

Sieve, Enumerate, Slice, and Lift: Hybrid Lattice Algorithms for SVP via CVPP

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Outline

- 1 Introduction
- 2 Enumeration
- 3 The slicer algorithms
- 4 Hybrid algorithms

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What is a lattice?

Definition

A lattice \mathcal{L} is a discrete additive subgroup of \mathbb{R}^n .

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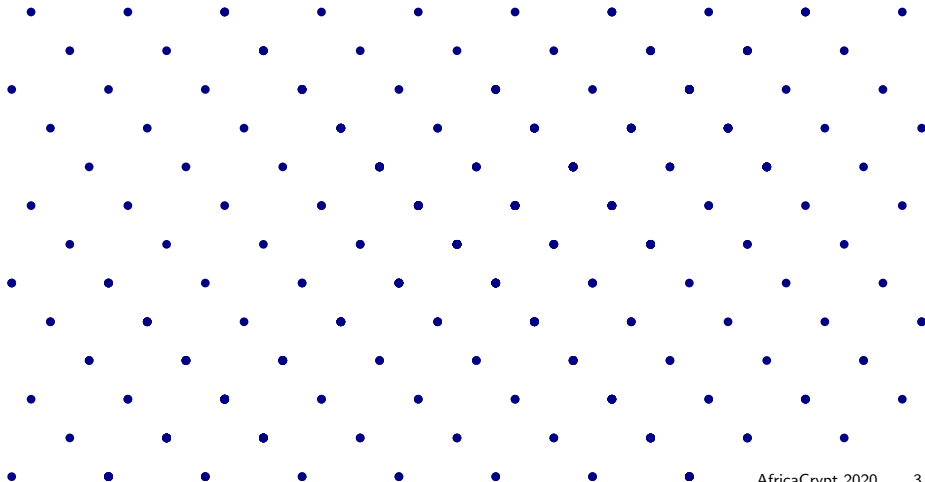
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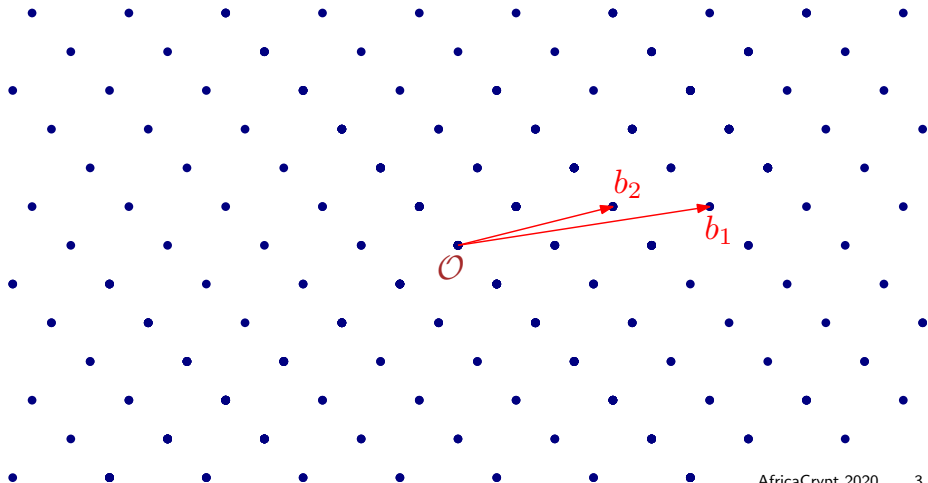
What is a lattice?

A lattice is an infinite grid of points in the n -dimensional space.



What is a lattice?

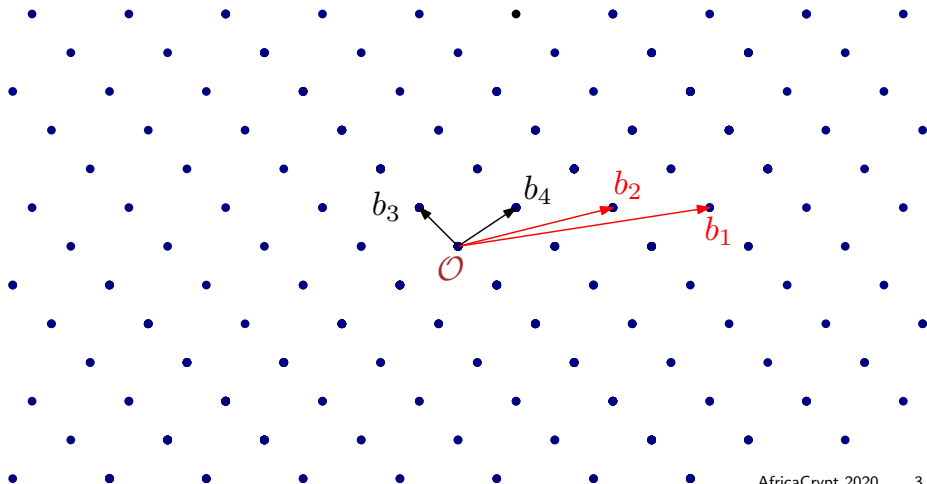
A lattice: The set of all integer linear combinations of some basis \mathbf{B} where $\mathbf{B} = \{b_1, \dots, b_n\} \subset \mathbb{R}^n$.



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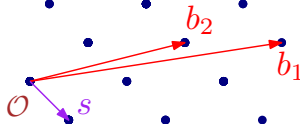
A lattice has many bases.



The Shortest Vector Problem (SVP)

Shortest Vector Problem (SVP)

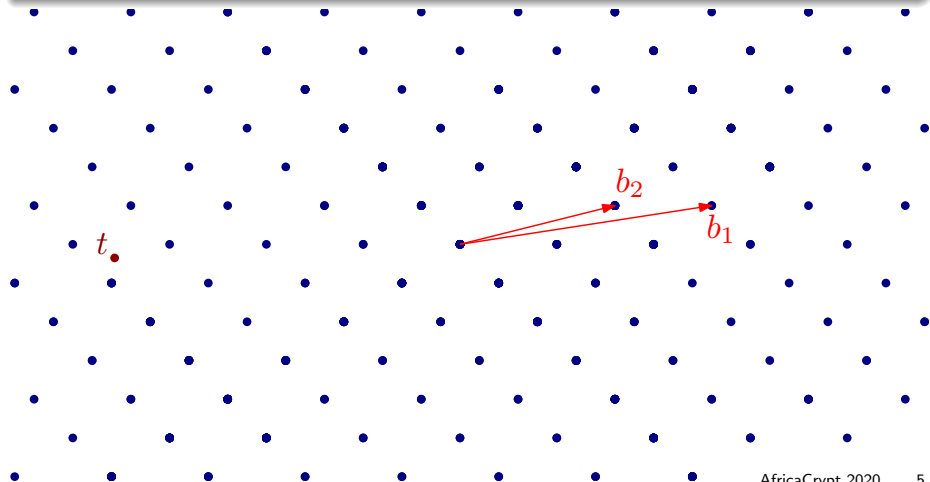
Given an arbitrary basis for \mathcal{L} , find a shortest non-zero vector s in \mathcal{L} i.e. $\|s\| = \min_{v \in \mathcal{L} \setminus \{0\}} \|v\|$. We denote $\lambda_1(\mathcal{L}) = \min_{v \in \mathcal{L} \setminus \{0\}} \|v\|$.



