



DATA
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Two Examples of Submodularity in Wireless Communications

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13 June 2017

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Submodularity



- a property of functions defined on lattice [1]¹ [2]².
 - ▶ **lattice**: fundamental algebraic structure on partial order.
- applications: economics, machine learning, operations research.

Study on Machine Learning in [3]³:

Submodularity imposes a structure which allows much stronger mathematical results than we would be able to achieve without it.

- submodularity on
 - ▶ **vector lattice**: discrete convexity and comparative statics
 - ▶ **set lattice**: combinatorial optimization, e.g., in graph theory

¹Topkis 2001

²Murota 2005

³Vondrak 2007

Lattice



Poset

For a set \mathcal{L} and a binary order \preceq , (\mathcal{L}, \preceq) is a *poset* (partially ordered set) if either $a \preceq b$ or $a \not\preceq b, \forall a, b \in \mathcal{L}$.

examples: (\mathbb{R}^N, \leq) , $(\{1, \dots, 4\}^N, \leq)$, $(2^V, \subseteq)$ and $(\{\{1\}, \{1, 2\}, \{3\}\}, \subseteq)$

Lattice

A poset (\mathcal{L}, \preceq) is a *lattice* with notation $(\mathcal{L}, \vee, \wedge)$ if $a \vee b = \sup\{a, b\} \in \mathcal{L}$ and $a \wedge b = \inf\{a, b\} \in \mathcal{L}, \forall a, b \in \mathcal{L}$ with sup and inf w.r.t. \preceq

- maximum $\bigvee \mathcal{L} = \sup \mathcal{L}$ and minimum $\bigwedge \mathcal{L} = \inf \mathcal{L}$ exist;

examples: $(\mathbb{R}^N, \vee, \wedge)$, $(\{1, \dots, 4\}^N, \vee, \wedge)$ with $\mathbf{r} \vee \mathbf{r}' = (\max\{r_i, r'_i\} : i \in \{1, \dots, N\})$ and $\mathbf{r} \wedge \mathbf{r}' = (\min\{r_i, r'_i\} : i \in \{1, \dots, N\})$; $(2^V, \cup, \cap)$ and $(\{\{1\}, \{1, 2\}\}, \cup, \cap)$

Submodular Function



Submodularity

$f : (\mathcal{L}, \vee, \wedge) \mapsto \mathbb{R}$ is *submodular* if

$$f(a) + f(b) \geq f(a \vee b) + f(a \wedge b), \quad \forall a, b \in \mathcal{L}.$$

f is supermodular if $-f$ is submodular.

Tarski Fixed Point Theorem



N-player game model $\Omega = \{\mathcal{N}, \{\mathcal{A}_i, c_i(\mathbf{a})\}_{i \in \mathcal{N}}\}$ with $\mathbf{a} \in \mathcal{A} = \times_{i \in \mathcal{N}} \mathcal{A}_i \subseteq \mathbb{R}^N$:

- **pure strategy Nash equilibrium (PSNE)**: *best response function* $\psi: \mathcal{A} \mapsto \mathcal{A}$ with $a_i \in \mathcal{A}_i$, $\mathbf{a}_{-i} \in \times_{i' \in \mathcal{N} \setminus \{i\}} \mathcal{A}_{i'}$ and

$$\psi_i(\mathbf{a}_{-i}) \in \arg \min \{c_i(a_i, \mathbf{a}_{-i}) : a_i \in \mathcal{A}_i\}, \quad \forall i \in \mathcal{N}.$$

\mathbf{a}^* is an PSNE if $\mathbf{a}^* = \psi(\mathbf{a}^*)$, i.e., \mathbf{a}^* is a fixed point of ψ .

- **question: PSNE exists for discrete \mathcal{A} ?** supermodular game with strategic complements: $\psi: (\mathcal{A}, \vee, \wedge) \mapsto (\mathcal{A}, \vee, \wedge)$ is non-decreasing if c_i is submodular $\forall i$.

