

Recognition of Classical Groups of Lie Type

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Linear groups

Let $q = p^a$ for some prime p and $\mathbb{F} = \mathbb{F}_q$ a field with q elements. Consider the vector space \mathbb{F}_q^n .

- $GL(n, q)$: the group of all invertible $n \times n$ matrices with entries in \mathbb{F}_q . The **general linear group**.
- $SL(n, q)$: the group of all invertible $n \times n$ matrices with entries in \mathbb{F}_q and determinant 1. The **special linear group**.

Invariant Forms

Let $q = p^a$ for some prime p and $\mathbb{F} = \mathbb{F}_q$ a field with q elements. Consider the vector space $V = \mathbb{F}_q^n$. Let $G \leq \text{GL}(n, q)$. Define a bilinear form $f = (\cdot, \cdot)$ on V .

Definition

f is **invariant** under G if $f(ug, vg) = f(u, v)$ for all $g \in G$.

f is **invariant modulo scalars** under G if for any $g \in G$ there exists $c_g \in \mathbb{F}_q^*$ with $f(ug, vg) = c_g f(u, v)$.

There is a matrix M_f such that $f(v, w) = vM_f w^T$.

f is **invariant** under G if $gM_f g^T = M_f$ for all $g \in G$.

The symplectic group

Let $q = p^a$ for some prime p and $\mathbb{F} = \mathbb{F}_q$ a field with q elements. Consider the vector space $V = \mathbb{F}_q^n$. Define a bilinear form $f = (\cdot, \cdot)$ on V .

- f is **non-degenerate** if $\forall w \in V f(v, w) = 0 \Rightarrow v = 0$
- f is **alternating** if $f(v, v) = 0$ for all $v \in V$.
- if f is alternating then $f(v, w) = -f(w, v)$, i.e. f skew-symmetric.
- if V has a non-deg., alternating bilinear form, then n even
- any two non-degenerate, alternating bilinear forms on V are equivalent up to a change of basis

The symplectic Group

Symplectic Group

Let f be a non-degenerate, alternating bilinear form on $V = \mathbb{F}_q^{2n}$.

- The **symplectic group** $\mathrm{Sp}(2n, q)$ is the group of all invertible $(2n) \times (2n)$ matrices with entries in \mathbb{F}_q which leave f invariant.
- The **general symplectic group** $\mathrm{GSp}(2n, q)$ is the group of all invertible $(2n) \times (2n)$ matrices with entries in \mathbb{F}_q which leave f invariant **modulo scalars**.

The symplectic group

Example

Let $q = p^a$ for some prime p and $\mathbb{F} = \mathbb{F}_q$. Let $V = \mathbb{F}_q^4$.
Let

$$A = \begin{pmatrix} 0 & 0 & 0 & 1 \\ 0 & 0 & 1 & 0 \\ 0 & -1 & 0 & 0 \\ -1 & 0 & 0 & 0 \end{pmatrix}.$$

Define $f : V \times V \rightarrow \mathbb{F}_q$ by $f(v, w) = vAw^T$. Then f is a non-degenerate, alternating bilinear form on V .

The symplectic group

Example

$$\mathrm{Sp}(4, 17) = \left\langle \begin{pmatrix} 3 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 6 \end{pmatrix}, \begin{pmatrix} 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 1 & 1 & 0 \\ 0 & 16 & 0 & 0 \end{pmatrix} \right\rangle.$$

Summary

Some of the finite classical groups of Lie type are:

- *linear groups*: $SL(n, q)$.
- *symplectic groups*: $Sp(n, q)$, n even.
- *orthogonal groups*: $\Omega^\epsilon(n, q)$,
$$\epsilon = \begin{cases} \pm & n \text{ even} \\ \circ & n \text{ odd (and hence also } q) \end{cases}$$
- *unitary groups*: $SU(n, q)$.

