LOWER BOUNDS FOR COPRIMENESS AND OTHER DECISION PROBLEMS IN ARITHMETIC

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This talk was about some joint work with Lou van den Dries, in which we try to derive lower bounds for the worst-case, time complexity of functions and decision problems in arithmetic which apply to *all*—or, in any case, to as many as possible— algorithms. The relevant papers are listed in the bibliography and [3] gives a brief account of how we came to these questions, as well as a fairly complete exposition of what we have proved. Here I will confine myself to very few precise statements of specific results, since my main aim is to describe the methods that we use.¹

1. One conjecture and two results

The ancient Euclidean algorithm computes the greatest common divisor of two natural numbers using iterated division. It can be expressed succinctly by the recursive equation

(1)
$$gcd(a,b) = if (rem(a,b) = 0)$$
 then b else $gcd(b, rem(a,b))$ $(a \ge b \ge 1)$,

and its natural complexity measure is

 $c_{\varepsilon}(a,b)$ = the number of divisions required to compute gcd(m,n) using (1).

It is easy to check that

$$c_{\varepsilon}(a,b) \le 2\log_2(a) \quad (a \ge b > 1),$$

which is not the best known upper bound for the Euclidean, but is good enough for our purposes. It leads to the following, natural formulation of the Euclidean's optimality:

Main Conjecture. For every algorithm α which computes the gcd from the remainder operation rem, there is a real constant r > 0 such that for infinitely many pairs (a, b) with a > b > 1,

$$c_{\alpha}(a,b) \ge r \log_2(a),$$

where $c_{\alpha}(a, b)$ counts the number of calls to the remainder function required to compute gcd(a, b) using the algorithm α .

if $m \ge n$, m = nq + r and $0 \le r < n$, then iq(m, n) = q, rem(m, n) = r, $m \perp n \iff m, n \ge 1$ and gcd(m, n) = 1 (m and n are coprime),

 $m - n = \text{ if } (m \le n) \text{ then } 0 \text{ else } m - n, \qquad \log_2 m = x \iff 2^x = m \quad (m \ge 1).$

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¹I use standard notation and terminology, with $\mathbb{N} = \{0, 1, ...\}$ the set of natural numbers, $\mathbb{Z} = \{..., -1, 0, 1, ...\}$, gcd(m, n) = the largest k such that $k \mid m$ and $k \mid n$, and the following perhaps less common notations:

The conjecture is vague, of course, absent a precise definition of "algorithm", but it is a useful template for the formulation of precise conjectures based on specific, precise assumptions about the behavior of algorithms. It makes clear, right at the start, that we are concerned with (relative) *algorithms from* specified *primitives* (the "givens"). With this understanding, we can formulate now, vaguely, the two basic results that I wish to discuss, and which I will make precise in the sequel:

Theorem A (van den Dries, [3]). For every algorithm α which computes the greatest common divisor from the functions and relations

there are infinitely many pairs (a, b) such that a > b > 1 and

$$c_{\alpha}(a+1,b) \ge \frac{1}{4}\sqrt{\log_2\log_2 b};$$

in fact the inequality holds whenever a, b are positive solutions of Pell's equation

 $a^2 = 1 + 2b^2.$

I will argue that this result requires only a minimal, natural assumption about how algorithms operate, and so it truly holds for all algorithms (from the specified givens). The second result, however, depends on somewhat stronger assumptions about algorithms which cannot be considered obvious, and so I will label it "vague" in this first formulation:

Theorem B₁ (vague). For every algorithm α which decides the coprimeness relation \perp from the functions and relations

there are infinitely many pairs (a, b) such that a > b > 1 and

$$c_{\alpha}(a,b) > \frac{1}{10} \log_2 \log_2 a_2$$

in fact the inequality holds for all a > b > 1 such that

$$a \perp b \text{ and } \left| \frac{a}{b} - \sqrt{2} \right| < \frac{1}{b^2}$$

(including all solutions (a, b) of Pell's equation).

