Lecture Notes

Quantum Information Theory

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1 Introduction

The very process of doing *physics* is to acquire *information* about the world around us. At the same time, the storage and processing of information is necessarily a physical process. It is thus not surprising that physics and the theory of information are inherently connected.[1] *Quantum information theory* is an interdisciplinary research area whose goal is to explore this connection.

As the name indicates, the information carriers in *quantum information theory* are quantum-mechanical systems (e.g., the spin of a single electron). This is in contrast to *classical information theory* where information is assumed to be represented by systems that are accurately characterized by the laws of classical mechanics and electrodynamics (e.g., a classical computer, or simply a piece of paper). Because any such classical system can in principle be described in the language of quantum mechanics, classical information theory is a (practically significant) special case of quantum information theory.

The course starts with a quick introduction to classical probability and information theory. Many of the relevant concepts, e.g., the notion of *entropy* as a measure of uncertainty, can already be defined in the purely classical case. I thus consider this classical part as a good preparation as well as a source of intuition for the more general quantum-mechanical treatment.

We will then move on to the quantum setting, where we will spend a considerable amount of time to introduce a convenient framework for representing and manipulating quantum states and quantum operations. This framework will be the prerequisite for formulating and studying typical information-theoretic problems such as information storage and transmission (with possibly noisy devices). Furthermore, we will learn in what sense information represented by quantum systems is different from information that is represented classically. Finally, we will have a look at applications such as *quantum key distribution*.

I would like to emphasize that it is not an intention of this course to give a complete treatment of quantum information theory. Instead, the goal is to focus on certain key concepts and to study them in more detail. For further reading, I recommend the standard textbook by Nielsen and Chuang [1].

[1] This connection has been noticed by numerous famous scientists over the past fifty years, among them Rolf Landauer with his claim "information is physical."

2 Probability Theory

Information theory is largely based on probability theory. Therefore, before introducing information-theoretic concepts, we need to recall some key notions of probability theory. The following section is, however, not thought as an introduction to probability theory. Rather, its main purpose is to summarize some basic facts as well as the notation we are going to use in this course.

2.1 What is probability?

This is actually a rather philosophical question and it is not the topic of this course to answer it.[1] Nevertheless, it might be useful to spend some thoughts about how probabilities are related to actual physical quantities.

For the purpose of this course, it might make sense to take a *Bayesian* point of view, meaning that probability distributions are generally interpreted as a *state of knowledge*. To illustrate the Bayesian approach, consider a game where a quizmaster hides a prize behind one of three doors, and where the task of a candidate is to find the prize. Let X be the number of the door (1, 2, or 3) which hides the prize. Obviously, as long as the candidate does not get any additional information, each of the doors is equally likely to hide the prize. Hence, the probability distribution P_X^{cand} that the candidate would assign to X is *uniform*,

$$P_X^{\text{cand}}(1) = P_X^{\text{cand}}(2) = P_X^{\text{cand}}(3) = 1/3 \ .$$

On the other hand, the quizmaster knows where he has hidden the prize, so he would assign a *deterministic value* to X. For example, if the prize is behind door 1, the probability distribution P^{mast} the quizmaster would assign to X has the form

$$P_X^{\text{mast}}(1) = 1 \quad \text{and} \quad P_X^{\text{mast}}(2) = P_X^{\text{mast}}(3) = 0 \ .$$

The crucial thing to note here is that, although the distributions P_X^{cand} and P_X^{mast} are referring to the same physical value X, they are different because they correspond to different states of knowledge.

We could extend this example arbitrarily. For instance, the quizmaster could open one of the doors, say 3, to reveal that the prize is *not* behind it. This additional information, of course, changes the state of knowledge of the candidate, resulting in yet another probability distribution $P_X^{\text{cand}'}$ associated with X,[2]

[1] For a nice introduction to the philosophy of probability theory, I recommend the book [2].

[2] The situation becomes more intriguing if the quizmaster opens a door after the candidate has already made a guess. The problem of determining the probability distribution that the candidate assigns to X in this case is known as the *Monty Hall problem*.

$$P_X^{\mathrm{cand}'}(1) = P_X^{\mathrm{cand}'}(2) = 1/2 \quad \text{and} \quad P_X^{\mathrm{cand}'}(3) = 0 \ .$$

When interpreting a probability distribution as a *state of knowledge* and, hence, as *subjective* quantity, we need to carefully specify *whose* state of knowledge we are referring to. This is particularly relevant for the analysis of information-theoretic settings, which usually involve more than one party. For example, in a communication scenario, we might have a *sender* who intends to transmit a message M to a *receiver*. Clearly, before M is sent, the sender and the receiver have different knowledge about M and, consequently, would assign different probability distributions to M. In the following, when describing such settings, we will typically understand all distributions as states of knowledge of an *outside observer*.

2.2 Definition of probability spaces and random variables

The concept of *random variables* is important in both physics and information theory. Roughly speaking, one can think of a random variable as the state of a classical probabilistic system. Hence, in classical information theory, it is natural to think of data as being represented by random variables.

In this section, we define random variables and explain a few related concepts. For completeness, we first give the general mathematical definition based on probability spaces. Later, we will restrict to *discrete* random variables (i.e., random variables that only take countably many values). These are easier to handle than general random variables but still sufficient for our information-theoretic considerations.

2.2.1 Probability space

A *probability space* is a triple $(\Omega, \mathcal{E}, P)$, where $(\Omega, \mathcal{E})$ is a measurable space, called *sample space*, and P is a probability measure. The *measurable space* consists of a set Ω and a σ-algebra $\mathcal{E}$ of subsets of Ω, called *events*.

By definition, the *σ-algebra* $\mathcal{E}$ must contain at least one event, and be closed under complements and countable unions. That is, (i) $\mathcal{E} \neq \emptyset$, (ii) if E is an event then so is its complement $E^c := \Omega \backslash E$, and (iii) if $(E_i)_{i\in\mathbb{N}}$ is a family of events then $\bigcup_{i\in\mathbb{N}} E_i$ is an event. In particular, Ω and $\emptyset$ are events, called the *certain event* and the *impossible event*.

The *probability measure* P on $(\Omega, \mathcal{E})$ is a function

$$P: \quad \mathcal{E} \to \mathbb{R}^+$$

that assigns to each event $E \in \mathcal{E}$ a nonnegative real number $P[E]$, called the *probability of* E. It must satisfy the probability axioms $P[\Omega] = 1$ and $P[\bigcup_{i\in\mathbb{N}} E_i] = \sum_{i\in\mathbb{N}} P[E_i]$ for any family $(E_i)_{in\in\mathbb{N}}$ of pairwise disjoint events.

2.2.2 Random variables

Let $(\Omega, \mathcal{E}, P)$ be a probability space and let $(\mathcal{X}, \mathcal{F})$ be a measurable space. A *random variable* X is a function from Ω to $\mathcal{X}$ which is *measurable* with respect to the σ-algebras

$\mathcal{E}$ and $\mathcal{F}$. This means that the preimage of any $F \in \mathcal{F}$ is an event, i.e., $X^{-1}(F) \in \mathcal{E}$. The probability measure P on $(\Omega, \mathcal{E})$ induces a probability measure P_X on the measurable space $(\mathcal{X}, \mathcal{F})$, which is also called *range of* X,

$$P_X[F] := P[X^{-1}(F)] \quad \forall F \in \mathcal{F} \ . \tag{2.1}$$

A pair (X, Y) of random variables can obviously be seen as a new random variable. More precisely, if X and Y are random variables with range $(\mathcal{X}, \mathcal{F})$ and $(\mathcal{Y}, \mathcal{G})$, respectively, then (X, Y) is the random variable with range $(\mathcal{X} \times \mathcal{Y}, \mathcal{F} \times \mathcal{G})$ defined by[3]

$$(X, Y) : \quad \omega \mapsto X(\omega) \times Y(\omega) \ .$$

We will typically write P_{XY} to denote the *joint probability measure* $P_{(X,Y)}$ on $(\mathcal{X} \times \mathcal{Y}, \mathcal{F} \times \mathcal{G})$ induced by (X, Y). This convention can, of course, be extended to more than two random variables in a straightforward way. For example, we will write $P_{X_1 \cdots X_n}$ for the probability measure induced by an n-tuple of random variables $(X_1, \ldots, X_n)$.

In a context involving only finitely many random variables $X_1, \ldots, X_n$, it is usually sufficient to specify the joint probability measure $P_{X_1 \cdots X_n}$, while the underlying probability space $(\Omega, \mathcal{E}, P)$ is irrelevant. In fact, as long as we are only interested in events defined in terms of the random variables $X_1, \ldots, X_n$ (see Section 2.2.3 below), we can without loss of generality identify the sample space $(\Omega, \mathcal{E})$ with the range of the tuple $(X_1, \ldots, X_n)$ and define the probability measure P to be equal to $P_{X_1 \cdots X_n}$.

2.2.3 Notation for events

Events are often defined in terms of random variables. For example, if the range of X is (a subset of) the set of real numbers $\mathbb{R}$ then $E := \{\omega \in \Omega : X(\omega) > x_0\}$ is the event that X takes a value larger than x_0. To denote such events, we will usually drop ω, i.e., we simply write $E = \{X > x_0\}$. If the event is given as an argument to a function, we also omit the curly brackets. For instance, we write $P[X > x_0]$ instead of $P[\{X > x_0\}]$ to denote the probability of the event $\{X > x_0\}$.

2.2.4 Conditioning on events

Let $(\Omega, \mathcal{E}, P)$ be a probability space. Any event $E' \in \mathcal{E}$ such that $P(E') > 0$ gives rise to a new probability measure $P[\cdot|E']$ on $(\Omega, \mathcal{E})$ defined by

$$P[E|E'] := \frac{P[E \cap E']}{P[E']} \quad \forall E \in \mathcal{E} \ .$$

$P[E|E']$ is called the *probability of* E *conditioned on* E' and can be interpreted as the probability that the event E occurs if we already know that the event E' has occurred. In particular, if E and E' are *mutually independent*, i.e., $P[E \cap E'] = P[E]P[E']$, then $P[E|E'] = P[E]$.

[3] $\mathcal{F} \times \mathcal{G}$ denotes the set $\{F \times G : F \in \mathcal{F}, G \in \mathcal{G}\}$. It is easy to see that $\mathcal{F} \times \mathcal{G}$ is a σ-algebra over $\mathcal{X} \times \mathcal{Y}$.

Similarly, we can define $P_{X|E'}$ as the *probability measure of a random variable X conditioned on E'*. Analogously to (2.1), it is the probability measure induced by $P[\cdot|E']$, i.e.,

$$P_{X|E'}[F] := P[X^{-1}(F)|E'] \quad \forall F \in \mathcal{F} \ .$$

2.3 Probability theory with discrete random variables

2.3.1 Discrete random variables

In the remainder of this script, if not stated otherwise, all random variables are assumed to be *discrete*. This means that their range $(\mathcal{X}, \mathcal{F})$ consists of a countably infinite or even finite set $\mathcal{X}$. In addition, we will assume that the σ-algebra $\mathcal{F}$ is the power set of $\mathcal{X}$, i.e., $\mathcal{F} := \{F \subseteq \mathcal{X}\}$.[4] Furthermore, we call $\mathcal{X}$ the *alphabet of X*. The probability measure P_X is then defined for any singleton set $\{x\}$. Setting $P_X(x) := P_X[\{x\}]$, we can interpret P_X as a *probability mass function*, i.e., a positive function

$$P_X : \quad \mathcal{X} \to \mathbb{R}^+$$

that satisfies the *normalization condition*

$$\sum_{x \in \mathcal{X}} P_X(x) = 1 \ . \tag{2.2}$$

More generally, for an event E' with $P[E'] > 0$, the *probability mass function of X conditioned on E'* is given by $P_{X|E'}(x) := P_{X|E'}[\{x\}]$, and also satisfies the normalization condition (2.2).

2.3.2 Marginals and conditional distributions

Although the following definitions and statements apply to arbitrary n-tuples of random variables, we will formulate them only for *pairs* (X, Y) in order to keep the notation simple. In particular, it suffices to specify a bipartite probability distribution P_{XY}, i.e., a positive function on $\mathcal{X} \times \mathcal{Y}$ satisfying the normalization condition (2.2), where $\mathcal{X}$ and $\mathcal{Y}$ are the alphabets of X and Y, respectively. The extension to arbitrary n-tuples is straightforward.[5]

Given P_{XY}, we call P_X and P_Y the *marginal distributions*. It is easy to verify that

$$P_X(x) = \sum_{y \in \mathcal{Y}} P_{XY}(x, y) \quad \forall x \in \mathcal{X} \ , \tag{2.3}$$

and likewise for P_Y. Furthermore, for any $y \in \mathcal{Y}$ with $P_Y(y) > 0$, the *distribution $P_{X|Y=y}$ of X conditioned on the event $Y = y$* obeys

$$P_{X|Y=y}(x) = \frac{P_{XY}(x, y)}{P_Y(y)} \quad \forall x \in \mathcal{X} \ . \tag{2.4}$$

[4] It is easy to see that the power set of $\mathcal{X}$ is indeed a σ-algebra over $\mathcal{X}$.

[5] Note that X and Y can themselves be tuples of random variables.

2.3.3 Special distributions

Certain distributions are important enough to be given a name. We call P_X *flat* if all non-zero probabilities are equal, i.e.,

$$P_X(x) \in \{0, q\} \quad \forall x \in \mathcal{X}$$

for some $q \in [0,1]$. Because of the normalization condition (2.2), we have $q = \frac{1}{|\text{supp} P_X|}$, where $\text{supp} P_X := \{x \in \mathcal{X} : P_X(x) > 0\}$ is the *support* of the function P_X. Furthermore, if P_X is flat and has no zero probabilities, i.e.,

$$P_X(x) = \frac{1}{|\mathcal{X}|} \quad \forall x \in \mathcal{X} ,$$

we call it *uniform*.

2.3.4 Independence and Markov chains

Two discrete random variables X and Y are said to be *mutually independent* if the events $\{X = x\}$ and $\{Y = y\}$ are mutually independent for any $(x, y) \in \mathcal{X} \times \mathcal{Y}$. Their joint probability mass function then satisfies $P_{XY} = P_X \times P_Y$.[6]

Related to this is the notion of *Markov chains*. A sequence of random variables $X_1, X_2, \ldots$ is said to have the *Markov property*, denoted $X_1 \leftrightarrow X_2 \leftrightarrow \cdots \leftrightarrow X_n$, if for all $i \in \{1, \ldots, n-1\}$

$$P_{X_{i+1}|X_1=x_1,\ldots,X_i=x_i} = P_{X_{i+1}|X_i=x_i} \quad \forall x_1, \ldots, x_i .$$

This expresses the fact that, given any fixed value of X_i, the random variable X_{i+1} is completely independent of all previous random variables $X_1, \ldots, X_{i-1}$. In particular, X_{i+1} can be computed given only X_i.

2.3.5 Functions of random variables, expectation values, and Jensen's inequality

Let X be a random variable with alphabet $\mathcal{X}$ and let f be a function from $\mathcal{X}$ to $\mathcal{Y}$. We denote by $f(X)$ the random variable defined by the concatenation $f \circ X$. Obviously, $f(X)$ has alphabet $\mathcal{Y}$ and, in the discrete case we consider here, the corresponding probability mass function $P_{f(X)}$ is given by

$$P_{f(X)}(y) = \sum_{x \in f^{-1}(\{y\})} P_X(x) .$$

For a random variable X whose alphabet $\mathcal{X}$ is a module over the reals $\mathbb{R}$ (i.e., there is a notion of addition and multiplication with reals), we define the *expectation value* of X by

$$\langle X \rangle_{P_X} := \sum_{x \in X} P_X(x) x .$$

[6] $P_X \times P_Y$ denotes the function $(x, y) \mapsto P_X(x) P_Y(y)$.

If the distribution P_X is clear from the context, we sometimes omit the subscript.

For a convex real function f on a convex set $\mathcal{X}$, the expectation values of X and $f(X)$ are related by *Jensen's inequality*

$$\langle f(X) \rangle \geq f(\langle X \rangle) \ .$$

The inequality is essentially a direct consequence of the definition of convexity (see Fig. 2.1).

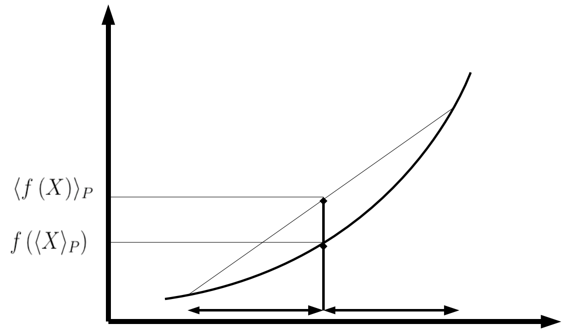


Figure 2.1: Jensen's inequality for a convex function

2.3.6 Trace distance

Let P and Q be two probability mass functions[7] on an alphabet $\mathcal{X}$. The *trace distance* δ between P and Q is defined by

$$\delta(P, Q) = \frac{1}{2} \sum_{x \in \mathcal{X}} |P(x) - Q(x)|$$

In the literature, the trace distance is also called *statistical distance*, *variational distance*, or *Kolmogorov distance*.[8] It is easy to verify that δ is indeed a *metric*, that is, it is symmetric, nonnegative, zero if and only if $P = Q$, and it satisfies the triangle inequality. Furthermore, $\delta(P, Q) \leq 1$ with equality if and only if P and Q have distinct support.

Because P and Q satisfy the normalization condition (2.2), the trace distance can equivalently be written as

$$\delta(P, Q) = 1 - \sum_{x \in \mathcal{X}} \min[P(x), Q(x)] \ . \tag{2.5}$$

The trace distance between the probability mass functions Q_X and $Q_{X'}$ of two random variables X and X' has a simple interpretation. It can be seen as the minimum probability that X and X' take different values.

[7]The definition can easily be generalized to probability measures.

[8]We use the term *trace distance* because, as we shall see, it is a special case of the trace distance for density operators.

Lemma 2.3.1. *Let Q_X and $Q_{X'}$ be probability mass functions on $\mathcal{X}$. Then*

$$\delta(Q_X, Q_{X'}) = \min_{P_{XX'}} P_{XX'}[X \neq X']$$

where the minimum ranges over all joint probability mass functions $P_{XX'}$ with marginals $P_X = Q_X$ and $P_{X'} = Q_{X'}$.

Proof. To prove the inequality $\delta(Q_X, Q_{X'}) \leq \min_{P_{XX'}} P_{XX'}[X \neq X']$, we use (2.5) and the fact that, for any joint probability mass function $P_{XX'}$, $\min[P_X(x), P_{X'}(x)] \geq P_{XX'}(x, x)$, which gives

$$\delta(P_X, P_{X'}) = 1 - \sum_{x \in \mathcal{X}} \min[P_X(x), P_{X'}(x)] \leq 1 - \sum_{x \in \mathcal{X}} P_{XX'}(x, x) = P_{XX'}[X \neq X'] \ .$$

We thus have $\delta(P_X, P_{X'}) \leq P_{XX'}[X \neq X']$, for any probability mass function $P_{XX'}$. Taking the minimum over all $P_{XX'}$ with $P_X = Q_X$ and $P_{X'} = Q_{X'}$ gives the desired inequality.

The proof of the opposite inequality is given in the exercises. □

An important property of the trace distance is that it can only decrease under the operation of taking marginals.

Lemma 2.3.2. *For any two density mass functions P_{XY} and Q_{XY},*

$$\delta(P_{XY}, Q_{XY}) \geq \delta(P_X, Q_X) \ .$$

Proof. Applying the triangle inequality for the absolute value, we find

$$\begin{aligned} \frac{1}{2} \sum_{x,y} |P_{XY}(x, y) - Q_{XY}(x, y)| &\geq \frac{1}{2} \sum_{x} |\sum_{y} P_{XY}(x, y) - Q_{XY}(x, y)| \\ &= \frac{1}{2} \sum_{x} |P_X(x) - Q_X(x)| \ , \end{aligned}$$

where the second equality is (2.3). The assertion then follows from the definition of the trace distance. □

2.3.7 I.i.d. distributions and the law of large numbers

An n-tuple of random variables $X_1, \ldots, X_n$ with alphabet $\mathcal{X}$ is said to be *independent and identically distributed (i.i.d.)* if their joint probability mass function has the form

$$P_{X_1 \cdots X_n} = P_X^{\times n} := P_X \times \cdots \times P_X \ .$$

The i.i.d. property thus characterizes situations where a certain process is repeated n times independently. In the context of information theory, the i.i.d. property is often used to describe the statistics of noise, e.g., in repeated uses of a communication channel (see Section 3.2).

The *law of large numbers* characterizes the "typical behavior" of real-valued i.i.d. random variables $X_1, \ldots, X_n$ in the limit of large n. It usually comes in two versions, called the *weak* and the *strong* law of large numbers. As the name suggests, the latter implies the first.

Let $\mu = \langle X_i \rangle$ be the expectation value of X_i (which, by the i.i.d. assumption, is the same for all $X_1, \ldots, X_n$), and let

$$Z_n := \frac{1}{n} \sum_{i=1}^{n} X_i$$

be the *sample mean*. Then, according to the *weak law of large numbers*, the probability that Z_n is ε-close to μ for any positive ε converges to one, i.e.,

$$\lim_{n \to \infty} P\big[|Z_n - \mu| < \varepsilon\big] = 1 \quad \forall \varepsilon > 0 \ . \tag{2.6}$$

The weak law of large numbers will be sufficient for our purposes. However, for completeness, we mention the *strong law of large numbers* which says that Z_n converges to μ with probability 1,

$$P\big[\lim_{n \to \infty} Z_n = \mu\big] = 1 \ .$$

2.3.8 Channels

A *channel* $\mathbf{p}$ is a probabilistic mapping that assigns to each value of an *input alphabet* $\mathcal{X}$ a value of the *output alphabet*. Formally, $\mathbf{p}$ is a function

$$\begin{aligned} \mathbf{p}: \quad & \mathcal{X} \times \mathcal{Y} \to \mathbb{R}^+ \\ & (x, y) \mapsto \mathbf{p}(y|x) \end{aligned}$$

such that $\mathbf{p}(\cdot|x)$ is a probability mass function for any $x \in \mathcal{X}$.

Given a random variable X with alphabet $\mathcal{X}$, a channel $\mathbf{p}$ from $\mathcal{X}$ to $\mathcal{Y}$ naturally defines a new random variable Y via the joint probability mass function P_{XY} given by[9]

$$P_{XY}(x, y) := P_X(x)\mathbf{p}(y|x) \ . \tag{2.7}$$

Note also that channels can be seen as generalizations of functions. Indeed, if f is a function from $\mathcal{X}$ to $\mathcal{Y}$, its description as a channel $\mathbf{p}$ is given by

$$\mathbf{p}(y|x) = \delta_{y, f(x)} \ .$$

Channels can be seen as abstractions of any (classical) physical device that takes an input X and outputs Y. A typical example for such a device is, of course, a *communication channel*, e.g., an optical fiber, where X is the input provided by a *sender* and where Y is the (possibly noisy) version of X delivered to a *receiver*. A practically relevant question

[9] It is easy to verify that P_{XY} is indeed a probability mass function.

then is how much information one can transmit *reliably* over such a channel, using an appropriate encoding.

But channels do not only carry information over space, but also over time. Typical examples are memory devices, e.g., a hard drive or a CD (where one wants to model the errors introduced between storage and reading out of data). Here, the question is how much redundancy we need to introduce in the stored data in order to correct these errors.

The notion of channels is illustrated by the following two examples.

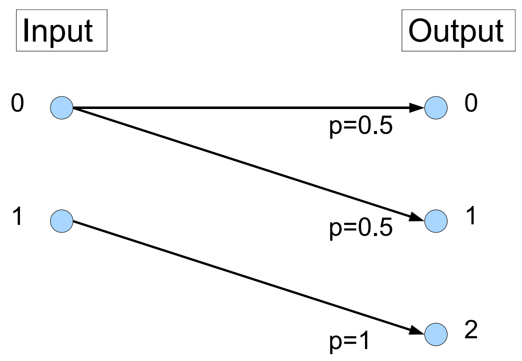


Figure 2.2: Example 1. A reliable channel

Example 2.3.3. The channel depicted in Fig. 2.2 maps the input 0 with equal probability to either 0 or 1; the input 1 is always mapped to 2. The channel has the property that its input is uniquely determined by its output. As we shall see later, such a channel would allow to reliably transmit one classical bit of information.

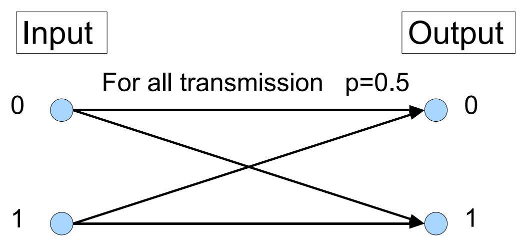


Figure 2.3: Example 2. An unreliable channel

Example 2.3.4. The channel shown in Fig. 2.3 maps each possible input with equal probability to either 0 or 1. The output is thus completely independent of the input. Such a channel is obviously not useful to transmit information.

The notion of i.i.d. random variables naturally translates to channels. A channel $\mathbf{p}_n$ from $\mathcal{X} \times \cdots \times \mathcal{X}$ to $\mathcal{Y} \times \cdots \times \mathcal{Y}$ is said to be *i.i.d.* if it can be written as $\mathbf{p}_n = \mathbf{p}^{\times n} := \mathbf{p} \times \cdots \times \mathbf{p}$.

3 Information Theory

3.1 Quantifying information

The main object of interest in information theory, of course, is information and the way it is processed. The quantification of information thus plays a central role. The aim of this section is to introduce some notions and techniques that are needed for the quantitative study of *classical* information, i.e., information that can be represented by the state of a classical (in contrast to *quantum*) system.

3.1.1 Approaches to define information and entropy

Measures of *information* and measures of *uncertainty*, also called *entropy measures*, are closely related. In fact, the information contained in a message X can be seen as the amount by which our uncertainty (measured in terms of entropy) decreases when we learn X.

There are, however, a variety of approaches to defining entropy measures. The decision what approach to take mainly depends on the type of questions we would like to answer. Let us thus consider a few examples.

Example 3.1.1 (Data transmission)**.** Given a (possibly noisy) communication channel connecting a sender and a receiver (e.g., an optical fiber), we are interested in the time it takes to reliably transmit a certain document (e.g., the content of a textbook).

Example 3.1.2 (Data storage)**.** Given certain data (e.g., a movie), we want to determine the minimum space (e.g., on a hard drive) needed to store it.

The latter question is related to *data compression*, where the task is to find a space-saving representation Z of given data X. In some sense, this corresponds to finding the shortest possible description of X. An elegant way to make this more precise is to view the description of X as an *algorithm* that generates X. Applied to the problem of data storage, this would mean that, instead of storing data X directly, one would store an (as small as possible) algorithm Z which can reproduce X.

The definition of *algorithmic entropy*, also known as *Kolmogorov complexity*, is exactly based on this idea. The *algorithmic entropy* of X is defined as the minimum length of an algorithm that generates X. For example, a bitstring $X = 00 \cdots 0$ consisting of $n \gg 1$ zeros has small algorithmic entropy because it can be generated by a short program (the program that simply outputs a sequence of zeros). The same is true if X consists of the first n digits of π, because there is a short algorithm that computes the circular constant π. In contrast, if X is a sequence of n bits chosen at random, its algorithmic entropy will, with high probability, be roughly equal to n. This is because the shortest program generating the exact sequence of bits X is, most likely, simply the program that has the whole sequence already stored.[1]

Despite the elegance of its definition, the algorithmic entropy has a fundamental disadvantage when being used as a measure for uncertainty: it is *not computable*. This means that there cannot exist a method (e.g., a computer program) that estimates the algorithmic complexity of a given string X. This deficiency as well as its implications[2] render the algorithmic complexity unsuitable as a measure of entropy for most practical applications.

In this course, we will consider a different approach which is based on ideas developed in thermodynamics. The approach has been proposed in 1948 by Shannon [3] and, since then, has proved highly successful, with numerous applications in various scientific disciplines (including, of course, physics). It can also be seen as the theoretical foundation of modern information and communication technology. Today, Shannon's theory is viewed as *the* standard approach to information theory.

In contrast to the algorithmic approach described above, where the entropy is defined as a function of the actual data X, the information measures used in Shannon's theory depend on the probability distribution of the data. More precisely, the entropy of a value X is a measure for the likelihood that a particular value occurs. Applied to the above compression problem, this means that one needs to assign a probability mass function to the data to be compressed. The method used for compression might then be optimized for the particular probability mass function assigned to the data.

3.1.2 Entropy of events

We take an axiomatic approach to motivate the definition of the Shannon entropy and related quantities. In a first step, we will think of the entropy as a property of events E. More precisely, given a probability space $(\Omega, \mathcal{E}, P)$, we consider a function H that assigns to each event E a real value $H(E)$,

$$\begin{array}{rccc} H: & \mathcal{E} & \to & \mathbb{R} \cup \{\infty\} \\ & E & \mapsto & H(E) \ . \end{array}$$

For the following, we assume that the events are defined on a probability space with probability measure P. The function H should then satisfy the following properties.

1. *Independence of the representation:* $H(E)$ only depends on the probability $P[E]$ of the event E.

2. *Continuity:* H is continuous in the probability measure P (relative to the topology induced by the trace distance).

3. *Additivity:* $H(E \cap E') = H(E) + H(E')$ for two independent events E and E'.

4. *Normalization:* $H(E) = 1$ for E with $P[E] = \frac{1}{2}$.

[1] In fact, a (deterministic) computer can only generate *pseudo-random* numbers, i.e., numbers that cannot be distinguished (using any efficient method) from true random numbers.

[2] An immediate implication is that there cannot exist a compression method that takes as input data X and outputs a short algorithm that generates X.

The axioms appear natural if we think of H as a measure of uncertainty. Indeed, Axiom 3 reflects the idea that our total uncertainty about two independent events is simply the sum of the uncertainty about the individual events. We also note that the normalization imposed by Axiom 4 can be chosen arbitrarily; the convention, however, is to assign entropy 1 to the event corresponding to the outcome of a fair coin flip.

The axioms uniquely define the function H.

Lemma 3.1.3. *The function H satisfies the above axioms if and only if it has the form*

$$H : \quad E \longmapsto -\log_2 P[E] \ .$$

Proof. It is straightforward that H as defined in the lemma satisfies all the axioms. It thus remains to show that the definition is unique. For this, we make the ansatz

$$H(E) = f(-\log_2 P[E])$$

where f is an arbitrary function from $\mathbb{R}^+ \cup \{\infty\}$ to $\mathbb{R} \cup \{\infty\}$. We note that, apart from taking into account the first axiom, this is no restriction of generality, because any possible function of $P[E]$ can be written in this form.

From the continuity axiom, it follows that f must be continuous. Furthermore, inserting the additivity axiom for events E and E' with probabilities p and p', respectively, gives

$$f(-\log_2 p) + f(-\log_2 p') = f(-\log_2 pp') \ .$$

Setting $a := -\log_2 p$ and $a' := -\log_2 p'$, this can be rewritten as

$$f(a) + f(a') = f(a + a') \ .$$

Together with the continuity axiom, we conclude that f is linear, i.e., $f(x) = \gamma x$ for some $\gamma \in \mathbb{R}$. The normalization axiom then implies that $\gamma = 1$. □

3.1.3 Entropy of random variables

We are now ready to define entropy measures for random variables. Analogously to the entropy of an event E, which only depends on the probability $P[E]$ of the event, the entropy of a random variable X only depends on the probability mass function P_X.

We start with the most standard measure in classical information theory, the *Shannon entropy*, in the following denoted by H. Let X be a random variable with alphabet $\mathcal{X}$ and let $h(x)$ be the entropy of the event $E_x := \{X = x\}$, for any $x \in \mathcal{X}$, that is,

$$h(x) := H(E_x) = -\log_2 P_X(x) \ . \tag{3.1}$$

Then the *Shannon entropy* is defined as the *expectation value* of $h(x)$, i.e.,

$$H(X) := \langle h(X) \rangle = -\sum_{x \in \mathcal{X}} P_X(x) \log_2 P_X(x) \ .$$

If the probability measure P is unclear from the context, we will include it in the notation as a subscript, i.e., we write $H(X)_P$.