The Closest Vector Problem (CVP)

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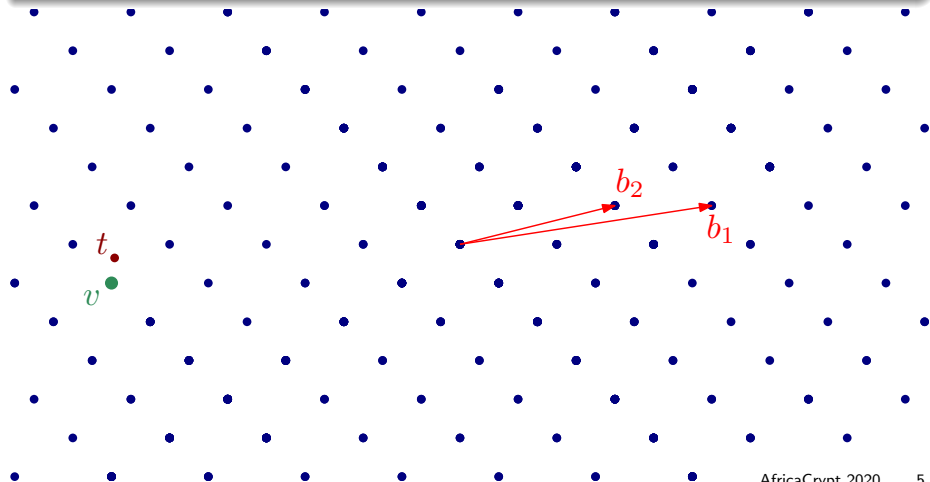
Given an arbitrary basis for \mathcal{L} and a target vector t , find the closest lattice vector v in \mathcal{L} such that $\|t - v\| = d(t, \mathcal{L})$.



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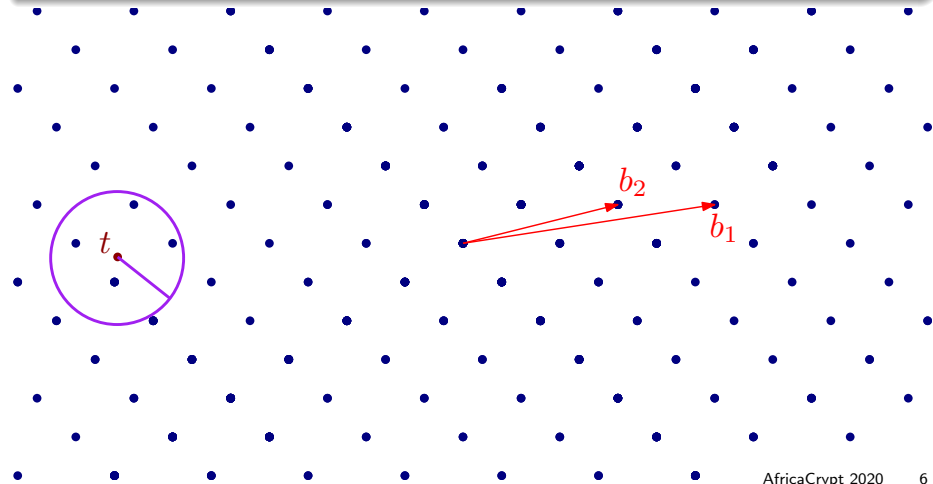
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The Approximate Closest Vector Problem (CVP_κ)

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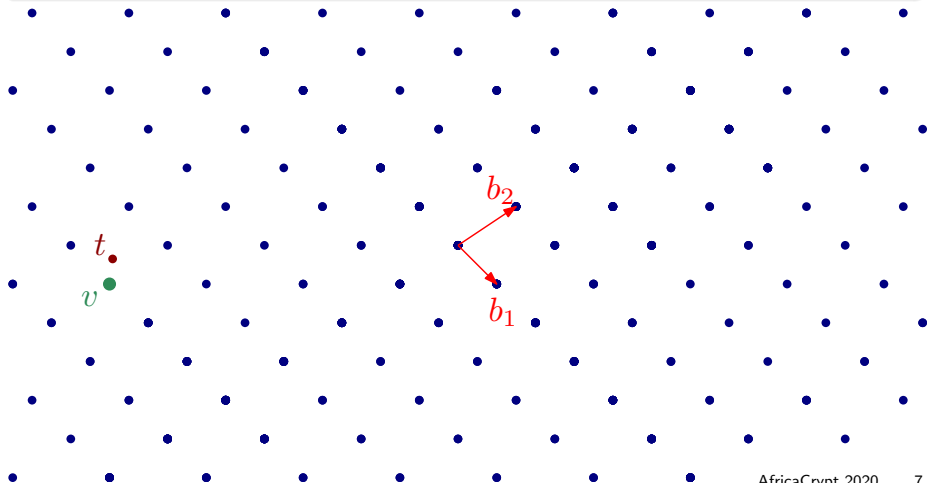
Given an arbitrary basis for \mathcal{L} , a target vector t and an approximation factor $\kappa \geq 1$, find a lattice vector v in \mathcal{L} such that $\|t - v\| \leq \kappa d(t, \mathcal{L})$.



The Closest Vector Problem with Pre-processing (CVPP)

The CVPP variant

Given an arbitrary basis for \mathcal{L} , compute some pre-processing data such that when later given a target vector t , it will be "easy" to solve the CVP for t .



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Solving SVP

- Let \mathcal{L} be a lattice with basis $\mathbf{B} = \{\mathbf{b}_1, \dots, \mathbf{b}_n\} \subset \mathbb{R}^n$.
Question: Find \mathbf{s} in \mathcal{L} with $\|\mathbf{s}\| = \lambda_1(\mathcal{L})$.

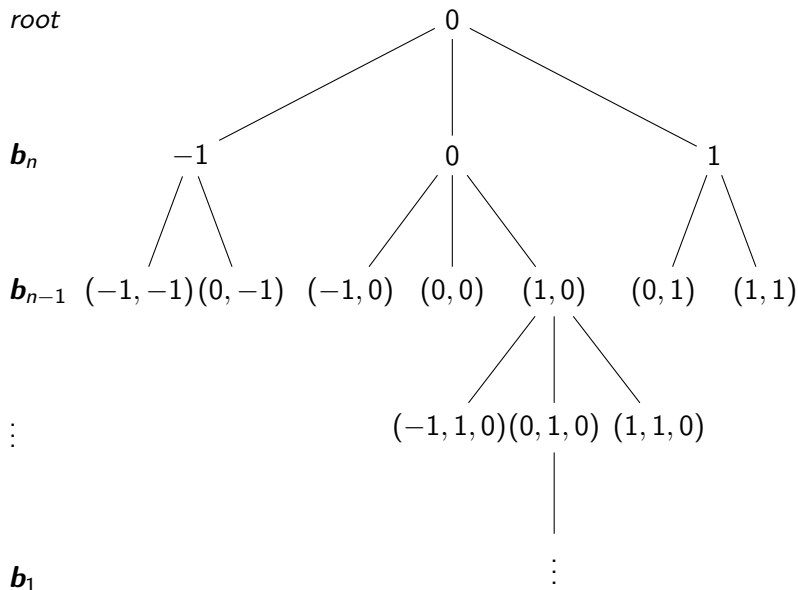
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- As $\mathbf{s} \in \mathcal{L}$ then $\exists x_1, \dots, x_n \in \mathbb{Z}$ such that $\mathbf{s} = x_1 \mathbf{b}_1 + \dots + x_n \mathbf{b}_n$.

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- We know that $\lambda_1(\mathcal{L}) \leq \|\mathbf{b}_1\|$.
- Enumeration explores all the choices of the x_i such that $\|x_1 \mathbf{b}_1 + \dots + x_n \mathbf{b}_n\| \leq \|\mathbf{b}_1\|$.