Both of these results assume many more primitives than the bare integer remainder function assumed by the Euclidean—including the very powerful multiplication function in the case of Theorem A—and in that sense they are stronger than they need to be to establish the Main Conjecture; on the other hand, the claimed lower bounds are one log below what we would like them to be, and in this subject one log is infinitely far away.

2. The complexity of values

A signature is a finite set $\Phi = \{\phi_1, \ldots, \phi_k\}$ of function symbols, each of a specified arity n_i , and a (partial) Φ -algebra is a structure

$$\mathbf{A} = (A, 0, 1, \phi_1, \dots, \phi_k),$$

 $\mathbf{2}$

where $0, 1 \in A, 0 \neq 1$, and each $\phi_i : A^{n_i} \rightarrow A$ is a partial function on A^2 .

Classical examples include the familiar structure of arithmetic $(\mathbb{N}, 0, 1, +, \cdot)$, but also the algebra of the Euclidean $(\mathbb{N}, 0, 1, \text{rem})$, whose only given is the remainder operation. These, of course, are total. Algebras with genuinely partial givens arise most naturally as restrictions,

$$\mathbf{A} \upharpoonright B = (B, 0, 1, \phi_1 \upharpoonright B, \dots, \phi_k \upharpoonright B) \qquad (\{0, 1, \} \subseteq B \subseteq A),$$

where, for any $\phi: A^n \rightharpoonup A$ and any $B \subseteq A$,

$$(\phi \upharpoonright B)(x_1, \dots, x_n) = w \iff x_1, \dots, x_n, w \in B \& \phi(x_1, \dots, x_n) = w.$$

Especially interesting is the subalgebra generated by a sequence $\vec{a} = (a_1, \ldots, a_n)$ of points in A, which is naturally ramified by depth: we set recursively,

$$G_0(\vec{a}) = \{0, 1, a_1, \dots, a_n\},\$$

$$G_{m+1}(\vec{a}) = G_m(\vec{a}) \cup \{\phi_i(x_1, \dots, x_l) \mid x_1, \dots, x_l \in G_m(\vec{a}), i = 1, \dots, k\},\$$

$$\mathbf{G}_m(\vec{a}) = \mathbf{A} \upharpoonright G_m(\vec{a}),\$$

and then $G_{\infty}(\vec{a}) = \bigcup_m G_m(\vec{a}), \mathbf{G}_{\infty}(\vec{a}) = \mathbf{A} \upharpoonright G_{\infty}(\vec{a})$. If we define the closed (algebraic) terms with parameters in \vec{a} in the obvious way,

$$E :\equiv a_i \mid 0 \mid 1 \mid \phi_i(E_1, \dots, E_{n_i}),$$

then, easily,

$$G_m(\vec{a}) = \{ \operatorname{den}(E) \mid \operatorname{depth}(E) \le m \}.$$

When we need to note the algebra in which these sets are computed, we write $G_m^{\mathbf{A}}(\vec{a}), \mathbf{G}_m^{\mathbf{A}}(\vec{a}).$

Now, it is natural to assume that if a function $f : A^n \to A$ is computed by some algorithm from the givens ϕ_1, \ldots, ϕ_k of **A**, then for every $\vec{a}, f(\vec{a}) \in G_{\infty}(\vec{a})$; and so we can associate with f its value complexity,

(2)
$$\mathbf{v}_{f}^{\mathbf{A}}(\vec{a}) = \text{the least } m \text{ such that } f(\vec{a}) \in G_{m}^{\mathbf{A}}(\vec{a}).$$

Moreover, since it evidently takes m steps to construct an object in $G_m(\vec{a}) \setminus G_{m-1}(\vec{a})$ using the givens; and since the time complexity of an algorithm must be at least as large as the number of steps it takes to construct its value; I would claim that the following principle is more-or-less obvious:

Basic Principle. If an algorithm α computes $f : A^n \to A$ in the algebra **A** with time complexity $c_{\alpha}(\vec{x})$, then

$$f(\vec{a}) \in G_{\infty}(\vec{a}) \text{ and } c_{\alpha}(\vec{a}) \geq \mathbf{v}_{f}^{\mathbf{A}}(\vec{a}).$$

$$f(g_1(\vec{x}), \dots, g_m(\vec{x})) = w$$

$$\iff (\exists u_1, \dots, u_m) [g_1(\vec{x}) = u_1 \& \dots \& g_m(\vec{x}) = u_m \& f(u_1, \dots, u_m) = w].$$

We assume the existence of codes of falsity and truth $(0 \neq 1)$ in A for simplicity only, so that we can restrict the givens to be partial functions: each relation $R \subseteq A^n$ on A is identified with its (total) characteristic function, $\chi_R(\vec{x}) = \text{ if } R(\vec{x})$ then 1 else 0.