Similarly, the *min-entropy*, denoted $H_{\min}$, is defined as the *minimum* entropy $H(E_x)$ of the events E_x, i.e.,

$$H_{\min}(X) := \min_{x \in \mathcal{X}} h(x) = -\log_2 \max_{x \in \mathcal{X}} P_X(x) .$$

A slightly different entropy measure is the *max-entropy*, denoted $H_{\max}$. Despite the similarity of its name to the above measure, the definition does not rely on the entropy of events, but rather on the cardinality of the support $\mathrm{supp} P_X := \{x \in \mathcal{X} : P_X(x) > 0\}$ of P_X,

$$H_{\max}(X) := \log_2 \big|\mathrm{supp} P_X\big|.$$

It is easy to verify that the entropies defined above are related by

$$H_{\min}(X) \leq H(X) \leq H_{\max}(X) , \tag{3.2}$$

with equality if the probability mass function P_X is flat. Furthermore, they have various properties in common. The following holds for H, $H_{\min}$, and $H_{\max}$; to keep the notation simple, however, we only write H.

1. H is invariant under permutations of the elements, i.e., $H(X) = H(\pi(X))$, for any permutation π.
2. H is nonnegative.[3]
3. H is upper bounded by the logarithm of the alphabet size, i.e., $H(X) \leq \log_2 |\mathcal{X}|$.
4. H equals zero if and only if exactly one of the entries of P_X equals one, i.e., if $|\mathrm{supp} P_X| = 1$.

3.1.4 Conditional entropy

In information theory, one typically wants to quantify the uncertainty about some data X, given that one already has information Y. To capture such situations, we need to generalize the entropy measures introduced in Section 3.1.3.

Let X and Y be random variables with alphabet $\mathcal{X}$ and $\mathcal{Y}$, respectively, and define, analogously to (3.1),

$$h(x|y) := -\log_2 P_{X|Y=y}(x) , \tag{3.3}$$

for any $x \in \mathcal{X}$ and $y \in \mathcal{Y}$. Then the *Shannon entropy of X conditioned on Y* is again defined as an expectation value,

$$H(X|Y) := \langle h(X|Y) \rangle = -\sum_{\substack{x \in \mathcal{X} \\ y \in \mathcal{Y}}} P_{XY}(x,y) \log_2 P_{X|Y=y}(x) .$$

[3]Note that this will no longer be true for the conditional entropy of quantum states.

For the definition of the *min-entropy of X given Y*, the expectation value is replaced by a minimum, i.e.,

$$H_{\min}(X|Y) := \min_{\substack{x\in\mathcal{X}\\ y\in\mathcal{Y}}} h(x|y) = -\log_2 \max_{\substack{x\in\mathcal{X}\\ y\in\mathcal{Y}}} P_{X|Y=y}(x) \ .$$

Finally, the *max-entropy of X given Y* is defined by

$$H_{\max}(X|Y) := \max_{y\in\mathcal{Y}} \log_2 |\mathrm{supp} P_{X|Y=y}| \ .$$

The conditional entropies H, $H_{\min}$, and $H_{\max}$ satisfy the rules listed in Section 3.1.3. Furthermore, the entropies can only decrease when conditioning on an additional random variable Z, i.e.,

$$H(X|Y) \geq H(X|YZ) \ . \tag{3.4}$$

This relation is also known as *strong subadditivity* and we will prove it in the more general quantum case.

Finally, it is straightforward to verify that the Shannon entropy H satisfies the *chain rule*

$$H(X|YZ) = H(XY|Z) - H(Y|Z) \ .$$

In particular, if we omit the random variable Z, we get

$$H(X|Y) = H(XY) - H(Y)$$

that is, the uncertainty of X given Y can be seen as the uncertainty about the pair (X, Y) minus the uncertainty about Y. We note here that a slightly modified version of the chain rule also holds for $H_{\min}$ and $H_{\max}$, but we will not go further into this.

3.1.5 Mutual information

Let X and Y be two random variables. The *(Shannon) mutual information between X and Y*, denoted $I(X : Y)$ is defined as the amount by which the Shannon entropy on X decreases when one learns Y,

$$I(X : Y) := H(X) - H(X|Y) \ .$$

More generally, given an additional random variable Z, the *(Shannon) mutual information between X and Y conditioned on Z*, $I(X : Y|Z)$, is defined by

$$I(X : Y|Z) := H(X|Z) - H(X|YZ) \ .$$

It is easy to see that the mutual information is symmetric under exchange of X and Y, i.e.,

$$I(X : Y|Z) = I(Y : X|Z) \ .$$

Furthermore, because of the strong subadditivity (3.4), the mutual information cannot be negative, and $I(X : Y) = 0$ holds if and only if X and Y are mutually independent. More generally, $I(X : Y|Z) = 0$ if and only if $X \leftrightarrow Z \leftrightarrow Y$ is a Markov chain.

3.1.6 Smooth min- and max- entropies

The dependency of the min- and max-entropy of a random variable on the underlying probability mass functions is discontinuous. To see this, consider a random variable X with alphabet $\{1, \ldots, 2^\ell\}$ and probability mass function P_X^ε given by

$$
\begin{aligned}
P_X^\varepsilon(1) &= 1 - \varepsilon \\
P_X^\varepsilon(x) &= \frac{\varepsilon}{2^\ell - 1} \quad \text{if } x > 1 \ ,
\end{aligned}
$$

where $\varepsilon \in [0, 1]$. It is easy to see that, for $\varepsilon = 0$,

$$H_{\max}(X)_{P_X^0} = 0$$

whereas, for any $\varepsilon > 0$,

$$H_{\max}(X)_{P_X^\varepsilon} = \ell \ .$$

Note also that the trace distance between the two distributions satisfies $\delta(P_X^0, P_X^\varepsilon) = \varepsilon$. That is, an arbitrarily small change in the distribution can change the entropy $H_{\max}(X)$ by an arbitrary amount. In contrast, a small change of the underlying probability mass function is often irrelevant in applications. This motivates the following definition of *smooth* min- and max-entropies, which extends the above definition.

Let X and Y be random variables with joint probability mass function P_{XY}, and let $\varepsilon \geq 0$. The *ε-smooth min-entropy of X conditioned on Y* is defined as

$$H_{\min}^\varepsilon(X|Y) := \max_{Q_{XY} \in \mathcal{B}^\varepsilon(P_{XY})} H_{\min}(X|Y)_{Q_{XY}}$$

where the maximum ranges over the ε-ball $\mathcal{B}^\varepsilon(P_{XY})$ of probability mass functions Q_{XY} satisfying $\delta(P_{XY}, Q_{XY}) \leq \varepsilon$. Similarly, the *$\varepsilon$-smooth max-entropy of X conditioned on Y* is defined as

$$H_{\max}^\varepsilon(X|Y) := \min_{Q_{XY} \in \mathcal{B}^\varepsilon(P_{XY})} H_{\max}(X|Y)_{Q_{XY}} \ .$$

Note that the original definitions of $H_{\min}$ and $H_{\max}$ can be seen as the special case where $\varepsilon = 0$.

3.1.7 Shannon entropy as a special case of min- and max-entropy

We have already seen that the Shannon entropy always lies between the min- and the max-entropy (see (3.2)). In the special case of n-tuples of *i.i.d.* random variables, the gap between $H_{\min}^\varepsilon$ and $H_{\max}^\varepsilon$ approaches zero with increasing n, which means that all entropies become identical. This is expressed by the following lemma.

Lemma 3.1.4. *For any $n \in \mathbb{N}$, let $(X_1, Y_1), \ldots, (X_n, Y_n)$ be a sequence of i.i.d. pairs of random variables, i.e., $P_{X_1 Y_1 \cdots X_n Y_n} = P_{XY}^{\times n}$. Then*

$$
\begin{aligned}
H(X|Y)_{P_{XY}} &= \lim_{\varepsilon \to 0} \lim_{n \to \infty} \frac{1}{n} H_{\min}^\varepsilon(X_1 \cdots X_n | Y_1 \cdots Y_n) \\
H(X|Y)_{P_{XY}} &= \lim_{\varepsilon \to 0} \lim_{n \to \infty} \frac{1}{n} H_{\max}^\varepsilon(X_1 \cdots X_n | Y_1 \cdots Y_n) \ .
\end{aligned}
$$

Proof. The lemma is a consequence of the law of large numbers (see Section 2.3.7), applied to the random variables $Z_i := h(X_i|Y_i)$, for $h(x|y)$ defined by (3.3). More details are given in the exercises. □

3.2 An example application: channel coding

3.2.1 Definition of the problem

Consider the following scenario. A sender, traditionally called *Alice*, wants to send a message M to a receiver, *Bob*. They are connected by a communication channel $\mathbf{p}$ that takes inputs X from Alice and outputs Y on Bob's side (see Section 2.3.8). The channel might be noisy, which means that Y can differ from X. The challenge is to find an appropriate encoding scheme that allows Bob to retrieve the correct message M, except with a small error probability ε. As we shall see, ε can always be made arbitrarily small (at the cost of the amount of information that can be transmitted), but it is generally impossible to reach $\varepsilon = 0$, i.e., Bob cannot retrieve M with absolute certainty.

To describe the encoding and decoding process, we assume without loss of generality[4] that the message M is represented as an ℓ-bit string, i.e., M takes values from the set $\{0,1\}^\ell$. Alice then applies an *encoding function* $\mathrm{enc}_\ell : \{0,1\}^\ell \to \mathcal{X}$ that maps M to a channel input X. On the other end of the line, Bob applies a *decoding function* $\mathrm{dec}_\ell : \mathcal{Y} \to \{0,1\}^\ell$ to the channel output Y in order to retrieve M'.

$$M \xrightarrow[\mathrm{enc}_\ell]{} X \xrightarrow[\mathbf{p}]{} Y \xrightarrow[\mathrm{dec}_\ell]{} M' . \tag{3.5}$$

The transmission is successful if $M = M'$. More generally, for any fixed encoding and decoding procedures enc_ℓ and dec_ℓ, and for any message $m \in \{0,1\}^\ell$, we can define

$$p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(m) := P[\mathrm{dec}_\ell \circ \mathbf{p} \circ \mathrm{enc}_\ell(M) \neq M | M = m]$$

as the probability that the decoded message $M' := \mathrm{dec}_\ell \circ \mathbf{p} \circ \mathrm{enc}_\ell(M)$ generated by the process (3.5) does not coincide with M.[5]

In the following, we analyze the maximum number of message bits ℓ that can be transmitted in one use of the channel $\mathbf{p}$ if we tolerate a maximum error probability ε,

$$\ell^\varepsilon(\mathbf{p}) := \max\{\ell \in \mathbb{N} : \exists\, \mathrm{enc}_\ell, \mathrm{dec}_\ell : \max_m p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(m) \leq \varepsilon\} .$$

3.2.2 The general channel coding theorem

The *channel coding theorem* provides a lower bound on the quantity $\ell^\varepsilon(\mathbf{p})$. It is easy to see from the formula below that reducing the maximum tolerated error probability by a factor of 2 comes at the cost of reducing the number of bits that can be transmitted reliably by 1. It can also be shown that the bound is almost tight (up to terms $\log_2 \frac{1}{\varepsilon}$).

[4] Note that all our statements will be independent of the actual representation of M. The only quantity that matters is the alphabet size of M, i.e., the total number of possible values.

[5] Here we interpret a channel as a probabilistic function from the input to the output alphabets.

Theorem 3.2.1. *For any channel* $\mathbf{p}$ *and any* $\varepsilon \geq 0$,

$$\ell^{\varepsilon}(\mathbf{p}) \geq \max_{P_X}\bigl(H_{\min}(X) - H_{\max}(X|Y)\bigr) - \log_2 \frac{1}{\varepsilon} - 3 \ ,$$

where the entropies on the right hand side are evaluated for the random variables X *and* Y *jointly distributed according to* $P_{XY} = P_X \mathbf{p}$.[6]

The proof idea is illustrated in Fig. 3.1.

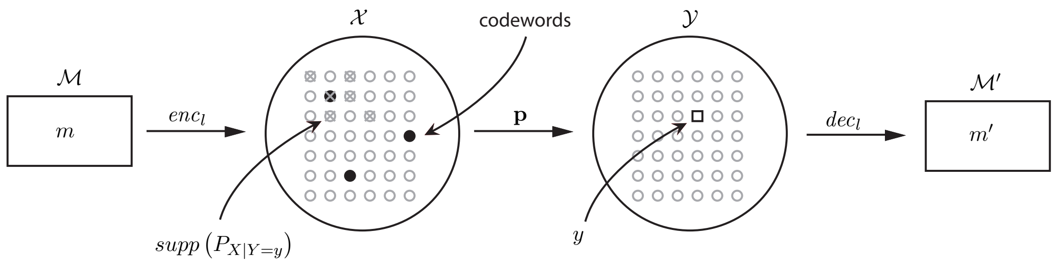


Figure 3.1: The figure illustrates the proof idea of the channel coding theorem. The range of the encoding function enc_ℓ is called *code* and their elements are the *codewords.*

Proof. The argument is based on a *randomized construction* of the encoding function. Let P_X be the distribution that maximizes the right hand side of the claim of the theorem and let ℓ be

$$\ell = \lfloor H_{\min}(X) - H_{\max}(X|Y) - \log_2 \frac{2}{\varepsilon} \rfloor. \tag{3.6}$$

In a first step, we consider an encoding function enc_ℓ *chosen at random* by assigning to each $m \in \{0,1\}^\ell$ a value $\mathrm{enc}_\ell(m) := X$ where X is chosen according to P_X. We then show that for a decoding function dec_ℓ that maps $y \in \mathcal{Y}$ to an arbitrary value $m' \in \{0,1\}^\ell$ that is *compatible* with y, i.e., $\mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}$, the error probability for a message M chosen uniformly at random satisfies

$$\bigl\langle p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(M) \bigr\rangle = P[\mathrm{dec}_\ell \circ \mathbf{p} \circ \mathrm{enc}_\ell(M) \neq M] \leq \frac{\varepsilon}{2} \ . \tag{3.7}$$

In a second step, we use this bound to show that there exist $\mathrm{enc}'_{\ell-1}$ and $\mathrm{dec}'_{\ell-1}$ such that

$$p_{\mathrm{err}}^{\mathrm{enc}'_{\ell-1},\mathrm{dec}'_{\ell-1}}(m) \leq \varepsilon \quad \forall m \in \{0,1\}^{\ell-1} \ . \tag{3.8}$$

[6]See also (2.7).

We then have

$$\begin{aligned}\ell^{\varepsilon}(\mathbf{p}) &\geq \ell - 1 \\ &= \lfloor H_{\min}(X) - H_{\max}(X|Y) - \log_2(2/\varepsilon) \rfloor - 1 \\ &\geq H_{\min}(X) - H_{\max}(X|Y) - \log_2(1/\varepsilon) - 3.\end{aligned}$$

To prove (3.7), let enc_ℓ and M be chosen at random as described, let $Y := \mathbf{p} \circ \mathrm{enc}_\ell(M)$ be the channel output, and let $M' := \mathrm{dec}_\ell(Y)$ be the decoded message. We then consider any pair (m, y) such that $P_{MY}(m, y) > 0$. It is easy to see that, conditioned on the event that $(M, Y) = (m, y)$, the decoding function dec_ℓ described above can only fail, i.e., produce an $M' \neq M$, if there exists $m' \neq m$ such that $\mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}$. Hence, the probability that the decoding fails is bounded by

$$P[M \neq M' | M = m, Y = y] \leq P[\exists m' \neq m : \mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}] \ . \tag{3.9}$$

Furthermore, by the union bound, we have

$$P[\exists m' \neq m : \mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}] \leq \sum_{m' \neq m} P[\mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}] \ .$$

Because, by construction, $\mathrm{enc}_\ell(m')$ is a value chosen at random according to the distribution P_X, the probability in the sum on the right hand side of the inequality is given by

$$\begin{aligned}P[\mathrm{enc}_\ell(m') \in \mathrm{supp} P_{X|Y=y}] &= \sum_{x \in \mathrm{supp} P_{X|Y=y}} P_X(x) \\ &\leq |\mathrm{supp} P_{X|Y=y}| \max_x P_X(x) \\ &\leq 2^{-(H_{\min}(X) - H_{\max}(X|Y))} \ ,\end{aligned}$$

where the last inequality follows from the definitions of $H_{\min}$ and $H_{\max}$. Combining this with the above and observing that there are only $2^\ell - 1$ values $m' \neq m$, we find

$$P[M \neq M' | M = m, Y = y] \leq 2^{\ell - (H_{\min}(X) - H_{\max}(X|Y))} \leq \frac{\varepsilon}{2} \ .$$

Because this holds for any m and y, we have

$$P[M \neq M'] \leq \max_{m,y} P[M \neq M' | M = m, Y = y] \leq \frac{\varepsilon}{2} \ .$$

This immediately implies that (3.7) holds *on average* over all choices of enc_ℓ. But this also implies that there exists at least one specific choice for enc_ℓ such that (3.7) holds.

It remains to show inequality (3.8). For this, we divide the set of messages $\{0,1\}^\ell$ into two equally large sets $\underline{\mathcal{M}}$ and $\overline{\mathcal{M}}$ such that $p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(\underline{m}) \leq p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(\overline{m})$ for any $\underline{m} \in \underline{\mathcal{M}}$ and $\overline{m} \in \overline{\mathcal{M}}$. We then have

$$\max_{m \in \underline{\mathcal{M}}} p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(m) \leq \min_{m \in \overline{\mathcal{M}}} p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(m) \leq 2^{-(\ell-1)} \sum_{m \in \overline{\mathcal{M}}} p_{\mathrm{err}}^{\mathrm{enc}_\ell,\mathrm{dec}_\ell}(m) \ .$$

Using (3.7), we conclude

$$\max_{m \in \underline{\mathcal{M}}} p_{\mathrm{err}}^{\mathrm{enc}_\ell, \mathrm{dec}_\ell}(m) \leq 2 \sum_{m \in \{0,1\}^\ell} 2^{-\ell} p_{\mathrm{err}}^{\mathrm{enc}_\ell, \mathrm{dec}_\ell}(m) = 2 \big\langle p_{\mathrm{err}}^{\mathrm{enc}_\ell, \mathrm{dec}_\ell}(M) \big\rangle \leq \varepsilon .$$

Inequality (3.8) then follows by defining $\mathrm{enc}'_{\ell-1}$ as the encoding function enc_ℓ restricted to $\underline{\mathcal{M}}$, and adapting the decoding function accordingly.

□

3.2.3 Channel coding for i.i.d. channels

Realistic communication channels (e.g., an optical fiber) can usually be used repeatedly. Moreover, such channels often are accurately described by an i.i.d. noise model. In this case, the transmission of n subsequent signals over the physical channel corresponds to a single use of a channel of the form $\mathbf{p}^{\times n} = \mathbf{p} \times \cdots \mathbf{p}$. To determine the amount of information that can be transmitted from a sender to a receiver using the physical channel n times is thus given by Theorem 3.2.1 applied to $\mathbf{p}^{\times n}$.

In applications, the number n of channel uses is typically large. It is thus convenient to measure the capacity of a channel in terms of the asymptotic rate

$$\mathrm{rate}(\mathbf{p}) = \lim_{\varepsilon \to 0} \lim_{n \to \infty} \frac{1}{n} \ell^\varepsilon(\mathbf{p}^{\times n}) \tag{3.10}$$

The computation of the rate will rely on the following corollary, which follows from Theorem 3.2.1 and the definition of smooth entropies.

Corollary 3.2.2. *For any channel* $\mathbf{p}$ *and any* $\varepsilon, \varepsilon', \varepsilon'' \geq 0$,

$$\ell^{\varepsilon+\varepsilon'+\varepsilon''}(\mathbf{p}) \geq \max_{P_X} \big(H_{\min}^{\varepsilon'}(X) - H_{\max}^{\varepsilon''}(X|Y) \big) - \log_2 \frac{1}{\varepsilon} - 3$$

where the entropies on the right hand side are evaluated for $P_{XY} := P_X \mathbf{p}$.

Combining this with Lemma 3.1.4, we get the following lower bound for the rate of a channel.

Theorem 3.2.3. *For any channel* $\mathbf{p}$

$$\mathrm{rate}(\mathbf{p}) \geq \max_{P_X} \big(H(X) - H(X|Y) \big) = \max_{P_X} I(X : Y) .$$

where the entropies on the right hand side are evaluated for $P_{XY} := P_X \mathbf{p}$.

3.2.4 The converse

We conclude our treatment of channel coding with a proof sketch which shows that the bound given in Theorem 3.2.3 is tight. The main ingredient to the proof is the *information processing inequality*

$$I(U : W) \leq I(U : V)$$

which holds for any random variables such that $U \leftrightarrow V \leftrightarrow W$ is a Markov chain. The inequality is proved by

$$I(U:W) \leq I(U:W) + I(U:V|W) = I(U:VW) = I(U:V) + I(U:W|V) = I(U:V) \ ,$$

where the first inequality holds because the mutual information cannot be negative and the last equality follows because $I(U:W|V) = 0$ (see end of Section 3.1.5). The remaining equalities are essentially rewritings of the chain rule (for the Shannon entropy).

Let now M, X, Y, and M' be defined as in (3.5). If the decoding is successful then $M = M'$ which implies

$$H(M) = I(M:M') \ . \tag{3.11}$$

Applying the information processing inequality first to the Markov chain $M \leftrightarrow Y \leftrightarrow M'$ and then to the Markov chain $M \leftrightarrow X \leftrightarrow Y$ gives

$$I(M:M') \leq I(M:Y) \leq I(X:Y) \ .$$

Combining this with (3.11) and assuming that the message M is uniformly distributed over the set $\{0,1\}^\ell$ of bitstrings of length ℓ gives

$$\ell = H(M) \leq \max_{P_X} I(X:Y) \ .$$

It is straightforward to verify that the statement still holds approximately if ℓ on the left hand side is replaced by ℓ^ε, for some small decoding error $\varepsilon > 0$. Taking the limits as in (3.10) finally gives

$$\mathrm{rate}(\mathbf{p}) \leq \max_{P_X} I(X:Y) \ .$$

4 Quantum States and Operations

The mathematical formalism used in quantum information theory to describe quantum mechanical systems is in many ways more general than that of typical introductory books on quantum mechanics. This is why we devote a whole chapter to it. The main concepts to be treated in the following are *density operators*, which represent the state of a system, as well as *positive-valued measures (POVMs)* and *completely positive maps (CPMs)*, which describe measurements and, more generally, the evolution of a system.

4.1 Preliminaries

4.1.1 Hilbert spaces and operators on them

An *inner product space* is a vector space (over $\mathbb{R}$ or $\mathbb{C}$) equipped with an inner product $(\cdot, \cdot)$. A *Hilbert space* $\mathcal{H}$ is an inner product space such that the metric defined by the norm $\|\alpha\| \equiv \sqrt{(\alpha, \alpha)}$ is *complete*, i.e., every Cauchy sequence is convergent. We will often deal with finite-dimensional spaces, where the completeness condition always holds, i.e., inner product spaces are equivalent to Hilbert spaces.

We denote the set of *homomorphisms* (i.e., the linear maps) from a Hilbert space $\mathcal{H}$ to a Hilbert space $\mathcal{H}'$ by $\mathrm{Hom}(\mathcal{H}, \mathcal{H}')$. Furthermore, $\mathrm{End}(\mathcal{H})$ is the set of *endomorphism* (i.e., the homomorphisms from a space to itself) on $\mathcal{H}$, that is, $\mathrm{End}(\mathcal{H}) = \mathrm{Hom}(\mathcal{H}, \mathcal{H})$. The identity operator $\alpha \mapsto \alpha$ that maps any vector $\alpha \in \mathcal{H}$ to itself is denoted by id.

The *adjoint* of a homomorphism $S \in \mathrm{Hom}(\mathcal{H}, \mathcal{H}')$, denoted S^*, is the unique operator in $\mathrm{Hom}(\mathcal{H}', \mathcal{H})$ such that

$$(\alpha', S\alpha) = (S^*\alpha', \alpha) \ ,$$

for any $\alpha \in \mathcal{H}$ and $\alpha' \in \mathcal{H}'$. In particular, we have $(S^*)^* = S$. If S is represented as a matrix, then the adjoint operation can be thought of as the conjugate transpose.

In the following, we list some properties of endomorphisms $S \in \mathrm{End}(\mathcal{H})$.

- S is *normal* if $SS^* = S^*S$.
- S is *unitary* if $SS^* = S^*S = \mathrm{id}$. Unitary operators S are always normal.
- S is *Hermitian* if $S^* = S$. Hermitian operators are always normal.
- S is *positive* if $(\alpha, S\alpha) \geq 0$ for all $\alpha \in \mathcal{H}$. Positive operators are always Hermitian. We will sometimes write $S \geq 0$ to express that S is positive.
- S is a *projector* if $SS = S$. Projectors are always positive.

Given an orthonormal basis $\{e_i\}_i$ of $\mathcal{H}$, we also say that S is *diagonal with respect to* $\{e_i\}_i$ if the matrix $(S_{i,j})$ defined by the elements $S_{i,j} = (e_i, Se_j)$ is diagonal.

4.1.2 The bra-ket notation

In this script, we will make extensive use of a variant of Dirac's *bra-ket notation*, where vectors are interpreted as operators. More precisely, we identify any vector $\alpha \in \mathcal{H}$ with an endomorphism $|\alpha\rangle \in \mathrm{Hom}(\mathbb{C}, \mathcal{H})$, called *ket*, and defined as

$$|\alpha\rangle : \quad \gamma \mapsto \alpha\gamma$$

for any $\gamma \in \mathbb{C}$. The adjoint $|\alpha\rangle^*$ of this mapping is called *bra* and denoted by $\langle\alpha|$. It is easy to see that $\langle\alpha|$ is an element of the *dual space* $\mathcal{H}^* := \mathrm{Hom}(\mathcal{H}, \mathbb{C})$, namely the linear functional defined by

$$\langle\alpha| : \quad \beta \mapsto (\alpha, \beta)$$

for any $\beta \in \mathcal{H}$.

Using this notation, the concatenation $\langle\alpha||\beta\rangle$ of a bra $\langle\alpha| \in \mathrm{Hom}(\mathcal{H}, \mathbb{C})$ with a ket $|\beta\rangle \in \mathrm{Hom}(\mathbb{C}, \mathcal{H})$ results in an element of $\mathrm{Hom}(\mathbb{C}, \mathbb{C})$, which can be identified with $\mathbb{C}$. It follows immediately from the above definitions that, for any $\alpha, \beta \in \mathcal{H}$,

$$\langle\alpha||\beta\rangle \equiv (\alpha, \beta) \ .$$

We will thus in the following denote the scalar product by $\langle\alpha|\beta\rangle$.

Conversely, the concatenation $|\beta\rangle\langle\alpha|$ is an element of $\mathrm{End}(\mathcal{H})$ (or, more generally, of $\mathrm{Hom}(\mathcal{H}, \mathcal{H}')$ if $\alpha \in \mathcal{H}$ and $\beta \in \mathcal{H}'$ are defined on different spaces). In fact, any endomorphism $S \in \mathrm{End}(\mathcal{H})$ can be written as a linear combination of such concatenations, i.e.,

$$S = \sum_i |\beta_i\rangle\langle\alpha_i|$$

for some families of vectors $\{\alpha_i\}_i$ and $\{\beta_i\}_i$. For example, the identity $\mathrm{id} \in \mathrm{End}(\mathcal{H})$ can be written as

$$\mathrm{id} = \sum_i |e_i\rangle\langle e_i|$$

for any basis $\{e_i\}$ of $\mathcal{H}$.

4.1.3 Tensor products

Given two Hilbert spaces $\mathcal{H}_A$ and $\mathcal{H}_B$, the *tensor product* $\mathcal{H}_A \otimes \mathcal{H}_B$ is defined as the Hilbert space spanned by elements of the form $|\alpha\rangle \otimes |\beta\rangle$, where $\alpha \in \mathcal{H}_A$ and $\beta \in \mathcal{H}_B$, such that the following equivalences hold

- $(\alpha + \alpha') \otimes \beta = \alpha \otimes \beta + \alpha' \otimes \beta$
- $\alpha \otimes (\beta + \beta') = \alpha \otimes \beta + \alpha \otimes \beta'$
- $\mathbf{0} \otimes \beta = \alpha \otimes \mathbf{0} = \mathbf{0}$

for any $\alpha, \alpha' \in \mathcal{H}_A$ and $\beta, \beta' \in \mathcal{H}_B$, where $\mathbf{0}$ denotes the zero vector. Furthermore, the inner product of $\mathcal{H}_A \otimes \mathcal{H}_B$ is defined by the linear extension (and completion) of

$$\langle \alpha \otimes \beta | \alpha' \otimes \beta' \rangle = \langle \alpha | \alpha' \rangle \langle \beta | \beta' \rangle \ .$$

For two homomorphisms $S \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}'_A)$ and $T \in \mathrm{Hom}(\mathcal{H}_B, \mathcal{H}'_B)$, the tensor product $S \otimes T$ is defined as

$$(S \otimes T)(\alpha \otimes \beta) \equiv (S\alpha) \otimes (T\beta) \tag{4.1}$$

for any $\alpha \in \mathcal{H}_A$ and $\beta \in \mathcal{H}_B$. The space spanned by the products $S \otimes T$ can be canonically identified[1] with the tensor product of the spaces of the homomorphisms, i.e.,

$$\mathrm{Hom}(\mathcal{H}_A, \mathcal{H}'_A) \otimes \mathrm{Hom}(\mathcal{H}_B, \mathcal{H}'_B) \cong \mathrm{Hom}(\mathcal{H}_A \otimes \mathcal{H}_B, \mathcal{H}'_A \otimes \mathcal{H}'_B) \ . \tag{4.2}$$

This identification allows us to write, for instance,

$$|\alpha\rangle \otimes |\beta\rangle = |\alpha \otimes \beta\rangle \ ,$$

for any $\alpha \in \mathcal{H}_A$ and $\beta \in \mathcal{H}_B$.

4.1.4 Trace and partial trace

The *trace* of an endomorphism $S \in \mathrm{End}(\mathcal{H})$ over a Hilbert space $\mathcal{H}$ is defined by[2]

$$\mathrm{tr}(S) \equiv \sum_i \langle e_i | S | e_i \rangle$$

where $\{e_i\}_i$ is any orthonormal basis of $\mathcal{H}$. The trace is well defined because the above expression is independent of the choice of the basis, as one can easily verify.

The trace operation tr is obviously linear, i.e.,

$$\mathrm{tr}(uS + vT) = u\mathrm{tr}(S) + v\mathrm{tr}(T) \ ,$$

for any $S, T \in \mathrm{End}(\mathcal{H})$ and $u, v \in \mathbb{C}$. It also commutes with the operation of taking the adjoint,[3]

$$\mathrm{tr}(S^*) = \mathrm{tr}(S)^* \ .$$

Furthermore, the trace is cyclic, i.e.,

$$\mathrm{tr}(ST) = \mathrm{tr}(TS) \ .$$

[1] That is, the mapping defined by (4.1) is an isomorphism between these two vector spaces.

[2] More precisely, the trace is only defined for *trace class operators* over a separable Hilbert space. However, all endomorphisms on a finite-dimensional Hilbert space are trace class operators.

[3] The adjoint of a complex number $\gamma \in \mathbb{C}$ is simply its complex conjugate.

Also, it is easy to verify[4] that the trace $\mathrm{tr}(S)$ of a positive operator $S \geq 0$ is positive. More generally

$$(S \geq 0) \wedge (T \geq 0) \implies \mathrm{tr}(ST) \geq 0 . \tag{4.3}$$

The *partial trace*[5] tr_B is a mapping from the endomorphisms $\mathrm{End}(\mathcal{H}_A \otimes \mathcal{H}_B)$ on a product space $\mathcal{H}_A \otimes \mathcal{H}_B$ onto the endomorphisms $\mathrm{End}(\mathcal{H}_A)$ on $\mathcal{H}_A$. It is defined by the linear extension of the mapping.[6]

$$\mathrm{tr}_B : \quad S \otimes T \mapsto \mathrm{tr}(T)S ,$$

for any $S \in \mathrm{End}(\mathcal{H}_A)$ and $T \in \mathrm{End}(\mathcal{H}_B)$.