The groups Ω and Δ

Name	Ω	Δ	Note
<i>linear groups</i>	$SL(n, q)$	$GL(n, q)$	
<i>symplectic groups</i>	$Sp(n, q)$	$GSp(n, q)$	n even
<i>orthogonal groups</i>	$\Omega^\epsilon(n, q)$	$GO^\epsilon(n, q)$	$\epsilon = \begin{cases} \pm & n \text{ even} \\ \circ & n \text{ odd} \end{cases}$
<i>unitary groups</i>	$SU(n, q)$	$GU(n, q)$	$V = \mathbb{F}_{q^2}^n$

formulas for the orders of Ω

Theorem

Let Ω be one of the groups of Lie type in characteristic p with $q = p^a$ given before and $n \geq 2$. Then

$$|\Omega| = \frac{1}{\ell} q^h P(q),$$

Ω	ℓ	h	$P(q)$
$SL(n, q)$		$\binom{n}{2}$	$\prod_{i=2}^n (q^i - 1)$
$Sp(2m, q)$		m^2	$\prod_{i=1}^m (q^{2i} - 1)$
$\Omega^\circ(2m+1, q)$	2	m^2	$\prod_{i=1}^m (q^{2i} - 1)$
$\Omega^+(2m, q)$	$(2, q - 1)$	$m(m - 1)$	$(q^m - 1) \prod_{i=1}^{m-1} (q^{2i} - 1)$
$\Omega^-(2m, q)$	$(2, q - 1)$	$m(m - 1)$	$(q^m + 1) \prod_{i=1}^{m-1} (q^{2i} - 1)$
$SU(n, q)$		$\binom{n}{2}$	$\prod_{i=2}^n (q^i - (-1)^i)$

Goal

Question

Neubüser asked in 1988: Given $G \leq GL(n, q)$ give an algorithm to decide whether $SL(n, q) \leq G$.

A first answer

Algorithm by Neumann and Praeger (1992). “A recognition algorithm for special linear groups.” Proc. London Math. Soc. (3) 65 (1992), no. 3, 555-603.

Runtime: $O(n^4 \log(q))$.

Today's aim

Introduce an algorithm by N. and Praeger that answers the question whether a group $G \leq GL(n, q)$ acting absolutely irreducibly on the underlying vector space with knowledge about all preserved forms contains a corresponding classical group.

Background from Number Theory

Let a and m be positive integers. The least positive integer e with $a^e \equiv 1 \pmod{m}$ is called the **order of a modulo m** , denoted $\text{ord}_m(a)$.

If $\gcd(a, m) = 1$ then $e = |\langle a \rangle|$ in \mathbb{Z}_m^* . In particular, $e \mid \varphi(m)$ and $e = \varphi(m)$ if and only if a is a primitive root modulo m .

Primitive Prime Divisor Elements

Let b and m be positive integers with $\gcd(b, m) = 1$ and $e = \text{ord}_m(b)$.

Then $b^\ell \equiv 1 \pmod{m}$ if and only if $\ell = ce$ for some positive integer c .

s prime

$b^{s-1} \equiv 1 \pmod{s}$ thus e divides $s - 1$. In particular, $s = ce + 1$.

Definition

For positive integers b, e with $b > 1, e > 1$, a prime s is called a **primitive prime divisor** (or ppd) of $b^e - 1$, if $b^e - 1$ is divisible by s , but s does not divide $b^i - 1$ for $i < e$. A ppd s is called **large** if either

- (a) $s \geq 2e + 1$, or
- (b) $s = e + 1$ and s^2 divides $b^e - 1$.

Thus s is a ppd of b^e , if and only if $e = \text{ord}_s(b)$.

Example

Consider $b = 7$. Then

$$7^1 - 1 = 2 \cdot 3$$

$$7^2 - 1 = 2^4 \cdot 3$$

$$7^3 - 1 = 2 \cdot 3^2 \cdot 19$$

$$7^4 - 1 = 2^5 \cdot 3 \cdot 5^2$$

$$7^5 - 1 = 2 \cdot 3 \cdot 2801$$

$$7^6 - 1 = 2^4 \cdot 3^2 \cdot 19 \cdot 43$$

- 19 is a ppd of $b^3 - 1$ but 19 is not a ppd of $b^6 - 1$.
- 19 is a large ppd of $b^3 - 1$ because $19 > 2 * 3 + 1$.
- 5 is a ppd of $b^4 - 1$
- 5 is a large ppd of $b^4 - 1$ because, even though $5 = 4 + 1$, we have 5^2 divides $b^4 - 1$.