² A partial function $f : A^n \to A$ is an ordinary function $f : S \to A$, with domain of convergence some subset $S \subseteq A^n$. We write $f(\vec{x}) \downarrow \iff \vec{x} \in S$ and $f(\vec{x}) \uparrow \iff \vec{x} \notin S$. Partial functions compose *strictly*:

Van den Dries' proof of Theorem A proceeds by showing that if (a, b) satisfy Pell's equation, then

$$\mathbf{v}_{\text{gcd}}^{\mathbf{A}}(a+1,b) \ge \frac{1}{4}\sqrt{\log_2\log_2 b}$$

and then applying the Basic Principle.

3. Lower bounds for recursive (McCarthy) programs

The value complexity $\mathbf{v}_{R}^{\mathbf{A}}(\vec{a}) = 0$ for every relation $R \subseteq A^{n}$, since $\chi_{R}(\vec{a}) \in G_{0}(\vec{a})$, and so the method of proof of Theorem A is useless for coprimeness. For this we need to make some more substantial assumptions about algorithms and it is not immediately obvious what these assumptions might be. So we follow a less direct route: first we will establish a lower bound for coprimeness for algorithms which are expressed by *recursive programs*, and then (perhaps using the insights gained by the proof) we will see how generally applicable this lower bound may be.

The programming language $L(\Phi) = L(\phi_1, \ldots, \phi_k)$ has

- individual variables v_0, v_1, \ldots ;
- individual constants 0, 1;
- (partial) function variables $p_0^n, p_1^n \dots$ of arity n, for every n; and
- (partial) function constants ϕ_1, \ldots, ϕ_k .

The terms of $L(\Phi)$ are defined as usual, except that we allow conditionals:

(
$$\Phi$$
-terms) $E :\equiv 0 \mid 1 \mid v_i \mid \phi_i(E_1, \dots, E_{n_i}) \mid p_i^n(E_1, \dots, E_n)$
 $\mid \text{ if } (E_0 = 0) \text{ then } E_1 \text{ else } E_2$

These are interpreted in a Φ -algebra **A** with respect to an assignment σ which associates with each individual variable v_i some $\sigma(v_i) \in A$ and each function variable p_i^n a partial function $\sigma(p_i^n) : A^n \rightharpoonup A$, as usual, but we must be careful in defining the denotation of the conditional:

den(if $(E_0 = 0)$ then E_1 else E_2, σ)

$$=\begin{cases} \operatorname{den}(E_1,\sigma), & \text{if } \operatorname{den}(E_0,\sigma) = 0, \\ \operatorname{den}(E_2,\sigma), & \text{if } \operatorname{den}(E_0,\sigma) \downarrow & \operatorname{den}(E_0,\sigma) \neq 0; \end{cases}$$

so if den $(E_0, \sigma) = 0$ and den $(E_1, \sigma) \downarrow$, then den $(if (E_0 = 0)$ then E_1 else $E_2, \sigma) \downarrow$, even if den $(E_2, \sigma) \uparrow$.³

A recursive (or McCarthy) Φ -program is a system of recursive equations⁴

(3)
$$\alpha : \begin{cases} p_0(\vec{x}) = E_0(\vec{x}, p_1, \dots, p_K) \\ p_1(\vec{x}_1) = E_1(\vec{x}_1, p_1, \dots, p_K) \\ \vdots \\ p_K(\vec{x}_K) = E_K(\vec{x}_n, p_1, \dots, p_K) \end{cases}$$

where only the indicated individual and function variables may occur in the Φ terms on the right; the first equation is the *head* of α (with *head symbol* p_0), while the remaining K equations comprise the *body* of α . The *arity* of α is the number of

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³Which is why the conditional construct cannot be defined as composition with some partial function c(x, y, z), see Footnote 2.

