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# A Few More Functions That Are Not APN Infinitely Often

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## Abstract

We consider exceptional APN functions on  $\mathbb{F}_{2^m}$ , which by definition are functions that are APN on infinitely many extensions of  $\mathbb{F}_{2^m}$ . Our main result is that polynomial functions of odd degree are not exceptional, provided the degree is not a Gold number ( $2^k + 1$ ) or a Kasami-Welch number ( $4^k - 2^k + 1$ ). We also have partial results on functions of even degree, and functions that have degree  $2^k + 1$ .

## 1 Introduction

Let  $L = \mathbb{F}_q$  with  $q = 2^n$  for some positive integer  $n$ . A function  $f : L \rightarrow L$  is said to be *almost perfect nonlinear* (APN) on  $L$  if the number of solutions

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in  $L$  of the equation

$$f(x+a) + f(x) = b$$

is at most 2, for all  $a, b \in L$ ,  $a \neq 0$ . Equivalently,  $f$  is APN if the set  $\{f(x+a) + f(x) : x \in L\}$  has size at least  $2^{n-1}$  for each  $a \in L^*$ . Because  $L$  has characteristic 2, the number of solutions to the above equation must be an even number, for any function  $f$  on  $L$ .

This kind of function is very useful in cryptography because of its good resistance to differential cryptanalysis as was proved by Nyberg in [5].

The best known examples of APN functions are the Gold functions  $x^{2^k+1}$  and the Kasami-Welch functions  $x^{4^k-2^k+1}$ . These functions are defined over  $\mathbb{F}_2$ , and are APN on any field  $\mathbb{F}_{2^m}$  where  $\gcd(k, m) = 1$ .

If  $f$  is APN on  $L$ , then  $f$  is APN on any subfield of  $L$  as well. We will consider going in the opposite direction. Recall that every function  $f : L \rightarrow L$  can be expressed as a polynomial with coefficients in  $L$ , and this expression is unique if the degree is less than  $q$ . We can “extend”  $f$  to an extension field of  $L$  by using the same unique polynomial formula to define a function on the extension field. With this understanding, we will consider functions  $f$  which are APN on  $L$ , and we ask whether  $f$  can be APN on an extension field of  $L$ . More specifically, we consider functions that are APN on infinitely many extensions of  $L$ . We call a function  $f : L \rightarrow L$  *exceptional* if  $f$  is APN on  $L$  and is also APN on infinitely many extension fields of  $L$ . The Gold and Kasami-Welch functions are exceptional.

We make the following conjecture.

**Conjecture:** Up to equivalence, the Gold and Kasami-Welch functions are the only exceptional APN functions.

Equivalence here refers to CCZ equivalence; for a definition and discussion of this see [1] for example.

We will prove some cases of this conjecture. It was proved in Hernando-McGuire [2] that the conjecture is true among the class of monomial functions. Some cases for  $f$  of small degree have been proved by Rodier [6].

We define

$$\phi(x, y, z) = \frac{f(x) + f(y) + f(z) + f(x+y+z)}{(x+y)(x+z)(y+z)}$$

which is a polynomial in  $\mathbb{F}_q[x, y, z]$ . This polynomial defines a surface  $X$  in the three dimensional affine space  $\mathbb{A}^3$ .

If  $X$  is absolutely irreducible (or has an absolutely irreducible component defined over  $\mathbb{F}_q$ ) then  $f$  is not APN on  $\mathbb{F}_{q^n}$  for all  $n$  sufficiently large. As

shown in [6], this follows from the Lang-Weil bound for surfaces, which guarantees many  $\mathbb{F}_{q^n}$ -rational points on the surface for all  $n$  sufficiently large.

Let  $\overline{X}$  denote the projective closure of  $X$  in the three dimensional projective space  $\mathbb{P}^3$ . If  $H$  is a another projective hypersurface in  $\mathbb{P}^3$ , the idea of this paper is to apply the following lemma.

**Lemma 1.1** *If  $\overline{X} \cap H$  is a reduced (no repeated component) absolutely irreducible curve, then  $\overline{X}$  is absolutely irreducible.*

Proof: If  $\overline{X}$  is not absolutely irreducible then every irreducible component of  $\overline{X}$  intersects  $H$  in a variety of dimension at least 1 (see Shafarevich [7, Chap. I, 6.2, Corollary 5]). So  $\overline{X} \cap H$  is reduced or reducible.  $\square$

In particular, we will apply this when  $H$  is a hyperplane. In Section 2 we study functions whose degree is not a Gold number ( $2^k + 1$ ) or a Kasami-Welch number ( $4^k - 2^k + 1$ ). In Section 3 we study functions whose degree is a Gold number - this case is more subtle.

