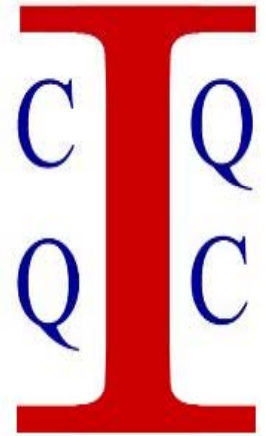




# Quantum Key Distribution (QKD): Assumptions and Detection Efficiency Loophole



Hoi-Kwong Lo

*Center for Quantum Information and Quantum Control (CQIQC)*

*Department of Electrical & Computer Engineering*

*and Department of Physics*

University of Toronto

KITP, UC Santa Barbara, Oct. 28, 2009

# People in my Group

- Principle Investigator
  - Hoi-Kwong Lo
- Senior Research Associate
  - Bing Qi
- Grad Students
  - Viacheslav Burenkov
  - Yuemeng Chi
  - Wei Cui
  - Wolfram Helwig
  - Kero Lau
  - Feihu Xu
  - Yi Zhao
- Collaborators
  - Prof. Li Qian
  - ...
  - ...



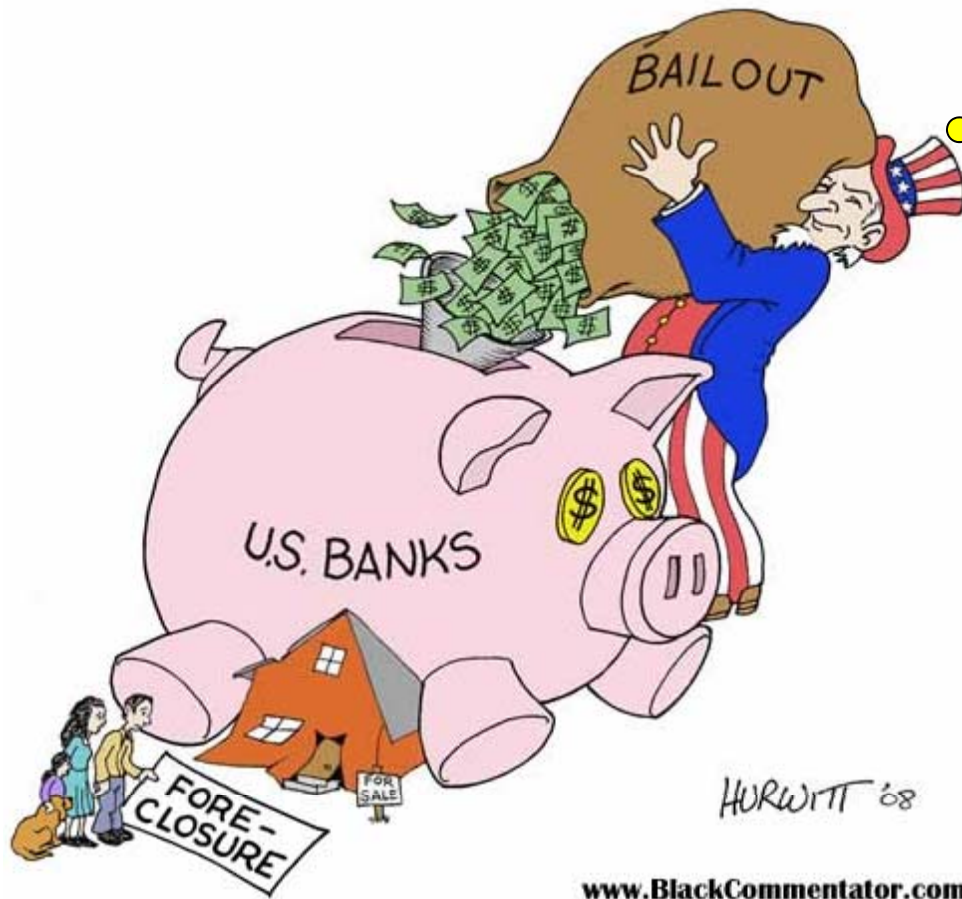
Theory



Experiment

\*\*I thank Yi Zhao and Bing Qi for preparing most of the slides.

Shall I  
(really) use  
QKD?



[www.BlackCommentator.com](http://www.BlackCommentator.com)

# Outline

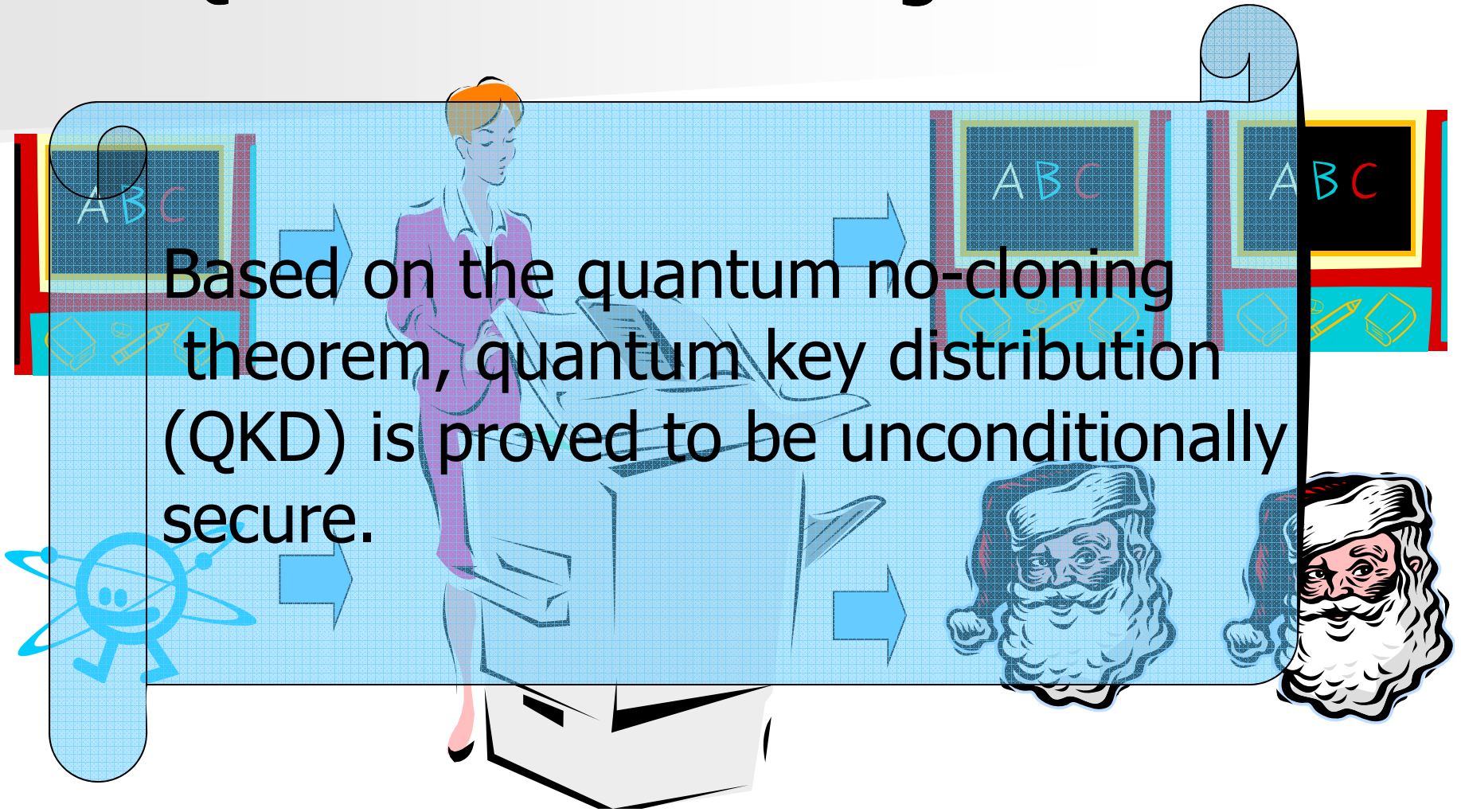
- Introduction
- Assumptions and Security
  - Assumptions: single mode, phase randomization, ...
  - Security: untrusted source, Trojan horse, ...
- Side channels
  - Detection efficiency loophole
- Future Directions

# Outline

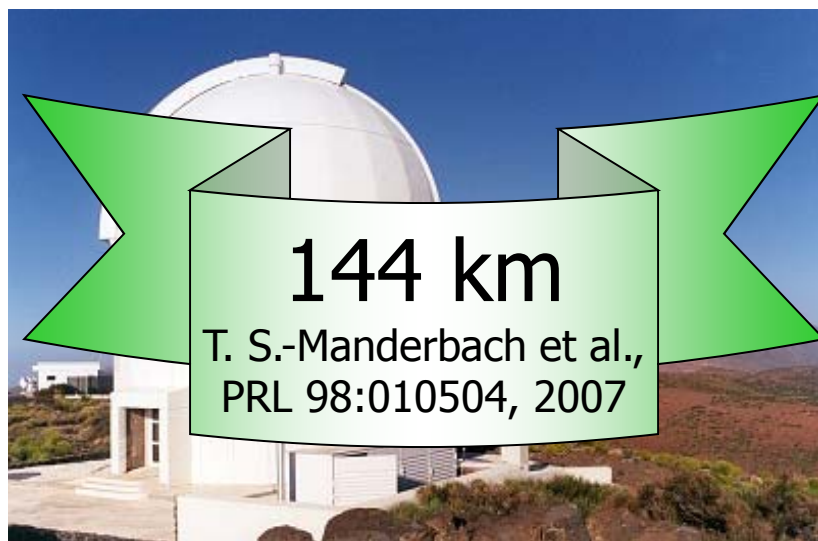
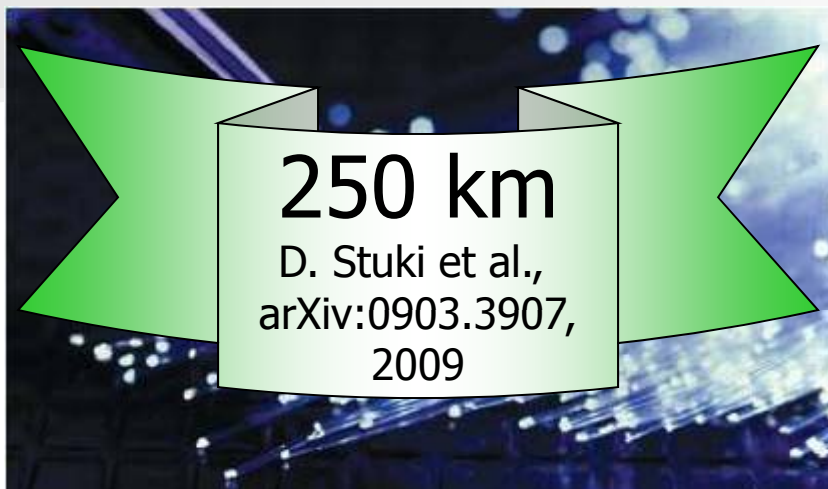
- Introduction
- Assumptions and Security
  - Assumptions: single mode, phase randomization, ...
  - Security: untrusted source, Trojan horse, ...
- Side channels
  - Detection efficiency loophole
- Future Directions

# Quantum No-cloning Theorem

Based on the quantum no-cloning theorem, quantum key distribution (QKD) is proved to be unconditionally secure.



# Quantum Cryptography: Today and Tomorrow



# Commercial Quantum Crypto products available on the market Today!



MAGIQ TECH.

Distance over 100 km of commercial Telecom fibers.



ID QUANTIQU



SmartQuantum : One Of the best **IPO** on the NYSE-Euronext Marché Libre of 2007



# Swiss election uses quantum cryptography

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Quantum cryptography

## Heisenberg's certainty principle

Oct 18th 2007

From *The Economist* print edition

**The Swiss are using quantum theory to make their election more secure**

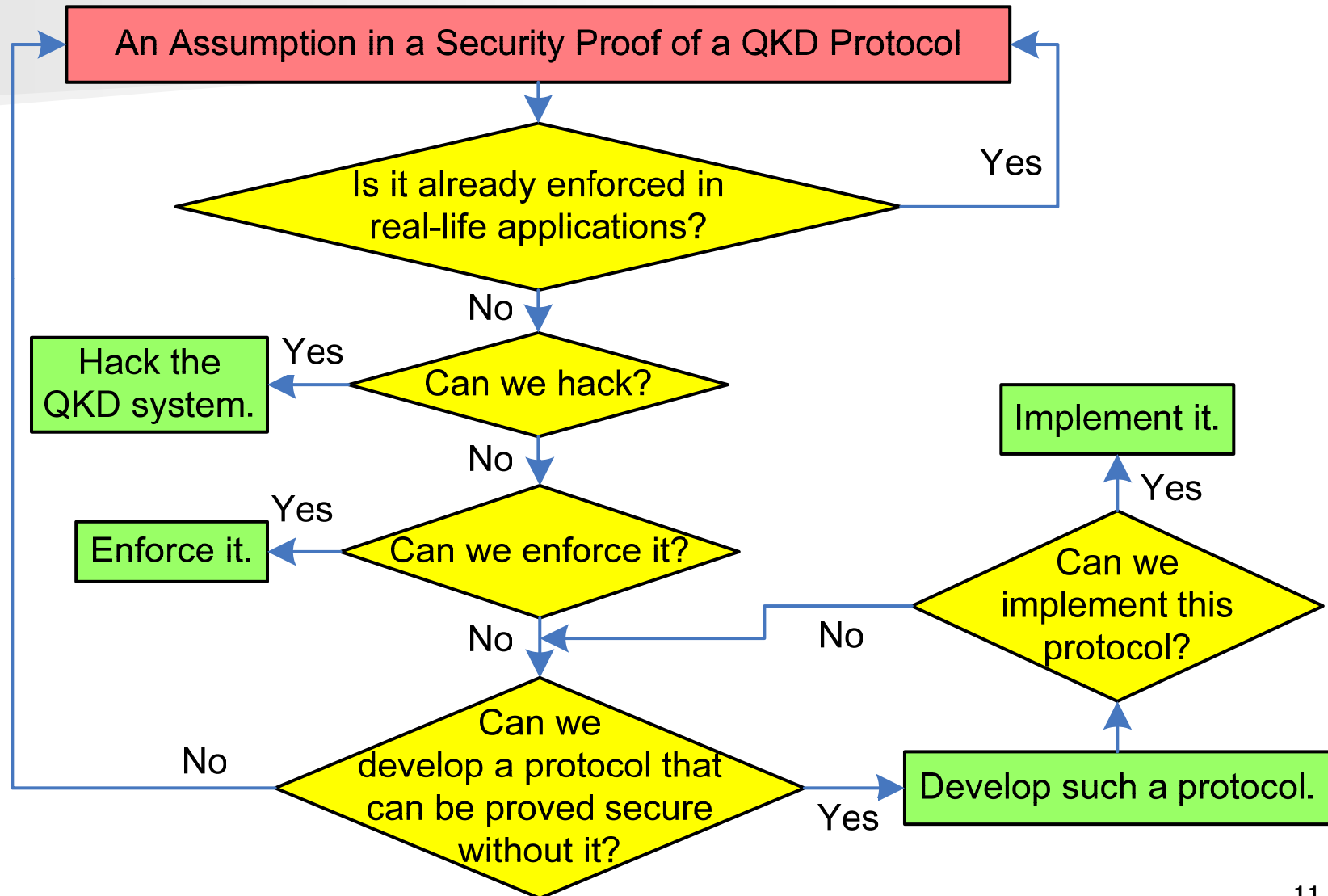
HANGING chads. Ballot stuffing. Gerrymandering. Such dirty tricks enfeeble democracy. But the security of the votes cast in Geneva during Switzerland's general election on October 21st is guaranteed. The authorities will use quantum cryptography—a way to transmit information that detects eavesdroppers and errors almost immediately—to ensure not only that votes are kept secret but also that they are all counted.

# Assumptions and Security

- Security proof is based on some assumptions.
- Security proof falls apart if the assumptions are violated.
- Do such assumptions apply to real-life applications?



