1$ thus

$$|T_a(h)| = \left|\frac{q^h-1}{q-1}\right| \leq \frac{2}{|q-1|}.$$

We have

$$\begin{aligned}|q-1| &= |\mathbf{e}_m(a)-1| = |\exp(\pi i a/m) - \exp(-\pi i a/m)|\\ &= 2|\sin(\pi a/m)|.\end{aligned}$$

Let $1 \le a \le m-1$. Put $b = \min\{a, m-a\}$. Then

$$|\sin(\pi a/p)| = |\sin(\pi b/m)| \ge \frac{2b}{m}$$

because $\sin(\alpha) \ge 2\alpha/\pi$ for $0 \le \alpha \le \pi/2$.

Therefore

$$|T_a(h)| \le \frac{m}{2\min\{a, m-a\}}$$

for $1 \le a \le m-1$.

This immediately implies:

Theorem 3.4:

$$\sum_{a=1}^{m-1} \left| \sum_{x=k}^{k+h-1} \mathbf{e}_m(ax) \right| = O(m \log m).$$

Proof: We have

$$\left| \sum_{x=k}^{k+h-1} \mathbf{e}_m(ax) \right| = \left| \mathbf{e}_m(ak) \sum_{x=0}^{h-1} \mathbf{e}_m(ax) \right| \le \frac{m}{2\min\{a, m-a\}}.$$

Therefore

$$\sum_{a=1}^{m-1} \left| \sum_{x=k}^{k+h-1} \mathbf{e}_m(ax) \right| = m \sum_{a=1}^{m-1} \frac{1}{2\min\{a, m-a\}} \le 2m \sum_{1 \le a \le m/2} \frac{1}{2a}$$

and the result follows. □

3.5. *Distribution of Functions Modulo p*

Here we obtain the first general results illustrating how exponential sums can be used to gain some information about the distribution of functions modulo p.

Another interpretation of this result is a statement about the uniformity of distribution of the fractional parts

$$\left\{ \frac{f(x)}{p} \right\}, \quad x \in \mathcal{X},$$

in the unit interval $[0, 1]$.

Let k and $h \le p$ be integer. Denote

$$N_f(k, h) = \#\left\{ x \in \mathcal{X} \, : \, f(x) \equiv v \pmod p, \; v \in [k, k+h-1] \right\}.$$

Theorem 3.5: If

$$\max_{1 \le c < p} \left| \sum_{x \in \mathcal{X}} \mathbf{e}_p\left(cf(x)\right) \right| \le \#X\Delta$$

then

$$\max_{k} \max_{0 \le h \le p-1} \left| N_f(k,h) - \frac{\#\mathcal{X}h}{p} \right| = O(\#X\Delta \log p).$$

Proof: We have

$$\begin{aligned} N_f(k,h) &= \sum_{x \in \mathcal{X}} \sum_{v=k}^{k+h-1} \frac{1}{p} \sum_{c=0}^{p-1} \mathbf{e}_p\left(c(f(x)-v)\right) \\ &= \frac{1}{p} \sum_{c=0}^{p-1} \sum_{x \in \mathcal{X}} \sum_{v=k}^{k+h-1} \mathbf{e}_p\left(-cv\right) \mathbf{e}_p\left(cf(x)\right) \\ &= \frac{\#\mathcal{X}h}{p} + \frac{1}{p} \sum_{c=1}^{p-1} \sum_{v=k}^{k+h-1} \mathbf{e}_p\left(-cv\right) \sum_{x \in \mathcal{X}} \mathbf{e}_p\left(cf(x)\right). \end{aligned}$$

Therefore

$$\begin{aligned} &\left| N_f(k,h) - \frac{\#\mathcal{X}h}{p} \right| \\ &\le \frac{1}{p} \sum_{c=1}^{p-1} \left| \sum_{v=k}^{k+h} \mathbf{e}_p\left(-cv\right) \right| \left| \sum_{x \in \mathcal{X}} \mathbf{e}_p\left(cf(x)\right) \right| \\ &= O\left(\#X\Delta p^{-1} \sum_{c=1}^{p-1} \left| \sum_{v=k}^{k+h} \mathbf{e}_p\left(cv\right) \right| \right) \\ &= O\left(\#X\Delta \log p\right). \end{aligned}$$

□

4. More Sophisticated Methods

4.1. *Extend and Conquer*

Here we show that sometimes it is profitable to **extend** our sum over a small set of arbitrary structure to a bigger set (just potentially increasing the size of the sum) with a nice well-studied structure. Certainly we can not do this with the original sum because the terms are complex numbers but

this idea can be combined with some tricks. Very often it is used together with the Cauchy inequality in the form

$$\left(\sum_{j=1}^{m} s_j\right)^2 \le m \sum_{j=1}^{m} s_j^2$$

which holds for any non-negative $s_1, \ldots, s_m$.

We demonstrate this principle on the following very important example. Let $\mathcal{X}$ and $\mathcal{Y}$ be arbitrary subsets of $\mathbb{F}_p$.

Define

$$W_c = \sum_{x \in \mathcal{X}} \sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy)$$

Trivially $|W_c| \le \#\mathcal{X}\#\mathcal{Y}$. We show that very simple arguments allow us to obtain a bound which is better than trivial for $\#\mathcal{X}\#\mathcal{Y} \ge p$. Thus this bound improves the trivial bound for *very sparse* sets of arbitrary structure!

Theorem 4.1: For any sets $\mathcal{X}, \mathcal{Y} \subseteq \mathbb{F}_p$,

$$|W_c| \le (\#\mathcal{X}\#\mathcal{Y}p)^{1/2}.$$

Proof: We have

$$|W_c| = \left|\sum_{x \in \mathcal{X}} \sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy)\right| \le \sum_{x \in \mathcal{X}} \left|\sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy)\right|.$$

From the Cauchy inequality,

$$|W_c|^2 \le \#\mathcal{X} \sum_{x \in \mathcal{X}} \left|\sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy)\right|^2.$$

We **extend** the sums over x to all $x \in \mathbb{F}_p$:

$$|W_c|^2 \le \#\mathcal{X} \sum_{x \in \mathbb{F}_p} \left|\sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy)\right|^2$$

This is a very important step! We add many more terms to our sums (which we can do because each term is positive). Of course we lose here but our gain is that the sum over x (taken from some mysterious set we have no information about) is now extended to a very nice set.

Now we *Conquer*:

$$\begin{aligned}\sum_{x \in \mathbb{F}_p} \left| \sum_{y \in \mathcal{Y}} \mathbf{e}_p(cxy) \right|^2 &= \sum_{x \in \mathbb{F}_p} \sum_{y_1, y_2 \in \mathcal{Y}} \mathbf{e}_p\left(cx\left(y_1 - y_2\right)\right) \\ &= \sum_{y_1, y_2 \in \mathcal{Y}} \sum_{x \in \mathbb{F}_p} \mathbf{e}_p\left(cx\left(y_1 - y_2\right)\right) \\ &= p \sum_{\substack{y_1, y_2 \in \mathcal{Y} \\ y_1 = y_2}} 1 = \#\mathcal{Y} p.\end{aligned}$$

□

Without any assumptions on $\mathcal{X}$ and $\mathcal{Y}$ this bound remains the best possible.

4.2. *Clone, Extend and Conquer*

The previous principle works for double sums. Here we show how we can create multiple **clones** of our sum and thus reduce it to a double sum.

As in the previous section we use a very important example to exhibit this principle.

Let g, $\gcd(g, p) = 1$, be of multiplicative order t modulo p, that is,

$$g^k \equiv 1 \pmod{p} \quad \Longrightarrow \quad k \equiv 0 \pmod{t}.$$

Define

$$S(a, b) = \sum_{x=1}^{t} \mathbf{e}_p\left(ag^x\right) \mathbf{e}_t(bx).$$

The term $\mathbf{e}_t(bx)$ is rather unattractive (and unnatural) but we will see soon why it is needed for some applications, see Theorem 4.3.

Trivially, $|S(a, b)| \le t$.

Theorem 4.2: For any a, b with $\gcd(a, p) = 1$,

$$|S(a, b)| \le p^{1/2}.$$

Proof: The function $\mathbf{e}_p\left(ag^x\right) \mathbf{e}_t(bx)$ is periodic with period t. Thus, for

$y = 1, \ldots, t$,

$$\begin{aligned} S(a,b) &= \sum_{x=1}^{t} \mathbf{e}_p\left(ag^{x+y}\right) \mathbf{e}_t(b(x+y)) \\ &= \mathbf{e}_t(by) \sum_{x=1}^{t} \mathbf{e}_p\left(ag^y g^x\right) \mathbf{e}_t(bx) \\ &= \mathbf{e}_t(by) S(ag^y, b). \end{aligned}$$

Therefore, we can *clone*:

$$|S(a,b)| = |S(ag^y, b)|.$$

Now we *extend*:

$$t|S(a,b)|^2 = \sum_{y=1}^{t} |S(ag^y, b)|^2 \le \sum_{c=0}^{p-1} |S(c,b)|^2.$$

Finally, we *conquer*:

$$\begin{aligned} t|S(a,b)|^2 &\le \sum_{c=0}^{p-1} |S(c,b)|^2 \\ &= \sum_{x_1,x_2=1}^{t} \mathbf{e}_t(b(x_1 - x_2)) \sum_{c=0}^{p-1} \mathbf{e}_p\left(c\left(g^{x_1} - g^{x_2}\right)\right) \\ &= tp \end{aligned}$$

because

$$g^{x_1} - g^{x_2} \equiv 0 \pmod{p}$$

if and only if

$$x_1 \equiv x_2 \pmod{t}.$$ □

For some values of t this bound remains the best possible, see also Theorems 5.2.

4.3. *Mordell's Bound*

We are now ready to prove something more complicated and less straightforward than our previous estimates.

For a polynomial $f \in \mathbb{F}_p[X]$ of degree $\deg f = n$ we define

$$S(f) = \sum_{x=0}^{p-1} \mathbf{e}_p(f(x)).$$

Without loss of generality we can assume that $f(0) = 0$.

Mordell's method follows the following 3 main stages

Stage I. Cloning: For $\lambda \in \mathbb{F}_p^*$, $\mu \in \mathbb{F}_p$, define

$$f_{\lambda,\mu}(x) = f(\lambda x + \mu) - f(\mu).$$

Obviously $S(f) = S(f_{\lambda,\mu})$ (because $x \to \lambda x + \mu$ is a permutation on $\mathbb{F}_p$).

Stage II. Extending: The leading coefficient of $f_{\lambda,\mu}$ is $A\lambda^n$ where $A \neq 0$ is the leading coefficient of f. There are at least $p(p-1)/n$ distinct polynomials $f_{\lambda,\mu}$:

$$\frac{p(p-1)}{n}|S(f)|^{2n} \le \sum_{\substack{\deg g \le n \\ g(0)=0}} |S(g)|^{2n}.$$

Stage III. Conquering: Finally we obtain

$$\begin{aligned}
&\sum_{\substack{\deg g \le n \\ g(0)=0}} |S(g)|^{2n} \\
&= \sum_{\substack{\deg g \le n \\ g(0)=0}} S(g)^n \overline{S(g)}^n = \sum_{\substack{\deg g \le n \\ g(0)=0}} S(g)^n S(-g)^n \\
&= \sum_{\substack{\deg g \le n \\ g(0)=0}} \sum_{x_1,\ldots,x_{2n}=0}^{p-1} \mathbf{e}_p\left(\sum_{\nu=1}^{n} g(x_\nu) - \sum_{\nu=n+1}^{2n} g(x_\nu)\right) \\
&= \sum_{x_1,\ldots,x_{2n}=0}^{p-1} \\
&\qquad \times \sum_{a_1,\ldots,a_n=0}^{p-1} \mathbf{e}_p\left(\sum_{j=1}^{n} a_j \left(\sum_{\nu=1}^{n} x_\nu^j - \sum_{\nu=n+1}^{2n} x_\nu^j\right)\right) \\
&= \sum_{x_1,\ldots,x_{2n}=0}^{p-1} \prod_{j=1}^{n} \sum_{a_j=0}^{p-1} \mathbf{e}_p\left(a_j \left(\sum_{\nu=1}^{n} x_\nu^j - \sum_{\nu=n+1}^{2n} x_\nu^j\right)\right) \\
&= p^n T,
\end{aligned}$$

where T is the number of solutions of

$$\sum_{\nu=1}^{n} x_\nu^j \equiv \sum_{\nu=n+1}^{2n} x_\nu^j \pmod{p}, \qquad j = 1, \ldots, n,$$

where $0 \le x_1, \ldots, x_{2n} \le p-1$.