Enumeration tree (example)



Enumeration costs in small depth

Lemma (Costs of enumeration HS07)

Let \mathbf{B} be a strongly reduced basis of a lattice. Then the number of nodes E_k at depth $k = o(n)$, $k = n^{1-o(1)}$, satisfies:

$$E_k = n^{k/2+o(k)}.$$

Enumerating all these nodes can be done in time T_{enum} and space S_{enum} , with:

$$T_{\text{enum}} = E_k \cdot n^{O(1)}, \quad S_{\text{enum}} = n^{O(1)}.$$

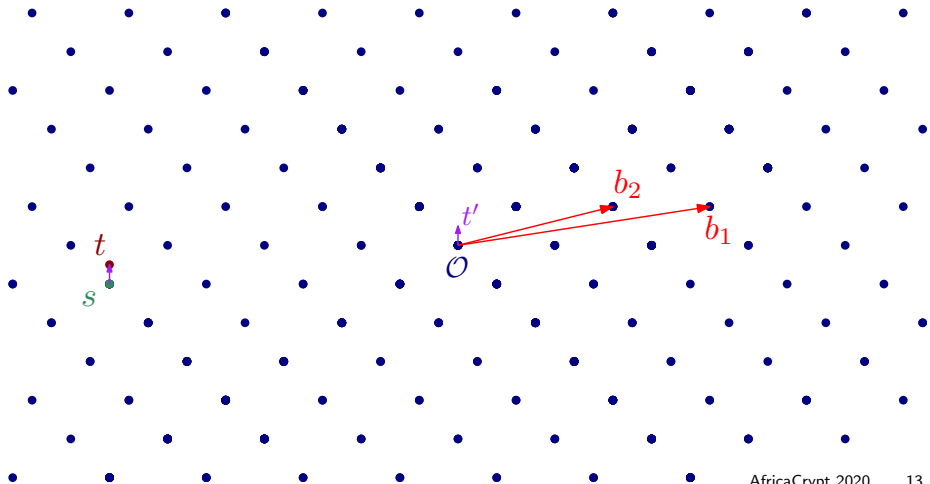
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Solving CVP(P)

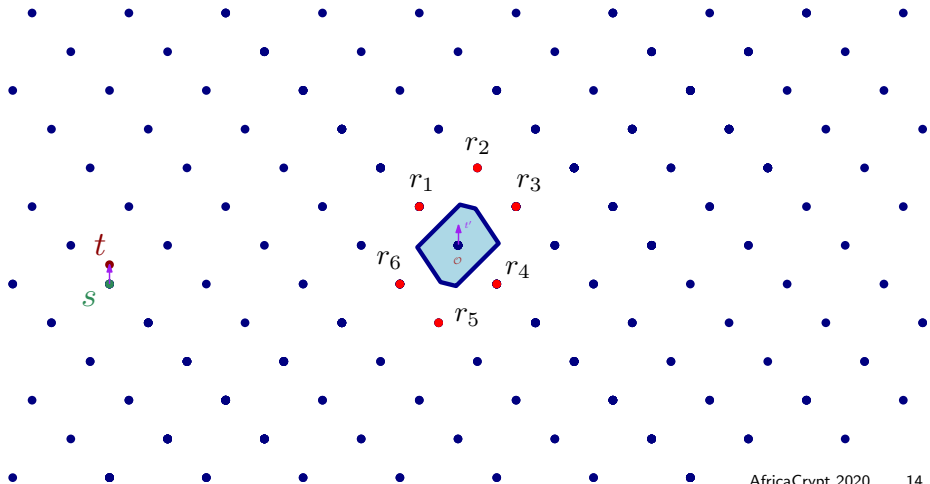
We have $t \in t + \mathcal{L}$ and $t' = t - s$ so $t' \in t + \mathcal{L}$ as well...

It suffices to find t' .



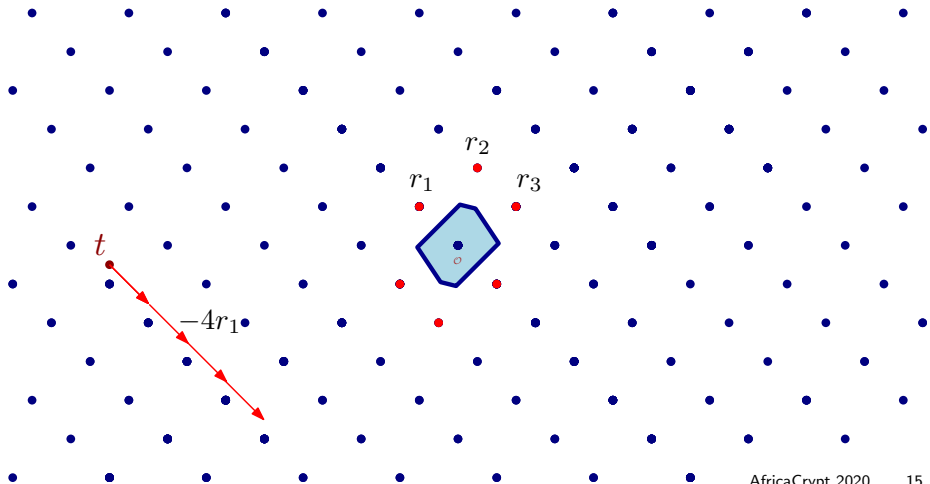
The iterative slicer (ideal case)

Create a list $L \subseteq \mathcal{L}$. Keep reducing t by the vectors r in the list L until the result cannot be reduced any more. Then we have found t' .