# A Flow-chart of Assumptions and Security



# Outline

- Introduction
- Assumptions and Security
  - Assumptions: single mode, phase randomization, ...
  - Security: untrusted source, Trojan horse, ...
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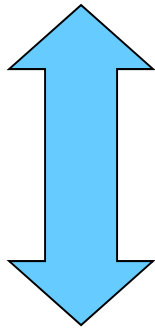


# Single Mode in QKD

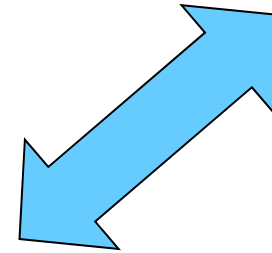
# Qubit in Polarization Coding



$|0\rangle$

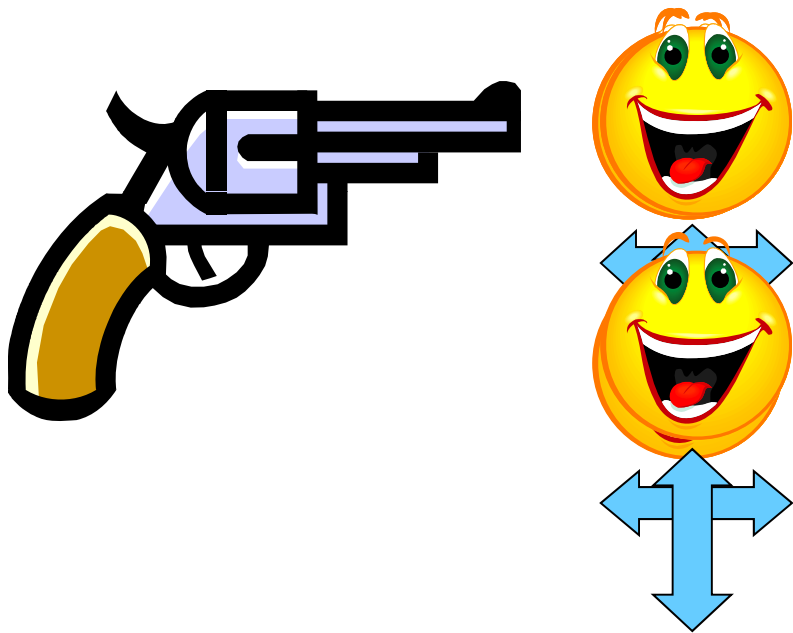


$|1\rangle$



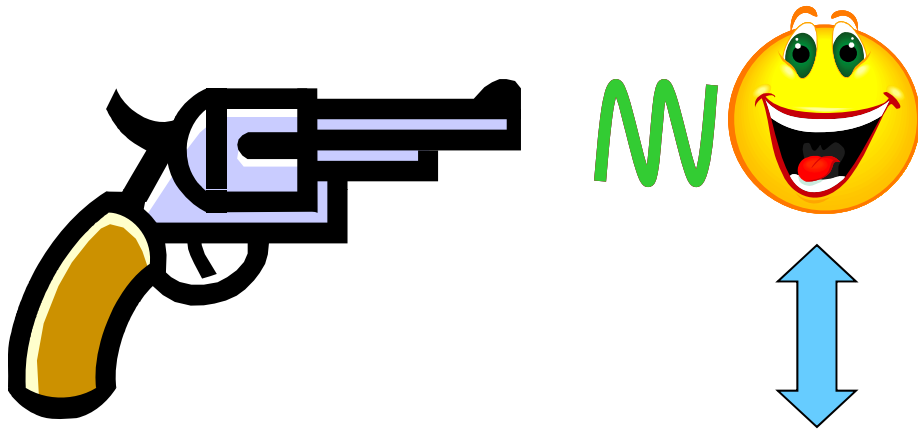
$a|0\rangle + b|1\rangle$

# A Laser can Emit Multi-photon



- Two modes:  $|n_H, n_V\rangle$ .  $n_H$  and  $n_V$  are natural numbers representing the number of horizontal and vertical photons respectively.

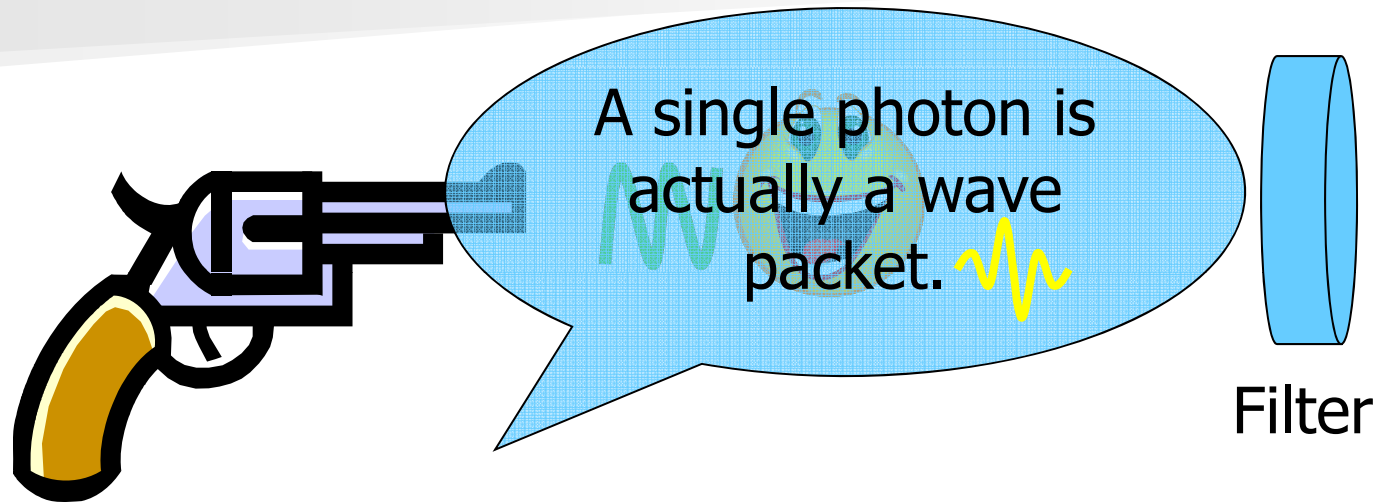
# Side Channels



- Now, we will suppress the polarization.
- Single mode assumption may be violated!
- E.g. frequency info. can be a side channel.

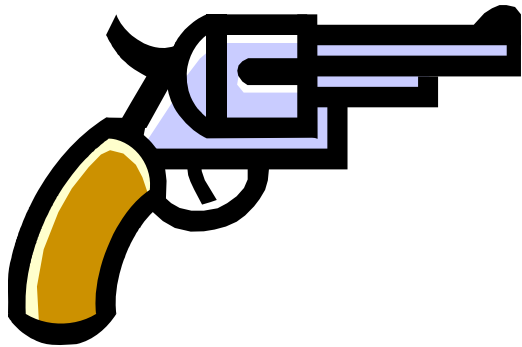


# What is a Single Mode?

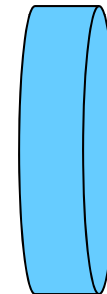


- A multi-mode has basis vectors  $|n_{H1}, n_{H2}, \dots, n_{V1}, n_{V2}, \dots\rangle$
- A two-mode has basis vectors  $|n_H, n_V\rangle$ .
- To reduce a multi-mode to a two-mode, an ideal filter is applied to kill all other modes.

# A Problem: How to Construct such a Filter?

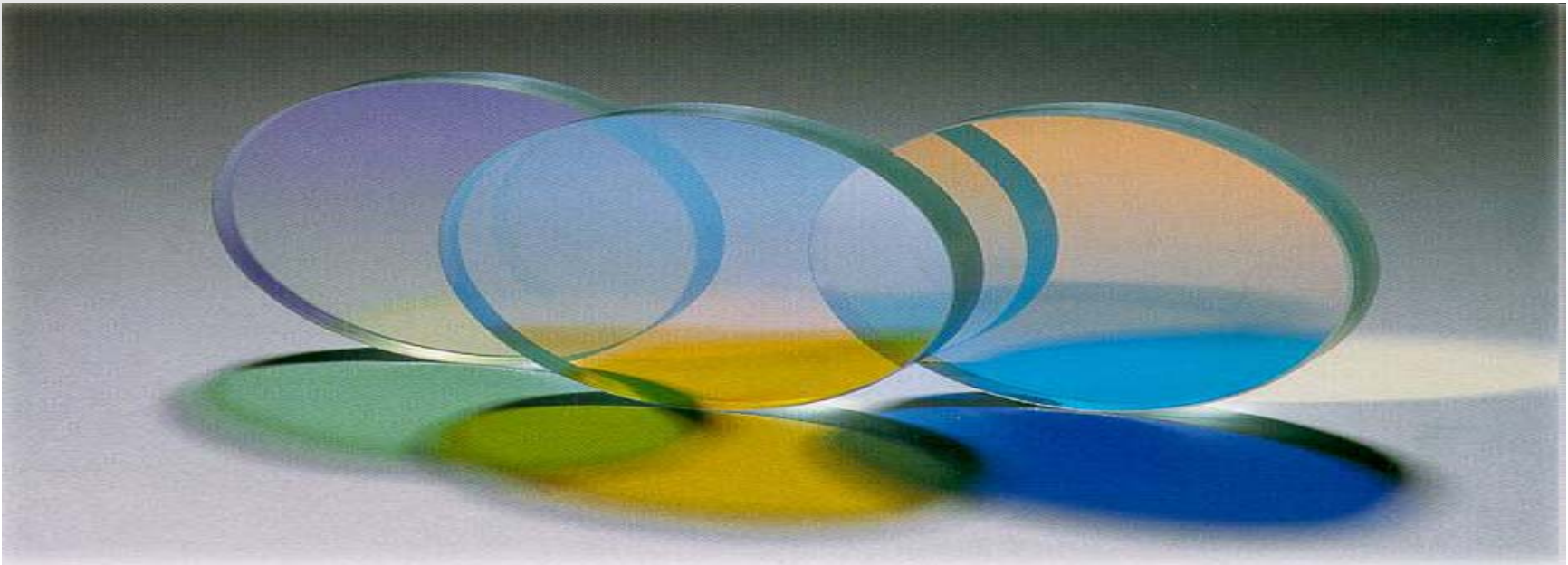


NO



Filter

# Practical Filters are Imperfect!



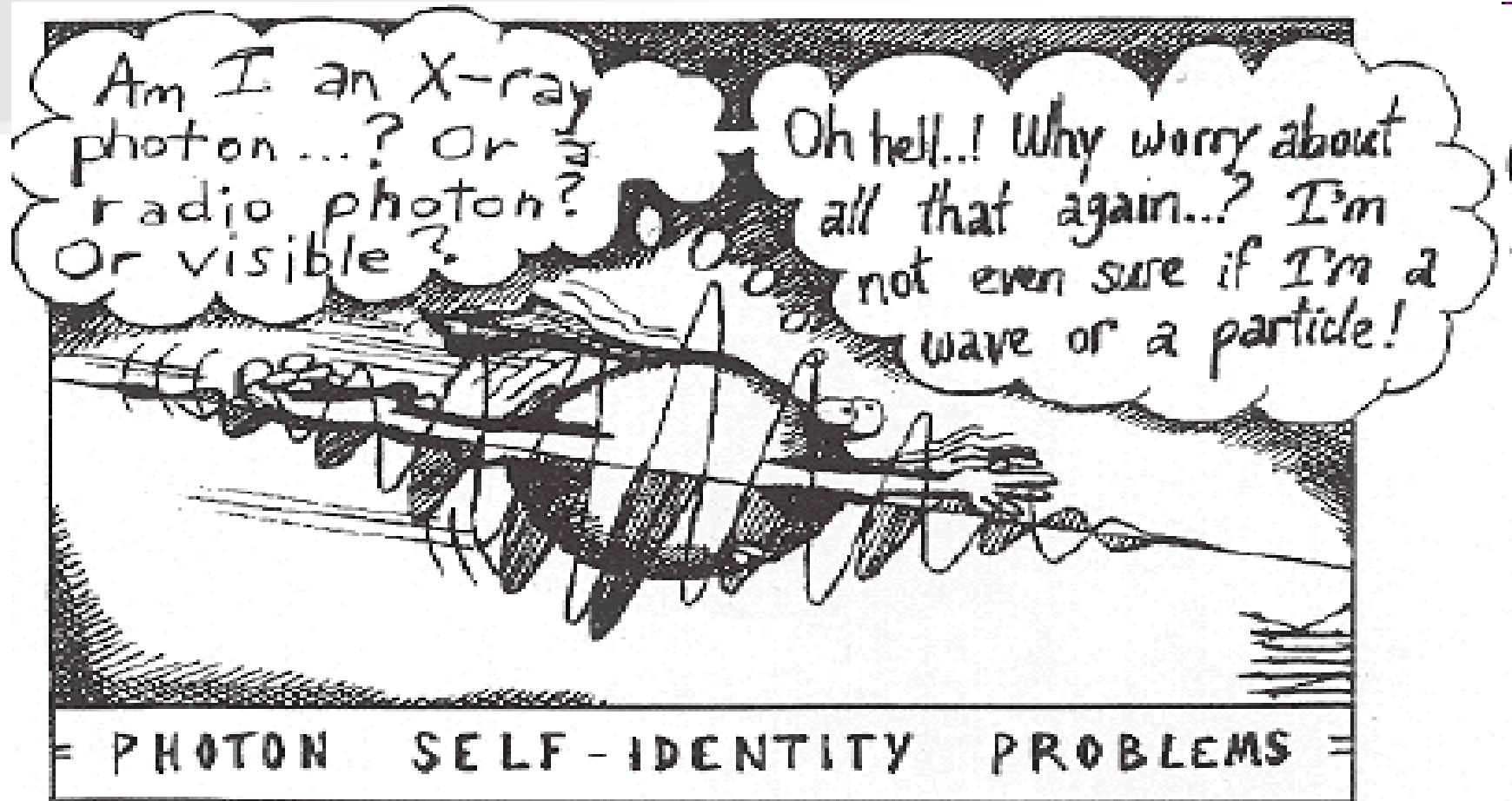
Advanced Image Quality Space-Qualified Ultraviolet Interference Filter  
(Courtesy-NASA/JPL/Caltech)

Future Direction: Need to **quantify** imperfections in filters and take care of them in security proofs.



# Phase Randomization in QKD

# Duality of Photon



- A photon is a particle as well as a wave packet.
- From the “wave” view, it has a phase.

# Example: phase randomization

- Standard assumption made in many security proofs
- Until recently, had ever been strictly implemented
- If phase is not randomized, existing security proof gives a lower key rate. [Lo and Preskill, QIC 7, 431 (2007).]
- We demonstrated the first experimental QKD with active phase randomization.