The first n symmetric functions of $x_1, \ldots, x_n$ and $x_{n+1}, \ldots, x_{2n}$ are the same. Recalling the Newton formulas we see that they are roots of the same polynomial of degree n. Therefore they are permutations of each other.

There are p^n values for $x_1, \ldots, x_n$ and for each fixed values of $x_1, \ldots, x_n$ there are at most $n!$ values for the other n variables $x_{n+1}, \ldots, x_{2n}$. Therefore

$$T \le n! p^n.$$

This yields

$$|S(f)| \le c(n) p^{1-1/n}$$

where $c(n) = (n\,n!)^{1/2n} \approx (n/e)^{1/2}$.

4.4. *Shorter Sums ... but Large Bound*

Here we show a general principle how the problem of bounding incomplete sums to the problem of bounding *almost the same* complete sums. Unfortunately, we lose a little bit, the bound because bigger by a logarithmic factor.

For g, $\gcd(g, p) = 1$, of multiplicative order t modulo p, define **incomplete** sums

$$T(a; N) = \sum_{x=1}^{N} \mathbf{e}_p\left(a g^x\right).$$

Theorem 4.3: For any a with $\gcd(a, p) = 1$ and $N \le t$

$$|T(a; N)| = O(p^{1/2} \log p).$$

Proof: We have

$$\begin{aligned}|T(a;N)| &= \left|\sum_{x=1}^{t} \mathbf{e}_p\left(ag^x\right) \frac{1}{t} \sum_{b=0}^{t-1} \sum_{y=1}^{N} \mathbf{e}_t(b(x-y))\right| \\ &= \frac{1}{t}\left|\sum_{b=0}^{t-1} S(a,b) \sum_{y=1}^{N} \mathbf{e}_t(-by)\right| \\ &\le \frac{1}{t} \sum_{b=0}^{t-1} |S(a,b)| \left|\sum_{y=1}^{N} \mathbf{e}_t(-by)\right| \\ &\le \frac{p^{1/2}}{t} \sum_{b=0}^{t-1} \left|\sum_{y=1}^{N} \mathbf{e}_t(-by)\right| = O(p^{1/2}\log p)\end{aligned}$$

by Theorem 4.2 and Lemma 3.4. □

5. Some Strongest Known Results

5.1. *Weil's Kingdom*

Using algebraic geometry tools due to Andre Weil [102] (an upper bound for the number of solutions of equations $F(x,y) = 0$ in finite fields) one can prove much stronger bounds for various sums with

- polynomials;
- rational functions;
- algebraic functions.

Here we present only one of such bounds in the following form given by C. Moreno and O. Moreno

Theorem 5.1: For any polynomials $g(X), h(X) \in \mathbb{F}_p[X]$ such that the rational function $f(X) = h(X)/g(X)$ is not constant on $\mathbb{F}_p$, the bound

$$\left|\sum_{\substack{x \in \mathbb{F}_p \\ g(x) \ne 0}} \mathbf{e}_p\left(f(x)\right)\right| \le \left(\max\{\deg g\,, \deg h\} + r - 2\right) p^{1/2} + \delta$$

holds, where

$$(r,\delta) = \begin{cases} (v,1), & \text{if } \deg h \le \deg g, \\ (v+1,0), & \text{if } \deg h > \deg g, \end{cases}$$

and v is the number of distinct zeros of $g(X)$ in the algebraic closure of $\mathbb{F}_p$.

In the special case when $f(X)$ is a not constant polynomial of degree $\deg f = n$ the bound takes its well-known form

$$\left| \sum_{x \in \mathbb{F}_p} \mathbf{e}_p \left(f(x) \right) \right| \leq (n-1)\, p^{1/2}. \tag{1}$$

Nowadays we have a pure elementary alternative to the algebraic geometry which is due to S. A. Stepanov, N. M. Korobov, H. Stark, W. Schmidt and to several other researchers.

Surprisingly enough, in some special cases elementary method gives much stronger results. Such improvements are due to A. Garcia and F. Voloch, D. Mit'kin, R. Heath-Brown and S. V. Konyagin, for more details see [34].

It is important to remember that

"elementary" $\neq$ "simple"

"Elementary" merely means that there is no explicit use of any algebraic geometry notions and tools.

For multivariate polynomials an analogue of (1) is due to P. Deligne [21] but it requires some special conditions on the polynomial in the exponent which are not so easy to verify. This limits the range of applications of that bound, while the Weil bound (1) is very easy to apply.

5.2. *Exponential Functions*

Exponential functions form another natural family of functions which arise in many applications. The problem of estimating exponential sums with exponential functions has a long history, we refer to [50,51,52,60,73,74,86] for more details.

Using some improvements of the Weil bound due to R. Heath-Brown and S. V. Konyagin [34], one can improve Theorem 4.2. Namely the following result has been obtained by S. V. Konyagin and I. E. Shparlinski [50], Theorem 3.4.

Theorem 5.2: For any a, b with $\gcd(a, p) = 1$,

$$|S(a,b)| \leq \begin{cases} p^{1/2}, & \text{if } t \geq p^{2/3}; \\ p^{1/4} t^{3/8}, & \text{if } p^{2/3} > t \geq p^{1/2}; \\ p^{1/8} t^{5/8}, & \text{if } p^{1/2} > t \geq p^{1/3}; \end{cases}$$

holds.

The main challenge is to obtain nontrivial bounds for as small values of t as possible. Theorem 5.2 works only for $t \ge p^{1/3+\varepsilon}$. For almost all primes Theorem 5.5 of [50] provides a nontrivial bound for $t \ge p^{\varepsilon}$. We present it in the form given in [68].

Theorem 5.3: Let Q be a sufficiently large integer. For any $\varepsilon > 0$ there exists $\delta > 0$ such that for all primes $p \in [Q, 2Q]$, except at most $Q^{5/6+\varepsilon}$ of them, and any element $g_{p,T} \in \mathbb{F}_p$ of multiplicative order $T \ge p^{\varepsilon}$ the bound

$$\max_{\gcd(c,p)=1} \left| \sum_{x=0}^{T-1} \mathbf{e}_p\left(cg_{p,T}^x\right) \right| \le T^{1-\delta}$$

holds.

5.3. *More Applications*

Combining the Weil bound 1 and Theorem 3.5 we obtain that for any polynomial f of degree n

$$\max_{k} \max_{0 \le h \le p-1} |N_f(k,h) - h| = O(np^{1/2} \log p). \tag{2}$$

We recall that an number $a \not\equiv 0 \pmod p$ is called a *quadratic residue* if the congruence $a \not\equiv x^2 \pmod p$ has a solution and is is called a *quadratic non-residue* otherwise. Numbers a with $a \equiv 0 \pmod p$ do not belong to either of these two classes.

Using (2) for the quadratic polynomial $f(x) = x^2$ we see in any interval $[k, k+h-1]$ the imbalance between the number of quadratic residues modulo p and non-residues is at most $O(p^{1/2} \log p)$. This is the famous *Polya–Vinogradov* inequality.

More precisely, let us denote by $Q_+(k,h)$ and $Q_-(k,h)$ the numbers of quadratic residues and non-residues, respectively, in the interval $[k, k+h-1]$.

Theorem 5.4: The bound

$$\max_{k} \max_{0 \le h \le p-1} \left| Q_{\pm}(k,h) - \frac{h}{2} \right| = O(p^{1/2} \log p)$$

holds.

Proof: Because the residue ring modulo p is a field we see that if $a \not\equiv 0 \pmod p$ and the congruence $a \not\equiv x^2 \pmod p$ has a solution, then it has two distinct solutions. Taking into account that an interval $[k, k+h-1]$ with $0 \le h \le p-1$ contains at most one zero, we obtain the inequalities

$$\frac{1}{2}N_f(k,h) - 1 \le Q_+(k,h) \le \frac{1}{2}N_f(k,h)$$

and

$$h - 1 \le Q_+(k,h) + Q_-(k,h) \le h.$$

Using (2) we obtain the desired result. □

In fact, our proof of Theorem 5.4 does not really need the Weil bound; it is quite enough to use Theorem 3.3.

Similarly, Theorems 5.2 and Theorems 5.3 can be used to study the distribution of the values of g^x in short intervals, see [50,86,87] for numerous applications of this type of result to cryptography, coding theory and computer science.

5.4. *What Else Can We Estimate?*

There are several other classes of exponential sums which have attracted much of attention of experts in analytical number theory. Here we present a short outline of such classes.

- Exponential sums with composite denominator

$$S(f) = \sum_{x=0}^{p-1} \mathbf{e}_q(f(x)),$$

  where $q \ge 1$ is an integer, $f \in \mathbb{Z}[X]$. These sums are very well studied, thanks to works of Hua Loo Keng, Vasili Nechaev, Sergei Stečkin, see [41,42,95].
- Exponential sums with recurring sequences For linear recurring sequences such estimates are due to N. M. Korobov and H. Niederreiter, see [60,52,73,74,86]. For nonlinear recurring sequences such estimates are due to H. Niederreiter and I. E. Shparlinski, see [75].
- *H. Weyl, P. van der Corput, I. M Vinogradov, N. .M. Korobov*: sums with polynomials with irrational coefficients ... *not much progress since 1947*.

- It is easy to see that $\mathbf{e}_p(\cdot)$ is an additive character of $\mathbb{F}_p$. Similar results are know for additive and multiplicative characters of arbitrary finite fields and residue rings. Although usually for sums of multiplicative characters the theory follows the same path as for exponential sums there are some exceptions. For example, there is no analogue of Theorem 3.4 for multiplicative character sums. On the other hand, the celebrated Burgess bound [12] has no analogue for exponential sums.
- Thousands of less general results for various interesting (and not so) special cases.

6. Twin Brothers of Exponential Sums — Character Sums

6.1. *Definitions*

A multiplicative character χ of $\mathbb{F}_q^*$ is a function

$$\chi : \mathbb{F}_q^* \to \{z \in \mathbb{C} : |z| = 1\}$$

with

$$\chi(ab) = \chi(a)\chi(b) \qquad \forall a, b \in \mathbb{F}_q^*$$

The trivial character χ_0 is the character with $\chi_0(a) = 1$, $a \in \mathbb{F}_q^*$

It is convenient to put $\chi(0) = 0$ for all characters χ (including χ_0).

Characters can be described in term of the *index* or the *discrete logarithm* with respect to some fixed primitive root of $\mathbb{F}_q$.

The most "famous" character is the quadratic character or **Legendre symbol** modulo a prime p, which for $a \not\equiv 0 \pmod p$ is defined by

$$\left(\frac{a}{p}\right) = \begin{cases} 1, & \text{if } a \equiv x^2 \pmod p \text{ is solvable,} \\ -1, & \text{otherwise,} \end{cases}$$

or

$$\left(\frac{a}{p}\right) = \begin{cases} 1, & \text{if } a \text{ is a quadratic residue,} \\ -1, & \text{otherwise,} \end{cases}$$

Characters can be extended to residue rings.

Jacobi symbol is the residue ring analogue of the Legendre symbol.

Warning For Jacobi symbol modulo a composite m it is **not true** that

$$\left(\frac{a}{m}\right) = \begin{cases} 1, & \text{if } a \text{ is a quadratic residue,} \\ -1, & \text{otherwise,} \end{cases}$$

The theory of character sums

$$T(\chi, \mathcal{X}) = \sum_{x \in \mathcal{X}} \chi(x)$$

is similar to the theory of exponential sums ... but not quite.