Tarski Fixed Point Theorem [4]⁴

The fixed points of non-decreasing $\psi: (\mathcal{A}, \vee, \wedge) \mapsto (\mathcal{A}, \vee, \wedge)$ form a (nonempty) lattice.

⁴Tarski *et. al* 1955

Submodular (Set) Function Minimization



For $f: (2^V, \cup, \cap) \mapsto \mathbb{R}$, consider

$$\min\{f(X): X \subseteq V\} \quad (1)$$

combinatorial optimization: NP-complete or NP-hard in general

SFM (submodular function minimization) algorithm

If f is submodular, i.e.,

$$f(X) + f(Y) \geq f(X \cup Y) + f(X \cap Y), \quad \forall X, Y \subseteq V,$$

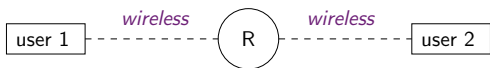
(1) can be solved in polynomial time and the minimizers form a lattice: $\bigcup \operatorname{argmin}\{f(X): X \subseteq V\}$ and $\bigcap \operatorname{argmin}\{f(X): X \subseteq V\}$ exist [5]⁵.

⁵Fujishige 2005

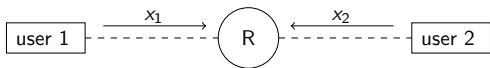
Adaptive Modulation in Network-coded Two-way Relay Channel



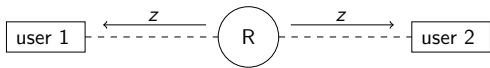
network-coded two-way relay channel (NC-TWRC): two users communicate via a center node, relay 'R'.



physical-layer network coding (PNC): messages x_1 and x_2 transmitted simultaneously in phase I, the superposition z broadcast in phase II.



phase I: multiple access (MAC)



phase II: amplify and forward (AF)

Adaptive Modulation in NC-TWRC



assumption: m -quadrature amplitude modulation (m -QAM) adopted by each user:

- constellation size $m_i = 2^{a_i}$ of user i with $a_i \in \{0, 1, \dots\}$, the number of bits/symbol, determined by user i

Strategic Complements

increasing best response:

- spectral efficiency: one tends to transmit while the other does so
- equal share of the channel: one increases a_i while the other $-i = \{1, 2\} \setminus \{i\}$ does so

proposal: two-player game model parameterized by user-to-user channel signal-to-noise ratios (SNRs)

Two-player Game Model



$$\Omega_{\gamma} = \{\mathcal{N}, \Gamma, \{\mathcal{A}_i, c_i(\gamma_i, \mathbf{a})\}_{i \in \mathcal{N}}\}:$$

- $\mathcal{N} = \{1, 2\}$;
- $\gamma = (\gamma_1, \gamma_2) \in \Gamma = \Gamma_1 \times \Gamma_2$ with $\gamma_i \in \Gamma_i$ being SNR of user i -to-user $-i$ channel determined by PNC scheme;
- $\mathbf{a} = (a_1, a_2) \in \mathcal{A} = \mathcal{A}_1 \times \mathcal{A}_2 = \{0, 1, \dots, A_m\}^2$ with A_m being the maximum number of bits/symbol
- cost function: $c_i : \Gamma_i \times \mathcal{A} \mapsto \mathbb{R}_+$

$$c_i(\gamma_i, \mathbf{a}) = c_e(\gamma_i, a_i) + c_r(\mathbf{a})$$

with the cost associated with transmission error rate

$$c_e(\gamma_i, a_i) = \frac{-\ln(5\bar{P}_b)(2^{a_i} - 1)}{1.5\gamma_i}$$

and the cost associated with spectral efficiency and fairness

$$c_r(\mathbf{a}) = \frac{a_{-i} + 1}{a_i + 1}$$

Pure Strategy Nash Equilibrium (PSNE)



Submodularity

$c_i: (\mathcal{A}, \vee, \wedge) \mapsto \mathbb{R}_+$ is submodular, i.e.,

$$c_i(\gamma_i, \mathbf{a}) + c_i(\gamma_i, \mathbf{a}') \geq c_i(\gamma_i, \mathbf{a} \vee \mathbf{a}') + c_i(\gamma_i, \mathbf{a} \wedge \mathbf{a}'),$$

for all $\mathbf{a}, \mathbf{a}' \in (\mathcal{A}, \vee, \wedge)$, $i \in \mathcal{N}$ and $\gamma \in \Gamma$.