APPLIED PHYSICS LETTERS 90, 044106 (2007)

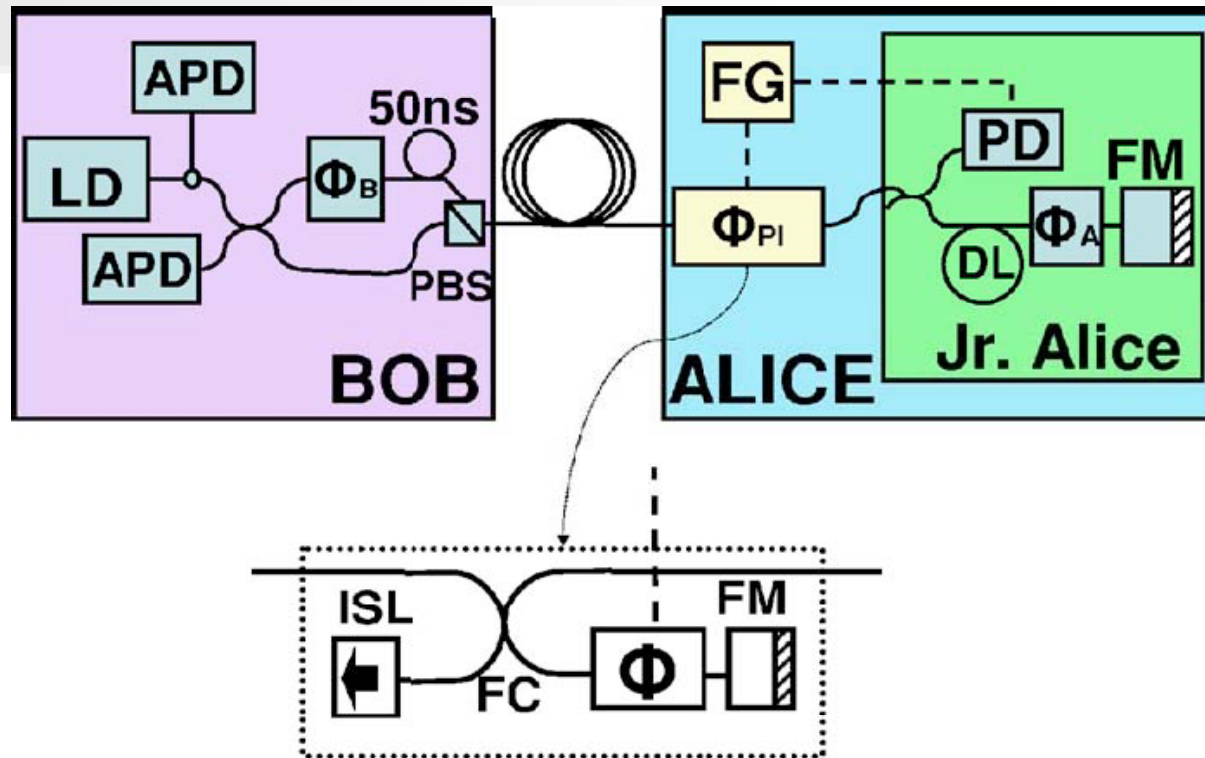
## Experimental quantum key distribution with active phase randomization

Yi Zhao,<sup>a)</sup> Bing Qi, and Hoi-Kwong Lo

*Center for Quantum Information and Quantum Control, Department of Physics, University of Toronto, Toronto, Ontario M5S 1A7, Canada and Department of Electrical & Computer Engineering, University of Toronto, Toronto, Ontario M5S 3G4, Canada*

(Received 6 November 2006; accepted 15 December 2006; published online 22 January 2007)

# Active phase randomization



Y. Zhao, B. Qi, and H.-K. Lo, Applied Physics Letters **90** 044106 (2007)

# Brief Summary

- Single Mode Assumption



- Phase Randomization Assumption





# Outline

- Introduction
- Assumptions and Security
  - Assumptions: single mode, phase randomization, ...
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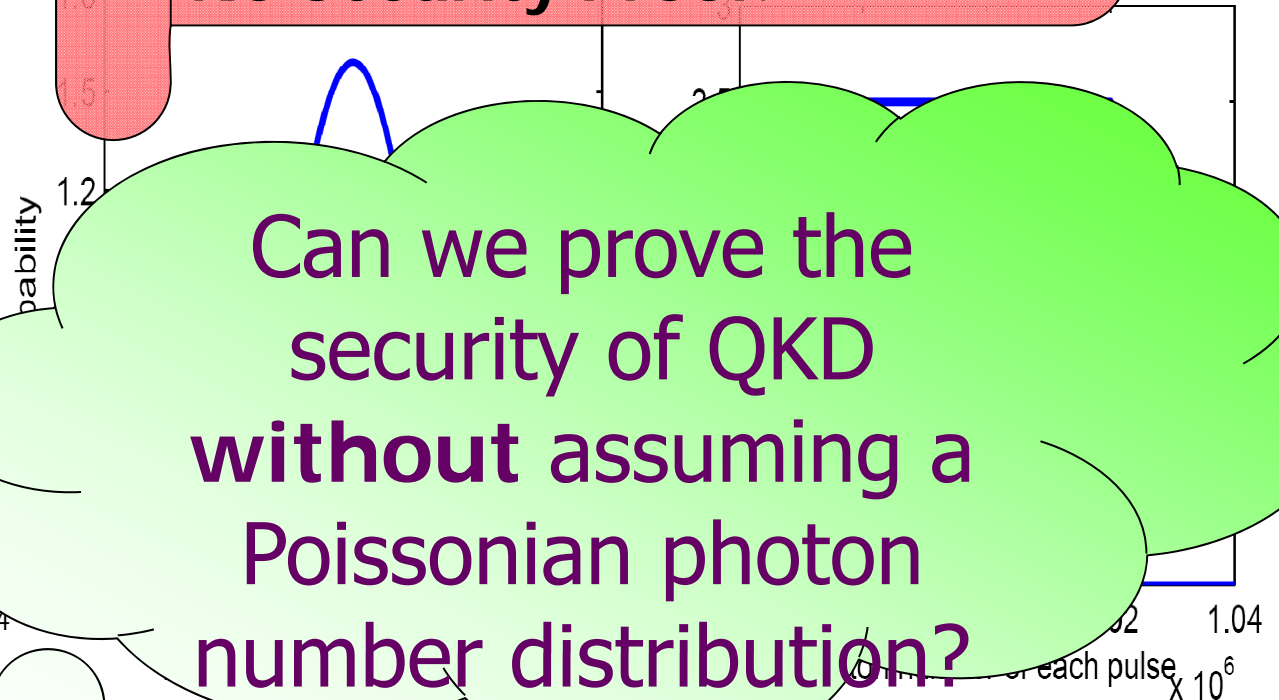
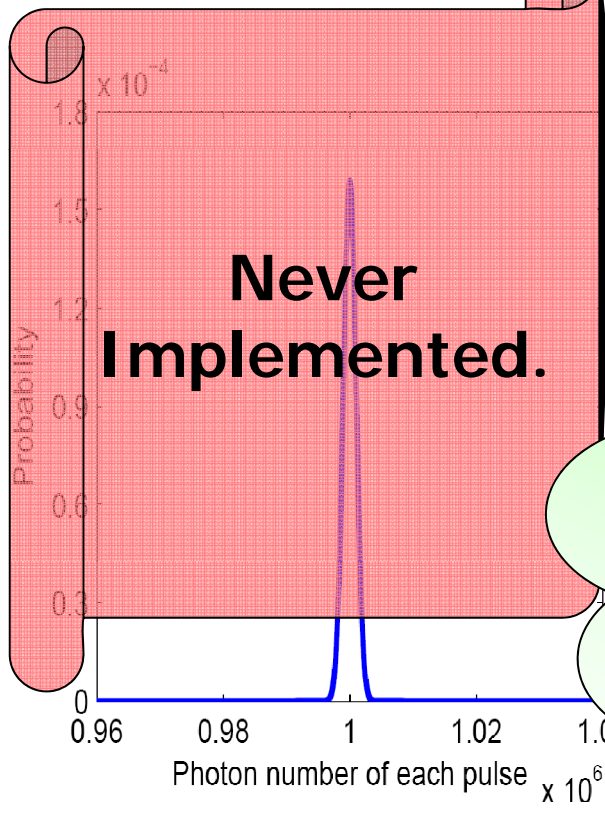


# Untrusted Source QKD

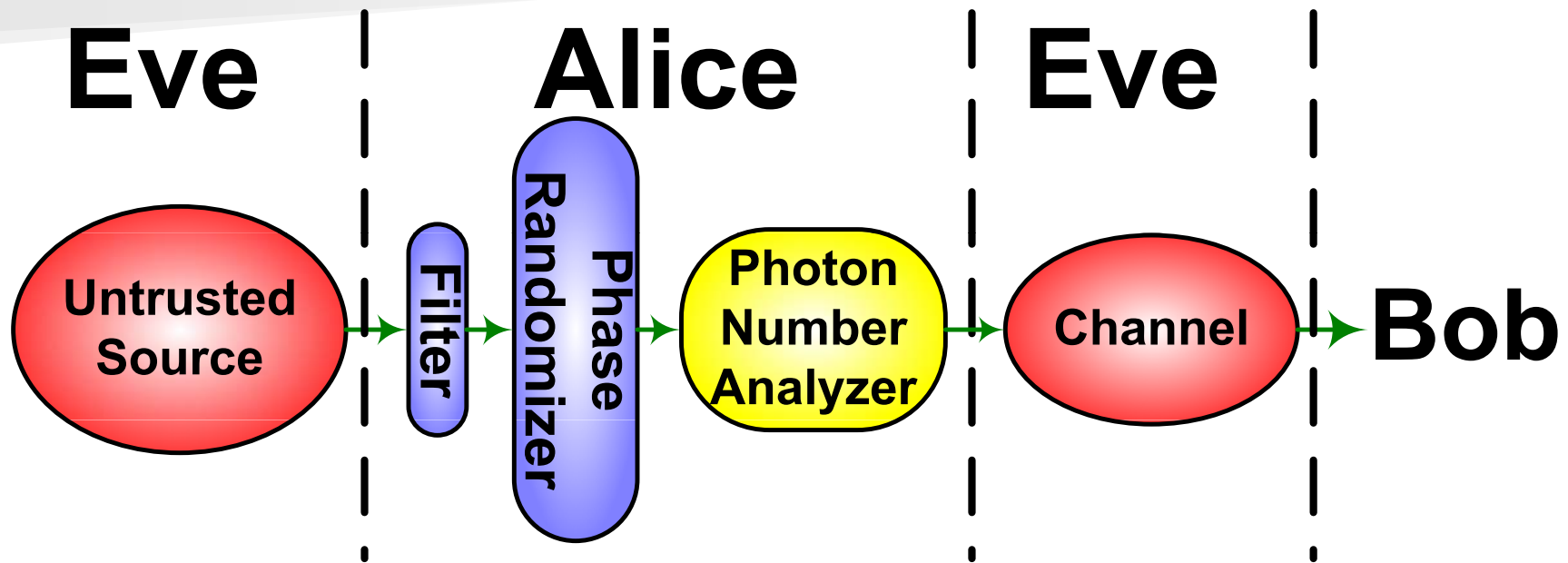
# Photon number distribution

Ideal laser source:  
Photon number per pulse  
obeys Poisson distribution

Imperfect laser source:  
Photon number distribution is unknown. E.g. pulse is determined by Eve as laser distribution is unknown.  
**Widely Implemented. But, assumption on photon number distribution **Violated**. No Security Proof.**



# Our Approach: A General Model



- Photon Number Analyzer: Analyzes input photon number distribution.

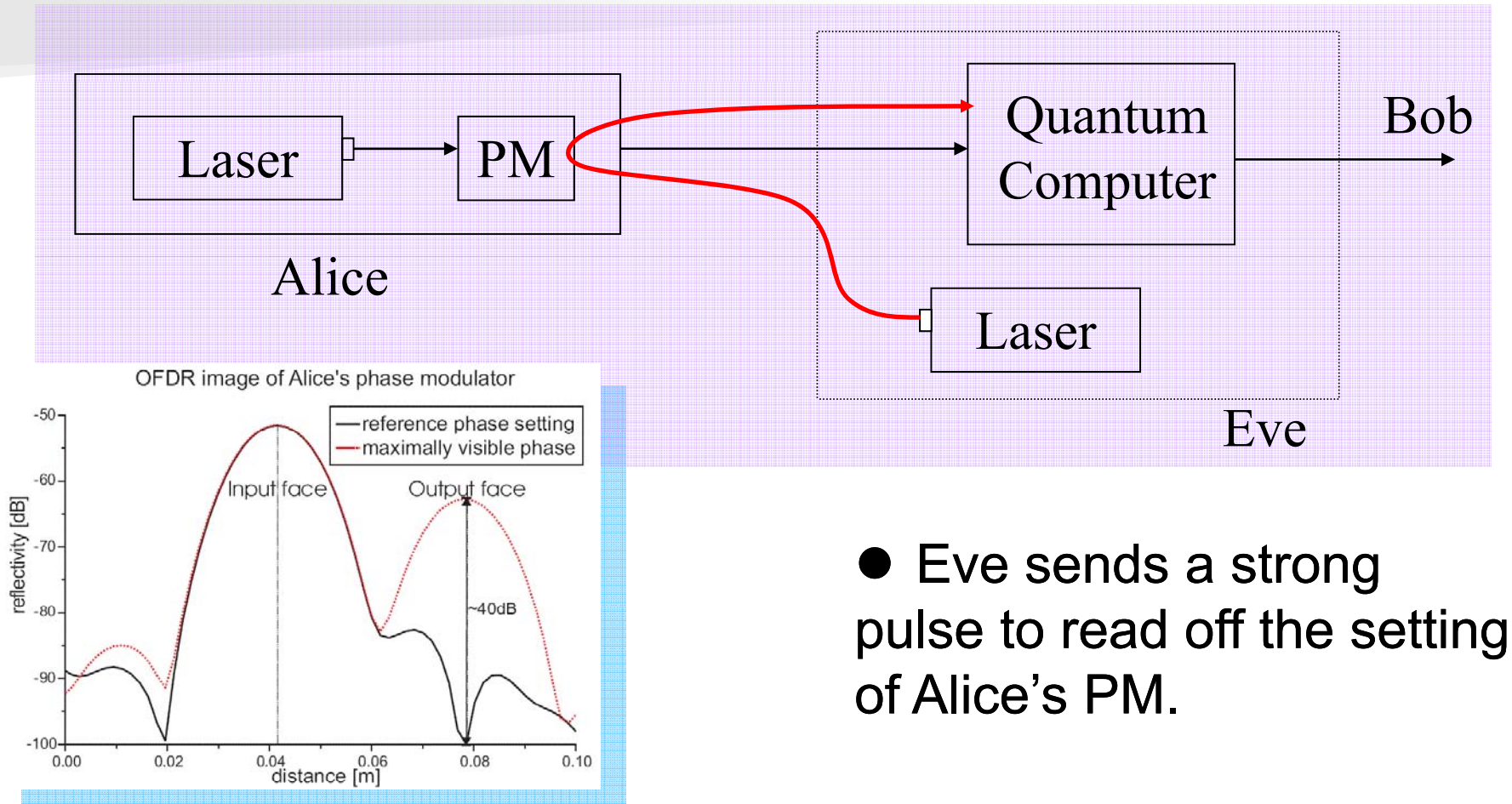
Y. Zhao, B. Qi, and H.-K. Lo, Phys. Rev. A, 77, 052327 (2008)

Y. Zhao, B. Qi, H.-K. Lo, and L. Qian, arXiv:0905.4225 (2009).

# Trojan Horse Attack



# Beyond standard attacks: strong pulse attack as an example



- Eve sends a strong pulse to read off the setting of Alice's PM.

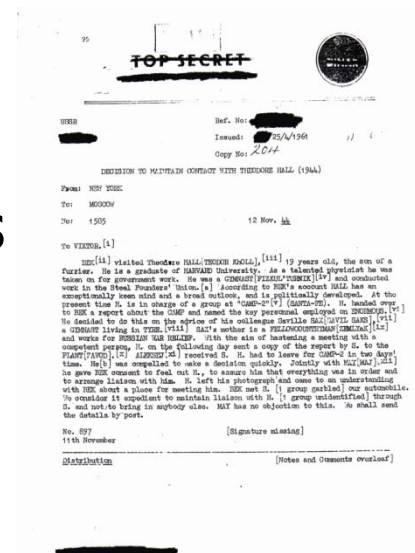
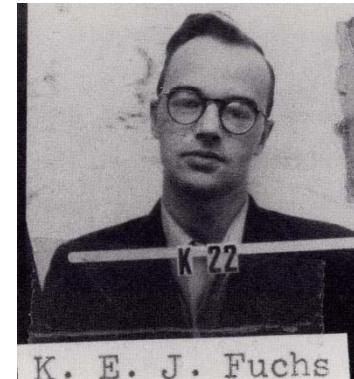
[Gisin, Fasel, Kraus, Zbinden, and Ribordy, PRA 73, 022320 (2006)]

# Outline

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# VENONA Project: Silly Bugs Can Kill Serious Cryptosystems

- Soviet Union spied in Manhattan project!
- Spies' communications with Moscow were encrypted by **one-time pad**.
  - One-time pad is theoretically impossible to decrypt (Shannon, 1948).
  - Quantum cryptography is also based on one-time pad.
- Owing to **procedural errors**, Soviet re-used one-time-pad!
- From 1948 to 1951, numerous Soviet spies were uncovered and prosecuted.
- Today, everyone can view these encrypted cables.