6.2. *Polya–Vinogradov Bound Again*

Despite that we have just said about great similarities between exponential sums and character sums, one of the first results of the theory demonstrates that actually there are some important distinctions as well. Namely, the Polya–Vinogradov inequality is sometimes formulated as a bound on linear character sums, which, as this inequality shows, behave very differently compared with linear exponential sums.

Theorem 6.1: For any integer N, $1 \le N \le p$,

$$\sum_{x=1}^{N} \left(\frac{x}{p}\right) = O(p^{1/2} \log p)$$

Proof: Following the standard principle, let us estimate the sums

$$S(a) = \sum_{x=1}^{p} \left(\frac{x}{p}\right) \mathbf{e}_p(ax).$$

If $a \equiv 0 \pmod{p}$ then

$$S(0) = \sum_{x=1}^{p} \left(\frac{x}{p}\right) = 0$$

because for any quadratic non-residue b

$$-S(0) = \left(\frac{b}{p}\right) S(0) = \sum_{x=1}^{p} \left(\frac{bx}{p}\right) = \sum_{x=1}^{p} \left(\frac{x}{p}\right) = S(0).$$

If $\gcd(a,p) = 1$ then

$$\begin{aligned} S(a) &= \sum_{x=1}^{p} \left(\frac{x}{p}\right) \mathbf{e}_p(ax) + \sum_{x=1}^{p} \mathbf{e}_p(ax) \\ &= \sum_{x=1}^{p} \left(1 + \left(\frac{x}{p}\right)\right) \mathbf{e}_p(ax) \\ &= \sum_{x=1}^{p-1} \left(1 + \left(\frac{x}{p}\right)\right) \mathbf{e}_p(ax) + 1 \\ &= 2 \sum_{x \ quadr. \ res.} \mathbf{e}_p(ax) + 1 \\ &= \sum_{y=1}^{p-1} \mathbf{e}_p(ay^2) + 1 = G(a,p). \end{aligned}$$

By Theorem 3.3 we have

$$|S(a)| = p^{1/2}, \quad \gcd(a,p) = 1.$$

Now

$$\begin{aligned} \left|\sum_{x=1}^{N} \left(\frac{x}{p}\right)\right| &= \left|\sum_{x=1}^{p} \left(\frac{x}{p}\right) \frac{1}{p} \sum_{a=0}^{p-1} \sum_{y=1}^{N} \mathbf{e}_p(a(x-y))\right| \\ &= \frac{1}{p} \left|\sum_{a=0}^{p-1} S(a) \sum_{y=1}^{N} \mathbf{e}_p(-ay)\right| \\ &\le \frac{1}{p} \sum_{a=0}^{p-1} |S(a)| \left|\sum_{y=1}^{N} \mathbf{e}_p(-ay)\right| \\ &\le \frac{p^{1/2}}{p} \sum_{a=0}^{p-1} \left|\sum_{y=1}^{N} \mathbf{e}_p(ay)\right| = O(p^{1/2} \log p). \end{aligned}$$

by Theorem 3.4. □

Corollary 6.2: *For $1 \le N \le p$, the interval $[1,N]$ contains $N/2 + O(p^{1/2} \log p)$ quadratic residues and non-residues*

Analysing when the above expression becomes positive we derive:

Corollary 6.3: *The smallest positive quadratic non-residue is $N_0 = O(p^{1/2} \log p)$*

6.3. *Let's Push It Down! – Other Methods are Helpful as Well*

The following nice trick is due to Vinogradov. It shows that if we have a non-trivial bound for character sums of length M, than we can say something interesting for much smaller intervals!

Let us fix some $M > N_0$ and count the number T of quadratic non-residues in the interval $[1, M]$.

Because each quadratic non-residue must have a prime divisor $q \geq N_0$ we obtain

$$T \leq \sum_{M \geq q \geq N_0} (\lfloor M/q \rfloor + 1) \leq M \sum_{M \geq q \geq N_0} 1/q + \pi(M).$$

We have $\pi(M) = O(M/\log M)$ and

$$\sum_{M \geq q \geq N_0} 1/q = \ln\ln M - \ln\ln N_0 + o(1)$$

Let $M = p^{1/2}\log^2 p$. Then $T = M/2 + o(M)$. Therefore

$$\ln\ln M - \ln\ln N_0 \geq 1/2 + o(1)$$

or

$$\frac{\ln M}{\ln N_0} \geq e^{1/2} + o(1)$$

or

$$N_0 = M^{1/e^{1/2}+o(1)} \leq p^{1/2e^{1/2}+o(1)}.$$

7. Applications to Coding Theory

7.1. *Direct Applications*

Many coding theory questions can immediately be formulated as questions about bound of exponential sums:

- correlation and autocorrelation, see [3,4,5,32,23,35,36,37,38];
- Minimal distance of BCH codes [62];
- Size of Varshamov–Mazur codes for asymmetric channels [50,63,86].

Surprisingly enough, it works the other way as well. Some coding theory lower bounds can be applied to obtain very tight lower bounds for exponential sums [6,56,76,79,96,97]. One can certainly argue about the importance

lower bounds because all known applications are based on upper bounds. Nevertheless they certainly improve our understanding of the area and are an intrinsic part of the theory of exponential sums.

Several other interrelations between exponential sums and coding theory, which enrich both areas, can be found in [86].

7.2. *Less Obvious Applications: Dimension of BCH Codes*

7.2.1. *Definitions*

Let q be a prime power and let n be an integer with $\gcd(n, q) = 1$.

Denote by t the multiplicative order of q modulo n; and fix an element $\alpha \in \mathbb{F}_{q^t}^*$ of multiplicative order n (it exists because $n \mid q^t - 1$);.

Let l be an integer. To construct a BCH code with *constructive distance* Δ we consider the polynomial g over $\mathbb{F}_q$ of the smallest degree such that

$$g\left(\alpha^{l+y}\right) = 0, \qquad y = 1, \ldots, \Delta - 1,$$

and consider the cyclic code of length n with g as the generator polynomial. That is the linear space of dimension $k = n - \deg g$ of n-dimensional vectors $(a_0, \ldots, a_{n-1}) \in \mathbb{F}_q^n$ such that

$$a_0 + a_1 Z + \ldots + a_{n-1} Z^{n-1} \equiv 0 \pmod{g(Z)}.$$

Generally for every code there are three parameters of interest: the length, the minimal distance and the dimension. For a BCH code the length n is given, the minimal distance d is at least the constructive distance Δ (and this bound is known to be tight in many cases [62]). The question about the dimension is more interesting. Of course, $t \le \deg g \le Dt$, thus the dimension $n - t \ge k \ge n - (\Delta - 1)t$. To get something stronger one should study the structure of the roots of g in more detail.

First of all we make an observation that all roots of g are powers of α because trivially

$$g(Z) \mid \prod_{y=1}^{\Delta-1} \prod_{x=1}^{t} \left(Z - \alpha^{(l+y)q^x}\right).$$

We also remark that α^j is a root of g is and only if

$$jq^x \equiv l + y \pmod{n},$$

for some $x = 1, \ldots, t$ and $y = 1, \ldots, \Delta - 1$.

The code is the linear space of dimension $k = n - \deg g$ of n-dimensional vectors $(a_0, \ldots, a_{n-1}) \in \mathbb{F}_q^n$ such that

$$a_0 + a_1 Z + \ldots + a_{n-1} Z^{n-1} \equiv 0 \pmod{g(Z)}.$$

We have

$$\Delta - 1 \le \deg g \le (\Delta - 1)t$$

and

$$n - \Delta + 1 \ge k \ge n - (\Delta - 1)t.$$

To improve one should study g in more detail.

We make the following observations:

- all roots of g are powers of α because

$$g(Z) \mid \prod_{y=1}^{\Delta-1} \prod_{x=1}^{t} \left(Z - \alpha^{(l+y)q^x} \right);$$

- α^j is a root of g if and only if $jq^x \equiv l + y \pmod{n}$, for some $x = 1, \ldots, t$ and $y = 1, \ldots, \Delta - 1$.

Let us denote by $J(q, n, \Delta)$ the largest possible dimension of q-ary generalized BCH codes of length n and of designed distance Δ taken over all $l = 0, \ldots, n-1$.

From the above discussion we conclude that $J(q, n, \Delta)$ is the number of $j = 0, 1, \ldots, n-1$ for which the congruence

$$jq^x \equiv l + y \pmod{n}, \qquad 1 \le x \le t,\ 1 \le y \le \Delta - 1, \tag{3}$$

is not solvable.

Thus the original questions has been reduced to a question about the distribution of values of an exponential function to which our technique can be applied.

7.2.2. *Preparations*

For a divisor d of n denote by t_d the multiplicative order q modulo d (thus $t = t_n$).

Lemma 7.1: *For any $d \mid n$, the bound $t_{n/d} \ge t/d$ holds.*

Lemma 7.2: *For any integer a, b, the congruence*

$$aq^x \equiv bq^y \pmod{n}, \qquad 1 \le x, y \le t$$

is solvable only when $\gcd(a, n) = \gcd(b, n) = d$, *and in this case for the number of solutions* $N(a, b)$ *the bound*

$$N(a, b) \le td$$

holds.

Proof: As $\gcd(q, n) = 1$, the condition on a and b is evident. Also it is evident that for any fixed x there are at most $t/t_{n/d}$ possible values for y, hence $N(a, b) \le t^2/t_{n/d} \le td$ because of Lemma 7.1. □

We define the sums

$$T(a, h) = \sum_{u=1}^{h} \mathbf{e}_n(au), \quad W_d(h) = \sum_{\gcd(a,n)=d} |T(a, h)|^2,$$

where d is a divisor of n, $d \,\big|\, n$.

Lemma 7.3: *For any* $d \,\big|\, n$ *with* $d < n$, *the bound*

$$W_d(h) \le nh/d$$

holds.

Proof: Denote $m = n/d$. We have

$$W_d(h) \le \sum_{a=0}^{n/d-1} |T(ad, h)|^2 - h^2 = mM - h^2,$$

where M is the number of solutions of the congruence

$$u \equiv v \pmod{m}, \qquad 1 \le u, v \le h.$$

Write $h = km + r$ with $0 \le r \le m - 1$, then $M = r(k + 1)^2 + (m - r)k^2 = k^2m + 2kr + r$. Therefore

$$\begin{aligned} W_d(h) &\le mM - h^2 = k^2m^2 + 2kmr + mr - h^2 \\ &= (h - r)^2 + 2r(h - r) + mr - h^2 = r(m - r) \\ &\le rm \le hm = nh/d. \end{aligned}$$

□

7.2.3. *Main Result*

Theorem 7.4: The bound

$$J(q,n,\Delta) \le \frac{4n^3}{(\Delta-1)^2 t}.$$

holds.

Proof: Let $h = \lfloor \Delta/2 \rfloor$ and let N_j denote the number of solutions of the congruence

$$jq^x \equiv l + h + u - v \pmod{n}, \tag{4}$$

where

$$x = 1, \ldots, t, \quad u, v = 1, \ldots, h.$$

Then $J(q,n,\Delta) \le |\mathbf{I}(q,n,\Delta)|$ where $\mathbf{I}(q,n,\Delta)$ is the set of $j = 0, 1, \ldots, n-1$ for which this congruence is unsolvable, that is, $N_j = 0$.