Similarly to the trace operation, the partial trace tr_B is linear and commutes with the operation of taking the adjoint. Furthermore, it commutes with the left and right multiplication with an operator of the form $T_A \otimes \mathrm{id}_B$ where $T_A \in \mathrm{End}(\mathcal{H}_A)$.[7] That is, for any operator $S_{AB} \in \mathrm{End}(\mathrm{End}(\mathcal{H}_A \otimes \mathcal{H}_B))$,

$$\mathrm{tr}_B\big(S_{AB}(T_A \otimes \mathrm{id}_B)\big) = \mathrm{tr}_B(S_{AB})T_A \tag{4.4}$$

and

$$\mathrm{tr}_B\big((T_A \otimes \mathrm{id}_B)S_{AB}\big) = T_A \mathrm{tr}_B(S_{AB}) . \tag{4.5}$$

We will also make use of the property that the trace on a bipartite system can be decomposed into partial traces on the individual subsystems, i.e.,

$$\mathrm{tr}(S_{AB}) = \mathrm{tr}(\mathrm{tr}_B(S_{AB})) \tag{4.6}$$

or, more generally, for an operator $S_{ABC} \in \mathrm{End}(\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C)$,

$$\mathrm{tr}_{AB}(S_{ABC}) = \mathrm{tr}_A(\mathrm{tr}_B(S_{ABC})) .$$

4.1.5 Decompositions of operators and vectors

Spectral decomposition. Let $S \in \mathrm{End}(\mathcal{H})$ be normal and let $\{e_i\}_i$ be an orthonormal basis of $\mathcal{H}$. Then there exists a unitary $U \in \mathrm{End}(\mathcal{H})$ and an operator $D \in \mathrm{End}(\mathcal{H})$ which is diagonal with respect to $\{e_i\}_i$ such that

$$S = UDU^* .$$

[4] The assertion can, for instance, be proved using the spectral decomposition of S and T (see below for a review of the spectral decomposition).

[5] Here and in the following, we will use subscripts to indicate the space on which an operator acts.

[6] Alternatively, the partial trace tr_B can be defined as a product mapping $\mathcal{I} \otimes \mathrm{tr}$ where $\mathcal{I}$ is the identity operation on $\mathrm{End}(\mathcal{H}_A)$ and tr is the trace mapping elements of $\mathrm{End}(\mathcal{H}_B)$ to $\mathrm{End}(\mathbb{C})$. Because the trace is a completely positive map (see definition below) the same is true for the partial trace.

[7] More generally, the partial trace commutes with any mapping that acts like the identity on $\mathrm{End}(\mathcal{H}_B)$.

The spectral decomposition implies that, for any normal $S \in \mathrm{End}(\mathcal{H})$, there exists a basis $\{e_i\}_i$ of $\mathcal{H}$ with respect to which S is diagonal. That is, S can be written as

$$S = \sum_i \alpha_i |e_i\rangle\langle e_i| \tag{4.7}$$

where α_i are the eigenvalues of S.

Expression (4.7) can be used to give a meaning to a complex function $f : \mathbb{C} \to \mathbb{C}$ applied to a normal operator S. We define $f(S)$ by

$$f(S) \equiv \sum_i f(\alpha_i)|e_i\rangle\langle e_i| \ .$$

Polar decomposition. Let $S \in \mathrm{End}(\mathcal{H})$. Then there exists a unitary $U \in \mathrm{End}(\mathcal{H})$ such that

$$S = \sqrt{SS^*}U$$

and

$$S = U\sqrt{S^*S} \ .$$

Singular decomposition. Let $S \in \mathrm{End}(\mathcal{H})$ and let $\{e_i\}_i$ be an orthonormal basis of $\mathcal{H}$. Then there exist unitaries $U, V \in \mathrm{End}(\mathcal{H})$ and an operator $D \in \mathrm{End}(\mathcal{H})$ which is diagonal with respect to $\{e_i\}_i$ such that

$$S = VDU \ .$$

In particular, for any $S \in \mathrm{Hom}(\mathcal{H}, \mathcal{H}')$, there exist bases $\{e_i\}_i$ of $\mathcal{H}$ and $\{e'_i\}_i$ of $\mathcal{H}'$ such that the matrix defined by the elements (e'_i, Se_j) is diagonal.

Schmidt decomposition. The Schmidt decomposition can be seen as a version of the singular decomposition for vectors. The statement is that any vector $\Psi \in \mathcal{H}_A \otimes \mathcal{H}_B$ can be written in the form

$$\Psi = \sum_i \gamma_i e_i \otimes e'_i$$

where $e_i \in \mathcal{H}_A$ and $e'_i \in \mathcal{H}_B$ are eigenvectors of the operators $\rho_A := \mathrm{tr}_B(|\Psi\rangle\langle\Psi|)$ and $\rho_B := \mathrm{tr}_A(|\Psi\rangle\langle\Psi|)$, respectively, and where γ_i^2 are the corresponding eigenvalues. In particular, the existence of the Schmidt decomposition implies that ρ_A and ρ_B have the same nonzero eigenvalues.

4.1.6 Operator norms and the Hilbert-Schmidt inner product

The *Hilbert-Schmidt inner product* between two operators $S, T \in \mathrm{End}(\mathcal{H})$ is defined by

$$(S, T) := \mathrm{tr}(S^* T) \ .$$

The induced norm $\|S\|_2 := \sqrt{(S, S)}$ is called *Hilbert-Schmidt norm.* If S is normal with spectral decomposition $S = \sum_i \alpha_i |e_i\rangle\langle e_i|$ then

$$\|S\|_2 = \sqrt{\sum_i |\alpha_i|^2} \ .$$

An important property of the Hilbert-Schmidt inner product (S, T) is that it is positive whenever S and T are positive.

Lemma 4.1.1. *Let $S, T \in \mathrm{End}(\mathcal{H})$. If $S \geq 0$ and $T \geq 0$ then*

$$\mathrm{tr}(ST) \geq 0 \ .$$

Proof. If S is positive we have $S = \sqrt{S}^2$ and $T = \sqrt{T}^2$. Hence, using the cyclicity of the trace, we have

$$\mathrm{tr}(ST) = \mathrm{tr}(V^* V)$$

where $V = \sqrt{S}\sqrt{T}$. Because the trace of a positive operator is positive, it suffices to show that $V^* V \geq 0$. This, however, follows from the fact that, for any $\phi \in \mathcal{H}$,

$$\langle \phi | V^* V | \phi \rangle = \|V\phi\|^2 \geq 0 \ .$$

□

The *trace norm* of S is defined by

$$\|S\|_1 := \mathrm{tr}|S|$$

where

$$|S| := \sqrt{S^* S} \ .$$

If S is normal with spectral decomposition $S = \sum_i \alpha_i |e_i\rangle\langle e_i|$ then

$$\|S\|_1 = \sum_i |\alpha_i| \ .$$

The following lemma provides a useful characterization of the trace norm.

Lemma 4.1.2. *For any $S \in \mathrm{End}(\mathcal{H})$,*

$$\|S\|_1 = \max_U |\mathrm{tr}(US)|$$

where U ranges over all unitaries on $\mathcal{H}$.

Proof. We need to show that, for any unitary U,

$$|\mathrm{tr}(US)| \leq \mathrm{tr}|S| \tag{4.8}$$

with equality for some appropriately chosen U.

Let $S = V|S|$ be the polar decomposition of S. Then, using the Cauchy-Schwarz inequality

$$|\mathrm{tr}(Q^*R)| \leq \|Q\|_2\|R\|_2$$

with $Q := \sqrt{|S|}V^*U^*$ and $R := \sqrt{|S|}$ we find

$$\big|\mathrm{tr}(US)\big| = \big|\mathrm{tr}(UV|S|)\big| = \big|\mathrm{tr}(UV\sqrt{|S|}\sqrt{|S|})\big| \leq \sqrt{\mathrm{tr}(UV|S|V^*U^*)\mathrm{tr}(|S|)} = \mathrm{tr}(|S|)\ ,$$

which proves (4.8). Finally, it is easy to see that equality holds for $U := V^*$. □

4.1.7 The vector space of Hermitian operators

The set of Hermitian operators on a Hilbert space $\mathcal{H}$, in the following denoted $\mathrm{Herm}(\mathcal{H})$, forms a real vector space. Furthermore, equipped with the Hilbert Schmidt inner product defined in the previous section, $\mathrm{Herm}(\mathcal{H})$ is an inner product space.

If $\{e_i\}_i$ is an orthonormal basis of $\mathcal{H}$ then the set of operators $E_{i,j}$ defined by

$$E_{i,j} := \begin{cases} \frac{1}{\sqrt{2}}|e_i\rangle\langle e_j| + \frac{1}{\sqrt{2}}|e_j\rangle\langle e_i| & \text{if } i < j \\ \frac{i}{\sqrt{2}}|e_i\rangle\langle e_j| - \frac{i}{\sqrt{2}}|e_j\rangle\langle e_i| & \text{if } i > j \\ |e_i\rangle\langle e_i| & \text{otherwise} \end{cases}$$

forms an orthonormal basis of $\mathrm{Herm}(\mathcal{H})$. We conclude from this that

$$\dim \mathrm{Herm}(\mathcal{H}) = (\dim \mathcal{H})^2\ . \tag{4.9}$$

For two Hilbert spaces $\mathcal{H}_A$ and $\mathcal{H}_B$, we have in analogy to (4.2)

$$\mathrm{Herm}(\mathcal{H}_A) \otimes \mathrm{Herm}(\mathcal{H}_B) \cong \mathrm{Herm}(\mathcal{H}_A \otimes \mathcal{H}_B)\ . \tag{4.10}$$

To see this, consider the canonical mapping from $\mathrm{Herm}(\mathcal{H}_A) \otimes \mathrm{Herm}(\mathcal{H}_B)$ to $\mathrm{Herm}(\mathcal{H}_A \otimes \mathcal{H}_B)$ defined by (4.1). It is easy to verify that this mapping is injective. Furthermore, because by (4.9) the dimension of both spaces equals $\dim(\mathcal{H}_A)^2 \dim(\mathcal{H}_B)^2$, it is a bijection, which proves (4.10).

4.2 Postulates of quantum mechanics

Despite more than one century of research, numerous questions related to the foundations of quantum mechanics are still unsolved (and highly disputed). For example, no fully satisfying explanation for the fact that quantum mechanics has its particular mathematical structure has been found so far. As a consequence, some of the aspects to be discussed in the following, e.g., the postulates of quantum mechanics, might appear to lack a clear motivation.

In this section, we pursue one of the standard approaches to quantum mechanics. It is based on a number of postulates about the states of physical systems as well as their evolution. (For more details, we refer to Section 2 of [1], where an equivalent approach is described.) The postulates are as follows:

1. States: The set of states of an isolated physical system is in one-to-one correspondence to the projective space of a Hilbert space $\mathcal{H}$. In particular, any physical state can be represented by a *normalized vector* $\phi \in \mathcal{H}$ which is unique up to a phase factor. In the following, we will call $\mathcal{H}$ the *state space* of the system.[8]

2. Composition: For two physical systems with state spaces $\mathcal{H}_A$ and $\mathcal{H}_B$, the state space of the product system is isomorphic to $\mathcal{H}_A \otimes \mathcal{H}_B$. Furthermore, if the individual systems are in states $\phi \in \mathcal{H}_A$ and $\phi' \in \mathcal{H}_B$, then the joint state is
$$\Psi = \phi \otimes \phi' \in \mathcal{H}_A \otimes \mathcal{H}_B \ .$$

3. Evolutions: For any possible evolution of an isolated physical system with state space $\mathcal{H}$ and for any fixed time interval $[t_0, t_1]$ there exists a *unitary* U describing the mapping of states $\phi \in \mathcal{H}$ at time t_0 to states
$$\phi' = U\phi$$
at time t_1. The unitary U is unique up to a phase factor.

4. Measurements: For any measurement on a physical system with state space $\mathcal{H}$ there exists an *observable* O with the following properties. O is a Hermitian operator on $\mathcal{H}$ such that each eigenvalue x of O corresponds to a possible measurement outcome. If the system is in state $\phi \in \mathcal{H}$, then the probability of observing outcome x when applying the measurement is given by
$$P_X(x) = \mathrm{tr}(P_x |\phi\rangle\langle\phi|)$$
where P_x denotes the projector onto the eigenspace belonging to the eigenvalue x, i.e., $O = \sum_x x P_x$. Finally, the state ϕ'_x of the system after the measurement, conditioned on the event that the outcome is x, equals
$$\phi'_x := \sqrt{\frac{1}{P_X(x)}} P_x \phi \ .$$

4.3 Quantum states

In quantum information theory, one often considers situations where the state or the evolution of a system is only partially known. For example, we might be interested in

[8] In quantum mechanics, the elements $\phi \in \mathcal{H}$ are also called *wave functions*.

a scenario where a system might be in two possible states ϕ_0 or ϕ_1, chosen according to a certain probability distribution. Another simple example is a system consisting of two correlated parts A and B in a state

$$\Psi = \sqrt{\frac{1}{2}}\big(e_0 \otimes e_0 + e_1 \otimes e_1\big) \in \mathcal{H}_A \otimes \mathcal{H}_B \ , \tag{4.11}$$

where $\{e_0, e_1\}$ are orthonormal vectors in $\mathcal{H}_A = \mathcal{H}_B$. From the point of view of an observer that has no access to system B, the state of A does not correspond to a fixed vector $\phi \in \mathcal{H}_A$, but is rather described by a mixture of such states. In this section, we introduce the density operator formalism, which allows for a simple and convenient characterization of such situations.

4.3.1 Density operators — definition and properties

The notion of *density operators* has been introduced independently by von Neumann and Landau in 1927. Since then, it has been widely used in quantum statistical mechanics and, more recently, in quantum information theory.

Definition 4.3.1. A *density operator* ρ on a Hilbert space $\mathcal{H}$ is a normalized positive operator on $\mathcal{H}$, i.e., $\rho \geq 0$ and $\mathrm{tr}(\rho) = 1$. The set of density operators on $\mathcal{H}$ is denoted by $\mathcal{S}(\mathcal{H})$. A density operator is said to be *pure* if it has the form $\rho = |\phi\rangle\langle\phi|$. If $\mathcal{H}$ is d-dimensional and ρ has the form $\rho = \frac{1}{d} \cdot \mathrm{id}$ then it is called *fully mixed.*

It follows from the spectral decomposition theorem that any density operator can be written in the form

$$\rho = \sum_x P_X(x)|e_x\rangle\langle e_x|$$

where P_X is the probability mass function defined by the eigenvalues $P_X(x)$ of ρ and $\{e_x\}_x$ are the corresponding eigenvectors. Given this representation, it is easy to see that a density operator is pure if and only if exactly one of the eigenvalues equals 1 whereas the others are 0. In particular, we have the following lemma.

Lemma 4.3.2. *A density operator ρ is pure if and only if* $\mathrm{tr}(\rho^2) = 1$.

4.3.2 Quantum-mechanical postulates in the language of density operators

In a first step, we adapt the postulates of Section 4.2 to the notion of density operators. At the same time, we generalize them to situations where the evolution and measurements only act on parts of a composite system.

1. States: The states of a physical system are represented as density operators on a state space $\mathcal{H}$. For an isolated system whose state, represented as a vector, is $\phi \in \mathcal{H}$, the corresponding density operator is defined by $\rho := |\phi\rangle\langle\phi|$.[9]

[9]Note that this density operator is pure.

2. Composition: The states of a composite system with state spaces $\mathcal{H}_A$ and $\mathcal{H}_B$ are represented as density operators on $\mathcal{H}_A \otimes \mathcal{H}_B$. Furthermore, if the states of the individual subsystems are independent of each other and represented by density operators ρ_A and ρ_B, respectively, then the state of the joint system is $\rho_A \otimes \rho_B$.

3. Evolution: Any isolated evolution of a subsystem of a composite system over a fixed time interval $[t_0, t_1]$ corresponds to a unitary on the state space $\mathcal{H}$ of the subsystem. For a composite system with state space $\mathcal{H}_A \otimes \mathcal{H}_B$ and isolated evolutions on both subsystems described by U_A and U_B, respectively, any state ρ_{AB} at time t_0 is transformed into the state[10]

$$\rho'_{AB} = (U_A \otimes U_B)(\rho_{AB})(U_A^* \otimes U_B^*) \tag{4.12}$$

at time t_1.[11]

4. Measurement: Any isolated measurement on a subsystem of a composite system is specified by a Hermitian operator, called *observable*. When applying a measurement $O_A = \sum_x x P_x$ on the first subsystem of a composite system $\mathcal{H}_A \otimes \mathcal{H}_B$ whose state is ρ_{AB}, the probability of observing outcome x is

$$P_X(x) = \mathrm{tr}(P_x \otimes \mathrm{id}_B \rho_{AB}) \tag{4.13}$$

and the post-measurement state conditioned on this outcome is

$$\rho'_{AB,x} = \frac{1}{P_X(x)}(P_x \otimes \mathrm{id}_B)\rho_{AB}(P_x \otimes \mathrm{id}_B) \ . \tag{4.14}$$

It is straightforward to verify that these postulates are indeed compatible with those of Section 4.2. What is new is merely the fact that the evolution and measurements can be restricted to individual subsystems of a composite system. As we shall see, this extension is, however, very powerful because it allows us to examine parts of a subsystem without the need of keeping track of the state of the entire system.

4.3.3 Partial trace and purification

Let $\mathcal{H}_A \otimes \mathcal{H}_B$ be a composite quantum system which is initially in a state $\rho_{AB} = |\Psi\rangle\langle\Psi|$ for some $\Psi \in \mathcal{H}_A \otimes \mathcal{H}_B$. Consider now an experiment which is restricted to the first subsystem. More precisely, assume that subsystem A undergoes an isolated evolution, described by a unitary U_A, followed by an isolated measurement, described by an observable $O_A = \sum_x x P_x$.

According to the above postulates, the probability of observing an outcome x is then given by

$$P_X(x) = \mathrm{tr}\big((P_x \otimes \mathrm{id}_B)(U_A \otimes U_B)\rho_{AB}(U_A^* \otimes U_B^*)\big)$$

[10] In particular, if $\mathcal{H}_B = \mathbb{C}$ is trivial, this expression equals $\rho'_A = U_A \rho_A U_A^*$.

[11] By induction, this postulate can be readily generalized to composite systems with more than two parts.

where U_B is an arbitrary isolated evolution on $\mathcal{H}_B$. Using rules (4.6) and (4.4), this can be transformed into

$$P_X(x) = \mathrm{tr}\big(P_x U_A \mathrm{tr}_B(\rho_{AB}) U_A^\dagger\big) ,$$

which is independent of U_B. Observe now that this expression could be obtained equivalently by simply applying the above postulates to the *reduced state* $\rho_A := \mathrm{tr}_B(\rho_{AB})$. In other words, the reduced state already fully characterizes all observable properties of the subsystem $\mathcal{H}_A$.

This principle, which is sometimes called *locality*, plays a crucial role in many information-theoretic considerations. For example, it implies that it is impossible to influence system $\mathcal{H}_A$ by local actions on system $\mathcal{H}_B$. In particular, communication between the two subsystems is impossible as long as their evolution is determined by local operations $U_A \otimes U_B$.

In this context, it is important to note that the reduced state ρ_A of a pure joint state ρ_{AB} is not necessarily pure. For instance, if the joint system is in state $\rho_{AB} = |\Psi\rangle\langle\Psi|$ for Ψ defined by (4.11) then

$$\rho_A = \frac{1}{2}|e_0\rangle\langle e_0| + \frac{1}{2}|e_1\rangle\langle e_1| , \tag{4.15}$$

i.e., the density operator ρ_A is fully mixed. In the next section, we will give an interpretation of non-pure, or *mixed*, density operators.

Conversely, any mixed density operator can be seen as part of a pure state on a larger system. More precisely, given ρ_A on $\mathcal{H}_A$, there exists a pure density operator ρ_{AB} on a joint system $\mathcal{H}_A \otimes \mathcal{H}_B$ (where the dimension of $\mathcal{H}_B$ is at least as large as the rank of ρ_A) such that

$$\rho_A = \mathrm{tr}_B(\rho_{AB}) \tag{4.16}$$

A pure density operator ρ_{AB} for which (4.16) holds is called a *purification* of ρ_A.

4.3.4 Mixtures of states

Consider a quantum system $\mathcal{H}_A$ whose state depends on a classical value Z and let $\rho_A^z \in \mathcal{S}(\mathcal{H}_A)$ be the state of the system conditioned on the event $Z = z$. Furthermore, consider an observer who does not have access to Z, that is, from his point of view, Z can take different values distributed according to a probability mass function P_Z.

Assume now that the system $\mathcal{H}_A$ undergoes an evolution U_A followed by a measurement $O_A = \sum_x x P_x$ as above. Then, according to the postulates of quantum mechanics, the probability mass function of the measurement outcomes x conditioned on the event $Z = z$ is given by

$$P_{X|Z=z}(x) = \mathrm{tr}(P_x U_A \rho_A^z U_A^*) .$$

Hence, from the point of view of the observer who is unaware of the value Z, the probability mass function of X is given by

$$P_X(x) = \sum_z P_Z(z) P_{X|Z=z}(x) .$$

By linearity, this can be rewritten as

$$P_X(x) = \mathrm{tr}(P_x U_A \rho_A U_A^*) \ . \tag{4.17}$$

where

$$\rho_A := \sum_z P_Z(z) \rho_A^z \ .$$

Alternatively, expression (4.17) can be obtained by applying the postulates of Section 4.3.2 directly to the density operator ρ_A defined above. In other words, from the point of view of an observer not knowing Z, the situation is consistently characterized by ρ_A.

We thus arrive at a new interpretation of mixed density operators. For example, the density operator

$$\rho_A = \frac{1}{2}|e_0\rangle\langle e_0| + \frac{1}{2}|e_1\rangle\langle e_1| \tag{4.18}$$

defined by (4.15) corresponds to a situation where either state e_0 or e_1 is prepared, each with probability $\frac{1}{2}$. The *decomposition* according to (4.18) is, however, not unique. In fact, the same state could be written as

$$\rho_A = \frac{1}{2}|\tilde{e}_0\rangle\langle \tilde{e}_0| + \frac{1}{2}|\tilde{e}_1\rangle\langle \tilde{e}_1|$$

where $\tilde{e}_0 := \frac{1}{\sqrt{2}}(e_0 + e_1)$ and $\tilde{e}_1 := \frac{1}{\sqrt{2}}(e_0 - e_1)$. That is, the system could equivalently be interpreted as being prepared either in state $\tilde{e}_0$ or $\tilde{e}_1$, each with probability $\frac{1}{2}$.

It is important to note, however, that any predictions one can possibly make about observations restricted to system $\mathcal{H}_A$ are fully determined by the density operator ρ_A, and, hence do not depend on the choice of the interpretation. That is, whether we see the system $\mathcal{H}_A$ as a part of a larger system $\mathcal{H}_A \otimes \mathcal{H}_B$ which is in a pure state (as in Section 4.3.3) or as a mixture of pure states (as proposed in this section) is irrelevant as long as we are only interested in observable quantities derived from system $\mathcal{H}_A$.

4.3.5 Hybrid classical-quantum states

We will often encounter situations where parts of a system are quantum mechanical whereas others are classical. A typical example is the scenario described in Section 4.3.4, where the state of a quantum system $\mathcal{H}_A$ depends on the value of a classical random variable Z.

Since a classical system can be seen as a special type of a quantum system, such situations can be described consistently using the density operator formalism introduced above. More precisely, the idea is to represent the states of classical values Z by mutually orthogonal vectors on a Hilbert space. For example, the density operator describing the scenario of Section 4.3.4 would read

$$\rho_{AZ} = \sum_z P_Z(z) \rho_A^z \otimes |e_z\rangle\langle e_z| \ ,$$

where $\{e_z\}_z$ is a family of orthonormal vectors on $\mathcal{H}_Z$.

More generally, we use the following definition of *classicality.*

Definition 4.3.3. Let $\mathcal{H}_A$ and $\mathcal{H}_Z$ be Hilbert spaces and let $\{e_z\}_z$ be a fixed orthonormal basis of $\mathcal{H}_Z$. Then a density operator $\rho_{AZ} \in \mathcal{S}(\mathcal{H}_A \otimes \mathcal{H}_Z)$ is said to be *classical on $\mathcal{H}_Z$ (with respect to $\{e_z\}_z$)* if[12]

$$\rho_{AZ} \in \mathcal{S}(\mathcal{H}_A) \otimes \mathrm{span}\{|e_z\rangle\langle e_z|\}_z$$

4.3.6 Distance between states

Given two quantum states ρ and σ, we might ask how well we can distinguish them from each other. The answer to this question is given by the trace distance, which can be seen as a generalization of the corresponding distance measure for classical probability mass functions as defined in Section 2.3.6.

Definition 4.3.4. The *trace distance* between two density operators ρ and σ on a Hilbert space $\mathcal{H}$ is defined by

$$\delta(\rho, \sigma) := \frac{1}{2}\big\|\rho - \sigma\big\|_1 \ .$$

It is straightforward to verify that the trace distance is a metric on the space of density operators. Furthermore, it is unitarily invariant, i.e., $\delta(U\rho U^*, U\sigma U^*) = \delta(\rho, \sigma)$, for any unitary U.

The above definition of trace distance between density operators is consistent with the corresponding classical definition of Section 2.3.6. In particular, for two classical states $\rho = \sum_z P(z)|e_z\rangle\langle e_z|$ and $\sigma = \sum_z Q(z)|e_z\rangle\langle e_z|$ defined by probability mass functions P and Q, we have

$$\delta(\rho, \sigma) = \delta(P, Q) \ .$$

More generally, the following lemma implies that for any (not necessarily classical) ρ and σ there is always a measurement O that "conserves" the trace distance.

Lemma 4.3.5. *Let $\rho, \sigma \in \mathcal{S}(\mathcal{H})$. Then*

$$\delta(\rho, \sigma) = \max_O \delta(P, Q)$$

where the maximum ranges over all observables $O \in \mathrm{Herm}\mathcal{H}$ and where P and Q are the probability mass functions of the outcomes when applying the measurement described by O to ρ and σ, respectively.

[12]If the classical system $\mathcal{H}_Z$ itself has a tensor product structure (e.g., $\mathcal{H}_Z = \mathcal{H}_{Z'} \otimes \mathcal{H}_{Z''}$) we typically assume that the basis used for defining classical states has the same product structure (i.e., the basis vectors are of the form $e = e' \otimes e''$ with $e' \in \mathcal{H}_{Z'}$ and $e'' \in \mathcal{H}_{Z''}$).

Proof. Define $\Delta := \rho - \sigma$ and let $\Delta = \sum_i \alpha_i |e_i\rangle\langle e_i|$ be a spectral decomposition. Furthermore, let R and S be positive operators defined by

$$R = \sum_{i:\, \alpha_i \geq 0} \alpha_i |e_i\rangle\langle e_i|$$
$$S = -\sum_{i:\, \alpha_i < 0} \alpha_i |e_i\rangle\langle e_i| \ ,$$

that is,

$$\Delta = R - S \tag{4.19}$$
$$|\Delta| = R + S \ . \tag{4.20}$$

Finally, let $O = \sum_x x P_x$ be a spectral decomposition of O, where each P_x is a projector onto the eigenspace corresponding to the eigenvalue x. Then

$$\delta(P, Q) = \frac{1}{2} \sum_x \bigl|P(x) - Q(x)\bigr| = \frac{1}{2} \sum_x \bigl|\mathrm{tr}(P_x \rho) - \mathrm{tr}(P_x \sigma)\bigr| = \frac{1}{2} \sum_x \bigl|\mathrm{tr}(P_x \Delta)\bigr| \ . \tag{4.21}$$

Now, using (4.19) and (4.20),

$$\bigl|\mathrm{tr}(P_x \Delta)\bigr| = \bigl|\mathrm{tr}(P_x R) - \mathrm{tr}(P_x S)\bigr| \leq \bigl|\mathrm{tr}(P_x R)\bigr| + \bigl|\mathrm{tr}(P_x S)\bigr| = \mathrm{tr}(P_x |\Delta|) \ , \tag{4.22}$$

where the last equality holds because of (4.3). Inserting this into (4.21) and using $\sum_x P_x = \mathrm{id}$ gives

$$\delta(P, Q) \leq \frac{1}{2} \sum_x \mathrm{tr}\bigl(P_x |\Delta|\bigr) = \frac{1}{2} \mathrm{tr}\bigl(|\Delta|\bigr) = \frac{1}{2} \|\Delta\|_1 = \delta(\rho, \sigma) \ .$$

This proves that the maximum $\max_O \delta(P, Q)$ on the right hand side of the assertion of the lemma cannot be larger than $\delta(\rho, \sigma)$. To see that equality holds, it suffices to verify that the inequality in(4.22) becomes an equality if for any x the projector P_x either lies in the support of R or in the support of S. Such a choice of the projectors is always possible because R and S have mutually orthogonal support. □

An implication of Lemma 4.3.5 is that the trace distance between two states ρ and σ can be interpreted as the *maximum distinguishing probability*, i.e., the maximum probability by which a difference between ρ and σ can be detected (see Lemma 2.3.1). Another consequence of Lemma 4.3.5 is that the trace distance cannot increase under the partial trace, as stated by the following lemma.

Lemma 4.3.6. *Let ρ_{AB} and σ_{AB} be bipartite density operators and let $\rho_A := \mathrm{tr}_B(\rho_{AB})$ and $\sigma_A := \mathrm{tr}_B(\sigma_{AB})$ be the reduced states on the first subsystem. Then*

$$\delta(\rho_A, \sigma_A) \leq \delta(\rho_{AB}, \sigma_{AB}) \ .$$

Proof. Let P and Q be the probability mass functions of the outcomes when applying a measurement O_A to ρ_A and σ_A, respectively. Then, for an appropriately chosen O_A, we have according to Lemma 4.3.5

$$\delta(\rho_A, \sigma_A) = \delta(P, Q) \ . \tag{4.23}$$

Consider now the observable O_{AB} on the joint system defined by $O_{AB} := O_A \otimes \mathrm{id}_B$. It follows from property (4.4) of the partial trace that, when applying the measurement described by O_{AB} to the joint states ρ_{AB} and σ_{AB}, we get the same probability mass functions P and Q. Now, using again Lemma 4.3.5,

$$\delta(\rho_{AB}, \sigma_{AB}) \geq \delta(P, Q) \ . \tag{4.24}$$

The assertion follows by combining (4.23) and (4.24). □

The significance of the trace distance comes mainly from the fact that it is a bound on the probability that a difference between two states can be seen. However, in certain situations, it is more convenient to work with an alternative notion of distance, called *fidelity*.

Definition 4.3.7. The *fidelity* between two density operators ρ and σ on a Hilbert space $\mathcal{H}$ is defined by

$$F(\rho, \sigma) := \left\|\rho^{\frac{1}{2}} \sigma^{\frac{1}{2}}\right\|_1$$

where $\|S\|_1 := \mathrm{tr}\big(\sqrt{S^* S}\big)$.

To abbreviate notation, for two vectors $\phi, \psi \in \mathcal{H}$, we sometimes write $F(\phi, \psi)$ instead of $F(|\phi\rangle\langle\phi|, |\psi\rangle\langle\psi|)$, and, similarly, $\delta(\phi, \psi)$ instead of $\delta(|\phi\rangle\langle\phi|, |\psi\rangle\langle\psi|)$. Note that the fidelity is always between 0 and 1, and that $F(\rho, \rho) = 1$.

The fidelity is particularly easy to compute if one of the operators, say σ, is pure. In fact, if $\sigma = |\psi\rangle\langle\psi|$, we have

$$F(\rho, |\psi\rangle\langle\psi|) = \|\rho^{\frac{1}{2}} \sigma^{\frac{1}{2}}\|_1 = \mathrm{tr}\Big(\sqrt{\sigma^{\frac{1}{2}} \rho \sigma^{\frac{1}{2}}}\Big) = \mathrm{tr}\Big(\sqrt{|\psi\rangle\langle\psi|\rho|\psi\rangle\langle\psi|}\Big) = \sqrt{\langle\psi|\rho|\psi\rangle} \ .$$

In particular, if $\rho = |\phi\rangle\langle\phi|$, we find

$$F(\phi, \psi) = |\langle\phi|\psi\rangle| \ . \tag{4.25}$$

The fidelity between pure states thus simply corresponds to the (absolute value of the) scalar product between the states.