Definition

For a prime p and positive integers z, e with $z \geq 1, e > 1$, and $q = p^z$, a prime s is called a **basic primitive prime divisor** (or ppd) of $q^e - 1$, if $q^e - 1$ is divisible by s , but $p^i - 1$ is not divisible by s for $i < ze$.

Example

Let $q = 7^2$, so $p = 7$ and $z = 2$.

$$7^1 - 1 = 2 \cdot 3$$

$$7^2 - 1 = 2^4 \cdot 3 = 49 - 1 = q - 1$$

$$7^3 - 1 = 2 \cdot 3^2 \cdot 19$$

$$7^4 - 1 = 2^5 \cdot 3 \cdot 5^2 = 49^2 - 1 = q^2 - 1$$

$$7^5 - 1 = 2 \cdot 3 \cdot 2801$$

$$7^6 - 1 = 2^4 \cdot 3^2 \cdot 19 \cdot 43 = 49^3 - 1 = q^3 - 1$$

Thus 19 is a ppd of $49^3 - 1$ but 19 is not a basic ppd.

Existence of primitive prime divisors

Theorem (Zsigmondy 1892)

Let b, e be positive integers with $b \geq 2$, $e \geq 3$ and $(b, e) \neq (2, 6)$, then $b^e - 1$ has a primitive prime divisor.

Theorem (Hering and Feit (1974, 1988))

If $b \geq 2$, $e \geq 3$ then $b^e - 1$ has a large prime primitive divisor, except when

b	e
2	4, 6, 10, 12, 18
3	4, 6
5	6

Definition

Let q be a prime power. Then $g \in GL(n, q)$ is called a **ppd($n, q; e$)-element** if $n/2 < e \leq n$ and $q^e - 1$ has a ppd s that divides $o(g)$.

Generic Parameters

Definition

We say that (X, n, q) are **generic** if $\Omega \leq X \leq \Delta$ and n and q are such that

- Ω contains a $\text{ppd}(n, q; e_1)$ and a $\text{ppd}(n, q; e_2)$ -elements for some $n/2 < e_1 < e_2 \leq n$.
- Ω contains a **basic** $\text{ppd}(n, q; e)$ -element for some $n/2 < e \leq n$.
- Ω contains a **large** $\text{ppd}(n, q; e)$ -element for some $n/2 < e \leq n$.

Recognition Theorem

hypotheses

Let $G \leq \Delta(n, q)$ with $q = p^z$ and p prime, $n \geq 3$ and (Ω, n, q) generic.

- G acts absolutely irreducibly on $V = \mathbb{F}_q^n$
- G leaves invariant only the forms corresponding to $\Omega(n, q)$
- G contains $\text{ppd}(n, q; e_1)$ and a $\text{ppd}(n, q; e_2)$ -element with $n/2 < e_1 < e_2 \leq n$
- there are e_3, e_4 with $n/2 < e_3, e_4 \leq d$ such that G contains a large $\text{ppd}(n, q; e_3)$ -element and a basic $\text{ppd}(n, q; e_4)$ -element.

Recognition Theorem

Theorem [N., Praeger [5]]

Suppose G satisfies the **hypotheses**. Then one of the following holds:

- **[Classical Group]**: G contains Ω
- **[extension field example]**: there is a prime divisor b of n and $G \sim H \leq \text{GL}(n/b, q^b).b$.
- **[nearly simple example]**: $G' = \text{PSL}(2, r)$, for a prime r with $n = \frac{r \pm 1}{2}$, $e_1 = \frac{r-3}{2}$, $e_2 = \frac{r-1}{2}$ with ppds $s_1 = \frac{r-1}{2}$ and $s_2 = r$, or G' is one of the groups in Table 1.

Table 1

G'	n	e_1	e_2	r_1	r_2	$p = q$
$2 \cdot A_7$	4	3	4	7	5	$p \geq 23$
A_7	4	3	4	7	5	$p = 2$
M_{11}	5	4	5	7	11	$p = 3$
$2 \cdot M_{12}$	6	4	5	7	11	$p = 3$
M_{23}	11	10	11	11	23	$p = 2$
M_{24}	11	10	11	11	23	$p = 2$

The proof is based on:

Guralnick, Penttila, Praeger, Saxl. “Linear groups with orders having certain large prime divisors”. *J Proc. London Math. Soc.* (3) 78, 1999.