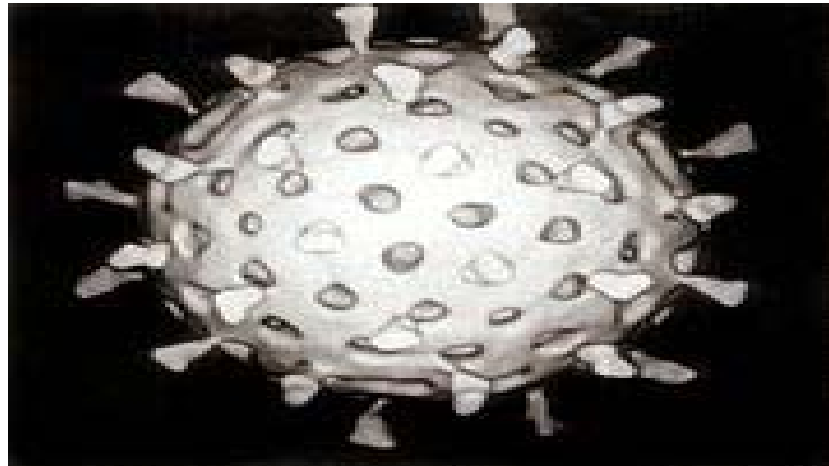




# Why silly bugs exist in QKD?

A) Unintentional bugs

B) **Intentional** bugs (Quantum  
Crypto-virology)



# Unintentional Bugs

- QKD systems often use commercial off-the-shelf components (lasers, detectors, time interval analyzers, etc)



- Those components are NOT originally designed for security applications.
- Seemingly innocent short-cuts in design can prove **fatal** in QKD applications.



# Intentional Bugs

## (Quantum Crypto-Virology)

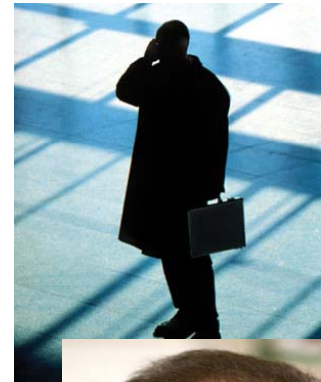
- Malicious QKD designers may hide **backdoors** in QKD systems.



- In current QKD experiments, most assumptions in security proofs are **not** verified.

# Greek telephone tapping case 2004-05

- Illegal tapping of over 100 mobile phones on Vodafone Greece network during Olympic Game 2004.
- Phones tapped included that of Greek Prime Minister Kostas Karamanlis.
- Foreign and Greek media have raised United States intelligence agencies as the main suspects
- Ericsson switches used by Vodafone Greece were compromised and unauthorized software was installed.
- Exploited lack of monitoring in usage of “lawful interception” module.
- Network Planning Manager for Vodafone - Greece, Kostas Tsalikidis, was found dead in an apparent suicide.



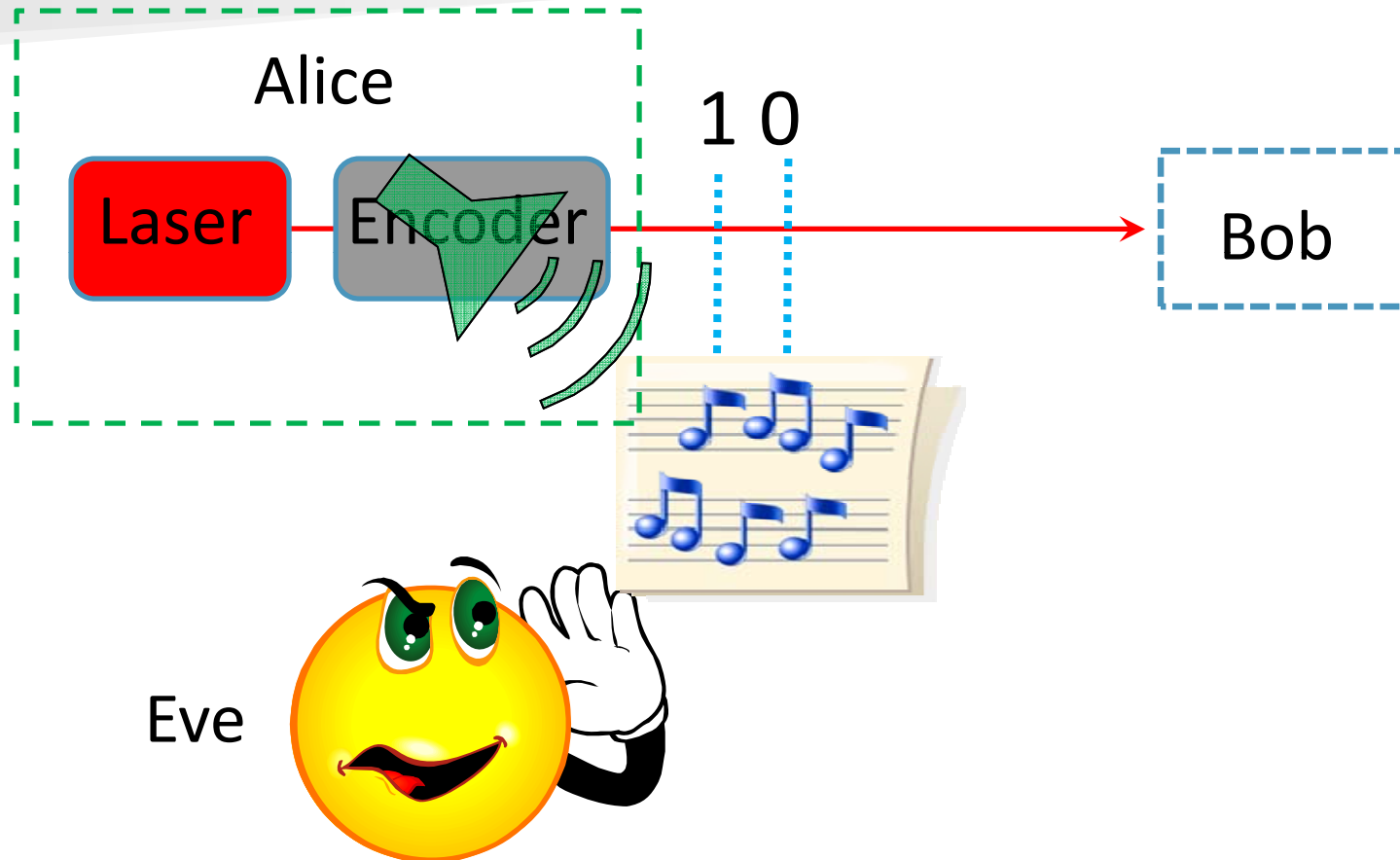
# Lesson from history

“... unconditionally secure against any eavesdropper who happened to be **deaf!**”

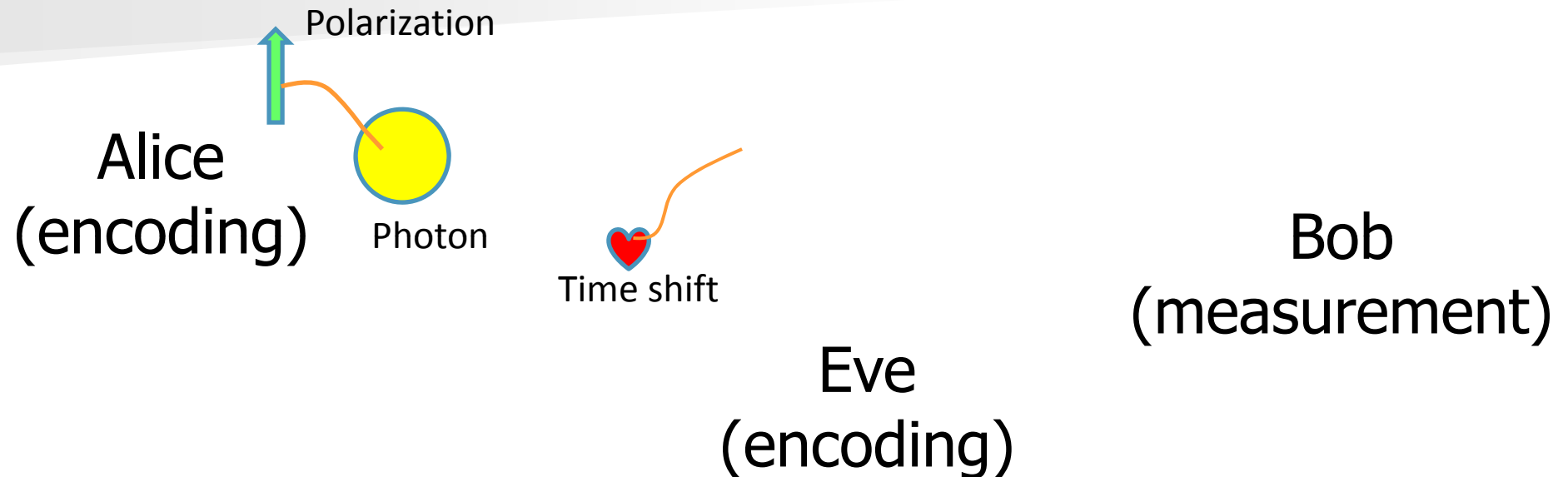
Gilles Brassard

describing the first QKD experiment

# Passive side-channel attack



# Our Focus: **Active** side-channel attack



- Eve encodes random bit on other quantum variables
- Originally, no correlation between Alice's and Eve's bits
- Bob's measurement could build the correlation.

B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. 7, 73 (2007).

The best way to build a secure crypto-system is to try hard to break it.



# Outline

- Introduction
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  - Assumptions: single mode, phase randomization, ...
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  - Detection efficiency loophole
- Future Directions

# Connection of QKD with foundations of QM

- Proposals for self-testing of QKD systems (Mayers and Yao), e.g. based on violation of Bell inequalities (Ekert91 protocol).
- QKD protocol built from data violating the CHSH Bell inequality

$-2 \leq S \leq 2$  where

$$S = E(a, b) - E(a, b') + E(a', b) + E(a', b').$$

where  $a$  and  $a'$  are detector settings on side A,  $b$  and  $b'$  on side B and  $E(a, b)$  etc. are the expectation value of the products of the outcome.

# Loopholes in Bell test experiments

1. Locality loophole (not that relevant to QKD).

2. Detection efficiency loophole

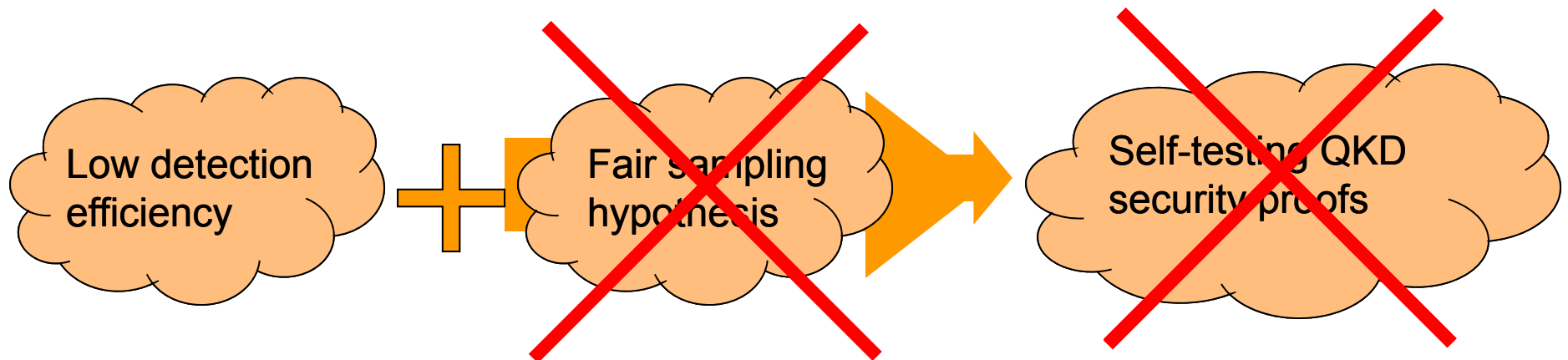
3. Freedom-of-choice loophole



need true random numbers in QKD

# Detection efficiency loophole

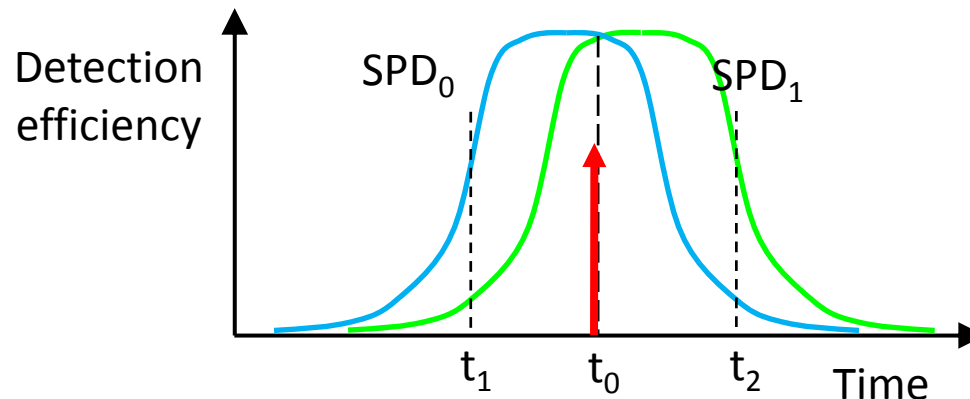
- Self-testing idea may not work when detection efficiency is low!
- Local hidden variables model can be constructed when detection efficiency  $< 82.8\%$  for maximally entangled states.
- In telecom wavelengths, detection efficiency  $\sim 10\%$ .



- The fair sampling hypothesis may come to rescue.
- **However, I will show that the fair sampling hypothesis is NOT reasonable for untrusted devices!**

# Detector Efficiency Loophole in QKD

- Most QKD systems have two or more detectors.
- Efficiency *mismatch* could exist in the time, spatial, or spectral domains, etc.



V. Makarov, A. Anisimov, and J. Skaar, Phys. Rev. A 74, 022313 (2006).

B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. 7, 73 (2007).

# Attacks Targeting Detector Efficiency Mismatch

## ■ Temporal attack

- Time-shift the signal (in gated single photon detector (SPD). We will discuss more here).

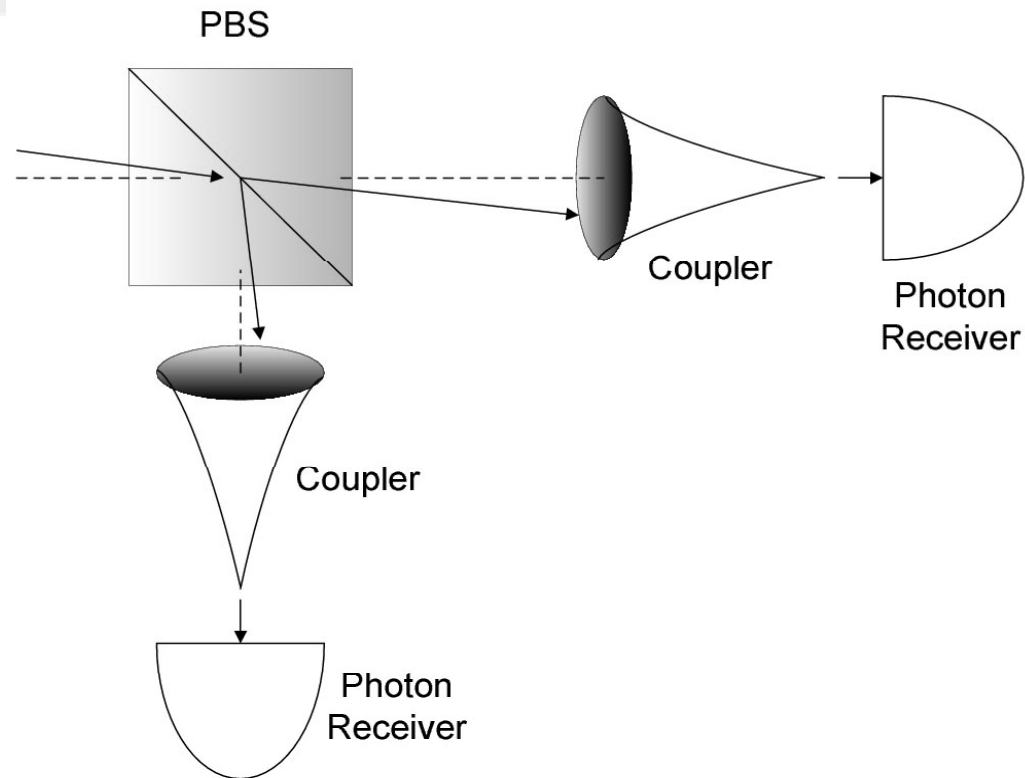
## ■ Spectral attack

- Frequency-shift the signal (in up-conversion SPD)

## ■ Spatial attack

- Change the spatial mode (in free space QKD).