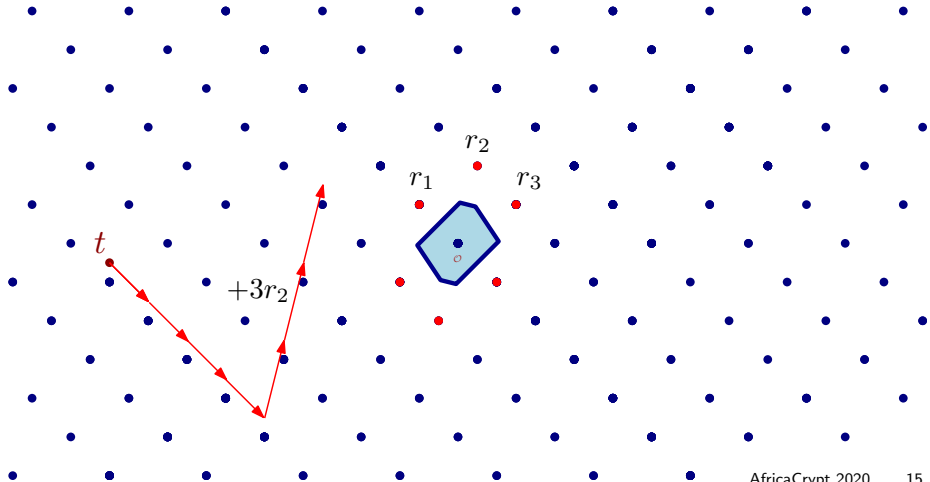
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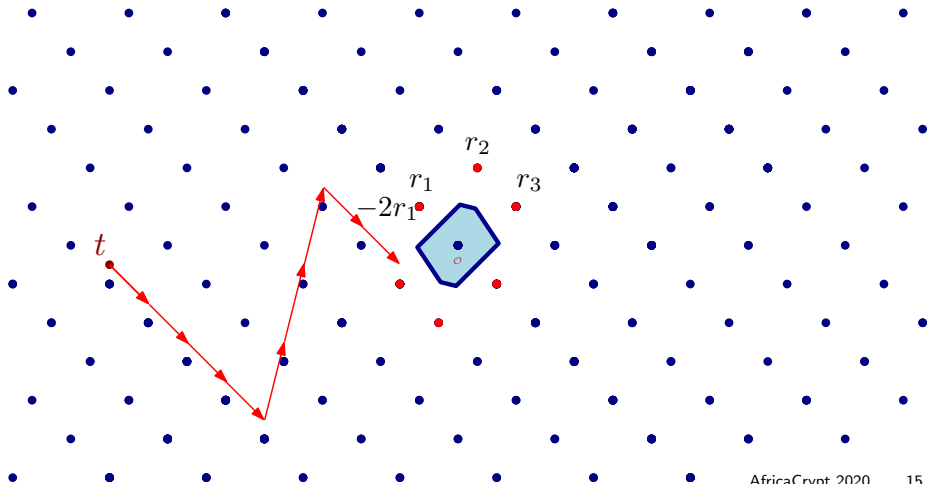
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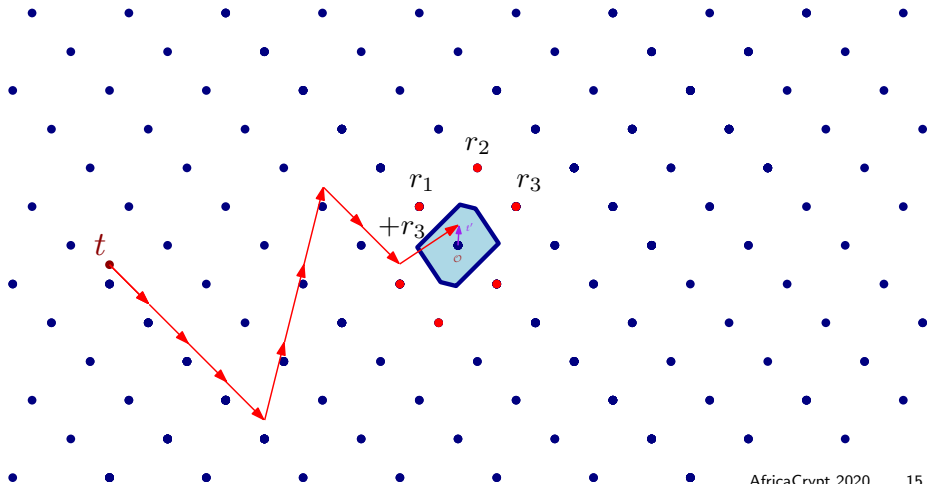
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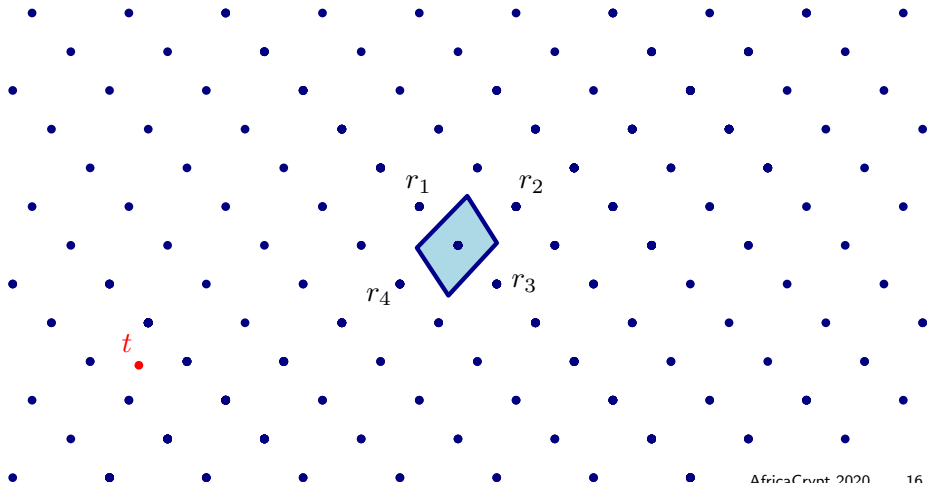
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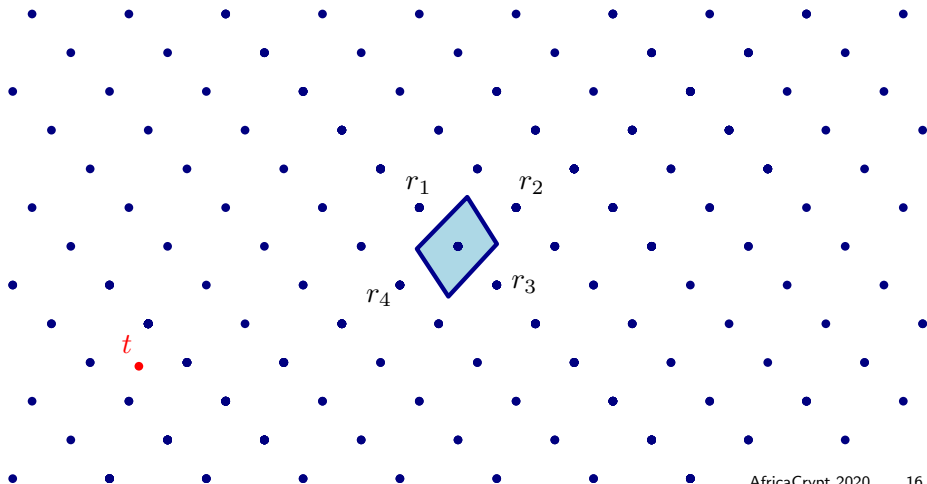
The iterative slicer (in practice)

- Computing t' correctly depends on the list L . Computing “the proper” list L is too costly. We can use approximations instead.



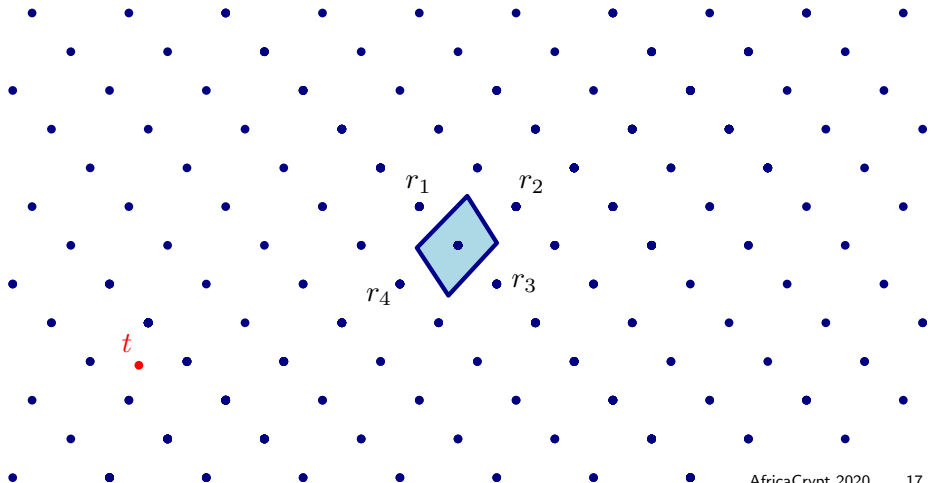
The iterative slicer (in practice)

- Computing t' correctly depends on the list L . Computing “the proper” list L is too costly. We can use approximations instead.
- Disadvantage: We might get a wrong t' .



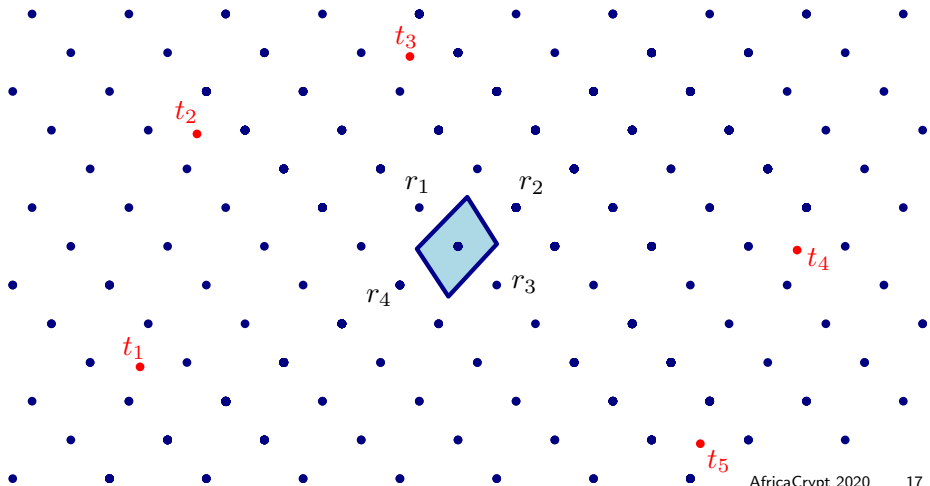
The randomized slicer

- Create a list L of lattice vectors (e.g. by running a sieving algorithm).