Properties of ppd-elements

Let g be a $\text{ppd}(n, q; e)$ -element in $GL(n, q)$. Let $f(x)$ be its characteristic polynomial. Then

- $f(x)$ has an irreducible factor of degree e .
- V as $\langle g \rangle$ -module has an irreducible $\langle g \rangle$ -submodule W of dimension e .

Test whether a matrix is a $\text{ppd}(n,q;e)$ -element

Algorithm 1: ISPPD

Input: q and $g \in \text{GL}(n, q)$

Output: (e, large) or $(e, \text{not large})$ or false , $e > n/2$

if $\text{CHAR}(g)$ has no irr. fact. c of deg. $e > n/2$ **then return** false ;

$\text{PPDs} := q^e - 1$;

for $i = 1 \dots e - 1$ **do**

$m := \text{GCD}(\text{PPDs}, q^i - 1)$;

$\text{PPDs} := \text{PPDs}/m$;

end

PPDs contains all ppds with multiplicity; # M contains no pdds;

$M := (q^e - 1)/\text{PPDs}$; $y := x^M \pmod{c(x)}$;

if $y = 1$ **then return** false ;

if $y^{(e+1)} \neq 1$ **then return** e, large ;

return $e, \text{not large}$;

Satz

The costs of ISPPD are:

- 1 $O(n^2 \log^2(q))$ per GCD computation
- 2 $O(n^3 \log^2(q))$ for the loop for PPDs and M
- 3 $O(n^3 \log(q))$ for the characteristic polynomial
- 4 $O(n^3 \log(q))$ to factor the char. pol.
- 5 $O(\log(M))$ polynomial multiplications for x^M . As $M \leq q^n - 1$ these are at most $O(n \log(q))$ polynomial multiplications.
- 6 $O(\log(n))$ polynomial multiplications for $y^{(e+1)}$.

As we work in $\mathbb{F}[x]/(c(x))$, polynomials have degree $e \leq n$. Polynomial multiplication and reduction modulo $c(x)$ costs $O(n^2 \log(q))$.

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- 6 $O(\log(n))$ polynomial multiplications for $y^{(e+1)}$.

Total costs

$$O(n^3 \log(q)^2)$$

Proportion of $\text{ppd}(n, q; e)$ -elements

Theorem [N. & Praeger]

Let $n/2 < e \leq n$. Let $\Omega \leq G \leq \Delta$. The proportion $\rho_{\text{ppd}(n, q; e)}$ of $\text{ppd}(n, q; e)$ -elements in G satisfies

$$\frac{1}{e+1} \leq \rho_{\text{ppd}(n, q; e)} \leq \frac{1}{e}$$

Theorem

RECOGNISE Ω is a 1-sided Monte-Carlo algorithm with error probability ε . If the algorithm is called with $G \leq \Delta$ and ε and

- G fixes only the forms corresponding to Ω
- G acts absolutely irreducibly
- (Ω, n, q) are generic

and returns *true*, then $\Omega \leq G$. The probability that the algorithm returns *false* even though $\Omega \leq G$ is at most ε .

Complexity

The complexity of the algorithm is

$$O(\log(\varepsilon^{-1})(\xi + n^3 \log^2(q))),$$

where ξ is the cost for selecting a random element.

Black Box recognition of classical groups

A Monte-Carlo algorithm of Babai, Kantor, Pálffy and Seress [2] for:

Input: G and p .

G a Black-box group isomorphic to a finite, simple group of Lie type in characteristic p and N an upper bound for the length of the input.

Output: The name of G .

runtime: polynomial in the length the input.

generic version for classical groups

Definition

Let G be isomorphic to a finite simple classical group of Lie type. Let n be the natural dimension of the underlying vector space of characteristic p . Suppose p is known. We call G **generic**, if $p > 2$, $n > 12$, and if $G = \mathrm{SL}(n, q)$, then $q \geq 4$.

Problem

We cannot derive any information about a black-box group from the operation on the underlying vector space.