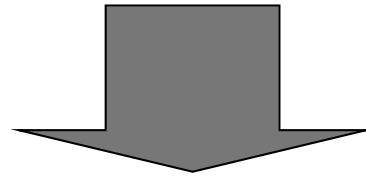
# Spatial Attack



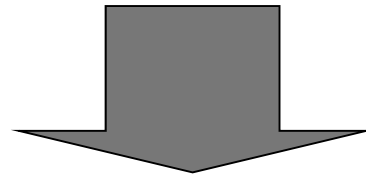
Change in incident angle  $\Rightarrow$  different coupling losses

# Perspectives of Quantum Hacking

Hard to build two **identical** detectors in practice



Hard to remove detector efficiency mismatch



Security Loopholes





# Eve strikes back!

*Eve lost the battle in security proofs,  
but came back via loopholes.*

Stealing an idea from Claude Crepeau's slides in a CIAR meeting

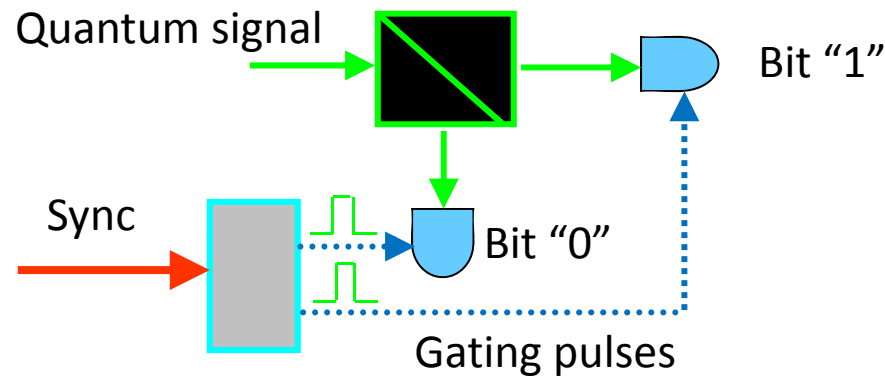
# Quantum hacking: How to cheat in a Swiss election?

**First experimental demonstration of a feasible attack against a commercial QKD system.**

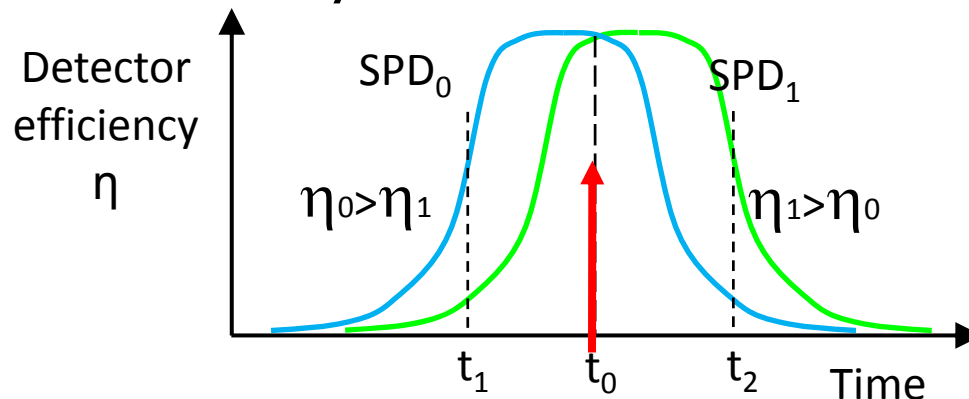
1. B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. (QIC) 7, 73 (2007)
2. Y. Zhao, C.-H. F. Fung, B. Qi, C. Chen, and H.-K. Lo, Phys. Rev. A 78, 042333 (2008)
3. C.-H. F. Fung, K. Tamaki, B. Qi, H.-K. Lo, and X. Ma, QIC 9,131(2009).

# Time-shift attack: Basic idea

## 1. Single photon detector in **gated** mode



## 2. Detection Efficiency mismatch



B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. 7, 73 (2007).

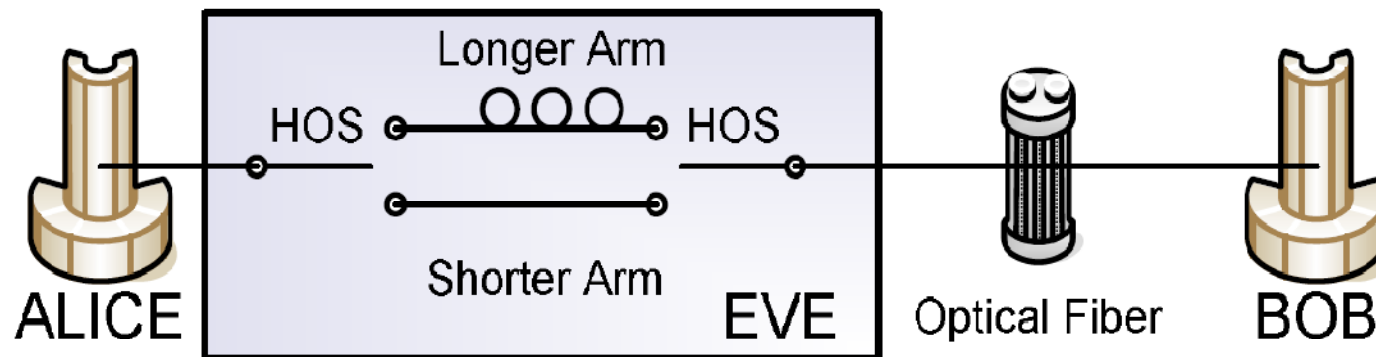
# Time-shift attack: strategy

Eve randomly time-shifts signal

→  $\eta_0 > \eta_1$  Or  $\eta_1 > \eta_0$

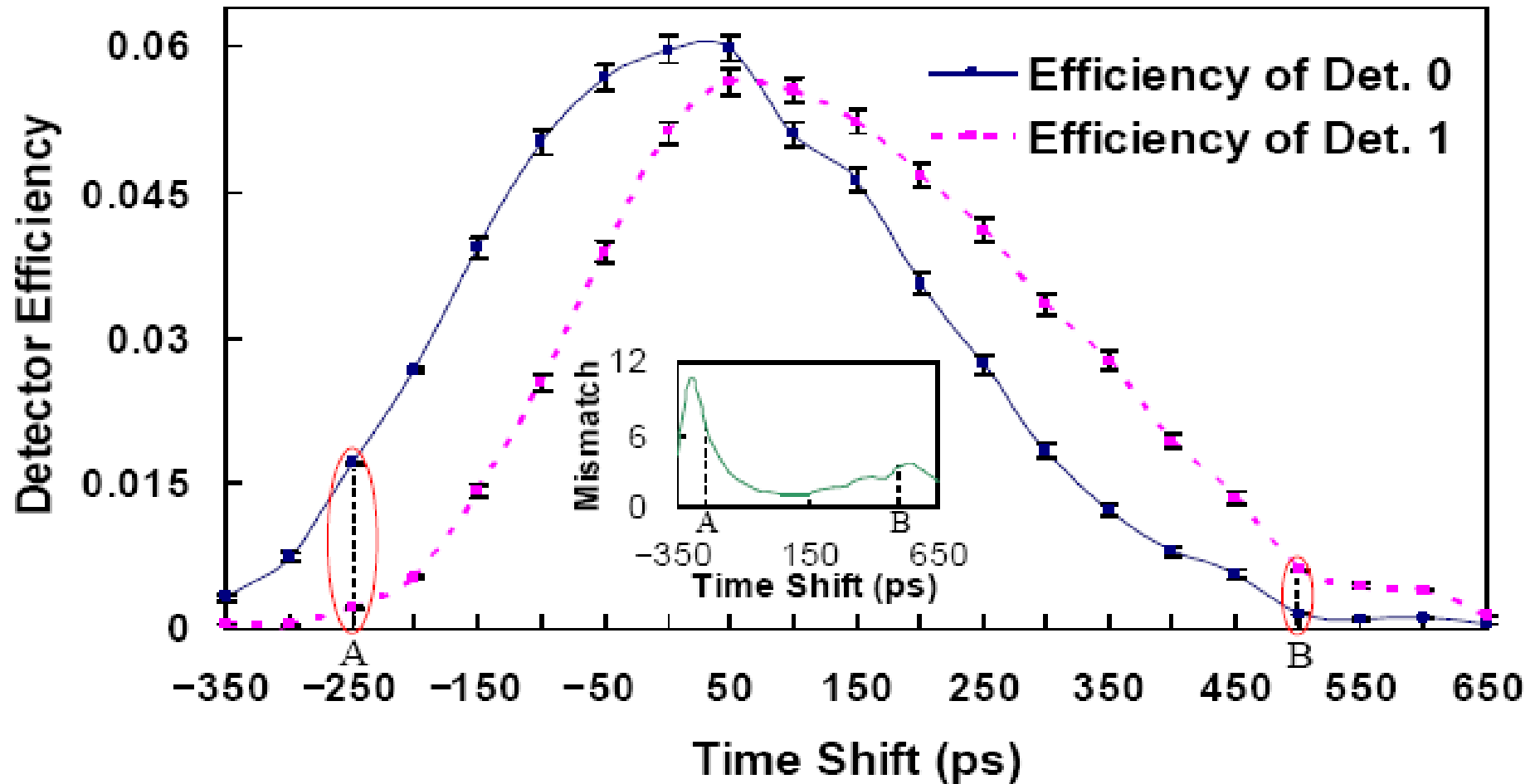
→ With a high probability, Eve knows which detector clicks

→ Eve acquires partial information of the key



B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. 7, 73 (2007).

# Experimental results



Y. Zhao, C.-H. F. Fung, B. Qi, C. Chen, and H.-K. Lo, PRA 78:042333 (2008).

# Time-shift attack works

Lower bound

(ignoring the  
attack 1297 bits )

>

Upper bound

(considering the  
attack 1131 bits )



- Final key shared between Alice and Bob is compromised by Eve!
- Information leaked to Eve without Alice and Bob noticing.

The first experimental demonstration of a technologically feasible attack against a commercial QKD system.

# Faked States Attack

- Measure-and-resend Scheme (therefore, challenging to implement).
- Eve first measures the input signal in some basis.
- Eve resends the signals with **wrong** bit values, **wrong** basis, and **wrong** arrival times.
  - V. Makarov, A. Anisimov, J. Skaar, PRA, 74:022313 (2006).
  - V. Makarov, J. Skaar, QIC, 8:622 (2008).

# Other Attacks

- **Active attack: Controlling Bob's detectors.**
  - Eve can manipulate Bob's detectors by sending intense laser pulse into Bob.
  - Eve may even **permanently** change some components' properties of e.g. **commercial PerkinElmer SPCM-AQR**
    - V. Makarov, NJP, 11:065003 (2008).
    - V. Makarov, A. Anisimov, S. Sauge, arXiv:0809.3408, 2008.
- **Passive Attack: Monitoring the Communication about Detection Time.**
  - But, the detection time may not be broadcasted by Alice and Bob...
  - A. Lamas-Linares and C. Kurtsiefer, Opt. Express 15:9388, 2007.

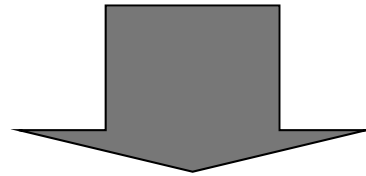




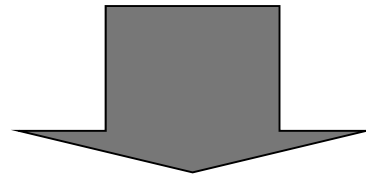
# Counter Measures

# Perspectives of Quantum Hacking

Hard to build two **identical** detectors in practice



Hard to remove detector efficiency mismatch

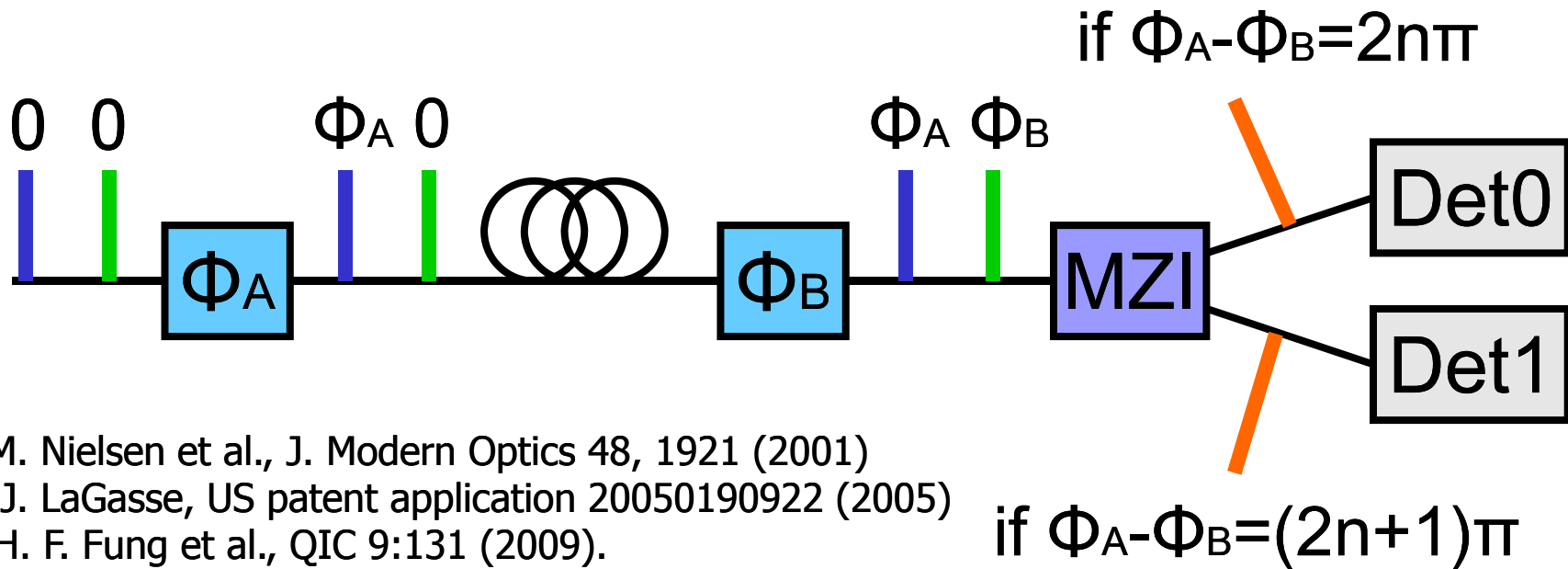


Security Loopholes

**Solution: Randomization of Detectors**

# Counter Measure: Four-state Modulation at Bob's Side

- Bob's phase modulator could also use four settings.
  - $\Phi_A \in \{0, \pi/2, \pi, 3\pi/2\}$ ,  $\Phi_B \in \{0, \pi/2, \pi, 3\pi/2\}$ .
- Each detector is **randomly** assigned with a bit value.



P. M. Nielsen et al., J. Modern Optics 48, 1921 (2001)

M. J. LaGasse, US patent application 20050190922 (2005)

C.-H. F. Fung et al., QIC 9:131 (2009).

# Other Counter Measures

- Check timing of incoming pulses.
- Randomly shifting gating window of SPD to smooth out the efficiency.
- Security proof for detectors with different efficiencies — more privacy amplification\*.

\*C.-H. F. Fung, K. Tamaki, B. Qi, H.-K. Lo, and X. Ma, QIC 9:131 (2009).

# Outline

- Introduction
- Assumptions and Security
  - Assumptions: single mode, phase randomization, ...
  - Security: untrusted source, Trojan horse, ...
- Detection Efficiency Mismatch
- Future Directions

Fundamental research (e.g. based on the testing of the Bell's inequalities) that does not have practical applications.

V. Scarani, C. Kurtsiefer, arXiv:0906.4547, 2009.

Future Direction

Practical research that can only provide some "reasonable" security.

Security proofs with **testable** assumptions!



# Future Direction I

- Security proofs with testable assumptions:
  - Assumptions in security proofs should be explicitly stated and experimentally verified.
  - Until experimental verification has been done, one can never be sure about security of real QKD systems.