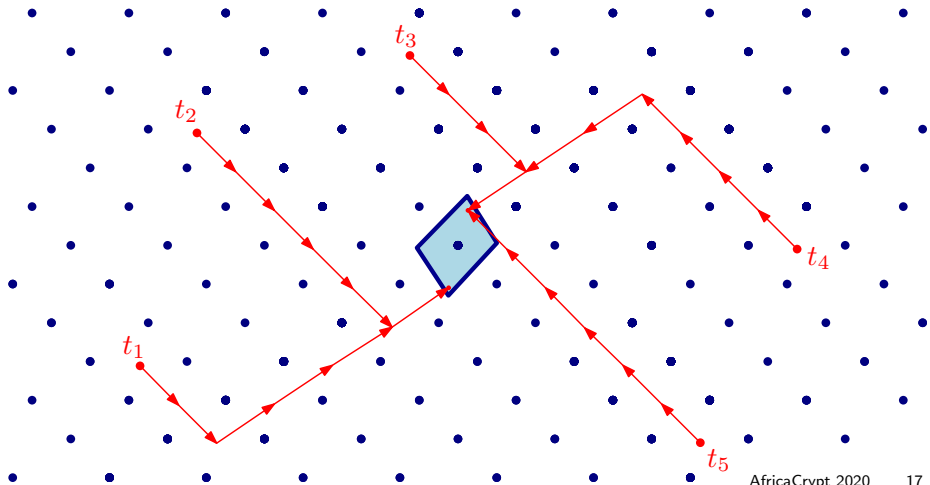
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- Keep the shortest t'_i found as t' .



The randomized slicer algorithm

Algorithm 2 The randomized heuristic slicer for finding closest vectors

Require: A list $L \subset \mathcal{L}$ and a target $\mathbf{t} \in \mathbb{R}^d$

Ensure: The algorithm outputs a closest lattice vector $\mathbf{s} \in \mathcal{L}$ to \mathbf{t}

```
1:  $\mathbf{s} \leftarrow \mathbf{0}$                                  $\triangleright$  Initial guess  $\mathbf{s}$  for closest vector to  $\mathbf{t}$ 
2: repeat
3:   Sample  $\mathbf{t}' \sim D_{\mathbf{t} + \mathcal{L}, \mathbf{s}}$            $\triangleright$  Randomly shift  $\mathbf{t}$  by a vector  $\mathbf{v} \in \mathcal{L}$ 
4:   for each  $\mathbf{r} \in L$  do
5:     if  $\|\mathbf{t}' - \mathbf{r}\| < \|\mathbf{t}'\|$  then           $\triangleright$  New shorter vector  $\mathbf{t}' \in \mathbf{t} + \mathcal{L}$ 
6:       Replace  $\mathbf{t}' \leftarrow \mathbf{t}' - \mathbf{r}$  and restart the for-loop
7:   if  $\|\mathbf{t}'\| < \|\mathbf{t} - \mathbf{s}\|$  then
8:      $\mathbf{s} \leftarrow \mathbf{t} - \mathbf{t}'$                  $\triangleright$  New lattice vector  $\mathbf{s}$  closer to  $\mathbf{t}$ 
9: until  $\mathbf{s}$  is a closest lattice vector to  $\mathbf{t}$ 
10: return  $\mathbf{s}$ 
```

Costs of preprocessing

Lemma (Costs of lattice sieving BDGL16)

Given a basis \mathbf{B} of a lattice \mathcal{L} , the LDSieve heuristically returns a list $L \subset \mathcal{L}$ containing the $(4/3)^{n/2+o(n)}$ shortest lattice vectors, in time T_{sieve} and space S_{sieve} with:

$$T_{\text{sieve}} = (3/2)^{n/2+o(n)}, \quad S_{\text{sieve}} = (4/3)^{n/2+o(n)}.$$

With the LDSieve we can therefore solve SVP with the above complexities.

Costs of the randomized slicer

Lemma (single target DLW20)

Given a list of the $(4/3)^{n/2+o(n)}$ shortest vectors of a lattice \mathcal{L} and a target $\mathbf{t} \in \mathbb{R}^n$, the randomized slicer solves CVP for \mathbf{t} in time T_{slice} and space S_{slice} , with:

$$T_{\text{slice}} = 2^{\zeta n + o(n)}, \quad S_{\text{slice}} = (4/3)^{n/2 + o(n)}.$$

In our case $\zeta = 0.2639 \dots$

Costs of the randomized slicer

Lemma (many targets DLW20)

Given a list of the $(4/3)^{n/2+o(n)}$ shortest vectors of a lattice \mathcal{L} and a batch of $N \geq (13/12)^{n/2+o(n)}$ target vectors $\mathbf{t}_1, \dots, \mathbf{t}_N \in \mathbb{R}^n$, the batched randomized slicer solves CVP for all targets \mathbf{t}_i in total time T_{slice} and space S_{slice} , with:

$$T_{\text{slice}} = N \cdot (18/13)^{n/2+o(n)}, \quad S_{\text{slice}} = (4/3)^{n/2+o(n)}.$$

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- Choose $0 \leq k \leq n$ and split \mathbf{B} as $\mathbf{B} = \mathbf{B}_{\text{bot}} \cup \mathbf{B}_{\text{top}}$ where $\mathbf{B}_{\text{bot}} := \{\mathbf{b}_1, \dots, \mathbf{b}_{n-k}\}$ and $\mathbf{B}_{\text{top}} := \{\mathbf{b}_{n-k+1}, \dots, \mathbf{b}_n\}$.

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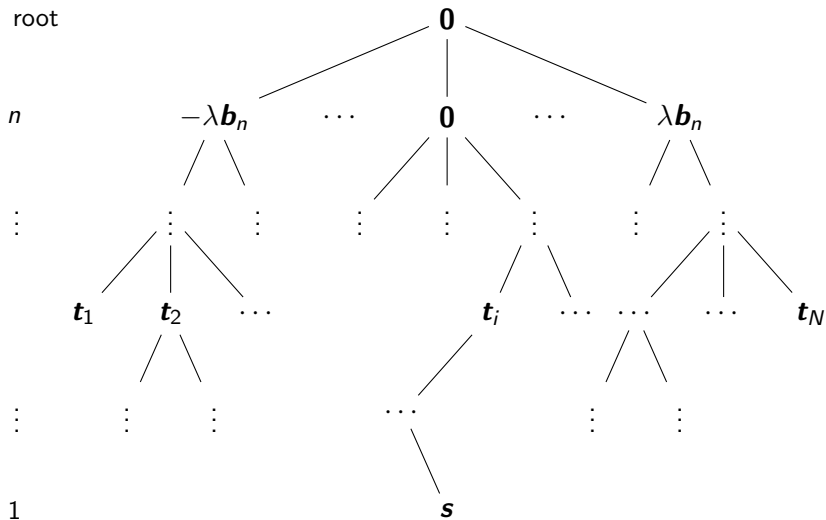
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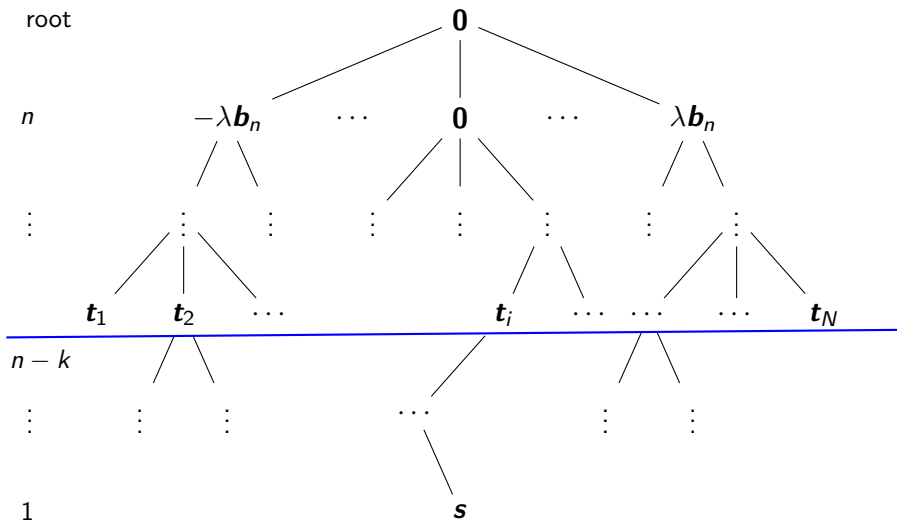
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- We can also split \mathbf{s} as $\mathbf{s} = \mathbf{s}_{\text{bot}} + \mathbf{s}_{\text{top}}$ where $\mathbf{s}_{\text{bot}} = x_1 \mathbf{b}_1 + \dots + x_{n-k} \mathbf{b}_{n-k} \in \mathcal{L}_{\text{bot}}$ and $\mathbf{s}_{\text{top}} = x_{n-k+1} \mathbf{b}_{n-k+1} + \dots + x_n \mathbf{b}_n \in \mathcal{L}_{\text{top}}$.