The following statement from Uhlmann generalizes this statement to arbitrary states.

Theorem 4.3.8 (Uhlmann)**.** *Let ρ_A and σ_A be density operators on a Hilbert space $\mathcal{H}_A$. Then*

$$F(\rho_A, \sigma_A) = \max_{\rho_{AB}, \sigma_{AB}} F(\rho_{AB}, \sigma_{AB}) \ .$$

where the maximum ranges over all purifications ρ_{AB} and σ_{AB} of ρ_A and σ_A, respectively.

Proof. Because any finite-dimensional Hilbert space can be embedded into any other Hilbert space with higher dimension, we can assume without loss of generality that $\mathcal{H}_A$ and $\mathcal{H}_B$ have equal dimension.

Let $\{e_i\}_i$ and $\{f_i\}_i$ be orthonormal bases of $\mathcal{H}_A$ and $\mathcal{H}_B$, respectively, and define

$$\Theta := \sum_i e_i \otimes f_i \ .$$

Furthermore, let $W \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_B)$ be the transformation of the basis $\{e_i\}_i$ to the basis $\{f_i\}_i$, that is,

$$W : \, e_i \mapsto f_i \ .$$

Writing out the definition of Θ, it is easy to verify that, for any $S_B \in \mathrm{End}(\mathcal{H}_B)$,

$$(\mathrm{id}_A \otimes S_B)\Theta = (S'_A \otimes \mathrm{id}_B)\Theta \tag{4.26}$$

where $S'_A := W^{-1} S_B^T W$, and where S_B^T denotes the transpose of S_B with respect to the basis $\{f_i\}_i$.

Let now $\rho_{AB} = |\Psi\rangle\langle\Psi|$ and let

$$\Psi = \sum_i \alpha_i e'_i \otimes f'_i$$

be a Schmidt decomposition of Ψ. Because the coefficients α_i are the square roots of the eigenvalues of ρ_A, we have

$$\Psi = (\sqrt{\rho_A} \otimes \mathrm{id}_B)(U_A \otimes U_B)\Theta$$

where U_A is the transformation of $\{e_i\}_i$ to $\{e'_i\}_i$ and, likewise, U_B is the transformation of $\{f_i\}_i$ to $\{f'_i\}_i$. Using (4.26), this can be rewritten as

$$\Psi = (\sqrt{\rho_A} V \otimes \mathrm{id}_B)\Theta$$

for $V := U_A W^{-1} U_B^T W$ unitary. Similarly, for $\sigma_{AB} = |\Psi'\rangle\langle\Psi'|$, we have

$$\Psi' = (\sqrt{\sigma_A} V' \otimes \mathrm{id}_B)\Theta$$

for some appropriately chosen unitary V'. Thus, using (4.25), we find

$$F(\rho_{AB}, \sigma_{AB}) = |\langle\Psi|\Psi'\rangle| = \langle\Theta|V^* \sqrt{\rho_A}\sqrt{\sigma_A} V'|\Theta\rangle = \mathrm{tr}(V^* \sqrt{\rho_A}\sqrt{\sigma_A} V') \ ,$$

where the last equality is a consequence of the definition of Θ. Using the fact that any unitary V' can be obtained by an appropriate choice of the purification σ_{AB}, this can be rewritten as

$$F(\rho_{AB}, \sigma_{AB}) = \max_U \mathrm{tr}(U\sqrt{\rho_A}\sqrt{\sigma_A}) \ .$$

The assertion then follows because, by Lemma 4.1.2,

$$F(\rho_A, \sigma_A) = \|\sqrt{\rho_A}\sqrt{\sigma_A}\|_1 = \max_U \mathrm{tr}(U\sqrt{\rho_A}\sqrt{\sigma_A}) \ .$$

□

Uhlmann's theorem is very useful for deriving properties of the fidelity, as, e.g., the following lemma.

Lemma 4.3.9. *Let ρ_{AB} and σ_{AB} be bipartite states. Then*

$$F(\rho_{AB}, \sigma_{AB}) \leq F(\rho_A, \sigma_A) \ .$$

Proof. According to Uhlmann's theorem, there exist purifications ρ_{ABC} and σ_{ABC} of ρ_{AB} and σ_{AB} such that

$$F(\rho_{AB}, \sigma_{AB}) = F(\rho_{ABC}, \sigma_{ABC}) \ . \tag{4.27}$$

Trivially, ρ_{ABC} and σ_{ABC} are also purifications of ρ_A and σ_A, respectively. Hence, again by Uhlmann's theorem,

$$F(\rho_A, \sigma_A) \geq F(\rho_{ABC}, \sigma_{ABC}) \ . \tag{4.28}$$

Combining (4.27) and (4.28) concludes the proof. □

The trace distance and the fidelity are related to each other. In fact, for pure states, represented by normalized vectors ϕ and ψ, we have

$$\delta(\phi, \psi) = \sqrt{1 - F(\phi, \psi)^2} \ . \tag{4.29}$$

To see this, let $\phi^\perp$ be a normalized vector orthogonal to ϕ such that $\psi = \alpha\phi + \beta\phi^\perp$, for some $\alpha, \beta \in \mathbb{R}^+$ such that $\alpha^2 + \beta^2 = 1$. (Because the phases of both $\phi, \phi^\perp, \psi$ are irrelevant, the coefficients α and β can without loss of generality assumed to be real and positive.) The operators $|\phi\rangle\langle\phi|$ and $|\psi\rangle\langle\psi|$ can then be written as matrices with respect to the basis $\{\phi, \phi^\perp\}$,

$$|\phi\rangle\langle\phi| = \begin{pmatrix} 1 & 0 \\ 0 & 0 \end{pmatrix}$$

$$|\psi\rangle\langle\psi| = \begin{pmatrix} |\alpha|^2 & \alpha\beta^* \\ \alpha^*\beta & |\beta|^2 \end{pmatrix}$$

In particular, the trace distance takes the form

$$\delta(\phi, \psi) = \frac{1}{2}\big\| |\phi\rangle\langle\phi| - |\psi\rangle\langle\psi| \big\|_1 = \frac{1}{2}\left\| \begin{pmatrix} 1 - |\alpha|^2 & -\alpha\beta^* \\ -\alpha^*\beta & -|\beta|^2 \end{pmatrix} \right\|_1 \ .$$

The eigenvalues of the matrix on the right hand side are $\alpha_0 = \beta$ and $\alpha_1 = -\beta$. We thus find

$$\delta(\phi, \psi) = \frac{1}{2}\big(|\alpha_0| + |\alpha_1|\big) = \beta \ .$$

Furthermore, by the definition of β, we have

$$\beta = \sqrt{1 - |\langle\phi|\psi\rangle|^2} \ .$$

The assertion (4.29) then follows from (4.25).

Equality (4.29) together with Uhlmann's theorem are sufficient to prove one direction of the following lemma.

Lemma 4.3.10. *Let ρ and σ be density operators. Then*

$$1 - F(\rho, \sigma) \leq \delta(\rho, \sigma) \leq \sqrt{1 - F(\rho, \sigma)^2} \ .$$

Proof. We only prove the second inequality. For a proof of the first, we refer to [1].

Consider two density operators ρ_A and σ_A and let ρ_{AB} and σ_{AB} be purifications such that

$$F(\rho_A, \sigma_A) = F(\rho_{AB}, \sigma_{AB})$$

as in Uhlmann's theorem. Combining this with equality (4.29) and Lemma 4.3.6, we find

$$\sqrt{1 - F(\rho_A, \sigma_A)^2} = \sqrt{1 - F(\rho_{AB}, \sigma_{AB})^2} = \delta(\rho_{AB}, \sigma_{AB}) \geq \delta(\rho_A, \sigma_A) \ .$$

□

A set of states which are often used in quantum information are the *Bell states.* As we will use them later in the course we state here the definition.

Definition 4.3.11. The *Bell states* or *EPR pairs* are four specific two-qubit states $\beta_0, ..., \beta_3$ defined by

$$|\beta_\mu\rangle := \sum_{a,b \in \{0,1\}} \frac{1}{\sqrt{2}} (\sigma_\mu)_{ab} |a, b\rangle.$$

Having defined what Bell states are we can define the *ebit* as follows.

Definition 4.3.12. An *ebit* is one unit of bipartite entanglement, the amount of entanglement that is contained in a maximally entangled two-qubit state, i.e. a Bell state.

In other words this means that if we speak about an ebit, we mean one of the four Bell states.

4.4 Evolution and measurements

Let $\mathcal{H}_A \otimes \mathcal{H}_B$ be a composite system. We have seen in the previous sections that, as long as we are only interested in the observable quantities of subsystem $\mathcal{H}_A$, it is sufficient to consider the corresponding reduced state ρ_A. So far, however, we have restricted our attention to scenarios where the evolution of this subsystem is isolated.

In the following, we introduce tools that allow us to consistently describe the behavior of subsystems in the general case where there is interaction between $\mathcal{H}_A$ and $\mathcal{H}_B$. The basic mathematical objects to be introduced in this context are *completely positive maps (CPMs)* and *positive operator valued measures (POVMs)*, which are the topic of this section.

4.4.1 Completely positive maps (CPMs)

Let $\mathcal{H}_A$ and $\mathcal{H}_B$ be the Hilbert spaces describing certain (not necessarily disjoint) parts of a physical system. The evolution of the system over a time interval $[t_0, t_1]$ induces a mapping $\mathcal{E}$ from the set of states $\mathcal{S}(\mathcal{H}_A)$ on subsystem $\mathcal{H}_A$ at time t_0 to the set of states $\mathcal{S}(\mathcal{H}_B)$ on subsystem $\mathcal{H}_B$ at time t_1. This and the following sections are devoted to the study of this mapping.

Obviously, not every function $\mathcal{E}$ from $\mathcal{S}(\mathcal{H}_A)$ to $\mathcal{S}(\mathcal{H}_B)$ corresponds to a physically possible evolution. In fact, based on the considerations in the previous sections, we have the following requirement. If ρ is a mixture of two states ρ_0 and ρ_1, then we expect that $\mathcal{E}(\rho)$ is the mixture of $\mathcal{E}(\rho_0)$ and $\mathcal{E}(\rho_1)$. In other words, a physical mapping $\mathcal{E}$ needs to conserve the convex structure of the set of density operators, that is,

$$\mathcal{E}\big(p\rho_0 + (1-p)\rho_1\big) = p\mathcal{E}(\rho_0) + (1-p)\mathcal{E}(\rho_1) \ , \tag{4.30}$$

for any $\rho_0, \rho_1 \in \mathcal{S}(\mathcal{H}_A)$ and any $p \in [0,1]$.

As we shall see, any mapping from $\mathcal{S}(\mathcal{H}_A)$ to $\mathcal{S}(\mathcal{H}_B)$ that satisfies (4.30) corresponds to a physical process (and vice versa). In the following, we will thus have a closer look at these mappings.

For our considerations, it will be convenient to embed the mappings from $\mathcal{S}(\mathcal{H}_A)$ to $\mathcal{S}(\mathcal{H}_B)$ into the space of mappings from $\mathrm{End}(\mathcal{H}_A)$ to $\mathrm{End}(\mathcal{H}_B)$. The convexity requirement (4.30) then turns into the requirement that the mapping is linear. In addition, the requirement that density operators are mapped to density operators will correspond to two properties, called *complete positivity* and *trace preservation.*

The definition of complete positivity is based on the definition of positivity.

Definition 4.4.1. A linear map $\mathcal{E} \in \mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B))$ is said to be *positive* if $\mathcal{E}(S) \geq 0$ for any $S \geq 0$.

An simple example of a positive map is the *identity map* on $\mathrm{End}(\mathcal{H}_A)$, in the following denoted $\mathcal{I}_A$. A more interesting example is $\mathcal{T}_A$ defined by

$$\mathcal{T}_A : S \mapsto S^T \ ,$$

where S^T denotes the transpose with respect to some fixed basis. To see that $\mathcal{T}_A$ is positive, note that $S \geq 0$ implies $\langle\bar{\phi}|S|\bar{\phi}\rangle \geq 0$ for any vector $\bar{\phi}$. Hence $\langle\phi|S^T|\phi\rangle = \langle\phi|\bar{S}^*|\phi\rangle = \overline{\langle\phi|\bar{S}|\phi\rangle} = \langle\bar{\phi}|S|\bar{\phi}\rangle \geq 0$, from which we conclude $S^T \geq 0$.

Remarkably, positivity of two maps $\mathcal{E}$ and $\mathcal{F}$ does not necessarily imply positivity of the tensor map $\mathcal{E} \otimes \mathcal{F}$ defined by

$$(\mathcal{E} \otimes \mathcal{F})(S \otimes T) := \mathcal{E}(S) \otimes \mathcal{F}(T) \ .$$

In fact, it is straightforward to verify that the map $\mathcal{I}_A \otimes \mathcal{T}_{A'}$ applied to the positive operator $\rho_{AA'} := |\Psi\rangle\langle\Psi|$, for Ψ defined by (4.11), results in a non-positive operator.

To guarantee that tensor products of mappings such as $\mathcal{E} \otimes \mathcal{F}$ are positive, a stronger requirement is needed, called *complete positivity.*

Definition 4.4.2. A linear map $\mathcal{E} \in \mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B))$ is said to be *completely positive* if for any Hilbert space $\mathcal{H}_R$, the map $\mathcal{E} \otimes \mathcal{I}_R$ is positive.

Definition 4.4.3. A linear map $\mathcal{E} \in \mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B))$ is said to be *trace preserving* if $\mathrm{tr}(\mathcal{E}(S)) = \mathrm{tr}(S)$ for any $S \in \mathrm{End}(\mathcal{H}_A)$.

We will use the abbreviation *CPM* to denote completely positive maps. Moreover, we denote by $\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$ the set of trace-preserving completely positive maps from $\mathrm{End}(\mathcal{H}_A)$ to $\mathrm{End}(\mathcal{H}_B)$.

4.4.2 The Choi-Jamiolkowski isomorphism

The Choi-Jamiolkowski isomorphism is a mapping that relates CPMs to density operators. Its importance results from the fact that it essentially reduces the study of CPMs to the study of density operators. In other words, it allows us to translate mathematical statements that hold for density operators to statements for CPMs (and vice versa).

Let $\mathcal{H}_A$ and $\mathcal{H}_B$ be Hilbert spaces, let $\mathcal{H}_{A'}$ be isomorphic to $\mathcal{H}_A$, and define the normalized vector $\Psi = \Psi_{A'A} \in \mathcal{H}_{A'} \otimes \mathcal{H}_A$ by

$$\Psi = \frac{1}{\sqrt{d}} \sum_{i=1}^{d} e_i \otimes e_i$$

where $\{e_i\}_{i=1,\dots,d}$ is an orthonormal basis of $\mathcal{H}_A \cong \mathcal{H}_{A'}$ and $d = \dim(\mathcal{H}_A)$.

Definition 4.4.4. The *Choi-Jamiolkowski mapping (relative to the basis $\{e_i\}_i$)* is the linear function τ from $\mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B))$ to $\mathrm{End}(\mathcal{H}_{A'} \otimes \mathcal{H}_B)$ defined by

$$\tau : \mathcal{E} \mapsto (\mathcal{I}_{A'} \otimes \mathcal{E})(|\Psi\rangle\langle\Psi|) \ .$$

Lemma 4.4.5. *The Choi-Jamiolkowski mapping*

$$\tau : \mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B)) \longrightarrow \mathrm{End}(\mathcal{H}_{A'} \otimes \mathcal{H}_B)$$

is an isomorphism. Its inverse τ^{-1} maps any $\rho_{A'B}$ to

$$\tau^{-1}(\rho_{A'B}) : S_A \mapsto d \cdot \mathrm{tr}_{A'}\Big(\big(\mathcal{T}_{A\to A'}(S_A) \otimes \mathrm{id}_B\big)\rho_{A'B}\Big) \ ,$$

where $\mathcal{T}_{A\to A'} : \mathrm{End}(\mathcal{H}_A) \to \mathrm{End}(\mathcal{H}_{A'})$ is defined by

$$\mathcal{T}_{A\to A'}(S_A) := \sum_{i,j} |e_i\rangle_{A'}\langle e_j|_A S_A |e_i\rangle_A \langle e_j|_{A'} \ .$$

Proof. It suffices to verify that the mapping τ^{-1} defined in the lemma is indeed an inverse of τ. We first check that $\tau \circ \tau^{-1}$ is the identity on $\mathrm{End}(\mathcal{H}_{A'} \otimes \mathcal{H}_B)$. That is, we show that for any operator $\rho_{A'B} \in \mathrm{End}(\mathcal{H}_{A'} \otimes \mathcal{H}_B)$, the operator

$$\tau(\tau^{-1}(\rho_{A'B})) := d \cdot (\mathcal{I}_{A'} \otimes \mathrm{tr}_{A'})\Big(\big((\mathcal{I}_{A'} \otimes \mathcal{T}_{A\to A'})(|\Psi\rangle\langle\Psi|) \otimes \mathrm{id}_B\big)(\mathrm{id}_{A'} \otimes \rho_{A'B})\Big) \tag{4.31}$$

equals $\rho_{A'B}$ (where we have written $\mathcal{I}_{A'} \otimes \mathrm{tr}_{A'}$ instead of $\mathrm{tr}_{A'}$ to indicate that the trace only acts on the second subsystem $\mathcal{H}_{A'}$). Inserting the definition of Ψ, we find

$$\begin{aligned}\tau(\tau^{-1}(\rho_{A'B})) &= (\mathcal{I}_{A'} \otimes \mathrm{tr}_{A'})\big(\sum_{i,j}(|e_i\rangle\langle e_j|_{A'} \otimes |e_j\rangle\langle e_i|_{A'} \otimes \mathrm{id}_B)(\mathrm{id}_{A'} \otimes \rho_{A'B})\big) \\ &= \sum_{i,j}(|e_i\rangle\langle e_i|_{A'} \otimes \mathrm{id}_B)\rho_{A'B}(|e_j\rangle\langle e_j|_{A'} \otimes \mathrm{id}_B) = \rho_{A'B} \ ,\end{aligned}$$

which proves the claim that $\tau \circ \tau^{-1}$ is the identity.

It remains to show that τ is injective. For this, let $S_A \in \mathrm{End}(\mathcal{H}_A)$ be arbitrary and note that

$$(\mathcal{T}_{A\to A'}(S_A) \otimes \mathrm{id}_A)\Psi = (\mathrm{id}_{A'} \otimes S_A)\Psi \ .$$

Together with the fact that $\mathrm{tr}_{A'}(|\Psi\rangle\langle\Psi|) = \frac{1}{d}\mathrm{id}_A$ this implies

$$\begin{aligned}\mathcal{E}(S_A) &= d \cdot \mathcal{E}\big(S_A \mathrm{tr}_{A'}(|\Psi\rangle\langle\Psi|)\big) \\ &= d \cdot \mathrm{tr}_{A'}\Big((\mathcal{I}_{A'} \otimes \mathcal{E})\big((\mathrm{id}_{A'} \otimes S_A)|\Psi\rangle\langle\Psi|\big)\Big) \\ &= d \cdot \mathrm{tr}_{A'}\Big((\mathcal{I}_{A'} \otimes \mathcal{E})\big((\mathcal{T}_{A\to A'}(S_A) \otimes \mathrm{id}_A)|\Psi\rangle\langle\Psi|\big)\Big) \\ &= d \cdot \mathrm{tr}_{A'}\Big((\mathcal{T}_{A\to A'}(S_A) \otimes \mathrm{id}_A)(\mathcal{I}_{A'} \otimes \mathcal{E})(|\Psi\rangle\langle\Psi|)\Big) \ .\end{aligned}$$

Assume now that $\tau(\mathcal{E}) = 0$. Then, by definition, $(\mathcal{I}_{A'} \otimes \mathcal{E})(|\Psi\rangle\langle\Psi|) = 0$. By virtue of the above equality, this implies $\mathcal{E}(S_A) = 0$ for any S_A and, hence, $\mathcal{E} = 0$. In other words, $\tau(\mathcal{E}) = 0$ implies $\mathcal{E} = 0$, i.e., τ is injective. □

In the following, we focus on trace-preserving CPMs. The set $\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$ obviously is a subset of $\mathrm{Hom}(\mathrm{End}(\mathcal{H}_A), \mathrm{End}(\mathcal{H}_B))$. Consequently, $\tau(\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B))$ is also a subset of $\mathrm{End}(\mathcal{H}_{A'} \otimes \mathcal{H}_B)$. It follows immediately from the complete positivity property that $\tau(\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B))$ only contains positive operators. Moreover, by the trace-preserving property, any $\rho_{A'B} \in \tau(\mathrm{TPCPM}(\mathcal{H}_{A'}, \mathcal{H}_B))$ satisfies

$$\mathrm{tr}_B(\rho_{A'B}) = \frac{1}{d}\mathrm{id}_{A'} \ . \tag{4.32}$$

In particular, $\rho_{A'B}$ is a density operator.

Conversely, the following lemma implies[13] that any density operator $\rho_{A'B}$ that satisfies (4.32) is the image of some trace-preserving CPM. We therefore have the following characterization of the image of $\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$ under the Choi-Jamiolkowski isomorphism,

$$\tau(\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)) = \{\rho_{A'B} \in \mathcal{S}(\mathcal{H}_{A'} \otimes \mathcal{H}_B) : \mathrm{tr}_B(\rho_{A'B}) = \tfrac{1}{d}\mathrm{id}_{A'}\} \ .$$

[13]See the argument in Section 4.4.3.

Lemma 4.4.6. *Let $\Phi \in \mathcal{H}_{A'} \otimes \mathcal{H}_B$ such that $\mathrm{tr}_B(|\Phi\rangle\langle\Phi|) = \frac{1}{d}\mathrm{id}_{A'}$. Then the mapping $\mathcal{E} := \tau^{-1}(|\Phi\rangle\langle\Phi|)$ has the form*

$$\mathcal{E} : S_A \mapsto U S_A U^*$$

where $U \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_B)$ is an isometry, i.e., $U^*U = \mathrm{id}_A$.

Proof. Using the expression for $\mathcal{E} := \tau^{-1}(|\Phi\rangle\langle\Phi|)$ provided by Lemma 4.4.5, we find, for any $S_A \in \mathrm{End}(\mathcal{H}_A)$,

$$\begin{aligned}\mathcal{E}(S_A) &= d \cdot \mathrm{tr}_{A'}\big((\mathcal{T}_{A \to A'}(S_A) \otimes \mathrm{id}_B)|\Phi\rangle\langle\Phi|\big) \\ &= d \cdot \sum_{i,j} \langle e_i|S_A|e_j\rangle(\langle e_i| \otimes \mathrm{id}_B)|\Phi\rangle\langle\Phi|(|e_j\rangle \otimes \mathrm{id}_B) \\ &= \sum_{i,j} E_i S_A E_j^* ,\end{aligned}$$

where $E_i := \sqrt{d} \cdot (\langle e_i| \otimes \mathrm{id}_B)|\Phi\rangle\langle e_i|$. Defining $U := \sum_i E_i$, we conclude that $\mathcal{E}$ has the desired form, i.e., $\mathcal{E}(S_A) = U S_A U^*$.

To show that U is an isometry, let

$$\Phi = \frac{1}{\sqrt{d}} \sum_i e_i \otimes f_i$$

be a Schmidt decomposition of Φ. (Note that, because $\mathrm{tr}_B(|\Phi\rangle\langle\Phi|)$ is fully mixed, the basis $\{e_i\}$ can be chosen to coincide with the basis used for the definition of τ.) Then $(\langle e_i| \otimes \mathrm{id}_B)|\Phi\rangle = |f_i\rangle$ and, hence,

$$U^*U = d \sum_{i,j} |e_j\rangle\langle\Phi|(|e_j\rangle \otimes \mathrm{id}_B)(\langle e_i| \otimes \mathrm{id}_B)|\Phi\rangle\langle e_i| = \mathrm{id}_A .$$

□

Motivated by the Choi-Jamiolkowski isomorphism we sometimes use for a CPM the notation $\mathrm{ad}_S : \rho \mapsto S\rho S^*$, for some arbitrary operator S.

4.4.3 Stinespring dilation

The following lemma will be of crucial importance for the interpretation of CPMs as physical maps.

Lemma 4.4.7 (Stinespring dilation)**.** *Let $\mathcal{E} \in \mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$. Then there exists an isometry $U \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_B \otimes \mathcal{H}_R)$, for some Hilbert space $\mathcal{H}_R$, such that*

$$\mathcal{E} : S_A \mapsto \mathrm{tr}_R(U S_A U^*) .$$

Proof. Let $\mathcal{E}_{A\to B} := \mathcal{E}$, define $\rho_{AB} := \tau(\mathcal{E})$, and let ρ_{ABR} be a purification of ρ_{AB}. We then define $\mathcal{E}' = \mathcal{E}'_{A\to(B,R)} := \tau^{-1}(\rho_{ABR})$. According to Lemma 4.4.6, because $\mathrm{tr}_{BR}(\rho_{ABR})$ is fully mixed, $\mathcal{E}'_{A\to(B,R)}$ has the form

$$\mathcal{E}'_{A\to(B,R)} : S_A \mapsto U S_A U^* ,$$

where U is an isometry. The assertion then follows from the fact that the diagram below commutes, which can be readily verified from the definition of the Choi-Jamiolkowski isomorphism. (Note that the arrow on the top corresponds to the operation $\mathcal{E}' \mapsto \mathrm{tr}_R \circ \mathcal{E}'$.)

$$\begin{tikzcd} \mathcal{E}_{A\to B} \arrow[d, "\tau"'] & \mathcal{E}'_{A\to(B,R)} \arrow[l, "\mathrm{tr}_R"'] \\ \rho_{A'B} \arrow[r, "\text{purif.}"'] & \rho_{A'BR} \arrow[u, "\tau^{-1}"'] \end{tikzcd}$$

□

We can use Lemma 4.4.7 to establish a connection between general trace-preserving CPMs and the evolution postulate of Section 4.3.2. Let $\mathcal{E} \in \mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_A)$ and let $U \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_A \otimes \mathcal{H}_R)$ be the corresponding Stinespring dilation, as defined by Lemma 4.4.7. Furthermore, let $\tilde{U} \in \mathrm{Hom}(\mathcal{H}_A \otimes \mathcal{H}_R, \mathcal{H}_A \otimes \mathcal{H}_R)$ be a unitary embedding of U in $\mathcal{H}_A \otimes \mathcal{H}_R$, i.e., $\tilde{U}$ is unitary and, for some fixed $w_0 \in \mathcal{H}_R$, satisfies

$$\tilde{U} : v \otimes w_0 \mapsto Uv .$$

Using the fact that U is an isometry, it is easy to see that there always exists such a $\tilde{U}$.

By construction, the unitary $\tilde{U}$ satisfies

$$\mathcal{E}(S_A) = \mathrm{tr}_R\big(\tilde{U}(S_A \otimes |w_0\rangle\langle w_0|)\tilde{U}^*\big)$$

for any operator S_A on $\mathcal{H}_A$. Hence, the mapping $\mathcal{E}$ on $\mathcal{H}_A$ can be seen as a unitary on an extended system $\mathcal{H}_A \otimes \mathcal{H}_R$ (with $\mathcal{H}_R$ being initialized with a state w_0) followed by a partial trace over $\mathcal{H}_R$. In other words, any possible mapping from density operators to density operators that satisfies the convexity criterion (4.30) (this is exactly the set of trace-preserving CPMs) corresponds to a unitary evolution of a larger system.

4.4.4 Operator-sum representation

As we have seen in the previous section, CPMs can be represented as unitaries on a larger system. In the following, we consider an alternative and somewhat more economic[14] description of CPMs.

[14]In the sense that there is less redundant information in the description of the CPM.

Lemma 4.4.8 (Operator-sum representation)**.** *For any $\mathcal{E} \in \mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$ there exists a family $\{E_x\}_x$ of operators $E_x \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_B)$ such that*

$$\mathcal{E} : S_A \mapsto \sum_x E_x S_A E_x^* \tag{4.33}$$

and $\sum_x E_x^* E_x = \mathrm{id}_A$.

Conversely, any mapping $\mathcal{E}$ of the form (4.33) is contained in $\mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_B)$.

Proof. By Lemma 4.4.7, there exists an isometry $U \in \mathrm{Hom}(\mathcal{H}_A, \mathcal{H}_B \otimes \mathcal{H}_R)$ such that

$$\mathcal{E}(S_A) = \mathrm{tr}_R(U S_A U^*) = \sum_x (\mathrm{id}_B \otimes \langle f_x|) U S_A U^* (\mathrm{id}_B \otimes |f_x\rangle) ,$$

where $\{f_x\}_x$ is an orthonormal basis of $\mathcal{H}_R$. Defining

$$E_x := (\mathrm{id}_B \otimes \langle f_x|) U ,$$

the direct assertion follows from the fact that

$$\sum_x E_x^* E_x = \sum_x U^* (\mathrm{id}_B \otimes |f_x\rangle)(\mathrm{id}_B \otimes \langle f_x|) U = U^* U = \mathrm{id} ,$$

which holds because U is an isometry.

The converse assertion can be easily verified as follows. The fact that any mapping of the form (4.33) is positive follows from the observation that $E_x S_A E_x^*$ is positive whenever S_A is positive. To show that the mapping is trace-preserving, we use

$$\mathrm{tr}(\mathcal{E}(S_A)) = \sum_x \mathrm{tr}(E_x S_A E_x^*) = \sum_x \mathrm{tr}(E_x^* E_x S_A) = \mathrm{tr}(\mathrm{id}_A S_A) .$$

□

Note that the family $\{E_x\}_x$ is not uniquely determined by the CPM $\mathcal{E}$. This is easily seen by the following example. Let $\mathcal{E}$ be the trace-preserving CPM from $\mathrm{End}(\mathcal{H}_A)$ to $\mathrm{End}(\mathcal{H}_B)$ defined by

$$\mathcal{E} : S_A \mapsto \mathrm{tr}(S_A) |w\rangle\langle w|$$

for any operator $S_A \in \mathrm{End}(\mathcal{H}_A)$ and some fixed $w \in \mathcal{H}_B$. That is, $\mathcal{E}$ maps any density operator to the state $|w\rangle\langle w|$. It is easy to verify that this CPM can be written in the form (4.33) for

$$E_x := |w\rangle\langle e_x|$$

where $\{e_x\}_x$ in an arbitrary orthonormal basis of $\mathcal{H}_A$.

4.4.5 Measurements as CPMs

An elegant approach to describe measurements is to use the notion of classical states. Let ρ_{AB} be a density operator on $\mathcal{H}_A \otimes \mathcal{H}_B$ and let $O = \sum_x x P_x$ be an observable on $\mathcal{H}_A$. Then, according to the measurement postulate of Section 4.3.2, the measurement process produces a classical value X distributed according to the probability distribution P_X specified by (4.13), and the post-measurement state $\rho'_{AB,x}$ conditioned on the outcome x is given by (4.14). This situation is described by a density operator

$$\rho'_{XAB} := \sum_x P_X(x) |e_x\rangle\langle e_x| \otimes \rho'_{AB,x} \ .$$

on $\mathcal{H}_X \otimes \mathcal{H}_A \otimes \mathcal{H}_B$ which is classical on $\mathcal{H}_X$ (with respect to some orthonormal basis $\{e_x\}_x$). Inserting the expressions for P_X and $\rho'_{AB,x}$, this operator can be rewritten as

$$\rho'_{XAB} = \sum_x |e_x\rangle\langle e_x| \otimes (P_x \otimes \mathrm{id}_B) \rho_{AB} (P_x \otimes \mathrm{id}_B) \ .$$

Note that the mapping $\mathcal{E}$ from ρ_{AB} to ρ'_{XAB} can be written in the operator-sum representation (4.33) with

$$E_x := |x\rangle \otimes P_x \otimes \mathrm{id}_B \ ,$$

where

$$\sum_x E_x^* E_x = \sum_x P_x \otimes \mathrm{id}_B = \mathrm{id}_{AB} \ .$$

It thus follows from Lemma 4.4.8 that the mapping

$$\mathcal{E} : \ \rho_{AB} \mapsto \rho'_{XAB}$$

is a trace-preserving CPM.

This is a remarkable statement. According to the Stinespring dilation theorem, it tells us that any measurement can be seen as a unitary on a larger system. In other words, a measurement is just a special type of evolution of the system.