# Future direction II

## ● Battle-testing:

Imperative to study eavesdropping attacks and counter measures more carefully and extensively.

- This involves both theory and experiment.
- Needs collaboration between theorists and experimentalists.



# Comparison of QKD vs. Boxing

## Boxing

Player A	Player B
Tyson	Holyfield

### General rules

1. Fair game
2. Safe (hopefully)
3. ....

### Detailed rules

- |                 |     |
|-----------------|-----|
| 1. Eye punching | Yes |
| 2. Ear biting   | No  |
| 3. ....         |     |

Make sure rules are followed  
**referee**

## QKD

Team A	Team B
Alice/Bob	Eve

### General assumptions

1. Single quantum state
2. No side channel
3. ....

### Testable assumptions

1. Average photon number
2. Efficiency of SPD
3. ....

Make sure assumptions are valid  
**calibrating systems**

**Our goal**

# Acknowledgements



Canada Research  
Chairs



Canadian Institute for Advanced Research

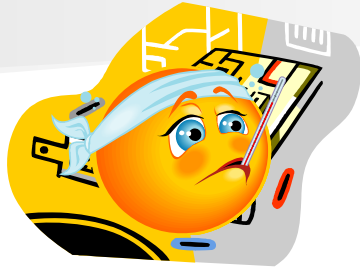


**Thank you!**



# Trojan Horse: Eve's Probing Signal

Encoder



Alice



Bob

- Alice encodes her information with an encoder.
- Then Alice sends the encoded signal to Bob.

# Trojan Horse: Eve's Probing Signal

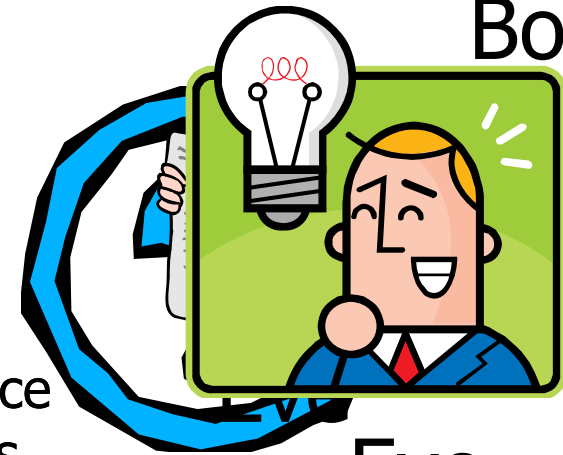
Encoder



Bob



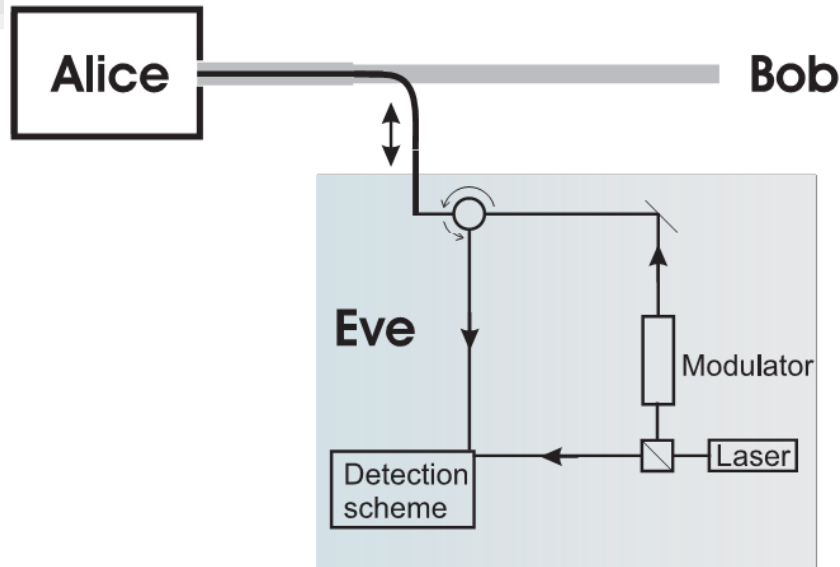
Alice



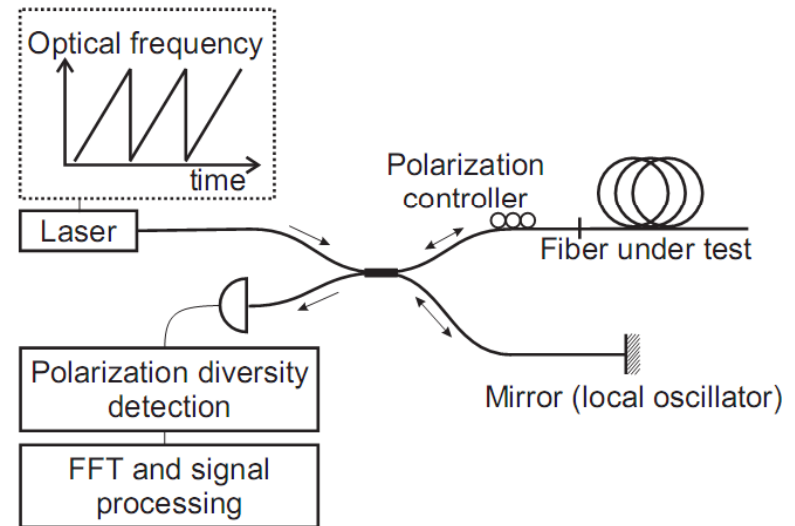
Eve

- Eve can send in some strong signals to Alice
- Eve can then collect some reflected signals and extract Alice's encoder information.
- This attack has been experimentally demonstrated.

# Experimental Demonstration of Trojan Horse Attack



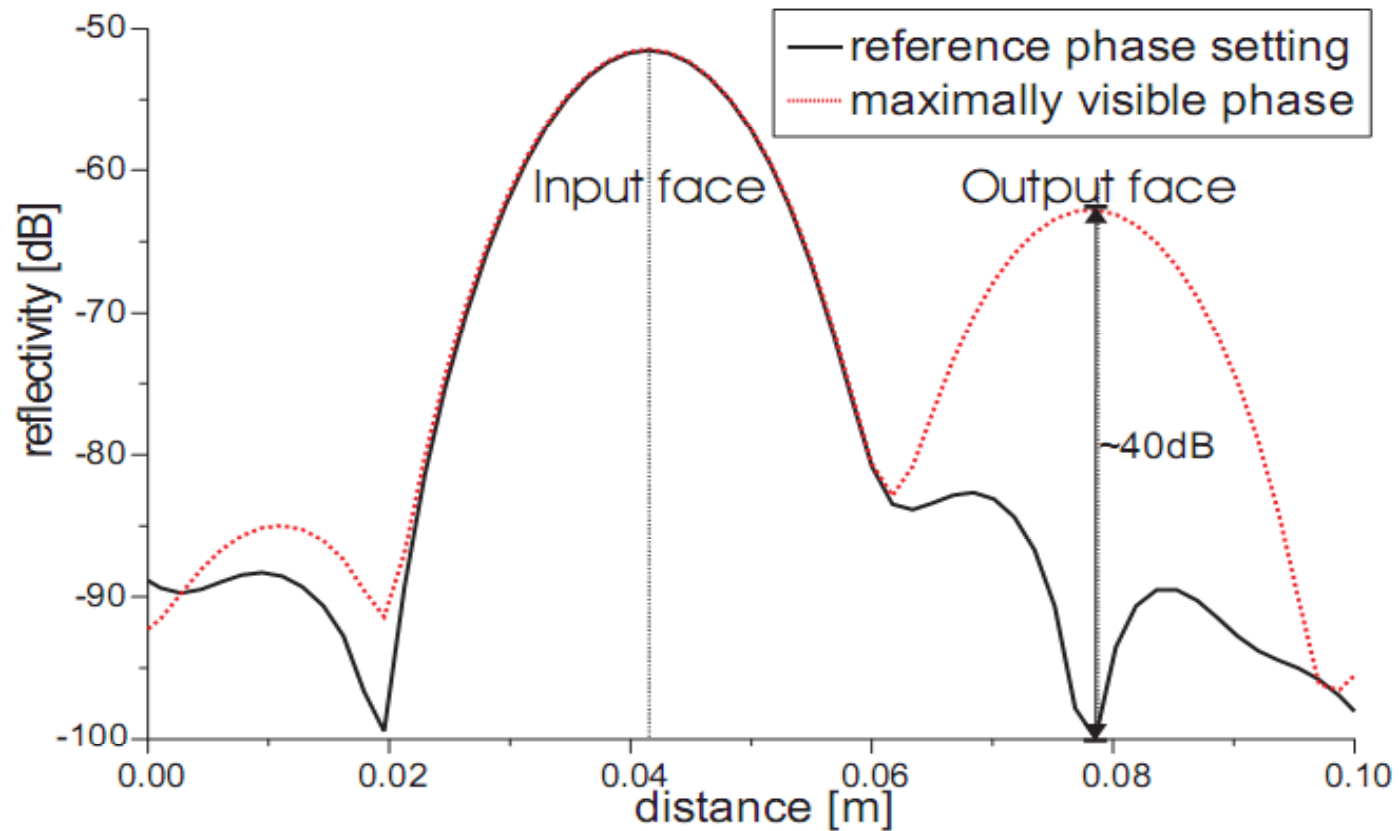
Basic Schematic



Optimal Scheme: Optical Frequency Domain Reflectometry (OFDR)

# Experimental Results

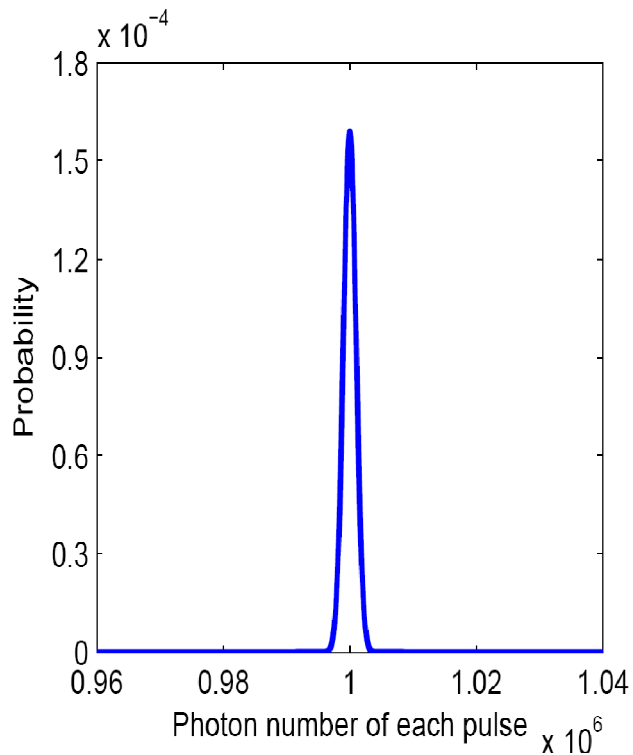
OFDR image of Alice's phase modulator



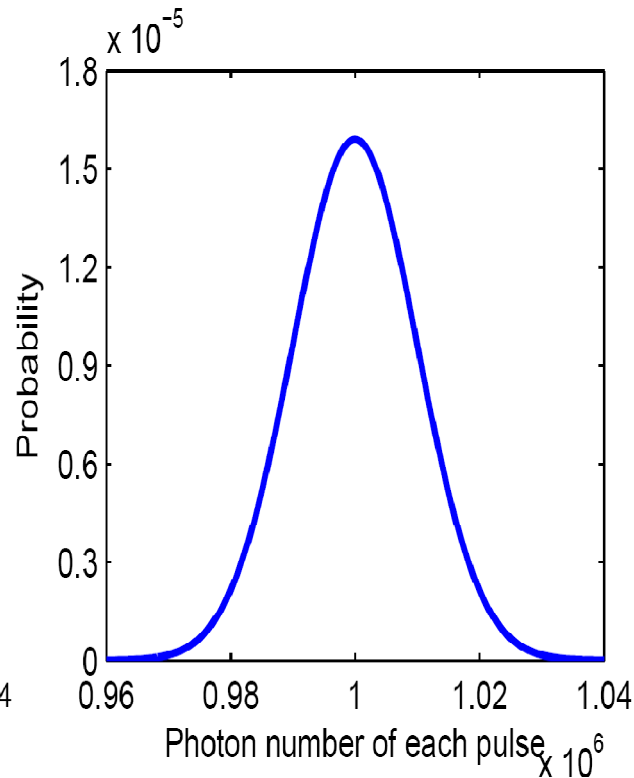


# Photon number distribution

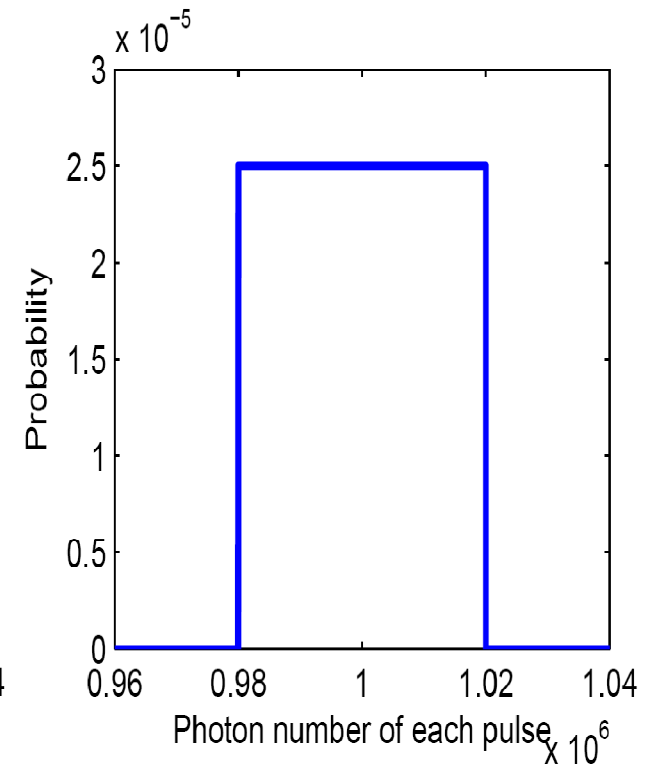
Ideal laser source:  
Photon number per pulse  
obeys Poisson distribution.



Imperfect laser source:  
Photon number distribution  
is unknown. E.g. Pulsed  
laser diode.

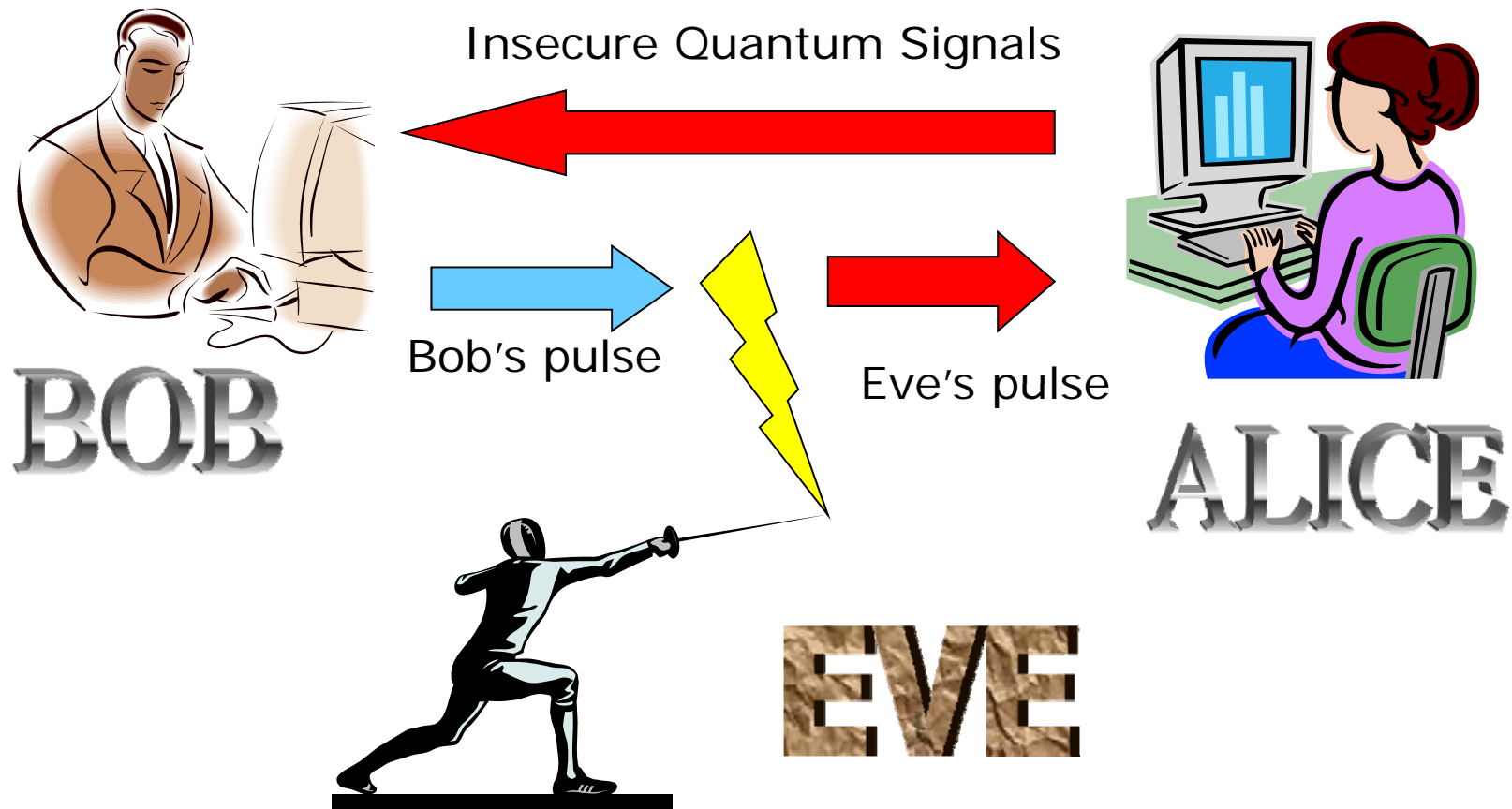


Plug & Play QKD: Photon  
number distribution is  
determined by Eve as Eve  
can control the source.