The equation of  $\overline{X}$  is the homogenization of  $\phi(x, y, z) = 0$ , which is  $\overline{\phi}(x, y, z, t) = 0$  say. If  $f(x) = \sum_{j=0}^d a_j x^j$  write this as

$$\overline{\phi}(x, y, z, t) = \sum_{j=3}^d a_j \phi_j(x, y, z) t^{d-j}$$

where

$$\phi_j(x, y, z) = \frac{x^j + y^j + z^j + (x + y + z)^j}{(x + y)(x + z)(y + z)}$$

is homogeneous of degree  $j - 3$ . We will later consider the intersection of  $\overline{X}$  with the hyperplane  $z = 0$ , and this intersection is a curve in a two dimensional projective space with equation  $\overline{\phi}(x, y, 0, t) = 0$ . An affine equation of this surface  $\overline{X}$  is  $\overline{\phi}(x, y, z, 1) = \phi(x, y, z) = 0$ .

A fact we will use is that if  $f(x) = x^{2^k+1}$  then

$$\phi(x, y, z) = \prod_{\alpha \in \mathbb{F}_{2^k} - \mathbb{F}_2} (x + \alpha y + (\alpha + 1)z). \tag{1}$$

This can be shown by elementary manipulations (see Janwa, Wilson, [3, Theorem 4]).

Our definition of exceptional APN functions is motivated by the definition of exceptional permutation polynomials. A permutation polynomial  $f : \mathbb{F}_q \rightarrow \mathbb{F}_q$  is said to be exceptional if  $f$  is a permutation polynomial on infinitely many extensions of  $\mathbb{F}_q$ . One technique for proving that a polynomial is not exceptional is to prove that the curve  $\phi(x, y) = (f(y) - f(x))/(y - x)$  has an absolutely irreducible factor over  $\mathbb{F}_q$ . Then the Weil bound applied to this factor guarantees many  $\mathbb{F}_{q^n}$ -rational points on the curve for all  $n$  sufficiently large. In particular there are points with  $x \neq y$ , which means that  $f$  cannot be a permutation.

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## 2 Degree not Gold or Kasami-Welch

If the degree of  $f$  is not a Gold number  $2^k + 1$ , or a Kasami-Welch number  $4^k - 2^k + 1$ , then we will apply results of Rodier [6] and Hernando-McGuire [2] to prove our results.

**Lemma 2.1** *Let  $H$  be a projective hypersurface. If  $\overline{X} \cap H$  has a reduced absolutely irreducible component defined over  $\mathbb{F}_q$  then  $\overline{X}$  has an absolutely irreducible component defined over  $\mathbb{F}_q$ .*

Proof: Let  $Y_H$  be a reduced absolutely irreducible component of  $\overline{X} \cap H$  defined over  $\mathbb{F}_q$ . Let  $Y$  be an absolutely irreducible component of  $\overline{X}$  that contains  $Y_H$ . Suppose for the sake of contradiction that  $Y$  is not defined over  $\mathbb{F}_q$ . Then  $Y$  is defined over  $\mathbb{F}_{q^t}$  for some  $t$ . Let  $\sigma$  be a generator for the Galois group  $\text{Gal}(\mathbb{F}_{q^t}/\mathbb{F}_q)$  of  $\mathbb{F}_{q^t}$  over  $\mathbb{F}_q$ . Then  $\sigma(Y)$  is an absolutely irreducible component of  $\overline{X}$  that is distinct from  $Y$ . However,  $\sigma(Y) \supseteq \sigma(Y_H) = Y_H$ , which implies that  $Y_H$  is contained in two distinct absolutely irreducible components of  $\overline{X}$ . This means that a double copy of  $Y_H$  is a component of  $\overline{X}$ , which contradicts the assumption that  $Y_H$  is reduced.  $\square$

**Lemma 2.2** *Let  $H$  be the hyperplane at infinity. Let  $d$  be the degree of  $f$ . Then  $\overline{X} \cap H$  is not reduced if  $d$  is even, and  $\overline{X} \cap H$  is reduced if  $d$  is odd and  $f$  is not a Gold or Kasami-Welch monomial function.*

Proof: Let  $\phi_d(x, y, z)$  denote the  $\phi$  corresponding to the function  $x^d$ . In  $\overline{X} \cap H$  we may assume  $\phi = \phi_d$ .