4.4.6 Positive operator valued measures (POVMs)

When analyzing a physical system, one is often only interested in the probability distribution of the observables (but not in the post-measurement state). Consider a system that first undergoes an evolution characterized by a CPM and, after that, is measured. Because, as argued above, a measurement can be seen as a CPM, the concatenation of the evolution and the measurement is again a CPM $\mathcal{E} \in \mathrm{TPCPM}(\mathcal{H}_A, \mathcal{H}_X \otimes \mathcal{H}_B)$. If the measurement outcome X is represented by orthogonal vectors $\{e_x\}_x$ of $\mathcal{H}_X$, this CPM has the form

$$\mathcal{E} : \ S_A \mapsto \sum_x |e_x\rangle\langle e_x| \otimes E_x S_A E_x^* \ .$$

In particular, if we apply the CPM $\mathcal{E}$ to a density operator ρ_A, the distribution P_X of the measurement outcome X is given by

$$P_X(x) = \mathrm{tr}(E_x \rho_A E_x^*) = \mathrm{tr}(M_x \rho_A) \ ,$$

where $M_x := E_x^* E_x$.

From this we conclude that, as long as we are only interested in the probability distribution of X, it suffices to characterize the evolution and the measurement by the family of operators M_x. Note, however, that the operators M_x do not fully characterize the full evolution. In fact, distinct operators E_x can give raise to the same operator $M_x = E_x^* E_x$.

It is easy to see from Lemma 4.4.8 that the family $\{M_x\}_x$ of operators defined as above satisfies the following definition.

Definition 4.4.9. A *positive operator valued measure (POVM) (on $\mathcal{H}$)* is a family $\{M_x\}_x$ of positive operators $M_x \in \mathrm{Herm}(\mathcal{H})$ such that

$$\sum_x M_x = \mathrm{id}_{\mathcal{H}} \ .$$

Conversely, any POVM $\{M_x\}_x$ corresponds to a (not unique) physically possible evolution followed by a measurement. This can easily be seen by defining a CPM by the operator-sum representation with operators $E_x := \sqrt{M_x}$.

4.4.7 The diamond norm of CPMs

Let $\mathcal{E}$ and $\mathcal{F}$ be arbitrary CPMs from $\mathcal{S}(\mathcal{H})$ to $\mathcal{S}(\mathcal{H}')$. The defining demand on the definition of the wanted distance measure $d(.,.)$ between the CPMs $\mathcal{E}$ and $\mathcal{F}$ is that it is proportional to the maximal probability for distinguishing the maps $\mathcal{E}$ and $\mathcal{F}$ in an experiment. After our discussion of the trace distance between states in an earlier chapter it is natural to propose the distance measure

$$\tilde{d}(\mathcal{E}, \mathcal{F}) := \max_{\rho \in \mathcal{S}(\mathcal{H}^{(\mathrm{in})})} \|\mathcal{E}(\rho) - \mathcal{F}(\rho)\|_1$$

if one recalls the "maximal distinguishing probability property" of the trace distance. Up to a factor 1/2 this is the maximal probability to distinguish the CPMs $\mathcal{E}$ and $\mathcal{F}$ in an experiment which works with initial states in the Hilbert space $\mathcal{H}$. But this is *not* the best way to distinguish the CPMs $\mathcal{E}$ and $\mathcal{F}$ in an experiment! Note that in our naive definition above we have excluded the possibility to consider initial states in "larger" Hilbert spaces in the maximization-procedure. The probability to distinguish the CPMs $\mathcal{E}$ and $\mathcal{F}$ in an experiment may increase if we "enlarge" the input Hilbert space $\mathcal{H}$ by an additional tensor space factor;

$$\mathcal{H} \rightsquigarrow \mathcal{H} \otimes \mathcal{H}_E;$$

and apply the CPMs $\mathcal{E}$ and $\mathcal{F}$ as $\mathcal{E} \otimes \mathcal{I}_E$ and $\mathcal{F} \otimes \mathcal{I}_E$ to states in $\mathcal{S}(\mathcal{H} \otimes \mathcal{H}_E)$. These replacements lead to a simultaneous replacement of the output Hilbert space:

$$\mathcal{H}' \rightsquigarrow \mathcal{H}' \otimes \mathcal{H}_E.$$

In Section 4.4.8, an explicit example is discussed which shows that there exist situations in which

$$\tilde{d}(\mathcal{E},\mathcal{F}) < \tilde{d}(\mathcal{E}\otimes\mathcal{I}_E,\mathcal{F}\otimes\mathcal{I}_E)$$

for some Hilbert space $\mathcal{H}_E$. This shows why we discard the immediate use of $\tilde{d}(\mathcal{E},\mathcal{F})$ but use a distance measure of the form $\tilde{d}(\mathcal{E}\otimes\mathcal{I}_E,\mathcal{F}\otimes\mathcal{I}_E)$ instead. We will still have to figure out the optimal choice for the Hilbert space $\mathcal{H}_E$ which will lead to the definition of the so called "diamond norm".

As motivated above we consider

$$d(\mathcal{E},\mathcal{F}) := \max_{\rho\in\mathcal{S}(\mathcal{H}\otimes\mathcal{H}_E)} \|\mathcal{E}\otimes\mathcal{I}_E(\rho) - \mathcal{F}\otimes\mathcal{I}_E(\rho)\|_1$$

instead of our naive approach. Next one asks how the distinguishing probability depends on the choice of the Hilbert space $\mathcal{H}_E$. To that purpose we are stating and proving Lemma 4.4.10. In the final definition of distance between CPMs we will then use a Hilbert space $\mathcal{H}_E$ which maximizes the probability for distinguishing the CPMs $\mathcal{E}$ and $\mathcal{F}$.

Lemma 4.4.10. *Let ρ_{AB} be a pure state on a Hilbert space $\mathcal{H}_A\otimes\mathcal{H}_B$ and let $\rho'_{AB'}$ be an arbitrary state on a Hilbert space $\mathcal{H}_A\otimes\mathcal{H}_{B'}$, such that*

$$\mathrm{tr}_B\rho_{AB} = \mathrm{tr}_{B'}\rho'_{AB'}.$$

Then there exists a CPM $\mathcal{E}:\mathcal{S}(\mathcal{H}_B)\to\mathcal{S}(\mathcal{H}_{B'})$, such that

$$\rho'_{AB'} = \mathcal{I}_A\otimes\mathcal{E}(\rho_{AB}).$$

Proof. Assume that $\rho'_{AB'}$ is pure. Since ρ_{AB} is pure (and by the assumption made in the lemma) there exist states $\psi\in\mathcal{H}_A\otimes\mathcal{H}_B$ and $\psi'\in\mathcal{H}_A\otimes\mathcal{H}_{B'}$, such that $\rho_{AB}=|\psi\rangle\langle\psi|$ and $\rho'_{AB'}=|\psi'\rangle\langle\psi'|$. Let

$$|\psi\rangle = \sum_i \sqrt{\lambda_i}|v_i\rangle_A\otimes|w_i\rangle_B$$

and

$$|\psi'\rangle = \sum_i \sqrt{\lambda'_i}|v'_i\rangle_A\otimes|w'_i\rangle_{B'}$$

be the Schmidt decompositions of $|\psi\rangle$ and $|\psi'\rangle$. Without loss of generality we assume $|v_i\rangle_A = |v'_i\rangle_A$ because v_i and v'_i are both eigenvectors of the operator $\rho_A := \mathrm{tr}_B\rho_{AB} = \mathrm{tr}_{B'}\rho'_{AB'}$. Define the map

$$U := \sum_i |w'_i\rangle_{B'}\langle w_i|_B.$$

This map U is an isometry because $\{w_i\}_i$ and $\{w'_i\}_i$ are orthonormal systems in $\mathcal{H}_B$ and $\mathcal{H}_{B'}$, respectively. Consequently,

$$\psi' = (\mathrm{id}_A\otimes U)(\psi)$$

which proves the lemma for $\rho'_{AB'}$ being pure.
Now let's assume that $\rho'_{AB'}$ isn't pure and consider the purification $\rho'_{AB'R}$ of $\rho'_{AB'}$. Then (according to the statement proved so far) there exists a map

$$U:\mathcal{H}_B\to\mathcal{H}_{B'}\otimes\mathcal{H}_R,$$

such that

$$\rho'_{AB'R} = (\mathrm{id}_A \otimes U)\rho_{AB}(\mathrm{id}_A \otimes U^*).$$

Now we simply define $\mathcal{E} := \mathrm{tr}_R \circ \mathrm{ad}_{\mathrm{id}_A \otimes U}$ and thus

$$\rho'_{AB'} = \mathcal{I}_A \otimes \mathcal{E}(\rho_{AB})$$

which concludes the proof. □

Let us come back to the question about the best choice for the Hilbert space $\mathcal{H}_E$ appearing in the definition of the distance measure in the space of CPMs. Let $\mathcal{E}_1$ and $\mathcal{E}_2$ be two CPMs from $\mathcal{S}(\mathcal{H}_A)$ to $\mathcal{S}(\mathcal{H}_{A'})$ and let ρ_A be a state in $\mathcal{S}(\mathcal{H}_A)$, $\rho_{AR} \in \mathcal{S}(\mathcal{H}_A \otimes \mathcal{H}_R)$ be the purification of ρ_A with $\dim(R) = \dim(A)$, ρ'_{AB} be a state in $\mathcal{S}(\mathcal{H}_A \otimes \mathcal{H}_B)$ such that $\rho_A = \mathrm{tr}_B \rho'_{AB}$. According to the lemma we just proved there exists a CPM $\mathcal{G} : \mathcal{S}(\mathcal{H}_R) \to \mathcal{S}(\mathcal{H}_B)$ such that

$$\rho'_{AB} = \mathcal{I}_A \otimes \mathcal{G}(\rho_{AR}).$$

The CPMs $\mathcal{E}_1$ and $\mathcal{E}_2$ act only on states in $\mathcal{S}(\mathcal{H}_A)$ and thus they act on the states ρ_{AR} and ρ'_{AB} as

$$\begin{aligned}
\mathcal{E}_1 \otimes \mathcal{I}_B(\rho'_{AB}) &= (\mathcal{I}_A \otimes \mathcal{G}) \circ (\mathcal{E}_1 \otimes \mathcal{I}_A)(\rho_{AR}) \\
\mathcal{E}_2 \otimes \mathcal{I}_B(\rho'_{AB}) &= (\mathcal{I}_A \otimes \mathcal{G}) \circ (\mathcal{E}_2 \otimes \mathcal{I}_A)(\rho_{AR}).
\end{aligned}$$

We have proved in an earlier chapter about quantum states and operations that trace preserving CPMs can never increase the distance between states. We thus get

$$\|\mathcal{E}_1 \otimes \mathcal{I}_B(\rho'_{AB}) - \mathcal{E}_2 \otimes \mathcal{I}_B(\rho'_{AB})\|_1 \leq \|\mathcal{E}_1 \otimes \mathcal{I}_A(\rho_{AR}) - \mathcal{E}_2 \otimes \mathcal{I}_A(\rho_{AR})\|_1.$$

This inequality holds for any choice of $\mathcal{H}_B$ and states in $\mathcal{S}(\mathcal{H}_A \otimes \mathcal{H}_B)$. We conclude that the right hand sight of our the inequality describes the best way to distinguish the CPMs $\mathcal{E}_1$ and $\mathcal{E}_2$ in an experiment. Consequently, this is the best choice for the distance measure between CPMs. This distance measure is induced by the following norm.

Definition 4.4.11 (Diamond norm for CPMs)**.** Let $\mathcal{H}$ and $\mathcal{G}$ be two Hilbert spaces and let

$$\mathcal{E} : \mathcal{S}(\mathcal{H}) \to \mathcal{S}(\mathcal{G})$$

be a CPM. Then the *diamond norm* $\|\mathcal{E}\|_\diamond$ of $\mathcal{E}$ is defined as

$$\|\mathcal{E}\|_\diamond := \|\mathcal{E} \otimes \mathcal{I}_\mathcal{H}\|_1,$$

where $\|\cdot\|_1$ denotes the so called *trace norm* for resources which is defined as

$$\|\Psi\|_1 := \max_{\rho \in \mathcal{S}(\mathcal{L}_1 \otimes \mathcal{L}_2)} \|\Psi(\rho)\|_1$$

where $\Psi : \mathcal{S}(\mathcal{L}_1) \to \mathcal{S}(\mathcal{L}_2)$ denotes an arbitrary CPM.

4.4.8 Example: Why to enlarge the Hilbert space

We consider an explicit example to recognize that situations occur in which

$$\tilde{d}(\mathcal{E},\mathcal{F}) < \tilde{d}(\mathcal{E}\otimes\mathcal{I}_E,\mathcal{F}\otimes\mathcal{I}_E)$$

for some Hilbert space $\mathcal{H}_E$. Let $\mathcal{H}\cong\mathcal{H}'\cong\mathcal{H}_E\cong\mathbb{C}^2$, define

$$\begin{array}{rlcl} \mathcal{E}: & \mathcal{S}(\mathcal{C}^2) & \rightarrow & \mathcal{S}(\mathcal{C}^2) \\ & \rho & \mapsto & \mathcal{E}(\rho) = (1-p)\rho + \frac{p}{2}\mathbb{I}_{\mathbb{C}^2} \end{array}$$

and set $\mathcal{F} := \mathcal{I} := \mathcal{I}_{\mathbb{C}^2}$. We are trying to show that

$$\tilde{d}(\mathcal{E},\mathcal{I}) < \tilde{d}(\mathcal{E}\otimes\mathcal{I}_E,\mathcal{I}\otimes\mathcal{I}_E).$$

We first compute the left hand side explicitly and prove the inequality afterwards building on the explicit result derived for the left hand side.

According to the proposed distance measure $\tilde{d}(.,.)$,

$$\tilde{d}(\mathcal{E},\mathcal{I}) = \max_{\rho\in\mathcal{S}(\mathcal{H})} \|\mathcal{E}(\rho)-\mathcal{I}(\rho)\|_1$$

To compute this expression we first prove two claims.

Claim 4.4.12. *The distance $\|\mathcal{E}(\rho)-\mathcal{F}(\rho)\|_1$ is maximal for pure states $\rho = |\psi\rangle\langle\psi|$, $\psi\in\mathcal{H}$.*

Proof. The state ρ can be written in the form

$$\rho = p\rho_1 + (1-p)\rho_2,$$

where ρ_1 and ρ_2 have support on orthogonal subspaces. Therefore, we observe

$$\begin{aligned} \|\mathcal{E}(\rho)-\mathcal{F}(\rho)\|_1 &\leq p\|\mathcal{E}(\rho_1)-\mathcal{F}(\rho_1)\|_1 + (1-p)\|\mathcal{E}(\rho_2)-\mathcal{F}(\rho_2)\|_1 \\ &\leq \max\{\|\mathcal{E}(\rho_1)-\mathcal{F}(\rho_1)\|_1, \|\mathcal{E}(\rho_2)-\mathcal{F}(\rho_2)\|_1\}, \end{aligned}$$

where we have used the linearity of CPMs and the triangle inequality in the first step. The application of this to smaller and smaller subsystems leads to pure states in the end. This proves the claim. □

Claim 4.4.13. *The distance $\|\mathcal{E}(\rho)-\mathcal{I}(\rho)\|_1$ is invariant under unitary transformations of ρ, i.e.,*

$$\|\mathcal{E}(\rho)-\rho\|_1 = \|\mathcal{E}(U\rho U^*)-U\rho U^*\|_1.$$

Proof. Because of the invariance of the trace norm under unitaries,

$$\begin{aligned} \|\mathcal{E}(\rho)-\rho\|_1 &= \|U\mathcal{E}(\rho)U^* - U\rho U^*\|_1 \\ &= \|\mathcal{E}(U\rho U^*)-U\rho U^*\|_1, \end{aligned}$$

where we have used the explicit definition of the map $\mathcal{E}$ in the second step. This proves the claim. □

Together, these two claims imply that we can use any pure state $\rho = |\psi\rangle\langle\psi|$ to maximize $\|\mathcal{E}(\rho) - \rho\|_1$. We chose $|\psi\rangle = |0\rangle$ where $\{|0\rangle, |1\rangle\}$ is the computational basis of $\mathbb{C}^2$. We get

$$\tilde{d}(\mathcal{E}, \mathcal{I}) = \left\| \begin{pmatrix} -\frac{p}{2} & 0 \\ 0 & \frac{p}{2} \end{pmatrix} \right\|_1 = p.$$

Now that we have computed $\tilde{d}(\mathcal{E}, \mathcal{I})$ we have a closer look at an experiment where the experimentalist implements the maps $\mathcal{E}$ and $\mathcal{I}$ as $\mathcal{E} \otimes \mathcal{I}_E = \mathcal{E} \otimes \mathcal{I}$ and $\mathcal{I} \otimes \mathcal{I}_E = \mathcal{I} \otimes \mathcal{I}$, respectively. We thus have to show that

$$p < \tilde{d}(\mathcal{E} \otimes \mathcal{I}_E, \mathcal{I} \otimes \mathcal{I}_E).$$

According to the definition of $\tilde{d}(.,.)$ it is sufficient to find a state $\rho \in \mathcal{S}(\mathbb{C}^2 \otimes \mathbb{C}^2)$ such that

$$\|\mathcal{E} \otimes \mathcal{I}(\rho) - \mathcal{I} \otimes \mathcal{I}(\rho)\|_1 \geq \tilde{d}(\mathcal{E}, \mathcal{I}) = p.$$

For simplicity, we assume $p = 1/2$. Our ansatz for ρ is the Bell state $|\beta_0\rangle\langle\beta_0|$, where

$$|\beta_0\rangle = \frac{1}{\sqrt{2}}(|00\rangle + |11\rangle),$$

as introduced in Definition 4.3.11. For $p = 1/2$ we obtain

$$\begin{aligned} E \otimes \mathcal{I}(\rho) - \mathcal{I} \otimes \mathcal{I}(\rho) = \frac{1}{8} & \left(-|00\rangle\langle 00| + |10\rangle\langle 10| - 2|00\rangle\langle 11| + |00\rangle\langle 01| + |10\rangle\langle 11| \right. \\ & \left. -2|11\rangle\langle 00| + |01\rangle\langle 00| + |11\rangle\langle 10| - |11\rangle\langle 11| + |01\rangle\langle 01| \right). \end{aligned}$$

From there it is easy to compute

$$\|\mathcal{E} \otimes \mathcal{I}(\rho) - \mathcal{I} \otimes \mathcal{I}(\rho)\|_1 = \frac{1 + \sqrt{5}}{4} > \frac{1}{2} = \tilde{d}(\mathcal{E}, \mathcal{I}),$$

which completes the example.

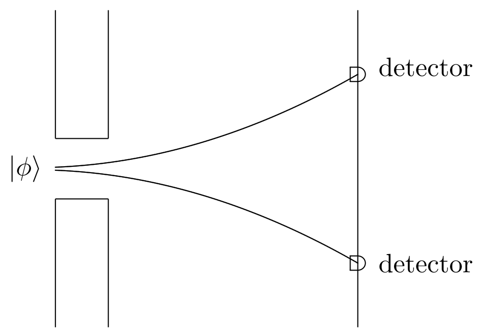
5 The Completeness of Quantum Theory

In this section we prove that based on two weak assumptions,

- that quantum theory is correct and
- the compatibility with free choices,

quantum theory is complete. In other words this means that given these two assumptions there cannot exist a theory that makes better predictions than quantum theory does. For a more rigorous treatment of the material presented in this chapter consider [4].

5.1 Motivation



We consider the Stern-Gerlach experiment. If we input a state $|\downarrow\rangle$ quantum mechanics predicts that we will measure a hit on the detector below, whereas for an input state $|\uparrow\rangle$ we will measure a hit on the detector at the top. However if we input a state $\frac{1}{\sqrt{2}}(|\uparrow\rangle + |\downarrow\rangle)$, according to quantum mechanics we will detect a hit at each detector with probability $1/2$.

Therefore it is legitimate to ask whether there exists a theory that makes more precise predictions. Imagine there is an additional parameter $\lambda \in \{\mathsf{up}, \mathsf{down}\}$ such that for an input $\frac{1}{\sqrt{2}}(|\uparrow\rangle + |\downarrow\rangle)$ and $\lambda = \mathsf{up}$ always the detector on the top registers a hit, and for $\lambda = \mathsf{down}$ the detector on the bottom always detects the particle. If λ is uniformly distributed but hidden, this would not contradict quantum theory. Nevertheless, the existence of lambda would mean that quantum theory is not complete.

5.2 Preliminary definitions

Before stating the result we have to introduce some notation. Note that we do not make any restrictions or assumptions in this section.

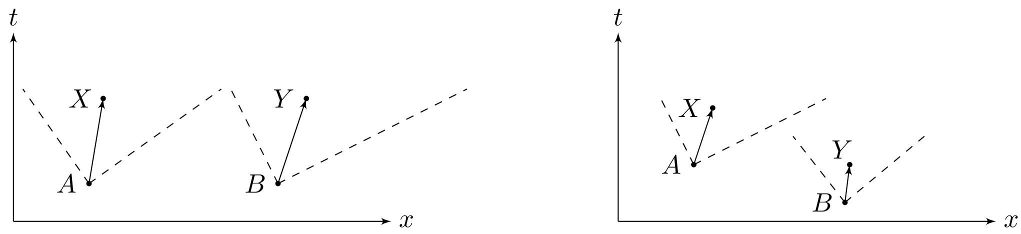
A physical theory usually takes some parameters A and then makes a prediction about some observable quantity X.

Example 5.2.1. Classical mechanics can predict how long it takes until a mass hits the ground when falling freely from a certain altitude. In this case A is the altitude and X is the time that it takes to hit the ground.

Example 5.2.2. In the Stern-Gerlach experiment above, A would be the state in which the particle is prepared and the angle of the apparatus. X denotes the coordinate where the particle hits the screen.

More generally, we may have a set of parameters and outcomes. A physical theory generally imposes a *causal structure* on these values. Mathematically, we will look at a set of random variables $\{A, B, X, Y\}$ with a *partial order* $A \to X$. In the following we often consider the following example situation.

If $A \to X$, we say that A and X are *causally ordered*, or that X is in the *causal future* of A. If $A \to X$ does not hold we write $A \not\to X$.

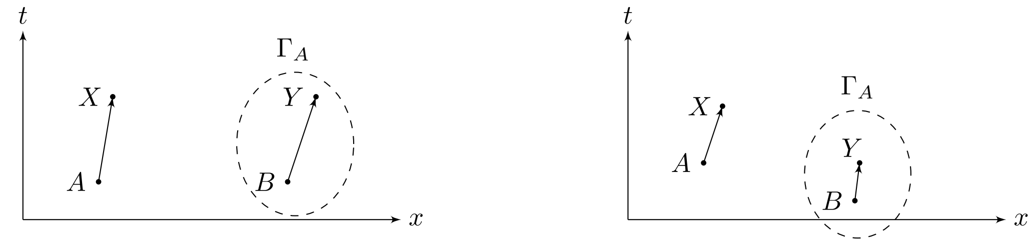


Assume that any random variable is associated to a space-time point (the point where a parameter is chosen or where it is observed).

Definition 5.2.3. A causal structure is called *compatible with relativity theory* if $A \to X$ holds if and only if X lies in the future light cone of A.

Note that the causal order is compatible with relativity theory. Let now $\Gamma = \{A, B, X, Y, Z\}$ be a set of random variables with an arbitrary causal order.

Definition 5.2.4. A parameter A is called *freely random* if and only if $P_{A\Gamma_A} = P_A \times P_{\Gamma_A}$, where $\Gamma_A := \{W \in \Gamma : A \not\to W\}$.



Example 5.2.5. For the same scenario as above, the dashed ellipses denote the set Γ_A.

5.3 The informal theorem

Consider a physical theory, i.e. a law that, given a set of parameters (A, Λ) allows us to compute (probabilistic) predictions $P_{X|A\Lambda}$ about the outcomes X. If this theory is

1. compatible with quantum theory, i.e. if parameter Λ is dropped, we retrieve the predictions of quantum theory, i.e. $P_{X|A} = \sum_\lambda P_{X|A\Lambda=\lambda} P_{\Lambda|A}(\lambda)$ corresponds to quantum theory.

2. compatible with free randomness with respect to a causal structure compatible with relativity theory.

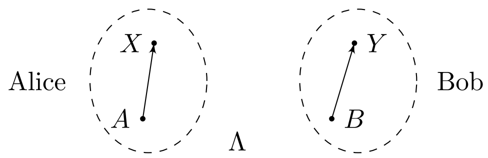
then $P_{X|A\Lambda=\lambda} = P_{X|A}$ for all λ.

In other words the theorem tells us that it is not possible to improve quantum theory without giving up the idea of free choice. The precise theorem can be found in [4].

5.4 Proof sketch

Note that we prove the theorem for the special case where a measurement on a maximally entangled state is carried out. A general proof can be found in [4].

We consider the special case of an experiment with two choices A and B and two outcomes X and Y, where we have the following causal structure:



Let A and B be freely random. Note that

$$P_{BX|A\Lambda} = P_{X|BA\Lambda} P_{B|A\Lambda} \quad \text{and} \tag{5.1}$$

$$P_{BX|A\Lambda} = P_{X|A\Lambda} P_{B|XA\Lambda}. \tag{5.2}$$

Because B is freely random $P_{BA\Lambda X} = P_B P_{A\Lambda X}$. In particular we have $P_{B|A\Lambda X} P_{B|A\Lambda} = P_B$. Hence (5.1) and (5.2) are equivalent to

$$
\begin{aligned}
P_{BX|A\Lambda} &= P_{X|BA\Lambda} P_B \quad \text{and} && (5.3) \\
P_{BX|A\Lambda} &= P_{X|A\Lambda} P_B. && (5.4)
\end{aligned}
$$

This allows us to conclude that

$$
P_{X|BA\Lambda} = P_{X|A\Lambda}. \tag{5.5}
$$

Note that (5.5) is called a *non-signalling* condition. (It implies that an agent choosing B cannot use his choice to communicate to an agent that chooses A and sees X.)

By symmetry we also have a second non-signalling condition

$$
P_{Y|B\Lambda A} = P_{Y|B\Lambda}. \tag{5.6}
$$

Consider now an experiment where the two systems (Alice and Bob) are prepared in a state $|\Psi\rangle = \frac{1}{\sqrt{2}}(|\uparrow\uparrow\rangle + |\downarrow\downarrow\rangle)$ and N denotes a large integer. On Alice's side, we perform a measurement in the basis

$$
\{|\alpha\rangle, |\alpha^\perp\rangle\}, \quad \text{where} \quad |\alpha\rangle = \cos\tfrac{\alpha}{2}|\uparrow\rangle + \sin\tfrac{\alpha}{2}|\downarrow\rangle \tag{5.7}
$$

and where $\alpha = A\frac{\pi}{2N}$ with $A \in \{0, 2, 4, \dots 2N-2\}$. Bob measures with respect to the basis

$$
\{|\beta\rangle, |\beta^\perp\rangle\}, \quad \text{where} |\beta\rangle = \cos\tfrac{\beta}{2}|\uparrow\rangle + \sin\tfrac{\beta}{2}|\downarrow\rangle \tag{5.8}
$$

and where $\beta = B\frac{\pi}{2N}$ with $B \in \{1, 3, 5, \dots 2N-1\}$. Quantum theory prescribes the following

$$
\Pr[X = Y|A = a, B = b] = \cos^2\left(\frac{\alpha - \beta}{2}\right). \tag{5.9}
$$

In particular if $|A - B| = 1$ then

$$
\Pr[X \neq Y|A = a, B = b] = \sin^2\left(\frac{\pi}{4N}\right) \leq \left(\frac{\pi}{4N}\right)^2. \tag{5.10}
$$

If $a = 0$, $b = 2N - 1$, then

$$
\Pr[X = Y|A = a, B = b] \leq \left(\frac{\pi}{4N}\right)^2. \tag{5.11}
$$

Exercise 5.4.1. Using the setup introduced above, we define

$$
\begin{aligned}
I_N :=& \sum_{|a-b|=1} \Pr[X \neq Y|A = a, B = b] + \Pr[X = Y|A = 0, B = 2N - 1] && (5.12) \\
\leq& \, 2N\left(\frac{\pi}{4N}\right)^2 && (5.13) \\
=& \, O\left(\frac{1}{N}\right) \to 0, \quad \text{for} \quad N \to \infty. && (5.14)
\end{aligned}
$$

If you try to reproduce the outcome of these experiments with two local classical computers, what is the minimum value of I_N that can be achieved? [Hint: You will not be able to achieve $I_N = O(\frac{1}{N})$.]

Let Z be an arbitrary value computed from Λ, i.e. $Z = f(\Lambda)$ for some function $f(\cdot)$. The intuition behind Z is that it can be viewed as a guess for the outcome X if $A = 0$ and $B = 1$. We define

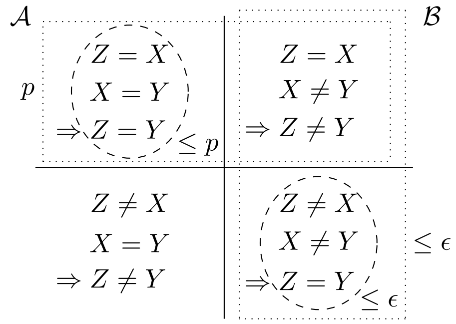
$$p := \Pr[Z = X|A = 0, B = 1] \tag{5.15}$$
$$= \Pr[Z = X|A = 0], \tag{5.16}$$

where the equation follows by the non-signalling condition (5.5).

We now use that since $X = Y$ holds with high probability, Z is also a good guess for Y, i.e.,

$$\Pr[Z = Y|A = 0, B = 1] \geq p - \epsilon \quad \text{with} \quad \epsilon = O\left(\frac{1}{N^2}\right), \tag{5.17}$$

where the inequality can be justified by the following probability table that is constructed by using (5.10) and (5.15).[1]



From the non-signalling condition and (5.17) we obtain

$$\Pr[Z = Y|B = 1] \geq p - \epsilon. \tag{5.18}$$

Using once more the non-signalling condition we can write $\Pr[Z = Y|A = 2, B = 1] \geq p - \epsilon$. We next apply the same step recursively. Considering the same argumentation we used above (cf. probability table) we obtain

$$\Pr[Z = Y|A = 1, B = 2] \geq p - 2\epsilon. \tag{5.19}$$

Continuing in the same manner gives

$$\Pr[Z = Y|B = 2N - 1] \geq p - (2N - 1)\epsilon. \tag{5.20}$$

Using the non-signalling condition leads to

$$\Pr[Z = Y|A = 0, B = 2N - 1] \geq p - (2N - 1)\epsilon. \tag{5.21}$$

[1] If the doted sets are denoted by $\mathcal{A}$ and $\mathcal{B}$ basic probability theory tells us that $P(\mathcal{A} \cup \mathcal{B}) = P(\mathcal{A}) + P(\mathcal{B} \backslash \mathcal{A}) \leq p - \epsilon$.

We can also find an upper bound for $\Pr[Z = Y|A = 0, B = 2N - 1]$ using (5.11). We can use a similar argument as was used before with the diagram on the previous page, but now the left column of the diagram will be upper bounded by ϵ as dictated by (5.11). The top row will still be equal to p. The bottom row clearly is (using the non-signalling condition and (5.15))

$$\Pr[Z \neq X|A = 0, B = 2N - 1] = 1 - p. \tag{5.22}$$

Now we just need to find the maximum probability for the top left and bottom right squares together. This occurs when the top left square's probability is ϵ and the bottom left square's probability is 0. This gives an upper bound of

$$\Pr[Z = Y|A = 0, B = 2N - 1] \leq 1 - p + \epsilon. \tag{5.23}$$

Finally Combining (5.21) and (5.23) we obtain

$$1 - p + \epsilon \geq p - (2N - 1)\epsilon, \tag{5.24}$$

which is equivalent to

$$2p \leq 1 + 2N\epsilon. \tag{5.25}$$

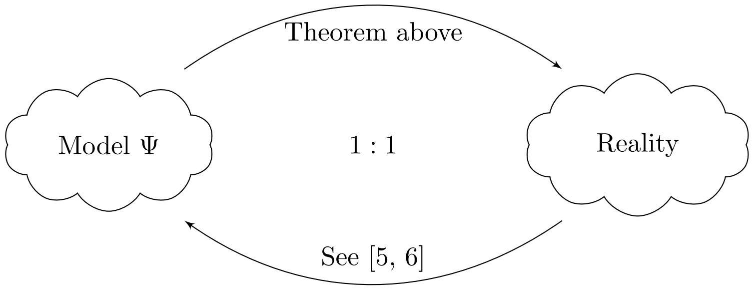
Since this must hold for arbitrary values of N and $\epsilon = O(\frac{1}{N^2})$ we conclude that we have $p \leq \frac{1}{2}$. Ergo we have found that for any Z (computed from Λ) $\Pr[Z = X|A = 0, B = 1] \leq \frac{1}{2}$. This means we cannot guess X better than with probability of success upper bounded by 1/2. If one would take X as guess, the prediction would be defined via the measurement outcomes which contradicts the free choice of Λ.