# Security Risk in Plug & Play QKD

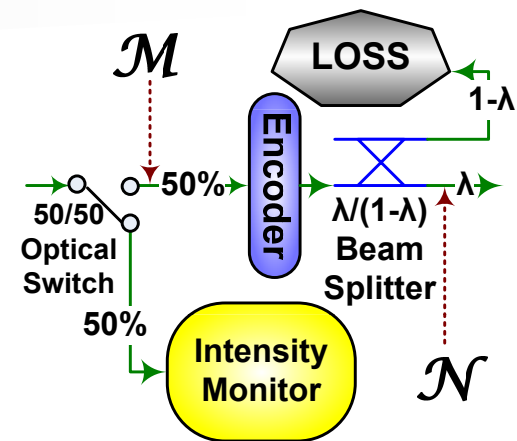
Plug & play structure is adopted by most commercial QKD systems.



# Estimating the Input Photon Number Distribution

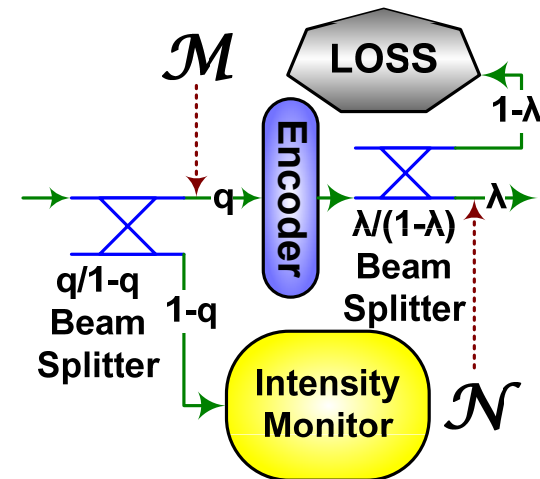
## ■ Active Estimate

- Random Sampling.
- Challenging to implement experimentally.
- Y. Zhao, B. Qi, and H.-K. Lo, Phys. Rev. A, 77, 052327 (2008).

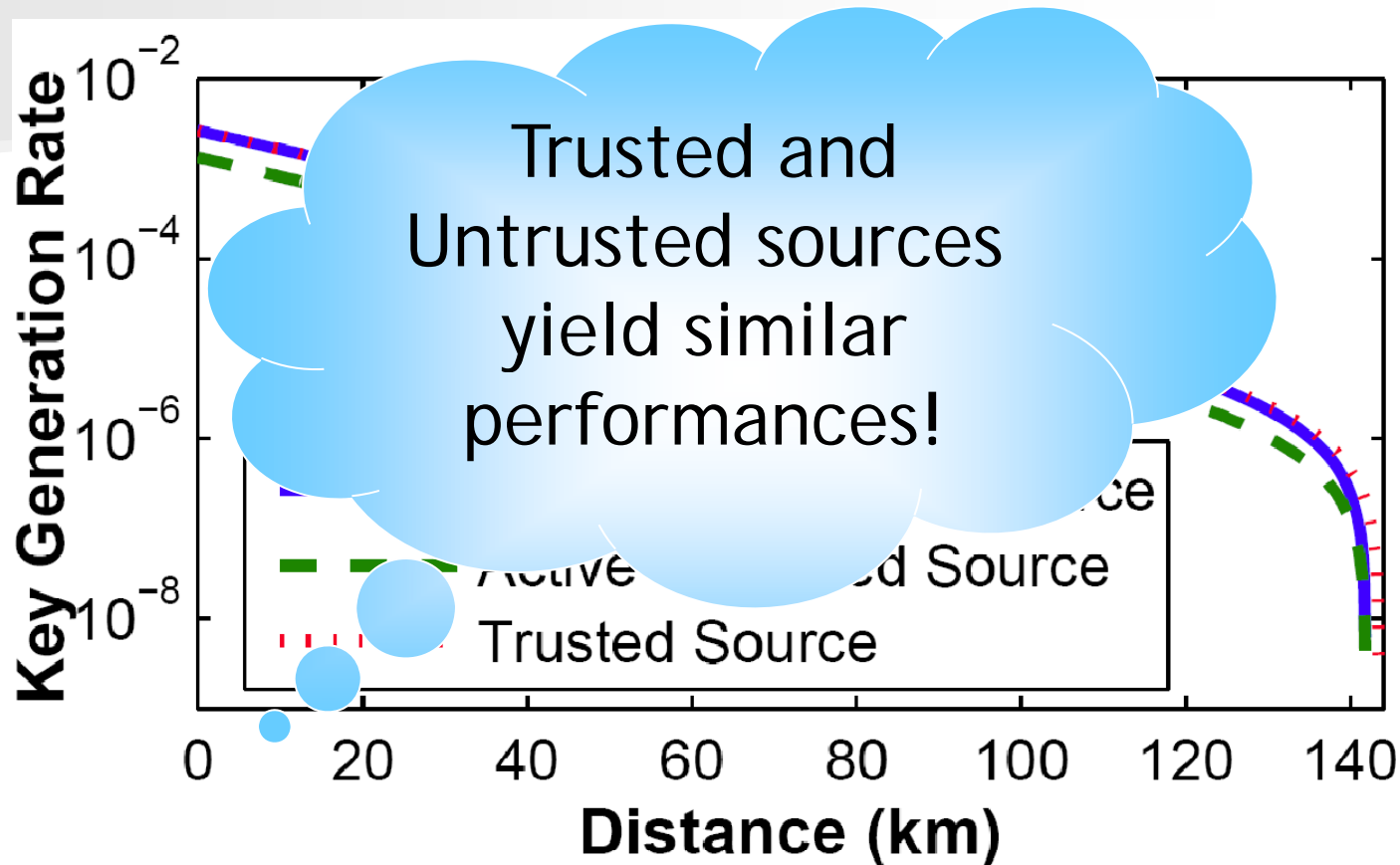


## ■ Passive Estimate

- Easy to implement.
- Cross Sampling.
- Y. Zhao, B. Qi, H.-K. Lo, and L. Qian, arXiv:0905.4225 (2009).
- See also X. Peng, Optics Letters, Vol. 33, Issue 18, pp. 2077-2079 for a preliminary experiment.



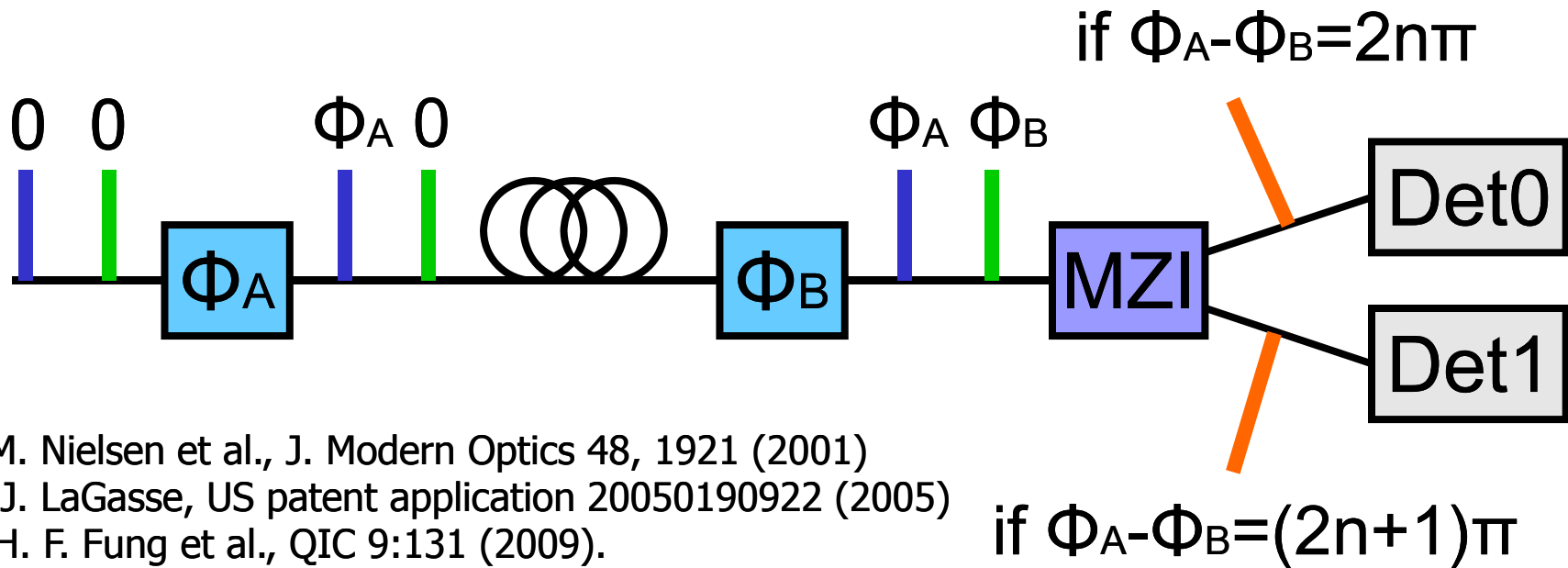
# Numerical Simulation: Decoy State QKD



- Based on Toshiba group's experimental parameters.
  - C. Gobby, Z. L. Yuan, and A. J. Shields, Appl. Phys. Lett. 84, 3762 (2004).

# Counter Measure: Four-state Modulation at Bob's Side (Cont'd)

- Eve may predict which detector fires for certain bit.
- But, she does not know the bit value of the firing detector for this bit.



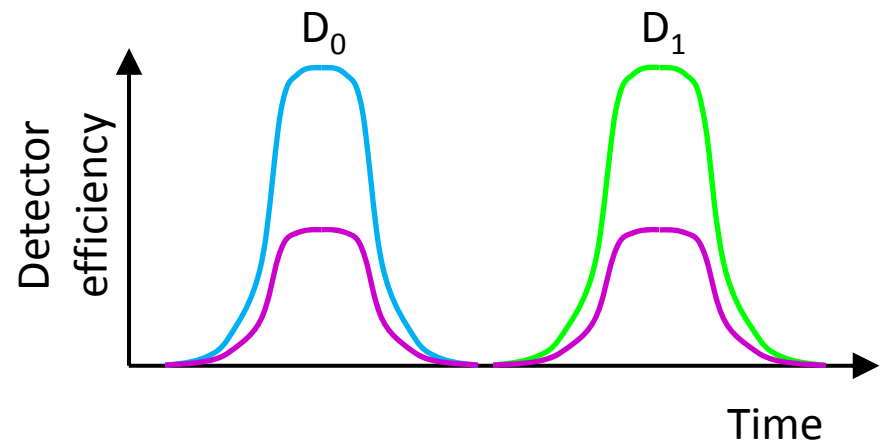
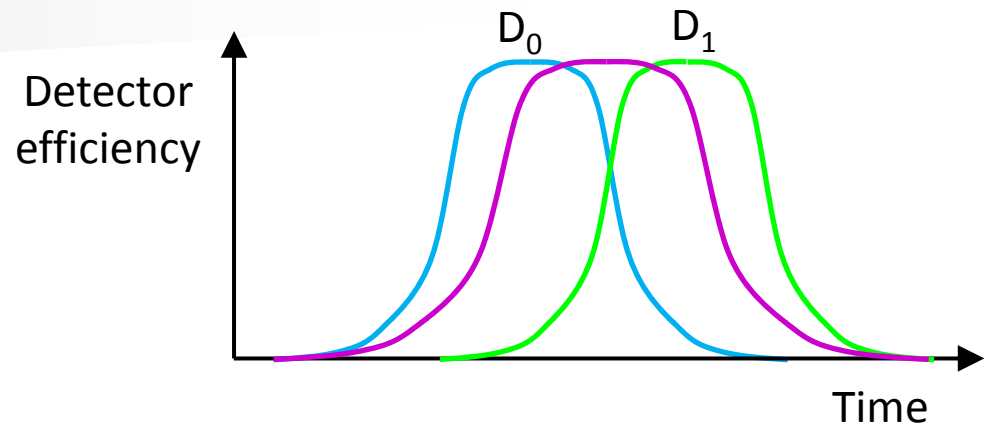
P. M. Nielsen et al., J. Modern Optics 48, 1921 (2001)

M. J. LaGasse, US patent application 20050190922 (2005)

C.-H. F. Fung et al., QIC 9:131 (2009).

# Power of Four State Modulation

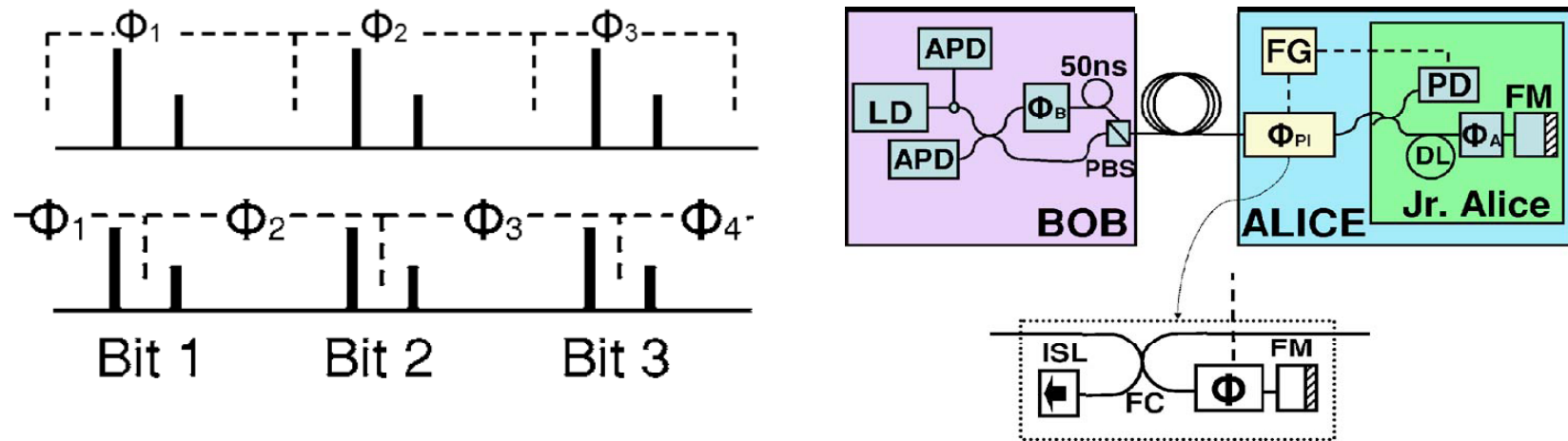
- It removes the detection efficiency mismatch in **time, frequency, and spatial** domains.
- It removes the detection efficiency mismatch due to detector **dead time**.