If  $d$  is odd then the singularities of  $\overline{X} \cap H$  were classified by Janwa-Wilson [3]. They show that the singularities are isolated (the coordinates

must be  $(d-1)$ -th roots of unity) and so the dimension of the singular locus of  $\overline{X} \cap H$  is 0.

Suppose  $d$  is even and write  $d = 2^j e$  where  $e$  is odd. In  $\overline{X} \cap H$  we have

$$\begin{aligned} (x+y)(x+z)(y+z)\phi_d(x,y,z) &= x^d + y^d + z^d + (x+y+z)^d \\ &= (x^e + y^e + z^e + (x+y+z)^e)^{2^j} \\ &= ((x+y)(x+z)(y+z)\phi_e(x,y,z))^{2^j}. \end{aligned}$$

Therefore

$$\phi_d(x,y,z) = \phi_e(x,y,z)^{2^j} ((x+y)(x+z)(y+z))^{2^j-1}$$

and is not reduced. □

Here is the main result of this section.

**Theorem 2.3** *If the degree of the polynomial function  $f$  is odd and not a Gold or a Kasami-Welch number then  $f$  is not APN over  $\mathbb{F}_{q^n}$  for all  $n$  sufficiently large.*

Proof: By Lemma 2.2,  $\overline{X} \cap H$  is reduced. Furthermore, we know by [2] that  $\overline{X} \cap H$  has an absolutely irreducible component defined over  $\mathbb{F}_q$ , which is also reduced. Thus, by Lemma 2.1, we obtain that  $\overline{X}$  has an absolutely irreducible component defined over  $\mathbb{F}_q$ . As discussed in the introduction, this enables us to conclude that  $f$  is not APN on  $\mathbb{F}_{q^n}$  for all  $n$  sufficiently large. □

In the even degree case, we can state the result when half of the degree is odd, with an extra minor condition.

**Theorem 2.4** *If the degree of the polynomial function  $f$  is  $2e$  with  $e$  odd, and if  $f$  contains a term of odd degree, then  $f$  is not APN over  $\mathbb{F}_{q^n}$  for all  $n$  sufficiently large.*

Proof: As shown in the proof of Lemma 2.2 in the particular case where  $d = 2^j e$  with  $e$  odd and  $j = 1$ , we can write

$$\phi_d(x,y,z) = \phi_e(x,y,z)^2 (x+y)(x+z)(y+z).$$

Hence,  $x+y=0$  is the equation of a reduced component of the curve  $X_\infty = \overline{X} \cap H$  with equation  $\phi_d = 0$  where  $H$  is the hyperplane at infinity. The only absolutely irreducible component  $X_0$  of the surface  $\overline{X}$  containing

the line  $x + y = 0$  in  $H$  is reduced and defined over  $\mathbb{F}_q$ . We have to show that this component doesn't contain the plane  $x + y = 0$ .

The function  $x + y$  doesn't divide  $\phi(x, y, z)$  if and only if the function  $(x + y)^2$  doesn't divide  $f(x) + f(y) + f(z) + f(x + y + z)$ . Let  $x^r$  be a term of odd degree of the function  $f$ . We show easily that  $(x + y)^2$  doesn't divide  $x^r + y^r + z^r + (x + y + z)^r$  by using the change of variables  $s = x + y$  which gives:

$$x^r + y^r + z^r + (x + y + z)^r = s(x^{r-1} + z^{r-1}) + s^2P$$

where  $P$  is a polynomial.