The groups

The finite, simple classical groups of Lie type are:

- *linear groups*: $\text{PSL}(n, q)$.
- *symplectic groups*: $\text{PSp}(n, q)$, n even.
- *orthogonal groups*: $\text{P}\Omega^\epsilon(n, q)$,

$$\epsilon = \begin{cases} \pm & n \text{ even} \\ \circ & n \text{ odd (then also } q) \end{cases}$$
- *unitary groups*: $\text{PSU}(n, q)$, over \mathbb{F}_{q^2} .

Idea:

Compute invariants of the groups, which assist in differentiating between the groups.

formulas for the orders of $P\Omega$

Theorem

Let $P\Omega$ be one of the finite simple classical groups of Lie type in characteristic p with $q = p^a$ given before and $n \geq 2$. Then

$$|P\Omega| = \frac{1}{\ell} q^h P(q),$$

$P\Omega$	ℓ	h	$P(q)$
$PSL(n, q)$	$(n, q - 1)$	$\binom{n}{2}$	$\prod_{i=2}^n (q^i - 1)$
$PSp(2m, q)$	$(2, q - 1)$	m^2	$\prod_{i=1}^m (q^{2i} - 1)$
$P\Omega^\circ(2m+1, q)$	$(2, q - 1)$	m^2	$\prod_{i=1}^m (q^{2i} - 1)$
$P\Omega^+(2m, q)$	$(4, q^m - 1)$	$m(m - 1)$	$(q^m - 1) \prod_{i=1}^{m-1} (q^{2i} - 1)$
$P\Omega^-(2m, q)$	$(4, q^m - 1)$	$m(m - 1)$	$(q^m + 1) \prod_{i=1}^{m-1} (q^{2i} - 1)$
$PSU(n, q)$	$(n, q + 1)$	$\binom{n}{2}$	$\prod_{i=2}^n (q^i - (-1)^i)$

Definition

A $\text{ppd}(p, k)$ -element in G is an element of order divisible by a primitive prime divisor r of $p^k - 1$.

The Invariants

$$|G| = \frac{1}{\ell} q^h P(q)$$

Then we define

- e_1 largest k , for which G has $\text{ppd}(p, k)$ -elements
- e_2 2. largest k , for which G has $\text{ppd}(p, k)$ -elements
- w $e_1 / (e_1 - e_2)$

In particular, z divides all the e_i .

Invariants for $\mathrm{PSL}(n, q)$ and $\mathrm{PSp}(n, 2)$

group	e_1	e_2	e_3	w
$\mathrm{PSL}(n, q)$	n	$n - 1$	$n - 2$	n
$\mathrm{PSp}(n, q)$	n	$n - 2$	$n - 4$	$n/2$

Tabelle: Extract from Table 1 in [2], $q = p^z$

Proposition 3 in [2]

Proposition

There are at most 7 groups with the same invariants e_1 and e_2 .

Hence except for $\mathrm{PSp}(2m, p^z)$ and $\mathrm{P}\Omega^\circ(2m+1, p^z)$ Babai et al. can distinguish all groups. For these two there exists an algorithm of Altseimer and Borovik.

Cost

The total cost is dominated by

- costs to compute e_1 and e_2
- cost to choose $N \log(\varepsilon^{-1})$ random elements which need to be tested for the ppd-property.

The cost to compute e_1 is

$$O(\sqrt{N} \log(\varepsilon^{-1}) \xi + \sqrt{N} (N^2 \log(p) + Nz^2 \log(p)) \mu).$$

μ is to cost of a Black-Box operation and ξ is the cost for selecting a random element.

Total Cost

is polynomial in N , $\log(p)$, $\log(\varepsilon^{-1})$ and μ .

Finding the characteristic

Liebeck & O'Brien [4] and Kantor & Seress [3] introduce algorithms which determine the characteristic of a finite, simple group G of Lie-type .

Let $\text{ch}(G)$ the characteristic of G .

Finding the characteristic

Liebeck & O'Brien [4] prove that in a black box group G with input length N and an order oracle, the characteristic of G can be determined using $O(N)$ random elements. The order oracle is only sometimes required.

The three largest element orders

Now we present the idea of the algorithm in [3].