Tarski Fixed Point Theorem \implies Existence of PSNE

Pure strategy $\boldsymbol{\theta}: \Gamma \mapsto \mathcal{A}$, where $\boldsymbol{\theta}(\gamma) = (\theta_1(\gamma), \theta_2(\gamma))$ with $\theta_i(\gamma) \in \mathcal{A}_i$ being the pure strategy of user i when SNRs are $\gamma = (\gamma_1, \gamma_2)$:

- PSNE $\boldsymbol{\theta}^*$ exists
- The largest PSNE $\bar{\boldsymbol{\theta}}^*$ and the smallest PSNEs $\underline{\boldsymbol{\theta}}^*$ exist

Cournot Tatonnement

determine extremal PSNEs: Cournot tatonnement [6]⁶



- Let $\bar{\psi}: \Gamma \times \mathcal{A} \mapsto \mathcal{A}$ and $\underline{\psi}: \Gamma \times \mathcal{A} \mapsto \mathcal{A}$ be the maximal and minimal best response functions, respectively, with

$$\bar{\psi}_i(\gamma, a_{-i}) = \bigvee \arg \min_{a_i \in \mathcal{A}_i} c_i(\gamma_i, a_i, a_{-i})$$

$$\underline{\psi}_i(\gamma, a_{-i}) = \bigwedge \arg \min_{a_i \in \mathcal{A}_i} c_i(\gamma_i, a_i, a_{-i})$$

- recursions with $\bar{\theta}^{(0)}(\gamma) = \bigvee \mathcal{A}$ and $\underline{\theta}^{(0)}(\gamma) = \bigwedge \mathcal{A}$:

$$\bar{\theta}(\gamma) := \bar{\psi}(\gamma, \bar{\theta}(\gamma))$$

$$\underline{\theta}(\gamma) := \underline{\psi}(\gamma, \underline{\theta}(\gamma))$$

Convergence

$\{\bar{\theta}^{(k)}(\gamma)\}$ and $\{\underline{\theta}^{(k)}(\gamma)\}$ converge monotonically downward and upward to $\bar{\theta}^*(\gamma)$ and $\underline{\theta}^*(\gamma)$, respectively, for all γ .

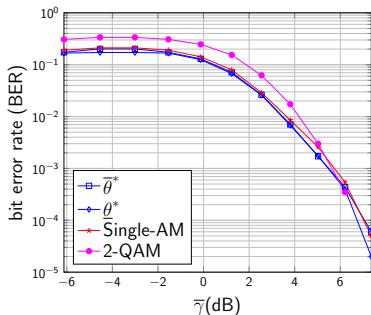
⁶Vives 1990

Experiment I

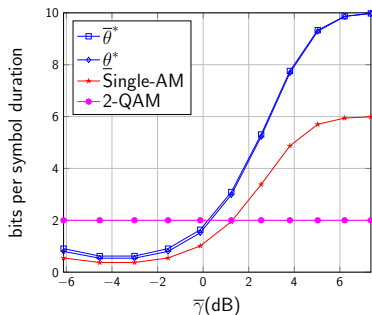


performance of extremal PSNEs:

$\mathcal{A} = \{0, 1, \dots, 9\}^2$ and simulation lasts for 10^4 symbol durations:
extremal PSNEs $\bar{\theta}^*$ and $\underline{\theta}^*$ are compared to the single-agent adaptive modulation (Single-AM) and 2-QAM scheme.