\*C.-H. F. Fung, K. Tamaki, B. Qi, H.-K. Lo, and X. Ma, QIC 9:131 (2009).

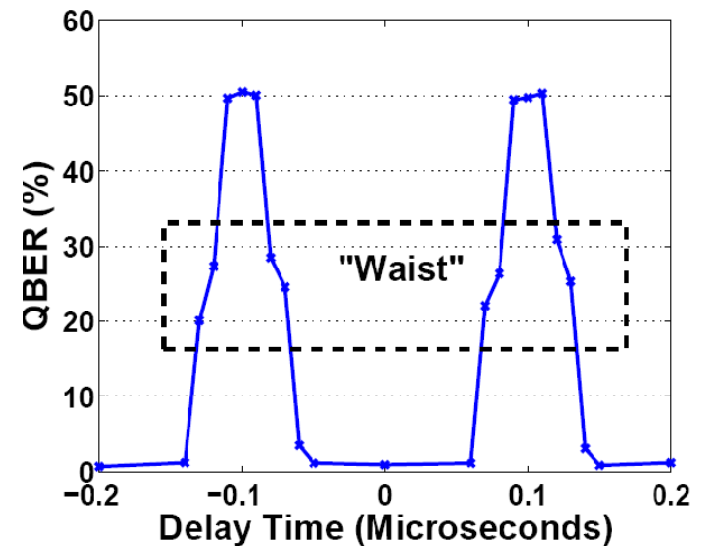
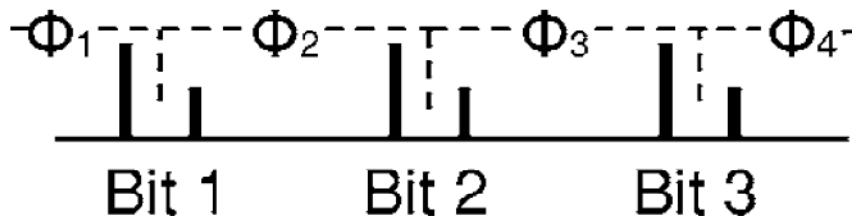
# Phase Randomization: Experiment

- Basic idea: active phase randomization
  - Careful synchronization → No mess-up!
- We demonstrated the first experimental QKD with reliable active phase randomization.
  - A polarization-insensitive phase modulator is developed.
  - Transmittance and error rate are not affected by the phase randomization.
- How can we verify that the phase is indeed random?



# Phase Randomization: Verification

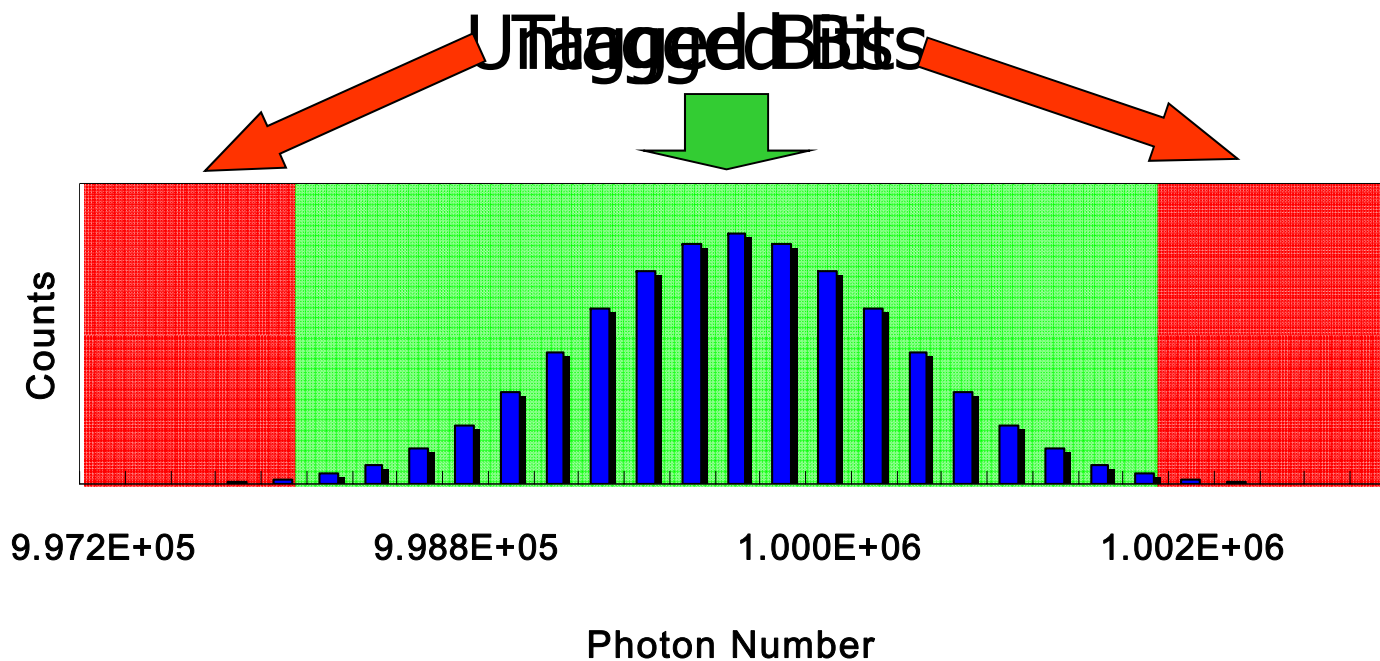
- Perhaps, we can “mess it up” a little...
- Shift the modulation period.
  - The relative phase is random.
  - A sharp increase of QBER to 50% is expected.
- A sharp increase of QBER to 50% is confirmed experimentally.





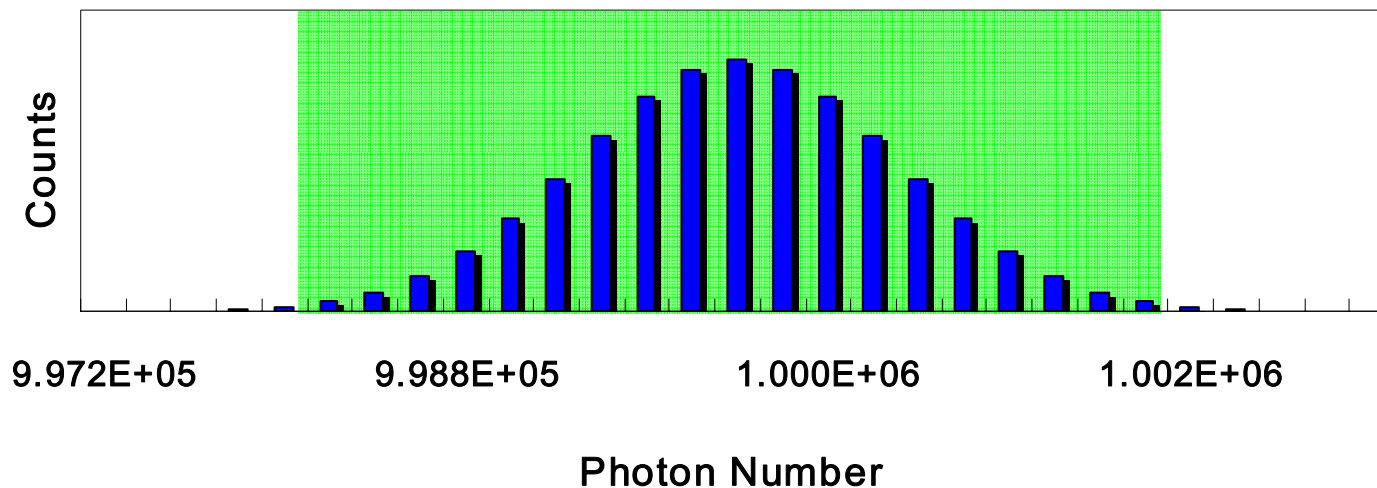
# Main Concept: Untagged Bits

- One can arbitrarily set a range for input photon numbers.
- Pulses in this range are defined as Untagged Bits.
- Pulses outside of this range are defined as Tagged Bits.



# Why are we interested in Untagged Bits?

- Untagged bits have clear upper and lower bounds of input photon numbers.
- One can estimate the minimum probability for an untagged bit to be secure.
- Question: How many untagged bits have been sent to Bob?



# Time-Shift Attack: Analysis

- Probabilities of choosing the two shifts: 23:77
  - Two detectors receive the same counts.
- Lower bound of secure keys (ignoring the attack)
  - 1297 bits
- Upper bound of secure keys (knowing the attack)
  - 1131 bits

Data averaged over two shifts		
Data size	Gain	QBER
20.97Mbits	3.32e-4	5.68%

Experimental parameters	
Dark count rate	$\mu$
$2.26 \times 10^{-5}$	0.1

Y. Zhao, C.-H. F. Fung, B. Qi, C. Chen, and H.-K. Lo, PRA 78:042333 (2008).

# Time-shift attack: advantages

- Easy to implement (optical switches, optical fibers)  
Cf. faked-state attack (Makarov et al.) is hard to implement because it involves measurements.
- Difficult to detect: NO extra quantum bit error rate (QBER=0)
- Bob's imperfect detectors (with time-polarization correlation) **post-select** photons which carry the same bit values from Alice and Eve.

B. Qi, C.-H. F. Fung, H.-K. Lo, and X. Ma, Quant. Info. Compu. 7, 73 (2007).

# Quantum cryptography: Seeking absolute security

Quantum cryptography is theoretically unbreakable, yet a handful of physicists are finding ways to hack into its secrets. Geoff Brumfiel finds out how.

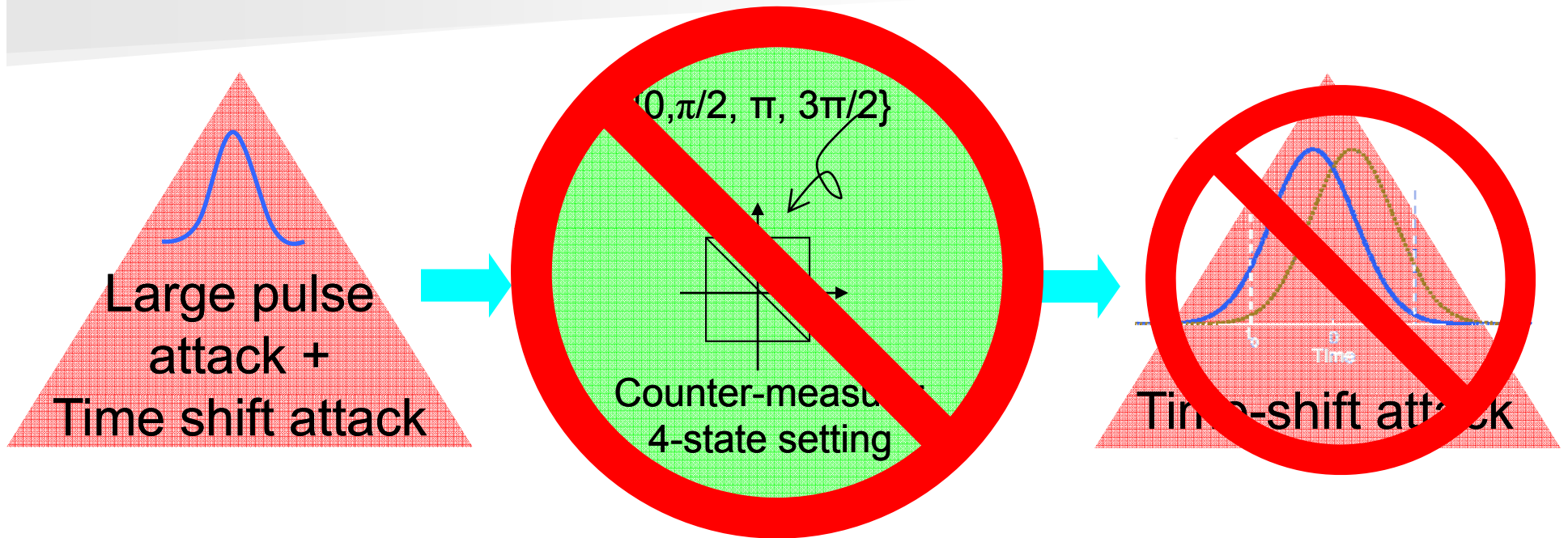


*Nature* **447**, 372-373 (24 May 2007)

# Lesson One

- Once Alice and Bob are aware of an attack, it may not be too difficult for them to devise counter measures against it.
- Imperfections, once quantified, can be dealt with by additional privacy amplification.
- But, Unanticipated attacks can be fatal!

# Lesson Two



Counter-measures may lead to new security loopholes!

# Phase Randomization in Practice

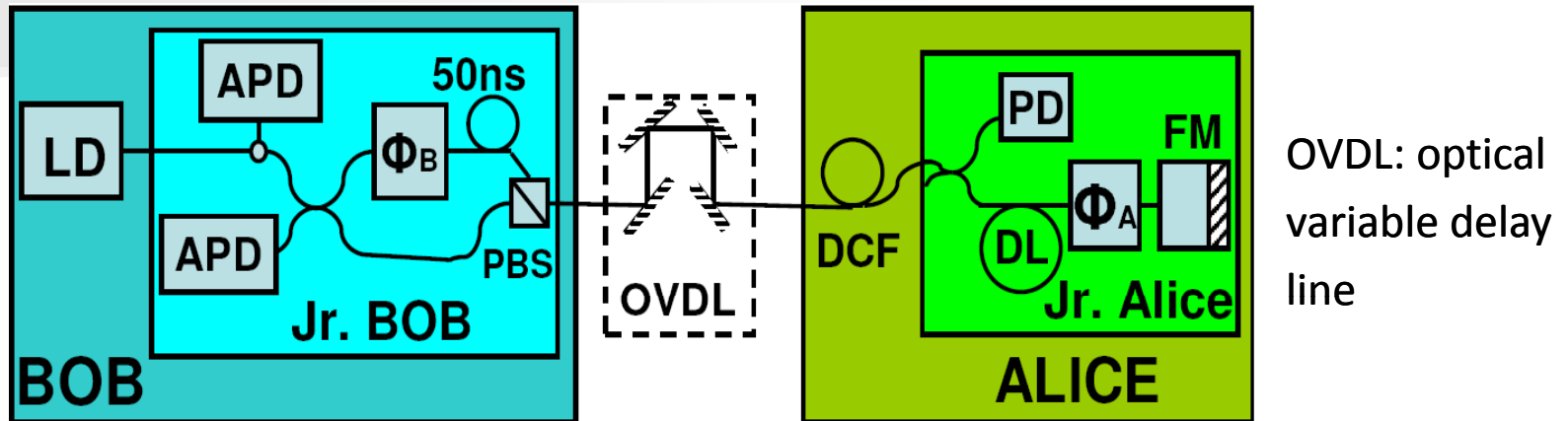
- In practice, the phase may not be random.
  - Uni-directional system: strong reference pulse, long coherent time.
  - Bi-directional system: strong classical pulse from Bob.
- If phase is not randomized, existing security proof gives a lower key rate.
  - Lo and Preskill, QIC 7, 431 (2007).
- We demonstrated the first experimental QKD with reliable active phase randomization.
  - Y. Zhao, B. Qi, and H.-K. Lo, Appl. Phys. Lett., 90:044106 (2007).



# Previous Security Analysis (Not Proof!)

- Basic idea: Heavy attenuation can transform arbitrary photon number distribution to Poisson-like distribution.
- Bad News: Resulting distribution may not be “Poisson-like”!
- Hard to quantify how “likely” it is to Poisson distribution.
- Rigorous security proof has not been developed in this approach.
- N. Gisin et al., Phys. Rev. A 73, 022320 (2006)

# Time-shift attack: experiment



- Commercial plug & play QKD system
- Scan the time shifts manually → find the two efficiency mismatch points
- Perform time-shift attack during QKD transmission
- Calculate how much information leaked to Eve

# Future Direction



- Research in the security of QKD has split into two directions.
  - Fundamental research (e.g. based on the testing of the Bell's inequalities) that does not have practical applications.
  - Practical research that can only provide some “reasonable” security.
- There will always be a gap between the two approaches.
- V. Scarani, C. Kurtsiefer, arXiv:0906.4547, 2009.