In particular note that $P_{X\Lambda|A} = P_X \times P_{\Lambda|A}$. This can be proven by contradiction. The main idea is that if we assume that Λ depends on X, then there exists a function f such that $Z = f(\Lambda)$ depends on X. This proves that Λ is useless for predicting the outcome X for the particular measurement that we considered.

Note that with an additional proof step (cf. [4]) the statement can be extended to arbitrary measurements on arbitrary states.

5.5 Concluding remarks

An interesting question in quantum mechanics is whether the mathematical objects used to characterize states (e.g., some wave function Ψ) and the "elements of reality" are in a one-to-one relation. The theorem described in this section implies that a wave function uniquely describes reality. However it has been an open question up to the year 2011, if the opposite direction is also true, i.e. if reality uniquely describes the wave function. This is indeed the case as first described in [5] under additional assumptions, and later also in [6] without these additional assumptions. Recall that all this is based on the assumption that quantum mechanics is correct. More information about this can be found in [6].



In the following we give a very brief overview of earlier work about the question whether quantum theory is complete or not.

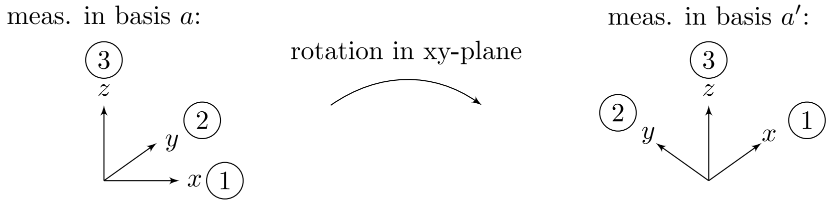
Einstein, Podolsky and Rosen (1935) In 1935 Einstein, Podolsky and Rosen tried to come up with an argument for the incompleteness of quantum theory [7]. They considered an entangled state between two system A and B, $\frac{1}{\sqrt{2}}(|00\rangle_{AB} + |11\rangle_{AB})$.[2] Furthermore they considered to have a measurement device that measures the state with respect to a certain basis $\{|\alpha\rangle, |\alpha^\perp\rangle\}$ (as introduced earlier in this chapter) and outputs the measurement outcome X. Assume that we perform such a measurement on the system A. Let $\varphi_{\alpha,X}$ denote the post measurement state in B. We obtain that if $X = 0$, we have $\varphi_{\alpha,0} = |\alpha\rangle$ and if $X = 1$, we get $\varphi_{\alpha,1} = |\alpha^\perp\rangle$. If we now (after having measured on A) measure on B in a basis rotated by α, with an outcome Y, we can predict the outcome perfectly since we have $Y = X$. Their argumentation now consists of three steps.

1. Since Y can be predicted with certainty, it is considered as an *element of reality*.
2. A theory can only be considered to be complete if each element of reality is represented by a parameter.
3. In quantum theory, when preparing the entangled state, there is no such parameter.

Hence they concluded that quantum theory is incomplete. From a viewpoint we have today, it can be said that their notion of "element of reality" may be ambiguous, because it does not specify when the value should be predictable (before of after the measurement at point A.)

Kochen and Specker (1967) Kochen and Specker [8] considered a *natural* property called *non-contextuality*.

[2] In their original work they considered a different state. However it is convienient to use the Bell state for their argumentation.



Let Λ be an additional parameter in an extended theory. The theory is said to be non-contextual if the probability of an outcome depends only on the measured vector of that outcome, e.g. $P_{X|A=a}(3) = P_{X|A=a'}(3)$. They only considered deterministic theories, i.e. $P_{X|A\Lambda}(x) \in \{0, 1\}$.

Informally, their theorem states that there cannot exist a theory with the following properties:

1. non-conextual
2. deterministic
3. free randomness
4. compatible with quantum theory.

Note that the theorem we discussed in this chapter tells us that Properties 3 and 4 imply that Λ is independent of X and therefore cannot determine X.

Bell (1964) In 1964, Bell published a theorem [9] which tells us that there cannot exist a theory with the following properties:

1. non-signalling
2. deterministic
3. free randomness
4. compatible with quantum theory.

Note that the theorem we have seen in this chapter is a strict generalization of this statement (in particular, non-signalling is no longer an assumption). His proof idea was the following. He showed that there exists an inequality (called Bell's inequality) involving the outcomes of two separate measurements X_α, Y_β such that $I_2 \geq 1$ for any theory that satisfies the non-signalling assumption and is deterministic. (Note that I_2 is as defined in (5.12).) A simple calculation then shows that for quantum theory $I_2 < 1$. Therefore he could conclude that the assumptions of non-signalling, determinism and free randomness contradicts quantum theory.

Aspect (see also Zeilinger & Gisin) Since the 1980s experimentalists are trying to come up with experimental evidence of the theoretical theorems we have seen [10]. Note that all theorems we have seen in this chapter assume compatibility with quantum theory. This assumption can be replaced by actual experimental data. It has been showed that $I_2 < 1$ holds experimentally, without assuming the correctness of quantum theory. It then follows from Bell's argument that these experimental data cannot be explained by any theory (not necessarily compatible with quantum theory) that is non-signalling, deterministic and compatible with free randomness.

6 Basic Protocols

6.1 Teleportation

Bennett, Brassard, Crépeau, Jozsa, Peres, Wootters, 1993.

> "An unknown quantum state $|\phi\rangle$ can be disassembled into, then later reconstructed from, purely classical information and purely nonclassical Einstein-Podolsky-Rosen (EPR) correlations. To do so the sender, Alice, and the receiver, Bob, must prearrange the sharing of an EPR-correlated pair of particles. Alice makes a joint measurement on her EPR particle and the unknown quantum system, and sends Bob the classical result of this measurement. Knowing this, Bob can convert the state of his EPR particle into an exact replica of the unknown state $|\phi\rangle$ which Alice destroyed."

With EPR correlations, Bennett *et al.* mean our familiar ebit $\frac{1}{\sqrt{2}}|00 + 11\rangle$. In more precise terms, we are interested in performing the following task:

Task: Alice wants to communicate the unknown state ρ of one qubit in system S to Bob. They share one Bell state. She can also send him two classical bits.

The protocol that achieves this, makes integral use of the *Bell measurement.* This is a measurement of two qubits and consists of projectors onto the four *Bell states*

$$|\psi^{00}\rangle = \frac{1}{\sqrt{2}}|00 + 11\rangle$$

$$|\psi^{01}\rangle = \frac{1}{\sqrt{2}}|00 - 11\rangle$$

$$|\psi^{10}\rangle = \frac{1}{\sqrt{2}}|01 + 10\rangle$$

$$|\psi^{11}\rangle = \frac{1}{\sqrt{2}}|01 - 10\rangle.$$

More compactly, we can write

$$|\psi^{ij}\rangle = \mathrm{id} \otimes \sigma^{ij}|\psi_{00}\rangle$$

where $\sigma^{ij} = \sigma_x^i \sigma_z^j$. For simplicity of the exposition, let $\rho = |\phi\rangle\langle\phi|$ be a pure state, $|\phi\rangle = \alpha|0\rangle + \beta|1\rangle$ (the more general case of mixed ρ follows then by linearity of the protocol). The global state before the protocol is therefore given by $|\phi\rangle_S \otimes |\psi^{00}\rangle_{AB}$. The protocol is as follows:

Protocol

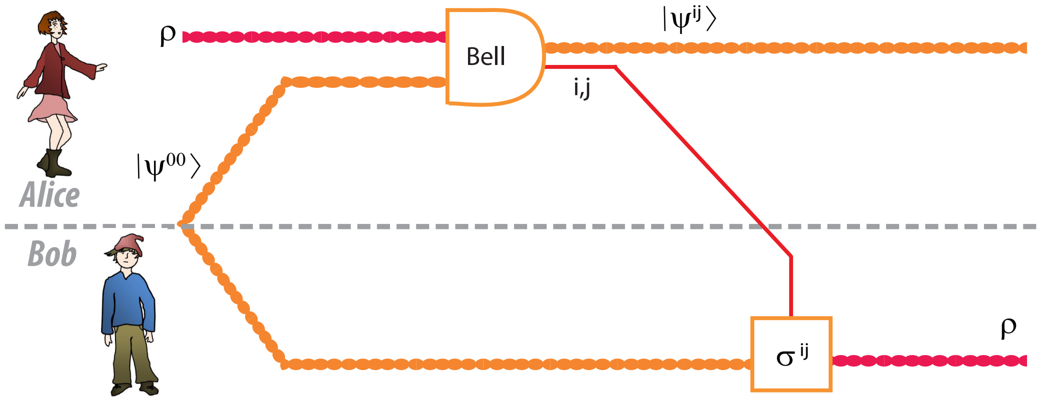
1. Alice measures S and A (her half of the entangled state) in the Bell basis.

Alice's outcome	Global projector	Resulting global state
$00: \; \vert\psi^{00}\rangle_{SA}$	$\vert\psi^{00}\rangle\langle\psi^{00}\vert_{SA} \otimes \mathrm{id}_B$	$\vert\psi^{00}\rangle_{SA} \otimes (\alpha\vert 0\rangle + \beta\vert 1\rangle)_B$
$01: \; \vert\psi^{01}\rangle_{SA}$	$\vert\psi^{01}\rangle\langle\psi^{01}\vert_{SA} \otimes \mathrm{id}_B$	$\vert\psi^{01}\rangle_{SA} \otimes (\alpha\vert 0\rangle - \beta\vert 1\rangle)_B$
$10: \; \vert\psi^{10}\rangle_{SA}$	$\vert\psi^{10}\rangle\langle\psi^{10}\vert_{SA} \otimes \mathrm{id}_B$	$\vert\psi^{10}\rangle_{SA} \otimes (\beta\vert 0\rangle + \alpha\vert 1\rangle)_B$
$11: \; \vert\psi^{11}\rangle_{SA}$	$\vert\psi^{11}\rangle\langle\psi^{11}\vert_{SA} \otimes \mathrm{id}_B$	$\vert\psi^{11}\rangle_{SA} \otimes (\beta\vert 0\rangle - \alpha\vert 1\rangle)_B$

2. Alice sends the classical bits that describe her outcome, i, j, to Bob.

3. Bob applies σ^{ij} on his qubit.

The resulting state is $|\phi\rangle$ as one easily verifies.



Note that each outcome is equally probable and that entanglement between ρ and the rest of the universe is preserved.

Diagrammatically, we can summarise the teleportation as the following conversion of resources:

$$\begin{matrix}\overset{2}{\rightarrow} \\ \overset{1}{\sim}\end{matrix} \;\geq\; \overset{1}{\rightsquigarrow}$$

where the straight arrow represents the sending of a classical bit, the wiggly line an ebit and the wiggly arrow the sending of a qubit. The inequality sign means that there exists a protocol that can transform the *resources* of one ebit and two bits of classical communication into the resource of sending one qubit.

6.2 Superdense coding

Superdense coding answers the question of how many classical bits we can send with one use of a quantum channel if we are allowed to use preshared ebits.

Task Alice wants to send two classical bits, i and j, to Bob. They share one Bell state. She can also send him one qubit.

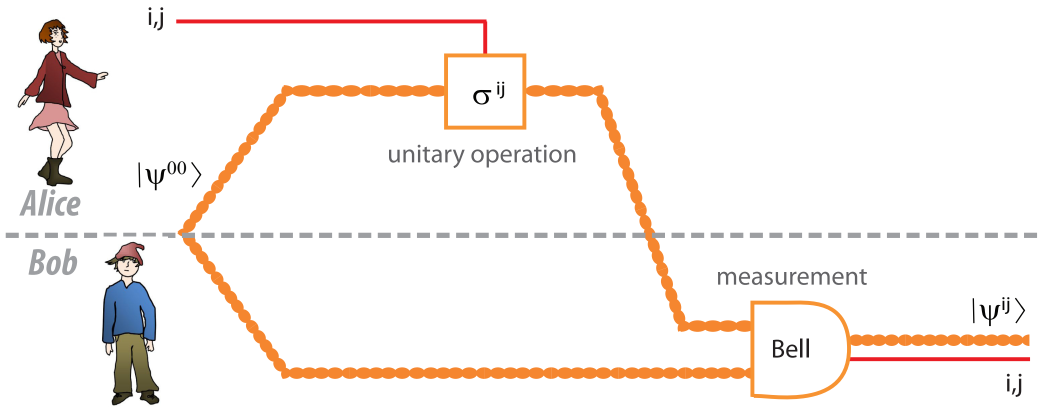
Protocol

1. Alice applies a local unitary operation, σ^{ij}, on her half of the entangled state.

i, j	Global operation	Resulting state
00	$\mathrm{id}_A \otimes \mathrm{id}_B \frac{\|00\rangle+\|11\rangle}{\sqrt{2}}$	$\frac{\|00\rangle+\|11\rangle}{\sqrt{2}} = \|\psi^{00}\rangle$
01	$\sigma_A^x \otimes \mathrm{id}_B \frac{\|00\rangle+\|11\rangle}{\sqrt{2}}$	$\frac{\|01\rangle+\|10\rangle}{\sqrt{2}} = \|\psi^{10}\rangle$
10	$\sigma_A^y \otimes \mathrm{id}_B \frac{\|00\rangle+\|11\rangle}{\sqrt{2}}$	$\frac{\|01\rangle-\|10\rangle}{\sqrt{2}} = \|\psi^{11}\rangle$
11	$\sigma_A^z \otimes \mathrm{id}_B \frac{\|00\rangle+\|11\rangle}{\sqrt{2}}$	$\frac{\|00\rangle-\|11\rangle}{\sqrt{2}} = \|\psi^{01}\rangle$

   Recall, that the states $|\psi^{ij}\rangle$ form a basis for two qubits: the Bell basis.

2. Alice sends her qubit to Bob.
3. Bob measures the two qubits in the Bell basis. Outcome of his measurement: i, j.



We can summarise the task of superdense coding in the following diagram:

$$\begin{array}{c}\overset{1}{\rightsquigarrow}\\ \overset{1}{\sim\!\sim}\end{array} \geq \overset{2}{\rightarrow}$$

In order to show that this inequality is tight, i.e. that we cannot send more than two classical bits with one ebit and one use of a qubit channel, we will need some more technology - in particular the concept of quantum entropy.

6.3 Entanglement conversion

With teleportation and superdense coding we have seen two tasks that can be solved nicely when we have access to ebits. In a realistic scenario, unfortunately, it is difficult to obtain or generate ebits exactly. It is therefore important to understand when and how we can *distill* ebits from other quantum correlations or more generally, how to convert one type of quantum correlation into another one. In this section, we will consider the simplest instance of this problem, namely the conversion of one bipartite pure state into another one. Before we state the main result, we need to do some preparatory work and introduce the concept of majorisation.

6.3.1 Majorisation

Given two d-dimensional real vectors x and y with entries in non-increasing order (i.e. $x_i \geq x_{i+1}$ and $y_i \geq y_{i+1}$) which satisfy $\sum_i x_i = \sum_i y_i$ we say that y *majorises* x, and write $x \prec y$ if

$$\sum_{i=1}^{k} x_i \leq \sum_{i=1}^{k} y_i$$

for all $k \in \{1, \ldots, d\}$.

Lemma 6.3.1. *If y majorises x, then there exists a set of permutation matrices with associated probability $\{\pi_i, p_i\}$ such that*

$$x = \sum_i p_i \pi_i y.$$

Proof. We prove lemma inductively. Clearly the case $d = 1$ is true and we will therefore focus on the inductive step $d - 1 \mapsto d$.

$y \succ x$ implies that $x_1 \leq y_1$, which in turn implies that there exists j such that $y_j \leq x_1 \leq y_{j-1} \leq y_1$. Consequently, there is a $t \in [0, 1]$ such that $x_1 = ty_1 + (1-t)y_j$. Let T be the transposition that interchanges places 1 and j and let $P = t\mathrm{id} + (1-t)T$. Then $Py = (x_1, \underbrace{y_2, \ldots, y_{j-1}, (1-t)y_1 + ty_j, \ldots}_{\tilde{y}})$. It remains to show that $\tilde{y} \succ \tilde{x}$, where the latter is just x without x_1, since then the result follows by applying the inductive hypothesis to $\tilde{x}$ and $\tilde{y}$. This is shown as follows. For $k < j$:

$$\sum_{i=1}^{k-1} \tilde{x}_i = \sum_{i=2}^{k} x_i \leq \sum_{i=2}^{k} x_1 \leq \sum_{i=2}^{k} y_{j-1} \leq \sum_{i=2}^{k} y_i = \sum_{i=1}^{k-1} \tilde{y}_i.$$

For $k \geq j$:

$$\begin{aligned}
\sum_{i=1}^{k-1} \tilde{x}_i &= \sum_{i=2}^{k} x_i \\
&\leq \left(\sum_{i=2}^{k} y_i \right) + (y_1 - x_1) \\
&= \left(\sum_{i=2:i\neq j}^{k} y_i \right) + (y_1 - (1-t)y_j - ty_1 + y_j) \\
&= \left(\sum_{i=2:i\neq j}^{k} y_i \right) + ((1-t)y_1 + ty_j) \\
&= \sum_{i=1}^{k-1} \tilde{y}_i
\end{aligned}$$

□

Lemma 6.3.2. *Let A and B and $C = A + B$ be Hermitian operators with eigenvalues a, b and c ordered non-increasingly, then $c \prec a + b$*

Proof.

$$\begin{aligned}
\sum_{i=1}^{k} c_i &= \max_{V:|V|=k} \mathrm{tr} P_V (A + B) \\
&\leq \max_{V:|V|=k} \mathrm{tr} P_V A + \max_{W:|W|=k} \mathrm{tr} P_W B \\
&= \sum_{i=1}^{k} a_i + \sum_{i=1}^{k} b_i
\end{aligned}$$

where we used Ky Fan's principle which characterises the largest (and also the largest k) eigenvalues in a variational way. □

Corollary 6.3.3. *Let r and s be the eigenvalues (incl. multiplicities) of density matrices ρ and σ in non-increasing order. Then $r \prec s$ iff there exists a finite set of unitaries and associated probabilities $\{U_i, p_i\}$ such that*

$$\rho = \sum_i p_i U_i \sigma U_i^{-1}$$

Proof. If $s \succ r$, then according to Lemma 6.3.1 there exists a set of permutation matrices π_i (which are in particular unitary) and probabilities p_i such that $r = \sum_i p_i \pi_i s$. Inserting $U \rho U^{-1} = \mathrm{diag}(r)$ and $V \sigma V^{-1} = \mathrm{diag}(s)$ for unitaries U and V arising from the spectral decomposition we find

$$U \rho U^{-1} = \sum_i p_i \pi_i V \sigma V^{-1} \pi_i^{-1}$$

which is equivalent to the claim for $U_i := U^{-1}\pi_i V$.
Conversely, Lemma 6.3.2 applied to $\rho = \sum_i p_i U_i \sigma U_i^{-1}$ implies

$$s = \mathrm{EV}(\sigma) = \sum_i \mathrm{EV}(p_i U_i \sigma U_i^{-1}) \succ \mathrm{EV}(\rho) = r,$$

where $\mathrm{EV}(\sigma)$ denotes the non-increasingly ordered vector containing the eigenvalues of σ. □

We now want to argue that any measurement on Bob's side of the state $|\psi\rangle$ can be replaced by a measurement on Alice's side and a unitary on Bob's side dependent on Alice's measurement outcome. Note that this is only possible since we know the state on which the measurement will be applied – without this knowledge this is impossible. In order to see how it works, we write $|\psi\rangle$ in its Schmidt decomposition

$$|\psi\rangle = \sum_i \psi_i |i\rangle_A |i\rangle_B$$

and express the Kraus operators of Bob's measurement B_k (i.e. $\sum_k B_k^\dagger B_k = \mathrm{id}$) in his Schmidt basis

$$B_k = \sum_{ij} b_{k,ji} |j\rangle\langle i|_B.$$

We now define measurement operators for Alice with respect to her Schmidt basis

$$A'_k = \sum_{ij} b_{k,ji} |j\rangle\langle i|_A$$

and note that

$$\mathrm{id} \otimes B_k |\psi\rangle = F(A'_k \otimes \mathrm{id})|\psi\rangle$$

where F is the operator exchanging the two systems.[1] This shows in particular that the Schmidt coefficients of $\mathrm{id} \otimes B_k|\psi\rangle$ and $A'_k \otimes \mathrm{id}|\psi\rangle$ are identical. Therefore, there exist unitaries U_k and V_k such that

$$\mathrm{id} \otimes B_k|\psi\rangle = U_k \otimes V_k \cdot A'_k \otimes \mathrm{id}|\psi\rangle$$

which means that we can simulate the measurement on Bob's side on $|\psi\rangle$ by a measurement on Alice's side (with Kraus operators $A_k = U_k A'_k$) followed by a unitary V_k on Bob's side.

This way we can reduce an arbitrary LOCC[2] protocol between Alice and Bob (applied to $|\psi\rangle$) by a measurement on Alice's side followed by a unitary on Bob's side conditioned on Alice's measurement outcome.

This preparation allows us to prove the following result due to Nielsen.

Theorem 6.3.4. *$|\phi\rangle$ can be transformed into $|\psi\rangle$ by LOCC iff $r \prec s$, where r and s are the local eigenvalues of $|\psi\rangle$ and $|\phi\rangle$, respectively.*

[1] $F = \sum_{ij} |j\rangle\langle i| \otimes |i\rangle\langle j|$

[2] local operations and classical communication

Proof. Define $\rho_{AB} = |\psi\rangle\langle\psi|_{AB}$ and $\sigma_{AB} = |\phi\rangle\langle\phi|_{AB}$ with reduced states ρ_A and σ_A. By the above it suffices to consider protocols where Alice performs a measurement with Kraus operators A_k followed by a unitary V_k on Bob's side. Since the protocol must transform Alice's local state for each measurement outcome into the local part of the final state, we have

$$A_k \rho_A A_k^\dagger = p_k \sigma_A \tag{6.1}$$

for all k, where p_k is the probability to obtain outcome k. Let

$$A_k \sqrt{\rho_A} = |A_k \sqrt{\rho_A}| U_k = \sqrt{A_k \rho_A A_k} U_k$$

be the polar decomposition of the LHS. Multiplying this equation with its hermitian conjugate and using (6.1) we find

$$\sqrt{\rho_A} A_k^\dagger A_k \sqrt{\rho_A} = p_k U_k^\dagger \sigma_A U_k.$$

Summing over k yields

$$\rho_A = \sum_k p_k U_k^\dagger \sigma_A U_k \tag{6.2}$$

which by Corollary 6.3.3 implies that $r \prec s$.

In order to see the opposite direction, note that $r \prec s$ implies that there exist probabilities p_k and unitaries U_k such that (6.2) holds. We then define

$$A_k := \sqrt{p_k \sigma_A} U_k \sqrt{\rho_A}^{-1}$$

where we assume for simplicity that ρ_A is invertible (the other case can be considered a limiting case). It is easy to verify that $\sum_k A_k^\dagger A_k = \mathrm{id}$. Clearly

$$A_k \rho_A A_k^\dagger = p_k \sigma_A$$

and therefore there exist unitaries V_k on Bob's side such that the final state is $|\phi\rangle$. $\square$

7 Entropy of Quantum States

In Chapter 3 we have discussed the definitions and properties of classical entropy measures and we have learned about their usefulness in the discussion of the channel coding theorem. After the introduction of the quantum mechanical basics in Chapter 4 and after Chapter 5 about the completeness of quantum theory, we are ready to introduce the notion of entropy in the quantum mechanical context. Textbooks usually start the discussion of quantum mechanical entropy with the definition of the so called von Neumann entropy and justify the explicit expression as being the most natural analog of the classical Shannon entropy for quantum systems. But this explanation is not completely satisfactory. Hence a lot of effort is made to replace the von Neumann entropy by the smooth min- and max-entropies which can be justified by its profound operational interpretation (recall for example the discussion of the channel coding theorem where we worked with the min-entropy and where the Shannon entropy only appears as a special case).

One can prove that the smooth min-entropy of a product state $\rho^{\otimes n}$ converges for large n to n-times the von Neumann entropy of the state ρ. The quantum mechanical min-entropy thus generalizes the von Neumann entropy in some sense. But since this work is still in progress we forgo this modern point of view and begin with the definition of the von Neumann entropy and only indicate at the end of the chapter these new developments.

7.1 Motivation and definitions

Let $\mathcal{H}_Z$ be a Hilbert space of dimension n which is spanned by the linearly independent family $\{|z\rangle\}_z$ and consider an arbitrary state ρ on $\mathcal{H}_Z$ which is classical with respect to $\{|z\rangle\}_z$. Hence,

$$\rho = \sum_z P_Z(z)|z\rangle\langle z|,$$

where $P_Z(z)$ is the probability distribution for measuring $|z\rangle$ in a measurement of ρ in the basis $\{|z\rangle\}_z$. Our central demand on the definition of the entropy measures of quantum states is that they generalize the classical entropies. More precisely, we demand that the evaluation of the quantum entropy on ρ yields the corresponding classical entropy of the distribution $P_Z(z)$. The following definitions meet these requirements as we will see below.

Definition 7.1.1. Let ρ be an arbitrary state on a Hilbert space $\mathcal{H}_A$. Then the *von Neumann entropy* H is the quantum mechanical generalization of the Shannon entropy. It is defined by

$$H(A)_\rho := -\mathrm{tr}(\rho \log \rho).$$

The *quantum mechanical min-entropy* $H_{\min}$ generalizes the classical min-entropy. It is defined by

$$H_{\min}(A)_\rho := -\log_2 \|\rho\|_\infty.$$

The *quantum mechanical max-entropy* $H_{\max}$ generalizes the classical max-entropy. It is defined by

$$H_{\max}(A)_\rho := \log_2 |\mathrm{supp}(\rho)|,$$

where $\mathrm{supp}(\rho)$ denotes the support of the operator ρ.

Now, we check if our requirement from above really is fulfilled. To that purpose we consider again the state

$$\rho_Z = \sum_z P_Z(z)|z\rangle\langle z|.$$

Since the map $\rho \to \rho \log \rho$ is defined through the eigenvalues of ρ,

$$H(Z)_\rho = -\mathrm{tr}(\rho \log \rho) = -\sum_z P_Z(z) \log_2 P_Z(z),$$

which reproduces the Shannon entropy as demanded. Recall that $\|\rho\|_\infty$ is the operator norm which equals the greatest eigenvalue of the operator ρ. Thus, the quantum mechanical min-entropy reproduces the classical min-entropy:

$$H_{\min}(Z)_\rho = -\log_2 \|\rho\|_\infty = -\log \max_{z \in \mathcal{Z}} P_Z(z).$$

To show that the classical max-entropy emerges as a special case from the quantum mechanical max-entropy we make the simple observation

$$H_{\max}(Z)_\rho = \log_2 |\mathrm{supp}\rho| = \log_2 |\mathrm{supp}\ P_Z|.$$

Notation. Let ρ_{AB} be a density operator on the Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B$ and let ρ_A and ρ_B be defined as the partial traces

$$\rho_A := \mathrm{tr}_B\ \rho_{AB}, \quad \rho_B := \mathrm{tr}_A\ \rho_{AB}.$$

Then the entropies of the states $\rho_{AB} \in \mathcal{S}(\mathcal{H}_A \otimes \mathcal{H}_B)$, $\rho_A \in \mathcal{S}(\mathcal{H}_A)$ and $\rho_B \in \mathcal{S}(\mathcal{H}_B)$ are denoted by

$$H(AB)_\rho := H(AB)_{\rho_{AB}},\ H(A)_\rho := H(A)_{\rho_A},\ H(B)_\rho := H(B)_{\rho_B}.$$

7.2 Properties of the von Neumann entropy

In the present section we state and prove some basic properties of the von Neumann entropy.

Lemma 7.2.1. *Let ρ be an arbitrary state on $\mathcal{S}(\mathcal{H}_A)$. Then,*

$$H(A)_\rho \geq 0,$$

with equality iff ρ is pure.

Proof. Let $\{|j\rangle\}_j$ be a complete orthonormal system which diagonalizes ρ, i.e.,

$$\rho = \sum_j p_j |j\rangle\langle j|,$$

with $\sum_j p_j = 1$. Therefore,

$$H(A)_\rho = -\sum_j p_j \log p_j. \tag{7.1}$$

The function $-x \log x$ is positive on $[0, 1]$. Consequently, the RHS above is positive which shows that the entropy is non-negative. It is left to show that $H(A)_\rho = 0$ iff ρ is pure.

Assume $H(A)_\rho = 0$. Since the function $-x \log x$ is non-negative on $[0, 1]$ each term in the summation in (7.1) has to vanish separately. Thus, either $p_k = 0$ or $p_k = 1$ for all k. Because of the constraint $\sum_j p_j = 1$ exactly one coefficient p_m is equal to one whereas all the others vanish. We conclude that ρ describes the pure state $|m\rangle$.

Assume ρ is the pure state $|\phi\rangle$. Hence,

$$\rho = |\phi\rangle\langle\phi|$$

which yields $H(A)_\rho = 0$. □

Lemma 7.2.2. *The von Neumann entropy is invariant under similarity transformations, i.e.,*

$$H(A)_\rho = H(A)_{U\rho U^{-1}}$$

for $U \in GL(\mathcal{H}_A)$.

Proof. Let $f : \mathbb{R} \to \mathbb{R}$ be a function and let M be an operator on a Hilbert space $\mathcal{H}$. Recall that

$$f(M) := V^{-1} f(VMV^{-1})V,$$

where $V \in \mathrm{GL}(\mathcal{H})$ diagonalizes M. Now we show that

$$f(UMU^{-1}) = Uf(M)U^{-1}$$

for $U \in \mathrm{GL}(\mathcal{H})$ arbitrary. Let D denote the diagonal matrix similar to M. The operator VU^{-1} diagonalizes UMU^{-1}. According to the definition above,

$$f(UMU^{-1}) = UV^{-1} f(VU^{-1}UMU^{-1}UV^{-1})VU^{-1} = UV^{-1} f(VMV^{-1})VU^{-1}.$$

On the other hand

$$Uf(M)U^{-1} = UV^{-1} f(VMV^{-1})VU^{-1}.$$

This claims the assertion from above. Since the trace is unaffected by similarity transformations we conclude the proof by setting $M = \rho$ and $f(x) = -x \log(x)$. □

Lemma 7.2.3. *Let $\mathcal{H}_A$ and $\mathcal{H}_B$ be Hilbert spaces, let $|\psi\rangle$ be is a pure state on $\mathcal{H}_A \otimes \mathcal{H}_B$ and let $\rho_{AB} := |\psi\rangle\langle\psi|$. Then,*

$$H(A)_\rho = H(B)_\rho.$$

Proof. According to the Schmidt decomposition there exist orthonormal families $\{|i_A\rangle\}$ and $\{|i_B\rangle\}$ in $\mathcal{H}_A$ and $\mathcal{H}_B$, respectively, and positive real numbers $\{\lambda_i\}$ with the property $\sum_i \lambda_i^2 = 1$ such that

$$|\psi\rangle = \sum_i \lambda_i |i_A\rangle \otimes |i_B\rangle.$$

Hence, $\mathrm{tr}_B(\rho_{AB})$ and $\mathrm{tr}_A(\rho_{AB})$ have the same eigenvalues and thus, $H(A)_{\rho_{AB}} = H(B)_{\rho_{AB}}$. □

Lemma 7.2.4. *Let ρ_A and ρ_B be arbitrary states. Then,*

$$H(AB)_{\rho_A \otimes \rho_B} = H(A)_{\rho_A} + H(B)_{\rho_B}.$$

Proof. Let $\{p_i^A\}_i$ ($\{p_j^B\}_j$) and $\{|i_A\rangle\}_i$ ($\{|j_B\rangle\}_j$) be the eigenvalues and eigenvectors of the operators ρ_A (ρ_B). Hence,

$$\rho_A \otimes \rho_B = \sum_{ij} p_i^A p_j^B |i_A\rangle\langle i_A| \otimes |j_B\rangle\langle j_B|.$$

We deduce

$$\begin{aligned} H(AB)_{\rho_A \otimes \rho_B} &= -\sum_{ij} p_i^A p_j^B \log(p_i^A p_j^B) \\ &= H(A)_{\rho_A} + H(B)_{\rho_A}. \end{aligned}$$

□

Lemma 7.2.5. *Let ρ be a state on a Hilbert space $\mathcal{H}_A$ of the form*

$$\rho = p_1\rho_1 + ... + p_n\rho_n$$

with density operators $\{\rho_i\}_i$ having support on pairwise orthogonal subspaces of $\mathcal{H}$ and with $\sum_j p_j = 1$. Then,

$$H(A)_\rho = H_{class}(\{p_i\}_i) + \sum_j p_j H(A)_{\rho_j},$$

where $\{H_{class}(\{p_i\}_i)\}$ denotes the Shannon entropy of the probability distribution $\{p_i\}_i$.