Solving SVP via CVPP (Part 1)



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Solving SVP via CVPP (Part 2)

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- Two cases:
 - ▶ If $\mathbf{s}_{\text{top}} = \mathbf{0}$ then $\mathbf{s} = \text{SVP}(\mathcal{L}_{\text{bot}}).$
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We do not know in advance which one.

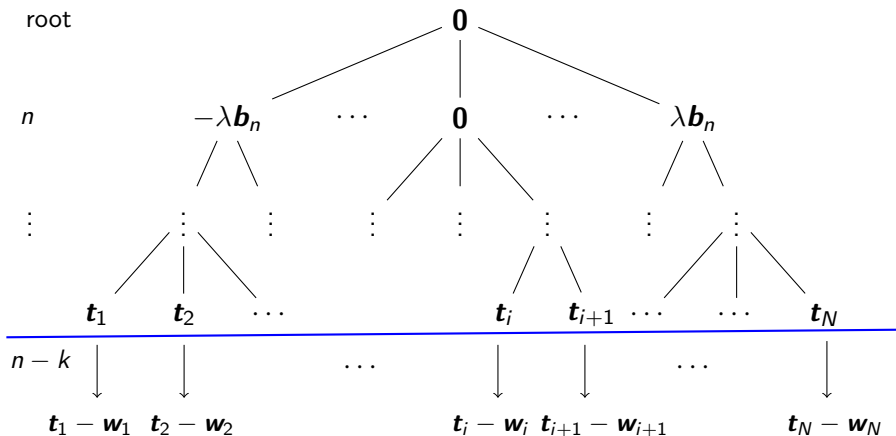
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- Keep the shortest $\mathbf{t}_i - \text{CVP}(\mathcal{L}_{\text{bot}}, \mathbf{t}_i)$ as $\mathbf{s}.$

Solving SVP via CVPP (Part 2)



where $\mathbf{w}_i = \text{CVP}(\mathcal{L}_{\text{bot}}, \mathbf{t}_i)$

Hybrid 1 (sieve, enumerate-and-slice)

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{bot}}$ (running a lattice sieve on \mathcal{L}_{bot}).
- Step 2: Run enumeration in \mathcal{L}_{top} , where for each leaf $\mathbf{t}_i \in \mathcal{L}_{\text{top}}$ run the randomized slicer to find the closest vector $\text{CVP}(\mathbf{t}_i) \in \mathcal{L}_{\text{bot}}$.
- Output the shortest vector $\mathbf{t}_i - \text{CVP}(\mathbf{t}_i)$ found.

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Balancing and minimizing the costs between the two steps leads to a choice of $k = \alpha n / \log_2 d$ where $\alpha < 0.0570$.

Hybrid 1 (sieve, enumerate-and-slice)

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{bot}}$ (running a lattice sieve on \mathcal{L}_{bot}).
- Step 2: Run enumeration in \mathcal{L}_{top} , where for each leaf $\mathbf{t}_i \in \mathcal{L}_{\text{top}}$ run the randomized slicer to find the closest vector $\text{CVP}(\mathbf{t}_i) \in \mathcal{L}_{\text{bot}}$.
- Output the shortest vector $\mathbf{t}_i - \text{CVP}(\mathbf{t}_i)$ found.

Balancing and minimizing the costs between the two steps leads to a choice of $k = \alpha n / \log_2 d$ where $\alpha < 0.0570$.

Proposition (Heuristic result 1)

Let be k as above and let $T_1^{(n)}$ and $S_1^{(n)}$ denote the overall time and space complexities of the sieve, enumerate-and-slice hybrid algorithm in dimension n . Then:

$$T_1^{(n)} = T_{\text{sieve}}^{(n-k)} \cdot (1 + o(1)), \quad S_1^{(n)} = S_{\text{sieve}}^{(n-k)} \cdot (1 + o(1)).$$

Hybrid 2 (sieve, enumerate, slice)

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{bot}}$ (running a lattice sieve on \mathcal{L}_{bot}).
- Step 2: Enumerate all nodes $\mathbf{t}_i \in \mathcal{L}_{\text{top}}$ at depth k and store them in a list of targets $T \subset \mathcal{L}_{\text{top}}$.
- Step 3: Run the batched randomized slicer to solve CVP on \mathcal{L}_{bot} for all targets $\mathbf{t}_i \in T$.
- Output the shortest vector $\mathbf{t}_i - \text{CVP}(\mathbf{t}_i)$ found.

Hybrid 2 (sieve, enumerate, slice)

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{bot}}$ (running a lattice sieve on \mathcal{L}_{bot}).
- Step 2: Enumerate all nodes $\mathbf{t}_i \in \mathcal{L}_{\text{top}}$ at depth k and store them in a list of targets $T \subset \mathcal{L}_{\text{top}}$.
- Step 3: Run the batched randomized slicer to solve CVP on \mathcal{L}_{bot} for all targets $\mathbf{t}_i \in T$.
- Output the shortest vector $\mathbf{t}_i - \text{CVP}(\mathbf{t}_i)$ found.

Proposition (Heuristic result 2)

Let $k = \alpha n / \log_2 n$ with $\alpha < \log_2(\frac{13}{12}) = 0.1154 \dots$

Let $T_2^{(n)}$ and $S_2^{(n)}$ denote the overall time and space complexities of the batched sieve, enumerate, slice hybrid algorithm in dimension n . Then:

$$T_2^{(n)} = T_{\text{sieve}}^{(n-k)} \cdot (1 + o(1)), \quad S_2^{(n)} = S_{\text{sieve}}^{(n-k)} \cdot (1 + o(1)).$$

Further Hybrids

A basis \mathbf{B} could be partitioned as $\mathbf{B} = \mathbf{B}_{\text{bot}} \cup \mathbf{B}_{\text{mid}} \cup \mathbf{B}_{\text{top}}$. The three bases \mathbf{B}_{bot} , \mathbf{B}_{mid} , and \mathbf{B}_{top} generate lattices \mathcal{L}_{bot} , \mathcal{L}_{mid} , \mathcal{L}_{top} such that $\mathcal{L} = \mathcal{L}_{\text{bot}} \oplus \mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

Further Hybrids

A basis \mathbf{B} could be partitioned as $\mathbf{B} = \mathbf{B}_{\text{bot}} \cup \mathbf{B}_{\text{mid}} \cup \mathbf{B}_{\text{top}}$. The three bases \mathbf{B}_{bot} , \mathbf{B}_{mid} , and \mathbf{B}_{top} generate lattices \mathcal{L}_{bot} , \mathcal{L}_{mid} , \mathcal{L}_{top} such that $\mathcal{L} = \mathcal{L}_{\text{bot}} \oplus \mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{mid}}$ (running a lattice sieve on \mathcal{L}_{mid}).

Further Hybrids

A basis \mathbf{B} could be partitioned as $\mathbf{B} = \mathbf{B}_{\text{bot}} \cup \mathbf{B}_{\text{mid}} \cup \mathbf{B}_{\text{top}}$. The three bases \mathbf{B}_{bot} , \mathbf{B}_{mid} , and \mathbf{B}_{top} generate lattices \mathcal{L}_{bot} , \mathcal{L}_{mid} , \mathcal{L}_{top} such that $\mathcal{L} = \mathcal{L}_{\text{bot}} \oplus \mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{mid}}$ (running a lattice sieve on \mathcal{L}_{mid}).
- Step 2:
 - ▶ Enumerate all nodes $\mathbf{t} \in \mathcal{L}_{\text{top}}$.
 - ▶ For each \mathbf{t} run the slicer with the list L to find close vectors $\mathbf{v} \in \mathcal{L}_{\text{mid}}$.
 - ▶ For each pair \mathbf{t}, \mathbf{v} add the vector $\mathbf{t} - \mathbf{v}$ to an output list S .