Set

$$S(a) = \sum_{x=1}^{t} \mathbf{e}(aq^x/n).$$

Then $N_j = th^2/n + R_j/n$ where

$$R_j = \sum_{a=1}^{n-1} S(aj)|T(a,h)|^2 \mathbf{e}_n(-a(l+h)).$$

Let us consider

$$R = \sum_{j=0}^{n-1} R_j^2.$$

We have

$$\begin{aligned} R &= \sum_{j=0}^{n-1} \sum_{a,b=1}^{n-1} S(aj)S(bj) \\ &\qquad \times |T(a,h)|^2 |T(b,h)|^2 \mathbf{e}_n\left(-(a+b)(l+h)\right) \\ &= \sum_{a,b=1}^{n-1} |T(a,h)|^2 |T(b,h)|^2 \mathbf{e}_n\left(-(a+b)(l+h)\right) \\ &\qquad \times \sum_{j=0}^{n} S(aj)S(bj). \end{aligned}$$

Then,

$$\sum_{j=0}^{n-1} S(aj)S(bj) = \sum_{x,y=1}^{t} \sum_{j=0}^{n-1} \mathbf{e}_n\left(j(aq^x + bq^y)\right) = nN(a,-b).$$

For all divisors $d \mid n$ we gather together all terms corresponding to a and b with

$$\gcd(a,n) = \gcd(b,n) = d.$$

Applying Lemma 7.2, we obtain

$$\begin{aligned} R &= n \sum_{d \mid n, d<n} \sum_{\gcd(a,n)=\gcd(b,n)=d} |T(a,h)|^2 |T(b,h)|^2 \\ &\qquad \times N(a,-b)\mathbf{e}_n\left((a+b)(l+h)\right) \\ &\le nt \sum_{d \mid n, d<n} dW_d(h)^2 \\ &\le nt \max_{d \mid n, d<n} dW_d(h) \sum_{d \mid n, d<n} W_d(h). \end{aligned}$$

From Lemma 7.3 and the identity

$$\sum_{\substack{d \mid n \\ d<n}} W_d(h) = \sum_{a=1}^{n-1} |T(a,h)|^2 = nh - h^2 \tag{5}$$

we derive

$$R \le n^3 h^2 t.$$

Since $R_j = -h^2 t$ for $j \in \mathbf{I}(q,n,\Delta)$ then

$$|\mathbf{I}(q,n,\Delta)| h^4 t^2 = \sum_{j=0}^{n-1} R_j^2 \le n^3 h^2 t.$$

Taking into account that $h \ge (\Delta - 1)/2$, we obtain the result. □

It is useful to keep in mind that *exponential sums do not always win*. For certain values of parameters the following elementary statement provides a sharper bound.

Theorem 7.5: The bound

$$J(q,n,\Delta) \le 2e^{1/2}n^{1-\alpha_q(\delta)}$$

holds, where $\delta = (\Delta-1)/n$ and

$$\alpha_q(\delta) = \frac{\delta}{2\ln(3q/\delta)}.$$

Thus this can be taken as an encouragement to study other number theoretic techniques.

7.2.4. *Discussion: Some Lessons to Learn*

It is easy to see that the proof of Theorem 7.4 is much more technically involved that reasonable straight forward proofs of other results presented here. In fact one of the reasons for presenting here Theorem 7.4 has been that fact that it provides quite an instructive example of several potential difficulties which can arise and some technical tricks which can be used to get around these difficulties.

First of all, one of the reasons for the proof to be so painful has been the fact that we work with congruences modulo a *composite* number. As a result, sometimes the denominator of the exponential sums involved becomes n/d rather than n, for a divisor $d|n$.

The other reason is more subtle. It may look strange that instead of studying the congruence (3), directly associated with $J(q,n,\Delta)$, we have studied less attractive and strangely looking congruence (4). Certainly we could easily study the congruence (3) as well getting a simpler expression of the form $M_j = t(\Delta-1)/n + Q_j/n$ where

$$Q_j = \sum_{a=1}^{n-1} S(aj)T(a,\Delta-1)\mathbf{e}_n(-al)$$

for the number of solutions of this congruence. The rest would go along the same lines except that instead of an explicit formula (5) involving squares of $|T(a,h)|$ we would use Theorem 3.4 to estimate various sum of the first powers of $|T(a,\Delta-1)|$, thus gaining an extra $\log n$ in our estimates (I leave this as an exercise to fill all missing details and obtain an upper bound for $J(q,n,\Delta)$ along these lines). However our saving compared to the trivial bound is only of order t. Although typically t is much greater than $\log n$, sometimes, namely when $n = q^t - 1$, t is exactly of order $\log n$. Thus for

such small values of t even such small losses as $\log n$ turn out to be fatal for the method. On the other hand, the "symmetrisation" trick with adding one more variable in the congruence we need to study helps to avoid the appearance of extra logarithms! It is important to remember however, that there is no direct explicit relation between M_j and N_j, so this approach does not apply when we want to estimate M_j. However for our purposes in here we only need to count how often $M_j = 0$ and thus we can use the obvious property that if $M_j = 0$ then $N_j = 0$.

8. Applications to Cryptography

8.1. *Distribution of Some Cryptographic Primitives*

8.1.1. *Security of Exponentiation with Precomputation*

Let g be an element of order t modulo a prime number p, that is

$$g^T \equiv 1 \pmod p \quad \Leftrightarrow \quad t|T.$$

Let r be the bit length of t, $2^{r-1} \le t \le 2^r - 1$.

Many signature schemes use exponentiation $g^x \pmod p$ for a "random" x.

Using repeated squaring this takes about $1.5r$ multiplications on average and about $2r$ operations in the worst case.

One of the possible ways to speed-up exponentiation is to precompute the values $g^{2^j} \pmod p$, $j = 0, \ldots, r$. Then computing $g^x \pmod p$ takes $0.5r$ multiplications on average, r multiplications in the worst case.

Main Problem: How can we generate *secure* pairs (x, g^x) faster (for some special x)?

Secure: Finding x from g^x for the values of x generated by this method should be as hard as for a random $x \in [0, M-1]$.

In 1998, V. Boyko, M. Peinado and R. Venkatesan [10] proposed the following algorithm

Given $n \ge k \ge 1$:

Preprocessing Step: Generate n random integers $\alpha_1, \ldots, \alpha_n \in \mathbb{Z}_M$. Compute $\beta_j \equiv g^{\alpha_j} \pmod p$ and store the values of α_j and β_j in a table, $j = 1, \ldots, n$.

Pair Generation: Generate a random set $S \subseteq \{1, \ldots, n\}$ of cardinality

$\#S = k$. Compute

$$x \equiv \sum_{j \in S} \alpha_j \pmod{M}, \quad X \equiv \prod_{j \in S} \beta_j \equiv g^b \pmod{p}.$$

Cost: $k - 1$ modular multiplications.

It is easy to see that

$$X \equiv g^x \pmod{p}.$$

In 1999, P. Q. Nguyen, I. E. Shparlinski and J. Stern [70] proposed the following generalization of this scheme which involved one more integer parameter h.

Given $n \geq k \geq 1$ and $h \geq 2$:

Preprocessing Step: Generate n random integers $\alpha_1, \ldots, \alpha_n \in \mathbb{Z}_M$. Compute $\beta_j \equiv g^{\alpha_j} \pmod{p}$ and store the values of α_j and β_j in a table, $j = 1, \ldots, n$.

Extended Pair Generation: Generate a random set $S \subseteq \{1, \ldots, n\}$, $|S| = k$ and for each $j \in S$ select a random integer $x_j \in \{0, \ldots, h-1\}$. Compute

$$x \equiv \sum_{j \in S} \alpha_j x_j \pmod{M}, \quad X \equiv \prod_{j \in S} \beta_j^{x_j} \pmod{p}.$$

Cost: $k + h - 3$ modular multiplications.

One verifies that the congruence

$$X \equiv g^x \pmod{p}$$

holds. The cost estimate (which is better than naive $O(k \log h)$) follows from a result of [11].

Finally, using some bounds of exponential sums and to establish some results about the uniformity of distribution of sums

$$\sum_{j \in S} \alpha_j x_j \pmod{M}, \quad x_j \in \{1, \ldots, h-1\},$$

the security of this scheme was proved in [70]. We present this result in an informal way and refer to [70] for exact formulations (which formalises the notion of security).

Theorem (informally). *Let $n = \gamma r$ with some $\gamma > 0$ there are values of k and h with*

$$k + h = O(r/\log r)$$

and such that the scheme is as secure as the generator $x \to g^x \pmod p$ for arbitrary x.

The most important characteristics of this scheme are

Table size: linear in r (say $n = r$)
Speed-up: $\log r \to \infty$.

8.1.2. *Diffie-Hellman Triples and RSA Pairs*

Let g be a primitive element modulo p.

The following assumption is known as the *Diffie–Hellman Indistinguishability Assumption*: It is feasible to distinguish between *Diffie–Hellman triples* (g^x, g^y, g^{xy}) with random x and y and random triples $(u, v, w) \in \mathbb{F}_p^3$?

One of the possible (very naive approaches) to disprove this assumption would be to find some statistically "visible" singularities in differences in the distribution of the triples

$$(g^x, g^y, g^{xy}), \qquad x, y = 1, \ldots, p-1.$$

However, R. Canneti, J. Friedlander and I. E. Shparlinski [14] in 1997, and a stronger form, R. Canetti, J. B. Friedlander, S. V. Konyagin, M. Larsen, D. Lieman and I. Shparlinski [13] in 1999, proved that Diffie-Hellman triples are uniformly distributed.

Recently, J. B. Friedlander and I. E. Shparlinski [24] obtained similar statement for Diffie-Hellman triples with "sparse" x and y (one can use such x and y in order to speed-up computation). It is shown in [24] that Diffie-Hellman triples with x and y having at most $0.35 \log p$ nonzero digits are uniformly distributed.

Surprisingly enough, several results of [13] play a central role in studying a related problem about the distribution of *RSA pairs* (x, x^e) in the residue ring modulo m, see [91].

8.2. *Lattices and Exponential Sums*

8.2.1. *Introduction and Notation*

In this section we describe how a rather unusual combination of two celebrated number theoretic techniques, namely, bounds of *exponential sums* and *lattice reduction* algorithms, provides a powerful cryptographic tool. It can be applied to both proving several security results and designing new attacks.

For example, it has been used to prove certain bit security results for the Diffie-Hellman key exchange system, for the Shamir message passing scheme and for the XTR cryptosystem. It has also been used to design provable attacks on the Digital Signature Scheme and its modifications, including the Nyberg–Rueppel scheme, which are provably insecure under certain conditions.

Here we explain how these two techniques get together, outline several important applications applications and discuss some open problems on exponential sums which arise in this context and which need to be solved before any further progress in this area can be achieved.

Let p denote a prime number and let $\mathbb{F}_p$ denote the finite field of p elements. For integers s and $m \geq 1$ we denote by $\lfloor s \rfloor_m$ the remainder of s on division by m. For a prime p and $\ell > 0$ we denote by $\mathrm{MSB}_{\ell,p}(x)$ any integer u such that

$$|\lfloor x \rfloor_p - u| \leq p/2^{\ell+1}. \tag{6}$$

Roughly speaking, $\mathrm{MSB}_{\ell,p}(x)$ gives ℓ most significant bits of x however this definition is more flexible and suits better our purposes. In particular we remark that ℓ in the inequality (6) need not be an integer.

Throughout this paper $\log z$ denotes the binary logarithm of $z > 0$.

The implied constants in symbols 'O' may occasionally, where obvious, depend on the small positive parameters ε and are absolute otherwise.

8.2.2. *Hidden Number Problem and Lattices*

We start with a certain algorithmic problem, introduced in 1996 by Boneh and Venkatesan [8,9], which seemingly has nothing in common with exponential sums. Namely we consider the following

HIDDEN NUMBER PROBLEM, **HNP**: *Recover a number* $\alpha \in \mathbb{F}_p$ *such that for many known random* $t \in \mathbb{F}_p^*$ *we are given* $\mathrm{MSB}_{\ell,p}(\alpha t)$

for some $\ell > 0$.

The paper [8] also contains a polynomial time algorithm to solve this problem (with ℓ of order $\log^{1/2} p$). The most important ingredient of this algorithm is lattice reduction.

We briefly review a few results and definitions. For general references on lattice theory and its important cryptographic applications, we refer to the recent surveys [71,72].

Let $\{\mathbf{b}_1, \ldots, \mathbf{b}_s\}$ be a set of linearly independent vectors in $\mathbb{R}^s$. The set of vectors

$$L = \left\{ \sum_{i=1}^{s} n_i \mathbf{b}_i \mid n_i \in \mathbb{Z} \right\},$$

is called an s-dimensional full rank lattice. The set $\{\mathbf{b}_1, \ldots, \mathbf{b}_s\}$ is called a *basis* of L, and L is said to be spanned by $\{\mathbf{b}_1, \ldots, \mathbf{b}_s\}$.