⁴These programs were introduced in [8], where it was shown that they yield a very simple and elegant characterization of the Turing computable functions on \mathbb{N} .

individual variables in the list $\vec{x} = (x_1, \ldots, x_n)$ of the head equation. For example, the Euclidean algorithm is expressed by the following $\{<, \text{rem}\}$ -program:

$$\varepsilon : \begin{cases} p_0(x,y) = \text{ if } (<(x,y)=0) \text{ then } p_1(x,y) \text{ else } p_1(y,x) \\ p_1(x,y) = \text{ if } (\operatorname{rem}(x,y)=0) \text{ then } y \text{ else } p_1(y,\operatorname{rem}(x,y)) \end{cases}$$

To interpret α in a Φ -algebra \mathbf{A} , we fist check that each term $E_i(\vec{x}_i, p_1, \dots, p_K)$ defines a monotone and continuous functional of its individual and partial function arguments, and then we invoke a simple, classical Fixed Point Theorem for such functionals which insures that (as a system of equations) α has a tuple $(\overline{p}_0, \dots, \overline{p}_K)$ of least solutions and set (in several useful, alternative notations),

$$\operatorname{den}^{\mathbf{A}}(\alpha) = \overline{\alpha}^{\mathbf{A}} = \overline{p}_0 : A^n \rightharpoonup A \quad (n = \operatorname{arity}(\alpha)).$$

For example, in the algebra $(\mathbb{N}, 0, 1, <, \text{rem})$, if $x, y \neq 0$, then $\overline{\varepsilon}(x, y) = \text{gcd}(x, y)$.

In the definition of programs we allow K = 0, in which case α is identified with its head term $E_0(\vec{x})$ —and so every Φ -term is also a program. In fact, many of the standard properties of Φ -terms can be extended to the more general Φ -programs, and this is the key to the derivation of lower bound results for these representations of algorithms.

An imbedding $\pi : \mathbf{B} \to \mathbf{A}$ from one Φ -algebra into another is any one-to-one mapping $\pi : B \to A$ such that $\pi(0) = 1$, $\pi(1) = 1$, and for every $\phi_i \in \Phi$ and all $x_1, \ldots, x_{n_i}, w \in B$:

$$\boldsymbol{\phi}_i^{\mathbf{B}}(x_1,\ldots,x_{n_i})=w\implies \boldsymbol{\phi}_i^{\mathbf{A}}(\pi(x_1),\ldots,\pi(x_{n_i}))=\pi(w).$$

If $\mathbf{B} \subseteq \mathbf{A}$ and the identity map is an imbedding, we call \mathbf{B} a (partial) subalgebra of \mathbf{A} and write $\mathbf{B} \subseteq_p \mathbf{A}$. Thus, for every m and all \vec{a} , $\mathbf{G}_m^{\mathbf{A}}(\vec{a}) \subseteq_p \mathbf{G}_{m+1}^{\mathbf{A}}(\vec{a})$.

We need these careful formulations of the standard notions because the givens may be partial, but with them, we can verify (very easily) the expected, standard results:

Lemma 1 (Imbedding). If $\pi : \mathbf{B} \to A$ is an imbedding of one Φ -algebra into another and α is a Φ -program, then

$$den^{\mathbf{B}}(\alpha)(x_1,\ldots,x_n) = w \implies den^{\mathbf{A}}(\alpha)(\pi(x_1),\ldots,\pi(x_n)) = \pi(w).$$

In particular, if $\mathbf{B} \subseteq_p \mathbf{A}$, then $\overline{\alpha}^{\mathbf{B}} = \overline{\alpha}^{\mathbf{A}} \upharpoonright B$.