Further Hybrids

A basis \mathbf{B} could be partitioned as $\mathbf{B} = \mathbf{B}_{\text{bot}} \cup \mathbf{B}_{\text{mid}} \cup \mathbf{B}_{\text{top}}$. The three bases \mathbf{B}_{bot} , \mathbf{B}_{mid} , and \mathbf{B}_{top} generate lattices \mathcal{L}_{bot} , \mathcal{L}_{mid} , \mathcal{L}_{top} such that $\mathcal{L} = \mathcal{L}_{\text{bot}} \oplus \mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

- Step 1: Generate a list $L \subset \mathcal{L}_{\text{mid}}$ (running a lattice sieve on \mathcal{L}_{mid}).
- Step 2:
 - ▶ Enumerate all nodes $\mathbf{t} \in \mathcal{L}_{\text{top}}$.
 - ▶ For each \mathbf{t} run the slicer with the list L to find close vectors $\mathbf{v} \in \mathcal{L}_{\text{mid}}$.
 - ▶ For each pair \mathbf{t}, \mathbf{v} add the vector $\mathbf{t} - \mathbf{v}$ to an output list S .
- Step 3: Extend each vector $\mathbf{s}' \in S$ to a candidate solution $\mathbf{s} \in \mathcal{L}$ by running Babai's nearest plane algorithm.
- Output the shortest lifted vector.

Further Hybrids

This hybrid depends on

Assumption (Hybrid assumption)

The list S , output by the slicer, contains the $2^{(\alpha + \log_2(16/13)) \cdot n/2 + o(n)}$ shortest lattice vectors of $\mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

Further Hybrids

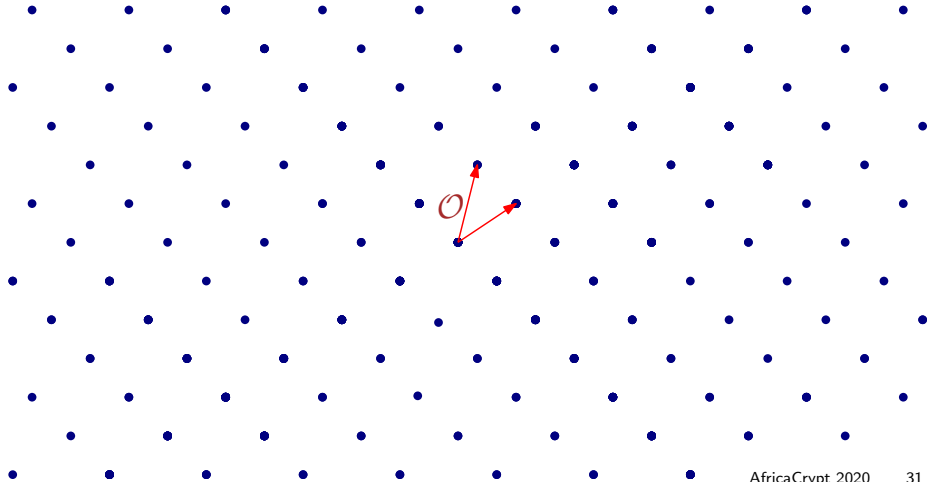
This hybrid depends on

Assumption (Hybrid assumption)

The list S , output by the slicer, contains the $2^{(\alpha + \log_2(16/13)) \cdot n/2 + o(n)}$ shortest lattice vectors of $\mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

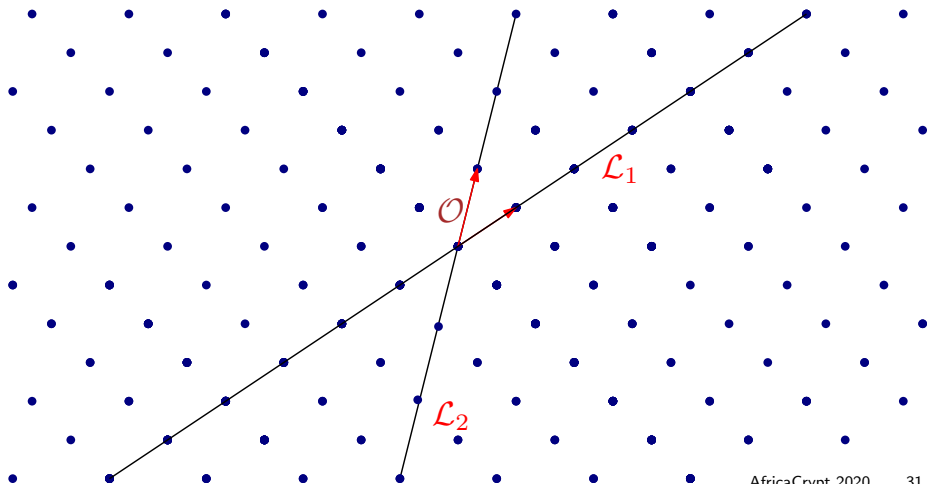
Léo Ducas and Wessel van Woerden later informed us that counterexamples can be found where S might only contain at most an exponentially small fraction of the shortest vectors of $\mathcal{L}_{\text{mid}} \oplus \mathcal{L}_{\text{top}}$.

Visualisation of the assumption



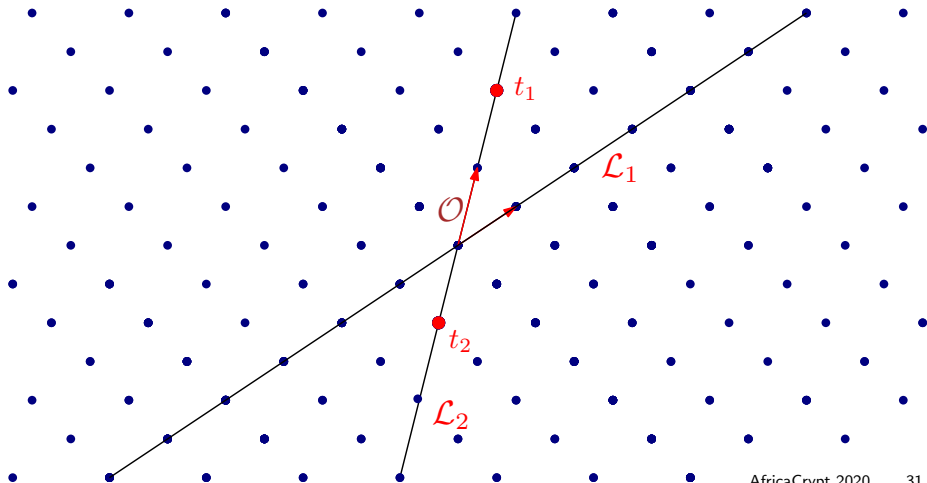
Visualisation of the assumption

- Split \mathcal{L} as $\mathcal{L} = \mathcal{L}_1 \oplus \mathcal{L}_2$.



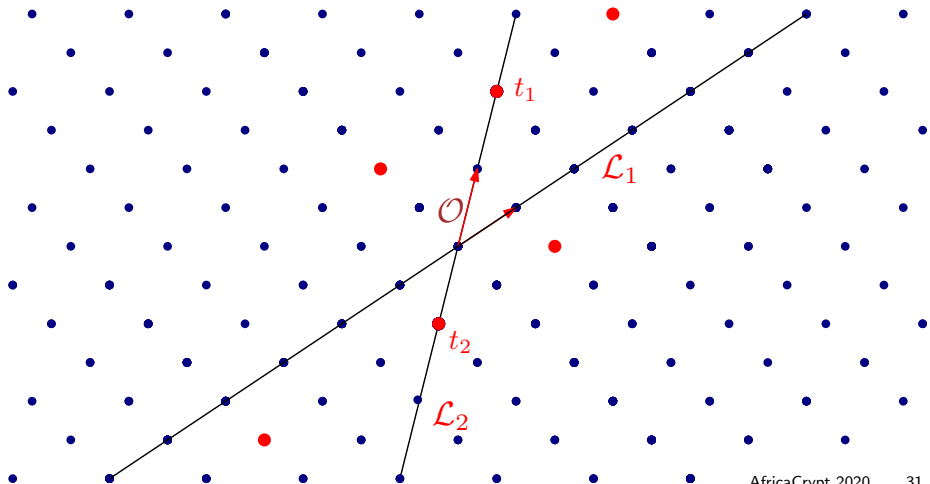
Visualisation of the assumption

- Split \mathcal{L} as $\mathcal{L} = \mathcal{L}_1 \oplus \mathcal{L}_2$.
- Enumerate targets in \mathcal{L}_2 .