One of the most fundamental problems in this area is the *closest vector problem*, **CVP**: given a basis of a lattice L in $\mathbb{R}^s$ and a target vector $\mathbf{u} \in \mathbb{R}^s$, find a lattice vector $\mathbf{v} \in L$ which minimizes the Euclidean norm $\|\mathbf{u} - \mathbf{v}\|$ among all lattice vectors. It is well know that **CVP** is **NP**-hard (see [71,72] for references). However, its approximate version [2] admits a polynomial time algorithm which goes back to the lattice basis reduction algorithm of Lenstra, Lenstra and Lovász [53].

It has been remarked in Section 2.1 of [64] and then in Section 2.4 of [71] and Section 2.4 of [72] that the following statement holds which is somewhat stronger than that usually used in the literature.

Theorem 8.1: There exists a polynomial time algorithm which, given an s-dimensional full rank lattice L and a vector $\mathbf{r} \in \mathbb{R}^s$, finds a lattice vector $\mathbf{v}$ satisfying the inequality

$$\|\mathbf{v} - \mathbf{r}\| \le 2^{O\left(s \log^2 \log s / \log s\right)} \min \left\{ \|\mathbf{z} - \mathbf{r}\|, \quad \mathbf{z} \in L \right\}.$$

Proof: The statement is a combination of Schnorr's modification [80] of the lattice basis reduction algorithm of Lenstra, Lenstra and Lovász [53] with a result of Kannan [43] about reduction of the **CVP** to the approximate shortest vector problem. □

One can also use a probabilistic analogue [1] of Theorem 8.1 which gives a slightly better constant.

We are now prepared to sketch the main ideas of [8] to solve the **HNP**. Let $d \ge 1$ be integer. Given t_i, $u_i = \mathrm{MSB}_{\ell,p}(\alpha t_i)$, $i = 1, \ldots, d$, we build the lattice $\mathcal{L}(p, \ell, t_1, \ldots, t_d)$ spanned by the rows of the matrix:

$$\begin{pmatrix} p & 0 & \ldots & 0 & 0 \\ 0 & p & \ddots & \vdots & \vdots \\ \vdots & \ddots & \ddots & 0 & \vdots \\ 0 & 0 & \ldots & p & 0 \\ t_1 & t_2 & \ldots & t_d & 1/2^{\ell+1} \end{pmatrix}.$$

and notice

$$\mathbf{w} = (\lfloor \alpha t_1 \rfloor_p, \ldots, \lfloor \alpha t_d \rfloor_p, \alpha/2^{\ell+1}) \in \mathcal{L}(p, \ell, t_1, \ldots, t_d).$$

This vector is very close to the *known* vector $\mathbf{u} = (u_1, \ldots, u_d, 0)$ (at the distance of order $p2^{-\ell}$). Thus applying one of the lattice reduction algorithms one can *hope* to recover $\mathbf{v}$ and thus α. In order to make this algorithm *rigorous* one needs to show that (for almost all choices of $t_1, \ldots, t_d \in \mathbb{F}_p$ there is no other lattice vector which is close to $\mathbf{u}$. Namely, taking into account the "stretching" factor in the algorithm of Lemma 8.1, we have to show that there are very few d-tuples $(t_1, \ldots, t_d) \in \mathbb{F}_p^d$ for which the lattice $\mathcal{L}(p, \ell, t_1, \ldots, t_d)$ has a vector $\mathbf{v} \ne \mathbf{w}$ and such that

$$\|\mathbf{v} - \mathbf{u}\| \le p2^{-\ell} \exp\left(O\left(\frac{d \log^2 \log d}{\log d}\right)\right).$$

The last inequality implies that

$$\|\mathbf{v} - \mathbf{w}\| \le p2^{-\ell} \exp\left(O\left(\frac{d \log^2 \log d}{\log d}\right)\right) \tag{7}$$

which is our main tool.

Any vector $\mathbf{v} \in \mathcal{L}(p, \ell, t_1, \ldots, t_d)$ is of the form

$$\mathbf{v} = \left(\beta t_1 - \lambda_1 p, \ldots, \beta t_d - \lambda_d p, \beta/2^{\ell+1}\right),$$

with some integers β and $\lambda_1, \ldots, \lambda_d$. Thus (7) implies that for all $i = 1, \ldots, d$ we have

$$(\alpha - \beta) t_i \equiv y_i \pmod{p} \tag{8}$$

for some $y_i \in [-h, h]$ where

$$h = p2^{-\ell} \exp\left(O\left(\frac{d \log^2 \log d}{\log d}\right)\right).$$

The probability

$$\Pr_{y \in \mathbb{F}_p} [\gamma t = y \pmod p \mid y \in [-h, h]] \le \frac{2h+1}{p} \tag{9}$$

for any $\gamma \ne 0$.

Therefore the probability P that the condition (8) holds for all $i = 1, \ldots, d$ and at least one $\beta \ne \alpha$, is at most

$$P \le (p-1) \left(\frac{2h+1}{p} \right)^d \le p(3h/p)^d = p 2^{-\ell d} \exp\left(O\left(\frac{d^2 \log^2 \log d}{\log d} \right) \right).$$

Thus if

$$\ell = \left\lceil C \frac{\log^{1/2} p \log\log\log p}{\log\log p} \right\rceil \quad \text{and} \quad d = 2 \left\lceil \frac{\log p}{\ell} \right\rceil$$

with some absolute constant $C > 0$ then the lattice reduction algorithm returns $\mathbf{v}$ with probability exponentially close to 1.

8.2.3. *Extended Hidden Number Problem, Lattices and Exponential Sums*

It has turned out that for many applications, including some results about the bit security of Diffie-Hellman, Shamir and some other cryptosystems [30,31,59,89,90,92] and rigorous results on attacks (following the heuristic arguments of [40,67]) on the DSA and DSA-like signature schemes [22,68,69], the condition that t is selected uniformly at random from $\mathbb{F}_p$ is too restrictive.

It has been systematically exploited in [22,30,31,59,68,69,89,90,92] that the method of [8] can be extended to the case where t is selected from a sequence $\mathcal{T}$ having some uniformity of distribution property.

Accordingly, we consider the following:

> Extended Hidden Number Problem, **EHNP**: *Recover a number $\alpha \in \mathbb{F}_p$ such that for many known random $t \in \mathcal{T}$ we are given* $\mathrm{MSB}_{\ell,p}(\alpha t)$ *for some $\ell > 0$.*

If $\mathcal{T} = \mathbb{F}_p$ then rather simple counting arguments of Section 8.2.2 show that the number of d-tuples $(t_1, \ldots, t_d) \in \mathbb{F}_p^d$ for which the algorithm of Lemma 8.1 returns a false vector is exponentially small. However for other sequences $\mathcal{T}$ one needs a result about the uniformity of distribution of $\mathcal{T}$.

In the quantitative form which is based on best known lattice reduction algorithms [1,2,43,44,53,71,72,80] this has been obtained in [68].

Recall that the *discrepancy* of an N-element sequence $\Gamma = \{\gamma_1, \ldots, \gamma_N\}$ of elements of the interval $[0, 1]$ is defined as

$$\mathcal{D}(\Gamma) = \sup_{J \subseteq [0,1]} \left| \frac{A(J, N)}{N} - |J| \right|,$$

where the supremum is extended over all subintervals J of $[0, 1]$, $|J|$ is the length of J, and $A(J, N)$ denotes the number of points γ_n in J for $0 \le n \le N - 1$.

We say that a finite sequence $\mathcal{T}$ of integers is Δ-*homogeneously distributed modulo* p if for any integer a, with $\gcd(a, p) = 1$ the discrepancy of the sequence $\{\lfloor at \rfloor_p / p\}_{t \in \mathcal{T}}$ is at most Δ.

In this case the arguments of Section 8.2.2 go through with only one change, namely (9) becomes

$$\Pr_{y \in \mathcal{T}} [\gamma t = y \pmod p \mid y \in [-h, h]] \le \frac{2h + 1}{p} + \Delta.$$

This leads to the following result from [68] which extends the algorithm of [8] to the **EHNP** with a general sequence $\mathcal{T}$.

Theorem 8.2: For a prime p, define $\ell = \lceil \log^{1/2} p \rceil + \lceil \log \log p \rceil$, and $d = 2 \left\lceil \log^{1/2} p \right\rceil$. Let $\mathcal{T}$ be a $2^{-\log^{1/2} p}$-homogeneously distributed modulo p sequence of integer numbers. There exists a deterministic polynomial time algorithm $\mathcal{A}$ such that for any fixed integer α in the interval $[0, p-1]$, given a prime p and $2d$ integers

$$t_i \quad \text{and} \quad u_i = \mathrm{MSB}_{\ell, p} (\alpha t_i), \qquad i = 1, \ldots, d,$$

its output satisfies for sufficiently large p

$$\Pr_{t_1, \ldots, t_d \in \mathcal{T}} [\mathcal{A}(p, t_1, \ldots, t_d; u_1, \ldots, u_d) = \alpha] \ge 1 - 2^{-(\log p)^{1/2} \log \log p}$$

if $t_1, \ldots, t_d$ are chosen uniformly and independently at random from the elements of $\mathcal{T}$.

It follows from Corollary 3.11 of [74], that $\mathcal{T}$ is Δ-homogeneously distributed modulo p with

$$\Delta = O\left(\frac{\log p}{\#\mathcal{T}} \max_{c=1, \ldots, p-1} \left| \sum_{t \in \mathcal{T}} \exp(2\pi i c t / p)) \right| \right). \tag{10}$$

The proof follows the same lines as the proof of Theorem 3.5 and is rather standard if one does not care about the hidden constant in the 'O'-symbol. However in order to get a small constant there one has to go through some technical complications, we refer to [74] for more details.

Therefore, in order to apply this result one can establish the uniformity of distribution of various sequences of $\mathcal{T}$ arising in cryptographic applications and thus one needs to estimate *exponential sums* with elements of $\mathcal{T}$. Thus bounds of exponential sums enter the problem. It has turned out that in some cases relevant exponential sums are well studied in number theory, and thus the corresponding cryptographic result follows immediately, for example, see Section 8.2.4. On the other hand, in some case the exponential sums are of very unusual structure which has no meaningful number theoretic interpretations and thus they have required special treatment, for example, see Section 8.2.5.

8.2.4. *Bit Security of the Diffie–Hellman Secret Key*

We recall the problem which underlies the Diffie–Hellman key exchange system: given an element g of order τ modulo p, find an efficient algorithm to recover Diffie–Hellman secret key $K = \lfloor g^{xy} \rfloor_p$ from $\lfloor g^x \rfloor_p$ and $\lfloor g^y \rfloor_p$.

Typically, either $\tau = p - 1$ (thus g is a primitive root) or $\tau = q$, a large prime divisor of $p - 1$.

The size of p and τ is determined by the present state of art in the *discrete logarithm problem*. Typically, p is at least about 500 bits, τ is at least about 160 bits.

However after the common DH key $K = \lfloor g^{xy} \rfloor_p$ is established, only a small portion of bits of K will be used as a common key for some pre-agreed *private* key cryptosystem.

Thus a natural question arises: *Assume that finding K is infeasible, is it still infeasible to find certain bits of K?*

In 1996, Boneh and Venkatesan [8] found very elegant links between the **EHNP** and the above problem.

Indeed, assume there is an efficient algorithm to find ℓ most significant bits of $\lfloor g^{xy} \rfloor_p$ from from $X = \lfloor g^x \rfloor_p$ and $Y = \lfloor g^y \rfloor_p$. Then, given $A = \lfloor g^a \rfloor_p$ and $B = \lfloor g^b \rfloor_p$ one can select a random $u \in [0, \tau - 1]$ one can apply the above algorithm to A and $U = \lfloor Bg^u \rfloor_p$ getting

$$\mathrm{MSB}_{\ell,p}\left(g^{a(b+u)}\right) = \mathrm{MSB}_{\ell,p}\left(\alpha g_a^u\right)$$

where $\alpha = \left\lfloor g^{ab} \right\rfloor_p$ and $g_a = g^a$. Thus we have a special case of the **EHNP**. Unfortunately the paper [8] has a minor gap in the proof of Theorem 2 of that paper. It is claimed that if g is a primitive root (that is, if $\tau = p-1$) then the obtained problem is exactly the **HNP**. However, this is true only if g_a is a primitive root as well, thus if $\gcd(a, p-1) = 1$.