Lemma 2 (Finiteness). Fix a Φ -program α and a Φ -algebra \mathbf{A} : if den $(\alpha)(\vec{a}) = w$, then there is some m such that $w \in G_m(\vec{a})$ & den^{$\mathbf{G}_m(\vec{a})(\alpha)(\vec{a}) = w$.}

This second lemma says (in effect) that the "computation" of den $(\alpha)(\vec{a})$ takes place in the subalgebra of some finite depth generated by \vec{a} . It leads directly to the following, natural complexity measure of a Φ -program α on a Φ -algebra **A**:

(4) If den^{**A**}(
$$\alpha$$
)(\vec{a}) = w, set

 $C^{\mathbf{A}}(\alpha)(\vec{a}) =$ the least m such that $den^{\mathbf{G}_{m}(\vec{a})}(\alpha)(\vec{a}) = w$.

This complexity measure is preserved by imbeddings and leads to

Lemma 3 (The Imbedding Test). Suppose **A** is a Φ -algebra, $f : A^n \to A$, and for some $\vec{a} \in A^n$ and some *m* there is an imbedding $\pi : \mathbf{G}_m^{\mathbf{A}}(\vec{a}) \to \mathbf{A}$ such that $\pi(f(\vec{a})) \neq f(\pi(\vec{a}))$; then for every Φ -program α which computes f in A,

$$C^{\mathbf{A}}(\alpha)(\vec{a}) > m.$$

Proof. If den^A(α)(\vec{a}) = w and $C^{\mathbf{A}}(\alpha)(\vec{a}) \leq m$, then den^{G_m(\vec{a})}(α)(\vec{a}) = w by the definition of the complexity and the Imbedding Lemma 1, and then by the same Lemma, $f(\pi(\vec{a})) = \text{den}^{\mathbf{A}}(\alpha)(\pi(\vec{a})) = \pi(w)$, which contradicts the hypothesis. \Box

Theorem B₂ ([4]). For every recursive program α which decides the coprimeness relation \perp in the algebra

$$\mathbf{A} = (\mathbb{N}, 0, 1, +, -, <, =, \text{ iq, rem}),$$

there are infinitely many pairs (a, b) such that a > b > 1 and

$$C^{\mathbf{A}}(\alpha)(a,b) > \frac{1}{10}\log_2\log_2 a;$$

in fact the inequality holds for all a > b > 1 such that

$$a \perp b and \left| \frac{a}{b} - \sqrt{2} \right| < \frac{1}{b^2}$$

(including all solutions (a, b) of Pell's equation).

Method of proof. To apply the Imbedding Test, it is enough to show that if (a, b) satisfy the hypothesis and $m \leq \frac{1}{10} \log_2 \log_2 a$, then there is a $\lambda > 1$ and an imbedding $\pi : \mathbf{G}_m(a, b) \to \mathbf{A}$ such that $\pi(a) = \lambda a$ and $\pi(b) = \lambda b$. This is done by showing first that (under the hypothesis) each $x \in G_m(a, b)$ can be expressed uniquely in the form

$$x = \frac{x_0 + x_1 a + x_2 b}{x_3}$$

with sufficiently small $x_i \in \mathbb{Z}$, and then choosing λ so that the map

$$\pi(x) = \frac{x_0 + x_1\lambda a + x_2\lambda b}{x_3} \quad (x \in G_m(a, b))$$

is an imbedding.

The detailed proof uses only minimal number theory—basically Liouville's Theorem, c.f. [5]—and it is very general. It can be adjusted to derive lower bounds for recursive programs which decide many interesting relations on \mathbb{N} from natural givens, see [4, 3, 1].

4. Logical extensions and widely applicable lower bounds

Theorem B_2 does not yield immediately a lower bound for Random Access Machines which decide the coprimeness relation from +, -, <, =, iq, rem, because the simulation of RAMs by recursive programs has an "overhead", cf. the article by van Emde Boas in [11]. The imbedding method, however, can be extended to yield very widely applicable lower bounds, as follows.