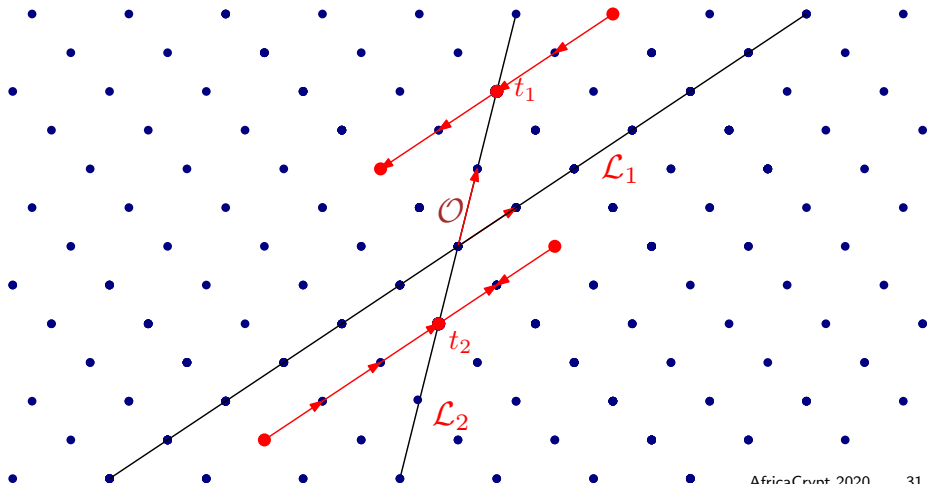
Visualisation of the assumption

- Split \mathcal{L} as $\mathcal{L} = \mathcal{L}_1 \oplus \mathcal{L}_2$.
- Enumerate targets \mathbf{t}_i in \mathcal{L}_2 .
- Randomise the \mathbf{t}_i using vectors in \mathcal{L}_1 .



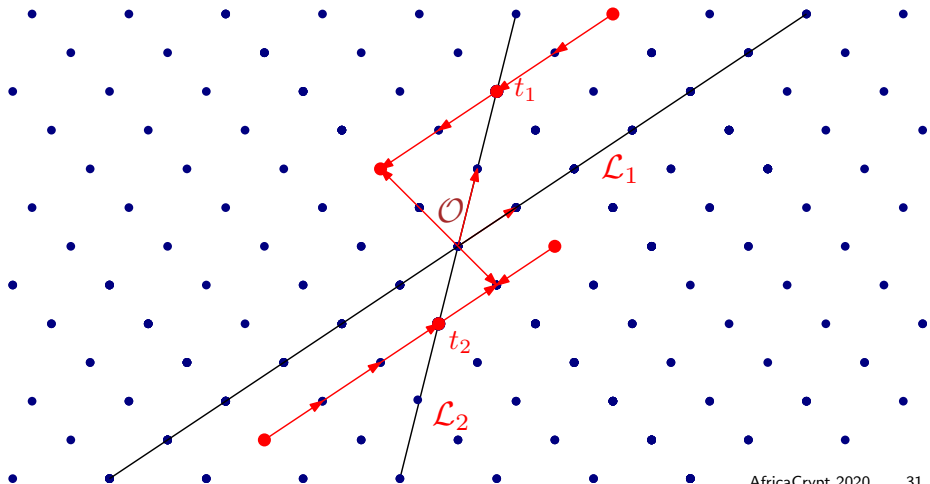
Visualisation of the assumption

- Reduce all the randomised vectors by short vectors in \mathcal{L}_1 .



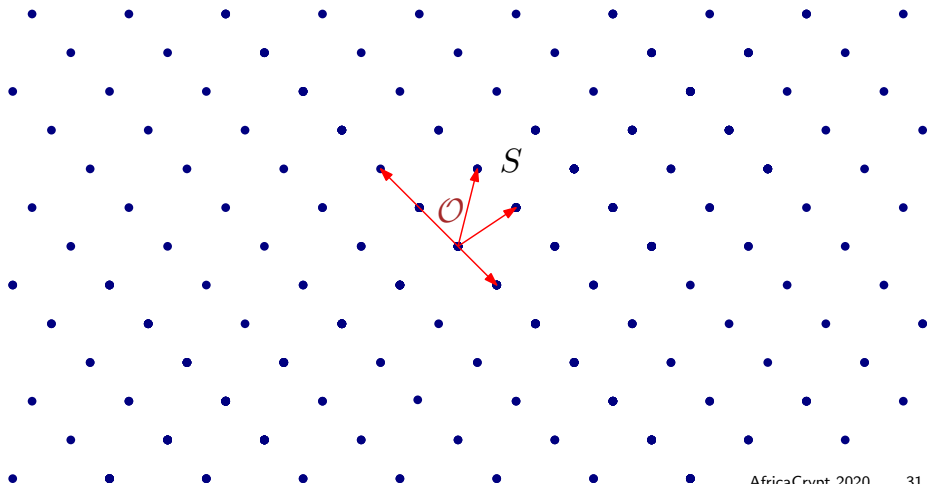
Visualisation of the assumption

- Reduce all the randomised vectors by short vectors in \mathcal{L}_1 .



Visualisation of the assumption

- Reduce all the randomised vectors by short vectors in \mathcal{L}_1 .
- Keep the resulting vectors as the set S .



Experimental results

Parameters		BKZ	— Sieve —		— Enum —		— Slice —		Total	
d	k	$T_{\text{BKZ}}^{(d-10)}$	$ L $	$T_{\text{sieve}}^{(d-k)}$	$ T $	$T_{\text{enum}}^{(k)}$	$T_{\text{iter}}^{(d-k)}$	P_{iter}^{-1}	$T_{\text{slice}}^{(d-k)}$	$T_{\text{hyb}}^{(d)}$
60	0	4s	18k	19s	-	-	-	-	-	23s
	1	4s	16k	16s	5	0s	3.2ms	830	13s	33s
	2	4s	13k	12s	30	0s	2.7ms	530	43s	59s
	3	4s	12k	9s	155	0s	2.4ms	760	280s	293s
	1+1	4s	13k	12s	4	0s	3.0ms	500	6s	51s
			(16k)	(0s)	5	0s	3.2ms	1820	29s	
65	0	8s	37k	78s	-	-	-	-	-	1m
	1	8s	32k	57s	5	0s	6.8ms	12.5k	7m	8m
	2	8s	28k	44s	37	0s	6.6ms	2.9k	12m	13m
	3	8s	24k	36s	215	0s	5.6ms	2.9k	58m	59m
	1+1	8s	28k	44s	4	0s	6.6ms	1.1k	0.5m	6m
			(32k)	(0s)	5	0s	6.8ms	6.7k	4m	
70	0	1m	76k	5m	-	-	-	-	-	6m
	1	1m	65k	4m	6	0m	20ms	17k	35m	40m
	2	1m	57k	3m	46	0m	16ms	1k	12m	16m
	3	1m	49k	2m	293	0m	13ms	6k	381m	384m
	1+1	1m	57k	3m	5	0m	15ms	2k	2m	43m
			(65k)	(0m)	5	0m	18ms	25k	37m	
75	0	2m	155k	22m	-	-	-	-	-	0.4h
	1	2m	134k	16m	6	0m	40ms	25k	2h	2h
	2	2m	116k	11m	50	0m	48ms	20k	13h	14h
	3	2m	101k	8m	366	0m	30ms	12k	37h	37h
	1+1	2m	116k	11m	5	0m	35ms	4k	0.2h	>8h
			(134k)	(0m)	6	0m	41ms	>100k	>7h	
80	0	14m	320k	74m	-	-	-	-	-	1.5h
	1	14m	275k	58m	7	0m	95ms	>100k	>18h	>20h
	2	14m	240k	45m	64	0m	74ms	>50k	>66h	>67h
	3	14m	205k	36m	506	0m	66ms	>50k	>19d	>19d



Thank you!