To fix this gap and to extend the result to the case of $\tau < p-1$, M. I. Gonzalez Vasco and I. E. Shparlinski [30] have used the bounds of exponential sums from [50] which we have presented in Theorem 5.2 and Theorem 5.3.

Using (10) we see that under the conditions of Theorem 5.2 and Theorem 5.3 the sequence g^x, $x = 0, \ldots, T-1$, is $p^{-\delta}$-homogeneously distributed modulo p.

Combining this result with the above arguments and Theorem 8.2, one can obtain the following statement about the bit security of the Diffie–Hellman secret key.

For each integer $\ell \geq 1$ define the oracle $\mathcal{DH}_\ell$ as an 'black box' which given the values of $X = \left\lfloor g^x \right\rfloor_p$ and $Y = \left\lfloor g^y \right\rfloor_p$ outputs the value of $\mathrm{MSB}_{\ell,p}\left(g^{xy}\right)$.

Theorem 8.3: Let Q be a sufficiently large integer. The following statement holds with $\vartheta = 1/3$ for all primes $p \in [Q, 2Q]$, and with $\vartheta = 0$ for all primes $p \in [Q, 2Q]$ except at most $Q^{5/6+\varepsilon}$ of them. Let $k = \left\lceil \log^{1/2} p \right\rceil + \lceil \log\log p \rceil$. For any $\varepsilon > 0$, sufficiently large p and any element $g \in \mathbb{F}_p^*$ of multiplicative order $T \geq p^{\vartheta+\varepsilon}$, there exists a probabilistic polynomial time algorithm which for any pair $(a, b) \in [0, T-1]^2$, given the values of $A = \left\lfloor g^a \right\rfloor_p$ and $B = \left\lfloor g^b \right\rfloor_p$, makes $O\left(\log^{1/2} p\right)$ calls of the oracle $\mathcal{DH}_k$ and computes $\left\lfloor g^{ab} \right\rfloor_p$ correctly with probability $1 + O\left(2^{-\log^{1/2} p}\right)$.

8.2.5. *Attack on the Digital Signature Algorithm*

On the other hand, in some cases the corresponding exponential sums are new and require a separate study. For example, in [68] the sequence arising in the attack on the Digital Signature Algorithm (DSA) has been studied. We recall the DSA settings. Assume that q and p are primes with $q|p-1$ and that $g \in \mathbb{F}_p$ is a fixed element of multiplicative order q. Let $\mathcal{M}$ be the set of messages to be signed and let $h : \mathcal{M} \to \mathbb{F}_q$ be an arbitrary hash-function. They all (that is, p, q, g, $\mathcal{M}$, h) are *publicly* known.

The *secret key* is an element $\alpha \in \mathbb{F}_q^*$ which is known only to the signer.

To sign a message $\mu \in \mathcal{M}$, the signer chooses a random integer $k \in \mathbb{F}_q^*$ usually called the *nonce*, and which must be kept secret. We define the following two elements of $\mathbb{F}_q$:

$$r(k) = \left\lfloor \left\lfloor g^k \right\rfloor_p \right\rfloor_q, \qquad s(k,\mu) = \left\lfloor k^{-1} \left(h(\mu) + \alpha r(k)\right) \right\rfloor_q.$$

The pair $(r(k), s(k,\mu))$ is the *DSA signature* of the message μ with a nonce k.

The attack on the DSA which has been developed in [67] (and which simplifies and improves the attack from [40]) is based on the solving the **HNP** with the sequence

$$t(k,\mu) = \left\lfloor 2^{-\ell} r(k) s(k,\mu)^{-1} \right\rfloor_q, \qquad (k,\mu) \in \mathcal{S}, \tag{11}$$

where $\mathcal{S}$ is the set of pairs $(k,\mu) \in [1, q-1] \times \mathcal{M}$ with $s(k,\mu) \neq 0$.

Denote by W the number of solutions of the equation $h(\mu_1) = h(\mu_2)$, $\mu_1, \mu_2 \in \mathcal{M}$. Thus $W/|\mathcal{M}|^2$ is probability of collision and expected to be of order q^{-1} for any practically usable hash function.

In [69] the heuristic results of [67] have been made rigorous.

The central problem is bounding the exponential sums

$$T(c) = \sum_{(k,\mu)\in\mathcal{S}} \mathbf{e}_q\left(ct(k,\mu)\right)$$

where $\mathcal{S}$ the set of pairs $(k,\mu) \in [1, q-1] \times \mathcal{M}$ with $s(k,\mu) \neq 0$ (that is, the set of pairs (k,μ) for which $t(k,\mu)$ is defined).

The following bound of these sums uses

- bounds of exponential sums with exponential functions of S. V. Konyagin and I. E.Shparlinski [50] given by Theorems 5.2 and 5.3;
- **Weil's** bound given by Theorem 5.1;
- **Vinogradov's** method of estimates of double sums [100,101].

The **main difficulty** is that the double reduction erases any number theoretic structure among the values of $r(k)$.

Theorem 8.4: Let Q be a sufficiently large integer. The following statement holds with $\vartheta = 1/3$ for all primes $p \in [Q, 2Q]$, and with $\vartheta = 0$ for all primes $p \in [Q, 2Q]$ except at most $Q^{5/6+\varepsilon}$ of them. For any $\varepsilon > 0$ there

exists $\delta > 0$ such that for any $g \in \mathbb{F}_p$ of multiplicative order $q \ge p^{\vartheta+\varepsilon}$ the sequence (11) the bound

$$\max_{\gcd(c,q)=1} |T(c)| = O\left(W^{1/2} q^{3/2-\delta}\right)$$

holds.

Proof: For $\lambda \in \mathbb{F}_q$ we denote by $H(\lambda)$ the number of $\mu \in \mathcal{M}$ with $h(\mu) = \lambda$.

We also define the integer $a \in [1, q-1]$ by the congruence $a \equiv 2^{-\ell} c_0 \pmod q$.

We have

$$|T(c)| \le \sum_{\lambda \in \mathbb{F}_q} H(\lambda) \left| \sum_{\substack{k=1 \\ \alpha r(k) \not\equiv -\lambda \pmod q}}^{q-1} \mathbf{e}_q\left(a \frac{kr(k)}{\lambda + \alpha r(k)}\right) \right|.$$

Applying the Cauchy inequality we obtain

$$|T(c)|^2 \le \sum_{\lambda \in \mathbb{F}_q} H(\lambda)^2 \times \sum_{\lambda \in \mathbb{F}_q} \left| \sum_{\substack{k=1 \\ \alpha r(k) \not\equiv -\lambda \pmod q}}^{q-1} \mathbf{e}_q\left(a \frac{kr(k)}{\lambda + \alpha r(k)}\right) \right|^2.$$

The second sum does not depend on h anymore! (Vinogradov's trick) First of all we remark that

$$\sum_{\lambda \in \mathbb{F}_q} H(\lambda)^2 = W. \tag{12}$$

Furthermore,

$$\begin{aligned} &\sum_{\lambda \in \mathbb{F}_q} \left| \sum_{\substack{k=1 \\ \alpha r(k) \not\equiv -\lambda \pmod q}}^{q-1} \mathbf{e}_q\left(a \frac{kr(k)}{\lambda + \alpha r(k)}\right) \right|^2 \\ &\quad = \sum_{\lambda \in \mathbb{F}_q} \sum_{\substack{k=1 \\ \alpha r(k) \not\equiv -\lambda \pmod q}}^{q-1} \sum_{\substack{m=1 \\ \alpha r(m) \not\equiv -\lambda \pmod q}}^{q-1} \mathbf{e}_q\left(aF_{k,m}(\lambda)\right) \\ &\quad = \sum_{k,m=1}^{q-1} {}^{*}\sum_{\lambda \in \mathbb{F}_q} \mathbf{e}_q\left(aF_{k,m}(\lambda)\right), \end{aligned}$$

where

$$F_{k,m}(X) = \frac{kr(k)}{X + \alpha r(k)} - \frac{mr(m)}{X + \alpha r(m)}$$

and the symbol $\sum^*$ means that the summation in the inner sum is taken over all $\lambda \in \mathbb{F}_q$ with

$$\lambda \not\equiv -\alpha r(k) \pmod q, \qquad \lambda \not\equiv -\alpha r(m) \pmod q,$$

thus Theorem 5.1 applies (Weil's bound) **unless** $F_{k,m}(X)$ is constant in $\mathbb{F}_q$.

The function $F_{k,m}(X)$ is constant only if $k = m$ or $r(k) = r(m) = 0$ (in which case we use the trivial bound).

The condition $r(k) = 0$ is equivalent to

$$g^k \equiv qx \pmod p, \qquad k \in [1, q-1],\ x \in [0, L].$$

where

$$L = \left\lfloor \frac{p-1}{q} \right\rfloor.$$

Using Theorems 5.2 and 5.3 and the method of proof of Theorem 3.5, one can now prove that under the conditions of Theorem 8.4 the last congruence has $O(q^{1-\delta})$ solutions for some $\delta > 0$.

There are also q pairs $k = m$.

Putting everything together gives

$$|T(c)|^2 = O\left(W\left(q^2 \cdot q^{1/2} + (q + q^{2-2\delta})q\right)\right)$$

and the desired result follows. □

Using (10) we see that under the conditions of Theorem 8.4 the sequence (11) is $q^{-\delta/3}$-homogeneously distributed modulo q provided that

$$W \le \frac{(\#\mathcal{M})^2}{q^{1-\delta}}. \tag{13}$$

This result is based on a combination of the bounds of exponential sums with exponential functions from [50] given in Theorem 5.2 and Theorem 5.3, with the *Weil* bound, see [60] and the Vinogradov method of estimates of double sums. As we have mentioned, the inequality (13) usually holds in the stronger form $W = O\left(|\mathcal{M}|^2/q\right)$.

Then the above arguments together with Theorem 8.2 imply the following statement.

For an integer ℓ we define the oracle $\mathcal{DSA}_\ell$ which, for any given DSA signature $(r(k), s(k,\mu))$, $k \in [0, q-1]$, $\mu \in \mathcal{M}$, returns the ℓ least significant bits of k.

Theorem 8.5: Let Q be a sufficiently large integer. The following statement holds with $\vartheta = 1/3$ for all primes $p \in [Q, 2Q]$, and with $\vartheta = 0$ for all primes $p \in [Q, 2Q]$ except at most $Q^{5/6+\varepsilon}$ of them. For any $\varepsilon > 0$ there exists $\delta > 0$ such that for any element $g \in \mathbb{F}_p$ of multiplicative order q, where $q \ge p^{\vartheta+\varepsilon}$ is prime, and any hash function h satisfying (13), given an oracle $\mathcal{DSA}_\ell$ with $\ell = \left\lceil \log^{1/2} q \right\rceil + \lceil \log\log q \rceil$, there exists a probabilistic polynomial time algorithm to recover the DSA secret key α, from $O\left(\log^{1/2} q\right)$ signatures $(r(k), s(k,\mu))$ with $k \in [0, q-1]$ and $\mu \in \mathcal{M}$ selected independently and uniformly at random. The probability of success is at least $1 - 2^{-(\log\log q)\log^{1/2} q}$.

The same result holds for most significant bits and (in a marginally weaker form) for bit strings in the middle.

Practically: Numerical experiments, see [67,68] show that

- 4 bits of k are always enough,
- 3 bits are often enough,
- 2 bits are possibly enough as well.

Moral

(1) Do not use **small** k (to cut the cost of exponentiation in $r(k)$). This can be very tempting because there is no $K^{1/2}$-attack (Shank's *Baby–step–Giant–step* and Pollard's *Rho* do not apply) on $r(k)$ with $k \in [0, K]$.
(2) Protect your software/hardware against **timing/power attacks** when the attacker measures the time/power consumption and selects the signatures for which this value is smaller than "on average" – these signatures are likely to correspond to small values of k (because they correspond to faster exponentiation in $r(k)$, timing for other parts of the algorithm is about the same for all k and μ).
(3) Use quality **pseudorandom number generators** to generate k, biased generators are dangerous.