Hence  $\overline{X}$  has an absolutely irreducible component defined over  $\mathbb{F}_q$  and then  $f$  is not APN on  $\mathbb{F}_{q^n}$  for all  $n$  sufficiently large. □

**Remark:** This theorem is false if  $2e$  is replaced by  $4e$  in the statement. A counterexample is  $x^{12} + cx^3$ , where  $c \in \mathbb{F}_4$  satisfies  $c^2 + c + 1 = 0$ , which is APN on  $\mathbb{F}_{4^n}$  for any  $n$  which is not divisible by 3, since it is CCZ-equivalent to  $x^3$ . Indeed this function is defined over  $\mathbb{F}_4$ , and is equal to  $L \circ f$ , where  $f(x) = x^3$  and  $L(x) = x^4 + cx$ . Certainly  $L$  is  $\mathbb{F}_4$ -linear, and it is not hard to show that  $L$  is bijective on  $\mathbb{F}_{4^n}$  if and only if  $n$  is not divisible by 3. The graph of  $x^3$  is  $\{(x, x^3) \mid x \in \mathbb{F}_{4^n}\}$  and it is transformed in the graph of  $x^{12} + cx^3$  which is  $\{(x, x^{12} + cx^3) \mid x \in \mathbb{F}_{4^n}\}$  by the linear permutation  $Id \times L$  where  $Id$  is the identity function. So when  $n$  is not divisible by 3,  $L \circ f$  is APN on  $\mathbb{F}_{4^n}$  because  $f$  is APN. This example shows in particular that our conjecture has to be stated up to CCZ-equivalence.

### 3 Gold Degree

Suppose the degree of  $f$  is a Gold number  $d = 2^k + 1$ . Set  $d$  to be this value for this section. Then the degree of  $\phi$  is  $d - 3 = 2^k - 2$ .

#### 3.1 First Case

We will prove the absolute irreducibility for a certain type of  $f$ .

**Theorem 3.1** *Suppose  $f(x) = x^d + g(x)$  where  $\deg(g) \leq 2^{k-1} + 1$ . Let  $g(x) = \sum_{j=0}^{2^{k-1}+1} a_j x^j$ . Suppose moreover that there exists a nonzero coefficient  $a_j$  of  $g$  such that  $\phi_j(x, y, z)$  is absolutely irreducible. Then  $\phi(x, y, z)$  is absolutely irreducible.*

Proof: We must show that  $\phi(x, y, z)$  is absolutely irreducible. Suppose  $\phi(x, y, z) = P(x, y, z)Q(x, y, z)$ . Write each polynomial as a sum of homogeneous parts:

$$\sum_{j=3}^d a_j \phi_j(x, y, z) = (P_s + P_{s-1} + \cdots + P_0)(Q_t + Q_{t-1} + \cdots + Q_0) \quad (2)$$

where  $P_j, Q_j$  are homogeneous of degree  $j$ . Then from (1) we get

$$P_s Q_t = \prod_{\alpha \in \mathbb{F}_{2^k} - \mathbb{F}_2} (x + \alpha y + (\alpha + 1)z).$$

In particular this implies that  $P_s$  and  $Q_t$  are relatively prime as the product is made of distinct irreducible factors.

The homogeneous terms in (2) of degree strictly less than  $d - 3$  and strictly greater than  $2^{k-1} - 2$  are 0, by the assumed bound on the degree of  $g$ . Equating terms of degree  $s + t - 1$  in the equation (2) gives  $P_s Q_{t-1} + P_{s-1} Q_t = 0$ . Hence  $P_s$  divides  $P_{s-1} Q_t$  which implies  $P_s$  divides  $P_{s-1}$  because  $\gcd(P_s, Q_t) = 1$ , and we conclude  $P_{s-1} = 0$  as  $\deg P_{s-1} < \deg P_s$ . Then we also get  $Q_{t-1} = 0$ . Similarly,  $P_{s-2} = 0 = Q_{t-2}$ ,  $P_{s-3} = 0 = Q_{t-3}$ , and so on until we get the equation

$$P_s Q_0 + P_{s-t} Q_t = 0$$

where we suppose wlog that  $s \geq t$ . (Note that when  $s \geq t$ , one gets from  $s + t = d - 3$  that  $s \geq (d - 3)/2$  and  $t \leq (d - 3)/2$ , and the bound on  $\deg(g)$  is chosen:  $\deg(g) < t + 3 \leq 2^{k-1} + 2$ .) This equation implies  $P_s$  divides  $P_{s-t} Q_t$ , which implies  $P_s$  divides  $P_{s-t}$ , which implies  $P_{s-t} = 0$ . Since  $P_s \neq 0$  we must have  $Q_0 = 0$ .