Let $m_1(G)$, $m_2(G)$ and $m_3(G)$ be the largest, second largest and third largest element orders in a finite, simple group G of Lie type. Then Kantor and Seress proved:

Theorem [Kantor and Seress [3]]

Let G and H be finite, simple groups of Lie type. If $m_i(G) = m_i(H)$ for $i = 1, 2, 3$, then $\text{ch}(G) = \text{ch}(H)$.

The algorithm of Kantor and Seress is a Monte Carlo algorithm which

- takes as input an absolutely irreducible subgroup G of $GL(n, p^a)$ such that $G/Z(G)$ a finite simple group of Lie type
- returns a list of numbers containing the characteristic of G
- uses $O(\log^2(n) \log \log(n))$ random elements
- uses $O^\sim(n^3)$ field operations in \mathbb{F}_{p^a}
- supposes all primes at most $3n$ are known.

The list might have $O(n)$ elements. For $n < 3 \cdot 10^5$ it only has 1 entry.

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C_6 : Normalisers of extra special groups

Extra Special Groups

Let r be a prime. (Here r odd.)

Definition

Let R be an r -group. Then

- R is **extra special** if $Z(R) = \Phi(R) = R' \cong \mathbb{Z}_r$.
- R is of **symplectic-type** if all of its characteristic abelian subgroups are cyclic.

One can prove that $|G| = r^{2m+1}$ for some positive integer m .

Extra Special Groups of exponent r

Let r be a prime. (Here r odd.)

- There are (up to isomorphism) two extra-special groups of order r^3 , namely one of exponent r and one of exponent r^2 .
- Extra special groups of exponent r and order r^{2m+1} are central products of m extra special groups of order r^3 and exponent r .

C_6

The groups G we consider here are subgroups of $GL(n, q)$ are normalisers of extra-special r groups R of symplectic-type of order r^{1+2m} (when r odd) with

- exponent of R is r
- R acts absolutely irreducibly on V , i.e. $n = r^m$
- G not conjugate to a subgroup defined over a smaller field

When r is odd, the groups are subgroups of $R.Sp(2m, r)$

C₆

The case for $m = 1$ treated in [3].

- If $G \leq R.\text{Sp}(2, r)$ use knowledge of all subgroups of $\text{Sp}(2, r)$ to construct element $a \in R \setminus Z(R)$.
- Construct a generating set $\langle a, b \rangle$ for R using commutators of a with particularly chosen other elements.
- change basis of V
- test whether G normalises R
- complexity $O(\log(\varepsilon^{-1})(\xi + \log \log(r) + \log(q))\mu + \omega)$, where ξ cost of random element, μ group operation and ω finding r -th root in \mathbb{F}_q .

C_6

The case for $m > 1$ treated in [2].

It uses an idea by Babai & Beals [1] called **Blind Descent**

Blind Descent

Let G be a black box group. **Goal:** construct an element $g \in G$ which lies in a proper normal subgroup N of G but not in $Z(G)$.

Algorithm 2: BLINDDESCENT

Input: G Black Box Group

Output: $g \in G$

$c_0 := \text{Random}(G)$; (not in $Z(G)$);

for $i = 1$ to M **do**

$g_i := \text{Random}(G)$;

$c_i := [c_{i-1}, g_i]$;

if $c_i \in Z(G)$ **then**

 Find random $x \in G$ such that $c_i := [c_{i-1}, g_i^x] \notin Z(G)$;

end

end

return c_M ;

Blind Descent

- if any g_i belongs to a proper normal subgroup, then so does the output of BLINDDESCENT.
- if the probability in G of finding an element in a proper normal subgroup is c then the algorithm succeeds in time $O(\log(\varepsilon^{-1})c^{-1})$.

C₆

- Las Vegas **reduction algorithm** in [2], i.e. the algorithm computes $\varphi : G \rightarrow H$ where here $H \leq G/Z(G)$.
- The case for $m > 1$ uses an adaption of BLINDDESCENT to find an element in R but not in $Z(R)$.
- Analysed when full symplectic group on top. Then
- Complexity $O(\log(\varepsilon^{-1})(\xi + n^4 \rho_{\mathbb{F}}))$, where ξ cost of obtaining a random element and $\rho_{\mathbb{F}}$ the cost of a field operation.

For Further Reading I



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For Further Reading II



Alice C. Niemeyer

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