(4) Do not use **Arazi's cryptosystem** which combines DSA and Diffie-Hellman key exchange protocol – it leaks some bits of k (has been just noticed by *Don Brown & Alfred Menezes*, 2001).
(5) Do not buy CryptoLib from **AT&T**: it always uses odd values of k thus one bit is leaked immediately, one more and . . . . This was observed by Daniel Bleichenbacher and actually was the main motivation for studying this problem.

8.2.6. *Other Applications and Open Questions*

The method of the proof of Theorem 8.3 can be used to establish the bit security of several other exponentiation based cryptographic algorithms. Several such schemes, including the *ElGamal cryptosystem* (see Section 8.4 in [65]) and the *Shamir message passing scheme* (see Protocol 12.22 of [65]), have been outlined in [8,9]. As yet another example we also mention the *Matsumoto–Takachima–Imai key-agreement protocol*, see Section 12.6 of [65]. In fact the treatment of the Shamir message passing scheme in [8] has the same gap as the treatment of the Diffie-Hellman scheme. Accordingly, using exponential sums this gap has been fixed in [30].

In [90] several results on the recently introduced in [54,55] the *XTR cryptosystem*. However these results are substantially weaker than those known for the aforementioned. The main reason for this is that in studying the XTR the corresponding character sums are over small subgroups of *extension* fields arise and for such sums there is no analogue of Theorem 5.2 and Theorem 5.3. Accordingly, the paper [90] uses a different way of estimating the distribution of multipliers t of the corresponding **EHNP**. Unfortunately this leads to a substantially weaker result. To be more precise, to apply an analogue of the approach of Section 8.2.4 the XTR one needs to improve the bounds of the exponential sums

$$\max_{\gamma \in \mathbb{F}_{p^6}^*} \left| \sum_{t \in \mathcal{G}} \exp\left(2\pi i \mathrm{Tr}\left(\gamma t\right)/p\right) \right| \le p^3$$

where $\mathrm{Tr}(z) = z + z^p + \ldots + z^{p^5}$ is the trace of $z \in \mathbb{F}_{p^6}$ in $\mathbb{F}_p$ and $\mathcal{G}$ is a subgroup of $\mathbb{F}_{p^6}^*$, see Theorem 8.78 in [60] (combined with Theorem 8.24 of the same work) or the bound (3.15) in [50]. This bound is trivial for $\#\mathcal{G} \le p^3$ while the subgroups relevant to XTR are of size of order p^2. Thus in [90] an alternative approach has been used which is based on the fact,

even if the sequence $\mathcal{T}$ is not known to be homogeneously distributed but at least admits a non-trivial upper bound for the number of its elements in an interval one can still obtain some analogues of (9). Then the upper bound from [13] on the number of zeros of sparse polynomials can used to extract such information. However, the ball is now back to the exponential sum technique. Using some new bounds of short exponential sums in finite fields, W. W.-C. Li, M. Näslund and I. E. Shparlinski [59] proved for XTR a result of about the same strength as that know for the Diffie-Hellman scheme.

The result of Theorem 8.5 has been extended to other DSA-like signature schemes, including the *elliptic curve* version of DSA in [22,69]. In particular, the bound of [49] provides an analogue of Theorem 5.2 for exponential sums over an orbit generated by a point on an elliptic curve, see [69]. However some interesting questions still remain open. For example, for the *Nyberg–Rueppel* signature scheme the range of p and q in which the results of [22] are nontrivial are narrower than in practical applications. It is shown in [22] that the attack designed in that paper on the Nyberg–Rueppel signature scheme can be reduced to **EHNP** with the sequence of multipliers

$$r(k,\mu) = \left\lfloor \left\lfloor h(\mu) g^k \right\rfloor_p \right\rfloor_q, \qquad (k,\mu) \in [1, q-1] \times \mathcal{M}.$$

Unfortunately it is not clear how to estimate the exponential sums

$$\sum_{\mu \in \mathcal{M}} \sum_{k \in \mathbb{F}_q^*} \exp\left(2\pi i c r(k,\mu)\right), \qquad c \in [1, q-1],$$

and obtaining such a bound is an interesting open question. Using a rather indirect method, it has been shown in [22] that the sequence $r(k,\mu)$ is $2^{-\log^{1/2} q}$ homogeneously distributed modulo q, provided that

$$W \le \frac{(\#\mathcal{M})^2 q^{3-\delta}}{p^3}$$

for some $\delta > 0$. We remark that in the settings of the Nyberg–Rueppel signature scheme it is natural to assume that h is bijective, that is, $W = \#\mathcal{M}$. Also, if the message set $\mathcal{M}$ is "dense" (that is, $\#\mathcal{M}$ is of order p) then the above result holds for $q \ge p^{2/3+\delta}$. It would be very interesting to lower this bound.

Yet another modifications of the **HNP** has recently been introduced in [39]. Namely, that paper introduces the following

HIDDEN NUMBER PROBLEM WITH HIDDEN MULTIPLIER, **HNP-HM**: *Recover a number* $\alpha \in \mathbb{F}_p$ *such that for many unknown random* $t \in \mathcal{T}$ *we are given* $\mathrm{MSB}_{\ell,p}(\alpha t)$, $\mathrm{MSB}_{\ell,p}(t)$ *and* $\mathrm{MSB}_{\ell,p}(\alpha)$ *for some* $\ell > 0$.

In the case $\mathcal{T} = \mathbb{F}_p^*$ and $\ell \ge (4/5 + \varepsilon) \log p$ the paper [39] provides a polynomial time algorithm for the **HNP-HM**. In fact it also works in more general residue rings (which is important for applications to [78]). As one can see this result is substantially weaker than those known for **HNP** and **EHNP** where one can take ℓ of order $\log^{1/2} p$. However, using exponential sums, it has been shown in [39] that indeed for **HNP-HM** to have a unique solution the value of ℓ must be very large. Namely for $\ell \le (1/2 + \varepsilon) \log p$ there can be exponentially many possibilities for α.

The aforementioned algorithm has been used in [39] to establish a certain bit security result for the "timed-release crypto" introduced by Rivest, Shamir and Wagner [78] and also to design a "correcting" algorithm for noisy exponentiation black-boxes.

It is an interesting and challenging problem to study **HNP-HM** for more general sequences $\mathcal{T}$, in particular for subgroups of $\mathbb{F}_p^*$.

In the case $\mathcal{T} = \mathbb{F}_p^*$ the paper [9] provides a *non-uniform* polynomial time algorithm for the **HNP** which works with $\ell = O(\log \log p)$. We recall that non-uniformity means that the algorithm exists but to actually design this algorithm one may need exponential time (thus such algorithms are of rather limited value). Nevertheless it would be of interest to extend this result to subgroups of $\mathbb{F}_p^*$. In order to get such a generalisation one needs an analogue of Lemma 2.4 for subgroups and this seems to be a rather feasible task taking into account the bounds of exponential sums of Theorem 5.2 and Theorem 5.3.

Finally, several more modifications of the **HNP** have been considered in the papers [7,29,48,59,93,94,99]. However they are of more algebraic than geometric nature and lattices have not been involved in their study.

9. Applications to Algorithms

9.1. *Primitive Roots*

The **main problem** in this area can be described as follows: Given a finite field $\mathbb{F}_q$, find a primitive root of $\mathbb{F}_q$.

Unfortunately obtaining a deterministic polynomial time algorithm for

this problem seems to be out of reach nowadays. In particular, just primitivity testing is already seems infeasible without the knowledge of the integer factorization of $q-1$.

Thus one can try to compromise and consider a presumably simpler problem: Given a field $\mathbb{F}_q$, find a small set $M \subset \mathbb{F}_q$ containing at least one primitive root of $\mathbb{F}_q$.

In fact for many applications one can just use all elements from M without testing which one is primitive.

Fortunately, for this problem some efficient algorithms have been designed by Shoup [82] and Shparlinski [83] who proved that for any p and n, in time $pn^{O(1)}$ one can find a set $M \subseteq \mathbb{F}_{p^n}$ of size

$$|M| = O(pn^{6+\varepsilon})$$

containing at least one primitive root of $\mathbb{F}_{p^n}$.

This result has been slightly improved in [45] where it has been shown that for any p and n, in time $p^{1/2}n^{O(1)}$ one can find a set $M \subseteq \mathbb{F}_{p^n}$ of size

$$|M| = O(p^{1/2}n^{O(1)})$$

containing at least one primitive root of $\mathbb{F}_{p^n}$.

Several more related results can also be found in [85].

In particular, if p is fixed (for example, $p = 2$) then the set M in the above constructions is of polynomial size.

Certainly there is no need to stress that exponential and character sums play a central role in the aforementioned constructions.

More precisely, they rely on the following bound obtained by Carlitz [15] and the rediscovered by Katz [46].

Let r be a prime power and let α be a root of an irreducible polynomial of degree k over $\mathbb{F}_r$ and let χ be a multiplicative character of $\mathbb{F}_{r^k}$. Then

$$\left| \sum_{t \in \mathbb{F}_r} \chi(\alpha + t) \right| \le kr^{1/2}. \tag{14}$$

The bound is nontrivial for $k \le r^{1/2-\varepsilon}$. For k of this order the sum is very **short** compared to the field size. Therefore, we have a "small" set with a non-trivial bound of character sums; thus we can study the distribution of primitive roots in such sets. In [77] this bound has been extended to sums over sequences of consecutive integers of length $h < r$ (where r is a prime number).

It is very tempting to try to fix a small subfield $\mathbb{F}_r \subset \mathbb{F}_q$ (with, say, $r \sim \log^6 q$), find an irreducible polynomial $f \in \mathbb{F}_r[X]$ of degree $k = \log q / \log r$ and put $M = \mathbb{F}_r + \alpha$, $f(\alpha) = 0$.

Certainly this *naive way* has an obvious flaw — the required subfield may not exist.

However, there is a way go get around this problem.

Let $q = p^n$. Select

$$k = \left\lfloor \frac{\log q}{6 \log \log q} \right\rfloor,$$

find an irreducible polynomial $f \in \mathbb{F}_q[X]$ of degree k and construct $\mathbb{F}_{q^k}$. Then we have $\mathbb{F}_{p^k} \subset \mathbb{F}_{q^k}$ and the field $\mathbb{F}_{p^k}$ is of the required size, so our naive approach applies to the field $\mathbb{F}_{q^k}$ producing a small set R containing a primitive root of $\mathbb{F}_{q^k}$. And wow we "return" to $\mathbb{F}_q$ by putting

$$M = \{\rho^{(q^k-1)/(q-1)} \ : \ \rho \in R\}.$$

Obviously, if ρ is primitive root of $\mathbb{F}_{q^k}$ then $\rho^{(q^k-1)/(q-1)}$ is primitive root of $\mathbb{F}_q$. Hence M contains a primitive root.

Despite that we still cannot identify this primitive root among the elements of M, the above approach can be useful for several problems in coding theory, cryptography, graph theory, combinatorial designs, pseudorandom number generators, sparse polynomial interpolation and some other areas.

9.2. *Pseudorandom Regular Graphs*

One of the most challenging problems in this area is finding explicit constructions of "sparse" regular graphs of small diameter. This problem is closely related to the problem of constructing "sparse" regular graphs with small second largest eigenvalue.

Such graphs have numerous applications in combinatorics, networking, coding theory, complexity theory ... and they are just nice.

Let us fix a set $S = \{s_1, \ldots, s_r\} \in \mathbb{Z}/m\mathbb{Z}$.

The *difference graph* $G(S, m)$ is an m-vertex directed graph such that vertices i and j are connected if and only if the residue of $i - j$ modulo m is in S.

Similarly one can define undirected the *sum graphs*.

Here we consider only difference graphs.

It is easy to show by using the properties of circulant matrices that the *eigenvalues* of $G(S, m)$ are given by

$$\lambda_{k+1} = \sum_{\nu=1}^{r} \exp(2\pi i k s_\nu / m), \qquad k = 0, \ldots, m-1.$$

The following construction has been proposed by F. R. K. Chung [16], see also [17]

Let $f \in \mathbb{F}_q[x]$ be an irreducible polynomial of degree $\deg f = n$. Fix a root $\alpha \in \mathbb{F}_{q^n}$ of f, thus $\mathbb{F}_q(\alpha) = \mathbb{F}_{q^n}$.