We now have shown that  $Q = Q_t$  is homogeneous. In particular, this means that  $\phi_j(x, y, z)$  is divisible by  $x + \alpha y + (\alpha + 1)z$  for some  $\alpha \in \mathbb{F}_{2^k} - \mathbb{F}_2$  and for all  $j$  such that  $a_j \neq 0$ . We are done if there exists such a  $j$  with  $\phi_j(x, y, z)$  irreducible. □

**Remark:** The hypothesis that there should exist a  $j$  with  $\phi_j(x, y, z)$  is absolutely irreducible is not a strong hypothesis. This is true in many cases (see the next remarks). However, some hypothesis is needed, because the theorem is false without it. One counterexample is with  $g(x) = x^5$  and  $k \geq 4$  and even.

**Remark:** It is known that  $\phi_j$  is irreducible in the following cases (see [4]):



- $j \equiv 3 \pmod{4}$ ;
- $j \equiv 5 \pmod{8}$  and  $j > 13$ .

**Remark:** The theorem is true with the weaker hypothesis that there exists a nonzero coefficient  $a_j$  such that  $\phi_j(x, y, z)$  is prime to  $\phi_d$  (recall  $d = 2^k + 1$ ). This is the case for

- $j = 2^r + 1$  is a Gold exponent with  $r$  prime to  $k$ ;
- $j$  is a Kasami exponent (see [3, Theorem 5]);
- $j = 2^j e$  with  $e$  odd and  $e$  is in one of the previous cases.

**Example:** This applies to  $x^{33} + g(x)$  where  $g(x)$  is any polynomial of degree  $\leq 17$ .

**Remark:** The proof did not use the fact that  $f$  is APN. This is simply a result about polynomials.

**Remark:** The bound  $\deg(g) \leq 2^{k-1} + 1$  is best possible, in the sense that there is an example with  $\deg(g) = 2^{k-1} + 2$  in Rodier [6] where  $\phi$  is not absolutely irreducible. The counterexample has  $k = 3$ , and  $f(x) = x^9 + ax^6 + a^2x^3$ . We discuss this in the next section.

### 3.2 On the Boundary of the First Case

As we said in the previous section, when  $f(x) = x^{2^k+1} + g(x)$  with  $\deg(g) = 2^{k-1} + 2$ , it is false that  $\phi$  is always absolutely irreducible. However, the polynomial  $\phi$  corresponding to the counterexample  $f(x) = x^9 + ax^6 + a^2x^3$  where  $a \in \mathbb{F}_q$  factors into two irreducible factors over  $\mathbb{F}_q$ . We generalize this to the following theorem.

**Theorem 3.2** *Let  $q = 2^n$ . Suppose  $f(x) = x^d + g(x)$  where  $g(x) \in \mathbb{F}_q[x]$  and  $\deg(g) = 2^{k-1} + 2$ . Let  $k$  be odd and relatively prime to  $n$ . If  $g(x)$  does not have the form  $ax^{2^{k-1}+2} + a^2x^3$  then  $\phi$  is absolutely irreducible, while if  $g(x)$  does have the form  $ax^{2^{k-1}+2} + a^2x^3$  then either  $\phi$  is irreducible or  $\phi$  splits into two absolutely irreducible factors which are both defined over  $\mathbb{F}_q$ .*

Proof: Suppose  $\phi(x, y, z) = P(x, y, z)Q(x, y, z)$  and let

$$g(x) = \sum_{j=0}^{2^{k-1}+2} a_j x^j.$$

Write each polynomial as a sum of homogeneous parts:

$$\sum_{j=3}^d a_j \phi_j(x, y, z) = (P_s + P_{s-1} + \cdots + P_0)(Q_t + Q_{t-1} + \cdots + Q_0).$$

Then

$$P_s Q_t = \prod_{\alpha \in \mathbb{F}_{2^k} - \mathbb{F}_2} (x + \alpha y + (1 + \alpha)z).$$