Proof. Let $\{\lambda_j^{(i)}\}$ and $\{|j^{(i)}\rangle\}$ the eigenvalues and eigenvectors of the density operators $\{\rho_i\}$. Thus,

$$\rho = \sum_{i,j} p_i \lambda_j^{(i)} |j^{(i)}\rangle\langle j^{(i)}|$$

and consequently,

$$
\begin{aligned}
H(A)_\rho &= -\sum_{i,j} p_i \lambda_j^{(i)} \log(p_i \lambda_j^{(i)}) \\
&= -\sum_i \left(\sum_j \lambda_j^{(i)} \right) p_i \log(p_i) - \sum_i p_i \sum_j \lambda_j^{(i)} \log(\lambda_j^{(i)}) \\
&= H_{\mathrm{class}}(\{p_i\}) + \sum_i p_i H(A)_{\rho_i}.
\end{aligned}
$$

□

A consequence of this lemma is that the entropy is concave. More precisely, let $\rho_1, ..., \rho_n$ be density operators on the same Hilbert space $\mathcal{H}_A$. Consider a mixture of those density operators according to a probability distribution $\{p_j\}_j$ on $\{1, ..., n\}$, $\rho = \sum_j p_j \rho_j$.

Then

$$H(A)_\rho \geq \sum_j p_j H(A)_{\rho_j}.$$

Proof. Let $\mathcal{H}_Z$ be an auxiliary Hilbert space of dimension n which is spanned by the linearly independent family $\{|i\rangle\}_i$ and let $\tilde{\rho}$ be the state

$$\tilde{\rho} := \sum_j p_j |j\rangle\langle j| \otimes \rho_A^{(j)}$$

on $\mathcal{H}_Z \otimes \mathcal{H}_A$ which is classical on $\mathcal{H}_Z$ with respect to $\{|i\rangle\}_i$. According to the strong subadditivity property

$$H(Z|A)_{\tilde{\rho}} \leq H(Z)_{\tilde{\rho}}$$

or equivalently,

$$H(ZA)_{\tilde{\rho}} \leq H(Z)_{\tilde{\rho}} + H(B)_{\tilde{\rho}}.$$

Using Lemma 7.2.6, we get

$$
\begin{aligned}
H(ZA)_{\tilde{\rho}} &= H(\{p_j\}_j) + \sum_j p_j H(\rho_A^{(j)}) \\
H(Z)_{\tilde{\rho}} &= H(\{p_j\}_j) \\
H(B)_{\tilde{\rho}} &= H(p_1 \rho_A^{(1)} + ... + \rho_A^{(n)}),
\end{aligned}
$$

and thus,

$$p_1 H(\rho_A^{(1)}) + ... + p_n H(\rho_A^{(n)}) \leq H(p_1 \rho_A^{(1)} + ... + \rho_A^{(n)})$$

□

Lemma 7.2.6. *Let $\mathcal{H}_A$ and $\mathcal{H}_Z$ be Hilbert spaces and let ρ_{AZ} be a state on $\mathcal{H}_A \otimes \mathcal{H}_Z$ which is classical on $\mathcal{H}_Z$ with respect to the basis $\{|z\rangle\}_z$ of $\mathcal{H}_Z$, i.e., ρ_{AZ} is of the form*

$$\rho_{AZ} = \sum_z P_Z(z) \rho_A^{(z)} \otimes |z\rangle\langle z|.$$

Then

$$H(AZ)_\rho = H_{class}(\{P_Z(z)\}_z) + \sum_z P_Z(z) H(A)_{\rho_A^{(z)}}.$$

Proof. Define

$$\tilde{\rho}_z := \rho_A^{(z)} \otimes |z\rangle\langle z|,$$

apply Lemma 7.2.5 with ρ_i replaced by $\tilde{\rho}_z$, use lemma 7.2.4 and apply Lemma 7.2.1. □

7.3 The conditional entropy and its properties

We have encountered the identity

$$H_{\text{class}}(X|Y) = H_{\text{class}}(XY) - H_{\text{class}}(Y)$$

for classical entropies in the chapter about classical information theory. We use exactly this identity to *define* conditional entropy in the context of quantum information theory.

Definition 7.3.1. Let $\mathcal{H}_A$ and $\mathcal{H}_B$ be two Hilbert spaces and let ρ_{AB} be a state on $\mathcal{H}_A \otimes \mathcal{H}_B$. Then, the conditional entropy $H(A|B)_\rho$ is defined by

$$H(A|B)_{\rho_{AB}} := H(AB)_{\rho_{AB}} - H(B)_{\rho_{AB}}.$$

Recasting this defining equation leads immediately to the so called *chain rule*:

$$H(AB)_{\rho_{AB}} = H(A|B)_{\rho_{AB}} + H(B)_{\rho_{AB}}.$$

Lemma 7.3.2. *Let ρ_{AB} be a* pure *state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B$. Then $H(A|B)_{\rho_{AB}} < 0$ iff ρ_{AB} is entangled, i.e. $H(AB)_{\rho_{AB}} \neq H(A)_{\rho_{AB}} + H(B)_{\rho_{AB}}$.*

Proof. Observe that

$$H(A|B)_{\rho_{AB}} = H(AB)_{\rho_{AB}} - H(B)_{\rho_{AB}}.$$

Recall from Lemma 7.2.1 that the entropy of a state is zero iff it is pure. The state $\mathrm{tr}_A(\rho_{AB})$ is pure iff ρ_{AB} is not entangled. Thus, indeed $H(A|B)_{\rho_{AB}}$ is negative iff ρ_{AB} is entangled. □

Hence, *the conditional entropy can be negative.*

Lemma 7.3.3. *Let $\mathcal{H}_A$, $\mathcal{H}_B$ and $\mathcal{H}_C$ be Hilbert spaces and let ρ_{ABC} be a pure state on $\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C$. Then,*

$$H(A|B)_{\rho_{ABC}} = -H(A|C)_{\rho_{ABC}}.$$

Proof. We have seen in Lemma 7.2.3 that ρ_{ABC} pure implies that

$$H(AB)_\rho = H(C)_\rho,\ H(AC)_\rho = H(B)_\rho,\ H(BC)_\rho = H(A)_\rho.$$

Thus,

$$H(A|B)_\rho = H(AB)_\rho - H(B)_\rho = H(C)_\rho - H(AC)_\rho = -H(A|C)\rho.$$

□

Lemma 7.3.4. *Let $\mathcal{H}_A$ and $\mathcal{H}_Z$ be Hilbert spaces, let $\{|z\rangle\}_z$ be a complete orthonormal basis in $\mathcal{H}_Z$ and let ρ_{AZ} be classical on $\mathcal{H}_Z$ with respect to the basis $\{|z\rangle\}_z$, i.e.,*

$$\rho_{AZ} = \sum_z P_Z(z)\rho_A^{(z)} \otimes |z\rangle\langle z|.$$

Then the entropy conditioned on Z is

$$H(A|Z)_\rho = \sum_z P_Z(z) H(\rho_A^{(z)}).$$

Moreover,

$$H(A|Z)_\rho \geq 0.$$

Proof. Apply Lemma 7.2.6 to get

$$\begin{aligned} H(A|Z)_\rho &= H(AZ)_\rho - H(Z)_\rho \\ &= H_{\text{class}}(P_Z(z)) + \sum_z P_Z(z) H(\rho_A^{(z)}) - H_{\text{class}}(P_Z(z)) \\ &= \sum_z P_Z(z) H(\rho_A^{(z)}). \end{aligned}$$

In Lemma 7.2.1 we have seen that $H(\rho) \geq 0$ for all states ρ. Hence, $H(A|Z)_\rho \geq 0$. □

Now it's time to state one of the central identities in quantum information theory: the so called *strong subadditivity.*

Theorem 7.3.5. *Let ρ_{ABC} be a state on $\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C$. Then,*

$$H(A|B)_{\rho_{ABC}} \geq H(A|BC)_{\rho_{ABC}}.$$

In textbooks you presently find complex proofs of this theorem based on the Araki-Lieb inequality (see for example [1]) . An alternative shorter proof can be found in [11].

Lemma 7.3.6. *Let ρ be an arbitrary state on a d-dimensional Hilbert space $\mathcal{H}$. Then,*

$$H(\rho) \leq \log_2 d,$$

with equality iff ρ is a completely mixed state, i.e., a state similar to $\frac{1}{d} id_{\mathcal{H}}$.

Proof. Let ρ be a state on $\mathcal{H}$ which maximizes the entropy and let $\{|j\rangle\}$ the diagonalizing basis, i.e.,

$$\rho = \sum_j p_j |j\rangle\langle j|.$$

The entropy does only depend on the state's eigenvalue, thus, in order to maximize the entropy, we are allowed to consider the entropy H as a function mapping ρ's eigenvalues $(p_1, ..., p_d) \in [0, 1]^d$ to $\mathbb{R}$. Consequently, we have to maximize the function $H(p_1, ..., p_d)$

under the constraint $p_1 + ... + p_d = 1$. This is usually done using Lagrange multipliers. One gets $p_j = 1/d$ for all $j = 1, ..., d$ and therefore,

$$\rho = \frac{1}{d}\mathrm{id}_{\mathcal{H}}$$

(this is the completely mixed state). This description of the state uniquely characterizes the state independently of the choice of the basis the matrix above refers to since the identity $\mathrm{id}_{\mathcal{H}}$ is unaffected by similarity transformations. This proves that ρ is the only state that maximizes the entropy. The immediate observation that

$$S(\rho) = \log_2 d$$

concludes the proof. □

Lemma 7.3.7. *Let $\mathcal{H}_A$ and $\mathcal{H}_B$ be two Hilbert spaces and let $d := \dim \mathcal{H}_A$. Then,*

$$|H(A|B)_\rho| \leq \log_2(d).$$

Proof. Use Lemma 7.3.6 to get

$$H(A|B)_\rho \leq H(A)_\rho \leq \log_2(d)$$

and Lemma 7.3.3 to get

$$H(A|B)_{\rho_{AB}} = H(A|B)_{\rho_{ABC}} = -H(A|C)_{\rho_{ABC}} \geq -\log(d),$$

where ρ_{ABC} is a purification of ρ_{AB}. □

Lemma 7.3.8. *Let $\mathcal{H}_X$ and $\mathcal{H}_B$ be Hilbert spaces, $\{|x\rangle\}_z$ be a complete orthonormal basis in $\mathcal{H}_X$ and let ρ_{XB} be a state on $\mathcal{H}_X \otimes \mathcal{H}_B$ which is classical with respect to $\{|x\rangle\}_x$. Then,*

$$H(X|B)_\rho \geq 0$$

which means that the entropy of a classical system is non-negative.

Proof. Let $\mathcal{H}_{X'}$ be a Hilbert space isomorphic to $\mathcal{H}_X$ and let $\rho_{BXX'}$ be a state on $\mathcal{H}_B \otimes \mathcal{H}_X \otimes \mathcal{H}_{X'}$ defined by

$$\rho_{BXX'} := \sum_{x,j} P_X(x)\rho_B^{(x)} \otimes |x\rangle\langle x| \otimes |x\rangle\langle x|.$$

Hence,

$$H(X|B)_{\rho_{BXX'}} = H(BX)_{\rho_{BXX'}} - H(B)_{\rho_{BXX'}}$$

and

$$H(X|BX')_{\rho_{BXX'}} = H(BXX')_{\rho_{BXX'}} - H(BX')_{\rho_{BXX'}}.$$

According to the strong subadditivity

$$H(X|B)_{\rho_{BXX'}} \geq H(X|BX')_{\rho_{BXX'}}.$$

To prove the assertion we have to show that the RHS vanishes or equivalently that $H(BXX')_{\rho_{BXX'}}$ is equal to $H(BX')_{\rho_{BXX'}}$. Let $\rho_{BX'}$ denote the state which emerges from $\rho_{BXX'}$ after the application of $\mathrm{tr}_X(\cdot)$. Hence, $H(BX')_{\rho_{BXX'}} = H(BX')_{\rho_{BX'}}$. Further,

$$H(BX')_{\rho_{BX'}} = H(BX')_{\rho_{BX'} \otimes |0\rangle\langle 0|},$$

where $|0\rangle$ is a state in the basis $\{|x\rangle\}_z$ of the Hilbert space $\mathcal{H}_X$. Define the map

$$S: \ \mathcal{H}_X \otimes \mathcal{H}_{X'} \to \mathcal{H}_X \otimes \mathcal{H}_{X'}$$

by

$$\begin{aligned} S(|z0\rangle) &:= |zz\rangle \\ S(|zz\rangle) &:= |z0\rangle \\ S(|xy\rangle) &:= |xy\rangle, \text{ (otherwise).} \end{aligned}$$

We observe,

$$[\mathcal{I}_B \otimes S]\rho_{BX'} \otimes |0\rangle\langle 0|[\mathcal{I}_B \otimes S]^{-1} = \rho_{BXX'}.$$

Obviously, $[\mathcal{I}_B \otimes S] \in \mathrm{GL}(\mathcal{H}_X \otimes \mathcal{H}_{X'})$ (the general linear group) and thus does not change the entropy:

$$H(BX')_{\rho_{BXX'}} = H(BX')_{\rho_{BX'} \otimes |0\rangle\langle 0|} = H(BXX')_{\rho_{BXX'}}.$$

□

Lemma 7.3.9. *Let $\mathcal{H}_A$, $\mathcal{H}_B$ and $\mathcal{H}_{B'}$ be Hilbert spaces, let ρ_{AB} be a state on $\mathcal{H}_A \otimes \mathcal{H}_B$, let*

$$\mathcal{E}: \ \mathcal{H}_B \to \mathcal{H}_{B'}$$

be a TPCPM($\mathcal{H}_B, \mathcal{H}_{B'}$) and let

$$\rho_{AB'} = [\mathcal{I}_A \otimes \mathcal{E}](\rho_{AB})$$

be a state on $\mathcal{H}_A \otimes \mathcal{H}_{B'}$. Then,

$$H(A|B)_{\rho_{AB}} \leq H(A|B')_{\rho_{AB'}}.$$

Proof. Let $|0\rangle$ be a state in an auxiliary Hilbert space $\mathcal{H}_R$. Then

$$\begin{aligned} H(A|B)_{\rho_{AB}} &= H(AB)_{\rho_{AB}} - H(B)_{\rho_{AB}} \\ &= H(ABR)_{\rho_{AB} \otimes |0\rangle\langle 0|} - H(BR)_{\rho_{AB} \otimes |0\rangle\langle 0|}. \end{aligned}$$

According to the Stinespring dilation the Hilbert space $\mathcal{H}_R$ can be chosen such that there exists a unitary U with the property

$$\mathrm{tr}_R \circ \mathrm{ad}_U(\xi \otimes |0\rangle\langle 0|) = \mathcal{E}(\xi),$$

where $\mathrm{ad}_U(\cdot) := U(\cdot)U^{-1}$ and $\xi \in \mathcal{S}(\mathcal{H}_B)$. Since the entropy is invariant under similarity transformations we can use this transformation U to get

$$\begin{aligned}
H(A|B)_{\rho_{AB}} &= H(AB'R)_{[\mathcal{I}_A \otimes \mathrm{ad}_U](\rho_{AB}\otimes|0\rangle\langle 0|)} - H(B'R)_{[\mathcal{I}_A \otimes \mathrm{ad}_U](\rho_{AB}\otimes|0\rangle\langle 0|)} \\
&= H(A|B'R)_{[\mathcal{I}_A \otimes \mathrm{ad}_U](\rho_{AB}\otimes|0\rangle\langle 0|)} \\
&\leq H(A|B')_{[\mathcal{I}_A \otimes \mathrm{tr}_R \circ \mathrm{ad}_U](\rho_{AB}\otimes|0\rangle\langle 0|)} \\
&= H(A|B')_{[\mathcal{I}_A \otimes \mathcal{E}](\rho_{AB})} \\
&= H(A|B')_{\rho_{AB'}},
\end{aligned}$$

where we have used the strong subadditivity and the Stinespring dilation. We get

$$H(A|B)_{\rho_{AB}} \leq H(A|B')_{\rho_{AB'}},$$

which concludes the proof.

□

7.4 The mutual information and its properties

Definition 7.4.1. Let ρ_{AB} a state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B$. Then, the so called *mutual information* $I(A:B)$ is defined by

$$I(A:B) := H(A)_{\rho_{AB}} + H(B)_{\rho_{AB}} - H(AB)_{\rho_{AB}} = H(A)_{\rho_{AB}} - H(A|B)_{\rho_{AB}}$$

Let ρ_{ABC} a state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C$. Then, the so called *conditional mutual information* $I(A:B|C)$ is defined by

$$I(A:B|C) := H(A|C)_{\rho_{ABC}} - H(A|BC)_{\rho_{ABC}}$$

We observe that the definition of quantum mutual information and the definition of classical mutual information are formally identical. Next we prove a small number of properties of the mutual information.

Lemma 7.4.2. *Let ρ_{ABC} a state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C$. Then,*

$$I(A:B|C) \geq 0.$$

This Lemma is a direct corollary of the strong subadditivity property of conditional entropy.

Lemma 7.4.3. *Let $\mathcal{H}_A$, $\mathcal{H}_B$, $\mathcal{H}_{B'}$ be Hilbert spaces, let ρ_{AB} a state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B$ and let*

$$\mathcal{E}: \ \mathcal{H}_B \to \mathcal{H}_{B'}$$

be a TPCPM. Then,

$$I(A:B) \geq I(A:B').$$

This is an immediate consequence of Lemma 7.3.9.

Lemma 7.4.4. *Let $\mathcal{H}_A$, $\mathcal{H}_B$, $\mathcal{H}_C$ be Hilbert spaces and let ρ_{ABC} be a state on a Hilbert space $\mathcal{H}_A \otimes \mathcal{H}_B \otimes \mathcal{H}_C$. Then,*

$$I(A:BC) = I(A:B) + I(A:C|B).$$

To prove this statement we simply have to plug in the definition of mutual information and conditional mutual information.

Exercise (Bell state). Compute the mutual information $I(A:B)$ of a Bell state ρ_{AB}. You should get $H(A) = 1$, $H(A|B) = -1$ and thus $I(A:B) = 2$.

Exercise (Cat state). Let $\mathcal{H}_A$, $\mathcal{H}_B$, $\mathcal{H}_C$ and $\mathcal{H}_D$ be Hilbert spaces of quantum mechanical 2-level systems which are spanned by $\{|0\rangle_A, |1\rangle_A\}$, $\{|0\rangle_B, |1\rangle_B\}$, $\{|0\rangle_C, |1\rangle_C\}$ and $\{|0\rangle_D, |1\rangle_D\}$, respectively. Then, the so called *cat state* is defined the pure state

$$|\psi\rangle := \frac{1}{\sqrt{2}}(|0\rangle_A|0\rangle_B|0\rangle_C|0\rangle_D + |1\rangle_A|1\rangle_B|1\rangle_C|1\rangle_D).$$

Hence $\rho_{ABCD} = |\psi\rangle\langle\psi|$ is the corresponding density matrix. Compute the expressions $I(A:B)$, $I(A:B|C)$, $I(A:B|CD)$ and $I(A:BCD)$. During your calculations you should get

$$\begin{aligned} H(A)_\rho = H(B)_\rho = H(C)_\rho = H(D)_\rho &= 1, \\ H(AB)_\rho = H(AC)_\rho &= 1, \\ H(ABC)_\rho = H(D)_\rho &= 1, \\ H(ABCD)_\rho &= 0. \end{aligned}$$

7.5 Conditional min-entropy

In this section, we will introduce conditional min-entropy and discuss some of its properties and uses. The definition is a quantum generalisation of the classical conditional min-entropy which we have discussed some time ago, i.e. the maximum value of a conditional probability distribution is replaced by a maximum eigenvalue of a conditional operator – the only change that we have to maximise over different versions of a conditional operator:

$$H_{\min}(A|B)_\rho = \max_{\sigma_B}(-\log \lambda_{\max}(\mathrm{id}_A \otimes \sigma_B^{-1/2} \rho_{AB} \mathrm{id}_A \otimes \sigma_B^{-1/2}))$$

where the maximisation is taken over density operators σ_B. σ_B^{-1} denotes the pseudo-inverse of σ_B, i.e. the operator

$$\sigma_B^{-1} = U\mathrm{diag}(\lambda_1^{-1}, \dots, \lambda_\ell^{-1}, 0, \dots, 0)U^\dagger,$$

where $\sigma_B = U\mathrm{diag}(\lambda_1, \dots, \lambda_\ell, 0, \dots, 0)U^\dagger$ with $\lambda_1 \geq \dots \geq \lambda_\ell > 0$ is the spectral decomposition of σ_B. There is an alternative way of writing the conditional min-entropy which often comes in handy when doing computations:

$$H_{\min}(A|B)_\rho = \max_{\sigma_B}(-\log \min\{\lambda : \lambda \mathrm{id}_A \otimes \sigma_B \geq \rho_{AB}\}).$$

The following lemma shows that conditional min-entropy characterises the maximum probability of guessing a value X correctly giving access to quantum information in a register B.

Lemma 7.5.1. *Let $\rho_{XB} = \sum_x |x\rangle\langle x| \otimes \rho_x$, then*

$$H_{\min}(X|B) = -\log p_{guess}(X|B)$$

where

$$p_{guess}(X|B) = \max_{\{E_x\} POVM} \sum_x \mathrm{tr}[\rho_x E_x]$$

is the maximum probability of guessing X correctly given access to B.

Proof. The proof uses semidefinite programming, an extension of linear programming. For a review see [12]. Defining $C = -\sum_x |x\rangle\langle x| \otimes \rho_x$, $\tilde{X} = \sum_x |x\rangle\langle x| \otimes E_x$, $A_{ij} = \mathrm{id} \otimes e_{ij}$ where e_{ij} denotes a matrix with a one in column i and row j and $b_{ij} := \delta_{ij}$, p_{guess} takes the classic form of a primal semidefinite programme:

$$-\min \mathrm{tr} C\tilde{X} : \tilde{X} \geq 0, \sum_{ij} \mathrm{tr} A_{ij} \tilde{X} = b_{ij}.$$

The dual programme is

$$\max \sum_{ij} b_{ij} y_{ij} : \sum_{ij} y_{ij} A_{ij} \leq C$$

Setting $y_{ij} := -\sigma_{ij}$ this SDP reads

$$\max -\mathrm{tr}\sigma : \mathrm{id} \otimes \sigma \geq \sum_x |x\rangle\langle x| \otimes \rho_x.$$

Both programmes are strictly feasible, since the points $X = \mathrm{id}$ and $\sigma = \mathrm{id}$ are feasible points, respectively. By semidefinite programming duality, the two programmes therefore have the same value. This proves the claim. $\square$

Recall that by definition the conditional von Neumann entropy satisfies $H(A|B) = H(AB) - H(B)$. From the definition of the conditional min-entropy such an inequality is certainly non-obvious and indeed false when taken literally. For most purposes, a set of inequalities replaces this important equality (which is often known as a chain rule). To give you the flavor of such inequalities we will prove the most basic one:

Lemma 7.5.2.

$$H_{\min}(A|B) \geq H_{\min}(AB) - H_{\max}(B)$$

Proof.

$$\begin{aligned}
H_{\min}(A|B)_\rho &= \max_{\sigma_B}(-\log \min\{\lambda : \lambda \mathrm{id}_A \otimes \sigma_B \geq \rho_{AB}\}) &(7.2)\\
&\geq -\log \min\{\lambda : \lambda \mathrm{id}_A \otimes \frac{\rho_B^0}{|\mathrm{supp}\rho_B|} \geq \rho_{AB}\} &(7.3)\\
&= -\log \min\{\mu |\mathrm{supp}\rho_B| : \mu \mathrm{id}_A \otimes \mathrm{id}_B \geq \rho_{AB}\} &(7.4)\\
&= -\log \min\{\mu : \mu \mathrm{id}_A \otimes \mathrm{id}_B \geq \rho_{AB}\} - \log |\mathrm{supp}\rho_B| &(7.5)\\
&= H_{\min}(AB)_\rho - H_{\max}(B)_\rho &(7.6)
\end{aligned}$$

where ρ_B^0 denotes the projector onto the support of ρ_B. □

Strong subadditivity of von Neumann entropy is the inequality:

$$H(AB) + H(BC) \geq H(ABC) + H(B).$$

Using the definition of the conditional von Neumann entropy, this is equivalent to the inequality

$$H(A|B) \geq H(A|BC)$$

which is often interpreted as "conditioning reduces entropy". In this form, it has a direct analog for conditional min entropy:

Lemma 7.5.3.

$$H_{\min}(A|B) \geq H_{\min}(A|BC)$$

Proof. Since $\lambda\sigma_{BC} \geq \rho_{ABC}$ implies $\lambda\sigma_B \geq \rho_{AB}$ we find for the σ_{BC} that maximises the expression for $H_{\min}(A|BC)$

$$\begin{aligned} H_{\min}(A|BC)_\rho &= -\log\min\{\lambda : \lambda \mathrm{id}_A \otimes \sigma_{BC} \geq \rho_{ABC}\} && (7.7) \\ &\leq \max_{\sigma_B}(-\log\min\{\lambda : \lambda \mathrm{id}_A \otimes \sigma_B \geq \rho_{AB}\}) = H_{\min}(A|B)_\rho. && (7.8) \end{aligned}$$

□

In the exercises, you will show how these two lemmas also hold for the smooth min and max-entropy. Combined with the asymptotic equipartition property that we discussed in the part on classical information theory you will then prove strong subadditivity of von Neumann entropy. The very fundamental result by the mathematical physicist Beth Ruskai and Elliot Lieb was proven in 1973 and remains the only known inequality for the von Neumann entropy — there may be more, we just haven't discovered them yet!

8 Resources Inequalities

We have seen that ebits, classical communication and quantum communication can be seen as valuable resources with which we can achieve certain tasks. An important example was the teleportation protocol which shows one ebit and two bits of classical communication can simulate the transmission of one qubit. In the following we will develop a framework for the transformation resources and present a technique that allows to show the optimality of certain transformations.

8.1 Resources and inequalities

We will consider a setup with two parties, Alice and Bob, who wish to convert one type of resource to another (one may also consider more than two parties, but this is a little outside the scope of this course). The resources we consider are:

- $\overset{n}{\rightsquigarrow}$ perfect quantum channel
  (Alice sends n qubits to Bob)
- $\overset{n}{\rightarrow}$ perfect classical channel
  (Alice sends n bits to Bob)
- $\overset{n}{\sim}$ shared entanglement, or *ebits*
  (Alice and Bob share n Bell pairs)
- $\overset{n}{—}$ shared bits

A resource inequality is a relation $X \geq Y$ which is to be interpreted as "we can obtain Y using X". Formally, there exists a protocol to simulate resources Y using only resources X and local operations. The example to keep in mind is the teleportation protocol which achieves:

$$\begin{matrix} \overset{2}{\rightarrow} \\ \overset{1}{\sim} \end{matrix} \geq \overset{1}{\rightsquigarrow}$$

Sometimes, our resources are noisy and we do not require the resource conversion to be perfect. We can then still use resource inequalities to formulate our results as you can see in the case of Shannon's noiseless coding theorem for a channel $P_{Y|X}$:

$$\underset{P_{Y|X}}{\overset{n}{\rightarrow}} \geq_\epsilon \overset{n(\max_{P_X} I(X;Y)-\epsilon)}{\longrightarrow},$$

for all $\epsilon > 0$ and n large enough.

In the remainder we will only be concerned with an exact conversion of perfect resources with the main goal to show that the teleportation and superdense coding protocols are optimal.

8.2 Monotones

Given a class of quantum operations, a *monotone* M is a function from states into the real numbers that has the property that it does not increase under any operations from the class. Rather than making this definition too formal (e.g. by specifying exactly on which systems the operations act), we will consider a few characteristic examples.

Example 8.2.1. For bipartite states, the quantum mutual information is a monotone for the class of local operations. More precisely, given a bipartite state ρ_{AB} and a local quantum operation (CPTP map), say on Bob's side, $\Lambda : \mathrm{End}(B) \mapsto \mathrm{End}(B')$

$$I(A : B) \geq I(A : B').$$

This can be verified as follows. Let $U_{B\to B'B''}$ be a Stinespring dilation of Λ. Since an isometry does not change the entropy, we have

$$I(A : B) = I(A : B'B'')$$

The RHS can be expanded as

$$I(A : B'B'') = I(A : B') + I(A : B''|B').$$

Strong subadditivity implies that the second term is nonnegative which leads us to the desired conclusion.

A similar argument shows that

$$I(A : B|E) \geq I(A : B'|E).$$

where ρ_{ABE} is an arbitrary extension of ρ_{AB}, i.e. satisfies $\mathrm{tr}_E \rho_{ABE} = \rho_{AB}$.

Example 8.2.2 (Squashed entanglement)**.** The squashed entanglement of a state ρ_{AB} is given by

$$E_{sq}(A : B) := \frac{1}{2} \inf_E I(A : B|E)$$

where the minimisation extends over all extensions ρ_{ABE} of ρ_{AB}. Note that we do not impose a limit on the dimension of E. (That is why we do not know whether the minimum is achieved and write inf rather than min.) Squashed entanglement is a monotone under local operations and classical communication (often abbreviated as LOCC). That squashed entanglement is monotone under local operations follows immediately from the previous example. We just only need to verify that it does not increase under classical communication.

Consider the case where Alice sends a classical system C to Bob (e.g. a bit string).

We want to compare $E_{sq}(AC : B)$ and $E_{sq}(A : BC)$. For any extension E, we have

$$\begin{aligned}
I(B : AC|E) &= H(B|E) - H(B|ACE) \\
&\geq H(B|EC) - H(B|AEC) \quad \text{(strong subadditivity)} \\
&= I(B : A|EC) \\
&= I(BC : A|EC) \quad EC =: E' \\
&\geq \min_{E'} I(BC : A|E')
\end{aligned}$$

This shows that $E_{sq}(AC : B) \geq E_{sq}(A : BC)$. By symmetry $E_{sq}(AC : B) = E_{sq}(A : BC)$ follows.

8.3 Teleportation is optimal

We will first show how to use monotones in order to prove that any protocol for teleportation of m qubits needs at least n ebits, regardless of how much classical communication the protocol uses. In our graphical notation this reads:

$$\begin{matrix} \overset{\infty}{\rightarrow} \\ \overset{n}{\sim\!\sim} \end{matrix} \geq \overset{m}{\rightsquigarrow} \quad \text{implies } n \geq m\ .$$

Note first that by sending m halves of ebits down the quantum channel on the RHS of

$$\begin{matrix} \overset{\infty}{\rightarrow} \\ \overset{n}{\sim\!\sim} \end{matrix} \geq \overset{m}{\rightsquigarrow}$$

implies

$$\begin{matrix} \overset{\infty}{\rightarrow} \\ \overset{n}{\sim\!\sim} \end{matrix} \geq \overset{m}{\sim\!\sim}$$

so we only need to show that we cannot increase the number of ebits by classical communication. This sounds easy, but in fact needs our monotone squashed entanglement. Since every possible extension ρ_{ABE} of a pure state ρ_{AB} (for instance the n ebits) is of the form $\rho_{ABE} = \rho_{AB} \otimes \rho_E$ we find

$$2E_{sq}(A : B)_{\sim\!\sim} = \inf_E I(A : B|E) = I(A : B) = 2n. \tag{8.1}$$

According to (8.1), having n ebits can be expressed in term of squashed entanglement. Since local operations and classical communication cannot increase the squashed entanglement as shown in Example 8.2.2, we conclude using again (8.1) that it is impossible to increase the number of ebits by LOCC.