Then one the graph $G(f, n, q)$ is defined as follows: We identify the vertices of $G(f, n, q)$ with elements of $\mathbb{F}_{q^n}^*$ and we connect the vertices $\tau, \mu \in \mathbb{F}_{q^n}^*$ if and only if $\tau = \mu(\alpha + t)$ for some $t \in \mathbb{F}_q$.

It has been shown in [16] that the bound (14) implies the following result:

Theorem 9.1: If $q^{1/2} > n - 1$ then $G(f, n, q)$ is a connected q-regular graph with $|G(f, n, q)| = q^n - 1$ vertices and the diameter

$$D(G(f, n, q)) \le 2n + 1 + \frac{4n \log n}{\log q - 2 \log(n-1)},$$

Moreover, for the second largest eigenvalue the bound

$$\lambda(G(f, n, q)) \le (n-1) q^{1/2}$$

holds.

The above construction has been generalised in [84]. For a prime number p and an integer h with $1 \le h < p$ the graph $G(f, n, p, h)$ is defined as follows: We identify the vertices of $G(f, n, p, h)$ with elements of $\mathbb{F}_{p^n}^*$ and we connect the vertices $\tau, \mu \in \mathbb{F}_{q^n}^*$ if and only if $\tau = \mu(\alpha + t)$ for some $t \in \{0, \ldots, h-1\}$.

It has been shown in [84] the bound of exponential sums of [77], generalising (14), allows to obtain non-trivial results for such graphs, provided that $p^{1/2+\varepsilon} \le h \le p$. In particular, for the second largest eigenvalue of $G(f, n, p, h)$ the bound

$$\lambda(G(f, n, p, h)) = O(n p^{1/2} \log p)$$

holds.

Despite these and many other important applications of exponential sums to graph theory. Sometimes other number theoretic methods give

more exact results. For example, for very large q a better bound on the diameter (about n rather than $2n$ has been obtained by S. D. Cohen [18,19]. The method is based on more sophisticated tools, namely on the Lang–Weil bound for algebraic varieties rather than on the Weil bound for curves, see also [47].

Several more exciting links between exponential sums and graph theory can be found in [57,58].

9.3. *Polynomial Factorisation*

A nice application of bounds of character sums to polynomial factorisation over finite fields has been found by V. Shoup [81].

It is well known that the polynomial factorisation problem can be easily be reduced factorization of squarefree polynomials over prime fields.

The algorithm is very simple, to factor a squarefree polynomial $f \in \mathbb{F}_p[X]$ we compute

$$L_t(X) = \left((X+t)^{(p-1)/2} - 1, f(X)\right), \quad t = 0, 1, \ldots, Q,$$

where Q is the main parameter of the algorithm, hoping that at least one polynomial L_t is *nontrivial*, that is, is equal to neither 1 nor f.

For each t the polynomial L_t can be computed in a very efficient way, if one uses repeated squaring to compute

$$g_t(X) \equiv (X+t)^{(p-1)/2} \pmod{f(X)}, \qquad \deg g_t < \deg f$$

and then computer

$$L_t(X) = \gcd\left(g_t(X) - 1, f(X)\right)$$

via the Euclid algorithm.

We recall that for $x \in \mathbb{F}_p$, the equation $x^{(p-1)/2} = 1$ holds if and only if x is a quadratic residue modulo p.

Hence, if L_t is trivial then for any two distinct roots a, b of f we have

$$\chi(a+t) = \chi(b+t), \quad t = 0, 1, \ldots, Q,$$

where χ is the quadratic character. Because $a \neq b$, the case $\chi(a+t) = \chi(b+t) = 0$ is not possible. Therefore, if all out attempts fail then

$$\sum_{t=0}^{Q} \chi\left((a+t)(b+t)\right) = Q + 1.$$

On the other hand, V. Shoup [81] has noticed that the Weil bound implies that sums of this type are of order $p^{1/2} \log p$.

Therefore, for some $Q = O(p^{1/2} \log p)$ one of the L_t is nontrivial!

It has been shown in [86] that in fact the same statement holds for some $Q = O(p^{1/2})$. This leads to the best known **deterministic** polynomial factorization algorithm.

Moreover J. von zur Gathen and I. E. Shparlinski [26] have shown that the same technique leads to a **deterministic** algorithm for finding all rational points of a plane curve in polynomial time "on average" per point. This may have applications to algebraic-geometry codes and maybe to some other areas.

9.4. *Complexity Lower Bounds*

Exponential sums can be an efficient tool not only in algorithm design and analysis, but in establishing lower complexity bounds of some problems as well.

For example, it has been shown by J. von zur Gathen and I. E. Shparlinski [27] that, for some absolute constant $c > 0$, if the modulus m is not highly composite (for example, if m is prime) then computing the inversion $x^{-1} \pmod m$ takes at least $c \log \log m$ for the parallel time on an exclusive-write parallel random access machine (CREW PRAM). It is remarkable that if m has many small prime divisors (that is, it is highly composite). then one can compute $x^{-1} \pmod m$ in $O(\log \log m)$ on a CREW PRAM, see [25]. Despute that generaly speaking these lower bounds and algorithm require somewhat opposite properties of the moduli, there is a wide class of moduly where they both apply and match each other, thus giving a very rare example of a nontrivial complexity theory problem where the lower and upper bounds coincide. For example, this holds for moduli $m = p_1 \cdots p_k$, where $p_1, \ldots, p_k$ are any $k = \lceil s/\log s \rceil$ prime numbers between s^3 and $2s^3$.

Applications of exponential sums to estimating Fourier coefficient of various Boolean functions related to several cryptographic and number theoretic problmes can be found in [20,87,88].

10. Tutorial Problems

Problem 10.1: Let

$$S(a) = \sum_{x=1}^{p-1} \mathbf{e}_p(ax^n).$$

From the bound

$$\max_{1 \le a \le p-1} |S(a)| \le np^{1/2}$$

derive that the number of the n-th degree residues (that is, integers $a \not\equiv 0 \pmod p$ for which the congruence $a \equiv z^n \pmod p$ is solvable) in any interval $[k+1, k+h]$ of length $1 \le h \le p$ is $h/n + O(np^{1/2} \log p)$.

Problem 10.2: Show that for a fixed n and sufficiently large p and c can be represented as

$$c \equiv x^n + y^n + z^n \pmod p, \quad 0 \le x, y, z \le p-1.$$

Hint: For $c \equiv 0 \pmod p$ this is obvious. For $c \not\equiv 0 \pmod p$ the last congruence is solvable if and only if $cw^n \equiv x^n + y^n + z^n \pmod p$, with some $0 \le x, y, z \le p-1,\ 1 \le w \le p-1$.

Problem 10.3: Let

$$S(a, b) = \sum_{x=1}^{p-1} \mathbf{e}_p(ax^n + bx)$$

Prove that

$$\sum_{u,v=0}^{p-1} |S(u, v)|^4 \le 2np^4$$

Problem 10.4: Show that for $b \not\equiv 0 \pmod p$

$$|S(a, b)| \le 2n^{1/4} p^{3/4}.$$

Hint: For any $y \not\equiv 0 \pmod p$, $S(a, b) = S(ay^n, by)$, therefore

$$(p-1)|S(a, b)|^4 \le \sum_{u,v=0}^{p-1} |S(u, v)|^4$$

Problem 10.5: Let $n|p-1$. Prove that for $b \not\equiv 0 \pmod{p}$

$$|S(a,b)| \le p/n^{1/2}$$

Hint: Let $k = (p-1)/n$. For $y \not\equiv 0 \pmod{p}$,

$$\begin{aligned} S(a,b) &= \sum_{x=1}^{p-1} \mathbf{e}_p\left(a(xy^k)^n + bxy^k\right) \\ &= \sum_{x=1}^{p-1} \mathbf{e}_p\left(ax^n + bxy^k\right). \end{aligned}$$

Thus

$$\begin{aligned} (p-1)|S(a,b)| &= \left|\sum_{x=1}^{p-1} \mathbf{e}_p\left(ax^n\right) \sum_{y=1}^{p-1} \mathbf{e}_p\left(bxy^k\right)\right| \\ &\le \sum_{x=1}^{p-1} \left|\sum_{y=1}^{p-1} \mathbf{e}_p\left(bxy^k\right)\right| \\ &\le \left(p \sum_{x=1}^{p-1} \left|\sum_{y=1}^{p-1} \mathbf{e}_p\left(bxy^k\right)\right|^2\right)^{1/2}. \end{aligned}$$

Problem 10.6: Combine the previous bound with the Weil bound

$$|S(a,b)| \le np^{1/2}$$

and show that that for *any* $n|p-1$

$$|S(a,b)| \le p^{5/6}.$$

Problem 10.7: Show that for any quadratic character χ and $a \not\equiv b \pmod{p}$

$$\sum_{x=0}^{p} \chi(x+a)\chi(x+b) = -1.$$

Problem 10.8: Show that for any nontrivial multiplicative character χ and $a \not\equiv b \pmod{p}$

$$\sum_{x=0}^{p} \chi(x+a)\overline{\chi(x+b)} = -1.$$

where $\overline{z}$ denotes the complex conjugation.

Problem 10.9: Show that for any arbitrary subsets $\mathcal{X}, \mathcal{Y} \in \mathbb{F}_p$ and any nontrivial multiplicative character χ,

$$\left| \sum_{x \in \mathcal{X}} \sum_{y \in \mathcal{Y}} \chi(x+y) \right| \le (p \# \mathcal{X} \# \mathcal{Y})^{1/2}.$$

Problem 10.10: Show that for any nontrivial multiplicative character χ and $a \not\equiv 0 \pmod p$

$$\left| \sum_{x=0}^{p} \chi(x) \mathbf{e}_p(ax) \right| = p^{1/2}.$$

Hint: For any $y \not\equiv 0 \pmod p$,

$$\sum_{x=0}^{p} \chi(x) \mathbf{e}_p(ax) = \sum_{x=0}^{p} \chi(xy) \mathbf{e}_p(ayx).$$

therefore

$$(p-1) \left| \sum_{x=0}^{p} \chi(x) \mathbf{e}_p(ax) \right|^2 = \sum_{b=1}^{p-1} \left| \sum_{x=0}^{p} \chi(x) \mathbf{e}_p(bx) \right|^2.$$

Problem 10.11: Let $n | p-1$ and Ω_n be the set of all multiplicative characters χ for which χ^n is the trivial character, $\chi^n = \chi_0$. Prove that $|\Omega_n| = n$ and that

$$\sum_{\chi \in \Omega_n} \chi(u) = \begin{cases} n, \text{ if } u \equiv x^2 \pmod p \text{ is solvable,} \\ 0, \text{ otherwise.} \end{cases}$$

Problem 10.12: Let $n | p-1$. Prove that

$$\max_{1 \le a \le p-1} \left| \sum_{x=1}^{p-1} \mathbf{e}_p(ax^n) \right| \le np^{1/2}$$

Hint: Show that

$$\sum_{x=1}^{p-1} \mathbf{e}_p(ax^n) = \sum_{x=1}^{p-1} \mathbf{e}_p(ax) \sum_{\chi \in \Omega_n} \chi(x).$$

Problem 10.13: The following sums are known as *Kloosterman sums*

$$K(a,b) = \sum_{x=1}^{p} \mathbf{e}_p(ax + bx^{-1})$$

where x^{-1} is the inverse modulo p of x. Using the Weil bound

$$\max_{\gcd(a,b,p)=1} |K(a,b)| \le 2p^{1/2},$$

derive an upper bound on incomplete sums

$$K_{M,N}(b) = \sum_{x=M+1}^{M+N} \mathbf{e}_p(bx^{-1})$$

and then the asymptotic formula for the number of $x \in [M+1, M+N]$ for which

$$x^{-1} \pmod p \in [k+1, k+h],$$

for integers M, N, k, h, $1 \le h, N \le p$.

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