In particular this means  $P_s$  and  $Q_t$  are relatively prime as in the previous theorem. We suppose wlog that  $s \geq t$ , which implies  $s \geq 2^{k-1} - 1$ . Comparing each degree gives  $P_{s-1} = 0 = Q_{t-1}$ ,  $P_{s-2} = 0 = Q_{t-2}$ , and so on until we get the equation of degree  $s + 1$

$$P_s Q_1 + P_{s-t+1} Q_t = 0$$

which implies  $P_{s-t+1} = 0 = Q_1$ . If  $s \neq t$  then  $s \geq 2^{k-1}$ . Note then that  $a_{s+3} \phi_{s+3} = 0$ . The equation of degree  $s$  is

$$P_s Q_0 + P_{s-t} Q_t = a_{s+3} \phi_{s+3} = 0.$$

This means that  $P_{s-t} = 0$ , so  $Q_0 = 0$ . We now have shown that  $Q = Q_t$  is homogeneous. In particular, this means that  $\phi(x, y, z)$  is divisible by  $x + \alpha y + (1 + \alpha)z$  for some  $\alpha \in \mathbb{F}_{2^k} - \mathbb{F}_2$ , which is impossible. Indeed, since the leading coefficient of  $g$  is not 0, the polynomial  $\phi_{2^{k-1}+2}$  occurs in  $\phi$ ; as  $\phi_{2^{k-1}+2} = \phi_{2^{k-2}+1}^2(x+y)(y+z)(z+x)$ , this polynomial is prime to  $\phi$ , because if  $x + \alpha y + (1 + \alpha)z$  occurs in the two polynomials  $\phi_{2^{k-1}+2}$  and  $\phi_{2^{k-1}+1}$ , then  $\alpha$  would be an element of  $\mathbb{F}_{2^k} \cap \mathbb{F}_{2^{k-2}} = \mathbb{F}_2$  because  $k$  is odd.

Suppose next that  $s = t = 2^{k-1} - 1$  in which case the degree  $s$  equation is

$$P_s Q_0 + P_0 Q_s = a_{s+3} \phi_{s+3}.$$

If  $Q_0 = 0$ , then

$$\phi(x, y, z) = \sum_{j=3}^d a_j \phi_j(x, y, z) = (P_s + P_0) Q_t$$

which implies that

$$\phi(x, y, z) = a_d \phi_d(x, y, z) + a_{2^{k-1}+2} \phi_{2^{k-1}+2}(x, y, z) = P_s Q_t + P_0 Q_t$$

and  $P_0 \neq 0$ , since  $g \neq 0$ . So one has  $\phi_{2^{k-1}+2}$  divides  $\phi_d(x, y, z)$  which is impossible as

$$\phi_{2^{k-1}+2} = \phi_{2^{k-2}+1}^2(x+y)(y+z)(z+x).$$

We may assume then that  $P_0 = Q_0$ , and we have  $\phi_{2^{k-1}+2} = 0$ . Then we have

$$\phi(x, y, z) = (P_s + P_0)(Q_s + Q_0) = P_s Q_s + P_0(P_s + Q_s) + P_0^2. \quad (3)$$

Note that this implies  $a_j = 0$  for all  $j$  except  $j = 3$  and  $j = s + 3$ . This means

$$f(x) = x^d + a_{s+3}x^{s+3} + a_3x^3.$$

So if  $f(x)$  does not have this form, this shows that  $\phi$  is absolutely irreducible.

If on the contrary  $\phi$  splits as  $(P_s + P_0)(Q_s + Q_0)$ , the factors  $P_s + P_0$  and  $Q_s + Q_0$  are irreducible, as can be shown by using the same argument.

Assume from now on that  $f(x) = x^d + a_{s+3}x^{s+3} + a_3x^3$  and that (3) holds. Then  $a_3 = P_0^2$ , so clearly  $P_0 = \sqrt{a_3}$  is defined over  $\mathbb{F}_q$ . We claim that  $P_s$  and  $Q_s$  are actually defined over  $\mathbb{F}_2$ .

We know from (1) that  $P_s Q_s$  is defined over  $\mathbb{F}_2$ .

Also  $P_0(P_s + Q_s) = a_{s+3}\phi_{s+3}$ , so  $P_s + Q_s = (a_{s+3}/\sqrt{a_3})\phi_{s+3}$ . On the one hand,  $P_s + Q_s$  is defined over  $\mathbb{F}_{2^k}$  by (1). On the other hand, since  $\phi_{s+3}$  is defined over  $\mathbb{F}_2$  we may say that  $P_s + Q_s$  is defined over  $\mathbb{F}_q$ . Because  $(k, n) = 1$  we may conclude that  $P_s + Q_s$  is defined over  $\mathbb{F}_2$ . Note that the leading coefficient of  $P_s + Q_s$  is 1, so  $a_{s+3}^2 = a_3$ . Whence if this condition is not true, then  $\phi$  is absolutely irreducible.