(a) bit error rate (BER)



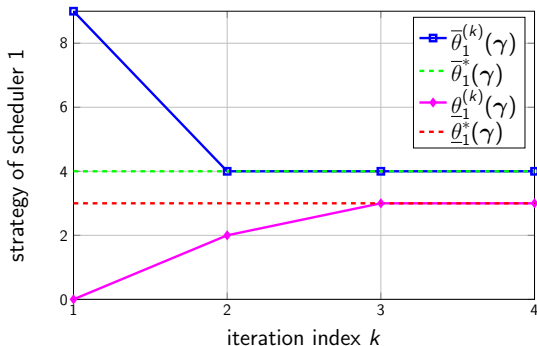
(b) spectral efficiency

Experiment II



example of Cournot tatonnement

$\mathcal{A} = \{0, 1, \dots, 9\}^2$ and the sequences $\{\bar{\theta}_1^{(k)}(\gamma)\}$ and $\{\underline{\theta}_1^{(k)}(\gamma)\}$ generated by Cournot tatonnement for certain γ



Communication for Omniscience



indices of users: a finite *ground set* V with $|V| > 1$

discrete correlated random source: $Z_V = (Z_i : i \in V)$

- user i observes an i.i.d. n -sequence Z_i^n of Z_i in private

communication for omniscience (CO) [7]⁷:

- users exchange Z_i s directly over noiseless broadcast channels
- goal: attain omniscience, the state that each user recovers Z_V^n

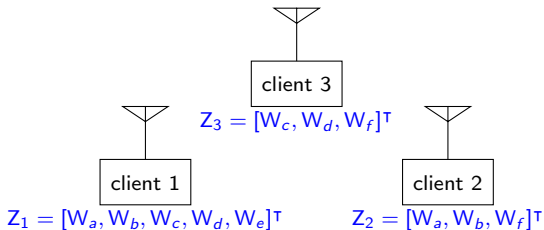
Minimum Sum-rate Problem

how to attain omniscience with $R_{CO}(V)$, the *minimum total number of transmissions*: value of $R_{CO}(V)$ and an optimal rate vector

$$\mathbf{r}_V^* = (r_i^* : i \in V)$$

⁷Csiszar *et. al* 2004: CO formulated based on the study on secret capacity

Example: Coded Cooperative Data Exchange (CCDE)



3-mobile clients in $V = \{1, 2, 3\}$; Z_i : partial observation of a packet set with W_j denoting a packet

Solutions to Minimum Sum-rate Problem

$R_{CO}(V) = \frac{7}{2}$ and $\mathbf{r}_V^* = (r_1^*, r_2^*, r_3^*) = (\frac{5}{2}, \frac{1}{2}, \frac{1}{2})$: by packet-splitting $W_j \implies W_j^{(1)}, W_j^{(2)}$; transmit $(r_1, r_2, r_3) = (5, 1, 1)$ with r_i denote the number of linear combinations of packet chunks $W_j^{(k)}$.

Omniscience-achievability



For $X \subseteq V$: $r(X) = \sum_{i \in X} r_i$ for $\mathbf{r}_V = (r_i : i \in V)$

$H(X)$: the amount of randomness in Z_X measured by Shannon entropy

Omniscience-achievability [7]⁸

An omniscience-achievable \mathbf{r}_V satisfies the Slepian-Wolf (SW) constraint:
 $r(X) \geq H(X|V \setminus X) = H(V) - H(V \setminus X), \forall X \subsetneq V$.

achievable rate vector set:

$$\mathcal{R}(V) = \{\mathbf{r}_V \in \mathbb{R}^{|V|} : r(X) \geq H(X|V \setminus X), \forall X \subsetneq V\}$$

minimum sum-rate:

$$R_{\text{CO}}(V) = \min\{r(V) : \mathbf{r}_V \in \mathcal{R}(V)\}$$

constant sum-rate set: $\mathcal{R}_\alpha(V) = \{\mathbf{r}_V \in \mathcal{R}(V) : r(V) = \alpha\}$

optimal rate vector set: $\mathcal{R}_{R_{\text{CO}}(V)}(V)$

⁸Csiszár *et. al* 2004

Nonemptiness of Base Polyhedron



For $\alpha \in \mathbb{R}_+$, let

$$f_\alpha(X) = \begin{cases} H(X|V \setminus X) & X \subsetneq V \\ \alpha & X = V \end{cases}$$

polyhedron: $P(f_\alpha, \geq) = \{\mathbf{r}_V \in \mathbb{R}^{|V|} : r(X) \geq f_\alpha(X), \forall X \subseteq V\}$

base polyhedron: $B(f_\alpha, \geq) = \{\mathbf{r}_V \in P(f_\alpha, \geq) : r(V) = f_\alpha(V) = \alpha\}$