Suppose first that $A \subseteq B$ and

$$\mathbf{A} = (A, 0, 1, \phi_1, \dots, \phi_k), \quad \mathbf{B} = (B, 0, 1, \phi_1, \dots, \phi_k, \psi_1, \dots, \psi_l)$$

are algebras, where we view each ϕ_i as a partial function on B, defined only when all its arguments are in A. We call **B** a *logical extension* of A if every permutation $\pi: A \rightarrow A$ such that $\pi(0) = 0, \pi(1) = 1$ has an extension $\pi^B: B \rightarrow B$ which is an automorphism for all the "fresh givens" of **B**, i.e.,

$$\pi^{B}(\psi_{j}(x_{1},\ldots,x_{m})) = \psi_{j}(\pi^{B}(x_{1}),\ldots,\pi^{B}(x_{n})) \quad (j=1,\ldots,l,x_{1},\ldots,x_{m}\in B).$$

It is quite easy to verify that every standard computation model relative to some functions Φ on a set A—Turing machine, RAM, etc.—can be *faithfully represented*

by a recursive program on some logical extension **B** of $(A, 0, 1, \Phi)$, so that, in particular, its time complexity is no smaller than the $C^{\mathbf{B}}$ complexity of the recursive program which represents it.

Suppose next that **A** is a Φ -algebra and $f: A^n \to A$ is such that

(5)
$$f(\vec{x}) \in G_{\infty}(\vec{a}) \quad (\vec{a} \in A^n)$$

According to the Basic Principle, this condition is satisfied by every function which is computed by an algorithm from the givens of **A**. We say that an imbedding $\pi : \mathbf{G}_m(\vec{a}) \rightarrow \mathbf{A}$ respects f at \vec{a} if

$$f(\vec{a}) \in G_m(\vec{a}) \& \pi(f(\vec{a})) = f(\pi(\vec{a})),$$

and we define the **imbedding complexity** of f in \mathbf{A} by

(6) $\imath_f^{\mathbf{A}}(\vec{a}) = \text{the least } m \text{ such that every } \pi : \mathbf{G}_m^{\mathbf{A}}(\vec{a}) \to \mathbf{A} \text{ respects } f \text{ at } \vec{a}.$

Theorem 4 (van den Dries, YNM, Itay Neeman). If $f : A^n \to A$ and some recursive program α computes f on a logical extension **B** of **A**, then (5) holds, $\iota_f^{\mathbf{A}}(\vec{a})$ is defined for every $\vec{a} \in A^n$, and

$$\imath_f^{\mathbf{A}}(\vec{a}) \le C^{\mathbf{B}}(\alpha)(\vec{a})$$

And a judicious combination of the proofs of this Theorem and Theorem B_2 gives the most general version of the lower bound result for coprimeness which we have been using as our basic example:

Theorem B. If
$$\mathbf{A} = (\mathbb{N}, 0, 1, +, -, <, =, \text{ iq, rem}), a \perp b and \left| \frac{a}{b} - \sqrt{2} \right| < \frac{1}{b^2},$$

then

$$\imath_{\text{gcd}}^{\mathbf{A}}(a,b) > \frac{1}{10} \log_2 \log_2 a,$$

so that for every recursive program β which decides coprimeness in some logical extension **B** of **A**, $C^{\mathbf{B}}(\beta)(a,b) > \frac{1}{10} \log_2 \log_2 a$.

One can give arguments in favor of a Church-Turing Thesis for algorithms, by which every algorithm from given functions and relations Φ on some set A can be faithfully represented by a recursive program in some logical extension **B** of $(A, 0, 1, \Phi)$. This would then remove the "vague" qualification from Theorem B₁. Whatever the value of such foundational arguments, however, the lower bound of Theorem B applies to the time complexities of all known computation models. The method can also be used to establish very generally applicable lower bounds from various givens for many relations on \mathbb{N} , including "a is prime", "a is a perfect square" or "square-free", the Jacobi symbol $(\frac{a}{n})$, etc., cf. [3, 4, 1].

Relevant results (by different methods) in the literature can be found in [7, 6, 9]. In these papers, however, multiplication is included among the givens, and so their results are not directly comparable to the theorems we analyzed here—except for van den Dries' Theorem A, which gives a better lower bound than that in [6].

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