Let  $\sigma$  denote the Galois automorphism  $x \mapsto x^2$ . Then  $P_s Q_s = \sigma(P_s Q_s) = \sigma(P_s)\sigma(Q_s)$ , and  $P_s + Q_s = \sigma(P_s + Q_s) = \sigma(P_s) + \sigma(Q_s)$ . This means  $\sigma$  either fixes both  $P_s$  and  $Q_s$ , in which case we are done, or else  $\sigma$  interchanges them. In the latter case,  $\sigma^2$  fixes both  $P_s$  and  $Q_s$ , so they are defined over  $\mathbb{F}_4$ . Because they are certainly defined over  $\mathbb{F}_{2^k}$  by (1), and  $k$  is odd, they are defined over  $\mathbb{F}_{2^k} \cap \mathbb{F}_4 = \mathbb{F}_2$ .

Finally, we have now shown that  $\bar{X}$  either is irreducible, or splits into two absolutely irreducible factors defined over  $\mathbb{F}_q$ .  $\square$

### 3.3 Using the Hyperplane $y = z$

We study the intersection of  $\phi(x, y, z) = 0$  with the hyperplane  $y = z$ .

**Lemma 3.3**  $\phi(x, y, y)$  is always a square.

Proof: It suffices to prove the result for  $f(x) = x^d$ . This is equivalent to proving that  $\phi_d(x, 1, 1)$  is a square. This is equivalent to showing that its derivative with respect to  $x$  is identically 0. This is again equivalent to showing that the partial derivative with respect to  $x$  of  $\phi_d(x, y, 1)$ , evaluated at  $y = 1$ , is 0. In Lemma 4.1 of [6] Rodier proves that  $y + z$  divides the partial derivative of  $\phi_d(x, y, z)$  with respect to  $x$ , which is exactly what is required.  $\square$

**Lemma 3.4** Let  $H$  be the hyperplane  $y = z$ . If  $\overline{X} \cap H$  is the square of an absolutely irreducible component defined over  $\mathbb{F}_q$  then  $\overline{X}$  is absolutely irreducible.

Proof: We claim that for any nonsingular point  $P \in \overline{X} \cap H$ , the tangent plane to the curve  $\overline{X} \cap H$  at  $P$  is  $H$ . The equation of the tangent plane is

$$(x - x_0)\phi'_x(P) + (y - y_0)\phi'_y(P) + (z - z_0)\phi'_z(P) = 0$$

where  $P = (x_0, y_0, z_0)$ . Since  $P \in H$  we have  $y_0 = z_0$ . It is straightforward to show that  $\phi'_x(P) = 0$  and  $\phi'_y(P) = \phi'_z(P)$ , so this equation becomes

$$(y + z)\phi'_y(P) = 0.$$

But  $y + z = 0$  is the equation of  $H$ .  $\square$

**Corollary 3.1** If  $f(x) = x^d + g(x)$ , and  $d = 2^k + 1$  is a Gold exponent, and  $\phi(x, y, y)$  is the square of an irreducible, then  $\overline{X}$  is absolutely irreducible.

Note that any term  $x^d$  in  $g(x)$  where  $d$  is even will drop out when we calculate  $\phi(x, y, y)$ , because if  $d = 2e$  then

$$\begin{aligned} \phi_d(x, y, z) &= \frac{x^d + y^d + z^d + (x + y + z)^d}{(x + y)(x + z)(y + z)} \\ &= \frac{(x^e + y^e + z^e + (x + y + z)^e)^2}{(x + y)(x + z)(y + z)} \\ &= \phi_e(x, y, z)(x^e + y^e + z^e + (x + y + z)^e) \\ &= 0 \quad \text{on } H \end{aligned}$$

because the right factor vanishes on  $H$ .

In order to find examples of where we can apply this Corollary, if we write

$$\phi(x, y, y) = (x + y)^{2^k - 2} + h(x, y)^2$$

then to apply this result we want to show that

$$(x + y)^{2^{k-1} - 1} + h(x, y)$$

is irreducible. The degree of  $h$  is smaller than  $2^{k-1} - 1$ . Letting  $t = x + y$  we want an example of  $h$  with  $t^{2^{k-1} - 1} + h(x, x + t)$  is irreducible.

**Example:** Choose any  $h$  so that  $h(x, x + t)$  is a monomial, and then  $t^{2^{k-1} - 1} + h(x, x + t)$  is irreducible.

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