- $B(f_\alpha, \geq) = \mathcal{R}_\alpha(V) \neq \emptyset \iff \exists$ achievable \mathbf{r}_V with $r(V) = \alpha$

dual set function: $f_\alpha^\#(X) = f_\alpha(V) - f_\alpha(V \setminus X)$

- $B(f_\alpha, \geq) = B(f_\alpha^\#, \leq)$ [5]⁹;

why consider $B(f_\alpha^\#, \leq)$? $f_\alpha^\#$ is *intersecting submodular*, i.e.,

$$f_\alpha^\#(X) + f_\alpha^\#(Y) \geq f_\alpha^\#(X \cup Y) + f_\alpha^\#(X \cap Y), \quad \forall X, Y: X \cap Y \neq \emptyset.$$

⁹Fujishige 2005

Minimum Sum-rate



$\Pi(V)$: the set of all partitions of V and $\Pi'(V) = \Pi(V) \setminus \{V\}$
achievability of α : $B(f_\alpha^\#, \leq) \neq \emptyset$ iff $\alpha = \min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_\alpha^\#(C)$ [5]¹⁰

Minimum Sum-rate

$R_{CO}(V) = \max_{\mathcal{P} \in \Pi'(V)} \phi(\mathcal{P})$ with the finest maximizer \mathcal{P}^* . Here,

$$\phi(\mathcal{P}) = \sum_{C \in \mathcal{P}} \frac{H(V \setminus C|C)}{|\mathcal{P}| - 1}.$$

interpretation: $\forall C \in \mathcal{P}$, the cut $\{C, V \setminus C\}$ imposes SW constraint $r(V \setminus C) \geq H(V \setminus C|C)$ so that

$$\sum_{C \in \mathcal{P}} r(V \setminus C) = (|\mathcal{P}| - 1)r(V) \geq \sum_{C \in \mathcal{P}} H(V \setminus C|C)$$

A multi-way cut $\mathcal{P} \in \Pi'(V)$ imposes $r(V) \geq \phi(\mathcal{P})$.

¹⁰Fujishige 2005: $\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_\alpha^\#(C)$ is called the *Dilworth truncation* of $f_\alpha^\#$.

Principal Sequence of Partitions



Principal Sequence of Partitions (PSP) [8]¹¹:

$\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha}^{\#}(C)$ is a piecewise linear increasing curve in α that is fully characterized by $p \leq |V| - 1$ critical points

$$H(V) = \alpha_0 > \alpha_1 > \alpha_2 > \dots > \alpha_p \geq 0.$$

Let \mathcal{P}_j be the finest minimizer of $\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha}^{\#}(C)$.

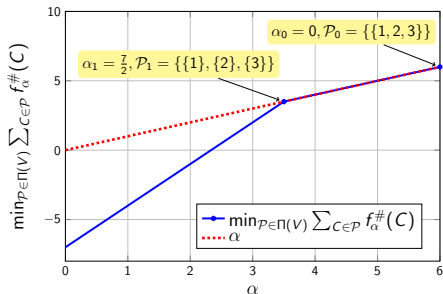
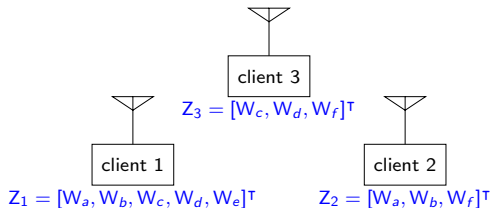
$$\mathcal{P}_0 \succ \mathcal{P}_1 \succ \mathcal{P}_2 \succ \dots \succ \mathcal{P}_p$$

where $\mathcal{P} \succ \mathcal{P}'$ denotes \mathcal{P}' is strictly finer than \mathcal{P} .