In fact, the statement also holds if one requires the transformation to only work approximately. The proof is then a little more technical and needs a result about the continuity of squashed entanglement.

One can also prove that one needs at least two bits of classical communication in order to teleport one qubit, regardless of how many ebits one has available. But we will leave this to the exercises.

8.4 Superdense coding is optimal

We want to prove that we need at least one qubit channel in order to send two classical bits, regardless of how many ebits we have available:

$$\begin{matrix} n \\ \rightsquigarrow \\ \overset{\infty}{\sim} \end{matrix} \geq \begin{matrix} 2m \\ \rightarrow \\ \overset{\infty}{\sim} \end{matrix} \qquad \text{implies } m \leq n$$

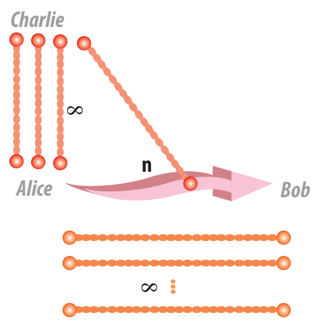
Note that concatenation of

$$\begin{matrix} n \\ \rightsquigarrow \\ \overset{\infty}{\sim} \end{matrix} \geq \begin{matrix} 2m \\ \rightarrow \\ \overset{\infty}{\sim} \end{matrix}$$

with teleportation yields

$$\begin{matrix} n \\ \rightsquigarrow \\ \overset{\infty}{\sim} \end{matrix} \geq \begin{matrix} m \\ \rightsquigarrow \\ \overset{\infty}{\sim} \end{matrix} .$$

Now we have to prove that this implies $n \geq m$, i.e. entanglement does not help us to send more qubits. For this, we consider an additional player Charlie who holds system C and shares ebits with Alice. Let B_i be Bob's initial system, Q an n qubit system that Alice sends to Bob, Λ Bob's local operation and B_f Bob's final system. Clearly, if an n qubit channel could simulate an m qubit channel for $m > n$, then Alice could send m fresh halves of ebits that she shares with Charlie to Bob, thereby increasing the quantum mutual information between Charlie and Bob by $2m$.



We are now going to show that the amount of quantum mutual information that Bob and Charlie share cannot increase by more than two times the number of qubits that he receives from Alice, i.e. by $2n$. For this we bound Bob's final quantum mutual information with Charlie by

$$\begin{aligned} I(C : B_f) &\leq I(C : B_i Q) \\ &= I(C : B_i) + I(C : Q|B_i) \\ &\leq I(C : B_i) + 2n \end{aligned}$$

Therefore $m \leq n$. This concludes our proof that the superdense coding protocol is optimal.

Interestingly, for this argument, we did not use a monotone such as squashed entanglement from above. We merely used the property that the quantum mutual information cannot increase by too much under communication. Quantities that have the opposite behaviour (i.e. can increase sharply when only few qubits are communicated) are known as *lockable quantities* and have been in the focus of the attention in quantum information theory in recent years. So, we might also say that the quantum mutual information is *nonlockable*.

8.5 Entanglement

We have already encountered the word entanglement many times. Formally, we say that a quantum state ρ_{AB} is *separable* if it can be written as a convex combination of product states, i.e.

$$\rho_{AB} = \sum_k p_k \tau_k \otimes \sigma_k$$

where the p_k form a probability distribution and the ρ_k are states on A and the σ_k are states on B. A state is then called *entangled* if it is not *separable*.

Characteristic examples of separable states are

- $\rho_{AB} = |\phi\rangle\langle\phi|_A \otimes |\psi\rangle\langle\psi|_B$

- $\rho_{AB} = \mathrm{id}_{AB} = \frac{1}{4}\mathrm{id}_A \otimes \mathrm{id}_B$

- $\rho_{AB} = \frac{1}{2}(|00\rangle\langle 00| + |11\rangle\langle 11|)$

Characteristic examples of entangled states are

- In most situations (e.g. teleportation), ebits are the most useful entangled states. They are therefore also known as maximally entangled states (as well as all pure states of the form $U \otimes V \frac{1}{\sqrt{d}} \sum_i |ii\rangle_{AB}$ $|A| = |B| = d$.)

- Non-maximally entangled pure states of the form $\sum_i \alpha_i |ii\rangle$, where the α_i are not all of equal magnitude. In certain cases they can be converted (distilled) into maximally entangled states (of lower dimension) using Nielsen's majorisation criterion [13].

- The totally antisymmetric state $\rho_{AB} = \frac{1}{d(d-1)} \sum_{i<j} |ij - ji\rangle\langle ij - ji|_{AB}$ can be seen to be entangled, since every pure state supported on the antisymmetric subspace is entangled.

Theorem 8.5.1. *For any state ρ_{AB} we have that $E_{sq}(A : B) = 0$ iff ρ_{AB} is separable.*

Proof. We only prove here that a separable state ρ_{AB} implies that $E_{sq}(A:B) = 0$. The converse is beyond the scope of this course and has been proven recently [14]. We consider the following separable classical-quantum state

$$\rho_{ABC} = \sum_i p_i \rho_A^i \otimes \rho_B^i \otimes |i\rangle\langle i|_C,$$

for p_i being a probability (i.e. $p_i \geq 0$ and $\sum_i p_i = 1$). Using the definition of the mutual information we can write

$$\begin{aligned} I(A:B|C) &= H(A|C) - H(B|AC) \\ &= \mathrm{E}_i[H(A)_{\rho_A^i}] - \mathrm{E}_i[H(A|B)_{\rho_A^i \otimes \rho_B^i}] \\ &= 0. \end{aligned}$$

The first two equalities follow by definition and the final step is can be verified by the chain rule which gives

$$\begin{aligned} H(A|B)_{\rho_A \otimes \rho_B} &= H(AB)_{\rho_A \otimes \rho_B} - H(B)_{\rho_B} \\ &= H(A)_{\rho_A}. \end{aligned}$$

□

Since ebits are so useful, we can ask ourselves how many ebits we can extract per given copy of ρ_{AB}, as the number of copies approaches infinity. Formally, this number is known as the *distillable entanglement* of ρ_{AB}:

$$E_D(\rho_{AB}) = \lim_{\epsilon \mapsto 0} \lim_{n \mapsto \infty} \sup_{\Lambda \text{ LOCC}} \{\frac{m}{n} : \langle ebit|^{\otimes m} \Lambda(\rho_{AB}^{\otimes n})|ebit\rangle^{\otimes m} \geq 1 - \epsilon\}$$

This number is obviously very difficult to compute, but there is a whole theory of entanglement measures out there with the aim to provide upper bounds on distillable entanglement. A particularly easy upper bound is given by the squashed entanglement.

$$E_{sq}(\rho_{AB}) \geq E_D(\rho_{AB}).$$

The proof uses only the monotonicity of squashed entanglement under LOCC operations and the fact that the squashed entanglement of a state that is close to n ebits (in the purified distance) is close to n. In the exercise you will show that squashed entanglement of separable state is zero. This then immediately implies that one cannot extract any ebits from separable states.

8.6 Cloning

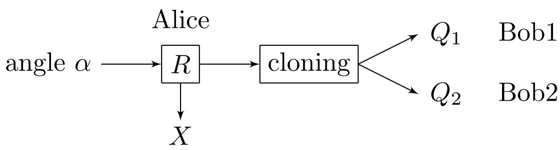
The very important no-cloning theorem [15, 16] states that there cannot exist a quantum operation that takes a state $|\psi\rangle$ to $|\psi\rangle \otimes |\psi\rangle$ for all states $|\psi\rangle$. It has far-reaching consequences and there exist several different proofs. It is desirable to have a proof that as independent of the underlying theory as possible. For example a proof based on the linearity of quantum mechanics is problematic as the proof would become invalid if someone detects non-linear quantum effects - which in principle could exist.

We next present two different proofs of the non-cloning theorem. Recall that for any state ρ_{ABC} we have[1]

$$H(A|B) + H(A|C) \geq 0. \tag{8.2}$$

Assume that we have a machine that takes some system Q and outputs two copies Q_1 and Q_2. Furthermore let R denote a reference system (e.g. a qubit). Let $I(R : Q) = 2$, then after the cloning we must have $I(R : Q_1) = I(R : Q_2) = 2$. Using the definition of the mutual information we obtain $H(R) + H(R|Q_1) = 2$ and $H(R) + H(R|Q_2) = 2$. Let $H(R) = 1$, we then have $H(R|Q_1) = H(R|Q_2) = -1$ which contradicts (8.2) and hence proves that such a cloning machine cannot exist.

We next present an even more theory independent proof. Consider the following experiment.



The state of Bob is assumed to be $|\alpha\rangle$ with probability $\frac{1}{2}$ and $|\alpha^{\perp}\rangle$ with probability $\frac{1}{2}$. The state of Bob is therefore

$$\rho_B = \frac{1}{2}|\alpha\rangle\langle\alpha| + \frac{1}{2}|\alpha^{\perp}\rangle\langle\alpha^{\perp}| = \frac{1}{2}\mathrm{id}.$$

As this state is independent of α we have $I(B : \alpha) = 0$. The joint state of $Bob1$ and $Bob2$ is

$$\rho_{B_1B_2} = \frac{1}{2}|\alpha\rangle\langle\alpha|_{B_1} \otimes |\alpha\rangle\langle\alpha|_{B_2} + \frac{1}{2}|\alpha^{\perp}\rangle\langle\alpha^{\perp}|_{B_1} \otimes |\alpha^{\perp}\rangle\langle\alpha^{\perp}|_{B_2},$$

which is not a maximally mixed state that depends on α. We thus have $I(\alpha : B_1B_2) > 0$ which contradicts relativity, as it would allow us to communicate faster than the speed of light.

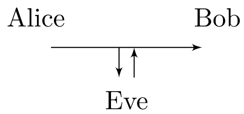
[1] Let ρ_{ABCD} be a purification, then $H(A|B) + H(A|CD) = 0$. Using the data processing inequality gives $H(A|B) + H(A|C) \geq 0$.

9 Quantum Key Distribution

9.1 Introduction

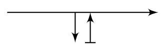
In this chapter, we introduce the concept of quantum key distribution. Traditionally, cryptography is concerned with the problem of securely sending a secret message from A to B. Note however that secure message transmission is only one branch of cryptography. Another example for a problem studied in cryptography is coin tossing. There the problem is that two parties, Alice and Bob, which are physically separated and do not trust each other want to toss a coin over the telephone. Blum showed that this problem cannot be solved as long as one does not introduce additional asssumptions [17]. Note that coin tossing is possible using quantum communication.

To start, we introduce the concept of cryptographic resources. A classical *insecure* communication channel is denoted by



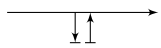
The arrows to the adversary, Eve, indicate that she can receive all messages sent by Alice. Furthermore Eve is able to modify the message which Bob finally receives. This channel does not provide any guarantees. It can be used to model for example email traffic.

A classical *authentic* channel is denoted by

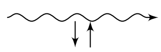


and guarantees that messages received by Bob are sent by Alice. It can be used to describe e.g. a telephone conversation with voice authentification.

The most restrictive classical channel model we consider is the so-called *secure* channel which has the same guarantees as the authentic channel and ensures in addition that no information leaks. It is denoted by

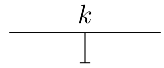


In the quantum setup, an *insecure quantum* channel that has no guarantees is represented by



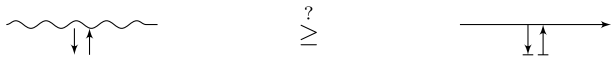
Note that an authentic quantum channel is automatically also a secure quantum channel since reading out a message always changes the message.

The following symbol

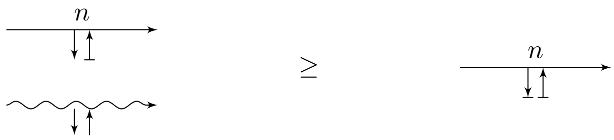


denotes k classical secret bits, i.e. k bits that are uniformly distributed and maximally correlated between Alice and Bob.

A desirable goal of quantum cryptography would be to have a protocol that simulates a secure classical channel using an insecure quantum channel, i.e.,

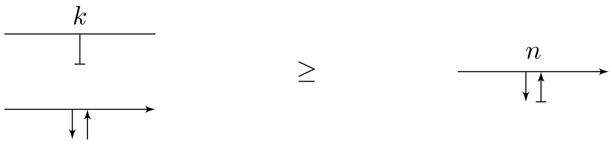


However, such a protocol cannot exist since this scenario has complete symmetry between Alice and Eve, which makes it impossible for Bob to distinguish between them. If we add a classical authentic channel in addition to the insecure quantum channel, it is possible as we shall see to simulate a classical secret channel, i.e.,



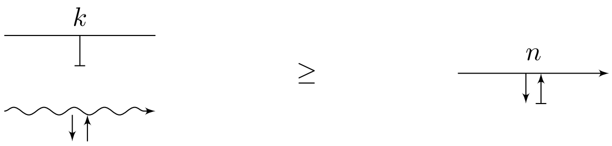
is possible.

In classical cryptography there exists a protocol [18], called *authentication protocol*, that achieves the following



$n \gg k.$

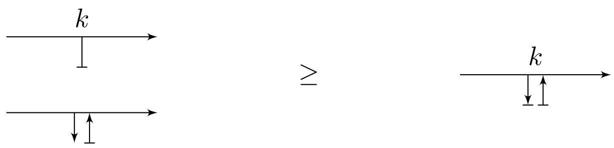
Thus, if Alice and Bob have a (short) password, they can use an insecure channel to simulate an authentic channel. This implies



$n \gg k.$

9.2 Classical message encryption

The *one-time pad* protocol achieves the following using purely classical technology.



Let M be a message bit and S a secret key bit. The operation $\oplus$ denotes an addition modulo 2. Alice first computes $C = M \oplus S$ and sends C over a classical authentic channel to Bob. Bob then computes $M' = C \oplus S$. The protocol is correct as

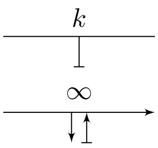
$$M' = C \oplus S = (M \oplus S) \oplus S = M \oplus (S \oplus S) = M.$$

To prove secrecy of the protocol, we have to show that $P_M = P_{M|C}$ which is equivalent to $P_{MC} = P_M \times P_C$. In information theoretic terms this condition can be expressed as $I(M : C) = 0$ which means that the bit C which is sent to Bob and may be accessible to Eve does not have any information about the message bit M. This follows from the observation that $P_{C|M=m}$ is uniform for all $m \in \{0, 1\}$. Therefore, $P_{C|M} = P_C$ which is equivalent to $P_{CM} = P_C \times P_M$ and thus proves that the protocol is secret.

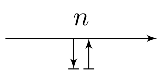
As the name *one-time pad* suggests, a secret bit can only be used once. For example consider the scenario where someone uses a single secret bit to encrypt 7 message bits such that we have e.g. $C = 0010011$. Eve then knows that $M = 0010011$ or $M = 1101100$.

Shannon proved in 1949 that in a classical scenario, to have a secure protocol the key must be as long as the message [19], i.e.

Theorem 9.2.1.



$\geq$



implies $k \geq n$.

Proof. Let $M \in \{0, 1\}^n$ be the message which should be sent secretly from Alice to Bob. Alice and Bob share a secret key $S \in \{0, 1\}^k$. Alice first encrypts the message M and sends a string C over a public channel to Bob. Bob decrypts the message, i.e. he computes a string M' out of C and his key S. We assume that the protocol fulfills the following two requirements.

1. *Reliability*: Bob should be able to reproduce M (i.e. $M' = M$).

2. *Secrecy*: Eve does not gain information about M.

We consider a message that is uniformly distributed on $\{0, 1\}^n$. The secrecy requirement can be written as $I(M : C) = 0$ which implies that $H(M|C) = H(M) = n$. We thus obtain

$$I(M : S|C) = H(M|C) - H(M|CS) = n, \tag{9.1}$$

where we also used the reliability requirement $H(M|CS) = 0$ in the last equality. Using the data processing inequality and the non negativity of the Shannon entropy, we can write

$$I(M : S|C) = H(S|C) - H(S|CM) \leq H(S). \tag{9.2}$$

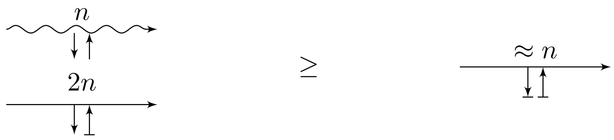
Combining (9.1) and (9.2) gives $n \leq H(S)$ which implies that $k \geq n$. $\square$

Shannon's result shows that information theoretic secrecy (i.e. $I(M : C) \approx 0$) cannot be achieved unless one uses very long keys (as long as the message).

In *computational cryptography*, one relaxes the security criterion. More precisely, the mutual information $I(M : C)$ is no longer small, but it is still computationally hard (i.e. it takes a lot of time) to compute M from C. In other words, we no longer have the requirement that $H(M|C)$ is large. In fact, for public key cryptosystems (such as RSA and DH), we have $H(M|C) = 0$. This implies that there exists a function f such that $M = f(C)$, which means that it is in principle possible to compute M from C. Security is obtained because f is believed[1] to be hard to compute. Note, however, that for the protocol to be practical, one requires that there exists an efficiently computable function g, such that $M = g(C, S)$.

9.3 Quantum cryptography

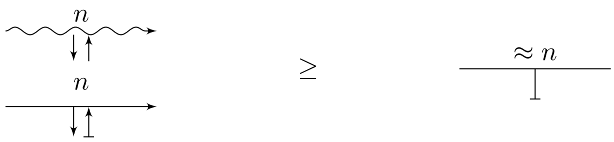
In this section, we explain why Theorem 9.2.1 does not hold in the quantum setup. As we will prove later, having a quantum channel we can achieve



(□)

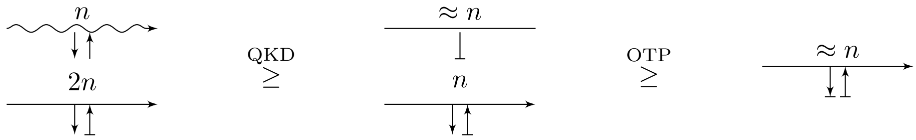
Note that this does not contradict Shannon's proof of Theorem 9.2.1, since in the quantum regime the no-cloning theorem (cf. Section 8.6) forbids that Bob and Eve receive the same state, i.e., the ciphertext C is not generally available to both of them. Therefore, Shannon's proof is not valid in the quantum setup, which allows quantum cryptography to go beyond classical cryptography.

As we will see in the following, it is sufficient to consider *quantum key distribution* (QKD), which does the following.



(△)

The protocol (△) implies (□) as we can concatenate it with the one-time pad encryption. More precisely,



[1] In classical cryptography one usually makes statements of the following form. If f was easy to compute then some other function F is also easy to compute. For example F could be the decomposition of a number into its prime factors.

which is the justification that we can focus on the task of QKD in the following.

We next define more precisely what we mean by a secret key, as denoted by S_A and S_B. In quantum cryptography, we generally consider the following three requirements where $\epsilon \geq 0$

1. Correctness: $\Pr[S_A \neq S_B] \leq \epsilon$
2. Robustness: if the adversary is passive, then[2] $\Pr[S_A = \perp] \leq \epsilon$
3. Secrecy: $\|\rho_{S_A E} - (p\rho_\perp \otimes \rho_{E_\perp} + (1-p)\rho_k \otimes \rho_{E_k})\|_1 \leq \epsilon$, where $\rho_{E_\perp}, \rho_{E_k}$ are arbitrary density operators, $\rho_\perp = |\perp\rangle\langle\perp|$ and ρ_k is a completely mixed state on $\{0,1\}^n$, i.e. $\rho_k = 2^{-n}\sum_{s\in\{0,1\}^n} |s\rangle\langle s|$. The cq-state $\rho_{S_A E}$ describes the key S_A together with the system E held by the adversary after the protocol execution. The parameter p can be viewed as the failure probability of the protocol.

The secrecy condition implies that there is either a uniform and uncorrelated (to E) key or there is no key at all.

9.4 QKD protocols

9.4.1 BB84 protocol

In the seventies, Wiesner had the idea to construct unforgeable money based on the fact that quantum states cannot be cloned [20]. However, the technology at that time was not ready to start up on his idea. In 1984, Bennett and Brassard presented the *BB84 protocol* for QKD [21] which is based on Wiesner's ideas and will be explained next.

In the BB84 protocol, Alice and Bob want to generate a secret key which is achieved in four steps. In the following, we choose a standard basis $\{|0\rangle, |1\rangle\}$ and $\{|\bar{0}\rangle, |\bar{1}\rangle\}$ where $|\bar{0}\rangle := \frac{1}{\sqrt{2}}(|0\rangle + |1\rangle)$ and $|\bar{1}\rangle := \frac{1}{\sqrt{2}}(|0\rangle - |1\rangle)$.

BB84 Protocol:

Distribution step Alice and Bob perform the following task N times and let $i = 1, \ldots, N$. Alice first chooses $B_i, X_i \in \{0,1\}$ at random and prepares a state of a qubit Q_i (with basis $\{|0\rangle, |1\rangle\}$) according to

B	X	Q
0	0	$\lvert 0\rangle$
0	1	$\lvert 1\rangle$
1	0	$\lvert \bar{0}\rangle$
1	1	$\lvert \bar{1}\rangle$.

Alice then sends Q_i to Bob.

Bob next chooses $B_i' \in \{0,1\}$ and measures Q_i either in basis $\{|0\rangle, |1\rangle\}$ (if $B_i' = 0$) or in basis $\{|\bar{0}\rangle, |\bar{1}\rangle\}$ (if $B_i' = 1$) and stores the result in X_i. Recall that all the steps so far are repeated N-times.

[2]The symbol $\perp$ indicates that no key has been produced.

Sifting step Alice sends $B_1, \ldots, B_n$ to Bob and vice versa, using the classical authentic channel. Bob discards all outcomes for which $B_i \neq B'_i$ and Alice does so as well. For better understanding we consider the following example situation.

Q	$\|1\rangle$	$\|1\rangle$	$\|\bar{1}\rangle$	$\|\bar{0}\rangle$	$\|0\rangle$	$\|\bar{1}\rangle$	$\|\bar{0}\rangle$	$\|1\rangle$	$\|\bar{1}\rangle$
B	0	0	1	1	0	1	1	0	1
X	1	1	1	0	0	1	0	1	1
B'	0	0	0	1	1	0	1	1	0
X'	1	1	1	0	1	1	0	0	1
no.	①	②	③	④	⑤	⑥	⑦	⑧	⑨

Hence, Alice and Bob discard columns ③,⑤,⑥,⑧ and ⑨.

Checking step Alice and Bob compare (via communication over the classical *authentic* channel) X_i and X'_i for some randomly chosen sample i of size $\sqrt{n}$. If there is disagreement, the protocol aborts, i.e. $S_A = S_B = \perp$.

Extraction step We consider here the simplest case where we assume to have no errors (due to noise). The key S_A is equal to the remaining bits of $X_1, \ldots, X_n$ and the key S_B are the remaining bits of $X'_1, \ldots, X'_n$. Note that the protocol can be generalized such that it also works in the presence of noise.

9.4.2 Security proof of BB84

It took almost 20 years until the security of BB84 could be proven [22, 23, 24, 11]. We present in the following a proof sketch. The idea is to first consider an entanglement-based protocol (called Ekert91 [25]) and prove that this protocol is equivalent to the BB84 protocol in terms of secrecy. Therefore, it is sufficient to prove security of the Ekert91 protocol which turns out to be easier to achieve. For this, we will use a *generalized uncertainty relation*[3] [26] which states that

$$H(Z|E) + H(X|B) \geq 1, \tag{9.3}$$

where Z denotes a measurement in the basis $\{|0\rangle, |1\rangle\}$, X denotes a measurement in the basis $\{|\bar{0}\rangle, |\bar{1}\rangle\}$ and where B and E are arbitrary quantum systems.

Ekert91 protocol: Similarly to the BB84 protocol this scheme also consists of four different steps.

Distribution step (repeated N times) Alice prepares entangled qubit pairs and sends one half of each pair to Bob (over the insecure quantum channel). Alice and Bob then measure their qubit in a random basis B_i (for Alice)[4] and B'_i (for Bob). They report the outcomes X_i (for Alice) and X'_i (for Bop).

Sifting step Alice and Bob discard all (X_i, X'_i) for which $B_i \neq B'_i$.

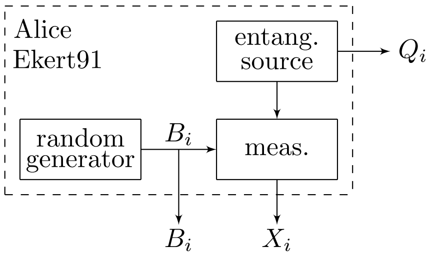
[3] The uncertainty relation was topic of one exercise.

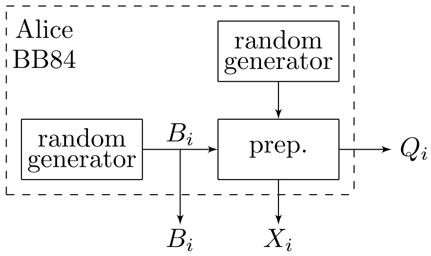
[4] Recall that $B_i = 0$ means that we measure in the $\{|0\rangle, |1\rangle\}$ basis and if $B_i = 1$ we measure in the $\{|\bar{0}\rangle, |\bar{1}\rangle\}$ basis.

Checking step For a random sample of positions i Alice and Bob check whether $X_i = X_i'$. If the test fails they abort the protocol by outputting $\perp$.

Extracting step Alice's key S_A consists of the remaining bits of $X_1, X_2, \ldots$. Bob's key S_B consists of the remaining bits $X_1', X_2', \ldots$.

We next show that Ekert91 is equivalent to BB84. On Bob's side it is easy to verify that the two protocols are equivalent since Bob has to perform exactly the same tasks for both. The following schematic figure summarizes Alice's task in the Ekert91 and the BB84 protocol.





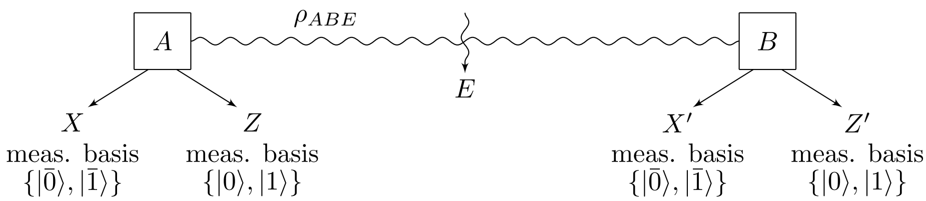
In the Ekert91 protocol Alice's task is described by a state

$$\rho^{\text{Ekert91}}_{B_i X_i Q_i} = \frac{1}{2} \sum_{b \in \{0,1\}} |b\rangle\langle b|_{B_i} \otimes \frac{1}{2} \sum_{x \in \{0,1\}} |x\rangle\langle x|_{X_i} \otimes |\varphi^{b,x}\rangle\langle\varphi^{b,x}|_{Q_i}, \tag{9.4}$$

where $|\varphi^{0,0}\rangle = |0\rangle$, $|\varphi^{0,1}\rangle = |1\rangle$, $|\varphi^{1,0}\rangle = |\bar{0}\rangle$, and $|\varphi^{1,1}\rangle = |\bar{1}\rangle$. The BB84 protocol leads to the same state

$$\rho^{\text{BB84}}_{B_i X_i Q_i} = \frac{1}{2} \sum_{b \in \{0,1\}} |b\rangle\langle b|_{B_i} \otimes \frac{1}{2} \sum_{x \in \{0,1\}} |x\rangle\langle x|_{X_i} \otimes |\varphi^{b,x}\rangle\langle\varphi^{b,x}|_{Q_i}. \tag{9.5}$$

We thus conclude that viewed from outside the dashed box the two protocols are equivalent in terms of security and hence to prove security for BB84 it is sufficient to prove security for Ekert91. Note that both protocols have some advantages and drawbacks. While for Ekert91 it is easier to prove securtiy, the BB84 protocol is technologically simpler to implement.



It remains to prove that the Ekert91 protocol is secure. The idea is to consider the state of the entire system (i.e. Alice, Bob and Eve) after the sending the distribution of the entangled qubit pairs over the insecure channel (which may be arbitrarily modified by Eve) but before Alice and Bob have measured. The state ρ_{ABE} is arbitrary except that the subsystem A is a fully mixed state (i.e. ρ_A is maximally mixed). At this point the completeness of quantum theory (cf. Chapter 5) shows up again. Since quantum theory is complete, we know that anything Eve could possibly do is described within our framework.

We now consider two alternative measurements for Alice ($B = 0, B = 1$). Call the outcome of the measurement Z if $B = 0$ and X if $B = 1$. The uncertainty relation (9.3)[5] now implies that

$$H(Z|E) + H(X|B) \geq 1, \tag{9.6}$$

which holds for arbitrary states ρ_{ABE} where the first term is evaluated for ρ_{ZBE} and the second term is evaluated for ρ_{XBE}. The state ρ_{XBE} is defined as the post-measurement state when measuring ρ_{ABE} in the basis $\{|\bar{0}\rangle, |\bar{1}\rangle\}$ and the sate ρ_{ZBE} is defined as the post-measurement state when measuring ρ_{ABE} in the basis $\{|0\rangle, |1\rangle\}$. Using (9.6), we can bound Eve's information as $H(Z|E) \geq 1 - H(X|B)$. We next show that $H(X|B) = 0$ which implies that $H(Z|E) = 1$, i.e. Eve has no information about Alice's state. The data processing inequality implies $H(Z|E) \geq 1 - H(X|X')$.

In the protocol, there is a step called the testing phase where two alternative things can happen

- if $\Pr[X \neq X'] > 0$, then Alice and Bob detect a deviation in their sample and abort the protocol.
- if $\Pr[X = X'] \approx 1$, Alice and Bob output a key.

Let us therefore assume that $\Pr[X \neq X'] = \delta$ for $\delta \approx 0$. In this case, we have $H(Z|E) \geq 1 - h(\delta) \approx 1 - \sqrt{\delta}$ for small δ, where $h(\delta) := -\delta \log_2 \delta - (1 - \delta) \log_2(1 - \delta)$ denotes the *binary entropy function*. Note that also $H(Z) = 1$, which implies that $I(Z : E) = H(Z) - H(Z|E) \leq h(\delta)$. Recall that $I(Z : E) = D(\rho_{ZE}||\rho_Z \otimes \rho_E)$. Thus, if $I(Z : E) = 0$, we have $D(\rho_{ZE}||\rho_Z \otimes \rho_E) = 0$ for $\delta \to 0$. This implies that $\rho_{ZE} = \rho_Z \otimes \rho_E$ which completes the security proof.[6]

Important remarks to the security proof The proof given above establishes security under the assumption that there are no correlations between the rounds of the protocol. Note that if the state involved in the i-th round is described by $\rho_{A_iB_iE_i}$ we have in general

$$\rho_{A_1A_2\ldots A_nB_1B_2\ldots B_nE_1E_2\ldots B_n} \neq \rho_{A_1B_1E_1} \otimes \rho_{A_2B_2E_2} \otimes \ldots \otimes \rho_{A_nB_nE_n}. \tag{9.7}$$

Therefore, it is not sufficient to analyze the rounds individually and hence we so far only proved security against i.i.d. attacks, but not against general attacks. Fortunately, there is a solution to this problem. The *De Finetti theorem* shows that the proof for individual attacks also implies security for general attacks. A rigorous proof of this statement is beyond the scope of this course and can be found in [11] and [27] which uses a post selection technique.

[5]The uncertainty relation was topic of one exercise.

[6]In principle, we have to repeat the whole argument in the complementary basis, i.e. using the uncertainty relation $H(X|E) + H(Z|B) \geq 1$ (cf. (9.6))

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