The first critical point determines the solutions to the minimum sum-rate problem: $R_{CO}(V) = \alpha_1, \mathcal{P}^* = \mathcal{P}_1$.

¹¹Nagano *et. al* 2010

Example of PSP



PSP results:

$\alpha_0 > \alpha_1$ and $\mathcal{P}_0 \succ \mathcal{P}_1$:

- No omniscience-achievable r_V if $\alpha < \alpha_1$, because $\alpha \neq \min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha}^{\#}(C)$;
- $R_{CO}(V) = \alpha_1$ and $\mathcal{P}^* = \{\{1\}, \{2\}, \{3\}\} = \mathcal{P}_1$

Properties of $\phi(\mathcal{P})$ in PSP



α_j and \mathcal{P}_j :

- If $j = 1$, $\alpha_j = \phi(\mathcal{P}_j)$;
- When $j > 1$, let $\alpha = \phi(\mathcal{P}_j)$ and $\mathcal{P}_{j'}$ be the finest minimizer of $\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha}^{\#}(C)$. Then,

$$\alpha_j < \alpha < \alpha_1$$

$$j' < j \implies \mathcal{P}_{j'} \succ \mathcal{P}_j$$

Suggestion: A Recursive Algorithm

- iteratively updates α and \mathcal{P} , the estimation of $\alpha_1 = R_{CO}(V)$ and $\mathcal{P}^* = \mathcal{P}_1$;
- terminate when $\alpha = \phi(\mathcal{P})$.

Modified Decomposition Algorithm



recursion in modified decomposition algorithm (MDA):

$$\alpha := \phi(\mathcal{P})$$

$\mathcal{P}^{(n)}$ is the finest minimizer of $\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha^{(n)}}^{\#}(C)$ and
 $\mathcal{P}^{(0)} = \{\{i\} : i \in V\}$

Optimality of the MDA algorithm

$\{\alpha^{(n)}\}$ and $\{\mathcal{P}^{(n)}\}$ converge monotonically towards $\alpha_1 = R_{\text{CO}}(V)$ and $\mathcal{P}_1 = \mathcal{P}^*$, respectively. Also returns $\mathbf{r}_V \in B(f_{R_{\text{CO}}(V)}^{\#}, \leq) = \mathcal{R}_{R_{\text{CO}}(V)}(V)$

- $\min_{\mathcal{P} \in \Pi(V)} \sum_{C \in \mathcal{P}} f_{\alpha^{(n)}}^{\#}(C)$ reduces to $\bigcap \text{argmin}\{f_{\alpha^{(n)}}^{\#}(X) - r(X) : i \in X \subseteq V\}, \forall i \in V$, SFM due to the intersecting submodularity of $f_{\alpha^{(n)}}^{\#}$
- **complexity:** $O(|V|^2 \cdot \text{SFM}(|V|))^{12}$

¹²SFM($|V|$): the complexity of minimizing submodular function $f : 2^V \mapsto \mathbb{R}$.

Experiment



$V = \{1, \dots, 5\}$: W_m is an independent uniformly distributed random bit:

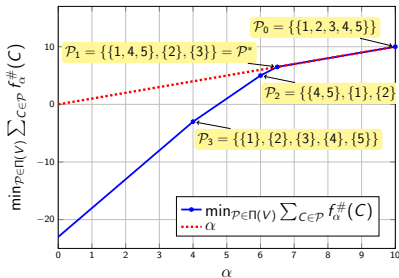
$$Z_1 = (W_b, W_c, W_d, W_h, W_i),$$

$$Z_2 = (W_e, W_f, W_h, W_i),$$

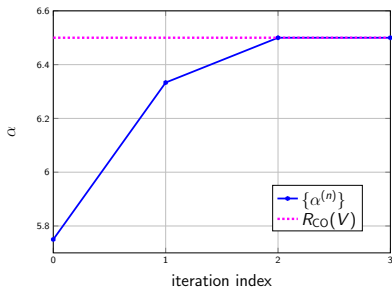
$$Z_3 = (W_b, W_c, W_e, W_j),$$

$$Z_4 = (W_a, W_b, W_c, W_d, W_f, W_g, W_i, W_j),$$

$$Z_5 = (W_a, W_b, W_c, W_f, W_i, W_j),$$



(c) PSP



(d) $\{\alpha^{(n)}\}$ by MDA algorithm

Extensions of CO: Secret Capacity



secret capacity $\mathcal{C}_S(V)$: the maximum rate at which the secret key can be generated by the users in V with results in [7]¹³:

- dual relationship: $R_{\text{CO}}(V) = H(V) - \mathcal{C}_S(V)$
- mutual dependence upper bound on $\mathcal{C}_S(V)$:

$$\mathcal{C}_S(V) \leq I(V) = \underbrace{\min_{\mathcal{P} \in \Pi'(V)} \frac{\sum_{C \in \mathcal{P}} H(C) - H(V)}{|\mathcal{P}| - 1}}_{\text{mutual dependence in } Z_V}$$

tightness [9]¹⁴: $\mathcal{C}_S(V) = I(V) = H(V) - R_{\text{CO}}(V)$

question: how to achieve $\mathcal{C}_S(V)$? with interactive communication rate $r(V) = R_{\text{CO}}(V)$? silly! $\mathcal{C}_S(V)$ can be attained with $r(V) \leq R_{\text{CO}}(V)$ [7]

¹³Csiszár et. al 2004

¹⁴Chan et. al 2015

Extensions of CO: Clustering



Inspired by the name 'mutual dependence'

$$I(V) = \min_{\mathcal{P} \in \Pi'(V)} \frac{\sum_{C \in \mathcal{P}} H(C) - H(V)}{|\mathcal{P}| - 1}$$

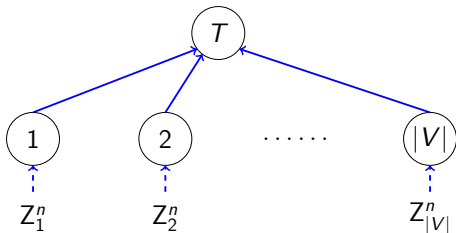
is proposed in [9]¹⁵ as a **generalization of Shannon's mutual information** to multivariate case: $I(V) = H(\{1\}) + H(\{2\}) - H(\{1, 2\})$ when $V = \{1, 2\}$.

- **realization**: $I(V)$ is the similarity measure of more than two rvs.
 - ▶ **limitation** in existing clustering algorithms: pairwise similarity/dissimilarity measure
 - ▶ **agglomerative clustering result** given by PSP determined in $O(|V|^2 \cdot \text{SFM}(|V|))$ time

question: can PSP clustering frame work provide more objective overview of the dataset?

¹⁵Chan *et. al* 2015

Extensions of CO (Digiscape): Source Coding with Side Information



sensor nodes $i \in V = \{1, \dots, |V|\}$ reveal all information to sink T .

- for lossless data compression/aggregation, SW constraints:

$$r(X) \geq H(X|V \setminus X), \forall X \subsetneq V, r(V) = H(V) \implies \mathcal{R}_{H(V)}(V)$$

- an extreme, one of the unfairest, $\mathbf{r}_V \in \mathcal{R}_{H(V)}(V)$ can be determined in $O(|V|)$ time

Conclusion



two examples of submodularity in wireless communications:








- vector lattice: the existence of PSNEs in a game modeled adaptive modulation problem in NC-TWRC
- set lattice: polynomial time algorithm for solving CO problem

future:

- vector lattice: more applications of discrete convexity, e.g., the energy-delay trade-off in data aggregation tree in Digiscape, and monotone comparative statics
- set lattice: improving efficiency for determining PSP
 - ▶ less call of SFM algorithm
 - ▶ improving complexity $\text{SFM}(|V|)$: SFM belongs to worst polynomial algorithm category, e.g., $|V|^5$ to $|V|^8$



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